SEC Form 4
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
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0.5

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Section 16. Form 4 or Form 5 obligations may continue. <i>See</i> Instruction 1(b).
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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(City)     (State)     (Zip)       Person       Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									
(Street) GERMANTOWN MD	20876	— 4. If Am —	endment, Date of C	Driginal Filed (	Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Form filed by One Form filed by Mor	e Reporting Pers	on
Sterling Rick L. (Last) (First) 20374 SENECA MEADOWS PAR	(Middle) KWAY		CIGEN, INC. of Earliest Transac 2020		ay/Year)	(Check	all applicable) Director Officer (give title below) Chief Fina	10% C Other below; ncial Officer	(specify

	(Month/Day/Year)	if any (Month/Day/Year)	Code (Instr. 8)		5)					Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	12/15/2020		М		25,000	A	(1)	330,313	D	
Common Stock	12/16/2020		<b>S</b> <sup>(2)</sup>		9,416	D	\$7.2	320,897	D	

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 8. Price of Derivative 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and Amount 9. Number of 10. 11. Nature Conversion Transaction of Securities Underlying Derivative Security Ownership Derivative Date Execution Date of Expiration Date (Month/Day/Year) derivative of Indirect (Month/Day/Year) Derivative Security (Instr. 3) if any (Month/Day/Year) Security (Instr. 5) or Exercise Code (Instr. Securities Form Beneficial Price of Derivative 8) Securities Beneficially Direct (D) Ownership Acquired (A) or Disposed Owned Following Reported (Instr. 3 and 4) or Indirect (I) (Instr. 4) (Instr. 4) Security of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Exercisable Expiration of Shares ν (A) (D) Title Code Date Restricted Commor 12/15/2020 25.000 (1) (3) (3) 0 D м 25 000 \$<mark>0</mark> Stock Stock Units

Explanation of Responses:

1. Each restricted stock unit ("RSU") represents a contingent right to receive one share of Precigen common stock.

2. This sale was effected pursuant to the terms of a 10b5-1 plan adopted by the reporting person and was made in order to pay the tax liability arising from the vesting of RSUs.

3. The RSUs were granted on March 23, 2020 and have vested in full.

## **Remarks:**

/s/ Rick L. Sterling, by Donald P. Lehr, as attorney-in-fact <u>12/17/2020</u>

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.