# SEC Form 4

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

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| Filed p | oursuant to Section | 16(a) of the | Securities | Exchange A |
|---------|---------------------|--------------|------------|------------|

or Section 30(h) of the Investment Company Act of 1934 Instruction 1(b). 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person' (Check all applicable) PRECIGEN, INC. [ PGEN ] Ares Trading S.A. Director Х 10% Owner Officer (give title Other (specify 3. Date of Earliest Transaction (Month/Day/Year) (First) (Middle) below) below) (Last) 09/08/2021 **RUE DE L'OURIETTE 151** ZONE INDUSTRIELLE DE L'OURIETTAZ 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) (Street) х Form filed by One Reporting Person AUBONNE **V8** 1170 Form filed by More than One Reporting Person (City) (State) (Zip)

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Code (Ins        |   | A. Securities<br>Disposed Of<br>(Instr. 5) |               |          | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |  |
|---------------------------------|--|---|------------------|---|--|---------------|----------|---|---|---|--|
|                                 |  |   | Code             | v | Amount                                     | (A) or<br>(D) | Price    | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                |   | (Instr. 4)  |  |
| Common Stock                    | 09/08/2021                                 |   | S <sup>(1)</sup> |   | 2,400                                      | D             | \$6.2319 | 21,191,511  | D   |   |  |
| Common Stock                    | 09/09/2021                                 |   | S <sup>(1)</sup> |   | 88,221                                     | D             | \$6.3074 | 21,103,290  | D   |   |  |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

|   |   |  | ( 0 / 1   |                              | , |  |                                       | • *  |                    |   |  |   |  |                    |  |
|---|---|--|---|------------------------------|---|--|---------------------------------------|--|--------------------|---|--|---|--|--------------------|--|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | 5. Nu<br>of<br>Deriv<br>Secu<br>Acqu<br>(A) of<br>Dispo<br>of (D)<br>(Instr<br>and 5 | rative<br>rities<br>ired<br>r<br>osed | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>3 and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | Ownership<br>Form: | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |   |  |   | Code                         | v | (A)  | (D)                                   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |                    |  |

#### **Explanation of Responses:**

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by Ares Trading, S.A. on April 29, 2021.

### Remarks:

This Form 4 is being filed by each of the following persons (together, the Reporting Persons): Ares Trading SA, the direct beneficial owner of the shares, Merck Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany, an indirect beneficial owner of the shares, and Merck KGaA, Darmstadt, Germany, an indirect beneficial owner of the shares. Ares Trading SA is a dominantly controlled subsidiary of Merck Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland in direct Indirect Indirect Indirect Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland indirect Indirect Indirect Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland indirect Indirect Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland indirect Indirect Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland Indirect Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany. Merck Serono SA, Aubonne, Switzerland Indirect Serono SE, Serono SA, Aubonne, Switzerland Indirect Serono SE, subsidiary of Merck KGaA, Darmstadt, Germany. Merck KGaA, Darmstadt, Germany is a publicly traded company (Frankfurt Stock Exchange, DAX 30) and the beneficiary of the two companies

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|--|-------------------|
| <u>/s/ Cedric Hyde, Authorized</u><br><u>Signatory of Merck Serono</u><br><u>SA</u>      | <u>09/10/2021</u> |
| <u>/s/ Florence Jolidon,</u><br><u>Authorized Signatory of</u><br><u>Merck Serono SA</u> | <u>09/10/2021</u> |
| <u>/s/ Cedric Hyde, Authorized</u><br><u>Signatory of Ares Trading SA</u>                | <u>09/10/2021</u> |
| <u>/s/ Tearaboth Te, Authorized</u><br><u>Signatory of Ares Trading SA</u>               | <u>09/10/2021</u> |
| <u>/s/ Andreas Stickler,</u><br><u>Authorized Signatory of</u><br><u>Merck KGaA</u>      | <u>09/10/2021</u> |
| <u>/s/ Tobias Greven, Authorized</u><br><u>Signatory of Merck KGaA</u>                   | <u>09/10/2021</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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See