SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL	
OMB Number:	3235-0287
Estimated average burden	
hours per response:	0.5

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

☑ Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

1. Name and Address of Reporting Person*
Shah Rutul R
(Last) (First) (Middle)
20374 SENECA MEADOWS PARKWAY
(Street)
GERMANTOWN MD 20876
(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading Symbol
PRECIGEN, INC. [PGEN]
Foreign Trading Symbol

3. Date of Earliest Transaction (Month/Day/Year)
08/21/2026

4. If Amendment, Date of Original Filed (Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
☐ Director ☐ 10% Owner
☑ Officer (give title below) ☐ Other (specify below)
Chief Operating Officer

6. Individual or Joint/Group Filing (Check Applicable Line)
☑ Form filed by One Reporting Person
☐ Form filed by More than One Reporting Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	08/21/2026		M		34,658	A	$2.33	499,670	D	
Common Stock	08/21/2026		S		34,658[(1)]	D	$7.5	465,012	D	
Common Stock	08/23/2026		M		7,500	A	[(2)]	472,512	D	
Common Stock	08/23/2026		F		3,647[(3)]	D	$7.2	468,865	D	
Common Stock	08/25/2026		M		15,342	A	$2.33	484,207	D	
Common Stock	08/25/2026		S		15,342[(1)]	D	$7.5	468,865	D	

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Option to Purchase Common Stock (Right to Buy)	$2.33	08/21/2026		M			34,658	[(4)]	02/02/2032	Common Stock	34,658	$0	88,646	D	
Restricted Stock Units	[(2)]	08/23/2026		M			7,500	[(5)]	[(5)]	Common Stock	7,500	$0	57,292	D	
Option to Purchase Common Stock (Right to Buy)	$2.33	08/25/2026		M			15,342	[(4)]	02/02/2032	Common Stock	15,342	$0	73,304	D	

Explanation of Responses:

1. Represents shares sold pursuant to the terms of a 10b5-1 plan adopted by the reporting person.
2. Each restricted stock unit ("RSU") represents a contingent right to receive one share of Precigen common stock.
3. Represents the number of shares of Precigen common stock withheld by the Issuer to satisfy income tax withholding obligations in connection with the settlement of the RSUs.
4. The stock options are fully vested.
5. Represents 1/24 of the RSUs granted on June 26, 2025 that vested on August 23, 2026.

/s/ Rutul R. Shah, by Donald P. Lehr, as attorney-in-fact — 08/25/2026
** 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.