SEC Form 4

FORM 4

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

OMB Number:	3235-0287
Estimated average b	urden
hours per response:	0.5

1. Name and Address of Reporting Person* 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Ares Trading S.A. PRECIGEN, INC. [PGEN] 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) (Last) (First) (Middle) RUE DE L'OURIETTE 151 3. Date of Earliest Transaction (Month/Day/Year) 06/28/2021 ZONE INDUSTRIELLE DE L'OURIETTAZ 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applica Line) (Street) AUBONNE V8 1170	Instruction 1(b)		File	d pursuant to Section 16(a) of the Securities Exchange Act of 193 or Section 30(h) of the Investment Company Act of 1940	4	hours per res	ponse: 0.
(Last) (First) (Middle) RUE DE L'OURIETTE 151 3. Date of Earliest Transaction (Month/Day/Year) below) below) ZONE INDUSTRIELLE DE L'OURIETTAZ 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applica Line) (Street) AUBONNE V8 1170 Form filed by One Reporting Person Form filed by More than One Reporting		1 0	Person*	0, 3	(Check all applicat Director	ole) X	10% Owner
4. If Amendment, Date of Original Filed (Month/Day/Year) (Street) AUBONNE V8 1170 4. If Amendment, Date of Original Filed (Month/Day/Year) Form filed by One Reporting Person Form filed by More than One Reporting	RUE DE L'OU	RIETTE 151	, , ,			ive title	
(City) (State) (Zip)	(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line) X Form filed Form filed	d by One Repo	rting Person

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

1. Title of Security (Instr. 3)		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Disposed Of 5)			Securities Beneficially	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	Transaction(s) (Instr. 3 and 4)		(
Common Stock	06/28/2021		S ⁽¹⁾		24,839	D	\$6.8753	22,903,496	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. Transa Code (8)		of Deriv Secu Acqu (A) o Dispe of (D	r osed) r. 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		Expiration Date		tion Date Amount of		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						

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, 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 indirect services and the service of the servi 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.

<u>/s/ Cedric Hyde, Authorized</u> <u>Signatory of Merck Serono</u> <u>SA</u>	<u>06/30/2021</u>
<u>/s/ Florence Jolidon,</u> <u>Authorized Signatory of</u> <u>Merck Serono SA</u>	<u>06/30/2021</u>
<u>/s/ Cedric Hyde, Authorized</u> <u>Signatory of Ares Trading SA</u>	<u>06/30/2021</u>
<u>/s/ Tearaboth Te, Authorized</u> <u>Signatory of Ares Trading SA</u>	<u>06/30/2021</u>
<u>/s/ Andreas Stickler,</u> <u>Authorized Signatory of</u> <u>Merck KGaA</u>	<u>06/30/2021</u>
<u>/s/ Tobias Greven, Authorized</u> <u>Signatory of Merck KGaA</u>	<u>06/30/2021</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.