SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

	OMB Number: Estimated average bur	3235-0287
	Estimated average bur	den
l	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).	-	T OF CHANGES IN BENEFICIAL OWN a pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940	-	OMB Number: Estimated ave hours per resp	-	
1. Name and Address of Reporting Per KIRK RANDAL J	rson*	2. Issuer Name and Ticker or Trading Symbol <u>PRECIGEN, INC.</u> [PGEN]	5. Relationship of I (Check all applicat X Director		on(s) to Issuer 10% Owner	
(Last) (First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 08/15/2023	Officer (g below)	ive title	Other (specify below)	
C/O THIRD SECURITY, LLC 1881 GROVE AVENUE		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applica Line) X Form filed by One Reporting Person			
(Street) RADFORD VA	24141		Form filed Person	d by More than (One Reporting	
(City) (State)	(Zip)	Rule 10b5-1(c) Transaction Indication Check this box to indicate that a transaction was made pursuant t satisfy the affirmative defense conditions of Rule 10b5-1(c). See I		n or written plan t	hat is intended to	
Та	ble I - Non-Deriva	ative Securities Acquired, Disposed of, or Bene	ficially Owned			

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)	ction Instr.	4. Securities Disposed Of 5)	Acquirec (D) (Instr	l (A) or . 3, 4 and	5. Amount of Securities Beneficially Owned Following	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	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock	08/15/2023		Р		100,000	A	\$1.5	31,437,786	I	by R.J. Kirk DOT ⁽¹⁾
Common Stock	08/15/2023		Р		80,589	A	\$1.53	31,518,375	I	by R.J. Kirk DOT ⁽¹⁾
Common Stock	08/15/2023		Р		200,000	A	\$1.52	31,718,375	I	by R.J. Kirk DOT ⁽¹⁾
Common Stock	08/16/2023		Р		119,411	A	\$1.51	31,837,786	I	by R.J. Kirk DOT ⁽¹⁾
Common Stock								490,401	Ι	by JPK 2008 ⁽¹⁾
Common Stock								3,703,398	I	by JPK 2009 ⁽¹⁾
Common Stock								1,654,363	Ι	by JPK 2012 ⁽¹⁾
Common Stock								489,438	Ι	by MGK 2008 ⁽¹⁾
Common Stock								3,944,437	Ι	by MGK 2009 ⁽¹⁾
Common Stock								1,637,040	Ι	by MGK 2011 ⁽¹⁾
Common Stock								578,079	Ι	by ZSK 2008 ⁽¹⁾
Common Stock								351,120	Ι	by ZSK 2009 ⁽¹⁾
Common Stock								453,731	I	by Kellie L. Banks LTT ⁽¹⁾
Common Stock								1,015,604	I	by Sr. Staff 2015 ⁽¹⁾
Common Stock								1,015,626	Ι	by Staff 2015 ⁽¹⁾

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)	action (Instr.	4. Securitie Disposed 0 5)	s Acquired of (D) (Instr	i (A) or . 3, 4 and	5. Amount of Securities Beneficially Owned Following	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	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock								1,000,000	Ι	by Parkview 2020 ⁽¹⁾
Common Stock								1,144,481	I	by Spouse
Common Stock								13,520,789	I	by Kapital Joe ⁽¹⁾
Common Stock								1,403	I	by Lotus ⁽¹⁾
Common Stock								16,406,828	I	by Sunset 2020 ⁽¹⁾
Common Stock								1,839,946	I	by Staff 2010 ⁽²⁾
Common Stock								1,383,858	I	by Staff 2009 ⁽²⁾
Common Stock								3,223,803	I	by Sr. Staff 2008 ⁽²⁾
Common Stock								691,929	I	by Incentive 2009 ⁽²⁾
Common Stock								1,384,408	I	by Incentive 2010 ⁽²⁾
Common Stock								311,287	I	by Staff 2001 ⁽²⁾
Common Stock								58,800	Ι	by Sr. Staff ⁽²⁾⁽³⁾

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) of Dispo of (D)	erivative ccurities cquired) or (p) (c) sposed (c) str. 3, 4		piration Date Amount of			Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ownership Form: Direct (D)	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:

Randal J. Kirk controls each of R.J. Kirk Declaration of Trust ("R.J. Kirk DOT"), JPK 2008 LLC ("JPK 2008"), JPK 2009 LLC ("JPK 2009"), JPK 2012 LLC ("JPK 2012"), MGK 2008 LLC ("MGK 2008"), MGK 2009"), MGK 2009 LLC ("MGK 2009"), MGK 2009 LLC ("MGK 2011"), ZSK 2008 LLC ("ZSK 2009"), ZSK 2009 LLC ("ZSK 2009"), Kellie L. Banks (2009) Long Term Trust ("Kellie L. Banks LTT"), Third Security Senior Staff 2015 LLC ("Sr. Staff 2015"), Third Security Staff 2015"), Parkview 2020 Limited Partnership ("Parkview 2020"), Kapital Joe, LLC ("Kapital Joe"), Lotus Capital (2000) Company, Inc. ("Lotus"), and Sunset 2020 LLC ("Sunset 2020"). Shares held by these entities may be deemed to be beneficially owned (as defined under Rule 13d-3 promulgated under the Security Security Security Staff 2010 LLC ("Staff 2010"), Third Security Staff 2009 LLC ("Incentive 2009"), Third Security Staff 2008 LLC ("Staff 2009"), Third Security Staff 2008"), Third Security Staff 2010 LLC ("Staff 2010"), Third Security Staff 2009 LLC ("Incentive 2010 LLC ("Incentive 2010"), Third Security Staff 2001 LLC ("Staff 2001"), Third Security Staff 2001 LLC ("Staff 2001"), Third Security Staff 2001 LLC ("Incentive 2010 LLC ("Incentive 2010"), Third Security Staff 2001 LLC ("Staff 2001"), and Third Security Senior Staff LLC ("Sr. Staff"). Shares held by these entities may be deemed to be beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary Staff 2008 LLC ("Sr. Staff"). Shares held by these entities may be deemed to be beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

3. Due to row limitations, this filing is comprised of two (2) Forms 4. Additional details are reported on a separate Form 4 filed with the SEC on August 17, 2023.

<u>/s/ Randal J. Kirk</u>

** Signature of Reporting Person Date

08/17/2023

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.