SEC Form 4
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**Common Stock** 

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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by

Ι

Incentive

2007(3)

832,500

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

## 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

1. Name and Address of Reporting Person <sup>*</sup> <u>KIRK RANDAL J</u>		2. Iss PRE	uer Name <b>and</b> Tick ECIGEN, INC	er or Tra <u>C.</u> [ PC	ading GEN	Symbol ]	(Che	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner Officer (circe title							
(Last) C/O THIRD SI	(First) ECURITY, LLC		te of Earliest Transa 4/2022	action (N	/lonth/	'Day/Year)		- Officer (give title Other (specify below) below)							
1881 GROVE AVENUE					mendment, Date of	f Origina	al Fileo	d (Month/Day		6. Individual or Joint/Group Filing (Check Applicable					
(Street) RADFORD	VA	24141									Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)													
		Table I - No	1		ecurities Acq		Dis				1				
1. Title of Security (Instr. 3)		2. Transact Date (Month/Day		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Disposed Of 5)	Acquire f (D) (Inst	d (A) or r. 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			
						Code V		Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock	(										989,243	I	by Sr. Staff 2015 <sup>(1)(2)</sup>		
Common Stock											989,252	I	by Staff 2015 <sup>(2)</sup>		
Common Stock	:										1,839,946	I	by Staff 2010 <sup>(2)</sup>		
Common Stock	:										1,383,858	I	by Staff 2009 <sup>(2)</sup>		
Common Stock											3,223,803	I	by Sr. Staff 2008 <sup>(2)</sup>		
Common Stock											691,929	I	by Incentive 2009 <sup>(2)</sup>		
Common Stock	:										1,384,408	I	by Incentive 2010 <sup>(2)</sup>		
Common Stock	[										311,287	I	by Staff 2001 <sup>(2)</sup>		
Common Stock											58,800	I	by Sr. Staff <sup>(2)</sup>		
Common Stock	:										59,133	I	by Staff 2006 <sup>(2)</sup>		
Common Stock											118,266	I	by Sr. Staff 2006 <sup>(2)</sup>		
Common Stock											19,711	Ι	by Incentive 2006 <sup>(2)</sup>		
Common Stock											4,995,000	Ι	by Sr. Staff 2007 <sup>(3)</sup>		
Common Stock											2,497,500	I	by Staff 2007 <sup>(3)</sup>		

	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. 5. Number of Code (Instr. 8) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exerc Expiration Da (Month/Day/Y	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				

Explanation of Responses:

1. 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 January 5, 2022.

2. Randal J. Kirk controls each of Third Security Senior Staff 2015 LLC ("Sr. Staff 2015"), Third Security Staff 2015 LLC ("Staff 2015"), Third Security Staff 2010 LLC ("Staff 2010"), Third Security Staff 2010 LLC ("Staff 2009"), Third Security Senior Staff 2008 LLC ("Sr. Staff 2008"), and Third Security Incentive 2009 LLC ("Incentive 2009"), Third Security Incentive 2010 LLC ("Incentive 2010"), Third Security Staff 2010 LLC ("Staff 2010"), Third Security Senior Staff 2008 LLC ("Sr. Staff 2008"), and Third Security Incentive 2009 LLC ("Incentive 2009"), Third Security Incentive 2010 LLC ("Incentive 2010"), Third Security Senior Staff 2008 LLC ("Sr. Staff 2008"), Third Security Staff 2006 LLC ("Incentive 2009"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2008"), Third Security Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff 2006"), Third Security Security Security Senior Staff 2006"), Third Security Secu

3. Randal J. Kirk controls each of Third Security Senior Staff 2007 LLC ("Sr. Staff 2007"), Third Security Staff 2007 LLC ("Staff 2007"), and Third Security Incentive 2007 LLC ("Incentive 2007"). 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.

## /s/ Randal J. Kirk

\*\* Signature of Reporting Person Date

01/05/2022

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.