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 burden						
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Instruction 1(I	ay continue. See b).		Filed pursuant to Section 16(a) of the Securities Exchange Act o	of 1934	hours per response:	0.5	
			or Section 30(h) of the Investment Company Act of 1940				
1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol <u>PRECIGEN, INC.</u> [PGEN]	5. Relationship of (Check all applica	Reporting Person(s) to Issuer ble)		
<u>Ares Trading S.A.</u>				Director	X 10% Own	ier	
(Last)	ast) (First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year) 06/01/2021	Officer (g below)	give title Other (spe below)	ecify	
RUE DE L'OU	URIETTE 151		00/01/2021				
ZONE INDUSTRIELLE DE L'OURIETTAZ			4. If Amendment, Date of Original Filed (Month/Day/Year)) 6. Individual or Jo Line)	pint/Group Filing (Check Applicable		
(Street)				X Form file	ed by One Reporting Person	I	
AUBONNE	V8	1170		Form file Person	ed by More than One Report	ing	
(City)	(State)	(Zip)					

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)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	06/01/2021		S ⁽¹⁾		106,600	D	\$6.6287	24,811,220	D	
Common Stock	06/02/2021		S ⁽¹⁾		121,400	D	\$6.6117	24,689,820	D	

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

(3-,,,,,															
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)	posed D) str. 3, 4		Expiration Date Amount of		unt of Security Securities Own Former Values (Instr. 5) Beneficially Dire Values Owned Or Instr. 5) Beneficially Dire Values Owned Or Instr. Following (I) (I)		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. 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, 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, 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 KGaA, Darmstadt, Germany, Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany, Merck Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany, Merck KGaA, Darmstadt, Germany, Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany, Merck KGaA, Darmstadt, Germany, Serono SA, Aubonne, Switzerland, an affiliate of Merck KGaA, Darmstadt, Germany, Merck KGaA, Darmstadt, Germany, Merck KGaA, Darmstadt, Germany, Serono SA, Aubone, Switzerland, ang Serono SA, Aubone, Serono SA, Aubone, Switzerland, ang Serono SA, Aubone, Switzerland, ang Serono SA, Aubone, Switzerland, ang Serono SA,

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<u>/s/ Cedric Hyde, Authorized</u> <u>Signatory of Merck Serono</u> <u>SA</u>	<u>06/03/2021</u>
<u>/s/ Florence Jolidon,</u> <u>Authorized Signatory of</u> <u>Merck Serono SA</u>	<u>06/03/2021</u>
<u>/s/ Cedric Hyde, Authorized</u> <u>Signatory of Ares Trading SA</u>	<u>06/03/2021</u>
<u>/s/ Tearaboth Te, Authorized</u> <u>Signatory of Ares Trading SA</u>	<u>06/03/2021</u>
<u>/s/ Andreas Stickler,</u> <u>Authorized Signatory of</u> <u>Merck KGaA</u>	<u>06/03/2021</u>
<u>/s/ Tobias Greven, Authorized</u> <u>Signatory of Merck KGaA</u>	<u>06/03/2021</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.