SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

0.5

hours per response:

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 [*] Sabzevari Helen		er Name and Ticker <u>CIGEN, INC.</u>			ymbol		tionship of Reporting all applicable) Director		Person(s) to Issuer 10% Owner	
(Last) (First) (Middle) 20374 SENECA MEADOWS PARKWAY		3. Date of Earliest Transaction (Month/Day/Year) 07/17/2020						Officer (give title below) President	Other below) t and CEO	(specify)
(Street) GERMANTOWN MD 20876 (City) (State) (Zip)	4. If An	4. If Amendment, Date of Original Filed (Month/Day/Year)						 dividual or Joint/Group Filing (Check Applicable) 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										
Date	ansaction hth/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr. 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 (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		

Common Stock			17/2020		М		25,000	A	(1)	414	,365	D	
Common Stock		07/	20/2020		S ⁽²⁾		12,220	D	\$4.58	402	,145	D	
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)													
1. Title of 2. Derivative Conversio	3. Transaction	3A. Deemed Execution Date.	4. Transaction		6. Date Ex			7. Title and A			9. Number		11. Nature

Deri Sec	ivative surity str. 3)	Conversion or Exercise Price of Derivative Security	(Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transa Code (8)		of Derivative (Month/Day/Year) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)	t I		
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares					
Rest Stoc Unit		(1)	07/17/2020		М			25,000	(3)	(3)	Common Stock	25,000	\$0	25,000	D		

Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of Precigen common stock.

2. This sale was effected pursuant to the terms of a 10b5-1 plan adopted by the reporting person and was made in order to pay the tax liability arising from the vesting of restricted stock units.

3. The restricted stock units were granted on March 28, 2018 and the remaining restricted stock units vest on July 17, 2021.

Remarks:

/s/ Helen Sabzevari, by Donald 07/21/2020 P. Lehr, as attorney-in-fact

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 \ast 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.