SEC Form 4

Common Stock

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

5. Relationship of Reporting Person(s) to Issuer

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

by Staff

2007(3) by

Incentive 2007(3)

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Ι

2,497,500

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

2. Issuer Name and Ticker or Trading Symbol

1. Name and Address of Reporting Person* KIRK RANDAL J			uer Name and Tick ECIGEN, INC				(Cheo	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner Officer (give title Other (specify								
(Last) C/O THIRD S		(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 11/19/2021							Officer (give title below)	(specify /)				
1881 GROVE AVENUE				4. If A	mendment, Date of	f Origina	al Fileo	d (Month/Day	/Year)		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	n-Deriva	tive S	ecurities Acq	uired,	Dis	posed of,	or Ber	neficiall	y Owned					
1. Title of Security (Instr. 3)			2. Transaction Date (Month/Day/Yea		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Disposed O 5)	s Acquire f (D) (Inst	d (A) or r. 3, 4 and	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	ζ.										989,243	Ι	by Sr. Staff 2015 ⁽¹⁾⁽²⁾			
Common Stock	¢										989,252	Ι	by Staff 2015 ⁽²⁾			
Common Stock	¢										1,839,946 ⁽⁴⁾	Ι	by Staff 2010 ⁽²⁾			
Common Stock	ζ.										1,383,858	I	by Staff 2009 ⁽²⁾			
Common Stock	ζ.										3,223,803 ⁽⁴⁾	I	by Sr. Staff 2008 ⁽²⁾			
Common Stock	ζ.										691,929	Ι	by Incentive 2009 ⁽²⁾			
Common Stock	ζ.										1,384,408(4)	Ι	by Incentive 2010 ⁽²⁾			
Common Stock	¢										311,287	Ι	by Staff 2001 ⁽²⁾			
Common Stock	¢										58,800	Ι	by Sr. Staff ⁽²⁾			
Common Stock	ζ.										59,133	Ι	by Staff 2006 ⁽²⁾			
Common Stock	<u>x</u>										118,266	I	by Sr. Staff 2006 ⁽²⁾			
Common Stock	ζ										19,711	I	by Incentive 2006 ⁽²⁾			
Common Stock	ζ.										4,995,000	Ι	by Sr. Staff 2007 ⁽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. Transaction Code (Instr. 8) 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			vative nrities nred r osed) r. 3, 4	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 November 23, 2021.

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"), 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 Staff 2010 LLC ("Staff 2001"), Third Security Senior Staff 2008"), and Third Security Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff"), Third Security Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006 LLC ("Sr. Staff"), Third Security Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006 LLC ("Staff 2001"), Third Security Senior Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006"), Third Security Senior Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006 LLC ("Staff 2006"), Third Security Senior Staff 2006"), Third Security Senior Staff 2006 LLC ("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.

4. The indicated number of shares reflects internal transfers among certain affiliated entities that own issuer common stock.

<u>11/23/2021</u>

** Signature of Reporting Person Da

/s/ Randal J. Kirk

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.