SEC Form 4
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

## 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> Sabzevari Helen		r Name <b>and</b> Ticker CIGEN, INC.		/mbol	5. Rela (Check X	suer Dwner						
(Last) (First) (Middle) 20374 SENECA MEADOWS PARKWAY	3. Date 05/12/	of Earliest Transac 2021	tion (Month/D	ay/Year)	X	Officer (give title below) Presiden	Other belowj t and CEO	(specify )				
(Street) GERMANTOWN MD 20876	4. If Am	endment, Date of C	Driginal Filed (	Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Form filed by One Form filed by Mor	e Reporting Pers	on				
(City) (State) (Zip)						Person		ortung				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) Date (Month/		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)				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	05/12/2021		М		97,276	A	(1)	752,490	D		
Common Stock	05/13/2021		<b>S</b> <sup>(2)</sup>		47,433	D	\$6.4	705,057	D		
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 Ex		6. Date Exercisable and Expiration Date (Month/Day/Year)		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				
Restricted Stock Units	(1)	05/12/2021		М			97,276	(3)	(3)	Common Stock	97,276	\$0	0	D	

Explanation of Responses:

1. Each restricted stock unit ('RSU") 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 RSUs.

3. The RSUs were granted on March 25, 2021 and have vested in full.



<u>P. Lehr, as attorney-in-fact</u> 05/14/2021

\*\* 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.