

BALLIET JENNIFER
Form 4
March 04, 2019

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
BALLIET JENNIFER

(Last) (First) (Middle)

12701 COMMONWEALTH DRIVE
SUITE 9

(Street)

FORT MYERS, FL 33913

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
NEOGENOMICS INC [NEO]

3. Date of Earliest Transaction
(Month/Day/Year)
02/28/2019

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
VP and Chief Culture Officer

6. Individual or Joint/Group Filing(Check Applicable Line)
 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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	02/28/2019		M		20,000 A \$ 7.52	40,000	D
Common Stock	02/28/2019		M		10,000 A \$ 8.03	50,000	D
Common Stock	02/28/2019		S		30,000 D 19.57	20,000	D
Common Stock	03/01/2019		A		2,862 A \$ 0	22,862	D
Common Stock	03/04/2019		M		14,000 A \$ 8.03	36,862	D

Edgar Filing: BALLIET JENNIFER - Form 4

Common Stock 03/04/2019 S 14,000 D \$ 19.09 22,862 D
(1)

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

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 control number. SEC 1474 (9-02)

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)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Stock Option (Right to Buy)	\$ 8.03	02/28/2019		M	10,000	02/26/2019 ⁽²⁾	02/26/2023	Common Stock
Stock Option (Right to Buy)	\$ 7.52	02/28/2019		M	20,000	04/28/2018 ⁽³⁾	04/28/2022	Common Stock
Stock Option (Right to Buy)	\$ 19.6	03/01/2019		A	17,496	03/01/2020 ⁽⁴⁾	03/01/2024	Common Stock
Stock Option (Right to Buy)	\$ 8.03	03/04/2019		M	14,000	02/26/2019 ⁽⁵⁾	02/26/2023	Common Stock
Stock Option (Right to Buy)	\$ 7.15					04/20/2017 ⁽⁶⁾	04/20/2021	Common Stock

Reporting Owners

Reporting Owner Name / Address

Relationships

Edgar Filing: BALLIET JENNIFER - Form 4

Director 10% Owner Officer

Other

BALLIET JENNIFER
12701 COMMONWEALTH DRIVE SUITE 9
FORT MYERS, FL 33913

VP and Chief Culture Officer

Signatures

/s/Jennifer
Balliet

03/04/2019

**Signature of
Reporting Person

Date

Explanation of Responses:

* 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).

(1) Average price of shares sold.

(2) On February 26, 2018, Ms. Balliet was granted 72,500 stock options which vested ratably over the first three anniversary dates of the grant date.

(3) On April 28, 2017, Ms. Balliet was granted 60,000 stock options. The options vest ratably over the first three anniversaries of the grant date.

(4) On March 1, 2019, Ms. Balliet was granted 17,496 stock options which vested ratably over the first four anniversary dates of the grant date.

(5) On February 26, 2018, Jennifer Balliet was granted 72,500 stock options which vested ratably over the first three anniversary dates of the grant date.

(6) On April 20, 2016, Ms. Balliet was granted 50,000 stock options. These options vest ratably over the first three anniversary dates of the grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.