

BALLIET JENNIFER

Form 4

March 04, 2019

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
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2005  
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response... 0.5

(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  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

VP and Chief Culture Officer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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 Indirect Beneficial Ownership (Instr. 4)
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 (1)	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	

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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.

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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	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 8.03	02/28/2019		M			10,000	02/26/2019 <sup>(2)</sup>	02/26/2023	Common Stock	10,000
Stock Option (Right to Buy)	\$ 7.52	02/28/2019		M			20,000	04/28/2018 <sup>(3)</sup>	04/28/2022	Common Stock	20,000
Stock Option (Right to Buy)	\$ 19.6	03/01/2019		A		17,496		03/01/2020 <sup>(4)</sup>	03/01/2024	Common Stock	17,496
Stock Option (Right to Buy)	\$ 8.03	03/04/2019		M			14,000	02/26/2019 <sup>(5)</sup>	02/26/2023	Common Stock	14,000
Stock Option (Right to Buy)	\$ 7.15							04/20/2017 <sup>(6)</sup>	04/20/2021	Common Stock	14,000

## Reporting Owners

Reporting Owner Name / Address

Relationships

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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.

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