

NEOGENOMICS INC  
Form 4  
May 03, 2016

**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 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)  
**04/20/2016**

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 of Human Resources

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount (D) Price                                |   |  |                                   |
| Common Stock                    | 04/29/2016                           |  | M                              | 3,334 A \$ 1.45   | 3,799   | D  |                                   |

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)**

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| 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) | Am<br>Nur<br>Sha |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|------------------|
|  |  |                                      |  | Code V (A) (D)                 |   | Date Exercisable Expiration Date                         | Title   |                  |
| Stock Option (Right to Buy)                | \$ 1.45  | 04/29/2016                           |  | X                              | 3,334   | 05/20/2012 05/20/2016                                    | Common Stock  | 3                |
| Stock Option (Right to Buy)                | \$ 1.1   |                                      |  |                                |   | 10/14/2012 <sup>(1)</sup> 10/14/2016                     | Common Stock  | 3                |
| Stock Option (Right to Buy)                | \$ 1.69  |                                      |  |                                |   | 04/12/2012 <sup>(2)</sup> 04/12/2017                     | Common Stock  | 6                |
| Stock Option (Right to Buy)                | \$ 3.76  |                                      |  |                                |   | 04/16/2014 <sup>(3)</sup> 04/16/2018                     | Common Stock  | 7                |
| Stock Option (Right to Buy)                | \$ 3.45  |                                      |  |                                |   | 03/05/2015 <sup>(4)</sup> 03/05/2019                     | Common Stock  | 15               |
| Stock Option (Right to Buy)                | \$ 4.78  |                                      |  |                                |   | 05/04/2016 <sup>(5)</sup> 05/04/2020                     | Common Stock  | 12               |
| Stock Option (Right to Buy)                | \$ 7.15  | 04/20/2016                           |  | A                              | 50,000  | 04/20/2017 <sup>(6)</sup> 04/20/2021                     | Common Stock  | 50               |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                       |       |
|--|---------------|-----------|-----------------------|-------|
|  | Director      | 10% Owner | Officer               | Other |
| BALLIET JENNIFER<br>12701 COMMONWEALTH DRIVE SUITE 9<br>FORT MYERS, FL 33913 |               |           | VP of Human Resources |       |

## Signatures

/s/Jennifer  
Balliet

05/03/2016

\_\_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) On October 14, 2011, Jennifer Balliet was granted 10,000 stock options. The options vest ratably over the first three anniversaries of the grant date. Jennifer Balliet has exercised 6,666 of these options and she currently has 3,334 options available to exercise.

(2) On April 12, 2012, Jennifer Balliet was granted 12,500 stock options. One quarter of these options vested immediately and the remaining options vested on the next three anniversary dates of the grant date. Jennifer Balliet has exercised 6,250 of these options and has 6,250 options available to exercise.

(3) On April 16, 2013, Jennifer Balliet was granted 7,500 stock options. These options vest ratably over the first three anniversary dates of the grant date.

(4) On March 5, 2014, Jennifer Balliet was granted 15,000 stock options. The options vest ratably over the first three anniversary dates of the grant date.

(5) On May 4, 2015, Jennifer Balliet was granted 120,000 stock options. The options vest ratably over the first three anniversary dates of the grant date.

(6) On April 20, 2016, Jennifer 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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