

NEOGENOMICS INC
Form 4
May 03, 2016

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
12701 COMMONWEALTH DRIVE SUITE 9

3. Date of Earliest Transaction (Month/Day/Year)
04/20/2016

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

VP of Human Resources

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

FORT MYERS, FL 33913

(City) (State) (Zip)

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 Nur 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 ⁽¹⁾ 10/14/2016	Common Stock	3
Stock Option (Right to Buy)	\$ 1.69					04/12/2012 ⁽²⁾ 04/12/2017	Common Stock	6
Stock Option (Right to Buy)	\$ 3.76					04/16/2014 ⁽³⁾ 04/16/2018	Common Stock	7
Stock Option (Right to Buy)	\$ 3.45					03/05/2015 ⁽⁴⁾ 03/05/2019	Common Stock	15
Stock Option (Right to Buy)	\$ 4.78					05/04/2016 ⁽⁵⁾ 05/04/2020	Common Stock	12
Stock Option (Right to Buy)	\$ 7.15	04/20/2016		A	50,000	04/20/2017 ⁽⁶⁾ 04/20/2021	Common Stock	50

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BALLIET JENNIFER 12701 COMMONWEALTH DRIVE SUITE 9 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.

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.
- (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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