

NEOGENOMICS INC

Form 4

October 11, 2016

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
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(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)
10/07/2016

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 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	10/07/2016		M		3,334	A	\$ 1.1
							7,133
							D

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
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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 Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount of Number of Shares
Stock Option (Right to Buy)	\$ 1.1	10/07/2016		X	3,334	10/14/2012 ⁽¹⁾ 10/14/2016	Common Stock 3,334
Stock Option (Right to Buy)	\$ 1.69					04/12/2012 ⁽²⁾ 04/12/2017	Common Stock 6,250
Stock Option (Right to Buy)	\$ 3.76					04/16/2014 ⁽³⁾ 04/16/2018	Common Stock 7,500
Stock Option (Right to Buy)	\$ 3.45					03/05/2015 ⁽⁴⁾ 03/05/2019	Common Stock 15,000
Stock Option (Right to Buy)	\$ 4.78					05/04/2016 ⁽⁵⁾ 05/04/2020	Common Stock 120,000
Stock Option (Right to Buy)	\$ 7.15					04/20/2017 ⁽⁶⁾ 04/20/2021	Common Stock 50,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	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

10/11/2016

 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.

(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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