

BALLIET JENNIFER

Form 4

March 28, 2018

**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  
Estimated average  
burden hours per  
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)  
**03/26/2018**

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	03/28/2018		M	7,000 A	\$ 4.78	7,000	D
Common Stock	03/28/2018		D	7,000 D	\$ 8.20		D

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

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information contained in this form are not  
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SEC 1474  
(9-02)

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**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 Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Option (Right to Buy)	\$ 4.78	03/26/2018		M	7,000	05/04/2016 <sup>(1)</sup> 05/04/2020	Common Stock 7,000
Stock Option (Right to Buy)	\$ 7.15					04/20/2017 <sup>(2)</sup> 04/20/2021	Common Stock 50,000
Restricted Stock <sup>(3)</sup>	\$ 0					05/25/2018 <sup>(4)</sup> <sup>(5)</sup>	Common Stock 20,000
Stock Option (Right to Buy)	\$ 7.52					04/28/2018 <sup>(6)</sup> 04/28/2022	Common Stock 60,000
Stock Option (Right to Buy)	\$ 8.03					02/26/2019 <sup>(7)</sup> 02/26/2023	Common Stock 72,500

## 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 03/28/2018

\*\*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 May 4, 2015, Jennifer Balliet was granted stock options, these options vest ratably over the first three anniversary dates of the grant date.
- (2) On April 20, 2016, Jennifer Balliet was granted stock options, these options vest ratably over the first three anniversary dates of the grant date.
- (3) Each restricted stock unit represents the contingent right to receive one share of common stock upon vesting of the unit.
- (4) Restricted stock will vest as follows; 6,666 units will vest on May 25, 2018 and 6,667 units will vest on May 25, 2019 and 2020.
- (5) These restricted stock units will terminate upon the earliest of death, termination of employment or the last vesting date.
- (6) On April 28, 2017, Jennifer Balliet was granted stock options, these options vest ratably over the first three anniversaries of the grant date.
- (7) On February 26, 2018, Jennifer Balliet was granted 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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