

BALLIET JENNIFER  
Form 4  
May 29, 2018

**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)  
**05/25/2018**

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)

**VP and Chief Culture Officer**

(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)
			Code	V Amount (D) Price			
Common Stock	05/25/2018		M	6,666 A \$ 0	6,666	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 displays a currently valid OMB control number.**

SEC 1474 (9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

Edgar Filing: BALLIET JENNIFER - Form 4

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 Number Shares
Stock Option (Right to Buy)	\$ 4.78					05/04/2016 <sup>(1)</sup>	05/04/2020	Common Stock	100,000
Stock Option (Right to Buy)	\$ 7.15					04/20/2017 <sup>(2)</sup>	04/20/2021	Common Stock	50,000
Stock Option (Right to Buy)	\$ 7.52					04/28/2018 <sup>(3)</sup>	04/28/2022	Common Stock	60,000
Restricted Stock <sup>(4)</sup>	\$ 0	05/25/2018		M	6,666	05/25/2018 <sup>(5)</sup>	<sup>(6)</sup>	Common Stock	6,666
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                      05/29/2018

\*\*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 120,000 stock options. The options vest ratably over the first three anniversary dates of the grant date.
- (2) 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.
- (3) On April 28, 2017, Jennifer Balliet was granted 60,000 stock options. The options vest ratably over the first three anniversaries of the grant date.
- (4) Each share of restricted stock represents the contingent right to receive one share of common stock upon vesting.
- (5) Restricted stock will vest as follows; 6,666 units vested on May 25, 2018 and 6,667 units will vest on May 25, 2019 and 2020.
- (6) These restricted stock will terminate upon the earliest of death, termination of employment or the last vesting date.
- (7) 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.