

BALLIET JENNIFER
Form 4
November 13, 2018

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)
11/09/2018

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)
				(A) or (D)	Price		
Common Stock	11/09/2018		M	35,000	A \$ 4.78	55,000	D
Common Stock	11/09/2018		M	33,333	A \$ 0	88,333	D
Common Stock	11/09/2018		S	39,828	D \$ 17	48,505	D
Common Stock	11/12/2018		S	28,505	D \$ 16.73	20,000	D

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

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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	11/09/2018		M	35,000	05/04/2016 ⁽¹⁾	05/04/2020	Common Stock	35,000
Stock Option (Right to Buy)	\$ 7.15	11/09/2018		M	33,333	04/20/2017 ⁽²⁾	04/20/2021	Common Stock	33,333
Stock Option (Right to Buy)	\$ 7.52					04/28/2018 ⁽³⁾	04/28/2022	Common Stock	60,000
Stock Option (Right to Buy)	\$ 8.03					02/26/2019 ⁽⁴⁾	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

11/13/2018

__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) 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.
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