SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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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).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person [*] Kelly Michael Aaron | | | | | | 2. Issuer Name and Ticker or Trading Symbol <u>NEOGENOMICS INC</u> [NEO] | | | | | | | | all applicabl Director | | | 10% Owner | | |
|--|---|--|---|---|--|--|---|---|----------|--------------------|---------------------------|-----------------------|-------------------------------------|--|---|---|--|--|--|
| (Last) (First) (Middle) 9490 NEOGENOMICS WAY | | | | | 3. Date of Earliest Transaction (Month/Day/Year) 08/10/2023 | | | | | | | | | Officer (give title below) | | Other (spec below) | | респу | |
| (Street) FORT MYERS FL 33912 (City) (State) (Zip) | | | | 4. If | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | | 6. Indivi X | 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 | | | | | | | | | | | | | | | | | | | |
| Date | | | | Date | Transaction ate Month/Day/Year) | | 2A. Deemed Execution Date, if any (Month/Day/Year) | | | | ities Acqu d Of (D) (I | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | | | v | Amount | () () | A) or D) | Price | (Instr. 3 and 4) | | | | (1150.4) | | | |
| Common Stock | | | | | | | | | | | | | | 20,4 | 20,419 | | D | | |
| 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 Exercisabl Expiration Date (Month/Day/Year) | | Securities Und | | ies Under ve Secur | lying | 8. Price of Derivative Security (Instr. 5) | 9. Number derivative Securities Beneficial Owned Following Reported Transactio | s Fo lly Di or (1) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisat | | Expiration Date | Title | | Amount or Number of Shares | | (Instr. 4) | | | | |
| Stock Option (Right to Buy) | \$37.53 | | | | | | | 05/28/202 | 21 0 | 05/28/2027 | Comr Stor | | 2,223 | | 2,223 | | D | | |
| Stock Option (Right to Buy) | \$40.9 | | | | | | | 06/02/202 | 22 0 | 06/02/2028 | Comr Stor | | 3,714 | | 3,714 | | D | | |
| Stock Option (Right to Buy) | \$8.1 | | | | | | | 06/10/202 | 23 0 | 06/10/2029 | Comr | | 13,882 | | 13,882 | 2 | D | | |

08/10/2024

08/10/2024

08/10/2033

(1)

Explanation of Responses:

1. Once vested, the shares of common stock are not subject to expiration.

\$14.82

\$<mark>0</mark>

Remarks:

Stock Option (Right to Buy)

Restricted Stock

Unit

/s/ Ali Olivo, Attorney-in-Fact 08/14/2023

8,353

11,336

\$<mark>0</mark>

\$<mark>0</mark>

** Signature of Reporting Person

Common Stock

Common

Stock

Date

8,353

11,336

D

D

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

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

08/10/2023

08/10/2023

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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

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 Number.

8,353

11,336

A

Α