

JONES STEVEN C

Form 4

November 14, 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
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
JONES STEVEN C

(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)
11/12/2018

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)

Executive Vice President

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	11/12/2018		S		100,000	D	\$ 16.66	2,200,000	I	By Aspen Select Opportunity Fund ⁽¹⁾
Common Stock	11/13/2018		S		31,574	D	\$ 16.69	2,168,426	I	By Aspen Select Opportunity Fund ⁽¹⁾
Common Stock	11/14/2018		S		3,824	D	\$ 16.5	2,164,602	I	By Aspen Select Opportunity Fund ⁽¹⁾

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Common Stock						48,657	I	Shares owned in IRA, custodian accounts, and trusts for the family of Steven Jones	
Common Stock						241,815	D		
Common Stock						50,476	I	By Jones Network, LP	
Common Stock	11/13/2018		S	4,000	D	\$ 16.66	186,000	I	By self as Trustee for Steven and Carisa Jones 401k and Trust
Common Stock	11/14/2018		S	1,729	D	\$ 16.5	184,271	I	By self as Trustee for Steven and Carisa Jones 401k and Trust

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

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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)

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)	8. Amount or Number of Shares
	\$ 11.6			Code V (A) (D)		Date Exercisable 06/01/2019 Expiration Date 06/01/2023	Title	3,017

Stock Option (Right to Buy)				Common Stock	
Stock Option (Right to Buy)	\$ 4.78	05/04/2016 ⁽²⁾	05/04/2020	Common Stock	225,000
Stock Option (Right to Buy)	\$ 7.27	05/25/2018 ⁽³⁾	05/25/2022	Common Stock	10,000
Stock Option (Right to Buy)	\$ 7.15	04/20/2017 ⁽⁴⁾	04/20/2021	Common Stock	100,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
JONES STEVEN C 12701 COMMONWEALTH DRIVE SUITE 9 FORT MYERS, FL 33913	X		Executive Vice President	

Signatures

/s/ Steven Jones 11/14/2018

**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).

Aspen Select Opportunity Fund is a private investment fund of which Aspen Capital Group, LLC is the sole general partner. Mr. Jones is
(1) a Managing Member of Aspen Capital Group, LLC. Mr. Jones disclaims beneficial ownership of such shares except to the extent of his respective pecuniary interests therein.

(2) On May 4, 2015, Mr. Jones was granted 225,000 stock options. The options vest ratably over the first three anniversary dates of the grant date.

(3) On May 25, 2017, Mr. Jones was granted 10,000 stock options. The options vest ratably on the next three anniversary dates of the grant date.

(4) On April 20, 2016, Mr. Jones was granted 100,000 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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