Edgar Filing: KIRK RANDAL J - Form 4

KIRK RANDAL J Form 4 December 13, 2017 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 StateMent OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Station 17(a) of the Public Utility Helding Commons Act of 1025 or Section											
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b).											
(Print or Type	Responses)										
KIRK RANDAL J Symbo			Symbol	In the second se				5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (I	Middle)		3. Date of Earliest Transaction				(Check	ck all applicable)		
(Month/ C/O THIRD SECURITY, LLC, 1881 12/11/2 GROVE AVENUE			Ionth/Day/Year)				DirectorX 10% Owner Officer (give title Other (specify below) below)				
Filed(Mo			(Month/Day/Year) A				 5. Individual or Joint/Group Filing(Check Applicable Line) Form filed by One Reporting Person X_ Form filed by More than One Reporting 				
RADFORD, VA 24141 Person											
(City)	(State)	(Zip)					-	red, Disposed of,		-	
1.Title of Security (Instr. 3)	(Month/Day/Year) Execution Date, if		3. 4. Securities Acquired (A Transactionor Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A) or			red (A)	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	(D)	Price	(IIISU: 3 and 4)		by NRM	
Common Stock	12/11/2017			Р	2,567,121	А	\$ 0.77	5,773,626 <u>(1)</u>	Ι	VII Holdings (2)	
Common Stock	12/11/2017			Р	155,347	А	\$ 0.77	349,386 <u>(1)</u>	Ι	by Kapital Joe <u>(2)</u>	
Common Stock	12/11/2017			Р	4,805	A	\$ 0.77	10,806 <u>(1)</u>	Ι	by Mascara Kaboom	
Common								2,133,595 <u>(1)</u>	Ι	by	

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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. Transactio Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exerci Expiration Da (Month/Day/Y	te	7. Title and A Underlying S (Instr. 3 and	Securitie
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amou Numb Shares
Warrant to Purchase Common Stock	\$ 0.77	12/11/2017		Р	2,567,121	12/11/2017	12/11/2022	Common Stock	2,56
Warrant to Purchase Common Stock	\$ 0.77	12/11/2017		Р	155,347	12/11/2017	12/11/2022	Common Stock	155
Warrant to Purchase Common Stock	\$ 0.77	12/11/2017		Р	4,805	12/11/2017	12/11/2022	Common Stock	4,8

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
KIRK RANDAL J C/O THIRD SECURITY, LLC 1881 GROVE AVENUE RADFORD, VA 24141		Х				
INTREXON CORP C/O LEGAL DEPARTMENT		Х				

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20374 SENECA MEADOWS PARKWAY GERMANTOWN, MD 20876

Signatures

/s/ Randal J. Kirk, CEO of Intrexon Corporation	12/13/2017
**Signature of Reporting Person	Date
/s/ Randal J. Kirk	12/13/2017
** 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) The indicated number of common shares is reflective of a 1-for-3 reverse stock split effected by the issuer on March 13, 2017.

Randal J. Kirk controls Kapital Joe, LLC ("Kapital Joe"), Mascara Kaboom, LLC ("Mascara Kaboom") and NRM VII Holdings I, LLC ("NRM VII Holdings"). Shares held by these entities may be deemed to be indirectly beneficially owned (as defined under Rule 13d-3

Randal J. Kirk, directly and through certain affiliates, is the largest shareholder of Intrexon Corporation ("Intrexon") and serves as Intrexon's Chairman of the Board and Chief Executive Officer. Mr. Kirk may therefore be deemed to have voting and dispositive power

(3) over the shares of the issuer owned by Intrexon. Shares held by Intrexon may be deemed to be indirectly beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

(4) The indicated number of warrants to purchase common stock of the issuer were received in connection with the purchase of common stock in an underwritten public offering of the issuer, which closed on December 11, 2017 (the "Offering"). In the Offering, each share of common stock was sold together with a common warrant to purchase one share of common stock at a combined effective price of \$0.77

per share and accompanying common warrant.

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.