

HERBERT JAMES L
Form 4
November 23, 2018

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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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 *
HERBERT JAMES L

(Last) (First) (Middle)
NEOGEN CORP, 620 LESHER PLACE
(Street)

LANSING, MI 48912

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
NEOGEN CORP [NEOG]

3. Date of Earliest Transaction (Month/Day/Year)
11/20/2018

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 Chairman

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 or Price | | |
| Common Stock | 11/20/2018 | | M | | 6,092 A \$ 35.34 | 742,576 | D |
| Common Stock | 11/20/2018 | | S | | 6,092 D \$ 61.6989 | 736,484 | D |
| Common Stock | 11/21/2018 | | M | | 15,948 A \$ 35.34 | 752,412 | D |
| Common Stock | 11/21/2018 | | S | | 15,928 D \$ 61.0081 | 736,484 | D |
| Common Stock | 11/23/2018 | | M | | 2,748 A \$ 35.34 | 739,232 | D |

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| | | | | | | | | |
|--------------|------------|---|--------|---|------------|---------|---|------------------|
| Common Stock | 11/23/2018 | S | 2,748 | D | \$ 60.5144 | 736,484 | D | |
| Common Stock | 11/20/2018 | S | 15,663 | D | \$ 61.0331 | 397,372 | I | See footnote (2) |
| Common Stock | 11/21/2018 | S | 4,337 | D | \$ 61.0344 | 393,035 | I | See Footnote (2) |

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

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(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) | Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Common Stock (Right to Buy) | \$ 35.34 | 11/20/2018 | | M | 6,092 | (1) 11/08/2020 | Common Stock | 6,092 | |
| Common Stock (right to Buy) | \$ 35.34 | 11/21/2018 | | M | 15,928 | (1) 11/21/2018 | Common Stock | 15,928 | |
| Common Stock (Right to Buy) | \$ 35.34 | 11/23/2018 | | M | 2,748 | (1) 11/08/2020 | Common Stock | 2,748 | |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

HERBERT JAMES L
NEOGEN CORP
620 LESHER PLACE
LANSING, MI 48912

X

Executive Chairman

Signatures

Steven J Quinlan (attorney in
Fact)

11/23/2018

__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) Options were granted 10/8/2015, have five year lives, and vest in equal annual 20% installments on each of the first five anniversary dates of the grant
144,280 shares are held in trust for Mr. Herbert's spouse, 88,783 are held in a charitable remainder trust in which Mr. Herbert and his
- (2) spouse are the beneficiaries and trustees, and the remainder are held in limited liability companies in which Mr. Herbert and his spouse have limited minority ownership

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