

CODEXIS INC
Form 4
June 12, 2015

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BARUCH THOMAS R

(Last) (First) (Middle)

**C/O CODEXIS, INC., 200
PENOBSCOT DRIVE**

(Street)

REDWOOD CITY, CA 94063

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
CODEXIS INC [CDXS]

3. Date of Earliest Transaction
(Month/Day/Year)
11/10/2014

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)

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)
Common Stock				(A) or (D)	Price		
			Code	V	Amount		
					138,451	D	
Common Stock	11/10/2014		J ⁽¹⁾		2,740,158	D	<u>(1)</u>
							See Footnote
Common Stock	11/10/2014		J ⁽³⁾		181,067	D	<u>(3)</u>
							See Footnote
							<u>(4)</u>

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

**Persons who respond to the collection of
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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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 10)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARUCH THOMAS R C/O CODEXIS, INC. 200 PENOBSCOT DRIVE REDWOOD CITY, CA 94063		X		

Signatures

/s/ Doug Sheehy, Attorney-in-Fact for Thomas
Baruch

06/12/2015

____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 shares were sold by CMEA Ventures Life Sciences 2000, L.P. ("CMEA LS") to Presidio Partners 2014, L.P. for \$2.37 per share. The reported transaction is the same transaction reported by CMEA LS in its capacity as a 10% holder of the Issuer's securities in a separate Form 4 filed on Nov 12, 2014.

(2) The shares are held by CMEA LS. Thomas R. Baruch, a member of the Issuer's board of directors, is a general partner of CMEA Ventures LS Management 2000, L.P., the general partner of CMEA LS, and, as such, has voting and investment power over the securities held by CMEA LS. The Reporting Person disclaims beneficial ownership of the securities reported on this Form 4 except to the extent of any pecuniary interest therein.

(3) The shares were sold by CMEA Ventures Life Sciences 2000, Civil Law Partnership ("CMEA CLP") to Presidio Partners 2014, L.P. for \$2.37 per share. The reported transaction is the same transaction reported by CMEA CLP in its capacity as a 10% holder of the Issuer's securities in a separate Form 4 filed on Nov 12, 2014.

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- The shares are held by CMEA CLP. Thomas R. Baruch, a member of the Isser's board of directors, is a general partner of CMEA Ventures LS Management 2000, L.P., the managing limited partner of CMEA CLP, and, as such, has voting and investment power over the securities held by CMEA CLP. The Reporting Person disclaims beneficial ownership of the securities reported on this Form 4 except to the extent of any pecuniary interest therein.
- (4)

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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