SEC Form 4

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

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 [*] Norrett Kevin					2. Issuer Name and Ticker or Trading Symbol <u>CODEXIS, INC.</u> [CDXS]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last)	.ast) (First) (Middle)				3. Date of Earliest Transaction (Month/Day/Year) 10/03/2022								x	Officer (g below) Cł	vive title		below)	,	
200 PENOBSCOT DRIVE					4. If Amendment, Date of Original Filed (Month/Day/Year)									6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person					
(Street) REDWOOD CITY CA			94063													•	ne Reportir	ig Person	
(City)	(State	e) ((Zip)																
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																			
Date				2. Trans Date (Month/I		Executio	2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction D Code (Instr.		I. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 ar			5. Amount of Securities Beneficially Owned Following Reported		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
								Code	v	Amount		(A) or (D)	Price	 Transaction(s) (Instr. 3 and 4) 				(Instr. 4)	
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)	Derivative Conversion Date Execution Date, Security (Instr. or Exercise (Month/Day/Year) if any			Cod	Transaction Code (Instr.		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 Amoun Securities Underly Derivative Security 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)		10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	

Explanation of Responses:

\$6.07

Stock Option

(Right to Buy)

1. Option vests and becomes exercisable with respect to 25% of the shares subject thereto on October 3, 2023, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on October 3, 2026, in each case, subject to continued service through the applicable vesting date.

Date Exercisable

(D)

413,405

Expiration

10/03/2032

Title

Common

Stock

Date

/s/ Ross Taylor, as Attorney-in-Fact for Kevin Norrett 10/05/2022

Number of

413,405

\$<mark>0</mark>

Shares

Date

413,405

D

** Signature of Reporting Person

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).

10/03/2022

** 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.

V (A)

Code

Α

OMB APPROVAL OMB Number: 3235-0287 Estimated average burder hours per response: 0.5