

CODEXIS INC

Form 3

February 13, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â Lalonde James
(Last) (First) (Middle)

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

(Street)

REDWOOD
CITY,Â CAÂ 94063

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
02/05/2014

3. Issuer Name **and** Ticker or Trading Symbol

CODEXIS INC [CDXS]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
SVP, R&D

6. Individual or Joint/Group Filing(Check Applicable Line)
__X__ Form filed by One Reporting Person
____ Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

146,960 ⁽¹⁾

D Â

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D)

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â (2)	07/06/2014	Common Stock	27,350	\$ 0.68	D	Â
Stock Option (Right to Buy)	Â (2)	12/12/2015	Common Stock	26,666	\$ 1.05	D	Â
Stock Option (Right to Buy)	Â (2)	01/25/2017	Common Stock	6,666	\$ 2.45	D	Â
Stock Option (Right to Buy)	Â (2)	01/28/2018	Common Stock	19,999	\$ 10.5	D	Â
Stock Option (Right to Buy)	Â (2)	06/01/2019	Common Stock	19,999	\$ 7.46	D	Â
Stock Option (Right to Buy)	Â (2)	02/10/2020	Common Stock	26,666	\$ 10.92	D	Â
Stock Option (Right to Buy)	Â (3)	01/27/2021	Common Stock	15,000	\$ 9.15	D	Â
Stock Option (Right to Buy)	Â (4)	03/06/2022	Common Stock	29,000	\$ 3.56	D	Â
Stock Option (Right to Buy)	Â (5)	01/23/2023	Common Stock	36,201	\$ 2.32	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lalonde James C/O CODEXIS, INC. 200 PENOBSCOT DRIVE REDWOOD CITY, CA 94063	Â	Â	Â SVP, R&D	Â

Signatures

/s/ Dave Swarthout, Attorney-in-Fact for James
Lalonde

02/13/2014

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Includes 123,210 Restricted stock units. The Reporting Person is entitled to receive one (1) share of common stock for each one (1) restricted stock unit.

(2) The option is fully vested and exercisable.

(3) Option vests with respect to 25% of the shares subject thereto on January 26, 2012, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on January 26, 2015.

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- (4) Option vests with respect to 25% of the shares subject thereto on March 7, 2013, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on March 7, 2016.
- (5) Option vests with respect to 25% of the shares subject thereto on January 24, 2014, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on January 24, 2017.

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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