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CAPRICOR THERAPEUTICS, INC.

Form 3/A

December 04, 2013

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 *

GRASMICK LOUIS J

(Last)

FLOOR

C/O CAPRICOR

(First)

THERAPEUTICS, INC., Â 8840 WILSHIRE BLVD., 2ND

(Street)

(Middle)

Statement

(Month/Day/Year)

11/20/2013

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

CAPRICOR THERAPEUTICS, INC. [NLTXD]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

12/02/2013

(Check all applicable)

X Director Officer

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group

Filing(Check Applicable Line) _X_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

BEVERLY HILLS, CAÂ 90211

(State) (City)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

Beneficially Owned

2. Amount of Securities

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial

Ownership

(Instr. 5) Direct (D) or Indirect

(Instr. 5)

Shares of common stock held by COMMON STOCK I 897,512 Nancelou, Inc. (1)

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

2. Date Exercisable and **Expiration Date**

3. Title and Amount of Securities Underlying

5. Conversion Ownership

6. Nature of

Indirect Beneficial

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(Instr. 4)	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of	Form of Derivative	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	11/01/2007(2)	11/01/2017	COMMON STOCK	20,748	\$ 0.16	D	Â
Stock Option (right to buy)	09/25/2010(3)	09/25/2020	COMMON STOCK	82,994	\$ 0.37	D	Â
Stock Option (right to buy)	04/27/2012(4)	04/27/2022	COMMON STOCK	154,555	\$ 0.37	D	Â
Stock Option (right to buy)	04/27/2012(5)	04/27/2022	COMMON STOCK	124,491	\$ 0.37	D	Â
Stock Option (right to buy)	02/22/2013(6)	02/22/2023	COMMON STOCK	14,015	\$ 0.37	D	Â

Reporting Owners

Reporting Owner Name / Address		Kelationships		
	Director	10% Owner	Officer	Other
GRASMICK LOUIS J				

GRASMICK LOUIS J C/O CAPRICOR THERAPEUTICS, INC. 8840 WILSHIRE BLVD., 2ND FLOOR BEVERLY HILLS, CAÂ 90211

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Signatures

/s/ Linda Marban, as Attorney-in-Fact

**Signature of Reporting Person D

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).

This amendment to the Initial Statement of Beneficial Ownership of Securities on Form 3, which was filed with the Securities and Exchange Commission on December 2, 2013, is being filed to correct the original Form 3 filing by revising the disclosure of the

(1) Grasmick, husband and wife, own 50% of Nancelou, Inc. as tenants by the entirety, and Grant Grasmick, the son of Louis Grasmick and Nancy Grasmick, owns the remaining 50% of Nancelou, Inc. Therefore, Louis Grasmick, Nancy Grasmick and Grant Grasmick are deemed to have shared voting and dispositive power with respect to the securities of Capricor Therapeutics, Inc. beneficially owned by Nancelou, Inc.

ownership of Nancelou, Inc. 897,512 shares of common stock are beneficially owned by Nancelou, Inc. Louis Grasmick and Nancy

- (2) Vesting schedule is as follows: This option is deemed fully vested.
- (3) Vesting schedule is as follows: This option is deemed fully vested.
- (4) Vesting schedule is as follows: This option vests monthly over 48 months commencing May 1, 2012.
- (5) Vesting schedule is as follows: This option is deemed fully vested.

Reporting Owners 2

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Vesting schedule is as follows: 25% of the shares of common stock subject to this option vested immediately, with the remainder vesting over 36 months commencing May 1, 2013.

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Remarks:

Exhibit 24 - Power of Attorney

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.