

CAPRICOR THERAPEUTICS, INC.

Form 3/A

December 04, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 GRASMICK LOUIS J

(Last) (First) (Middle)

C/O CAPRICOR
THERAPEUTICS, INC.,Â 8840
WILSHIRE BLVD., 2ND
FLOOR

(Street)

BEVERLY
HILLS,Â CAÂ 90211

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/20/2013

3. Issuer Name and Ticker or Trading Symbol

CAPRICOR THERAPEUTICS, INC. [NLTXD]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)5. If Amendment, Date Original
Filed(Month/Day/Year)

12/02/2013

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 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

897,512

I

Shares of common stock held by
Nancelou, Inc. ⁽¹⁾Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

**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 control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative
Security2. Date Exercisable and
Expiration Date3. Title and Amount of
Securities Underlying

4. Conversion

5. Ownership

6. Nature of
Indirect Beneficial

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(Instr. 4)	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
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	Relationships			
	Director	10% Owner	Officer	Other
GRASMICK LOUIS J C/O CAPRICOR THERAPEUTICS, INC. 8840 WILSHIRE BLVD., 2ND FLOOR BEVERLY HILLS, CA 90211	Â X	Â	Â	Â

Signatures

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

12/04/2013

**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).

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

- (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.
- (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.

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- (6) 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:

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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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