CAPRICOR THERAPEUTICS, INC.

Form 3

December 02, 2013

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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)

(Instr. 4)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement CAPRICOR THERAPEUTICS, INC. [NLTXD] **Â** Smith Rachel (Month/Day/Year) 11/20/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O CAPRICOR (Check all applicable) THERAPEUTICS, INC., Â 8840 WILSHIRE BLVD., 2ND 10% Owner Director **FLOOR** _X__ Officer Other (give title below) (specify below) (Street) 6. Individual or Joint/Group VP of Research and Development Filing(Check Applicable Line) _X_ Form filed by One Reporting Person **BEVERLY** Form filed by More than One HILLS, CAÂ 90211 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Ownership

Beneficially Owned

(Instr. 4)

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

SEC 1473 (7-02)

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

Ownership

(Instr. 5)

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

3. Title and Amount of 6. Nature of 1. Title of Derivative 2. Date Exercisable and 5. 4. Securities Underlying Conversion Security Ownership Indirect Beneficial **Expiration Date** (Instr. 4) (Month/Day/Year) Derivative Security or Exercise Form of Ownership (Instr. 4) Price of Derivative (Instr. 5) Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	01/01/2008(1)	01/01/2018	COMMON STOCK	20,748	\$ 0.16	D	Â
Stock Option (right to buy)	01/01/2010(2)	01/01/2020	COMMON STOCK	16,598	\$ 0.19	D	Â
Stock Option (right to buy)	07/27/2012(3)	07/27/2022	COMMON STOCK	38,384	\$ 0.37	D	Â
Stock Option (right to buy)	11/13/2012(4)	11/13/2022	COMMON STOCK	75,732	\$ 0.37	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
Fg	Director	10% Owner	Officer	Other		
Smith Rachel C/O CAPRICOR THERAPEUTICS, INC. 8840 WILSHIRE BLVD., 2ND FLOOR BEVERLY HILLS, CA 90211	Â	Â	VP of Research and Development	Â		

Signatures

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

**Signature of Reporting Person

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) Vesting schedule is as follows: This option is deemed fully vested.
- Vesting schedule is as follows: The shares of common stock subject to this option vest 25% per year over 4 years commencing January 1, 2011.
- Vesting schedule is as follows: The shares of common stock subject to this option vest 25% per year over 4 years commencing July 27,
- (4) Vesting schedule is as follows: The shares of common stock subject to this option vest 25% per year over 4 years commencing November 13, 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.

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