

CAPRICOR THERAPEUTICS, INC.

Form 3

September 12, 2014

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

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated average  
burden hours per  
response... 0.5**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 \*

St. John Edward A.

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

11/20/2013

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

CAPRICOR THERAPEUTICS, INC. [CAPR]

4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☒ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☐ Form filed by One Reporting  
Person  
☒ Form filed by More than One  
Reporting Person2560 LORD BALTIMORE  
DRIVE

(Street)

COLUMBIA, MD 21244

(City)

(State)

(Zip)

**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

1,556,141

D <sup>(1)</sup>

St.

Common Stock

1,556,141

I

See Footnote <sup>(2)</sup>

Common Stock

1,556,141

I

See Footnote <sup>(3)</sup>

Common Stock

54,602

D <sup>(4)</sup>

St.

Common Stock

324,196

I

See Footnote <sup>(5)</sup>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)**

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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)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
St. John Edward A. 2560 LORD BALTIMORE DRIVE COLUMBIA, MD 21244	^	^ X	^	^
MD BTI, LLC 2560 LORD BALTIMORE DRIVE COLUMBIA, MD 21244	^	^ X	^	^
Edward St. John, LLC 2560 LORD BALTIMORE DRIVE COLUMBIA, MD 21244	^	^ X	^	^

## Signatures

/s/ Joseph P. Ward ,  
attorney-in-fact

09/12/2014

\*\*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) This Form 3 is filed jointly by Edward A. St. John, MD BTI, LLC ("MD BTI"), and Edward St. John, LLC ("St. John LLC"). The shares reported here are owned directly by MD BTI.
- (2) St. John LLC is the company manager of MD BTI. Accordingly, St. John LLC is the indirect beneficial owner of the shares reported here. St. John LLC disclaims beneficial ownership of these shares except to the extent of its pecuniary interest in the shares.  
Mr. St. John is the sole member and general manager of St. John LLC, the company manager of MD BTI. Accordingly, Mr. St. John is the indirect beneficial owner of the shares reported here. Mr. St. John disclaims beneficial ownership of these shares except to the extent of his pecuniary interest in the shares.
- (3) These shares are owned directly by Mr. St. John.
- (4) These shares are owned directly by MD BTI, Inc., of which Mr. St. John is the President and a stockholder. Accordingly, Mr. St. John is the indirect beneficial owner of these shares. Mr. St. John disclaims beneficial ownership of these shares except to the extent of his pecuniary interest in the shares.

^

### Remarks:

Exhibit List: Exhibit 24.1 - Power of Attorney for Edward A. St. John, Exhibit 24.2 - Power of Attorney for Edward St. John

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.