

Gaines George
Form 4
September 04, 2018

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Gaines George

2. Issuer Name **and** Ticker or Trading
Symbol
CRYO CELL INTERNATIONAL
INC [CCEL]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

700 BROOKER CREEK BLVD.,
SUITE 1800

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
08/31/2018

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

OLDSMAR, FL 34677

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

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

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock					20,000	D	
Common Stock					1,050,400	I	By IRA
Common Stock	08/30/2018		P		2,700	A	\$ 8 1,053,100 I By IRA
Common Stock	08/30/2018		P		100	A	\$ 7.95 1,053,200 I By IRA

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

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SEC 1474
(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	\$ 2.04							07/10/2012 ⁽¹⁾	07/10/2022	Common Stock	7,500
Stock Options	\$ 1.95							07/19/2013 ⁽²⁾	07/19/2023	Common Stock	7,500
Stock Options	\$ 2.4							07/22/2014 ⁽³⁾	07/22/2024	Common Stock	7,500
Stock Options	\$ 3.08							07/09/2015 ⁽⁴⁾	07/09/2025	Common Stock	7,500
Stock Options	\$ 3.5							07/06/2016 ⁽⁵⁾	07/06/2026	Common Stock	7,500
Stock Options	\$ 7							07/18/2017 ⁽⁶⁾	07/18/2027	Common Stock	7,500

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Gaines George 700 BROOKER CREEK BLVD., SUITE 1800 OLDSMAR, FL 34677	X

Signatures

/s/ George
Gaines

09/04/2018

__Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(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) Stock options vest at a rate of 1/12 per month commencing on July 10, 2012.
- (2) Stock options vest at a rate of 1/3 per month commencing on July 19, 2013.
- (3) Stock options vest at a rate of 1/12 per month commencing on July 22, 2014.
- (4) Stock options vest at a rate of 1/12 per month commencing on July 9, 2015.
- (5) Stock options vest at a rate of 1/12 per month commencing on July 6, 2016.
- (6) Stock options vest at a rate of 1/12 per month commencing on July 18, 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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