

CAPRICOR THERAPEUTICS, INC.
 Form 3
 September 12, 2014

FORM 3 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 * St. John Edward A. (Last) (First) (Middle) 2560 LORD BALTIMORE DRIVE (Street) COLUMBIA, MD 21244 (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. [CAPR] | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) | 5. If Amendment, Date Original Filed(Month/Day/Year) | 6. Individual or Joint/Group Filing(Check Applicable Line) <input type="checkbox"/> Form filed by One Reporting Person <input checked="" type="checkbox"/> 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 | 1,556,141 | D ⁽¹⁾ | St |
| Common Stock | 1,556,141 | I | See Footnote ⁽²⁾ |
| Common Stock | 1,556,141 | I | See Footnote ⁽³⁾ |
| Common Stock | 54,602 | D ⁽⁴⁾ | St |
| Common Stock | 324,196 | I | See Footnote ⁽⁵⁾ |

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)

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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.
- (3) 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.
- (4) These shares are owned directly by Mr. St. John.
- (5) 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 A. 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.