

CAPRICOR THERAPEUTICS, INC.

Form 4

March 18, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
St. John Edward A.

2. Issuer Name and Ticker or Trading Symbol  
CAPRICOR THERAPEUTICS, INC. [CAPR]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
2560 LORD BALTIMORE DRIVE  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
03/16/2016

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
 10% Owner  
\_\_\_\_ Other (specify below)

BALTIMORE, MD 21244

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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	03/16/2016		P		416,666	A	\$ 2.4
Common Stock							842,439
Common Stock							1,556,141
Common Stock	03/16/2016		P		416,666	A	\$ 2.4
Common Stock							842,439
Common Stock							1,556,141

By MD BTI, LLC (3)  
By Edward St. John, LLC (4)  
By MD BTI, LLC

Common Stock	54,602	D <sup>(6)</sup>	(5)
Common Stock	324,196	I	By MD BTI, Inc. <u>(7)</u>

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

**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.**

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(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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount of Number of Shares
Warrant	\$ 4.5	03/16/2016		P	208,333	09/17/2016	03/16/2019	Common Stock	208,333
Warrant	\$ 4.5	03/16/2016		P	208,333	09/17/2016	03/16/2019	Common Stock	208,333

## Reporting Owners

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

## Signatures

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

03/18/2016

           \*\*Signature of Reporting Person

Date

