

CAPRICOR THERAPEUTICS, INC.  
 Form 3/A  
 December 04, 2013

**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)

|  |   |   |   |   |  |
|--|---|---|---|---|--|
| <p>1. Name and Address of Reporting Person *</p> <p>Â GRASMICK LOUIS J</p> <p>(Last) (First) (Middle)</p> <p>C/O CAPRICOR THERAPEUTICS, INC.,Â 8840 WILSHIRE BLVD., 2ND FLOOR</p> <p>(Street)</p> <p>BEVERLY HILLS,Â CAÂ 90211</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>11/20/2013</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>CAPRICOR THERAPEUTICS, INC. [NLTXD]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br/> <input type="checkbox"/> Officer <input type="checkbox"/> Other<br/>                 (give title below) (specify below)</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> <p>12/02/2013</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person<br/> <input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|---|---|---|--|

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
| COMMON STOCK                       | 897,512  | I   | Shares of common stock held by Nancelou, Inc. (1)        |

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)**

| 1. Title of Derivative Security | 2. Date Exercisable and Expiration Date | 3. Title and Amount of Securities Underlying | 4. Conversion | 5. Ownership | 6. Nature of Indirect Beneficial |
|---------------------------------|---|--|---------------|--------------|----------------------------------|
|---------------------------------|---|--|---------------|--------------|----------------------------------|

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| (Instr. 4)                  | (Month/Day/Year)          |            | Derivative Security | Amount or | or Exercise | Form of     | Ownership |
|-----------------------------|---------------------------|------------|---------------------|-----------|-------------|-------------|-----------|
|                             | Date                      | Expiration | (Instr. 4)          |           |             |             |           |
|                             | Exercisable               | Date       | Title               | Shares    | Derivative  | Security:   |           |
|                             |                           |            |                     |           | Security    | Direct (D)  |           |
|                             |                           |            |                     |           |             | or Indirect |           |
|                             |                           |            |                     |           |             | (I)         |           |
|                             |                           |            |                     |           |             | (Instr. 5)  |           |
| Stock Option (right to buy) | 11/01/2007 <sup>(2)</sup> | 11/01/2017 | COMMON STOCK        | 20,748    | \$ 0.16     | D           | Â         |
| Stock Option (right to buy) | 09/25/2010 <sup>(3)</sup> | 09/25/2020 | COMMON STOCK        | 82,994    | \$ 0.37     | D           | Â         |
| Stock Option (right to buy) | 04/27/2012 <sup>(4)</sup> | 04/27/2022 | COMMON STOCK        | 154,555   | \$ 0.37     | D           | Â         |
| Stock Option (right to buy) | 04/27/2012 <sup>(5)</sup> | 04/27/2022 | COMMON STOCK        | 124,491   | \$ 0.37     | D           | Â         |
| Stock Option (right to buy) | 02/22/2013 <sup>(6)</sup> | 02/22/2023 | COMMON STOCK        | 14,015    | \$ 0.37     | D           | Â         |

### Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| GRASMICK LOUIS J<br>C/O CAPRICOR THERAPEUTICS, INC.<br>8840 WILSHIRE BLVD., 2ND FLOOR<br>BEVERLY HILLS, CA 90211 | Â X           | Â         | Â       | Â     |

### Signatures

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

12/04/2013

\*\*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).

This amendment to the Initial Statement of Beneficial Ownership of Securities on Form 3, which was filed with the Securities and Exchange Commission on December 2, 2013, is being filed to correct the original Form 3 filing by revising the disclosure of the ownership of Nancelou, Inc. 897,512 shares of common stock are beneficially owned by Nancelou, Inc. Louis Grasmick and Nancy

- (1) Grasmick, husband and wife, own 50% of Nancelou, Inc. as tenants by the entirety, and Grant Grasmick, the son of Louis Grasmick and Nancy Grasmick, owns the remaining 50% of Nancelou, Inc. Therefore, Louis Grasmick, Nancy Grasmick and Grant Grasmick are deemed to have shared voting and dispositive power with respect to the securities of Capricor Therapeutics, Inc. beneficially owned by Nancelou, Inc.
- (2) Vesting schedule is as follows: This option is deemed fully vested.
- (3) Vesting schedule is as follows: This option is deemed fully vested.
- (4) Vesting schedule is as follows: This option vests monthly over 48 months commencing May 1, 2012.
- (5) Vesting schedule is as follows: This option is deemed fully vested.

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- (6) Vesting schedule is as follows: 25% of the shares of common stock subject to this option vested immediately, with the remainder vesting over 36 months commencing May 1, 2013.

Â

**Remarks:**

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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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