

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

CAPRICOR THERAPEUTICS, INC.

Form: 4

Date Filed: 2021-01-06

Corporate Issuer CIK: 1133869

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

OMB APPROV	'AL
OMB Number:	3235-0287
Estimated average burder	n hours
per response	0.5

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 or Section 30(h) of the Investment Company Act of 1940

(Print or Type	e Responses)															
Name and Address of Reporting Person Manzo Louis								or Trading S UTICS, IN		PRI		Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) (First) (Middle) C/O CAPRICOR THERAPEUTICS, INC., 8840 WILSHIRE BLVD., 2ND FLOOR					e of Ea 1/202		sactio	n (Month/Da	y/Year)		-	X_ Director 10% Owner Officer (give title below) Other (specify below)				
(Street) BEVERLY HILLS, CA 90211				4. If Ar	mendr	ment, Date (Origin	al FiledMonth	/Day/Year)		Individual or Joint/Group Filing(Check Applicable Line) X_ 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 Sec (Instr. 3)	curity		2. Transaction Date (Month/Day/Y	Exe ear) any	,	n Date, if Co	Transode ode nstr. 8	(3)	A) or Disponent of the control of th	osed o	of (D) Fo	Amount of Sec Ilowing Report str. 3 and 4)		eficially Owned iion(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Benefic Owners
Dania dan D			-16					l: 41								•
neminaer. n	ероп оп а ѕер	arate line for each	class of securities b					Person form ar	e not requ ontrol nun	uired t nber.	to respond			itained in this		1474 (9-
	_			(e.g		s, calls, wa	rrants	s, options, o	convertibl	e sec	urities)					
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)	Code		5. Number of Derivative Securities Acquired (A Disposed of (Instr. 3, 4, a 5)		6. Date Ex Expiration (Month/Da	on Date		7. Title and Underlying (Instr. 3 an			9. Number of Derivative Securities Beneficially Owned Following Reported	10. Ownership Form of Derivative Security: Direct (D) or Indirect	11. Nati of Indire Benefic Owners (Instr. 4
				Code	V	(A)	(D)	Date Exercisable	Expiration Expiration Expiration	on	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)	(I) (Instr. 4)	
Stock Option (Right to Buy)	\$ 3.74	01/04/2021		А		72,066		<u>(1)</u>	01/04/2	2031	Commo Stock	72,066	\$ 0	72,066	D	
Reporti	ing Owr	ners														
Reporting Owner Name / Address				delations % Owne		icer Other										
8840 WILS	RICOR THE	RAPEUTICS, I D., 2ND FLOO 90211														
Signatu	ıres															

Explanation of Responses:

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

Signature of Reporting Person

- * 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).

01/06/2021

The shares vest 1/48th of the first day of each month, commencing February 1, 2021, until the stock option becomes fully vested and exercisable. The option is subject to early exercise and, (1) therefore, all or any part of the option can be exercised at any time. If the reporting person elects to take advantage of the early exercise feature and purchase shares prior to the vesting of such shares, the shares will be deemed restricted stock and will be subject to a repurchase option in favor of the Issuer if the reporting person's service to the Issuer terminates prior to vesting.

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.

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(Print or Type	Responses)																		
Name and Address of Reporting Person				Issuer Name and Ticker or Trading Symbol CAPRICOR THERAPEUTICS, INC. [CAPR]									Relationship of Reporting Person(s) to Issuer (Charle all applicable)						
Manzo Louis										-	R]		(Check all applicable)						
C/O CAPRICOR THERAPEUTICS, INC., 8840 WILSHIRE BLVD., 2ND FLOOR				3. Date 01/04			ansactio	n (M	onth/Day	//Year)		-	Officer (give title below) Other (specify below)						
				4. If Am	nendm	ent, Dat	e Origin	al Fil	ledMonth/l	Day/Year)			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	e I - I	Non-Der	d, Disposed o	of, or Beneficially Owned										
(Instr. 3)		Date	2. Transaction Date (Month/Day/Ye			ed Date, if ay/Year)	3. Tran Code (Instr. 8		(A	4. Securities Acq (A) or Disposed of (Instr. 3, 4 and 5)		f (D) Fol	5. Amount of Securities Beneficially Owner Following Reported Transaction(s) (Instr. 3 and 4)		•	Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership		
								Coc	le	V	Amount (D)		Price	e			or Indirect (I) (Instr. 4)	(Instr. 4)	
Reminder: Re	eport on a sep	arate line for each o	class of se	ecurities be	eneficiall	y own	ed direc	tly or inc	I	Persons form are		ired to		ction of inforr unless the for		tained in this a currently va		1474 (9-02)	
				Table					quire	ed, Dispe		r Bene	eficially Ov	vned					
Derivative C Security (Instr. 3) F	2. Conversion or Exercise Price of Derivative Security	Date (Month/Day/Year)	Execution Date, if		Code		5. Number of Derivative Securities Acquired (A) or Disposed of (D (Instr. 3, 4, and 5)		Expiration (Month/EA) or of (D)		Exercisable and ion Date /Day/Year)		7. Title and Underlying (Instr. 3 and	Securities	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported	10. Ownership Form of Derivative Security: Direct (D) or Indirect	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
					Code	٧	(A)	(D)	Dat Exe	te ercisable	Expiration Date	۱ -	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)	(I) (Instr. 4)		
Stock Option (Right to Buy)	\$ 3.74	01/04/2021			Α		72,06	6		<u>(1)</u>	01/04/2	031	Common Stock	72,066	\$0	72,066	D		
Reporti	ng Own	ers																	
Reporting Owner Name / Address			elationships % Owner Officer Other																

Signatures

/s/ Linda Marban, as Attorney-in-Fact	01/06/2021	
Signature of Reporting Person	Date	

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