CESCA THERAPEUTICS INC.

Form 3 April 09, 2014

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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January 31, 2005

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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 \*

À Rao Mahendra S.

(Last)

(First)

(Middle)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year)

04/01/2014

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O CESCA

THERAPEUTICS, 2711

CITRUS RD.

(Street)

10% Owner \_X\_ Director Officer Other

(give title below) (specify below)

(Check all applicable)

CESCA THERAPEUTICS INC. [KOOL]

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

#### **RANCHO** CORDOVA, CAÂ 95742

(City)

(Instr. 4)

1. Title of Security

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect (I)

(Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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.

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

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. 5. Conversion or Exercise

Price of

6. Nature of Indirect Ownership Beneficial Ownership Form of (Instr. 5)

Title

Expiration Exercisable Date

Amount or Number of

Security: Derivative Security Direct (D)

Derivative

1

#### Edgar Filing: CESCA THERAPEUTICS INC. - Form 3

Shares or Indirect
(I)
(Leath 5)

(Instr. 5)

Option  $\hat{A} = \frac{(1)}{1} = 04/01/2021 - \frac{Common}{Stock} = 25,000 - \$1.78 - D - \hat{A}$ 

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Rao Mahendra S.

C/O CESCA THERAPEUTICS 2711 CITRUS RD.

 $\hat{A}$  X  $\hat{A}$   $\hat{A}$   $\hat{A}$ 

RANCHO CORDOVA, CAÂ 95742

# **Signatures**

/s/ Mahendra S. Rao, Ph.D, M.D

04/02/2014

\*\*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) Option vests monthly over a one year period.

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.

Reporting Owners 2