#### CESCA THERAPEUTICS INC.

Form 4 March 05, 2014

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL OMB** 

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Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \*

**BESSEY DAN T** 

2. Issuer Name and Ticker or Trading

Symbol

CESCA THERAPEUTICS INC.

[KOOL]

(Check all applicable)

5. Relationship of Reporting Person(s) to

Issuer

(Last) (First) (Middle)

C/O CESCA THERAPEUTICS

INC., 2711 CITRUS RD.

(City)

Common

Stock

3. Date of Earliest Transaction

(Month/Day/Year) 03/03/2014

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

below) below) **CFO** 

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

RANCHO CORDOVA, CA 95742

(State)

03/03/2014

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

(Zip)

Transaction(A) or Disposed of Code (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities Acquired 5. Amount of Securities Beneficially (D) or Owned Following Reported

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Ownership Indirect (I) (Instr. 4) (Instr. 4)

or Code V Amount (D)

(1)

A

Price 67,500 \$0 A

(A)

 $117,500 \frac{(3)}{}$ 

Transaction(s)

(Instr. 3 and 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

### Edgar Filing: CESCA THERAPEUTICS INC. - Form 4

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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exer Expiration D (Month/Day)	ate	7. Title and Underlying (Instr. 3 and	Securities 1
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Option	\$ 2.18	03/03/2014		A	33,585	(2)	03/03/2018	Common	33,585

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
BESSEY DAN T C/O CESCA THERAPEUTICS INC. 2711 CITRUS RD. RANCHO CORDOVA, CA 95742			CFO			

# **Signatures**

/s/ Dan T.

Bessey

\*\*Signature of Reporting Person

O3/05/2014

## **Explanation of Responses:**

- \* 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).
- (1) Shares vest in three equal installments on March 3, 2015, 2016 and 2017.
- (2) Option vests in three equal installments on March 3, 2015, 2016 and 2017.
- (3) Also includes 50,000 shares of restricted stock which will vest in three equal installments on March 27, 2014, 2015 and 2016.

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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