

CESCA THERAPEUTICS INC.

Form 4/A

April 17, 2015

**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 \*  
Plavan Matthew T

2. Issuer Name and Ticker or Trading Symbol  
CESCA THERAPEUTICS INC.  
[KOOL]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
06/01/2012

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

CEO & Director

C/O CESCA THERAPEUTICS INC., 2711 CITRUS RD.

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)  
07/31/2014

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

RANCHO CORDOVA, CA 95742

(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 or Price (A) or (D)  |  |                                   |
| Common Stock                    | 06/01/2012                           |  | F                              |   | 3,300<br><u>(1)</u> <u>(2)</u>  | D  | \$ 0.87 115,450 <u>(3)</u> D      |
| Common Stock                    | 07/29/2012                           |  | F                              |   | 8,263<br><u>(1)</u> <u>(2)</u>  | D  | \$ 0.88 107,187 <u>(4)</u> D      |
| Common Stock                    | 06/01/2013                           |  | F                              |   | 3,300<br><u>(1)</u> <u>(2)</u>  | D  | \$ 1.17 103,887 <u>(5)</u> D      |
| Common Stock                    | 07/29/2013                           |  | F                              |   | 8,402<br><u>(1)</u> <u>(2)</u>  | D  | \$ 1.16 95,485 <u>(6)</u> D       |
| Common Stock                    | 06/01/2014                           |  | F                              |   | 3,395<br><u>(1)</u> <u>(2)</u>  | D  | \$ 1.71 302,090 <u>(7)</u> D      |

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

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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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares   |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                |       |
|--|---------------|-----------|----------------|-------|
|  | Director      | 10% Owner | Officer        | Other |
| Plavan Matthew T<br>C/O CESCA THERAPEUTICS INC.<br>2711 CITRUS RD.<br>RANCHO CORDOVA, CA 95742 | X             |           | CEO & Director |       |

## Signatures

/s/ Matthew T. Plavan 04/17/2015

\*\*Signature of Reporting Person Date

## 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) Net surrender of vested restricted stock for payment of taxes related thereto.  
These shares were omitted and not timely filed on the reporting person's Form 4. However, while the corresponding Form 4 was not filed,
  - (2) the transactions were reflected on the reporting person's Amount of Securities Beneficially Owned Following Reported Transaction(s) in the intervening Form 4s.
  - (3) Also includes 20,000 shares of restricted stock which will vest in two equal installments June 1, 2013 and 2014 and 75,000 shares of restricted stock which will vest in three equal installments on July 29, 2012, 2013 and 2014.

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- (4) Also includes 20,000 shares of restricted stock which will vest June 1, 2013 and 2014 and 50,000 shares of restricted stock that will vest in two equal installments on July 29, 2013 and 2014.
- (5) Also includes 10,000 shares of restricted stock which will vest June 1, 2014 and 50,000 shares of restricted stock which will vest in two equal installments on July 29, 2013 and 2014.
- (6) Also includes 10,000 shares of restricted stock which will vest on June 1, 2014 and 25,000 shares of restricted stock which will vest on July 29, 2014.
- (7) Also includes 25,000 shares of restricted stock which will vest on July 29, 2014 and 210,000 shares of restricted stock which will vest in three equal installments on March 3, 2015, 2016 and 2017.

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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