

CESCA THERAPEUTICS INC.
Form 3
March 15, 2017

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 Cauble Jeffery</p> <p>(Last) (First) (Middle)</p> <p>2711 CITRUS ROAD</p> <p>(Street)</p> <p>RANCHO</p> <p>CORDOVA,Â CAÂ 95742</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>03/10/2017</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>CESCA THERAPEUTICS INC. [KOOL]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>Principal Accounting Officer</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|--|---|---|--|

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|
| Common Stock (Restricted) ⁽³⁾ | 90 | D | Â |
| Common Stock (Restricted) ⁽²⁾ | 833 | D | Â |
| Common Stock (Restricted) ⁽¹⁾ | 9,230 | D | Â |
| Common Stock | 2,446 | D | Â |

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 (Instr. 4) | 2. Date Exercisable and Expiration Date | 3. Title and Amount of Securities Underlying | 4. Conversion | 5. Ownership | 6. Nature of Indirect Beneficial Ownership |
|---|---|--|---------------|--------------|--|
|---|---|--|---------------|--------------|--|

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| | (Month/Day/Year) | | Derivative Security (Instr. 4) | | or Exercise Price of Derivative Security | Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|---------------|---------------------|--------------------|-----------------------------------|----------------------------------|---|--|------------|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Stock Options | Â (4) | 07/01/2018 | Common Stock | 188 | \$ 27.4 | D | Â |
| Stock Options | Â (5) | 09/10/2022 | Common Stock | 1,250 | \$ 12.6 | D | Â |
| Stock Options | Â (6) | 07/07/2023 | Common Stock | 4,000 | \$ 2.86 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Cauble Jeffery 2711 CITRUS ROAD RANCHO CORDOVA, CA 95742 | Â | Â | Â Principal Accounting Officer | Â |

Signatures

/s/ Jeffery
Cauble

03/15/2017

__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) Represents 9,230 shares of restricted stock that vest 100% on July 1, 2017 on the condition that participant continues to be employed at vesting date or sooner if terminated.
- (2) Half vests on May 5, 2017 and the remainder on May 5, 2018.
- (3) Vests on June 30, 2017.
- (4) 141 of the 188 options are currently vested with the remainder vesting on July 1, 2017.
- (5) 626 options are currently vested. The remaining 624 vests in thirds on September 10, 2017, March 10, 2018 and September 10, 2018.
- (6) Options vest every 6 months over a 3 year period starting January 7, 2017.

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.