Capstone Therapeutics Corp.

Form 4

August 01, 2013

# FORM 4

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

OMB Number:

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

3235-0287

0.5

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

January 31, Expires: 2005

**OMB APPROVAL** 

Estimated average

burden hours per response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

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

2. Issuer Name and Ticker or Trading

Capstone Therapeutics Corp. [CAPS]

Symbol

1(b).

(Print or Type Responses)

MILLER LLOYD I III

1. Name and Address of Reporting Person \*

| (Last)                               | (First) (                               | Middle)                                  | 3. Date o | of Earliest T                          | Transaction   |                        |   |  |  |   |  |
|--------------------------------------|---|--|-----------|--|---|------------------------|---|--|--|---|--|
| 222 I AKE                            | (Month/Day/Year)<br>07/30/2013          |  |           |  |   | Director Officer (give | X 10 <sup>e</sup>   | % Owner<br>her (specify  |  |   |  |
| 160-365                              | VIEW AVENUE                             | , SUIL                                   | 07/30/2   | 2013                                   |   |                        | ĺ   | pelow)   | below)   |   |  |
|                                      | (Street)                                |  | 4. If Amo | endment, D                             | Date Original   |                        | (   | 6. Individual or Joint/Group Filing(Check  |  |   |  |
| WEST PALM BEACH, FL 33401            |   |  |           |  |   |                        | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting |  |  |   |  |
| WESTFA                               | LM BEACH, FL                            | 33401                                    |           |  |   |                        | 1   | Person   |  |   |  |
| (City)                               | (State)                                 | (Zip)                                    | Tab       | le I - Non-                            | Derivative Sec  | curitie                | s Acqu  | ired, Disposed of  | , or Beneficia   | lly Owned   |  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deem<br>Execution<br>any<br>(Month/D | Date, if  | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securities Approximately 10 or Disposed of (Instr. 3, 4 and Amount | of (D)                 | red (A)   | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock                      | 07/30/2013                              |  |           | P                                      | 1,139,000   | A                      | \$<br>0.2   | 5,851,468 (1)  | I  | By Trust<br>A-4 -<br>Lloyd I.<br>Miller                           |  |
| Common<br>Stock                      |   |  |           |  |   |                        |   | 472,792 <u>(1)</u>   | I  | By Milfam<br>II L.P.  |  |
| Common<br>Stock                      |   |  |           |  |   |                        |   | 90,344 (1)   | I  | By Trust D - Lloyd I. Miller                                      |  |
| Common<br>Stock                      |   |  |           |  |   |                        |   | 545,462 <u>(1)</u> <u>(2)</u>  | I  | By Trust C - Lloyd I.   |  |

#### Edgar Filing: Capstone Therapeutics Corp. - Form 4

|                 |                |   | Miller              |
|-----------------|----------------|---|---------------------|
| Common<br>Stock | 95,756 (1) (2) | I | By Milgrat<br>Q8    |
| Common<br>Stock | 724,100 (1)    | I | By<br>LIMFAM<br>LLC |
| Common<br>Stock | 58,967         | D |                     |

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.

> 9. Nu Deriv Secu Bene Own Follo Repo Trans (Insti

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transac<br>Code<br>(Instr. 8 | 5. tionNumber of ) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 3                   | ate                | 7. Title a<br>Amount<br>Underlyi<br>Securitie<br>(Instr. 3 | of<br>ing<br>es | 8. Price of Derivative Security (Instr. 5) |
|---|---|--------------------------------------|---|------------------------------------|---|---------------------|--------------------|--|-----------------|--|
|   |   |                                      |   | Code V                             | V (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title N  | umber           |  |

# **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |  |  |
|---|---------------|-----------|---------|-------|--|--|--|
| treporting of their trainer, trainered  | Director      | 10% Owner | Officer | Other |  |  |  |
| MILLER LLOYD I III<br>222 LAKEVIEW AVENUE<br>SUITE 160-365<br>WEST PALM BEACH, FL 33401 |               | X         |         |       |  |  |  |
| Signatures  |               |           |         |       |  |  |  |

# Signatures

/s/ Paul Silverstein 08/01/2013 Attorney-in-fact

\*\*Signature of Reporting Person Date

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### **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).
- The reporting person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein. This filing (1) shall not be deemed an admission that the reporting person is, for purposes of Section 16 of the Securities Exchange Act of 1934 or otherwise, the beneficial owner of any equity securities covered by this filing.
- On December 5, 2012, 545,462 securities held by Milgrat (Q8) were transferred to Trust C. Such transaction only effected a change in the (2) form of beneficial ownership without changing the reporting person's pecuniary interest in such securities and was exempt from Section 16 of the Securities Exchange Act of 1934 pursuant to Rule 16a-13.

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.