### ATHERSYS, INC / NEW

Form 4

February 01, 2017

## FORM 4

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

**OMB** 

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

3235-0287 Number: January 31, Expires: 2005

0.5

**OMB APPROVAL** 

Section 16. Form 4 or Form 5 obligations may continue.

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

burden hours per response...

Estimated average

See Instruction 1(b).

Common

Stock

02/01/2017

(Print or Type Responses)

| 1. Name and Address of Reporting Person <u>*</u> Kola Ismail |                     |              | 2. Issuer Name and Ticker or Trading Symbol ATHERSYS, INC / NEW [ATHX] |             |                           | 5. Relationship of Reporting Person(s) to Issuer     |                                      |              |  |
|--|---------------------|--------------|--|-------------|---------------------------|--|--------------------------------------|--------------|--|
|  |                     |              |  |             |                           | (Check all applicable)                               |                                      |              |  |
| (Last)   | (First) (N          | Middle) 3.   | 3. Date of Earliest Transaction  |             |                           |  |                                      |              |  |
|  |                     |              | (Month/Day/Year)   |             |                           | _X_ Director   | 10%                                  | Owner        |  |
| 3201 CARNEGIE AVENUE (Street)                                |                     |              | 02/01/2017   |             |                           | Officer (give below)                                 | r (specify                           |              |  |
|  |                     |              | 4. If Amendment, Date Original   |             |                           | 6. Individual or Joint/Group Filing(Check            |                                      |              |  |
| CLEVEL A   | AND, OH 44115-20    |              | iled(Mon   | th/Day/Year | )                         | Applicable Line) _X_ Form filed by 0 Form filed by N | One Reporting Pe<br>More than One Re |              |  |
| CLEVELA  | MND, OH 44113-20    | 034          |  |             |                           | Person   |                                      |              |  |
| (City)   | (State)             | (Zip)        | Table  | e I - Non-D | Perivative Securities Acq | uired, Disposed of                                   | f, or Beneficial                     | ly Owned     |  |
| 1.Title of   | 2. Transaction Date | e 2A. Deemed | d  | 3.          | 4. Securities Acquired    | 5. Amount of   | 6. Ownership                         | 7. Nature of |  |
| Security   | (Month/Day/Year)    | Execution D  | Date, if   | Transactio  | on(A) or Disposed of (D)  | Securities   | Form: Direct                         | Indirect     |  |
| (Instr. 3)   |                     | any          |  | Code        | (Instr. 3, 4 and 5)       | Beneficially   | (D) or                               | Beneficial   |  |
|  |                     | (Month/Day   | /Year)   | (Instr. 8)  |                           | Owned  | Indirect (I)                         | Ownership    |  |
|  |                     |              |  |             |                           | Following  | (Instr. 4)                           | (Instr. 4)   |  |
|  |                     |              |  |             | (A)                       | Reported   |                                      |              |  |
|  |                     |              |  |             | (2.1)                     | Transaction(c)                                       |                                      |              |  |

Code V

P

Amount

15,000

(1)

(D)

Price

1.01

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.

D

Transaction(s) (Instr. 3 and 4)

15,000

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

### Edgar Filing: ATHERSYS, INC / NEW - Form 4

|   | . Title of                          | 2.  | 3. Transaction Date (Month/Day/Year) |   | 4.                              | 5.   | 6. Date Exerc       |                    | 7. Title and   | 8. Price of                          | 9. Nu<br>Deriv  |
|---|-------------------------------------|---|--------------------------------------|---|---------------------------------|--|---------------------|--------------------|--|--------------------------------------|---|
| 5 | Derivative<br>Security<br>Instr. 3) | Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | (Month/Day/Year)                     | Execution Date, if any (Month/Day/Year) | Transacti<br>Code<br>(Instr. 8) | orNumber<br>of<br>Derivativ<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | s<br>I              |                    | Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4 | Derivative<br>Security<br>(Instr. 5) | Deriv<br>Secur<br>Bene<br>Own<br>Follo<br>Repo<br>Trans<br>(Instr |
|   |                                     |   |                                      |   | Code V                          | <i></i>  | Date<br>Exercisable | Expiration<br>Date | Title Amour<br>or<br>Number<br>of                        | er                                   |   |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |         |       |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|
|                                | Director      | 10% Owner | Officer | Other |  |  |
| Kola Ismail                    |               |           |         |       |  |  |
| 3201 CARNEGIE AVENUE           | X             |           |         |       |  |  |
| CLEVELAND, OH 44115-2634       |               |           |         |       |  |  |

# **Signatures**

/s/ Laura K. Campbell, as attorney-in-fact for Ismail Kola 02/01/2017

\*\*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) Purchase of shares in an underwritten public offering at the price paid by the public.

#### **Remarks:**

Purchase of shares in underwritten public offering at price paid by the public.

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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