Cellular Biomedicine Group, Inc.

Form 4 April 14, 2016

FORM 4

#### **OMB APPROVAL**

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**OMB** 3235-0287 Number:

Check this box if no longer subject to Section 16.

Washington, D.C. 20549

January 31, Expires: 2005

Form 4 or Form 5

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

Estimated average burden hours per response... 0.5

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Cao Wei (William)

Symbol Cellular Biomedicine Group, Inc.

(Check all applicable)

[CBMG]

(Middle)

(Zip)

(Last)

3. Date of Earliest Transaction

\_X\_\_ Director Officer (give title

10% Owner Other (specify

19925 STEVENS CREEK BLVD.,

(Street)

(State)

(First)

SUITE 100

(City)

4. If Amendment, Date Original

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

Filed(Month/Day/Year)

(Month/Day/Year)

03/01/2016

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

CUPERTINO, CA 95014

|                                      |   | 140   | Table 1 - Non-Derivative Securities Acquired, Disposed of, or Deficiently Owned |  |                      |   |                                  |            |  |
|--------------------------------------|---|---|---|--|----------------------|---|----------------------------------|------------|--|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8)   | Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) |                      | 5. Amount of<br>Securities<br>Beneficially<br>Owned | 6. Ownership Form: Direct (D) or | Ownership  |  |
|                                      |   |   | Code V  | C  | A)<br>or<br>D) Price | Following Reported Transaction(s) (Instr. 3 and 4)  | Indirect (I)<br>(Instr. 4)       | (Instr. 4) |  |
| Common<br>Stock                      | 03/01/2016                              |   | M   | 10,000 A   | \$ 5.4               | 184,472   | D                                |            |  |
| Common<br>Stock                      | 03/01/2016                              |   | S <u>(1)</u>  | 10,000 D   | \$ 17.15             | 174,472   | 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.

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## 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<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number of or Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | erivative Expiration Date curities (Month/Day/Year) equired (A) Disposed of (A) pastr. 3, 4, |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |                                     |
|---|---|---|---|--|--|--|--------------------|---|-------------------------------------|
|   |   |   |   | Code V                                 | (A) (D)  | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| Non-<br>Qualified<br>Stock<br>Option<br>(right to<br>buy)<br>(2013<br>Plan) | \$ 5.4  | 03/01/2016                              |   | M                                      | 10,000   | (2)  | 09/30/2023         | Common<br>Stock   | 10,000                              |

#### **Reporting Owners**

| Reporting Owner Name / Address       | Relationships |           |         |       |  |
|--------------------------------------|---------------|-----------|---------|-------|--|
|                                      | Director      | 10% Owner | Officer | Other |  |
| Cao Wei (William)                    |               |           |         |       |  |
| 19925 STEVENS CREEK BLVD., SUITE 100 | X             |           |         |       |  |
| CUPERTINO, CA 95014                  |               |           |         |       |  |

### **Signatures**

/s/ Wei

(William) Cao 04/14/2016

\*\*Signature of Person Date

Reporting Person

#### **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) The transaction reported was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 30, 2015. Accordingly, the reporting person had no discretion with regard to the timing of the transaction.
- (2) The option vests according to the following schedule: 1/36th per month following the vesting commencement date of September 30, 2013.

Due to a delay in communication with regard to the timing of the transactions reported herein, the total number of derivative securities of the issuer beneficially owned by the reporting person reported in his Form 4 filed on March 4, 2016 did not account for the change in derivative securities owned as a result of the transactions reported herein. As of the date of this report, the total number of derivative securities of the issuer beneficially owned by the reporting person under his 2013 non-qualified stock option plan is 32,500.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Reporting Owners 2

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