

CORCEPT THERAPEUTICS INC  
Form 4  
December 04, 2014

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
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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 \*  
LeDoux Anne M

2. Issuer Name and Ticker or Trading Symbol  
CORCEPT THERAPEUTICS INC  
[CORT]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/04/2014

\_\_\_\_ Director  
 Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
VP & Controller

C/O CORCEPT  
THERAPEUTICS, 149  
COMMONWEALTH DRIVE

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

MENLO PARK, CA 94025

(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)
				(A) or (D)	Amount (D) Price		
Common Stock	12/04/2014		M	25,000	\$ 1.19	D	

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

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SEC 1474  
(9-02)

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

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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. Amount or Number of Shares
Stock option (right to buy)	\$ 1.19	12/04/2014		M	25,000	(2) 03/26/2019	Common Stock	25,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LeDoux Anne M C/O CORCEPT THERAPEUTICS 149 COMMONWEALTH DRIVE MENLO PARK, CA 94025			VP & Controller	

## Signatures

/s/ Joseph K. Belanoff, CEO of Corcept Therapeutics Incorporated,  
attorney-in-fact

12/04/2014

\_\_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) Exercise and hold

(2) Fully exercisable.

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. WIDTH: 80.18%; VERTICAL-ALIGN: middle; BORDER-LEFT: #000000 1pt solid">

SHARED VOTING POWER

124,450 shares (1)

7  
SOLE DISPOSITIVE POWER

145,500 shares <sup>(1)</sup>

8  
SHARED DISPOSITIVE POWER

124,450 shares <sup>(1)</sup>

9  
AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

269,950 shares <sup>(2)</sup>

10  
CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES\*

11  
PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9

9.0% <sup>(2)</sup>

12  
TYPE OF REPORTING PERSON\*

IN

Explanation of Responses:

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(1) As of May 16, 2016 (i) 145,500 shares of Common Stock were held of record by Mr. Haefling, (ii) 118,450 shares of Common Stock were held of record jointly by Mr. Haefling and his spouse, and (iii) 6,000 shares of Common Stock were held of record by Mr. Haefling's spouse.

(2) Based on 3,008,649 shares of Common Stock issued and outstanding on May 10, 2016, as reported in the issuer's Quarterly Report on Form 10-Q for the period ended March 31, 2016. On March 7, 2016, the issuer conducted a reverse split and recapitalized its existing debt, leading to an expansion in the number of outstanding shares. Prior to the reverse split, the conversion of warrants into stock and a private placement of stocks and bonds, Mr. Haefling owned less than 5% of the Common Stock of the issuer. Upon the disclosure by the issuer of the number of outstanding shares of Common Stock on May 13, 2016, Mr. Haefling realized that he had purchased enough shares of Common Stock that his ownership had exceeded 5% and filed this Schedule 13G accordingly.

Item 1.

(a) Name of Issuer: Cesca Therapeutics Inc.

(b) Address of Issuer's Principal Executive Offices:

2711 Citrus Road  
Rancho Cordova, California 95742

Item 2.

(a) Name of Person Filing: Carl Haefling

(b) Address of Principal Business Office or, if none, Residence:

9615 Watch Hill Dr. NW  
Bainbridge Island, Washington 98110

(c) Citizenship: United States

(d) Title of Class of Securities: Common Stock, par value \$0.001 per share

(e) CUSIP Number: 157131202

Item 3. Filings pursuant to Rule 13d-1(b) or 13d-2(b)

Not applicable.

Item 4. Ownership

(a) Amount Beneficially Owned: 269,950 shares<sup>(1)</sup>

(b) Percent of Class: 9.0%<sup>(2)</sup>

(c) Number of Shares as to which Such Person has:

- (i) sole power to vote or to direct the vote: 145,500 shares<sup>(1)</sup>
- (ii) shared power to vote or to direct the vote: 124,450 shares<sup>(1)</sup>
- (iii) sole power to dispose or to direct the disposition of: 145,500 shares<sup>(1)</sup>
- (iv) shared power to dispose or to direct the disposition of: 124,450 shares<sup>(1)</sup>

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Explanation of Responses:

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Item 5. Ownership of Five Percent or Less of a Class

Not applicable.

Item 6. Ownership of More Than Five Percent on Behalf of Another Person

With respect to the beneficial ownership reported for Carl Haefling, 6,000 shares are held by Mr. Haefling's spouse, who has the right to receive or the power to direct the receipt of the proceeds from the sale of such shares.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company

Not applicable.

Item 8. Identification and Classification of Members of the Group

Not applicable.

Item 9. Notice of Dissolution of Group

Not applicable.

Item 10. Certification

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

DATED: May 18, 2016 /s/ Carl Haefling  
Carl Haefling