

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934  
or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person * <u>Nippon Shinyaku Co Ltd</u>  (Last) (First) (Middle) <u>14 NISHINOSHO MONGUCHI CHO</u> <u>KISSHOIN MINAMIKU</u>  (Street) <u>KYOTO</u> <u>M0</u> <u>00000</u>  (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) <u>04/03/2024</u>	3. Issuer Name and Ticker or Trading Symbol <u>CAPRICOR THERAPEUTICS, INC. [ CAPR ]</u>	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable)  Director <input checked="" type="checkbox"/> 10% Owner Officer (give title below) Other (specify below)	5. If Amendment, Date of Original Filed (Month/Day/Year)  6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person

## 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)
<u>Common Stock, par value \$0.001 per share</u>	<u>2,145,922</u>	<u>D</u>	

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 (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
<u>Warrant (right to buy)</u>	<u>04/03/2024</u>	<u>10/03/2030</u>	<u>Common Stock</u>	<u>2,145,922<sup>(1)(2)</sup></u>	<u>5.7</u>	<u>D</u>	

## Explanation of Responses:

1. On September 29, 2023, the reporting person entered into a securities purchase agreement with Capricor Therapeutics, Inc., a Delaware corporation (the "Issuer"), pursuant to which the reporting person purchased (a) 2,145,922 shares of common stock, \$0.001 par value per share (the "Common Stock"), of the Issuer's Common Stock and (b) warrants to purchase 2,145,922 shares of the Issuer's Common Stock (the "Warrants"). The combined offering price per share of Common Stock and the accompanying Warrant was \$4.66. The Warrants will expire seven years from October 3, 2023 (the date of issuance).

2. The Warrants are fully exercisable.

/s/ Takanori Edamitsu, Director,  
Business Management &  
Sustainability

08/23/2024

\*\* Signature of Reporting Person

Date

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

\* 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).

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

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