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**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

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

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

|   |  |   |
|---|--|---|
| 1. Name and Address of Reporting Person *<br><u>Bergmann Anthony</u><br>_____<br>(Last) (First) (Middle)<br><u>C/O CAPRICOR THERAPEUTICS, INC.</u><br><u>10865 ROAD TO THE CURE, SUITE 150</u><br>_____<br>(Street)<br><u>SAN DIEGO CA 92121</u><br>_____<br>(City) (State) (Zip) | 2. Issuer Name and Ticker or Trading Symbol<br><u>CAPRICOR THERAPEUTICS, INC. [ CAPR ]</u> | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable)<br>Director 10% Owner<br>Officer (give title below) Other (specify below)<br><u>CHIEF FINANCIAL OFFICER</u> |
|   | 3. Date of Earliest Transaction (Month/Day/Year)<br><u>03/03/2025</u>                      |   |
| 4. If Amendment, Date of Original Filed (Month/Day/Year)  |  |   |

**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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|------------|---------------|---|--|---|
|                                 |                                      |  | Code                           | V | Amount  | (A) or (D) | Price         |   |  |   |
| <u>Common Stock</u>             | <u>03/03/2025</u>                    |  | <u>M</u>                       |   | <u>2,500</u>  | <u>A</u>   | <u>\$1.39</u> | <u>8,223</u>  | <u>D</u>   |   |

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

| 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 Securities Underlying Derivative Security (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |       |
|--|--|--------------------------------------|--|--------------------------------|---|--|--------------|--|-------------------|---|--|--|---|--|-------|
|  |  |                                      |  | Code                           | V | (A)  | (D)          | Date Exercisable   | Expiration Date   |   |  |  |   |  | Title |
| <u>Stock Option (Right to Buy)</u>         | <u>\$1.39<sup>(1)</sup></u>                            | <u>03/03/2025</u>                    |  | <u>M</u>                       |   |  | <u>2,500</u> | <u>(2)</u>   | <u>03/03/2025</u> | <u>Common Stock</u>   | <u>2,500<sup>(1)</sup></u>                 | <u>\$0</u>   | <u>0</u>  | <u>D</u>   |       |

**Explanation of Responses:**

- This option was granted on March 3, 2015 and was previously reported as covering 25,000 shares at an exercise price of \$5.78 per share, but was adjusted to reflect a 1-for-10 reverse stock split that occurred on June 4, 2019 and a share reprice of \$1.39 per share that occurred on February 12, 2020.
- Shares vested 1/48th on the first day of each month commencing April 1, 2015.

/s/ Linda Marban, Attorney-in-Fact

03/04/2025

\*\* 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 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).

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.