Neuralstem, Inc. Form 3 July 31, 2014

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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 \* Sohn Catherine A.

(Last) (First) (Middle) 2. Date of Event Requiring Statement (Month/Day/Year) 01/13/2014

3. Issuer Name and Ticker or Trading Symbol Neuralstem, Inc. [CUR]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

20271 GOLDENROD LANE, 2ND FLOOR

(Street)

(Check all applicable) \_X\_\_ Director

Officer

10% Owner Other (give title below) (specify below)

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

Person

Form filed by More than One Reporting Person

GERMANTOWN, MDÂ 20876

(City) (State) (Zip)

#### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities (Instr. 4)

Beneficially Owned

Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect

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(I) (Instr. 5)

Common Stock (1) 25,000 D

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

SEC 1473 (7-02)

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 control number.

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

Title

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)

5. Conversion Ownership or Exercise Form of Price of Derivative Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) Security

#### Edgar Filing: Neuralstem, Inc. - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Common Stock Purchase Option (2)	(3)	01/13/2021	Common Stock	15,000	\$ 3.33	D	Â

### **Reporting Owners**

Reporting Owner Name / Address		Relationships		
<u>.</u>	Director	10% Owner	Officer	Other
Sohn Catherine A.				
20271 GOLDENROD LANE	î v	Â	Â	â
2ND FLOOR	АЛ	A	А	A
GERMANTOWN, Â MDÂ 20876				

### **Signatures**

/s/ Raul Silvestre, Attorney-in-Fact for Catherine A.
Sohn
07/31/2014

\*\*Signature of Reporting Person

# **Explanation of Responses:**

- \* 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).
  - Represents Restricted Stock Unit ("RSU") pursuant to the Issuer's 2010 compensation plan. The RSU's vest as follows: (i) 12,500 upon

Date

- the one month anniversary of joining the Board, and (ii) 12,500 shall vest quarterly over a one year period commencing on January 13, 2014, the date Reporting Person joined the Board. If the vesting conditions are satisfied, each RSU entitles the holder to one share of the Issuer's common stock for each RSU granted.
- (2) Represents compensatory Committee Grant for service on the Issuer's: (i) audit, (ii) Compensation, and (iii) Governance and Nominating Committees.
- (3) The options vest quarterly over the grant year commencing on January 13, 2014, the grant date.)

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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