

BIOTIME INC
Form 4
July 03, 2014

FORM 4

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

OMB APPROVAL

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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 *
LICHTINGER PEDRO

(Last) (First) (Middle)

1301 HARBOR BAY PARKWAY

(Street)

ALAMEDA, CA 94502

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
BIOTIME INC [BTX]

3. Date of Earliest Transaction
(Month/Day/Year)
07/01/2014

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Common Shares, no par value | | | | (A) or (D) Price | 126,250 ⁽¹⁾ | 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) | | | |
|---|--|--------------------------------------|--|--------------------------------|---|--|-----|---|-----------------|---------------|----------------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| option to Purchase Common Shares | \$ 3.11 | 07/01/2014 | | A | | 20,000 | | <u>(2)</u> | 06/30/2019 | Common Shares | 20,000 |
| Option to Purchase Common Shares | \$ 4.13 | | | | | | | <u>(3)</u> | 06/30/2018 | Common Shares | 20,000 |
| Option to Purchase Common Shares ⁽⁴⁾ | \$ 5 | | | | | | | 06/04/2013 | 06/04/2018 | Common Shares | 30,000 |
| Option to Purchase Common Shares | \$ 4.6 | | | | | | | <u>(5)</u> | 06/30/2017 | Common Shares | 20,000 |
| Option to Purchase Common Shares | \$ 5.13 | | | | | | | <u>(6)</u> | 06/30/2016 | Common Shares | 20,000 |
| Option to Purchase Common Shares | \$ 5.45 | | | | | | | <u>(7)</u> | 08/09/2015 | Common Shares | 20,000 |
| Option to Purchase Common Shares | \$ 3.45 | | | | | | | <u>(8)</u> | 08/10/2014 | Common Shares | 20,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| LICHTINGER PEDRO 1301 HARBOR BAY PARKWAY | | X | | |

ALAMEDA, CA 94502

Signatures

/s/ Pedro
Lichtinger

07/03/2014

__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) Does not include shares that may be acquired upon the exercise of certain stock options.
- (2) Will become exercisable in four equal quarterly installments after the date of grant on July 1, 2014 based upon continued service on the board of directors.
- (3) 5,000 options became exercisable on September 30, 2013; December 31, 2013; March 31, 2014; and June 30, 2014.
- (4) Option to purchase common shares acquired in a private transaction.
- (5) 5,000 options became exercisable on September 30, 2012; December 31, 2012; March 31, 2013; and June 30, 2013.
- (6) 5,000 options became exercisable on September 30, 2011; December 31, 2011; March 31, 2012; and June 30, 2012.
- (7) 5,000 options became exercisable on September 30, 2010; December 31, 2010; March 31, 2011; and June 30, 2011.
- (8) 5,000 options became exercisable on September 30, 2009; December 31, 2009; March 31, 2010; and June 30, 2010.

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.