### STEMCELLS INC Form 3 June 17, 2013 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB 2225 OMB

#### INITIAL STATEMENT OF 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<br>Person <u>*</u><br>Salinas Eliseo Oreste |                                      |                            | 2. Date of Event Requiring<br>Statement<br>(Month/Day/Year)    | 3. Issuer Name and Ticker or Trading Symbol<br>STEMCELLS INC [STEM] |                                                                               |                                                                            |                           |                                                                                                                               |  |
|------------------------------------------------------------------------------|--------------------------------------|----------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|-------------------------------------------------------------------------------|----------------------------------------------------------------------------|---------------------------|-------------------------------------------------------------------------------------------------------------------------------|--|
| (Last)                                                                       | (First)                              | (Middle)                   | 06/06/2013                                                     | 3                                                                   | 4. Relationship of Reporting Person(s) to Issuer                              |                                                                            |                           | 5. If Amendment, Date Original Filed(Month/Day/Year)                                                                          |  |
| C/O STEM                                                                     | CELLS, INC                           | C., 7707                   |                                                                |                                                                     |                                                                               |                                                                            |                           | 1 1100(1101111/2 uj, 1011)                                                                                                    |  |
| GATEWA                                                                       | Y BLVD., S'                          | TE 140                     |                                                                |                                                                     | (Check all applicable)                                                        |                                                                            |                           |                                                                                                                               |  |
| (Street)<br>NEWARK, CA 94560                                                 |                                      |                            |                                                                |                                                                     | Director 10% Owner                                                            |                                                                            |                           | 6. Individual or Joint/Group                                                                                                  |  |
|                                                                              |                                      |                            |                                                                |                                                                     | X_ Officer Other<br>(give title below) (specify below)<br>EVP and Head of R&D |                                                                            |                           | Filing(Check Applicable Line)<br>_X_ Form filed by One Reporting<br>Person<br>Form filed by More than One<br>Reporting Person |  |
|                                                                              |                                      |                            |                                                                |                                                                     |                                                                               |                                                                            |                           |                                                                                                                               |  |
| (City)                                                                       | (State)                              | (Zip)                      |                                                                | Table I - N                                                         | lon-Derivat                                                                   | ive Securiti                                                               | es Be                     | neficially Owned                                                                                                              |  |
| 1.Title of Sec<br>(Instr. 4)                                                 | urity                                |                            |                                                                | 2. Amount of<br>Beneficially<br>(Instr. 4)                          |                                                                               | 3.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | 4. Nat<br>Owne<br>(Instr. | •                                                                                                                             |  |
| no securitie                                                                 | es beneficiall                       | y held at ti               | me of hire                                                     | 0                                                                   |                                                                               | D                                                                          | Â                         |                                                                                                                               |  |
|                                                                              | port on a separa<br>y or indirectly. | ate line for ea            | ch class of sec                                                | urities benefici                                                    | ially S                                                                       | EC 1473 (7-02                                                              | )                         |                                                                                                                               |  |
|                                                                              | inform<br>require                    | ation conta<br>ed to respo | oond to the c<br>ained in this<br>nd unless th<br>MB control n | form are not<br>e form displ                                        |                                                                               |                                                                            |                           |                                                                                                                               |  |

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

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | Securities Underlying<br>Derivative Security | 4.<br>Conversion<br>or Exercise | Ownership<br>Form of | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|-----------------------------------------------|----------------------------------------------------------------|----------------------------------------------|---------------------------------|----------------------|-------------------------------------------------------------|
|                                               |                                                                | (Instr. 4)                                   | Price of                        | Derivative           |                                                             |
|                                               |                                                                | Title                                        | Derivative                      | Security:            |                                                             |
|                                               |                                                                |                                              | Security                        | Direct (D)           |                                                             |

3235-0104

January 31,

2005

0.5

Number:

Expires:

response...

Estimated average burden hours per

### Edgar Filing: STEMCELLS INC - Form 3

| Date        | Expiration | Amount or | or Indirect |
|-------------|------------|-----------|-------------|
| Exercisable | Date       | Number of | (I)         |
|             |            | Shares    | (Instr. 5)  |

# **Reporting Owners**

| Reporting Owner Name / Address                                                                  | Relationships              |   |                     |       |  |  |
|-------------------------------------------------------------------------------------------------|----------------------------|---|---------------------|-------|--|--|
|                                                                                                 | Director 10% Owner Officer |   | Officer             | Other |  |  |
| Salinas Eliseo Oreste<br>C/O STEMCELLS, INC.<br>7707 GATEWAY BLVD., STE 140<br>NEWARK, CA 94560 | Â                          | Â | EVP and Head of R&D | Â     |  |  |
| Signatures                                                                                      |                            |   |                     |       |  |  |
| /s/ Ken Stratton, 0<br>attorney-in-fact                                                         | 06/17/2013                 |   |                     |       |  |  |
| **Signature of Reporting Person                                                                 | Date                       |   |                     |       |  |  |

## **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).

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.