

Edgar Filing: THERMOGENESIS CORP - Form 4

THERMOGENESIS CORP  
 Form 4  
 February 11, 2002

FORM 4

U.S. SECURITIES AND EXCHANGE COMMISSION

FORM 4 Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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(f) of the Investment Company Act of 1940

(Print or Type Responses)

| 1. Name and Address of Reporting Person*/ |         |          | 2. Issuer Name and           |                  | 6. Relat         |
|---|---------|----------|------------------------------|------------------|------------------|
| (Last)                                    | (First) | (Middle) | Ticker or Trading Symbol     |                  | Person           |
| Howell,                                   | David   |          | ThermoGenesis Corp. and KOOL |                  | (Chec            |
|   |         |          |                              |                  | X                |
|   |         |          |                              |                  | ---              |
|   |         |          |                              |                  | (giv             |
| -----/                                    |         |          | 3. I.R.S.                    |                  | 4. Statement for |
|   |         |          | Identification               | (Month/Year)     |                  |
|   |         |          | Number of Reporting          |                  |                  |
|   |         |          | Person, if an                | 01/2002          |                  |
| -----/                                    |         |          | Entity                       | -----/           |                  |
|   |         |          | (Voluntary)                  |                  |                  |
| c/o ThermoGenesis Corp.                   |         |          | --                           |                  | 7. I             |
| 3146 Gold Camp Drive                      |         |          |                              | 5. If Amendment, | (C               |
| -----/                                    |         |          |                              | Date of Original | X F              |
| (Street)                                  |         |          |                              | (Month/Year)     | ---              |
|   |         |          |                              | N/A              | R                |
| -----/                                    |         |          |                              |                  |                  |
| Rancho Cordova,                           | CA      | 95670    |                              |                  |                  |
| -----/                                    |         |          |                              |                  |                  |
| (City)                                    | (State) | (Zip)    |                              |                  |                  |
|   |         |          |                              |                  |                  |
|   |         |          |                              |                  |                  |

TABLE I - NON-DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR  
 BENEFICIALLY OWNED

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| 1. Title of Security (Instr. 3) | 2. Transaction Date (Mo/Day/Yr) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed (D) (Instr. 3, 4, and 5) | 5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) |
|---------------------------------|---------------------------------|--------------------------------|---|---|
|                                 |                                 | Code / V                       | Amount / (A) or (D) / Price                                     |   |

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).

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FORM 4 (continued)

TABLE II - DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OWNED  
 (e.g., puts, calls, warrants, options, convertible securities)

| Title of Derivative Security (Instr. 3) | Conversion/ Exercise Price of Derivative Security | Trans- action Date (Mo./ Day/ Year) | Trans- action Code (Instr. 8) | Nature of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | Date Exercisable and Expiration Date (Month Day/ year) | Title and Amount of Underlying Securities (Instr. 3 and 4) | Price of Derivative Security |
|---|---|-------------------------------------|-------------------------------|---|--|--|------------------------------|
|   |   |                                     | Code / V                      | (A) / (D)   | Date / Expiration Date                                 | Title / Amount of / shares                                 |                              |

Options to Purchase Common Stock

|        |         |   |   |       |         |         |              |       |      |
|--------|---------|---|---|-------|---------|---------|--------------|-------|------|
| \$2.34 | 1/31/02 | A | V | 4,000 | 1/31/02 | 1/31/07 | Common Stock | 4,000 | ---- |
|--------|---------|---|---|-------|---------|---------|--------------|-------|------|

Warrants

Warrants

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Explanation of Responses:

\*\*Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

/S/ DAVID HOWELL

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David Howell

\*\*Signature of Reporting Person

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