

Pappa Kenneth
Form 3
October 19, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

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
Person *

Â Pappa Kenneth

(Last) (First) (Middle)

2711 CITRUS RD

(Street)

RANCHO

CORDOVA,Â CAÂ 95630

(City) (State) (Zip)

2. Date of Event
Requiring Statement

(Month/Day/Year)

10/12/2011

3. Issuer Name **and** Ticker or Trading Symbol

THERMOGENESIS CORP [KOOL]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner

X Officer ____ Other

(give title below) (specify below)

VP, Engineering/Manufacturing

6. Individual or Joint/Group

Filing(Check Applicable Line)

X Form filed by One Reporting
Person

____ Form filed by More than One
Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

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

Common Stock

15,600

D Â

Common Stock ⁽¹⁾

50,000

D Â

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)

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)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

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

Edgar Filing: Pappa Kenneth - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option	06/12/2010	06/12/2012	Common Stock	1,250	\$ 17.68	D	Â
Stock Option	05/16/2010	05/16/2012	Common Stock	244	\$ 11.52	D	Â
Stock Option	Â <u>(2)</u>	01/30/2013	Common Stock	7,500	\$ 3.08	D	Â
Stock Option	Â <u>(3)</u>	07/30/2013	Common Stock	18,750	\$ 2.54	D	Â
Stock Option	Â <u>(4)</u>	02/08/2014	Common Stock	17,500	\$ 2.28	D	Â
Stock Option	Â <u>(5)</u>	06/10/2015	Common Stock	18,750	\$ 2.3204	D	Â
Stock Option	Â <u>(6)</u>	02/15/2016	Common Stock	18,750	\$ 2.88	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Pappa Kenneth 2711 CITRUS RD RANCHO CORDOVA, CA 95630	Â	Â	Â VP, Engineering/Manufacturing	Â	

Signatures

/s/ Kenneth Pappa 10/19/2011

__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).
- (1) These shares vest in three equal installments on July 29, 2012, 2013 and 2014.
- (2) The option vests in three equal installments on January 30, 2010, 2011 and 2012.
- (3) The option vests in three equal installments on July 30, 2010, 2011 and 2012.
- (4) The option vests in three equal installments on February 8, 2011, 2012 and 2013.
- (5) The option vests in four equal installments on June 10, 2011, 2012, 2013 and 2014.
- (6) The option vests in four equal installments on February 15, 2012, 2013, 2014 and 2015.

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.