## SEC Form 4

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# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

# OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

Estimated average burden hours per response: 0.5

1. Name and Address of Reporting Person <sup>*</sup>		n*	2. Issuer Name <b>and</b> Ticker or Trading Symbol NeoStem, Inc. [NBS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
<u>Wer Enc</u>				X	Director	Х	10% Owner		
(Last) C/O NEOSTEM	(First) , INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 01/04/2012		Officer (give title below)		Other (specify below)		
420 LEXINGTON AVENUE, SUITE 450		TE 450	4. If Amendment, Date of Original Filed (Month/Day/Year)         6. Individual or Joint/Group Filing (Check						
(Street) NEW YORK	NY	10170		Line) X	Form filed by One F Form filed by More Person	•	0		
(City)	(State)	(Zip)							

#### 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)	Transaction Code (Instr.					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock, par value \$0.001 per share	01/04/2012		<b>A</b> <sup>(1)</sup>		120,000	A	(1)	120,000	D			
Common Stock, par value \$0.001 per share								22,409,874 <sup>(2)</sup>	Ι	See footnote <sup>(2)</sup>		

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

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. Transa Code ( 8)		of		6. Date Exerc Expiration Da (Month/Day/Y	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)		11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

#### Explanation of Responses:

1. On January 4, 2012 (the "Grant Date"), Mr. Wei was granted an award of 120,000 shares of common stock of NeoStem, Inc. (the "Company"), subject to all of the terms and conditions of the Company's 2009 Equity Compensation Plan and pursuant to the Company's Director Compensation Plan. The award was fully vested on the Grant Date.

2. These securities are held by RimAsia Capital Partners, L.P., a Cayman Islands exempted limited partnership ("RimAsia LP"). RimAsia Capital Partners GP, L.P., a Cayman Islands exempted limited partnership ("RimAsia GP"), is the general partner of RimAsia LP. RimAsia Capital Partners GP, Ltd., a Cayman Islands exempted company ("RimAsia Ltd."), is the general partner of RimAsia GP. Mr. Wei is the managing partner of RimAsia LP, an indirect partner of RimAsia GP and a director of RimAsia Ltd. As a result, Mr. Wei may be deemed to have sole power to vote certain of the securities held by RimAsia LP. Mr. Wei disclaims beneficial ownership of such securities, except to the extent of his pecuniary interest therein.

#### Eric H.C. Wei, By: /s/ Catherine M. Vaczy, Esq.,

<u>Attorney-in-Fact</u>

\*\* Signature of Reporting Person Date

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).

\*\* 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.

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 Number.

01/06/2012

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