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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

| Check this box if no longer subject to |
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|  |
| 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 |

|                                 | s of Reporting Person | 1*       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol NeoStem, Inc. [NBS]                             | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |                                     |                          |  |  |  |
|---------------------------------|-----------------------|----------|--|---|-------------------------------------|--------------------------|--|--|--|
| BERNSTEIN DREW                  |                       |          | , L  | Х   | Director                            | 10% Owner                |  |  |  |
| (Last)<br>C/O NEOSTEM           | (First)<br>, INC.     | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/02/2015                                     |   | Officer (give title below)          | Other (specify<br>below) |  |  |  |
| 420 LEXINGTON AVENUE, SUITE 350 |                       |          | 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Cher |   |                                     |                          |  |  |  |
|                                 |                       |          | ······································   | Line)   |                                     |                          |  |  |  |
| (Street)                        |                       |          |  | Х   | Form filed by One Report            | ting Person              |  |  |  |
| NEW YORK                        | NY                    | 10170    |  |   | Form filed by More than C<br>Person | One Reporting            |  |  |  |
| (City)                          | (State)               | (Zip)    |  |   |                                     |                          |  |  |  |

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3)           | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and<br>5) |               | Securities<br>Beneficially | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |           |
|---|--|---|------------------------------|---|---|---------------|----------------------------|---|---|-----------|
|   |  |   | Code                         | v | Amount  | (A) or<br>(D) | Price                      | Transaction(s)<br>(Instr. 3 and 4)                                |   | (11311.4) |
| Common stock, par value \$0.001 per share | 06/02/2015                                 |   | A <sup>(1)</sup>             |   | 10,000  | Α             | <b>\$0</b> <sup>(1)</sup>  | 10,000  | D   |           |

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deriv<br>Secu<br>Acqu<br>(A) or<br>Dispo<br>of (D)<br>(Instr | 5. Number<br>of Expiration Date<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |                     | ate                | 7. Title<br>Amour<br>Securi<br>Underl<br>Deriva<br>Securi<br>and 4) | nt of<br>ties<br>ying<br>tive<br>ty (Instr. 3 | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|--|---|---------------------|--------------------|---|---|---|--|--|--|
|   |   |  |   | Code                         | v | (A)  | (D)   | Date<br>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares        |   |  |  |  |

#### Explanation of Responses:

1. On June 2, 2015 (the "Grant Date"), the Reporting Person was granted an award of 10,000 shares of the Company's common stock (the "Shares"), subject to all of the terms and conditions of the Company's 2009 Equity Compensation Plan (the "Plan"). The Shares vest as follows: as to 25% of the shares on the Grant Date, and the remaining 75% shall vest quarterly over a period of thirty-six months from the Grant Date.

Drew Bernstein, By: /s/ Paige E. Cooperman, Esq., Attorney- 06/04/2015

In-Fact

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $\ast$  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.

#### POWER OF ATTORNEY

Known by all those present that **Drew Bernstein** hereby constitutes and appoints each of <u>Paige E. Cooperman, Esq.</u>, <u>Robert S Vaters</u>, <u>Neil Torpey</u>, <u>Esq.</u>, and <u>Keith Pisani, Esq.</u>, as his true and lawful attorneys-in-fact with respect to NeoStem, Inc., to:

- 1. execute for and on behalf of the undersigned Schedules 13D and 13G, Form ID, and Forms 3, 4 and 5 in accordance with Sections 13 and 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;
- 2. do and perform any and all acts for and on behalf of the undersigned, which may be necessary or desirable to complete the execution of any such Schedules 13D or 13G, Form ID, and Forms 3, 4 and 5, and the timely filing of such forms with the United States Securities and Exchange Commission and any other authority; and
- 3. take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, including without limitation the execution and filing of a Form 4 with respect to a transaction which may be reported on a Form 5, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions and such attorney-in-fact may approve in his discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform all and every act and thing whatsoever requisite, necessary and proper to be done in the exercise of any of the rights and powers herein granted, as fully and to all intents and purposes as he might or could do in person, with full power of substitution and resubstitution, hereby ratifying and confirming all that such attorney-in-fact, or his substitute or substitutes, shall lawfully do or cause to be done in virtue of this Power of Attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming any of the undersigned's responsibilities to comply with Sections 13 and 16 of the Securities Exchange Act of 1934.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 3<sup>rd</sup> day of June 2015.

**Drew Bernstein** 

/s/ Drew Bernstein