

Wang Theodore T
Form 3
December 04, 2017

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 *

Wang Theodore T

(Last) (First) (Middle)

C/O PUISSANCE CAPITAL
MANAGEMENT LP, 950
THIRD AVENUE, 25TH
FLOOR

(Street)

NEW YORK, NY 10022

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/27/2017

3. Issuer Name and Ticker or Trading Symbol
Bellerophon Therapeutics, Inc. [BLPH]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☒ Director ☒ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

6. Individual or Joint/Group
Filing (Check Applicable Line)
☒ 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

8,298,755

I (1)

By Puissance Cross-Border
Opportunities III LLC

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

SEC 1473 (7-02)

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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

2. Date Exercisable and
Expiration Date

3. Title and Amount of
Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect
Beneficial Ownership

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(Instr. 4)	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Common Stock Warrants (right to buy)	03/29/2018	09/29/2022	Common Stock	8,298,755	\$ 1.242	I ⁽¹⁾	By Puissance Cross-Border Opportunities III LLC

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Wang Theodore T C/O PUISSANCE CAPITAL MANAGEMENT LP 950 THIRD AVENUE, 25TH FLOOR NEW YORK, NY 10022	Â X	Â X	Â	Â

Signatures

Theodore T.
Wang

12/04/2017

**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).

These securities are held directly by Puissance Cross-Border Opportunities III LLC and may be deemed to be beneficially owned by Puissance Capital Management LP, the investment manager of Puissance Cross Border Opportunities III LLC; Puissance Capital Management (GP) LLC, the general partner of Puissance Capital Management LP; Puissance Capital Fund (GP) LLC, the general partner of Puissance Cross Border Opportunities III LLC; and Theodore T. Wang, the managing member of Puissance Capital Management (GP) LLC and Puissance Capital Fund (GP) LLC. The Reporting Persons each disclaim beneficial ownership of the reported securities except to the extent of its pecuniary interest therein. This report shall not be deemed an admission that any Reporting Person is the beneficial owner of the reported securities for purposes of Section 16 of the Securities Exchange Act of 1934, as amended, or for any other purpose.

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

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