

SURMODICS INC
Form 8-K
November 03, 2017
UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

FORM 8-K

CURRENT REPORT
PURSUANT TO SECTION 13 OR 15(d) OF THE
SECURITIES EXCHANGE ACT OF 1934

November 3, 2017
Date of report (Date of earliest event reported)

Surmodics, Inc.
(Exact Name of Registrant as Specified in its Charter)

Minnesota 0-23837 41-1356149
(State of Incorporation) (Commission File Number) (I.R.S. Employer
Identification No.)

9924 West 74th Street
Eden Prairie, Minnesota 55344
(Address of Principal Executive Offices) (Zip Code)

(952) 500-7000
(Registrant's Telephone Number, Including Area Code)

Check the appropriate box below if the Form 8 K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2):

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a 12 under the Exchange Act (17 CFR 240.14a 12)

Pre commencement communications pursuant to Rule 14d 2(b) under the Exchange Act (17 CFR 240.14d 2(b))

Pre commencement communications pursuant to Rule 13e 4(c) under the Exchange Act (17 CFR 240.13e 4(c))
Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

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If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 8.01 Other Events.

Surmodics, Inc. (the "Company") has appointed Broadridge Corporate Issuer Solutions, Inc. ("Broadridge") as its transfer agent and registrar effective November 3, 2017. All of the Company's registered shares of common stock have been transferred from the Company's previous transfer agent, American Stock Transfer & Trust Company, LLC, to Broadridge. A sample copy of a letter notifying shareholders of this change is attached hereto as Exhibit 99.1 and is incorporated herein by reference.

Item 9.01 Financial Statements and Exhibits.

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|------------|-----------------|---|
| <i>(d)</i> | <i>Exhibits</i> | |
| | 99.1 | Letter to Shareholders Regarding Change in Transfer Agent |

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

SURMODICS, INC.

Date: November 3, 2017 /s/ Bryan K. Phillips
Bryan K. Phillips
Sr. Vice President,
General Counsel and
Secretary

EXHIBIT INDEX

| Exhibit Number | Description | Manner of Filing Filed Electronically |
|-------------------|--|--|
| <u>99.1</u> | <u>Letter to Shareholders Regarding Change in Transfer Agent</u> | |