

OCERA THERAPEUTICS, INC.

FORM 8-K (Current report filing)

Filed 08/04/17 for the Period Ending 08/03/17

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|-------------|---|
| Address | 555 TWIN DOLPHIN DRIVE SUITE 615 REDWOOD CITY, CA 94065 |
| Telephone | 6504750158 |
| CIK | 0001274644 |
| Symbol | OCRX |
| SIC Code | 2834 - Pharmaceutical Preparations |
| Industry | Pharmaceuticals |
| Sector | Healthcare |
| Fiscal Year | 12/31 |

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

Date of Report (Date of Earliest Event Reported): **August 3, 2017**

OCERA THERAPEUTICS, INC.

(Exact name of registrant as specified in its charter)

DELAWARE

(State or other jurisdiction
of
incorporation)

001-35119

(Commission File Number)

63-1192270

(I.R.S. Employer
Identification No.)

555 Twin Dolphin Drive, Suite 615

Redwood City, CA

(Address of principal executive offices)

94065

(Zip Code)

Registrant's telephone number, including area code **(650) 475-0150**

Not applicable

(Former name or former address, if changed since last report)

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:

- 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 (17 CFR §230.405) or Rule 12b-2 of the Securities Exchange Act of 1934 (17 CFR §240.12b-2). Emerging growth company

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 3.01. Notice of Delisting or Failure to Satisfy a Continued Listing Rule or Standard; Transfer of Listing.

On August 3, 2017, Ocera Therapeutics, Inc. (the “Company”) received a letter from The Nasdaq Stock Market (“Nasdaq”) informing the Company that the \$9.3 million in stockholders’ equity reported in its most recent Form 10-Q for the quarter ended June 30, 2017 fell below the minimum of \$10.0 million for continued listing on The Nasdaq Global Market under Listing Rule 5450(b)(1)(A). The letter stated that the Company may submit a plan to regain compliance to Nasdaq within 45 days of receipt of the letter. The Company intends to do so. If the plan is accepted, Nasdaq can grant an extension of up to 180 days for the Company to regain compliance. The letter has no immediate effect on the listing of the Company's common stock on The Nasdaq Global Market.

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.

August 4, 2017

Ocera Therapeutics, Inc.

By: /s/ Michael Byrnes

Name: Michael Byrnes

Title: Chief Financial Officer and Treasurer