

Edgar Filing: VistaGen Therapeutics, Inc. - Form 8-K

VistaGen Therapeutics, Inc.  
Form 8-K  
March 20, 2018

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): March 19, 2018

VistaGen Therapeutics, Inc.  
(Exact name of registrant as specified in its charter)

NEVADA 001-37761 20-5093315  
(State or other jurisdiction of incorporation) (Commission File Number) (IRS Employer Identification Number)

343 Allerton Ave.  
South San Francisco, California 94090  
(Address of principal executive offices)

(650) 577-3600  
(Registrant's telephone number, including area code)

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 (see General Instruction A.2. below):

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))

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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)

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.

VistaGen Therapeutics, Inc. (the “Company”) today received a Notice of Allowance from the U.S. Patent and Trademark Office (USPTO) for its U.S. patent application no. 14/762,015 related to oral formulations of AV-101, its new generation glutamatergic product candidate in Phase 2 development for treatment of Major Depressive Disorder. A copy of the Company’s press release announcing the receipt of the Notice of Allowance is attached to this Current Report on Form 8-K as Exhibit 99.1 and is incorporated by reference herein.

Item 9.01

Financial Statements and Exhibits.

See Exhibit Index.



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 thereunto duly authorized.

VistaGen Therapeutics, Inc.

Date: March 19, 2018 By: /s/ Shawn K. Singh  
Shawn K. Singh  
Chief Executive Officer



EXHIBIT INDEX

Exhibit No. Description

99.1 Press Release issued by VistaGen Therapeutics, Inc., dated March 19, 2018