

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): **October 7, 2019**

**Proteon Therapeutics, Inc.**

(Exact Name of Registrant as Specified in Charter)

**Delaware**  
(State or Other Jurisdiction of Incorporation)

**001-36694**  
(Commission File Number)

**20-4580525**  
(I.R.S. Employer Identification Number)

**200 West Street, Waltham, MA 02451**  
(Address of Principal Executive Offices) (Zip Code)

**(781) 890-0102**  
(Registrant's telephone number, including area code)

**N/A**  
(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))

Securities registered pursuant to Section 12(b) of the Act:

Title of each class	Trading Symbol(s)	Name of each exchange on which registered
Common Stock, \$0.001 par value per share	PRTO	Nasdaq Capital Market

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.

## **Introductory Comment**

Throughout this Current Report on Form 8-K, the terms “we,” “us,” “our”, “Company” and “Proteon” refer to Proteon Therapeutics, Inc., a Delaware corporation.

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

Effective as of the open of business on October 7, 2019, the Company’s common stock was transferred from The Nasdaq Global Market to The Nasdaq Capital Market. The Nasdaq Capital Market is a continuous trading market that operates in substantially the same manner as The Nasdaq Global Market and listed companies must meet certain financial requirements and comply with The Nasdaq Stock Market LLC’s (“Nasdaq”) corporate governance requirements. The Company’s common stock will continue to trade under the symbol “PRTO.”

As previously reported on a Current Report on Form 8-K filed with The Securities and Exchange Commission on August 15, 2019, the Company received a letter from Nasdaq informing the Company that the \$9,477,000 in stockholders’ equity reported in its most recent Form 10-Q for the quarter ended June 30, 2019, fell below the minimum of \$10,000,000 for continued listing on The Nasdaq Global Market under Listing Rule 5450(b)(1)(A). After consultation with Nasdaq, the Company decided to transfer the listing of its common stock from The Nasdaq Global Market to The Nasdaq Capital Market.

---

**SIGNATURE**

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.

**Proteon Therapeutics, Inc.**

Date: October 10, 2019

By: /s/ George A. Eldridge  
George A. Eldridge  
Senior Vice President & Chief Financial Officer

---