

**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**

(State of Incorporation)

**0-23837**

(Commission File Number)

**41-1356149**

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

**9924 West 74<sup>th</sup> Street  
Eden Prairie, Minnesota**

(Address of Principal Executive Offices)

**55344**

(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

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.

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**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.**

(d) *Exhibits*

99.1 Letter to Shareholders Regarding Change in Transfer Agent

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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

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Bryan K. Phillips  
Sr. Vice President, General Counsel and Secretary

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EXHIBIT INDEX

**Exhibit  
Number**

**Description**

**Manner of Filing**

[99.1](#)

[Letter to Shareholders Regarding Change in Transfer Agent](#)

Filed Electronically



C/O BROADRIDGE CORPORATE ISSUER SOLUTIONS, INC.  
 P.O. BOX 1342  
 BRENTWOOD, NY 11717

Date  
 SEQ#  
 Name1  
 Name2  
 Name3  
 Name4  
 Address1  
 Address2  
 Address3  
 Address4  
 City, State ZIP  
 Country

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Dear Shareholder:

I am pleased to announce that we have appointed Broadridge Corporate Issuer Solutions, Inc. (“Broadridge”) as the transfer agent and registrar for the shares of our common stock. In this capacity, Broadridge will manage all stock registry requests for shareholders, including change of address, certificate replacement and transfer of shares. In addition, Broadridge will administer the Annual Meeting process. This change to Broadridge from our former Transfer Agent and Registrar, American Stock Transfer Company, was effective November 3, 2017.

Please visit Broadridge Shareholder Services via the web at [www.shareholder.broadridge.com](http://www.shareholder.broadridge.com). There you will find important updates, a knowledge center and access to the shareholder portal. The portal allows you to view your holdings, manage your preferences and take action on your investments. You will need the following new account number.

**Your New Account Number Is: XXXX - XXXXXXXX**

To use the shareholder portal, please follow the steps below:

- Navigate to [www.shareholder.broadridge.com](http://www.shareholder.broadridge.com).
- Click on the “**Login/Create Profile/Link Accounts – Click Here**” button at the top right of the webpage.
- Click on the “**Create Profile**” button under **First Time Users**.
- Choose your **account type\*\*** from the three revolving boxes.
- Follow the online instructions to create an online profile.

**\*\* If your shares are registered as a trustee, custodianship, corporate account, IRA/retirement or non-US citizen, an additional pin number will be required. Follow the on-screen instructions in order to have a letter mailed to you containing your pin number and further instructions.**

**New Contact Information:**

Website: [www.shareholder.broadridge.com](http://www.shareholder.broadridge.com)  
 E-mail: [shareholder@broadridge.com](mailto:shareholder@broadridge.com)  
 Telephone: **1-877-830-4936 or 720-378-5591**  
 Mail: Broadridge Corporate Issuer Solutions, Inc.  
 P.O. Box 1342  
 Brentwood, NY 11717

Go Green – Sign up for E-Delivery and manage electronic delivery preferences for future important Surmodics, Inc correspondence.

Sincerely,

Bryan K. Phillips  
 Secretary