

# SECURITIES & EXCHANGE COMMISSION EDGAR FILING

## Nuo Therapeutics, Inc.

**Form: 8-K**

**Date Filed: 2019-01-03**

Corporate Issuer CIK: 1091596

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): December 31, 2018

**Nuo Therapeutics, Inc.**

(Exact name of Registrant as Specified in Charter)

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

**001-32518**  
(Commission  
File Number)

**23-3011702**  
(IRS Employer  
Identification No.)

**207A Perry Parkway, Suite 1, Gaithersburg, MD 20877**

(Address of Principal Executive Offices) (Zip Code)

**(240) 499-2680**

(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))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 or Rule 12b-2 of the Securities Exchange Act of 1934.

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 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

Effective December 31, 2018 (and with respect to Mr. Jordan, January 1, 2019), the Company's Board of Directors granted options to purchase a total of 450,000 shares of its common stock to its executive officers and directors, broken down as follows:

David Jordan:	125,000
Peter Clausen:	81,250
Eric Winzer:	68,750
Scott Pittman:	62,500
Lawrence Atinsky:	62,500
Paul Mintz:	50,000

The options were granted under the Company's 2016 Omnibus Incentive Compensation Plan, as amended, have an exercise price of \$0.40 per share, a seven-year term and vested immediately. The options were granted in satisfaction of approximately \$82,500 of deferred salary (with respect to Mr. Jordan and Dr. Clausen) and approximately \$97,500 of deferred Board compensation (with respect to the non-management directors).

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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.

**Nuo Therapeutics, Inc.**

By: /s/ David E. Jordan  
David E. Jordan  
Chief Executive Officer & Chief Financial Officer

Date: January 3, 2019