

NAVIDEA BIOPHARMACEUTICALS, INC.

Form 8-K

November 06, 2013

**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) November 6, 2013

NAVIDEA BIOPHARMACEUTICALS, INC.

(Exact name of registrant as specified in its charter)

Delaware 001-35076 31-1080091  
(State or other jurisdiction of incorporation) (Commission File Number) (IRS Employer Identification No.)

425 Metro Place North, Suite 450, Dublin, Ohio 43017  
(Address of principal executive offices) (Zip Code)

Registrant's telephone number, including area code (614) 793-7500

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

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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))

## **Item 2.02. Results of Operations and Financial Condition.**

On November 6, 2013, Navidea Biopharmaceuticals, Inc. (the “Company”) issued a press release announcing its consolidated financial results for the third quarter ended September 30, 2013. A copy of the Company’s November 6, 2013, press release is furnished as Exhibit 99.1 to this Current Report on Form 8-K and is incorporated herein by reference.

The information contained in Item 2.02 of this Current Report on Form 8-K, including exhibit 99.1 attached hereto, shall not be treated as “filed” for purposes of the Securities Exchange Act of 1934, as amended.

## **Item 7.01. Regulation FD Disclosure**

During a conference call held by the Company on November 6, 2013, the Company discussed consolidated financial results for the third quarter ended September 30, 2013, announced that it has selected Norgine BV and affiliates (“Norgine”) as its specialty pharmaceutical partner for Europe and other selected regions, and disclosed that it will appoint Dr. Michael Goldberg to the Company’s Board of Directors (the “Board”). The Company expects to consummate a formal agreement with Norgine before the end of the year and to appoint Dr. Goldberg to the Board following the completion of customary agreements with Dr. Goldberg and other governance requirements associated with the appointment of members of the Board.

The information in this Item 7.01 will not be treated as filed for the purposes of Section 18 of the Securities Exchange Act of 1934 (the “Exchange Act”) or otherwise subject to the liabilities of that section. The furnishing of the information in this Item 7.01 is not intended to, and does not, constitute a representation that such furnishing is required by Regulation FD.

## **Item 9.01 Financial Statements and Exhibits.**

(d)Exhibits.

Exhibit Description

*Exhibit*  
*Number*

- 99.1 Navidea Biopharmaceuticals, Inc. press release dated November 6, 2013, entitled “Navidea Biopharmaceuticals Announces Third Quarter 2013 Results.”

Statements contained or incorporated by reference in this Current Report on Form 8-K which relate to other than strictly historical facts, such as statements about the Company’s plans and strategies, expectations for future financial performance, new and existing products and technologies, and markets for the Company’s products, are forward-looking statements. The words “believe,” “expect,” “anticipate,” “estimate,” “project,” and similar expressions identify forward-looking statements that speak only as of the date hereof. Investors are cautioned that such statements involve risks and uncertainties that could cause actual results to differ materially from historical or anticipated results due to many factors including, but not limited to, the Company’s continuing operating losses, uncertainty of market acceptance, reliance on third party manufacturers, accumulated deficit, future capital needs, uncertainty of capital funding, dependence on limited product line and distribution channels, competition, limited marketing and manufacturing experience, and other risks detailed in the Company’s most recent Annual Report on Form 10-K and other filings with the United States Securities and Exchange Commission. The Company undertakes no obligation to publicly update or revise any forward-looking statements.

**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.

Navidea Biopharmaceuticals, Inc.

Date: November 6, 2013 By: /s/ Brent L. Larson

Brent L. Larson, Executive Vice President  
and Chief Financial Officer