

Minerva Neurosciences, Inc.  
Form SC 13D/A  
May 05, 2016

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

**SCHEDULE 13D**

**Under the Securities Exchange Act of 1934  
(Amendment No. 5)(1)**

**MINERVA NEUROSCIENCES, INC.**

(Name of Issuer)

**Common Stock, \$0.0001 par value per share**

(Title of Class of Securities)

**603380106**

(CUSIP Number)

**David R. Ramsay**

**Care Capital III LLC**

**47 Hulfish Street, Suite 310**

**Princeton, New Jersey 08542**

**609-683-8300**

(Name, Address and Telephone Number of Person  
Authorized to Receive Notices and Communications)

**May 4, 2016**

(Date of Event Which Requires Filing of this Statement)

## Edgar Filing: Minerva Neurosciences, Inc. - Form SC 13D/A

If the filing person has previously filed a statement on Schedule 13G to report the acquisition that is the subject of this Schedule 13D, and is filing this schedule because of §§240.13d-1(e), 240.13d-1(f) or 240.13d-1(g), check the following box.

**Note:** Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. See §240.13d-7 for other parties to whom copies are to be sent.

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(1) The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.

The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, *see* the *Notes*).

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CUSIP No. 603380106

13D

Names of Reporting Persons.  
I.R.S. Identification Nos. of Above Persons (Entities Only)

Care Capital Investments III L.P.

Check the Appropriate Box if a Member of a Group\*

(a)  x  
(b)  o

SEC Use Only

Source of Funds\* (See Instructions)

OO

Check if Disclosure of Legal Proceedings Is Required Pursuant to Items 2(d) or 2(e)  o

Citizenship or Place of Organization

Delaware

Number of Shares Beneficially Owned by Each Reporting Person With	Sole Voting Power	0
	Shared Voting Power	1,299,707
	Sole Dispositive Power	0
	Shared Dispositive Power	1,299,707

Aggregate Amount Beneficially Owned by Each Reporting Person  
1,299,707

Check if the Aggregate Amount in Row (11) Excludes Certain Shares (See Instructions)\*  o

Percent of Class Represented by Amount in Row (11)  
4.7%

Type of Reporting Person\*

PN

CUSIP No. 603380106

13D

1 Names of Reporting Persons.  
I.R.S. Identification Nos. of Above Persons (Entities Only)

Care Capital Offshore Investments III LP

Check the Appropriate Box if a Member of a Group\*

(a)  x  
(b)  o

SEC Use Only

Source of Funds\* (See Instructions)

OO

Check if Disclosure of Legal Proceedings Is Required Pursuant to Items 2(d) or 2(e)  o

Citizenship or Place of Organization

Cayman Islands

Number of Shares Beneficially Owned by Each Reporting Person With	Sole Voting Power
	0
	Shared Voting Power
	21,707
	Sole Dispositive Power
	0
	Shared Dispositive Power
	21,707

Aggregate Amount Beneficially Owned by Each Reporting Person  
21,707

Check if the Aggregate Amount in Row (11) Excludes Certain Shares (See Instructions)\*  o

Percent of Class Represented by Amount in Row (11)  
0.1%

Type of Reporting Person\*

PN

CUSIP No. 603380106

13D

1 Names of Reporting Persons.

I.R.S. Identification Nos. of Above Persons (Entities Only)

Care Capital III LLC

Check the Appropriate Box if a Member of a Group\*

(a)  x  
(b)  o

SEC Use Only

Source of Funds\* (See Instructions)

OO

Check if Disclosure of Legal Proceedings Is Required Pursuant to Items 2(d) or 2(e)  o

Citizenship or Place of Organization

Delaware

Number of Shares Beneficially Owned by Each Reporting Person With	Sole Voting Power
	0
	Shared Voting Power
	1,321,414
	Sole Dispositive Power
	0
	Shared Dispositive Power
	1,321,414

Aggregate Amount Beneficially Owned by Each Reporting Person  
1,321,414

Check if the Aggregate Amount in Row (11) Excludes Certain Shares (See Instructions)\*  o

Percent of Class Represented by Amount in Row (11)  
4.8%

Type of Reporting Person\*  
OO

**EXPLANATORY NOTE**

This Amendment No. 5 to the Schedule 13D amends and supplements the Schedule 13D, filed July 18, 2014 and amended on January 16, 2015, February 5, 2015, March 25, 2015 and March 31, 2016 (the "Schedule 13D"), by the Filing Persons (as defined below) relating to the Common Stock, par value \$0.0001 per share, of Minerva Neurosciences, Inc., a Delaware corporation (the "Issuer"). The Issuer is filing this amendment to the Schedule 13D solely to update the disclosures set forth therein to include the open market transactions discussed in Item 3 below.

**Item 3. Source and Amount of Funds or Other Consideration**

Item 3 is hereby amended to add the following:

During the period from April 1, 2016 through May 4, 2016, Care Capital Investments III L.P. sold 234,391 shares of Issuer's Common Stock and Care Capital Offshore Investments III LP sold 3,911 shares of Issuer's Common Stock in open market transactions.

**Item 5. Interest in Securities of the Issuer**

Item 5 is hereby amended and restated as follows:

(a) As of May 4, 2016, Care Capital Investments III L.P. is the beneficial owner of 1,299,707 shares of the Issuer's Common Stock, representing 4.7% of the Issuer's shares of Common Stock outstanding (based upon 27,942,145 shares of Common Stock outstanding, as reported in the Issuer's Quarterly Report on Form 10-Q for the quarter ended March 31, 2016 filed on May 3, 2016). As of May 4, 2016, Care Capital Offshore Investments III LP is the beneficial owner of 21,707 shares of the Issuer's Common Stock, representing 0.1% of the Issuer's shares of Common Stock outstanding (based upon 27,942,145 shares of Common Stock outstanding, as reported in the Issuer's Quarterly Report on Form 10-Q for the quarter ended March 31, 2016 filed on May 3, 2016). By virtue of Care Capital III LLC's status as general partner of Care Capital Investments III L.P. and Care Capital Offshore Investments III LP, Care Capital III LLC may be deemed the beneficial owner of 1,321,414 shares of the Issuer's Common Stock held by Care Capital Investments III L.P. and Care Capital Offshore Investments III LP, representing 4.8% of the Issuer's shares of Common Stock outstanding (based upon 27,942,145 shares of Common Stock outstanding, as reported in the Issuer's Quarterly Report on Form 10-Q for the quarter ended March 31, 2016 filed on May 3, 2016). Care Capital III LLC disclaims beneficial ownership of the securities, and this report shall not be deemed an admission that Care Capital III LLC is the beneficial owner of such securities for purposes of Section 16 or for any other purpose, except to the extent of their pecuniary interest therein.

(b) By virtue of its status as general partner of Care Capital Investments III L.P. and Care Capital Offshore Investments III LP, Care Capital III LLC may be deemed to share voting and dispositive power with respect to the 1,299,707 shares of Issuer's Common Stock held by Care Capital Investments III L.P. and 21,707 shares of Issuer's Common Stock held by Care Capital Offshore Investments III LP. Care Capital III LLC disclaims

beneficial ownership of the securities and this report shall not be deemed an admission that Care Capital III LLC is the beneficial owner of such securities for purposes of Section 16 or for any other purpose, except to the extent of their pecuniary interest therein.

(c) During the past sixty days prior to the date hereof, the following transactions occurred:

Identity of Person Who Effected the Transaction	Date of Transaction	Amount of Securities Sold	Weighted Average Price Per Share	Where and How Transaction was Effected
Care Capital Investments III L.P.	4/1/2016	14,754	\$ 6.15	Open Market
Care Capital Offshore Investments III LP	4/1/2016	246	\$ 6.15	Open Market
Care Capital Investments III L.P.	4/4/2016	14,754	\$ 6.24	Open Market
Care Capital Offshore Investments III LP	4/4/2016	246	\$ 6.24	Open Market
Care Capital Investments III L.P.	4/6/2016	14,754	\$ 6.16	Open Market
Care Capital Offshore Investments III LP	4/6/2016	246	\$ 6.16	Open Market
Care Capital Investments III L.P.	4/7/2016	9,120	\$ 6.15	Open Market
Care Capital Offshore Investments III LP	4/7/2016	152	\$ 6.15	Open Market
Care Capital Investments III L.P.	4/12/2016	14,754	\$ 6.23	Open Market
Care Capital Offshore Investments III LP	4/12/2016	246	\$ 6.23	Open Market
Care Capital Investments III L.P.	4/13/2016	14,754	\$ 6.24	Open Market
Care Capital Offshore Investments III LP	4/13/2016	246	\$ 6.24	Open Market
Care Capital Investments III L.P.	4/14/2016	14,754	\$ 6.28	Open Market
Care Capital Offshore Investments III LP	4/14/2016	246	\$ 6.28	Open Market
Care Capital Investments III L.P.	4/18/2016	14,754	\$ 6.40	Open Market
Care Capital Offshore Investments III LP	4/18/2016	246	\$ 6.40	Open Market
Care Capital Investments III L.P.	4/19/2016	14,754	\$ 6.15	Open Market
Care Capital Offshore Investments III LP	4/19/2016	246	\$ 6.15	Open Market



Care Capital Investments III L.P.	4/21/2016	3,961	\$	6.26	Open Market
Care Capital Investments III L.P.	4/26/2016	14,754	\$	6.30	Open Market
Care Capital Investments III L.P.	4/27/2016	14,754	\$	6.31	Open Market
Care Capital Investments III L.P.	4/29/2016	14,754	\$	6.33	Open Market
Care Capital Investments III L.P.	5/2/2016	14,754	\$	6.31	Open Market
Care Capital Investments III L.P.	5/3/2016	29,508	\$	6.58	Open Market
Care Capital Investments III L.P.	5/4/2016	14,754	\$	6.63	Open Market

(d) No person, other than Care Capital III LLC, is known to have the right to receive or the power to direct the receipt of dividends from, or any proceeds from the sale of, the shares of Common Stock beneficially owned by each of Care Capital Investments III L.P. and Care Capital Offshore Investments III LP.

(e) Not applicable.

**SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: May 5, 2016

Care Capital III LLC

By: /s/ David R. Ramsay  
Name: David R. Ramsay  
Title: Partner

Dated: May 5, 2016

Care Capital Investments III L.P.

By: Care Capital III LLC, its General Partner  
By: /s/ David R. Ramsay  
Name: David R. Ramsay  
Title: Partner

Dated: May 5, 2016

Care Capital Offshore Investments III LP

By: Care Capital III LLC, its General Partner  
By: /s/ David R. Ramsay  
Name: David R. Ramsay  
Title: Partner

**Attention: Intentional misstatements or omissions of fact constitute Federal criminal violations  
(See 18 U.S.C. 1001)**