

StoneCastle Financial Corp.

Form 3

November 06, 2013

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Â Siegel Joshua S.  
(Last) (First) (Middle)152 WEST 57TH STREET,  
35TH FLOOR

(Street)

NEW YORK, NY 10019

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)  
11/06/20133. Issuer Name and Ticker or Trading Symbol  
StoneCastle Financial Corp. [BANX]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☒ Director ☒ 10% Owner☒ Officer ☐ Other  
(give title below) (specify below)

Chief Executive Officer

5. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities Beneficially Owned  
(Instr. 4)3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

Common Stock

4,000

I

By StoneCastle Asset Management LLC <sup>(1)</sup>

Common Stock

1

D

Â

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and Expiration Date  
(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

# Edgar Filing: StoneCastle Financial Corp. - Form 3

| Date<br>Exercisable | Expiration<br>Date | Title | Amount or<br>Number of<br>Shares | Price of<br>Derivative<br>Security | Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |
|---------------------|--------------------|-------|----------------------------------|------------------------------------|---------------------------------------------------------------------------|
|                     |                    |       |                                  |                                    |                                                                           |

## Reporting Owners

| Reporting Owner Name / Address                                             | Relationships |           |                           |       |
|----------------------------------------------------------------------------|---------------|-----------|---------------------------|-------|
|                                                                            | Director      | 10% Owner | Officer                   | Other |
| Siegel Joshua S.<br>152 WEST 57TH STREET, 35TH FLOOR<br>NEW YORK, NY 10019 | Â X           | Â X       | Â Chief Executive Officer | Â     |

## Signatures

/s/ Joshua S. Siegel 11/06/2013

\_\_Signature of Reporting Person Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) 4,000 Common Shares are owned by StoneCastle Asset Management LLC. Joshua S. Siegel is a Managing Partner of Stone Castle Partners, LLC which is the 100% owner of StoneCastle Asset Management LLC, and is a Manager of StoneCastle Asset Management LLC, and has the power to direct voting and investment in the shares owned by StoneCastle Asset Management LLC. Mr. Siegel disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.