### Edgar Filing: BASSWOOD OPPORTUNITY FUND INC - Form 3

#### BASSWOOD OPPORTUNITY FUND INC

Form 3

December 15, 2017

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

**OMB APPROVAL** 

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SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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)

owned directly or indirectly.

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Regional Management Corp. [RM] BASSWOOD CAPITAL (Month/Day/Year) MANAGEMENT, L.L.C. 12/07/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 645 MADISON AVENUE, (Check all applicable) 10TH FLOOR.Â (Street) 6. Individual or Joint/Group \_\_X\_\_ 10% Owner Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) Form filed by One Reporting NEW YORK. NYÂ 10022 \_X\_ Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock, par value \$0.10 per share See footnotes (1) (2) 256,635 I ("Common Stock") Common Stock 23,975 I See footnotes (1) (3) Common Stock Ι See footnotes (1) (4) 690,180 Common Stock 129,152 Ι See footnotes (1) (5)Common Stock 76,193 Ι See footnotes (1) (6) See footnotes (1) (7) Common Stock 27,470 I Ι See footnotes (1) (8) Common Stock 326,274 Reminder: Report on a separate line for each class of securities beneficially

SEC 1473 (7-02)

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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<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                                  | 4. Conversion or Exercise   | 5. Ownership Form of | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|--|--|--------------------|--|----------------------------------|---|----------------------|---|
|  | Date<br>Exercisable                                      | Expiration<br>Date | ,  | Amount or<br>Number of<br>Shares | Price of Derivative Derivative Security: Security Direct (D) or Indirect (I) (Instr. 5) |                      |   |

# **Reporting Owners**

|                          | Reporting Owner Name / Address  | Relationships |           |         |       |  |
|--------------------------|---|---------------|-----------|---------|-------|--|
| reporting Owner Function |   | Director      | 10% Owner | Officer | Other |  |
|                          | BASSWOOD CAPITAL MANAGEMENT, L.L.C.<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022   | Â             | ÂX        | Â       | Â     |  |
|                          | LINDENBAUM MATTHEW A<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022                    | Â             | ÂΧ        | Â       | Â     |  |
|                          | LINDENBAUM BENNETT D<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022                    | Â             | ÂΧ        | Â       | Â     |  |
|                          | BASSWOOD FINANCIAL FUND, L.P.<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022           | Â             | ÂΧ        | Â       | Â     |  |
|                          | BASSWOOD FINANCIAL LONG ONLY FUND, L.P.<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022 | Â             | ÂΧ        | Â       | Â     |  |
|                          | BASSWOOD ENHANCED LONG SHORT FUND LP<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022    | Â             | ÂX        | Â       | Â     |  |
|                          | BASSWOOD OPPORTUNITY PARTNERS, L.P.<br>C/O BASSWOOD CAPITAL MANAGEMENT, LLC<br>645 MADISON AVENUE, 10TH FLOOR<br>NEW YORK, NY 10022     | Â             | ÂX        | Â       | Â     |  |

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BASSWOOD OPPORTUNITY FUND INC

C/O BASSWOOD CAPITAL MANAGEMENT, LLC

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NEW YORK, NYÂ 10022

BASSWOOD FINANCIAL FUND, INC.

645 MADISON AVENUE, 10TH FLOOR

C/O BASSWOOD CAPITAL MANAGEMENT, LLC

Â ÂΧ Â 645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NYÂ 10022

## **Signatures**

BASSWOOD CAPITAL MANAGEMENT, L.L.C., By: /s/ Matthew Lindenbaum

12/15/2017

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\*\*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) See Exhibit 99.1
- (2) See Exhibit 99.1
- (3) See Exhibit 99.1
- (4) See Exhibit 99.1
- (5) See Exhibit 99.1
- (6) See Exhibit 99.1
- (7) See Exhibit 99.1
- (8) See Exhibit 99.1

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#### **Remarks:**

Exhibit List:

Exhibit 99.1 - Explanation of Responses

Exhibit 99.2 - Joint Filer Information

Exhibit 99.3 - Joint Filers'Â Signatures

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.

Signatures 3