### Edgar Filing: BASSWOOD OPPORTUNITY FUND INC - Form 4

### BASSWOOD OPPORTUNITY FUND INC

Form 4 January 03, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per response... 0.5

**OMB APPROVAL** 

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

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 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* **BASSWOOD CAPITAL** MANAGEMENT, L.L.C.

2. Issuer Name and Ticker or Trading Symbol

Regional Management Corp. [RM]

5. Relationship of Reporting Person(s) to

Issuer

(Last)

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year) 12/29/2017

Filed(Month/Day/Year)

(Check all applicable)

645 MADISON AVENUE, 10TH FLOOR,

(Street)

4. If Amendment, Date Original

Director Officer (give title below)

\_X\_\_ 10% Owner \_ Other (specify

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person X Form filed by More than One Reporting

NEW YORK, NY 10022

(City)	(State) (Z	Zip) Table	I - Non-De	erivative S	Securi	ties Acqu	ired, Disposed of	, or Beneficial	lly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securi on(A) or D (Instr. 3,	ispose 4 and (A) or	d of (D) 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock, par value \$0.10 per share ("Common Stock")	12/29/2017		P P	7,881		Price \$ 26.4	334,155	I	See footnotes (1) (2)
Common Stock	01/02/2018		S	4,222	D	\$ 25.99	124,930	I	See footnotes (1) (3)
Common Stock	01/02/2018		S	1,486	D	\$ 25.99	25,984	I	See footnotes (1) (4)

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Common Stock	01/02/2018	P	2,355	A	\$ 26.18	78,548	I	See footnotes (1) (5)
Common Stock	01/02/2018	P	3,550	A	\$ 26.18	27,525	I	See footnotes (1) (6)
Common Stock						256,635	I	See footnotes
Common Stock						690,180	I	See footnotes (1) (8)

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

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SEC 1474

(9-02)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Title	and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transac	tionNumber	Expiration D	ate	Amoun	t of	Derivative
Security	or Exercise		any	Code	of	(Month/Day	/Year)	Underly	ying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8	) Derivativ	re		Securit	ies	(Instr. 5)
	Derivative				Securities	s		(Instr. 3	3 and 4)	
	Security				Acquired	l				
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
						Date	Expiration		or	
						Exercisable Date	Title Number			
									of	
				Code	V (A) (D)			5	Shares	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
BASSWOOD CAPITAL MANAGEMENT, L.L.C. 645 MADISON AVENUE, 10TH FLOOR NEW YORK, NY 10022		X				
LINDENBAUM MATTHEW A C/O BASSWOOD CAPITAL MANAGEMENT L.L.C. 645 MADISON AVENUE 10TH FLOOR		X				

Reporting Owners 2

X

X

X

X

X

X

NEW YORK, NY 10022

LINDENBAUM BENNETT D

C/O BASSWOOD CAPITAL MANAGEMENT, L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

BASSWOOD FINANCIAL FUND, L.P.

C/O BASSWOOD CAPITAL MANAGEMENT L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

BASSWOOD FINANCIAL LONG ONLY FUND, L.P.

C/O BASSWOOD CAPITAL MANAGEMENT L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

BASSWOOD FINANCIAL FUND, INC.

C/O BASSWOOD CAPITAL MANAGEMENT L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

BASSWOOD OPPORTUNITY FUND INC

C/O BASSWOOD CAPITAL MANAGEMENT L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

BASSWOOD PARTNERS, L.L.C.

C/O BASSWOOD CAPITAL MANAGEMENT L.L.C.

645 MADISON AVENUE, 10TH FLOOR

NEW YORK, NY 10022

# **Signatures**

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

01/03/2018

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(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) Notes are included on Exhibit 99.1 hereto.
- (2) Notes are included on Exhibit 99.1 hereto.
- (3) Notes are included on Exhibit 99.1 hereto.
- (4) Notes are included on Exhibit 99.1 hereto.
- (5) Notes are included on Exhibit 99.1 hereto.
- (6) Notes are included on Exhibit 99.1 hereto.
- (7) Notes are included on Exhibit 99.1 hereto.
- (8) Notes are included on Exhibit 99.1 hereto.

#### Remarks:

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**Exhibit List:** 

Exhibit 99.1 - Explanation of Responses

Exhibit 99.2 - Joint Filer Information

Exhibit 99.3 - Joint Filers' 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.