Regional Management Corp. Form 4

November 19, 2013

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

OMB Number:

3235-0287

0.5

if no longer

Check this box

January 31, Expires: 2005

**OMB APPROVAL** 

subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

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Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Palladium Equity Partners III, L.L.C. 2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

Regional Management Corp. [RM]

(Check all applicable)

(Last)

(First)

(Middle)

3. Date of Earliest Transaction

X\_ Director

below)

X 10% Owner Other (specify

ROCKEFELLER CENTER, 1270 AVENUE OF THE AMERICAS,

(Street)

**SUITE 2200** 

(City)

1. Title of

Security

(Instr. 3)

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

(Month/Day/Year)

10/28/2013

Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

NEW YORK, NY 10020

(State) (Zip) 2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially (D) or Owned (Instr. 4) Following

Officer (give title

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Indirect (I) Ownership (Instr. 4)

Reported (A)

(1)

Transaction(s) or (Instr. 3 and 4)

Price Code V Amount (D)

Α

Common

per share

Stock, par 10/28/2013 value \$0.10

5,382

 $A^{(1)}$ 

1,144,622 (2)

See footnote (3)

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

(Month/Day/Year)

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SEC 1474 (9-02)

#### Edgar Filing: Regional Management Corp. - Form 4

# $\label{thm:convertible} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. forNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	ınt of rlying	8. Price of Derivative Security (Instr. 5)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Palladium Equity Partners III, L.L.C. ROCKEFELLER CENTER 1270 AVENUE OF THE AMERICAS, SUITE 2200 NEW YORK, NY 10020	X	X				
Palladium Equity Partners III L P ROCKEFELLER CENTER 1270 AVENUE OF THE AMERICAS, SUITE 2200 NEW YORK, NY 10020	X	X				
Rodriguez Marcos A ROCKEFELLER CENTER 1270 AVENUE OF THE AMERICAS, SUITE 2200 NEW YORK, NY 10020	X	X				

### **Signatures**

Palladium Equity Partners III, L.P.: By Palladium Equity Partners III, L.L.C., its general partner, By: /s/ Erik A. Scott Name: Erik A. Scott Title: Attorney-in-Fact for Marcos A. Rodriguez, Managing Member					
**Signature of Reporting Person	Date				
Palladium Equity Partners III, L.L.C. By: Erik A. Scott Name: Erik A. Scott Title: Attorney-in-Fact for Marcos A. Rodriguez, Managing Member					
**Signature of Reporting Person	Date				
Marcos A. Rodriguez: By: /s/ Erik A. Scott Name: Erik A. Scott, Title: Attorney-in-Fact for Marcos A. Rodriguez	11/19/2013				
**Signature of Reporting Person	Date				

Reporting Owners 2

### **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).
  - Represents a grant of 2,691 shares of common stock of Regional Management Corporation (the "Issuer") to each of David Perez and Erik A. Scott, who are designees of Palladium Equity Partners III, L.P serving on the Issuer's board of directors, as a component of their annual director compensation for their service on the Issuer's board of directors. Pursuant to arrangements between Palladium Equity
- Partners III, L.P and each of Mr. Perez and Mr. Scott, Messrs. Perez and Scott are not permitted to retain equity awards granted by the Issuer to each of Messrs. Perez and Scott, and each of Messrs. Perez and Scott is required to hold such securities for the benefit of Palladium Equity Partners III, L.P.
- (2) Includes 1,139,240 shares of common stock of the Issuer held directly by Palladium Equity Partners III, L.P.
  - Shares of common stock of the Issuer are held by Palladium Equity Partners III, L.P and by each of David Perez and Erik A. Scott as
- (3) nominee holders on behalf of Palladium Equity Partners III, L.P. The general partner of Palladium Equity Partners III, L.P. is Palladium Equity Partners III, L.L.C. Marcos A. Rodriguez is the managing member of Palladium Equity Partners III, L.L.C.

#### **Remarks:**

David Perez and Erik A. Scott serve on the board of directors of the Issuer as representatives of the Reporting Persons. Mr. Pe chairman of the board of directors of the Issuer and a Managing Director of Palladium Equity Partners III, L.P. Mr. Scott is a roof the board of directors of the Issuer and a Managing Director of Palladium Equity Partners III, L.P.

Pursuant to Rule 16a-1(a)(4) of the Securities Exchange Act of 1934, as amended, the Reporting Persons state that this filing s not be an admission that the Reporting Persons are the beneficial owners of any of the securities reported herein, and the Reporting Persons disclaim beneficial ownership of such securities except to the extent of the Reporting Persons' pecuniary interest there

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.