

BASSWOOD OPPORTUNITY FUND INC

Form 4

January 03, 2018

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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 \*  
**BASSWOOD CAPITAL MANAGEMENT, L.L.C.**

(Last) (First) (Middle)

645 MADISON AVENUE, 10TH FLOOR,

(Street)

NEW YORK, NY 10022

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**Regional Management Corp. [RM]**

3. Date of Earliest Transaction (Month/Day/Year)  
12/29/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director  10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

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 Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 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)
			Code	V	Amount (A) or (D) Price		
Common Stock, par value \$0.10 per share ("Common Stock")	12/29/2017		P		7,881 A \$ 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 (1) (7)
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)

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

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 3 and 4)
				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
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		

NEW YORK, NY 10022

LINDENBAUM BENNETT D  
 C/O BASSWOOD CAPITAL MANAGEMENT, L.L.C. X  
 645 MADISON AVENUE, 10TH FLOOR  
 NEW YORK, NY 10022

BASSWOOD FINANCIAL FUND, L.P.  
 C/O BASSWOOD CAPITAL MANAGEMENT L.L.C. X  
 645 MADISON AVENUE, 10TH FLOOR  
 NEW YORK, NY 10022

BASSWOOD FINANCIAL LONG ONLY FUND, L.P.  
 C/O BASSWOOD CAPITAL MANAGEMENT L.L.C. X  
 645 MADISON AVENUE, 10TH FLOOR  
 NEW YORK, NY 10022

BASSWOOD FINANCIAL FUND, INC.  
 C/O BASSWOOD CAPITAL MANAGEMENT L.L.C. X  
 645 MADISON AVENUE, 10TH FLOOR  
 NEW YORK, NY 10022

BASSWOOD OPPORTUNITY FUND INC  
 C/O BASSWOOD CAPITAL MANAGEMENT L.L.C. X  
 645 MADISON AVENUE, 10TH FLOOR  
 NEW YORK, NY 10022

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

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