#### Edgar Filing: SIEBERT FINANCIAL CORP - Form 3

#### SIEBERT FINANCIAL CORP

Form 3

December 21, 2016

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 \*

Gebbia Gloria E

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

12/16/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

SIEBERT FINANCIAL CORP [SIEB]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O SIBERT FINANCIAL CORP., Â 885 THIRD AVENUE

(Street)

(State)

(Check all applicable)

\_X\_ Director

Officer

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

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

NEW YORK, NYÂ 10022

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

(City)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

10% Owner(1)

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

I See footnote (1) Common Stock, \$0.01 par value per share 20,142,220

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** (Instr. 4)

Conversion or Exercise Price of

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Title

Derivative Security: Direct (D) Security

### Edgar Filing: SIEBERT FINANCIAL CORP - Form 3

Date Expiration Amount or or Indirect
Exercisable Date Number of (I)
Shares (Instr. 5)

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Gebbia Gloria E

C/O SIBERT FINANCIAL CORP. 885 THIRD AVENUE

 $\hat{A} X \qquad \hat{A} \qquad \hat{A} \qquad 10\% \text{ Owner}(1)$ 

NEW YORK, NYÂ 10022

# **Signatures**

/s/ Gloria E. 12/21/2016 Gebbia

\*\*Signature of Date
Reporting Person

# **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).

owner of the 19,987,283 shares owned by Kennedy Cabot Acquisition, LLC. The Reporting Person may also be deemed to share beneficial ownership of 136,537 shares of Issuer common stock owned by StockCross Financial Services, Inc., as a result of her ownership interest in such entity and to share beneficial ownership of 18,400 shares of Issuer common stock held in a family trust. The Reporting Person expressly disclaims beneficial ownership of the securities reported herein except to the extent of her pecuniary interest therein

Gloria E. Gebbia is the sole member of Kennedy Cabot Acquisition, LLC and therefore may be deemed to be the indirect beneficial

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.

Reporting Owners 2