NewStar Financial, Inc.

Form 4 June 30, 2015

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB

3235-0287 Number:

**OMB APPROVAL** 

January 31, Expires: 2005

Estimated average burden hours per response... 0.5

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

obligations

may continue.

See Instruction

Check this box

**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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Capital Z Partners III GP, Ltd.			2. Issuer Name and Ticker or Trading Symbol New Star Financial Lea (NEWS)	5. Relationship of Reporting Person(s) to Issuer			
			NewStar Financial, Inc. [NEWS]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction				
			(Month/Day/Year)	Director 10% Owner			
142 WEST 57TH STREET, 3RD FLOOR,			06/29/2015	Officer (give titleX Other (specify below)			
				See Remarks Section			
(Street)			4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check			
			Filed(Month/Day/Year)	Applicable Line)			
NEW YORK, NY 10019				Form filed by One Reporting Person _X_ Form filed by More than One Reporting Person			

(City)	(State) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned								lly Owned	
1.Title of Security	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if	3. Transactio	4. Securi		r	5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect	
(Instr. 3)		any (Month/Day/Year)	Code (Instr. 8)	Disposed of (D) (Instr. 3, 4 and 5)			Beneficially Owned Following	(D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
			Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)			
Common Stock							4,000,000	I (1) (3)	See notes (1) (3)	
Common Stock	06/29/2015		<u>J(4)</u>	7,002	A	<u>(4)</u>	5,572,168	I (2) (3)	See notes (2) (3)	
Common Stock	06/29/2015		J <u>(4)</u>	7,002	D	<u>(4)</u>	29,919	D (5)		

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

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### Edgar Filing: NewStar Financial, Inc. - Form 4

#### number.

# 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 Exerc	cisable and	7. Title	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable	Date	Title	Number		
									of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address		Relationships					
reporting of not reality realities	Director	10% Owner	Officer	Other			
Capital Z Partners III GP, Ltd. 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019				See Remarks Section			
Capital Z Partners III, L.P. 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019				See Remarks Section			
Capital Z Partners III GP, L.P. 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019				See Remarks Section			
CAPITAL Z FINANCIAL SERVICES PRIVATE FUND II, L.P. 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019				See Remarks Section			
CAPITAL Z FINANCIAL SERVICES FUND II LP 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019		X		See Remarks Section			
CAPITAL Z PARTNERS LP 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019		X		See Remarks Section			
CAPITAL Z PARTNERS LTD 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019		X		See Remarks Section			

Reporting Owners 2

Capital Z Partners Management, LLC 142 WEST 57TH STREET, 3RD FLOOR NEW YORK, NY 10019

X See Remarks Section

COOPER BRADLEY E

C/O CAPITAL Z PARTNERS MANAGEMENT, LLC 142 WEST 57TH STREET, 3RD FLOOR

X X

NEW YORK, NY 10019

## **Signatures**

/s/ Craig Fisher - Authorized Signatory for Capital Z Partners III GP, Ltd.

06/30/2015

\*\*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) See Footnote 1 in Exhibit 99.1.
- (2) See Footnote 2 in Exhibit 99.1.
- (3) See Footnote 3 in Exhibit 99.1.
- (4) See Footnote 4 in Exhibit 99.1.
- (5) See Footnote 5 in Exhibit 99.1.

#### **Remarks:**

See Exhibit 99.1 - Footnotes and Joint Filer Information incorporated herein by reference.

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