McAuliffe Patrick F Form 3 May 11, 2012

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

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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 *

McAuliffe Patrick F

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

05/09/2012

C/O NEWSTAR FINANCIAL, INC., Â 500 BOYLSTON

STREET, SUITE 1250

(Street)

(State)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol NewStar Financial, Inc. [NEWS]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

Director

10% Owner

_X__ Officer Other (give title below) (specify below) Co-Head, Leveraged Finance 6. Individual or Joint/Group

Filing(Check Applicable Line) _X_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

BOSTON. MAÂ 02116

1. Title of Security

(City)

(Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities

(Instr. 4)

Beneficially Owned

3. Ownership 4. Nature of Indirect Beneficial

Form: Direct (D) or Indirect

(Instr. 5)

(I) (Instr. 5)

Common Stock

45,367

D

Â

Ownership

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

SEC 1473 (7-02)

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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)

4. 5. Conversion or Exercise

Ownership Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	(1)	02/12/2015	Common Stock	15,000	\$ 7.32	D	Â
Stock Option (Right to Buy)	(1)	12/13/2016	Common Stock	20,105	\$ 17	D	Â
Stock Option (Right to Buy)	(1)	12/13/2016	Common Stock	12,500	\$ 17	D	Â
Stock Option (Right to Buy)	(1)	02/04/2016	Common Stock	25,000	\$ 2.86	D	Â
Stock Option (Right to Buy)	(2)	05/12/2017	Common Stock	15,000	\$ 8.28	D	Â
Stock Option (Right to Buy)	(2)	05/12/2017	Common Stock	32,605	\$ 8.28	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				
Reporting 6 wher Funder Frances	Director	10% Owner	Officer	Other	
McAuliffe Patrick F					
C/O NEWSTAR FINANCIAL, INC.	â	â	Co-Head, Leveraged Finance	â	
500 BOYLSTON STREET, SUITE 1250	А	А	A Co-nead, Leveraged Finance	A	
BOSTON, MA 02116					

Signatures

John K. Bray as attorney-in-fact 05/11/2012

**Signature of Reporting Person Date

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).
- (1) Option is fully vested
- (2) Option vests in 3 equal installments on each of February 12, 2011, February 12, 2012 and February 12, 2013

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.

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