

GUARANTY FEDERAL BANCSHARES INC

Form 3

August 03, 2016

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF 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 *Â Castle Creek Capital Partners
V, LP

(Last) (First) (Middle)

C/O CASTLE CREEK
CAPITAL LLC,Â 6051 EL
TORDO

(Street)

RANCHO SANTA
FE,Â CAÂ 92067

(City) (State) (Zip)

2. Date of Event Requiring
Statement(Month/Day/Year)
08/03/20163. Issuer Name **and** Ticker or Trading Symbol

GUARANTY FEDERAL BANCSHARES INC [GFED]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☒ 10% Owner
☐ Officer ☐ Other
(give title below) (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 Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)Guaranty Federal Bancshares, Inc. Common
Stock

719,022

D ⁽¹⁾ ÂReminder: 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 Date3. Title and Amount of
Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect
Beneficial Ownership

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

Castle Creek Capital Partners V, LP C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â
Castle Creek Capital V LLC C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â
EGGEMEYER JOHN M III C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â
THOMAS J MIKESELL C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â
MERLO MARK G C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â
Pietrzak John C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067	Â	Â X	Â	Â

CASTLE CREEK CAPITAL PARTNERS V, LP, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer, Title: President	08/03/2016
<u> **Signature of Reporting Person </u>	Date
CASTLE CREEK CAPITAL V LLC, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer, Title: President	08/03/2016
<u> **Signature of Reporting Person </u>	Date
JOHN M. EGGEMEYER, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer	08/03/2016
<u> **Signature of Reporting Person </u>	Date

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J. MIKESELL THOMAS, By: /s/ J. Mikesell Thomas, Name: J. Mikesell Thomas	08/03/2016
____Signature of Reporting Person	Date
MARK G. MERLO, By: /s/ Mark G. Merlo, Name: Mark G. Merlo	08/03/2016
____Signature of Reporting Person	Date
JOHN T. PIETRZAK, By: /s/ John T. Pietrzak, Name: John T. Pietrzak	08/03/2016
____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) These securities are owned by Castle Creek Capital Partners V, LP ("Fund V"). Each of Castle Creek Capital V LLC, John M. Eggemeyer, J. Mikesell Thomas, Mark G. Merlo, and John T. Pietrzak may also be deemed to be the beneficial owner of the 719,022 shares of Common Stock held directly by Fund V. Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, and Mr. Pietrzak are managing principals of Castle Creek Capital V LLC, the sole general partner of Fund V. Castle Creek Capital V LLC, Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, and Mr. Pietrzak each disclaim beneficial ownership of such shares of Common Stock, except to the extent of their respective pecuniary interest in Fund V, and this report shall not be deemed an admission that Castle Creek Capital V LLC, Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, or Mr. Pietrzak is the beneficial owner of such shares of Common Stock for purposes of Section 16 of the Securities Exchange Act of 1934, as amended, or for any other purpose.

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.