

Resource Capital Corp.  
Form 4  
November 18, 2016

**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 \*  
FARKAS ANDREW L

2. Issuer Name and Ticker or Trading Symbol  
Resource Capital Corp. [RSO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
ONE CRESCENT DRIVE, SUITE 203

3. Date of Earliest Transaction (Month/Day/Year)  
11/16/2016

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

(Street)  
PHILADELPHIA, PA 19112

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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)
8.50% Series A Cumulative Redeemable Preferred Stock	11/16/2016		P	21,276 A <u>(1)</u>	21,276	D	
Common Stock	11/17/2016		P	21,444 A <u>(2)</u>	21,444	D	
Common Stock					715,396	I	See Footnote <u>(3)</u>

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

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(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. 5)
				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
FARKAS ANDREW L ONE CRESCENT DRIVE, SUITE 203 PHILADELPHIA, PA 19112		X		

## Signatures

Shelle Weisbaum,  
Attorney-in-Fact  
11/18/2016

\*\*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) On November 16, 2016, the reporting person purchased, in multiple transactions, a total of 21,276 shares of 8.50% Series A Cumulative Redeemable Preferred Stock of Resource Capital Corp. ("RSO") at prices ranging from \$22.40 to \$23.50.
  - (2) On November 17, 2016, the reporting person purchased, in multiple transactions, a total of 21,444 shares of common stock of RSO at prices ranging from \$9.36 to \$9.43.
- Shares are collectively held by Resource Capital Investor, Inc. and Resource Capital Manager, Inc., each indirect wholly-owned subsidiaries of C-III Capital Partners LLC ("C-III"). C-III is externally managed by Island Capital Group LLC, of which the reporting person is the managing member and thus has investment discretion. The reporting person disclaims beneficial ownership except to the extent of his pecuniary interest therein, and the inclusion of these securities in this report shall not be deemed an admission of beneficial ownership for purposes of Section 16 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.

## Edgar Filing: Resource Capital Corp. - Form 4

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