### Edgar Filing: HARVEST FINANCIAL CORPORATION - Form 3

#### HARVEST FINANCIAL CORPORATION

Form 3

December 13, 2017

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

**OMB APPROVAL** 

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**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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement RCM TECHNOLOGIES INC [RCMT] À HARVEST FINANCIAL (Month/Day/Year) **CORPORATION** 12/08/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1600 BENEDUM-TREES (Check all applicable) **BUILDING. 223 FOURTH AVENUE** Director 10% Owner X\_ Other (Street) Officer 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) See Explanation \_X\_ Form filed by One Reporting Person PITTSBURGH, Â PA Â 15222 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) (Instr. 5) Form: Direct (D) or Indirect (Instr. 5) See footnotes (2) (4) Ι Common Stock, \$0.05 par value  $\frac{(1)}{}$ 2,055,065 See footnotes (3) (4) Common Stock, \$0.05 par value  $\frac{(1)}{}$ 266,074 I Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. 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)

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1. Title of Derivative Security

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Conversion or Exercise Price of Derivative

Ownership Form of Derivative Security:

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

(Instr. 4)

**Expiration Title** Date Exercisable Date

Amount or Number of Shares

Direct (D) Security or Indirect (I) (Instr. 5)

# **Reporting Owners**

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

HARVEST FINANCIAL CORPORATION 1600 BENEDUM-TREES BUILDING 223 FOURTH AVENUE PITTSBURGH, Â PAÂ 15222

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See Explanation

**Signatures** 

/s/Frank D. Ruscetti as President of Harvest Financial Corporation

12/13/2017

\*\*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).

The Reporting Person is a member of a reporting group that owns in the aggregate more than 10% of the Issuer's outstanding shares of Common Stock. The Reporting Person disclaims beneficial ownership of the shares of Common Stock reported herein except to the extent of its pecuniary interest therein, and this report shall not be deemed to be an admission that the Reporting Person is the beneficial owner of such shares of Common Stock for purposes of Section 16 or for any other purpose.

- (2) IRS Partners No. 19, L.P., a Delaware limited partnership ("IRS 19"), directly owns these shares of Common Stock.
- The Leonetti/O'Connell Family Foundation, a Delaware non-profit corporation (the "Foundation"), directly owns these shares of Common **(3)** Stock.

IRS 19 and the Foundation have each entered into an investment advisory agreement with the reporting person, pursuant to which Bradley Vizi ("Mr. Vizi") on behalf of the reporting person, exclusively manages IRS 19's and the Foundation's investment in the Issuer and has certain discretion with respect to purchase and sales of Common Stock of the Issuer. As a result, the reporting person and Mr. Vizi may be deemed to have shared dispositive power with respect to the shares held by IRS 19 and the Foundation.

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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