### Edgar Filing: PENN ARTHUR H - Form 4

PENN ART	THUR H										
Form 4	2012										
January 17,									OMB	APPROVAL	
FORM	VI 4 UNITED	STATES						OMMISSION	OMB	3235-0287	
Check t	ashingto	n, D.C. 2	20042	•		Number:	January 31,				
if no longer subject to Section 16. Form 4 or				SECU	IRITIES				Expires: Estimated burden ho response.	2005 average urs per	
Form 5 obligati may co <i>See</i> Inst 1(b).	ntinue. Frida put	(a) of the l	Public I	Utility Ho	olding Co	ompa	U	e Act of 1934, 1935 or Section 0	n		
(Print or Type	e Responses)										
PENN ARTHUR H Sy			Symbol	er Name <b>a</b> ntPark Fl			-	5. Relationship of Reporting Person(s) to Issuer			
				PFLT]	C			(Check all applicable)			
(Month			(Month/	of Earliest /Day/Year)		n		X Director 10% Owner X Officer (give titleX Other (specify below) below)			
FLOOR	ISON AVENUE 1	51H	01/16/	2013				Chairman and C	CEO / Investn	nent Adviser	
			Amendment, Date Original d(Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line)				
NEW YOF	RK, NY 10022							_X_ Form filed by C Form filed by M Person			
(City)	(State)	(Zip)	Ta	ble I - Non	-Derivativ	ve Sec	urities Acqu	uired, Disposed of	, or Beneficia	ally Owned	
1.Title of Security (Instr. 3) 2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)			Code	oror Dispo (Instr. 3,	sed of		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	itiesOwnershipficiallyForm:edDirect (D)wingor Indirectrted(I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V	Amount	or (D)	Price	(Instr. 3 and 4)	. ,		
Common Stock	01/16/2013			Р	7,000	D	\$ 13.4061	7,667	I	By Pennant Park Investment Advisers, LLC (1)	
Common Stock	01/17/2013			Р	3,000	D	\$ 13.4048	10,667	I	By Pennant Park Investment Advisers, LLC (1)	

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Reminder: Report on a separate line for each class of securities beneficially 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 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. Titl	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Securi	ities	(Instr. 5)	Bene
	Derivative				Securities	3		(Instr.	3 and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
									Amount		
						Date	Expiration		or Number		
					Exe	Exercisable Date	of				
				Code V	(A) (D)				Shares		
				Code v	(A) $(D)$				Shares		

## **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
PENN ARTHUR H 590 MADISON AVENUE 15TH FLOOR NEW YORK, NY 10022	Х		Chairman and CEO	Investment Adviser				
Signatures								

/s/ Arthur H. Penn	01/17/2013			
<u>**</u> 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).

Due to his control of and ownership interest in PennantPark Investment Advisers, LLC, which owns directly 10,667 shares of Common Stock of the Issuer as of January 17, 2013, Mr.Penn may be viewed as having voting and dispositive power over all of the share held by

(1) Stock of the Issuer as of January 17, 2015, will eith may be viewed as having voting and dispositive power over all of the share field by such entity. Mr. Penn disclaims beneficial ownership of such shares of Common Stock except to the extent of his pecuniary interest therein.

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.