

HANMI FINANCIAL CORP

Form 8-K

November 06, 2007

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**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549-1004**

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the
Securities Exchange Act of 1934

Date of report (Date of earliest event reported): **November 6, 2007**

Hanmi Financial Corporation

(Exact Name of Registrant as Specified in its Charter)

Delaware

(State or Other Jurisdiction of
Incorporation)

000-30421

(Commission File Number)

95-4788120

(IRS Employer
Identification No.)

**3660 Wilshire Boulevard
Los Angeles, California**

(Address of Principal Executive Offices)

90010

(Zip Code)

Registrant's telephone number, including area code: **(213) 382-2200**

Not applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
 - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
 - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
 - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
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Item 2.02 Results of Operations and Financial Condition

On November 6, 2007, we issued a press release to announce our results for the quarter ended September 30, 2007. A copy of this press release is attached hereto as Exhibit 99.1.

This information, including the press release filed as Exhibit 99.1, shall not be deemed to be filed for purposes of Section 18 of the Securities and Exchange Act of 1934, nor shall it be deemed to be incorporated by reference in any filing under the Securities Act of 1933.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits

99.1 Press Release, dated November 6, 2007, issued by Hanmi Financial Corporation

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Date: November 6, 2007

Hanmi Financial Corporation

By: /s/ Sung Won Sohn
Sung Won Sohn, Ph. D.
President and Chief Executive Officer

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EXHIBIT INDEX

Exhibit No. **Exhibit**
99.1 Press Release, dated November 6, 2007, issued by Hanmi Financial Corporation

-top:0pt;margin-bottom:1pt"> 4.

Source of Funds (See Instructions)

WC

5.

Check if Disclosure of Legal Proceedings Is Required Pursuant to Items 2(d) or 2(e)

6.

Citizenship or Place of Organization

Italy

7. Sole Voting Power

Number of

Shares

1,322,250,000

Beneficially

8. Shared Voting Power

Owned by

Each

0

9. Sole Dispositive Power

Reporting

Person

1,322,250,000

With

10. Shared Dispositive Power

0

11. Aggregate Amount Beneficially Owned by Each Reporting Person

1,322,250,000

12. Check if the Aggregate Amount in Row (11) Excludes Certain Shares (See Instructions)

13. Percent of Class Represented by Amount in Row (11)

8.7% (1)

14. Type of Reporting Person (See Instructions)

CO

- (1) The aggregate percentage of the Ordinary Shares reported owned by the person named herein is based upon 15,203,122,583 Ordinary Shares outstanding, which is the total number of Ordinary Shares outstanding as of September 30, 2018 as reported in the Issuer's Report of Foreign Private Issuer filed on Form 6-K with the Securities and Exchange Commission on November 28, 2018.

This Amendment No. 1 (this Amendment) to Schedule 13D (as amended to date, the Schedule 13D) is being filed by Cassa depositi e prestiti S.p.A. (the Reporting Person or CDP). Capitalized terms used but not otherwise defined in this Amendment shall have the meanings ascribed to them in the Schedule 13D. Except as otherwise specifically amended in this Amendment, items in the Schedule 13D remain unchanged.

ITEM 2. IDENTITY AND BACKGROUND.

Item 2 (a) (c).

To the best of CDP's knowledge as of the date hereof, set forth in Schedule I to this Amendment and incorporated herein by reference is the following information with respect to each director and executive officer of CDP:

- (i) name;
- (ii) business address;
- (iii) present principal occupation or employment and the name, principal business and address of any corporation or other organization in which such employment is conducted; and
- (iv) citizenship.

All other information contained in Item 2 of the Schedule 13D remains unchanged.

ITEM 3. SOURCE AND AMOUNT OF FUNDS OR OTHER CONSIDERATION.

CDP used approximately 960,983,567 (including brokerage commissions) of its working capital in the aggregate to purchase the Ordinary Shares reported in this Schedule 13D.

ITEM 5. INTEREST IN SECURITIES OF THE ISSUER.

Item 5 (a) (b)

As of the date of this report, CDP beneficially owns 1,322,250,000 Ordinary Shares, representing approximately 8.7% of the Issuer's Ordinary Shares based upon 15,203,122,583 Ordinary Shares outstanding, which is the total number of Ordinary Shares outstanding as of September 30, 2018 as reported in the Issuer's Report of Foreign Private Issuer filed on Form 6-K with the Securities and Exchange Commission on November 28, 2018.

With respect to the persons referenced in Item 2 above, to the best of CDP's knowledge, as of the date hereof, no such person beneficially owns Ordinary Shares of the Issuer.

(c)

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Except for the transactions described in the Schedule 13D, including those set forth on Schedule II, during the past 60 days there have been no other transactions in the securities of the Issuer effected by CDP or, to the best of CDP's knowledge, the persons or entities referenced in Item 2 of the Schedule 13D.

All other information contained in Item 5 of the Schedule 13D remains unchanged.

SIGNATURES

After reasonable inquiry and to the best of its knowledge and belief, the undersigned certifies that the information set forth in this Statement is true, complete and correct.

Dated: March 8, 2019

CASSA DEPOSITI E PRESTITI S.p.A.

By: /s/ Maurizio Dainelli

Name: Maurizio Dainelli

Title: Authorized Signatory

Information with Respect to Directors and Executive Officers of Cassa depositi e prestiti S.p.A.

The name, position, present principal occupation or employment of each of the directors and executive officers of Cassa depositi e prestiti S.p.A. (CDP) are set forth below. The business address for each such director or executive officer is Via Goito n. 4, 00185 Rome, Italy. Each director and executive officer is an Italian citizen.

Name	Principal occupation
Massimo Tononi	Chairman of the Board of Directors of CDP
Fabrizio Palermo	Chief Executive Officer of CDP
Luigi Paganetto	General Manager of CDP
Francesco Floro Flores	Vice Chairman of the Board of Directors of CDP
	Director of CDP
	Member of the Board of Directors of Trefin S.p.A., Naples, Italy
	Member of the Board of Directors of Aerosoft S.p.A., Naples, Italy
	Member of the Board of Directors of 3F&EDIN S.p.A., Naples, Italy
	Member of the Board of Directors of NAUTICAD S.r.l., Naples, Italy
	Extraordinary Commissioner of the Italian Government for the Environmental Remediation and Urban Regeneration of the Area of Significant National Interest of Bagnoli Coroglio, Naples, Italy
Valentino Grant	Director of CDP
	Chairman of Banca di Credito Cooperativo Terra di Lavoro, Caserta, Italy
Fabrizia Lapecorella	Director of CDP
	General Director of Finance of the Ministry of Economy and Finance, Rome, Italy
Fabiana Massa	Director of CDP
	University Professor, Sassari, Italy
Matteo Melley	Director of CDP
	Lawyer

Alessandra Ruzzu

Director of CDP

Head of External Relations and Communications at Falck
Renewables S.p.A., Milan, Italy

Davide Carlo Caparini	Director of CDP in respect of the Separate Account (<i>gestione separata</i>)
	Councillor (<i>assessore</i>) at Regione Lombardia, Milan, Italy
Antonio Decaro	Director of CDP in respect of the Separate Account (<i>gestione separata</i>)
	Chairman of Associazione Nazionale Comuni Italiani (ANCI), Rome, Italy
Alessandro Rivera	Director of CDP in respect of the Separate Account (<i>gestione separata</i>)
	General Director of Treasury at Ministry of Finance, Rome, Italy
Pier Paolo Italia	Director of CDP in respect of the Separate Account (<i>gestione separata</i>)
	General Manager of Ministry of Finance, Rome, Italy
Achille Variati	Director of CDP in respect of the Separate Account (<i>gestione separata</i>)
Alessandro Tonetti	Vice General Manager of CDP
	Chief Legal Officer of CDP
	Secretary of the Board of Directors of CDP
Salvatore Sardo	Chief Operating Officer of CDP
Pierfrancesco Latini	Chief Risk Officer of CDP
Marcello Villa	Chief Audit Officer of CDP
Paolo Calcagnini	Chief Financial Officer of CDP
Pierpaolo Di Stefano	Chief Investments Officer of CDP
Davide Colaccino	Chief External Relations & Sustainability Officer of CDP
Nunzio Tartaglia	Director of the Enterprises B.U. of CDP
Luca D Agnese	Director of the Infrastructures and Public Administration B.U. of CDP
Antonella Baldino	Director of the Cooperation and International Development B.U. of CDP
Carlo Baldocci	Director of the Public Affairs B.U. of CDP

TRANSACTIONS IN ORDINARY SHARES BY THE REPORTING PERSONS

The following table sets forth all transactions relating to the Ordinary Shares effected by the Reporting Person in the past sixty days that have not been previously reported on Schedule 13D. Unless otherwise noted, all such transactions were effected in the open market through a broker and all prices per share include commissions.

Trade Date	Number of Ordinary Shares Bought (Sold)	Average Price () Per Share
03/01/2019	51,000,000	0.5359
03/04/2019	26,250,000	0.5333
03/05/2019	35,000,000	0.5475
03/06/2019	35,000,000	0.5596
03/07/2019	49,000,000	0.5652
03/08/2019	52,500,000	0.5567