

Manko Joseph M. Jr.
Form 3
April 02, 2019

FORM 3

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

OMB APPROVAL

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**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 *

^ Manko Joseph M. Jr.

(Last)

(First)

(Middle)

1717 ARCH STREET,^ 39TH
FLOOR

(Street)

PHILADELPHIA,^ PA^ 19103

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/26/2019

3. Issuer Name **and** Ticker or Trading Symbol
SAFEGUARD SCIENTIFICS INC [SFE]

4. Relationship of Reporting
Person(s) to Issuer

5. 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)

Common Stock, \$0.10 par value

304,722

I

Horton Capital Management,
LLC (1)

Common Stock, \$0.10 par value

707,845

I

Sierra Capital Investments, L.P.
(2)

Common Stock, \$0.10 par value

55,728

I

Horton Capital Partners Fund, LP
(3)

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

SEC 1473 (7-02)

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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 (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Manko Joseph M. Jr. 1717 ARCH STREET 39TH FLOOR PHILADELPHIA, PA 19103	X			

Signatures

/s/ Joseph M.
Manko Jr. 04/02/2019

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).

Securities held in certain accounts jointly managed by Horton Capital Management, LLC ("HCM") and Maplewood Advisors IM, LLC ("MAIM") (collectively, the "Managed Accounts"). The Reporting Person, solely by virtue of his position as the managing member of

(1) HCM, which together with MAIM, act as the investment advisers to the Managed Accounts, may be deemed to beneficially own the securities held in the Managed Accounts for purposes of Section 16 of the Securities Exchange Act of 1934, as amended ("Section 16"). The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.

Securities owned directly by Sierra Capital Investments, L.P. ("Sierra"). The Reporting Person, solely by virtue of his position as the managing member of HCM, which together with MAIM, serve as the investment managers of Sierra, and as the managing member of

(2) Horton Capital Partners, LLC ("HCP"), which together with Maplewood Global Partners, LLC, serve as the general partners of Sierra, may be deemed to beneficially own the securities directly held by Sierra for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.

Securities owned directly by Horton Capital Partners Fund, LP ("HCPF"). The Reporting Person, solely by virtue of his position as the managing member of HCM, which serves as the investment manager of HCPF, and as the managing member of HCP, which serves as the general partner of HCPF, may be deemed to beneficially own the securities directly held by HCPF for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such securities 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.