

Edgar Filing: RODMAN & RENSHAW CAPITAL GROUP, INC. - Form SC 13G

RODMAN & RENSHAW CAPITAL GROUP, INC.

Form SC 13G

September 08, 2009

COMPANY DATA:

COMPANY CONFORMED NAME: RODMAN & RENSHAW CAPITAL GROUP, INC
CENTRAL INDEX KEY: 0001054303
SIC: 6211
IRS NUMBER: 84-1374481
STATE OF INCORPORATION: DE
FISCAL YEAR END: 12/31

FILING VALUES:

FORM TYPE: SC 13G
SEC ACT: 1934 Act
SEC FILE NUMBER:
FILM NUMBER:

BUSINESS ADDRESS:

STREET 1: 1251 AVENUE OF THE AMERICAS 20TH FLOOR
CITY: NEW YORK
STATE: NY
ZIP: 10020
BUSINESS PHONE: 212-356-0500

FILED BY:

COMPANY DATA:

COMPANY CONFORMED NAME: Newby Steven T
CENTRAL INDEX KEY: 0000905383

FILING VALUES:

FORM TYPE: SC 13G

BUSINESS ADDRESS:

BUSINESS PHONE: 3019906364

MAIL ADDRESS:

STREET 1: 12716 Split Creek Court
CITY: North Potomac
STATE: MD
ZIP: 20878

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

SCHEDULE 13G
Under the Securities Exchange Act of 1934

RODMAN & RENSHAW CAPITAL GROUP, INC
(Name of Issuer)

Common Stock, par vale \$0.001 per share
(Title of Class of Securities)

77487R100
(CUSIP Number)

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SEPTEMBER 4, 2009

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

- ☐ Rule 13d-1(b)
☒ Rule 13d-1(c)
☐ Rule 13d-1(d)

CUSIP No. 77487R100.....

1. Names of Reporting Persons.

I.R.S. Identification Nos. of above persons (entities only).

.....
STEVEN T NEWBY

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a)

(b)

3. SEC Use Only

.....

4. Citizenship or Place of Organization

.....
United States of America

Number of
Shares
Beneficially
Owned by
Each Reporting
Person With

5. Sole Voting Power

.....
1,849,393 shares

6. Shared Voting Power

.....

7. Sole Dispositive

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Power.....
1,849,393 Shares

8.Shared Dispositive Power
.....

9.Aggregate Amount Beneficially Owned by Each Reporting
Person.....

1,849,393 Shares

10.Check if the Aggregate Amount in Row (9) Excludes Certain Shares (See
Instructions).....

11.Percent of Class Represented by Amount in Row (9)
.....
5.23%*

12.Type of Reporting Person (See Instructions)
.....
INDIVIDUAL
.....

* Percentage based on 35,380,746 shares of Issuer's common stock
outstanding as of August 11,2009.

.....

Item 1(a)Name of Issuer

RODMAN & RENSHAW CAPITAL GROUP, INC

Item 1(b)Address of Issuer's Principal Executive Offices

1251 AVENUE OF THE AMERICAS, 20TH FLOOR, NY, NY, 10020

Item 2(a)Name of Person Filing

Steven T Newby

Item 2(b)Address of Principal Business Office or, if none, Residence

12716 Split Creek Court, North Potomac, MD, 20878

Item 2(c)Citizenship

United States of America

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Item 2(d) Title of Class of Securities

Common Stock, par value \$0.001 per share

Item 2(e) CUSIP Number

77487R100

Item 3. If this statement is filed pursuant to 13d-1(b) or 13d-2(b) or (c), check whether the person filing is a:

- (a) ☐ Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
- (b) ☐ Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c) ☐ Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d) ☐ Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).
- (e) ☐ An investment adviser in accordance with 13d-1(b)(1)(ii)(E);
- (f) ☐ An employee benefit plan or endowment fund in accordance with 13d-1(b)(1)(ii)(F);
- (g) ☐ A parent holding company or control person in accordance with 13d-1(b)(1)(ii)(G);
- (h) ☐ A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) ☐ A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) ☐ Group, in accordance with 13d-1(b)(1)(ii)(J).

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount beneficially owned: 1,849,393.

(b) Percent of class: 5.23%

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote 1,849,393.

(ii) Shared power to vote or to direct the vote _____.

(iii) Sole power to dispose or to direct the disposition of 1,849,393.

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(iv) Shared power to dispose or to direct the disposition of
_____.

Item 5. Ownership of Five Percent or Less of a Class

Not applicable

Item 6. Ownership of More than Five Percent OF A Class.

If this statement is being filed to report the fact that
as of the date hereof the reporting person has become
the beneficial owner of more than five percent
of the class of securities, check the following [X].

Item 7. Identification and Classification of the Subsidiary Which
Acquired the Security Being Reported on By the Parent Holding Company
or Control Person.

Not applicable.

Item 8. Identification and Classification of Members of the Group

Not applicable

Item 9. Notice of Dissolution of Group

Not applicable.

Item 10. Certification

By signing below I certify that, to the best of my knowledge and
belief, the securities referred to above were not acquired and are
not held for the purpose of or with the effect of changing or
influencing the control of the issuer of the securities and were not
acquired and are not held in connection with or as a participant in
any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief,
I certify that the information set forth in this statement is true,
complete and correct.

Date SEPTEMBER 8, 2009

Signature /s/ Steven T Newby