

SIEBERT FINANCIAL CORP
Form 8-K
November 04, 2013

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

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): October 29, 2013

SIEBERT FINANCIAL CORP.
(Exact name of registrant as specified in its charter)

| | | |
|--|------------------------------------|---|
| New York (State or other jurisdiction of incorporation) | 0-5703 (Commission File Number) | 11-1796714 (IRS Employer Identification Number) |
| 885 Third Avenue, New York, New York (Address of principal executive offices) | | 10022 (Zip Code) |
| Registrant's telephone number, including area code: | | (212) 644-2400 |

(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
 - Soliciting material pursuant to Rule 14a-12 under the Exchange Act
 - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act
 - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act
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Item 5.02 Departure of Directors or Principal Officers; Election of Directors; Appointment of Principal Officers.

Siebert Financial Corporation has terminated the employment of the following of its named executive officers, effective as of October 29, 2013, as part a planned reduction in force: Ameen Esmail, Executive Vice President and Director of Business Development, Jeanne M. Rosendale, Executive Vice President and General Counsel, and Timothy O'Leary, Executive Vice President.

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 4, 2013

SIEBERT FINANCIAL CORP.
By: /s/ Joseph M. Ramos,
Jr.
Executive Vice
President and
Chief Operating
Officer
