

BROADWAY FINANCIAL CORP \DE\  
Form 8-K  
November 06, 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 30, 2013**

**BROADWAY FINANCIAL CORPORATION**

(Exact name of registrant as specified in its charter)

**Delaware**  
(State of Incorporation)

**000-27464**  
(Commission File Number)

**95-4547287**  
(IRS Employer Identification No.)

**5055 Wilshire Boulevard, Suite 500, Los Angeles, California**  
(Address of Principal Executive Offices)

**90036**  
(Zip Code)

Registrant's telephone number, including area code: **(323) 634-1700**

**NOT APPLICABLE**

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

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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:

- 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 8.01 Other Events.**

On October 30, 2013, Broadway Federal Bank, f.s.b. (the **Bank**), the wholly-owned banking subsidiary of Broadway Financial Corporation ( **Company** ), entered into a Consent Order with the Office of the Comptroller of the Currency (the **OCC**), which superseded the Order to Cease and Desist issued in September 2010 and a prior regulatory directive issued in the spring of 2010 to the Bank by the OCC's predecessor regulatory agency. The Consent Order was dated and effective as of October 30, 2013. A copy of the Consent Order is attached as Exhibit 99.1 to this report on Form 8-K.

The Company issued a press release announcing the execution of the Consent Order described above, a copy of which press release is attached as Exhibit 99.2 to this report on Form 8-K.

**Item 9.01 Financial Statements and Exhibits.**

**99.1** Copy of Consent Order executed October 30, 2013

**99.2** Press release dated November 5, 2013

**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.

**BROADWAY FINANCIAL CORPORATION**

Date: November 5, 2013

By

/s/ Brenda J. Battey  
Brenda J. Battey  
Chief Financial Officer

**EXHIBIT INDEX**

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- 99.2 Press release dated November 5, 2013