

GUARANTY FEDERAL BANCSHARES INC  
Form 4  
August 18, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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 \*  
Castle Creek Capital Partners V, LP

2. Issuer Name and Ticker or Trading Symbol  
GUARANTY FEDERAL BANCSHARES INC [GFED]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)

\_\_\_ Director \_\_\_X\_\_\_ 10% Owner  
\_\_\_ Officer (give title below) \_\_\_ Other (specify below)

C/O CASTLE CREEK CAPITAL LLC, 6051 EL TORDO

08/16/2016

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

RANCHO SANTA FE, CA 92067

\_\_\_ Form filed by One Reporting Person  
\_X\_ Form filed by More than One Reporting Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect or Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
Guaranty Federal Bancshares, Inc. Common Stock	08/16/2016		P		75,000	D	\$ 16.25
					794,022	D <sup>(1)</sup>	

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

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SEC 1474 (9-02)

number.

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 5)
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## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Castle Creek Capital Partners V, LP C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067		X		
Castle Creek Capital V LLC C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067		X		
EGGEMEYER JOHN M III C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067		X		
THOMAS J MIKESELL C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067		X		
MERLO MARK G C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO RANCHO SANTA FE, CA 92067		X		
Pietrzak John C/O CASTLE CREEK CAPITAL LLC 6051 EL TORDO		X		

RANCHO SANTA FE, CA 92067

## Signatures

CASTLE CREEK CAPITAL PARTNERS V, LP, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer, Title: President	08/18/2016
__Signature of Reporting Person	Date
CASTLE CREEK CAPITAL V LLC, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer, Title: President	08/18/2016
__Signature of Reporting Person	Date
JOHN M. EGGEMEYER, By: /s/ John M. Eggemeyer, Name: John M. Eggemeyer	08/18/2016
__Signature of Reporting Person	Date
J. MIKESELL THOMAS, By: /s/ J. Mikesell Thomas, Name: J. Mikesell Thomas	08/18/2016
__Signature of Reporting Person	Date
MARK G. MERLO, By: /s/ Mark G. Merlo, Name: Mark G. Merlo	08/18/2016
__Signature of Reporting Person	Date
JOHN T. PIETRZAK, By: /s/ John T. Pietrzak, Name: John T. Pietrzak	08/18/2016
__Signature of Reporting Person	Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 4(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).
 

These securities are owned by Castle Creek Capital Partners V, LP ("Fund V"). Each of Castle Creek Capital V LLC, John M. Eggemeyer, J. Mikesell Thomas, Mark G. Merlo, and John T. Pietrzak may also be deemed to be the beneficial owner of the 794,022 shares of Common Stock held directly by Fund V. Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, and Mr. Pietrzak are managing principals of Castle Creek Capital V LLC, the sole general partner of Fund V. Castle Creek Capital V LLC, Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, and Mr. Pietrzak each disclaim beneficial ownership of such shares of Common Stock, except to the extent of their respective pecuniary interest in Fund V, and this report shall not be deemed an admission that Castle Creek Capital V LLC, Mr. Eggemeyer, Mr. Thomas, Mr. Merlo, or Mr. Pietrzak is the beneficial owner of such shares of Common Stock for purposes of Section 16 of the Securities Exchange Act of 1934, as amended, or for any other purpose.

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.