#### FREYDBERG RONALD A

Form 4

January 02, 2013

### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* FREYDBERG RONALD A

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

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(Last)

(First)

(Middle)

MFA FINANCIAL, INC. [MFA]

(Check all applicable)

C/O MFA FINANCIAL, INC., 350

(Street)

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

12/31/2012

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

**Executive Vice President** 

PARK AVENUE. 20TH FLOOR

4. If Amendment, Date Original

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

Filed(Month/Day/Year)

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

Person

NEW YORK, NY 10022

(City)	(State)	(Zip) Table	e I - Non-D	erivative S	Securi	ties Acq	uired, Disposed o	f, or Beneficial	ly 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 on(A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)		
Common Stock, par value \$0.01 per share	12/31/2012		M	78,125 (1)	A	\$ 0	512,138	D	
Common Stock, par value \$0.01 per share	12/31/2012		F	35,993 (2)	D	\$ 8.11	476,145	D	
Common Stock, par value \$0.01 per share	12/31/2012		F	5,428 (3)	D	\$ 8.11	470,717	D	

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

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SEC 1474 (9-02)

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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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exerc Expiration Da (Month/Day/	ate	Underlying	7. Title and Amount Underlying Securitic (Instr. 3 and 4)	
						Date Exercisable	Expiration Date	Title	An or Nu	

Code V (A) (D)

PHANTOM (4) 12/31/2012 M 78,125 12/31/2012 12/31/2012 COMMON STOCK

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

FREYDBERG RONALD A C/O MFA FINANCIAL, INC. 350 PARK AVENUE, 20TH FLOOR NEW YORK, NY 10022

**Executive Vice President** 

#### **Signatures**

/s/Ronald A. Freydberg 01/02/2013

\*\*Signature of Date
Reporting Person

## **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).
- (1) SHARES ACQUIRED PURSUANT TO THE SETTLEMENT OF RESTRICTED STOCK UNITS (I.E. PHANTOM STOCK) GRANTED TO THE REPORTING PERSON ON OCTOBER 26, 2007 WHICH VESTED IN FULL ON DECEMBER 31, 2010.
- (2) THE REPORTED DISPOSITION REPRESENTS THE SURRENDER OF SHARES TO SATISFY TAX OBLIGATIONS ARISING FROM THE VESTING AND SETTLEMENT OF RESTRICTED STOCK UNITS (I.E. PHANTOM STOCK).
- (3) THE REPORTED DISPOSITION REPRESENTS THE SURRENDER OF SHARES TO SATISFY TAX OBLIGATIONS ARISING FROM THE VESTING OF RESTRICTED STOCK.

**(4)** 

Reporting Owners 2

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EACH SHARE OF PHANTOM STOCK WAS THE ECONOMIC EQUIVALENT OF ONE SHARE OF MFA COMMON STOCK. THE REPORTING PERSON SETTLED THEIR SHARES OF PHANTOM STOCK FOR SHARES OF MFA COMMON STOCK.

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.