

ASTA FUNDING INC

Form 3

April 15, 2014

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

Â STERN RICKY

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/27/2014

3. Issuer Name and Ticker or Trading Symbol  
ASTA FUNDING INC [ASFI]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other  
(give title below) (specify below)

Senior Vice President

C/O ASTA FUNDING,  
INC.,Â 210 SYLVAN  
AVENUE

(Street)

ENGLEWOOD  
CLIFFS,Â NJÂ 07632

(City)

(State)

(Zip)

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Asta Funding, Inc. Common Stock

269,142

D Â

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

SEC 1473 (7-02)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
currently valid OMB control number.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)4. Conversion  
or Exercise  
Price of  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

## Edgar Filing: ASTA FUNDING INC - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Option (Right to Buy)	12/22/2014	12/22/2021	Common Stock, par value \$0.01	10,000	\$ 8.36	D	Â
Option (Right to Buy)	Â <u>(1)</u>	12/18/2022	Common Stock, par value \$0.01	20,000	\$ 9.57	D	Â
Option (Right to Buy)	Â <u>(2)</u>	12/12/2023	Common Stock, par value \$0.01	20,000	\$ 8.49	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
STERN RICKY C/O ASTA FUNDING, INC., 210 SYLVAN AVENUE ENGLEWOOD CLIFFS,Â NJÂ 07632	Â	Â	Â Senior Vice President	Â

## Signatures

/s/ Ricky Stern                      04/15/2014

\_\_Signature of  
Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) The option vests in three equal annual installments on December 18, 2013, December 18, 2014 and December 18, 2015.

(2) The option vests in three equal annual installments on December 12, 2014, December 12, 2015 and December 12, 2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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