

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

StoneCastle Financial Corp.

Form NSAR-A

August 17, 2017

PAGE 1
000 A000000 06/30/2017
000 C000000 0001578987
000 D000000 N
000 E000000 NF
000 F000000 Y
000 G000000 N
000 H000000 N
000 I000000 6.1
000 J000000 A
001 A000000 StoneCastle Financial Corp.
001 B000000 811-22853
001 C000000 2123546500
002 A000000 152 West 57th Street, 35th Floor
002 B000000 New York
002 C000000 NY
002 D010000 10019
003 000000 N
004 000000 N
005 000000 N
006 000000 N
007 A000000 N
007 B000000 0
007 C010100 1
008 A000001 StoneCastle Asset Management LLC
008 B000001 A
008 C000001 801-77433
008 D010001 New York
008 D020001 NY
008 D030001 10019
010 A000001 BNY Mellon
010 B000001 84-01761
010 C010001 Boston
010 C020001 MA
010 C030001 02108
011 A000001 Keefe, Bruyette & Woods, Inc.
011 B000001 8-10888
011 C010001 New York
011 C020001 NY
011 C030001 10019
012 A000001 Computershare Trust Company, N.A.
012 B000001 84-05925
012 C010001 Canton
012 C020001 MA
012 C030001 02021
013 A000001 TAIT WELER & BAKER LLP.
013 B010001 PHILADELPHIA
013 B020001 PA
013 B030001 19103
014 A000001 StoneCastle Securities, LLC
014 B000001 8-66434
015 A000001 BNY Mellon
PAGE 2
015 B000001 C
015 C010001 Boston
015 C020001 MA
015 C030001 02108
015 E010001 X
018 000000 Y

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

019	A000000	N	
019	B000000		0
020	A000001	HILLTOP SECURITIES INC.	
020	B000001	75-1382137	
020	C000001		16
021	000000		16
022	A000001	FIRST COMMUNITY BANK	
022	B000001	00-0000000	
022	C000001		12500
022	D000001		0
022	A000002	SANDLER O'NEILL & PARTNERS	
022	B000002	13-3906061	
022	C000002		3787
022	D000002		0
022	A000003	HILLTOP SECURITIES INDEPENDENT NETWORK INC.	
022	B000003	75-1843605	
022	C000003		0
022	D000003		1944
023	C000000		16287
023	D000000		1944
024	000000	N	
026	A000000	N	
026	B000000	N	
026	C000000	N	
026	D000000	Y	
026	E000000	N	
026	F000000	N	
026	G010000	N	
026	G020000	N	
026	H000000	N	
027	000000	N	
028	A010000		0
028	A020000		0
028	A030000		0
028	A040000		0
028	B010000		0
028	B020000		0
028	B030000		0
028	B040000		0
028	C010000		0
028	C020000		0
028	C030000		0
028	C040000		0
028	D010000		0
028	D020000		0
	PAGE	3	
028	D030000		0
028	D040000		0
028	E010000		0
028	E020000		0
028	E030000		0
028	E040000		0
028	F010000		0
028	F020000		0
028	F030000		0
028	F040000		0
028	G010000		0
028	G020000		0
028	G030000		0
028	G040000		0
028	H000000		0
030	A000000		0

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

030	B000000	0.00
030	C000000	0.00
031	A000000	0
031	B000000	0
032	000000	0
033	000000	0
035	000000	0
036	B000000	0
038	000000	0
042	A000000	0
042	B000000	0
042	C000000	0
042	D000000	0
042	E000000	0
042	F000000	0
042	G000000	0
042	H000000	0
043	000000	0
044	000000	0
045	000000	Y
046	000000	N
047	000000	Y
048	000000	1.750
048	A010000	0
048	A020000	0.000
048	B010000	0
048	B020000	0.000
048	C010000	0
048	C020000	0.000
048	D010000	0
048	D020000	0.000
048	E010000	0
048	E020000	0.000
048	F010000	0
048	F020000	0.000
	PAGE	4
048	G010000	0
048	G020000	0.000
048	H010000	0
048	H020000	0.000
048	I010000	0
048	I020000	0.000
048	J010000	0
048	J020000	0.000
048	K010000	0
048	K020000	0.000
049	000000	N
050	000000	N
051	000000	N
052	000000	N
053	A000000	N
054	A000000	N
054	B000000	N
054	C000000	N
054	D000000	N
054	E000000	N
054	F000000	N
054	G000000	Y
054	H000000	Y
054	I000000	N
054	J000000	Y
054	K000000	N

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

054	L000000	N	
054	M000000	N	
054	N000000	N	
054	O000000	Y	
055	A000000	N	
055	B000000	Y	
056	000000	N	
057	000000	N	
058	A000000	N	
059	000000	Y	
060	A000000	N	
060	B000000	N	
061	000000		0
062	A000000	N	
062	B000000		0.0
062	C000000		0.0
062	D000000		0.0
062	E000000		0.0
062	F000000		0.0
062	G000000		0.0
062	H000000		0.0
062	I000000		0.0
062	J000000		0.0
062	K000000		0.0
062	L000000		0.0
	PAGE	5	
062	M000000		0.0
062	N000000		0.0
062	O000000		0.0
062	P000000		0.0
062	Q000000		0.0
062	R000000		0.0
063	A000000		0
063	B000000		0.0
066	A000000	Y	
066	B000000	N	
066	C000000	N	
066	D000000	N	
066	E000000	N	
066	F000000	Y	
066	G000000	N	
067	000000	N	
068	A000000	N	
068	B000000	N	
069	000000	N	
070	A010000	Y	
070	A020000	N	
070	B010000	Y	
070	B020000	N	
070	C010000	Y	
070	C020000	N	
070	D010000	Y	
070	D020000	N	
070	E010000	Y	
070	E020000	N	
070	F010000	Y	
070	F020000	N	
070	G010000	Y	
070	G020000	N	
070	H010000	Y	
070	H020000	N	
070	I010000	Y	

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

070	I020000	N	
070	J010000	Y	
070	J020000	N	
070	K010000	Y	
070	K020000	N	
070	L010000	Y	
070	L020000	N	
070	M010000	Y	
070	M020000	N	
070	N010000	Y	
070	N020000	N	
070	O010000	Y	
070	O020000	Y	
070	P010000	Y	
070	P020000	N	
	PAGE	6	
070	Q010000	Y	
070	Q020000	N	
070	R010000	Y	
070	R020000	N	
071	A000000		16287
071	B000000		26641
071	C000000		187608
071	D000000		9
072	A000000	6	
072	B000000		6432
072	C000000		2197
072	D000000		0
072	E000000		146
072	F000000		1783
072	G000000		89
072	H000000		0
072	I000000		20
072	J000000		32
072	K000000		0
072	L000000		34
072	M000000		101
072	N000000		0
072	O000000		45
072	P000000		1013
072	Q000000		0
072	R000000		24
072	S000000		77
072	T000000		123
072	U000000		0
072	V000000		0
072	W000000		343
072	X000000		3684
072	Y000000		0
072	Z000000		5091
072AA	000000		373
072BB	000000		0
072CC	010000		1024
072CC	020000		0
072DD	010000		4835
072DD	020000		0
072EE	000000		0
073	A010000		0.7400
073	A020000		0.0000
073	B000000		0.0000
073	C000000		0.0000
074	A000000		521

Edgar Filing: StoneCastle Financial Corp. - Form NSAR-A

074	B000000	0
074	C000000	0
074	D000000	50060
074	E000000	88551
074	F000000	1284

PAGE 7

074	G000000	0
074	H000000	0
074	I000000	46128
074	J000000	0
074	K000000	0
074	L000000	3335
074	M000000	1141
074	N000000	191020
074	O000000	0
074	P000000	834
074	Q000000	49500
074	R010000	0
074	R020000	0
074	R030000	0
074	R040000	266
074	S000000	0
074	T000000	140420
074	U010000	6539
074	U020000	0
074	V010000	21.47
074	V020000	0.00
074	W000000	0.0000
074	X000000	4
074	Y000000	0

075	A000000	0
075	B000000	139441
076	000000	20.40

077 A000000 N

078 000000 N

080	C000000	0
-----	---------	---

081	B000000	0
-----	---------	---

082	B000000	0
-----	---------	---

083	B000000	0
-----	---------	---

084	B000000	0
-----	---------	---

086	A010000	0
-----	---------	---

086	A020000	0
-----	---------	---

086	B010000	11
-----	---------	----

086	B020000	212
-----	---------	-----

086	C010000	0
-----	---------	---

086	C020000	0
-----	---------	---

086	D010000	0
-----	---------	---

086	D020000	0
-----	---------	---

086	E010000	0
-----	---------	---

086	E020000	0
-----	---------	---

086	F010000	0
-----	---------	---

086	F020000	0
-----	---------	---

087	A010000	Common Stock
-----	---------	--------------

087	A020000	861780104
-----	---------	-----------

087	A030000	BANX
-----	---------	------

SIGNATURE	PATRICK J. FARRELL
-----------	--------------------

TITLE	CFO
-------	-----