RICE TOM Form 3/A February 25, 2019

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

Estimated average burden hours per

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

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*

RICE TOM

(First)

Statement

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

PACIFIC PREMIER BANCORP INC [PPBI]

(Last) (Middle)

17901 VON KARMAN, SUITE 1200

(Street)

(State)

(Month/Day/Year)

05/02/2013

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

05/07/2013

(Check all applicable)

SEVP & Chief Operating Officer

Director \_X\_\_ Officer

10% Owner Other (give title below) (specify below)

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

\_X\_ Form filed by One Reporting Person

Form filed by More than One

Reporting Person

IRVINE, CAÂ 92614

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

(City)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect

(I) (Instr. 5)

**PPBI Common Stock** 

 $2,000^{(1)}$ 

I By Charles Schwab 401(k) Plan

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

(Zip)

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)

5. Conversion or Exercise Price of

6. Nature of Indirect Ownership Beneficial Ownership (Instr. 5)

Form of

Derivative Derivative Security: Title Direct (D) Security

Date Expiration Amount or or Indirect Exercisable Date Number of (I)
Shares (Instr. 5)

PPBI

Options on PPBI Common Stock  $\hat{A}$   $\stackrel{(2)}{=}$  01/02/2013 Common 5,000  $\stackrel{(3)}{=}$  \$ 10.44 D  $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

RICE TOM

17901 VON KARMAN SUITE 1200 Â Â SEVP & Chief Operating Officer Â

**Signatures** 

IRVINE, Â CAÂ 92614

Tom Rice 02/25/2019

\*\*Signature of Person

Date

Reporting Person

### **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) This Amendment is being filed to report additional shares of common stock held by the reporting person which were inadvertently excluded from the original Form 3 filed on May 7, 2013.
- (2) The options vests in three equal annual installments beginning on 1/2/2014.
- (3) This Amendment is being filed to report the number of options on common stock held by the reporting person which was inadvertently excluded from the original Form 3 filed on May 7, 2013.

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. th="69%">

 $[_]$ 

11.

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

8.1%

12.

TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)

IN, HC

Reporting Owners 2

CUSIP No	14052H506	
1.	NAME OF REPORTING PERSONS I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)	
	Frederick E. Doucette III	
2.		CTIONS ) [_] ) [X]
3.	SEC USE ONLY	
4.	CITIZENSHIP OR PLACE OF ORGANIZATION	
	United States	
NUMBER OF	SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	
5.	SOLE VOTING POWER	
	0	
6.	SHARED VOTING POWER	
	1,786,538	
7.	SOLE DISPOSITIVE POWER	
	0	
8.	SHARED DISPOSITIVE POWER	
	1,786,538	
9.	AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PE	RSON
	1,786,538	
10.	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS)	J
11.	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)	
	8 1%	

2.	TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)
	IN, HC

CUSIP No	14052H506	
1.	NAME OF REPORTING PERSONS I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)	
	Weiss Multi-Strategy Partners LLC	
2.		JCTIONS  (a) [_] (b) [X]
3.	SEC USE ONLY	
4.	CITIZENSHIP OR PLACE OF ORGANIZATION	
	Delaware	
NUMBER OF	SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	
5.	SOLE VOTING POWER	
	0	
6.	SHARED VOTING POWER	
	1,136,036	
7.	SOLE DISPOSITIVE POWER	
	0	
8.	SHARED DISPOSITIVE POWER	
	1,136,036	
9.	AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PI	ERSON
	1,136,036	
10.	CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS)	_]
11.	PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)	
	5.1%	

12. TYPE OF REPORTING PERSON (SEE	EINSTRUCTIONS)
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IN, HC

#### CUSIP No 14052H506

#### Item 1. (a). Name of Issuer:

Capital Trust, Inc.

#### (b). Address of Issuer's Principal Executive Offices:

410 Park Avenue, 14th Floor New York, NY 10022 (212) 655-0220

### Item 2. (a). Name of Person Filing:

Weiss Multi-Strategy Advisers LLC George A. Weiss Frederick E. Doucette III

#### (b). Address of Principal Business Office, or if None, Residence:

Weiss Multi-Strategy Advisers LLC One State Street, 20th Floor Hartford, CT 06103

George A. Weiss c/o Weiss Multi-Strategy Advisers LLC One State Street, 20th Floor Hartford, CT 06103

Frederick E. Doucette III c/o Weiss Multi-Strategy Advisers LLC One State Street, 20th Floor Hartford, CT 06103

Weiss Multi-Strategy Partners LLC One State Street, 20th Floor Hartford, CT 06103

#### (c). Citizenship:

Weiss Multi-Strategy Advisers LLC – Delaware limited liability company George A. Weiss - United States Frederick E. Doucette III - United States Weiss Multi-Strategy Partners LLC – Delaware limited liability company

#### (d). Title of Class of Securities:

Common Stock, \$0.01 par value

(e).	CUSIP	Number:

14052H506

Item 3.	If This Statement is filed pursuant to ss.240.13d-1(b) or 240.13d-2(b), or whether the person filing is a		his Statement is filed pursuant to ss.240.13d-1(b) or 240.13d-2(b), or (c), check ther the person filing is a	
	(a)	[_]	Broker or dealer registered under Section 15 of the Exchange Act (15 U.S.C. 78c).	
	(b)	[_]	Bank as defined in Section 3(a)(6) of the Exchange Act (15 U.S.C. 78c).	
	(c)	[_]	Insurance company as defined in Section 3(a)(19) of the Exchange Act (15 U.S.C. 78c).	
	(d)	[_]	Investment company registered under Section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).	
	(e)	[_]	An investment adviser in accordance with § 240.13d-1(b)(1)(ii)(E);	
	(f)	[_]	An employee benefit plan or endowment fund in accordance with § 240.13d-1(b)(1)(ii)(F);	
	(g)	[_]	A parent holding company or control person in accordance with Rule 13d-1(b)(1)(ii)(G);	
	(h)	[_]	A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C.1813);	
	(i)		A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);	
	(j)	[_]	Group, in accordance with s.240.13d-1(b)(1)(ii)(J).	
Item 4.			Ownership.	
			the following information regarding the aggregate number and percentage of the securities of the issuer identified in Item 1.	
	(a)	Amount beneficially owned: Weiss Multi-Strategy Advisers LLC: 1,786,538 shares George A. Weiss: 1,786,538 shares Frederick E. Doucette III: 1,786,538 shares Weiss Multi-Strategy Partners LLC: 1,136,036		
	(b)		cent of class: ass Multi-Strategy Advisers LLC: 8.1%	

Explanation of Responses:

George A. Weiss: 8.1%

Frederick E. Doucette III: 8.1%

Weiss Multi-Strategy Partners LLC: 5.1%

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote Weiss Multi-Strategy Advisers LLC: 0

George A. Weiss: 0

Frederick E. Doucette III: 0

Weiss Multi-Strategy Partners LLC: 0

(ii) Shared power to vote or to direct the vote Weiss Multi-Strategy Advisers LLC: 1,786,538

George A. Weiss: 1,786,538

Frederick E. Doucette III: 1,786,538

Weiss Multi-Strategy Partners LLC: 1,136,036

(iii) Sole power to dispose or to direct the disposition of

Weiss Multi-Strategy Advisers LLC: 0

George A. Weiss: 0

Frederick E. Doucette III: 0

Weiss Multi-Strategy Partners LLC: 0

(iv) Shared power to dispose or to direct the disposition of

Weiss Multi-Strategy Advisers LLC: 1,786,538

George A. Weiss: 1,786,538

Frederick E. Doucette III: 1,786,538

Weiss Multi-Strategy Partners LLC: 1,136,036

#### Item 5. Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following [\_].

Instruction: Dissolution of a group requires a response to this item.

N/A

#### Item 6. Ownership of More Than Five Percent on Behalf of Another Person.

If any other person is known to have the right to receive or the power to direct the receipt of dividends from, or the proceeds from the sale of, such securities, a statement to that effect should be included in response to this item and, if such interest relates to more than five percent of the class, such person should be identified. A listing of the shareholders of an investment company registered under the Investment Company Act of 1940 or the beneficiaries of employee benefit plan, pension fund or endowment fund is not required.

N/A

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company.

If a parent holding company has filed this schedule, pursuant to Rule 13d-1(b)(1)(ii)(G), so indicate under Item 3(g) and attach an exhibit stating the identity and the Item 3 classification of the relevant subsidiary. If a parent holding company has filed this schedule pursuant to Rule 13d-1(c) or Rule 13d-1(d), attach an exhibit stating the identification of the relevant subsidiary.

N/A

Item 8. Identification and Classification of Members of the Group.

If a group has filed this schedule pursuant to \$240.13d-1(b)(1)(ii)(J), so indicate under Item 3(j) and attach an exhibit stating the identity and Item 3 classification of each member of the group. If a group has filed this schedule pursuant to \$240.13d-1(c) or \$240.13d-1(d), attach an exhibit stating the identity of each member of the group.

N/A

Item 9. Notice of Dissolution of Group.

Notice of dissolution of a group may be furnished as an exhibit stating the date of the dissolution and that all further filings with respect to transactions in the security reported on will be filed, if required, by members of the group, in their individual capacity. See Item 5.

N/A

#### Item 10. Certification.

(b) The following certification shall be included if the statement is filed pursuant to §240.13d-1(c):

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

#### **SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 17, 2009
(Date)

Weiss Multi-Strategy Advisers LLC (1)
By: /s/ Frederick E. Doucette III
Title: Managing Member

/s/ George A. Weiss (1)\_\_\_\_\_
George A. Weiss

/s/ Frederick E. Doucette III (1)\_\_\_\_ Frederick E. Doucette III

Weiss Multi-Strategy Partners LLC (1)
By: Weiss Multi-Strategy Advisers LLC
By: /s/ Frederick E. Doucette III

Title: Managing Member

(1) The Reporting Persons specifically disclaim beneficial ownership of the securities reported herein except to the extent of their pecuniary interest therein.

The original statement shall be signed by each person on whose behalf the statement is filed or his authorized representative. If the statement is signed on behalf of a person by his authorized representative other than an executive officer or general partner of the filing person, evidence of the representative's authority to sign on behalf of such person shall be filed with the statement, provided, however, that a power of attorney for this purpose which is already on file with the Commission may be incorporated by reference. The name and any title of each person who signs the statement shall be typed or printed beneath his signature.

Note. Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. See s.240.13d-7 for other parties for whom copies are to be sent.

Attention. Intentional misstatements or omissions of fact constitute Federal criminal violations (see 18 U.S.C. 1001).

Exhibit A

#### **AGREEMENT**

The undersigned agree that this Schedule 13G dated February 17, 2009 relating to the Common Stock of Capital Trust, Inc. shall be filed on behalf of the undersigned.

February 17, 2009 (Date)

Weiss Multi-Strategy Advisers LLC By: /s/ Frederick E. Doucette III Title: Managing Member

/s/ George A. Weiss\_\_\_\_\_ George A. Weiss

/s/ Frederick E. Doucette III\_\_\_\_\_\_ Frederick E. Doucette III

Weiss Multi-Strategy Partners LLC By: Weiss Multi-Strategy Advisers LLC

By: /s/ Frederick E. Doucette III Title: Managing Member

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