

NewStar Financial, Inc.  
Form DEFA14A  
November 13, 2007

---

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

---

**FORM 8-K**

---

**CURRENT REPORT**

Pursuant to Section 13 or 15(d) of The Securities Exchange Act of 1934

November 13, 2007

Date of Report (Date of earliest event reported)

---

**NewStar Financial, Inc.**

(Exact name of registrant as specified in its charter)

**Delaware**  
(State or other jurisdiction  
of incorporation)

**001-33211**  
(Commission File Number)

**54-2157878**  
(IRS Employer  
Identification No.)

**500 Boylston Street, Suite 1600, Boston, MA 02116**

(Address of principal executive offices) (Zip Code)

**(617) 848-2500**

(Registrant's telephone number, including area code)

N/A

(Former name or former address, if changed since last report.)

Edgar Filing: NewStar Financial, Inc. - Form DEFA14A

---

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
  - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
  - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
  - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
-

**ITEM 2.02. RESULTS OF OPERATIONS AND FINANCIAL CONDITION.**

On November 13, 2007, NewStar Financial, Inc. issued a press release announcing results for the third quarter ended September 30, 2007. The press release is furnished herewith as Exhibit 99.1 to this Current Report on Form 8-K and incorporated herein by reference.

**ITEM 7.01 REGULATION FD DISCLOSURE.**

On November 13, 2007, NewStar Financial, Inc. issued a press release announcing that it has entered into a \$125 million private placement with certain institutional investors. The press release is filed herewith as Exhibit 99.2 to this Current Report on Form 8-K and incorporated herein by reference.

**ITEM 8.01 OTHER EVENTS.**

The information contained in Item 7.01 of this Current Report on Form 8-K is incorporated by reference herein.

**ITEM 9.01. FINANCIAL STATEMENTS AND EXHIBITS.**

(d) Exhibits

99.1 Press Release of NewStar Financial, Inc. dated November 13, 2007.

99.2 Press Release of NewStar Financial, Inc. dated November 13, 2007.

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**NEWSTAR FINANCIAL INC.**

Date: November 13, 2007

By: /s/ JOHN K. BRAY  
**John K. Bray**  
**Chief Financial Officer**

**EXHIBIT INDEX**

<b>Exhibit No.</b>	<b>Description</b>
99.1	Press Release of NewStar Financial, Inc. dated November 13, 2007.
99.2	Press Release of NewStar Financial, Inc. dated November 13, 2007.