SEC Form 3

FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

# **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB Number: Estimated average burden hours per response:

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Wald Richard C.	2. Date of Event Requiring Statement (Month/Day/Year) 06/10/2020	3. Issuer Name and Ticker or Trading Symbol <u>MFA FINANCIAL, INC.</u> [ MFA ]			
(Last) (First) (Middle) C/O MFA FINANCIAL, INC. 350 PARK AVENUE - 20TH FLOOR	-		5. If Amendment, Date of Original Filed (Month/Day/Year)		
(Street) NEW YORK NY 10022 (City) (State) (Zip)	-	Applicat X	vidual or Joint/Group Filing (Check able 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)
Common Stock, par value \$0.01 per share	0	D	
7.5% Series B Cumulative Redeemable Preferred Stock	0	D	
6.5% Series C Fixed-to-Floating Rate Cum Redeem Pfd Stk	0	D	
Common Stock, par value \$0.01 per share	0	I	N/A
7.5% Series B Cumulative Redeemable Preferred Stock	0	I	N/A
6.5% Series C Fixed-to-Floating Rate Cum Redeem Pfd Stk	0	Ι	N/A

# 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 Un Derivative Security (Instr. 4)	derlying		Form: Direct (D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Indirect (I) (Instr. 5)	

Explanation of Responses:

#### /s/ Harold E. Schwartz, by power 06/18/2020 of attorney

\*\* Signature of Reporting Person Date

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

 $^{\star}$  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).

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

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 Number.

OMB APPROVAL

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