

Stellus Capital Investment Corp  
Form 4  
June 12, 2014

# FORM 4

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

OMB APPROVAL

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## STATEMENT OF CHANGES IN 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 \*  
Ladd Robert T.

2. Issuer Name and Ticker or Trading Symbol  
Stellus Capital Investment Corp [SCM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
06/10/2014

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
President and CEO

C/O STELLUS CAPITAL INVESTMENT CORP, 4400 POST OAK PARKWAY, SUITE 2200

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

HOUSTON, TX 77027

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	06/10/2014		P		100 A \$ 14.22	81,096 <sup>(1)</sup>	D
Common Stock	06/10/2014		P		100 A \$ 14.225	81,196	D
Common Stock	06/10/2014		P		100 A \$ 14.235	81,296	D
Common Stock	06/10/2014		P		100 A \$ 14.24	81,396	D
	06/10/2014		P		500 A \$ 14.245	81,896	D

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Common Stock								
Common Stock	06/10/2014	P	1,200	A	\$ 14.2465	83,096	D	
Common Stock	06/10/2014	P	100	A	\$ 14.2479	83,196	D	
Common Stock	06/10/2014	P	2,800	A	\$ 14.25	85,996	D	
Common Stock	06/11/2014	P	1,523	A	\$ 13.98	87,519	D	
Common Stock	06/11/2014	P	2,000	A	\$ 13.9838	89,519	D	
Common Stock	06/11/2014	P	100	A	\$ 13.985	89,619	D	
Common Stock	06/11/2014	P	177	A	\$ 13.99	89,796	D	
Common Stock	06/11/2014	P	200	A	\$ 13.995	89,996	D	
Common Stock	06/11/2014	P	1,000	A	\$ 14	90,996	D	
Common Stock	06/11/2014	P	2,500	A	\$ 14.01	93,496	D	
Common Stock	06/11/2014	P	1,000	A	\$ 14.0299	94,496	D	
Common Stock	06/11/2014	P	3,000	A	\$ 14.0328	97,496	D	

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

**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.**

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(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
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