Edgar Filing: Hercules Capital, Inc. - Form 4

Hercules Cap Form 4	ital, Inc.									
March 07, 20	16									
FORM 4 Image: Section 16. Form 5 obligations 							OMB	- 3935-098		
							January 31, 2005 average			
(Print or Type R	esponses)									
1. Name and Ad Henriquez M	ssuer Name and Ticker or Trading ool			5. Relationship of Reporting Person(s) to Issuer						
(Last) (First) (Middle) 3. Date of Earliest Transaction					(Chec)	eck all applicable)				
				h/Day/Year)			X Director 10% Owner X Officer (give title Other (specify below) below) President & CEO			
(Street) 4. If Ame			nendment, D	endment, Date Original			6. Individual or Joint/Group Filing(Check			
Filed(Mon PALO ALTO, CA 94301							Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting			
		(7)					Person			
(City)	(State)	(Zip) Ta	ble I - Non-l	Derivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, i any (Month/Day/Yea	Code (Instr. 8)	4. Securi on(A) or D (Instr. 3,	ispose	d of (D) 5) Price	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	03/04/2016		F	6,079 (1)	D	\$ 11.22	2,143,355	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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Title a	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onNumber	Expiration D	Date	Amount	of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day	/Year)	Underlyi	ing	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securitie	es	(Instr. 5)	Bene
	Derivative				Securities			(Instr. 3	and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
								Δ	mount		
								01			
						Date	Expiration		umber		
						Exercisable	Date	of			
				Code V	(A) (D)				hares		
					(11) (D)			51	114105		
Dene											

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Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Henriquez Manuel A C/O HERCULES CAPITAL, INC. 400 HAMILTON AVE, SUITE 310 PALO ALTO, CA 94301	х		President & CEO				
Signatures							
/s/ Melanie Grace, Attorney-in-Fact f Henriquez	03/07/2016						
** Signature of Reporting Person		Date					

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(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) Represents shares of common stock withheld to pay taxes applicable to the vesting of restricted stock on March 4, 2016.

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.