Bluestein Scott Form 4 November 21, 2017

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

Hercules Capital, Inc. [HTGC]

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

Symbol

1(b). (Print or Type Responses)

(Last)

(City)

Restricted

Stock Units

1. Name and Address of Reporting Person \* Bluestein Scott

(First)

(Middle)

(Zip)

C/O HERCULES CAPITAL,

INC., 31 ST. JAMES AVENUE, **SUITE 790** 

(Street)

(State)

11/20/2017

4. If Amendment, Date Original

3. Date of Earliest Transaction

(Month/Day/Year)

11/20/2017

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Chief Investment Officer

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6.

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

BOSTON, MA 02116

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

3.038

Code V Amount

(A)

(D)

Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)

5. Amount of

Securities

Ownership Form: Direct (D) or Indirect (I) (Instr. 4)

7. Nature of Indirect Beneficial Ownership

(Instr. 4)

Price

134,775 (1) D

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

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SEC 1474 (9-02)

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

### Edgar Filing: Bluestein Scott - Form 4

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.                | 5.                                   | 6. Date Exerc | cisable and                 | 7. Title  | and         | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-------------------|--------------------------------------|---------------|-----------------------------|-----------|-------------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber |                                      | Expiration D  | ate                         | Amount of |             | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code              | of                                   | (Month/Day/   | Year)                       | Underly   | ing         | Security    | Secu   |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)        | Derivative<br>Securities<br>Acquired |               | Securities (Instr. 3 and 4) |           | (Instr. 5)  | Bene        |        |
|             | Derivative  |                     |                    |                   |                                      |               |                             |           |             | Own         |        |
|             | Security    |                     |                    |                   |                                      |               |                             |           |             | Follo       |        |
|             |             |                     |                    |                   | (A) or                               |               |                             |           |             |             | Repo   |
|             |             |                     |                    |                   | Disposed                             |               |                             |           |             |             | Trans  |
|             |             |                     |                    |                   | of (D)                               |               |                             |           |             |             | (Instr |
|             |             |                     |                    |                   | (Instr. 3,                           |               |                             |           |             |             |        |
|             |             |                     |                    |                   | 4, and 5)                            |               |                             |           |             |             |        |
|             |             |                     |                    |                   |                                      |               |                             | Δ         | mount       |             |        |
|             |             |                     |                    |                   |                                      |               |                             | 0         |             |             |        |
|             |             |                     |                    |                   |                                      | Date          | Expiration                  |           | l<br>Jumber |             |        |
|             |             |                     |                    |                   |                                      | Exercisable   | Date                        | 0         |             |             |        |
|             |             |                     |                    | Code V            | (A) (D)                              |               |                             |           | hares       |             |        |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Bluestein Scott C/O HERCULES CAPITAL, INC. 31 ST. JAMES AVENUE, SUITE 790 BOSTON, MA 02116

Chief Investment Officer

## **Signatures**

/s/Melanie Grace, Attorney-in-Fact for Scott Bluestein

11/21/2017

\*\*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).

Includes additional Dividend Shares relating to deemed reinvested dividend equivalent rights that accrued on Restricted Stock Units (RSUs) previously granted. Such additional Dividend Shares are in the form of additional RSUs vest and are settled at the same time as the RSUs in respect of which the dividend equivalent rights accrued. Each such additional Dividend Share RSU is the economic equivalent of one share of Hercules Capital, Inc. common stock.

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.

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