Edgar Filing: Fallon Thomas J - Form 4

Fallon Thoma	as J										
Form 4	10										
March 14, 20											
FORM	FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION							OMMERION	OMB APPROVAL		
Check thi	UNITZ	DSIAIES			ND EXC D.C. 20		NGE C	OWIWIISSION	OMB Number:	3235-0287	
if no long subject to Section 10 Form 4 or Form 5 obligation may conti <i>See</i> Instru 1(b).	er STATI 6.	oursuant to S 7(a) of the 3	Section 16(SECUR (a) of the ity Hold	ITIES e Securit ing Com	ies E 1pany	xchange Act of	NERSHIP OF e Act of 1934, f 1935 or Section 0	Expires: Estimated a burden hou response		
(Print or Type R	lesponses)										
1. Name and Address of Reporting Person <u>*</u> Fallon Thomas J			2. Issuer Name and Ticker or Trading Symbol Hercules Capital, Inc. [HTGC]					5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First)	(Middle)	3. Date of E	•	_	00]		(Chec	k all applicable	2)	
C/O HERCU	JLES CAPITA AMILTON A	AL,	(Month/Day 03/12/201	/Year)	insaction			Director Officer (give below)		le) % Owner her (specify	
(Street) 4. If Amendment, D Filed(Month/Day/Yea									oint/Group Filing(Check		
PALO ALTO	O, CA 94301							Form filed by M Person			
(City)	(State)	(Zip)	Table 1	I - Non-De	erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction E (Month/Day/Ye:	saction Date 2A. Deemed			4. Securit r(A) or Di (Instr. 3, -	spose	d of (D)	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	03/12/2018			A	42 <u>(1)</u>	A	\$ 12.27	31,916	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)

Reporting Owners

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1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)		4. Transactiv	5.	6. Date Exer		7. Titl Amou		8. Price of Derivative	9. Nu Deriv
Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	(Monur Day Year)	(Month/Day/Year)	Code (Instr. 8)	onNumber Expiration Dat of (Month/Day/Y Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			Under Securi	lying	Security (Instr. 5)	Denv Secu Bene Owne Follo Repo Trans (Instr
				Code V		Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Fallon Thomas J C/O HERCULES CAPITAL, INC. 400 HAMILTON AVENUE SUITE 310 PALO ALTO, CA 94301						
Signatures						
/s/Melanie Grace, Attorney in Fact for The Fallon	03/14/2018					
**Signature of Reporting Person			Date			
Evaloretion of Deeren						

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) Shares acquired through the Hercules Capital, Inc. Dividend Reinvestment Plan.

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.