Bluestein Scott Form 4 March 13, 2018

## FORM 4

## **OMB APPROVAL**

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

January 31, Expires: 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Estimated average

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

burden hours per response... 0.5

may continue. See Instruction

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person |
|---|
| Bluestein Scott                         |

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(First) (Middle) (Last)

(Street)

(State)

(Zip)

Hercules Capital, Inc. [HTGC]

(Check all applicable)

C/O HERCULES CAPITAL, INC., 31 ST. JAMES AVENUE. 3. Date of Earliest Transaction

(Month/Day/Year) 03/10/2018

10% Owner Director Other (specify X\_ Officer (give title below) Chief Investment Officer

**SUITE 790** 

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

Filed(Month/Day/Year)

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

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

BOSTON, MA 02116

(City)

| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) |              |                  | 5. Amount of<br>Securities<br>Beneficially<br>Owned | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I) | 7. Nature of Indirect Beneficial Ownership |
|--------------------------------------|---|---|--|--------------|------------------|---|--|--|
|                                      |   | (Monui/Day/Tear)  | (Instr. 8)   |              | (A) or (D) Price | Following Reported Transaction(s) (Instr. 3 and 4)  | (Instr. 4)   | (Instr. 4)                                 |
| Common<br>Stock                      | 03/10/2018                              |   | F  | 1,656<br>(1) | D \$ 12.25       | 294,005   | D  |  |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

#### Edgar Filing: Bluestein Scott - Form 4

| 1. Title of Derivative | 2. Conversion                            | 3. Transaction Date (Month/Day/Year) |   | 4.              | 5.<br>orNumber  | 6. Date Exerc<br>Expiration Da |                    | 7. Title<br>Amou |  | 8. Price of Derivative | 9. Nu<br>Deriv  |
|------------------------|--|--------------------------------------|---|-----------------|---|--------------------------------|--------------------|------------------|--|------------------------|---|
| Security (Instr. 3)    | or Exercise Price of Derivative Security | (Monun Day/ Year)                    | execution Date, if any (Month/Day/Year) | Code (Instr. 8) | of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/                    |                    | Under<br>Securi  | lying                                  | Security (Instr. 5)    | Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|                        |  |                                      |   | Code V          | (A) (D)   | Date<br>Exercisable            | Expiration<br>Date | Title            | Amount<br>or<br>Number<br>of<br>Shares |                        |   |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

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

03/13/2018

\*\*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 10, 2018.

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.

Reporting Owners 2