Edgar Filing: Hercules Capital, Inc. - Form 4

Hercules Cap	pital, Inc.										
Form 4											
October 25, 2	2016										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL			
	UNITE	ED STATES		shington,			NGE (COMMISSION	OMB Number:	3235-0287	
Check the	a ar								Expires:	January 31,	
if no long subject to		EMENT O	F CHAN	GES IN BENEFICIAL OWNE				NERSHIP OF	Estimated a	2005 Werage	
Section 16. SECURITI				ITIES	FIES			burden hours per			
Form 4 o							response 0.5				
Form 5 obligation	n c (-					•	e Act of 1934,			
may cont	inue. Section			•	•	· ·		f 1935 or Section	n		
See Instru	uction	50(II)	of the fil	vestment	Compan	y Ac	1 01 194	ŧŪ			
1(b).											
(Print or Type F	Responses)										
1. Name and Address of Reporting Person _ 2. Issuer Name and Tick Ho Doreen Woo Symbol				Ticker or	Tradi	ng	5. Relationship of Issuer	Reporting Pers	son(s) to		
no Doleeli	W 00		Symbol	Constant	T [117		1	135001			
			Hercule	s Capital,	Inc. [H]	[GC]		(Chec	k all applicable	;)	
(Last)	(First)	(Middle)		Earliest Tr	ansaction						
	ULES CAPITA	ΛŢ	(Month/E)					Director Officer (give		Owner er (specify	
	IAMILTON A		10/21/2	010				below)	below)	i (speen)	
SUITE 310		I I LI I U L									
	(Street)		1 If Ama	ndmant Do	ta Onigina	1		6 Individual on Ia	int/Crown Filin	c (Charala	
· · · · · · · · · · · · · · · · · · ·				f Amendment, Date Original ed(Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line)			
			1 nea(mor	lin Duy I cu	,			_X_ Form filed by C			
PALO ALT	O, CA 94301							Form filed by M Person	Iore than One Re	porting	
(City)	(State)	(Zip)	T - 1 - 1	. I. N D		G	• • • • •				
-	. ,	-					-	uired, Disposed of		-	
1.Title of Security	2. Transaction I (Month/Day/Ye		med on Date, if	3. Transactio	4. Securi			5. Amount of Securities	6. Ownership Form: Direct		
(Instr. 3)	(Wolding Duy) 10	any	in Dute, ii	Code	(Instr. 3,	-		Beneficially	(D) or	Beneficial	
		(Month/I	Day/Year)	(Instr. 8)				Owned	Indirect (I)	Ownership	
								Following Reported	(Instr. 4)	(Instr. 4)	
						(A)		Transaction(s)			
				Code V	Amount	or (D)	Price	(Instr. 3 and 4)			
Common	10/21/2016				3,333	, í	\$	2 222	D		
Stock	10/21/2016			А	(1)	А	13.61	3,333	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)

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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. Transactiv Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount o Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Option (right to buy)	\$ 13.61	10/21/2016		А	10,000 (2)	10/21/2017 <u>(3)</u>	10/21/2026	Common	10,000

Reporting Owners

S

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Ho Doreen Woo C/O HERCULES CAPITAL, INC. 400 HAMILTON AVENUE SUITE 310 PALO ALTO, CA 94301						
Signatures						
/s/Melanie Grace, Attorney-In-Fact for Do Woo Ho	oreen	10)/25/201	6		
**Signature of Reporting Person			Date			
Evalenction of Deenene	001					

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).

Restricted Stock issued as an automatic grant upon election to the board of directors pursuant to the Amended and Restated

- (1) Non-Employee Incentive Plan and subject to forfeiture restrictions. One-half vests on 10/21/2017 and the remaining one-half vests on 10/21/2018.
- Stock option granted as an automatic grant upon election to the board of directors pursuant to the Amended and Restated Non-Employee (2) Incentive Plan.
- (3) Stock option vests as to one-half of he underlying shares on 10/21/2017 and the remaining one-half vests on 10/21/2018.

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.