## Edgar Filing: Hercules Capital, Inc. - Form 4

Hercules Cap Form 4													
November 28	<b>4</b> UNITED S	<ul> <li>UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549</li> <li>STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES</li> <li>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</li> <li>e. 20(b) of the Investment Company Act of 1040</li> </ul>									2235-0287		
Check thi if no long subject to Section 10 Form 4 or Form 5 obligation may conti <i>See</i> Instru 1(b).	er <b>STATEM</b> 6. Filed pur <sup>18</sup> Section 17(a										Expires:     January 31       Expires:     200!       Estimated average     burden hours per       response     0.!		
(Print or Type R	lesponses)												
BADAVAS ROBERT P Symbol				r Name <b>and</b> Ticker or Trading s Capital, Inc. [HTGC]					5. Relationship of Reporting Person(s) to Issuer				
				of Earliest Transaction Day/Year) 2016					(Check all applicable) <u>Director</u> 10% Owner Officer (give title Other (specify below)				
					dment, Date Original h/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person				
PALO ALTO	O, CA 94301								Form filed by M Person	More than One Re	eporting		
(City)	(State)	(Zip)	Table	e I - Noi	n-De	erivative S	ecurit	ies Acq	uired, Disposed of	f, or Beneficial	lly Owned		
1.Title of Security (Instr. 3)		ansaction Date 2A. Deemed hth/Day/Year) Execution Date any (Month/Day/Ye		Transaction(A) or Disp Code (D) (Instr. 8) (Instr. 3, 4 a			sposed	of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	11/23/2016			G		20,000	D	\$0	119,925	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)

Security			) ( ] ( (	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			(insu	. <i>5</i> and +)
		Code	V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Reporting Owners								
Reporting Owner Name / Address	Director	<b>Relations</b> 10% Owner			Other			
BADAVAS ROBERT P C/O HERCULES CAPITAL, INC. 400 HAMILTON AVENUE SUITE 310 PALO ALTO, CA 94301								
Signatures								
/s/Melanie Grace, Attorney-In-Fact for Ro Badavas	bert	1	1/28	3/2016				
**Signature of Reporting Person			Da	ate				

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4.

Code

(Instr. 8)

Execution Date, if

(Month/Day/Year)

5.

of

Derivative

Securities

TransactionNumber

6. Date Exercisable and

**Expiration Date** 

(Month/Day/Year)

7. Title and

Amount of

Underlying

(Instr. 3 and 4)

Securities

8. Price of

Derivative

Security

(Instr. 5)

9. Nt

Deriv

Secu

Bene

Own

Follo Repo Trans (Instr

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

3. Transaction Date 3A. Deemed

any

(Month/Day/Year)

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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.

1. Title of

Derivative

Security

(Instr. 3)

2.

Conversion

or Exercise

Derivative

Price of