Edgar Filing: GSV Capital Corp. - Form 4

 $\alpha \alpha u \alpha + 1 \alpha$

GSV Capital	Corp.										
Form 4											
April 04, 20	16								PROVAL		
FORM	14 LINUTED STAT	UNITED OF A TEG OF CUDITIES AND EVOLANCE CONDUCTON									
	UNITED STAT	Washington, D.C. 20549							3235-0287		
Check th if no long subject to Section 1 Form 4 o Form 5	ger 5 STATEMENT 6. r								January 31, 2005 verage 's per 0.5		
obligatio may cont <i>See</i> Instr 1(b).	1										
(Print or Type I	Responses)										
1. Name and A Klein Mark	Symbol	er Name and Ticker or Trading Capital Corp. [GSVC]				5. Relationship of Reporting Person(s) to Issuer					
(1+)	(First) (Middle)	•	* *					(Check all applicable)			
(Last) C/O GSV C WOODSID		ate of Earliest Transaction nth/Day/Year))1/2016				X_ Director 10% Owner Officer (give title Other (specify below) below)					
	(Street)	4. If Amendment, Date Original Filed(Month/Day/Year)					6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person				
WOODSID	E, CA 94062						Form filed by More than One Reporting Person				
(City)	(State) (Zip)	Table I	l - Non-D	erivative	Secu	rities Acqu	iired, Disposed of,	, or Beneficiall	y Owned		
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)			3. 4. Securities Acquired Transactior(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
		С	Code V	Amount	or (D)	Price \$	(Instr. 3 and 4)				
Common Stock	04/01/2016	H	P <u>(1)</u>	872	А	5.7278 (2)	42,572	D			
Common Stock							1,667	Ι	By spouse		

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.

Edgar Filing: GSV Capital Corp. - Form 4

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Unde Secur	itle and ount of lerlying urities tr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Relationships Reporting Owner Name / Address Director 10% Owner Officer Other Klein Mark D C/O GSV CAPITAL CORP. Х 2925 WOODSIDE ROAD WOODSIDE, CA 94062 Signatures /s/ Mark D. 04/04/2016 Klein

**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).
- The transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March (1) 23, 2016.

The price reported in Column 4 is a weighted-average price. These shares were purchased in multiple transactions at prices ranging from \$5.67 to \$5.76 per share, inclusive. The reporting person undertakes to provide to GSV Capital Corp., any security holder of GSV Capital

(2) Corp., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

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.