Edgar Filing: HERCULES TECHNOLOGY GROWTH CAPITAL INC - Form 4

HERCULES TECHNOLOGY GROWTH CAPITAL INC

Form 4 July 10, 2014

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.

January 31, Expires: 2005

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Estimated average burden hours per response... 0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Henriquez Manuel A

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Symbol

HERCULES TECHNOLOGY GROWTH CAPITAL INC [HTGC]

(Check all applicable)

President & CEO

(Last)

(First)

3. Date of Earliest Transaction

(Month/Day/Year)

_X__ Director X_ Officer (give title below)

10% Owner Other (specify

C/O HERCULES TECHNOLOGY **GROWTH CAPITAL**,, 400 HAMILTON AVE, SUITE 310

4. If Amendment, Date Original

07/09/2014

6. Individual or Joint/Group Filing(Check

(Street)

Applicable Line)

Issuer

Filed(Month/Day/Year) _X_ Form filed by One Reporting Person Form filed by More than One Reporting

PALO ALTO, CA 94301

(City)

(State)

07/09/2014

(Zip)

(Middle)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 3. 4. Securities Acquired

5. Amount of Securities

6. Ownership 7. Nature of Form: Direct Indirect

1.Title of Security (Instr. 3)

(Month/Day/Year)

2. Transaction Date 2A. Deemed Execution Date, if (Month/Day/Year)

Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

Owned Following Reported Transaction(s)

Beneficially

Beneficial (D) or Indirect (I) Ownership (Instr. 4) (Instr. 4)

F

Code V Amount (D) 1,919 D

(1)

(A)

\$

16.45

(Instr. 3 and 4) Price

> 1,984,086 D

Stock

Common

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: HERCULES TECHNOLOGY GROWTH CAPITAL INC - Form 4

1. Title of	2.	3. Transaction Date		4.	5.	6. Date Exerc		7. Title		8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	· · · · · · · · · · · · · · · · · · ·	Transactio		Expiration D		Amou		Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	rear)	Under	, ,	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						(IIISti
					4, and 5)						
									Amount		
						Date	Expiration		or		
							•	Title Number	Number		
						Exercisable Date	Date		of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships					
1		10% Owner	Officer	Other		
Henriquez Manuel A C/O HERCULES TECHNOLOGY GROWTH CAPITAL, 400 HAMILTON AVE, SUITE 310 PALO ALTO, CA 94301	X		President & CEO			

Signatures

/s/ Michael Penney, Attorney-in-Fact for Manuel
Henriquez

07/10/2014

**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 July 9, 2014.

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