Edgar Filing: HERCULES TECHNOLOGY GROWTH CAPITAL INC - Form 4

HERCULES TECHNOLOGY GROWTH CAPITAL INC

Form 4 July 09, 2015

FORM 4

OMB APPROVAL UNITED STATES SECURITIES AND EXCHANGE COMMISSION **OMB**

Washington, D.C. 20549

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

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

Fallon Thomas J

(Last)

2. Issuer Name and Ticker or Trading

Symbol

(Middle)

HERCULES TECHNOLOGY GROWTH CAPITAL INC [HTGC] (Check all applicable)

(First)

3. Date of Earliest Transaction (Month/Day/Year)

07/07/2015

X Director 10% Owner Officer (give title Other (specify

5. Relationship of Reporting Person(s) to

Number:

Expires:

response...

Estimated average

burden hours per

C/O HERCULES TECHNOLOGY **GROWTH CAPITAL**, 400

HAMILTON AVENUE, SUITE 310

(Street)

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

Issuer

below)

PALO ALTO, CA 94301

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Month/Day/Year) (Instr. 3)

2. Transaction Date 2A. Deemed Execution Date, if

(Month/Day/Year)

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

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

3235-0287

January 31,

2005

0.5

(A) Amount (D)

Transaction(s) (Instr. 3 and 4)

Reported

Common 07/07/2015 Stock

Code V Price 5,000 Α 11.44 (1)

D 8.465

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)

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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. Transactic Code (Instr. 8)	5. Number of or Derivative 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 of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 11.44	07/07/2015		A	15,000 (2)	(3)	07/07/2025	Common Stock	10,000

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

Fallon Thomas J C/O HERCULES TECHNOLOGY GROWTH CAPITAL 400 HAMILTON AVENUE, SUITE 310 PALO ALTO, CA 94301



Signatures

/s/Ben Bang, Attorney in Fact for Thomas A. Fallon 07/09/2015

**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).
 - Restricted stock issued as an automatic grant upon re-election to the board of directors pursuant to the Amended and Restated
- (1) Non-Employee Director Plan and are subject to forfeiture restrictions of one-third vesting on 07/07/2016, one-third vesting on 07/07/2017 and the remaining one-third vesting on 07/07/2018.
- (2) Stock option granted as an automatic grant upon election to the board of directors pursuant to the Amended and Restated Non-Employee Director Plan.
- (3) This stock option vests as to one-third of the underlying shares on 07/07/2016, one-third on 07/07/2017 and the remaining one-third vests on 07/07/2018.

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.

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