### Edgar Filing: HERCULES TECHNOLOGY GROWTH CAPITAL INC - Form 3

#### HERCULES TECHNOLOGY GROWTH CAPITAL INC

Form 3

August 10, 2015

# FORM 3

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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January 31, 2005

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

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

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

Harris Mark R

(First) (Last) (Middle)

C/O HERCULES **TECHNOLOGY GROWTH** 

CAPITAL, Â 400 HAMILTON **AVENUE. SUITE 310** 

(Street)

PALO ALTO. CAÂ 94301

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Statement

(Month/Day/Year)

08/03/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

HERCULES TECHNOLOGY GROWTH CAPITAL INC

[HTGC]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

Director 10% Owner X\_ Officer Other

(give title below) (specify below) Chief Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

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.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Ownership Conversion or Exercise Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Derivative Security:

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Date Expiration Title Amount or Security
Exercisable Date Number of
Shares

or Indirect (I) (Instr. 5)

Direct (D)

### **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Harris Mark R C/O HERCULES TECHNOLOGY GROWTH CAPITAL 400 HAMILTON AVENUE, SUITE 310 PALO ALTO, CAÂ 94301

 $\hat{A}$   $\hat{A}$   $\hat{A}$  Chief Financial Officer  $\hat{A}$ 

# **Signatures**

Mark R. Harris 08/10/2015

\*\*Signature of Reporting Person Date

# **Explanation of Responses:**

No securities are beneficially owned

- \* If the form is filed by more than one reporting person, see Instruction 5(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).

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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