Edgar Filing: HERCULES TECHNOLOGY GROWTH CAPITAL INC - Form 4

HERCULES Form 4 July 10, 2014	TECHNOLO	GY GROW	ТН САР	TAL IN	С						
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSIO									OMB APPROVAL		
UNITED STATES S				SECURITIES AND EXCHANGE C Washington, D.C. 20549				COMMISSION	OMB Number:	3235-0287	
Check thi if no long	ter.								Expires:	January 31, 2005	
subject to Section 1	6. SIAI								Estimated average burden hours per		
Form 4 or Form 5 obligation may cont <i>See</i> Instru 1(b).	Filed j ns Section	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								0.5	
(Print or Type R	Responses)										
Fallon Thomas J Symbol HERCU				er Name and Ticker or Trading				5. Relationship of Reporting Person(s) to Issuer			
				TH CAPI				(Check all applicable)			
(Mor				nte of Earliest Transaction hth/Day/Year) 08/2014				X_ Director 10% Owner Officer (give title Other (specify below) below)			
				endment, Date Original nth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
PALO ALT	O, CA 94301							Form filed by M Person	lore than One Re	porting	
(City)	(State)	(Zip)	Tabl	e I - Non-D) erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ear) Executio any		3. Transactic Code (Instr. 8) Code V	on(A) or D (Instr. 3, Amount	ispose	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	07/08/2014			А	3,333 (1)	А	\$ 16.34	3,333	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)

1. Title of 2 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amount of 8 Derivative Conversion (Month/Day/Year) Execution Date, if TransactionDerivative **Expiration Date** Underlying Securities Ľ S Security or Exercise any Code Securities (Month/Day/Year) (Instr. 3 and 4) Price of (Instr. 8) (Instr. 3) (Month/Day/Year) Acquired (A) (Derivative or Disposed of Security (D) (Instr. 3, 4, and 5) Amount Expiration Date or Title Exercisable Date Number Code V (A) (D) of Shares Stock Option 10,000 Common \$16.34 07/08/2014 (3) 07/08/2024 10,000 Α (2)Stock (right to buy)

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Reporting Owners

Reporting Owner Name / Address			Relationships					
		Director	10% Owner	Officer	Other			
Fallon Thomas J C/O HERCULES TECHNO 400 HAMILTON AVENUE PALO ALTO, CA 94301	Х							
Signatures								
/s/Thomas A. Fallon	07/10/2014							

**Signature of Reporting Person

P. S

Explanation of Responses:

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

Date

- ** 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 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-half vesting on 07/08/2015 and the remaining one-half vesting on 07/08/2016.
- Stock option granted as an automatic grant upon election to the board of directors pursuant to the Amended and Restated Non-Employee (2)Director Plan.
- (3) This stock option vests as to one-half of the underlying shares on 07/08/2015 and the remaining one-half vests on 07/08/2016.

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.