#### CAPITAL SOUTHWEST CORP

Form 4 January 19, 2016

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

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Expires:

January 31, 2005

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**OMB APPROVAL** 

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Check this box

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).

(Last)

(City)

Common

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person \* Moab Capital Partners LLC

(First)

(Street)

(State)

01/14/2016

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

below)

CAPITAL SOUTHWEST CORP

[CSWC]

3. Date of Earliest Transaction

Director 10% Owner Other (specify Officer (give title

(Check all applicable)

(Month/Day/Year) 01/14/2016

Filed(Month/Day/Year)

(Middle)

(Zip)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

Person

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

152 EAST 62ND STREET

NEW YORK, NY 10065

1.Title of	2. Transaction Date	2A. Deemed	3.	4. Secur	ities A	.cquired	5. Amount of	6.	7. Nature of
Security	(Month/Day/Year)	Execution Date, if	Transaction(A) or Disposed of (D)			Securities	Ownership	Indirect	
(Instr. 3)		any	Code	(Instr. 3,	4 and	. 5)	Beneficially	Form:	Beneficial
		(Month/Day/Year)	(Instr. 8)				Owned	Direct (D)	Ownership
							Following	or Indirect	(Instr. 4)
					(4)		Reported	(I)	
					(A)		Transaction(s)	(Instr. 4)	
			G 1 17		or	ъ.	(Instr. 3 and 4)		
			Code V	Amount	(D)	Price			
Common Stock	01/14/2016		P	1,000	A	\$ 13.89	1,653,313 (1)	I	Performance related fees

5,700

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

P

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1,659,013 (1) I

SEC 1474 (9-02)

Performance

related fees

#### Edgar Filing: CAPITAL SOUTHWEST CORP - Form 4

# $\label{thm:convertible} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

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. Transacti Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
Reporting Owner France / Francess	Director	10% Owner	Officer	Other			
Moab Capital Partners LLC 152 EAST 62ND STREET NEW YORK, NY 10065		X					
Moab Partners LP 152 EAST 62ND STREET NEW YORK, NY 10065		X					
Moab GP LLC 152 EAST 62ND STREET NEW YORK, NY 10065		X					
Rothenberg Michael 152 EAST 62ND STREET NEW YORK, NY 10065		X					

## **Signatures**

Moab Partners, L.P., By: Moab GP, LLC, its general partner, By: Moab Capital Partners,	
LLC, its manager, By: /s/ Michael Rothenberg	01/19/2016
**Signature of Reporting Person	Date
Moab Capital Partners, LLC, By: /s/ Michael Rothenberg	01/19/2016
**Signature of Reporting Person	Date
Moab GP, LLC, By: Moab Capital Partners, LLC, its manager, By: /s/ Michael Rothenberg	01/19/2016
**Signature of Reporting Person	Date
/s/ Michael Rothenberg	

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01/19/2016

\*\*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 securities are owned directly by Moab Partners, L.P. (the "Fund") and a certain separately managed account (the "Managed Account"). Moab GP, LLC ("Moab GP"), the general partner of the Fund, and Moab Capital Partners, LLC ("Moab LLC"), the investment adviser to the Fund and the Managed Account, each may be deemed to beneficially own a portion or all of the securities under
- (1) Section 13(d) of the Securities Exchange Act of 1934 (the "Exchange Act"). Michael M. Rothenberg is the Managing Member of Moab GP and Moab LLC and may also be deemed to beneficially own the securities under Section 13(d) of the Exchange Act. Moab LLC, Moab GP and Mr. Rothenberg disclaim beneficial ownership of the securities for purposes of Section 16 of the Exchange Act, except the extent of their pecuniary interest in the securities.

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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