Henriquez Manuel A Form 4 January 12, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

OMB APPROVAL OMB

3235-0287 Number: January 31,

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

SECURITIES Form 5 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.

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person * Henriquez Manuel A		rting Person *	2. Issuer Name and Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer			
			Hercules Capital, Inc. [HTGC]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction	()			

3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner Officer (give title Other (specify 01/10/2018 below) Chairman & CEO

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

C/O HERCULES CAPITAL. INC., 400 HAMILTON AVENUE **SUITE 310**

(Street)

(State)

(Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting

PALO ALTO, CA 94301

(City)

	Table 1 - Non-Derivative Securities Acquired, Disposed of, or Deficiently Owned								
2. Transaction Date	2A. Deemed	3.	4. Securiti	ies Ac	quired	5. Amount of	6.	7. Nature of	
(Month/Day/Year)	Execution Date, if	Transaction(A) or Disposed of (D)				Securities	Ownership	Indirect	
	any	Code (Instr. 3, 4 and 5)			Beneficially	Form: Direct	Beneficial		
	(Month/Day/Year)	(Instr. 8)				Owned	(D) or	Ownership	
						Following	Indirect (I)	(Instr. 4)	
				()		Reported	(Instr. 4)		
						Transaction(s)			
		C = V	A		ъ.	(Instr. 3 and 4)			
		Code v	Amount	(D)					
01/10/2018		F	10,142 (1)	D	\$ 12.93	2,076,492	D		
	(Month/Day/Year)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)	2. Transaction Date 2A. Deemed 3. (Month/Day/Year) Execution Date, if any Code (Month/Day/Year) (Instr. 8) Code V	2. Transaction Date 2A. Deemed 3. 4. Securit (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3, 4) Code (Instr. 3, 4) Code V Amount 10,142	2. Transaction Date 2A. Deemed 3. 4. Securities Ac (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3, 4 and 5 (Instr. 8) (A) or Code V Amount (D) 10,142	2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3, 4 and 5) (Month/Day/Year) (Instr. 8) (A) or Code V Amount (D) Price 10,142 D	2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of Securities 5. Amount of Securities 6. Am	2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Instr. 3) 4 and 5) Execution Date, if any (Month/Day/Year) (Instr. 8) Eneficially Form: Direct Owned (D) or Following Reported Transaction(s) (Instr. 4) Transaction(s) (Instr. 3) and 4) Code V Amount (D) Price 10,142 D \$ 2,076,492 D	

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. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D)		ate	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	of ng s	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5) (A) (D)	Date Exercisable	Expiration Date	or Title Nu of	umber		

Reporting Owners

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Henriquez Manuel A C/O HERCULES CAPITAL, INC. 400 HAMILTON AVENUE SUITE 310 PALO ALTO, CA 94301

Chairman & Damp; CEO

Signatures

/s/Melanie Grace, Attorney-in-Fact for Manuel Henriquez

01/12/2018

Date

**Signature of Reporting Person

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).
- Represents shares of common stock withheld to pay taxes applicable to the vesting of restricted stock on January 10, 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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