Edgar Filing: Hartman Curtis L. - Form 4

| Hartman Cu | rtis L. | | | | | | | | | | |
|--|--|-------------------------------|---|-----------------------------------|--|---|--|-----------------------------------|-------------------------|--|--|
| Form 4 | | | | | | | | | | | |
| April 03, 201 | 19 | | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION | | | | | | | | | OMB APPROVAL | | |
| UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | OMB Number: | 3235-0287 | | |
| Check th | | | 0 / | | | | | Expires: | January 31, | | |
| if no longer subject to STATEMENT OF CHANGES IN B | | | | | BENEFICIAL OWNERSHIP OF | | | | 2005 | | |
| | Section 16. SECURITIES | | | | | | | Estimated a burden hour | • | | |
| | Form 4 or | | | | | | | response | 0.5 | | |
| | Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, | | | | | | | | | | |
| obligation may cont | | | • | • | - · | | f 1935 or Section | ı | | | |
| See Instru | | 30(h) of th | ne Investment | Compan | y Act | t of 194 | 40 | | | | |
| 1(b). | | | | | | | | | | | |
| (Drint T I | D | | | | | | | | | | |
| (Print or Type I | (esponses) | | | | | | | | | | |
| 1 Name and A | ddress of Reporting Pe | Issuer Nome on | suor Nomo and Ticker or Trading | | | | 5. Relationship of Reporting Person(s) to | | | | |
| Hartman Cu | | | 2. Issuer Name and Ticker or Trading | | | | Issuer | | | | |
| | | • | Symbol Main Street Capital CORP [MAIN] | | | | | | | | |
| (1 +) | (E: | | | | | | (Check all applicable) | | | | |
| (Last) | (First) (Mi | | 3. Date of Earliest Transaction (Month/Day/Year) | | | | Director 10% Owner | | | | |
| 1300 POST | OAK BLVD 8TH | | 01/2019 | - | | | | Officer (give titleOther (specify | | | |
| FLOOR | 01/2017 | | | | below) below) Vice Chairman, CCO, and SMD | | | | | | |
| | | | | | | | | | | | |
| | (Street) | . If Amendment, Date Original | | | | 6. Individual or Joint/Group Filing(Check | | | | | |
| Filed(Month/Da | | | | r) | | | Applicable Line) _X_ Form filed by One Reporting Person | | | | |
| Earna fil | | | | | | | More than One Reporting | | | | |
| HOUSTON, TX 77056 | | | | | | | | | | | |
| (City) | (State) (Z | Zip) | Table I - Non-I | Derivative S | Securi | ties Acq | uired, Disposed of | , or Beneficial | ly Owned | | |
| 1.Title of | 2. Transaction Date | 2A. Deemed | 3. | 4. Securit | ies Ac | quired | 5. Amount of | 6. | 7. Nature of | | |
| Security | · · · · · · · · · · · · · · · · · · · | Execution Dat | | Transaction(A) or Disposed of (D) | | | | Ownership | Indirect | | |
| (Instr. 3) | | any (Month/Day/V | Code (Instr. 3, 4 and 5) | | | | Beneficially Owned | Form: Direct Benefici | Beneficial Ownership | | |
| (Month/Day/Year) (Instr. 8) | | | | | | | Following | (D) or Indirect (I) | (Instr. 4) | | |
| | | | | | (A) | | Reported | (Instr. 4) | | | |
| | | | | | or | | Transaction(s) | | | | |
| | | | Code V | Amount | (D) | Price | (Instr. 3 and 4) | | | | |
| Common | 04/01/2019 | | A(1) | 18,542 | А | \$0 | 269,124.675 | D | | | |
| Stock | | | | | | ÷ Ŭ | | | | | |
| Common | 04/01/2010 | | $\mathbf{r}(2)$ | 7 000 | D | \$ | 261 224 675 | D | | | |
| Stock | 04/01/2019 | | $F^{(2)}$ | 7,900 | D | \$ 37.2 | 261,224.675 | 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.

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 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

| 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. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | Under Secur | int of rlying | 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 | | | | | | | |
|--|---------------|-----------|-----------------------------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| Hartman Curtis L. 1300 POST OAK BLVD 8TH FLOOR HOUSTON, TX 77056 | | | Vice Chairman, CCO, and SMD | | | | | |
| Signatures | | | | | | | | |
| 10/ Jacon P. Poouvois as Attornay in Fac | t for Curt | ie I | | | | | | |

/s/ Jason B. Beauvais as Attorney-in-Fact for Curtis L. Hartman

<u>**</u>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).

(1) Shares issued under the Main Street Capital Corporation 2015 Equity and Incentive Plan.

Shares withheld for payment of tax liability upon vesting of restricted shares granted under the Main Street Capital Corporation 2015 Equity and Incentive Plan. This withholding transaction was approved by the Compensation Committee of Main Street's Board of

04/03/2019

Date

(2) Equity and incentive train. This withinforming transaction was approved by the Compensation Committee of Main Street's Board of Directors in accordance with Rule 16b-3(d)(1) of the Securities Exchange Act of 1934 (the "Act"), and as such, the sale is exempt from section 16(b) of the Act pursuant to Rule 16b-3(e) promulgated thereunder.

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.