

JMP GROUP LLC
Form 4
December 07, 2017

FORM 4

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

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
JMP GROUP LLC

(Last) (First) (Middle)

600 MONTGOMERY STREET,
SUITE 1100

(Street)

SAN FRANCISCO, CA 94111

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

Harvest Capital Credit Corp [HCAP]

3. Date of Earliest Transaction (Month/Day/Year)

12/05/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___X___ 10% Owner
___ Officer (give title below) ___ Other (specify below)

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) Code V Amount (D) Price | | | |
| Common Stock | 12/05/2017 | | P | 300 A \$ 11 | 823,132 | I | See Footnote (2) |
| Common Stock | 12/06/2017 | | P | 100 A \$ 11 | 823,232 | I | See Footnote (2) |
| Common Stock | 12/07/2017 | | P | 2,100 A \$ 10.9971 | 825,332 | I | See Footnote (2) |

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 1474
(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| JMP GROUP LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111 | | X | | |
| JMP Group Inc. 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111 | | X | | |
| JMP SECURITIES LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111 | | X | | |
| JMP Holding LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111 | | X | | |
| JMP Investment Holdings LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111 | | X | | |

Signatures

/s/ Walter Conroy, Authorized Person of JMP Group LLC

12/07/2017

**Signature of Reporting Person

Date

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| | |
|---|------------|
| /s/ Walter Conroy, Authorized Person of JMP Group Inc. | 12/07/2017 |
| <u> </u> **Signature of Reporting Person | Date |
| /s/ Walter Conroy, Authorized Person of JMP Holding LLC | 12/07/2017 |
| <u> </u> **Signature of Reporting Person | Date |
| /s/ Walter Conroy, Authorized Person of JMP Investment Holdings LLC | 12/07/2017 |
| <u> </u> **Signature of Reporting Person | Date |
| /s/ Walter Conroy, Authorized Person of JMP Securities LLC | 12/07/2017 |
| <u> </u> **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).
- (1) The range of prices for the common shares is from 10.98 to 11.00. The Reporting Person undertakes that he will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities sold at each separate price. 819,674 of these securities are owned by JMP Investment Holdings LLC, which is a wholly owned subsidiary of JMP Group LLC. JMP Group LLC is the indirect beneficial owner of the reported securities. 5,658 of these securities are owned by JMP Securities LLC
- (2) pursuant to the Issuer's Dividend Reinvestment Plan. JMP Securities LLC is a wholly owned subsidiary of JMP Holding LLC, which is a wholly owned subsidiary of JMP Group Inc., which is a wholly owned subsidiary of JMP Investment Holdings LLC, which is a wholly owned subsidiary of JMP Group LLC. JMP Group LLC is the indirect beneficial owner of the reported 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.