Edgar Filing: PROSPECT CAPITAL CORP - Form 4

| PROSPECT CA Form 4 December 23, 2 | APITAL CORP 2016 | | | | | | | | | | |
|--|---|-------------------------|--|---|--------------------------------|-------------------|---|--|---|------------------------------------|--|
| FORM Check this b | UNITED 5 | | | | D EXCH 0.C. 2054 | | GE CO | OMMISSION | OMB Number: | PROVAL 3235-0287 January 31, | |
| if no longer subject to Section 16. Form 5 Form 5 Filed pursuant to Section 1 | | | | NGES IN BENEFICIAL OWNERSHIP OF SECURITIES 16(a) of the Securities Exchange Act of 1934, Jtility Holding Company Act of 1935 or Sectio | | | | | Expires: 2005 Estimated average burden hours per response 0.5 | | |
| See Instructi 1(b). (Print or Type Res | ion | 30(h) of th | ne Inves | stment C | ompany . | Act of | f 194(|) | | | |
|] | | | 2. Issuer Name and Ticker or Trading Symbol PROSPECT CAPITAL CORP [PSEC] | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
| (Last)(First)(Middle)3. Date of Ea10 EAST 40TH STREET, 42ND12/21/2014FLOOR12/21/2014 | | | | | | | | Director 10% Owner X Officer (give title Other (specify below) below) CFO, CCO, TREASURY & SECRETARY | | | |
| NEW YORK | (Street) | Filed(Month/Day/Year) A | | | | | Applicable Line) _X_ Form filed by O | dual or Joint/Group Filing(Check e Line) n filed by One Reporting Person filed by More than One Reporting | | | |
| NEW YORK, (City) | | ip) | Table I | - Non-Der | ivative Sec | uritie | | Person ired, Disposed of, | or Beneficial | v Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Data (Month/Day/Year) | e 2A. Deemed | l Date, if /Year) | 3. Transactic Code | 4. Securition(A) or Dis (D) | ies Acc sposed | quired of | 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 | |
| COMMON STOCK | 12/21/2016 | | | G <u>(1)</u> | 29,000 | D | \$0 | 456,000 | 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)

| D Se | Title of verivative ecurity instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transactic Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Amou Unde Secur | 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 | | |

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Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|---|---------------|-----------|--------------------------------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| OSWALD BRIAN H 10 EAST 40TH STREET, 42ND FLOOR NEW YORK, NY 10016 | | | CFO, CCO, TREASURY & SECRETARY | | | |
| Signatures | | | | | | |
| /s/ Brian H | | | | | | |

/s/ Brian H. 12/23/2016 Oswald

**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) Gift to the BACHRO Foundation Inc., a 501(c)(3) charitable foundation. Mr. Oswald has no pecuniary interest in the shares held by the BACHRO Foundation, Inc.

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.