

# FORM 4

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

OMB APPROVAL	
OMB Number:	3235-0287
Estimated average burden hours per response...	0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person * <b>Bluestein Scott</b>	2. Issuer Name and Ticker or Trading Symbol <b>Hercules Capital, Inc. [HTGC]</b>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) <b>Chief Executive Officer</b>
(Last) (First) (Middle) <b>C/O HERCULES CAPITAL, INC., 31 ST. JAMES AVENUE, SUITE 790</b>	3. Date of Earliest Transaction (Month/Day/Year) <b>08/17/2020</b>	
(Street) <b>BOSTON, MA 02116</b>	4. If Amendment, Date Original Filed(Month/Day/Year) <b>08/19/2020</b>	6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person
(City) (State) (Zip)	<b>Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>	

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)
			Code	V	Amount	(A) or (D)	Price			
Restricted Stock Units	08/17/2020		D		1,975 <u>(1)</u>	D	\$ 11.48	439,740 <u>(1)</u>	D	
Common Stock	08/17/2020		A		1,975 <u>(2)</u>	A	\$ 11.48	679,037 <u>(2)</u>	D	
Common Stock	08/17/2020		F		876 <u>(3)</u>	D	\$ 11.48	678,161 <u>(3)</u>	D	

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

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SEC 1474 (9-02)  
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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. 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 Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V		Date Exercisable	Expiration Date					

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bluestein Scott C/O HERCULES CAPITAL, INC. 31 ST. JAMES AVENUE, SUITE 790 BOSTON, MA 02116			Chief Executive Officer	

## Signatures

/s/ /Melanie Grace, Attorney-in-Fact for Scott Bluestein

08/25/2020

\*\*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 original Form 4, filed on August 19, 2020, is being amended by this Form 4 to correct an administrative oversight that misreported the amount of released vested dividend equivalent shares acquired as 385 shares and the amount of securities beneficially owned following the reported transaction as 441,330.  
The original Form 4, filed on August 19, 2020, is being amended by this Form 4 to correct an administrative oversight that misreported the amount of Hercules Capital, Inc common stock received from released vested dividend equivalent shares acquired as 385 shares and the amount of securities beneficially owned following the reported transaction as 677,447.
- (2) The original Form 4, filed on August 19, 2020, is being amended by this Form 4 to correct an administrative oversight that misreported the amount of Hercules Capital, Inc common stock withheld to pay taxes applicable to the vesting of dividend equivalent shares as 171 shares and the amount of securities beneficially owned following the reported transaction as 677,276.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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