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

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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

| of Reporting Person | >n * | | | | | | | | | | | | | |
|---|--|--|--|--|--|---|--|--|---|--|---|--|---|---|
| 1. Name and Address of Reporting Person* Fallon Thomas J | | | 2. Issuer Name and Ticker or Trading Symbol Hercules Capital, Inc. [HTGC] | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner | | | | |
| (Last) (First) (Middle) C/O HERCULES CAPITAL, INC., 400 HAMILTON AVENUE SUITE 310 | | | | 3. Date of Earliest Transaction (Month/Day/Year) 08/19/2019 | | | | | | Office | r (give title belo | ow) | Other (specify b | elow) |
| PALO ALTO, CA 94301 | | | | 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 Person | | | | |
| (State) | (Zip) | | Ta | able I - | - Non | -Deri | ivative S | Securities | s Acqui | ired, Disp | osed of, or l | Beneficially (| Owned | |
| D | Date | 2A. Deemed Execution Date, any | | 3. Transac Code (Instr. 8) | | | | of (D) | 5. Amount of Securities Beneficially Owned Fol Reported Transaction(s) | | Following (s) | Ownership Form: | Beneficial | |
| | | (Month/D | oay/Year) | | de | V | Amoun | (A) or t (D) | Price | (Instr. 3 a | , | | \ / | Ownership (Instr. 4) |
| 0 | 8/19/2019 | | | A | A | | 117 <mark>(1</mark> | 11 / | \$ 12.74 | 41,179 | | | D | |
| | | | | | quire | the fo | orm dis | splays a of, or Ber | currer | ntly valid | OMB con | | | |
| Date Exe (Month/Day/Year) | 3A. Deemed Execution Da | 4. Tran | 5. Numsaction of Operior Secution (A) oc Disport (Institution of Control of C | | Jumber of the following | | Pate Exercisable Expiration Date onth/Day/Year) | | 7. Ti Amo Undo Secu | ount of erlying urities r. 3 and | Security (Instr. 5) | Derivative Securities Beneficially Owned Following Reported | Ownershi Form of Derivativ Security: Direct (D or Indirect | Beneficia Ownershi (Instr. 4) |
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| | Relationships | | | | |
|---|---------------|--------------|---------|-------|--|
| Reporting Owner Name / Address | Director | 10% Owner | Officer | Other | |
| Fallon Thomas J C/O HERCULES CAPITAL, INC. 400 HAMILTON AVENUE SUITE 310 PALO ALTO, CA 94301 | X | | | | |

Signatures

| /s/ Melanie Grace, Attorney-in-Fact for Thomas J. Fallon | 08/20/2019 |
|--|------------|
| **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) Shares acquired through the Hercules Capital, Inc. Dividend Reinvestment Plan.

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.