Edgar Filing: CAPITAL SOUTHWEST CORP - Form 4

CAPITAL SOUTHWEST CORP		
Form 4 February 14, 2014		
		OMB APPROVAL
UNITED STATE	COMMISSION OMB Number: 3235-0287	
Check this box if no longer subject to Section 16. Form 4 or	OF CHANGES IN BENEFICIAL OW SECURITIES	NERSHIP OF Expires: January 31, 2005 Estimated average burden hours per response 0.5
$\frac{\text{obligations}}{\text{may continue.}}$ Section 17(a) of the	Section 16(a) of the Securities Exchang Public Utility Holding Company Act o) of the Investment Company Act of 194	e Act of 1934, f 1935 or Section
(Print or Type Responses)		
1. Name and Address of Reporting Person <u>*</u> MARTIN GARY L	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)	
	[CSWC]	(Check an applicable)
(Last) (First) (Middle) 12900 PRESTON RD, STE 700	3. Date of Earliest Transaction (Month/Day/Year) 02/13/2014	Officer (give titleOther (specify below)Dther (specify below)
(Street)	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
DALLAS, TX 75230		Person
(City) (State) (Zip)	Table I - Non-Derivative Securities Acc	quired, Disposed of, or Beneficially Owned
(Instr. 3) any	emed 3. 4. Securities Acquired on Date, if Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) 'Day/Year) (Instr. 8) (A) or	5. Amount of Securities6. Ownership Form: Direct7. Nature of IndirectBeneficially Owned(D) or Indirect (I)Beneficial OwnershipFollowing Following Transaction(s) (Instr. 3 and 4)(Instr. 4)
Common 02/13/2014 Stock	Code V Amount (D) Price M $3,610$ A $\begin{array}{c}\$\\32.37\end{array}$	409,902 D
Common 02/13/2014 Stock	S 3,610 D ^{\$} 33.89	406,292 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.

Edgar Filing: CAPITAL SOUTHWEST CORP - Form 4

 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. Transactic Code (Instr. 8)	5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisab Expiration Date (Month/Day/Year		7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock options	\$ 32.37	02/13/2014		М	3,610	07/21/2009(1)	07/30/2018	Common Stock	3,610

Reporting Owners

Reporting Owner Name / Addre	SS	Relationships			
	Director	10% Owner	Officer	Other	
MARTIN GARY L 12900 PRESTON RD STE 700 DALLAS, TX 75230	Х				
Signatures					
/s/ Gary L. Martin	02/14/2014				
<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) These options were vested in 5 equal installments of 14,000 shares each on 7/21/2009, 7/21/2010, 7/21/2011, 7/21/2012, and 7/21/2013.

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.