

JMP GROUP LLC

Form 4

April 13, 2018

**FORM 4**
**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

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,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

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response... 0.5

(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)  
04/11/2018

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) |                             |
|---------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|--------|------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------|-----------------------------|
|                                 |                                      |                                                    | Code                           | V                                                                 | Amount | (A) or (D) | Price                                                                                         |                                                          |                                                       |                             |
| Common Stock <sup>(1)</sup>     | 04/11/2018                           |                                                    | P                              |                                                                   | 2,482  | A          | \$ 10.4243                                                                                    | 943,132                                                  | I                                                     | See Footnote <sup>(2)</sup> |
| Common Stock <sup>(1)</sup>     | 04/12/2018                           |                                                    | P                              |                                                                   | 2,482  | A          | \$ 10.4784                                                                                    | 945,614                                                  | I                                                     | See Footnote <sup>(2)</sup> |
| Common Stock <sup>(1)</sup>     | 04/13/2018                           |                                                    | P                              |                                                                   | 2,482  | A          | \$ 10.4342                                                                                    | 948,096                                                  | I                                                     | See Footnote <sup>(2)</sup> |

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

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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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number<br>of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Transaction<br>(Instr. 10) |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date<br>Exercisable                                            | Expiration<br>Date                                                        | Title                                               | Amount<br>or<br>Number<br>of<br>Shares                                                                          |

## Reporting Owners

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

## Signatures

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

04/13/2018

\_\_Signature of Reporting Person

Date

## Edgar Filing: JMP GROUP LLC - Form 4

|                                                                     |            |
|---------------------------------------------------------------------|------------|
| /s/ Walter Conroy, Authorized Person of JMP Group Inc.              | 04/13/2018 |
| <u>                    </u> **Signature of Reporting Person         | Date       |
| /s/ Walter Conroy, Authorized Person of JMP Holding LLC             | 04/13/2018 |
| <u>                    </u> **Signature of Reporting Person         | Date       |
| /s/ Walter Conroy, Authorized Person of JMP Investment Holdings LLC | 04/13/2018 |
| <u>                    </u> **Signature of Reporting Person         | Date       |
| /s/ Walter Conroy, Authorized Person of JMP Securities LLC          | 04/13/2018 |
| <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) Reflects the acquisition of common stock pursuant to a Rule 10b5-1 Purchase Plan of JMP Investment Holdings LLC.  
942,438 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.  
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