

Hercules Capital, Inc.
Form 8-K
March 14, 2019

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

FORM 8-K

**CURRENT REPORT
Pursuant to Section 13 or 15(d) of
the Securities Exchange Act of 1934**

Date of Report (Date of earliest event reported): **March 13, 2019**

Hercules Capital, Inc.
(Exact name of registrant as specified in its charter)

Maryland (State or other jurisdiction of incorporation)	814-00702 (Commission File No.)	74-3113410 (I.R.S. Employer Identification No.)
--	---	--

400 Hamilton Ave., Suite 310
Palo Alto, CA 94301
(Address of principal executive offices) (Zip Code)

Registrant's telephone number, including area code: **(650) 289-3060**

Not Applicable

Edgar Filing: Hercules Capital, Inc. - Form 8-K

(Former name or address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 or Rule 12b-2 of the Securities Exchange Act of 1934.

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers

On March 13, 2019, Hercules Capital, Inc. (the “Company”) announced that Manuel Henriquez has voluntarily stepped aside as Chairman of the Board of Directors of the Company (the “Board”) and Chief Executive Officer of the Company. Mr. Henriquez will continue as a member of the Board and an adviser to the Company.

Robert Badavas, the lead independent director of the Company, was elected Interim Chairman of the Board. Scott Bluestein, the Company’s Chief Investment Officer, was elected Interim Chief Executive Officer.

Item 9.01 Financial Statements and Exhibits

(d) Exhibits

99.1 Press Release dated March 13, 2019.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

HERCULES
CAPITAL, INC.

March 13, 2019

By: /s/ Melanie Grace
Melanie Grace
General Counsel

EXHIBIT INDEX

Exhibit No. Description of Exhibits

99.1 Press Release dated March 13, 2019.