Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

#### PROSPECT CAPITAL CORP

Form 4

December 28, 2015

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

10% Owner

Other (specify

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

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Eliasek M Grier

(Last)

(City)

**STOCK** 

2. Issuer Name and Ticker or Trading

Symbol

PROSPECT CAPITAL CORP

[PSEC]

(Month/Day/Year)

12/23/2015

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

10 EAST 40TH STREET, 42ND

(State)

(First)

(Middle)

(Zip)

**FLOOR** (Street)

4. If Amendment, Date Original

3. Date of Earliest Transaction

Filed(Month/Day/Year)

below) CHIEF OPERATING OFFICER

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_\_ Director

X\_ Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

Person

NEW YORK, NY 10016

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Securities Acquired 5. Amount of 1. Title of 2. Transaction Date 2A. Deemed 3. 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of Securities Ownership Indirect (Instr. 3) (D) Beneficially Form: Direct Beneficial (Instr. 3, 4 and 5) Owned (Month/Day/Year) (Instr. 8) (D) or Ownership Indirect (I) (Instr. 4) Following Reported (Instr. 4) (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price **COMMON** 12/23/2015 P

50,000

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

627,195.805

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: PROSPECT CAPITAL CORP - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>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.<br>Transaction<br>Code<br>(Instr. 8) | 5.  onNumber of Derivative Securities Acquired (A) or Disposed of (D) |                     |                    | 7. Title a<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 a | unt of<br>rlying | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|---|---|---------------------|--------------------|--|------------------|---|---|
|   |   |   |   | Code V                                  | (Instr. 3, 4, and 5)  (A) (D)   | Date<br>Exercisable | Expiration<br>Date | or<br>Title Nu<br>of   | umber            |   |   |

## **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |                         |       |  |  |  |  |
|---------------------------------|---------------|-----------|-------------------------|-------|--|--|--|--|
| <b>,</b> G                      | Director      | 10% Owner | Officer                 | Other |  |  |  |  |
| Eliasek M Grier                 |               |           |                         |       |  |  |  |  |
| 10 EAST 40TH STREET, 42ND FLOOR | X             |           | CHIEF OPERATING OFFICER |       |  |  |  |  |
| NEW YORK NY 10016               |               |           |                         |       |  |  |  |  |

### **Signatures**

/s/ M Grier
Eliasek

\*\*Signature of Reporting Person

12/28/2015

### **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).

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.

Reporting Owners 2