### Edgar Filing: FIDUS INVESTMENT Corp - Form 3/A

FIDUS INVESTMENT Corp Form 3/A June 30, 2011

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

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INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

A PineBridge Secondary Partners II Holdings, L.P.

(Last)

(First)

(Middle)

(Month/Day/Year) 06/20/2011

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol FIDUS INVESTMENT Corp [FDUS]

399 PARK AVENUE, 4TH

**FLOOR** 

(Street)

Statement

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

06/22/2011

(Check all applicable)

Director Officer

\_\_X\_\_ 10% Owner Other (give title below) (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

NEW YORK. NYÂ 10022

(City) (State) (Zip)

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

SEC 1473 (7-02)

Table I - Non-Derivative Securities Beneficially Owned

Â Common Stock, par value \$0.001 per share  $1,162,854 \stackrel{(1)}{=} \stackrel{(2)}{=} \stackrel{(3)}{=}$ 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.

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

1. Title of Derivative Security (Instr. 4)

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Price of Derivative Derivative Security:

1

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Date Expiration Title Amount or Security Direct (D)

Exercisable Date Number of or Indirect

Shares (I)

(Instr. 5)

# **Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PineBridge Secondary Partners II Holdings, L.P. 399 PARK AVENUE, 4TH FLOOR NEW YORK, NY 10022	Â	ÂX	Â	Â
PineBridge Secondary Partners II GP, L.P. 399 PARK AVENUE, 4TH FLOOR NEW YORK, NY 10022	Â	ÂX	Â	Â

# **Signatures**

/s/ Loic Rentiers By: PineBridge Secondary Partners II GP, LLC, its general partner, By: PineBridge Investments LLC, its managing member, Name: Loic Rentiers, Title: Vice President

06/30/2011

\*\*Signature of Reporting Person

Date

/s/ Loic Rentiers By: PineBridge Secondary Partners II GP, L.P., its general partner, By: PineBridge Secondary Partners II GP, LLC, its general partner, By: PineBridge Investments LLC, its managing member, Name: Loic Rentiers, Title: Vice President

06/30/2011

\*\*Signature of Reporting Person

Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).

This is a joint filing by PineBridge Secondary Partners II Holdings, L.P. ("PineBridge Holdings") and PineBridge Secondary Partners II GP, L.P. ("PineBridge GP"). PineBridge Holdings is the designated filer. PineBridge Holdings directly owns 1,162,854 shares ("Common

- (1) Shares") of the common stock of Fidus Investment Corporation, and PineBridge GP, as the sole general partner of PineBridge Holdings, may be deemed the beneficial owner of the Common Shares owned by PineBridge Holdings. The reporting persons may be deemed to be members of a group beneficially owning 10% or more of the Common Shares within the meaning of Section 13(d) of the Securities Exchange Act of 1934.
  - (continued from Footnote 1) Except as set forth herein, the reporting persons disclaim beneficial ownership of all securities other than
- (2) those reported herein, and this report shall not be deemed an admission that such a group exists or that the reporting persons are the beneficial owner of the securities of such group for purposes of Section 16 or any other purpose.
- (3) This amendment is being filed to add PineBridge Secondary Partners II GP, L.P. as a reporting person.

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.

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