SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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OMB Number:	3235-0287								
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to Section 16.	Form 4 or Form 5 y continue. <i>See</i>).	File	ed pursuant to Section 16(a) of the Securities Exchange Act of 193 or Section 30(h) of the Investment Company Act of 1940	4	Estimated ave	8
Green Allise (Last) C/O SURO CA	ress of Reporting P <u>DN</u> (First) APITAL CORP. ME STREET, SU	(Middle)	2. Issuer Name and Ticker or Trading Symbol <u>SURO CAPITAL CORP.</u> [SSSS] - 3. Date of Earliest Transaction (Month/Day/Year) 03/04/2021	5. Relationship of f (Check all applicat Director X Officer (gi below)	ole)	10% Owner Other (specify below)
(Street) SAN FRANCISCO (City)	CA (State)	94104 (Zip)	 4. If Amendment, Date of Original Filed (Month/Day/Year) 	1	nt/Group Filing I by One Repor I by More than (ting 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)	Transaction Code (Instr.		4. Securities Disposed Of			5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		
Common Stock	03/04/2021		P ⁽¹⁾		10,000	Α	\$11.86 ⁽²⁾	38,523 ⁽³⁾	D	
Common Stock	03/05/2021		P ⁽¹⁾		6,610	Α	\$11.99 ⁽⁴⁾	45,133 ⁽³⁾	D	

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. Transa Code (8)				6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Transaction reported on this Form 4 effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on December 8, 2020.

2. The price reported in Column 4 is a weighted-average price, rounded to the nearest hundredth. These shares were purchased in multiple transactions at prices ranging from \$11.74 to \$11.97 per share, inclusive. The reporting person undertakes to provide upon request by the staff of the Securities and Exchange Commission, SuRo Capital Corp. (the "Issuer") or a security holder of the Issuer full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

3. Includes 28,523 restricted shares granted under the SuRo Capital Corp. Amended and Restated 2019 Equity Incentive Plan, which vest as follows: 1/3 vest on February 10, 2022, 1/3 vest on February 10, 2023, and 1/3 vest on February 10, 2024.

4. The price reported in Column 4 is a weighted-average price, rounded to the nearest hundredth. These shares were purchased in multiple transactions at prices ranging from \$11.98 to \$12.00 per share, inclusive. The reporting person undertakes to provide upon request by the staff of the Securities and Exchange Commission, the Issuer or a security holder of the Issuer full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

Remarks:

Chief Financial Officer, Chief Compliance Officer, Treasurer and Secretary

/s/ Allison Green

** Signature of Reporting Person Date

03/08/2021

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

* 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.

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 Number.