## SEC Form 5

## FORM 5

Check this box if no longer subject to Section 16. Form 4 or Form 5

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

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL

OMB APPROVAL									
OMB Number: 3235-0362									
Estimated average burden									
hours per response:	1.0								

<ul> <li>obligations may continue. See Instruction 1(b).</li> <li>Form 3 Holdings Reported.</li> </ul>			ANNUA	L STATEI			CHANGI RSHIP	ES I	ΝB	ENEFI		L	Esti		er: average burd esponse:	3235-0362 en 1.0
8	Transactions		File	d pursuant to S or Section 3			e Securities E tment Compa						<u>.</u>			
1. Name and Address of Reporting Person <sup>*</sup> LOTT RONALD M.					2. Issuer Name <b>and</b> Ticker or Trading Symbol SURO CAPITAL CORP. [SSSS]							all appl Direct	icable) or	,		wner
(Last) (First) (Middle) C/O SURO CAPITAL CORP.					3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2021					ay/Year)		Office below	r (give title )	ive title Oi be		specify
640 FIFTH AVENUE, 12TH FLOOR				4. If Amend	4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street)											X Form filed by One Reporting Person					son
NEW YORK NY 10019					Form filed Person								ed by More than One Reporting			
(City)	(St	ate) (	Zip)													
		Table	e I - Non-Deriv	ative Secu	rities Aco	quire	ed, Dispos	sed c	of, o	r Benefic	cially	v Own	ed			
Da			2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date if any	Code (I				\) or Dispose	Securities Beneficially			rship Ind Direct Be	7. Nature of Indirect Beneficial		
				(Month/Day/Ye	ar) 8)		Amount	(A (D	(A) or (D) Price		Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)		Fiscal	Indirect (I)		Ownership (Instr. 4)
Common Stock			04/08/2021		S4(	1)	50		D \$14.8712 5,56		564 <sup>(2)</sup> D		D			
Common	Stock		11/05/2021		S4(	1)	7,556		D	\$15.44	.448 5,564 <sup>(2</sup>		54 <sup>(2)</sup>	D		
		Та	ble II - Derivat. (e.g., p	tive Securit uts, calls, v								Owneo	ł			
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities	Expiration Date Amoun (Month/Day/Year) Under Under Deriva Securi 3 and 4		Title and nount of curities iderlying	Security S (Instr. 5) E str. (Instr. 5) (Instr. 5) (Instr. 5) (Instr. 5) (Instr. 5) (Instr. 5) (Instruction)		9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)		10. Ownership Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
(msu. <i>s</i> )	Price of Derivative Security				Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)				Se	curity (Instr.			Following Reported Transact	ĩ	or Indirect (I) (Instr. 4)	

Explanation of Responses:

1. The reporting person is hereby disclosing a delinquent Form 4 transaction.

2. Total as of SuRo Capital Corp.'s (the "Company") fiscal year ended December 31, 2021; includes (1) 3,770 restricted shares granted under the SuRo Capital Corp. Amended and Restated 2019 Equity Incentive Plan, which vest in full on the earlier of the (A) first antiversary of the award date (with such first anniversary being July 9, 2022) and (B) date of the Company's annual meeting of stockholders that is closest to the first anniversary of the award date (the "Vesting Schedule), (2) 1,282 shares of the Company's common stock received in connection with dividends on such 3,770 restricted shares, which are also restricted and subject to the Vesting Schedule, and (3) unrestricted shares of the Company's common stock received in connection with dividends.

Date

Exercisable

(D) (A)

Expiration

Date

/s/ Ronald M. Lott 02/14/2022

or Number

of Shares

Title

\*\* Signature of Reporting Person Date

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.