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

OMB Number:	3235-0287
Estimated average b	urden
hours per response:	0.5

to Section 16. F obligations may		0		0.	0177	020								ated average			0.5
Instruction 1(b).	000								Exchange Act of 1940				nours	per response			.5
1. Name and Addre <u>Potter Leona</u>		Person*			er Name an O CAPI							tionship of R all applicable Director Officer (giv	e)	104	% Ow		
(Last) C/O SURO CA ONE SANSOM		(Middle) UITE 730			e of Earliest /2020	Transa	iction (N	/onth/Day	/Year)			below)	e uue		ow)	peeny	
(Street)			4.	If An	nendment, [Date of	Origina	l Filed (M	onth/Day/Year		6. Indiv Line)	vidual or Joint	/Group	p Filing (Che	ck Ap	plicat	le
SAN FRANCISCO	CA	94104									Х		-	e Reporting re than One			
(City)	(State)	(Zip)															
	-	Table I - No	n-Derivativ	e Se	ecurities	Acq	uired,	Dispos	ed of, or l	Benefi	cially	Owned					
1 Title of Coourity	(Inctr 2)		2 Transaction		24 Deemed		2	1	Securities Acc	auirod (A)	or	5 Amount of	F	6 Ownershi	n 7	Natu	ro

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transad Code (I 8)		4. Securities Disposed Of 5)			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)		(1150.4)
Common Stock	07/02/2020		A ⁽¹⁾⁽²⁾		5,440	A	\$ <mark>0</mark>	39,773 ⁽²⁾	D	

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

I				(e.g., pr	115, 04	ans, v	vaiia	unts,	options, t	Junerun,	ie se	cunities	9				
	Derivative Security	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)		5. Nu of Deriv Secu Acqu (A) of Dispo of (D) (Instri and 5	vative rities ired r osed) . 3, 4	6. Date Exerc Expiration Da (Month/Day/Y	ate	7. Titl Amou Secur Unde Deriv Secur 3 and	unt of rities rlying ative rity (Instr.	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. Restricted shares issued under SuRo Capital Corp.'s (the "Company") Amended and Restated 2019 Equity Incentive Plan.

2. Such restricted shares shall vest in full on the first anniversary of the award date (with such first anniversary being July 2, 2021) (or, if earlier, the Company's annual meeting of stockholders that is closest to the first anniversary of the award date).

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** Signature of Reporting Person Date

07/02/2020

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.