Vig Rajneesh Form 4 February 05, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL OMB** 

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

Check this box

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).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Vig Rajneesh

(First)

(Middle)

(Zip)

C/O TENNENBAUM CAPITAL PARTNERS, LLC, 2951 28TH

STREET, SUITE 1000

(Street)

(State)

2. Issuer Name and Ticker or Trading Symbol

TCP Capital Corp. [TCPC]

3. Date of Earliest Transaction (Month/Day/Year) 02/02/2018

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

\_X\_\_ Director 10% Owner X\_ Officer (give title Other (specify below) below)

COO

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

SANTA MONICA, X1 90405

|                 |                     | 140                | Tuble 1 Tion Delivative Securities Required, Disposed 69, of Denoteding 6 when |                  |               |                  |             |              |  |
|-----------------|---------------------|--------------------|--|------------------|---------------|------------------|-------------|--------------|--|
| 1.Title of      | 2. Transaction Date | 2A. Deemed         | 3.   | 4. Securities A  | cquired (A)   | 5. Amount of     | 6.          | 7. Nature of |  |
| Security        | (Month/Day/Year)    | Execution Date, if | Transactiomr Disposed of (D)   |                  |               | Securities       | Ownership   | Indirect     |  |
| (Instr. 3)      |                     | any                | Code   | (Instr. 3, 4 and | 15)           | Beneficially     | Form:       | Beneficial   |  |
|                 |                     | (Month/Day/Year)   | (Instr. 8)   |                  |               | Owned            | Direct (D)  | Ownership    |  |
|                 |                     |                    |  |                  |               | Following        | or Indirect | (Instr. 4)   |  |
|                 |                     |                    |  | (4)              |               | Reported         | (I)         |              |  |
|                 |                     |                    |  | (A)              |               | Transaction(s)   | (Instr. 4)  |              |  |
|                 |                     |                    | Code V   | or<br>Amount (D) | Price         | (Instr. 3 and 4) |             |              |  |
| C               |                     |                    | Code v   | Amount (D)       |               |                  |             |              |  |
| Common<br>Stock | 02/02/2018          |                    | P  | 5,000 A          | \$<br>15.0643 | 32,750           | D           |              |  |

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.

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

#### Edgar Filing: Vig Rajneesh - Form 4

|                                      | 2.  | 3. Transaction Date |   | 4.                             | 5.   | 6. Date Exerc       |                    | 7. Titl                            |  | 8. Price of                          | 9. Nu   |
|--------------------------------------|---|---------------------|---|--------------------------------|--|---------------------|--------------------|------------------------------------|--|--------------------------------------|---|
| Derivative<br>Security<br>(Instr. 3) | Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | (Month/Day/Year)    | Execution Date, if any (Month/Day/Year) | Transact<br>Code<br>(Instr. 8) | orNumber<br>of<br>Derivativ<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | <b>:</b>            |                    | Amou<br>Under<br>Securi<br>(Instr. | lying                                  | Derivative<br>Security<br>(Instr. 5) | Deriv<br>Secur<br>Bene<br>Own<br>Follo<br>Repo<br>Trans<br>(Instr |
|                                      |   |                     |   | Code V                         | (A) (D)  | Date<br>Exercisable | Expiration<br>Date | Title                              | Amount<br>or<br>Number<br>of<br>Shares |                                      |   |

# **Reporting Owners**

| Reporting Owner Name / Address       | Relationships |           |         |       |  |  |
|--------------------------------------|---------------|-----------|---------|-------|--|--|
|                                      |               | 10% Owner | Officer | Other |  |  |
| Vig Rajneesh                         |               |           |         |       |  |  |
| C/O TENNENBAUM CAPITAL PARTNERS, LLC | X             |           | COO     |       |  |  |
| 2951 28TH STREET, SUITE 1000         | Λ             |           | COO     |       |  |  |
| SANTA MONICA, X1 90405               |               |           |         |       |  |  |

# **Signatures**

Rajneesh Vig 02/02/2018

\*\*Signature of Reporting Person Date

# **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.

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