Edgar Filing: Sarner Michael Scott - Form 4

Sarner Micha Form 4	el Scott											
November 16	, 2018											
									OMB APPROVAL			
	UNITED	STATES	ES SECURITIES AND EXCHANGE COM Washington, D.C. 20549						COMMISSION	OMB Number:	3235-0287	
Check this if no longe subject to Section 16 Form 4 or Form 5	er STATEN 5.	x STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES								Expires:January 31, 2005Estimated average burden hours per response0.5		
obligation may contin <i>See</i> Instruct 1(b).	s Section 17(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 R	esponses)											
Sarner Michael Scott Signature C			2. Issuer Name and Ticker or Trading Symbol CAPITAL SOUTHWEST CORP [CSWC]					-	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) 3. Da (Mou				Date of Earliest Transaction Month/Day/Year) 1/15/2018					Director 10% Owner X Officer (give title Other (specify below) below) Chief Financial Officer			
				Amendment, Date Original (Month/Day/Year)					6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
DALLAS, T	X 75240								Form filed by M Person	More than One Re	eporting	
(City)	(State)	(Zip)	Table	e I - Non-l	Der	vivative S	ecurit	ties Acq	uired, Disposed of	f, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Executio any		3. Transact Code (Instr. 8) Code	tion(()) ((A) or Dia (D) (Instr. 3, 4)	sposed	l of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	11/15/2018			А		43,400	А	\$0	148,386	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 Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	ion Date Ame /Day/Year) Und Secu		le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address		Relationships							
reporting officer a			10% Owner	Officer	Other				
Sarner Michael Scott C/O CAPITAL SOUTHWE 5400 LYNDON B. JOHNSC DALLAS, TX 75240				Chief Financial Officer					
Signatures									
/s/ Michael Scott Sarner	11/16/2018								

**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).
- (1) Represents a restricted stock award of 43,400 shares.

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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