

JMP GROUP LLC

Form 4

May 02, 2018

FORM 4
UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
JMP GROUP LLC

(Last) (First) (Middle)

600 MONTGOMERY STREET,
SUITE 1100

(Street)

SAN FRANCISCO, CA 94111

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Harvest Capital Credit Corp [HCAP]

3. Date of Earliest Transaction
(Month/Day/Year)
05/01/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____X____ 10% Owner
____ Officer (give title below) ____ Other (specify below)

6. Individual or Joint/Group Filing(Check
Applicable Line)

____ Form filed by One Reporting Person
__X__ Form filed by More than One Reporting
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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)			
			Code	V	Amount		Price
Common Stock	05/01/2018		J ⁽¹⁾		5,658	A	\$ 10.24
					967,968	I	
							See Footnote (2)

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.**

SEC 1474
(9-02)

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

Edgar Filing: JMP GROUP LLC - Form 4

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
JMP GROUP LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111		X		
JMP Group Inc. 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111		X		
JMP SECURITIES LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111		X		
JMP Holding LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111		X		
JMP Investment Holdings LLC 600 MONTGOMERY STREET, SUITE 1100 SAN FRANCISCO, CA 94111		X		

Signatures

/s/ Walter Conroy, Authorized Person of JMP Group LLC	05/02/2018
__Signature of Reporting Person	Date
/s/ Walter Conroy, Authorized Person of JMP Group Inc.	05/02/2018
__Signature of Reporting Person	Date
/s/ Walter Conroy, Authorized Person of JMP Holding LLC	05/02/2018
__Signature of Reporting Person	Date

Edgar Filing: JMP GROUP LLC - Form 4

/s/ Walter Conroy, Authorized Person of JMP Investment Holdings
LLC

05/02/2018

__Signature of Reporting Person

Date

/s/ Walter Conroy, Authorized Person of JMP Securities LLC

05/02/2018

__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).
- JMP Investment Holdings LLC purchased 5,658 shares of the Issuer's Common Stock from JMP Securities LLC on May 1, 2018. JMP Securities LLC is a wholly owned subsidiary of JMP Holding LLC, which is a wholly owned subsidiary of JMP Group Inc., which is a wholly owned subsidiary of JMP Investment Holdings LLC, which is a wholly owned subsidiary of JMP Group LLC. JMP Group LLC is the indirect beneficial owner of the reported securities.
- (1)
- (2) These securities are owned directly by JMP Investment Holdings LLC, which is a wholly owned subsidiary of JMP Group LLC. JMP Group LLC is the indirect beneficial owner of the reported securities.

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.