

DIEHL BOWEN S

Form 4/A

July 16, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
DIEHL BOWEN S

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)

C/O CAPITAL SOUTHWEST  
CORPORATION, 5400 LYNDON  
B. JOHNSON FWY, SUITE 1300

(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
06/20/2018

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
President and CEO

DALLAS, TX 75240

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
06/21/2018

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

(City) (State) (Zip)

**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)
Common Stock	06/20/2018		M	5,705 A \$ 11	110,349	D	
Common Stock	06/20/2018		M	6,247 A \$ 11	116,596	D	
Common Stock	06/20/2018		M	2,661 A \$ 11.53	119,257	D	
Common Stock					134,552 <sup>(1)</sup>	I	By PHC Investments, LLC <sup>(2)</sup>

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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)

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 (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)	Amount or Number of Shares
Incentive Stock Option	\$ 11	06/20/2018		M	5,705	(3) 03/17/2024	Common Stock	5,705
Non-qualified Stock Option	\$ 11	06/20/2018		M	6,247	(4) 03/17/2024	Common Stock	6,247
Non-qualified Stock Option	\$ 11.53	06/20/2018		M	2,661	(5) 08/28/2024	Common Stock	2,661

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DIEHL BOWEN S C/O CAPITAL SOUTHWEST CORPORATION 5400 LYNDON B. JOHNSON FWY, SUITE 1300 DALLAS, TX 75240	X		President and CEO	

## Signatures

/s/ Bowen S. Diehl 07/16/2018

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)

## Edgar Filing: DIEHL BOWEN S - Form 4/A

The Form 4 filed on June 21, 2018 contained a typographical error that incorrectly reported the shares held indirectly by the reporting person. As of June 20, 2018, 134,552 shares were held indirectly by the reporting person through PHC Investments, LLC.

- (2) PHC Investments, LLC is fifty percent owned by the reporting person and fifty percent owned by his spouse.
- (3) The options, representing a right to purchase a total of 14,261 shares, became exercisable in three equal annual installments beginning on March 17, 2015.
- (4) The options, representing a right to purchase a total of 15,616 shares, became exercisable in three equal annual installments beginning on March 17, 2015.
- (5) The options, representing a right to purchase a total of 85,982 shares, became exercisable in three annual installments beginning on December 29, 2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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