SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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1. Name and Address of Reporting Person* <u>Moab Partners LP</u>			R (1	2. Date of Event Requiring Statement (Month/Day/Year) 01/06/2016			3. Issuer Name <b>and</b> Ticker or Trading Symbol <u>CAPITAL SOUTHWEST CORP</u> [ CSWC ]							
(Last) (First) (Middle) 15 EAST 62ND STREET				01/00/2010						(s) to Issuer 10% Owner Other (specify		<ul> <li>5. If Amendment, Date of Original Filed (Month/Day/Year)</li> <li>6. Individual or Joint/Group Filing (Check</li> </ul>		
(Street) NEW YORK	NY	10065					below)		below)		Appl X	Form filed b	y One Reporting Person y More than One erson	
(City) (	State)	(Zip)												
			Та	able I - Nor	-De	erivativ	ve Securities	Beneficial	ly Owned		1			
1. Title of Security (Instr. 4)						Amount of Secu eneficially Owne	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)		4. Nature of Indirect Beneficial Ownership (Instr. 5)					
Common Stock							1,558,332 <sup>(1)</sup> I By M		By M	Moab Partners, L.P. <sup>(1)</sup>				
			(e.g				Securities Ents, options,			s)				
1. Title of Derivative Security (Instr. 4)				2. Date Exercisable an Expiration Date (Month/Day/Year)			3. Title and Ar Underlying De			rcise Form:	Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)		
				Date Exercisable	Exj Dat	piration te	Title		Amount or Number of Shares	Deriva Secur	ative	or Indirect (I) (Instr. 5)		
1. Name and Addre Moab Partner		g Person <sup>*</sup>											•	
(Last) 15 EAST 62ND	(First) STREET		(Middle)											
(Street) NEW YORK	NY		10065											
(City)	(State)		(Zip)											
1. Name and Addre Moab Capita														
(Last) 152 EAST 62NI	(First) D STREET		(Middle)											
(Street) NEW YORK	NY		10065											
(City)	(State)		(Zip)											
1. Name and Addre <u>Moab GP LL</u>		g Person <sup>*</sup>												
(Last) (First) (Middle) 15 EAST 62ND STREET														
(Street) NEW YORK	NY		10065											
(City)	(State)		(Zip)											
1. Name and Addre	ss of Reporting	g Person <sup>*</sup>												

<u>Rothenberg M</u>	<u> Iichael</u>	
(Last)	(First)	(Middle)
15 EAST 62ND	STREET	
(Street)		
NEW YORK	NY	10065
(City)	(State)	(Zip)

Explanation of Responses:

1. Moab Capital Partners, LLC ("Moab LLC") is the investment adviser to Moab Partners, L.P. (the "Fund") and may be deemed to beneficially own the securities under Section 13(d) of the Securities Exchange Act of 1934 (the "Exchange Act"). Moab GP, LLC ("Moab GP") is the general partner of the Fund and may be deemed to beneficially own the securities under Section 13(d) of the Exchange Act. Michael M. Rothenberg is the Managing Member of Moab GP and Moab LLC and may also be deemed to beneficially own the securities under Section 13(d) of the Exchange Act. Michael M. Rothenberg disclaim beneficial ownership of the securities for purposes of Section 16 of the Exchange Act.

## **Remarks:**

<u>Moab Capital Partners, LLC,</u> <u>By: /s/Michael M. Rothenberg</u>	<u>01/13/2016</u>
<u>Moab Partners, L.P., By: Moab</u> <u>GP, LLC, its general partner,</u> <u>By: Moab Capital Partners,</u> <u>LLC, its manager, By:</u> /s/Michael M. Rothenberg	<u>01/13/2016</u>
<u>Moab GP, LLC, By: Moab</u> <u>Capital Partners, LLC, its</u> <u>manager, By: /s/ Michael</u> <u>Rothenberg</u>	<u>01/13/2016</u>
<u>/s/ Michael Rothenberg</u> ** Signature of Reporting Person	<u>01/13/2016</u> Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\ast}$  If the form is filed by more than one reporting person, see Instruction 5 (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.