SEC Form 4
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# FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287
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Instruction 1	.(b).	1	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	4 hours per response: 0.5
			or Section 30(h) of the Investment Company Act of 1940	
1. Name and Ac Weinstein	ldress of Reporting Joshua S.	Person <sup>*</sup>	2. Issuer Name and Ticker or Trading Symbol <u>CAPITAL SOUTHWEST CORP</u> [ CSWC ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify
		(Middle) ST CORPORATION N FWY STE 1300	3. Date of Earliest Transaction (Month/Day/Year) 11/15/2021	A below) below) Senior Managing Director
(Street) DALLAS	ТХ	75240	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X 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. Transa Code ( 8)	action (Instr.	4. Securities Disposed Of 5)	Acquire (D) (Inst	d (A) or r. 3, 4 and	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	11/15/2021		<b>F</b> <sup>(1)</sup>		5,364	D	\$27.38	144,565	D	
Common Stock								400	I	Held by the reporting person's daughter
Common Stock								650	I	Held by reporting person's son
Common Stock								500	I	Held by the reporting person's son

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 11. Nature 2 10. Conversion Execution Date, Transaction Ownership Derivative Date of Expiration Date Amount of Derivative derivative of Indirect Security (Instr. 3) or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) Code (Instr. 8) Derivative Securities (Month/Day/Year) Securities Underlying Security (Instr. 5) Securities Beneficially Form: Direct (D) Beneficial Ownership Acquired or Indirect (I) (Instr. 4) Derivative Derivative Owned (Instr. 4) (A) or Disposed Security (Instr. 3 and 4) Security Following Reported of (D) (Instr. 3, 4 Transaction(s) (Instr. 4) and 5) Amount Number Expiration Date of Code v (A) (D) Exercisable Date Title Shares

Explanation of Responses:

1. Shares withheld for payment of tax liability upon vesting of restricted shares granted under the Capital Southwest Corporation 2010 Restricted Stock Award Plan. This withholding transaction was approved by the Compensation Committee of Capital Southwest's Board of Directors in accordance with Rule 16b-3(d)(1) of the Securities Exchange Act of 1934 (the "Act"), and as such, the sale is exempt from section 16(b) of the Act pursuant to Rule 16b-3(e) promulgated thereunder.

## Remarks:

<u>Joshua S. Weinstein</u>
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<u>11/17/2021</u>

\*\* Signature of Reporting Person Date

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

\* 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.

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.