

Alcentra Capital Corp
Form 4
May 08, 2015

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 *
Bank of New York Mellon Corp

(Last) (First) (Middle)

ONE WALL STREET

(Street)

NEW YORK, NY 10286

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

Alcentra Capital Corp [ABDC]

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

05/06/2015

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)
Common Stock	05/06/2015		P ⁽¹⁾	3,700 A	\$ 13.68 1,682,386	I	See footnote (1)
Common Stock	05/07/2015		P ⁽²⁾	2,175 A	\$ 13.7 1,684,561	I	See footnote (2)

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

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SEC 1474
(9-02)

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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 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 Benef 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
Bank of New York Mellon Corp ONE WALL STREET NEW YORK, NY 10286		X		
BNY Alcentra Group Holdings, Inc. 10 GRESHAM STREET LONDON, X0 EC2V 7JD		X		

Signatures

/s/ Steven Levinson, Attorney-In-Fact for BNY Alcentra Group Holdings, Inc. 05/08/2015

__Signature of Reporting Person

Date

/s/ Marc Frimet, Attorney-In-Fact for The Bank of New York Mellon Corporation 05/08/2015

__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).

- 781 of these shares were acquired by Alcentra NY LLC and 2,919 of these shares were acquired by Alcentra Ltd. pursuant to a Rule 10b5-1 trading plan adopted by them on March 23, 2015. Entities controlled by The Bank of New York Mellon Corporation and BNY
- (1) Alcentra Group Holdings, Inc. are the direct and indirect parent companies of Alcentra NY LLC and Alcentra Ltd. As a result, The Bank of New York Mellon Corporation and BNY Alcentra Group Holdings, Inc. are each deemed to have an indirect pecuniary interest in the reported shares.
- (2) 459 of these shares were acquired by Alcentra NY LLC and 1,716 of these shares were acquired by Alcentra Ltd. pursuant to a Rule 10b5-1 trading plan adopted by them on March 23, 2015. Entities controlled by The Bank of New York Mellon Corporation and BNY Alcentra Group Holdings, Inc. are the direct and indirect parent companies of Alcentra NY LLC and Alcentra Ltd. As a result, The Bank of New York Mellon Corporation and BNY Alcentra Group Holdings, Inc. are each deemed to have an indirect pecuniary interest in the

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reported shares.

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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