SEC Form 4

FORM 4

Check this box if no longer subject

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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to Section 16	b. Form 4 or Form 5 lay continue. See b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19 or Section 30(h) of the Investment Company Act of 1940	Estimated ave hours per resp	8		
1. Name and Address of Reporting Person [*] Brown Kyle Steven			2. Issuer Name and Ticker or Trading Symbol <u>Trinity Capital Inc.</u> [TRIN]	5. Relationship of (Check all applica X Director	able)	rson(s) to Issuer 10% Owner Other (specify	
	(First) Y CAPITAL IN REET, 3RD FL(3. Date of Earliest Transaction (Month/Day/Year) 09/15/2021	below)	ctor, President	below)	
(Street) PHOENIX (City)	AZ (State)	85004 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	Line) X Form file	int/Group Filing ed by One Repor ed by More than	0	

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

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1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		ransaction Disposed Of (D) (Instr. 3, 4 an Code (Instr. 5)		l (A) or . 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)		(instr. 4)
Common Stock	09/15/2021		A ⁽¹⁾⁽²⁾		204,793	A	\$ <mark>0</mark>	442,431 ⁽³⁾	D	
Common Stock								6,800	I	By The Kyle and Amy Brown Family Trust, dated February 4, 2019
Common Stock								10,825 ⁽³⁾	Ι	By KBIZ Corp., which Mr. K. Brown solely owns and controls

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

Explanation of Responses:

1. Restricted shares issued under the 2019 Trinity Capital Inc. Long Term Incentive Plan.

2. Such restricted shares shall vest pro rata over the twelve full calendar quarters immediately following the award date of September 15, 2021.

3. Includes shares acquired pursuant to Trinity Capital Inc.'s distribution reinvestment plan

Remarks:

Sarah Stanton is signing on behalf of Mr. K. Brown pursuant to the power of attorney dated September 17, 2021, which is filed herewith as Exhibit 24. Exhibit 24 Exhibit List: - Power of Attorney

/s/ Sarah Stanton, on behalf of 09/17/2021 Kyle S. Brown

** 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.

Power of Attorney

Know all by these presents, that the undersigned hereby constitutes and appoints each of Steven L. Brown, David Lund, and Sarah Stanton, signing singly and with full power of substitution, the undersigned's true and lawful attorney-in-fact to:

- (1) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the U.S. Securities and Exchange Commission (the "SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required by Section 16(a) of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), or any rule or regulation of the SEC;
- (2) execute for and on behalf of the undersigned, in the undersigned's capacity as an officer and/or director of Trinity Capital Inc. (the "Company"), Forms 3, 4, and 5 in accordance with Section 16(a) of the Exchange Act and the rules thereunder, and any other forms or reports the undersigned may be required to file in connection with the undersigned's ownership, acquisition, or disposition of securities of the Company;
- (3) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4, or 5, any amendment or amendments thereto, or any other form or report, and timely file such form or report with the SEC and any stock exchange or similar authority; and
- (4) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorney-in-fact, in serving in such capacity at the request of the undersigned, is not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Exchange Act.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4, and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorney-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this <u>17th</u> day of September, 2021.

/s/ Kyle S. Brown Kyle S. Brown