SEC Form 3 FORM 3

# UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

3235-

Estimated average burden hours per response: 0.5

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

1. Name and Address of Reporting Person <sup>*</sup> Echard Susan	2. Date of E Requiring S (Month/Day 03/16/202	tatement /Year)	3. Issuer Name <b>and</b> Ticker of <u>Trinity Capital Inc.</u>	<b>a</b> ,			
(Last) (First) (Middle) C/O TRINITY CAPITAL INC. 3075 WEST RAY ROAD, SUITE 525 (Street) CHANDLER AZ 85226 (City) (State) (Zip)			4. Relationship of Reporting Issuer (Check all applicable) Director X Officer (give title below) CFO, Treasurer & S	10% C Other below)	wner (specify	A Person	/Year) int/Group Filing e Line) by One Reporting by More than One
Table I - Non-Derivative Securities Beneficially Owned							
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. \$)	3. Owne Form: D (D) or II (I) (Inst	Direct (	4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock			16,666	]	[ ]	By the Susan L. Echard IRA.	
Table II - Derivative Securities Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)							
1 Title of Devivertive Converte (In-ty, 4)	2 Data Evan	isable and		ouritioo	4.	5.	6. Nature of Indirect Beneficial Ownership (Instr. 5)
1. Title of Derivative Security (Instr. 4)	2. Date Exercised Expiration Da (Month/Day/Y	ate	3. Title and Amount of Se Underlying Derivative Se (Instr. 4)		4. Convers or Exerc Price of	ion Ownership ise Form:	Indirect Beneficial Ownership (Instr.

#### Explanation of Responses:

#### **Remarks:**

(1) Chief Financial Officer, Treasurer and Secretary. (2) Scott Harvey is signing on behalf of Susan Echard pursuant to a power of attorney dated March 16, 2020, which is filed herewith as Exhibit 24. Exhibit 24 - Power of Attorney

> /s/ Scott Harvey, on behalf 03/16/2020 of Susan Echard (2)

> > Date

\*\* Signature of Reporting Person

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 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.

OMB Number: 0104

### **Power of Attorney**

Know all by these presents, that the undersigned hereby constitutes and appoints of Steven L. Brown and Scott Harvey, 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 attorneyin-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 attorneyfact'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 16th day of March, 2020.

/s/ Susan Echard Susan Echard