SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number:	IB Number: 3235-0287						
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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

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 [*] Zacharia Michael		g Person [*]	2. Issuer Name and Ticker or Trading Symbol <u>Trinity Capital Inc.</u> [TRIN]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Zacharia M	<u>ilcnaei</u>			X Director 10% Owner				
				Officer (give title Other (specify				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 09/15/2021	below) below)				
C/O TRINIT	Y CAPITAL IN	IC.	00/10/2021					
1 N 1ST ST	REFT 3RD FL	OOR						
1 N. 1ST STREET, 3RD FLOOR			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street)				X Form filed by One Reporting Person				
PHOENIX	AZ	85004		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 (I 8)				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	09/15/2021		A ⁽¹⁾⁽²⁾		3,033	A	\$ <mark>0</mark>	11,793	D	
Common Stock								11,500	Ι	By The 2001 Michael E and Debra L Zacharia Trust, dated June 15, 2001
Common Stock								13,500	Ι	By The 2001 Michael E and Debra L Zacharia Trust, dated June 15, 2001

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

Explanation of Responses:

1. Restricted shares issued under the Trinity Capital Inc. 2019 Non-Employee Director Restricted Stock Plan.

2. Such restricted shares shall vest in full on the earlier of (1) September 15, 2022 or (2) the date immediately preceding the next annual meeting of stockholders.

Remarks:

Sarah Stanton is signing on behalf of Mr. Zacharia pursuant to the power of attorney dated December 31, 2020, which was previously filed with the Securities and Exchange Commission as an exhibit to the Form 3 Mr. Zacharia filed on December 31, 2020.

<u>/s/ Sarah Stanton, on behalf of</u> <u>Michael Zacharia</u> <u>09/17/2021</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.