CAPITAL SOUTHWEST CORP

Form 5/A May 15, 2017

FORM 5

OMB APPROVAL

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

OMB 3235-0362 Number: January 31,

no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

Check this box if

Expires: 2005 Estimated average burden hours per

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

response... 1.0

See Instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 1(b). Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

Reported 30(h) of the Investment Company Act of 1940 Form 4

Transactions Reported

1. Name and Address of Reporting Person * 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to Issuer Moab Capital Partners LLC Symbol CAPITAL SOUTHWEST CORP

(Check all applicable) [CSWC]

(Middle) 3. Statement for Issuer's Fiscal Year Ended (Last) (First) Director _X__ 10% Owner Officer (give title Other (specify (Month/Day/Year)

below) below) 03/31/2017

15 EAST 62ND STREET

(Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Reporting

> Filed(Month/Day/Year) (check applicable line) 02/14/2017

NEW YORK, Â NYÂ 10065

Form Filed by One Reporting Person _X_ 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 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Acquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 3, 4 and 5) Owned at end Indirect (I) Ownership (Instr. 8) of Issuer's (Instr. 4) (Instr. 4) (A) Fiscal Year or (Instr. 3 and 4)

Amount (D) Price

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

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 control number.

SEC 2270 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	Derivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired (A)		

Edgar Filing: CAPITAL SOUTHWEST CORP - Form 5/A

	Derivative Security				or Disposed of (D) (Instr. 3, 4, and 5)					
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Put Option (Right to Sell)	\$ 12.5	06/17/2016	Â	J <u>(1)</u>	Â	1,000	01/15/2016	06/17/2016	Common Stock	100,00 (2)

Reporting Owners

Reporting Owner Name / Address	Relationships					
Troporting o where runner, raunress	Director	10% Owner	Officer	Other		
Moab Capital Partners LLC 15 EAST 62ND STREET NEW YORK, NY 10065	Â	ÂX	Â	Â		
Moab Partners LP 15 EAST 62ND STREET NEW YORK, NY 10065	Â	ÂΧ	Â	Â		
Moab GP LLC 15 EAST 62ND STREET NEW YORK, NY 10065	Â	ÂX	Â	Â		
Rothenberg Michael 15 EAST 62ND STREET NEW YORK Â NYÂ 10065	Â	ÂX	Â	Â		

Signatures

Moab Partners, L.P., By: Moab GP, LLC, its general partner, By: Moab Capital Partners, LLC, its manager, By: /s/ Michael Rothenberg					
**Signature of Reporting Person	Date				
Moab Capital Partners, LLC, By: /s/ Michael Rothenberg					
**Signature of Reporting Person	Date				
Moab GP, LLC, By: Moab Capital Partners, LLC, its manager, By: /s/ Michael Rothenberg					
**Signature of Reporting Person	Date				
/s/ Michael Rothenberg, Michael Rothenberg					
**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).
- (1) Filed only to report the expiration, unexercised, of derivative securities (put options) previously reported. The actual number of shares of Common Stock subject to the derivative put option was 100,000.

Reporting Owners 2

Edgar Filing: CAPITAL SOUTHWEST CORP - Form 5/A

Moab Capital Partners, LLC ("Moab LLC") is the investment adviser to Moab Partners, L.P. (the "Fund") and may be deemed to beneficially own the securities under Section 13(d) of the Securities Exchange Act of 1934 (the "Exchange Act"). Moab GP, LLC ("Moab GP") is the general partner of the Fund and may be deemed to beneficially own the securities under Section 13(d) of the Exchange Act. Michael M. Rothenberg is the Managing Member of Moab GP and Moab LLC and may also be deemed to beneficially own the securities under Section 13(d) of the Exchange Act. Moab LLC, Moab GP and Mr. Rothenberg disclaim beneficial ownership of the securities for purposes of Section 16 of the Exchange Act.

Â

Remarks:

Filed as an amendment solely to correct Item 3 of the previously filed Form 5.

Note: File three copies of this Form, one of which must be manually signed. If space provided is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.