

Alcentra Capital Corp  
Form 4  
May 06, 2015

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Bank of New York Mellon Corp

2. Issuer Name and Ticker or Trading Symbol  
Alcentra Capital Corp [ABDC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
05/04/2015

\_\_\_\_ Director  10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

ONE WALL STREET

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

NEW YORK, NY 10286

(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. 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	05/04/2015		P(1)	1,089 A \$ 13.7	1,673,487	I	See footnote (1)
Common Stock	05/05/2015		P(2)	5,199 A \$ 13.792	1,678,686	I	See footnote (2)

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 1474 (9-02)

Edgar Filing: Alcentra Capital Corp - Form 4

**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. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6)
--	--	--------------------------------------	--	--------------------------------	---	--	---	--	---

## 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.	05/06/2015
__Signature of Reporting Person	Date
/s/ Jennifer Lindenbaum, Attorney-In-Fact for The Bank of New York Mellon Corporation	05/06/2015
__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).
- 211 of these shares were acquired by Alcentra NY LLC and 878 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 reported shares.
- 1,097 of these shares were acquired by Alcentra NY LLC and 4,102 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 reported shares.

## Edgar Filing: Alcentra Capital Corp - Form 4

Note: File three copies of this Form, one of which must be manually signed. If space 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.