

Stellus Capital Investment Corp  
Form 4  
June 12, 2014

**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 \*  
Ladd Robert T.

2. Issuer Name and Ticker or Trading Symbol  
Stellus Capital Investment Corp [SCM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
06/10/2014

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
President and CEO

C/O STELLUS CAPITAL INVESTMENT CORP, 4400 POST OAK PARKWAY, SUITE 2200

(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

HOUSTON, TX 77027

(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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	06/10/2014		P		100 A \$ 14.22	81,096 <sup>(1)</sup>	D
Common Stock	06/10/2014		P		100 A \$ 14.225	81,196	D
Common Stock	06/10/2014		P		100 A \$ 14.235	81,296	D
Common Stock	06/10/2014		P		100 A \$ 14.24	81,396	D
	06/10/2014		P		500 A \$ 14.245	81,896	D

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Common Stock								
Common Stock	06/10/2014	P	1,200	A	\$ 14.2465	83,096	D	
Common Stock	06/10/2014	P	100	A	\$ 14.2479	83,196	D	
Common Stock	06/10/2014	P	2,800	A	\$ 14.25	85,996	D	
Common Stock	06/11/2014	P	1,523	A	\$ 13.98	87,519	D	
Common Stock	06/11/2014	P	2,000	A	\$ 13.9838	89,519	D	
Common Stock	06/11/2014	P	100	A	\$ 13.985	89,619	D	
Common Stock	06/11/2014	P	177	A	\$ 13.99	89,796	D	
Common Stock	06/11/2014	P	200	A	\$ 13.995	89,996	D	
Common Stock	06/11/2014	P	1,000	A	\$ 14	90,996	D	
Common Stock	06/11/2014	P	2,500	A	\$ 14.01	93,496	D	
Common Stock	06/11/2014	P	1,000	A	\$ 14.0299	94,496	D	
Common Stock	06/11/2014	P	3,000	A	\$ 14.0328	97,496	D	

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

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SEC 1474  
(9-02)

**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,	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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
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4, and 5)

Code	V	(A)	(D)	Date	Expiration	Title	Amount or Number of Shares
				Exercisable	Date		

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ladd Robert T. C/O STELLUS CAPITAL INVESTMENT CORP 4400 POST OAK PARKWAY, SUITE 2200 HOUSTON, TX 77027	X		President and CEO	

## Signatures

/s/ Robert T.  
Ladd

06/12/2014

\*\*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) The amount of securities beneficially owned following the reported transactions also includes an additional 1,219 shares issued under the DRIP.

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.