

CAPITAL SOUTHWEST CORP

Form SC 13D

May 01, 2019

UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

SCHEDULE 13D

Under the Securities Exchange Act of 1934

Capital Southwest Corporation

(Name of Issuer)

Common

(Title of Class of Securities)

140501107

(CUSIP Number)

(Name, Address and Telephone Number of Person Authorized to Receive Notices and Communications)

April 30, 2019

(Date of Event which Requires Filing of this Statement)

If the filing person has previously filed a statement on Schedule 13G to report the acquisition which is the subject of this Schedule 13D, and is filing this schedule because of 240.13d-1(e), 240.13d-1(f) or 240.13d-1(g), check the following box. ☐

\* The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page

The information required on the remainder of this cover page shall not be deemed to be filed for the purposes of Section 18 of the Securities Exchange Act of 1934 (the Act) or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Instructions).

CUSIP No.: 140501107

**NAME OF REPORTING PERSON:**

Sanders Morris Harris LLC

**I.R.S. IDENTIFICATION NO. OF ABOVE  
PERSON (ENTITIES ONLY)**

760224835

**CHECK THE APPROPRIATE BOX IF A  
MEMBER OF A GROUP**

☐ (a)

☐ (b)

**SEC USE ONLY**

**SOURCE OF FUNDS:**

SMH LLC in its capacity as a Broker Dealer,  
used funds provided through the accounts of  
certain of its clients to purchase the Securities  
reported as beneficially owned

**CHECK BOX IF DISCLOSURE OF LEGAL  
PROCEEDINGS IS REQUIRED PURSUANT  
TO ITEM 2(d) OR 2(e)**

☐

**CITIZENSHIP OR PLACE OF  
ORGANIZATION**

Texas

NUMBER OF	7	<b>SOLE VOTING POWER</b>
SHARES		
BENEFICIALLY	8	<b>SHARED VOTING POWER</b>
OWNED		
BY EACH	9	<b>SOLE DISPOSITIVE POWER</b>
REPORTING		
PERSON WITH	10	<b>SHARED DISPOSITIVE POWER</b>

**AGGREGATE AMOUNT BENEFICIALLY  
OWNED BY EACH REPORTING PERSON**

864,317

**CHECK BOX IF THE AGGREGATE  
AMOUNT IN ROW (11) EXCLUDES  
CERTAIN SHARES**

☐

**PERCENT OF CLASS REPRESENTED BY  
AMOUNT IN ROW (11)**

5.02%

**TYPE OF REPORTING PERSON**

14

Broker or dealer registered under Section 15 of the Act (15 U.S.C. 78c) An investment adviser in accordance with 240.13d-1(b)(1)(ii)(E)

CUSIP No.: 140501107

ITEM SECURITY AND ISSUER:

1. Capital Southwest Corporation

ITEM IDENTITY AND BACKGROUND:

2. Common Stock no par value

ITEM SOURCE AND AMOUNT OF FUNDS OR OTHER CONSIDERATION:

3. Funds provided through the accounts of certain of its clients to purchase the Securities reported as beneficially owned

ITEM PURPOSE OF TRANSACTION:

4. The Securities reported as beneficially owned were purchased by SMH LLC in its capacity as a Broker Dealer on behalf of its clients for investment purposes in the ordinary course of business.

ITEM INTEREST IN SECURITIES OF THE ISSUER:

5. none

ITEM CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER:

none

ITEM MATERIALS TO BE FILED AS EXHIBITS:

7. none

CUSIP No.: 140501107

**SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

April 30 2019 Sanders Morris Harris

By:

/s/ David Block

Name:

David Block

Title:

Operations Manager

Attention — Intentional misstatements or omissions of fact constitute Federal criminal violations (See 18 U.S.C. 1001).