GAIN Capital Holdings, Inc.

Form 4 May 24, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB APPROVAL OMB** 

Number:

3235-0287

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January 31, 2005

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**SECURITIES** 

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

(Middle)

(Zip)

5. Relationship of Reporting Person(s) to

3I CORP

Symbol GAIN Capital Holdings, Inc. Issuer

below)

[GCAP]

(Check all applicable)

(Last) (First)

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

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

400 MADISON AVENUE, 9TH

(Street)

(State)

**FLOOR** 

(City)

4. If Amendment, Date Original

05/22/2013

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

NEW YORK, NY 10017

•		1 40	16 1 - 14011-1	Derivative Sec	uiiic	s Acquii	cu, Disposcu oi,	of Deficition	y Owneu
1.Title of Security	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if	3. Transactio	4. Securities a	•	red (A)	5. Amount of Securities	6. Ownership	7. Nature of Indirect
(Instr. 3)		any (Month/Day/Year)	Code (Instr. 8)	(Instr. 3, 4 an	d 5)		Beneficially Owned	Form: Direct (D)	Beneficial Ownership
		•	,				Following Reported	or Indirect (I)	(Instr. 4)
					(A)	ъ.	Transaction(s) (Instr. 3 and 4)	(Instr. 4)	
~			Code V	Amount	(D)	Price	· ·		See
Common Stock	05/22/2013		S	150,000	D	\$ 5.5	4,718,202	I	footnote (1) (2) (3)
Common Stock	05/23/2013		S	1,200,000	D	\$ 5.35	3,518,202	I	See footnote (4)

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

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#### number.

# 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.	6. Date Exerc	cisable and	7. Titl	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ities	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
									Amount		
						Date	Expiration	Title	Or		
						Exercisable	Date	ritie	Number of		
				Codo V	(A) (D)						
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting Owner Name / Address	Director	10% Owner	Officer	Other		
3I CORP 400 MADISON AVENUE, 9TH FLOOR NEW YORK, NY 10017		X				
3i U.S. Growth Corp 400 MADISON AVENUE, 9TH FLOOR NEW YORK, NY 10017		X				
3I INVESTMENTS PLC 16 PALACE STREET LONDON, X0 SW1E 5JD		X				

## **Signatures**

/s/ Ken Hanau, as authorized signatory of 3i Corporation	05/24/2013	
**Signature of Reporting Person	Date	
/s/ Ken Hanau, as authorized signatory of 3i U.S. Growth Corporation	05/24/2013	
**Signature of Reporting Person	Date	
/s/ Alastair Richardson, as authorized signatory of 3i Investments plc	05/24/2013	
**Signature of Reporting Person	Date	

Reporting Owners 2

### **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).
  - Consists of 2,477,140 shares owned directly by 3i U.S. Growth Partners LP ("Growth Partners"), 162,476 shares owned directly by 3i Growth Capital (USA) D LP ("Growth Capital D"), 1,090,394 shares owned directly by 3i Growth Capital (USA) E LP ("Growth Capital E"), 162,476 shares owned directly by 3i Growth Capital (USA) P LP ("Growth Capital P") and 825,716 shares owned directly by
- (1) Mayflower L.P. ("Mayflower"). 3i U.S. Growth Corporation is the general partner of Growth Partners, Growth Capital D, Growth Capital E and Growth Capital P (together, the "Growth Funds") and has investment authority over the shares held by such Growth Funds. 3i Corporation is the manager of the Growth Funds that directly own the reported securities. Investment and divestment decisions are made by the board of directors of 3i Corporation, which is an indirect wholly owned subsidiary of 3i Group plc ("3i Group plc"), a public company listed on the London Stock Exchange. (Continued in Footnote 2)
  - As a result, 3i Corporation, as manager of each of the Growth Funds, and 3i U.S. Growth Corporation, as general partner of each of the Growth Funds, may be deemed to have voting and dispositive power with respect to the shares of common stock held by the Growth Funds. 3i Investments plc is the manager of Mayflower and has investment authority over the shares held by Mayflower and may be
- (2) deemed to have voting and dispositive power with respect to the shares of common stock held by Mayflower. Each of 3i U.S. Growth Corporation and 3i Investments plc is an indirect wholly-owned subsidiary of 3i Group. 3i Group is the direct or indirect beneficial owner of all general partnership and limited partnership interests in Growth Capital D, Growth Capital P and Mayflower. 3i Group is an indirect limited partner in Growth Capital E and Growth Partners. (Continued in Footnote 3)
- (3) Each of 3i Corporation, 3i U.S. Growth Corporation, 3i Investments plc and 3i Group disclaims beneficial ownership of the shares, except to the extent of its pecuniary interest, if any, therein.
- Consists of 1,847,118 shares owned directly by Growth Partners, 121,153 shares owned directly by Growth Capital D, 813,069 shares owned directly by Growth Capital E, 121,153 shares owned directly by Growth Capital P and 615,709 shares owned directly by Mayflower.

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.