

Edgar Filing: Oxford Lane Capital Corp. - Form SC 13G

Oxford Lane Capital Corp.
Form SC 13G
December 15, 2014

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

SCHEDULE 13G

Under the Securities Exchange Act of 1934

Oxford Lane Capital Corporation

(Name of Issuer)

Preferred Stock

(Title of Class of Securities)

691543201

(CUSIP Number)

Oxford Lane Capital Corporation
8 Sound Shore Drive, Suit 225 Greenwich, CT 06830
(203) 983-5275

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

December 14, 2014

(Date of Event which Requires Filing this Statement)

Check the appropriate box to designate the rule pursuant to which the Schedule is filed:

- ☒ Rule 13d-1(b)
☐ Rule 13d-1(c)
☐ Rule 13d-1(d)

*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 the disclosures provided in prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("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

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Notes).

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SEC 1745 (10-88)

SCHEDULE 13G

CUSIP NO. 691543201

1. NAME OF REPORTING PERSON
S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON

Robert Forster

2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* (a) / /.
(b) / /.

3. SEC USE ONLY

4. CITIZENSHIP OR PLACE OF ORGANIZATION
United States

5.	SOLE VOTING POWER 40,753
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NUMBER OF

SHARES
BENEFICIALLY
OWNED BY

6.	SHARED VOTING POWER 0
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EACH
REPORTING
PERSON

7.	SOLE DISPOSITIVE POWER 40,753
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WITH

8.	SHARED DISPOSITIVE POWER 0
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9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
40,753

10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN
SHARES* / /.

11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9
6.79%%

12. TYPE OF REPORTING PERSON*
individual

*SEE INSTRUCTION BEFORE FILLING OUT!

STATEMENT ON SCHEDULE 13G

Item 1(a). Name of Issuer:

Oxford Lane Capital Corporation

Item 1(b). Address of Issuer's Principal Executive Offices:

Oxford Lane Management
8 Sound Shore Drive, Suite 225
Greenwich, CT 06830

Item 2(a). Names of Person Filing:

Robert Forster

Item 2(b). Address of Principal Business Office or, if none, Residence:

4144 249th St, Little Neck, NY 11363

Item 2(c). Citizenship:

United States

Item 2(d). Title of Class of Securities:

Preferred Stock, Series 2017

Item 2(e). CUSIP Number:

691543201

Item 3. If this statement is filed pursuant to Rules 13d-1(b), or

13d-2(b), check whether the person filing is a:

(a) / / Broker or Dealer registered under Section 15 of the Act
(b) / / Bank as defined in section 3(a)(6) of the Act
(c) / / Insurance Company as defined in section 3(a)(19) of the Act
(d) / / Investment Company registered under section 8 of the Investment Company Act
(e) / / Investment Advisor registered under section 203 of the Investment Advisers Act
(f) / / Employee Benefit Plan, Pension Fund which is subject to the provisions of the Employee Retirement Income Security Act of 1974 or Endowment Fund;
see Sec.240.13d-1(b)(ii)(F) (Note: See Item 7)
(g) / / Parent Holding Company, in accordance with Sec.240.13d-1(b)(ii)(G). (Note: See Item 7)
(h) / / Group, in accordance with Sec.240.13d-1(b)(ii)(H).

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Item 4. Ownership:

(a) Amount Beneficially Owned: 40,753 as of 14th December 2014

(b) Percent of Class: 6.79%

(c) Number of shares as to which such person has:

(i) sole power to vote or to direct the vote: 40,753

(ii) shared power to vote or to direct the vote: 0

(iii) sole power to dispose or to direct the disposition of:
40,753

(iv) shared power to dispose or to direct the disposition of:
0

Item 5. Ownership of Five Percent or Less of a Class:

no

Item 6. Ownership of More than 5 Percent on Behalf of Another Person:

Not Applicable

Item 7. Identification and Classification of the Subsidiary Which

Acquired the Security Being Reported on By the Parent Holding

Company:

Not Applicable

Item 8. Identification and Classification of Members of the Group:

Not Applicable

Item 9. Notice of Dissolution of Group:

Not Applicable

Item 10. Certification:

By signing below, I certify that, to the best of my knowledge and belief, the securities referred to above were acquired in the ordinary course of business and were not acquired for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired in connection with or as a participant in any transaction having such purposes or effect.

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SIGNATURE

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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.

Dated: 14th December 2014

/s/ Robert Forster

Name: Robert Forster