

Alala Joseph B III
 Form 4
 August 15, 2017

FORM 4

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

OMB APPROVAL

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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 *
 Alala Joseph B III

(Last) (First) (Middle)

C/O CAPITALA FINANCE
 CORP., 4201 CONGRESS
 STREET, SUITE 360

(Street)

CHARLOTTE, NC 28209

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
 Capitala Finance Corp. [CPTA]

3. Date of Earliest Transaction
 (Month/Day/Year)
 08/11/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
 See Remarks

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

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)			
				(A) or (D)	Price					
			Code	V	Amount					
Common Stock	08/11/2017		P		9,611	A	\$ 8.9998	9,611	D	
Common Stock					442,294.08			<u>(5)</u>	I	via Capitala Restricted Shares I, LLC
Common Stock					305,280.17			<u>(5)</u>	I	via Capitala Private Investments, LLC

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Common Stock		2,705 <u>(5)</u>	I	via Capitala Transaction Corp.
Common Stock		972 <u>(5)</u>	I	via CapitalSouth Corporation
Common Stock		100 <u>(5)</u>	I	via Capitala Investment Advisors, LLC

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

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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	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Awards	<u>(3)</u> <u>(4)</u> <u>(5)</u>					<u>(3)</u> <u>(4)</u> <u>(5)</u>	<u>(3)</u> <u>(4)</u> <u>(5)</u>	Common Stock, par value \$0.01 per share	140,357.68 <u>(3)</u> <u>(4)</u> <u>(5)</u>
Awards	<u>(1)</u> <u>(2)</u> <u>(4)</u>					<u>(1)</u> <u>(2)</u> <u>(4)</u>	<u>(1)</u> <u>(2)</u> <u>(4)</u>	Common Stock, par value \$0.01 per share	442,294.08 <u>(1)</u> <u>(2)</u> <u>(4)</u>

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

