

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

FORM 8-K

Current Report Pursuant to Section 13 or 15(d) of
the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported):

October 8, 2019

CAPITALA FINANCE CORP.

(Exact name of registrant as specified in its charter)

Maryland
(State or other jurisdiction
of incorporation)

814-01022
(Commission File Number)

90-0945675
(I.R.S. Employer Identification No.)

4201 Congress St., Suite 360
Charlotte, NC 28209
(Address of principal executive offices and zip code)

Registrant's telephone number, including area code: **(704) 376-5502**

Check the appropriate box below if the Form 8-K is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Securities registered pursuant to Section 12(b) of the Act:

<u>Title of Each Class</u>	<u>Trading symbol(s)</u>	<u>Name of Each Exchange on Which Registered</u>
Common Stock, par value \$0.01 per share	CPTA	NASDAQ Global Select Market
5.75% Convertible Notes due 2022	CPTAG	NASDAQ Capital Market
6.00% Notes due 2022	CPTAL	NASDAQ Global Select Market

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (17 CFR §230.405) or Rule 12b-2 of the Securities Exchange Act of 1934 (17 CFR §240.12b-2).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On October 8, 2019, the Board of Directors of Capitala Finance Corp. (the “*Company*”) appointed Kevin A. Koonts to replace Richard G. Wheelahan III as the Chief Compliance Officer and Secretary of the Company. Mr. Koonts will also continue to serve as the Company’s Chief Accounting Officer and Treasurer.

Mr. Koonts: (i) was not appointed as the Company’s Chief Compliance Officer and Secretary pursuant to any arrangement or understanding with any other person; (ii) does not have a family relationship with any of the Company’s directors or other executive officers; (iii) has not engaged, since the beginning of the Company’s last fiscal year, nor proposes to engage, in any transaction in which the Company was or is a participant for which the amount involved exceeds \$120,000; and (iv) has not entered into, nor expects to enter into, any material plan, contract, arrangement, grant or award in connection with his appointment as the Company’s Chief Compliance Officer and Secretary.

Mr. Koonts, 34, has served as the Chief Accounting Officer and Treasurer of the Company since February 2019. Previously, Mr. Koonts served as the Company’s Controller since 2013. Prior to joining the Company, Mr. Koonts served as an audit manager in Dixon Hughes Goodman LLP’s financial services practice. Mr. Koonts graduated from the University of North Carolina at Chapel Hill with a Bachelor of Science in Business Administration and a Masters in Accounting. Mr. Koonts is a Certified Public Accountant.

On October 15, 2019, the Company issued a press release announcing this change, the text of which is attached hereto as Exhibit 99.1

Item 9.01 Financial Statements and Exhibits.

- (a) Not applicable.
- (b) Not applicable.
- (c) Not applicable.
- (d) Exhibits.

<u>Exhibit No.</u>	<u>Description</u>
99.1	Press release dated October 15, 2019

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Date: October 15, 2019

CAPITALA FINANCE CORP.

By: /s/ Stephen A. Arnall
Stephen A. Arnall
Chief Operating Officer and
Chief Financial Officer



Capitala Group Announces Kevin Koonts as Chief Compliance Officer

CHARLOTTE, N.C., October 15, 2019 --(Globe Newswire) -- Capitala Group ("Capitala"), a provider of capital to lower middle market companies, announced today the appointment of Kevin Koonts as the Chief Compliance Officer and Secretary of Capitala Finance Corp. (the "Company"), effective October 8, 2019.

Mr. Koonts, who currently serves as the Chief Accounting Officer and Treasurer of the Company, will remain in these roles in addition to his new duties as Chief Compliance Officer and Secretary. Mr. Koonts has served as the Chief Accounting Officer and Treasurer of the Company since February 2019. Previously, Mr. Koonts served as the Company's Controller since 2013.

Prior to joining Capitala Group in 2013, Mr. Koonts was an audit manager at Dixon Hughes Goodman LLP, primarily serving southeastern financial institutions. Mr. Koonts graduated from the University of North Carolina at Chapel Hill with a Bachelor of Science in Business Administration and a Masters in Accounting. Mr. Koonts is a Certified Public Accountant.

About Capitala Finance Corp.

Capitala Finance Corp. is a business development company that invests primarily in first and second lien loans, subordinated debt and, to a lesser extent, equity securities issued by lower and traditional middle market companies. The Company is managed by Capitala Investment Advisors, LLC. For more information on the Company, or to automatically receive email notifications of Company financial information, press releases, stock alerts, or other corporate filings, please visit the [Investor Relations](#) section of our website.

About Capitala Group

Capitala Group is a \$3.0 billion asset management firm that has been providing capital to lower middle market companies throughout North America for twenty years. Since our inception in 1998, Capitala has invested in over 150 companies and seeks to partner with strong management teams to create value and generate superior risk-adjusted returns for our individual and institutional investors. For more information, visit our website at www.CapitalaGroup.com.

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SOURCE: Capitala Finance Corp.
