Capital Financial Holdings, Inc Form 4

October 22, 2013

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

OMB APPROVAL

Section 16. Form 4 or Form 5 obligations may continue.

See Instruction

Check this box

if no longer

subject to

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 * Dihle Gordon D.

(State)

2. Issuer Name and Ticker or Trading

Symbol

Capital Financial Holdings, Inc

[CPFH]

5. Relationship of Reporting Person(s) to

Issuer

below)

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year)

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

37990 COMANCHE CREEK ROAD 07/12/2013

(Street)

(Zip)

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

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

KIOWA, CO 80117

(City)

(City)	(State) (Table Table	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securing (A) or Di (Instr. 3,	spose	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/25/2013		Code V P	Amount 2	(D) A	Price \$ 1,093	(Instr. 3 and 4) 9 (1)	D	
Common Stock	09/20/2013		P	6	A	\$ 1,093	78 <u>(2)</u>	I	Held in the name of

Gordon Dihle Charles Schwab & Co Inc Cust IRA Rollover Account.

								(3)
Common Stock	09/23/2013	P	4	A	\$ 1,093	82	I	Held in the name of Gordon Dihle Charles Schwab & Co Inc Cust IRA Rollover Account.
Common Stock	09/24/2013	P	4	A	\$ 1,093	86	I	Held in the name of Gordon Dihle Charles Schwab & Co Inc IRA Rollover Account.
Common Stock	09/25/2013	P	4	A	\$ 1,093	90	I	Held in the name of Gordon Dihle Charles Schwab & Co Inc Cust IRA Rollover Account.
Common Stock	07/12/2013	Р	735	A	\$ 0.09	174,935	I	Held in the name of Gordon Dihle Ttee Dihle Chattel Trust. (4)
Common Stock	08/13/2013	P	5,065	A	\$ 0.092	180,000	I	Held in the name of Gordon Dihle Ttee Dihle Chattel Trust. (4)

Common Stock	10/18/2013	P	277	A	\$ 1,500	295 <u>(5)</u>	I	Held in the name of Gordon Dihle Ttee Dihle Chattel Trust. (4)
Common Stock	09/17/2013	P	4	A	\$ 1,093	163 <u>(6)</u>	I	Held in the name of Antelope Creek Realty & Energy Services, LLC. (7)
Common Stock	09/18/2013	P	3	A	\$ 1,093	166	I	Held in the name of Antelope Creek Realty & Energy Services, LLC. (7)
Common Stock	10/01/2013	P	1	A	\$ 1,093	167	I	Held in the name of Antelope Creek Realty & Energy Services, LLC. (7)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control 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 Exercisable and	7. Title and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration Date	Amount of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/Year)	Underlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e	Securities	(Instr. 5)	Bene
	Derivative				Securities	}	(Instr. 3 and 4)		Own
	Security				Acquired				Follo
					(A) or				Repo
					Disposed				Trans
					of (D)				(Instr

Edgar Filing: Capital Financial Holdings, Inc - Form 4

(Instr. 3, 4, and 5)

Date Expiration Title Number of Code V (A) (D)

Exercisable Date Title Of Shares

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

Dihle Gordon D.

37990 COMANCHE CREEK ROAD X

KIOWA, CO 80117

Signatures

Gordon Dihle 10/22/2013

**Signature of Reporting Person Date

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).
- (1) Issuer effectuated a 1:10,000 reverse stock split on August 20, 2013 resulting in the number of shares beneficially owned by Reporting Person prior to this transaction reduced to 7 shares.
- (2) Issuer effectuated a 1:10,000 reverse stock split on August 20, 2013 resulting in the number of shares beneficially owned by the Reporting Person prior to this transaction reduced to 72 shares.
- (3) Held in the name of Gordon Dihle Charles Schwab & Co Inc Cust IRA Rollover Account, which account is controlled by Reporting Person.
- (4) Held in the name of Gordon Dihle, TTEE, Dihle Chattel Trust U/A Dtd 8/31/2005, which Account is controlled by Reporting Person.
- (5) Issuer effectuated a 1:10,000 reverse stock split on August 20, 2013 resulting in the number of shares beneficially owned by Reporting Person prior to this transaction reduced to 18 shares.
- (6) Issuer effectuated a 1:10,000 reverse stock split on August 20, 2013 resulting in the number of shares beneficially owned by Reporting Person prior to this transaction reduced to 159 shares.
- (7) Held in the name of Antelope Creek Realty & Energy Services, LLC, a subsidiary of Dihle Chattel Trust, which Trust is controlled by Reporting Person.

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.

Reporting Owners 4