

SIMBERG BRUCE

Form 4/A

August 27, 2012

**FORM 4**
**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

OMB  
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2005  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SIMBERG BRUCE

2. Issuer Name **and** Ticker or Trading  
Symbol  
21ST CENTURY HOLDING CO  
[TCHC]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
14050 N.W. 14 STREET, SUITE  
180

3. Date of Earliest Transaction  
(Month/Day/Year)  
08/21/2012

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☒ Other (specify  
Chairman of the Board

(Street)  
SUNRISE, FL 33323

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
08/23/2012

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

(City) (State) (Zip)

**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)
			Code	V	Amount (D)	Price	
Common Stock	08/21/2012		P		1,000	A \$ 5.0428	280,865 D
Common Stock	08/21/2012		P		1,000	A \$ 5.0884	281,865 D
Common Stock	08/21/2012		P		1,000 (3)	A \$ 5.09	282,865 D
Common Stock	08/21/2012		P		1,000	A \$ 5.094	283,865 D
Common Stock	08/21/2012		P		1,000	A \$ 5.0979	284,865 D

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Common Stock	08/21/2012	P	1,000	A	\$ 5.0999	285,865	D
Common Stock	08/21/2012	P	2,500	A	\$ 5.1	288,365	D
Common Stock	08/21/2012	P	400	A	\$ 5.1599	288,765	D
Common Stock	08/21/2012	P	2,000	A	\$ 5.1995	290,765 <sup>(3)</sup>	D

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

**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. De Se (In
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Options	\$ 13.17					12/06/2008 <sup>(1)</sup>	12/06/2013	Common Stock	500	
Options	\$ 12.58					01/30/2009 <sup>(1)</sup>	01/30/2014	Common Stock	4,500	
Options	\$ 4.73					01/02/2010 <sup>(2)</sup>	01/02/2019	Common Stock	25,000	
Options	\$ 2.45					08/22/2012 <sup>(2)</sup>	08/22/2021	Common Stock	10,000	
Options	\$ 4.4					04/06/2013 <sup>(2)</sup>	04/06/2022	Common Stock	15,000	

## Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director   10% Owner   Officer   Other

SIMBERG BRUCE  
14050 N.W. 14 STREET  
SUITE 180  
SUNRISE, FL 33323

X

Chairman of the Board

## Signatures

/s/ Bruce F.  
Simberg

08/27/2012

\_\_\_\_\_  
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) The options vest 20% per year.
- (2) The options vest 33 1/3% per year.

- This amended Form 4 is being filed solely to correct information previously provided in error by the Reporting Person's broker. There
- (3) were 1,000 shares purchased at \$5.09 (not 2,000 as previously reported). The actual total number of shares purchased on 8/21/12 was 10,900 (not 11,900 as previously reported). The Reporting Person has not sold any of these shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.  
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