

FULL HOUSE RESORTS INC

Form 4

August 29, 2016

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
LEE DANIEL R

(Last) (First) (Middle)

**C/O FULL HOUSE RESORTS,
INC., 4670 S. FORT APACHE
ROAD, SUITE 190**

(Street)

LAS VEGAS, NV 89147

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
**FULL HOUSE RESORTS INC
[FLL]**

3. Date of Earliest Transaction
(Month/Day/Year)
08/25/2016

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)
Chief Executive Officer

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. 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	(A) or (D)	Price		
Common Stock <u>(1)</u>	08/25/2016		J <u>(2)</u>		100,236	D	<u>(1)</u>	133,133	D
Common Stock <u>(1)</u>	08/25/2016		J <u>(3)</u>		31,943	D	<u>(1)</u>	101,190	D
Common Stock <u>(1)</u>	08/25/2016		J <u>(4)</u>		8,100	D	<u>(1)</u>	93,090	D
Common Stock <u>(1)</u>	08/25/2016		J <u>(2)</u>		100,236	A	<u>(1)</u>	193,326	I
	08/25/2016		J <u>(3)</u>		31,943	A	<u>(1)</u>	225,269	I
									By Trust
									By Trust

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Common
Stock (1)

Common
Stock (1)

08/25/2016

J(4)

8,100

A

11

233,369

I

As
Custodian
for
Daughter

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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director

10% Owner

Officer

Other

LEE DANIEL R
C/O FULL HOUSE RESORTS, INC.
4670 S. FORT APACHE ROAD, SUITE 190
LAS VEGAS, NV 89147

X

Chief Executive Officer

Signatures

/s/ Lewis A. Fanger,
Attorney-in-Fact

08/29/2016

 **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).

All transfers of shares were completed for estate planning purposes. Mr. Lee's total beneficial ownership of the common stock of Full

(1) House Resorts, Inc. (the "Company") remains unchanged. The Company's common stock was valued at \$1.85 per share, the closing price on August 24, 2016.

(2) Transfer to a subtrust for the benefit of Mr. Lee's children.

(3) Transfer to a family trust for the benefit of Mr. Lee's children.

(4) Represents a transfer of shares to an account for the benefit of Mr. Lee's daughter previously established pursuant to the Massachusetts Uniform Transfer to Minors Act.

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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