

Edgar Filing: GUMBINER ANTHONY J - Form 4

GUMBINER ANTHONY J
 Form 4
 November 08, 2001

F O R M 4

U.S. 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 Instructin 1(b)

OMB APPROVAL
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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(f) of the Investment Company Act 1940

1.Name and Address of
 Reporting Person*

2.Issuer Name and Ticker
 or Trading Symbol

6.Relatio
 Person
 all App

The Hallwood Group
 Incorporated ("HWG")

Gumbiner, Anthony J.

October, 2001

X Direc

(Last) (First) (MI)

3.IRS or Soc.Sec.No.
 of Reporting Person
 (Voluntary)

4.Statement for
 Month/Year

X Offic

 (Give
 belo

c/o Le Roccabella
 24 Princess Grace Ave.

Chairma

(Street)

5.If Amendment,
 Date of Original
 (Month/Year)

7.Ind
 Fil
 Lin

Monte Carlo 98000, Monaco

(City) (State) (Zip)

X

Table I - Non-Derivative Securities Acquired, Disposed of or Beneficially Owned

1. Title of Security
 (Inst.3)

2. Transaction
 Date
 (Month/
 Day/Yr)

3. Transaction
 Code
 (Instr.8)

4. Se
 or
 (I

Code V

Am

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|--|--|--|--|
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| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| 5. Amount of Securities Beneficially Owned at at End of Month (Inst. 3 & 4) | 6. Ownership Form Direct (D) or Indirect (I) | 7. Nature Beneficial (Inst. 3 & 4) |
|--|--|--|
| (1) | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Reminder: Report on a separate line for each class securities owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Page 1

FORM 4 (continued)
Page 2

Table II - Derivative Securities Acquired, Disposed of,
or Beneficially Owned (e.g., puts, calls,
warrants, options, convertible security)

| 1. Title of Derivative Security (Instr.3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month (Day/Year) |
|--|--|---|
| | | |
| | | |
| | | |
| | | |
| | | |

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| | | |
|---------------------------------|---------|---------|
| Option to Purchase Common Stock | \$10.31 | 5/19/00 |
| ----- | ----- | ----- |
| ----- | ----- | ----- |
| ----- | ----- | ----- |
| ----- | ----- | ----- |
| ----- | ----- | ----- |
| ----- | ----- | ----- |

5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 & 5)

6. Date Exercisable & Expiration Date (Mon./Day/Year)

7. Title & Amount Underlying Security (Inst. 3 & 4)

| (A) | (D) | Date Exercisable | Expiration Date | Title |
|--------|-------|------------------|-----------------|--------------|
| 66,300 | | Immed. | 5/19/10 | Common Stock |
| ----- | ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- | ----- |

8. Price of Derivative Security (Inst.5)

9. Number of Derivative Securities Beneficially Owned at end of Month (Instr. 4)

10. Ownership Form of Derivative Security Direct (D) or Indirect (I) (Instr.4)

11.

| | | | |
|-------|---------|-------|-------|
| N/A | 150,000 | D | |
| ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- |
| ----- | ----- | ----- | ----- |

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- (1) Mr. Gumbiner is the principal officer and director of Hallwood Investments Limited ("HIL"), organized in the Jersey Islands. HIL is wholly owned by the Alpha Trust (the "Trust"), a trust organized in Switzerland. Mr. Gumbiner is a discretionary beneficiary of the Trust and has the power to remove the trustee of the Trust. The Trust, through HIL, owns 790,087 shares of common stock of The Hallwood Group Incorporated and has the right to purchase 343,949 shares of common stock upon conversion of certain convertible promissory notes.

**Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

/s/ Anthony J. Gu

Anthony J. Gu

Potential persons who are to respond to the collections of information contained in this form are not required to respond unless the form displays a currently valid OMD Number.

Page: 2 of 2