Edgar Filing: ROAMING MESSENGER INC - Form 4

| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL OMB 3235-0287 Check this box if no longer section 16. Form 4 or Form 4 or Form 4 or Form 5 Section 17(a) of the CRURITIES STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES CMB 2005 Estimated average burden hours per response. Expire: 30(b) 2015 Estimated average burden hours per response. Expire: 30(b) | ROAMING Form 4 December 0 | MESSENGER 6, 2004 | INC | | | | | | | | | |
|---|---|--------------------------------|-------------|--|---------------|--------------|---|-----------------|----------------------------|---------------|--------------|--|
| UNITED STATES DATE IN TOP CRAINED CONTINUED CONTINUED ON MUBBER Washington, D.C. 20549 Number 3235-0287 Number State Ment of Form 4 or Form 4 or Form 4 or Form 5 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Expires: January 31, 2005 Section 16, Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section response. 0.5 Section 17(a) of the Public Utility Holding Company Act of 1935 or Section response. Section 17(a) of the Public Utility Holding Company Act of 1940 (b). (Print or Type Responses) 1. Name and Address of Reporting Person 1 L. Issuer Name and Ticker or Trading Symbol Section 17(a) of the Public Utility Holding Company Act of 1940 (b). (Check all applicable) (Check all applicable) (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director (Check all applicable) -10% Owner Other (specify below) SANTA BARBARA, CA 93117 (City (State) (Zip) Table I - Non-Derivative Securities Acquired (A) S. Anount of (D) Security (Month/Day/Year) (Ascurites Acquired (A) S. An | FORM | ΠΛ | | | | | | | | OMB AF | PROVAL | |
| if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires: 2005 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations see Instruction 1(b). Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 0.5 I. Name and Address of Reporting Person ¹ 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) | UNITED STATES SECONTIES AND EXCHANGE COMMISSION | | | | | | | | OMMISSION | - | 3235-0287 | |
| Subject to STATEMENT OF CHANCES IN BENEFICIAL OWNERSHIP OF subject to Estimated average burden hours per response 2005 Section 16. SECURITIES Estimated average burden hours per response 0.5 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations 1935 or Section 0.5 Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). 30(h) of the Investment Company Act of 1940 1(b). 1940 1.5 (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer Issuer UCCIFERRI LOUIE Symbol Issuer Check all applicable) 1.5 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_ Director below) -10% Owner | | aer | | | | | | | | Expires: | - | |
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| Form 5 obligations may continue. Section 17(a) of the Public Utility Holding Company 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 (Print or Type Responses) 30(h) of the Investment Company Act of 1940 1. Name and Address of Reporting Person ⁺ 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) 50 CASTILIAN DRIVE, SUITE A 11/30/2004 | Section | 16. | | | SECUI | RITIES | | | | | | |
| obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Sectinstruction 1(b). Section 17(a) of the Public Utility Holding Company Act of 1940 (Print or Type Responses) 30(h) of the Investment Company Act of 1940 I. Name and Address of Reporting Person * UCCIFERRI LOUIE 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer ROAMING MESSENGER INC (RMSG) Check all applicable) (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X – Director | | | | a | | с ··· | г | | 4 6 6 100 4 | response 0.5 | | |
| may continue. See Instruction 1(b). 30(h) of the Investment Company Act of 1940 (Print or Type Responses) 1. Name and Address of Reporting Person [*] . UCCIFERRI LOUIE 2. Issuer Name and Ticker or Trading Symbol ROAMING MESSENGER INC [RMSG] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) | | | | | | | | • | | | | |
| 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person.* 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer UCCIFERRI LOUIE Symbol ROAMING MESSENGER INC [RMSG] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X | may con | tinue. Section 1 | | | • | • | • • | | | L | | |
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| UCCIFERRI LOUIE Symbol Issuer ROAMING MESSENGER INC [RMSG] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Officer (give tile) 10% Owner Officer (give tile) 50 CASTILIAN DRIVE, SUITE A (Street) 11/30/2004 6. Individual or Joint/Group Filing(Check Applicable Line) | (Print or Type | Responses) | | | | | | | | | | |
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| Spinor ROAMING MESSENGER INC [RMSG] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director (Month/Day/Year) -10% Owner (Difficer (give tile) -10% Owner (Difficer (give tile) 50 CASTILIAN DRIVE, SUITE A 11/30/2004 6. Individual or Joint/Group Filing(Check Applicable Line) -X_Form filed by One Reporting Person Form filed by More than One Reporting Person Form filed by More than One Reporting Person Form filed by More than One Reporting Person SANTA BARBARA, CA 93117 6. Individual or Joint/Group Filing(Check Applicable Line) (City (State) 2. Transaction Date 2. Transaction Date 2. A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Instr. 3) (Month/Day/Year) Execution Date, if any 3. 4. Securities Acquired (A) 5. Amount of 6. 6. Securities 7. Nature of Securities Beneficially Ownership Indirect Indirect (Instr. 3) (Month/Day/Year) Execution Date, if any Sa 250 000 P Sa 500 000 D (1) | | | | | | | Reporting Person(s) to | | | | | |
| (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director below) -10% Owner (Diffeer (give tille) 50 CASTILIAN DRIVE, SUITE A 11/30/2004 | UCCIFERF | Symbol | | | | | ssuer | | | | | |
| (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) | | ROAMING MESSENGER INC | | | | | (Check all applicable) | | | | | |
| So CASTILIAN DRIVE, SUITE A (Month/Day/Year) Il/30/2004 Officer (give tile bolow) Other (specify below) 50 CASTILIAN DRIVE, SUITE A 11/30/2004 6. Individual or Joint/Group Filing(Check Applicable Line) SANTA BARBARA, CA 93117 Filed(Month/Day/Year) A. Form filed by One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed any (Month/Day/Year) 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Transaction Disposed of (D) Security Owned Direct (D) Ownership Instr. 3) (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Instr. 3, 4 and 5) Securities Ownership Following or Indirect (D) Ownership 7. Nature of Indirect (D) Ownership (Instr. 4) (A) or Code V Amount (D) Price (Instr. 3, 3, 500,000, D) \$ 3, 500,000, D D (1) | | | | [RMSC | 3] | | | | (Cheek | un applicable |) | |
| 50 CASTILIAN DRIVE, SUITE A 11/30/2004 (Street) 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 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year) (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) (Month/Day/Year) (Instr. 8) Code V Amount (D) Price (A) or Code V Amount (D) Price (Instr. 3 and 4) Code V Amount (D) Price | (Last) | (First) | (Middle) | 3. Date o | of Earliest T | ransaction | | - | | | | |
| S0 CASTILIAN DRIVE, SUITE A 11/30/2004 (Street) 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 SANTA BARBARA, CA 93117 Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of Security 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any 3. 4. Securities Acquired (A) Transactionr Disposed of (D) Code (Instr. 3, 4 and 5) 5. Amount of Beneficially 6. 7. Nature of Indirect (Instr. 3) (Month/Day/Year) Execution Date, if any 3. 4. Securities Acquired (A) Transactionor Disposed of (D) Securities Ownership Indirect (Instr. 3) (Month/Day/Year) Execution Date, if any 3. 4. Securities Acquired (A) 5. Amount of Securities 6. 7. Nature of Ownership (Instr. 4) (Instr. 8) (Instr. 8) Beneficially Form: Beneficial Owneed Owneed Direct (D) Ownership Following or Indirect (Instr. 4) (Common 11/30/2004 S 250 0000 D \$ 3 500 000 D (1) | | | | | • | | | - | | | r (specify | |
| Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person | 50 CASTILIAN DRIVE, SUITE A 11/30/2004 | | | | | | | | | | | |
| SANTA BARBARA, CA 93117 | | 4. If Amendment, Date Original | | | | (| 6. Individual or Joint/Group Filing(Check | | | | | |
| SANTA BARBARA, CA 93117 — Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, Disposed of, CD Seneficially Owned 1.Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 3. 4. Securities Acquired (A) S. Amount of Code (Instr. 3, 4 and 5) 5. Amount of Securities Ownership Indirect (Instr. 4) 6. 7. Nature of Ownership Indirect (Instr. 4) (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) Owner (Instr. 3, 4 and 5) Beneficially Form: Beneficial Ownership Following or Indirect (Instr. 4) Ownership (Instr. 4) Code V Amount (D) Price (Instr. 3 and 4) (Instr. 4) (Instr. 4) Common 11/30/2004 S. 250,000 D \$ 3,500,000 D D (1) | Filed(Month/Day/Ye | | | | nth/Day/Yea | | | | | | | |
| SANTA BARBARA, CA 93117 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of (Instr. 3) 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of (Instr. 3) (Month/Day/Year) Execution Date, if any 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of (Instr. 3) (Month/Day/Year) (Instr. 8) 0wned Direct (D) Ownership Indirect (Month/Day/Year) (Month/Day/Year) (Instr. 8) 0wned Direct (D) Ownership (A) or (Instr. 3 and 4) (Instr. 4) (Instr. 4) (Instr. 4) (Code V Amount (D) Price 3. 500.000 D (1) | | | 0117 | | | | | - | | | | |
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| Security (Instr. 3) (Month/Day/Year) Execution Date, if any Transactiom Disposed of (D) Code Securities Ownership Indirect (Instr. 3) any (Month/Day/Year) (Instr. 3, 4 and 5) Beneficially Ownership Indirect (Month/Day/Year) (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership (A) or (I) Transaction(s) (I) (Instr. 4) (Code V Amount (D) Price Price Common 11/30/2004 S 250 000 D \$ 3 500 000 D (1) | 1.Title of | 2. Transaction Da | te 2A. Deen | ned | 3. | 4. Securitie | es Aca | uired (A) | 5. Amount of | 6. | 7. Nature of | |
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| $\begin{array}{cccc} (A) & Reported & (I) \\ & & & & \\ & &$ | | | (Month/L | Day/Year) | (Instr. 8) | | | | | | | |
| $\begin{array}{ccc} & & & & & \\ & & & \\ & & & \\ \hline common & & \\ 11/30/2004 & & \\ \hline S & 250\ 000 \ D & \\ \hline s & 3\ 500\ 000 \ D & \\ \hline \end{array} $ | | | | | | | | | | | (111501. 4) | |
| Code V Amount (D) Price (Instr. 3 and 4) Common $11/30/2004$ S 250,000 D \$ 3,500,000 D D (1) | | | | | | | | | | (Instr. 4) | | |
| | | | | | Code V | Amount | | Price | (Instr. 3 and 4) | | | |
| | | 11/30/2004 | | | | | D | \$ 0.265 | 3,500,000 | D (1) | | |

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.

 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) | 4. Transactio Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | 7. Titl Amou Under Secur (Instr. | int of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr |
|---|---|---|--|---|---------------------|--------------------|--|--|---|--|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

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Reporting Owners

| Reporting Owner Name / Address | | Relationships | | | | | | | |
|---|----------|---------------|-----------|---------|-------|--|--|--|--|
| | | rector | 10% Owner | Officer | Other | | | | |
| UCCIFERRI LOUIE 50 CASTILIAN DRIVE SUITE A SANTA BARBARA, CA 9 | 93117 | X | | | | | | | |
| Signatures | | | | | | | | | |
| /s/Louie Ucciferri | 11/30/20 | 004 | | | | | | | |
| <u>**</u> Signature of | Date | | | | | | | | |

Reporting Person

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) a) 500,000 shares owned directly b) 2,500,000 shares owned jointly with spouse c) 500,000 shares owned indirectly through spouse

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.