

Edgar Filing: DUNES HOTELS & CASINOS INC - Form 5

DUNES HOTELS & CASINOS INC

Form 5

February 13, 2002

U. S. SECURITIES AND EXCHANGE COMMISSION

FORM 5

☒ Check box if no longer subject to Section 16.

Form 4 or Form 5 obligations may continue.

Washington, D.C. 20549

See instruction 1(b).

☐ Form 3 Holdings Reported.

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERS

☐ Form 4 Transactions Reported.

Filed pursuant to Section 16(a) of the Securities Exchange Act of
Utility Holding Company Act of 1935 or Section 30(f) of the In

1. Name and Address of
Reporting Person*

2. Issuer Name and Ticker or Trading Symbol

6. Re
Is

Dunes Hotels and Casinos, Inc.

X Di

(Last) (First) (Middle)

3. IRS or Social Security
Number of Reporting
Person (Voluntary)

4. Statement for
Month/Year

Of
(g
b

Herfurth, James

12/2001

(Street)

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

7. Indi
(Che

225 West Oak Street

X Fo
--- Pe
--- Fo
Re

(City) (State) (Zip)

Table 1 - Non-Derivative Securities Acquired, Disposed of

Visalia, California 93291

1. Title of Security
(Instr. 3)

2. Trans-
action
date:
(Month/
Day/
Year)

3. Trans-
action
Code
(Instr. 8)

4. Securities Acquired (A)
or Disposed of (D)
(Instr. 3, 4 and 5)

5. Amount of
Securities
Beneficial
Owned at
End of Iss
Fiscal Yea
(Instr. 3
and 4)

Amount (A) or Price
(D)

No securit
beneficially

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* If the Form is filed by more than one Reporting Person, see instruction 4(b)(v).

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

(Print or Type Re

FORM 5 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned options, convertible securities)

| 1.Title of Derivative Security (Inst. 3) | 2.Conver- sion or Exercise Price of Deriv- ative Security | 3.Trans- action Date (Month/ Day/ Year) | 4.Transac- tion 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 Derivativ Security (Instr. 5) |
|---|---|--|---------------------------------------|---|--|--|---|
|---|---|--|---------------------------------------|---|--|--|---|

| (A) | (D) | Date Exer- cisable | Expira- tion Date | Title | Amount or Number of Shares |
|-----|-----|--------------------------|----------------------|-------|----------------------------------|
|-----|-----|--------------------------|----------------------|-------|----------------------------------|

Explanation of Responses:

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/s/ James Herfurth

James Herfurth

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

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