#### Edgar Filing: DOVER DOWNS GAMING & ENTERTAINMENT INC - Form 4

#### DOVER DOWNS GAMING & ENTERTAINMENT INC

Form 4

August 29, 2016

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average

**OMB APPROVAL** 

burden hours per

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if no longer subject to Section 16. Form 4 or

Check this box

Form 5 obligations may continue. See Instruction

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

1(b).

Stock,

\$.10 par value

08/25/2016

(Print or Type Responses)

| (Print or Type   | Responses)   |          |   |                                       |   |       |              |  |  |   |  |  |
|--|--|----------|---|---------------------------------------|---|-------|--------------|--|--|---|--|--|
| 1. Name and Address of Reporting Person * TIPPIE HENRY B |  |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol DOVER DOWNS GAMING & ENTERTAINMENT INC [DDE] |                                       |   |       | s<br>&       | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)   |  |   |  |  |
| (Last) P. O. BOX   | ` ,  | (Middle) |   | of Earliest Transaction<br>/Day/Year) |   |       |              | _X DirectorX 10% OwnerOfficer (give title below) Other (specify below)   |  |   |  |  |
| AUSTIN, T  | (Street)  TX 78755   | Filed(M  |   |                                       | d(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)    | Tab   | le I - Non-l                          | Derivative  | Secur | rities Acqu  | ired, Disposed of  | , or Beneficial  | ly Owned  |  |  |
| 1.Title of<br>Security<br>(Instr. 3)                     | 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, i any (Month/Day/Year) |          | n Date, if  | Code (Instr. 8)                       | 3. 4. Securities Acquired (A Transaction Disposed of (D) Code (Instr. 3, 4 and 5) |       |              | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)   | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
| Common<br>Stock,<br>\$.10 par<br>value                   | 08/29/2016   |          |   | P                                     | 52,200  | . ,   | \$<br>0.9829 | 1,000,000  | D  |   |  |  |
| Common<br>Stock,<br>\$.10 par<br>value                   | 08/26/2016   |          |   | P                                     | 97,700  | A     | \$<br>0.9659 | 947,800  | D  |   |  |  |
| Common   |  |          |   |                                       |   |       |              |  |  |   |  |  |

P

50,100 A

\$ 0.95

850,100

D

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Common Stock,

\$.10 par value

200,000

I

Spouse (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.

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | · · · · · · · · · · · · · · · · · · · |                     | Underlying Securities (Instr. 3 and 4) |                 | 8. Pric<br>Deriva<br>Secur<br>(Instr. |  |
|---|---|---|---|--|---------------------------------------|---------------------|--|-----------------|---------------------------------------|--|
|   |   |   |   | Code V                                 | (A) (D)                               | Date<br>Exercisable | Expiration<br>Date                     | Title           | Amount or<br>Number of<br>Shares      |  |
| Class A<br>Common<br>Stock (2)                      | <u>(2)</u>  |   |   |  |                                       | (2)                 | (2)                                    | Common<br>Stock | 3,050,000                             |  |
| Class A<br>Common<br>Stock (2)                      | (2)   |   |   |  |                                       | (2)                 | (2)                                    | Common<br>Stock | 150,000                               |  |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |         |       |  |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|--|
| r g                            | Director      | 10% Owner | Officer | Other |  |  |  |
| TIPPIE HENRY B                 |               |           |         |       |  |  |  |
| P. O. BOX 26557                | X             | X         |         |       |  |  |  |
| AUSTIN, TX 78755               |               |           |         |       |  |  |  |

# **Signatures**

Klaus M. Belohoubek Via Power of Attorney Filed With the Securities and Exchange Commission

08/29/2016

\*\*Signature of Reporting Person

Date

Reporting Owners 2

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## **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) Reporting Person disclaims any beneficial interest in these securities.
- (2) Class A Common Stock is convertible into Common Stock at any time on a share for share basis at the option of the holder thereof.

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.