

FULL HOUSE RESORTS INC
Form 4
August 29, 2016

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

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

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Executive Officer

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

LAS VEGAS, NV 89147

(City) (State) (Zip)

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

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Common
Stock (1)

Common
Stock (1)

08/25/2016

J⁽⁴⁾

8,100

A

Ⓛ

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.

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(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 Owned Beneficially (Instr. 5)
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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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