

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)

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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<br>Reporting Person*<br><br>Gumbiner, Anthony J.<br><br>(Last) (First) (MI)<br><br>c/o Le Roccabella<br>24 Princess Grace Ave.<br><br>(Street)<br><br>Monte Carlo 98000, Monaco<br><br>(City) (State) (Zip) | 2.Issuer Name and Ticker<br>or Trading Symbol<br><br>The Hallwood Group<br>Incorporated ("HWG") | 3.IRS or Soc.Sec.No.<br>of Reporting Person<br>(Voluntary) | 4.Statement for<br>Month/Year<br><br>October, 2001 | 5.If Amendment,<br>Date of Original<br>(Month/Year) | 6.Relatio<br>Person<br>all App<br><br>X Direc<br><br>X Offic<br><br>(Give<br>belo<br><br>Chairma<br><br>7.Ind<br>Fil<br>Lin<br><br>X<br><br>--- |
|---|---|--|--|---|---|

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

|                                  |  |                                     |                   |
|----------------------------------|--|-------------------------------------|-------------------|
| 1. Title of Security<br>(Inst.3) | 2. Transaction<br>Date<br>(Month/<br>Day/Yr) | 3. Transaction<br>Code<br>(Instr.8) | 4. Se<br>or<br>(I |
|                                  |  | Code V                              | Am                |

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| 5. Amount of Securities<br>Beneficially Owned at<br>at End of Month<br>(Inst. 3 & 4) | 6. Ownership Form<br>Direct (D) or<br>Indirect (I) | 7. Nature<br>Beneficial<br>(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<br>Derivative<br>Security<br>(Instr.3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date (Month<br>(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

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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.

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