

FARAHI JOHN
Form 4
November 08, 2018

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 *
FARAHI JOHN

2. Issuer Name and Ticker or Trading Symbol
MONARCH CASINO & RESORT INC [MCRI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
04/13/2018

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

MONARCH CASINO & RESORT INC, 1175 MOANA LANE SUITE 200

(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

RENO, NV 89509

(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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | Code | V | Amount | Price | |
| Common Stock | 04/13/2018 | | G | | 287,000 | \$ 41.18 | D |
| Common Stock | 04/13/2018 | | G | | 70,500 | \$ 41.18 | I by trust |
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Common Stock \$ 41.18
 Common Stock 1,215 I by trust

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

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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 Security (Instr. 3 and 4) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Options/Right to Buy | \$ 39.82 | 11/01/2018 | | A | 66,666 | 11/01/2021 11/01/2028 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 45.32 | | | | | 11/01/2020 11/01/2027 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 23.08 | | | | | 11/01/2019 11/01/2026 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 17.62 | | | | | 10/21/2018 10/21/2025 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 12.32 | | | | | 10/21/2017 10/21/2024 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 21.71 | | | | | 10/21/2016 10/21/2023 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 8.56 | | | | | 10/09/2015 10/09/2022 | Common Stock | 66,666 |
| Options/Right to Buy | \$ 9.33 | | | | | 10/21/2014 10/21/2021 | Common Stock | 66,666 |

Reporting Owners

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

FARAHI JOHN
MONARCH CASINO & RESORT INC
1175 MOANA LANE SUITE 200
RENO, NV 89509

X X CEO

Signatures

John Farahi 11/08/2018

 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).

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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