

Edgar Filing: TWEETER HOME ENTERTAINMENT GROUP INC - Form 5

TWEETER HOME ENTERTAINMENT GROUP INC

Form 5

November 15, 2001

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FORM 5  
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/ / CHECK BOX IF NO  
LONGER SUBJECT TO  
SECTION 16. FORM  
4 OR FORM 5  
OBLIGATIONS MAY  
CONTINUE. SEE  
INSTRUCTION 1(b)  
/ / FORM 3 HOLDINGS  
REPORTED  
/ / FORM 4  
TRANSACTIONS  
REPORTED

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, DC 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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 of 1940

|  |          |          |   |                  |
|--|----------|----------|---|------------------|
| 1. Name and Address of Reporting Person* |          |          | 2. Issuer Name and Ticker or Trading Symbol | 6. R             |
| Miller,                                  | Shelley  |          | Tweeter Home Entertainment Group, Inc. TWTR | I                |
| (Last)                                   | (First)  | (Middle) |   |                  |
| 40 Pequot Way                            |          |          | 3. IRS Identification                       | 4. Statement for |
|  | (Street) |          | Number of Reporting                         | Month/Year       |
|  | Canton,  | 02021    | Person, if an Entity                        | 9/2001           |
|  | MA       |          | (Voluntary)                                 |                  |
| (City)                                   | (State)  | (Zip)    |   | 5. If Amendment, |
|  |          |          |   | Date of Original |
|  |          |          |   | (Month/Year)     |
|  |          |          |   | 7. I             |
|  |          |          |   | (                |

TABLE 1 -- NON-DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIAL OWNERSHIP

| 1. Title of Security<br>(Instr. 3) | 2. Trans-<br>action<br>Date<br><br>(Month/<br>Day/<br>Year) | 3. Transac-<br>tion<br>Code<br>(Instr.<br>8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5)<br><br>Amount (A) or<br>(D) | 5. Amount o<br>curities<br>cially O<br>End of I<br>Fiscal Y<br>(Instr. |
|------------------------------------|---|--|---|--|
|------------------------------------|---|--|---|--|

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\*If the form is filed by more than one Reporting Person, see Instruction 4(b)(v).

Potential persons who are to respond to the questions contained in this form are not required to register. This displays a currently valid OMB control number.

FORM 5 (CONTINUED)

TABLE II -- DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OWNED (E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

| 1. Title of Derivative Security<br>(Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) |     | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |                 | 7. |
|---|--|---|-----------------------------------|--|-----|---|-----------------|----|
|   |  |   |                                   | (A)  | (D) | Date Exercisable  | Expiration Date |    |
| OPTION  | 12.97  | 9/27/01                                 | J(1)                              | 18,000   |     | 9/27/02   | 9/27/07         |    |

1. Title of Derivative                      9. Number of                      10. Ownership                      11. Nature of

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|                        |   |   |   |
|------------------------|---|---|---|
| Security<br>(Instr. 3) | Derivative<br>Securities<br>Beneficially<br>Owned at End<br>of Year<br>(Instr. 4) | of Derivative<br>Security:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 4) | Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|------------------------|---|---|---|

|       |        |   |  |
|-------|--------|---|--|
|       | 43,000 | D |  |
| ----- |        |   |  |
| ----- |        |   |  |
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| ----- |        |   |  |
| ----- |        |   |  |
| ----- |        |   |  |
| ----- |        |   |  |

Explanation of Responses:

1. The 18,000 option shares granted 9/27/2001 are subject to an annual vesting schedule, to be fully vested by 9/27/2004

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

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

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