

FARAHI JOHN

Form 4

November 08, 2018

FORM 4**UNITED STATES 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 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

OMB APPROVAL

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(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 Beneficial Ownership (Instr. 4)
Common Stock	04/13/2018		G	287,000	D \$ 41.18	1,476,340	D
Common Stock	04/13/2018		G	70,500	A \$ 41.18	343,154	I by trust
Common Stock	04/13/2018		G	70,500	A \$ 41.18	347,856	I by trust
Common Stock	04/13/2018		G	70,500	A \$ 41.18	347,856	I by trust
	04/13/2018		G	70,500	A	347,856	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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(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 Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of S
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

Reporting Owners

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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
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).

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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