

FULL HOUSE RESORTS INC

Form 4

November 15, 2016

**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

OMB  
Number: 3235-0287  
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2005  
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response... 0.5

(Print or Type Responses)

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

(Last) (First) (Middle)

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

(Street)

**LAS VEGAS, NV 89147**

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
**11/10/2016**

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

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

**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)		
			Code	V	Amount	(A) or (D)	Price		
Common Stock <sup>(1)</sup>	11/10/2016		M		1,000,022	A	\$ 1.3	1,000,122	D
Common Stock	11/10/2016		M		22,709	A	\$ 1.3	127,945	I
Common Stock	11/10/2016		M		24,802	A	\$ 1.3	139,735	I
Common Stock	11/10/2016		M		2,826	A	\$ 1.3	15,926	I
									By Subtrust
									By Trust
									As Custodian for

Daughter

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

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SEC 1474  
(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
Subscription Rights (right to buy)	\$ 1.3	11/10/2016		M	1,000,022	10/07/2016 11/04/2016	Common Stock
Subscription Rights (right to buy)	\$ 1.3	11/10/2016		M	22,709	10/07/2016 11/04/2016	Common Stock
Subscription Rights (right to buy)	\$ 1.3	11/10/2016		M	24,802	10/07/2016 11/04/2016	Common Stock
Subscription Rights (right to buy)	\$ 1.3	11/10/2016		M	2,826	10/07/2016 11/04/2016	Common Stock

## 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

11/15/2016

\*\*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).

(1) Includes 1,000,000 shares purchased by Mr. Lee as the standby purchaser in connection with the issuer's \$5.0 million rights offering.

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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