

Edgar Filing: HALLWOOD GROUP INC - Form 4

HALLWOOD GROUP INC
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)

OMB APPROVAL
OMB Number 3235-0287
Expires: December 31, 2001
Estimated ave. burden
hours per response 0.5

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
Reporting Person*

2.Issuer Name and Ticker
or Trading Symbol

6.Relatio
Person
all App

The Hallwood Group
Incorporated ("HWG")

The Alpha Trust

October, 2001

Direc

(Last)

(First) (MI)

3.IRS or Soc.Sec.No.
of Reporting Person
(Voluntary)

4.Statement for
Month/Year

Offic

(Give
belo

c/o The Radcliffes Trustee Company, S.A.
12 rue de l'Arquebuse

(Street)

5.If Amendment,
Date of Original
(Month/Year)

7.Ind
Fil
Lin

1204 Geneva, Switzerland

(City)

(State)

(Zip)

X

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

1. Title of Security
(Inst.3)

2. Transaction
Date
(Month/
Day/Yr)

3. Transaction
Code
(Instr.8)

4. Se
or
(I

Code V

Am

Edgar Filing: HALLWOOD GROUP INC - Form 4

Common Stock	10/23/01	P	63,400
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----

5. Amount of Securities Beneficially Owned at at End of Month (Inst. 3 & 4)	6. Ownership Form Direct (D) or Indirect (I)	7. Nature of Beneficial (Inst. 3 & 4)
790,087	I	By Hallwo
-----	-----	-----
-----	-----	-----
-----	-----	-----
-----	-----	-----
-----	-----	-----

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 Derivative Security (Instr.3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month (Day/Year)
--	--	---

Edgar Filing: HALLWOOD GROUP INC - Form 4

Convertible Promissory Note (right to buy)	\$10.13	3/16/00
Convertible Promissory Note (right to buy)	\$ 6.47	9/15/00
Convertible Promissory Note (right to buy)	\$ 6.12	3/15/01
-----	-----	-----
-----	-----	-----
-----	-----	-----

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
\$1,500,000		3/16/01		Common Stock
\$1,000,000		9/15/01		Common Stock
\$1,500,000		3/15/02		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.
\$1,500,000		I	By
\$1,000,000		I	By
\$1,500,000	343,949	I	By
-----	-----	-----	-----
-----	-----	-----	-----

Edgar Filing: HALLWOOD GROUP INC - Form 4

- (1) Right to acquire 172,302 shares of common stock issuable upon conversion of a Promissory Note, dated March 16, 2000 (convertible at \$10.13 per share after March 16, 2001)
- (2) Right to acquire 171,647 shares of common stock issuable upon conversion of a Promissory Note, dated September 15, 2000 (convertible at \$6.47 per share after September 15, 2001)
- (3) Right to acquire shares of common stock issuable upon conversion of a Promissory Note, dated March 15, 2001 (convertible at \$6.12 per share after March 15, 2002)

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

By: /s/ Serge Ri

Name: Serge R
Title: Authori

By: /s/ Richard

Name: Richard
Title: Authori

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.

Page: 2 of 2