

FARAHI JOHN
Form 4
March 30, 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

OMB
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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)

MONARCH CASINO & RESORT
INC, 1175 MOANA LANE SUITE
200

3. Date of Earliest Transaction
(Month/Day/Year)
11/30/2017

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

(Street)

RENO, NV 89509

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

(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)
			Code	V	Amount	(A) or (D) Price			
Common Stock	11/30/2017		S		100	D \$ 47.25	1,763,340	D	
Common Stock	12/01/2017		S		9,941	D \$ 46.25	1,763,340	D	
Common Stock	12/04/2017		S		14,519	D \$ 46.27	1,763,340	D	
Common Stock	12/06/2017		S		440	D \$ 46.25	1,763,340	D	
	12/26/2017		G ⁽¹⁾		3,643	D \$ 0	1,763,340	D	

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Common
Stock

Common Stock	12/26/2017	G ⁽¹⁾	607	A	\$ 0	272,654	I	by trust
Common Stock	12/26/2017	G ⁽¹⁾	607	A	\$ 0	277,356	I	by trust
Common Stock	12/26/2017	G ⁽¹⁾	607	A	\$ 0	277,356	I	by trust
Common Stock	12/26/2017	G ⁽¹⁾	607	A	\$ 0	277,356	I	by trust
Common Stock	12/26/2017	G ⁽¹⁾	1,215	A	\$ 0	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 of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Options/Right to Buy	\$ 45.32					11/01/2020	11/01/2027	Common Stock	66,668
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	66,668
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	66,668

Reporting Owners

Reporting Owner Name / Address	Relationships			
	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 03/30/2018

__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).
- (1) This transaction involves a gift of securities by Mr. Farahi to five separate trusts, of which Mr. Farahi is trustee, for benefit of children and grandchildren.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.