

Edgar Filing: DUNES HOTELS & CASINOS INC - Form 5

DUNES HOTELS & CASINOS INC

Form 5

April 06, 2001

U. S. SECURITIES AND EXCHANGE COMMISSION

FORM 5

☐ Check box if no longer subject to Section 16.

Form 4 or Form 5 obligations may continue.

Washington, D.C. 20549

See instruction 1(b).

☐ Form 3 Holdings Reported.

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERS

☐ Form 4 Transactions Reported.

Filed pursuant to Section 16(a) of the Securities Exchange Act of
Utility Holding Company Act of 1935 or Section 30(f) of the In

1. Name and Address of
Reporting Person*

2. Issuer Name and Ticker or Trading Symbol

6. Re
Is

Dunes Hotels and Casinos, Inc.

(Last) (First) (Middle)

3. IRS or Social Security
Number of Reporting
Person (Voluntary)

4. Statement for
Month/Year

Of
(g
b

General Financial Services, Inc.

12/2000

(Street)

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

7. Indi
(Che

8441 E. 32nd Street N

2/2001

Pe
Fo
Re

(City) (State) (Zip)

Table 1 - Non-Derivative Securities Acquired, Disposed of

Wichita, Kansas 67226

1. Title of Security
(Instr. 3)

2. Trans-
action
date:
(Month/
Day/
Year)

3. Trans-
action
Code
(Instr. 8)

4. Securities Acquired (A)
or Disposed of (D)
(Instr. 3, 4 and 5)

5. Amount of
Securities
Beneficial
Owned at
End of Iss
Fiscal Yea
(Instr. 3
and 4)

Amount (A) or Price
(D)

Series B Preferred Stock

08/11/00

P

120

A

\$20.0000

120

Common Stock

08/04/99

P5

10,000

A

\$0.6875

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Common Stock	12/09/99	P5	2,500	A	\$0.8000
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Common Stock	04/06/00	P	500	A	\$1.0000
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Common Stock	05/01/00	P	5,000	A	\$0.6560
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Common Stock	09/25/00	P	2,500	A	\$0.6875	903,922
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Common Stock						3,000,000
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* If the Form is filed by more than one Reporting Person, see instruction 4(b)(v).

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

(Print or Type Re

FORM 5 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned options, convertible securities)

1.Title of Derivative Security (Inst. 3)	2.Conver- sion or Exercise Price of Deriv- ative Security	3.Trans- action Date (Month/ Day/ Year)	4.Transac- tion 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)	8.Price of Derivativ Security (Instr. 5)
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(A)	(D)	Date Exer- cisable	Expira- tion Date	Title	Amount or Number of Shares
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Explanation of Responses: (1) The 120 shares of Series B preferred stock are beneficially owned by General Financial Services, Inc. ("GFS"). Steve Miller is the sole stockholder, officer and director of GFS and as a result beneficially owns the shares of Series B preferred stock beneficially owned by GFS. (2) The 903,922 shares of common stock are beneficially owned by GFS Acquisition Company, Inc. ("GFS Acquisition"). GFS is the sole stockholder of GFS Acquisition. Mr. Miller is the sole officer and director of GFS Acquisition. GFS beneficially owns the 903,922 shares of common stock directly owned by GFS Acquisition as a result of his ownership of GFS Acquisition. Steve Miller beneficially owns the 903,922 shares of common stock as a result of his ownership of GFS and his position as the sole officer and director of GFS and GFS Acquisition. The 903,922 shares of common stock are beneficially owned directly by GFS. Steve Miller is the sole stockholder of GFS and as a result beneficially owns the shares of common stock beneficially owned by GFS.

/s/ Steve K. Miller

Steve K. Miller

** 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 provided is
insufficient, see Instruction 6 for procedure.

GENERAL FINANCIAL SERVICES, INC.

By: /s/ Steve K. Miller

Steve K. Miller, President

GFS Acquisition Company, Inc.

By: /s/ Steve K. Miller

Steve K. Miller

Form 5

Reporting Person
General Financial Services, Inc.

Date of Event Requiring Statement
Year 2000

Issuer Name
Dunes Hotels and Casinos Inc.

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List of Other Joint Filers

Names and Addresses

Steve K. Miller; 8441 E. 32nd Street N, Wichita, Kansas 67226

GFS Acquisition Company, Inc., 8441 E. 32nd Street N, Wichita, Kansas 67226