

Edgar Filing: TWEETER HOME ENTERTAINMENT GROUP INC - Form 5

TWEETER HOME ENTERTAINMENT GROUP INC

Form 5

November 15, 2001

FORM 5

/ / CHECK BOX IF NO
LONGER SUBJECT TO
SECTION 16. FORM
4 OR FORM 5
OBLIGATIONS MAY
CONTINUE. SEE
INSTRUCTION 1(b)
/ / FORM 3 HOLDINGS
REPORTED
/ / FORM 4
TRANSACTIONS
REPORTED

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, DC 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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 of 1940

| | | | | | |
|--|----------|----------|---|--|------------------|
| 1. Name and Address of Reporting Person* | | | 2. Issuer Name and Ticker or Trading Symbol | | 6. R |
| Miller, Shelley | | | Tweeter Home Entertainment Group, Inc. TWTR | | I |
| (Last) | (First) | (Middle) | 3. IRS Identification | | 4. Statement for |
| 40 Pequot Way | | | Number of Reporting | | Month/Year |
| | (Street) | | Person, if an Entity | | 9/2001 |
| Canton, | MA | 02021 | (Voluntary) | | 5. If Amendment, |
| (City) | (State) | (Zip) | | | Date of Original |
| | | | | | (Month/Year) |
| | | | | | 7. I |
| | | | | | (|

TABLE 1 -- NON-DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIAL OWNERSHIP

| 1. Title of Security (Instr. 3) | 2. Trans- action Date (Month/ Day/ Year) | 3. Transac- tion Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount o curities cially O End of I Fiscal Y (Instr. |
|------------------------------------|---|--|---|--|
| | | | Amount (A) or (D) Price | |

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*If the form is filed by more than one Reporting Person, see Instruction 4(b)(v).

Potential persons who are to respond to this form are not required to display a currently valid OMB control number.

FORM 5 (CONTINUED)

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) | 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. |
|---|--|---|-----------------------------------|--|-----|---|-----------------|----|
| | | | | (A) | (D) | Date Exercisable | Expiration Date | |
| OPTION | 12.97 | 9/27/01 | J(1) | 18,000 | | 9/27/02 | 9/27/07 | |

1. Title of Derivative

9. Number of

10. Ownership

11. Nature of

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| | | | |
|------------------------|---|---|---|
| Security (Instr. 3) | Derivative Securities Beneficially Owned at End of Year (Instr. 4) | of Derivative Security: Direct (D) or Indirect (I) (Instr. 4) | Indirect Beneficial Ownership (Instr. 4) |
|------------------------|---|---|---|

| | | | |
|-------|--------|---|--|
| | 43,000 | D | |
| ----- | | | |
| ----- | | | |
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| ----- | | | |
| ----- | | | |
| ----- | | | |
| ----- | | | |

Explanation of Responses:

1. The 18,000 option shares granted 9/27/2001 are subject to an annual vesting schedule, to be fully vested by 9/27/2004

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

Note. File three copies of this form, one of which must be manually signed.
If space provided is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are required to respond unless the form displays a currently valid OMB control number.