## Edgar Filing: GALE JAMES C - Form 4

GALE JAM	ES C									
November 1	Л							OMB AF	PROVAL	
Check th	UNITED	ox STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							3235-0287 January 31,	
if no long subject to Section 1 Form 4 o	6. r								Expires: 2009 Estimated average burden hours per response 0.5	
Form 5 obligatio may cont <i>See</i> Instru 1(b).	ns Section 17(	ue. 20(h) of the Investment Company Act of 1955 of Section								
(Print or Type I	Responses)									
1. Name and Address of Reporting Person <u>*</u> GALE JAMES C			21 issuer raune und riener or ridding				5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (A	virst)     (Middle)     3. Date of Earliest Transaction				(Check all applicable)				
	E HALL TOWER EET 19TH FLOC	R, 152 W 11	Ionth/Day/Year) /10/2017			- - 1	X_ Director Officer (give t below)		Owner or (specify	
			Filed(Month/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting			
NEW YOR	K, NY 10019						Person	ore than One Re	porting	
(City)	(State)	(Zip)	Table I - Non-l	Derivative	Secur	ities Acqu	ired, Disposed of,	or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Da any (Month/Day/	Code	4. Securit pror Dispos (Instr. 3, 4 Amount	ed of (	(D)	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)	
Common Stock	11/10/2017		Р	15,000	А	\$ 3.8091	354,624	D		
Common Stock							25,000	Ι	See Footnote $(1)$	

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

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 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. Transacti Code (Instr. 8)	5. ofNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date	Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Own Follo Repo Trans (Inst
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

Reporting Owner Name / Address		Relationships						
		Director	10% Owner	Officer	Other			
GALE JAMES C CARNEGIE HALL TOW 152 W 57TH STREET 19 NEW YORK, NY 10019		Х						
Signatures								
/s/ James C. Gale	11/13/2017							
**Signature of Reporting Person	Date							
Explanation of	Respon	1000'						

## 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).

The securities are held by Gale & Haselton Family LLC (Mr. Gale has voting and dispositive power with respect to such shares in his capacity as manager of the entity). The reporting person disclaims beneficial ownership of these securities except to the extent of his

(1) capacity as manager of the entry). The reporting person discrams beneficial ownership of these securities except to the except of the exce

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.