

Edgar Filing: BLOOMBERG SAMUEL J - Form 5

BLOOMBERG SAMUEL J
 Form 5
 November 15, 2001

 FORM 5

 OMB APPROVAL

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// 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, D.C. 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. Rel |
| Bloomberg, Samuel J | | | Tweeter Home Entertainment Group, Inc TWTR | | I |
| (Last) | (First) | (Middle) | 3. I.R.S. Identification | | --- |
| 40 Pequot Way | | | Number of Reporting | | X |
| | (Street) | | Person, if an entity | | --- |
| Canton | Ma | 02021 | (Voluntary) | | |
| (City) | (State) | (Zip) | 4. Statement for | | |
| | | | Month/Year | | |
| | | | 9/2001 | | |
| | | | 5. If Amendment, | | |
| | | | Date of Original | | |
| | | | (Month/Year) | | |
| | | | 7. Ind | | (|

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

| 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 |
| Common Stock | 5/23/2001 | G(1) | 10,000 | D | 915,4 |

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*If the form is filed by more than one reporting person, see instruction 4(b)(v).

FORM 5 (CONTINUED)

TABLE II -- DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIAL
 (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(2) | 42,000 | 9/27/02 | 9/27/07 |

| 1. Title of Derivative Security | 9. Number of Derivative | 10. Ownership of Derivative | 11. Nature of Indirect |
|---------------------------------|-------------------------|-----------------------------|------------------------|
|---------------------------------|-------------------------|-----------------------------|------------------------|

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

| | | | |
|-------|---------|---|--|
| | 305,556 | D | |
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Explanation of Responses:

1. Gift of 10,000 shares to BankBoston Charitable Gift Fund-
Samuel and Carolina Bloomberg Fund
 2. The 42,000 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). -----
**Si

/s/

Re: File three copies of this Form, one of which must be manually signed. If space provided is in
see Instruction 6 for procedure.

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