

Edgar Filing: CALKIN LYNDA J - Form 4

CALKIN LYNDA J
Form 4
September 10, 2002

U.S. SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM 4

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

☐ Check box if no longer subject to Section 16. Form 4 or Form 5 obligations
may continue. See Instruction 1(b).

1. Name and Address of Reporting Person*

Calkin, Lynda J.

(Last)

(First)

(Middle)

300 Crescent Court, Suite 1300

(Street)

Dallas, Texas 75201

(City)

(State)

(Zip)

2. Issuer Name and Ticker or Trading Symbol

Westwood Holdings Group, Inc. ("WHG")

3. IRS Identification Number of Reporting Person, if an Entity (Voluntary)

4. Statement for Month/Year

July 2002

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

July 2002

6. Relationship of Reporting Person to Issuer
(Check all applicable)

☐ Director

☐ 10% Owner

☒ Officer (give title below)

☐ Other (specify below)

Senior Vice President, Westwood Management Corp.

7. Individual or Joint/Group Filing (Check applicable line)

☒ Form filed by one Reporting Person

☐ Form filed by more than one Reporting Person

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Table I -- Non-Derivative Securities Acquired, Disposed of,
or Beneficially Owned

6.		4.	
5.		Securities Acquired (A)	
or		3.	
Amount of		Disposed of (D)	
Securities		Transaction (Instr. 3, 4 and 5)	
Beneficially		Code	
Owned at End		-----	
1.		(Instr. 8)	
of Month		(A)	
Title of Security		Amount	
Price (Instr. 3)		or	
(Instr. 3)		Code	
and 4)		V	
(Instr.4)		(D)	
(Instr. 4)		-----	
-----		-----	

Common Stock	6/28/02	J(1)	V	134
Common Stock	6/28/02	J(1)	V	755

* 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 Response) (Over)

FORM 4 (continued)

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned

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(e.g., puts, calls, warrants, options, convertible securities)

=====											
10.											
9. Owner-											
Number ship											
of Form											
2.											
Deriv- of											
ative Deriv- 11. Conver-											
Amount Secur- ative Nature 5. 7.											
Underlying 8. ities Secur- of											
Price Bene- ity: In- 4. Securities Date Title and											
and 4) of ficially Direct Trans- Acquired (A) Exercisable and (Instr. 3											
----- Deriv- Owned (D) or Bene- or Disposed Expiration Date -----											
1. Amount ative at End In- Date Official (Instr. 3, -----											
Title of Secur- of direct Owner- (Instr. 3, -----											
Derivative ative (Month/ 8) 4 and 5) Date Expira-											
Number ity Month (I) ship ----- Exer- tion											
Security Secur- Day/ -----											
of (Instr. (Instr. (Instr. (Instr. (A) (D) cisable Date Title											
(Instr. 3) ity Year) Code V (A) (D) cisable Date Title											
Shares 5) 4) 4) 4)											

Employee Stock											
Option \$12.90 7/2/02 A V 15,000 (3) Common											
15,000 15,000 7/2/12 Stock											

=====											
=====											

Explanation of Responses:

(1) Distribution of Westwood Holdings Group, Inc. from SWS Group, Inc.

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- (2) On June 21, 2002, the common stock of Westwood Holdings Group, Inc. was split 1,003.8-for-1, resulting in the reporting person's acquisition of 40,113 additional shares of common stock.
- (3) Options vest in four equal annual installments beginning July 2, 2003.

/s/ William R. Hardcastle, Jr.

9/9/02

**Signature of Reporting Person
as Attorney-in-fact

Date

** 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.

Page 2