

Edgar Filing: NHANCEMENT TECHNOLOGIES INC - Form 4

NHANCEMENT TECHNOLOGIES INC

Form 4

January 05, 2001

U.S. SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 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 of Section 16. Form 4 or Form 5 obligations  
may continue. See Instruction 1(b).

-----  
1. Name and Address of Reporting Person\*

|              |         |          |
|--------------|---------|----------|
| BALDWIN, III | L.      | THOMAS   |
| (Last)       | (First) | (Middle) |

141 WEST JACKSON BOULEVARD, SUITE #2850

-----  
(Street)

|         |         |       |
|---------|---------|-------|
| CHICAGO | IL      | 60606 |
| (City)  | (State) | (Zip) |

NHANCEMENT TECHNOLOGIES, INC. (NHAN)

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2. Issuer Name and Ticker or Trading Symbol

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

SEPTEMBER, 2000

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4. Statement for Month/Year

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

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

|                                                     |                                                |
|-----------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Director                   | <input checked="" type="checkbox"/> 10% Owner  |
| <input type="checkbox"/> Officer (give title below) | <input type="checkbox"/> Other (specify below) |

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

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[X] Form filed by one Reporting Person  
 [\_] Form filed by more than one Reporting Person

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

| 1.<br>Title of Security<br>(Instr. 3) | 2.<br>Transaction<br>Date<br>(mm/dd/yy) | 3.<br>Transaction<br>Code<br>(Instr. 8)<br>-----<br>Code V |  | 4.<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5)<br>-----<br>Amount (A) or Price (D) |           |
|---------------------------------------|-----------------------------------------|------------------------------------------------------------|--|----------------------------------------------------------------------------------------------------------------|-----------|
|                                       |                                         |                                                            |  |                                                                                                                |           |
| COMMON STOCK, \$.01 par value         | 09/1/00                                 | P                                                          |  | 49,500                                                                                                         | A \$14.21 |
| COMMON STOCK, \$.01 par value         | 09/5/00                                 | P                                                          |  | 11,900                                                                                                         | A \$15.30 |
| COMMON STOCK, \$.01 par value         | 09/6/00                                 | P                                                          |  | 16,000                                                                                                         | A \$15.81 |
| COMMON STOCK, \$.01 par value         | 09/7/00                                 | P                                                          |  | 11,700                                                                                                         | A \$15.23 |
| COMMON STOCK, \$.01 par value         | 09/8/00                                 | P                                                          |  | 10,000                                                                                                         | A \$15.06 |
| COMMON STOCK, \$.01 par value         | 09/11/00                                | P                                                          |  | 10,500                                                                                                         | A \$14.60 |
| COMMON STOCK, \$.01 par value         | 09/12/00                                | P                                                          |  | 39,600                                                                                                         | A \$13.81 |
| COMMON STOCK, \$.01 par value         | 09/13/00                                | P                                                          |  | 24,100                                                                                                         | A \$13.60 |
| COMMON STOCK, \$.01 par value         | 09/14/00                                | P                                                          |  | 48,900                                                                                                         | A \$15.17 |
| COMMON STOCK, \$.01 par value         | 09/15/00                                | P                                                          |  | 15,200                                                                                                         | A \$15.70 |
| COMMON STOCK, \$.01 par value         | 09/18/00                                | P                                                          |  | 68,200                                                                                                         | A \$15.74 |
| COMMON STOCK, \$.01 par value         | 09/19/00                                | P                                                          |  | 1,100                                                                                                          | A \$15.77 |
| COMMON STOCK, \$.01 par value         | 09/20/00                                | P                                                          |  | 5,900                                                                                                          | A \$15.32 |
| COMMON STOCK, \$.01 par value         | 09/21/00                                | P                                                          |  | 37,300                                                                                                         | A \$15.00 |
| COMMON STOCK, \$.01 par value         | 09/22/00                                | P                                                          |  | 44,300                                                                                                         | A \$15.01 |
| COMMON STOCK, \$.01 par value         | 09/25/00                                | P                                                          |  | 10,500                                                                                                         | A \$15.40 |
| COMMON STOCK, \$.01 par value         | 09/26/00                                | P                                                          |  | 300                                                                                                            | A \$13.96 |
| COMMON STOCK, \$.01 par value         | 09/27/00                                | P                                                          |  | 115,400                                                                                                        | A \$15.59 |
| COMMON STOCK, \$.01 par value         | 09/28/00                                | P                                                          |  | 75,600                                                                                                         | A \$16.66 |

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COMMON STOCK, \$.01 par value 09/29/00 P 20,500 A \$16.82

By: Rosenthal Collins Group

By: Rosenthal Collins Equit

\* 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.

(1) On 9/29/00, Rosenthal Collins Equities, L.L.C. transferred 300,845 shares and its affiliate, Rosenthal Collins Group, L.L.C., transferred 199,155 shares to this reporting person's securities account at First Security Van Kasper, Inc., an unaffiliated broker/dealer. Indirect beneficial ownership remains in this reporting person.

(Print or Type Responses)

(Over)

(Form 4-07/99)

FORM 4 (continued)

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conver-<br>sion<br>or<br>Exer-<br>cise<br>Price<br>of<br>Deriv-<br>ative<br>Secur-<br>ity | 3.<br>Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 4.<br>Trans-<br>action<br>Code<br>(Instr. 8)<br>-----<br>Code V | 5.<br>Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D)<br>(Instr. 3,<br>4 and 5)<br>-----<br>(A) (D) | 6.<br>Date<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year)<br>-----<br>Date Expira-<br>tion Date | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>or<br>Number<br>of<br>Shares |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------------|------------------------------------------------------------|-----------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|
| Common Stock<br>Warrant                                | \$6.00                                                                                          | 9/8/00 (2)                                                 | J (2)                                                           | 300,000                                                                                                                            | 9/8/00 (2) 7/31/01                                                                                         | Common<br>Stock,<br>\$.01 par<br>value 300,000                                                                               |

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Explanation of Responses:

- (2) On 9/8/00, this reporting person received from the Issuer common stock warrants to purchase 300,000 shares of common stock at \$6.00 per share, in consideration of financial consulting services being provided by him to the Issuer. The Common Stock Warrant instrument is dated as of 7/31/00 and expires on 7/31/01.

/s/ L. Thomas Baldwin III

10/10/00

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\*\*Signature of Reporting Person

-----  
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.