Edgar Filing: ROONEY THOMAS S JR - Form 4

ROONEY THOMAS S JR

Form 4

December 27, 2004

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB

Check this box if no longer

3235-0287 Number:

January 31,

0.5

OMB APPROVAL

subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

2005 Estimated average burden hours per

Form 5 obligations may continue. See Instruction

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(h) of the Investment Company Act of 1940

response...

Expires:

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * ROONEY THOMAS S JR

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Symbol

INSITUFORM TECHNOLOGIES

Issuer

below)

(Check all applicable)

(Last)

(First)

(Middle)

3. Date of Earliest Transaction

_X__ Director 10% Owner X_ Officer (give title Other (specify

(Month/Day/Year)

04/29/2004

INC [INSU]

President & CEO

C/O INSITUFORM TECHNOLOGIES, INC., 702 SPIRIT 40 PARK DRIVE

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

CHESTERFIELD, MO 63005

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. Transaction(A) or Disposed of Code (D) (Instr. 8)

4. Securities Acquired 5. Amount of Securities Beneficially Owned

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(Instr. 3, 4 and 5)

Amount

Following Reported (A)

Transaction(s) (Instr. 3 and 4) Price

Common

par value

Stock, \$.01 04/29/2004

12,800 D (1)

Code V

D \$0 $0^{(2)}$

(D)

D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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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 | 2. | 3. Transaction Date | 3A. Deemed | 4. | 5. | 6. Date Exercisable and | | 7. Title | and | 8. Price of | 9. Nu |
|-------------|-------------|---------------------|--------------------|-------------------|---------------|-------------------------|------------|-----------|-------------|-------------|--------|
| Derivative | Conversion | (Month/Day/Year) | Execution Date, if | TransactionNumber | | Expiration D | ate | Amount | of | Derivative | Deriv |
| Security | or Exercise | | any | Code | of | (Month/Day/ | Year) | Underly | ing | Security | Secui |
| (Instr. 3) | Price of | | (Month/Day/Year) | (Instr. 8) | B) Derivative | | | Securitie | es | (Instr. 5) | Bene |
| | Derivative | vative Securities | | | | | | (Instr. 3 | and 4) | | Owne |
| | Security | | | | Acquired | | | | | | Follo |
| | | | | | (A) or | | | | | | Repo |
| | | | | | Disposed | | | | | | Trans |
| | | | | | of (D) | | | | | | (Instr |
| | | | | | (Instr. 3, | | | | | | |
| | | | | | 4, and 5) | | | | | | |
| | | | | | | | | Δ | mount | | |
| | | | | | | | | | | | |
| | | | | | | Date | Expiration | Title N | ı Iumber | | |
| | | | | | | Exercisable | Date | 01 | | | |
| | | | | Code V | (A) (D) | | | | hares | | |

Reporting Owners

Relationships Reporting Owner Name / Address Officer Other Director 10% Owner

X

ROONEY THOMAS S JR C/O INSITUFORM TECHNOLOGIES, INC. 702 SPIRIT 40 PARK DRIVE CHESTERFIELD, MO 63005

President & CEO

Signatures

/s/ Thomas S. 12/20/2004 Rooney, Jr.

**Signature of Reporting Date

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).
- Forfeiture of restricted stock awarded on May 27, 2003, under the amended and restated 2001 Employee Equity Incentive Plan. The restrictions were to lapse on May 27, 2006, provided that certain performance goals were met as of March 31, 2004. The performance goals were not met as of March 31, 2004, and the shares of restricted stock reported herein were forfeited by Mr. Rooney as of April 29, 2004.
- Number of shares owned as of April 29, 2004, the date of the latest transaction reported herein. Mr. Rooney acquired 26,000 shares of restricted stock on October 27, 2004, which acquisition has been previously reported on a separate Form 4 filed on October 29, 2004.

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.

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