Edgar Filing: BEAR STEARNS COMPANIES INC - Form 4

BEAR STEARNS COMPANIES INC Form 4 January 13, 2003

SEC Form 4

| FORM 4 | UNITE | UNITED STATES SECURITIES AND EXCHANGE COMMISSION | | | | | | | |
|---|--|--|---|------------------|---|---|---|--|--|
| [] Check this box if no lon subject to Section 16. Form or Form | 0 | Washington, D.C. 20549 | | | | | | | |
| 5 obligations may continue See Instruction 1(b). | STATE | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP | | | | | | | |
| | | | Public Utilit | y | f 1934, Section 17(a | .) 01 110 | r response 0.5 | | |
| 1. Name and Address of Rep Greenberg, Alan C. | any Act of 1935 or Section 30(f) of 2. Issuer Name and Ticker or Trading Symbol | | 4. Statement for (Month/Year) | | 6. Relationship of Reporting Person(s) to Issuer | | | | |
| (Last) (First) (Middle) c/o Bear, Stearns & Co. Inc. 383 Madison Avenue | | The Bear Stearns Companies Inc. BSC | | January 10, 2003 | | | (Check all applicable) | | |
| (Stree New York, NY 10179 | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | | 5. If Amendment, Date of Original (Month/Year) | | Officer Other Officer/Other Description 7. Individual or Joint/Group Filing (Check Applicable Line) X Individual Filing Joint/Group Filing | | | | |
| (City) (Stat U.S.A. | | | | | | | | | |
| Table I - Non-Derivative | Securities Acquired, I | Disposed of, or H | Beneficially Owne | ed | | | | | |
| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 3. Transaction Code and Voluntary Code (Instr. 8) | 4. Securities Acq Disposed (D) Of (Instr. 3, 4, and | | 5. Amount of Securities Beneficially Owned at End ofMonth (Instr. 3 and 4) | 6. Owner- ship Form: Direct(D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | | Code V Amount Pric | | | | | | | |
| Common Stock |)1/10/2003 | M (1) | 44,240 \$38.75 | A 00 | | D | | | |
| Common Stock |)1/10/2003 | SI | 44,240 \$63.00 | D 00 | 10,00 | 0 D | | | |
| | | | | | | | | | |

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

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

(over) SEC 1474 (3-99)

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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) | | | | | | | | | | |
|--|--|---|--------------------------|--|------------|--|------------------------------|--|--|---|
| 1. Title of Derivative Security (Instr. 3) | 2. Conver- sion or Exercise Price of Deri- vative Security | 3. Transaction Date (Month/ Day/ Year) | Code and Voluntary | of Derivative Securities Acquired | Expiration | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | of Derivative Security | Securities Beneficially Owned at End of Month (Instr.4) | 10. Owner- ship Form of Deriv- ative Security: Direct (D) or Indirect (I) | 11. Nature of Indirect Beneficial Ownership (Instr.4) |
| Employee Stock Option (Right to Buy) | \$0.0000 | 01/10/2003 | M (1) | (D) 44,240 | 01/10/2003 | Common Stock - 44,240 | \$38.7500 | 0 | D | |

Explanation of Responses :

** Intentional misstatements or omissions of facts By: Alan C. Greenberg

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 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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Form 4 (continued)

FOOTNOTE Descriptions for The Bear Stearns Companies Inc. BSC

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Alan C. Greenberg c/o Bear, Stearns & Co. Inc. 383 Madison Avenue New York, NY 10179

Explanation of responses:

(1) Exercise of Employee Stock Option (Right to Buy) granted 01/10/2000 and

** Signature of Reporting Person

Date

Power of Attorney

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distribution of common stock to Reporting Person pursuant to Issuer's Stock Award Plan, exempt under Rule 16b-3.

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