

Edgar Filing: ERICKSON KENNETH J - Form 4

ERICKSON KENNETH J
Form 4
February 19, 2003

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*

Erickson	Kenneth	J.
-----	-----	-----
(Last)	(First)	(Middle)
11122 Hidden Springs Ct.		

(Street)		
Dubuque	IA	52003
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(City)	(State)	(Zip)

2. Issuer Name and Ticker or Trading Symbol

Heartland Financial USA, Inc. HTLF

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

4. Statement for Month/Year

February 14, 2003

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

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

☐ Director	☐ 10% Owner
☒ Officer (give title below)	☐ Other (specify below)

Executive Vice President & Chief Credit Officer

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

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1. Title of Derivative Security (Instr. 3)	2. Conver- sion or Exer- cise Price of Deriv- ative Secur- ity	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8) ----- Code V	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- (A) (D)	6. Date Exercisable and Expiration Date (Month/Day/Year) ----- Date Exer- Expira- cisable tion Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4) ----- Amount or Number of Shares			
Non-Qualified Stock Option (Right to Buy)	8.00	2-14-03	M	16,000	(2) 5-18-2005	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	8.62				(2) 2-05-2006	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	12.00				(2) 1-02-2007	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	14.75				(2) 1-02-2008	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	18.00				(2) 1-02-2009	Common Stock	12,000		
Non-Qualified Stock Option (Right to Buy)	18.00				(2) 1-17-2010	Common Stock	3,000		
Non-Qualified Stock Option (Right to Buy)	13.00				(2) 6-01-2011	Common Stock	2,000		
Non-Qualified Stock Option (Right to Buy)	13.20				(2) 1-15-2012	Common Stock	1,500		
Non-Qualified Stock Option (Right to Buy)	17.76				(2) 1-21-2013	Common Stock	4,000		

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Explanation of Responses:

(1) Includes 6,333 shares held jointly with reporting person's spouse
(2) Represents options to buy granted under the Company's 1993
Stock Option Plan, a Rule 16(b)(3) plan, which options vest
one-third per year beginning on the 3rd anniversary of date of grant.

/s/ Kenneth J. Erickson

2/14/03

**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.

Page 2