

Edgar Filing: BEAR STEARNS COMPANIES INC - Form 4

BEAR STEARNS COMPANIES INC  
Form 4  
March 28, 2003

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FORM 4  
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OMB APPROVAL  
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OMB Number: 3235-0287  
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UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

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(h) of the Investment Company Act of 1940

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

(Print or Type Responses)

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1. Name and Address of Reporting Person\*

NOVELLY PAUL A.  
-----  
(Last) (First) (Middle)  
  
8235 FORSYTH BLVD., SUITE 400  
-----  
(Street)

ST. LOUIS MO 63105  
-----  
(City) (State) (Zip)

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2. Issuer Name AND Ticker or Trading Symbol

THE BEAR STEARNS COMPANIES INC. (BSC)  
=====

3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)

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4. Statement for Month/Day/Year

November 30, 2002  
=====

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

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

- [ X ] Director
- [ ] Officer (give title below)
- [ ] 10% Owner
- [ ] Other (specify below)

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7. Individual or Joint/Group Filing (Check Applicable Line)

Form filed by One Reporting Person  
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 Form filed by More than One Reporting Person  
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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>(Month/<br>Day/Year) | 2A.<br>Deemed<br>Execution<br>Date, if any<br>(Month/<br>Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) |   | 4.<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |                  | Price |
|---|---|--|---|---|--|------------------|-------|
|   |   |  | Code                                    | V | Amount   | (A)<br>or<br>(D) |       |
| COMMON STOCK, par<br>value \$1.00 per share |   |  |   |   |  |                  |       |

TABLE II -- DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIA  
(E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

| 1.<br>Title of<br>Derivative<br>Security | 2.<br>Conver-<br>sion<br>or<br>Exer-<br>cise<br>Price<br>of<br>Deriv-<br>ative<br>Secu- | 3.<br>Trans-<br>action<br>Date<br>(Month/<br>Day/ | 3A.<br>Execu-<br>tion<br>Date,<br>if any<br>(Month/<br>Day/ | 4.<br>Trans-<br>action<br>Code<br>(Instr.<br>8) | 5.<br>Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D)<br>(Instr. 3,<br>4 and 5) | 6.<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                 | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br><br>Amount<br>or<br>Number<br>of |
|--|---|---|---|---|--|--|-----------------|---|
|  |   |   |   |   |  | Date   | Expira-<br>tion |   |

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| (Instr. 3)  | rity    | Year)    | Year) | Code V           | (A) | (D) | cisable  | Date     | Title           | Shares |
|---|---------|----------|-------|------------------|-----|-----|----------|----------|-----------------|--------|
| Non-Employee<br>Director Stock<br>Options (Right<br>to Buy) | \$64.00 | 11/30/02 |       | A<br>(Note<br>2) | 146 |     | 05/30/03 | 11/30/12 | Common<br>Stock | 146    |
| Restricted Stock<br>Units                                   | 0       | 11/30/02 |       | A<br>(Note<br>3) | 48  |     | 05/30/03 | 05/30/03 | Common<br>Stock | 48     |
|   |         |          |       |                  |     |     |          |          |                 |        |
|   |         |          |       |                  |     |     |          |          |                 |        |
|   |         |          |       |                  |     |     |          |          |                 |        |
|   |         |          |       |                  |     |     |          |          |                 |        |