

Edgar Filing: RICCA MARK A - Form 3/A

RICCA MARK A
Form 3/A
February 14, 2003

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| FORM 3 |
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U.S. SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person*

Ricca Mark Adrian
(Last) (First) (Middle)
615 Merrick Avenue
(Street)
Westbury New York 11590
(City) (State) (Zip)

2. Date of Event Requiring Statment (Month/Day/Year) January 1, 2003

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

4. Issuer Name and Ticker or Trading Symbol New York Community Bancorp, Inc.
(NYB)

5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
___ Director X Officer ___ 10% Owner ___ Other
(give title below) (specify below)
Executive VP, General Counsel & Corp. Sec'y

6. If Amendment, Date of Original (Month/Day/Year) January 8, 2003

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

Form filed by One Reporting Person

Form filed by More than One Reporting Person

TABLE I--NON-DERIVATIVE SECURITIES BENEFICIALLY OWNED

| 1. Title of Security (Instr. 3) | 2. Transaction Date (mm/dd/yy) | 2A. Deemed Execution Date, if any (mm/dd/yy) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned at End of Fiscal Year (Instr. 5) |
|---------------------------------|--------------------------------|--|--------------------------------|---|------------|-------|---|
| | | | | Amount | (A) or (D) | Price | |
| Common Stock | | | | | | | 26,92 |
| Common Stock | | | | | | | 7,62 |
| Common Stock | | | | | | | 5,23 |
| Common Stock | | | | | | | 6,05 |
| Common Stock | | | | | | | 78 |

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(Over)
SEC 1473 (9-02)

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FORM 3 (continued)

TABLE II--DERIVATIVE SECURITIES BENEFICIALLY OWNED
(E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

| 1. Title of Derivative Security (Instr. 3) | 2. Date Exercisable and Expiration Date (mm/dd/yy) | 3. Title and Amount of Securities Underlying Derivative Security | 4. Conversion or Exercise Price of Derivative Security | 5. |
|--|--|--|--|----|
|--|--|--|--|----|

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(Instr. 4)

| | Date Exer- cisable | Expir- ation Date | Title | Amount or Number of Shares | |
|--|--------------------------|-------------------------|-----------------|--|---------|
| Option to Purchase Common Stock (5) | 11-30-00 | 2-23-08 | Common Stock | 26,566 | \$11.06 |
| Option to Purchase Common Stock (5) | 1-18-02 | 1-18-10 | Common Stock | 4,744 | \$15.37 |
| Option to Purchase Common Stock (5) | 1-18-03 | 1-18-10 | Common Stock | 11,250 | \$15.37 |
| Option to Purchase Common Stock (5) | 1-18-04 | 1-18-10 | Common Stock | 11,250 | \$15.37 |
| Option to Purchase Common Stock (6) | 12-21-02 | 12-21-11 | Common Stock | 5,000 | \$22.23 |
| Option to Purchase Common Stock (6) | 12-21-03 | 12-21-11 | Common Stock | 5,000 | \$22.23 |
| Option to Purchase Common Stock (6) | 12-21-04 | 12-21-11 | Common Stock | 5,000 | \$22.23 |
| Option to Purchase Common Stock (6) | 7-24-03 | 7-24-12 | Common Stock | 10,000 | \$24.61 |
| Option to Purchase Common Stock (6) | 7-24-04 | 7-24-12 | Common Stock | 10,000 | \$24.61 |
| Option to Purchase Common Stock (6) | 7-24-04 | 7-24-12 | Common Stock | 10,000 | \$24.61 |

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

Explanation of Responses:

- (1) Represents shares allocated to individual's account as of 12-30-02 pursuant to the New York Stock Ownership Plan.
- (2) Represents shares rolled over from the CFS Bank ESOP to, and subsequently purchased in, the For purposes of this report, units in the NYCB ESP have been converted into an approximate Stock. The actual number of shares held by the reporting person may vary when such units are upon distribution of the units to the reporting person.
- (3) Represents shares purchased through the CFS Bank 401(k) Plan, which NYCB was successor to upon acquisition.
- (4) Represents shares granted on February 15, 2002 under the Haven Bancorp, Inc. (Haven) Stock February 15, 2003. The reporting person inadvertently reported that he held 1,560 shares " actually held 780 shares in this account.
- (5) Represents options to purchase shares granted under the Haven 1996 Stock Option Plan.
- (6) Represents options to purchase shares granted under the New York Community Bancorp, Inc. 1997 Queens County Bancorp, Inc. 1997 Stock Option Plan.

/s/ Mark A. Ricca

February 14, 2003

**Signature of Reporting Person

Date

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** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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

Note: File three copies of this form, one of which must be manually signed. If space provided is insufficient, see Instruction 6 for procedure.

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