Edgar Filing: CHANG KUO WEI HERBERT - Form 4

CHANG KUO WEI HERBERT

Form 4 April 01, 2003

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287 Expires: January 31, 2005 Estimated average burden hours per response. . . 0.5

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

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

Filed By Romeo and Dye's Section 16 Filer www.section16.net

1. Name and Address of Chang Kuo Wei (Herb				ame and echnolog			Per to 1	Relationship of Reporting rson(s) Issuer (Check all applicable)				
(Last) (First	o	f Repor	tin	entification g Person (voluntar	,	umber	4. Statement for Month/Day/Year March 28, 2003	109	X Director			
(Stree		5. If Amendment, Date of Original (Month/Day/Year)							7. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City) (Stat				abl			erivative	Securities Acquire		sed of, or Beneficially Owned		
1. Title of Security (Instr. 3)	action Date	2A. Deemed Execution Date, if any (Month/Day/ Year)	Trans action Code (Instr 8)	i- 1	4. Securi Acquired Disposed (Instr. 3,	l (A) l of (or (D) 5)	Securities ship Beneficially Dire Owned Follow- ing Reported (I) Transactions(s) (Ins		7. Nature of Indirect : Beneficial Ownership (Instr. 4)		
Common Stock, par value \$0.002 per share	03/28/03		S		2,400	D	\$22.15		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		4,200	D	\$22.1		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		5,000	D	\$22.45		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		3,300	D	\$22.3		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		1,700	D	\$22.31		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		5,000	D	\$22.19		I	By Investar Burgeon Venture Capital, Inc.		
Common Stock, par value \$0.002 per share	03/28/03		S		2,213	D	\$22.4		I	By Investar Burgeon Venture Capital, Inc.		

Edgar Filing: CHANG KUO WEI HERBERT - Form 4

Common Stock, par	03/28/03	S	5,800	D	\$21.91		I	By Investar Burgeon Venture
value \$0.002 per share								Capital, Inc.
Common Stock, par value \$0.002 per share	03/28/03	S	14,500	D	\$22.0		I	By Investar Burgeon Venture Capital, Inc.
Common Stock, par value \$0.002 per share	03/28/03	S	5,500	D	\$22.05		I	By Investar Burgeon Venture Capital, Inc.
Common Stock, par value \$0.002 per share	03/28/03	S	7,787	D	\$22.4		I	By Investar Burgeon Venture Capital, Inc.
Common Stock, par value \$0.002 per share	03/28/03	S	2,600	D	\$22.15	474,000	I	By Investar Burgeon Venture Capital, Inc.
Common Stock, par value \$0.002 per share						3,096,488	I	By Investar Semiconductor Development Fund, Inc.
Common Stock, par value \$0.002 per share						210,000	I	By Investar Dayspring Venture Capital, Inc.
Common Stock, par value \$0.002 per share						50,796	I	By Investar Capital, Inc.
Common Stock, par value \$0.002 per share						50,000	I	By Investar Excelsus Venture Capital (Int'l.) Inc.
Common Stock, par value \$0.002 per share						184,616	I	By Forefront Venture Partners, L.P.
Common Stock, par value \$0.002 per share						181,000	D	

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number

FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2. Conver-	3.	3A.	4.	5.		6. Date Exerc	isable	7. Title an	ıd	8. Price of	9. Number of	10.	11. Nature
Derivative	sion or	Trans-	Deemed	Trans-	Nur	Numberand Expiration A				f	Derivative	Derivative	Owner-	of Indirect
Security	Exercise	action	Execution	action	of		Date		Underlyin	g	Security	Securities	ship	Beneficial
	Price of	Date	Date,	Code	Der	ivati	Menth/Day/		Securities		(Instr. 5)	Beneficially	Form	Ownership
(Instr. 3)	Derivative		if any		Sec	uriti	(Xear)		(Instr. 3 &	(4)		Owned	of Deriv-	(Instr. 4)
	Security	(Month/	(Month/	(Instr.	Acc	uire	d					Following	ative	
		Day/	Day/	8)	(A)	or						Reported	Security:	
		Year)	Year)		Dis	pose	d					Transaction(s)	Direct	
					of (D)						(Instr. 4)	(D)	
												(1110411 1)	or	
					(Ins	tr.							Indirect	
					3, 4	&							(I)	
					5)								(Instr. 4)	
				Code V	7 (A)	(D)	Date	Expira-	Title	Amount	1			
				Code	(11)			tion		or				
							Exci-cisable	Date		Number				
								Date		of				
										Shares				
Stock	\$15.00						(1)	06/26/10	Common			30,000	D	
	\$15.00						<u>-</u>			30,000		30,000	ע	
Option (Dight to									Stock					
(Right to														
Buy)					1									

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

Edgar Filing: CHANG KUO WEI HERBERT - Form 4

Stock	\$20.58			(2)	06/26/11	Common	6,000	6,000	D	
Option						Stock				
(Right to										
Buy)										
Stock	\$21.59			(3)	06/21/12	Common	6,000	6,000	D	
Option						Stock				
(Right to										
Buy)										

Explanation of Responses:

- (1) Of such 30,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 20% on 06/26/01 and 500 shares per month from 07/26/01 through 06/26/05. Reflects non-discretionary grants under 1997 Directors Plan.
- (2) Of such 6,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 500 shares per month from 07/21/05 through 06/21/06. Reflects non-dsicretionary grants under 1997 Directors Plan.
- (3) Of such 6,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 500 shares per month from 07/21/06 through 06/21/07. Reflects non-discretionary grants under 1997 Directors Plan.

By: /s/ Kuo Wei (Herbert) Chang

April 1, 2003

Date

**Signature of Reporting Person

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

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