

Edgar Filing: LUBRIZOL CORP - Form 5

LUBRIZOL CORP
 Form 5
 February 09, 2001

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
 WASHINGTON, D.C. 20549
 FORM 5

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

- () Check box if no longer subject to Section 16.
- Form 4 or Form 5 obligations may continue. See Instructions 1(b).
- () Form 3 Holdings Reported
- () Form 4 Transactions Reported
- 1. Name and Address of Reporting Person
 Blumberg, Jerald A.
 103 North Wynden Estates Ct.
 Houston, TX 77056
- 2. Issuer Name and Ticker or Trading Symbol
 The Lubrizol Corporation
 LZ
- 3. IRS or Social Security Number of Reporting Person (Voluntary)
- 4. Statement for Month/Year
 12/31/00
- 5. If Amendment, Date of Original (Month/Year)
- 6. Relationship of Reporting Person(s) to Issuer (Check all applicable)
 (X) Director () 10% Owner () Officer (give title below) () Other
 (specify below)
- 7. Individual or Joint/Group Reporting (Check Applicable Line)
 (X) Form filed by One Reporting Person
 () Form filed by More than One Reporting Person

Table I -- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security | 2. Transaction Date | 3. Code | 4. Securities Acquired (A) or Disposed of (D) Amount | 5. Amount of Securities Beneficially Owned at End of Year |
|----------------------|---------------------|---------|---|---|
| Common Shares | (1) | A | 1,872.4004 | 4,197.9932 (2) |

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Derivative Security | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date | 4. Code | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) Amount | 6. Date Exercisable and Expiration Date Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities Title and Number of Shares | 8. Put or Call or Other Feature of Underlying Securities |
|---------------------------------|--|---------------------|---------|--|--|--|--|
|---------------------------------|--|---------------------|---------|--|--|--|--|

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| | | | | | | | | | | |
|--------------------------------------|---|-----------|----------|---|-------|---|----------|----------|--------------|-------|
| Director Stock Option (Right to Buy) | R | \$25.7188 | 5/1/2000 | A | 2,500 | A | 5/1/2001 | 5/1/2010 | Common Share | 1,250 |
| | | | | | | | 002 | 010 | s | 625 |
| | | | | | | | 003 | 010 | s | 625 |

Explanation of Responses:

(1) Acquired on various dates between January 1 and December 31, 2000, pursuant to Lubrizol's deferred compensation plan and deferred stock compensation plan, at prices ranging from \$18.9375 to \$29.62 per share.

(2) Includes Common Shares that previously were reported on Table I as Phantom Stock Units, which are payable in Common Shares on a 1-for-1 basis.

SIGNATURE OF REPORTING PERSON

/s/ Jerald A. Blumberg by Leslie M. Reynolds

DATE

February 8, 2001