

Edgar Filing: MOCK WAYNE E - Form 3

MOCK WAYNE E

Form 3

January 10, 2002

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
 Washington, D.C. 20549  
 FORM 3 INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

1. Name and Address of Reporting Person  
 Mock, Wayne E.  
 6300 Bridgepoint Parkway  
 Building Three, Suite 200  
 Austin, TX 78730
2. Date of Event Requiring Statement (Month/Day/Year)  
 1/1/02
3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)
4. Issuer Name and Ticker or Trading Symbol  
 Concerco Inc. (CERO)
5. Relationship of Reporting Person to Issuer (Check all applicable)  
 Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 Chief Technology Officer
6. If Amendment, Date of Original (Month/Day/Year)
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 | 2) Amount of Securities Beneficially Owned | 3) D or I | 4) Nature of Indirect or Beneficial Ownership |
|----------------------|--|-----------|---|
| Common Stock         | 2,443                                      | D         | Direct  |

Table II Derivative Securities Beneficially Owned

| 1) Title of Derivative Security           | 2) Date Exercisable and Expiration Date (Month/Day/Year) | 3) Title and Amount of Securities Underlying Derivative Security | 4) Conversion or Exercise Price of Derivative Security |
|---|--|--|--|
|   | Date Exercisable   | Expiration Date  | Title  |
| Non-Qualified Stock Option (right to buy) | (1)  | 08/15/11   | Common Stock   |
| Non-Qualified Stock Option (right to buy) | (2)  | 04/23/11   | Common Stock   |
| Non-Qualified Stock Option (right to buy) | (3)  | 09/29/08   | Common Stock   |
| Non-Qualified Stock Option (right to buy) | (4)  | 12/15/10   | Common Stock   |
| Non-Qualified Stock Option                | (5)  | 10/20/08   | Common Stock   |

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|  |      |          |              |       |        |
|--|------|----------|--------------|-------|--------|
| (right to buy)<br>Non-Qualified Stock Option | (6)  | 06/15/09 | Common Stock | 5,000 | \$3.00 |
| (right to buy)<br>Non-Qualified Stock Option | (7)  | 02/09/09 | Common Stock | 5,000 | \$3.87 |
| (right to buy)<br>Non-Qualified Stock Option | (8)  | 09/27/06 | Common Stock | 770   | \$3.90 |
| (right to buy)<br>Non-Qualified Stock Option | (9)  | 11/01/06 | Common Stock | 77    | \$4.55 |
| (right to buy)<br>Non-Qualified Stock Option | (10) | 05/31/10 | Common Stock | 2,000 | \$9.62 |

#### Explanation of Responses:

- (1) Option to purchase 25,000 shares becomes exercisable in two (2) equal annual installments beginning
- (2) Option to purchase 13,710 shares becomes exercisable in two (2) equal annual installments beginning
- (3) 3,750 options are currently exercisable. The remaining 1250 options become exercisable on September
- (4) 5,000 options are currently exercisable. The remaining 15,000 options are exercisable in three installments beginning December 15, 2002.
- (5) 5,250 options are currently exercisable. The remaining 4,750 options become exercisable on October
- (6) 2,500 options are currently exercisable. The remaining 2,500 options are exercisable in two installments beginning June 15, 2002.
- (7) 2,500 options are currently exercisable. The remaining 2,500 options are exercisable in two installments beginning February 9, 2002.
- (8) 770 options are currently exercisable.
- (9) 77 options are currently exercisable.
- (10) 500 options are currently exercisable. The remaining 1,500 options are exercisable in three installments beginning May 31, 2002.

SIGNATURE OF REPORTING PERSON

/s/ Mock, Wayne E.

DATE January 10, 2001