Edgar Filing: BEAR STEARNS COMPANIES INC - Form 4

BEAR STEARNS COMPANIES INC

Form 4

December 04, 2002

SEC Form 4/A

FORM 4	UNITE	ED STATES	S SECURITI COMMISS		EXCHANGI	C OI	OMB APPROVAL		
[] Check this box if no lor subject to Section 16. For		7	Washington, D.C.						
or Form 5 obligations may continu See Instruction 1(b).	e. STATE	EMENT OF CHANGES IN BENEFICIAL OWNERS				Expires: J Estimated	OMB Number: 3235-0287 Expires: January 31, 2005 Estimated average burden		
			Public Utilit	y	f 1934, Section 17(a	d) of the	response 0.5		
1. Name and Address of Re Minikes, Michael	any Act of 1935 or Section 30(f) of 2. Issuer Name and Ticker or Trading Symbol		Statement for (Month/Year)		5. Relationship of Reporting Person(s) to ssuer (Check all applicable)				
(Last) (First) (Middle) c/o Bear, Stearns & Co. Inc. 383 Madison Avenue		The Bear Stearns Companies Inc. BSC		December 4, 2002		Direct	or10%		
(Street) New York, NY 10179		3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)		11/29/2002 Do		X Officer cer/Other cription Treasurer			
(City) (State) (Zip) U.S.A.						7. Individual or Joint/Group Filing (Check Applicable Line) X Individual Filing Joint/Group Filing			
Table I - Non-Derivativ	e Securities Acquired, I	Disposed of, or I	Beneficially Owne	ed	<u>. </u>				
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	3. Transaction Code and Voluntary Code (Instr. 8)	4. Securities Acq Disposed (D) Of (Instr. 3, 4, and		5. Amount of Securities Beneficially Owned at End ofMonth (Instr. 3 and 4)	6. Owner-ship Form: Direct(D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
		Code V	Amount Pric						
Common Stock	11/26/2002	M (1)	115,779	A		D			
Common Stock	11/26/2002	J (2)	91,667 \$60.96	D 00		D			
Common Stock	11/26/2002	SI	8,333(3) \$62.95	D 00	304,94	4 D			

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

(over)

SEC 1474 (3-99)

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

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Form 4 (continued)

Table II			cquired, Disp nts, options, c		eneficially Owned curities)					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/ Day/ Year)	Transaction Code and Voluntary		6. Date Exercisable(DE) and Expiration Date(ED) (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	of Derivative Security	9. Number of Derivative Securities Beneficially Owned at End of Month (Instr.4)	10. Owner- ship Form of Deriv- ative Security: Direct (D) or Indirect (I)	11. Nature of Indirect Beneficial Ownership (Instr.4)
CAP Units (1997)	\$0.0000	11/26/2002	M (1)	(D) 115,779	11/30/2002 11/30/2002	Common Stock - 115,779		0	D	

Explanation of Responses:

** Intentional misstatements or omissions of facts	By: Michael Minikes
constitute Federal Criminal Violations.	
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).	** Signature of Reporting Person
	Date
Note: File three copies of this Form, one of which must be manually signed. If space is insufficient,	Power of Attorney
See Instruction 6 for procedure.	Page 2 SEC 1474 (3-99)
Potential persons who are to respond to the collection of information contained in this form	
are not	
required to respond unless the form displays a currently valid OMB number.	

Minikes, Michael - November 2002

Form 4 (continued)

_	r The Bear Stearns Companies BSC
	Form 4 - November 2002
Michael Minikes c/o Bear, Stearns & Co. Inc. 383 Madison Avenue New York, NY 10179	
Explanation of responses:	

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pursuant to CAP Plan; exempt under Rule 16b-3. Includes 100,000 shares of common stock subject to a forward contract pursuant to the CAP Plan with The Bear Stearns Companies Inc. entered into by the Reporting Person on September 3, 2002.

- (2) On September 3, 2002, the Reporting Person entered into a forward contract pursuant to the CAP Plan with The Bear Stearns Companies Inc. (BSC) in which the Reporting Person agreed to sell up to, and including, 100,000 common shares of BSC issuable upon settlement of CAP Units pursuant to the CAP Plan to BSC. The forward contract settled on November 26, 2002. On November 26, 2002, the Reporting Person delivered to BSC 91,667 common shares of BSC in settlement of its obligation under the forward contract at a purchase price of \$60.96 per share.
- (3) On November 29, 2002, the Reporting Person mistakenly filed a Form 4 reporting a sale of 8,227 shares that did not in fact occur and a disposition to the issuer of 7,552 shares that did not in fact occur. As of December 4, 2002, the Reporting Person owned 304,944 shares of common stock.

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