

Edgar Filing: TOWER AUTOMOTIVE INC - Form 4

TOWER AUTOMOTIVE INC
Form 4
October 09, 2001

U.S. SECURITIES AND EXCHANGE COMMISSION
Washington D.C. 20549
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(f) of the Investment Company Act of 1940

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

1. Name and Address of Reporting Person*
Barone Tony A.
(Last) (First) (Middle)

c/o Tower Automotive, Inc. 6303 28th Street, S.E.
(Street)

Grand Rapids MI 49546
(City) (State) (Zip)
2. Issuer Name and Ticker or Trading Symbol
Tower Automotive, Inc. TWR
3. IRS or Social Security Number of Reporting Person (Voluntary)
4. Statement for Month/Year
9/01
5. If Amendment, Date of Original (Month/Year)
6. Relationship of Reporting Person to Issuer (Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
-Vice President, Treasurer and CFO
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 Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)
Common Stock
2. Transaction Date (Month/Day/Year)
9/17/01
3. Transaction Code (Instr. 8)
Code A
V yes
4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)

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Amount 38,954
(A) or (D) (A) (1)
Price

5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4)
 - a. 54,238.816
 - b. 2,797.5244
6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)
 - a. (D)
 - b. (I)
7. Nature of Indirect Beneficial Ownership (Instr. 4)
by 401(K) Trust

(1) Subject to vesting on 9/17/04

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

(Print or Type Responses)

*If the Form is filed by more than one Reporting Person, see Instruction 4(b)(v)

(over)

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)
 - a. Employee Stock Option (Right to Buy)
 - b. Employee Stock Option (Right to Buy)
 - c. Employee Stock Option (Right to Buy)
 - d. Employee Stock Option (Right to Buy)
2. Conversion or Exercise Price of Derivative Security
 - a. \$18.9375
 - b. \$22.9688
 - c. \$17.125
 - d. \$19.25
3. Transaction Date (Month/Day/Year)
 - a. 9/17/01
 - b. 9/17/01
 - c. 9/17/01
 - d. 9/17/01
4. Transaction Code (Instr. 8)
 - a. Code D
V yes
 - b. Code D
V yes
 - c. Code D
V yes
 - d. Code D
V yes
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,

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- 4, and 5)
- a. (A)
(D) 20,000
 - b. (A)
(D) 20,000
 - c. (A)
(D) 20,000
 - d. (A)
(D) 50,000
6. Date Exercisable and Expiration Date (Month/Day/Year)
- a. Date Exercisable 2/25/98
Expiration Date 2/25/07
 - b. Date Exercisable 2/24/99
Expiration Date 2/24/08
 - c. Date Exercisable 9/11/99
Expiration Date 9/11/08
 - d. Date Exercisable 3/02/00
Expiration Date 3/02/09
7. Title and Amount of Underlying Securities (Instr. 3 and 4)
- a. Title Common Stock
Amount or Number of Shares 20,000
 - b. Title Common Stock
Amount or Number of Shares 20,000
 - c. Title Common Stock
Amount or Number of Shares 20,000
 - d. Title Common Stock
Amount or Number of Shares 50,000
8. Price of Derivative Security (Instr. 5)
9. Number of Derivative Securities Beneficially Owned at End of Month (Instr. 4)
- a. -0-
 - b. -0-
 - c. -0-
 - d. -0-
10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)
11. Nature of Indirect Beneficial Ownership (Instr. 4)

Explanation of Responses:

/s/ Michael G. Wooldridge 10-08-01
**Signature of Reporting Person Date
Michael G. Wooldridge for
Tony Barone by Power of Attorney

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

Note: File three copies of this Form, one of which must be manually signed. If

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space provided is insufficient, see Instruction 6 for procedure.