

Edgar Filing: RICCA MARK A - Form 5

RICCA MARK A
Form 5
February 14, 2003

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/ OMB APPROVAL /
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| FORM 5 |
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U.S. SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

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

ANNUAL 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

☐ Form 3 Holdings Reported

☐ Form 4 Transactions Reported

(Print or Type Responses)

1. Name and Address of Reporting Person*

Ricca	Mark	A.
(Last)	(First)	(Middle)
615 Merrick Avenue		
(Street)		
Westbury	NY	11590
(City)	(State)	(Zip)

2. Issuer Name and Ticker or Trading Symbol New York Community Bancorp, Inc.
(NYB)

3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)

4. Statement for Month/Year December 2002

5. If Amendment, Date of Original (Month/Year)

6. Relationship of Reporting Person(s) to Issuer (Check all applicable)

Director X Officer ___ 10% Owner ___ Other

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----- (give title below) (specify below)

Executive VP, General Counsel & Corp. Sec'y

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 BENEFIC

1. Title of Security (Instr. 3)	2. Trans- action Date (mm/dd/ yy)	2A. Deemed Execution Date, if any (mm/dd/yy)	3. Trans- action Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount Secur Benef Owned End o Fisca (Inst
			Code	Amount	(A) or (D)	Price	
Common Stock						26	
Common Stock						9	
Common Stock						5	
Common Stock						6	
Common Stock							

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

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

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not required to respond unless the form displays a currently valid OMB Number.

(Over)
SEC 2270 (9-02)

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FORM 5 (continued)

TABLE II--DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OW
(E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transaction Code (Instr. 8)	5.
Option to Purchase Common Stock (5)	\$11.06			
Option to Purchase Common Stock (5)	\$15.37			
Option to Purchase Common Stock (5)	\$15.37			
Option to Purchase Common Stock (5)	\$15.37			
Option to Purchase Common Stock (6)	\$22.23			
Option to Purchase Common Stock (7)	\$24.61	7/24/02	A	
Option to Purchase Common Stock (8)	\$28.54			

TABLE II--DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OWNED (E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned At End of Year (Instr. 4)	10. Ownership of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)
Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
11/30/00	2/23/08	Common Stock	26,566	D
1/18/02	1/18/10	Common Stock	4,744	D

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1/18/03	1/18/10	Common Stock	11,250	11,250	D
1/18/04	1/18/10	Common Stock	11,250	11,250	D
12/21/02	12/21/11	Common Stock	15,000	15,000	D
7/24/03	7/24/12	Common Stock	30,000	30,000	D
1/21/04	1/21/13	Common Stock	90,000	90,000	D

Explanation of Responses:

- (1) This form reflects increases in beneficial ownership resulting from exempt acquisitions under an Employee Stock Ownership Plan ("ESOP") pursuant to Rule 16b-3(c).
- (2) Includes shares rolled over from the CFS Bank ESOP to the New York Community Bank 401(k) Plan. Also includes increases in beneficial ownership resulting from exempt acquisitions under the 401(k) Plan pursuant to Rule 16b-3(c). For purposes of this report, units in the 401(k) plan have been converted into an approximate number of shares of New York Community Bancorp, Inc. ("NYCB") common stock. The actual number of shares held by the reporting person in this account may vary when such units are actually converted into shares upon distribution of the units to the reporting person.
- (3) Represents shares purchased through the CFS Bank 401(k) Plan, which New York Community Bank was successor to under the Haven Bancorp, Inc. acquisition.
- (4) Represents shares granted on February 15, 2002 under the Haven Bancorp, Inc. Stock Incentive Plan, which will vest on February 15, 2003.
- (5) Options to purchase shares granted under the Haven Bancorp, Inc. 1996 Stock Option Plan.
- (6) Options granted pursuant to the NYCB 1997 Stock Option Plan that vest in three equal annual installments beginning on December 21, 2002.
- (7) Options granted pursuant to the NYCB 1997 Stock Option Plan that vest in three equal annual installments beginning on July 24, 2003.
- (8) Options granted pursuant to the NYCB 1997 Stock Option Plan that vest in three equal annual installments beginning on January 21, 2004.

/s/ Ilene A. Angarola

February 14, 2003

**Signature of Reporting Person

Date

By: Ilene A. Angarola, Power of Attorney
For: Mark A. Ricca

** 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 space provided is insufficient, see Instruction 6 for procedure.

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