

Edgar Filing: MCGONIGLE JOHN W - Form 4

MCGONIGLE JOHN W  
Form 4  
October 10, 2001

UNITED STATES 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

FORM 4

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

(Print or Type Responses)

1. Name and Address of Reporting Person\*

McGonigle John W.  
(Last) (First) (Middle)

c/o Federated Investors, Inc.  
Federated Investors Tower  
(Street)

Pittsburgh PA 15222-3779  
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Federated Investors, Inc. FII

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

4. Statement for Month/Year  
September, 2001

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

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

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Secretary, Executive Vice President, Chief Legal Officer

7. Individual or Joint/Group Filing (Check Applicable Limit)

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 (Instr. 3) | 2. Transaction Date | 3. Transaction Code | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 5. Amount of Securities Beneficially | 6. Ownership Form: |
|---------------------------------|---------------------|---------------------|--|--------------------------------------|--------------------|
|---------------------------------|---------------------|---------------------|--|--------------------------------------|--------------------|

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(Mon/day/year) (Instr. 8)

Owned at End of  
Month (Instr. 3  
and 4) Direct (D)  
or  
Indirect  
(I)  
(Instr. 4)

|                         |           | Code | V   | Amount  | (A) or<br>(D) | Price   |           |   |
|-------------------------|-----------|------|-----|---------|---------------|---------|-----------|---|
| Class B Common<br>Stock | 9/21/2001 | J    | (1) | 598,040 | D             | \$25.50 | 5,478,784 | I |

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

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

FORM 4 (continued)

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

| 1. Title of<br>Derivative Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 4. Transaction<br>Code (Instr.<br>8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4,<br>and 5) | 6. Date<br>Exercisa<br>Expirati<br>(Month/D |     |                  |
|--|--|--|--------------------------------------|---|---|-----|------------------|
|  |  |  | Code                                 | V   | (A)   | (D) | Date<br>Exercisa |

| 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative Securities<br>Beneficially Owned at<br>End of Month (Instr. 4) | 10. Ownership<br>Form of<br>Derivative<br>Security: Direct<br>(D) or indirect<br>(I)<br>(Instr. 4) | 11. Nature<br>Indirect Be<br>Ownership<br>(Instr. 4) |
|---|---|---|--|--|
|---|---|---|--|--|

| Title | Amount or<br>Number of<br>Shares |
|-------|----------------------------------|
|-------|----------------------------------|

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Explanation of Responses:

- (1) The reporting person contributed FII Class B Common Stock to an exchange fund in exchange for shares of the exchange fund. FII Class B Common Stock was valued at \$25.50 per share for the purpose of determining the number of shares of the exchange fund issuable to the reporting person. \*\* 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 is insufficient, See Instruction 6 for procedure. 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.

/s/ John W. McGonigle

October 10, 2001

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\*\*Signature of Reporting Person

Date