

ADTRAN INC
Form 4
October 19, 2004

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
HARVEY STEVEN L

(Last) (First) (Middle)

**C/O ADTRAN, 901 EXPLORER
BLVD**

(Street)

HUNTSVILLE, AL 35806

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ADTRAN INC [ADTN]

3. Date of Earliest Transaction
(Month/Day/Year)
10/18/2004

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
☒ Officer (give title below) ____ Other (specify
below) below)

Vice President Sales

6. 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)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock				(A) or (D)	33,866	D	

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

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form
displays a currently valid OMB control
number.**

SEC 1474
(9-02)

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

Edgar Filing: ADTRAN INC - Form 4

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Ar Underlying Se (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	A C M C
Incentive Stock Option (right to buy)	\$ 22.17	10/18/2004		A		4,501		10/18/2005 ⁽¹⁾	10/18/2014	Common Stock	
Non-Qualified Stock Option (right to buy)	\$ 22.17	10/18/2004		A		13,499		10/18/2005 ⁽¹⁾	10/18/2014	Common Stock	
Incentive Stock Option (right to buy)	\$ 8.7							07/12/2001 ⁽²⁾	07/12/2010	Common Stock	
Incentive Stock Option (right to buy)	\$ 10.5							10/16/2003 ⁽¹⁾	10/16/2012	Common Stock	
Incentive Stock Option (right to buy)	\$ 12.75							07/23/2002 ⁽¹⁾	07/23/2011	Common Stock	
Incentive Stock Option (right to buy)	\$ 18.94							02/05/1998	02/05/2007	Common Stock	
Incentive Stock Option (right to buy)	\$ 32.27							11/25/2004 ⁽¹⁾	11/25/2013	Common Stock	
Non-Qualified Stock Option (right to buy)	\$ 8.7							07/12/2001 ⁽³⁾	07/12/2010	Common Stock	
Non-Qualified Stock Option (right to buy)	\$ 9.72							01/04/2000	01/04/2009	Common Stock	
Non-Qualified Stock Option (right to buy)	\$ 10.5							10/16/2003 ⁽¹⁾	10/16/2012	Common Stock	
Non-Qualified Stock Option (right to buy)	\$ 12.75							07/23/2002 ⁽¹⁾	07/23/2011	Common Stock	
Non-Qualified	\$ 18.03							07/15/2000 ⁽⁴⁾	07/15/2009	Common	

Stock Option
(right to buy)

Stock

Non-Qualified
Stock Option \$ 32.27
(right to buy)

11/25/2004⁽¹⁾ 11/25/2013

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HARVEY STEVEN L C/O ADTRAN 901 EXPLORER BLVD HUNTSVILLE, AL 35806			Vice President Sales	

Signatures

By: Cathy Bartels For: Steven L.
Harvey 10/19/2004

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The option vests in four equal and annual installments beginning on the first anniversary date of the grant as shown in column 6.
- (2) The option vests as follows: 1 share on 7/12/03; 5,748 shares 7/12/2004
- (3) The option vests as follows: 15,000 shares on 08/30/02; 7,499 shares on 7/12/2003; 1,752 shares on 7/12/2004.
- (4) The option vests in five (5) equal annual installments beginning on July 15, 2000.

Remarks:

All option amounts and the shares of common stock held by the reporting person reflect an adjustment as a result of a two-for-

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.