

Edgar Filing: FARRELL ROBERT S - Form 5

FARRELL ROBERT S

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*

Farrell	Robert	S.
-----	-----	-----
(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)

X Director Officer ___ 10% Owner ___ Other

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

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 BENEFICIA

1. Title of Security (Instr. 3)	2. Transaction Date (mm/dd/yy)	2A. Deemed Execution Date, if any (mm/dd/yy)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount, Number of Shares or Other Units (Instr. 3, 4 and 5)
				(A) or (D)	
Common Stock					46
Common Stock					6
Common Stock					22
Common Stock					1

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).

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(Over)
SEC 2270 (9-02)

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FORM 5 (continued)

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

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. Amount, Number of Shares or Other Units (Instr. 3, 4 and 5)
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ative
Security Year)

Option to Purchase
Common Stock (1)

\$9.31

Option to Purchase
Common Stock (2)

\$24.61

7/24/02

A

2

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

6. Date Exer-
cisable and
Expiration
Date
(Month/Day/
Year)

7. Title and Amount of
Underlying Securities
(Instr. 3 and 4)

8. Price
of
Deriv-
ative
Secur-
ity
(Instr.
5)

9. Number of
Deriv-
ative
Secur-
ities
Bene-
ficially
Owned
At End
of Year
(Instr. 4)

10. Owner-
ship
of De-
rivative
Security:
Direct
(D) or
Indirect (

Date
Exer-
cisable

Expira-
tion
Date

Title

Amount or
Number of
Shares

Owned
At End
of Year
(Instr. 4)

7/31/01

10/20/08

Common
Stock

202,140

202,140

D

7/24/03

7/24/12

Common
Stock

25,500

25,500

D

Explanation of Responses:

- (1) In connection with the merger of Richmond County Financial Corp. ("Richmond County") with and into New York Community Bancorp, Inc. ("NYCB") on July 31, 2001, each option to purchase 1 share of Richmond County common stock held by the reporting person was converted to an option to purchase 1.02 shares of NYCB common stock. The exercise price per share for each converted NYCB option was determined by dividing the exercise price of such option by the 1.02 ratio, with such quotient to be rounded to the nearest whole cent.
- (2) Options granted under the NYCB 1997 Stock Option Plan that vest in three equal annual installments beginning on July 24, 2003.

/s/ Ilene A. Angarola

February 14, 2003

**Signature of Reporting Person

Date

By: Ilene A. Angarola, Power of Attorney
For: Robert S. Farrell

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** 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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