

Edgar Filing: HORSTMANN DOUGLAS J - Form 4

HORSTMANN DOUGLAS J  
Form 4  
February 19, 2003

U.S. SECURITIES AND EXCHANGE COMMISSION  
Washington, DC 20549

FORM 4

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 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\*

Horstmann	Douglas	J.
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(Last)	(First)	(Middle)
2418 Beacon Hill Dr.		
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(Street)		
Dubuque	IA	52003
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(City)	(State)	(Zip)

2. Issuer Name and Ticker or Trading Symbol

Heartland Financial USA, Inc. HTLF

3. IRS Identification Number of Reporting Person, if an Entity (Voluntary)

4. Statement for Month/Year

February 14, 2003

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

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

<input type="checkbox"/> Director	<input type="checkbox"/> 10% Owner
<input checked="" type="checkbox"/> Officer (give title below)	<input type="checkbox"/> Other (specify below)

Senior Vice President, Lending

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7. Individual or Joint/Group Filing (Check applicable line)

[X] 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

[illegible]

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

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

(Print or Type Response)

(Over)

FORM 4 (continued)

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

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1. Title of Derivative Security (Instr. 3)	2. Conver- sion or Exer- cise Price of Deriv- ative Secur- ity	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8) ----- Code V	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- (A) (D)	6. Date Exercisable and Expiration Date (Month/Day/Year) ----- Date Exer-      Expira- cisable      tion Date      Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4) ----- Amount or Number of Shares			
Non-Qualified Stock Option (Right to Buy)	8.00	2-14-03	M	10,000	(1)      5-18-2005	Common Stock	10,000		
Non-Qualified Stock Option (Right to Buy)	8.62				(1)      2-05-2006	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	12.00				(1)      1-02-2007	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	14.75				(1)      1-02-2008	Common Stock	16,000		
Non-Qualified Stock Option (Right to Buy)	18.00				(1)      1-02-2009	Common Stock	6,000		
Non-Qualified Stock Option (Right to Buy)	18.00				(1)      1-17-2010	Common Stock	2,000		
Non-Qualified Stock Option (Right to Buy)	13.00				(1)      6-01-2011	Common Stock	2,000		
Non-Qualified Stock Option (Right to Buy)	13.20				(1)      1-15-2012	Common Stock	1,000		
Non-Qualified Stock Option (Right to Buy)	17.76				(1)      1-15-2012	Common Stock	3,000		

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Explanation of Responses:

(1)Represents options to buy granted under the Company's 1993  
Stock Option Plan, a Rule 16(b)(3) plan, which options vest  
one-third per year beginning on the 3rd anniversary of date of grant.  
(2)The reporting person disclaims beneficial ownership of these securities,  
and this report shall not be deemed to be an admission that  
the reporting person is the beneficial owner of such securities for  
purposes of Section 16 or for any other purpose.  
(3)Inadvertently omitted reporting shares purchased through 401(k).

/s/ Douglas J. Horstmann

2-14-03

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\*\*Signature of Reporting Person

-----  
Date

\*\* 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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