Edgar Filing: BROOKS DAVID H - Form 4

**BROOKS DAVID H** 

Form 4

January 29, 2003

#### FORM 4

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

**OMB APPROVAL** 

\_ 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

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

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

Filed By Romeo & Dye's Instant Form 4 Filer www.section16.net

| 1. Name and Ad                            |                             |                                | ne <b>and</b> Ticl<br><b>p, Inc. SYI</b> |         | P   | 6. Relationship of Reporting Person(s) |  |  |                               |  |
|---|-----------------------------|--------------------------------|--|---------|---|--|--|--|-------------------------------|--|
| Brooks David F<br>(Last)<br>4010 Fox Mead | of Repor                    | ting<br>ity (v                 | tification N<br>Person,<br>voluntary)    | Number  | Mon   | atement for th/Day/Year 2003           | o Issuer (Check all applicable)  L Director  O% Owner  C Officer (give title below)  Other (specify below) |  |                               |  |
|   |                             |                                |  |         |   | Amendment, 7                           | hairman & EO Individual or Joint/Group Filing Check Applicable Line)                                       |  |                               |  |
| Prospect, KY 4                            |                             |                                |  |         |   | nth/Day/Year)                          | Form filed by One Reporting Person Form filed by More than One Reporting Person                            |  |                               |  |
| (City)                                    | Ta                          | able                           | I Non-D                                  | erivati | rities Acquired, Dispos                       | posed of, or Beneficially Owned        |  |  |                               |  |
| 1. Title of<br>Security<br>(Instr. 3)     | 2. Trans-<br>action<br>Date | 2A. Deemed Execution Date,     | 3. Transaction Co. (Instr. 8             | Code    | 4. Securition (A) or Disposition (Instr. 3, 4 | osed o                                 | of (D)   | 5. Amount of<br>Securities<br>Beneficially                         | ship Form:<br>Direct (D)      | 7. Nature of<br>Indirect<br>Beneficial |
|   | (Month/ Day/<br>Year)       | if any<br>(Month/Day/<br>Year) | Code                                     | V       | Amount  | (A)<br>or<br>(D)                       | 11100  | Owned Follow-<br>ing Reported<br>Transactions(s)<br>(Instr. 3 & 4) | or Indirect (I)<br>(Instr. 4) | Ownership<br>(Instr. 4)                |
| Common Stock                              |                             |                                |  |         |   |  |  | 7,46   | B D                           |  |
| Common Stock                              |                             |                                |  |         |   |  |  | 22,82  | 3 I                           | Wife                                   |
| Common Stock                              |                             |                                |  |         |   |  |  | 7,457.990  | ) I                           | ESOP Shares                            |
| Common Stock                              |                             |                                |  |         |   |  |  | 1,145.954  | 3 I                           | 401k Shares                            |
| Common Stock                              | 1-29-2003                   |                                | P  |         | .527  | A                                      | 35.65  | 397.83   | ) I                           | Trust (1)                              |

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

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

### Edgar Filing: BROOKS DAVID H - Form 4

# FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

|  | (•   | ego, pares,   |  | · , ·  |  |  | , operons, .  | 0011 / 01 0  | 1010 5000  | 111100)   |  |   |   |  |
|--|--|---|--|--|--|--|---|--|--|---|--|---|---|--|
| 2. Conversion or Exercise Price of Derivative Security |  | 3A. Deemed Execution Date, if any (Month/   | 4.<br>Transaction<br>Code<br>(Instr.<br>8)   |  | Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, |  | and Expiration<br>Date<br>(Month/Day/   |  |  |   |  | Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)   | Owner- ship Form of Deriv- ative Security: Direct (D) or Indirect   | 11. Nature<br>of Indirec<br>Beneficia<br>Ownershi<br>(Instr. 4)  |
|  |  |   | Code   |  |  |  | Exer-cisable  | Expira-<br>tion<br>Date  | Title  | or<br>Number<br>of  | -  |   | (Instr. 4)  |  |
| .8615  |  |   |  |  |  |  | Immed.  | None   | Common<br>Stock  |   |  | 4,840   | I   | Wife   |
| .8615  |  |   |  |  |  |  | Immed.  | None   | Common<br>Stock  | 3,680   |  | 3,680   | D   |  |
| 7.25   |  |   |  |  |  |  | Immed.  | 1/10/05  | Common<br>Stock  | 14,560  |  | 14,560  | D   |  |
| 14.50  |  |   |  |  |  |  | Immed.  | 1/03/07  | Common<br>Stock  | 4,000   |  | 4,000   | D   |  |
| 20.50  |  |   |  |  |  |  | Immed.  | 1/8/08   | Common<br>Stock  | 2,000   |  | 2,000   | D   |  |
| 23.9375  |  |   |  |  |  |  | Immed.  | 1/12/09  | Common<br>Stock  | 10,200  |  | 10,200  | D   |  |
| 21.00  |  |   |  |  |  |  | Immed.  | 1/07/10  | Common<br>Stock  | 11,500  |  | 11,500  | D   |  |
| 20.63  |  |   |  |  |  |  | Immed.  | 12/21/10   | Common<br>Stock  | 16,000  |  | 16,000  | D   |  |
| 33.60  |  |   |  |  |  |  | Immed.  | 12/27/11   | Common<br>Stock  | ,   |  | 12,000  | D   |  |
| 39.10  | 12/17/02   |   | A  |  | 9,300  |  | 6/17/02   | 12/17/12   | Common<br>Stock  | 9,300   |  | 9,300   | D   |  |
|  | sion or Exercise Price of Derivative Security  .8615 .8615 .20.50 .23.9375 .21.00 .33.60 | 2. Conversion or Exercise Price of Derivative Security Pay/ Year)  .8615  .8615  .8615  .20.50  23.9375  21.00  20.63 | 2. Conversion or Exercise Price of Derivative Security  .8615  .8615  .20.50  .20.63 | 2. Conversion or action Price of Date Price of Derivative Security | 2. Conversion or action Date Exercise Price of Derivative Security         | 2. Conversion or solution of Exercise Price of Date Price of Derivative Security | 2. Conversion or action Date Sion or action Date Exercise Price of Derivative Security  Security  2. Conversion or action Date Exercution Date Exercise Price of Derivative Security  Security  3. Trans-action Date Execution Date, if any (Month/Day/Year)  2. Code Derivative Securities Acquired (A) or Disposed of (D)  (Instr. 3, 4 & 5)  Code V (A) (D)  2. Securities Acquired (A) or Disposed of (D) | 2. Conversion or action   Date   Date   Execution   Date   Date | 2. Conversion or Exercise   3. Transaction   Date   Execution   Date   Execution   Date   Execution   Date   Dat | 2. Conversion or Exercise   Price of Date   Date | Sion or   Exercise   Date   Execution   Execution   Date   Execution   Date   Derivative   Date   Date   Derivative   Month/ Day/ Year)   Day/ Pear)   Date   Derivative   Securities   S | 2. Conversion or action   Deemed Sicorial Price of Price of Price of Price of Price of Price of Poerivative Sceurity   Day/ Year   Day/ | 2. Conversion or action   Deemed   Trans-   Exercise   Expiration   Date   Exercise   Exercise | 2. Conver- 3. Trans. 3A.   4   5   5. Date Exercisable   7. Title and Amount of Derivative   D |

Explanation of Responses:

(1) Shares held in the deferred comp plan

By: /s/ //David H. Brooks

<u>1/29/2003</u> Date

\*\*Signature of Reporting Person

<sup>\*\*</sup>Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

### Edgar Filing: BROOKS DAVID H - Form 4

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure.

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 Number.