S Y BANCORP INC

Form 4 January 27, 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

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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

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| 1 0                                   |  |   |  |                  | me <b>and</b> Ticke<br>rp, Inc. SYI                      | er or Tr         | Pe<br>to | 6. Relationship of Reporting<br>Person(s)<br>to Issuer (Check all applicable) |   |   |  |  |
|---------------------------------------|--|---|--|------------------|--|------------------|----------|---|---|---|--|--|
| (Last) (First) (Middle)               |  |   |  | orting<br>tity ( | ntification No<br>g Person,<br>(voluntary)<br>05-92-9962 | ımber            |          | 10 h/Day/Year   | X Director  |   |  |  |
| (Street) Prospect, KY 40059           |  |   |  |                  |  |                  | Date of  | of Original (C<br>th/Day/Year) X<br>Pe  | 7. Individual or Joint/Group Filing Check Applicable Line)  K Form filed by One Reporting Person Form filed by More than One Reporting Person |   |  |  |
| (City                                 | (State)  | Zip)  | Г  | able             | e I Non-De   | rivativ          | e Secur  | ities Acquired, Dispose   | d of, or Bene   | ficially Owned  |  |  |
| 1. Title of<br>Security<br>(Instr. 3) | 2. Trans-<br>action<br>Date<br>(Month/ Day/<br>Year) | 2A. Deemed Execution Date, if any (Month/Day/ | action or Disposed (Instr. 3, 4 & (Instr. 8) |                  |  | of (D)<br>5)     |          | 5. Amount of Securities Beneficially Owned Follow- ing Reported               | . I   | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |  |  |
|                                       |  | Year)   | Code   | v                | Amount   | (A)<br>or<br>(D) |          | Transactions(s) (Instr. 3 & 4)  | (Instr. 4)  | (Ilisti. 4)   |  |  |
| Common Stock                          | 1/24/2003  |   | P  |                  | 252.86556  | A                | 37.10    | 4,260.87576   | D   |   |  |  |
| Common Stock                          | ζ.   |   |  |                  |  |                  |          | 1,482.287   | I   | ESOP Shares   |  |  |
| Common Stock                          | <b>S</b>   |   |  |                  |  |                  |          | 1,251.4353  | I   | 401k Shares   |  |  |

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

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

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

| 1. Title of | 2. Conver- | 3. Trans- | 3A.    | 4.     | 5.     | 6. Date Exercisable | 7. Title and | 8. Price of | 9. Number of | 10.    | 11. Nature  |
|-------------|------------|-----------|--------|--------|--------|---------------------|--------------|-------------|--------------|--------|-------------|
| Derivative  | sion or    | action    | Deemed | Trans- | Number | and Expiration      | Amount of    | Derivative  | Derivative   | Owner- | of Indirect |

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

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| Security (Instr. 3)         | Price of<br>Derivative<br>Security | (Month/<br>Day/ | if any<br>(Month/ | action<br>Code<br>(Instr.<br>8) | De<br>Sec<br>Ac<br>(A)<br>Dis<br>of | erivativ | d                       | (Month/Day/<br>Year)    |                 | Underlying<br>Securities<br>(Instr. 3 & 4) |   | Beneficially<br>Owned<br>Following<br>Reported | Form       | Beneficial<br>Ownershij<br>(Instr. 4) |
|-----------------------------|------------------------------------|-----------------|-------------------|---------------------------------|-------------------------------------|----------|-------------------------|-------------------------|-----------------|--|---|--|------------|---------------------------------------|
|                             |                                    |                 |                   | Code                            |                                     |          | D) Date<br>Exer-cisable | Expira-<br>tion<br>Date |                 | Amount<br>or<br>Number<br>of<br>Shares     |   |  | (Instr. 4) |                                       |
| Option<br>(Right to<br>Buy) | 6.421                              |                 |                   |                                 |                                     |          | Immed.                  | 5/9/04                  | Common<br>Stock | 8,800                                      |   | 8,800  | D          |                                       |
| Option<br>(Right to<br>Buy) | 7.25                               |                 |                   |                                 |                                     |          | Immed.                  | 1/10/05                 | Common<br>Stock | 20,000                                     |   | 20,000   | D          |                                       |
| Option<br>(Right to<br>Buy) | 14.50                              |                 |                   |                                 |                                     |          | Immed.                  | 1/3/07                  | Common<br>Stock | 2,000                                      |   | 2,000  | D          |                                       |
| Option<br>(Right to<br>Buy) | 20.50                              |                 |                   |                                 |                                     |          | Immed.                  | 1/8/08                  | Common<br>Stock | 2,000                                      |   | 2,000  | D          |                                       |
| Option<br>(Right to<br>Buy) | 23.9375                            |                 |                   |                                 |                                     |          | Immed.                  | 4/20/09                 | Common<br>Stock | 3,200                                      |   | 3,200  | D          |                                       |
| Option                      | 21.00                              |                 |                   |                                 |                                     |          | Immed.                  | 1/7/10                  | Common<br>Stock | 3,500                                      |   | 3,500  | D          |                                       |
| Option<br>(Right to<br>Buy) | 20.63                              |                 |                   |                                 |                                     |          | Immed.                  | 12/21/10                | Common<br>Stock | 4,500                                      |   | 4,500  | D          |                                       |
| Option<br>(Right to<br>Buy) | 33.60                              |                 |                   |                                 |                                     |          | Immed.                  | 12/27/11                | Common<br>Stock | 4,000                                      | ) | 4,000  | D          |                                       |
| Option<br>(Right to<br>Buy) | 39.10                              | 12/17/02        |                   | A                               | 3,4                                 | 400      | 6/17/02                 | 12/17/12                | Common<br>Stock | 3,400                                      | ) | 3,400  | D          |                                       |

Explanation of Responses:

By: /s/ //Kathy C. Thompson

1/24/2003

Date

\*\*Signature of 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.

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