

RICCA MARK A
Form 5/A
May 02, 2003
SEC Form 5/A

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|---|---|---|
| <p>FORM 5</p> <p><input type="checkbox"/> Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).</p> <p><input type="checkbox"/> Form 3 Holdings Reported <input type="checkbox"/> Form 4 Transactions Reported</p> | <p>UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549</p> <p>STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP</p> <p>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</p> | <p>OMB APPROVAL</p> <hr/> <p>OMB Number: 3235-0362 Expires: January 31, 2005 Estimated average burden hours per response. 0.5</p> |
| <p>1. Name and Address of Reporting Person* Ricca, Mark A.</p> <hr/> <p>(Last) (First) (Middle) 615 Merrick Avenue</p> <hr/> <p>(Street) Westbury, NY 11590</p> <hr/> <p>(City) (State) (Zip)</p> | <p>2. Issuer Name and Ticker or Trading Symbol New York Community Bancorp, Inc. (NYB)</p> <hr/> <p>3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)</p> <hr/> <p>4. Statement for Month/Day/Year December 31, 2002</p> <hr/> <p>5. If Amendment, Date of Original (Month/Day/Year) 02/14/2003</p> | <p>6. Relationship of Reporting Person(s) to Issuer (Check all applicable)</p> <p>____ Director _____ 10% Owner <input checked="" type="checkbox"/> Officer _____ Other _____</p> <p>Officer/Other Description <u>EVP, General Counsel and Corporate Secretary</u></p> <hr/> <p>7. Individual or Joint/Group Filing (Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Individual Filing <input type="checkbox"/> Joint/Group Filing</p> |

| 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 (D) Of (Instr. 3, 4, and 5) | 5. Amount of Securities Beneficially Owned at End of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct(D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
| Common Stock | | | | Amount A/D Price | 26,929 | D | |
| Common Stock | | | | | 6,059 | I | By CFS Bank 401(k) (1) |
| Common Stock | | | | | 9,339 | I | By ESOP (2) |
| Common Stock | | | | | 5,234 | I | By NYCB 401(k) (3) |
| Common Stock | | | | | 780 | I | By Stock Incentive Plan (4) |
| | | | | | | | |

If the form is filed by more than one reporting person, see instruction 4(b)(v). 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. (over) SEC 2270 (7-02)

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Form 5 (continued)

| Table II - Derivative Securities Acquired, Disposed of, or Beneficially 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) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code | 5. Number of Derivative Securities Acquired (A) or Disposed (D) Of (Instr. 3,4 and 5) | 6. Date Exercisable(DE) and Expiration Date(ED) (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr.5) | 9. Number of Derivative Securities Beneficially Owned at End of Year (Instr.4) | 10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr.4) | 11. Nature of Indirect Beneficial Ownership (Instr.4) |
| Options to Purchase Common Stock | \$24.610 | 07/24/2002 | | A | (A) 30,000 | 07/24/2003 (5) 07/24/2012 | Common Stock - 30,000 | | 30,000 | D | |
| Options to Purchase Common Stock | \$11.060 | | | | | 11/30/2000 (7) 02/23/2008 | Common Stock - 26,566 | | 26,566 | D | |
| Options to Purchase Common Stock | \$15.370 | | | | | 01/18/2003 (7) 01/10/2010 | Common Stock - 11,250 | | 11,250 | D | |
| Options to Purchase Common Stock | \$15.370 | | | | | 01/18/2002 (7) 01/18/2010 | Common Stock - 4,744 | | 4,744 | D | |
| Options to Purchase Common Stock | \$15.370 | | | | | 01/18/2004 (7) 01/18/2010 | Common Stock - 11,250 | | 11,250 | D | |
| Options to Purchase Common Stock | \$22.230 | | | | | 12/21/2002 (8) 12/21/2011 | Common Stock - 15,000 | | 15,000 | D | |
| Options to Purchase Common Stock (6) | \$28.540 | | | | | 01/21/2004 (9) 01/21/2013 | Common Stock - 60,000 | | 60,000 | D | |
| | | | | | | | | | | | |

Explanation of Responses :

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

/s/ Mark A. Ricca -
05-02-2003

** Signature of Reporting Person

Date

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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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.

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FOOTNOTE Descriptions for New York Community Bancorp, Inc. (NYB)

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Mark A. Ricca
615 Merrick Avenue

Westbury, NY 11590

Explanation of responses:

- (1) Represents shares purchased through the CFS Bank 401(k) Plan, which New York Community Bank was successor to under the Haven Bancorp, Inc. acquisition.
- (2) This form reflects increases in beneficial ownership resulting from exempt acquisitions under an Employee Stock Ownership Plan ("ESOP") and 401(k) Plan pursuant to Rule 16b-3(c).
- (3) Includes shares rolled over from the Richmond County Savings Bank ESOP to the New York Community Bank 401(k) Plan. Also includes increases in beneficial ownership resulting from exempt acquisitions under the 401(k) Plan pursuant to Rule 16b-3(c). For purposes of this report, units in the 401(k) plan have been converted into an approximate number of shares of New York Community Bancorp, Inc. ("NYCB") common stock. The actual number of shares held by the reporting person in this account may vary when such units are actually converted into shares upon distribution of the units to the reporting person.
- (4) Represents shares granted on February 15, 2002 under the Haven Bancorp, Inc. Stock Incentive Plan, which will vest on February 15, 2003.
- (5) Options granted pursuant to the New York Community Bancorp, Inc. 1997 Stock Option Plan vest in three equal annual installments commencing on July 24, 2003.
- (6) On the reporting person's last report, the reporting person incorrectly reported ownership of 90,000 stock options when in fact he owned 60,000 shares.
- (7) Options to purchase shares granted under the Haven Bancorp, Inc. 1996 Stock Option Plan.
- (8) Options granted under the New York Community Bancorp, Inc. 1997 Stock Option Plan that vest in three equal annual installments beginning on December 21, 2002.
- (9) Options granted pursuant to the NYCB 1997 Stock Option Plan that vest in three equal annual installments beginning on January 21, 2004.

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