

Edgar Filing: NOVAK DAVID C - Form 4

NOVAK DAVID C
Form 4
February 07, 2003

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

() Check this box if no longer subject to Section 16.
Form 4 or Form 5 obligations may continue. See Instructions 1(b).

- 1. Name and Address of Reporting Person
David C. Novak
Yum! Brands, Inc.
P. O. Box 32220
KY, Louisville 40232
2. Issuer Name and Ticker or Trading Symbol
BANK ONE CORPORATION (ONE)
3. IRS or Social Security Number of Reporting Person (Voluntary)
4. Statement for Month/Day/Year
7/31/2001
5. If Amendment, Date of Original (Month/Day/Year)
7/31/2001
6. Relationship of Reporting Person(s) to Issuer (Check all applicable)
(X) Director () 10% Owner () Officer (give title below) () Other (specify below)
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

Table with 5 columns: 1. Title of Security, 2. Date, 2A. Transaction, 3. Code, 4. Securities Acquired (A) or Disposed of (D), 5. Amount of Securities Beneficially Owned Following Report. Row 1: Common Stock, 7/19/2001, P, 5000, A, 37.11, 5409.

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned

Table with 8 columns: 1. Title of Derivative Security, 2. Conversion or Exercise Price of Derivative Security, 3. Transaction, 3A. Deemed Transaction, 4. Code, 5. Number of Derivative Securities Acquired(A) or Disposed of(D), 6. Date Exercisable and Expiration Date, 7. Title and Amount of Underlying Securities, 8. Percentage of Total Ownership. (Table content is mostly empty)

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Director Stock Option (right to buy)	\$36.75	5/15/2001	A	V	5000	A	11/15/01	05/15/11	Common Stock	5000	
Stock Units	1	7/2/2001	A	V	262	A	1	1	Common Stock	262	\$0.
Stock Units	1	7/2/2001	A	V	262	A	1	1	Common Stock	262	\$35

Explanation of Responses:

1. Stock units granted under the Corporation's Director Stock Plan. Each unit represents the right to receive a share of the Corporation's common stock after Reporting Person's retirement, on a 1 for 1 basis, and dividend equivalent rights which will be reinvested in additional stock units.

SIGNATURE OF REPORTING PERSON

David C. Novak

DAVID C. NOVAK

Goldman, Attorney-In-Fact

Laurence