Edgar Filing: CHANG KUO WEI HERBERT - Form 4

### CHANG KUO WEI HERBERT

Form 4

December 17, 2002

### FORM 4

\_ Check this box if no longer subject to Section

obligations may continue.

16. Form 4 or Form 5

See Instruction 1(b).

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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

| Name and Address of Chang Kuo Wei (Herb      |   |   | ame and 'echnology                            |          |   | Per  | 6. Relationship of Reporting<br>Person(s)<br>to Issuer (Check all applicable) |   |                              |   |  |
|--|---|---|---|----------|---|--|---|---|------------------------------|---|--|
| (Last) (First) 700 First Avenue              | of Repor  | tin   | entification<br>g Person,<br>(voluntar        |          | umber   | 4. Statement for Month/Day/Year December 13, 2002        | 10  | ∑ Director  |                              |   |  |
| (Stree<br>Sunnyvale, CA 94089                |   |   |   |          |   | 5. If Amendment,<br>Date of Original<br>(Month/Day/Year) | (Cl<br><u>X</u> ]<br>Per  | Individual or Joint/Group Filing Check Applicable Line) Form filed by One Reporting erson Form filed by More than One eporting Person |                              |   |  |
| (City) (Stat                                 |   | T   | abl   | le I Noi | 1-De  | rivative   | e Securities Acquired   | l, Disposed   | ed of, or Beneficially Owned |   |  |
| 1  | 2. Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 2A. Deem<br>Execution<br>Date,<br>if any<br>(Month/Day<br>Year) | Trans-<br>action<br>Code<br>ay/ (Instr.<br>8) |          | 4. Securities Acquired (A) Disposed of (Instr. 3, 4 & |  | (D)   | 5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4)  |                              | *   |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 260,000   | I                            | By Investar Dayspring<br>Venture Capital, Inc.        |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 3,413,220   | I                            | By Investar Semiconductor<br>Development Fund, Inc.   |  |
| Common Stock, par<br>value \$0.002 per share | 12/13/02  |   | S   |          | 27,000  | D  | \$20.85   | 1,349,400   | I                            | By Investar Burgeon Venture<br>Capital, Inc.          |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 50,796  | I                            | By Investar Capital, Inc.                             |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 50,000  | I                            | By Investar Excelsus Venture<br>Capital (Int'l.) Inc. |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 184,616   | I                            | By Forefront Venture<br>Partners, L.P.                |  |
| Common Stock, par<br>value \$0.002 per share |   |   |   |          |   |  |   | 181,000   | D                            |   |  |

### Edgar Filing: CHANG KUO WEI HERBERT - Form 4

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

\* 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

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

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

|                   |                | `       | 871       | <u> </u>   |                |                       |                |          |                |        |             |                |            | .5.         |
|-------------------|----------------|---------|-----------|--|----------------|-----------------------|----------------|----------|----------------|--------|-------------|----------------|------------|-------------|
| 1. Title of       | 2. Conver-     | 3.      | 3A.       | 4.   | 5.             |                       | 6. Date Exerc  | isable   | 7. Title an    | nd     | 8. Price of | 9. Number of   | 10.        | 11. Nature  |
| Derivative        | sion or        | Trans-  | Deemed    | Trans-   |                | nbei                  | and Expiration |          | Amount of      |        | Derivative  |                | Owner-     | of Indirect |
| Security          | Exercise       | action  | Execution | action   | of             | of Date               |                |          | Underlying     |        | Security    | Securities     | ship       | Beneficial  |
|                   | Price of       | Date    | Date,     | Code   | Der            | Derivati(AeIonth/Day/ |                |          | Securities     |        | (Instr. 5)  | Beneficially   | Form       | Ownership   |
| (Instr. 3)        | Derivative     |         | if any    |  | Securitie¥ear) |                       |                |          | (Instr. 3 & 4) |        |             | Owned          | of Deriv-  | (Instr. 4)  |
|                   | Security       | (Month/ | (Month/   | (Instr.  | Acc            | quire                 | d              |          |                |        |             | Following      | ative      |             |
|                   |                | Day/    | Day/      | 8)   | (A)            | or                    |                |          |                |        |             | Reported       | Security:  |             |
|                   |                | Year)   | Year)     |  | Dis            | pose                  | d              |          |                |        |             | Transaction(s) | Direct     |             |
|                   |                |         |           |  | of (           | D)                    |                |          |                |        |             | (Instr. 4)     | (D)        |             |
|                   |                |         |           |  |                |                       |                |          |                |        |             | ,              | or         |             |
|                   |                |         |           |  | (Ins           | tr.                   |                |          |                |        |             |                | Indirect   |             |
|                   |                |         |           |  | 3, 4           | &                     |                |          |                |        |             |                | (I)        |             |
|                   |                |         |           |  | 5)             |                       |                |          |                |        |             |                | (Instr. 4) |             |
|                   |                |         |           | Code V   |                | (D)                   | Date           | Expira-  | Title          | Amount |             |                |            |             |
|                   |                |         |           | Code   | (11)           | (D)                   |                | tion     | Title          | or     |             |                |            |             |
|                   |                |         |           |  |                |                       | Exci-cisable   | Date     |                | Number |             |                |            |             |
|                   |                |         |           |  |                |                       |                | Date     |                | of     |             |                |            |             |
|                   |                |         |           |  |                |                       |                |          |                | Shares |             |                |            |             |
| Stock             | \$15.00        |         |           |  |                |                       | (1)            | 06/26/10 | Common         |        |             | 30,000         | D          |             |
| Option            | φ13.00         |         |           |  |                |                       | _              | 00/20/10 | Stock          | 30,000 |             | 30,000         | <i>D</i>   |             |
| (Right to         |                |         |           |  |                |                       |                |          | Stock          |        |             |                |            |             |
| Buy)              |                |         |           |  |                |                       |                |          |                |        |             |                |            |             |
|                   | # <b>20.50</b> |         |           |  | 1              |                       | (2)            | 06/26/11 | C              | C 000  |             | ( 000          |            |             |
| Stock             | \$20.58        |         |           |  |                |                       | (2)            | 06/26/11 | Common         | 6,000  |             | 6,000          | D          |             |
| Option (Distance) |                |         |           |  |                |                       |                |          | Stock          |        |             |                |            |             |
| (Right to         |                |         |           |  |                |                       |                |          |                |        |             |                |            |             |
| Buy)              | ***            |         |           | <del>                                     </del> | -              | ┢                     | (2)            |          | ~              |        |             |                | _          |             |
| Stock             | \$21.59        |         |           |  |                |                       | (3)            | 06/21/12 | Common         | 6,000  |             | 6,000          | D          |             |
| Option            |                |         |           |  |                |                       |                |          | Stock          |        |             |                |            |             |
| (Right to         |                |         |           |  |                |                       |                |          |                |        |             |                |            |             |
| Buy)              |                | I       |           |  |                |                       |                |          |                |        |             |                | ĺ          |             |

Explanation of Responses:

(1) Of such 30,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 20% on 06/26/01 and 500 shares per month from 07/26/01 through 06/26/05. Reflects non-discretionary grants under 1997 Directors Plan.

(2) Of such 6,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 500 shares per month from 07/21/05 through 06/21/06. Reflects non-dsicretionary grants under 1997 Directors Plan.

(3) Of such 6,000 shares, not all shares are fully vested, and until fully vested, if exercised, would be subject to repurchase by the Company in the event of termination of the reporting person's services as a non-employee director of the Company. Vests 500 shares per month from 07/21/06 through 06/21/07. Reflects non-discretionary grants under 1997 Directors Plan.

By: /s/ Kuo Wei (Herbert) Chang

**December 16, 2002** 

Date

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

<sup>\*\*</sup>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: CHANG KUO WEI HERBERT - Form 4

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.