

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

| 1. Title of Security | 2. Trans- action Date | 2A. Exec- ution Date | 3. Trans- action Code | 4. Securities Acquired (A) or Disposed of (D) Amount | A/ D | Price | 5. Amount of Securities Beneficially Owned Following Reported Trans(s) |
|----------------------|-----------------------------|----------------------------|-----------------------------|--|---------|-------|--|
| Common Stock | 7/19/ 2001 | | P | 5000 | A | 37.11 | 5409 |

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

| 1. Title of Derivative Security | 2. Con- version Price of Deriva- tive Secu- rity | 3. Trans- action (Month/ Day/ Year) | 3A. Deemed Execu- tion (Month/ Day/ Year) | 4. Trans- action Code | 5. Number of De- rivative Secu- rities Acqui- red(A) or Dis- posed of (D) Amount | 6. Date Exer- cisable and Expiration Date Date Expir- ation | 7. Title and Amount of Underlying Securities Title and Number of Shares | 8. P of vat Sec rit |
|---------------------------------------|--|---|--|-----------------------------|---|--|---|---------------------------------|
|---------------------------------------|--|---|--|-----------------------------|---|--|---|---------------------------------|

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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