

Edgar Filing: HAUSRATH DAVID L - Form 4

HAUSRATH DAVID L  
 Form 4  
 December 02, 2002

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  
 Hausrath, David L.  
  
 50 E. RiverCenter Boulevard  
 Covington, KY 41012-0391
2. Issuer Name and Ticker or Trading Symbol  
 Ashland Inc.  
 ASH
3. IRS or Social Security Number of Reporting Person (Voluntary)
4. Statement for Month/Year  
 November 27, 2002
5. If Amendment, Date of Original (Month/Year)
6. Relationship of Reporting Person(s) to Issuer (Check all applicable)  
 ( ) Director ( ) 10% Owner (X) Officer (give title below) ( ) Other  
 (specify below)  
 Vice President:General Counsel
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. Transaction Date | 3. Code | 4. Securities Acquired (A) or Disposed of (D) Amount | 5. Amount of Securities Beneficially Owned at End of Month |
|----------------------|---------------------|---------|--|--|
| Common Stock         |                     |         |  | 3,288 (1)  |
| Common Stock         |                     |         |  | 1,180 (2)  |
| Common Stock         |                     |         |  | 2,640  |

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

| 1. Title of Derivative Security | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date | 4. Code | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) Amount | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities | 8. Put or Call |
|---------------------------------|--|---------------------|---------|---|--|--|----------------|
|---------------------------------|--|---------------------|---------|---|--|--|----------------|

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|            |        |  |  |  |  |       |       |              |        |  |
|------------|--------|--|--|--|--|-------|-------|--------------|--------|--|
| Option (3) | 35.875 |  |  |  |  | 9-15- | 10-15 | Common Stock | 1,000  |  |
|            |        |  |  |  |  | 95    | -04   |              |        |  |
|            | 35.875 |  |  |  |  | 9-15- | 10-15 | Common Stock | 500    |  |
|            |        |  |  |  |  | 96    | -04   |              |        |  |
|            | 35.875 |  |  |  |  | 9-15- | 10-15 | Common Stock | 500    |  |
|            |        |  |  |  |  | 97    | -04   |              |        |  |
| Option (3) | 33.875 |  |  |  |  | 9-21- | 10-21 | Common Stock | 1,000  |  |
|            |        |  |  |  |  | 96    | -05   |              |        |  |
|            | 33.875 |  |  |  |  | 9-21- | 10-21 | Common Stock | 500    |  |
|            |        |  |  |  |  | 97    | -05   |              |        |  |
|            | 33.875 |  |  |  |  | 9-21- | 10-21 | Common Stock | 500    |  |
|            |        |  |  |  |  | 98    | -05   |              |        |  |
| Option (3) | 39.00  |  |  |  |  | 9-19- | 10-19 | Common Stock | 1,000  |  |
|            |        |  |  |  |  | 97    | -06   |              |        |  |
|            | 39.00  |  |  |  |  | 9-19- | 10-19 | Common Stock | 500    |  |
|            |        |  |  |  |  | 98    | -06   |              |        |  |
|            | 39.00  |  |  |  |  | 9-19- | 10-19 | Common Stock | 500    |  |
|            |        |  |  |  |  | 99    | -06   |              |        |  |
| Option (4) | 53.375 |  |  |  |  | 9-18- | 10-18 | Common Stock | 2,000  |  |
|            |        |  |  |  |  | 98    | -07   |              |        |  |
|            | 53.375 |  |  |  |  | 9-18- | 10-18 | Common Stock | 1,000  |  |
|            |        |  |  |  |  | 99    | -07   |              |        |  |
|            | 53.375 |  |  |  |  | 9-18- | 10-18 | Common Stock | 1,000  |  |
|            |        |  |  |  |  | 00    | -07   |              |        |  |
| Option (4) | 48.00  |  |  |  |  | 9-17- | 10-17 | Common Stock | 4,000  |  |
|            |        |  |  |  |  | 99    | -08   |              |        |  |
|            | 48.00  |  |  |  |  | 9-17- | 10-17 | Common Stock | 2,000  |  |
|            |        |  |  |  |  | 00    | -08   |              |        |  |
|            | 48.00  |  |  |  |  | 9-17- | 10-17 | Common Stock | 2,000  |  |
|            |        |  |  |  |  | 01    | -08   |              |        |  |
| Option (4) | 36.625 |  |  |  |  | 9-16- | 10-16 | Common Stock | 7,094  |  |
|            |        |  |  |  |  | 00    | -09   |              |        |  |
|            | 36.625 |  |  |  |  | 9-16- | 10-16 | Common Stock | 10,000 |  |
|            |        |  |  |  |  | 01    | -09   |              |        |  |
|            | 36.625 |  |  |  |  | 9-16- | 10-16 | Common Stock | 10,000 |  |
|            |        |  |  |  |  | 02    | -09   |              |        |  |
|            | 36.625 |  |  |  |  | 9-16- | 10-16 | Common Stock | 10,000 |  |
|            |        |  |  |  |  | 03    | -09   |              |        |  |
| Option (5) | 36.38  |  |  |  |  | 9-20- | 10-20 | Common Stock | 7,500  |  |
|            |        |  |  |  |  | 02    | -11   |              |        |  |

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|                        |         |          |   |  |    |   |         |          |              |        |      |
|------------------------|---------|----------|---|--|----|---|---------|----------|--------------|--------|------|
|                        | 36.38   |          |   |  |    |   | 9-20-03 | 10-20-11 | Common Stock | 3,750  |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
|                        | 36.38   |          |   |  |    |   | 9-20-04 | 10-20-11 | Common Stock | 3,750  |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
| Option (6)             | 46.76   |          |   |  |    |   | 1-31-02 | 10-16-09 | Common Stock | 2,277  |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
| Option (6)             | 28.13   |          |   |  |    |   | 9-19-03 | 10-19-12 | Common Stock | 11,250 |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
|                        | 28.13   |          |   |  |    |   | 9-19-04 | 10-19-12 | Common Stock | 5,625  |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
|                        | 28.13   |          |   |  |    |   | 9-19-05 | 10-19-12 | Common Stock | 5,625  |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |
| Common Stock Units (7) | 1-for-1 | 11-27-02 | J |  | 12 | A |         |          | Common Stock | 12     | \$28 |
|                        |         |          |   |  |    |   |         |          |              |        |      |
|                        |         |          |   |  |    |   |         |          |              |        |      |

Explanation of Responses:

1. Shares accrued under Ashland's Leveraged Employee Stock Ownership Plan as of 9-30-02.
  2. Based on Employee Savings Plan information as of 9-30-02, the latest date for which such information is reasonably available.
  3. Employee stock option (represents a right to buy Ashland Common Stock) granted pursuant to Ashland's Amended Stock Incentive Plan. The employee stock option includes a tax withholding feature pursuant to the plan.
  4. Employee stock option (represents a right to buy Ashland Common Stock) granted pursuant to Ashland's 1993 Stock Incentive Plan. The employee stock option includes a tax withholding feature pursuant to the plan.
  5. Employee stock option (represents a right to buy Ashland Common Stock) granted pursuant to Ashland's 1997 Stock Incentive Plan. The employee stock option includes a tax withholding feature pursuant to the plan.
  6. Employee stock option (represents a right to buy Ashland Common Stock) granted pursuant to Ashland's Amended and Restated Incentive Plan. The employee stock option includes a tax withholding feature pursuant to the plan.
  7. Common Stock Units acquired pursuant to Ashland's 1995 Deferred Compensation Plan as of 11-27-02, and exempt under Rule 16b-3(d). (One (1) Common Stock Unit in the 1995 Deferred Compensation Plan is the equivalent of one (1) share of Ashland Common Stock)feature pursuant to the plan.
- SIGNATURE OF REPORTING PERSON  
M. Craig Hall - Attorney-in-Fact  
DATE  
December 2, 2002