

Edgar Filing: ALICO INC - Form 4

ALICO INC  
Form 4  
September 10, 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 Instruction 1(b).

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(f) of the Investment Company Act of 1940

- |   |   |
|---|---|
| <p>1. Name and Address of Reporting Person*</p> <p>Oakley                      Thomas                      E.<br/>(Last)                      (First)                      (Middle)</p> <p>Post Office Box 4170<br/>(Street)</p> <p>Lake Wales,      Florida      33859<br/>(City)      (State)      (Zip)</p>            | <p>2. Issuer Name and Ticker or Trading Symbol</p> <p>Alico, Inc.      (ALCO)</p> <p>3. IRS or Social Security Number of Reporting Person (Voluntary)</p> <p>261-64-9690</p> <p>4. Statement for Month/Year</p> <p>September 2002</p> |
| <p>5. If Admendment, Date of Original</p>   | <p>7. Individual or Joint/Group Filing</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p>                                 |
| <p>6. Relationship of Reporting Person(s) to Issuer (Check all applicable)</p> <p><input checked="" type="checkbox"/> Director                      <input type="checkbox"/> 10% Owner</p> <p><input type="checkbox"/> Officer (give title below)                      <input type="checkbox"/> Other (specify below)</p> |   |

TABLE I  
NON-DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OWNED

| 1. Title of Security (Instr 3)            | 2. Trans- action Date | 3. Trans- action Code | 4. Securities Acquired(A) or Disposed (D) (Instr 3, 4 and 5) | 5. Amount of Securities Beneficially Owned at End of Month (Instr 3 & 4) | 6. Owner- ship Form: Direct (D) or Indirect (I) (Instr 4) | 7. Nature of Indirect Beneficial Owner- ship (Instr 4) |
|---|-----------------------|-----------------------|--|--|---|--|
| Alico, Inc.<br>Common Stock,<br>Par Value |                       |                       |  |  |   |  |
| \$1.00                                    | 9/9/02                | M                     | 2000   | A \$15.68/Sh   |   | D  |
| \$1.00                                    | 9/9/02                | M                     | 2000   | D \$27.90/Sh   | 50  | D  |

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FORM 4 (continued)

TABLE II

DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR BENEFICIALLY OWNED  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 4. Trans-<br>action<br>Code<br>(Instr 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D) (Instr<br>3, 4 and 5) | 6. Date Exer-<br>cisable and<br>Expiration<br>Date (Month/<br>Day/Year) |
|--|--|---|--|---|---|
| Option<br>For Stock                                | \$15.68  | 9/9/02  | M  | 2000  | 2000  |

| 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr 5) | 9. Number of<br>Derivative<br>Securities<br>Beneficially<br>Owned at End<br>of Month<br>(Instr 4) | 10. Ownership form<br>of Derivative<br>Security: Direct<br>(D) or Indirect(I)<br>(Instr 4) | 11. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr 4) |
|--|--|---|--|---|
|--|--|---|--|---|

Title      Amount or  
            Number of shares

|              |      |    |    |   |
|--------------|------|----|----|---|
| Common Stock | 2000 | 0* | 50 | D |
|--------------|------|----|----|---|

Explanation of Responses:

\*The reporting person received these options under the "Stock Option Incentive Equity Plan" and did not pay any monetary value for the Derivative securities; the price is stated in Column 2.

/s/ Thomas E. Oakley                      September 9, 2002  
\*\*Signature of Reporting Person                      Date

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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

Potential persons who are to respond to the collection of information

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contained in this form are not required to respond unless the form displays a currently valid OMB Number.