

Edgar Filing: ASHLAND INC - Form 4

ASHLAND INC
Form 4
March 08, 2001

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

February 28, 2001

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 | | | | 3,856 (2) |
| Common Stock | 2-9-01 | F (3) | 300 | |
| Common Stock | 2-9-01 | M | 500 | |
| Common Stock | 2-9-01 | F (4) | 88 | 2,377 |

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

| 1. Title of Derivative Security | 2. Conversion | 3. Transaction | 4. | 5. Number of Derivative Securities | 6. Date Exercisable and | 7. Title and Amount of Underlying | 8. Percentage of |
|---------------------------------|---------------|----------------|----|------------------------------------|-------------------------|-----------------------------------|------------------|
|---------------------------------|---------------|----------------|----|------------------------------------|-------------------------|-----------------------------------|------------------|

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| For Exercise | Price of Derivative Security | Date | Code | V | Amount | Acquired(A) or Disposed of(D) | Expiration Date (Month/Day/Year) | Expiration Date | Expiration Date | Securities Title and Number of Shares | vat | Sec | rit |
|--------------|------------------------------|--------|------|---|--------|-------------------------------|----------------------------------|-----------------|-----------------|---------------------------------------|-------|-----|-----|
| Option (5) | 23.875 | 2-9-01 | M | | 500 | D | 9-21-93 | 10-21-02 | | Common Stock | 500 | | |
| | 23.875 | | | | | | 9-21-94 | 10-21-02 | | Common Stock | 375 | | |
| | 23.875 | | | | | | 9-21-95 | 10-21-02 | | Common Stock | 375 | | |
| Option (6) | 33.125 | | | | | | 9-16-94 | 10-16-03 | | Common Stock | 1,000 | | |
| | 33.125 | | | | | | 9-16-95 | 10-16-03 | | Common Stock | 500 | | |
| | 33.125 | | | | | | 9-16-96 | 10-16-03 | | Common Stock | 500 | | |
| Option (7) | 35.875 | | | | | | 9-15-95 | 10-15-04 | | Common Stock | 1,000 | | |
| | 35.875 | | | | | | 9-15-96 | 10-15-04 | | Common Stock | 500 | | |
| | 35.875 | | | | | | 9-15-97 | 10-15-04 | | Common Stock | 500 | | |
| Option (7) | 33.875 | | | | | | 9-21-96 | 10-21-05 | | Common Stock | 1,000 | | |
| | 33.875 | | | | | | 9-21-97 | 10-21-05 | | Common Stock | 500 | | |
| | 33.875 | | | | | | 9-21-98 | 10-21-05 | | Common Stock | 500 | | |
| Option (7) | 39.00 | | | | | | 9-19-97 | 10-19-06 | | Common Stock | 1,000 | | |
| | 39.00 | | | | | | 9-19-98 | 10-19-06 | | Common Stock | 500 | | |
| | 39.00 | | | | | | 9-19-99 | 10-19-06 | | Common Stock | 500 | | |
| Option (8) | 53.375 | | | | | | 9-18-98 | 10-18-07 | | Common Stock | 2,000 | | |
| | 53.375 | | | | | | 9-18-99 | 10-18-07 | | Common Stock | 1,000 | | |
| | 53.375 | | | | | | 9-18-00 | 10-18-07 | | Common Stock | 1,000 | | |

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| | | | | | | | | | | | |
|------------------------|---------|--|---|---|-----|---|-------|--------|--------------|--------|--|
| Option (8) | 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 (8) | 36.625 | | | | | | 9-16- | 10-16- | Common Stock | 10,000 | |
| | | | | | | | 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 | | | |
| Common Stock Units (9) | 1-for-1 | | J | V | 694 | A | | | Common Stock | 694 | |
| | | | | | | | | | | | |

Explanation of Responses:

1. Shares accrued under Ashland's Leveraged Employee Stock Ownership Plan as of 2-28-01.
2. Based on Employee Savings Plan information as of 2-23-01, the latest date for which such information is reasonably available, and includes transactions occurring on or after 12-1-00.
3. Shares surrendered in payment of option exercise price.
4. Shares used to satisfy tax withholding obligations.
5. Employee stock option (represents a right to buy Ashland Common Stock) granted pursuant to Ashland's Long-Term 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 Stock Incentive Plan. The employee stock option includes a tax withholding feature pursuant to the plan.
7. 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.
8. 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.
9. Common Stock Units acquired pursuant to Ashland's 1995 Deferred Compensation Plan as of 2-28-01 and includes transactions occurring on or after 11-15-00, and exempt under Rule 16b-3(d). The price of the Common Stock Units on the applicable valuation dates ranged from \$31.938 - \$39.770.

SIGNATURE OF REPORTING PERSON
David L. Hausrath

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DATE
March 7, 2001