

WIND RIVER SYSTEMS INC  
Form SC 13G/A  
February 12, 2003

**UNITED STATES  
SECURITIES AND EXCHANGE  
COMMISSION**  
Washington, D.C. 20549  
**SCHEDULE 13G**

**Under the Securities Exchange Act of 1934  
(Amendment No. 1)\***

**WIND RIVER SYSTEMS, INC.**

(Name of Issuer)

**COMMON STOCK**

(Title of Class of Securities)

**973149 10 7**

(CUSIP Number)

**December 31, 2002**

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

- ☐ Rule 13d-1(b)
- ☐ Rule 13d-1(c)
- ☒ Rule 13d-1(d)

\*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

## Edgar Filing: WIND RIVER SYSTEMS INC - Form SC 13G/A

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

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CUSIP No. 973149 10 7

1. **Names of Reporting Persons. I.R.S. Identification Nos. of above persons (entities only)**  
Narendra K. Gupta

2. **Check the Appropriate Box if a Member of a Group (See Instructions)**

(a) ☐ [ ]

(b) ☐ [ ]

3. **SEC Use Only**

4. **Citizenship or Place of Organization**  
United States

5. **Sole Voting Power**  
111,888\*\*

**Number of  
Shares  
Beneficially  
Owned by  
Each  
Reporting  
Person With**

6. **Shared Voting Power**  
4,428,236\*\*\*

7. **Sole Dispositive Power**  
111,888\*\*

8. **Shared Dispositive Power**  
4,428,236\*\*\*

9. **Aggregate Amount Beneficially Owned by Each Reporting Person**  
4,540,124 shares, of which beneficial ownership of 927,176 shares is disclaimed

10. **Check if the Aggregate Amount in Row (9) Excludes Certain Shares (See Instructions)** [ ☐ ]

11. **Percent of Class Represented by Amount in Row (9)**  
5.7%

12. **Type of Reporting Person (See Instructions)**  
IN

\*\* Includes 7,716 shares held in an account for a daughter under the Uniform Gift to Minors Act, of which Mr. Gupta is a custodian; and 104,712 shares subject to stock options exercisable within 60 days after February 12, 2003.

\*\*\* Includes 3,508,236 shares held by the Narendra and Vinita Gupta Living Trust, dtd 12/2/94, of which Mr. Gupta and his wife are trustees; and 920,000 shares held by the Gupta Irrevocable Children Trust, of which Mr. Gupta his wife, and a third party, are tustees.

**Item 1.**

- (a) **Name of Issuer**  
Wind River Systems, Inc.
- (b) **Address of Issuer's Principal Executive Offices**  
500 Wind River Way  
Alameda, CA 94501

**Item 2.**

- (a) **Name of Person Filing**  
Narendra K. Gupta
- (b) **Address of Principal Business Office or, if none, Residence**  
500 Wind River Way  
Alameda, CA 94501
- (c) **Citizenship**  
United States
- (d) **Title of Class of Securities**  
Common Stock
- (e) **CUSIP Number**  
973149 10 7

**Item 3. If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:**

- |     |                          |                                                                                                                                                             |
|-----|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (a) | <input type="checkbox"/> | Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).                                                                                    |
| (b) | <input type="checkbox"/> | Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).                                                                                              |
| (c) | <input type="checkbox"/> | Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).                                                                                |
| (d) | <input type="checkbox"/> | Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C 80a-8).                                                       |
| (e) | <input type="checkbox"/> | An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);                                                                                           |
| (f) | <input type="checkbox"/> | An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);                                                                      |
| (g) | <input type="checkbox"/> | A parent holding company or control person in accordance with § 240.13d-1(b)(1)(ii)(G);                                                                     |
| (h) | <input type="checkbox"/> | A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);                                                    |
| (i) | <input type="checkbox"/> | A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3); |
| (j) | <input type="checkbox"/> | Group, in accordance with §240.13d-1(b)(1)(ii)(J).                                                                                                          |
- NOT APPLICABLE

**Item 4. Ownership.**

- (a) **Amount beneficially owned:**  
4,540,124 shares, of which beneficial ownership of 927,176 shares is disclaimed
- (b) **Percent of class:**  
5.7% (Based on 79,125,888 shares outstanding as of December 10, 2002 as set forth in the Issuer's Quarterly Report on Form 10-Q for the quarter ended October 31, 2002.)
- (c) **Number of shares as to which the person has:**
- (i) **Sole power to vote or to direct the vote** 111,888\*\*
  - (ii) **Shared power to vote or to direct the vote** 4,428,236\*\*\*
  - (iii) **Sole power to dispose or to direct the disposition of**  
111,888\*\*
  - (iv) **Shared power to dispose or to direct the disposition of**  
4,428,236\*\*\*

\*\* Includes 7,176 shares held in an account for a daughter under the Uniform Gift to Minors Act, of which Mr. Gupta is a custodian; and 104,712 shares subject to stock options exercisable within 60 days after February 12, 2003.

\*\*\* Includes 3,508,236 shares held by the Narendra and Vinita Gupta Living Trust, dtd 12/2/94, of which Mr. Gupta and his wife are trustees; and 920,000 shares held by the Gupta Irrevocable Children Trust, of which Mr. Gupta his wife, and a third party, are trustees.

**Item 5. Ownership of Five Percent or Less of a Class**

Not applicable.

**Item 6. Ownership of More than Five Percent on Behalf of Another Person.**

Not applicable.

**Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company or Control Person.**

Not applicable.

**Item 8. Identification and Classification of Members of the Group**

Not applicable.

**Item 9. Notice of Dissolution of Group**

Not applicable.

**Item 10. Certification**

Not applicable.

## Signature

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 12, 2003

**Date**

/s/ Narendra K. Gupta

**Signature**

Narendra K. Gupta

**Name/Title**