

AUBURN NATIONAL BANCORPORATION INC  
 Form 5  
 February 07, 2003  
 SEC Form 5

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| <p><b>FORM 5</b></p> <p><input type="checkbox"/> Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).</p> <p><input type="checkbox"/> Form 3 Holdings Reported</p> <p><input type="checkbox"/> Form 4 Transactions Reported</p> | <p><b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b></p> <p>Washington, D.C. 20549</p> <p><b>ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP</b></p> <p>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> | <p>OMB APPROVAL</p> <hr/> <p>OMB Number: 3235-0362<br/>                 Expires: January 31, 2005<br/>                 Estimated average burden hours per response. . . . 1.0</p> |
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|--|---|--|--|
| <p>1. Name and Address of Reporting Person*</p> <p><b>Dulaney, James E.</b></p> <hr/> <p>(Last) (First)<br/>(Middle)</p> <p><b>1756 Lauren Lane</b></p> <hr/> <p>(Street)</p> <p><b>Auburn, AL 36830</b></p> <hr/> <p>(City) (State) (Zip)</p> | <p>2. Issuer Name and Ticker or Trading Symbol</p> <p><b>Auburn National Bancorporation Inc<br/>aubn</b></p> <hr/> <p>3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)</p> <p><b>418-88-6110</b></p> | <p>4. Statement for Month/Year</p> <p><b>12/2002</b></p> <hr/> <p>5. If Amendment, Date of Original (Month/Year)</p> | <p>6. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br/> <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below)</p> <p>Description <b>Senior Vice President</b></p> <hr/> <p>7. Individual or Joint/Group Filing (Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person<br/> <input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|--|--|

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4, and 5) | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|--|--|--|---|
| <b>aubn common stock</b>        |                                      |  | <b>R</b>                       | <b>22 / A / \$13.69</b>  | <b>3,282</b>   | <b>D</b>   | <b>Annual Drip</b>                                    |

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any | 4. Transaction Code (Instr.8) | 5. Number of Derivative Securities Acquired (A) | 6. Date Exercisable (DE) and Expiration Date (ED) (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr.5) | 9. Number of Derivative Securities Beneficially Owned at End of Year | 10. Ownership Form of Derivative |
|--|---|--------------------------------------|-----------------------------------|-------------------------------|---|--|---|---|--|----------------------------------|
|--|---|--------------------------------------|-----------------------------------|-------------------------------|---|--|---|---|--|----------------------------------|

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| Security | Year) | (Month/<br>Day/<br>Year) | or<br>Disposed<br>Of (D) | (Instr. 3,<br>4 and 5) | DE / ED | Title /<br>Amount<br>or Number of<br>Shares | Reported<br>Transaction(s)<br>(Instr.4) | Securities:<br>Direct (D)<br>or<br>Indirect (I)<br>(Instr.4) |
|----------|-------|--------------------------|--------------------------|------------------------|---------|---|---|--|
|          |       |                          | A or<br>D                |                        |         |   |   |  |

**Explanation of Responses:**

**By:**

/s/ James E Dulaney

\*\* Signature of Reporting Person

**Date:**

02/06/2003

SEC 2270 (09-02)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* 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 contained in this form are not

required to respond unless the form displays a currently valid OMB Number.

width="8%" valign="top" rowspan="2" style="border: solid black; border-top-width: 1; border-left-width: 0;

border-right-width: 1; border-bottom-width: 1">11. Nature of Indirect Beneficial Ownership

(Instr. 4)CodeV(A)(D)Date ExercisableExpiration DateTitleAmount or Number of Shares Non-Qualified Stock Option (right to buy) \$

52.0308/18/2014 M<sup>(1)</sup> 5,875 <sup>(2)</sup>12/16/2021 Common Stock 5,875 \$ 0 9,829 D

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

McCorkle Douglas S  
777 OLD SAW MILL RIVER ROAD  
TARRYTOWN, NY 10591

VP Controller and Asst Treasur

## Signatures

/s/\*\*Douglas S.  
McCorkle

08/18/2014

\_\_Signature of Reporting  
Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Disposition/acquisition made pursuant to a plan intended to comply with Rule 10b5-1(c).
- (2) The stock option award (combined incentive stock option and non-qualified stock option) vests in four equal annual installments, commencing one year after the date of grant.

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