## Edgar Filing: MID-STATE BANCSHARES - Form 4

#### MID-STATE BANCSHARES

Form 4

April 04, 2003

## FORM 4

o Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

See Instruction 1(b).

(Print or Type Responses)

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(h) of the Investment Company Act of 1940

OMB Number: 3235-0287 Expires: January 31, 2005 Estimated average burden hours per response. . . 0.5

|   |   |                                 | 6. Relationship of Reporting Person(s) to Issuer                                  |  |  |  |
|---|---|---------------------------------|---|--|--|--|
|   |   |                                 | (Check all applicable)  |  |  |  |
| LAN TALL CD C                           |   |                                 | _ Director  |  |  |  |
| Name and Address of Reporting  Person * |   |                                 | X Officer (give title below)  |  |  |  |
| Stathos, James G.                       | Issuer Name and Ticker or Trading Symbol                                | 4. Statement for Month/Day/Year |   |  |  |  |
| (Last) (First) (Middle)                 | Mid-State Bancshares<br>MDST  | April 3, 2003                   | 10% Owner   |  |  |  |
| 1026 East Grand Avenue                  |   |                                 | _ Other (specify below)   |  |  |  |
| (Street)                                | 3. I.R.S. Identification<br>Number of Reporting<br>Person, if an entity | 5. If Amendment, Date of        | Executive Vice President/Chief Financial Officer                                  |  |  |  |
| Arroyo Grande, CA 93420                 | (voluntary)   | Original<br>(Month/Day/Year)    | 7. Individual or Joint/Group<br>Filing (Check Applicable Line)                    |  |  |  |
| (City) (State) (Zip)                    | N/A   | N/A                             | 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

| Title of Security | 2. Transaction<br>Date<br>(Month/Day/ | 2A. Deemed<br>Execution<br>Date, if any<br>(Month/Day/<br>Year) |  | 4. Securities Acquired (A) or Disposed of (D) | Following | Indirect (I) |  |
|-------------------|---------------------------------------|---|--|---|-----------|--------------|--|
|-------------------|---------------------------------------|---|--|---|-----------|--------------|--|

N/A 1

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|                 |            | Code | V | Amount  | (A) or (D) | Price   |                    |  |   |
|-----------------|------------|------|---|---------|------------|---------|--------------------|--|---|
| Common<br>Stock | 04/03/2003 | P    | V | 11.4370 | A          | \$17.05 | 2,745.7009<br>Shrs | D/Investor<br>Services<br>Program<br>Administered<br>by Mellon<br>Investor<br>Services |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
|                 |            |      |   |         |            |         |                    |  |   |
| _               |            |      |   | _       |            |         |                    |  | _ |

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

|   | 2.  |   |   | 4.<br>Trans<br>Code<br>(Instr. |    | Secu<br>Acq<br>(A) (<br>Disp<br>o <b>n</b> f (I<br>(Inst | vativarities<br>uired<br>or<br>oosed<br>O)<br>er. 3, | ,           | ate        | 7. Titi<br>Amou<br>Under<br>Secur<br>(Instr | int of<br>rlying             |   | Derivative<br>Securities<br>Beneficially | 10.<br>Ownership<br>Form of<br>Derivative                     |   |
|---|---|---|---|--------------------------------|----|--|--|-------------|------------|---|------------------------------|---|--|---|---|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3.<br>Transaction<br>Date<br>(Month/Day/<br>Year) | 3A. Deemed<br>Execution<br>Date, if any<br>(Month/Day/<br>Year) |                                |    |  |  | Date        | Expiration |   | Amount<br>or<br>Number<br>of | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | Reported                                 | Securities:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 11. Natur<br>of Indirect<br>Beneficia<br>Ownershi<br>(Instr. 4) |
|   |   |   |   | Code                           | V  | (A)  | (D)  | Exercisable | Date       | Title                                       | Shares                       |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                | iF | Ħ  |  |             |            |   |                              |   |  |   |   |
|   | <u>                                     </u>                    |   |   |                                | 片  | H  | Н  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                | Ļ  | Щ  | Щ  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                |    | П  |  |             |            | П   |                              |   |  |   |   |
|   |   |   |   |                                |    |  |  |             |            | Ħ   |                              |   |  |   |   |
|   | <u>                                     </u>                    |   |   |                                | 片  | H  | H  |             |            |   |                              |   |  |   |   |
|   |   |   |   |                                | IL |  |  |             |            |   |                              |   |  |   |   |

| Explanation of Responses: |  |
|---------------------------|--|
|                           |  |
|                           |  |
|                           |  |
|                           |  |
|                           |  |
|                           |  |

/s/ James G. Stathos 04/02/2003

Date

<sup>\*\*</sup> Signature of Reporting Person

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| 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, <i>see</i> Instruction 6 for procedure. |
| http://www.sec.gov/divisions/corpfin/forms/form4.htm<br>Last update: 09/05/2002   |
|   |