

Edgar Filing: NORWOOD FINANCIAL CORP - Form 4

NORWOOD FINANCIAL CORP  
Form 4  
December 12, 2002

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OMB APPROVAL  
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OMB Number 3235-0287  
Expires: January 31, 2005  
Estimated average burden  
hours per response ..... 0.5  
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U.S. SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 4

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

[ ] 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)

=====

1. Name and Address of Reporting Person\*

Case Charles E.  
-----  
(Last) (First) (Middle)

717 Main Street

-----  
(Street)

Honesdale PA 18431  
-----  
(City) (State) (Zip)

=====

2. Issuer Name and Ticker or Trading Symbol

Norwood Financial Corp/NWFL

=====

3. IRS or Identification Number of Reporting Person, if an entity (Voluntary)

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=====

4. Statement for Month/Day/Year

12/10/2002

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5. If Amendment, Date of Original (Month/Day/Year)

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6. Relationship of Reporting Person(s) to Issuer

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(Check all applicable)

- [ X ] Director [ ] 10% Owner  
 [ ] Officer (give title below) [ ] Other (specify below)

7. Individual or Joint/Group Filings  
 (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.<br>Title of Security<br>(Instr. 3) | 2.<br>Transaction<br>Date<br>(mm/dd/yy) | 2A.<br>Deemed<br>Execution<br>Date,<br>if any<br>(mm/dd/yy) | 3.<br>Transaction<br>Code<br>(Instr. 8)<br>-----<br>Code V | 4.<br>Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5)<br>-----<br>Amount or Price<br>(A)<br>(D) | 5.<br>Amount<br>Secur<br>Benef<br>Owned<br>Follo<br>Repor<br>Trans<br>(Inst<br>and |
|---------------------------------------|---|---|--|--|--|
| Common                                |   |   |  |  | 40,94  |
|                                       |   |   |  |  | 6,6  |
|                                       |   |   |  |  |  |
|                                       |   |   |  |  |  |
|                                       |   |   |  |  |  |
|                                       |   |   |  |  |  |
|                                       |   |   |  |  |  |
|                                       |   |   |  |  |  |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly by the reporting person.  
 \*If the form is filed by more than one reporting person, see Instruction 4(b)(v).

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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)

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| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conver-<br>sion<br>or<br>Exer-<br>cise<br>Price<br>of<br>Deriv-<br>ative<br>Secur-<br>ity | 3.<br>Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 3A.<br>Deemed<br>Execution<br>Date<br>if any<br>(Month/<br>Day/<br>Year) | 4.<br>Trans-<br>action<br>Code<br>(Instr.<br>8)<br>-----<br>Code V | 5.<br>Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D)<br>(Instr. 3,<br>4 and 5)<br>-----<br>(A) (D) | 6.<br>Date<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year)<br>-----<br>Date Expira-<br>tion<br>Date | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>or<br>Number<br>of<br>Shares |
|--|---|--|--|--|--|---|--|
|--|---|--|--|--|--|---|--|

Options -

|              |      |                |  |   |     |               |               |        |     |
|--------------|------|----------------|--|---|-----|---------------|---------------|--------|-----|
| Right-to-buy | \$30 | 12/10/<br>2002 |  | A | 500 | 12/10<br>2003 | 12/10<br>2012 | Common | 500 |
|--------------|------|----------------|--|---|-----|---------------|---------------|--------|-----|

Explanation of Responses:

|                                 |   |          |
|---------------------------------|---|----------|
| /s/Charles E. Case              | by: Lewis J. Critelli<br>Attorney-in-Fact | 12/10/02 |
| -----                           |   | -----    |
| **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 provided is insufficient, see Instruction 6 for procedure.

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