

Edgar Filing: CARVER RICHARD E - Form 4

CARVER RICHARD E  
Form 4  
January 03, 2003

UNITED STATES 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 box if no longer subject to Section 16. Form 4 or Form 5  
obligations may continue. See Instruction 1(b).

1. Name and Address of Reporting Person\*

|                        |         |          |
|------------------------|---------|----------|
| Carver                 | Richard | E.       |
| -----                  | -----   | -----    |
| (Last)                 | (First) | (Middle) |
| 13100 Twin Lakes Drive |         |          |
| -----                  |         |          |
| (Street)               |         |          |
| Clifton                | VA      | 20124    |
| -----                  | -----   | -----    |
| (City)                 | (State) | (Zip)    |

2. Issuer Name and Ticker or Trading Symbol

Competitive Technologies, Inc. (CTT)

3. I.R.S. Identification Number of Reporting Person, if an entity  
(Voluntary)

4. Statement for Month/Day/Year

January 2, 2003

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

6. Relationship of Reporting Person(s) to Issuer (Check all applicable)

|   |  |
|---|--|
| <input checked="" type="checkbox"/> Director        | <input type="checkbox"/> 10% Owner             |
| <input type="checkbox"/> Officer (give title below) | <input type="checkbox"/> Other (specify below) |

7. Individual or Joint/Group Filing (Check Applicable Line)

|  |
|--|
| <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| <input type="checkbox"/> Form filed by More than one Reporting Person  |

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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 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 Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) |
|---------------------------------|--------------------------------------|---|--------------------------------|---|---|--|
| Common Stock                    | 1/2/03                               |   | A                              | 2,500 A (1)   | 11,720  | D  |

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)

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 Security | 3. Date of Transaction (Month/Day/Year) | 3A. Deemed Execution if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Underlying Security (Instr. 5) |
|--|--|---|--|--------------------------------|--|--|---|--|
| Right to buy \$2.14                        |  | 1/2/03                                  |  | A                              | 10,000   | 1/2/03 1/2/13  | Common Stock  | 10,000                                     |

Explanation of Responses:

(1) Common stock acquired in connection with the 1996 Directors' Stock Participation Plan

/s/ Frank R. McPike, Jr.

January 3, 2003

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Attorney in Fact for Richard E. Carver                      Date  
\*\*      Signature of Reporting Person

\*\* 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.