

Edgar Filing: OCEAN BIO CHEM INC - Form 5

OCEAN BIO CHEM INC  
Form 5  
January 03, 2001

U.S. SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 5

ANNUAL 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(f) 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).
- Form 3 Holdings Reported
- Form 4 Transactions Reported

1. Name and Address of Reporting Person\*

|                   |          |          |
|-------------------|----------|----------|
| DORNAU,           | PETER    | G.       |
| -----             | -----    | -----    |
| (Last)            | (First)  | (Middle) |
| 1601 SE 10 STREET |          |          |
| -----             |          |          |
|                   | (Street) |          |
| FORT LAUDERDALE,  | FLORIDA  | 33316    |
| -----             | -----    | -----    |
| (City)            | (State)  | (Zip)    |

2. Issuer Name and Ticker or Trading Symbol

OCEAN BIO-CHEM-INC. (OBCI)

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

4. Statement for Month/Year

12/00

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

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

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

7. Individual or Joint/Group Filing



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FORM 5 (continued)

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

| 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) | 4.<br>Trans-<br>action<br>Code<br>(Instr.<br>8) | 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>Exer-<br>cisable 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 |
|--|---|--|---|--|--|--|
| COMMON STOCK OPT                                       | \$2.000   | 01/96  |   |  | VAR 01/01  | COMMON 15,000  |
| COMMON STOCK OPT                                       | \$0.875   | 03/99  |   |  | 03/99 03/04  | COMMON 100,000   |
| COMMON STOCK OPT                                       | \$0.790   | 05/99  |   |  | VAR 05/04  | COMMON 15,000  |
| COMMON STOCK OPT                                       | \$0.875   | 11/99  |   |  | VAR 11/04  | COMMON 25,000  |
| COMMON STOCK OPT                                       | \$0.625   | 12/00  |   |  | VAR 12/05  | COMMON 25,000  |

Explanation of Responses:

STOCK ISSUED 3/10/00 PURSUANT TO EMPLOYEE BONUS PROGRAM  
STOCK ISSUED 3/30/00 PURSUANT TO 5% STOCK DIVIDEND

/s/ PETER G. DORNAU

01/03/01

\*\*Signature of Reporting Person

Date

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\*\* 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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Derivative Securities Codes (Except For Transactions Exempt Pursuant to Rule 16b-3)

C--Conversion of derivative security

E--Expiration of short derivative position

H--Expiration (or cancellation) of long derivative position with value received

O--Exercise of out-of-the-money derivative security

X--Exercise of in-the-money or at-the-money derivative security

Other Section 16(b) Exempt Transaction and Small Acquisition Codes (Except For Rule 16b-3 Codes Above)

G--Bona fide gift

L--Small acquisition under Rule 16a-6

W--Acquisition or disposition by will or the laws of descent and distribution

Z--Deposit into or withdrawal from voting trust

Other Transaction Codes

J--Other acquisition or disposition (describe transaction)

K--Transaction in equity swap or instrument with similar characteristics

U--Disposition pursuant to a tender of shares in a change of control transaction

To indicate that a holding should have been reported previously on Form 3, place a "3" in Table I, column 3 or Table II, column 4, as appropriate. Indicate in the space provided for explanation of responses the event triggering the Form 3 filing obligation. To indicate that a transaction should have been reported previously on Form 4, place a "4" next to the transaction code reported in Table I, column 3 or Table II, column 4 (e.g., an open market purchase of a non-derivative security that should have been reported previously on Form 4 should be designated as "P4"). To indicate that a transaction should have been reported on a previous Form 5, place a "5" in Table I, column 3 or Table II,

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column 4, as appropriate. In addition, the appropriate box on the front page of the form should be checked.

### FORM 3 OR FORM 4 HOLDINGS OR TRANSACTIONS NOT PREVIOUSLY REPORTED

To indicate that a holding should have been reported previously on a Form 3, place a "3" in Table I, column 3 or Table II, column 4, as appropriate. Indicate in the space provided for explanation of responses the event triggering the Form 3 filing obligation. To indicate that a transaction should have been reported previously on Form 4, place a "4" next to the transaction code reported in Table I, column 3 or Table II, column 4 (e.g., an open market purchase of a non-derivative security that should have been reported previously on Form 4 should be designated as "P4"). In addition, the appropriate box on the front page of the form should be checked.