

BANTA CORP
Form 4
January 11, 2007

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

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 APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BAXTER JAMESON A

(Last) (First) (Middle)

**225 MAIN STREET, P. O. BOX
8003**

(Street)

MENASHA, WI 54952-8003

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
BANTA CORP [BN]

3. Date of Earliest Transaction
(Month/Day/Year)
01/09/2007

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify
below)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ 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. 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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	01/09/2007		D	16,375	D	\$ 0 (1)	0

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

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information contained in this form are not
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SEC 1474
(9-02)

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

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, 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 Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Phantom stock units	\$ 0	01/09/2007		D		20,467.23		<u>(2)</u>	<u>(2)</u>	Phantom stock units	20,467.23
Stock Option	\$ 13.34	01/09/2007		D		2,158		10/26/2000	04/26/2010	Common Stock	2,158
Stock Option	\$ 14.86	01/09/2007		D		2,158		10/28/1999	04/27/2009	Common Stock	2,158
Stock Option	\$ 18.07	01/09/2007		D		4,317		10/25/2001	04/25/2011	Common Stock	4,317
Stock Option	\$ 21.49	01/09/2007		D		4,317		10/30/2003	04/30/2013	Common Stock	4,317
Stock Option	\$ 21.81	01/09/2007		D		2,158		10/29/1998	04/28/2008	Common Stock	2,158
Stock Option	\$ 25.52	01/09/2007		D		4,317		10/24/2002	04/24/2012	Common Stock	4,317
Stock Option	\$ 27.54	01/09/2007		D		4,317		10/27/2005	04/27/2015	Common Stock	4,317
Stock Option	\$ 31.83	01/09/2007		D		4,317		10/28/2004	04/28/2014	Common Stock	4,317
Stock Option	\$ 35.33	01/09/2007		D		4,317		10/26/2006	04/26/2016	Common Stock	4,317

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BAXTER JAMESON A 225 MAIN STREET P. O. BOX 8003 MENASHA, WI 54952-8003	X			

Signatures

Ronald D. Kneezel,
attorney-in-fact

01/10/2007

____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).

- (2) The units will be settled in cash following the reporting person's conclusion of service as a director.
- (1) Shares of Common Stock were converted into the right to receive \$36.50 per share pursuant to an agreement and plan of merger between the issuer and RR Donnelley (the "Merger").
- (3) Shares of Phantom Stock were converted into the right to receive \$36.50 per share pursuant to an agreement and plan of merger between the issuer and RR Donnelley (the "Merger").

This option was canceled in the merger pursuant to a cash conversion whereby each share of common stock of the option was converted

(4) into the right to receive cash in an amount equal to the product of (i) the number of shares of issuer's common stock subject to the option multiplied by (ii) the amount by which \$36.50 exceeds the exercise price of the option.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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