

Edgar Filing: APPLIED BIOMETRICS INC - Form SC 13G/A

APPLIED BIOMETRICS INC
Form SC 13G/A
February 14, 2002

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, DC 20549

SCHEDULE 13G

UNDER THE SECURITIES EXCHANGE ACT OF 1934

(AMENDMENT NO. 6) (1)

APPLIED BIOMETRICS, INC.

(Name of Issuer)

COMMON STOCK, \$.01 PAR VALUE, WARRANTS
TO PURCHASE COMMON STOCK, AND UNITS
COMPRISED OF ONE SHARE COMMON STOCK AND
ONE WARRANT

(Title of Class of Securities)

03814L 10 3

(CUSIP Number)

DECEMBER 31, 2001

(Date of Event Which Requires Filing of This Statement)

Check the appropriate box to designate the rule pursuant to which this
Schedule is filed:

☐ Rule 13d-1(b)
☒ Rule 13d-1(c)
☐ Rule 13d-1(d)

(1) The remainder of this cover page shall be filled out for a reporting
person's initial filing on this form with respect to the subject class of
securities, and for any subsequent amendment containing information which would
alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be
deemed to be "filed" for the purpose of Section 18 of the Securities Exchange
Act of 1934 or otherwise subject to the liabilities of that section of the Act
but shall be subject to all other provisions of the Act (however, see the
NOTES).

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1. NAMES OF REPORTING PERSONS
I.R.S. IDENTIFICATION NO. OF ABOVE PERSONS (ENTITIES ONLY)
- David B. Johnson
2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP*
(a) ☒ (b) ☐
3. SEC USE ONLY
4. CITIZENSHIP OR PLACE OF ORGANIZATION
- U.S.A.
- | | |
|-----------------------------|-------------|
| 5. SOLE VOTING POWER | |
| NUMBER OF | 141,002 (2) |
| SHARES | |
| 6. SHARED VOTING POWER | |
| BENEFICIALLY | 375,509 (3) |
| OWNED BY EACH | |
| 7. SOLE DISPOSITIVE POWER | |
| REPORTING PERSON | 141,002 (2) |
| WITH | |
| 8. SHARED DISPOSITIVE POWER | |
| | 375,509 (3) |
9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
- 516,511 (2), (3)
10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES*
☐

(2) Includes warrants to purchase 19,369 shares.
(3) Includes: (a) 269,950 shares owned by Betty Johnson, wife of David B. Johnson; (b) 250 shares owned by Todd Johnson, son of David B. Johnson; and (c) (i) 28,700 shares and (ii) 76,609 shares owned by the David B. Johnson Family Foundation.

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11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9
8.7%

1. NAMES OF REPORTING PERSONS
I.R.S. IDENTIFICATION NO. OF ABOVE PERSONS (ENTITIES ONLY)
- Betty L. Johnson

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2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP*

(a) ☒

(b) ☐

3. SEC USE ONLY

4. CITIZENSHIP OR PLACE OF ORGANIZATION

U.S.A.

5. SOLE VOTING POWER

NUMBER OF 269,950

SHARES

6. SHARED VOTING POWER

BENEFICIALLY 246,561 (4)

OWNED BY EACH

7. SOLE DISPOSITIVE POWER

REPORTING PERSON 269,950

WITH

8. SHARED DISPOSITIVE POWER

246,561 (4)

9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

516,511 (4)

10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES*

☐

(4) Includes: (a) (i) 121,633 shares and (ii) warrants to purchase 19,369 shares owned by David B. Johnson, husband of Betty L. Johnson; (b) 250 shares owned by Todd Johnson, son of Betty L. Johnson; and (c) (i) 28,700 shares and (ii) 76,609 shares owned by the David B. Johnson Family Foundation.

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11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9

8.7%

12. TYPE OF REPORTING PERSON*

IN

ITEM 1(a). NAME OF ISSUER:

Applied Biometrics, Inc.

ITEM 1(b). ADDRESS OF ISSUER'S PRINCIPAL EXECUTIVE OFFICES:

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P.O. Box 583457
Minneapolis, Minnesota 55458-3457

ITEM 2(a). NAME OF PERSON FILING:

See Item 1 on cover page

ITEM 2(b). ADDRESS OF PRINCIPAL BUSINESS OFFICE OR, IF NONE, RESIDENCE:

c/o Miller Johnson Steichen Kinnard, Inc.
5500 Wayzata Boulevard
Suite 800 - Eighth Floor
Minneapolis, Minnesota 55416

ITEM 2(c). CITIZENSHIP:

See Item 4 on cover page

ITEM 2(d). TITLE OF CLASS OF SECURITIES:

Common Stock, \$.01 par value, Warrants to purchase
Common Stock

ITEM 2(e). CUSIP NUMBER:

See cover page

ITEM 3. IF THIS STATEMENT IS FILED PURSUANT TO RULES 13d-1(b), OR
13d-2(b), CHECK WHETHER THE PERSON IS A:

- (a) ☐ Broker or dealer registered under Section 15
of the Act,
- (b) ☐ Bank as defined in Section 3(a)(6) of the Act,
- (c) ☐ Insurance Company as defined in Section
3(a)(19) of the Act,
- (d) ☐ Investment Company registered under Section 8
of the Investment Company Act,
- (e) ☐ Investment Adviser registered under Section
203 of the Investment Advisers Act of 1940,

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- (f) ☐ Employee Benefit Plan, Pension Fund which is
subject to the provisions of the Employee
Retirement Income Security Act of 1974 or
Endowment Fund; SEE 13d-1(b)(1)(ii)(F),
- (g) ☐ Parent Holding Company, in accordance with
Rule 13d-1(b)(ii)(G); SEE Item 7,
- (h) ☐ A savings association as defined in Section
3(b) of the Federal Deposit Insurance Act,
- (i) ☐ A church plan that is excluded from the
definition of an investment company under
section 3(c)(14) of the Investment Company
Act of 1940,
- (j) ☐ Group, in accordance with Rule
13d-1(b)(1)(ii)(J).

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If this statement is filed pursuant to Rule 13d-1(c), check this box. ☒

ITEM 4. OWNERSHIP.

If the percent of the class owned, as of December 31 of the year covered by the statement, or as of the last day of any month described in Rule 13d-1(b)(2), if applicable, exceeds five percent, provide the following information as of that date and identify those shares which there is a right to acquire.

(a) Amount beneficially owned:

See Item 9 on cover page

(b) Percent of class:

See Item 11 on cover page

(c) Number of shares as to which such person has:

(i) Sole power to vote or to direct the vote: See Item 5 on cover page

(ii) Shared power to vote or to direct the vote: See Item 6 on cover page

(iii) Sole power to dispose or to direct the disposition of: See Item 7 on cover page

(iv) Shared power to dispose or to direct the disposition of: See Item 8 on cover page

ITEM 5. OWNERSHIP OF FIVE PERCENT OR LESS OF A CLASS.

Not applicable

ITEM 6. OWNERSHIP OF MORE THAN FIVE PERCENT ON BEHALF OF ANOTHER PERSON.

Not applicable

ITEM 7. IDENTIFICATION AND CLASSIFICATION OF THE SUBSIDIARY WHICH ACQUIRED THE SECURITY BEING REPORTED ON BY THE PARENT HOLDING COMPANY.

Not applicable

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ITEM 8. IDENTIFICATION AND CLASSIFICATION OF MEMBERS OF THE GROUP.

See Exhibit A indicating the members of the group.

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See Exhibit B indicating the agreement of the group that this Schedule 13G is filed on their behalf.

ITEM 9. NOTICE OF DISSOLUTION OF GROUP.

Not applicable

ITEM 10. CERTIFICATION.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: February 13, 2002

/s/ David B. Johnson

David B. Johnson

/s/ Betty L. Johnson

Betty L. Johnson

The original statement shall be signed by each person on whose behalf the statement is filed or his authorized representative. If the statement is signed on behalf of a person by his authorized representative, other than an executive officer or general partner of the filing person, evidence of the representative's authority to sign on behalf of such person shall be filed with the statement, PROVIDED, HOWEVER, that a power of attorney for this purpose which is already on file with the Commission may be incorporated by reference. The name of any title of each person who signs the statement shall be typed or printed beneath his signature.

NOTE: Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. See ss. 240.13d-7(b) for other parties for whom copies are to be sent.

ATTENTION: Intentional misstatements or omissions of fact constitute federal criminal violations (SEE 18 U.S.C. 1001).

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EXHIBIT A

The following list identifies each member of the group filing this Schedule 13G:

1. David B. Johnson
2. Betty Johnson

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EXHIBIT B

AGREEMENT

This will confirm the agreement by and among all of the undersigned that the Schedule 13G filed on or about this date with respect to the beneficial ownership of the undersigned of shares of Common Stock, Warrants to purchase Common Stock, and Units, each Unit comprised of one share of Common Stock and a Warrant to purchase one share of Common Stock, of Applied Biometrics, Incorporated is being filed on behalf of each of the entities named below. This agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.

Date: February 13, 2002

/s/ David B. Johnson

David B. Johnson

/s/ Betty L. Johnson

Betty L. Johnson