

Edgar Filing: HEARTLAND FINANCIAL USA INC - Form 10-Q/A

HEARTLAND FINANCIAL USA INC

Form 10-Q/A

November 14, 2002

SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

AMENDMENT NO. 1

TO

FORM 10-Q

(Exhibits 99.1 and 99.2 were omitted from the initial filing)

☒ QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

For quarterly period ended September 30, 2002

☐ TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

For transition period \_\_\_\_\_ to \_\_\_\_\_

Commission File Number: 0-24724

HEARTLAND FINANCIAL USA, INC.

(Exact name of Registrant as specified in its charter)

Delaware

(State or other jurisdiction of incorporation or organization)

42-1405748

(I.R.S. employer identification number)

1398 Central Avenue, Dubuque, Iowa 52001

(Address of principal executive offices Zip Code)

(563) 589-2100

(Registrant's telephone number, including area code)

Indicate by check mark whether the Registrant (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that the Registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days. Yes ☒ No

Indicate the number of shares outstanding of each of the classes of Registrant's common stock as of the latest practicable date: As of November 13, 2002, the Registrant had outstanding 9,805,382 shares of common stock, \$1.00 par value per share.

HEARTLAND FINANCIAL USA, INC.

Amendment No. 1 to Form 10-Q Quarterly Report

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Part II

Item 6. Exhibits and Reports on Form 8-K

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## PART II

### ITEM 6. EXHIBITS AND REPORTS ON FORM 8-K

#### Exhibits

- 99.1 Certification pursuant to 18 U.S.C. Section 1350, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, by the Company's Chief Executive Officer.
- 99.2 Certification pursuant to 18 U.S.C. Section 1350, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, by the Company's Chief Financial Officer.

## SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned there unto duly authorized.

HEARTLAND FINANCIAL USA, INC.  
(Registrant)

Principal Executive Officer

/s/ Lynn B. Fuller

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By: Lynn B. Fuller  
President

Principal Financial and  
Accounting Officer

/s/ John K. Schmidt

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By: John K. Schmidt  
Executive Vice President  
and Chief Financial Officer

Dated: November 14, 2002