

Edgar Filing: PUMATECH INC - Form SC 13G/A

PUMATECH INC  
Form SC 13G/A  
February 09, 2001

TAUNUS CORPORATION  
31 West 52nd Street  
New York, New York 10019

Linda L. Assali  
Director  
Telephone: (615) 835-2901

February 7, 2001

Securities and Exchange Commission  
SEC Document Control  
450 Fifth Street, N.W.  
Washington, DC 20549  
Attn: Filing Desk

Dear Sirs:

Re: Filing of Schedule 13G on  
Puma Technology, Inc.

Pursuant to Rule 13d-1 of the General Rules and Regulations under the Securities Exchange Act of 1934, the following is one copy of the Schedule 13G with respect to the common stock of the above referenced corporation.

Please acknowledge your receipt of the Schedule 13G filing submission through the EDGAR-Link System software, by E-Mail confirmation.

Sincerely,

Linda L. Assali

Enclosures

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

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SCHEDULE 13G

Under the Securities Exchange Act of 1934  
(Amendment No. 1)

Puma Technology, Inc.

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NAME OF ISSUER:  
Common Stock (Par Value \$ .001)

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TITLE OF CLASS OF SECURITIES  
745887109

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CUSIP NUMBER  
December 31, 2000

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(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-I(b)  
 Rule 13d-I(c)  
 Rule 13d-I(d)

1. NAME OF REPORTING PERSONS

S.S. OR I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS

Taunus Corporation

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

- (A)   
(B)

3. SEC USE ONLY

4. CITIZENSHIP OR PLACE OF ORGANIZATION

Delaware

|              |                             |
|--------------|-----------------------------|
| NUMBER OF    | 5. SOLE VOTING POWER        |
| SHARES       |                             |
| BENEFICIALLY | 6. SHARED VOTING POWER      |
| OWNED BY     |                             |
| EACH         | 7. SOLE DISPOSITIVE POWER   |
| REPORTING    |                             |
| PERSON WITH  | 8. SHARED DISPOSITIVE POWER |

9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

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

11.PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9

12.TYPE OF REPORTING PERSON

HC,CO

1.NAME OF REPORTING PERSONS

S.S. OR I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS

DB Alex.Brown LLC

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

(A)

(C)

3.SEC USE ONLY

4.CITIZENSHIP OR PLACE OF ORGANIZATION

Delaware

|   |                             |
|---|-----------------------------|
| NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH | 5. SOLE VOTING POWER        |
|   | 6. SHARED VOTING POWER      |
|   | 7. SOLE DISPOSITIVE POWER   |
|   | 8. SHARED DISPOSITIVE POWER |

9.AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

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

11.PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9

12.TYPE OF REPORTING PERSON

BD

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Item 1(a). Name of Issuer:

Puma Technology, Inc. (the Issuer )

Item 1(b). Address of Issuer's Principal Executive Offices:

The address of the Issuer's principal executive offices  
2550 North First Street, Suite 500, San Jose, CA 95131

Item 2(a). Name of Person Filing:

This statement is filed on behalf of Taunus Corporation  
( Taunus ) and DB Alex.Brown LLC ( DBAB) (Taunus  
and DBAB together, the Reporting Persons ).

Item 2(b). Address of Principal Business Office or, if none,  
Residence:

The principal place of business of Taunus is  
31 West 52nd Street, New York, New York,  
10019.

The principal place of business of DBAB is  
130 Liberty Street, New York, New York,  
10006.

Item 2(c). Citizenship:

The citizenship of each of the Reporting Persons  
is set forth on the applicable cover page.

Item 2(d). Title of Class of Securities:

The title of the securities is common stock (the  
Common Stock ).

Item 2(e). CUSIP Number:

The CUSIP number of the Common Stock is set forth on  
each cover page.

Item 3. If this statement is filed pursuant to Rules 13d-1(b),  
or 13d-2(b) or (c), check whether the person filing is  
a:

A. Taunus Corporation:

(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;

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- (d)  Investment Company registered under section 8 of the Investment Company Act of 1940;
- (e)  An investment adviser in accordance with Rule 13d-1 (b) (1) (ii) (E);
- (f)  An employee benefit plan, or endowment fund in accordance with Rule 13d-1 (b) (1) (ii) (F);
- (g)  A parent holding company or control person in accordance with Rule 13d-1 (b) (1) (ii) (G);
- (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).

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

B. DB Alex.Brown LLC:

- (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 of 1940;
- (e)  An investment adviser in accordance with Rule 13d-1 (b) (1) (ii) (E);
- (f)  An employee benefit plan, or endowment fund in accordance with Rule 13d-1 (b) (1) (ii) (F);
- (g)  A parent holding company or control person in accordance with Rule 13d-1 (b) (1) (ii) (G);
- (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).

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

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Item 4. Ownership.

(a) Amount beneficially owned:

(b) Percent of class:

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

(i) sole power to vote or to direct the vote:

(ii) shared power to vote or to direct the vote:

(iii) sole power to dispose or to direct the disposition of:

(iv) shared power to dispose or to direct the disposition of:

Item 5. Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following [X].

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.

Item 8. Identification and Classification of Members of the Group.

Not applicable.

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 acquired and are held in the ordinary course of business and 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 7, 2001

TAUNUS CORPORATION

By: /s/ James T. Byrne, Jr.  
Name: James T. Byrne, Jr.  
Title: Secretary

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Consent of DB Alex.Brown LLC

The undersigned agrees that the Schedule 13G executed by Taunus Corporation to which this statement is attached as an exhibit is filed on behalf of Taunus Corporation and DB Alex.Brown LLC pursuant to Rule 13d-1(k)(1) of the Securities Exchange Act of 1934.

Dated: February 7, 2001

DB ALEX.BROWN LLC

By: /s/ James T. Byrne, Jr.  
Name: James T. Byrne, Jr.  
Title: Secretary