

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 \*  
**BERGSTROM JOHN F**

(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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             |                                         | (A)<br>or<br>(D)                                                        | Price                                                                                                              |                                                                      |                                                                   |
|                                       |                                         |                                                             | Code                                    | V                                                                       | Amount                                                                                                             | (1)                                                                  |                                                                   |
| Common<br>Stock                       | 01/09/2007                              |                                                             | D                                       |                                                                         | 214.606                                                                                                            | \$ 0<br>(1)                                                          | 0                                                                 |
| Common<br>Stock                       | 01/09/2007                              |                                                             | D                                       |                                                                         | 2,350                                                                                                              | \$ 0<br>(1)                                                          | 0                                                                 |

John  
Bergstrom  
Revocable  
Trust

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

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SEC 1474  
(9-02)

# Edgar Filing: BANTA CORP - Form 4

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

| 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 of Underlying Securities (Instr. 3 and 4) |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-----------------|---------------------------------------------------------------|----------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V (A) (D)                                                                               | Date Exercisable                                         | Expiration Date | Title                                                         | Amount or Number of Shares |
| Phantom stock units                        | \$ 0                                                   | 01/09/2007                           |                                                    | D                              | 5,309.7                                                                                 | (2)                                                      | (2)             | Phantom stock units                                           | 5,309.7                    |
| 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                               | \$ 17.29                                               | 01/09/2007                           |                                                    | D                              | 6,475                                                                                   | 04/01/1999                                               | 10/31/2008      | Common Stock                                                  | 6,475                      |
| 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                               | \$ 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 |
| BERGSTROM JOHN F<br>225 MAIN STREET<br>P. O. BOX 8003<br>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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