

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

UNIVERSAL CORP /VA/
Form 5
August 10, 2001

U.S. SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM 5

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(f) of the Investment Company Act of 1940

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

☐ Form 3 Holdings Reported

☐ Form 4 Transactions Reported

1. Name and Address of Reporting Person*

Harrell Henry H.

(Last) (First) (Middle)

1501 North Hamilton Street

(Street)

Richmond Va 23230

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

Universal Corporation UVV

3. IRS Identification Number of Reporting Person, if an Entity (Voluntary)

4. Statement for Month/Year

8/01

5. If Amendment, Date of Original (Month/Year)

6. Relationship of Reporting Person to Issuer
(Check all applicable)

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

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

7. 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 (mm/dd/yy)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		
			Amount	(A) or (D)	Price
Common Stock					9
Common Stock	6/30/01	I	2,177	A	4
Common Stock					
Common Stock					
					total 14

* If the form is filed by more than one Reporting Person, see Instruction 4(b) (v).

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

(Print or Type Responses)

(Over)

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

FORM 5 (continued)

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. Conver- sion or Exer- cise Price of Deriv- ative Secur- ity	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- (A) (D)	6. Date Exercisable and Expiration Date (Month/Day/Year) ----- Date Expira- tion Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4) ----- Amount or Number of Shares			

Options to Buy Common Stock	35.375				12/6/97 12/1/04	Common Stock (4)			

Options to Buy Common stock	38.94				6/15/98 11/20/07	Common Stock (4)			

Options to Buy Common Stock	40.1875				6/8/98 12/4/01	Common Stock (4)			

Options to Buy Common Stock	40.1875				6/8/98 12/4/04	Common Stock (4)			

Options to Buy Common Stock	33.25				6/15/99 12/1/04	Common Stock (4)			

Options to Buy Common Stock	24.69				6/15/00 12/2/09	Common Stock (4)			

Options to Buy Common Stock	32.00				6/15/01 12/2/09	Common Stock (4)			

Options to Buy Common Stock	38.20				12/15/01 12/2/09	Common Stock (4)			

Phantom Stock units 1 for 1	(5)	A	474.4740	(5)	(5)	Common Stock 474.4			

Explanation of Responses:

(1) includes 2,177 shares acquired from 7/1/00 through 6/30/01 in the stock

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

Purchase Plan

(2)number of shares held in the stock purchase plan
(3)number of shares held in the dividend reinvestment plan
(4)Custodian Account for Children
(5)Options issued under the executive stock plan
(6)The phantom stock units were acquired under the Universal Leaf Tobacco Company, Inc. Supplemental Stock Purchase Plan on a periodic basis during the fiscal year ended June 30, 2001. Each phantom stock unit will be settled in cash upon the earlier of death, disability, retirement or termination of employment. The range of high low market prices for the company's common stock on the dates the phantom units were credited is \$39.66 and \$26.3125, respectively.

Signature on file, filed electronically

August 10, 2001

**Signature of Reporting Person

Date

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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

Page 2