

Edgar Filing: UNIVERSAL CORP /VA/ - Form 4

UNIVERSAL CORP /VA/
Form 4
June 06, 2001

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

FORM 4

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).

1. Name and Address of Reporting Person*

Roper Hartwell H.

(Last) (First) (Middle)

P.O. Box 25099

(Street)

Richmond VA 23260

(City) (State) (Zip)

Universal Corporation

2. Issuer Name and Ticker or Trading Symbol

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

05/01

4. Statement for Month/Year

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)

Vice President & Chief Financial Officer

Edgar Filing: UNIVERSAL CORP /VA/ - Form 4

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)		
		Code	V	Amount	(A) or (D)	Price
Common Stock	5/18/01	G		700	D	\$41.00
Common Stock	5/10/01	S		300	D	\$39.94
Common Stock	5/11/01	M		19,611	A	\$33.25
Common Stock	5/11/01	S		16,315 (3)	D	\$39.9275
Common Stock	5/11/01	S		1,535 (4)	D	\$39.9275
Common Stock	5/16/01	M		6,132	A	\$35.3125
Common Stock	5/16/01	S		5,312 (3)	D	\$40.8380
Common Stock	5/16/01	S		388 (4)	D	\$40.8380
Common Stock						
Common Stock						
Total						

* 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 Response)

(Over)

FORM 4 (continued)

Edgar Filing: UNIVERSAL CORP /VA/ - 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. Conver- sion or Exer- cise Price of Deriv- ative Secur- ity	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8) ----- Code V	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 Expiration Exer- tion cisable Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4) ----- Amount or Number of Shares
--	---	--	---	--	--	--

Options to Buy Common Stock	\$33.25	5/11/01	M	19,611	6/15/99 12/04/01	Common (6)
--------------------------------	---------	---------	---	--------	------------------	------------

Options to Buy Common Stock	\$35.3125	5/16/01	M	6,132	12/15/98 12/4/01	Common (6)
--------------------------------	-----------	---------	---	-------	------------------	------------

Explanation of Responses:

(1)Gift to wife, Mr. Roper disclaims beneficial ownership (2)Gift to daughter, Mr. Roper disclaims beneficial ownership (3)Sale of Shares to pay the exercise price on a cashless exercise (4)Sale of Shares to pay the taxes on a cashless exercise (5)Shares held in the Stock Purchase Plan (6)Options issued under the Executive Stock Plan

Signature on file, filed electronically

6/6/01

Edgar Filing: UNIVERSAL CORP /VA/ - Form 4

**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