

SCHWAB CHARLES CORP  
 Form 3  
 February 08, 2007

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
 Expires: January 31, 2005  
 Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Å Goldman Charles G  
 (Last) (First) (Middle)

2. Date of Event Requiring Statement  
 (Month/Day/Year)  
 02/02/2007

3. Issuer Name and Ticker or Trading Symbol  
 SCHWAB CHARLES CORP [SCHW]

4. Relationship of Reporting Person(s) to Issuer

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

C/O THE CHARLES SCHWAB CORPORATION, Å 120 KEARNY STREET  
 (Street)

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner  
 \_X\_ Officer \_\_\_ Other  
 (give title below) (specify below)  
 EVP/COO, Schwab Institutional

SAN FRANCISCO, Å CA Å 94108  
 (City) (State) (Zip)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 \_X\_ Form filed by One Reporting Person  
 \_\_\_ Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock                       | 18,074 <sup>(8)</sup>                                    | D   | Å  |
| Common Stock                       | 90   | I   | by Trust   |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security | 4. Conversion or Exercise | 5. Ownership Form of | 6. Nature of Indirect Beneficial Ownership |
|---|---|--|---------------------------|----------------------|--|
|---|---|--|---------------------------|----------------------|--|

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|   | Date Exercisable          | Expiration Date | (Instr. 4)<br>Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|---|---------------------------|-----------------|---------------------|----------------------------|------------------------------|--|------------|
| Incentive Stock Option (right to buy)     | 02/27/2003 <sup>(1)</sup> | 02/27/2012      | Common Stock        | 7,500                      | \$ 13.11                     | D  | Â          |
| Incentive Stock Option (right to buy)     | 07/18/2002 <sup>(2)</sup> | 07/18/2011      | Common Stock        | 5,000                      | \$ 15.02                     | D  | Â          |
| Incentive Stock Option (right to buy)     | 01/25/2002 <sup>(1)</sup> | 01/25/2011      | Common Stock        | 5,000                      | \$ 28.875                    | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 09/30/2004 <sup>(3)</sup> | 09/30/2011      | Common Stock        | 36,497                     | \$ 9.19                      | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 11/08/2004 <sup>(4)</sup> | 11/08/2012      | Common Stock        | 5,000                      | \$ 9.71                      | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 09/24/2002 <sup>(2)</sup> | 09/24/2011      | Common Stock        | 11,000                     | \$ 10.2                      | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 02/27/2003 <sup>(1)</sup> | 02/27/2012      | Common Stock        | 7,500                      | \$ 13.11                     | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 07/18/2002 <sup>(2)</sup> | 07/18/2011      | Common Stock        | 50,000                     | \$ 15.02                     | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 01/25/2002 <sup>(1)</sup> | 01/25/2011      | Common Stock        | 5,000                      | \$ 28.875                    | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 09/07/2005 <sup>(6)</sup> | 09/07/2012      | Common Stock        | 162,500                    | \$ 15.2992                   | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 09/07/2005 <sup>(7)</sup> | 09/07/2012      | Common Stock        | 162,500                    | \$ 17.075                    | D  | Â          |
| Non-Qualified Stock Option (right to buy) | 10/30/2007 <sup>(5)</sup> | 10/30/2013      | Common Stock        | 45,045                     | \$ 19.186                    | D  | Â          |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                 |       |
|---|---------------|-----------|---------------------------------|-------|
|   | Director      | 10% Owner | Officer                         | Other |
| Goldman Charles G<br>C/O THE CHARLES SCHWAB CORPORATION<br>120 KEARNY STREET<br>SAN FRANCISCO, CA 94108 | Â             | Â         | Â EVP/COO, Schwab Institutional | Â     |

## Signatures

Charles G.  
Goldman

02/08/2007

Date

Signature of  
Reporting Person

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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).
- (1) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest in four equal installments beginning on the first anniversary of the grant date.
- (2) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest 35% on the first anniversary of the grant date, 25% on the second anniversary of the grant date and 20% on each of the third and fourth anniversary of the grant date.
- (3) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest in four equal annual installments beginning on December 15, 2004.
- (4) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest 25% on each of the second and third anniversary of the grant date and 50% on the fourth anniversary of the grant date.
- (5) The options were granted under the 2004 Stock Incentive Plan and vest in four equal installments beginning on the first anniversary of the grant date.
- (6) The options were granted under the 2004 Stock Incentive Plan and were fully exercisable as of the grant date. The exercise price is 112% of the closing price of the company's common stock on the grant date.
- (7) The options were granted under the 2004 Stock Incentive Plan and were fully exercisable as of the grant date. The exercise price is 125% of the closing price of the company's common stock on the grant date.
- (8) Of these shares, 4,126 vest on February 25, 2007; and 3,487 vest on October 30 of each of the following years: 2007, 2008, 2009 and 2010.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.