

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

UNIVERSAL CORP /VA/
Form 5
August 13, 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*

Roper Hartwell 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)
Vice President & CFO

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 | 6/30/01 | I | 888 | A | |
| Common Stock | 6/30/01 | I | 1,364 | A | |
| 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 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 | 29.375 | | | | 6/5/97 12/1/04 | Common Stock (5) |
| Options to Buy Common Stock | 35.3125 | | | | 12/15/98 12/1/04 | Common Stock (5) |
| Options to Buy Common Stock | 35.375 | | | | 12/6/97 12/1/04 | Common Stock (5) |
| Options to Buy Common Stock | 38.94 | | | | 6/15/98 11/20/07 | Common Stock (5) |
| Options to Buy Common Stock | 40.1875 | | | | 6/8/98 12/1/04 | Common Stock (5) |
| Options to Buy Common Stock | 24.69 | | | | 6/15/00 12/2/09 | Common Stock (5) |
| Options to Buy Common Stock | 32.00 | | | | 6/15/01 12/2/09 | Common Stock (5) |
| Options to Buy Common Stock | 38.20 | | | | 12/15/01 12/2/09 | Common Stock (5) |
| phantom stock units 1 for 1 | (6) | | 10.2800 | | (6) (6) | Common Stock 10.28 |

Explanation of Responses:

(1) Includes 888 shares that were previously owned indirectly in the Stock

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

Purchase Plan.

(2) includes 1,364 shares acquired from 7/1/00 through 6/30/01 in the stock Purchase Plan

(3) number of shares held in the stock purchase plan

(4) Gift to Wife, Mr. Roper disclaims beneficial ownership

(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 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