Edgar Filing: INVESTORS FINANCIAL SERVICES CORP - Form 4

INVESTORS FINANCIAL SERVICES CORP

Form 4 July 05, 2007

FORM 4

OMB APPROVAL

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

January 31, Expires: 2005

Form 4 or Form 5 obligations STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Estimated average burden hours per response... 0.5

may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * OATES JAMES M

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

INVESTORS FINANCIAL SERVICES CORP [IFIN]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

X_ Director 10% Owner Officer (give title Other (specify

(Month/Day/Year)

07/02/2007

C/O INVESTORS FINANCIAL SERVICES CORP, 200 **CLARENDON ST**

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

BOSTON, MA 02116

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5)

4. Securities Acquired 5. Amount of Securities Beneficially Owned

Following

Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect (I)

(Instr. 4)

Beneficial Ownership (Instr. 4)

(A)

Transaction(s) (Instr. 3 and 4) Price

Common Stock

07/02/2007

Amount (D) D 35,669

Code V

0 D (1)

D

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

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SEC 1474 (9-02)

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

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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)	Transaction Code S (Instr. 8) A (A C) (Instr. 8) (In	Transaction Derivative Code Securities		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	
Common Stock (right to buy)	\$ 37.88	07/02/2007		D	5,000	<u>(2)</u>	04/23/2012	Common Stock	5,000	
Common Stock (right to buy)	\$ 48.35	07/02/2007		D	5,000	<u>(2)</u>	04/18/2016	Common Stock	5,000	
Common Stock (right to buy)	\$ 47.46	07/02/2007		D	3,091	(2)	11/08/2010	Common Stock	3,091	
Common Stock (right to buy)	\$ 47.46	07/02/2007		D	1,737	(2)	04/15/2013	Common Stock	1,737	
Common Stock (right to buy)	\$ 47.46	07/02/2007		D	1,304	<u>(2)</u>	11/08/2011	Common Stock	1,304	
Common Stock (right to buy)	\$ 38.789	07/02/2007		D	707	<u>(2)</u>	04/15/2013	Common Stock	707	
Common Stock (right to buy)	\$ 38.789	07/02/2007		D	2,051	(2)	11/08/2011	Common Stock	2,051	
Common Stock (right to buy)	\$ 38.789	07/02/2007		D	465	(2)	11/08/2009	Common Stock	465	
Common Stock	\$ 42.61	07/02/2007		D	5,000	(2)	04/13/2014	Common Stock	5,000	

8. De Se (In

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(right to buy)

Common

Stock (right to buy)

\$ 45.47 07/02/2007

D 5,000

(2) 04/14/2015

Common Stock

5,000

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

OATES JAMES M C/O INVESTORS FINANCIAL SERVICES CORP 200 CLARENDON ST BOSTON, MA 02116

X

Signatures

John E. Henry p/a for James M. Oates

07/05/2007

**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).
- Disposed of pursuant to the Agreement and Plan of Merger, dated February 4, 2007 among the Issuer and State Street Corporation in exchange for the right to receive 0.906 shares of State Street Corporation Common Stock. On the date of closing shares of State Street Corporation Common Stock closed at \$68.70.
- (2) This option was cancelled on July 2, 2007, the date of the merger of the Issuer into State Street Bank for a cash payment of the excess of \$61.9957 over the exercise price per share of Issuer common stock subject to such option.

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.

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