

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

UNIVERSAL CORP /VA/  
Form 5  
August 09, 2002

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\*

Taylor William L.

-----  
(Last) (First) (Middle)

1501 North Hamilton St.

-----  
(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

06/02

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

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

☒ Director

☐ 10% Owner

☐ Officer (give title below)

☐ Other (specify below)

Vice President & CAO

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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.<br>Title of Security<br>(Instr. 3) | 2.<br>Transaction<br>Date<br>(mm/dd/yy) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4.<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |                  |       |
|---------------------------------------|-----------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|------------------|-------|
|                                       |                                         |                                         | Amount                                                                     | (A)<br>or<br>(D) | Price |
| Common Stock                          | 6/30/02                                 | I                                       | 429                                                                        | A                |       |
| Common Stock                          | 6/30/02                                 | I                                       | 566                                                                        | A                |       |
|                                       |                                         |                                         | 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)

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FORM 5 (continued)

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

| =====                                                  |                                                                                                 |                                                            |                                                 |                                                                                                                                    |  |                                                                                                            |          |                                                                                                                              |     |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------------|------------------------------------------------------------|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------------------------------------------------|----------|------------------------------------------------------------------------------------------------------------------------------|-----|
| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conver-<br>sion<br>or<br>Exer-<br>cise<br>Price<br>of<br>Deriv-<br>ative<br>Secur-<br>ity | 3.<br>Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 4.<br>Trans-<br>action<br>Code<br>(Instr.<br>8) | 5.<br>Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D)<br>(Instr. 3,<br>4 and 5)<br>-----<br>(A) (D) |  | 6.<br>Date<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year)<br>-----<br>Date Expira-<br>tion Date |          | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>or<br>Number<br>of<br>Shares |     |
| Options to buy<br>common stock                         | \$38.94                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 6/15/98                                                                                                    | 11/20/07 | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$40.1875                                                                                       |                                                            |                                                 |                                                                                                                                    |  | 6/8/98                                                                                                     | 12/1/04  | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$38.20                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 12/15/01                                                                                                   | 12/2/09  | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$36.92                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 6/17/02                                                                                                    | 12/1/04  | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$36.92                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 6/17/02                                                                                                    | 12/2/09  | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$38.70                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 12/17/02                                                                                                   | 12/1/04  | Common Stock                                                                                                                 | (4) |
| Options to buy<br>common stock                         | \$38.70                                                                                         |                                                            |                                                 |                                                                                                                                    |  | 12/17/02                                                                                                   | 12/2/09  | Common Stock                                                                                                                 | (4) |
| Phantom stock units 1 for 1                            |                                                                                                 | (5)                                                        |                                                 | 60,944                                                                                                                             |  | (5)                                                                                                        | (5)      | Common Stock                                                                                                                 | (5) |
| -----                                                  |                                                                                                 |                                                            |                                                 |                                                                                                                                    |  |                                                                                                            |          |                                                                                                                              |     |
| -----                                                  |                                                                                                 |                                                            |                                                 |                                                                                                                                    |  |                                                                                                            |          |                                                                                                                              |     |
| -----                                                  |                                                                                                 |                                                            |                                                 |                                                                                                                                    |  |                                                                                                            |          |                                                                                                                              |     |
| =====                                                  |                                                                                                 |                                                            |                                                 |                                                                                                                                    |  |                                                                                                            |          |                                                                                                                              |     |

## Explanation of Responses:

- (1) includes 429 shares that were previous owned in the Stock Purchase Plan  
(2) includes 566 shares acquired from 7/1/01 through 6/30/02 in the Stock

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Purchase Plan

(3)number of shares in the Stock Purchase Plan

(4)Options issued under the Executive Stock Plan

(5)the phantom stock units were acquired under the ULT Supplemental Stock Purchase Plan on a periodic basis during the fiscal year ended June 30, 2002.

Each phantom stock unit will be settled in cash upon the earlier of death, disability, retirement or termination of employment. The range of high and low market prices for the company's common stock on the dates the phantom units were credited is \$42.96 and \$31.78 respectively.

signature of file, filed electronically

August 9, 2002

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\*\*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.

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