

Edgar Filing: STATE STREET CORP - Form 4

STATE STREET CORP  
 Form 4  
 December 04, 2001

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
 WASHINGTON, D.C. 20549  
 FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

( ) Check this box if no longer subject to Section 16.  
 Form 4 or Form 5 obligations may continue. See Instructions 1(b).

1. Name and Address of Reporting Person  
 Spina, David A.  
 State Street Corporation  
 225 Franklin Street  
 Boston, MA 02110
2. Issuer Name and Ticker or Trading Symbol  
 State Street Corporation  
 STT
3. IRS or Social Security Number of Reporting Person (Voluntary)
4. Statement for Month/Year  
 11/30/01
5. If Amendment, Date of Original (Month/Year)
6. Relationship of Reporting Person(s) to Issuer (Check all applicable)  
 (X) Director ( ) 10% Owner (X) Officer (give title below) ( ) Other  
 (specify below)  
 Chairman and Chief Executive Officer
7. 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 Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security | 2. Transaction Date | 3. Transaction Code | 4. Securities Acquired (A) or Disposed of (D)<br>Amount | 5. Amount of Securities Beneficially Owned at End of Month |
|----------------------|---------------------|---------------------|---|--|
| Common Stock         | 11/23/01            | G                   | V 4,000   | D 922,362 (1)  |
| Common Stock         | 11/23/01            | G                   | V 2,000   | A 4,000 (1)  |
|                      |                     |                     |   | 80,000 (1)   |

Table II -- Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Derivative Security | 2. Conversion or Exercise Price of Derivative | 3. Transaction Date | 4. Transaction Code | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) | 6. Date Exercisable and Expiration Date | 7. Title and Amount of Underlying Securities | 8. Percentage of Total Ownership |
|---------------------------------|---|---------------------|---------------------|--|---|--|----------------------------------|
|                                 |   |                     |                     |  |   |  |                                  |

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|   | Secu-<br>rity | Date | Code | V | Amount | D<br>ble | cisa-<br>ble | Date              | of Shares                      |
|---|---------------|------|------|---|--------|----------|--------------|-------------------|--------------------------------|
| Employee Stock Option<br>(right to buy) | 7.2344        |      |      |   |        |          |              | 12/31/95-12/14/04 | Common Stock<br>320,000<br>(1) |
|   |               |      |      |   |        |          |              | 12/31/99          |                                |
| Employee Stock Option<br>(right to buy) | 11.00         |      |      |   |        |          |              | 12/31/96-12/20/05 | Common Stock<br>100,000<br>(1) |
|   |               |      |      |   |        |          |              | 12/31/00          |                                |
| Employee Stock Option<br>(right to buy) | 15.875        |      |      |   |        |          |              | 12/19/97-12/18/06 | Common Stock<br>320,000<br>(1) |
|   |               |      |      |   |        |          |              | 12/19/99          |                                |
| Employee Stock Option<br>(right to buy) | 33.71875      |      |      |   |        |          |              | 12/17/99-12/16/08 | Common Stock<br>220,400<br>(1) |
|   |               |      |      |   |        |          |              | 12/17/01          |                                |
| Employee Stock Option<br>(right to buy) | 34.64065      |      |      |   |        |          |              | 12/16/00-12/15/09 | Common Stock<br>200,000<br>(1) |
|   |               |      |      |   |        |          |              | 12/16/02          |                                |
| Employee Stock Option<br>(right to buy) | 60.7375       |      |      |   |        |          |              | 12/21/01-12/20/10 | Common Stock<br>250,800<br>(1) |
|   |               |      |      |   |        |          |              | 12/21/03          |                                |

Explanation of Responses:

(1) Reflects two-for-one stock split distributed on May 30, 2001.

(2) Shares held by members of Mr. Spina's family with respect to which Mr. Spina disclaims beneficial ownership of any such shares.

SIGNATURE OF REPORTING PERSON

/s/David A. Spina

DATE

12/3/01