

# Edgar Filing: STATE STREET CORP - Form 4

STATE STREET CORP

Form 4

September 20, 2002

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

Harbert, Timothy B.

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

09/19/2002

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

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

( ) Director ( ) 10% Owner (X) Officer (give title below) ( ) Other

(specify below)

Executive Vice President

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) Amount | 5. Amount of Securities Beneficially Owned at End of Month |
|----------------------|---------------------|---------------------|------------------------------------------------------|------------------------------------------------------------|
| Common Stock         | 09/19/02            | A(1)                | 30,283                                               | 177,503                                                    |
|                      |                     |                     |                                                      | 6,543 (2)                                                  |

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

| 1. Title of Derivative Security | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date | 4. Transaction Code | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) Amount | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities | 8. Put or Call or Other Feature |
|---------------------------------|--------------------------------------------------------|---------------------|---------------------|---------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------|---------------------------------|
|                                 |                                                        |                     |                     |                                                                           |                                                          |                                              |                                 |

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|                                      |          |  |  |  |  |  |           |          |              |         |  |
|--------------------------------------|----------|--|--|--|--|--|-----------|----------|--------------|---------|--|
| Employee Stock Option (right to buy) | 9.3125   |  |  |  |  |  | 12/17/99  | 12/16/04 | Common Stock | 6,184   |  |
| Employee Stock Option (right to buy) | 8.1250   |  |  |  |  |  | 12/16/00  | 12/15/05 | Common Stock | 8,120   |  |
| Employee Stock Option (right to buy) | 13.20315 |  |  |  |  |  | 6/20/01   | 6/20/06  | Common Stock | 8,000   |  |
| Employee Stock Option (right to buy) | 15.8750  |  |  |  |  |  | 12/19/97- | 12/18/06 | Common Stock | 80,000  |  |
|                                      |          |  |  |  |  |  | 12/19/99  |          |              |         |  |
| Employee Stock Option (right to buy) | 33.71875 |  |  |  |  |  | 12/17/99- | 12/16/08 | Common Stock | 27,480  |  |
|                                      |          |  |  |  |  |  | 12/17/01  |          |              |         |  |
| Employee Stock Option (right to buy) | 34.64065 |  |  |  |  |  | 12/16/00- | 12/15/09 | Common Stock | 24,920  |  |
|                                      |          |  |  |  |  |  | 12/16/02  |          |              |         |  |
| (CONTINUED ON THE NEXT PAGE)         |          |  |  |  |  |  |           |          |              |         |  |
| Employee Stock Option (right to buy) | 60.7375  |  |  |  |  |  | 12/21/01- | 12/20/10 | Common Stock | 54,200  |  |
|                                      |          |  |  |  |  |  | 12/21/03  |          |              |         |  |
| Employee Stock Option (right to buy) | 51.975   |  |  |  |  |  | 12/20/02- | 12/19/11 | Common Stock | 128,800 |  |
|                                      |          |  |  |  |  |  | 12/20/04  |          |              |         |  |
| Employee Stock Option (right to buy) | 49.705   |  |  |  |  |  | 12/21/04  | 12/20/12 | Common Stock | 10,700  |  |
|                                      |          |  |  |  |  |  |           |          |              |         |  |

## Explanation of Responses:

(1) Award granted pursuant to State Street Global Advisors Equity Compensation Plan vesting on December 21, 2005.

(2) As of last plan statement. The plan accounts for interests in units of shares and a small amount of cash. As a result the number of underlying shares may fluctuate from time to time.

SIGNATURE OF REPORTING PERSON

/s/Timothy B. Harbert

DATE

9/19/02