

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

UNIVERSAL CORP /VA/  
Form 5  
August 08, 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\*

|                 |                  |                   |
|-----------------|------------------|-------------------|
| Carrier         | Ronald           | E                 |
| -----<br>(Last) | -----<br>(First) | -----<br>(Middle) |

1501 North Hamilton Street

-----  
(Street)

|                 |                  |                |
|-----------------|------------------|----------------|
| Richmond        | Va               | 23230          |
| -----<br>(City) | -----<br>(State) | -----<br>(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)

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

|   |  |
|---|--|
| <input checked="" type="checkbox"/> Director        | <input type="checkbox"/> 10% Owner             |
| <input type="checkbox"/> Officer (give title below) | <input type="checkbox"/> Other (specify below) |

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.<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)<br>Price |
| Common Stock                          |   |   |  | 3                         |
| Common Stock                          |   |   |  | 2                         |
|                                       |   |   | total  | 5                         |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |
|                                       |   |   |  |                           |

\* 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.

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.<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<br>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<br><br>Title |
|--|---|--|---|--|---|---|
| Common Stock   | \$26.875  | 10/23/96   |   | (2)  |   | 1,000   |
| Common Stock   | \$37.875  | 10/29/97   |   | (2)  |   | 1,000   |
| Common Stock   | \$37.125  | 10/28/98   |   | (2)  |   | 1,000   |
| Common Stock   | \$21.8125   | 10/27/99   |   | (2)  |   | 1,000   |
| Common Stock   | \$28.75   | 10/24/00   |   | (2)  |   | 1,000   |
| Common Stock   | \$32.22   | 10/24/01   |   | (2)  |   | 1,000   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |
|  |   |  |   |  |   |   |

=====

Explanation of Responses:  
 (1) shares were granted for Service as a Director. Transfer of shares is prohibited and the shres may be forfeited to the Company unless certain specified conditions are met.  
 (2) Grant to Director of options of Common Stock under the Universal Corporation 1994 Stock Option Plan for non-employee Directors.  
 signature on file, filed electronically August 8, 2002  
 -----  
 \*\*Signature of Reporting Person Date

Edgar Filing: UNIVERSAL CORP /VA/ - Form 5

\*\* 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