

Edgar Filing: STATE STREET CORP - Form 4

STATE STREET CORP
Form 4
May 11, 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

Sergel, Richard P.
National Grid U.S.A.
25 Research Drive
Westborough, MA 01582

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

4/30/01

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

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

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

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 | 4/18/01 | A(1)V | 478 | |
| Common Stock | 4/18/01 | A(2)V | 478 | 2,626(3) |

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) | 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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| Category | Priority | Date | Code | V | Amount | Unit | Label | Value | Unit | Value |
|------------|----------|------------|------|---|--------|------|--------|-------|------|-------|
| Category 1 | High | 2023-10-27 | 001 | 1 | 1000 | USD | Item 1 | 1000 | USD | 1000 |
| Category 2 | Medium | 2023-10-28 | 002 | 2 | 2000 | USD | Item 2 | 2000 | USD | 2000 |
| Category 3 | Low | 2023-10-29 | 003 | 3 | 3000 | USD | Item 3 | 3000 | USD | 3000 |

Explanation of Responses:

(1) Payment of director's retainer.

(2) Payment of Directors' Deferred Stock Award exempt under Rule 16b-3(d).

(3) Includes Directors' Deferred Stock Award dividend equivalents.

SIGNATURE OF REPORTING PERSON

/s/Richard P. Sergel

DATE _____

5/3/01