

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. 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. 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. Percentage of Ownership |
|---------------------------------|--|---------------------|---------|---|--|--|----------------------------|
| | | | | | | | |

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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