

SCHWAB CHARLES CORP

Form 4

February 07, 2003

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

OMB APPROVAL

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

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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(h) of the Investment Company Act of 1940

Filed By  
Romeo and Dye's  
Section 16 Filer  
www.section16.net

1. Name and Address of Reporting Person*			2. Issuer Name <b>and</b> Ticker or Trading Symbol				6. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
<b>Pottruck, David S.</b>			<b>The Charles Schwab Corporation ("SCH")</b>				<input checked="" type="checkbox"/> Director —		
(Last) (First) (Middle)			3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)				4. Statement for Month/Day/Year		
<b>c/o The Charles Schwab Corporation</b>							<b>January 6, 2003</b>		
<b>120 Kearny Street</b>							<input checked="" type="checkbox"/> Officer (give title below) —		
(Street)							Other (specify below)		
<b>San Francisco, CA 94108</b>							<b>President and Co-Chief Executive Officer</b>		
			5. If Amendment, Date of Original (Month/Day/Year)				7. Individual or Joint/Group Filing (Check Applicable Line)		
							<input checked="" type="checkbox"/> Form filed by One Reporting Person		
							<input type="checkbox"/> Form filed by More than One Reporting Person		
(City) (State) (Zip)			<b>Table I Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>						
1. Title of Security (Instr. 3)	2. Transaction Date (Month/ Day/ Year)	2A. Deemed Execution Date, if any (Month/Day/ Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 & 5)		5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock							75,329.00	D	
Common Stock							175,308.74	I	By 401(k)
Common Stock							958,297.70	I	By ESOP
Common Stock							1,315.00	I	By Management Trust
Common Stock							4,170,157.60	I	By Revocable Trust
Common Stock							23,362.00	I	By Spouse
Common Stock							1,315.00	I	By Spouse in Trust
Common Stock							137,018.61	I	By Trust B

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Common Stock								137,018.61	I	By Trust C
Common Stock	1/6/03		G	V	201,174			2,927.49	I	By Trust D
Common Stock								16,281.00	I	GRAT 1
Common Stock								10,065.00	I	GRAT 2
Common Stock								6,297.00	I	GRAT 3
								(1)		

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

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**FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g., puts, calls, warrants, options, convertible securities)**

(Futures, Swaps, Warrants, Options, Convertible Securities)															
1. Title of Derivative Security  (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date  (Month/Day/Year)	3A. Deemed Execution Date, if any  (Month/Day/Year)	4. Transaction Code  (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D)  (Instr. 3, 4 & 5)		6. Date Exercisable and Expiration Date  (Month/Day/Year)		7. Title and Amount of Underlying Securities  (Instr. 3 & 4)		8. Price of Derivative Security  (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s)  (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I)  (Instr. 4)	11. Nature of Indirect Beneficial Ownership  (Instr. 4)
				Code	V	(A)	(D)	Date Exer-cisable	Expira-tion Date	Title	Amount or Number of Shares				

Explanation of Responses:

(1) The reporting person no longer has a reportable interest in 51,216 shares of Schwab common stock owned by his daughters and included in the reporting person's prior ownership reports.

By: /s/ **David S. Pottruck**  
**David S. Pottruck**

\*\*Signature of Reporting Person

**2/6/03**  
Date

\*\*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 is insufficient, See Instruction 6 for procedure.

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