

SCHWAB CHARLES CORP
Form 3
February 08, 2007

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Â Goldman Charles G

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

02/02/2007

3. Issuer Name **and** Ticker or Trading Symbol
SCHWAB CHARLES CORP [SCHW]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

___ Director ___ 10% Owner

X Officer ___ Other

(give title below) (specify below)

EVP/COO, Schwab Institutional

6. Individual or Joint/Group

Filing(Check Applicable Line)

X Form filed by One Reporting
Person

___ Form filed by More than One
Reporting Person

C/O THE CHARLES SCHWAB
CORPORATION,Â 120
KEARNY STREET

(Street)

SAN
FRANCISCO,Â CAÂ 94108

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

18,074 ⁽⁸⁾

D

Â

Common Stock

90

I

by Trust

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.**

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security

4. Conversion
or Exercise

5. Ownership
Form of

6. Nature of
Indirect Beneficial
Ownership

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| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|---|---------------------------|-----------------|---------------------|----------------------------|------------------------------|--|------------|
| Incentive Stock Option (right to buy) | 02/27/2003 ⁽¹⁾ | 02/27/2012 | Common Stock | 7,500 | \$ 13.11 | D | Â |
| Incentive Stock Option (right to buy) | 07/18/2002 ⁽²⁾ | 07/18/2011 | Common Stock | 5,000 | \$ 15.02 | D | Â |
| Incentive Stock Option (right to buy) | 01/25/2002 ⁽¹⁾ | 01/25/2011 | Common Stock | 5,000 | \$ 28.875 | D | Â |
| Non-Qualified Stock Option (right to buy) | 09/30/2004 ⁽³⁾ | 09/30/2011 | Common Stock | 36,497 | \$ 9.19 | D | Â |
| Non-Qualified Stock Option (right to buy) | 11/08/2004 ⁽⁴⁾ | 11/08/2012 | Common Stock | 5,000 | \$ 9.71 | D | Â |
| Non-Qualified Stock Option (right to buy) | 09/24/2002 ⁽²⁾ | 09/24/2011 | Common Stock | 11,000 | \$ 10.2 | D | Â |
| Non-Qualified Stock Option (right to buy) | 02/27/2003 ⁽¹⁾ | 02/27/2012 | Common Stock | 7,500 | \$ 13.11 | D | Â |
| Non-Qualified Stock Option (right to buy) | 07/18/2002 ⁽²⁾ | 07/18/2011 | Common Stock | 50,000 | \$ 15.02 | D | Â |
| Non-Qualified Stock Option (right to buy) | 01/25/2002 ⁽¹⁾ | 01/25/2011 | Common Stock | 5,000 | \$ 28.875 | D | Â |
| Non-Qualified Stock Option (right to buy) | 09/07/2005 ⁽⁶⁾ | 09/07/2012 | Common Stock | 162,500 | \$ 15.2992 | D | Â |
| Non-Qualified Stock Option (right to buy) | 09/07/2005 ⁽⁷⁾ | 09/07/2012 | Common Stock | 162,500 | \$ 17.075 | D | Â |
| Non-Qualified Stock Option (right to buy) | 10/30/2007 ⁽⁵⁾ | 10/30/2013 | Common Stock | 45,045 | \$ 19.186 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Goldman Charles G C/O THE CHARLES SCHWAB CORPORATION 120 KEARNY STREET SAN FRANCISCO, CA 94108 | Â | Â | Â EVP/COO, Schwab Institutional | Â |

Signatures

Charles G.
Goldman

02/08/2007

Date

Signature of
Reporting Person

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest in four equal installments beginning on the first anniversary of the grant date.
- (2) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest 35% on the first anniversary of the grant date, 25% on the second anniversary of the grant date and 20% on each of the third and fourth anniversary of the grant date.
- (3) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest in four equal annual installments beginning on December 15, 2004.
- (4) The options were granted under the 1992 Stock Incentive Plan and/or 2001 Stock Incentive Plan and vest 25% on each of the second and third anniversary of the grant date and 50% on the fourth anniversary of the grant date.
- (5) The options were granted under the 2004 Stock Incentive Plan and vest in four equal installments beginning on the first anniversary of the grant date.
- (6) The options were granted under the 2004 Stock Incentive Plan and were fully exercisable as of the grant date. The exercise price is 112% of the closing price of the company's common stock on the grant date.
- (7) The options were granted under the 2004 Stock Incentive Plan and were fully exercisable as of the grant date. The exercise price is 125% of the closing price of the company's common stock on the grant date.
- (8) Of these shares, 4,126 vest on February 25, 2007; and 3,487 vest on October 30 of each of the following years: 2007, 2008, 2009 and 2010.

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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