Edgar Filing: WACHOVIA CORP NEW - Form 4

| WACHOVIA 0 | CORP NEW | | | | | | | | | | |
|--|---|--|---|--|--|---|--|--|--|--|--|
| Form 4 | | | | | | | | | | | |
| October 04, 20 | 05 | | | | | | | | | | |
| FORM | | | | | | | | | OMB APPROVAL | | |
| | UNITED | STATES SECONTIES AND EXCHANGE COMMISSION Washington, D.C. 20549 STATEMENT OF CHANGES IN 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 20(b) of the Investment Company Act of 1040 | | | | | | | 3235-0287 | | |
| Check this b if no longer subject to Section 16. Form 4 or Form 5 obligations may continu <i>See</i> Instruct 1(b). | Filed purs | | | | | | | | January 31, 2005 Estimated average burden hours per response 0.5 | | |
| (Print or Type Res | ponses) | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> GOODWIN WILLIAM H JR | | | 2. Issuer Name and Ticker or Trading Symbol WACHOVIA CORP NEW [WB] | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
| | (First) (M FRIES INC., 90 ET, SUITE 150 | 1 EAST | (Month/D | | ansaction | | X Director Officer (giv below) | 1(|)% Owner ther (specify | | |
| | (Street) | | | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting | | | | |
| RICHMOND, | VA 23219 | | | | | | Person | More than One | Reporting | | |
| (City) | (State) | (Zip) | Table | e I - Non-D | erivative S | Securities A | cquired, Disposed | of, or Benefici | ally Owned | | |
| | . Transaction Date Month/Day/Year) | 2A. Deem Execution any (Month/D | Date, if | Code (Instr. 8) | 4. Securit mAcquired Disposed (Instr. 3, 4) | (A) or of (D) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | | |
| Common Stock | | | | | | | 6,000 | D | | | |
| Common Stock | | | | | | | 1,050,000 | I | By Riverstone Group, LLC | | |

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, 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. Transactio Code (Instr. 8) | 5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Expiration Date | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | |
|---|---|---|---|--|--|---------------------|--------------------|---|----------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Phantom Stock Units (1) | \$ 0 | 10/03/2005 | | А | 1,285.293 | (2) | (2) | Common Stock | 1,285.293 |

Reporting Owners

| Reporting Owner Name | Relationships | | | | | |
|--|---------------|-----------|---------|-------|--|--|
| hepotong o who i kane | Director | 10% Owner | Officer | Other | | |
| GOODWIN WILLIAM H J CCA INDUSTRIES INC. 901 EAST CARY STREET RICHMOND, VA 23219 | Х | | | | | |
| Signatures | | | | | | |
| William H. Goodwin, Jr. | 10/04/2005 | | | | | |
| **Signature of Reporting | Date | | | | | |

Explanation of Responses:

Person

- * If the form is filed by more than one reporting person, see Instruction 4(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 phantom stock converts into common stock on a one-for-one basis.
- Phantom stock units awarded pursuant to the Wachovia director deferred stock unit plan. These units are settled following the director's (2)termination of the service as a member of the issuer's board of directors.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.