#### Edgar Filing: WACHOVIA CORP NEW - Form 3/A

WACHOVIA CORP NEW

Form 3/A March 15, 2007

### FORM 3

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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**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)

owned directly or indirectly.

Name and Address of Reporting     Person *     Â RADY ERNEST S TRUST		2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol WACHOVIA CORP NEW [WB]					
11455 EL CAM REAL, SUITE	E 200	04/18/2006	Person(s) to I	ip of Reporting ssuer all applicable	Filed(Month/Day/Year) 04/28/2006			
SAN DIEGO,Â	caâ 92130		_X_ Directo Officer (give title below	Othe	ow) _X_ Form filed by One Reporting Person Form filed by More than One			
(0)	(T)				Reporting Person			
(City) (S	tate) (Zip)	Table I - I	Non-Derivat	tive Securiti	ties Beneficially Owned			
1.Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)		4. Nature of Indirect Beneficial Ownership (Instr. 5)			
Common Stock		49,443		I	Explorer Ins.			
Common Stock	<u>(1)</u>	96,892		I	Rady Family Foundation			
Common Stock		5,930,329	(5)	I	Ernest Rady Trust			
Common Stock		372,021		I	Evelyn Rady Trust			
Common Stock		614,708		I	DHM Trust			
Common Stock		23,980,26	59	I	American Assets			
Common Stock		4,850,422	2	I	Insurance Co. of the West			
Preferred Stock		4,400		D	Â			
Reminder: Report of		each class of securities benefic	cially S	EC 1473 (7-02	2)			

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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 (Instr. 4)		4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable Exp Dat	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
ESOP (Right to Buy)	03/03/2006(2)	03/03/2010	Common Stock	50,996	\$ 36.6	D	Â
ESOP (Right to Buy)	03/31/2007(4)	03/31/2016	Common Stock	33,952	\$ 56.05	D	Â
ESOP (Right to Buy)	02/18/2007	02/18/2009	Common Stock	16,999	\$ 33.1	D	Â

er

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1 0	Director	10% Owner	Officer	Othe		
RADY ERNEST S TRUST						
11455 EL CAMINO REAL	â v	Â	â	â		
SUITE 200	АЛ	Α	A	А		
SAN DIEGO, CA 92130						

## **Signatures**

Ernest S. Rady 03/15/2007

\*\*Signature of Pate Reporting Person Date

# **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) Tax-Exempt Charitable Foundation established under Section 501(c)(3). After initial Form 3 filing, this holding will not be disclosed on any subsequent Form 4 submissions.
- (2) These shares vest in three equal annual installments beginning 3/3/2006.
- (3) Provisions exist with respect to these shares to allow for the withholding of shares to satisfy tax withholding obligations and the withholding of shares in payment of the exercise price.
- (4) The option becomes exercisable in substantially equal installments on each of the five anniversaries of the date of grant (20% per year) beginning March 31, 2007.
- (5) As of 4/18/06, includes 5,203 shares of unvested restricted stock with respect to which provisions exist to allow for the withholding of shares to meet certain tax withholding obligations.

Reporting Owners 2

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