

2000 UNIFORM BUSINESS REPORT (UBR)

1 of 2

DOCUMENT # P08516

1. Entity Name

FIRST UNION BROKERAGE SERVICES, INC.

FILED

00 MAR 23 PM 4:35

Principal Place of Business

Mailing Address

TWO FIRST UNION CENTER NC0200
CHARLOTTE NC 28288

TWO FIRST UNION CENTER NC0200
CHARLOTTE NC 28288

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

2. Principal Place of Business

401 South Tryon Street

3. Mailing Address

Suite, Apt. #, etc.

9th Floor

City & State
Charlotte, NC 28202

City & State



DO NOT WRITE IN THIS SPACE

4. FEI Number 56-1252143

Applied For
Not Applicable

Zip Country
28202 USA

Zip Country

5. Certificate of Status Desired \$8.75 Additional Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

PRENTICE-HALL CORPORATION SYSTEM, INC.
FIRST FLORIDA BANK BLDG, STE 420
TALLAHASSEE FL 32301

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its intangible Tax filing requirement and elects to do so.
(See criteria on back)

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2000 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing Trust Fund Contribution. \$5.00 May Be Added to Fees

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE	P	<input type="checkbox"/> Delete
NAME	MOODY, DWIGHT	
STREET ADDRESS	ONE FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	
TITLE	VP	<input checked="" type="checkbox"/> Delete
NAME	REED, DAVID W	
STREET ADDRESS	TWO FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	
TITLE	S	<input checked="" type="checkbox"/> Delete
NAME	HATHAWAY, KENT S	
STREET ADDRESS	ONE FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	
TITLE	T	<input checked="" type="checkbox"/> Delete
NAME	HATCH, JAMES H	
STREET ADDRESS	TWO FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	
TITLE	D	<input type="checkbox"/> Delete
NAME	CRUTCHFIELD, EDWARD E.	
STREET ADDRESS	ONE FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	
TITLE	D	<input type="checkbox"/> Delete
NAME	GEORGIUS, JOHN R	
STREET ADDRESS	ONE FIRST UNION CENTER	
CITY-ST-ZIP	CHARLOTTE NC 28288	

TITLE	Secretary	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
NAME	David Hebner	
STREET ADDRESS	One First Union Center, TW8	
CITY-ST-ZIP	Charlotte, NC 28288	
TITLE	CFO	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
NAME	Jeff Fox	
STREET ADDRESS	401 South Tryon Street	
CITY-ST-ZIP	Charlotte, NC 28202	
TITLE	CCO	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
NAME	C. Rachel Raemore	
STREET ADDRESS	401 South Tryon Street	
CITY-ST-ZIP	Charlotte, NC 28202	
TITLE	COO	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
NAME	Mark Hubbert	
STREET ADDRESS	401 South Tryon Street	
CITY-ST-ZIP	Charlotte, NC 28202	
TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME		
STREET ADDRESS		
CITY-ST-ZIP		

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13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: C. Rachel Raemore C. Rachel Raemore, CCO 3/23/2000 704-383-5744

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034 (9/99)

Direct Owners/Executive Officers

2002

Organization CRD#: 8112	Organization Name: FIRST UNION BROKERAGE SERVICES, INC.
Organization SEC#: 8-24369	Applicant Name: FIRST UNION BROKERAGE SERVICES, INC.

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
MOODY, DWIGHT CHARLES	Individual	CEO, DIRECTOR, PRESIDENT	04/01/1992	Less than 5%	Y	N	1423176
RAEMORE, CATHRINE RACHEL	Individual	CHIEF COMPLIANCE OFFICER	12/01/1996	Less than 5%	N	N	2187877
HUBBERT, MARK WILLIAM	Individual	CHIEF OPERATIONS OFFICER	11/01/1997	Less than 5%	N	N	1802805
HEBNER, DAVID ALLAN	Individual	SECRETARY	07/01/1997	Less than 5%	N	N	2660723
FOX, JEFFREY LAWRENCE	Individual	CHIEF FINANCIAL OFFICER	11/01/1997	Less than 5%	N	N	1787925
BONELLI, PAUL ANDREW	Individual	SROP	09/01/1994	Less than 5%	N	N	1538780
ISABELLA, MATTHEW	Individual	CROP	10/01/1998	Less than 5%	N	N	2425834
FIRST UNION NATIONAL BANK	Domestic Entity	STOCKHOLDER	01/01/1988	75% or more	Y		56-0900030
MCMULLEN, DONALD ANDREW	Individual	DIRECTOR	09/01/1999	Less than 5%	Y	N	173-40-3049
LUDEMAN, DANIEL JAMES	Individual	DIRECTOR	09/01/1999	Less than 5%	Y	N	227-86-0873