

FILE NOW: FILING FEE AFTER MAY 1 IS \$550.00

APPROVED
AND
FILED

pg. 192

PROFIT
CORPORATION
ANNUAL REPORT
1997



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

97 JUL 18 PM 3:02

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

DOCUMENT # P12517

1. Corporation Name

FIRST UNION CAPITAL MARKETS CORP.

Principal Place of Business

Mailing Address

301 S. College Street, TW-8 (Same)
Charlotte, NC 28288-0602
Attn: Alan Maxwell

3. Date Incorporated or Qualified

12/16/1986

3a. Date of Last Report

01/15/1996

2. Principal Place of Business

2a. Mailing Address

4. FEI Number

56-1529080

Applied For

Not Applicable

21 Suite, Apt. #, etc.

26 Suite, Apt. #, etc.

5. Certificate of Status Desired

☐

\$8.75 Additional
Fee Required

22 City & State

27 City & State

6. Election Campaign Financing
Trust Fund Contribution

☐

\$5.00 May Be
Added to Fees

23 Zip

Country

28 Zip

Country

8. This corporation has liability for intangible tax under s. 199.032,
Florida Statutes

☐ Yes

☒ No

24

25

29

30

9. Name and Address of Current Registered Agent

10. Name and Address of New Registered Agent

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 32301

81 Name

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

83

84 City

FL

85 Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

12. OFFICERS AND DIRECTORS

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
SLARIO, SCOTT L.
301 S. College Street, TW-8
Charlotte, NC 28288-0602

☐ DELETE

1.1 TITLE
1.2 NAME
1.3 STREET ADDRESS
1.4 CITY - ST - ZIP

100002246781--4
-07/24/97--01077--005
****165.00 ****165.00

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
M
WILLIAMS, R. OWEN
301 S. College Street, TW-8
Charlotte, NC 28288-0602

☐ DELETE

2.1 TITLE
2.2 NAME
2.3 STREET ADDRESS
2.4 CITY - ST - ZIP

☐ Change

☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ DELETE

3.1 TITLE
3.2 NAME
3.3 STREET ADDRESS
3.4 CITY - ST - ZIP

Asst. Secretary
ALLEN, RENEE M.
301 S. College Street, TW-8
Charlotte, NC 28288-0602

☐ Change

☒ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ DELETE

4.1 TITLE
4.2 NAME
4.3 STREET ADDRESS
4.4 CITY - ST - ZIP

☐ Change

☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ DELETE

5.1 TITLE
5.2 NAME
5.3 STREET ADDRESS
5.4 CITY - ST - ZIP

☐ Change

☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ DELETE

6.1 TITLE
6.2 NAME
6.3 STREET ADDRESS
6.4 CITY - ST - ZIP

☐ Change

☐ Addition

14. I do 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 annual report or supplemental annual 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 12 or Block 13 if changed, or on an attachment with an address.

SIGNATURE:

SIGNATURE, TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

7/7/97

Date

(704) 383-1725

Daytime Phone #

CR2E034 (9/96)

**First Union
Capital Markets Corp.**
One First Union Center
Charlotte, North Carolina 28288-0602

pg. 2 of 2

July 16, 1997



Florida Department of State
Division of Corporations
409 East Gaines Street
Tallahassee, FL 32399

RE: First Union Capital Markets Corp.
1997 Annual Report Filing

To whom it may concern:

Attached is the 1997 Annual Corporation Report filing for First Union Capital Markets Corp., in addition to a check in the amount of \$165.00 for the annual filing fee.

Unfortunately, First Union Capital Markets Corp. did not receive any request or forms (refer to attached letter) to file the report by May 1st, and therefore, we are respectfully requesting a waiver for the late filing fee.

Please give me a call at (704) 383-6389 if you have any questions. Thank you for your consideration in this matter.

Sincerely,

A handwritten signature in cursive script that reads "Heather Dautel".

Heather Dautel
Compliance Analyst
First Union Capital Markets Corp.