

Edgar Filing: EXCELSIOR INCOME SHARES INC - Form SC 13G

EXCELSIOR INCOME SHARES INC
Form SC 13G
September 18, 2001

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

SCHEDULE 13G
Under the Securities Exchange Act of 1934
(Amendment No. ____5____)*

Excelsior Income Shares
(Name of Issuer)

Common Stock, Par Value \$0.00 per share
(Title of Class of Securities)

268953106
(CUSIP Number)

07/31/2001
(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which
this Schedule is filed:

- Rule 13d-1(b)
]
 Rule 13d-1(c)
 Rule 13d-1(d)

CUSIP No. 268953106

1. Names of Reporting Persons.
I.R.S. Identification Nos. of above persons
(entities only).

First Union Corporation 56-0898180
2. Check the Appropriate Box if a Member of a Group
(See Instructions)
(a)

(b)
3. SEC Use Only
4. Citizenship or Place of Organization
North Carolina

Number of
Shares
Beneficially
Owned by
Each Reporting
Person With

5. Sole Voting Power
700

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- | | | |
|----|--------------------------|-----|
| 6. | Shared Voting Power | 0 |
| 7. | Sole Dispositive Power | 500 |
| 8. | Shared Dispositive Power | 700 |
9. Aggregate Amount Beneficially Owned by Each Reporting Person. 1200
10. Check if the Aggregate Amount in Row (11) Excludes Certain Shares (See Instructions) Not Applicable.
11. Percent of Class Represented by Amount in Row (11) 0.06
12. Type of Reporting Person (See Instructions)

Parent Holding Company

(HC)

Item 1.

- (a) Name of Issuer
Excelsior Income Shares
- (b) Address of Issuer's Principal Executive Offices
114 West 47th Street
New York, New York 10036

Item 2.

- (a) Name of Person Filing
First Union Corporation
- (b) Address of Principal Business Office or, if none, Residence
One First Union Center
Charlotte, North Carolina 28288-0137
- (c) Citizenship
North Carolina
- (d) Title of Class of Securities

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Common Stock, Par Value \$.01 per share

(e) CUSIP Number

337358105

Item 3. If this statement is filed pursuant to 240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

- (a) Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
- (b) Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c) Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d) Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C 80a-8).
- (e) An investment adviser in accordance with 240.13d-1(b)(1)(ii)(E);
- (f) An employee benefit plan or endowment fund in accordance with 240.13d-1(b)(1)(ii)(F);
- (g) A parent holding company or control person in accordance with 240.13d-1(b)(1)(ii)(G);
- (h) A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) Group, in accordance with 240.13d-1(b)(1)(ii)(J).

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

- (a) Amount beneficially owned:
_____1200_____.
- (b) Percent of class:
_____0.06%_____.
- (c) Number of shares as to which the person has:
 - (i) Sole power to vote or to direct the vote 700_____.
 - (ii) Shared power to vote or to direct the vote

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- (iii) 0_____.
Sole power to dispose or to
direct the disposition of
500_____.
- (iv) Shared power to dispose or to
direct the disposition of
700_____.

Item 5. Ownership of Five Percent or Less of a Class
If this statement is being filed to report the fact that as of
the date hereof the reporting person has ceased to be the
beneficial owner of more than five percent of the class of
securities, check the following [].

Item 6. Ownership of More than Five Percent on Behalf of Another
Person.

Not Applicable.

Item 8. Identification and Classification of Members of the
Group

Not Applicable.

Item 9. Notice of Dissolution of Group
Not Applicable.

Item 10. Certification

- (a) The following certification shall be included
if the statement is filed pursuant to
240.13d-1(b):

By signing below I certify that, to the
best of my knowledge and belief, the
securities referred to above were
acquired and are held in the ordinary
course of business and were not acquired
and are not held for the purpose of or
with the effect of changing or
influencing the control of the issuer of
the securities and were not acquired and
are not held in connection with or as a
participant in any transaction having
that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and
belief, I certify that the information set forth in this
statement is true, complete and correct.

____9/18/2001 02/14/2000
Date

Signature

Vice President and Trust Officer
Name/Title

