

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

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

- 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

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

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

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

- (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

