

11-04-2002

SHEET

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Docket No.:

013575.396



Tab settings

To the Honorable Commissioner of

102270249

the attached original documents or copy thereof.

1. Name of conveying party(ies):

Wheat First Securities, Inc.

10-30-02

- Individual(s)
- General Partnership
- Corporation-State Virginia
- Other

Additional names(s) of conveying party(ies) Yes No

3. Nature of conveyance:

- Assignment
- Security Agreement
- Other
- Association
- Limited Partnership
- Merger
- Change of Name

Execution Date: June 23, 1999

2. Name and address of receiving party(ies):

Name: First Union Capital Markets Corp.

Internal Address:

Street Address: 301 South College Street

City: Charlotte State: NC ZIP: 28288

- Individual(s) citizenship
- Association
- General Partnership
- Limited Partnership
- Corporation-State Virginia
- Other

If assignee is not domiciled in the United States, a domestic designation is Yes N
(Designations must be a separate document from Additional name(s) & address(es) Yes N

4. Application number(s) or registration numbers(s):

A. Trademark Application No.(s)

B. Trademark Registration No.(s)

See Schedule Attached

Additional numbers Yes No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Karl S. Sawyer, Jr.

Internal Address:

Kennedy Covington Lobdell & Hickman, LLP

Hearst Tower, 47th Floor

Street Address: 214 North Tryon Street

City: Charlotte State: NC ZIP: 28202

6. Total number of applications and registrations involved:.....

5

7. Total fee (37 CFR 3.41):.....\$ \$140.00

- Enclosed
- Authorized to be charged to deposit account

8. Deposit account number:

18-1215

FINANCE SECTION

11/01/2002 LMUELLER 00000206 75163879

DO NOT USE THIS SPACE

01 FC:8521 40.00 DP
02 FC:8522 100.00 DP

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Karl S. Sawyer, Jr.

Name of Person Signing

Karl S. Sawyer, Jr.
Signature

Oct. 25, 2002
Date

Total number of pages including cover sheet, attachments, and

3

TRADEMARK

REEL: 002609 FRAME: 0441

Owner of Record: Wheat First Securities, Inc.

Mark	Serial No.	Filing Date	Registration No.	Registration Date
PROFIT FORMULA	75/163,879	September 10, 1996	2,079,393	July 15, 1997
FUNDSOURCE	74/553,633	July 19, 1994	2,012,405	October 29, 1996
PILOT PLUS	74/348,313	January 14, 1993	1,791,887	September 7, 1993
PCM	74/348,437	January 14, 1993	1,791,888	September 7, 1993
WHEAT FIRST COMPASS PORTFOLIO PROGRAM	75/394,899	November 24, 1997	2,280,592	September 28, 1999

Commonwealth of Virginia



State Corporation Commission

I Certify the Following from the Records of the Commission:

On January 31, 1999, by amendment of its articles of incorporation, the name of WHEAT FIRST SECURITIES, INC. was changed to FIRST UNION CAPITAL MARKETS CORP..

Nothing more is hereby certified.

*Signed and Sealed at Richmond on this Date:
June 23, 1999*



Joel H. Peck

Joel H. Peck, Clerk of the Commission