

FTB Advisors, Inc. Exemption Report

FTB Advisors, Inc. (the “Company”) is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, “Reports to be made by certain brokers and dealers”). This Exemption Report was prepared as required by 17 C.F.R. §240.17a-5(d)(1) and (4). To the best of its knowledge and belief, the Company states the following:

- (1) The Company claimed an exemption from 17 C.F.R. § 240.15c3-3 by operating pursuant SEC Rule 15c3-3(k)(2)(i) and (k)(2)(ii), clearing all transactions on a fully disclosed basis through its clearing firm, National Financial Services LLC.
- (2) The Company met the identified exemption provisions in 17 C.F.R. §240.15c3-3(k) throughout the most recent fiscal year ended December 31, 2015 except as described below.

(a) A check for \$3,152.02 was received from a client at the Nashville Branch #431964 branch location on 12/30/14, and then received at the Company's home office on 1/5/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(b) A check for \$3,000.00 was received from a client at the Knoxville Branch #88930 branch location on 1/12/15, and then received at the Company's home office on 1/14/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(c) A check for \$50,000.00 was received from a client at the Kingsport Branch #149089 branch location on 1/27/15, and then received at the Company's home office on 1/29/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(d) A check for \$5,000.00 was received from a client at the Knoxville Branch #149104 branch location on 4/10/15, and then received at the Company's home office on 4/14/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(e) A check for \$5,000.00 was received from a client at the Knoxville Branch #149104 branch location on 4/10/15, and then received at the Company's home office on 4/14/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(f) A check for \$3,964.45 was received from a client at the Chattanooga Branch #88917 branch location on 4/27/15, and then received at the Company's home office on 4/29/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(g) A check for \$1,306.68 was received from a client at the Nashville Branch #431964 branch location on 4/20/15, and then received at the Company's home office on 4/30/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(h) A check for \$847.88 was received from a client at the East Poplar Branch #149085 branch location on 5/29/15, and then received at the Company's home office on 6/2/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(i) A check for \$1,000.00 was received from a client at the Bristol Branch #446534 branch location on 7/17/15, and then received at the Company's home office on 7/22/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(j) A check for \$88,808.37 was received from a client at the Nashville Branch #457568 branch location on 8/20/15, and then received at the Company's home office on 8/26/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(k) A check for \$25,000.00 was received from a client at the Jackson Branch #88927 branch location on 12/11/15, and then received at the Company's home office on 12/16/15, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

(l) A check for \$1,000.00 was received from a client at the Collierville Branch #88932 branch location on 12/18/15, and then received at the Company's home office on 1/5/16, who on the same day of receipt forwarded the check to National Financial Services LLC, the Company's clearing firm.

FTB Advisors, Inc.

I, O. Mims Clayton, swear (or affirm) that, to my best knowledge and belief, this Exemption Report is true and correct.

By: O. Mims Clayton (signature on file)

Title: Chief Financial Officer

February 26, 2016

Insurance Products, Investments and Annuities		
Not A Deposit	Not FDIC Insured	May Go Down In Value
Not Insured By Any Federal Government Agency		Not Guaranteed by the Bank Or Its Affiliates