

Form G-FIN

SECURITIES AND EXCHANGE COMMISSION  
RECEIVED  
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BRANCH OF REGISTRATION AND



FR G-FIN  
OMB No. 7100-0224  
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OCT 7 2005  
OFFICIAL USE  
Treasury Department

11-37

**Notice of Government Securities Broker or Government Securities Dealer Activities  
To Be Filed by a Financial Institution Under Section 15C(a)(1)(B)  
of the Securities Exchange Act of 1934**

Rec'd  
1/10/07

1. Check appropriate regulatory agency (ARA):

- A.  Comptroller of the Currency
- B.  Board of Governors of the Federal Reserve System
- C.  Federal Deposit Insurance Corporation
- D.  Office of Thrift Supervision
- E.  Securities and Exchange Commission

2. Conducts business as:

- A.  Government Securities Broker
- B.  Government Securities Dealer
- C.  Government Securities Broker and Dealer

3. Filing status of notice:

- A.  Notice
- B.  Amendment

4. A. Full name of the financial institution:

FTN Financial Capital Markets

B. Address of principal office of financial institution:

845 Crossover Lane, Suite 150 Memphis, TN 38117

C. Address of principal office where government securities broker or government securities dealer activities will be conducted (if different from item (B)):

Same

D. Mailing address if different from (B) or (C):

N/A

**PROCESSED**

JAN 23 2007

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E. Name, title and telephone number of contact person with respect to this notice:

Joel Ross

Senior VP

THOMSON  
FINANCIAL

901-435-8712

Name

Title

Telephone

5. Does financial institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above?

A.  Yes

B.  No

(If yes, provide addresses and describe activities.)

See Attached List

CM

pt 1/22/07

6. Furnish the name and title of each person who is directly engaged in the management, direction or supervision of any of the financial institution's government securities broker or government securities dealer activities:

Full Name

See Attached List

Last	First	Middle	Title

Note: Attach a separate Form G-FIN-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in item 6.

7. Has any "associated person" (see definition in paragraph A.7. of the instructions) responded "yes" to any question in Item 17 of Form G-FIN-4, or "yes" to one or more questions in Items 23 through 26 of Form MSD-4 or Item 22 on Form U-4?

A.  Yes                      B.  No

Note: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. (See 17 C.F.R. 400.4(c).) Similar requirements are applicable to Form MSD-4 and Form U-4.

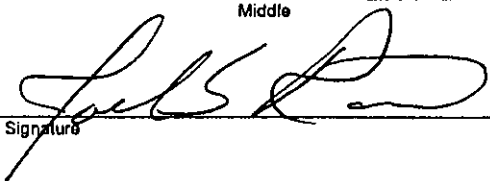
8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.

Please print name and title of person executing this notice:

Joel                                      S                                      Ross                                      Senior VP

First                                      Middle                                      Last                                      Title

Manual Signature



Date

10/25/06

**FTN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT**

**October 2006**

**#5 Additional Locations**

**All offices below conduct government securities broker/dealer activities. They also transact business in municipals, CD's, mortgages, and money market instruments.**

**99 Summer Street, Suite 1730  
Boston, MA 02110**

**6101 Carnegie Blvd, Suite 460  
Charlotte, NC 28209**

**500 West Madison Street, Suite 2940  
Chicago, IL 60661**

**Sterling Plaza  
5949 Sherry Lane, Suite 810  
Dallas, TX 75225**

**Lighton Tower  
7500 College Blvd, Suite 1170  
Overland Park, KS 66210**

**Manhattan Towers  
1230 Rosecrans Avenue, Suite 690  
Manhattan Beach, CA 90266**

**One St. Louis Centre, Suite 3000  
Mobile, AL 36602**

**350 Madison Avenue  
New York, NY 10017**

**17015 N Scottsdale Road, Suite 220  
Scottsdale, AZ 85255**

**1 Penn Center  
1617 JFK Blvd, Suite 840  
Philadelphia, PA 19103**

**3805 Crestwood Parkway  
Suite 150  
Duluth, GA 30096**

**Erie View Towers, Suite 2710  
Suite 2710  
Cleveland, OH 44114**

**1400 Old Country Road  
Parkway Plaza, Suite 407  
Westbury, NY 11590**

**10 Exchange Place  
9<sup>th</sup> Floor  
Jersey City, NJ 07302**

**303 West Main Street  
Freehold, NJ 07728**

**1266 East Main Street  
Soundview Plaza, 4<sup>th</sup> Floor  
Stamford, CT 06902**

**#6 Management, Direction, or Supervision**

<b><u>Name</u></b>	<b><u>Title</u></b>
Frank Gusmus	Manager
Tim Romanow	Trading Manager/Wholesale Markets
Joel Ross	Risk Control Manager
Michael Heflin	Portfolio Strategies Manager
Jim Vogel	Head of Research
Allen Riggs	Controller
Bill Buck	Operations Manager
Jerry Hubbard	Manager, Capital Assets
Addison Hanan	Manager – Dealer Sales
Mike Kisber	Head of Sales
Rodney Turner	Sales Manager
John Brennan	Sales Manager
Mat Parker	Sales Manager
Chris Childs	Branch Manager Summer Street, Boston, MA
Michael Regan	Branch Manager Carnegie Blvd, Charlotte, NC
Robert Hatcher	Branch Manager St. Louis Centre, Mobile, AL
Stephen Mullin	Branch Manager JFK Blvd, Philadelphia, PA
Scott Hinchman	Branch Manager Crestwood Parkway, Duluth, GA
William Fitzgerald	Branch Manager East 9 <sup>th</sup> Street, Cleveland, OH
Dean Prainito	Branch Manager Old Country Road, Westbury, NY
Brian Boyle	Branch Manager West Main St, Freehold, NJ
Gregory Nagle	Branch Manager East Main Street, Stamford, CT
Kathy Lafreniere	Branch Manager West Madison St, Chicago, IL