



OFFICIAL USE  
11-00037

**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**

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

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

Joel Ross

Senior VP

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

4/8/11

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.**

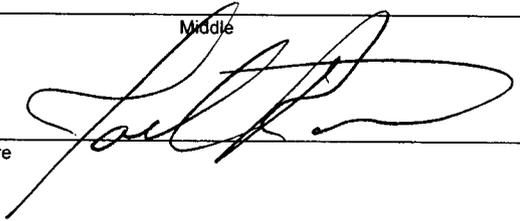
8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.

Please print name and title of person executing this notice:

Joel S Ross Senior VP

First Middle Last Title

Manual Signature



Date

3/14/11

**FTN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT**  
**March 2011**

**#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**

**6201 Fairview Road, Suite 200  
Charlotte, NC 28210**

**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  
7<sup>th</sup> Floor  
New York, NY 10017**

*New Address:*

***444 Madison Avenue  
9<sup>th</sup> Floor  
New York, NY 10022***

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

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

**3344 Peachtree Road  
Suite 1965  
Atlanta, GA 30326**

**1301 E. Ninth Street  
Suite 3232  
Cleveland, OH 44114**

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

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

**100 Drakes Landing Road  
Suite 305 (Bldg 100A)  
Greenbrae, CA 94904**

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

<b><u>Name</u></b>	<b><u>Title</u></b>
Mike Kisber	President
Tim Romanow	Trading Manager/Wholesale Markets
Joel Ross	Risk Control Manager
Steve Twersky	Portfolio Strategies Manager
Jim Vogel	Interest Rates Strategist
Allen Riggs	Controller
Bill Buck	Operations Manager
Jerry Hubbard	Manager, Capital Assets
Mike Waddell	Chief Operating & Financial Officer
Rodney Turner	National Sales Manager
Addison Hanan	Sales Manager
Steve Walsh	Sales Manager
Kathy Lafreniere	Sales Manager
Robert Hatcher	Branch Manager St. Louis Centre, Mobile, AL
Stephen Mullin	Branch Manager JFK Blvd, Philadelphia, PA