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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

12/4/13

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?

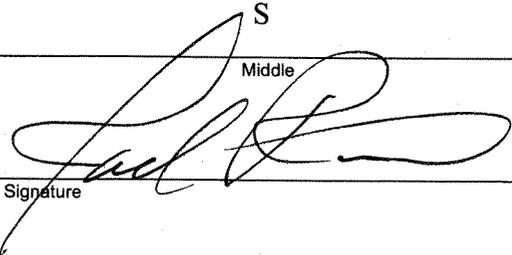
A.  Yes

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
			11-6-13
Manual Signature			Date

**FTN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT**  
**November 2013**

**#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**

**500 West Madison Street, Suite 1705  
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**

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

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

**1601 Market Street  
Suite 3300  
Philadelphia, PA 19103**

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

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

**50 California Street  
Suite 1500  
San Francisco, CA 94111**

**1691 Michigan Avenue  
Suite 210  
Miami Beach, FL 33139**

**106 E. 6<sup>th</sup> Street  
Suite 900  
Austin, TX 78701**

***Closed Effective 11-6-2013***

**9901 IH 10 West  
Suite 800  
San Antonio, TX 78230**

**4445 Eastgate Mall  
Suite 200  
San Diego, CA 92121**

**100 Chesterfield Business Parkway  
Suite 200, Office 286  
Chesterfield, MO 63005**

**865 Tahoe Blvd  
Suite 108-C  
Incline Village, NV 89451**

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

**Name**

Mike Kisber  
Tim Romanow  
Joel Ross  
Steve Twersky  
Jim Vogel  
Don Ritcheson  
Bill Buck  
Jerry Hubbard  
Mike Waddell  
Michael Allen  
Rodney Turner  
Steve Walsh  
Kathy Lafreniere

Robert Hatcher

Stephen Mullin

**Title**

President  
Trading Manager/Wholesale Markets  
Risk Control Manager  
Portfolio Strategies Manager  
Interest Rates Strategist  
Controller  
Operations Manager  
Manager, Capital Assets  
Chief Operating & Financial Officer  
Public Finance Manager  
National Sales Manager  
Sales Manager  
Sales Manager

Branch Manager

Mobile, AL

Branch Manager

Philadelphia, PA