



16006901

OFFICIAL USE

011-00039

Form G-FIN  
Page 2 of 3

# **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. ☐ 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

Address

Memphis

City

TN

State

38117

Zip Code

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

Same

Address

City

State

Zip Code

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

Same

Address

City

State

Zip Code

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

Penny Michael

Name

VP, Compliance Officer

Title

901-435-8645

Area Code / Phone Number

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.)

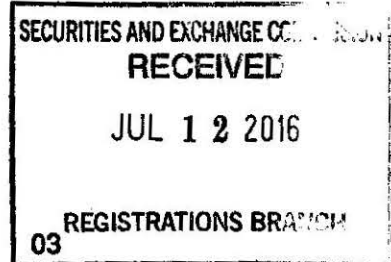
See Attached List

| Address | City | State | Zip Code | Describe Activities |
|---------|------|-------|----------|---------------------|
|         |      |       |          |                     |
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|         |      |       |          |                     |
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| Address | City | State | Zip Code | Describe Activities |
|---------|------|-------|----------|---------------------|
|         |      |       |          |                     |
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| Address | City | State | Zip Code | Describe Activities |
|---------|------|-------|----------|---------------------|
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| Address | City | State | Zip Code | Describe Activities |
|---------|------|-------|----------|---------------------|
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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**

|                                |                |
|--------------------------------|----------------|
| _____<br>Last / First / Middle | _____<br>Title |
| _____<br>Last / First / Middle | _____<br>Title |
| _____<br>Last / First / Middle | _____<br>Title |
| _____<br>Last / First / Middle | _____<br>Title |
| _____<br>Last / First / Middle | _____<br>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:

**Penny Elaine Michael**

Name (First, Middle, Last)

**VP, Compliance Officer**

Title

Signature

Date

*Penny Michael*      *6/27/16*

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

**June 27, 2016**

**#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

***The Terrace  
2381 Rosecrans Avenue, Suite 435  
El Segundo, CA 90245***

***Address Change effective June 27, 2016***

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

33 Queens Street  
Suite 302  
Syosset, NY 11791

50 California Street  
Suite 1552  
San Francisco, CA 94111

1691 Michigan Avenue  
Suite 210  
Miami Beach, FL 33139

9901 IH 10 West  
Suite 800  
San Antonio, TX 78230

888 Prospect Street  
Suite 200  
La Jolla, CA 92037

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

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

201 International Circle  
Suite 230  
Hunt Valley, MD 21030

3009 Post Oak Blvd.  
Suite 1210  
Houston, TX 77056

28 Bridgeside Blvd.  
1<sup>st</sup> Floor  
Mt. Pleasant, SC 29464

633 W. 5<sup>th</sup> Street  
Suite 2676  
Los Angeles, CA 90071

106 E Sixth Street  
Suite 900  
Austin, TX 78701

980 9<sup>th</sup> Street  
16<sup>th</sup> Floor, Suite 4  
Sacramento, CA 95814

3333 Warrenville Road  
Suite 740  
Lisle, IL 60532

7 Waterfront Plaza  
500 Ala Moana Blvd, Suite 400  
Honolulu, HI 96813

51 JFK Parkway  
1<sup>st</sup> Floor West  
Short Hills, NJ 07078

3011 Armory Drive  
Suite 160  
Nashville, TN 37204

## #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            |
| Bill Buck          | Operations Manager                   |
| Mike Waddell       | Chief Operating & Financial Officer  |
| Michael Allen      | Public Finance Manager               |
| Rodney Turner      | National Sales Manager               |
| Steve Walsh        | Sales Manager                        |
| Jack Rosell        | Sales Manager                        |
| Steve Zanone       | Sales Manager                        |
| Bert Jennings      | Sales Manager                        |
| Heather MacGregor  | Sales Manager                        |
| Penny Michael      | Compliance Officer / AML BSA Officer |