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OFFICIAL USE

# 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

TN

38117

City

State

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

VP, Compliance Officer

901-435-8645

Name

Title

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



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
Last / First / Middle	Title
Last / First / Middle	Title
Last / First / Middle	Title
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.**

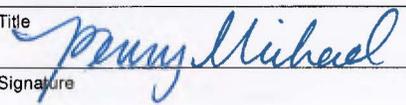
7. Has any "associated person" (see definition in paragraph A.7. of the instructions) responded "yes" to any question in Item 17 of Form G-FIN-4, or "yes" to one or more questions in Items 23 through 26 of Form MSD-4 or Item 22 on Form U-4?

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:

Penny Elaine Michael  
Name (First, Middle, Last)  
VP, Compliance Officer  
Title  
  
Signature  
Date 7/24/17

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

**July 24, 2017**

**#5 Additional Locations**

**All offices below conduct government securities broker/dealer activities. They also transact business in municipals, CD's, mortgages, government guaranteed loans and securities, 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 1470  
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

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

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

201 International Circle  
Suite 230  
Hunt Valley, MD 21030

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

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

47 Maple Street  
The Atrium Suite 201 A  
Summit, NJ 07901

**211 Franklin Road**  
**Suite 300**  
**Brentwood, TN 37027**

*Address change effective July 24, 2017*

920 Memorial City Way  
11<sup>th</sup> Floor  
Houston, TX 77024

401 RR 620 South  
Suite 350  
Austin, TX 78734

17721 Rogers Ranch Pkwy  
Suite 145  
San Antonio, TX 78258

900 South Shackelford Road  
Suite 300  
Little Rock, AR 72211

#6 Management, Direction, or Supervision

<u>Name</u>	<u>Title</u>
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
Vernon Outlaw	Sales Manager
Mark McEntee	Sales Manager
D. Ann Komar	Sales Manager
<b>Jamie Augustine</b>	<b>Sales Manager</b>
Penny Michael	Compliance Officer / AML BSA Officer