



19000181

11-37

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

- |   |  |
|---|--|
| <p>1. Check appropriate regulatory agency (ARA):</p> <p>A. <input type="checkbox"/> Comptroller of the Currency</p> <p>B. <input checked="" type="checkbox"/> Board of Governors of the Federal Reserve System</p> <p>C. <input type="checkbox"/> Federal Deposit Insurance Corporation</p> <p>D. <input type="checkbox"/> Securities and Exchange Commission</p> | <p>2. Conducts business as:</p> <p>A. <input type="checkbox"/> Government Securities Broker</p> <p>B. <input type="checkbox"/> Government Securities Dealer</p> <p>C. <input checked="" type="checkbox"/> Government Securities Broker and Dealer</p> <p>3. Filing status of notice:</p> <p>A. <input type="checkbox"/> Notice</p> <p>B. <input checked="" type="checkbox"/> Amendment</p> |
|---|--|



4. A. Full name of the financial institution FHN 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

SVP, 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

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.***

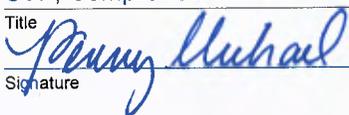
Please print name and title of person executing this notice:

Penny Elaine Michael

Name (First, Middle, Last)

SVP, Compliance Officer

Title



Signature

10/28/19

Date

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

**October 28, 2019**

**#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 Derby Street, Suite 200  
Hingham, MA 02043

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 2125  
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

3333 Warrenville Road  
Suite 760  
Lisle, IL 60532

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

55 Madison Ave.  
Suite 400  
Morristown, NJ 07960

211 Franklin Road  
Suite 300  
Brentwood, TN 37027

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

401 RR 620 South  
Suite 350  
Austin, TX 78734

6500 River Place Blvd  
Building 7, Suite 250  
Austin, TX

17721 Rogers Ranch Pkwy  
Suite 145  
San Antonio, TX 78258

900 South Shackelford Road  
Suite 300  
Little Rock, AR 72211

100 South Ashley Drive  
Suite 609  
Tampa, FL 33602

4725 Piedmont Row Drive  
Suite 400  
Charlotte, NC 28210

125 Half Mile Road  
Suite 200  
Red Bank, NJ 07701

250 E Hartsdale Ave  
Suite 25  
Hartsdale, NY 10530

159 Crocker Park Blvd  
4<sup>th</sup> Floor, #427  
Westlake, Ohio 44145

#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	Municipal Trading and Underwriting
Ajay Thomas	Head of Public Finance
Rodney Turner	National Sales Manager
Steve Walsh	Sales Manager
Jack Rosell	Sales Manager
Bert Jennings	Sales Manager
Heather MacGregor	Sales Manager
D. Ann Komar	Sales Manager
Jamie Augustine	Sales Manager
Penny Michael	Compliance Officer
<i>Celeste Pryor</i>	<i>AML BSA Officer</i>
<i>Ward Collier</i>	<i>Credit Sales and Trading Manager</i>