



OFFICIAL USE

23006616

# 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 FHN Financial Capital Markets

B. Address of principal office of financial institution:

1000 Ridgeway Loop, Suite 200

Address

Memphis

City

TN

State

38120

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, Head of Compliance

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

Address

City

State

Zip Code

Describe Activities

Address

City

State

Zip Code

Describe Activities

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 16 of Form G-FIN-4, or "yes" to one or more questions in Items 20 through 25 of Form MSD-4 on Page 22 of 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, Head of Compliance](#)

Title

Penny Michael

Digitally signed by Penny Michael  
DN: cn=Penny Michael, o=F104 Financial Capital  
Markets, ou=Compliance  
email=penny.michael@f104financial.com, c=US  
Date: 2023.07.26 13:32:31 -0500

05/19/2023

Signature

Date

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

**July 25, 2023**

**#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

400 Continental Grand  
6<sup>th</sup> Floor  
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

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

201 E Las Boulevard  
Suite 1120  
Ft. Lauderdale, FL 33301

3333 Warrenville Road  
Suite 760  
Lisle, IL 60532

500 Ala Moana Blvd, Suite 7400  
Honolulu, HI 96813

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

900 South Shackelford Road  
Suite 300  
Little Rock, AR 72211

4725 Piedmont Row Drive  
Suite 400  
Charlotte, NC 28210

250 E Hartsdale Ave  
Suite 25  
Hartsdale, NY 10530

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

1 Office Park Circle  
Suite 106  
Birmingham, AL 35223

303 Wyman Street  
Suite 300  
Waltham, MA 02451

12805 US Hwy 98 East Building B  
Suite 8205  
Inlet Beach, FL 32461

Two Radnor Corporate Center  
100 Matsonford Road, Suite 120  
Radnor, PA 19087

320 Boston Post Road  
Suite 260  
Darien, CT 06820

10 Madison Ave  
3<sup>rd</sup> Floor  
Morristown, NJ 07960

15169 N. Scottsdale Road  
Scottsdale, AZ 85254

*2150 Goodlette Road North  
Office #4401  
Naples, FL 34103*

*New Location effective 7/24/2023*

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

**Name**

Mike Kisber  
Tim Romanow  
Mark Griffin  
Steve Twersky  
Jim Vogel  
Bill Buck  
Mike Waddell  
Michael Allen  
Ajay Thomas  
Rodney Turner  
Tim Thornton  
Jack Rosell  
Bert Jennings  
Heather MacGregor  
Tyler Williamson  
Ward Collier  
John Feery  
Kevin Clyne  
Penny Michael

**Title**

President  
Trading Manager/Wholesale Markets  
Risk Control Manager  
Portfolio Strategies Manager  
Interest Rates Strategist  
Operations Manager  
Chief Operating & Financial Officer  
Municipal Trading and Underwriting  
Head of Public Finance  
National Sales Manager  
Sales Manager  
Sales Manager  
Sales Manager  
Sales Manager  
Sales Manager  
Sales Manager  
Sales Manager  
Branch Manager  
Branch Manager  
Head of Compliance, AML/BSA Officer