



January 6, 2025

Board of Governors of the Federal Reserve System
Risk Policy Section
Mail Stop 1810, 20th and C Streets, NW
Washington, DC 20551
Via email: MSD-GSD-Registration@frb.gov

Please find enclosed an amended Form MSD and Form G-FIN for FHN Financial Capital Markets. This amendment reflects changes related to the retirement of Michael Kisber as Manager of FHN Financial Capital Markets. Tim Romanow assumed this role effective January 2, 2025 and Jeff Jackson assumed the role of Head of Trading. The amended forms also reflect branch office address changes.

Your records should be updated to reflect the same information as herein contained.

Please contact me at 901-435-8645 if you have questions or need further information.

Sincerely,

A handwritten signature in black ink that reads "Penny Michael".

Penny Michael
SVP, Head of Compliance
FHN Financial Capital Markets

cc: Wade Gallagher
Office of Compliance, Inspections and Examinations
Branch of Registrations
U.S. Securities and Exchange Commission
100 F St., NE, Mail Stop 8031
Washington DC 20549

Debra Grissom
Chief Administrator for Applications
Tennessee Department of Financial Institutions
Via email: debra.grissom@tn.gov

1000 Ridgeway Loop Road, Suite 200, Memphis, TN 38120 | 800.456.5460 | www.fhnfinancial.com

Although this information has been obtained from sources which we believe to be reliable, we do not guarantee its accuracy, and it may be incomplete or condensed. This is for informational purposes only and is not intended as an offer or solicitation with respect to the purchase or sale of any security. All herein listed securities are subject to availability and change in price. Past performance is not indicative of future results, and changes in any assumptions may have a material effect on projected results. Ratings on all securities are subject to change.

FHN Financial Capital Markets, FHN Financial Portfolio Advisors, and FHN Financial Municipal Advisors are divisions of First Horizon Bank. FHN Financial Securities Corp. and FHN Financial Capital Assets Corp. are wholly owned subsidiaries of First Horizon Bank. FHN Financial Securities Corp. is a member of FINRA and SIPC — <http://www.sipc.org>.

FHN Financial Municipal Advisors is a registered municipal advisor. FHN Financial Portfolio Advisors is a portfolio manager operating under the trust powers of First Horizon Bank. None of the other FHN entities, including FHN Financial Capital Markets, FHN Financial Securities Corp., or FHN Financial Capital Assets Corp. are acting as your advisor, and none owe a fiduciary duty under the securities laws to you, any municipal entity, or any obligated person with respect to, among other things, the information and material contained in this communication. Instead, these FHN entities are acting for their own interests. You should discuss any information or material contained in this communication with any and all internal or external advisors and experts that you deem appropriate before acting on this information or material.

FHN Financial, through First Horizon Bank or its affiliates, offers investment products and services. Investment products are not FDIC insured, have no bank guarantee, and may lose value.

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

25007240

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
Date: 2025.01.06 15:24:55 -06'00'

[01/06/2025](#)

Signature

Date

FHN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT

January 2, 2025

#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.

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

One St. Louis Centre, Suite 3000
Mobile, AL 36602

444 Madison Avenue
9th Floor
New York, NY 10022

3344 Peachtree Road
Suite 2125
Atlanta, GA 30326

33 Queens Street
Suite 302
Syosset, NY 11791

***4 Embarcadero Center
Suite 1456
San Francisco, CA 94111***

Address Change effective 11/01/2024

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
11th 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
4th Floor, #427
Westlake, Ohio 44145

303 Wyman Street
Suite 300
Waltham, MA 02451

***12805 US Hwy 98 East Building B
Suite B201
Inlet Beach, FL 32461***

Address change effective 11/26/2024

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

320 Boston Post Road
Suite 260
Darien, CT 06820

10 Madison Ave
3rd Floor
Morristown, NJ 07960

15169 N. Scottsdale Road
Scottsdale, AZ 85254

2150 Goodlette Road North
Office #4401
Naples, FL 34103

#6 Management, Direction, or Supervision

Name

Tim Romanow

Jeff Jackson

Mark Griffin

Steve Twersky

Abigail Urtz Vetoulis

Bill Buck

Mike Waddell

Michael Allen

Ajay Thomas

Tim Thornton

Jack Rosell

Bert Jennings

Heather MacGregor

Tyler Williamson

Andy Kilpatrick

Ward Collier

John Feery

Kevin Clyne

Penny Michael

Title

President

Trading Manager/Wholesale Markets

Risk Control Manager

Depository Platform Manager

Product Strategies Manager

Operations Manager

Chief Operating & Financial Officer

Municipal Trading and Underwriting

Head of Public Finance

Sales Manager

Co-Head Sales Manager

Sales Manager

Sales Manager

Sales Manager

Sales Manager

Co-Head Sales Manager

Branch Manager

Branch Manager

Head of Compliance, AML/BSA Officer