



February 7, 2025

Board of Governors of the Federal Reserve System  
Risk Policy Section  
Mail Stop 1810, 20<sup>th</sup> and C Streets, NW  
Washington, DC 20551  
Via email: [MSD-GSD-Registration@frb.gov](mailto:MSD-GSD-Registration@frb.gov)

*Recd 2/18/25*

Please find enclosed an amended Form MSD and Form G-FIN for FHN Financial Capital Markets. This amendment reflects changes related to supervision and the closing of the Honolulu Branch.

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 blue 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](mailto:debra.grissom@tn.gov)

**1000 Ridgeway Loop Road, Suite 200, Memphis, TN 38120 | 800.456.5460 | [www.fhnfinancial.com](http://www.fhnfinancial.com)**

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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):

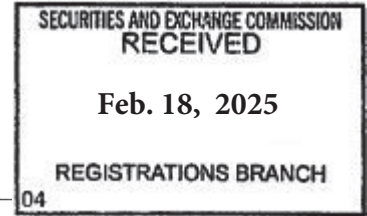
- A.  Comptroller of the Currency
- B.  Board of Governors of the Federal Reserve System
- C.  Federal Deposit Insurance Corporation
- D.  Securities and Exchange Commission

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

25007243

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

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: 2025.02.14 09:37:44 -06'00'

[02/14/2025](#)

Signature

Date

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

**February 7, 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  
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

4 Embarcadero Center  
Suite 1456  
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***

***Branch Closed Effective 1/31/2025***

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

303 Wyman Street  
Suite 300  
Waltham, MA 02451

12805 US Hwy 98 East Building B  
Suite B201  
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

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

<b><u>Name</u></b>	<b><u>Title</u></b>
Tim Romanow	President
Jeff Jackson	Trading Manager/Wholesale Markets
Mark Griffin	Risk Control Manager
Steve Twersky	Depository Platform Manager
Abigail Urtz Vetoulis	Product Strategies Manager
<i>John Cantrell</i>	<i>Head of Portfolio Strategies</i>
<i>Jamie Augustine</i>	<i>Head of Business Development</i>
Bill Buck	Operations Manager
Mike Waddell	Chief Operating & Financial Officer
Michael Allen	Municipal Trading and Underwriting
Ajay Thomas	Head of Public Finance
Tim Thornton	Sales Manager
Jack Rosell	Co-Head Sales Manager
<del>Bert Jennings</del>	<del>Sales Manager</del>
Heather MacGregor	Sales Manager
Tyler Williamson	Sales Manager
Andy Kilpatrick	Sales Manager
Ward Collier	Co-Head Sales Manager
John Feery	Branch Manager
Kevin Clyne	Branch Manager
Penny Michael	Head of Compliance
<i>Candice Stutzman</i>	<i>AML/BSA Compliance Officer</i>

