

# 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



25007270

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 TN 38120  
 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 SVP, Head of Compliance 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 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: 2025.09.15 13:22:02 -05'00'

09/15/2025

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**FHN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT**  
**September 15, 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, NE  
Suite 800  
Atlanta, GA 30326

33 Queens Street  
Suite 302  
Syosset, NY 11791

1 Embarcadero Center  
Suite 1200  
San Francisco, CA 94111

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

3333 Warrenville Road  
Suite 760  
Lisle, IL 60532

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

250 E Hartsdale Ave  
Suite 25  
Hartsdale, NY 10530

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  
3<sup>rd</sup> Floor  
Naples, FL 34103

8044 Montgomery Road  
Suite 700  
Cincinnati, OH 45236

*1 Water Street  
Suite 205  
Boyne City, MI 49712*

*New Branch effective 9/05/2025*

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

| <u>Name</u>           | <u>Title</u>                        |
|-----------------------|-------------------------------------|
| 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          |
| John Cantrell         | Head of Portfolio Strategies        |
| Jamie Augustine       | Head of Business Development        |
| Bill Buck             | Operations Manager                  |
| Mike Waddell          | Chief Operating & Financial Officer |
| Michael Allen         | Municipal Trading and Underwriting  |
| Ajay Thomas           | Head of Public Finance              |
| Sal Muslim            | Sales Manager                       |
| Jack Rosell           | Co-Head Sales Manager               |
| 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                  |
| Candice Stutzman      | AML/BSA Compliance Officer          |

## Board of Governors of the Federal Reserve System

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# Notice by Financial Institutions of Government Securities Broker or Government Securities Dealer Activities—Form G-FIN

This notice is required by law (15 U.S.C. § 78o-5(a)(1)(B)).

This notice must be filed by all financial institutions that are government securities brokers or government securities dealers that are not exempt from the notice requirement under regulations of the Department of the Treasury. Generally, a financial institution will not be required to file as a government securities broker or dealer if its only government securities activities are to (1) Buy or sell government securities solely for investment for its own account; (2) Buy or sell government securities for fiduciary accounts; (3) Handle savings bond transactions; (4) Submit tenders for the account of

customers for purchase on original issue of U.S. Treasury securities; (5) Enter into repurchase or reverse repurchase agreements; (6) Effect fewer than 500 government securities brokerage transactions per year; (7) Effect brokerage transactions only through another government securities broker or dealer on a fully disclosed basis; or (8) Effect brokerage transactions that do not involve active solicitations.

An agency may not conduct or sponsor, and an organization (or a person) is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

**For further information on the requirements to file this notice, please refer to the instructions.**

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503, and to one of the following: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; Assistant Executive Secretary (Administration), Room F-400, Federal Deposit Insurance Corporation, 550 17th Street, NW, Washington, DC 20429; Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 400 7th Street, SW, Washington, DC 20219; or to Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549.