

# Form G-FINW

**Reporting Burden**—Public reporting burden for this collection of information is estimated to average 15 minutes 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, Washington, DC 20429; Legislative and Regulatory Analysis Division, Office of the Comptroller of the Currency, Washington, DC 20219; Chief Counsel's Office, Office of Thrift Supervision, 1700 G Street, NW, Washington, DC 20552; or to Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549.

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.

## Notice By Financial Institutions of Termination of Activities as a Government Securities Broker or Government Securities Dealer

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(This booklet includes instructions and blank forms.)



### **Board of Governors of the Federal Reserve System**

OMB No. 7100-0224



### **Federal Deposit Insurance Corporation**

OMB No. 3064-0093



### **Office of the Comptroller of the Currency**

OMB No. 1557-0184



### **Office of Thrift Supervision**

OMB No. 1550-0019



### **Securities and Exchange Commission**

OMB No. 3235-0083

OFFICIAL USE

### Notice by Financial Institutions of Termination of Activities as a Government Securities Broker or Government Securities Dealer

1. Appropriate regulatory agency (check one):

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

2. A. Full name of the financial institution:

\_\_\_\_\_

B. Address of principal office of financial institution:

\_\_\_\_\_

C. Mailing address if different from (B):

\_\_\_\_\_

3. Furnish the name and address of the person who has or will have custody or possession of the financial institution's books and records with respect to the financial institution's activities as a government securities broker or government securities dealer:

Full Name

\_\_\_\_\_  
Last First Middle

\_\_\_\_\_  
Address

4. Furnish the address of the place where such books and records will be located:

\_\_\_\_\_  
\_\_\_\_\_

5. The financial institution submitting this notice of termination of activities 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:

\_\_\_\_\_  
First Middle Last Title

\_\_\_\_\_  
Manual Signature Date

## Instructions for completing Termination of Activities as a Government Securities Broker or Government Securities Dealer

### **1. When to file**

A financial institution that has filed a Notice of Government Securities Broker or Government Securities Dealer Activities (Form G-FIN) pursuant to section 15C(a)(1)(B) of the Securities Exchange Act of 1934 must file this notice with its appropriate regulatory agency (ARA) when the financial institution ceases to act as a government securities broker or government securities dealer.

A notice to terminate activities as a Government Securities Broker or Government Securities Dealer shall become effective for all matters on the 60th day after filing this notice unless the financial institution is otherwise notified by its ARA.

### **2. How and where to file: Number of copies**

Each financial institution must file two copies of the notice with its ARA, one of which will be sent by the ARA to the SEC. Both copies of this notice filed with the ARA shall be executed with a manual signature in Item 5. The notice shall be signed in the name of the financial institution by a principal officer who was directly engaged in the management, direction, or supervision of the financial institution's government securities broker or dealer activities.