

OFFICE OF THRIFT SUPERVISION

NOTICE FOR SERVICE CORPORATION ACTIVITY SECURITIES BROKERAGE

PAPERWORK REDUCTION ACT STATEMENT

The Office of Thrift Supervision (OTS) will use this Notice to acquire information concerning the establishment of a service corporation which will engage in security brokerage activities, pursuant to Sections 12 C.F.R. § 545.74(c) and 12 C.F.R. Part 559.

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time of reviewing instructions and completing a reviewing the collection of information. Send comments regarding this burden estimate or any aspect of the collection of information, including suggestions for reducing this burden, to Office of Thrift Supervision, Examinations and Supervision, 1700 G Street N.W., Washington, D.C. 20552; and the Office of Management and Budget, Paperwork Reduction Project (1550-0013), Washington, D.C. 20503.

Docket Number: _____

OFFICE OF THRIFT SUPERVISION

NOTICE FOR SERVICE CORPORATION ACTIVITY SECURITIES BROKERAGE

TO: Office of Thrift Supervision

Date of Notice: _____

We, the undersigned executive officer and secretary, pursuant to a resolution of a majority of the board of directors of:

Savings Institution Name

Street Address of Savings Institution (include City, State, and Zip Code)

(hereinafter the Institution), hereby provide notice to the Office of Thrift Supervision (OTS) that the Institution intends to acquire or establish a service corporation to engage in pre-approved securities brokerage activities of _____, pursuant to 12 C.F.R. §§ 545.74(c) and 559.11 and do hereby certify:

1. That the Institution shall comply with all requirements of 12 C.F.R. § 545.74(c);
2. That if applicable, the Institution has attached any additional information required pursuant to 12 C.F.R. § 545.74;
3. That the Institution has notified the FDIC, pursuant to 12 U.S.C. § 1828(m)(1), of the establishment or acquisition of service corporation and has attached a copy of the FDIC notification; and
4. That the OTS may request additional information or may impose conditions for the acquisition or establishment of a service corporation to engage in pre-approved securities brokerage services and may determine that the acquisition or establishment of a service corporation to engage in pre-approved securities brokerage services do not comply with 12 C.F.R. § 545.74.

If this notice represents an acquisition of an existing company, please provide a copy of any agreements.

Executive Officer

Secretary

Date of Receipt by OTS