

Justification for No Material Change
OMB Control No. 1557-0184

The OCC is moving to a web-based method for national banks and federal savings associations to submit their municipal and government securities dealer forms to the OCC.¹ These forms are used by banks to register and deregister associated securities sales personnel. With the web-based method, the bank will electronically send an Adobe PDF or scanned copy of the completed registration or deregistration form through the OCC's secured BankNet Web site. The OCC retrieves the form from a secured SharePoint site and process it as usual. This method reduces the risks associated with sending personal information contained on the forms through the postal service. Personal information on these forms include, name, address, date of birth, place of birth, social security number, residential history, etc. The G-FIN forms state that copies are to be "filed" with the appropriate regulatory agency; however, no address is provided. Therefore, we are not revising the G-FIN forms. For the MSD forms, we plan to delete the postal address for the OCC and instead indicate that the forms should be sent to the OCC through BankNet.²

¹ MSD, MSDW, MSD-4, MSD-5, G-FIN, and G-FINW.

² The Office of the Comptroller of the Currency
Upload completed forms via the OCC's BankNet Web site:

www.banknet.gov

For assistance call (202) 649-6360