Form SBSE-W

OMB Approval
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per response:
per amendment:

Request for Withdrawal from
Registration as a
Security-based Swap Dealer or
Major Security-based Swap
Participant

FORM SBSE-W INSTRUCTIONS

A. GENERAL INSTRUCTIONS

- 1. Security-based swap dealers and major security-based swap participants (collectively "SBS Entities") must file Form SBSE-W to withdraw their registration from the Securities and Exchange Commission ("SEC").
- 2. All guestions must be answered and all fields requiring a response must be complete before the filing is accepted.
- 3. The registrant must file Form SBSE-W through the EDGAR system, and must utilize the EDGAR Filer Manual (as defined in 17 CFR 232. 11) to file and amend Form SBSE-W electronically to assure the timely acceptance and processing of those filings. Prior to filing Form SBSE-W, amend Form SBSE, Form SBSE-A, or Form SBSE-BD, as applicable, in accordance with Rule 15Fb2-3 [17 CFR 240.15Fb2-3], to update any incomplete or inaccurate information.
- 4. A paper copy of this Form SBSE-W with the original manual signature(s) must be retained by the security-based swap dealer or major security-based swap participant filing the Form SBSE-W and be made available for inspection upon a regulatory request. A paper copy of the initial Form SBSE, Form SBSE-A, or Form SBSE-BD filing, as appropriate, and amendments to any Disclosure Reporting Pages (DRPs) also must be retained by the security-based swap dealer and major security-based swap participant filing the Form SBSE-W.

The mailing address for questions and correspondence is:

The Securities and Exchange Commission Washington, DC 20549

EXPLANATION OF TERMS

(The following terms are italicized throughout this form.)

The term **INVESTIGATION** includes: (a) grand jury investigations, (b) U.S. Securities and Exchange Commission investigations after the "Wells" notice has been given, (c) formal investigations by a self-regulatory organization or, (d) actions or procedures designated as investigations by jurisdictions. The term investigation does not include subpoenas, preliminary or routine regulatory inquiries or requests for information, deficiency letters, "blue sheet" requests or other trading questionnaires, or examinations.

The term **INVESTMENT-RELATED** pertains to securities, commodities, banking, savings association activities, credit union activities, insurance, or real estate (including, but not limited to, acting as or being associated with a broker-dealer, municipal securities dealer, government securities broker or dealer, issuer, investment company, investment adviser, futures sponsor, bank, savings association, credit union, insurance company, or insurance agency).

FEDERAL INFORMATION LAW AND REQUIREMENTS - SEC's Collection of Information

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number. Sections 15F, 17(a) and 23(a) of the Exchange Act authorize the SEC to collect the information on this form from registrants. See 15 U.S.C. §§ 78o-10, 78q and 78w. Filing of this Form is mandatory. The principal purpose of this Form is to permit the Commission to determine whether it is necessary or appropriate in the public interest or for the protection of investors to permit the security-based swap dealer or major security-based swap participant to withdraw its registration. The Commission maintains a file of the information on this Form and will make the information publicly available. Any member of the public may direct to the Commission any comments concerning the accuracy of the burden estimate on this Form, and any suggestions for reducing this burden. This collection of information has been reviewed by the Office of Management and Budget in accordance with the clearance requirements of 44 U.S.C. §3507. The information contained in this form is part of a system of records subject to the Privacy Act of 1974, as amended. The Securities and Exchange Commission has published in the Federal Register the Privacy Act Systems of Records Notice for these records.

FORM SBSE-W

Signature

Request for Withdrawal from Registration as a Security-based Swap Dealer or Major Security-based Swap Participant

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	Sw	ap F	Participant Participant				
INTENTIONAL MISS	STATEMENTS OR OMISSIONS (See 18 U.S.		ACTS MAY CONSTITUTE F 11 and 15 U.S.C. 78ff(a)	EDERAL CRIMINAL	VIOLAT	IONS.	
	otice of withdrawal from registration ation contained on Form SBSE, Fo					3-	
A. Full name of Security-I	based Swap Dealer or Major Security-	-based	Swap Participant:	B. IRS Emp. Ident.	B. IRS Emp. Ident. No.:		
C. Name under which but	D. Firm SEC, NFA	D. Firm SEC, NFA, and/or CRD No.:					
E. Firm main address: N	Number and Street City	State	/Country Zip+4/Postal Co	de			
F. Mailing address, if diffe	erent: Number and Street	City		G. Area Code / Tel	ephone N	lo.:	
2. Withdrawing from Regis	stration as a: [] Security-ba	ased S	Swap Dealer [] Majo	or Security-based Swa	ap Partic	ipant	
3. Date firm ceased busin	ess:			MM DD '	ΥY		
Winding down all bus No longer doing secu Have effected less se	rity-based swap business in U.S. ecurity-based swap business for s and no longer fit definition of ma		[] Ceasing business as participant [] Other (describe):	a security-based swa	ap deale	r 	
A. Number of counterp B. Amount of money h C. Market value of sec		ed swa	ap participant hold any segre	gated counterparty coll	ateral?	Yes No	
	wap dealer or major security-base e subject of or named in any inves		t-related: - investigat	initiated complaint	yes [] []	no [] []	
7. Name and Address of	the Person who will have Custody	y of Bo	ooks and Records:	Area Code / Telepho	ne No.:		
Address where the Bo	oks and Records will be Located,	if Diffe	erent: Number and Street C	City State/Country ZII	- + 4/Pos	tal Code	
based swap participant, and the swap dealer or major security-b as appropriate, is accurate and will be preserved and available Date (MM/DD/YYYY)	gned certifies that he/she has executed th at all information herein, including any atta assed swap participant further certify that complete as of this date, and that the sec for inspection as required by law.	achmer all the i curity-b	nts hereto, is accurate, complete, a information previously submitted o	and current. The undersig on Form SBSE, Form SBS	ned and se E-A, or Foi	ecurity-based rm SBSE-BD	
By:							

Print Name and Title