



February 7, 2017

Memorandum to: Shagufta Ahmed
Policy Analyst
Office of Information and Regulatory Affairs
Office of Management and Budget

From: Manuel E. Cabeza
Counsel
Federal Deposit Insurance Corporation

RE: Nonsubstantive Revisions to MSD-4 and MSD-5 Forms and Instructions

FDIC is submitting for OMB review and approval minor, nonsubstantive revisions to the forms and instructions associated with its information collection entitled “Uniform Application and Uniform Termination for Municipal Securities Principal or Representative” (OMB Control Number 3064-0022). The revisions impact the following as noted:

- Form MSD-4 Uniform Application for Municipal Securities Principal or Municipal Securities Representative Associated with a Bank Municipal Securities Dealer.
 - *Page 1-* (a) Updated the expiration date of the OMB approval for the OCC’s Control Number from May 31, 2016 to July 31, 2019; (b) Added “Federal Deposit Insurance Corporation” and “Office of the Comptroller of the Currency” above the agency seals.
 - *Page 3* – Removed item 10 requesting (optional) the respondent to provide a Social Security Number.
 - *Page 4* – Revised the text to question 18 by inserting the following underlined text: “Have you ever taken and passed a qualification examination for municipal securities principals”
 - *Page 5* – (a) Revised the method of submission for the FDIC by giving respondents the option to either (i) submit the form electronically, in PDF format, or (ii) mailing a hard copy to the address previously provided; (b) Corrected a typographical error in the spacing of the words “The Office of the Comptroller of the Currency.”
- Instructions for Form MSD-4
 - *Page 1-* (a) Revised paragraph 5 to include updated instructions for filing the form with the FDIC and the OCC; (b) Changed the date of the from revision on

the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).

- o Page 2* - Changed the date of the from revision on the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).
 - o Page 3* - Changed the date of the from revision on the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).
- Form MSD-5 Uniform Termination Notice for Municipal Securities Principal or Municipal Securities Representative Associated with a Bank Municipal Securities Dealer.
 - o Page 1-* (a) Updated the expiration date of the OMB approval for the OCC’s Control Number from May 31, 2016 to July 31, 2019; (b) Added “Federal Deposit Insurance Corporation” and “Office of the Comptroller of the Currency” above the agency seals.
 - o Page 2 –* (a) Removed item 3 requesting (optional) the respondent to provide a Social Security Number; (b) Updated the current version of the form to “xx/2017” (the actual month will be inserted once OMB approves the revisions).
 - o Page 3 –* (a) Revised the method of submission for the FDIC by giving respondents the option to either (i) submit the form electronically, in PDF format, or (ii) mailing a hard copy to the address previously provided; (b) Corrected a typographical error in the spacing of the words “The Office of the Comptroller of the Currency.”
- Instructions for From MSD-5
 - o Page 1-* (a) Revised paragraph 5 to include updated instructions for filing the form with the FDIC and the OCC; (b) Changed the date of the from revision on the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).
 - o Page 2* - Changed the date of the from revision on the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).
 - o Page 3* - Changed the date of the from revision on the footer to “xxxx 2017” (the actual date will be inserted once OMB approves the revisions).

If you have any questions, please let me know. Thank you for your consideration.