OMB Number 3064-0022 Approval expires March 31, 2018 OMB Number 1557-0184 Approval expires May 31, 2016 Page 1 of 5

Board of Governors of the Federal Reserve System







Uniform Application for Municipal Securities Principal or Municipal Securities Representative Associated with a Bank Municipal Securities Dealer—Form MSD-4

The Board of Governors of the Federal Reserve System, the Federal Deposit Insurance Corporation, and the Office of the Comptroller of the Currency are authorized to collect this information pursuant to the authority contained in the following statutes: 15 U.S.C. §§ 78o-4, 78q, and 78w.

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 OMB control number. The information provided by each respondent is considered to be confidential.

PRIVACY ACT NOTICE

The Federal Reserve Board is authorized to request this information from you by Sections 3, 15B(c), 15C, 17 and 23 of the Securities Exchange Act of 1934 (15 U.S.C. 78c, 78o-4, 78o-5, and 78q and 78w); and Section 11 of the Federal Reserve Act (12 U.S.C. 248). The purpose for collecting the information is to comply with the registration requirements of municipal securities dealers, municipal securities representatives, and U.S. Government securities brokers or dealers and associated persons contained in the Securities Exchange Act of 1934, and to support the Board's regulatory and supervisory functions. Furnishing the requested information is mandatory. Failure to provide the requested information in whole or in part may delay or prohibit the determination of your compliance with applicable registration and professional qualification requirements. The information you provide is protected by the Privacy Act, 5 U.S.C. 552(a). The information may be furnished to third parties as authorized by law and used according to any of the routine uses described in the Municipal or Government Securities Principals and Representatives System of Records (BGFRS-17), available at https://www.gpo.gov/fdsys/pkg/PAI-2013-BGFRS/xml/PAI-2013-BGFRS.xml#bgfrs17. If you have any questions or concerns about the collection or use of the information, you may contact the Secretary of the Board, Board of Governors of the Federal Reserve System, 20th Street and Constitution Avenue, NW, Washington, DC 20551.

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time to gather and maintain data in the required form and to review instructions and to complete the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Management and Budget, Washington, DC 20503, and, depending on your primary federal regulator, to Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; or to Assistant Executive Secretary, Federal Deposit Insurance Corporation, Washington, DC 20429; or to Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, Washington, DC 20219.

Uniform Application for Municipal Securities Principal or Municipal Securities Representative Associated with a Bank Municipal Securities Dealer

Bank Municipal Securities Dealer: A. Name A. Date of Employment Applicant: A. Date of Employment with MSD: Registration Number C. Main Street Address City State Zip Code To be filed with the following (check one): Board of Governors of the Federal Reserve System Federal Deposit Insurance Corporation Comptroller of the Currence Types(s) of Qualification Requested (check all that apply): Municipal Securities Representative Municipal Securities Representative Government Securities Representative Hunicipal Securities Sales Limited Representative Government Securities Supervisor It is anticipated that the applicant will perform the following functions in the capacity indicated (check all that apply): A. Underwriting, trading or sales of municipal securities B. Financial advisory or consultant services for issuers in connection with issuance of municipal securities C. Research or investment advice with respect to municipal securities in connection with the activities described in items 7.4 and 7.8 above D. Activities other than those specifically mentioned that involve communication directly or indirectly with public investors in municipal securities in connection with the activities of escribed in items 7.4 and 7.8 above E. Processing and clearing activities with respect to municipal securities accurately and colorable process of the information funcional securities representatives F. Maintenance of records involving activities described in items 7.4 and 7.8 above E. Processing and clearing activities with respect to municipal securities representative Great of the application of the application of the application of the applicant as related to the ability to perform the duties for which employed or to be employed. Person Contacted Person Contac	Last First	Middle (if none write)	"Ν/Δ")
A. Name			N/A)
B. Registration Number C. Main Street Address City State Zip Code To be filed with the following (check one): Board of Governors of the Federal Reserve System Federal Deposit Insurance Corporation Comptroller of the Currence Types(s) of Qualification Requested (check all that apply): Municipal Securities Representative Government Securities Principal Municipal Securities Sales Limited Representative Government Securities Supervisor It is anticipated that the applicant will perform the following functions in the capacity indicated (check all that apply): CAPACITY Non-Supervisory A. Underwriting, trading or sales of municipal securities B. Financial advisory or consultant services for issuers in connection with issuance of municipal securities B. Financial advisory or consultant services for issuers in connection with the activities described in items 7.A and 7.B above D. Activities other than those specifically mentioned that involve communication directly or indirectly with public investors in municipal securities in connection with the activities described in items 7.A and 7.B above E. Processing and clearing activities with respect to municipal securities C. Training of municipal securities principals or municipal securities F. Maintenance of records involving activities described in items 7.A through 7.E. above For the purpose of verifying the information furnished on this application by the applicant named in item 1 above, this institution ha made inquiry of all employers of the applicant during the immediately preceding three years, as set forth below, concerning the accuracy and completeness of the information provided, and concerning the record and reputation of the applicant as related to the ability to perform the duties for which employed or to be employed.	Bank Municipal Securities Dealer:	Office of Employment Applicant:	
B. Registration Number			
Registration Number C. Main Street Address		Name	
C. Main Street Address		4. Date of Employment with MSD:	
Main Street Address Month/Day/Year Dity State Zip Code			
To be filed with the following (check one): Board of Governors of the Federal Reserve System Federal Deposit Insurance Corporation Comptroller of the Currence Types(s) of Qualification Requested (check all that apply): Municipal Securities Representative Municipal Securities Principal Municipal Securities Representative Government Securities Representative Municipal Securities Fund Sales Limited Representative Government Securities Supervisor It is anticipated that the applicant will perform the following functions in the capacity indicated (check all that apply): CAPACITY Non-Supervisor Supervisor A. Underwriting, trading or sales of municipal securities C. Research or investment advice with respect to municipal securities in connection with the activities Gescribed in items 7.A and 7.B above D. Activities other than those specifically mentioned that involve communication directly or indirectly with public investors in municipal securities in connection with the activities of learning activities with respect to municipal securities F. Maintenance of records involving activities described in items 7.A and 7.B above G. Training of municipal securities of the applicant during the immediately preceding three years, as set forth below, concerning the accuracy and completeness of the information provided, and concerning the record and reputation of the applicant as related to the ability to perform the duties for which employed or to be employed.		Month/Day/Year	
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Board of Governors of the Federal Reserve System Federal Deposit Insurance Corporation Comptroller of the Currence Types(s) of Qualification Requested (check all that apply): Municipal Securities Representative	City State Zip Code		
Types(s) of Qualification Requested (check all that apply): Municipal Securities Representative	To be filed with the following (check one):		
Municipal Securities Representative	☐ Board of Governors of the Federal Reserve System ☐ Fede	ral Deposit Insurance Corporation Comp	troller of the Curren
Municipal Securities Sales Limited Representative	Types(s) of Qualification Requested (check all that apply):		
It is anticipated that the applicant will perform the following functions in the capacity indicated (check all that apply): CAPACITY Non-Supervisory Supervisor	☐ Municipal Securities Representative	☐ Municipal Securities Principal	
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A. Underwriting, trading or sales of municipal securities B. Financial advisory or consultant services for issuers in connection with issuance of municipal securities C. Research or investment advice with respect to municipal securities in connection with the activities described in items 7.A and 7.B above D. Activities other than those specifically mentioned that involve communication directly or indirectly with public investors in municipal securities in connection with the activities described in items 7.A and 7.B above E. Processing and clearing activities with respect to municipal securities F. Maintenance of records involving activities described in items 7.A through 7.E above G. Training of municipal securities principals or municipal securities representatives For the purpose of verifying the information furnished on this application by the applicant named in item 1 above, this institution has made inquiry of all employers of the applicant during the immediately preceding three years, as set forth below, concerning the accuracy and completeness of the information provided, and concerning the record and reputation of the applicant as related to the ability to perform the duties for which employed or to be employed. Person Contacted	\square Municipal Securities Fund Sales Limited Representative	☐ Government Securities Supervisor	
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ability to perform the duties for which employed or to be employed. Person Contacted			
Person Contacted			cant as related to the
	ability to perform the duties for which employed or to be employed		
	Employer		Position

Personal History of Applicant

9.					10.					
	Name (Last, First, Middle)				_	Social Security Nu	mber (optional)			
11.					13.					
	Resident Street Address				_	Date of Birth (Mon	th/Day/Year)			
12.					14.					
12.	City	State	Zip Code			lace of Birth (City	, State(if applicable), Counti	ry)	
15.	Any other name ever used	by which known	:							
16.	EMPLOYMENT AND EDUction past ten years starting with unemployment, and full-time	my immediately	previous en	nployer. (Includ	le full- and pa	rt-time work, se	If emp	loyment, mil	itary service,
	Name of Employer and Complete Address		Type of Business	Fro (MM/Y	om (YYY)	To (MM/YYYY)	Position Held		-time or rt-time	Reason for Leaving
17.	RESIDENTIAL HISTORY.		cont of all m							
	The following is a complete, Address	consecutive states	nent of all fil	y residenti	iai auc	ilesses for the	past live years	starting	From (MM/YYYY)	To (MM/YYYY)
	Street			City/Town						
	State/Province	Zip/Postal Co	de		Coun	try				
	Street			City/Town						
	State/Province	Zip/Postal Co	de		Coun	try				
	Street			City/Town						
	State/Province	Zip/Postal Co	de		Coun	try				
	Street			City/Town						
	State/Province	Zip/Postal Co	de		Coun	try				

Personal History of Applicant—Continued

18.	A. Have you ever taken a qualification examination for municipal securities princip representatives, or financial and operations principals prescribed by the Munici Rulemaking Board?	□Yes	□ No	
	If Yes, state below the type of examination and the approximate date taken.		100	
	Type of Examination	Approximate Date	(MM/YYY	
	Type of Examination	Approximate Date		
	B. Have you ever been exempt from or received a waiver of the requirement to ta examination of the nature specified in Question 18.A?	ike and pass an	(MM/YYY)	Y)
	If Yes, state below the type of examination and the approximate date taken.			
	Type of Examination Basis for Exemption of	or Waiver Approximate Date	(MM/YYY	<u>Y)</u>
	Type of Examination Basis for Exemption of	or Waiver Approximate Date	(MM/YYY)	
19.	Are you currently bonded?		Yes	□No
lf th	he answer to any of the following questions is Yes, attach complete details:			
20.	Have you ever been refused coverage under a fidelity bond or has any surety com on your coverage or cancelled such coverage?		☐ Yes	□No
21.	Have you ever been denied membership, registration, license, permit, or certificati securities or federal or state bank regulatory agency, any national securities excha association, or registered clearing agency?	ange, registerd securities	☐ Yes	□No
22.	Has any disciplinary action ever been taken against you, or any sanction imposed finding that you were a cause of any disciplinary action or violated any law, rule or aider, abettor, or co-conspirator in any such violation, by any federal or state secur bank regulatory agency, any national securities exchange, registered securities as clearing agency?	regulation or were an rities or federal or state ssociation, or registered	☐Yes	□No
23.	While you were associated in any capacity with any broker, dealer or municipal se	curities dealer:		
	A. Was your registration denied, suspended or revoked?		Yes	\square No
	B. Was your membership in any national securities exchange, registered securities clearing agency denied, suspended, or revoked, or was it expelled from any su		☐Yes	□No
24.	Has any permanent or temporary injunction (including a cease and desist order) e you enjoining conduct as an investment advisor, underwriter, broker, dealer or mul or as an affiliated person of any investment company, bank dealer, or municipal se affiliated person of any investment company, bank, insurance company, or enjoining such activities or any transactions in any security?	nicipal securities dealer ecurities dealer or as an ng any conduct related to	☐Yes	□No
25.	Have you been convicted within the past ten years of any felony or misdemeanor: or sale of any security, the taking of a false oath, the making of a false report, brib conspiracy to commit any such offense; (ii) arising out of the conduct of the busine municipal securities dealer, investment adviser, bank, insurance company, or fiduce larceny, theft, robbery, extortion, forgery, counterfeiting, fraudulent concealment, econversion, or misappropriation of funds or securities; (iv) involving crimes of conceaths or claims, bribery in a bankruptcy proceeding, mail fraud, fraud by wire (incl	ery, perjury, burglary, or ess of a broker, dealer, ciary; (iii) involving embezzlement, fraudulent cealment of assets, false uding telephone, telegraph,		
	radio, or television), fraud or false statements?		∐ Yes	∐ No
Sign	nature of Municipal Securities Principal Date (Month/Day/Year	_		

26. Applicant Name 27. Bank Municipal Securities Dealer Name 28. Bank Municipal Securities Dealer Address City State Zip Code

☐ Form MSD-4 ☐ Form G-FIN-4

When the Form MSD-4 is received by the appropriate regulatory agency, this acknowledgment will be stamped to show receipt and returned to the person named in item 29. The stamped acknowledgment should be retained to substantiate filing.

MAIL THE FORM TO THE REGULATOR INDICATED IN ITEM 5.

Board of Governors of the Federal Reserve System

Submit completed forms in Portable Document Format (PDF) to the Federal Reserve's secure email address: MSD-GSD-Registration@frb.gov

Federal Deposit Insurance Corporation

Acknowledgment for:

Attention

Policy & Program Development Section 550 17th Street, NW, Room MB-5100 Washington, DC 20429

The OfficeoftheComptrolleroftheCurrency

Upload completed forms via the OCC's BankNet website www.banknet.gov For assistance call (202) 649-6360