OMB Number 7100-0100 Approval expires May 31, 2019 OMB Number 3064-0022 Approval expires March 31, 2018 OMB Number 1557-0184 Approval expires May 31, 2016 Page 1 of 3

July 31, 2019

## Board of Governors of the Federal Reserve System







Federal Deposit Insurance Corporation Office of the Comptroller of the Currency

## **Uniform Termination Notice for Municipal Securities Principal or Municipal Securities Representative Associated with a** Bank Municipal Securities Dealer—Form MSD-5

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 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, your 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 15 minutes 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 Termination Notice for Municipal Securities Principal or Municipal Securities Representative Associated with a Bank Municipal Securities Dealer

1.	Individual's Name:					
	Last	First			Middle (if none, ente	er "N/A")
2.	2. Capacity (check all that apply):  Municipal Securities Government Securities  4. Bank Municipal Securities Dealer:  A.  Name  B.			Social Secur	it <del>y Number (optional):</del>	(remove text and
4.				Office of Employment Address:		
				Street Address		
	Registration Number			City	State	Zip Code
	C. Main Street Address		6.	Date Termina	ated:	
	City State	Zip Code		Month/Day/Year		
9.	*Furnish full details on attached sheet While associated with the dealer name disqualification, or disciplinary action Securities Exchange Act of 1934) described by the securities of the securities of the following (check of the securities of the following (check of the securities of the following of the federal securities of this form for filing shall not consider the securities of the form for filing shall not consider the securities of the form for filing shall not consider the securities of the form for filing shall not consider the securities of the form for filing shall not consider the securities of the securi	ned in item 4, was the in by any government ag scribed in Rules G-4 ar et. one):	ndividual na ency or sel nd G-5 of th	amed in item 1 f-regulatory or e Municipal S eposit Insurar	the subject of any inverganization (as defined in ecurities Rulemaking Bounders	estigation, proceeding, n section 3(a)(26) of the pard?
	tentional misstatements or omissions of fa					
Pri	nt Name of Municipal Securities Principal	Signature	of Municipal S	ecurities Principal		Date (MM/DD/YYYY)
Pe	erson to contact for further information	:				
		Name				
		Street Address				
		City	State		Zip Code	
		Area Code / Phone Numbe	<u> </u>			

Acknowledgment for:	□ Form MSD-5	☐ Form G-FIN-	Page 3 of 3
10			_
Name of Person Terminated			
11			_
Bank Municipal Securities Dealer Name			
12.			Receipt Stamp
Bank Municipal Securities Dealer Address			_
City	State	Zip Code	-
13.			
When the Form MSD-5 is received by receipt and returned to the person na			hould be retained to substantiate filing.
MAIL THE FORM TO THE REGULATO	R INDICATED IN ITEM 9.		
Board of Governors of the Federal Ro Submit completed forms in Portable Do address: MSD-GSD-Registration@frb.g			
	ov .		re email s in Portable Document Format

The OfficeoftheComptrolleroftheCurrency

Federal Deposit Insurance Corporation (non-bold text) Upload completed forms via the OCC's BankNet website www.banknet.gov

For assistance call (202) 649-6360

The Office of the Comptroller of the Currency