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

Board of Governors of the Federal Reserve System







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	r "N/A")	
2.	Capacity (check all that apply):		3.	Social Secu	rity Number (optional):		
	☐ Municipal Securities ☐ Governm	nent Securities					
4.	. Bank Municipal Securities Dealer:		5	. Office of Employment Address:			
	A.						
	Name			Street Address			
	В.			-			
	Registration Number			City	State	Zip Code	
	C. Main Street Address			Date Terminated:			
	Main Street Address						
	City State	Zip Code		Month/Day/Year	r		
9.	Reason for Termination (check one): Resigned* Discharged* *Furnish full details on attached sheet While associated with the dealer nam- disqualification, or disciplinary action is Securities Exchange Act of 1934) des Yes** No **Furnish full details on attached sheet To be filed with the following (check of Board of Governors of the Federal Exceptance of this form for filing shall not contentional misstatements or omissions of factors.	ed in item 4, was the incompany government age cribed in Rules G-4 and et. I Reserve System Institute any finding that the ct may constitute federal of the constitute feder	ndividual na ency or sel d G-5 of th Federal D he informat criminal vio	amed in item of regulatory of e Municipal Society of the Municipal Soci	1 the subject of any investiganization (as defined in Securities Rulemaking Bounce Corporation Conterein is true, current, compuse. §§ 1001 and 1005, ar	stigation, proceeding, a section 3(a)(26) of the ard? comptroller of the Currency lete, or not misleading.	
PIII	nt Name of Municipal Securities Principal	Signature o	or Municipal S	ecurities Principa	II	Date (MM/DD/YYYY)	
Pe	erson to contact for further information:						
		Name					
		Street Address					
		City	State		Zip Code		
		Area Code / Phone Number					

Acknowledgment for: □ Form MSD-5 □ Form G-FIN-5

10.				
	Name of Person Terminated			
11.				
	Bank Municipal Securities Dealer Name			
12.				Receipt Stamp
	Bank Municipal Securities Dealer Address			
	City	State	Zip Code	
13.	Attention			

When the Form MSD-5 is received by the appropriate regulatory agency, this acknowledgment will be stamped to show receipt and returned to the person named in item 13. The stamped acknowledgment should be retained to substantiate filing.

MAIL THE FORM TO THE REGULATOR INDICATED IN ITEM 9.

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

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