

Board of Governors of the Federal Reserve System

July 31, 2019



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, 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.

# 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, enter "N/A")

2. Capacity (check all that apply):

Municipal Securities  Government Securities

3. ~~Social Security Number (optional):~~

**Not applicable  
(remove text and  
filing line from form)**

4. Bank Municipal Securities Dealer:

5. Office of Employment Address:

A. \_\_\_\_\_  
Name

\_\_\_\_\_  
Street Address

B. \_\_\_\_\_  
Registration Number

\_\_\_\_\_  
City State Zip Code

C. \_\_\_\_\_  
Main Street Address

6. Date Terminated:

\_\_\_\_\_  
City State Zip Code

\_\_\_\_\_  
Month/Day/Year

7. Reason for Termination (check one):

Resigned\*  Discharged\*  Deceased  Other\*

*\*Furnish full details on attached sheet if related to a violation or probable violation of banking or securities law.*

8. While associated with the dealer named in item 4, was the individual named in item 1 the subject of any investigation, proceeding, disqualification, or disciplinary action by any government agency or self-regulatory organization (as defined in section 3(a)(26) of the Securities Exchange Act of 1934) described in Rules G-4 and G-5 of the Municipal Securities Rulemaking Board?

Yes\*\*  No

*\*\*Furnish full details on attached sheet.*

9. To be filed with the following (check one):

Board of Governors of the Federal Reserve System  Federal Deposit Insurance Corporation  Comptroller of the Currency

**Acceptance of this form for filing shall not constitute any finding that the information submitted herein is true, current, complete, or not misleading. Intentional misstatements or omissions of fact may constitute federal criminal violations. (See 18 U.S.C. §§ 1001 and 1005, and 15 U.S.C. 78ff.)**

\_\_\_\_\_  
Print Name of Municipal Securities Principal

\_\_\_\_\_  
Signature of Municipal Securities Principal

\_\_\_\_\_  
Date (MM/DD/YYYY)

Person 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. \_\_\_\_\_  
 Bank Municipal Securities Dealer Address

\_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_  
 City    State    Zip Code

13. \_\_\_\_\_  
 Attention

**Receipt Stamp**

**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](mailto:MSD-GSD-Registration@frb.gov)

**Federal Deposit Insurance Corporation**  
 Policy & Program Development Section  
 550 17th Street, NW, Room MB-5100  
 Washington, DC 20429

~~**The Office of the Comptroller of the Currency**~~  
 Upload completed forms via the OCC's BankNet website [www.banknet.gov](http://www.banknet.gov)  
 For assistance call (202) 649-6360

Submit completed forms in Portable Document Format (PDF) to the Federal Deposit Insurance Corporation's secure email address: [msg-gsd-registration@fdic.gov](mailto:msg-gsd-registration@fdic.gov) or, alternatively, mail the form and any attachments to: (space) Federal Deposit Insurance Corporation (non-bold text)

The Office of the Comptroller of the Currency