

Instructions for completing Termination of Activities as a Government Securities Broker or Government Securities Dealer

1. When to file

A financial institution that has filed a Notice of Government Securities Broker or Government Securities Dealer Activities (Form G-FIN) pursuant to section 15C(a)(1)(B) of the Securities Exchange Act of 1934 must file this notice with its appropriate regulatory agency (ARA) when the financial institution ceases to act as a government securities broker or government securities dealer.

A notice to terminate activities as a Government Securities Broker or Government Securities Dealer shall become effective for all matters on the 60th day after filing this notice unless the financial institution is otherwise notified by its ARA.

2. How and where to file: Number of copies

Each financial institution must file two copies of the notice with its ARA, one of which will be sent by the ARA to the SEC. Both copies of this notice filed with the ARA shall be executed with a manual signature in Item 5. The notice shall be signed in the name of the financial institution by a principal officer who was directly engaged in the management, direction, or supervision of the financial institution's government securities broker or dealer activities.

See Section E (How and Where to file: Number of copies) of the Form G-FIN instructions for guidance on how to file this report with each ARA.