

Board of Governors of the Federal Reserve System



## Deregistration Statement for Persons Registered Pursuant to Regulation U—FR G-2

### For use by Noncorporate Registrants

This deregistration statement is required by law (15 U.S.C. §§ 78g and 78w; 12 C.F.R. § 221).

The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The form must be filed by submitting a Portable Document Format ("PDF") version to the designated email address [MSD-GSD-Registration@frb.gov](mailto:MSD-GSD-Registration@frb.gov).

### Privacy Act Statement

#### Authority

Sections 3, 7, 17, and 23 of the Securities Exchange Act of 1934 (15 USC 78c, 78g, 78q, and 78w), and Regulation U (12 CFR 221).

#### Purpose

These records are collected and maintained to assist the Board in maintaining a current list of persons registered as margin lenders under the securities laws. The deregistration statement collects identification and contact information regarding the lender, as well as the authorizing officer's signature and title and the date. A nonbank lender who has deregistered must reregister if subsequent lending volume exceeds the thresholds identified in Regulation U (Section 221.3(b)(2)).

#### Disclosure

The provision of requested information is mandatory.

#### Routine Uses

The information you provide will be stored in the system of records entitled BGFRS-16, "FRB—Regulation U Reports of Nonbank Lenders". General routine uses A, C, D, G, I, and J apply to this system. These general routine uses are located at <https://www.federalreserve.gov/files/SORN-page-general-routine-uses-of-board-systems-of-records.pdf> and are published in the Federal Register at 83 FR 43872 at 43873-74 (August 28, 2018). Records may be used:

1. to disclose, upon request, the name of a registered individual who extends credit secured by margin stock; and
2. to disclose information, when appropriate, to foreign governmental authorities in accordance with law, and formal or informal international agreements.

**Honest, accurate, and timely statements are required by law.  
(15 U.S.C. § 78ff; 18 U.S.C. § 1001)**

## For use by Noncorporate Registrants—Continued

### Certificate

I (We), doing business under the name

\_\_\_\_\_  
Name

\_\_\_\_\_  
IRS Identification Number<sup>1</sup>

hereby certify that I (we) have not, during the preceding six calendar months, had a total of \$200,000 or more of credit outstanding secured directly or indirectly by margin stock.

I (We) understand that if I (we), in the future, extend a total of \$200,000 or more during any calendar quarter, or have outstanding

at any time during a calendar quarter a total of \$500,000 or more, in credit that is secured directly or indirectly by collateral that includes any margin stock, I (we) shall within 30 calendar days following the end of such calendar quarter re-register and remain registered for at least six months with the Board of Governors of the Federal Reserve System by filing Federal Reserve Form G-1 with the Federal Reserve Bank of the district in which my (our) principal office is located.

This certification is given in connection with an application for termination of registration pursuant to Section 221.3(b)(2) of Regulation U of the Board of Governors of the Federal Reserve System.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Name of Firm

\_\_\_\_\_  
Area Code / Phone Number

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
Title

1. A registrant who is an individual is not required to disclose his or her Social Security number.

Board of Governors of the Federal Reserve System



# Deregistration Statement for Persons Registered Pursuant to Regulation U—FR G-2

## For use by Corporate Registrants

This deregistration statement is required by law (15 U.S.C. §§ 78g and 78w; 12 C.F.R. § 221).

The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The form must be filed by submitting a Portable Document Format ("PDF") version to the designated email address [MSD-GSD-Registration@frb.gov](mailto:MSD-GSD-Registration@frb.gov).

## Officer's Certificate

I hereby certify that

\_\_\_\_\_  
Name of Corporation

\_\_\_\_\_  
IRS Identification Number<sup>2</sup>

("Corporation") has not, during the preceding six calendar months, had a total of \$200,000 or more of credit outstanding secured directly or indirectly by margin stock.

It is understood that if the Corporation shall, in the future, extend a total of \$200,000 or more during any calendar quarter, or has

outstanding at any time during a calendar quarter a total of \$500,000 or more, in credit that is secured directly or indirectly by collateral that includes any margin stock, the Corporation shall within 30 days following the end of such calendar quarter re-register and remain registered for at least six months with the Board of Governors of the Federal Reserve System by filing Federal Reserve Form G-1 with the Federal Reserve Bank of the district in which the principal office of the corporation is located.

This certification is given in connection with an application for termination of registration pursuant to Section 221.3(b)(2) of Regulation U of the Board of Governors of the Federal Reserve System.

\_\_\_\_\_  
Signature of Duly Authorized Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Area Code / Phone Number

2. A registrant who is an individual is not required to disclose his or her Social Security number.

**Honest, accurate, and timely statements are required by law.  
(15 U.S.C. § 78ff; 18 U.S.C. § 1001)**