



OFFICIAL USE

Notice by Financial Institutions of Termination of Activities as a Government Securities Broker or Government Securities Dealer—Form G-FINW

This notice is required by law (15 U.S.C. §§ 78o-5(a)(1)(b)).

An agency 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.

1. Appropriate regulatory agency (check one):

A. ☐ Comptroller of the Currency

B. ☐ Board of Governors of the Federal Reserve System

C. ☐ Federal Deposit Insurance Corporation

D. ☐ Securities and Exchange Commission

2. A. Full name of the financial institution: _____

B. Address of principal office of financial institution: _____

C. Mailing address if different from B: _____

Address

Address

City

State

Zip Code

City

State

Zip Code

3. Furnish the name and address of the person who has or will have custody or possession of the financial institution's books and records with respect to the financial institution's activities as a government securities broker or government securities dealer:

Full Name

Address

City

State

Zip Code

4. Furnish the address of the place where such books and records will be located:

Address

City

State

Zip Code

5. ***The financial institution submitting this notice of termination of activities and the person executing it represent that all of the information contained herein is true, current, and complete.***

Please print name and title of person executing this notice:

Name (First, Middle, Last)

Title

Signature

Date

For further information on the requirements to file this notice, please refer to the instructions.

Termination of Activities as a Government Securities Broker or Government Securities Dealer G-FINW

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 the number of copies of this notice as required by its ARA, a copy of which will be sent by the ARA to the SEC. 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. 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. Retain one exact copy for your records for at least three years.