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. §§ 780-4, 78g, 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, ent	er "N/A")
2. Capacity (check all that apply):		3.	Social Security Number (optional):		
Municipal Securities	overnment Securities				
4. Bank Municipal Securities Deale	er:	5.	Office of Employme	nt Address:	
A.					
A. Name			Street Address		
В.					
Registration Number			City	State	Zip Code
C.		6.	Date Terminated:		
Main Street Address					
City State	e Zip Code		Month/Day/Year		
7. Reason for Termination (check of	one):				
Resigned* Discharged*		ther*			
<b>o o</b>			la violation of bonking	a ar agguritiga la	
*Furnish full details on attached	Sheet II related to a viola	allon or probab	ie violation of banking	y or securilies la	W.
disqualification, or disciplinary a Securities Exchange Act of 1934	4) described in Rules G-4				
9. To be filed with the following (ch	eck one):				
Board of Governors of the F	ederal Reserve System	Federal D	eposit Insurance Cor	poration	Comptroller of the Currency
Acceptance of this form for filing shall Intentional misstatements or omission					
Print Name of Municipal Securities Principal	Signa	ture of Municipal S	Securities Principal		Date (MM/DD/YYYY)
Person to contact for further inform	ation:				
	Name				
	Street Address				
	City	State	Zip Coo	de	
	- /		O		
	Area Code / Phone Nu	Imber			

# 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