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:

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.