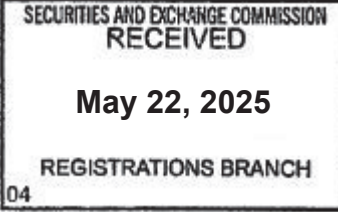


# Notice of Government Securities Broker or Government Securities Dealer Activities to be Filed by a Financial Institution under Section 15C(a)(1)(B) of the Securities Exchange Act of 1934



1. Check appropriate regulatory agency (ARA):

- 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. Conducts business as:

- A.  Government Securities Broker
- B.  Government Securities Dealer
- C.  Government Securities Broker and Dealer

3. Filing status of notice:

- A.  Notice
- B.  Amendment

4. A. Full name of the financial institution FHN Financial Capital Markets



25007214

B. Address of principal office of financial institution:

1000 Ridgeway Loop, Suite 200  
 Address  
Memphis TN 38120  
 City State Zip Code

C. Address of principal office where government securities broker or government securities dealer activities will be conducted (if different from item (B)):

Same  
 Address  
 \_\_\_\_\_  
 City State Zip Code

D. Mailing address if different from (B) or (C):

Same  
 Address  
 \_\_\_\_\_  
 City State Zip Code

E. Name, title, and telephone number of contact person with respect to this notice:

Penny Michael SVP, Head of Compliance 901-435-8645  
 Name Title Area Code / Phone Number

5. Does financial institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above? A.  Yes B.  No

(If yes, provide addresses and describe activities.)

See Attached List

Address	City	State	Zip Code	Describe Activities

6. Furnish the name and title of each person who is directly engaged in the management, direction, or supervision of any of the financial institution's government securities broker or government securities dealer activities:

Full Name

[See Attached List](#)

\_\_\_\_\_  
Last / First / Middle

\_\_\_\_\_  
Title

\_\_\_\_\_  
Last / First / Middle

\_\_\_\_\_  
Title

\_\_\_\_\_  
Last / First / Middle

\_\_\_\_\_  
Title

\_\_\_\_\_  
Last / First / Middle

\_\_\_\_\_  
Title

\_\_\_\_\_  
Last / First / Middle

\_\_\_\_\_  
Title

**NOTE: Attach a separate Form G-FIN-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in item 6.**

7. Has any "associated person" (see definition in paragraph A.7. of the instructions) responded "yes" to any question in Item 16 of Form G-FIN-4, or "yes" to one or more questions in Items 20 through 25 of Form MSD-4 on Page 22 of Form U-4?

A.  Yes    B.  No

**NOTE: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. (See 17 C.F.R. § 400.4(c)). Similar requirements are applicable to Form MSD-4 and Form U-4.**

8. ***The financial institution submitting this notice 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:

[Penny Elaine Michael](#)

\_\_\_\_\_  
Name (First, Middle, Last)

[SVP, Head of Compliance](#)

\_\_\_\_\_  
Title  
**Penny Michael**

Digitally signed by Penny Michael  
Date: 2025.05.21 10:47:56 -05'00'

05/21/2025

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**FHN FINANCIAL CAPITAL MARKETS G-FIN AMENDMENT**

**May 21, 2025**

**#5 Additional Locations**

**All offices below conduct government securities broker/dealer activities. They also transact business in municipals, CD's, mortgages, government guaranteed loans and securities, and money market instruments.**

500 West Madison Street, Suite 1705  
Chicago, IL 60661

Sterling Plaza  
5949 Sherry Lane, Suite 1470  
Dallas, TX 75225

Lighton Tower  
7500 College Blvd, Suite 1170  
Overland Park, KS 66210

One St. Louis Centre, Suite 3000  
Mobile, AL 36602

444 Madison Avenue  
9<sup>th</sup> Floor  
New York, NY 10022

3344 Peachtree Road  
Suite 2125  
Atlanta, GA 30326

33 Queens Street  
Suite 302  
Syosset, NY 11791

4 Embarcadero Center  
Suite 1456  
San Francisco, CA 94111

201 E Las Boulevard  
Suite 1120  
Ft. Lauderdale, FL 33301

3333 Warrenville Road  
Suite 760  
Lisle, IL 60532

211 Franklin Road  
Suite 300  
Brentwood, TN 37027

920 Memorial City Way  
11<sup>th</sup> Floor  
Houston, TX 77024

401 RR 620 South  
Suite 350  
Austin, TX 78734

6500 River Place Blvd  
Building 7, Suite 250  
Austin, TX

900 South Shackelford Road  
Suite 300  
Little Rock, AR 72211

***4725 Piedmont Row Drive  
Suite 400  
Charlotte, NC 28210***

***Closed effective 5/19/2025***

250 E Hartsdale Ave  
Suite 25  
Hartsdale, NY 10530

303 Wyman Street  
Suite 300  
Waltham, MA 02451

12805 US Hwy 98 East Building B  
Suite B201  
Inlet Beach, FL 32461

Two Radnor Corporate Center  
100 Matsonford Road, Suite 120  
Radnor, PA 19087

320 Boston Post Road  
Suite 260  
Darien, CT 06820

10 Madison Ave  
3<sup>rd</sup> Floor  
Morristown, NJ 07960

15169 N. Scottsdale Road  
Scottsdale, AZ 85254

2150 Goodlette Road North  
Office #4401  
Naples, FL 34103

8044 Montgomery Road  
Suite 700  
Cincinnati, OH 45236

**#6 Management, Direction, or Supervision**

<b><u>Name</u></b>	<b><u>Title</u></b>
Tim Romanow	President
Jeff Jackson	Trading Manager/Wholesale Markets
Mark Griffin	Risk Control Manager
Steve Twersky	Depository Platform Manager
Abigail Urtz Vetoulis	Product Strategies Manager
John Cantrell	Head of Portfolio Strategies
Jamie Augustine	Head of Business Development
Bill Buck	Operations Manager
Mike Waddell	Chief Operating & Financial Officer
Michael Allen	Municipal Trading and Underwriting
Ajay Thomas	Head of Public Finance
Tim Thornton	Sales Manager
Jack Rosell	Co-Head Sales Manager
Heather MacGregor	Sales Manager
Tyler Williamson	Sales Manager
Andy Kilpatrick	Sales Manager
Ward Collier	Co-Head Sales Manager
John Feery	Branch Manager
Kevin Clyne	Branch Manager
Penny Michael	Head of Compliance
Candice Stutzman	AML/BSA Compliance Officer