

FORMULA FOR DETERMINING A REPORTABLE POSITION—Continued

[\$ Amounts in millions at par value as of trade date]

(Fails to receive less fails to deliver. If equal to or less than zero, report 0.)	
4. Total Reportable Position	= \$ _____
Memorandum 1:	
Report the total gross par amounts of securities delivered through	
Repurchase Agreements	
Overnight and Open	\$ _____
Term	\$ _____
Securities loaned, and as collateral for financial derivatives and other securities transactions ..	\$ _____
Total Memorandum 1	\$ _____
Memorandum 2:	
Report the gross par amount of fails to deliver. Included in the calculation of line item 3 (Net Fails Position)	\$ _____

[67 FR 77415, Dec. 18, 2002; 68 FR 402, Jan. 3, 2003]

SOURCE: 52 FR 27956, July 24, 1987, unless otherwise noted.

PART 449—FORMS, SECTION 15C OF THE SECURITIES EXCHANGE ACT OF 1934

§ 449.1 Form G-FIN, notification by financial institutions of status as government securities broker or dealer pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934.

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- 449.1 Form G-FIN, notification by financial institutions of status as government securities broker or dealer pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934.
- 449.2 Form G-FINW, notification by financial institutions of cessation of status as government securities broker or dealer pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934 and § 400.6 of this chapter.
- 449.3 Form G-FIN-4, notification by persons associated with financial institutions that are government securities brokers and dealers pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934 and § 400.4 of this chapter.
- 449.4 Form G-FIN-5, notification of termination of association with a financial institution that is a government securities broker or dealer pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934 and § 400.4 of this chapter.
- 449.5 Form G-405, information required of registered government securities brokers and dealers pursuant to section 15C of the Securities Exchange Act of 1934 and §§ 405.2 and 405.3 of this chapter.

This form is to be used by financial institutions that are government securities brokers or dealers not exempt under part 401 of this chapter to notify their appropriate regulatory agency of their status. The form is promulgated by the Board of Governors of the Federal Reserve System and is available from the Board of Governors of the Federal Reserve System, the Comptroller of the Currency, the Federal Deposit Insurance Corporation, the Director of the Office of Thrift Supervision and the SEC.

§ 449.2 Form G-FINW, notification by financial institutions of cessation of status as government securities broker or dealer pursuant to section 15C(a)(1)(B)(i) of the Securities Exchange Act of 1934 and § 400.6 of this chapter.

This form is to be used by financial institutions that are government securities brokers or dealers to notify their appropriate regulatory agency that they have ceased to function as a government securities broker or dealer.

AUTHORITY: 15 U.S.C. 78o-5(a), (b)(1)(B), (b)(4).