

# Storyboard

## Form A-12

### Registration Category

#### New Registration

Select One
Broker-Dealer Only
Municipal Securities Dealer ( <i>e.g.</i> , Bank Dealer) Only
Municipal Advisor Only
Broker-Dealer and Municipal Advisor
Municipal Securities Dealer and Municipal Advisor

#### Update Registration

Select One
Broker-Dealer Only
Municipal Securities Dealer ( <i>e.g.</i> , Bank Dealer) Only
Municipal Advisor Only
Broker-Dealer and Municipal Advisor
Municipal Securities Dealer and Municipal Advisor
None – Withdraw all registrations

Please specify reason for withdrawal if involuntary

### General Firm Information

#### FIRM IDENTIFIERS

Firm Name:*	<input type="text"/>		
Dealer SEC ID:*	<input type="text"/>	Municipal Advisor SEC ID:*	<input type="text"/>
CRD Number:*	<input type="text"/>	Legal Entity Identifier:	<input type="text"/>

#### WRITTEN NOTICE TO SECURITIES ASSOCIATION OR REGULATORY AGENCY

Upload a Document (PDF):\*  [Upload](#)

#### BUSINESS INFORMATION

Firm Address:*	<input type="text"/>		
City:*	<input type="text"/>	State:*	<input type="text"/>
		Zip:*	<input type="text"/>
Firm Website:	<input type="text"/>		

#### FORM OF ORGANIZATION

Choose the appropriate organization type from the list provided and indicate the city and state in which it is organized, incorporated, or established.

Organization Type:*	Select One
	Corporation
	Sole Proprietorship
	Limited Liability Partnership (LLP)
	Partnership
	Limited Liability Company (LLC)
	Limited Partnership
	Other (specify): _____

City:*	<input type="text"/>	State:*	<input type="text"/>
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# Business Activities

## Broker/Dealer - MFS

Select all that apply:

- 529 Plan Underwriting
- 529 Plan Sales
- Local Government Investment Pool Distributor/Sales
- Other (specify):

## Broker/Dealer – Other

Select all that apply:

- Underwriting
- Clear and settle transactions as an NSCC participant
- Alternative Trading System
- Remarket VRDOs
- ARS Program Dealer
- Research
- Engage in other activities that require registration (Specify):

## Broker/Dealer – Sales/Trading

Select all that apply:

- Retail Sales
- Institutional Sales
- Trading - Proprietary
- Trading - Inter-Dealer
- Broker's Broker Activities
- Online Brokerage

## Municipal Advisor

Select all that apply:

- Issuance Advice
- Guaranteed Investment Contracts Advice
- Investment Advice - Proceeds of Municipal Securities
- Investment Advice - Funds of Municipal Entity
- Municipal Escrow Investment Advice
- Municipal Escrow Investment Brokerage
- Municipal Derivatives Advice
- Solicitation of Business - Investment Advisory
- Solicitation of Business - Other than Investment Advisory
- Municipal Advisor/Underwriter Selection Advice
- Other (specify):

# Contact Information

## Add Contact

Name\*

Title

Email Address\*

Confirm Email Address\*

Address\*

City\*  State\*

Zip\*

Phone\*  -  -

## Required Contacts

Master Account Administrator: \_\_\_\_\_

Primary Regulatory Contact: \_\_\_\_\_

Billing Contact: \_\_\_\_\_

Compliance Contact: \_\_\_\_\_

Primary Data Quality Contact: \_\_\_\_\_

## Optional Contacts

Optional Regulatory Contact: \_\_\_\_\_

Optional Data Quality Contact: \_\_\_\_\_

Optional Technical Contact: \_\_\_\_\_

# Trade Reporting

Exempt from reporting trades under MSRB Rule G-14(b)(v)

## Trade Reporting Identifiers

### Executing Broker Symbols (EBS) assigned by NASDAQ

#### Executing Broker Symbol

EBS:

#### Receive error or transaction status feedback by email

Email:

### Participant ID assigned to your company by NSCC

#### Participant Identifier

Participant ID:

#### Receive error or transaction status feedback by email

Email:

## Submission and Feedback

### Identify the manner in which transactions will be reported

- Report own trades using message-based trade portal operated by National Securities Clearing Corporation (NSCC) and RTTM Web
- Trades will be reported by another dealer acting as agent  

Organization Name	EBS	Participant ID
<input type="text"/>	<input type="text"/>	<input type="text"/>
- RTRS Web only

### Method of receiving error feedback

- Email** - Review trade status emails sent to the email address(es) identified in the Trade Reporting Identifiers section
- Process MT509 messages containing trade status information (Note: DTCC participants only)
- RTRS Web** - Review trade status information using RTRS Web

(Form to be deleted in its entirety)



**MSRB Registration - Organization Information**

Please provide your organization's details.

**Organization Name:\***

**Phone Number:\***  -  -  Ext.

**Fax Number:**  -  -

**Address 1:\***

**Address 2:**

**City:\***

**State:\***

**Zip:\***

**Country:**

\* required

Cancel

OK

### MSRB Registration - Add Organizational Types

Please indicate your organization type (you may choose more than one). Provide the corresponding SEC ID for each organization type identified. Broker-dealers must also provide their FINRA CRD number.

Please note that you are responsible for ensuring that the organization type(s) selected accurately reflect your organization's activities.

#### My organization type(s) are identified below:

##### My firm engages in municipal securities dealer activities:

**Municipal Securities Dealer**      SEC ID:       This organization is a bank dealer

##### My firm engages in municipal advisory activities:

**Municipal Advisor**      SEC ID:

### MSRB Registration - Add G-40 Primary Contact Information

Please provide contact details. If this information is the same as your organizational information, click 'Copy' to copy from your organizational details.

[Copy](#)

#### Primary Contact:

<b>First Name:*</b>	<input type="text" value="Test"/>
<b>Middle Name:</b>	<input type="text"/>
<b>Last Name:*</b>	<input type="text" value="Primary"/>
<b>Name Suffix:</b>	<input type="text"/>
<b>Email Address:*</b>	<input type="text" value="a@a.com"/>
<b>Confirm Email:*</b>	<input type="text" value="a@a.com"/>
<b>Phone Number:*</b>	<input type="text" value="111"/> - <input type="text" value="111"/> - <input type="text" value="1111"/> Ext. <input type="text" value="1111"/>
<b>Address1:*</b>	<input type="text" value="111 abc st"/>
<b>Address2:</b>	<input type="text"/>
<b>City:*</b>	<input type="text" value="abcdef"/>
<b>State:*</b>	<input type="text" value="va"/>
<b>Zip:*</b>	<input type="text" value="11111"/>
<b>Country:</b>	<input type="text"/>

\*required

[Cancel](#)

[Previous](#)

[OK](#)

### MSRB Registration - Add G-40 Optional Contact Information

Please provide contact details. If this information is the same as your primary contact information, click 'Copy' to copy from your primary contact details. You may also click 'Skip' if your organization does not wish to have an optional contact at this time.

Copy

#### Optional Contact:

<b>First Name:*</b>	<input type="text" value="Test"/>
<b>Middle Name:</b>	<input type="text"/>
<b>Last Name:*</b>	<input type="text" value="Optional"/>
<b>Name Suffix:</b>	<input type="text"/>
<b>Email Address:*</b>	<input type="text" value="a@b.com"/>
<b>Confirm Email:*</b>	<input type="text" value="a@b.com"/>
<b>Phone Number:*</b>	<input type="text" value="111"/> - <input type="text" value="111"/> - <input type="text" value="1111"/> Ext. <input type="text" value="1111"/>
<b>Address1:*</b>	<input type="text" value="111 abc st"/>
<b>Address2:</b>	<input type="text"/>
<b>City:*</b>	<input type="text" value="abcd"/>
<b>State:*</b>	<input type="text" value="va"/>
<b>Zip:*</b>	<input type="text" value="11111"/>
<b>Country:</b>	<input type="text"/>

\*required

Cancel

Previous

OK

Remove Contact



### MSRB Registration - Add Billing Contact Information

Please describe your contact for billing purposes. All MSRB-registered entities must provide a billing contact. The email address provided will be used to electronically deliver invoices and statements to your firm. You must update this information if it changes. If none of these apply, or you do not know your billing contact information, you may click 'Skip Contact' to proceed to the next screen.

If this information is the same as your primary or optional contact information, select "Use G-40 Primary Contact" or "Use G-40 Optional Contact." Otherwise, select "New Contact" Remember, if you select the primary or optional contact information, the email address associated with the contact selected will be used to electronically deliver invoices and statements to you.

Use G-40 Primary Contact  Use G-40 Optional Contact  New Contact

Click "OK" to submit any changes.

#### Billing Contact:

<b>First Name:*</b>	<input type="text" value="Test"/>
<b>Middle Name:</b>	<input type="text"/>
<b>Last Name:*</b>	<input type="text" value="Billing"/>
<b>Name Suffix:</b>	<input type="text"/>
<b>Email Address:*</b>	<input type="text" value="a@a.com"/>
<b>Confirm Email:*</b>	<input type="text" value="a@a.com"/>
<b>Phone Number:*</b>	<input type="text" value="111"/> - <input type="text" value="111"/> - <input type="text" value="1111"/> Ext. <input type="text" value="1111"/>
<b>Address1:*</b>	<input type="text" value="111 abc st"/>
<b>Address2:</b>	<input type="text"/>
<b>City:*</b>	<input type="text" value="abcdef"/>
<b>State:*</b>	<input type="text" value="va"/>
<b>Zip:*</b>	<input type="text" value="11111"/>
<b>Country:</b>	<input type="text"/>

\*required

Cancel

Previous

OK

Skip Contact

### MSRB Registration - Organization Summary

To accept this information and complete your submission, please click the "Confirm" button below.

#### Organizational Details: [Edit](#)

**Organization Name:** Test  
**Phone Number:** 111 - 111 - 1111 **Ext.** 11111  
**Fax Number:**  
**Address 1:** 111 abc st  
**Address 2:**  
**City:** abcd  
**State:** av  
**Zip:** 11111  
**Country:**

#### Organizational Type(s): [Edit](#)

1. Bank-dealer  
**Bank-dealer SEC ID:** 86-11111

#### G-40 Primary Contact: [Edit](#)

**First Name:** Test  
**Middle Name:**  
**Last Name:** Primary  
**Name Suffix:**  
**Email Address:** a@a.com  
**Phone Number:** 111 - 111 - 1111 **Ext.** 11111  
**Address1:** 111 abc st  
**Address2:**  
**City:** abcdef  
**State:** va  
**Zip:** 11111  
**Country:**  
 **The primary contact information is correct.**

#### G-40 Optional Contact: [Edit](#)

**First Name:** Test  
**Middle Name:**  
**Last Name:** Optional  
**Name Suffix:**  
**Email Address:** a@b.com  
**Phone Number:** 111 - 111 - 1111 **Ext.** 11111  
**Address1:** 111 abc st  
**Address2:**  
**City:** abcd  
**State:** va  
**Zip:** 11111  
**Country:**

#### Billing Contact: [Edit](#)

**First Name:** Test  
**Middle Name:**  
**Last Name:** Billing  
**Name Suffix:**  
**Email Address:** a@a.com  
**Phone Number:** 111 - 111 - 1111 **Ext.** 11111  
**Address1:** 111 abc st  
**Address2:**  
**City:** abcdef  
**State:** va  
**Zip:** 11111  
**Country:**

Cancel

Previous

Confirm

### MSRB Registration - Submitter Information

Please provide the name, title and telephone number of the person who prepared this form.

**First Name:\***   
**Middle Name:**   
**Last Name:\***   
**Name Suffix:**   
**Title:\***   
**Phone Number:\*** ( )  -   
**Phone Extension:**

\* required

[Cancel](#) [Previous](#) [Submit](#)

### **Congratulations, you have successfully submitted your firm's registration to the MSRB. Your MSRB Registration Number (MSRB ID) is B0509 (Your registration is pending)**

Your bank-dealer registration is pending SEC ID verification and payment of applicable registration fees.

Please print a copy of the registration summary as proof of registration:

[Registration Summary](#)

Very shortly you will receive an email acknowledging receipt of your submission.

[Exit](#)

### MSRB Registration - Printable Summary

Print

Close

MSRB records include the following registration information for your organization as of 12/23/2013 3:32:00 PM Eastern

#### Organizational Details:

**Organization Name:**Test  
**MSRB ID:**B0509  
**Phone Number:**111 - 111 - 1111 Ext. 11111  
**Fax Number:**  
**Address 1:**111 abc st  
**Address 2:**  
**City:**abcd  
**State:**av  
**Zip:**11111  
**Country:**

#### Organizational Type(s):

1. Bank-Dealer - Status: Pending

**Bank-Dealer SEC ID:**86-11111

#### G-40 Primary Contact:

**First Name:**Test  
**Middle Name:**  
**Last Name:**Primary  
**Name Suffix:**  
**Email:**a@a.com  
**Address:**  
**Phone:**111 - 111 - 1111 Ext.  
**Number:**11111  
**Address1:**111 abc st  
**Address2:**  
**City:**abcdef  
**State:**va  
**Zip:**11111  
**Country:**

#### G-40 Optional Contact:

**First Name:**Test  
**Middle Name:**  
**Last Name:**Optional  
**Name Suffix:**  
**Email:**a@b.com  
**Address:**  
**Phone:**111 - 111 - 1111 Ext.  
**Number:**11111  
**Address1:**111 abc st  
**Address2:**  
**City:**abcd  
**State:**va  
**Zip:**11111  
**Country:**

#### Billing Contact:

**First Name:**Test  
**Middle Name:**  
**Last Name:**Billing  
**Name Suffix:**  
**Email:**a@a.com  
**Address:**  
**Phone:**111 - 111 - 1111 Ext.  
**Number:**11111  
**Address1:**111 abc st  
**Address2:**  
**City:**abcdef  
**State:**va  
**Zip:**11111  
**Country:**

# MSRB Form RTRS

(Form to be deleted in its entirety)



## MSRB Registration Form RTRS

**Form RTRS is required under Rule G-14(b)(iv) and shall be kept current by notifying the MSRB when any contact or other information provided on the form changes. Complete the Business Activities section first, as other sections may not be required for certain activities.**

### Step 1

#### Business Activities

Information provided about business activities assists with the proper processing of Form RTRS. Dealers that are not effecting trades subject to Rule G-14 are exempt from most sections of Form RTRS.

[View / Edit](#)

#### Trade Reporting Identifiers

Identifiers assigned to dealers by NASDAQ and NSCC are used in the processing of trade reports in RTRS. Trades cannot be reported without having a valid identifier registered with the MSRB.

[View / Edit](#)

#### Designated Contacts

Each dealer reporting trades to RTRS is required to designate an individual the MSRB may contact in the event of a question about a trade report. Additional optional contacts may also be designated.

[View / Edit](#)

#### Submission and Feedback

Submission information describes the manner in which transactions will be reported, including the identity of any intermediary dealer to be used as a submitter. Feedback information identifies the method to be used for reviewing and responding to trade status and error code information.

[View / Edit](#)

### Preview previously submitted Form RTRS

You may wish to review your existing form information with other staff prior to submitting the new form. A printable version of the current information is available [here](#).

### Related Links

- [Rule G-14](#)
- [RTRS User Manual](#)
- [Gateway Manual](#)

### Step 2

[Preview Updates](#) [Cancel](#)

## MSRB Registration Form RTRS

Last updated: 12/23/2013 4:42:41 PM

### Business Activities

Information provided about business activities assists with the proper processing of Form RTRS. Dealers that are not effecting trades subject to Rule G-14 are exempt from most sections of Form RTRS.

#### Select all that apply:

**Effect purchase and sale transactions in municipal securities**

Purchase and sale transactions include reportable transactions subject to MSRB Rule G-14, including both customer and inter-dealer transactions. Transactions in municipal fund securities are not included.

**Clear and settle transactions as an NSCC participant**

My company submits to a registered clearing agency information and instructions required by the registered clearing agency for automated comparison of transactions as required by MSRB Rule G-12. Do not select if another dealer submits comparison information on your behalf.

**Act as broker's broker**

As defined in MSRB Rule G-43, "broker's broker" means a dealer, or a separately operated and supervised division or unit of a dealer, that principally effects transactions for other dealers or that holds itself out as a broker's broker. A broker's broker may be a separate company or part of a larger company.

**Market municipal fund securities**

Engage in the marketing of securities issued by an issuer that, but for the application of Section 2(b) of the Investment Company Act of 1940, would constitute an investment company within the meaning of Section 3 of the Investment Company Act of 1940. Municipal fund transactions are exempt from RTRS reporting.

**Engage in other non-reportable activities**

Engage in underwriting, financial advisory, investment advice or other activities that require MSRB registration and are not identified in a category above.

#### Related Links

[Rule G-14](#)

[RTRS User Manual](#)

[Gateway Manual](#)

[Update](#)

[Cancel](#)

## MSRB Registration Form RTRS

Last updated: 12/23/2013 4:46:49 PM

### Trade Reporting Identifiers

Identifiers assigned to dealers by NASDAQ and NSCC are used in the processing of trade reports in RTRS. Trades cannot be reported without having a valid identifier registered with the MSRB.

#### Effecting Broker Symbols (EBS) assigned by NASDAQ

EBS	Broker's Broker	Email	Action
JONX	No	TESTUSER@MSRB.ORG	<a href="#">Edit</a> <a href="#">Remove</a>
ERQE	Yes	TESTUSER@MSRB.ORG	<a href="#">Edit</a> <a href="#">Remove</a>

[+ Add New Symbol](#)

#### Participant ID assigned to your company by NSCC

Participant	Email	Action
2423	TESTUSER@MSRB.ORG	<a href="#">Edit</a> <a href="#">Remove</a>

[+ Add New Identifier](#)

[Update](#)

[Cancel](#)

#### Related Links

[Rule G-14](#)  
[RTRS User Manual](#)  
[Gateway Manual](#)

#### About EBSs

All brokers, dealers and municipal securities dealers must have an effecting broker symbol. If your company does not currently have an effecting broker symbol, call NASDAQ Subscriber Services at (800) 777-5606 and explain that you need a symbol for reporting municipal securities.

**MSRB Registration Form RTRS**

Last updated: 12/23/2013 4:47:01 PM

**Designated Contacts**

Each dealer reporting trades to RTRS must designate an individual who the MSRB may contact if questions arise about the quality of the data being submitted. Additional data quality contact and technical contact are optional.

Contact  Role  [Assign](#)

**Trade Data Quality - Primary:** Individual to be contacted in the event the MSRB has a question about the data contained in a trade report. (Mandatory, if dealer is effecting trades.)

Name	Phone	Email	
MSRB TESTUSER	(111) 111-1111 Ext. 11111	TESTUSER@MSRB.ORG	<a href="#">Details</a>

---

**Trade Data Quality - Secondary:** Individual to be contacted in the event the Primary Data Quality Contact is unavailable. (Optional)

Name	Phone	Email	
MSRB TESTUSER	(111) 111-1111 Ext. 11111	TESTUSER@MSRB.ORG	<a href="#">Details</a> <a href="#">Remove</a>

---

**Technical:** Individual to be contacted with regard to changes to or technical issues with the computer-to-computer messaging. (Optional)

Name	Phone	Email	
MSRB TESTUSER	(703) 797-6600	TESTUSER@MSRB.ORG	<a href="#">Details</a> <a href="#">Remove</a>

Update
[Cancel](#)

**Related Links**

- [Rule G-14](#)
- [RTRS User Manual](#)
- [Gateway Manual](#)



## MSRB Registration Form RTRS

Last updated: 12/23/2013 4:35:25 PM

### Submission and Feedback

Submission information describes the manner in which transactions will be reported, including the identity of any intermediary dealer to be used as a submitter. Feedback information identifies the method to be used for reviewing and responding to trade status and error code information.

#### Identify the manner in which transactions will be reported

All dealers can use RTRS Web to submit or update transaction information. In addition, dealers may report trades through one of the submission portals made available by NSCC or employ another dealer as agent. Choose all that apply:

- Report own trades using message-based trade portal operated by National Securities Clearing Corporation (NSCC) and RTTM Web
- Trades will be reported by another dealer acting as agent
- RTRS Web only

#### Method of receiving error feedback

Trade status information from RTRS indicating a problem or potential problem with reported trade data must be reviewed and addressed promptly to ensure that the information being disseminated by RTRS is as accurate and timely as possible. Choose all that apply (select at least one):

- Email - Review trade status emails sent to the email address(es) identified in the Trade Reporting Identifiers section
- Messaging - Process MT509 messages containing trade status information (Note: DTCC participants only)
- RTRS Web - Review trade status information using RTRS Web

[Update](#)

[Cancel](#)

#### Related Links

[Rule G-14](#)  
[RTRS User Manual](#)  
[Gateway Manual](#)

### MSRB Registration Form RTRS

By submitting this form, the submitter certifies that the information contained herein is accurate and complete. Please review your submission carefully before submitting.

Deferred Effective Date (Optional):



[Submit Form RTRS](#)

[Edit](#)

MSRB ID: **MSRB3**

Firm Name: **MSRB Test Org**

CRD Number: **8227654**

Status: **PENDING**

Submitter: **MSRB TESTUSER**

SEC ID: **8-444444**

#### Business Activities

- Effect purchase and sale transactions in municipal securities
- Clear and settle transactions as NSCC participant
- Act as broker's broker
- Market municipal fund securities
- Engage in other non-reportable activities

#### Trade Reporting Identifiers

##### Effecting Broker Symbols (EBS) provided by NASDAQ

EBS	Broker's Broker	Email
JONX	No	TESTUSER@MSRB.ORG
ERQE	Yes	TESTUSER@MSRB.ORG

##### Participant ID assigned to your company by NSCC

Participant	Email
2423	TESTUSER@MSRB.ORG

#### Designated Contacts

##### Trade Data Quality - Primary

Name	Phone	Email
MSRB TESTUSER	(111) 111-1111 Ext. 11111	TESTUSER@MSRB.ORG

##### Trade Data Quality - Secondary

Name	Phone	Email
MSRB TESTUSER	(111) 111-1111 Ext. 11111	TESTUSER@MSRB.ORG

##### Technical

Name	Phone	Email
MSRB TESTUSER	(703) 797-6600	TESTUSER@MSRB.ORG

#### Submission and Feedback

##### Submission Methods

- Report own trades using computer-to-computer connection to RTTM
- Trades will be reported by another dealer acting as agent
- RTRS Web only

##### Methods for receiving error feedback

- Email
- Messaging
- RTRS Web

## MSRB Registration Form RTRS

### Submission Confirmation

Your form has been submitted successfully. It is currently in **PENDING** status. If you need to make changes to the form, please contact MSRB Support at 703-797-6668.

To print a paper copy for your records, [click here](#).

[Return to Main Menu](#)

### MSRB Registration Form RTRS

[Print](#)

[Print PDF](#)

[Cancel](#)

MSRB ID: **MSRB3**

Firm Name: **MSRB Test Org**

CRD Number: **8227654**

Date Submitted: **12/23/2013 4:52:55 PM**

Status: **PENDING**

Submitter: **MSRB TESTUSER**

SEC ID: **8-444444**

#### Business Activities

- Effect purchase and sale transactions in municipal securities
- Clear and settle transactions as NSCC participant
- Act as broker's broker
- Market municipal fund securities
- Engage in other non-reportable activities

#### Trade Reporting Identifiers

##### Effecting Broker Symbols (EBS) provided by NASDAQ

EBS	Broker's Broker	Email
ERQE	Yes	TESTUSER@MSRB.ORG
JONX	No	TESTUSER@MSRB.ORG

##### Participant ID assigned to your company by NSCC

Participant	Email
2423	TESTUSER@MSRB.ORG

#### Designated Contacts

##### Trade Data Quality - Primary

Name	Phone	Email
MSRB TESTUSER	(111) 111-1111 Ext. 11111	testuser@msrb.org

##### Trade Data Quality - Secondary

Name	Phone	Email
MSRB TESTUSER	(111) 111-1111 Ext. 11111	testuser@msrb.org

##### Technical

Name	Phone	Email
MSRB TESTUSER	(703) 797-6600	TESTUSER@MSRB.ORG

#### Submission and Feedback

##### Submission Methods

- Report own trades using computer-to-computer connection to RTTM
- Trades will be reported by another dealer acting as agent
- RTRS Web only

##### Methods for receiving error feedback

- Email
- Messaging
- RTRS Web