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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.

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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.

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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.

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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.

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Related Links


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

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(Business Activity Section)



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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.


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- [Rule G-14](#)
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(Trade Reporting Identifiers Section)



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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	Email	Action
AAAA	a@a.com	Edit Remove

[+ Add New Symbol](#)

Participant ID assigned to your company by NSCC

No identifier on record.
[+ Add New Identifier](#)

[Cancel](#)

Related Links


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

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(Designated Contacts Section)

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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
Select Contact	Select At Least One	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	
JANE DOE	(222) 333-4444 Ext. 555	JDOE@DEALERXYZ.COM	Details

Trade Data Quality - Secondary: Individual to be contacted in the event the Primary Data Quality Contact is unavailable. (Optional)
No contact assigned.

Technical: Individual to be contacted with regard to changes to or technical issues with the computer-to-computer messaging. (Optional)
No contact assigned.


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(Submission and Feedback Section)



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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


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(Preview before submitting)

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MSRB Form RTRS Registration

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: **T0001** Firm Name: **Test Dealer** CRD Number:
Status: **PENDING** Submitter: **LEOS TESTER** SEC ID:

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	Email
AAAA	a@a.com

Participant ID assigned to your company by NSCC
No identifier on record.

Designated Contacts

Trade Data Quality - Primary

Name	Phone	Email
JANE DOE	(222) 333-4444 Ext. 555	JDOE@DEALERXYZ.COM

Trade Data Quality - Secondary
No contact assigned.

Technical
No contact assigned.

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

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(Confirmation screen after submitting)



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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](#).

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MSRB Registration Form RTRS

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Step 1

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Trade Reporting Identifiers

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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](#).

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(Preview subsequent form filing)


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MSRB Form RTRS Registration

MSRB ID: **T0001** Firm Name: **Test Dealer** CRD Number: As of Date: **2/28/2013 4:13:14 PM**

Status: PREVIEW Submitter: **LEOS TESTER** SEC ID:

Print
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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	Email	
AAAA	a@a.com	

Participant ID assigned to your company by NSCC

No identifier on record.

Designated Contacts

Trade Data Quality - Primary

Name	Phone	Email
JANE DOE	(222) 333-4444 Ext. 555	JDoe@DealerXYZ.com

Trade Data Quality - Secondary

No contact assigned.

Technical

No contact assigned.

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

Organization Name	EBS	Participant
Agent 1		
Agent co		
Another Test Dealer		
SAMPLE CO		

- RTRS Web only

Methods for receiving error feedback

- Email
- Messaging
- RTRS Web

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