Storyboard

Form A-12

Registration Category

New Registration

Select One

- Broker-Dealer Only
- Municipal Securities Dealer (*e.g.*, 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 (*e.g.*, 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:*

Dealer SEC ID:*

Municipal Advisor SEC ID:*

CRD Number:*

Legal Entity Identifier:

WRITTEN NOTICE TO SECURITIES ASSOCIATION OR REGULATORY AGENCY

Upload a Document (PDF):* Upload

BUSINESS INFORMATION

Firm Address:*

City:*

State:*

Zip:*

Firm Website:

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:*

State:*

***This storyboard does not reflect final user interface design.**

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 – Sales/Trading

Select all that apply:

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

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):

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):

***This storyboard does not reflect final user interface design.**

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: _____

***This storyboard does not reflect final user interface design.**

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

☐ 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

***This storyboard does not reflect final user interface design.**

MSRB Form G-40

(Form to be deleted in its entirety)

MSRB
Municipal Securities
Rulemaking Board

MSRB Home | Contact and Support

MSRB Registration - Organization Information

Please provide your organization's details.

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:

* required

Cancel OK

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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:** 86-11111 This organization is a bank dealer ☑

My firm engages in municipal advisory activities:

☐ **Municipal Advisor** **SEC ID:**

Cancel Previous OK

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:

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

***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:

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

***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:

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

***required**

Cancel | Previous | OK | Skip Contact

MSRB
Municipal Securities
Rulemaking Board

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

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MSRB Municipal Securities Rulemaking Board

MSRB Home | Contact and Support

MSRB Registration - Submitter Information

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

First Name:*	Test
Middle Name:	
Last Name:*	Submit
Name Suffix:	
Title:*	Tester
Phone Number:*	(111) 111 - 1111
Phone Extension:	1111

*** required**

Cancel | Previous | Submit

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MSRB Municipal Securities Rulemaking Board

MSRB Home | Contact and Support

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

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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 Address: a@a.com
Phone Number: 111 - 111 - 1111 Ext. 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 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:

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:

MSRB Form RTRS

(Form to be deleted in its entirety)

MSRB Municipal Securities Rulemaking Board

MSRB Home | Contact and Support

Logged in as ATESTER for MSRB3 Logout

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

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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.

Update Cancel

Related Links

Rule G-14
RTRS User Manual
Gateway Manual

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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	Edit Remove
ERQE	Yes	TESTUSER@MSRB.ORG	Edit Remove

+ Add New Symbol

Participant ID assigned to your company by NSCC

Participant	Email	Action
2423	TESTUSER@MSRB.ORG	Edit Remove

+ 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.

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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 Select Contact Role 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	
MSRB TESTUSER	(111) 111-1111 Ext. 11111	TESTUSER@MSRB.ORG	Details

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	Details	Remove

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	Details	Remove

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**
- [x] **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):

- [x] **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

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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

- [x] Effect purchase and sale transactions in municipal securities
- [ ] Clear and settle transactions as NSCC participant
- [x] 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
- [x] RTRS Web only

Methods for receiving error feedback

- [x] 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

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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

- [x] Effect purchase and sale transactions in municipal securities
- [ ] Clear and settle transactions as NSCC participant
- [x] 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
- [x] RTRS Web only

Methods for receiving error feedback

- [x] Email
- [ ] Messaging
- [ ] RTRS Web