


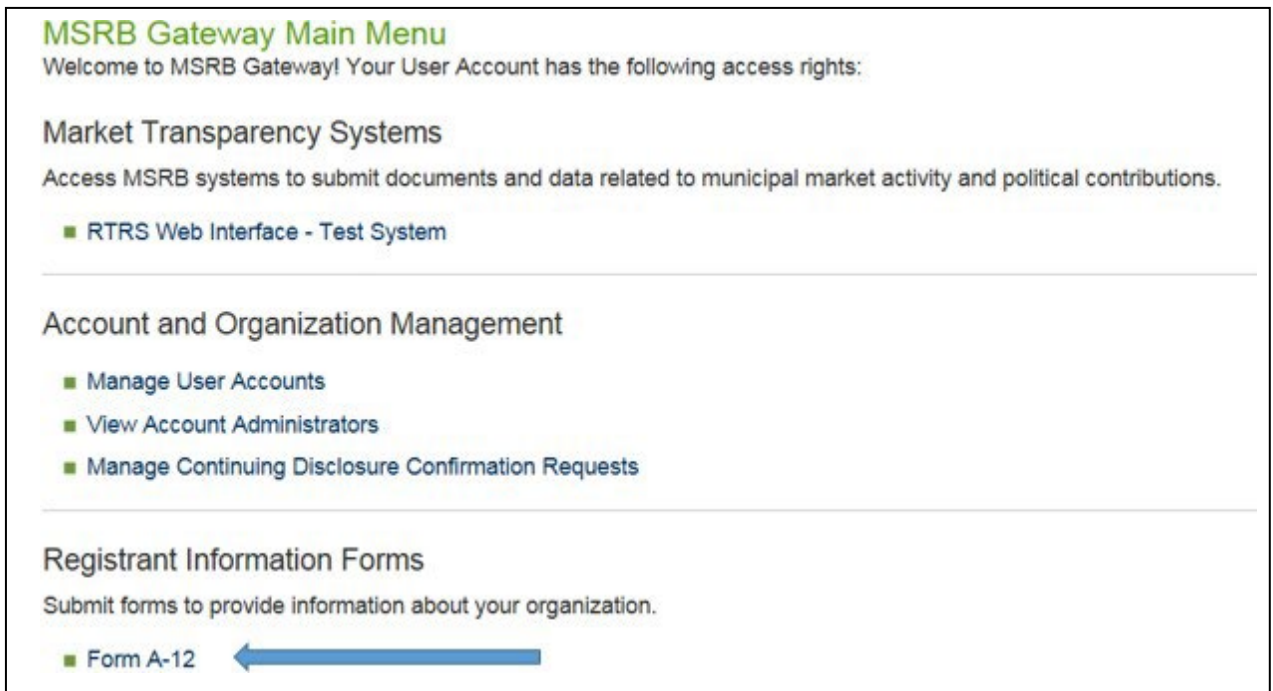
Quick Guide to Affirming Your MSRB Registration

Each January, MSRB registrants (municipal securities dealers and municipal advisors) must review, update as necessary, and affirm the MSRB registration information provided in Form A-12. [MSRB Rule A-12](#) provides that the annual affirmation period begins on January 1st and must be completed by January 31st of each calendar year. The MSRB and examining authorities use information provided in Form A-12 for regulatory purposes and to communicate important information to registrants.

The annual affirmation must be made by a firm's Primary Regulatory Contact, Optional Regulatory Contact or Compliance Contact. If information on Form A-12 is not current and accurate, Form A-12 must be amended to affirm.¹ If no changes are required, the affirmation can be made by submitting Form A-12 with no changes.

 To update or affirm your MSRB registration, follow the steps below:

1. From the MSRB Gateway main menu, expand the Registrant Information Forms option then click on **Form A-12**.



¹ Importantly, registrants have an on-going obligation to ensure that the information on Form A-12 is accurate. Pursuant to Rule A-12(k), registrants must update the information on Form A-12 within 30 days if any information therein becomes inaccurate or if the registrant ceases to be engaged municipal securities business or municipal advisory activities.

2. To enter the form, click on the **Proceed to Form A-12** button.

MSRB Registration: Form A-12

Update or Affirm Form A-12

Access your organization's existing form data to add or update registration information.

Proceed to Form A-12

Related Links

- [Registration Guidelines](#)
- [MSRB Registration Manual](#)
- [Gateway Manual](#)
- [MSRB Rule A-12](#)

To affirm your MSRB registration, begin with the **General Information** section.

MSRB Registration-Form A-12: General Firm Information

Please complete all required fields.

*Denotes required fields

FIRM/SOLE PROPRIETORSHIP IDENTIFIERS

Firm's Legal Name:*

Doing-Business-As (DBA) Name: ?

Dealer SEC ID:* 86- Municipal Advisor SEC ID:* - -

CRD Number: Legal Entity Identifier:

Are you a successor firm? If so, please provide prior SEC and MSRB identification number, as applicable.* ? Yes No

SEC ID:* - - MSRB ID:

DEALER DESIGNATED EXAMINING AUTHORITY

Dealer Designated Examining Authority:*

WRITTEN NOTICE TO FINRA OR BANK REGULATOR (FRB, OCC OR FDIC) AS APPLICABLE ?

Pursuant to Rule A-12, a dealer must notify its designated examining authority of its intent to engage in municipal securities and/or municipal advisory activities.

Name of point of contact who was notified at the firm's designated examining authority? ?

Form A-12 Sections


- [General Information](#)
- [Business Activities](#)
- [Contact Information](#)
- [Trade Reporting](#)

[Preview & Submit](#)


Related Links

- [Registration Guidelines](#)
- [MSRB Registration Manual](#)
- [Gateway Manual](#)
- [MSRB Rule A-12](#)

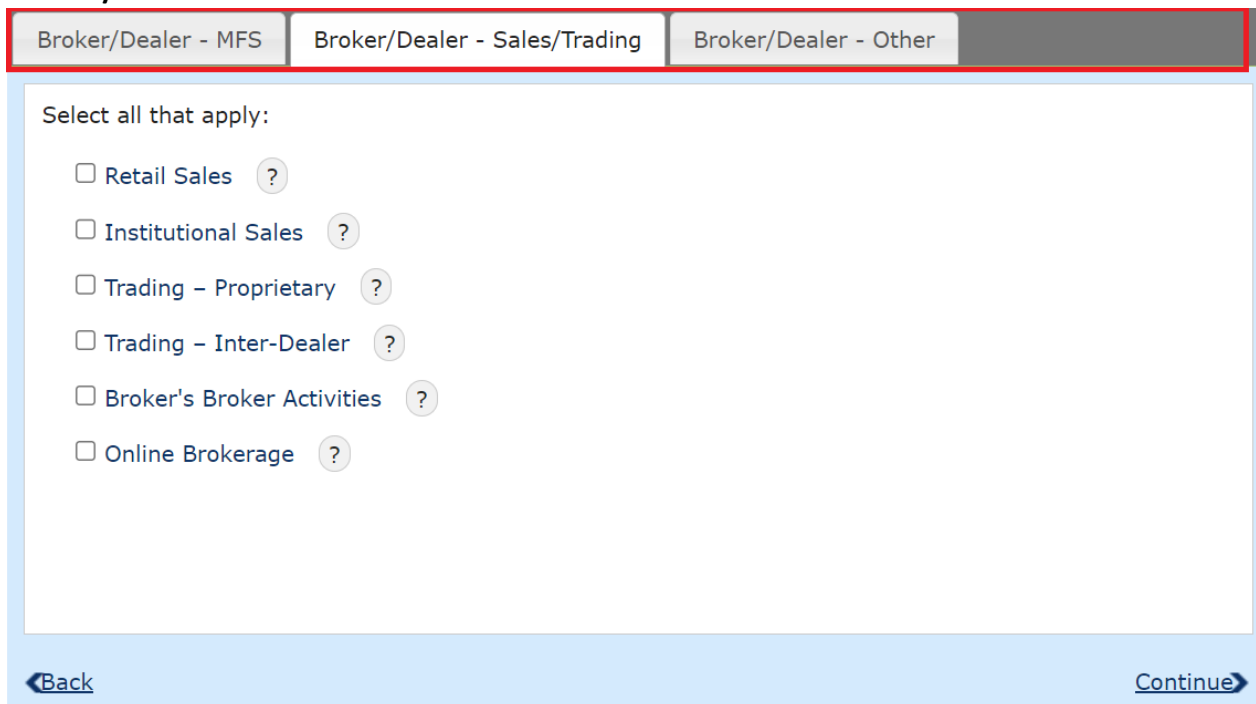
3. Verify that the information is correct. If updates are required, click on the appropriate field(s) to make the updates. Click **Continue** to proceed to the next section.

 You may be required to re-enter SEC numbers or other registration information that has been previously submitted if such information has changed since the form was last submitted.²

4. In the **Business Activities** section, verify that the information is correct. If updates are required, click on the appropriate field(s) to make the updates. Click **Continue** to proceed to the next section.







 You must navigate to each of the tabs in this section to affirm all the business activities engaged in by your firm.

Broker /Dealer Business Activities Tab



Broker/Dealer - MFS Broker/Dealer - Sales/Trading Broker/Dealer - Other

Select all that apply:

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

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² MSRB Rule A-12 was amended to require regulated entities to provide, as applicable, information on successor firms on Form A-12. More specifically, Form A-12 captures the required new succession information by including a question asking regulated entities to identify whether it is a successor firm and if yes, to provide the prior SEC and/or MSRB identification number(s) of the predecessor firm.


Municipal Advisor	Broker/Dealer - MFS	Broker/Dealer - Sales/Trading	Broker/Dealer - Other
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Select all that apply:

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

Municipal Advisor Business Activities Tab

- In the **Contact Information** section, verify that the information is correct. If updates are required, click on the appropriate field(s) to make the updates. Click **Continue** to proceed to the next section.

 You must navigate to the **Required Contacts** and the **Optional Contacts** tabs in this section to affirm your firm’s contact information. The designated Primary and Optional Regulatory Contacts may be the same individual but must be a principal of the firm authorized to receive official communications from the Board. Given this requirement, in the case of a broker, dealer, or municipal securities dealer (collectively, “dealer”), the designated dealer contact(s) must be qualified with the Municipal Securities Principal Qualification Examination (Series 53) or, if the dealer engages solely in municipal fund securities business, the Municipal Fund Securities Limited Principal Qualification Examination (Series 51). In the case of a municipal advisor, the designated contact(s) must be qualified with the Municipal Advisor Principal Qualification Examination (Series 54).

Required Contacts Optional Contacts

MSRB Rule A-12 requires the designation of certain contacts. Select an existing contact from the drop-down menu or add a new contact to assign to each role.

Jane Doe Mrs. ▾	Select Role ▾	Assign
+ New Contact	Select Role	
	Master Account Administrator	
	Primary Regulatory Contact	
	Billing Contact	
	Compliance Contact	
	Primary Data Quality Contact	

Master Account Administrator
No contact assigned.

Primary Regulatory Contact
No contact assigned.

Billing Contact
No contact assigned.

Compliance Contact
No contact assigned.

Primary Data Quality Contact
No contact assigned.

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6. In the **Trade Reporting** section, verify that the information is correct. If updates are required, click on the appropriate field(s) to make the updates. Click **Continue** to proceed to the next section.

 You must navigate to the **Trade Reporting Identifiers** and the **Submission and Feedback** tabs in this section to affirm trade reporting by your firm.



MSRB Registration-Form A-12: Trade Reporting

Information required in the trade reporting section is used to ensure that your trade reports can be processed correctly by the trade reporting program. Please check the box below if exempt from reporting trades.

The firm is exempt from trade reporting pursuant to Rule G-14(b).

Please provide information about the manner of reporting trades or specify if you are exempt from trade reporting.

Trade Reporting Identifiers | **Submission and Feedback**

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.

EXECUTING BROKER SYMBOL (EBS) ASSIGNED BY NASDAQ

No executing broker symbol (EBS) on record.

[+ Add New Symbol](#)

PARTICIPANT ID ASSIGNED TO YOUR COMPANY BY NSCC

No identifier on record.

[+ Add New Identifier](#)

Form A-12 Sections

- [1 General Information](#)
- [2 Business Activities](#)
- [3 Contact Information](#)
- [4 Trade Reporting](#)

[Preview & Submit](#)

Related Links

- [Registration Guidelines](#)
- [MSRB Registration Manual](#)
- [Gateway Manual](#)
- [MSRB Rule A-12](#)

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7. Once you have affirmed all of the sections in Form A-12, green checkmarks will appear next to each section indicating that they are completed. Click **Continue** to preview the form and submit it to the MSRB.



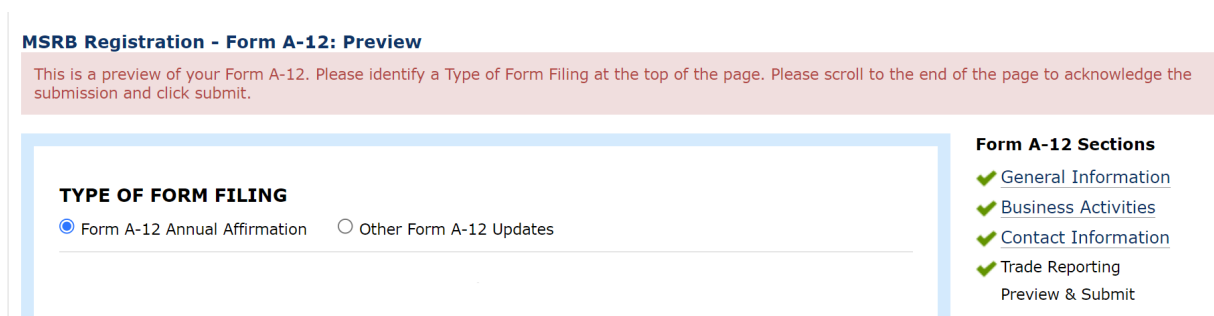
Form A-12 Sections

- ✓ [General Information](#)
- ✓ [Business Activities](#)
- ✓ [Contact Information](#)
- ✓ [Trade Reporting](#)
- [Preview & Submit](#)

8. You may also click **Preview & Submit** in the Form A-12 sections menu on the right to view the completed Form A-12.

 The affirmation can be submitted without making changes to information on Form A-12. However, Form A-12 should never be submitted when information is known to be inaccurate or incomplete.

9. Identify Annual Affirmation as your Type of Form Filing by selecting “**Form A-12 Annual Affirmation**” at the top of the **Preview & Submit** page. Selecting "Other Form A-12 Updates" is used to indicate that a change to Form A-12 is being made outside the annual affirmation period.



10. To complete the affirmation process, check the box at the bottom of the form next to “**I acknowledge that the information provided in this form is complete and accurate.**”

11. Click the **Submit** button to affirm your MSRB registration.



If the **Submission Confirmation** screen states that your affirmation is approved, you may print and retain it for your compliance records.

If the **Submission Confirmation** screen states that your submission is pending approval, the submission will require MSRB approval, and a screen shot cannot be used to show compliance. In these situations, an email will be sent to the Master Account Administrator , Primary Regulatory Contact , Optional Regulatory Contact, and Compliance Contact after approval. A copy of the email can be retained for your compliance records.

MSRB Registration- Form A-12

Submission Confirmation

Your Form A-12 has been received by the MSRB. The filing has been placed in a **PENDING** status while MSRB staff verify certain form information. If you believe there was an error on the form or have questions about the approval process, please contact MSRB Support at 202-838-1330.

To view your submitted Form A-12, [click here](#).

[Return to Gateway Menu](#)

Resources

- [MSRB Registration Manual](#)
- [Access your MSRB account through MSRB Gateway](#)
- [FAQs on MSRB Registration](#)
- [Instructions on how to reset your password](#) using your User ID
- [MSRB Rule A-12](#)