

Municipal Securities Rulemaking Board

MSRB Gateway Agent Invitation and Designation User Manual

Version 1.1 February 2009

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Revision History

Version	Date	Comments
1.1	November 2008	Initial Version
2.1	February 2009	Update Overview

1. OVERVIEW

The MSRB Gateway provides centralized, efficient, and secure access for all MSRB applications including the Real-time Transaction Reporting System (RTRS) and the Short-term Obligation Rate Transparency (SHORT) System. The MSRB Gateway also serves as the entry point for submitting primary market documents to the MSRB and required forms such as Forms G-40 and G-37.

MSRB assigns a master MSRB Gateway account to each MSRB-registered organization, which is to be administered by the company's master account administrator. Each company will control the administration of its master account and will be able to create and manage individual user accounts within the MSRB Gateway. Master account administrators can also appoint account administrators to assist with managing user profiles and account access rights. Instructions for user account management can be found in the "MSRB Gateway User Account Management User Manual."

Organizations can grant agents access to the MSRB Gateway for submitting documents or information to the MSRB on their on their behalf. Dealers can grant Gateway account access rights to agents to submit primary market documents in connection with the MSRB's Electronic Municipal Market Access (EMMA) system and to program dealers, remarketing agents, auction agents, and designated agents for submitting information to MSRB's SHORT system. Other types of organization can grant account access rights to other systems.

This User Manual describes instructions for agent invitations and designations.

2. AGENT DESIGNATION PROCESS

MSRB Gateway will allow dealers to designate third-party Agents to submit primary market documents to the MSRB on their behalf. Through MSRB Gateway, dealers will be able to send invitations to third-parties to act as designated Agents. MSRB Gateway will transmit these invitations by e-mail to the third parties, which can create their own accounts in MSRB Gateway if they are not already registered Agents. These third parties can then accept dealer invitations through MSRB Gateway.

Dealers will have the opportunity to electronically confirm designated Agents through MSRB Gateway before Agents begin making document submissions on behalf of dealers. Once confirmed by a dealer, a designated Agent can log into MSRB Gateway to make electronic submissions on behalf of the designating dealer. Although dealers will be able to begin the designation process immediately, designated Agents will only be able to make submissions of primary market documents to the MSRB on behalf of dealers when the MSRB's Electronic Municipal Market Access system ("EMMA") is launched. Dealers will be responsible in all aspects for actions taken by their designated Agents at any time.

It is important to remember that all actions taken on MSRB systems on behalf of your company by an Agent you have designated are the responsibility of your company. Therefore, care should be taken in designating Agents to act on your company's behalf. Additionally, an invitation to and acceptance by an Agent through MSRB Gateway is not intended to form the basis of a contract between your company and the Agent. It is your company's responsibility to ensure that your company and your Agent(s) have reached a mutual understanding of the scope of duties and the terms of your relationship.

3. WHO CAN DESIGNATE AGENTS?

To designate an Agent, you must be:

- a. <u>a Primary G-40 Contact</u> (who is also the Master Account Administrator for your firm), or
- b. you must have an "Agent Designation" account access right assigned to you by the Master Account Administrator or by the Account Administrator who is appointed by the Master Account Administrator

For information about MSRB Gateway user types and privileges, please refer to the MSRB Gateway User Account Management User Manual, which is accessible from the MSRB Gateway login page.

To designate an Agent or submit primary market documents on behalf of your company, follow the steps below.

4. ACCESS MSRB GATEWAY

To access MSRB Gateway, you must have a User ID and a Password. If you do not have a User ID, contact the MSRB via e-mail at <u>GatewaySupport@msrb.org</u> or call the Market Information Department at (703)797-6668.

5. LOG INTO MSRB GATEWAY

Go to <u>www.msrb.org</u> and click on "Login".



Terms and Conditions (Privacy Statement) Site Map (62010 Municipal Securities Rulemaking Board 1900 Duke Street, Suite 600, Alexandria, VA 22314 Enter your User ID and Password in MSRB Gateway and click on **"Login"**. If you are experiencing log-in problems, contact the MSRB via e-mail at <u>GatewaySupport@msrb.org</u> or call the Market Information Department at (703)797-6668.



6. INVITE A NEW AGENT

From the MSRB Gateway Main Menu, expand the "Account and Company Management" menu option, then select "Manage Agents".



If you have pending Agents who are awaiting approval or approved Agents who have been approved to submit documents on your behalf, you can view them from the Agent Management screen.

		MSRB Home Contact Us
III		
MSRB Municipal Securities Rulemaking Board	Welcome to MSRB Gateway	MSRB GATEWAY
		Logout
Agent Management		
You can designate Age systems on behalf of you act on your company's	nts to submit certain information to MSRB systems on your organization's behalf. <u>Please</u> ur company by an Agent you have designated shall be your company's responsibility. Ca behalf.	be advised that all actions taken on MSRB are should be taken in designating Agents to
Add a New Agent		
Pending Agent In	vitations (What's this?)	
There are currently n	o pending Agent invitations.	
Approved Agents	(What's this?)	
There are currently n	o agt ts that can submit on your behalf.	
Return to Accour	nt Management	
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View the list of approved and pending Agents to ensure that the prospective Agent was not already designated or invited by you. If the Agent does not appear under either list, select "Add a New Agent".

	-		► MSRB Home	Contact Us
	Municipal Securities Rulemäking Board	Welcome to MSRB Gateway	MSI GATI	RB EWAY
				<u>Loqout</u>
	Agent Management			
You can designate Agents to submit certain information to MSRB systems on your organization's behalf. <u>Please be advised that all actions take</u> systems on behalf of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designate act on your company's behalf. Add a New Agent				<u>n MSRB</u> Agents to
	Pending Agent In	vitations (What's this?) o pending Agent invitations.		
	Approved Agents (What's this?) There are currently no age to that can submit on your behalf.			
	Return to Account	nt Management		
		©2008 Municipal Securities Rulemaking Boa	ard. All Rights Reserved. Terms and Conditions of Use	

Search for the Agent using "**Organization Name**" or "**MSRB ID**" to see if an existing account already exists for the Agent; i.e. if the Agent was previously designated by another dealer. If the Agent search yields no results, or the Agent is not listed in the results section, click on "Add an Agent" to invite a prospective Agent.

-	► MSRB Home ► Contact Us
MSRB Minicipal Souries Rulenaking Board	way MSRB GATEWAY
Add a New Agent	Loor
To designate an Agent, you must first search to see if the Agent of your company by an Agent you have designated shall be y company's behalf.	ent has already registered. <u>Please be advised that all actions taken on MSRB systems on behalf</u> <u>our company's responsibility. Care should be taken in designating Agents to act on your</u>
Search by: Organization Name: SAMPLE or	The following agents have been found. If you are unable to find the correct Agent, refine your search criteria or select "Add an Agent" below. Showing (1 - 0) of 0
MSRBID: A1234 Search Reset	No results found.
	Ad an Agent
Back to Agent Management Return to Acco	unt Management

Enter the Agent's name and e-mail address and select the type of submission the Agent will make on your company's behalf, and then click on "**Send Invitation**".

-		► MSRB Home ► Contact Us
MSRB Municipal Securities Rulemaking Board	Welcome to MSRB Gateway	MSRB GATEWAY
		Logout
Agent Invitation - /	Add a New Agent	
an email invitation to re declined. <u>Please be ad</u> <u>responsibility. Care shu</u> Gateway is not intende company and your Ag	gister with the MSRB Gateway to make submissions on your behalf. You vised that all actions taken on MSRB systems on behalf of your company suld be taken in designating Agents to act on your company's behalf. An d to form the basis of a contract between your company and such Agent ent have reached a mutual understanding of the scope of duties and the to	ou will be notified by email if the invitation is accepted or y by an Agent you have designated shall be your company's invitation to and acceptance by an Agent through the MSRB t. It is your company's responsibility to ensure that your erms of your relationship.
Agent Company Name:*	SAMPLE CO	
Agent Email:*	Sample@sample.org	
Confirm Agent Email:*	Sample@sample.org	
Submission Type:*	SHORT System	
	EMMA - Primary Market Disclosure	
Send in station	Cancel Invitation	
Back to Agent List	Return to Account Management	

Once the invitation has been sent to the Agent, you will receive a confirmation screen with the prospective Agent's information displayed.



7. INVITE AN EXISTING AGENT

If the prospective Agent had previously been invited by another dealer, perform the following steps.

Search for the Agent using the "Organization Name" or "MSRB ID".

Add a New Agent

To designate an Agent, you must first search to see if the Agent has already registered. <u>Please be advised that all active</u> of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designated shall be your company's behalf.
Search by: Organization Name: Test Company or MSRB ID: Search Reset
Back to Agent Management Return to Account Management

If the search yields the appropriate result, click on your selection to extend an invitation to the Agent.

Add a New Agent To designate an Agent, you must first search to see if the Agent has already a of your company by an Agent you have designated shall be your company's company's behalf.	registered. <u>Please be advised that all actions tal</u> responsibility. Care should be taken in designa
Search by: Organization Name: Test Company or MSRB ID: Search Reset	The following agents have been found. correct Agent, refine your search criter below. Showing (1 - 1) of 1

Click on "Confirm Invitation" to extend an invitation to the Agent.

-		► MSRB Home ► C	ontact Us
Municipal S Rulemaking	Bearting Board Welcome to MSRB Gateway	MSR) GATE	B WAY
			<u>Loqout</u>
Agent Invitat	ion - Registered Agent		
You have chos prospective Ag	en to invite the Agent below to submit documents to the MSRB on your behalf. An invitation to serve as your Age ent. You will be notified by email if the invitation is accepted or declined.	nt will be sent to this	
Agent Name:	Test Company		
MSRB ID:	G0000A		
Phone Number:	(111) 111 - 1111		
Address:	1111 St.		
	Alexandria, US 12345		
	US		
Submission Typ	e: SHORT System		
Confirm Inv Back to Ag	EMMA - Rimary Market Disclosure itation Caveel Invitation		

You will receive a confirmation that an e-mail invitation was sent to the Agent.

111		MSRB Home Contact Us	
MSRB Municipal Secur Rulemaking Bo	Welcome to MSRB Gateway	MSRB GATEWAY	
		<u>Loqout</u>	
Agent Invitatio	n Confirmation		
An email invitation declined.	n to serve as your Agent has been sent to the following prospective Agent. You will be notified by email if the invita	tion is accepted or	
Agent Name:	Agent Name: Test Company		
MSRB ID:	B ID: G0000A		
Phone Number:	ione Number: (111) 111 - 1111		
Address:	1111 St.		
	Alexandria, US 12345		
	US		
Invitation sent on:	12/16/2008 2:40:15 PM		
Submission Type:	SHORT System		
Back to Age	ent Management Return to Account Management		

8. ACCEPT AN INVITATION

Following are the steps Agents will follow to accept or decline a dealer's invitation to submit primary market documents on the dealer's behalf.

Once a dealer extends an invitation to an Agent, the Agent will receive an e-mail with an option to accept or decline the invitation.

By following the first link in the e-mail, the Agent gets automatically forwarded to the Agent Invitation page and accepts the invitation by clicking on "**Continue**" or declines the invitation by clicking on "**Decline Invitation**".

Agent invitation The organization below has invited you to act as an Agent on its behalf to submit certain documents and information to the MSRB. Questions about this designation should be directed to the organization named below. If you wish to continue with the designation process, select "Continue" below. If this invitation was sent in error, or you do not wish to serve as an Agent, select "Decline Invitation".		
Organization Name:	Sample Company 0	
Phone Number:	(123) 123 - 1234	
Address:	123 Oak Blvd	
	Basillus, WA 54123	
Submission Type:	EMMA - Primary Market Disclosure	
	10/17/2008 8:11:30 PM	

By following the second link, the Agent enters his/her e-mail address and the invitation code found in the invitation e-mail, then clicks on "**Submit**". The Agent then gets forwarded to the Agent Invitation page (same page as above).

Agent Invitati	on Login
To accept or de email. If you ha	ecline an invitation to act as an Agent for submissions of certain documents to the MSRB, enter the information contained in your invitation ve not received an email, contact the organization for which you are an Agent and request that you be invited.
Email Address: Invite Code:	testco@testco.org Jkfjlskdfjldklddfklkdkfjdkfj
Submit	

lesignation should l nvitation was sent i	low has invited you to act as an Agent on its behalt to submit certain documents and information to the MSRB. Questions about the be directed to the organization named below. If you wish to continue with the designation process, select "Continue" below. If this a error, or you do not wish to serve as an Agent, select "Decline Invitation".
Organization Name:	Sample Company 0
Phone Number:	(123) 123 - 1234
Address:	123 Oak Blvd
	Basillus, WA 54123
Submission Type:	EMMA - Primary Market Disclosure
out in the second states of the second	

If the Agent declines the invitation, the dealer that extended the invitation will receive an e-mail stating that the Agent has declined his/her invitation.

If the Agent continues with the invitation process, the Agent will be prompted if he/she has an existing MSRB Gateway account.

Agent Invitation		
You have accepted the invitation by the organization below to act as an Agent. An invitation to and acceptance by an Agent through the MSRB Gateway is not intended to form the basis of a contract between your company and the organization listed below. You may wish to contact this organization to ensure that you have reached a mutual understanding of the scope of duties you will be undertaking on its behalf and the terms of your relationship.		
Organization Name: Sample Company 0 Submission Type: EMMA - Primary Market Disclosure		
Do you have an existing MSRB Gateway Account?		
Ves RNo		

If the Agent does not have an existing account, he/she will be prompted to enter his/her company level information and Master Account information to register with the MSRB.

New Account

Enter the company level information below to begin creating a new Gateway Accourt	t. You will be asked to provide information for your Master Account on
the next screen.	

Company Name:*	Test Company
Phone Number:*	111 - 111 Ext.
Fax Number:	
Address 1:*	1111 St.
Address 2:	
City:*	Alexandria
State:*	VA
Zip:*	22222222
Country:	US
Next Cancel	

New Account

You must provid after your Accou	e a Master Account for your Account, enter the details for that person below. Additional Contacts can be added by your Master Account nt has been confirmed.
First Name:*	John
Last Name:*	Doe
Email Address:*	jdoe@jdoe.org
Confirm Email:*	jdoe@jdoe.org
Title:	
Department:	
Phone Number:*	111 - 111 - 1111 Ext.
Fax Number:	
Address1:*	1200 St
Address2:	
City:*	Alexandria
State:*	VA
Zip:*	33333333
Country:	
Next Bock	Cancel

The Agent clicks on "**Confirm**" to create an Agent account. The Agent's Master Account Administrator will receive the account details by e-mail.

A new Account	t will be created for your organization based on the following information.
Click on Confin	m to create the Account.
Click on Edit to	modify any of the information shown.
Your MSRB ID:	G00002
Name:	Test Company
Phone Number:	111-111-1111
Fax Number:	
Address	1111 St.
	Alexandria, VA 222222222
The following	Alexandria, VA 222222222 US User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Account
The following User name: Name:	Alexandria, VA 222222222 US User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email:	Alexandria, VA 222222222 US User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email: Title:	Alexandria, VA 222222222 US User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email: Title: Department:	Alexandria, VA 222222222 US User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email: Title: Department: Phone Number:	Alexandria, VA 222222222 US USer will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email: Title: Department: Phone Number: Fax Number:	Alexandria, VA 222222222 US USer will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe
The following User name: Name: Email: Title: Department: Phone Number: Fax Number: Address:	Alexandria, VA 222222222 US USer will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Accoun JDOE3 John Doe 111-111-1111 1200 St

Once the invitation has been sent to the Agent, you (the dealer) who invited the Agent will receive a confirmation e-mail, indicating that the Agent has accepted the invitation and that the dealer must approve the designation to allow the Agent to submit documents on the dealer's behalf.

The Agent will also receive an e-mail stating that the account was created. The log-in information will also be included in the e-mail.

If the Agent has an existing MSRB Gateway account, he/she is prompted to enter his/her User ID and Password and clicks on "Confirm" to accept the invitation.

A confirmation screen is then displayed.

Log-in	
To confirm your acc contact the MSRB	ceptance, use your existing user ID and password that you use to log-in to MSRB Gateway. If you do not remember your user ID, at (703) 797-6600.
User ID: jdoe Password: ••••••• Forgot	your password?
Confirm	
Agent Invite Con You have accepted	firmation the invitation to act as an Agent for submitting documents to the MSRB on behalf of the organization named below.
Organization Name:	Sample Company 1
MSRB ID:	T1001
Phone Number:	(123) 123 - 1234
Address:	123 Oak Blvd
	Basillus, WA 54123
Login	

The dealer who invited the Agent will receive a confirmation e-mail, indicating that the Agent has accepted the invitation and that the dealer must approve the designation to allow the Agent to submit documents on the dealer's behalf.

9. APPROVE AGENT'S DESIGNATION

Once the Agent has accepted the invitation, the dealer logs into MSRB Gateway and approves the designation of the Agent.

Go to "Account Management" on the MSRB Gateway Main Menu and click on "Manage Agents". Locate the Agent under "Pending Agent Invitations" and click on "Process Agent."

Agent Mana <u>q</u>	gement			
You can desig systems on be act on your co Add a New	nate Agents to s <u>half of your com</u> ompany's behalf v Agent	submit certain information to MSRB apany by an Agent you have designa	systems on your or; ated shall be your co	rganization's behalf. <u>Please be advised that all actions taken on MSRB</u> ompany's responsibility. Care should be taken in designating Agents to
Pending Ag	gent Invitatio	ons (What's this?)		
MSRB ID G00002	Name Test Company	Submission Type EMMA - Primary Market Disclosure	Status Approval needed	Action Process Agent
Approved	Agents (Wha	ıt's this?)		
There are cu	rrently no ager	nts that can submit on your beha	lf.	
Return	to Account Mana	gement		

Confirm the Agent information displayed on the Agent Approval screen. If the information is correct and you want to designate the Agent, select "**Approve Designation**". If the information is incorrect or if you do not want to designate the Agent, select "**Reject Designation**".

Agent Approva	1		
Test Company (G00002) has registered with MSRB Gateway to act as your Agent per your invitation and is now awaiting your approval. The Agent will not be able to submit documents or information to MSRB systems until you have provided your approval below.			
Approve Des	ignation Reject Designation		
Agent Name:	Test Company		
MSRB ID:	G00002		
Phone Number:	(111) 111 - 1111		
Address:	1111 St.		
	Alexandria, VA 22222222		
	US		
Email:	nabera@msrb.org		
Submission Type:	Submission Type: EMMA - Primary Market Disclosure		
Back to Age	Int Management Return to Account Management		
Dack to rige	in mangement		

A confirmation screen is displayed stating that you have successfully designated the Agent.

Agent Designation

Agent successfully designated. Designated agents will only be able to make submissions of primary market documents to the MSRB on behalf of dealers when EMIMA's electronic submission service is launched.			
Agent Name:	Test Company		
MSRB ID:	G00002		
Phone Number:	(111) 111 - 1111		
Address:	1111 St.		
	Alexandria, VA 2222222222		
	US		
Email:	nabera@msrb.org		
Submission Type:	EMMA - Primary Market Disclosure		
Back to Agent Management Return to Account Management			

You can now view the Agent under the "**Approved Agents**" section on the Agent Management screen, and the Agent will be allowed to submit documents through MSRB Gateway on your company's behalf once EMMA has been launched as explained in section #2 above.

Agent Management
You can designate Agents to submit certain information to MSRB systems on your organization's behalf. <u>Please be advised that all actions taken on MSRB</u> systems on behalf of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designating Agents to act on your company's behalf. Add a New Agent
Pending Agent Invitations (What's this?) There are currently no pending Agent invitations.
Approved Agents (What's this?)
MSRB ID Name Submission Type Action G00001 Test frompany EMMA - Primary Market Disclosure Deauthorize Agent
Return to Account Management

If you reject a designation, the Agent will receive a notification e-mail.

10. DE-AUTHORIZE AN AGENT

To remove an authorized Agent from submitting documents on your company's behalf, you must de-authorize the Agent. Follow the steps below.

From the MSRB Gateway Main Menu, select "Account Management", then "Manage Agents."

From the Agent Management screen, locate the Agent that you want to de-authorize under "Approved Agents" and click on "Deauthorize Agent".

Agent Manag	jement		
You can desig systems on be act on your co Add a New	mate Agents to shalf of your con ompany's behalf v Agent	submit certain information to MSRB systems on your organization's behalf. <u>Please be advised that all actions taken on MSRB</u> apany by an Agent you have designated shall be your company's responsibility. Care should be taken in designating Agents to	
Pending Ag	gent Invitation	o ns (What's this?) ding Agent invitations.	
Approved /	Agents (Wha	at's this?)	
MSRB ID	Name	Submission Type Action	
G00002	Test Company	EMMA - Primary Market Disclosure Deauthorize Agent	
Return	to Account Mana	igement	

Click on "**OK**" to confirm that you would like to de-authorize the Agent.

Agent Mana	gement			
You can desig systems on be act on your co Add a New	gnate Agents to s ehalf of your com ompany's behalf w Agent	submit certain information to 1 npany by an Agent you window Window Window	VISRB systems on your organization's behalf. <u>Please b</u> vs Internet Explorer	e advised that all actions taken on MSRB a should be taken in designating Agents to
Pending A	gent Invitatio	ons (What's this:	Cancel	
There are cu	rrently no pend	ding Agent invitations.		
Approved	Agents (Wha	nt's this?)		
MSRB ID	Name	Submission Type	Action	
G00002	Test Company	EMMA - Primary Market Discl	osure Deauthorize Agent	
Return	to Account Mana	gement		

A confirmation screen is displayed stating that the Agent's designation has been revoked. The Agent will no longer be able to submit documents on your behalf.

Agent Name:	Test Company
MSRB ID:	G00002
Phone Number:	(111) 111 - 1111
Address:	1111 St.
	Alexandria, VA. 222222222
	US
Submission Type:	EMMA - Primary Market Disclosure

The Agent will be notified of the de-authorization by e-mail.