


Quick Guide to Affirming Your MSRB Registration

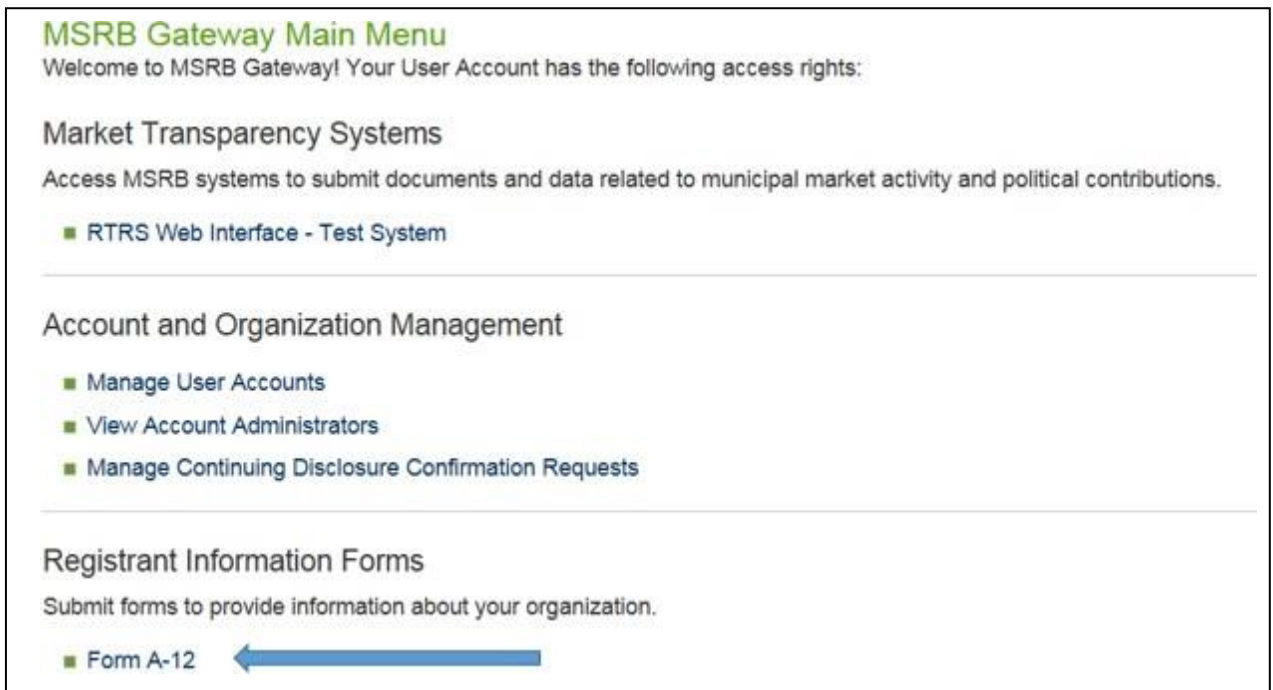
Each January, MSRB registrants (municipal securities dealers and municipal advisors) must verify and, if necessary, update the MSRB registration information provided in Form A-12. [MSRB Rule A-12](#) requires that the affirmation be completed within 17 business days of the beginning of the calendar year. The MSRB uses information provided in Form A-12, in part, to communicate important information to registrants.

A firm's Primary Contact, Optional Contact or Compliance Contact can make affirmations. If no updates to Form A-12 are required, the appropriate individual can affirm the information by submitting the Form A-12 with no changes. If changes are required, the appropriate individual should make the necessary updates and submit an amended Form A-12.

-  Outside of the affirmation period, registrants must update their registration information (if applicable) within 30 days of any change in such information. See MSRB Rule A-12(j).

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**.



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.

FIRM/SOLE PROPRIETORSHIP IDENTIFIERS

Firm Name:*

Dealer SEC ID:* 8- Municipal Advisor SEC ID:* - -

CRD Number:* Legal Entity Identifier:

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

Upload a Document (PDF): *

BUSINESS INFORMATION

Firm Address:*

City:* State:* Zip:*

Firm Website:

TYPE 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:*

City:* State:*

*Denotes required fields

[Save Progress](#) [Exit](#)

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.

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 of the business activities engaged in by your firm.

Broker /Dealer Business Activities Tab



Select at least one activity from the Broker/Dealer tabs.

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

Select all that apply:

- 529 Plan Underwriting
- 529 Plan Sales
- Local Government Investment Pool Distributor/Sales
- Other

[Back](#) [Continue](#)


Municipal Advisor Business Activities Tab

Municipal Advisor | Broker/Dealer - MFS | Broker/Dealer - Sales/Trading | Broker/Dealer - Other

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):

5. 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 the **Continue** link 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 should be a principal of the firm in the case of a broker, dealer or municipal securities dealer (collectively, "dealer"). Given this requirement, the designated contact(s) has to 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 authorized to receive official communications from the board.

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

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

- [General Information](#)
- [Business Activities](#)
- [Contact Information](#)
- [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.

 Changes to information are **not** required to submit the form. However, Form A-12 should never be submitted when information is known to be inaccurate or incomplete.

9. 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.**”

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



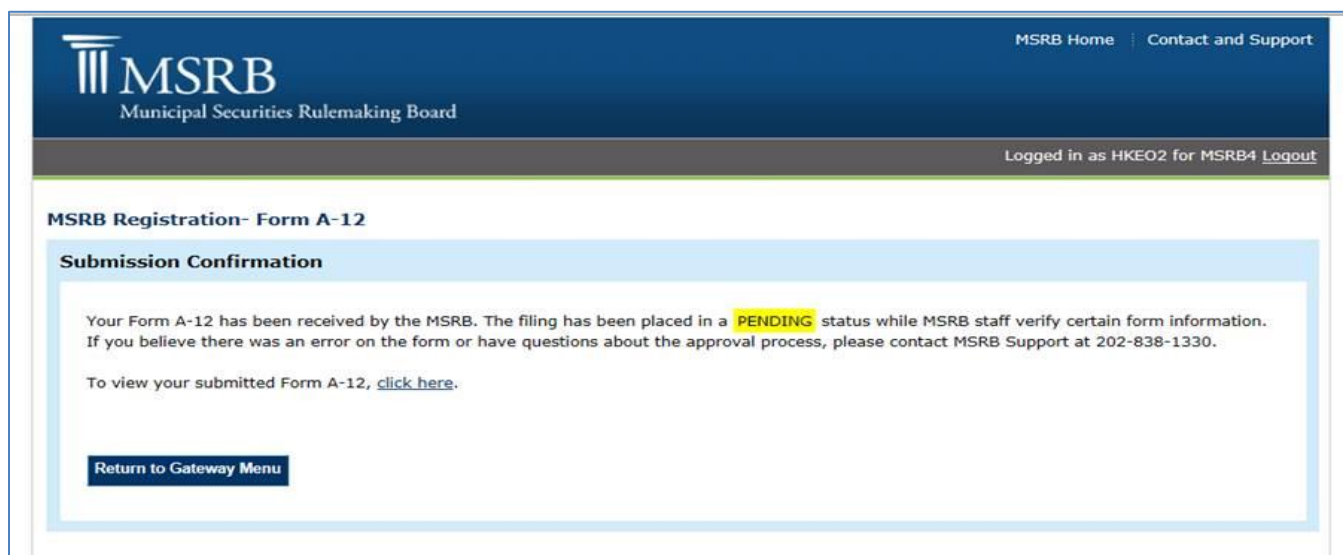
ACKNOWLEDGEMENT

I acknowledge that the information provided in this form is complete and accurate.

Submit **Edit**

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 (MAA), Primary Regulatory Contact (PRC), Optional Regulatory Contact (ORC), and Compliance Contact (CC) after approval. A copy of the email can be retained for your compliance records.



MSRB Home | Contact and Support

MSRB
Municipal Securities Rulemaking Board

Logged in as HKEO2 for MSRB4 [Logout](#)

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](#)