



The Official Source for Municipal Disclosures and Market Data

Instructions for Forms G-37 and G-37x

Version 4.2, February 2021

Revision History

Version	Date	Description of Changes
1.0	February 2010	Initial version.
1.1	February 2013	Electronic submission of Forms G-37 and G-37x has been migrated to EMMA Dataport. This version provides instructions for submitting forms using EMMA Dataport.
1.2	September 2013	Updated the instructions for submitting additional information related to contributions made to bond ballot campaigns.
1.3	August 2015	Updated the Resources and Support section to reflect the change in hours of operation for Email Support.
2.2	June 2016	Updated to reflect the user navigation changes to the MSRB.org homepage, MSRB Gateway Login and Main Menu pages.
2.3	August 2016	Updated to reflect amendments to Rule G-37 that include the requirement for municipal advisors to make Forms G-37 & G-37x submissions. Removed the ability to make paper submissions for Forms G-37 & G-37x.
2.4	October 2016	Clarification of Form G-38t submission requirements and reporting of municipal advisory business.
2.5	October 2016	Updated the Municipal Entities with Which the Regulated Entity Has Engaged in Municipal Securities Business or Municipal Advisory Business to allow for separate attachments for municipal securities business and municipal advisory business.
3.0	February 2018	Updated the Submission Requirements for Form G-37 and the Time Frame required for Reporting Municipal Advisory Business.
3.1	August 2018	Added the ability to update and save submissions. Removed the ability to attach pdfs. Added the ability to import into sections 4A and 4B.

Version	Date	Description of Changes
4.0	June 2019	Removed information related to completion of Form G-38t in support of Rule G-37 and G-38 changes.
4.1	August 2019	Updated to reflect EMMA Dataport user interface changes.
4.2	February 2021	Updated to reflect icon changes

Resources and Support

Online

MSRB Website: [MSRB.org](https://www.msrb.org)

EMMA Website: [EMMA.MSRB.org](https://emma.msrb.org)

For assistance, contact MSRB Support at 202-838-1330 or MSRBsupport@msrb.org.

Live Support: 7:30 a.m.–6:30 p.m. ET

Email Support: 7:00 a.m.–7:00 p.m. ET

Municipal Securities Rulemaking Board

1300 I Street NW, Suite 1000

Washington, DC 20005

Tel: 202-838-1500

Fax: 202-898-1500

This resource is for informational purposes only and should be considered in conjunction with the applicable MSRB rules and any related interpretations. The complete text of all MSRB rules and interpretations is available at <http://msrb.org/Rules-and-Interpretations/MSRB-Rules.aspx>.

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Introduction

The MSRB protects investors, state and local governments and other municipal entities, and the public interest by promoting a fair and efficient municipal securities market. The MSRB fulfills this mission by regulating the municipal securities firms, banks and municipal advisors that engage in municipal securities and advisory activities. To further protect market participants, the MSRB provides market transparency through its [Electronic Municipal Market Access \(EMMA®\) website](#), the official repository for information on virtually all municipal bonds. EMMA provides free public access to official disclosures, trade data, credit ratings, educational materials and other information about the municipal securities market. The MSRB also serves as an objective resource on the municipal market, conducts extensive education and outreach to market stakeholders, and provides market leadership on key issues. The MSRB is a Congressionally-chartered, self-regulatory organization governed by a 21-member board of directors that has a majority of public members, in addition to representatives of regulated entities. The MSRB is subject to oversight by the U.S. Securities and Exchange Commission (SEC).

The EMMA website is a centralized online database operated by the MSRB that provides free public access to official disclosure documents and trade data associated with municipal bonds issued in the United States. In addition to current credit rating information, the EMMA website makes available real-time trade prices and primary market and continuing disclosure documents for over one million outstanding municipal bonds, as well as current interest rate information, liquidity documents and other information for most variable rate municipal securities. The EMMA website also makes available public disclosures of political contributions made by brokers, dealers and municipal securities dealers (collectively, “dealers”) and municipal advisors to municipal entity officials (formerly referred to as “issuer officials”), state and local political parties, and bond ballot referendum committees.

The purpose of these instructions is to assist dealers and municipal advisors (collectively, “regulated entities”) in submitting MSRB Form G-37 and MSRB Form G-37x in an accurate and timely manner. [MSRB Rule G-37, on political contributions and prohibitions on municipal securities business and municipal advisory business](#), requires each regulated entity to submit to the MSRB on Form G-37 certain information about its municipal securities business and municipal advisory business, as well as contributions to municipal entity officials. In addition, regulated entities that are dealers are required to submit on Form G-37 payments to state or local political parties and contributions to bond ballot campaigns made by the dealer, its municipal finance professionals (MFPs) and non-MFP executive officers, and political action committees (PACs) controlled by the dealer or an MFP of the dealer. Regulated entities that are

municipal advisors are required to submit the same information on Form G-37 if the payments to state or local political parties and contributions to bond ballot campaigns are made by the municipal advisor, its municipal advisor professionals (MAPs) and non-MAP executive officers, and PACs controlled by the municipal advisor or an MAP of the municipal advisor. Additional information related to bond ballot campaigns is also required to be submitted on Form G-37. (Unless otherwise specified, the term “municipal advisor” includes a municipal advisor third-party solicitor.)

Part 1: General Submission Information

Form G-37

Submission Requirements for Form G-37

Form G-37 must be submitted to the MSRB for a calendar quarter if either or both of the following occurred:

- Reportable political contributions, payments to political parties or contributions to bond ballot campaigns (and additional information) were made during the reporting period, unless the regulated entity has previously submitted Form G-37x and the submission remains effective; or
- During the reporting period, the regulated entity, if a dealer, engaged in municipal securities business with a municipal entity or, if a municipal advisor, engaged in municipal advisory business with a municipal entity.

Exemptions from Form G-37 Submission Requirement

There are two exemptions from a requirement to submit Form G-37 on a quarterly basis. First, regulated entities are not required to submit a Form G-37 if they have no information that is required to be reported for such calendar quarter. Second, regulated entities are not required to submit a Form G-37 if they have previously submitted a Form G-37x that remains effective. These exemptions are described further below.

Pursuant to Rule G-37(e)(ii)(A), a regulated entity is not required to submit a Form G-37 for a calendar quarter if both of the following are true:

- The regulated entity had no reportable contributions to municipal entity officials, payments to political parties or contributions to bond ballot campaigns for that calendar quarter; and
- During that calendar quarter, the regulated entity, if a dealer, did not engage in municipal securities business with a municipal entity, or, if a municipal advisor, did not engage in municipal advisory business with a municipal entity.

Due to the breadth of the definition of municipal advisory business in Rule G-37(g)(ix), in contrast to the definition of municipal securities business in Rule G-37(g)(xii), it is relatively less likely that a municipal advisor would be able to use the exemption in Rule G-37(e)(ii)(A).

The exemption for a Form G-37x submission that remains effective is described below.

Form G-37x

Submission Requirements for Form G-37x

Pursuant to Rule G-37(e)(ii)(B), a regulated entity is not required to submit a Form G-37 for a calendar quarter if both of the following are true:

- The regulated entity has submitted a Form G-37x to the MSRB on or prior to the deadline for submission of Form G-37 for that calendar quarter; and
- The Form G-37x submission remains in effect as of the end of that calendar quarter.

Due to the breadth of the definition of municipal advisory business in Rule G-37(g)(ix), it is relatively less likely that a municipal advisor would be able to make the certification required in Form G-37x.

A regulated entity may submit Form G-37x to the MSRB if the regulated entity certifies that the regulated entity did not engage in municipal securities business or municipal advisory business during the eight full consecutive calendar quarters ending immediately on or prior to the date of the submission.

A dealer newly registered with the MSRB that does not intend to engage in municipal securities business may submit a Form G-37x to the MSRB.

The Form G-37x submission remains effective for so long as the regulated entity does not engage in municipal securities business or municipal advisory business; thus, the regulated entity should not submit any additional Forms G-37x to the MSRB unless the original Form G-37x submission has become ineffective and the regulated entity subsequently re-qualifies to file Form G-37x.

Lapse of Effectiveness of Form G-37x Submission

A Form G-37x submitted to the MSRB by a regulated entity becomes ineffective immediately upon the regulated entity becoming engaged in municipal securities business or municipal advisory business. Such regulated entity will be obligated to submit Form G-37 to the MSRB beginning with the report for the calendar quarter in which such municipal securities business and/or municipal advisory business that caused the lapse of effectiveness occurred. Pursuant to Rule G-37(e)(iii), the first Form G-37 submitted subsequent to the lapse of Form G-37x must include information regarding any contributions to municipal entity officials, payments to state or local political parties or contributions to bond ballot campaigns that would have been reportable (but had not been reported) on Form G-37 during the two-year period preceding such calendar quarter.

The existence of political contributions to municipal entity officials, payments to political parties or contributions to bond ballot campaigns that would otherwise be reportable on Form G-37 does not result in the lapse of effectiveness of a Form G-37x. As noted above, however, such contributions and payments may become reportable upon the lapse of effectiveness of Form G-37x if made less than two years prior to such lapse.

All Forms

Separate Submissions Required by Each Regulated Entity

Regulated entities that are affiliated may not combine their required reporting under Rules G-37 into a single Form G-37 or G-37x covering all such affiliated regulated entities. Each regulated entity must submit its own Form G-37 or Form G-37x, as appropriate. However, a regulated entity that is both a dealer and a municipal advisor (dealer-municipal advisor) may submit a single Form G-37 for each reporting period.

Timing of Submission of Forms G-37 and G-37x

Under Rule G-37, dealers and municipal advisors are required to submit Form G-37 to the MSRB by the last day of the month following the end of each calendar quarter. These submission dates correspond to January 31, April 30, July 31 and October 31 of each year.

There is no fixed time frame for submission of Form G-37x. However, if a regulated entity wishes to rely on the Form G-37x exemption from the Form G-37 submission requirement for a particular calendar quarter, Form G-37x must be submitted by no later than the submission deadline for such quarter.

Electronic Submission of Forms G-37 and G-37x Is Required

Effective August 17, 2016, Forms G-37 and G-37x must be submitted to the MSRB electronically. Submissions by fax or paper submissions will not be accepted. Forms G-37 and G-37x must be signed and submitted by an officer of the regulated entity. Each regulated entity must submit an email address for purposes of receiving electronic records of submissions through the Electronic Municipal Market Access Dataport System (EMMA Dataport).

Forms G-37 and G-37x submitted through EMMA Dataport must be completed using an online data-entry form. The data-entry form for Form G-37 permits certain items of information to be incorporated into the form by means of file uploading.

Voluntary Submissions

Entities and individuals that are not subject to the requirements of Rule G-37 (*e.g.*, attorneys

and independent financial advisors) may voluntarily submit information on political contributions if the filing procedures are followed.

Viewing Forms Submitted to MSRB

The Forms G-37 and G-37x submitted to the MSRB are made available to the public on the MSRB's EMMA website.

Part 2: Access for Electronic Submission of Forms G-37 and G-37x

Forms G-37 or G-37x must be submitted electronically to the MSRB via the EMMA Dataport system.

An MSRB Gateway account is required to make submissions to EMMA Dataport. A firm's primary regulatory contact under [MSRB Rule A-12](#) will create and manage user accounts via the MSRB Gateway system to complete the registration process. See the [Gateway User Manual Dealers and Municipal Advisors](#) for guidance on how to create and manage a user account.

Submissions for Forms G-37 and G-37x can be done from the MSRB or EMMA homepage.

Log in from MSRB homepage

From the MSRB homepage at www.MSRB.org, click **LOGIN**.

The screenshot shows the MSRB homepage with the following elements:

- Top navigation: ABOUT MSRB | EMMA® | MUNIEDPRO® | **LOGIN** | REGISTER
- MSRB Logo: Municipal Securities Rulemaking Board
- Search bar
- Horizontal menu: Rules and Guidance | Compliance Center | Transparency | Education Center | Policy and Analysis | News and Events
- Main content area:
 - MSRB Town Hall announcement: Join us in Chicago on May 17, 2018 for a discussion on municipal market self-regulation, our compliance support initiative and more.
 - Background image of a group of people.
- Footer area with four tiles:
 - MuniEdPro: MARKET EDUCATION
 - ABOUT THE MSRB
 - MSRB RULES
 - EMMA 10 YEARS: VISIT THE EMMA WEBSITE

Enter your User ID and Password and then click the **Login** button to access MSRB Gateway.

Log in from the EMMA homepage

From the EMMA homepage at <https://EMMA.MSRB.org>, click the **EMMA Dataport** tab.

The screenshot shows the EMMA homepage. At the top right, there are links for "EMMA Help" and "Contact Us". Below that is a search bar with the placeholder text "Search by CUSIP, Description, State, etc." and a "Advanced Search" button. The navigation bar contains several tabs: "Browse Issuers", "Tools and Resources", "Market Activity", "MyEMMA", and "EMMA Dataport", which is highlighted with a red box. To the right of the navigation bar is a zoom control showing "A- 100% A+".

The main content area has a heading: "The official source for municipal securities data and documents" with the subtext "Provided by the Municipal Securities Rulemaking Board." Below this is a button that says "Click on a state to start your search".

A map of the United States is displayed, with each state labeled with its two-letter abbreviation. To the right of the map is a vertical list of state abbreviations: NH, VT, MA, RI, CT, NJ, DE, MD, DC. Below the map, there are labels for "Territories: GU, MP, PR, VI".

On the right side of the page, there are three call-to-action buttons:

- Learn**: "New to EMMA? Find out more." (with a hand icon)
- Evaluate**: "Access New Issue Calendar and other market tools." (with a chart icon)
- Monitor**: "Sign up for MyEMMA" (with a document icon)

Then click the **Log in to MSRB Gateway** button.

EMMA Help | Contact Us

EMMA[®]
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc. ▶
Advanced Search

Browse Issuers Tools and Resources ▾ Market Activity ▾ MyEMMA[®] ▾ **EMMA Dataport**

EMMA Dataport

- Overview
- Submissions by Dealers
- Submissions by Municipal Advisors
- Submissions by Issuers
- Submissions by Obligated Persons
- MSRB Subscription Services
- MSRB System Status


Document Submission

EMMA Dataport now features an enhanced user interface and improvements to the continuing disclosure submission process for issuers. [Read more about the changes.](#)

Municipal securities dealers, municipal advisors, issuers, obligated persons and their designated agents provide the Municipal Securities Rulemaking Board (MSRB) with electronic documents to be posted on EMMA. EMMA Dataport is the utility through which submissions of documents and related information are made to MSRB Market Transparency Programs. For information about how to make specific submissions, please click on the applicable link below.


For time sensitive issues call MSRB Support at or send an email to MSRBsupport@msrb.org.

Access EMMA Dataport to Submit Documents



Log in to MSRB Gateway

Don't have an account? [Register ▶](#)

 [Access Online Training about Submitting to EMMA](#)

[MSRB Gateway Manual ▶](#)


From the MSRB Gateway Main Menu, click the **EMMA Dataport** link.

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following access rights:

Market Transparency Systems

Access MSRB systems to submit documents and data related to municipal market activity and political contributions.

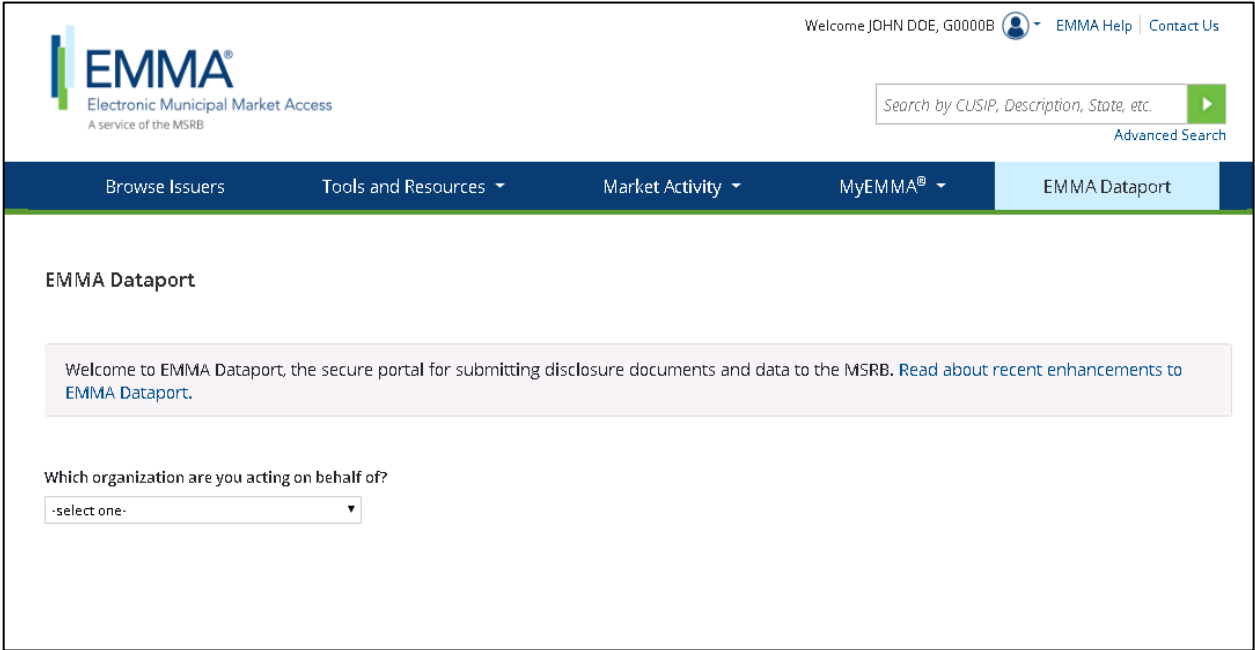
- Dealer System Outage Reporting
- SHORT System Web User Interface – Data Submissions
- SHORT System Web User Interface – Data Submissions Test Environment
- RTRS Web Interface - Test System
- Rule G-37 Submission
- EMMA Dataport** 

Dealer Feedback System

- Transaction Data Request Form

Part 3: Electronic Submission of Form G-37

If your organization has the rights to act on the behalf of another organization, you will see a screen that will allow you to select the organization from the drop-down menu for which you are making a Form G-37 submission.



Upon selecting the organization, if applicable, the EMMA Dataport Submission Portal displays buttons and links for the types of submission you can make to EMMA. Click the **Political Contributions** button.

Welcome JOHN DOE, G0000B | EMMA Help | Contact Us

EMMA®
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc.

Browse Issuers Tools and Resources Market Activity MyEMMA® EMMA Dataport

You are acting on behalf of: SAMPLE CO (G0000B)

EMMA Dataport

What would you like to do today?

- Primary Market (Rule G-32)
- Continuing Disclosure (Rule-based & Voluntary)
- Political Contributions (Rule G-37)**

Additional Options

- 529 Savings Plans / ABLE Programs (Rule G-45)**
Submit plan descriptive information, assets and other data.
- SHORT Documents (Rule G-34)**
Submit ARS and VRDO documents.
- Issuer Voluntary Official Statements**
Submit official statement or related information to make a voluntary primary market submission.

Click the **Create** button next to **Electronic Form G-37 Submission** to start a submission.

Welcome JOHN DOE, G0000B | EMMA Help | Contact Us

EMMA®
Electronic Municipal Market Access
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Search by CUSIP, Description, State, etc. ▶
Advanced Search

Browse Issuers Tools and Resources Market Activity MyEMMA® EMMA Dataport

You are acting on behalf of: SAMPLE CO (G0000B)

Political Contributions (Rule G-37) Resources

- Electronic Form G-37 Submission** CREATE UPDATE

Form G-37 must be submitted for a calendar quarter if the regulated entity has ANY information to report on Form G-37 UNLESS the regulated entity has an effective Form G-37x on file with the MSRB. For example, even if a regulated entity did not make any reportable contributions, payments to political parties or contributions to bond ballot campaigns during the relevant calendar quarter, a Form G-37 submission still must be submitted if the regulated entity engaged in any municipal securities business or municipal advisory business, as applicable, with a municipal entity during the relevant calendar quarter.
- Electronic Form G-37x Submission** CREATE

A regulated entity may file a Form G-37x if the regulated entity has not engaged in municipal securities business or municipal advisory business, as applicable, during the seven consecutive calendar quarters immediately preceding the relevant calendar quarter. Once filed, the regulated entity is not required to make subsequent quarterly Form G-37 submissions unless it engages in municipal securities business or municipal advisory business, as applicable, after filing the Form G-37x.

Saved/Unpublished Forms Most Recent Submissions

There are no saved submissions to view.

Forms that have been initiated but not published may be accessed on the **Saved/Unpublished Forms** tab. Locate the desired form and select **Edit** to reopen the form and continue working.

A saved but unpublished form can also be deleted by selecting **Delete**.

Click the **Update** button to amend a previous submission.

Welcome JOHN DOE, G0000B | EMMA Help | Contact Us

EMMA®
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc. ▶
Advanced Search

Browse Issuers Tools and Resources Market Activity MyEMMA® EMMA Dataport

You are acting on behalf of: SAMPLE CO (G0000B)

Political Contributions (Rule G-37) Resources

- Electronic Form G-37 Submission** CREATE UPDATE

Form G-37 must be submitted for a calendar quarter if the regulated entity has ANY information to report on Form G-37 UNLESS the regulated entity has an effective Form G-37x on file with the MSRB. For example, even if a regulated entity did not make any reportable contributions, payments to political parties or contributions to bond ballot campaigns during the relevant calendar quarter, a Form G-37 submission still must be submitted if the regulated entity engaged in any municipal securities business or municipal advisory business, as applicable, with a municipal entity during the relevant calendar quarter.
- Electronic Form G-37x Submission** CREATE

A regulated entity may file a Form G-37x if the regulated entity has not engaged in municipal securities business or municipal advisory business, as applicable, during the seven consecutive calendar quarters immediately preceding the relevant calendar quarter. Once filed, the regulated entity is not required to make subsequent quarterly Form G-37 submissions unless it engages in municipal securities business or municipal advisory business, as applicable, after filing the Form G-37x.

Select the year and quarter for which Form G-37 is being submitted. Next, select the role you are submitting as. Click the **Next** button.

You are currently acting on behalf of: MSRB4 Back Next Exit

REPORT PERIOD AND SUBMITTER TYPE

Select Year: 2018 Select Quarter: 1

Submitting as a: ?

- Dealer Only
- Municipal Advisor Only
- Dealer/Municipal Advisor

All fields are required.



You may only select a report period prior to the current reporting quarter. Calendar quarter must be used for the reporting period. The electronic Form G-37 appears. Use the electronic data-entry form for direct input of information. The Municipal Securities Business and Municipal Advisory Business sections also allow users the ability to import data using an import function.

Submission Status: Saved

You are currently acting on behalf of: MSRB4

[Back](#) [Preview](#) [Exit](#)

REPORT PERIOD AND SUBMITTER TYPE - FIRST QUARTER, 2018, DEALER/MUNICIPAL ADVISOR

For a complete Form G-37 submission, all four sections below must be completed. Users have the option to save a Form G-37 and have another user with Form G-37 access rights to retrieve the saved Form G-37 and submit it. Final submissions must be made by an officer for the regulated entity. Refer to [MSRB Rule G-37](#) for required information and the [Submission Manual](#). Please refer to the definitions provided below by hovering over the [?](#) symbols as well MSRB Rule G-37 for additional information.

I. CONTRIBUTIONS made to officials of a municipal entity [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

II. PAYMENTS made to political parties of states or political subdivisions [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

III. CONTRIBUTIONS made to bond ballot campaigns [?](#)

A. Contributions

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

B. Reimbursement for Contributions

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | [Import Excel or CSV Data File Information](#) | Check here if none. [?](#)

B. Municipal Advisory Business [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | [Import Excel or CSV Data File Information](#) | Check here if none. [?](#)

C. Ballot-Approved Offerings

Contributions Made to Municipal Entity Officials

To enter information on contributions made during the calendar quarter, click on the **Contribution Information** link.



If there were no contributions required to be reported pursuant to Rule G-37 during the calendar quarter, click the **Check here if none** checkbox.

Submission Status: Saved You are currently acting on behalf of: MSRB4

REPORT PERIOD AND SUBMITTER TYPE - FIRST QUARTER, 2018, DEALER/MUNICIPAL ADVISOR

For a complete Form G-37 submission, all four sections below must be completed. Users have the option to save a Form G-37 and have another user with Form G-37 access rights to retrieve the saved Form G-37 and submit it. Final submissions must be made by an officer for the regulated entity. Refer to [MSRB Rule G-37](#) for required information and the [Submission Manual](#). Please refer to the definitions provided below by hovering over the [?](#) symbols as well MSRB Rule G-37 for additional information.

I. CONTRIBUTIONS made to officials of a municipal entity [?](#)

Select one of the options below

Pre-populate from previous quarter.
 Check here if none. ←

Regulated entities must report in this section all reportable contributions made to municipal entity officials during the calendar quarter.

On the **Contribution Information** screen, enter the following fields:

- Name of Municipal Entity Official
- Title of Municipal Entity Official
- State
- City or select "N/A" if not applicable
- County or select "N/A" if not applicable
- Other Political Division or select "N/A" if not applicable
- Contribution Amount
- Contributor Category (select all that apply):
 - Dealer
 - Municipal finance professional
 - PAC controlled by the dealer
 - PAC controlled by a municipal finance professional
 - Non-MFP executive officer
 - Municipal advisor
 - Municipal advisor professional
 - PAC controlled by the municipal advisor
 - PAC controlled by a municipal advisor professional
 - Non-MAP executive officer
- Exemption information if any

- Date of Exemption (required if exempted)

The **Title of Municipal Entity Official** field should include the name of the city, county, state or other political subdivision of the office held or sought by the individual. If an official of one municipal entity is seeking an office in a different municipal entity, both municipal entity official titles must be included in the field (*e.g.*, for a contribution to a city mayor running for state governor, the titles for both offices must be included)



In all other cases, the title of the office currently held or of the office sought must be included (*e.g.*, for a contribution to a private citizen running for state governor, the title of governor must be included; for a contribution to a state governor running for United States president, the title of governor must be included).

Submission Status: Saved You are currently acting on behalf of:

[Back](#) [Preview](#) [Exit](#)

I. CONTRIBUTIONS made to officials of a municipal entity

Please provide the following details. All fields are required.

Name of Municipal Entity Official:

Title of Municipal Entity Official:

State:

City: N/A

County: N/A

Other Political Subdivision: N/A

Contribution Amount: (\$)

Select Contributor Category (Please select all that apply) [?](#)

Dealer

Municipal finance professional

PAC controlled by the dealer

PAC controlled by a municipal finance professional

Non-MFP executive officer

Municipal advisor

Municipal advisor professional

PAC controlled by a municipal advisor

PAC controlled by a municipal advisor professional

Non-MAP executive officer

For use in connection with automatic exemption from ban on municipal securities business or municipal advisory business only.
If this contribution is the subject of an automatic exemption pursuant to Rule G-37(j), check the following Exempted box and provide the date of such automatic exemption:

Exempted Date of exemption: (mm/dd/yyyy)

[Continue](#) [Cancel](#)

The terms “contribution,” “municipal entity official” (or “official of a municipal entity”), “municipal finance professional” (or “MFP”), “municipal advisor professional” (or “MAP”), “non-MFP executive officer” and “non-MAP executive officer” are defined in Rule G-37(g).

De Minimis Exception

Dealers are not required to report any contributions made by an MFP or non-MFP executive officer to a municipal entity official if the MFP or non-MFP executive officer who made the contribution was entitled to vote for the municipal entity official and the contributions from such MFP or non-MFP executive officer to the municipal entity official did not exceed, in total, \$250 per election. Similarly, municipal advisors are not required to report any contributions made by an MAP or non-MAP executive officer to a municipal entity official if the MAP or non-MAP executive officer who made the contribution was entitled to vote for the municipal entity official, and the contribution from such MAP or non-MAP executive officer to the municipal entity official did not exceed, in total, \$250 per election.

Format for Reporting Contributions

Each municipal entity official who received a reportable contribution during the calendar quarter must be listed separately. Multiple contributions by a single contributor to a single municipal entity official may be combined into a single entry that includes the total amount contributed by the single contributor during that calendar quarter. In all other cases, contributions may not be combined (*e.g.*, contributions made by two separate MFPs to the same municipal entity official must be listed separately).

Reporting of Contributions Made in Prior Quarters Upon Lapse of Form G-37x Effectiveness

If a regulated entity is submitting Form G-37 for the first time after the lapse of effectiveness of Form G-37x as a result of engaging in municipal securities business or municipal advisory business, Form G-37 must include information regarding any contributions to any municipal entity officials that would have been reportable (but had not been reported) on Form G-37 during the two-year period preceding such calendar quarter. When reporting contributions made in calendar quarters preceding the quarter for which the first Form G-37 is being submitted, the regulated entity must indicate the quarter and year in which such contribution was made. The regulated entity need not include calendar quarter information for contributions made during the calendar quarter for which such Form G-37 is being submitted.

Reporting of Automatic Exemptions from Ban on Municipal Securities Business or Municipal Advisory Business

If the regulated entity has exempted itself from a ban on municipal securities business or municipal advisory business pursuant to Rule G-37(j), the regulated entity must include in its report all the information required for other reportable contributions, including the amount of the contribution, and provide the date that the regulated entity exercised the automatic exemption.

Click the **Exempted** checkbox and complete the **Date of exemption** field.

Submission Status: Saved
You are currently acting on behalf of:

Back
Preview
Exit

I. CONTRIBUTIONS made to officials of a municipal entity

Please provide the following details. All fields are required.

Name of Municipal Entity Official:

Title of Municipal Entity Official:

State:

City: N/A

County: N/A

Other Political Subdivision: N/A

Contribution Amount: (\$)

Select Contributor Category (Please select all that apply) ?

- Dealer
- Municipal finance professional
- PAC controlled by the dealer
- PAC controlled by a municipal finance professional
- Non-MFP executive officer
- Municipal advisor
- Municipal advisor professional
- PAC controlled by a municipal advisor
- PAC controlled by a municipal advisor professional
- Non-MAP executive officer

For use in connection with automatic exemption from ban on municipal securities business or municipal advisory business only.
If this contribution is the subject of an automatic exemption pursuant to Rule G-37(j), check the following Exempted box and provide the date of such automatic exemption:

Exempted Date of exemption: (mm/dd/yyyy)

Continue
Cancel

Click the **Continue** button. A summary of the contribution information reported appears on the screen.

Payments Made to Political Parties of States or Political Subdivisions

Regulated entities must report in this section all reportable payments made to political parties of states and political subdivisions (including payments to national political parties for their non-federal accounts) during the calendar quarter.

To enter information on payments made to political parties of states or political subdivisions during the calendar quarter, click on the **Payment Information** link.



If there were no payments required to be reported pursuant to Rule G-37 during the calendar quarter, click the **Check here if none** checkbox.

Submission Status: Saved
You are currently acting on behalf of:

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II. PAYMENTS made to political parties of states or political subdivisions

Please provide the following details. All fields are required.

State:

Political Party:

Payment Amount (\$):

Select Contributor Category (Please select all that apply) ?

- Dealer
- Municipal finance professional
- PAC controlled by the dealer
- PAC controlled by a municipal finance professional
- Non-MFP executive officer
- Municipal advisor
- Municipal advisor professional
- PAC controlled by a municipal advisor
- PAC controlled by a municipal advisor professional
- Non-MAP executive officer

Continue
Cancel

On the **Payments** screen, enter the following fields:

- State
- Complete Name of the Political Party (including any city/county/state or other political subdivision)
- Payment Amount
- Contributor Category (select all that apply):
 - Dealer
 - Municipal finance professional

- PAC controlled by the dealer
- PAC controlled by a municipal finance professional
- Non-MFP executive officer
- Municipal advisor
- Municipal advisor professional
- PAC controlled by a municipal advisor
- PAC controlled by a municipal advisor professional
- Non-MAP executive officer

Click the **Continue** button. A summary of the payment information reported appears on the screen.

Submission Status: Saved
You are currently acting on behalf of: MSRB4

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REPORT PERIOD AND SUBMITTER TYPE - FIRST QUARTER, 2018, DEALER/MUNICIPAL ADVISOR

For a complete Form G-37 submission, all four sections below must be completed. Users have the option to save a Form G-37 and have another user with Form G-37 access rights to retrieve the saved Form G-37 and submit it. Final submissions must be made by an officer for the regulated entity. Refer to [MSRB Rule G-37](#) for required information and the [Submission Manual](#). Please refer to the definitions provided below by hovering over the ? symbols as well MSRB Rule G-37 for additional information.

I. CONTRIBUTIONS made to officials of a municipal entity ?

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

II. PAYMENTS made to political parties of states or political subdivisions ?

State	Political Party	Payment Amount(\$)	Contributor Category	
AK	Political Party ABC	\$500.00	Municipal finance professional	Edit Delete

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

The term “payment” is defined in Rule G-37(g).

De Minimis Exception

Regulated entities are not required to report any payments made by an MFP or non-MFP executive officer, or an MAP or non-MAP executive officer, to a political party of a state or political subdivision in which the MFP or non-MFP executive officer, or the MAP or non-MAP executive officer, was entitled to vote and which payments by such MFP or non-MFP executive officer, or, MAP or non-MAP executive officer, in total, do not exceed \$250 to that political party per year.

Format for Reporting Payments

Each state or local political party receiving a reportable payment during the calendar quarter must be listed separately. Multiple payments by a single contributor to a single state or local political party may be combined into a single entry that includes the total amount paid during that calendar quarter. In all other cases, payments may not be combined (*e.g.*, payments made by two separate MFPs or two MAPs to the same state or local political party must be listed separately).

Reporting of Payments Made in Prior Quarters upon Lapse of Form G-37x

Effectiveness

If the regulated entity is submitting Form G-37 for the first time after the lapse of effectiveness of Form G-37x as a result of engaging in municipal securities business or municipal advisory business, Form G-37 must include information regarding any payments to state or local political parties that would have been reportable (but had not been reported) on Form G-37 during the two-year period preceding such

calendar quarter. When reporting payments made in calendar quarters preceding the quarter for which the first Form G-37 is being submitted, the regulated entity must indicate the quarter and year in which such payment was made. The regulated entity need not include calendar quarter information for payments made during the calendar quarter for which such Form G-37 is being submitted.

Contributions Made to Bond Ballot Campaigns

Regulated entities must report in this section all reportable contributions made to bond ballot campaigns during the calendar quarter.

To enter information on contributions made to bond ballot campaigns, click on the **Add New Information** link.



If there were no contributions required to be reported pursuant to Rule G-37 during the calendar quarter, click the **Check here if none** checkbox.

III. CONTRIBUTIONS made to bond ballot campaigns [?](#)

A. Contributions

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

B. Reimbursement for Contributions

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

On the **Bond Ballot Contributions** screen, enter the following fields:

- Name of Bond Ballot Campaign
- State
- City or select “N/A” if not applicable
- County or select “N/A” if not applicable
- Other Political Subdivision or select “N/A” if not applicable
- Name of Issuing Municipal Entity
- Contribution Amount
- Contributor Category (select all that apply):
 - Dealer
 - Municipal finance professional
 - PAC controlled by the dealer
 - PAC controlled by a municipal finance professional
 - Non-MFP executive officer
 - Municipal advisor
 - Municipal advisor professional
 - PAC controlled by the municipal advisor
 - PAC controlled by a municipal advisor professional
 - Non-MAP executive officer
- Contribution Date

Submission Status: Saved You are currently acting on behalf of: [Back](#) [Preview](#) [Exit](#)

III. CONTRIBUTIONS made to bond ballot campaigns

A. Contributions

Please provide the following details about the contribution. All fields are required.

Name of Bond Ballot Campaign:

State:

City: N/A

County: N/A

Other Political Subdivision: N/A

Name of Issuing Municipal Entity:

Contribution Amount (\$):

Select Contributor Category (Please select all that apply) [?](#)

Dealer

Municipal finance professional

PAC controlled by the dealer

PAC controlled by a municipal finance professional

Non-MFP executive officer

Municipal advisor

Municipal advisor professional

PAC controlled by a municipal advisor

PAC controlled by a municipal advisor professional

Non-MAP executive officer

Contribution Date: (mm/dd/yyyy)

[Continue](#) [Cancel](#)

- Indicate if any of the payments or reimbursements related to the bond ballot contribution made were reimbursed by a third party. If yes, enter the name of the third party that made the payments or reimbursements and enter the amount paid.

Submission Status: Saved You are currently acting on behalf of: [Back](#) [Preview](#) [Exit](#)

III. CONTRIBUTIONS made to bond ballot campaigns

B. Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

Name of Third Party Making Payments or Reimbursements:

Reimbursement Amount (\$):

[Continue](#) [Cancel](#)

Then click the **Continue** button.

The term “bond ballot campaign” is defined in Rule G-37(g).

De Minimis Exception

Regulated entities are not required to report any contributions made by an MFP or non-MFP executive officer, or an MAP or non-MAP executive officer, to a bond ballot campaign for a ballot initiative with respect to which the MFP or non-MFP executive officer, or the MAP or non-MAP executive officer, was entitled to vote and which contributions by such MFP or non-MFP executive officer, or MAP or non-MAP executive officer, in total, do not exceed \$250 per ballot initiative.

Format for Reporting Contributions

Each bond ballot campaign receiving a reportable contribution during the calendar quarter must be listed separately. Multiple contributions by a single contributor to a single bond ballot campaign may be combined into a single entry that includes the total amount contributed during that calendar quarter. In all other cases, contributions may not be combined (*e.g.*, contributions made by two separate MFPs or MAPs to the same bond ballot campaign must be listed separately).

Reporting of Contributions Made in Prior Quarters upon Lapse of Form G-37x Effectiveness

If the regulated entity is submitting Form G-37 for the first time after the lapse of effectiveness of Form G-37x as a result of engaging in municipal securities business or municipal advisory business, Form G-37 must include information regarding any contributions to bond ballot campaigns that would have been reportable (but had not been reported) on Form G-37 during the two-year period preceding such calendar quarter. When reporting contributions made in calendar quarters preceding the quarter for which the first Form G-37 is being submitted, the regulated entity must indicate the quarter and year in which such contribution was made. The regulated entity need not include calendar quarter information for contributions made during the calendar quarter for which such Form G-37 is being submitted.

Municipal Entities with which The Regulated Entity Has Engaged in Municipal Securities Business or Municipal Advisory Business

In compliance with Rule G-37, regulated entities must report in this section all municipal entities with which they have engaged in municipal securities business or municipal advisory business during the calendar quarter.

Municipal securities business is defined in Rule G-37(g) as:

(A) the purchase of a primary offering (as defined in Rule A-13(f)) of municipal securities from a municipal entity on other than a competitive bid basis (*e.g.*, negotiated underwriting);

(B) the offer or sale of a primary offering of municipal securities on behalf of any municipal entity (*e.g.*, private placement);

(C) the provision of financial advisory or consultant services to or on behalf of a municipal entity with respect to a primary offering of municipal securities in which the dealer was chosen to provide such services on other than a competitive bid basis; and

(D) the provision of remarketing agent services to or on behalf of a municipal entity with respect to a primary offering of municipal securities in which the dealer was chosen to provide such services on other than a competitive bid basis.

Municipal Advisory Business is defined in Rule G-37(g) as those activities that would cause a person to be a municipal advisor as defined in Section 15B(e)(4) of the Act, 17 CFR 240.15Ba1-1(d)(1)-(4) and other rules and regulations thereunder, including: (A) the provision of advice to or on behalf of a municipal entity or an obligated person with respect to municipal financial products or the issuance of municipal securities, including advice with respect to the structure, timing, terms, and other similar matters concerning such financial products or issues and (B) the solicitation of a municipal entity or obligated person, within the meaning of Section 15B(e)(9) of the Act and the rules and regulations thereunder.

Municipal Securities Business or Municipal Advisory Business

Municipal Securities Business

Information about the municipal securities business must be provided based on the guidelines below.

Activities Not Required to be Reported

Dealers are not required to report the purchase of a primary offering from the issuer on a purely competitive bid basis. In addition, dealers are not required to report participation in a primary offering of municipal bonds as a selling group member or in a primary offering of municipal fund securities as a selling dealer. Further, only business with a municipal entity need be reported. For example, if a dealer serves as financial advisor to a non-governmental conduit borrower in a bond offering and does not provide financial advisory service to the municipal entity issuer, this activity should not be listed as financial advisory services for purposes of Form G-37.

Format for Reporting Municipal Securities Business

Each issuer with which the dealer has engaged in municipal securities business during the calendar quarter must be listed separately.

Time Frame for Reporting Municipal Securities Business

In determining when to list municipal securities business, dealers should adhere to the following guideline:

- For negotiated underwritings, include the municipal securities business by no later than the report for the calendar quarter in which the settlement date occurs;
- For private placements, include the municipal securities business by no later than the report for the calendar quarter in which the settlement date occurs;
- For a continuous offering (*e.g.*, municipal fund securities), such municipal securities business should be included by no later than the report for the calendar quarter in which the first sales are settled but need not be listed in future calendar quarters;
- For financial advisory services, indicate the municipal securities business in the report for the calendar quarter in which an agreement is reached to provide the services ([MSRB Rule G-23](#), on activities of financial advisors, requires dealers to have a written agreement with issuers); thereafter, do not continue to list an ongoing financial advisory arrangement with an issuer but do list the services for any reporting period in which the settlement date for a new issue on which the dealer acted as financial advisor occurs; and
- For remarketing agent activities, indicate the municipal securities business in the report for the calendar quarter in which an agreement is reached to provide the services; thereafter, do not continue to list an ongoing remarketing agent arrangement with a municipal entity.

To enter information on municipal entities with whom the dealer has engaged in municipal securities business, click the **Add New Information** link in the Municipal Securities Business section.



If there was no municipal securities business required to be reported pursuant to Rule G-37 during the calendar quarter, click the **Check here if none** checkbox.

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business ?

Select one of the options below

Pre-populate from previous quarter.

 Check here if none. ?

On the **Municipal Securities Business** screen, enter the following fields:

- Municipal Entity Name
- State
- City or select “N/A” if not applicable
- County or select “N/A” if not applicable



The **Municipal Entity Name** should include the complete name of the municipal entity. If the municipal entity name does not include the name of the city, county, state or other political subdivision of which it is part or instrumentality (such as an authority of a county or a department of a city), the name of such city, county, state or other political subdivision must be included.

The term “municipal entity” is defined in Rule G-37(g).

Click the **Municipal Securities Business** radio button.

Select the applicable Municipal Securities Business Type type(s):

- Negotiated underwriting
- Private placement (or municipal fund securities, etc.)
- Financial advisor
- Remarketing agent

Then click the **Continue** button.

Submission Status: Saved You are currently acting on behalf of: [Back](#) [Preview](#) [Exit](#)

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business

Please provide the following details about the municipal entity with which the regulated entity has engaged in municipal securities business.

Municipal Entity Name:

State:

City: N/A

County: N/A

Municipal Securities Business:

- Negotiated underwriting [?](#)
- Financial advisor [?](#)
- Remarketing agent [?](#)
- Private placement [?](#)

[Continue](#) [Cancel](#)

In lieu of manually entering the municipal entities with which the regulated entity has engaged in municipal securities business, regulated entities may import the same data from an Excel or CSV data file. Click the **Import Excel or CSV Data File Information** link.

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business [?](#)

State	Municipal Entity Name	City/County	Municipal Securities Business Type	
AK	ABC County	City of XYZ	Negotiated underwriting, Financial advisor, Remarketing agent, Private placement	Edit Delete

Select one of the options below

[Add New Information](#) Pre-populate from previous quarter. [Import Excel or CSV Data File Information](#) Check here if none. [?](#)

Click the **Choose File** button to locate the file on your computer or drag and drop the file.

Municipal Securities Business

For instructions on completing your excel or csv file, click here. To view an example click here.

[Choose file](#) or drag it here.

Dealer-municipal advisors that wish to make a single Form G-37 submission to satisfy their Form G-37 reporting obligations and wish to import municipal securities business and municipal advisory business information must import a separate file for their municipal securities business information and separate file for their municipal advisory business information.

Certain fields will be validated for acceptable values and may be flagged for correction; however, it is the responsibility of the regulated entity to ensure that information is accurate and conforms to the stated requirements per Rule G-37.

Municipal Advisory Business

Information about the municipal advisory business must be provided based on the guidelines below.

Format for Reporting Municipal Advisory Business

Each municipal entity with which the municipal advisor has engaged in municipal advisory business during the calendar quarter must be listed separately. A municipal advisor third-party solicitor must disclose that it has engaged in municipal advisory business with a municipal entity if it is engaged to solicit, or has solicited, a municipal entity on behalf of certain third-parties as contemplated under the term, “municipal advisory business,” applying the guidelines below. Any other municipal advisor must disclose that it has engaged in municipal advisory business with a municipal entity if it is engaged to provide certain advice, or has provided certain advice, to a municipal entity as contemplated under the term, “municipal advisory business” applying the guidelines below.

Activities Not Required to be Reported

Only business with a municipal entity need be reported. For example, if a municipal advisor serves as a municipal advisor to a non-governmental conduit borrower in a bond offering and does not serve as a municipal advisor to the municipal entity issuer, this activity is not required to be listed for purposes of Form G-37.

Timeframe for Reporting Municipal Advisory Business

In determining when to list municipal advisory business, municipal advisors should adhere to the following guidelines.

Municipal advisor third-party solicitors:

- For solicitation before an agreement is reached to solicit business from the municipal entity, indicate the municipal advisory business on Form G-37 for any calendar quarter in which the municipal advisor solicited such municipal entity;
- For new solicitation agreements, indicate the municipal advisory business on Form G-37 for the calendar quarter in which an agreement is reached to solicit such municipal entity; and
- List any ongoing engagement to solicit a municipal entity on Form G-37 for any calendar quarter in which the municipal advisor solicited such municipal entity.

All other municipal advisors:

- For municipal advisory services provided before an agreement is reached to engage in municipal advisory business with the municipal entity, indicate the municipal advisory business on Form G-37 for any calendar quarter in which the municipal advisor engaged in municipal advisory activities for such municipal entity;
- For new municipal advisory services, indicate the municipal advisory business on Form G-37 for the calendar quarter in which an agreement is reached to provide the services; and
- List any ongoing municipal advisory business engagement with a municipal entity on Form G-37 for any calendar quarter in which the municipal advisor engaged in municipal advisory activities for such municipal entity.

To enter information on municipal entities with whom a municipal advisor has engaged in municipal advisory business, click the **Municipal Advisory Business Information** link.



If there was no municipal advisory business required to be reported pursuant to Rule G during the calendar quarter, click the **Check here if none** checkbox.

B. Municipal Advisory Business ?

Select one of the options below

[Add New Information](#) |
 Pre-populate from previous quarter. |
 [Import Excel or CSV Data File Information](#) |
 Check here if none. ?

On the **Municipal Advisory Business** screen:

Select the applicable Municipal Advisory Business type(s):

- Advice
- Solicitation

Enter the following fields:

- State (Mandatory field for Advice)
- Municipal Entity Name
- City or select “N/A” if not applicable
- County or select “N/A” if not applicable

If solicitation is selected, enter **Name of Third Party on Behalf of which Business was Solicited** and select the **Nature of the Solicited Business**.

Then click the **Continue** button.

Submission Status: Saved You are currently acting on behalf of: [Back](#) [Preview](#) [Exit](#)

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

B. Municipal Advisory Business

Please provide the following details about the municipal entity with which the regulated entity has engaged in municipal advisory business.

State: N/A

Municipal Entity Name:

City: N/A

County: N/A

Municipal Advisory Business:

Advice Solicitation

Name of Third Party on Behalf of which Business was Solicited:

Nature of the Solicited Business:

Municipal securities business

Municipal advisory business

Investment advisory services

[Continue](#) [Cancel](#)

In lieu of manually entering the municipal entities with which the regulated entity has engaged in municipal advisory business, regulated entities may import the same data from an Excel or CSV data file. Click the **Import Excel or CSV Data File Information** link.

Certain fields will be validated for acceptable values and may be flagged for correction; however, it is the responsibility of the regulated entity to ensure that information is accurate and conforms to the stated requirements per Rule G-37.

B. Municipal Advisory Business [?](#)

Select one of the options below

[Add New Information](#) Pre-populate from previous quarter. [Import Excel or CSV Data File Information](#) Check here if none. [?](#)

Click the **Choose File** button to locate the file on your computer.

Municipal Advisory Business

For instructions on completing your excel or csv file, click here. To view an example click here.

[Choose file](#) or drag it here.

Bond Ballot-Approved Offerings

To enter information on the municipal entities with whom the regulated entity has engaged in municipal securities business or municipal advisory business related to bond ballot-approved offerings, click the **Add New Information** link for **Ballot-Approved Offerings**.



If there was no business related to ballot-approved offerings required to be reported pursuant to Rule G-37 during the calendar quarter, click the **Check here if none** checkbox.

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | [Import Excel or CSV Data File Information](#) | Check here if none. [?](#)

B. Municipal Advisory Business [?](#)

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | [Import Excel or CSV Data File Information](#) | Check here if none. [?](#)

C. Ballot-Approved Offerings

Select one of the options below

[Add New Information](#) | Pre-populate from previous quarter. | Check here if none.

On the **Ballot-Approved Offerings** screen, enter the following fields:

- Full Municipal Entity Name
- Full Description of Municipal Securities Issue
- Reportable Date of Selection of Dealer or Municipal Advisor

Then click the **Continue** button.

Submission Status: Saved You are currently acting on behalf of: [Back](#) [Preview](#) [Exit](#)

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

C. Ballot-Approved Offerings

Please provide the full name of the municipal entity and full issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Municipal Entity: Reportable Date of Selection:

Full Issue Description:

[Continue](#) [Cancel](#)

Such information must be reported in the calendar quarter for which the closing date for the issuance that was authorized by the bond ballot campaign occurred.

The term “reportable date of selection” is defined in Rule G-37(g).

Now that all four required sections of Form G-37 are complete, you may preview the information by clicking the **Preview** button.

Submission Status: Saved You are currently acting on behalf of: MSRB4

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REPORT PERIOD AND SUBMITTER TYPE - THIRD QUARTER, 2017, DEALER/MUNICIPAL ADVISOR

For a complete Form G-37 submission, all four sections below must be completed. Users have the option to save a Form G-37 and have another user with Form G-37 access rights to retrieve the saved Form G-37 and submit it. Final submissions must be made by an officer for the regulated entity. Refer to [MSRB Rule G-37](#) for required information and the [Submission Manual](#). Please refer to the definitions provided below by hovering over the [?](#) symbols as well MSRB Rule G-37 for additional information.

I. CONTRIBUTIONS made to officials of a municipal entity [?](#)

State	Municipal Entity Official	Contribution Amount(\$)	City/County/State or Other Political Subdivision	Contributor Category	
IN	John Doe, Governor of XYZ	\$500.25	City of XYZ/County of ABC/IN/XY	Housing Authority Dealer	Edit Delete

Select one of the options below
[Add New Information](#) Pre-populate from previous quarter. Check here if none.

II. PAYMENTS made to political parties of states or political subdivisions [?](#)

State	Political Party	Payment Amount(\$)	Contributor Category	
IA	Independent Party of HB	\$1,000.00	Municipal advisor	Edit Delete

Select one of the options below
[Add New Information](#) Pre-populate from previous quarter. Check here if none.

III. CONTRIBUTIONS made to bond ballot campaigns [?](#)

A. Contributions

State	Name of Bond Ballot Campaign	City/County/State or Other Political Subdivision	Name of Issuing Municipal Entity	Contribution Amount(\$)	Contributor Category	Contribution Date	
HI	XYZ Bond Ballot Campaign	City of ABC/County of XYZ/HI/XYZ	Housing Authority XYZ County	\$900.00	Non-MAP executive officer	1/31/2100	Edit Delete

Select one of the options below
[Add New Information](#) Pre-populate from previous quarter. Check here if none.

B. Reimbursement for Contributions

Third Party Name	Contribution Amount(\$)	
Third Party Reimbursement	\$550.75	Edit Delete

If any information on the preview screen needs to be changed, click **Edit** to make the changes.



Once a submission is published, that submission cannot be edited. However, regulated entities may update or correct a previous submission, by creating a separate submission will be reflected as an amendment to the prior submission. To do so, select the UPDAT option (not the CREATE option) on the first page of the Political Contributions submission page in EMMA Dataport. Once all information is correct, click the **Publish** button.

Submission Status: Saved You are currently acting on behalf of: MSRB4

[Publish](#) [Edit](#) [Exit](#)

BY CLICKING THE PUBLISH BUTTON, YOU WILL BE SUBMITTING THIS FORM TO THE MSRB.

PREVIEW

G-37 Contributions Summary
Report Period and Role - Third Quarter, 2017, DEALER/MUNICIPAL ADVISOR

I. CONTRIBUTIONS made to officials of a municipal entity

State	Municipal Entity Official	Contribution Amount(\$)	City/County/State or Other Political Subdivision	Contributor Category
IN	John Doe, Governor of XYZ	\$500.25	City of XYZ/County of ABC/IN/XY Housing Authority	Dealer

II. PAYMENTS made to political parties of states or political subdivisions

State	Political Party	Payment Amount(\$)	Contributor Category
IA	Independent Party of HB	\$1,000.00	Municipal advisor

III. CONTRIBUTIONS made to bond ballot campaigns

A. Contributions

State	Name of Bond Ballot Campaign	City/County/State or Other Political Subdivision	Name of Issuing Municipal Entity	Contribution Amount(\$)	Contributor Category	Contribution Date
HI	XYZ Bond Ballot Campaign	City of ABC/County of XYZ/HI/XYZ Housing Authority	XYZ County	\$900.00	Non-MAP executive officer	1/31/2100

B. Reimbursement for Contributions

Third Party Name	Contribution Amount(\$)
Third Party Reimbursement	\$550.75

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business

A. Municipal Securities Business

State	Municipal Entity Name	City/County	Municipal Securities Business Type
IA	XYZ County	City of XYZ/County of DR	Negotiated underwriting, Financial advisor, Remarketing agent, Private placement

The following screen will appear.

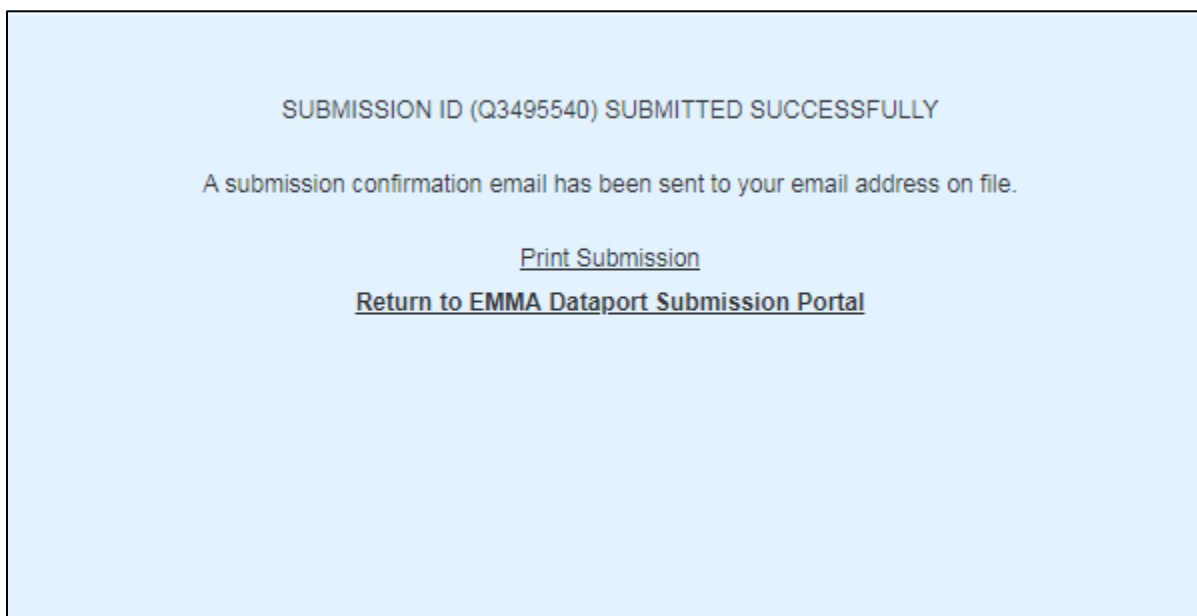
Final submissions must be made by an officer for the regulated entity. Are you sure you want to publish ?

[Yes](#) [No](#)

Click the **Yes** button and the following confirmation screen will appear indicating the MSRB has received the Form G-37 submission. The submission will automatically be published on the EMMA website.

To print your submission, click the **Print Submission** link. A PDF of the information submitted will appear on the screen.

To return to EMMA Dataport, click the **Return to EMMA Dataport Submission Portal** link.



Part 4: Electronic Submission of Form G-37x

Regulated entities must be fully cognizant of the acknowledgements and certification set forth in Form G-37x. In particular, regulated entities must be aware of the circumstances under which the effectiveness of Form G-37x may lapse and of the actions that regulated entities may be required to undertake pursuant to Rule G-37(e)(iii) upon such lapse.

Click the **Create** button next to **Electronic Form G-37x Submission** to start a submission.

[Resources](#)

- Electronic Form G-37 Submission**

CREATE
UPDATE

Form G-37 must be submitted for a calendar quarter if the regulated entity has ANY information to report on Form G-37 UNLESS the regulated entity has an effective Form G-37x on file with the MSRB. For example, even if a regulated entity did not make any reportable contributions, payments to political parties or contributions to bond ballot campaigns during the relevant calendar quarter, a Form G-37 submission still must be submitted if the regulated entity engaged in any municipal securities business or municipal advisory business, as applicable, with a municipal entity during the relevant calendar quarter.
- Electronic Form G-37x Submission**

CREATE

A regulated entity may file a Form G-37x if the regulated entity has not engaged in municipal securities business or municipal advisory business, as applicable, during the seven consecutive calendar quarters immediately preceding the relevant calendar quarter. Once filed, the regulated entity is not required to make subsequent quarterly Form G-37 submissions unless it engages in municipal securities business or municipal advisory business, as applicable, after filing the Form G-37x.

The following screen will appear. Your Officer Name, Phone Number and Address appear to the bottom left of the screen.

Submission Status: Not Published

You are currently acting on behalf of: MSRB4
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G-37X SUBMISSION

Name of dealer: MSRB4

The undersigned, on behalf of the dealer identified above, does hereby certify that such dealer did not engage in "municipal securities business" (as defined in Rule G-37) during the eight full consecutive calendar quarters ending immediately on or prior to the date of this Form G-37x.

The undersigned, on behalf of such dealer, does hereby acknowledge that, notwithstanding the submission of this Form G-37x to the MSRB, such dealer will be required to:

- (1) submit Form G-37 for each calendar quarter unless it has met all of the requirements for an exemption set forth in Rule G-37(e)(ii) for such calendar quarter;
- (2) undertake the recordkeeping obligations set forth in Rule G-8(a)(xvi) at such time as it no longer qualifies for the exemption set forth in Rule G-8(a)(xvi)(K);
- (3) undertake the disclosure obligations set forth in Rule G-37(e), including in particular the disclosure obligations under paragraph (e)(iii) thereof, at such time as it no longer qualifies for the exemption set forth in Rule G-37(e)(ii)(B); and
- (4) submit a new Form G-37x in order to again meet the requirements for the exemption set forth in Rule G-37(e)(ii)(B) in the event that the dealer has engaged in municipal securities business subsequent to the date of this Form G-37x and thereafter wishes to qualify for said exemption.

Officer Name: JOHN DOE
 Phone: 222-222-2222
 Address: 123 Main Street City, ST 12345

Click the **Preview** button.

Submission Status: Not Published
You are currently acting on behalf of: MSRB4

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G-37X SUBMISSION

Name of dealer: MSRB4

The undersigned, on behalf of the dealer identified above, does hereby certify that such dealer did not engage in "municipal securities business" (as defined in Rule G-37) during the eight full consecutive calendar quarters ending immediately on or prior to the date of this Form G-37x.

The undersigned, on behalf of such dealer, does hereby acknowledge that, notwithstanding the submission of this Form G-37x to the MSRB, such dealer will be required to:

- (1) submit Form G-37 for each calendar quarter unless it has met all of the requirements for an exemption set forth in Rule G-37(e)(ii) for such calendar quarter;
- (2) undertake the recordkeeping obligations set forth in Rule G-8(a)(xvi) at such time as it no longer qualifies for the exemption set forth in Rule G-8(a)(xvi)(K);
- (3) undertake the disclosure obligations set forth in Rule G-37(e), including in particular the disclosure obligations under paragraph (e)(iii) thereof, at such time as it no longer qualifies for the exemption set forth in Rule G-37(e)(ii)(B); and
- (4) submit a new Form G-37x in order to again meet the requirements for the exemption set forth in Rule G-37(e)(ii)(B) in the event that the dealer has engaged in municipal securities business subsequent to the date of this Form G-37x and thereafter wishes to qualify for said exemption.

Officer Name: JOHN DOE
 Phone: 222-222-2222
 Address: 123 Main Street City, ST 12345

The preview of Form G-37x appears on the screen. Click the **Publish** button.

Submission Status: Not Published
You are currently acting on behalf of: MSRB4

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BY CLICKING THE PUBLISH BUTTON, YOU WILL BE SUBMITTING THIS FORM TO THE MSRB.

PREVIEW

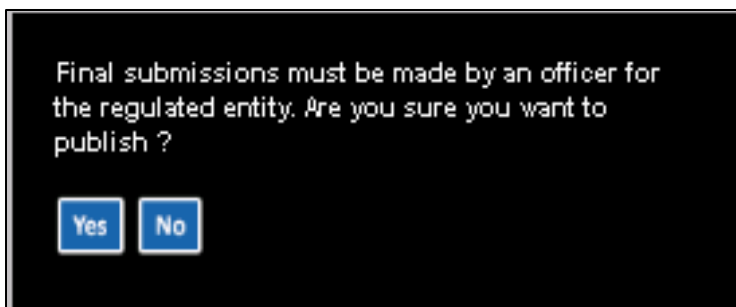
G-37x Submission Summary

NOTE: The data below will be input into your G-37x form. If any of this data is incorrect, you must update it in MSRB Gateway. Otherwise, confirm by clicking on the Publish button below.

Form Type: G-37x
 Dealer Name: MSRB4
 Officer Name: JOHN DOE
 Phone: 222-222-2222
 Address: 123 Main Street City, ST 12345

Publish
Edit
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The following screen will appear.



Click the **Yes** button and the following confirmation screen will appear indicating the MSRB has received your Form G-37 submission.

To print your submission, click the **Print Submission** link.

To return to EMMA Dataport, click the **Return to EMMA Dataport Submission Portal** link.

