

## Board of Directors Application Portal

Read the instructions carefully and refer to the [Frequently Asked Questions](#) before completing this form. All fields are required unless otherwise noted. If you need to complete your application at a later time, click Save at the end of the form. You can re-access your application before the deadline by logging into the application portal with your email address and password. Once you have completed the application, click the Print button at the bottom of the page for a copy, and click Submit to send the form to the MSRB. Applications will not be accepted after the deadline.

If you have any questions or comments, contact MSRB staff at [BoardApplication@msrb.org](mailto:BoardApplication@msrb.org) or 202-838-1341

Do not use the "Back" or "Forward" buttons within your browser as it may result in the loss of data.

## Contact Information

Title:

First Name:  Middle Initial (optional):  Last Name:

Name of Employer (if applicable):

Professional Title (if applicable):

Address (home or business):

City:  State:  Zip:

Primary Phone: (  )  -  Alternate Phone : (  )  -

Email:

Website (if applicable):

## Membership Categories

Refer to the [Frequently Asked Questions](#) and select the appropriate category. If you are uncertain of your category or eligibility, contact MSRB staff prior to submitting an application at [BoardApplication@msrb.org](mailto:BoardApplication@msrb.org) or 202-838-1341. Note: Staff may request additional information as needed to verify your category and will make the final determination of your correct category and eligibility.

### PUBLIC

- Institutional Investor (if employed by a company that invests in municipal securities or invests in municipal securities for third-party institutions or individuals)
- Retail or Individual Investor (any member of the public who invests in municipal securities on an individual basis)
- Municipal Entity (if employed by a state agency, authority or instrumentality, or any other issuer of municipal securities)
- General (any member of the public not described by or seeking to represent any of the other categories)

### REGULATED

- Bank Dealer (if employed by a bank, a bank holding company, or any department, division, subsidiary [including a broker-dealer subsidiary] or affiliate of a bank or a bank holding company; provide the name of the bank holding company if not identified under organization in the contact information field)  
Name of bank holding company:
- Broker-Dealer (if employed by a securities firm)
- Non-Dealer Municipal Advisor (if employed by a registered municipal advisor not associated with a broker, dealer or municipal securities dealer)

## Resumes

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Provide a resume (or list of your employment history) by attaching a document to the field below. **Note: a resume is not a substitute for responses to the questions below. You must answer each question relevant to the category for which you are applying in the field provided irrespective of whether the response information may be found in your resume. Other documents such as publications and articles are not necessary.**

Add documents...

## Letters of Recommendation

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Letters for recommendation are not required; however, if you choose to include them, submit no more than two. Include letters of recommendation by attaching the document(s) to the field below.

Add documents...

## Background Information (The following fields are limited to 2,000 characters.)

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The Securities Exchange Act of 1934 requires all MSRB Board members to be knowledgeable of matters related to the municipal securities markets. Briefly describe your knowledge in this area and the means by which you acquired this knowledge.

**Provide the information requested below to assist in identifying your relevant experience and eligibility based on your selected category (items a-f). If you are currently employed and your employer's activities are not representative of the category for which you are applying, also describe your employer's primary business activities (you may respond to more than one item below).**

**(a) Institutional or Retail investor:** Describe and provide the total average par value of the municipal securities portfolio you manage for your employer, clients or yourself. Regarding public member eligibility, identify whether you or your employer, if applicable, has any business relationship with brokers, dealers, municipal securities dealers (other than a brokerage account relationship) or municipal advisors, including, but not limited to, consulting or contractual relationships and referral agreements.

**(b) Municipal entity:** Describe and provide the total number of primary offerings (and their total par value) issued by your employer over the last three years, and describe your role in the issuance activity.

**(c) Public general:** Describe and provide any additional information regarding your level of involvement in, or knowledge of, the municipal securities market. Regarding public member eligibility, identify whether you or your employer, if applicable, has any business relationship with brokers, dealers, municipal securities dealers (other than a brokerage account relationship) or municipal advisors, including, but not limited to, consulting or contractual relationships and referral agreements.

**(d) Bank dealer: (i)** Describe the scope of your organization's municipal business and describe which areas you been involved with. **(ii)** Include a summary of scale of activities including negotiated underwriting, competitive underwriting, secondary market trading, institutional and retail sales, private placements and advisory business. How important is the retail investor to your business?

**(e) Broker-dealer: (i)** Describe the scope of your organization's municipal business and describe which areas you have been involved with. **(ii)** Include a summary of scale of activities including negotiated underwriting, competitive underwriting, secondary market trading, institutional and retail sales, private placements and advisory business. How important is the retail investor to your business?

**(f) Municipal advisor: (i)** Describe the nature of and extent of your firm's municipal advisory business and other activities. **(ii)** And describe your involvement in providing municipal advisory services over the last three years.

**Describe any experience you have with serving on a board of directors of either a for-profit or non-profit organization or any other experience in a leadership capacity. Please discuss any experience with management of organizational matters.**

**Education**

**Professional Honors/Associations**

Other Information (The following fields are limited to 3,000 characters.)

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Provide the following information directly in the fields below.

**Why do you want to serve on the MSRB Board of Directors?**

**What do you believe are the most pressing issues and/or risks in the industry today? In addition, please provide any views you may have on other topics in the industry currently that you believe are important to address. Possible topics to consider include the (i) advancement of electronic trading platforms and the regulatory regime governing such, and/or (ii) evolution of Environmental, Social, and Corporate Governance (ESG) bonds and the necessary regulatory regime to support ESG bonds. For any topics you wish to address, describe your views on the role of the MSRB with such topics.**

**How effective has the MSRB been in protecting municipal entities and investors and as a Board Member what expertise or suggestions would you offer to continue or improve the effectiveness of the MSRB.**

If you are applying for a regulated entity category, respond to one of the following (items a-b). If you have experience in both categories, you may complete both sections below.

(a) **Bank dealer and broker-dealer:** In your experience, describe the biggest market and regulatory challenges that you see in the primary market and secondary market for municipal bonds currently. How efficiently and fairly do you feel the municipal market operates?

(b) **Municipal advisor:** Describe your experience with implementing and complying with the regulatory framework for municipal advisors established by the MSRB and the SEC. Please describe how you feel about whether regulations relative to municipal advisors are effective.

The MSRB Board of Directors seeks to achieve diversity among its members. Describe ways in which you can contribute to and/or advance the Board's goal of diversity to broaden representation of the municipal securities market. You may take this opportunity to provide personal information and/or professional attributes which are diverse.

I understand and agree that, by applying for a position on the Board of Directors, my name will be published on the MSRB's website within one week of the selection of new Board members for the fiscal year beginning on October 1, 2021 and that I must provide the necessary information as requested by MSRB staff to confirm my eligibility and category for my application to be considered.

Accept  Decline (If you decline, you will no longer be considered for a position.)

**Name:**

Once the application has been submitted, contents cannot be modified.

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