

G-37 Municipal Advisory Business Import Instructions

Section IV. B Import Instructions

For section IV.B, Municipal Entities with which the regulated entity has engaged in municipal advisory business, please provide the following information in Excel or CSV format:

- Column A - Name of Municipal Entity (Required Field) *example: XYZ County*
- Column B - State (Required Field)
- Column C - City (Required if available. If not available, enter "NA") *example: City of XYZ*
- Column D - County (Required if available. If not available, enter "NA") *example: County of XYZ*
- Column E - Type of Municipal Advisory Business (Required Field. Types of municipal advisory business: Advice or Solicitation)
- Column F - Name of Third-Party (Required if type of municipal advisory business is Solicitation)
- Column G - Nature of Business Being Solicited (Required if type of municipal advisory business is Solicitation. Types of business being solicited: Municipal Security Business, Municipal Advisory Business or Investment Advisory Services)

Enter the requested information for each of the columns above starting on Row 2.