

# CUSTOMER TRANSACTION REPORTING FORM

Firm MSRB Number:

Firm Name:

Firm Address:

Please check here if the above dealer does not effect transactions in municipal securities reportable under Rule G-14<sup>1</sup>, does not intend to do so in the future and does not intend to submit transactions to the MSRB on behalf of other dealers. (If this box is checked, it is not necessary to complete the entire form, but please include your name and telephone number on this page and return it to the MSRB.)

**Please identify the person to whom mailings on the Transaction Reporting Program should be addressed. Note: The MSRB will consider this person to be responsible for distributing the information properly within the firm or bank.**

Name (please print) \_\_\_\_\_  
FIRST MI LAST  
Title/Department \_\_\_\_\_  
(E.G., DIRECTOR, MUNICIPAL SECURITIES DEPT. OR COMPLIANCE OFFICER)  
Phone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_  
Address \_\_\_\_\_  
(if different \_\_\_\_\_  
than above) \_\_\_\_\_  
CITY STATE ZIP

## Point-of-contact regarding technical matters (file format, telecommunications, etc.)

Name (please print) \_\_\_\_\_  
FIRST MI LAST  
Title/department \_\_\_\_\_  
Phone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_  
Address \_\_\_\_\_  
(if different \_\_\_\_\_  
than above) \_\_\_\_\_  
CITY STATE ZIP

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<sup>1</sup> G-14(b)(iii) The following transactions shall not be required to be reported under this section (b):  
(A) a transaction in a municipal security that is ineligible for assignment of a CUSIP number by the Board or its designee; and  
(B) a transaction in a municipal fund security.



**Method for Submitting Customer Transaction Records to the MSRB**

National Securities Clearing Corporation (NSCC) is providing its participants the ability to transmit files containing MSRB customer transaction records to NSCC for automatic forwarding to the MSRB. The MSRB expects that most dealers will route transactions to the MSRB through their existing telecommunications links with NSCC.

Do you plan to provide your MSRB customer transaction data:

Directly to NSCC

Indirectly through a clearing agent or Service Bureau

Firm Name \_\_\_\_\_

Phone ( ) \_\_\_\_\_

**DIAL-UP FACILITY FOR DIRECT TRANSMISSION TO MSRB**

As noted above, the MSRB expects that high-volume submitters of municipal transaction information will route transactions to the MSRB through their existing telecommunications links with NSCC. The MSRB, however, also will offer a dial-up facility that allows submitters to send relatively small files directly to the MSRB by using a personal computer and a telephone modem. This facility is intended for low-volume submissions and for auxiliary submissions, supplementing, if necessary, transmissions made through NSCC. Please note that the MSRB dial-up facility will run **only** on computers using the Windows 95 or Windows NT operating systems. Submitters using this method of transmitting files directly to the MSRB will still need a means to generate files from their own records that meet MSRB file and record format specifications (not NSCC). *Note that the dial-up facility will connect directly to the MSRB. It will not be possible to dial-up to NSCC for the purpose of reporting customer trades to the MSRB.*

Do you wish to receive a copy of the PC TRS software for use by your firm?

Yes

No

Questions about how to complete this form can be directed to a Transaction Reporting Assistant at (703) 797-6600.



FIRM NAME \_\_\_\_\_

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5

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