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MSRB GATEWAY USER MANUAL

Version 2.0



MSRB

Municipal Securities
Rulemaking Board

Revision History

Version	Date	Major Changes
1.0	October 2008	Initial version
1.1	December 2008	
2.0	November 2010	Update screenshots, incorporated new registration process and G-40 account management

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Gateway Overview

MSRB Gateway serves as a secure access point for all MSRB systems. All users are required to register with the MSRB via the online registration process in Gateway before an MSRB Gateway account is created. Once the MSRB Gateway account is created, certain account types allow the Master Account Administrator and Account Administrator to add additional user accounts to their organization and grant access rights to various MSRB systems to those users.

Gateway is single access point for all MSRB systems including and not limited to the systems listed below.

- Electronic Municipal Market Access (EMMA)
- Real-time Transaction Reporting System (RTRS)
- Short-term Obligation Rate Transparency (SHORT) System
- G-37 submission portal

Dealers can grant appointed agents access to MSRB Gateway to submit documents or information to the MSRB on their behalf (e.g. primary market documents in connection with the MSRB's Electronic Municipal Market Access (EMMA) system). Dealers can also grant Gateway access to program dealers, remarketing agents, auction agents and designated agents for submitting information to MSRB's SHORT system. Instructions for agent designations can be found in the companion user manual entitled "MSRB Gateway Agent Invitation and Designation User Manual."

Gateway has a "Groups" feature that makes user account management easier for large organizations. This feature allows the Master Account Administrator to create smaller groups of users which are managed by a group account administrator.

Enforcement agencies using Gateway to access "Regulator Web" may refer to the "Regulator Web User Manual" for more instructions on how to use the regulator web application in Gateway. The "Regulator Web User Manual" also provides guidance on how to use the Groups function in Gateway.

1. Gateway Users

Each MSRB Gateway account will be classified under one of the roles described below.

Master Account Administrator

The **Master Account Administrator**, also known as the primary contact, is created during the MSRB registration process. According to MSRB Rule G-40*, each broker, dealer, municipal securities dealer, or municipal advisor must appoint a primary contact. For broker dealer organizations, the primary contact must be a registered municipal securities principal¹. The Primary Contact will automatically assume the role of **Master Account Administrator**.

- * *Organizations that register as an issuer, agent or obligated person, are not subject to MSRB Rule G-40.*

The **Master Account Administrator** can manage all user accounts in Gateway. Account management functions include:

- Manage organization details
- Add new user accounts
- Modify user account profile
- Grant user account access rights
- Disable/re-enable user accounts
- Appoint Account Administrators to assist with account management functions

Account Administrator

The **Master Account Administrator** may appoint one or more **Account Administrators** to assist them with account management functions, by granting a user “Account Administrator” account access rights. Account Administrators can perform all the same account management functions as the **Master Account Administrator**, but they cannot manage the **Master Account Administrator’s** account or the organization details.

Gateway User

All individuals registered in Gateway are classified as a **Gateway User (User)**. Each **User** is responsible for keeping their user account details current. **Users** can edit the following information on their own account:

- E-mail address
- Address
- Phone numbers

1.2 Log into Gateway

To log into Gateway, the user must have an MSRB Gateway account* with a valid user ID and password. If you do not have a gateway account and you are a broker, dealer, municipal securities dealer, municipal advisor, or a regulator, contact an account administrator to create your MSRB Gateway account.

Issuers, agents and obligated persons who do not have an msrb gateway account can create an account by going through the continuing disclosure registration process, or can get invited by a registered MSRB user.

For further questions regarding registration contact the MSRB via e-mail at GatewaySupport@msrb.org or call the Market Information Department at (703)797-6668.

Use the following steps to log into Gateway:

1. Go to www.msrb.org and click on “**Login.**”

The screenshot shows the MSRB website homepage. At the top, there is a dark blue header with the MSRB logo (Municipal Securities Rulemaking Board) on the left and a navigation menu on the right: Login, About MSRB, Publications, Glossary, Email Notification, Contact and Support, System Status. Below the header is a search bar with a 'Search' button and 'Advanced Search' text. A horizontal menu below the search bar includes: Municipal Bond Market, Rules and Interpretations, Market Disclosures and Data, Market Topics, News and Events, and MSRB for... (highlighted). The main content area features a large banner with a green background on the left that says 'Protecting Investors' and 'The MSRB uses a variety of tools to oversee the municipal market.' To the right of this banner is a photograph of two elderly people sitting on a bench. Further right, there is a text box that says 'Protecting investors and the public interest through a fair and efficient municipal market.' Below this text is a 'Login' button with a green arrow, followed by 'to MSRB systems' and a help icon. At the bottom of this section, it says 'MSRB for:' followed by links for 'Investors', 'Issuers', and 'Dealers'.

2. You will be directed to the Gateway login page. Enter valid user ID and password and click “**Login.**”

Note: From the Gateway log-in page the following can also be accessed:

1. User manuals
2. System status page which provides the availability of all MSRB systems
3. Email address and phone number for Gateway support
4. Forgot password link to create a new password

Gateway Management for Municipal Securities Dealers and Municipal Advisors

2. Registration for Municipal Securities Dealers and Municipal Advisors

MSRB registration is performed via secure online access in Gateway. An organization can register as one of the following organization types: broker dealer, bank dealer, municipal advisor, and with a dual registration as a Municipal Securities Dealer or Bank Dealer and a Municipal Advisor. A user can also register as an issuer, agent or obligated person to make continuing disclosure submissions. The organization type identified during registration is determined by the market activities that will be performed.


Broker dealers, bank dealers and municipal advisors can add an additional organization type to their existing registration to reflect new market activities that they will perform.

To start the registration process, the user will go to the MSRB website www.msrb.org

Step 1. From the MSRB homepage select the user type from the dropdown menu. Each user's section has a registration link that will direct the user to an overview for MSRB registration. Click the registration link to be directed to the appropriate registration page.

Dealers

Municipal securities dealers must register with the MSRB and comply with all relevant rules governing their market activities.



MSRB Gateway Login
Log into the password-protected entry point for secure transactions with the MSRB. Gateway access is required for submitting data and documents to the MSRB.

Trade Reporting
Read about dealer requirements for reporting of municipal bond transactions to the MSRB. To access related documentation, [click here](#).

Primary Market Document Reporting
Read about dealer requirements for reporting official statements and other primary market documents to the MSRB.

Professional Qualification
Read about MSRB standards of professional qualifications and requirements for dealers.


Dealer Forms
The MSRB maintains a number of forms that must be used by dealers in conjunction with their compliance activities associated with MSRB rules.

Variable Rate Securities Reporting
Read about dealer requirements for reporting information about municipal variable rate securities to the MSRB. To access related system documentation, [click here](#).

Political Contribution Disclosures
Read about dealer requirements for disclosing political contributions made in association with municipal bond business.

Dealer Registration
Read about MSRB registration requirements for municipal securities dealers.

View Rules



The MSRB provides investor protection, fair practice and disclosure rules for securities firms and banks marketing municipal bonds and 529 college savings plans to investors.

[View Rules](#)

Step 2. The registration page will include a link to start the online registration process.

The screenshot shows the MSRB website's 'Municipal Securities Dealer Registration' page. On the left is a navigation menu with items like 'How the Market Works', 'Dealer Regulation', and 'Registration' (which is highlighted). The main content area features a 'Print' button and a heading 'Municipal Securities Dealer Registration'. Below the heading, it states that MSRB Rule A-12 requires registration and provides two ways to do so: either starting a new registration process or logging into an existing account to add a dealer role. A sidebar on the right contains a 'Glossary of Terms' section and a list of 'MSRB For...' categories including 'Investors', 'Issuers', and 'Dealers'.

Step 3. Select registration for Regulated Entities. Click the first option to register as a broker, dealer, municipal securities dealer or municipal advisor.

The screenshot shows the 'Welcome to MSRB Online Registration' form. It prompts the user to 'Please select the applicable registration type from the options listed below:'. There are two main categories: 'Issuers, Obligors and Agents' and 'Regulated Entities'. Under 'Regulated Entities', there are two radio button options: 'I am registering as a broker, dealer, municipal securities dealer or municipal advisor and have already registered with the SEC.' (which is selected) and 'My organization already has an MSRB registration, and wants to add either a municipal security dealer or municipal advisor role to our existing registration.' At the bottom of the form are 'Exit' and 'Next' buttons.

Step 4. Read the registration guidelines and press “Accept” when finished.

The screenshot shows the 'MSRB Registration' page with a section titled 'Registration Guidelines'. It welcomes users to the online registration page for brokers, dealers, municipal securities dealers, and municipal advisors. It explains that registration is required for those engaging in municipal securities dealer or municipal advisory activities. It provides instructions for new registrants to read the guidelines and for existing registrants to log into Gateway to edit their roles. At the bottom of the guidelines section are 'Cancel' and 'Continue' buttons.

Primary Contacts

For purposes of electronic communication between a registered organization and the MSRB, each registered organization must provide the MSRB with a contact person and this individual's email address. This individual will be referred to as the "Primary Contact"*. This individual will also assume the role of the organization's "Master Account Administrator" and will be responsible for the organization's user account management. The Primary Contact role will be automatically assigned to the person who registers the organization. This role can be switched at any time.

In the event that a new role is being added to an existing MSRB registration, the person performing this task must be the Primary Contact. There will be an opportunity for this individual to change the Primary Contact.

* For municipal securities dealer organizations, the Primary Contact must be either a Series 53-registered municipal securities principal or a Series 51-registered municipal fund securities limited principal. No qualifications are required for municipal advisor organizations at this time.

Registration Fees

Upon completing the online portion of the MSRB registration, you will be directed to print the MSRB registration confirmation, complete the accounting contact section, and mail it along with a payment of \$600 (\$100 for initial registration and \$500 for annual fee.) The annual fee is due for each MSRB fiscal year in which the municipal securities dealer or municipal advisor is registered with the MSRB and is not pro-rated. The MSRB fiscal year runs from October 1-September 30.

Please note: If you are adding organization roles to an existing organization no fees apply. Each firm pays only once.

Registration Status

Until the MSRB verifies your SEC number, and if applicable, processes your payment, your registration and/or your respective account role will be in "Pending" status. Once the payment is processed, the MSRB account role status will be changed to "Authorized" and a confirmation emailed to the Primary Contact.

Cancel Print Accept

Step 5. Enter the organization information. Click "OK."

MSRB Registration - Organization Information

Please provide your organization's details.

Organization Name:*

Phone Number:* - - Ext.

Fax Number: - -

Address 1:*

Address 2:

City:*

State:*

Zip:*

Country:

* required

Cancel OK

Step 6. Select organization type

An organization can register as any of the following organization types: Municipal Securities Dealer, Bank Dealer, Municipal Advisor or have a dual registration as a Municipal Securities Dealer or Bank Dealer and Municipal Advisor. See registration options below for registration requirements.

2.1 Register as a Municipal Securities Dealer

Click the box *Municipal Securities Dealer* and enter the SEC ID and FINRA CRD. Click "OK."

MSRB Registration - Add G-40 Primary Contact Information

Please provide contact details. If this information is the same as your organizational information, click 'Copy' to copy from your organizational details.

Primary Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

Step 8. Create Optional Contact if applicable. If there is no Option Contact, click “Skip.”

Optional Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

*required

The *Organization Summary* page will appear next. The *Organization Summary* page gives a summary of the organization details provided during registration. Review summary page for accuracy.

- If information is correct, click “OK” to save the information.

- If updates are necessary, click the “edit” link for the corresponding section, make the appropriate updates and click “OK.”

MSRB Registration - Organization Summary

To accept this information and complete your submission, please click the “Confirm” button below.

<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer</p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: Peter Middle Name: Last Name: Pan Name Suffix: Email Address: ohamilton@mrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 Any St. Address2: City: Any State: ST Zip: 12345</p>	<p>G-40 Optional Contact: Edit</p> <p><i>(None currently defined)</i></p>

Step 9. The person submitting the registration must identify themselves on the *Submitter Information* screen, and then click “Submit” to submit the registration to the MSRB.

MSRB Registration - Submitter Information

Please provide the name, title and telephone number of the person who prepared this form.

First Name:
Middle Name:
Last Name:
Name Suffix:
Title:
Phone Number: () -
Phone Extension:

Step 10. A Gateway screen will inform you that your registration was successfully submitted, and is in “Pending” status (pending verification of FINRA CRD no. and SEC ID numbers, and payment of registration fees). Be advised that broker dealers cannot effect municipal securities transactions until FINRA membership is approved.

The Gateway screen will also contain:

- a) Your *pending* MSRB ID.
- b) A button to print the billing form. The completed form along with a check for registration fees **must** be mailed to the MSRB. Failure to mail a completed billing form and payment will delay approval of your registration.
- c) A button to print the registration summary for proof of registration.

**Congratulations, you have successfully submitted your firm's registration to the MSRB.
Your MSRB Registration Number (MSRB ID) is A7259 (Your registration is pending)**

Your broker-dealer registration is pending SEC ID verification and payment of applicable registration fees.

Print the required billing form and mail the form together with your registration fee payment to the MSRB.

[Print Billing Form](#)

You may print a copy of the registration summary for your records:

[Registration Summary](#)

Very shortly you will receive an email acknowledging receipt of your submission.

[Exit](#)

A system generated email will also be sent to email address given during registration. The email will summarize the registration and provide the following information:

- 1) Registration status
- 2) MSRB ID and organization name
- 3) Primary Contact information
 - Optional Contact information, if available
- 4) Temporary key and a registration link to amend a registration after submission
- 5) Link for broker dealers and bank dealers to access instructions for completing Form RTRS

Thank you for submitting your organization's registration information to the Municipal Securities Rulemaking Board (MSRB). Your registration status is "Pending" until MSRB review and your payment is processed.

The current registered information for this account is:

MSRB REGISTRATION NUMBER (MSRB ID): A7259 ORGANIZATION NAME: Neverland Inc.

PRIMARY CONTACT: Peter Pan
EMAIL ADDRESS: ohamilton@msrb.org
PHONE: (222) 222-2222

To change your organization's registration information prior to MSRB authorization, please click on the link below and authenticate using your MSRB Registration Number (MSRB ID) and this temporary key:

Temporary Key: WBB7NMFGN7

Temporary Key Expiration Date: 12/5/2010 10:44:27 AM Eastern

Registration Link: <https://www.msrb.org/msrb1/control/registration/FormalRegistration/g40.asp>

Please keep this temporary key confidential to prevent unauthorized modification of your organization's 6-40 registration. This temporary key is valid for 45 days or until your first successful submission using it.

Form RTRS is used by municipal securities dealers to submit and update details about their organization and information required to report municipal securities trade activity in connection with the MSRB's Real-Time Transaction Reporting Service (RTRS). Please go to <http://www.msrb.org/msrb1/pdfs/FormRTRSInstructions.pdf> to print instructions for completing

The registration status will change from "Pending" to "Authorized" after the MSRB confirms FINRA CRD no., SEC ID number(s), the payment is processed, and FINRA registration is complete for broker dealers and bank dealers. An email will be sent to the primary contact (and optional contact if applicable). The email will provide the following information:

- 1) Registration status
- 2) Provide user ID and a link to create a password to access MSRB Gateway
- 3) Link for broker dealers and bank dealers to access instructions for completing Electronic Form RTRS

Your MSRB registration is now authorized and your Gateway account has been created. You will use your Gateway account to access MSRB systems and forms and to make updates to your organization details.

To access your Gateway account please click on the link below and enter the user ID provided.

USER ID: PPA2
PASSWORD RETRIEVAL LINK: <http://68.142.182.137/msrb1/control/forgotpassword.asp>.

Please keep this information confidential to prevent unauthorized use of your account.

Form RTRS is used by municipal securities dealers to submit and update details about their organization and information required to report municipal securities trade activity in connection with the MSRB's Real-Time Transaction Reporting Service (RTRS). Please go to <http://www.msrb.org/msrb1/pdfs/FormRTRSInstructions.pdf> to print instructions for completing Form RTRS.

The registered information for this account is:

MSRB REGISTRATION NUMBER (MSRB ID): A7259
ORGANIZATION NAME: Neverland Inc.
CURRENTLY AUTHORIZED REGISTRATION: Municipal Securities Dealer
USER NAME: Peter Pan
EMAIL ADDRESS: ohamilton@msrb.org
PHONE: (222) 222-2222
CONTACT TYPE: Primary

You can log in to the authenticated access area of the MSRB web site through <http://68.142.182.137/msrb1/control/default.asp>.

2.5 Amend a Pending Registration

If updates are required after a registration is submitted to the MSRB, the registration can be amended while it is still in “Pending” status. Follow the steps below to amend the registration.

Step 1. Retrieve the email received from the MSRB after the registration was submitted. Locate the temporary key, the temporary link and the MSRB ID. Click on the registration link to be directed to the *MSRB Registration* screen.

Thank you for submitting your organization's registration information to the Municipal Securities Rulemaking Board (MSRB). Your registration status is "Pending" until MSRB review and your payment is processed.

The current registered information for this account is:

MSRB REGISTRATION NUMBER (MSRB ID): A7246 ORGANIZATION NAME: Dealer Registration

PRIMARY CONTACT: Testing Dealer
 EMAIL ADDRESS: ohamilton@msrb.org
 PHONE: (333) 444-3333

To change your organization's registration information prior to MSRB authorization, please click on the link below and authenticate using your MSRB Registration Number (MSRB ID) and this temporary key:

Temporary Key: JX7AB44GV7

Temporary Key Expiration Date: 11/25/2010 1:17:28 PM Eastern

Registration Link: <https://www.msrb.org/msrb1/control/registration/FormalRegistration/g40.asp>

Please keep this temporary key confidential to prevent unauthorized modification of your organization's G-40 registration. This temporary key is valid for 45 days or until your first successful submission using it.

Form RTRS is used by municipal securities dealers to submit and update details about their organization and information required to report municipal securities trade activity in connection with the MSRB's Real-Time Transaction Reporting Service (RTRS). Please go to <http://www.msrb.org/msrb1/pdfs/FormRTRSInstructions.pdf> to print instructions for completing

Step 2. Populate fields with information from the email. Click “Next.”

MSRB Registration

To amend your organization's registration, you must use the MSRB Registration Number (MSRB ID) and temporary key sent to you via email to log in below. [Click here for help.](#)

If you need your Registration Number, please contact MSRB staff at 703-797-6668.

If you are the Primary Contact for a registered organization, [click here to log in.](#) If you have forgotten your UserID, please contact MSRB staff at 703-797-6668.

Login:

MSRB Registration Number:

Temporary Key:

Step 3. You will be directed to the *Organization Summary* screen. Click “Edit” on the area(s) you wish to amend. You may also add an optional contact if a contact was not identified during the initial registration. After making the desired updates, click “OK.”

MSRB Registration - Organization Summary	
To accept this information and complete your submission, please click the "Confirm" button below.	
Organizational Details: Edit Organization Name: Dealer Registration MSRB ID: A7246 Phone Number: 333 - 444 - 3333 Ext. 444 Fax Number: Address 1: 33 Any St. Address 2: City: Any State: ST Zip: 12345 Country:	Organizational Roles: Edit 1. Broker-dealer - Status: <u>Pending</u> Broker-dealer SEC ID: 2222222222 Broker-dealer CRD Number: 8888888
G-40 Primary Contact: Edit First Name: Testing Middle Name: Last Name: Dealer Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 333 - 444 - 3333 Ext. Address1: 33 Any St. Address2: City: Any State: ST	G-40 Optional Contact: Edit (None currently defined)

Step 4. After returning to the *Organization Summary* screen, click "Affirm." The updates will be saved and the amended registration will be resubmitted to the MSRB.

MSRB Registration - Organization Summary	
To accept this information and complete your submission, please click the "Confirm" button below.	
Organizational Details: Edit Organization Name: Dealer Registration MSRB ID: A7246 Phone Number: 333 - 444 - 3333 Ext. 444 Fax Number: Address 1: 33 Any St. Address 2: City: Any State: ST Zip: 12345 Country:	Organizational Roles: Edit 1. Broker-dealer - Status: <u>Pending</u> Broker-dealer SEC ID: 2222222222 Broker-dealer CRD Number: 8888888
G-40 Primary Contact: Edit First Name: Testing Middle Name: Last Name: Dealer Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 333 - 444 - 3333 Ext. Address1: 33 Any St. Address2: City: Any State: ST	G-40 Optional Contact: Edit First Name: Optional Middle Name: Dealer Last Name: Contact Name Suffix: Email Address: optionald@msrb.org Phone Number: 333 - 444 - 3333 Ext. Address1: 33 Any St. Address2: City: Any State: ST

Step 5. You will receive a submission confirmation screen.

Congratulations, you have successfully your firm's registration the MSRB.
Your MSRB Registration Number (MSRB ID) is A7246 (Your registration is pending)

Your broker-dealer registration is pending SEC ID verification and payment of applicable registration fees.
 Print the required billing form and mail the form together with your registration fee payment to the MSRB.

[Print Billing Form](#)

You may print a copy of the registration summary for your records:

[Registration Summary](#)

[Exit](#)

2.6 Add Additional Organization Type to an Existing MSRB Registration

If you already have an MSRB registration and wish to add an additional organization type, the individual designated as the organization's primary contact must log into MSRB Gateway and edit the organization type. Use the following steps to add an organization type.

Step 1. The primary contact must navigate to the *MSRB Online Registration* page and select the second option under the "Regulated Entities"

Welcome to MSRB Online Registration

Please select the applicable registration type from the options listed below:

Issuers, Obligors and Agents

I am registering as an issuer, obligor and/or agent to submit documents to EMMA.

Regulated Entities

I am registering as a broker, dealer, municipal securities dealer or municipal advisor and have already registered with the SEC.

My organization already has an MSRB registration, and wants to add either a municipal security dealer or municipal advisor role to our existing registration.

[Exit](#) [Next](#)

section.

Step 2. On the *MSRB Gateway Main Menu* expand the link “Registrant Information Forms” and click the link “Edit or Affirm Your Organization’s G-40 Filing.”

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <p>[+] Account and Organization Management Important notice! Please click to expand. Manage profile information for your User Account or for your organization.</p> <p>[-] Registrant Information Forms Submit forms that provide information about your organization.</p> <ul style="list-style-type: none"> > Form RTRS > Edit or Affirm Your Organization’s Form G-40 Filing <p>[+] Market Information Systems Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.</p> <p>[+] Restricted Content Confidential information related to your service with the MSRB.</p> <p>[-] Regulator Web Access to reports, etc.</p> <ul style="list-style-type: none"> > All Enforcement Agencies <p>[+] Staff Content Access to staff only content.</p> <p>[+] Administration Access to Gateway administration tools</p>	<div style="border: 1px solid black; padding: 5px;"> <p>My Profile Edit</p> <p>User ID: TDEALER</p> <p>Role: Master Account Administrator</p> <p>User Name: Testing Dealer</p> <p>Organization Name: Dealer Registration</p> <p>MSRB ID: A7246</p> <p>Email Address: ohamilton@msrb.org Change Password</p> </div>
--	---

Step 3. On the *Organization Summary* screen edit the organization type.

<p>MSRB - Organization Summary</p> <p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Dealer Registration MSRB ID: A7246 Phone Number: 333 - 444 - 3333 Ext. 444 Fax Number: Address 1: 33 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: Authorized</p> <p>Broker-dealer SEC ID: 22222222222 Broker-dealer CRD Number: 8888888</p>

Step 4. Click on the organization type that is being added and provide the SEC ID and FINRA CRD, if applicable. Click “OK.”

<p>MSRB Registration - Add/Edit Organizational Roles</p> <p>Please choose the organization role(s). You may choose more than one role. Enter the corresponding SEC ID for each role selected. Broker-dealers must also provide their CRD number.</p> <p>Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your organization's actual role(s).</p>	
<p>My organization has the following role(s)</p> <p>My firm engages in municipal securities dealer activities:</p> <p><input checked="" type="checkbox"/> Municipal Securities Dealer SEC ID: 22222222222 Status: Authorized FINRA CRD: <input type="text" value="8888888"/></p> <p>My firm engages in municipal advisory activities:</p> <p><input checked="" type="checkbox"/> Municipal Advisor SEC ID: <input type="text" value="9999999999"/></p>	
<p><input type="button" value="Previous"/> <input type="button" value="OK"/></p>	

If a Municipal Advisor organization type is added, select the advisor role(s). Click “OK.”

MSRB Registration - Add/Edit Municipal Advisor Subtypes

What type(s) of municipal advisory services does your organization provide? *Check all that apply.*

Municipal Advisor Subtypes:

- Financial Advisor
- Swap/Derivative Advisor
- GIC Broker/Advisor
- Placement Agent
- Solicitor/Finder
- Third-Party Marketer
- Other (specify)

[Previous](#) [OK](#)

Step 5. The *Organization Summary* page will display the new organization type that was added in addition to the SEC ID and FINRA CRD, if applicable. Click “Affirm” to submit the changes to the MSRB.

MSRB - Organization Summary

Form G-40 Amendment/Affirmation

This form is used for a registrant seeking to either:
 -file an amended Form G-40 pursuant to rule G-40(b)(ii), or
 -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.

<p>Organizational Details: Edit</p> <p>Organization Name: Dealer Registration MSRB ID: A7246 Phone Number: 333 - 444 - 3333 Ext. 444 Fax Number: Address 1: 33 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <ol style="list-style-type: none"> Broker-dealer - Status: <u>Authorized</u> Municipal Advisor <p>Municipal Advisory Activities Include:</p> <ol style="list-style-type: none"> Financial Advisor Third-Party Marketer <p>Broker-dealer SEC ID: 2222222222 Broker-dealer CRD Number: 88888888 Municipal Advisor SEC ID: 9999999999</p>
--	---

[Cancel](#) **I affirm that this information is correct** [Affirm](#)

Step 6. You will receive a confirmation screen acknowledging the update.

The organization type that was added will be in “Pending” status until the registration is authorized. The organization can still perform functions authorized under the existing organization type, but cannot perform functions under the new organization type until the “Pending” status is lifted.

Congratulations, you have successfully submitted your firm's registration to the MSRB. Your MSRB Registration Number (MSRB ID) is K0197 (Your registration is pending)

Your broker-dealer registration is pending SEC ID verification.

You may print a copy of the registration summary for your records:

[Registration Summary](#)

[Return to Gateway](#)

2.7 Amend Advisor Roles on a Municipal Advisor Registration

A Municipal Advisor can update their MSRB registration to reflect any updates to the municipal advisory activities they perform. Use the following steps to add/remove Municipal Advisor roles:

Step 1. Navigate to the *Organization Summary* page and edit the organization roles.

MSRB - Organization Summary

To accept this information and complete your submission, please click the "Confirm" button below.

<p>Organizational Details: Edit</p> <p>Organization Name: Advisor Only Organization MSRB ID: K0197 Phone Number: 999 - 999 - 9999 Ext. Fax Number: Address 1: 99 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Municipal Advisor - Status: <u>Authorized</u></p> <p>Municipal Advisory Activities Include:</p> <p>1. Swap/Derivative Advisor 2. GIC Broker/Advisor</p> <p>Municipal Advisor SEC ID: 3333333333</p>
--	---

Step 2. Ensure that the Municipal Advisor role is selected and click “OK.”

3. G-40 Account Management

3.1 Transfer G-40 Rights

A primary contact cannot remove his/her primary G-40 rights, but can transfer these rights to another user. In the event the primary G-40 contact role must be transferred to another user and the Gateway account cannot be accessed the MSRB must be contacted.

Once the primary G-40 role is transferred to another user, that user becomes the new **Master Account Administrator** for the organization.

The optional G-40 contact rights can also be transferred to a new or existing user. This transfer can be performed by either the primary contact or the optional contact.

Before G-40 rights are transferred away from a user, please ensure that at least one account access right is retained by that user. If no account access rights are retained by the user, the user's account will automatically be disabled.

3.1a) Transfer G-40 Rights to a New User

G-40 rights can be transferred to a user who does not have a Gateway account. Follow the steps below to create a new Gateway account and transfer G-40 rights.

Step 1. Click "Edit or Affirm Your Organization's G-40 Filing."

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <p>[+] Account and Organization Management <i>Manage profile information for your User Account or for your organization.</i></p> <p>[-] Registrant Information Forms <i>Submit forms that provide information about your organization.</i></p> <ul style="list-style-type: none"> › Form RTRS › Edit or Affirm Your Organization's Form G-40 Filing 	<p>My Profile Edit</p> <p>User ID: PPA12</p> <p>Role: Master Account Administrator</p> <p>User Name: Peter Pan</p> <p>Organization Name: Neverland Inc.</p> <p>MSRB ID: A7259</p> <p>Email Address: ohamilton@msrb.org</p> <p style="text-align: right;">Change Password</p>
---	--

Step 2. Click on the G-40 contact you would like to edit.

MSRB - Organization Summary	
<p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: Peter Middle Name: Last Name: Pan Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 Any St. Address2: Suite 600 City: Any State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p><i>(None currently defined)</i></p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

Step 3. If there are no other Gateway accounts in the organization, create a new user to replace the G-40 contact. Click "New User."*

(*Note: If there are other Gateway accounts in the organization, the button will read "Replace" instead of "New User")

<p>Primary Contact:</p> <p>First Name:* <input type="text" value="Peter"/></p> <p>Middle Name: <input type="text"/></p> <p>Last Name:* <input type="text" value="Pan"/></p> <p>Name Suffix: <input type="text"/></p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text"/></p> <p>Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/></p> <p>Address1:* <input type="text" value="123 Any St."/></p> <p>Address2: <input type="text" value="Suite 600"/></p> <p>City:* <input type="text" value="Any"/></p> <p>State:* <input type="text" value="ST"/></p> <p>Zip:* <input type="text" value="12345"/></p> <p>Country: <input type="text"/></p> <p>*required</p>
<p>Previous OK New User</p>

Step 4. Populate fields with the new contact details. Click “OK.”

Primary Contact:

First Name:*

Middle Name:

Last Name:*

Name Suffix:

Email Address:*

Confirm Email:*

Phone Number:* - - Ext.

Address1:*

Address2:

City:*

State:*

Zip:*

Country:

*required

Step 5. The *Organization Summary* screen will reflect the new G-40 contact. Click “Affirm” to save the update.

MSRB - Organization Summary

Form G-40 Amendment/Affirmation

This form is used for a registrant seeking to either:
 -file an amended Form G-40 pursuant to rule G-40(b)(ii), or
 -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.

<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 88888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: Captain Middle Name: Last Name: Hook Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 Any St. Address2: City: Any State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p style="text-align: center;"><i>(None currently defined)</i></p>

Step 6. The confirmation screen will confirm the update.

**Congratulations, you have successfully updated your firm's registration with the MSRB.
Your MSRB Registration Number (MSRB ID) is A7259**

You may print a copy of the registration summary for your records:

[Registration Summary](#)

[Return to Gateway](#)

Step 7. Gateway system generated emails will be forwarded to both parties affected by the update: **The new G-40 contact** will receive an email stating that their “account is now active for MSRB Rule G-40.”

Your account is now active for MSRB Rule G-40.

USER ID: CHOOK1

To change your password please visit the link below, <http://68.142.182.137/msrb1/control/forgotpassword.asp>.

Please keep this information confidential to prevent unauthorized use of your account.

The current registered information for this account is:

MSRB REGISTRATION NO: A7259
ORGANIZATION NAME: 'Neverland Inc.'
USER NAME: Captain Hook
EMAIL ADDRESS: ohamilton@msrb.org
PHONE: (222) 222-2222
CONTACT TYPE: Primary

You can log in to the G-40 Account section of the MSRB web site through <http://68.142.182.137/msrb1/control/default.asp>.

The former G-40 contact will receive an email stating that “they no longer serve as a G-40 contact.”

Your organization has designated a new G-40 Primary Contact through an amended MSRB Rule G-40 filing.

The following account no longer serves as a G-40 Primary Contact:

ORGANIZATION NAME: 'Neverland Inc.'
USER ID: PPAN2

This is a system-generated e-mail PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance please contact a representative in the Market Information Department on 703-797-6668. You may also obtain more information about MSRB Gateway at: <https://www.msrb.org/msrb1/control/default.asp>.

3.1b) Transfer G-40 Rights to an Existing User

Primary G-40 rights can be transferred to another user within the organization. Follow the steps below to transfer G-40 account access rights.

Step 1. On the *Organization Summary* screen click “Edit” on the G-40 contact.

MSRB - Organization Summary	
<p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: Captain Middle Name: Last Name: Hook Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 Any St. Address2: City: Any State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p><i>(None currently defined)</i></p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

Step 2. Click “Replace.”

<p>Primary Contact:</p> <p>First Name:* <input type="text" value="Captain"/> Middle Name: <input type="text"/> Last Name:* <input type="text" value="Hook"/> Name Suffix: <input type="text"/> Email Address:* <input type="text" value="ohamilton@msrb.org"/> Confirm Email:* <input type="text"/> Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/> Address1:* <input type="text" value="123 Any St."/> Address2: <input type="text"/> City:* <input type="text" value="Any"/> State:* <input type="text" value="ST"/> Zip:* <input type="text" value="12345"/> Country: <input type="text"/></p> <p>*required</p>
<p>Previous OK Replace</p>

Step 3. A listing of all users in the organization will be listed. Click on the user being transferred G-40 rights.

Formal Registration - Add/Edit G-40 Primary Contact Information

Please select a current user from the list below or click the "NEW" button to create a new user.

MSRB Rule G-40 requires that broker-dealer Primary Contacts be Series 51 or Series 53 certified.

Name	Email	Phone Number
PETER PAN	ohamilton@msrb.org	Unknown

<< < > >> Page: 1 of 1

Step 4. The new user details will appear on the G-40 contact screen. Confirm the email address and Click "OK."

Primary Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

*required

Step 5. The new G-40 contact will be reflected on the *Organization Summary* screen. Click "Affirm" to save the updates.

MSRB - Organization Summary	
<p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: PETER Middle Name: Last Name: PAN Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: SUITE 600 City: ANY State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p><i>(None currently defined)</i></p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

3.2 Swap G-40 Contact Roles

The Primary G-40 Contact and Optional G-40 Contact can swap their contact roles.

Step 1. On the "Organization Summary" screen click "Edit" on any G-40 contact.

<p>G-40 Primary Contact: Edit</p> <p>First Name: PETER Middle Name: Last Name: PAN Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: SUITE 600 City: ANY State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p>First Name: CAPTAIN Middle Name: Last Name: HOOK Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: City: ANY State: ST Zip: 12345 Country:</p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

Step 2. Click "Swap Contacts."

Primary Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

*required

Step 3. The swapped G-40 contact will appear. Click “OK.”

Primary Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

*required

Step 4. The *Organization Summary* screen will reflect the updated G-40 contacts. Click “Affirm” to confirm the updates.

Both users will receive the emails informing them of the change to their G-40 roles.

MSRB - Organization Summary	
<p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: CAPTAIN Middle Name: Last Name: HOOK Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: City: ANY State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p>First Name: PETER Middle Name: Last Name: PAN Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: SUITE 600 City: ANY State: ST Zip: 12345 Country:</p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

3.3 Remove Optional G-40 Contact

While the primary G-40 contact cannot remove their role, the optional G-40 contact can remove this role at any time. Follow steps below to remove the optional G-40 contact role.

Step 1. On the *Organization Summary* screen, edit the Optional G-40 contact.

MSRB - Organization Summary	
<p>Form G-40 Amendment/Affirmation</p> <p>This form is used for a registrant seeking to either: -file an amended Form G-40 pursuant to rule G-40(b)(ii), or -affirm information related to its primary Electronic Mail Contact, such changes are automatically considered an amendment or affirmation pursuant to rule G-40.</p> <p>Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page and affirm your G-40 contact information by clicking on the "Affirm" button below.</p>	
<p>Organizational Details: Edit</p> <p>Organization Name: Neverland Inc. MSRB ID: A7259 Phone Number: 222 - 222 - 2222 Ext. Fax Number: Address 1: 123 Any St. Address 2: City: Any State: ST Zip: 12345 Country:</p>	<p>Organizational Roles: Edit</p> <p>1. Broker-dealer - Status: <u>Authorized</u></p> <p>Broker-dealer SEC ID: 9999999999 Broker-dealer CRD Number: 8888888</p>
<p>G-40 Primary Contact: Edit</p> <p>First Name: CAPTAIN Middle Name: Last Name: HOOK Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: City: ANY State: ST Zip: 12345 Country:</p>	<p>G-40 Optional Contact: Edit</p> <p>First Name: PETER Middle Name: Last Name: PAN Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: SUITE 600 City: ANY State: ST Zip: 12345 Country:</p>
<p>Cancel</p>	<p>I affirm that this information is correct Affirm</p>

Step 2. On the contact details screen, click "Remove."

<p>Optional Contact:</p> <p>First Name:* <input type="text" value="PETER"/></p> <p>Middle Name: <input type="text"/></p> <p>Last Name:* <input type="text" value="PAN"/></p> <p>Name Suffix: <input type="text"/></p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text"/></p> <p>Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/></p> <p>Address1:* <input type="text" value="123 ANY ST."/></p> <p>Address2: <input type="text" value="SUITE 600"/></p> <p>City:* <input type="text" value="ANY"/></p> <p>State:* <input type="text" value="ST"/></p> <p>Zip:* <input type="text" value="12345"/></p> <p>Country: <input type="text"/></p> <p>*required</p>
<p>Previous OK Replace Remove</p>

Step 3. Click "OK."

Optional Contact:

First Name:*
Middle Name:
Last Name:*
Name Suffix:
Email Address:*
Confirm Email:*
Phone Number:* - - Ext.
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

*required

Step 4. Gateway will prompt user to enter contact details. Click “Skip.”

Optional Contact:

First Name:* **Please enter a valid first name.**
Middle Name:
Last Name:* **Please enter a valid last name.**
Name Suffix:
Email Address:* **Please enter a valid email address.**
Confirm Email:*
Phone Number:* - - Ext. **Please enter a valid phone number and/or extension.**
Address1:* **Please enter a valid address.**
Address2:
City:* **Please enter a valid city.**
State:* **Please enter a 2 letter state code.**
Zip:* **Please enter a 5 or 9 digit zip code.**
Country:

*required

Step 5. The “Organization Summary” screen will reflect that the Optional G-40 contact has been removed. Click “Affirm” to save the change.

G-40 Primary Contact: Edit First Name: CAPTAIN Middle Name: Last Name: HOOK Name Suffix: Email Address: ohamilton@msrb.org Phone Number: 222 - 222 - 2222 Ext. Address1: 123 ANY ST. Address2: City: ANY State: ST Zip: 12345 Country:	G-40 Optional Contact: Edit <i>(None currently defined)</i>
<input type="button" value="Cancel"/>	I affirm that this information is correct <input type="button" value="Affirm"/>

Step 6. The user will see a Gateway screen confirming the update, and receive an email documenting the update.

Congratulations, you have successfully updated your firm's registration with the MSRB.
Your MSRB Registration Number (MSRB ID) is A7259

You may print a copy of the registration summary for your records:

3.4 Transfer Primary G-40 Rights in the absence of the existing G-40 Contact

In the event the primary G-40 contact role must be transferred to another user and the Gateway account cannot be accessed, the MSRB must be contacted.

The MSRB will request that the following information be forwarded on company letterhead:

- Organization Name
- Address
- Phone number
- MSRB registration Number
- Organization's CRD number

The request must also contain the following information about the individual designated as the new primary G-40 contact:

- Name
- Address
- Phone number
- Email address
- Title
- Department
- CRD Number
- Signature of the individual designated as the new primary contact

Upon receipt of this information, the MSRB will send an email to the address provided in the letter of request. The email will contain:

- A temporary key

- A link to access the Gateway screen to create the new primary contact

To change your organization's MSRB Rule G-40 registration information, please go to <https://www.msrb.org/msrb1/control/registration/FormalRegistration/g40.asp> and authenticate using your MSRB Registration Number (MSRB ID) and this temporary key:

Temporary Key: WBB7NMFGN7

Temporary Key Expiration Date: 12/5/2010 10:44:27 AM

Please keep this temporary key confidential to prevent unauthorized modification of your organization's G-40 registration. If you need assistance, please contact the MSRB at (703) 797-6668.

PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. This is a system-generated e-mail. If you need assistance please contact the MSRB at 703-797-6600 or you may obtain more information at www.msrb.org.

Click the link to be directed to the Gateway screen below. Enter the organization's MSRB ID and temporary key. Click "Next" to be directed to the *Organization Summary* screen where updates to the G-40 contacts can be made.

MSRB Registration

To amend your organization's registration, you must use the MSRB Registration Number (MSRB ID) and temporary key sent to you via email to log in below. [Click here for help.](#)

If you need your Registration Number, please contact MSRB staff at 703-797-6668.

If you are the Primary Contact for a registered organization, [click here to log in.](#) If you have forgotten your UserID, please contact MSRB staff at 703-797-6668.

Login:

MSRB Registration Number:

Temporary Key:

4. User Account Administration - Municipal Securities Dealers and Municipal Advisors

Gateway Account Administrators can perform the following account management functions to in Gateway.

- Create new user
- Disable user account
- Re-enable user account
- Grant user account access rights
- Modify user account details

All account management functions are performed on the *User Account* screen. Master Account Administrators and Account Administrators will navigate to this screen differently when performing account administration functions for other users.

Use the steps below to navigate to this screen. Follow these steps whenever updates are made to a user's account. Please refer to this section for navigation guidance as these steps will not always repeat for each scenario illustrated in this section.

After updates are made to the user's account, click through the screens to continue with the updates and confirm the changes. An email will be forwarded to the user informing them of the changes to their account.

4.1 Navigate to the User Accounts Screen

From *MSRB Gateway Main Menu*, expand the "Account and Organization Management" link. Click "Manage User Accounts" to be directed to the "User Account" screen.

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <p>[–] Account and Organization Management <i>Manage profile information for your User Account or for your organization.</i></p> <ul style="list-style-type: none"> > Manage User Accounts <i>Add, edit, and disable individual User Accounts for your organization.</i> > View Account Administrators <i>View your organization's Account Administrators.</i> > Manage Groups (Note: this feature is recommended only for large organizations.) <i>Use Groups to help organize your organization's User Accounts.</i> > Manage Agents <i>Designate Agents to submit certain information to MSRB systems on your behalf.</i> > Manage Continuing Disclosure Requests <i>Process confirmation requests and invite agents for CD submissions.</i> > Manage Principals <i>Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf.</i> 	<p>My Profile Edit</p> <p>User ID: CHOOK1 Role: Master Account Administrator User Name: CAPTAIN HOOK Organization Name: Neverland Inc. MSRB ID: A7259 Email Address: ohamilton@msrb.org</p> <p>Change Password</p>
---	---

The *User Accounts* screen displays all users in the organization on the right side of the screen*. From this list, select the user account that you would like to edit. If a user is not listed, a Gateway account can be created for the user.

**If a user has a Gateway account and the account is not displayed, the account may be disabled and will need to be re-enabled.*

Locate the user you would like to edit and double click on the user's name.

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group: [Manage Groups](#)

Show disabled User Accounts:

[Search](#) [Reset](#)

[Add New Account](#)

Showing (1 - 2) of 2

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	PPAN2	10/21/2010 2:10:34 PM

[Return to Account Management](#)

[Return to Groups](#)

After selecting the user, click “Edit User

User Account Profile and Access Rights

Account Details

User ID: PPAN2

User Name: PETER PAN

MSRB ID: A7259

Email Address: ohamilton@msrb.org [Email User ID](#)

Title:

Department:

Address: 123 ANY ST.
SUITE 600
ANY, ST 12345

Phone Number: 222-222-2222

Fax Number:

Last Updated by: PPAN2 **On:** 10/21/2010 2:10:34 PM

Account Access Rights

This user has the following Access Rights in MSRB Gateway:

Account Administrator [?]

SHORT System [?]

EMMA Primary Market Submissions [?]

Agent Designation [?]

EMMA Secondary Market Submissions [?]

Electronic G-37 [?]

[View Profile History](#)

[View User Access Rights History](#)

[Edit User Account](#)

[Return to Accounts](#)

[Return to Groups](#)

[Return to Groups by User](#)

[Return to Account Management](#)

Account.”

4.2 Update User Account and Save Changes

Make appropriate updates to the account. After making updates to a user’s account, click “Continue.” You may also click “Return to Accounts,” to abandon changes.

Edit User Account

<p>Account Details</p> <p>User ID: PPAN2 MSRB ID: A7259 Group(s): No groups setup. First Name:* PETER Middle Name: Last Name:* PAN Email Address:* <input type="text" value="ohamilton@msrb.org"/> Confirm Email:* <input type="text" value="ohamilton@msrb.org"/> Title: <input type="text"/> Department: <input type="text"/> Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/> Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/> Address1:* <input type="text" value="123 ANY ST."/> Address2: <input type="text" value="SUITE 600"/> City:* <input type="text" value="ANY"/> State:* <input type="text" value="ST"/> Zip:* <input type="text" value="12345"/> Country: <input type="text"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account. This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input type="checkbox"/> [?] SHORT System <input type="checkbox"/> [?] EMMA Primary Market Submissions <input checked="" type="checkbox"/> [?] Agent Designation <input type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input type="checkbox"/> Disable the user account.</p>
--	---

After continuing with the changes, click “Confirm User Account” to complete the update.

Confirm User Account

<p>Account Details</p> <p>User ID: PPAN2 User Name: PETER PAN MSRB ID: A7259 Group(s): Email Address: ohamilton@msrb.org Title: Department: Address: 123 ANY ST. SUITE 600 ANY, ST 12345 Phone Number: 222-222-2222 Fax Number:</p>	<p>Account Access Rights:</p> <p>Click on "Confirm User Account" to complete the process.</p>
---	--

4.3 Confirm Updates Made to User Account

After the changes are saved, a screen will confirm that the account was successfully updated.

User Account Update Results

The following User Account was successfully updated. An email confirmation was sent to the user.

User ID: PPAN2
MSRB ID: A7259
Name: PETER PAN
Email Address: ohamilton@msrb.org

[Return to Main Menu](#)

An email will be sent to the account holder describing the updates made to their account. The email will also identify the person who made the update.

Please keep this information confidential to prevent unauthorized use of this account.

The MSRB account registered for this email address: PPAN2 has been updated by CAPTAIN HOOK (CHOOK1)

The following Access Right(s) have been granted:
 Electronic G-37

You may login and check your account details and update history by going to:
<http://68.142.182.137/msrb1/control/default.asp>

This is a system-generated e-mail PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance with your account please contact an account manager at your organization. or You may also obtain more information about MSRB Gateway at: <https://68.142.182.137/msrb1/control/default.asp>.

4.4 Create New User

Step 1. From the *User Accounts* screen select “Add New Account.”

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group: [Manage Groups](#)

Show disabled User Accounts:

[Search](#) [Reset](#)

[Add New Account](#)

Showing (1 - 2) of 2

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	CHOOK1	10/21/2010 4:22:17 PM

Step 2. Enter the account details for the user on the left side of the screen. Select the account access rights you would like to grant the user on the right side of the screen.

- Users who are granted “Account Administrator” rights will be an Account Administrator and will have access to other users’ accounts in the organization.
- At least one account access right must be granted to a user to keep the account active. If no account access rights are granted, the account will be disabled.
- To read a description of an access right, click the [?] icon located next to each account access right.

Add User Account

Complete all required information below and assign one or more Access Rights to create a new User Account. *If no Access Rights are given, the User Account will be automatically disabled.*

<p>Account Details</p> <p>MSRB ID: A7259</p> <p>Group(s): No groups setup.</p> <p>First Name:* <input type="text" value="Tinker"/></p> <p>Middle Name: <input type="text"/></p> <p>Last Name:* <input type="text" value="Bell"/></p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Title: <input type="text"/></p> <p>Department: <input type="text"/></p> <p>Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/></p> <p>Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/></p> <p>Address1:* <input type="text" value="123 Any St."/></p> <p>Address2: <input type="text"/></p> <p>City:* <input type="text" value="Any"/></p> <p>State:* <input type="text" value="ST"/></p> <p>Zip:* <input type="text" value="12345"/></p> <p>Country: <input type="text"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account.</p> <p>This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?]</p> <p>SHORT System <input type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input checked="" type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Electronic G-37 <input type="checkbox"/> [?]</p>
--	--

Step 3. After the user account has been created, click “Continue” to continue with the changes and “Confirm User Account” to confirm the new account.

Step 4. After the Gateway account has been created, the new user will receive an email with a user ID and a link to create a password and access the user’s Gateway account.

4.5 Grant User Account Access Rights

Gateway User Account Access rights are granted to a user by an **Account Administrator**, with the exception of the **Account Administrator** access right. This right can only be granted by the **Master Account Administrator**.

The following is a list of user account access rights that can be granted in Gateway:

- **Account Administrator.** This right can only be granted by the Master Account Administrator. Users with this right can manage other users' accounts. They can perform most functions of the Master Account Administrator, but not all.
- **SHORT.** Make auction rate and variable rate submissions.
- **EMMA Primary Market Submissions.** Submit official statements and advanced refunding documents.
- **EMMA Secondary Market Submissions.** Make continuing disclosure filings.
- **Agent Designation.** Designate another dealer to make primary market document submissions.
- **Electronic G-37.** Make political contribution filings.

Use the following steps to grant user account access rights:

Step 1. Navigate to the *User Accounts* screen and select the user you would like to grant account access rights.

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group: Manage Groups

Show disabled User Accounts:

Search Reset

Add New Account

Showing (1 - 2) of 2

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	CHOOK1	10/21/2010 4:22:17 PM

Step 2. Click the account access right(s) you would like to grant the user.

Add User Account

Complete all required information below and assign one or more Access Rights to create a new User Account. If no Access Rights are given, the User Account will be automatically disabled.

Account Details

MSRB ID: A7259

Group(s): No groups setup.

First Name: *

Middle Name:

Last Name: *

Email Address: *

Confirm Email: *

Title:

Department:

Phone Number: * - - **Ext.**

Fax Number: - -

Address1: *

Address2:

City: *

State: *

Zip: *

Country:

Account Access Rights

Select the Access Rights to assign to this User Account.

This user will have the following Access Rights in MSRB Gateway:

- Account Administrator** [?]
- SHORT System** [?]
- EMMA Primary Market Submissions** [?]
- Agent Designation** [?]
- EMMA Secondary Market Submissions** [?]
- Electronic G-37** [?]

Step 3. Save and confirm the updates.

Users can view access rights that they have been granted by expanding the “Market Information Systems” link on the Gateway Main Menu.

Users who are granted Account Administrator rights will see this reflected as their user role in Gateway in the “My Profile” box on the Gateway Main Menu.

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

[+] Account and Organization Management
Manage profile information for your User Account or for your organization.

[-] Market Information Systems
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.

- > Rule G-37 Submission
- > EMMA Dataport
Submit documents and information to EMMA.

My Profile Edit

User ID: PPAN2
 Role: Account Administrator
 User Name: PETER PAN
 Organization Name: Neverland Inc.
 MSRB ID: A7259
 Email Address: ohamilton@msrb.org
Change Password

4.6 Disable User Account

- A user with a disabled account can no longer access Gateway and will no longer appear on the organization’s “User Account Screen.”
- If a user leaves the organization, or you would like to restrict a user from accessing the user’s Gateway account, an Account Administrator can disable the account.
- A user’s account will also disable automatically if no account access rights are granted to that user.
- Disabling a user account will not delete the user from Gateway; once a user account is created, it can never be deleted.
- A disabled user’s account can be re-enabled at anytime. See Section 5 to re-enable a user account.

Use the following steps to disable a user account:

Step 1. Navigate to the “User Accounts” screen and double-click the user you wish to disable. Click “Edit User Account.”

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. *Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.*

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group: Manage Groups

Show disabled User Accounts:

Search Reset

Add New Account

Showing (1 - 3) of 3

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	CHOOK1	10/21/2010 4:22:17 PM
<input checked="" type="checkbox"/> TINKER BELL	CHOOK1	10/21/2010 4:28:06 PM

Step 2. Click in the box “Disable the user account.” Click “Continue.”

Edit User Account

<p>Account Details</p> <p>User ID: TBELL MSRB ID: A7259 Group(s): No groups setup. First Name: * TINKER Middle Name: Last Name: * BELL Email Address: * <input type="text" value="ohamilton@msrb.org"/> Confirm Email: * <input type="text" value="ohamilton@msrb.org"/> Title: <input type="text"/> Department: <input type="text"/> Phone Number: * <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/> Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/> Address1: * <input type="text" value="123 ANY ST."/> Address2: <input type="text"/> City: * <input type="text" value="ANY"/> State: * <input type="text" value="ST"/> Zip: * <input type="text" value="12345"/> Country: <input type="text"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account. This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input checked="" type="checkbox"/> Disable the user account.</p>
---	--

Step 3. Click “Confirm User Account” to disable the account. The disabled user will receive an email stating that their account has been disabled.

Confirm User Account

<p>Account Details</p> <p>User ID: TBELL User Name: TINKER BELL MSRB ID: A7259 Group(s): Email Address: ohamilton@msrb.org Title: Department: Address: 123 ANY ST. ANY, ST 12345 Phone Number: 222-222-2222 Fax Number:</p>	<p>Account Access Rights:</p> <p>This User Account will be disabled. Click on "Confirm User Account" to complete the process.</p>
--	---

4.7 Re-Enable User Account

Step 1. Navigate to the *User Accounts* screen. Click the box “Show disabled User Accounts.” Click

“Search.”

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group:

Show disabled User Accounts:

Showing (1 - 2) of 2

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	CHOOK1	10/21/2010 4:22:17 PM

Step 2. A listing of all user accounts will be displayed on the right. Disabled user accounts will be grayed out. Select the user account that you wish to re-enable and edit the user’s account.”

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group:

Show disabled User Accounts:

Showing (1 - 3) of 3

* disabled accounts shown in gray

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> CAPTAIN HOOK	CHOOK1	10/21/2010 4:13:29 PM
<input checked="" type="checkbox"/> PETER PAN	CHOOK1	10/21/2010 4:22:17 PM
<input checked="" type="checkbox"/> TINKER BELL	CHOOK1	10/21/2010 4:41:54 PM

Step 3. Deselect the “Disable the user account” box by clicking on the check mark. Click “Continue.”

Edit User Account

<p>Account Details</p> <p>User ID: TBELL MSRB ID: A7259 Group(s): No groups setup. First Name:* TINKER Middle Name: Last Name:* BELL Email Address:* <input type="text" value="ohamilton@msrb.org"/> Confirm Email:* <input type="text" value="ohamilton@msrb.org"/> Title: <input type="text"/> Department: <input type="text"/> Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/> Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/> Address1:* <input type="text" value="123 ANY ST."/> Address2: <input type="text"/> City:* <input type="text" value="ANY"/> State:* <input type="text" value="ST"/> Zip:* <input type="text" value="12345"/> Country: <input type="text"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account. This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input checked="" type="checkbox"/> Disable the user account.</p>
--	--

Step 4. Click “Confirm User Account.”

Confirm User Account

<p>Account Details</p> <p>User ID: TBELL User Name: TINKER BELL MSRB ID: A7259 Group(s): Email Address: ohamilton@msrb.org Title: Department: Address: 123 ANY ST. ANY, ST 12345 Phone Number: 222-222-2222 Fax Number:</p>	<p>Account Access Rights:</p> <p>This User Account will be disabled. Click on "Confirm User Account" to complete the process.</p>
--	---

Step 5. A confirmation screen will be displayed. The user will receive a confirmation email indicating that his/her account has been re-enabled.

User Account Update Results

The following User Account was successfully disabled. An email confirmation was sent to the user.

User ID: TBELL
MSRB ID: A7259
Name: TINKER BELL
Email Address: ohamilton@msrb.org

[Return to Main Menu](#)

5. Agent Designation – Primary Market

A dealer may designate an agent from another organization to make primary market submissions on the dealer's behalf. Only persons within the dealer's organization with "Agent Designation" account access rights can perform this function. Only persons serving as the primary contact within the prospective agent's organization may accept an agent designation.

Below is an overview of the designation process.

- Dealer extends an invitation to a prospective agent via MSRB Gateway
- Agent designated as the primary contact can accept or decline the invitation
- Dealer confirms agent's acceptance to complete the invitation process. The dealer may also decline the agent's acceptance.

5.1 Dealer Extends Invitation

To begin the invitation process a dealer will extend an invitation to a prospective agent.

1. The dealer will access the agent designation function by expanding the "Account and Organization Management" link and select "Manage Agents."

Account Management

The menu below provides you with the ability (subject to your User Account's Access Rights) to manage new and existing MSRB Gateway User Accounts, your Organization Profile, and any Agent relationships with other companies.

Make your selection:

Manage User Accounts
Add, edit, and disable User Accounts for your organization.

Manage Organization Profile
Update contact information for your organization.

Manage Groups (Note: this feature is recommended only for large organizations.)
Use Groups to help organize your organization's User Accounts.

Manage Agents
Designate Agents to submit certain information to MSRB systems on your behalf.

Manage Principals
Manage companies who have designated your organization as Agent to submit certain information to MSRB systems on their behalf.

Manage Continuing Disclosure Requests
Process confirmation requests and invite agents for CD submissions

View Account Administrators
View your organization's Account Administrators.

2. Select "Add a New Agent" to search for agents.

Agents

You can designate Agents to submit certain information to MSRB systems on your organization's behalf. Please be advised that all actions taken on MSRB systems on behalf of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designating Agents to act on your company's behalf.

[Add a New Agent](#)

Pending Agent Invitations (What's this?)

MSRB ID	Name	Submission Type	Status	Action
G0000U	test	SHORT System	Approval needed	Process Agent

Approved Agents (What's this?)

MSRB ID	Name	Submission Type	Action
G00010	Bloomberg, LP	SHORT System	Deauthorize Agent
G0000S	test 21	EMMA - Primary Market Submissions	Deauthorize Agent
G0000P	test organization 1	SHORT System	Deauthorize Agent

3. If the prospective agent is found, the name and MSRB no. will be displayed on the right of the screen after the search is conducted. Click on the Agent's name to send an

Add a New Agent

To designate an Agent, you must first search to see if the Agent has already registered. Please be advised that all actions taken on MSRB systems on behalf of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designating Agents to act on your company's behalf.

Search by:

Organization Name:

or

MSRB ID:

[Search](#) [Reset](#)

The following agents have been found. If you are unable to find the correct Agent, refine your search criteria or select "Add an Agent" below.

Showing (1 - 1) of 1

MSRB ID	Name
MSRB4	MSRB4

[Add an Agent](#)

invitation.

4. Click "Confirm Invitation" to invite the agent.

Agent Invitation - Registered Agent

You have chosen to invite the Agent below to submit documents to the MSRB on your behalf. An invitation to serve as your Agent will be sent to this prospective Agent. You will be notified by email if the invitation is accepted or declined.

Agent Name: MSRB4
MSRB ID: MSRB4
Phone Number: 0 -
Address: 1900 Duke Street
 Suite 600
 Alexandria, VA 22314

Submission Type:

[Confirm Invitation](#) [Cancel Invitation](#)

[Back to Agent List](#) [Return to Account Management](#)

5. If the agent is not found, click "Add Agent" to add agent details.

Add a New Agent

To designate an Agent, you must first search to see if the Agent has already registered. Please be advised that all actions taken on MSRB systems on behalf of your company by an Agent you have designated shall be your company's responsibility. Care should be taken in designating Agents to act on your company's behalf.

Search by:

Organization Name:

or

MSRB ID:

The following agents have been found. If you are unable to find the correct Agent, refine your search criteria or select "Add an Agent" below.

Showing (1 - 0) of 0

No results found.

6. Provide the requested information for the agent and click "Send Invitation."

[Logout](#)

Agent Invitation - Add a New Agent

To invite an unregistered new Agent to submit certain information to the MSRB on your behalf, fill in the required information below. The Agent will receive an email invitation to register with the MSRB Gateway to make submissions on your behalf. You will be notified by email if the invitation is accepted or declined. Please be advised that all actions taken on MSRB systems on behalf of your organization by an Agent you have designated shall be your organization's responsibility. Care should be taken in designating Agents to act on your organization's behalf. An invitation to and acceptance by an Agent through the MSRB Gateway is not intended to form the basis of a contract between your organization and such Agent. It is your organization's responsibility to ensure that your organization and your Agent have reached a mutual understanding of the scope of duties and the terms of your relationship.

Agent organization Name:*

Agent Email:*

Confirm Agent Email:*

Submission Type:*

- EMMA - Primary Market Disclosure
- SHORT System
- EMMA - Primary Market Disclosure

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7. The dealer will see a confirmation screen to show that the invitation was sent to the prospective

Agent Invitation Confirmation	
An email invitation to serve as your Agent has been sent to the following prospective Agent. You will be notified by email if the invitation is accepted or declined.	
Agent Name:	Now Inc
Invitation sent on:	7/14/2010 8:30:43 AM
Submission Type:	EMMA - Primary Market Disclosure
<div style="display: flex; justify-content: space-around;"> Back to Agent Management Return to Account Management </div>	

agent.

5.2 Agent Receives Invitation

After the dealer sends the invitation the prospective agent will receive an email to act upon the dealer's invitation. To take action, the agent must be the primary contact of the organization. If the agent has a Gateway account he can accept the invitation. If the agent does not have a Gateway account, an account must be created before the agent can accept the invitation.

5.2.1 Agent Receives Invitation and has a Gateway Account

Agents who have a Gateway account will use the following steps to accept the invitation.

Step 1. When the agent receives the invitation email, they can click the link to accept the invitation.

<p>Please keep this information confidential to prevent unauthorized use.</p> <p>GRE testing (B9999) has invited your company to be an Agent on its behalf in connection with submission of EMMA - Primary Market Disclosure documents and related information to the MSRB's Electronic Municipal Market Access system (EMMA). Please click on the link below to accept or decline the invitation. You will not be able to act as an Agent until you have accepted this invitation.</p> <p>https://web-4.msrb.org/msrb1/control/registration/agent/loginValidate.asp?code=qgtT9njdUFB4CHdBWfgrpTpKXgErwp&email=msrbdev10@gmail.com</p> <p>If the link above does not work please navigate to https://web-4.msrb.org/msrb1/control/registration/agent/default.asp and use invite code: qgtT9njdUFB4CHdBWfgrpTpKXgErwp</p> <p>PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. This is a system-generated e-mail. If you need assistance please contact a representative in the Market Information Department on 703-797-6668. You may also obtain more information about MSRB Gateway at https://www.msrb.org/msrb1/control/default.asp.</p>

Step 2. When the agent clicks the link to accept the invitation, they will be asked if they have a Gateway account. If the agent has a Gateway account, the agent will select “Yes” and log into Gateway to accept the invitation. *Proceed to section 5.3.*

5.2.2 Agent Receives Invitation and does not have a Gateway Account

If the agent indicates that they **do not** have a Gateway account, the agent will be prompted to create a Gateway account in order to accept the invitation. Use the steps below to create a Gateway account.

a) Populate organization details and user details to create the Gateway account. The user will be the Master Account Administrator for the organization.

New Account

You must provide a Master Account for your Account, enter the details for that person below. Additional Contacts can be added by your Master Account after your Account has been confirmed.

First Name:*
Last Name:*
Email Address:*
Confirm Email:*
Title:
Department:
Phone Number:* - - Ext.
Fax Number: - -
Address1:*
Address2:
City:*
State:*
Zip:*
Country:

b) After the account details are populated, click “Confirmed” to create the account.

New Agent Account Confirmation Logout

A new Account will be created for your organization based on the following information.
 Click on Confirm to create the Account.
 Click on Edit to modify any of the information shown.

Your MSRB ID: G0001T
Name: GRE Business
Phone Number: 703-797-6689
Fax Number:
Address: 1900 Duke st
 Alexandria, VA 22314
 us

The following User will be the Master Account for your company. Your Master Account can add new contacts after you confirm your Account.

User name: GREBMAST1
Name: GAteway REBMAST
Email: msrbdev10@gmail.com
Title: Master
Department: Business
Phone Number: 703-797-6689
Fax Number:
Address: 1900 Duke st
 Alexandria, VA 22314

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c) The agent will receive a Gateway account confirmation screen. The agent will also receive an email with a user ID and a link to create a password to access Gateway. The agent will log into his Gateway account to accept the invitation.

New Agent Account Confirmation

Your Agent Account has been created.
 Your Master Account will receive a confirmation email with your Account details. You will be able to make submissions to the MSRB as Agent, only after you have received final approval by the inviting organization. Your Master Account will be able to view your status as Agent for this organization through MSRB Gateway and will receive an email notification of final approval.

Organization Name: GRE testing
MSRB ID: B9999
Phone Number: 0 -
Address: 1900 Duke st
 Alexandria, VA 22314

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5.3 Agent Accepts the Invitation

Step 1. Once logged into Gateway, the agent will navigate to the *Agent Invitation* screen and click “Manage Principals”.

(Gateway Main Menu >Account and Organization Management>Manage Principals)

Account Management

The menu below provides you with the ability (subject to your User Account’s Access Rights) to manage new and existing MSRB Gateway User Accounts, your Organization Profile, and any Agent relationships with other companies.

Make your selection:

- Manage User Accounts**
Add, edit, and disable User Accounts for your organization.
- Manage Organization Profile**
Update contact information for your organization.
- Manage Groups (Note: this feature is recommended only for large organizations.)**
Use Groups to help organize your organization’s User Accounts.
- Manage Agents**
Designate Agents to submit certain information to MSRB systems on your behalf.
- Manage Principals**
Make companies who have designated your organization as Agent to submit certain information to MSRB systems on their behalf.
- Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions
- View Account Administrators**
View your organization’s Account Administrators.

Step 2. Pending invitations from a dealer will be located in the upper portion of the screen. Click on the dealer to continue with the invitation process. (Approved invitations will be located in the lower portion of the screen)

Principals

The organization(s) listed below (“Principals”) have invited you to act as Agent on their behalf to submit certain documents and information to MSRB systems. To view contact information for a Principal, select the Principal below. To edit a relationship with a Principal, select an Action next to the Principal.

Pending Invitations

There are currently no pending invitations.

Approved Designations

There are currently no Principals on whose behalf you can submit.

Step 3. Click “Continue” to continue with the invitation, (*Click “Decline Invitation” to decline the invitation*).

5.3.1 Qualified Agent Accepts the Invitation

If an agent who is qualified to accept the invitation clicks “Continue” to continue with the invitation process, the agent will be directed to the Gateway screen below. Click “Continue” and the invitation will be accepted.

5.3.2 Unqualified Agent Cannot Accept the Invitation

If the agent is not qualified to accept the invitation, the agent will receive the following error after selecting “Continue” on the *Agent Invitation* screen (step 2, section 5.3 above).

The agent must take one of the following actions.

1. Transfer the invitation to an authorized user in his organization.
2. Decline the invitation.
3. Do nothing with the invitation.

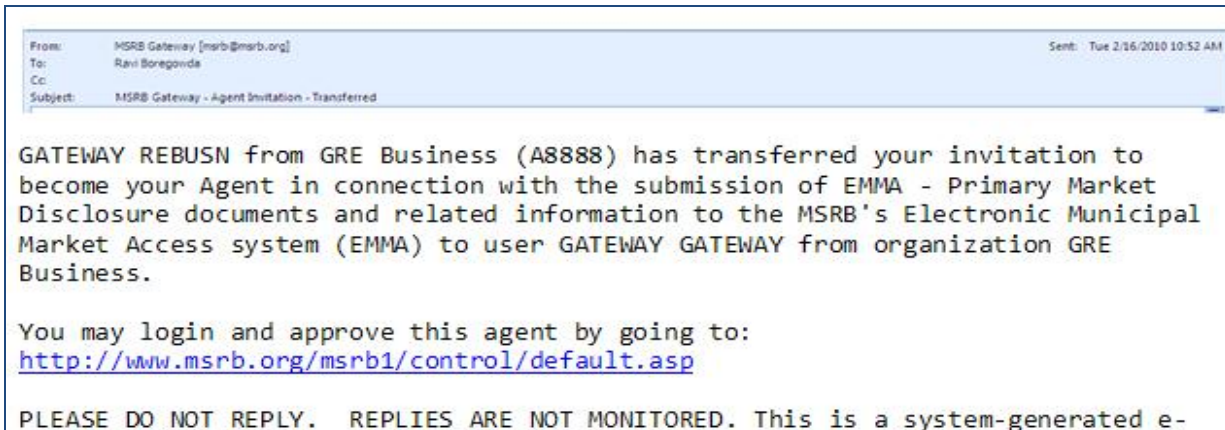
5.3.3 Transfer the invitation

Step 1. If the agent opts to transfer the invitation to an authorized user, click “Transfer”

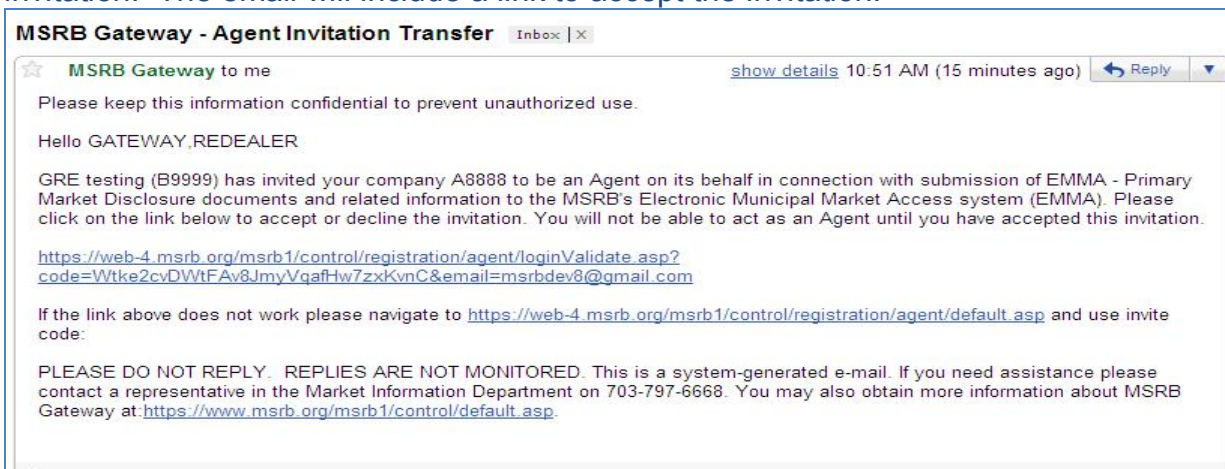
Step 2. On the *Agent Invitation – Transfer* screen, select the authorized user from the dropdown menu.

Step 3. The *Agent Invitation - Transfer* screen will show who that the invitation was transferred to.

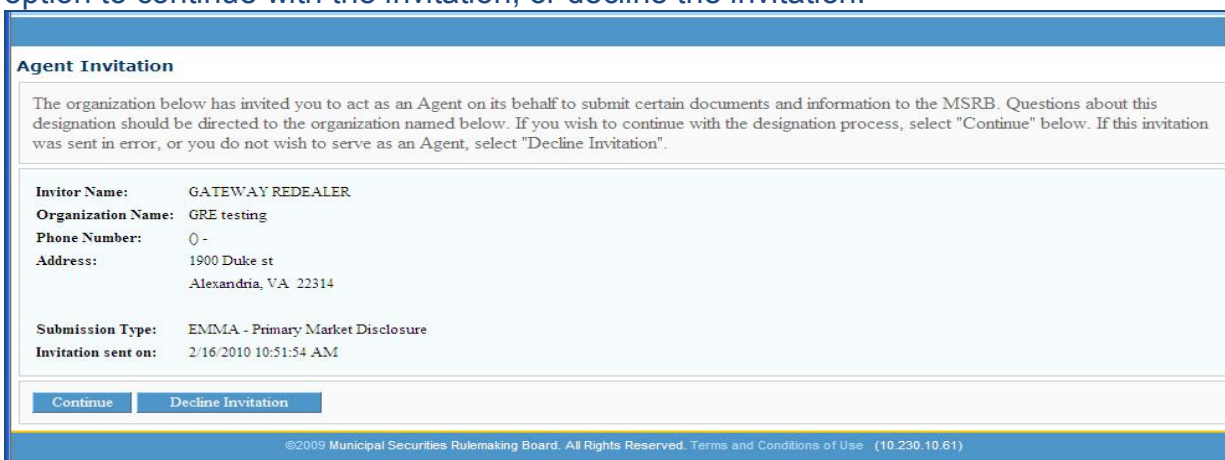
Step 4. The inviting dealer will receive an email to inform him/her that the invitation was transferred to another user



Step 5. The agent that the invitation was transferred to, will receive an email with details of the invitation. The email will include a link to accept the invitation.



Step 6. If the agent clicks the link to accept the invitation, a Gateway screen will give the user the option to continue with the invitation, or decline the invitation.



Step 7. If the agent continues with the invitation, the agent will be asked if they have a Gateway account

[Logout](#)

Agent Invitation

You have accepted the invitation by the organization below to act as an Agent. An invitation to and acceptance by an Agent through the MSRB Gateway is not intended to form the basis of a contract between your company and the organization listed below. You may wish to contact this organization to ensure that you have reached a mutual understanding of the scope of duties you will be undertaking on its behalf and the terms of your relationship.

Organization Name: GRE testing
Submission Type: EMMA - Primary Market Disclosure

Do you have an existing MSRB Gateway Account?

Yes No

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Step 8. After selecting yes, the user will be prompted to log into Gateway. The user will be directed to the *Agent Invite Confirmation* screen and can click “Continue” to accept the invitation.

[Logout](#)

Agent Invite Confirmation

You have accepted the invitation to act as an Agent for submitting documents to the MSRB on behalf of the organization named below.

Organization Name: GRE testing
MSRB ID: B9999
Phone Number: 0 -
Address: 1900 Duke st
 Alexandria, VA

[Continue](#)

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5.3. Decline the Invitation

Step 1. The invited agent can click “Decline” to decline the invitation.

[Logout](#)

Agent Designation Confirmation

There was a problem in establishing Agent-Principal relationship for your company. The reason is:

Only a Master Account Administrator can use an invite.

Here are your options for the next step:

- Click on **Transfer** - Transfer the invitation to authorized personnel from your organization.
- Click on **Decline** - Decline the invitation.
- Click on **Continue to Main Menu** - Not sure at this time and continue to Main Menu.

[Transfer](#)
[Decline](#)
[Continue to Main Menu](#)

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Step 2. The next screen requires the agent to confirm that they are declining the invitation. An email will be sent to the inviter stating that their invitation was declined.

Agent Invitation

The organization below has invited you to act as an Agent on its behalf to submit certain documents and information to the MSRB. Questions about this designation should be directed to the organization named below. If you wish to continue with the designation process, select "Continue" below. If this invitation was sent in error, or you do not wish to serve as an Agent, select "Decline Invitation".

Invitor Name:	GATEWAY REDEALER
Organization Name:	GRE testing
Phone Number:	0 -
Address:	1900 Duke st Alexandria, VA 22314
Submission Type:	EMMA - Primary Market Disclosure
Invitation sent on:	2/16/2010 10:51:54 AM

Continue
Decline Invitation

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5.3.5 Take no Action

Step 1. If the invited agent opts to take no action time they will click “Continue to Main Menu”

[Logout](#)

Agent Designation Confirmation

There was a problem in establishing Agent-Principal relationship for your company. The reason is:

Only a Master Account Administrator can use an invite.

Here are your options for the next step:

- Click on Transfer - Transfer the invitation to authorized personnel from your organization.
- Click on Decline - Decline the invitation.
- Click on Continue to Main Menu - Not sure at this time and continue to Main Menu.

Transfer
Decline
Continue to Main Menu

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Step 2. A Gateway screen will state that their invitation is pending, and they have 30 days to take accept the invitation. If no action is taken within 30 days the invitation will expire.

[Logout](#)

Agent Designation Invitation Pending

You have not taken an action on the invitation from GRE testing to act as an Agent. This invitation will expire in 30 days from the date of invitation email and remain in pending state until any action is taken, please follow the Agent invitation email to take action at a later time

Continue

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5.4 Dealer Process the Agents Acceptance to Invitation

Once the agent accepts the invitation the dealer must process the agent’s acceptance to complete the invitation process and identify the invited agent as someone who can make primary market submissions on the dealer’s behalf. The dealer will use the following steps to complete the invitation process.

Once the agent accepts the invitation the dealer must process the agent’s acceptance. Use

Step 1. Navigate to the *Account Management* screen and click “Manage Agents” link to get directed to the *Agents*

Account Management

The menu below provides you with the ability (subject to your User Account’s Access Rights) to manage new and existing MSRB Gateway User Accounts, your Organization Profile, and any Agent relationships with other companies.

Make your selection:

- Manage User Accounts**
Add, edit, and disable User Accounts for your organization.
- Manage Organization Profile**
Update contact information for your organization.
- Manage Groups (Note: this feature is recommended only for large organizations.)**
Use Groups to help organize your organization’s User Accounts.
- Manage Agents**
Designate Agents to submit certain information to MSRB systems on your behalf.
- Manage Principals**
Manage companies who have designated your organization as Agent to submit certain information to MSRB systems on their behalf.
- Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions
- View Account Administrators**
View your organization’s Account Administrators.

screen.

Step 2. Agents pending the dealer’s approval will be listed in the upper portion of the *Agents* screen. Click “Process Agent” to completed the agent invitation process.

Agents that have been approved are listed on the lower section of the *Agents* screen. The agent can be de-authorized at any time by clicking “De-authorize Agent”

Agents

You can designate Agents to submit certain information to MSRB systems on your organization’s behalf. Please be advised that all actions taken on MSRB systems on behalf of your company by an Agent you have designated shall be your company’s responsibility. Care should be taken in designating Agents to act on your company’s behalf.

[Add a New Agent](#)

Pending Agent Invitations (What's this?)

MSRB ID	Name	Submission Type	Status	Action
G0000U	test	SHORT System	Approval needed	Process Agent

Approved Agents (What's this?)

MSRB ID	Name	Submission Type	Action
G00010	Bloomberg, LP	SHORT System	Deauthorize Agent
G0000S	test 21	EMMA - Primary Market Submissions	Deauthorize Agent
G0000P	test organization 1	SHORT System	Deauthorize Agent

Gateway Management for Issuers, Agents, and Obligated Persons

6. Registration for Issuers, Agents, and Obligated Persons

Issuers, agents and obligated persons must register with the MSRB and establish a Gateway account in order to make continuing disclosure filings. A Gateway account can be established in two ways: the continuing disclosure registration process, or the invitation process. The two methods are outlined below.

6.1 Continuing Disclosure Registration & Confirmation Process

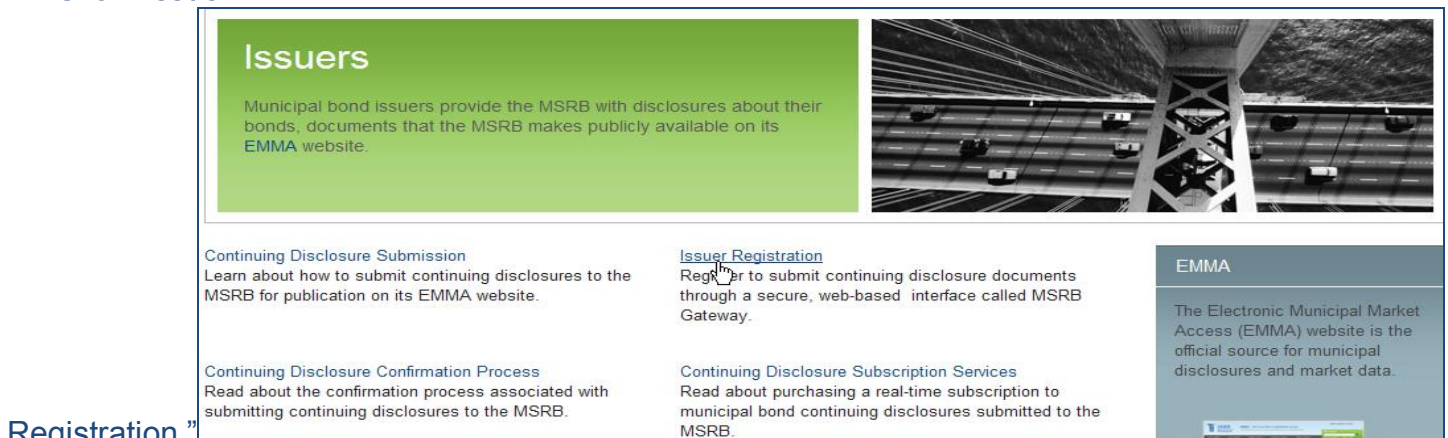
To start the continuing disclosure registration process, navigate to the MSRB Online Registration page. The registration page can be accessed through www.msrb.org or www.emma.org.

From MSRB.org

1. Go to www.msrb.org and select the user type from the dropdown menu.



2. Click "Issuer

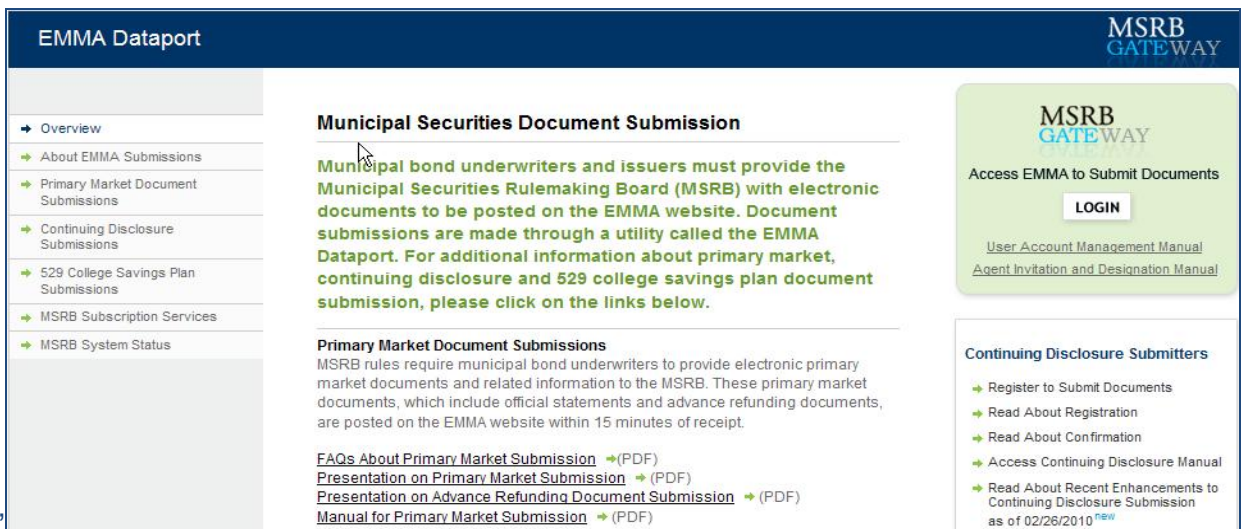


From EMMA.org

Go to www.emma.org, locate the menu bar in the upper section of the webpage and click “EMMA Dataport.”

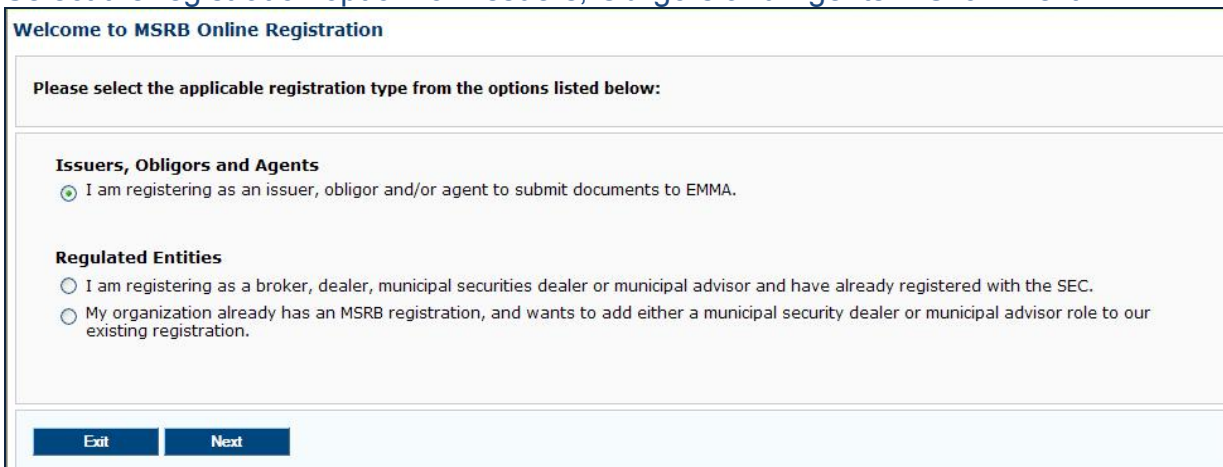


Click “Register to Submit



Documents.”

After navigating through either link, the user will be directed to the “MSRB Online Registration” page. Select the registration option for “Issuers, Obligors and Agents.” Click “Next.”



Register using the steps below.

Step 1. Enter email address of the person registering

Continuing Disclosure Registration - Step 1 - Welcome

Welcome to the registration page for the continuing disclosure submission service on the MSRB's Electronic Municipal Market Access (EMMA) system.

If you are a new user seeking to register as an issuer, obligor and/or agent to submit documents to EMMA, please provide a valid e-mail address below to continue the registration process.

All users that received an invitation code via e-mail from MSRB must enter an e-mail address and the invitation code below. If these fields have been pre-populated for you, click Next.

Existing users of MSRB Gateway may use their existing credentials to register for the continuing disclosure submission service and to edit existing roles within Gateway. Click below to enter your credentials.

Please be advised that all actions taken on MSRB systems, including but not limited to the EMMA system, by a user through a User Account shall be your responsibility.

New Users

E-mail Address*:

Invitation code*:

**Applies only to users who received an invitation code from MSRB via e-mail.
* required

Existing Users [Login](#)

[Next](#)

Step 2. Enter user information

Continuing Disclosure Registration - Step 2 - User Information

Please fill out your personal information including name, e-mail address, phone number and address.

Please be advised that if you submit a continuing disclosure document to the EMMA system and do not include separate issuer or obligor contact information during the submission process, then your own contact information as provided on this and/or the next page will be displayed on the EMMA public website in connection with such submission.

First Name*:

Last Name*:

E-mail Address*:

Confirm E-mail*:

Title:

Department:

Phone Number*: - - Ext.

Fax Number: - -

Address1*:

Address2:

City*:

State*:

Zip*:

Country:

Step 3. Enter registering organization's information

Continuing Disclosure Registration - Step 3 - Organization Information

Please provide your organization's details. If this information is the same as your personal information, click on [Copy values from user details](#).

Note: If you are not associated with an organization, please enter your first and last name in the Organization Name field.

[Copy values from user details](#)

Organization Name*:

Phone Number*: - - Ext.

Fax Number: - -

Address 1*:

Address 2:

City*:

State*:

Zip*:

Country:

* required

Step 4. Select role: Issuer, Obligor, or Secondary Market Agent

Continuing Disclosure Registration - Step 4 - Add Roles

Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.

Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.

Select Role(s) you wish to add:

- Issuer [?]
- Obligor [?]
- Secondary Market Agent [?]

Step 5. Choose confirmation method (electronic or manual)**6.1.1 Electronic Confirmation**

Enter the email address of a confirmed user. A confirmed user can be any person with a Gateway account who will agree to confirm the registering user (e.g., a co-worker or an underwriter). Click “Next” and proceed to **Step 6**.

Continuing Disclosure Registration - Step 5 - Confirmation (Electronic)

Please enter the e-mail address of the person confirming you. This person should be a confirmed user in MSRB Gateway acting as an issuer, obligor, secondary market agent or dealer (underwriter).

If you do not have the e-mail address of a confirmed user, just leave the box below blank and click Next to proceed to an alternative confirmation method.

Confirmer's Email Address:*

Previous

Next

6.1.2 Manual Confirmation

If the registering user cannot find a confirmed user, the MSRB can manually confirm the registration. Instructions and required documentation for manual confirmation are stated on the “Manual Confirmation Document.” This document will be available to print after **Step 6**.

To proceed with manual confirmation click “Next”

Continuing Disclosure Registration - Step 5 - Confirmation (Electronic)

Please enter the e-mail address of the person confirming you. This person should be a confirmed user in MSRB Gateway acting as an issuer, obligor, secondary market agent or dealer (underwriter).

If you do not have the e-mail address of a confirmed user, just leave the box below blank and click Next to proceed to an alternative confirmation method.

Confirmer's Email Address:*

[Previous](#) [Next](#)

Step 6. Verify information entered for the Gateway account and click “Submit”

Continuing Disclosure Registration - Step 6 - Information Verification

You have chosen manual confirmation. On the next screen, you will see your confirmation document.

Please verify that the information you have provided is correct. If you wish to edit any page, click on the Previous button to navigate to the appropriate screen. If you need to edit any user-related information, please click on the Edit User Details.

Please note that you are responsible for the accuracy of all information provided in connection with the establishment of this account.

Click on Submit to create the account and generate your confirmation document.

Individual Information	Organization Information
Name: John Doe	Your MSRB ID: D001FM
E-mail: msrbdev12@gmail.com	Name: comapny
Title: Director	Phone Number: 703-780-2222 Ext. 100
Department: MIPO	Fax Number: 703-780-3333
Existing Roles(s): None	Address: 1900 st
Roles(s) being assigned: Obligor, Secondary Market Agent	alex, va 22310
Roles(s) being removed: None	
Phone Number: 703-780-2222 Ext. 100	
Fax Number: 703-780-3333	
alex, va 22310	

[Previous](#) [Submit](#)

[Edit User Details](#)

If confirming manually, the “Manual Confirmation Document” will appear after submission. Print the “Manual Confirmation Document” and mail or fax it along with other required documentation to the MSRB.

Continuing Disclosure Registration - Manual Confirmation Document

You will need this document, which includes your confirmation number, to complete the manual confirmation process. Please print this page and send it to the MSRB along with the documentation identified in one of the options below.

MSRB ID: D001FM
Confirmation Number: 0000-AAHL

For issuers and obligated persons:

Send this document along with a letter requesting confirmation, on your organization's letterhead, signed your organization's chief financial officer (or the person responsible for financial matters), to the address below.

or

Send this document along with a letter requesting confirmation and your organization's IRS Form 8038 to the address below. This option is not available to agents.

For users submitting disclosure documents as an agent on behalf of issuers or obligated persons:

Send this document along with a letter requesting confirmation AND a document signed by an issuer or obligated person designating you as an agent (e.g. continuing disclosure agreement) to the MSRB at the address below.

All correspondence should be addressed to:

MSRB
 Attention: Market Information Department
 1900 Duke Street
 Alexandria, VA 22314

[Print](#)

6.2. Continuing Disclosure Invitation Process

An issuer may invite an agent or obligated person to make continuing disclosure filings on their behalf. In the invitation process, the issuer extends an invitation to a user and the user can accept or decline the invitation. If the user accepts the invitation, the issuer must confirm the acceptance to qualify the relationship.

The following steps are used in the invitation process:

6.2.1 Inviter Sends an Invitation

Step 1. To send an invitation, expand the "Account and Organization Management" link on the Gateway homepage and click "Manage Continuing Disclosure Requests."

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <ul style="list-style-type: none"> [-] Account and Organization Management <ul style="list-style-type: none"> > Manage Organization Profile <i>View and edit organization level details.</i> > Manage Continuing Disclosure Requests <i>Process confirmation requests and invite agents for CD submissions.</i> > Add / Remove Roles for Continuing Disclosure Service <i>Update your roles or manage the confirmation process.</i> [-] Market Information Systems <i>Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.</i> <ul style="list-style-type: none"> > EMMA Dataport <i>Submit documents and information to EMMA.</i> 	<p>My Profile Edit</p> <p>User ID: MDEV1 Role: User User Name: MSRB DEV Organization Name: coke inc MSRB ID: D001E7 Email Address: ohamilton@msrb.org Change Password</p>
---	--

Step 2. Enter the email address of the user you wish to invite and click “Invite for Continuing Disclosure.”

Continuing Disclosure Confirmation/Invitation

Pending Continuing Disclosure Confirmations
 These are requests from MSRB-registered users to be confirmed by you to submit continuing disclosures.

There are currently no pending confirmations to process.

Invite user for Continuing Disclosure submissions
 Send an invitation to a user to submit continuing disclosures by providing the user's email address. On the next screen you will be asked to select a specific role for the user.

Email:

Step 3. Select the role of the invited user and click “Send Invitation.”

Continuing Disclosure Invitation

Select a role to assign to the invitee. You may also enter the name of the user's organization.

Email of invitee:
 Organization Name:
 Role:*
 *required

Step 4. The registration/confirmation status of the invited user will be displayed on the next Gateway screen. The invited user's status will determine what actions the inviter and the invited user take next.

6.2.1a) The Invited User is Registered and Confirmed

If the invited user is registered and confirmed the following screen will display and no further action is necessary.

Continuing Disclosure Invitation	
The user with email address msrbdev1@gmail.com already has an MSRB Account which is confirmed and has following roles assigned - Issuer, Obligor, Secondary Market Agent	
Return to Continuing Disclosure Management	Return to Company Management
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6.2.1b) The Invited User has an Unconfirmed MSRB Registration

If the invited user has an unconfirmed MSRB registration, the inviter can confirm the user by clicking “Confirm This User.” The invited user is now confirmed and no further action is necessary.

Continuing Disclosure Invitation		
The user with email address msrbdev5@gmail.com already has an MSRB Account which is unconfirmed and has following roles assigned - Issuer, Obligor, Secondary Market Agent		
You may confirm this account by clicking on Confirm this User.		
Confirm this User	Return to Continuing Disclosure Management	Return to Company Management

6.2.1c) Both Users have Unconfirmed MSRB Registrations

If both users have unconfirmed MSRB registrations, the invited user must initiate the confirmation process. For instruction on how to initiate a confirmation process, see section 22.

- **If the invited user is not registered with the MSRB**, a link will be emailed to the user to start the registration process after an invitation has been sent.

Please keep this information confidential to prevent unauthorized use.

Mahesh Co (D0011V) has invited you to register to submit continuing disclosure documents and related information to the MSRB's Electronic Municipal Market Access system (EMMA). Please click on the link below to accept or decline the invitation. You will not be able to act as an Agent until you have accepted this invitation.

<https://www.msrb.org/msrb1/control/registration/cod/landing.asp?code=MQuv9Z7ZbBaNgaQuFhwzKfmWwjFH1P&email=ohamilton@msrb.org>

If the link above does not work please navigate to <https://www.msrb.org/msrb1/control/registration/cod/landing.asp> and use invite code: MQuv9Z7ZbBaNgaQuFhwzKfmWwjFH1P

PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. This is a system-generated e-mail. If you need assistance please contact the MSRB at 703-797-6600 or you may obtain more information at www.msrb.org.

When the user clicks the link in the email, they will be directed to the first step of the continuing disclosure registration process. The email address and invitation code will be pre-populated. Click "Next" to continue with the registration process.

Continuing Disclosure Registration - Step 1 - Welcome

Welcome to the registration page for the continuing disclosure submission service on the MSRB's Electronic Municipal Market Access (EMMA) system.

If you are a new user seeking to register as an issuer, obligor and/or agent to submit documents to EMMA, please provide a valid e-mail address below to continue the registration process.

All users that received an invitation code via e-mail from MSRB must enter an e-mail address and the invitation coded below. If these fields have been pre-populated for you, click Next.

Existing users of MSRB Gateway may use their existing credentials to register for the continuing disclosure submission service and to edit existing roles within Gateway. Click below to enter your credentials.

Please be advised that all actions taken on MSRB systems, including but not limited to the EMMA system, by a user through a User Account shall be your responsibility.

New Users

E-mail Address*:

Invitation code***:

* required
 ** Applies only to users who received an invitation code from MSRB via e-mail.

Existing Users [Login](#)

[Next](#)

6.3 Confirmation Timeframes

How quickly a user gets confirmed can be determined by the confirmation method selected.

Electronic confirmation is the quickest confirmation method; however, the confirmation process depends on how quickly a user responds to the confirmation request. It is possible for confirmation to occur within minutes, if the confirmed user immediately responds to a request.

Manual confirmation will occur approximately two business days following receipt by the MSRB of the manual confirmation document and other required documentation. If there are documentation deficiencies, the MSRB will attempt to contact the user. This will prolong the processing time to perform the manual confirmation.

To check the processing status of a confirmation request, contact the confirmed party for electronic confirmation and the MSRB for manual confirmation.

7. User Account Management - Issuers, Agents, Obligated Persons

Issuers, agents, and obligated persons perform few account management functions in Gateway. The account management functions that are performed include:

- View confirmation status
- Initiate/reinitiate the confirmation process
- Update continuing disclosure roles
- Manage requests for confirmation
- Manage organization details

7.1 View Confirmation Status

If a user is unsure of his/her confirmation status, the user can view confirmation status by logging into their Gateway account and following the steps below.

Step 1. From the *Gateway Main Menu*, expand the “Account and Organization Management” link and click “Add/Remove Roles for Continuing Disclosure Service.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

[–] Account and Organization Management

> Manage Organization Profile

View name, address and phone information for your organization.

> Manage Continuing Disclosure Requests

Process confirmation requests and invite agents for CD submissions.

> Add / Remove Roles for Continuing Disclosure Service

[–] Market Information Systems

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

> EMMA Dataport

Submit documents and information to EMMA.

Step 2. View the confirmation status.

Add / Remove Roles

Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.

Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.

Select Role(s) you wish to add/Remove:

Issuer [?]

Obligor [?]

Secondary Market Agent [?] (Confirmation Pending) [Reinitiate Confirmation](#)

[Next](#)

[Return to Main Menu](#)

7.2 Initiate/Reinitiate Confirmation

A user who is not yet confirmed can initiate confirmation. Users who already requested confirmation can change their confirmation method or re-request confirmation—from the same user or a different user—by reinitiating confirmation. Use the steps below to perform either function.

Step 1. From the *Gateway Main Menu*, expand the “Account and Organization Management” link and click “Add/Remove Roles for Continuing Disclosure Service.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

- [–] Account and Organization Management**
 - > **Manage Organization Profile**
View name, address and phone information for your organization.
 - > **Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions.
 - > **Add / Remove Roles for Continuing Disclosure Service**
- [–] Market Information Systems**
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
 - > **EMMA Dataport**
Submit documents and information to EMMA.

Step 2. Click “Restart Confirmation.”

Add / Remove Roles

Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.

Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.

Select Role(s) you wish to add/Remove:

Issuer [?]

Obligor [?]

Secondary Market Agent [?] (Confirmation Pending) [Reinitiate Confirmation](#)

[Next](#)

[Return to Main Menu](#)

Step 3. Select the confirmation method. Enter the email address of a confirmed user to confirm electronically, or click “Print Confirmation Number” to print the manual confirmation document and perform manual confirmation.

Continuing Disclosure Registration - Reinitiate Confirmation

At present your manual confirmation process is pending. You have following options:

- You may contact MSRB to know the status of confirmation.
- You may reprint confirmation document by clicking on Print Confirmation Document.
- If you have email address of a confirmed Gateway user, you may also choose to get confirmed electronically.

To choose electronic confirmation enter email address in a box below and click Request button.

Enter Confirmer's Email Address:* Or [Print Confirmation Number](#)

7.3 Update Continuing Disclosure Roles

If a user needs to add/delete a continuing disclosure role, the user can update their account in Gateway to reflect the change. Use the steps below to make the updates.

Step 1. From the *Gateway Main Menu*, expand the link “Account and Organization Management” and click “Add/Remove Roles for Continuing Disclosure Service.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

- [–] Account and Organization Management**
 - **Manage Organization Profile**
View name, address and phone information for your organization.
 - **Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions.
 - **Add / Remove Roles for Continuing Disclosure Service**
- [–] Market Information Systems**
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
 - **EMMA Dataport**
Submit documents and information to EMMA.

Step 2. Click inside the box to add a role. Click on the check inside the box to deselect a

Add / Remove Roles

Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role.

Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system.

Select Role(s) you wish to add/Remove:

Issuer [?]

Obligor [?]

Secondary Market Agent [?] (Confirmation Pending) Reinitiate Confirmation

Next

Return to Main Menu

role.

7.4 Manage Requests for Confirmation

An organization may receive requests from users in another organization to confirm their registration. These confirmation requests are managed in Gateway. The user can view the pending request and confirm the user. Use the steps below to view and confirm confirmation requests.

Step 1. From the Gateway main menu, expand the link “Account and Organization Management” and click “Manage Continuing Disclosure Requests.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

- [–] Account and Organization Management**
 - > Manage Organization Profile**
View and edit organization level details.
 - > Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions
 - > Add / Remove Roles for Continuing Disclosure Service**
- [–] Market Information Systems**
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
 - > EMMA Dataport**
Submit documents and information to EMMA.

My Profile Edit

User ID: TUSER10

Role: User

User Name: TEST USER

Organization Name: Company 6

MSRB ID: D0011Y

Email Address: chamilton@msrb.org

[Change Password](#)

Step 2. View pending continuing disclosure confirmation requests. Click the “Confirm” button to take action on the confirmation requests.

Continuing Disclosure Confirmation/Invitation

Pending Confirmation Requests: These are the request from CD users to confirm for a CD role (Issuer/Obligor/Secondary Market Agent).

Invite user for CD Submissions: You may send an invite to a user by providing user’s email address. On the next screen you will be asked to select a CD role (Issuer/Obligor/Secondary Market Agent) to invite user for.

Pending Continuing Disclosure Confirmations (What's this?)

MSRB ID	Name	Action
D0012A	NEW USER	Confirm

Invite user for Continuing Disclosure submissions (What's this?)

Email: [Invite for Continuing Disclosure](#)

Step 3. The user can confirm the registration or reject the registration.

CD Approval

Please note that you are responsible for ensuring that the users you confirm below is known to you.

Organization Name: Company 6

Email: newuser2@company.org

CD Roles: OBLIGOR
SMAGENT

[Confirm Registration](#)
[Reject Registration](#)

8. Global User Management Functions

Gateway users can perform basic account management functions in Gateway. These functions include:

- Modifying user account details
- Viewing account administrators in the organization
- Viewing user account history
- Managing passwords

8.1. Update User Account Details

Users can update the following user account details in their Gateway account:

- Email address
- Phone number(s)
- Address

The following information **cannot** be updated by the user:

- User ID. This is system generated and **cannot** be modified.
- MSRB ID. This is system generated and **cannot** be modified.
- User Name. To update a user name, the **Master Account Administrator** must disable the user's account and create a new account.

Use the following steps to update user account details:

Step 1. On the Gateway Main Menu, go to the “My Profile” box located in the upper right and click “Edit.”

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <p>[–] Account and Organization Management <i>Manage profile information for your User Account or for your organization.</i></p> <ul style="list-style-type: none"> ▶ Manage User Accounts <i>Add, edit, and disable individual User Accounts for your organization.</i> ▶ View Account Administrators <i>View your organization's Account Administrators.</i> ▶ Manage Agents <i>Designate Agents to submit certain information to MSRB systems on your behalf.</i> ▶ Manage Continuing Disclosure Requests <i>Process confirmation requests and invite agents for CD submissions.</i> ▶ Manage Principals <i>Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf.</i> 	<p>My Profile Edit</p> <p>User ID: TBELL</p> <p>Role: Account Administrator</p> <p>User Name: TINKER BELL</p> <p>Organization Name: Neverland Inc.</p> <p>MSRB ID: A7259</p> <p>Email Address: ohamilton@msrb.org</p> <p style="text-align: right;">Change Password</p>
--	--

Step 2. Click “Edit User Account.”

User Account Profile and Access Rights

<p>Account Details</p> <p>User ID: PPA2</p> <p>User Name: PETER PAN</p> <p>MSRB ID: A7259</p> <p>Email Address: ohamilton@msrb.org Email User ID</p> <p>Title:</p> <p>Department:</p> <p>Address: 123 ANY ST. SUITE 600 ANY, ST 12345</p> <p>Phone Number: 222-222-2222</p> <p>Fax Number:</p> <p>Last Updated by: CHOOK1 On: 10/21/2010 4:22:17 PM</p>	<p>Account Access Rights</p> <p>This user has the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input type="checkbox"/> [?]</p> <p>SHORT System <input type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input checked="" type="checkbox"/> [?]</p> <p>Agent Designation <input type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Electronic G-37 <input checked="" type="checkbox"/> [?]</p>
--	--

View Profile History
View User Access Rights History
Edit User Account

Step 3. Users can edit the fields in the box on the left of the screen. The right side of the screen lists account access rights, and can only be updated if the user is a Master Account Administrator or an Account Administrator. Users should make desired updates and click “Continue.”

Edit User Account

<p>Account Details</p> <p>User ID: TBELL</p> <p>MSRB ID: A7259</p> <p>First Name:* TINKER</p> <p>Middle Name:</p> <p>Last Name:* BELL</p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Title: <input type="text"/></p> <p>Department: <input type="text" value="Suite 600"/></p> <p>Phone Number:* <input type="text" value="222"/> - <input type="text" value="222"/> - <input type="text" value="2222"/> Ext. <input type="text"/></p> <p>Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/></p> <p>Address1:* <input type="text" value="123 ANY ST."/></p> <p>Address2: <input type="text"/></p> <p>City:* <input type="text" value="ANY"/></p> <p>State:* <input type="text" value="ST"/></p> <p>Zip:* <input type="text" value="12345"/></p> <p>Country: <input type="text"/></p> <p><small>*required</small></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to your User Account.</p> <p>You will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?]</p> <p>SHORT System <input type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input checked="" type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Electronic G-37 <input type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login.</p> <p><input type="checkbox"/> Disable the user account.</p>
---	---

Continue
View Profile

8.2 View Account Administrators

Users can view Account Administrators within their organization to request user account information or make updates to their account.

Step 1. Go to the *MSRB Gateway Main Menu* and expand “Account and Company Management” link. Select “View Account Administrators.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

[–] Account and Organization Management
Manage profile information for your User Account or for your organization.

- > **Manage User Accounts**
Add, edit, and disable individual User Accounts for your organization.
- > **View Account Administrators**
View your organization's Account Administrators.
- > **Manage Groups (Note: this feature is recommended only for large organizations.)**
Use Groups to help organize your organization's User Accounts.
- > **Manage Agents**
Designate Agents to submit certain information to MSRB systems on your behalf.
- > **Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions.
- > **Manage Principals**
Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf.

[–] Registrant Information Forms
Submit forms that provide information about your organization.

- > **Form RTRS**
- > **Edit or Affirm Your Organization's Form G-40 Filing**

My Profile Edit

User ID: CHOOK1
 Role: Master Account Administrator
 User Name: CAPTAIN HOOK
 Organization Name: Neverland Inc.
 MSRB ID: A7259
 Email Address: ohamilton@msrb.org
Change Password

Step 2. The screen will show all Account Administrators for the organization.

Account Administrators

The following is contact information for Account Administrators for your organization. You can contact an Account Administrator for assistance with updating your account profile or to add Rights to your account.

Showing (1 - 2) of 2

<< < > >>

Group	Name	Email	Phone Number
*	CAPTAIN HOOK	ohamilton@msrb.org	(222) 222-2222
*	PETER PAN	ohamilton@msrb.org	(222) 222-2222

<< < > >>

Return to Account Management

8.3 View User Account History

Users can view a history of changes that were made to their account profile or to their account access rights.

Step 1. Locate the “My Profile” box in the upper right of the *Gateway Main Menu*. Click “Edit.”

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

[-] Account and Organization Management
Manage profile information for your User Account or for your organization.

- > **Manage User Accounts**
Add, edit, and disable individual User Accounts for your organization.
- > **View Account Administrators**
View your organization's Account Administrators.
- > **Manage Agents**
Designate Agents to submit certain information to MSRB systems on your behalf.
- > **Manage Continuing Disclosure Requests**
Process confirmation requests and invite agents for CD submissions.
- > **Manage Principals**
Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf.

My Profile Edit

User ID: TBELL
 Role: Account Administrator
 User Name: TINKER BELL
 Organization Name: Neverland Inc.
 MSRB ID: A7259
 Email Address: ohamilton@msrb.org
Change Password

Step 2. On the *Edit User Account* screen, click “View Profile.”

Edit User Account

Account Details

User ID: TBELL
 MSRB ID: A7259
 First Name*: TINKER
 Middle Name:
 Last Name*: BELL
 Email Address*: ohamilton@msrb.org
 Confirm Email*: ohamilton@msrb.org
 Title:
 Department:
 Phone Number*: 222 - 222 - 2222 Ext.
 Fax Number: - -
 Address1*: 123 ANY ST.
 Address2:
 City*: ANY
 State*: ST
 Zip*: 12345
 Country:

*required

Account Access Rights

Select the Access Rights to assign to your User Account.
 You will have the following Access Rights in MSRB Gateway:

Account Administrator [?]
SHORT System [?]
EMMA Primary Market Submissions [?]
Agent Designation [?]
EMMA Secondary Market Submissions [?]
Electronic G-37 [?]

Force password change on next login.
 Disable the user account.

Step 3. View “User Account Profile History” or “User Account Access Rights History.”

User Account Profile and Access Rights

<p>Account Details</p> <p>User ID: TBELL User Name: TINKER BELL MSRB ID: A7259 Email Address: ohamilton@msrb.org Title: Department: Address: 123 ANY ST. ANY, ST 12345</p> <p>Phone Number: 222-222-2222 Fax Number: Last Updated by: CHOOK1 On: 10/21/2010 5:02:57 PM</p>	<p>Account Access Rights</p> <p>You have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p>
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[View Profile History](#) [View User Access Rights History](#) [Edit User Account](#)

[Return to Accounts](#) [Return to Account Management](#)

Profile history shows all updates to the account and who made the updates.

User Account Profile History

Click on an entry for available detail.

Showing (1 - 5) of 5

Updated By	Updated On
CHOOK1	10/21/2010 5:07:02 PM
CHOOK1	10/21/2010 5:02:57 PM
CHOOK1	10/21/2010 4:49:37 PM
CHOOK1	10/21/2010 4:41:54 PM
CHOOK1	10/21/2010 4:28:06 PM

[Return to Account Profile](#) [Return to Account Management](#)

Account access rights history shows a history of the user’s account access rights, when account access rights were granted/ removed and who changed the access rights

User Account Access Rights History

Showing (1 - 4) of 4

Application	Access	Updated By	Updated On
Account Administrator	ACCESS REMOVED	CHOOK1	10/21/2010 5:07:02 PM
EMMA Secondary Market Submissions	ACCESS GRANTED	CHOOK1	10/21/2010 5:07:02 PM
Agent Designation	ACCESS GRANTED	CHOOK1	10/21/2010 4:28:06 PM
Account Administrator	ACCESS GRANTED	CHOOK1	10/21/2010 4:28:06 PM

[Return to Account Profile](#) [Return to Account Management](#)

8.4 Password Management

There are several scenarios in which a user will need to reset their Gateway password. These scenarios include:

- A security requirement by Gateway that forces users to periodically change their password
- Users who get locked out after three unsuccessful log-in attempts
- Users who forget their password and use the “Forgot Password” feature
- Users who desire to create a new password. The password can be changed by clicking the “Change Password” link located in the user’s “My Profile” box.

8.4.1 Create Password for New User Account

After a Gateway account is created, the user will receive a system generated email with their user ID and a link to request password creation. Click the link to start the password creation process.

Please keep this information confidential to prevent unauthorized use of this account.

An MSRB Gateway Account has been created for this email address: ohamilton@msrb.org by ORLENE HAMILTON (OHAMILTON)

The following Access Right(s) have been granted:
SHORT System

You have been added to the following Group(s):
dicky do and the donts

Your New UserID is: TADMIN

You may retrieve your password by going to: <https://68.142.182.137/msrb1/control/forgotpassword.asp>

This is a system-generated e-mail PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance with your account please contact an account manager at your organization. or You may also obtain more information about MSRB Gateway at: <https://68.142.182.137/msrb1/control/default.asp>.

Step 1. Enter your user ID and click “Submit.”

Reset Password

To reset your password, enter your User ID below.
If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Step 2. An email will be sent with a link to create a password. Click the link.

We have received your request for a new password. Please note that our records have been updated and we recommend that you change your password in our system within 7 days using the link below. The link will expire within 7 days and failure to reset your password within 7 days will require you to submit another request for a password change.

<http://68.142.182.137/msrb1/control/forgotPasswordProcess.asp?key=JYTPGRfERC1kagndMRhkc6j2BVTpPg>

To change your password, follow these simple steps below:

1. Click on the password link above.
2. On the Password Change page, enter and confirm the password that satisfies the password criteria.
3. Click on the Continue button.

This is a system-generated e-mail. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance please contact a representative in the Market Information Department on 703-797-6668. You may also obtain more information about MSRB Gateway at: <https://www.msrb.org/msrb1/control/default.asp>.

Step 3. Enter the user ID again and click “Submit.”

To validate your request for a new password, enter your User ID below.
 If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Step 4. The change password screen will appear and the user can create a new password based on the password criteria.

Change Password

THE MSRB REQUIRES THAT USERS CHANGE THEIR PASSWORDS PERIODICALLY FOR SECURITY PURPOSES.

USERS ARE ALSO ASKED TO CHANGE THEIR PASSWORD UPON INITIAL LOGIN OR AFTER USING THE 'Forgot your password?' FEATURE.

YOU MUST CHANGE YOUR PASSWORD NOW TO CONTINUE TO ACCESS THIS SYSTEM.

To change your password you must:

1. Enter your new password
2. Enter your new password again to confirm
3. Click "Continue"

New passwords must meet the following criteria:

1. Must be between eight (8) and fifteen (15) characters long
2. Must be different from your current password
3. Must not contain your User ID
4. Must contain characters from at least three of the following four categories:
 - Uppercase characters (A-Z)
 - Lowercase characters (a-z)
 - Numeric characters (0-9)
 - Special characters (!@#\$%^&*(), etc. excluding spaces)

New Password:

Retype New Password:

Step 5. The Retrieve Password screen will appear again. Enter the user ID and click “Submit.”

Retrieve Password

To validate your request for a new password, enter your User ID below.
 If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Step 6. On the Change Password screen, create new password in accordance with the password criteria. Click “Continue.”

Change Password

THE MSRB REQUIRES THAT USERS CHANGE THEIR PASSWORDS PERIODICALLY FOR SECURITY PURPOSES.

USERS ARE ALSO ASKED TO CHANGE THEIR PASSWORD UPON INITIAL LOGIN OR AFTER USING THE 'Forgot your password?' FEATURE.

YOU MUST CHANGE YOUR PASSWORD NOW TO CONTINUE TO ACCESS THIS SYSTEM.

To change your password you must:

1. Enter your new password
2. Enter your new password again to confirm
3. Click "Continue"

New passwords must meet the following criteria:

1. Must be between eight (8) and fifteen (15) characters long
2. Must be different from your current password
3. Must not contain your User ID
4. Must contain characters from at least three of the following four categories:
 - Uppercase characters (A-Z)
 - Lowercase characters (a-z)
 - Numeric characters (0-9)
 - Special characters (!@#\$%^&*(), etc. excluding spaces)

New Password:

Retype New Password:

Step 7. You will be directed to a confirmation screen. Click “Return” for the Gateway Main Menu.

Transaction Confirmation

You have successfully changed your password.

8.4.2 System Forced Password Reset

Follow the steps below to reset your password for the first three scenarios described above.

Step 1. From the Gateway Main Menu, click the link “Forgot your password”.

Welcome to MSRB Gateway, the secure access point for all MSRB applications including EMMA. For guidance on user account management and information about the MSRB's applications and how to use them, please refer to the [appropriate MSRB User Manual](#). If you are an issuer, obligated person or primary or secondary market agent making continuing disclosure submissions to EMMA, please see the [Continuing Disclosure Submission Manual](#) for information on creating an account in MSRB Gateway.

To return to MSRB.org from within MSRB Gateway application, click on the MSRB Home link at the top right corner of the current web page.

If you are experiencing log-in or other system related problems, please check the [MSRB System Status Page](#) for more information. If you need additional help, please contact the MSRB via email at GatewaySupport@msrb.org or by phone at (703) 797-6668.

Step 2. Enter your user ID and click “Submit.” If you do not know your user ID, contact an Account Administrator in your organization. (See section 26 to find an Account Administrator).

Reset Password

To reset your password, enter your User ID below.
If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Step 3. You will see a screen stating that an email containing a link to reset your password has been emailed to you. Check your email inbox.

MSRB Account Password

A link to reset your password has been emailed to the address registered with the MSRB for this account. If you are having problems receiving this link, please contact a representative in the Market Information Department at (703) 797-6668.

Step 4. Retrieve the email and click on the link to reset your password.

Subject: Your MSRB Gateway Password Request

We have received your request for a new password. Please note that our records have been updated and we recommend that you change your password in our system within 7 days using the link below. The link will expire within 7 days and failure to reset your password within 7 days will require you to submit another request for a password change.

<http://www.msrb.org/msrb1/control/forgotPasswordProcess.asp?key=g6nNAC8hauNBhEQ76vH6XmRgnquaZM>

To change your password, follow these simple steps below:

1. Click on the password link above.
2. On the Password Change page, enter and confirm the password that satisfies the password criteria.
3. Click on the Continue button.

This is a system-generated e-mail. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance please contact a representative in the Market Information Department on 703-797-6668. You may also obtain more information about MSRB Gateway at: <https://www.msrb.org/msrb1/control/default.asp>.

Step 5. You will be prompted to enter your user ID again. Enter your user ID and click “Submit.”

Retrieve Password

To validate your request for a new password, enter your User ID below.
If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Step 6. Follow instructions to meet password criteria, and create your new password. Click “Continue.”

Change Password

THE MSRB REQUIRES THAT USERS CHANGE THEIR PASSWORDS PERIODICALLY FOR SECURITY PURPOSES.

USERS ARE ALSO ASKED TO CHANGE THEIR PASSWORD UPON INITIAL LOGIN OR AFTER USING THE 'Forgot your password?' FEATURE.

YOU MUST CHANGE YOUR PASSWORD NOW TO CONTINUE TO ACCESS THIS SYSTEM.

To change your password you must:

1. Enter your new password
2. Enter your new password again to confirm
3. Click "Continue"

New passwords must meet the following criteria:

1. Must be between eight (8) and fifteen (15) characters long
2. Must be different from your current password
3. Must not contain your User ID
4. Must contain characters from at least three of the following four categories:
 - Uppercase characters (A-Z)
 - Lowercase characters (a-z)
 - Numeric characters (0-9)
 - Special characters (!@#\$%^&*(), etc. excluding spaces)

New Password:

Retype New Password:

Step 7. The “Transaction Confirmation” screen will confirm that the password was successfully changed. Click “Return” for the Gateway Main Menu.



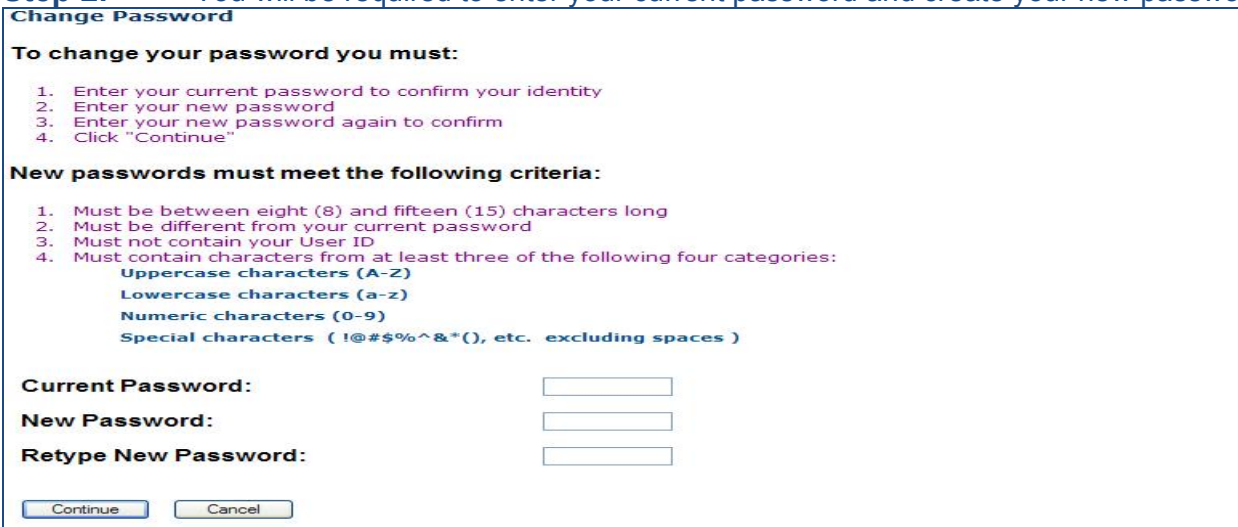
8.4.3 User Initiated Password Reset

Follow steps below if you desire to create a new password.

Step 1. Navigate to the “My Profile” box located on the Gateway Main Menu, and click the link “Change Password.”



Step 2. You will be required to enter your current password and create your new password.



Step 3. The Transaction Confirmation screen will confirm that the password was successfully changed. Click “Return” for the Gateway Main Menu.

Transaction Confirmation

You have successfully changed your password.

Groups Management

It is Highly Recommended that Large Organizations Utilize the Groups Feature

9. Groups

The Groups feature in Gateway give the **Master Account Administrator** the option of forming smaller subgroups in Gateway. This will facilitate easier account management for large organizations that must manage several user accounts. These smaller subgroups can be formed based on geographical location, department sector, job title, etc. It is highly recommended that large organizations utilize the Groups Feature to assist with user account management.

9.1 Group Roles and Responsibilities

User roles and responsibilities for Groups are described below.

Master Account Administrator

Master Account Administrators can perform the following functions:

- Create, edit and delete a Group
- Add users to a Group
- Remove users from a Group
- Add himself/herself to a Group (*Master Account Administrator privileges will not be affected*)
- Appoint **Group Account Administrators**
- Remove a user's **Group Account Administrator** role by:
 - Removing the user from the Group(s) that he/she manages. If removed from all groups, the user will become a **Global Account Administrator**
 - or -
 - Remove the user's "Account Administrator" account access right. The user will remain in the group that he/she previously managed, but will no longer have administrative rights.
- Appoint **Global Account Administrators** by granting the user "Account Administrator" account access rights, but not appointing the user to a group.
- Remove a user's **Global Account Administrator** role by removing the user's "Account Administrator" account access rights. The user will no longer have administrative rights and the user's account will be disabled if no other user account access rights are granted.

Global Account Administrator

Global Account Administrators can perform the following functions for all users except the **Master Account Administrator**:

- Add users to a group (with the exception of **Global Account Administrators**)
- Edit all Group accounts

- Move users from one Group to another Group (with the exception of **Global Account Administrators** who do not belong to a Group)
- Move **Group Account Administrators** from one group to another

The **Global Account Administrator** cannot perform the following functions:

- Add, edit or delete a Group
- Grant Account Administrator account access rights (therefore cannot create **Global Account Administrators** or **Group Account Administrators**)
- Remove Account Administrator account access rights (therefore cannot remove **Global Account Administrator** or **Group Account Administrator** roles)

Group Account Administrator

Group Account Administrators have administrative rights that are limited to users within his/her group.

A **Group Account Administrator** can perform the following functions:

- Manage user accounts within his/her Group(s)
- Create new users. The new user will be added to a Group that the **Group Account Administrator** manages.

While a Group can be administered by only one Group Account Administrator, a Group Account Administrator can administer to multiple Groups.

9.2 Create a New Group

To use the Groups feature, the **Master Account Administrator** must first create a Group using the following steps:

Step 1. From the “MSRB Gateway Main Menu,” expand “Account and Company Management” link. Click “Manage Groups.”

<p>MSRB Gateway Main Menu</p> <p>Welcome to MSRB Gateway! Your User Account has the following Access Rights:</p> <p>(Click on a section to expand)</p> <p>[–] Account and Organization Management Manage profile information for your User Account or for your organization.</p> <ul style="list-style-type: none"> > Manage User Accounts Add, edit, and disable individual User Accounts for your organization. > View Organization Profile View name, address and phone information for your organization. > Manage Groups (Note: this feature is recommended only for large organizations.) Use Groups to help organize your organization's User Accounts. > Manage Agents Designate Agents to submit certain information to MSRB systems on your behalf. > Manage Continuing Disclosure Requests Process confirmation requests and invite agents for CD submissions. > Manage Principals Accept and decline invitations from companies that have designated your organization as Agent to submit certain information to MSRB systems on their behalf. > View Account Administrators View your organization's Account Administrators. <p>[–] Registrant Information Forms Submit forms that provide information about your organization.</p> <ul style="list-style-type: none"> > Form RTRS > Form G-40 - Electronic Mail Contacts 	<div style="border: 1px solid #ccc; padding: 5px;"> <p>My Profile Edit</p> <p>User ID: MTESTER3 Role: Master Account Administrator User Name: MASTER TESTER Organization Name: MSRB4 MSRB ID: MSRB4 Email Address: chamilton@msrb.org</p> <p style="text-align: right;">Change Password</p> </div>
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Step 2. A list of Groups within the organization will be displayed. Click “Add New Group.”

Groups | Users by Group

You can use Groups to organize your company's User Accounts. For example, if your organization has three different offices, you can create a Group for each and categorize existing or new User Accounts within the appropriate Group. After creating a Group, move User Accounts to a specific Group by accessing each User Account, clicking on the "Edit User Account" button and selecting the appropriate Group. You can also add or remove User Accounts from Groups by clicking on the "Users by Group" link above. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Showing (1 - 3) of 3

<< < > >>

Group Name	Action			Admin
Test Group AAA	Edit	Delete	View User Accounts	TTESTING1
Test Group BBB	Edit	Delete	View User Accounts	MMOUSE
Test Group CCC	Edit	Delete	View User Accounts	TTESTING1

<< < > >>

Add New Group User Account List

Return to Account Management

Step 3.

1. Enter the Group Name.
2. Select a Group Account Administrator from the drop down menu option which provides a list of all Account Administrators within the organization (*optional: a Group Account Administrator can be added at a later point if an Administrator has not been appointed yet, or if the desired Administrator is not an option in the drop down menu*).
3. Enter a brief description of the Group (*optional*).
4. Click “Save” to create the Group.

Groups

Complete the required information below to create a new Group. You can appoint a Group Account Administrator at this time or later by editing this Group or the Account Administrator's Account.

Group Name:*

Group Administrator (optional): [?]

Group Description (optional):

Save

Return to Groups Return to Account Management

Step 4. You will get a Groups confirmation screen, which confirms the addition of a new Group.

After a Group is created and saved, you will see the Group confirmation screen. You may click on the “Accounts List” button to get a listing of all users in the organization.

Groups - Confirmation

You have added Group "Test Group DDD". To add User Accounts or Appoint Account Administrators for this Group, select Accounts List.

Accounts List

Return to Groups Return to Account Management

9.3 Add User to a Group

This function can only be performed by an Account Administrator.

Step 1. Navigate to MSRB Gateway Main Menu and expand the “Account and Organization Management Link”

Click on “Manage User Accounts” to get a listing of all users in the organization

- On the “User Accounts” page, select the user you would like to add to a Group and update their account.
- If the user is not listed on the “User Accounts” page, add the new user by clicking on “Add New Account” and create an account for the user (see section 16 to create a new account).

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

By first name:

By last name:

By email:

By Right:

By Group: Manage Groups

Show disabled User Accounts:

Search Reset

Add New Account

Showing (1 - 10) of 10

User Name	Last Updated By	Last Updated On
<input checked="" type="checkbox"/> AGENT TESTER	MTESTER3	6/16/2010 2:41:09 PM
<input checked="" type="checkbox"/> CONNIE TESTER	DDUCK1	6/15/2010 4:25:18 PM
<input checked="" type="checkbox"/> DONALD DUCK	MTESTER3	6/15/2010 2:27:02 PM
<input checked="" type="checkbox"/> MASTER TESTER	MTESTER3	6/15/2010 2:26:49 PM
<input checked="" type="checkbox"/> MINNIE MOUSE	DDUCK1	6/16/2010 10:20:26 AM
<input checked="" type="checkbox"/> MOLLY TESTER	MTESTER3	6/16/2010 2:29:10 PM
<input checked="" type="checkbox"/> POLLY TESTER	DDUCK1	6/15/2010 4:27:28 PM
<input checked="" type="checkbox"/> ROLLY TESTER	DDUCK1	6/16/2010 10:29:48 AM
<input checked="" type="checkbox"/> TALLY TESTING	DDUCK1	6/16/2010 11:50:02 AM
<input checked="" type="checkbox"/> UP DOWN	TTESTING1	6/16/2010 10:43:32 AM

Step 2. Add the user to a Group by clicking on the Group. A user can be placed in several Groups by holding down the control key while selecting the Groups.

Click “Continue” to continue with the

Edit User Account

Account Details

User ID: ATESTER1

MSRB ID: MSRB4

Group(s): Test Group AAA (Admin: TTESTING1) [?]
Test Group BBB (Admin: MMOUSE)
Test Group CCC (Admin: TTESTING1)
Test Group DDD

First Name:* AGENT

Middle Name:

Last Name:* TESTER

Email Address:*

Confirm Email:*

Title:

Department:

Phone Number:* - - Ext.

Fax Number: - -

Address1:*

Address2:

City:*

State:*

Account Access Rights

Select the Access Rights to assign to this User Account.

This user will have the following Access Rights in MSRB Gateway:

Account Administrator [?]

SHORT System [?]

EMMA Primary Market Submissions [?]

Agent Designation [?]

EMMA Secondary Market Submissions [?]

Rule G-40 Account [?]

Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role.

Electronic G-37 [?]

Force password change on next login.

Disable the user account.

updates.

Step 3. The confirmation screen notes updates to the user’s account. The user will receive an email detailing the changes to their account. Click “Confirm User Account” to confirm the update.

Confirm User Account

<p>Account Details</p> <p>User ID: ATESTER1 User Name: AGENT TESTER MSRB ID: MSRB4 Group(s): Test Group DDD Email Address: ohamilton@msrb.org Title: Department: Address: 123 OAK BLVD STE 2 BASILLUS, WA 54123</p> <p>Phone Number: 123-123-1234 Fax Number: 123-123-1234</p>	<p>Account Access Rights:</p> <p>This user will be a Group Administrator for the following Group(s): Test Group DDD, and will be unable to administer User Accounts outside of this Group(s). If you wish for this user to administer all of your company’s User Accounts, click on “Edit User Account”, deselect the Group(s) and click on “Continue” at the bottom of the page.</p> <p>Click on “Confirm User Account” to complete the process.</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input checked="" type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] Electronic G-37 <input checked="" type="checkbox"/> [?]</p>
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9.4 Delete User from a Group

Use the following steps to delete a user from a group.

Step 1. Navigate to the users *Account Details* page and click “Edit User Account.”

Step 2. On the user’s account detail screen the group(s) that the user belongs to will be highlighted. To remove the user from a group click on the highlighted group to deselect the group. **Note: if the user has “Account Administrator” account access rights, and is removed from all groups the user will become a Global Account**

Edit User Account

<p>Account Details</p> <p>User ID: ATESTER1 MSRB ID: MSRB4</p> <p>Group(s): <div style="border: 1px solid gray; padding: 2px; margin-top: 5px;"> Test Group AAA (Admin: TTESTING1) [?] Test Group BBB (Admin: MMOUSE) Test Group CCC (Admin: TTESTING1) Test Group DDD </div> <p style="font-size: small; margin-top: 5px;">For single selection, click once. For single de-selection, ctrl key + “click”. For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</p> <p>First Name:* AGENT Middle Name: Last Name:* TESTER Email Address:* <input type="text" value="ohamilton@msrb.org"/> Confirm Email:* <input type="text" value="ohamilton@msrb.org"/> Title: <input type="text"/> Department: <input type="text"/> Phone Number:* <input type="text" value="123"/> - <input type="text" value="123"/> - <input type="text" value="1234"/> Ext. <input type="text"/> Fax Number: <input type="text" value="123"/> - <input type="text" value="123"/> - <input type="text" value="1234"/> Address1:* <input type="text" value="123 OAK BLVD"/> Address2: <input type="text" value="STE 2"/> City:* <input type="text" value="BASILLUS"/> State:* <input type="text" value="WA"/></p> </p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account.</p> <p>This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input checked="" type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role. Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input type="checkbox"/> Disable the user account.</p>
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Administrator.

9.5 Create Global Account Administrator

Only the **Master Account Administrator** can create a **Global Account Administrator**. The **Master Account Administrator** must grant “Account Administrator” rights to an existing user or create a new user and grant them this right. The **Global Account Administrator** will not be assigned to any Group. Use the following steps to create a Global Account Administrator.

Step 1. Grant the user “Account Administrator” rights. Click “Continue.”

Edit User Account

<p>Account Details</p> <p>User ID: MMOUSE</p> <p>MSRB ID: MSRB4</p> <p>Group(s): <div style="border: 1px solid gray; padding: 2px; margin: 2px;"> Test Group AAA (Admin: TTESTING1) [?] Test Group BBB (Admin: MMOUSE) Test Group CCC (Admin: TTESTING1) Test Group DDD </div> <small>For single selection, click once. For single de-selection, ctrl key + "click". For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</small> </p> <p>First Name:* MINNIE</p> <p>Middle Name:</p> <p>Last Name:* MOUSE</p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Title: <input type="text"/></p> <p>Department: <input type="text"/></p> <p>Phone Number:* <input type="text" value="333"/> - <input type="text" value="333"/> - <input type="text" value="3333"/> Ext. <input type="text" value="4444"/></p> <p>Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/></p> <p>Address1:* <input type="text" value="1900 DUKE ST."/></p> <p>Address2: <input type="text"/></p> <p>City:* <input type="text" value="ALEXANDRIA"/></p> <p>State:* <input type="text" value="VA"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account.</p> <p>This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?]</p> <p>SHORT System <input checked="" type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input checked="" type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Rule G-40 Account <input type="checkbox"/> [?]</p> <p><small>Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role.</small></p> <p>Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login.</p> <p><input type="checkbox"/> Disable the user account.</p>
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Step 2. The Confirm User Account screen will reflect that that the user is an account administrator and is not assigned to any Group. This user can perform most account administrative functions to any user in any Group. Click “Confirm User

Confirm User Account

<p>Account Details</p> <p>User ID: MMOUSE</p> <p>User Name: MINNIE MOUSE</p> <p>MSRB ID: MSRB4</p> <p>Group(s):</p> <p>Email Address: ohamilton@msrb.org</p> <p>Title:</p> <p>Department:</p> <p>Address: 1900 DUKE ST. ALEXANDRIA, VA 22314</p> <p>Phone Number: 333-333-3333 Ext. 4444</p> <p>Fax Number:</p>	<p>Account Access Rights:</p> <p>This User Account will be an Account Administrator and will be able to administer any other non Master User Account. If you wish for this User Account to be restricted to administering only User Accounts in specific Groups, add it to one or more Groups after clicking on “Edit User Account”.</p> <p>You have removed this User Account from the following Group(s): Test Group BBB. Click on “Confirm User Account” to complete the process.</p> <p>Account Administrator <input checked="" type="checkbox"/> [?]</p> <p>SHORT System <input checked="" type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input checked="" type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Rule G-40 Account <input type="checkbox"/> [?]</p> <p>Electronic G-37 <input checked="" type="checkbox"/> [?]</p>
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Account.”

9.6 Remove Global Account Administrator

Only the **Master Account Administrator** can remove the **Global Account Administrator** role from a user. Once this role is removed, the individual is a **User** in Gateway who is not assigned to any Group. It is important that the user is granted at least one account access right, otherwise the account will be disabled. Follow the steps below to remove the **Global Account Administrator** role from a user.

Step 1. The **Master Account Administrator** must edit the **Global Account Administrator's** user profile and remove the "Account Administrator" account access right by deselecting this right. Click "Continue."

Please ensure that the user is granted at least one account access right, otherwise the account will be disabled!

Edit User Account	
<p>Account Details</p> <p>User ID: MMOUSE</p> <p>MSRB ID: MSRB4</p> <p>Group(s): <ul style="list-style-type: none"> Test Group AAA (Admin: TTESTING1) [?] Test Group BBB (Admin: MMOUSE) Test Group CCC (Admin: TTESTING1) Test Group DDD <small>For single selection, click once. For single de-selection, ctrl key + "click". For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</small> </p> <p>First Name:* MINNIE</p> <p>Middle Name:</p> <p>Last Name:* MOUSE</p> <p>Email Address:* ohamilton@msrb.org</p> <p>Confirm Email:* ohamilton@msrb.org</p> <p>Title:</p> <p>Department:</p> <p>Phone Number:* 333 - 333 - 3333 Ext. 4444</p> <p>Fax Number:</p> <p>Address1:* 1900 DUKE ST.</p> <p>Address2:</p> <p>City:* ALEXANDRIA</p> <p>State:* VA</p>	
<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account. This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input type="checkbox"/> [?]</p> <p>SHORT System <input type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Rule G-40 Account <input type="checkbox"/> [?]</p> <p><small>Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role.</small></p> <p>Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login.</p> <p><input type="checkbox"/> Disable the user account.</p>	

Step 2. A confirmation screen will appear. Click "Confirm User Account" to save changes. The individual is now a **User** associated with no Group.

9.7 Create Group Account Administrator

To create a **Group Account Administrator** the **Master Account Administrator** must grant "Account Administrator" account access rights to a new or existing user and assign the user to a Group(s).

A Group Account Administrator can be created by:

- Adding a Global Account Administrator to a Group,
- Creating a new user with "Account Administrator" access rights and adding the user to a Group, or
- Granting an existing user "Account Administrator" access rights and adding the user to a "Group."

If transferring this right to a new or existing **User**, "Account Administrator" access rights must be granted to the user.

The **Master Account Administrator** can appoint a **Group Account Administrator** from the **User Accounts** screen or use the Manage Groups function. Steps for both methods are described below.

User Accounts Screen

Step 1. Select an existing user with “Account Administrator” access rights and edit the user’s account.

User Account Profile and Access Rights	
<p>Account Details</p> <p>User ID: DDUCK1 User Name: DONALD DUCK MSRB ID: MSRB4 Email Address: ohamilton@msrb.org Email User ID Title: Department: Address: 1900 DUKE ST. ALEXANDRIA, VA 22314 Phone Number: 333-333-3333 Fax Number: Last Updated by: MTESTER3 On: 6/15/2010 2:27:02 PM</p>	<p>Account Access Rights</p> <p>This user has the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p>
<p>View Profile History View User Access Rights History Edit User Account</p>	

Step 2. Under Account Details, a listing of all available Groups will be displayed. Select the Group(s) you wish to assign to the new **Group Account Administrator** by clicking on the Group(s). To select multiple Groups, hold down the control and select the Groups. (If the Group you select has an existing **Group Account Administrator**, the new **Group Account Administrator** will replace the existing **Group Account Administrator**). Click “Continue.”

Edit User Account	
<p>Account Details</p> <p>User ID: DDUCK1 MSRB ID: MSRB4 Group(s): Test Group AAA (Admin: TTESTING1) [?] Test Group BBB (Admin: MMOUSE) Test Group CCC (Admin: TTESTING1) Test Group DDD <small>For single selection, click once. For single de-selection, ctrl key + "click". For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</small> First Name:* DONALD Middle Name: Last Name:* DUCK Email Address:* ohamilton@msrb.org Confirm Email:* ohamilton@msrb.org Title: Department: Phone Number:* 333 - 333 - 3333 Ext. <input type="text"/> Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/> Address1:* 1900 DUKE ST. Address2: City:* ALEXANDRIA State:* VA</p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account.</p> <p>This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input type="checkbox"/> Disable the user account.</p>

Step 3. After selecting a Group(s), a message will be displayed confirming that the user will be a

Group Account Administrator for the selected Group(s).

If the user is replacing an existing **Group Account Administrator**, a message will be displayed noting this change. Click “Confirm User Account.”

Confirm User Account	
<p>Account Details</p> <p>User ID: DDUCK1 User Name: DONALD DUCK MSRB ID: MSRB4 Group(s): Test Group AAA Test Group BBB Email Address: ohamilton@msrb.org Title: Department: Address: 1900 DUKE ST. ALEXANDRIA, VA 22314 Phone Number: 333-333-3333 Fax Number:</p>	<p>Account Access Rights:</p> <p>This user will be a Group Administrator for the following Group(s): Test Group AAA, Test Group BBB, and will be unable to administer User Accounts outside of this Group(s). If you wish for this user to administer all of your company's User Accounts, click on "Edit User Account", deselect the Group(s) and click on "Continue" at the bottom of the page.</p> <p>This User Account will replace existing Group Administrators.</p> <p>Click on "Confirm User Account" to complete the process.</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] Electronic G-37 <input type="checkbox"/> [?]</p>
<p>Confirm User Account Edit User Account</p>	

Step 4. A confirmation screen will appear.

User Account Update Results
<p>The following User Account was successfully updated. An email confirmation was sent to the user.</p>
<p>User ID: DDUCK1 MSRB ID: MSRB4 Name: DONALD DUCK Email Address: ohamilton@msrb.org</p>
<p>Return to Accounts Return to Account Management</p>

Step 5. The user will receive a confirmation email informing him/her that he/she is now a **Group Account Administrator** for the selected Group(s).

If the new **Group Account Administrator** replaces an existing **Group Account Administrator**, the **Group Account Administrator** being replaced will receive a similar email stating that they are no longer the administrator for the Group(s).

<p>Please keep this information confidential to prevent unauthorized use of this account.</p> <p>The MSRB account registered for this email address: DDUCK1 has been updated by MASTER TESTER (MTESTER3)</p> <p>You are now appointed as Account Administrator of the following Group(s): Test Group AAA, Test Group BBB</p> <p>You may login and check your account details and update history by going to: http://web-4.msrb.org/msrb1/control/default.asp</p> <p>This is a system-generated e-mail PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance with your account please contact an account manager at your organization. or You may also obtain more information about MSRB Gateway at: https://web-4.msrb.org/msrb1/control/default.asp.</p>

9.8 Remove Group Account Administrator from a Group

Only the **Master Account Administrator** can remove the **Group Account Administrator** from a group. Once this role is removed, the individual is a Gateway **User** who is not assigned to any Group. It is important that the user is granted at least one account access right, otherwise the account will be disabled.

- If the **Group Account Administrator** is removed from all Groups, but still has “Account Administrator” rights, he/she will become a **Global Account Administrator**.
- If the **Group Account Administrator** is removed from all Groups, and “Account Administrator” rights are removed, the individual will become a Gateway User who does not belong to any Group.
- It is important that the user is granted at least one account access right, otherwise the user’s account will be disabled.

Step 1. To remove the user’s **Group Account Administrator** role, navigate to the **User Account** screen and update the desired user’s account. The Group(s) managed by the user will be highlighted in blue.

Edit User Account

<p>Account Details</p> <p>User ID: MMOUSE</p> <p>MSRB ID: MSRB4</p> <p>Group(s): <div style="border: 1px solid blue; padding: 2px; margin: 5px 0;"> Test Group AAA (Admin: MMOUSE) [?] </div> <div style="border: 1px solid blue; padding: 2px; margin: 2px 0;"> Test Group BBB (Admin: MMOUSE) </div> <div style="border: 1px solid blue; padding: 2px; margin: 2px 0;"> Test Group CCC (Admin: TTESTING1) </div> <div style="border: 1px solid blue; padding: 2px; margin: 2px 0;"> Test Group DDD </div> <p><small>For single selection, click once. For single de-selection, ctrl key + "click". For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</small></p> <p>First Name:* MINNIE</p> <p>Middle Name:</p> <p>Last Name:* MOUSE</p> <p>Email Address:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Confirm Email:* <input type="text" value="ohamilton@msrb.org"/></p> <p>Title: <input type="text"/></p> <p>Department: <input type="text"/></p> <p>Phone Number:* <input type="text" value="333"/> - <input type="text" value="333"/> - <input type="text" value="3333"/> Ext. <input type="text" value="4444"/></p> <p>Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/></p> </p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account.</p> <p>This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?]</p> <p>SHORT System <input checked="" type="checkbox"/> [?]</p> <p>EMMA Primary Market Submissions <input type="checkbox"/> [?]</p> <p>Agent Designation <input checked="" type="checkbox"/> [?]</p> <p>EMMA Secondary Market Submissions <input type="checkbox"/> [?]</p> <p>Rule G-40 Account <input type="checkbox"/> [?]</p> <p><small>Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role.</small></p> <p>Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login.</p> <p><input type="checkbox"/> Disable the user account.</p>
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Step 2. To deselect a Group, click on that Group. To deselect several groups, hold down the control key and click on the Groups you would like to deselect. Click “Continue.”

Edit User Account

<p>Account Details</p> <p>User ID: MMOUSE MSRB ID: MSRB4</p> <p>Group(s): <input type="checkbox"/> Test Group AAA (Admin: MMOUSE) [?] <input type="checkbox"/> Test Group BBB (Admin: MMOUSE) <input type="checkbox"/> Test Group CCC (Admin: TTESTING1) <input type="checkbox"/> Test Group DDD</p> <p><small>For single selection, click once. For single de-selection, ctrl key + "click". For multiple selection/de-selection, hold down ctrl key & make selections. Groups that this User belongs to are highlighted in blue.</small></p> <p>First Name:* MINNIE Middle Name: Last Name:* MOUSE Email Address:* <input type="text" value="ohamilton@msrb.org"/> Confirm Email:* <input type="text" value="ohamilton@msrb.org"/> Title: <input type="text"/> Department: <input type="text"/> Phone Number:* <input type="text" value="333"/> - <input type="text" value="333"/> - <input type="text" value="3333"/> Ext. <input type="text" value="4444"/> Fax Number: <input type="text"/> - <input type="text"/> - <input type="text"/></p>	<p>Account Access Rights</p> <p>Select the Access Rights to assign to this User Account. This user will have the following Access Rights in MSRB Gateway:</p> <p>Account Administrator <input checked="" type="checkbox"/> [?] SHORT System <input checked="" type="checkbox"/> [?] EMMA Primary Market Submissions <input type="checkbox"/> [?] Agent Designation <input checked="" type="checkbox"/> [?] EMMA Secondary Market Submissions <input type="checkbox"/> [?] Rule G-40 Account <input type="checkbox"/> [?] <small>Transfer to this user your G-40 role or create/transfer Optional Electronic Mail Contact role.</small> Electronic G-37 <input checked="" type="checkbox"/> [?]</p> <p><input type="checkbox"/> Force password change on next login. <input type="checkbox"/> Disable the user account.</p>
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Step 3. A confirmation screen will confirm

User Account Update Results

The following User Account was successfully updated. An email confirmation was sent to the user.

User ID: MMOUSE
MSRB ID: MSRB4
Name: MINNIE MOUSE
Email Address: ohamilton@msrb.org

updates.

9.9 Delete a Group

Only the **Master Account Administrator** can delete a Group(s). When the **Master Account Administrator** deletes a Group(s), the user accounts are not deleted, but instead are disassociated from that Group(s). Follow steps below to delete a Group.

Step 1. From “Account and Company Management” on the *MSRB Gateway Main Menu*, select “Manage Groups.” Locate the Group(s) you would like to delete and click “Delete” next to the Group name.

Groups | Users by Group

You can use Groups to organize your company's User Accounts. For example, if your organization has three different offices, you can create a Group for each and categorize existing or new User Accounts within the appropriate Group. After creating a Group, move User Accounts to a specific Group by accessing each User Account, clicking on the "Edit User Account" button and selecting the appropriate Group. You can also add or remove User Accounts from Groups by clicking on the "Users by Group" link above. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Showing (1 - 4) of 4

<input type="button" value="<<"/> <input type="button" value="<"/> <input type="button" value=">"/> <input type="button" value=">>"/>	Action	
Group Name	Edit Delete View User Accounts	Admin:
Test Group AAA	<input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="View User Accounts"/>	Admin: DDUCK1
Test Group BBB	<input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="View User Accounts"/>	Admin:
Test Group CCC	<input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="View User Accounts"/>	Admin: TTESTING1
Test Group DDD	<input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="View User Accounts"/>	Admin:
<input type="button" value="<<"/> <input type="button" value="<"/> <input type="button" value=">"/> <input type="button" value=">>"/>		
<input type="button" value="Add New Group"/> <input type="button" value="User Account List"/>		

Step 2. A dialogue box will appear stating that the Group cannot be reinstated once it has been deleted and that users belonging to that Group will be disassociated. After reviewing the message, click on “OK” to confirm the deletion.

The screenshot shows a web application interface with a modal dialog box. The dialog box has a blue header with a question mark icon and the text: "Delete the Test Group DDD group? You will not be able to reinstate this Group. User Account(s) that belong to this Group will be disassociated." Below the text are two buttons: "OK" and "Cancel".

The background interface is titled "Groups | Users by Group" and contains a table of groups. The table has columns for "Group Name", "Action", and "Admin".

Group Name	Action			Admin
Test Group AAA	Edit	Delete	View User Accounts	Admin: DDUCK1
Test Group BBB	Edit	Delete	View User Accounts	Admin:
Test Group CCC	Edit	Delete	View User Accounts	Admin: TTESTING1
Test Group DDD	Edit	Delete	View User Accounts	Admin:

Step 3. A confirmation page will appear.

The screenshot shows a confirmation page titled "Groups - Confirmation". The main text reads: "You have deleted the Group 'Test Group DDD'. This Group cannot be reinstated. User Accounts that belonged to this Group have been disassociated." At the bottom of the page, there are two buttons: "Return to Groups" and "Return to Account Management".