



# Preparing to Submit MSRB Form A-12

The Municipal Securities Rulemaking Board (MSRB) offers a single, consolidated form for registrants to provide the MSRB with registration information required under MSRB Rule A-12. Form A-12 is used to:

- Initiate registration as a dealer prior to engaging in municipal securities activities
- Initiate registration as a municipal advisor prior to engaging in municipal advisory activities
- Update registration information within 30 days of changes in relevant information
- Affirm registration information during the Annual Affirmation Period
- Notify the MSRB of a withdrawal of registration

This checklist is a tool to assist individuals who are preparing to submit Form A-12, whether for the first time or as an update to their existing registration information. Review the checklist prior to accessing the form to ensure that all the required information is available for input. [Learn more in the MSRB Registration Manual.](#)

New registrants initiate registration by clicking the “Register” link on the MSRB homepage at msrb.org. Current registrants may access a pre-populated Form A-12 through MSRB Gateway by clicking on the “Form A-12” link under the category “Registrant Information Forms.” Prior to entering the form, users have the ability to view and print a copy of the form containing their current registration information.

## MSRB Registration Checklist for Form A-12

General Firm Information – Submit required information, as applicable		
Field	Notes	
<input type="checkbox"/>	Firm Name	Same name filed with Securities and Exchange Commission (SEC)
<input type="checkbox"/>	Dealer SEC ID	Number assigned by SEC
<input type="checkbox"/>	Municipal Advisor SEC ID	Number assigned by SEC
<input type="checkbox"/>	Central Registration Repository (CRD) Number	Number assigned by FINRA to the organization, not the CRD number assigned to any registered individual
<input type="checkbox"/>	Legal Entity Identifier	20-digit, alpha-numeric code assigned by a Local Operating Unit (LOU), or pre-LOU, of the Global Legal Identifier System
<input type="checkbox"/>	Written Notice to Securities Association or Regulatory Agency	Attachment must be a PDF document. Only required when adding a new registration category or renewing a lapsed or withdrawn registration category.
<input type="checkbox"/>	Firm Address	Same address filed with SEC
<input type="checkbox"/>	Firm Website	URL, if applicable
<input type="checkbox"/>	Organization Type	Such as corporation, sole proprietorship, partnership, etc.
<input type="checkbox"/>	City and State	Where the organization is organized, incorporated or established

<b>Business Activities – Check all that apply</b>		
	<b>Field</b>	<b>Notes</b>
<input type="checkbox"/>	Broker/Dealer – Municipal Fund Securities (MFS) activities	Includes 529 Plan Underwriting, 529 Plan Sales, Local Government Investment Pool Distributor/Sales or other, which the registrant must specify
<input type="checkbox"/>	Broker/Dealer – Sales/Trading Activities	Includes Retail Sales, Institutional Sales, Proprietary Trading, Inter-Dealer Trading, Broker’s Broker Activities and Online Brokerage
<input type="checkbox"/>	Broker/Dealer – Other Activities	Includes Underwriting, Clear and settle transactions as National Securities Clearing Corporation (NSCC) participant, Alternative Trading System, Remarket Variable Rate Demand Obligations (VRDOs), Auction Rate Securities (ARS) Program Dealer, Research, or other activities that require registration, which the registrant must specify
<input type="checkbox"/>	Municipal Advisor Activities	Includes Issuance Advice, Investment Advice – Proceeds of Municipal Securities, Investment Advice – Funds of Municipal Entity, Municipal Escrow Investment Advice, Municipal Escrow Investment Brokerage, Guaranteed Investment Contracts Advice, Municipal Derivatives advice, Solicitation of Investment Advisory business, Solicitation of Business other than Investment Advisory, Municipal advisor/Underwriter Selection Advice, or other activities, which the registrant must specify

<b>Contact Information – Provide name, address, email and phone</b>		
	<b>Field</b>	<b>Notes</b>
<input type="checkbox"/>	Master Account Administrator	Required
<input type="checkbox"/>	Primary Regulatory Contact	Required
<input type="checkbox"/>	Billing Contact	Required
<input type="checkbox"/>	Compliance Contact	Required
<input type="checkbox"/>	Primary Data Quality Contact	Required
<input type="checkbox"/>	Optional Regulatory Contact	Optional
<input type="checkbox"/>	Optional Data Quality Contact	Optional
<input type="checkbox"/>	Optional Technical Contact	Optional

<b>Trade Reporting – Provide requested information (Dealers only)</b>		
	<b>Field</b>	<b>Notes</b>
<input type="checkbox"/>	Exempt from reporting trades under Rule G-14(b)	Select if exempt from reporting trades under MSRB Rule G-14(b)(vi). If selected, no other data is required in the trade reporting section.
<input type="checkbox"/>	Executing Broker Symbol (EBS)	Also known as a Market Participant ID (MPID)
<input type="checkbox"/>	Participant ID assigned to your company by NSCC	Only provided by NSCC participants. If the firm uses a clearing broker, leave this field blank and identify the clearing dealer below in the Submission Method field.
<input type="checkbox"/>	Method of Reporting Transactions (select all that applies)	Choices include self-reporting of message-based trade input, trades reported by another dealer acting as an agent or RTRS Web only.
<input type="checkbox"/>	Method of receiving Error Feedback (choose all that apply)	Choices include email, messaging (for DTCC participants only) or RTRS Web.
<input type="checkbox"/>	Email addresses to be used for error feedback emails	If applicable
<input type="checkbox"/>	Identity of any executing broker symbol used to report transactions effected when acting as a broker's broker.	If applicable

For assistance, contact MSRB Support at 202-838-1330 or [MSRBsupport@msrb.org](mailto:MSRBsupport@msrb.org).

Live Support: 7:30 a.m. - 6:30 p.m. ET

Email Support: 7:00 a.m. – 7:00 p.m. ET