

# Board of Directors Application Form

## [Contact Information]

### Resume

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

### Letter of Recommendation

Provide at least one letter of recommendation, but no more than two. Include the letter(s) of recommendation by attaching the document(s) to the field below.

### Background Information

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

Please respond to one of the following by providing the information requested below to assist in identifying your relevant experience and eligibility based on your selected Board membership category (items a-f). Please focus your response on activities within the most recent three years. If you are currently employed and your employer's activities are not representative of the category for which you are applying, also describe your employer's primary business activities (you may respond to more than one item below).

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

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

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

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

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

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

Describe any experience you have with serving on a board of directors of either a for-profit or non-profit organization or any other experience in a leadership capacity. Please discuss any experience with service on a committee of a board of directors (read about the MSRB's committees here).

## **Education and Training**

## **Professional Honors/Associations**

## **Other Information**

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

How effective has the MSRB been in protecting investors, issuers and the public interest and as a Board Member what expertise or suggestions would you offer to continue or improve the effectiveness of the MSRB.

Based on your knowledge and experience, discuss any current or emerging risks or regulatory challenges for the municipal market overall or for specific market participants and other stakeholders.

Please describe any market developments and practices, technology advancements or new products the MSRB should focus on to ensure that the municipal market operates in a fair and efficient manner. Please also discuss any other relevant topics that you believe are important for the MSRB to consider.

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

### **Board Applicant Consent:**

Please consent to the following statements in order for your application to be considered.

The Board convenes in person at least quarterly at the MSRB's offices and also schedules additional meetings (virtually) in between quarterly meetings. Attendance at these meetings is required. Each member of the Board also serves on one or more standing committees, with assignments determined each fiscal year, which convene virtually periodically and may conduct in-person meetings as necessary throughout the year. Attendance at these meetings is also required. Meeting materials are generally provided for all Board and committee meetings in advance and Board members are required to review the materials in preparation for the meetings.

I understand and agree that, by applying for a position on the Board of Directors, my name will be published on the MSRB's website upon announcement of new Board members for the fiscal year beginning on October 1, 2026 and that I must provide the necessary information as requested by MSRB staff to confirm my eligibility and category for my application to be considered.