

Section IV. A Import Instructions

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

- Column A - Complete Name of Municipal Entity (Required Field) *example: XYZ County*
- Column B - State (Required Field)
- Column C - City (Required if available. If not available, enter "NA") *example: City of XYZ*
- Column D - County (Required if available. If not available, enter "NA") *example: County of XYZ*
- Column E - Type of Municipal Securities Business (Required Field. Types of municipal securities business: Negotiated Underwriting, Private Placement, Financial Advisor or Remarketing Agent)
 - ▶ Negotiated underwriting: The purchase of a primary offering (as defined in Rule A-13(f)) of municipal securities from a municipal entity on other than a competitive bid basis.
 - ▶ Private placement: The offer or sale of a primary offering of municipal securities on behalf of any municipal entity.
 - ▶ Financial advisor: The provision of financial advisory or consultant services to or on behalf of a municipal entity with respect to a primary offering of municipal securities in which the dealer was chosen to provide such services on other than a competitive bid basis.
 - ▶ Remarketing agent: The provision of remarketing agent services to or on behalf of a municipal entity with respect to a primary offering of municipal securities in which the dealer was chosen to provide such services on other than a competitive bid basis.

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