Member Information for Proposed Business Expansion

### MUNICIPALS

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| --- |
| Member Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Contact Person: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name of Person  Completing This Form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. In what capacity will the firm act with respect to transactions in municipal securities (check all that apply):

Agent

Underwriter

If firm will act as Underwriter, indicate firm capacity:

Syndicate Manager

Sole Underwriter

Co-Manager

Syndicate Participant

1. Will the firm act as a:

Municipal Securities Broker/Dealer

Municipal Securities Broker’s Broker

1. Does the firm intend to advertise? Yes: No:

If yes, which of the following media will the firm utilize:

Print

Radio

Television

Other (Attach description)

1. Will the firm engage in cold calling/telemarketing? Yes: No:
2. The firm’s intended customer base for municipal securities will be:

Retail

Institutional

Broker/Dealer

Other (Attach description)

**Information and Documentation to be Submitted**

1. Provide evidence of the firm’s payment of initial fees to the Municipal Securities Rulemaking Board (MSRB).
2. Provide evidence that the firm employs an individual who has taken and passed the Series 53 examination. Provide name and CRD number of person.
3. Has the firm obtained an executing broker symbol to identify its reported municipal securities transactions? Provide symbol.
4. Has the firm provided the MSRB with the name and telephone number of the person responsible for testing the firm’s capabilities to report customer transaction information? Identify person and provide telephone number.
5. Provide sample copies of books and records required to be maintained under MSRB rules.
6. *NOTE: Written Supervisory Procedures for the proposed municipal activity should address compliance with applicable MSRB rules such as Rules G-8, G-14, G-36 through G-38 and SEC Rule 15c2-12 concerning recommendations of municipal securities. (See Section 12 in the Written Supervisory Procedures Checklist.)*