

# Storyboard

## Form A-12

### 1. Firm/ Sole Proprietorship Identifiers

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**FIRM/SOLE PROPRIETORSHIP IDENTIFIERS**

Firm's Legal Name:\*

Are you a successor firm? If so, please provide prior SEC and MSRB identification number, as applicable.\*  Yes  No

SEC ID:\*  -  -  MSRB ID:

Are you a successor firm? If so, please provide prior SEC and MSRB identification number, as applicable.\*  Yes  No

SEC ID:\*  -  -  MSRB ID:   
  
8  
86  
866  
867


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The proposed Form A-12 changes in Exhibit 3 represent a pre-production depiction of only the changes to the electronic form and do not represent the final appearance of the complete form, which may vary in non-substantive respects.

## 2. Dealer Designated Examining Authority

### A) Dropdown options for Broker Dealer


#### DEALER DESIGNATED EXAMINING AUTHORITY

Dealer Designated Examining Authority:\*  

- Select One
- FINRA
- Exempt from FINRA Registration

### B) Dropdown options for Municipal Securities Dealer (Bank Dealer)


#### DEALER DESIGNATED EXAMINING AUTHORITY

Dealer Designated Examining Authority:\*  


- Select One
- OCC
- FDIC
- FRB


### C) Dealer Designated Examining Authority will not appear for Municipal Advisors

## 3. Written Notice to FINRA or Bank Regulator (FRB, OCC, or FDIC) as applicable

**WRITTEN NOTICE TO FINRA OR BANK REGULATOR (FRB, OCC OR FDIC) AS APPLICABLE** 


Pursuant to Rule A-12, a dealer must notify its designated examining authority of its intent to engage in municipal securities and/or municipal advisory activities.

Name of point of contact who was notified at the firm's designated examining authority? 

First Name of Recipient of Notice:\* 

Last Name of Recipient of Notice:\*

Email Address of Recipient of Notice:

When was such notification provided?:\*  Intended Effective Date:\* 

### A) Written Notice Section will not appear for Municipal Advisors

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#### 4. Broker/Dealer – Business Activities

- ABL Program Underwriting ?
- ABL Program Sales ?
  
- Alternate Trading System ?
- SEC Form ATS has been filed ?

#### 5. Type of Form Filing

**MSRB Registration - Form A-12: Preview**

This is a preview of your Form A-12. Please identify a Type of Form Filing at the top of the page. Please scroll to the end of the page to acknowledge the submission and click submit.

**TYPE OF FORM FILING**

Form A-12 Annual Affirmation     Other Form A-12 Updates

**Form A-12 Sections**

- ✓ [General Information](#)
- ✓ [Business Activities](#)
- ✓ [Contact Information](#)
- ✓ [Trade Reporting](#)
- [Preview & Submit](#)

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