

MUNICIPAL SECURITIES RULEMAKING BOARD

Instructions for Interim Municipal Advisor Assessment and Form A-11-Interim

Deadline for Submission of Form A-11-Interim and Payment of Municipal Advisor Interim Assessment – Form A-11-Interim must be completed and returned to the MSRB, and the Municipal Advisor Interim Assessment must be paid to the MSRB, by **no later than November 30, 2011**.

Manner of Submission of Form A-11-Interim – Form A-11-Interim may be completed and submitted in paper or electronic format. Form A-11-Interim should be downloaded to your computer from the MSRB's website.

- If submitted by paper, the completed form must be sent **for receipt by the MSRB** on or prior to November 30, 2011. If sent by US Mail, submissions postmarked at least three business days prior to November 30, 2011 will be presumed to be submitted in a timely manner.
- If submitted electronically, the completed form must be sent to the MSRB by e-mail **for receipt by the MSRB** on or prior to November 30, 2011.

Item-By-Item Instructions for Completing Form A-11-Interim (see Form A-11-Interim for definitions of terms)

ITEM 1 -- MUNICIPAL ADVISOR FIRM

- **Item 1-a, Name of Firm** – Enter the full name of your firm as registered with the MSRB
- **Item 1-b, MSRB Registration Number of Firm** – Enter registration number assigned to your firm at the time your firm registered

ITEM 2 -- NUMBER OF ASSESSABLE PROFESSIONALS

- **Item 2-a, Principal/Supervisory Personnel** – Enter the number of individuals meeting the definition of “assessable professional” of the municipal advisor firm whose position, responsibilities or activities with respect to the municipal advisor firm at any time during the period from October 1, 2010 to September 30, 2011 are described in the definition of “principal/supervisory personnel.” Each individual qualifying as principal/supervisory personnel shall be counted as one (1) principal/supervisory personnel regardless of any other activities of such individual or the relative amount of activities undertaken by such individual as principal/supervisory personnel (*i.e.*, do not enter a total based on “full-time equivalents”).
- **Item 2-b, Other Advisory Personnel** – Enter the number of individuals meeting the definition of “assessable professional” of the municipal advisor firm who do not qualify as principal/supervisory personnel of the municipal advisor at any time during the period from October 1, 2010 to September 30, 2011.
- **Item 2-c, Total Number of Assessable Professionals** – Form A-11-Interim automatically calculates the sum of Items 2-a and 2-b.
- **Item 2-d, Total Number of Personnel Engaged Solely in Non-Municipal Advisory Activities** – Enter the number of individuals, if any, employed by the municipal advisor firm who are not assessable professionals.
- **Item 2-e, Total Staff** – Form A-11-Interim automatically calculates the sum of Items 2-c and 2-d.

ITEM 3 -- ASSESSMENT CALCULATION

- **Item 3-a, Total Number of Assessable Professionals** – Form A-11-Interim automatically enters the number of individuals calculated in Item 2-c – this is the number that will be used to calculate your Municipal Advisor Interim Assessment.
- **Item 3-b, Total Assessment** – Form A-11-Interim automatically calculates the product of \$300 per assessable professional and Item 3-a -- this product is your Municipal Advisor Interim Assessment.

ITEM 4 -- PAYMENT OF ASSESSMENT

- **Item 4-a, Payment By Check** – Check this box if payment is made by check – check must accompany completed Form A-11-Interim and must be received by the MSRB by no later than November 30, 2011.
- **Item 4-b, Payment by Credit Card** – Check this box if payment is made by credit card – payment must be made by no later than November 30, 2011 pursuant to *Instructions for Credit Card Payments to the MSRB* .
- **Item 4-c, Payment by ACH Electronic Funds Transfer** – Check this box if payment is made by ACH electronic funds transfer – fund transfer must be completed by no later than November 30, 2011 pursuant to *Instructions for Electronic Remittance of Payments to the MSRB* .

ITEM 5 -- SUBMITTER

- **Item 5-a, Name of Submitter** – Enter the name of the individual submitting this Form A-11-Interim, which individual must be an assessable professional of the firm identified in item 1-a unless your firm has no assessable professionals.
- **Item 5-b, Title of Submitter** – Enter title of individual identified in Item 5-a
- **Item 5-c, Phone Number of Submitter** – Enter the phone number of the individual identified in Item 5-a
- **Item 5-d, E-Mail of Submitter** – Enter the e-mail address of the individual identified in Item 5-a