



The Official Source for Municipal Disclosures and Market Data

EMMA Dataport Manual for Continuing Disclosure Submissions

Version 4.1, April 2022

Revision History

Version	Date	Description of Changes
1.0	June 2009	Initial version.
1.1	August 2009	Added new Dataport features in Section 4.1.2: Bulk Upload, CUSIP-6 Search, Associated Securities, and Non-CUSIP-9 Based; Updated screen shots for registration and confirmation process in Section 2.1; Added instructions for restarting the confirmation process in Section 2.3.
1.2	January 2010	Change effective January 18, 2010: Added free text field in Section 4.1.1 Selecting the Document Type Change effective January 1, 2010: Uploaded PDFs must be word-searchable.
1.3	February 2010	Added new Dataport features in Section 4.1.2A: I do know my CUSIP-9 and Section 4.1.2B: I do not know my CUSIP-9s Figure 5 XML Submission Validation Response Message for data tag Security changed from Error to Warning for Commercial Paper submissions.
1.4	May 2010	Changed Section 6: Automated Submission of Continuing Disclosure Documents to point to Specifications for Continuing Disclosure Submission document.
1.5	June 2010	Updated text on the submission filing screen; updated Section 5 to illustrate how to create groups and control securities at the CUSIP-9 level; updated screen shots in Section 5 to reflect new EMMA Dashboard.
1.6	August 2010	Added text box to explain the purpose of the PDF when making CD submissions.
1.7	May 2011	Updated steps for registration and referenced new user manual.
2.0	April 2012	Extracted Gateway account management functionality, updated screenshots and text to reflect shared dashboard.
2.1	July 2013	Added instructions on how to schedule and manage email reminders for recurring financial disclosures; updated screen shots.
2.2	January 2015	Added instructions for submitting disclosures for asset-backed securities under Securities Exchange Act Rule 15Ga-1.

Version	Date	Description of Changes
2.3	August 2015	Updated the Resources and Support section to reflect the change in hours of operation for Email Support.
2.4	June 2016	Updated to reflect the user navigation changes to the www.msrb.org homepage, MSRB Gateway Login and Main Menu pages.
2.5	September 2016	Updated to reflect Bank Loan/Alternative Financing Filing changes to EMMA Dataport.
2.6	June 2018	Updated to reflect addition of ABLE program submissions and removed the word "College" from 529 Savings Plans to reflect the Tax Cuts and Jobs Act of 2017.
2.7	February 2019	Updated to reflect additional event disclosures required under SEC Rule 15c2-12 beginning February 27, 2019, and to discontinue separate voluntary submission process for bank loan and alternative financing filings effective February 27, 2019. Minor text edits to conform manual to the existing functionality for associating securities and managing groups of securities.
2.8	August 2019	Updated to reflect EMMA Dataport user interface changes and enhanced continuing disclosure submission process.
3.0	February 2020	Updated to reflect submission modification enhancements.
3.1	August 2020	Updated to reflect URL changes due to the MSRB's cloud migration and reorganize and consolidate information on related rules and resources.
3.2	November 2021	Updated to reflect the addition of Pre-refunded, Secondary Market Insured and Matured/Redeemed filters to the CD submission path. Groups and Control Notices is removed from this manual and can now be found in the EMMA Dataport Manual for Creating Groups of Securities .
4.0	February 2022	Updated Table of Contents to reflect changes in paging and standardize format to enhance the consistency of the document
4.1	April 2022	Updated to reflect GASB's decision to change Comprehensive Annual Financial Report (CAFR) to Annual Comprehensive Financial Report (ACFR).

Resources and Support

Contact the MSRB

MSRB Support

Phone: 202-838-1330

Email: MSRBsupport@msrb.org.

Live support: 7:30 a.m. – 6:30 p.m. ET.

E-mail support: 7:00 a.m. – 7:00 p.m. ET.

MSRB Corporate Office

Municipal Securities Rulemaking Board

1300 I Street NW, Suite 1000

Washington, DC 20005

Phone: 202-838-1500

MSRB Website: www.msrb.org

EMMA Website: emma.msrb.org

Core Operational Hours

7:00 a.m. to 7:00 p.m. ET on business days*

Submissions within these hours are processed promptly. Submissions outside of core operational hours may be posted promptly following processing of such information, though some submissions outside of the core operational hours may not be processed until the next business day.

**Excludes weekends and holidays identified on the [MSRB System Holiday Schedule](#) and planned or unplanned outages as communicated on the [MSRB Systems Status](#) webpage.*

Related MSRB Rules and Resources

SEC Rule 15c2-12

- [10 Things to Know: New SEC Rule 15c2-12 Requirements](#)
- [SEC Rule 15c2-12: Continuing Disclosure](#)
- [Selecting Financial/Operating Disclosure Categories on EMMA Dataport](#)
- [Selecting Event Disclosure Categories on EMMA Dataport](#)
- [Using CUSIP Numbers on EMMA Dataport](#)
- [What Investors See on EMMA](#)
- [Setting Up an Organization Account](#)

Video Tutorials

- [Creating an Organization Account](#)
- [Submitting Financial Disclosures](#)
- [Submitting Event-Based Disclosures](#)
- [Creating and Controlling Groups](#)
- [Submitting Continuing Disclosures](#)

Overview

About the MSRB

The Municipal Securities Rulemaking Board (MSRB) protects and strengthens the municipal bond market, enabling access to capital, economic growth, and societal progress in tens of thousands of communities across the country. The MSRB fulfills this mission by creating trust in our market through informed regulation of dealers and municipal advisors that protects investors, issuers and the public interest; building technology systems that power our market and provide transparency for issuers, institutions, and the investing public; and serving as the steward of market data that empowers better decisions and fuels innovation for the future. The MSRB is a self-regulatory organization governed by a board of directors that has a majority of public members, in addition to representatives of regulated entities. The MSRB is overseen by the Securities and Exchange Commission and Congress.

About this Manual

This manual describes the process for issuers, obligated persons and their agents to submit disclosures for public display on the EMMA website pursuant to SEC Rules 15c2-12 and 15Ga-1.



This symbol appears within this manual to call out important information or directions.

This resource is for informational purposes only and should be considered in conjunction with the applicable MSRB rules and any related interpretations. The complete text of all MSRB rules and interpretations is available at <http://www.msrb.org/Rules-and-Interpretations/MSRB-Rules.aspx>.

“CUSIP” is a registered trademark of ABA.

Automated Submission of Continuing Disclosure Documents

The EMMA Continuing Disclosure Service includes an automated computer-to-computer submission interface as an alternative to the Internet-based process previously described. The Internet-based process is designed to accept input for a single submission, while the computer-to-computer interface supports input of multiple submissions. See the Continuing Disclosure Submission Specifications for specifications for the computer-to-computer interface.

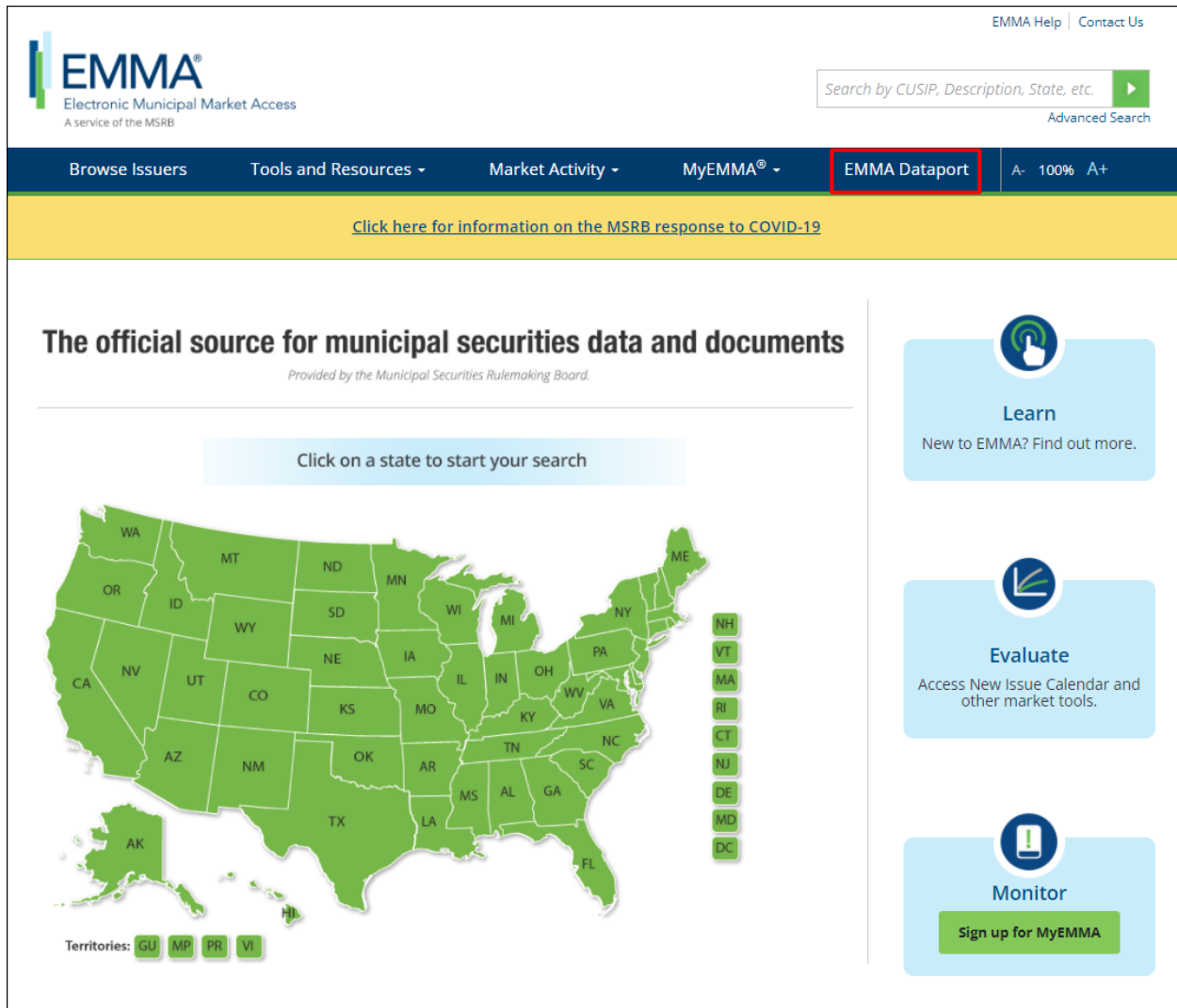
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Part I: Access EMMA Dataport

Accessing EMMA Dataport to make a continuing disclosure submission can be done from the [EMMA homepage](#) as described in this manual. Alternatively, submitters can start from the [MSRB homepage](#) and click **Login**.

From the [EMMA homepage](#), click the **EMMA Dataport** tab.



EMMA Help | Contact Us

EMMA[®]
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc.
Advanced Search

Browse Issuers Tools and Resources - Market Activity - MyEMMA[®] - **EMMA Dataport** A- 100% A+

[Click here for information on the MSRB response to COVID-19](#)

The official source for municipal securities data and documents
Provided by the Municipal Securities Rulemaking Board.

Click on a state to start your search

WA OR ID MT ND MN WI MI NY ME
CA NV UT CO KS MO IL IN OH PA VA WV
AZ NM OK AR MS AL GA SC NC
AK TX LA FL

Territories: GU MP PR VI

NH VT MA RI CT NJ DE MD DC

Learn
New to EMMA? Find out more.

Evaluate
Access New Issue Calendar and other market tools.

Monitor
[Sign up for MyEMMA](#)

Then click the **Log in to MSRB Gateway** button.

The screenshot displays the EMMA Dataport website interface. At the top left is the EMMA logo with the text 'Electronic Municipal Market Access A service of the MSRB'. At the top right are links for 'EMMA Help | Contact Us' and a search bar with the placeholder text 'Search by CUSIP, Description, State, etc.' and an 'Advanced Search' button. A navigation bar below the header contains links for 'Browse Issuers', 'Tools and Resources', 'Market Activity', 'MyEMMA', and 'EMMA Dataport'. The main content area is titled 'EMMA Dataport' and features a left-hand navigation menu with options like 'Overview', 'Submissions by Dealers', 'Submissions by Municipal Advisors', 'Submissions by Issuers', 'Submissions by Obligated Persons', 'MSRB Subscription Services', and 'MSRB System Status'. The central 'Document Submission' section contains a green announcement about enhanced user interface and improvements, followed by a paragraph explaining that municipal securities dealers, municipal advisors, issuers, obligated persons, and their designated agents provide documents to the MSRB through EMMA Dataport. A red arrow points from the text 'Log in to MSRB Gateway' in this paragraph to a red-bordered button with the same text. Below this is contact information for MSRB Support. On the right side, there are three promotional boxes: 'Access EMMA Dataport to Submit Documents' with a 'Log in to MSRB Gateway' button, 'Free Online Learning' with a 'MuniEdPro' logo, and 'EMMA for Issuers' with a play button icon.

EMMA Dataport

EMMA Help | Contact Us

Search by CUSIP, Description, State, etc. Advanced Search

Browse Issuers Tools and Resources Market Activity MyEMMA EMMA Dataport

EMMA Dataport

- Overview
- Submissions by Dealers
- Submissions by Municipal Advisors
- Submissions by Issuers
- Submissions by Obligated Persons
- MSRB Subscription Services
- MSRB System Status

Document Submission


EMMA Dataport now features an enhanced user interface and improvements to the continuing disclosure submission process for issuers. [Read more about the changes.](#)

Municipal securities dealers, municipal advisors, issuers, obligated persons and their designated agents provide the Municipal Securities Rulemaking Board (MSRB) with electronic documents to be posted on EMMA. EMMA Dataport is the utility through which submissions of documents and related information are made to MSRB Market Transparency Programs. For information about how to make specific submissions, please click on the applicable link below.


For time sensitive issues call MSRB Support at 202-838-1330 or send an email to MSRBsupport@msrb.org.

- Submissions by Dealers
- Submissions by Municipal Advisors
- Submissions by Issuers
- Submissions by Obligated Persons

Access EMMA Dataport to Submit Documents


 **Log in to MSRB Gateway**

Don't have an account? [Register](#)


 [Access Online Training about Submitting to EMMA](#)

[MSRB Gateway Manual](#)

Free Online Learning

 Log in to MuniEdPro® to take the MSRB's interactive course on continuing disclosure obligations under SEC Rule 15c2-12.

EMMA for Issuers

 Watch government finance professionals explain how they use EMMA.

From the MSRB Gateway landing page, enter your User ID and Password, and click **Login**.

Log in from the MSRB Homepage

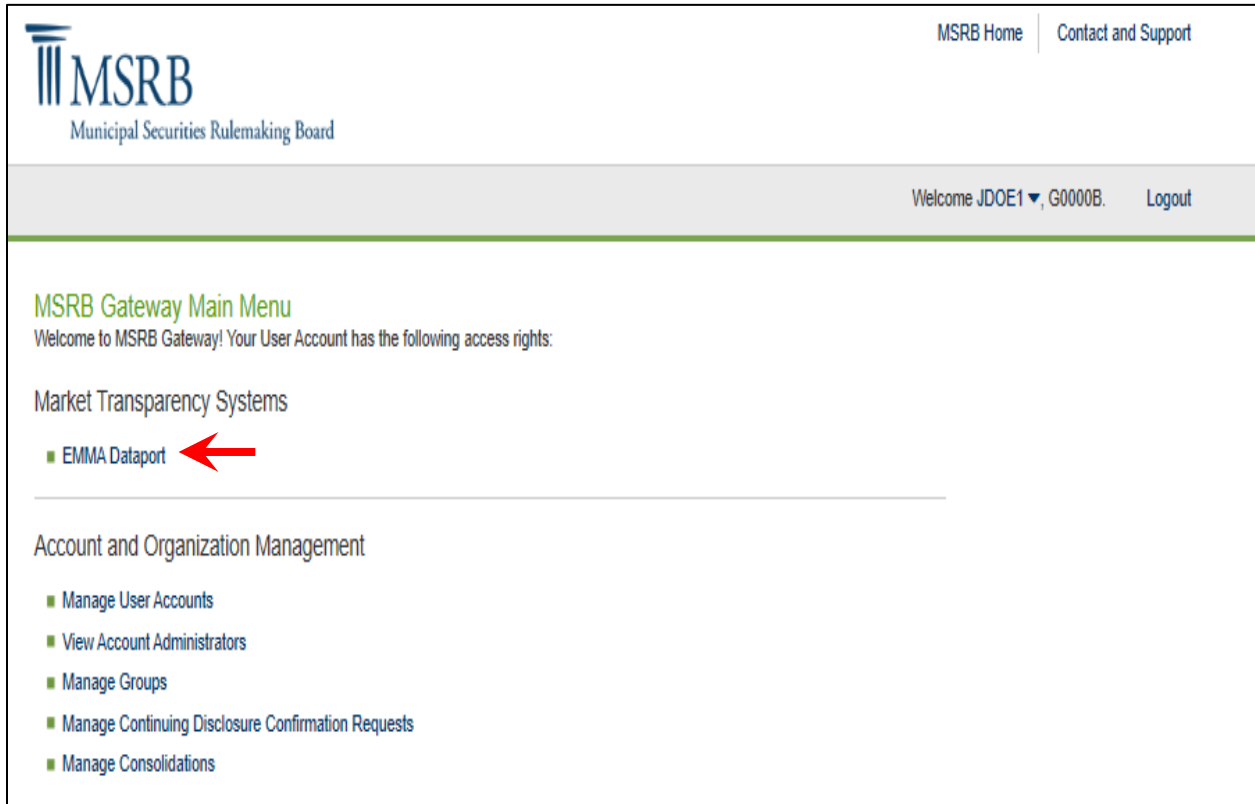
From the MSRB homepage at www.msrb.org, click **LOGIN**.

The screenshot shows the MSRB homepage. At the top right, there is a navigation menu with links for ABOUT MSRB, EMMA®, MUNIEDPRO®, **LOGIN** (highlighted in a red box with a red arrow pointing to it), REGISTER, and CAREERS. Below the navigation menu is a search bar. The main content area features a navigation bar with links for Rules and Guidance, Compliance Center, Transparency, Education Center, Policy and Analysis, and News and Events. A COVID-19 Information banner is present, followed by a section titled "MSRB Launches EMMA Labs" with a large graphic. Below this are four icons representing Strategic Plan, Market Regulation, Market Transparency, and Market Data.

From the MSRB Gateway landing page, enter your User ID and Password, and click **Login**.

The screenshot shows the MSRB Gateway landing page. At the top left is the MSRB logo. At the top right are links for MSRB Home and Contact and Support. The main content area features a "Log into MSRB Gateway" section with a lock icon, input fields for User ID and Password, a "Forgot password?" link, and a "Login" button (highlighted in a red box with a red arrow pointing to it). Below the login form is a "Register" link. To the right of the login form is a welcome message and a link to "Access Online Training about Submitting to EMMA". At the bottom, there is a note: "The MSRB recommends not bookmarking this page."

From the MSRB Gateway Main Menu, click **EMMA Dataport**.



The screenshot displays the MSRB Gateway Main Menu. At the top left is the MSRB logo (Municipal Securities Rulemaking Board). At the top right are links for "MSRB Home" and "Contact and Support". Below the header is a grey bar with the text "Welcome JDOE1 ▾, G0000B." and a "Logout" link. The main content area is titled "MSRB Gateway Main Menu" and includes a welcome message: "Welcome to MSRB Gateway! Your User Account has the following access rights:". Under the heading "Market Transparency Systems", the "EMMA Dataport" option is listed with a red arrow pointing to it. Below this, under the heading "Account and Organization Management", there is a list of other options: "Manage User Accounts", "View Account Administrators", "Manage Groups", "Manage Continuing Disclosure Confirmation Requests", and "Manage Consolidations".

MSRB Home | Contact and Support

MSRB
Municipal Securities Rulemaking Board

Welcome JDOE1 ▾, G0000B. Logout

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following access rights:

Market Transparency Systems

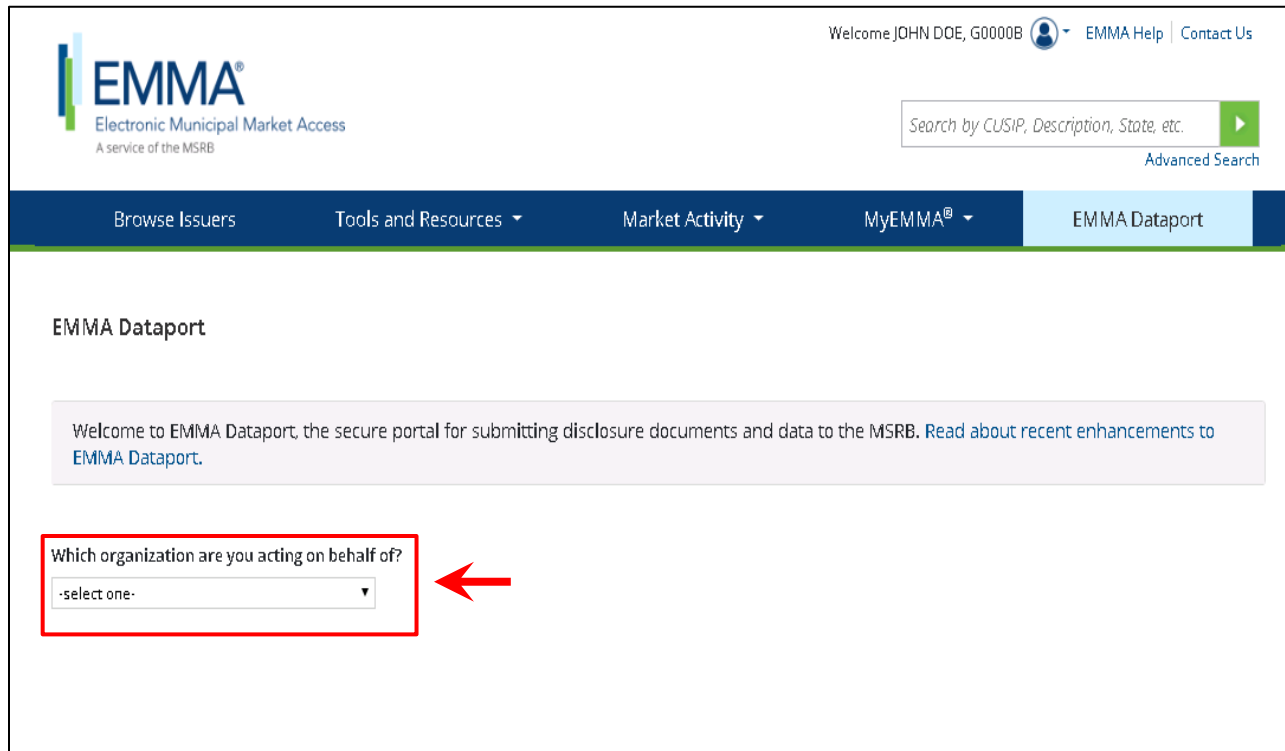
- EMMA Dataport

Account and Organization Management

- Manage User Accounts
- View Account Administrators
- Manage Groups
- Manage Continuing Disclosure Confirmation Requests
- Manage Consolidations

Part II: Make a Continuing Disclosure Submission

1. If your organization has the rights to act on the behalf of another organization, you will see a screen that will allow you to select the organization from the drop-down menu for which you are making a continuing disclosure submission.



The screenshot displays the EMMA Dataport user interface. At the top left is the EMMA logo with the text "Electronic Municipal Market Access" and "A service of the MSRB". At the top right, it says "Welcome JOHN DOE, G0000B" with a user icon, and links for "EMMA Help" and "Contact Us". A search bar is present with the placeholder text "Search by CUSIP, Description, State, etc." and a green search button. Below the search bar is a navigation menu with items: "Browse Issuers", "Tools and Resources", "Market Activity", "MyEMMA", and "EMMA Dataport". The main content area is titled "EMMA Dataport" and contains a welcome message: "Welcome to EMMA Dataport, the secure portal for submitting disclosure documents and data to the MSRB. [Read about recent enhancements to EMMA Dataport.](#)" Below this is a form field with the label "Which organization are you acting on behalf of?" and a dropdown menu currently showing "-select one-". A red arrow points to the dropdown menu.

2. Once selecting the organization, if applicable, the EMMA Dataport Submission Portal displays buttons and links for the types of submission you can make to EMMA. Click the **Continuing Disclosure** option.

The screenshot shows the EMMA Dataport Submission Portal interface. At the top left is the EMMA logo with the text "Electronic Municipal Market Access" and "A service of the MSRB". At the top right, it says "Welcome JOHN DOE, G0000B" with a user icon, and links for "EMMA Help" and "Contact Us". Below this is a search bar with the placeholder text "Search by CUSIP, Description, State, etc." and a green search button. A navigation bar contains "Browse Issuers", "Tools and Resources", "Market Activity", "MyEMMA", and "EMMA Dataport". Below the navigation bar, it says "You are acting on behalf of: SAMPLE CO (G0000B)".

The main content area is titled "EMMA Dataport" and has a grey bar with the text "What would you like to do today?". Below this are three blue buttons, each with an upward arrow icon:

- Primary Market (Rule G-32)
- Continuing Disclosure (Rule-based & Voluntary)** (highlighted with a red box)
- Political Contributions (Rule G-37)

Below these buttons is a grey bar titled "Additional Options". Underneath are six options arranged in two rows and three columns:

- 529 Savings Plans / ABLE Programs (Rule G-45)**: Submit plan descriptive information, assets and other data.
- SHORT Documents (Rule G-34)**: Submit ARS and VRDO documents.
- Issuer Voluntary Official Statements**: Submit official statement or related information to make a voluntary primary market submission.
- Preliminary Official Statement and Pre-Sale Documents**: Submit POS and related pre-sale documents.
- Voluntary Financial Information: Timing, GAAP Undertaking & URL**: Indicate the timing, accounting standard and URL for additional financial information.

- Click the **Create New Submission** button to start a submission.

The screenshot displays the EMMA Dataport interface. At the top left is the EMMA logo with the text 'Electronic Municipal Market Access' and 'A service of the MSRB'. At the top right, it says 'Welcome JOHN DOE, G0000B' with a user icon, and links for 'EMMA Help' and 'Contact Us'. Below this is a search bar with the placeholder text 'Search by CUSIP, Description, State, etc.' and a green search button. A navigation bar contains 'Browse Issuers', 'Tools and Resources', 'Market Activity', 'MyEMMA', and 'EMMA Dataport'. Below the navigation bar, it indicates 'You are acting on behalf of: SAMPLE CO (G0000B)'. The main content area is titled 'Continuing Disclosure' and contains a question: 'Would you like to make a new continuing disclosure submission or modify an existing one?'. Below this question are two buttons: 'Create New Submission' (highlighted with a red border) and 'Modify Submission'. Further down, there are tabs for 'Recent Submissions' and 'Export Submission History'. Under 'Recent Submissions', it says 'Most Recent Submissions up to One Year' and includes a 'Show 10 entries' dropdown and a 'Search within list:' input field. Below this is a table of recent submissions.

Submission Date	Disclosure Type	Submission ID	Submitted By	
06/26/2019	Annual Financial Information and Operating Data	Q3496943	JDOE1	Modify View
06/21/2019	Annual Financial Information and Operating Data	Q3496905	JDOE1	Modify View
06/17/2019	Annual Financial Information and Operating Data	Q3496814	JDOE1	Modify View
06/11/2019	Annual Financial Information and Operating Data	Q3496855	JDOE1	Modify View

4. Select the type of continuing disclosure submission you will make: Financial/Operating Filing, Event Filing or Asset-Backed Securities Filing.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure

← Resources

What category of disclosure would you like to submit? (Select one)

- Financial/Operating Filing
- Event Filing
- Asset-Backed Securities Filing

[i Not sure?](#)

Next Exit



Click the **Not sure?** link to access relevant educational resources for each step in the submission process. This manual, video tutorials and other resources are available throughout the submission process by expanding the **Resources** menu.

Click the **Next** button to proceed.

Upload the Document

Continuing disclosure documents and supplemental files can be uploaded to EMMA. Use the **Select Files** button to select the file(s) on your computer. You may also locate the files on your computer and drag and drop them area marked by the dashed line.

Documents must be in portable document format (PDF) and configured to permit documents to be saved, viewed, printed, and retransmitted by electronic means without using a password. If the submitted document is a reproduction of an original document, the reproduction must maintain the graphical and textual integrity of the content of the original. Any document submitted to the EMMA system must be word-searchable, without regard to diagrams, images, and other non-textual elements.

The screenshot displays the EMMA Dataport interface. At the top, the EMMA logo is on the left, and the user is logged in as JOHN DOE. The navigation bar includes 'Browse Issuers', 'Tools and Resources', 'Market Activity', 'MyEMMA', and 'EMMA Dataport'. The submission status is 'NOT YET PUBLISHED'. The main heading is 'Continuing Disclosure - Financial/Operating Filing'. Below this is a text input field asking 'What file(s) would you like to submit?'. A note states: 'PDF files must be word-searchable by allowing the user to search for specific terms within the document through a search or similar find function.' A red box highlights a 'Select Files' button and a dashed-line box containing the text 'or drag and drop files here'. At the bottom right, there are four buttons: 'Back', 'Next', 'Save', and 'Exit'.



A single file may not exceed 250 MB. All files in a single submission may not exceed 1 GB. The file has successfully been uploaded for submission once the file name appears below the drag-and-drop box. You can click on a file name to view the file.

The screenshot shows the EMMA Dataport interface. At the top, there is a welcome message for JOHN DOE, G0000B, and a search bar. The main navigation bar includes 'Browse Issuers', 'Tools and Resources', 'Market Activity', 'MyEMMA', and 'EMMA Dataport'. The user is acting on behalf of SAMPLE CO (G0000B). The submission status is 'NOT YET PUBLISHED'. The current step is 'Continuing Disclosure - Financial/Operating Filing'. A text box asks 'What file(s) would you like to submit?'. Below this, there is a note: 'PDF files must be word-searchable by allowing the user to search for specific terms within the document through a search or similar find function.' A dashed box contains a 'Select Files' button and the text 'or drag and drop files here'. A red arrow points to a trash can icon next to the file 'Submitting Financial Disclosures.pdf', which was uploaded on 06/26/2019. At the bottom, there are four buttons: 'Back', 'Next', 'Save', and 'Exit'. The 'Next' button is highlighted with a red border.

1. You may remove files from your submission using the trash can icon next to the file you wish to delete. Note, that you can only delete files from your submission before the submission is published. See the section of this manual on Archiving a File.
2. If you upload multiple files and wish to re-order them, drag and drop the file names into the desired order.

Click the **Next** button to proceed.

Categorize a Financial/Operating Filing

1. The next step is providing indexing data to help categorize your submission and make it easier to find and understand on the EMMA website. If the submission is a financial/operating filing, indicate whether it is a category of disclosure specifically listed in SEC Rule 15c2-12 and/or if it reflects additional or voluntary financial and operating filing types. You may select both if applicable. Then click **Next**.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Financial/Operating Filing

Does this submission include information specifically required by a Continuing Disclosure Agreement or other similar commitment consistent with SEC Rule 15c2-12? (Select all that apply.)

- SEC Rule 15c2-12 Disclosure
- Additional/Voluntary Disclosure

i Not sure?

Back Next Save Exit

The screenshot shows a web form for categorizing a financial/operating filing. At the top, it indicates the submission status is 'NOT YET PUBLISHED'. The main heading is 'Continuing Disclosure - Financial/Operating Filing'. Below this, there is a question: 'Does this submission include information specifically required by a Continuing Disclosure Agreement or other similar commitment consistent with SEC Rule 15c2-12? (Select all that apply.)'. Two checkboxes are visible: 'SEC Rule 15c2-12 Disclosure' and 'Additional/Voluntary Disclosure', both of which are checked. A 'Not sure?' option with an information icon is also present. At the bottom right, there are four buttons: 'Back', 'Next', 'Save', and 'Exit'. The 'Back' button is highlighted with a red box.

2. If you indicated that the submission contains both required and additional or voluntary information, you will see two sections of category options to describe your submission. If you do not see both sections and the category you would like to select is not visible, click the **Back** button to edit your selection to include both sections.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Financial/Operating Filing Resources

Which type of Financial filing best describes this document? Select all that apply.

- SEC Rule 15c2-12 Disclosure

- Annual Financial Information and Operating Data (Rule 15c2-12)
- Audited Financial Statements or ACFR (Rule 15c2-12)
- Failure to Provide Annual Financial Information as Required

- Additional / Voluntary Disclosure

- Quarterly / Monthly Financial Information
- Change in Fiscal Year / Timing of Annual Disclosure
- Change in Accounting Standard
- Interim / Additional Financial Information / Operating Data
- Budget
- Investment / Debt / Financial Policy
- Information Provided to Rating Agency, Credit / Liquidity Provider or Other Third Party
- Consultant Reports
- Other Financial / Operating Data

Not sure?

Back Next Save Exit

- Click the **plus sign** to expand the second section for Additional/Voluntary Disclosure categories if applicable. Check the applicable categories and click the **Next** button to proceed.



Selecting one or more descriptive categories enhances the ability of EMMA users to locate disclosures.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Financial/Operating Filing Resources

What information about this disclosure do you want investors to see on EMMA website? * is required.

Annual Financial Information and Operating Data (Rule 15c2-12)

Document Description:

Period Date: Year Ended *

i Not sure?

Back Next Save Exit

- Enter the document title or other brief descriptive information in the **Document Description** text box to provide additional details about the contents of the disclosure(s).
- Next, enter the period covered by the disclosure in the date field. You may type the date or select a date from the calendar by clicking into the date field.

Both the text and date fields will appear on the EMMA website in connection with the uploaded document.

Click **Next** to proceed.

Categorize an Event Filing

If the submission is an event filing, indicate whether it is a category of event notice specifically listed in SEC Rule 15c2-12 and/or if it reflects additional or voluntary event filing types. You may select both if applicable. Then click **Next**.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Event Filing [Resources](#)

Does this submission include information specifically required by a Continuing Disclosure Agreement or other similar commitment consistent with SEC Rule 15c2-12? (Select all that apply.)

- SEC Rule 15c2-12 Disclosure
- Additional/Voluntary Disclosure

[Not sure?](#)

[Back](#) [Next](#) [Save](#) [Exit](#)

- SEC Rule 15c2-12 Disclosure

<input type="checkbox"/> Principal / Interest Payment Delinquency
<input type="checkbox"/> Non-payment Related Default
<input type="checkbox"/> Unscheduled Draw on Debt Service Reserve Reflecting Financial Difficulties
<input type="checkbox"/> Unscheduled Draw on Credit Enhancement Reflecting Financial Difficulties
<input type="checkbox"/> Substitution of Credit or Liquidity Provider, or Its Failure to Perform
<input type="checkbox"/> Adverse Tax Opinion or Event Affecting the Tax-exempt Status of the Security
<input type="checkbox"/> Modification to the Rights of Security Holders
<input type="checkbox"/> Bond Call
<input type="checkbox"/> Defeasance
<input type="checkbox"/> Release, Substitution or Sale of Property Securing Repayment of the Security
<input type="checkbox"/> Rating Change
<input type="checkbox"/> Failure to Provide Event Filing Information as Required
<input type="checkbox"/> Tender Offer / Secondary Market Purchases
<input type="checkbox"/> Merger / Consolidation / Acquisition and Sale of All or Substantially All Assets
<input type="checkbox"/> Bankruptcy, Insolvency, Receivership or Similar Event
<input type="checkbox"/> Successor, Additional or Change in Trustee
<input type="checkbox"/> Financial Obligation - Incurrence or Agreement
<input type="checkbox"/> Financial Obligation - Event Reflecting Financial Difficulties

- Additional / Voluntary Disclosure

<input type="checkbox"/> Amendment to Continuing Disclosure Undertaking
<input type="checkbox"/> Change in Obligated Person
<input type="checkbox"/> Notice to Investor Pursuant to Bond Documents
<input type="checkbox"/> Communication From the Internal Revenue Service
<input type="checkbox"/> Bid For Auction Rate or Other Securities
<input type="checkbox"/> Capital or Other Financing Plan
<input type="checkbox"/> Litigation / Enforcement Action
<input type="checkbox"/> Change of Tender Agent, Remarketing Agent or Other On-going Party
<input type="checkbox"/> Derivative or Other Similar Transaction
<input type="checkbox"/> Other Event-based Disclosures

 Not sure?

Back Next Save Exit

Select the event type(s) that best fits the submission. Event types include disclosure of an event as specified by SEC Rule 15c2-12 and additional event disclosures that can be made on a voluntary basis.



Event types listed under SEC Rule 15c2-12 disclosure may be used for voluntary submissions. For example, submitters may use the “Financial Obligation – Incurrence and Agreement” event type for disclosures that may not be required to be made under a continuing disclosure agreement entered into pursuant to SEC Rule 15c2-12.

Click **Next** to proceed.

Once a selection is made, you are prompted to provide a date, if not today, and an optional brief description of the event disclosure(s) being submitted. The date and description are displayed on EMMA.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Event Filing

Resources

What information about this disclosure do you want investors to see on EMMA website?

Document dated (if not today):

Principal / Interest Payment Delinquency

Document Description:

i Not sure?

Back Next Save Exit

Click **Next** to proceed.

For two of the events, **Financial Obligation – Incurrence and Agreement** and **Financial Obligation – Event Reflecting Financial Difficulties**, additional indexing information is required.

Continuing Disclosure - Event Filing ← Resources

What information about this disclosure do you want investors to see on EMMA website? * is required.

Financial Obligation - Incurrence or Agreement ←

Document Description: *

As of: *

Type of Obligation Debt Obligation
 (Select one)* Guarantee
 Debt Obligation
 Derivative Instrument
 Derivative Instrument

Financial Obligation - Event Reflecting Financial Difficulties ←

Document Description: *

As of: *

Type of Event Default
 (Select all that apply)* Event of Acceleration
 Termination Event
 Modification of Terms
 Other

i Not sure?

When submitting a disclosure relating to **Financial Obligation – Incurrence and Agreement**, submitters must indicate some information about the type of financial obligation. Any submitter that selects “Guarantee” must indicate whether the guarantee relates to a debt obligation or derivative instrument.

When submitting a disclosure related to **Financial Obligation – Event Reflecting Financial Difficulties**, submitters must select all that apply about the event reflecting financial difficulties.

Categorize an Asset-Backed Securities Filing

Select the radio button next to the specific type of Rule 15Ga-1 disclosure. Click the **Next** button.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Asset-Backed Securities Filing

← Resources

Which type of Asset-Backed Securities filing best describes this document? Select one.

Rule 15Ga-1 Disclosure

- Initial Asset-Backed Securities Disclosure (SEC Rule 15Ga-1(c)(1))
- Quarterly Asset-Backed Securities Disclosure (SEC Rule 15Ga-1(c)(2)(i))
- Annual Asset-Backed Securities Disclosure (SEC Rule 15Ga-1(c)(2)(ii))
- Other Asset-Backed Securities Disclosure (e.g. notice of termination of duty to file reports pursuant to SEC Rule 15Ga-1(c)(3))

Not sure?

Back Next Save Exit

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Asset-Backed Securities Filing

← Resources

What information about this disclosure do you want investors to see on EMMA website?

* is required.

Initial Asset-Backed Securities Disclosure (SEC Rule 15Ga-1(c)(1))

Document Description: Initial Rule 15Ga-1 Filing

For the period from: 06/01/2019 to 06/05/2019 *

Not sure?

Back Next Save Exit

In the **Disclosure Description** text box, enter the document title or other brief descriptive information to provide further explanation for those who will access this disclosure on the EMMA website.

Enter the time period covered by the disclosure by typing the date or selecting a date from the calendar next to the date field.

Click **Next** to proceed.

Associate Issues or Securities to the Disclosure

Next, associate issues or securities to the disclosure. Check the box next to the security type you wish to add to your submission. If the disclosure relates to municipal bonds and notes for which nine-digit CUSIP numbers have been assigned, select **Municipal Bonds and Notes (CUSIP-6 or CUSIP-9)**. If not, select the applicable option from the **Other** menu, which includes Commercial Paper, Ineligible for CUSIP, 529 Savings Plan/ABLE Program and Other Municipal Fund Security.

The screenshot shows a web form titled "Continuing Disclosure - Financial/Operating Filing" with a "Resources" link. The question is "What type of securities do you want to associate with this disclosure?". There are two radio button options: "Municipal Bonds and Notes (CUSIP-6 or CUSIP-9)" which is selected, and "Other" with a dropdown menu labeled "Select One". Below the options is an information icon and the text "Not sure?". At the bottom right, there are four buttons: "Back", "Next", "Save", and "Exit". The "Next" button is highlighted with a red box.



A single submission cannot include both CUSIP-9-based and non-CUSIP-9-based securities.

Click **Next**.

Municipal Bonds and Notes – Using CUSIP-9 and/or CUSIP-6

If you know the CUSIP-9s for your submission, you can use one of two methods to enter CUSIPs:

- You may enter or copy and paste individual CUSIPs in the **Type or Copy/Paste Securities** section. Six-digit base CUSIPs may also be entered into the **Type or Copy/Paste Securities** box to load all securities that share the first six digits. If you do not know the CUSIP numbers, skip to the next section in this manual.
- You can upload a .csv or excel file listing the CUSIPs. To utilize this functionality, click the **Upload Securities**.



All files must contain only one column of CUSIP-9s and be either CSV or Excel files and not exceed 15,000 CUSIPs.

The type or copy-and-paste functionality includes delimiters to separate securities, including semicolon, comma and enter. Up to 1,500 CUSIPs can be pasted in the **Type or Copy/Paste Securities** box at a time. For more than 1,500 CUSIPs, multiple uploads can be made. Up to 15,000 CUSIPs are allowed for each submission.

You can create and save groups of CUSIPs that can be used for future submissions.

If you have previously set up a group, you may select the group from the **Use Existing Groups** section to add the securities within that group to your submission. Note that saved groups will automatically update when new securities under the same base CUSIP are issued if the **Include New Securities** filter is applied. You also have the option to automatically exclude securities based on the following characteristics:



- Pre-refunded: Exclude securities that have been escrowed until a call date or maturity and will be redeemed at that time.
- Secondary Market Insured: Exclude securities created as a form of credit enhancement for securities that do not originate from the Issuer.
- Matured/Redeemed: Exclude securities that have matured or been fully redeemed.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Financial/Operating Filing ← Resources

What securities would you like to add to your submission? Use the options below to add securities:

- [Use Existing Groups ?](#)
- [Type or Copy/Paste Securities ?](#)
- [Search for Securities by Issuer Name](#)
- [Upload Securities](#)

ⓘ Not sure?

[Back](#) [Next](#) [Save](#) [Exit](#)

Choose to add securities by selecting either the “Use Existing Groups”, “Type or Copy/Paste Securities”, “Search for Securities by Issuer Name” or “Upload Securities” hyperlinks.

After entering securities into the “Type or copy/paste securities” box, click **Add Securities** button and the corresponding CUSIPs will appear in the **Uploaded Issues/Securities** list below. Invalid CUSIPs will not populate in the list and will generate an error message that appears on the right-hand side of the screen.

Continuing Disclosure - Financial/Operating Filing Resources

What securities would you like to add to your submission? Use the options below to add securities:

Use Existing Groups ?

Type or Copy/Paste Securities ?

Type or copy/paste securities

Invalid CUSIPs

1234567890

Add Securities

Search for Securities by Issuer Name

Upload Securities

Uploaded Issues/Securities Export Securities ? | Create a group with the selected securities ?

107 securities selected.

Customize Securities ?

Exclude

Pre-refunded

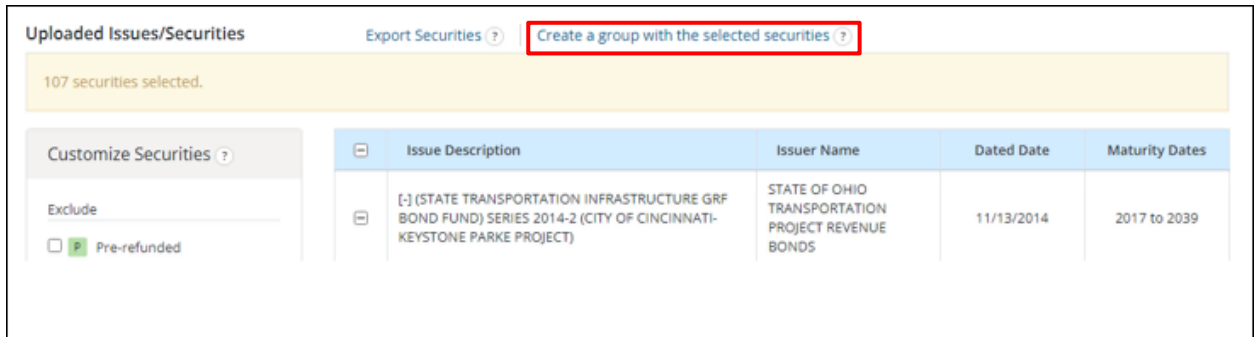
	Issue Description	Issuer Name	Dated Date	Maturity Dates
<input type="checkbox"/>	[] (STATE TRANSPORTATION INFRASTRUCTURE GRF BOND FUND) SERIES 2014-2 (CITY OF CINCINNATI-KEYSTONE PARKE PROJECT)	STATE OF OHIO TRANSPORTATION PROJECT REVENUE BONDS	11/13/2014	2017 to 2039

1. Review the CUSIPs listed for accuracy.

- a. To remove a CUSIP-9, uncheck the check box next to the CUSIP you wish to remove.
- b. To deselect securities that have been reported to the MSRB as pre-refunded, secondary market insured or matured/redeemed, use the **Exclude** options above the table.

The dynamic count of the number of selected securities is highlighted in yellow at the top of the table. Verify that the CUSIPs listed are accurate.

2. If you wish to make future submissions for these same securities, you can select to create and save a group by clicking on the “Create a group with the selected securities” link.



Uploaded Issues/Securities Export Securities (?) **Create a group with the selected securities (?)**

107 securities selected.

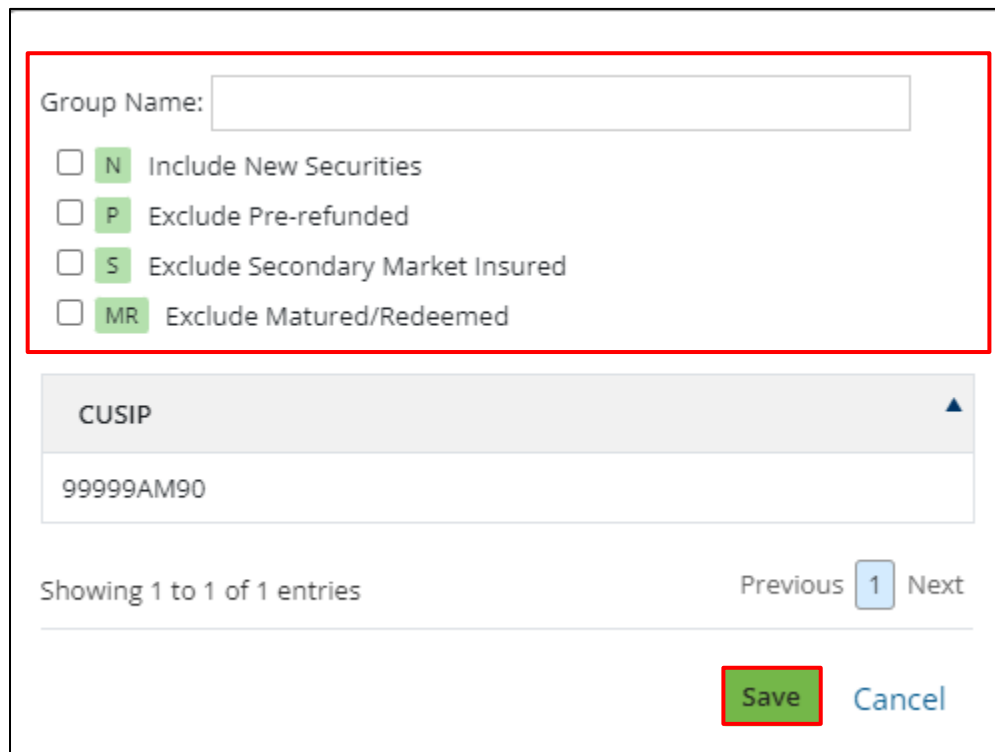
Customize Securities (?)

Exclude

P Pre-refunded

	Issue Description	Issuer Name	Dated Date	Maturity Dates
<input type="checkbox"/>	[] (STATE TRANSPORTATION INFRASTRUCTURE GRF BOND FUND) SERIES 2014-2 (CITY OF CINCINNATI-KEYSTONE PARKE PROJECT)	STATE OF OHIO TRANSPORTATION PROJECT REVENUE BONDS	11/13/2014	2017 to 2039

A pop-up will appear to allow you to name and save the group. See the [EMMA Dataport Manual for Creating Groups of Securities](#) on how to Manage Groups of Securities. You will also have the option at this time to select the **Include New Securities** checkbox which will automatically add new securities that come to market under the same base CUSIP.



Group Name:

N Include New Securities

P Exclude Pre-refunded

S Exclude Secondary Market Insured

MR Exclude Matured/Redeemed

CUSIP

99999AM90

Showing 1 to 1 of 1 entries Previous **1** Next

Save Cancel

Click **Save** to proceed.

Review Securities Removed by Filtering

By clicking on one of three filtering options (Pre-refunded, Secondary Market Insured or Matured/Redeemed) you will be able to review the securities removed based on the filter selected.

Uploaded Issues/Securities Export Securities ? Create a group with the selected securities ?

106 securities selected.

Customize Securities ?

Exclude

P Pre-refunded

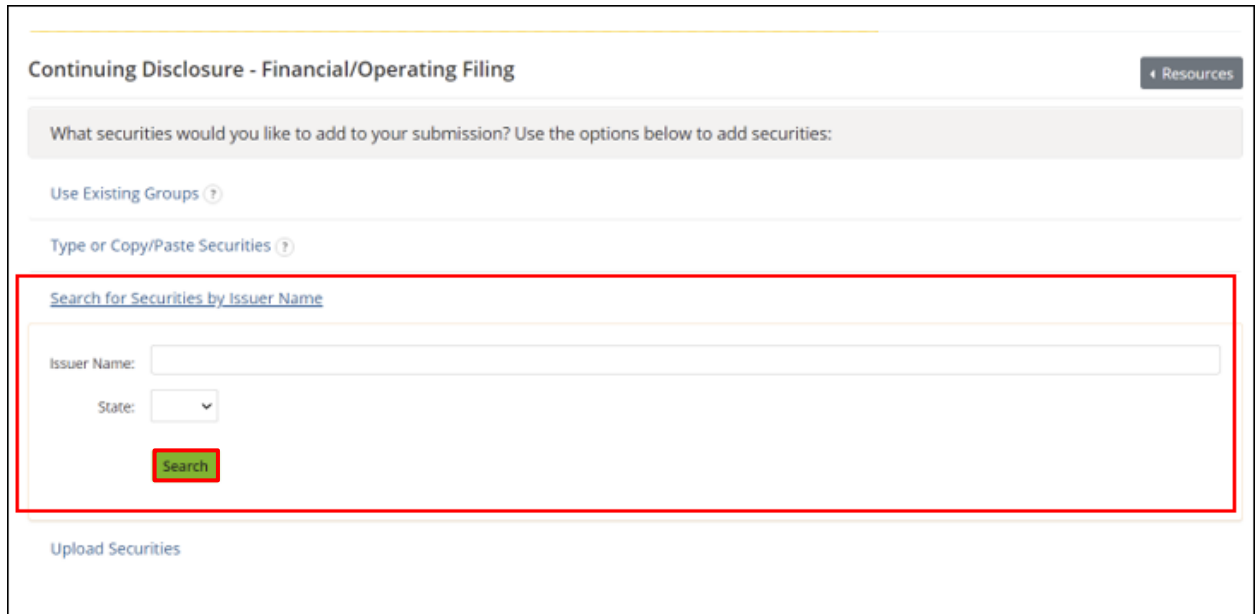
S Secondary Market Insured

MR Matured/Redeemed

Issue Description	Issuer Name	Dated Date	Maturity Dates
<input type="checkbox"/> [-] (STATE TRANSPORTATION INFRASTRUCTURE GRF BOND FUND) SERIES 2014-2 (CITY OF CINCINNATI-KEYSTONE PARKE PROJECT)	STATE OF OHIO TRANSPORTATION PROJECT REVENUE BONDS	11/13/2014	2017 to 2039
CUSIP	Coupon (%)	Maturity Date	Status Indicator
<input type="checkbox"/> 67759TDR6	1	11/15/2017	MR
<input type="checkbox"/> 67759TDS4	1.6	11/15/2019	MR
<input checked="" type="checkbox"/> 67759TDT2	2	11/15/2021	--
<input checked="" type="checkbox"/> 67759TDU9	2.5	11/15/2023	--
<input checked="" type="checkbox"/> 67759TDV7	4	11/15/2025	--
<input checked="" type="checkbox"/> 67759TDW5	4	11/15/2027	--
<input checked="" type="checkbox"/> 67759TDX3	3.25	11/15/2030	--
<input checked="" type="checkbox"/> 67759TDY1	4	11/15/2034	--
<input checked="" type="checkbox"/> 67759TDZ8	4	05/15/2039	--
<input checked="" type="checkbox"/> [+] INFRA BD FD 2008-1	OHIO ST TRANSN PROJ REV	07/31/2008	05/15/2023

Municipal Bonds and Notes – Using Issuer Name and State

1. If you do not have the nine- or six-digit CUSIP numbers for your submission, you may search for CUSIPs reported to the MSRB by entering the issuer's name and state. Click **Search** and a list of issuers appears.



The screenshot displays the 'Continuing Disclosure - Financial/Operating Filing' page. At the top right, there is a 'Resources' link. Below the title, a grey box contains the text: 'What securities would you like to add to your submission? Use the options below to add securities:'. Underneath, there are two options: 'Use Existing Groups ?' and 'Type or Copy/Paste Securities ?'. A red rectangular box highlights the 'Search for Securities by Issuer Name' section. This section includes a text input field for 'Issuer Name:', a dropdown menu for 'State:', and a green 'Search' button. Below the highlighted section, there is a link for 'Upload Securities'.



A minimum of three characters must be entered in the Issuer Name field. Both name and state are required.

- The issues for the selected issuer appear on the screen. Verify that the CUSIPs listed are accurate, check the box by each issue you wish to add to the submission. Select the “Add Issuers” button when complete.

Continuing Disclosure - Financial/Operating Filing

What securities would you like to add to this filing?

Use Existing Groups

Type or Copy/Paste Securities

Search for Securities

Issuer Name: ALBERTVILLE ALABAMA
State: AL

Search

Upload Securities

Uploaded Issues/Securities

106 securities selected.

Select Issuers

<input type="checkbox"/>	CUSIP-6	Issuer Name
<input type="checkbox"/>	013122	CITY OF ALBERTVILLE, ALABAMA
<input type="checkbox"/>	013141	CITY BOARD OF EDUCATION OF THE CITY OF ALBERTVILLE
<input type="checkbox"/>	013158	ALBERTVILLE ALA ELEC REV
<input type="checkbox"/>	013176	ALBERTVILLE ALA INDL DEV BRD INDL DEV REV
<input type="checkbox"/>	013179	ALBERTVILLE ALA INDL DEV BRD REV
<input type="checkbox"/>	013181	ALBERTVILLE ALA MED CLINIC BRD REV
<input type="checkbox"/>	013188	MUNICIPAL UTILITIES BOARD OF THE CITY OF ALBERTVILLE
<input type="checkbox"/>	013189	MUNICIPAL UTILITIES BOARD OF THE CITY OF ALBERTVILLE
<input type="checkbox"/>	013192	MUNICIPAL UTILITIES BOARD OF THE CITY OF ALBERTVILLE (AL)
<input type="checkbox"/>	013194	ALBERTVILLE ALA WTR SUPPLY BRD WTR REV

Showing 1 to 10 of 10 entries

Previous 1 Next

Add Issuers Cancel

The dynamic count of the number of selected securities is highlighted in yellow at the top of the table.

Uploaded Issues/Securities

Export Securities ? | Create a group with the selected securities ?

106 securities selected.

3. To associate specific securities of an issue rather than an entire issue, click on the **[+]** icon next to the issue name. The securities identified by nine-digit CUSIP numbers will appear in an expanded list beneath the issue. To collapse the list, click on the **[-]** icon. Check the box by each security you wish to add to the submission. To exclude securities that have been reported to the MSRB as fully matured/redeemed, pre-refunded or secondary market insured, use the **Customize Securities** options to the left of the table. Check the option(s) you do not want to include and select the **Next** button.

Uploaded Issues/Securities [Export Securities ?](#) | [Create a group with the selected securities ?](#)

1 securities selected.

Customize Securities ?

Exclude

P Pre-refunded

S Secondary Market Insured

MR Matured/Redeemed

<input checked="" type="checkbox"/>	Issue Description	Issuer Name	Dated Date	Maturity Dates
<input checked="" type="checkbox"/>	[-] TEST	EMMA TESTING PROD	01/08/1933	08/01/2099

<input checked="" type="checkbox"/>	CUSIP	Coupon (%)	Maturity Date	Status Indicator
<input checked="" type="checkbox"/>	99999AM90	-	08/01/2099	--

Showing 1 to 1 of 1 entries

IMPORTANT NOTICE: You should verify that the list of securities is correct (including, without limitation, that all remarketed, unrefunded issues and CUSIPs are reflected). The MSRB takes no responsibility for verifying the accuracy or completeness of the list. EMMA Dataport is provided "as is" and "as available," without representations or warranties of any kind. The MSRB assumes no responsibility for any intentional or unintentional error, omission, inaccuracy, incompleteness, unavailability, interruption, delay, or unauthorized access in or with respect to EMMA Dataport or in information submitted to and/or posted on it.

i Not sure?

[Back](#)
[Next](#)
[Exit](#)

Export Securities

A submitter can use this functionality to export the list of CUSIPs being used in a submission and compare it to another list of CUSIPs. If you would like to download a list of the securities used in the continuing disclosure submission select **Export Securities**. When clicked, an excel file will download with one column containing a list of CUSIPs.

Uploaded Issues/Securities Export Securities ? [Create a group with the selected securities ?](#)

434 securities selected.

Customize Securities ?

Exclude

P Pre-refunded

S Secondary Market Insured

MR Matured/Redeemed

	Issue Description	Issuer Name	Dated Date	Maturity Dates
<input checked="" type="checkbox"/>	[-] FISCAL 2006 SERIES F, SUBSERIES F-4B	THE CITY OF NEW YORK GENERAL OBLIGATION BONDS	09/22/2005	2026 to 2030
	CUSIP	Coupon (%)	Maturity Date	Status Indicator
<input checked="" type="checkbox"/>	64966QDB3	5	09/01/2026	..
<input checked="" type="checkbox"/>	64966QDC1	5	09/01/2027	..
<input checked="" type="checkbox"/>	64966QDD9	5	09/01/2028	..
<input checked="" type="checkbox"/>	64966QDE7	5	09/01/2029	..
<input checked="" type="checkbox"/>	64966QDF4	5	09/01/2030	..
<input checked="" type="checkbox"/>	[+] FISCAL 2006 SERIES H, SUBSERIES H-A	THE CITY OF NEW YORK GENERAL OBLIGATION	01/05/2006	2021 to 2036

Other

For non-CUSIP-9 based submissions, select one of the following categories: Commercial Paper (CUSIP-6 Based), Ineligible for CUSIP Number Assignment, 529 Savings Plan, ABLE Program or Other Municipal Fund Security. Once the selection is made, follow the instructions for associating the disclosure to the appropriate issue and/or security.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Financial/Operating Filing

← Resources

What type of securities do you want to associate with this disclosure?

Municipal Bonds and Notes (CUSIP-6 or CUSIP-9)

Other Select One

Notes i

- Select One
- Commercial Paper (CUSIP-6 Based)
- Ineligible for CUSIP Number Assignment
- 529 Savings Plan
- ABLE Program
- Other Municipal Fund Security

Back Next Save Exit

Associate Contacts to the Disclosure

The submitter's contact information as provided in their MSRB Gateway account is automatically associated with a disclosure and published on EMMA. To replace the submitter's contact information with another person(s) whom the public can ask for further information, select an existing issuer or obligated person contact from the drop-down menu, or enter new information for an issuer and/or obligated person contact.

Continuing Disclosure - Financial/Operating Filing Resources

What contact information should be posted on the EMMA website?

Submitter's Contact Information

If no issuer/obligated person's contact information is provided, then submitter information will be posted on EMMA.

Organization: MSRB
 Name: TASHA MOSLEY
 Address: 1900 DUKE STREET, SUITE 600
 City, State Zip: ALEXANDRIA, VA 22314
 Phone Number: 703-797-6668
 Email: tmosley@msrb.org
 Submitter Contact Information can only be edited through MSRB Gateway.

Issuer's Contact Information

Select Contact Add new issuer contact

Obligated Person's Contact Information

Select Contact Add new obligated person contact

Back
Next
Exit



If entering a new contact, you must enter the contact's name and either phone number or email address.

Once you have completed the Contact Information section, click the **Next** button to proceed.

Save and Print for Review

If you would like to share the preview of your submission with a colleague, municipal advisor or other party, click the **Save and Print for Review** button. This generates a PDF version of your pending submission that may be printed or emailed.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Asset-Backed Securities Filing Resources

This submission has not been published yet. Please review submission details before publishing.

Rule 15Ga-1 Disclosure ✎

Initial Asset-Backed Securities Disclosure: Initial Rule 15Ga-1 Filing, for the period from 06/01/2019 to 06/05/2019

Document ✎

File	Period Date
Submitting Financial Disclosures.pdf	06/26/2019

Ineligible for CUSIP Number Assignment ✎

Issuer Name	Issue Description
ALBERTVILLE ALA MED CLINIC BRD REV	REF-ALBERTVILLE NURSING HOME-B

Submitter's Contact Information **Issuer's Contact Information** **Obligated Person's Contact Information** ✎

SAMPLE CO
Name: JOHN DOE
Address: 123 MAIN STREET
City, State Zip: CITY, ST 12345
Phone Number: 123-456-7890 ext. 11
Email: jdoe1@dealerxyz.com

Back
Save and Print for Review
Publish
Exit



Saving a submission without publishing will save only the data provided, including categories, associated securities and contact information. The files uploaded to the submission will not be saved. You must re-upload the files when you return to EMMA Dataport to publish the submission via "Access Saved Submission" button. Also note that only one submission may be saved at a time.

Continuing Disclosure

Would you like to make a new continuing disclosure submission or modify an existing one?

[Create New Submission](#) [Modify Submission](#) [Access Saved Submission](#)

[Recent Submissions](#) [Export Submission History](#)

Most Recent Submissions up to One Year

Show entries | Search within list:

Submission Date	Disclosure Type	Submission ID	Submitted By	
09/27/2021	Annual Financial Information and Operating Data (Modified)	Q11162416	TMOSLEY3	Modify View

Showing 1 to 1 of 1 entries Previous Next

To access a saved submission, log in to EMMA Dataport and select the **Continuing Disclosure (Rule-based & Voluntary)** option as described above. You will see a button to **Access Saved Submission**. Re-upload the file(s), make any desired changes and proceed to publish.

Publish the Disclosure

Your submission will not be accessible by the public until it is published. Review all the information prior to publishing. If any information on the preview screen needs to be changed, use the **Back** button until you reach the screen where the data was input. You may also use the pencil icons to jump to a particular section to make modifications. Once all information is correct, click the **Publish** button.

Submission Status: NOT YET PUBLISHED

Continuing Disclosure - Asset-Backed Securities Filing Resources

This submission has not been published yet. Please review submission details before publishing.

Rule 15Ga-1 Disclosure ✎

Initial Asset-Backed Securities Disclosure: Initial Rule 15Ga-1 Filing, for the period from 06/01/2019 to 06/05/2019

Document ✎

File	Period Date
Submitting Financial Disclosures.pdf	06/26/2019

Ineligible for CUSIP Number Assignment ✎

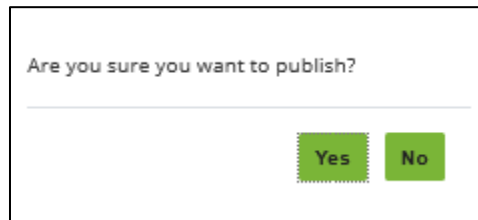
Issuer Name	Issue Description
ALBERTVILLE ALA MED CLINIC BRD REV	REF-ALBERTVILLE NURSING HOME-B

Submitter's Contact Information **Issuer's Contact Information** **Obligated Person's Contact Information** ✎

SAMPLE CO
 Name: JOHN DOE
 Address: 123 MAIN STREET
 City, State Zip: CITY, ST 12345
 Phone Number: 123-456-7890 ext. 11
 Email: jdoe1@dealerxyz.com

Back Save and Print for Review Publish Exit

The following screen appears. Once you are ready to publish, click **Yes** to publish your submission.



Are you sure you want to publish?

Yes No

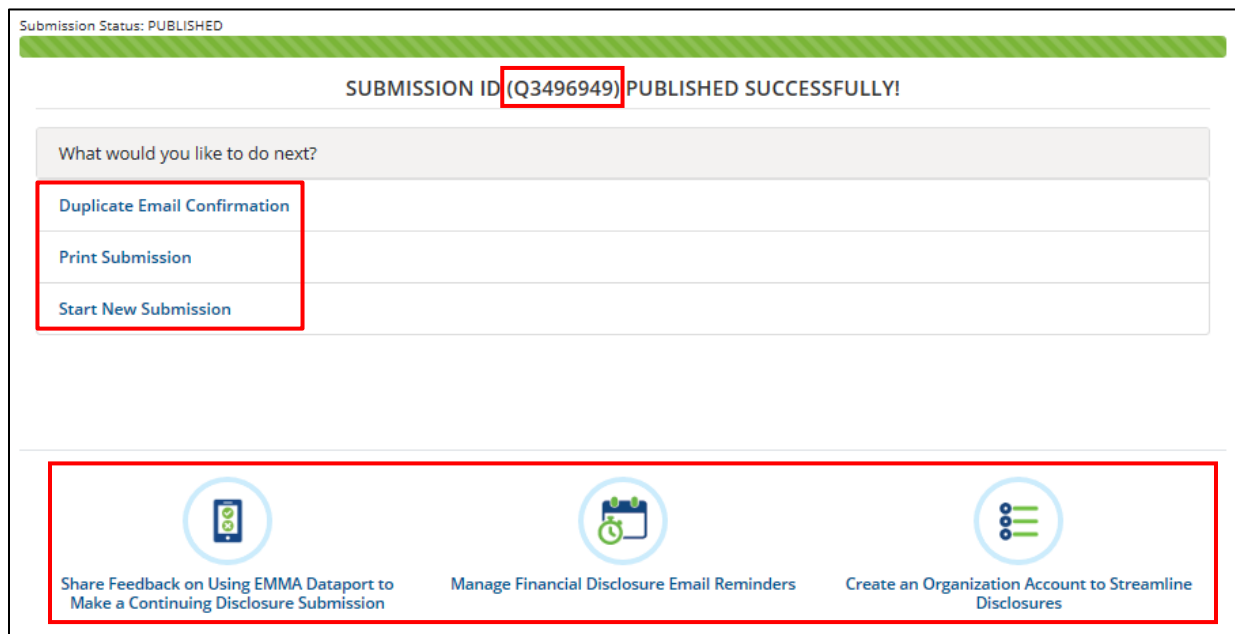
After publishing, a confirmation screen containing the following information appears:

- A submission ID, which is your unique identifier and helpful for any future updates
- A link to send your submission confirmation to a secondary email address.
- A link to print your submission confirmation
- A link to “start new submission” or to modify your existing submission; and

You will also see an invitation to share your feedback on using EMMA Dataport for making continuing disclosure submissions, as well as a series of links to EMMA tools and resources.



EMMA makes all submitted documents promptly available to the public, generally within an hour of submission for publication.



Submission Status: PUBLISHED

SUBMISSION ID (Q3496949) PUBLISHED SUCCESSFULLY!

What would you like to do next?

- Duplicate Email Confirmation
- Print Submission
- Start New Submission

Share Feedback on Using EMMA Dataport to Make a Continuing Disclosure Submission

Manage Financial Disclosure Email Reminders

Create an Organization Account to Streamline Disclosures

Upon publication, the MSRB will send an electronic confirmation to your email address. The email contains a complete listing of the submission and a link to view the submission on the EMMA website.

Part III: Other Features for Submitters

Modify a Submission

To modify a previously published submission, log in to EMMA Dataport and select the **Continuing Disclosure (Rule-based & Voluntary)** option as described in Parts 1 and 2.

The screenshot displays the EMMA Dataport user interface. At the top, there is a search bar with the placeholder text "What would you like to do today?". Below this, three main navigation buttons are visible: "Primary Market (Rule G-32)", "Continuing Disclosure (Rule-based & Voluntary)", and "Political Contributions (Rule G-37)". The "Continuing Disclosure (Rule-based & Voluntary)" button is highlighted with a red rectangular border. Below these buttons is an "Additional Options" section containing six categories of submissions, each with a brief description:

- 529 Savings Plans / ABLÉ Programs (Rule G-45)**: Submit plan descriptive information, assets and other data.
- SHORT Documents (Rule G-34)**: Submit ARS and VRDO documents.
- Issuer Voluntary Official Statements**: Submit official statement or related information to make a voluntary primary market submission.
- Preliminary Official Statement and Pre-Sale Documents**: Submit POS and related pre-sale documents.
- Voluntary Financial Information: Timing, GAAP Undertaking & URL**: Indicate the timing, accounting standard and URL for additional financial information.

1. If you have the Submission ID of the submission you wish to modify, click the **Modify Submission** button. Type the Submission ID and click the **Continue** button. Alternatively, if your submission appears on the “Recent Submissions” tab, you may select the **Modify** hyperlink by the submission you wish to edit.

Welcome JOHN DOE, G0000B | EMMA Help | Contact Us

EMMA[®]
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc. ▶
Advanced Search

Browse Issuers Tools and Resources Market Activity MyEMMA[®] EMMA Dataport

You are acting on behalf of: SAMPLE CO (G0000B)

Continuing Disclosure

Would you like to make a new continuing disclosure submission or modify an existing one?

Create New Submission **Modify Submission**

Enter Submission ID **Continue**

Recent Submissions Export Submission History

Most Recent Submissions up to One Year

Show 10 entries Search within list:


Submission Date	Disclosure Type	Submission ID	Submitted By	
03/22/2022	Audited Financial Statements or ACFR	U11161493	JDOE1	Modify View
03/22/2022	Audited Financial Statements or ACFR, Quarterly / Monthly Financial Information	U11161492	JDOE1	Modify View
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information	U11161491	JDOE1	Modify View
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information (Modified)	U11161490	JDOE1	Modify View

Showing 1 to 4 of 4 entries Previous 1 Next


- After beginning a modification, use the pencil icons to navigate to the section of the form requiring modification.

Continuing Disclosure - Financial/Operating Filing Resources


Which section would you like to modify?

Disclosure Categories 

Rule 15c2-12 Disclosure
Annual Financial Information and Operating Data for the year ended 12/02/2019

Document 

File	Period Date
CDSubmissionPreviewPage.pdf	12/05/2019

Associated Securities 

The following are associated with this continuing disclosure submission.

CUSIP-6	Issuer Name
99999B	FULLE NAME

Total CUSIPs associated with this submission: 1
The disclosure will be published for the following securities.

CUSIP-9	Issue Description	Dated Date	Maturity Date	Coupon (%)
99999BA18	FULL DESCRIPTION			

- Continue clicking **Next**, making any desired changes on each screen. The progress bar will indicate “Modification in Progress” until you publish the submission.

4. Select “View Current Modification Summary” to view details of the modification in the progress prior to publishing the submission.

Continuing Disclosure - Financial/Operating Filing Resources

This submission has not been published yet. Please review submission details before publishing.

[View Current Modification Summary](#)

Disclosure Categories ✎

Rule 15c2-12 Disclosure
Annual Financial Information and Operating Data: Annual Financial Information and Operating Data, for the year ended 09/23/2021

This submission has not been published yet. Please review submission details before publishing.

[View Current Modification Summary](#)

CURRENT MODIFICATION DETAILS

Modification	Details
CUSIP(s) removed	013122FR2 013122FS0 013122FT8 013122FU5 013122FV3 +Show more CUSIPs

Showing 1 to 1 of 1 entries

[Close](#)

ended 09/23/2021

Period Date
09/23/2021

Review Details of a Previously Modified Submission

For modified submissions, users can view the details of the original submission along with any subsequent modifications made.

1. Click “Modify” next to any submission with “(Modified)” listed in the title of the Disclosure Type.

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You are acting on behalf of: SAMPLE CO (G0000B)

Continuing Disclosure


Would you like to make a new continuing disclosure submission or modify an existing one?

Most Recent Submissions up to One Year


Show 10 entries Search within list:

Submission Date	Disclosure Type	Submission ID	Submitted By
03/22/2022	Audited Financial Statements or ACFR	U11161493	JDOE1
03/22/2022	Audited Financial Statements or ACFR, Quarterly / Monthly Financial Information	U11161492	JDOE1
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information	U11161491	JDOE1
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information (Modified)	U11161490	JDOE1


Showing 1 to 4 of 4 entries Previous Next




Create an Organization Account to Streamline Disclosures



Manage Groups of Securities and Disclosure Permissions



Manage Financial Disclosure Email Reminders



Access New Issue Calendar and Other Market Tools

- Jump to the specific section you would like to review and modify by clicking the pencil icon. If you would like to page through the entire submission form to view all potential modifications, click the first pencil icon in the Disclosure Categories section.

Continuing Disclosure - Asset-Backed Securities Filing Resources

Which section would you like to modify?

Disclosure Categories

Rule 15Ga-1 Disclosure
Annual Asset-Backed Securities Disclosure for the period from 09/03/2019 to 09/12/2019

Document

File	Period Date
Submission 2.pdf	07/08/2019

Associated Securities

The following are associated with this continuing disclosure submission.

CUSIP-6	Issuer Name
013122	ALBERTVILLE ALA

Total CUSIPs associated with this submission: 4
The disclosure will be published for the following securities.

CUSIP-9	Issue Description	Dated Date	Maturity Date	Coupon (%)
013122UC8	TAXABLE-WTS-SER D	08/23/2018	06/01/2019	
013122UE4	TAXABLE-WTS-SER D	08/23/2018	06/01/2021	
013122UF1	TAXABLE-WTS-SER D	08/23/2018	06/01/2022	
013122UG9	TAXABLE-WTS-SER D	08/23/2018	06/01/2023	

Submitter's Contact Information **Issuer's Contact Information** **Obligated Person's Contact Information**

SAMPLE CO
Name: JOHN DOE
Address: 123 MAIN STREET
City, State Zip: CITY, ST 12345
Phone Number: 1234567890 ext. 11
Email: jdoe1@dealerxyz.com

Exit

3. Click the **Details** link in the Submission Status bar to review details from the original submission, as well as any previously submitted modifications.

Submission Status: MODIFICATION IN PROGRESS Originally Published 07/08/2019; Last Modified 09/26/2019 [Details](#)

Continuing Disclosure - Asset-Backed Securities Filing Resources

What information about this disclosure do you want investors to see on EMMA website?

SUBMISSION DETAILS

ORIGINAL DETAILS
Filing Type: FINANCIAL/OPERATING FILING
Submission ID: Q3496992
Posted Date: 07/08/2019
Submitter ID: JDOE1
Category Type(s): Annual Financial Information and Operating Data

Modification History

Date/Time	Modification	Details	User ID
11/15/2019 01:57 PM	Document archived	PMO Status Report 20181210.pdf	JDOE1
	Document added	87. Email Reminders for Recurring Financial Disclo Preliminary Official Statement.pdf	
11/14/2019 04:22 PM	Document archived	Submission 2.pdf	JDOE1
	Document added	PMO Status Report 20181210.pdf	
09/26/2019 10:27 AM	Filing Type removed	Event Filing	JDOE1
	Filing Type added	Asset-Backed Securities Filing	

Close

Click the **Close** button after reviewing the details.

4. Continue clicking **Next** to review and make any desired changes on each screen. The progress bar will indicate “Modification in Progress” until you publish the submission.

5. Select “View Current Modification Summary” to view details of the modification you are in the process of making prior to publishing the submission. Otherwise, you may select Back to return to previous pages, **Exit** to discard your changes or **Publish** to proceed with modifying your submission.

Submission Status: MODIFICATION IN PROGRESS Originally Published 07/08/2019; Last Modified 09/26/2019 [Details](#)

Continuing Disclosure - Asset-Backed Securities Filing + Resources

This submission has not been published yet. Please review submission details before publishing.

[View Current Modification Summary](#)

Disclosure Categories ✎

Rule 15Ga-1 Disclosure
Annual Asset-Backed Securities Disclosure for the period from 09/03/2019 to 09/12/2019

Document ✎

File	Period Date
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013122UF1	TAXABLE-WTS-SER D	08/23/2018	06/01/2022	
013122UG9	TAXABLE-WTS-SER D	08/23/2018	06/01/2023	

Submitter's Contact Information **Issuer's Contact Information** **Obligated Person's Contact Information** ✎

SAMPLE CO
Name: JOHN DOE
Address: 123 MAIN STREET
City, State Zip: CITY, ST 12345
Phone Number: 123-456-7890 ext. 11
Email: jdoe1@dealeryz.com

Back
Publish
Exit

Archiving a File

File(s) cannot be deleted, however they may be archived to a separate section of the EMMA website. To archive a file, select the **file drawer icon** beside the name of the document you wish to archive. A pop-up confirmation message will ask you to confirm that you wish to move the file to the separate “Document Archive” area. The Document Archive is visible on the EMMA website under “Disclosure Documents” tab on the Securities Detail page.



Note that you may partially modify, but generally cannot fully delete, a submission that has been previously published.

At least one non-archived file must be uploaded to the submission to continue. Click the **Select Files** button or drag and drop one or more new PDF files to upload them to the submission.

The screenshot displays the EMMA submission interface for a "Continuing Disclosure - Financial/Operating Filing". At the top, the submission status is "MODIFICATION IN PROGRESS". Below this, the title "Continuing Disclosure - Financial/Operating Filing" is shown with a "Resources" link. A text input field asks "What file(s) would you like to submit?". Below the input field, a note states: "PDF files must be word-searchable by allowing the user to search for specific terms within the document through a search or similar find function." A dashed box contains a "select files" button and the text "or drag and drop files here". Below this, a table lists the uploaded files:

File Name	Upload Date	Actions
Annual Filing.pdf	uploaded 06/06/2019	[File Drawer Icon]

At the bottom of the interface, there are three buttons: "Back", "Next", and "Exit".

Schedule Email Reminders for Recurring Financial Disclosures

Scheduling email reminders can help ensure timely filing of annual and quarterly financial disclosures to EMMA. You may send email reminders for upcoming filing deadlines to multiple recipients who may have a role in preparing and filing financial disclosures.

1. To schedule an email reminder for recurring financial disclosures, log in to EMMA Dataport and click the button to **Manage Financial Disclosure Email Reminders**.

The screenshot displays the EMMA Dataport user interface. At the top, the EMMA logo is on the left, and the user is logged in as JOHN DOE, G0000B. A search bar is available on the right. The main navigation bar includes 'Browse Issuers', 'Tools and Resources', 'Market Activity', 'MyEMMA', and 'EMMA Dataport'. Below the navigation bar, the user is acting on behalf of SAMPLE CO (G0000B). The 'Continuing Disclosure' section offers options to 'Create New Submission' or 'Modify Submission'. A 'Recent Submissions' section shows a table of the most recent submissions up to one year. At the bottom, a row of four action buttons is shown, with the 'Manage Financial Disclosure Email Reminders' button highlighted by a red box.

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You are acting on behalf of: SAMPLE CO (G0000B)

Continuing Disclosure

Would you like to make a new continuing disclosure submission or modify an existing one?

Create New Submission Modify Submission

Recent Submissions Export Submission History

Most Recent Submissions up to One Year

Show 10 entries Search within list:

Submission Date	Disclosure Type	Submission ID	Submitted By	
03/22/2022	Audited Financial Statements or ACFR	U11161493	JDOE1	Modify View
03/22/2022	Audited Financial Statements or ACFR, Quarterly / Monthly Financial Information	U11161492	JDOE1	Modify View
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information	U11161491	JDOE1	Modify View
03/22/2022	Annual Financial Information and Operating Data, Quarterly / Monthly Financial Information (Modified)	U11161490	JDOE1	Modify View

Showing 1 to 4 of 4 entries Previous 1 Next

Create an Organization Account to Streamline Disclosures

Manage Groups of Securities and Disclosure Permissions

Manage Financial Disclosure Email Reminders


Access New Issue Calendar and Other Market Tools

You can also access email reminders from the submission confirmation screen.


2. The Financial Disclosure Email Reminders screen appears. Click the **Create Reminder** button to access the scheduling form.

EMMA Dataport – Financial Disclosure Email Reminders


Disclosure Type	Description	Filing Due Date	Repeat
No email reminders exist.			


Create Reminder
Exit

The following screen appears:

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Advanced Search

[Browse Issuers](#) [Tools and Resources](#) [Market Activity](#) [MyEMMA](#) **EMMA Dataport**

EMMA Dataport – Financial Disclosure Email Reminders

Provide the following information to schedule an email reminder for a particular recurring financial or other disclosure. All fields are required. [Click here](#) for more information about scheduling and managing email reminders.

Default Recipient: testengineers@msrb.org
 + Add additional recipients (include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

Disclosure Type: Annual Financial Information and Operating Data
 Audited Financial Statements or ACFR
 Asset-Backed Securities
 Other (e.g. quarterly financials, annual budget)

Filing Due Date:

Send email: days before filing due date (enter number of calendar days)

Repeat: Yearly
 Quarterly
 Never

Description:

Create Reminder
Cancel
Exit

The default email address is the one associated with your MSRB Gateway account. Additional recipient email addresses can be added by entering them in the box.

Provide the following information to schedule an email reminder for a particular recurring financial or other disclosure. All fields are required. [Click here](#) for more information about scheduling and managing email reminders.

Default Recipient:

[+ Add additional recipients](#) (include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

3. Select the type of financial disclosure for which you wish to receive an email reminder. If you select the **Other** option, you can provide notes about the type of disclosure in the description section of the form.

EMMA Dataport – Financial Disclosure Email Reminders

Provide the following information to schedule an email reminder for a particular recurring financial or other disclosure. All fields are required. [Click here](#) for more information about scheduling and managing email reminders.

Default Recipient: testengineers@msrb.org

[+ Add additional recipients](#) (include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

Disclosure Type:

- Annual Financial Information and Operating Data
- Audited Financial Statements or ACFR
- Asset-Backed Securities
- Other (e.g. quarterly financials, annual budget)

4. Specify the filing due date of the submission.

Filing Due Date:

Send email: (number of calendar days)

Repeat:

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

Description:

5. Indicate when you wish to receive the email reminder by entering the number of days prior to the due date. You will also receive an additional reminder one calendar day before the filing due date.

EMMA Dataport – Financial Disclosure Email Reminders

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Default Recipient: testengineers@msrb.org
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Disclosure Type: Annual Financial Information and Operating Data
 Audited Financial Statements or ACFR
 Asset-Backed Securities
 Other (e.g. quarterly financials, annual budget)

Filing Due Date:

Send email: days before filing due date (enter number of calendar days)

6. Select the frequency for a recurring submission from the **Repeat** options.

Repeat: Yearly
 Quarterly 
 Never

7. The description section allows for entry of details about the filing that may assist with identification of the recurring submission (for example, enter the issue description or the document name).

Description: Provide details about the filing to assist with the recurring submission (e.g. issue description, document name).

Once you have completed all the fields, click the **Create Reminder** button.

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Provide the following information to schedule an email reminder for a particular recurring financial or other disclosure. All fields are required. [Click here](#) for more information about scheduling and managing email reminders.

Default Recipient: testengineers@msrb.org
+ Add additional recipients (include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

Disclosure Type: Annual Financial Information and Operating Data
 Audited Financial Statements or ACFR
 Asset-Backed Securities
 Other (e.g. quarterly financials, annual budget)

Filing Due Date: 03/22/2022

Send email: 30 days before filing due date (enter number of calendar days)

Repeat: Yearly
 Quarterly
 Never

Description: Financial reminder example

Create Reminder **Cancel** **Exit**

The reminder appears on the **Financial Disclosure Email Reminder** screen.

EMMA Dataport – Financial Disclosure Email Reminders

Disclosure Type	Description	Filing Due Date	Repeat	
Annual Financial	Financial reminder example	3/22/2022	Quarterly	edit delete

Create Reminder **Exit**

All designated email recipients will receive emails on the specified date and one day prior to the filing due date.

Manage Email Reminders

1. To make changes to the scheduled reminder, click the **Edit** link. The reminder screen appears containing all the information you previously entered.

EMMA Dataport – Financial Disclosure Email Reminders

Disclosure Type	Description	Filing Due Date	Repeat	
Annual Financial	Financial reminder example	3/22/2022	Quarterly	edit delete

2. Make the necessary changes and then click the **Update Reminder** button.

EMMA Dataport – Financial Disclosure Email Reminders

Provide the following information to schedule an email reminder for a particular recurring financial or other disclosure. All fields are required. [Click here](#) for more information about scheduling and managing email reminders.

Default Recipient: testengineers@mrsb.org
 + Add additional recipients (include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

Disclosure Type: Annual Financial Information and Operating Data
 Audited Financial Statements or ACFR
 Asset-Backed Securities
 Other (e.g. quarterly financials, annual budget)

Filing Due Date: 03/22/2022

Send email: 11 days before filing due date (enter number of calendar days)

Repeat: Yearly
 Quarterly
 Never

Description: Financial reminder example

- To delete the reminder, click the **Delete** option on the right side of the reminder

EMMA Dataport – Financial Disclosure Email Reminders

Disclosure Type	Description	Filing Due Date	Repeat	
Annual Financial	Financial reminder example	6/26/2019	Quarterly	edit delete

Create Reminder Exit

- click **Yes** when the confirmation screen appears.

Are you sure you want to delete?

Yes No