



The Official Source for Municipal Disclosures and Market Data

# EMMA Dataport Manual for Continuing Disclosure Submissions

Version 2.7

## 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.

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<b>Version</b>	<b>Date</b>	<b>Description of Changes</b>
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 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.

## Resources and Support

### Online

MSRB Website: [msrb.org](https://msrb.org)

EMMA Website: [emma.msrb.org](https://emma.msrb.org)

### MSRB Support

Tel: 202-838-1330

Email: [MSRBsupport@msrb.org](mailto:MSRBsupport@msrb.org)

Live Support: 7:30 a.m. - 6:30 p.m. ET

Email Support: 7:00 a.m. – 7:00 p.m. ET

### Municipal Securities Rulemaking Board

1300 I Street NW, Suite 1000

Washington, DC 20005

Tel: 202-838-1500

Fax: 202-898-1500

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## Introduction

The Municipal Securities Rulemaking Board (MSRB) protects investors, state and local governments and other municipal entities, and the public interest by promoting a fair and efficient municipal securities market. The MSRB fulfills this mission by regulating the municipal securities firms, banks and municipal advisors that engage in municipal securities and advisory activities. To further protect market participants, the MSRB provides market transparency through its [Electronic Municipal Market Access \(EMMA®\) website](#), the official repository for information on virtually all municipal bonds. EMMA provides free public access to official disclosures, trade data, credit ratings, educational materials and other information about the municipal securities market. The MSRB also serves as an objective resource on the municipal market, conducts extensive education and outreach to market stakeholders, and provides market leadership on key issues. The MSRB is a Congressionally-chartered, self-regulatory organization governed by a 21-member board of directors that has a majority of public members, in addition to representatives of regulated entities. The MSRB is subject to oversight by the U.S. Securities and Exchange Commission (SEC).

The EMMA Continuing Disclosure Service receives submissions of continuing disclosure documents, together with related indexing information, to allow the public to readily identify and access such documents from issuers, obligated persons and their agents pursuant to continuing disclosure undertakings with SEC Rules 15c2-12 and 15Ga-1.

This manual is for use by issuers, obligated persons, dealers, municipal advisors or staff of any other organization submitting to the EMMA Continuing Disclosure Service via the EMMA Dataport web user interface.

The EMMA Continuing Disclosure Service is an automated computer-to-computer interface for submission of continuing disclosure documents and related indexing information as an alternative to the Internet-based process described in this manual. 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.

Submissions may be made at no charge to the submitter through a choice of an Internet-based electronic submission interface or electronic computer-to-computer streaming connections. The Continuing Disclosure Subscription Service makes a real-time feed of continuing disclosures available by subscription for a fee.

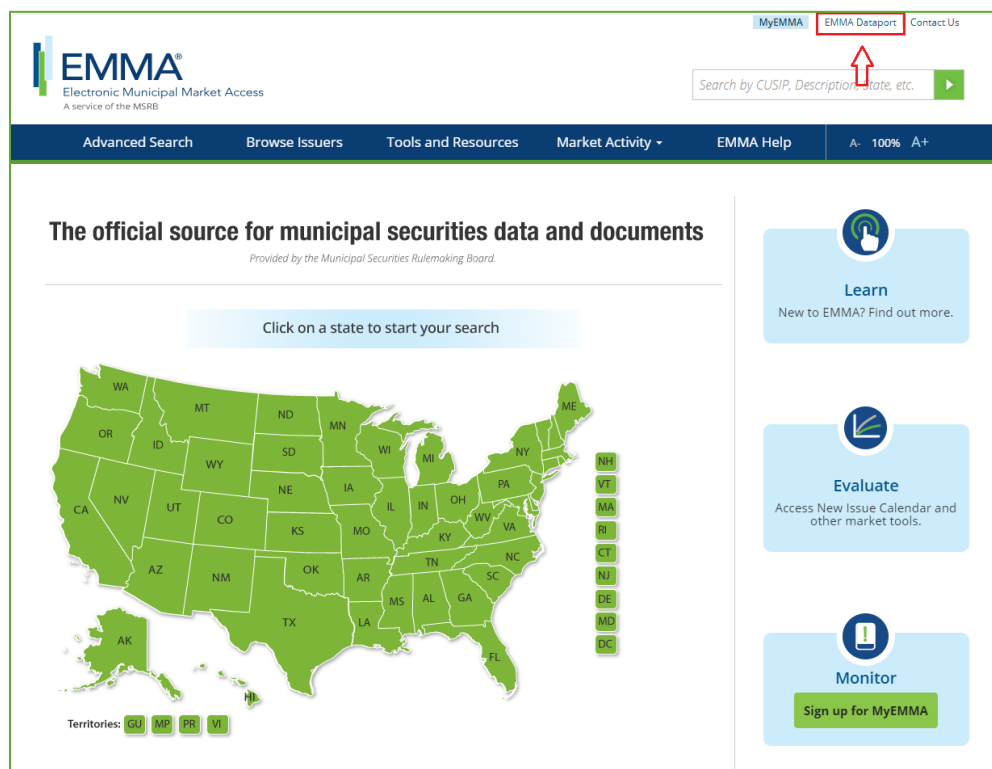
A Gateway account is required to make submissions to EMMA. See the [Gateway User Manual for Issuers, Obligated Persons and Agents](#) for guidance on how to create and manage a user account.

## Part 1: Access EMMA Dataport

Logging in to EMMA to make a continuing disclosure submission can be done from the EMMA homepage at <http://emma.msrb.org> or MSRB.org.

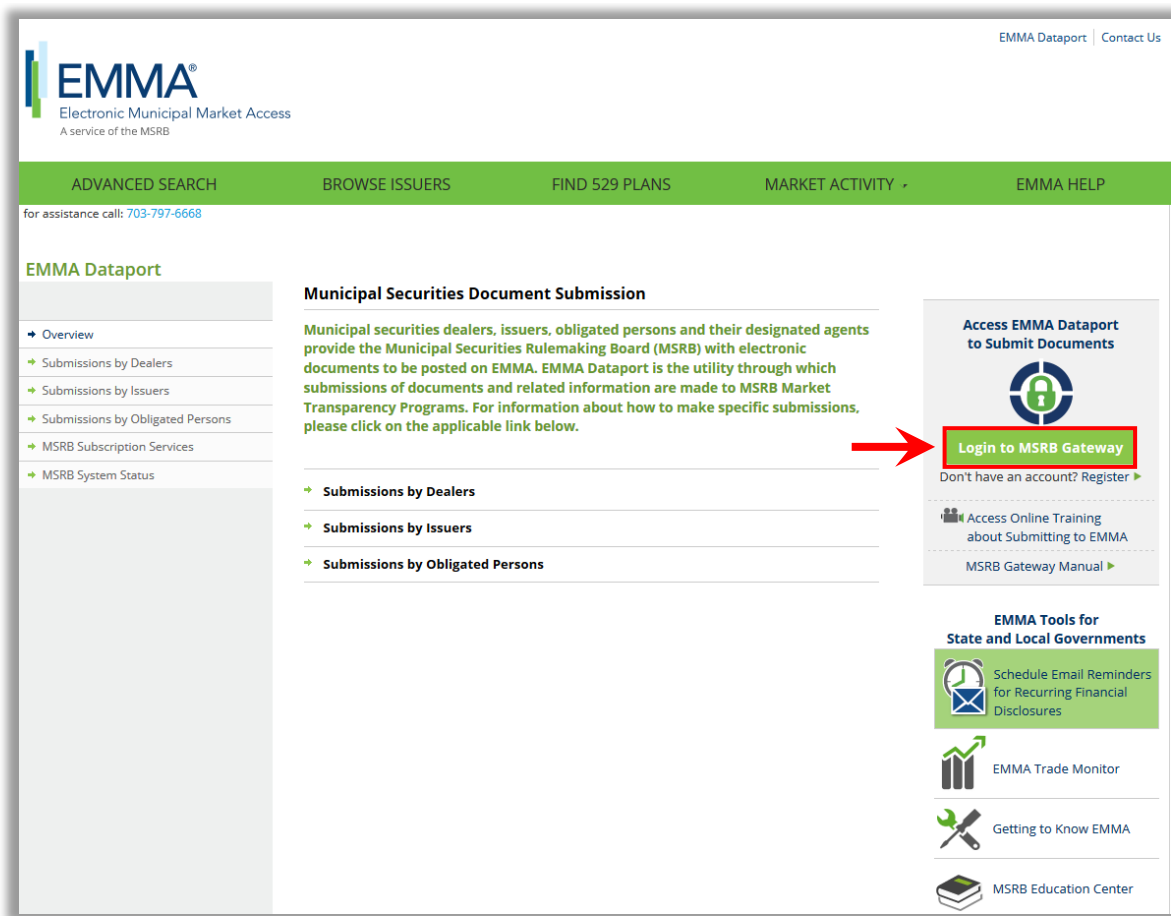
### Log in from the EMMA Homepage

From the EMMA homepage at <http://emma.msrb.org>, click the **EMMA Dataport** link at the top of the page.



The screenshot shows the EMMA homepage. At the top right, there are links for "MyEMMA", "EMMA Dataport" (highlighted with a red box and an arrow), and "Contact Us". Below these is a search bar with the placeholder text "Search by CUSIP, Description, State, etc." and a search button. A navigation bar contains links for "Advanced Search", "Browse Issuers", "Tools and Resources", "Market Activity", "EMMA Help", and a zoom control "A- 100% A+". The main content area features the EMMA logo and tagline "Electronic Municipal Market Access A service of the MSRB". Below this is the heading "The official source for municipal securities data and documents" with the subtext "Provided by the Municipal Securities Rulemaking Board." A map of the United States is displayed with the instruction "Click on a state to start your search". To the right of the map is a vertical list of state abbreviations: NH, VT, MA, RI, CT, NJ, DE, MD, DC. Below the map are "Territories: GU, MP, PR, VI". On the right side of the page, there are three blue call-to-action boxes: "Learn" (New to EMMA? Find out more.), "Evaluate" (Access New Issue Calendar and other market tools.), and "Monitor" (Sign up for MyEMMA).

Then click the **Login to MSRB Gateway** button.





## Log in from the MSRB Home Page

From the MSRB homepage at [www.msrb.org](http://www.msrb.org), click **LOGIN**.

The screenshot shows the MSRB homepage with the following elements:

- Header: MSRB Municipal Securities Rulemaking Board. Navigation links: ABOUT MSRB | EMMA® | MUNIEDPRO® | **LOGIN** | REGISTER | CAREERS.
- Search bar: A search input field with a magnifying glass icon.
- Menu: Rules and Guidance | Compliance Center | Transparency | Education Center | Policy and Analysis | News and Events.
- Main Content: A large banner for "Milestones in Transparency" with a sub-header "We recently modernized our trade reporting system to improve data quality and prevent service disruptions. other Read more on our market transparency milestones." Below this are four tiles:
  - MARKET EDUCATION: The MSRB provides a suite of interactive, online courses designed specifically for municipal market participants.
  - ABOUT THE MSRB: Represented by a play button icon.
  - MSRB RULES: Represented by a gavel icon.
  - VISIT THE EMMA WEBSITE: Celebrating EMMA 10 YEARS, Providing Market Transparency Since 2008.

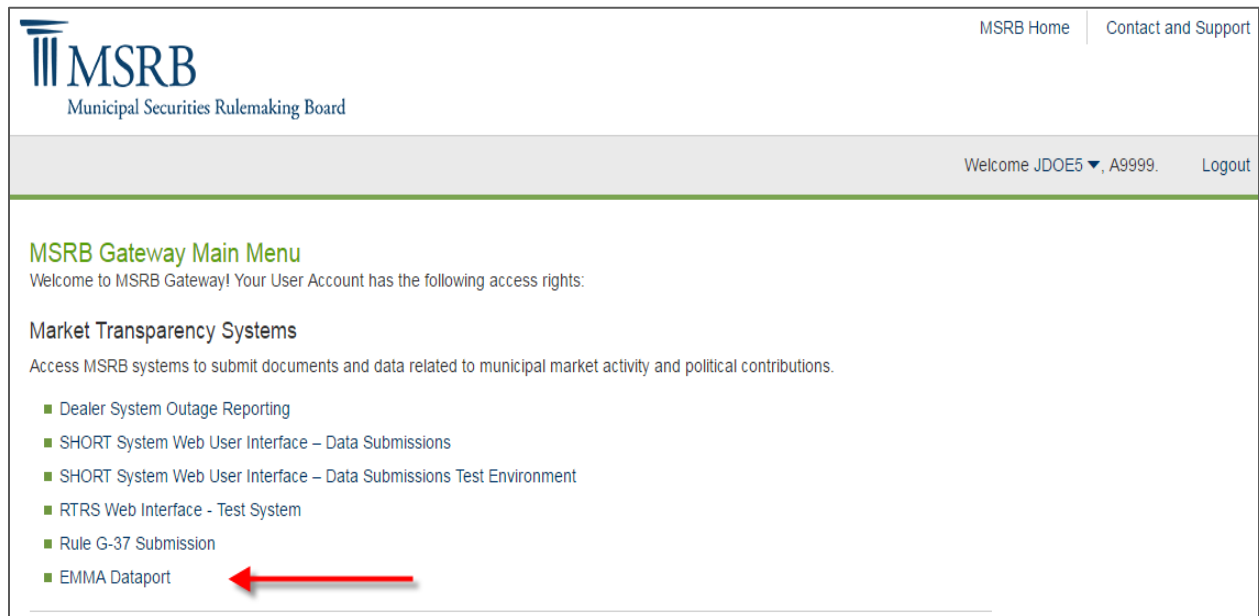
## Log in to MSRB Gateway

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

The screenshot shows the MSRB Gateway login page with the following elements:

- Header: MSRB Municipal Securities Rulemaking Board. Navigation links: MSRB Home | Contact and Support.
- Main Content: A "Log into MSRB Gateway" section with a lock icon, a "User ID" input field, a "Password" input field, and a "Forgot password?" link. A blue "Login" button is highlighted with a red box and an arrow pointing to it. Below the button is a link: "Don't have an account? Register".
- Right Column: Welcome message: "Welcome to MSRB Gateway, the secure access point for all MSRB applications including EMMA. Click [here](#) for guidance on user account management and information about the MSRB Gateway." Below this is a return instruction: "To return to MSRB.org from within the MSRB Gateway application, click on the MSRB Home link at the top right corner of the page." Further down is a troubleshooting link: "If you are experiencing login or other system related problems, please check the [Systems Status Page](#) for more information. If you need additional help, please contact the MSRB via email at [GatewaySupport@msrb.org](mailto:GatewaySupport@msrb.org) or by phone at 202-838-1330." At the bottom of the right column is a link: "Access Online Training about Submitting to EMMA".
- Footer: "The MSRB recommends not bookmarking this page."

From the MSRB Gateway Main Menu, click **EMMA Dataport**. The EMMA Dataport Submission Screen appears.



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 logo, a grey bar contains the text "Welcome JDOE5 ▼, A9999." 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", there is a description: "Access MSRB systems to submit documents and data related to municipal market activity and political contributions." A list of six options follows, each preceded by a small green square icon. The last option, "EMMA Dataport", is highlighted with a red arrow pointing to it from the right.

MSRB Home | Contact and Support

MSRB  
Municipal Securities Rulemaking Board

Welcome JDOE5 ▼, A9999. Logout

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

**Market Transparency Systems**  
Access MSRB systems to submit documents and data related to municipal market activity and political contributions.

- Dealer System Outage Reporting
- SHORT System Web User Interface – Data Submissions
- SHORT System Web User Interface – Data Submissions Test Environment
- RTRS Web Interface - Test System
- Rule G-37 Submission
- EMMA Dataport

## Part 2: Make a Continuing Disclosure Submission

The EMMA Dataport Submission Portal displays tabs which represent the submission types you can make to EMMA. Click the **Continuing Disclosure** tab.

The most recent submissions are displayed on below the create and update button. The submissions can be amended by any user in the organization.

Click the **Create** button to start a submission.

EMMA Dataport | MSRB Gateway | Contact | Logout

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Electronic Municipal Market Access  
A service of the MSRB

for assistance call: 202-838-1330

EMMA Dataport Submission Portal

MSRB GATEWAY

You are currently acting on behalf of: SAMPLE CO

Continuing Disclosure (Rule-based & Voluntary) | Issuer Homepage | Issuer Voluntary Official Statement


Select Organization: SAMPLE CO (G0000C) ▼

Continuing Disclosure Submission **CREATE** UPDATE

Most Recent Submissions up to One Year

Submission Date ▼	Disclosure Type	Submission ID	User ID
10/24/2018	Initial Asset-Backed Securities Disclosure	U1806099	JDOE2
10/19/2018	Financial Obligation - Event Reflecting Financial Difficulties	U1806098	JDOE2
10/19/2018	Financial Obligation - Incurrence or Agreement	U1806097	JDOE2

To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents.  
Manage groups of issues and securities.

 Schedule and manage email reminders for recurring financial disclosures

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

EMMA Dataport | MSRB Gateway | Contact | Logout

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**EMMA Dataport - Continuing Disclosure Submission** **MSRB GATEWAY**

Submission Status: Not Published You are currently acting on behalf of: SAMPLE CO

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

**Select Type of Continuing Disclosure Submission** [Submitting Continuing Disclosures](#)

**FINANCIAL/OPERATING FILING**  
Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other financial or operating information.

**EVENT FILING**  
Submit notice of an event specified under SEC Rule 15c2-12(b)(5)(i)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.

**ASSET-BACKED SECURITIES FILING**  
Submit disclosure documents for asset-backed securities under SEC Rule 15Ga-1.

## Submit a Financial/Operating Filing

To submit a financial/operating filing, select **Financial/Operating Filing**, then click the **Next** button.

EMMA Dataport | MSRB Gateway | Contact | Logout

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for assistance call: 202-838-1330

**EMMA Dataport - Continuing Disclosure Submission** **MSRB GATEWAY**

Submission Status: Not Published


You are currently acting on behalf of: SAMPLE CO

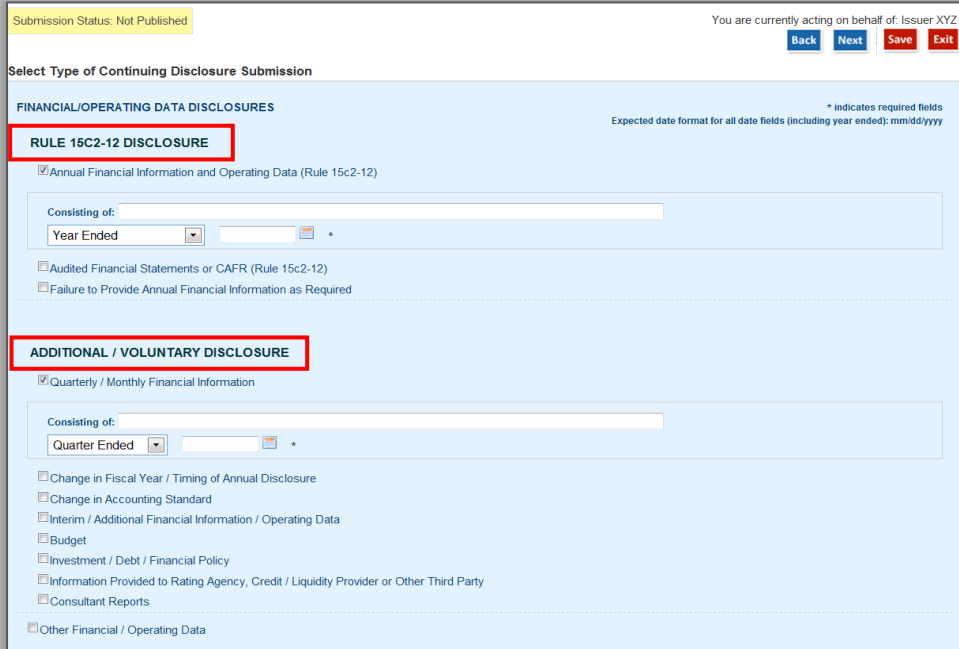
[Next](#) [Save](#) [Exit](#)

**Select Type of Continuing Disclosure Submission** [Submitting Continuing Disclosures](#)

- FINANCIAL/OPERATING FILING**  
Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other financial or operating information.
- EVENT FILING**  
Submit notice of an event specified under SEC Rule 15c2-12(b)(5)(i)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.
- ASSET-BACKED SECURITIES FILING**  
Submit disclosure documents for asset-backed securities under SEC Rule 15Ga-1.

To proceed, select the disclosure type, as shown below.

 You may select multiple types of disclosures. An annual or periodic filing may be made pursuant to Securities and Exchange Commission (SEC) Rule 15c2-12 or it may be made voluntarily.



Submission Status: Not Published

You are currently acting on behalf of: Issuer XYZ

Back Next Save Exit

Select Type of Continuing Disclosure Submission

FINANCIAL/OPERATING DATA DISCLOSURES

\* Indicates required fields  
Expected date format for all date fields (including year ended): mm/dd/yyyy

**RULE 15C2-12 DISCLOSURE**

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

Consisting of:

Year Ended

Audited Financial Statements or CAFR (Rule 15c2-12)

Failure to Provide Annual Financial Information as Required

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**ADDITIONAL / VOLUNTARY DISCLOSURE**

Quarterly / Monthly Financial Information

Consisting of:

Quarter Ended

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

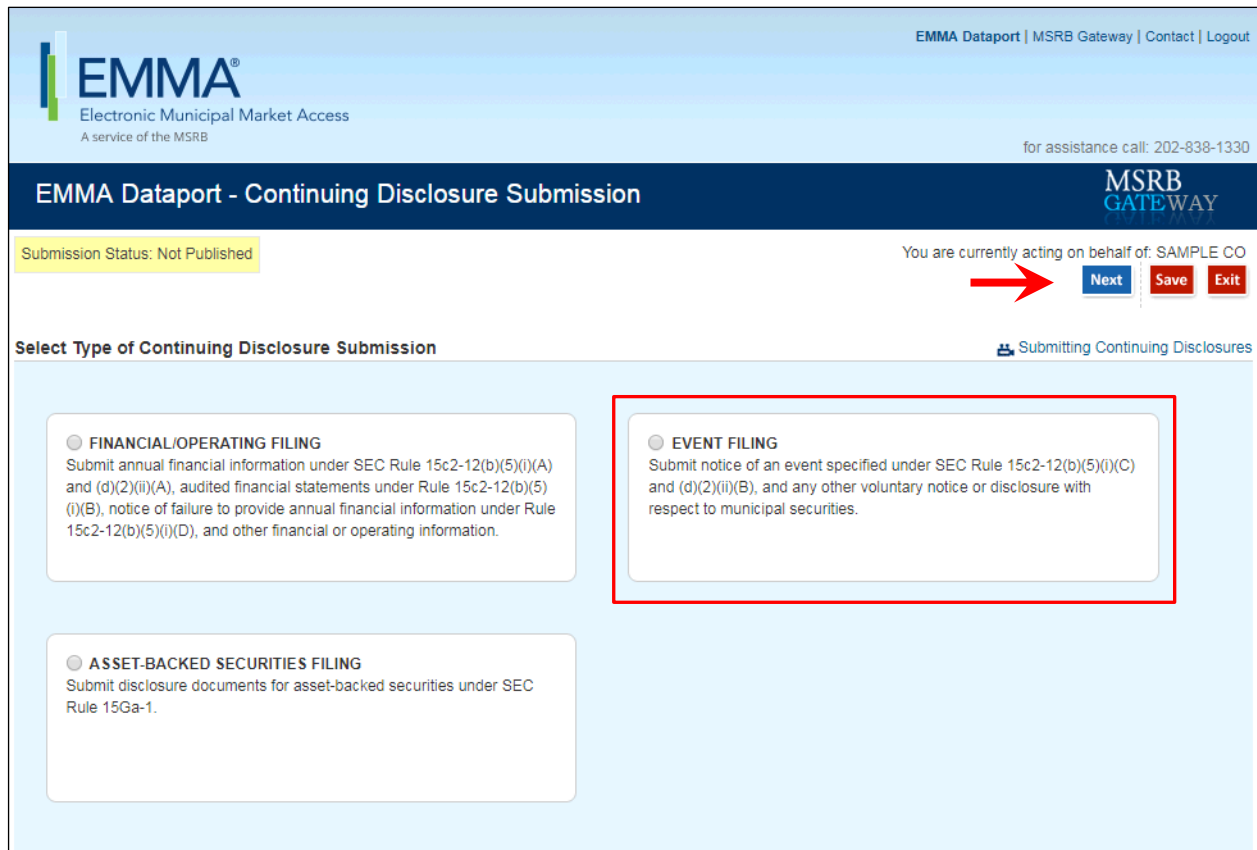
Enter the document title or other brief descriptive information in the **Consisting of** text box to provide additional details about the contents of the disclosure(s).

Next, enter the period covered by the disclosure in the date field. You may type the date or select a date from the calendar next to the date field. Both the text and date fields will appear on the EMMA website in connection with the uploaded document.

Next, associate the CUSIPs to the disclosure as described in the Associating CUSIPs to the Disclosure section.

## Submit an Event Filing

To submit an event filing, select **Event Filing**. Click the **Next** button.



EMMA Dataport | MSRB Gateway | Contact | Logout

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for assistance call: 202-838-1330

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: SAMPLE CO

**Next** **Save** **Exit**

Select Type of Continuing Disclosure Submission

Submitting Continuing Disclosures

**FINANCIAL/OPERATING FILING**  
Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other financial or operating information.

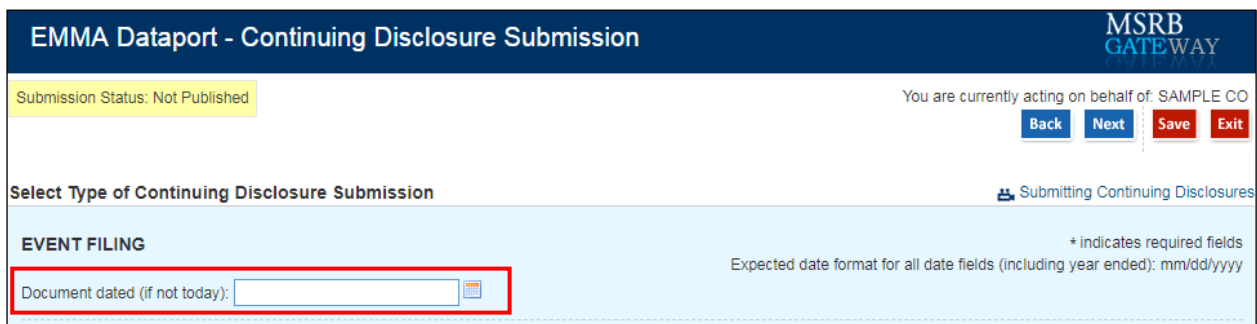
**EVENT FILING**  
Submit notice of an event specified under SEC Rule 15c2-12(b)(5)(i)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.

**ASSET-BACKED SECURITIES FILING**  
Submit disclosure documents for asset-backed securities under SEC Rule 15Ga-1.

Enter the date of the document if not today's date and then select the event type.



If the document date is the date of submission, EMMA defaults to the current date.



EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: SAMPLE CO

**Back** **Next** **Save** **Exit**

Select Type of Continuing Disclosure Submission

Submitting Continuing Disclosures

**EVENT FILING**


\* indicates required fields  
Expected date format for all date fields (including year ended): mm/dd/yyyy

Document dated (if not today):



Select the event type 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.



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for assistance call: 202-838-1330

**EMMA Dataport - Continuing Disclosure Submission**


Submission Status: Not Published

You are currently acting on behalf of: SAMPLE CO

Back
Next
Save
Exit

**Select Type of Continuing Disclosure Submission** Submitting Continuing Disclosures

---

**EVENT FILING** \* indicates required fields

Expected date format for all date fields (including year ended): mm/dd/yyyy

Document dated (if not today):

---

**Rule 15c2-12 Disclosure**  
(Check all that apply)

Principal / Interest Payment Delinquency

Description:

Non-payment Related Default

Unscheduled Draw on Debt Service Reserve Reflecting Financial Difficulties

Unscheduled Draw on Credit Enhancement Reflecting Financial Difficulties

Substitution of Credit or Liquidity Provider, or Its Failure to Perform

Adverse Tax Opinion or Event Affecting the Tax-exempt Status of the Security

Modification to the Rights of Security Holders

Bond Call

Defeasance

Release, Substitution or Sale of Property Securing Repayment of the Security

Rating Change

Failure to Provide Event Filing Information as Required

Tender Offer / Secondary Market Purchases

Merger / Consolidation / Acquisition and Sale of All or Substantially All Assets

Bankruptcy, Insolvency, Receivership or Similar Event

Successor, Additional or Change in Trustee

Financial Obligation - Incurrence or Agreement

Financial Obligation - Event Reflecting Financial Difficulties

**Additional / Voluntary Disclosure**

Amendment to Continuing Disclosure Undertaking

Change in Obligated Person

Notice to Investor Pursuant to Bond Documents

Communication From the Internal Revenue Service

Bid For Auction Rate or Other Securities

Capital or Other Financing Plan

Litigation / Enforcement Action

Change of Tender Agent, Remarketing Agent or Other On-going Party

Derivative or Other Similar Transaction

Other Event-based Disclosures

Once a selection is made, you are prompted to provide a brief description of the event disclosure being submitted.

**Principal / Interest Payment Delinquency**

Description:

Municipal Securities Rulemaking Board 16



For two of the events, Financial Obligation – Incurrence and Agreement and Financial Obligation – Event Reflecting Financial Difficulties, additional indexing information is required. When submitting a disclosure relating to **Financial Obligation – Incurrence and Agreement**, submitters must indicate some information about the type of Financial Obligation.

The screenshot shows a form titled "Financial Obligation - Incurrence or Agreement" with a checked checkbox. It includes a "Description:" text box with an asterisk, an "As of:" date picker with an asterisk, and a "Type of Obligation (Select one)\*" section with three radio button options: "Debt Obligation", "Guarantee", and "Derivative Instrument".

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.

The screenshot shows a form titled "Financial Obligation - Event Reflecting Financial Difficulties" with a checked checkbox. It includes a "Description:" text box with an asterisk, an "As of:" date picker with an asterisk, and a "Type of Event (Select all that apply)\*" section with five checkbox options: "Default", "Event of Acceleration", "Termination Event", "Modification of Terms", and "Other".

Next, associate the CUSIPs to the disclosure as described in the Associating CUSIPs to the Disclosure section.

## Submit an Asset-Backed Securities Filing

Under Rule 15Ga-1 of the Securities Exchange Act, municipal securitizers of asset-backed securities are required to disclose fulfilled and unfulfilled repurchase requests across all trusts aggregated by an issuer, so that investors may identify asset originators with clear underwriting deficiencies. Rule 15Ga-1 requires certain municipal securitizers to make an initial filing of the demand, repurchase and replacement history of asset-backed securities offerings for the three years ended December 31, 2014, through the MSRB's [EMMA](#) system or the SEC's Electronic Data Gathering, Analysis, and Retrieval system (EDGAR) by February 14, 2015. After the initial disclosure filing, municipal securitizers are to submit the disclosures required by Rule 15Ga-1 on an ongoing basis. [Read more about SEC Rule 15Ga-1.](#)

To make an asset-backed securities filing, select the **Asset-Backed Securities Filing** option then click the **Next** button.

The screenshot displays the EMMA Dataport interface for a Continuing Disclosure Submission. At the top, the EMMA logo is visible, along with navigation links for EMMA Dataport, MSRB Gateway, Contact, and Logout. The user is identified as acting on behalf of SAMPLE CO. The submission status is 'Not Published'. Three filing options are presented:

- FINANCIAL/OPERATING FILING**: Submit annual financial information under SEC Rule 15c2-12(b)(5)(i)(A) and (d)(2)(ii)(A), audited financial statements under Rule 15c2-12(b)(5)(i)(B), notice of failure to provide annual financial information under Rule 15c2-12(b)(5)(i)(D), and other financial or operating information.
- EVENT FILING**: Submit notice of an event specified under SEC Rule 15c2-12(b)(5)(i)(C) and (d)(2)(ii)(B), and any other voluntary notice or disclosure with respect to municipal securities.
- ASSET-BACKED SECURITIES FILING**: Submit disclosure documents for asset-backed securities under SEC Rule 15Ga-1. This option is highlighted with a red box.

At the bottom right, there are buttons for 'Next', 'Save', and 'Exit'. A red arrow points to the 'Next' button.

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

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB

Back Next Save Exit

Select Type of Continuing Disclosure Submission [Submitting Continuing Disclosures](#)

ASSET-BACKED SECURITIES FILING \* indicates required fields  
Expected date format for all date fields (including year ended): mm/dd/yyyy

**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))

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.

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB

Back Next Save Exit

Select Type of Continuing Disclosure Submission [Submitting Continuing Disclosures](#)

ASSET-BACKED SECURITIES FILING \* indicates required fields  
Expected date format for all date fields (including year ended): mm/dd/yyyy

**RULE 15GA-1 DISCLOSURE**

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

Disclosure Description Initial Rule 15Ga-1 Filing

For the period from [ ] to [ ]

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))

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

Next, associate the CUSIPs to the disclosure as described in the Associating CUSIPs to the Disclosure section.

## Associate Issues or CUSIPs to the Disclosure

The correct CUSIPs are needed to make a continuing disclosure submission and can be identified using one of the following methods:


- **CUSIP-9 Based:** I know my CUSIP-9s, I don't know my CUSIP-9s;
- **Non-CUSIP-9 Based:** Commercial Paper, Ineligible for CUSIP, 529 Savings Plan/ABLE Program, and Other Municipal Fund Security.



These paths cannot be combined in one submission.

## I Know My CUSIP-9s

If you know the CUSIP-9s, you may enter or copy and paste individual CUSIPs from another file in the **ADD CUSIP-9s** section. If you have previously set up a group, select the CUSIPs from the **Existing Groups** section. CUSIP-6 may also be entered to add all associated CUSIP-9s.

 The copy-and-paste functionality includes delimiters to separate securities, including but not limited to semicolon, comma and enter. Up to 1,500 CUSIPs can be pasted in the ADD CUSIP 9s box at a time. For more than 1,500 CUSIPs, multiple uploads up to 15,000 CUSIPs are allowed for each submission.

Click the **Upload** button and the corresponding CUSIPs will appear on the right side of the screen in a list.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: Issuer XYZ

Back Next Save Exit

Associate Issues/Securities to the Disclosure

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012

Total CUSIPs Count: 3 [Remove All](#)

**CUSIP-9 BASED**

**[ - ] EXISTING GROUPS**

Groups can be created / edited in the 'Submission Control Dashboard'.

GROUP B (12 CUSIPs)

GROUP C (12 CUSIPs)

**Upload**

**[ - ] ADD CUSIP-9s**

**INSTRUCTIONS** Enter CUSIP-9s for securities. You may also enter CUSIP-6s for all associated CUSIP-9s.

**ADDING SECURITIES TO CONTINUING DISCLOSURE SUBMISSION**

Maximum of 15000 securities per submission

Securities uploaded via existing groups and the cut and paste securities utilities are combined in alphabetic sort order up to the maximum allowed per submission.

**Listing of all associated securities**

Displaying 3 securities

99999BA18  
99999BA26  
99999BA34

[Remove CUSIPs](#)

**Upload**

Verify that the CUSIPs listed are accurate. To remove a CUSIP-9, highlight the CUSIP(s) and click the **Remove CUSIPs** link below the list of CUSIPs.

Invalid CUSIPs will not populate in the list and will generate an error message that appears on the right-hand side of the screen.

## I Don't Know My CUSIP-9s

If you don't know your CUSIPs, you may enter a CUSIP-6 and select the underlying CUSIP-9s. If the CUSIP-6 is unknown, search for the CUSIP-6 using Issuer Name and/or State.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: Dealer XYZ

Back Next Save Exit

Associate Issues/Securities to the Disclosure

Submitting Continuing Disclosures

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 07/02/2013

Total CUSIPs Count: 0

**CUSIP-9 BASED**

SEARCH FOR CUSIP-6S

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6: 999999 Search

OR

Issuer Name: Issuer Name

State: VA

Search Clear

### CUSIP-6 Search Option:

Enter the CUSIP-6 and click the **Search** button. EMMA displays the issuer name corresponding to the CUSIP number, and all issues for which it has information.

Select the relevant CUSIP-6s from the search results, which associates them to the current submission or check the **Select all issues from issuer** box to associate all issues.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: Issuer XYZ

Back Next Save Exit

Associate Issues/Securities to the Disclosure

Submitting Continuing Disclosures

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012

Total CUSIPs Count: 0

**CUSIP-9 BASED**

SEARCH FOR CUSIP-6S

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6: OR

Issuer Name: State:

Search Clear

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.

CUSIP-6	State	Issuer Name
999998	VA	ISSUER NAME

**ISSUER NAME, VA (999998)**

Displaying 1 - 8 of 8 issues.

Total securities selected for this CUSIP-6: 0 Refresh Count

Select all issues for issuer:

Select Issue(s)	Issue Description	Dated Date	Maturity Dates	Official Statement
<input type="checkbox"/>	[+] Issue Description C	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description D	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description E	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description F	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description G	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description H	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description J	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description K	01/01/2010	12/31/2111	

To associate specific securities of an issue, click on the [+] icon next to the issue name. The securities identified by nine-digit CUSIP numbers appear in an expanded list beneath the issue. To collapse the list, click on the [-] icon.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: Issuer XYZ

Back Next Save Exit

Associate Issues/Securities to the Disclosure

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2.12) for the year ended 09/01/2012

Total CUSIPs Count: 0

CUSIP-9 BASED

SEARCH FOR CUSIP-6S

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  Search

OR

Issuer Name:

State:

Search Clear

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.

CUSIP-6 State Issuer Name

99999B VA ISSUER NAME x

99999A ISSUER NAME x

ISSUER NAME, (99999A)

Displaying 1 - 20 of 56 issues.

Total securities selected for this CUSIP-6: 0 Refresh Count

Select all issues for issuer:

Next Last

Issue Description	Dated Date	Maturity Dates	Official Statement
<input type="checkbox"/> [-] ISSUE DESCRIPTION	04/01/2012	2031 to 2031	
<input type="checkbox"/> Select CUSIP-9s	CUSIP	Maturity Date	Interest Rate (%)
<input type="checkbox"/>	99999AN32	01/01/2031	5.7
<input type="checkbox"/>	99999AN40	01/02/2031	6.5
<input type="checkbox"/>	99999AN57	01/03/2031	6.55
<input type="checkbox"/>	99999AN65	01/04/2031	6.7
<input type="checkbox"/>	99999AN73	01/05/2031	7.05
<input type="checkbox"/>	99999AN81	01/06/2031	7.15
<input type="checkbox"/>	99999AN99	01/07/2031	7.5
<input type="checkbox"/>	99999AP22	01/08/2031	7.5
<input type="checkbox"/>	Principal Amt (\$)		
<input type="checkbox"/>	430,000.00		
<input type="checkbox"/>	390,000.00		
<input type="checkbox"/>	270,000.00		
<input type="checkbox"/>	255,000.00		
<input type="checkbox"/>	345,000.00		
<input type="checkbox"/>	460,000.00		
<input type="checkbox"/>	325,000.00		
<input type="checkbox"/>	210,000.00		
<input type="checkbox"/> [+]	Security Description	04/01/2012	2031 to 2031

Select the relevant CUSIP-9s and then click the **Next** button.

### Issuer Name and/or State option:

Enter the Issuer Name and/or State and click the **Search** button. A list of issuers based on your search criteria appears. To narrow the search results, use a combination of Issuer Name and State. This feature facilitates finding the correct CUSIP numbers and applying them to the current submission.

Select the relevant CUSIP-6s from the search results to associate them with the current submission and then click the **Add Issuer** button.



EMMA Dataport - Continuing Disclosure Submission MSRB GATEWAY

Submission Status: Not Published You are currently acting on behalf of: Issuer XYZ

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

**Associate Issues/Securities to the Disclosure** [Submitting Continuing Disclosures](#)

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012  
Total CUSIPs Count: 0

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**  
Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  [Search](#)

OR

Issuer Name:

State:  [Search](#) [Clear](#)

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.  
CUSIP-6 State Issuer Name  
99999B VA ISSUER NAME x

**CUSIPs via CUSIP6s Search**  
Displaying 1 - 2 of 2 records.

[Add Issuer](#) [Cancel](#)

Select CUSIP-6	CUSIP-6	Issuer Name	State
<input checked="" type="checkbox"/>	99999A	ISSUER NAME	VA
<input type="checkbox"/>	99999B	ISSUER NAME	VA

The issues for the selected issuer appear on the screen.

To associate specific securities of an issue, click on the [+] icon next to the issue name. The securities, identified by nine-digit CUSIP numbers, appear in an expanded list beneath the issue. To collapse the list, click on the [-] icon.

EMMA Dataport - Continuing Disclosure Submission MSRB GATEWAY

Submission Status: Not Published You are currently acting on behalf of: Issuer XYZ

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

**Associate Issues/Securities to the Disclosure** [Submitting Continuing Disclosures](#)

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012  
Total CUSIPs Count: 0

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**  
Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  [Search](#)

OR

Issuer Name:

State:  [Search](#) [Clear](#)

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.  
CUSIP-6 State Issuer Name  
99999B VA ISSUER NAME x  
99999A VA ISSUER NAME x

**ISSUER NAME, (99999A)**  
Displaying 1 - 20 of 56 issues.  
Total securities selected for this CUSIP-6: 0 [Refresh Count](#)

Select all issues for issuer:

Next | Last

Select Issue(s)	Issue Description	Dated Date	Maturity Dates	Official Statement
<input type="checkbox"/>	[-] ISSUE DESCRIPTION	04/01/2012	2031 to 2031	
<input type="checkbox"/>	<b>+</b> Select CUSIP-9s			
<input type="checkbox"/>	99999AN32	01/01/2031	5.7	430,000.00
<input type="checkbox"/>	99999AN40	01/02/2031	6.5	390,000.00
<input type="checkbox"/>	99999AN57	01/03/2031	6.55	270,000.00
<input type="checkbox"/>	99999AN65	01/04/2031	6.7	255,000.00
<input type="checkbox"/>	99999AN73	01/05/2031	7.05	345,000.00
<input type="checkbox"/>	99999AN81	01/06/2031	7.15	460,000.00
<input type="checkbox"/>	99999AN99	01/07/2031	7.5	325,000.00
<input type="checkbox"/>	99999AP22	01/08/2031	7.5	210,000.00
<input type="checkbox"/>	<b>+</b> Security Description	04/01/2012	2031 to 2031	

Select the relevant CUSIP-9s and then click the **Next** button.

## Non-CUSIP-9 Based

For non-CUSIP-9 based submissions, select one of the following categories: Commercial Paper, Non-CUSIP, 529 College Savings Plan/ABLE Program or Other Municipal Fund Security. Once the selection is made, follow the on-screen instructions for associating the disclosure to the appropriate issue and/or security.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: MSRB

Back Next Save Exit

Associate Issues/Securities to the Disclosure [Submitting Continuing Disclosures](#)

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 06/30/2017

**SELECT ONE OF THE OPTIONS FOR ASSOCIATING ISSUES/SECURITIES**

**CUSIP-9 Based**  
([What is a CUSIP?](#))

I know my CUSIP-9s: Select to input individual CUSIP-9s or use existing Group(s)

I don't know my CUSIP-9s: Select to search for CUSIP-9s or to input a CUSIP-6

**Non-CUSIP-9 Based**

Commercial Paper (CUSIP-6 Based)

Ineligible for CUSIP Number Assignment

529 College Savings Plan

ABLE Program

Other Municipal Fund Security

## Associate Contacts to the Disclosure

A submitter may provide contact information of persons whom the public can ask for further information. After the issues or securities are selected, you are prompted to enter a new issuer contact, obligated person contact, or both.

EMMA Dataport - Continuing Disclosure Submission

Submission Status: Not Published

You are currently acting on behalf of: Issuer XYZ

Back Next Save Exit

Associate Contacts to the Disclosure (Contact information will be posted on EMMA)\* [Submitting Continuing Disclosures](#)

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012

Total CUSIPs associated with this submission: 2

**SUBMITTER'S CONTACT INFORMATION**

Company: Issuer XYZ

Name: BOB DOE

Address: 101 MAIN STREET

City, State Zip: CITY, ST 12345

Phone Number: 111-222-3333

Email: bdoe@issueryz.com

**ISSUER'S CONTACT INFORMATION** >> Enter New Contact

Select Contact

**OBLIGOR'S CONTACT INFORMATION** >> Enter New Contact

Select Contact

\*If no issuer/obligor's contact information is provided, then submitter information will be posted on EMMA.

You must enter the contact's name and either phone number or e-mail address. The drop-down menus also allow you to select from contacts that were previously associated with any one of the CUSIPs in the current submission. If you do not enter issuer or obligated person contact information, EMMA will display information about you as the submitter.

EMMA Dataport - Continuing Disclosure Submission MSRB GATEWAY

Submission Status: Not Published You are currently acting on behalf of Issuer XYZ

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

**Associate Contacts to the Disclosure (Contact information will be posted on EMMA)\*** [Submitting Continuing Disclosures](#)

Disclosure Type: Annual Financial Information and Operating Data (Rule 15c2-12) for the year ended 09/01/2012  
Total CUSIPs associated with this submission: 2

SUBMITTER'S CONTACT INFORMATION	ISSUER'S CONTACT INFORMATION	OBLIGOR'S CONTACT INFORMATION
Company: Issuer XYZ Name: BOB DOE Address: 101 MAIN STREET City, State Zip: CITY, ST 12345 Phone Number: 111-222-3333 Email: bdoe@issuerxyz.com	>> Select Existing Contact * denotes required fields † one of these fields is required Company: <input type="text"/> *First Name: <input type="text"/> *Last Name: <input type="text"/> Address: <input type="text"/> City: <input type="text"/> State: <input type="text"/> Zip Code: <input type="text"/> †Phone Number: <input type="text"/> Extension: <input type="text"/> †Email: <input type="text"/> >> Clear Contact Information	>> Enter New Contact Select Contact <input type="text"/>

\*If no issuer/obligor's contact information is provided, then submitter information will be posted on EMMA.

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

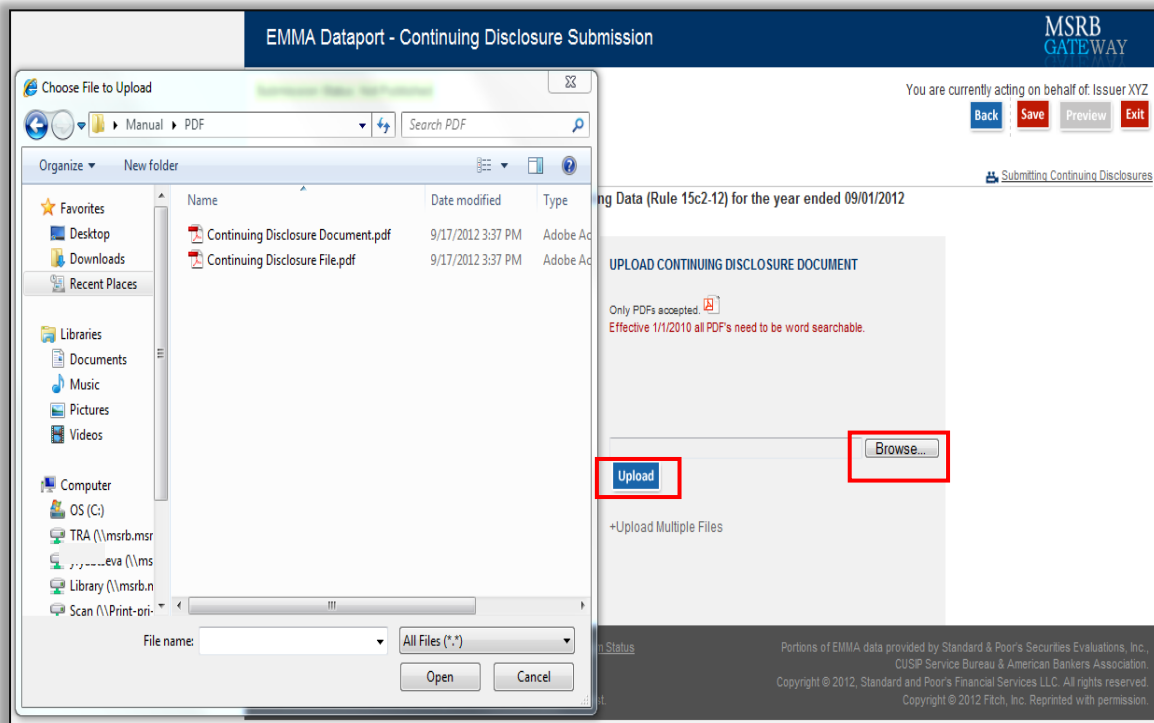
## Upload the Document

When your security and issue selections have been made, click the **Next** button. The document upload screen will appear.

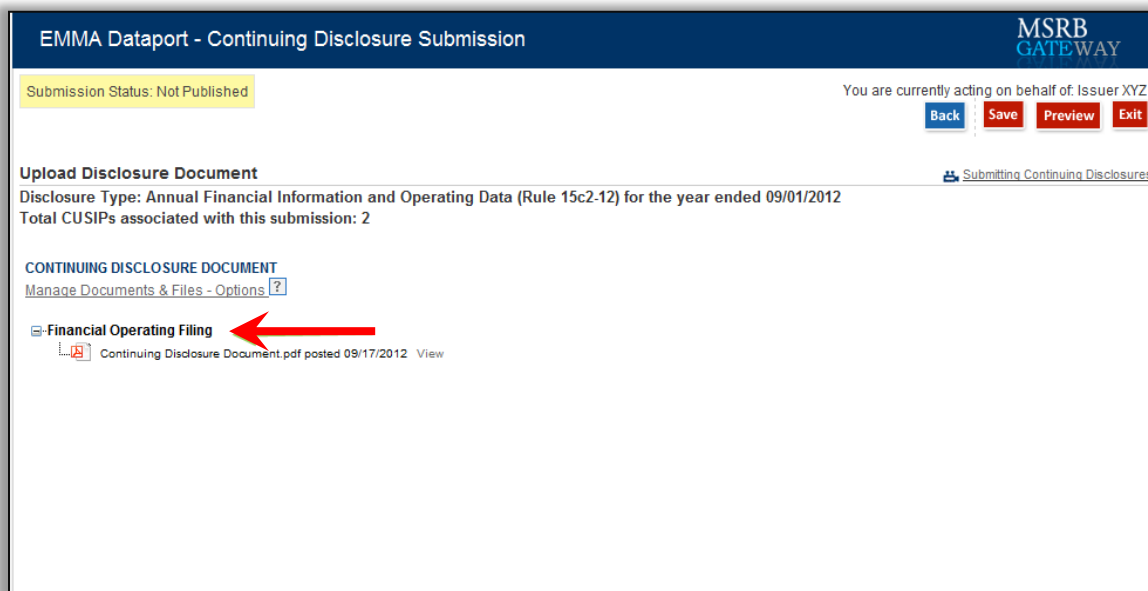
There are certain constraints on documents that can be uploaded to EMMA. Each continuing disclosure document must be a portable document format (PDF) file configured to be saved, viewed, printed and retransmitted by electronic means. The document must also be word-searchable, that is, allowing the user to search for specific terms used within the document through a search or find function available in most standard software packages.

Diagrams, images and other non-textual elements are not required to be word-searchable. If the submitted file is a reproduction of the original document, the submitted file must maintain the graphical and textual integrity of the original document.

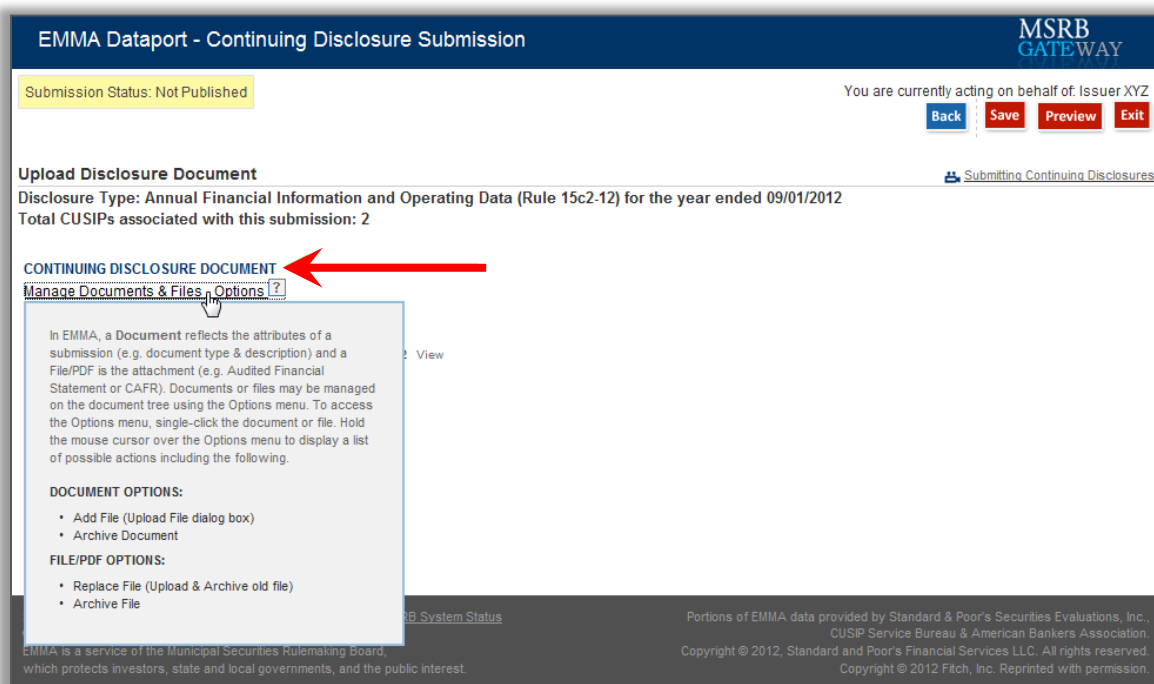
Continuing disclosure documents and supplemental files can be uploaded to EMMA. Use the **Browse** button to select the file on your computer. Click the **Upload** button to transfer the file to EMMA.



EMMA shows that the file has been uploaded by displaying the file name on the left side of the screen.

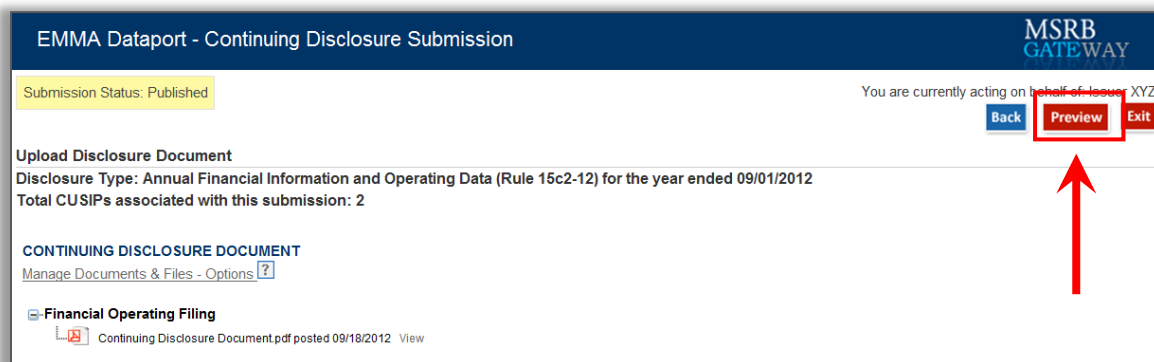


Hover your mouse over the question mark located next to the **Manage Documents & Files – Options** to view additional options that can be performed with the document and file/PDF.

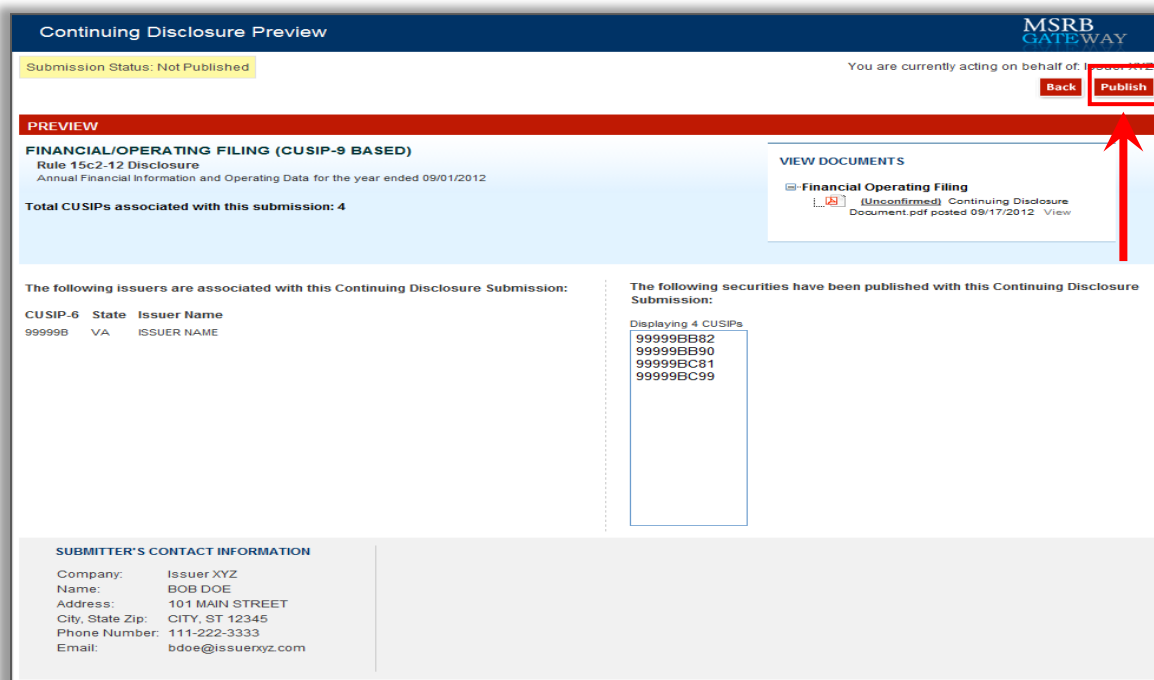


## Publish the Disclosure

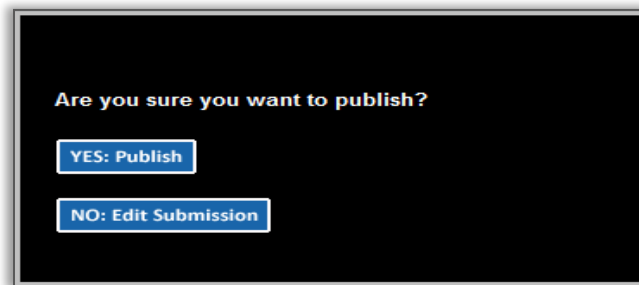
The uploaded document will not be accessible by the public until it is published. First, click the **Preview** button to review all the information to be published. If you wish to make a hard-copy record of your submission, print this screen.



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. Once all information is correct, click the **Publish** button.

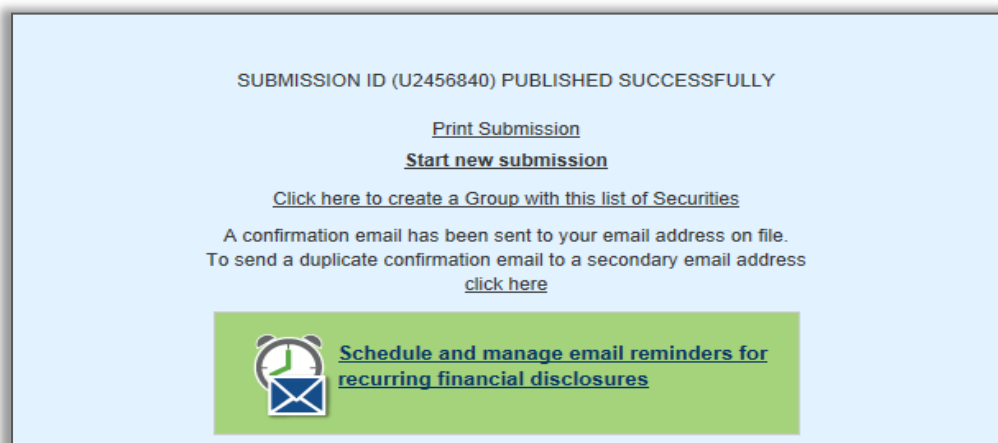


The following screen appears. Once you are ready to publish, click **Yes: Publish** to disclose and publish your submission.



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 print your submission confirmation.
- A link to “start new submission” or to modify your existing submission.
- A link to create a group of securities. Creating a group allows you to easily retrieve a list of securities for later continuing disclosure submissions. To create a group, click the link “Click here to create a group with this list of securities,” complete the group name and then click save.
- A link to send your submission confirmation to a secondary email address.
- A link to create an email reminder for a recurring financial or operating disclosure submission in advance of the next filing deadline.



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.



## Amend a Submission

Changes to a submission can be made by users within an organization as needed.

To amend a submission, log in to the EMMA Dataport Submission Portal and then click on the Continuing Disclosure tab. Click on the submission you wish to amend and continue with the update. If the submission you wish to amend does not appear on the **Most Recent Submissions** list, click the **Update** link and enter the submission ID.

The screenshot displays the EMMA Dataport Submission Portal 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 Dataport | MSRB Gateway | Contact | Logout' and a phone number 'for assistance call: 202-838-1330'. Below the header is a dark blue bar with 'EMMA Dataport Submission Portal' on the left and 'MSRB GATEWAY' on the right. A user status message reads 'You are currently acting on behalf of: SAMPLE CO'. There are three navigation tabs: 'Continuing Disclosure (Rule-based & Voluntary)' (highlighted in green), 'Issuer Homepage', and 'Issuer Voluntary Official Statement'. A 'Select Organization' dropdown menu is set to 'SAMPLE CO (G0000C)'. Below this are 'CREATE' and 'UPDATE' buttons, with the 'UPDATE' button highlighted by a red box. A table titled 'Most Recent Submissions up to One Year' is also highlighted with a red box. The table has columns for 'Submission Date', 'Disclosure Type', 'Submission ID', and 'User ID'. Below the table are two informational boxes: one for managing groups of issues and securities, and another for scheduling email reminders for recurring financial disclosures.

EMMA Dataport | MSRB Gateway | Contact | Logout

EMMA<sup>®</sup>  
Electronic Municipal Market Access  
A service of the MSRB

for assistance call: 202-838-1330

EMMA Dataport Submission Portal

MSRB  
GATEWAY

You are currently acting on behalf of: SAMPLE CO


Continuing Disclosure (Rule-based & Voluntary) | Issuer Homepage | Issuer Voluntary Official Statement

Select Organization: SAMPLE CO (G0000C) ▼

Continuing Disclosure Submission [CREATE](#) [UPDATE](#)

Submission Date ▼	Disclosure Type	Submission ID	User ID
10/24/2018	Initial Asset-Backed Securities Disclosure	U1806099	JDOE2
10/19/2018	Financial Obligation - Event Reflecting Financial Difficulties	U1806098	JDOE2
10/19/2018	Financial Obligation - Incurrence or Agreement	U1806097	JDOE2


To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents.  
Manage groups of issues and securities.

 Schedule and manage email reminders for recurring financial disclosures

## 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 with a role in preparing and filing financial disclosures.


To schedule an email reminder for recurring financial disclosures, go to the Continuing Disclosure tab on the EMMA Dataport Submission Portal and click on **Schedule and manage email reminders for recurring financial disclosures**.



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EMMA Dataport | MSRB Gateway | Contact | Logout

for assistance call: 202-838-1330

EMMA Dataport Submission Portal


You are currently acting on behalf of: SAMPLE CO

Continuing Disclosure  
(Rule-based & Voluntary)

Issuer  
Homepage

Issuer Voluntary  
Official Statement

Select Organization SAMPLE CO (G0000C) ▾

---


Continuing Disclosure Submission CREATE UPDATE

**Most Recent Submissions up to One Year**

Submission Date ▾	Disclosure Type	Submission ID	User ID
10/24/2018	Initial Asset-Backed Securities Disclosure	U1806099	JDOE2
10/19/2018	Financial Obligation - Event Reflecting Financial Difficulties	U1806098	JDOE2
10/19/2018	Financial Obligation - Incurrence or Agreement	U1806097	JDOE2

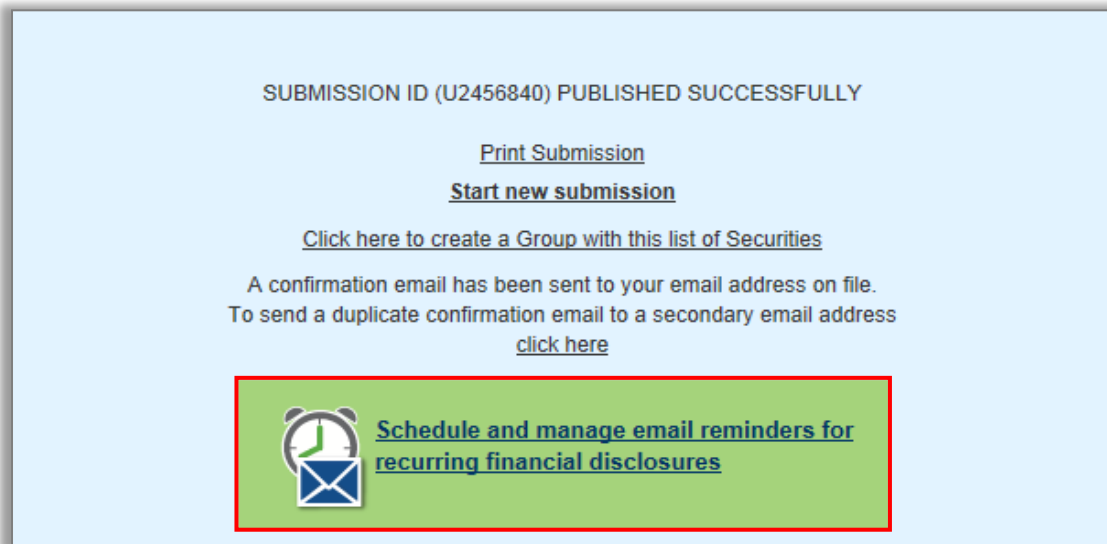
To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents.

Manage groups of issues and securities.

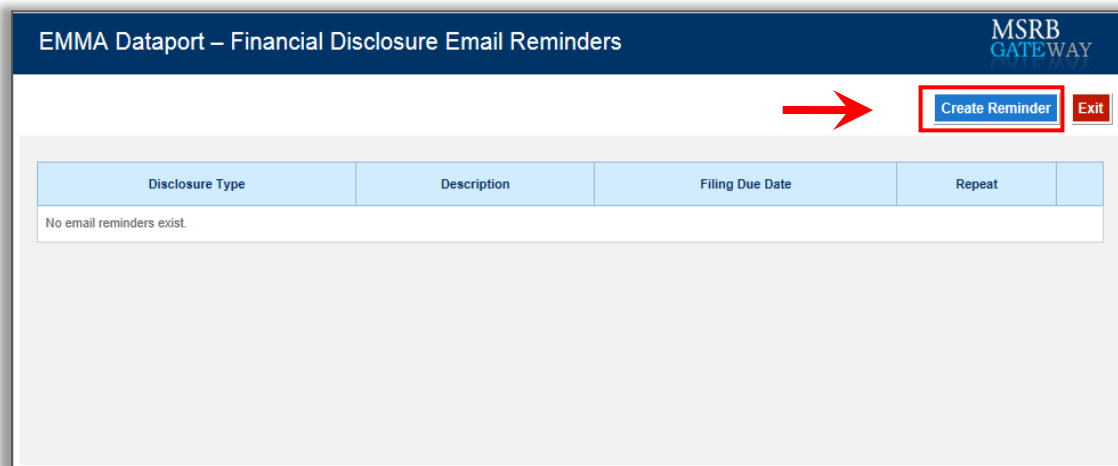


Schedule and manage email reminders for recurring financial disclosures

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



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



The following screen appears.

**EMMA Dataport – Financial Disclosure Email Reminder** MSRB  
GATEWAY

[Exit](#)

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:** jdoe@issueryz.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 CAFR  
 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](#)

The default email address is the one associated with your MSRB Gateway account and additional recipient email addresses can be added.

[Exit](#)

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:** jdoe@email.com

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.

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:** jdoe@issueryz.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 CAFR
- Asset-Backed Securities
- Other (e.g. quarterly financials, annual budget)

Specify the filing due date of the submission.

**Filing Due Date:** 07/31/2013

**Send email:** Jul 2013 (enter 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	31			

**Description:** assist with the description,

**Create Reminder** **Cancel**

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.

**Default Recipient:** jdoe@issueryz.org

[+ Add additional recipients](#)

(include up to twenty email addresses, e.g. appropriate internal staff, financial advisor, bond counsel)

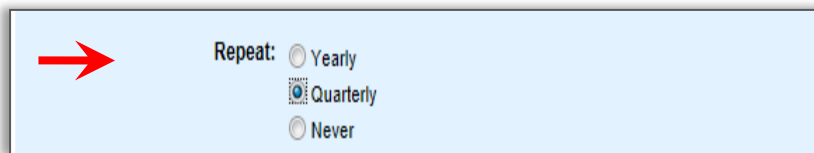
**Disclosure Type:**

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

**Filing Due Date:**

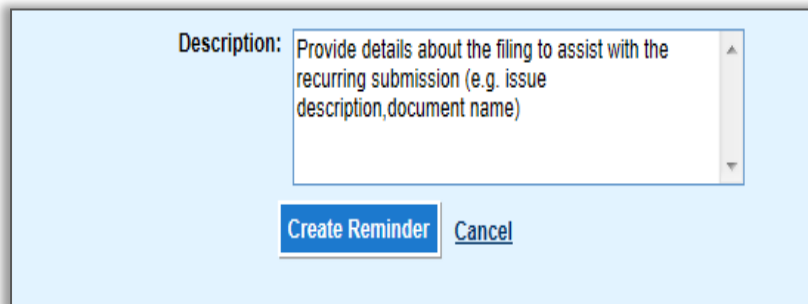
**Send email:**  days before filing due date (enter number of calendar days)

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



Repeat:  Yearly  
 Quarterly  
 Never

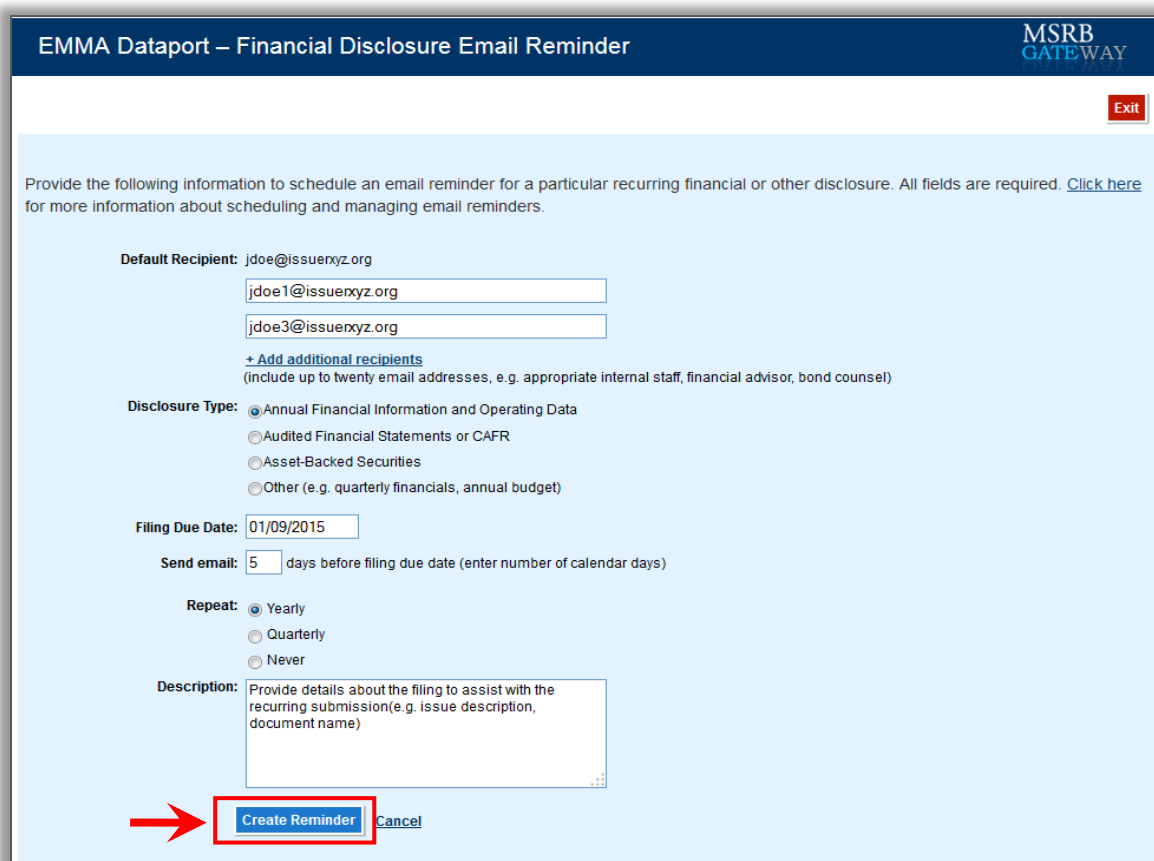
In the Description section, provide details about the filing to assist with identification of the recurring submission (for example, enter the issue description or the document name).



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

[Create Reminder](#) [Cancel](#)

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



EMMA Dataport – Financial Disclosure Email Reminder MSRB  
GATEWAY

[Exit](#)

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:** jdoe@issuexyz.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 CAFR  
 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:** Provide details about the filing to assist with the recurring submission (e.g. issue description, document name)

[Create Reminder](#) [Cancel](#)

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

Disclosure Type	Description	Filing Due Date	Repeat	
Annual Financial	E.g. issue description and document name.	1/9/2015	Yearly	<a href="#">edit</a>   <a href="#">delete</a>

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

## Manage Email Reminders

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

Disclosure Type	Description	Filing Due Date	Repeat	
Annual Financial	E.g. issue description and document name.	1/9/2015	Yearly	<a href="#">edit</a>   <a href="#">delete</a>

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

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:** jdoe@issuexyz.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 CAFR

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:**



To delete the reminder, click the **Delete** option on the right side of the reminder and then click **Yes** when the confirmation screen appears.

EMMA Dataport – Financial Disclosure Email Reminders					MSRB GATEWAY
<input type="button" value="Create Reminder"/> <input type="button" value="Exit"/>					
Disclosure Type	Description	Filing Due Date	Repeat		
Annual Financial	E.g. issue description and document name.	1/9/2015	Yearly	<a href="#">edit</a>   <a href="#">delete</a> 	

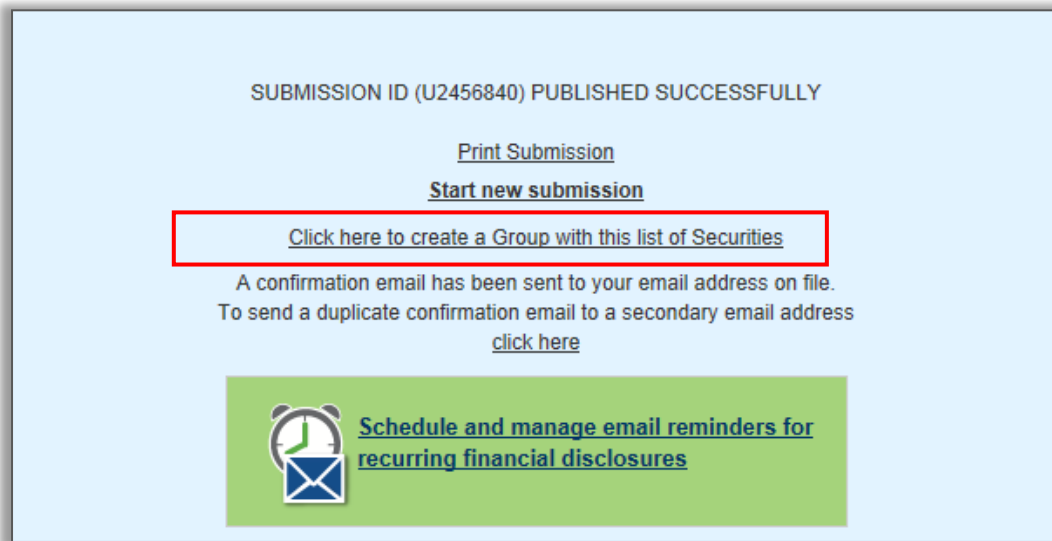
**Are you sure you want to delete?**



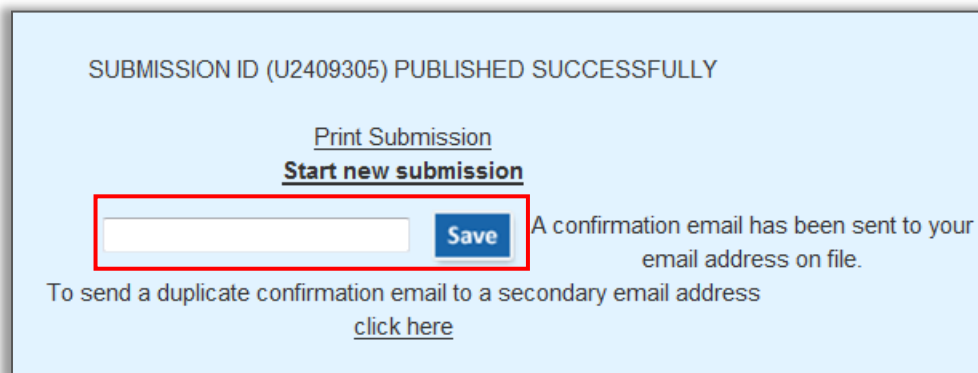
## Save a Group of Securities

Saving the set of securities associated with the disclosure as a named group allows you to quickly and easily add additional disclosures to the same group of securities for future submissions.

To create a group, click on the **Click here to create a Group with this list of Securities** link located at the bottom of the confirmation screen.




A field appears in which you can enter the name of the group of securities. Enter the name and then click the **Save** button. The group will be available the next time you make a continuing disclosure submission.



## Create a Group of Securities

Groups are created at the CUSIP-9 level. Groups can be accessed from the Continuing Disclosure Submissions screen, which appears immediately after you log in to EMMA Dataport and select the Continuing Disclosure tab.


To create a group, click the **Manage groups of issues and securities** link.



**EMMA**<sup>®</sup>  
Electronic Municipal Market Access  
A service of the MSRB

EMMA Dataport | MSRB Gateway | Contact | Logout

for assistance call: 202-838-1330

EMMA Dataport Submission Portal


You are currently acting on behalf of: SAMPLE CO

Continuing Disclosure  
(Rule-based & Voluntary)

Issuer  
Homepage

Issuer Voluntary  
Official Statement

Select Organization: SAMPLE CO (G0000C) ▾

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Continuing Disclosure Submission [CREATE](#) [UPDATE](#)

**Most Recent Submissions up to One Year**

Submission Date ▾	Disclosure Type	Submission ID	User ID
10/24/2018	Initial Asset-Backed Securities Disclosure	U1806099	JDOE2
10/19/2018	Financial Obligation - Event Reflecting Financial Difficulties	U1806098	JDOE2
10/19/2018	Financial Obligation - Incurrence or Agreement	U1806097	JDOE2

To organize your issues and securities into groupings to simplify future submissions of continuing disclosure documents.

[Manage groups of issues and securities.](#)



Schedule and manage email reminders for recurring financial disclosures

You are directed to the Groups tab. On the Groups tab, click the **Create Group** link.

The screenshot shows the EMMA Dataport-Issuer Dashboard. The 'Groups' tab is active. A table titled 'Existing Groups' lists 'Group B (12 CUSIPs)' and 'Group C (12 CUSIPs)', each with 'Edit', 'Delete', and 'Save As' links. A red box highlights the 'Create Group' link above the table. To the right, an 'INSTRUCTIONS' section explains that groups are used to simplify continuing disclosure submissions by allowing a single click to select multiple securities.

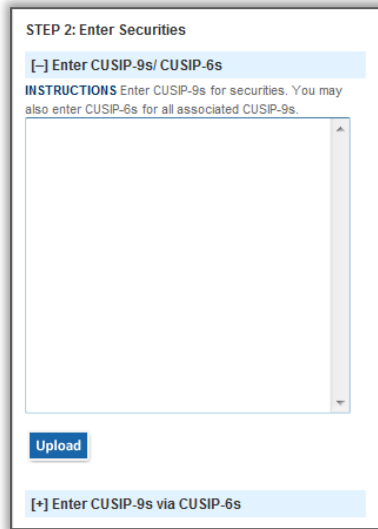
Enter a descriptive name for your CUSIP group.

The 'Create Group' form is shown in its initial state. It features a green checkmark icon and the title 'Create Group'. The first step is 'STEP 1: Enter Group Name', which includes a text input field. The second step is 'STEP 2: Enter Securities'.

In the text box, enter the CUSIP-9s of the securities you wish to include in the group.

The 'Create Group' form is shown in its second step. The title 'Create Group' is at the top. Below it is 'STEP 1: Enter Group Name' with a text box containing 'Group D'. The current step is 'STEP 2: Enter Securities', which includes a sub-section '[-] Enter CUSIP-9s/ CUSIP-6s'. An 'INSTRUCTIONS' section explains that users should enter CUSIP-9s for securities and CUSIP-6s for associated securities. A list of CUSIP-9s (99999BA1 through 99999BA12) is displayed in a scrollable area. An 'Upload' button is located below the list. At the bottom, there is a sub-section '[+] Enter CUSIP-9s via CUSIP-6s'.

If you do not know the CUSIP-9, expand the **Enter CUSIP-9s via CUSIP-6s** option to view all securities for the associated CUSIP-9s.



STEP 2: Enter Securities

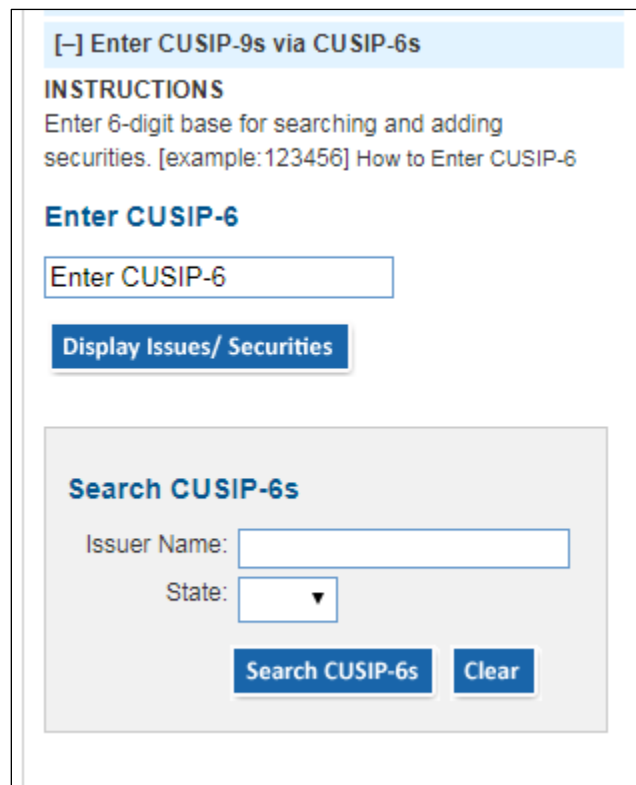
**[-] Enter CUSIP-9s/ CUSIP-6s**

**INSTRUCTIONS** Enter CUSIP-9s for securities. You may also enter CUSIP-6s for all associated CUSIP-9s.

Upload

**[+] Enter CUSIP-9s via CUSIP-6s**

Next, enter the CUSIP-6 and click the **Display Issues/Securities** button.



**[-] Enter CUSIP-9s via CUSIP-6s**

**INSTRUCTIONS**  
Enter 6-digit base for searching and adding securities. [example: 123456] How to Enter CUSIP-6

**Enter CUSIP-6**

Enter CUSIP-6

**Display Issues/ Securities**

**Search CUSIP-6s**

Issuer Name:

State:

**Search CUSIP-6s** **Clear**

Check the box of the individual issues you would like in the group and then click the **Add Securities** button or check the **Select all issues for issuer** box to select all issues for the group.

ISSUER NAME, VA (999999B)  
Displaying 1 - 8 of 8 issues.  
Total CUSIPs selected: 6. [Refresh Count](#)

**Add Securities** **Cancel**

**Select all issues for issuer:**

Select Issue(s)	CUSIP	Dated Date	Maturity Dates	Official Statement
<input checked="" type="checkbox"/>	[+] Issue Description C	01/01/2010	12/31/2111	
<input checked="" type="checkbox"/>	[+] Issue Description D	01/01/2010	12/31/2111	
<input checked="" type="checkbox"/>	[+] Issue Description E	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description F	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description G	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description H	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description J	01/01/2010	12/31/2111	
<input type="checkbox"/>	[+] Issue Description K	01/01/2010	12/31/2111	

A list of all selected securities for the group appears on the screen. Scroll through and delete CUSIPs as needed. Click **Save Changes** when done.

**CREATE GROUP** ?

**STEP 3**  
[Save Changes](#) [Cancel](#)

Total securities selected: 6

- 99999BB82
- 99999BB90
- 99999BC81
- 99999BC99
- 99999BD80
- 99999BD98

[Remove CUSIPs](#)

If saved successfully, the new group will be listed alphabetically among existing groups.

EMMA Dataport-Issuer Dashboard MSRB GATEWAY

**Groups** | Control & Notices | Invite Obligated Person(s) | [Creating and Controlling Groups](#)

Existing Groups	
Group B (12 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>
Group C (12 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>
Group D (5 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>

**CREATE GROUP** ?

**STEP 3**  
[Save Changes](#) [Cancel](#)

## Amend a Group

A group can be edited, deleted or renamed at any time by clicking the appropriate link next to the group name.

<a href="#">Group B</a> (12 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>
<a href="#">Group C</a> (12 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>
<a href="#">Group D</a> (5 CUSIPs)	<a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Save As</a>

Click	Steps
<b>Edit</b>	<ol style="list-style-type: none"> <li>1. Add or delete securities in the group               <ol style="list-style-type: none"> <li>a. Add securities by entering the CUSIP-9 or searching for and entering the CUSIP-6.</li> <li>b. Delete securities by selecting the unwanted securities and clicking the <b>Remove CUSIPs</b> link.</li> </ol> </li> <li>2. Enter a new group name.</li> <li>3. Save updates by clicking <b>Save Changes</b>.</li> </ol>
The <b>Save As</b> link allows you to duplicate an existing group by adding or deleting securities in the group, then saving the group under a new name.	<ol style="list-style-type: none"> <li>1. Click on the <b>Save As</b> link and the group will display</li> <li>2. Add or edit the appropriate securities to customize the group.</li> <li>3. Give the group a new name.</li> <li>4. Create the new group by clicking <b>Save Changes</b>.</li> <li>5. The new group will display among the list of existing groups.</li> </ol>
<b>Delete</b>	Click <b>Yes</b> to confirm deletion of the group.

## Control a Group of Securities

By controlling groups of securities, issuers can designate which secondary market agents may make continuing disclosure submissions to EMMA. Designated secondary market agents can submit information regarding a CUSIP or CUSIP group.

The Master Account Administrator is notified for each continuing disclosure submission for a controlled security or group, as well as if a user in the organization elects to take control of the group.

To create a group, click on **Manage groups of issues and securities** link on Dataport submission portal. Once on the main page, click on the **Control & Notices** tab to elect control of the group. Locate the group and then click the **Yes** button to elect control.

Groups	Elect Control	Receive Email Notices
Group B	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
Group C	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No
Group D	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No

When you elect control, the Master Account Administrator will automatically receive email notices when submissions are made against CUSIPs in the group.

## 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.