EMMA Dataport Manual for Continuing Disclosure Submissions

Version 3.0, February 2020
## Revision History

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Description of Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>June 2009</td>
<td>Initial version.</td>
</tr>
<tr>
<td>1.1</td>
<td>August 2009</td>
<td>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.</td>
</tr>
<tr>
<td>1.2</td>
<td>January 2010</td>
<td>Change effective January 18, 2010: Added free text field in Section 4.1.1 Selecting the Document Type</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Change effective January 1, 2010: Uploaded PDFs must be word-searchable.</td>
</tr>
<tr>
<td>1.3</td>
<td>February 2010</td>
<td>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</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Figure 5 XML Submission Validation Response Message for data tag Security changed from Error to Warning for Commercial Paper submissions.</td>
</tr>
<tr>
<td>1.5</td>
<td>June 2010</td>
<td>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.</td>
</tr>
<tr>
<td>1.6</td>
<td>August 2010</td>
<td>Added text box to explain the purpose of the PDF when making CD submissions.</td>
</tr>
<tr>
<td>1.7</td>
<td>May 2011</td>
<td>Updated steps for registration and referenced new user manual.</td>
</tr>
<tr>
<td>2.0</td>
<td>April 2012</td>
<td>Extracted Gateway account management functionality, updated screenshots and text to reflect shared dashboard.</td>
</tr>
<tr>
<td>2.1</td>
<td>July 2013</td>
<td>Added instructions on how to schedule and manage email reminders for recurring financial disclosures; updated screen shots.</td>
</tr>
<tr>
<td>Version</td>
<td>Date</td>
<td>Description of Changes</td>
</tr>
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<td>------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>2.3</td>
<td>August 2015</td>
<td>Updated the Resources and Support section to reflect the change in hours of operation for Email Support.</td>
</tr>
<tr>
<td>2.4</td>
<td>June 2016</td>
<td>Updated to reflect the user navigation changes to the MSRB.org homepage, MSRB Gateway Login and Main Menu pages.</td>
</tr>
<tr>
<td>2.5</td>
<td>September 2016</td>
<td>Updated to reflect Bank Loan/Alternative Financing Filing changes to EMMA Dataport.</td>
</tr>
<tr>
<td>2.6</td>
<td>June 2018</td>
<td>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.</td>
</tr>
<tr>
<td>2.7</td>
<td>February 2019</td>
<td>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.</td>
</tr>
<tr>
<td>2.8</td>
<td>August 2019</td>
<td>Updated to reflect EMMA Dataport user interface changes and enhanced continuing disclosure submission process.</td>
</tr>
<tr>
<td>3.0</td>
<td>February 2020</td>
<td>Updated to reflect submission modification enhancements.</td>
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</table>
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://msrb.org/Rules-and-Interpretations/MSRB-Rules.aspx.
# Table of Contents

EMMA Dataport Manual for Continuing Disclosure Submissions .............................. 1  
Revision History .......................................................................................................................... 2  
Resources and Support ............................................................................................................... 4  
Table of Contents ........................................................................................................................ 5  
Introduction .................................................................................................................................. 6  
Part 1: Access EMMA Dataport ............................................................................................... 7  
    Log in from the MSRB Homepage ............................................................................................. 9  
Part 2: Make a Continuing Disclosure Submission ................................................................... 10  
    Upload the Document ............................................................................................................. 13  
    Categorize a Financial/Operating Filing .................................................................................. 16  
    Categorize an Event Filing ..................................................................................................... 19  
    Categorize an Asset-Backed Securities Filing ......................................................................... 22  
    Associate Issues or Securities to the Disclosure ..................................................................... 25  
    Associate Contacts to the Disclosure ..................................................................................... 32  
    Publish the Disclosure ......................................................................................................... 34  
Part 3: Other Features for Submitters ...................................................................................... 36  
    Modify a Submission ............................................................................................................. 36  
    Archiving a File ..................................................................................................................... 44  
    Schedule Email Reminders for Recurring Financial Disclosures ......................................... 45  
    Manage Email Reminders ..................................................................................................... 50  
    Manage Groups of Securities .................................................................................................. 52  
    Control a Group of Securities ............................................................................................... 58
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 tab.
Then click the **Log in to MSRB Gateway** button.
Log in from the MSRB Homepage

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

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

![Image of MSRB Gateway Main Menu]

**Part 2: Make a Continuing Disclosure Submission**

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.

![Image of EMMA Dataport]

**EMMA Dataport**

Welcome to EMMA Dataport, the secure portal for submitting disclosure documents and data to the MSRB. Read about recent enhancements to EMMA Dataport.

Which organization are you acting on behalf of?
- select one:
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.
Click the **Create New Submission** button to start a submission.
Select the type of continuing disclosure submission you will make: Financial/Operating Filing, Event Filing or Asset-Backed Securities Filing.

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.

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.

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.

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.
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.

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
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 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.

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.

Click the plus sign to expand the second section for Additional/Voluntary 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. The “other” category is available if none of the provided categories describes the submission.

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 next to 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 Rule 15c2-12 and/or if it reflects additional or voluntary event filing types. You may select both if applicable. Then click **Next**.

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.
- SEC Rule 15c2-12 Disclosure

- Principal / Interest Payment Delinquency
- 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

Not sure?
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.

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. 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**

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.

Select the radio button next to the specific type of Rule 15Ga-1 disclosure. Click the **Next** button.
Continuing Disclosure - Asset-Backed Securities Filing

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?
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. 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.

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 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.

The 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.

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 are not updated with new issues and must be managed by the submitter over time.

Click the Add Securities button and the corresponding CUSIPs will appear in the Uploaded issues/securities list below. Note that fully matured issues are excluded.
Invalid CUSIPs will not populate in the list and will generate an error message that appears on the right-hand side of the screen.

Verify that the CUSIPs listed are accurate. To remove a CUSIP-9, uncheck the check box next to the CUSIP you wish to remove. To deselect all matured or fully redeemed or called securities, 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.
If you wish to make future submissions for these same securities, you can click the link to create a group. A pop-up will appear to allow you to name and save the group.

Click **Next** to proceed.
Municipal Bonds and Notes – Using Issuer Name and State

If you do not have the nine- or six-digit CUSIP numbers for your submission, you may search for CUSIPs by entering the issuer’s name and state.

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

Click **Search** and a list of issuers appears. Select the relevant CUSIP-6s from the search results to associate them with the current submission and then click the **Add Issuers** button.
The issues for the selected issuer appear on the screen. Check the box by each issue you wish to add to the submission. The dynamic count of the number of selected securities is highlighted in yellow at the top of the table.

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, 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 deselect all matured or fully redeemed or called securities, use the Exclude options above the table.
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 on-screen instructions for associating the disclosure to the appropriate issue and/or security.
**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.

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.

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. Also note that only one submission may be saved at a time.

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

![Screenshot of the EMMA Dataport Manual for Continuing Disclosure Submissions showing the 'Publish the Disclosure' section with a preview of the submission process.](image-url)
The following screen appears. Once you are ready to publish, click Yes to disclose and 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 print your submission confirmation;
- A link to “start new submission” or to modify your existing submission; and
- A link to send your submission confirmation to a secondary email address.

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 will generally make all submitted documents available to the public within an hour of submission.

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 3: 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.
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. If your submission appears on the “Recent Submissions” tab, you may select the **Modify** hyperlink by the submission you wish to edit.

After beginning a modification, use the pencil icons to navigate to the section of the form requiring modification.
Continue clicking **Next**, making any desired changes on each screen. The progress bar will indicate “Modification in Progress” until you publish the submission.

Select “View Current Modification Summary” to view details of the modification in the progress prior to publishing the submission.
Continuing Disclosure - Financial/Operating Filing

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 for the year ended 12/31/2019
Audited Financial Statements or CAFR for the year ended 12/31/2019

Document

<table>
<thead>
<tr>
<th>File</th>
<th>Period Date</th>
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</thead>
<tbody>
<tr>
<td>CDSubmissionPreviewPage.pdf</td>
<td>12/31/2019</td>
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Associated Securities

The following are associated with this continuing disclosure submission.

<table>
<thead>
<tr>
<th>CUSIP-6</th>
<th>Issuer Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>00099E</td>
<td>FILLE NAME</td>
</tr>
</tbody>
</table>

CURRENT MODIFICATION DETAILS

<table>
<thead>
<tr>
<th>Modification</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category added</td>
<td>Audited Financial Statements or CAFR for the year ended 12/31/2019</td>
</tr>
</tbody>
</table>

Showing 1 to 1 of 1 entries
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. Click “Modify” next to any submission with “(Modified)” listed in the title of the Disclosure Type.
Jump to the specific section you would like to review and potentially modify by clicking the pencil icon. If you would like to see all modifications, click the first pencil icon in the Disclosure Categories section.
The Submission Status bar includes a hyperlink for “Details.” Click the link to review details from the original submission, as well as any previously submitted modifications.

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

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.
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.
Archiving a File

Note that you generally cannot delete documents that have been previously published, but you may archive a file. Select the file drawer icon beside the name of the file you wish to archive. A pop-up confirmation message will ask you to confirm that you wish to move the file to a separate “Document Archive” area. The Document Archive is visible on the EMMA website and clearly indicates that a file has been corrected or replaced.

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.
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, log in to EMMA Dataport and click the button to Manage Financial Disclosure Email Reminders.

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.

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

Specify the filing due date of the submission.

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

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).

Once you have completed all of the fields, click the Create Reminder button.
The reminder appears on the **Financial Disclosure Email Reminder** screen.

![EMMA Dataport - Financial Disclosure Email Reminders](image)

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.

Make the necessary changes and then click the Update Reminder button.
To delete the reminder, click the **Delete** option on the right side of the reminder and then click **Yes** when the confirmation screen appears.
Manage Groups of Securities

If you regularly make submissions for the same set of securities, creating a group can save you time on future submissions. You can create and manage groups at any time by logging into EMMA Dataport and clicking Manage Groups of Securities and Disclosure Permissions. Note that saved groups are not updated with new issues and must be managed by the submitter over time.

Groups can also be created when making a continuing disclosure submission. See the section of this manual on Associating Issues or Securities.
You are directed to the Groups tab. On the Groups tab, click the **Create Group** link.

Enter a descriptive name for your group.
In the text box, enter the CUSIP-9s of the securities you wish to include in the group, or use a CUSIP-6 to find all CUSIP-9s associated with that base CUSIP.

If you do not know the CUSIP-9 or CUSIP-6, expand the Search by Issuer option to perform a search by entering the issuer name and state and clicking the Search button.
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.
A list of all selected securities for the group appears on the screen, with a dynamic counter indicating the number of securities in the group. To remove a security from the group, click on the CUSIP number in the list and click the **Remove CUSIPs** link. Click **Save Changes** when done.

If saved successfully, the new group will be listed alphabetically among existing groups.
A group can be edited, deleted or renamed at any time by clicking the appropriate link next to the group name.

<table>
<thead>
<tr>
<th>Click</th>
<th>Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Edit</strong></td>
<td>1. Add or delete securities in the group</td>
</tr>
<tr>
<td></td>
<td>a. Add securities by entering the CUSIP-9 or searching for and entering the CUSIP-6.</td>
</tr>
<tr>
<td></td>
<td>b. Delete securities by selecting the unwanted securities and clicking the <strong>Remove CUSIPs</strong> link.</td>
</tr>
<tr>
<td></td>
<td>2. Enter a new group name.</td>
</tr>
<tr>
<td></td>
<td>3. Save updates by clicking <strong>Save Changes</strong>.</td>
</tr>
<tr>
<td><strong>Save As</strong></td>
<td>1. Click on the <strong>Save As</strong> link and the group will display</td>
</tr>
<tr>
<td></td>
<td>2. Add or edit the appropriate securities to customize the group.</td>
</tr>
<tr>
<td></td>
<td>3. Give the group a new name.</td>
</tr>
<tr>
<td></td>
<td>4. Create the new group by clicking <strong>Save Changes</strong>.</td>
</tr>
<tr>
<td></td>
<td>5. The new group will display among the list of existing groups.</td>
</tr>
<tr>
<td><strong>Delete</strong></td>
<td>Click <strong>Yes</strong> to confirm deletion of the group.</td>
</tr>
</tbody>
</table>
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 in EMMA Dataport. 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 and/or to receive email notices about submissions associated to the securities in the group.

![Control & Notices Tab](image)

Note all users have the ability to create groups and receive email notices; however, only confirmed issuers will see the option to control a group of securities.

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.