



MSRB

Municipal Securities  
Rulemaking Board

## EMMA – Electronic Municipal Market Access

The Official Source for Municipal Disclosures and Market Data

### EMMA Dataport Manual for 529 College Savings Plan Disclosure Submissions

Version 1.1  
May 2011

**Revision History**

<b>Version</b>	<b>Date</b>	<b>Major Changes</b>
1.0	June 2010	Initial version.
1.1	May 2011	Updated manual to reflect the voluntary submissions by Issuers of Preliminary Official Statements and Pre-Sale Documents as well as the submission of Issuer Voluntary Official Statements.

# TABLE OF CONTENTS

1.0 Preface .....	1
Other Resources .....	2
Contact Information .....	2
2.0 Log-in Instructions for Submission to EMMA Dataport.....	3
2.1 Logging In from the EMMA Home Page .....	4
2.2 Logging In from the MSRB Home Page .....	4
2.3 Logging into MSRB Gateway .....	5
3.0 Submissions of Primary Market Disclosures .....	7
3.1 Searching for a 529 College Savings Plan .....	7
3.2 Adding a New 529 College Savings Plan .....	9
3.3 Uploading a Document .....	11
3.4 Publishing a Submission .....	13
4.0 Submissions of Continuing Disclosures .....	17
4.1 Submitting an Annual or Periodic Filing .....	18
4.2 Uploading a Document .....	21
4.3 Publishing a Submission .....	23
5.0 Submissions by Issuers on a Voluntary Basis .....	25
5.1 Starting the Submission Process .....	25
5.2 Adding a New 529 College Savings Plan .....	27
5.3 Uploading a Document .....	29
5.4 Publishing a Submission .....	31
5.5 Updating or Canceling a Voluntary Submission .....	32

## 1.0 Preface

The Electronic Municipal Market Access System, or EMMA, is a facility of the Municipal Securities Rulemaking Board (“MSRB”). EMMA is a comprehensive source that provides public investors with access to information about municipal securities, including 529 college savings plans. The MSRB supports market information transparency programs that improve public access to material information about municipal securities issuers, their securities and the prices at which those securities trade.

Since 2009 EMMA has accepted:

- 529 college savings plan disclosure documents, and related information; and
- Continuing Disclosure documents from states, such as annual financial statements.

As of May 2011, EMMA accepts:

- Voluntary submissions by states of 529 College Savings Plan disclosure documents pertaining to plans not underwritten by dealers subject to MSRB jurisdiction.

This *EMMA Dataport Manual for 529 College Savings Plan Disclosure Submissions* provides instruction for dealers on how to submit Primary Market documents and for issuers on how to submit Continuing Disclosure documents and how to voluntarily submit 529 college savings plan disclosure documents provided under the state’s 529 savings plan.

This manual only provides instruction on submissions made via the EMMA website through EMMA Dataport. Submitters seeking to make automated continuous submissions through a computer-to-computer interface should consult the appropriate specifications document.

EMMA makes voluntary submissions of 529 college savings plans by issuers, 529 college savings primary market plan disclosure documents by underwriters, and continuing disclosure plan documents submitted by issuers on 529 college savings plans available to the public, at no charge, through the EMMA website.

---

## Other Resources

MSRB Website: [www.msrb.org](http://www.msrb.org)

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

## Contact Information

MSRB Market Information Department  
(703) 797-6668

Hours of operation: 7:30 AM - 6:30 PM

[MarketInformation@msrb.org](mailto:MarketInformation@msrb.org)

Municipal Securities Rulemaking Board

1900 Duke Street

Suite 600

Alexandria, VA 22314

Tel: (703) 797-6600

Fax: (703) 797-6700

## 2.0 Log-in Instructions for Submission to EMMA Dataport

All submitters to the MSRB Primary Market, Continuing Disclosure, and Voluntary Issuer Submission Services must be registered in MSRB Gateway, a single, secure access point for making submissions to EMMA. Each user must also accept the terms and conditions for making submissions.

Voluntary submissions of 529 college savings plan disclosure documents can only be made by issuers having an Organization Account established in MSRB Gateway, or by their designated agents. Individual users must then have the appropriate right assigned to them by their organization's Master Account Administrator in MSRB Gateway. For information on how to establish and maintain an Organization Account, assign rights, and designate agents, see the *EMMA Dataport Manual for Voluntary Submissions by Issuers and Obligated Persons*.

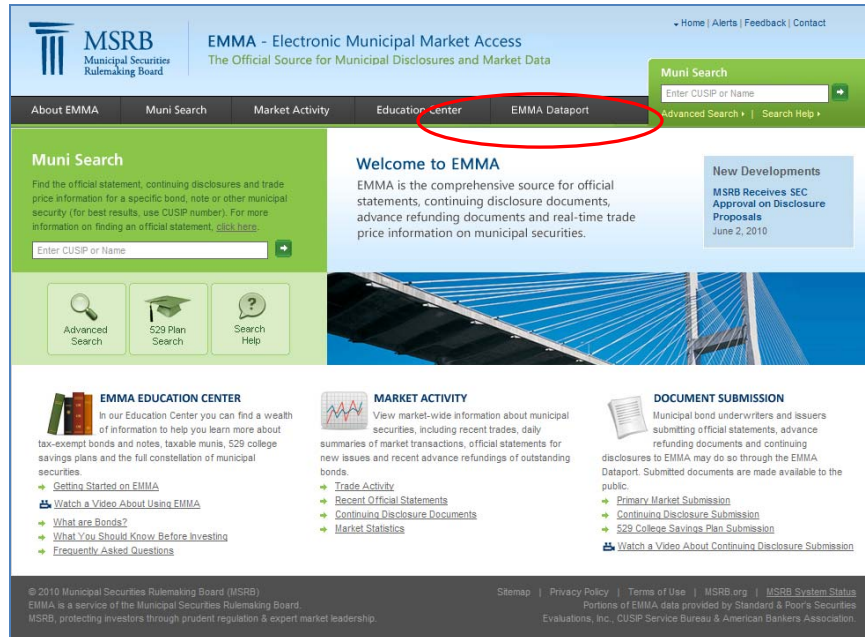
Primary market disclosure of 529 college savings plan disclosure documents by underwriters under MSRB Rule G-32, and by their designated agents, can only be made by users who have had the primary market submission right assigned to them by their organization's Master Account Administrator within MSRB Gateway. For information on how to establish and maintain the primary market submission right see the *MSRB Gateway Manual*.

Continuing disclosure on 529 college savings plan documents made by issuers, obligated persons and their designated agents can only be made by users who have created a continuing disclosure submission account in MSRB Gateway. For information on how to establish continuing disclosure submission access see the *EMMA Dataport Manual for Continuing Disclosure Submissions*. (Dealer staff seeking to make continuing disclosure submissions on behalf of an issuer need not establish a new account; they can have the continuing disclosure submission right assigned to them by their organization's Master Account Administrator within MSRB Gateway.)

For any submission to the EMMA Dataport, the first step is to log into MSRB Gateway. This can be done on either EMMA or the MSRB home page.

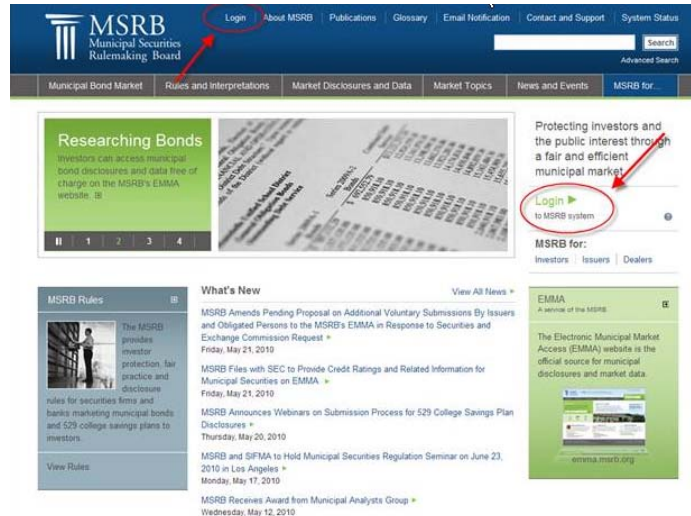
## 2.1 Logging In from the EMMA Home Page

From the EMMA home page ([emma.msrb.org](http://emma.msrb.org)) select the “EMMA Dataport” tab at the top of the page.



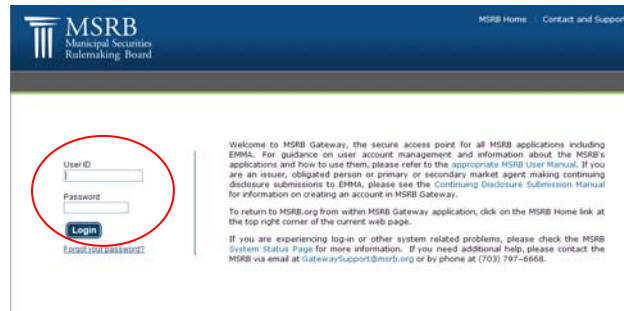
## 2.2 Logging In from the MSRB Home Page

From the MSRB home page ([www.msrb.org](http://www.msrb.org)) select “Login”.



## 2.3 Logging into MSRBR Gateway

From the MSRBR Gateway landing page, enter your User ID and Password, and select “Login”.



From the MSRBR Gateway Main Menu, select the “EMMA Dataport” option under the “Market Information Systems” heading. The EMMA Dataport Submission Screen will appear.

## MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

### **[ - ] Account and Organization Management**

#### **> Manage Organization Profile**

*View name, address and phone information for your organization.*

#### **> Add / Remove Roles for Continuing Disclosure Service**

### **[ - ] Market Information Systems**

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

#### **> EMMA Dataport**

*Submit documents and information to EMMA.*

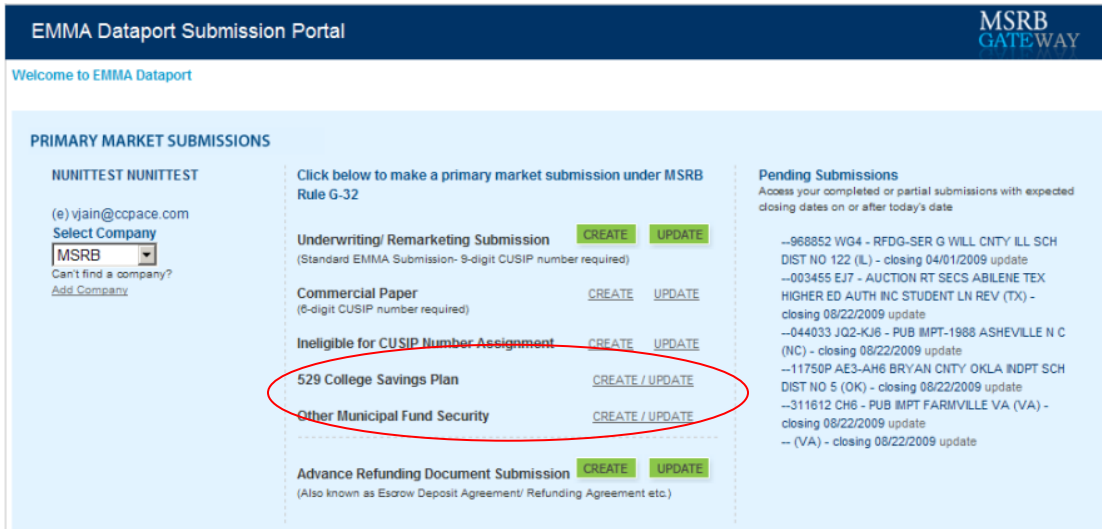
## My Profile

[View](#)

User ID: JDOE3  
Role: User  
User Name: JANE DOE  
Organization Name: Company 6  
Email Address: [chamilton@msrb.org](mailto:chamilton@msrb.org)  
[Change Password](#)

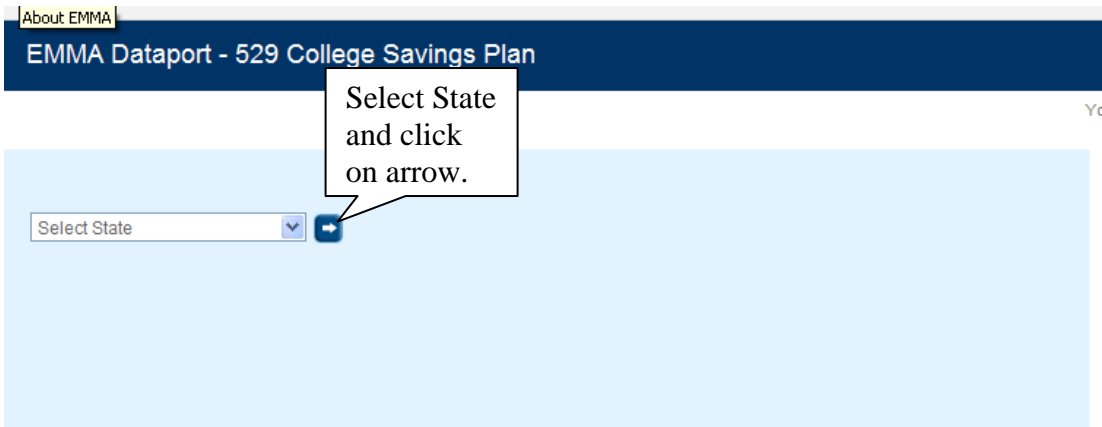
### 3.0 Submissions of Primary Market Disclosures

To submit a new plan disclosure document or a supplement to an existing plan disclosure document, select the “Create/Update” link next to the 529 College Savings Plan entry on the Primary Market Submission screen.



### 3.1 Searching for a 529 College Savings Plan

Select the state that issued the 529 college savings plan.



A list of 529 plan descriptions for the selected state will appear. If a 529 college savings plan exists for the selected state, the 529 plan description is listed.

To update an existing 529 plan description, click on the plan description or click “Modify.”

If a plan description for the selected state is not listed, select “Add New Plan” to submit a new plan description.

Select another State  
Select State

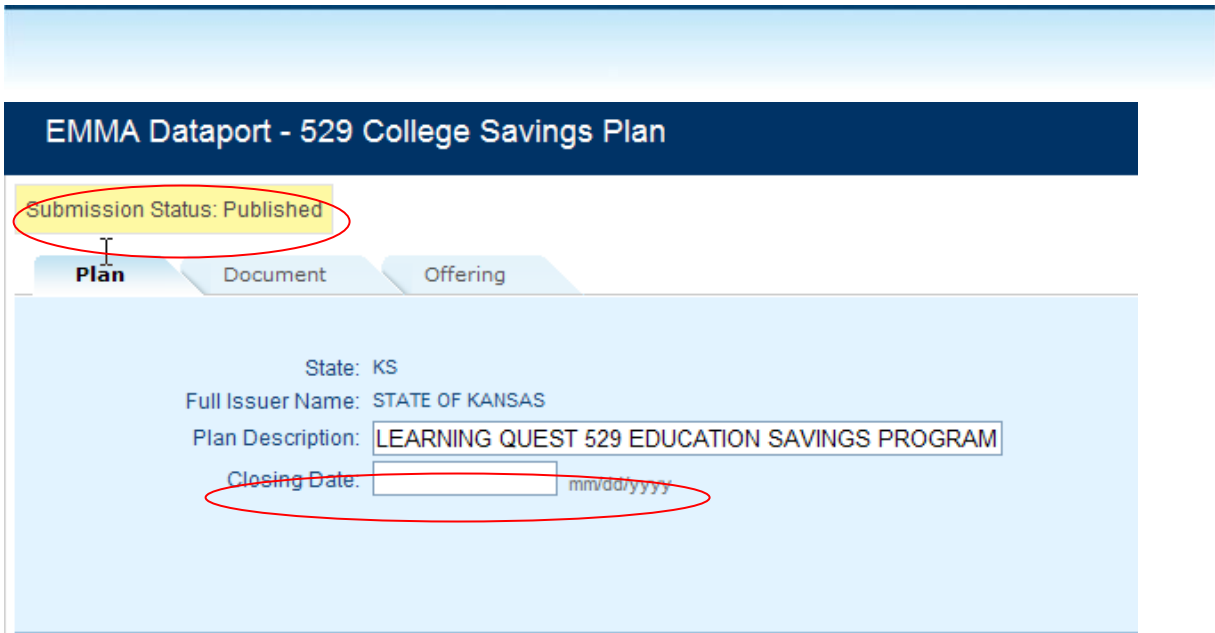
State of Kansas (KS) **Add New Plan**

	529 Plan Description	State
<a href="#">Modify</a>	<a href="#">LEARNING QUEST 529 EDUCATION SAVINGS PROGRAM</a>	KS
<a href="#">Modify</a>	<a href="#">LEARNING QUEST 529 EDUCATION SAVINGS PROGRAM ADVISOR-SOLD PLAN</a>	KS
<a href="#">Modify</a>	<a href="#">SCHWAB 529 COLLEGE SAVINGS PLAN</a>	KS
<a href="#">Modify</a>	<a href="#">SCHWAB LEARNING QUEST EDUCATION SAVINGS PROGRAM</a>	KS

The plan description screen is pre-populated with information made from prior 529 plan submissions. If the plan description is incorrect, change the plan description information.

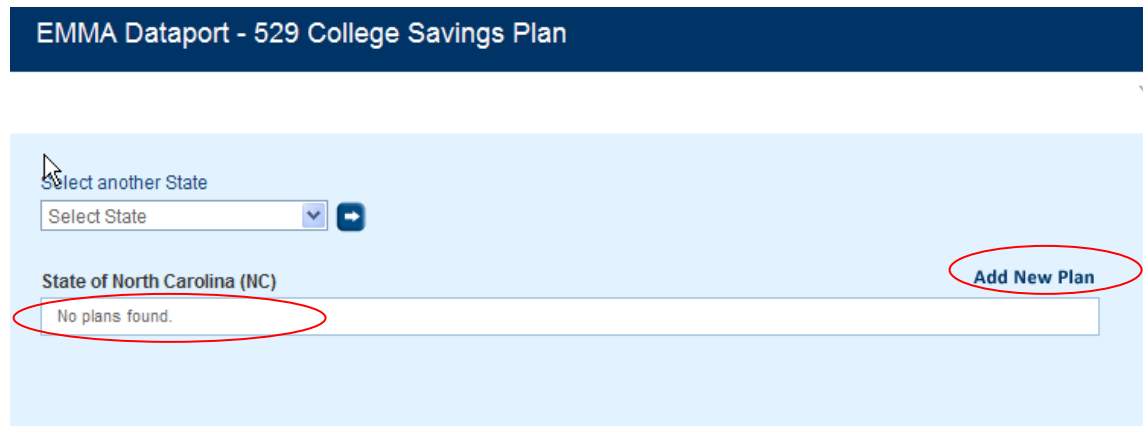
The Submission Status: Published indicates the 529 college savings plan has previously been published and can be viewed on the EMMA Public Portal.

The closing date must be submitted to complete submission. Since 529 college savings plans are sold through a continuous offering and do not have a specific closing date as do other municipal securities, the closing date represents the date the 529 college savings plan is first sold to an investor.



### 3.2 Adding a New 529 College Savings Plan

If a state has not previously submitted a plan disclosure document to EMMA, a message will indicate that no plans were found. To submit a new 529 college savings plan disclosure document for a selected state, click “Add New Plan”.



When adding a new 529 college savings plan, the plan description and the closing date are required for a complete submission.

The plan description describes the type of 529 college savings plan. It is important to describe the plan accurately, since this information will appear on the public web portal and will inform investors about the plan. Since 529 college savings plans are sold through a continuous offering and do not have a specific closing date as other municipal securities do, the closing date represents the date the 529 college savings plan is first sold to an investor.

Since this is a new plan submission, the following notation will appear on your screen: "Submission Status: Not Published," which indicates that the 529 college savings plan disclosure document has not been published and cannot be viewed on EMMA.

EMMA Dataport - 529 College Savings Plan

Submission Status: Not Published

You

Plan Document Offering

[-] Issue Information

Please provide the following details

\*All fields required, if applicable, for a complete submission

State: AK

\*Full Issuer Name: STATE OF ALASKA

\*Plan Description:

\*Closing Date: mm/dd/yyyy (\*this field required to publish)

[-] Continuing Disclosure Information

\*All fields required, if applicable, for a complete submission

\* Issuer or other obligated persons have agreed to undertake to provide Continuing Disclosure Information as contemplated under Exchange Rule 15c2-12.  Yes  No

Issuer Information

Continuing Disclosure Undertaking Information as Contemplated under Exchange Rule 15c2-12 is (select one):

Date: Month Day by which annual financial information is contractually due to be submitted each calendar year

Number of (days/ months) Select after the end of fiscal-year-end on Month Day by which the annual financial information is contractually due to be submitted

Add Obligated Person >

Identify whether the issuer or other obligated persons have agreed to undertake to provide continuing disclosure information as contemplated by Exchange Act Rule 15c2-12. If the issuer or other obligated persons have agreed to undertake to provide continuing disclosure information and such agreement includes an undertaking to

provide annual financial information, also enter information relating to the timing set forth in the continuing disclosure undertaking for the submission of annual financial information each year for the issuer and/or obligated person.

For an issuer, enter such information either as a specific date or as the number of days or months after a specified end date of the issuer’s fiscal year.

For an obligated person, enter the name of such obligated person as well as a specific date or the number of days or months after a specified end date of the obligated person’s fiscal year. To enter information about more than one obligated person, select “Add Obligated Person” and enter the name of such additional obligated person as well as a specific date or the number of days or months after a specified end date of the obligated person’s fiscal year.

**[–] Continuing Disclosure Information**

\*All fields required, if applicable, for a complete submission

\* Issuer or other obligated persons have agreed to undertake to provide Continuing Disclosure Information as contemplated under Exchange Rule 15c2-12.  Yes  No

**Issuer Information**

Continuing Disclosure Undertaking Information as Contemplated under Exchange Rule 15c2-12 is (select one):

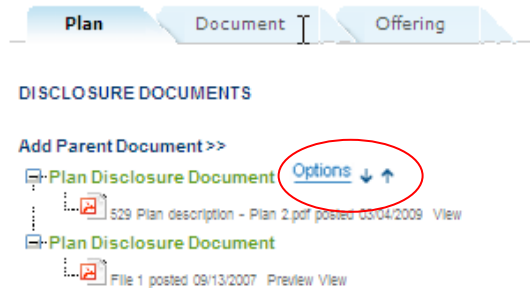
- Date   by which annual financial information is contractually due to be submitted each calendar year
- Number  of (days/ months)  after the end of fiscal-year-end on   by which the annual financial information is contractually due to be submitted

[Add Obligated Person >](#)

### 3.3 Uploading a Document

Select the Document tab to add a 529 college savings plan disclosure document or a 529 college savings plan disclosure document supplement. Both a new plan disclosure document and a supplement are entered by clicking on “Add Parent Document”.

Documents on this screen are displayed with the most recently submitted at the top. To change the order in which documents appear on display - for example, to display a particular 529 college savings plan Disclosure Document at the top of the list - click the arrow to move the document up or down on the screen.



Select document type as a MFS (Municipal Fund Security) Disclosure Document or a MFS (Municipal Fund Security) Disclosure Document Supplement.

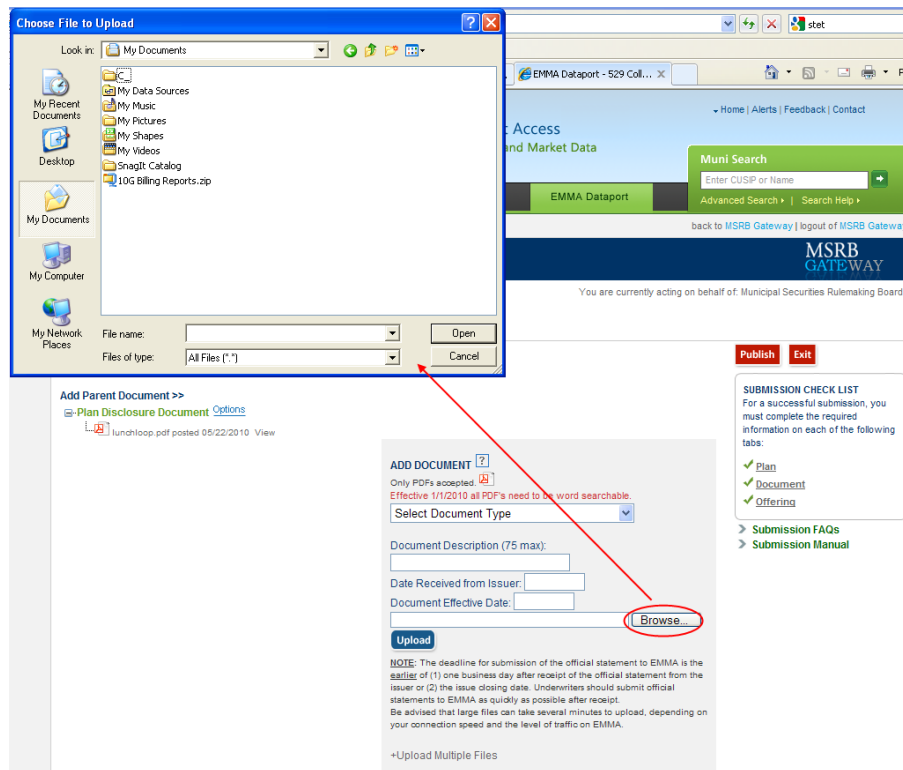
Enter the Document Effective Date. The Effective Date is the date on which the 529 college savings plan disclosure document or supplement takes effect or the effective date of the document being filed.



There are certain constraints on documents that can be uploaded into EMMA. Each plan 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.

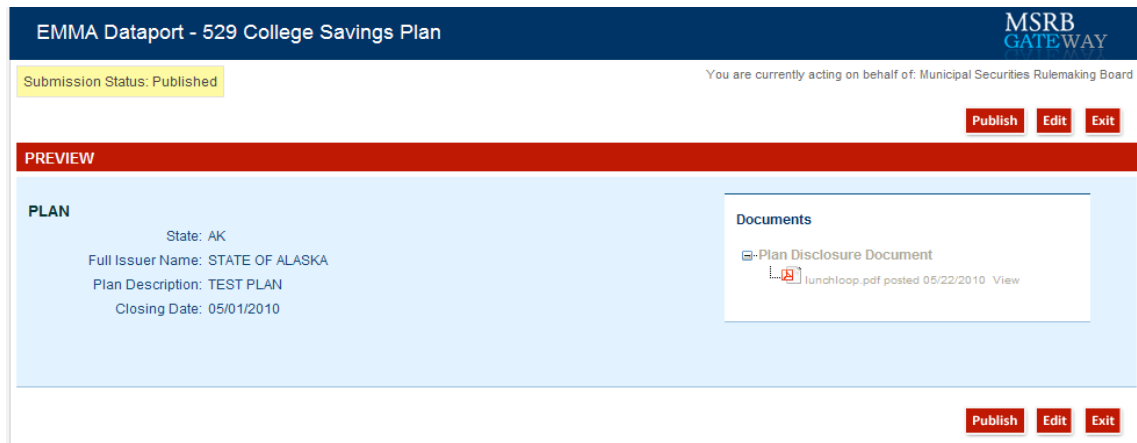


As shown in the illustration above, use the “Browse” button to select the file on your computer. Select the “Open” button, then select “Upload” to transfer the file to EMMA. It is important that prior to and subsequent to submission, the submitter review each page of the PDF to ensure that it is clear, readable, and word-searchable. Then select “Publish”. EMMA shows that the document has been uploaded by displaying the document name on the left side of the screen.

### 3.4 Publishing a Submission

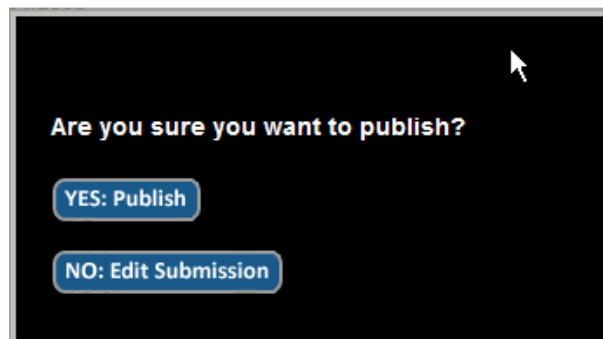
The uploaded document is not yet available to the public. **You must select “Publish” to disclose the document.** This is a two-step process. Select the red “Publish” button.

The following screen appears, which allows you to preview all the information you are about to publish.



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, select the “Publish” button a second time. The following screen appears.

You may resume editing the document by selecting “NO: Edit Submission” or publish it by selecting “YES: Publish”.

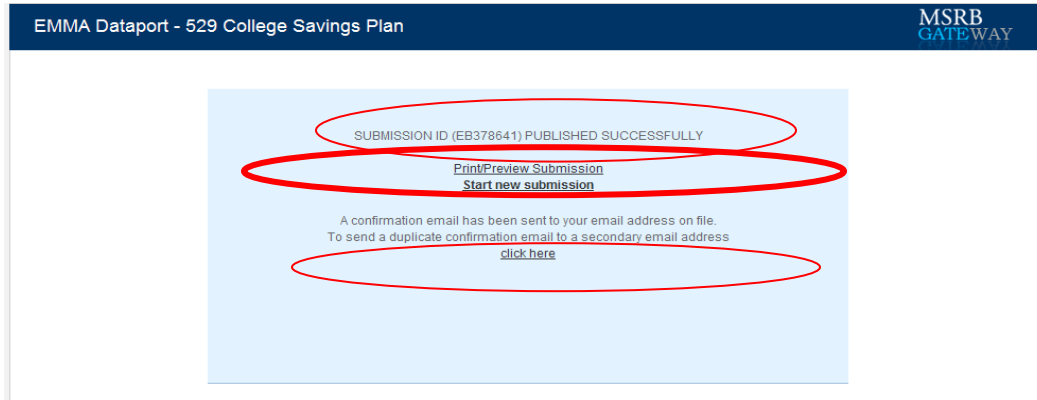


## Submission Confirmation

### Submission ID

When publishing a submission, a confirmation email will be sent to the submitter and a confirmation screen appears. The confirmation screen provides the submission identification, or “SUBMITTER ID,” the Print/ Preview option, the option to start a new submission, and the ability to send a confirmation email to a second email address.

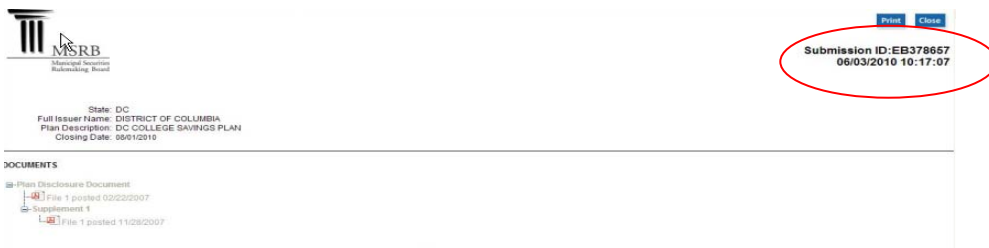
The submission ID is a unique identifier for each primary market submission. The submission id can be used to make additional updates related to the submission.



## Print/Preview

The confirmation screen offers the choice to Print/Preview the submission, which causes the following to display. It shows all published disclosure and document information that has been submitted.

This screen provides a complete listing of information about the 529 college savings plan provided on the EMMA public portal, the submission ID, and the date and time of submission for recordkeeping purposes. Submitters are advised to print and save a copy of this screen.



## Email Confirmation

Upon publication, an electronic confirmation email is sent to the submitter. An example follows. The email confirmation contains a link to the public portal and a link to make changes to the submission.

|  
Your 529 College Savings Plan submission has been published.  
Submission Id: EB378656

Issuer Name: DISTRICT OF COLUMBIA  
Plan Name: DC COLLEGE SAVINGS PLAN  
State: DC  
Closing Date: 08/01/2010 I

Please follow the link to access the published submission on EMMA:  
<http://dataportbeta.emma.msrb.org/IssueView/IssueDetails.aspx?id=MP1068>

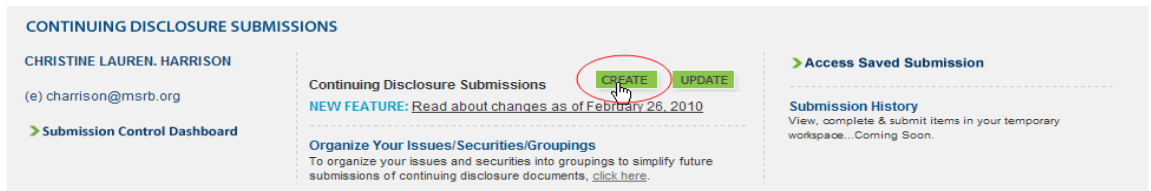
Documents:  
Plan Disclosure Document  
OSA18661-01.PDF posted 2/22/2007 12:00:00 AM  
Supplement 1  
OSA20433-01.PDF posted 11/28/2007 12:00:00 AM

Please follow the link to make changes to this submission:  
<http://dataportbeta.emma.msrb.org/Submission//MFSSubmissionEntry.aspx?sid=EB378656>

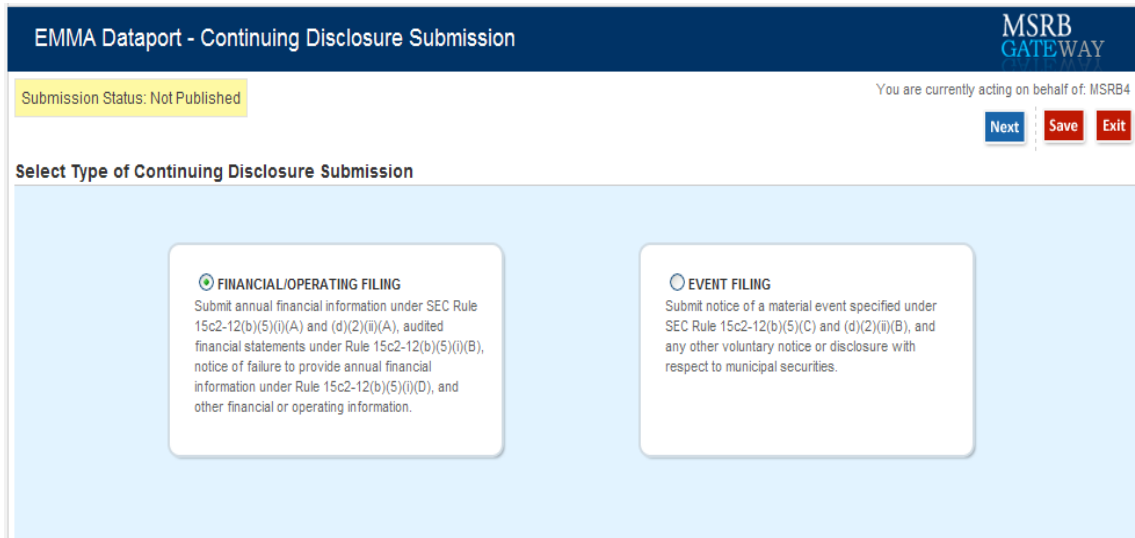
PLEASE DO NOT REPLY. This is a system-generated e-mail. If you need assistance please contact the MSRB at 703-797-6668 or you may obtain more

## 4.0 Submissions of Continuing Disclosures

As with primary market submissions, a submitter must register through Gateway in order to make continuing disclosure submissions. The *EMMA Dataport Manual for Continuing Disclosure Submissions* provides information on the Gateway registration process for continuing disclosures. The Continuing Disclosure Submission screen shown below, appears immediately after you log in. Select the green “Create” button to start a submission.



Begin by selecting the type of continuing disclosure you will submit: either an annual/operating filing or event filing (this manual assumes you are submitting a Financial/Operating Filing; an Event Filing is very similar). Select the blue “Next” button to proceed.



## 4.1 Submitting an Annual or Periodic Filing

### Selecting the Document Type

To submit an annual or periodic filing, select the disclosure type, as shown below. You may select multiple types of disclosure. An annual or periodic filing may be made pursuant to SEC Rule 15c2-12, or may be made in addition to or voluntarily.

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: Test Dealer 18

Back Next Save Exit

Select Type of Continuing Disclosure Submission

FINANCIAL/OPERATING DATA DISCLOSURES

Rule 15c2-12 Disclosure

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

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

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

Failure to provide annual financial information as required

Additional / Voluntary Disclosure

Quarterly / Monthly Financial Information

Change in fiscal year / timing of annual disclosure

Change in accounting standard

Interim / additional financial information / operating data

Budget

Investment / debt / financial policy

Information provided to rating agency, credit / liquidity provider or other third party

Consultant reports

Other financial / operating data

Enter the document title or other descriptive information in the free-text box labeled “Description” to provide additional details about the contents of the disclosure. Below the free text box, enter the period covered by the disclosure. All dates, including the “year ended,” must be in the format mm/dd/yyyy. 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 in the EMMA public website in connection with the uploaded document.

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB4

Back Next Save Exit

Select Type of Continuing Disclosure Submission

FINANCIAL/OPERATING DATA DISCLOSURES

Rule 15c2-12 Disclosure

\* indicates required fields

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

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

Consisting of: \_\_\_\_\_

Year Ended

Year Ended

Other Period Beginning \_\_\_\_\_ or CAFR (Rule 15c2-12)

Failure to provide annual financial information as required

Additional / Voluntary Disclosure

Quarterly / Monthly Financial Information

Change in fiscal year / timing of annual disclosure

Change in accounting standard

Interim / additional financial information / operating data

Budget

Investment / debt / financial policy

Information provided to rating agency, credit / liquidity provider or other third party

Consultant reports

Other financial / operating data

## Associating Issues or Securities to the Disclosure

Next you need to associate issues or securities to the disclosure. Select 529 college savings plan.

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB4

Back Next Save Exit

**Associate Issues/Securities to the Disclosure**

Disclosure Type: Annual Financial Information & Operating Data for the year ended 03/31/2010

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
- Other Municipal Fund Security

Search for the state that you are associating to the submission, and then select the plan description(s) that you are associating to the submission.

EMMA Dataport - Continuing Disclosure Submission

MSRB GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB4

Back Next Save Exit

**Associate Issues/Securities to the Disclosure**

Disclosure Type: Annual Financial Information & Operating Data for the year ended 03/31/2010

**NON-CUSIP-9 BASED**

529 COLLEGE SAVINGS PLANS

TX

State of Texas

Select Issue(s)	Issuer Name	Plan Description
<input type="checkbox"/>	STATE OF TEXAS	LONESTAR 529 PLAN
<input type="checkbox"/>	STATE OF TEXAS	TEXAS COLLEGE SAVINGS PLAN

## Associating 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, the following screen appears:

EMMA Dataport - Continuing Disclosure Submission

MSRB  
GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: MSRB4

Back Next Save Exit

**Associate Contacts to the Disclosure (Contact information will be posted on EMMA)\***  
Disclosure Type: Annual Financial Information & Operating Data for the year ended 03/31/2010

**Submitter's Contact Information**

Company: MSRB4  
Name: CHRISTINE HARRISON  
Address: 1900 DUKE STREET  
City, State Zip: ALEXANDRIA, VA 22314  
Phone Number: 703-797-6668  
Email: charrison@msrb.org

**Issuer's Contact Information**  
Select Contact >> Enter New Contact

**Obligor's Contact Information**  
Select Contact >> Enter New Contact

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

You can enter new issuer contact information, obligated person contact information, or both. An obligated person is the party having an obligation with respect to the payment of debt service on bonds, typically but not always the borrower of bond proceeds. Note: the obligor might not be applicable to issuers of 529 college savings plans. You must enter the contact's name and either the phone number or e-mail address. The pull-down menus also enable you to select among contacts you have previously associated with any one of the 529 college savings plans in the current submission. If you do not enter issuer or obligated person contact information, then EMMA will display the submitter's information.

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

Submission Status: Not Published You are currently acting on behalf of: Municipal Securities Rulemaking Board

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

**Associate Contacts to the Disclosure (Contact information will be posted on EMMA)\***  
 Disclosure Type: Audited Financial Statements or CAFR for the year ended 03/31/2010

**Submitter's Contact Information**

Company: Municipal Securities Rulemaking Board  
 Name: EMMA TESTER  
 Address: 1900 DUKE STREET  
 City, State: ALEXANDRIA, VA 22314  
 Zip:  
 Phone Number: 703-797-6600 ext. 1234  
 Email:

**Issuer's Contact Information** >> Select Existing

Contact

\* denotes required fields  
 † one of these fields is required

Company:   
 \*First Name:   
 \*Last Name:   
 Address:   
 City:   
 State:   
 Zip Code:   
 †Phone Number:   
 Extension:   
 †Email:

>> Clear Contact Information

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

**Obligor's Contact Information** >> Enter New Contact

Select Contact   
 Select Contact

Note that the contacts you enter will not be visible to other submitters. Each submitter must enter its own contact information.

## 4.2 Uploading a Document

When your security and issue selections have been made, select “Next”. The document upload screen will appear.

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

Submission Status: Not Published You are currently acting on behalf of: MSRB4

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

**Upload Disclosure Document**  
 Disclosure Type: Annual Financial Information & Operating Data for the year ended 03/31/2010

**Continuing Disclosure Document**  
 Currently no documents exist

**UPLOAD CONTINUING DISCLOSURE DOCUMENT**

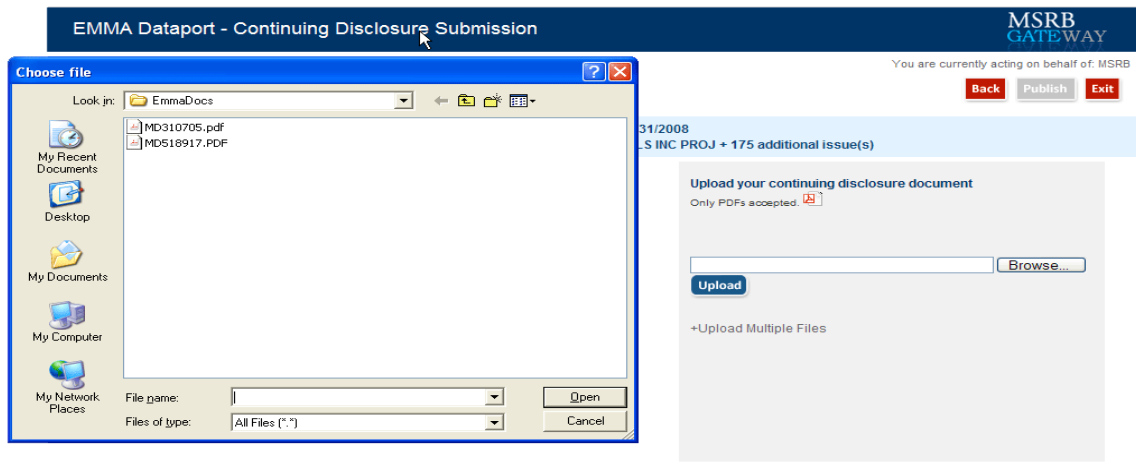
Only PDFs accepted. Effective 1/1/2010 all PDF's need to be word searchable.

+Upload Multiple Files

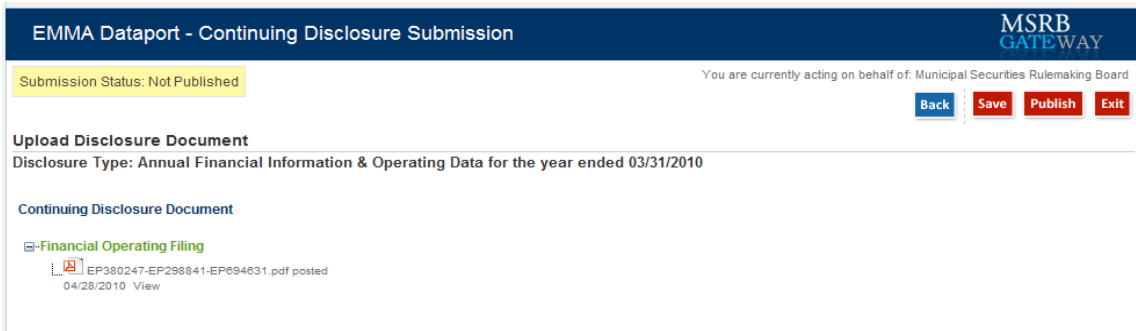
There are certain constraints on documents that can be uploaded into EMMA. Each continuing disclosure document must be a portable document format (PDF) file

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.

Use the “Browse” button to select the file on your computer. Select the “Open” button, then select “Upload” to transfer the file to EMMA. It is important that prior to and subsequent to submission, the submitter review each page of the PDF to ensure that it is clear, readable, and word-searchable.



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



## 4.3 Publishing a Submission

The uploaded document is not yet disclosed to the public. **You must select “Publish” to disclose the document.** This is a two-step process. Select the red “Publish” button. The following screen appears, which allows you to preview all the information you are about to publish.

The screenshot displays the 'Continuing Disclosure Preview' interface. At the top right, the MSRB GATEWAY logo is visible. The submission status is 'Not Published'. A red bar highlights the 'PREVIEW' section. The main content area shows details for a 'FINANCIAL/OPERATING FILING (529 Plan)' for the year ended 03/31/2010. A 'View Documents' section lists a PDF file: 'EP380247-EP298841-EP694631.pdf posted 04/28/2010'. Below this is a table with columns for Issuer Name, Plan Description, and State. The table contains one entry: STATE OF TEXAS, LONESTAR 529 PLAN, TX. At the bottom, the 'Submitter's Contact Information' is listed, including company name, name (EMMA TESTER), address (1900 DUKE STREET, ALEXANDRIA, VA 22314), phone number (703-797-6600 ext. 1234), and email (mbhide@msrb.org).

Issuer Name	Plan Description	State
STATE OF TEXAS	LONESTAR 529 PLAN	TX

**Submitter's Contact Information**  
Company: Municipal Securities Rulemaking Board  
Name: EMMA TESTER  
Address: 1900 DUKE STREET  
City, State Zip: ALEXANDRIA, VA 22314  
Phone Number: 703-797-6600 ext. 1234  
Email: mbhide@msrb.org

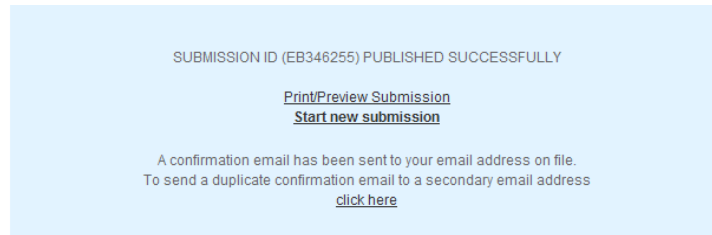
If any information on the Preview screen needs to be changed, use the “Back” button until you reach the screen where the data was input. Once all information is correct, select the “Publish” button a second time. The following screen appears.



You may resume editing the document by selecting “NO: Edit Submission” or publish it by selecting “YES: Publish.” When you publish a submission, a confirmation email will be sent to the submitter and the following confirmation screen appears.

The confirmation screen gives the submitter a submission ID, as well as a chance to send a duplicate confirmation email by selecting the link and entering a separate email address.

This screen also gives the submitter a print/preview screen to allow the submitter to view their published submission. The submitter should select the print/preview tab to retain a hard-copy record of the submission.



## 5.0 Submissions by Issuers on a Voluntary Basis

EMMA Dataport provides the capability for issuers of municipal securities to submit primary market documents and related information on a voluntary basis. Such documents include 529 college savings plan disclosure documents voluntarily submitted by issuers of state 529 plans.

These 529 College Savings Plans may be submitted to EMMA so that a state issuer can disclose 529 College Savings Plan directly to investors without the assistance of a dealer. Voluntary submissions made by issuers of 529 College Savings Plan disclosure documents do not relieve underwriters of their submission obligations related to plan disclosure documents under MSRB Rule G-32, to the extent applicable.

### 5.1 Starting the Submission Process

To submit a 529 college savings plan disclosure document go to EMMA Dataport. Select the tab labeled “Issuer Voluntary Official Statement”.

Select the organization for which you will be submitting from the drop menu.

EMMA Dataport Submission Portal

MSRB GATEWAY

AAMIR TESTER, email: amansoor@msrb.org

Voluntary Financial Information: Timing, GAAP Undertaking & URL

Preliminary Official Statement and Pre-Sale Documents

**Issuer Voluntary Official Statement**

Select Organization -select one-

Submit voluntary financial filing information CREATE/UPDATE

Issuers and obligated persons may submit, on a voluntary basis, the following information:

- Timing – Describe the contractual obligation to disclose annual financial statements through EMMA: 120 or 150 days after the end of the fiscal year, if applicable;
- Preparation – Disclose the accounting method used in preparation of audited financial statements: GAAP-GASB, GAAP-FASB, or unspecified;
- URL Link for Additional Financial Information – Provide a hyperlink (URL) to an Internet-based resource with additional financial information, such as your investor relations web page.

In conjunction with these submissions you will be required to provide the CUSIP numbers of securities, if applicable.

Click the “Create/Update” link next to 529 College Savings Plan. When making a submission of a 529 college savings plan disclosure document, you use the same link for creating and updating a submission.

EMMA Dataport Submission Portal

MSRB  
GATEWAY

AAMIR TESTER, email: amansoor@msrb.org

Voluntary Financial Information: Timing, GAAP Undertaking & URL | Preliminary Official Statement and Pre-Sale Documents | Issuer Voluntary Official Statement

Select Organization: Aamir Organization (P00017)

Submit official statement or related information to make a voluntary primary market submission

Bond/ Note/ Variable Rate (Standard EMMA Submission- 9-digit CUSIP number required) [CREATE](#) [UPDATE](#)

Commercial Paper (6-digit CUSIP number required) [CREATE](#) [UPDATE](#)

Ineligible for CUSIP Number Assignment [CREATE](#) [UPDATE](#)

529 College Savings Plan [CREATE / UPDATE](#)

Other Municipal Fund Security [CREATE / UPDATE](#)

Advance Refunding Document (Also known as Escrow Deposit Agreement/ Refunding Agreement etc.) [CREATE](#) [UPDATE](#)

Issuers may submit, on a voluntary basis, “primary market” documents and information, including:

- Official statements and advance refunding documents – These documents may be submitted to update posted documents or add missing documents to the EMMA database
- Issue-related information – Information may be reported to remedy certain errors or omissions as well as add ‘plain English’ descriptions of issues prior to June 1, 2009.

For issues underwritten after June 1, 2009, issuers may report errors by telephone or email to the MSRB.

Submissions made using this service do **not** relieve underwriters of their submission obligations relating to official statements and advance refunding documents under MSRB Rule G-32.

Select the state for which you are making the 529 college plan disclosure and then click the arrow button.

Select State

If information about a 529 college savings plan in this state has previously been submitted, by an underwriter, issuer or their designated agent, the plan name will be displayed. 529 College Savings Plans that are not listed as modifiable are listed for reference only and cannot be modified by an issuer. Issuers can only modify plans submitted by issuers.

To modify an existing plan click the word “Modify”. To create a new plan disclosure document, click the link, “Add New Plan”.

Select another state

Select State

The plans shown as modifiable have been disclosed by an issuer and may be modified by the same. Other plans are listed for reference only.

State of Alaska (AK) **Add New Plan**

	529 Plan Description	State
	JOHN HANCOCK FREEDOM 529	AK
<a href="#">Modify</a>	<a href="#">LAJOHN LUFF</a>	AK
	TEST PLAN	AK
	THE T. ROWE PRICE COLLEGE SAVINGS PLAN	AK
	THE UNIVERSITY OF ALASKA COLLEGE SAVINGS PLAN	AK

## 5.2 Adding a New 529 College Savings Plan

Click the link, “Add New Plan” from the list of 529 plan descriptions. You will be directed to the “Plan” tab.

**EMMA Dataport - 529 College Savings Plan (Voluntary Official Statement)**

Submission Status: Not Published You are current

**Plan** Document Offering

**[–] Issue Information**

Please provide the following details  
\*All fields required, if applicable, for a complete submission

State: AK  
 \*Full Issuer Name: STATE OF ALASKA  
 \*Plan Description:   
 Closing Date:  mm/dd/yyyy

**[–] Continuing Disclosure Information**

\*All fields required, if applicable, for a complete submission

\* Issuer or other obligated persons have agreed to undertake to provide Continuing Disclosure Information as contemplated under Exchange Rule 15c2-12.  Yes  No

**Issuer Information**

Continuing Disclosure Undertaking Information as Contemplated under Exchange Rule 15c2-12 is (select one):

Date  Month  Day by which annual financial information is contractually due to be submitted each calendar year

Number  of (days/ months)  Select after the end of fiscal-year-end on  Month  Day by which the annual financial information is contractually due to be submitted

[Add Obligated Person >](#)

View the issue information on the “Plan” tab. The state and the full issuer name fields will be pre-populated.

Enter the plan description information and the plan disclosure closing date. The plan description describes the type of 529 college savings plan. It is important to describe the plan accurately, since this information will appear on the public web portal and will inform investors about the plan. Since 529 college savings plans are sold through a continuous offering and do not have a specific closing date as other municipal securities do, the closing date represents the date the 529 college savings plan is first sold to an investor.

**EMMA Dataport - 529 College Savings Plan (Voluntary Official Statement)**

Submission Status: Not Published You are current

**Plan** | Document | Offering

**[-] Issue Information**

Please provide the following details  
\*All fields required, if applicable, for a complete submission

State: AK  
\*Full Issuer Name: STATE OF ALASKA  
\*Plan Description:   
Closing Date:  mm/dd/yyyy

On the Continuing Disclosure Information screen, the “No” radio button must always be selected. 529 plan disclosure documents that are voluntarily submitted by issuers are not subject to Exchange Act 15c2-12, and therefore the “Yes” option does not apply.

If the issuer or other obligated persons have agreed to undertake to provide continuing disclosure information as contemplated by Exchange Act Rule 15c2-12, then the submission is not voluntary and the Continuing Disclosure information must be submitted using the “Primary Market” tab. Refer to section 3.0 Making a Primary Market Submission.

**[-] Continuing Disclosure Information**

\*All fields required, if applicable, for a complete submission

\* Issuer or other obligated persons have agreed to undertake to provide Continuing Disclosure Information as contemplated under Exchange Rule 15c2-12.  Yes  No

**Issuer Information**

Continuing Disclosure Undertaking Information as Contemplated under Exchange Rule 15c2-12 is (select one):

Date   by which annual financial information is contractually due to be submitted each calendar year

Number  of (days/ months)  after the end of fiscal-year-end on   by which the annual financial information is contractually due to be submitted

[Add Obligated Person >](#)

## 5.3 Uploading a Document

Click on the “Document” tab. From the Upload Document box, select the document type: “MFS Disclosure Document”.

You may optionally enter a document description (the current version of EMMA will not display the description).

Enter the Document Effective Date.

Click “Browse” to navigate to the location of the file on your computer. The file must be in word-searchable PDF format

Submission Status: Published You are currently

Plan **Document** Offering

**DISCLOSURE DOCUMENTS**  
Currently no documents exist

**UPLOAD DOCUMENT**

Only PDFs accepted. Effective 1/1/2010 all PDF's need to be word searchable.

MFS Disclosure Document

Document Description (75 max):  
529 College Savings Plan

Document Effective Date: 05/16/2011

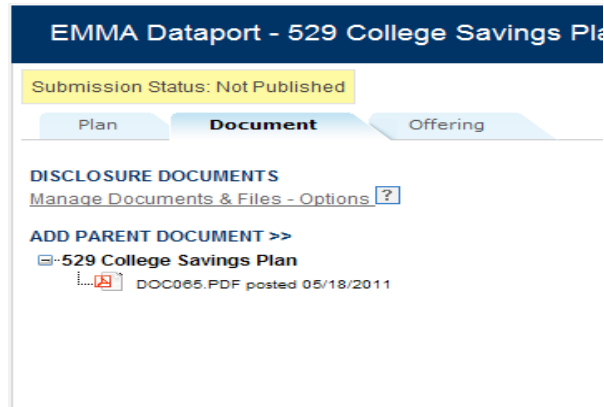
C:\Documents and Settings\luff\Desktop\DOC\

**NOTE:** The deadline for submission of the official statement to EMMA is the earlier of (1) one business day after receipt of the official statement from the issuer or (2) the issue closing date. Underwriters should submit official statements to EMMA as quickly as possible after receipt. Be advised that large files can take several minutes to upload, depending on your connection speed and the level of traffic on EMMA.

+Upload Multiple Files

It is recommended that the plan disclosure document comprise a single file. If it is necessary to upload multiple files to provide the complete plan document, click the “Upload Multiple Files” link.

After you upload the 529 college savings plan document, the following screen will show the file(s). Click the document name to make the word “Options” appear, then click “Options” to add a file, edit file information (such as the description), replace one file with another, or remove a file.



Next, click on the “Offering” tab. The “Offering” tab will display your 529 College Savings Plan summary information.



## 5.4 Publishing a Submission

Information is not disclosed to the public until you “Publish” your submission. The “Preview” screen will display all the information you have entered for review before you “Publish.” You may update the information entered by clicking the “Edit” button before you publish”.

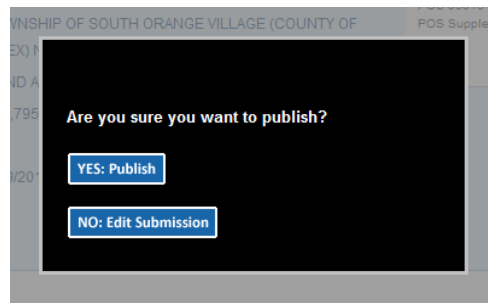
Below is an example of the Preview screen.

The screenshot shows the MSRB Gateway interface for the EMMA Dataport. The header includes the title "EMMA Dataport - 529 College Savings Plan (Voluntary Official Statement)" and the MSRB Gateway logo. A yellow box indicates the submission status as "Not Published". The user is identified as acting on behalf of the "Aamir Organization". Navigation buttons for "Publish", "Edit", and "Exit" are visible. The main content area is titled "PREVIEW" and displays the following information:

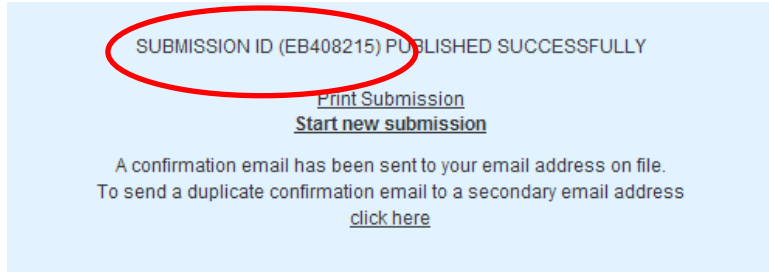
- 529 COLLEGE SAVINGS PLAN**
- State: AK
- Full Issuer Name: STATE OF ALASKA
- Plan Description: JOHN
- Closing Date: 05/18/2011

A box on the right indicates "Currently no documents exist". Below this, the "CONTINUING DISCLOSURE INFORMATION" section states that the issuer or other obligated persons have agreed to provide this information as contemplated under Exchange Rule 15c2-12. The "Issuer Information" section notes that continuing disclosure information is due to be submitted each calendar year by February 28. At the bottom right, there are "Publish", "Edit", and "Exit" buttons.

When the data files are satisfactory, click the “Publish” button, then click the “YES: Publish” button.



EMMA displays the following screen, which includes the Submission ID. You will need either this ID or the CUSIP number to make updates later. Save the email confirmation from EMMA, which contains the submission ID, or save the submission ID separately.




## 5.5 Updating or Canceling a Voluntary Submission

To modify a voluntary submission, click the “529 College Savings Plan” tab, then click “Update.”

Select the state and find the 529 College Savings Plan disclosure document you wish to modify.

Select another state

Select State 

The plans shown as modifiable have been disclosed by an issuer and may be modified by the same. Other plans are listed for reference only.

State of Alaska (AK) [Add New Plan](#)

	529 Plan Description	State
<a href="#">Modify</a>	<a href="#">JOHN</a>	AK
	JOHN HANCOCK FREEDOM 529	AK
<a href="#">Modify</a>	<a href="#">LAJOHN LUFF</a>	AK
	TEST PLAN	AK
	THE T. ROWE PRICE COLLEGE SAVINGS PLAN	AK
	THE UNIVERSITY OF ALASKA COLLEGE SAVINGS PLAN	AK

During the update process, you may change anything you or your organization previously submitted. You can add, replace or delete documents. Your designated agent can make the same changes on your behalf. Be sure to “Publish” the updated submission to disseminate the results.

The update process also enables you to cancel a 529 College Savings Plan document that your organization has submitted. To do so, click on the “Offering” tab and select “Cancel Offering” at the bottom of the screen. Canceling your submission will remove it from public view.

The screenshot displays the EMMA Dataport interface for a 529 College Savings Plan. At the top, a dark blue header reads "EMMA Dataport - 529 College Savings Plan (Voluntary Official Statement)". Below this, a yellow box indicates "Submission Status: Published" and the text "You are current" is visible on the right. Three tabs are present: "Plan", "Document", and "Offering", with "Offering" being the active tab. On the left, a light blue sidebar contains a "PLAN SUMMARY" section with the following details: "PLAN", "State: AK", "Full Issuer Name: STATE OF ALASKA", "Plan Description: LAJOHN LUFF", and "Closing Date: 05/17/2011". On the right, a white panel titled "[ - ] Notice of Cancellation" contains a blue button labeled "Cancel Offering", which is circled in red.