



MSRB

Municipal Securities
Rulemaking Board

EMMA – Electronic Municipal Market Access

The Official Source for Municipal Disclosures and Market Data

Specifications for the Preliminary Official Statement Submission Service

emma.msrb.org

Version 1.2
August 2015

REVISION HISTORY

Version	Date	Major Changes
1.0	May 2011	Initial version.
1.1	July 2011	Remove security types for 529 College Savings Plan and Other Municipal Fund Security Modified Figures 2,3,4,5, and 6 removed specifications and example XML for 529 College Savings Plan and Other Municipal Fund Security
1.2	August 2015	Updated the Support section to reflect the change in hours of operation for Email Support.

RESOURCES

MSRB Website: www.msrb.org
EMMA Website: emma.msrb.org

Rule G-34(c): www.msrb.org/Rules-and-Interpretations/MSRB-Rules/General/Rule-G-34.aspx

SUPPORT

For assistance, contact MSRB Support at 202-838-1330 or 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

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TABLE OF CONTENTS

INTRODUCTION	5
RELATED DOCUMENTATION	5
SPCIFICATIONS FOR THE PRIMARY MARKET SUBMISSION SERVICE FOR PRELIMINARY OFFICIAL STATEMENT SUBMISSION	6
PRELIMINARY OFFICIAL STATEMENT SUBMISSION WEB SERVICE INTERFACE	6
SUBMISSION ACCOUNTS AND MSRB GATEWAY.....	7
SUBMISSION PROCESS	7
DOCUMENT SUBMISSION AND DOCUMENT MESSAGE.....	7
INDEX OF FIGURES	10
MESSAGE PROCESSING OVERVIEW	11
SUBMISSION MESSAGE & TYPE DEFINITION SCHEMAS	12
XML MESSAGE SCHEMAS	13
DATA TAG GLOSSARY	18
VALIDATION RESPONSE MESSAGES.....	24
SAMPLE DOCUMENT XML MESSAGES	28
SAMPLE XML HEADERS	31

INTRODUCTION

The MSRB's Electronic Municipal Market Access (EMMA) website allows issuers and their designated agents to submit, on a voluntary basis, preliminary official statements and related pre-sale documents, such as notices of sale, for posting on the EMMA website¹. A preliminary official statement is required to make other types of pre-sale submissions. Issuers will be able to submit supplemental disclosures, such as notices of sale, if accompanied or preceded by the preliminary official statement.

Issuers seeking to make submissions, or to designate agents to make submissions on their behalf, must establish an "organization account" in Gateway. Organization accounts are not the same accounts used to make continuing disclosure submissions, and are subject to additional verification procedures to affirmatively establish the individual's authority to act on behalf of the issuer in connection with such primary market disclosure submissions. Issuers should refer to the "MSRB Dataport Manual for Primary Market Submissions by Issuers" for instructions on how to set up an organization account. That manual also describes how to submit voluntary primary market data and documents using the EMMA Dataport user interface.

The purpose of this document is to assist submitters in uploading, by a computer-to-computer interface, documents and related information. Also included in this document are schemas used by the Primary Market Submission Service for preliminary official statement submissions to parse XML file submissions. The schemas can be used by preliminary official statement submitters to verify that XML files are properly formatted. In addition, this document sets forth the data elements that will be used in connection with a document submission for preliminary official statements.

Documents submitted to the Primary Market Submission Service are made available on the MSRB's Electronic Municipal Market Access ("EMMA") web portal and will be made available on a subscription basis.

RELATED DOCUMENTATION

Agents, including obligated persons, submitting on behalf of issuers must have an authorized Gateway account before they can submit. To be authorized, after establishing the account, an issuer must designate the agent's organization as an agent in Gateway. Instructions for getting designated as an agent by an issuer may be found in the "EMMA Dataport Manual for Voluntary Submissions by Issuers and Obligated Persons" or in the "MSRB Gateway Agent Invitation and Designation User Manual". All manuals can be located on www.msrb.org.

In addition to the processes described in this manual, EMMA Dataport allows issuers and obligated persons to submit continuing disclosure documents. Continuing disclosure documents include financial-based disclosures such as audited financial statements, as well as event-based

¹ See MSRB NOTICE 2010-15 (June 2, 2010) for more information. This notice may be found on www.msrb.org.

disclosures such as ratings changes or bond calls. The organization accounts established by issuers to make the submissions described in these specifications cannot be used to submit continuing disclosure documents. Refer to the “EMMA Dataport Manual for Continuing Disclosure Submissions” for instructions on how submit continuing disclosure documents and how to set-up the appropriate user account.

SPCIFICATIONS FOR THE PRIMARY MARKET SUBMISSION SERVICE FOR PRELIMINARY OFFICIAL STATEMENT SUBMISSION

PRELIMINARY OFFICIAL STATEMENT SUBMISSION WEB SERVICE INTERFACE

The MSRB has exposed a web service interface allowing for the submission of Simple Object Access Protocol (SOAP) standard extensible markup language (XML) messages and portable document format (PDF) documents using secure, computer-to-computer communications. This interface is remotely consumed by applications written by or for submitters in a wide variety of programming languages and running on a wide variety of platforms. Submitters using the Preliminary Official Statement Submission Web Service Interface (“POS Submission Web Service Interface”) will connect to the web service interface for making official submissions as follows:

<https://services.emma.msrb.org/DisclosureServices/POSDisclosureService.svc>

Beta version of POS submission web service interface. A beta version of the interface is made available by the MSRB. This serves as a platform for potential submitters to conduct tests to ensure proper programming and configuration of their applications for making submissions to the MSRB Primary Market Submission Service. Test submissions made through the beta platform will not be published on the EMMA web portal and will not be disseminated through the Primary Market Subscription Service. Documents submitted to the beta site will be available for other test submitters to view and will be made available to test subscribers. Submitters using the beta site for testing should use real disclosure documents when possible in order to better replicate the actual submission process. The same document may be uploaded multiple times for testing purposes.

For test submissions submitted to the beta platform:

<https://servicesbeta.emma.msrb.org/DisclosureServices/POSDisclosureService.svc>

SUBMISSION ACCOUNTS AND MSRB GATEWAY

All submissions will be made through password protected accounts established through the MSRB's Gateway. MSRB Gateway is accessible through the MSRB's website at <http://www.msrb.org> or through the EMMA web portal at <http://dataport.emma.msrb.org/AboutDataport.aspx>. Information about establishing accounts through MSRB Gateway for submissions to the Primary Market Submission Service is available on the MSRB's web site at <http://www.msrb.org/Market-Disclosures-and-Data/MSRB-Systems-and-Support/Gateway.aspx>.

SUBMISSION PROCESS

Overview of Submission Message Processing, Schemas and Data Tags

Following this section are a series of figures and tables providing more detailed information about the POS submission web service interface process. A message processing overview is included in Figure 1. XML schemas for submission messages, together with a type definition schema, are included in Figure 2. A data tag glossary is provided in Figure 3. Required and optional data elements are provided in Figure 4. Messages will be validated and the Preliminary Official Statement Submission Service will return response messages to the submitter's system. A table of validation response messages is included in Figure 5. Sample XML message that demonstrate the structure of a submission are provided in Figure 6, along with a message header example including the file stream in Figure 7.

Upon successful submission of the message through the POS submission web service interface, the interface will provide a response message that includes, among other things, a submission identifier. The submission identifier is required to be included in the related document update message(s).

DOCUMENT SUBMISSION AND DOCUMENT MESSAGE

Documents will be submitted through the POS submission web service interface as SOAP messages. The document message will be organized to include a message header, along with an authentication token and web services protocol support. The authentication token and web services protocol support to be included in the header are illustrated in Figure 7.

The elements available for the document message, together with the value to be selected, would be as follows:²

² Element and enumerated values from which specific selections are to be made are more fully described in the data tag glossary in Figure 3.

- **submission data** –
 - i. submission status (select ‘publish’, ‘cancel’, ‘test’)
 - ii. submission identifier (enter identification number assigned by EMMA to identify submission for modification purposes)

- **issue data** (each element provided for each issue in the offering) –
 - i. security type (select ‘CUSIP9’, ‘CommercialPaper’, ‘nonCUSIP’)
 - ii. issue description (enter full plain English description as it appears in the preliminary official statement)
 - iii. issuer name (enter full plain English issuer name as it appears in the preliminary official statement)
 - iv. issuer state (enter state abbreviation)
 - v. issue closing date (enter date)
 - vi. issue dated date (enter date)
 - vii. preliminary official statement date (enter date)
 - viii. issue total par amount (enter value)
 - ix. issuer CUSIP6 (enter reference value)
 - x. CUSIP6 (enter CUSIP6 of commercial paper)

- **security data** (each element provided for each security in the offering) –
 - i. CUSIP9 (enter value)
 - ii. maturity date (enter date)
 - iii. interest rate (enter value)
 - iv. maturity principal amount (enter value)

- **file data** –
 - i. file type (select ‘CUSIP9’, ‘PreliminaryOfficialStatement’, ‘NoticeOfSale’, ‘Advertisement’, ‘RelatedDocument’)
 - ii. file description (enter description)

- **issuer data** –
 - i. issuer MSRB ID (enter MSRB ID)

- **contact information data** –
 - i. contact organization name (enter full name of organization to contact regarding submitted disclosure)
 - i. contact first name (enter first name of contact person)
 - ii. contact last name (enter last name of contact person)
 - iii. contact phone number (enter phone number of contact person)
 - iv. contact phone number extension (enter extension, if any, of contact person)
 - v. contact address (enter street/post office address of contact person)
 - vi. contact city (enter city of contact person)
 - vii. contact state (enter state of contact person)
 - viii. contact zip code (enter zip code of contact person)

ix. contact e-mail address (enter e-mail address of contact person)

* * *

INDEX OF FIGURES

Figure 1: Message Processing Overview	11
Figure 2: Submission Message Schémas	12
Figure 3: Data Tab Glossary.....	18
Figure 4: Required/Optional Data Elements.....	21
Figure 5: Validation Response Messages	24
Figure 6: Sample Document XML Messages	28
Figure 7: Sample XML Headers.....	31

Figure 1: Message Processing Overview

MESSAGE PROCESSING OVERVIEW

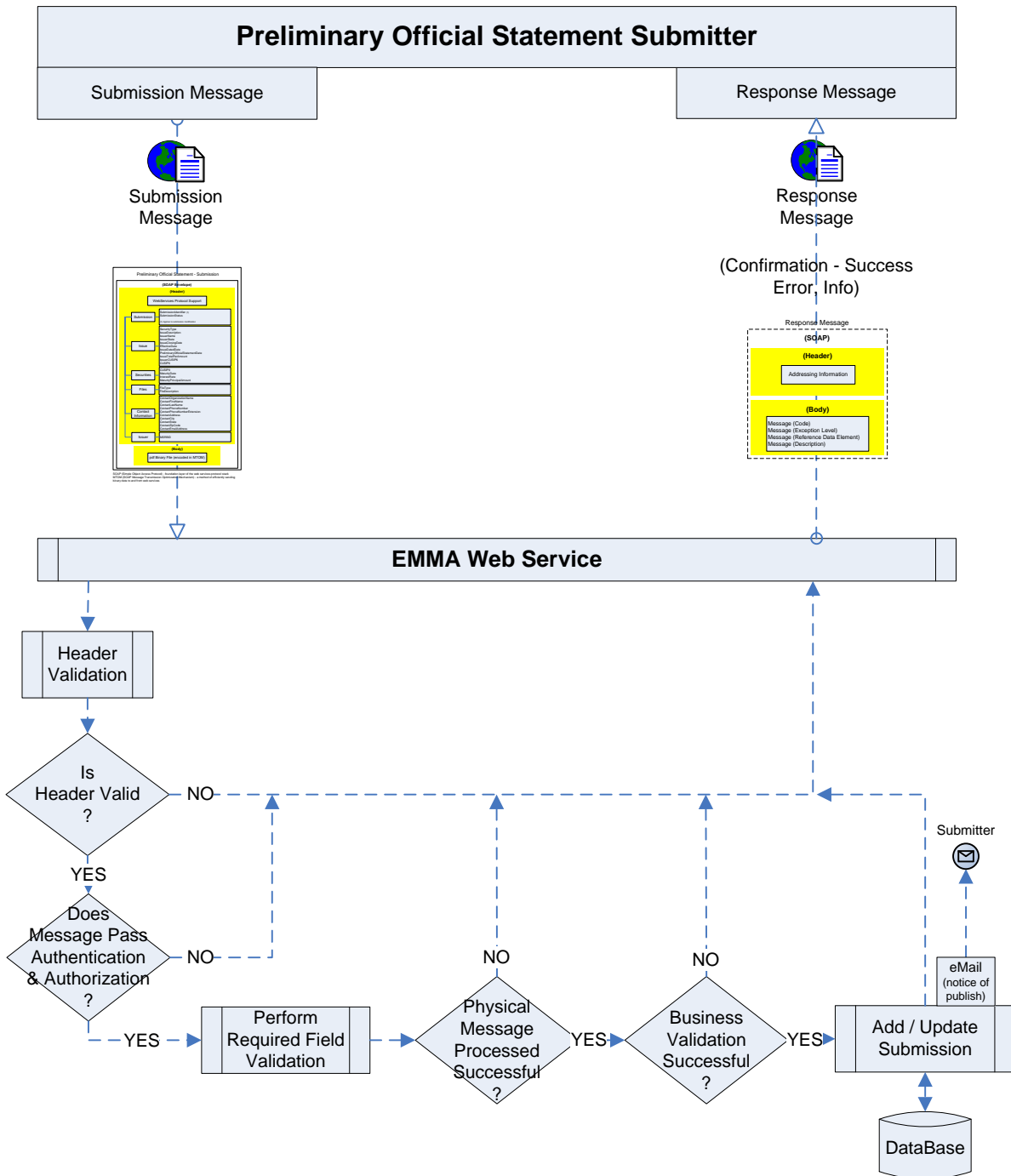
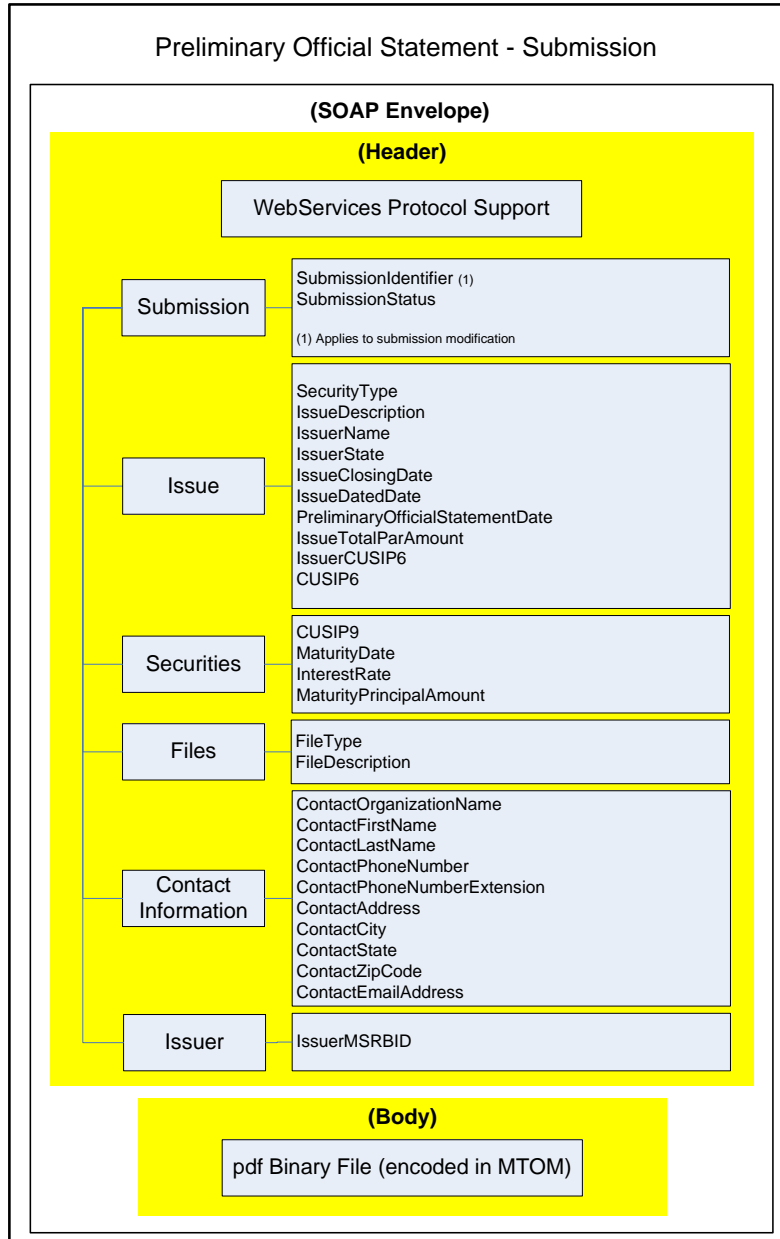


Figure 2: Submission Message Schémas

SUBMISSION MESSAGE & TYPE DEFINITION SCHEMAS

Set forth below is a schema model showing the Submission Message Type required to make a submission. Within each message are information containers (Submission, Issue, Securities, Files, Contact Information and Issuer) and the information types and values associated with each.



SOAP (Simple Object Access Protocol) - foundation layer of the web services protocol stack
 MTOM (SOAP Message Transmission Optimization Mechanism) - a method of efficiently sending binary data to and from web services

XML MESSAGE SCHEMAS

POSDisclosureService_0.xsd

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema elementFormDefault="qualified" targetNamespace="http://emma.msrb.org/schemas/posdisclosureservice"
xmlns:xs="http://www.w3.org/2001/XMLSchema" xmlns:tns="http://emma.msrb.org/schemas/posdisclosureservice">
  <xs:import schemaLocation="https://.../POSDisclosureService_2.xsd" namespace="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types" />
  <xs:element name="POSDisclosureMessage" type="q1:POSMessageType" xmlns:q1="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"
/>
</xs:schema>
```

POSDisclosureService_1.xsd

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema elementFormDefault="qualified" targetNamespace="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure"
xmlns:xs="http://www.w3.org/2001/XMLSchema" xmlns:tns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure">
  <xs:import schemaLocation="https://.../POSDisclosureService_2.xsd" namespace="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types" />
  <xs:element name="POSDisclosureServiceMessage">
    <xs:complexType>
      <xs:sequence>
        <xs:element ref="q1:FileContents" xmlns:q1="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types" />
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

POSDisclosureService_2.xsd

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema elementFormDefault="qualified" targetNamespace="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"
xmlns:xs="http://www.w3.org/2001/XMLSchema" xmlns:tns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
  <xs:import schemaLocation="https://.../POSDisclosureService_5.xsd" namespace="http://schemas.microsoft.com/Message" />
  <xs:element name="FileContents" type="q1:StreamBody" xmlns:q1="http://schemas.microsoft.com/Message" />
  <xs:complexType name="POSMessageType">
    <xs:sequence>
      <xs:element minOccurs="0" maxOccurs="1" name="Submission" type="tns:SubmissionDetailsType" />
      <xs:element minOccurs="0" maxOccurs="1" name="Issue" type="tns:IssueDetailsType" />
      <xs:element minOccurs="0" maxOccurs="1" name="File" type="tns:FileDetailsType" />
      <xs:element minOccurs="0" maxOccurs="1" name="ContactInformation" type="tns:ContactInformationType" />
      <xs:element minOccurs="0" maxOccurs="1" name="Issuer" type="tns:IssuerDetailsType" />
    </xs:sequence>
  </xs:complexType>
  <xs:complexType name="SubmissionDetailsType">
    <xs:attribute name="SubmissionIdentifier" type="tns:Max25Text" />
    <xs:attribute name="SubmissionStatus" type="tns:SubmissionStatusType" />
  </xs:complexType>
  <xs:complexType name="IssueDetailsType">
    <xs:sequence>
      <xs:element name="UnderlyingSecurities" type="tns:UnderlyingSecuritiesType" minOccurs="0" maxOccurs="1" />
    </xs:sequence>
    <xs:attribute name="SecurityType" type="tns:SecurityType" />
    <xs:attribute name="IssueDescription" type="tns:Max250Text" />
    <xs:attribute name="IssuerName" type="tns:Max250Text" />
    <xs:attribute name="IssuerState" type="tns:StateCode" />
    <xs:attribute name="IssueClosingDate" type="tns:ISODate" />
    <xs:attribute name="IssueDatedDate" type="tns:ISODate" />
    <xs:attribute name="PreliminaryOfficialStatementDate" type="tns:ISODate" />
    <xs:attribute name="IssueTotalParAmount" type="xs:decimal" />
    <xs:attribute name="IssuerCUSIP6" type="tns:Cusip6Type" />
    <xs:attribute name="CUSIP6" type="tns:Cusip6Type" />
  </xs:complexType>
  <xs:complexType name="UnderlyingSecuritiesType">
    <xs:sequence>
```

```

    <xs:element name="Security" type="tns:SecurityDetailsType" maxOccurs="unbounded" />
  </xs:sequence>
</xs:complexType>
<xs:complexType name="SecurityDetailsType">
  <xs:attribute name="CUSIP9" type="tns:Cusip9Type" />
  <xs:attribute name="MaturityDate" type="tns:ISODate" />
  <xs:attribute name="InterestRate" type="xs:decimal" />
  <xs:attribute name="MaturityPrincipalAmount" type="xs:decimal" />
</xs:complexType>
<xs:simpleType name="SecurityType">
  <xs:restriction base="xs:string">
    <xs:enumeration value="CUSIP9" />
    <xs:enumeration value="CommercialPaper" />
    <xs:enumeration value="nonCUSIP" />
  </xs:restriction>
</xs:simpleType>
<xs:complexType name="FileDetailsType">
  <xs:attribute name="FileType" type="tns:FileType" />
  <xs:attribute name="FileDescription" type="tns:Max200Text" />
</xs:complexType>
<xs:simpleType name="SubmissionStatusType">
  <xs:restriction base="xs:string">
    <xs:enumeration value="Publish" />
    <xs:enumeration value="Cancel" />
    <xs:enumeration value="Test" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="FileType">
  <xs:restriction base="xs:string">
    <xs:enumeration value="PreliminaryOfficialStatement" />
    <xs:enumeration value="NoticeOfSale" />
    <xs:enumeration value="Advertisement" />
    <xs:enumeration value="RelatedDocument" />
  </xs:restriction>
</xs:simpleType>
<xs:complexType name="ContactInformationType">
  <xs:attribute name="ContactOrganizationName" type="tns:Max140Text" />
  <xs:attribute name="ContactFirstName" type="tns:Max25Text" />
  <xs:attribute name="ContactLastName" type="tns:Max25Text" />

```

```

<xs:attribute name="ContactPhoneNumber" type="tns:Max15Text" />
<xs:attribute name="ContactPhoneNumberExtension" type="tns:Max6Text" />
<xs:attribute name="ContactAddress" type="tns:Max140Text" />
<xs:attribute name="ContactCity" type="tns:Max25Text" />
<xs:attribute name="ContactState" type="tns:StateCode" />
<xs:attribute name="ContactZipCode" type="tns:Max15Text" />
<xs:attribute name="ContactEMailAddress" type="tns:Max50Text" />
</xs:complexType>
<xs:complexType name="IssuerDetailsType">
  <xs:attribute name="IssuerMSRBID" type="xs:string" />
</xs:complexType>
<xs:simpleType name="Cusip6Type">
  <xs:restriction base="xs:string">
    <xs:minLength value="6" />
    <xs:maxLength value="6" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Cusip9Type">
  <xs:restriction base="xs:string">
    <xs:minLength value="9" />
    <xs:maxLength value="9" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="StateCode">
  <xs:restriction base="xs:string">
    <xs:pattern value="[A-Z]{2,2}" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max250Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="250" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max200Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="200" />
  </xs:restriction>
</xs:simpleType>

```



```
</xs:simpleType>
<xs:simpleType name="Max140Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="140" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max50Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="50" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max25Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="25" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max15Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="15" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="Max6Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="6" />
  </xs:restriction>
</xs:simpleType>
<xs:simpleType name="ISODate">
  <xs:restriction base="xs:date" />
</xs:simpleType>
<xs:simpleType name="ISODatetime">
  <xs:restriction base="xs:dateTime" />
</xs:simpleType>
</xs:schema>
```

Figure 3: Data Tag Glossary

DATA TAG GLOSSARY

Set forth below is a glossary of the data tags used in EMMA’s preliminary official statement subscription service. These data elements are organized in a hierarchical data relationship. This glossary sets out each data element’s XML container, data tag, definition and data specifications, including a listing of enumerated values for those data elements where the submitter chooses a value and an example of the data format where the submitter enters a value.

DATA TAG GLOSSARY			
Preliminary Official Statement EMMA Disclosure Service			
XML Container	Data Tag	Definition	Data Specification
Submission	Submission Identifier	Unique identifier assigned by the EMMA System at time of initiation of submission (the initial submission event) and used by the submitter in connection with subsequent submission events	Max25Text ex: S212345678910
	Submission Status	Indicates the intention to publish the information in the EMMA public portal	Enumerated Value: <ul style="list-style-type: none"> • Publish • Cancel • Test
Issue	Security Type	Indicates whether (i) nine-digit CUSIP numbers are assigned to the securities in the issue, (ii) no CUSIP numbers are assigned to the securities in the issue, or (iii) only a six-digit CUSIP number has been submitted to EMMA for a commercial paper issue	Enumerated Value: <ul style="list-style-type: none"> • CUSIP9 • CommercialPaper • nonCUSIP
	Issue Description	Full issue description as it appears on the Preliminary Official Statement	Max250Text ex: Road Improvement Refunding Bonds, Series 2008A
	Issuer Name	Full issuer name as it appears on the Preliminary Official Statement	Max250Text ex: Emma County Infrastructure Finance Authority

XML Container	Data Tag	Definition	Data Specification
	Issuer State	Standard state abbreviation	String;StateCode;2 ex: VA
	Issue Closing Date	Date on which the issue is expected to settle	CCYY-MM-DD ex: 2008-12-15
	Issue Dated Date	Dated date of the issue	CCYY-MM-DD ex: 2008-12-01
	Preliminary Official Statement Date	The date appearing on the face of the Preliminary Official Statement document	CCYY-MM-DD ex: 2008-12-01
	Issue Total Par Amount	The total par value of the offering	Decimal ex: 5000000
	Issuer CUSIP6	A CUSIP6 by which the Issuer would like as a reference identifier	String{Min6,Max6} ex: 123456
	CUSIP6	Six-digit base CUSIP number for commercial paper issues, as assigned by the CUSIP Service Bureau	String{Min6,Max6} ex: 123456
Securities	CUSIP9	Indicates the nine-digit CUSIP number(s) to which the disclosure applies if the Security Type is CUSIP9	CUSIP9 String{Min9,Max9} ex: 123456AB7 IF: Security Type is CUSIP9
	Maturity Date	Maturity date of the security – not provided for commercial paper issues	CCYY-MM-DD ex: 2025-12-01
	Interest Rate	Interest rate of the security – not provided for commercial paper issues	Decimal ex: 3.9 [fixed rate] or 0 [zero coupon/capital appreciation] or blank [variable rate]
	Maturity Principal Amount	Total principal amount at maturity of the security – not provided for commercial paper issues	Decimal ex: 5000000
File	File Type	Indicates type document being submitted	Enumerated Value: <ul style="list-style-type: none"> • PreliminaryOfficialStatement • NoticeOfSale • Advertisement • RelatedDocument

XML Container	Data Tag	Definition	Data Specification
	File Description	File name, if any, and/or general description	Max250Text ex: Free text description that provides descriptive information concerning the nature of the file
Contact Information	Contact Organization Name	Full name of the contact organization that the public should contact with questions about the submitted disclosure	Max140Text ex: MuniBond Dealer
	Contact First Name	The first name of the contact person that the public should contact with questions about the submitted disclosure	Max25Text ex: Emma
	Contact Last Name	The last name of the contact person that the public should contact with questions about the submitted disclosure	Max25Text ex: Jones
	Contact Phone Number	The phone number of the contact person that the public should contact with questions about the submitted disclosure	Max15Text ex: 703-555-2222
	Contact Phone Number Extension	The extension of the phone number (if any) of the contact person that the public should contact with questions about the submitted disclosure	Max6Text ex: 1235
	Contact Address	The street address or post office box of the contact person that the public should contact with questions about the submitted disclosure	Max140Text ex: 123 Security Road
	Contact City	The address city of the contact person that the public should contact with questions about the submitted disclosure	Max25Text ex: Alexandria
	Contact State	The address state of the contact person that the public should contact with questions about the submitted disclosure	String;StateCode;2 ex: VA
	Contact Zip Code	The address zip code of the contact person that the public should contact with questions about the submitted disclosure	Max15Text ex: 22301-5555
	Contact Email Address	The email address of the contact person that the public should contact with questions about the submitted disclosure	Max50Text ex: issuer@issuer.com

Figure 4: Required/Optional Data Elements

Submission Data Tags (Required / Optional Considerations) Preliminary Official Statement (POS) EMMA Disclosure Service				
XML Container	Data Tag	Primary Market Disclosures		
		CUSIP-9 based (CUSIP-9)	Commercial Paper (CUSIP-6)	Ineligible for CUSIP Number Assignment (non-CUSIP)
Submission	Submission Status	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Submission Identifier	R (Update Submission)	R (Update Submission)	R (Update Submission)
Issue	Security Type	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Issuer Name	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Issue Description	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Issuer State	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Issue Closing Date	O	O	O
	Effective Date	N/A	N/A	N/A
	Issue Dated Date	O	O	N/A
	Preliminary Official Statement Date	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)

XML Container	Data Tag	Primary Market Disclosures		
		CUSIP-9 based (CUSIP-9)	Commercial Paper (CUSIP-6)	Ineligible for CUSIP Number Assignment (non-CUSIP)
	Issue Total Par Amount	O	O	O
	Issuer CUSIP6	O	N/A	N/A
	CUSIP6	N/A	O	N/A
Securities	CUSIP9	O	N/A	N/A
	Maturity Date	O	N/A	N/A
	Interest Rate	O (1)	N/A	N/A
	Maturity Principal Amount	O	N/A	N/A
File	File Type	R (Open / Update Submission with associated file) N/A (if no associated file)	R (Open / Update Submission with associated file) N/A (if no associated file)	R (Open / Update Submission with associated file) N/A (if no associated file)
	File Description	O (Open / Update Submission with associated file) N/A (if no associated file)	O (Open / Update Submission with associated file) N/A (if no associated file)	O (Open / Update Submission with associated file) N/A (if no associated file)
Issuer	MSRBID	R	R	R
Contact Information	Contact Organization Name	O	O	O
	Contact First Name	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Contact Last Name	R (Open / Update Submission)	R (Open / Update Submission)	R (Open / Update Submission)
	Contact Phone Number	R (Open / Update Submission unless email is provided)	R (Open / Update Submission unless email is provided)	R (Open / Update Submission unless email is provided)

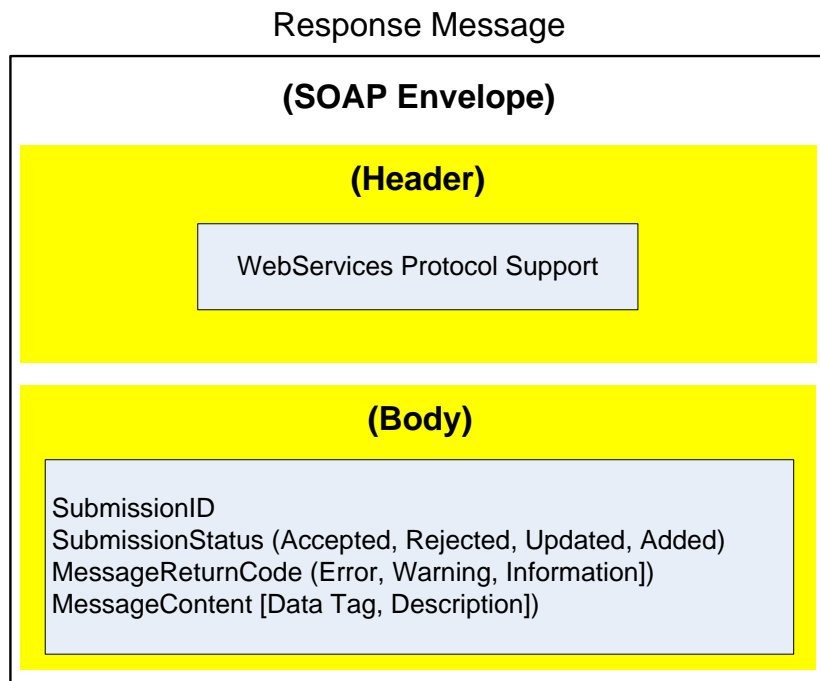
XML Container	Data Tag	Primary Market Disclosures		
		CUSIP-9 based (CUSIP-9)	Commercial Paper (CUSIP-6)	Ineligible for CUSIP Number Assignment (non-CUSIP)
	Contact Phone Number Extension	O	O	O
	Contact Address	O	O	O
	Contact City	O	O	O
	Contact State	O	O	O
	Contact Zip Code	O	O	O
	Contact Email Address	R (Open / Update Submission unless Contact Phone Number is provided)	R (Open / Update Submission unless Contact Phone Number is provided)	R (Open / Update Submission unless Contact Phone Number is provided)
Footnotes:				
R	Required for a complete data submission			
O	Optional			
N/A	Not Applicable – signifies that no data is to be provided for a particular data element either because such data is not needed for such submission– any data supplied for a data element marked as N/A will not be used for purposes of EMMA portal or subscription dissemination			
(1)	Interest Rate should be - Blank for Variable Rate, 0 (zero) for Zero Coupon			

Figure 5: Validation Response Messages

VALIDATION RESPONSE MESSAGES

As submission messages are processed by the Preliminary Official Statement Submission Service, the message content will be verified relative to business rules of expected data relationships. Exception response messages will be returned to the submitter system when certain types of conditions exist with respect to the data submitted. Currently, all response messages are classified as Error, which indicates termination of message processing with failure of the intended action. The submitter should take appropriate corrective action and re-submit as appropriate.

An abstract representation of a Response Message, shown below, will be returned to the Submitter System with the Response Message Content, defined in the table below, contained in the body of the message.



Below is a sample Response Message trace where a submission event has been confirmed as added successfully. This sample is intended to show the general structure of response messages.

Response Message – Sample Trace File

```
<s:Envelope xmlns:s="http://schemas.xmlsoap.org/soap/envelope/">
  <s:Header>
    <Action s:mustUnderstand="1"
xmlns="http://schemas.microsoft.com/ws/2005/05/addressing/none">http://emma.msrb.org/schemas/disclosure
service/IDisclosureService/OpenSubmissionResponse
    </Action>
  </s:Header>
  <s:Body xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:xsd="http://www.w3.org/2001/XMLSchema">
    <DisclosureMessageResponse xmlns="http://emma.msrb.org/schemas/disclosuremessages">
      <DisclosureResponseDetails xmlns="http://emma.msrb.org/schemas/disclosureservice">
        <Submission SubmissionID="EA173455" SubmissionStatus="Added"
xmlns="http://emma.msrb.org/schemas/disclosuremessages/types">
          </Submission>
        <Message MessageReturnCode="Information" MessageContent="Preliminary Official
Statement submission added."
xmlns="http://emma.msrb.org/schemas/disclosuremessages/types">
          </Message>
        </DisclosureResponseDetails>
      </DisclosureMessageResponse>
    </s:Body>
  </s:Envelope>
```

XML Submission Validation - Response Messages

Preliminary Official Statement Submission Service

XML Block	Data Tag	Message Return Code	Response Message Content
Submission	Submission Identifier	Error	Failure to Identify Submission - failed to identify a Submission with the given Submission Identifier ({}).
		Error	Required Field - Submission Identifier is a required field on subsequent disclosure submission messages.
		Error	Data Validation - The referenced submission is of status (Cancelled) and cannot be updated.
		Error	Unnecessary Data Element - Submission Identifier should not be provided on an Open submission.
	Submission Status	Error	Data Validation - The referenced submission is of status (Cancelled) and cannot be updated.
		Error	Required Field: Submission Status is a required field
Error		Submission - Element Missing.	
Issue	Security Type	Error	Data Validation - Security Type cannot be changed on update submission message.
	Issuer Name	Error	Required Field - Issuer Name is a required field on an open or update submission message
	Issue Description	Error	Required Field - Issue Description is a required field on an open or update submission message
	Issuer State	Error	Required Field - Issuer State is a required field on an open or update submission message
	Issue Closing Date	-	-
	Issue Dated Date	Error	Data Validation - Dated Date is not applicable to Ineligible for CUSIP Number Assignment
	Preliminary Official Statement Date	Error	Required Field - Preliminary Official Statement Date is a required field on an open or update submission message
	Issue Total Par Amount	-	-
	Issuer CUSIP6	Error	Data Validation - Issuer CUSIP6 is only applicable to CUSIP9 based submissions
	CUSIP6	Error	Data Validation - CUSIP6 is only applicable to Commercial Paper
Securities	CUSIP9	Error	Data Validation - Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions

XML Block	Data Tag	Message Return Code	Response Message Content
	Maturity Date	Error	Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions
	Interest Rate	Error	Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions
	Maturity Principal Amount	Error	Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions
Files	File Type	Error	Required Field: File Type is a required field if a file is associated with an open or update submission message
		Error	Data Validation – File Type can only be PreliminaryOfficialStatement for an open submission
	File Description	-	-
	Miscellaneous	Error	A file is required in an open submission message
Issuer	Issuer MSRBID	Error	Required Field: Issuer MSRBID is required
		Error	Data Validation - You are not authorized to submit on behalf of the party indicated by the Issuer MSRBID
	Miscellaneous	Error	Issuer - Element Missing
Contact Information	Contact Organization Name	-	-
	Contact First Name	Error	Required Field: Contact First Name is a required field on an open or update submission message
	Contact Last Name	Error	Required Field: Contact Last Name is a required field on an open or update submission message
	Contact Phone Number	Error	Required Field – Contact Information level attribute (Contact Phone Number or Contact Email Address) is required
		Error	Data Validation – Phone Number must be numeric
	Contact Phone Number Extension	Error	Data Validation – Phone Number Extension must be numeric
	Contact Address	-	-
	Contact City	-	-
	Contact State	-	-
	Contact Zip Code	-	-
Contact Email Address	Error	Required Field – Contact Information level attribute (Contact Phone Number or Contact Email Address) is required	

Figure 6: Sample Document XML Messages

SAMPLE DOCUMENT XML MESSAGES

(CUSIP9 Based)

```
<?xml version="1.0" encoding="UTF-8"?>
<POSMessageType>
  <Submission SubmissionStatus="Publish" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </Submission>
    <Issue SecurityType="CUSIP9" IssuerName="EMMA Formal Issuer" IssueDescription="EMMA FORMAL ISSUER ISSUE DESCRIPTION"
      IssuerState="SD" PreliminaryOfficialStatementDate="2010-05-25"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
      <UnderlyingSecurities>
        <Security CUSIP9="64966FAK0" MaturityDate="2025-01-01" InterestRate="4.88" MaturityPrincipalAmount="500000"/>
      </UnderlyingSecurities>
    </Issue>
    <File FileType="PreliminaryOfficialStatement" FileDescription="our Description"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </File>
    <ContactInformation ContactOrganizationName="Organization" ContactFirstName="ContactFirstName"
      ContactLastName="ContactLastname" ContactAddress="Address" ContactCity="City" ContactState="AL" ContactZipCode="55555"
      ContactPhoneNumber="555555555" ContactPhoneNumberExtension="1234" ContactEMailAddress="Issuer@mail.com"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </ContactInformation>
    <Issuer IssuerMSRBID="FRISR" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"/>
  </POSMessageType>
```

(Commercial Paper)

```
<?xml version="1.0" encoding="UTF-8"?>
<POSMessagetype>
  <Submission SubmissionStatus="Publish" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </Submission>
    <Issue SecurityType="CommercialPaper" CUSIP6="12345T" IssuerState="VA" IssueTotalParAmount="5000000"
      IssuerName="Emma City Industrial Development Agency" IssueDescription="Public Improvement Revenue Bonds (2008 EMMA University
      Project), Series A" IssueClosingDate="2011-12-18" IssueDatedDate="2011-01-01" PreliminaryOfficialStatementDate="2011-02-01"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </Issue>
    <File FileType="PreliminaryOfficialStatement" FileDescription="Commercial Paper Description"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </File>
    <ContactInformation ContactOrganizationName="Organization" ContactFirstName="ContactFirstName"
      ContactLastName="ContactLastname" ContactAddress="Address" ContactCity="City" ContactState="AL" ContactZipCode="55555"
      ContactPhoneNumber="555555555" ContactPhoneNumberExtension="1234" ContactEMailAddress="Issuer@mail.com"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </ContactInformation>
    <Issuer IssuerMSRBID="FRISR" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"/>
  </POSMessagetype>
```

(Ineligible for CUSIP Number Assignment)

```
<?xml version="1.0" encoding="UTF-8"?>
<POSMessageType>
  <Submission SubmissionStatus="Publish" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </Submission>
    <Issue SecurityType="nonCUSIP" IssuerState="VA" IssueTotalParAmount="5000000"
      IssuerName="Emma City School Development" IssueDescription="School Improvement Revenue Bonds (2011 EMMA University Project),
      Series A" IssueClosingDate="2011-01-18" PreliminaryOfficialStatementDate="2011-02-01"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
      </Issue>
    <File FileType="PreliminaryOfficialStatement" FileDescription="Commercial Paper Description"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </File>
    <ContactInformation ContactOrganizationName="Organization" ContactFirstName="ContactFirstName"
      ContactLastName="ContactLastname" ContactAddress="Address" ContactCity="City" ContactState="AL" ContactZipCode="55555"
      ContactPhoneNumber="555555555" ContactPhoneNumberExtension="1234" ContactEMailAddress="Issuer@mail.com"
      xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
    </ContactInformation>
    <Issuer IssuerMSRBID="FRISR" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"/>
  </POSMessageType>
```

Figure 7: Sample XML Headers

SAMPLE XML HEADERS

Document Message – Sample Header File

```
<s:Envelope xmlns:s=http://schemas.xmlsoap.org/soap/envelope/ xmlns:u=http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd>
  <s:Header>
    <POSMessageType>
      <Submission SubmissionStatus="Publish" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
      </Submission>
      <Issue SecurityType="CUSIP9" IssuerName="EMMA Formal Issuer"
        IssueDescription="EMMA FORMAL ISSUER ISSUE DESCRIPTION" IssuerState="SD"
        PreliminaryOfficialStatementDate="2010-05-25"
        xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
        <UnderlyingSecurities>
          <Security CUSIP9="64966FAK0" MaturityDate="2025-01-01" InterestRate="4.88"
            MaturityPrincipalAmount="500000"/>
          </UnderlyingSecurities>
        </Issue>
        <File FileType="PreliminaryOfficialStatement" FileDescription="our Description"
          xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
        </File>
        <ContactInformation ContactOrganizationName="Organization" ContactFirstName="ContactFirstName"
          ContactLastName="ContactLastname" ContactAddress="Address" ContactCity="City" ContactState="AL"
          ContactZipCode="55555" ContactPhoneNumber="555555555" ContactPhoneNumberExtension="1234"
          ContactEMailAddress="Issuer@mail.com"
          xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
        </ContactInformation>
        <Issuer IssuerMSRBID="FRISR" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"/>
      </POSMessageType>
      <o:Security s:mustUnderstand=1 xmlns:o=http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-secext-1.0.xsd><u:Timestamp
        u:Id=_0><u:Created>2008-08-21T19:26:53.468Z</u:Created><u:Expires>2008-08-21T19:31:53.468Z</u:Expires></u:Timestamp>
        <o:UsernameToken u:Id=uuid-c3e563e4-bd51-40f7-8c02-3ed0b5a4a1bb-35><o:Username><!--Removed--></o:Username><o:Password><!--
        Removed--></o:Password></o:UsernameToken></o:Security>
      <To s:mustUnderstand=1 xmlns=http://schemas.microsoft.com/ws/2005/05/addressing/none>https://temp-
        wrk/EmmaDisclosureService/DisclosureService.svc</To>
```

```
<Action s:mustUnderstand=1
xmlns=http://schemas.microsoft.com/ws/2005/05/addressing/none>http://emma.msrb.org/schemas/disclosureservice/IDisclosureService/PostD
ocumentFile</Action>
</s:Header>
<s:Body xmlns:xsi=http://www.w3.org/2001/XMLSchema-instance xmlns:xsd=http://www.w3.org/2001/XMLSchema>
```

[BINARY STREAM OF PDF FILE]