## 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>May 2011</td>
<td>Initial version.</td>
</tr>
<tr>
<td>2.0</td>
<td>April 2012</td>
<td>Extracted Gateway account management and functionality.</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>June 2018</td>
<td>Updated to reflect the 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>2.6</td>
<td>August 2019</td>
<td>Updated to reflect EMMA Dataport user interface changes.</td>
</tr>
<tr>
<td>3.0</td>
<td>August 2020</td>
<td>Updated to reflect URL changes due to the MSRB’s cloud migration and reorganize and consolidate information on related rules and resources.</td>
</tr>
</tbody>
</table>
Resources and Support

Contact the MSRB

**MSRB Support**
Phone: 202-838-1330
Email: [MSRBsupport@msrb.org](mailto:MSRBsupport@msrb.org)
Live support: 7:30 a.m. – 6:30 p.m. ET.
E-mail support: 7:00 a.m. – 7:00 p.m. ET.

**MSRB Corporate Office**
Municipal Securities Rulemaking Board
1300 I Street NW, Suite 1000
Washington, DC 20005
Phone: 202-838-1500

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

**Core Operational Hours**
7:00 a.m. to 7:00 p.m. ET on business days*
*Excludes weekends and holidays identified on the [MSRB System Holiday Schedule](http://msrb.org) and planned or unplanned outages as communicated on the [MSRB Systems Status](http://msrb.org) webpage.

**Related MSRB Rules and Resources**
- [MSRB Rule G-32](http://msrb.org):
- [Posting Preliminary Official Statements on the EMMA Website](http://emماما.msrb.org)
- [Setting Up an Organization Account](http://emماما.msrb.org)
- [Submitting Voluntary Official Statements for 529 Plans](http://emماما.msrb.org)
Overview

About the MSRB
The 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 free, official repository for information on all municipal bonds. The MSRB also serves as an objective resource on the municipal market and provides extensive education and outreach to market stakeholders. The MSRB is a self-regulatory organization governed by a board of directors that has a majority of public members, in addition to representatives of regulated entities. The MSRB is overseen by the Securities and Exchange Commission and Congress.

About this Manual
This manual describes three types of voluntary submissions made by issuers and other obligated persons: voluntary official statements, preliminary official statements and voluntary financial reporting information.

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

In the remainder of this document, references to an issuer will also denote other obligated persons and an agent specifically designated by an issuer or obligated person to submit information on its behalf unless otherwise noted.

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

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All products or brand names mentioned in this manual are trademarks or registered marks of their respective holders.
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**Part 1: Access EMMA Dataport**

**Access EMMA Dataport**

Accessing EMMA Dataport to make a primary market submission can be done from the EMMA homepage as described in this manual. Alternatively, submitters can start from the MSRB homepage and click “Login.”

1. From the EMMA homepage, click the EMMA Dataport tab.
2. Click the **Log in to MSRB Gateway** button.
3. From the MSRB Gateway landing page, enter your User ID and Password, and click **Login**.
Part 2: Submit Voluntary Financial Reporting Information

Upon logging into MSRB Gateway, the Issuer or Obligated Person may choose to create or update disclosure data regarding issues and/or securities in EMMA Dataport. The voluntarily financial information will be disclosed on the EMMA website when published.

Begin a New 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 submission.

1. From the EMMA Dataport Submission Portal screen, click the **Voluntary Financial Information: Timing, GAAP Undertaking & URL** button.
2. The Submission Summary screen displays any previously published submissions. Click **Create Submission** to submit a new disclosure.

Voluntary Financial Information

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 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-PASB, 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.

**What information can I submit?**

[Create Submission]
3. Enter a description of the financial disclosure in the **Disclosure Description** text box.

4. Select the submission date of the annual financial filing information from the dropdown menu in the **Timing of Annual Financial Filing** section.

5. Provide a URL in the **URL** text box to link to Additional Financial Information.

6. Select the **Financial Accounting Method** used in conformance to the Generally Accepted Accounting Principles (GAAP).

7. After you have entered the financial information, click the **Next** button.
Associate CUSIPs

1. Select the type of securities, which may be CUSIP-9-based or non-CUSIP-9-based. Two separate submissions are required to associate both CUSIP-9 and non-CUSIP-9 based issues and/or securities.

1a. For non-CUSIP-9-based submissions, select one of the following categories: Commercial Paper, Non-CUSIP, 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. Select the Next button to continue.

Select either CUSIP-9-based or non-CUSIP-9 based as they cannot be combined in one submission.
2. In the text box, you may enter or copy and paste a list of CUSIP-9s and/or CUSIP-6s and then click the **Upload** button. Note that you cannot click the preview button until at least one CUSIP is uploaded.

The copy-and-paste functionality includes a wide variety of delimiters to separate securities, including semicolon, comma and enter. Up to 1,500 CUSIPs can be pasted in the text box, and a total of 15,000 CUSIP-9s are allowed for each submission.
Verify that the CUSIPs listed are accurate. To remove a CUSIP-9, highlight the CUSIP(s) and click the **Unassign CUSIPs** link below the list of CUSIPs.

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

If you do not know your CUSIPs, you may use the search function to find CUSIP-6s. Enter an issuer name and state and select the **Search CUSIP-6s** button. Filters are available to exclude matured securities and fully called or redeemed securities from the results. A list of issuers based on your search criteria appears. Select one or more issuers to associate their securities to the disclosure.

![Search by Issuer](image.png)
Publish the Disclosure

The Voluntary Financial Reporting Disclosure Data will not be disclosed to the public until the submission is published.

1. Click the Preview button to review all information to be published.
If you wish to change any information as shown on the preview screen, use the Back button until you reach the screen where the data was first input and make the desired edit(s). Once all information is correct, click the Publish button.

2. Select the Yes: Publish button finalize your submission.
The confirmation screen will contain the following:

<table>
<thead>
<tr>
<th><strong>Submission ID</strong></th>
<th><strong>Unique identifier for your submission, which is helpful for any future updates</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Print Submission link</strong></td>
<td><strong>Print your submission confirmation</strong></td>
</tr>
<tr>
<td><strong>Start new submission link</strong></td>
<td><strong>Make a new submission or to modify existing submission</strong></td>
</tr>
<tr>
<td><strong>Link to secondary email address</strong></td>
<td><strong>Send confirmation email to a secondary email address</strong></td>
</tr>
</tbody>
</table>

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

**Update the Submission**

The new submission will be added to the list on the EMMA Dataport Submission Summary Screen. To update a submission, select either the **Edit** or **Cancel** link on this screen.
If an underwriter has not made an EMMA submission for the issue since Rule G-32 was revised on June 1, 2009, then the issuer can make certain updates, including:

- providing the plain-English issuer name and issue description, in addition to the abbreviated description already present;
- revising a maturity’s principal amount and initial offering price or yield;
- adding a security’s CUSIP to the CUSIP numbers already associated with the issue, along with certain related information about the security; or
- indicating that a security previously associated with the issue is in fact not part of the issue.

If any underwriter, as a regulated entity, has made an EMMA submission since June 1, 2009—including an update to a pre-EMMA submission—then the issuer updates are restricted to adding the plain-English issuer name and issue description and/or adding an official statement. The underwriter’s data is protected from modification if it is for (a) a primary offering underwritten after June 1, 2009, or (b) an offering underwritten before June 1, 2009 that was revised by a dealer since that date.
Part 3: Submit Preliminary Official Statement and Pre-Sale Documents

An issuer’s voluntary submission in no way relieves the underwriter of its obligation to submit documents and information under Rule G-32.

A voluntary preliminary official statement submission must be accompanied by a minimum amount of indexing information. The issuer may provide additional information as it becomes available.

<table>
<thead>
<tr>
<th>Mandatory Information</th>
<th>Additional Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Issuer Name</td>
<td>Total par value of the issue</td>
</tr>
<tr>
<td>Full Issue Description</td>
<td>CUSIP-6 number of the Issuer</td>
</tr>
<tr>
<td>Issuer’s State</td>
<td>Dated Date / Closing date</td>
</tr>
<tr>
<td>Date of the Preliminary Official Statement</td>
<td>CUSIP-9 / Maturity Date</td>
</tr>
<tr>
<td>Contact information of the Issuer or other appropriate party</td>
<td>Interest Rate / Maturity Principal Amount</td>
</tr>
</tbody>
</table>

Begin the Submission

1. If your organization has the rights to act on the behalf of another organization, you will see a screen that will allow you to select the organization from the drop-down menu for which you are making a submission.
2. The EMMA Dataport Submission Portal displays buttons which represent the submission types you can make to EMMA. Select the **Preliminary Official Statement and Pre-Sale Documents** button.
3. Complete all required fields and any additional information you would like to provide.

The following screen is similar for creating Commercial Paper and Ineligible for CUSIP Number Assignment submission.
Security Information

The Security Information is only applicable to Bond, Note and Variable Rate submissions. Enter the CUSIP-9 then click the Find link or manually input the information in the fields. Once all information is complete, select the Add Security to Issue link.
Upload the Document

To upload a document:
1. Click the **Add Preliminary Official Statement** link.
2. Enter the **Document Description** then click the **Browse** button.
3. Click the **Upload** button to transfer the file to the EMMA website.

Note that you cannot click the preview button until at least one PDF document is uploaded.
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.

To add a pre-sale document to a submission after the preliminary official statement is uploaded, click the Add more documents link on the Document screen.

Publish the Disclosure
The uploaded document(s) will not be accessible on the public EMMA website until it is published. To publish a document:
1. Select the Preview button to review all the information to be published.
If you wish to change any information as shown on the preview screen, use the Back button until you reach the screen where the data was first input and make the desired edit(s). Once all information is correct, click the Publish button.

2. Select the Yes: Publish button to finalize your submission.
The confirmation screen contains the following:

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</table>

The MSRB will send an electronic receipt to your email address. The receipt will contain a complete listing of the submission and a link to view the submission on the EMMA website.
Update the Submission

To update a submission:
1. Click the Update button from the Preliminary Official Statement and Pre-Sale Documents page and provide a CUSIP number or the submission ID of your earlier submission and proceed in the same way as for creation.

If an underwriter has not made an EMMA submission for the issue since Rule G-32 was revised on June 1, 2009, the issuer can make certain updates, including:

- providing the plain-English issuer name and issue description, in addition to the abbreviated description already present;
- revising to a maturity’s principal amount and initial offering price or yield;
- adding a security’s CUSIP to the CUSIP numbers already associated with the issue, along with certain related information about the security; or
- indicating that a security, previously associated with the issue, is in fact not part of the issue.

If any underwriter, as a regulated entity, has made an EMMA submission since June 1, 2009—including an update to a pre-EMMA submission—then the issuer updates are restricted to adding the plain-English issuer name and issue description and/or adding an official statement. The underwriter’s data is protected from alteration if it is for (a) a primary offering underwritten after June 1, 2009, or (b) an offering underwritten before June 1, 2009 that was revised by a dealer since that date.
Part 4: Submit Issuer Voluntary Official Statements

An Issuer’s voluntary submission in no way relieves the underwriter of its obligation to submit documents and information under Rule G-32.

Underwriters are required to submit certain primary market documents to the EMMA website in accordance with Rule G-32. Issuers can submit primary market documents or edit their existing disclosure data on the EMMA website where errors or omissions may have occurred.

Bond, Note and Variable Rate Submissions

This section describes how issuers may submit official statements and advance refunding documents.

An issuer can submit an official statement or similar offering document on a voluntary basis. If an underwriter has not made a regulated EMMA submission for the issue since Rule G-32 was revised on June 1, 2009, the issuer can make certain updates, including:

- providing the plain-English issuer name and issue description, in addition to the abbreviated description already present;
- revising a maturity’s principal amount and initial offering price or yield;
- adding a security’s CUSIP to the CUSIP numbers already associated with the issue, along with certain related information about the security; or
- indicating that a security previously associated with the issue, is in fact not part of the issue.

An issuer may not change information associated with an issue if any underwriter or dealer has made a regulated submission about the issue since June 1, 2009 under revised Rule G-32.

Despite these limitations on other types of voluntary submissions, an issuer may add an official statement or advance refunding document to any issue, even if underwriter-submitted information after June 1, 2009 is already present. The EMMA website indicates on its public display screens that the issuer’s document is Issuer submitted.
Begin the Submission of Pre-June 1, 2009 Bonds

For bonds issued before June 1, 2009, and not subsequently updated by an underwriter:

1. begin by navigating to the EMMA Dataport Submission Portal, which displays the buttons which represent the submission types you can make to EMMA.

2. Select the Issuer Voluntary Official Statement button.
3. Then click the **Create** button.

4. Enter a CUSIP-9 from your issue and then click **Next**.
There are three sections on the Issue page: Issue information, Continuing Disclosure Information and Security Information.

For issues underwritten before June 1, 2009 and not subsequently updated by an underwriter, the Continuing Disclosure Information section may be blank or unavailable.

5. Enter **Issuer Name** and **Issue Description**.

6. Confirm if there is a continuing disclosure agreement.

6a. If you select **No**, EMMA displays the following warning.
6b. If you select Yes, fill out the Issuer Information section. Enter either the date or number of days by which the annual financial information is due to be submitted.

7. To add the information for an obligated person, click the Add Obligated Person link at the bottom of the continuing information portion of the screen.
8. Complete the fields and repeat this step to add another obligated person.

![Other Obligated Person Information]

9. Verify that the security information is correct. You can edit **Maturity Principal Amount** and **Initial Offering Price or Initial Offering Yield**.

![Security Information Table]

Please provide Maturity Principal Amount & Initial Offering Price (if missing or to be changed)

Displaying 41 securities.
You may delete a security (maturity) that is not part of the issue by clicking the drop-down arrow under **Security Status** and selecting **Not on Issue**.

10. To add a security to this issue click **Add Security to Issue** and enter the information for the security. Enter the CUSIP number and click **Find**. The EMMA website will display any previously stored information about the security or blank fields to allow you to enter information not yet available on the EMMA website. You may enter the maturity date, principal amount and price.

### Upload the Document

1. Select the **Document** tab then select the **Document Type** from the drop-down menu.
2. Enter the **Document Description**. Click the **Browse** button to locate the file on your computer and then click the **Upload** button.

After the official statement is uploaded, you may click the **Add Document** link on the Document tab to add more documents to a submission.

It is recommended that the official statement comprise a single file, but if it is necessary to upload multiple files to provide a complete official statement, click the **Upload Multiple Files** button.

After you upload the official statement, you may click on the name of the document to view an **Options** pop-up menu that includes links to edit file information (such as the description), replace one file with another or remove a file.
Publish the Disclosure

The uploaded document(s) will not be available on the public EMMA website until it is published. To publish:

1. click the **Preview** button to review all uploaded information.

2. If you wish to change any information as shown on the preview screen, use the **Back** button until you reach the screen where the data was first input and make the desire edit(s). Once all information is correct, click the **Publish** button.
3. Select the **Yes: Publish** button to finalize your submission.
The confirmation screen contains the following:

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<th>Submission ID</th>
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The MSRB will send an electronic receipt to your email address. The receipt will contain a complete listing of the submission and a link to view the submission on the EMMA website.

SUBMISSION ID (Q3496911) PUBLISHED SUCCESSFULLY

Print Submission
Start new submission
A confirmation email has been sent to your email address on file.
To send a duplicate confirmation email to a secondary email address click here
Update the Submission

To revise a voluntary official statement submission:
1. select the **Issuer Voluntary Official Statement** button
2. click the **Update** button.

![EMMA Dataport Manual for Voluntary Submissions by Issuers and Obligated Persons](image-url)
3. On the next screen, enter a nine-digit CUSIP number or submission ID of the submission you will update. During the update process, you can change anything you or your organization previously submitted, including adding, replacing and deleting documents. Your designated agent can make the same changes on your behalf.

4. Publish the updated submission to disseminate the results.
The update process also enables you to cancel an official statement submission that your organization has made. To do so, select the **Offering** tab and click the **Cancel Offering** at the bottom of the screen. Canceling your submission removes it from public view. It does not affect anything submitted by an underwriter.
Voluntary Official Statements for Commercial Paper

Commercial Paper refers to a security that CUSIP Global Services identifies by a six-digit CUSIP number. EMMA only accepts a CUSIP number that has been identified as commercial paper by its information vendor.

1. Start the submission on the Issuer Voluntary Official Statement button and click the Create link next to Commercial Paper. Next, enter the six-digit CUSIP number.
2. From the **Issue** tab, enter or change information in any editable fields. You must provide the continuing disclosure information in the lower part of the screen or select the **No** button. You may also add an obligated person to the submission.

3. Upon completion, click on the **Document** tab to upload the voluntary official statement.

4. **Publish** the submission.
Voluntary Official Statements for Securities Ineligible for CUSIP Number Assignment

For a security ineligible for CUSIP number assignment, you may add an Official Statement to an existing submission, or you may create a submission for a new issuer.

1. Start the submitting process in the usual manner in the EMMA Dataport Submission Portal.
2. On the Search for Issues screen, enter an issuer name or portion of a name and/or choose a state from the drop-down menu then click Search.

From the list of matching securities, you may then choose the issuer whose security you will submit against. If the issuer is not listed, you may add a new issuer.
The **Issue** input screen has three parts, as shown below. It has no field for a CUSIP number.

3. When you have completed this screen, upload the official statement or other similar offering document, if available, on the **Document** tab.

4. **Publish** the submission.

To update a submission related to a security ineligible for CUSIP number assignment, enter the submission ID and proceed.
Voluntary Official Statements for 529 Savings Plans/ABLE Programs

A 529 savings plan/ABLE program is a type of municipal fund security. The procedure for submitting voluntary official statements for 529 savings plans/ABLE Programs is described in the 529 Savings Plan/ABLE Program Submissions Manual.

Voluntary Official Statements for Other Municipal Fund Securities

An issuer may voluntarily submit an official statement for a municipal fund security. The issuer can create a new record even if none has been submitted by a dealer previously. An issuer can also update a municipal fund security submission but cannot modify any part of a dealer’s submission.

1. Begin by selecting the Issuer Voluntary Official Statement button and select the type of municipal fund security.
2. Next, select the state that issues the security. Then click the search button.
The EMMA website displays the names of any municipal fund security plans previously submitted for the state. In the example below, there is a plan on file for the state.

The plan(s) listed as modifiable have been disclosed by an issuer and may be modified by the same. Other plans are listed for reference only and therefore cannot be changed by an issuer.

3. To submit a voluntary official statement for this plan, click Add New Plan. This will create a new record that you can later modify.

4. The Plan tab appears. Enter the issuer information and complete the continuing disclosure section.
5. On this screen, you may also add data about an obligated person or persons.

6. On the Document tab, you may upload a disclosure document or disclosure supplement.
Modifying or Canceling a Municipal Fund Security Submission

The procedure for modifying a municipal fund security description uses the same tabs as creating one. However, an issuer can only modify a plan whose information was submitted by an issuer and not by a dealer. Such plans have a Modify link next to the plan description on the screen used to select a state.

You may cancel your submission on the Offering tab.
Advance Refunding Documents Submitted on a Voluntary Basis

Issuers may submit advance refunding documents to the EMMA website on a voluntary basis.  
1. Start the process from the EMMA Dataport Submission Portal.  
2. The next screen requires you to provide the document before providing securities information.
You may enter an optional document description before uploading the document. It is recommended that the document comprise a single file, but you may upload multiple files if necessary, to provide the complete document.

3. After uploading the document, click the **Offering** tab to enter refunding information.
4. Then Enter the CUSIP for Refunded Issue (required) in the field and click the blue arrow button or click on I choose not to provide refunding CUSIPs.

5. After you enter the CUSIP numbers, EMMA displays summary information about the issues.

You may Remove an issue to correct an error.
6. Next, click the **Refunded Issue** tab to continue. The Refunded Issue tab enables you to enter new CUSIP numbers (if applicable), add an additional refunded issue or associate multiple documents with the appropriate maturities.

For a detailed description of advance refunding document submissions, see the **Primary Market Submissions Manual** on [www.MSRB.org](http://www.MSRB.org).

**Updating a Voluntary Advance Refunding Document**

To update your voluntary advance refunding document submission, select **Update** from the Dataport Submission Portal. Provide a CUSIP number or the submission ID of your earlier submission and proceed in the same way as for creation.