# 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>November 2021</td>
<td>Manual created from to reflect the addition of Pre-refunded, Secondary Market Insured and Matured/Redeemed filters to the CD submission path. Groups and Control Notices is updated.</td>
</tr>
</tbody>
</table>
Resources and Support

Contact the MSRB

**MSRB Support**
Phone: 202-838-1330  
Email: 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*
Submissions within these hours are processed promptly. Submissions outside of core operational hours may be posted promptly following processing of such information, though some submissions outside of the core operational hours may not be processed until the next business day.

*Excludes weekends and holidays identified on the [MSRB System Holiday Schedule](http://www.msrb.org) and planned or unplanned outages as communicated on the [MSRB Systems Status](http://www.msrb.org) webpage.

Related MSRB Rules and Resources

SEC Rule 15c2-12
- [10 Things to Know: New SEC Rule 15c2-12 Requirements](http://www.msrb.org)
- [SEC Rule 15c2-12: Continuing Disclosure](http://www.msrb.org)
- [Selecting Financial/Operating Disclosure Categories on EMMA Dataport](http://www.msrb.org)
- [Selecting Event Disclosure Categories on EMMA Dataport](http://www.msrb.org)
- [Using CUSIP Numbers on EMMA Dataport](http://www.msrb.org)
- [What Investors See on EMMA](http://www.msrb.org)
- [Setting Up an Organization Account](http://www.msrb.org)

Video Tutorials
- [Creating an Organization Account](http://www.msrb.org)
- [Creating and Controlling Groups](http://www.msrb.org)
- [Submitting Continuing Disclosures](http://www.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 the process for issuers, obligated persons and their agents to create and control groups of securities in order to assist users in submitting SEC Rules 15c2-12 and 15Ga-1 disclosures.

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

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

“CUSIP” is a registered trademark of ABA.
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Part I: Access EMMA Dataport

Accessing EMMA Dataport to create a group of securities can be done from the EMMA homepage as described in this manual. Alternatively, submitters can start from the MSRB homepage and click “Login.”

From the EMMA homepage, click the EMMA Dataport tab.
Then click the **Log in to MSRB Gateway** button.
From the MSRB Gateway landing page, enter your User ID and Password, and click **Login**.
Log in from the MSRB Homepage

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

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

![MSRB Gateway Main Menu](image)

**Manage Groups of Securities**

1. If you regularly make submissions for the same set of securities, creating a group can save you time on future submissions. You can create and manage groups at any time by logging into EMMA Dataport and clicking **Manage Groups of Securities and Disclosure Permissions**. Note that, if selected, saved groups will automatically update when new securities under the same base CUSIP are issued. By selecting an exclusion (Pre-refunded, Secondary Market Insured or Matured/Redeemed) these types of securities will automatically be removed from your group.

Groups can also be created when making a continuing disclosure submission. See the section of this manual on Associating Issues or Securities.
EMMA Dataport Manual for Creating Groups of Securities

What would you like to do today?

- Primary Market (Rule G-32)
- Continuing Disclosure (Rule-based & Voluntary)
- Political Contributions (Rule G-37)

Additional Options

- S29 Savings Plans / ABLE Programs (Rule G-45)
- SHORT Documents (Rule G-34)
- Issuer Voluntary Official Statements

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

- Create an Organization Account to Streamline Disclosures
- Manage Groups of Securities and Disclosure Permissions
- Manage Financial Disclosure Email Reminders
- Access New Issue Calendar and Other Market Tools
2. You are directed to the Groups tab. On the Groups tab, click the **Create New Group** button.

Manage Groups of Securities and Notices

Create groups of securities to better manage your disclosures. Benefits of groups include:
- Save groups of securities to associate with future disclosure submissions without having to re-enter the CUSIP numbers.
- Set groups to automatically add securities with the same CUSIP-6.
- Set groups to automatically remove matured/redeemed, pre-refunded, derivative or secondarily insured securities.
- Restrict which agents can make submissions on your behalf for a group of securities.
- Subscribe to receive email notifications of submissions associated with your groups.

Existing Groups

<table>
<thead>
<tr>
<th>Group Name</th>
<th>Group Customization</th>
<th>Designated Agents Only</th>
<th>Email Notification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issuer Homepage - AZ</td>
<td>Edit</td>
<td>N</td>
<td></td>
</tr>
</tbody>
</table>

3. On the next page enter a descriptive name for your group. Click the **Associate Securities** button to proceed to the next page.
4. In the text box, enter the CUSIP-9s of the securities you wish to include in the group, or use a CUSIP-6 to find all CUSIP-9s associated with that base CUSIP.

5. If you do not know the CUSIP-9 or CUSIP-6, expand the **Search for Securities by Issuer Name** option to perform a search of CUSIPs reported to the MSRB by entering the issuer name and state and clicking the **Search** button.

6. Check the box of the individual issuer name you would like in the group and then click the **Add Issuers** button or check the **checkbox** at the top to select all issuers for the group.
7. You can also upload a .csv or Excel file with a single column of a list of CUSIP numbers.

8. A list of all selected securities for the group appears on the screen, with a dynamic counter indicating the number of securities in the group. To remove a security from the group, uncheck the checkbox beside the CUSIP number. Click Save Group when done. Verify that the CUSIPs listed are accurate. You can also select to add new issues and/or exclude pre-refunded, secondary market insured or matured/redeemed securities. When selecting to add or exclude these categories, the group will continue to be updated as securities, come to market, are pre-refunded or mature.

9. Users can view excluded securities by checking customized facet and clicking the link to view.

10. Review the CUSIPs listed for accuracy.
    a. To remove a CUSIP-9, uncheck the check box next to the CUSIP you wish to remove.
    b. To deselect securities that have been reported to the MSRB as pre-refunded, secondary market insured or matured/redeemed, use the Exclude options in the Customize Securities section to the left of the table.
    c. Elect to automatically add new issues by selecting the Include New Securities label.
    d. The Status Indicator column will identify if a security is identified as one of the following:
        i. Pre-refunded: Exclude securities that have been escrowed until a call date or maturity and will be redeemed at that time.
ii. **Secondary Market Insured**: Exclude securities created as a form of credit enhancement for securities that do not originate from the Issuer.

iii. **Matured/Redeemed**: Exclude securities that have matured or been fully redeemed.

The dynamic count of the number of selected securities is highlighted in yellow at the top of the table. Verify that the CUSIPs listed are accurate. If you are modifying a group it will also state the last date you edited the group and how many were excluded/excluded through the automated process.
If saved successfully, the new group will be listed by the most recent updated date among existing groups.

You can search for a specific group by using the **Search within List** option.

A group can be edited, duplicated, or deleted at any time by clicking the appropriate link next to the group name.
Click | Steps
--- | ---
**Edit** | 1. Enter a new group name.  
2. Add or delete securities in the group  
   a. Add securities by entering the CUSIP-9 or searching for and entering the CUSIP-6.  
   b. Delete securities by unchecking the unwanted securities.  
3. Save updates by clicking **Save Group**.

The **Duplicate** link allows you to duplicate an existing group by adding or deleting securities in the group, then saving the group under a new name.  
1. Click on the **Duplicate** link to make a copy of an existing group.  
2. Give the group a new name.  
3. Add or edit the appropriate securities to customize the group.  
4. Create the new group by clicking **Save Group**.  
5. The new group will display among the list of existing groups.

**Delete** | Click **Yes** to confirm deletion of the group.
Designate Agents Only (Control CUSIPs)

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

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

To create a group, click on **Manage Groups of Securities and Disclosure Permissions** link in EMMA Dataport. Once on the main page, click on the **Designated Agents Only** link to elect control of the group. Locate the group and then select the checkbox to elect control and/or to receive email notices about submissions associated to the securities in the group.

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

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