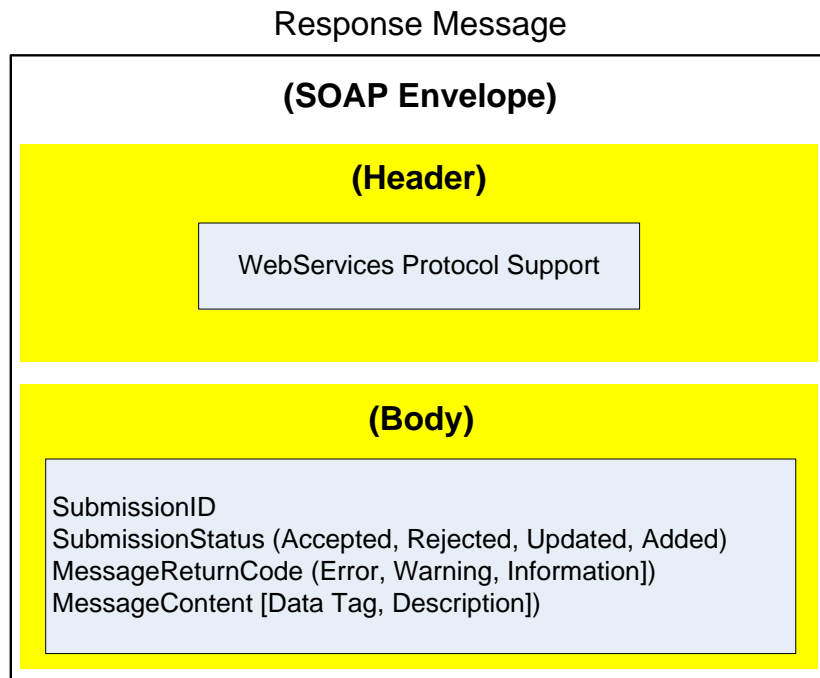


EMMA Continuing Disclosure Automated Submission Interface Specifications

VALIDATION RESPONSE MESSAGES

As submission messages are processed by EMMA, 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/disclosureservice/IDisclosureService/OpenSubmissi
onResponse
    </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="EA1734" SubmissionStatus="Added"
xmlns="http://emma.msrb.org/schemas/disclosuremessages/types">
          </Submission>
        <Message MessageReturnCode="Information" MessageContent="Continuing disclosure submission added."
xmlns="http://emma.msrb.org/schemas/disclosuremessages/types">
          </Message>
        </DisclosureResponseDetails>
      </DisclosureMessageResponse>
    </s:Body>
  </s:Envelope>
```

XML Submission Validation - Response Messages

Continuing Disclosure

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 (EA1001).
	Submission Status	-	-
Disclosure	Disclosure Type	Error	Required Field - Disclosure Type is a required field.
	Annual Periodic Disclosure Category	Error	Category mismatch - Disclosure without indexing information for a pre-July 2009 undertaking was asserted, but indexing information was provided without declaration of the information type.
		Error	Required Field – Financial Operating Disclosure Category is a required field when the disclosure type is Financial Operating Data Disclosure.
	Event Disclosure Category	Error	Category mismatch - Disclosure without indexing information for a pre-July 2009 undertaking was asserted, but indexing information was provided without declaration of the information type.
		Error	Required Field - Event Disclosure Category is a required field with the disclosure types is Event Based Disclosure.
	Other Voluntary Disclosure Description	Error	Required Field – Other Voluntary Disclosure Description is a required field if the disclosure category is either Other Financial Voluntary Information or Other Event Voluntary Information
	Period Type	-	-
	Disclosure Period	Error	Data Validation – Beginning Date must be earlier than the Ending Date.
		Error	Required Field – A Beginning Date and Ending Date is required if the period type is Other Period Beginning.
		Error	Required Field - AsOfDate field to be supplied if the Disclosure Type is Event Based Disclosure.
		Error	Required Element – Period Types (Year Ended, Quarter Ended, Month Beginning) require a Beginning Date or Ending Date as appropriate.
CUSIP6 Security Pointers	Error	Required Element - At least one security or CUSIP-6 must be provided when indexing information is provided.	

XML Block	Data Tag	Message Return Code	Response Message Content
	Securities	Error	Data Validation – Security CUSIP9:123456AB7 is not recognized as a well-formed CUSIP9.
Document	Document Posting Operation Indicator	-	-
Contact Information	Contact Organization Name	-	-
	Contact First Name	-	-
	Contact Last Name	-	-
	Contact Title	-	-
	Contact Phone Number	-	-
	Contact Phone Number Extension	-	-
	Contact Address	-	-
	Contact City	-	-
	Contact State	-	-
	Contact Zip Code	-	-
	Contact Email Address	-	-
WebSite	-	-	