## 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>1.1</td>
<td>July 2011</td>
<td>Remove security types for 529 College Savings Plan and Other Municipal Fund Security</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Modified Figures 2,3,4,5, and 6 removed specifications and example XML for 529 College Savings Plan and Other Municipal Fund Security</td>
</tr>
<tr>
<td>1.2</td>
<td>August 2015</td>
<td>Updated the Support section to reflect the change in hours of operation for Email Support.</td>
</tr>
<tr>
<td>1.3</td>
<td>August 2021</td>
<td>Format updates</td>
</tr>
<tr>
<td>1.4</td>
<td>November 2022</td>
<td>Updated links as needed for the revised MSRB.org website.</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://www.msrb.org) and planned or unplanned outages as communicated on the [MSRB Systems Status](http://www.msrb.org) webpage.

RESOURCES
- [Primary Market Submission Manual](http://www.msrb.org)
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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 website. 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 Gateway User Manual for Issuers, Obligated Persons and Agents 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.

1 See MSRB Notice 2010-15 (June 2, 2010) for more information. This notice may be found at: https://www.msrb.org/MSRB-Receives-SEC-Approval-Make-Available-Primary-Market-and-Continuing-Disclosure-Information-EMMA.
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
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.

**Specifications 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

A beta version of the POS submission web service 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 to better replicate the actual submission process.
The same document may be uploaded multiple times for testing purposes.

Test submissions can be made to the beta platform here:
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.²

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 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:³

² MSRB Gateway is accessible through the MSRB’s website at: http://www.msrb.org or through the EMMA web portal at https://dataport.emma.msrb.org/Home/Index.

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

Information about establishing accounts through MSRB Gateway for submissions to the Primary Market Submission Service is available on the MSRB’s web site at https://msrb.org/MSRB-Gateway.
• 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 –
  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)

*   *   *

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Figure 1: Message Processing Overview

Message Processing Overview

Preliminary Official Statement Submitter

Submission Message

Response Message

EMMA Web Service

Header Validation

Is Header Valid?

YES

Does Message Pass Authentication & Authorization?

YES

Perform Required Field Validation

YES

Physical Message Processed Successful?

YES

Business Validation Successful?

YES

Add / Update Submission

NO

NO

SUBMITTER

Database

Response Message

(SOAP)

(Body)

Message (Code)

Message (Exception Level)

Message (Reference Data Element)

Message (Description)

(Header)

Addressing Information

Submission Message

eMail

(notice of publish)

Submitter

Securities Submission

CUSIP

MaturityDate

InterestRate

MaturityPrincipalAmount

PreliminaryOfficialStatement

pdf Binary File

(encoded in MTOM)

SOAP Envelope

WebServices Protocol Support

SOAP

- Simple Object Access Protocol

MTOM

- SOAP Message Transmission Optimization Mechanism

- a method of efficiently sending binary data to and from web services

Issue

SecurityType

IssueDescription

IssuerName

IssuerState

IssueClosingDate

EffectiveDate

IssueDatedDate

PreliminaryOfficialStatementDate

IssueTotalParAmount

IssuerCUSIP

6

CUSIP

6

Files

FileType

FileDescription

Contact Information

ContactOrganizationName

ContactFirstName

ContactLastName

ContactPhoneNumber

ContactPhoneNumberExtension

ContactAddress

ContactCity

ContactState

ContactZipCode

ContactEmailAddress

Issuer MSRBID

1

SubmissionIdentifier

SubmissionStatus

1

Applies to submission modification

SOAP

- foundation layer of the web services protocol stack

MTOM

- a method of efficiently sending binary data to and from web services
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.
Preliminary Official Statement - Submission

(SOAP Envelope)

(Header)

WebServices Protocol Support

Submission

SubmissionIdentifier (1)
SubmissionStatus
(1) Applies to submission modification

Issue

SecurityType
IssueDescription
IssuerName
IssuerState
IssueClosingDate
IssueDatedDate
PreliminaryOfficialStatementDate
IssueTotalParAmount
IssuerCUSIP6
CUSIP9
MaturityDate
InterestRate
MaturityPrincipalAmount

Securities

Files

FileDescription

ContactInformation

ContactOrganizationName
ContactFirstName
ContactLastName
ContactPhoneNumber
ContactPhoneNumberExtension
ContactAddress
ContactCity
ContactState
ContactZipCode
ContactEmailAddress

Issuer

IssuerMSRBID

(Body)

pdf Binary File (encoded in MTOM)

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
<?xml version="1.0" encoding="utf-8"?>
<xs:schema elementFormDefault="qualified" targetNamespace="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
<?xml version="1.0" encoding="utf-8"?>
<xs:schema elementFormDefault="qualified" targetNamespace="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>
```
POS Disclosure Service_2.xsd

<?xml version="1.0" encoding="utf-8"?>
  <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: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:sequence>
  </xs:complexType>
  <xs:complexType name="UnderlyingSecuritiesType">
  </xs:complexType>
</xs:schema>
<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:simpleType name="Max200Text">
  <xs:restriction base="xs:string">
    <xs:minLength value="1" />
    <xs:maxLength value="200" />
  </xs:restriction>
</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"
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.

<table>
<thead>
<tr>
<th>XML Container</th>
<th>Data Tag</th>
<th>Definition</th>
<th>Data Specification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission</td>
<td>Submission Identifier</td>
<td>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</td>
<td>Max25Text ex: 5212345678910</td>
</tr>
<tr>
<td></td>
<td>Submission Status</td>
<td>Indicates the intention to publish the information in the EMMA public portal</td>
<td>Enumerated Value:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Publish</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Cancel</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Test</td>
</tr>
<tr>
<td>Issue</td>
<td>Security Type</td>
<td>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</td>
<td>Enumerated Value:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>CUSIP9</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>CommercialPaper</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>nonCUSIP</td>
</tr>
<tr>
<td></td>
<td>Issue Description</td>
<td>Full issue description as it appears on the Preliminary Official Statement</td>
<td>Max250Text ex: Road Improvement Refunding Bonds, Series 2008A</td>
</tr>
</tbody>
</table>

DATA TAG GLOSSARY

Preliminary Official Statement

EMMA Disclosure Service
<table>
<thead>
<tr>
<th>XML Container</th>
<th>Data Tag</th>
<th>Definition</th>
<th>Data Specification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Issuer Name</td>
<td>Full issuer name as it appears on the Preliminary Official Statement</td>
<td>Max250Text</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ex: Emma County Infrastructure Finance Authority</td>
</tr>
<tr>
<td></td>
<td>Issuer State</td>
<td>Standard state abbreviation</td>
<td>String;StateCode;2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ex: VA</td>
</tr>
<tr>
<td></td>
<td>Issue Closing Date</td>
<td>Date on which the issue is expected to settle</td>
<td>CCYY-MM-DD</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ex: 2008-12-15</td>
</tr>
<tr>
<td></td>
<td>Issue Dated Date</td>
<td>Original dated date of an issue if a new dated date is assigned for the</td>
<td>CCYY-MM-DD</td>
</tr>
<tr>
<td></td>
<td></td>
<td>remarked issue in which the CUSIP number has not changed the Dated date</td>
<td>ex: 2008-12-01</td>
</tr>
<tr>
<td></td>
<td>Preliminary</td>
<td>The date appearing on the face of the Preliminary Official Statement</td>
<td>CCYY-MM-DD</td>
</tr>
<tr>
<td></td>
<td>Official Statement</td>
<td></td>
<td>ex: 2008-12-01</td>
</tr>
<tr>
<td></td>
<td>Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issue Total Par</td>
<td>The total par value of the offering</td>
<td>Decimal</td>
</tr>
<tr>
<td></td>
<td>Amount</td>
<td></td>
<td>ex: 5000000</td>
</tr>
<tr>
<td></td>
<td>Issuer CUSIP6</td>
<td>Six-digit base CUSIP number, as assigned by the CUSIP Service Bureau. An</td>
<td>String(Min6,Max6)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>issuer may include a CUSIP6 for reference.</td>
<td>ex: 123456</td>
</tr>
<tr>
<td></td>
<td>CUSIP6</td>
<td>Six-digit base CUSIP number for commercial paper issues, as assigned by</td>
<td>String(Min6,Max6)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>the CUSIP Service Bureau</td>
<td>ex: 123456</td>
</tr>
<tr>
<td></td>
<td>Securities</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CUSIP9</td>
<td>Indicates the nine-digit CUSIP number(s) to which the disclosure applies</td>
<td>CUSIP9 String(Min9,Max9)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>if the Security Type is CUSIP9</td>
<td>ex: 123456AB7</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>IF: Security Type is CUSIP9</td>
</tr>
<tr>
<td></td>
<td>Maturity Date</td>
<td>The date the principal of a municipal security becomes due and payable to</td>
<td>CCYY-MM-DD</td>
</tr>
<tr>
<td></td>
<td></td>
<td>the bondholder absent earlier redemption.</td>
<td>ex: 2025-12-01</td>
</tr>
<tr>
<td></td>
<td>Interest Rate</td>
<td>The periodic rate of interest usually calculated as an annual rate</td>
<td>Decimal</td>
</tr>
<tr>
<td></td>
<td></td>
<td>payable on a security expressed as a percentage of the principal amount.</td>
<td>ex: 3.9 [fixed rate] or 0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The coupon rate, sometimes referred to as the “nominal interest rate,”</td>
<td>[zero coupon/capital appreciation] or blank [variable rate]</td>
</tr>
<tr>
<td></td>
<td></td>
<td>does not take into account any discount or premium in the purchase</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>price of the security.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Maturity Principal</td>
<td>Total principal amount at maturity of the security – not provided for</td>
<td>Decimal</td>
</tr>
<tr>
<td></td>
<td>Amount</td>
<td>commercial paper issues</td>
<td>ex: 5000000</td>
</tr>
<tr>
<td>XML Container</td>
<td>Data Tag</td>
<td>Definition</td>
<td>Data Specification</td>
</tr>
<tr>
<td>---------------</td>
<td>----------</td>
<td>------------</td>
<td>--------------------</td>
</tr>
</tbody>
</table>
| File          | File Type | Indicates type document being submitted | Enumerated Value:  
- PreliminaryOfficialStatement  
- NoticeOfSale  
- Advertisement  
- RelatedDocument |
|               | 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

<table>
<thead>
<tr>
<th>XML Container</th>
<th>Data Tag</th>
<th>Primary Market Disclosures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>CUSIP-9 based (CUSIP-9)</td>
</tr>
<tr>
<td>Submission</td>
<td>Submission Status</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Submission Identifier</td>
<td>R (Update Submission)</td>
</tr>
<tr>
<td>Issue</td>
<td>Security Type</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Issuer Name</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Issue Description</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Issuer State</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Issue Closing Date</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Effective Date</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Issue Dated Date</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Preliminary Official Statement Date</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td>XML Container</td>
<td>Data Tag</td>
<td>CUSIP-9 based (CUSIP-9)</td>
</tr>
<tr>
<td>---------------</td>
<td>---------------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td></td>
<td>Issue Total Par</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Amount</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issuer CUSIP6</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>CUSIP6</td>
<td>N/A</td>
</tr>
<tr>
<td>Securities</td>
<td>CUSIP9</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Maturity Date</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Interest Rate</td>
<td>O (1)</td>
</tr>
<tr>
<td></td>
<td>Maturity Principal</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Amount</td>
<td></td>
</tr>
<tr>
<td>File</td>
<td>File Type</td>
<td>R (Open / Update Submission with associated file)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>File Description</td>
<td>O (Open / Update Submission with associated file)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issuer MSRBID</td>
<td>R</td>
</tr>
<tr>
<td></td>
<td>Contact Organization Name</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact First Name</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td></td>
<td>Contact Last Name</td>
<td>R (Open / Update Submission)</td>
</tr>
<tr>
<td>XML Container</td>
<td>Data Tag</td>
<td>Primary Market Disclosures</td>
</tr>
<tr>
<td>---------------</td>
<td>--------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>CUSIP-9 based (CUSIP-9)</td>
<td>Commercial Paper (CUSIP-6)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ineligible for CUSIP Number Assignment (non-CUSIP)</td>
</tr>
<tr>
<td>Contact</td>
<td>Contact Phone Number</td>
<td>R (Open / Update Submission unless email is provided)</td>
</tr>
<tr>
<td>Information</td>
<td></td>
<td>R (Open / Update Submission unless email is provided)</td>
</tr>
<tr>
<td></td>
<td>Contact Phone Number Extension</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact Address</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact City</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact State</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact Zip Code</td>
<td>O</td>
</tr>
<tr>
<td></td>
<td>Contact Email Address</td>
<td>R (Open / Update Submission unless Contact Phone Number is provided)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>R (Open / Update Submission unless Contact Phone Number is provided)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>R (Open / Update Submission unless Contact Phone Number is provided)</td>
</tr>
</tbody>
</table>

**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
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 theSubmitter 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"
        </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>
<table>
<thead>
<tr>
<th>XML Block</th>
<th>Data Tag</th>
<th>Message Return Code</th>
<th>Response Message Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission</td>
<td>Submission Identifier</td>
<td>Error</td>
<td>Failure to Identify Submission – failed to identify a Submission with the given Submission Identifier ({0}).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Required Field – Submission Identifier is a required field on subsequent disclosure submission messages.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Data Validation – The referenced submission is of status (Cancelled) and cannot be updated.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Unnecessary Data Element – Submission Identifier should not be provided on an Open submission.</td>
</tr>
<tr>
<td>Submission Status</td>
<td>Submission Status</td>
<td>Error</td>
<td>Data Validation – The referenced submission is of status (Cancelled) and cannot be updated.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Required Field – Submission Status is a required field.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Submission – Element Missing.</td>
</tr>
<tr>
<td>Issue</td>
<td>Security Type</td>
<td>Error</td>
<td>Data Validation – Security Type cannot be changed on update submission message.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Error</td>
<td>Required Field – Issuer Name is a required field on an open or update submission message.</td>
</tr>
<tr>
<td></td>
<td>Issuer Name</td>
<td>Error</td>
<td>Required Field – Issue Description is a required field on an open or update submission message.</td>
</tr>
<tr>
<td></td>
<td>Issue Description</td>
<td>Error</td>
<td>Required Field – Issue State is a required field on an open or update submission message.</td>
</tr>
<tr>
<td></td>
<td>Issue State</td>
<td>Error</td>
<td>Required Field – Issue State is a required field on an open or update submission message.</td>
</tr>
<tr>
<td></td>
<td>Issue Closing Date</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issue Dated Date</td>
<td>Error</td>
<td>Data Validation – Dated Date is not applicable to Ineligible for CUSIP Number Assignment.</td>
</tr>
<tr>
<td></td>
<td>Preliminary Official Statement Date</td>
<td>Error</td>
<td>Required Field – Preliminary Official Statement Date is a required field on an open or update submission message.</td>
</tr>
<tr>
<td></td>
<td>Issue Total Par Amount</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issuer CUSIP6</td>
<td>Error</td>
<td>Data Validation – Issuer CUSIP6 is only applicable to CUSIP9 based submissions.</td>
</tr>
<tr>
<td></td>
<td>CUSIP6</td>
<td>Error</td>
<td>Data Validation - CUSIP6 is only applicable to Commercial Paper.</td>
</tr>
<tr>
<td>Securities</td>
<td>CUSIP9</td>
<td>Error</td>
<td>Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions.</td>
</tr>
<tr>
<td></td>
<td>Maturity Date</td>
<td>Error</td>
<td>Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions.</td>
</tr>
</tbody>
</table>

28
<table>
<thead>
<tr>
<th>XML Block</th>
<th>Data Tag</th>
<th>Message Return Code</th>
<th>Response Message Content</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Interest Rate</td>
<td>Error</td>
<td>Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions.</td>
</tr>
<tr>
<td></td>
<td>Maturity Principal Amount</td>
<td>Error</td>
<td>Data Validation – Security level attributes (CUSIP9, Maturity Date, Interest Rate, Maturity Principal Amount) are only applicable for CUSIP9 based submissions.</td>
</tr>
<tr>
<td>Files</td>
<td>File Type</td>
<td>Error</td>
<td>Required Field: File Type is a required field if a file is associated with an open or update submission message.</td>
</tr>
<tr>
<td>Files</td>
<td>File Type</td>
<td>Error</td>
<td>Data Validation – File Type can only be PreliminaryOfficialStatement for an open submission.</td>
</tr>
<tr>
<td>Files</td>
<td>File Description</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Files</td>
<td>Miscellaneous</td>
<td>Error</td>
<td>A file is required in an open submission message.</td>
</tr>
<tr>
<td>Issuer</td>
<td>Issuer MSRBID</td>
<td>Error</td>
<td>Required Field – Issuer MSRBID is required.</td>
</tr>
<tr>
<td>Issuer</td>
<td>Issuer MSRBID</td>
<td>Error</td>
<td>Data Validation – You are not authorized to submit on behalf of the party indicated by the Issuer MSRBID.</td>
</tr>
<tr>
<td></td>
<td>Miscellaneous</td>
<td>Error</td>
<td>Issuer - Element Missing.</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Organization Name</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact First Name</td>
<td>Error</td>
<td>Required Field – Contact First Name is a required field on an open or update submission message.</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Last Name</td>
<td>Error</td>
<td>Required Field – Contact Last Name is a required field on an open or update submission message.</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Phone Number</td>
<td>Error</td>
<td>Required Field – Contact Information level attribute (Contact Phone Number or Contact Email Address) is required.</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Phone Number Extension</td>
<td>Error</td>
<td>Data Validation – Phone Number Extension must be numeric.</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Address</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact City</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact State</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Zip Code</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Contact Information</td>
<td>Contact Email Address</td>
<td>Error</td>
<td>Required Field – Contact Information level attribute (Contact Phone Number or Contact Email Address) is required.</td>
</tr>
</tbody>
</table>
Figure 6: Sample Document XML Messages

Sample Document XML Messages

(CUSIP9 Based)

```xml
<?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="5555555555" 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">
    <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">
      <File FileType="PreliminaryOfficialStatement" FileDescription="Commercial Paper Description"
       xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
        <ContactInformation ContactOrganizationName="Organization" ContactFirstName="ContactFirstName"
         ContactLastName="ContactLastname" ContactAddress="Address" ContactCity="City" ContactState="AL" ContactZipCode="55555"
         ContactPhoneNumber="5555555555" ContactPhoneNumberExtension="1234" ContactEMailAddress="Issuer@mail.com"
         xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
          <Issuer IssuerMSRBID="FRISR" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types"/>
        </ContactInformation>
      </File>
    </Issue>
  </Submission>
</POSMessageType>
Figure 7: Sample XML Headers

Sample XML Headers

Document Message – Sample Header File

```xml
  <s:Header>
    <POSMessageType>
      <Submission SubmissionStatus="Publish" xmlns="http://emma.msrb.org/schemas/disclosuremessages/posdisclosure/types">
        <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"/>
      </Submission>
    </POSMessageType>
  </s:Header>
</s:Envelope>
```
<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>
</s:Header>
[BINARY STREAM OF PDF FILE]
</s:Body>