



The Official Source for Municipal Disclosures and Market Data

EMMA Dataport Manual for Creating Groups of Securities

Version 1.0, December 2021

Revision History

Version	Date	Description of Changes
1.0	November 2021	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.

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

EMMA Website: 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](#) and planned or unplanned outages as communicated on the [MSRB Systems Status](#) webpage.*

Related MSRB Rules and Resources

SEC Rule 15c2-12

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

Video Tutorials

- [Creating an Organization Account](#)
- [Creating and Controlling Groups](#)
- [Submitting Continuing Disclosures](#)

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.

EMMA Help | Contact Us

EMMA®
Electronic Municipal Market Access
A service of the MSRB

Search by CUSIP, Description, State, etc.

Advanced Search

Browse Issuers Tools and Resources Market Activity MyEMMA® **EMMA Dataport** A- 100% A+

The official source for municipal securities data and documents
Provided by the Municipal Securities Rulemaking Board.

Click on a state to start your search

WA MT ND MN WI MI NY ME
OR ID WY SD NE IA IL IN OH PA
CA NV UT CO KS MO KY WV VA
AZ NM OK AR TN SC NC
TX LA MS AL GA FL
Territories: GU MP PR VI

Learn
New to EMMA? Find out more.

Evaluate
Access New Issue Calendar and other market tools.

Monitor
Sign up for MyEMMA

Then click the **Log in to MSRB Gateway** button.



EMMA[®]

Electronic Municipal Market Access

A service of the MSRB

[EMMA Help](#) | [Contact Us](#)

Search by CUSIP, Description, State, etc.

▶

Advanced Search

Browse Issuers
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EMMA Dataport

EMMA Dataport

- ▶ Overview
- ▶ Submissions by Dealers
- ▶ Submissions by Municipal Advisors
- ▶ Submissions by Issuers
- ▶ Submissions by Obligated Persons
- ▶ MSRB Subscription Services
- ▶ MSRB System Status

Document Submission

EMMA Dataport now features an enhanced user interface and improvements to the continuing disclosure submission process for issuers. [Read more about the changes.](#)

Municipal securities dealers, municipal advisors, issuers, obligated persons and their designated agents provide the Municipal Securities Rulemaking Board (MSRB) with electronic documents to be posted on EMMA. EMMA Dataport is the utility through which submissions of documents and related information are made to MSRB Market Transparency Programs. For information about how to make specific submissions, please click on the applicable link below.

For time sensitive issues call MSRB Support at or send an email to MSRBsupport@msrb.org.

- ▶ [Submissions by Dealers](#)
- ▶ [Submissions by Municipal Advisors](#)
- ▶ [Submissions by Issuers](#)
- ▶ [Submissions by Obligated Persons](#)

Access EMMA Dataport to Submit Documents



Log in to MSRB Gateway

Don't have an account? [Register](#) ▶

▶ Access Online Training about Submitting to EMMA

▶ MSRB Gateway Manual ▶

Free Online Learning



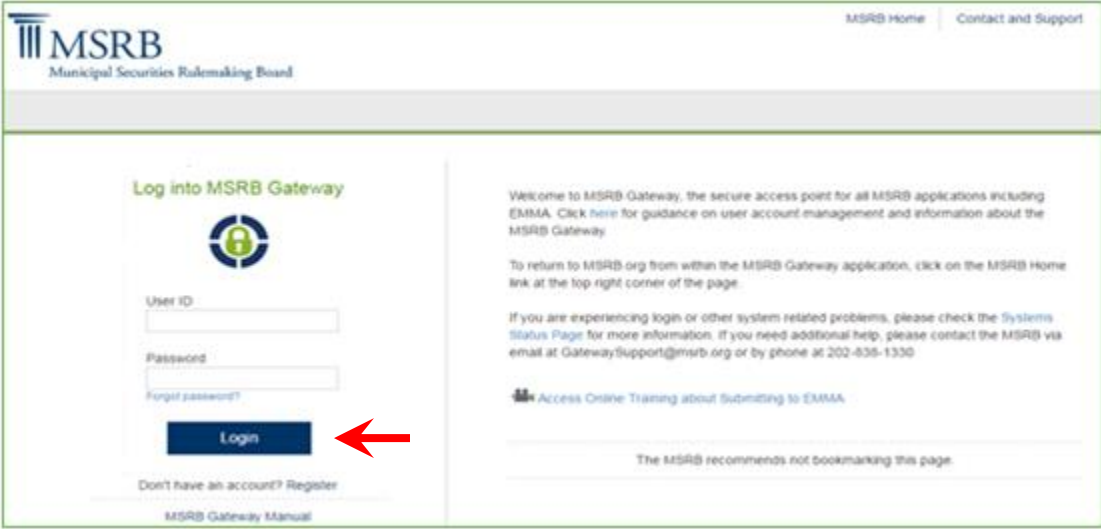
Log in to MuniEdPro[®] to take the MSRB's interactive course on continuing disclosure obligations under SEC Rule 15c2-12.

EMMA for Issuers



Watch government finance professionals explain how they use EMMA.

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



MSRB
Municipal Securities Rulemaking Board

MSRB Home Contact and Support

Log into MSRB Gateway

User ID

Password

[Forgot password?](#)

Login

Don't have an account? [Register](#)

[MSRB Gateway Manual](#)

Welcome to MSRB Gateway, the secure access point for all MSRB applications including EMMA. Click [here](#) for guidance on user account management and information about the MSRB Gateway.

To return to MSRB.org from within the MSRB Gateway application, click on the MSRB Home link at the top right corner of the page.

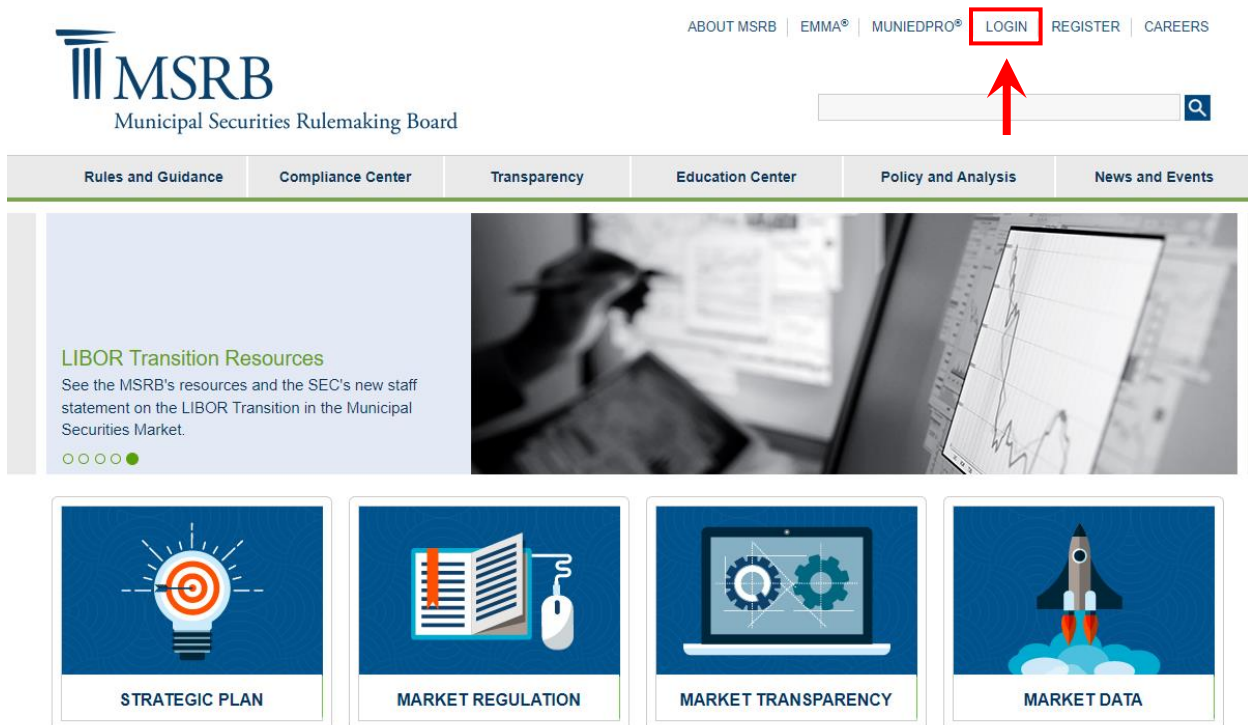
If you are experiencing login or other system related problems, please check the [Systems Status Page](#) for more information. If you need additional help, please contact the MSRB via email at GatewaySupport@msrb.org or by phone at 202-835-1330.

 [Access Online Training about Submitting to EMMA](#)

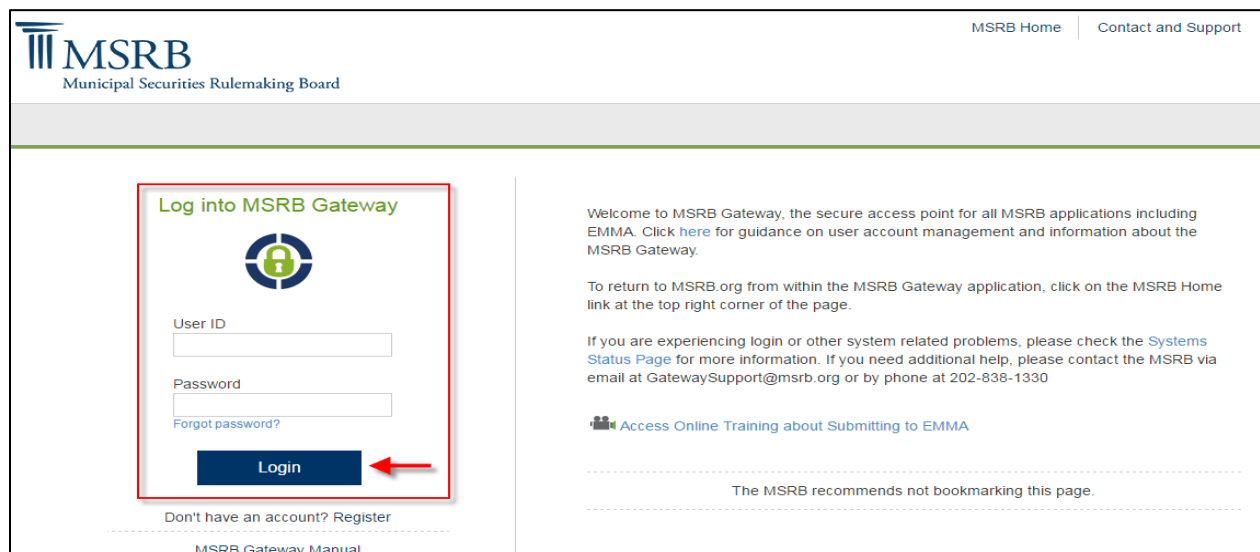
The MSRB recommends not bookmarking this page.

Log in from the MSRB Homepage

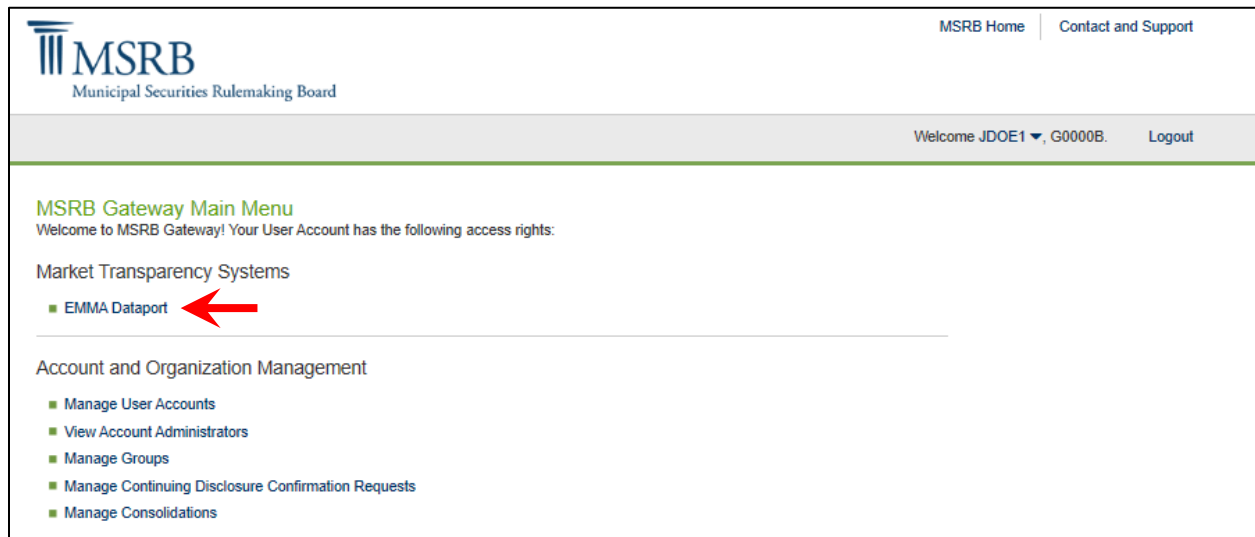
From the MSRB homepage at www.msrb.org, click **LOGIN**.



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



From the MSRB Gateway Main Menu, click **EMMA Dataport**.



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 CUSUP 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.



Electronic Municipal Market Access
A service of the MSRB

Welcome JOHN DOE, G0000B  [EMMA Help](#) | [Contact Us](#)



Advanced Search

[Browse Issuers](#) | [Tools and Resources](#) | [Market Activity](#) | [MyEMMA®](#) | [EMMA Dataport](#)

You are acting on behalf of: SAMPLE CO (G0000B)

EMMA Dataport

What would you like to do today?



Primary Market (Rule G-32)



Continuing Disclosure
(Rule-based & Voluntary)



Political Contributions (Rule G-37)

Additional Options

529 Savings Plans / ABLE Programs (Rule G-45)

Submit plan descriptive information, assets and other data.

SHORT Documents (Rule G-34)

Submit ARS and VRDO documents.

Issuer Voluntary Official Statements

Submit official statement or related information to make a voluntary primary market submission.

Preliminary Official Statement and Pre-Sale Documents

Submit POS and related pre-sale documents.

Voluntary Financial Information: Timing, GAAP Undertaking & URL

Indicate the timing, accounting standard and URL for additional financial information.



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

- You are directed to the Groups tab. On the Groups tab, click the **Create New Group** button.

Manage Groups of Securities and Notices

[Resources](#)

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 group(s).

[Create New Group](#)
[Invite Obligated Persons](#)
[Designate Agents](#)

Existing Groups

Show entries | Search within list:

Group Name		Group Customization ?	Designated Agents Only ?	Email Notification ?
Issuer Homepage - AZ Last Updated: 09/23/2021	Edit Duplicate Delete	N P S MR	☐	☐

- On the next page enter a descriptive name for your group. Click the **Associate Securities** button to proceed to the next page.

Create a New Group

[Resources](#)

[Associate Securities](#)
[Exit](#)

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.

New Group Test123 - Associate Securities

[Resources](#)

Add securities to your group by using the following options

Type or Copy/Paste Securities ?

89602HBX4
89602HBY2
89602HBZ9

Add Securities

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.

[Search for Securities by Issuer Name](#)

Issuer Name:

State:

Search

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.

The screenshot displays the EMMA Dataport interface. A modal window titled "Select Issuers" is open, showing a table with one entry:

☐	CUSIP-6	Issuer Name
☐	014325	VILLAGE OF ALDEN, ERIE COUNTY, NEW YORK

Below the table, it says "Showing 1 to 1 of 1 entries". To the right of the table are "Previous" and "Next" buttons. At the bottom of the modal are "Add Issuers" and "Cancel" buttons. A red arrow points to the "Add Issuers" button.

The background page is titled "New Group test1 - Associate Securities". It has a header "Add securities to your group by using the following options". Below this are two sections:

- Type or Copy/Paste Securities**: A text input field.
- Search for Securities by Issuer Name**: A search form with "Issuer Name" (text input with "alden vig"), "State" (dropdown menu with "NY"), and a "Search" button.

At the bottom of the page are "Back", "Save Group", and "Exit" buttons. A red arrow points to the "Browse Issuers" link in the top left corner of the page.

7. You can also upload a .csv or Excel file with a single column of a list of CUSIP numbers.

New Group test123 - Associate Securities

Resources

Add securities to your group by using the following options

[Type or Copy/Paste Securities ?](#)

[Search for Securities by Issuer Name](#)

[Upload Securities](#)

Files must contain one column of CUSIP-9's and be either CSV or Excel file. 15,000 maximum CUSIPs.

Select File

or drag and drop file here

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.
- To remove a CUSIP-9, uncheck the check box next to the CUSIP you wish to remove.
 - 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.
 - Elect to automatically add new issues by selecting the **Include New Securities** label
 - The **Status Indicator** column will identify if a security is identified as one of the following:
 - 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.

Uploaded Issues/Securities

[Export Securities \(?\)](#)

311 securities selected.
You last edited this group on 9/23/2021
Total number of securities in this group 32 excluded/included since last view of group

Customize Securities (?)

Include

☐ **N** New Securities

Exclude

☐ **P** Pre-refunded

☐ **S** Secondary Market Insured

☐ **MR** Matured/Redeemed

☐	Issue Description	Issuer Name	Dated Date	Maturity Dates
☐	[+] <no issue name>	ALDEN VLG NEW YORK	10/01/1999	2000 to 2009
☐	[+] <no issue name>	ALDEN MARILLA ETC N Y CENT SCH DIST NO 001	09/15/1968	1985 to 1994
☒	[+] <no issue name>	ALDEN MARILLA ETC N Y CENT SCH DIST NO 001	12/25/1964	1985 to 1993
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	01/01/2004	2004 to 2019
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	06/15/2000	2001 to 2009
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	01/15/2000	2000 to 2009
☒	[+] <no issue name>	ALDEN N Y	09/15/1999	2000 to 2013
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	04/15/1997	1998 to 2016
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	04/15/1992	1993 to 2010
☒	[+] <no issue name>	ALDEN N Y	01/15/1992	1993 to 2007
☒	[+] <no issue name>	ALDEN N Y	01/15/1987	1987 to 2007
☒	[+] <no issue name>	ALDEN N Y CENT SCH DIST	11/15/1983	1985 to 1993

☒	PURPOSES - 2016	COUNTY, NEW YORK	09/15/2016	09/14/2017
☒	[+] BOND ANTICIPATION NOTES FOR VARIOUS PURPOSES 2015	VILLAGE OF ALDEN ERIE COUNTY, NEW YORK	09/17/2015	09/15/2016
☒	[+] BOND ANTICIPATION NOTES FOR VARIOUS PURPOSES-2014	VILLAGE OF ALDEN, ERIE COUNTY, NEW YORK	09/18/2014	09/17/2015
☒	[+] BOND ANTICIPATION NOTES, 2020	ALDEN CENTRAL SCHOOL DISTRICT ERIE COUNTY, NEW YORK	07/22/2020	07/22/2021
☒	[+] GENERAL OBLIGATION BONDS - SCHOOL DISTRICT SERIAL BONDS, 2010	ALDEN CENTRAL SCHOOL DISTRICT, NEW YORK	04/15/2010	2011 to 2025
☒	[+] GENERAL OBLIGATION SCHOOL DISTRICT SERIAL BONDS, 2021	ALDEN CENTRAL SCHOOL DISTRICT, NEW YORK	06/22/2021	2022 to 2036
☒	[+] GENERAL OBLIGATIONS BONDS SCHOOL DISTRICT SERIAL BONDS, 2017	ALDEN CENTRAL SCHOOL DISTRICT, ERIE COUNTY, NEW YORK	06/16/2017	2018 to 2033
☒	[+] PUB IMPT BDS 2017	ALDEN TOWN NEW YORK	02/09/2017	2018 to 2037
☒	[+] PUBLIC IMPROVEMENT SERIAL BONDS FOR HIGHWAY IMPROVEMENTS - 2011	VILLAGE OF ALDEN, NEW YORK	09/20/2011	2012 to 2021
☒	[+] RFDG	ALDEN N Y CENT SCH DIST	06/15/2003	2004 to 2018
☒	[+] RFDG	ALDEN N Y CENT SCH DIST	09/16/2002	2003 to 2016
☒	[+] SCHOOL DISTRICT REFUNDING (SERIAL) BONDS, 2012	ALDEN CENTRAL SCHOOL DISTRICT ERIE COUNTY, NEW YORK	03/27/2012	2012 to 2019
☒	[+] WATER IMPROVEMENTS REFUNDING SERIAL BONDS - 2010	TOWN OF ALDEN, NEW YORK	11/24/2010	2011 to 2030

Showing 1 to 47 of 47 entries

IMPORTANT NOTICE: You should verify that the list of securities is correct (including, without limitation, that all remarketed, unrefunded issues and CUSIPs are reflected). The MSRB takes no responsibility for verifying the accuracy or completeness of the list. EMMA Dataport is provided "as is" and "as available," without representations or warranties of any kind. The MSRB assumes no responsibility for any intentional or unintentional error, omission, inaccuracy, incompleteness, unavailability, interruption, delay, or unauthorized access in or with respect to EMMA Dataport or in information submitted to and/or posted on it.

[Back](#) [Save Group](#) [Exit](#)

If saved successfully, the new group will be listed by the most recent updated date among existing groups.

Existing Groups

Show entries | Search within list:

Group Name ▼	Group Customization ?	Designated Agents Only ?	Email Notification ?
test1 Last Updated: 09/23/2021	Edit Duplicate Delete	--	☐
Issuer Homepage - AZ Last Updated: 09/23/2021	Edit Duplicate Delete	☐	☐
Demo Test Last Updated: 09/23/2021	Edit Duplicate Delete	☒	☒

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.

test1

Last Updated: 09/23/2021

[Edit](#) | [Duplicate](#) | [Delete](#)

Issuer Homepage - AZ

Last Updated: 09/23/2021

[Edit](#) | [Duplicate](#) | [Delete](#)

Demo Test

Last Updated: 09/23/2021

[Edit](#) | [Duplicate](#) | [Delete](#)

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.

Manage Groups of Securities and Notices

[← Resources](#)

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 group(s).

[Create New Group](#)
[Invite Obligated Persons](#)
[Designate Agents](#)

Existing Groups

Show 10 entries | Search within list:

Group Name ▼	Group Customization ?	Designated Agents Only ?	Email Notification ?
CUSIPs Group Last Updated: 09/29/2021	Edit Duplicate Delete --	☐	☐
testing 123 Last Updated: 09/28/2021	Edit Duplicate Delete N	☐	☐
test2 Last Updated: 09/28/2021	Edit Duplicate Delete --	☐	☐
test Last Updated: 09/28/2021	Edit Duplicate Delete --	☐	☐



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.