

# Registering your EMMA Account

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MSRB  
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EMMA - Electronic Municipal Market Access  
The Official Source for Municipal Disclosures and Market Data

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Investors Can Search Continuing Disclosure Documents on EMMA  
October 23, 2009

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Municipal bond underwriters and issuers submitting official statements, advance refunding documents and continuing disclosures to EMMA may do so through the EMMA Dataport. Submitted documents are made available to the public.  
→ [Primary Market Submissions](#)  
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Portions of EMMA data provided by Standard & Poor's Securities Evaluations, Inc., CUSIP Service Bureau & American Bankers Association.

Click the link for "Continuing Disclosure Submission"

Click the link for "Register to Submit Continuing Disclosures"

EMMA Dataport

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**Document Submissions to EMMA and Real-Time Subscriptions**

Municipal bond underwriters and issuers must provide the MSRB with electronic documents to be posted on the EMMA website. Document submissions are made through a utility called the EMMA Dataport, which also exports real-time feeds containing EMMA documents and data. For additional information about underwriter and issuer submission of documents to EMMA, please see the [Frequently Asked Questions](#) below.

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Glossary of Terms  
View the MSRB's industry-standard

**Step 1.** Enter your email address, click next

**Step 2.** Enter your information (name, email, phone number and address), click next

**Step 3.** Enter organization information (copy from previous screen, unless different), click next

**Step 4.** Add Roles: Check the boxes for both “Issuer” and “Obligor”

**Step 5.** Account Confirmation: You will need to be confirmed as an authorized filer for your organization. SNW can confirm your account. Enter in one of the following email addresses as “Confirmer’s Email Address”:

<u>Name</u>	<u>Email</u>	<u>Phone</u>
Mary Macpherson:	<a href="mailto:mmacpherson@snwsc.com">mmacpherson@snwsc.com</a>	(503) 275-8307
Lauren Foote:	<a href="mailto:lfoote@snwsc.com">lfoote@snwsc.com</a>	(503) 275-8302
Jonas Biery:	<a href="mailto:jbiery@snwsc.com">jbiery@snwsc.com</a>	(503) 275-8308
Diana Schweitzer:	<a href="mailto:dschweitzer@snwsc.com">dschweitzer@snwsc.com</a>	(503) 275-8305

The EMMA System will generate an email to us. Once received, we need to log-in to EMMA to confirm your account. If you would like to complete your filing at this time, it may be helpful to call the person you are listing as the “Confirmer” to verify that they are in the office and should be looking for the email.

**Step 6.** Verify your information, click next

**Email 1.** You will receive an email from the MSRB with the following:

- Link to log-in to the EMMA System
- User ID
- Confirmation number

Click on the link in the email to retrieve your password and enter your User ID.

**Email 2.** You will receive a second email with the following:

- Temporary password
- Button to return to the log-in screen

Click on the button to go to the EMMA log-in screen and enter your User ID and temporary password. After logging in with the temporary password, you will be required to change it.

**Your EMMA Account registration is complete.**

## Types of Continuing Disclosure Filings

There are two types of Continuing Disclosure Filings:

### 1. Annual Financial Information

- Includes annual financial statements and additional information (if not included in the annual financial statements), such as:
  - Total real market value and total assessed value of property within your taxing jurisdiction
  - Amount or rate of property taxes levied for the fiscal year
  - Amount of property taxes received during the fiscal year
  - The aggregate tax rate for all ad valorem property taxes levied within the boundaries of the Issuer
  - Total principal amount of general obligation bonds and other tax-supported bonds of the outstanding at the end of the fiscal year

Specific information required and filing deadlines may vary. See your Continuing Disclosure Undertaking(s) (“CDU”) for your deadline and filing responsibilities. The CDU is attached as an appendix to the Official Statement for each bond issue. Filing deadlines are often 9 months or 270 days after fiscal year end.

### 2. Material Event Notice

- Issuers are also obligated to make a Continuing Disclosure Filing if one of the following events occurs:
  - Principal and interest payment delinquencies
  - Non-payment related defaults
  - Unscheduled draws on debt service reserves reflecting financial difficulties
  - Unscheduled draws on credit enhancements reflecting financial difficulties
  - Substitution of credit or liquidity providers or their failure to perform
  - Adverse tax opinions or events affecting the tax-exempt status of the securities
  - Modifications to the rights of securities holders
  - Bond calls
  - Defeasances
  - Release, substitution or sale of property securing repayment of the securities
  - Rating changes

Material event notices are required to be made “in a timely manner”

# Making a Filing – Annual Financial Information

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2. Click the link for “Continuing Disclosure Submission”
3. Click “LOGIN” under MSRB Gateway (right side of the screen)
4. Enter your User ID and Password and click “Login”

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User ID

Password

Login

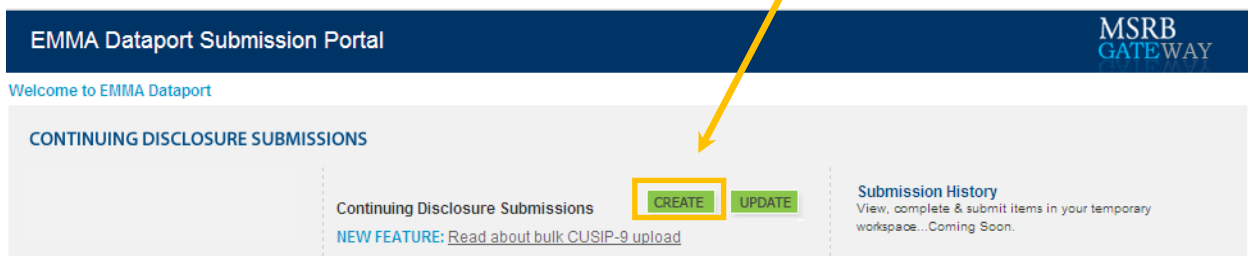
[Forgot your password?](#)

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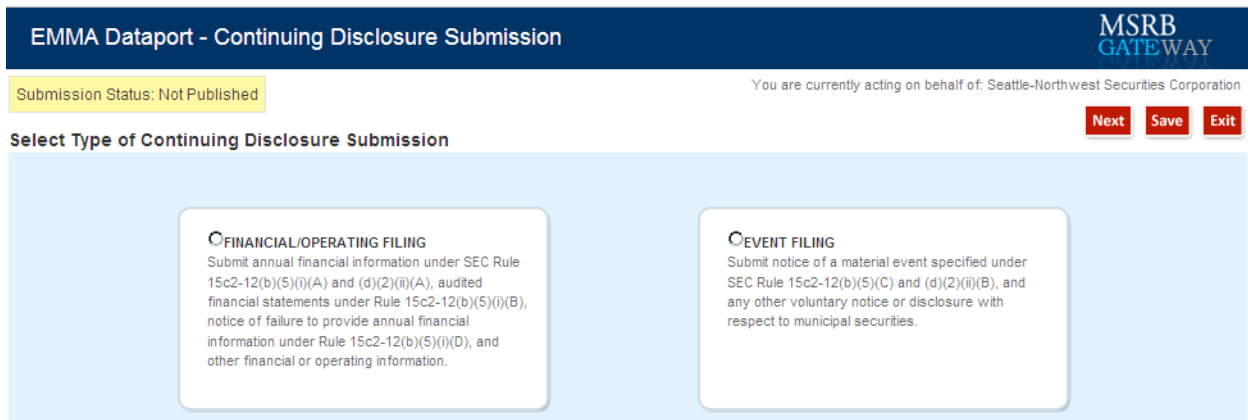
Access EMMA to Submit Documents  
**LOGIN**

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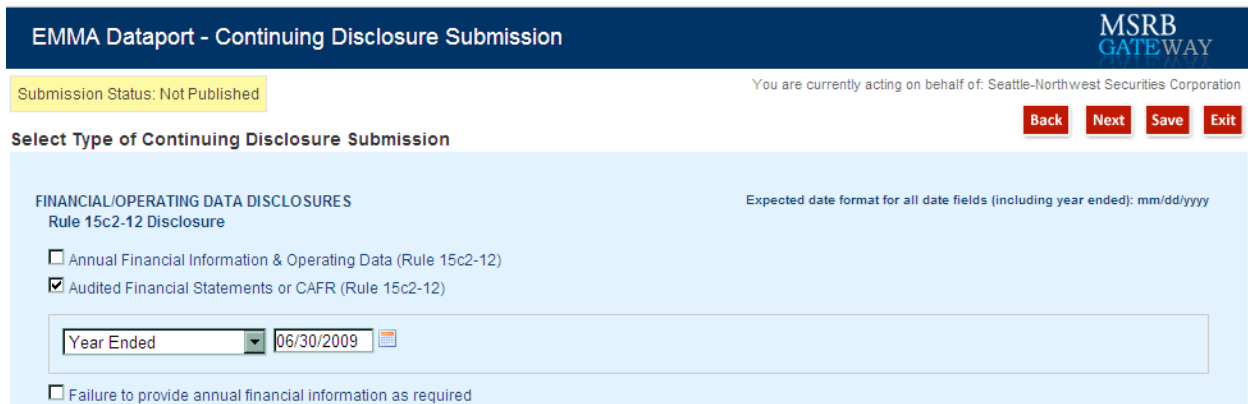
5. Click **Create** to begin a Continuing Disclosure Submission



6. Select “Financial/Operating Filing” and click **Next**.



7. Select “Audited Financial Statements or CAFR” and click **Next**.



8. Next you will need to enter in the CUSIP numbers (ID numbers) for your outstanding bond issues. CUSIPs are 9-digit numbers. The first 6 digits (known as the base) identify the issuer and the last 3 digits identify the specific issue and maturity. CUSIP numbers are usually listed on the maturity table on the cover or inside cover of the Official Statement from the bond sale.

- If you know the 6-digit base for any of your bond issues, enter it in the box under CUSIP-6s and click the blue arrow. This will pull up a list of all the bond issues associated with the 6-digit base.
- If you don't know your 6-digit base CUSIP and don't have an Official Statement handy, click the "Search for CUSIP-6s" link. This will pull up the following "Search for Issuer" screen:

Search using your name and Oregon in the drop down menu for the State. If an initial search does not return your issuer, try entering less information (ie: Roseburg instead of Roseburg School District) or entering just the county name (Douglas instead of Roseburg School District).

If your issuer is listed in the search result, check the "Select CUSIP-6" box next to your name and then click Close.

Select CUSIP-6	CUSIP-6	Issuer Name	State
<input checked="" type="checkbox"/>	259417	DOUGLAS CNTY ORE SCH DIST NO 4 ROSEBURG	OR
<input type="checkbox"/>	777288	ROSEBURG ORE	OR
<input type="checkbox"/>	777310	ROSEBURG ORE URBAN RENEWAL AGY TAX INCREMENT REV	OR
<input type="checkbox"/>	777313	ROSEBURG ORE URBAN SAN AUTH	OR

This will pull up a list of the bond issues associated with your 6-digit CUSIP number.

Submission Status: Not Published

You are currently acting on behalf of: Seattle-Northwest Securities Corporation

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

Associate Issues/Securities to the Disclosure

Disclosure Type: Audited Financial Statements or CAFR for the year ended 06/30/2009  
 Total CUSIPs associated with this submission: 0

CUSIP-9 Based  Bulk Upload CUSIP-9 Based  Non-CUSIP-9 Based

CUSIP-6s

Enter CUSIP-6

[➤ Search for CUSIP-6s](#)

[➤ DOUGLAS CNTY ORE SCH DIST NO 4 ROSEBURG, OR \(259417\)](#) Remove

DOUGLAS CNTY ORE SCH DIST NO 4 ROSEBURG, OR (259417)

Displaying 1 - 8 of 8 issues ( Total CUSIPs selected for this CUSIP-6: 0 ). [Refresh Count](#)

Select all issues for issuer:

Select Issue(s)	Issue Description	Dated Date	Maturity Dates	Official Statement
<input type="checkbox"/> <input type="checkbox"/>	[+] <no issue name>	06/01/1995	1996 to 2000	<a href="#">Preview</a>
<input type="checkbox"/>	[+] <no issue name>	12/01/2000	2002 to 2020	<a href="#">Preview</a>
<input type="checkbox"/>	[+] <no issue name>	01/15/2001	2002 to 2020	<a href="#">Preview</a>
<input type="checkbox"/>	[+] <no issue name>	03/15/2002	2003 to 2012	<a href="#">Preview</a>
<input type="checkbox"/>	[+] REF	12/07/2004	2005 to 2020	<a href="#">Preview</a>
<input type="checkbox"/>	[+] REF	01/18/2005	2005 to 2020	<a href="#">Preview</a>
<input type="checkbox"/>	[+] TAX & REV ANTIC NTS	07/08/1991	06/30/1992	<a href="#">Preview</a>
<input type="checkbox"/>	[+] TAX & REV ANTIC NTS	07/01/1992	06/30/1993	<a href="#">Preview</a>

Each of the bond issues listed under “Issue Description” can then be maximized by clicking the [+] box to see the 9-digit CUSIP, principal amount and interest rate for each maturity.

Check either the box under “Select Issues” or click the [+] next to an issue to select specific maturities within that issue. You are only obligated to make filings for maturities that are still outstanding, though there it may be easier to select all maturities in each issue. Check the list against the bond issues you believe to be outstanding to confirm that they all appear. In some cases an issuer will have multiple 6-digit root CUSIPs. This is usually the result of different names on the cover of the Official Statement (ie: “Roseburg School District No. 4, Douglas County” vs. “Douglas County School District No. 4”) or bond issues secured by different revenue sources (general fund revenues, water revenues, sewer revenues, etc.). Check the list of bond issues in EMMA against all the issues you know to be outstanding.

Select Issue(s)	Issue Description	Dated Date	Maturity Dates	Official Statement
<input type="checkbox"/>	[+] <no issue name>	06/01/1995	1996 to 2000	<a href="#">Preview</a>
<input type="checkbox"/>	[+] <no issue name>	12/01/2000	2002 to 2020	<a href="#">Preview</a>

Select CUSIP-9s	CUSIP	Maturity Date	Interest Rate (%)	Principal Amt (\$)
<input type="checkbox"/>	259417BV4	06/01/1996	3.8	
<input type="checkbox"/>	259417BW2	06/01/1997	4.15	
<input type="checkbox"/>	259417BX0	06/01/1998	4.25	970,000.00
<input type="checkbox"/>	259417BY8	06/01/1999	4.3	1,055,000.00
<input type="checkbox"/>	259417BZ5	06/01/2000	4.4	1,155,000.00

Unfortunately, many issues do not have a name under “Issue Description.” If you have questions about what the issues are, you can view the cover of the Official Statement under “Preview.”

If you were a part of a pooled financing (Pension Bonds, OSBA FlexFund, OSBA TAN Pool, LOCAP, or similar pooled borrowing program) you may have an obligation to make a continuing disclosure filing for that issue as well. For quick reference, we have provided the CUSIP numbers for several pooled financings as an Appendix to these instructions.

After selecting all the CUSIP numbers to associate with your filing, click **Next**.

9. Next you can associate a contact to your continuing disclosure submission. If you are the correct contact, you do not need to add a contact. If there is another person at your organization who should be the official contact, enter their information under “Issuer’s Contact Information” >> Enter New Contact. Click **Next**.
10. Upload the Continuing Disclosure Document (Annual Financial Statement or Notice of Material Event). Click **Publish**.

**You have now completed your Continuing Disclosure Filing.**

## Appendix

### CUSIP numbers for pooled financings

#### OSBA Pension Bonds

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##### Limited Tax Pension Obligations, Series 2002

Dated 10/31/2002

Series: Series 2002A (Deferred Interest Obligations)  
CUSIP: 686053 - AB5 through AT6  
Series: Series 2002B (Current Interest Obligations)  
CUSIP: 686053 - BP3 through BN8

##### Limited Tax Pension Obligations, Series 2003

Dated 4/21/2003

Series: Series 2003A (Deferred Interest Obligations)  
CUSIP: 686053 – BT5 through CN7  
Series: Series 2003B (Current Interest Obligations)  
CUSIP: 686053 – CP2 through CT4

##### Limited Tax Pension Obligations, Series 2004

Dated 2/19/2004

CUSIP: 686053 –CV9 through DR7

##### Limited Tax Pension Obligations, Series 2005A

Dated 6/21/2005

CUSIP: 686053 –FJ3 through FU8

##### Limited Tax Pension Obligations, Series 2007

Dated 10/31/2007

CUSIP: 686053 –GH6 through HD4

#### Community College District Pooled Pension Bonds

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##### Limited Tax Pension Obligations, Series 2003

Dated 4/23/2003

Series: Series 2003A (Deferred Interest Obligations)  
CUSIP: 68583R – AA0 through AV4  
Series: Series 2003B (Current Interest Obligations)  
CUSIP: 68583R – AW2 through BA9

##### Limited Tax Pension Obligations, Series 2004

Dated 2/24/2004

CUSIP: 68583R –BM3 through BW1

##### Limited Tax Pension Obligations, Series 2005

Dated 6/28/2005

CUSIP: 68583R –CJ9 through CS9

## Local Government Pooled Pension Bonds

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### Limited Tax Pension Obligations, Series 2002

Dated 3/15/2002

Series: Series 2002A (Deferred Interest Obligations)

CUSIP: 68608D – AA2 through AU8

Series: Series 2002B (Current Interest Obligations)

CUSIP: 68608D – CC6 through CF9

### Limited Tax Pension Obligations, Series 2004

Dated 5/27/2004

CUSIP: 68608D – CG7 through DF8

### Limited Tax Pension Obligations, Series 2005

Dated 9/30/2005

CUSIP: 68608D – DG6 through DEE0

## OSBA FlexFund Program

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Issue	Dated Date	CUSIP Numbers
2008A	7/1/2008	686056 – GA4 through GK2
2008B	7/31/2008	686056 – GL0 through GV8
2008C	10/1/2008	686056 – GW6 through HA3
2007A	3/29/2007	686056 – EY4 through FH0
2007B	5/15/2007	686056 – FJ6 through FT4
2007C	12/14/2007	686056 – FU1 through FZ0
2005A	5/31/2005	686056 – DZ2 through EG3
2005B	6/30/2005	686056 – EH1 through EM0
2005C	8/2/2005	686056 – EN8 through EX6
2004A	7/1/2004	686056 – DS5 through EM7
2004B	10/15/2004	686056 – CZ3 through DD1
2004C	11/15/2004	686056 – DE9 through DP4
2003A	7/15/2003	686056 – BD3 through BY7
2003B	9/1/2003	686056 – CB6 through CL4
2003C	11/15/2003	686056 – CM2 through CW0
2002A	4/15/2002	686056 – AA0 through AG7
2002B	9/15/2002	686056 – AH5 through AS1
2002C	11/1/2002	686056 – AT9 through BC5
2001D	10/1/2001	686055 – T53 through U69
2000D	10/1/2000	686055 – M76 through P57