

How to Get Confirmed as a Continuing Disclosure Submitter

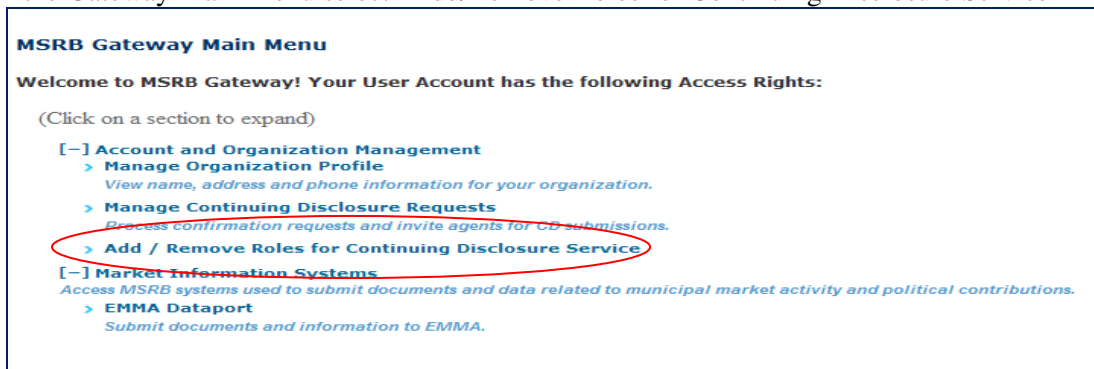
Confirmation in the MSRB's Continuing Disclosure Submission Service provides the MSRB with evidence of the identity of a user submitting continuing disclosures to the EMMA system. To become confirmed, users must provide the MSRB with information that confirms their identity. Until a user becomes confirmed, all continuing disclosure submissions made by the user will be identified to the public as having been provided by an "unconfirmed" submitter on EMMA.

Users that are registered with the MSRB's Continuing Disclosure Submission Service, but not yet confirmed may become confirmed using the following steps:

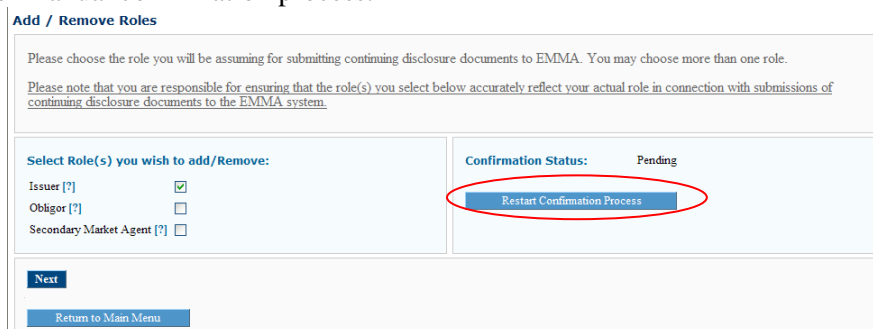
After logging into EMMA Dataport, select "back to MSRB Gateway" located at the upper right-hand corner of the screen.



On the Gateway Main Menu select "Add/Remove Roles for Continuing Disclosure Service"



The following screen will show that your confirmation status is pending. Select "Restart the confirmation process" to initiate confirmation. You will be given the option to proceed with the electronic or manual confirmation process.

The screenshot shows the "Add / Remove Roles" form. At the top, it says "Please choose the role you will be assuming for submitting continuing disclosure documents to EMMA. You may choose more than one role." Below this is a note: "Please note that you are responsible for ensuring that the role(s) you select below accurately reflect your actual role in connection with submissions of continuing disclosure documents to the EMMA system." The form has two columns. The left column is titled "Select Role(s) you wish to add/Remove:" and contains three checkboxes: "Issuer [?]" (checked), "Obligor [?]" (unchecked), and "Secondary Market Agent [?]" (unchecked). The right column is titled "Confirmation Status:" and shows "Pending". Below the "Confirmation Status:" is a button labeled "Restart Confirmation Process" which is circled in red. At the bottom left of the form, there is a "Next" button and a "Return to Main Menu" button.

Electronic Confirmation:

A benefit of the electronic confirmation process is that a user may become confirmed in a shorter amount of time. However, selecting the electronic confirmation process requires that the user designate an existing confirmed user for purposes of confirmation. If such a confirmed user is not known, the manual confirmation process must be followed.

To be confirmed electronically, select “Restart Confirmation Process” and enter the email address of an existing confirmed user. This action will send an email to the confirmed user containing the identification of the user requesting confirmation and a hyperlink to the Gateway Main Menu for confirming or declining the request for confirmation. (See page three for instructions on how a confirmed user can validate an unconfirmed user’s email request.)

Manual Confirmation:

To be confirmed manually, leave the email address field blank and select “Print Confirmation Number”. The subsequent page displays the Manual Confirmation Document. Print the Manual Confirmation Document using the print icon at the bottom of the page. Send this document and the relevant documents identified on the Manual Confirmation to the mailing address shown or fax these documents to 703-797-6706. MSRB will process the confirmation request within one business day of receipt. The request for confirmation will be confirmed by email.

Continuing Disclosure Registration - Manual Confirmation Document

You will need this document, which includes your confirmation number, to complete the manual confirmation process. Please print this page and send it to the MSRB along with the documentation identified in one of the options below.

MSRB ID: D001FM
Confirmation Number: 0000-AAHL

For issuers and obligated persons:

Send this document along with a letter requesting confirmation, on your organization’s letterhead, signed your organization’s chief financial officer (or the person responsible for financial matters), to the address below.

or

Send this document along with a letter requesting confirmation and your organization’s IRS Form 8038 to the address below. This option is not available to agents.

For users submitting disclosure documents as an agent on behalf of issuers or obligated persons:

Send this document along with a letter requesting confirmation AND a document signed by an issuer or obligated person designating you as an agent (e.g. continuing disclosure agreement) to the MSRB at the address below.

All correspondence should be addressed to:

MSRB
Attention: Market Information Department
1900 Duke Street
Alexandria, VA 22314

Print

Steps for Confirmed Users to Verify Electronic Confirmation Requests:

The confirmed user, whose email address was entered by an unconfirmed user, will receive an email request for confirmation. Select the hyperlink in the email to be directed to the Gateway Main Menu in order to confirm or decline the user's request. From the Gateway Main Menu select the "Manage Continuing Disclosure Request" link.

MSRB Gateway Main Menu

Welcome to MSRB Gateway! Your User Account has the following Access Rights:

(Click on a section to expand)

- [\[-\] Account and Organization Management](#)
 - [> Manage Organization Profile](#)
View name, address and phone information for your organization.
 - [> Manage Continuing Disclosure Requests](#)
Process confirmation requests and invite agents for CD submissions
 - [> Add / Remove Roles for Continuing Disclosure Service](#)
- [\[-\] Market Information Systems](#)
Access MSRB systems used to submit documents and data related to municipal market activity and political contributions.
 - [> EMMA Dataport](#)
Submit documents and information to EMMA.

My Profile [Edit](#)

User ID:	MBHIDE
Role:	User
User Name:	MAHESH BHIDE
Organization Name:	Maresh Co
MSRB ID:	D0011V
Email Address:	mbhide@msrb.org
	Change Password

After selecting the "Manage Continuing Disclosure Request" link, the user will be shown all invitations awaiting their confirmation. Select "View and Confirm" and there will be an option to accept or decline the request for confirmation.

Continuing Disclosure Confirmation/Invitation

Pending Continuing Disclosure Confirmations
These are requests from MSRB-registered users to be confirmed by you to submit continuing disclosures.

MSRB ID	User Name	Role	
D00157	MSRB DEV	Issuer	View and Confirm
D00158	NIKKI ABERA	Issuer, Obligor	View and Confirm
D00157	TEST USER	Obligor, Secondary Market Agent	View and Confirm
D00156	TEST USER	Obligor, Secondary Market Agent	View and Confirm
D0014T	NEW USER	Obligor	View and Confirm

Invite user for Continuing Disclosure submissions
Send an invitation to a user to submit continuing disclosures by providing the user's email address. On the next screen you will be asked to select a specific role for the user.

Email: [Invite for Continuing Disclosure](#)

After the request is confirmed or declined, the user that requested confirmation will receive an email stating that they have been confirmed or that their confirmation request has been declined.