

## What is a CUSIP?

A CUSIP is an identification number assigned to each maturity of an issue, similar to a serial number. The acronym CUSIP refers to Committee on Uniform Security Identification Procedures and nine-digit, alphanumeric CUSIP numbers that are used to identify securities, including municipal bonds. The first six characters are known as the base, or CUSIP-6, and uniquely identify the bond issuer. The 7th and 8th digit identify the exact bond issue and the 9<sup>th</sup> digit is an automatically generated “check digit.”

When making a continuing disclosure submission, EMMA will request that you identify the appropriate securities to which the disclosure applies by using CUSIP numbers. EMMA allows continuing disclosure submitters to associate documents with particular CUSIPs. During the submission process, users can input a CUSIP-6 and drill down to obtain the relevant CUSIP-9s. Users can also input individual CUSIP-9s when submitting documents. This document provides several helpful tips for obtaining your CUSIP numbers.

## How can I find my CUSIP?

The two best ways to locate a CUSIP are to search for it on EMMA or on CUSIP’s Municipal Issuer Access web service. Other ways to locate a CUSIP are to find it in an official statement or by consulting external sources such as the bond underwriter or bond counsel.

## Searching for a CUSIP on the EMMA Dataport

When making a continuing disclosure submission, a user can search for a CUSIP-6 and a CUSIP-9. If the user does not know their CUSIP-9s, the user selects “I don’t know my CUSIP-9s” from the Associate Securities screen as shown below.

EMMA Dataport - Continuing Disclosure Submission

MSRB  
GATEWAY

Submission Status: Not Published

You are currently acting on behalf of: Municipal Securities Rulemaking Board

Back Next Save Exit

Associate Issues/Securities to the Disclosure

Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010

Select one of the options for associating issues/securities

**CUSIP-9 Based**

- I know my CUSIP-9s: Select to input individual CUSIP-9s or use existing Group(s)
- I don't know my CUSIP-9s: Select to search for CUSIP-9s or to input a CUSIP-6

**Non-CUSIP-9 Based**

- Commercial Paper (CUSIP-6 Based)
- Ineligible for CUSIP Number Assignment
- 529 College Savings Plan
- Other Municipal Fund Security

To identify CUSIP-9s, the user must first locate any relevant CUSIP-6(s) by filling in the Issuer Name and/or State and selecting “Search.” To narrow the search results, use a combination of Issuer Name and State. This feature facilitates finding the correct CUSIP numbers and applying them to the current submission.

Select the relevant CUSIP-6s from the search results by checking the corresponding check box, which will associate them with the current submission, then select “Add Issuer”.

| Select CUSIP-6                      | CUSIP-6 | Issuer Name   | State |
|-------------------------------------|---------|---|-------|
| <input checked="" type="checkbox"/> | 003506  | ABINGDON VA   | VA    |
| <input type="checkbox"/>            | 00350N  | ABINGDON VA INDL DEV AUTH HOSP FAC REV              | VA    |
| <input type="checkbox"/>            | 004338  | ACCOMACK CNTY VA                                    | VA    |
| <input type="checkbox"/>            | 004341  | ACCOMACK CNTY VA INDL DEV AUTH HEALTHCARE FACS REV  | VA    |
| <input type="checkbox"/>            | 00434R  | ACCOMACK CNTY VA INDL DEV AUTH LEASE REV            | VA    |
| <input type="checkbox"/>            | 004346  | ACCOMACK CNTY VA SCH BRD CTFS PARTN                 | VA    |
| <input type="checkbox"/>            | 01266R  | ALBEMARLE CNTY VA ECONOMIC DEV AUTH EDL FACS REV    | VA    |
| <input type="checkbox"/>            | 01266Q  | ALBEMARLE CNTY VA ECONOMIC DEV AUTH HEALTH SVCS REV | VA    |
| <input type="checkbox"/>            | 012663  | ALBEMARLE CNTY VA ECONOMIC DEV AUTH HOSP REV        | VA    |
| <input type="checkbox"/>            | 012664  | ALBEMARLE CNTY VA INDL DEV AUTH CMNTY SVCS FACS REV | VA    |

Note: This only adds the selected CUSIP-6 to the Associate Securities screen, CUSIP-9(s) must still be selected. To add CUSIP-9s select the check box next to the relevant CUSIP-9(s) as illustrated below.

EMMA Dataport - Continuing Disclosure Submission MSRB GATEWAY

Submission Status: Not Published You are currently acting on behalf of: Municipal Securities Rulemaking Board

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

**Associate Issues/Securities to the Disclosure**  
 Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010  
 Total CUSIPs Count: 0

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**  
 Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  [Search](#)

OR

Issuer Name:

State:

[Search](#) [Clear](#)

*CUSIP-9s must still be selected*

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.

| CUSIP-6                | State              | Issuer Name                   |
|------------------------|--------------------|-------------------------------|
| <a href="#">003506</a> | <a href="#">VA</a> | <a href="#">ABINGDON VA</a> x |

*Added from CUSIP 6 Search - previous screen*

**ABINGDON VA, VA (003506)**  
 Displaying 1 - 3 of 3 issues.  
 Total securities 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"/> | [+] REF             | 09/01/1998 | 1999 to 2012   | <a href="#">Preview</a> |
| <input type="checkbox"/> | [+] <no issue name> | 09/15/1995 | 1996 to 2005   | <a href="#">Preview</a> |

| Select CUSIP-9s          | CUSIP     | Maturity Date | Interest Rate (%) | Principal Amt (\$) |
|--------------------------|-----------|---------------|-------------------|--------------------|
| <input type="checkbox"/> | 003506AQ5 | 08/01/1996    | 3.9               |                    |
| <input type="checkbox"/> | 003506AR3 | 08/01/1997    | 4.1               |                    |
| <input type="checkbox"/> | 003506AS1 | 08/01/1998    | 4.2               |                    |
| <input type="checkbox"/> | 003506AT9 | 08/01/1999    | 4.3               |                    |
| <input type="checkbox"/> | 003506AU6 | 08/01/2000    | 4.35              |                    |
| <input type="checkbox"/> | 003506AV4 | 08/01/2001    | 4.45              |                    |
| <input type="checkbox"/> | 003506AW2 | 08/01/2002    | 4.55              |                    |
| <input type="checkbox"/> | 003506AX0 | 08/01/2003    | 4.65              |                    |
| <input type="checkbox"/> | 003506AY8 | 08/01/2004    | 4.75              |                    |
| <input type="checkbox"/> | 003506AZ5 | 08/01/2005    | 4.85              |                    |

[-] CAP IMPT 07/15/1992 1993 to 2012 [Preview](#)

**A Sample EMMA Search:**

Here we will search for “Adelanto California Agency Tax Allocation.” The first search is unsuccessful in finding the CUSIP-6, but when modified the user can easily find the CUSIP-6.

Below is a screenshot of the unsuccessful search. Notice that strings of text entered in the Issuer Name field that are too specific may not return results.

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

No record found

CUSIP-6:

OR

Issuer Name:

State:

Strings of text that are too specific may not return proper results

Instead of entering long strings of text, enter a unique keyword that returns a manageable number of results. As you can see, by entering the keyword “Adelanto,” 13 records display and it is easier to find the appropriate CUSIP-6.

EMMA Dataport - Continuing Disclosure Submission MSRB GATEWAY

Submission Status: Not Published You are currently acting on behalf of: Municipal Securities Rulemaking Board

Search Example:  
**Adelanto California Agency Tax Allocation**

**Associate Issues/Securities to the Disclosure**  
Disclosure Type: Amendment to continue disclosure undertaking dated 02/19/2010  
Total CUSIPs Count: 0

**CUSIP-9 BASED**  
**SEARCH FOR CUSIP-6S**  
Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:

OR

Issuer Name:

State:

**CUSIPs via CUSIP6s Search**  
Displaying 1 - 13 of 13 records.

| Select CUSIP-6           | CUSIP-6 | Issuer Name   | State |
|--------------------------|---------|---|-------|
| <input type="checkbox"/> | 006790  | ADELANTO CALIF CTFS PARTN                                 | CA    |
| <input type="checkbox"/> | 00679N  | ADELANTO CALIF ELEM SCH DIST CMNTY FACS DIST NO 1 SPL TAX | CA    |
| <input type="checkbox"/> | 006792  | ADELANTO CALIF ELEM SCH DIST CMNTY FACS DIST SPL TAX      | CA    |
| <input type="checkbox"/> | 00679L  | ADELANTO CALIF ELEM SCH DIST CTFS PARTN                   | CA    |
| <input type="checkbox"/> | 006793  | ADELANTO CALIF IMPT AGY SINGLE FAMILY RESIDENTIAL MTG REV | CA    |
| <input type="checkbox"/> | 006795  | ADELANTO CALIF IMPT AGY TAX ALLOC                         | CA    |
| <input type="checkbox"/> | 006796  | ADELANTO CALIF IMPT BD ACT 1915                           | CA    |
| <input type="checkbox"/> | 00679R  | ADELANTO CALIF PUB FING AUTH LEASE REV                    | CA    |
| <input type="checkbox"/> | 00679P  | ADELANTO CALIF PUB FING AUTH LOC AGY REV                  | CA    |
| <input type="checkbox"/> | 006797  | ADELANTO CALIF PUB UTIL AUTH REV                          | CA    |
| <input type="checkbox"/> | 006806  | ADELANTO CALIF SCH DIST                                   | CA    |
| <input type="checkbox"/> | 006809  | ADELANTO CALIF WTR AUTH REV                               | CA    |
| <input type="checkbox"/> | 006797  | ADELANTO PUBLIC UTILITY AUTHORITY                         | CA    |

Less is better. Use unique keywords to search instead of long strings of text.

After finding the CUSIP-6, you must then select the relevant CUSIP-9s. There are 17 issues for this issuer.

Submission Status: Not Published

You are currently acting on behalf of: Municipal Securities Rulemaking Board

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

**Associate Issues/Securities to the Disclosure**

Disclosure Type: Amendment to continue disclosure undertaking dated 02/22/2010

Total CUSIPs Count: 0

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  [Search](#)

OR

Issuer Name:

State:

[Search](#) [Clear](#)

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.

CUSIP-6 State Issuer Name  
[006795](#) [CA](#) [ADELANTO CALIF IMPT AGY...](#) x

**ADELANTO CALIF IMPT AGY TAX ALLOC, CA (006795)**

Displaying 1 - 17 of 17 issues.

Total securities 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"/> | [+] ADELANTO IMPT PROJ NO 3            | 12/19/2007 | 2008 to 2037   | <a href="#">Preview</a> |
| <input type="checkbox"/> | [+] RFDG-ADELANTO IMPT PJ-SER B        | 12/30/1993 | 1999 to 2009   |                         |
| <input type="checkbox"/> | [+] RFDG & IMPT-ADELANTO PJ-C          | 12/01/1993 | 1998 to 2029   |                         |
| <input type="checkbox"/> | [+] RFDG-ADELANTO IMPT PJ-SER B        | 12/01/1993 | 12/01/2023     |                         |
| <input type="checkbox"/> | [+] SUB BD ANTIC-ADELANTO IMPT PJ      | 04/26/1993 | 2000 to 2020   | <a href="#">Preview</a> |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ                 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ-MAND RED-8/1/93 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ-MAND RED-8/1/94 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ-MAND RED-8/1/95 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ-MAND RED-8/1/96 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PJ-MAND RED-8/1/93   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PJ-MAND RED-8/1/94   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PJ-MAND RED-8/1/95   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ                 | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ                 | 12/01/1986 | 06/01/2015     |                         |
| <input type="checkbox"/> | [+] RFDG                               | 12/01/1985 | 06/01/2015     |                         |
| <input type="checkbox"/> | [+] ADELANTO IMPT PROJ                 | 05/01/1984 | 05/01/2015     |                         |

Maximize the issues by selecting [+] to find the relevant securities, and the CUSIP-9. Select the securities by checking the box next to the relevant CUSIP-9(s).

**Associate Issues/Securities to the Disclosure**

Disclosure Type: Amendment to continue disclosure undertaking dated 02/22/2010

Total CUSIPs Count: 0

**CUSIP-9 BASED**

**SEARCH FOR CUSIP-6S**

Search CUSIP-6 by entering either CUSIP-6 or by entering issuer name and/or state.

CUSIP-6:  [Search](#)

OR

Issuer Name:

State:

[Search](#) [Clear](#)

Expand the Issue by selecting the [+]

To add securities, select a CUSIP-6 from the list below then select securities from the right-side security list.

CUSIP-6 State Issuer Name  
[006795](#) [CA](#) [ADELANTO CALIF IMPT AGY...](#) x

**ADELANTO CALIF IMPT AGY TAX ALLOC, CA (006795)**

Displaying 1 - 17 of 17 issues.

Total securities 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"/>            | [+] ADELANTO IMPT PROJ NO 3            | 12/19/2007 | 2008 to 2037   | <a href="#">Preview</a> |
| <input type="checkbox"/>            | [+] RFDG-ADELANTO IMPT PJ-SER B        | 12/30/1993 | 1999 to 2009   |                         |
| <input type="checkbox"/>            | [+] RFDG & IMPT-ADELANTO PJ-C          | 12/01/1993 | 1998 to 2029   |                         |
| <input type="checkbox"/>            | [+] RFDG-ADELANTO IMPT PJ-SER B        | 12/01/1993 | 12/01/2023     |                         |
| <input type="checkbox"/>            | [+] SUB BD ANTIC-ADELANTO IMPT PJ      | 04/26/1993 | 2000 to 2020   | <a href="#">Preview</a> |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ                 | 12/01/1991 | 08/01/2020     |                         |
| <input checked="" type="checkbox"/> | [+] ADELANTO IMPT PROJ                 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ-MAND RED-8/1/93 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ-MAND RED-8/1/94 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ-MAND RED-8/1/95 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ-MAND RED-8/1/96 | 12/01/1991 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PJ-MAND RED-8/1/93   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PJ-MAND RED-8/1/94   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PJ-MAND RED-8/1/95   | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ                 | 05/01/1990 | 08/01/2020     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ                 | 12/01/1986 | 06/01/2015     |                         |
| <input type="checkbox"/>            | [+] RFDG                               | 12/01/1985 | 06/01/2015     |                         |
| <input type="checkbox"/>            | [+] ADELANTO IMPT PROJ                 | 05/01/1984 | 05/01/2015     |                         |

  

| Select CUSIP-9s                     | CUSIP     | Maturity Date | Interest Rate (%) | Principal Amt (\$) |
|-------------------------------------|-----------|---------------|-------------------|--------------------|
| <input checked="" type="checkbox"/> | 006795AE8 | 08/01/2020    | 8.25              | 3,520,000.00       |

## Using the CUSIP's Municipal Issuer Access Web Service to Locate a CUSIP

CUSIP's Municipal Issuer Access is a CUSIP-operated service designed solely to help municipal issuers obtain CUSIP information to assist with SEC Rule 15c2-12 disclosure reporting requirements. Municipal Issuer Access allows a user to conduct a basic search by an issuer name or CUSIP or an advanced search by issuer/security description, interest rate, maturity/dated date, and/or coupon. This comprehensive search also allows users to exclude certain items from your search: insured issues, matured issues, and derivatives.

Benefits of this search functionality are: direct access to the CGS database, real time updates, complete universe of municipal securities, and fast search capability.

To learn more about the service visit their demo site [here](#). To enroll with CUSIP Municipal Issuer Access select the link found [here](#).

## Locating a CUSIP on an Official Statement

If there are CUSIPs associated with your issue, then they will likely be listed on the first couple of pages of the official statement, which is the primary offering document.. An issuer can find a particular official statement on EMMA or may be able to obtain a copy from the underwriter.

Below is an example of a second page of an official statement.

**\$4,180,000  
CASTAIC UNION SCHOOL DISTRICT  
CERTIFICATES OF PARTICIPATION  
(2010 REFUNDING)**

**MATURITY SCHEDULE**

Add the last three digits in these columns to the CUSIP-6 for the CUSIP-9 level

CUSIP-6 Base → BASE CUSIP<sup>1</sup>: 14837R

\$1,990,000 Serial Certificates

| Maturity Date (September 1) | Principal Amount | Interest Rate | Yield  | CUSIP <sup>1</sup> | Maturity Date (September 1) | Principal Amount | Interest Rate | Yield  | CUSIP <sup>1</sup> |
|-----------------------------|------------------|---------------|--------|--------------------|-----------------------------|------------------|---------------|--------|--------------------|
| 2011                        | \$ 65,000        | 2.000%        | 1.060% | AG5                | 2019                        | \$ 135,000       | 3.750%        | 3.970% | AQ3                |
| 2012                        | 75,000           | 2.000         | 1.510  | AH3                | 2020                        | 150,000          | 3.875         | 4.170  | AR1                |
| 2013                        | 80,000           | 3.000         | 1.800  | AJ9                | 2021                        | 160,000          | 4.000         | 4.330  | AS9                |
| 2014                        | 90,000           | 3.000         | 2.100  | AK6                | 2022                        | 175,000          | 4.125         | 4.370  | AT7                |
| 2015                        | 100,000          | 3.000         | 2.540  | AL4                | 2023                        | 190,000          | 4.250         | 4.560  | AU4                |
| 2016                        | 105,000          | 3.000         | 3.000  | AM2                | 2024                        | 205,000          | 4.375         | 4.650  | AV2                |
| 2017                        | 115,000          | 3.125         | 3.350  | AN0                | 2025                        | 220,000          | 4.500         | 4.740  | AW0                |
| 2018                        | 125,000          | 3.500         | 3.720  | AP5                |                             |                  |               |        |                    |

\$2,190,000 5.125% Term Certificates due September 1, 2033 Yield 5.280% CUSIP<sup>1</sup> BE9

## **Locating a CUSIP through External Parties**

MSRB Rules require the underwriter of an issue to ensure that the CUSIP numbers are assigned to new issues that are eligible for CUSIP number assignment. The underwriter is also required to ensure that these CUSIPs are correctly reported to EMMA. If you do not know your CUSIP numbers, then the underwriter for your issue may have a record of the CUSIP numbers that were assigned to your issue. In addition, an issuer's bond counsel may also have a record of the CUSIP numbers associated with each bond deal. Bond counsel may be able to provide the CUSIP-6 and/or CUSIP-9 to the issuer so that when submitting continuing disclosure documents to the MSRB on EMMA, the issuer may either use the associated CUSIP-9s, or search for the associated CUSIP-9s on EMMA as described above.