MSRB Gateway User Manual for Issuers, Obligated Persons, and Agents

Version 3.0, March 2025

MSRB
Municipal Securities
Rulemaking Board

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Revision History

Version	Date	Description of Changes
1.0	April 2012	Initial version. Created to accommodate increased account management for Issuers, Obligated Persons, and Agents.
1.1	July 2012	Update Gateway Main Menu images.
1.2	August 2015	Updated the Resources and Support section to reflect the change in hours of operation for Email Support.
1.3	June 2016	Updated to reflect the user navigation changes to the MSRB.org homepage, MSRB Gateway Login and Main Menu pages.
2.0	December 2019	Updated to reflect registration page changes for Continuing Disclosure accounts and Issuers and Obligated persons.
3.0	March 2025	Updated to reflect the removal of informal account registration and the ability to manage consolidations.

Resources and Support

Online

MSRB Website: msrb.org

EMMA Website: emma.msrb.org

MSRB Support

Tel: 202-838-1330

Email: MSRBsupport@msrb.org

Live Support: 7:30 a.m. - 6:30 p.m. ET

Email Support: 7:00 a.m. – 7:00 p.m. ET

Municipal Securities Rulemaking Board

1300 I Street NW, Suite 1000

Washington, DC 20005

Tel: 202-838-1500

Overview

About MSRB

The Municipal Securities Rulemaking Board (MSRB) was established by Congress in 1975 with the mission to protect investors, issuers and the public interest and to promote efficiency, competition and capital formation. MSRB is a private, self-regulatory organization governed by an independent board of directors with market knowledge and expertise. MSRB does not receive federal appropriations and is funded primarily through fees paid by regulated entities. MSRB is overseen by Congress and the Securities and Exchange Commission.

About This Manual

This manual describes how issuers, obligated persons, and agents may set up and maintain an MSRB Organization Account. It also includes instructions on managing agent relationships within the Organization Account.

This symbol appears within this manual to call out important information or directions.

Disclaimer

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 https://www.msrb.org/Rules-and-Interpretations/MSRB-Rules.

Part 1: Organization Account Overview

The MSRB Gateway serves as a secure access point for all MSRB systems. Dealers and municipal advisors are required to register with MSRB via the online registration process in Gateway before an Organization Account is created.

Organization Account

All users, including dealers, municipal advisors, issuers, obligated persons and agents, must establish and be affiliated with an MSRB Gateway Organization Account ("Organization Account") in order to access MSRB's systems. Access to MSRB's Gateway is necessary, for example, for dealers and municipal advisors to register with MSRB; for issuers and obligated persons to make and manage all continuing disclosures and primary market submissions; and for agents to make submissions on behalf of others.

This manual details the documentation requirements for issuers, obligated persons and agents before an MSRB Organization Account is activated. MSRB's Registration Manual separately details the documentation requirements for dealers and municipal advisors.

Once an Organization Account is established, it is managed by the Master Account Administrator (MAA) who was designated during the account set-up process. The MAA is responsible for:

- Creating new MSRB Gateway User Accounts
- Managing users' EMMA submission rights
- Managing agent relationships
- Consolidating other continuing disclosure accounts
- Transferring the MAA role to another user as needed

The following EMMA submissions can be made by users associated with an Organization Account:

- Required continuing disclosures (SEC Rule 15c2-12 disclosures) and additional voluntary continuing disclosures
- Voluntary financial information
- Voluntary Official Statement and Advanced Refunding Documents (OS/ARD) submissions
- Voluntary Preliminary Official Statement submissions

More information about the Master Account Administrator role and duties may be found later in Manual.

Users associated with an Organization Account have a shared EMMA Dataport submission history. The EMMA Dataport displays all submissions made to EMMA under an Organization Account. These submissions can be accessed and amended by any user in the organization who has the appropriate access rights.

Users also have access to the EMMA Trade Monitor, which provides state and local governments with the capability to analyze data from the EMMA Dataport in support of, among other things, evaluating pricing for new issues.

Issuer Organizations may create and manage a customized Issuer homepage. Customized issuer homepages give investors access to consolidated information about each issuer's securities on EMMA. Issuer homepages are accessed through an interactive map that allows investors to browse a comprehensive directory of state, city, county, and other issuers in a particular state.

Users also have access to any Committee on Uniform Securities Identification Procedures (CUSIP) group created in the Organization Account and share in CUSIP group management.

Below is a chart that displays account management functions and roles in administering an Organization Account.

Gateway Functions	Master Account Administrator	Account Administrator
Create User Accounts	✓	✓
Manage Agent Relationships	✓	
Manage Organization Details	✓	
Manage User Account Access Rights	✓	✓
Update User Account Details	✓	✓

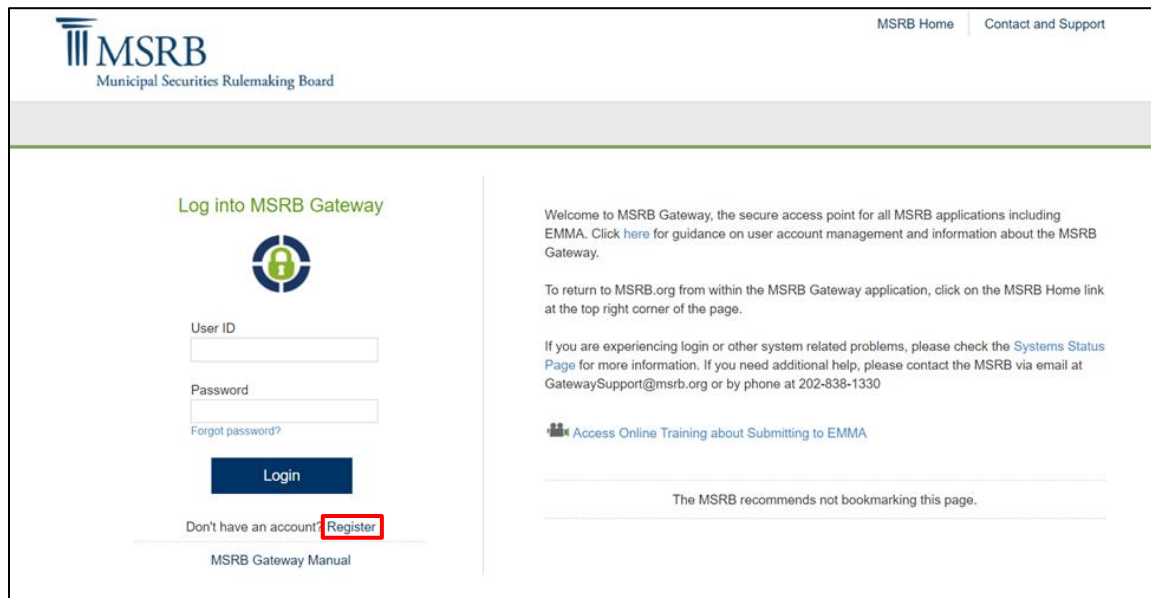# Part 2: Organization Account Set-up for Issuers, Obligated Persons

Organization Account Set-up for Issuers and Obligated Persons

Follow the steps below to establish an Organization Account as an issuer or obligated person.

To begin the setup process, visit the MSRB website at msrb.org and click on the Gateway Log In link.

Then, click the **Register** Link.

Under the heading **Issuers and Obligated Persons,** select **Submit all types of continuing disclosure and primary market filings to EMMA.**

Click **Next.**

From the **Organization Account Set-up Guidelines welcome** screen, click **Continue.**

Review the guidelines for establishing an Organization Account. The guidelines describe the necessary documentation that must be provided to MSRB, as well as other important aspects of setting up an account.

After reviewing the guidelines, click **Accept**.

On the **MSRB Organization Account Set-up** screen, select **I do not have an existing account**, then click **OK**.

Provide information about your organization, then click **OK.**

On the **Master Account Administrator Information** screen, identify the individual in your organization who will serve as the Master Account Administrator. Enter their contact details. If their phone number and address are the same as the organization's, click **Copy** to fill in the information from the organization details.

Once you have entered the required details, click **OK.**

MSRB Organization Account Set-up - Add Master Account Administrator Information

Please provide contact details for the Master Account Administrator. If the address is the same as your organization's information, click 'Copy' to copy from your organization's details.

Copy

Master Account Administrator:

First Name:*	
Middle Name:	
Last Name:*	
Name Suffix:	
Email Address:*	
Confirm Email:*	
Phone Number:*	- - Ext.
Address1:*	
Address2:	
City:*	
State:*	
Zip:*	
Country:	

*required

Cancel Previous OK

On the **Organization Type and Employer Identification Number** screen, select the appropriate role type for your organization by choosing either **My organization is an issuer** or **My organization is an obligor**.

Additionally, provide the organization's **Federal Tax Employer Identification Number (EIN or Tax ID)**. The Tax ID is a unique identifier for the organization and facilitates the verification of your organization's information.

MSRB Organization Account Set-up - Organization Type and Employer Identification Number

Please indicate your organization type. Choose the type which best identifies the role your organization serves in the municipal market.

Please note that you are responsible for ensuring that the organization type(s) selected accurately reflect your organization's activities.

My organization type is identified below:

○ **My organization is an issuer**
 ISSUER - A state, political subdivision, municipality, or governmental agency or authority that raises funds through the sale of municipal securities.

○ **My organization is an obligor**
 OBLIGOR - The party having an obligation with respect to the payment of debt service on bonds, typically but not always the borrower (such as a conduit borrower) of bond proceeds.

Please provide your organization's federal tax employer identification number (EIN). For issuers, this number can be found in Part I of IRS Form 8038.

The organization's EIN will help MSRB uniquely identify your organization and facilitate verification of your organization's information.

Federal Tax EIN (XX-XXXXXXX): [   ] - [   ]

[Cancel] [Previous] [OK]

On the **Required Documentation** screen, provide the following required documentation:

- The Tax EIN number on your organization's letterhead
- An additional form of identification for your organization, such as:
  - A page from an official statement that identifies you as the obligated person
  - A federal or state tax document
  - A letter from the conduit issuer stating that you are an obligated person

Upload the electronic versions of these documents in Portable Document Format (PDF). Once the upload is complete, click **OK.**

Review the **Organization Summary** screen for accuracy. If necessary, update the information by clicking **Edit** in the applicable section. Contact MSRB Support to change the organization type or Tax ID or documentation method.

Click **Confirm** to proceed.

MSRB Organization Account Set-up - Organization Summary

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page. To accept this information click "Confirm." Your changes will not be accepted if you do not click "Confirm."

Organizational Details: Edit

Organization Name: Test Organization
Phone Number: 111 - 111 - 1111   Ext. 1111
Fax Number:
Address 1: 1 Main St
Address 2:
City: Anywhere
State: DC
Zip: 11111
Country:

Additional Information: Edit

Organization Type:
Municipal Security Issuer

Federal Tax EIN: 01-1111111

Master Account Administrator: Edit

First Name: tester
Middle Name:
Last Name: tester
Name Suffix:
Email Address: msrb@msrb.org
Phone Number: 111 - 111 - 1111   Ext. 1111
Address1: 1 Main St
Address2:
City: Anywhere
State: DC
Zip: 11111
Country:

Required Documentation: Edit

1. Information on Letterhead delivered as MSRB-Registration-Manual.pdf
2. Second Form of Identification delivered as MSRB-Registration-Manual.pdf

Cancel   Confirm

The final step requires entering the information about the individual completing the account set-up request. Enter the required information and click **Submit** to finalize the process**.**

MSRB Organization Account Set-up - Account Information Provider

Please provide the name, title and telephone number of the person who completed the information for this organization account.

First Name:*

Middle Name:

Last Name:*

Name Suffix:

Title:*

Phone Number:* (   )   -

Phone Extension:

*required

Cancel   Previous   Submit

After submitting the form, you will see a confirmation screen. This screen verifies that your information has been received by MSRB and displays your pending MSRB ID. Make note of this ID for future reference.

To view a summary of your account details, including the submission date and time, click the **Summary** button.

Congratulations, you have successfully completed the first step toward establishing an organization account with the MSRB. Your information and supporting documentation will be reviewed and you will be notified when the account is activated or if additional information is needed. Your MSRB Number (MSRB ID) is

Account Summary Please print a copy of the account summary for your records:

Summary

You will receive an email acknowledging receipt of your account documentation.

Exit

After reviewing the account summary, click **Print** to generate a copy of this summary for your records.

MSRB Organization Account - Printable Summary

[Print]   [Close]

MSRB records include the following information for your organization as of 7/2/2012 5:01:35 PM EST:

Organizational Details:

Organization Name: Issuer XYZ
MSRB ID: P000258
Phone Number: 111 - 222 - 3333
Fax Number:
Address 1: 101 Main Street
Address 2:
City: City
State: ST
Zip: 12345
Country:

Additional Information:

Organizational Type
Municipal Security Issuer

Federal Tax EIN: 43-6767676

Master Account Administrator:

First Name: Bob
Middle Name:
Last Name: Doe
Name Suffix:
Email Address: bdoe@issuerxyz.com
Phone Number: 111 - 222 - 3333   **Ext.**
Address1: 101 Main Street
Address2:
City: City
State: ST
Zip: 12345
Country:

Required Documentation:

1. Information on Letterhead - Verified by MSRB
2. Second Form of Identification - Verified by MSRB

After submitting the account information, MSRB will send an acknowledgement email to the Master Account Administrator at the provided email address. The email should be retained for recordkeeping purposes, and it will be needed if the Master Account Administrator wishes to make any changes to the registration before final approval.

The account status will remain pending until MSRB verifies the submitted information. During this period, MSRB may contact the Master Account Administrator to request additional information or validate the details provided. Once approved, the Account Administrator can update the Organization Account as needed.

Organization Account Set-up for Agents

An agent organization is an organization that intends to make data or disclosure submissions on behalf of a dealer, municipal advisor, issuer or obligated person ("designating organizations") where the agent organization is not itself a dealer, municipal advisor, issuer or obligated person. Agent organizations may initiate the set-up of an Organization Account, or at the request of the designating organization, the agent may receive an invitation to register. This section will describe both methods for establishing an MSRB Organization Account for agents.

For all submission types except SEC Rule 15c2-12 disclosures, the agent organization is not permitted to make submissions without first establishing an agent relationship in the MSRB Gateway system. Making SEC Rule 15c2-12 disclosures on behalf of an issuer only requires the establishment of an agent relationship in MSRB Gateway in cases where the issuer has elected to control its securities. In order for an agent relationship to be established, both the designating organization and the agent organization must have Organization Accounts.

Agent Is Invited to Set Up an Account by the Designating Organization

If you have been designated to act as an agent on behalf of an organization and do not have an Organization Account, you will receive an email invitation requesting you to set up an account.

The email will contain the organization that made the request, and the submission types the organization would like you to make on its behalf. The email will also include a link to register an Organization Account.

From the email, click the registration link as shown below.

Agent Relationship Requested By: Issuer XYZ

Please keep this information confidential to prevent unauthorized use.

Issuer XYZ (P000258) has invited your organization to establish an account in the MSRB Gateway system so that your organization can act as an agent on their behalf to make the following submission types to the Municipal Securities Rulemaking Board (MSRB): EMMA – Continuing Disclosure, EMMA Voluntary Financial Information. Before you can accept the designation(s) you must first establish an MSRB account. Please click on the link below to be directed to the registration landing page to start the registration process:
http://www.msrb.org/msrb1/control/registration/default.asp

Registering and accepting the offer will grant the staff of your organization permission to take actions on behalf of Issuer XYZ in connection with the submission, modification, or cancellation of municipal securities disclosures which Issuer XYZ may have an obligation to or may voluntarily submit to an information system operated by MSRB. The MSRB Gateway system will allow you to revoke the agent relationship at any time.

If you need assistance, please contact MSRB's support line at 202-838-1330.

You may also obtain more information about MSRB Registration at
http://www.msrb.org/Rules-and-Interpretations/MSRB-Registration.aspx

This is a system-generated email. PLEASE DO NOT REPLY, REPLIES ARE NOT MONITORED.
GW#003

Under the heading **Agents,** select **Create an account to make submissions on behalf of designating organizations.**

Click **Next.**

Welcome to MSRB Online Registration and Organization Account Set-up

If you already have an MSRB account click here to log in.

If you need to establish an MSRB account, please select the applicable option from the list below.

Issuers and Obligated Persons
Create an organization account to:
○ Submit all type of continuing disclosure and primary market filings to EMMA. Shared access by multiple users allows the organization to better manage the disclosure filings.

Dealers and Municipal Advisors
○ Register as a broker, dealer, municipal securities dealer or municipal advisor. Your organization must already be registered with the SEC and the appropriate enforcement agency (e.g., FINRA or a bank regulatory agency).

Agents
○ Create an account to make submissions on behalf of designating organizations. Create this account if you are not an issuer, obligated person, dealer or municipal advisor.

Exit   Next

Follow the steps to set up an Organization Account for Agents.

Agent Organization Account set-up differs from issuer and obligated person account set-up in the following ways:

- The Organization Account set-up guidelines have content specific to agents.
- The required documents are specific to agents.

Upon verification of your account set-up documents and information, MSRB staff will establish your Organization Account.

This completes the account set-up process; your account will be pending until MSRB verifies the information provided.

After the Organization Account is established, the agent must log into their account and accept or decline the agent designation request(s).

Log into your Organization Account and click **Manage Agent Relationship**.

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following access rights:

Market Transparency Systems

- Rule G-37 Submission
- EMMA Dataport

Account and Organization Management

- Manage User Accounts
- View Account Administrators
- Manage User Groups

Registrant Information Forms

- Form A-12
- Review My Affirmations
- Print Broker-Dealer Certificate

Agent Relationship Management
Invite and approve agent invitations to/from organizations.

- Manage Agent Relationships

Click **Organizations requesting that you act as their agent.**

Manage Agent Relationships

Use the following menu options to offer to make submissions on behalf of another organization and approve requests from others to make submissions on their behalf.

Active Relationships: (0)
Organizations requesting that you act as their agent: (2)
Organizations for which you have offered to act as an agent: (0)
Offer to serve as an agent for another organization

Return to Main Menu

Contact information for your Master Account Administrator will be shared with Master Account Administrators of organizations involved in agent relationships with you.

All pending request(s) appear on the screen. Click on the applicable request to proceed.

Pending Agent Requests

Organizations requesting that you act as their agent: (2)

MSRB ID	Organization Name	Submission Type	Relationship Status
P000259	Organization XYZ	EMMA - Continuing Disclosure	Pending
P000259	Organization XYZ	EMMA Voluntary Financial Information	Pending

Return to Agent Menu   Return to Main Menu

Click on the submission type(s), then click either **Remove Relationship** or **Approve Relationship**. An email will be forwarded to the designated agent, informing them of your actions.

Once the agent relationship is established in Gateway, the **Agent Relationships** page will be updated to reflect this change, as shown below.

Manage Agent Relationships

Use the following menu options to offer to make submissions on behalf of another organization and approve requests from others to make submissions on their behalf.

Active Relationships: (2)
Organizations requesting that you act as their agent: (0)
Organizations for which you have offered to act as an agent: (0)
Offer to serve as an agent for another organization

Return to Main Menu

Contact information for your Master Account Administrator will be shared with Master Account Administrators of organizations involved in agent relationships with you.

Organizations For Whom You Are An Agent

Organizations for whom you act as an agent: (2)

MSRB ID	Organization Name	Submission Type	Relationship Status
P000259	Organization XYZ	EMMA - Continuing Disclosure	Active
P000259	Organization XYZ	EMMA Voluntary Financial Information	Active

Return to Agent Menu   Return to Main Menu

Agent Initiates Steps to Establish an Organization Account

If the agent organization has not received an email invitation but would like to establish an Organization Account, they may do so using the following steps.

Click here or go to www.msrb.org and from the **Quick links** menu, select **Submit Data & Disclosures.**
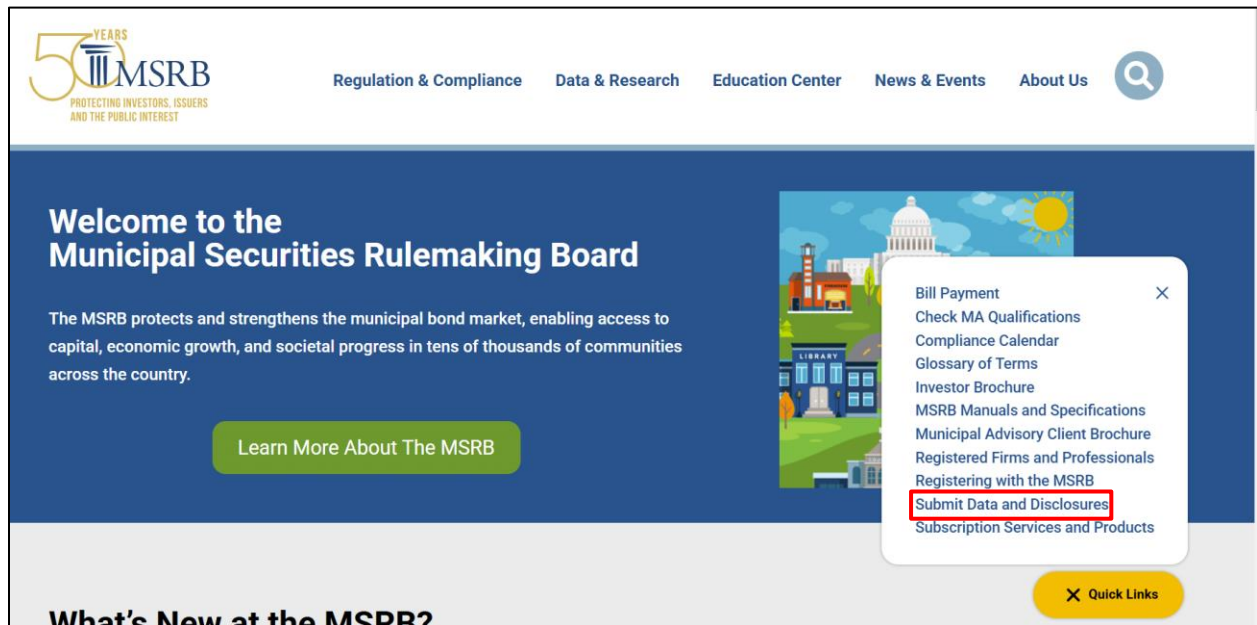
Click the **Agent Submissions** link.
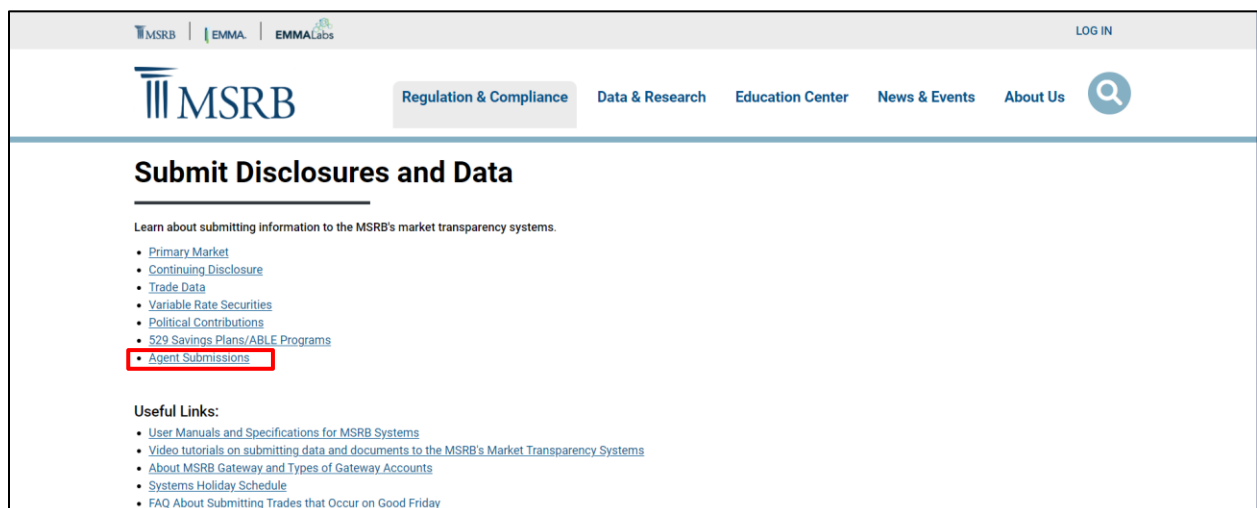
You will be directed to the Agents page. Read information about acting as an agent. To start the registration process, click the link **If you would like to create an agent account, click here**. You will then be directed to the Gateway registration landing page. Proceed with registration steps.

Agent Organization Account set-up differs from issuer and obligated person account set-up in the following ways:

- The Organization Account set-up guidelines have content specific to agents.
- The required documents are specific to agents.

Once verification of your account set-up documents and information is completed, your Organization Account will be activated.

After establishing your Organization account, log in and click on **Manage Agent Relationships**.

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following access rights:

Market Transparency Systems

- Rule G-37 Submission
- EMMA Dataport

Account and Organization Management

- Manage User Accounts
- View Account Administrators
- Manage User Groups

Registrant Information Forms

- Form A-12
- Review My Affirmations
- Print Broker-Dealer Certificate

Agent Relationship Management

Invite and approve agent invitations to/from organizations.

- Manage Agent Relationships

Click the link **Offer to serve as an agent for another organization.**

Manage Agent Relationships

Use the following menu options to designate agents to make submissions on your behalf and approve requests from others to act as your agent.

    Active relationships: (0)

    Organizations you have requested to act as your agent: (0)

    Organizations offering to act as your agent: (0)

    Designate an organization to act as your agent

Use the following menu options to offer to make submissions on behalf of another organization and approve requests from others to make submissions on their behalf.

    Active Relationships: (0)

    Organizations requesting that you act as their agent: (0)

    Organizations for which you have offered to act as an agent: (0)

    Offer to serve as an agent for another organization

    Return to Main Menu

Contact information for your Master Account Administrator will be shared with Master Account Administrators of organizations involved in agent relationships with you.

Enter search criteria for the organization you wish to serve, then click **Search**. Follow the steps to submit a request to act as an agent.

Organization Search

Organization Name:	
MSRBID:	
Email Address:	

Search   Reset Search   Return to Agent Menu

MSRB ID   **Organization Name**

Part 3: Duplicate Tax ID

While rare, a user acting on behalf of the registering organization may erroneously attempt to enter a Tax ID that is already associated with another organization's account. If this occurs, the registration process cannot be completed. First, verify that the Tax ID is accurate. If the Tax ID is correct, the user may be trying to create an account for an organization with an existing account. To resolve this situation, click the **Contact** button to automatically send an email to the account administrator of the registered organization to request to be added to the existing Organization Account**.**

MSRB Organization Account - Federal Tax EIN

The federal tax employer identification number (tax EIN) you supplied has already been provided to the MSRB by another organization. Duplication of a tax EIN may occur if more than one person affiliated with the same organization attempts to establish an organization account using its tax EIN. Duplication may also occur if you have mistyped your number or if a prior organization account was set up with an incorrect tax EIN.

Please confirm that the tax EIN you entered is correct. You may click "Previous" to view and edit the tax EIN for this account. If it is incorrect, please update your EIN.

If your EIN is correct, someone affiliated with your organization has already established an account for your organization. You can use the "Contact" button below to send a message to the Master Account Administrator for the organization currently using this tax EIN. The message transmitted will request the contact person to verify the accuracy of the tax EIN used and add an individual user account to their existing organization for the individual you identified as your Master Account Administrator .

If you do not want to send this information, click "Cancel" to terminate your organization account setup.

| Cancel | Previous | Contact |

After clicking **Contact**, a confirmation screen will appear stating that an email was sent to the Master Account Administrator of the existing registered organization.

MSRB Registration - Contact Existing Registrant

An email has been sent to the Master Account Administrator of the organization whose MSRB account includes the federal tax EIN you provided. This email included a request for an MSRB Gateway user account to be set up for the contact you identified as your Master Account Administrator. A representative of this organization may contact this individual to request additional information.

Exit

The Master Account Administrator of the registered organization will receive the following email and can take appropriate action.

An organization set-up request submitted to the MSRB includes the federal tax EIN registered to your organization. Please confirm that the federal tax EIN you used to set up your MSRB organization account is correct. If it is correct, the submitter requests that you add an MSRB Gateway User Account for the following individual:

USER NAME: Bob Doe
EMAIL ADDRESS: bdoe@agentxyz.com
PHONE: (111) 222-3333
ADDRESS: 101 Main Street
          City, ST 12345

This is a system-generated email. PLEASE DO NOT REPLY, REPLIES ARE NOT MONITORED. If you need assistance, please contact MSRB at 703-797-6668.

If there are unresolved questions pertaining to a duplicate Tax ID, contact MSRB Support at 202-838-1330.

Part 4: Amend a Pending Account

MSRB's goal is to process pending accounts within five business days of receipt, provided there are no discrepancies. If you need to update some of the information prior to MSRB's approval, follow the instructions below:

- Retrieve the acknowledgement email received after submitting the account information.

- Locate the following details in the email: **MSRB ID, Temporary Key** and **Registration Link**.

- Click the **Registration Link** to access your account.

Below is an example of the acknowledgment email you should have received:

> Thank you for submitting your organization's registration to the Municipal Securities Rulemaking Board (MSRB). Activation of your account is pending review of your documentation. Upon activation of your account, you will receive an email containing information on how to access your MSRB account.
>
> MSRB NUMBER (MSRB ID): G00247
> ORGANIZATION NAME: AGENT XYZ
>
> Master Account Administrator: TOM DOE
> Federal Tax EIN: 88-999999999
>
> To change your organization's information prior to MSRB authorization, please click on the link below and authenticate using your MSRB Number (MSRB ID) and the temporary key below:
>
> Temporary Key: FLAGRVMUKX
> Temporary Key Expiration Date: 8/6/2012 4:17:44 PM Eastern
> Registration Link: http://www.msrb.org/msrb1/control/registration:/FormalOAkey.asp
>
> Please keep this temporary key confidential to prevent unauthorized modification of your organization's information. This temporary key is valid for 45 days from the date of this email.
>
> If you need assistance, please contact MSRB's support line at 202-838-1330. This is a system-generated email. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED.
> gw#012

The following screen will appear, prompting you to enter the **MSRB ID** and the **Temporary Key** from the email.

MSRB Organization Account

To amend your organization's account information, please use the MSRB Number (MSRB ID) and temporary key sent to you via email to log in below.

If you do not know your MSRB Number (MSRB ID), please contact MSRB's support line at 703-797-6668.

Login:

MSRB Number (MSRB ID): G00247
Temporary Key: ••••••••

Cancel   Next

Once logged in, the **Organization Summary** screen will appear. Click **Edit** in the applicable box for the information you wish to change.

> The Tax ID, Organization Type, documentation, or the option to provide documentation cannot be amended, nor can an organization amend these items after the account has been authorized. Contact MSRB Support to make these changes.

MSRB Organization Account Setup — Organization Summary

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page. To accept this information click "Confirm." Your changes will not be accepted if you do not click "Confirm."

Organization Details   Edit

Organization Name: AGENT XYZ
Phone Number: (111) 222-3333
Fax Number:
Address 1: 101 MAIN STREET
Address 2:
City: CITY
State: ST
Zip: 12345
Country:

Additional Information   Edit

Organization Type: AGENT
Federal Tax EIN: 88-9999999

Master Account Administrator   Edit

First Name: TOM
Middle Name:
Last Name: DOE
Name Suffix:
Email Address: tdoe@agentxyz.com
Phone Number: (111) 222-3333
Address 1: 101 MAIN STREET
Address 2:
City: CITY
State: ST
Zip: 12345
Country:

Required Documentation   Edit

1. Information on Letterhead delivered as Information on Letterhead.pdf
2. Second Form of Identification delivered as Second Form of Identification.pdf

Cancel Account Setup   Confirm

After clicking Edit for the information you wish to update, make your changes and then click **OK**. In the example below, the user is updating the Organization Details.

MSRB Organization Account Setup — Add Organization Details

Please provide information about your organization. The address and phone number provided should be for the organization's main office or headquarters.

Organization Name:*	AGENT XYZ
Phone Number:*	111 - 222 - 3333 Ext.
Fax Number:	- -
Address1:*	101 MAIN STREET
Address2:	
City:*	CITY
State:*	ST
Zip:*	12345
Country:	

*required

[Cancel]   [OK]

On the Organization Summary screen, click **Confirm** to save the changes.

MSRB Organization Account Setup — Organization Summary

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page. To accept this information click "Confirm." Your changes will not be accepted if you do not click "Confirm."

Organization Details   Edit

    Organization Name: AGENT XYZ
    Phone Number: (111) 222-3333
    Fax Number:
    Address 1: 101 MAIN STREET
    Address 2:
    City: CITY
    State: ST
    Zip: 12345
    Country:

Additional Information   Edit

    Organization Type: AGENT
    Federal Tax EIN: 88-9999999

Master Account Administrator   Edit

    First Name: TOM
    Middle Name:
    Last Name: DOE
    Name Suffix:
    Email Address: tdoe@agentxyz.com
    Phone Number: (111) 222-3333
    Address 1: 101 MAIN STREET
    Address 2:
    City: CITY
    State: ST
    Zip: 12345
    Country:

Required Documentation   Edit

1. Information on Letterhead delivered as Information on Letterhead.pdf
2. Second Form of Identification delivered as Second Form of Identification.pdf

[Cancel Account Setup]   [Confirm]

Enter the required information for the individual making the amendment, then click **Submit**.

MSRB Organization Account Set-up - Account Information Provider

Please provide the name, title and telephone number of the person who completed the information for this organization account.

Field	Value
First Name:*	Jane
Middle Name:	
Last Name:*	Doe
Name Suffix:	
Title:*	Director
Phone Number:*	(111) 222 - 3333
Phone Extension:	

*required

[Cancel] [Previous] [Submit]

A confirmation screen then states that the account was successfully updated.

Congratulations, you have successfully updated your account information with the MSRB. Your MSRB Number (MSRB ID) is P000260.

Account Summary Please print a copy of the account summary for your records:

[Summary]

[Exit]

Part 5: Master Account Administrator (MAA) Account Set-up

After MSRB authorizes the account, the following actions must be taken by the Master Account Administrator (MAA) to finalize the account setup.

Create a Password to Access Your Organization Account

The Master Account Administrator will receive an email containing their User ID and a link to create a password to access the new Gateway Organization Account.

Click the Password Retrieval Link in the email.

Your MSRB Gateway account is now authorized. An Organization Account has been created for your organization and a User Account has been created for you. As the Master Account Administrator for your organization, you may use your account to create and manage the User Accounts of other staff working for your organization, update organization information on file with MSRB, and request and accept agent designations related to data and disclosure submissions. You will also receive emails from time to time advising you of important changes or events occurring in MSRB systems that may affect your organization.

To access your Gateway account, you will first need to create a password. Please click on the link below and enter the user ID provided.

USER ID: JDOE17
PASSWORD RETRIEVAL LINK: https://www.msrb.org/msrb1/control/forgotpassword.asp

Please keep this information confidential to prevent unauthorized use of your account.
The registered information for this account is:

MSRB ORGANIZATION NUMBER (MSRB ID): G00243
ORGANIZATION NAME: AGENT 1234
ORGANIZATION TYPE: Agent

MASTER ACCOUNT ADMINISTRATOR: TOM DOE
EMAIL ADDRESS: tdoe2@agentxyz.com
PHONE: (111) 222-3333

You can log in to the authenticated access area of the MSRB website through
https://www.msrb.org/msrb1/control/default.asp

This is a system-generated email. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED.
If you need assistance, please contact MSRB's support line at 202-838-1330.

Enter the **User ID** and click **Submit**.

Retrieve Password

To validate your request for a new password, enter your User ID below.
If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID:

Submit   Cancel

An email with the password reset link will be sent to you. Click the link in the email to proceed with creating your new password.

We have received your request for a new password. Please note that our records have been updated, and we recommend that you change your password in our system within 7 days using the link below. The link will expire within 7 days and failure to reset your password within 7 days will require you to submit another request for a password change.

http://www.msrb.org/msrb1/control/forgotpassword.asp?key=qTPdG9V9gNaZRNNANfvvFt1ryOnDac

To change your password, follow these simple steps below:
1. Click on the password link above.
2. On the Password Change page, enter and confirm the password that satisfies the password criteria.
3. Click on the Continue button.

This is a system-generated email. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance, please contact the MSRB at 202-838-1330.

On the Reset Password screen, enter your **User ID** and click **Submit**.

Reset Password

To reset your password, enter your User ID below.
If you do not know your User ID or you need an MSRB Gateway account, contact a representative in the Market Information Department at (703)797-6668.

User ID: [   ]

[Submit] [Cancel]

On the **Change Password** screen, create a password based on the password criteria.

Then, click **Continue**.

Change Password

THE MSRB REQUIRES THAT USERS CHANGE THEIR PASSWORDS PERIODICALLY FOR SECURITY PURPOSES.

USERS ARE ALSO ASKED TO CHANGE THEIR PASSWORD UPON INITIAL LOGIN OR AFTER USING THE 'Forgot your password?' FEATURE.

YOU MUST CHANGE YOUR PASSWORD NOW TO CONTINUE TO ACCESS THIS SYSTEM.

To change your password you must:

1. Enter your new password
2. Enter your new password again to confirm
3. Click "Continue"

New passwords must meet the following criteria:

1. Must be between eight (8) and fifteen (15) characters long
2. Must be different from your current password
3. Must not contain your User ID
4. Must contain characters from at least three of the following four categories:

   Uppercase characters (A-Z)

   Lowercase characters (a-z)

   Numeric characters (0-9)

   Special characters (!@#$%^&*(), etc. excluding spaces)

New Password: [••••••••]

Retype New Password: [••••••••]

[Continue]

Once the password has been successfully created, a confirmation screen will appear, indicating that you can now log into the MSRB Gateway using your User ID and Password.

Click the **Return** button to be directed to the MSRB Gateway Main Menu for your account.

Transaction Confirmation

You have successfully changed your password.

Return

Establish User Rights

After accessing your Organization Account, you must grant yourself the necessary User Account access rights for the document submissions you wish to make to EMMA.

To grant User Account access rights, click **Edit** in the **My Profile** box on the Gateway Main Menu page.

On the next screen, click **Edit User Account**.

Grant the account access rights by clicking the appropriate boxes on the right, then click
Continue.

Click **Confirm User Account.**

The **User Account Update Results** screen will appear, confirming that the Master Account Administrator (MAA) account was successfully updated. Click **Return to Main Menu**.

Access EMMA Dataport

After granting EMMA submission rights to the MAA account, navigate to **Market Transparency Systems** and click **EMMA Dataport**.

The EMMA Dataport Submission Portal will appear, which is used to make submissions to EMMA. The options displayed correspond to the rights granted to your account.

Part 6: Master Account Administrator Functions

Update Organization Account

An organization can have only one Master Account Administrator. Only a Master Account Administrator can update the Organization Account details. The Master Account Administrator can transfer the Master Account Administrator role to another user at any time.

From the Gateway Main Menu, click **Edit or Affirm Your Organization's Information and Master Account Administrator Designation**.

To update organization details, click **Edit** in the **Organization Details** box. Make the appropriate updates to the organization details, then click **OK** to confirm the changes.

MSRB Organization Account Set-up - Organization Summary

Click on "Edit" to make changes to your information. Once edits are complete, click "OK" to return to this summary page. To accept this information click "Confirm." Your changes will not be accepted if you do not click "Confirm."

Organizational Details:	Edit

Organization Name: Issuer XYZ
MSRB ID: P000258
Phone Number: 111 - 222 - 3333   Ext.
Fax Number:
Address 1: 101 Main Street
Address 2:
City: City
State: ST
Zip: 12345
Country:

Additional Information: Edit

Organization Type:
Municipal Security Issuer

Federal Tax EIN: 43-6767676

Master Account Administrator: Edit

First Name: BOB
Middle Name:
Last Name: DOE
Name Suffix:
Email Address: bdoe@issuerxyz.com
Phone Number: 111 - 222 - 3333   Ext.
Address1: 101 MAIN STREET
Address2:
City: CITY
State: ST
Zip: 12345
Country:

Required Documentation:

1. Information on Letterhead - Verified by MSRB
2. Second Form of Identification - Verified by MSRB

[Cancel] [Confirm]

Transfer Master Account Administrator's Rights

To transfer Master Account Administrator rights to another user, click **Edit** in the **Master Account Administrator** box.

Click **Replace Contact.**

Choose an existing user in the organization or click **New User** create a new MSRB Gateway User Account.

The user's details appear in the **Master Account Administrator Information** screen. If needed, amend the details. Re-enter the email address as confirmation. When finished, click **OK**.

MSRB Organization Account Set-up - Add Master Account Administrator Information

Please provide contact details for the Master Account Administrator. If the address is the same as your organization's information, click 'Copy' to copy from your organization's details. You may replace this contact if needed.

[Copy]

Master Account Administrator:

Field	Value
First Name:*	NANCY
Middle Name:	
Last Name:*	DOE
Name Suffix:	
Email Address:*	ndoe@issuerxyz.com
Confirm Email:*	ndoe@issuerxyz.com
Phone Number:*	111 – 222 – 3333 Ext.
Address1:*	101 MAIN STREET
Address2:	
City:*	CITY
State:*	ST
Zip:*	12345
Country:	

*required

[Previous] [OK]   [Replace Contact]

The new Master Account Administrator will be reflected on the **Organization Summary** screen. Click **Confirm** to save the changes.

The confirmation will indicate that the update was successful.

The user's profile will reflect their role as Master Account Administrator in the **My Profile** box.
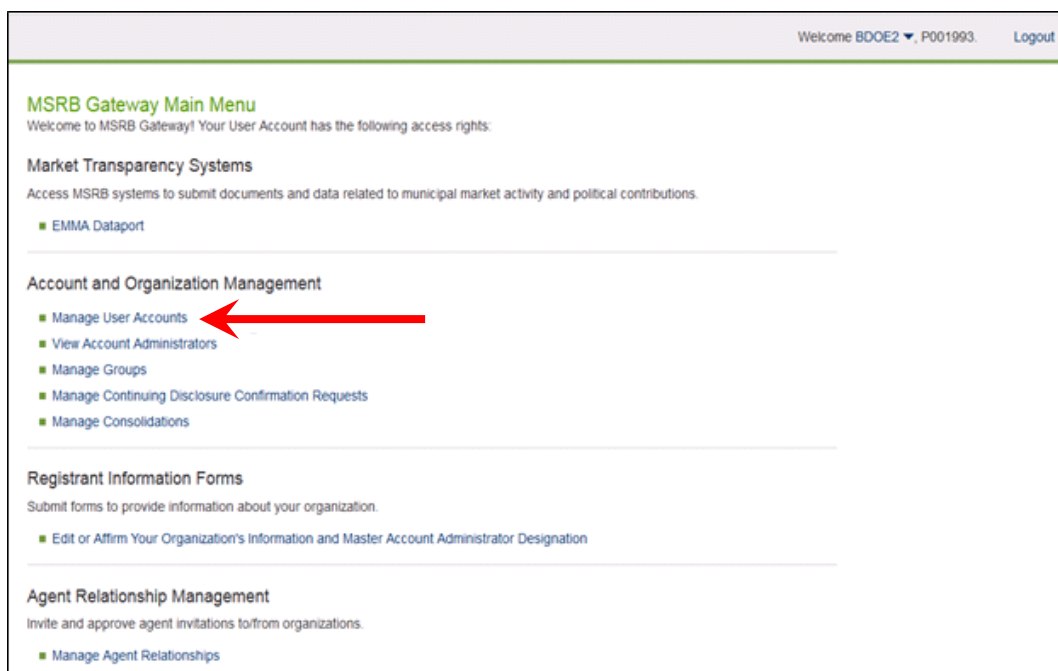
The former Master Account Administrator's profile will reflect the new role of **User.**

Create New Accounts

Either the Master Account Administrator or an Account Administrator can create a new MSRB Gateway User Account. To create a new MSRB Gateway User Account, follow the following steps.

From the **Gateway Main Menu**, click **Manage User Accounts** under **Account and Organization Management.**

Click **Add New Account**.

Enter the user details and select the checkbox next to one or more of the access rights you want to assign to the user. A user can be granted some or all rights. Additionally, if you assign the **Account Administrator** right to a user, they will have the ability to manage MSRB Gateway User Accounts, in addition to the Master Account Administrator. Click **Continue**.

You must grant at least one access right to the new user. If no rights are granted, a message will display that the account will be disabled because no rights have been assigned.

Click **Edit User Account** to add account access rights.

Click **Continue**.

Click **Confirm User Account.**

The results screen will confirm that the MSRB Gateway User Account was successfully created.

User Account Update Results

The following User Account was successfully updated. An email confirmation was sent to the user.

User ID:	JDOE25
MSRB ID:	P000258
Name:	JANE DOE
Email Address:	jndoe@issuerxyz.com

Return to Accounts	Return to Main Menu

The new user will receive an email stating that the account has been created. The email will contain the User ID, a link to create a password and a list of assigned account access rights.

> Please keep this information confidential to prevent unauthorized use of this account.
>
> The MSRB account registered for this email address: jndoe@issuerxyz.com has been updated by Bob Doe (BDOE)
>
> Your account currently has no rights assigned. You will not be able to access your account until at least one right is granted.
>
> Your new user ID is: JDOE25
>
> You may retrieve your password by going to:
> http://www.msrb.org/msrb1/control/forgotpassword.asp
>
> This is a system-generated email PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance with your account, please contact an account manager at your organization. You may also obtain more information about MSRB Gateway at:
> https://www.msrb.org/msrb1/control/default.asp.

After the new user creates a password and logs into Gateway, the MSRB Gateway Main Menu will appear.

In the example below, the user is an Account Administrator, granting them access to the **Manage User Accounts** link to manage other MSRB Gateway User Accounts. The user can also access the **EMMA Dataport** link under **Market Transparency Systems** to make EMMA Voluntary Submissions.

In the second example below, the account is for an ordinary user with fewer rights than an administrator. This user can access EMMA Dataport and, under **Account and Organization Management,** can view the names and contact information of the organization's Account Administrators.
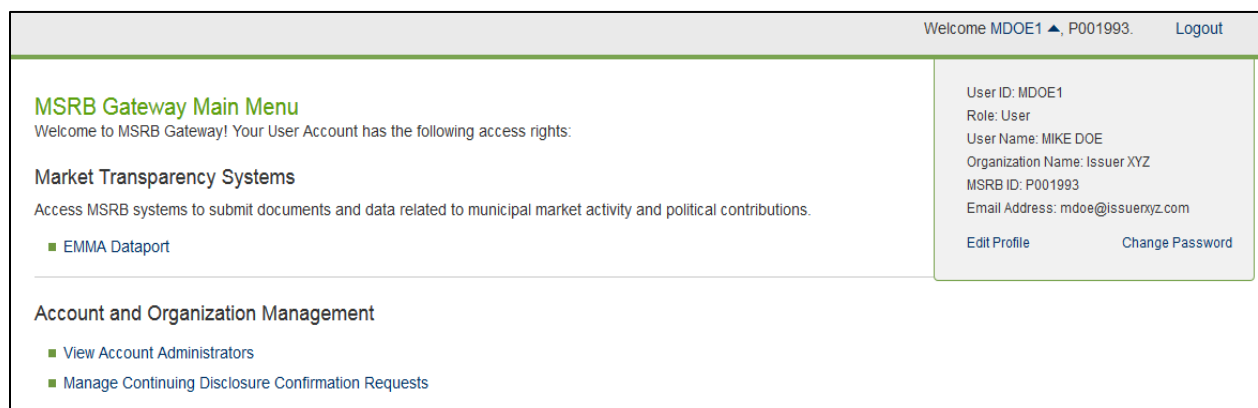
Instructions for maintaining individual MSRB Gateway User Accounts are provided at the end of this section. While users can update their own account details, they cannot manage their access rights. Alternatively, an Account Administrator can update both account details and manage

access rights for other users.

Add or Remove Account Access Rights

Either the Master Account Administrator or an Account Administrator can add or remove account access rights. To do so, follow these steps:

From the Gateway Main Menu, click **Manage User Accounts** under **Account and Organization Management**.

Click the MSRB Gateway User Account you wish to update.

Click **Edit User Account**.

Add or remove rights as appropriate. At least one account access right must be granted to the user to keep the account active. You may also update the user details as necessary. Click **Continue** and confirm the update.

Edit User Account

Account Details

User ID:	NDOE
MSRB ID:	P000258
Group(s):	No groups set up.
First Name:*	NANCY
Middle Name:	
Last Name:*	DOE
Email Address:*	ndoe@issuerxyz.com
Confirm Email:*	ndoe@issuerxyz.com
Title:	
Department:	
Phone Number:*	111 - 222 - 3333 Ext.
Fax Number:	- -
Address1:*	101 MAIN STREET
Address2:	
City:*	City
State:*	ST
Zip:*	12345
Country:	

*required

Account Access Rights

Select the Access Rights to assign to this User Account.

This user will have the following Access Rights in MSRB Gateway:

Account Administrator	☐	[?]
EMMA Continuing Disclosure Submissions	☐	[?]
EMMA Voluntary Financial Information	☑	[?]
EMMA Voluntary OS/ARD Submission	☑	[?]
EMMA Voluntary Preliminary OS Submission	☑	[?]

☐ **Force password change on next login.**
☐ **Disable the user account.**

Continue   Return to Account Profile

Disable MSRB Gateway User Account

Either the Master Account Administrator or an Account Administrator can disable a MSRB Gateway User Account. A MSRB Gateway User Account can never be deleted from Gateway, however, it can be disabled and hidden from view on the **User Account Profile** page.

There are two ways an account be disabled:

1. Manually by an Account Administrator

2. Automatically, if all access rights are removed from the MSRB Gateway User Account

To manually disable a MSRB Gateway User Account, click **Edit User Account**.

User Account Profile and Access Rights

Account Details

User ID:	NDOE
User Name:	NANCY DOE
MSRB ID:	P000258
Email Address:	ndoe@issuerxyz.com [Email User ID]
Title:	
Department:	
Address:	101 MAIN STREET
	CITY, ST 12345
Phone Number:	111-222-3333
Fax Number:	
Last Updated by:	BDOE **On:** 6/28/2012 10:26:15 AM

Account Access Rights

This user has the following Access Rights in MSRB Gateway:

Account Administrator ☐ [?]

EMMA Continuing Disclosure Submissions ☐ [?]

EMMA Voluntary Financial Information ☑ [?]

EMMA Voluntary OS/ARD Submission ☑ [?]

EMMA Voluntary Preliminary OS Submission ☑ [?]

View Profile History	View Rights History	Edit User Account

Return to Accounts	Manage Groups	Manage Groups by User	Return to Main Menu

Click the box **Disable the User Account**. Click **Continue.**

Click **Confirm User Account** to confirm the change.

A confirmation screen will confirm that the account was disabled.

User Account Update Results

The following User Account was successfully disabled. An email confirmation was sent to the user.

User ID:	NDOE
MSRB ID:	P000258
Name:	NANCY DOE
Email Address:	ndoe@issuerxyz.com

Return to Accounts   **Return to Main Menu**

The user of the disabled account will receive an email stating that the account was disabled. The user will no longer be able to log into Gateway.

Please keep this information confidential to prevent unauthorized use of this account.

The MSRB Gateway Account registered for this email address: jndoe@issuerxyz.com has been updated by Bob Doe (BDOE)

Your account has been disabled.

You may login and check your account details and update history by going to:
http://www.msrb.org/msrb1/control/default.asp

This is a system-generated email PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED. If you need assistance with your account, please contact an account manager at your organization. You may also obtain more information about MSRB Gateway at: https://www.msrb.org/msrb1/control/default.asp.

The user will no longer appear on the **User Accounts** page.

Re-enable MSRB Gateway User Account

To re-enable the MSRB Gateway User Account (for example, if the user has returned from a long absence), click the box **Show disabled User Accounts**. Click **Search**.

The disabled user's name will appear grayed out. Click on the user to edit the account.

User Accounts

The following are User Accounts for your company. Depending on your MSRB Gateway Access Rights, you can add, edit, or disable User Accounts, and search for User Accounts by name, email, or by Group. To view details, select the desired User Account from the list. Please be advised that all actions taken on MSRB systems by a user through a User Account established for your company shall be your company's responsibility.

Search for a user:

| By first name: | [   ] |
By last name:	[ ]
By email:	[ ]
By Right:	[▼]
By Group:	[▼] **Manage Groups**

Show disabled User Accounts: ☑

[Search]   [Reset]

[Add New Account]

Showing (1 - 5) of 5

* disabled accounts shown in gray

User Name	Last Updated By	Last Updated On
✎ BOB DOE	BDOE	6/28/2012 9:31:33 AM
✎ JANE DOE	BDOE	6/28/2012 10:18:44 AM
✎ LISA DOE	LDOE2	6/28/2012 9:33:47 AM
✎ NANCY DOE	BDOE	6/28/2012 10:44:15 AM
✎ TOM DOE	TDOE1	6/28/2012 9:32:29 AM

[Return to Main Menu]   [Edit Groups]

Uncheck the **Disable the User Account** option then click **Continue**.

Edit User Account

Account Details

User ID:	NDOE
MSRB ID:	P000258
Group(s):	No groups set up.
First Name:*	NANCY
Middle Name:	
Last Name:*	DOE
Email Address:*	ndoe@issuerxyz.com
Confirm Email:*	ndoe@issuerxyz.com
Title:	
Department:	
Phone Number:*	111 - 222 - 3333 Ext. [ ]
Fax Number:	[ ] - [ ] - [ ]
Address1:*	101 MAIN STREET
Address2:	
City:*	CITY
State:*	ST
Zip:*	12345
Country:	

*required

Account Access Rights

Select the Access Rights to assign to this User Account.

This user will have the following Access Rights in MSRB Gateway:

Account Administrator	☐ [?]
EMMA Continuing Disclosure Submissions	☐ [?]
EMMA Voluntary Financial Information	☑ [?]
EMMA Voluntary OS/ARD Submission	☑ [?]
EMMA Voluntary Preliminary OS Submission	☑ [?]

☐ Force password change on next login.
☐ Disable the user account.

[Continue]   [Return to Account Profile]

Click **Confirm User Account** to complete the process.

Confirm User Account

Account Details		Account Access Rights:
User ID:	NDOE	Click on "Confirm User Account" to complete the process.
User Name:	NANCY DOE	
MSRB ID:	P000258	
Group(s):		
Email Address:	ndoe@issuerxyz.com	
Title:		
Department:		
Address:	101 MAIN STREET	
	CITY, ST 12345	
Phone Number:	111-222-3333	
Fax Number:		

Confirm User Account	Edit User Account
Return to Accounts	Return to Main Menu

Part 7: Issuer Agent Designation

Overview

An issuer can designate an agent to make submissions to EMMA. Organizations can control the types of submissions an agent can make on their behalf. Once submission rights are designated, the agent has control only over the submission types authorized by the delegating issuer organization.

An issuer organization can only delegate rights that are inherent to its organization type as shown below.

Organization Roles and Their Inherent Submission Rights				
Organization Roles	**EMMA Continuing Disclosure Submissions**	**EMMA Voluntary Financial Information**	**EMMA Voluntary OS/ARD Submission**	**EMMA Voluntary Preliminary OS Submission**
Agent with Organization Account	✓			
Issuer with Organization Account	✓	✓	✓	✓
Obligated Person with Organization Account	✓			✓

Submission rights cannot be delegated to an agent if the delegating issuer organization cannot make the submissions itself. For example, an issuer can designate an agent to make EMMA voluntary primary market submissions on its behalf. An obligated person cannot make EMMA primary market submissions and therefore cannot designate an agent for that purpose. An obligated person can make primary market submissions only if an issuer has designated the obligated person to do so.

Only issuers may designate agents to make continuing disclosure submissions on their behalf.

Agent designation can be reciprocal. An organization can request another organization to make EMMA submissions as its agent; an organization can also offer to make submissions as agent for another organization.
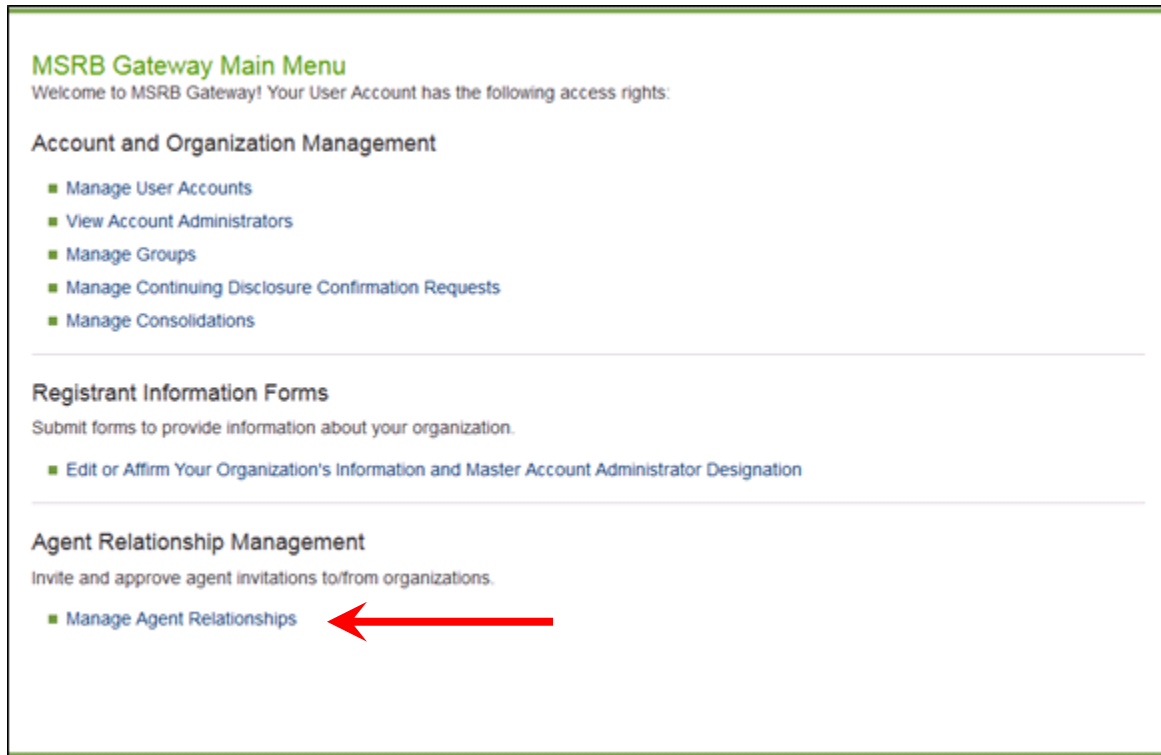
Parties involved in agent designations receive Gateway emails to notify them of actions taken by other parties. These actions include requests to become an agent and responses to requests and updates to submission rights.
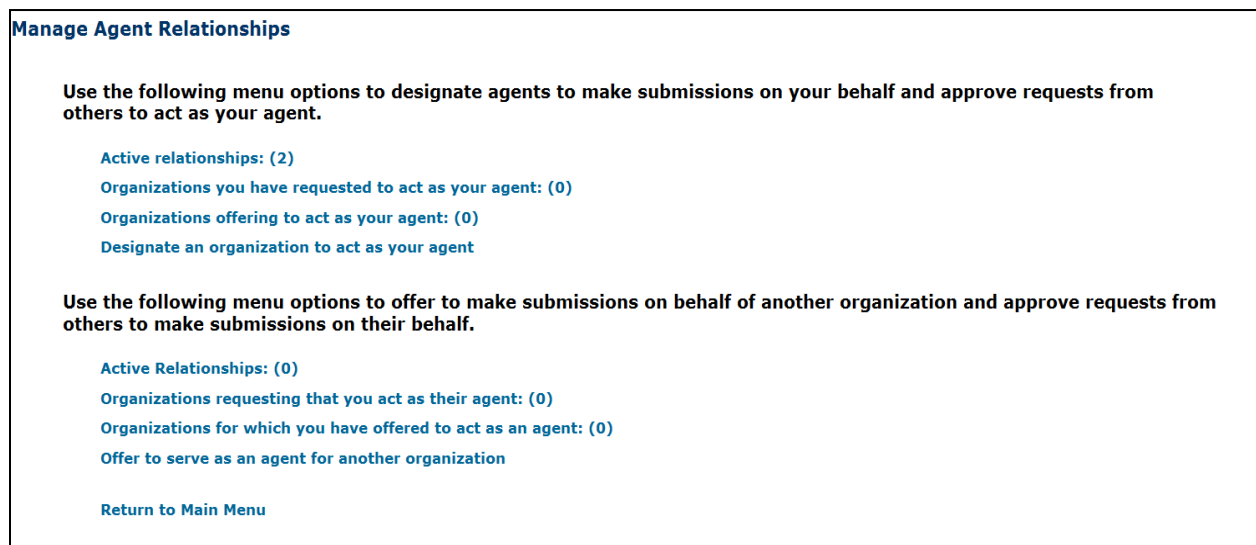
Only Master Account Administrators can manage an organization's agent relationships.

Agent Relationships

To view the agent relationships with other organizations, go to the Gateway Main Menu and click **Manage Agent Relationships** under the **Agent Relationship Management** section.

MSRB Gateway Main Menu
Welcome to MSRB Gateway! Your User Account has the following access rights:

Account and Organization Management

- Manage User Accounts
- View Account Administrators
- Manage Groups
- Manage Continuing Disclosure Confirmation Requests
- Manage Consolidations

Registrant Information Forms
Submit forms to provide information about your organization.

- Edit or Affirm Your Organization's Information and Master Account Administrator Designation

Agent Relationship Management
Invite and approve agent invitations to/from organizations.

- Manage Agent Relationships

The **Manage Agents Relationships** screen will appear. It is divided into two sections.

Manage Agent Relationships

Use the following menu options to designate agents to make submissions on your behalf and approve requests from others to act as your agent.

Active relationships: (2)
Organizations you have requested to act as your agent: (0)
Organizations offering to act as your agent: (0)
Designate an organization to act as your agent

Use the following menu options to offer to make submissions on behalf of another organization and approve requests from others to make submissions on their behalf.

Active Relationships: (0)
Organizations requesting that you act as their agent: (0)
Organizations for which you have offered to act as an agent: (0)
Offer to serve as an agent for another organization

Return to Main Menu

The first section shows your relationships with organizations that act as your agent:

Menu option	Definition
Active relationships	View active relationships with agents you have approved to submit on your behalf
Organizations you have requested to be your agent	View pending designations to organizations that you are waiting to accept/decline your designation request
Organizations offering to serve as your agent	View pending designations from organizations that are waiting for you to accept or decline their offer to act as your agent
Designate an organization to act as your agent	Send a request for an organization to act as your agent

The second section of the **Manage Agent Relationships** screen shows agent relationships where your organization plays the role of an agent:

Menu option	Definition
Active relationships	Shows organizations for which you currently act as an agent, and shows the types of submissions you can make on that organization's behalf
Organizations requesting that you act as their agent	View pending requests from organizations that you act as their agent. You can accept or decline the designation
Organizations for which you have offered to act as an agent	View pending requests where you have offered to act as an agent, and you are waiting for the organization to accept or decline your offer
Offer to serve as an agent for another organization	Request to act as an agent for another organization

View Agents Relationships

Click the **Active Relationships** link on the top section of the **Manage Agent Relationships** screen to view agents you have designated to submit on your behalf. Click on any organization's name to see more about the relationship.

Active Relationships			
Organizations who can act as your agent: (2)			
MSRB ID	**Organization Name**	**Submission Type**	**Relationship Status**
G00244	AGENT 1234	EMMA Voluntary Financial Information	Active
G00244	AGENT 1234	EMMA - Continuing Disclosure	Active

Return to Agent Menu   Return to Main Menu

The upper section of the **Relationship with Agent** screen, shown below, displays the agent's information and types of submissions the agent can make on behalf of your organization.

The lower section lists the submissions that you can make on behalf of other organizations as their agent, if any.

Relationship with AGENT 1234:

MSRB ID: G00244
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 MAIN STREET
CITY, ST 12345

You have designated this organization to act as your agent for the following types of submissions:

Submission Type	**Relationship Status**
EMMA - Continuing Disclosure	Active
EMMA Voluntary Financial Information	Active

Update Submission Types

You act as an agent for this organization for the following types of submissions:

Submission Type	**Relationship Status**
-- No submission types authorized --	

Update Submission Types

Search   Return to Agent Menu   Return to Main Menu

Manage Agent Submissions Rights

The upper section of this screen displays the submission types that the agent handles for your organization. As a Master Account Administrator, you may add or remove submission rights from the agent at any time.

To remove submission rights from an agent, select the submission type you wish to revoke, then click **Remove Relationship.**

The submission type drops to the lower section of the screen, as it is now available for delegation.

To delegate additional submission rights to an agent, select from the submission rights listed in the lower section, then click **Add Submission Type**.

The selected submission(s) will move to the upper section under **Types of submissions this organization can make on your behalf**. The relationship status then denotes "Waiting for agent's approval."

Relationship with AGENT 1234:

MSRB ID: G00244
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 MAIN STREET
CITY, ST 12345

Modifications successfully processed

Types of submissions this organization can make on your behalf:

Submission Type	Relationship Status
☐ EMMA - Continuing Disclosure	Waiting for agent's approval
☐ EMMA Voluntary Financial Information	Active
☐ EMMA Voluntary OS/ARD Submission	Waiting for agent's approval

[Remove Relationship]

Types of submissions for which you would like this organization to act as your agent:

☐ EMMA Voluntary Preliminary OS Submission

[Add Submission Type]

[Search] [Return to Agent Menu] [Return to Main Menu]

Request Agent Designation Rights

An agent may request additional submission rights for another organization.

Use the lower section of the screen to manage the delegated rights. To request the right to make a new type of submission, click **Update Submission Types**.

The lower section lists the organization's inherent submission types that you can request to submit on their behalf. Select one or more of the types of submissions then click the **Add Submission Type** button.

The submission status changes to "Waiting for their approval." (In the example below, you are waiting for approval to make Continuing Disclosure and Voluntary Preliminary OS submissions.)

Relationship with Organization XYZ:

MSRB ID: P000259
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 Main Street
City, ST 12345

Types of submissions for which you are currently an agent for this organization:

Submission Type	Relationship Status
☐ EMMA - Continuing Disclosure	Waiting for their approval
☐ EMMA Voluntary Preliminary OS Submission	Waiting for their approval

Remove Relationship

Types of submissions for which you would like to act as this organization's agent:

☐ EMMA Voluntary Financial Information
☐ EMMA Voluntary OS/ARD Submission

Add Submission Type

If the request is approved, the submission type status changes to "Active"

Relationship with Organization XYZ:

MSRB ID: P000259
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 Main Street
City, ST 12345

You act as an agent for this organization for the following types of submissions:

Submission Type	Relationship Status
EMMA - Continuing Disclosure	Active
EMMA Voluntary Financial Information	Active
EMMA Voluntary OS/ARD Submission	Active

Update Submission Types

Search   Return to Agent Menu   Return to Main Menu

If the request is declined, the submission type moves to the lower section of the screen.

Relationship with Organization XYZ:

MSRB ID: P000259
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 Main Street
City, ST 12345

Modifications successfully processed

Types of submissions for which you are currently an agent for this organization:

Submission Type	Relationship Status
☐ EMMA - Continuing Disclosure	Active

Remove Relationship

Types of submissions for which you would like to act as this organization's agent:

☐ EMMA Voluntary Financial Information
☐ EMMA Voluntary OS/ARD Submission
☐ EMMA Voluntary Preliminary OS Submission

Add Submission Type

Accept or Decline Agent Designation Rights

From the **Organizations For Whom You Are An Agent** screen, select an organization for which you act as an agent.

Organizations For Whom You Are An Agent

Organizations for whom you act as an agent: (4)

MSRB ID	Organization Name	Submission Type	Relationship Status
P000259	Organization XYZ	EMMA - Continuing Disclosure	Active
P000259	Organization XYZ	EMMA Voluntary Financial Information	Active
P000259	Organization XYZ	EMMA Voluntary OS/ARD Submission	Active
P000259	Organization XYZ	EMMA Voluntary Preliminary OS Submission	Active

Return to Agent Menu   Return to Main Menu

Click **Update Submission Types.**

Relationship with Organization XYZ:

MSRB ID: P000259
Phone Number: 111-222-3333
Fax Number: 999-999-9999
Address: 101 Main Street
City, ST 12345

You act as an agent for this organization for the following types of submissions:

Submission Type	Relationship Status
EMMA - Continuing Disclosure	Active
EMMA Voluntary Financial Information	Active
EMMA Voluntary OS/ARD Submission	Active
EMMA Voluntary Preliminary OS Submission	Active

Update Submission Types

Search   Return to Agent Menu   Return to Main Menu

Requests from organizations that are waiting for your approval are shown in the upper section of your Relationships screen. Select the submission type and click either **Remove Relationship** to decline the request or **Approve Relationship** to accept the request.

After accepting a delegated right, you may reverse the decision and remove the right by selecting the submission right and clicking **Remove Relationship.**

The Master Account Administrator of an agent organization will be warned of the implications for their users and will be asked to confirm this action should they remove an agent relationship. This will remove all related submission rights from users within the organization. If the rights removed are the only rights for an individual account, the account becomes disabled, and the user will no longer be able to log into Gateway.

ⓘ The MSRB Gateway User Account remains enabled if it has access rights inherent to your organization or access rights delegated from someone else.

The affected users will receive an email advising them of the change to their rights.

> Your organization is no longer authorized to submit certain submission types as an agent for Issuer XYZ (P00247). As a result, your MSRB Gateway account (user id: BDOE) has been modified to remove the following rights:
>
> EMMA Voluntary Annual filing and GAAP Undertaking
>
> If you need further assistance, please contact MSRB's support line at 202-838-1330.
>
> This is a system-generated email. PLEASE DO NOT REPLY. REPLIES ARE NOT MONITORED.

ⓘ A deactivated account can be re-enabled by the Master Account Administrator.

Part 8: User Accounts

Users can manage certain limited details without the assistance of the Master Account Administrator. The following information can be updated by an individual for their own account:

- Email address

- Phone number(s)

- Address

From the **Gateway Main Menu** screen, locate the My Profile box in the upper right and click **Edit Profile**.

Click **Edit User Account.**

Make the necessary updates to your email address or phone number, then click **Continue.**

To finalize the updates, click **Confirm User Account.**

View Account Administrators

If you have questions about your MSRB Gateway User Account or need to request additional access rights, you can view the contact information for Account Administrators within your organization. To do this, go to the **MSRB Gateway Main Menu** and under **Account and Organization Management**, select **View Account Administrators**. The following screen will appear.
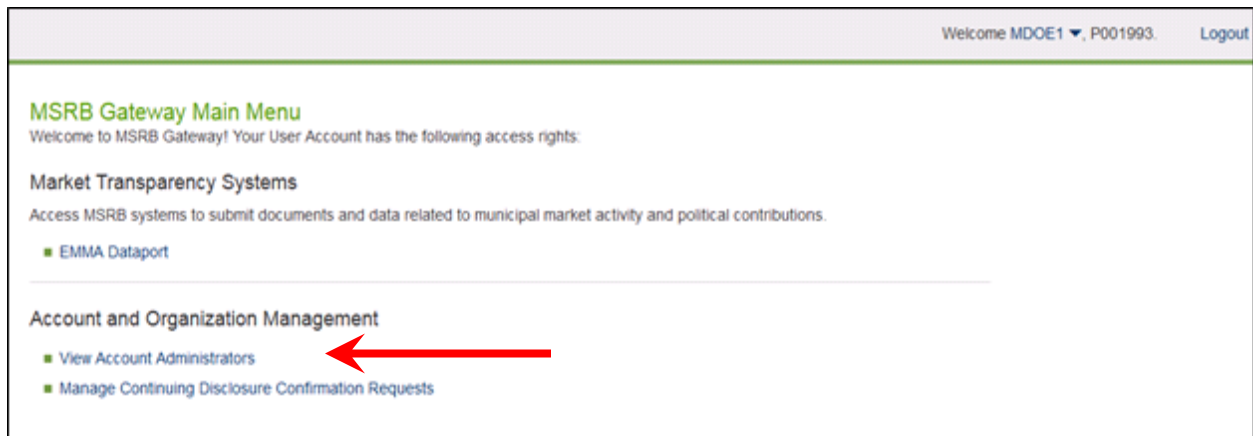
The Account Administrators will be listed with relevant contact information.
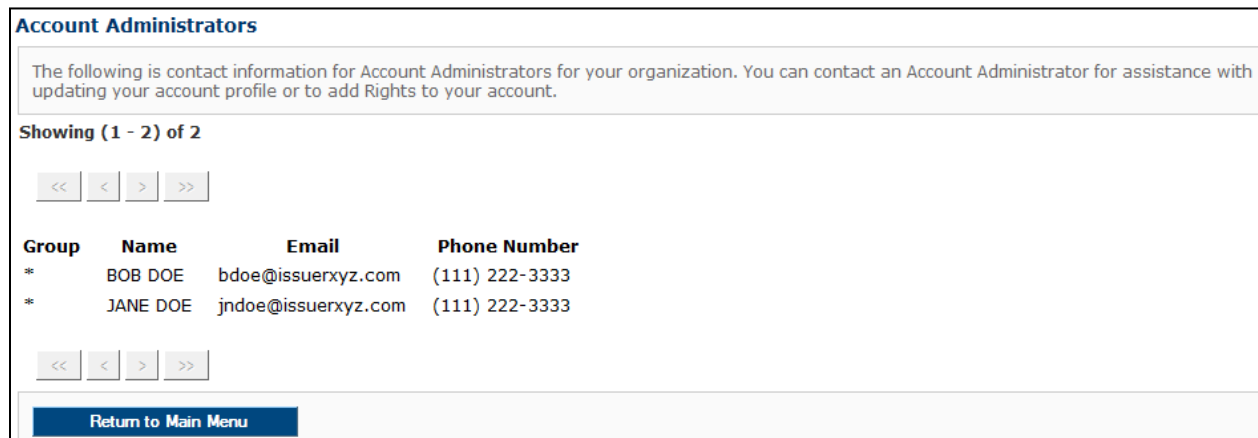
View Account Profile History and Rights History

Users can view a history of changes made to their account profile and/or access rights. On the Gateway Main Menu, go to the My Profile box in the upper right and click **Edit**. On the **User Account Profile** screen, click **View Profile History** to see the dates when the MSRB Gateway User Account was amended, and **View Rights History** for a history of when access rights were granted or removed.

Reset Password

Users can reset their password if they believe it has been compromised or if they wish to change it to a new password.

Locate the My Profile box on the Gateway Main Menu, then click **Change Password**.

Enter your current password, your new password, and then click **Continue**.

Forgot User ID or Password

If you forget your password, reset it by clicking the **Forgot password?** link on the Gateway login page and follow the on-screen instructions to create a new password.

If you forget your User ID, contact MSRB at 202-838-1330.