

Legal and Tax Notices via the Issuer Agent Portal

OVERVIEW

DTC's Legal Notice System (LENS) is an online repository of public Legal and Tax documents concerning DTC eligible securities that are published and furnished generally by third-party agents, courts, and security issuers. It is a subscriber-based system where clients of the service can view documents through an application on the MyDTCC portal. Historically, third parties submit documentation to be posted to LENS to DTCC via email. Going forward, DTCC has created the Issuer Agent Portal (insert link) to DTCC product specific page) to allow third parties to submit their Legal and Tax notices directly to LENS in near real-time.

HOW IT WORKS

- › DTCC has created the Issuer Agent Portal to accept submissions of Legal and Tax notices from issuers and agents without the bulky registration process and at no cost to use.
- › This new solution will allow for the direct input of Legal and Tax Notices in an efficient, straight through manner. Upon user authentication to validate your email address, contact information will be entered followed by the uploading function of legal notice documentation directly to LENS.
- › There is an option for single CUSIP entry or multiple CUSIP upload for the ease of each user's experience. For recurrence, in the case of uncertainty the user is also presented with a Legal & Tax Notice Data Dictionary as well as an Excel CUSIP template.
- › This efficient process requires just several details including the notice type, the notice sub type (if applicable) and contact information.

WHO CAN USE THIS SERVICE

- › Issuers, their trustees, and agents will be able to input Legal and Tax notices directly into DTCC's Issuer Agent Portal via a secure public web application and posted to LENS in near real time.

“The process has been designed to collect, streamline, and standardize the dissemination of investor communication in a timely fashion to the industry.”

BENEFITS

- › Take control of the process of submitting Legal and Tax notices directly to LENS, as opposed to communicating via a group email inbox.
- › Single User Interface (UI): To submit and publish Legal and Tax Notices in one place through a flexible web UI.
- › Choose what you would like to submit: You can upload multiple PDF documents in bulk using Excel spreadsheets or Comma Separated Value (CSV) files. You can use a preloaded form to seamlessly communicate the security and contact information.
- › Streamlined online form that is intuitive to fill out and publish your notices.
- › Receive automated email confirmations in near real-time after you submit a Legal and Tax notice to LENS containing a link to your submission details.
- › Each submission systematically creates a new Legal & Tax notice in near real-time, meaning that subscribers of LENS can have access to information in a timely fashion.
- › Consumers of this information can continue to subscribe to receive this data using the LENS system.

FOR MORE INFORMATION

For more information about how to submit Legal & Tax notices as an agent, trustee, or issuer, please click here (this will take you to the product specific page – to be created). For more information about how to communicate TA Notices, please contact DTCC Issuer Services Team by clicking here (take you to a form to fill out to contact product).

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