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## Issuer Agent Services

### ISSUER AGENT PORTAL - SUBMITTING TRANSFER AGENT 17AD-16 NOTICES

FEBRUARY 29, 2024

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# ISSUER AGENT PORTAL- SUBMITTING TRANSFER AGENT 17AD-16 NOTICES

DTC's Issuer Agent Portal is a one stop platform for agents, trustees and issuers to submit investor communications for dissemination via DTC's Legal Notice System (LENS), including notices for compliance with SEC Rule 17Ad-16, Legal notices, Tax notices and notices detailing LIBOR replacement rate information.

Developed specifically for the agent, trustee and issuer community, the Issuer Agent Portal provides a means for direct submission of notices to LENS. The portal builds on the foundation established by the LIBOR Replacement Index Communication Tool whose design was expanded to include all LENS notice categories – Legal, Tax, LIBOR and Transfer Agent notices posted to comply with Rule 17Ad-16 of the Securities and Exchange Commission Act of 1934.

Transfer Agent (TA) notices as they are commonly referred to in DTC's Legal Notice System (LENS) are posted to comply with Rule 17Ad-16 of the Securities and Exchange Commission (SEC) Act of 1934. The rule requires transfer agents to notify a qualified registered depository if it has changed its name, assumed, transferred, or terminated transfer agent services for a security. To assist agents with this process, DTCC has created the Issuer Agent Portal, a platform by which agents can submit TA notices for publication directly to LENS, in near real-time.

Rule 17Ad-16 of the SEC Act of 1934 suggests that agents submit notices at least ten calendar days prior to the effective date of the applicable name change, assumption, transfer, or termination of services.

It also requires the qualified registered securities depository to deliver a copy of such notices to its own Participants within 24 hours (excluding weekends and holidays) to ensure that investors receive this critical information in a timely fashion.

## How the Issuer Agent Portal Works

Issuers, Agents, Trustees and other third-party partners input TA notice details to DTC's Issuer Agent Portal via a public but secure web location. From that input, the DTC system creates a notice in PDF form. There is no charge to use the Issuer Agent Portal.

The resulting notice is available in DTC's Legal Notice System (LENS) which is a web application accessible to LENS subscribers via the [MYDTCC](#) portal at [portal.dtcc.com](http://portal.dtcc.com). Subscribers can view and/or download notices which are identified and searchable by CUSIP. There is a fee for this service.

## Who Can Use It?

Agents, Trustees, Issuers and other third-party partners can input notices directly into the Issuer Agent Portal for direct publication to the LENS repository.

For additional information and helpful links, visit the [Issuer Agent Portal product page](#).

## Overview of the Transfer Agent 17Ad-16 Notices Page

Issuers, trustees, and agents can navigate to the [Transfer Agent Product Page](#) via [DTCC.com](#). The Transfer Agent product page provides an overview of the Issuer Agent Portal, an explanation of how the process works, and a description of who can use the service.

To access the Issuer Agent portal, go to: <https://issueragentservices.dtcc.com/> \*

\*This link will be enabled upon production deployment.

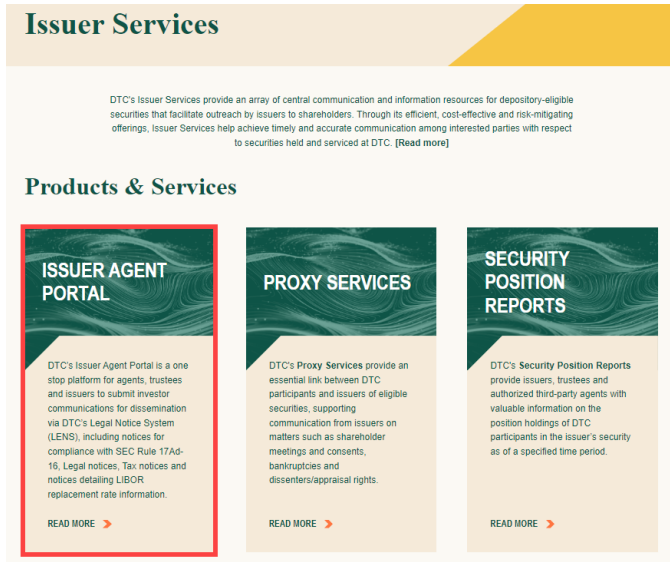
The existing client-facing LENS system remains the same and provides access to an easy-to-read PDF identifiable by CUSIP.

Individuals can also access useful information on the [product page](#) or the app about Transfer Agent submissions such as:

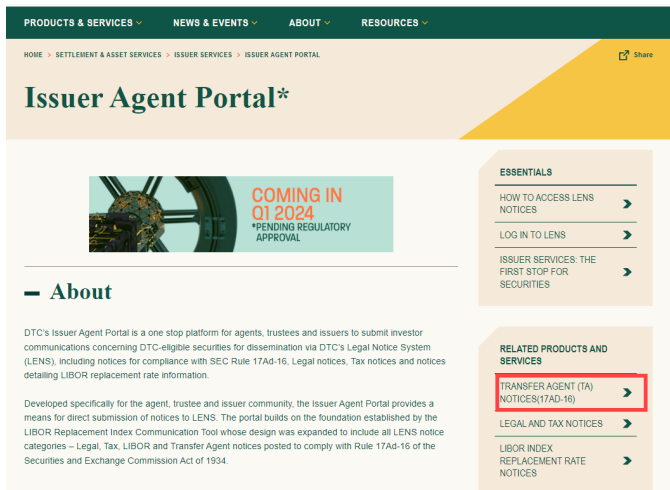
- Transfer Agent Notice Data Dictionary with Definitions and Field Values
- Transfer Agent Notice Excel & .CSV Templates
- Transfer Agent Notice Fact Sheet
- Transfer Agent Notice Help Icon
- DTC Operational Arrangements

# Navigating to the Transfer Agent (TA) Notices (17Ad-16) Page

1. From the DTCC.com [Issuer Services Products & Services page](#), click **Issuer Agent Portal**.



2. Click the **Transfer Agent (TA) Notices (17Ad-16)** link.



3. To open the Issuer Agent Portal app, click the **Issuer Agent Portal link**.

# SUBMITTING TRANSFER AGENT (TA) NOTICES (17AD-16)

The Issuer Agent Portal product page is the entry point for submitting notices to LENS (Legal Notice System). Agents and Issuers are able to add any new Transfer Agent information and enter or upload a list of associated affected CUSIP(s). After reviewing and accepting the terms, this information is made available as a TA notice in the LENS application.

To access the Issuer Agent Portal directly, go to: <https://issueragentservices.dtcc.com/> \*

\*This link will be enabled upon production deployment.

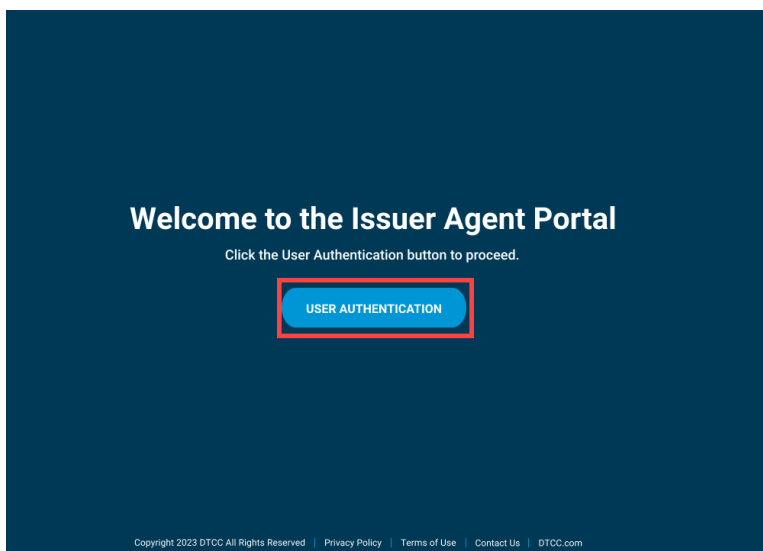
To navigate from the DTCC.com website, see [Navigating to the Transfer Agent TA Notices \(17Ad-16\) above](#).

## Obtaining a Verification Code by Providing Contact Information

Upon arriving at the landing page, you must provide business contact information for verification purposes. This contact information may also be used for any future inquiries concerning processed TA 17Ad-16 notices.

You must re-authenticate and obtain a new code after submitting each unique notice.

1. To enter your Contact Information, click **User Authentication** on the Issuer Agent Portal landing page.



2. Enter your name and business email and then click **Send verification code** to have a verification code sent to your business email. Personal email addresses such as Gmail, Yahoo, etc. will not be accepted as a substitute for a business email.

**Contact Verification**

For extra protection, we'll send you a verification code to your business email.

Name

Business Email

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3. Enter the verification code that was sent to your business email in the **Verification Code** field. If you are unable to locate the verification code, please check your Spam, Clutter, or Junk email folders. If you are still unable to retrieve the verification code, please double check that you have entered your email address correctly and click Resend Verification Code. After entering the verification code, complete the CAPTCHA entry and click **Next**.

**Contact Verification**

Look for the security code we just sent you and enter it below. If you're unable to locate it, please check your Spam, Clutter or Junk email folders.

Business Email

Verification code

CAPTCHA

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## Adding Transfer Agent 17Ad-16 Notices

After obtaining access to the Service Type menu page, follow the steps outlined in the order below. Note that choices related to the Issuer Agent Portal include Legal and Tax Notices as well as Transfer Agent 17Ad-16 Notices.

1. To enter TA Notices, select Transfer Agent 17Ad-16 Notices and click **Submit**.

**Service Type**

Please Select the Service Type

Select the type of service

Labor Replacement Tool

Transfer Agent 17Ad-16 Notices

Legal and Tax Notices

2. On the next page, enter your business phone number and submitting company name in the fields **Phone** and **Submitting Firm Name**. Then, click **Next**.

**DTCC** Issuer Agent Portal

**Transfer Agent 17Ad-16 Notices**

Contact Information

1 Contact Information — 2 Notice Details — 3 Review & Submit

**Contact Information** ⓘ

Please complete the fields below.

Name: Delia Smith

Business Email: dsmith@best.agent.com

Phone\*: +1 2125551212

Submitting Transfer Agent\*: Best Agent

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## Selecting a TA Notice Type to Enter

There are four Transfer Agent notice types. Depending on the notice type you select, each input form is slightly different. The associated Data Dictionary and Excel and CSV upload templates can be downloaded for your use. The upload templates correspond to the notice type you select.

1. Select a TA notice type to input. Depending on the type of input selected, the fields and templates will align to your selection.
  - **New Issue / Closing Memo** - Select this type when assuming services for a new security.
  - **TA Change** - Select this type only when you are submitting a Transfer Agent Change under Rule 17Ad-16 under the SEC Act of 1934.
  - **TA Contact Change** - Select this type only when you are changing your Transfer Agent Contact Information as described in Rule 17Ad-16 under the SEC Act of 1934.
  - **Other Agent Notices** - Only select this notice type when you are submitting a notice that may or may not be directly related to Rule 17Ad-16 changes such as, Mutual Fund memoranda or ineligible security notices.

**Form Input** ⓘ

\* Indicates a required field

Please complete the fields below.

Select input form.

New Issue / Closing Memo
  TA Change
  TA Contact Information Change
  Other Agent Notices ⓘ

CUSIP/s associated with the issue/s

Yes
  No

Select Single CUSIP or Multiple CUSIP

Single CUSIP
  Multiple CUSIP

Please refer to the following Data Dictionary and use the templates provided for upload

TA Notice Data Dictionary  
[Download](#)

Excel Template for Multi Issue Upload  
[Download](#)

CSV Template for Multi Issue Upload  
[Download](#)

2. Depending on the notice type / input form you select, follow the instructions below:

## New Issue / Closing Memo

Select this type when assuming services for a new security.

1. Select **New Issue / Closing Memo** as the input form.
2. If CUSIPs are associated with the issue(s) click Yes. If there is not yet a CUSIP assigned, select No.

CUSIP/s associated with the issue/s

Yes  No

- a. If you selected Yes, select whether the CUSIP associated with the issue(s) is **Single** or **Multiple CUSIPs**.

Select Single CUSIP or Multiple CUSIP

Single CUSIP  Multiple CUSIP

If this applies to multiple issues, select Multiple CUSIP and upload your CUSIPs using the **Multi Issue Upload template** provided to submit a .CSV, XLS, or XLSX file. You may upload 10 files with 250 CUSIPs per file.

If you have multiple issues to upload but do not have a CUSIP number yet, you may still enter the issues' legal CUSIP names in the **No CUSIP Multi Issue Upload template** provided to submit a .CSV, XLS, or XLSX file.

For Multi Issue Upload

Upload File

or Drag and Drop Files to Upload

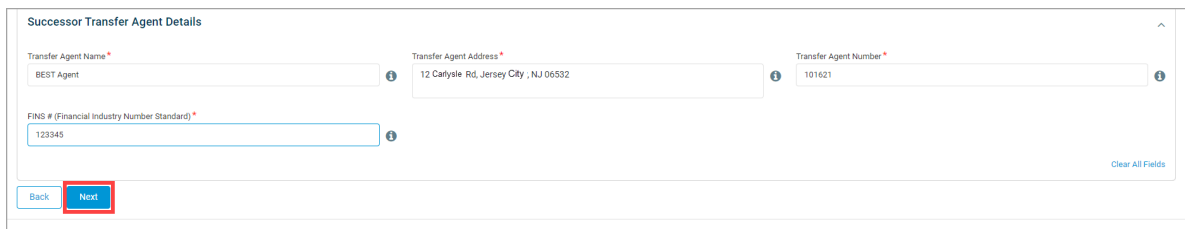
Supported file types include .CSV, .XLS, or .XLSX up to 10 files of 10 MB with 250 CUSIPs per file.

3. In the **Security Details** area enter the required information about the issue. Fields with an \* asterisk are required.

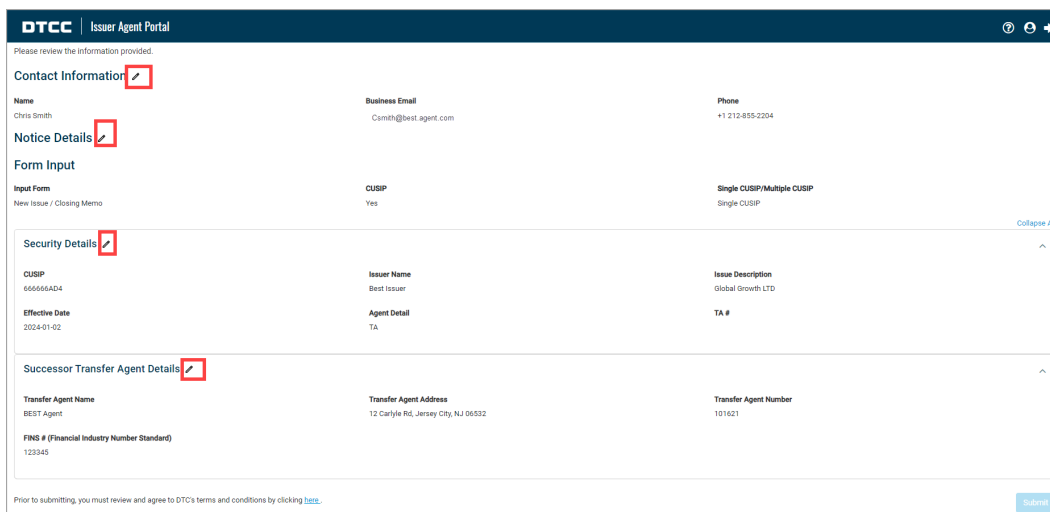
- Refer to the [TA Notices Data Dictionary](#) which explains how to fill out the fields.
- Upon successful upload of the **No CUSIP Multi Issue template**, both the CUSIP and Issue Description fields are greyed out. However, prior to upload, the Issue Description field remains available for entry of a single CUSIP Issue Description.
- If you are unsure of the Effective Date, click the TBD checkbox.
- Depending on the type of agent selected from the Agent Detail drop-down, you are prompted to optionally enter the agent number.



4. In the **Successor Transfer Agent Details** area enter the required information for the Agent assuming responsibility for the issue(s).



5. Click **Next**.
6. Review the information on the screen. If edits are required, click the pencil icon next to the corresponding section to edit the previously input information. Then click **Next** to return to the Review & Submit page.



- To accept the terms and conditions, click **here** in the sentence on the bottom which reads: Prior to submitting, you must review and agree to DTC's terms and conditions by clicking here.

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

- To complete the submission of your notice information to the Issuer Agent Portal, click **Submit**.

**DTCC** Issuer Agent Portal

**Contact Information**

<b>Name</b> Chris Smith	<b>Business Email</b> Csmith@best.agent.com	<b>Phone</b> +1 212-555-1212
----------------------------	------------------------------------------------	---------------------------------

**Notice Details**

**Form Input**

<b>Input Form</b> New Issue / Closing Memo	<b>CUSIP</b> Yes	<b>Single CUSIP/Multiple CUSIP</b> Single CUSIP
-----------------------------------------------	---------------------	----------------------------------------------------

**Security Details**

<b>CUSIP</b> 66666AD4	<b>Issuer Name</b> Best Issuer	<b>Issue Description</b> Global Growth LTD
<b>Effective Date</b> 2024-01-03	<b>Agent Detail</b> TA	<b>TA #</b>

**Successor Transfer Agent Details**

<b>Transfer Agent Name</b> Best Agent	<b>Transfer Agent Address</b> 12 Carlyle Rd., Jersey City NJ 06532	<b>Transfer Agent Number</b> 101621
<b>FINS # (Financial Industry Number Standard)</b> 123345		

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

**Submit**

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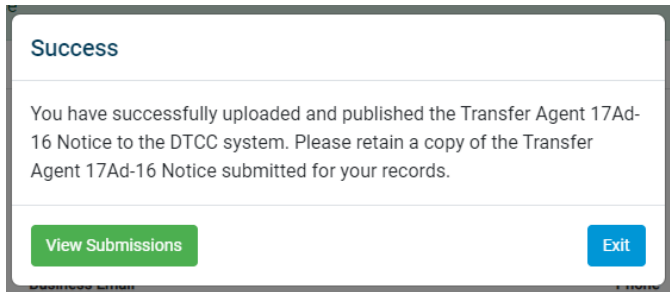
- A success message displays with the option to enter another TA Notice. If you would like to enter another notice, click **Enter Another Transfer Agent 17Ad-16 Notice**. If you don't want to submit another notice, to submit this notice and exit the portal click **Submit and Exit**.

**Success**

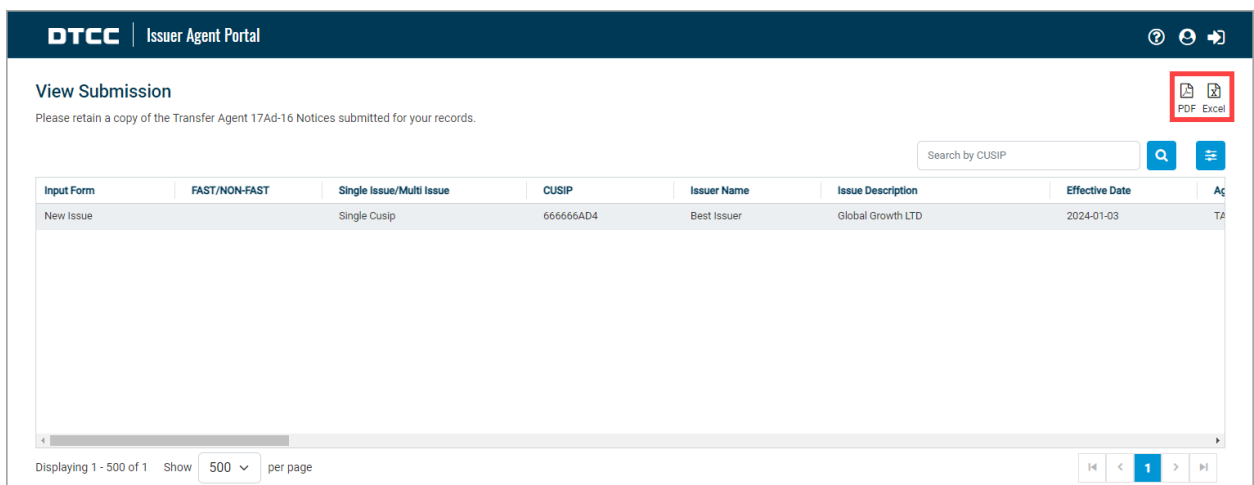
You have successfully entered a Transfer Agent 17Ad-16 Notice. Please choose to either submit the data to the DTCC system and exit from the website, or enter another Transfer Agent 17Ad-16 Notice before submitting.

**Enter Another Transfer Agent 17Ad-16 Notice** **Submit and Exit**

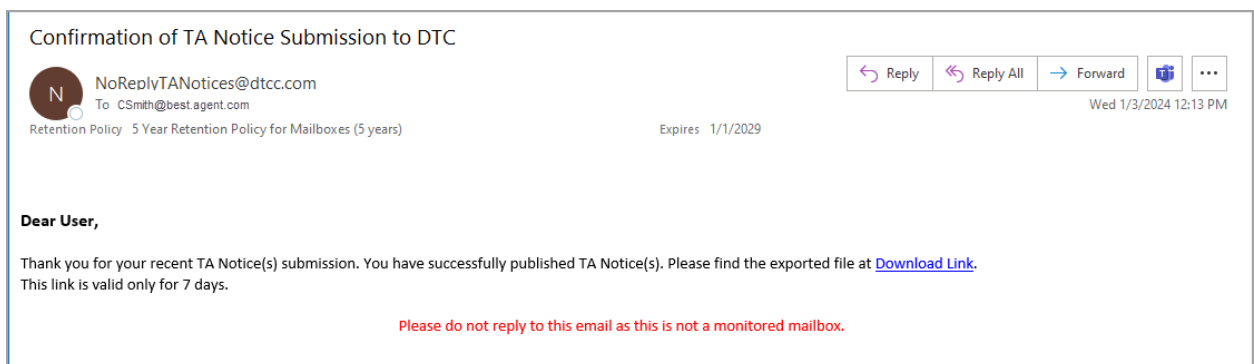
After you have finished entering notices, to view and download the submitted notice(s), click **View Submissions**. If you do not wish to review your submissions, click **Exit**.



When **View Submissions** is clicked, a table opens showing all your notice(s) submissions. You may print this information or create a downloadable Excel or PDF file by clicking the **PDF** or **Excel** icon.



Once submitted successfully, you will receive an email with a link to download a spreadsheet showing your submission details. The link may be accessed for up to 7 days. The email will be sent to the contact email you provided upon log in.

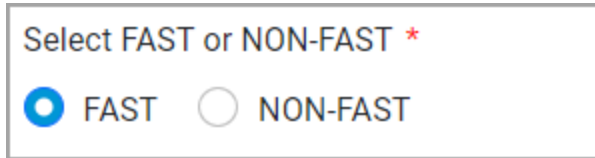


To continue adding another notice, repeat the procedure to [obtain a verification code](#) to access the Issuer Agent Portal.

## TA Change

Select this type when you are submitting a Transfer Agent Change under Rule 17Ad-16 under the SEC Act of 1934. This type includes FAST Issues and NON-FAST issues.

1. Select **TA Change** as the input form.
2. Select whether this is a **FAST** or **NON-FAST** security.

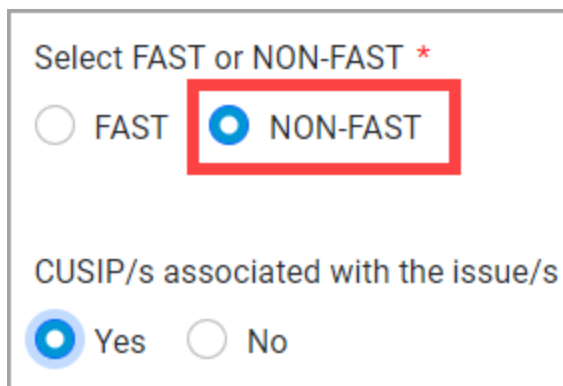


Select FAST or NON-FAST \*

FAST  NON-FAST

The FAST Automated Security Transfer program is a contract between DTC and transfer agents whereby FAST agents act as custodians for DTC, eliminating the need for paper certificates to be produced. FAST and NON-FAST CUSIPs require different processing steps to be taken on DTC's system. To avoid confusion and potential processing delays, be sure to choose the correct option.

- a. For NON-FAST issues, if CUSIPs are associated with the issue(s) click **Yes**. If there is not yet a CUSIP assigned, select **No**.



Select FAST or NON-FAST \*

FAST  NON-FAST

CUSIP/s associated with the issue/s

Yes  No

3. For all issues, if there is a CUSIP assigned, select whether the CUSIP associated with the issue(s) is **Single** or **Multiple CUSIPs**.
  - a. If this applies to a single CUSIP, proceed to the next step and enter the CUSIP and other information in the **Security Details** area.

Select Single CUSIP or Multiple CUSIP

Single CUSIP  Multiple CUSIP


- b. If this applies to multiple CUSIPs, select **Multiple CUSIP** and upload your CUSIPs using the **Multi Issue Upload template** provided to submit a .CSV, XLS, or XLSX file.

Select Single CUSIP or Multiple CUSIP \*

Single CUSIP  Multiple CUSIP

If you have multiple NON-FAST issues to upload but do not have a CUSIP number, you may still enter the issues' legal CUSIP names in the **No CUSIP Multi Issue Upload template** provided to submit a .CSV, XLS, or XLSX file. You may upload 10 files of 10MB with 250 issues per file.

For Multi Issue Upload

 or Drag and Drop Files to Upload

Supported file types include .CSV, .XLS, or .XLSX up to 10 files of 10 MB with 250 CUSIPs per file.

4. In the **Security Details** area, enter the required information. Fields with an \* asterisk are required.
- Refer to the [TA Notices Data Dictionary](#) which explains how to fill out the fields.
  - Upon successful upload of the **No CUSIP Multi Issue template**, both the CUSIP and Issue Description fields are greyed out. However, prior to upload, the Issue Description field remains available for entry of a single CUSIP Issue Description.
  - Depending on the type of agent selected from the Agent Detail dropdown list, you are prompted to optionally enter the agent number. You may enter more than one agent depending on the role of the agent.

- If you are unsure of the Effective Date for the TA change, click the **TBD** checkbox.

The screenshot shows the 'Security Details' form. The 'Effective Date' field contains '01/03/2024' and the 'TBD' checkbox is checked. The 'Agent Detail' dropdown menu is open, showing 'New TA' selected. The 'Issuer Name' is 'Best Issuer' and the 'Issue Description' is 'Global Growth LTD'. There is a 'Clear All Fields' button at the bottom right.

5. In the **Successor and Terminating Transfer Agent Details areas** enter the required contact information for the new agent assuming responsibility for the issue(s) and the old agent no longer supporting the issue(s).
  - a. If you know both the Successor and the Terminating Agent, click the **Known** radio button. This will enable all the fields for both agents to be entered.

The screenshot shows the 'Successor / Terminating Agent Known or Unknown' form. The 'Known' radio button is selected. The form is divided into three sections: 'Successor Transfer Agent Details', 'Transfer Agent Contact Details', and 'Issuer Details'. The 'Successor Transfer Agent Details' section includes fields for 'Transfer Agent Name' (Best Agent), 'Transfer Agent Address' (411 Enfield Rd., Oreland PA 43276), and 'Transfer Agent Number' (67543). The 'Transfer Agent Contact Details' section includes 'FINS # (Financial Industry Number Standard)' (12345), 'Telephone Number' (+1 2125551212), 'Email' (CSmith@best.agent.com), and 'Contact Person' (Chris Smith). The 'Issuer Details' section includes 'Issuer Contact Name' and 'Issuer Address'. There is a 'Clear All Fields' button at the bottom right.

- b. If you do not know either the Successor or the Terminating Agent, click the **Unknown** radio button to indicate one of these parties is unknown.

The screenshot shows a close-up of the 'Successor / Terminating Agent Known or Unknown' section. The 'Unknown' radio button is selected, while the 'Known' radio button is unselected.

Then check the **Unknown** check box next to the party that is unknown—either the Successor or the Terminating Agent. Selecting an agent as unknown will grey out the fields of the unknown party so that their details do not need to be entered and submitted.



Successor / Terminating Agent known or Unknown

Known  Unknown

**Successor Transfer Agent Details**  Unknown

Transfer Agent Name  Transfer Agent Address  Transfer Agent Number

FINS # (Financial Industry Number Standard)

**Transfer Agent Contact Details**

Telephone Number  Email  Contact Person

**Issuer Details**

Issuer Contact Name\*  Issuer Address\*

Best Issuer

Clear All Fields

For example, if you do not know the Successor Agent assuming responsibility for the issue, check the **Unknown** checkbox next to the **Successor Transfer Agent Details**. This greys out the successor and prompts you to provide information about the Issuer.

Alternatively, if you do not know the Terminating Agent, check the **Unknown** check box next to the **Terminating Transfer Agent Details** to indicate this information is not known. That section is greyed out so that it is not required to enter any information there.

**Terminating Transfer Agent Details**  Unknown

Transfer Agent Name  Transfer Agent Address  Transfer Agent Number

FINS # (Financial Industry Number Standard)

**Transfer Agent Contact Details**

Telephone Number  Email  Contact Person

Back **Next**

Clear All Fields

If you know the Terminating Transfer Agent who will no longer service the issue, fill out the \* required fields to provide this information.

**Terminating Transfer Agent Details**

Transfer Agent Name\*  Transfer Agent Address\*  Transfer Agent Number\*

FINS # (Financial Industry Number Standard)\*

**Transfer Agent Contact Details**

Telephone Number\*  Email\*  Contact Person\*

Back **Next**

Clear All Fields

- C. When you have completed the Successor and Terminating Transfer Agent information sections, click **Next**.

- Review the information on the screen. If edits are required, click the pencil icon next to the corresponding section to edit the previously input information. Then click **Next** to return to the Review & Submit page.

**DTCC | Issuer Agent Portal**

**Review & Submit**

Progress: 1 Contact Information 2 Notice Details 3 Review & Submit

**Review & Submit**

Please review the information provided.

**Contact Information**

<b>Name</b> Chris Smith	<b>Business Email</b> CSmith@Best-Agent.com	<b>Phone</b> +1 212-555-1212
----------------------------	------------------------------------------------	---------------------------------

**Notice Details**

**Form Input**

<b>Input Form</b> TA Change	<b>Select FAST or NON-FAST</b> NON-FAST	<b>Single CUSIP/Multiple CUSIP</b> Single CUSIP
<b>Successor/Terminating Agent Known or Unknown</b> Known		

**Security Details**

<b>CUSIP</b> 666666AD4	<b>Issuer Name</b> Best Issuer	<b>Issue Description</b> Global Growth LTD
<b>Effective Date</b> 2024-01-03	<b>Agent Detail</b> TA	<b>TA #</b> 45678

**Successor Transfer Agent Details**

<b>Transfer Agent Name</b> New Eclipse Agent	<b>Transfer Agent Address</b> 411 Enfield Rd, Oreland PA 43276	<b>Transfer Agent Number</b> 67543
<b>FINS # (Financial Industry Number Standard)</b> 54321		
<b>Transfer Agent Contact Details</b>		
<b>Telephone Number</b> +1 570-555-1212	<b>Email</b> CSmith@eclipse.agents.com	<b>Contact Person</b> Chris Smith
<b>Issuer Details</b>		
<b>Issuer Contact Name</b>	<b>Issuer Address</b>	

**Terminating Transfer Agent Details**

<b>Transfer Agent Name</b> Best Agent	<b>Transfer Agent Address</b> 15 Carlyle Rd., Valley Forge PA 98456	<b>Transfer Agent Number</b> 678921
<b>FINS # (Financial Industry Number Standard)</b> 34598		
<b>Transfer Agent Contact Details</b>		
<b>Telephone Number</b> +1 973-444-6789	<b>Email</b> JJohnston@best-agent.com	<b>Contact Person</b> Jan Johnston

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

**Submit**

- To accept the terms and conditions, click **here** in the sentence on the bottom which reads: Prior to submitting, you must review and agree to DTC's terms and conditions by clicking here.

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

- To complete the submission of your notice information to the Issuer Agent Portal, click **Submit**.

**DTCC | Issuer Agent Portal**

**Successor Transfer Agent Details**

<b>Transfer Agent Name</b> New Eclipse Agent	<b>Transfer Agent Address</b> 411 Enfield Rd, Orland PA 42276	<b>Transfer Agent Number</b> 67543
<b>FINS # (Financial Industry Number Standard)</b> 54321		
<b>Transfer Agent Contact Details</b>		
<b>Telephone Number</b> +1 570-555-1212	<b>Email</b> CSmith@eclipse.agents.com	<b>Contact Person</b> Chris Smith
<b>Issuer Details</b>		
<b>Issuer Contact Name</b>	<b>Issuer Address</b>	

**Terminating Transfer Agent Details**

<b>Transfer Agent Name</b> Best Agent	<b>Transfer Agent Address</b> 15 Carlyle Rd., Valley Forge PA 98456	<b>Transfer Agent Number</b> 678921
<b>FINS # (Financial Industry Number Standard)</b> 94598		
<b>Transfer Agent Contact Details</b>		
<b>Telephone Number</b> +1 973-444-6789	<b>Email</b> J.Joonston@best.agent.com	<b>Contact Person</b> Jan Joonston

Prior to submitting, you must review and agree to DTCC's terms and conditions by clicking [here](#).

**Submit**

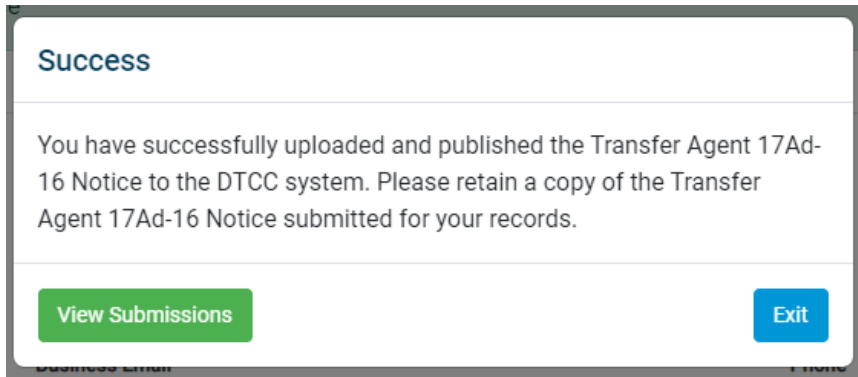
- A success message displays with the option to enter another TA Notice. If you would like to enter another notice, click **Enter Another Transfer Agent 17Ad-16 Notice**. If you don't want to submit another notice, to submit this notice and exit the portal click **Submit and Exit**.

**Success**

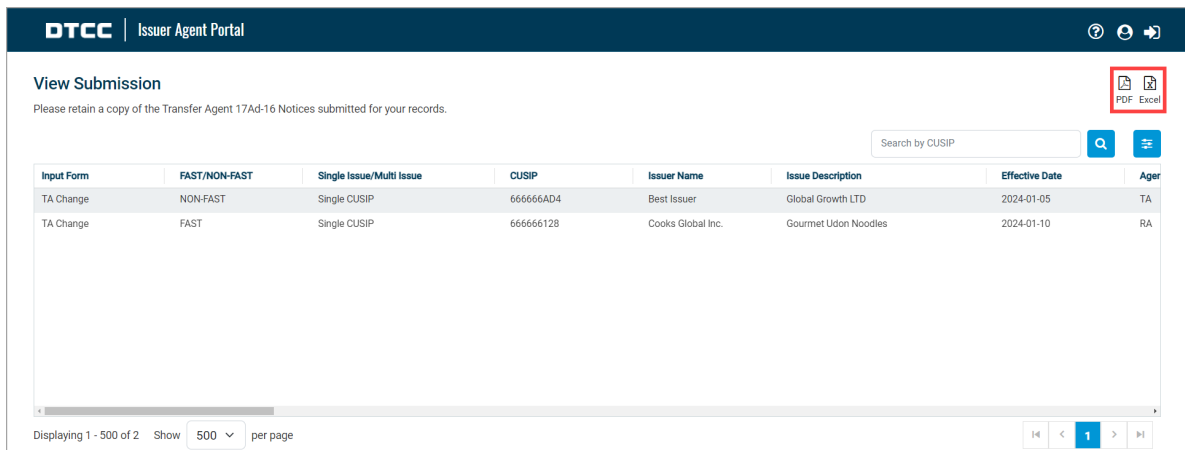
You have successfully entered a Transfer Agent 17Ad-16 Notice. Please choose to either submit the data to the DTCC system and exit from the website, or enter another Transfer Agent 17Ad-16 Notice before submitting.

Enter Another Transfer Agent 17Ad-16 Notice
Submit and Exit

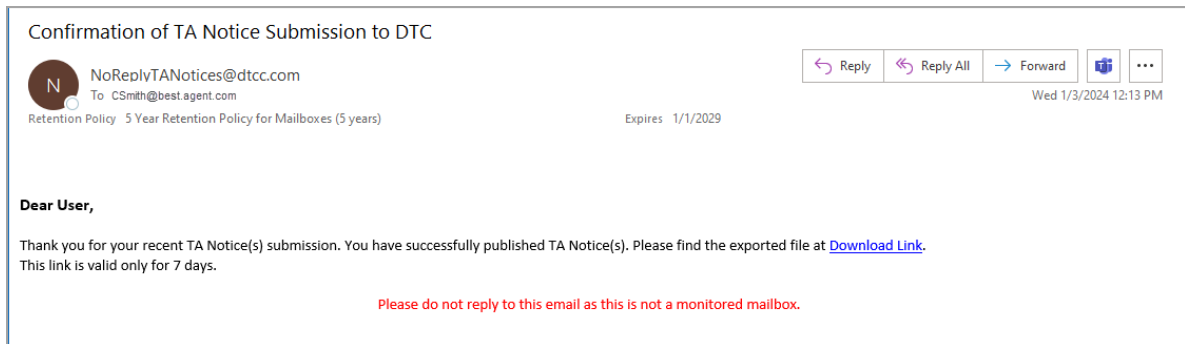
After you have finished entering notices, to view and download the submitted notice(s), click **View Submissions**. If you do not wish to review your submissions, click **Exit**.



When **View Submissions** is clicked, a table opens showing all your TA notice submissions. You may print this information or create a downloadable Excel or PDF file by clicking the **PDF** or **Excel** icon.



Once submitted successfully, you will receive an email with a link to download a spreadsheet showing your submission details. The link may be accessed for up to 7 days. The email will be sent to the contact email you provided upon log in.



To continue adding another notice, repeat the procedure to [obtain a verification code](#) to access the Issuer Agent Portal.

## TA Contact Information Change

Select this type only when you are changing your Transfer Agent Contact Information as described in Rule 17Ad-16 under the SEC Act of 1934.

1. Select **TA Contact Information Change** as the input form.
2. In the **Transfer Agent Contact Information Change** area, enter the updated information. Fields with an \* asterisk are required.
  - Refer to the [TA Notices Data Dictionary](#) which explains how to fill out the fields.

The screenshot shows the DTCC Issuer Agent Portal interface. At the top, there's a header with 'DTCC | Issuer Agent Portal' and navigation icons. Below the header, there's a section for selecting the input form, with 'TA Contact Information Change' selected. To the right, there are links to download templates: 'TA Notice Data Dictionary', 'Excel Template for Multi Issue Upload', and 'CSV Template for Multi Issue Upload'. The main form area is titled 'Transfer Agent Contact Information Change' and contains several input fields, each with a pencil icon for editing. The fields are: 'Transfer Agent Name' (Best Agent), 'Telephone Number' (+1 212-555-1212), 'FINS # (Financial Industry Number Standard)' (654321), 'Transfer Agent Updated Address' (500 Melrose Ave, Los Angeles CA 34652), 'Location For Physical Certs' (167 Figueroa St., Los Angeles CA 34660), and 'Contact Name' (Jack Gleason). There is also a 'Contact Email' field with the value 'JGleason@best.agent.com'. At the bottom of the form, there are 'Back' and 'Next' buttons, with 'Next' highlighted in red. A 'Clear All Fields' link is also present.

3. Click **Next**.
4. Review the information on the screen. If edits are required, click the pencil icon next to the corresponding section to edit the previously input information. Then click **Next** to return to the Review & Submit page.

**DTCC** | Issuer Agent Portal

✔ Contact Information — ✔ Notice Details — 3 Review & Submit

**Review & Submit** ⓘ

Please review the information provided.

**Contact Information** ✎

<b>Name</b> Christine Smith	<b>Business Email</b> CSmith@BestAgent.com	<b>Phone</b> +1 212-555-1212
--------------------------------	-----------------------------------------------	---------------------------------

**Notice Details** ✎

**Form Input**

**Input Form**  
TA Contact Information Change

**Transfer Agent Contact Information Change** ✎

<b>Transfer Agent Name</b> Best Agent	<b>Telephone Number</b> +1 212-555-1212	<b>FINS # (Financial Industry Number Standard)</b> 654321
<b>Transfer Agent Updated Address</b> 500 Melrose Ave, Los Angeles CA 34652	<b>Location For Physical Certs</b> 167 Figueroa St., Los Angeles CA 34660	<b>Contact Name</b> Jack Gleason
<b>Contact Email</b> JGleason@best.agent.com		

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

Submit

- To accept the terms and conditions, click **here** in the sentence on the bottom which reads: Prior to submitting, you must review and agree to DTC's terms and conditions by clicking here.

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

- To complete the submission of your notice information to the Issuer Agent Portal, click **Submit**.

**DTCC | Issuer Agent Portal**

Progress: ✓ Contact Information ✓ Notice Details 3 Review & Submit

**Review & Submit** ⓘ

Please review the information provided.

**Contact Information** ↗

<b>Name</b> Christine Smith	<b>Business Email</b> CSmith@BestAgent.com	<b>Phone</b> +1 212-555-1212
--------------------------------	-----------------------------------------------	---------------------------------

**Notice Details** ↗

**Form Input**

Input Form  
TA Contact Information Change

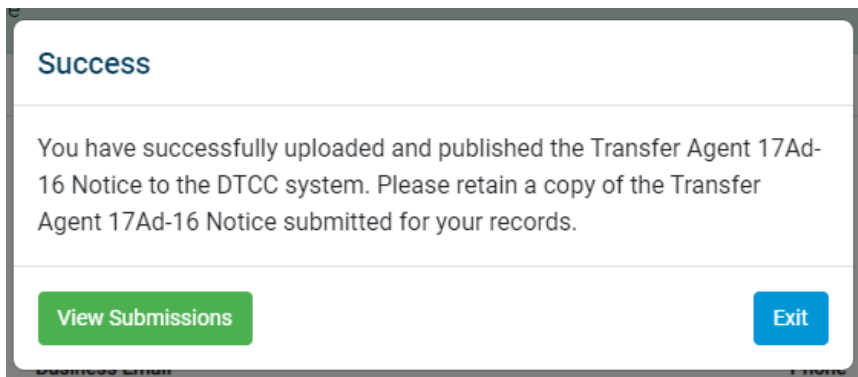
**Transfer Agent Contact Information Change** ↗ Collapse All

<b>Transfer Agent Name</b> Best Agent	<b>Telephone Number</b> +1 212-555-1212	<b>FINS # (Financial Industry Number Standard)</b> 654321
<b>Transfer Agent Updated Address</b> 500 Melrose Ave, Los Angeles CA 34652	<b>Location For Physical Certs</b> 167 Figueroa St., Los Angeles CA 34660	<b>Contact Name</b> Jack Gleason
<b>Contact Email</b> JGleason@best.agent.com		

Prior to submitting, you must review and agree to DTCC's terms and conditions by clicking [here](#).

**Submit**

- A success message displays. To view and download the submitted notice(s), click **View Submissions**. If you do not wish to review your submissions, click **Exit**.



When **View Submissions** is clicked, a table opens showing all your TA notice submissions. You may print this information or create a downloadable Excel or PDF file by clicking the **PDF** or **Excel** icon.

**DTCC** Issuer Agent Portal

**View Submissions**  
Please retain a copy of the Transfer Agent 17Ad-16 Notices submitted for your records.

Search by FINS # [Search Icon] [Filter Icon]

Input Form	Transfer Agent Name	Telephone Number	FINS #	Transfer Agent Updated Address	Location For Physical Certs	Contact Name
TA Contact Information Change	Best Agent	+1 212-555-1212	654321	500 Melrose Ave., Los Angeles CA 34652	167 Figueroa St., Los Angeles	Jack Gleason

1 total

Once submitted successfully, you will receive an email with a link to download a spreadsheet showing your submission details. The link may be accessed for up to 7 days. The email will be sent to the contact email you provided.

Confirmation of TA Notice Submission to DTC

**N** NoReplyTANotices@dtcc.com  
To: CSmith@best.agent.com  
Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 1/1/2029

Reply Reply All Forward [Share Icon] [More Icon]

Wed 1/3/2024 12:13 PM

**Dear User,**

Thank you for your recent TA Notice(s) submission. You have successfully published TA Notice(s). Please find the exported file at [Download Link](#). This link is valid only for 7 days.

Please do not reply to this email as this is not a monitored mailbox.

To continue adding another notice, repeat the procedure to [obtain a verification code](#) to access the Issuer Agent Portal.

## Other Agent Notices

Only Select this notice type when you are submitting a notice that may or may not be directly related to 17Ad-16 changes, such as mutual fund memoranda or ineligible security notices.

1. Select **Other Agent Notices** as the input form.
2. Select whether the CUSIP associated with the issue(s) is **Single** or **Multiple CUSIPS**.

If this applies to a single CUSIP, proceed to Step 3, and enter the CUSIP and other information in the **Security Details** area.




Select Single CUSIP or Multiple CUSIP

Single CUSIP  Multiple CUSIP

If this applies to multiple CUSIPs, select **Multiple CUSIP** and upload your CUSIPs using the **Multi Issue Upload template** provided to submit a .CSV, XLS, or XLSX file. You may upload 10 files of 10MB with 250 CUSIPs per file.

For Multi Issue Upload

 or Drag and Drop Files to Upload

Supported file types include .CSV, .XLS, or .XLSX up to 10 files of 10 MB with 250 CUSIPs per file.

- In the **Security Details** area enter the required information. Fields with an \* asterisk are required.
  - Refer to the [TA Notices Data Dictionary](#) which explains how to fill out the fields.
  - If you are unsure of the Effective Date, click the TBD checkbox.



**Security Details** Collapse All

CUSIP: 666666A04 ⓘ

Issuer Name\*: Best Issue ⓘ

Issue Description\*: New World Unlimited ⓘ

Effective Date\*: 01/08/2024 ⓘ

TBD

Agent Name\*: Best Agent ⓘ

[Clear All Fields](#)

- In the **Contact Details** area, enter the required information. Fields with an \* asterisk are required.
  - In the **Description of Notice** field, type the information that will constitute the notice information. This is a free form field allowing entry of 10,000 characters. Please be aware that the exact information entered here will be displayed in LENS. For this reason, we suggest you check spelling and grammar in advance and paste the text into the field (using Ctrl + V on your keyboard) as this will form the basis of the notice that is visible in LENS.

5. Click **Next**.
6. Review the information on the screen. If edits are required, click the pencil icon next to the corresponding section to edit the previously input information. Then click **Next** to return to the Review & Submit page.

7. To accept the terms and conditions, click **here** in the sentence on the bottom which reads: Prior to submitting, you must review and agree to DTC's terms and conditions by clicking **here**.

Prior to submitting, you must review and agree to DTC's terms and conditions by clicking [here](#).

- To complete the submission of your notice information to the Issuer Agent Portal, click **Submit**.

The screenshot shows the DTCC Issuer Agent Portal interface. At the top, it displays the user's name 'Janet Johnston', email 'jjonston@best.agent.com', and phone number '+1 212-555-1212'. The form is divided into several sections: 'Notice Details', 'Form Input' (with 'Input Form' selected), 'Security Details', and 'Contact Details'. The 'Security Details' section includes fields for CUSIP (666666AD4), Issuer Name (Best Issue), Issue Description (New World Unlimited), Effective Date (2024-01-08), and Agent Name (Best Agent). The 'Contact Details' section includes Contact Name (Kimberly Liu), Contact Email (Kliu@best.agent.com), and Contact Phone (+1 212-555-1212). A 'Description of Notice' field is also present. A 'Submit' button is located at the bottom right of the form, highlighted with a red box. A footer at the bottom of the page contains copyright information and links for Privacy Policy, Terms of Use, Contact Us, and DTCC.com.

- A success message displays with the option to enter another TA Notice. If you would like to enter another notice, click **Enter Another Transfer Agent 17Ad-16 Notice**. If you don't want to submit another notice, to submit this notice and exit the portal click **Submit and Exit**.

The screenshot shows a success message box with the title 'Success'. The text inside reads: 'You have successfully entered a Transfer Agent 17Ad-16 Notice. Please choose to either submit the data to the DTCC system and exit from the website, or enter another Transfer Agent 17Ad-16 Notice before submitting.' At the bottom of the box, there are two buttons: 'Enter Another Transfer Agent 17Ad-16 Notice' and 'Submit and Exit'.

After you have finished entering notices, to view and download the submitted notice(s), click **View Submissions**. If you do not wish to review your submissions, click **Exit**.

The screenshot shows a success message box with the title 'Success'. The text inside reads: 'You have successfully uploaded and published the Transfer Agent 17Ad-16 Notice to the DTCC system. Please retain a copy of the Transfer Agent 17Ad-16 Notice submitted for your records.' At the bottom of the box, there are two buttons: 'View Submissions' and 'Exit'.

When **View Submissions** is clicked, a table opens showing all your TA notice submissions. You may print this information or create a downloadable Excel or PDF file by clicking the **PDF** or **Excel**.

**DTCC** | Issuer Agent Portal

**View Submission**  
Please retain a copy of the Transfer Agent 17Ad-16 Notices submitted for your records.

Search by CUSIP

Input Form	Single Issue/Multi Issue	CUSIP	Issuer Name	Issue Description	Effective Date	Agent Name	Contact Name
Other Agent Notices	Single CUSIP	666666AD4	Best Issue	New World Unlimited	2024-01-08	Best Agent	Kimberly Liu

Displaying 1 - 500 of 1 Show 500 per page

Once submitted successfully, you will receive an email with a link to download a spreadsheet showing your submission details. The link may be accessed for up to 7 days. The email will be sent to the contact email you provided.

**Confirmation of TA Notice Submission to DTC**

NoReplyTANotices@dtcc.com  
To: CSmith@best.agent.com  
Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 1/1/2029

Reply Reply All Forward

Wed 1/3/2024 12:13 PM

**Dear User,**

Thank you for your recent TA Notice(s) submission. You have successfully published TA Notice(s). Please find the exported file at [Download Link](#). This link is valid only for 7 days.

**Please do not reply to this email as this is not a monitored mailbox.**

To continue adding another notice, repeat the procedure to [obtain a verification code](#) to access the Issuer Agent Portal.

# Data Dictionary & Tool Tips

For detailed instructions on how to fill out the spreadsheet, refer to the Data Dictionary provided on the Form Input page. Click the **Download** link.

The screenshot displays the DTCC Issuer Agent Portal interface for submitting Transfer Agent (TA) Notices. The page title is "Transfer Agent 17Ad-16 Notices" and the section is "Notice Details". A progress bar shows three steps: "Contact Information" (completed), "Notice Details" (current), and "Review & Submit".

**Contact Information**

Name	Business Email	Phone
Chris Smith	CSmith@best.agent.com	+1 212-555-1234

[Click Here for Guidance when Selecting the Notice Type below](#)  
Please click to better understand which type of TA Notice you would like to submit

**Form Input** ⓘ

\* Indicates a required field

Please complete the fields below.

Select input form.

New Issue / Closing Memo  TA Change  TA Contact Information Change  Other Agent Notices ⓘ

Select FAST or NON-FAST \*

FAST  NON-FAST

Select Single CUSIP or Multiple CUSIP \*

Single CUSIP  Multiple CUSIP

✔ File has been uploaded successfully

TA-Upload-TA Change for Brand Ne... 🗑️

[Upload File](#) or Drag and Drop Files to Upload

Please refer the following document Data Dictionary/CUSIP template


- [TA Notice Data Dictionary](#) [Download](#)
- [Excel Template for Multi Issue Upload](#) [Download](#)
- [CSV Template for Multi Issue Upload](#) [Download](#)

The Data Dictionary shows you examples of the possible input values for each field and explains why the field is important.



### 17Ad-16 Transfer Agent Notices (TA Notices) DATA DICTIONARY


Data Element	Field Definition	What Data Is Needed?	Required For Submission Through DTCC	Why This Field Is Important to Be Input
CUSIP	A CUSIP is a security identifier issued by CUSIP Global Services and is composed of nine alphanumeric characters	Nine-digit alphanumeric security ID	No	The CUSIP is a critical field that identifies to the investor community which specific security is being communicated upon
Issuer Name	Entity that has issued securities into the marketplace	Issuer Name	Yes	Issuer name allows for identification of the security undergoing an update
Issue Description	Description of specific securities that are subject to Agent change	Issue description	Yes	Issue description provides the identifying details for the security
Effective Date	Date the TA change is reflected in the market	Date (mm/dd/yyyy)	Yes	This is the date DTCC will effectuate the change in DTCC systems
Agent Detail	The type of service that the agent is performing	Choose 1 or more: TA - Transfer Agent RA - Redemption Agent PA - Paying Agent DDA - Dividend Disbursement Agent Trustee	Yes / No	DTCC needs to be aware of all the changes to the CUSIP that are occurring through this form submission

The Form Input section provides **Tool Tip Help** icons next to each field which provide a brief explanation of that field. To view a Tool Tip, hover the cursor over the **Tool Tip Help**  icon.

Agent Detail\*

Select All that Apply ▲

TA - Transfer Agent  
 RA - Redemption Agent  
 PA - Paying Agent  
 DDA - Dividend Disbursement Agent  
 Trustee  
 Other

 Select all that apply and fill the Agent Number in the fields that appear next to Agent Details after selecting them.

# ADDITIONAL HELP

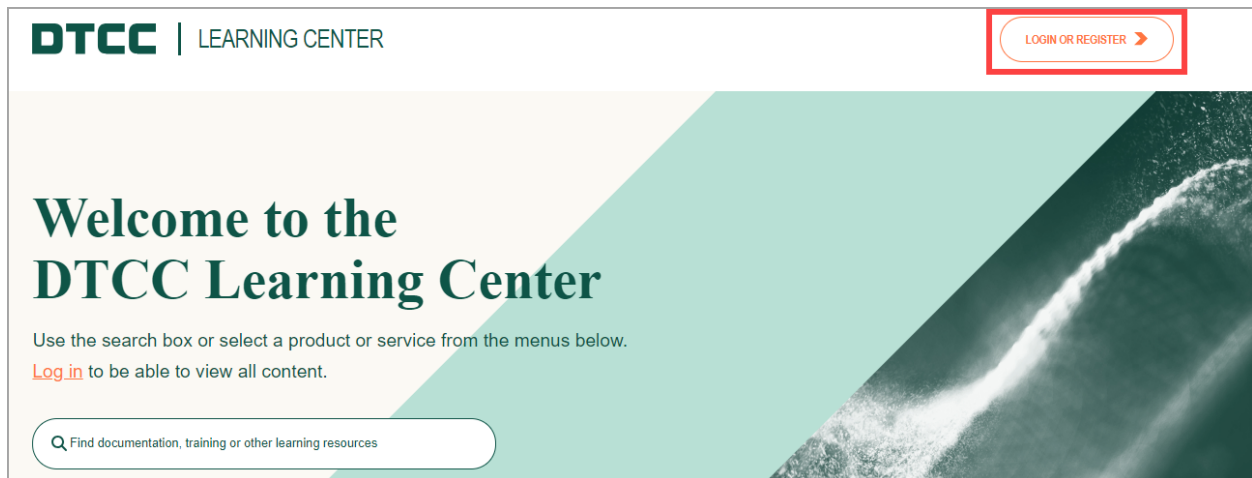
For additional help beyond this job aid, please use the Client Support phone numbers below:

1. United States Clients: +1-888-382-2721
2. International Clients: +212-855-8099

You can also find helpful resources and information at the DTCC Client Center website located [here](#).

You may find additional client learning resources related to Issuer Agent Portal, [LENS](#), and [Issuer Services](#) at [DTCCLearning.com](#). A login is required for DTCC Learning access.

To Register for [DTCCLearning.com](#), click the **Login or Register** button on the top right of the page as shown below. You may login with your existing [MyDTCC](#) portal ID and / or request your own DTCC Learning login. Clients are generally granted access within 24 hours.



The screenshot shows a login and registration interface for the DTCC Learning account. On the left, under the heading "Login with your DTCC Portal ID", users are instructed to "Select portal most applicable to you." Two options are listed: "MYDTCC (PORTAL.DTCC.COM)" and "DTCC EMPLOYEE (PORTAL.DTCC.ORG)", each with a right-pointing arrow. A central "OR" button separates this from the email login section. The "Login with your email" section prompts users to "Use your DTCC Learning account" and features input fields for "@ Business Email" and "Password". A "Reset Password" link is located below the password field. A dark green "LOG IN" button with a right-pointing arrow is positioned below the input fields. Below the login section, the "Not Registered?" section encourages users to register for a DTCC Learning Center account to access more content, customize their experience, bookmark content, and enroll in courses. A dark green "CREATE ACCOUNT" button with a right-pointing arrow is located below this text. At the bottom right, there are links for "Need Help?" and "Privacy Policy".

## For More Information

For more information about how to communicate Transfer Agent 17Ad-16 notices as an agent, trustee or issuer please click here [IAPTtestingInquiries@dtcc.com](mailto:IAPTtestingInquiries@dtcc.com).



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**Doc Date:** February 29, 2024

**Publication Code:** ISS108

**Service:** Issuer Agent Services

**Title:** Issuer Agent Portal - Submitting Transfer Agent 17Ad-16 Notices

## For More Information

Email DTCC Learning at:

[CoreLearning@dtcc.com](mailto:CoreLearning@dtcc.com)

or visit us on the web at:

[www.dtccllearning.com](http://www.dtccllearning.com)

