



Issuer Agent Services

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

MAY 20, 2025

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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 notice categories – Legal, Tax 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. 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 page](#).

Overview of the Transfer Agent 17Ad-16 Notices Page

Issuers, trustees, and agents can navigate to the [Transfer Agent 17Ad-16 Notices page](#) via [DTCC.com](#). The Transfer Agent 17Ad-16 Notices 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.

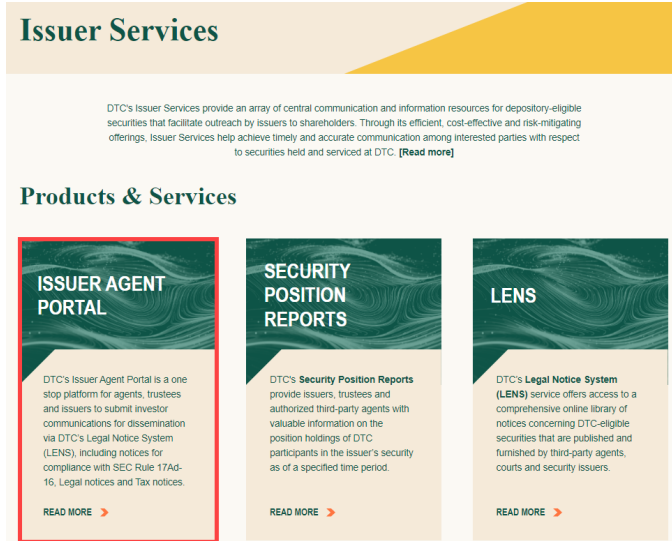
The existing client-facing LENS system is unchanged and continues to provide access to an easy-to-read PDF identifiable by CUSIP.

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

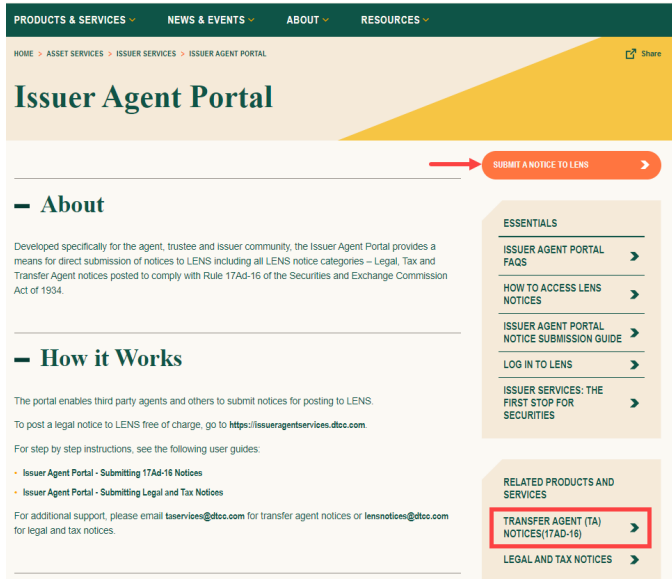
- Transfer Agent Notice Data Dictionary with Definitions and Field Values
- Transfer Agent Notice Excel & CSV Templates
- Transfer Agent Notice Fact Sheet
- Transfer Agent Notice Help Icon
- DTC Operational Arrangements

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.



Tip

To access the Issuer Agent Portal App, click **Submit a Notice to LENS** on the top right of the Issuer Agent Portal page displayed above.

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/>

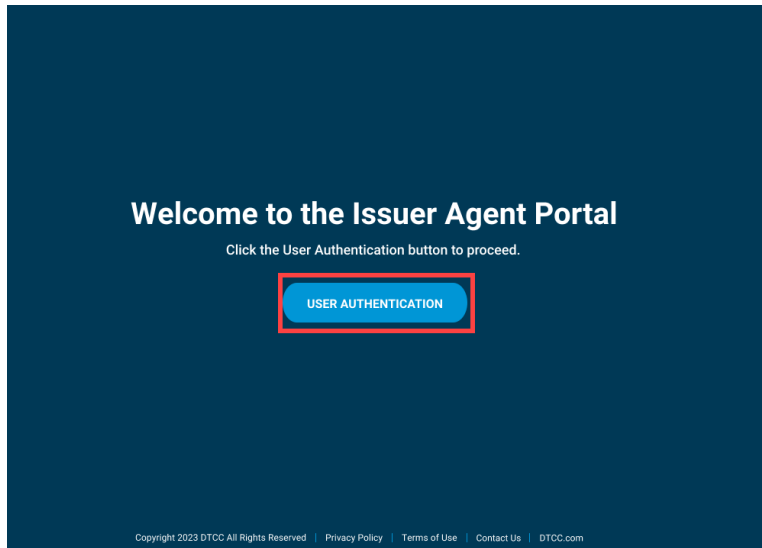
To navigate from the DTCC.com website, see [Navigating to the Transfer Agent TA Notices \(17Ad-16\)](#) above.

Obtaining a Verification Code by Providing Contact Information

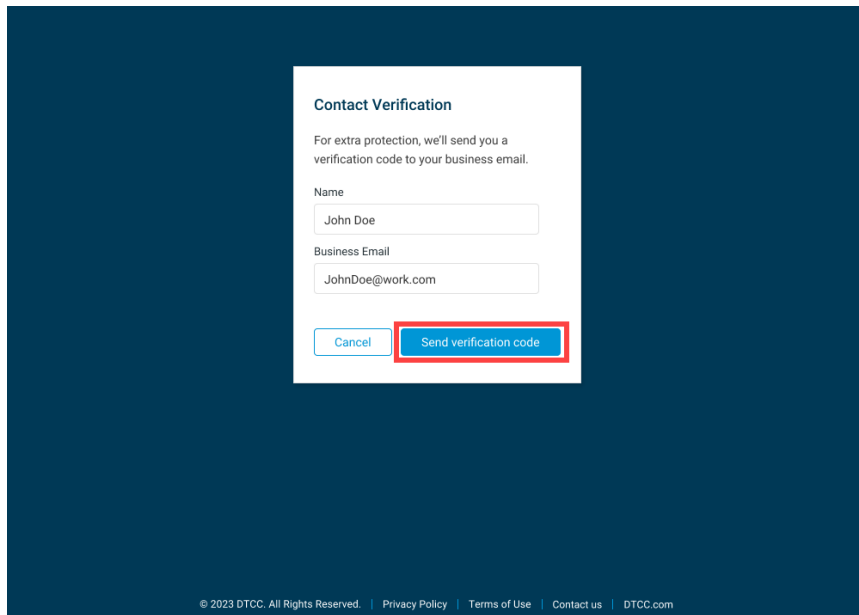
Upon arriving at the landing page, you must provide business contact information for verification purposes. This contact information may also be used for any future inquiries concerning processed TA 17Ad-16 notices.

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

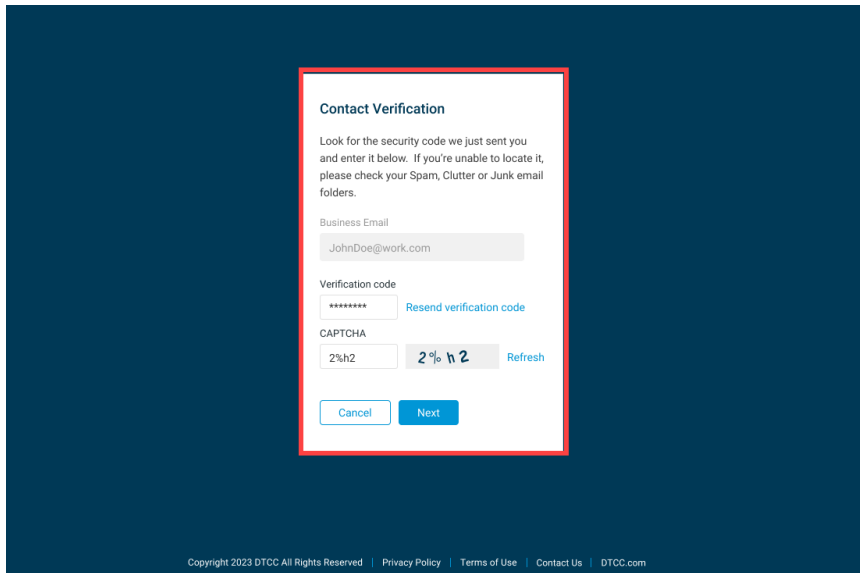
1. To enter your Contact Information, click **User Authentication** on the Issuer Agent Portal landing page.



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.



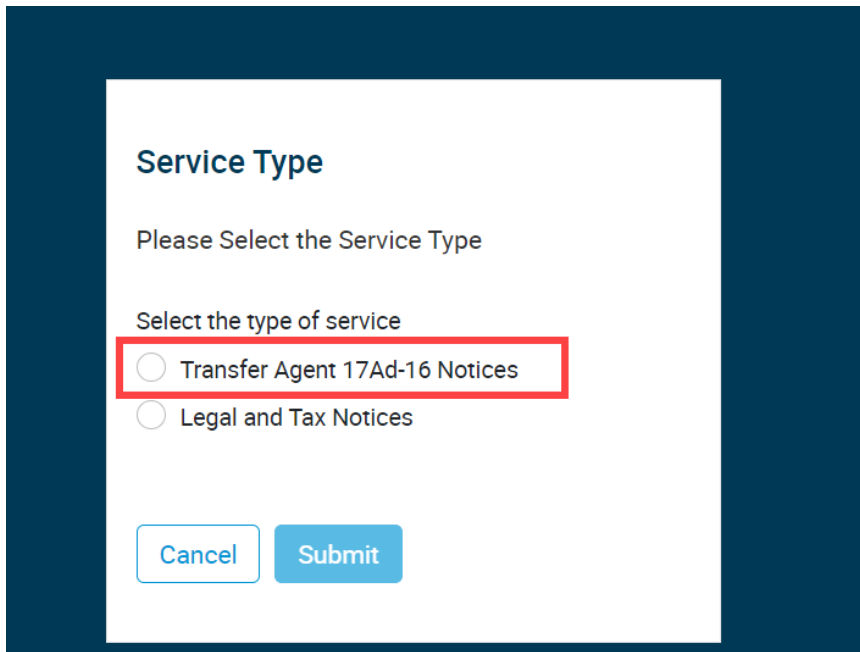
3. Enter the verification code that was sent to your business email in the **Verification Code** field. If you are unable to locate the verification code, please check your Spam, Clutter, or Junk email folders. If you are still unable to retrieve the verification code, please double check that you have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



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**.



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

The screenshot shows the 'Transfer Agent 17Ad-16 Notices' form in the DTCC Issuer Agent Portal. The form is titled 'Contact Information' and has a progress bar with three steps: 1. Contact Information (active), 2. Notice Details, and 3. Review & Submit. The form fields include: Name (Delia Smith), Business Email (dsmith@best.agent.com), Phone (+1 2125551212), and Submitting Transfer Agent (Best Agent). A 'Next' button is highlighted with a red box.

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 17Ad-16 changes such as, Mutual Fund memoranda or ineligible security notices. Please do not submit Corporate Action; Void; Null; Worthless

Securities notice types here. For guidance, please refer to Operational Arrangements link here <https://www.dtcc.com/-/media/Files/Downloads/legal/issue-eligibility/eligibility/operational-arrangements.pdf>

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


Notice Title *

State of New Jersey, Bridge Development Bonds, Notice of Distribution ⓘ

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 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

 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. Enter a **Notice Title** - Enter up to 600 characters. As a best practice please structure the Notice Title to include information in this order: Issuer Name, Security Name, Notice Type, and Description. The information you enter here will appear in the LENS **Description** field. LENS users may search for the Notice Description via the LENS keyword search to locate a notice. For this reason, it is important to create a good description of the notice here so that it is findable later in LENS.

Important

The greater than >, less than <, and parentheses () characters are not permitted in the Notice Title field.

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

Notice Title *

State of New Jersey, Bridge Development Bonds, Notice of Distribution ⓘ

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](#)

Notice Title Example: Sierra Metals Inc Common Stock Change to Transfer Agent

Notice Title Example: Bluebird Credit Company Convertible Preferred TA Assumption Notification

- 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.
 - If you uploaded multiple issues and/or CUSIPs via the spreadsheet option, then the CUSIP, Issuer Name, and Issue Description fields are greyed out and do not require re-entry here because they are already in the template you uploaded.
 - If you are unsure of the Effective Date, click the TBD checkbox.
 - Select an agent type from the **Agent Detail** drop-down. Please note that entry of the TA number is optional here but required in the Transfer Agent Details section.

Security Details

CUSIP *
666666AD4 ⓘ

Issuer Name *
Best Issuer ⓘ

Issue Description *
Global Growth LTD ⓘ

Effective Date *
04/24/2024 ⓘ
 TBD

Agent Detail *
TA ⓘ

TA # 64378

[Clear All Fields](#)

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

Transfer Agent Details

Transfer Agent Name *	Transfer Agent Address *	Transfer Agent Number *
Best Agent	12 Porterhouse Rd, Jersey City, NJ 06532	64378
FIN # (Financial Industry Number Standard) *		
12345		

[Clear All Fields](#)

[Back](#) [Next](#)

- 6. Click **Next**.
- 7. 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

Please review the information provided.

Contact Information

Name	Business Email	Phone
Chris Smith	chris@dtcc.com	+1 212-555-1212

Notice Details

Form Input

Issue Form	CUSIP	Single CUSIP/Multiple CUSIP
New Issue / Closing Memo	Yes	Single CUSIP
Notice Title		
State of New Jersey Bridge Development Bonds, Notice of Distribution		

Security Details

CUSIP	Issuer Name	Issue Description
666666A04	Best Issuer	Global Growth LTD
Effective Date	Agent Detail	TA #
2024-10-24	TA	64378

Transfer Agent Details

Transfer Agent Name	Transfer Agent Address	Transfer Agent Number
Best Agent	12 Porterhouse Rd, Jersey City, NJ 06532	64378
FIN # (Financial Industry Number Standard)		
12345		

I hereby acknowledge DTCC's [Terms and Conditions](#).

[Submit](#)

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- 8. To accept the terms and conditions, click the check box.

I hereby acknowledge DTCC's [Terms and Conditions](#).

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

DTCC Issuer Agent Portal

Please review the information provided

Contact Information

Name	Business Email	Phone
Chris Smith	khance@dtcc.com	+1 212 555 1212

Notice Details

Form Input

Input Form	CUSIP	Single CUSIP/Multiple CUSIP
New Issue / Closing Memo	Yes	Single CUSIP
Notice Title		
State of New Jersey Bridge Development Bonds, Notice of Distribution		

Security Details

CUSIP	Issuer Name	Issue Description
666666A04	Best Issuer	Global Growth LTD
Effective Date	Agent Detail	TA #
2024-10-24	TA	64378

Transfer Agent Details

Transfer Agent Name	Transfer Agent Address	Transfer Agent Number
Best Agent	12 Portershouse Rd, Jersey City, NJ 06532	64378
FINS # (Financial Industry Number Standard)		
12345		

I hereby acknowledge DTCC's [Terms and Conditions](#)

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**. Otherwise, click **Submit and Exit**.

Note: When the **Enter Another Transfer Agent 17Ad-16 Notice** option is selected, an email confirmation will be sent for the previous successfully submitted notice. (Meaning you will receive an email for each successfully submitted notice.) When submissions are completed, you must click **Submit and Exit** in order to receive the email confirmation for the last submitted notice.

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 click **Submit and Exit**, a final success message displays. To view and download all the submitted notices you entered during this session, click **View Submissions**. Otherwise, click **Exit**.

Success

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.

[View Submissions](#) [Exit](#)

When **View Submissions** is clicked, a table opens showing all your notice submissions with a date and time stamp. You may download an Excel spreadsheet or PDF file by clicking the **PDF** or **Excel** icon.

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

Search by CUSIP

Input Form	FAST/NON-FAST	Single Issue/Multi Issue	Notice Title	CUSIP	Issuer Name	Issue Description	Effective Date	Agent Detail	TA #
New Issue / Closing Memo		Single CUSIP	State of New Jersey, Bridge Development Bonds,	66666AD4	Best Issuer	Global Growth LTD	2024-10-24	TA	64378

Displaying 1 - 1 of 1

PDF 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	FAST/NON-FAST	Single Issue/Multi Issue	CUSIP	Issuer Name	Issue Description	Effective Date	Ag
New Issue		Single Cusip	66666AD4	Best Issuer	Global Growth LTD	2024-01-03	TA

Displaying 1 - 500 of 1 Show 500 per page

PDF Excel

Once submitted successfully, you will receive an email showing your submission details. The email will be sent to the contact email address you provided upon log in.

Confirmation of TA Notice Submission to DTC

 NoReplyTANotices@dtcc.com
 To: csmith@bestagent.com

Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 10/23/2029

[If there are problems with how this message is displayed, click here to view it in a web browser.](#)

Dear User,

Thank you for your recent TA Notice(s) submission. You have successfully published TA Notice(s). Details in the table below apply to CUSIPs / Issuer Names submitted.

Input Form	New Issue / Closing Memo
FAST/NOH-FAST	
Single CUSIP/Multiple CUSIP	Single CUSIP
Notice Title	State of New Jersey, Bridge Development Bonds, Notice of Distribution
CUSIP	666666AD4
Issuer Name	Best Issuer
Issue Description	Global Growth LTD
Effective Date	2024-10-24
Agent Detail	[[TA]]
TA#	64378
RA#	
PA#	
DDA#	
Trustee#	
Other	
Successor Transfer Agent Name	Best Agent
Successor Transfer Agent Address	12 Porterhouse Rd, Jersey City, NJ 06532
FINS#	12345
Successor Transfer Agent Number	64378
Successor Agent Telephone Number	
Successor Agent Email	

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.

The screenshot shows the 'Form Input' section of the DTCC Issuer Agent Portal. The header includes the DTCC logo and 'Issuer Agent Portal'. Below the header, there is a section titled 'Form Input' with a help icon. A note states '* Indicates a required field'. The main instruction is 'Please complete the fields below.' There are three selection sections: 'Select input form.' with radio buttons for 'New Issue / Closing Memo', 'TA Change' (selected), 'TA Contact Information Change', and 'Other Agent Notices'; 'Select FAST or NON-FAST' with radio buttons for 'FAST' (selected) and 'NON-FAST'; and 'Select Single CUSIP or Multiple CUSIP' with radio buttons for 'Single CUSIP' (selected) and 'Multiple CUSIP'. A 'Notice Title' field contains the text 'State of New Jersey, Bridge Development Bonds, Notice of Distribution'. To the right, there is a section titled 'Please refer to the following Data Dictionary and use the templates provided for upload.' with three download links: 'TA Notice Data Dictionary', 'Excel Template for Multi Issue Upload', and 'CSV Template for Multi Issue Upload'.

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

This is a close-up of the 'Select FAST or NON-FAST' selection options. It shows the text 'Select FAST or NON-FAST' followed by a red asterisk. Below the text are two radio buttons: 'FAST' (selected) and '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

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.

4. Enter a **Notice Title** - Enter up to 600 characters. As a best practice please structure the Notice Title to include information in this order: Issuer Name, Security Name, Notice Type, and Description. The information you enter here will appear in the LENS **Description** field. LENS users may search for the Notice Description via the LENS keyword search to locate a notice. For this reason, it is important to create a good description of the notice here so that it is findable later in LENS.

Important

The greater than >, less than <, and parentheses () characters are not permitted in the Notice Title field.

Notice Title *

State of New Jersey, Bridge Development Bonds, Notice of Distribution

Notice Title Example: Sierra Metals Inc Common Stock Change to Transfer Agent

Notice Title Example: Bluebird Credit Company Convertible Preferred TA Assumption Notification

5. 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 uploaded multiple issues and/or CUSIPs via the spreadsheet option, then the CUSIP, Issuer Name, and Issue Description fields are greyed out and do not require re-entry here because they are already in the template you uploaded.
 - Select an agent type from the **Agent Detail** drop-down. Please note that entry of the TA number is optional here but required in the Transfer Agent Details sections.

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

The screenshot shows a 'Security Details' form with the following fields and values:

- CUSIP***: 666666AD4
- Issuer Name***: Best Issuer
- Issue Description***: Global Growth LTD
- Effective Date***: 10/29/2024
- Agent Detail***: x TA
- TA #**: 82365
- TBD**:

6. Choose the Agent type that your firm represents for this security activity. If your firm is assuming new business for this activity, click **Successor**. If your firm is terminating activities as agent, click **Terminating**.

Choose Service Type

Successor Terminating

7. If you know the counter agent's contact information, click **Known** and enter the contact information in your section and the counter agent's section. Required fields are marked with an * asterisk.
8. If you do not know the counter agent's contact information, click **Unknown** and in addition to entering your own contact information, enter the required information in your counter agent's section as described below.
 - Scenario 1: I am the successor agent and do not know the terminating agent's contact information. Action: enter your contact information and enter the **Terminating Agent Name** in the Terminating Agent section.
 - Scenario 2: I am the terminating agent and do not know the successor agent's contact information. Action: enter your contact information and enter the **Issuer Details** in the Successor Agent section.
9. When you have completed the Successor and Terminating Transfer Agent information sections, click **Next**.
10. 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.

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Security Details

CUSIP 666666A04	Issuer Name Best Issuer	Issue Description Global Growth LTD
Effective Date 2024-10-29	Agent Detail TA	TA # 82365

Successor Transfer Agent Details

Transfer Agent Name New Eclipse Agent	Transfer Agent Address 411 Enfield Rd., Orland Park 63276	Transfer Agent Number 67543
FINIS # (Financial Industry Number Standard) 54321		
Transfer Agent Contact Details		
Telephone Number +1 570-555-1212	Email seenglish@eclipse.agents.com	Contact Person Susan English
Issuer Details		
Issuer Contact Name	Issuer Address	

Terminating Transfer Agent Details

Transfer Agent Name Best Agent	Transfer Agent Address 13 Portenhouse Rd, Jersey City, NJ 08532	Transfer Agent Number 64378
FINIS # (Financial Industry Number Standard) 12345		
Transfer Agent Contact Details		
Telephone Number +1 973-555-6789	Email jjonston@bestagent.com	Contact Person Jan Jonston

I hereby acknowledge DTCC's [Terms and Conditions](#).

Submit

11. To accept the terms and conditions, click the check box.



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

DTCC | Issuer Agent Portal

Security Details

CUSIP 666666A04	Issuer Name Best Issuer	Issue Description Global Growth LTD
Effective Date 2024-10-29	Agent Detail TA	TA # 82365

Successor Transfer Agent Details

Transfer Agent Name New Eclipse Agent	Transfer Agent Address 411 Enfield Rd., Orland Park 63276	Transfer Agent Number 67543
FINIS # (Financial Industry Number Standard) 54321		
Transfer Agent Contact Details		
Telephone Number +1 570-555-1212	Email seenglish@eclipse.agents.com	Contact Person Susan English
Issuer Details		
Issuer Contact Name	Issuer Address	

Terminating Transfer Agent Details

Transfer Agent Name Best Agent	Transfer Agent Address 13 Portenhouse Rd, Jersey City, NJ 08532	Transfer Agent Number 64378
FINIS # (Financial Industry Number Standard) 12345		
Transfer Agent Contact Details		
Telephone Number +1 973-555-6789	Email jjonston@bestagent.com	Contact Person Jan Jonston

I hereby acknowledge DTCC's [Terms and Conditions](#).

Submit

13. 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. Otherwise, click **Submit and Exit**.

Note: When the **Enter Another Transfer Agent 17Ad-16 Notice** option is selected, an email confirmation will be sent for the previously successfully submitted notice. (Meaning you will receive an email for each successfully submitted notice.) When submissions are completed,

you must click **Submit and Exit** in order to receive the email confirmation for the last submitted notice.

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 Agent17Ad-16 Notice
Submit and Exit

After you click **Submit and Exit**, a final success message displays. To view and download all the submitted notices you entered during this session, click **View Submissions**. Otherwise, click **Exit**.

Success

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.



View Submissions
Exit

When **View Submissions** is clicked, a table opens showing all your TA notice submissions with a date and time stamp. You may download an Excel spreadsheet or PDF file by clicking the **PDF** or **Excel** icon.


Input Form	FAST/Non-FAST	Single Issue/Multi Issue	Notice Title	CUSIP	Issuer Name	Issue Description	Effective Date	Agent Detail	TA #	RA #
Ta Change	FAST	Single CUSIP	State of New Jersey Bridge Development Bonds	66666A24	Best Issuer	Global Growth LTD	2018-10-29	TA	62855	

Once submitted successfully, you will receive an email showing your submission details. The email will be sent to the contact email address you provided upon log in.

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 10/28/2029

 If there are problems with how this message is displayed, click here to view it in a web browser.

Dear User,

Thank you for your recent TA Notice(s) submission. You have successfully published TA Notice(s). Details in the table below apply to CUSIPs / Issuer Names submitted.

Input Form	TA Change
FAST/NON-FAST	FAST
Single CUSIP/Multiple CUSIP	Single CUSIP
Notice Title	State of New Jersey, Bridge Development Bonds, Notice of Distribution
CUSIP	66666AD4
Issuer Name	Best Issuer
Issue Description	Global Growth LTD
Effective Date	2024-10-29
Agent Detail	[[TA]]
IAR#	82900
RA#	
PA#	
DDA#	
Trustee#	
Other	
Successor Transfer Agent Name	New Eclipse Agent
Successor Transfer Agent Address	411 Enfield Rd., Orelan Pa 43276
FINS#	54321
Successor Transfer Agent Number	67543
Successor Agent Telephone Number	+1 570-555-1212
Successor Agent Email	senglish@eclipse.agents.com
Successor Agent Contact Person	Susan English

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. Enter a **Notice Title** - Enter up to 600 characters. As a best practice please structure the Notice Title to include information in this order: Issuer Name, Security Name, Notice Type, and Description. The information you enter here will appear in the LENS **Description** field. LENS users may search for the Notice Description via the LENS keyword search to locate a notice. For this reason, it is important to create a good description of the notice here so that it is findable later in LENS.

Important

The greater than >, less than <, and parentheses () characters are not permitted in the Notice Title field.

Notice Title *

State of New Jersey, Bridge Development Bonds, Notice of Distribution

i

Notice Title Example: Sierra Metals Inc Common Stock Change to Transfer Agent

Notice Title Example: Bluebird Credit Company Convertible Preferred TA Assumption Notification

3. 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 the DTCC logo and 'Issuer Agent Portal'. Below the header, there are instructions to complete fields and a link to a Data Dictionary. The main form is titled 'Transfer Agent Contact Information Change' and contains several required fields marked with an asterisk and an information icon (i):

- Transfer Agent Updated Name ***: Best Agent
- Telephone Number ***: +1 2125551212
- FINS # (Financial Industry Number Standard) ***: 12345
- Transfer Agent Updated Address ***: 12 Portenhouse Rd, Jersey City, NJ 06532
- Mailing Address For Physical Certs ***: 16 Longdrive Rd, Jersey City, NJ
- Contact Name**: Chris Smith
- Contact Email**: csmith@bestagent.com

At the bottom of the form, there are 'Back' and 'Next' buttons. The 'Next' button is highlighted in red. There is also a 'Clear All Fields' link in the bottom right corner.

4. Click **Next**.
5. 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

Please review the information provided.

Contact Information

Name Chris Smith	Business Email csmith@bestagent.com	Phone +1 212-555-1212
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Notice Details

Form Input

Input Form
TA Contact Information Change

Notice Title
State of New Jersey, Bridge Development Bonds, Notice of Distribution

Transfer Agent Contact Information Change

Transfer Agent Updated Name Best Agent	Telephone Number +1 212-555-1212	FINS # (Financial Industry Number Standard) 12345
Transfer Agent Updated Address 12 Portehouse Rd., Jersey City, NJ 06532	Mailing Address For Physical Certs 16 Longdrive Rd., Jersey City,	Contact Name Chris Smith
Contact Email csmith@bestagent.com		

I hereby acknowledge DTCC's [Terms and Conditions](#)

Submit

- To accept the terms and conditions, click the check box.



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

DTCC | Issuer Agent Portal

Review & Submit

Please review the information provided.

Contact Information

Name Chris Smith	Business Email csmith@bestagent.com	Phone +1 212-555-1212
----------------------------	---	---------------------------------

Notice Details

Form Input

Input Form
TA Contact Information Change

Notice Title
State of New Jersey, Bridge Development Bonds, Notice of Distribution

Transfer Agent Contact Information Change

Transfer Agent Updated Name Best Agent	Telephone Number +1 212-555-1212	FINS # (Financial Industry Number Standard) 12345
Transfer Agent Updated Address 12 Portehouse Rd., Jersey City, NJ 06532	Mailing Address For Physical Certs 16 Longdrive Rd., Jersey City,	Contact Name Chris Smith
Contact Email csmith@bestagent.com		

I hereby acknowledge DTCC's [Terms and Conditions](#)

Submit

- A success message displays. To view and download the submitted notice, click **View Submissions**. Otherwise, click **Exit**.

Success

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.

View Submissions
Exit

When **View Submissions** is clicked, a table opens showing all your TA notice submissions. You may download an Excel spreadsheet 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.

PDF Excel

Search by FINS #

Input Form	Notice Title	Transfer Agent Updated Name	Telephone Number	FINS #	Transfer Agent Updated Address	Mailing Address For Physical Certs	Contact Name
TA Contact Information Change	State of New Jersey, Bridge Development Bonds, Best, Agent	Best, Agent	+1 212-555-1212	12345	12 Porterhouse Rd, Jersey City, NJ 06532	16 Longdrive Rd, Jersey City,	Chris Smith

1 total

Once submitted successfully, you will receive an email showing your submission details.

Confirmation of TA Notice Submission to DTC

NoReplyTANotices@dtcc.com
To: csmith@bestagent.com

Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 10/29/2029

ⓘ If there are problems with how this message is displayed, click here to view it in a web browser.

Dear User,

Thank you for your recent TA Notice(s) submission. You have successfully published TA Notice(s). Details in the table below apply to CUSIPs / Issuer Names submitted.

Input Form	TA Contact Information Change
Notice Title	State of New Jersey, Bridge Development Bonds, Notice of Distribution
Transfer Agent Updated Name	Best, Agent
Telephone Number	+1 212-555-1212
FINS#	12345
Transfer Agent Updated Address	12 Porterhouse Rd, Jersey City, NJ 06532
Mailing Address For Physical Certs	16 Longdrive Rd, Jersey City,
Contact Name	Chris Smith
Contact Email	csmith@bestagent.com
Created Date/Time(UTC)	2024-10-30 14:23:30.267493
Submission Date/Time (UTC)	2024-10-30 14:54:00.975927

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. Please do not submit Corporate Action; Void; Null; Worthless Securities notice types here. For guidance, please refer to Operational Arrangements link [here](#).

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.

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.

3. Enter a **Notice Title** - Enter up to 600 characters. As a best practice please structure the Notice Title to include information in this order: Issuer Name, Security Name, Notice Type, and Description. The information you enter here will appear in the LENS **Description** field. LENS users may search for the Notice Description via the LENS keyword search to locate a notice. For this reason, it is important to create a good description of the notice here so that it is findable later in LENS.

Important

The greater than >, less than <, and parentheses () characters are not permitted in the Notice Title field.

Notice Title *

State of New Jersey, Bridge Development Bonds, Notice of Distribution

i

Notice Title Example: Sierra Metals Inc Common Stock Change to Transfer Agent

Notice Title Example: Bluebird Credit Company Convertible Preferred TA Assumption Notification

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.
 - If you are unsure of the Effective Date, click the TBD checkbox.

Collapse All

Security Details

CUSIP <input style="width: 90%;" type="text" value="666666AD4"/>	Issuer Name* <input style="width: 90%;" type="text" value="Best Issue"/>	Issue Description* <input style="width: 90%;" type="text" value="New World Unlimited"/>
Effective Date* <input style="width: 90%;" type="text" value="10/30/2024"/>	Agent Name* <input style="width: 90%;" type="text" value="Best Agent"/>	

TBD

Clear All Fields

5. 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.

9. 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, there is a header with the DTCC logo and 'Issuer Agent Portal'. Below the header, the page is titled 'Notice Details' with a checkmark icon. Underneath, there is a 'Form Input' section. This section includes an 'Input Form' with a dropdown menu set to 'Single CUSIP/Multiple CUSIP', and another dropdown set to 'Single CUSIP'. Below that is the 'Notice Title' field, which contains the text 'State of New Jersey Bridge Development Bonds, Notice of Distribution'. The form is divided into three main sections: 'Security Details', 'Contact Details', and a 'Description of Notice'. The 'Security Details' section contains fields for 'CUSIP' (666666AD4), 'Effective Date' (2024-10-30), 'Issuer Name' (Best Issue), 'Agent Name' (Best Agent), and 'Issue Description' (New World Unlimited). The 'Contact Details' section contains fields for 'Contact Name' (Kimberly Liu), 'Contact Email' (kliu@best.agent.com), and 'Contact Phone' (+1 212-555-1212). Below these sections is a 'Description of Notice' with a detailed paragraph about legal CUSIP name changes for three funds, effective 10-30-2024. At the bottom of the form, there is a checkbox labeled 'I hereby acknowledge DTCC's Terms and Conditions' and a red 'Submit' button.

10. 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**. Otherwise, click **Submit and Exit**.

Note: When the **Enter Another Transfer Agent 17Ad-16 Notice** option is selected, an email confirmation will be sent for the previous successfully submitted notice. (Meaning you will receive an email for each successfully submitted notice.) When submissions are completed, you must click **Submit and Exit** in order to receive the email confirmation for the last submitted notice.

The screenshot shows a success message box with a blue header that says 'Success'. The main text 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: a blue button labeled 'Enter Another Transfer Agent 17Ad-16 Notice' and a red button labeled 'Submit and Exit'.

After you click **Submit and Exit**, a final success message displays. To view and download all the submitted notices you entered during this session, click **View Submissions**. Otherwise, click **Exit**.

Success

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.

View Submissions
Exit

When **View Submissions** is clicked, a table opens showing all your notice submissions with a date and time stamp. Hover your mouse over the Description of Notice column to see the notice body. You may download an Excel spreadsheet or PDF file by clicking the **PDF** or **Excel** icon.

DTCC Issuer Agent Portal

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

ID	Agent Name	Contact Name	Contact Email	Contact Phone	Description Of Notice
1	Best Agent	Kimberly Liu	Kliu@best.agent.com	+1 212-555-1212	SUBMISSION FOR CHANGE IN LEGAL CUSIP NAME: Please note there is a change in Legal CUSIP name for 3 funds which are effective 10-30-2024. Details of the changes: For CUSIP 983456984: The existing legal CUSIP name Test Education Income Fund is getting changed to new name New Horizons Education Fund. For CUSIP 983456238: The existing legal CUSIP name Test SAI Low Duration Income Fund is getting changed to new name New Horizons SAI Low Duration Bond Fund. For CUSIP 983556986: The existing legal CUSIP name Test SAI Sustainable Low Duration Income Fund is getting changed to new name New Horizons SAI Sustainable Low Duration Bond Fund <small>SAMPLE for the Other Notice Type Input...</small>

Displaying 1 - 1 of 1

Once submitted successfully, you will receive an email showing your submission details. The email will be sent to the contact email address you provided upon log in.

Confirmation of TA Notice Submission to DTC

NoReplyTANotices@dtcc.com
To: kliu@best.agent.com
Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 10/29/2029
Wed 10/30/2024 12:15 PM

Dear User,

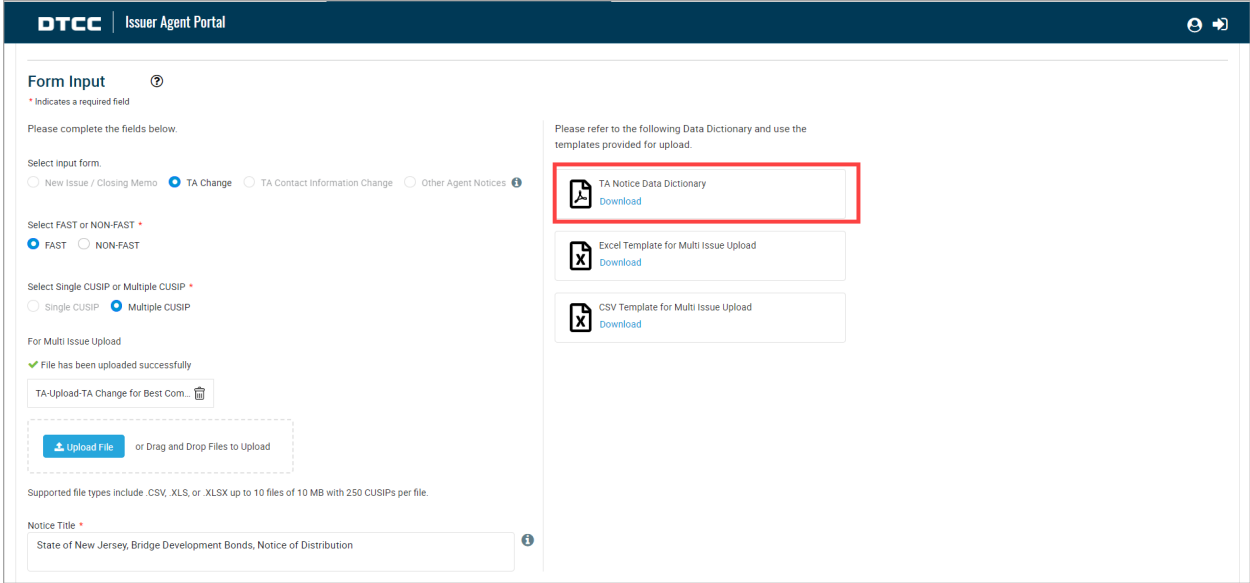
Thank you for your recent TA Notice(s) submission. You have successfully published TA notice(s). Details in the table below apply to CUSIP / Issuer Names submitted.

Input Form:	Other Agent Notices
Single CUSIP/Multipl e CUSIP	Single CUSIP
Notice Title	State of New Jersey, Bridge Development Bonds, Notice of Distribution
CUSIP	66666604
Issuer Name	Best Issue
Issuer Description	New World Unlimited
Effective Date	2024-10-30
Agent Name	Best Agent
Contact Name	Kimberly Liu
Contact Email	kliu@best.agent.com
Contact Phone	+1 212-555-1212
Description Of Notice	SUBMISSION FOR CHANGE IN LEGAL CUSIP NAME: Please note there is a change in Legal CUSIP name for 3 funds which are effective 10-30-2024. Details of the changes: For CUSIP 983456984: The existing legal CUSIP name Test Education Income Fund is getting changed to new name New Horizons Education Fund. For CUSIP 983456238: The existing legal CUSIP name Test SAI Low Duration Income Fund is getting changed to new name New Horizons SAI Low Duration Bond Fund. For CUSIP 983556986: The existing legal CUSIP name Test SAI Sustainable Low Duration Income Fund is getting changed to new name New Horizons SAI Sustainable Low Duration Bond Fund
Created Date/Time(UT C)	2024-10-30 15:40:28.23903
Submission Date/Time(UT C)	2024-10-30 16:14:28.165249

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 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.

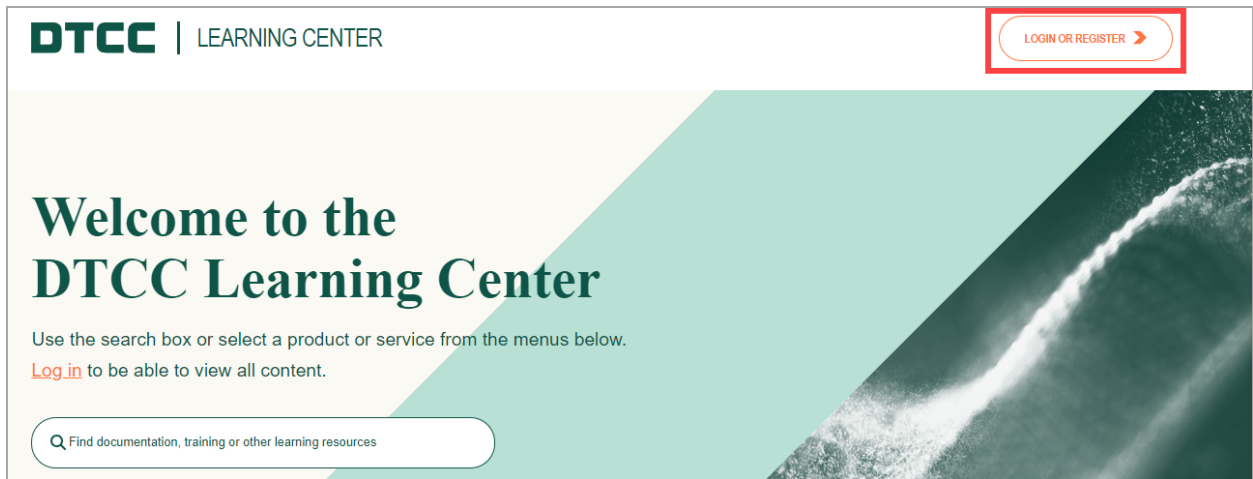
ADDITIONAL HELP

For additional help beyond this job aid, make use of the resources and information at the DTCC Client Center website located [here](#).

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.



Login with your DTCC Portal ID

Select portal most applicable to you.

MYDTCC (PORTAL.DTCC.COM) ➤

DTCC EMPLOYEE (PORTAL.DTCC.ORG) ➤

Login with your email

Use your DTCC Learning account

@ Business Email

Password

[Reset Password](#)

LOG IN ➤

Not Registered?

Register for a DTCC Learning Center account to get access to the most content available to you. Once logged in you can customize your experience to your products of interest, bookmark content, enroll in courses and more.

CREATE ACCOUNT ➤

[Need Help?](#) | [Privacy Policy](#)

OR

For More Information

For more information about how to communicate Transfer Agent 17Ad-16 notices as an agent, trustee or issuer please click here IAPTestingInquiries@dtcc.com.

For concerns with the submission of a Transfer Agent (TA) 17Ad-16 notice or if a notice needs to be removed from LENS, an email should be sent to the LensNotices@dtcc.com.

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Doc Date: May 20, 2025

Publication Code: ISS126

Service: Issuer Agent Services

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

For More Information

DTCC Client Center: www.dtcc.com/client-center

DTCC Learning Center: www.dtccllearning.com

