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# Issuer Agent Services

## ISSUER AGENT PORTAL - SUBMITTING LEGAL AND TAX NOTICES

MAY 20, 2025

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# ISSUER AGENT PORTAL - SUBMITTING LEGAL AND TAX 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.

## How the Issuer Agent Portal Works

Issuers, Agents, Trustees and other third-party partners input SEC Rule 17Ad-16, Legal and Tax notice details to DTC's Issuer Agent Portal via a public but secure web location, and upload any accompanying documents. From that input, the DTC system publishes 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](https://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 [Legal and Tax Notices page](#).

## Overview of the Legal and Tax Page

Issuers, trustees, and agents can navigate to the [Legal and Tax page](#) via [DTCC.com](https://dtcc.com). The Legal and Tax 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/>

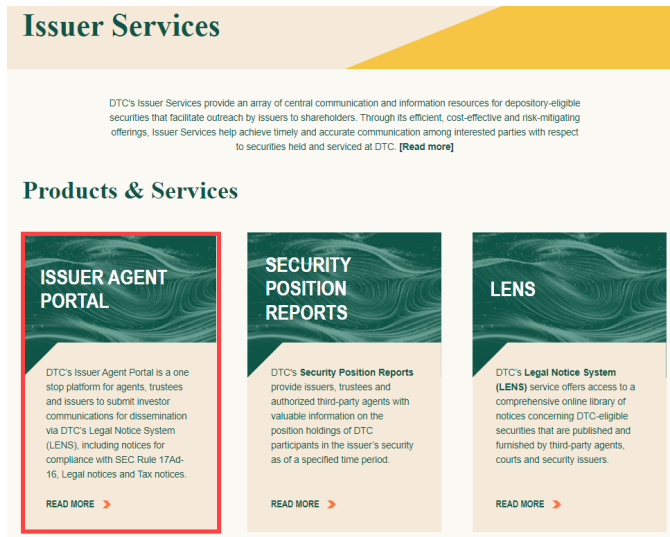
The existing client-facing LENS system is unchanged and continues to provide access to an easy-to-read PDF with the accompanying documentation, identifiable by CUSIP.

Individuals can access useful information on the **Legal and Tax page** or the app about Legal and Tax notices such as:

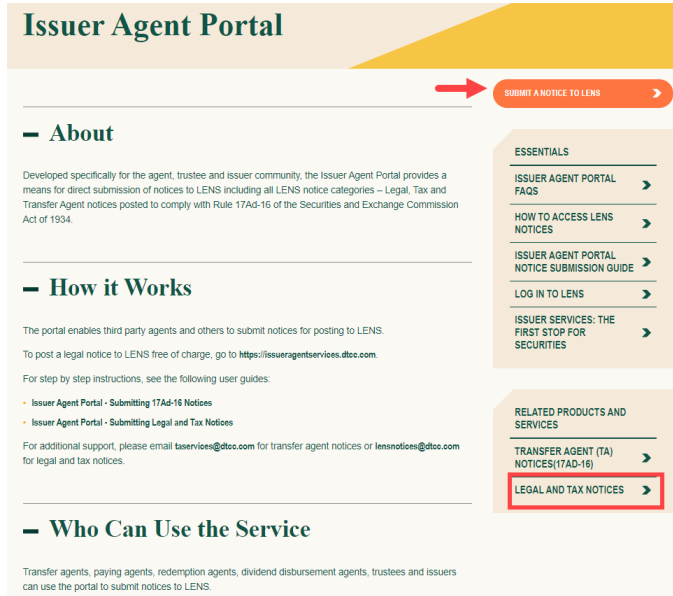
- Legal and Tax Notice Data Dictionary with Definitions and Field Values
- Legal and Tax Notice Excel & CSV Templates
- Legal and Tax Notice Fact Sheet
- Legal and Tax Help Icon

## Navigating to the Legal and Tax Page

1. From the DTCC.com **Issuer Services** page , click **Issuer Agent Portal**.



2. Click the **Legal and Tax Notices** 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 LEGAL AND TAX NOTICES

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 Legal and Tax information and enter or upload the associated affected CUSIP(s). After reviewing and accepting the terms, this information is made available as a Legal or Tax notice in the LENS application.

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

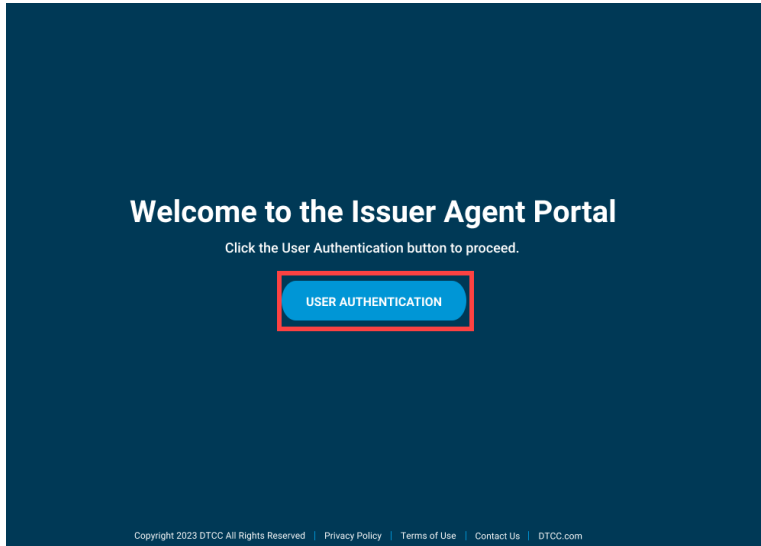
To navigate from the DTCC.com website, refer to [Navigating to the Legal and Tax page](#).

## Obtaining a Verification Code by Providing Contact Information

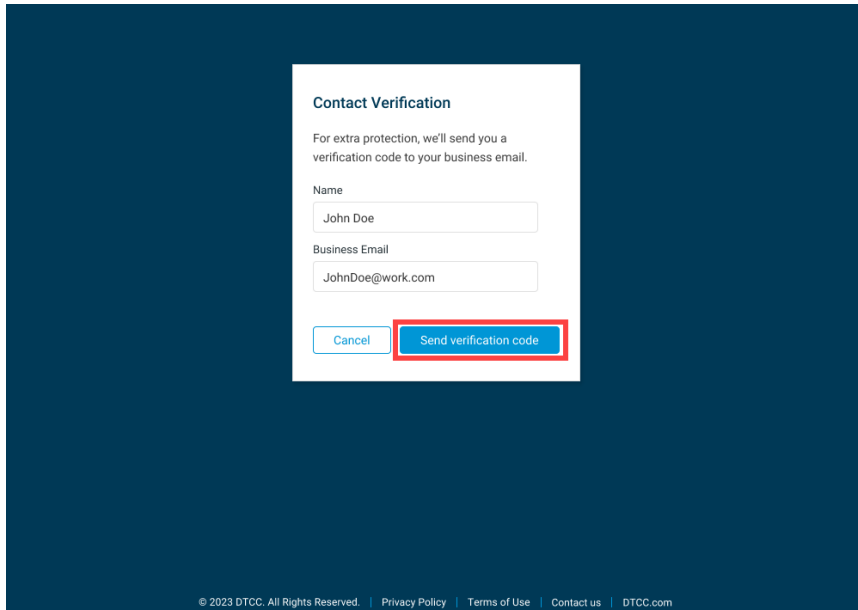
Upon arriving at the landing page, you must provide business contact information for verification purposes. This contact information may also be used for any future inquiries concerning processed Legal and Tax notices.

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**.

### 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  
JohnDoe@work.com

Verification code  
\*\*\*\*\* [Resend verification code](#)

CAPTCHA  
2%h2 2%h2 Refresh

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## Adding Legal and Tax 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. Select **Legal and Tax Notices** for Service Type and click **Submit**.

**Service Type**

Please Select the Service Type

Select the type of service

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**.

**Contact Information** ⓘ

Please complete the fields below.

Name

Business Email

Phone\*

Submitting Firm Name\*

## Uploading Your Documents and CUSIPs

Two areas of the Legal and Tax Input page allow you to upload your Legal or Tax documents as PDFs.

**Important:** Please note that Legal and Tax Notices must be submitted separately.

There is an option for multiple CUSIP upload. In case of uncertainty about what information is required to enter, the Legal and Tax Notice Data Dictionary as well as the Excel and CSV Multi-CUSIP Upload templates are provided.

**DTCC | Issuer Agent Portal**

**Legal and Tax Notices**

Notice Details

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

**Contact Information**

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

**Form Input**

Please complete the fields below.

Select input form:  
 Legal Notice  Tax Notice

Please Upload Your Legal Or Tax Document To LENS Using The Upload Function Below\*

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

Supported file types include: PDF up to 10 files with a maximum size of 30MB, not exceeding 100MB, can be attached.

Select Single CUSIP or Multiple CUSIP:  
 Single CUSIP  Multiple CUSIP

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

- [Legal and Tax Data Dictionary](#)
- [Excel Template for Multi Issue Upload](#)
- [CSV Template for Multi Issue Upload](#)

Upload any accompanying .PDF documents here. →

Upload Multiple CUSIPS here. →

Access Data Dictionary and CUSIP Upload templates here. →

1. Upload your Legal or Tax Documents: Click Upload File in the upper left area of the page and select the Legal or Tax PDF file(s) from your computer. Or you may drag the files over the Drag and Drop area. You may upload up to 10 .PDF files with a maximum size of 30 MB each, not exceeding 100 MB total.

**Important:** If you upload a single PDF that is greater than 30 MB, you will receive an error message.

**Example:** You may upload a 10 Mega Byte PDF, a 20 Mega Byte PDF, etc. until you reach 100 MB.

2. Upload the issues that the notice applies to.
  - 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 1 file with 1000 CUSIPs per file.
  - If this applies to only one issue, enter the CUSIP in the CUSIP field.

- A success message displays above the PDF file(s) you successfully uploaded. If you receive an error message, you can correct the error and re-upload the spreadsheet. Error messages appear at the top of the page and explain how to correct the upload.

✔ File has been uploaded successfully

## Filling Out Required Information Fields

After uploading your documents, fill out the \* required information in the **Legal or Tax Notice Details** and **Contact Information Details** sections.

**Note:** If you are uploading multiple CUSIPs, the CUSIP field will be greyed out. Other fields which are still required to fill out and are marked with an \* asterisk.

The screenshot shows a web form for submitting legal notices. At the top, there is a 'Notice Title' field with the text 'Best Bank Investment LTD Notes Notice of Refinancing of One or More Classes of Secured Notes'. Below this are two main sections: '1. Legal Notice Details' and '2. Contact Information Details'. In the 'Legal Notice Details' section, the 'CUSIP' field contains '666666AD4' and the 'Legal Notice Sub Type' dropdown is set to 'Notices to Security Holders'. The 'Contact Information Details' section includes fields for 'Contact Person or Group' (The Agent Trustee Group), 'Contact Email Address' (jbern@agenttrustee.com), and 'Contact Phone Number' (+1 2125551212). There are also 'Back' and 'Next' buttons at the bottom left, and 'Clear All Fields' links on the right of each section.

1. If the notice applies to only one CUSIP, click **Single CUSIP** and enter the 9-digit CUSIP.

Select Single CUSIP or Multiple CUSIP

Single CUSIP  Multiple CUSIP

### 1. Legal Notice Details

CUSIP\*

666666AD4

2. If this applies to multiple CUSIPs, select Multiple CUSIP and upload your CUSIPs using the CUSIP template provided to submit a CSV, XLS, or XLSX file. A success message will appear once the file has been successfully uploaded.

Select Single CUSIP or Multiple CUSIP

Single CUSIP  Multiple CUSIP

✔ File has been uploaded successfully ←

Legal Notice Upload CUSIPs.xlsx

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** ⓘ

Please complete the fields below.

Select input form.  
 Legal Notice  Tax Notice

Please Upload Your Legal Or Tax Document To LENS Using The Upload Function Below\*

✔ File has been uploaded successfully

Legal-and-Tax-Fact-Sheet.pdf

or Drag and Drop Files to Upload

Supported file types include .PDF. up to 10 files with a maximum size of 30MB, not exceeding 100MB, can be attached.

Select Single CUSIP or Multiple CUSIP  
 Single CUSIP  Multiple CUSIP

**Notice Title \***

Best Bank Investment LTD Notes Notice of Refinancing of One or More Classes of Secured Notes ⓘ ←

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

- Legal and Tax Data Dictionary [Download](#)
- Excel Template for Multi Issue Upload [Download](#)
- CSV Template for Multi Issue Upload [Download](#)

Notice Title Example: Great Lakes - Legal Notice of Forbearance Extension to Security Holders - Lake Erie Living Communities

Notice Title Example: Nantucket Estates Community Development Bonds. Notice of Distribution for Series A Bonds.

- In the Legal Notice Details section, select a **Legal Notice Sub Type** from the drop-down list. This is a required field whether the single or multiple CUSIP option is selected.

**1. Legal Notice Details**

CUSIP \*  
666666AD4

Legal Notice Sub Type \*  
Notices to Security Holders

- Select
- Notices to Security Holders**
- Bankruptcies
- Litigation / Class Actions
- Defaults
- Letter of Credit Substitution
- Cost Basis
- Dissent
- Conversions
- Other

**2. Contact Information Details**

Contact Person or Group \*  
The Agent Trustee Group

If this is a Tax Notice, select a **Tax Notice Sub Type** from the drop-down list.

**1. Tax Notice Details**

CUSIP \*  
666666AD4

Tax Notice Sub Type \*  
Domestic (U.S. Securities), Including Section 19 Notices

- Select
- Domestic (U.S. Securities), Including Section 19 Notices**
- Foreign (Non-U.S. Securities)

**2. Contact Information Details**

- In the Contact Information Details section, enter the contact information details. Required fields are marked with an \* asterisk.

**2. Contact Information Details**

Contact Person or Group \*  
The Agent Trustee Group

Contact Email Address \*  
jbern@agenttrustee.com

Contact Phone Number \*  
+1 2125551212

Contact Website URL (optional)  
agenttrustees.com

Clear All Fields

Back Next

## Review and Submit

1. When all the required fields in the Form Input section are complete, click **Next**.
2. 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:  Contact Information  Notice Details  Review & Submit

**Review & Submit**

Please review the information provided.

**Contact Information**

Name Chris Smith	Business Email csmith@0685issuuer.com	Phone +1 212-855-1212	Submitting Firm Name 0685 issuer
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**Notice Details**

**Form Input**

Legal or Tax Document  
test-docch.pdf

Single CUSIP/Multiple CUSIP  
Single CUSIP

Input Form  
Legal Notice

Notice Title  
Best Bank Investment LTD Notes Notice of Refinancing of One or More Classes of Secured Notes

**1. Legal Notice Details**

CUSIP 666666A04	Legal Notice Sub Type Notices to Security holders
--------------------	--

**2. Contact Information Details**

Contact Person or Group The Agent Trustee Group	Contact Email Address jenn@agenttrustee.com	Contact Phone Number +1 212-855-1212
Contact Website URL (optional) agent.trustees.com		

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

**Submit**

3. When you are satisfied that the form is complete, click the check box to acknowledge the Terms and Conditions document.

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

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

**DTCC** | Issuer Agent Portal

**Review & Submit**

Contact Information
  Notice Details
  Review & Submit

**Review & Submit**

Please review the information provided.

**Contact Information**

Name: Chris Smith  
 Business Email: csmith@bestissuer.com  
 Phone: +1 212 555 1212  
 Submitting Firm Name: BEST ISSUER

**Notice Details**

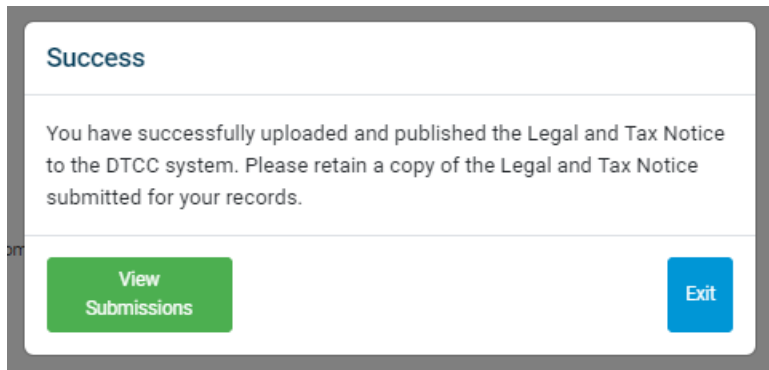
**Form Input**

Legal or Tax Document: test-docxk.pdf  
 Single CUSIP/Multiple CUSIP: Single CUSIP  
 Notice Title: Best Bank Investment LTD Notes Notice of Refinancing of One or More Classes of Secured Notes  
 Legal Notice Sub Type: Notices to Security Holders  
 Contact Person or Group: The Agent Trustee Group  
 Contact Email Address: jper@agenttrustee.com  
 Contact Phone Number: +1 212 555 1212  
 Contact Website URL (optional): agenttrustee.com

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

**Submit**

5. A success message displays. To view and download the submitted notice(s), click **View Submissions**. Otherwise, click **Exit**.



When **View Submissions** is clicked, a table opens showing all your notice submissions with a date and time stamp. You can 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 Legal and Tax Notices submitted for your records.

Search by CUSIP


Input Form	Single Issue/Multi Issue	Notice Title	CUSIP	Submitting Firm Name	Notice Sub Type	Contact Person or Group	Contact Email Address	Contact Phone Number	Contact Website URL	Created Date/Time(DTCC)
Legal Notice	Single CUSIP	Best Bank Investment LTD Notes - Notice of Refi	66666A4D4	Best Issuer	Notices to Security Holders	The Agent Trustee Group	jper@agenttrustee.com	+1 212 555 1212	agenttrustee.com	11/11/24 9:37 PM

Displaying 1 - 1 of 1

**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.

Confirmation of Legal and Tax Notice Submission to DTC

 noreplylegaltaxnotices@dtcc.com  
 To: csmith@bestissuer.com

Retention Policy: 5 Year Retention Policy for Mailboxes (5 years) Expires: 10/31/2029  
 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 Legal And Tax Notice(s) submission. You have successfully published Legal And Tax Notice(s). Details in the table below apply to CUSIPs / Issuer Names submitted.

Input Form	Legal Notice
Single Issue/Multi Issue	Single CUSIP
Notice Title	Best Bank Investment LTD Notes Notice of Refinancing of One or More Classes of Secured Notes
CUSIP	66666AD4
Submitting Firm Name	Best Issuer
Notice Sub Type	Notices to Security Holders
Contact Person or Group	The Agent Trustee Group
Contact Email Address	<a href="mailto:jbern@agenttrustee.com">jbern@agenttrustee.com</a>
Contact Phone Number	+1 212-555-1212
Contact Website URL	agent-trustees.com
Created Date/Time(UTC)	2024-11-01 17:37:05.882418
Submission Date/Time (UTC)	2024-11-01 17:43:30.488196

- To continue adding another notice, repeat the procedure to **obtain a verification code to access the Issuer Agent Portal.**

**Note:** Each time you submit a new notice you must obtain a verification code to access the 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 shows the 'Legal and Tax Notices' form in the DTCC Issuer Agent Portal. The 'Form Input' section is active, and a red box highlights the 'Legal and Tax Data Dictionary' download link. The form includes fields for Name, Business Email, Phone, and Submitting Firm Name. It also has radio buttons for 'Legal Notice' and 'Tax Notice', and a section for uploading files. A 'Notice Title' field is at the bottom with the text 'Best Bank Investment LTD Notes - Notice of Refinancing of one or more Classes of Secured Notes'.

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

Data Element	Field Definition	What Data Is Needed?	Required For submission Through DTCC	Why Is This Field Important?
CUSIP	A CUSIP is a security identifier issued by CUSIP Global Services and is composed of nine characters and can include letters and numbers	Nine-digit alphanumeric security ID	Yes	The CUSIP is a critical field that identifies to the investor community which specific security is being communicated upon
Legal Notice Subtype		<b>Select:</b> Notices to Security Holders Bankruptcies Litigation / Class Action Defaults Letter of Credit Substitution Cost Basis Dissent Conversions	Yes	DTC needs to know the subtype of notice to properly classify and process

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

## 1. Legal Notice Details

CUSIP\*



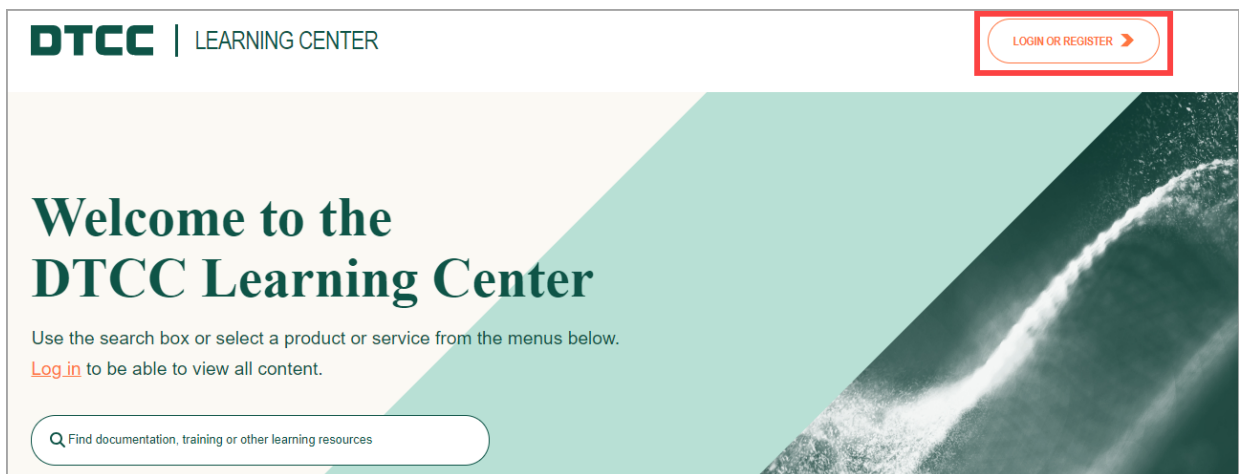
A CUSIP (or CINS) is a security identifier and is composed of nine characters and can include letters and numbers.

# 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 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 Log in 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 the top portion of the DTCC Learning Center website. At the top left, the logo reads "DTCC | LEARNING CENTER". At the top right, there is a red-bordered button with the text "LOGIN OR REGISTER" and a right-pointing arrow. Below the header, the main content area features a large heading: "Welcome to the DTCC Learning Center". Underneath the heading, there is a line of text: "Use the search box or select a product or service from the menus below. [Log in](#) to be able to view all content." At the bottom left of this section, there is a search bar with a magnifying glass icon and the placeholder text "Find documentation, training or other learning resources". The background of the main content area is a teal and white geometric design with a photograph of a wave crashing on the right side.

### Login with your DTCC Portal ID

Select portal most applicable to you.

MYDTCC (PORTAL.DTCC.COM) ➤

---

DTCC EMPLOYEE (PORTAL.DTCC.ORG) ➤

---

OR

### 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](#)

## For More Information

For more information about how to communicate Legal and Tax notices as an agent, trustee or issuer please click here [IAPTtestinginquiries@dtcc.com](mailto:IAPTtestinginquiries@dtcc.com).

For concerns with the submission of a Legal and Tax notice or if a notice needs to be removed from LENS, an email should be sent to the [LensNotices@dtcc.com](mailto:LensNotices@dtcc.com).

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**Service:** Issuer Agent Services

**Title:** Issuer Agent Portal - Submitting Legal and Tax Notices

## For More Information

**DTCC Client Center:** [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

**DTCC Learning Center:** [www.dtccllearning.com](http://www.dtccllearning.com)

