

Legal Notice System Data

OVERVIEW

DTCC's Legal Notice System (LENS) Data provides a searchable library, updated daily, of legal notices concerning securities that are eligible for deposit and settlement at DTCC's depository subsidiary, Depository Trust Company (DTC).

In today's fast-moving markets, you need easy access to the latest information about bankruptcies, class actions, fund distributions and other matters that may affect your investment decisions, tax planning, regulatory compliance, and client outreach.

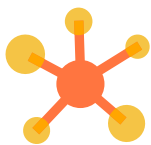
HOW IT WORKS

1. DTCC receives notices from issuers, trustees, other agents, and law courts, and loads them into the LENS repository.
2. DTCC makes notices available through the LENS portal at approximately 7:00 a.m. ET each business day.
3. LENS notices can be viewed, downloaded and/or emailed via a web interface.

DELIVERY

Each business day, securities issuers, third-party agents, and law courts together produce on average more than 100 notices related to DTC-eligible securities. They send their notices directly to DTCC, where they are added to the LENS online repository.

The LENS Portal provides access to the notices in their original, unaltered, document form shortly after they become available to DTCC. To facilitate searches, DTCC assigns each notice to its appropriate category.



CENTRAL



DAILY NOTICES



WEB INTERFACE



CONVENIENCE

BENEFITS

EASE OF DISTRIBUTION	Optimize oversight of portfolio holdings by viewing, downloading, or emailing daily notices to colleagues and clients.
USEFUL INDEX	Save time with targeted searches by security identifier, keyword, notice type and/or document number.
TAILORED ALERTS	Stay up to date on notices of interest with daily email notifications based on a security interest list or notice type.
CONVENIENT DELIVERY	Streamline data receipt by obtaining notices in customized bulk downloads.
HISTORICAL ANALYSIS	Enhance research results with a rolling five-year archive of legal notices.

DATA COVERAGE

The DTCC CA 20022 Service provides announcement data for approximately 1.3 million active security issues held at DTC, including American Depositary Receipts. The announcement types covered include, among others:

CENTRALIZED SOURCE

LENS receives more than 100 notices on an average day. Each notice is assigned to its appropriate category/subcategory including the following:

Legal Notices to Security Holders (LG):

- Bankruptcies
- Litigation/Class Actions
- Defaults
- Conversions
- Letter of Credit Substitution
- Cost Basis
- Dissent

Tax Information (TX):

- Section 19(a) Notices—e.g., mutual fund monthly distributions, corporate quarterly dividends.

Other Transfer Agent Notices (TA):

- Notifications regarding change of transfer agent under Rule 17ad-16 of the Exchange Act of 1934. In addition to current legal notices, the LENS repository provides access to a historical archive of notices on DTC-eligible securities dating back five years.

FOR MORE INFORMATION

To learn more, visit [DTCC.com/Data-Services](https://www.dtcc.com/Data-Services) or **contact DTCC Data Services Client Support**: 1-888-382-2721, Option 8

