



Legal and Tax Notice Data Dictionary

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		Select: 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
Tax Notice Subtype		Select: Foreign (Non-U.S. Securities) Domestic (U.S. Securities)	Yes	DTC needs to know the subtype of notice to properly classify and process
Submitting Firm Name	Firm submitting the notice	Submitting Firm	Yes	It may be necessary to contact submitters to clarify data points or request additional information
Email	The email address of the contact at the firm or organization inputting a Legal or Tax Notice	Email address is needed	Yes	It may be necessary to contact submitters to clarify data points when additional information is necessary

Agent Name	Agent Name	Agent Name needed	Yes	DTC must have agent information to facilitate required updates in the DTC system
Contact Phone Number	Telephone Number	Provide up to a 15-character numeric number	Yes	It may be necessary to contact submitters to clarify data points when additional information is necessary
Contact Person	Contact Person's Name	Full name of the person submitting the notice	Yes	It may be necessary to contact submitters to clarify data points when additional information is necessary
Contact Email Address	Contact Person's Email Address	Email address of a contact to the submitting agent	Yes	It may be necessary to contact submitters to clarify data points when additional information is necessary
Contact Website URL	Website Address of Submitting Firm	URL	Optional	It is helpful for potential contact purposes to have additional information about the submitting firm