



B #:	B7136-17
Date:	October 19 th , 2017
To:	Issuers, Agents & Trustees
Category:	Operations
From:	Issuer Services Product Management
Attention:	Operations Management
Subject:	Legal Notice System Update For Notice Submitters

On or around December 1st, 2017 The Depository Trust Company (“DTC”) will release a new version of the Legal Notice System (“LENS”) application. The updated version of LENS will allow DTC to process notices for availability on LENS in a much more streamlined fashion while delivering users all of the functionality that exists within the current application. This notice outlines the steps necessary to submit notices for posting to LENS.

How to submit Legal and Tax notices for posting to LENS


To post a Legal or Tax notice to LENS free of charge, email the notice in PDF format to the new mailbox: legalandtaxnotices@dtcc.com. In order to ensure that notices are posted with the most accurate data possible, please include the following information:

- Notice Category & Subcategory (see below)
- CUSIP(s) as a six digit family base or full nine digits
- A description (entered into the Subject line of the email)
- The notice must be in pdf format; please include only one notice per submission

You will receive confirmation via email once the notice is processed.

Category	Subcategory
Legal	Notices To Security Holders
	Bankruptcies
	Litigation/Class Actions
	Defaults
	Letter Of Credit Substitution
	Cost Basis
	Dissent
	Conversions
	Other
	Tax Information
	Foreign

Example of LENS Legal notice submission

To...	legalandtaxnotices@dtcc.com
Cc...	
Subject	Notice of Optional Redemption – Example Corporation
Attached	 LENS Notice.pdf 10 KB

Please post the attached Legal/Notice To Security Holders notice to LENS for the CUSIP family 123456.

Important Note

Users must log into LENS to view notices. Please be advised that all notices posted to LENS are made available to all registered users, irrespective of whether the user holds or has never held the security referenced. Please review all notices before submitting them to DTCC to ensure that they are appropriate for LENS.

How to submit a Form 17Ad-16 notice of Transfer Agent assumption or termination of services

To submit a 17Ad-16 TA change form to DTC please complete the online form found here: [17Ad-16 Change Form](#)

With the implementation of this online form an email notification is no longer necessary. Please populate the form with the required data elements and refrain from including information not intended to be publicly available (e.g. share amounts, descriptions such as “high yield”).

Questions regarding this Important Notice should be directed to lensweb@dtcc.com. Questions regarding form 17Ad-16 should be directed to TAServices@dtcc.com. To learn more about LENS visit our website at www.dtcc.com/lens.