

# Issuer Agent Portal FAQs

## IS VIA THE IAP THE ONLY PLACE TO SUBMIT LENS NOTIFICATIONS AND 17AD-16 NOTICES?

Yes. On August 14, 2024, DTC retired the mailboxes previously used to submit notices for posting to LENS.

## CAN I SUBMIT CORPORATE ACTION ANNOUNCEMENTS TO DTC VIA THE IAP?

No. The IAP was developed specifically for the submission of LENS notices only. Corporate action events must be communicated to DTC via the following mailboxes:

- **Mandatory Reorg events:** [mandatoryreorgannouncements@dtcc.com](mailto:mandatoryreorgannouncements@dtcc.com)
- **Redemptions events:** [redemptionnotification@dtcc.com](mailto:redemptionnotification@dtcc.com)
- **Tender & Exchange events:** [voluntaryreorgannouncements@dtcc.com](mailto:voluntaryreorgannouncements@dtcc.com)
- **Conversion, Right & Warrant events:** [conversionsandwarrantsannouncements@dtcc.com](mailto:conversionsandwarrantsannouncements@dtcc.com)

Please refer to [Important Notice B#20856-24](#) for additional information.

## WHAT IS THE COST TO SUBMIT INTO THE PORTAL?

There is no cost for issuers, agents, trustees or other third parties acting on behalf of a security to use the portal.

## HOW DO I REGISTER FOR THE PORTAL?

There is no formal registration process – you simply go to the portal URL (<https://issueragentservices.dtcc.com>) and provide a valid business email address, (Gmail, Hotmail, Yahoo, etc. are not acceptable). You will receive a verification code via email. Upon input of the code you'll get access to use the application for a session.

## WHAT IF I AM HAVING TROUBLE WITH THE IAP, WHO DO I CONTACT?

During testing you can send an email to [IAPTestingInquiries@dtcc.com](mailto:IAPTestingInquiries@dtcc.com).

## WILL THERE BE A \$21 DOWNLOAD CHARGE TO AN AGENT FOR DOWNLOADING A NOTICE IN LENS?

Yes. If an agent would like to subscribe to the LENS service for viewing notices, the \$21 charge would apply.

## WHAT IS THE DOCUMENT RETENTION POLICY? WILL REGULATORS HAVE ACCESS?

LENS notices are retained for five years. Regulators will be granted access to LENS if required, just as they would be given access to any DTC application they wish to review and/or audit.

## WHAT IF YOU NEED TO REVISE A NOTICE? IS THERE A WAY TO REMOVE A PRIOR PUBLICATION AND REPOST?

You will need to contact DTC directly to revise or remove a previously published notice.

## WHEN WILL THE ISSUER AGENT PORTAL BE DEPLOYED TO PRODUCTION?

The production launch will occur on August 8, 2024, pending regulatory approval.

## **WILL THE AUTHENTICATION PROCESS LAUNCH EVERY TIME YOU ACCESS THE PORTAL?**

Yes, this is your secure connection to the web application. Each time you access the site is treated as a new session, therefore, a new log in is required.

## **DO ISSUERS HAVE TO APPROVE DOMAINS THAT CAN POST ON AN ISSUER'S BEHALF? WHAT ARE THE CONTROLS IN THIS AREA TO AVOID RANDOM OTHER BUSINESSES POSTING INFORMATION?**

A business email is defined as a domain that is **not** Gmail, .AOL, .msn., .Hotmail, .yahoo, etc. The application does not allow those domains to authenticate through the email verification process.

## **AS AN AGENT SUBMITTING A TA ASSUMPTION & TERMINATION, IS THERE A CONFIRMATION OR DO WE REQUIRE A LENS SUBSCRIPTION TO VIEW COMMUNICATION?**

You will get a confirmation email indicating that your submission was received. You don't need a LENS subscription to receive confirmation.