



An Asset Management Association For All

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**NICSA RELEASES 2019 REFERENCE GUIDE FOR
TRANSFER AGENT COMPLIANCE STANDARDS**

Washington D.C. –April 9, 2019. NICSA announced today the release of the *2019 NICSA Transfer Agent Compliance Guide*. The guide provides members of the global asset management industry with a one-stop, comprehensive resource of current compliance updates and standards as they relate to the transfer agent function.

NICSA’s Transfer Agent Committee, which meets regularly to monitor and discuss trends in mutual fund transfer agent operations, compiled this centralized listing of laws, rules and regulations applicable to mutual fund transfer agents as a service to the transfer agency community. Reed Smith, a global law firm and a long-time NICSA member, vetted the citations identified by the Committee and authored Chapter introductions. The guide was produced by Donnelley Financial Solutions (DFIN), a leading global risk and compliance company and active NICSA member.

Jim Fitzpatrick, President of NICSA, stated, “NICSA’s mission is to provide a platform for industry participants to collaborate and advance best practices, and the *NICSA Transfer Agent Compliance Guide* is a great example of our mission statement in action. Serving as an educational resource, it leverages the depth of expertise within one of NICSA’s longest standing committees, the TA Committee. We’re very pleased to partner with Reed Smith LLP and DFIN – two thought leaders and highly regarded NICSA members – to provide this valuable benefit to our membership.”

Tim Johnson, a partner at Reed Smith who spearheaded that firm’s involvement with the project, commented that “The *NICSA TA Compliance Guide* has long been viewed as a definitive resource in the transfer agency community, and Reed Smith is honored to be able to lend our expertise to the endeavor and to support the mission of NICSA.”

Eric Johnson, President, Global Investment Markets at DFIN, stated “With DFIN’s focus on regulatory compliance solutions, and our long history with NICSAs, we fully support the creation of this educational resource to highlight the importance we place on the TA community as clients for our software and services.”

The *2019 Edition* of the guide was launched at the NICSAs’s Strategic Leadership Forum, held in Ponte Vedra Beach, Florida from April 3 - 5. Attendees of the event were offered complimentary reference guides. On an ongoing basis, NICSAs will offer its members access to the reference guide at a discounted value as a member benefit. Inquiries about the Guide can be sent to: info@nicsa.org.

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ABOUT NICSAs: NICSAs is a not-for-profit trade association that connects global asset management industry participants in order to develop, share, and advance leading practices. For over fifty years, the Association has offered a collective, timely view on evolving themes shaping the financial industry. NICSAs member companies operate in all segments of the financial industry and include fund complexes, broker dealers, custodian banks, transfer agents, and other professional service firms including audit, tax, legal, technology, marketing, telecom, and compliance. Deep expertise and unique perspectives come together in an open and collaborative environment to tackle the strategic implementation of the industry’s most vital issues. **For more information about NICSAs and how to become a member, visit www.nicsa.org.**

ABOUT REED SMITH: Reed Smith is a dynamic international law firm, dedicated to helping clients move their businesses forward. Our belief is that by delivering smarter and more creative legal services, we will not only enrich our clients’ experiences with us, but also support them in achieving their business goals. Our long-standing relationships, international outlook, and collaborative structure make us the go-to partner for the speedy resolution of complex disputes, transactions, and regulatory matters. For further information, please visit reedsmith.com. **For further information, please visit reedsmith.com.**

ABOUT DONNELLEY FINANCIAL SOLUTIONS (DFIN)

DFIN is a leading global risk and compliance solutions company. We provide domain expertise, enterprise software and data analytics for every stage of our clients’ business and investment lifecycles. Markets fluctuate, regulations evolve, technology advances, and through it all, DFIN delivers confidence with the right solutions in moments that matter. Learn about DFIN’s end-to-end risk and compliance solutions online at DFINsolutions.com or you can also follow us on Twitter [@DFINsolutions](https://twitter.com/DFINsolutions) or on [LinkedIn](https://www.linkedin.com/company/dfin).