

Transfer Agent Insurance Program

To assist all Transfer Agents in complying with industry and regulatory requirements, The Securities Transfer Association, Inc. has asked E-Surety Brokerage, Inc. (E-Surety) to develop a comprehensive insurance program for its Transfer Agent members. This program is designed to comply with NYSE Listed Company Manual 601 and the Depository Trust & Clearing Corporation (DTCC). FINRA is establishing a new consolidated rule book that once complete, will replace the current NYSE Listing Company Manual 601.

The program is underwritten by several A- or higher rated (per A.M. Best) insurers and surety companies.

Program Advantages:

- ❖ E-Surety will contact specialists in each area for maximum benefits to all members.
- ❖ STA members will benefit from reduced insurance/surety costs.
- ❖ Programs are constantly being developed for areas of exposure not currently covered by any existing insurance/surety.
- ❖ Participation in the program will assist the STA in its endeavors on behalf of members.

E-Surety is the primary contact for obtaining quotations and discussing coverage. The Securities Transfer Association, Inc. should be contacted for other matters of interest to members.