

(C) THE NAME AND ADDRESS AND ANY TAXPAYER IDENTIFICATION NUMBER OF THE REGISTERED OWNER AND THE REGISTERED PLEDGEE;

(D) A NOTATION OF ANY LIENS AND RESTRICTIONS OF THE ISSUER AND ANY ADVERSE CLAIMS (AS TO WHICH THE ISSUER HAS A DUTY UNDER § 8-403(4)) TO WHICH THE UNCERTIFICATED SECURITY IS OR MAY BE SUBJECT AT THE TIME OF REGISTRATION OR A STATEMENT THAT THERE ARE NONE OF THOSE LIENS, RESTRICTIONS OR ADVERSE CLAIMS; AND

(E) THE DATE THE PLEDGE WAS REGISTERED.

(3) WITHIN 2 BUSINESS DAYS AFTER THE RELEASE FROM PLEDGE OF AN UNCERTIFICATED SECURITY HAS BEEN REGISTERED, THE ISSUER SHALL SEND TO THE REGISTERED OWNER AND THE PLEDGEE WHOSE INTEREST WAS RELEASED A WRITTEN STATEMENT CONTAINING:

(A) A DESCRIPTION OF THE ISSUE OF WHICH THE UNCERTIFICATED SECURITY IS A PART;

(B) THE NUMBER OF SHARES OR UNITS RELEASED FROM PLEDGE;

(C) THE NAME AND ADDRESS AND ANY TAXPAYER IDENTIFICATION NUMBER OF THE REGISTERED OWNER AND THE PLEDGEE WHOSE INTEREST WAS RELEASED;

(D) A NOTATION OF ANY LIENS AND RESTRICTIONS OF THE ISSUER AND ANY ADVERSE CLAIMS (AS TO WHICH THE ISSUER HAS A DUTY UNDER § 8-403(4)) TO WHICH THE UNCERTIFICATED SECURITY IS OR MAY BE SUBJECT AT THE TIME OF REGISTRATION OR A STATEMENT THAT THERE ARE NONE OF THOSE LIENS, RESTRICTIONS OR ADVERSE CLAIMS; AND

(E) THE DATE THE RELEASE WAS REGISTERED.

(4) AN "INITIAL TRANSACTION STATEMENT" IS A STATEMENT SENT TO:

(A) THE NEW REGISTERED OWNER AND, IF APPLICABLE, TO THE REGISTERED PLEDGEE PURSUANT TO SUBSECTION (1);

(B) THE REGISTERED PLEDGEE PURSUANT TO SUBSECTION (2); OR

(C) THE REGISTERED OWNER PURSUANT TO SUBSECTION (3). EACH INITIAL TRANSACTION STATEMENT SHALL BE SIGNED BY OR ON BEHALF OF THE ISSUER AND MUST BE IDENTIFIED AS AN "INITIAL TRANSACTION STATEMENT".

(5) WITHIN 2 BUSINESS DAYS AFTER THE TRANSFER OF AN UNCERTIFICATED SECURITY HAS BEEN REGISTERED, THE ISSUER SHALL SEND TO THE FORMER REGISTERED OWNER AND THE FORMER REGISTERED PLEDGEE, IF ANY, A WRITTEN STATEMENT CONTAINING:

(A) A DESCRIPTION OF THE ISSUE OF WHICH THE UNCERTIFICATED SECURITY IS A PART;