

<b>A#:</b>	<b>8958</b>
<b>P&amp;S:</b>	<b>8531</b>
<b>Date:</b>	<b>January 27, 2021</b>
<b>To:</b>	<b>ALL MEMBERS AND LIMITED MEMBERS</b>
<b>From:</b>	<b>WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS</b>
<b>Attention:</b>	<b>MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&amp;S DEPARTMENT</b>
<b>Subject:</b>	<b>MF Info Xchange Service Enhancements</b>

Effective **January 29, 2021**, National Securities Clearing Corporation (NSCC) will implement additional enhancements and capabilities to MF Info Xchange – the first communications center of its kind from DTCC’s Wealth Management Services. MF Info Xchange facilitates and streamlines the delivery and receipt of time-critical notices and helps to effectively organize, prioritize and manage events and notifications through a centralized communications service and event calendar - never miss an event again!

**As part of this release, NSCC will enhance the Large Trade Notification as follows:**

Current Functionality

Under the current design, in order to distribute a Large Trade Notification, at least one distribution list or email address must be provided.

Create Notification

Event ID: 1000585      Event Type: Large Trade Notification      Distribution Status: Draft

Step 1   Step 2   Step 3   Step 4

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Distribute

**Email Recipients**

Distribution List  
Select Distribution List

**Emails**

Comma Separated Emails

Emails Designated by Recipients\*      View Emails Provided by Recipients

Include emails provided ONLY by recipients selected in...

Access to Portal View\*

Fund Company      Sort By: Participant Number

5119 - MUTUAL FUND TEST #1-FORWARD TO P&...

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including Real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS Alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

## Enhanced Functionality

In order to further streamline the large trade communication process, Step 4 of the Large Trade Notification will be enhanced as follows:

- If the recipient of the notification (Fund Company) is subscribing to MF Info Xchange and has provided email address(s) for Large Trade Notifications, the system will not require a distribution list and/or email address to be provided within Step 4. Firm clients can distribute Large Trade Notifications based on the email(s) designated by the receiving fund company.

### View/Update Notifications

Event ID: 39845      Event type: Large Trade Notification      Distribution Status: Pending Distribution

Step 1   Step 2   Step 3   Step 4

Refresh   Delete   Download   Print   Back

Distribute

**Email Recipients**

Distribution List  
Select Distribution List

**Access to Portal View\***

Fund Company      Sort by: Participant Number

7874 - MF BOND SAMPLE 03

**Emails**

Comma Separated Emails

**Emails Designated by Recipients\***      View Emails Provided by Recipients

Include emails provided ONLY by recipients selected in...

**Note:** “Access to Portal View” field is defaulted to the Fund Participant # provided in Step 2 of the notification. “Emails Designated by Recipients” field is defaulted to “Include emails provided ONLY by recipients selected in Access to Portal View” option. **Firm clients are advised to utilize the default selections when distributing a Large Trade Notification.**

- MF Info Xchange will continue to require a distribution list and/or email address under the following conditions:
  - The recipient of the notification (Fund Company) is subscribing to MF Info Xchange, however they have not provided email address(s) for Large Trade Notifications.
  - The recipient of the notification (Fund Company) is subscribing to MF Info Xchange and has provided email address(s) for Large Trade Notifications. However firm client removed these email address(s) from the notification distribution (“Emails Designated by Recipients” field is changed to “DO NOT Include emails provided by recipients”).
  - The recipient of the notification (Fund Company) does not subscribe to MF Info Xchange

**PLEASE NOTE:** in order to perform code migration, MF Info Xchange will not be available in production on January 28, 2021 between 8pm-10pm ET.

## **TESTING**

Effective January 27, 2021, clients can begin testing in the Participant Services Environment (PSE) region. Clients are encouraged to test and must contact their Relationship Manager before testing begins if access to the PSE region has not been previously established.

## **DOCUMENTATION**

User guide is available in the DTCC Learning Center (<https://dtcclearning.com/products-and-services/mutual-fund-services/>). The guide will be updated on or about March 12, 2021.

Clients can find more information on MF Info Xchange at <http://www.dtcc.com/wealth-management-services/mutual-fund-services/mf-info-xchange>

Questions and comments regarding this Important Notice may be directed to your Relationship Manager, Account Manager or Wealth Management Services at **212-855-8877**.

Yana Granovskiy  
Product Manager

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DTCC Wealth Management Services