![DTCC logo]

Important Notice
National Securities Clearing Corporation

A #:	9392
P&S:	8965
Date:	March 12, 2024
To:	ALL MEMBERS AND LIMITED MEMBERS
Category:	MUTUAL FUNDS SERVICES
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	MF Info Xchange Service Enhancements

Effective March 29, 2024, National Securities Clearing Corporation (NSCC) will implement additional enhancements and capabilities to MF Info Xchange.

As part of this release, NSCC will enhance MF Info Xchange as follows:

1) Search Notifications by Event ID

Current Functionality:

Under the current design, notification submitter and notification receiver search screens provide multiple search criteria and allow clients to search their submitted and/or received notifications by providing search parameters to narrow down their returned search results. However, in order to search for a specific Event ID, clients must follow a four-step process:

1) Navigate to the search screen from the MF Info Xchange navigation menu
2) Perform a search (can provide search criteria)
3) Filter (or scroll) for the desired Event ID
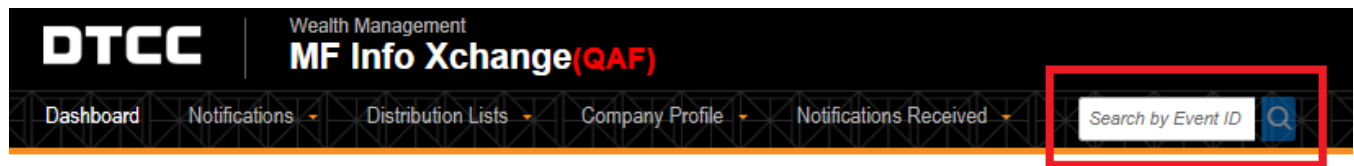4) Click on the Event ID to open the notification

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.

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<u>Enhanced Functionality:</u>

In order to enhance notification search capabilities, a new "Search by Event ID" field will be added to the MF Info Xchange navigation bar.

Clients can enter an Event ID of a received or submitted notification. The system will search across all received as well as submitted notifications under this client's participant number. If the provided Event ID is found, the system will open the notification, therefore eliminating the need to perform a four-step search process.

2) Large Trade Notification Search Screen – Hover Over Capabilities

<u>Current Functionality</u>
Under the current design, the Firm's (submitter's) Large Trade Notifications search screen displays certain key information in the search results table and search results download file.

However, both fund and firm clients must download the search results or open each Event ID to determine the Large Trade Dollar Amount for each of their Large Trade notifications.

Firms' search screen

Event ID	Event Type	Event Status	Approval Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)	Security Issue ID(s)
79024	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		09/08/2023	09/20/2023	rjohndebritto@dtcc.com	00005119-MUTUAL FUN...	fff
69924	Large Trade Notification	Initial Notification	Not Submitted	Draft		06/08/2022	06/06/2022	tgranovskiy@dtcc.com	00005119-MUTUAL FUN...	885882258
86253	Large Trade Notification	Initial Notification	Not Submitted	Pending Distribution		12/20/2023	12/13/2023	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	787867867
76608	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		06/30/2023	06/05/2023	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	453453453
54943	Large Trade Notification	Initial Notification	Not Submitted	Revised-Pending Distribu...	06/10/2021	06/11/2021	09/14/2021	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	Multiple Security Issue IDs

Funds' search screen

Search Results

Event ID	Event Type	Event Status	Effective Date	Firm Company	Notification Received Date	Security Issue ID(s)
88488	Large Trade Notification	Initial Notification	02/09/2024	00002929 - ETE_MRD_BATCH TESTING	02/09/2024	Multiple Security Issue IDs
82543	Large Trade Notification	Initial Notification	11/23/2023	00009843 - NSCC_TEST_57656	11/10/2023	123

<u>Enhanced Functionality</u>
In order to allow Large Trade Notification submitters (firms) and Large Trade Notification receivers (funds) to clearly distinguish between the Large Trade notifications returned by the search query, clients will be able to hover over the notifications within the search results table and click to view the key information (including the Trade Amount) regarding the respective large trade notification. Clicking on the row will present a pop-up screen with the pertinent large trade information.

Note: for a complete list of the Large Trade Data elements clients should open the notification or download search results (existing functionality).

Firm's Large Trade Notification Search Screen

Event ID	Event Type	Event Status	Approval Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)	Security Issue ID(s)
79024	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		09/08/2023	09/20/2023	rjohndebritto@dtcc.com	00005119-MUTUAL FUN...	fff
69924	Large Trade Notification	Initial Notification	Not Submitted	Click here to see additional details		06/08/2022	06/06/2022	tgranovskiy@dtcc.com	00005119-MUTUAL FUN...	885882258
86253	Large Trade Notification	Initial Notification	Not Submitted	Pending Distribution		12/20/2023	12/13/2023	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	787867867
76608	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		06/30/2023	06/05/2023	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	453453453
54943	Large Trade Notification	Initial Notification	Not Submitted	Revised-Pending Distribu...	06/10/2021	06/11/2021	09/14/2021	pnarayanaswami@dtcc.c...	00005119-MUTUAL FUN...	Multiple Security Issue IDs

Event ID	Event Type				Receiver(s)	Security Issue ID(s)
79024	Large Trade Notification				00005119-MUTUAL FUN...	fff
69924	Large Trade Notification				00005119-MUTUAL FUN...	885882258
86253	Large Trade Notification				00005119-MUTUAL FUN...	787867867
76608	Large Trade Notification				00005119-MUTUAL FUN...	453453453
54943	Large Trade Notification				00005119-MUTUAL FUN...	Multiple Security Issue IDs
64027	Large Trade Notification				00005119-MUTUAL FUN...	1
64287	Large Trade Notification				00005119-MUTUAL FUN...	
81711	Large Trade Notification				00005119-MUTUAL FUN...	

Event Id: 54943 Event Type: Large Trade Notification   Distribution Status : Revised-Pending Distribution   Event Status: Initial Notification

Receiver(s): 00005119-MUTUAL FUND TEST #1-FORWARD TO P&S DEPT   Subscribed Recipient?: No

Security Issue ID	Fund Name	Trade Amount $	Order Type
885882258	THRIVENT AGGRESSIVE ALLOCATION FUND	5,000,000.00	Initial Purchase
111	name	7,000,000.00	Initial Purchase

Fund's Large Trade Notification Search Screen

Search Results

Event ID	Event	Security Issue ID(s)
82543	Large	123
88488	Large	Multiple Security Issue IDs
69254	Large	Tests2022
85724	Large	testing
83105	Large	test
87947	Large	test
69948	Large	TEST00128
69949	Large	TEST00128

Event Id: 85724   Event Type: Large Trade Notification   Distribution Status : Distributed   Event Status: Initial Notification

Security Issue ID	Fund Name	Trade Amount $	Order Type
testing	test	1.00	Initial Purchase

PLEASE NOTE: In order to perform code migration, MF Info Xchange will not be available in production on March 28, 2024, between 8pm-10pm ET.

TESTING
Effective March 15, 2024, clients can begin testing in the Participant Services Environment (PSE).
Clients are strongly encouraged to test and must contact their Relationship Manager before testing begins if access to PSE has not been previously established.

DOCUMENTATION
Updated documentation will be available on the DTCC Learning website on or about April 30, 2024.

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 or Wealth Management Services at **212-855-8877** or WMSconnect@dtcc.com.

Yana Granovskiy
Product Manager

DTCC Wealth Management Services