



A#:	8799
P&S:	8372
Date:	January 16, 2020
To:	ALL MEMBERS AND LIMITED MEMBERS
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 **January 31, 2020**, 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 MF Info Xchange as follows:

1) New Notifications

This enhancement further expands the event notifications that can be delivered through MF Info Xchange.

- **“Price / Rate Error” Notification**

This notification will allow fund clients to communicate corrections of NAVs and/or rates previously provided by the fund.

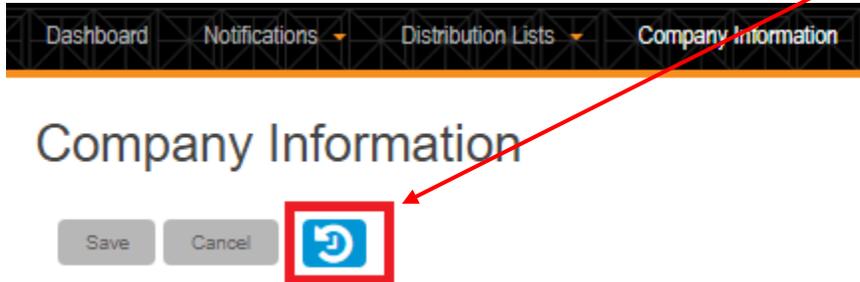
- **“New Fund / New Share Class Launch” Notification**

This notification will allow fund clients to send communications for new fund or new share class launches.

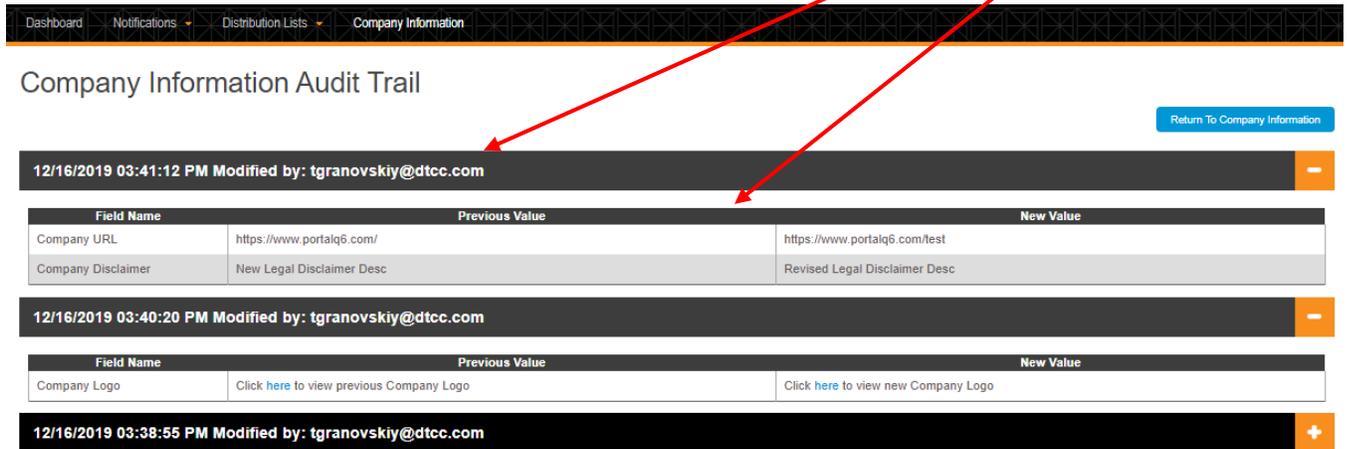
DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including Real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS Alerts, visit http://www.dtcc.com/subscription_form.php.

2) Company Information Audit Trail

Fund “Company Information Audit Trail” will display updates to Company Logo, Company URL and Legal Disclaimer fields. A new “Company Information Audit Trail” icon will be added to the “Company Information” screen.



Clicking on the “Company Information Audit Trail” icon will take fund clients to the Company Information Audit Trail page where updates to Company Logo, Company URL and Legal Disclaimer will be displayed with a date and time stamp of the change under a separate header. Each header will list the date/time when a change to Company Information was made as well as the email address of the user who performed the activity. The expanded audit trail section will display previous and new values of the field(s) that were changed:



3) Undeliverable Emails/Automatic Replies Audit Trail

To further reduce risk and provide transparency, the notification audit trail will be enhanced to display activity taken within the “Undeliverable / Auto Reply” page. A new “Undeliverable Emails/Automatic Replies” tab will be added to the “Notification Audit Trail” page. The existing notification audit trail information will be moved under the “Notification Audit Trail” tab.

Dashboard Notifications Distribution Lists Company Information

Notification Audit Trail Return To Notification

Event ID: 14418 Event Type: Price/Rate Error Event Status: Update Distribution Status: Distributed

Notification Audit Trail **Undeliverable Emails/Automatic Replies**

** Indicates a deleted row

- 01/06/2020 01:18:19 PM Modified by: tgranovskiy@dtcc.com
- 01/06/2020 01:12:07 PM Modified by: tgranovskiy@dtcc.com
- 01/06/2020 12:52:11 PM Modified by: tgranovskiy@dtcc.com
- 01/06/2020 12:52:07 PM Modified by: tgranovskiy@dtcc.com

“Undeliverable Emails/Automatic Replies” Tab

This tab will display information on each distribution of a notification with any failed distributions and/or receipt of automatic replies as well as any activity (delete, revise/resend, resend, no action) performed by the client to address these emails. Each header will correspond to a distribution where undeliverable and/or automatic response was received. The header will list the date/time when the notification was distributed or redistributed as well as the email address of the user who performed this distribution. The expanded audit trail section will display all undeliverable and/or automatic responses received for this distribution and any activity performed by the client within the “Notification with Undeliverable Emails/Automatic Replies” section of the dashboard.

Dashboard Notifications Distribution Lists Company Information

Notification Audit Trail Return To Notification

Event ID: 14418 Event Type: Price/Rate Error Event Status: Update Distribution Status: Distributed

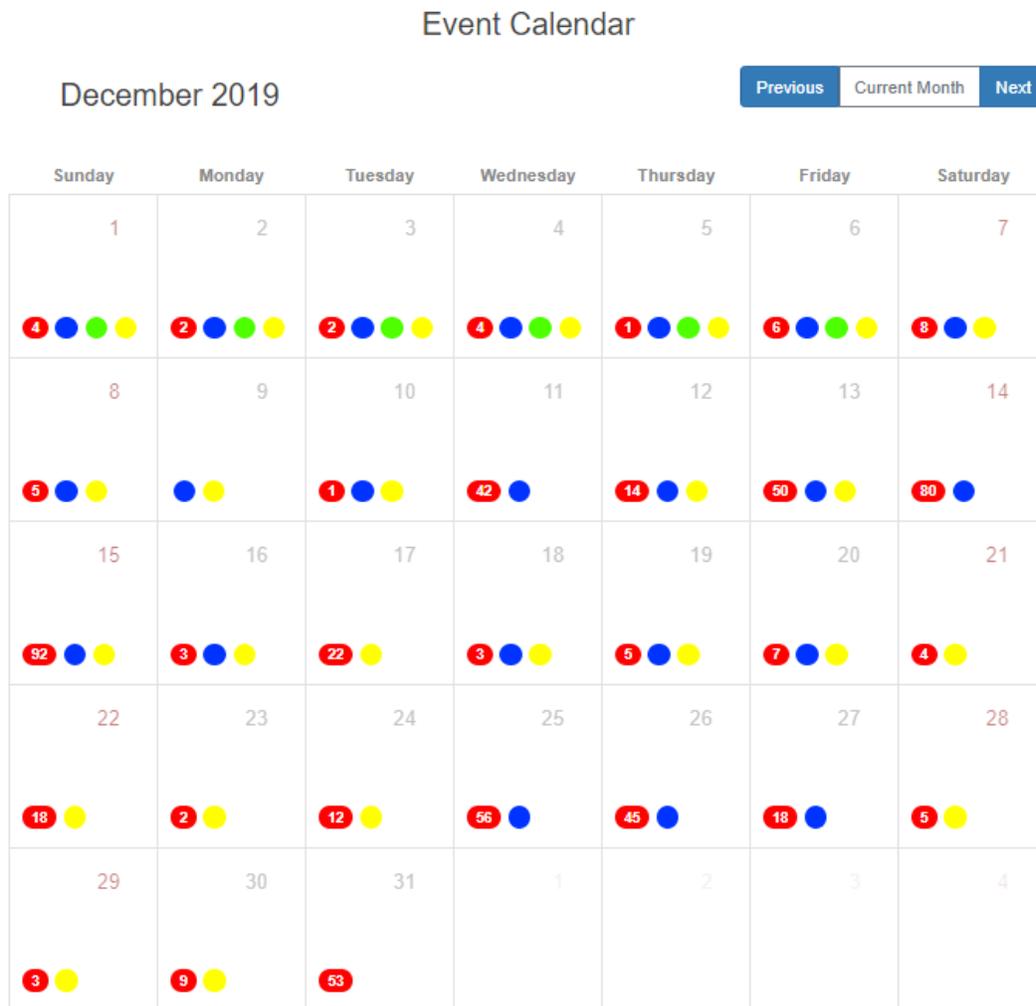
Notification Audit Trail **Undeliverable Emails/Automatic Replies**

- 01/06/2020 12:52:11 PM Event Status: Update Distributed by: tgranovskiy@dtcc.com
- 01/06/2020 12:49:34 PM Event Status: Update Distributed by: tgranovskiy@dtcc.com
- 01/06/2020 08:05:39 AM Event Status: Initial Notification Distributed by: tgranovskiy@dtcc.com

Email	Action	Revised Email	Impacted Distribution Lists	Email specified in Step 4	Reason	Received	Action Taken	Action Taken By
yana5@dtcc.com				Yes	Undeliverable/Failed Email	2020-01-06 08:05:40 AM		
yana8@dtcc.com				Yes	Undeliverable/Failed Email	2020-01-06 08:05:40 AM		
yana6@dtcc.com				Yes	Undeliverable/Failed Email	2020-01-06 08:05:40 AM		
yana7@dtcc.com				Yes	Undeliverable/Failed Email	2020-01-06 08:05:40 AM		
yana_2@dtcc.com			YG test July 16	Yes	Undeliverable/Failed Email	2020-01-06 08:07:07 AM		
yana2@dtcc.com	Revise/Resend	yana_2@dtcc.com		No	Undeliverable/Failed Email	2020-01-03 01:58:18 PM	Submitted	tgranovskiy@dtcc.com
madhumathi456@revised@dtcc.com	No Action Required		test_1, test_4, test_5, YG test ...	No	Undeliverable/Failed Email	2020-01-03 01:58:18 PM	Submitted	tgranovskiy@dtcc.com
madhumathi345_revised@dtcc.com	No Action Required		test_1, test_3, test_5, YG test ...	No	Undeliverable/Failed Email	2020-01-03 01:58:18 PM	Submitted	tgranovskiy@dtcc.com
yana1@dtcc.com	Delete			No	Undeliverable/Failed Email	2020-01-03 01:58:18 PM	Submitted	tgranovskiy@dtcc.com

4) Enhanced Firm Event Calendar

Effective dates for Price/Rate Error events may be a current or prior calendar date and will be displayed on the firm Event Calendar with a different color indicator.



Legend:

- - Number of events effective for a given day
- - Dividend/Capital Gain Schedule
- - Interval/Tender Fund Transaction Schedule
- - Price/Rate Error

5) Firm Search Notifications Screen

Price/Rate Error notifications with more than one effective date will be listed multiple times in the search results to reflect all impacted effective dates with price and/or rate corrections.

The screenshot displays the 'Search Notifications' interface. It includes search filters for 'Notification Received Date Range', 'Effective Date Range', 'Event Type' (set to 'Price/Rate Error'), and 'Fund Company' (set to '2222 - TEST FUND - FUND_1'). Below the filters, the 'Search Results' table shows four entries for Event ID 3998, each with a different Effective Date (01/02/2020, 01/03/2020, 01/06/2020, and 01/07/2020). The Event Type is 'Price/Rate Error' and the Event Status is 'Initial Notification' for all entries. The Fund Company is '00002222 - TEST FUND - FUND_1' and the Notification Received Date is '01/15/2020' for all entries.

Event ID	Event Type	Event Status	Effective Date	Fund Company	Notification Received Date
3998	Price/Rate Error	Initial Notification	01/02/2020	00002222 - TEST FUND - FUND_1	01/15/2020
3998	Price/Rate Error	Initial Notification	01/03/2020	00002222 - TEST FUND - FUND_1	01/15/2020
3998	Price/Rate Error	Initial Notification	01/06/2020	00002222 - TEST FUND - FUND_1	01/15/2020
3998	Price/Rate Error	Initial Notification	01/07/2020	00002222 - TEST FUND - FUND_1	01/15/2020

PLEASE NOTE: in order to perform code migration, MF Info Xchange will not be available in production on January 30th, 2020 between 8pm-10pm ET.

TESTING

Effective January 24, 2020, 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 February 28, 2020.

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

DTCC Wealth Management Services