

Mutual Fund Profile Service II (MFPS II): Security Issue and Distribution Data

MFPS II, A MULTI-DIMENSIONAL REPOSITORY OF TWO DATABASES, AUTOMATES AND STREAMLINES ACCURATE AND TIMELY INFORMATION ON SECURITIES AND DISTRIBUTIONS.

OVERVIEW

The **Security Issue Database**, a central data source of comprehensive fund prospectus and operational rules, is a recognized industry standard for dynamic access to information critical to the management of mutual funds in the third-party market.

The **Distribution Database** provides distribution data, such as record, reinvestment, and payable dates, for dividend, capital gains, and commission payments. Members are able to update their information in a format supported by MyDTCC Web Portal, allowing users direct access over the Internet to services provided by DTCC's subsidiaries. Profile is also accessible via mainframe through DTCC's SMART connection.

WHO CAN USE THIS SERVICE

Any interested financial organization that meets NSCC qualifications can use the service.

BENEFITS

- Allows asset managers to communicate information to their distribution channels through a single source.
- Provides distributors ready access to a broad range of the most current and accurate mutual fund rules-based information.
- Web-based technology allows asset managers to input, validate, and update data.
- Streamlines data entry by providing front-end edits and access to "help" tools and a data dictionary.
- Automates the process of information exchange in a standardized format.
- Reduces overhead costs associated with manual processing.
- Decreases errors, delays, and processing inefficiencies.

- Simplifies the process of maintaining proprietary databases through version control.
- Transmits time-sensitive data

SECURITY ISSUE DATABASE

The Security Issue database disseminates a broad range of reference information about fund securities, increases transparency of information, and strengthens auditing and regulatory management to their distribution partners. This information includes, but is not limited to, investment objectives, fee schedules, contingent-deferred sales charges, commission data, breakpoint schedules and linkage, 529 plan details, as well as information typically not disclosed in regulatory documents, such as blue sky and social code eligibility.

The database's **Profile Security Data Comparison Tool**, a web interface, receives data points associated with mutual funds from the SEC's EDGAR system. The tool compares the mutual fund data points filed in the EDGAR system to existing Profile information and notifies asset managers through daily e-mail notifications of any differences, to help ensure accuracy.

PROFILE SECURITY HIGHLIGHTS

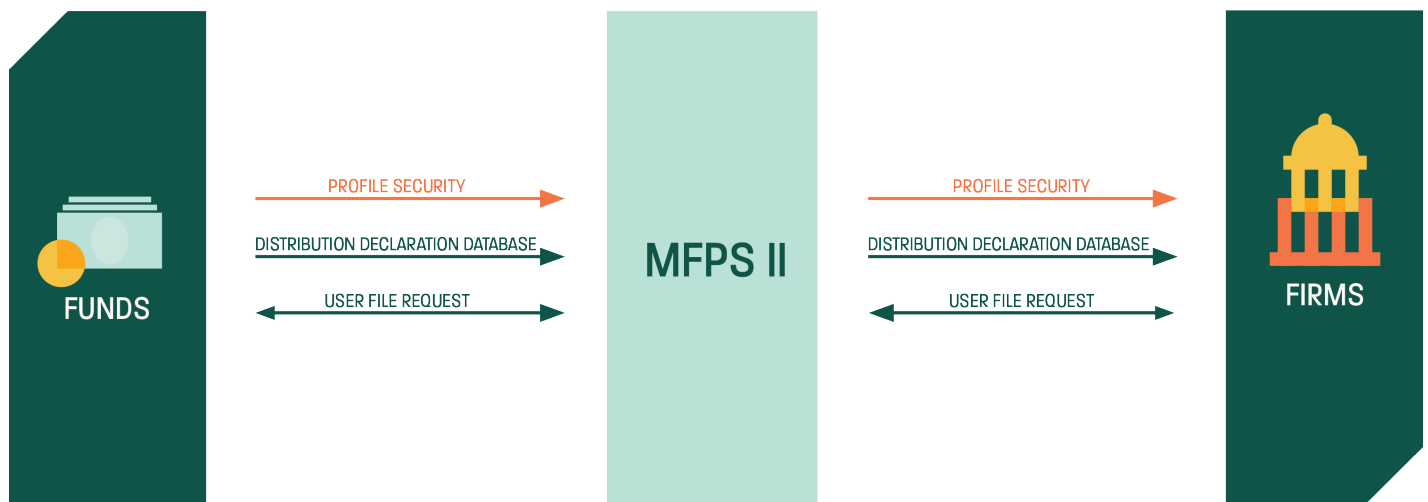
- Seamlessly integrates with Mutual Fund Info Xchange to auto-populate Fund information when creating an event.
- Comprehensive centralized database of Mutual fund operational rules; providing the most current information.
- Access to Fund/SERV® Security Master File information; providing transparency on key operational data points, including Firm Exits, to facilitate order and correction processing in a T+1 environment.
- Automated notifications of variances identified between the data in Profile Security and the regulatory filings, allowing funds to edit and approve the data while alerting Firms to exceptions via annotations.
- Access to critical operational data points typically not found in a Fund's prospectus, such as Blue-Sky information and social code eligibility, which is only available in Profile Security.

- Assures greater confidence in the validation process and data accuracy.
- Delivers timely updates to firms.
- Intuitive web interface, including bulk update functionality, provides greater efficiency for data entry, reducing the amount of manual processing required.
- Supports regulatory adherence and reporting.

DISTRIBUTION DATABASE

Funds provide the following information:

- Projected and/or actual distributions
- Capital gains and dividend amounts, record date, ex-date, reinvest date, payable date, etc.
- Commission information (12b-1 sales charge rates)



FOR MORE INFORMATION

Please contact Wealth Management Services by emailing WMSConnect@dtcc.com.

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