

A#:	9349
P&S:	8922
Date:	November 15, 2023
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 **December 1, 2023**, 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) Display Dollar Amount fields with commas

In order to further reduce risks associated with data interpretation, the formats of the dollar amount fields in the notification Excel files will be updated to display commas.

Current Functionality:

Values in the Excel file are displayed without commas.

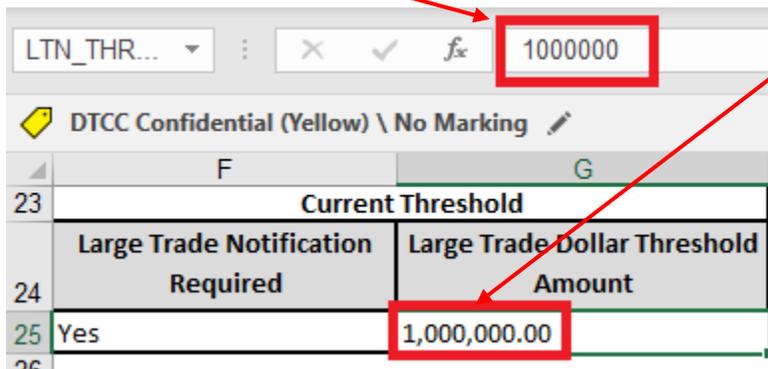
Large Trade Dollar Threshold Amount
1000000

Enhanced Functionality:

Values in the Excel file will be displayed with commas.

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.

Note: the value of the field will not change, however the format will be displayed with commas.



The screenshot shows an Excel spreadsheet with the following data:

	F	G
23	Current Threshold	
24	Large Trade Notification Required	Large Trade Dollar Threshold Amount
25	Yes	1,000,000.00

The formula bar at the top shows the value '1000000' for the selected cell. Red boxes highlight the '1000000' in the formula bar and the '1,000,000.00' in the cell. Red arrows point from the formula bar to the cell and from the cell back to the formula bar, illustrating the format change.

The following fields will be updated as part of this enhancement:

- “Large Trade Threshold Change” Notification
 - “Large Trade Dollar Threshold Amount (Current Threshold)”
 - “Large Trade Dollar Threshold Amount (New Threshold)”
- “Purchase Maximum Change” Notification
 - “From Maximum Value”
 - “To Maximum Value”
- “Purchase Minimum Change” Notification
 - “From Minimum Value”
 - “To Minimum Value”
- “Fee/Breakpoint Change” Notification
 - “12b-1 Fee current: Start at (breakpoint)”
 - “12b-1 Fee new: Start at (breakpoint)”
 - “Redemption Fee Amount (current schedule)”
 - “Redemption Fee Amount (new schedule)”
 - “Breakpoint Minimum Account Value (current schedule)”
 - “Breakpoint Maximum Account Value (current schedule)”
 - “Breakpoint Minimum Account Value (new schedule)”
 - “Breakpoint Maximum Account Value (new schedule)”
 - “CDSC Schedule Lower Limit (current schedule)”
 - “CDSC Schedule Upper Limit (current schedule)”
 - “CDSC Schedule Lower Limit (new schedule)”
 - “CDSC Schedule Upper Limit (new schedule)”

2) Auto Close Aged Notifications

Current Functionality

Under the current design, clients must close their aged event notifications by changing “Event Status” to “Closed”.

Once a notification is closed, the “Undeliverable Emails/Automatic Replies” section of the Notification Audit Trail displays any unaddressed returned emails with an action of “Closed Notification” in the “Action Taken” column. However, “Action Taken By” and “Action Taken On” fields do not specify the party and date/time when the notification was closed.

Notification Audit Trail

Event ID: 1001354 Event Type: Account/History Purge Event Status: Closed Distribution Status: Distributed

Notification Audit Trail Undeliverable Emails/Automatic Replies

10/02/2023 10:52:01 AM Event Status: Initial Notification Distributed by: tgranovskiy@dtcc.com

Email	Action	Revised Email	Impacted Distribution Lists	Email specified in Step 4	Designated by Recipients	Reason	Received	Action Taken	Action Taken By	Action Taken On
yana1@dtcc.com	Revise/Resend	yana11@dtcc.com		No		Undeliverable/Failed Email	2023-10-02 10:52:03 AM	Submitted	tgranovskiy@dtcc.com	2023-10-02 11:00:48 AM
yana11@dtcc.com			YG 8-7-21	Yes		Undeliverable/Failed Email	2023-10-02 11:00:48 AM	Closed Notification		
yana2@dtcc.com				Yes		Undeliverable/Failed Email	2023-10-02 10:52:03 AM	Closed Notification		
yana3@dtcc.com			YG test 1	Yes		Undeliverable/Failed Email	2023-10-02 10:52:03 AM	Closed Notification		

Enhanced Functionality

To minimize keystrokes and enforce event status for aged notifications, MF Info Xchange will automatically close (change “Event Status” to “Closed”) event notifications where the “Effective Date” of the notification is 180 or more calendar days in the past.

Notifications with multiple effective dates will be automatically closed as follows:

- “Dividend/Capital Gain Schedule” and “Interval/Tender Fund Transaction Schedule” notifications will be auto closed when 180 or more calendar days have passed since December 31st of the year provided in the “Year” field.
- “Price/Rate Error” notifications will be auto closed where notification’s Last Update Date is 180 or more calendar days in the past.

Note: clients can continue to close their aged event notifications, however in the event the notification has reached the above criteria and has not been closed by the submitter, it will be automatically closed by the system.

Notification Audit Trail will continue to display an entry for an Event Status change. However, if the notification was auto closed by the system, the “Modified by” field will display “MF Info Xchange”.

If the notification was closed by the client, this audit trail entry will display the client’s username (as per existing functionality).

In addition, the “Undeliverable Emails/Automatic Replies” section of the notification audit trail will specify the party (“Action Taken By” field) and date/time (“Action Taken On” field) when the notification was closed.

Notification Audit Trail Return To Notification

Event ID: 11034 Event Type: Account/History Purge Event Status: Closed Distribution Status: Distributed

Notification Audit Trail Undeliverable Emails/Automatic Replies

** Indicates a deleted row

10/30/2023 02:46:50 PM Modified by: MF Info Xchange

Section Name	Sub-Section Name	Field Name	Previous Value	New Value
		Event Status	Initial Notification	Closed

Notification Audit Trail Return To Notification

Event ID: 11034 Event Type: Account/History Purge Event Status: Closed Distribution Status: Distributed

Notification Audit Trail Undeliverable Emails/Automatic Replies

03/27/2023 12:50:18 PM Event Status: Initial Notification Distributed by: kburnett@dtcc.com

Email	Action	Revised Email	Impacted Distribution Lists	Email specified in Step 4	Designated by Recipients	Reason	Received	Action Taken	Action Taken By	Action Taken On
keri23@dtcc.com				Yes		Undeliverable/Failed Email	2023-03-27 12:50:22 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM
nchen@dtcc.com				No	0075 - LPL FINANCIAL CORPORATION	Undeliverable/Failed Email	2023-03-27 12:50:22 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM
nchenc@dtcc.com				No	0099 - ITG INC.	Undeliverable/Failed Email	2023-03-27 12:50:22 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM
redest@dtcc.com				No	1234 - NICK TEST FUND	Undeliverable/Failed Email	2023-03-27 12:50:22 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM
test@gmail.com				No	05/28/2013 TEST	Undeliverable/Failed Email	2023-03-27 12:52:24 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM
				No	0057 - EDWARD D. JONES & CO.	Undeliverable/Failed Email	2023-03-27 12:52:24 PM	Auto-Closed Notification	MF Info Xchange	2023-10-30 02:46:49 PM

3) Purge Aged Data

Current Functionality

Under the current design, aged event notifications remain in the system and are included in the search results when clients are searching notifications via UI or API calls.

Enhanced Functionality

In order to reduce noise on the notification receivers’ and submitters’ portals and API calls and to comply with the DTCC records management policy, MF Info Xchange will automatically purge all notifications and their associated parameters (notification data, audit trail, distribution history, undeliverable emails) 5 years after the notification was last updated (updated or distributed/redistributed). Once purged, the notification will no longer appear on the submitter’s and receivers’ portals/API calls and can no longer be retrieved, reviewed, and/or searched for.

4) Enforce Notification Event Status for New Notifications

In order to further streamline communications, the “Event Status” field will be automatically set to “Initial Notification” for all newly created notifications.

Current Functionality

The “Event Status” field is defaulted to “Initial Notification” on the “Create Notification” screen. However, the “Event Status” field is not disabled, therefore clients are able to select a status other than “Initial Notification” when distributing new notifications.

Enhanced Functionality

- UI Screen

In order to minimize keystrokes and ensure that the “Event Status” on the newly created notifications is always set to “Initial Notification”, the “Event Status” field will be defaulted to “Initial Notification” (existing functionality) and disabled (enhanced functionality) on the “Create Notification” screen.

Create Notification



The screenshot shows a multi-step process for creating a notification. At the top, there are four steps: Step 1 (highlighted in blue), Step 2, Step 3, and Step 4. Below the steps, there are two dropdown menus. The first is labeled 'Event Type*' and has 'Fund Merger' selected. The second is labeled 'Event Status*' and has 'Initial Notification' selected. The 'Event Status*' dropdown is highlighted with a red border.

- API call

The “notificationStatus” field on the notification submitter’s create notification endpoint `/client/{clientId}/notifications/` must be populated with “Initial Notification”. API calls with a “notificationStatus” other than “Initial Notification” will be rejected by the system.

5) Notification Receivers - Version History

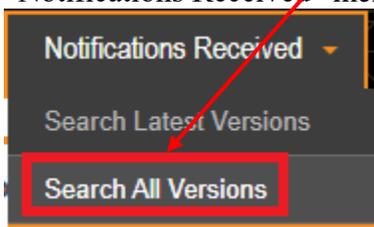
Current Functionality

Under the current design, notification submitters have access to notification audit trail for their organization’s notifications. However, notification receivers can view only the latest/most current version of the notifications distributed to them by their trading partners and are not able to view any previous versions of the received notifications.

Enhanced Functionality

In order to provide notification receivers with a complete notification history, MF Info Xchange will be enhanced as follows:

- A new “**Search All Versions**” Screen will be added to the notification receivers’ portals under “Notifications Received” menu option:



When searching for received notifications via the “Search All Version” screen, notification receivers will see a list of notifications in the Search Results table that will include **all versions** of each received notification.

For example, if a notification was received multiple times, the search results table will display all versions of this notification with the respective Event Status and Received Date.

Search All Versions

Please provide search criteria or select "Submit" to view all notifications

Submit

Clear

Notification Received Date Range

Effective Date Range

This search parameter does not apply to Event Type "Price/Rate Error"

Event Type

Fund Company

Event Status

Search Results

Event ID	Event Type	Event Status	Effective Date ↓	Fund Company	Notification Received Date
80006	Share Class Eligibility C...	Update	10/25/2023	00004890 - Davis	10/25/2023
80006	Share Class Eligibility C...	Update	10/19/2023	00004890 - Davis	10/18/2023
80006	Share Class Eligibility C...	Initial Notification	10/05/2023	00004890 - Davis	10/05/2023

Receivers can select any of the historical versions of the notification to view notification details from the respective distribution.

Clicking on the Event ID will take the receiver to the “Notification Details” Screen. This screen will be enhanced as follows:

- The top section of the screen will display the details for the version (including the date when this version was received) selected on the previous Search Results screen.
- The “Notification Received History” table will display all received versions in the chronological order (latest version at the top) with the date and time the notification was received.

Event ID: 80006	Event Type: Share Class Eligibility Change	Event Status: Update	Fund Company: 00004890 - Davis	Received Date : 10/25/2023
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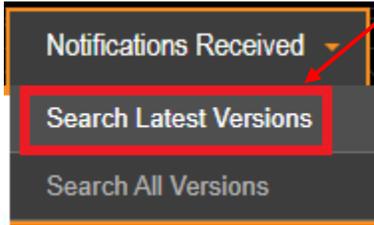
Please click [here](#) to download the notification.

Notification Received History

Event Status	Effective Date	Received Date and Time	Download
Update	10/25/2023	10/25/2023 09:25:35 PM	
Update	10/19/2023	10/18/2023 09:32:29 AM	
Initial Notification	10/05/2023	10/05/2023 08:31:05 AM	

Note: The “Revision History” tab on the notification Excel file will list and highlight the changes between the version being viewed and the previously received version of this notification.

- The existing Search Screen (under “Notifications Received” menu item) will be renamed from “Search” to “Search Latest Versions”.



Search results will continue to display only the latest version of the notification.

Search Latest Versions

Please provide search criteria or select "Submit" to view all notifications Submit Clear

Notification Received Date Range

Event Type

Fund Company

Effective Date Range

Event Status

Security Issue ID

Search Results

Event ID	Event Type	Event Status	Effective Date ↓	Fund Company	Notification Received Date
80006	Share Class Eligibility Chan...	Update	10/25/2023	00004890 - Davis	10/25/2023
80799	Share Class Eligibility Chan...	Initial Notification	10/23/2023	00004890 - Davis	10/23/2023
50056	Share Class Eligibility Chan...	Update	10/24/2020	00004890 - Davis	09/24/2020

Clicking on the Event ID will continue to take the receiver to the “Notification Details” Screen. The top section of the screen will display the details for the latest version (including the date when this latest version was received).

The “Notification Received History” table will display all received versions (in a chronological order) with the date and time the notification was received.

Event ID: 80006	Event Type: Share Class Eligibility Change	Event Status: Update	Fund Company: 00004890 - Davis	Received Date : 10/25/2023
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Please click [here](#) to download the notification.

Notification Received History

Event Status	Effective Date	Received Date and Time	Download
Update	10/25/2023	10/25/2023 09:25:35 PM	
Update	10/19/2023	10/18/2023 09:32:29 AM	
Initial Notification	10/05/2023	10/05/2023 08:31:05 AM	

6) Enhancements to Notification Search Screens

In order to further streamline notification search capabilities, notification search screens as well as search results and the Search Results Download Excel file will be enhanced as follows:

- **Notification Search Screens – search by Security Issue ID**

The “Search Latest Versions” screen (receivers’ portals) and “View/Update Notifications” screen (submitters’ portals) will be enhanced with an additional optional search parameter – “Security Issue ID”.

Clients will be able to search notifications created by their organizations as well as notifications received from their trading partners by providing Security Issue IDs. Notifications containing at least one of the provided Security Issue IDs will be returned in the search results table.

View/Update Notifications

Please provide search criteria or select "Submit" to view all notifications

Last Distribution Date Range

Effective Date Range

Event Type

Select a Value

Event Status

Select a Value

Security Issue ID

Search Results Table and Search Results Download Excel File will also display a new “Security Issue ID” column. **Note:** this column will be available to Large Trade Notification submitters and receivers. The “Impacted Funds” tab of the search results Excel file will continue to list all impacted Security Issue IDs.

The “Security Issue ID” field on the search results table and Excel Download File will be populated as follows:

- **Security Issue ID (e.g., 123456789)** - will be displayed if the notification lists one Security Issue ID in the “Impacted funds” table
- **“Multiple Security Issue IDs”**. This value will be displayed if the notification has multiple distinct Security Issue IDs in the “Impacted funds” table. **Note:** clients can hover over this value within the Search Results table to see the list of impacted Security Issue IDs. The Excel Download File will also list all the Security Issue IDs impacted by this event.
- **Blank** value will be displayed if the notification does not reference any impacted Security Issue ID(s).

View/Update Notifications

Please provide search criteria or select "Submit" to view all notifications

Last Distribution Date Range

Effective Date Range

Event Type

Select a Value

Event Status

Select a Value

Security Issue ID

Event ID	Event Type	Event Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)	Security Issue ID(s)
81406	Large Trade Notification	Initial Notification	Revised-Pending Distribution	10/30/2023	10/30/2023	11/01/2023	tgranovskiy@dtcc.com	00009138-FUND TEST ACCOUNT	Multiple Security Issue IDs
81409	Large Trade Notification	Initial Notification	Revised-Pending Distribution	10/30/2023	10/30/2023	11/01/2023	tgranovskiy@dtcc.com	00005119-MUTUAL FUND TEST #1-F...	333333333 222222222,333333333
81712	Large Trade Notification	Initial Notification	Draft	11/30/2023	11/01/2023	11/01/2023	tgranovskiy@dtcc.com	00005119-MUTUAL FUND TEST #1-F...	123456789
81713	Large Trade Notification	Initial Notification	Draft	11/23/2023	11/01/2023	11/01/2023	tgranovskiy@dtcc.com	00005119-MUTUAL FUND TEST #1-F...	

- **Add “Receiver(s)” information to the notification submitters’ search screen**

When sending event notifications, the submitters specify which receivers (NSCC Participant Numbers) can view the notification on their portals and/or API calls. Depending on the event type and notification details, notifications can be sent to one, multiple or all subscribing clients.

In order to enhance notification search capabilities, the notification submitters’ search screen will display “Receiver(s)” in the search results table allowing the clients to view notification receivers’ information without having to open each notification.

Note: this field will be added to the “View/Update Notifications” search screen for both fund and firm clients.

The “Receiver(s)” field will be populated as follows:

- Fund submitter UI Search Screen

- **NSCC Participant Number - Name** of the receiving firm. This value will be displayed if the notification was distributed to one firm/NSCC Participant Number.
- **Non-Subscribing Firms.** This value will be displayed if the notification was distributed to non-subscribing receivers.
- **All Firms.** This value will be displayed if the notification was distributed to all firms.

Note: these values will correspond to the selections made by the fund in Step 4 of the notification.

- If the notification was distributed to multiple NSCC Participant Numbers (multiple receivers were selected in Step 4) – the “Receiver(s)” field will display **Multiple Receivers.**

Event ID	Event Type	Event Status	Approval Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)
7719	Fund Closure - Liquidation	Initial Notification	Approved	Distributed	10/02/2023	03/01/2021	02/01/2021	tgranovskiy@dtcc.com	All Firms
12455	Issue Notification	Update	Approved	Distributed	09/22/2023	09/20/2023	09/22/2023	tgranovskiy@dtcc.com	All Firms
7767	Fund Closure - Liquidation	Initial Notification	Not Submitted	Pending Distribution	02/28/2021	02/28/2021	02/08/2021	tgranovskiy@dtcc.com	All Firms
10786	Account/History Purge	Initial Notification	Pending Approval	Pending Distribution		06/10/2022	12/23/2022	tgranovskiy@dtcc.com	All Firms
12597	Fund Name Change	Initial Notification	Pending Approval	Pending Distribution		12/31/2023	10/10/2023	tgranovskiy@dtcc.com	00000122-TEST ACCO...
12598	Fee/Breakpoint Change	Initial Notification	Pending Approval	Pending Distribution		01/31/2024	10/10/2023	tgranovskiy@dtcc.com	Multiple Receivers
12599	Large Trade Threshold Change	Initial Notification	Pending Approval	Pending Distribution		02/29/2024	10/10/2023	tgranovskiy@dtcc.com	Non-Subscribing Firms

Hovering over the “Multiple Receivers” value will display a list of all selected receivers.

- Firm submitter UI Search Screen

- The field will contain the **NSCC Participant Number - Name** of the receiving fund.

Event ID	Event Type	Event Status	Approval Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)
7346	Large Trade Notification	Initial Notification	Y	Distributed	11/09/2020	11/10/2020	11/09/2020	tgranovskiy@dtcc.com	00005119-MUTUAL ...
7298	Large Trade Notification	Initial Notification	Y	Distributed	11/05/2020	11/06/2020	11/05/2020	tgranovskiy@dtcc.com	00005119-MUTUAL ...
12600	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		10/11/2023	10/10/2023	tgranovskiy@dtcc.com	00009138-FUND TE...
12601	Large Trade Notification	Initial Notification	Pending Approval	Pending Distribution		10/11/2023	10/10/2023	tgranovskiy@dtcc.com	00009999-LISTED E...

The search results download Excel file (both tabs) will also display the “Receiver(s)” column.

In addition, Firm’s search results download file (“Results with Impacted Funds” tab) will also show if the receiver of the Large Trade Notification is a subscribing MF Info Xchange client.

Event ID	Event Type	Event Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By	Receiver(s)	Subscribed Recipient?
80458	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/24/2023	10/16/2023	user1@firm.com	00001111 - Fund A	No
80458	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/24/2023	10/16/2023	user1@firm.com	00002222 - Fund B	No
76665	Large Trade Notification	Initial Notification	Distributed	10/10/2023	06/08/2023	10/10/2023	user2@firm.com	00003333 - Fund C	Yes

7) Large Trade Notification – Enhanced Search Results Download Excel File

Current Functionality

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, firm clients must open each Event ID to determine the Large Trade Dollar Amount and other pertinent information for each of their Large Trade notifications.

View/Update Notifications

Please provide search criteria or select "Submit" to view all notifications

Submit Clear

Last Distribution Date Range

Date  Date 

Event Type

Select a Value

Effective Date Range

Date  Date 

Event Status

Select a Value

Event ID	Event Type	Event Status	Distribution Status	Last Distribution Date	Effective Date	Last Updated	Last Updated By
1001944	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/16/2023	10/16/2023	amuhammad1@dtcc.com
1001945	Large Trade Notification	Initial Notification	Distributed	10/16/2023	12/29/2023	10/16/2023	amuhammad1@dtcc.com
1001946	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/18/2023	10/16/2023	amuhammad1@dtcc.com
1001947	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/19/2023	10/16/2023	amuhammad1@dtcc.com
1001948	Large Trade Notification	Initial Notification	Distributed	10/16/2023	10/20/2023	10/16/2023	amuhammad1@dtcc.com

The Fund's receiver search screen displays key information on the received Large Trade Notifications, however fund clients must open each Event ID to determine the Dollar Amount of the Large Trade notification.

Search Notifications

Please provide search criteria or select "Submit" to view all notifications

Submit Clear

Notification Received Date Range

Date

Effective Date Range

Date

Event Type

Select a Value

Firm Company

Select a Value

Event Status

Select a Value

Search Results

Event ID	Event Type	Event Status	Effective Date	Firm Company	Notification Received Date
1001877	Large Trade Notification	Initial Notification	07/21/2023	00002960 - MUTUAL FUND TEST BROKER 2	07/21/2023
1001753	Large Trade Notification	Initial Notification	05/18/2023	00008603 - SETTLEMENT TEST ACCOUNT #15	05/01/2023
1001847	Large Trade Notification	Initial Notification	05/15/2023	00000122 - TEST ACCOUNT FORWARD TO P & S DEPT	09/19/2023
1001696	Large Trade Notification	Initial Notification	03/29/2023	00000122 - TEST ACCOUNT FORWARD TO P & S DEPT	03/29/2023
1001691	Large Trade Notification	Initial Notification	03/24/2023	00000122 - TEST ACCOUNT FORWARD TO P & S DEPT	03/24/2023
1001692	Large Trade Notification	Initial Notification	03/24/2023	00000122 - TEST ACCOUNT FORWARD TO P & S DEPT	03/24/2023

Enhanced Functionality

In order to enable Large Trade Notification submitters (firms) and Large Trade Notification receivers (funds) to clearly distinguish between the Large Trade notifications returned by the search query, the following notification fields will be added to the search results download Excel file on the “Results with Impacted Funds” tab.

- Firm’s search results download Excel file:
 - Fund Participant Number
 - Order Type
 - Buy side Security Issue ID (voluntary share class exchange)
 - Buy side Ticker (voluntary share class exchange)
 - Buy side Fund Name (voluntary share class exchange)
 - Buy Side account # (voluntary share class exchange)
 - Trade Amount \$
 - Submitting Agent ID for Trade
 - Submitting Agent Name for Trade
 - Settling Agent ID for Trade
 - Settling Agent Name for Trade
 - Underlying Firm Symbol - Correspondent
 - Underlying Firm Name – Correspondent

Impacted Funds													
Share Class	Fund Participant Number	Order Type	Buy side Security Issue ID (voluntary share class exchange)	Buy side Ticker (voluntary share class exchange)	Buy side Fund Name (voluntary share class exchange)	Buy Side account # (voluntary share class exchange)	Trade Amount \$	Submitting Agent ID for Trade	Submitting Agent Name for Trade	Settling Agent ID for Trade	Settling Agent Name for Trade	Underlying Firm Symbol - Correspondent	Underlying Firm Name - Correspondent
	00001111	Initial Purchase					10,000,000.00		Agent Name 1				
	00002222	Initial Purchase					50,000,000.00		Agent Name 2				
	00003333	Voluntary Share Class Exchange	1111111111	1111111111	Fund Name A	123	100,000,000.00	00123123	Agent Name 1				

- Fund’s search results download Excel file:
 - Order Type
 - Buy side Security Issue ID (voluntary share class exchange)
 - Buy side Ticker (voluntary share class exchange)
 - Buy side Fund Name (voluntary share class exchange)
 - Buy Side account # (voluntary share class exchange)
 - Trade Amount \$
 - Submitting Agent ID for Trade
 - Submitting Agent Name for Trade
 - Settling Agent ID for Trade
 - Settling Agent Name for Trade
 - Underlying Firm Symbol - Correspondent
 - Underlying Firm Name – Correspondent

MF Info Xchange										Impacted Funds													
Event ID	Event Type	Event Status	Effective Date	Firm Company ID	Firm Company Name	Notification Received Date	Fund Number	Security Issue ID	Fund Name	Ticker	Share Class	Order Type	Buy side Security Issue ID (voluntary share class exchange)	Buy side Ticker (voluntary share class exchange)	Buy side Fund Name (voluntary share class exchange)	Buy Side account # (voluntary share class exchange)	Trade Amount \$	Submitting Agent ID for Trade	Submitting Agent Name for Trade	Settling Agent ID for Trade	Settling Agent Name for Trade	Underlying Firm Symbol - Correspondent	Underlying Firm Name - Correspondent
51317	Large Trade Initial Notification		11/25/2023	00001111	Firm A	11/25/2023		1.11E+08	Fund a			Initial Purchase				100,000.00		name					
51317	Large Trade Initial Notification		11/25/2023	00002222	Firm B	11/25/2023		2.22E+08	Fund b			Subsequent Purchase				200,000.00		name					
51317	Large Trade Initial Notification		11/25/2023	00003333	Firm C	11/25/2023		3.33E+08	Fund c			Redemption				300,000.00		name					
51317	Large Trade Update		11/25/2023	00004444	Firm D	11/25/2023		4.44E+08	Fund d			Voluntary Share Class Exchange	66666666		fund name	400,000.00		name					
51317	Large Trade Cancelled		11/25/2023	00005555	Firm E	11/25/2023		5.56E+08	Fund e			Voluntary Share Class Exchange	77777777		fund name	500,000.00		name					

8) Create/Update Notification Screen – enhancements to “Save” and “Download” capabilities

To further unify UI and API capabilities, when creating new or updating existing notifications, clients will need to populate all required fields on Step 1 and Step 2 of the notification in order to Save and/or Download their notification. If Step 2 of the notification does not contain any mandatory fields, clients must navigate to Step 2 of the notification to be able to Save and/or Download this notification.

In addition, the “Save” button will be disabled if no changes have been made to any of the notification fields (Step 1 and/or Step 2 and/or Step 4).

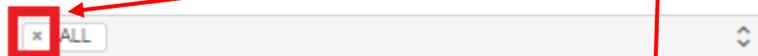
9) Drop-down fields – select/de-select value functionality

In order to further standardize dropdown fields across the UI, certain fields’ behavior will be enhanced as follows:

Current Functionality

In order to remove selected values, clients must delete the current selections by clicking on the “x” sign to the left of the current selection and select new value(s) from the drop-down list.

Fund Company*



A screenshot of a dropdown menu. The selected value is "ALL". To the left of "ALL" is a small square button containing an "x" icon. A red box highlights this "x" icon. A red arrow points from this icon to the "x" icon in the dropdown menu below.

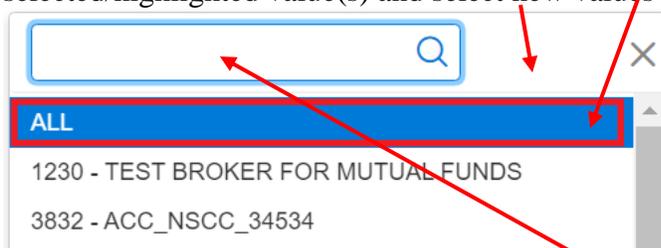
Fund Company*



A screenshot of a dropdown menu showing a list of fund companies. The selected value is "2956 - MUTUAL FUND TEST FUND CO 2", which is highlighted in blue. A red box highlights this selected item. A red arrow points from the "x" icon in the dropdown menu above to this selected item.

Enhanced Functionality

In order to remove selected values, clients must de-select the value(s) by clicking on the selected/highlighted value(s) and select new values from the drop-down list.



A screenshot of a dropdown menu with a search box at the top. The search box contains a magnifying glass icon and an "x" icon. Below the search box is a list of fund companies. The selected value is "ALL", which is highlighted in blue. A red box highlights this selected item. A red arrow points from the "x" icon in the search box to this selected item.

Clients can search the list by typing the value in the search box.

The following fields will be updated as part of this enhancement:

- “View/Update Notifications” screen (fund and firm side): “Event Type”, “Event Status”, “Approval Status” fields.
- “Notifications Received” --> “Search Latest Versions” screen (fund and firm side): “Event Type”, “Event Status”, “Firm Company”, “Fund Company” fields.
- “Notifications Received” --> “Search All Versions” screen (fund and firm side): “Event Type”, “Event Status”, “Firm Company”, “Fund Company” fields.
- “Consolidated Schedules” screen (firm side): “Fund Company” field.

10) Date Fields – Update Validation Rules

In order to standardize validation rules for date fields, the following UI and API fields will be updated to allow past dates. **Note:** the current rule allows only current and future dates for these fields.

- “Fund Reopening” Notification
 - “Reopening Fund Trade Date for new accounts” (API field “newAcctTradeDate”)
 - “Reopening Fund Trade Date for Existing Investors Subsequent Buys/Exchanges In” (API field “subExchTradeDate”)
 - “Reopening Fund Trade Date for Sells” (API field “sellsTradeDate”)

- “Share Class Conversion/Exchange” Notification
 - “Conversion Date” (API field “conversionDate “)
 - “Networking Share Class Conversion Activity Records (F55) Date” (API field “netDateF55”)
 - “Anticipated Extended NAV availability date” (API field “extendedNavDate”)
 - “Client Notification Date” (API field “clientNotificationDate”)

- “New Fund/New Share Class Launch” Notification
 - Fund information is available in NSCC MFPS Profile Security Database: Will be Added on” (API field “fundInformationDate”)

These changes will be applied to the following API endpoints:

- Create notification endpoint: **/client/{clientId}/notifications/**
- Update notification endpoint: **/client/{clientId}/notifications/{eventId}/update**

PLEASE NOTE: In order to perform code migration, MF Info Xchange will not be available in production on November 30, 2023, between 8pm-10pm ET.

TESTING

Effective November 17, 2023, 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 January 19, 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