

<b>A#:</b>	<b>9257</b>
<b>P&amp;S:</b>	<b>8830</b>
<b>Date:</b>	<b>February 22, 2023</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 **March 10, 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) Notification Cloning Functionality**

In order to further minimize keystrokes and reduce risks associated with manual entry, MF Info Xchange portal will be enhanced with notification cloning capabilities. A new “Clone Notification” icon will be added to all notifications.



Clicking on this icon will create a copy of the notification where **all** data elements (with the exception of the “Event Status” field) from the original notification will be carried over to the new/cloned notification.

“Event Status” field of the cloned notification will be automatically set by the system to “Initial 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](http://www.dtcc.com/subscription_form.php).

**Note:** if the original notification was cancelled by the submitter (Notification “Event Status” = Cancelled), Cancellation Reason will not be copied over to the new/cloned notification.

Clients are advised to review the cloned notification and make any necessary revisions prior to distribution.

## 2) “Dividend/Capital Gain Schedule” Notification – notification email improvements

### Current Functionality

Under the current design, when the “Dividend/Capital Gain Distribution Schedule” table is populated with the impacted funds, the email generated to the receivers of the notification lists these funds in the “Impacted Fund Name(s)” section. However, when the “Dividend Distribution Frequency Changes” table is populated with the impacted funds, these funds are not listed in the “Impacted Fund Name(s)” section of the email.

**From:** MF Info Xchange Notification PSE <MFI\_X\_Notifications\_PSE@dtcc.com>  
**Sent:** Tuesday, January 3, 2023 1:59 PM  
**Subject:** ABC FUNDS (NSCC Participant Number 00005119) - Dividend/Capital Gain Schedule (Event ID 10793) - Initial Notification (For NSCC use only: 6818)

**PLEASE DO NOT REPLY TO THIS EMAIL AS THIS IS NOT A MONITORED MAILBOX. Questions regarding this notification should be directed to ABC FUNDS**

**Fund Company Name:** ABC FUNDS  
**NSCC Participant Number:** 00005119  
**Event Type:** Dividend/Capital Gain Schedule  
**Event ID (system generated ID number):** 10793  
**Event Status:** Initial Notification  
**Effective Date:** N/A  
**Effective Time:** N/A  
**Impacted Fund Name(s):** Not Provided

This notification is sent to you by ABC FUNDS, through NSCC MF Info Xchange. Please see attached document for more details.

### Enhanced Functionality

In order to further streamline notification emails, “Impacted Fund Name(s)” section of the email will list the funds provided in the “Dividend Distribution Frequency Changes” table.

**From:** MF Info Xchange Notification QA <MFI\_X\_Notifications\_QA@dtcc.com>  
**Sent:** Friday, January 13, 2023 8:54 AM  
**Subject:** ABC FUNDS (NSCC Participant Number 00005119) - Dividend/Capital Gain Schedule (Event ID 74240) - Initial Notification (For NSCC use only: 63993)

**PLEASE DO NOT REPLY TO THIS EMAIL AS THIS IS NOT A MONITORED MAILBOX. Questions regarding this notification should be directed to ABC FUNDS**

**Fund Company Name:** ABC FUNDS|  
**NSCC Participant Number:** 00005119  
**Event Type:** Dividend/Capital Gain Schedule  
**Event ID (system generated ID number):** 74240  
**Event Status:** Initial Notification  
**Effective Date:** N/A  
**Effective Time:** N/A  
**Impacted Fund Name(s):** TEST1 INCOME FUND, TEST3 INCOME FUND, TEST2 INCOME FUND

This notification is sent to you by ABC FUNDS, through NSCC MF Info Xchange. Please see attached document for more details.

### 3) “Large Trade Threshold Change” notification – performance improvements

In order to further improve the client experience, UI performance enhancements have been made to Step 2 of the “Large Trade Threshold Change” event notification. When selecting data from Profile Security, the expected time to load the data into the event notification has been drastically reduced and will take just seconds to load!

This improved performance will allow clients to add all or a large number of Security Issue IDs from Profile Security into the “Large Trade Threshold Change” notification within seconds.

#### MFPS Profile Security

The screenshot shows the MFPS Profile Security interface. At the top, there are several dropdown menus for filtering: Fund Names, Share Classes, Security Issue IDs, Tickers, and Fund Status. Below these are 'Clear' and 'Search' buttons. A table displays a list of funds with columns for Select, Fund Number, Security Issue ID, Fund Name, Ticker, Share Class, and Fund Status. A red box highlights the 'Add Selected Fund Information To Notification' button at the bottom right of the table area. A status bar at the bottom left of the table indicates 'Displaying 1 to 1,269 of 1,269 records'.

Select	Fund Number	Security Issue ID	Fund Name	Ticker	Share Class	Fund Status
<input checked="" type="checkbox"/>	5015	789123456	TEST1 CI FUND	MFIX09	CLASS A	Closed - Liquidated
<input checked="" type="checkbox"/>	580	987321654	TEST1 ETR FUND	MFIX04	CLASS I	Open
<input checked="" type="checkbox"/>	585	123456789	TEST1 INCOME FUND	MFIX01	CLASS A	Open
<input checked="" type="checkbox"/>	1587	456789123	TEST1 MSA FUND	MFIX07	CLASS A	Closed - Liquidated
<input checked="" type="checkbox"/>	5005	789456123	TEST2 CI FUND	MFIX10	CLASS I	Open
<input checked="" type="checkbox"/>	579	192837465	TEST2 ETR FUND	MFIX05	CLASS A	Open
<input checked="" type="checkbox"/>	587	987654321	TEST2 INCOME FUND	MFIX02	CLASS I	Open
<input checked="" type="checkbox"/>	5025	456123789	TEST2 MSA FUND	MFIX08	CLASS I	Closed - Merged

**Note:** In order to improve UI performance, the “Impacted Funds” table of the “Large Trade Threshold Change” notification will no longer show “text boxes” for each data element listed on the screen.

The screenshot shows the 'Impacted Funds' table. The table has columns for Fund Number, Security Issue ID, Fund Name, Ticker, Share Class, Current Threshold (Large Trade Notification Required, Large Trade Dollar Threshold Amount), and New Threshold (Large Trade Notification Required, Large Trade Dollar Threshold Amount). A red arrow points to the 'Share Class' field in the first row, which contains the value 'A'.

Impacted Funds									
					Current Threshold		New Threshold		
Fund Number	Security Issue ID	Fund Name	Ticker	Share Class	Large Trade Notification Required	Large Trade Dollar Threshold Amount	Large Trade Notification Required	Large Trade Dollar Threshold Amount	
111	123456789	Test Fund	987654321	A	Yes	500000	Yes	1000000	

The values will appear without a text box. Clicking on the cell/value will open an editable pop-up text box where clients can enter/update the value.

Impacted Funds									
Fund Number	Security Issue ID	Fund Name	Ticker	Share Class	Current Threshold		New Threshold		Delete
					Large Trade Notification Requi...	Large Trade Dollar Threshold ...	Large Trade Notification Requi...	Large Trade Dollar Thresh...	
585	123456789	TEST1 INCOME FUND	MFIX01	CLASS A	Yes	1000000	Yes	500000	
3377	234567891	TEST2 INCOME FUND	MFIX02	M-A Class Z	No		Yes	6000000	
3373	98147A121	TEST3 INCOME FUND	MFIX03	M-A Institutional	No	7000000	No		

#### 4) “US Holiday Announcement” notification – Juneteenth holiday

In order to allow clients to communicate any potential operational holiday considerations for the Juneteenth holiday, a new “Juneteenth” drop-down option will be added to the “Holiday” field. Fund clients will select “Juneteenth” holiday when sending operational announcements for this holiday.

Holiday: \*

Select a Value

Martin Luther King, Jr. Day

President's Day

Good Friday

Memorial Day

**Juneteenth**

Independence Day

#### 5) Undeliverable Emails/Automatic Replies

##### Current functionality

Under the current design, when an event notification distribution results in undeliverable emails and/or automatic replies (e.g., out of the office responses), these emails are tracked on the notification submitter’s dashboard. Clients can review all returned emails and take the necessary actions. If the notification is subsequently redistributed (“Redistribute to All” or “Redistribute to New” functionality) – any additional responses/returned emails will be added to the existing dashboard entry that captured emails returned after this notification was distributed (“Distribute” functionality).

Notifications with Undeliverable Emails/Automatic Replies All

Event ID	Event Type	Event Status	Effective Date	Total Number of Undeliverable Emails/Automatic Replies	Number of Unresolved Undeliverable Emails/Automatic Replies	Distributed On	Distributed By
74363	New Fund/New Share Class Launch	Initial Notification	01/31/2023	6	6	2023-01-24 03:02:45 PM	tgranovskiy@dtcc.com

## Enhanced functionality

In order to provide additional transparency into the automatic email responses received after each distribution of a notification, a new entry will be made for each Distribute/Redistribute to All/Redistribute to New activity if that distribution resulted in returned emails.

Notifications with Undeliverable Emails/Automatic Replies Distributed last 7 days -

Event ID	Event Type	Event Status	Effective Date	Total Number of Undeliverable Emails/Automatic Replies	Number of Unresolved Undeliverable Emails/Automatic Replies	Distributed On	Distributed By
74363	New Fund/New Share Class Launch	Initial Notification	01/31/2023	6	6	2023-01-24 03:02:45 PM	tgranovskiy@dtcc.com
74363	New Fund/New Share Class Launch	Initial Notification	01/31/2023	11	11	2023-01-24 02:24:31 PM	tgranovskiy@dtcc.com
74363	New Fund/New Share Class Launch	Initial Notification	01/31/2023	10	10	2023-01-24 02:19:58 PM	tgranovskiy@dtcc.com
74333	Issue Notification	Initial Notification	01/31/2023	1	1	2023-01-20 08:55:02 AM	tgranovskiy@dtcc.com

**Note:** the existing functionality where a new distribution (“Distribute” functionality) of the notification replaces the previous entry in the dashboard (in the event the new distribution resulted in a receipt of undeliverable/auto response emails), will remain in place. All previous entries for this notification will be replaced by a new entry corresponding to the new distribution (“Distribute” functionality) of this Event ID.

**PLEASE NOTE:** In order to perform code migration, MF Info Xchange will not be available in production on March 9, 2023 between 8pm-10pm ET.

## TESTING

Effective February 24, 2023, clients can begin testing in the Participant Services Environment (PSE). Clients are 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 March 31, 2023.

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](mailto:WMSconnect@dtcc.com).

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Product Manager

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DTCC Wealth Management Services