

MMI EXCHANGE

MMI Exchange Quick Guide

General Processing Information

- Exhibit pulled from website.
- Shares to be posted via RAD in DTCC.
- Exhibit along with Letter of Instruction submitted.
- Request reviewed and determined if In Good Order (IGO) or Not In Good Order (NIGO).
- IGO request is added to the processing queue; NIGO request is rejected back to the requestor via a corrections email.
- RAD approved on DTCC and processed as per the request.

Important: If a request is cancelled, it is closed completely on our end. **There are no exceptions to this, as cancellation is due to requestor error and/or missed function(s).**

To Submit an Exchange Request

E-mail MMI.Exchange@bny.com.

We make every effort to process requests as quickly as possible. Exchange Requests must be processed in the order they are received.

Escalation

For status and/or escalation issues, please contact our MMI Exchange mailbox at MMI.Exchange@bny.com.

We will respond as soon as possible, in the order your request was received. Please allow up to one full business day for a response.