



October 2021

# MMLIS Contact List

Please call our toll-free number 1-800-542-6767

Representative Services Hours of Operation: 8:00 a.m. ET – 6:00 p.m. ET

**Please note: The telephone system automatically routes your call to the correct regionalized specialist.**

<b>Option 1 Representative Services</b> <ul style="list-style-type: none"> <li>Option 1 General Inquiries</li> <li>Option 2 Wealth Management Services (WMS) Operations</li> <li>Option 3 VA Order Entry</li> </ul>		<b>Option 4 U.S. Insurance Group Compliance</b> <ul style="list-style-type: none"> <li>Option 1 Customer Relations</li> <li>Option 2 Sales Material Review</li> <li>Option 3 Firm Element CE Questions</li> </ul>	
<b>Option 2 Trading</b> <ul style="list-style-type: none"> <li>Option 1 Equities, Mutual Funds, and Options</li> <li>Option 2 Fixed Income</li> <li>Option 3 Home Office/Client Trading</li> <li>Option 4 Corporate Actions</li> </ul>		<b>Option 5 Securities Registration &amp; Licensing</b>	
<b>Option 3 Wealth Management Services (WMS)</b>		<b>Option 6 MMLIS Compensation</b>	
OPTION #	OPTION	SUB OPTION	WHAT WE CAN ASSIST YOU WITH
1, 1	<b>Representative Services</b>	General Inquiries	<ul style="list-style-type: none"> <li>UAO, paperwork requirements and status</li> <li>Money movement</li> <li>Wealthscape PIN resets</li> </ul>
1, 2	<b>Representative Services</b>	Wealth Management Services (WMS) Operations (formerly CRIA)	<ul style="list-style-type: none"> <li>UAO, paperwork requirements and status for WMS</li> <li>Money movement for WMS</li> </ul>
1, 3	<b>Representative Services</b>	VA Order Entry (VAOE)	<ul style="list-style-type: none"> <li>System support and navigation</li> </ul>
2, 1	<b>Trading</b>	Option 1 Equities (Option 2,1,1) Option 2 Mutual Funds (Option 2,1,2) Option 3 Options (Option 2,1,3)	<ul style="list-style-type: none"> <li>Equities, mutual funds, and options trading</li> <li>Corrections requiring market action or related to equities, options</li> </ul>
2, 2	<b>Trading</b>	Fixed Income	<ul style="list-style-type: none"> <li>Fixed income trading and bond analysis</li> <li>Corrections related to fixed income</li> </ul>
2, 3	<b>Trading</b>	Home Office/Client Trading	<ul style="list-style-type: none"> <li>Trading for home office employees and clients</li> </ul>
2, 4	<b>Trading</b>	Corporate Actions	<ul style="list-style-type: none"> <li>Voluntary corporate actions information</li> </ul>
3	<b>Wealth Management Services (WMS)</b>	Wealth Management Services (WMS) Operations (formerly CRIA)	<ul style="list-style-type: none"> <li>Opening WMS account, UAO, paperwork requirements and status for WMS</li> <li>Money movement for WMS</li> </ul>
4, 1	<b>U.S. Insurance Group Compliance</b>	Customer Relations	<ul style="list-style-type: none"> <li>Written customer complaints</li> </ul>
4, 2	<b>U.S. Insurance Group Compliance</b>	Sales Material Review	<ul style="list-style-type: none"> <li>Sales material review inquiries</li> </ul>
4, 3	<b>U.S. Insurance Group Compliance</b>	Firm Element CE Questions	<ul style="list-style-type: none"> <li>Questions regarding firm element continuing education</li> </ul>
5	<b>Securities Registration &amp; Licensing</b>		<ul style="list-style-type: none"> <li>FINRA and state license requirements</li> <li>Investment Adviser Representative (IAR) affiliation requirements</li> <li>FINRA exam requirements</li> <li>MMLIS overview</li> </ul>
6	<b>MMLIS Compensation</b>		<ul style="list-style-type: none"> <li>Commission blotter/statement details</li> <li>Commissions on demand</li> <li>Debt balance</li> <li>Questions on resolving held compensation</li> </ul>

BROKER-DEALER MAILING ADDRESS		FINANCIAL PLANNING MAILING ADDRESS	
Overnight Mail <sup>1</sup>	Standard Mail	Overnight Mail <sup>2</sup>	Standard Mail
MML Investors Services, LLC c/o Conduent G-1411 1295 State St. Springfield, MA 01111	MML Investors Services, LLC P.O. Box 9062 Springfield, MA 01111	MML Investors Services, LLC c/o Conduent G-1411 1295 State St. Springfield, MA 01111	MML Investors Services, LLC P.O. Box 9058 Springfield, MA 01111

<b><sup>1</sup>Overnight Broker-Dealer Mail:</b> <ul style="list-style-type: none"> <li>Use blue mail pouch to send all paperwork to MMLIS, except financial plans.</li> <li>Detached offices should send all paperwork to the core agency for processing and mailing to MMLIS.</li> </ul>	<b><sup>2</sup>Overnight Financial Planning Mail:</b> <ul style="list-style-type: none"> <li>Every agency has access to UPS Campus Ship System. When creating a package for Financial Plans, use option “MMLIS Commissions/Financial Planning.” A label will be created with this overnight address.</li> </ul>
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NAME	EMAIL ADDRESS/CONTACT	WHAT WE ASSIST YOU WITH
<b>Bond Desk<sup>3</sup></b>	bonddesk@MassMutual.com	<ul style="list-style-type: none"> <li>Fixed Income or UIT corrections, requests for bond analysis reports and general Fixed Income queries (e.g., commissions, settlement cycle)</li> </ul>
<b>Cashiering<sup>4</sup></b>	mmliscash@MassMutual.com	<ul style="list-style-type: none"> <li>Requests to expedite money movement into or out of brokerage accounts</li> </ul>
<b>Compensation</b>	mmlcompinquiry@MassMutual.com	<ul style="list-style-type: none"> <li>MMLIS Service Continuation Agreements</li> <li>Vendor reimbursements/seminar fees</li> <li>Questions concerning commission rates received from vendor or status</li> </ul>
<b>Employee Trading<sup>3</sup></b>	employeetrading@MassMutual.com	<ul style="list-style-type: none"> <li>General queries regarding employee or client accounts</li> </ul>
<b>Entitlements</b>	nfsinternet@MassMutual.com	<ul style="list-style-type: none"> <li>Access requests for Wealthscape, Wealthscape Investor, MMLIS WMS Platform (ENV2)</li> <li>Linking of clients’ accounts for Wealthscape Investor, linking RR2s to Wealthscape for advisors and their assistants</li> </ul>
<b>Equities<sup>3</sup></b>	equities@MassMutual.com	<ul style="list-style-type: none"> <li>Equity corrections or general securities queries</li> </ul>
<b>Financial Planning Operations</b>	FinancialPlanningOperations@MassMutual.com	<ul style="list-style-type: none"> <li>Billing</li> <li>Commissions</li> <li>Fee payments</li> <li>Status</li> <li>Ongoing plans</li> </ul>
<b>Fortuna</b>	FortunaVIP@MassMutual.com 1-855-877-6164	<ul style="list-style-type: none"> <li>Program information, general queries, operational and technical support</li> </ul>
<b>MMLPS</b>	mmlps@MassMutual.com	<ul style="list-style-type: none"> <li>MMLPS qualification requirements</li> <li>Forms, allowable investment platforms, fee billing and payment receipt, annual reviews and services agreement changes</li> </ul>
<b>Morningstar Snapshot Requests</b>	Your Firm Investment Specialist	<ul style="list-style-type: none"> <li>Morningstar Snapshot requests</li> </ul>
<b>Mutual Fund Trading<sup>3</sup></b>	mutualfundtrading@MassMutual.com	<ul style="list-style-type: none"> <li>General mutual fund queries</li> </ul>
<b>Non-purpose Loans</b>	mmlisnpl@MassMutual.com	<ul style="list-style-type: none"> <li>Questions and assistance regarding MMLIS non-purpose loan offerings</li> </ul>
<b>PRC Submissions</b>	prcsubmissions@MassMutual.com	<ul style="list-style-type: none"> <li>Pension Resource Center good order review during the submission process</li> </ul>
<b>PRC Sales</b>	mprcsales@MassMutual.com	<ul style="list-style-type: none"> <li>Support of the sale of employer-sponsored retirement plans</li> </ul>
<b>Product</b>	mmlisproducts@MassMutual.com	<ul style="list-style-type: none"> <li>BD and Advisory product inquiries</li> </ul>
<b>Recon (legacy MSI only)</b>	msirecon@MassMutual.com	<ul style="list-style-type: none"> <li>AUM or data discrepancies in Envestnet CCR (legacy MSI data aggregation)</li> </ul>
<b>Research &amp; Resolution</b>	mmlisirr@MassMutual.com	<ul style="list-style-type: none"> <li>Handles a broad array of specialized inquiries (e.g., research, corrections, etc.)</li> </ul>
<b>Sales Tools</b>	salestools@MassMutual.com	<ul style="list-style-type: none"> <li>eMoney/PFV linking</li> <li>Morningstar Workstation subscriptions and inquiries</li> </ul>
<b>Service</b>	mmliservice@MassMutual.com	<ul style="list-style-type: none"> <li>General direct and brokerage related questions</li> </ul>

FOR BROKER/DEALER USE. NOT FOR USE WITH OTHER AUDIENCES.

NAME	EMAIL ADDRESS/CONTACT	WHAT WE ASSIST YOU WITH
<b>Training</b>	bdtraining@MassMutual.com	<ul style="list-style-type: none"> <li>• Access and assistance with MMLIS Distance Learning</li> <li>• MMLIS product and program training requirements</li> </ul>
<b>Transfer of Assets<sup>4</sup></b>	toa@MassMutual.com	<ul style="list-style-type: none"> <li>• Requests for status, escalation, or follow up on TOA receives/deliveries in brokerage accounts</li> <li>• Important note: This email box is not to be used to initiate a TOA</li> </ul>
<b>Transitions</b>	Your MMLIS Transition Support Consultant	<ul style="list-style-type: none"> <li>• Only for firms hiring an experienced advisor and who qualify for experienced advisor support</li> <li>• Assistance with legal docs, business profile supplement, experienced advisor profile</li> </ul>
<b>Variable Life Suitability</b>	vlsuitability@MassMutual.com	<ul style="list-style-type: none"> <li>• Suitability review during the submission process</li> </ul>
<b>WMS Investment Policy Rules</b>	advisorymonitoring@MassMutual.com	<ul style="list-style-type: none"> <li>• WMS Investment policy (IP) rules or WMS violations surveillance and processing</li> </ul>
<b>WMS Product</b>	mmliswmsproducts@MassMutual.com	<ul style="list-style-type: none"> <li>• WMS platform, programs, and product questions including billing, fees, training and licensing requirements</li> </ul>
<b>WMS Sales</b>	Investnet Sales Desk Investnet Platform Consulting Investnet PMC Overlay Services Investnet PMC Portfolio Consulting Services (OCFD)	<ul style="list-style-type: none"> <li>• WMS sales and investment related assistance contact 1-855-769-0806</li> <li>• WMS proposals and navigation assistance contact 1-844-280-7015</li> <li>• Investnet PMC Overlay Services phone: 1-972-996-5404; email address: pmcoverlayservices@investnet.com</li> <li>• Investnet PMC Portfolio Consulting Services email address pmcconsultingsales@investnet.net</li> </ul>
<b>WMS Service</b>	wmsservice@MassMutual.com	<ul style="list-style-type: none"> <li>• General WMS operational questions, raise cash, terminate requests, PIP/SWP updates</li> </ul>

<sup>3</sup> Please note that trades cannot be accepted if sent to this email box. They must be called into the desk or submitted directly by the registered representative.

<sup>4</sup> Checks must be made payable to National Financial Services, LLC and are acceptable in any of the following formats:  
 • National Financial Services, LLC • National Financial Services • NFS, LLC. All others cannot be accepted.

In addition, the Broker-Dealer name (MML Investors Services, LLC) may not be referenced anywhere in the “Payee” field of the check, even if it is intended to be part of the mailing address. While the address for Inbound Services is “MML Investors Services, LLC C/O NFS,” that information cannot be printed in the “Payee” field.

**NOTE:**

- For Annuity and Direct business, checks must be made payable to the carrier/sponsor/mutual fund company and not NFS. Financial Planning checks must be made payable to MML Investors Services, LLC.
- For all checks sent to NFS, include the deposit account number in the check memo field.
- For retirement contributions, write the year of the contribution in the memo field of the check. Otherwise, the deposit will default to the current year.

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