

# TradeSuite ID<sup>®</sup> Number and Subscriptions FAQ for Investment Managers

## WHAT IS A TRADESUITE ID NUMBER?

A TradeSuite ID Number is an identifier used in the TradeSuite ID system to distinguish between parties on a trade confirm. Each party (institution, broker, agent or interested party) on the trade should have their own TradeSuite ID Number.

## HOW IS A TRADESUITE ID NUMBER TYPICALLY USED?

To process a confirm in the TradeSuite ID system it is mandatory that valid TradeSuite ID Numbers of all parties (institution, broker and agent) are provided by the broker. This allows TradeSuite ID to identify all parties and distribute the confirm accordingly.

## WHO CAN APPLY FOR A TRADESUITE ID NUMBER?

Any DTCC ITP client (institution, broker, agent or interested party) who wants to be denoted as a party on a TradeSuite ID confirm can apply to obtain a TradeSuite ID Number.

*Please see below for a specific scenario where non-TradeSuite ID clients may apply to obtain a TradeSuite ID Number ("ID Only").*

## DO YOU NEED TO HAVE A TRADESUITE ID SUBSCRIPTION TO APPLY TO OBTAIN A TRADESUITE ID NUMBER?

No, but TradeSuite ID Numbers differ in their functionality and access to the TradeSuite ID service depending on whether you are a subscriber to TradeSuite ID. TradeSuite ID subscriber access also differs depending on the subscription type. A non-client of TradeSuite ID may still be a client of DTCC ITP (for example, via a subscription to CTM<sup>®</sup> or ALERT<sup>®</sup>).

Once a non-self-affirming user receives a TradeSuite ID number, they should inform their custodian and broker and update ALERT.

*Please see chart below for a depiction of the different TradeSuite ID subscriptions, which includes a separate section for non-self-affirming TradeSuite ID Numbers available to non-TradeSuite ID clients, and the functionality and cost (if applicable) associated with each.*

## WHAT KINDS OF USERS WOULD NEED TO APPLY TO OBTAIN A TRADESUITE ID NUMBER WITHOUT A TRADESUITE ID SUBSCRIPTION?

Non-self-affirming institutions who are either (i) clients of other DTCC ITP services (like CTM and/or ALERT) or (ii) not clients of DTCC ITP at all, and who want to be denoted as the institution on the confirm but do not wish to affirm or have access to TradeSuite ID.

These non-self-affirming institutions use their custodian to do affirmation on their behalf but want to be denoted as the "institution" on the confirm. TradeSuite ID Numbers (also referred to as a "User Number" on the ID Master File) 87000 - 88999 are dedicated to such "ID Only" non-self-affirming institutions.

Institutions who are issued these TradeSuite ID Numbers will not have direct access to TradeSuite ID, and therefore may not rely on DTCC ITP to satisfy their recordkeeping obligations. Additionally, if the broker-dealer is relying on TradeSuite ID to satisfy their confirmation disclosure obligations, then the broker-dealer may not rely on TradeSuite ID Numbers 87000 – 88999 to meet any obligations to the institution. For broker-dealers sending confirmations to other parties (including via population of the Agent ID Number field), please note that TradeSuite ID Numbers other than 87000 – 88999 continue to involve access to TradeSuite ID systems (which includes access to view and download confirmations).

**Please note: if a non-self-affirming institution later decides to subscribe to TradeSuite ID, they will need to get a new TradeSuite ID. The old TradeSuite ID Number will be terminated.**

## I AM A CTM CLIENT WHO USES OR INTENDS TO USE THE MATCH TO INSTRUCT (M2i) WORKFLOW – DO I NEED A TRADESUITE ID SUBSCRIPTION?

Yes. The M2i workflow relies on various functionalities of TradeSuite ID and therefore a CTM client intending to leverage this workflow must subscribe to TradeSuite ID API (Direct), or UI (Limited or Web).

## WHAT ARE THE DIFFERENT TRADESUITE ID SUBSCRIPTION TYPES THAT ARE AVAILABLE FOR DTCC ITP CLIENTS?

There are multiple ways to access TradeSuite ID depending on the subscription:

### API (Direct)

- **TradeSuite ID** - This will allow the client to receive TradeSuite ID confirmations directly via messaging. Clients who choose to access TradeSuite ID via this subscription have the option to build to the MQ, batch (CCF), or SWIFT interfaces to receive TradeSuite ID confirms. All these options require an SOW with the DTCC ITP Integration team who will partner with you to get set up.

### UI

- **TradeSuite ID Web** - This will allow the client the ability to affirm confirms, manage exceptions, view, export, and print TradeSuite ID confirmations via a web-based user interface.
- **TradeSuite ID Limited** - This will allow the client to view, export, and print TradeSuite ID confirmations via a web-based user interface. This option is intended for subscribers of CTM leveraging the M2i workflow who do not need to affirm confirms in TradeSuite ID.

Please see chart below for a depiction of the different subscriptions, as well as the non-client use case for non-self-affirming TradeSuite ID Numbers (“ID Only”), and the functionality and cost which is associated with each.

## IS THERE ANY COST IN SIGNING UP FOR ANY OF THESE TRADESUITE ID SERVICES?

Please see charts below for a depiction of the different subscriptions, and the use case for non-self-affirming TradeSuite ID Numbers (“ID Only”), the available functionality, and cost which is associated with each. Additional functionality may require setup.

Please refer to the charts below:

| INSTITUTION / BUY-SIDE USE CASES | FUNCTIONALITY            |                  |  |                                   |  |   |
|----------------------------------|--------------------------|------------------|--|-----------------------------------|--|---|
|                                  | Is M2i Workflow Allowed? | T+1 Scorecard    | ITP Data Analytics Operational Metrics | Archival Services - Trade Archive | Archival Services - TS Confirm Archive | Archival Services - CTM Confirm Archive |
| <b>SUBSCRIPTIONS</b>             |                          |                  |  |                                   |  |   |
| TradeSuite ID API w/CTM          | Yes                      | Yes              | Yes                                    | Yes                               | Yes                                    | Yes                                     |
| TradeSuite ID API w/o CTM        | No                       | Yes <sup>1</sup> | Yes <sup>1</sup>                       | No                                | Yes                                    | No                                      |

<sup>1</sup>only TS/affirmation data.



| INSTITUTION / BUY-SIDE USE CASES   | FUNCTIONALITY            |                  |  |                                   |  |   |
|------------------------------------|--------------------------|------------------|--|-----------------------------------|--|---|
|                                    | Is M2i Workflow Allowed? | T+1 Scorecard    | ITP Data Analytics Operational Metrics | Archival Services - Trade Archive | Archival Services - TS Confirm Archive | Archival Services - CTM Confirm Archive |
| <b>SUBSCRIPTIONS</b>               |                          |                  |  |                                   |  |   |
| TradeSuite ID UI (Web) w/CTM       | Yes                      | Yes              | Yes                                    | Yes                               | Yes                                    | Yes                                     |
| TradeSuite ID UI (Web) w/o CTM     | No                       | Yes <sup>1</sup> | Yes <sup>1</sup>                       | Yes <sup>1</sup>                  | Yes                                    | No                                      |
| TradeSuite ID UI (Limited) w/CTM   | Yes                      | Yes              | Yes <sup>2</sup>                       | Yes                               | Yes                                    | Yes                                     |
| TradeSuite ID UI (Limited) w/o CTM | No                       | Yes <sup>1</sup> | No                                     | No                                | Yes                                    | No                                      |
| <b>NON-CLIENT USE CASES</b>        |                          |                  |  |                                   |  |   |
| TradeSuite "ID Only" w/CTM         | No                       | Yes <sup>2</sup> | Yes <sup>2</sup>                       | Yes <sup>2</sup>                  | No                                     | Yes                                     |
| TradeSuite "ID Only" w/o CTM       | No                       | No               | No                                     | No                                | No                                     | No                                      |

For each Subscription type or Use Case, please note the related documents:

| TRADESUITE SUBSCRIPTION    | MSA | SCHEDULE | ID APPLICATION                         | SOW | COST            |
|----------------------------|-----|----------|--|-----|-----------------|
| API (Direct)               | Yes | 6A-1     | ID Application                         | Yes | No <sup>3</sup> |
| Limited                    | Yes | 6A-4     | Included in Schedule 6A-4 <sup>4</sup> | No  | No              |
| Web                        | Yes | 6A-1     | Included in Schedule 6A-1 <sup>4</sup> | No  | Yes             |
| <b>NON-CLIENT USE CASE</b> |     |          |  |     |                 |
| "ID Only"                  | No  | N/A      | New ID Application                     | No  | No              |

## HOW DO I OBTAIN A TRADESUITE ID?

New clients will need to complete the relevant schedule.

## HOW DO I OBTAIN AN "ID ONLY" TRADESUITE ID?

Please complete the "**ID Only**" application available via DocuSign.

Any questions about the applications should be directed to the DTCC Client Contact Center at 1-877-664-3625.

You should expect to receive your "ID Only" within one week of submitting your application. Requests for TradeSuite ID Limited and Web require a minimum of a week to process once all paperwork has been submitted and will be put in queue based on submission date. If you need to have a TradeSuite ID by T+1, please submit your request by **February 28, 2024**.

## FOR MORE INFORMATION

Please contact us via [MyDTCC](#) or contact your Relationship Manager or Sales Representative.

<sup>2</sup>only CTM/matching data.

<sup>3</sup>There are no transactional costs associated with implementing the API (TS Direct). Implementation costs covered under an SOW.

<sup>4</sup>ID Application will be included in the schedule, a new schedule will only be required for new TradeSuite ID clients.