ALERT® for Prime Brokers

ALERT for Prime Brokers provides a solution to prime brokers whereby they can store their SSIs in ALERT and permission the hedge fund to link to and use that data. This service will allow for the prime brokers to manage the majority of data on behalf of the hedge fund. DTCC will help manage the rest of the data with the prime broker.

WORKFLOW

- Prime brokerage acronyms available for connection include the following: JPMPB, MSIPB, GSPB, DBIPB, BOAMLPB, UBSPB, CITIPB, BARCPB, BNPPPB, and SGFIPB.
- Hedge fund clients will connect to the prime broker's acronym and access their standing settlement instruction (SSI) details through existing ALERT functionality
- All SSI information will be stored by the prime broker except for markets that have segregated accounts.
- DTCC will facilitate the setup, linking the SSI data, plus the population of segregated account information.
- Hedge Fund clients will only need to provide the account details.
- Broker/dealers will receive alerts as per the current permissioning process.

SETUP STEPS

1. **The hedge fund (HF) will need to send a request** via email to DTCC (ALERTAssist@dtcc.com) advising which prime broker (PB) acronyms they wish to connect with, plus a list of funds (account names and/or internal account numbers at the PB).
2. **DTCC Global Service Bureau (GSB) sends email authorization to HF** that they must return to DTCC. This provides authorization to DTCC to gain access to their acronym.
3. **Once email authorization received from HF, GSB confirms specific segregated markets** they are currently trading or wish to trade in in the future (if requesting to set up a new account/fund yet to be set up on ALERT).
4. **GSB needs to obtain the HF's client service rep at the PB** so that they can work with them on linking models and on segregated market details.
5. **GSB contacts the PBs and informs them of HF interest** in linking to their PB model.
6. **PB provides authorization to link HF accounts** and identifies which models to attach to each access code. DTCC works with each PB representative to obtain segregated account information if applicable.
7. **GSB saves backups of existing HF accounts** to be linked to the PB models.
8. **GSB detaches existing models and attaches corresponding PB models** to the HF accounts.
9. **GSB activates all markets/security types** originally open provided they are available in the PB model.
10. **GSB populates account specific data from original SSI** and does not override any PB model data. This includes adding the provided segregated account information.
11. **GSB saves backups of updated HF accounts.**
12. **HF signs off on updated accounts.**

FOR MORE INFORMATION

Visit www.dtcc.com/alert or contact ALERTAssist@dtcc.com

Financial Markets. Forward.™