SECURITIES FINANCING TRANSACTIONS REGULATION (SFTR) SOLUTION

DTCC’S GLOBAL TRADE REPOSITORY (GTR)
The Securities Financing & Derivatives Experts in Trade Reporting
OVERVIEW

Once the Securities Financing Transactions Regulation (SFTR) is implemented, EU-based firms (including their non-EU-based branches) and non-EU-based firms (where the transaction is executed by an EU-based branch) will be obligated to report their securities financing transactions (SFTs) to an authorized trade repository.

OUR ONE-STOP-SHOP FOR SFTR

Once authorized as trade repositories for SFT reporting in both the European Union (EU) and UK, DTCC’s Global Trade Repository (GTR) will help clients meet their SFTR reporting obligations. Leveraging the GTR infrastructure, DTCC’s SFTR Solution supports all asset classes to be reported under SFTR including repo and reverse repo, securities and commodities lending and borrowing, sell/buy-back, buy/sell-back and margin lending and borrowing. Benefit from our value-added services including tools to extract, enrich, transform and validate data before submitting to DTCC’s trade repository.

COMPREHENSIVE GLOBAL CLIENT SERVICE & SUPPORT

Our team of SFTR subject matter experts are here to support you. Leveraging proven implementation methodologies and testing structures, we partner and support you through every step of your SFTR journey. From a simple onboarding process, to early pre-user acceptance testing (UAT), access to a fully functional user acceptance environment, testing tools and 24 x 7 production support, our implementation package allows you, at no additional charge, to move seamlessly into production with confidence that you are compliance ready.
EVALUATE YOUR READINESS: SFTR SIMULATOR
DTCC’s SFTR Simulator is a pre-UAT tool that helps clients evaluate their readiness for SFTR by alerting them to errors in their data submissions. Via an easy-to-use, web-based application, clients will receive instant validation so that they can conduct data accuracy and gap analysis ahead of formal industry UAT and compliance go-live dates. Start your testing today by leveraging our validation SFTR simulator.

- **EVALUATE** your data against the regulator’s technical standards (RTS).
- **RESOLVE ISSUES EARLY** as the analysis will enable you to identify and resolve errors and gaps.
- **GET THE SUPPORT YOU NEED** from our SFTR experts who will guide you through the onboarding and technical training process.
- **READY TO REPORT** as our world-class client service team will be here to support you throughout your DTCC journey.

DON’T SIT ON THE SIDELINES – PREPARE NOW FOR IMPLEMENTATION OF SFTR
The securities finance industry arguably has more work to do in comparison to the derivatives industry when it first faced trade reporting regulation, specifically in regards to data availability and the workflows that currently sit at the core of the securities finance markets. Although SFTR is expected to go-live in early 2020, subject to the approval of the technical standards by the European Commission and European Parliament, affected firms still need to start preparing now.

CRITICAL PATH TO DEADLINE

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>(Ongoing) Client Outreach &amp; Workshops</td>
<td>MAR 2018</td>
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<tr>
<td>Design &amp; Build Start</td>
<td>O2 2018</td>
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<tr>
<td>Parliamentary Approval</td>
<td>O3 2018</td>
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<tr>
<td>Regulation Effective Date</td>
<td>DEC 2018</td>
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<tr>
<td>Commission Approval</td>
<td>MAR 2019</td>
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<tr>
<td>UAT with Industry Vendors</td>
<td>APR 2019</td>
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<tr>
<td>Publish Message Specs</td>
<td>O2 2019</td>
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<tr>
<td>ISO 20022 Publication</td>
<td>AUG 2019</td>
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<tr>
<td>Pre-production Test Start</td>
<td>O4 2019</td>
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<tr>
<td>Full End-to-End UAT Start</td>
<td>OCT 2019</td>
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<tr>
<td>Compliance Day for Dealers</td>
<td>MAR 2020</td>
</tr>
<tr>
<td>Pre-production Test Start</td>
<td>APR 2020</td>
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*Final technical standards remain subject to approval by the European Commission and European Parliament.*
WHAT MAKES DTCC THE RIGHT CHOICE

- Created by the Industry for the Industry
- Established the Very First Trade Repository
- Trade Repository Services Across the World
- Extensive Network of Partners
- Data Transformation Tools
- Innovative New Portal
- Strength in Numbers
- Connecting the Industry to the Regulators
- Highest Standards of Security, Reliability and Transparency
- Pre-UAT Tools

WHO WE ARE

DTCC in the Financial Markets

**EVERY 4.2 DAYS** DTCC processes the equivalent of the U.S. GDP

$2.8 TRILLION IN REPO TRANSACTIONS DAILY IN THE U.S.

**GLOBAL TRADE REPOSITORY (GTR)**

- 14 billion messages processed annually
- 40 million average saved open trades a week
- 80% Estimated GTR Global Market Share
- 60+ Regulators across the globe have access to our data across 35 countries
- Covers all asset classes
- 150 partners
- 6,000 +100k clients
- 14 billion messages processed annually

GTR provides trade reporting services in the following jurisdictions:

- Australia ASIC
- Hong Kong HKMA
- Japan JFSA
- Singapore MAS
- EU ESMA-EMIR ESMA-SFTR*
- Switzerland FINMA
- UK post-Brexit FCA-EMIR FCA-SFTR*
- Canada 13 regulators
- U.S. CFTC SEC*

*Pending Authorization

CONTACT US

FOR MORE INFORMATION ON DTCC’S SFTR SOLUTION:

Visit dtcc.com/sftr or email sftr@dtcc.com

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