

CTM™ SETTLEMENT NOTIFICATION

OVERVIEW

The CTM solution offers an optional settlement notification feature as part of the service that enables clients to achieve straight through processing of matched trades through the automatic creation and transmission of settlement messages in industry standard formats.

The settlement notification functionality gives users the ability to automatically generate and send messages to up to 15 predetermined recipients such as custodians, depositories, fund administrators, legal departments, valuation agents, Japanese Trust Banks, Master KAGs, underlying clients, and others. The message can be a formal instruction or a COPY message.

Messages can be formatted and submitted as

1. Swift MT54x via the Swift network and/or
2. CSV format via SFTP and/or
3. Copy-for-information via the CTM user interface.

By selecting the CTM settlement notification option, trading parties and settlement agents enjoy the benefits of a centralized platform and standard industry interface.

Users configure profiles from a combination of fields to determine when to create and/or release settlement notification messages. Messages can be created for different recipients according to field combinations including Account ID, Currency, Place of Settlement (PSET), Type Of Financial Instrument, CTM Match Agreed Status etc. The messages can be released automatically or manually, including options to create settlement notification messages for allocations that are not yet matched on the CTM platform or for records where the counterparty is not using the CTM service.

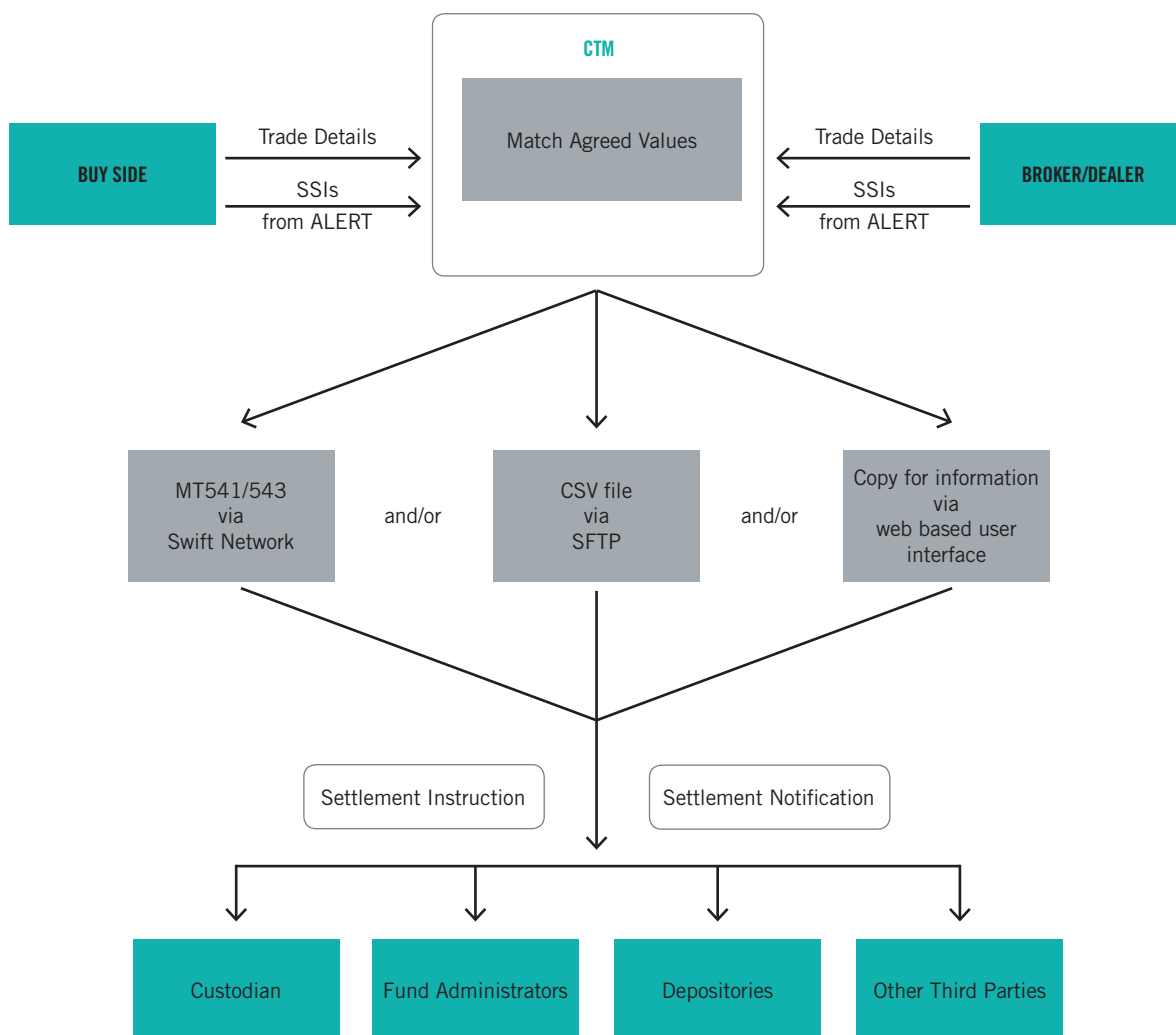
BENEFITS

- Improve settlement rates by ensuring all trades are instructed or communicated to the pertinent recipients as part of straight through processing
- Reduce exception handling by receiving matched trades automatically enriched with standing settlement data.
- Lower risk and cost by reducing the volume of fax communications from clients.
- One platform for trade matching and settlement instruction and settlement notification to all parties

KEY FEATURES

- Optional real-time enrichment of settlement notifications with SSIs from the ALERT® service, the industry's largest and most compliant web-based global database for the maintenance and communication of standing settlement and account instructions.
- Controlled implementation of settlement notification by fund, settlement location, settlement depository, security type and settlement agent.
- Enables users to preview the formatted MT54x message prior to release.
- Audit inquiry on all messages sent on your behalf.
- Send up to 15 SWIFT messages or comma delimited CSV files to interested third parties.
- Ability to view, amend, release, cancel, and stop settlement notifications via the CTM user interface.
- Configure a manual or automatic release method, which can be over-written on a per trade basis.
- The ability to release settlement notifications before the trade is fully matched in shorter settlement markets.
- Send messages for trades where the counterparty is not currently connected to the CTM platform.

HOW SETTLEMENT NOTIFICATION WORKS



FOR MORE INFORMATION

Please email us at solutions@dtcc.com
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