

The Depository Trust & Clearing Corporation

CTM™ – COPY FOR INFORMATION (CFI) NOTIFICATION

OVERVIEW

With CTM CFI notifications, both fund managers and brokers are now able to send copies of trades to receivers as soon as trades are *Match Agreed* or *Cancel Match Agreed*. Third parties can access trade details quickly, easily, and often on trade date.

CFI notifications are available for equity and fixed income trades. They help to provide third parties with final trade details, such as settlement instructions. These third parties can be another broker, a fund accountant, a trust bank, or any type of interested party. Third party receivers do not need to be on the CTM platform, but will still be instantly informed about final status trades.

BENEFITS FOR SENDER

Sender can provide real-time copies of *match agreed* or *cancel match agreed* allocations to any type of third party

- Ability to automatically send to multiple third parties
- Multiple filter criteria available to select which trades to send copies for
- No coding changes are required in your CTM interface
- One-time setup at no charge

BENEFITS FOR RECEIVER

- Quick and easy access to trade data
- Allocations are available as soon as they are matched on the CTM platform
- Receive data from multiple senders in a standardized format to one user interface
- Receiver can access a web-based user interface to view, print, and export allocations to Excel or PDF
- 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 using the CTM service.

FUNCTIONALITY

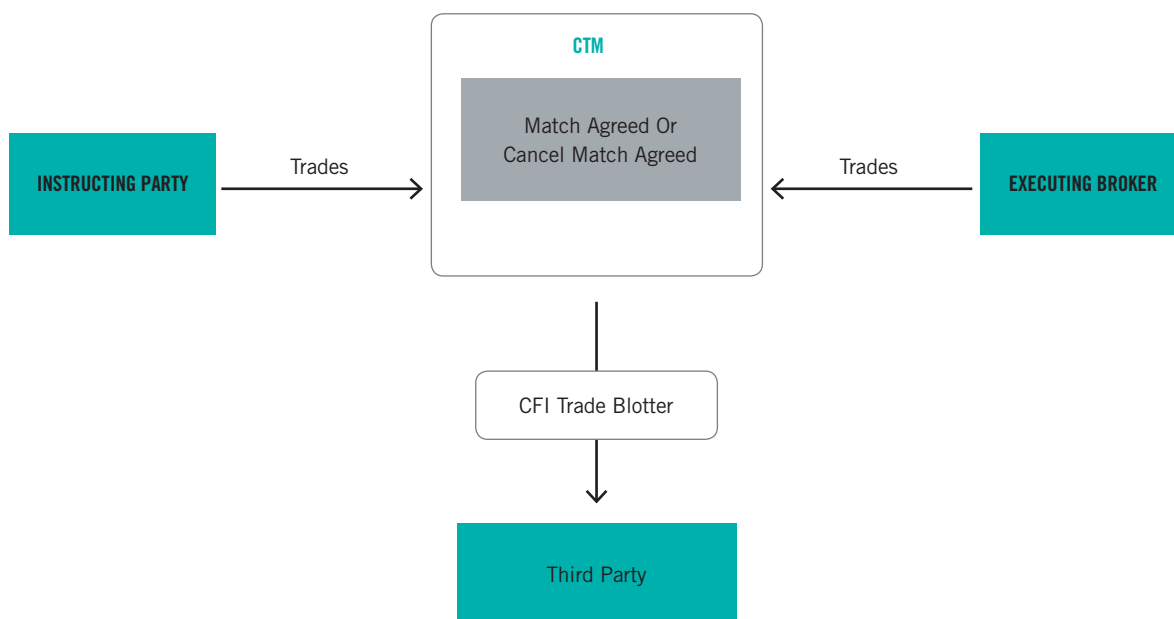
CFI notifications are sent for final status trades – matched or canceled. The outgoing copies can be based on numerous criteria selected by the sender, which include:

- Counterparty – filtered by the sender’s counterparty to the trade on the CTM platform
- PSET – filtered by the depository place of settlement BIC code
- Sub-agent BIC or local broker BIC – filtered by the “Sub Agent BIC” field in the broker’s SSIs
- Traded or settlement currency
- Security types – filtered by equity or fixed income asset class
- Account IDs – for specific funds only
- ALERT country code and ALERT clearing method – filtered by markets and depositories in the SSIs

IMPLEMENTATION

- **Sender:** A one-time host setup will be required from the CTM sender of the copy message, authorizing the copies and stating for which criteria these should be generated. DTCC will work with the sender to set this up at no charge.
- **Receiver:** The CFI receiver will pay a one-time setup fee, then a monthly base fee and per copy charge for each allocation delivered to the web-based user interface.

HOW CFI NOTIFICATION WORKS



TRADE BLOTTER

View-only user interface for third parties to view, export, and print copies of matched or canceled allocations.

Instruct Pty	Exec Broker	Match Agrd	Asset Class	Trade Date	Settle Date	Security	B/S	Price	Trade Curr	Acct ID	Qty Alloc	Net Cash Amo...	Comm	PSET	Custc
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	CROWN VAN G...	BUYI	100.0	EUR	0108	25.0	2,550.00	25.0	FLAT	DAKVDEFF
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	CROWN VAN G...	BUYI	100.0	EUR	EUR-OG	25.0	2,550.00	25.0	FLAT	MGTCEBEBE
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	ODIN MAR:TIM	BUYI	27.12	EUR	SNTF3	2,500.0	68,200.00	675.0	FLAT	VPSNOKK
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	ODIN MAR:TIM	BUYI	27.12	EUR	SNTF4	2,500.0	68,200.00	675.0	FLAT	VPSNOKK
Omgeo ...	Omgeo Cl...	MAGR	DBT	05-Aug	07-Aug	ALLIANZ FINANCE	BUYI	108.3	EUR	SNTF1	500,000.0	542,799.60	0.0	FLAT	MGTCEBEBE
Omgeo ...	Omgeo Cl...	MAGR	DBT	05-Aug	07-Aug	ALLIANZ FINANCE	BUYI	108.3	EUR	EUR-OG	300,000.0	325,679.76	0.0	FLAT	MGTCEBEBE
Omgeo ...	Omgeo Cl...	MAGR	DBT	05-Aug	07-Aug	ALLIANZ FINANCE	BUYI	108.3	EUR	SNTF6	200,000.0	217,119.84	0.0	FLAT	
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	AACHEN STRAS...	BUYI	27.0	EUR	SNTF2	2,500.0	68,200.00	675.0	FLAT	MGTCEBEBE
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	AACHEN STRAS...	BUYI	27.0	EUR	0108	2,500.0	68,200.00	675.0	FLAT	DAKVDEFF
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	ODIN MAR:TIM	BUYI	27.12	EUR	SNTF3	2,500.0	68,200.00	675.0	FLAT	VPSNOKK
Omgeo ...	Omgeo Cl...	MAGR	EQT	04-Aug	07-Aug	ODIN MAR:TIM	BUYI	27.12	EUR	SNTF4	2,500.0	68,200.00	675.0	FLAT	VPSNOKK
Omgeo ...	Omgeo Cl...	MAGR	EQT	05-Aug	07-Aug	KENNAMETAL	BUYI	44.55	USD	0108	1,000,000.0	44,551,050.00			DTCYUS33

FOR MORE INFORMATION

Please email us at solutions@dtcc.com
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