

Trade Archive

ENHANCED ARCHIVAL FUNCTIONALITY TO HELP FACILITATE COMPLIANCE
WITH REGULATORY REQUIREMENTS.

BACKGROUND

The financial industry is under constant pressure to comply with evolving regulatory requirements, such as the SEC's recent amendments to Rule 204-2 under the Investment Advisers Act of 1940. This rule now mandates U.S. registered investment advisers to maintain records of allocations, confirmations, and affirmations for certain securities transactions for a multi-year retention period, presenting a significant challenge for firms to adapt their operations accordingly. This, in conjunction with the shift to a T+1 settlement cycle in the U.S., have further intensified the need for efficient and regulatory compliant trade processing solutions. Institutional Trade Processing's (ITP) new Trade Archive service addresses these challenges head-on, providing a streamlined and centralized solution for trade recordkeeping.

OUR SOLUTION

Trade Archive is a strategic enhancement to ITP's archival capabilities. It is designed to address the complexities of trade record storage, retrieval and retention needs, offering an efficient approach to electronically archiving your trade allocations, confirmations and affirmations for U.S. securities and providing easy access to those archived records. Trade Archive can maintain your trade records from both CTM® and TradeSuite ID® in a centralized cloud-based system and retain the required trade information inclusive of timestamps. Trade Archive delivers the ability to look up archived trade records with a trade date of May 13, 2024 or later.

KEY FEATURES

- **Centralized Location:** Trade Archive provides a central location for archiving and storing trade records from both CTM and TradeSuite ID.
- **Ease of Access:** Clients can easily search, view, and filter trade records displayed in a grid, and then download grid or trade information through the MyDTCC portal which is accessible via single sign-on.
- **Inclusion of Timestamp Information:** All trade records contain timestamp information in accordance to Rule 204-2.
- **Downloadable Records:** Records can be downloaded in a CSV format, making it easier to review and analyze the data offline.
- **Collated Trade View:** Trade Archive gives clients who leverage CTM's Match to Instruct (M2i) workflow the ability to access a collated view of those trades.

WHO CAN USE TRADE ARCHIVE

Trade Archive is available to institutional clients who are subscribers of CTM and TradeSuite ID. It is tailored to meet the needs of Institutions and Middle Office Service Providers, allowing them to access CTM and TradeSuite ID records as available. Trade Archive is offered to subscribers of CTM and TradeSuite ID at no additional cost. This cost-effective solution is part of the overall service offering, providing significant value to ITP clients.

BENEFITS

- **Enables Regulatory Compliance:** Ensures firms are aligned with the latest SEC recordkeeping requirements without the need for complex in-house systems.
- **Creates Operational Efficiency:** Streamlines the process of trade record consolidation, significantly reducing operational overhead.
- **Eliminates Additional Spending:** Provides a cost-effective alternative to creating and maintaining archival systems of your own.
- **Enhanced Data Resiliency:** Offers a robust data storage solution that enhances the integrity and accessibility of trade records.

FOR MORE INFORMATION

For comprehensive details on how Trade Archive can be integrated and the full range of benefits it offers, please refer to the [Trade Archive FAQ document](#). For additional questions please contact us via [MyDTCC](#).

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