SETTLEMENT STATUS MANAGER
Driving settlement finality via a centralized platform to monitor all settlement activity

OVERVIEW
DTCC’s Institutional Trade Processing (ITP) provides solutions that offer holistic support across the entire post-trade lifecycle, when used in concert with one another they enable our clients to prevent most instances of trade failure. Our solutions facilitate the usage of clean and accurate standing settlement instruction (SSI) data to create an authoritative trade record, increased automated processing through a no-touch workflow and efficient exception management. We currently enable 6,000+ clients across 52 markets around the world to instantly access counterparties driving best practices and standardization, promoting effective communications and accelerating post-trade processing.

Post trade processing can create operational risk and drives a significant amount of inefficiency for all parties to a trade. Data needs to be consumed and processed from many disparate systems including matching platforms, trading counterparties, settlement entities and market infrastructures. The related communication is time consuming, overwhelming to manage and introduces risk.

With Settlement Status Manager, we’ve built a solution that gives clients the ability to review updates, manage their operational workflow and communicate on transactions throughout the settlement lifecycle. By centralizing and standardizing exception processing across a common shared platform and providing detailed post trade analytics, we enable faster resolution and deliver a significant reduction in the number of future exceptions. For trades that do fail, the platform will help to facilitate management with CSDR specific data points, tracking information and indicators.

KEY FUNCTIONALITY
Access to source data from Global Custodians, executing broker/dealers and prime brokers.
- A central portal providing single view of settlement activity across your custodians and brokers.
- Configurable views and robust filtering options to quickly view and isolate records for further action.
- Workflow functionality for assignment, prioritization and collaboration.
- Secure chat functionality, which is linked to records, through integration with Taskize enabling users to easily communicate with counterparties, for quick and efficient problem resolution.
- Direct linkage from records in Settlement Status Manager to corresponding trade allocations in CTM®'s user interface – providing easy reference to all details of the trade allocation.
- Availability of an optional CSDR add on module that provides clients globally with CSDR specific functionality focused on preventative measures to help mitigate the risk of fails.
HOW DOES THE SERVICE WORK?
Settlement Status Manager consolidates all settlement activity into a single view.

- Records are automatically classified into standard settlement status categories including Pending, Failed, Partially Settled, Cancelled, Settled and Resolved.
- Records can be assigned to individual users or teams.
- Users can create customizable views to manage their workflows including a view for Fails, Trades Settling Today, Future Settlement Date or By Market. The platform supports multiple user defined views.
- Transaction history and activity log for records can be accessed along with the ability to export data.

WHO CAN USE THE SERVICE?
Settlement Status Manager is for all parties involved in the trade life cycle, including buy-side firms, outsourcers and their underlying clients, broker/dealers, custodians, prime brokers, clearing brokers and other settlement agents.

WHICH RECORDS ARE IN SCOPE?
Settlement Status Manager supports all securities settlement activity globally.

GLOBAL SUPPORT
DTCC ITP offers a common shared platform with 24/6 multilingual support, a global Relationship Management team, support for our clients legal and regulatory compliance and comprehensive cyber-security and business continuity programs. Additionally, DTCC leverages its established Partner Management team to focus on creating partnerships where it makes sense for the industry.

FOR MORE INFORMATION
Please visit us at www.dtcc.com/itp