

Standardized Data Reporting

Standardized Data Reporting (SDR) helps fund companies and insurance carriers better monitor trading frequency and market timing by investors whose transactions are housed in omnibus and super omnibus accounts.

OVERVIEW

Networking is the industry standard for the streamlined exchange of investor account-level information, delivering efficiencies by securely automating a host of activity reporting and account maintenance transactions between DTCC fund and broker/dealer clients.

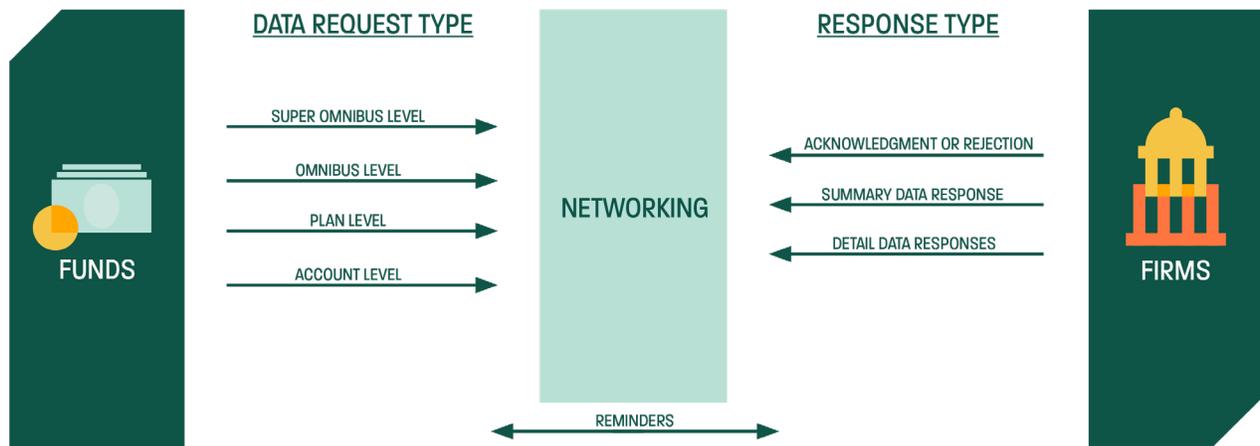
SDR is a feature of Networking that supports the operational needs of fund companies and intermediary firms to comply with SEC Rule 22c-2. SDR can also be used by insurance carriers and their distribution partners that are required to comply with the rule.

SDR supports the following functions:

- Data requests from fund companies
- Acknowledgments from intermediaries
- Summary responses from intermediaries
- Detailed responses from intermediaries

HOW THE SERVICE WORKS

SDR is accessible via mainframe over DTCC's SMART connection.



Using the SDR stream within Networking, fund companies and insurance carriers can request and obtain shareholder identity and trading information from firms on two levels:

- At the **summary-data level**, where information is passed for super-omnibus accounts – those composed of multiple plans, trusts and/or investor omnibus accounts. This information may include account numbers and the dollar value of all shareholder buys and sells.
- At the **detail data level**, where information is passed on a specific account or at the shareholder-trading level.

WHO CAN USE THIS SERVICE

Any interested financial organization that meets the qualifications for DTCC's National Securities Clearing Corporation (NSCC) subsidiary and is a Networking client is eligible to take advantage of Standardized Data Reporting.

BENEFITS

- Provides the industry with an efficient, streamlined and cost-effective process to comply with regulatory requirements.
- Leverages existing technology to provide an easy way to exchange information and monitor trading frequency.
- Automates and centralizes the process of information exchange through a single connection.
- Uses standardized data formats to transmit information.

FOR MORE INFORMATION

Please contact Wealth Management Services
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