



Omgeo Transaction ReportSM

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Transaction Report

Omgeo Transaction Report is Omgeo's UK regulatory reporting service, designed to meet the reporting requirements of the Financial Services Authority (FSA).

Regulatory reporting of domestic and cross-border transactions remains a key issue for brokers obliged to report client transactions to the relevant regulatory authorities.

With the introduction of the Markets in Financial Instruments Directive, or MiFID, this obligation is reaffirmed and mandated across all EEA member states. Transactions in certain instruments must be reported to the appropriate competent authorities. Omgeo updated Omgeo Transaction Report to meet the new FSA requirements.

MiFID compliance

MiFID requires transactions of all instruments admitted to trading on a Regulated Market to be reported to the local competent authority. FSA extends the UK regime to include commodity, interest rate and foreign exchange derivative contracts. Omgeo Transaction Report will report all types of transactions to meet FSA's Full Approval requirements.

MiFID requires the identification of the underlying instruments for OTC single equity or debt derivatives using an ISIN. Omgeo Transaction Report uses reference data to validate underlying exchange traded derivatives.

Counterparties are identified using a BIC, FSA Reference Number (FRN) or broker-assigned internal reference numbers.

Each transaction must be reported to the competent authority by no later than the close of business on the following day. Omgeo Transaction Report is a proven and reliable service that fulfills the FSA T+1 reporting requirement.

Benefits

- Automate your trade communications - Omgeo Transaction Report automates, validates and ensures same-day transmission of transaction reports to the

FSA efficiently and in a timely manner, meeting the MiFID T+1 deadline.

- Minimise operation risk and improve efficiencies - Omgeo Transaction Report increases efficiency and ensures precise and complete communication, minimising operational risk and reporting costs.
- Reduces errors - Omgeo Transaction Report lowers costs by reducing errors inherent in manual and verbal communications such as phone calls, email and faxes.

Features and functionality

The key trade details—such as counterparty, client, security identifiers, security type, price and quantity of securities, currency and relevant dates—are entered into Omgeo Transaction Report and sent onto the Omgeo host for validation.

Once validated, the client receives an acknowledgement confirming that the transaction details have been accepted by the Omgeo host. A batch process is run nightly and the day's transactions are collated and sent to the appointed regulatory body. Omgeo Transaction Report allows clients to:

- Report transactions to the FSA
- Enquire on transaction reports that have previously been entered
- Edit previously entered transaction reports
- Cancel previous transaction reports
- Request a listing of transaction reports fulfilling custom-selected criteria
- View and/or print current reports



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Access methods

Three interfaces provide Omgeo Transaction Report clients with complementary access methods and provide an incremental migration path for increased automated transaction processing.

- **Interactive workstation**—an application that provides an on-line interface between clients and the Omgeo host to manually enter and maintain trade allegations and request reports via a GUI interface.
- **Gateway**—an application, which operates in batch mode to automate the Report functions, by acting as an interface between a client's back-office operations and the Omgeo host.
- **Direct**—the Direct interface allows a client's host system to connect directly to the Omgeo host for real-time transaction processing.

About Omgeo

Omgeo creates certainty in post-trade operations through the automation and timely confirmation of the economic details of trades executed between investment managers and broker dealers. Every day Omgeo enables an efficient community of more than 6000 financial services clients in 45 countries to manage matching and exception handling of trade allocations, confirmations, and settlement instructions. Leading organizations rely on Omgeo to help manage an increasingly complex investment industry by providing operational stability and solutions that complement the focus on profitability in an era of escalating trade volumes. Across borders, asset classes, and trade lifecycles, Omgeo is the global standard for operational efficiency across the investment industry. Formed in 2001, Omgeo is jointly owned by the DTCC and Thomson Reuters.

For more information about Omgeo, please visit www.omgeo.com.



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