



# Omgeo ALERT<sup>SM</sup>

## ALERT

- Benchmarks
- Central Trade Manager
- Connect
- MarketMatch
- OASYS Global
- Transaction Report

## The industry's largest Web-based global database for the maintenance and communication of standing settlement and account instructions (SSI).

To reduce risk and associated operational costs associated with trade failure, it is vital to have a complete and standardized process for storing, updating and communicating account and settlement details. In Fact, the industry estimates that 30 percent of trade failures are a direct result of inaccurate settlement instructions. This number is largely fueled by firms using manual processes for the management of settlement instructions.

Omgeo ALERT is the industry's largest global database for the maintenance and communication of settlement and account instructions (SI). The solution significantly reduces trade failure by enabling a community of investment managers, broker/dealers and custodian banks to share accurate SI's automatically worldwide.

### ALERT for Investment Managers

With tighter validation of market specific SIs, ALERT enables an improvement of data quality to broker/dealers and custodian banks. It also gives you or your custodian bank end-to-end control over account and settlement instructions. In addition, ALERT allows you to set up or edit accounts and either link these accounts to a set of existing instructions or create a new set of instructions. These arrangements can be saved as "models" in ALERT. With thousands of accounts attached to a single settlement model, you or your custodian bank can significantly reduce the effort required to maintain individual accounts.

You can then notify all broker/dealers affected by the change with a single electronic alert and account access can be restricted to only those broker/dealers with whom you trade. You or your custodian bank can also retrieve broker/dealer SIs online when needed.

### ALERT for Broker/Dealers

With a focus on new markets, ALERT helps you to facilitate communication of a wider range of settlement instructions. By utilizing ALERT, you electronically receive updates to settlement instructions from custodian banks and investment managers via a single electronic alert. You can also retrieve settlement instructions on a trade-by-trade basis. To further expedite processing, broker internal account numbers (BIAs) can be cross-referenced with investment manager account names so that you retrieve only those alerts that pertain to your specific accounts. For your convenience, BIA cross references can be established from multiple places within ALERT including the Account Search Results page, the Home Page and the Alerts Summary page.

### ALERT for Custodian Banks

With ALERT, you can electronically enter and update settlement arrangements and notify those affected by a change with a single electronic alert. Settlement models are entered based on country, security type and depository or settlement location. ALERT's Client Data report enables you to look up all accounts by investment manager using your ALERT settlement model and, more specifically, which instructions are being used within that model. In addition, broker/dealer and investment manager standing settlement instructions can be retrieved to ensure accurate communications and the most up-to-date information.

### Key Benefits

- Most compliant settlement rules engine on a market-by-market basis, in alignment with the Securities Market Practice Group's (SMPG) country specific market practices
- Market coverage supporting all the depositories across the globe (150+ as published by SMPG) and more than 30 derivatives exchanges
- Asset classes: Supports Equity, Fixed Income, FX/CASH and Derivatives (Exchange Traded and OTC)



- Supports Omnibus account structure for block settlement
- Reduce trade failure by enabling a community of users to share accurate settlement instructions globally
- Leverage the Web interface for easy adoption and ability to allow multiple concurrent user connections within the same firm
- Connect your firm to the world's largest community of SI database subscribers
- Increase security through user privileging, with each user obtaining an individual user ID and password
- Provide timely transmission and receipt of updates to investment manager and broker/dealer settlement instructions and global custodian settlement models
- Lower costs by reducing manual errors, administrative overhead and processing expenses from trade repair

#### Key Features

- Provides "Quick Fields" view with immediate access to 20 key ALERT SI fields for editing, printing or viewing
- Automated enrichment of SI and account information in Omgeo Central Trade Manager<sup>SM</sup>, Omgeo OASYS<sup>SM</sup> and Omgeo OASYS Global<sup>SM</sup>
- ALERT's intuitive interface validates new data entered against industry standard rules to ensure accurate SI data. ALERT is continually enhanced to keep pace with ISO15022 / MT54X fields for securities, and ISO7775/MT304, MT210 and MT202 messages for cash / FX trading
- Highlighting of fields that need updating to comply with the latest validation rules, with click-on links to accelerate data entry
- Save time and add efficiency to data maintenance by setting any market settlement instruction to become effective for settlement at a future date (Future Effective Settlement Date)

- Increase efficiency with a new field on the General Account page for investment managers to indicate their intent to suppress broker account statements for specific accounts
- Two types of access to choose from for each user: full read-write or read-only, which provides control of which users can change the data
- Comprehensive on-line help and links to Omgeo's Data Dictionary, Interactive Settlement Chain Tool, and ALERT Best Practice documentation

#### 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](http://www.omgeo.com).



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