



Omgeo CTM Third Party Notification User Interface

Receiver Party FAQ

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What is the Omgeo CTM Third Party Notification User Interface?

Omgeo CTM's Third Party Notification functionality has been enhanced with a view-only user interface that allows third parties to access trade copies from Omgeo CTM investment managers.

How will a third party receive trade copies?

Trade copies are not sent, but rather stored within Omgeo CTM. To view available trade copies, third parties need to log into the view-only user interface of Omgeo CTM Third Party Notification.

How frequently will trade copies be sent?

Trade copies are not sent but rather stored within Omgeo CTM. Trade copies will be available in the Third Party Notification User Interface as soon as a trade reaches Match Agreed or Cancel Match Agreed status.

What viewing functionality will be available?

The Third Party Notification User Interface provides users with the ability to customize their view by rearranging columns, sorting or filtering based on account or trade status, and adjusting the date range shown.

Can I export trade copies?

Yes, clients can export single or multiple trades to a file using either PDF or Excel format. The trade details exported will be based on the view that is selected.

Can I print my trade copies?

Yes, clients can print single or multiple trades in PDF format. The trade details printed will be based on the view that is selected.

Will I be able to schedule printing or exporting to happen automatically?

No, automatic printing and scheduling are not available in this release.

Can I receive trade copies in a different format?

The Third Party Notification User Interface provides view-only access to trade details that can be printed and exported. Omgeo CTM's Third Party Notification functionality also provides the ability for an Omgeo CTM investment manager to send copies of trades to third parties via SWIFT or CSV format via secure FTP. If you're interested in receiving copies in one of these alternate formats, please contact your investment manager.

When I receive a copy of a trade, can I amend the trade details?

No, the Third Party Notification User Interface is read-only. If a receiver exports the trade data to Excel, updates or enhancements could be made; however, the changes will not be captured in Omgeo CTM.

Can trade details be updated by the sender once a copy is available?

No, once a trade copy is made available to a receiver at the Match Agreed or Cancel Match Agreed state, any material changes to the trade details will require that the investment manager and broker/dealer agree to cancel the trade and resubmit.

All together now.



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Will I be able to view trades from multiple investment managers?

Yes, as long as multiple investment managers request that you receive trade copies, you will be able to view their trade details. The Third Party Notification User Interface provides third parties with a single view of all trades that have reached Match Agreed or Cancel Match Agreed status for which they are specified as a receiver. The "Instructing Party" column will allow a user to identify which trades belong to which investment managers.

How long will trades be available?

When a receiver logs into the Third Party Notification User Interface, the default view shows those trades that have reached the Match Agreed or Cancel Match Agreed status that day. However, receivers have the ability to change the default date range to view data up to 90 days in the past.

Can I search for a specific trade?

The Third Party Notification User Interface does not have search functionality. However, a user can sort and filter data to locate the trade in question. Alternatively, a user can export the trade data to Excel and use the "Find" function within that program as a workaround.

Are there any asset class restrictions or limitations?

No, third parties can receive copies of trades for any asset classes supported by Omgeo CTM, including equity, debt, exchange-traded futures, options and CFDs.

Who is billed for trade copies?

The receiver is billed for trade copies.

Do I need to maintain my OASYS Global (OG) CFI terminal?

To continue receiving copies of trades from OG contract level investment managers or OG broker/dealers, receivers need to retain their OG CFI terminal. When OG broker/dealers and OG contract level investment managers are migrated to Omgeo CTM, you will be able to completely retire your OG CFI terminal.

What is the deadline for implementing the Third Party Notification User Interface?

To ensure continued receipt of trade copies from Omgeo CTM investment managers, receivers need to implement the Third Party Notification User Interface no later than **March 31, 2010**. If an Omgeo CTM investment manager who currently sends you trade copies begins to confirm trades with a broker on Omgeo CTM before that time, you will need to implement the Third Party Notification User Interface in order to continue receiving trade copies.



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