



Omgeo Central Trade Manager

Event Based Push Functionality FAQ

ALERT

Benchmarks
Central Trade Manager
Connect
OASYS
OASYS Global
OASYS-TradeMatch
TradeHub
TradeSuite

1. Objective and Overview

1.1 What functionality will the Omgeo CTM event based push release provide?

Event based push functionality provides Omgeo CTM broker/dealers and investment managers that utilize a direct XML interface the option to have events, trade information, and statuses “pushed” to them. This alleviates the need to continuously query the Omgeo CTM host for updated events/trade status information and/or code to specified message queries.

When subscribing to event based push functionality, Omgeo CTM will deliver messages (via MQ) based on profiles that have been set up to dictate which event notifications the recipient wishes to receive.

1.2 Who is the primary target audience for this release?

Our primary target audiences for this release are high volume broker/dealers and large investment managers who currently utilize the Omgeo CTM Direct XML interface.

Clients using MQ to communicate to Omgeo CTM may not rely on DCI (Direct Client Interface) Web and/or queries to execute all daily inbound/outbound activity. These clients may have to use the Omgeo CTM User Interface to supplement their interface. *ALL XML Direct messages will be supported over MQ, including queries.*

1.3 What are the key features?

- Push event functionality will allow MQ enabled broker/dealers and investment managers to submit Trade Level and Trade Detail messages and receive XML trade status/detail event notifications based on a set of profile driven events
- Subscribing to this functionality brings the ability to create configurable profiles that will provide notification regarding changes in trade components for both Trade Level and Trade Detail (MACH, MISM, NMAG) statuses in addition to asynchronous errors and data value changes
- This functionality also brings the ability to recover and replay event notifications that were previously pushed to subscribers

1.4 What are the benefits?

This functionality helps increase satisfaction by providing an additional implementation option requested by the community and also helps to decrease the implementation time of an Omgeo CTM project.

1.5 Why is the implementation process shorter?

Today there are a number of “Query” and “Response” messages that, as an Omgeo CTM XML client, you must become familiar with in order to implement desired queries of the system. The Omgeo Integration team currently walks you through the available XML messages and illustrates how you can retrieve relevant trade state and trade detail information. However, depending on your firm’s specific needs, there are multiple approaches regarding which messages are used and when. This analysis can be quite resource-consuming and iterative throughout the project.

Depending on the sophistication and the terms of the Statement of Work, a **new** XML Direct client’s implementation time will be reduced from the current 6 - 9 months to 5 months. An **existing** XML direct client, who is already familiar with Omgeo CTM XML messages would reuse existing code for managing trades and some of your existing code to parse received XML messages. Existing XML clients will also need to add the new Event Notification/Recovery and MQ setup. In this case, the implementation could also be completed in a shorter timeframe.

Omgeo is a leading provider of financial data and analytics solutions. Our Central Trade Manager (CTM) is a powerful tool for managing trade data and providing real-time insights. The new Event Based Push Functionality release is a significant update that will help our clients improve their trading operations and reduce their implementation time. We are excited to announce this release and look forward to helping our clients take full advantage of the new features. All together now.

1.6 What is MQ?

MQ is an abbreviation for IBM's Websphere MQ middleware transport which is used to asynchronously send and receive messages between applications. It is important to note, an existing MQ connection cannot be used to connect to both OASYS and Omgeo CTM. The MQ setup for Omgeo CTM will require new queues and new channels be created. If you choose to use the same queue manager for these new queues, you may. However, while you can repurpose your existing connection for Omgeo CTM you should review your existing license agreement with IBM to determine the conditions of that agreement prior to doing so.

1.7 Can MQ be used without event based push?

Yes, Omgeo CTM buy-side and sell-side clients may use MQ without subscribing to push functionality. An MQ interface can be used for either push or query functionality (or both).

1.8 What Omgeo CTM events are eligible to be "pushed"?

There are **over 50** individual triggering events. The triggering event will push the option selected in the push Event Profile. Please contact your Relationship Manager or Omgeo's Client Contact Center via www.omgeo.com/support for more details.

1.9 How are event profiles set up?

Event profiles will dictate the notifications that are pushed to clients. By creating a profile with different event options, you will be able to receive notifications that will keep you informed of the status of your trades and allow you to take any necessary steps to handle exceptions.

1.10 How can I update or change my event profiles?

You will have view access only and cannot make direct changes to your event profiles. Any requests to make changes to push event profiles must come through Omgeo's Client Contact Center or Omgeo Integration Services.

1.11 When is this release going to be available in production?

Event based push will be released to Client Test on January 7, 2010 and is currently scheduled for production release on January 23, 2010.

2. Client Impacts

2.1 What do I need to do to utilize this release?

This release is optional. As an existing client, you will not need to take any action unless you want to update to the new MQ interface. If you wish to take advantage of this new functionality, you must be able to support MQ messaging Protocol. Push is only available via MQ. If you are interested, please contact Omgeo via the Client Contact Center via www.omgeo.com/support to find out more.

2.2 Can I still poll Omgeo CTM for information if I want to?

Yes, push event notification technology will not replace the current Omgeo CTM pull functionality; it is simply an additional offering. You may choose to solely utilize either the existing pull functionality, or the new push event functionality, or a combination of both.

2.3 How will the user interface (UI) change with this release?

There is no impact to the UI with this release.

2.4 What is the cost for event based push functionality?

There is **no fee** for subscribing to this functionality; however the fixed implementation cost for OASYS Global broker/dealers who are migrating to Omgeo CTM will apply.

2.5 Does an existing client interested in this functionality have to engage in an Integration project to implement this?

Yes. Clients will need to contact Omgeo via the Client Contact Center via www.omgeo.com/support and work with an Omgeo Integration Consultant if they wish to use event based push and MQ functionality.

2.6 Is there an impact to third parties who receive Settlement Notifications (SN)?

No. Custodians and other interested parties that are currently receiving SN messages are not impacted by this release. Current SN messages will continue to be generated and sent to third parties in the same manner as they are today, e.g. SWIFT, CSV, etc.

3. Partner Impacts

3.1 What partners are impacted?

This release will allow both new and existing partners to choose a new MQ Omgeo CTM interface if they want an event-based push model. If an existing partner chooses to keep their current interface to Omgeo CTM, no changes will be needed. This is a completely optional release.

Partners that choose to implement an event-based push model will need to plan for a development project on their side to implement this new interface.

4. Contact Us

4.1 Who can I contact for more information?

If you have additional questions or concerns, please contact the Omgeo Client Contact Center. They can be reached at <https://www.omgeo.com/clientcenter/login.php> or via telephone at North America +1-877-664-3625 | EMEA +800-7369-7090 | Hong Kong +800-7369-7090 | Japan +813-5218- 6621.

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 <http://www.omgeo.com/>.



Copyright © 2010 Omgeo LLC. All rights reserved. All Omgeo service names appearing herein are either registered trademarks or service marks of Omgeo LLC in the United States and elsewhere. Several Omgeo services are regulated by the U.S. Securities and Exchange Commission. For more information, please visit www.omgeo.com/regulation. SC0110