



# Omgeo TradeSuite<sup>SM</sup> Web

## Client FAQ

### ALERT

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



All together now.

## 1. Objective and Overview:

### 1.1 What are the market drivers / client benefits behind the move of TradeSuite Workstation functionality to the Web?

Clients requested a Web-based application through the Client Value Study, and with the timing of IBM's middleware retirement it made sense to create a solution now.

#### Client benefits

- Brings currently used 'thick' client software up-to-date via a more efficient web platform.
- Eliminates time consuming migration process presently needed to incorporate enhancements

#### Market drivers

The catalyst to make the leap from Workstation to Web so close to the TradeSuite 7.1 upgrade push, is to protect our clients from end of life issues associated with the Workstation's middleware software provided by IBM.

- IBM has stated that as of year-end 2009 they will no longer support the DCE method of communication which Workstations use to communicate with the TradeSuite Host
- Omgeo has been granted an extension through April 30, 2011 and is currently working to secure a further extension until December 31, 2011.

### 1.2 Will all Workstation functionality be available on the Web?

While all of the current Workstation components will be transitioned to the Web over two phases, some functionality will change as noted below.

- Phase 1 rebuilds the Confirm Affirm module on the web platform with the exception of archiving functionality (*see section 2.2 for additional information*)
- Phase 2 incorporates NearMatch, BTI, ID Directory, the retirement of both the TradeSuite Server (TSS) localized database and NOE/II

## 2. Client Impacts:

### 2.1 How will TradeSuite Web differ from clients' current views?

Overall functionality will be the same. Product Management conducted client feedback sessions on the usability, look and feel of the application. The result is a Web application that has been streamlined and organized to facilitate an efficient user experience. Please see Addendum A for an example.

### 2.2 If Confirm Affirm archiving is going away, what other archiving options are available?

Clients who utilize the existing Confirm Affirm archiving feature are encouraged to use TradeSuite Confirm Archive, an optional add-on which gives them:

- Seven years of confirmation history from day one,
- On-demand access - ability to search / download confirmations, and
- Fulfills SEC record keeping requirements for sell-side clients (Rules 17a-3 and 17a-4) and buy-side clients (Investment Advisor's Act Rule 204).



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Further details on TradeSuite Confirm Archive can be found at [www.omgeo.com/tradesuite](http://www.omgeo.com/tradesuite) or downloaded [here](#). Refer to Addendum B for a comparison table highlighting the pros and cons of the Confirm / Affirm archiving functionality and TradeSuite Confirm Archive.

### 2.3 What does the retirement of TradeSuite Server (TSS) localized database and NOE/II change?

TradeSuite Web accesses the host in real time on the Internet, so there is no longer a need to use the TSS local database to retrieve trades. The TSS in its current form will be retired in Phase 2; however, a message scheduling feature, currently in the design phase, will be offered.

With the retirement of NOE/II, only allocation updates through NearMatch will be offered. Clients who wish to continue using NOE/II functionality should plan to use the Omgeo OASYS platform.

### 2.4 What is the upgrade process?

Omgeo will work with clients to ensure a smooth migration process. We will help clients gain access and set-up the Web user interface, specifically:

- Set-up retrieve criteria
- Set-up view/export etc. profiles
- Walk clients through archive retrieval process for old files (make sure archives are stored on network location)
- Uninstall workstation access – clients can choose to run the workstation and web in parallel for two weeks; however, after this time the workstations will be disabled and uninstalled

Clients will assign a Product Administrator in their Terms & Conditions document who will be responsible for maintaining the User Organization Management. The Product Administrator would perform this function through the current mechanism available on the Client Center (UOM).

Any client issues will follow the normal escalation process.

### 2.5 Is there a fee for migrating to the Web?

No, this is a complimentary upgrade.

### 2.6 Why is this release so close to TradeSuite 7.1?

The TradeSuite 7.1 upgrade was driven by regulatory requirements and hinged on the Securities and Exchange Commission's timeframe for delivering the 'No Action' letter. The TradeSuite Web transition timeframe is dependant on the retirement of IBM's middleware software (DCE) in April 2011.

### 2.7 What happens if I continue using an unsupported version of the software?

TradeSuite Workstations will no longer be operable as of the date of IBM's software retirement. Clients must transition to TradeSuite Web in order to avoid service disruption.

### 2.8 I use a Service Provider, what should I do?

Omgeo will work with our Partners to ensure they stay abreast of the release and make the appropriate changes needed to support their clients.

### 2.9 Will Omgeo offer client training?

Yes, training webinars will be available to assist clients with the transition. Dates are TBD. The Web application will also have online tutorials to assist clients who need to learn key functionality.

## 3. Client Communication:

### 3.1 What documentation will be available?

The following will be posted under Documentation on the Client Center: Product Release Information, Quick Reference Guide — Investment Manager Confirm/Affirm, System Requirements, and Operating Procedures.



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## 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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Addendum A

TradeSuite on the Web Confirm View / Blotter View

Welcome to Tabbed Browsing | Omgeo TradeSuite :: OPDS/SDLC | Omgeo TradeSuite :: X

omgeo **Omgeo TradeSuite** Hello John Doe | Logout Contact Us | Tutorial | Help

Confirm/Affirm ID Directory Announcements : Launch of TradeSuite in the works!..

**Confirms**

- > All (500)
- Authorized to Affirm (320)
  - > UnAffirmed (40)
  - > Matched (6)
  - > UnMatched (6)
  - > Advice of Correction (9)
  - > Advice of Cancellation (13)
  - > Excepted (1)
- Not Authorized to Affirm (20)
  - > UnAffirmed (40)
  - > Matched (6)
- Affirmed (205)
  - > Affirmed (40)
  - > Attempt to Cancel (6)
- Others (20)
  - > Cancelled
  - > Reversed Affirmed
- Profiles**
- Links**

**Confirm/Affirm** Refreshed: 09/16/2009 10:31AM

**Affirm** | **AOCO** | **Reverse Affirm** | **Except**

Retrieve Profile: Today +5  
View Profile: 30 columns

Full Confirm/Affirm View | 1 2 3 4 5 .....10 | Display  results per page

#	<input type="checkbox"/>	DTC Control Number	Trade Status	Exec Broker ID Number	Exec Broker Name	Trade Date	Settlement Date	Side
1	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	03/16/2009	03/19/2009	Sell Long
2	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	03/16/2009	03/19/2009	Sell Long
3	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	03/16/2009	03/19/2009	Sell Long
4	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	03/02/2009	03/05/2009	Sell Long
5	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/14/2009	04/17/2009	Sell Long
6	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/14/2009	04/17/2009	Sell Long
7	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/14/2009	04/17/2009	Sell Long
8	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/14/2009	04/17/2009	Sell Long
9	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/14/2009	04/17/2009	Sell Long
10	<input type="checkbox"/>	056051388	Confirm	00059146	RS600 TEST ACCOUNTS	03/19/2009	03/24/2009	Sell Long
11	<input type="checkbox"/>	056051388	Test Confirm	00061493	Omgeo Brokerage LLC	04/01/2009	04/03/2009	Buy
12	<input type="checkbox"/>	056051388	Test Confirm	00061493	Omgeo Brokerage LLC	04/01/2009	04/03/2009	Buy
13	<input type="checkbox"/>	056051388	Test Confirm	00061493	Omgeo Brokerage LLC	04/01/2009	04/03/2009	Buy
14	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	05/05/2009	Sell Long
15	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
16	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
17	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
18	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
19	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
20	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
21	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
22	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
23	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
24	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell
25	<input type="checkbox"/>	056051388	Confirm	00061493	Omgeo Brokerage LLC	04/03/2009	04/09/2009	Sell

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## Addendum B

Current Confirm / Affirm Archiving functionality vs. TradeSuite Confirm Archive functionality

Confirm / Affirm Workstation Archiving Pros	Confirm / Affirm Workstation Archiving Cons
No additional fees (cost of functionality incorporated into Workstation charges)	Saved locally - file size can be a burden on network resources
Internal on-demand access	Manual step required to pull archives daily or weekly. Alternatively, can use Auto Archive method; however, this requires the PC to be up and running. Otherwise the report is not generated and there are no reminders or notices notifying user that it did not run.
Saved locally	Risk is inherent with any manual process
Data is extracted into an Access file and incorporated into Workstation view	This feature is not available with TradeSuite Web. Clients will need to use the export function to get a CSV file (not SEC compliant or automatically reincorporated into system).

TradeSuite Confirm Archive Pros	TradeSuite Confirm Archive Cons
Immediate access to seven years of confirms	Additional cost
On-demand access	Requires a separate window to be open for Web access
SEC Compliant - Rec'd No Action ltr. (under Rules 17a-3 and 17a-4 for sell-side firms and Investment Advisers Act of 1940, Section 204 for buy-side firms)	
Web-based - no strain on internal IT dept. / file size requirements	
Streamlines archiving process - removes risk by automatically archiving on a daily basis	
Omgeo assumes regulatory responsibility	
If client is not confident in their past recordkeeping - TS Confirm Archive alleviates potential issues by providing immediate access to confirms from previous seven years	
Doesn't require IT resources to recode to new confirm fields - as a Web based tool everything is automatically updated	
Hosted on a heavily secured and managed infrastructure	



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