

Omgeo TradeSuiteSM Confirm Archive

Client FAQ

ALERT

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

What is TradeSuite Confirm Archive?

In accordance with Securities and Exchange Commission (SEC) Rules 17a-3 and 17a-4 sell-side firms are obligated to archive electronic copies of all TradeSuite confirmations for seven years. The SEC also requires buy-side firms to archive their TradeSuite confirmations under the Investment Advisers Act of 1940, Section 204.

In an effort to streamline the archiving process and eliminate redundant effort, Omgeo petitioned for and received SEC 'No-Action' letters allowing both the buy- and sell-side to defer their confirmation archive management to Omgeo. TradeSuite Confirm Archive replaces users' current confirm storage method with an online self-service system.








What are the key benefits of TradeSuite Confirm Archive?

Omgeo is relieving you of the administrative burdens associated with confirmation archiving. Omgeo handles the entire process seamlessly, allowing you to eliminate operational overhead associated with managing the archival process. Additionally, you gain:

- Seven years of confirmation history from day one
- On-demand access - ability to search / download confirmations

How does this service work?

TradeSuite Confirm Archive is built on DTCC's PBS SMART/Search application, the same platform used with Omgeo TradeSuite QC Online reporting. Once logged in to SMART/Search, clients can access the Confirm Archive service. Users also have access to search functionality using the following criteria:

Criteria	Comments
Report version	Hard Coded field that lists all confirm processing dates. Users MUST select a report version by clicking on  to pull up a list of dates (see screen shot below). This mandatory field allows the user to choose a date based on the specific criteria they are using to lookup a Confirmation.
Institution From	If you are a Broker/Institution/Agent the corresponding field is hard coded for that user, but other Types (Broker, Agent/ Inst) are not. Users are able to select from a list by clicking on  or entering the five digit institution ID.
Broker/dealer From	If you are a Broker/Institution/Agent the corresponding field is hard coded for that user, but other Types (Broker, Agent/ Inst) are not. Users are able to select from a list by clicking on  or entering the five digit institution ID.
Agent ID From	If you are a Broker/Institution/Agent the corresponding field is hard coded for that user, but other Types (Broker, Agent/ Inst) are not. Users are able to select from a list by clicking on  or entering the five digit institution ID.
DTC Control # From	Users can enter the number or choose from the list by clicking on  . The DTC Control Number is a unique 9-digit number linked to each Confirm.
Security # From	Users can enter the number or choose from the list by clicking on  . The Security number is assigned to the traded security. It must be a valid CUSIP, SEDOL or ISIN number when the security numbering system is specified to be US, GB or IS.
Broker Confirm # From	Users can enter the number or choose from the list by clicking on  . The Broker Confirm number is a unique broker/dealer internal transaction number assigned by the broker/dealer. This number helps the Broker/Dealer identify the trade internally.

All together now.



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Users can also search by using the Retrieve by Report Date option. Please reference the TradeSuite Confirm Archive User Guide for detailed information.

Below is a screen shot of the sell-side retrieval page within TradeSuite Confirm Archive:

Do I need to be a current TradeSuite client to use TradeSuite Confirm Archive?

Yes, TradeSuite Confirm Archive only applies to TradeSuite confirms at this time.

What is the installation process? Is testing required?

Like QC Online, TradeSuite Confirm Archive is web-based, so no implementation or testing is necessary. Once enabled, users can access the functionality as soon as they receive a username and password.

Do I have to meet any technical requirements?

- Users must be on Microsoft Internet Explorer 5.0 or above
- Valid SMART/Search login ID and password

What is the enrollment process?

To begin the process, clients must first sign a Master Services Agreement (MSA). If users have a PBS TradeSuite login ID, access is granted upon receipt of a signed contract. If a login ID is needed, Omgeo will facilitate the process with the DTCC.

Where can I find additional information?

Service details can be found in the TradeSuite documentation section of the Omgeo Client Center at www.omgeo.com/clientcenter.

For specific questions, or to find out how to enroll please reach out to one of following Sales Executives: Jim Murphy at James.Murphy@omgeo.com, 617.856.2335 or Franz Oberlerchner at Franz.Oberlerchner@omgeo.com, 617.856.1461.

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 46 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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