

DTCC Alert Standing Settlement Instructions Processing Automation

GAIN DIRECT CONNECTIVITY TO DTCC'S ALERT PLATFORM FROM BROADRIDGE'S FIXED INCOME POST TRADE PROCESSING ENGINE (*impact*SM)

The SSI Automation Interface to DTCC ALERT:

- Improves efficiency via an automated and real time link between *impact* and ALERT.
- Reduces operational risks associated with manual processing of customer static for both domestic and international fixed income clearance and settlement
- Reduces fails caused by inaccurate customer data
- Lessens fail-associated penalties and fees
- Supports multi-entity institutions, multi-instruments, and multiple delivery methods (e.g., DTC, Fedwire, and Euroclear)

GAIN CONTROL THROUGH THE OMGX DASHBOARD IN THE FIXED INCOME POST-TRADE PROCESSING ENGINE

Messages Tab

- Keeps a log of all incoming and outgoing messaging with DTCC ALERT
- Allows clients to monitor errors
- Provides transparency into updates coming into the system

Configuration

- Enables clients to choose how fields within Fixed Income Post-Trade Processing system are populated with updates from DTCC
- Configures security type and depository mappings

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REDUCE COSTS THROUGH AUTOMATED FEED STRAIGHT-THROUGH PROCESSING

With increasing cost pressures and evolving regulatory requirements, financial firms must take a proactive approach and adopt transformative solutions to maximize efficiency.

By leveraging post-trade automation and clean, reliable settlement data, firms can eliminate redundancies, limit manual processes and reduce associated costs and operational risks, enhancing their end-to-end operating model.



RETRIEVE AND UPDATE CUSTOMER SSI DATA DIRECTLY INTO BROADRIDGE'S FIXED INCOME POST-TRADE PROCESSING ENGINE

DTCC ALERT (formerly Omgeo ALERT) is a global database for the maintenance and communication of account and standing settlement instructions (SSI).

SSI Automation via Broadridge's Fixed Income Post-Trade Processing Engine is an interface to the DTCC ALERT system that enables *impact* to retrieve customer data, SSIs, and wire instructions for new customers, as well as automatically update existing customers as revisions are provided.

Once a new account is created within Broadridge's Fixed Income Post-Trade Processing Engine and SSI Automation requests those SSIs, the system will also send a request to DTCC to cross-reference that account and receive updates as they are populated by an investment manager.

This automation reduces the operational risks associated with manually processing settlement instructions for both domestic and international fixed income clearance and settlement while permitting streamlined processing of real-time data.

For additional information, please contact your Broadridge Account Manager or visit our website.