

# Omgeo TradeSuite® Confirm Archive

## What is TradeSuite Confirm Archive?

TradeSuite Confirm Archive is Omgeo's web-based, self-service system that enables broker/dealers, investment managers, agent banks and interested parties to retrieve confirmations that have been electronically stored by Omgeo. It replaces a firm's current trade confirmation storage method with an efficient process that reduces the administrative burden associated with trade confirmation archiving.

## Why do I need TradeSuite Confirm Archive?

In accordance with Securities and Exchange Commission (SEC) Rules 17a-3 and 17a-4, sell-side firms are obligated to archive copies of confirmations for no less than three years, with the first two years in an easily accessible location. The SEC also requires buy-side firms to archive their confirmations under the Investment Advisers Act of 1940, Section 204. The Dodd-Frank Act further expands recordkeeping and reporting obligations to encompass hedge funds, which must now register with the SEC.

In an effort to streamline the archival process and facilitate compliance, Omgeo petitioned for and received SEC 'No-Action' letters allowing the buy-side, the sell-side and interested parties to assign their confirmation archive management to Omgeo.

## What are the key benefits?

Traditionally a labor-intensive process, managing confirmations represents an administrative headache for most firms. Omgeo TradeSuite Confirm Archive relieves clients of the operational and compliance burden of archive management. In addition, TradeSuite Confirm Archive:

- Exceeds SEC recordkeeping requirements – provides up to ten years of confirmation history.
- Delivers on-demand access – search and download confirmations in real-time directly from your desktop.
- Promotes best practices – improves transparency, monitoring and compliance.
- Provides an audit trail – for prompt research and investigation of discrepancies.
- Delivers the convenience of going paperless – electronic process eliminates the hassle of printing, mailing, sorting and storing confirms.

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

Yes, TradeSuite Confirm Archive is only available to TradeSuite clients at this time.

## How does the service work?

TradeSuite Confirm Archive is built on DTCC's PBS SMART/Search application. To access the system, go to [www.dtcc.com](http://www.dtcc.com). From "Customer Center" on the navigation bar, select "Customer Tools" from the drop down menu and then click the "Omgeo Reports" link to sign in. Once logged in to SMART/Search, you can input your user name and password to access the Confirm Archive service.

TradeSuite Confirm Archive provides functionality to search and download reports using the following criteria:

[www.omgeo.com](http://www.omgeo.com)

ALERT

Benchmarks

Central Trade Manager

Connect

OASYS









OASYS-TradeMatch

ProtoColl

TradeHub

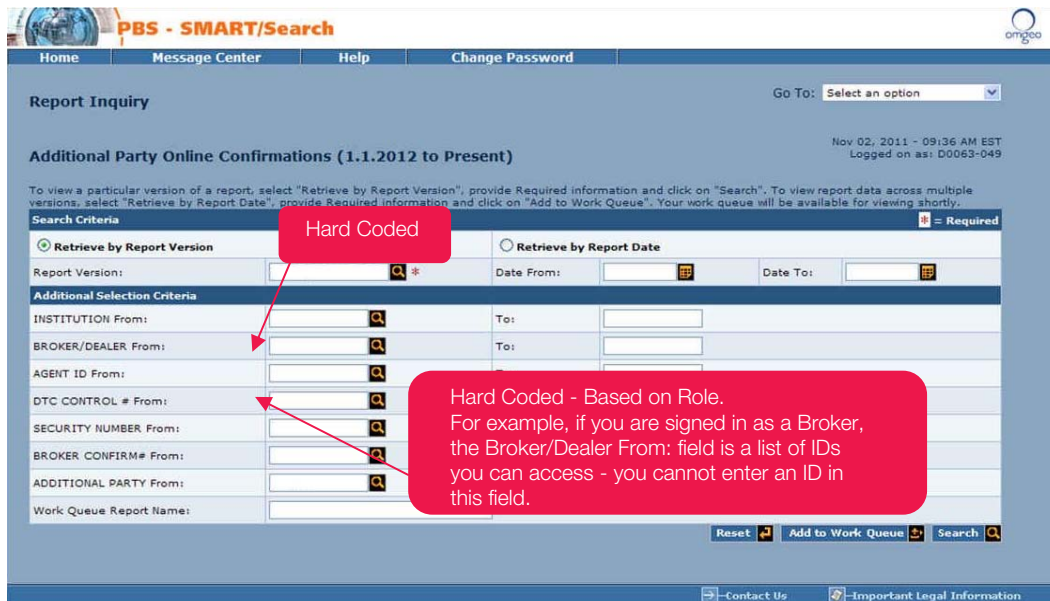
TradeSuite



Criteria	
Report version	at lists all confirm processing dates. Users MUST select a report version by clicking on  to pull (see following screen shot). This mandatory field allows users to choose a date based on the specific report version to look up a confirmation.
Institution From	on, this field is hard coded for you, but information for other fields must be input. Users are able to choose from a list of applicable institution ID numbers by clicking on  .
Broker/dealer From	dealer, this field is hard coded for you, but information for other fields must be input. Users are able to choose from a list of applicable broker/dealer ID numbers by clicking on  .
Agent ID From	this field is hard coded for you, but information for other fields must be input. Users are able to choose from a list of applicable agent ID numbers by clicking on  .
DTC Control # From	DTC Control number directly or choose from the list by clicking on  . The DTC Control number is a unique number linked to each confirm.
Security Number From	Security number directly or choose from the list by clicking on  . The Security number is the unique identifier for the security. It must be a valid CUSIP, SEDOL or ISIN number when the security numbering is used. It can be US, GB or IS.
Broker Confirm # From	Broker Confirm number directly or choose from the list by clicking on  . The Broker Confirm number is the broker/dealer internal transaction number assigned by the broker/dealer. This number helps the user identify the trade internally.
Additional Party From	Additional Party, this field is hard coded for you, but information for other fields must be input. Users are able to choose from a list of applicable additional party ID numbers by clicking on  .

Users can also search and retrieve reports by the Report Version option (time period when the Confirm Archive service produced the report) or the Report Date option. Additional filters are available to better target search results. Please refer to the TradeSuite Confirm Archive User Guide for details.

Below is a screen shot of the result from a sell-side “Retrieve by Report Version” inquiry within TradeSuite Confirm Archive:



**PBS - SMART/Search**

Home Message Center Help Change Password

Go To:


**Report Inquiry** Nov 02, 2011 - 09:36 AM EST  
Logged on as: D0063-049

**Additional Party Online Confirmations (1.1.2012 to Present)**


To view a particular version of a report, select "Retrieve by Report Version", provide Required information and click on "Search". To view report data across multiple versions, select "Retrieve by Report Date", provide Required information and click on "Add to Work Queue". Your work queue will be available for viewing shortly.


**Search Criteria** \* = Required


**Retrieve by Report Version**  Retrieve by Report Date


Report Version:  \* Date From:  Date To:


**Additional Selection Criteria**


INSTITUTION From:   To:


BROKER/DEALER From:   To:

AGENT ID From:  




DTC CONTROL # From:  

SECURITY NUMBER From:  

BROKER CONFIRM# From:  

ADDITIONAL PARTY From:  

Work Queue Report Name:

Reset  Add to Work Queue  Search 

Contact Us Important Legal Information

## How is confirm data accumulated and for how long is it stored?

TradeSuite maintains an archive as far back as March 2004. Existing TradeSuite clients who sign up for Confirm Archive have immediate access to their archived data, dating back to when the company first started using Omgeo TradeSuite. For new TradeSuite clients, data collection for Confirm Archive begins the day you subscribe to the service.

Confirmation history continues to accumulate for ten years, after which time the oldest confirmation archive report is purged to make space for new data. Purging will not begin until March 3, 2014.

## How is the service priced?

Broker/dealers, investment managers, agent banks and interested parties pay a monthly fee for TradeSuite Confirm Archive based on volume. The service is priced at two cents per confirm for the first 100,000 confirmations and one cent for each confirmation over 100,000. For smaller firms, there is a minimum charge of \$200 per month.

## What is the enrollment process?

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

User IDs remain active as long as you are a TradeSuite client in good standing and confirmation reports are accessed at least once every 90 days. Otherwise, the ID will be deleted for security reasons and you will be required to contact Omgeo to reset access.

## What are the technical requirements?

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

## What is the installation process? Is testing required?

Since TradeSuite Confirm Archive is a web-based service, no implementation or testing is necessary. Once enabled, you can access the functionality as soon as you receive a username and password.

## Where can I get additional information?

Service details can be found in the TradeSuite documentation section of the Omgeo Client Center at [www.omgeo.com/clientcenter](http://www.omgeo.com/clientcenter).

For specific questions or to enroll, please contact Keith Walsh, Director of Sales at [Keith.Walsh@omgeo.com](mailto:Keith.Walsh@omgeo.com), 617.880-6760.

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