

# ITP Services Catalog

OFFERED SUBJECT TO MSA AND APPLICABLE ANCILLARY DOCUMENTS

AS OF April 5, 2024

| ITP SERVICE  | ACCESS METHODS  | OPTIONAL WORKFLOWS  | ADD-ON / ANCILLARY SERVICES   |
|--|---|---|---|
| <p><b>CTM<sup>®</sup></b></p> <p>CTM is a central matching platform used by end-user clients to allocate and centrally match transactions globally across multiple asset classes. CTM automates the trade confirmation process, including the option to enrich confirms with disclosures via inSITE (additional subscription). CTM also facilitates matching and straight-through processing by offering workflows where end-user clients provide their own Standing Settlement Instructions (SSIs), or enable SSI enrichment. CTM includes the option to access archival services (Confirm Archive) and automatically provides access to ITP Data Analytics Operational Metrics (including a “T+1 Scorecard”). A DTCC ITP end-user client can subscribe to CTM as a standalone service; additional functionality described may require additional subscription documentation.</p> | <p><b>BROKER / INVESTMENT MANAGER</b><br/>API, File, FIX, UI</p> <hr/> <p><b>BROKER / INVESTMENT MANAGER VIA 3RD PARTY (OUTSOURCER, STP PARTNER)</b><br/>API, File, FIX, UI</p>   | <ul style="list-style-type: none"> <li>Match to Instruct (M2i)</li> <li>CTM for Prime Broker</li> <li>ALERT SSI Enrichment - ALERT Keys, ALERT Key Auto Select (AKAS)</li> <li>Confirm Archive</li> </ul> | <ul style="list-style-type: none"> <li>Settlement Instruction Manager</li> <li>inSITE</li> <li>ITP Data Analytics Benchmarking</li> </ul> |
| <p><b>TRADESUITE ID<sup>®</sup></b></p> <p>TradeSuite ID automates the electronic distribution of trade details between counterparties for post-trade processing of DTC-eligible securities to facilitate electronic settlement and end-users’ regulatory compliance, including the option to enrich confirms with disclosures via inSITE (additional subscription). TradeSuite ID also includes a matching functionality via the TradeMatch module of the system. Depending on subscription type, TradeSuite ID includes the option to access archival services (Confirm Archive) and automatically provides access to ITP Data Analytics Operational Metrics (including a “T+1 Scorecard”). A DTCC ITP end-user client can subscribe to TradeSuite ID as a standalone service; additional functionality described may require additional subscription documentation.</p>         | <p><b>BROKER / INVESTMENT MANAGER / CUSTODIAN</b><br/>UI (TradeSuite ID Web, TradeSuite ID Limited, Participant Browser System (Broker / Custodians Only)), API, TradeHub (IMs / Custodians Only), SWIFT</p> <hr/> <p><b>BROKER / INVESTMENT MANAGER / CUSTODIAN VIA 3RD PARTY (OUTSOURCER, STP PARTNER)</b><br/>UI (TradeSuite ID Web, TradeSuite ID Limited), API, TradeHub (IMs / Custodians Only)</p>   | <ul style="list-style-type: none"> <li>Confirm Archive</li> </ul>   | <ul style="list-style-type: none"> <li>inSITE</li> </ul>  |
| <p><b>ALERT<sup>®</sup></b></p> <p>ALERT is an online global database for the maintenance and communication of accounts and SSIs, available to end-user clients such as investment managers, investment manager outsourcers, brokers-dealers and custodian banks, who either input accounts and/or SSIs into ALERT or retrieve account and/or SSI data from ALERT. End-user clients can retrieve account-specific SSIs in real-time and confirm account-specific SSI availability in support of timely transaction settlement. End-user clients may also subscribe to SSI enrichment workflows for their use of CTM; additional functionality described may require additional subscription documentation.</p>   | <p><b>SSI INPUT</b></p> <p><b>CUSTODIAN / PRIME BROKER</b><br/>UI, (Global Custodian Direct (GCD), Global Custodian Web, Regional Custodian Web, Prime Broker with Liftout (via DTCC Global Service Bureau (GSB)), API (GCD)</p> <p><b>INVESTMENT MANAGER / OUTSOURCER</b><br/>UI, IM or IMO ALERT Plus, IM SSI Liftout (via GSB), IM Outsourcer SSI Liftout (via GSB))</p> <p><b>SSI RETRIEVAL</b></p> <p><b>INVESTMENT MANAGER / OUTSOURCER</b><br/>UI, API</p> <p><b>BROKER</b><br/>UI, API OR via a 3RD PARTY (STP PARTNER / VENDOR) — API</p> <p><b>ACCOUNT-SPECIFIC SSI AVAILABILITY</b></p> <p><b>INVESTMENT MANAGER / OUTSOURCER</b><br/>UI, API</p> <p><b>BROKER — UI</b></p> <p><b>STP PARTNER / VENDOR — API</b></p> | <p>N/A</p>  | <p>N/A</p>  |

# Additional ITP Services

## ITP INTEGRATION BUSINESS SERVICES

ITP Integration Business Services are used for CTM, TradeSuite ID and ALERT, as applicable. They consist of professional services and support agreed upon by end-user client and DTCC ITP in a statement of work.

## NON-CLIENT SET-UPS

At times, DTCC ITP may offer certain functionality at no cost, on a limited basis, to non-Clients. This additional functionality ("Non-Client Set-Ups") may: (i) support DTCC ITP Client operations; (ii) facilitate STP; or (iii) ease the onboarding to or increase the adoption / usage of DTCC ITP Client Services.

Entities who use Non-Client Set-Ups do not receive access to DTCC ITP systems, do not receive support services, and do not complete the standard DTCC ITP Client onboarding process. Requirements for entities using any DTCC ITP Non-Client Set-Ups are set forth in the DTCC Learning Center.

## TradeSuite ID Number "ID Only"

TradeSuite ID Number ("ID Only") is for non-self-affirming institutions. Certain institutions rely on their custodian to affirm their transactions in TradeSuite ID but are not identified in TradeSuite ID as the "institution" because their custodians affirm on their behalf. Non-Clients will not be able to use the TradeSuite ID Number to affirm trades or to access other Client Services (including but not limited to archival services).

## ASSIsT

ASSIsT is for institutions and IMOs to provide them with an alternative mechanism to communicate account and settlement instructions to broker-dealers. The ASSIsT service enables these institutions and IMOs to utilize the DTCC Global Service Bureau to input and maintain their account and settlement instructions on the institution or IMOs behalf within the ALERT platform and to then permission access to the entity's broker-dealers of choice. These institutions and IMOs do not have access to the ALERT platform but can request a copy of their SSIs at any time.

## DEFINITIONS:

**ACCESS METHOD** – The manner or method by which a Client accesses the Services, which may differ depending on Client's technology configuration, Client's entity type, and operational and technological setup.

- **API** – An application programming interface for direct connectivity to the Service.
- **UI** – A user interface for web-based use of a Service.

**OPTIONAL WORKFLOW** – Additional workflows within a Service that Client may elect and sign up for, from time to time.

**ADD-ON / ANCILLARY SERVICE** – Additional Services that Client may elect and sign up for, from time to time

This Service Catalog, except where noted, details Services provided pursuant to a Master Services Agreement and ancillary documentation, and subject to the terms and conditions of the same including any client onboarding steps required. DTCC ITP LLC, by and through its affiliates under the ultimate ownership of The Depository Trust & Clearing Corporation ("DTCC Affiliates"), owns, and offers access to, a variety of global financial services, institutional post-trade processing services, as well as related consulting services, and configuration services, which can, depending on Client's type and technological set-up, be accessed in various Access Methods, and configured with Optional Workflows and Ancillary / Add-On Services, together with Services Software and Service Data (together "Services", and each, a "Service").

For the purposes of this Services Catalog, various DTCC Affiliates worldwide contract with end-user clients via the documentation described above to provide these Services. DTCC ITP LLC in the U.S. contracts with various affiliates who provide the Services to their end-user clients to the extent related to non-DTC-eligible securities. These affiliates include DTCC Canada Ltd; DTCC ITP Matching (Canada) Limited; DTCC ITP (UK) Limited, DTCC Japan K.K, DTCC Australia Pty Ltd, DTCC Hong Kong Limited, and DTCC Singapore Pte. Ltd.

This Service Catalog is provided for your information only and should not be construed as a commitment to offer the Services; Services access is contingent on completion of appropriate documentation and client onboarding and set-up pursuant to the above.

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