

Settlement Instruction Manager

DRIVING STRAIGHT THROUGH PROCESSING VIA THE AUTOMATIC TRANSMISSION OF SETTLEMENT MESSAGING

OVERVIEW

DTCC's Institutional Trade Processing's Settlement Instruction Manager enables clients who use CTM® to achieve straight through processing of matched trades through the automatic creation and transmission of settlement messages in industry standard formats. Through the Settlement Instruction Manager user interface, users have the ability to automatically generate and send messages to up to 15 predetermined recipients for each settlement instruction, such as custodians, depositories, fund administrators, legal departments, valuation agents, Japanese Trust Banks, Master KAGs, underlying clients, and other interested parties. The message can be a formal instruction or a COPY message.

Settlement Instruction Manager Messages can be formatted and submitted as:

1. SWIFT MT54x via the SWIFT network and/or
2. CSV format via sFTP

By utilizing Settlement Instruction Manager trading parties and settlement agents enjoy the benefits of a centralized platform and standard industry interface.

Users configure profiles from a combination of fields to determine when to create and/or release settlement instruction messages.

Messages can be created for different recipients according to field combinations including Account ID, Currency, Place of Settlement (PSET), Type Of Financial Instrument, CTM matching status, etc. The messages can be released automatically or manually, including options to create settlement instruction messages for allocations that are not yet matched on the CTM platform or for records where the counterparty is not using the CTM service.

WORKLIST PAGE

CTM Alloc...	Settlement Detail Last Updated	Primary Format	Settlement Date ↑	Settlement Detail Status	Delivery Status Summary	Trade Date	Settlement Location	PSA
<input type="checkbox"/> 76871239		SWIFT	05-Oct-21	Processing		05-Oct-21	AU	
<input type="checkbox"/> 76768793	08-Nov-2021 08:07:11	SWIFT	05-Oct-21	Released	In Progress	05-Oct-21	DTCYUS33XXX	
<input type="checkbox"/> 76871223	20-Oct-2021 01:42:19	SWIFT	05-Oct-21	Released	Success	05-Oct-21	DTCYUS33XXX	
<input type="checkbox"/> 76768801	26-Oct-2021 15:22:40		05-Oct-21	Failed Validation	Not Released	05-Oct-21	TRACER04XXX	
<input type="checkbox"/> 76886638	20-Oct-2021 10:23:16	SWIFT	05-Oct-21	Released	Success	05-Oct-21	DTCYUS33XXX	
<input type="checkbox"/> 76886623	20-Oct-2021 10:23:51	SWIFT	05-Oct-21	Released	Success	05-Oct-21	DTCYUS33XXX	
<input type="checkbox"/> 76886661	20-Oct-2021 10:23:52	SWIFT	05-Oct-21	Released	Success	05-Oct-21	DTCYUS33XXX	
<input type="checkbox"/> 76888052	20-Oct-2021 10:44:08	SWIFT	05-Oct-21	Released	Success	05-Oct-21	CETIBRR1XXX	
<input type="checkbox"/> 76888060	20-Oct-2021 10:44:08	SWIFT	05-Oct-21	Released	Success	05-Oct-21	CETIBRR1XXX	

DETAIL PAGE

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Dashboard Settlement Status Manager **Settlement Instruction Manager**

BIRAT RAUT Raut Investments - III-BOFACATTFCS

Notification Detail View

Match Agreed Status: MAGR Allocations: MACH Notifications: ACK

Release Cancel Stop Amend Collapse All

Notifications

Recipient Type	Recipient ID	Recipient Name	Settlement Detail Status	Delivery Status	Format	Channel	History	Last Updated
Primary	ZYINUS30XXX	I am Settling Agt -ZYINUS30	RELEASED	ACK	SWIFT	SWIFT	View	20-Oct-2021 01:42:18
Copy	ZYIOUS30DNM	Raut Investments - I - ZYIOUS30DNM	RELEASED	ACK	SWIFT	SWIFT	View	20-Oct-2021 01:42:03
Copy	ZYKNUS30XXX	CUG CTM Test IM01	RELEASED	ACK	SWIFT	SWIFT	View	20-Oct-2021 01:42:03
Copy	ZYORUS30DNM	SSM EZE Custodian '01' /-?:(,)+	RELEASED	ACK	SWIFT	SWIFT	View	20-Oct-2021 01:42:03

Trade Summary

Field	Settlement Record
Trade Date	05-Oct-21
Settlement Date	05-Oct-21
Match Agreed	MAGR
...	...

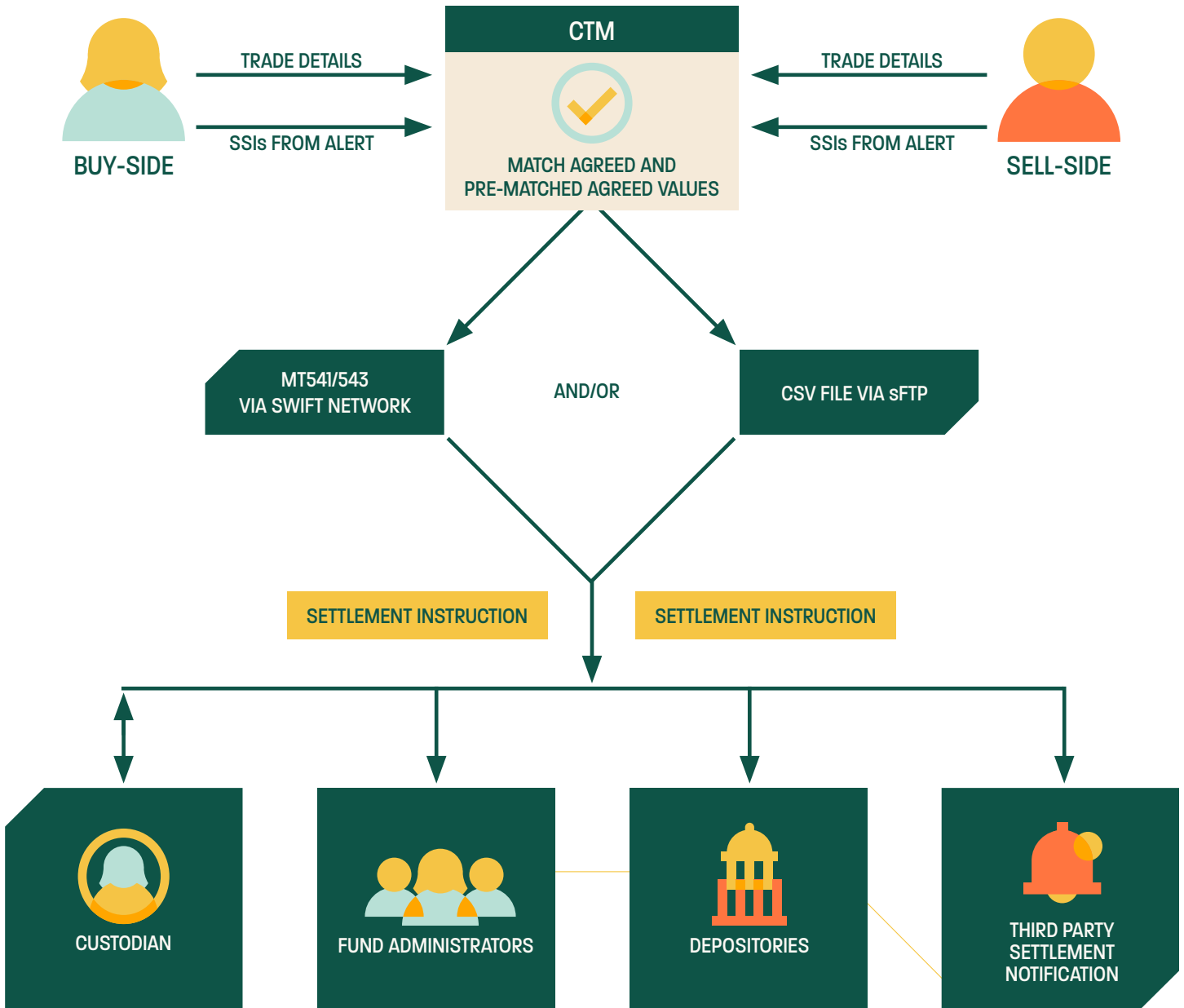
BENEFITS

- Improve settlement rates by ensuring all allocations are instructed or communicated to the pertinent recipients as part of straight through processing.
- Reduce exception handling by receiving matched trades automatically enriched with standing settlement instruction (SSI) data.
- Lower risk and cost by reducing the volume of fax communications from clients.
- One platform for trade matching, settlement instruction and settlement statuses.

KEY FEATURES

- Optional real-time enrichment of settlement instructions with SSIs from ALERT®, the industry's largest and most compliant web-based global database for the maintenance and communication of standing settlement and account instructions.
- Controlled implementation of settlement instructions by fund, settlement location, settlement depository, security type and settlement agent.
- Enables users to preview the formatted MT54x message prior to release.
- Audit inquiry on all messages sent on the user's behalf.
- Send up to 15 SWIFT messages or comma delimited CSV files for each settlement instruction to interested third parties.
- Ability to view, amend, release, cancel, and stop settlement instructions via the Instruction Manager user interface.
- Configure a manual or automatic release method, which can be over-written on a per allocation basis.
- The ability to release settlement instructions before the trade is fully matched in shorter settlement markets.
- Send settlement instructions for allocations where the counterparty is not currently connected to CTM.
- Ability to include Universal Transaction Indicator (UTI) on outbound settlement instruction.
- Ability to consume settlement status back from Custodians to track status of trade through settlement.
- Display settlement status history within the user interface.

HOW SETTLEMENT INSTRUCTION MANAGER FUNCTIONALITY WORKS



FOR MORE INFORMATION

Please contact your Relationship Manager or visit www.dtcc.com/itp

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