

TOP 6 WAYS TO ENSURE SUCCESSFUL FAILS PREVENTION AND AVOID CSDR PENALTIES

The upcoming Central Securities Depositories Regulation's (CSDR) Settlement Discipline Regime (SDR) will impose new measures to prevent settlement failure such as cash penalties for failing and/or late matching trades, and mandatory buy-ins. Given these new, potentially large, impacts of a failed trade — the time is now to maximize your current investments in Institutional Trade Processing's suite of services and to focus efforts on the prevention of failure.

PRE-TRADE ENRICHMENT

- 1 Utilize the **ALERT®** platform, the industry's largest and most compliant central database of standing settlement and account instructions (SSIs) and provide automatic enrichment of those SSIs on a matched trade when used in conjunction with CTM™.
- 2 Take advantage of **ALERT's Global Custodian Direct (GCD) workflow**, a fully custodian or prime broker managed workflow ensuring SSIs in the system come directly from and are maintained by source data providers.
- 3 Upgrade your traditional **ALERT enrichment capabilities by accessing our ALERT Key Auto Select (AKAS) functionality**, a seamless (and free) rules-based enrichment of CTM trades eliminating the need to provide ALERT Keys (Country, Method, Security) as part of the trade information.

ALERT



ALERT GCD



**A Roadmap to SSI Automation: How an SSI Utility Benefits All Participants*

TRADE DATE AGREEMENT

- 4 Achieve straight through processing via **CTM**, the industry's standard for central matching, by agreeing to the economics, place of settlement (PSET) and associated SSIs on trade date, allowing you to resolve any trade exceptions in a timely fashion.

SETTLEMENT & EXCEPTION MANAGEMENT

- 5 Prevent penalties under CSDR through centralized trade exception management with **DTCC Exception Manager**, quickly resolving exceptions and reducing delays in settlement.

DATA & ANALYTICS

- 6 Gain a better understanding of who your higher risk counterparties are by leveraging **ITP Data Analytics**, allowing you to identify potential missed trade affirmations in order to prevent fails.

WANT TO LEARN MORE? VISIT [DTCC.COM/CSDR](https://www.dtcc.com/csdr)

See how DTCC's ITP suite of services can reduce your risk of trade fails, minimizing the impact of CSDR.

WANT TO LEARN MORE ABOUT DTCC CONSULTING SERVICES? VISIT [DTCC.COM/CONSULTING](https://www.dtcc.com/consulting)

Need support implementing the ITP suite of services at your organization? We'll help you rethink your post-trade operating model.

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CTM



DTCC EXCEPTION MANAGER



ITP DATA ANALYTICS

