

PRODUCT RELEASE INFORMATION: UI 4.0 RELEASE 12

SEPTEMBER 17, 2020

This document describes the following new features in Release 12 of the CTM™ User Interface 4.0 (UI):

All clients can now :

- [Customize Views](#)
- [View Trade Side and Field History](#)
- [Export a Contract to a PDF](#)

Additionally:

- For investment managers:
 - [Create Stepout Trades](#)
 - [Override TradeMatch](#)
- For US Depository Interface (USDI) executing brokers, this release enables you to have CTM automatically [create confirms](#) on your behalf.

It also describes [Enhancements and Resolved Issues](#) and [Known Issues](#) in this release.

Customize Your Views

Starting in this release, you can create your own customized views of trades in the UI. You can create one user-defined view under the Trade Exceptions and Match Agreed sections on the left side of the UI.

- **Customized views** appear on the left navigational panel. A single customized view can be created under the Trade Exceptions or Match Agreed view.
- **Tabs** appear in the main grid under the customized view. Each customized view can have a maximum of ten tabs. The tabs allow you to create modified versions of the customized view. For example, you can set up one tab your US domestic trades with exceptions, while another tab shows your counterparty alleged trades.

Creating Your Views

To create a user-defined view:

1. Click **+** **Create Customized View** next to the Views label at the top of the left panel shown in [Figure 1](#).

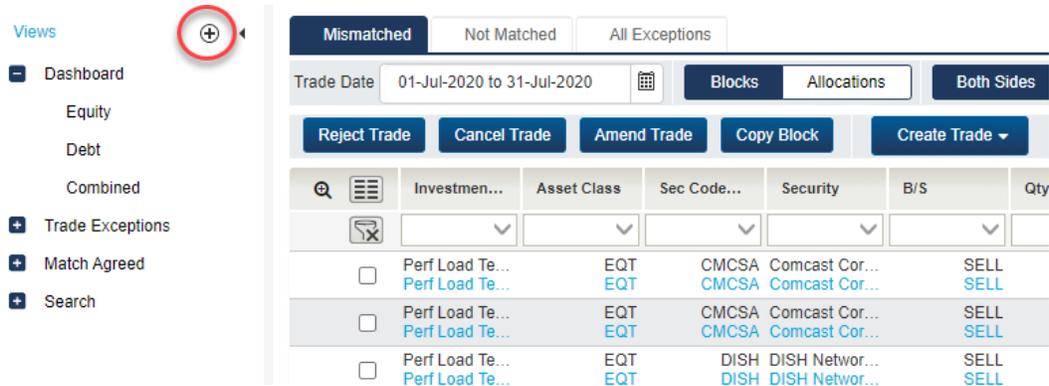


Figure 1 Create Customized View Icon

The Create Customized View dialog box appears, shown below.

Figure 2 Create Customized View

2. Enter and select values for the following:
 - o Type a name for the view in the **Enter Name** field.
 - o By default, all views include both equity and debt asset classes.
 - o Select the category of trades in which you want the view to appear from the Category radio buttons, **Trade Exceptions** or **Match Agreed**.
3. Click **Create**.

Depending on which category you chose in Step 2, the Create Tab appears, shown below.

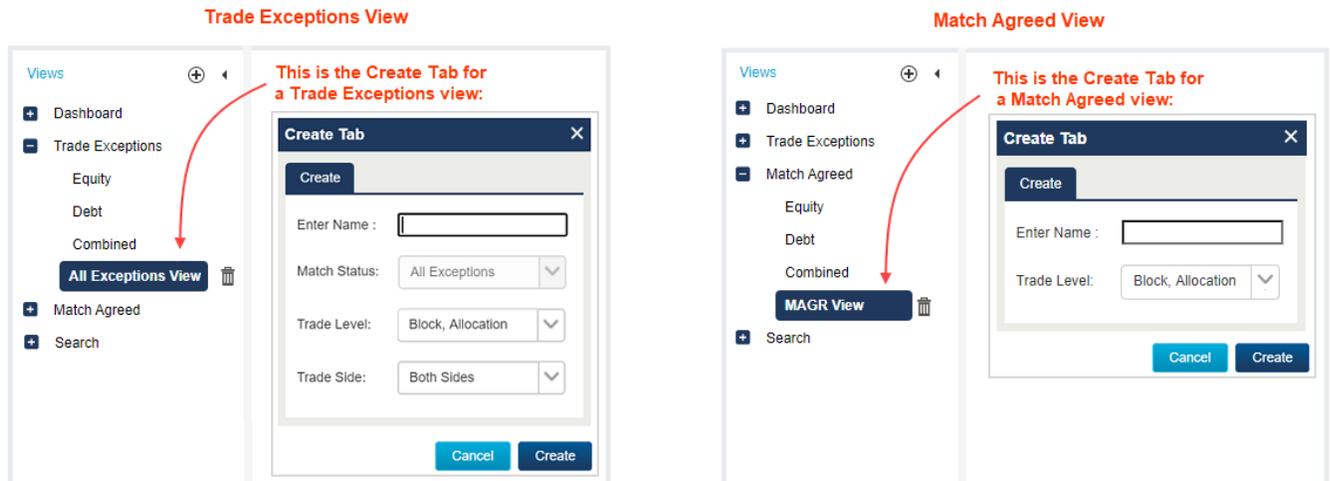


Figure 3 Create Tab for Both Views

Creating Tabs for Your New Views

Use the Create Tab dialog box shown in [Figure 3](#) to add up to ten tabs for each new view.

1. Type a name for the tab in the **Enter Name** field.
2. Make your selections for the remaining fields on your new tab as follows:

Trade Exceptions View	Match Agreed View
<p>A. By default the Match Status field includes All Exceptions.</p> <p>B. Select the Trade Level components as follows:</p> <ul style="list-style-type: none"> ○ Block, Allocation (blocks and allocations) ○ Block ○ Allocation <p>C. Select the Trade Side as follows:</p> <ul style="list-style-type: none"> ○ Both Sides ○ My Side ○ Counterparty 	<p>A. Select the Trade Level components as follows:</p> <ul style="list-style-type: none"> ○ Block, Allocation (blocks and allocations) ○ Block ○ Allocation

4. After making your selections in the Create Tab dialog box, click **Create**.

Figure 4 shows an example of a new tab for the new All Exceptions View.

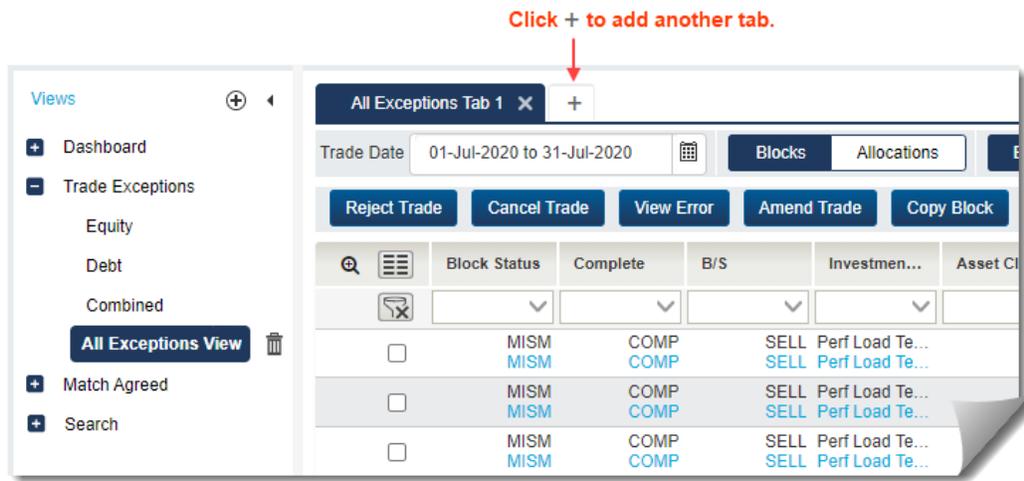


Figure 4 Example of One New Tab for the New All Exceptions View

Figure 5 shows an example of a new tab for the new MAGR Cstm View.

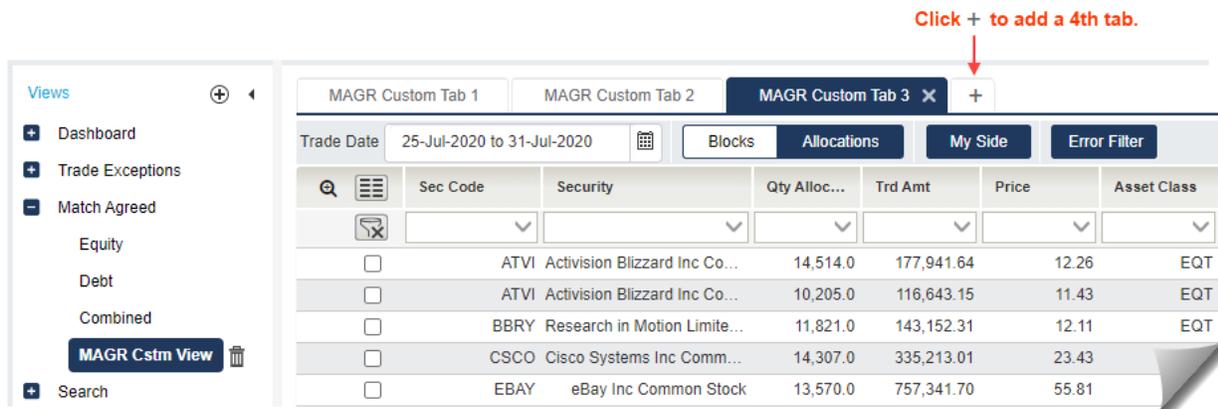


Figure 5 Example of Three New Tabs for the New MAGR Cstm View

Notes

- You can apply filters on the fields in your view similar to how you filter the other views.
- All functional buttons are available for each tab based on the role or roles to which you are subscribed.
- You cannot rename views and tabs after saving them.
- Click  **Save Preferences** to save your view and tab settings for future use.

Deleting Customized Tabs and Views

When you delete a customized tab, the UI also deletes all saved preferences. And, when you delete a customized view, the UI deletes all of the tabs associated with the view.

Deleting a Tab

To delete a customized tab, click the **X** next to the tab label, shown in [Figure 6](#).

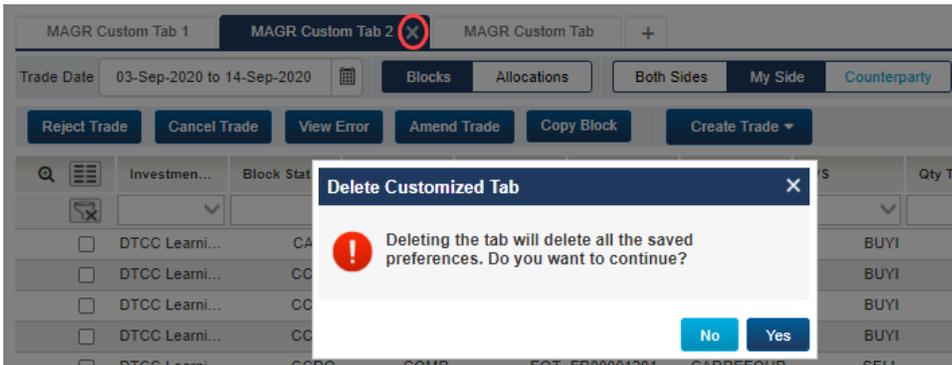


Figure 6 Delete a Customized Tab

Deleting a View

To delete a customized view, click  **Delete Customized View** next to the view that you want to delete. The UI prompts you to confirm the deletion, shown in [Figure 7](#).

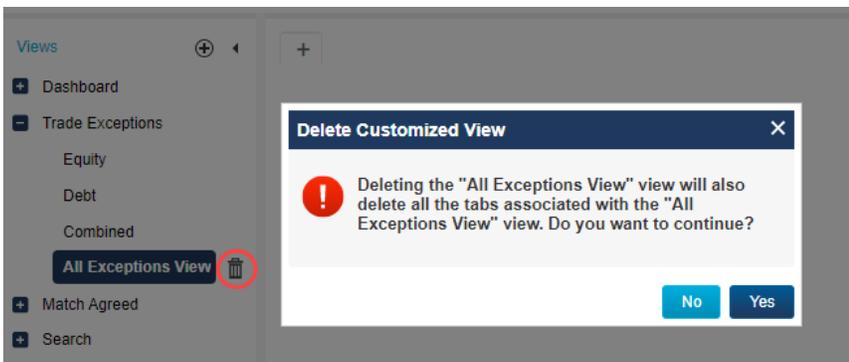


Figure 7 Delete a Customized View

View Trade Side and Field History

This release includes a new feature that allows you to view the entire history of your trade side to obtain an accurate picture of when statuses on your trade changed, which party took action, and when changes happened.

The new  **History View** button is only available in the Trade Side Details view, shown in [Figure 8](#).

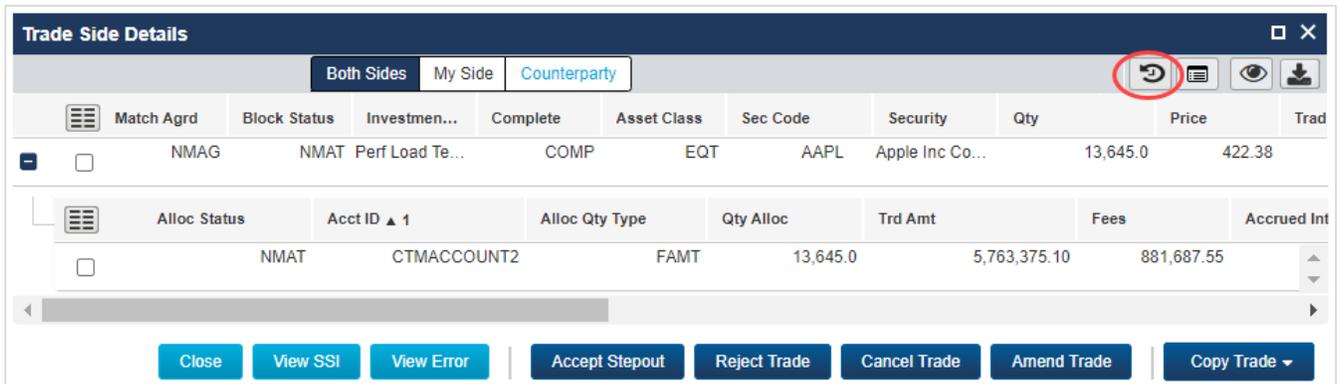


Figure 8 History View Button

Trade Side History

When you click  **History View**, the UI displays the Trade Side History of a block and allocation for My Side, Counterparty, and System (depending on applicability), shown in [Figure 9](#).

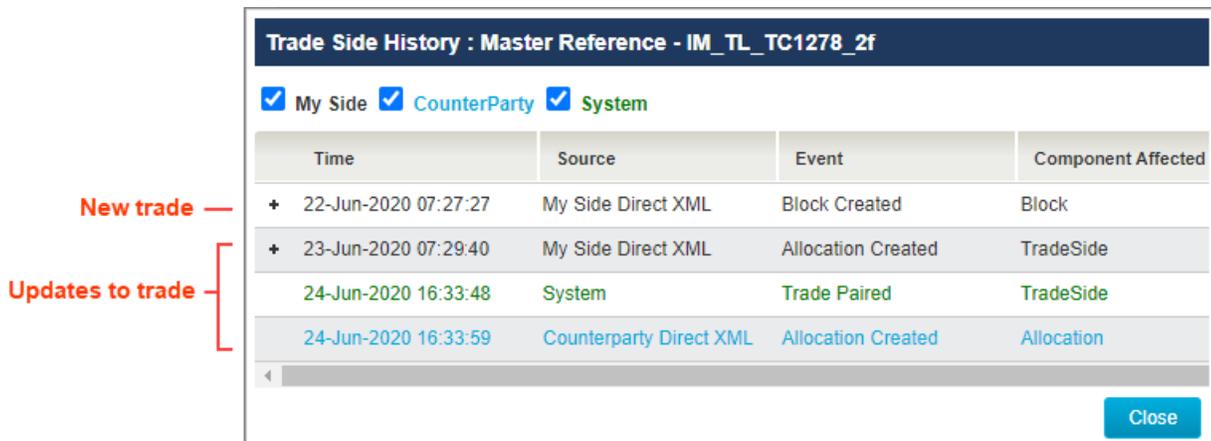


Figure 9 Trade Side History

Note the following:

- The first item in the Trade Side History is always the creation of a trade component.
- By default the Trade Side History includes My Side, Counterparty, and System actions. To filter the list, clear the next to a category to remove it.
- The color scheme for actions on a trade side is as follows:
 - My Side actions are in **black**. You can drill down My Side actions to view the field history.
 - Counterparty actions are in **blue**. You cannot drill down to view the details of Counterparty actions.
 - System actions are in **green**. You cannot drill down to view the details of System actions.
- The maximum number of records displayed is the most recent 100 records. If your trade side contains more, the UI displays a message to contact the DTCC [Client Contact Center](#) to retrieve them.

Field History

To view field information for a trade, click **+** next to the date of the change you want to explore.

Figure 10 shows the history for a new trade.

Trade Side History : Master Reference - IM_TL_TC1278_2f						
<input checked="" type="checkbox"/> My Side <input checked="" type="checkbox"/> CounterParty <input checked="" type="checkbox"/> System						
Time	Source	Event	Component Affected	MAGR Status	Block Status	Alloc Status
- 22-Jun-2020 07:27:27	My Side Direct XML	Block Created	Block	NMAG	NMAT	
Field	From	To				
Security		CUSI 200300200 GLOBAL CORP COMMON STOCK				
Place of Trade		OTCO US United States of America				
Total Net Cash Amount		293,004.00 USD				
Settlement Date		26-Jun-2020				
Total Commissions		FLAT TCOM 70.00 USD				
Buy/Sell		SELL				
Yield		CALL 8.45				
Trade Date		22-Jun-2020 11:41:37				

[Close](#)

Figure 10 Field History for a New Trade

Figure 11 shows the history for an update to a trade.

Trade Side History : Master Reference - IM_TL_TC1278_2f						
<input checked="" type="checkbox"/> My Side <input checked="" type="checkbox"/> CounterParty <input checked="" type="checkbox"/> System						
Time	Source	Event	Component Affected	MAGR Status	Block Status	Alloc Status
+ 22-Jun-2020 07:27:27	My Side Direct XML	Block Created	Block	NMAG	NMAT	
- 23-Jun-2020 07:29:22	My Side Direct XML	Allocation Created	TradeSide	NMAT	COMP	
Field	From	To				
Charges/Taxes		TFEE 2,881,687.55 USD				
Settlement Amount		2,881,687.55 USD				
Account ID		CTMACCOUNT2				
Trade Amount		5,763,375.10 USD				
Net Cash Amount		2,881,687.55 USD				
Complete Status	INCP Trade Not Complete	COMP Trade Complete				

These empty fields indicate that the values in them were not changed.

[Close](#)

Figure 11 Field History for an Update to a Trade

Export a Contract to a PDF

The new Export Contract to PDF feature gives all users the ability to download Legal Contract Notes or Confirm Certificates to PDF from the Match Agreed view. It is only applicable for *MAGR* and *CANCEL MATCH AGREED (CMAG)* trades.

To export a contract:

1. Select the contract that you want to export, and click  **Export**.
The UI displays the Export pop-up with **CSV** as the default file type.
2. Click the **PDF** file type and then click **Export**.

Figure 12 shows the process for navigating to the PDF file type export.

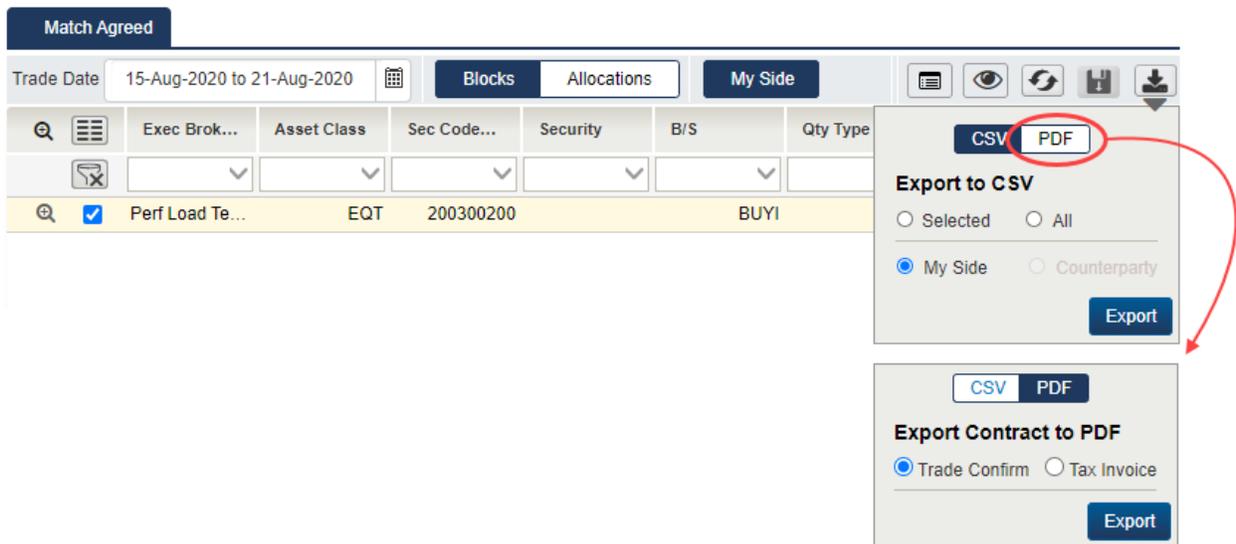


Figure 12 Export to PDF

3. Select the **Trade Confirm** or **Tax Invoice** radio button.
4. Click **Export**.

Your PDF downloads to the default location configured in your browser, an example of which is shown below.



Figure 1.13 Trade Confirm

Create Stepout Trades

As part of this release, investment managers (you) can now submit stepout trades from the UI as long as you and your counterparties all subscribe to CTM Stepouts and your organization is set up to process them.

Note

To configure your environment for stepouts, see the [Stepouts: Implementation Guide](#). Also, note that stepouts are only available for manual trade entry, not the Amend and Copy functions.

The following procedure describes how to create stepouts using the Standard Template, but you can also create them using a Custom Template.

To create a stepout trade:

1. Click **Create Trade** from any of the Trade Exceptions tabs, shown below.

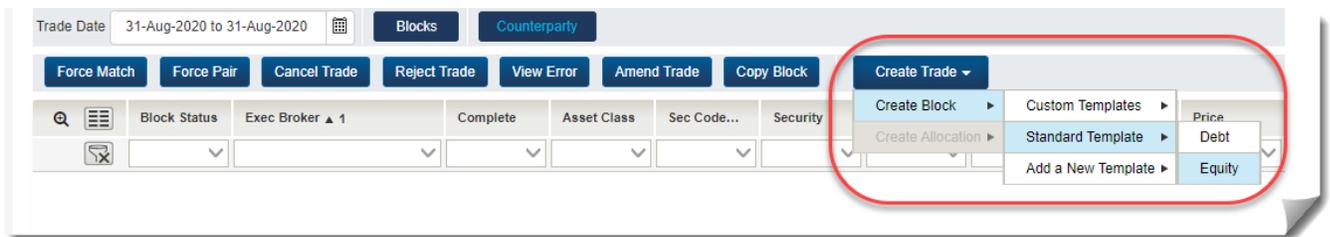


Figure 14 Create Trade

The UI displays a Create a Block dialog box, an example of which is shown in [Figure 15](#).

 A screenshot of the 'Create a Block: Equity - Standard Template' dialog box. The title bar shows 'Standard Template > Equity'. Below the title bar is a 'Copy this Template' link. The dialog is divided into two sections: 'Primary Info' and 'Security Identifier'. In the 'Primary Info' section, there are fields for 'Financial Instrument *' (Type or select...), 'Executing Broker *' (Type or select...), 'Buy/Sell *' (Buy/Sell radio buttons), 'Trade Date *' (31-Aug-2020), 'Settlement Date *' (31-Aug-2020), and 'Master Reference'. In the 'Security Identifier' section, there are fields for 'Security Code *', 'Numbering Agency/Country Code *' (Type or select...), and 'Security Description'. At the bottom left, there is a '+ Add a Field' link. At the bottom right, there are 'Close' and 'Submit' buttons.

Figure 15 Create a Block

2. Click **Add a Field** in the lower left corner of the Create a Block dialog box and then select the **StepOut Trade** field in the resulting Add A Field dialog box.

Figure 16 shows the process.

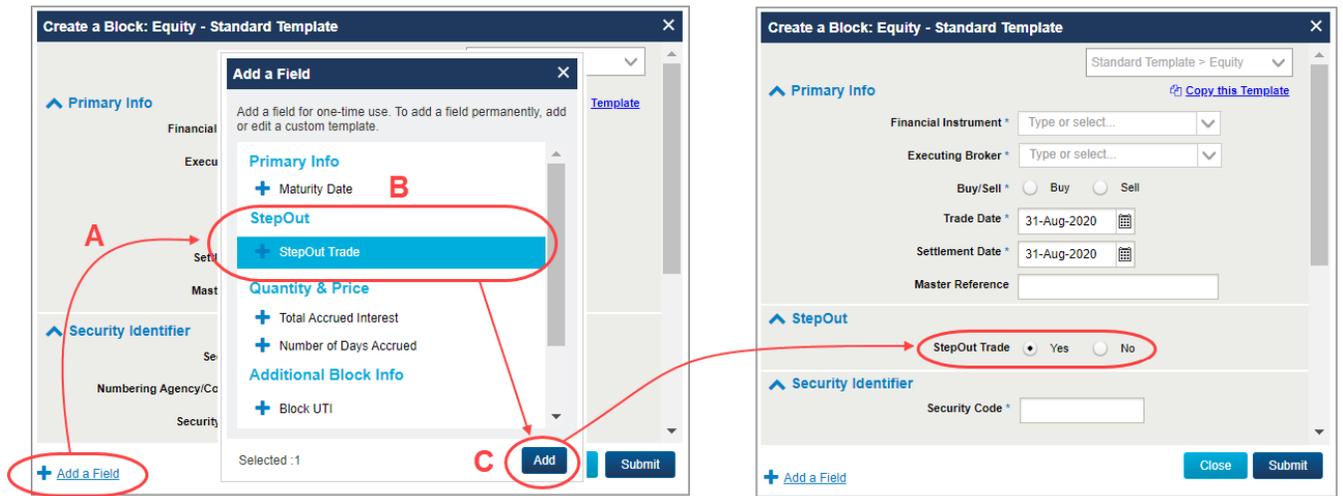


Figure 16 Add the Stepout Trade Field

3. To create your allocations for the block, select the block that you want them in, and then click **Create Allocation > Standard Template > Equity**.

Similar to Step 2, when the Create an Allocation dialog box appears, click **Add a Field** to populate the StepOut section, an example of which is shown in Figure 17.

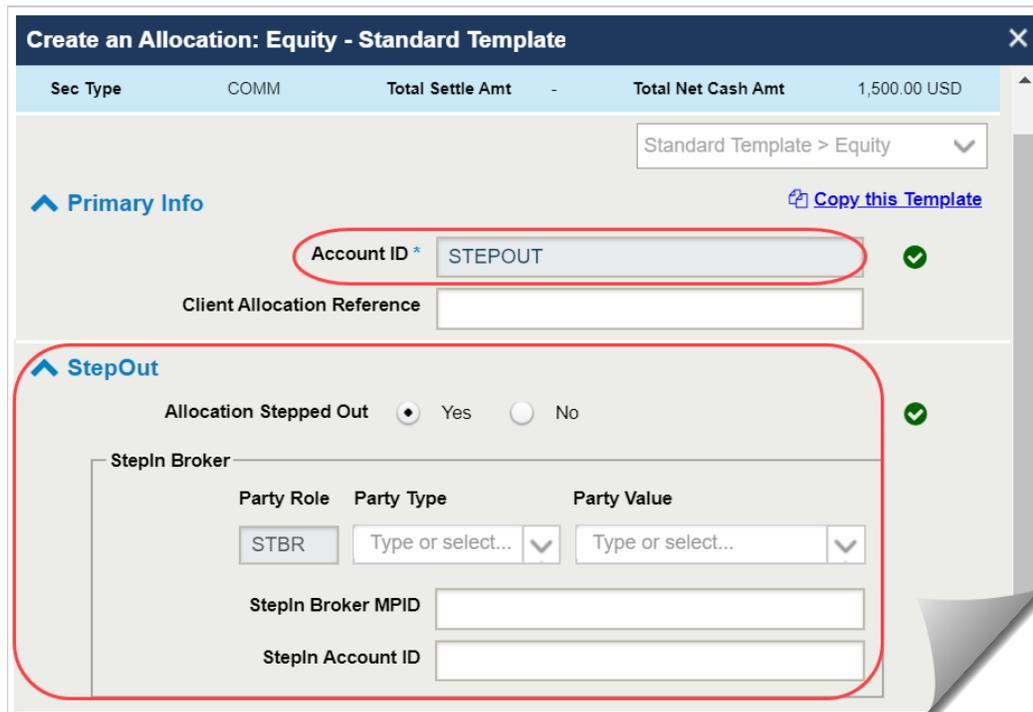


Figure 17 Create an Allocation

Note the default `STEPOUT` value in the **Account ID** field, which CTM assigns to each stepout allocation in a block.

4. Populate the fields in the StepOut section in accordance with the field parameters below:

Field	Description	Allowed Value
Allocation Stepped Out	Indicates if the investment manager wants the allocation stepped out.	Yes
Stepin Broker	Composite of fields that describe the broker that is stepping in for the portion of the trade allocation after it has been processed by the executing broker.	
Party Role	Required field that defaults to the stepin broker's role in the trade.	STBR
Party Type	Required drop-down box that describes the stepin broker's ID type.	One of the following: <ul style="list-style-type: none"> • BIC • UNKN
Party Value	Required field that describes the stepin broker's ID value. Note: If your counterparty is not subscribed to CTM Stepouts, then the drop-down box will not contain the stepin broker's ID.	Unique broker value.
Stepin Broker MPID	Optional Market Participant ID (MPID) associated with the broker identified in the Stepin Broker composite.	Unique broker value.
Stepin Account ID	Optional stepin broker's actual AccountID.	Unique broker value.

Override TradeMatch

For investment managers using the automatic affirmation function in Trade Match for domestic US trades, this release includes the new **Override TradeMatch** drop-down list in the Create an Allocation dialog box.

Note

To configure your environment for automatic affirmation, see the [Auto-Affirmation: Implementation Guide](#). Also, note that the override is available for the Amend and Copy functions.

As with other fields in manual entry, to take advantage of the Override TradeMatch feature, you must first click the [Add a Field](#) link in the Create an Allocation dialog box to add it as an option.

[Figure 18](#) shows an example of the Create an Allocation dialog box with the **Override TradeMatch** drop-down list.

The screenshot shows a dialog box titled "Create an Allocation: Equity - Standard Template". It contains several sections:

- Settlement Amount:** Includes a text input for "Settlement Amount" and a dropdown for "Settlement Currency" with the placeholder "Type or select..".
- Additional Allocation Info:** Includes a "Broker Custody Indicator" with radio buttons for "Yes" and "No".
- Additional Depository Info:** Includes a dropdown menu for "Override TradeMatch", which is circled in red.
- Settlement Source: ALERT:** Includes three dropdown menus for "ALERT Country Code", "ALERT Method Type", and "ALERT Security Type", each with the placeholder "Type or select..".

At the bottom of the dialog, there is a "+ Add a Field" link, a "Close" button, and a "Submit" button.

Figure 18 Override TradeMatch

The valid values are as follows:

Value	Description
Y Yes	When the trade side reaches MATCH AGREED (MAGR), CTM does not send the allocation to Trade Match.
N No	When the trade side reaches MAGR, CTM sends the allocation to TradeMatch.
NA Not Applicable	The field does not apply to the trade (default).

Create Confirm

This release includes a new feature for USDI executing brokers to instruct CTM to create a USDI or USDM (US Depository Interface External Affirmation) confirm on its behalf that settles at either DTC or Fedwire.

Note

To configure your environment for automatic confirmation creation, see the [US Domestic Trade Processing: Reference and Best Practices](#). Also, note that the create confirm feature is available for the Copy function but not Amend.

As with other fields in manual entry, to take advantage of the Create Confirm feature, you must first click the [Add a Field](#) link in the Create an Allocation dialog box to add it as an option.

Figure 19 shows an example of the Create an Allocation dialog box with the **Create Confirm** radio buttons.

Figure 19 Create Confirm

The valid values for the Create Confirm radio buttons are as follows:

- **Yes**—CTM automatically creates a TradeSuite ID confirm on your behalf.
- **No**—CTM does not create a TradeSuite ID confirm on your behalf.

Enhancements and Resolved Issues

[Table 1](#) describes an enhancement and issues addressed in this release.

Table 1 Enhancements and Resolved Issues

Area	Enhancements and Resolved Issues
Idle logout time	The idle timeout period for the UI has increased to 30 minutes. Also, when a timeout occurs, you are not required to log out of the single sign on environment. To log back in, you can click your bookmarked URL and then provide login details.
Amending trades	Retain field values after an amend—applies to all non-L1 pairing, non-L2 matching, and non-manual SSI fields.
Copying a trade with a US ticker	Trades with a US ticker security identifier can now be copied. Previously, the Argentine numbering agency code was copied.
Maturity Date	Maturity Date field now shows an error when the specified maturity date occurs prior to the trade date.
Allocation Price	Allocation Price has been added to the Trade Detail in the main grid and Trade Side details.
Caching Issue	A caching issue is resolved to enable the display of current available trade information for View Only Brokers.
Broker Matching Group (BRMG) identifiers	BRMG identifiers are now supported in manual entry, amend, and copy functions.

Known Issues in This Release

[Table 2](#) describes some of the known issues in this release.

Table 2 Known Issues

Area	Known Issue
Field history for a block automatically generated by CTM	The Instructing Party field value is displayed as “BIC BIC” instead of the actual value of the investment manager’s BIC.
Multiple screens	Multiple action screens can be launched at the same time.
Filtering on date fields	Date fields are not persistent on filters.
Standing Settlement Instructions (SSIs)	The SSI field, Custodian Data, does not appear on an exported PDF.
Broker Copy Allocation	Where a broker/dealer is not subscribed to ALERT Key Auto Select (AKAS) and the investment manager is subscribed to AKAS and its allocation uses AKAS: if a broker/dealer copies the single allocation, it will receive synchronous error S40015. The workaround is to manually create the Allocation (not copy it). DTCC encourages investment managers to communicate AKAS requirements with their broker/dealer counterparties to realize the benefits of the AKAS feature. See the ALERT Key Auto Select (AKAS) Implementation Guide (requires registration).

Changes in This Version of the Document

This version of the document contains an additional known issue regarding .

Related Documents and Training

For related documents and training in the DTCC Learning Center, go to [Institutional Trade Processing](#).

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- Search the knowledge base
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