



TradeServ User Guide

June 2022

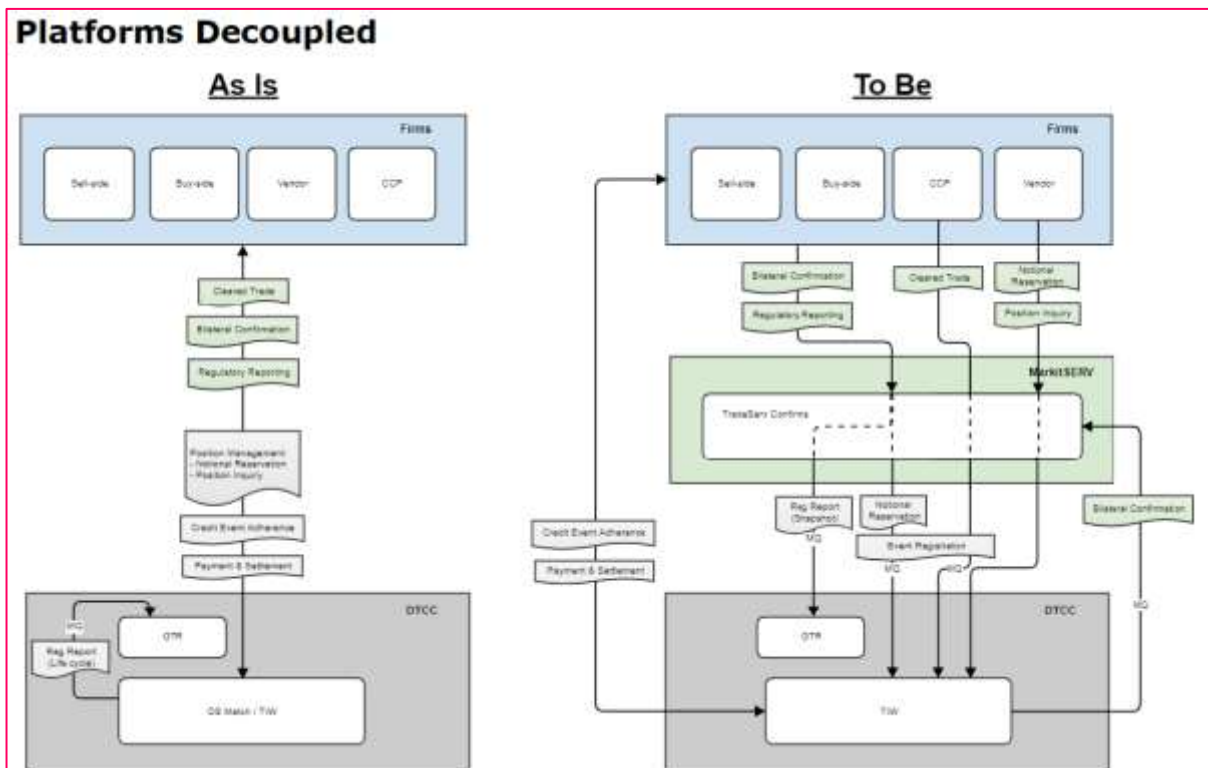
TradeServ User Guide	1
1.0 Introduction	5
2.0 Getting Started	6
2.1 Logging into TradeServ	6
2.2 Login Process for New Users	6
2.3 Login Process for Existing Users	9
2.4 Login Issue Resolution	13
2.5 User Settings	14
2.6 GUI Customization	15
2.6.1 Workspace Page and Dashboard	15
2.6.2 Adding/Removing Column Header	17
2.6.3 Column Positioning	19
2.6.4 Column Filtering	19
2.6.5 Clearing Filters	21
2.6.6 Column Sorting	21
2.6.7 Save/Modify/Delete Workspace	22
2.6.8 Sharing Workspace	24
2.7 Export Current Page/All Data	26
2.8 Page Maneuvering	27
3.0 Standard Search and View Trade	29
3.1 Searching Trade Blotter	29
3.2 View Trade	30
3.3 View Position	31
3.4 View Messages	32
3.5 View History	33
3.6 Print Details from View Trade	34
3.6 Searching Trades from the SEARCH Feature	34
4.0 Trading Using TradeServ	40
4.1 GUI Submission	40
4.2 CSV Submission	42
4.3 MQ Submission	45
4.4 Cancelling a Trade Before Confirmation	45
4.5 Modify a Trade Before Confirmation	46
4.6 Accepting a Trade via Alleged	47
4.7 Best Match (Matching Candidate)	48
4.8 Post Trade Event	50
4.8.1 Termination	50
4.8.2 Amendment	52
4.8.3 Exit	54
4.8.4 TRICChange	56

4.8.5 Disable	56
4.8.6 Fee Amendment	58
4.8.7 Workflow Update	60
4.8.8 Exercising Swaption	61
4.9 Assignment	63
4.9.1 Assignment Roles	64
4.9.2 Entering an Assignment from a Confirmed Trade	64
4.9.2 Entering an Assignment by Accepting an Alleged Transaction	65
4.10 Trade Status Definitions	68
5.0 Counterparty Directory	70
6.0 User Reports	71
6.1 Generate and Download a User Report	71
6.2 GSD Reports	75
7.0 Regulatory Reporting	79
7.1 View Regulatory Reporting Details	79
7.2 Manual Entry of Regulatory Reporting Details	81
7.3 Reporting Update	82
8.0 Novation Consent Setup	84
8.1 Accessing The Application	84
8.1.1 My Apps	84
8.2 Novation Consent Actions	84
8.2.1 Creating a Novation	85
8.2.2 Consent equals Confirmation or Consent Only	88
8.2.3 Pending and Acting on Novations	89
8.2.4 Completed Novation	92
8.2.5 Disputing a Novation	93
8.2.6 Refusing a Novation	95
8.2.7 Modifying a Request	96
8.2.8 Resubmitting a Request	99
8.2.9 Cancelling a Request	100
8.2.10 Undisputing a Request	101
8.2.11 Block Novations	103
8.2.12 4 Way Novations	109
8.2.13 EE2	110
8.2.14 Adding a CCP to Request	111
8.3 Novation Consent GUI	113
8.3.1 Orange and Yellow Requests	113
8.3.2 Red Requests	114
8.3.3 Overdue and Cancelled Requests	114
8.3.4 Column Configuration and Workspaces	115

8.3.5 Actions cog	118
8.3.6 Workflow View	120
8.3.7 Novation History	121
8.3.8 Spreadsheet Upload	121
8.3.9 Configuration	121
9.0 SFTP	123
10.0 FAQ	Error! Bookmark not defined.

1.0 Introduction

1. TradeServ is the product of our strategic technology vision to consolidate our post trade services onto one modern cloud enabled platform that will improve service delivery and the customer experience. This platform will replace DSMatch for credit confirmation and uses cloud infrastructure to improve service delivery.
2. The cloud and modern system architecture aim to deliver higher levels of flexibility, customization and utility. Improvements customers can expect include:
 - Easier access to your data to enable better trade and risk analytics.
 - More flexible choices for integrating your trade and risk systems to MarkitSERV.
 - Faster service updates in response to changing regulation and industry needs.
 - Seamless connectivity to the new Trade Information Warehouse developed by DTCC.
3. With the decommissioning of DSMatch, the DSMatch platform is going to be decoupled into TradeServ and TIW with TradeServ being the new trade confirmation platform and TIW remaining as the platform that performs payment, settlement, event processing and adherence services



4. This document will cover the functionality and guide for the TradeServ platform.

2.0 Getting Started

This section covers information regarding the user login functionality and the GUI feature of TradeServ.

2.1 Logging into TradeServ

The Production environment is used to submit, update and view real-world transactions. The UAT environment is used to test implementations of computer-to-computer connections; new releases of the software and spreadsheet uploads.

The URLs for TradeServ are below.

<https://connect.markitserv.com/> - Production.

<https://uat-tradeserv.connect.markitserv.com> - UAT.

We have transitioned away from our existing authorization process to Secure Access Management (SAM). SAM is a Shared Service providing unified authentication to multiple IHS Markit Applications. SAM will be the new User Authenticator on TradeServ

To support the transition over to SAM, please make sure you can open the SAM URL via your preferred browser.

If you are unable to open the SAM URL, you will need to whitelist the address listed below.

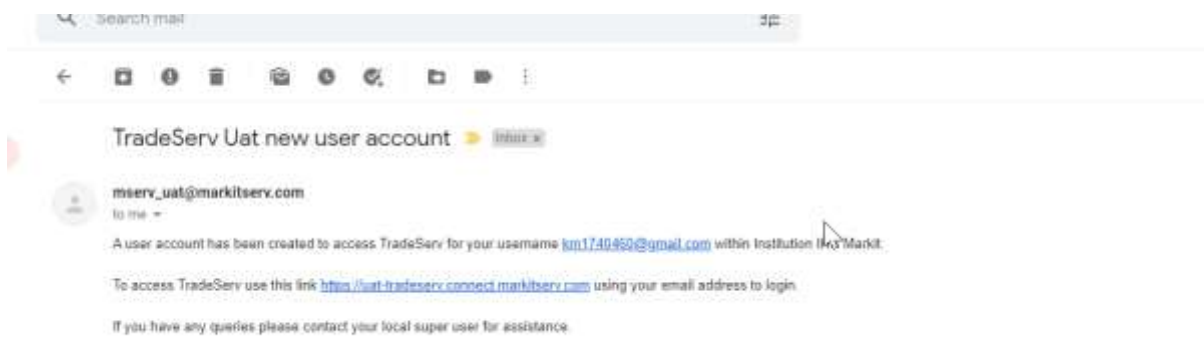
This will ensure access to TradeServ is not interrupted:

<https://login.ihsmarkit.com>

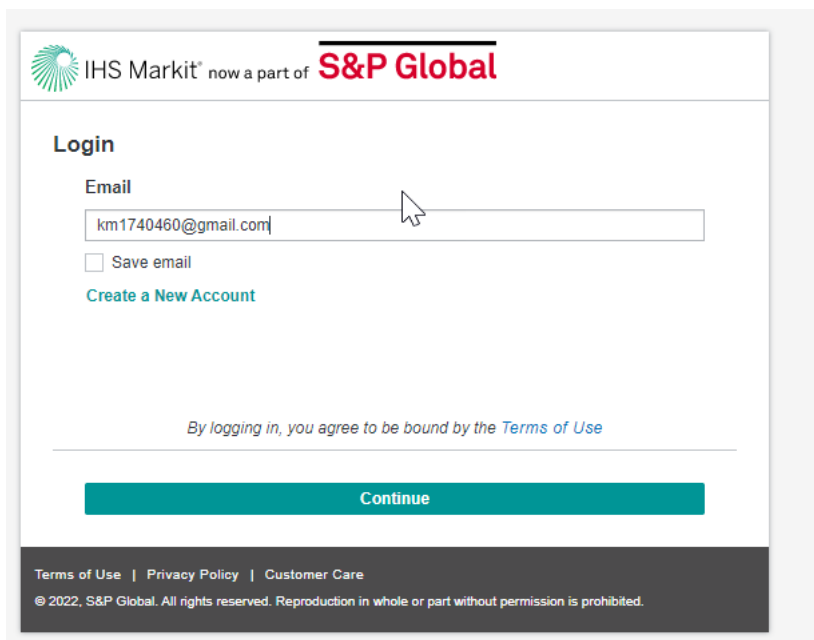
2.2 Login Process for New Users

When a new account is created, the following process is followed:

- A user will get an email stating that fact with the user's email address and a link to the environment.



- The user will click on that environment URL, the user will be asked to type in their email address, hit Continue and get a prompt to send an activation code.



IHS Markit[®] now a part of **S&P Global**

Login

Email

☐ Save email

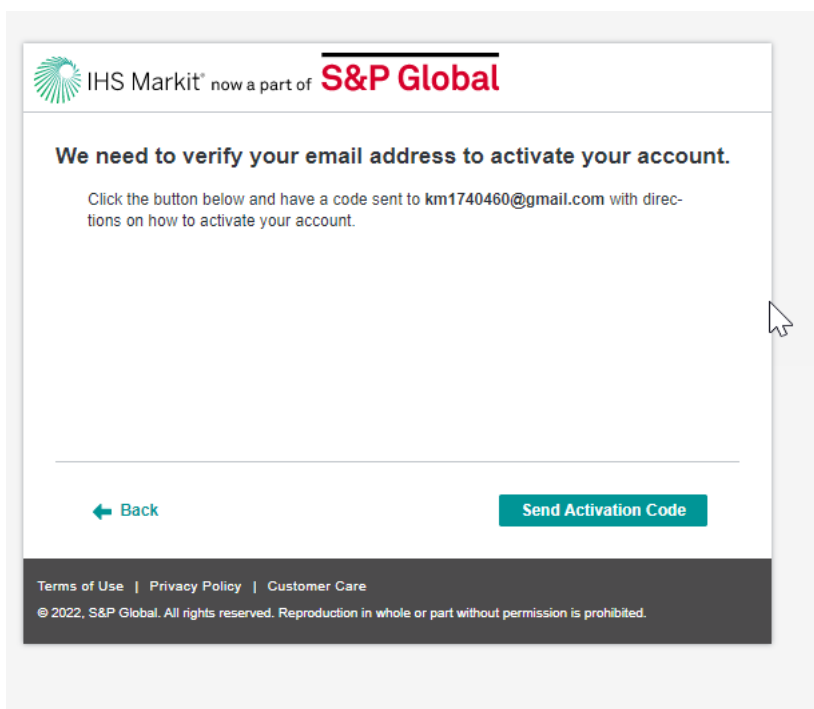
[Create a New Account](#)

[By logging in, you agree to be bound by the Terms of Use](#)

[Continue](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)

© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.



IHS Markit[®] now a part of **S&P Global**

We need to verify your email address to activate your account.

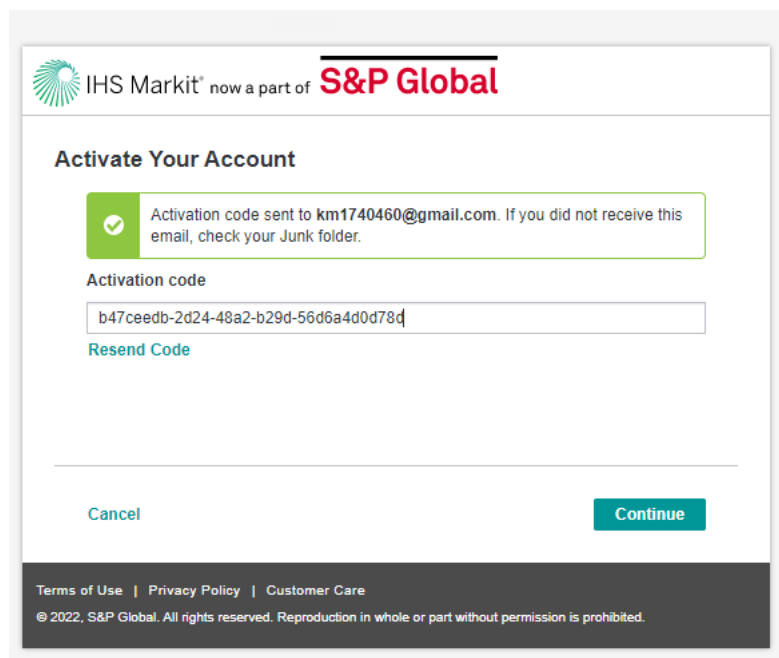
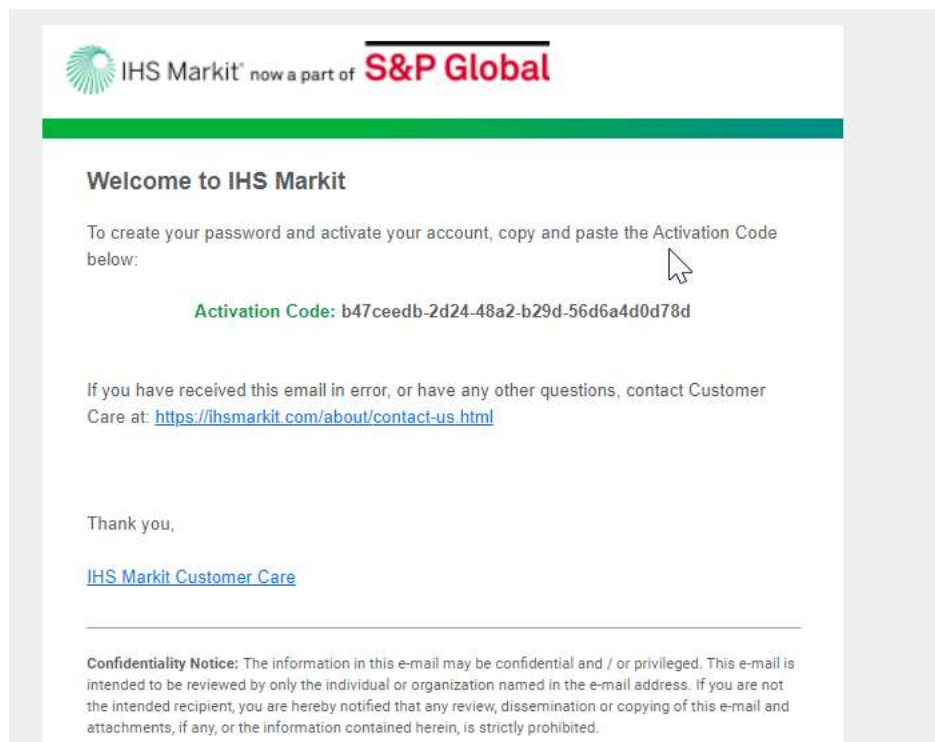
Click the button below and have a code sent to km1740460@gmail.com with directions on how to activate your account.

[← Back](#) [Send Activation Code](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)

© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

- Once the activation code is sent to the email in question, the user will copy and paste that activation code in the dialogue box and hit Continue



- The user will then be asked to create a password based on the criteria to the right and confirm it

The screenshot shows the 'Create Your Password' page. At the top, the IHS Markit logo is followed by the text 'now a part of S&P Global'. Below this, the page title is 'Create Your Password'. A message says 'Log in as: km1740460@gmail.com'. There are two password input fields: 'Create a password *' and 'Re-enter password *'. To the right of these fields, a list of password requirements is shown with green checkmarks: 'Minimum 8 characters', 'No spaces', '1 lowercase letter', '1 uppercase letter', '1 number', '1 special character', and 'No more than 2 repeating characters'. At the bottom left is a 'Cancel' link, and at the bottom right is a 'Create Password' button. The footer contains links for 'Terms of Use', 'Privacy Policy', and 'Customer Care', along with a copyright notice: '© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.'

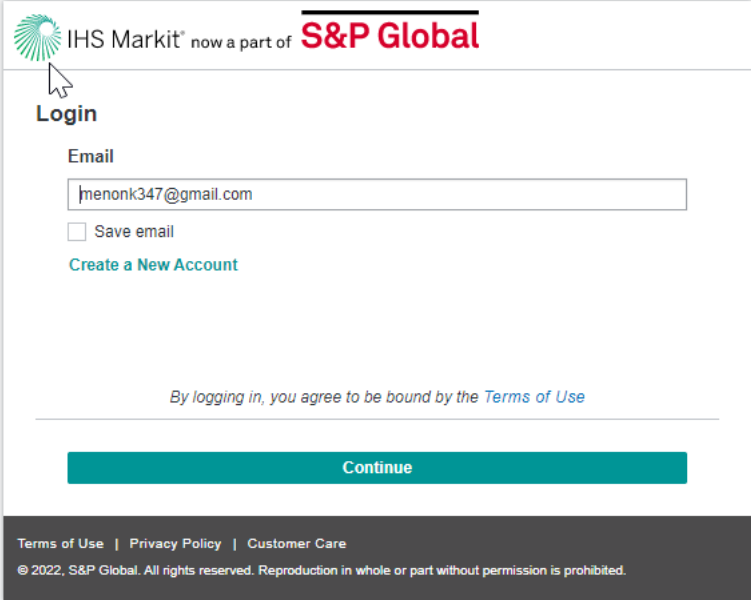
- The user will then login using that password

The screenshot shows the 'Enter Password' page. At the top, the IHS Markit logo is followed by the text 'now a part of S&P Global'. Below this, the page title is 'Enter Password'. A message says 'Log in as: km1740460@gmail.com'. There is a single password input field labeled 'Password'. Below the field, there is a checkbox labeled 'Keep me logged in' and a link labeled 'Forgot Password?'. At the bottom left is a 'Create a New Account' link. At the bottom left is a 'Back' button with a left arrow, and at the bottom right is a 'Continue' button. The footer contains links for 'Terms of Use', 'Privacy Policy', and 'Customer Care', along with a copyright notice: '© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.'

2.3 Login Process for Existing Users

For an existing user, in order to reset their password, they need to do the following:

- Enter your email address



IHS Markit® now a part of **S&P Global**

Login

Email

menonk347@gmail.com

☐ Save email

[Create a New Account](#)

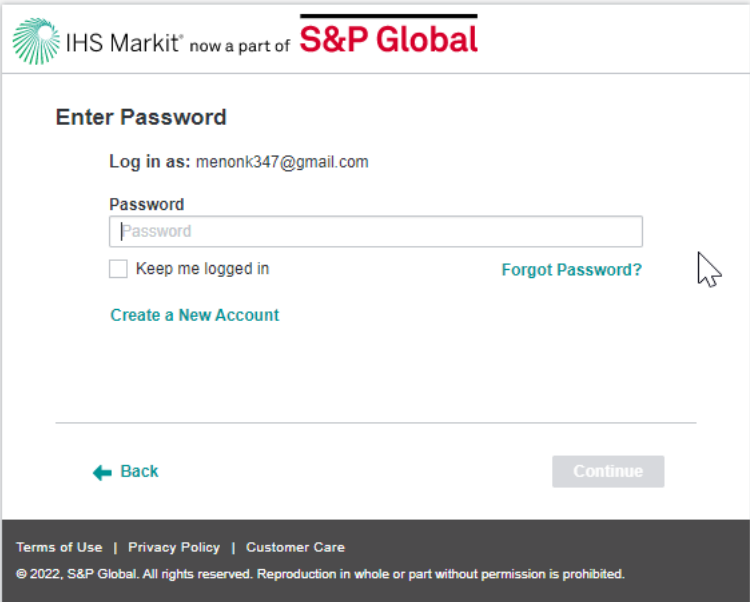
By logging in, you agree to be bound by the [Terms of Use](#)

[Continue](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)

© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

- The user will then go to the next page and hit Forgot Password, and get a prompt to send an activation code



IHS Markit® now a part of **S&P Global**

Enter Password

Log in as: menonk347@gmail.com

Password

Password

☐ Keep me logged in [Forgot Password?](#)

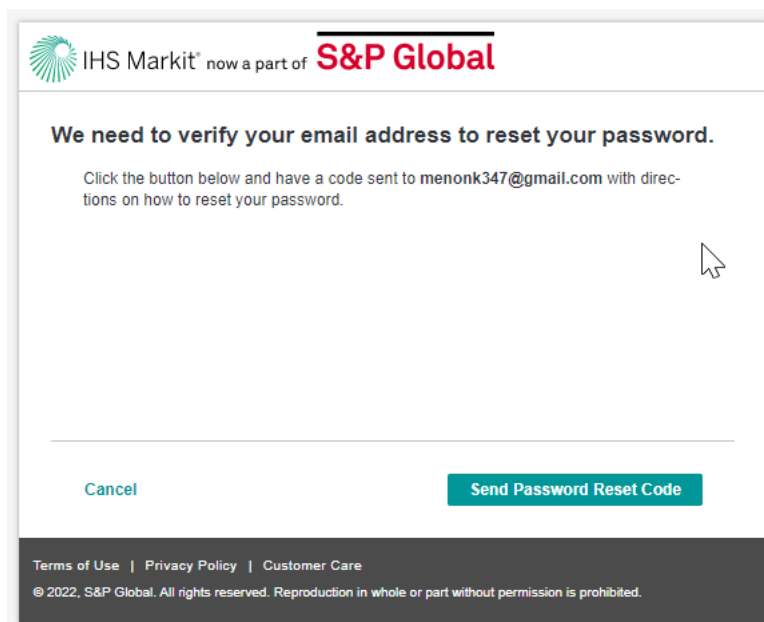
[Create a New Account](#)

[Back](#) [Continue](#)

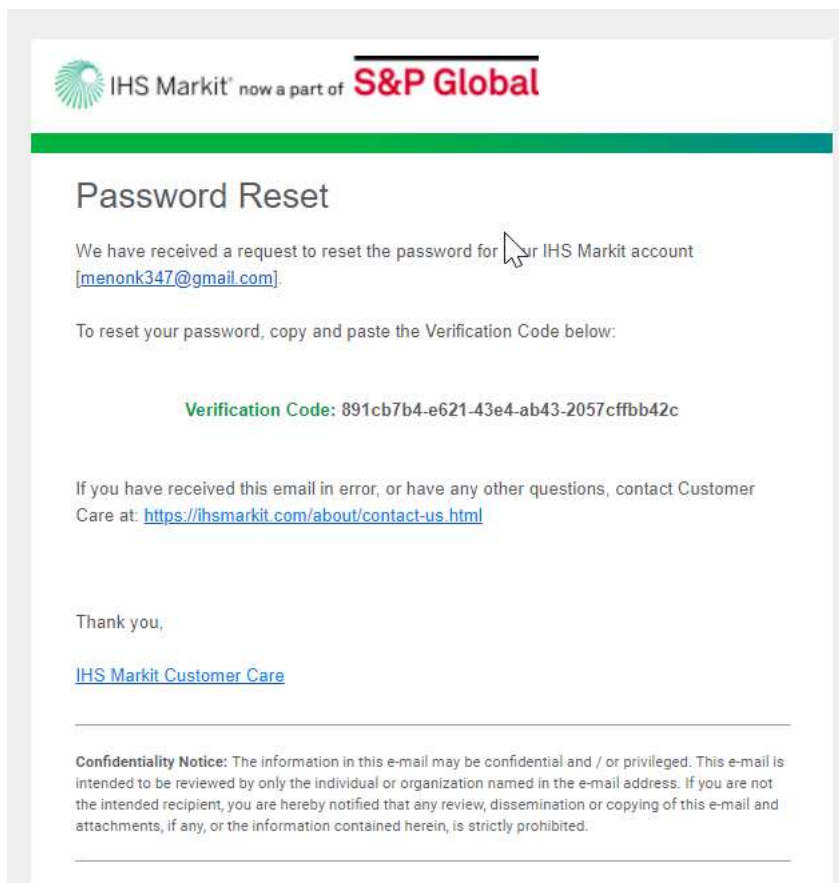
[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)

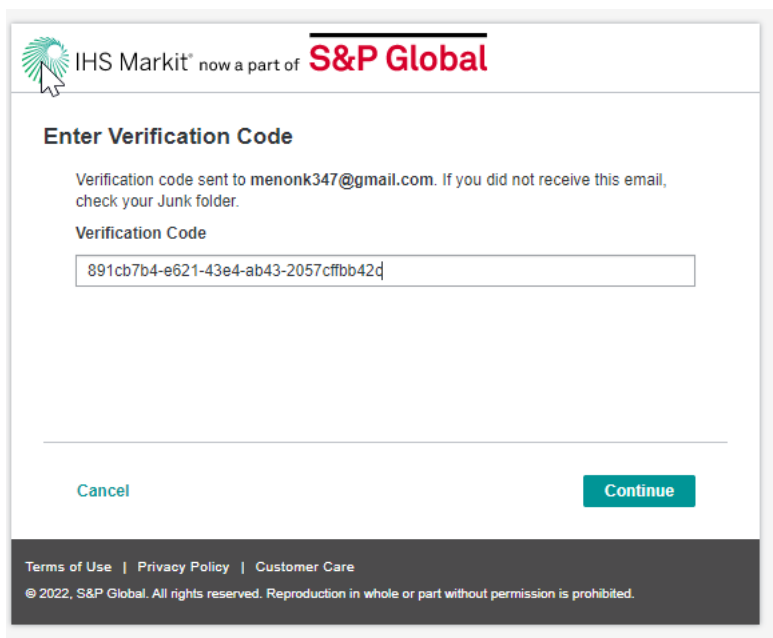
© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

- User will get a prompt to send a password reset code to their email address



- Once the activation code is sent to the email in question, the user will copy and paste that activation code in the dialogue box and hit Continue





IHS Markit[®] now a part of **S&P Global**

Enter Verification Code

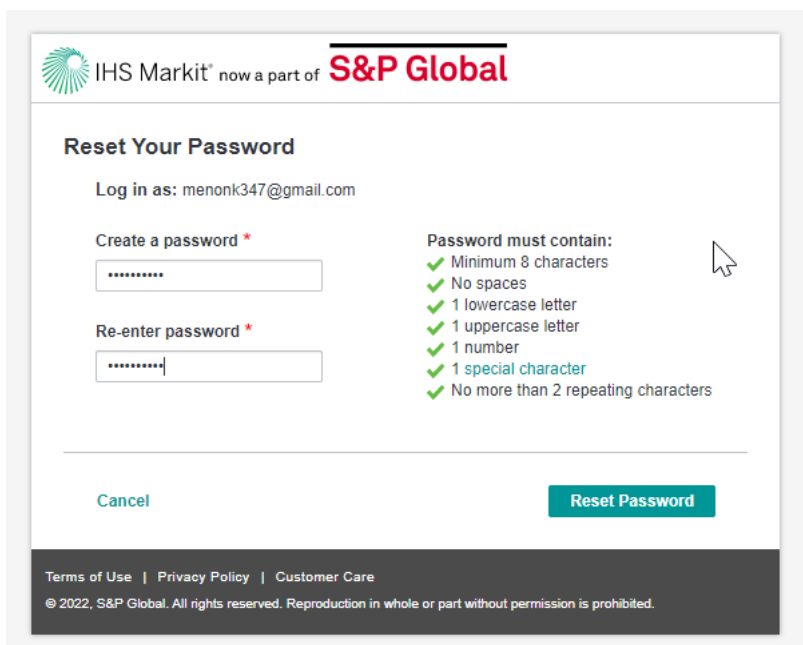
Verification code sent to menonk347@gmail.com. If you did not receive this email, check your Junk folder.

Verification Code

[Cancel](#) [Continue](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)
© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

he user will then be asked to create a password based on the criteria to the right and confirm it



IHS Markit[®] now a part of **S&P Global**

Reset Your Password

Log in as: menonk347@gmail.com

Create a password *

Re-enter password *

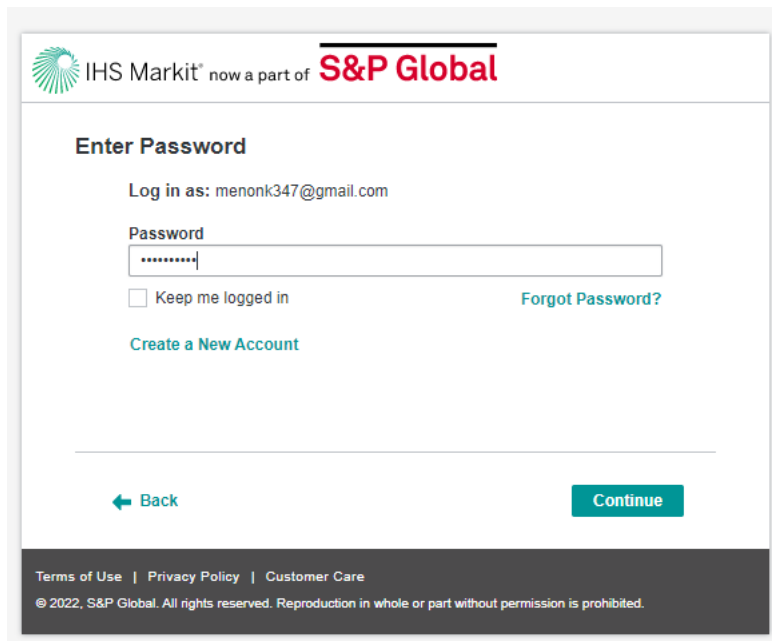
Password must contain:

- ✓ Minimum 8 characters
- ✓ No spaces
- ✓ 1 lowercase letter
- ✓ 1 uppercase letter
- ✓ 1 number
- ✓ 1 special character
- ✓ No more than 2 repeating characters

[Cancel](#) [Reset Password](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)
© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

- The user will then login using that password



IHS Markit[®] now a part of **S&P Global**

Enter Password

Log in as: menonk347@gmail.com

Password

☐ Keep me logged in [Forgot Password?](#)

[Create a New Account](#)

[← Back](#) [Continue](#)

[Terms of Use](#) | [Privacy Policy](#) | [Customer Care](#)

© 2022, S&P Global. All rights reserved. Reproduction in whole or part without permission is prohibited.

2.4 Login Issue Resolution

Federated Clients

- If your firm is already registered for Single Sign On (federated access) with SAM, TradeServ will re-direct you to your own company's log in page
- Users who use a Single Sign on process in their organizations should always ensure that the email they request a user to be setup with at TradeServ is the same domain as their corporate login (e.g., if a user has a @megabank.com and a @mega.com email, if they use @megabank.com to login to their computer, that is what their email at TradeServ should be setup with)
- If you have never used SAM before you will need to be added to the correct Active Directory Group at your firm to enable SAM Single Sign On.

Non-Federated Clients

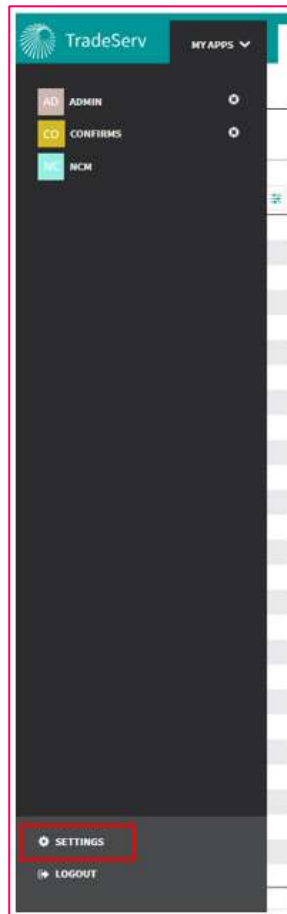
- To ensure successful receipt, please add the email address IHSMarkit@ihsmarkit.com to your safe senders list

Other Considerations

- IP whitelisting may be required for SAM emails, the static IPs are as follows: 54.240.86.166 and 54.240.86.167
- Contact your IT Department and let them know that the new SAM system uses Amazon AWS SES to send emails, with a DKIM Certificate to authenticate us as IHS Markit. The emails will originate from an email address with the domain: amazonses.com.
- IP Whitelist may be required for the new ranges the emails may originate from. They are, as follows:
- ip4:199.255.192.0/22 ip4:199.127.232.0/22 ip4:54.240.0.0/18 ip4:69.169.224.0/20 ip4:76.223.180.0/23 ip4:76.223.188.0/24 ip4:76.223.189.0/24 ip4:76.223.190.0/24 -all


2.5 User Settings

Users can adjust their settings by selecting the “SETTINGS” button from MY APPS on the left-hand side of the screen.



The user will be able to configure the settings for the below in RED for their Locale, Timezone, the ability to show Notifications and where on the GUI it would be shown.

The user will be able to see a dashboard when they point the cursor to the left-hand side of the screen. This dashboard will give an overview of the total number of trades for each status.

The user can also pin the dashboard on the workspace by clicking  and the dashboard will remain open throughout the user session.

[illegible]

The user can also filter the trades according to the status by clicking the desired status on the dashboard.

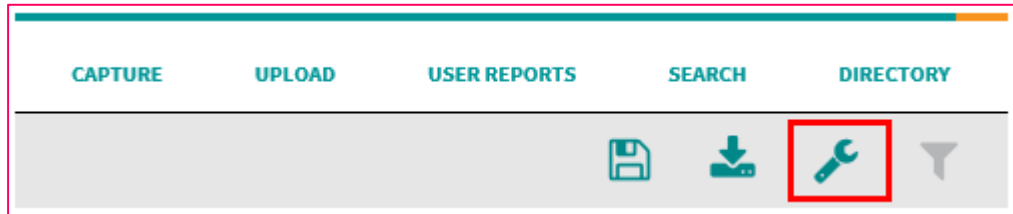
For example, if the user wishes to see only the “Alleged” trades, the user should click on “ALLEGED” on the dashboard.

TradeServ										1000000000	1000000000	1000000000
1220 TRADES										1000000000	1000000000	1000000000
#	ACCOUNT NUMBER	DEBIT AMOUNT	DATE	PRODUCT TYPE	TRADE REFERENCE NUMBER	ACCOUNT/TRADE REFERENCE NUMBER	SPY VOL	EXCHANGE ID	COUNTERPARTY ID	TRANSACTION		
1	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
2	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
3	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
4	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
5	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
6	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
7	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
8	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
9	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
10	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
11	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
12	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
13	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
14	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
15	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
16	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
17	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
18	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
19	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
20	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
21	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
22	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
23	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
24	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
25	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
26	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
27	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
28	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
29	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
30	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
31	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
32	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
33	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
34	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
35	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
36	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
37	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
38	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
39	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
40	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
41	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
42	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
43	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
44	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
45	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
46	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
47	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
48	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
49	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
50	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
51	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
52	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
53	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
54	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
55	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
56	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
57	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
58	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
59	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
60	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
61	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
62	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
63	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
64	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
65	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
66	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
67	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
68	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
69	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
70	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
71	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
72	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
73	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
74	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
75	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
76	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
77	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
78	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
79	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
80	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
81	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
82	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
83	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
84	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
85	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
86	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
87	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
88	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
89	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
90	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
91	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
92	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
93	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
94	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
95	000000000	0.000000	01-01-00	CDN Index (CDN)		000000000000000000		00000000	00000000	Trade		
96	000000000	0.000000	01-01-00									

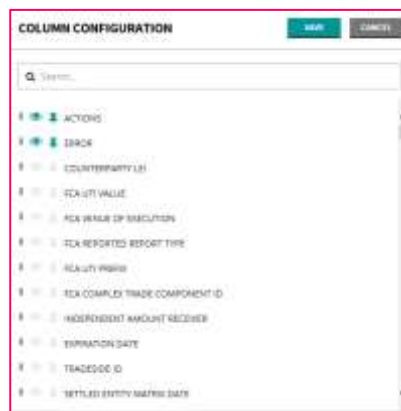
2.6.2 Adding/Removing Column Header

The workspace page will provide users with a defaulted view with default column headers. If users wish to see alternative column headers, they can add/remove specific columns into the blotter. This is achieved by following the below steps:

1. Click on the wrench or spanner icon on the upper right-hand side of the screen.





2. The "Column Configuration" window will pop up as per below.

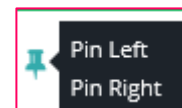



3. The user will type in the name of the column in the search box and it will show all fields that match the typed name.

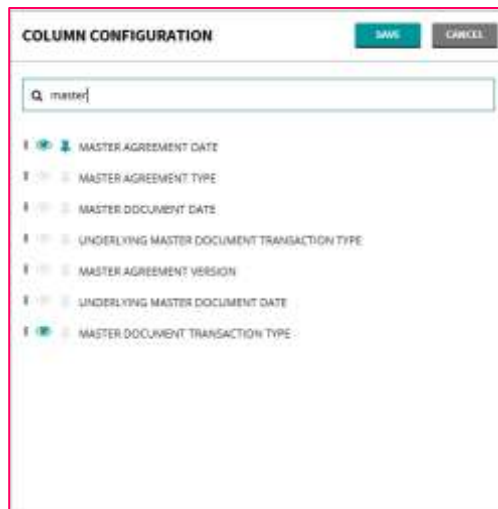
4. There are two icons located next to each column header name.

-Eye icon  → Click this to show the field in the blotter.

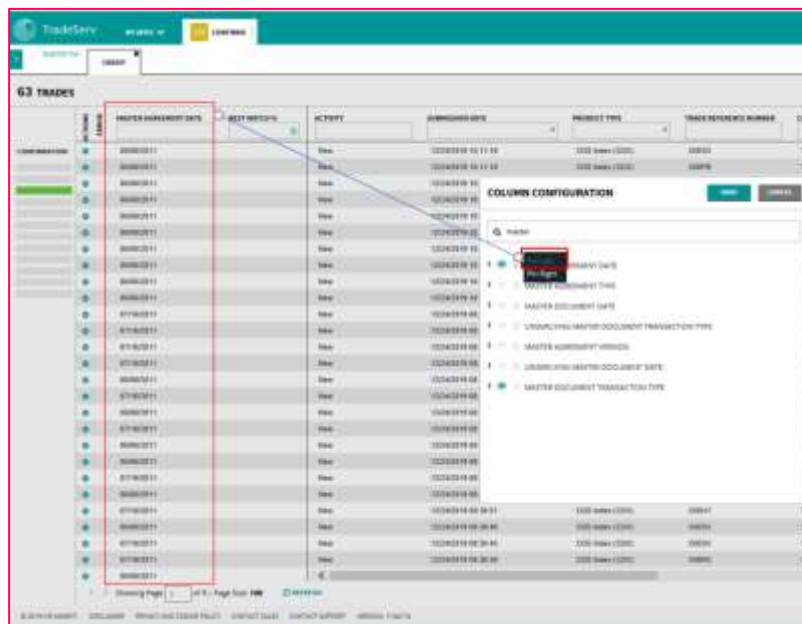
-Pin icon  → Click this to pin the field to the left or right.



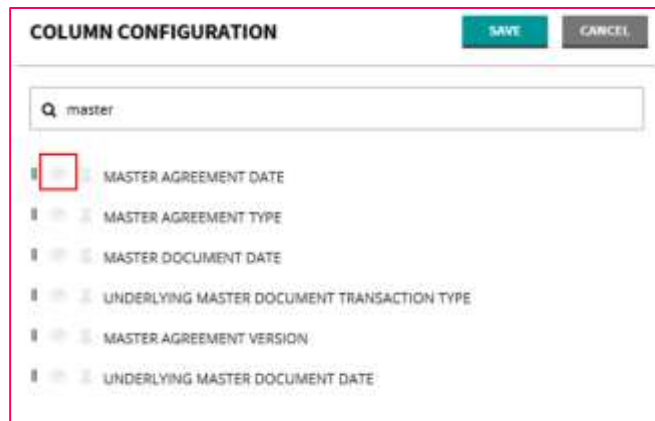
5. Once the  is selected and the user has clicked save, the field will appear in the blotter.



If the “Pin Left” is selected, the column position will be fixed. If users wish to move the column they will need to ‘unpin’ it.



- If the user does not wish to see a column header in the blotter, this can be done by unselecting the eye icon as per below and click save.



2.6.3 Column Positioning

The column positions can be moved if needed. The user will need to select and hold the column headers and drag it to the desired position.

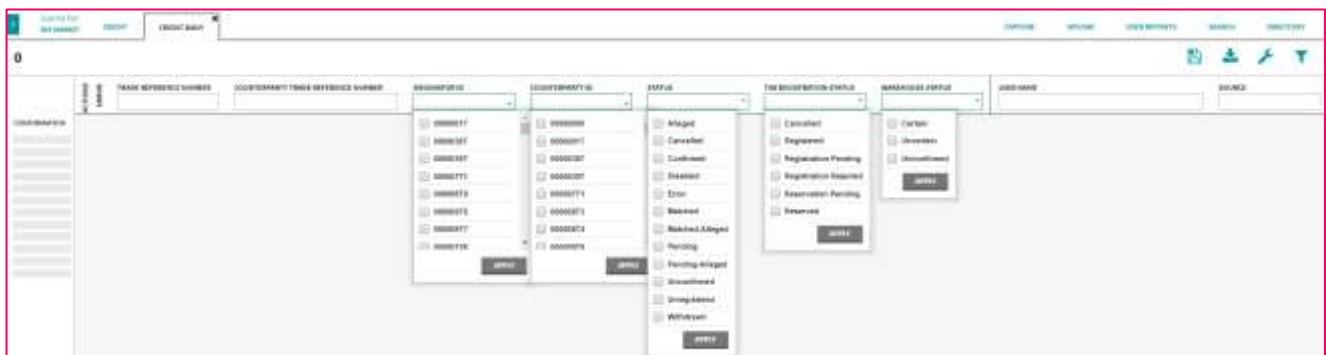


2.6.4 Column Filtering

Users will be able to apply filters to trade searches within their workspaces.

Majority of the fields can be filtered by the desired value. There are 3 types of filters available depending on the individual columns.

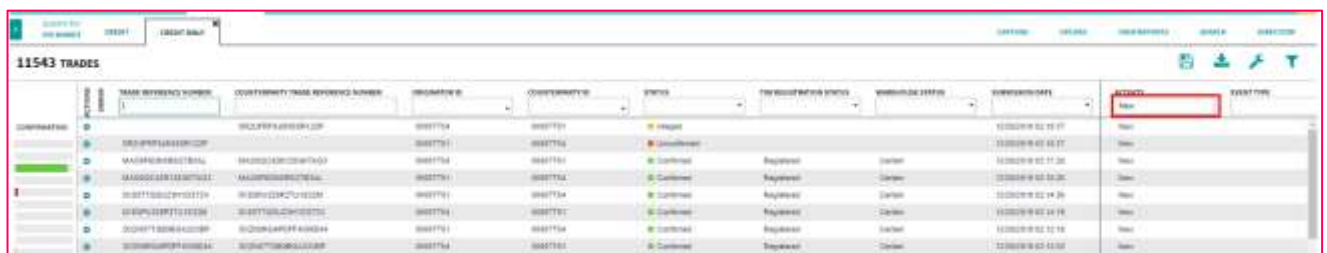
1. Drop Down Filter – Once the user ticks the box for the required filter, the user will click “APPLY” to apply the filter.




2. Submission Date Filter – The date can be selected in a pre-defined range or a custom range.

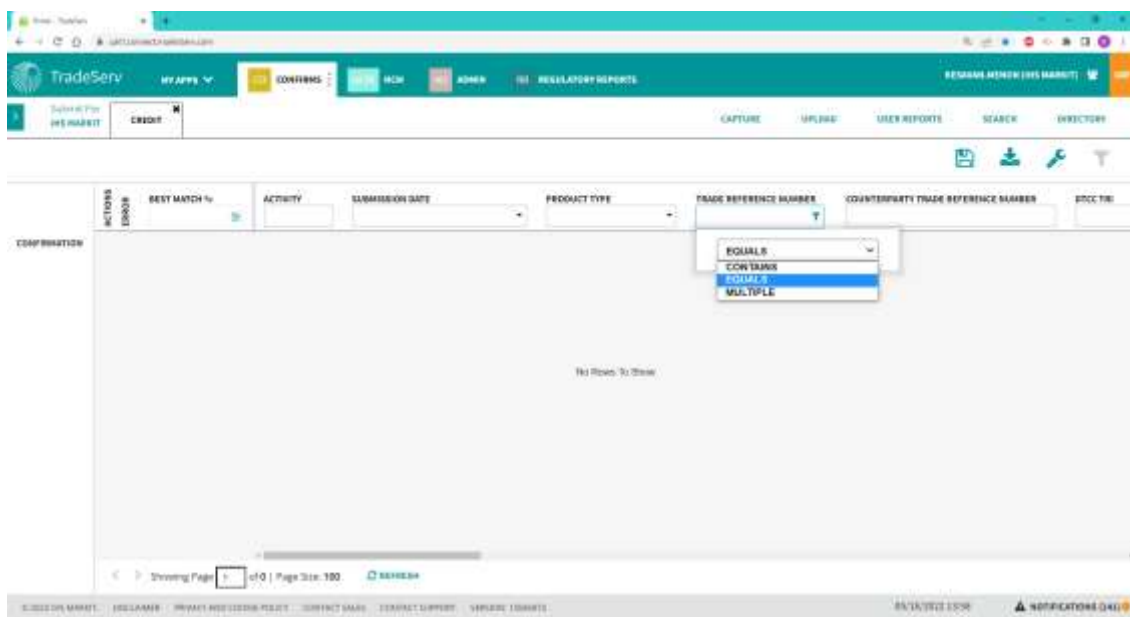


3. Free Form Text Filter – Type in the value in the search box and the text value will be filtered.




4. Contains, Equals or Multiple Trade Search – In the Trade Reference Number column a

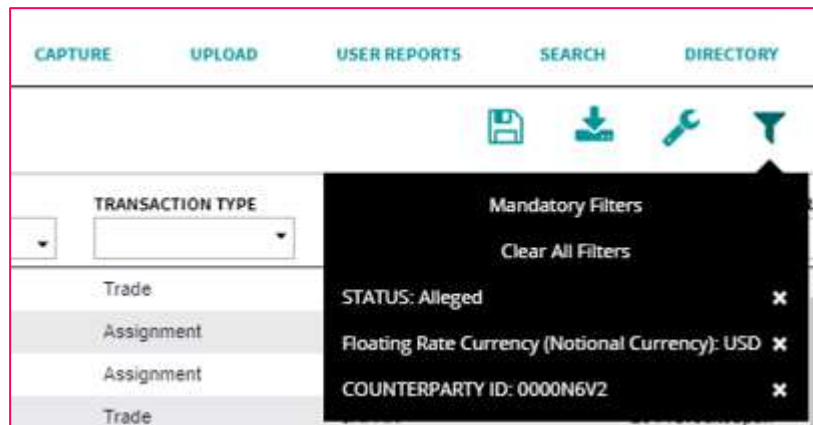
user can click on the funnel icon  and can decide if they want to select a trade reference number that contains a certain value, is equal to a value or multiple trade IDs



2.6.5 Clearing Filters

Once the user has applied the filters, all the filter criteria will show in the funnel icon  on the top right-hand side of the screen.



The user can remove individual filters by clicking the cross icon . If the user wants to remove all the filters from the workspace, the user can click “Clear All Filters”.

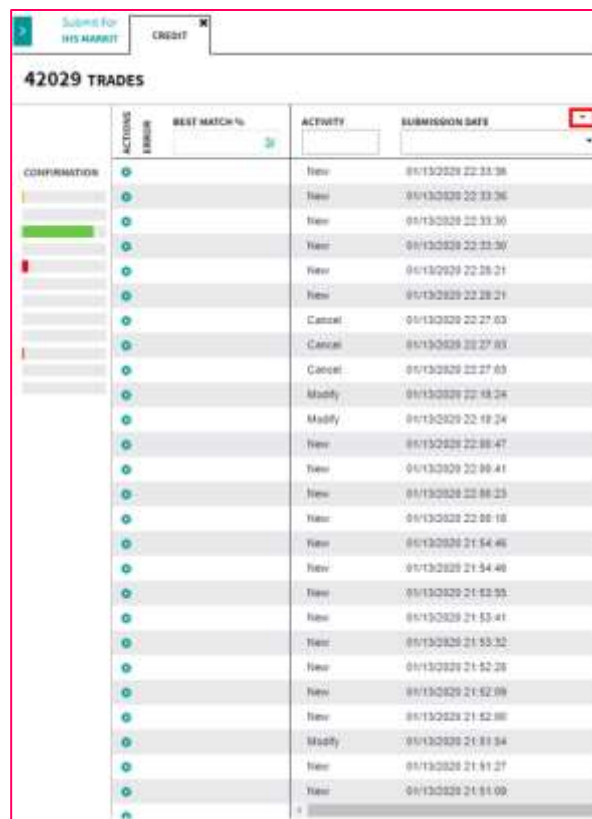


2.6.6 Column Sorting

User are also able to perform sorting on individual columns by clicking on the column header.

E.g.:

If the user wishes to sort by the submission date, the user can click on the column header. The column will show the direction of the sorting with the indication of downward icon  or upward icon .



ACTIONS	BEST MATCH %	ACTIVITY	SUBMISSION DATE
CONFIRMATION		New	01/13/2020 22:33:38
		New	01/13/2020 22:33:36
		New	01/13/2020 22:33:30
		New	01/13/2020 22:33:30
		New	01/13/2020 22:28:21
		New	01/13/2020 22:28:21
		Cancel	01/13/2020 22:27:03
		Cancel	01/13/2020 22:27:03
		Cancel	01/13/2020 22:27:03
		Modify	01/13/2020 22:18:24
		Modify	01/13/2020 22:18:24
		New	01/13/2020 22:00:47
		New	01/13/2020 22:00:41
		New	01/13/2020 22:00:23
		New	01/13/2020 22:00:18
		New	01/13/2020 21:54:46
		New	01/13/2020 21:54:46
		New	01/13/2020 21:52:55
		New	01/13/2020 21:53:41
		New	01/13/2020 21:53:32
		New	01/13/2020 21:52:28
		New	01/13/2020 21:52:09
		New	01/13/2020 21:52:00
		Modify	01/13/2020 21:51:34
		New	01/13/2020 21:51:27
		New	01/13/2020 21:51:00

2.6.7 Save/Modify/Delete Workspace

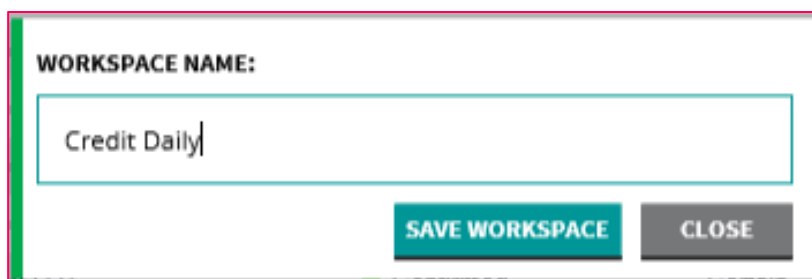
Once users have customized their workspaces by adding/removing/positioning/filtering the columns that they wish to see daily, the customized view workspace can be saved. The user can reopen the same view by selecting the saved workspace from the 'Favorites' section. Note there can only be up to 10 workspace tabs opened at once.

Step:

1. Click on the floppy disk icon on the upper right-hand side of the screen.




2. Enter a recognizable workspace name and click on "SAVE WORKSPACE".



WORKSPACE NAME:

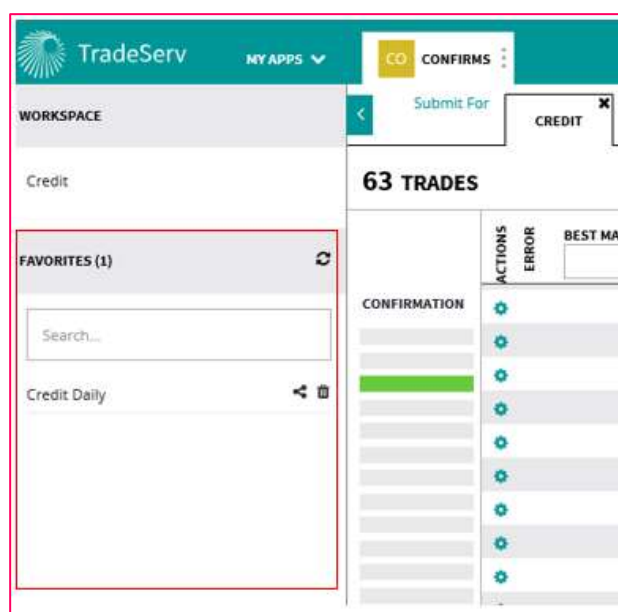
Credit Daily


SAVE WORKSPACE **CLOSE**

3. The saved workspaces are accessible within the 'FAVORITES' section. Click on , on the upper left-hand side of the screen.

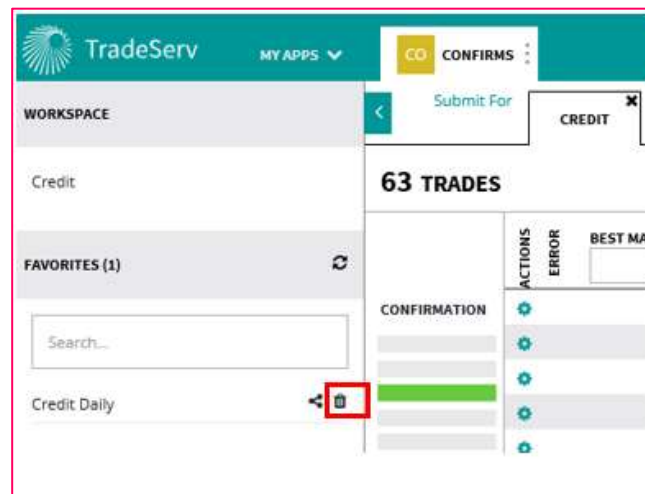


The saved workspaces will be shown as below.

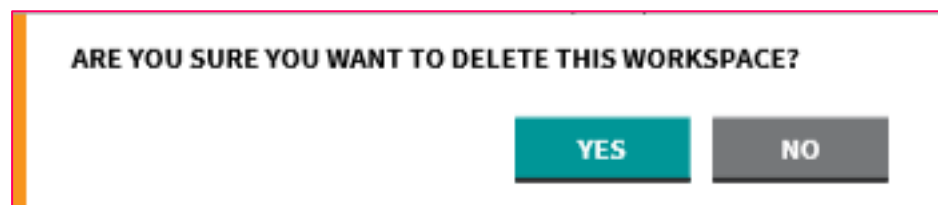


4. If the user wishes to modify existing workspaces, the user should open the workspace in question, modify to the desired view and click on the floppy disk icon  to save the workspace.
5. If the user wishes to delete a workspace, the user needs to click on the bin icon as per below.

1.




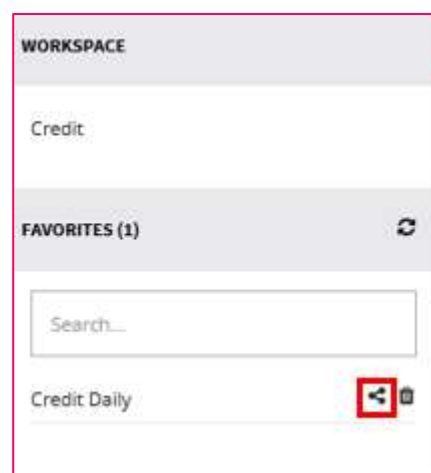
6. The user will be prompted with a confirmation window upon deletion of the workspace. If the user selects “YES”, the workspace will be deleted from their ‘Favorites’.



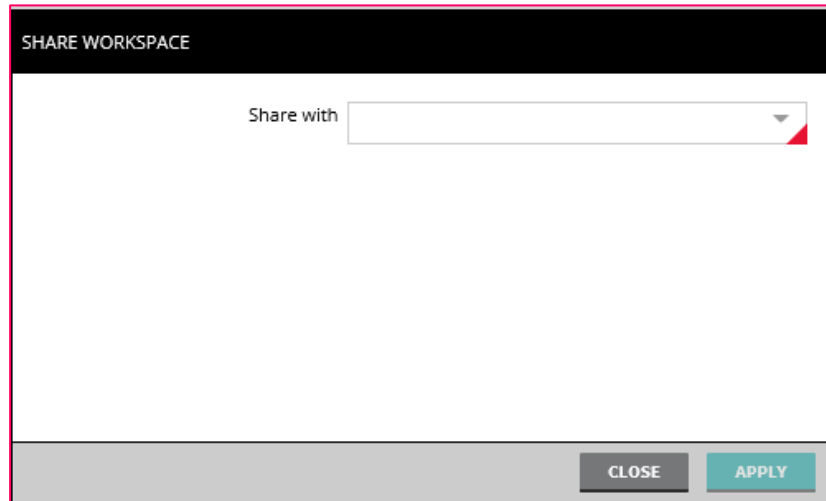
2.6.8 Sharing Workspace

If a user has a saved workspace and wishes to share it with a colleague who is in the same functional group, the user can do so via the below steps.

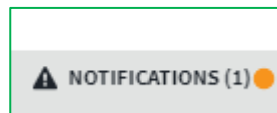
1. Select the workspace they wish to be shared and click on the share icon  .



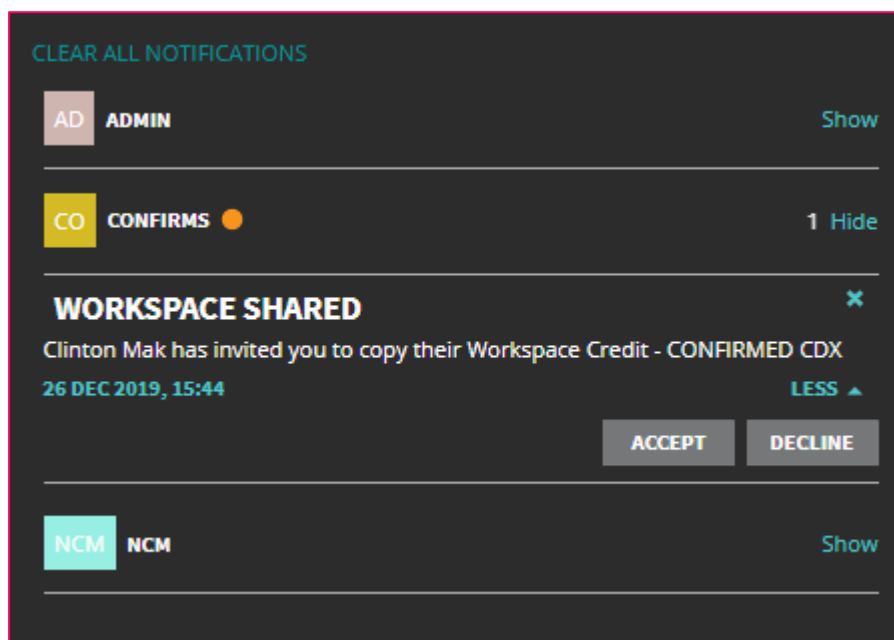
2. A 'Share Workspace' window will appear. Once the user clicks on the drop down, the user will be able to see all the users within the same functional group. Once the user is selected, the user can click on "Apply".



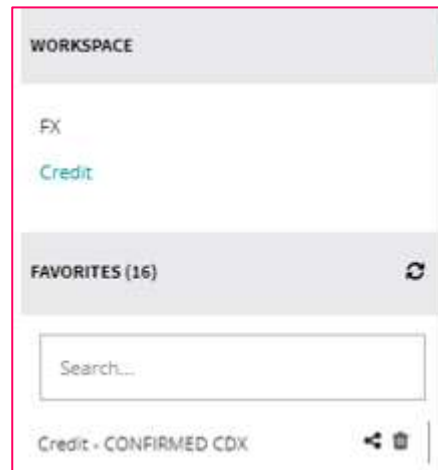
3. The user who has been sent the shared workspace will receive a notification on the bottom right hand side of the screen. The user needs to click on the Notification.



4. The user will then see a request to make a copy of the shared workspace.



- Once the user clicks on "ACCEPT", the user will be able to see the workspace in their 'Favorites' section as per below.



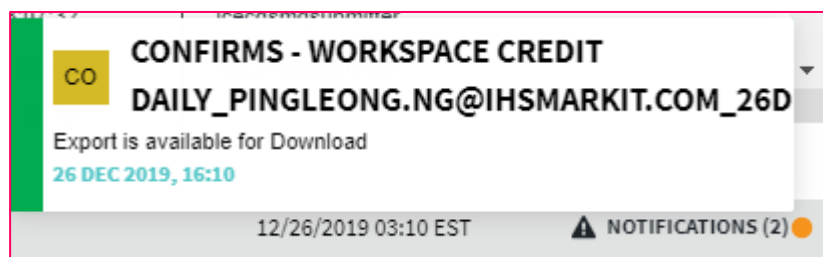
2.7 Export Current Page/All Data



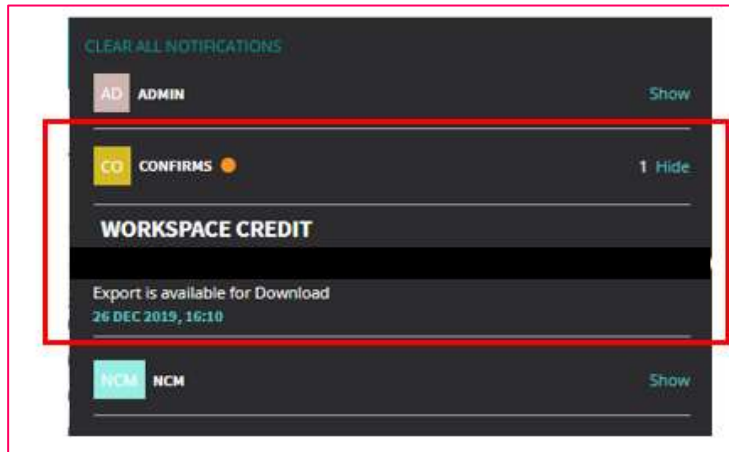
All the trades in the workspace can be exported as a .csv file by clicking on the icon in the upper right-hand side of the screen. The user has the option to 'Export Current Page' (the first 100 trades) as shown in the workspace or 'Export All Data' (all pages).



Once the download within TradeServ is complete, a window will pop up (as per below) indicating that the report is available for download.





The user will then click on “NOTIFICATIONS” and the report will appear under the “CONFIRMS” App.



The download window will appear once the user clicks on the report.

2.8 Page Maneuvering

TradeServ will show a maximum of 100 trades per page and will show a maximum of 10,000 trades at one time (i.e., 100 pages). The user can move on to the previous or next page by clicking  or  respectively.

The user can also maneuverer to a desired page by entering the page number in the page box.

If a user wishes to get all their data, they can Export all Data or download their General Search Download (GSD) Report. Please refer to the User Report section for more information on how to accomplish those tasks

42029 TRADES			
	ACTIONS	BEST MATCHING	PRODUCT TYPE
	SEARCH	2	
CONFIRMATIONS			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
			CDG Single Name (CDG)
			CDG Single Name (CDG)
			CDG Index (CDG)
			CDG Index (CDG)
Showing Page 1 of 421 Page Size 100			

3.0 Standard Search and View Trade

TradeServ allows you to enquire into new/post-trade events and view trade details. This section covers the standard TradeServ searches including 'View Trade', 'View Message', 'View History' and 'Print Details' functions.

3.1 Searching Trade Blotter

Users can search for a trade directly from the blotter. The most commonly searched attribute is the Trade Reference Number. As referenced in section 2.6.4 Column Filtering, a user must select their criteria for determining how they will search for the Trade Reference Number

[illegible]

If a user wishes to use the Contains Criteria, then they can put in a wildcard value that will bring up any trade with that value (such as “May”)

TradeServ

Sumud For MS MARKET

WP APPS

CONFIRMATIONS

ECM

ADMIN

REGULATORY REPORTS

KESAMA MENYERIKSI MARKET

WP APPS

CAPTURE

UPLOAD

USER REPORTS

SEARCH

DIRECTORY

142 TRADES

CONFIRMATION

If a user wishes to use the Equals criteria, then the trade ID must match exactly with the trade ID in TradeServ

The screenshot shows the TradeServ interface with a search bar at the top. Below the search bar, there is a table with columns: ACTIONS, BEST MATCH %, ACTIVITY, SUBMISSION DATE, PRODUCT TYPE, TRADE REFERENCE NUMBER, and COUNTERPARTY TRADE REFERENCE NUMBER. The table contains one row with the following data: ACTIONS: Modify, BEST MATCH %: 100%, ACTIVITY: CDS Single Name (CDS), SUBMISSION DATE: 10/10/2022 13:54:34, PRODUCT TYPE: CDS Single Name (CDS), TRADE REFERENCE NUMBER: 18MAY22UAT1, and COUNTERPARTY TRADE REFERENCE NUMBER: 18MAY22_UAT1CP.

If a user wishes to search multiple trade IDs, they can select multiple and put in up to 20 trade IDs at one time and click Search. Those trade IDs will come up


The screenshot shows a search form with a dropdown menu labeled "MULTIPLE". Below the dropdown, there are six input fields numbered 1 through 6. The first field contains "18MAY22UAT1" and the second field contains "17MAY22UAT1". Below the input fields, there is a "SEARCH" button.

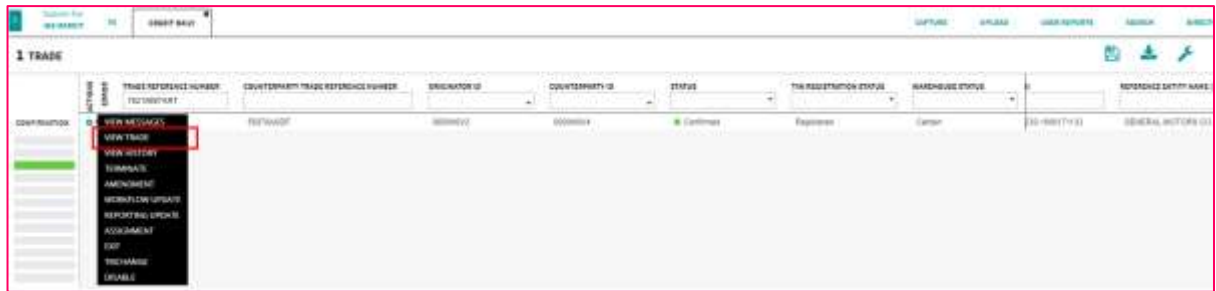
The screenshot shows the TradeServ interface with a search bar at the top. Below the search bar, there is a table with columns: ACTIONS, BEST MATCH %, ACTIVITY, SUBMISSION DATE, PRODUCT TYPE, TRADE REFERENCE NUMBER, and COUNTERPARTY TRADE REFERENCE NUMBER. The table contains two rows with the following data: Row 1: ACTIONS: Modify, BEST MATCH %: 100%, ACTIVITY: CDS Single Name (CDS), SUBMISSION DATE: 10/10/2022 13:54:34, PRODUCT TYPE: CDS Single Name (CDS), TRADE REFERENCE NUMBER: 18MAY22UAT1, and COUNTERPARTY TRADE REFERENCE NUMBER: 18MAY22_UAT1CP. Row 2: ACTIONS: Modify, BEST MATCH %: 100%, ACTIVITY: CDS Single Name (CDS), SUBMISSION DATE: 10/10/2022 07:43:55, PRODUCT TYPE: CDS Single Name (CDS), TRADE REFERENCE NUMBER: 17MAY22UAT1, and COUNTERPARTY TRADE REFERENCE NUMBER: 17MAY22_UAT1CP.

Users can also search for a trade using other attributes such as DTCC TRI, Counterparty Trade Reference Number, Match ID, etc.

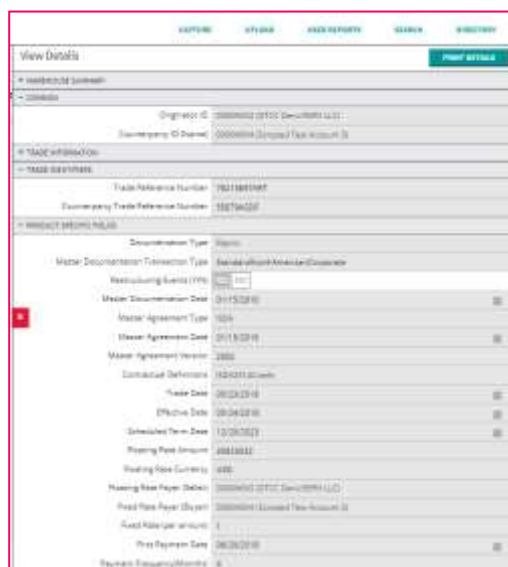
You can also search for a set of trades by using the filter function. For example, filter by Status, Counterparty ID, Submission Date, etc - the search result will show all the trades that fulfil the filtered criteria. This is covered in section 2.6.4 Column Filtering.

3.2 View Trade

To view the trade, click on the cog icon  and select "VIEW TRADE". You can also double click on a row in the workspace to view the trade.

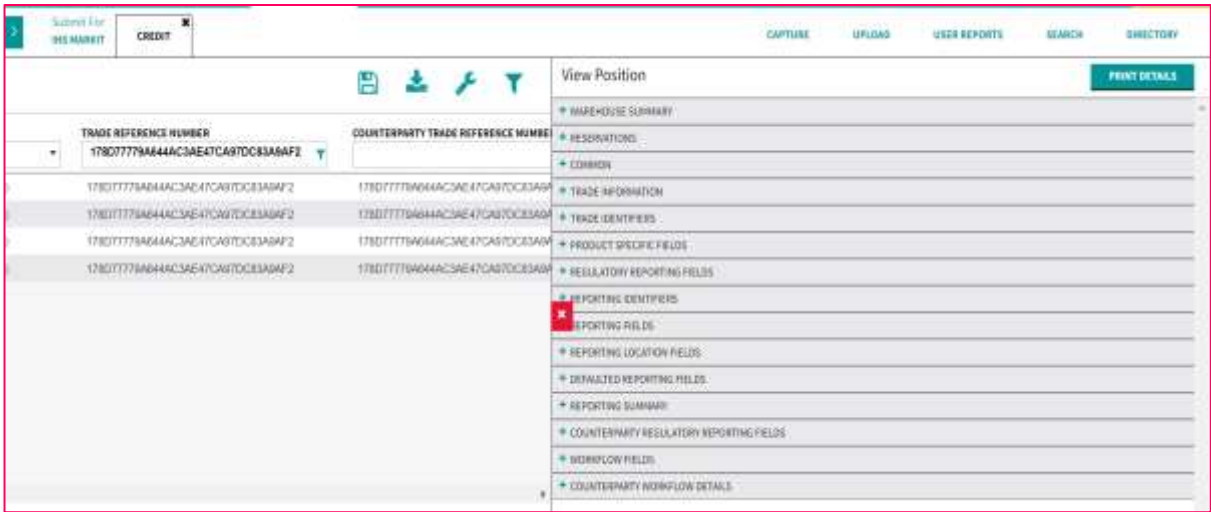


The trade window will appear with the trade details.




3.3 View Position


To view the position of a deal, click on the cog icon and select “VIEW POSITION” on any transaction row of the deal.



3.4 View Messages

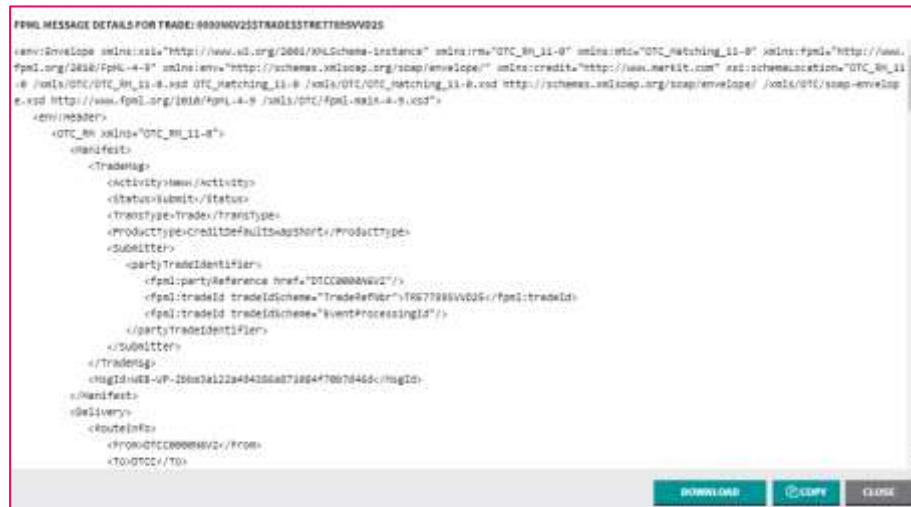
All the trades submitted into TradeServ regardless of the submission method (MQ, CSV, or GUI) can be downloaded as FpML messages. This is a useful tool, especially for MQ submitters if they wish to check on the submitted FpML messages. Users can retrieve the FpML messages of a trade by clicking on cog icon  and select “VIEW MESSAGES”. Messages will be shown pertaining to the transaction type row selected from transaction grid.



All the inbound/outbound messages with message date, message target, message direction, etc will be shown. To view the FpML message, click on cog icon  and select “SHOW MESSAGE”.

	MESSAGE DATE	ACTIVITY	TRANSACTION TYPE	TRADE REFERENCE NUMBER	PARTY ID	PARTY NAME	COUNTERPARTY ID	COUNTERPARTY NAME
REPLAY	45/10/1		Trade	ASNE+322592/C2C84806	00003333	LEA00003333	00001111	LEA00001111
SHOW MESSAGE	45/10/1	NEW	Trade	ASNE+322592/C2C84806	00003333	LEA00003333	00001111	LEA00001111

A pop-up window will appear as per below:



The user will have the options below:

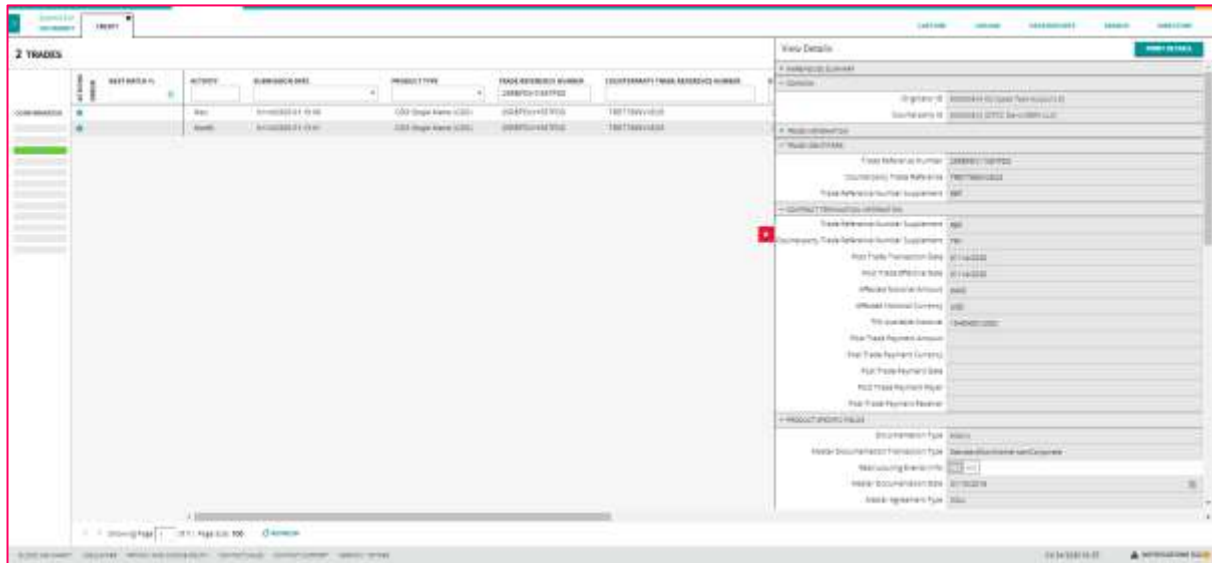
1. Download – Once clicked, a download window will appear, and the user can save the message as a file.
2. Copy – Once clicked, the entire text of the FpML will be copied
3. Close – Once clicked, the message window will be closed.

3.5 View History

To view the audit history of a trade, click on cog icon and select "VIEW HISTORY".

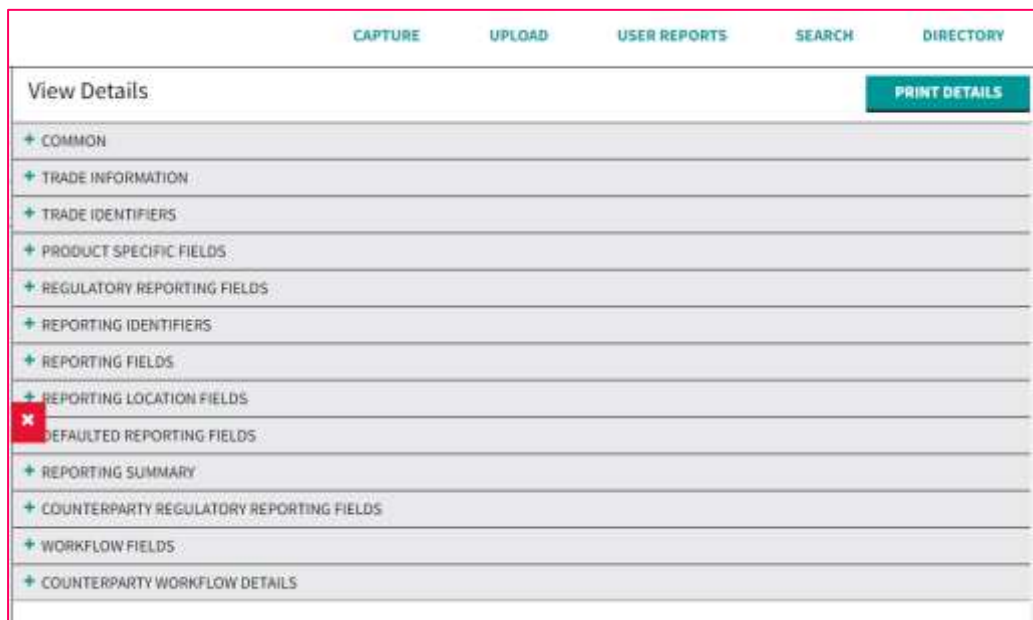


The audit history will appear and the audit details such as the submission time, activity, transaction type, etc will be shown. If the user wants to view the submission details at a submission time, they can click on the relevant line and the View Details of the submission will appear.



3.6 Print Details from View Trade

The details of the trade can be exported in a PDF file by selecting 'PRINT DETAILS'.



3.6 Searching Trades from the SEARCH Feature

Users can also search trades by using the 'SEARCH' feature.



After clicking the 'SEARCH' tab, users will be brought to the below screen where they can search by different criteria.

>

Submit For
IHS MARKIT

CREDIT

SEARCH BY FIELDS	FX	CREDIT
Originator ID		Choose an item...
Originator		Choose an item...
Documentation Type		
Underlying Documentation Type		
Master Document Transaction Type		Choose an item...
Submission Date		
Product Type		
Sub Product Type		
Transaction Type		
Status		
Warehouse Status		Choose an item...
Post Trade Transaction Date		
Trade Reference Number		
Clearing Indicator		

EDIT FIELDS

SEARCH

RESET

Users can select or remove additional fields to their search criteria by clicking on 'EDIT FIELDS'. This brings up all the searchable trade economics available and once a user has chosen their search criteria, clicking on 'ADD CHOSEN FIELDS' will display these in the main search function.

ADDRESSING (DESELECT FIELDS IN GROUP)

☒ ORIGINATOR ID
☒ ORIGINATOR
☐ COUNTERPARTY ID
☐ COUNTERPARTY
☐ SUBMITTING PARTY
☐ FLOATING RATE PAYER (SELLER)/ SWAPTION SELLER/ IBOXX TRS SELLER (FLOATING RATE PAYER ID)
☐ FIXED RATE PAYER (BUYER)/ SWAPTION BUYER/ IBOXX TRS BUYER (FIXED RATE PAYER ID)
☐ FLOATING RATE PAYER (SELLER)/ SWAPTION SELLER/ IBOXX TRS SELLER (UNDERLYING FLOATING RATE PAYER ID)
☐ FIXED RATE PAYER (BUYER)/ SWAPTION BUYER/ IBOXX TRS BUYER (UNDERLYING FIXED RATE PAYER ID)
☐ SINGLE PAYMENT PAYER
☐ SINGLE PAYMENT RECEIVER
☐ INDEPENDENT AMOUNT PAYER
☐ INDEPENDENT AMOUNT RECEIVER
☐ INITIAL PAYMENT PAYER
☐ INITIAL PAYMENT RECEIVER
☐ FLOATING PERIODIC PAYMENT RECEIVER
☐ FLOATING PERIODIC PAYMENT PAYER
☐ FLOATING RATE PAYER (SELLER)/ SWAPTION SELLER/ IBOXX TRS SELLER (SWAPTION SELLER ID)
☐ FIXED RATE PAYER (BUYER)/ SWAPTION BUYER/ IBOXX TRS BUYER (SWAPTION BUYER ID)
☐ PREMIUM PAYER
☐ PREMIUM RECEIVER
☐ POST TRADE PAYMENT PAYER
☐ POST TRADE PAYMENT RECEIVER
☐ TRANSFEREE
☐ TRANSFEROR
☐ REMAINING PARTY
☐ REMAINING PARTY TWO

ECONOMICS (DESELECT FIELDS IN GROUP)

REMOVE ALL FIELDS

ADD CHOSEN FIELDS

For example, if a user wanted to search by the Originator ID, the user would input the Originator ID they want to search for and click SEARCH in the bottom right.

>

Submit For
IHS MARKIT

CREDIT

SEARCH BY FIELDS

FX

CREDIT

Originator ID

0000N6V3 (Scripted Test Account 2)

×

Originator

Choose an item...

▼

Documentation Type

▼

Underlying Documentation Type

▼

Master Document Transaction Type

Choose an item...

▼

Submission Date

▼

Product Type

▼

Sub Product Type

▼

Transaction Type

▼

Status

▼

Warehouse Status

Choose an item...

▼

Post Trade Transaction Date

📅

Trade Reference Number

▼

Clearing Indicator

▼

EDIT FIELDS

SEARCH

RESET

This will bring the user to the trade blotter, showing all trades with the selected search criteria.

Submit For
BIS MARKET

LIBOR

CAPTURE

UPLOAD

USER REPORTS

SEARCH

DIRECTORY

BACK TO SEARCH

43 TRADES

NAME SLECTION

REGULATORY REPORTS

PDF

Excel

Print

Refresh

Filter

<div><input type="checkbox"/></div> <div>ACTIONS</div> <div>MESSAGE</div>	BEST MATCH %	ACTIVITY	SUBMISSION DATE	PRODUCT TYPE	ORIGINATOR ID	COUNTERPARTY ID	TRANSACTION TYPE
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 23:01:37	CDS Index Tranche (CDT)	000000V3	000000V4	Assignment
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 04:24:40	CDS Index (CDX)	000000V3	000000V5	Trade
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 25:44:22	CDS Single Name (CDS)	000000V3	000000V4	Assignment
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 22:55:47	CDS Index (CDX)	000000V3	000000V4	Assignment
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 01:12:40	CDS Index (CDX)	000000V3	000000V2	Trade
<div><input type="checkbox"/></div> <div><div><div></div></div></div>		New	02/10/2020 01:08:22	CDS Single Name (CDS)	000000V3	000000V4	Assignment

4.0 Trading Using TradeServ

There are three different methods of submitting trades on TradeServ: GUI, CSV, or MQ.

4.1 GUI Submission

Trades can be submitted manually using the capture function on the Graphical User Interface (GUI):

1. Under the “CONFIRMS” App, click “Capture”.

CONFIRMATION	TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	DTCC TR#	ORIGINATOR ID	COUNTERPARTY ID	TRANSACTION
ALLIOTED	PULSE_AB4D64D47726	PULSE_AB4D64D47726B49AC6A0B43C	20181125.1000153462	000000V4	000000V2	Trade
CANCELLED	PULSE_AB4D64D47726	PULSE_AB4D64D47726B49AC6A0B43C	20181125.1000153462	000000V2	000000V4	Trade
CONFIRMED	PULSE_B29E93D4B136	PULSE_B29E93D4B136B3305F9DC327731	20181125.1000153409	000000V4	000000V2	Trade
DISMISSED	PULSE_R2B893D4B136	PULSE_R2B893D4B136B3305F9DC327732	20181125.1000153409	000000V2	000000V4	Trade
ERROR	PULSE_C3790FC4381A	PULSE_C3790FC4381A381A7554E87CFE3	20181125.1000153451	000000V4	000000V2	Trade
MATCHED	PULSE_C3790FC4381A	PULSE_C3790FC4381A381A7554E87CFE3	20181125.1000153451	000000V2	000000V4	Trade
PENDING	PULSE_C458D754748A	PULSE_C458D754748A4B41C4F1B68CE	20181125.1000153447	000000V4	000000V2	Trade
PENDING ALLIOTED	PULSE_C458D754748A	PULSE_C458D754748A4B41C4F1B68CE	20181125.1000153447	000000V2	000000V4	Trade
UNCONFIRMED	PULSE_E3627794752AC	PULSE_E3627794752AC59C15A4B4A24D	20181125.1000153425	000000V4	000000V2	Trade
UNREGISTERED	PULSE_E3627794752AC	PULSE_E3627794752AC59C15A4B4A24D	20181125.1000153425	000000V2	000000V4	Trade

2. Select the desired product for the trade (e.g. CDS Single Name).

CAPTURE | **UPLOAD** | **USER REPORTS** | **SEARCH** | **DIRECTORY**

BACK

CREDIT PRODUCTS

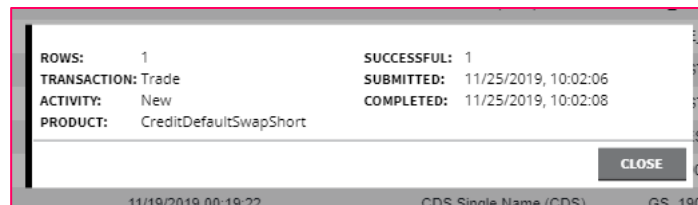
- CDS Fixed Recovery
- CDS Single Name
- CDS on Loans
- CDS Recovery Lock
- CDS Single Name Swap
- CDS on ABS
- CDS Index Tranche
- CDS Index
- CDS Index Swap

- Input the trade details.

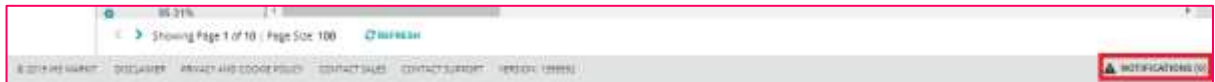
(Note: Only once the “Required fields” are filled in will the trade be eligible to be submitted.)

- Once all “Required fields” have been populated, select ‘Submit’ to submit the trade for processing.

- A pop-up notification will appear in the bottom right side of the screen stating that the trade has been processed. Double click on this notification to view whether the trade has either been successfully submitted or has any error(s).



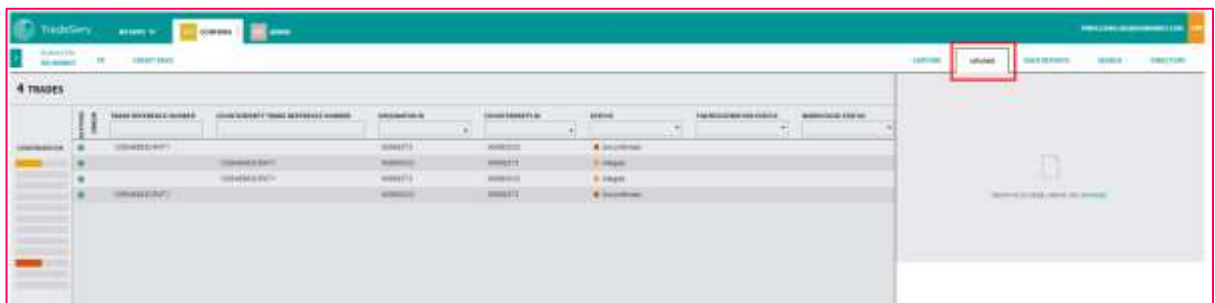
Alternatively, click on “NOTIFICATIONS” in the bottom right side of the screen to see all notifications. Double click on the given notification to view whether the trade has been successfully submitted or has any error(s).



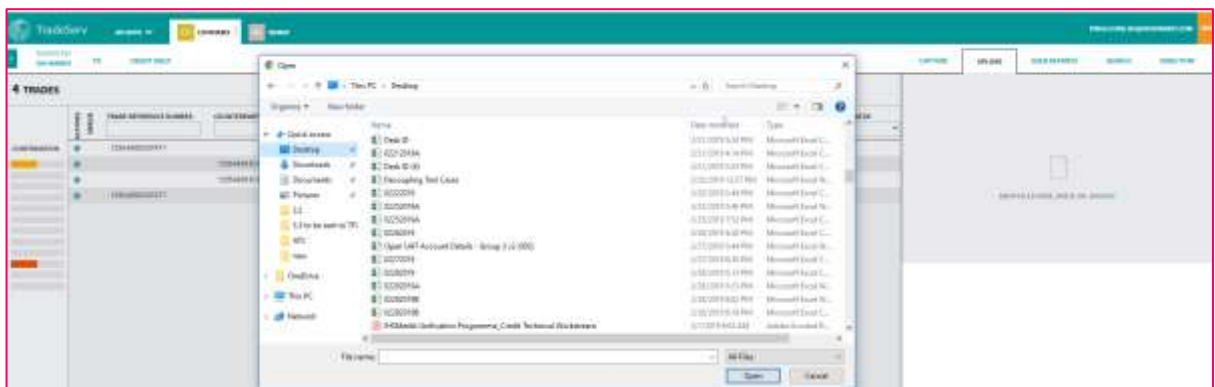
4.2 CSV Submission

Trades can also be submitted via CSV file upload. The format/template of the csv upload for TradeServ is the same in the majority of cases as it is for DSMatch:

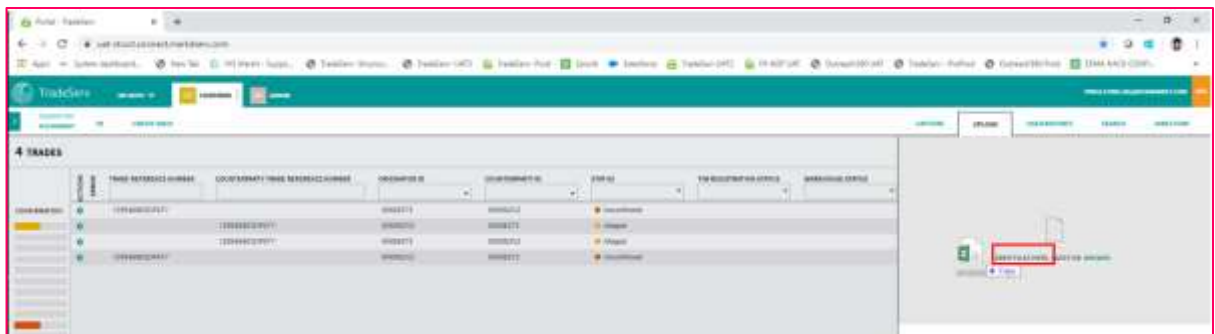
1. Under the “CONFIRMS” App, click on the tab “UPLOAD”.



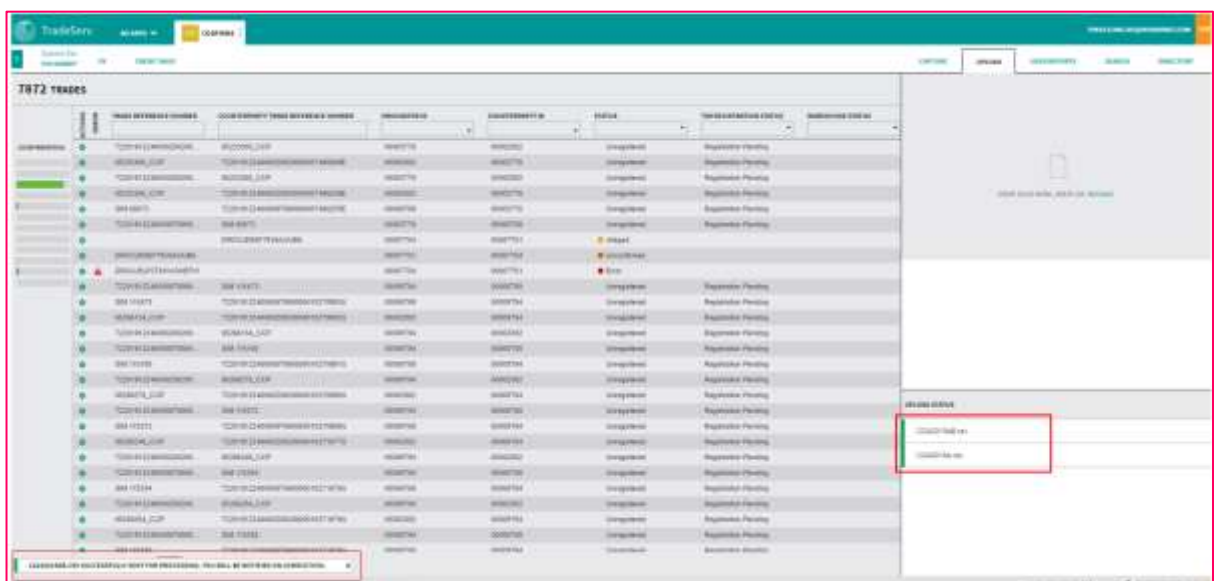
2. Click on Browse, and a pop-up window will appear for the user to select the file for upload.



Alternatively, drag and drop the upload file into the upload section.



- Once the file is sent for processing, a pop-up notification will appear in the bottom left side of the screen and the upload status for the individual file will change from orange to green.



- Once the processing of the file is complete, a pop-up notification will appear in the bottom right side of the screen as per the below. The full list of notifications is retrieved by clicking on the notification button on the bottom right side of the screen.

Trade Reference Number	Counterparty Trade Reference Number	Instrument ID	Status
12242019A	12242019A	12242019A	Done
12242019B	12242019B	12242019B	Done
12242019C	12242019C	12242019C	Done
12242019D	12242019D	12242019D	Done
12242019E	12242019E	12242019E	Done
12242019F	12242019F	12242019F	Done
12242019G	12242019G	12242019G	Done
12242019H	12242019H	12242019H	Done
12242019I	12242019I	12242019I	Done
12242019J	12242019J	12242019J	Done
12242019K	12242019K	12242019K	Done
12242019L	12242019L	12242019L	Done
12242019M	12242019M	12242019M	Done
12242019N	12242019N	12242019N	Done
12242019O	12242019O	12242019O	Done
12242019P	12242019P	12242019P	Done
12242019Q	12242019Q	12242019Q	Done
12242019R	12242019R	12242019R	Done
12242019S	12242019S	12242019S	Done
12242019T	12242019T	12242019T	Done
12242019U	12242019U	12242019U	Done
12242019V	12242019V	12242019V	Done
12242019W	12242019W	12242019W	Done
12242019X	12242019X	12242019X	Done
12242019Y	12242019Y	12242019Y	Done
12242019Z	12242019Z	12242019Z	Done

Trade Reference Number	Counterparty Trade Reference Number	Instrument ID	Status
12242019A	12242019A	12242019A	Done
12242019B	12242019B	12242019B	Done
12242019C	12242019C	12242019C	Done
12242019D	12242019D	12242019D	Done
12242019E	12242019E	12242019E	Done
12242019F	12242019F	12242019F	Done
12242019G	12242019G	12242019G	Done
12242019H	12242019H	12242019H	Done
12242019I	12242019I	12242019I	Done
12242019J	12242019J	12242019J	Done
12242019K	12242019K	12242019K	Done
12242019L	12242019L	12242019L	Done
12242019M	12242019M	12242019M	Done
12242019N	12242019N	12242019N	Done
12242019O	12242019O	12242019O	Done
12242019P	12242019P	12242019P	Done
12242019Q	12242019Q	12242019Q	Done
12242019R	12242019R	12242019R	Done
12242019S	12242019S	12242019S	Done
12242019T	12242019T	12242019T	Done
12242019U	12242019U	12242019U	Done
12242019V	12242019V	12242019V	Done
12242019W	12242019W	12242019W	Done
12242019X	12242019X	12242019X	Done
12242019Y	12242019Y	12242019Y	Done
12242019Z	12242019Z	12242019Z	Done

- Click on a notification to view whether the trade(s) has been successfully submitted or has any errors.

UPLOADED FILE: 12242019A.CSV

ROWS:	5	SUCCESSFUL:	4
SUBMITTED:	12/24/2019, 03:02:49	SKIPPED:	1
COMPLETED:	12/24/2019, 03:02:55		

[DOWNLOAD REPORT](#)
[CLOSE](#)

If there is an error in the file, the notification will inform which rows of the upload failed processing and provide an error message.

UPLOADED FILE: 12242019A.CSV

ROWS:	5	SUCCESSFUL:	2
SUBMITTED:	12/24/2019, 03:07:59	SKIPPED:	1
COMPLETED:	12/24/2019, 03:08:03	FAILED:	2

UPLOAD ERRORS

Row 2 Failed: Row 2 failed validation.Business workflow error : Reuse of Trade Reference Number PING12242019A is not allowed, another transaction already exists in a Confirmed and active state for this Trade Reference Number

Row 3 Failed: Row 3 failed validation.Business workflow error : Reuse of Trade Reference Number PING12242019ACPY is not allowed, another transaction already exists in a Confirmed and active state for this Trade Reference Number

DOWNLOAD REPORT
CLOSE

- Users can also download a csv report of the upload status by clicking “DOWNLOAD REPORT”.

4.3 MQ Submission


Trades can also be submitted via MQ submission, with the response messages sent back to the clients messaging queues as setup on TradeServ. The MQ submissions must be in the correct XML format for TradeServ to process.

For client submissions to be accepted via MQ, an inbound and outbound queue is required to establish connectivity to TradeServ.

If clients wish to submit messages via MQ, please contact our Network Solutions team to initiate the onboarding process at NetworkSolutions@ihsmarkit.com.

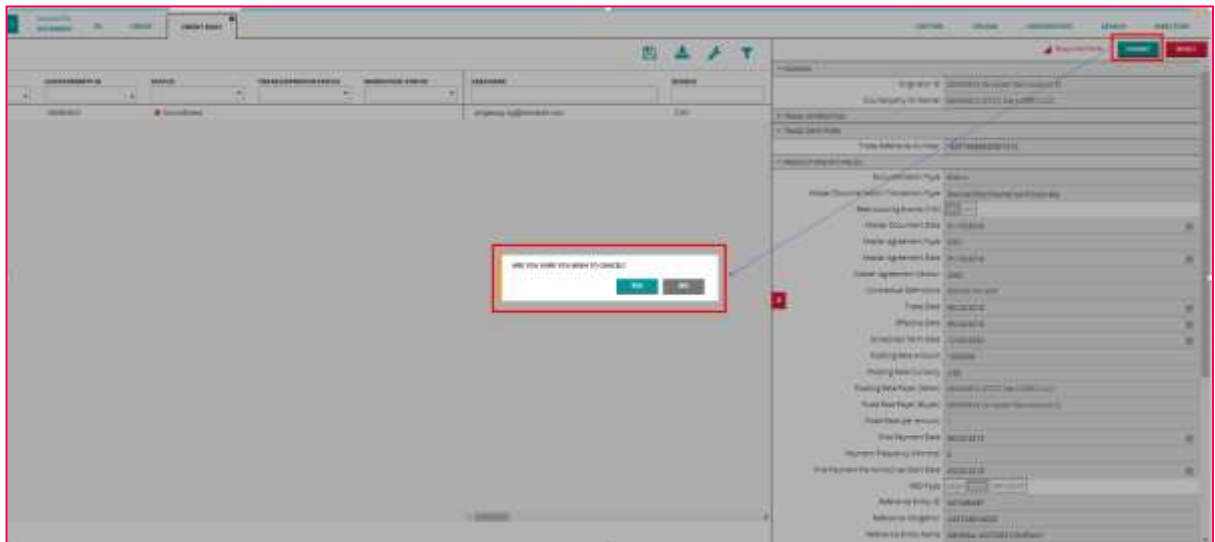
4.4 Cancelling a Trade Before Confirmation

An unconfirmed trade can be cancelled by the submitting party. Once cancelled, the allege will disappear for the counterparty to the trade.

- Click the cog icon  of the desired unconfirmed trade and select ‘cancel’ from the dropdown menu.



2. Confirm/review the trade details of the trade to be cancelled, to proceed to click 'SUBMIT' and select 'YES' to cancel the trade.



3. Once the trade is cancelled, the trade will show a "Cancelled" status.



The trade will no longer be visible to the counterparty of the trade.

4.5 Modify a Trade Before Confirmation

An "Unconfirmed" trade can be modified by the originating party to the trade before the trade is confirmed.


1. Click on the cog icon  and select 'MODIFY' from the dropdown menu.

- The trade window will appear with all the applicable fields available for modification. Proceed to modify the desired fields and click “SUBMIT”.

The trade will be modified, these details will be modified in the counterparties alleged trade.

4.6 Accepting a Trade via Alleged

One of the common features frequently used by buy side firms is accepting the counterparty trade from the sell side. A firm can confirm the trade by accepting the trade via the alleged position.

- As the counterparty to the trade, the trade will be available with an alleged status. Click on the cog icon  and select “ACCEPT” from the dropdown menu.

1 TRADE

TRADE REFERENCE NUMBER: TEST040000P001010
 COUNTERPARTY TRADE REFERENCE NUMBER: TEST040000P001010
 ORIGINATOR ID: 00000002
 COUNTERPARTY ID: 00000004
 STATUS: 1 Selected
 TRADE REGISTRATION STATUS: Accepted
 WAREHOUSE STATUS: Accepted

ACTIONS: VIEW METADATA, VIEW TRADE, VIEW HISTORY, ACCEPT

- The trade economics of the trade are displayed for review. If all the trade terms are as agreed, populate a Trade Reference Number and click “ACCEPT”.

1 TRADE

TRADE REFERENCE NUMBER: TEST040000P001010
 COUNTERPARTY TRADE REFERENCE NUMBER: TEST040000P001010
 ORIGINATOR ID: 00000002
 COUNTERPARTY ID: 00000004
 STATUS: 1 Selected
 TRADE REGISTRATION STATUS: Accepted
 WAREHOUSE STATUS: Accepted

TRADE INFORMATION

TRADE IDENTIFIERS

Trade Reference Number: TEST040000P001010
 Counterparty Trade Reference Number: TEST040000P001010

PRODUCT SPECIFIC RULES

Document/Instrument Type: Items
 Master Document Transaction Type: StandardNorthAmericanCorporate
 Restructuring Events (Y/N): YES NO
 Master Document Date: 01/15/2018
 Master Agreement Type: ISDA
 Master Agreement Date: 01/15/2018
 Master Agreement Version: 2002
 Contractual Definitions: ISDA2014Credit
 Trade Date: 05/23/2018
 Effective Date: 05/24/2018
 Scheduled Term Date: 12/23/2023
 Floating Rate Amount: 1000000
 Floating Rate Currency: USD
 Floating Rate Payer (Seller): 00000002 (STOC Deriv/SPN LLC)
 Fixed Rate Payer (Buyer): 00000004 (Simplex Test Account 3)
 Fixed Rate (per annum): 1.0
 First Payment Date: 06/05/2018
 Payment Frequency (Months): 3
 First Payment Period Actual Start Date: 12/25/2017
 ISD Type: RECM RECM SMO RECM
 Reference Entity ID: BATA94887
 Reference Obligation: US1704000000

12/28/2018 23:02 EST

- The trade will match, and the status will be “Confirmed”.

1 TRADE

TRADE REFERENCE NUMBER: TEST040000P001010
 COUNTERPARTY TRADE REFERENCE NUMBER: TEST040000P001010
 ORIGINATOR ID: 00000002
 COUNTERPARTY ID: 00000004
 STATUS: Confirmed
 TRADE REGISTRATION STATUS: Registered
 WAREHOUSE STATUS: Confirmed

ACTIONS: VIEW METADATA, VIEW TRADE, VIEW HISTORY, ACCEPT

4.7 Best Match (Matching Candidate)


When the system receives a new trade or a post-trade transaction, it attempts to compare this transaction with the counterparty side. If all economics in the transaction match (100%), the transaction will be displayed to both parties as *Confirmed*.

If the transaction is not 100% matched, TradeServ attempts to find and identify the closest match for the other side of the transaction based on trade economics (for example, floating rate payer, calculation amount, fixed rate, reference obligation number, reference entity name and number, trade date, effective date, scheduled termination date and master confirmation transaction type). The platform will display the percentage in the column "Best Match %" as per below.

The screenshot shows the '1 TRADE' form in the 'NEW BOND' window. The 'ALIAS DATA IN' field is highlighted with a red box. The form contains the following fields and values:

Field	Value
ALIAS DATA IN	EX 123
METADATA	
SUBMISSION DATE	01/10/2023 09:29:05
PRODUCT TYPE	CDR Single Bond (CDR)
FRAUD RISK RANK NUMBER	FRAT00000000
COUNTERPARTY RISK REFERENCE NUMBER	
SPEC ID	
DISCLOSURE	00000000
COUNTERPARTY ID	00000000
TRANSACTION TYPE	0000

This number is an estimate of the probability of a match. In this example, the system has found what it considers to be a 93.10% match. The user can review the trade with the nearest match %

by clicking on the actions cog  and selecting "MATCHING CANDIDATES".

[illegible]

All trades that return a matching % will be displayed. The user can select and review the trade details (and if necessary, contact the counterparty) to resolve discrepancies. Alternatively, if the user noted that the counterparty trade is correct, the user can click on the trade and will be able to see the fields and the mismatching data.

The screenshot shows the '1. TRADE' section of the TradeServ interface. It displays a trade reference number and various fields for trade details. A 'Mismatch Fields' section is visible, showing a comparison between the user's trade and the counterparty's trade. A red box highlights the 'Select all' button next to the mismatched field.

If the user agrees that the counterparty trade is correct, the user can modify their trade to change the mismatched field to match the counterparty by selecting the tick box next to the trade economics. The user will then need to click “ACCEPT ALLEGE”.

This screenshot shows the same '1. TRADE' section, but with the 'ACCEPT ALLEGE' button highlighted in red, indicating the next step in the process.

The trade will then be matched, and the status will be “Confirmed” if the user accepts the alleges on all the mismatched fields.

4.8 Post Trade Event

In general, post-trade transactions must be matched in the same way as new trades. The next section of the guide will cover the following post trade events: Termination, Amendment, Exit, TriChange, Disable and Fee Amendment.

4.8.1 Termination

If there is a bilateral agreement that the notional amount on the trade is to be terminated partially or in full, either party can initiate the termination on the trade.

Full Termination

An agreement to terminate the full notional amount or number of options on a trade and usually involves a payment from one party to the other.

Partial Termination

A partial termination transaction (partial unwind) is an agreement to reduce the notional amount or number of options on a trade and usually involves a payment from one party to the other.

To perform a termination, search for the trade and perform the below steps:

1. Click on the actions cog  and select “TERMINATE”.



- The trade window will appear as below. The user now needs to enter the details in the mandatory fields and other fields (if applicable). Once complete, click Submit.

- The submitter of the Termination will see the Transaction type as "Termination". The counterparty will also see the same transaction type as "Termination" in the alleged leg. The counterparty user can click on "Accept" to view the trade.



- The trade window will reappear and if all the terms and details are correct, the counterparty will need to enter the mandatory "Trade Reference Number Supplement" and click Accept.

CARTURE	URLNAME	USER NUMBER	SEARCH	SELECT TAB
		Presumed Trade		SELECT Presumed Trade
-- COMPANY --				
Engineer ID	10000002 - 0701234567890123			
Counterparty ID (NAME)	00000004 - 00000000000000000000			
+ Trade INFORMATION				
-- Trade INFORMATION				
Trade Reference Number	07100000000000000000			
Counterparty Trade Reference Number	07540000000000000000			
-- CONTRACT INFORMATION				
Trade Reference Number Supplement				
Post Trade Transaction Date	01/01/2020			
Post Trade Effective Date	01/01/2020			
Affected Notional Amount	1000000000			
Affected Notional Currency	USD			
Totally Available Notional Amount	1000000000.0000000000			
Post Trade Payment Amount				
Post Trade Payment Currency	Please select one...			
Post Trade Payment Date				
Post Trade Payment Payer				
Post Trade Payment Receiver				
-- PRODUCT SPECIFIC FIELD				
Documentation Type	Letter			
Master Documentation Transaction Type	Standardized International Corporate			
Restructuring Events (YES)	No			
Master Documentation Date	01/01/2019			
Master Agreement Type	ISDA			
Master Agreement Date	01/01/2019			
Master Agreement Vendor	ISDA			
Contractual Definitions	ISDA 2019-01-01			
Effective Date	01/01/2020			
Scheduled Term Date	03/01/2021			

5. The termination will then be Confirmed.

[illegible]

4.8.2 Amendment

Once a trade is confirmed, you and the counterparty can agree to increase the notional amount, modify the scheduled termination date and other trade economic attributes.

To amend a trade post-confirmation, search for the trade and perform the below steps:

5. Click on the actions cog and select "AMENDMENT".

[illegible]

2. The trade window will appear as below. The user will need to enter the "Trade Reference Number Supplement" and modify the required field. Once complete, click Submit.

CAPTURE **UPLOAD** **USER REPORTS** **SEARCH** **DIRECTORY**

Required fields **SUMMARY** **RESET**

COMMON

Originator ID 0000NBV4 (Scripted Test Account 3)

Counterparty ID (Name) 0000NBV2 (DTCC Deriv/SERV LLC)

TRADE INFORMATION

TRADE IDENTIFIERS

Trade Reference Number VMMD823WF

Counterparty Trade Reference Number PW003WFD8D

AMENDMENT FIELDS

Trade Reference Number Supplement

Status **CONFIRMED**

Post Trade Transaction Date 01/20/2020

Post Trade Effective Date 01/20/2020

Post Trade Payment Amount

Post Trade Payment Currency Choose an item...

Post Trade Payment Date

Post Trade Payment Payer

Post Trade Payment Receiver

PRODUCT SPECIFIC FIELDS

Documentation Type Matrix

Master Document Transaction Type StandardNorthAmericanCorporate

Restructuring Events (Y/N) **YES** **NO**

Master Document Date 01/15/2016

Master Agreement Type ISDA

Master Agreement Date 01/15/2016

Master Agreement Version 2002

Contractual Definitions ISDA2014Credit

Trade Date 11/15/2017

Effective Date 11/16/2017

Scheduled Term Date 09/20/2025

Floating Rate Amount 1660000

- The submitter of the Amendment will see the Transaction type as "Amendment". The counterparty will also see the same transaction type as amendment in the alleged leg. The counterparty user can click on "Accept" to view the trade.

TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	DOCUMENTATION ID	COUNTERPARTY ID	ASSET ID	TRADE REFERENCE NUMBER SUPPLEMENT	TRADE STATUS	TRADE TYPE	TRANSACTION DATE
VMMD823WF	PW003WFD8D	StandardNorthAmericanCorporate	0000NBV2	0000NBV4	VMMD823WF	CONFIRMED	ISDA	01/20/2020
VMMD823WF	PW003WFD8D	StandardNorthAmericanCorporate	0000NBV2	0000NBV4	VMMD823WF	CONFIRMED	ISDA	01/20/2020

Accept

- The trade window will reappear and if all the terms and details are correct, the counterparty will need to enter the mandatory "Trade Reference Number Supplement" and click Accept.

5. The Amendment will then be Confirmed.

4.8.3 Exit

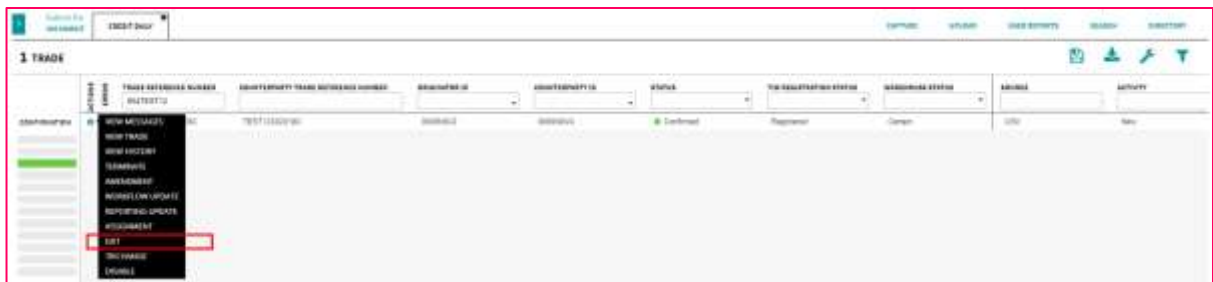
If the parties of a confirmed trade wish to indicate that the definitive record is no longer in TradeServ, an exit is the appropriate transaction option.

When a trade has been changed in a way that cannot be accurately represented using the other transaction records, an exit is used to indicate an agreement that the record in TradeServ system is no longer active. Trades which exits are confirmed for are generally re-documented using paper contracts. The exit is a transaction record that applies to the trade or contract, not to a specific event associated with the trade. When a party reuses its transaction reference number from a previously exited trade, TradeServ assigns a new DTCC TRI and the Warehouse recognises two trades with the same transaction reference number.

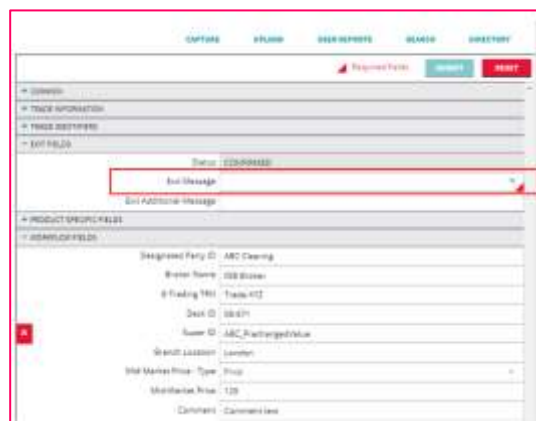
You can submit an exit transaction to indicate to your counterparty that you wish to remove a confirmed trade from TradeServ. All sides must agree to exit the trade.

To exit, search for the trade and perform the below step:

1. Click on the actions cog  and select "Exit".



2. The trade window will appear as per below. Select the relevant option from the dropdown and click "SUBMIT".



-
-
3. The submitter of the Exit will see the Transaction type as “Exit”. The counterparty will also see the same transaction type as “Exit” in the alleged leg. The counterparty user can click on “Accept” to view the trade.



4. The trade window will reappear and if the counterparty confirms the Exit Message is correct, the counterparty can click Accept. The trade will then be confirmed. Once the Exit trade is confirmed, the trade will be showing as “Inactive” in the column “ACTIVE STATUS”.

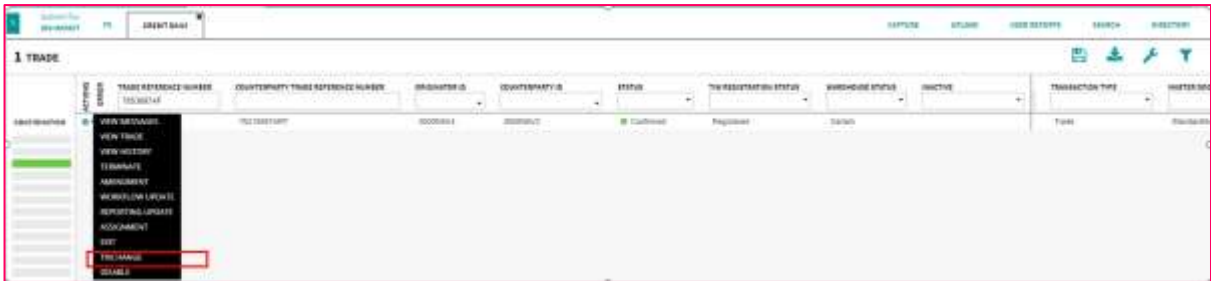


4.8.4 TRiChange

Once a trade is confirmed, the trade will be registered in TIW and this will be the golden copy of the trade. If there is a need to change the Trade Reference Number of the trade, this can be done via a TRiChange.

To change the Trade Reference Number, search for the trade and perform the below step:

- 1. Click on the actions cog  and select “TRiCHANGE”.



- 2. The trade window will appear as below. Enter the new Trade Reference Number and click “SUBMIT”. TRiCHANGE is a unilateral change and the counterparty does not need to confirm the change. The new trade reference number will appear in the field “Trade Reference Number”.

CAPTURE		UPLOAD		USER REPORTS		SEARCH		DIRECTORY	
<div>Required fields</div> <div>SUBMIT</div> <div>RESET</div>									
+ COMMON									
+ TRADE INFORMATION									
+ TRADE IDENTIFIERS									
- TRiCHANGE FIELDS									
Status		CONFIRMED							
TRiChangeType		Rename							
TIW Id		20191230.1000171133							
New Trade Reference									

4.8.5 Disable

If the parties of a trade wish to indicate that a previously confirmed transaction was always an error and never in effect, a disable is the correct action.

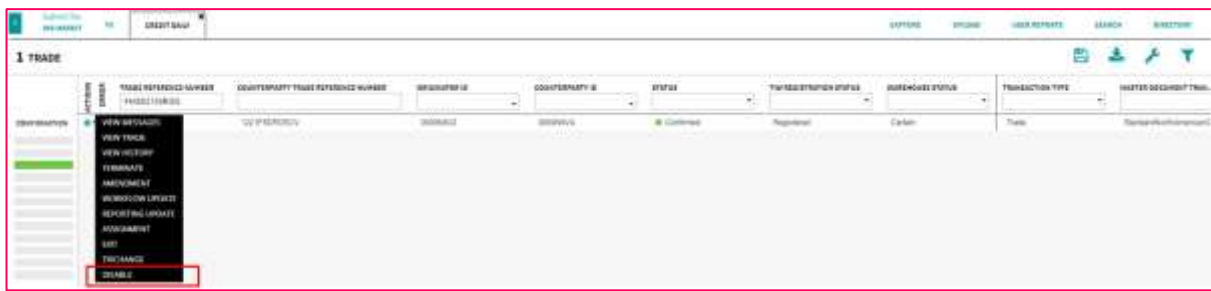
TradeServ also provides a process for parties that have a confirmed transaction record in error to instruct TIW to disable the matched records. The effect of the disable is to undo the submission and confirmation of the transaction records. If a disabled transaction is associated with a trade registered in the Warehouse, the effect of the transaction is reversed, as if it had never occurred.

For example, on an original notional amount of ten million, where confirmation of a partial termination of one million has occurred and the available notional amount is now nine million, when the partial termination is disabled the Warehouse notional will again be ten million, as if the partial termination had never been submitted. Disables must be processed for individual transactions. If two parties had confirmed a trade and then a partial termination before discovering that the trade should never have been confirmed, disables must be processed for both the termination and the trade. Disable works in a reverse chronological order. For e.g. If there is a Trade post which a confirmed amendment and then a confirmed termination has taken place, then to disable amendment, a user will need to disable termination first.

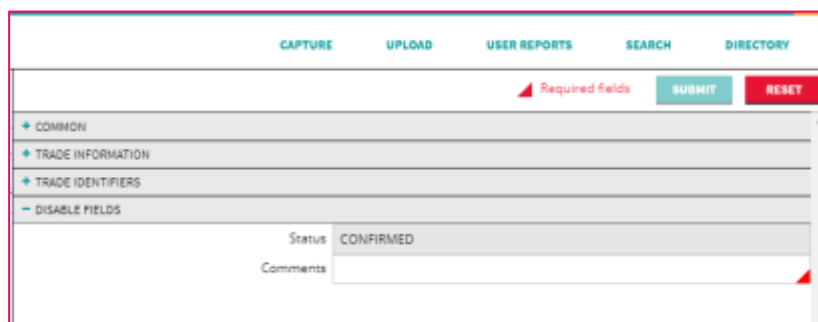
The disable option is available in the dropdown for new trades, terminations, increases, amendments and assignments. However, the disable option is not a valid activity for an exit event.

To submit a disable request, search for the trade and perform the below step:

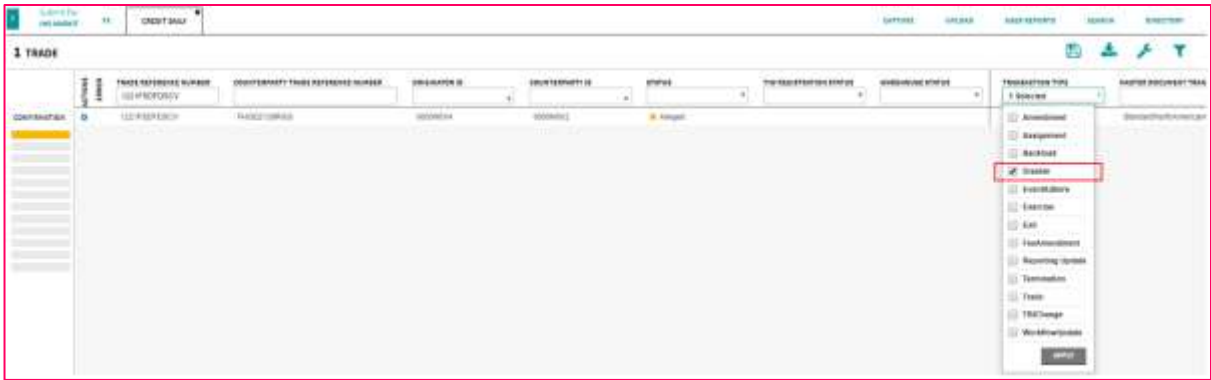
1. Click on the actions cog  and select "DISABLE".




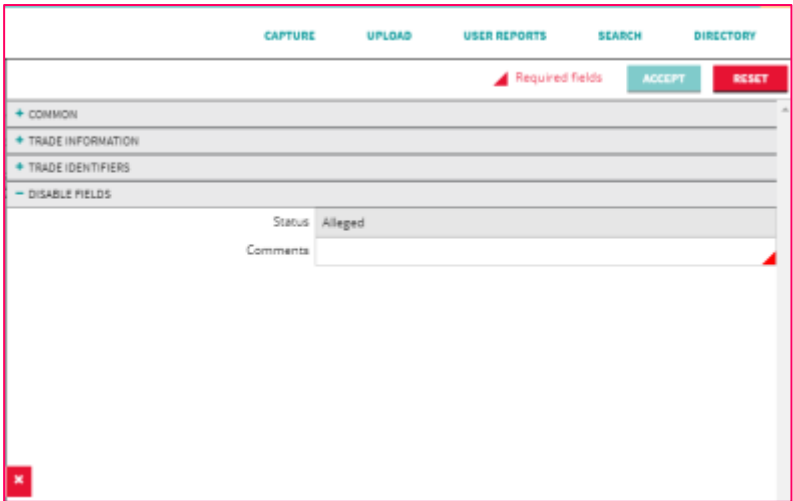
2. The trade window will appear as per below. Enter the mandatory field "Comments" and click "SUBMIT".



3. To see the Disable trade, both the submitter and counterparty needs to filter on the transaction type "Disable" as per below.



4. The counterparty will need to click on the actions cog  and select “Accept”. The below window will appear, and the user will be prompted to enter the mandatory field for “Comments” and click on Accept. This “Comments” field is a free form text field and it not a matching field.



5. Once submitted, the disabled trade is now confirmed.



4.8.6 Fee Amendment

When fees need to be amended on a post-trade event, you can modify the following information for the affected trades:

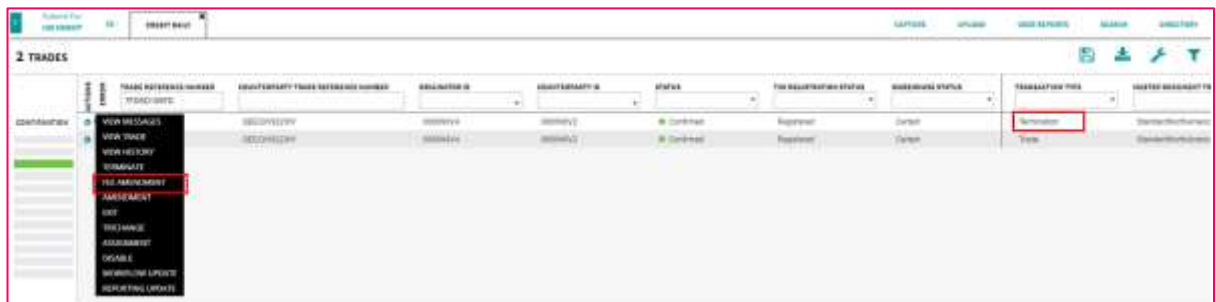
- Post-trade payment amount and currency

- Post-trade payment payer and receiver (you can only switch payer with receiver and vice versa)
- Post-trade payment date

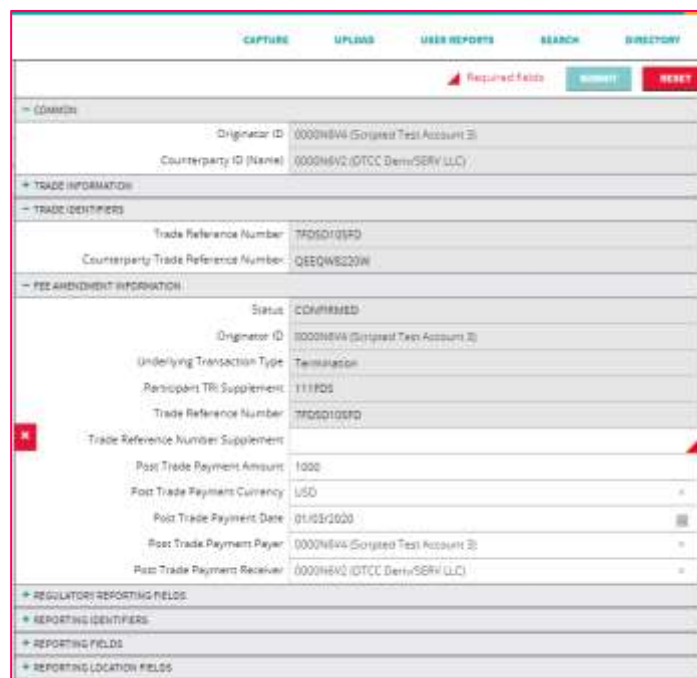
Fee amendments require a bilateral agreement and can only be done via TradeServ.

To submit a fee amendment, search for the trade that has post trade event and perform the below step:

1. Click on the actions cog  and select "FEE AMENDMENT".



2. The trade window will appear as below with the Fee Amendment information opened. The user needs to enter the "Trade Reference Number Supplement" and modify the required field. Once done, click Submit.

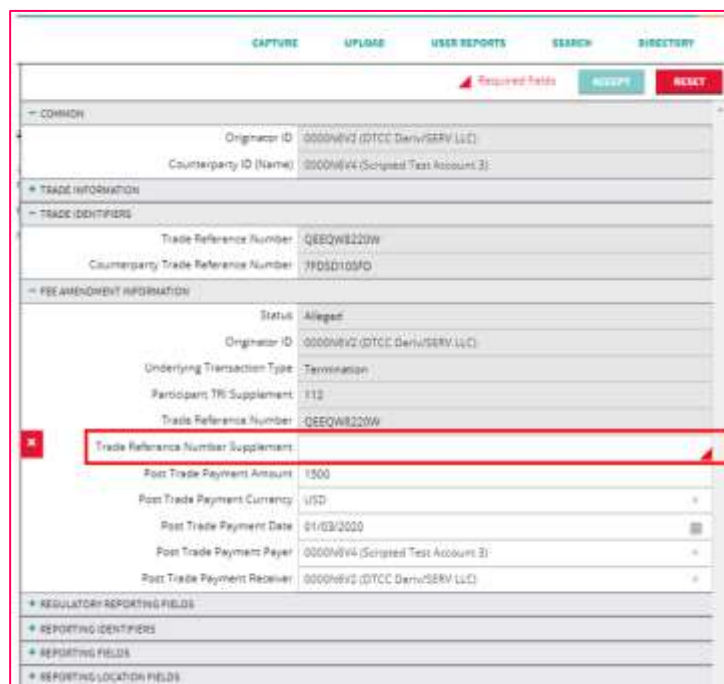


- The submitter of the Fee Amendment will see the Transaction type as “FeeAmendment”. The counterparty will also see the same transaction type as “FeeAmendment” in the alleged leg. The counterparty user can click on “Accept” to view the trade.



	TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	ORIGINATOR ID	COUNTERPARTY ID	STATUS	FOR REGISTRATION STATUS	REGISTRATION STATUS	TRANSACTION TYPE	POSTED DATE
NEW MESSAGES	77020118F0	77020118F0	0000WV2	0000WV4	Alleged			FeeAmendment	01/03/2020
NEW TRADES	77020118F0	77020118F0	0000WV2	0000WV4	Confirmed	Registered	Open	Termination	01/03/2020
NEW HISTORY	77020118F0	77020118F0	0000WV2	0000WV4	Confirmed	Registered	Open	Trade	01/03/2020
ACCEPT									

- The trade window will reappear and if all the terms and details are correct, the counterparty can enter the “Trade Reference Number Supplement”, which is mandatory, and click “Accept”. The Fee Amendment will then be Confirmed.



Required fields

ACCEPT RESET

COMMON

Originator ID: 0000WV2 (DTCC Deriv/SERV LLC)

Counterparty ID (Name): 0000WV4 (Scripted Test Account 2)

TRADE INFORMATION

TRADE IDENTIFIERS

Trade Reference Number: QEEQW8220W

Counterparty Trade Reference Number: 77020118F0

FEE AMENDMENT INFORMATION

Status: Alleged

Originator ID: 0000WV2 (DTCC Deriv/SERV LLC)

Underlying Transaction Type: Termination

Participants TRS Supplement: 112

Trade Reference Number: QEEQW8220W

Trade Reference Number Supplement: [Redacted]

Post Trade Payment Amount: 1500

Post Trade Payment Currency: USD

Post Trade Payment Date: 01/03/2020

Post Trade Payment Payer: 0000WV4 (Scripted Test Account 2)

Post Trade Payment Receiver: 0000WV2 (DTCC Deriv/SERV LLC)

REGULATOR REPORTING FIELDS

REPORTING IDENTIFIERS

REPORTING FIELDS

REPORTING LOCATION FIELDS

4.8.7 Workflow Update

Workflow fields are non-matching. There is one set for you and one for your counterparty. You can only change your own fields. The counterparty can see all your workflow fields, except for Comment. The content of workflow fields is free-form, and the type of information in each is at your discretion.

Workflow fields are specific to an individual transaction and, as the name implies, can be used to clarify the flow of work. You can enter different values in the same field in subsequent transactions or even in subsequent iterations of the same transaction type.

To submit a workflow update, search for the trade and perform the below step:

- Click on the cog icon  and select “WORKFLOW UPDATE”.



- The window will appear as per below. The user can modify the fields as required and click on submit. This is a unilateral update and does not require the counterparty to confirm.

CAPTURE		UPLOAD	USER REPORTS	SEARCH	DIRECTORY
<div>Required fields</div> <div>SUBMIT RESET</div>					
+ COMMON					
+ TRADE INFORMATION					
+ TRADE IDENTIFIERS					
- WORKFLOW FIELDS					
Designated Party Id	ABC Clearing				
Broker Name	IDB Broker				
E-Trading TRN	Trade-XYZ				
Desk ID	08-671				
Super ID	ABC_PrechangedValue				
Branch Location	London				
Mid Market Price - Type	Price ×				
Mid Market Price - Value	129				
Comment	Comment text				

4.8.8 Exercising Swaption

For the product CDS Single Name Swaption and CDS Index Swaption, the firm can exercise (buy or sell) the underlying instrument at a specified price on expiry date. Exercise event can be raised on any date, but it will be exercised only on a specified date i.e. expiration date since only European options are supported.

To exercise a swaption, search for the trade and perform the below step:

- Click on the cog icon  and select "EXERCISE".

3. The trade window will appear as below. The user now needs to enter the details in the mandatory fields and other fields (if applicable). Once complete, click Submit.

4. The submitter of the transaction will see the Transaction type as "Exercise". The counterparty will also see the same transaction type as "Exercise" in the alleged leg. The counterparty user can click on "Exercise" to view the trade.

5. The trade window will reappear and if all the terms and details are correct, the counterparty will need to enter the mandatory "Trade Reference Number Supplement" and click Accept. The Exercise will then be Confirmed.

CAPTURE		UPLOAD	USER REPORTS	SEARCH	DIRECTORY
		Required fields		ACCEPT	RESET
- COMMON					
Originator ID	0000N6V2 (DTCC Deriv/SERV LLC)				
Counterparty ID (Name)	0000N6V4 (Scripted Test Account 3)				
+ TRADE INFORMATION					
- TRADE IDENTIFIERS					
Trade Reference Number	1205D9FDGB				
Counterparty Trade Reference Number	RNVV463106DGD				
Trade Reference Number Supplement					
- EXERCISE INFORMATION					
Post Trade Transaction Date	09/07/2018				
Post Trade Effective Date	09/07/2018				
Affected Notional Amount	1000000				
Affected Notional Currency	USD				×
TIW Available Notional Amount	1000000 (USD)				
Exercise Event Type	Physical				×
REGULATORY REPORTING FIELDS					
+ REPORTING IDENTIFIERS					
+ REPORTING FIELDS					
+ REPORTING LOCATION FIELDS					
+ WORKFLOW FIELDS					

4.9 Assignment

An assignment, or novation, occurs when one of the parties to an existing derivative contract transfers its rights and obligations under the contract to a third party. The transaction requires the agreement of all three parties: the transferor (OR), the transferee (EE) and the remaining party (RP).

The effect of the agreement is that for the novated amount (all or part of the outstanding notional amount), the old transaction between the remaining party and the transferor is reduced to a smaller notional amount or has a notional of zero and a new transaction is executed between the remaining party and the transferee. The financial terms are identical to those of the old transaction.

All three parties must submit records that identify the core economics of the original transaction. Additionally, the transferee and the transferor must submit details specific to the novation and the transferee and the remaining party must submit details specific to the new transaction.

When the transferor and transferee records are compared and the required details are the same, the status of the assignment is Matched. When these match with the remaining party's submission, the status of the assignment is Confirmed.

An assignment initiation from TradeServ confirm app can be initiated by the Remaining Party (RP) or the Transferor (OR). Generally, assignments will follow this workflow:

1. Transferor "OR" or Remaining Party "RP" initiates the Assignment.
2. Transferee "EE" accepts the Assignment.
3. Remaining Party "RP" or Transferor "OR" accepts the Assignment.

4.9.1 Assignment Roles

The following roles are defined in an assignment (novation):

1. Transferor (OR) - stepping-out party

The party transferring all or some of its contractual obligation is called the transferor, or the stepping-out party. In most cases this is the buy-side participant, but it could also be a dealer.

The transferor needs to enter a supplement to its transaction reference number. This does not need to match the remaining party's supplement. Regardless of the order of submission, the transferor and transferee records are compared first. When viewing an assignment, the transferor only sees the assignment information and the old transaction information.

2. Transferee (EE) - stepping-in party

The new party accepting the contractual agreement from the transferor is the transferee, sometimes referred to as the stepping-in party. In most cases this is another dealer.

The transferee does not need to enter a supplement to its transaction reference number. Regardless of the order of submission, the transferor and transferee records are compared first. When viewing an assignment, the transferee sees the assignment information and all the new transaction information only.

3. Remaining Party (RP) - constant party


The party that was in the original contract and is now in the contract with the transferee is the remaining party. In most cases this is a sell-side party.

4.9.2 Entering an Assignment from a Confirmed Trade

When entering an assignment from a confirmed trade, you can search for confirmed transactions in the system and perform the below step.

1. Click on the cog icon  and select "ASSIGNMENT".

- The below Assignment Fields window will appear. The submitter of the trade will need to identify the role either as “Transferor” or “Remaining Party”. Once selected, the field “Transferor” and “Remaining Party” will be populated. The submitter will need to identify the “Transferee” to the trade.

- Update the mandatory fields with the sign  and other fields (post trade payment details if submitting as an OR) as applicable. Once done, click “SUBMIT”.
- The assignment trade will appear as “Unconfirmed” with the transaction type as “Assignment”.

TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	ORIGINATOR ID	COUNTERPARTY ID	SERIES	TRADE REFERENCE NUMBER	TRANSACTION TYPE	NUMBER OF DOCUMENTS	POST TRADE PAYMENT
00000000	00000000	00000000	00000000	00000000	00000000	Assignment	1	00000000
00000000	00000000	00000000	00000000	00000000	00000000	Assignment	1	00000000

4.9.2 Entering an Assignment by Accepting an Alleged Transaction

If another party has already entered its side of the assignment transaction (either from Transferor "OR" or Remaining party "RP"), the next step is for the Transferee "EE" to accept the assignment. The transferee "EE" can search for an alleged transaction and validate or accept it. While you can find alleged records and validate or accept them, actual comparison may not take place immediately, depending on the roles of the two parties:

1. Transferor (OR) - stepping-out party


Regardless of the order of submission, the transferor and transferee records are compared first.

2. Transferee (EE) - stepping-in party

Regardless of the order of submission, the transferor and transferee records are compared first.

3. Remaining Party (RP) - constant party


Regardless of the order of submission, the remaining party record is not compared until the transferor and transferee records are compared and the relevant details are the same.

The transferee "EE" can accept the assignment submitted from either the Transferor or the Remaining Party by clicking on the cog icon  and select "ACCEPT".



The transferee will see the Assignment fields with the Submitter locked as "Transferee". If all the assignment details are correct, the Transferee can enter the "Trade Reference Number" and click "ACCEPT"

Once the Transferee accepts the trade, the trade status will now be “Matched” at both the Transferor and Transferee’s end.

The Remaining Party or Transferor will see the status as “Matched – Alleged”. To check on the trade, the party can click on the cog icon  and select “ACCEPT”.

The Assignment details will be shown. For the Remaining Party, if the details are correct and agreeable, the user needs to indicate the below and click on “ACCEPT”.

- New Trade Reference – the new reference number facing the new party “Transferee”.
- Participant Trade Reference Number Supplement – a unique identifier for the assignment.

[illegible]

Once the trade is matched, the Trade will now be “Confirmed”, and the TIW Registration Status and Warehouse Status will show as “Registered” and “Certain” respectively.

[illegible]

Note: The new trade between the Remaining Party and Transferee will have a new DTCC TRI.

4.10 Trade Status Definitions

STATUS	DEFINITION
Alleged	An alleged transaction is one that someone else has submitted naming your participant ID as a counterparty, which has not yet matched any of your transactions in the system exactly (or within the allowable tolerances)
Cancelled	This is an unconfirmed transaction that has been cancelled by the originating party
Confirmed	This is a transaction that has been submitted by all parties, which matches on all comparison fields within the allowed tolerances


Error	A transaction that cannot be validated according to the format or business rules. (DSMatch does not provide error codes with the reason for submission steps). Error codes are provided in the notifications window in TradeServ and show as pop-up notifications that can be clicked on to view trade specifics and allow editing if executed via capture.
Pending	This is the status given to any post-trade transaction when the underlying new trade is still in Unconfirmed status. Pending status also occurs when an assignment uses the reference number from its original trade and when there is an unconfirmed post-trade event for the original trade.
Pending-Alleged	This is the status the counterparty will see when a trade submitted by an originating party goes into Pending status
Unconfirmed	This is a transaction you have submitted which does not match any other transactions in the system exactly (or within the allowable tolerances)
Matched	This status is specific for a Novation (Assignment) when OR and EE have agreed and accepted the novation. Applicable to OR and EE only.
Matched-Alleged	Specific to a novation (Assignment) and applicable to RP only when both OR and EE are in matched state and have accepted the novation

5.0 Counterparty Directory

If a firm wishes to submit a trade but does not know the External ID of their counterparty, the firm can check in the Counterparty Directory in TradeServ. Users can search by Institution Name, Legal Entity/Business Unit Name and External ID. It is advisable to confirm with the counterparty on the External ID to be used before submitting a trade.



The full list of counterparty details can also be exported in a .csv file by clicking on the download

icon  and select “Export All Data...”.

6.0 User Reports

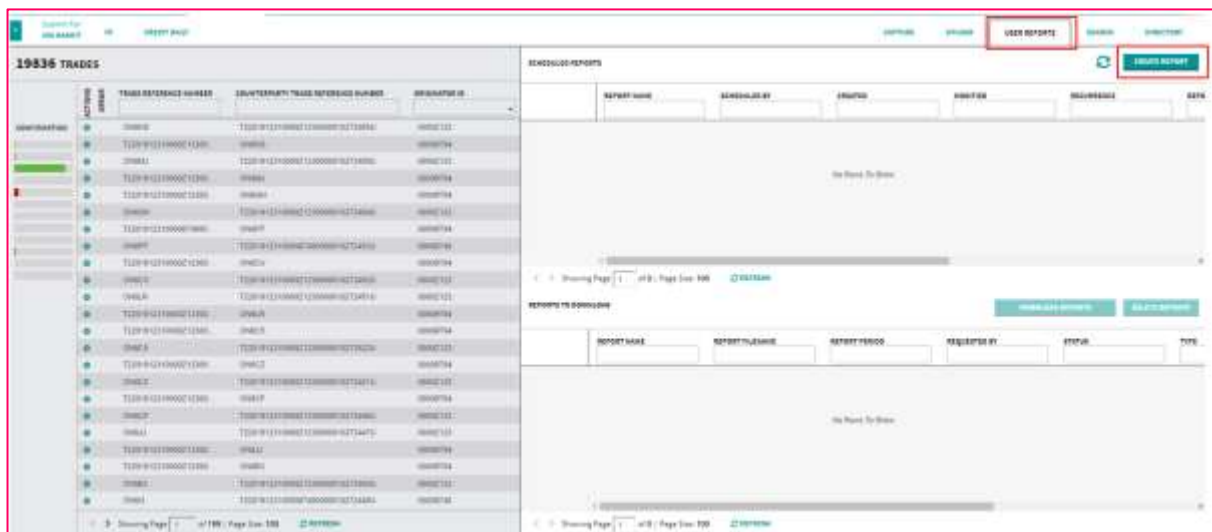
TradeServ and the TIW portal offer pre-canned user reports to fulfil firm's needs. Post the migration from DSMatch to TradeServ, the current available reports will be segregated to TradeServ specific reports and TIW specific reports. The following section will cover the report downloading functionality in TradeServ.

Note: Current existing user report scheduled/setup in DSMatch will not be migrated over to TradeServ. Users will need to go into the UI to set up new reports on Go Live date.

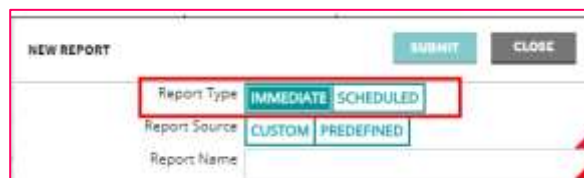
6.1 Generate and Download a User Report

To generate and download the user report from TradeServ, please follow the below steps:

1. In the Confirms App, select User Report on the top right-hand side of the screen. The User Report window will appear, and user should select "Create Report".



2. The user can select an Immediate report to be generated on an ad-hoc basis



3. There are two type of report source that can be generated.
 - a) Custom – The report will be generated based on the saved workspace for the user.

NEW REPORT

Report Type: IMMEDIATE SCHEDULED

Report Source: CUSTOM PREDEFINED

Workspace/Report

Report Name:

- 1 Credit Ping
- 1 Credit Confirmed
- 1 Credit Working tab
- 1 Credit daily
- 1 Credit Alleged pending

SUBMIT CLOSE

- b) Predefined – This will be the set of pre-canned reports from DSMatch that will be supported in TradeServ.

NEW REPORT

Report Type: IMMEDIATE SCHEDULED

Report Source: CUSTOM PREDEFINED

Workspace/Report

Report Name:

- 1 Activity Analysis Detail Report
- 1 Activity Summary
- 1 Aged Unconfirmed Detail Report
- 1 Aged Unconfirmed Summary Report
- 1 Alleged Best Match Report
- 1 Best Match Detail Report
- 1 C=C Raw Data Detail Report
- 1 Confirmed Position Reconciliation Report

SUBMIT CLOSE

4. Fill in the remaining applicable fields Once all the required fields are filled, the user can click the “SUBMIT” button.

- a) **Workspace/Report** – The Report being generated, if it's a Custom report it would be the workspace that the user is creating the report for. If it is a Pre-Defined report, the user would select from a dropdown list

CAPTURE UPLOAD USER REPORTS SEARCH DIRECTORY

NEW REPORT

Report Type: IMMEDIATE SCHEDULED

Report Source: CUSTOM PREDEFINED

Workspace/Report

Report Name:

- 1 FX_test
- 1 FX_DEMO
- 1 FX_BARC_DEMO
- 1 FX_14AUGDemo
- 1 Credit_Evidence2
- 1 Credit_Assignment
- 1 Credit_Training1
- 1 Credit_Allege1

SUBMIT CLOSE

name...

NEW REPORT SUBMIT CLOSE

Report Type IMMEDIATE SCHEDULED

Report Source CUSTOM PREDEFINED

Workspace/Report

Report Name

- C=C Raw Data Detail Report
- Confirmed Position Report
- Credit Daily Activity Report
- Credit Daily Activity Snapshot Report
- Credit Risk Report
- Daily GTR Error Report
- Disabled Credit Transactions Detail Report
- Full Position Report
- FX CCP Report

- b) **Report Name** – If it is a Custom report, the user would give a name to this report. If it was a Pre-Defined report, this field would be the same as the field above. If it is a Custom report, the user can hit submit to create this report

NEW REPORT SUBMIT CLOSE

Report Type IMMEDIATE SCHEDULED

Report Source CUSTOM PREDEFINED

Workspace/Report Credit_Assignment x

Report Name My Assignment Report

- c) **Functional Groups** – If it is a Pre-Defined report, the user would select the Functional Group that this report is being run for

The screenshot shows the 'NEW REPORT' form in the 'USER REPORTS' section. The form has the following fields and options:



- Report Type:** IMMEDIATE (selected), SCHEDULED
- Report Source:** CUSTOM (selected), PREDEFINED
- Workspace/Report:** Credit Daily Activity Report
- Report Name:** Credit Daily Activity Report
- Functional Groups:** Type to search (dropdown)
- Report Period:** Credit Functional Group, IHSMkt02Confirms, LCH TEST FG, TEST_SUPPORT_FG

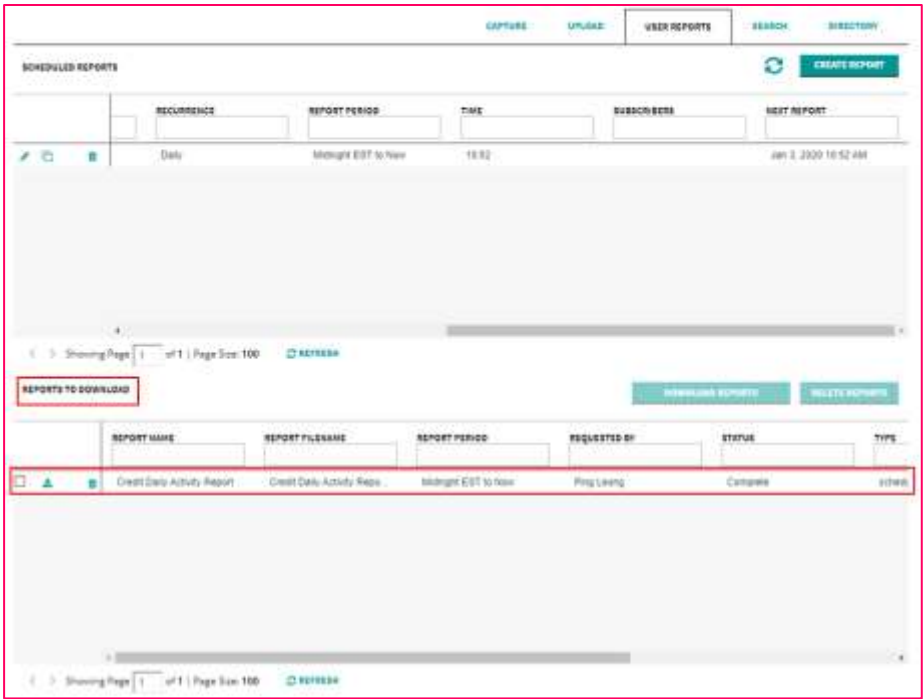
Buttons: SUBMIT, CLOSE

- d) **Report Period** – For certain Pre-Defined reports such as the Activity Report the user can select a certain period beyond the default value the report is run for (i.e., a Date Range). For certain reports such as the Full Position Report, it will be run for all Active Positions as of Report Date

The screenshot shows the 'NEW REPORT' form in the 'USER REPORTS' section. The 'Report Period' dropdown menu is open, showing the following options:

- Midnight EST to Now
- Midnight EST to Now
- Date Range...

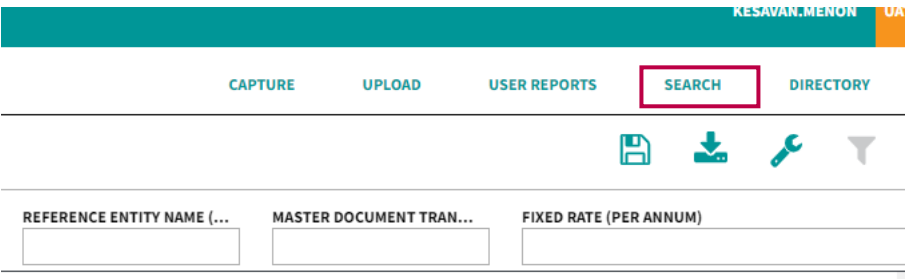
5. All the reports generated will appear in the "REPORTS TO DOWNLOAD" section. To download the report, click on the download icon . To delete the generated report, click on the trash can icon .




Note: The report will be auto deleted after 7 days.

6.2 GSD Reports

Users have the ability to generate a General Search Download (GSD) Report. A user would do this by clicking on the Search menu item on the upper right hand corner



From there the users would put their search criteria and select Search

 TradeServ

MY APPS ▾

CO

CONFIRMS ▾

NCM

NCM

AD

AD

>

Submit For
IHS MARKIT

CREDIT

CREDIT_FIRM

CREDIT_ASSIGNMENT

SEARCH BY FIELDS

FX

CREDIT

Originator ID

0000N6V2 (Scripted Test Account 1)

×

Originator

Type to search (min 2 characters)

▾

Documentation Type

▾

Underlying Documentation Type

▾

Master Document Transaction Type

Type to search

▾

Submission Date

▾

Product Type

CDS Index (CDX)

×

Sub Product Type

▾

Transaction Type

▾

Status

▾

Warehouse Status

Type to search

▾

Post Trade Transaction Date

📅

Trade Reference Number

🔍

Clearing Indicator

▾

EDIT FIELDS

SEARCH

RESET

Once the Search results come up, the user would select the downward arrow to export this workspace as a GSD File

The screenshot shows the TradeServ interface with the 'SEARCH' tab selected. Below the navigation bar, there are buttons for 'CAPTURE', 'UPLOAD', 'USER REPORTS', 'SEARCH', and 'DIRECTORY'. Under the 'SEARCH' tab, there are icons for 'CLEAR SELECTION', 'REGULATORY REPORTS', a download icon (highlighted with a red box), a wrench icon, and a funnel icon. Below these icons are input fields for 'R ANNUM)' and 'FLOATING RATE AMOUNT'.

The main content area displays a table of search results. The table has columns: 'ACTIONS', 'BEST MATCH %', 'ACTIVITY', 'SUBMISSION DATE', 'PRODUCT TYPE', 'TRADE REFERENCE NUMBER', and 'COUNTERPARTY TRADE REFERENCE NUMBER'. The table shows several rows of data, including 'CDS Index (CDI)' and 'CDS Index (CDI)'.

On the right side of the table, there is a dropdown menu with the following options: 'Export Current Page...', 'Export All Data...', and 'GSD - Export All Data...' (highlighted with a red box).

Once that is selected, the user would see a Notification that the file was produced and can click on it to download it

The screenshot shows a notification titled 'CONFIRMS - WORKSPACE'. It includes a 'CO' logo and the text 'SEARCH_KESAVAN.MENON_01JUN2022_19204'. Below this, it says 'Export is available for Download' and '01 JUN 2022, 19:21'.

Also, the user can obtain the file in the Notifications section under Confirms and click on it to download. The file will come as a .csv file

TradeServ **MY APPS** **CONFIRMS** **HCN** **ADMIN** **REGULATORY REPORTS** **RESUME MENON**

Submit Full PERMIT **CREDIT** **EXPORT_PEM** **CREDIT_ASSIGNMENT** **CAPTURE** **UPLOAD** **USER REPORTS** **SEARCH** **DIRECTORY**

[BACK TO SEARCH...](#) **NEW SELECTION** **REGULATORY REPORTS**

ACTIONS	BEST MATCH %	ACTIVITY	SUBMISSION DATE	PRODUCT TYPE	TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER
<input type="checkbox"/>		New	09/02/2022 01:36:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	04/08/2022 00:38:40	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_2	JSCCUMAT-PL-3-1_IDK_11896_2_20220802
<input type="checkbox"/>		New	05/01/2022 23:37:42	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_2	JSCCUMAT-PL-3-1_IDK_11896_2_20220802
<input type="checkbox"/>		New	04/08/2022 01:38:44	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	04/08/2022 00:38:40	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_2	JSCCUMAT-PL-3-1_IDK_11896_2_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_2	JSCCUMAT-PL-3-1_IDK_11896_2_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_1	JSCCUMAT-PL-3-1_IDK_80430_3_20220802
<input type="checkbox"/>		New	05/02/2022 01:38:36	CDS Index (CDR)	JSCCUMAT-PL-3-1_IDK_2	JSCCUMAT-PL-3-1_IDK_11896_2_20220802

Showing Page 1 of 100 | Page Size: 100 [REFRESH](#)

© 2022 THE MARKET... [REGULATIONS](#) [PRIVACY AND COOKIE POLICY](#) [CONTACT SALES](#) [CONTACT SUPPORT](#) [VERSION 1.0000102](#) 06/01/2022 18:30

NOTIFICATIONS ISSUED

CO CONFIRMS 1624 [Hide](#)

WORKSPACE

SEARCH_KESAVAN.MENON_01JUN2022_192043_T.CSV

Export is available for Download

01 JUN 2022, 19:21

7.0 Regulatory Reporting

For regulatory reporting in TradeServ, all trade data is reported unilaterally for certain regimes or reported by the reporting counterparty (RCP) on behalf of both parties for a bilateral regulatory reporting regime. This value can be calculated within TradeServ. However, users can also specify the jurisdiction on a trade-by-trade basis. All transaction types can trigger reports to the DTCC Global Trade Repository (GTR). Participants have the option to report via MarkitSERV.

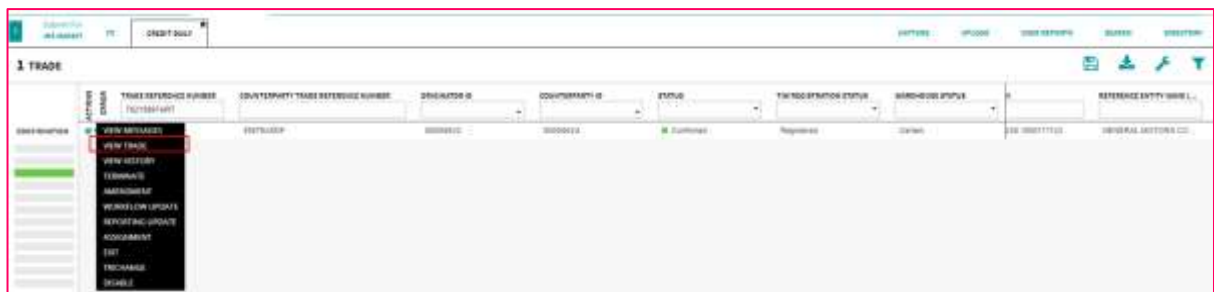
The reporting jurisdictions supported by TradeServ are CFTC, Canada, JFSA, ESMA, ASIC, MAS, SEC, FCA, MiFiD (Please note MiFiD fields are for data capture purposes only)


7.1 View Regulatory Reporting Details

If the firm elected for Regulatory Reporting via TradeServ, the platform can perform calculations and report the trade to the applicable jurisdiction without the firm required to input the reporting details manually.

To view the regulatory reporting of a trade, search for the trade and follow the below step.

1. Click on the cog icon  and select "VIEW TRADE".



2. The trade window will appear as per below. The regulatory reporting details are hidden by default; in the below section. To view the details, the user will need to click on plus icon  to open the window.



3. User can view the regulatory reporting status of the trade to the respective jurisdiction in the “REPORTING SUMMARY”. It will show the jurisdiction, reporting type and status. Below is an example of a successful reporting as the status of the report is “Delivered”. This means the reports sent were ACKd by the GTR

CAPTUREUPLOADUSER REPORTSSEARCHWISSETRY

View DetailsPRINT DETAILS

COMMON

TRADE INFORMATION

TRADE IDENTIFIERS

PRODUCT SPECIFIC FIELDS

REGULATORY REPORTING FIELDS

REPORTING IDENTIFIERS

REPORTING FIELDS

REPORTING LOCATION FIELDS

DEFAULTED REPORTING FIELDS

REPORTING SUMMARY

Reporting JurisdictionESMA

US/UTI PrefixB5ADFWC2C

US/UTI TRADESRV2019123069882603V38CV2

ESMA UTI PrefixB5ADFWC2C

ESMA UTI TRADESRV2019123069882603V38CV2

PCA UTI Prefix

PCA UTI

CFTC Reporting Counterparty

Canada Reporting Counterparty

Product Id PrefixISDA

Product Id CreditSingleNameCorporateStandardNorthAmericanCorporate


Jurisdiction	Pre-Confirmation / RST Reporting		Real Time Reporting		Confirmation Reporting	
	Status	Error	Status	Error	Status	Error
ESMA			N/A		Delivered	

COUNTERPARTY REGULATORY REPORTING FIELDS

WORKFLOW FIELDS

COUNTERPARTY WORKFLOW DETAILS

01/02/2020 01:12 ESTNOTIFICATIONS (25)

Below is an example of an unsuccessful reporting with an error. To view the error details, click the exclamation icon  .

The screenshot shows the 'View Details' window with the 'REGULATORY REPORTING FIELDS' section expanded. The 'Reporting Jurisdiction' dropdown is open, showing a list of jurisdictions including USA, UK, and others. A red box highlights an error message: 'The Confirmation Date/Time must be greater than or equal to Order Execution Timestamp when the Confirmation Date/Time is not equal date time to 1999-01-01T00:00:00Z'.

7.2 Manual Entry of Regulatory Reporting Details

If firms do not elect for auto calculation of regulatory reporting, the trade will not be reported automatically. Firms can opt to manually enter the regulatory reporting details within the trade.

Step:

1. After entering the trade details in trade capture, open the “REGULATORY REPORTING FIELDS” window as per below and select the Reporting Jurisdiction.

The screenshot shows the 'CAPTURE' window with the 'REGULATORY REPORTING FIELDS' section expanded. The 'Reporting Jurisdiction' dropdown is open, showing a list of jurisdictions including ASX, CME, and others. A red box highlights the 'REGULATORY REPORTING FIELDS' section.

- Click on “ADD REGULATORY REPORTING JURISDICTIONS”.

Reporting Jurisdiction: CPTC

SELECT A REPORTING JURISDICTION TO ADD IT TO THIS TRADE.

ADD REGULATORY REPORTING JURISDICTIONS

Reporting Jurisdiction: CPTC

SELECT A REPORTING JURISDICTION TO ADD IT TO THIS TRADE.

REMOVE ALL	Reporting Jurisdiction	Mandatory Clearing	Counterparty Risk Disclosure	Pre-Confirmation Report
X	CPTC	YES NO	YES NO	N/A

- Enter the reporting details in the relevant fields in Reporting Fields, Reporting Identifier, Reporting Location Fields as applicable and click “SUBMIT”.

Reporting Jurisdiction: CPTC

SELECT A REPORTING JURISDICTION TO ADD IT TO THIS TRADE.

REMOVE ALL	Reporting Jurisdiction	Mandatory Clearing	Counterparty Risk Disclosure	Pre-Confirmation Report
X	CPTC	YES NO	YES NO	N/A
X	ESMA	YES NO	YES NO	YES NO
X	CANADA	YES NO	YES NO	YES NO
X	ROK	YES NO	YES NO	YES NO
X	HSRQ	N/A	N/A	N/A
X	ASIC	YES NO	YES NO	YES NO
X	JPRA	YES NO	YES NO	YES NO
X	FINC	YES NO	YES NO	YES NO

REPORTING FIELDS

REPORTING IDENTIFIER

REPORTING LOCATION FIELDS

CPTC REPORTING FIELDS


CANADA REPORTING FIELDS

EUROPE REPORTING FIELDS

7.3 Reporting Update

If the user wishes to report a transaction or modify the reporting details after the trade is confirmed, this can be done via “Reporting Update”.

To perform a Reporting Update, search for the confirmed trade and follow the below steps:

- Click on the cog icon  and select “REPORTING UPDATE”.

The screenshot shows the 'TRADES' window with a table of trade records. A context menu is open over the first row, showing options like 'VIEW MESSAGES', 'VIEW TRADE', 'VIEW HISTORY', 'TERMINATE', 'FEE AMENDMENT', 'AMENDMENT', 'EXIT', 'TERCHARGE', 'ASSIGNMENT', 'DISABLE', 'WORKFLOW UPDATE', and 'REPORTING UPDATE'.

CONFIRMATION	TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	DESIGNATOR ID	COUNTERPARTY ID	STATUS	TW REGISTRATION STATUS	WORKFLOW STATUS
1	0000000000	TP00010000	00000000	00000000	Confirmed	Registered	Cancel
2	0000000000	TP00010000	00000000	00000000	Confirmed	Registered	Cancel
3	0000000000	TP00010000	00000000	00000000	Confirmed	Registered	Cancel

- The Regulatory Reporting fields window will appear as per below. The user can make the necessary modification (add/remove jurisdiction, modify reporting fields details, etc) and then click "SUBMIT".

The screenshot shows the 'Regulatory Reporting' window with various fields for reporting details. The 'Reporting Jurisdiction' section is expanded, showing a table of jurisdictions. The 'Reporting Fields' section is also expanded, showing fields for reporting details.

Reporting Jurisdiction	Mandatory Clearing	Counterparty Non-Disclosure	Pre-Confirmation Report
ESPA	YES	YES	YES

Reporting Fields:

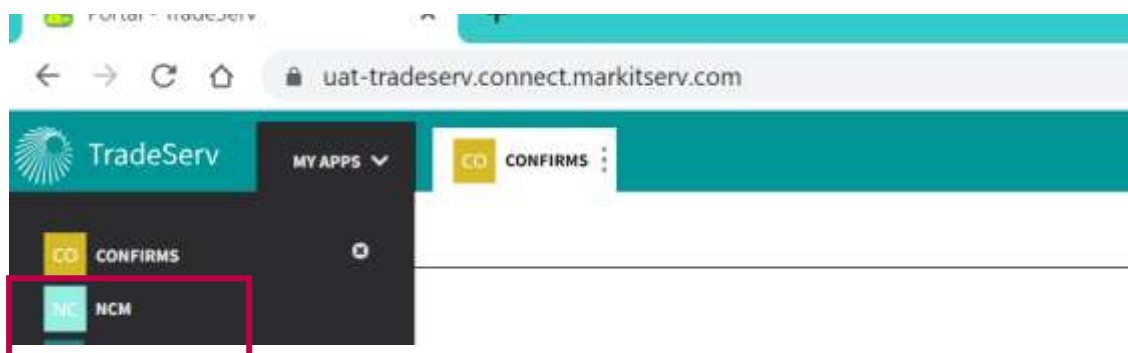
- Country ID: 00000000000000000000
- Instrument ID: 00000000000000000000
- Instrument Full Name: 00000000000000000000
- Company Trade Component ID: 00000000000000000000
- Execution Timestamp: 00000000000000000000
- Officer ID: 00000000000000000000
- Officer Name: 00000000000000000000
- Execution Venue: 00000000000000000000
- Execution Venue ID: 00000000000000000000
- Execution Venue Name: 00000000000000000000
- Execution Venue ID: 00000000000000000000
- Clearing SCD: YES
- Clearing Detail: YES
- Clearing Timestamp: 00000000000000000000

8.0 Novation Consent Setup

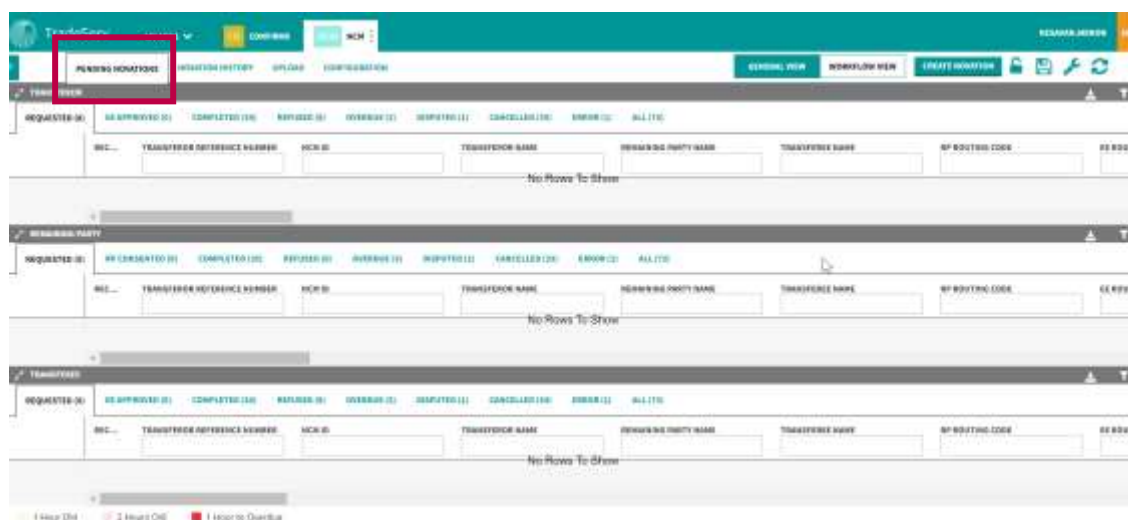
8.1 Accessing The Application

8.1.1 My Apps

The Novation Consent application is available for a user via the My Apps menu item. To access, a user would select My Apps on the Upper left hand corner of the GUI and select NCM



The default view is the Pending Novations tab



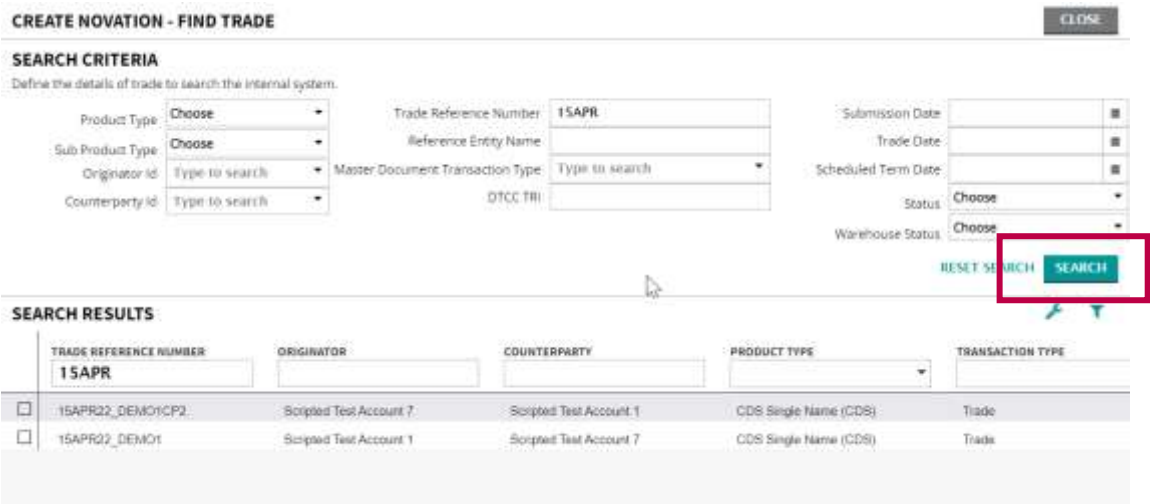
8.2 Novation Consent Actions

8.2.1 Creating a Novation

In order to start an NCM request, the Transferror (OR) in the Novation request would go to the Upper right hand corner of the NCM application and select Create Novation



Once this is selected, the OR would have to find the trade that they would want to novate. There are many search parameters that a user can use to find the trade, such as using the Trade Reference Number. Once the user puts in their parameter, they would select Search to find the trade



Once the trade comes up, the OR would select the trade they want novate by selecting the check box next to the trade and select Define Details

CREATE NOVATION - FIND TRADE CLOSE

SEARCH CRITERIA
Define the details of trade to search the internal system:

Product Type: Choose	Trade Reference Number: 15APR	Submission Date: <input type="text"/>
Sub Product Type: Choose	Reference Entry Name: <input type="text"/>	Trade Date: <input type="text"/>
Originator Id: Type to search	Master Document Transaction Type: Type to search	Scheduled Term Date: <input type="text"/>
Counterparty Id: Type to search	DTCC TR: <input type="text"/>	Status: Choose
		Warehouse Status: Choose

RESET SEARCH SEARCH

SEARCH RESULTS

	TRADE REFERENCE NUMBER	ORIGINATOR	COUNTERPARTY	PRODUCT TYPE	TRANSACTION TYPE
<input type="checkbox"/>	15APR22_DEMO1CP2	Scripted Test Account 7	Scripted Test Account 1	CDS Single Name (CDS)	Trade
<input checked="" type="checkbox"/>	15APR22_DEMO1	Scripted Test Account 1	Scripted Test Account 7	CDS Single Name (CDS)	Trade

Showing Page 1 of 1 | Page Size: 100

DEFINE DETAILS

Once the form comes up, the OR will need to put in the following information to create the Novation Consent request

- Transferee
- Novation Amount
- Payment Amount (can be 0)
- Payment Payer (Receiver will automatically default to the counterparty)
- The Payment Date will default to T+3 (taking into account Weekends and Holidays)

NOVATION DETAILS	
Transferor	0000N6V2 (Scripted Test Account 1) SELLER
Transferee	0000N6V9 (Scripted Test Account 8) ▼
Remaining Party	0000N6V8 (Scripted Test Account 7) BUYER
Old Notional Amount	8,000,000.00
Old Notional Currency	USD
Full Assignment	YES NO
TIW Available Notional Amount	8,000,000.00 (USD)
Novation Amount	2000000
Novation Currency	USD
Novation Trade Date	04/15/2022
Novation Effective Date	04/16/2022
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE APPLICABLE
Payment Amount	10000
Payment Currency	USD ▼
Payment Payer	0000N6V9 (Scripted Test Account 8) ▼
Payment Receiver	0000N6V2 (Scripted Test Account 1) ▼
Payment Date	04/21/2022
OR Routing Code	▼
Modified	Modify

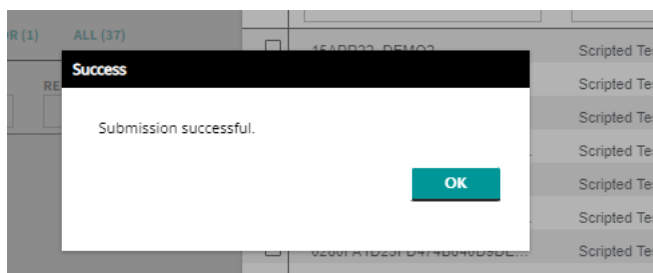
REQUIRED FIELD REVIEW

The OR would then hit Review to ensure that the information is correct, if they wish to change something they would select Define details, and if they are fine with it, they can select Submit

NOVATION DETAILS		
Transferor	0000N6V2 (Scripted Test Account 1)	SELLER
Transferee	0000N6V9 (Scripted Test Account 8) ▼	
Remaining Party	0000N6V8 (Scripted Test Account 7)	BUYER
Old Notional Amount	8,000,000.00	
Old Notional Currency	USD	
Full Assignment	YES <input type="checkbox"/> NO <input type="checkbox"/>	
TIW Available Notional Amount	8,000,000.00 (USD)	
Novation Amount	2000000	
Novation Currency	USD	
Novation Trade Date	04/15/2022	📅
Novation Effective Date	04/16/2022	📅
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE <input type="checkbox"/> APPLICABLE <input type="checkbox"/>	
Payment Amount	10000	
Payment Currency	USD ▼	
Payment Payer	0000N6V9 (Scripted Test Account 8) ▼	
Payment Receiver	0000N6V2 (Scripted Test Account 1) ▼	
Payment Date	04/21/2022	📅
OR Routing Code	▼	
Modified	Modify	

▲ REQUIRED FIELD
DEFINE DETAILS
SUBMIT

The OR will get a notification that the submission is successful



Note: Once an NCM request is executed, the novation amount of that NCM request is reserved in TradeServ and the TIW and can no longer be used for any Post Trade Event

8.2.2 Consent equals Confirmation or Consent Only

Once a request is submitted, it will be classified as either a Consent equals Confirmation request, or a Consent only request and is reflected in the Eligibility item on the request

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

COMMON

Originator ID

0000N6V8 (Scripted Test Account 7)

Counterparty ID

0000N6V9 (Scripted Test Account 8)

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220415.1000626916

NCM ID

NCM20220415.0006701316

Block Reference Number

Transferor Reference Number

15APR22_DEMO1

Transferor Supplement Number

S2022.0006701316

Remaining Party Reference Number

15APR22_DEMO1CP2

Remaining Party Supplement Number

T2022.0006701316

Remaining Party New Reference Number

15APR_RP

Transferee Reference Number

NOVATION DETAILS

Transferor

0000N6V2 (Scripted Test Account 1)

SELLER

Transferee

0000N6V9 (Scripted Test Account 8)

Remaining Party

0000N6V8 (Scripted Test Account 7)

BUYER

Remaining Party Two

0000N6V8 (Scripted Test Account 7)

Eligibility

Consent Equals Confirmation

MarkitWire Eligibility

False

Required field

ACCEPT

REFUSE

DISPUTE

8.2.3 Pending and Acting on Novations

Once the Novation was submitted, the request will show on the Pending Novation tab as Requested for all 3 parties on the request

From here, if the RP and EE entity is setup to action the request in NCM, they can bring up the request and action

To do that, the RP or EE would select the request via clicking on the 2 arrows to the left of the request

That would bring up the request and from there the user can approve by selecting the Accept button on the bottom. The user can optionally put in a Trade Reference number before they approve it and that will be represented on the new trade after the completion of the NCM request and the confirmation of the Assignment in TradeServ

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

COMMON

Originator ID

0000N6V8 (Scripted Test Account 7)

Counterparty ID

0000N6V9 (Scripted Test Account 8)

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220415.1000626916

NCM ID

NCM20220415.0006701316

Block Reference Number

Transferor Reference Number

15APR22_DEMO1

Transferor Supplement Number

S2022.0006701316

Remaining Party Reference Number

15APR22_DEMO1CP2

Remaining Party Supplement Number

T2022.0006701316

Remaining Party New Reference Number

15APR_RP

Transferee Reference Number

NOVATION DETAILS

Transferor

0000N6V2 (Scripted Test Account 1)

SELLER

Transferee

0000N6V9 (Scripted Test Account 8)

Remaining Party

0000N6V8 (Scripted Test Account 7)

BUYER

Remaining Party Two

0000N6V8 (Scripted Test Account 7)

Eligibility

Consent Equals Confirmation

MarkitWire Eligibility

False

Required field

ACCEPT

REFUSE

DISPUTE

If the RP approves before the EE in NCM, the request will go into the RP Consented tab



Please note the same process exists for the EE as it does for the RP above in terms of approving the request, and if the EE approves before the RP does on NCM, the request will go into the EE Approved tab for the EE and the OR





8.2.4 Completed Novation

Once an NCM request is approved by both the RP and the EE, the user will get a notification of completion



All three parties will see the NCM request on the Completed tab



If the request is a Consent equals Confirmation request, a confirmed assignment will be present in TradeServ after the completion of the NCM request

Note: In a C=C NCM request, once completed, the notional is no longer reserved for the original trade

TRADE ID	TRADE TYPE	ACTIVITY	DATE/TIME	PRODUCT TYPE	TRADE REFERENCE NUMBER	COUNTERPARTY TRADE REFERENCE NUMBER	TRANSACTION TYPE	STATUS
1423	Consent equals Confirmation	Trade	04/18/2022 06:59:13	CDX Single Name (CDX)	ISAPR22_000001	ISAPR22_000001CPC	Assignment	Completed
1424	Consent equals Confirmation	Trade	04/18/2022 06:59:13	CDX Single Name (CDX)	ISAPR22_000002	ISAPR22_000002CPC	Assignment	Completed
1425	Consent equals Confirmation	Trade	04/18/2022 06:59:13	CDX Single Name (CDX)	ISAPR22_000003	ISAPR22_000003CPC	Assignment	Completed
1426	Consent equals Confirmation	Trade	04/18/2022 06:59:13	CDX Single Name (CDX)	ISAPR22_000004	ISAPR22_000004CPC	Assignment	Completed

If the request is Consent only, only the OR request is in TradeServ and the RP and EE must complete the Assignment there

Note: In a Consent only NCM request, the notional for the NCM request is cancelled but the notional for the Assignment is reserved on the original trade



	REF ID	BUYER ROLE	ACTIVITY	SUBSCRIBER DATE	PRODUCT TYPE	TRADER REFERENCE NUMBER	COUNTERPARTY TRADER REFERENCE NUMBER	TRANSACTION TYPE	RTG ID
1	101-001	Transferor	Open	20101001 09:17:40	CCP Single Name (CCN)	NAF001_000001	NAF001_000001_00	Open/Trade	20101001-0917400001
2	101-001	Perceiving Party	Open	20101001 09:17:40	CCP Single Name (CCN)	NAF001_000001_00	NAF001_000001_00	Open/Trade	20101001-0917400001
3	101-001	Transferor	Open	20101001 09:17:40	CCP Single Name (CCN)	NAF001_000001	NAF001_000001	Open/Trade	20101001-0917400001

8.2.5 Disputing a Novation

The RP or EE can dispute a novation if they disagree with the parameters of it. To dispute, the RP or EE would bring up the Novation via clicking on the 2 lines to the left of the NCM request



Dispute	Dispute Type	Dispute Reason	Dispute Date	Dispute Status	Dispute Comment	Dispute Action	Dispute Date	Dispute Status	Dispute Comment
1	Dispute	Dispute	Dispute	Dispute	Dispute	Dispute	Dispute	Dispute	Dispute

Once it is up, the RP can dispute the Novation Details or CCP and the EE can dispute the Fee or the Novation details. They would dispute by selecting a Dispute Type and typing in a Dispute Reason and selecting Dispute

CONSENT REQUEST		COMPARE TO ORIGINAL	CLOSE
Novation Trade Date	04/17/2022		
Novation Effective Date	04/18/2022		
Full First Calculation Period Applicable (Y/N)	<input type="button" value="NOT APPLICABLE"/> <input type="button" value="APPLICABLE"/>		
Payment Amount	8,000.00		
Payment Currency	USD		
Payment Payer	0000N6V2 (Scripted Test Account 1)		
Payment Receiver	0000N6V9 (Scripted Test Account 8)		
Payment Date	04/20/2022		
OR Routing Code			
RP Routing Code			
EE Routing Code			
Mandatory Clearing Indicator	<input type="button" value="YES"/> <input type="button" value="NO"/>		
Clearing House			
Mid-Market Price			
Mid-Market Price - Type			
Modified			
OR Submission Date & Time	04/18/2022 14:17:16		
RP Submission Date & Time			
EE Submission Date / Time			
Due Date & Time	04/18/2022 18:00:00		
Expiry Date & Time	04/19/2022 17:00:00		
Auto Generate Novation Consent	True		
Last Updated By			
RP Dispute Reason			
EE Reject Message			
EE Dispute Type	Novation Details		
EE Dispute Reason	Wrong Notional		
Additional Comments			
+ PRODUCT SPECIFIC FIELDS			
+ REGULATORY REPORTING FIELDS			
+ REPORTING IDENTIFIERS			
+ REPORTING FIELDS			

Required field
ACCEPT
REFUSE
DISPUTE

Once the Novation is Disputed, the NCM request will go to the Disputed tab for all 3 parties

The screenshot displays the SAP 'Material Cost Estimate' (MCE) report for material 10000000000000000000. The report is organized into two main sections: 'Current Period' and 'Previous Period'. The 'Current Period' section is highlighted with a red box, and the 'Previous Period' section is also highlighted with a red box. The report includes columns for Material, Cost Center, Cost Type, and various cost components. The 'Current Period' cost estimate is 10000000000000000000, and the 'Previous Period' cost estimate is 10000000000000000000. The report also includes a 'Total' row at the bottom, which is highlighted with a red box.

Note: If the EE disputes the Fee, the NCM request will go into the Disputed tab for the EE and OR only. The RP is also able to dispute the CCP selected by the EE

8.2.6 Refusing a Novation

The RP or EE can refuse an NCM request. To refuse, the RP or EE would bring up the Novation via clicking on the 2 lines to the left of the NCM request



Once that is selected, the RP or EE can input a free form Reject message and select Refuse

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

MarketWire Eligibility	False
Transformer Unlock Indicator	False
Novation Amount	1,500,000.00
Novation Currency	USD
Novation Trade Date	04/17/2022
Novation Effective Date	04/18/2022
Full First Calculation Period Applicable (Y/N)	<input type="button" value="NOT APPLICABLE"/> <input type="button" value="APPLICABLE"/>
OR Routing Code	
RP Routing Code	
EE Routing Code	
Mandatory Clearing Indicator	<input type="button" value="YES"/> <input type="button" value="NO"/>
Clearing House	
Modified	
OR Submission Date & Time	04/18/2022 14:48:48
RP Submission Date & Time	
EE Submission Date / Time	
Due Date & Time	04/18/2022 18:00:00
Expiry Date & Time	04/19/2022 17:00:00
Auto Generate Novation Consent	True
Last Updated By	
RP Reject Message	Incorrect
RP Dispute Type	
RP Dispute Reason	
EE Dispute Type	
EE Dispute Reason	
Additional Comments	

+ PRODUCT SPECIFIC FIELDS

+ REGULATORY REPORTING FIELDS

+ REPORTING IDENTIFIERS

+ REPORTING FIELDS

+ REPORTING LOCATION FIELDS

+ CFTC REPORTING FIELDS

Required field

ACCEPT

REFUSE

DISPUTE

Once that is selected, the NCM request goes to the Refused tab for all 3 parties

[illegible]

8.2.7 Modifying a Request

The OR can modify any Disputed, Refused or Requested NCM submission. To accomplish this, the OR would bring up the request, change a parameter of the submission (i.e., the Novated Amount or Fee Details and select Modify

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

COMMON

Originator ID

0000N6V2 (Scripted Test Account 1)

Counterparty ID

0000N6V8 (Scripted Test Account 7)

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220415.1000626916

NCM ID

NCM20220418.0006701322

Block Reference Number

Transferor Reference Number

15APR22_DEMO1

Transferor Supplement Number

S2022.0006701322

Remaining Party Reference Number

15APR22_DEMO1CP2

Remaining Party Supplement Number

T2022.0006701322

Remaining Party New Reference Number

Transferee Reference Number

NOVATION DETAILS

Transferor

0000N6V2 (Scripted Test Account 1)

SELLER

Transferee

0000N6V9 (Scripted Test Account 8)

Remaining Party

0000N6V8 (Scripted Test Account 7)

BUYER

Remaining Party Two

0000N6V8 (Scripted Test Account 7)

Eligibility

Consent Equals Confirmation

Novation Amount

2500000

Novation Currency

USD

Novation Trade Date

04/17/2022

Novation Effective Date

04/18/2022

Full First Calculation Period Applicable (Y/N)

NOT APPLICABLE

APPLICABLE

Payment Amount

8000.00

Payment Currency

USD

Payment Payer

0000N6V2 (Scripted Test Account 1)

Payment Receiver

0000N6V9 (Scripted Test Account 8)

Payment Date

04/20/2022

OR Routing Code

RP Routing Code

Required field

CANCEL

MODIFY

Once the request is modified, it will go back to the Requested tab for all three parties (or stay in the Requested tab if it was not Disputed or Refused)





If a request is modified, the RP or EE can bring up the NCM request and select Compare to Original to determine the difference in the request from the original one

CONSENT REQUEST

COMPARE TO ORIGINAL
CLOSE

COMMON

Originator ID

0000N6V8 (Scripted Test Account 7)

Counterparty ID

0000N6V9 (Scripted Test Account 8)

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220415.1000626916

NCM ID

NCM20220418.0006701322

Block Reference Number

Transferor Reference Number

15APR22_DEMO1

Transferor Supplement Number

S2022.0006701322

Remaining Party Reference Number

15APR22_DEMO1CP2

Remaining Party Supplement Number

T2022.0006701322

Remaining Party New Reference Number

Transferee Reference Number

NOVATION DETAILS

Transferor

0000N6V2 (Scripted Test Account 1)

SELLER

Transferee

0000N6V9 (Scripted Test Account 8)

Remaining Party

0000N6V8 (Scripted Test Account 7)

BUYER

Remaining Party Two

0000N6V8 (Scripted Test Account 7)

Eligibility

Consent Equals Confirmation

MarketWire Eligibility

False

Transformer Unlock Indicator

False

Novation Amount

2,500,000.00

Novation Currency

USD

Novation Trade Date

04/17/2022

Novation Effective Date

04/18/2022

CONSENT REQUEST
CLOSE

COMPARE TO ORIGINAL

VIEW DETAILS

Field Name	Original Value	Current Value
Novation Amount	1000000.00	2500000.00

Note: If the modification of an NCM request has a new novation amount, that amount will be reserved in TradeServ and the TIW

8.2.8 Resubmitting a Request

The OR can resubmit a request that has been refused by bringing up the request and selecting Resubmit

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

COMMON	
Originator ID	0000N6V2 (Scripted Test Account 1)
Counterparty ID	0000N6V8 (Scripted Test Account 7)
+ TRADE INFORMATION	
- TRADE IDENTIFIERS	
DTCC TRI	20220415.1000626916
NCM ID	NCM20220418.0006701322
Block Reference Number	
Transferor Reference Number	15APR22_DEMO1
Transferor Supplement Number	S2022.0006701322
Remaining Party Reference Number	15APR22_DEMO1CP2
Remaining Party Supplement Number	T2022.0006701322
Remaining Party New Reference Number	
Transferee Reference Number	
- NOVATION DETAILS	
Transferor	0000N6V2 (Scripted Test Account 1) SELLER
Transferee	0000N6V9 (Scripted Test Account 8) ▼
Remaining Party	0000N6V8 (Scripted Test Account 7) BUYER
Remaining Party Two	0000N6V8 (Scripted Test Account 7) ▼
Eligibility	Consent Equals Confirmation
Novation Amount	2750000.00
Novation Currency	USD
Novation Trade Date	04/17/2022 📅
Novation Effective Date	04/18/2022 📅
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE APPLICABLE
Payment Amount	8000.00
Payment Currency	USD ▼
Payment Payer	0000N6V2 (Scripted Test Account 1) ▼
Payment Receiver	0000N6V9 (Scripted Test Account 8) ▼
Payment Date	04/20/2022 📅
OR Routing Code	▼
RP Routing Code	▼

Required field

RESUBMIT

CANCEL

MODIFY

This puts the NCM request back in the Requested tab for all three parties





8.2.9 Cancelling a Request

The OR can also cancel a request by bringing up the NCM request and selecting the Cancel button

CONSENT REQUEST

COMPARE TO ORIGINAL

CLOSE

COMMON

Originator ID

0000N6V2 (Scripted Test Account 1)

Counterparty ID

0000N6V8 (Scripted Test Account 7)

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220418.1000629249

NCM ID

NCM20220418.0006701325

Block Reference Number

Transferor Reference Number

15APR22_DEMO2

Transferor Supplement Number

S2022.0006701325

Remaining Party Reference Number

15APR22DEMO2_CP

Remaining Party Supplement Number

T2022.0006701325

Remaining Party New Reference Number

Transferee Reference Number

NOVATION DETAILS

Transferor

0000N6V2 (Scripted Test Account 1)

SELLER

Transferee

0000N6V9 (Scripted Test Account 8)

Remaining Party

0000N6V8 (Scripted Test Account 7)

BUYER

Remaining Party Two

0000N6V8 (Scripted Test Account 7)

Eligibility

Consent Only

Novation Amount

1500000.00

Novation Currency

USD

Novation Trade Date

04/17/2022

Novation Effective Date

04/18/2022

Full First Calculation Period Applicable (Y/N)

NOT APPLICABLE

APPLICABLE

Payment Amount

16875.00

Payment Currency

USD

Payment Payer

0000N6V2 (Scripted Test Account 1)

Payment Receiver

0000N6V9 (Scripted Test Account 8)

Payment Date

04/20/2022

OR Routing Code

RP Routing Code

Required field

RESUBMIT

CANCEL

MODIFY

The NCM request would go into the Cancelled tab for all three parties



[illegible]

Note: Once an NCM request is cancelled, the novation amount of that request is no longer reserved in TradeServ and the TIW

8.2.10 Undisputing a Request

If either the RP or EE disputed a request, they can Undispute it by bringing up the request and selecting the Undispute button

CONSENT REQUEST		COMPARE TO ORIGINAL	CLOSE
COMMON			
Originator ID	0000N6V8 (Scripted Test Account 7)		
Counterparty ID	0000N6V9 (Scripted Test Account 8)		
+ TRADE INFORMATION			
- TRADE IDENTIFIERS			
DTCC TRI	20220415.1000626916		
NCM ID	NCM20220418.0006701322		
Block Reference Number			
Transferor Reference Number	15APR22_DEMO1		
Transferor Supplement Number	S2022.0006701322		
Remaining Party Reference Number	15APR22_DEMO1CP2		
Remaining Party Supplement Number	T2022.0006701322		
Remaining Party New Reference Number			
Transferee Reference Number			
- NOVIATION DETAILS			
Transferor	0000N6V2 (Scripted Test Account 1)	SELLER	
Transferee	0000N6V9 (Scripted Test Account 8)		
Remaining Party	0000N6V8 (Scripted Test Account 7)	BUYER	
Remaining Party Two	0000N6V8 (Scripted Test Account 7)		
Eligibility	Consent Equals Confirmation		
MarkitWire Eligibility	False		
Transformer Unlock Indicator	False		
Novation Amount	2,750,000.00		
Novation Currency	USD		
Novation Trade Date	04/17/2022		
Novation Effective Date	04/18/2022		
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE <input type="button" value="APPLICABLE"/>		
OR Routing Code			
RP Routing Code			
EE Routing Code			
Mandatory Clearing Indicator	YES <input type="button" value="NO"/>		
Clearing House			

Required field

Once this action is taken, the NCM submission will be on the Requested tab for all three parties



8.2.11 Block Novations

An OR can find 2 or more trades to novate via a Block Novation. To accomplish this, a user would search for the trades, select them and select Block Novate

CREATE NOVATION - FIND TRADE

CLOSE

SEARCH CRITERIA

Define the details of trade to search the internal system.

Product Type

Choose

Trade Reference Number

S119

Submission Date

Sub Product Type

Choose

Reference Entity Name

Trade Date

Originator ID

Type to search

Master Document Transaction Type

Type to search

Scheduled Term Date

Counterparty ID

Type to search

OTCC TRI

Status

Choose

Warehouse Status

Choose

RESET SEARCH

SEARCH

SEARCH RESULTS

TRADE REFERENCE NUMBER

S119

ORIGINATOR

COUNTERPARTY

PRODUCT TYPE

TRANSACTION TYPE

<input type="checkbox"/>	S119_TEST_PARTY_B_2	TradeServ Bank 1 LE3	TradeServ End User LE1	CDS Single Name (CDS)	Trade
<input type="checkbox"/>	S119_TEST_PARTY_B_1	TradeServ Bank 1 LE3	TradeServ End User LE1	CDS Single Name (CDS)	Trade
<input checked="" type="checkbox"/>	S119_TEST_PARTY_A_2	TradeServ End User LE1	TradeServ Bank 1 LE3	CDS Single Name (CDS)	Trade
<input checked="" type="checkbox"/>	S119_TEST_PARTY_A_1	TradeServ End User LE1	TradeServ Bank 1 LE3	CDS Single Name (CDS)	Trade
<input type="checkbox"/>	11596AD988BA405FA8F12AF...	Scripted Test Account 8	Scripted Test Account 7	CDS Index (CDX)	Trade
<input type="checkbox"/>	11596AD988BA405FA8F12AF...	Scripted Test Account 7	Scripted Test Account 8	CDS Index (CDX)	Trade

Showing Page 1 of 1 | Page Size: 100

BLOCK NOVATE

REFINE DETAILS

When performing a Block Novation, the OR would fill in the same information as they would for a Single NCM request, however, they can either have the same information for all the trades they wish to Novate (via selecting the Apply to All Trades checkbox)

KESAVAN.MENON UAT

DEFINE DETAILS CLOSE

*Novation Details are unique for each request, please select a trade below and enter the specific values for that request.

	REFERENCE #	DTCC TRI
	5119_TEST_PARTY_A_2	20220418.1000629468
	5119_TEST_PARTY_A_1	20220418.1000629469

COMMON

Originator ID

0000U5T3 (TradeServ End User LE1)

Counterparty ID

0000U6X9 (TradeServ Bank 1 LE3)

+ TRADE INFORMATION

- TRADE IDENTIFIERS

DTCC TRI

20220418.1000629468

Block Reference Number

Trade Reference Number

5119_TEST_PARTY_A_2

Trade Reference Number Supplement

- NOVATION DETAILS

☒ Apply To All Trades

Transferor

0000U5T3 (TradeServ End User LE1)

BUYER

Transferee

Type to search

Remaining Party

0000U6X9 (TradeServ Bank 1 LE3)

SELLER

Floating Rate Amount

71,000,000.00

Old Notional Currency

EUR

Full Assignment

YES NO

Novation Amount

Novation Currency

EUR

Novation Trade Date

04/18/2022

Novation Effective Date

04/19/2022

Full First Calculation Period Applicable (Y/N)

NOT APPLICABLE APPLICABLE

Payment Amount

Payment Currency

EUR

Alternatively, the OR can put in the Transferee, Novation Amount and Payment information for the first trade highlighted and uncheck the box, Apply to All Trades

DEFINE DETAILS

CLOSE

*Novation Details are unique for each request, please select a trade below and enter the specific values for that request.

	REFERENCE #	DTCC TRI
	5119_TEST_PARTY_A_2	20220418.1000629468
	5119_TEST_PARTY_A_1	20220418.1000629469

+ TRADE INFORMATION

- TRADE IDENTIFIERS

DTCC TRI

20220418.1000629468

Block Reference Number

Trade Reference Number

5119_TEST_PARTY_A_2

Trade Reference Number Supplement

- NOVATION DETAILS

☐ Apply To All Trades

Transferor

0000UST3 (TradeServ End User LE1)

BUYER

Transferee

0000U6X8 (TradeServ Bank 2 LE3)

Remaining Party

0000U6X9 (TradeServ Bank 1 LE3)

SELLER

Floating Rate Amount

71,000,000.00

Old Notional Currency

EUR

Full Assignment

YES NO

Novation Amount

10000000

Novation Currency

EUR

Novation Trade Date

04/18/2022

Novation Effective Date

04/19/2022

Full First Calculation Period Applicable (Y/N)

NOT APPLICABLE APPLICABLE

Payment Amount

5000

Payment Currency

EUR

Payment Payer

0000UST3 (TradeServ End User LE1)

Payment Receiver

0000U6X8 (TradeServ Bank 2 LE3)

Payment Date

04/21/2022

OR Routing Code

Modified

New

REQUIRED FIELD

REVIEW

Select Review and put in the Transferee, Novation Amount and Fee information for the next trade highlighted

DEFINE DETAILS
CLOSE

*Novation Details are unique for each request, please select a trade below and enter the specific values for that request.

	REFERENCE #	DTCC TRI
	5119_TEST_PARTY_A_2	20220418.1000629468
	5119_TEST_PARTY_A_1	20220418.1000629469

+ TRADE INFORMATION

- TRADE IDENTIFIERS

DTCC TRI: 20220418.1000629469
Block Reference Number:
Trade Reference Number: 5119_TEST_PARTY_A_1
Trade Reference Number Supplement:

- NOVATION DETAILS

☐ Apply To All Trades
Transferor: 0000U5T3 (TradeServ End User LE1) BUYER
Transferee: 0000U6X8 (TradeServ Bank 2 LE3)
Remaining Party: 0000U6X9 (TradeServ Bank 1 LE3) SELLER
Floating Rate Amount: 75,000,000.00
Old Notional Currency: EUR
Full Assignment: YES NO
Novation Amount: 12000000
Novation Currency: EUR
Novation Trade Date: 04/18/2022
Novation Effective Date: 04/19/2022
Full First Calculation Period Applicable (Y/N): NOT APPLICABLE APPLICABLE
Payment Amount: 8000
Payment Currency: EUR
Payment Payer: 0000U5T3 (TradeServ End User LE1)
Payment Receiver: 0000U6X8 (TradeServ Bank 2 LE3)
Payment Date: 04/21/2022
OR Routing Code:
Modified: New

REQUIRED FIELD
REVIEW

Once the last trade has its information filled in, the user would select Review each trade and have the ability to Review the Details of each submission before selecting Submit

REVIEW DETAILS

CLOSE

*Novation Details are unique for each request, please select a trade below and enter the specific values for that request.

REFERENCE #	DTCC TRI
5119_TEST_PARTY_A_2	20220418.1000629468
5119_TEST_PARTY_A_1	20220418.1000629469

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI	20220418.1000629468
Block Reference Number	
Trade Reference Number	5119_TEST_PARTY_A_2
Trade Reference Number Supplement	

NOVATION DETAILS

☐ Apply To All Trades

Transferor	0000U5T3 (TradeServ End User LE1)	BUYER
Transferee	0000U6X8 (TradeServ Bank 2 LE3)	
Remaining Party	0000U6X9 (TradeServ Bank 1 LE3)	SELLER
Floating Rate Amount	71,000,000.00	
Old Notional Currency	EUR	
Full Assignment	YES NO	
Novation Amount	10000000	
Novation Currency	EUR	
Novation Trade Date	04/18/2022	
Novation Effective Date	04/19/2022	
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE APPLICABLE	
Payment Amount	5000	
Payment Currency	EUR	
Payment Payer	0000U5T3 (TradeServ End User LE1)	
Payment Receiver	0000U6X8 (TradeServ Bank 2 LE3)	
Payment Date	04/21/2022	
OR Routing Code		
Modified	New	

REQUIRED FIELD

DEFINE DETAILS

SUBMIT

REVIEW DETAILS

CLOSE

*Novation Details are unique for each request, please select a trade below and enter the specific values for that request.

REFERENCE #	DTCC TRI
5119_TEST_PARTY_A_2	20220418.1000629468
5119_TEST_PARTY_A_1	20220418.1000629469

TRADE INFORMATION

TRADE IDENTIFIERS

DTCC TRI

20220418.1000629469

Block Reference Number

Trade Reference Number

5119_TEST_PARTY_A_1

Trade Reference Number Supplement

NOVATION DETAILS

☐ Apply To All Trades

Transferor

0000U5T3 (TradeServ End User LE1)

BUYER

Transferee

0000U6X8 (TradeServ Bank 2 LE3)

Remaining Party

0000U6X9 (TradeServ Bank 1 LE3)

SELLER

Floating Rate Amount

75,000,000.00

Old Notional Currency

EUR

Full Assignment

YES NO

Novation Amount

12000000

Novation Currency

EUR

Novation Trade Date

04/18/2022

Novation Effective Date

04/19/2022

Full First Calculation Period Applicable (Y/N)

NOT APPLICABLE APPLICABLE

Payment Amount

8000

Payment Currency

EUR

Payment Payer

0000U5T3 (TradeServ End User LE1)

Payment Receiver

0000U6X8 (TradeServ Bank 2 LE3)

Payment Date

04/21/2022

OR Routing Code

Modified

New

REQUIRED FIELD

DEFINE DETAILS

SUBMIT

The OR would then hit Submit and the individual requests would be in Pending Novations

[illegible]

Inventory									
Inventory (1)									
	Item	Description	Quantity	Unit	Location	Quantity	Unit	Location	Quantity
	1	ITEM 1	1000	kg	Location 1	1000	kg	Location 1	1000
	2	ITEM 2	2000	kg	Location 2	2000	kg	Location 2	2000
	3	ITEM 3	3000	kg	Location 3	3000	kg	Location 3	3000
	4	ITEM 4	4000	kg	Location 4	4000	kg	Location 4	4000
	5	ITEM 5	5000	kg	Location 5	5000	kg	Location 5	5000
	6	ITEM 6	6000	kg	Location 6	6000	kg	Location 6	6000
	7	ITEM 7	7000	kg	Location 7	7000	kg	Location 7	7000
	8	ITEM 8	8000	kg	Location 8	8000	kg	Location 8	8000
	9	ITEM 9	9000	kg	Location 9	9000	kg	Location 9	9000
	10	ITEM 10	10000	kg	Location 10	10000	kg	Location 10	10000

8.2.12 4 Way Novations

The RP has the ability to select an RP2 in their acceptance of an NCM request, which would create a 4 Way Novation (i.e., the old trade is between an OR and RP1 and the new trade is between an EE and an RP2)

In order to add the RP2, an RP would bring up the request via clicking on the 2 lines to the left of the request

The screenshot shows the SAP 'Business Partner' (BP) display screen. The 'BP' field is highlighted with a red box. The screen displays various fields for the business partner, including name, address, and contact information. The 'BP' field is currently empty, and the 'BP' button is highlighted.

When the request comes up, the RP would remove the value in the Remaining Party Two tab and type in and select the RP2 they wish to add. They are able now to accept the NCM request and it will go to the RP Consented tab for the RP if they accept before the EE

Transferee Reference Number	
- NOVATION DETAILS	
Transferor	0000U5T3 (TradeServ End User LE1) BUYER
Transferee	0000U6X8 (TradeServ Bank 2 LE3) ▼
Remaining Party	0000U6X9 (TradeServ Bank 1 LE3) SELLER
Remaining Party Two	0000U6X9 (TradeServ Bank 1 LE3) ▼
Eligibility	Consent Equals Confirmation
MarketWire Eligibility	False
Transformer Unlock Indicator	False
Novation Amount	62,000,000.00
Novation Currency	EUR
Novation Trade Date	05/24/2022 📅
Novation Effective Date	05/25/2022 📅
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE APPLICABLE
OR Routing Code	▼
RP Routing Code	▼
EE Routing Code	▼
Mandatory Clearing Indicator	YES NO
Clearing House	▼

Required field
ACCEPT
REFUSE
DISPUTE

NOVATION DETAILS		
Transferor	0000U5T3 (TradeServ End User LE1)	BUYER
Transferee	0000U6X8 (TradeServ Bank 2 LE3)	
Remaining Party	0000U6X9 (TradeServ Bank 1 LE3)	SELLER
Remaining Party Two	Type to search	
Eligibility	0000U5T0 (TradeServ Bank1 LE2)	
MarketWire Eligibility	False	
Transformer Unlock Indicator	False	
Novation Amount	62,000,000.00	
Novation Currency	EUR	
Novation Trade Date	05/24/2022	
Novation Effective Date	05/25/2022	
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE	APPLICABLE
OR Routing Code		
RP Routing Code		
EE Routing Code		
Mandatory Clearing Indicator	YES NO	
Clearing House		

▲ Required field
ACCEPT
REFUSE
DISPUTE

8.2.13 EE2

The EE has the ability to select a different EE than what is selected by the OR in the original NCM submission. The new trade would be between the RP and the EE2

In order to add the EE2, an EE would bring up the request via clicking on the 2 lines to the left of the request



When the request comes up, the EE would remove the value in the Transferee tab and type in and select the EE2 they wish to add. They are able now to accept the NCM request and it will go to the EE Approved tab for the EE if they accept before the RP

NOVATION DETAILS	
Transferor	0000UST3 (TradeServ End User LE1)
Transferee	0000U6X8 (TradeServ Bank 2 LE3) BUYER
Remaining Party	0000U6X9 (TradeServ Bank 1 LE3) SELLER
Remaining Party Two	0000U6X9 (TradeServ Bank 1 LE3)
Eligibility	Consent Equals Confirmation
MarkitWire Eligibility	False
Transformer Unlock Indicator	False
Novation Amount	60,000,000.00
Novation Currency	USD
Novation Trade Date	05/24/2022
Novation Effective Date	05/25/2022
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE <input type="checkbox"/> APPLICABLE <input type="checkbox"/>
Payment Amount	12,000.00
Payment Currency	USD
Payment Payer	0000U6X8 (TradeServ Bank 2 LE3)
Payment Receiver	0000UST3 (TradeServ End User LE1)
Payment Date	05/30/2022

Required field
ACCEPT
REFUSE
DISPUTE

NOVATION DETAILS	
Transferor	0000UST3 (TradeServ End User LE1)
Transferee	<input type="text" value="Type to search"/> BUYER
Remaining Party	0000UST1 (TradeServ Bank2 LE1) SELLER
Remaining Party Two	0000U6X9 (TradeServ Bank 1 LE3)
Eligibility	Consent Equals Confirmation
MarkitWire Eligibility	False
Transformer Unlock Indicator	False
Novation Amount	60,000,000.00
Novation Currency	USD
Novation Trade Date	05/24/2022
Novation Effective Date	05/25/2022
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE <input type="checkbox"/> APPLICABLE <input type="checkbox"/>
Payment Amount	12,000.00
Payment Currency	USD
Payment Payer	0000U6X8 (TradeServ Bank 2 LE3)
Payment Receiver	0000UST3 (TradeServ End User LE1)
Payment Date	05/30/2022


Required field
ACCEPT
REFUSE
DISPUTE

8.2.14 Adding a CCP to Request

The EE has the ability to add a CCP to the request which will allow the new trade that will be created as a result of the assignment to be sent for clearing

In order to add the CCP, the EE would bring up the trade as above, go to the Clearing House field and select one of the three Clearing houses available (ICE Clear Credit; ICE Clear Europe and LCHSA)

OR Routing Code	
RP Routing Code	
EE Routing Code	
Mandatory Clearing Indicator	YES NO
Clearing House	
Mid-Market Price	ICEClearCredit
Mid-Market Price - Type	ICEClearEurope
Modified	LCHSA
OR Submission Date & Time	05/25/2022 19:53:08
RP Submission Date & Time	
EE Submission Date / Time	
Due Date & Time	05/25/2022 18:00:00
Expiry Date & Time	05/26/2022 17:00:00
Auto Generate Novation Consent	True
Last Updated By	
RP Dispute Reason	
EE Reject Message	
EE Dispute Type	
EE Dispute Reason	
Additional Comments	
DUCT SPECIFIC FIELDS	
JLATORY REPORTING FIELDS	
ORTING IDENTIFIERS	
ORTING FIELDS	

 Required field
 ACCEPT
REFUSE
DISPUTE

Once the EE makes the selection, they would hit Accept, if the RP has not accepted, the RP would accept with the Clearing House information, the NCM request would be completed and the new trade would go for clearing

The RP can dispute the Clearing details and if that is done, the RP would put in a Dispute reason trade would go back to the Requested tab, the EE would change the Clearing House, the RP could accept and the NCM request would be completed

Mandatory Clearing Indicator	YES NO
Clearing House	ICEClearCredit
Modified	
OR Submission Date & Time	05/25/2022 19:53:08
RP Submission Date & Time	
EE Submission Date / Time	05/25/2022 19:55:34
Due Date & Time	05/25/2022 18:00:00
Expiry Date & Time	05/26/2022 17:00:00
Auto Generate Novation Consent	True
Last Updated By	
RP Reject Message	
RP Dispute Type	
RP Dispute Reason	Clearing Dispute
EE Dispute Type	Novation Details
EE Dispute Reason	
Additional Comments	
+ PRODUCT SPECIFIC FIELDS	
+ REGULATORY REPORTING FIELDS	

Required field ACCEPT REFUSE DISPUTE

RP Routing Code	
EE Routing Code	
Mandatory Clearing Indicator	YES NO
Clearing House	ICEClearCredit
Modified	
OR Submission Date & Time	05/25/2022 19:53:08
RP Submission Date & Time	
EE Submission Date / Time	05/25/2022 19:55:34
Due Date & Time	05/25/2022 18:00:00
Expiry Date & Time	05/26/2022 17:00:00
Auto Generate Novation Consent	True
Last Updated By	
RP Reject Message	
RP Dispute Type	Clearing Dispute
RP Dispute Reason	Wrong
EE Dispute Type	
EE Dispute Reason	
Additional Comments	
+ PRODUCT SPECIFIC FIELDS	
+ REGULATORY REPORTING FIELDS	

Required field ACCEPT REFUSE DISPUTE

8.3 Novation Consent GUI

8.3.1 Orange and Yellow Requests

Requests that are 1 hour old will turn a pale yellow color in the Requested tab and requests that are 2 hours old or more, will turn a pale orange color in the Requested tab

Request ID	Status	Requester Name	Requester Email	Requester Phone	Requester Address	Requester City	Requester State	Requester Zip	Requester Country	Requester Date	Requester Time	Requester Product	Requester Price	Requester Quantity	Requester Total
10000000000000000000	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000001	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000002	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000003	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000004	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000005	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000006	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000007	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000008	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000009	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000010	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00

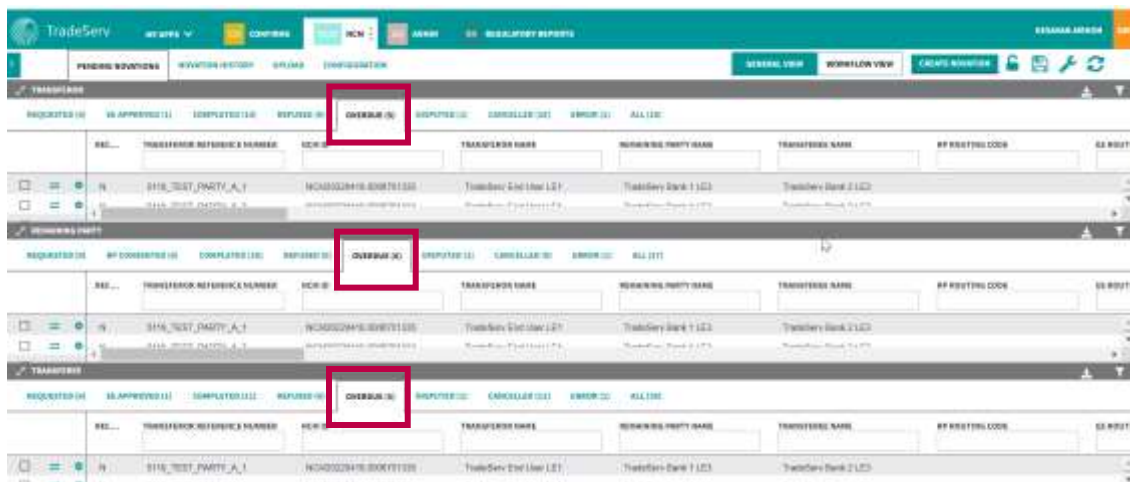
8.3.2 Red Requests

Requests that are within 1 hour of going to the overdue tab will turn red in the Requested tab

Request ID	Status	Requester Name	Requester Email	Requester Phone	Requester Address	Requester City	Requester State	Requester Zip	Requester Country	Requester Date	Requester Time	Requester Product	Requester Price	Requester Quantity	Requester Total
10000000000000000011	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000012	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000013	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000014	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000015	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000016	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000017	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000018	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000019	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00
10000000000000000020	Requested	John Doe	john.doe@jstra.com	1234567890	123 Main St	New York	NY	10001	USA	2023-10-27	10:00:00	Product A	100.00	100	10000.00

8.3.3 Overdue and Cancelled Requests

Requests that are not actioned by 6PM EST on the same day that the request happens will move into the Overdue tab



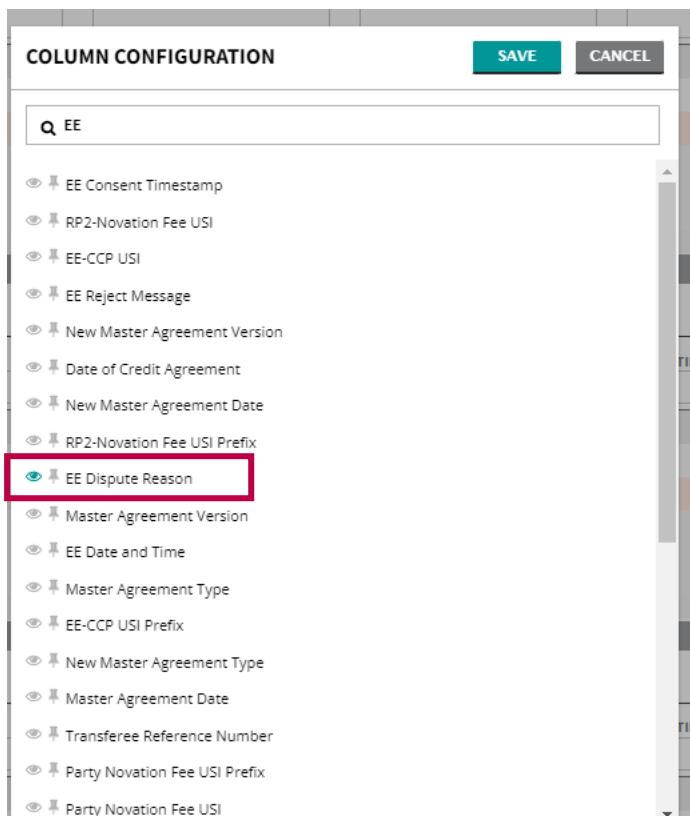
If they are not actioned by 5PM EST on the day after the request was initiated, the request will move to the Cancelled tab for all 3 parties

8.3.4 Column Configuration and Workspaces

A user can configure the columns they see in the Pending Novations view, by selecting the wrench or spanner icon on the upper left hand corner of the Pending Novations view



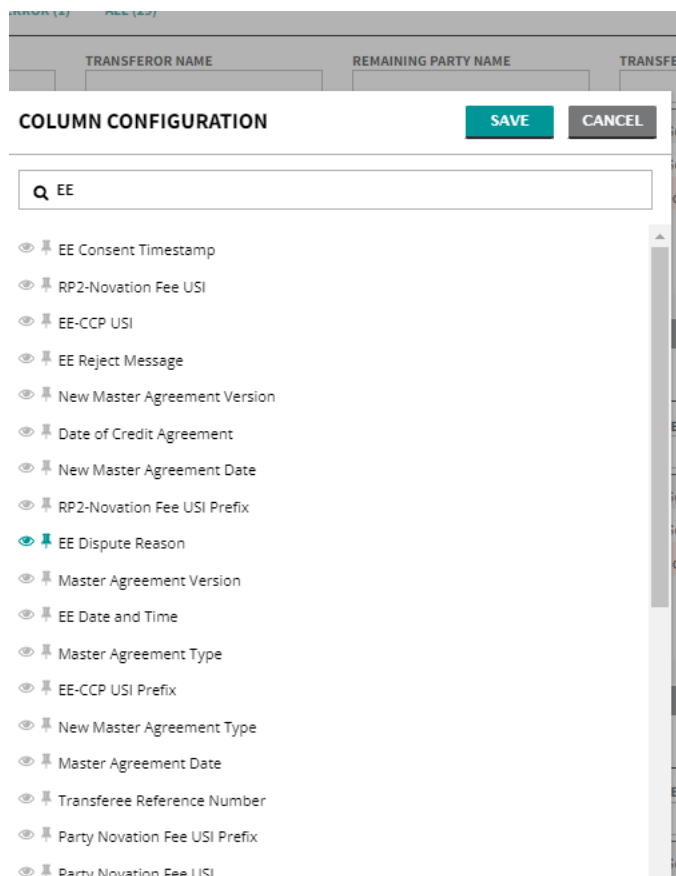
From here the user can select the columns they wish to add (via selecting the eye icon next to the column) or remove (by deselecting the eye icon next to the column)



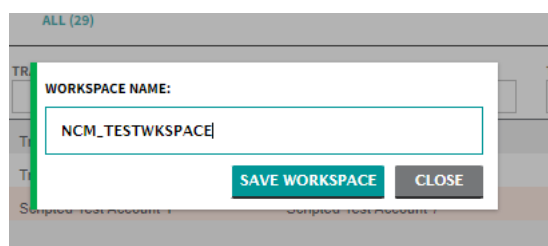
Once the user selects Save, the column will appear on the left of the GUI and can be moved to another section of the GUI for each party



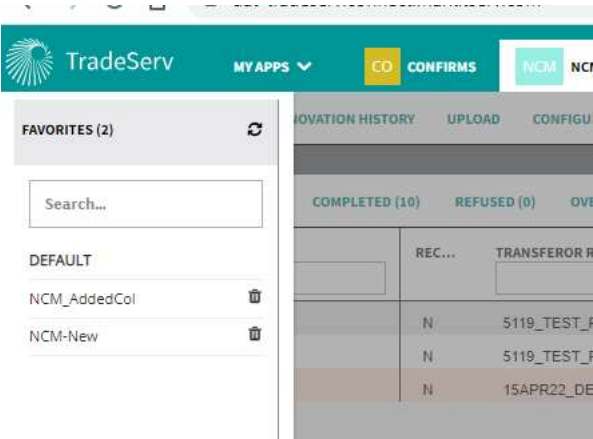
A user can also pin a column to the left or right hand side of the GUI so that when they scroll through the GUI it will always be on the left. This can be done by going to the Column Configuration menu item and select Pin Left or Pin Right



A user can save any configuration as a workspace by selecting the disk icon on the upper right hand corner, putting in a workspace name and hitting Save Workspace



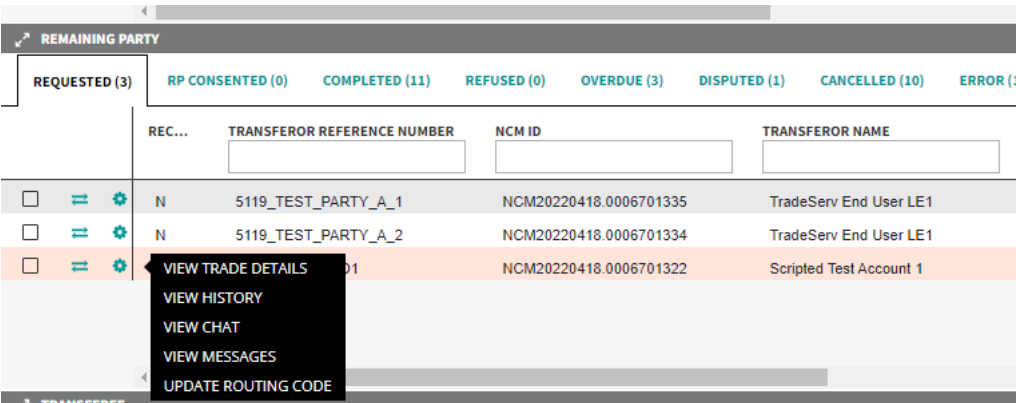
The workspace will be in User Favorites



8.3.5 Actions cog

On the left of every NCM request, there is an Actions cog which allows the user to do a number of things

A user can view the trade via selecting View Trade Details



CONSENT REQUEST		COMPARE TO ORIGINAL	CLOSE
COMMON			
Originator ID	0000N6V8 (Scripted Test Account 7)		
Counterparty ID	0000N6V9 (Scripted Test Account 8)		
+ TRADE INFORMATION			
- TRADE IDENTIFIERS			
DTCC TRI	20220415.1000626916		
NCM ID	NCM20220418.0006701322		
Block Reference Number			
Transferor Reference Number	15APR22_DEMO1		
Transferor Supplement Number	S2022.0006701322		
Remaining Party Reference Number	15APR22_DEMO1CP2		
Remaining Party Supplement Number	T2022.0006701322		
Remaining Party New Reference Number			
Transferee Reference Number			
- NOVATION DETAILS			
Transferor	0000N6V2 (Scripted Test Account 1)	SELLER	
Transferee	0000N6V9 (Scripted Test Account 8)		
Remaining Party	0000N6V8 (Scripted Test Account 7)	BUYER	
Remaining Party Two	0000N6V8 (Scripted Test Account 7)		
Eligibility	Consent Equals Confirmation		
MarkitWire Eligibility	False		
Transformer Unlock Indicator	False		
Novation Amount	2,750,000.00		
Novation Currency	USD		
Novation Trade Date	04/17/2022		
Novation Effective Date	04/18/2022		
Full First Calculation Period Applicable (Y/N)	NOT APPLICABLE APPLICABLE		
OR Routing Code			
RP Routing Code			
EE Routing Code			
Mandatory Clearing Indicator	YES NO		
Clearing House			
Required field ACCEPT REFUSE DISPUTE			

A user can view the audit trail of the Novation by selecting View History

REMAINING PARTY				
REQUESTED (3) RP CONSENTED (0) COMPLETED (11) REFUSED (0) OVERDUE (3) DISPUTED (1)				
REC...	TRANSFEROR REFERENCE NUMBER	NCM ID	TRANSF	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	N 5119_TEST_PARTY_A_1	NCM20220418.0006701335	TradeS	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	N 5119_TEST_PARTY_A_2	NCM20220418.0006701334	TradeS	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	N 5119_TEST_PARTY_A_3	NCM20220418.0006701322	Scripte	
<div> VIEW TRADE DETAILS VIEW HISTORY VIEW CHAT VIEW MESSAGES UPDATE ROUTING CODE </div>				
TRANSFEREE				

AUDIT TRAIL									
AUDIT REQUEST ID	AUDIT REQUEST ID	PARTY ID	TRANSACTION DATE	TRANSACTION DATE	ROLE	TRANSACTION CODE	REF ID	STATUS	AUDIT TYPE
REQUESTED	ASAPTRAIL_REQUEST	ASAPTRAIL	Created Test Account 1	2022-04-19T10:21:00.000Z	Transferor	Unsettled	Account	Requested	
ACTED	ACTED_REQUEST	ACTED	Updated Test Account 1	2022-04-19T10:21:00.000Z	Transferor	Unsettled	Account	Requested	
REQUESTED	REQUESTED_REQUEST	REQUESTED	Created Test Account 1	2022-04-19T10:21:00.000Z	Receiving Party	Unsettled	Account	Requested	
ACTED	ACTED_REQUEST	ACTED	Updated Test Account 1	2022-04-19T10:21:00.000Z	Receiving Party	Unsettled	Account	Requested	
REQUESTED	REQUESTED_REQUEST	REQUESTED	Created Test Account 1	2022-04-19T10:21:00.000Z	Transferor	Unsettled	Account	Requested	
ACTED	ACTED_REQUEST	ACTED	Updated Test Account 1	2022-04-19T10:21:00.000Z	Transferor	Unsettled	Account	Requested	
REQUESTED	REQUESTED_REQUEST	REQUESTED	Created Test Account 1	2022-04-19T10:21:00.000Z	Receiving Party	Unsettled	Account	Requested	
ACTED	ACTED_REQUEST	ACTED	Updated Test Account 1	2022-04-19T10:21:00.000Z	Receiving Party	Unsettled	Account	Requested	
REQUESTED	REQUESTED_REQUEST	REQUESTED	Created Test Account 1	2022-04-19T10:21:00.000Z	Transferor	Unsettled	Account	Requested	

A user can update their Routing code on the NCM request by selecting Update Routing Code, selecting a routing code and selecting Update

REMAINING PARTY

REQUESTED (3) RP CONSENTED (0) COMPLETED (11) REFUSED (0) OVERDUE (3) DISPUTED (1)

REC...	TRANSFEROR REFERENCE NUMBER	NCM ID	TRANSI
<input type="checkbox"/>	N 5119_TEST_PARTY_A_1	NCM20220418.0006701335	Trade
<input type="checkbox"/>	N 5119_TEST_PARTY_A_2	NCM20220418.0006701334	Trade
<input checked="" type="checkbox"/>	N 5119_TEST_PARTY_A_3	NCM20220418.0006701322	Script

VIEW TRADE DETAILS

VIEW HISTORY

VIEW CHAT

VIEW MESSAGES

UPDATE ROUTING CODE

TRANSFEREE

Update Routing Code

Routing Code

Select routing code

Tokyo

AEJ

Japan

Hong Kong

New York

North America

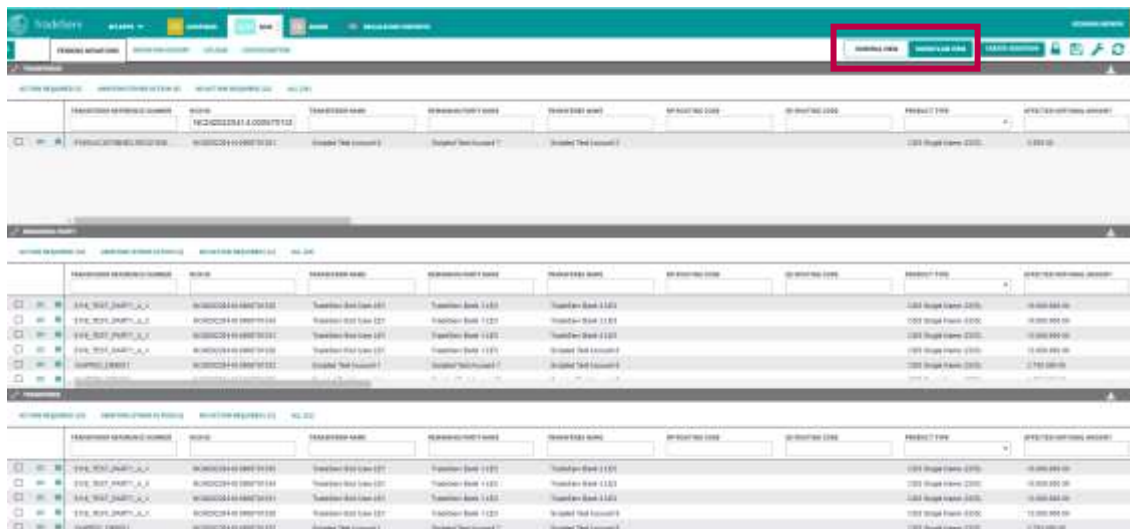
Sydney

Australia

ABS

8.3.6 Workflow View

The GUI gives the ability to show a General View or a Workflow view. The Workflow View gives the NCM requests that require action awaiting other action or require no action at all. The workflow view is available as a toggle on the upper right-hand corner of the GUI



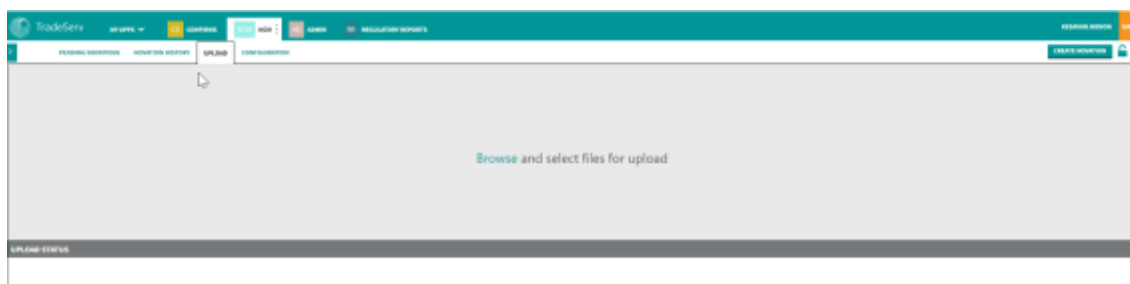
8.3.7 Novation History

A user can find the Novation History of a NCM request by going to the Novation History tab, putting in search parameters and hit Filter results. The history of that Novation will come up



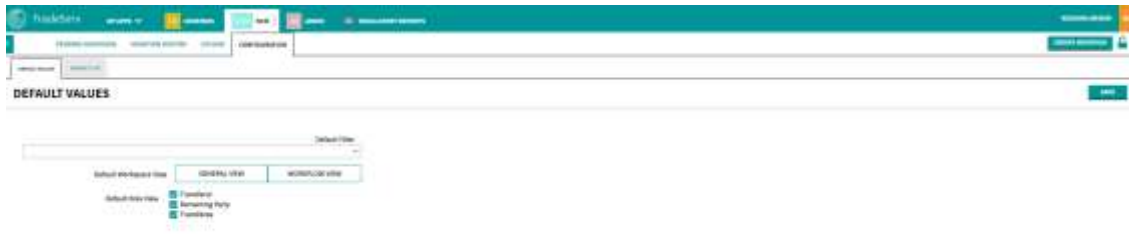
8.3.8 Spreadsheet Upload

The Novation Consent platform support spreadsheet upload for all three parties to a Novation. This can be done by preparing the relevant csv file and going to the upload section of the GUI to upload



8.3.9 Configuration

A user can configure their workspace via going to the Configuration tab and selecting how they want the workspace to look like



9.0 SFTP

TradeServ supports the ability to receive certain reports via SFTP

When a report is SFTPd to a firm, the report will have the below naming convention:

<Report Name ignoring spaces>_<1st 8 chars of Institution Name ignoring spaces>_<Markit
Institution ID>_<Timestamp DDMONYYYY>_<(P)rod/(T)est Indicator>

Please reach out to our support teams for further information and to get setup for SFTP Reports

10.0 FAQ

1. Do I have access to all the same functionality as DSMatch on TradeServ?

You have access to all the same functionality with a few more added (for example: extra reporting functions) on TradeServ as compared to DSMatch.

2. Are my login details the same for TradeServ as for DSMatch?

Your username will remain the same as it is in DSMatch. Your password will be reset for TradeServ. Your password will need changing when you first log in.

3. Is there another way to a view trade's details once it has been submitted other than the sidebar option?"

The sidebar option is currently the only way to view trade details, this is to reduce the number of windows in TradeServ, as compared to DSMatch.

4. What will happen to DSMatch once migrated to TradeServ?

DSMatch will be decommissioned and will be replaced with the new TradeServ platform.

Currently, we are still in testing phase for TradeServ and this is projected to go live in Q3 2021. We will inform the industry once we have the exact date for the cutover.

5. What is TradeServ's new platform IP address/URL? Can you provide your server address and the ports you are listing?

URL: <https://connect.markitserv.com/>

IP: Unfortunately, we are unable to provide a single IP address for TradeServ. This is because TradeServ is a cloud-based service provided by Amazon Web Services (AWS) which dynamically allocates IPs from a periodically changing set resulting in an updating IP address. IHS Markit's Network and Security team are currently testing a solution which will allocate a single IP address for firms to whitelist. We will provide more updates on this when available.

Browser Versions: Internet Explorer version 11 and above must be supported. Chrome version 42 or above and Firefox version 16 or above should be supported.

6. What services will no longer be supported under TradeServ?

- Internal Trades (self-trades)
- Backload
- Outside Assignment, Outside Exercise, Outside Termination
- Increase Event (including Vendor Initiated Increase)
- Submission of Credit Derivative Tie Out (Bronze Record)

7. Will the CSV upload file for TradeServ be the same as the one for DSMatch?

Yes, the CSV upload file is the same and can be used for TradeServ.

8. Where can I retrieve the Cashflow report?

The Cashflow report is only available at the TIW. Please contact TIW support for this.

9. How can I add or delete a user?

Contact support@markitserv.com to assist with the addition or deletion of users.

10. What is the support contact details?

support@markitserv.com