

OSTTRA

TradeServ FAQ

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1.0 Introduction

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 NCM for novation consent, leveraging cloud infrastructure.

2.0 Preparing for Go Live

- 1. Where can I learn more about TradeServ and the Credit Market Infrastructure Refresh Program?**
<https://ostracom.com/trade-processing-for-credit/>
- 2. Are there training videos of TradeServ that I can watch?**
Within this FAQ, section 9.0 has links to TradeServ training videos.
- 3. Can I test the new TradeServ functionality?**
Yes. Users can request access to our testing environment by reaching out to mserv_uat@markitserv.com.
- 4. Will TradeServ allow me to manage my users, similar to the Customer Registration System (CRS)?**
Yes. Self Service within the Admin application of TradeServ will allow you to manage users and functional groups (TS O-code equivalent).
- 5. Will I be able to use Self Service within the TradeServ Admin App?**
All firm Super Access Coordinators and Access Coordinators that have logged in to CRS over the last 12 months will be migrated to TradeServ with their existing access.
- 6. What if I didn't log in, have I lost my access to manage my users/functional groups?**
Yes. However, if you reach out to support@markitserv.com we can work to setup access to Self Service in TradeServ.
- 7. If I have logged in within the last 12 months, can I test my access early?**
Users will receive their login credentials and TradeServ URL via an email from support approximately 2 weeks prior to go live.
- 8. If I can log in, will I be able to use TradeServ early?**
No, users will only be able to test that they can successfully login. , The platform will not be available for use before the go live date of Oct 10, 2022.

3.0 General

- 1. What are the URLs for TradeServ?**
Prod: <https://connect.markitserv.com/>
UAT: <https://uat-tradeserv.connect.markitserv.com/>
- 2. Which browsers support TradeServ?**
Google Chrome and Microsoft Edge
- 3. Are my login details the same for TradeServ as they were for DSMatch?**
No, In the event your login didn't match your email address, you will be using your registered email address to log in to TradeServ.
- 4. Will TradeServ support Single Sign On (SSO)?**
Yes, TradeServ will support the ability for firms to leverage single sign on. If a firm doesn't support SSO services, please review the login steps in Section 11.0
 - The user will receive an email from IHSMakit@ihsmakit.com informing them of their email address and a link to TradeServ Production
 - The user will be redirected to the SAM tool, <https://login.ihsmakit.com> and asked to enter their email address
 - A prompt for an activation code will be presented and will be sent to the email address entered.

- d. The user will then copy the activation code and enter it into the dialogue box and click Continue
- e. The user will then be asked to create a password and once confirmed will redirect to TradeServ

5. What Credit products will be supported by TradeServ?

Please refer to the TradeServ e-book for any changes in products supported.

6. Is DTCC and the Trade Information Warehouse (TIW) also updating their technology platform for Credit?

Yes. In a highly coordinated migration, both OSTTRA and DTCC TIW are upgrading technologies. We are working together to ensure that customer-facing change is as limited as possible and that connectivity between our platforms remains seamless.

7. Are the current DSMatch Credit confirmation, clearing and regulatory reporting services changing?

TradeServ will continue to support credit confirmation, clearing and regulatory reporting functionality. The DTCC TIW will support Payment, Settlement, Event Processing, and Adherence.

8. Can you describe what changes we expect to see in TradeServ for current workflows?

Any changes to the current workflows from DSMatch to TradeServ are highlighted in the TradeServ e-book.

9. What services will no longer be supported by TradeServ?

- a. Internal Trades (self-trades)
- b. Backload
- c. Outside Assignment, Outside Exercise, Outside Termination
- d. Increase Event (including Vendor Initiated Increase)
- e. Submission of Credit Derivative Tie Out (Bronze Record)
- f. Bulk Events (Bulk Novations & Account Swings) *Planned to be supported at a later date*

10. 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 EXCEPT for an RP assignment. TradeServ expects the trade details and workflow fields for the new leg of the RP Assignment to be provided in the same columns as the EE Assignment. Please refer to page 21 in the TradeServ e-book for this change https://osttra.com/wp-content/uploads/2022/08/TradeServ_PPT_Aug2022.pdf

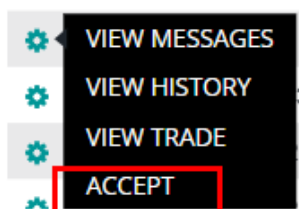
11. Do clients need to sign a new agreement to start using TradeServ?

No, clients are not required to sign or repaper existing agreements.

4.0 Confirms/NCM Application

1. In DSMatch, we are only validating the trade from our counterparty. How do we do the same in TradeServ?

On the trade with Alleged status, click on the wheel icon under the Actions column and select ACCEPT and a form listing the trade details will be shown. If all the economics on the trade are correct, enter your Trade Reference Number and click ACCEPT.



2. Is the rule for an overdue novation consent trade the same in TradeServ?

Yes. It will be the same. The trade will go to overdue tab at 6:00pm EST on the day the novation consent request was submitted. If it is not actioned on the next day by 5:00pm EST, the reservation of the novation consent request will be cancelled.

3. In DSMatch, we can increase the notional amount of the trade using the transaction type of 'Increase'. Can we do the same in TradeServ?

No, you will be able to increase the notional amount of the trade, but you will only be able to increase a notional by using the transaction type 'Amendment'.

4. In DSMatch we can perform a termination on a trade with a higher amount than the notional amount of the trade?

No. TradeServ will no longer allow illogical notional amounts.

5. Will I be able to unlock my novation trades in TradeServ?

No. The process of unlocking a trade will remain the same as DSMatch. If you require a trade to be unlocked, you will need to send an email to support@markitserv.com

6. I can't find my trades that have been fully terminated, are past the scheduled termination date, or cancelled on my workspace. How do I find these trades?

Trades that are fully terminated, are past the scheduled termination date, or cancelled are considered to be in 'Inactive' status. In order to see trades with an 'Inactive' status, users would need to click on the spanner icon and search for the column 'Active Status'. Followed by clicking on the eye icon and click save. The column 'Active Status' will appear on the dashboard where you can select both 'Active' and 'Inactive' then click apply. Performing the search again after these steps will show the trades that were previously hidden.

5.0 Admin Application

1. What is the main difference between the Customer Registration System (CRS) and the Admin application?

Unlike CRS, certain actions such as creating new users in the TradeServ Admin application will require a maker checker process. This is to create additional control with regards to access management.

2. My institution does not have a user with access to the Admin application or it only has one admin user. How do I get a new user created?

Please reach out to support@markitserv.com to set up a new or additional users with Admin access.

3. When I try to create a new user, I am required to enter the email address but the correct email domain is not available. What should I do?

Please reach out to support@markitserv.com to add the new email domain.

6.0 User Reports

1. Where can I retrieve any Payment and Settlement reports?

All Payment and Settlement Reports such as the IPIS or 21 Day Cashflow report is only available at the TIW. Please contact TIW support for this.

2. Will the DTCC TIW Full Position Reconciliation Report (FPRR) still be available?

Yes, DTCC will continue to provide the FPRR as they do today. However, this will comprise of confirmed trades only. TradeServ will also produce a Full Position Report which will consist of Confirmed, Unconfirmed and Alleged transactions separate from the TIW Report. Firms have the option of receiving one or both reports. Please reach out to support@markitserv.com if you wish to get the TradeServ Full Position Report SFTP'd to your organization. Please note the TradeServ Full Position Report is not considered to be the Golden Source.

3. Are there differences between the TradeServ Full Position Report and the DSMatch Position Reconciliation Report?


Yes, there are differences. Specifically related to column headers, fields values, and content. Please refer to page 44-47 in the TradeServ e-book.

https://osttra.com/wp-content/uploads/2022/08/TradeServ_PPT_Aug2022.pdf

4. We are current downloading trade reports from the Search tab in DSMatch. Can we do the same in TradeServ?

You can retrieve a similar report in TradeServ. The report name is the General Search Download Report (GSD) which can be downloaded from the User Report menu item in TradeServ

7.0 Data Migration

- 1. Do I need to recreate the user access for TradeServ?**
No. You do not need to recreate access as we will migrate active DSMatch users to TradeServ from the Production environment. However, please note that only users that have logged in to TradeServ in the past 12 months will be migrated. For users that have not logged in to DSMatch in the past 12 months, please log in to DSMatch so that your user is eligible to be migrated to TradeServ.
- 2. Do I need to onboard my entities/funds from DSMatch to TradeServ?**
No. We will migrate all entities/funds from DSMatch to TradeServ. The credit external ID "0000XXXX" will remain the same
- 3. Will trades from DSMatch be migrated to TradeServ?**
Yes, we will be migrating trades from DSMatch to TradeServ. However, there will be exceptions and certain trades will not be migrated. To understand these exceptions please refer to the TradeServ e-book.
- 4. I currently have access to multiple institutions with my login. How do I do the same in TradeServ?**
You will still use your email to log in. If you have access to multiple institutions, you will see the icon  at the top right-hand side of the screen, click on the icon and select the institution that you want to access.

8.0 Upstream/Downstream Impact

- 1. Will ICE, other CCP's and third-party vendors be transitioning over to TradeServ and the new TIW?**
Yes, we are proactively working with ICE, LCH SA, and JSCC with regards to the migration to the new platforms as well as third party providers such as TriOptima.
- 2. Will there be any changes to the submissions to and from Trade Manager and Markitwire?**
No. There will be no changes and your submissions will remain the same.
- 3. I am using Integrated Reporting for regulatory reporting where trade data from DSMatch is leveraged. Is there any change to this process?**
No. TradeServ will feed the trade data to IR at go live.

9.0 Onboarding of new institution/entities

- 1. What changes can I expect to the onboarding process?**
Today, the onboarding of new accounts for both DSMatch and TIW occurs via one team, the OSTTRA DSMatch implementation team. With the separation of technologies, the firms must be onboarded with the OSTTRA onboarding team as well as the DTCC onboarding team. Onboarding requests will be initiated to the OSTTRA team who will provide a handover to DTCC. Once complete on the DTCC side, confirmation will be provided to the OSTTRA team who will complete the onboarding mapping process whilst ensuring the details align with the TIW. A daily account reconciliation process will ensure that accounts are kept in sync on both platforms.
- 2. Where can I find the new onboarding forms?**
The new onboarding forms can be downloaded from the OSTTRA documentation portal, <https://products.markit.com/>

10.0 User Guide and training videos

- 1. Where can I find the user guide for TradeServ?**
You can download the user guide from the TradeServ landing page <https://osttra.com/trade-processing-for-credit/>

2. Are there training videos for TradeServ?

Yes. Please find the below links:

TradeServ GUI Actions

<https://myihsmarkit.webex.com/myihsmarkit/ldr.php?RCID=591faf7dadedcb0aef4f87a6188cf78d>

New Trades

<https://myihsmarkit.webex.com/myihsmarkit/ldr.php?RCID=c385844e18a548092c7e31712b4eaf56>

PTEs

<https://myihsmarkit.webex.com/myihsmarkit/ldr.php?RCID=561b058feab6b3a4ba174161b302d707>

Novation Consent

<https://myihsmarkit.webex.com/myihsmarkit/ldr.php?RCID=013fc6c3d9f3b30301578d94623378b4>

11.0 Login

1. What if my firm doesn't support SSO? Then users will need to follow the process below:

- The user will receive an email from IHSMarkit@ihsmarkit.com informing them of their email address and a link to TradeServ Production
- The user will be redirected to the SAM tool, <https://login.ihsmarkit.com> and asked to enter their email address
- A prompt for an activation code will be presented and will be sent to the email address entered.
- The user will then copy the activation code and enter it into the dialogue box and click Continue
- The user will then be asked to create a password and once confirmed will be redirected to TradeServ

2. Why does TradeServ redirect to SAM (Secure Access Management)?

The redirection to SAM is due to authentication being managed by OSTTRA's parent firm S&P Global which provides SAM authentication service to TradeServ

3. Is IP whitelisting required for TradeServ?

No, because of the SAM authentication, IP whitelisting is not required.

4. I am seeing the error "You are partially registered!", what are the steps to avoid this?

This error occurs when you use the SAM link directly to log in. Please use the TradeServ link and allow it to redirect to SAM for authentication.

5. What if I am not receiving the temporary code from TradeServ?

The temporary code will come from IHSMarkit@ihsmarkit.com, if not please follow the below steps:

- Check your junk email box
- Ensure 'IHSMarkit@ihsmarkit.com' is added to your firm's safe sender list
- IP whitelisting may be required for SAM emails, the static Ips are: 54.240.86.166 and 54.240.86.167

6. I am seeing the error "You have been logged out of TradeServ" or "Session Expired". How do I resolve this?

- Clear your browser cookies and try to log in again
- Try using your browsers incognito mode
- If the problem persists, contact TradeServ support at support@markitserv.com

7. I am seeing the error "NO APPS AVAILABLE", what do I do?

If you see this error, please click on the small yellow triangle in the upper right corner of the TradeServ window to view the error message and provide this error message to TradeServ support.

12.0 Support Contacts

1. How do I contact TradeServ Support if I have an issue or question?

Please find the below email contacts.

Production: support@markitserv.com

UAT: MSERV_UAT@ihsmarkit.com

Onboarding: dsmatch-implementation@markitserv.com