

Q: WHY IS IT IMPORTANT TO OBTAIN MY OWN TRADESUITE ID NUMBER?

1

- A** Using your own Institution TradeSuite ID Number gives you significant benefits related to T1 compliance:
1. Visibility into when the broker submitted their TradeSuite ID confirm and whether it was affirmed or not. This is important for compliance with [15c6-2](#).
 2. Maintaining an archive of your TradeSuite ID confirms in compliance with [204-2](#).

Q: WHAT KIND OF TRADESUITE ID SHOULD I GET?

A Please review the [TradeSuite ID FAQ](#) to select your type.

From a high level, there are two options:

1. [ID Only](#) – for non-TradeSuite ID clients
 - a. Easy to setup – no Master Services Agreement required
 - b. No access to affirmation reporting or archiving for TradeSuite ID data
 - c. To obtain an ID Only TradeSuite ID Number
2. TradeSuite ID Web for clients of TradeSuite ID
 - a. 6A-4 Confirm Affirm Limited (view only, no cost)
 - b. 6A-1 TradeSuite ID Web (ability to affirm, annual fee)
 - c. To request these forms use this [Contact Form](#)

Q: DOES HAVING MY OWN TRADESUITE ID NUMBER MAKE ME SELF-AFFIRMING?

3

A No. Having a TradeSuite ID Number does not automatically make you self-affirming. You can continue to delegate affirmation to your custodian if you choose.

DTCC Institutional Trade Processing does recommend you become self-affirming as a best practice. For more information, please view our [Affirmation Report](#).

In order to self-affirm you must be a client of TradeSuite ID.

Q: WHAT IS THE DIFFERENCE BETWEEN AN INSTITUTION AND AN INTERESTED PARTY ID? ⁴

TO BE COMPLETED BY CLIENT; PLEASE COMPLETE FULLY TO ENSURE TIMELY ONBOARDING

CLIENT ENTITY DETAILS / CONTRACT ADMINISTRATIVE DETAILS: (REQUIRED)

Client Type:

Institution

Interested Party

Both

A An investment manager (IM) can choose up to 2 different roles for their TradeSuite ID:

▶ Institution

- ▶ This role is recommended for IMs with institutional (custodied at a bank) accounts

▶ Interested Party

- ▶ This role is recommended for an IM or hedge fund who has accounts custodied at a prime broker

▶ Both

- ▶ If you are undecided, selecting both is the best option

Q: HOW DO I FILL OUT THE FORM?

A

You will need to fill out:

1. [ID Only](#) via DocuSign, or for clients of TradeSuite ID, both an
2. **Order Form** referencing your MSA – Master Services Agreement, and
3. a jurisdiction-specific **Onboarding Document** for either
 1. 6A-4 TradeSuite Limited (view only/no cost), or
 2. 6A-1 TradeSuite Web (ability to affirm/annual fee)

To obtain these forms please fill out [Contact US](#).

Order Form

II. CLIENT MSA DETAILS:

These details are completed by DTCC ITP and are needed for Clients, or Client affiliates/Client Entities which are added or linked to a Client MSA.

This is needed to ensure that this form is linked to the appropriate Client MSA.

1. Which Client MSA will govern the terms and conditions of Services subscribed pursuant to this Order form?

Effective Date of MSA:

Entity that is the party to the Client MSA:
(Client Full Legal Entity Name)

DTCC ITP MSA entity (select one):

DTCC ITP LLC	<input type="checkbox"/>	DTCC ITP Matching (Canada) Limited	<input type="checkbox"/>
DTCC ITP (UK) Limited	<input type="checkbox"/>	DTCC Japan K.K.	<input type="checkbox"/>
DTCC Canada Ltd.	<input type="checkbox"/>	DTCC Hong Kong Limited	<input type="checkbox"/>
DTCC Australia Pty Ltd	<input type="checkbox"/>	DTCC Singapore Pte Ltd	<input type="checkbox"/>

TRADESUITE ID® <input checked="" type="checkbox"/>	Confirm Archive <input type="checkbox"/>	inSITE ³ <input type="checkbox"/>
----------------------------------------------------	------------------------------------------	----------------------------------------------

Onboarding Document

**Onboarding Document 6A-4
TradeSuite ID®
Institution or Interested Party
DTCC ITP LLC**

Client Full Legal Entity Name Using Service:

Access Method - Limited / UI Access (View Only)

Existing TradeSuite ID Number (if applicable):

Q: WHAT DO I DO AFTER RECEIVING MY TRADESUITE ID NUMBER?

A Update ALERT DTC SSIs

For your institutional accounts (custodied at a bank) populate your new TradeSuite ID Number in the **Inst/Broker ID** field.

For your prime brokered accounts, put your TradeSuite ID Number in the **Interested Party** field.

If your GCD custodian manages your ALERT SSIs, you can have them make this update for you.

Notify your custodian and broker of your new TradeSuite ID Number.

The screenshot shows a web form titled "IM ALERT SSI – USA – DTC - EQU". It is divided into three main sections:

- Account Details:** Includes fields for Access Code (CFTEST), Account Name (CF Test Account), Short Name (CFTEST), A/C# @ Trustee, A/C# @ Regional Custodian, Fund ISIN/Ticker, Affirming Party (dropdown menu with "INSTITUTION" selected), and Access Code Legal Entity Identifier.
- Depository/Clearing/Settlement Agency Data:** Includes PSET (DTCYUS33), BIC (DTCYUS33), ISO Country, Settlement Currency, Alternate Currency, Participant, Inst/Broker ID (00073735, highlighted with a red box), Agent ID (00058390), and DTC# (0001940).
- Interested Party 1 Data:** Includes ID (highlighted with a red box) and A/C#.