

The Depository Trust & Clearing Corporation

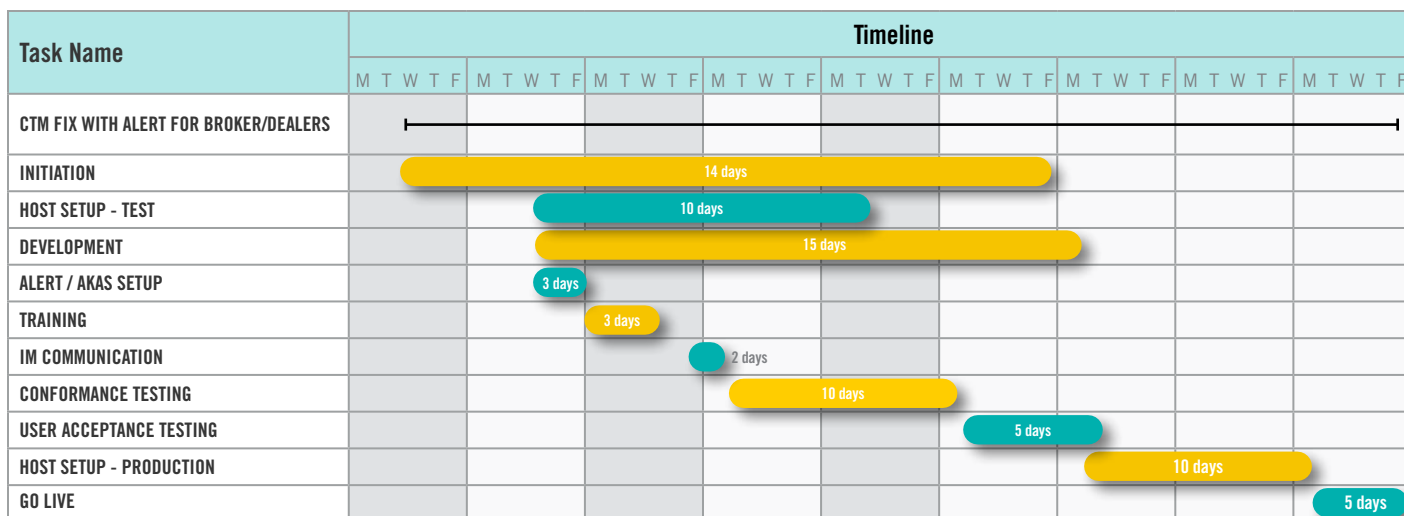
CTM™ FIX WITH ALERT® : ONBOARDING GUIDE

FOR BROKER/DEALERS

This onboarding guide aims to provide transparency and improve the speed for a successful implementation of CTM FIX with ALERT. Below is an outline of tasks that must be performed by both your firm and DTCC, as well as the length of time that will be needed for each task. Please note: the duration is an estimate based on successful execution and timely feedback on each stage of the process.

TASK	DURATION (45 DAYS)	OWNER
CTM FIX WITH ALERT FOR BROKER/DEALERS		
INITIATION	14 days	
Sign contract & SoW	1 day	Client
Kick-off meeting	1 day	DTCC
Create and supply Business Requirements Document (BRD)	1 day	Client, DTCC
Leased line setup with existing line into DTCC	14 days	DTCC
HOST SETUP - TEST	10 days	
Create CTM organization	3 days	DTCC
FIX Appia connection and MQ setup	5 days	DTCC
Request test users on DTCC.com	1 day	Client
Connectivity test	1 day	Client, DTCC
DEVELOPMENT	15 days	
Code and unit testing	15 days	Client
ALERT / AKAS SETUP	3 days	
Obtain ALERT Acronym	1 day	DTCC
ALERT Data Gathering	1 day	DTCC, Client
Submit ALERT Broker Delivery Instructions	2 days	Client
TRAINING	3 days	
Initial session	1 day	DTCC, Client
Production Training for CTM UI and ALERT Web	1 day	DTCC, Client
Follow-up training	1 day	DTCC, Client
IM COMMUNICATION	2 days	
Provide templates	1 day	DTCC
Send initial communication	1 day	Client
Send final communication with live date	1 day	Client
CONFORMANCE TESTING	10 days	
Create test plan	1 day	DTCC
Execute test plan	8 days	Client, DTCC
Approve completed test plan	1 day	Client, DTCC
USER ACCEPTANCE TESTING	5 days	
UAT	5 days	Client
HOST SETUP - PRODUCTION	10 days	
Create CTM organization	3 days	DTCC
FIX Appia connection and MQ setup	5 days	DTCC
Request test users on DTCC.com	1 day	Client
Connectivity test	1 day	Client, DTCC
GO LIVE	5 days	
Submit IM deployment plan	1 day	Client, DTCC
Connectivity test	1 day	Client, DTCC
End-End test	1 day	Client, DTCC
Go live	3 days	Client

*Extended Post Production Support will be provided up to 14 days



* Timeline is an estimate based on successful execution and timely feedback on each stage of the process.

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