Omgeo ALERT℠
Onboarding Guide

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PREFACE

This document describes how to set up and manage Omgeo ALERT℠ users, Product Administrators, and Data Authentication (DA) Administrators on the Omgeo Client Center.

Audience

This document is for Omgeo ALERT Product Administrators and DA Administrators.

Typographic Conventions

Unless otherwise noted in the text, this manual uses the following conventions:

Type Style	Usage	Examples
Bold	Emphasis in body text	Always process **all** of your settlement model data before processing **any** of your account-specific data.
Italic	New terms or concepts	A *settlement model* is ...
	Field and column names	*Number* column
	User interface buttons	Click *OK*.
	Citations	See the *Common Reference Data*.
SMALL CAPS	Keystrokes	[CTRL+F5] [ALT+M] [ENTER]

Related Documents and Training

Documents related to this publication include:

- *Common Reference Data*
- *Product Release Information*
- *Quick Reference—Investment Managers*
- *Quick Reference—Broker/Dealers*
- *Quick Reference—Global Custodians*
- *Settlement Instructions and Validation Rules*
- *ALERT Plus Upload Guide*

All these documents and more are available from www.omgeo.com/library.

Omgeo also offers training to clients on how the product works and how to use it. Course information and a calendar of offerings are available at www.omgeo.com/training.

About Omgeo

Omgeo creates certainty in post-trade operations through the automation and timely confirmation of the economic details of trades executed between investment managers and broker/dealers. Every day, Omgeo enables an efficient community of more than 6,000 financial services clients in 45 countries to manage matching and exception handling of trade allocations, confirmations, and settlement instructions. Leading organizations rely on Omgeo to help manage an increasingly complex investment industry by providing operational stability and solutions that complement the focus on profitability in an era of escalating trade volumes. Across borders, asset classes, and trade life cycles, Omgeo is the global standard for operational efficiency across the investment industry. Formed in 2001, Omgeo is jointly owned by the DTCC and Thomson Reuters.

For more information about Omgeo, please visit www.omgeo.com.

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The Depository Trust & Clearing Corporation (DTCC), through its subsidiaries, provides clearance, settlement and information services for equities, corporate and municipal bonds, government and mortgage-backed securities, money market instruments, and over-the-counter derivatives.

In addition, DTCC is a leading processor of mutual funds and insurance transactions, linking funds and carriers with financial firms and third parties who market these products. DTCC's depository provides custody and asset servicing for 3.5 million securities issues from the United States and 110 other countries and territories, valued at $40 trillion. Last year, DTCC settled more than $1.8 quadrillion in securities transactions. DTCC has operating facilities in multiple locations in the United States and overseas. For more information on DTCC, visit www.dtcc.com.

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About Omgeo STP Partners

Omgeo partners with leading service and technology providers to enable clients to achieve the efficiencies of true straight-through processing. The advanced, pre-integrated solutions developed in collaboration with our STP Partners simplify our clients' integration with Omgeo services. Our mutual clients immediately notice a greater return on investment from the benefits of offering a streamlined settlement process, an ability to leverage existing systems to provide new services, and enhanced data integrity. STP Partners include buy-side order management systems, portfolio management systems, sell-side trading systems, service bureaus for investment managers and broker/dealers, back-office systems providers, reconciliation providers, middleware providers, consulting firms, and network providers. Today, Omgeo has more than 60 STP Partners with over 80 certified interfaces. For more information, please visit www.omgeo.com/partners.

Questions? Ask Us

Omgeo's Client Contact Center (CCC) provides general assistance and technical help. To enter a service request, check the status of an existing service request, search our knowledge base, access our library of documentation, visit our Bulletin Board, or get further contact information, please visit www.omgeo.com/ClientCenter.

ONBOARDING GUIDE

This document includes the following sections:

Overview

Omgeo ALERT is a web-based global database for the maintenance and communication of account data and standing settlement (SSI) instructions. To help clients improve the consistency and accuracy of settlement data, ALERT includes the Data Authentication (DA) functionality. Data Authentication is a process used to authenticate the entry, deletion, and modification of ALERT data.

Note Currently, only Foreign Exchange (FX) and CASH goes through the authentication process. In 2009, Data Authentication will be rolled out for all security types. Omgeo will notify you about this rollout in advance.

During the process of signing up for ALERT, you decide on a unique ALERT acronym that identifies your firm. You also identify your initial Product Administrator(s) at that stage.

What is a Product Administrator?

The Product Administrator receives onboarding instructions from the Omgeo consultant and access to the Omgeo Client Center web site.

Note The Product Administrator does not need a user ID for ALERT.

On the Omgeo Client Center site, the Product Administrator sets up ALERT users and gives them read/write permissions to the data for an acronym. In addition, the Product Administrator designates Data Authentication (DA) Administrators.

What is a Data Authentication (DA) Administrator?

A Data Authentication (DA) Administrator sets up the data authentication settings for the acronym and its users who have read/write access.

Note A DA Administrator must have a user ID for ALERT with full read/write access to the acronym.

Setting Up and Managing ALERT Users

After you receive the account login for the Omgeo web site, you can set up ALERT users. To set up ALERT users, you must be an ALERT Product Administrator with a registered account for the Omgeo web site.

Submitting a Request for Product Administrator Rights

Note The information in this section only applies to firms that currently have no designated Product Administrator. To set up additional Product Administrator(s) for your firm, refer to “Adding a Product Administrator” on page 17.

To submit a request for Product Administrator rights:

1. Go to www.omgeo.com/clientcenter.

   or

   Go to www.omgeo.com, and click sign in at the top right of the page.

   The Sign In page (Figure 1) appears.

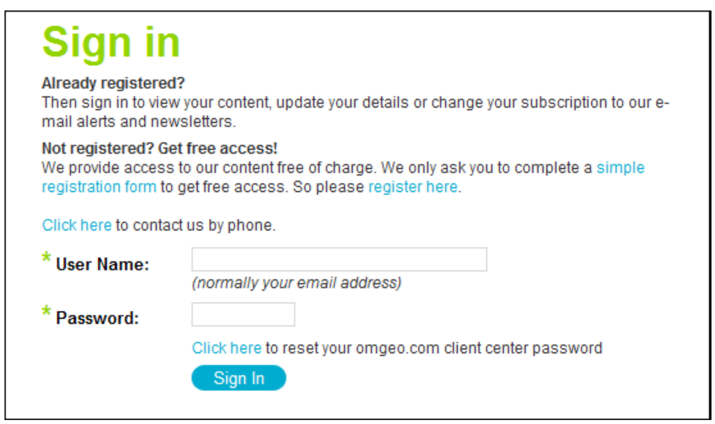

Figure 1 Client Center Sign-In Page

2. Enter your user name and password and then click *Sign In*.

   If you do not have a registered user name and password for the Omgeo web site, either:

   - Have a registered user at your firm make the request from his or her account.

     or

   - Click *simple registration form* or *register here* to request an account. Omgeo processes the request within one business day.

The Client Center page (Figure 2) appears.

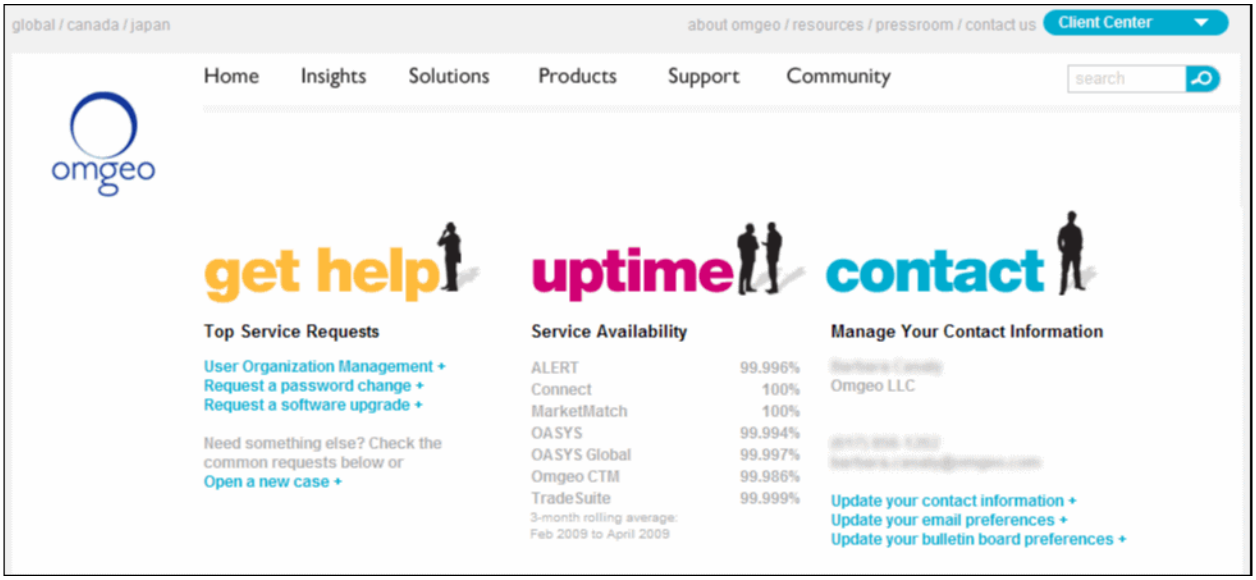

Figure 2 Client Center Welcome Page

3. On the Client Center page in the Get Help area, click *Open a new case* (Figure 3).

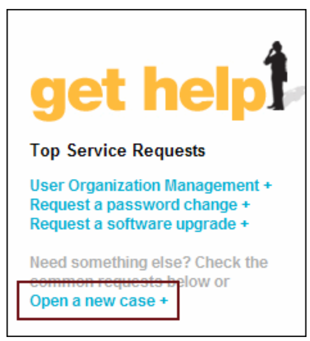

Figure 3 Open a New Case Link

4. Complete the fields on the New Case page (Figure 4) as follows:
   - Enter the call-back phone number for the user who is requesting the account.
   - Select *Client Request* for the Case Category and *Add/Change/Delete Individual User* for the Case Subcategory.
   - Select *ALERT,* and enter your firm's acronym.
   - In the Subject and Description fields, indicate that you are requesting Product Administrator access for yourself or for someone in your firm.

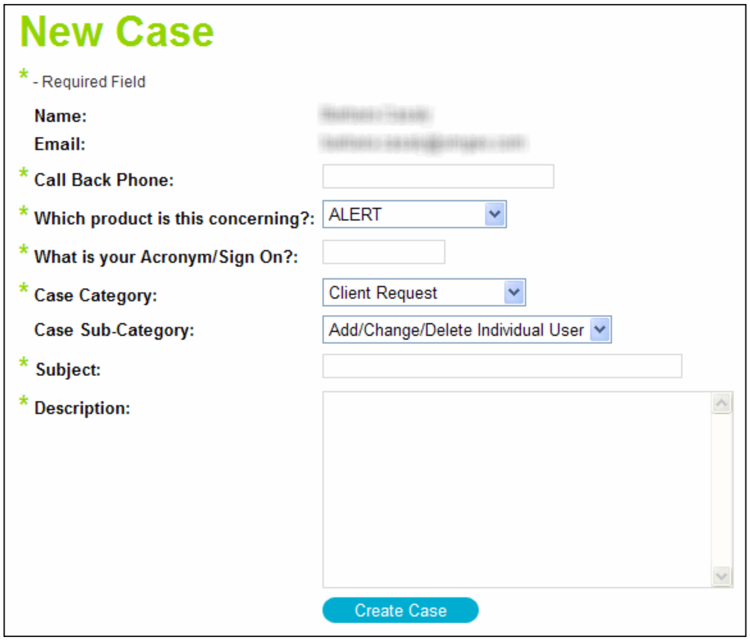

Figure 4 New Case Page

5. Click *Create Case.*

Accessing the ALERT User Organization Management Page

To access the ALERT User Organization Management page:

1. Go to www.omgeo.com, click *Support* at the top of the page, and *View the Omgeo Client Center.*

   The Sign In page (Figure 1 on page 10) appears.

   If you do not have a registered user name and password for the Omgeo web site, refer to "Submitting a Request for Product Administrator Rights" on page 10.
2. Enter your user name and password and then click *Sign In.*

   The Client Center page (Figure 2 on page 11) appears.

3. On the Client Center page in the Get Help area, click User Organization Management (Figure 5).

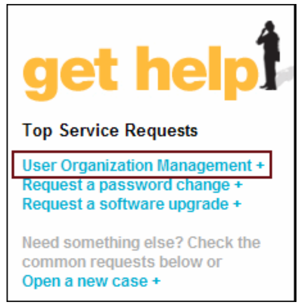

Figure 5 User Organization Management Link

The User Organization Management home page (Figure 6) lists the Omgeo products that you can administer. Products may have separate entries for Test (also referred to as Client Test), production environments, and management options.

4. From the User Organization Management page, click *manage users* for the ALERT product (Figure 6).

Figure 6 Manage Users Selection in User Organization Management

The ALERT User Organization Management page (Figure 7) appears.

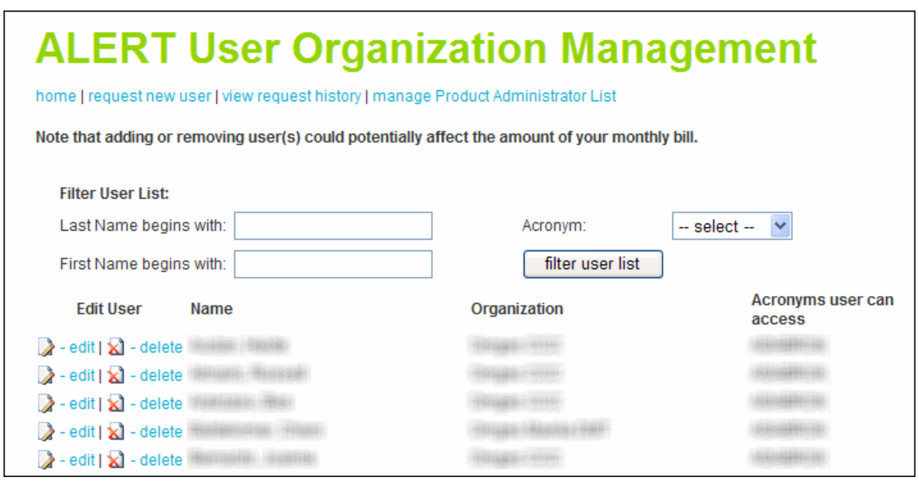

Figure 7 ALERT User Organization Management Page

The page displays menu options (described in Table 1), a list of current users, and the *filter user list* tool to narrow the list of users by first name, last name, and acronym.

Table 1 User Organization Management Menu Options

Menu Option	Description	More Information
home	Return to the User Organization Management home page	"Accessing the ALERT User Organization Management Page" on page 12
request new user	Provide Omgeo ALERT access to users	"Setting Up an Omgeo ALERT User" on page 14
view request history	• Modify a request after you submit it • Trace a user's role changes	"Modifying a Request After You Submit It" on page 16 "Viewing the History of a User's Role" on page 17
manage Product Administrator List	Designate additional Product Administrators and view the current list	"Managing Product Administrators" on page 17

Setting Up an Omgeo ALERT User

As Product Administrator, you can give any user, including yourself, access to ALERT.

To set up a new user:

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), at the top of the page, click *request new user*.

   Figure 8 displays the form you use to add a new user.

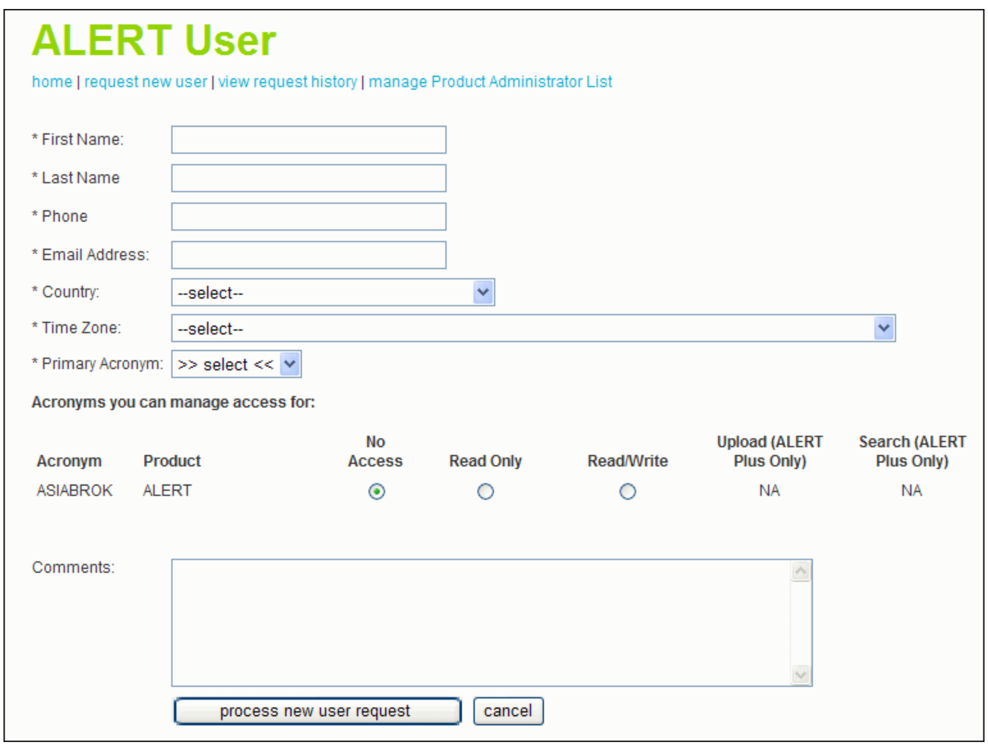

Figure 8 ALERT User Organization Management: New User Form

3. Complete the information requested on the form. Table 2 describes the fields on the ALERT User form.

Note Field names preceded by an asterisk (*) are mandatory.

Table 2 ALERT User Form Fields

Field	Description	
** First Name*	Enter the user's first name.	
** Last Name*	Enter the user's last name.	
** Phone*	Enter the user's full telephone number.	
** Email Address*	Enter the user's email address.	
** Country*	Select the user's country from the menu.	
** Time Zone*	Select the time zone for the user's country from the menu.	
** Primary Acronym*	Select the primary acronym from the menu.	
Acronyms to manage access	Select the appropriate option to define the user's role. Values are:	
	No Access	This role denies access to ALERT for this user. **Note**: Selecting this role does not delete the user. To delete a user, refer to "Deleting an Omgeo ALERT User" on page 16.
	Read Only	This role provides read-only access to ALERT for this user.
	Read/Write	This role provides read and write access to ALERT for this user.
	Upload (ALERT Plus Only)	This role enables investment managers and investment manager outsourcers with the appropriate permissions to upload files to ALERT. If the user does not have ALERT Plus privileges, the option button is replaced with NA. **Note**: This role is for investment managers only.
	Search (ALERT Plus Only)	This role enables the user to search for and change data that exists in multiple instances across accounts or settlement instructions. If the user does not have ALERT Plus privileges, the option button is replaced with NA. **Note**: This role is for investment managers only.
Comments	Enter any comment concerning the user. Indicate if you are adding or removing the user record.	

4. Click *process new user request* to submit the request.

After you submit your request, Omgeo:

- Creates, within one business day, an ALERT user account
- Contacts the end user by telephone to provide the login details
- Sends you (the request submitter) an automated email to indicate that the end user has been contacted and the process is complete

Editing Information for an Existing User

To edit user information:

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), locate the user information that you want to change and click *edit* to left of the name.

   The page displays the user information that was entered in the form.
3. Enter your changes. Refer to Table 2 on page 15 for information about the form fields.
4. When you are finished, click *process user update*.

Deleting an Omgeo ALERT User

To delete user information:

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), locate the user you want to remove and click *delete* to left of the name.
3. Click *process user update* to submit the change.

Modifying a Request After You Submit It

You can modify a request within 24 hours of your original submission.

To modify a request:

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), at the top of the page, click *view request history*.

   The ALERT User Requests page (Figure 9) displays the requests submitted for all the products that you administer.

ALERT User Requests

home | request new user | view request history | manage Product Administrator List

Number	Subject	Product	Acronym	Status	Created Date
00287754	ALERT Users Add/Remove (Blesilda Marcelo)	Alert	ALERT Web - ASIABROK	Closed	02/19/2009
00238883	TERMINATION - OGMGIA40 - Test - MARK CLIENT FOR DELETION		OASYS Global Workstation - OGMGIA40	Closed	10/16/2008
00238881	TERMINATION - OBMGBR40 - Test - MARK CLIENT FOR DELETION		OASYS Global Workstation - OBMGBR40	Closed	10/16/2008
00238880	TERMINATION - OGMGIA37 - Test - MARK CLIENT FOR DELETION		OASYS Global Workstation - OGMGIA37	Closed	10/16/2008
00238879	TERMINATION - OBMGBR37 - Test - MARK CLIENT FOR DELETION		OASYS Global Workstation - OBMGBR37	Closed	10/16/2008

Figure 9 ALERT User Requests

3. Locate the ALERT user request that you want to view and click the case number in the *Number* column.

4. In the Comments section, click *add comment* and enter your comments.

   For example, if you corrected an email address, you might enter the date you made the change.
5. When you are finished, click *save comment* to submit the change.

Saving the List of Users

You can view the list of users with access rights to an acronym on the ALERT User Organization Management page (Figure 7 on page 13). The list is refreshed nightly between 12:00 p.m. and 8 a.m. (EST). You can check the date and time stamp on the page to find out when the list was last refreshed.

To save the list of users:

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), hold down the left mouse button as you select from the list.
3. Press **[CTRL+C]** to copy the data.
4. Open either Microsoft® Word or Microsoft Excel® and press **[CTRL+V]** to paste the list; then save it.

Viewing the History of a User's Role

You can manually trace a user's role changes on ALERT User Organization Management page.

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), at the top of the page, click *view request history*.

   The ALERT User Requests page (Figure 9 on page 16) displays the requests submitted for all the products that you administer. Each request has a case number (on the left). The case numbers are listed in sequence; the user names are listed in the *Subject* column.
3. Locate the user name you want to review and click the case number in the *Number* column to open each case.

Managing Product Administrators

As Product Administrator, you can also designate additional Product Administrators.

Adding a Product Administrator

1. Follow the steps in "Accessing the ALERT User Organization Management Page" starting on page 12.
2. On the ALERT User Organization Management page (Figure 7 on page 13), at the top of the page, click *manage Product Administrator List*.

The ALERT Product Admins page (Figure 10) displays the form you use to add a new Product Administrator.

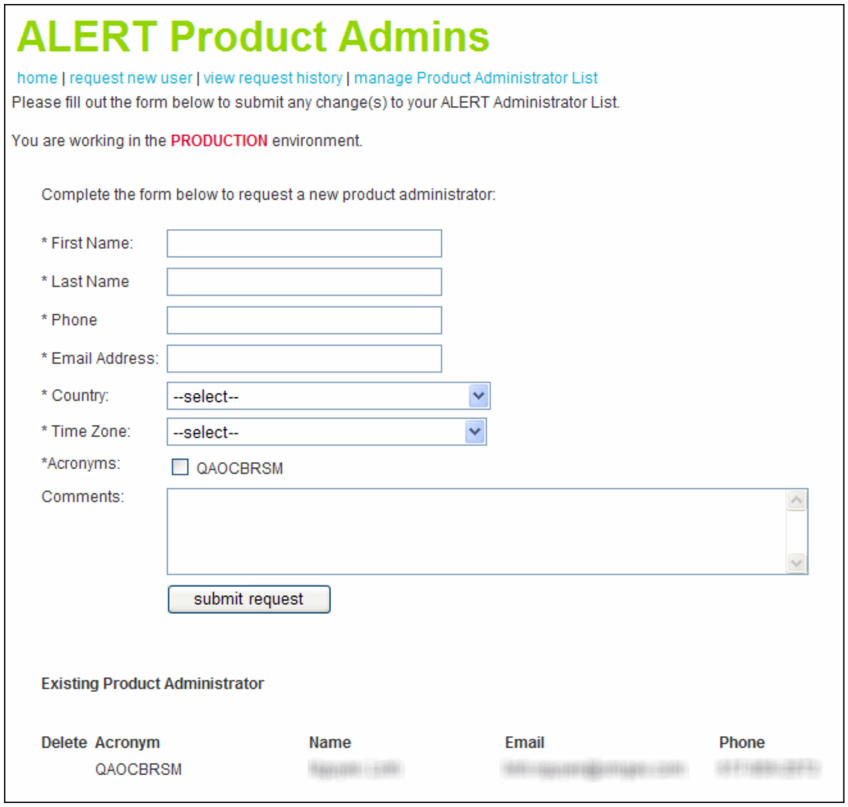

Figure 10 ALERT Product Admins Page

3. Complete the information requested on the form. Table 3 describes the fields on the ALERT Product Admins form.

Note Field names preceded by an asterisk (*) are mandatory.

Table 3 CTM Product Admins Form Fields

Field	Description
* *First Name*	Enter the user's first name.
* *Last Name*	Enter the user's last name.
* *Phone*	Enter the user's full telephone number.
* *Email Address*	Enter the user's email address.
* *Country*	Select the user's country from the drop-down list.
* *Time Zone*	Select the user's time zone from the drop-down list.
* *Acronyms*	Check the acronyms that this Product Administrator can access.
Comments	Enter any comment concerning this user. Indicate if you are adding or removing this user record.

4. Click *submit request* to process the request.

Viewing a List of Current Product Administrators

1. Follow the steps in “Accessing the ALERT User Organization Management Page” starting on page 12.
2. Click *manage Product Administrator List*.

   The list of current Product Administrators appears beneath the form (see Figure 10 on page 18).

Deleting a Product Administrator

1. Follow the steps in “Accessing the ALERT User Organization Management Page” starting on page 12.
2. Click *manage Product Administrator List* at the top of the page.
3. At the bottom of the ALERT Product Admins page (Figure 10 on page 18) locate the Product Administrator you want to remove and click delete to the left of the acronym.

Setting Up and Managing DA Administrators

After you set up ALERT users, you can designate Data Authentication (DA) Administrators on the Omgeo Client Center web site. Omgeo recommends you have at least two Product Administrators per firm to allow for coverage during holiday periods or sickness.

What is Data Authentication?

Data Authentication is the process used to authenticate the entry, deletion, and modification of ALERT data. Clients can choose two or three authentication levels:

- Creation and approval

  or
- Creation, approval, and authorization

The DA Administrator can choose two or three levels for each of the following data types:

- Model settlement instructions (two levels minimum)
- Account-specific settlement instructions (two levels minimum)
- Activating/deactivating markets (two levels minimum)
- General account (data authentication optional)
- Confirm delivery (data authentication optional)
- Broker access (data authentication optional)

Consecutive authentication tasks must be performed by different users. ALERT clients establish their own authentication levels and specify individual user roles.

Accessing the ALERT DA Admin Page

To access the ALERT DA Admin Page:

1. Go to www.omgeo.com/clientcenter.

   or

   Go to www.omgeo.com, click *Support* at the top of the page, and *View the Omgeo Client Center.*

   The Sign In page (Figure 1 on page 10) appears.

   If you do not have a registered user name and password for the Omgeo web site, see "Accessing the ALERT User Organization Management Page" on page 12.
2. Enter your user name and password and then click *Sign In*.

   The Client Center page appears (Figure 2 on page 11).
3. On the Client Center page in the Get Help area, click User Organization Management (Figure 5 on page 13).
4. From the User Organization Management page, click *select/update ALERT DA Admin* for the ALERT product (Figure 11).

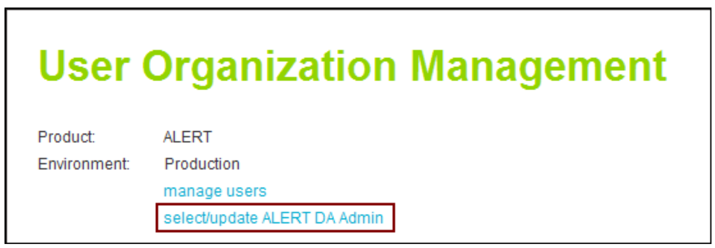

Figure 11 ALERT DA Administrator Selection in User Organization Management

5. From the ALERT DA Admin page (Figure 12), you can set up Data Authentication (DA) Administrators who will set up roles for the data authentication process. A DA Administrator must have an ALERT user name and password (see "Setting Up and Managing ALERT Users" on page 10).

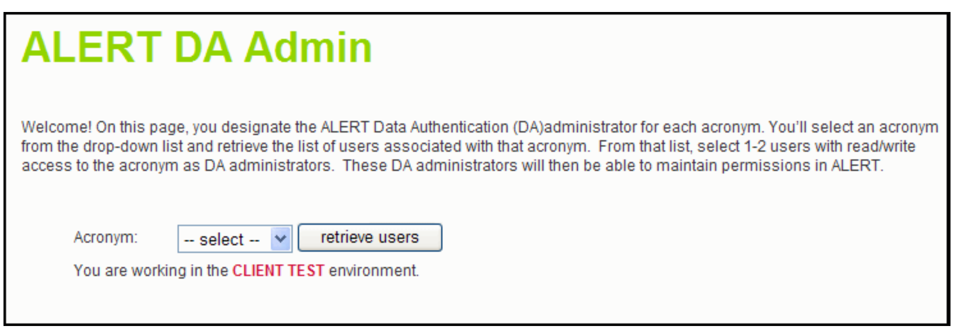

Figure 12 ALERT DA Admin Page

Designating a DA Administrator

1. Follow the steps in "Accessing the ALERT DA Admin Page" starting on page 20.
2. Select an acronym and then click *retrieve users* to view the list of user names.

   The ALERT DA Admin page displays the list of current ALERT users for the acronym (Figure 13 on page 21). The *DA Admin* column indicates if the user is a DA Administrator (*Yes* or *No*).

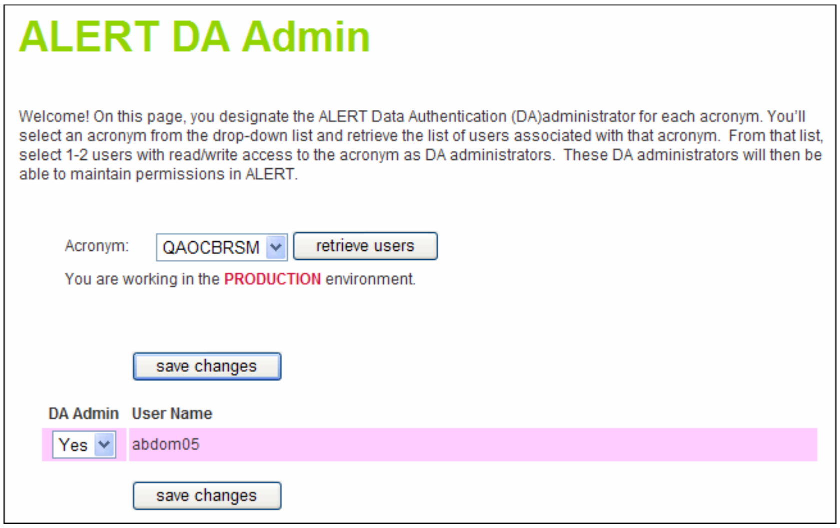

Figure 13 ALERT DA Admin Page

3. Select *Yes* in the menu to the left of each user that you want to designate as a DA Administrator.

Note Omgeo recommends that you designate one to two users (with read/write access) as DA Administrators for each acronym.

4. Click *save changes*.

   ALERT processes the changes and displays a message after the process is complete.
5. If you want to view the changes, click *[search users]*.

   The ALERT DA Admin page displays the list of users (Figure 13). For users that you designated as DA Administrator, *Yes* appears in the *DA Admin* column and the user row is highlighted in pink.

Removing DA Administrator Rights

To remove DA Administrator rights:

1. Follow the steps in "Accessing the ALERT DA Admin Page" starting on page 20.
2. Select an acronym and then click *retrieve users* to view the list of user names.
3. Select *No* in the menu to the left of the each user that you want to remove as a DA Administrator.

   The row for each DA Administrator changes from pink to gray.

What the DA Administrator Does Next

1. The DA Administrator logs into ALERT, clicks the Utility tab, and selects *Manage Roles*.

   The Manage Roles page provides two tabs: Acronym level (Figure 14) and User level (Figure 15).

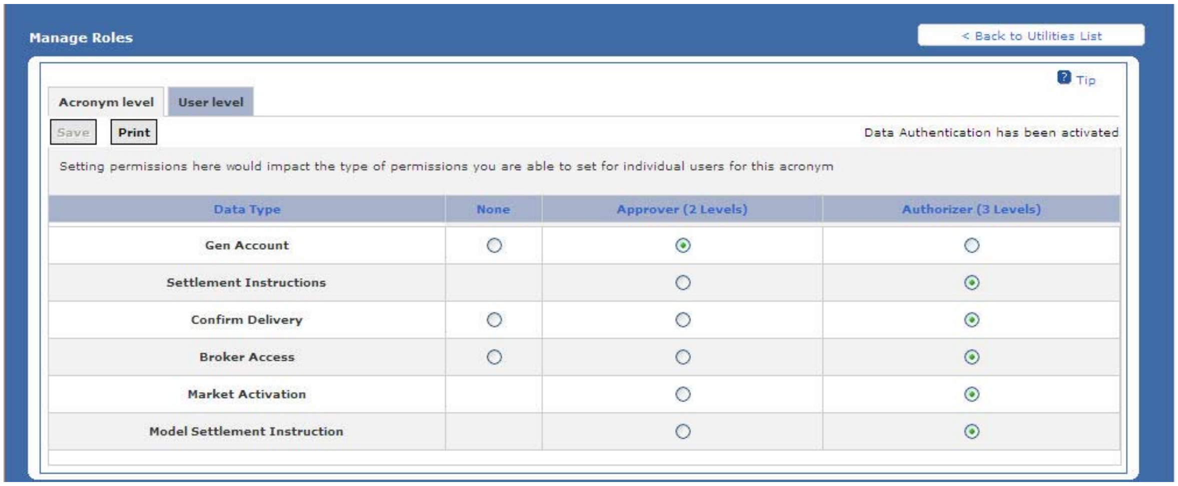

Figure 14 Acronym Level Tab for Investment Manager

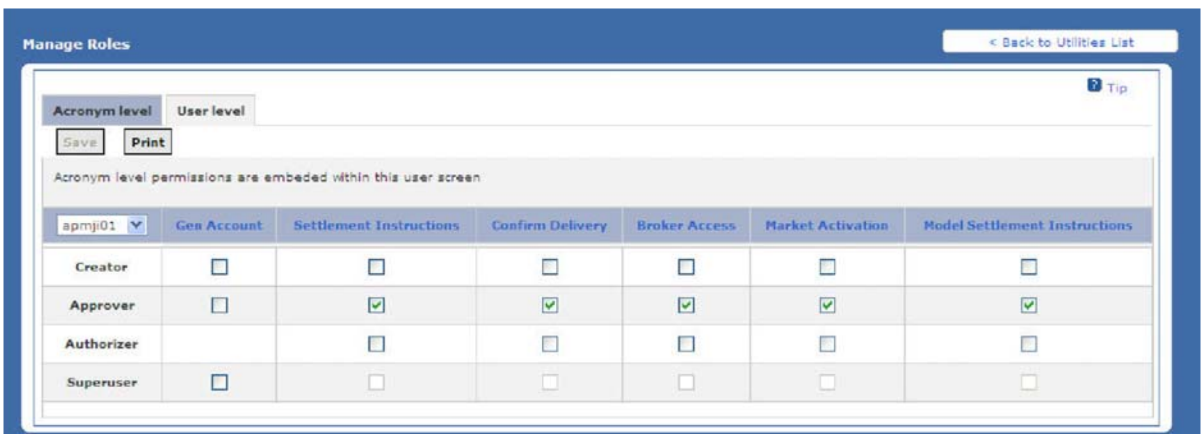

Figure 15 User Level Tab for Investment Manager

2. Using these tabs, the DA Administrator sets up data authentication settings for an acronym and its users (with read/write access).

   The *Tips* link on these tabs in the upper left of the page provides more details.

3. (For existing ALERT installations) After setting up an acronym and users, the DA Administrator clicks *Activate Data Authentication* to start using this functionality.

Omgeo. All together now.

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