



## Enhance portfolio returns through lower post-trade costs

### REDUCE COSTS

Lower trade ticket charges and cut the expense of manually processing errors

### MITIGATE RISK

Utilize redundant, secure FIX networks to minimize post-trade disruptions

### BOOST EFFICIENCY

Leverage easy integration with trading platforms and streamline back-office operations

### GLOBAL COVERAGE

Process US and international equities, Futures, ETFs and fixed income securities

### Reduce trading costs, quickly resolve errors and streamline the entire post-trade process

Alpha Omega FIXAffirm is the first comprehensive post-trade solution for investment management, based on the proven industry standard FIX protocol. Leading asset managers and broker/dealers have begun adopting the FIX protocol for post-trade processing, clearly signaling an industry move towards this established market standard.

With FIXAffirm, trades can be quickly and easily allocated, confirmed and affirmed immediately after trade execution. FIXAffirm directly connects the asset manager and counterparty broker to facilitate the matching process—with exceptions easily resolved on trade date through FIXAffirm's Trade Console.

FIXAffirm uses established FIX networks to provide reliable, secure communication of trade and account details.

### NEXT-GENERATION POST-TRADE PROCESSING, BASED ON THE PROVEN AND RELIABLE FIX PROTOCOL

In today's dynamic market environment, waiting until T+1 or longer to fix post-trade errors is too long—and very costly. That's why it's essential for institutional investors to have a reliable, secure and robust post-trade processing platform.

Now asset managers and broker/dealers can harness technology that lowers post-trade costs and minimizes the risk of a single point of failure.

Reduce post-trade errors. Lower costs. Achieve straight-through processing. Designed by industry experts, FIXAffirm integrates seamlessly with existing order management systems and simplifies the post-trade process.

# How FIXAffirm™ works

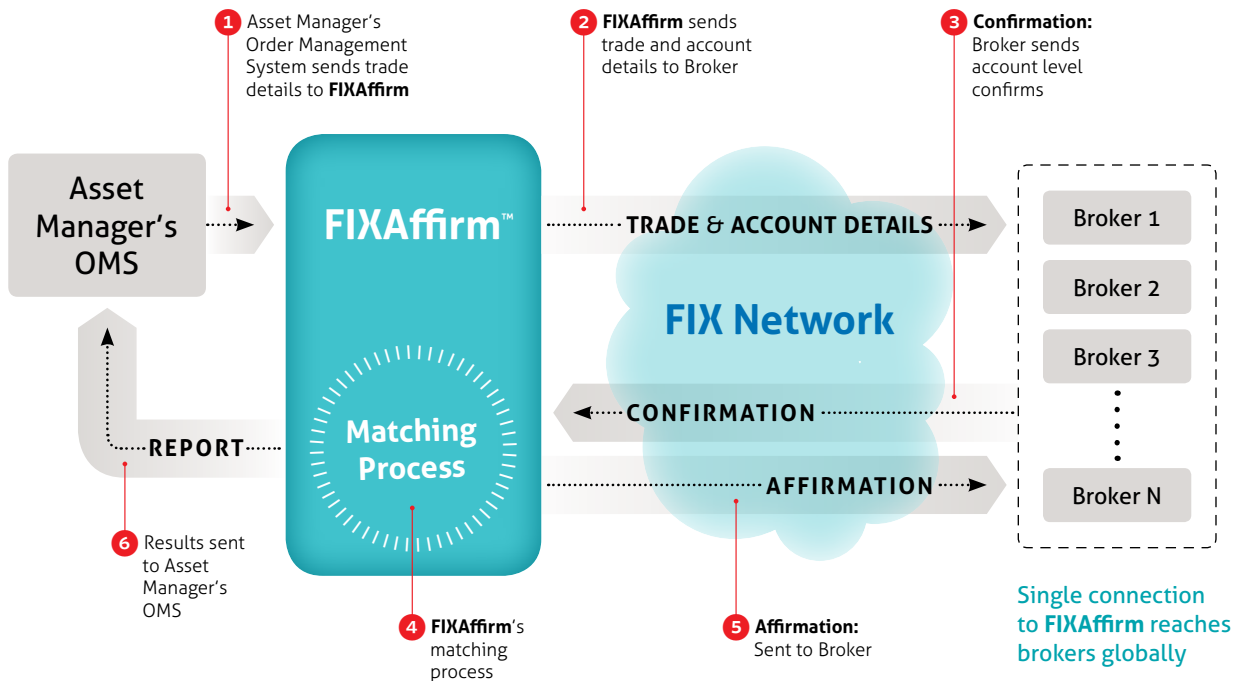


Allocate, confirm and affirm trades seamlessly through reliable, secure technology

## KEY FEATURES AND BENEFITS

- Significantly lowers trading costs through reduced ticket charges
- Utilizes redundant, secure FIX networks to minimize post-trade disruptions
- Covers US and international equities, futures, ETFs and fixed income securities
- Reaches brokers globally through a single FIX connection
- Fully integrates with existing order management systems
- Supports intraday processing so errors can be fixed on trade date
- Is available as a hosted solution or deployed on-site
- Allows asset managers to specify tolerances for matching on a field-by-field basis, including individual components of miscellaneous fees
- Enables matching of Standing Settlement Instructions (SSI)
- Easily resolves trade exceptions through FIXAffirm's Trade Console

## FIXAffirm Trade Confirmation Process



# FIXAffirm Trade Console

The screenshot shows the FIXAffirm Trade Console interface. At the top, there are tabs for 'Transactions' and 'Admin'. Below that, there are filters for 'Current Trades' and 'Trade Inquiry'. A table of trades is displayed, with columns for Side, Symbol, Security ID, Qty, Broker, Avg Pk, Currency, Trade Date, Settle Date, Status, Sub Status, Gross Money, Net Money, Alloc ID, and Last Modified. A red dashed box highlights a specific trade row. Below the table, there is a 'Trade Detail' section with a 'Misc Fee Breakdown' table. The 'Misc Fee Breakdown' table shows various fees such as Tax, Local Commission, Exchange Fees, Stamp, Levy, Other, Markup, Consumption Tax, Per transaction, Conversion, Agent, and Total, with columns for Manager, Broker, and Delta.

Account Details

Misc Fee Breakdown

Misc Fee Breakdown			
Account: ACCT02   Symbol BAC   Side: Buy   AllocID: 000010ba33cb8542			
Type	Manager	Broker	Delta
Tax	34.92	34.92	0.00
Local Commission	-	-	-
Exchange Fees	23.79	23.79	0.00
Stamp	-	-	-
Levy	-	-	-
Other	-	-	-
Markup	-	-	-
Consumption Tax	89.64	89.64	0.00
Per transaction	100.00	100.00	0.00
Conversion	50.00	50.00	0.00
Agent	50.00	50.00	0.00
<b>Total</b>	<b>248.35</b>	<b>248.35</b>	<b>0.00</b>



#### **ABOUT ALPHA OMEGA**

Founded by prominent industry veterans, Alpha Omega provides innovative technology to make the post-trade process more efficient and cost-effective for the investment management industry. With over five decades of experience in portfolio management, trading and post-trade processes, Alpha Omega is uniquely positioned to bring advanced FIX based technology to asset managers and broker/dealers. The company's flagship product, Alpha Omega FIXAffirm™, directly connects counterparties to deliver fully automated allocation, confirmation and affirmation of trades for equities and fixed income securities. For more information, please visit the Firm's website at [www.ao-fs.com](http://www.ao-fs.com).