

The logo for FIXAffirm™ is displayed in white text on a dark blue background. The background of the entire slide features a blurred image of a computer screen with data and code.

**Broker/Dealers**

Leading asset managers and broker/dealers have adopted the FIX Protocol for post-trade processing...

## Reduce costs, resolve errors in real time and streamline the entire post-trade process

### Offer your clients FIX-based post-trade through reliable, secure technology

Alpha Omega **FIXAffirm™** is a comprehensive post-trade solution for broker/dealers, based on the proven industry standard FIX Protocol. Leading asset managers and broker/dealers have adopted 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 broker with counterparty asset managers to facilitate the matching process. It can parse and normalize variations in post-trade messages from asset managers, presenting a uniform interface to broker systems.

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

### BOOST EFFICIENCY AND STREAMLINE BACK OFFICE OPERATIONS

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 broker/dealers 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 trading systems and simplifies the post-trade process.

# How FIXAffirm™ works

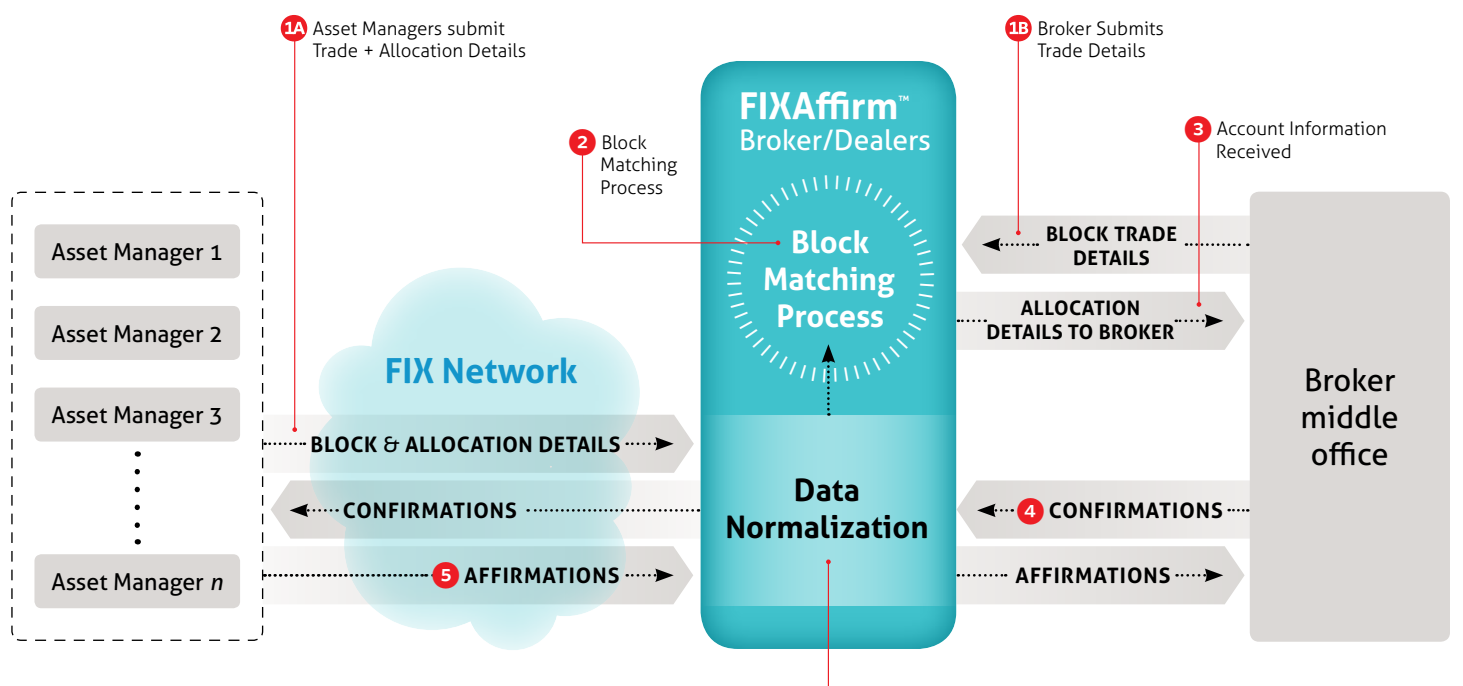


Harness technology that lowers post-trade costs and minimizes risk

## KEY FEATURES AND BENEFITS

- Accepts a variety of post-trade message formats from asset managers and normalizes them to present a uniform interface to broker systems
- Receives trade details from multiple clients via a single FIX connection, eliminating the need for separate point-to-point connections
- Allows asset managers to specify tolerances for matching on a field-by-field basis, including individual components of miscellaneous fees
- Utilizes redundant, secure FIX networks to minimize post-trade disruptions
- Covers US and international equities, futures, ETFs and fixed income securities
- Supports intraday processing so errors can be fixed on trade date
- Is available as a hosted solution or deployed on-site
- Enables matching of Standing Settlement Instructions (SSI)
- Easily resolves trade exceptions through FIXAffirm's Trade Console

## FIXAffirm Trade Confirmation/Affirmation Process



FIXAffirm for brokers can interface with a variety of post-trade solutions used by asset managers

Variations in message formats are normalized

Single connection to FIXAffirm reaches asset managers globally

# FIXAffirm

The screenshot displays the FIXAffirm Broker/Dealers interface. At the top, there are navigation tabs for 'Broker Trades' and 'Client Trades'. Below this, there are search filters for Trade Date, Symbol, Sec ID, Client, and Status. A large table lists various trades with columns for Symbol, Sec ID, Qty, Client, Avg Pk, CCY, Trade Date, Settle Date, Status, Error Code, Last Modified, Gross Money, Net Money, and Commission. A red dashed box highlights a specific trade row, which is expanded into an 'Allocation Panel' at the bottom. This panel shows a summary of the trade and a table of allocations to different accounts, including columns for Account, Qty, Avg Pk, Net Money, Commission, and Mac Fees. A red arrow points to a 'View Errors Log' button in the bottom right corner of the allocation panel.

Allocation Panel

Enables the use of custom tags

View and respond to unknown trades or trade exceptions

This screenshot shows the same FIXAffirm interface, but with a different set of trades displayed. The table at the bottom of the page lists trades with various statuses, including 'ALLCANCELED'. A red arrow points to a 'View Errors Log' button in the bottom right corner of the allocation panel, which is highlighted in blue. The interface includes the same search filters and navigation tabs as the previous screenshot.



#### **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).