



AUTOMATIC UNIQUE TRANSACTION INDICATOR (AUTI): IMPLEMENTATION GUIDE

OCTOBER 22, 2021

Introduction

Investment managers and brokers can instruct CTM to automatically populate and control the unique transaction indicator (UTI) on their blocks and allocations, consistent with the [standards and recommendations](#) of the Committee on Payments and Market Infrastructures & International Organization of Securities Commissions (CPMI-IOSCO). Users can enable the functionality by activating a new host subscription setting, Auto-generate UTIs (AUTI). Once activated, CTM controls all the user's UTIs and overwrites any existing values and UTI matching and/or pairing rules.

AUTI's goal is to make CTM's UTIs the single trade identifier throughout the entire post-trade lifecycle used by downstream settlement systems and workflows, including HKEX Synapse.

CTM requires AUTI activation to use HKEX Synapse service.

View UTI (VUTI) Subscription

VUTI is an existing subscription option and is independent of AUTI. It controls whether the BlockUTI and AllocationUTI fields are present on existing client messages (InfoResponse, InfoSettlementResponse, EventNotification, MultiTradeLevelResponse, and MultiTradeDetailResponse).

Users can use AUTI without activating VUTI. CTM generates the values even if they are not visible in the View Block and View Allocation windows.

Activate Auto-Generate UTIs (AUTI)

CTM uses a subscription option to activate AUTI functionality. AUTI is included with CTM at no extra charge.

To Activate AUTI:

Submit a case to [DTCC Client Center](#) requesting DTCC to activate AUTI for your organization. The AUTI subscription option has two possible values:

- **Yes:** Instructs CTM to automatically generate and populate the BlockUTI and AllocationUTI fields
- **No (default):** CTM does not generate or populate the BlockUTI and AllocationUTI fields

AUTI is available with no requirements for a development or integration project; but DTCC recommends testing any new functionality, including AUTI, in client test before using it in production. Contact DTCC's Integration Team at [DTCC Client Center](#) if you require assistance with client test.

Implementation and Functionality

When you activate AUTI, CTM overwrites existing values and/or existing pairing and matching rules for your UTIs in the below ways:

- CTM overwrites Block and/or Allocation UTI values on new messages or amendments. CTM controls the content of your Block and Allocation UTIs.
- CTM overrules any optional BlockUTI pairing logic.
- CTM overrules any optional Block or Allocation UTI matching.

When you active AUTI, CTM automatically:

- Populates UTIs for investment managers and broker/dealers independent of each other. Both the investment manager and broker must activate AUTI for CTM to auto populate both sides of the trade. Activating AUTI does not affect your counterparty.
- Populates the BlockUTI when the blocks pair, re-pair, or force pair (TLMatchStatus = MISM, MACH, or PEND).
- Populates the AllocationUTI when the allocations pair, re-pair, or force pair (TDMatchStatus = MISM or MACH).
- Removes the BlockUTI and AllocationUTI values when the block or allocation pairing is broken (TLMatchStatus goes back to NMAT), except in a canceled trade (TLMatchStatus = CAND). In a canceled trade, the values remain on the canceled side of the trade for record keeping.

Examples

CTM generates the Block and Allocation UTIs in a standardized format to ensure the UTI is consistent for both sides of a trade. This is consistent with the standards and recommendations of the Committee on Payments and Market Infrastructures & International Organization of Securities Commissions (CPMI-IOSCO). See [Harmonisation of the Unique Transaction Identifier](#) for additional details.

Block UTI Generation:

```
<DTCC LEI><IM CTMTradeSideId><EB CTMTradeSideId>
```

Example: 549300TXA3WBLB9JHZ8814939544181493952086

Allocation UTI Generation:

```
<DTCC LEI><IM CTMDetailID><EB CTMDetailID>
```

Example: 549300TXA3WBLB9JHZ8814939556931493955510

Related Documents and Training

For related documents and training in the DTCC Learning Center, go to [Institutional Trade Processing](#).

Questions?

The DTCC Client Center provides general assistance and technical help. Visit [DTCC Client Center](#) to:

- Enter a service request or check the status of an existing service request
- Search the knowledge base
- Obtain contact information

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