

A large, clear glass hourglass is centered in the frame. It is filled with a vibrant blue sand. The top bulb is partially filled, while the bottom bulb is mostly empty, with a small amount of sand visible at the very bottom. The hourglass is set against a solid, bright blue background. The lighting is soft, creating gentle highlights on the glass and the sand.

This webinar will begin shortly.

FIA



Improving the Timeliness of Give-Up Processing *Webinar*

June 4, 2025



Reminders

- The webinar will be recorded and posted to the FIA website within 24 hours of the live webinar.
- Please use the **Q&A** function on your webinar control panel to ask a question to the moderator or speakers.

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Panelists

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30/30/30 Activity Windows






| Activity Window | Party | 30-Minute Clock Starts | 30-Minute Clock Stops |
|--------------------------------------|-------------------|---|---|
| Timeliness of Trade Confirmations | | | |
| #1 | Executing Broker* | Order is executed | Completed Order confirmed electronically to Client |
| Timeliness of Allocations & Give-Ups | | | |
| #2 | Client | Executing Broker confirms Completed Order to Client | Allocation instructions sent to Executing Broker <u>and</u> Clearing Broker |
| #3 | Executing Broker | Allocation instructions received from Client | Allocation instructions submitted to Clearinghouse |
| #4 | Clearing Broker | Allocated trades visible in Clearinghouse system | Allocated trade accepted and booked into end-Client account(s) |

*Executing Broker provides trade confirmation within 30 minutes of order execution. Trade confirmations should be delivered electronically, preferably via an automated message. A verbal or email message that an order has been filled does not constitute a trade confirmation.

★ [Read the Implementation Guide](#)

★ [Download the Standard](#)

30/30/30 Implementation Process

| | PHASE 1 | PHASE 2 | PHASE 3 | PHASE 4 | PHASE 5 |
|---------------------------|---|---|---|--|---|
| |  Benchmarking |  Discovery |  Communication |  Requirements Gathering |  Implementation |
| Activities and Milestones | <ul style="list-style-type: none"> <input type="checkbox"/> Review Implementation Guide <input type="checkbox"/> Capture baseline figures for current T, T+ processing <input type="checkbox"/> Document role of relevant 3rd parties (EB/CB, Clients, Vendors) <input type="checkbox"/> Inventory contacts of counterparties/escalations <input type="checkbox"/> Document regional considerations (time zone, availability) <input type="checkbox"/> Document system limitations | <ul style="list-style-type: none"> <input type="checkbox"/> Begin daily tracking of give-ins and give-outs <input type="checkbox"/> Identify reasons and patterns for processing delays <input type="checkbox"/> Identify internal timestamps for each activity window | <ul style="list-style-type: none"> <input type="checkbox"/> Initiate conversations with EB/CB, Clients, Vendors, and Service Providers | <ul style="list-style-type: none"> <input type="checkbox"/> Metrics: Establish process for ongoing monitoring of activity windows <input type="checkbox"/> Formalize workflow improvements <input type="checkbox"/> Capture requirements for daily/monthly reporting dashboards | <ul style="list-style-type: none"> <input type="checkbox"/> Request monthly data from CCPs <input type="checkbox"/> Implement daily/monthly reporting dashboards <input type="checkbox"/> Implement remediation plan |
| 6 Planned Start/End | ← | | Month/Quarter/Year | → | |



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The image features the FIA logo centered against a background of large, overlapping geometric shapes in light green, light blue, and light grey. The logo itself consists of the letters 'FIA' in a bold, sans-serif font. The 'F' is dark grey. The 'I' is dark grey with a green triangle on its right side. The 'A' is composed of a green triangle on the left and a blue triangle on the right, with a blue horizontal bar across the middle.

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