

Overview



Overview

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The user guide is designed to guide you through the features and functions of GTN Admin Terminal providing step-by-step instructions and links to all related information that you may require.

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About GTN Admin Terminal



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GTN Admin Terminal (AT) is a Windows based application that handles all the administrative operations required by a stock brokerage. Such operations include client account management, user account management, risk management, and compliance.

AT consists of a master data module that serves as a base for all AT functions. AT ensures stringent security measures on user activity and client activity through entitlements, global security options, audit trails, and broker trading limits.

The Finance module in AT features all Financial management aspects related to transactions handled in the brokerage. Trading charges

and subscription charges are defined and calculated in this module.

The Admin Terminal gives a complete solution by providing a range of reports to capture client details, trading details, stock details and also audit reports.

This Admin Terminal user guide describes the system's functions in a step by step manner, thereby guiding you to use the system with ease.

NOTE: GTN Admin Terminal is Role Based. Some functions described here, may not be visible to you depending on your role.

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This section explains how to get started with the Admin Terminal. The initial steps of using the system are described such as connection settings, log in to the system and change the password.

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Log on / Log off

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This topic describes the log on / log off procedures of the Admin Terminal. You must have a valid user name and a password to use in the system.

PROCEDURE

To log on to the system:

- 1.Double-click on the shortcut icon of Admin Terminal to load the application. The The Login window opens.
- 2.Enter the user name and the password in relevant fields.
- 3.Click **OK** to authenticate the login credentials and log on to the system.

To log off from the system:

- 1.On the **Home** menu, click **Exit**.
- 2.Click **Yes** to confirm exit from the application.

-OR-

- 1.Click **Close** button located at the right hand corner of the Title bar.
- 2.Click **Yes** to confirm exit from the application.

RELATED INFORMATION

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Change password



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Use the Change Password option to change the existing Admin Terminal login password. Once you change your current password to a new one, you are able to login to the system with your new password.

PROCEDURE

To change the login password:

- 1.On the **Home** menu, click **Change Password**.
- 2.In the **Change Password** dialog box, enter your **current password** and the **new password** in relevant fields.
- 3.Re-type the new password in the **Confirm New** field, and click **OK**. If the password change is successful, a message appears confirming the password change.

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Change Connection Settings

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The Connection Settings option holds the IP addresses and port numbers which are used to connect the Admin Terminal with the trading system.

The GTN Admin Terminal is installed with pre-saved connection settings. Use this procedure to change the connection settings if required. You can also test your connection settings once you change them.

You can change the connection settings before or after you log on the system. If these changes are done after you log on to the system, you are prompted to restart the Admin Terminal to apply the new connection settings.

Important! Do not attempt to change the configuration settings without proper direction from your IT department.

PROCEDURE

To change connection settings:

1. On the **Home** menu, click **Connection Settings**. If you are not logged into the system, click **Settings** button at the login prompt.

- 2.Edit the required details in the **Connection Settings** window.
- 3.Click **Save** and confirm changes. You are prompted to restart the application to apply new connection settings.

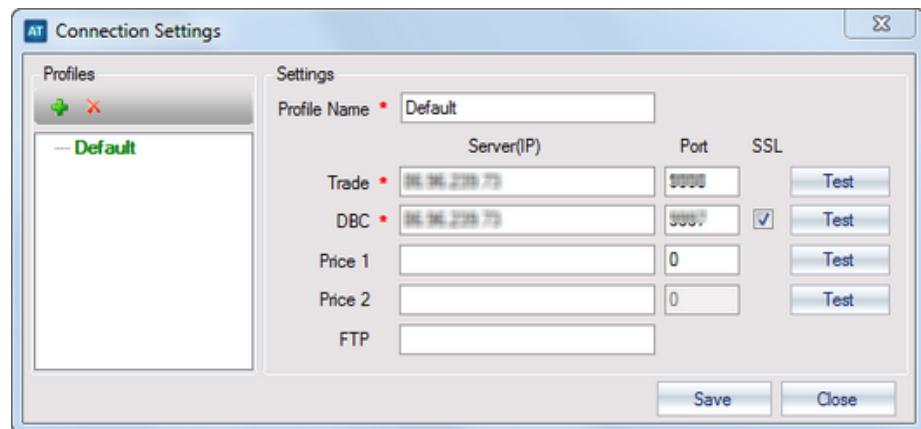


Figure 1: The Connection Settings window

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Change Institution

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When the application is first deployed to a new brokerage house, the system administrators should login to the default institution and create new institutions. Then using the Change Institution option, users can log into the newly created institution.

Use this procedure to change the Institution of the Admin Terminal. Once you select from the list of institutions and change to a new institution, the institution name change is displayed at the title bar of the application.

NOTE: To perform this function, you must have created Institutions under System menu.

PROCEDURE

To change the Institution:

- 1.On the **Home** menu, click **Change Institution**.
- 2.On the Institutions window, double-click on the relevant institution. A message appears confirming the selected Institution as the active Institution.

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This section gives an overview of the user interface and the preferences of Admin Terminal. The most common functions and features available in the system are described here to guide you through the menus, icons and other initial functionalities. Also this section describes how to customize the appearance of the system.

NOTE: It is highly recommended that you read through this section to familiarize yourself with the system.

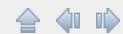
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Interface, Menus, Icons

Exploring the Admin Terminal »



Interface, Menus, Icons

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This section describes the features, functions and display options of the Admin Terminal general interface.

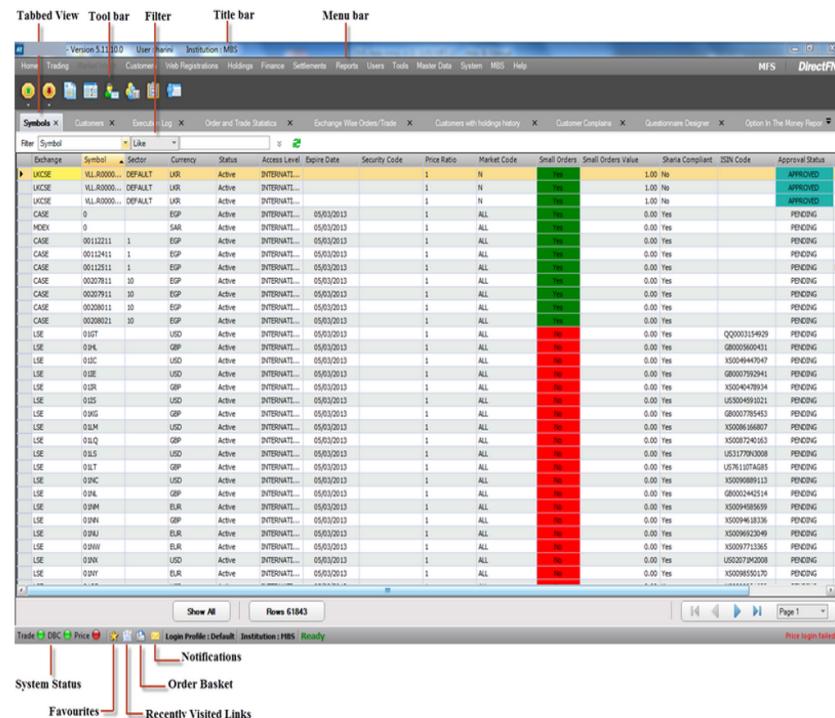


Figure 1: Exploring

the interface

Title bar - This displays application name, version, logged on username and the selected Institution.

Menu bar - Main functions of the system grouped under different categories are accessible from the menu bar.

Toolbar - The most frequently accessed functions are available on the toolbar.

Tabbed view - Each separate window is opened in a tabbed view. You can customize the window display in

tabbed view.

Filter - The filtering function allows you to specify the criteria of the records you want to view.

System Status - A green bulb indicates that the system is ready (connected), while a red bulb indicates that the system is not ready (not connected). Pause the mouse pointer on each connection bulb to view connection details.

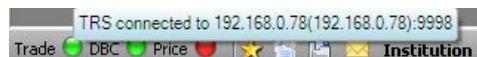


Figure 2: Connection Bulbs

Favorites - Click this icon to view the menu items added as **Favorite Menus** under **User Preferences**. You can access your favorite menus from this list.

Recently Viewed Links - For quick reference and access, click this icon to view the last ten options you have selected.

Order Basket - Click this icon to view orders added to the Order basket which are due to be executed.

Notifications - Click this icon to view the broadcasted messages.

• Shortcut keys

Shortcut keys are available for quick access of specific functions, by pressing a key or a combination of keys on your keyboard.



Figure 3: Shortcut keys in menus

• Window interface

The following icons appear in most windows that are used to enter data.

Mandatory fields

General

Exchange: DFM

Symbol *

Symbol Code

Market Code *: 510

Sector *: [Search icon]

Instrument Type *: CS - Common Stock

Inst. Type Code *: 61 - COMMON_STOCK

Status: Active

Figure 4: Mandatory fields and Search icons

Search - Use this feature to select a value from the list of values applicable to a particular field. When you click this icon, a window opens displaying the data related to that particular field. In that window once you double-click on the row that contains the required value, that value is added to the field.

Mandatory fields - A red asterisk (*) indicates that entering a value in this field is mandatory to complete the relevant task. Eg:- adding a symbol.

• Shortcut menu

The shortcut menu is accessed by right-clicking on the window. The most frequently used commands are available on the shortcut menu. More details on the shortcut menu is available under the Shortcut menu functions topic.

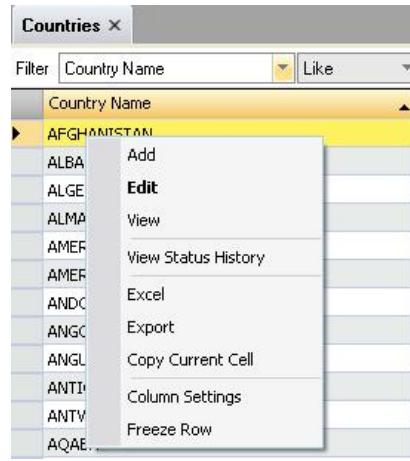


Figure 5: The shortcut menu

• Toolbar Guide

The toolbar contains most frequently used functions represented by icons. A tool tip indicates the function of the icon.

Button	Description
	Displays Buy Order window
	Displays Sell Order window
	Displays All Orders window
	Displays the My Orders window for orders placed by the user
	Displays the list of customers
	Displays the list of users created for the Admin Terminal
	Displays the list of turnover reports of the brokerage
	Displays the list of users currently logged on to the system

RELATED INFORMATION

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Filter



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Filter

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You can filter the records viewed in the interface for easy access. Use this procedure to view the records that meet the criteria you specify. You can find the filter bar appearing on top of each opened window. Also, you can create a filter to combine with the already selected filer for advanced searching.

Note: When adding a filter, you cannot modify individual values that you created. You have to clear the whole filter and enter the criteria again.

PROCEDURE

To search for a record:

1. Select the column name from the column name list.
2. Select the condition from the condition list.
3. Enter the value in the value field.
4. Click the **Refresh** button or press **Enter**. The criteria matching your search is displayed.

The image shows a screenshot of a filter bar. It consists of four main components: a dropdown menu labeled "Filter" containing the text "Exchange", a dropdown menu labeled "Like" containing the text "Like", a text input field labeled "Value field" containing a placeholder "Value", and a green circular "Refresh" button. Below the bar, four labels point to these components: "Column name list" points to the "Filter" dropdown, "Condition list" points to the "Like" dropdown, "Value field" points to the text input field, and "Refresh button" points to the green button.

Figure 1: Filtering a value

To create a filter:

1. Select the column name from the column name list.
2. Select the condition from the condition list.
3. Enter the value in the value field.
4. Click the **Expand** button and then click **Add Filter**.
5. Enter the new filter in the respective fields and click AND or OR as applicable.
6. Click **Refresh**. The criteria matching your selection is displayed.
7. If you want to apply a new filter, Click **Clear Filter**.



Figure 2: Creating a combined Filter

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This page describes how to customize the look of the interface to suit your personal preferences. You can customize the look of all the columns or selected columns as required. Also you can customize the display options of opened windows in tabbed view.

Customizing the Column settings

To customize column settings use **Column Settings** option by right-clicking on the table view. On the Column Settings main window, **Grid Settings** and **Column Settings** are displayed in a tabbed view. Under the **Grid Settings** tab you can customize the grid view of the table, making changes to the height, width, font and background color of the rows. Under the **Column Settings** tab you can do customizations each column of the table.

Also you can change the display order of the columns in the window. To do this, simply click the column header and drag it to the position you want.

Note: The customized column order is not saved when you close the particular window.

PROCEDURE

To change Grid Settings:

- 1.Right-click on a table view, select **Column Settings** on the shortcut menu. The **Grid Settings** tab is displayed on the main Column settings window.
- 2.On the **Grid Settings** tab, do the necessary changes on colors, fonts, and rows as required. (Refer to Figure 1)

3.Click **Save** and confirm changes.

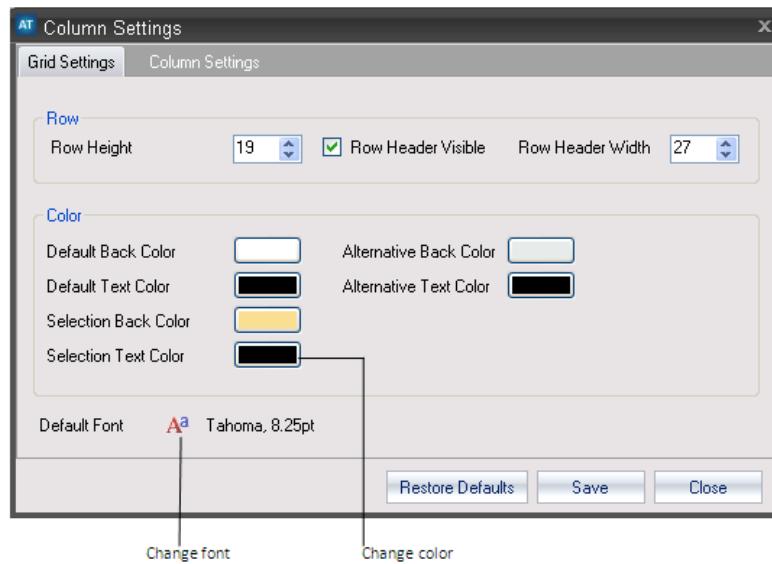


figure 1: changing grid settings

To change Column settings:

- 1.Right-click on a table view, select **Column Settings** on the shortcut menu.
- 2.On the Column Settings main window, select **Column settings** tab.
- 3.Do the necessary changes to the columns such as column name, font, color etc.. Also you can show/hide certain columns by using the **Visible** option. From **Frozen** option, you can freeze any column at a particular point in the window. This column remains fixed at that position while you scroll through the window. (Refer to Figure 2)
- 4.Click **Save** and confirm changes.

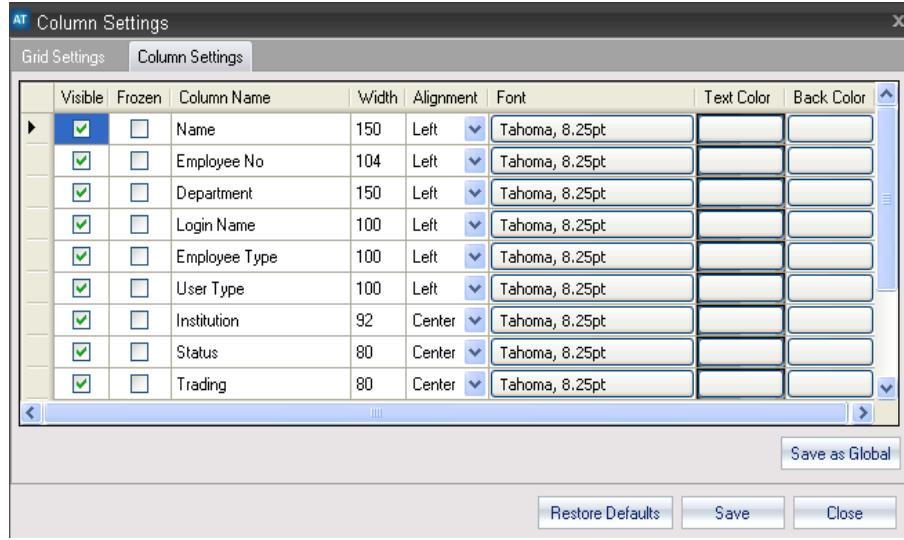


figure 2: changing column settings

NOTES:

- When saving changes, if you select **Save**, the changes are applied only to that window. If you select **Save as Global**, the particular changes are applied throughout the application for the selected columns.
- After making the customizations, you can select **Restore defaults** if you want to revert to the original settings.

Customizing the Tabbed view

By default, each opened window is displayed as a sequence in a tabbed view. You can change this view to either a vertical tab view or a horizontal tab view.

To change the tabbed view:

- Right-click on a tab and select either **New Horizontal Tab** or **New Vertical Tab Group** on the shortcut menu. The tabs appear vertically or horizontally as selected.

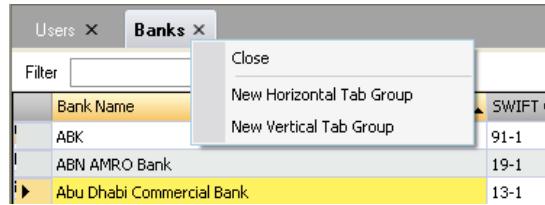


figure 3: tab view options on the shortcut menu

Note: To restore opened windows to the default tab view, right-click on a tab and select **Move Next** or **Move Previous**.

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User Preferences

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Use these procedures to customize the default values used in Admin Terminal and to set up certain options according to the user's preferences. Eg:- From **Favorite Menus** option, you can group your favorite and frequently accessed menu items. The Favorites list can be accessed by clicking the star () icon on the bottom panel of the interface.

Once you complete this procedure the customized values, favorite menus and other preferences are saved and applied in the system accordingly.

Note: If you need to revert to default settings you can select **Restore defaults** option in the User Preferences window.

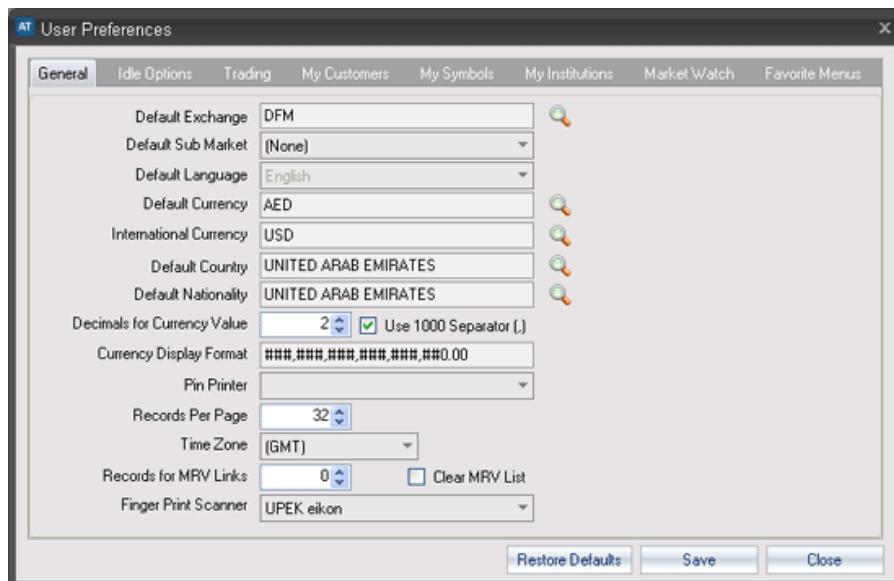


figure 1: User Preferences window

Following is a brief description of each tab that appears under User Preferences.

Tab	Description
General	Lists general parameters such as default exchange, default currency and currency format etc..
Idle Options	Displays idle timeout of the application.
Trading	Lists preferences related to trading functionalities.
My Customers	Lists selected customers by the user for quick and easy reference.
My Symbols	Lists selected symbols by user for quick and easy reference.
My Institutions	Lists selected institutions by user for quick and easy reference.
Favorite Menus	Displays selected favorite menus as per user's preferences and easy reference.

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Refresh Local Cache



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Refresh Local Cache

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Use this procedure to clear all cached data and references of Admin terminal that are saved in the local computer. The data related to certain functions in AT such as report generating, stock master files and user customizations are cached in the system for quick retrieval. You can select individual options or **Refresh All** option to clear cache depending on your requirement.

Once you complete this procedure depending on your selections, certain options are reverted to system default settings and other related data/information is re-downloaded for the next attempt of the particular function.

Note: If you select **Refresh All** option, Admin terminal is

prompted for restarting to apply the changes.

PROCEDURE

To clear the cache:

- 1.On the **Home** menu select **Refresh Local Cache**.
- 2.On the **Refresh Local Cache** window, select the check boxes corresponding to the relevant options.
- 3.Optional: Select **Refresh All** if you want to delete all cached data.
- 4.Click **Refresh**. A message appears inquiring whether you want to clear cache files.
- 5.Click **Yes**. A message appears confirming the action.

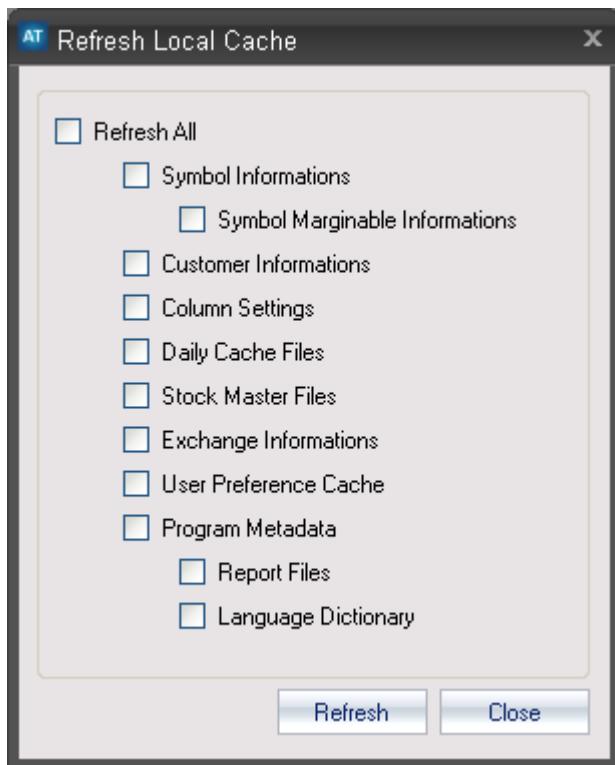


Figure 1: Refresh Local Cache window

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Setting up Master data

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Admin Terminal facilitates configuration and seamless creation of Master Data required by the system. A comprehensive set of business entities that serves as master data is defined in the Admin Terminal. This information may include data about employees, clients, symbols, standards, etc,. Master data have to be defined prior to commencing the operational functions of the system.

It is important to pay due diligence when you enter master data, to ensure precise functioning of the system.

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[Institution Wise Messages](#)
[Client Messages](#)
[Collateral Types](#)
[Nationality Category](#)
[Countries](#)
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Symbols Management



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Symbols Management

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Symbols Management option allows you to create and hold details on Symbols, Sectors and Asset Management companies, etc..

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Exchange



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Exchange

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In this section you will learn about how to work with exchanges.

PROCEDURE

To view an exchange:

1. On the **System** menu point to **Exchange**, click **Exchanges** option.
2. If you want to view the Trading Markets, on the **System** menu point to **Exchange**, click **Trading Markets** option.

To add Exchange:

1. On the **System** menu point to **Exchange**, click **Exchanges** option.
2. On the **Exchanges** window, right-click and then click **Add**.
3. Fill in the required fields and select the relevant options.

To edit an exchange:

- 1.On the **System** menu point to **Exchange**, click **Exchanges** option.
- 2.On the **Exchanges** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected symbol.
- 4.Click **Save** and confirm changes.

Symbols



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Symbols

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In this section you will learn about how to work with symbols. Master Data menu holds symbol data such as Sharia Compliant, ISIN Code, Reuters Code, etc. The status of the Symbol is updated using FIX messages.

PROCEDURE

To view Symbols:

1. On the **Master data** menu point to **Symbols Management**, click **Symbols** option.

To add Symbols:

1. On the **Master Data** menu point to **Symbols Management**, click **Symbols** option.
2. On the **Symbols** window, right-click and then click **Add**.

3.Fill in the required fields and select the relevant options.

NOTE: If you're adding the symbol as Non Sharia symbol, clear the **Sharia Compliant** check box.

4.Click **Save** and confirm changes. The new record appears at the last row in the current **Symbols** window.

To edit Symbols:

- 1.On the **Master Data** menu point to **Symbols Management**, click **Symbols** option.
- 2.On the **Symbols** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected symbol.
- 4.Click **Save** and confirm changes.

To copy Symbols:

- 1.On the **Master Data** menu point to **Symbols Management**, click **Symbols** option.

- 2.On the **Symbols** window, right-click and then click **Copy**.
- 3.Do the necessary changes.
- 4.Click **Save** and confirm changes. The new record appears at the last row in the current **Symbols** window.

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Auxiliary Symbols



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Auxiliary Symbols

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This feature allows to make all symbols (in all supported markets) available in the OMS itself. By adding symbols to Auxiliary Symbols category, you can keep all symbols in a separate table (Auxiliary table) and move them to a relevant table when an order comes in. This can make sure both orders get processed faster and symbol table doesn't get cluttered with all not used symbols.

PROCEDURE

To view Auxiliary Symbols:

On the **Master data** menu, point to **Symbols Management**, click **Auxiliary Symbols** option.

-

To add Auxiliary Symbols:

Auxiliary Symbols can be added by following two processes.

Automated process:

- Symbols are automatically added to the Auxiliary table by a daily automated process (snapshot update service).

Manual process:

- 1.On the **Master Data** menu, point to **Symbols Management**, click **Auxiliary Symbols** option.
- 2.On the **Auxiliary Symbols** window, right-click and then click **Add Symbol**.
- 3.Fill in the required fields and select the relevant options.

RELATED INFORMATION

[Sectors, Auxiliary Symbols Bulk Upload, Instrument Types, Commodities, Mutual Funds, Assets Management Companies](#)

Auxiliary Symbols Bulk Upload



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Auxiliary Symbols Bulk Upload

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As there are lots of symbols registered in an exchange, you can manually upload them to the main symbol table of the OMS as a bulk. Even though the symbols are added automatically to the main symbol table when an order comes in, a user can add them manually by using the Auxiliary Symbol Bulk Upload option. With this feature you can add selected set of symbols to the main symbol table (M77).

PROCEDURE

To upload Symbols as a bulk:

1. On the **Master data** menu, point to **Symbols Management**, click **Auxiliary Symbols** option.
2. Select the required Exchange and click **Load**.

3.Fill in the required fields and select the relevant options.

3.Click **Execute**.

RELATED INFORMATION

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Sectors



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Master Data menu allows you to define sectors (the industries which different Symbols belong to. e.g. Software, Telecommunication etc..)

PROCEDURE

To view Sectors:

1. On the **Master data** menu, point to **Symbols Management**, click **Sectors** option.
2. On the **Sectors** window, right-click and then click **View**.

To add Sectors:

1. On the **Master data** menu, point to **Symbols Management**, click **Sectors** option.
2. On the **Sectors** window, right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Sectors:

- 1.On the **Master data** menu point to **Symbols Management**, click **Sectors** option.
- 2.On the **Sectors** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Instrument Types



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Instrument Types

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An exchange would facilitate trading on different instrument types such as Bonds, Options, Forex, Futures etc.. Use this procedure to work with instrument types under Master Data menu.

PROCEDURE

To view Instrument Types:

1. On the **Master data** menu point to **Symbols Management**, click **Instrument Types** option.
2. On the **Instrument Types** window, right-click and then click **View**.

To add Instrument Types:

1. On the **Master data** menu point to **Symbols Management**, click **Instrument Types** option.
2. On the **Instrument Types** window, right-click

and then click **Add**.

3. Fill in the required fields.

4. Click **Save** and confirm changes.

To edit Instrument Types:

1. On the **Master data** menu point to **Symbols Management**, click **Instrument Types** option.
2. On the **Instrument Types** window, right-click and then click **Edit**.
3. Do the necessary editing for the selected Instrument Type.
4. Click **Save** and confirm changes.

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Commodities



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On the Master data menu, you are given the option of working with Commodities. Mainly this option is used for currency tradings.

PROCEDURE

To view Commodities:

1. On the **Master data** menu point to **Symbols Management**, click **Commodities** option.
2. On the **Commodities** window, right-click and then click **View**.

To add Commodities:

1. On the **Master data** menu point to **Symbols Management**, click **Commodities** option.
2. On the **Commodities** window, right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Commodities:

- 1.On the **Master data** menu point to **Symbols Management**, click **Commodities** option.
- 2.On the **Commodities** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Mutual Funds



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You can manage (add / edit) mutual fund symbols by using this menu.

PROCEDURE

To view Mutual Funds:

1. On the **Master data** menu point to **Symbols Management**, click **Mutual Funds** option.
2. On the **Mutual Funds** window, right-click and then click **View**.

To add Mutual Funds:

1. On the **Master data** menu point to **Symbols Management**, click **Mutual Funds** option.
2. On the **Mutual Funds** window, right-click and then click **Add**.
3. Fill in the required fields.

4.Click **Save** and confirm changes.

To edit Mutual Funds:

- 1.On the **Master data** menu point to **Symbols Management**, click **Mutual Funds** option.
- 2.On the **Mutual Funds** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

Assets Management Companies



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Assets management companies details are accessible through Mater data menu. These companies are registered with the system to manage a specific mutual fund.

PROCEDURE

To view Assets Management Companies:

1. On the **Master data** menu point to **Symbols Management**, click **Assets Management Companies** option.
2. On the **Assets Management Companies** window, right-click and then click **View**.

To add Assets Management Companies:

- 1.On the **Master data** menu point to **Symbols Management**, click **Assets Management Companies** option.
- 2.On the **Assets Management Companies** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Assets Management Companies:

- 1.On the **Master data** menu point to **Symbols Management**, click **Assets Management Companies** option.
- 2.On the **Assets Management Companies** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

Symbols, Sectors, Instrument Types, Commodities

Institutional Non Sharia Symbols



Setting up Master data » Symbols Management »

Institutional Non Sharia Symbols

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Non sharia symbols that belong to the customer's institution are displayed here.

PROCEDURE

To add Institutional Non Sharia Symbols:

1. On the **Master data** menu point to **Symbols Management**, click **Institutional Non Sharia Symbols** option.
2. On the **Institutional Non Sharia Symbols** window, right-click and then click **Add**.
3. Double click on the required symbol. The symbol will be added to the window.

To remove a Non Sharia symbol from a customer's institution:

1. On the **Institutional Non Sharia Symbols** window, right-click on the symbol and then click **Remove**.
2. Click **Yes** to confirm the action and then **OK**.

Fixed Income Symbol Prices



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Fixed Income Symbol Prices

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You can check the prices of fixed income symbols from the **Fixed Income Symbol Prices** option.

PROCEDURE

To view Fixed Income Symbol Prices:

- On the **Master data** menu point to **Symbols Management**, click **Fixed Income Symbol Prices** option.

Reconcile Missing Futures



Setting up Master data » Symbols Management »

Reconcile Missing Futures

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This option lets you reconcile missing futures at the end of the day.

PROCEDURE

To view Reconcile Missing Futures:

- On the **Master data** menu point to **Symbols Management**, click **Reconcile Missing Futures** option.

Todays Snapshot



Setting up Master data » Symbols Management »

Todays Snapshot

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A snapshot of the market can be viewed in this section. This Master Data view contain data contains the bid prices, Max and min values, volumes, turnover and etc for each symbol.

PROCEDURE

To view Symbols:

1. On the **Master data** menu point to **Symbols Management**, click **Todays Snapshot** option.

To add Symbols:

1. On the **Master Data** menu point to **Symbols Management**, click **Todays Snapshot** option.
2. On the **Symbols** window, right-click and then click **Add**.
3. Click on the find icon, next to the Symbol field, find the symbol.

- 4.Double click on the symbol to add it to the symbol form.
- 5.Fill all the necessary fields in the form
- 6.Click **Save**.

To edit Symbols:

- 1.On the **Master Data** menu point to **Symbols Management**, click **Todays Snapshot** option.
- 2.On the **Symbols** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected symbol.
- 4.Click **Save**.

RELATED INFORMATION

[Sectors, Instrument Types,](#)
[Commodities, Assets Management](#)
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Finance

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Finance

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This section explains Finance option that allows you to create and hold details on Banks, Currencies etc..

TOPICS IN THIS SECTION

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[Charges & Refunds Settings](#)

[Chart of Accounts](#)

[Deposit/Withdraw Reasons](#)

[Cost centers](#)

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[Interbank Reference Rates](#)

Banks



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Banks

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Use this procedure to add Banks to the Admin Terminal. Master Data menu holds the list of banks that are used in customer transactions. The banks added from this option are available to select when adding Bank Accounts from the Finance menu.

PROCEDURE

To view Banks:

1. On the **Master data** menu point to **Finance**, click **Banks** option.
2. On the **Banks** window right-click and then click **View**.

To add Banks:

1. On the **Master data** menu point to **Finance**, click **Banks** option.

- 2.On the **Banks** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Banks:

- 1.On the **Master data** menu point to **Finance**, click **Banks** option.
- 2.On the **Banks** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Charges & Refunds Settings](#), [Chart of Accounts](#), [Cost Centers](#),
[Currencies](#), [Locations](#), [Cheque Collection Locations](#)

Charges & Refunds Settings



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Charges & Refunds Settings

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Master data menu allows you to create Charges and Refunds that are applied for a customer. A customer would be charged by brokerage for certain services rendered like fees for security/cash transfer, account maintenance fee, bank charges, etc.. Same way, There are refunds made to the customers on trading and brokerage functions due to different reasons.

PROCEDURE

To add Charges / Refunds:

1. On the **Master data** menu point to **Finance**, click **Charges & Refunds Settings** option.
2. On the **Charges & Refunds Settings** window, right-click and then click **Add**.

3.Fill in the required fields and select relevant options.

4.Click **Save** and confirm changes.

To edit Charges / Refunds:

- 1.On the **Master data** menu point to **Finance**, click **Charges & Refunds Settings** option.
- 2.On the **Charges & Refunds Settings** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks](#), [Chart of Accounts](#), [Cost Centers](#), [Currencies](#), [Locations](#),
[Cheque Collection Locations](#)

Chart of Accounts



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Chart of Accounts

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In the finance menu, Chart of Accounts displays the records of bank details with reference to accounting systems associated with Admin Terminal.

PROCEDURE

To view an Account:

1. On the **Master data** menu point to **Finance**, click **Chart of Accounts** option.
2. On the **Chart of Accounts** window, right-click and then click **View**.

To add an Account:

1. On the **Master data** menu point to Finance, click **Chart of Accounts** option.
2. On the **Chart of Accounts** window, right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit an Account:

- 1.On the **Master data** menu point to **Finance**, click **Chart of Accounts** option.
- 2.On the **Chart of Accounts** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Cost Centers, Currencies,](#)
[Locations, Cheque Collection](#)
[Locations](#)

Deposit/Withdraw Reasons



Setting up Master data » Finance »

Deposit/Withdraw Reasons

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Deposit / Withdraw reasons are the reasons that a customer selects when making a deposit or a withdraw. The reasons which are listed in Admin Terminal are pushed to customer's side, and when he is making a deposit/withdraw the customer can select the relevant reason. You can add more reasons or edit them whenever required.

PROCEDURE

To view and manage the Deposit/Withdraw Reasons:

1. On the **Master data** menu point to **Finance**, click **Deposit/Withdraw Reasons** option.

2.Right-click on a record and then click **Approve / Reject** as required.

To add a reason:

1.On the **Master data** menu point to Finance, click **Deposit/Withdraw Reasons** option.

3.Fill in the required fields.

4.Click **Save** and confirm changes.

To edit a reason:

1.On the **Master data** menu point to **Finance**, click **Deposit/Withdraw Reasons** option.

2.On the **Deposit/Withdraw Reasons** window, right-click and then click **Edit**.

3.Do the necessary editing for the selected record.

4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Cost Centers, Currencies,](#)
[Locations, Cheque Collection](#)
[Locations](#)

Cost Centers



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Cost Centers

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Master Data table allows you to set up different cost centers connected to the exchange.

PROCEDURE

To view Cost Centers:

1. On the **Master data** menu point to **Finance**, click **Cost Centers** option.
2. On the **Cost Centers** window, right-click and then click **View**.

To add Cost Centers:

1. On the **Master data** menu point to **Finance**, click **Cost Centers** option.
2. On the **Cost Centers** window, right-click and then click **Add**.
3. Fill in the required fields.

4.Click **Save** and confirm changes.

To edit Cost Centers:

- 1.On the **Master data** menu point to **Finance**, click **Cost Centers** option.
- 2.On the **Cost Centers** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Chart of Accounts,](#)
[Currencies, Locations, Cheque](#)
[Collection Locations](#)

Currencies



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Currencies

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Use this procedure to Add/Edit Currencies to the Admin Terminal. There are several different options in Admin Terminal where currency lists are available to choose a currency for various Finance related activities.

Eg:- The Currencies added from this option, are available to select when setting up Exchange Rates under the finance menu and also used when adding Commission Structures.

PROCEDURE

To add Currencies:

1. On the **Master data** menu point to **Finance**, click **Currencies** option.
2. On the **Currencies** window, right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Currencies:

- 1.On the **Master data** menu point to **Finance**, click **Currencies** option.
- 2.On the **Currencies** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Chart of Accounts, Cost Centers, Locations, Cheque Collection Locations](#)

Incomplete FIX Order Controls



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Incomplete FIX Order Controls

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You can add FIX message details here for incomplete desk orders. So when an incomplete desk order comes to OMS, it makes a connection based on the details given here.

PROCEDURE

To add Incomplete FIX Order Controls:

1. On the **Master data** menu point to **Finance**, click **Incomplete FIX Order Controls** option.
2. On the **Incomplete FIX Order Controls** window, right-click and then click **Add**.
3. Fill in the required fields.
4. Click **Save** and confirm changes.

To edit Incomplete FIX Order Controls:

- 1.On the **Master data** menu point to **Finance**, click **Incomplete FIX Order Controls** option.
- 2.On the **Incomplete FIX Order Controls** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Chart of Accounts,](#)
[Deposit/Withdraw Reasons Cost](#)
[Centers, Locations, Currencies,](#)
[Cheque Collection Locations](#)

Signup Locations



Setting up Master data » Finance »

Signup Locations

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In this option, you can Add / Edit sign-up locations and service locations.

PROCEDURE

To add Locations:

1. On the **Master data** menu point to **Finance**, click **Signup Locations** option.
2. On the **Locations** window, right-click and then click **Add**.
3. Fill in the required fields.
4. Click **Save** and confirm changes.

To edit Locations:

1. On the **Master data** menu point to **Finance**, click **Signup Locations** option.
2. On the **Locations** window, right-click and then

click **Edit**.

3. Do the necessary editing for the selected record.

4. Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Chart of Accounts, Cost Centers, Currencies, Cheque Collection Locations](#)

Cheque Collection Locations



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Cheque Collection Locations

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Cheque Collection Locations hold reference data of locations where customers' cheques have been collected.

PROCEDURE

To view Cheque Collection Locations:

1. On the **Master data** menu point to **Finance**, click **Cheque Collection Locations** option.
2. On the **Cheque Collection Locations** window, right-click and then click **View**.

To add Cheque Collection Locations:

1. On the **Master data** menu point to **Finance**, click **Cheque Collection Locations** option.

- 2.On the **Cheque Collection Locations** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Cheque Collection Locations:

- 1.On the **Master data** menu point to **Finance**, click **Cheque Collection Locations** option.
- 2.On the **Cheque Collection Locations** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Banks, Charges & Refunds](#)
[Settings, Chart of Accounts, Cost Centers, Currencies, Locations](#)

Custody Fee



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Custody Fee

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The custody fee enables to create a new custody account for each exchange and to define below:

- Transaction fee Calculation method and levels
- Safe custody fee calculation method and levels
- Minimum custody fee and settle fee
- Currency and exchange

Under this a transaction fee will be charged based on the number of transactions, number of executions or per symbol per trade. For Safe custody fee, based on either month end portfolio value or daily average portfolio value a fee will be charged.

PROCEDURE

To view Custody fee groups:

1. On the main menu click on **Finance** and point to

Custody Fee Group, click **Custody Fee Group** option.

2.The custody fee list will appear.

To add Custody fee groups:

- 1.On the main menu click on **Finance** and point to **Custody Fee Group**, click **Custody Fee Group** option.
- 2.Right-click on the list and click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Custody fee groups:

- 1.On the main menu click on **Finance** and point to **Custody Fee Group**, click **Custody Fee Group** option.
- 2.Right-click on the list and click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

Incentive Schemes



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Incentive Schemes

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Use this procedure to add incentive schemes to the Admin Terminal. The incentive scheme can be set for individual customers, according to a preferred scheme defined by the user.

PROCEDURE

To view Incentive Schemes:

1. On the **Master data** menu point to **Finance**, click **Incentive schemes** option.
2. On the **Incentive Schemes** window right-click and then click **View**.

To add Banks:

1. On the **Master data** menu point to **Finance**, click **Incentive schemes** option.

- 2.On the **Incentive Schemes** window right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Banks:

- 1.On the **Master data** menu point to **Finance**, click **Incentive schemes** option
- 2.On the **Incentive Schemes** window right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

Interbank Reference Rates



Setting up Master data » Finance »

Interbank Reference Rates

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Use this procedure to add Interbank Reference Rates to the Admin Terminal.

PROCEDURE

To view Interbank Reference Rates:

1. On the **Master data** menu point to **Finance**, click **Interbank Reference Rates** option.
2. On the **Interbank Reference Rates** window right-click and then click **View**.

To add Banks:

1. On the **Master data** menu point to **Finance**, click **Interbank Reference Rates** option.
2. On the **Interbank Reference Rates** window right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Banks:

- 1.On the **Master data** menu point to **Finance**, click **Interbank Reference Rates** option
- 2.On the **Interbank Reference Rates** window right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

Institution Wise Messages



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Customizable error messages available in the system are shown here. You can edit these messages for a specific institution in both Arabic and English.

PROCEDURE

To view Institution Wise Messages:

- On the **Master data** menu click **Institution Wise Messages**.

To edit Institution Wise Messages:

- 1.On the **Master data** menu click **Institution Wise Messages**.

- 2.On the **Institution Wise Messages** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Client Messages

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Client Messages

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By using this option, you can add customized messages which will show to customers instead of the messages sent from the exchange.

PROCEDURE

To view Client Messages:

1. On the **Master data** menu click **Client Messages**.
2. On the **Client Messages** window, right-click and then click **View**.

To add Client Messages:

1. On the **Master data** menu click **Client Messages**.
2. On the **Client Messages** window, right-click and then click **Add**.

3.Enter the **Actual Message** and the **Client Message**.

4.Click **Save** and confirm changes.

To edit Client Messages:

1.On the **Master data** menu click **Client Messages**.

2.On the **Client Messages** window, right-click and then click **Edit**.

3.Do the necessary editing for the selected record.

4.Click **Save** and confirm changes.

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Collateral Types

Setting up Master data »



Collateral Types

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Master data menu holds details of Collateral types that are associated with Margin Trading.

PROCEDURE

To view Collateral Types:

1. On the **Master data** menu click **Collateral Types**.
2. On the **Collateral Types** window, right-click and then click **View**.

To add Collateral Types:

1. On the **Master data** menu click **Collateral Types**.
2. On the **Collateral Types** window, right-click and then click **Add**.
3. Fill in the required fields.

4.Click **Save** and confirm changes.

To edit Collateral Types:

- 1.On the **Master data** menu click **Collateral Types**.
- 2.On the **Collateral Types** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Nationality Category



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Nationality Category

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Master Data menu enables you to add/edit Nationality of customers registered in the system.

PROCEDURE

To add Nationality Category:

1. On the **Master data** menu click **Nationality Category**.
2. On the **Nationality Category** window, right-click and then click **Add**.
3. Fill in the required fields.
4. Click **Save** and confirm changes.

To edit Nationality Category:

1. On the **Master data** menu click **Nationality Category**.

- 2.On the **Nationality Category** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Countries

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This option lists the records of users' countries and their Nationalities.

PROCEDURE

To view Countries:

1. On the **Master data** menu click **Countries**.
2. On the **Countries** window, right-click and then click **View**.

To add Countries:

1. On the **Master data** menu click **Countries**.
2. On the **Countries** window, right-click and then click **Add**.
3. Fill in the required fields.
4. Click **Save** and confirm changes.

To edit Countries:

- 1.On the **Master data** menu click **Countries**.
- 2.On the **Countries** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Reporting Cash Account Types

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These cash account types are used in Customer Cash Balances report as a filtering criteria.

PROCEDURE

To view Reporting Cash Account Types:

1. On the **Master data** menu click **Reporting Cash Account Types**.
2. On the **Reporting Cash Account Types** window, right-click and then click **View**.

To add Reporting Cash Account Types:

1. On the **Master data** menu click **Reporting Cash**

Account Types.

- 2.On the **Reporting Cash Account Types** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Reporting Cash Account Types:

- 1.On the **Master data** menu click **Reporting Cash Account Types**.
- 2.On the **Reporting Cash Account Types** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Titles



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Titles

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Master Data menu holds customers' titles (such as Mr.,Mrs.,Dr.,) to be used in customer records.

PROCEDURE

To add Titles:

- 1.On the **Master data** menu click **Titles**.
- 2.On the **Titles** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Titles:

- 1.On the **Master data** menu click **Titles**.
- 2.On the **Titles** window, right-click and then click **Edit**.

- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

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Organizational

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Organizational

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The Organizational section allows you to set up master data relevant to certain categorizations such as Departments, Employee Subtypes, etc.. This is done as per the Organizational requirements of recording specific categorized data.

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Audit Actions



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Audit Actions

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In Audit actions, you are able to view actions performed on the system related to certain operational categories such as commission, finance, master data etc..

PROCEDURE

To view Audit Actions:

- On the **Master data** menu point to **Organizational**, click **Audit Actions** option.

RELATED INFORMATION

[Departments](#), [Employee Subtypes](#),
[Institutional Services](#)

Departments



Setting up Master data » Organizational »

Departments

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This option allows you to add/edit different types of departments within the organization.

PROCEDURE

To add Departments:

1. On the **Master data** menu point to **Organizational**, click **Departments** option.
2. On the **Departments** window, right-click and then click **Add**.
3. Enter the name for the new department type.
4. Click **Save** and confirm changes.

To edit Departments:

1. On the **Master data** menu point to **Organizational**, click **Departments** option.

- 2.On the **Departments** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the department name field.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Audit Actions](#), [Employee Subtypes](#),
[Institutional Services](#)

Employee Subtypes



Setting up Master data » Organizational »

Employee Subtypes

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This option allows you to add/edit Employee Subtypes relevant to the system defined Employee Types. When adding an Employee Subtype, you can select the corresponding Employee Type and select the ranking for that subtype.

PROCEDURE

To add Employee Subtypes:

1. On the **Master data** menu point to **Organizational**, click **Employee Subtypes** option.
2. On the **Employee Subtypes** window, right-click and then click **Add**.
3. Fill in the required fields.
4. Click **Save** and confirm changes.

To edit Employee Subtypes:

1. On the **Master data** menu point to **Organizational**, click **Employee Subtypes** option.
2. On the **Employee Subtypes** window, right-click and then click **Edit**.
3. Do the necessary editing for the selected record.
4. Click **Save** and confirm changes.

RELATED INFORMATION

[Audit Actions](#), [Departments](#),
[Institutional Services](#)

Institutional Services



Setting up Master data » Organizational »

Institutional Services

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Mater data menu enables you to add Institutional Services that are defined in order to differentiate the commission structure applied on different types of orders. Apart from system defined services types such as **DMA**, **Algorithmic** and **High touch** which are not configurable, you can add/edit custom defined Institutional Services.

PROCEDURE

To add Institutional Services:

1. On the **Master data** menu point to **Organizational**, click **Institutional Services** option.
2. On the **Institutional Services** window, right-click and then click **Add**.

- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit Institutional services:

- 1.On the **Master data** menu point to **Organizational**, click **Institutional Services** option.
- 2.On the **Institutional Services** window, right-click and then click **edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Audit Actions](#), [Departments](#),
[Employee Subtypes](#)

User Types



Setting up Master data » Organizational »

User Types

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This option allows you to add/edit User Types relevant to the system defined User Types. .

PROCEDURE

To add User Types:

- 1.On the **Master data** menu point to **Organizational**, click **User Types** option.
- 2.On the **User Types** window, right-click and then click **Add**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes.

To edit User Types:

- 1.On the **Master data** menu point to **Organizational**, click **User Types** option.

- 2.On the **User Types** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

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[Institutional Services](#)

Insider Information



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Insider Information

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Insider information provides details of the attached companies to the brokerage and the designations of employees associated with those companies.

TOPICS IN THIS SECTION

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Companies



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Companies

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In this option you can add/edit/view companies that are listed under Insider Information.

PROCEDURE

To view Companies:

1. On the **Master data** menu point to **Insider Information**, click **Companies** option.
2. On the **Companies** window, right-click and then click **View**.

To add Companies:

1. On the **Master data** menu point to **Insider Information**, click **Companies** option.
2. On the **Companies** window, right-click and then click **Add**.
3. Enter the name for the new company.

4.Click **Save** and confirm changes.

To edit Companies:

- 1.On the **Master data** menu point to **Insider Information**, click **Companies** option.
- 2.On the **Companies** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the company name.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Designations](#)

Designations



Setting up Master data » Insider Information »

Designations

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This option allows you to add/edit designations of the employees of listed companies.

PROCEDURE

To add Designations:

1. On the **Master data** menu point to **Insider Information**, click **Designations** option.
2. On the **Designations** window, right-click and then click **Add**.
3. Type the name of the designation.
4. Click **Save** and confirm changes.

To edit Designations:

1. On the **Master data** menu point to **Insider Information**, click **Designations** option.

- 2.On the **Designations** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the designation name.
- 4.Click **Save** and confirm changes.

RELATED INFORMATION

[Companies](#)

Marital Status

Setting up Master data »



Marital Status

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You can maintain system wise marital status here. Marital Status is used in individual customer registration applications.

PROCEDURE

To view Marital Status:

- On the **Master data** click **Marital Status** option.

Economic Sectors



Setting up Master data »

Economic Sectors

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You can maintain system wise economic sectors here. Economic sectors are used in corporate customer registration applications.

PROCEDURE

To view Economic Sectors:

- On the **Master data** click **Economic Sectors** option.

Legal Status

Setting up Master data »



Legal Status

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You can maintain system wise legal status here. Legal Status is used in corporate customer registration.

PROCEDURE

To view Legal Status:

- On the **Master data** click **Legal Status** option.

Funding Agents



Setting up Master data »

Funding Agents

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You can maintain include funding agents.

PROCEDURE

To add Funding Agents:

1. On the **Master data** click **Funding Agent** option.
2. Right-click and select **Add**
3. Enter the required fields and click **Save**.

To edit Funding Agents:

1. On the **Master data** menu point to **Organizational**, click **Funding Agents** option.
2. On the **Funding Agent** window, right-click and then click **Edit**.
3. Do the necessary editing for the selected record.
4. Click **Save**.

Document Management

Setting up Master data »



Document Types



Setting up Master data » Document Management »

Document Types

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A customer, when registering with the brokerage should provide a set of documents to the brokerage as per the regulatory requirement. With this option, you can maintain all these documents in the system with an expiry date and inform the Relation Manager (RM) & relevant departments prior to the expiry. Following are examples of the document types that a particular customer would provide:

- ✓KYC documents
- ✓Due-diligence documents
- ✓Legal Documents

PROCEDURE

To add Document Types to the system:

- 1.On the **Master data** menu point to **Document Management** and click **Document Types**.
- 2.On the **Document Types** window, right-click and then click **Add**.
- 3.Fill in the required fields in the window.
- 4.Click **Save** and confirm it.

To edit Document Types:

- 1.On the **Master data** menu point to **Document Management** and click **Document Types**.
- 2.On the **Document Types** window, right-click and then click **Edit**.
- 3.Fill in the required fields in the window.
- 4.Click **Save** and confirm it.

To delete Document Types from the system:

- 1.On the **Master data** menu point to **Document Management** and click **Document Types**.
- 2.On the **Document Types** window, right-click and then click **Mark for delete**.
- 3.Click **OK** to confirm the action.

Customer Types



Setting up Master data » Document Management »

Customer Types

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This menu is given to define the customer types. The following are examples of the customer types.

- ✓ Regional Institutional Clients
- ✓ International Institutional Clients
- ✓ Corporate♦s/Asset Managers
- ✓ Fund Houses (AMC)
- ✓ Investment Advisory Companies

PROCEDURE

To add Customer Types to the system:

1. On the **Master data** menu point to **Document Management** and click **Customer Types**.
2. On the **Customer Types** window, right-click and then click **Add**.
3. Fill in the required fields in the window.

- 4.Click **Save** and confirm it.
- 5.Double-click on the saved customer type and go to **Selected Document** tab to assign up-loadable documents to the customer type.
- 6.When you assign a document, e.g. ♦ Passport, you can set whether it♦s mandatory for a customer. Also you can set whether the expiry date of the document is mandatory or not.

Notes:

- The customer types defined above are shown in the **Customer Type** drop down (Customer **Edit** -> **Account Information**).
- Documents required to be uploaded is displayed in **Customer Summary** -> **Documents** tab according to ♦Customer Type♦ of that customer.
- If the expiry date is mandatory, you have to set the expiry date of the document using **Expiry Date** column in **Customer Summary** -> **Documents** tab.

Upon replacing an existing document with an updated/new document, you will get 2 options.

- Option 1 ♦ Overwrite the existing document. You will not be able to retrieve the old document.
- Option 2 ♦ Archive the uploaded document so that old and new documents can be retrieved later.

Note: You will be able to set the expiry date for the new/active document only.

- A configuration is added at the Institutional level to identify the notification period of documents expiry, for example: if this parameter is set as 90, system will send a document expiry notification/reminder to an email notification group configured at institution level.
- In addition to above, an email is sent to customer♦'s email address and if Customer Account is associated with RM, the email will be copied to RM as well.

Uploadable Documents



Setting up Master data » Document Management »

Uploadable Documents

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You can manage the uploadable documents using this option.

PROCEDURE

To add Uploadable Documents to the system:

1. On the **Master data** menu point to **Document Management** and click **Uploadable Documents**.
2. On the **Uploadable Documents** window, right-click and then click **Add**.
3. Fill in the required fields in the window.
4. Click **Save** and confirm it.

To edit Uploadable Documents Types:

- 1.On the **Master data** menu point to **Document Management** and click **Uploadable Documents**.
- 2.On the **Uploadable Documents** window, right-click and then click **Edit**.
- 3.Fill in the required fields in the window.
- 4.Click **Save** and confirm it.

To delete Uploadable Documents from the system:

- 1.On the **Master data** menu point to **Document Management** and click **Uploadable Documents**.
- 2.On the **Uploadable Documents** window, right-click and then click **Mark for delete**.
- 3.Click **OK** to confirm the action.

Creating & Managing User Accounts

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This section explains how to create, edit, and view user accounts in Admin Terminal. This also describes how to manage a user account by activating, suspending, unlocking user accounts and also how to re-set a user's password.

The User Accounts are created under certain categories defined according to the brokerage operations. Also you need to have the relevant privileges to perform certain functions under this section. For the different types of users created, certain features and menus may not be accessible depending on their privileges and assigned roles in the system.

TOPICS IN THIS SECTION

[User Types](#)
[Fund Managers](#)
[Dealers](#)
[Relationship Managers](#)
[Agents](#)
[Funding Agent Users](#)
[Agents Under Relationship Managers](#)
[User Groups](#)
[Sales Traders](#)
[Online Users](#)
[Unlock User Accounts](#)
[Notification Groups](#)
[Executing Brokers](#)

User Types

Creating & Managing User Accounts »



User Types

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Users are categorized in different Employee Types depending on their roles at the brokerage. You need to select the appropriate Employee Type to perform the needed function.

- Employee
- Agent
- Dealer
- **Independent Financial Advisor**
- **Relationship Manager**
- Fund Manager

PROCEDURE

To select the Employee Type:

1. On the **Users** menu, click Users.
2. Select the relevant Employee Type from the **OMS user type** drop down list. (Refer to Figure 1)

3. Click **OK**. You get the relevant window for the selected Employee Type.

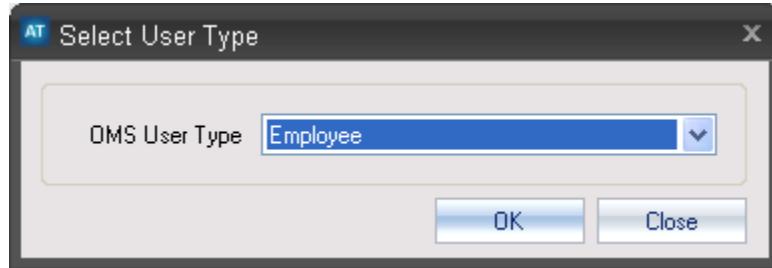


figure 1: Selecting Employee type

NOTE : To select **Dealers** and **Fund Managers**, you have direct access from the **Users** menu.

RELATED INFORMATION

[View, Edit User Accounts, Add User Accounts, Managing User Accounts](#)

View, Edit User Accounts



Creating & Managing User Accounts » User Types »

View, Edit User Accounts

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When you select the relevant employee type you can add, view, edit user accounts by using the shortcut menu commands in each window.

To view Users:

- Right-Click on the relevant window for the selected Employee Type and then click **View**. The details of the particular record are displayed in a tabbed view.

To edit Users:

- 1.Right-click on the relevant window for the selected Employee Type and then click **Edit**.
- 2.On the window that appears, do the necessary editing. You can go through the tabbed view to edit details.
- 3.Click **Save** and confirm changes.
- 4.Right-click on the User Account and then click **Unlock Account**. A message appears confirming the action. The Login Status is changed to **Active**.

Employee - EMP1

General Authentication Approval Limitations Member Of

First Name	EMP1	Organization	DBFS
Last Name		Department	Administration
Telephone		Employee Type	Employee
Mobile No		Supervisor	
NIN		User Type	
Employee No			
Passport No			
E-mail			

Save Close

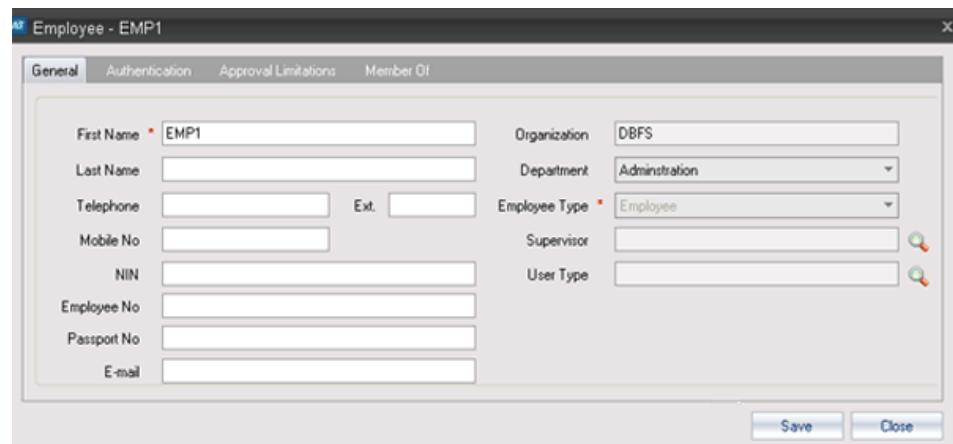


figure 1: view/edit users window

RELATED INFORMATION

[Managing User Accounts](#), [Employee Types](#)

Add User Accounts



Creating & Managing User Accounts » User Types »

Add User Accounts

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Use this procedure to add user accounts to the system. You can add employees that belong to different user categories. You need to select the relevant Employee Type to add users under the relevant category. When adding user accounts, certain mandatory data have to be entered and certain levels of permissions are granted depending on user roles. Once you complete this procedure and approve the user accounts, users are able to login to the system and perform the relevant roles in the system.

PROCEDURE

To add Users:

- Right-Click on the relevant window for the selected Employee Type and then click **Add**. A window with a tabbed view appears to enter details.

A.Enter General details

- i.On the **General** tab, enter the user information such as Name, Telephone No, Employee No, etc..
- ii.Select Department, Employee Type, Supervisor and User Type accordingly.
- iii.Click **Save** and confirm changes.

B.Enter Authentication details

- i.On the **Authentication** tab, enter a Login Name and a Password for the user. If you want a system generated password, click on **Generate** option. Once you click on **Save** and confirm changes, **Print Password Details** option is enabled in the window.
- ii.**Optional:** To enable price information to the user, enter a **Price User Name** and a **Price Password**.
- iii.Select the check box **User must change password at next logon** if you want to allow the user to change password at next login.
- iv.Click **Save** and confirm changes.

C.Enter Approval Limitations

- i.On the **Approval Limitations** tab, enter the values of trade margin limits and order limits granted for the user. You can enter these values in the **New Limit** text boxes.
- ii.Click **Save**. The new values are displayed in the **Current Limit** text boxes. You can specify new limits again if you need to edit the Approval Limitations.

D.Add user to Groups

On the **Member Of** tab, add the user to relevant operational Groups and Notification Groups of the brokerage as applicable. Once the User is added to the relevant group, the entitlements set for the related group are granted to the user. You can refer to the groups and entitlements from the **User Groups** sections under Users menu.

- i.Right-Click on the **Member of** section and then click **Add**.
- ii.Select the relevant group and click **OK**.
- iii.Right-Click on the Notification Group section and

then click **Add**.

iv. Select the notification group and click **OK**.

E.Add Locations

- i. For certain type of Users you need to add their service locations. On the **Locations** tab, from the list of **Available Locations** click on the needed location.
- ii. Click on arrow to Add the location to **Assigned Locations**.

NOTE: The following additional options are enabled when adding a Dealer.

F.Enter Trading Limits

- i. On the **Trading Limits** tab, enter Trading Limit Adjustments and Dealer Restrictions. You can add values in **New Limits** text boxes.
- ii. Click **Save**.

G.Add Grants

- i.Grants tab is displayed to enable options used in Dealer Terminal (DT). On the **Grants** tab, select the relevant check boxes for the dealer.
- ii.Click **Save**.

H.Add Institutions

- i.You can add institutions for dealers to manage clients. On the **Institutions** tab, from the list of **Available Institutions**, select the institution.
- ii.Click on arrow to add the needed institution to **Assigned Institutions**.
- iii.**Optional:** Use arrow to add all institutions for the specific dealer.

I.Allow/Restrict Customers for the Dealer

When you add a dealer, You can specify the allowed customers and restricted customers for the particular dealer account.

- **To add Allowed Customers**

- i.On the **Customers** tab under **Allowed Customers**, right-click and then click **Add**.
 - ii.From the list of customers, double-click on the relevant record to add as Allowed Customers.
- **To add Restricted Customers**
- i.On the **Customers** tab under **Restricted Customers**, right-click and then click **Add**.
 - ii.From the list of customers, double click on the relevant record to add as Restricted Customers.

J.Add Exchanges

- i.On the **Exchange** tab, Click on the relevant check boxes to select the exchanges allowed for the dealer.
- ii.Click **Save**. 

NOTE: Once you complete the above procedure, you have to manually approve the user accounts. If you need the user accounts to be automatically approved from the system, refer to

Maker-Checker option under Institutions section.

Maker-Checker (link this when writing under institutions Security tab)

RELATED INFORMATION

[Approve / Reject User Accounts,](#)
[User Groups, Employee Types,](#)
[Managing User Accounts](#)

Approve / Reject User Accounts



Creating & Managing User Accounts » User Types »

Approve / Reject User Accounts

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Use this procedure to Approve or Reject newly created user accounts. Once you create a new user account, the status of the account is displayed as pending until you activate it. Also if you want to cancel the account you have an option to Reject.

PROCEDURE

To approve User accounts:

- On the relevant employee record, right-click and then click **Approve**. A message appears confirming the user status change. The **Status** is changed as **Approved** and **Login Status** is changed as **Active**.

To reject User accounts:

- On the relevant employee record, right-click and

then click **Reject**. A message appears confirming the user status change. The Status is changed as **Rejected** and Login Status is changed as **Pending**.

RELATED INFORMATION

[Add User Accounts](#), [Delete](#),
[Grant, Restore User Accounts](#),
[Employee Types](#)

Delete, Grant, Restore User Accounts

Creating & Managing User Accounts » User Types »



Delete, Grant, Restore User Accounts

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The status of the Activated, Deleted and Rejected user accounts can be changed by selecting Delete, Grant or Restore options from the shortcut menu of the User Accounts.

Delete User Accounts

You can select Active user accounts to set as Mark for Delete, if you want to suspend the account. Once you select this option, account is suspended and the user cannot log into the system with the particular user account.

Grant User Accounts

Grant option is available in the shortcut menu for Rejected

Accounts and Deleted Accounts. From this option you can revert the Account status to enable Approve option again.

Restore User Accounts

Restore option is enabled in the shortcut menu for User Accounts which are set as Mark for Delete. Once you set an Active account as Mark for Delete, using this option you can revert it to Active status.

PROCEDURE

To delete a User Account:

- 1.Right-Click on the relevant **Active** user account and then click on **Mark for Delete**.
- 2.On the dialog box that appears, enter the reason for deleting the user account and then click **OK**. A message appears confirming the user status change. Also, the **Status** is changed to **Marked As Deleted** and **Login Status** is changed to **Suspended**.
- 3.If you need to delete the account, right-click on the record again and then click **Delete**. A

message appears confirming the user status change and the status is changed as **Deleted**.

To grant a User Account:

- Right-Click on the relevant **Rejected** or **Deleted** user account and then click **Grant**. A message appears confirming the user status change. Both Approve and Reject options are re-enabled in the shortcut menu.

To restore A User Account:

- 1.Right-Click on the relevant **Marked As Deleted** User Account and then click on **Restore**.
- 2.A message appears to asking to confirm the action. Click **Yes**. A message appears confirming the user status change. Also the Status is changed as **Approved** and Login status is changed as **Active**.

RELATED INFORMATION

Add User Accounts, Approve,
Reject User Accounts, Employee
Types

Reset Password for User Accounts



Creating & Managing User Accounts » User Types »

Reset Password for User Accounts

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Use this procedure to reset a user's password. The Reset Password function is used when a user has forgotten the login password, and needs to log on to the system. Once you perform this task, the password is reset to the user's login name.

PROCEDURE

To Reset a password:

- 1.Right-Click on the relevant user account and then click **Reset Password**. A message appears confirming the password reset. The Login Status is changed to **pending**.

- 2.Right-click on the account and then click **Approve**. At the next login attempt, the **Change Password** window appears for the user to create a new password and login to the system.



figure 1: change password window

RELATED INFORMATION

[Employee Types](#), [Managing User Accounts](#), [Change password](#)

Fund Managers

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Fund Managers are one of the Employee types you find in the system. You can add, edit and delete them as required.

PROCEDURE

To add Fund Managers:

1. On the **Users** menu, click **Fund Managers**.
2. On the **Fund Managers** window, right-click and then click **Add**.
3. Fill in the required fields and click **Next** to move to the next tab.
4. Click **Save** and confirm changes.

To edit Fund Managers:

- 1.On the **Users** menu, click **Fund Managers**.
- 2.On the **Fund Managers** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

To delete Fund Managers:

- 1.On the **Users** menu, click **Fund Managers**.
- 2.On the **Fund Managers** window, right-click and then click **Mark for Delete**.
- 3.Enter the reason to mark as a deleted user.
- 4.Click **OK**.

Dealers



Creating & Managing User Accounts »

Dealers

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Dealers are one of the Employee types you find in the system. You can add, edit and delete them as required.

PROCEDURE

To add Dealers:

1. On the **Users** menu, click **Dealers**.
2. On the **Dealers** window, right-click and then click **Add**.
3. Fill in the required fields and click **Next** to move to the next tab.
4. Click **Save** and confirm changes.

To edit Dealers:

- 1.On the **Users** menu, click **Dealers**.
- 2.On the **Dealers** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

To delete Dealers:

- 1.On the **Users** menu, click **Dealers**.
- 2.On the **Dealers** window, right-click and then click **Mark for Delete**.
- 3.Enter the reason to mark as a deleted user.
- 4.Click **OK**.

Relationship Managers

Creating & Managing User Accounts »



Relationship Managers

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Relationship Managers are one of the Employee types you find in the system. You can add, edit and delete them as required.

PROCEDURE

To add Relationship Managers:

1. On the **Users** menu, click **Relationship Managers**.
2. On the **Relationship Managers** window, right-click and then click **Add**.
3. Fill in the required fields and click **Next** to move to the next tab.
4. Click **Save** and confirm changes.

To edit Relationship Managers:

- 1.On the **Users** menu, click **Relationship Managers**.
- 2.On the **Relationship Managers** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

To delete Relationship Managers:

- 1.On the **Users** menu, click **Relationship Managers**.
- 2.On the **Relationship Managers** window, right-click and then click **Mark for Delete**.
- 3.Enter the reason to mark as a deleted user.
- 4.Click **OK**.

Agents



Creating & Managing User Accounts »

Agents

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Agents are one of the Employee types you find in the system. You can add, edit and delete them as required.

PROCEDURE

To add Agents:

1. On the **Users** menu, click **Agents**.
2. On the **Agents** window, right-click and then click **Add**.
3. Fill in the required fields and click **Next** to move to the next tab.
4. Click **Save** and confirm changes.

To edit Agents:

- 1.On the **Users** menu, click **Agents**.
- 2.On the **Agents** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

To delete Agents:

- 1.On the **Users** menu, click **Agents**.
- 2.On the **Agents** window, right-click and then click **Mark for Delete**.
- 3.Enter the reason to mark as a deleted user.
- 4.Click **OK**.

Funding Agent Users

Creating & Managing User Accounts »



Funding Agent Users

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Funding Agent Users are one of the Employee types you find in the system. You can add, edit and delete them as required.

PROCEDURE

To add Funding Agent Users:

1. On the **Users** menu, click **Funding Agent Users**.
2. On the **Funding Agent Users** window, right-click and then click **Add**.
3. Fill in the required fields and click **Next** to move to the next tab.
4. Click **Save** and confirm changes.

To edit Funding Agent Users:

- 1.On the **Users** menu, click **Funding Agent Users**.
- 2.On the **Funding Agent Users** window, right-click and then click **Edit**.
- 3.Do the necessary editing for the selected record.
- 4.Click **Save** and confirm changes.

To delete Funding Agent Users:

- 1.On the **Users** menu, click **Funding Agent Users**.
- 2.On the **Funding Agent Users** window, right-click and then click **Mark for Delete**.
- 3.Enter the reason to mark as a deleted user.
- 4.Click **OK**.

Agents Under Relationship Managers

Creating & Managing User Accounts »



Agents Under Relationship Managers

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From this option you can view the agents who are assigned to a particular relationship manager.

PROCEDURE

To view the Agents Under Relationship Managers:

- On the **Users** menu, click **Agents Under Relationship Managers**.

User Groups



Creating & Managing User Accounts »

User Groups

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Use this procedure to create User Groups and add users to the created groups. These groups are created based on different types of operations in the brokerage. Also you can grant entitlements to the User groups by selecting from a list of entitlements created in the system.

When you select each User Group, the users added for the particular group and the entitlements granted for the group are displayed.

PROCEDURE

To find a User Group:

1. On the **Users** menu, click **User Groups**.

-either-

- On the **User Groups** panel, click on **Group Description** column header to sort the group

names in alphabetical order.

-or-

- On the **User Groups** panel, type part of the User Group name in **View Report** text box to automatically reach for the relevant record.

To create User Groups:

- 1.On the **User Groups** panel, right-click and then click **Add**.
- 2.Enter a name for the new group and click **Save**.
- 3.Click **Yes** to confirm changes. The new user group is added.
- 4.Right-Click on the user group and click **Approve**.

To add users to a group:

- 1.Right-Click on the adjoining panel to the User Groups and then click **Add**. The list of users is displayed.
- 2.From the list of users, double-click on relevant users to add.
- 3.Right-Click on users added to **Approve**.

To select Entitlements:

1. From the list of **Available Entitlements**, select the Entitlements you want to add and click  arrow. The selected Entitlements are added to **Granted Entitlements** list.
2. Right-Click on each granted entitlement and then click **Approve**.

NOTE: When you add users to the User groups, the user becomes a member of that particular group. This can be viewed under **Member of** tab when accessing the type of user from the menu bar.

[Add User Accounts](#)

RELATED INFORMATION

[View, Edit User Accounts](#),
[Employee Types](#), [Managing User Accounts](#)

Sales Traders

Creating & Managing User Accounts »



Sales Traders

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This feature shows the sales traders assigned to dealers and are displayed in the [Institutional Desk Report](#) as well. You can add / edit / delete sales traders and assign them to the dealer by using this menu.

PROCEDURE

To add Sales Traders and assign Dealers:

1. On the **Users** menu, click **Sales Traders**.
2. On the **Sales Traders** window, right-click and then click **Add**.
3. Enter the sales trader's name and click **Save**.
4. Right-click on the **Assigned Dealers** side and click **Assign Dealers**.
5. From the **Dealers** list, double-click on the required dealers. The Dealers will be added to the

list.

Optional: To remove a dealer from a particular sales trader, right-click on the dealer name and click **Remove Dealer**.

To edit Sales Traders:

1. On the **Users** menu, click **Sales Traders**.
2. On the **Sales Traders** window, right-click and then click **Edit**.
3. Do the necessary editing for the selected record.
4. Click **Save** and confirm changes.

To delete Sales Traders:

1. On the **Users** menu, click **Sales Traders**.
2. On the **Sales Traders** window, right-click and then click **Mark for Delete**.
3. Enter the reason to mark as a deleted user.
4. Click **OK**.

Online Users



Creating & Managing User Accounts »

Online Users

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The Online Users window displays the list of users who are currently logged on to the system.

PROCEDURE

To view Online Users:

- On the **Users** menu, click on **Online Users**. The Online Users window opens with details of logged in users.

RELATED INFORMATION

[Employee Types](#), [Managing User Accounts](#)

Unlock User Accounts



Creating & Managing User Accounts »

Unlock User Accounts

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Use this procedure to unlock a user account that is locked. A user account gets locked when a user accessing the Admin Terminal, exceeds the maximum number of failed login attempts that are allowed (four failed login attempts are allowed). When an account gets locked it is displayed under Account Locked Users menu.

Once you unlock the user account, the user can log into the system again.

PROCEDURE

To Unlock a user account:

- 1.On the **Users** menu, click **Account Locked Users**.
- 2.On the Account Locked Users tab, right-click on the applicable record, and then click **Unlock**

Account. A message appears inquiring whether you want to unlock the account.

3. Click **Yes** to unlock the account.

RELATED INFORMATION

[Managing User Accounts](#),
[Employee Types](#)

Notification Groups

Creating & Managing User Accounts »



Notification Groups

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There are different types of notifications that system generates related to the Admin Terminal operations. To easily manage notifications, these are categorized into different groups.

In this option you can create Notification Groups and attach AT users for each group. When system generates a notification, based on the relevant Notification Group, all users attached to that Notification Group will receive the notification.

PROCEDURE

To add a Notification group:

- 1.On the Users menu, click **Notification Groups**.
- 2.On the Notification Groups panel, right-click and

then click **Add**.

- 3.On the Description field, enter a name for the group.
- 4.**Optional:** You can add comments if applicable.
- 5.Click **Save** and confirm changes. The new notification group is added to the list of Notification Groups.
- 6.Right-Click on the new Notification group and then click **Approve**.
- 7.Click **Yes** to confirm approval.

To add users to a Notification Group:

- 1.Select the Notification group from **Notification Groups** panel.
- 2.Right-click on the **Users** panel, and then click **Add**.
- 3.From the list of users displayed, double-click on relevant users to add to the notification group.
- 4.Right-Click on each added user and click

Approve.

RELATED INFORMATION

[Employee Types](#), [Managing User Accounts](#)

Executing Brokers

Creating & Managing User Accounts »



Executing Brokers

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Executing Brokers (XT) users can log in to GTN Admin Terminal XT terminal. You can add the XT users by setting their login and personal details.

PROCEDURE

To add Executing Broker Users:

1. On the Users menu, point to **Executing Brokers** and then click **XT Users**.
2. On the **Executing Broker Users** window, right-click and then click **Add**.
3. Fill in the required fields.
5. Click **Save** and confirm changes.

Account Locked XT Users: The users who got their XT accounts locked. You can unlock them.

Creating & Managing Customer Accounts



Creating & Managing Customer Accounts

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GTN Admin Terminal allows you to create and maintain customer information in an efficient manner. You have the option to view, create and edit Customer Accounts and the related Cash, Securities and Exchange Accounts.

Furthermore, the system facilitates the creation of Master Accounts and Omnibus Accounts attached to it and also lets you register customers online. You can also create Customer Groups through which you can rank the customers registered with the system.

TOPICS IN THIS SECTION

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[Working with Customer Accounts](#)

[Managing Cash Accounts](#)
[Managing Security Accounts](#)
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Creating Customer Accounts



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Creating Customer Accounts

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Use this procedure to create Customer Accounts that are used in the trading system. Each customer should have a Customer Account with the broker house and the account contains customer's personal details and Cash, Securities and Trading account information.

The account types fall into two main categories as fully disclosed normal Customer Accounts and Omnibus Customer Accounts which are linked with Master Accounts. Each account type can be created either as an Individual Investor Account or as a Corporate Account.

While creating a Customer Account, it is mandatory to create the customer's Cash Account, Securities Account and Trading

Account. Once you complete this procedure, the newly created Customer Accounts can be accessed through the Customers window.

PROCEDURE

To create a normal customer account for an Individual Investor:

1. On the **Customers** menu point to **Customers Accounts**, click **Individual Investor Accounts** option. New Individual Investor Account window opens.
2. Enter the required details in the tabbed view to create the customer account.

To create a normal customer account as a Corporate Account:

1. On the **Customers** menu point to **Customers Accounts**, click **Corporate Accounts** option. New Corporate Account window opens.

2.Enter the required details in the tabbed view to create the customer account.

To create a Customer Omnibus Account for an Individual Investor:

- 1.On the **Customers** menu point to **Customer Omnibus Accounts**, click **Individual Investor Accounts** option.
- 2.On the **Create Omnibus Account - Individual Investor** window, fill in all the fields marked as mandatory. You need to select the details relevant to the particular Master account.
- 3.Click **Save** and confirm changes. The new customer No. is generated.
- 4.Enter the required details in the tabbed view to create the customer account.

To create a Customer Omnibus Account as a Corporate Account:

- 1.On the **Customers** menu point to **Customer**

Omnibus Accounts, click **Corporate Accounts** option.

- 2.On the **Create Omnibus Account - Corporate** window, fill in all the fields marked as mandatory. You need to select the details relevant to the particular Master account.
- 3.Click **Save** and confirm changes. The new customer No. is generated.
- 4.Enter the required details in the tabbed view to create the customer account.

To create a Master Account:

- 1.On the **Customers** menu click **Master Accounts**. The Master Accounts window opens.
- 2.On the Master Accounts window, right-click and then click **Add**.
- 3.From the list of Institutions displayed, double-click on the relevant Institution record. A new tabbed window opens as **New Corporate Account**.
- 4.Enter the required details in the tabbed view to create the Master Account.

The following tabs are found in each of the above account creation scenarios to enter the required details and complete account creation procedure.

A.Add General Information

- i.Enter the general details as applicable for the type of account. For an Individual Investor Account, the tab is displayed as **Personal Information**. For a Corporate Account, it is displayed as **Corporate**.
- ii.Click **Next**.

B.Add Account Information

On the Account Information tab, fill in the required fields and select relevant options.

Click **Save**. Once you confirm the action, a message appears displaying the Customer No. for the new account. The new customer account is added with status pending.

C.Enter Preferences details

- i.On the Preferences tab, select and enter certain preferences of the customer such as calling No, Language, etc..
- ii.From the Notifications section, select the relevant check boxes for the notifications on the trading activities for which the customer needs to be updated.
- iii.Click **Save**.

D.Enter Authentication details

- i. On the Authentication tab, click each **Generate** button for Login Password and Transaction Password. The Login Password is prompted when accessing the trading system and the Transaction Password is prompted when trading.
- ii. Enter a username and a password for a price login if the customer needs price information when trading. This price account is automatically mapped with the trade login when the customer connects to the system.
- iii.Click **Update Authentication Details** to save

the information to the system.

- iv. Click **Yes** to save changes. The **Print Authentication Details** and **Distribute Password** buttons are enabled.
- v. Click **Print Authentication Details** to generate Customer Password Report. You get the Login information for the customer's reference.
- vi. To send the Login information to the customer through Email or SMS, click on **Distribute Password**.
- vii. On the **Password Distribution Channels** window, select the relevant option and then click **OK**. A message appears confirming the action. The Login information is sent to the relevant distribution channels as selected.

NOTE: To Distribute Password, you must have entered the Mobile Number and Email Address in the **Account Information** section. Also, in the **Preferences** section Password Distribution check box must be selected with relevant options.

E.Add Cash Accounts

i.On the Cash Accounts tab, right-click and then click **Add**.

ii.Select A/C Type, Currency etc.. and click **Save**.

NOTE: You need to select the **Margin Trading Account** option if the particular Cash account is used for Margin Trading. Once this is done, the Cash account is separately identified as a Margin Account. Eg:- The Cash Account Number format changes as **M0002342**.

iii.Click **Yes** to save changes. The new Cash Account is added with status pending.

iv.To approve the Cash A/C, right-click on the Cash Account panel in the Customer Details window and click **Approve**.

F.Add Security Accounts

i.On the Security Accounts tab, right-click and then click **Add**.

ii.Select relevant options from **Cash A/C No**,

Security Account Type, etc.. and fill in the required fields. If more than one Cash Accounts are available, you need to select the relevant Cash account that should be connected with the created Security Account. Eg:- If the Security Account is created for a Margin Cash Account, you need to select the relevant account starting with "M".

- iii.Click **Save**. Once you save changes, the new Security Account is added with status pending.
- iv.To approve the Security A/C, right-click on the Security Account panel in the Customer Details window and click **Approve**.

G.Add Trading Accounts

- i.On the Trading Accounts tab right-click, point to **Add** and then click either **Fully Disclosed A/C** or **Omnibus Segregated Account** as applicable.
- ii.Fill in the required fields and select the relevant options. you need to select the relevant Security Account that should be connected with the created Trading Account.
- iii.Click **Save**. Once you save changes, the new Trading Account is added with status pending. The Trading A/C No. is generated.

iv.To approve the Trading A/C, right-click on the Trading Account panel in the Customer Details window and click **Approve**.

H.Add Bank Accounts

- i.On the Bank Accounts tab right-click and then click **Add**.
- ii.Fill in the required fields and select the relevant options.
- iii.Click **Save**. Once you confirm changes, the Bank Account is added with status pending.

I.Add Managers & Dealers

- i.On the Managers & Dealers tab, right-click and then click **Add**.
- ii.On the **Dealers** window, double-click on the relevant dealer record to add as an assigned dealer for the customer.

RELATED INFORMATION

[Accessing Customer Accounts](#),
[Online Customer Registration](#),
[Creating Pin Mailers](#), [Add a Power of Attorney](#)

Working with Customer Accounts

Creating & Managing Customer Accounts »



Working with Customer Accounts

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Customer Accounts created in Admin Terminal can be accessed through the Customers menu. Once you create different types of customer accounts and also Master Accounts, those accounts are accessible from this menu. The shortcut menu of the Customers window holds various functionality and options related to the customer accounts.

To quickly access the relevant customer account, you can either use the page view of the Customers window or the record filter with applicable field names.

The shortcut menu of the Customers window holds the following options related to a customer account.

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[Buy Order](#)
[Sell Order](#)
[Buy FOL Order](#)
[Customer Summary](#)
[Customer Configurations](#)
[Mark for Close](#)
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Edit

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Edit

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You can edit a customer account to do modifications of the tabbed view details. Once you do the changes and save, the new changes are applied to the particular customer record after approving.

PROCEDURE

To edit a customer account:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer account and then click **Edit**.
3. Do the necessary modifications needed for the selected record.
4. Click **Save** when applicable while editing the customer record.

Buy Order

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»



Buy Order

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Use this option to place a buy order for the customer. After the money is deposited for a particular customer's cash account, you can proceed with a buy order by selecting the options in the window that appears.

NOTE: To enable Buy Order option in the shortcut menu of a customer record, you need to **enable trading** under the trading account of the particular customer.

PROCEDURE

To execute a Buy Order:

- 1.On the Customers menu, click **Customers**.
- 2.On the **Customers** window, right-click on the customer record and then click **Buy Order**.
- 3.Select the options and fill in the fields related to

the order.

- 4.Click on **Add to Basket** to keep the selected order in the Order Basket before sending for execution. When You keep the order in the Order Basket, it is available for modification or cancellation.
- 5.Click on **Send Order** to execute the order to the Order Management System. You can refer to **All Orders** window to see the status of the executed order.

Sell Order

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Sell Order

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Use this option to place a sell order for the customer. You can choose to sell from the existing holdings of the particular customer account and proceed with the sell order by selecting the relevant options in the window that appears.

NOTE: To enable Buy Order option in the shortcut menu of a customer record, you need to **Enable Trading** under the trading account of the particular customer.

PROCEDURE

To execute a Sell Order:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer record and then click **Sell Order**.

3. Select the options and fill in the fields related to the order.
4. Click on **Add to Basket** to keep the selected order in the Order Basket before sending to the Order Management System. When You keep the order in the Order Basket, it is available for modification or cancellation.
5. Click on **Send Order** to execute the order to the Trading System. You can refer **All Orders** window to see the status of the executed order.

Buy FOL Order

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Buy FOL Order

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This option lets you invoke the FOL order ticket.

PROCEDURE

To enable the FOL order ticket:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer record and then click **Buy FOL Order**.
3. Select the options and fill in the fields related to the order.

Customer Summary

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Customer Summary

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This option holds the general details of the customer account as a summary. Also the customer's cash, security trading and bank account details are displayed with options to edit. After the customer account is created, the money transactions for the customer accounts are done through this option.

PROCEDURE

To view Customer Summary:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer account and then click **Customer Summary**.
 - OR-
 - Double-click on the customer record from the **Customers** window.

Customer Configurations

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Margin Trading Configuration

With this option you can set CC , BCC email address groups for Margin trading notifications. When there's a Margin trading notification to a particular customer, it will be sent to the added groups.

PROCEDURE

To set Customer Configurations:

- 1.On the Customers menu, click **Customers**.
- 2.On the **Customers** window, right-click on the customer account and then click **Customer Configurations**.

Trading Limits

By using this option, you can set customer level trading limits for the customer. Whatever the trading limits set at the cash account level are not allowed to exceed the limits on the customer level.

Mark for Close

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Mark for Close

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With this option you can close a customer account.

PROCEDURE

To close a Customer account:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer account and then click **Mark for Close**.

View Status History

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View Status History

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You can view the history of changes in the status of a customer account with **View Status History** option.

PROCEDURE

To View Status History:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer account and then click **View Status History**.

View Audit

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View Audit

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By using this option, the **Audit Trail** window appears to view the information of the activities by customers.

PROCEDURE

To view Audit Trail:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer record and then click **View Audit**. The Audit Trail window opens.
3. Select the date range from the filter and click **Refresh** button to display the list of activities performed.

Upgrade to Joint A/C

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Upgrade to Joint A/C

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An Individual Investor type customer account can be upgraded to a Joint A/C. Once you perform this action, an additional tab is added as **Joint Accounts** in the customer account tabbed view. You can add new customer accounts under this tab as joint accounts.

NOTE: This option is available only in Individual Investor Accounts.

PROCEDURE

To upgrade a Customer Account to a Joint A/C:

1. On the Customers menu, click **Customers**.
2. On the **Customers** window, right-click on the customer record and then click **Upgrade to Joint A/C**.

3. Click **Yes** to confirm the action. A new tab is added as **Joint Accounts** in the customer account.

To add Joint Accounts:

1. Right-click on the customer record and then click **Edit**.
2. On the **Joint Accounts** tab, right-click and then click **Add**.
3. Fill in the required fields and select necessary options.
4. Click **Save**. Once you confirm the action the new Joint Account is added.

Set Power Of Attorney

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»



Set Power Of Attorney

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This option allows you to assign a Power of Attorney (POA) to a selected customer. You need to have added Power of Attorney information from the Customers menu to perform this function.

PROCEDURE

To set Power of Attorney to a customer:

1. On the Customers menu, click **Customers**.
2. On the Customers window, right-click and then click **Set Power of Attorney**.
3. On the Set Power of Attorney window, right-click and then click **Add**.
4. Select the relevant options and then click **Add**.

5. Click **Yes** to confirm changes.
The Power of Attorney is added for
the selected customer.

Change Institution

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»



Change Institution

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Use this procedure to change the Institution of a customer. Once a customer is created by an Admin Terminal authorized user, the customer is attached to the user's current institution by default. If there's a requirement to change the institution of the customer, you can use this option in the customer record shortcut menu.

PROCEDURE

To change the Institution of a customer:

- 1.On the Customers menu, click **Customers**.
- 2.On the Customers window, right-click on the applicable record and then click **Change Institution**.
- 3.On the **Institutions** window, double-click on the

needed Institution to change. A message appears confirming the action. The customer account is moved to the changed Institution's customers list.

4. **Optional:** Click **Show All Institutions**, filter the customer record and refer to the Institution column. The changed Institution name is displayed.

Reset PIN Number

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Reset PIN Number

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Use this option to reset the PIN number for a customer. Once you reset the PIN, a new PIN number is generated for the customer.

PROCEDURE

To reset PIN number:

1. On the Customers menu, click **Customers**.
2. On the Customers window, right-click and then click **Reset PIN Number**. A message appears inquiring whether you want to reset the PIN number for the selected customer.
3. Click **Yes**. A message appears confirming the action.

Send Mail

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Send Mail

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Use this option to send an email to a customer. To perform this function, the logged in user and the selected customer must have specified valid email addresses under their accounts. You can either choose to send a mail to a selected customer or multiple customers. If you choose "send email to all" option, all customers with email addresses that are displayed in the current window receive the email.

PROCEDURE

To send a mail to a customer:

1. On the Customers menu, click **Customers**.
2. On the Customers window, right-click and then click **Send Mail**.

3. On the **Email Option** window, select the relevant option as applicable. (Refer to figure 1)
4. Once you choose the applicable option, an email template opens with relevant addresses displayed at the **From & To** Fields. Fill in the email template and click **Send**. A message appears confirming the action.

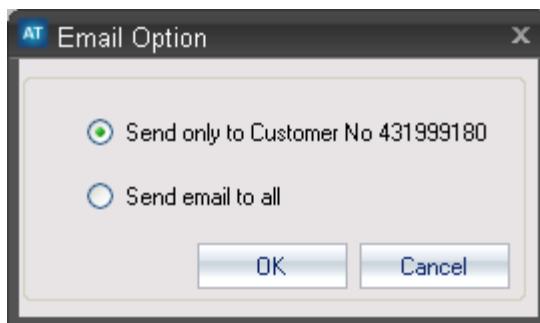


figure 1: email sending options

Customer Restrictions

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Customer Restrictions

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By using Customer Restrictions option you can restrict/allow trading of symbols for a customer. In this option, You need to select the customer's security account and the relevant exchange to list the available symbols. Using the Symbol Condition drop down list, you can apply Symbol Restrictions accordingly.

Use icon to move symbols as selected symbols and icon to undo move.

PROCEDURE

To apply Customer Restrictions:

- 1.On the Customers menu, click **Customers**.
- 2.On the Customers window, right-click and then click **Customer Restrictions**.

- 3.On the Customer Restrictions window, select the relevant Security Account and the Exchange.
- 4.From the Symbol Condition drop down list, select the applicable option.

All Symbols Allowed except

Restricted: Use this option to select Restricted Symbols for the customer. The Symbols selected are moved to the Restricted Symbols list.

All Symbols Buy only

Allowed: Use this option to restrict Sell option for all symbols. The customer is allowed to Buy only.

All Symbols Sell only

Allowed: Use this option to restrict Buy option for all symbols. The customer is allowed to Sell only.

All Symbols Restricted except

Allowed: Use this option to select Allowed Symbols for the customer. The symbols selected are moved to the Assigned Symbols list.

All: Use this option to have all symbols allowed without any restrictions.

5. Using the arrows, move Symbols according to the selected condition. When you select the Symbols, you can further specify whether to allow buy, sell or both options from the Trading Type drop down list.
6. Click **Save** and confirm changes.

Activities

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Activities

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The Activities option directs you to a submenu named Login History. This option holds details of a particular customer's login history via front end applications such as Trade web, Pro, and Mobile. Information such as logged in time, logged out time, and customer's IP can be viewed from this option. You may also use the date filter to view records of past days.

PROCEDURE

To view Login History:

1. On the Customers menu, click **Customers**.
2. On the Customers window right-click, point to **Activities** and click **Login History**. A new window opens displaying Login History of the selected customer.

Symbols Wise Trades

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Symbols Wise Trades

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Use this option to display symbol wise trading details of a customer. Once you specify a date range, a report generates with buy/sell information for the symbols traded.

PROCEDURE

To view Symbols Wise Trades:

- 1.On the Customers menu, click **Customers**.
- 2.On the Customers window, right-click and then click **Symbols Wise Trades**.
- 3.Select the date range you want to view the information and click **OK**. A new tab opens as **Daily Customer Summary Report**. For the selected dates, the trading information of symbols are displayed in a page view.

Managing Cash Accounts



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When creating a Customer Account, a Cash Account is created to enable the customer to perform cash transactions related to the trading activities done with the system.

This section describes about Managing Cash Accounts of Admin Terminal. Once a Cash Account has been created for a customer, it is approved and cash is deposited to the account to proceed with Trading. A customer can have many Cash Accounts and having at least one Cash Account is mandatory.

You can directly access the list of all Cash Accounts from the Customers menu, or refer customer records separately and use the Customer Summary option of each Individual Account.

TOPICS IN THIS SECTION

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[Charges & Refunds](#)

[View Customer](#)

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[Approved Entries](#)

[Adjust Trading Limit](#)

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Deposit/Withdraw Money

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Money can be deposited to or withdrawn from a customer's Cash Account via Cash, Cheque or Transfer options. Depending on the transaction, the system allows you to update the Cash accounts with the Deposit/Withdrawal requests.

This process involves two levels of approval to update a customer's cash balance. Once approved, The updated balance is displayed in the customer's cash account.

PROCEDURE

To deposit money to a Cash Account:

- 1.On the Customers menu, click **Cash Accounts**.
- 2.On the **Customer Cash Accounts** window, right click on the applicable record and then click **Deposit Money**.

- 3.On the **Deposit** window, fill in the required fields and select relevant options. You can select **Transaction Type** as applicable.
- 4.Click **Deposit** and confirm the action. A message appears inquiring whether you want to see the Pending Cash for Approval.
- 5.Click **Yes**. The cash deposit record is displayed in the **Cash Transactions** window with status Pending.

To withdraw money from a Cash Account:

- 1.On the Customers menu, click **Cash Accounts**.
- 2.On the **Customer Cash Accounts** window, right click on the applicable record and then click **Withdraw Money**.
- 3.On the **Withdrawal** window, fill in the required fields and select relevant options. You can select **Transaction Type** as applicable.
- 4.Click **Withdraw** and confirm the action. A message appears inquiring whether you want to see the Pending Cash for Approval.

5.Click **Yes**. The cash withdraw record is displayed in the **Cash Transaction** window with status Pending. the withdraw amount is displayed under the **Blocked Amount** column of the Customer Details window.

NOTE: To Approve Deposits/Withdrawals refer to the **Pending Entries** option.

[Pending Entries](#)

RELATED INFORMATION

[Managing Cash Accounts, Charges & Refunds](#), [View Customer](#), [Generate Cash Statement](#), [View Transactions](#)

Charges & Refunds

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Charges & Refunds

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Use this procedure to apply Charges and Refunds for a Customer. You can select from a list of Charges and Refunds which are defined in the system and apply for a customer accordingly. Once the applicable charge or refund is applied, the customer's cash account is updated with the change. Also, The record of the Charge/Refund is updated under the Cash Management option of the Finance menu.

NOTE: To perform this action you must have added Charges and Refunds settings under the Finance section of Master Data.

PROCEDURE

To apply Charges and Refunds:

- 1.On the Customers menu, click **Cash Accounts**.
- 2.On the Customer Cash Accounts window, right click on the applicable record and then click **Charges & Refunds**.
- 3.On the **Charges / Refunds** window, select relevant options and fill in the necessary fields. From **TXN category**, you can select the applicable charge or refund.
- 4.Click **Execute** and confirm the action. The selected charge or refund is applied and the customer's cash balance is updated.

RELATED INFORMATION

[Managing Cash Accounts](#), [View Customer](#), [View Transactions](#),
[Generate Cash Statement](#)

View Customer

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View Customer

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Use this option to view a customer's Account Summary by referring to the Customer Details window, while you're at the shortcut menu of a Cash Account.

PROCEDURE

To View Customer Account Summary:

- Right-click on a Cash Account and then click **View Customer**. The Customer Details window opens displaying the records of relevant Cash, Security and Trading Accounts.

RELATED INFORMATION

[Deposit/Withdraw Money,](#)
[Managing Cash Accounts](#)

Pending Entries

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Pending Entries

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Pending Entries option displays cash transactions which are due to be approved. Using this option you can view the pending entries and grant approval levels.

Once the transaction is approved, the customer's cash account balance is updated.

PROCEDURE

To approve cash transactions:

1. On the Customers menu, click **Cash Accounts**.
2. On the **Customer Cash Accounts** window, right click on the applicable record and then click **Pending Entries**. The Cash Transactions window opens.
3. On the applicable record to Approve, right-click and then click **Level 1 - Approve**.
4. On the Cash details - L1 Approval window, click on

Approve L1.

- 5.Click **Yes** to confirm the action. The Status of the transaction record changes as **Approved-L1**.
- 6.Again right-click on the record and follow the same procedure as above to Approve L2.
- 7.Once you have gone through the two levels of approvals, click **Refresh** on the Customer Details window to display the updated cash balance according to the changes.

Approved Entries

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Approved Entries

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Use this option to view approved cash transactions of a customer. Once a transaction goes through two approval levels, it is displayed under Approved Entries.

PROCEDURE

To view Approved Entries:

1. On the Customers menu click **Cash Accounts**.
2. On the **Customer Cash Accounts** window, right-click on the applicable record and then click **Approved Entries**. The Cash Transactions window opens displaying the approved cash transactions of the particular customer.

Adjust Trading Limit

Creating & Managing Customer Accounts » Managing Cash Accounts »



Adjust Trading Limit

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Use this procedure to adjust a customer's buying power. The trading limit for each customer is usually determined based on the value of his securities and the cash balance in the Cash Account. By adjusting the trading limit, the brokerage is extending the cash balance of the customer's cash account. You can enter cash limits as Primary and Secondary, and specify an expiry date for the trading limit applied.

Also you can specify a Daily Trading Limit for the customer to use for the current date. Once you set a Daily Trading Limit, it can be disabled/enabled by Admin Terminal. By default, This value is set to disable automatically at the end of the day. Also, you can specify a new Daily Trading Limit and overwrite the existing value.

This process involves two levels of approval to update a customer's cash account. Once approved, you can view the Trading Limits displayed in the customer's Cash Account.

PROCEDURE

To adjust the Trading Limit:

- 1.On the Customers menu click **Cash Accounts**.
- 2.On the **Customer Cash Accounts** window, right-click on the applicable record and then click **Adjust Trading Limit**.
- 3.On the Adjust Trading Limit window, enter the cash amount for the **New Limit** and select an Expiry date.
- 4.Click **Execute**. A message appears inquiring whether to adjust the trading limit.
- 5.Click **Yes** to confirm the action. A message appears inquiring whether you want to see the Pending Trading Limit Approvals.
- 6.Click **Yes**. The **Trading Limit Requests - Pending** window opens to approve the new trading limit. Once approved, you can view the

trading limit details updated in the customer's cash account by refreshing the Customer Details window.

To add a Daily Trading Limit:

- 1.Right-click on a customer's Cash Account and then click **Adjust Trading Limit**.
- 2.Click on the **Daily Trading Limits** tab, and then enter the amount.
- 3.Click **Execute** and confirm the action. A message appears inquiring whether you want to see the Pending Trading Limit Approvals.
- 4.Click **Yes**. The **Daily Trading Limit Requests - Pending** window opens to approve the new trading limit. Once approved, The **Daily Trading Limit** column of the relevant Cash Account is updated with the new value when you **Refresh** the Customer Details window.

NOTE: Refer the **Trading Limit Requests** and **Daily Trading Limit Requests**, menus in the Finance menu to Approve pending trading limit requests.

RELATED INFORMATION

[Trading Limit Requests, Daily Trading Limit Requests](#)

Generate Cash Statement

Creating & Managing Customer Accounts » Managing Cash Accounts »



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Use this procedure to generate a Cash Statement for the customer. A Cash Statement is the financial statement which shows the information about transactions done with the selected Cash Account.

You can specify a date range to generate the cash transaction details for the selected criteria. Once the Cash Statement is generated, you have the options to Print, E-mail or Export the report.

PROCEDURE

To generate Cash Statement:

1. On the Customers menu click **Cash Accounts**.
2. On the **Customer Cash Accounts** window, right-click on the applicable record and then click **Cash**

Statement. The Customer Cash Statement appears in a new tab.

To print Cash Statement:

- On the Cash Statement window, click **Print Report** () icon. A Dialog Box opens to select the printer and proceed with printing the cash statement.

To E-mail Cash Statement:

- 1.On the Cash Statement window, click **Send Mail** () icon. A window opens with Cash statement attached, and options to send.
- 2.Enter the E-mail addresses of the recipients and click **Send**. A message appears confirming the action. You can also select senders from the available **Notifications Groups** if applicable.

To export Cash Statement:

- 1.On the Cash Statement window, click **Export Report** () icon. The **Save As** dialog box opens.
- 2.Type a file name, select a report type and click

Save.

View Transactions

Creating & Managing Customer Accounts » Managing Cash Accounts »



View Transactions

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Use this procedure to view transactions of a customer's Cash Account. This option displays the list of transactions such as Deposits, Withdrawals and Charges & Refunds made with the particular Cash Account.

PROCEDURE

To View Transactions:

1. On the Customers menu click **Cash Accounts**.
2. On the **Customer Cash Accounts** window, right-click and then click **View Transactions**. The list of transactions are displayed in a new tab titled with Customer's Cash A/C No.

Cash Transfer

Creating & Managing Customer Accounts » Managing Cash Accounts »



Cash Transfer

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Use this procedure to transfer cash between two Cash Accounts of a customer. From this option, you can select one Cash Account and specify the amount of cash to transfer to the other selected Account.

Once a cash transfer is executed, you can view the balance updates of the Cash Accounts from the Customer Summary.

PROCEDURE

To execute a Cash Transfer:

1. On the Customers menu, click **Customers**.
2. On the Customers window, right-click on the applicable record and then click **Cash Transfer**.
-OR-
3. On the Customers menu, click **Cash Accounts**.
4. On the **Customer Cash Accounts** window, right-click and then click **Cash Transfer**. (Refer to figure 1)
5. On the Cash Transfer dialog box, select the Cash Account from which the cash is to be transferred. The Cash Balance is displayed.
6. Enter the amount to be transferred in the **Amount to Transfer** field.
7. Select the Cash Account to which the cash need to be transferred. The Cash Balance is displayed.
8. Click **Transfer**. A message appears confirming the action. When you refer to the Customer Summary of the particular account, you can view the new cash balance updates under the **Cash Accounts** section.

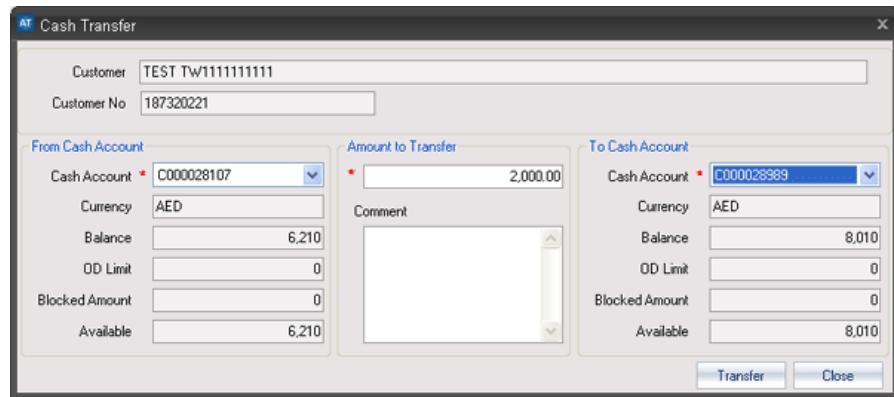


figure 1: cash transfer window

Managing Security Accounts

Creating & Managing Customer Accounts »



Managing Security Accounts

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When creating a Customer Account, a Security Account is created for the customer. This is done after creating the cash account, to enable the customer to purchase shares and update in the Security Account.

While a customer can have many Security Accounts, having at least one Security Account is mandatory. All Security Accounts are linked to a Cash Account of the customer and one Cash Account can have one or many Security Accounts. You can directly access the list of all Security Accounts from the Customers menu, or refer customer records separately and use the Customer Summary option of each Individual Account.

This section describes on how to manage customer security

accounts with the trading functions performed by the customer.

TOPICS IN THIS SECTION

[Adding a Pledge](#)

[Releasing a Pledge](#)

[Setup Margin Trading](#)

[View & Manage Holdings](#)

[View Holdings Statement](#)

[Realized Gain Loss](#)

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[Changing Portfolio Name](#)

Adding a Pledge



Creating & Managing Customer Accounts » Managing Security Accounts »

Adding a Pledge

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Use this procedure to apply a pledge in a customer's Security Account. A customer can pledge shares to a financial institution as a collateral. Till the pledge is released, the customer cannot trade on those stocks.

To Execute a pledge, you can select the particular Symbol of the Security Account and enter the quantity of shares to Pledge in.

This process involves two levels of approval. Once the requested Pledge is approved, the Pledged Quantity and the Available Quantity appears in the "View Holdings" option of the Security Account.

PROCEDURE

To pledge shares in a Security Account:

- 1.On the **Customers** menu click **Security Accounts**.
- 2.On the Security Accounts window, right-click on the applicable record and then click **Add Pledge**. (Refer to figure 1)
- 3.On the **Add Pledge** window, click on the Symbol to add the pledge and enter the amount in the **Quantity** field.
- 4.Click **Execute** and confirm the action. Once the pledge is executed, a message appears inquiring whether you want to see Pending Pledge Approvals.
- 5.Click **Yes**. The **Pending Pledge Requests** window opens with

Pledge status pending.

NOTE: To approve Pending Pledge requests refer the **Pledge Requests** option under Holdings menu.

[Manage Pledge Requests](#)

The screenshot shows a software interface titled 'Add Pledge'. At the top, there are fields for 'Customer No' (486059605) and 'Customer Name' (TWTEST), with a 'Refresh' button. Below these are two rows of data in a table:

Exchange	Symbol	Security A/C	Net Holdings	Avg.Cost.	VWAP	Value	Sell Pending
DFM	AHI	5000031870	100	499.90	0.00	19,335.00	
DFM	AIRARABIA	5000031870	50	500.03	0.80	39.65	

At the bottom, there are input fields for 'Symbol' (AHI), 'Exchange' (DFM), 'Quantity' (empty), and buttons for 'Execute' and 'Close'.

figure 1: adding a Pledge

Releasing a Pledge

Creating & Managing Customer Accounts » Managing Security Accounts »



Releasing a Pledge

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Use this procedure to release a pledge of a customer's Security Account. Once the customer has settled the deal as agreed with the pledged party, the amount of shares in the pledge is released and customer is able to trade on those stocks again.

NOTE: You need to refer to the View Holdings option of the Security Account to check the pledged quantity of stocks related to the particular Symbol. After the pledge is approved, the amounts in the Pledged Quantity and the Available Quantity columns get cleared in the relevant holdings record.

PROCEDURE

To release a pledge in a Security Account:

- 1.On the **Customers** menu click **Security Accounts**.
- 2.On the Security Accounts window, right-click on the applicable record and then click **Release Pledge**.
- 3.On the **Release Pledge** window, click on the Symbol to release the pledge and enter the amount in the **Quantity** field.
- 4.Click **Execute** and confirm the action. Once the pledge is executed, a message appears inquiring whether you want to see Pending Pledge Approvals.
- 5.Click **Yes**. The **Pending Pledge Requests** window opens with Pledge status pending.

NOTE: To approve Pending Pledge requests refer the **Pledge Requests** option under Holdings menu.

[Manage Pledge Requests](#)

Setup Margin Trading



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Setup Margin Trading

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Use this procedure to setup margin trading applied for customers' trading activities. Margin Trading is an entitlement given to the customer to trade using borrowed money from the broker house. A special Cash Account is created to facilitate Margin Trading and the customers can trade on the Marginable symbols using this Margin Trading Account. Given below are the steps to set up margin trading to a customer:

1. Create a Margin Trading Account when creating a Cash Account for the customer.
2. Enable margin trading for the customer using the Margin Trading window.
3. Provide the Initial Margin limits. (The percentage of the purchase price of securities (that can be purchased on margin) that the investor must pay for with his or her own cash or marginable securities.)
4. Provide the margin limit given to the customer.
5. Set the margin call notification levels. A customer is required to keep a minimum cash balance in his Margin Account. If the cash balance in the Margin Account falls below that level, the broker issues a Margin Call which would demand the customer to deposit additional money or sell stock to pay down the loan.
6. Provide the expiry date for the margin facility.

7. Assign the customer to a Margin Fees Group.

NOTE: Once these information are given, you need to approve the record. Upon clicking the **Update** button, the **Margin Limit Requests - Pending** window opens, provided the limits set for the customer fall within your Margin Trading Approval limits (Your Margin Trading Approval limits are set when creating your User Account).

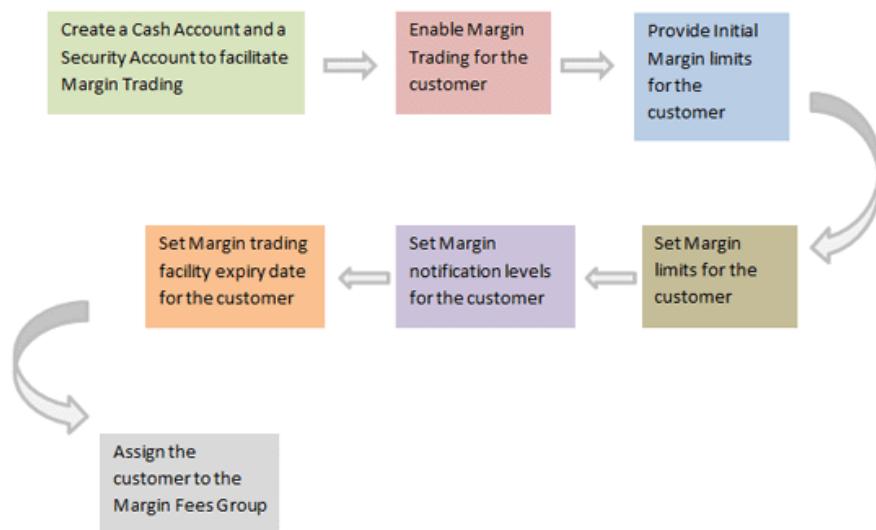


Figure 1: Steps to set up Margin Trading for a customer

RELATED INFORMATION

[Creating Customer Accounts](#), [Add User Accounts](#)

Enable Margin Trading

Creating & Managing Customer Accounts » Managing Security Accounts »
Setup Margin Trading »



Enable Margin Trading

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Use this procedure to enable margin trading and day margin trading for the customers. Enable Margin Trading is the first tab that appears on the Margin Trading window. The window consists of 2 panes, namely, Normal Margin and Day Margin. Day Margin are the Margin Loans provided with the intention of recovery of the so provided Margins within that particular day. After enabling Margin Trading for the customer, you should provide the Initial Margin value . The margin given to a customer is based on the cash balance in the Cash Account and the portfolio value.

NOTE: Select the **Restore Defaults** check-box to assign the

Customer with the Institutional Default Initial Margin values.

PROCEDURE

To enable Margin Trading:

- 1.On the **Customers** menu click **Security Accounts**.
- 2.On the Security Accounts window, right-click on the applicable record and then click **Margin Trading**.
- 3.Select the **Enable Margin Trading** check-box to enable margin trading to the customer.
- 4.Type the Initial Margin value (The percentage of the purchase price of securities (that can be purchased on margin) that the investor must pay for with his or her own cash or marginable securities.).
- 5.Select the **Enable Day Margin** check-box and type the Initial Day Margin value.
- 6.Optional:
 - Click the **View Pending Request** link to view the pending margin limit requests.
 - Click the **Margin Trading Collateral** link to view

the collateral the customer has provided.

- Click the **View History** link to view the status history of margin enable / disable events.

7. Click **Update**.

Margin Limits

Creating & Managing Customer Accounts » Managing Security Accounts »
Setup Margin Trading »



Margin Limits

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Use this procedure to assign margin trading limits to the customers. Maximum Margin Limit given to the customer is lower than the Max Margin Per Customer configured at System Level and Available Funds for Margin Trading window.

PROCEDURE

To set Margin Limits:

- 1.In the **Margin Trading** window, click the **Margin Limits** tab.
- 2.Type the maximum margin limit and the Day margin limit given to the customer.
- 3.Optional: Click the **View History** link to view the status history of margin limit updates.

4.Click **Update**.

Margin Notify Levels

Creating & Managing Customer Accounts » Managing Security Accounts »
Setup Margin Trading »



Margin Notify Levels

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Use this procedure to set margin call levels. You can set the following margin call levels using the Margin Call Notify tab.

- Margin Call Notify Level - The level that the proportion of Customer's Asset Value with reference to the borrowed funds could fall to trigger a Margin Call.
- Margin Call Reminder Level - Having already notified with a Margin Call, the level that the proportion of Customer's Asset Value with reference to the borrowed funds may further fall to trigger a Margin Call Reminder.
- Margin Liquidation Level - The maximum possible level that the proportion of Customer's Asset Value with reference to the borrowed funds may be allowed to fall.

PROCEDURE

To set the Margin Notify Levels:

- 1.In the **Margin Trading** window, click the **Margin Notify Levels** tab.
- 2.Type the above levels in the relevant fields.
- 3.Optional:
 - Select the **Restore Defaults** check-box to assign the Customer with the Institutional Default Margin Call levels.
 - Click the **View History** link to view the status history of margin notify level updates.
- 4.Click **Update**.

Expiry Dates

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Setup Margin Trading »



Expiry Dates

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Use this procedure to set the margin and day margin expiry dates. On the Lapse of this Expiry Date, Margin provisions will automatically be disabled for the considered customer.

PROCEDURE

To set the expiry dates:

- 1.In the **Margin Trading** window, click the **Expiry Dates** tab.
- 2.Select the **Apply Margin Trading Expiry Dates** check-box and select the applicable date.
- 3.Select the **Apply Day Trading Expiry Dates** check-box and select the applicable date.
- 4.Optional: Click the **View History** link to view the status history of expiry dates updates.

5.Click **Update**.

Margin Fees Group

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Setup Margin Trading »



Margin Fees Group

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Use this procedure to assign the margin fees group applicable to the customer. Creation of Margin Fees Group is done using the Finance menu and you can assign any of these group to the customer.

PROCEDURE

To assign a Margin Fees Group:

- 1.In the **Margin Trading** window, click the **Margin Fees Group** tab.
- 2.Select the required group from the **Margin Interest Group** list.
- 3.Optional: Click the **View History** link to view the status history of margin interest group updates.
- 4.Click **Update**.

RELATED INFORMATION

[Manage Margin Fees Groups](#)

View & Manage Holdings

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Use this procedure to view and manage Holdings of a customer. The View Holdings option displays the details of purchased stocks as per each Symbol the customer has traded. From this option you can sell stocks and also transfer holdings between security accounts of a customer.

The shortcut menu of a Holdings record displays the following options.

[Sell](#)

[View Holdings Log](#)

[View Customer](#)

[Set Avg. Cost](#)

[Remove Buy Pending / Sell Pending](#)

[Holdings Transfer](#)

Sell

Creating & Managing Customer Accounts » Managing Security Accounts »
View & Manage Holdings »



Sell

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Use this option to sell stocks from a selected Symbol of a customer's Holdings. The Sell Order screen is displayed with the particular Symbol name and the quantity of stocks available to sell.

PROCEDURE

To sell stocks from a Holding:

1. Double-click on a customer's Security Account.
-OR-
2. Right-click on a Security Account and then click **View Holdings**.
3. On the Holdings details window, right-click on a Holding record and then click **Sell**.
4. On the **Sell Order** window, fill in the necessary fields and select relevant options to execute a Sell

Order for the selected Symbol.

5. Click **Sell Order**. The Order is sent through to process.

View Holdings Log

Creating & Managing Customer Accounts » Managing Security Accounts »
View & Manage Holdings »



View Holdings Log

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Use this option to view a log of selected Holdings record in a Security Account. You can refer to this log for the trading actions performed on the Symbol and the related Holding values.

PROCEDURE

To view Holdings Log:

1. Double-click on a customer's Security Account.
-OR-
2. Right-click on a Security Account and then click **View Holdings**.
3. On the Holdings details window, right-click on a Holding record and then click **View Holdings Log**.

View Customer

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View & Manage Holdings »



View Customer

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Use this option to view a customer's Account Summary by referring to the Customer Details window, while you are at the Holdings window of Security Account.

PROCEDURE

To View Customer:

- On the Holdings details window, right-click on a Holding record and then click **View Customer**. The Customer Details window opens displaying the records of relevant Cash, Security and Trading Accounts.

Set Avg.Cost

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View & Manage Holdings »



Set Avg.Cost

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Use this option to set an Average Cost for a particular Symbol on a Holding. Once a customer places a Buy Order, depending on the commission applied, an Average Cost is generated. Using this option you can manually change the Average Cost if applicable.

PROCEDURE

To Change the Average Cost of a Holding:

1. Double-click on a customer's Security Account.
-OR-
2. Right-click on a Security Account and then click **View Holdings**.
3. On the Holdings records window, right-click on the relevant holding and click **Set Avg.Cost**. (Refer to

figure 1)

4. Enter the new value for the Average Cost and then click **OK**.
5. Click **Yes** to confirm the action. A message appears confirming the change.

Remove Buy Pending / Sell Pending

Creating & Managing Customer Accounts » Managing Security Accounts »
View & Manage Holdings »



Remove Buy Pending / Sell Pending

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The Buy Pending and Sell Pending columns of a Holdings record displays the Pending stocks that are not executed with the order processing. There may be different reasons a Buy/Sell order not executing as expected. In case of such scenarios, the particular Holdings record has the option to remove the pending stocks to refresh the relevant account balance.

PROCEDURE

To Remove Pending stocks of a Buy / Sell Order:

1. Double-click on a customer's Security Account.
-OR-

- 2.Right-click on a Security Account and then click **View Holdings**.
- 3.Refer to the Sell Pending or Buy Pending columns of the relevant holding record, right-click and then click on **Remove Buy Pending** or **Remove Sell Pending** as applicable.
- 4.A message appears inquiring to confirm the action. Click **Yes**. The relevant pending values are cleared on the holding record.

Holdings Transfer

Creating & Managing Customer Accounts » Managing Security Accounts » View & Manage Holdings »



Holdings Transfer

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Use this procedure to Transfer Holdings between Security Accounts. You can transfer stocks purchased under one security account to another Security Account of the same customer, or transfer into a different customer's security account.

Once you complete this procedure, based on the Holdings transferred, the Portfolio values of the Security Accounts are updated with the new changes.

PROCEDURE

To Transfer Holdings to another security account of the same customer:

1. Right-click on a customer's Security Account and then click **Holdings Transfer**.
-OR-
2. Double-click on a customer's Security Account.
3. On the Holdings details window, right-click on a Holding record and then click **Holdings Transfer**. (Refer to figure 1)
4. On the **Holdings Transfer** Window, using the drop down arrow select the Security account you need to transfer Holdings from. (**From Security Account** section). The Available Quantity and other relevant details of the particular Stock are displayed.

5. Enter the **Quantity to Transfer**.
 6. Select **V.W.A.P** by clicking on  icon, or manually enter the amount in the V.W.A.P field.
- NOTE:-** V.W.A.P = Volume Weighted Average price.
7. Enter the **Transfer Fee** applicable for the Holdings Transfer.
 8. Select the Security Account you want to transfer the Holdings to. (**To Security Account** section).
 9. Click on **Transfer**. A message appears confirming the action.
 10. Click **OK**. A message appears inquiring to see pending transactions for approval.
 11. Click **Yes**. Pending Stock Transactions window opens.
- To Transfer Holdings to a different customer's Security Account:**
1. Select **Between Customers** check box. The **To Customer** section is activated.
 2. **Optional:** Select **Family Members Only** check box if the transfer is done to another family member of the customer registered with the system.
 3. Select the customer by clicking on  icon. The relevant customer name, customer No. and the Security Account No. is displayed.
 4. Follow the same procedure as above to complete the Holdings Transfer procedure.

NOTE: To approve Pending Holdings Transfers refer to Stock Transactions, Pending option from the **Holdings** menu.

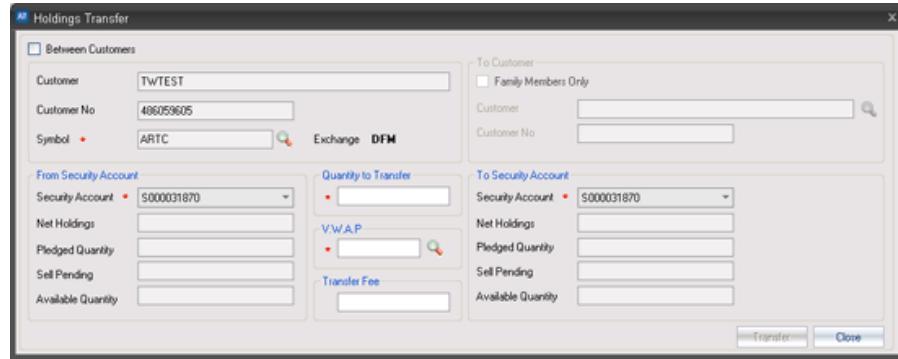


figure 1: Holdings transfer window

NOTE: You can refer to the relevant **Customer Summary** window and check the Security Accounts to view the **Portfolio Value** changes based on the Holdings transfers performed. Also, you can use **View Holdings** option to see the recent Holdings transfer records.

View Holdings Statement

Creating & Managing Customer Accounts » Managing Security Accounts »



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Use this procedure to view the Holding Statement of a particular Security Account. You can specify a date range to generate the report which displays the details of stock purchases from the selected Security Account.

PROCEDURE

To View Holdings Statement:

1. On the **Customers** menu click **Security Accounts**.
2. On the Security Accounts window, right-click on the applicable record and then click **Holdings Statement**.
3. On the **Select Date Range** window, specify a **Starting date** & an **Ending date** by using the drop down arrow and then click **OK** (Refer to Figure 1). The Customer Holding Statement opens

in a new tab, displaying the stocks purchased for the related Symbols.

Optional:

4. Click on **Print Report** icon  to print the Holdings Statement.
5. Click on **Export Report** icon  to save the report to a file.

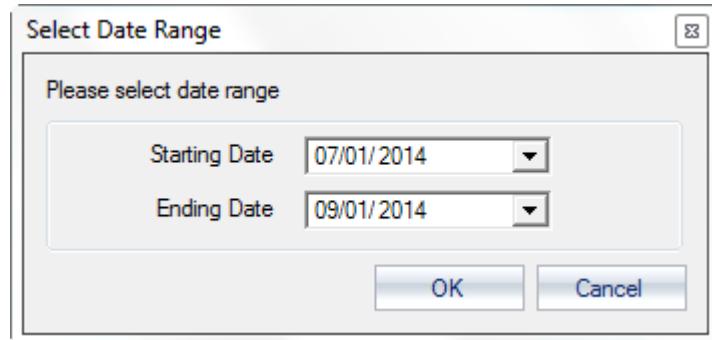


figure 1: Selecting a date range for Holdings Statement

Realized Gain Loss

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Realized Gain Loss

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Use this procedure to view Realized Gain/Loss details of a Customer's purchased shares. This option displays the realized gains and losses based on the average cost incurred on a purchased or sold share.

A gain is realized when the shares are sold at a higher price than the original price purchased. A loss is realized when the shares are sold at a lesser price than the purchased price.

Note: A sell transaction has to be done on the shares for the gain or loss to be realized. If not, the window will not display data.

PROCEDURE

To view Realized Gain Loss details of a Security Account:

- 1.On the Customers menu, click **Security Accounts**.
- 2.On the Security Accounts window, right-click and then click **Realized Gain Loss**. Details of Gain Loss records are displayed in a new tab.

To print Realized Gain/Loss Report:

- 1.On the Realized Gain Loss window, right-click and then click **Realized Gain Loss - Report**. A new tab opens displaying the report to print.
- 2.Click on **Print Report** () icon to print the report.
- 3.**Optional:** Click on **Export Report** () icon to save the report to a file.

Unrealized Gain Loss

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Unrealized Gain Loss

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Use this procedure to view Unrealized Gain/Loss details of shares from a customer's security account.

If a stock is not sold at a time when price moves above the price of purchase, the investor gets an unrealized gain. An unrealized loss occurs if a price of a stock goes down than the purchased price, after the customer buys it.

PROCEDURE

To view Unrealized Gain Loss details of a Security Account:

1. On the Customers menu, click **Security Accounts**.
2. On the Security Accounts window, right-click and then click **Unrealized Gain Loss**. A new tab

opens displaying the relevant Unrealized Gain Loss records.

To print Unrealized Gain/Loss Report:

- 1.On the Unrealized Gain Loss window, right-click and then click **Unrealized Gain Loss - Report**. A new tab opens displaying the report to print.
- 2.Click on **Print Report** () icon to print the report.
- 3.**Optional:** Click on **Export Report** () icon to save the report to a file.

Changing Portfolio Name

Creating & Managing Customer Accounts » Managing Security Accounts »



Changing Portfolio Name

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Use this procedure to change the Portfolio Name of a Security Account. When A Security Account is created, a portfolio name is generated with the Security Account Number and the currency used. Eg:- S00009345-AED. This name is displayed when selecting the Portfolio to perform a Buy Order.

This option is available when accessing a Security Account from the Customer Summary option of a customer record.

PROCEDURE

To Change the Portfolio Name:

1. Double-click on Customer record.
-OR-
2. Right-click on a Customer record and then click **Customer Summary**.

3. On Customer Details window, right-click on a Security Account and then click **Set Portfolio Name**. (Refer to figure 1)
4. In the dialog box that appears, change the Portfolio Name as you want and then click **OK**. The Portfolio name is changed in the Security Account.



figure 1: Changing Portfolio Name of a Security Account

Managing Trading Accounts

Creating & Managing Customer Accounts »



Managing Trading Accounts

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A Trading Account is created for a customer to enable trading as per the exchanges selected. While a customer can have many Exchange Accounts, having at least one Exchange Account is mandatory.

When creating a Trading Account, it is linked with one Security Account of the customer. However one Security Account can have one or more Trading Accounts linked. You can directly access the list of all Trading Accounts from the Customers menu, or refer customer records separately and use the Customer Summary option of each Individual Account.

If customer has a trading account linked only with a local exchange defined in the institutional level, that customer will be identified as

a local customer. If he has atleast one trading account, other than the local exchange he will be identified as a GTN customer.

This section describes about how to manage customer Trading Accounts with the trading activities performed by the customer.

TOPICS IN THIS SECTION

[Place Buy / Sell Orders](#)

[View Customer](#)

[Cash Transactions](#)

[View & Manage Holdings](#)

[View Holding Transactions](#)

[Stock Adjustments](#)

[Enable / Disable Trading](#)

Place Buy / Sell Orders

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Place Buy / Sell Orders

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Use Buy / Sell option on the shortcut menu of a Trading Account to place a Buy / Sell order. These options are enabled in a Trading Account for the convenience of the Admin Terminal user to place an order from a Trading Account. The same can be done from a shortcut menu of a customer record as well.

PROCEDURE

To place a Buy / Sell Order:

- 1.On the Customers menu, click **Trading Accounts**.
- 2.On the Trading Accounts window, right-click on the relevant record and click **Buy** or **Sell** option as applicable. The relevant window for the Buy / Sell order opens.
- 3.Fill in the relevant details and select the relevant

options to execute the Buy / Sell order.

4. Click **Send Order**. The order is sent through to process.
5. **Optional:** click on **Add to Basket** to keep the order to process later or to execute with a group of orders at once.

View Customer

Creating & Managing Customer Accounts » Managing Trading Accounts »



View Customer

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Use this option to view a customer's Account Summary by referring to the Customer Details window, while you're at the shortcut menu of a Security Account.

PROCEDURE

To View Customer:

- Right-click on a Security Account and then click **View Customer**. The Customer Details window opens displaying the records of relevant Cash, Security and Trading Accounts.

Cash Transactions

Creating & Managing Customer Accounts » Managing Trading Accounts »



Cash Transactions

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Use this procedure to view transactions records of a customer's Cash Account from the shortcut menu of a Trading Account. This option displays the list of transactions such as Deposits, Withdrawals and Charges & Refunds made by the related Cash Account.

PROCEDURE

To view Cash Transactions from a Trading Account:

1. On the Customers menu click **Trading Accounts**.
2. On the **Trading Accounts** window, right-click on the relevant record and then click **Cash Transactions**. The list of cash transactions are displayed in a new tab.

View & Manage Holdings

Creating & Managing Customer Accounts » Managing Trading Accounts »



View & Manage Holdings [Top](#) [Previous](#) [Next](#)

Use this procedure to access Holdings details of a customer from the shortcut menu of a Trading Account. By using this option, you can view and manage Holdings of the related Security Account while accessing the Trading Account.

NOTE: The same can be done from the View Holdings option of a Security Account.

PROCEDURE

To view & manage Holdings from a Trading Account:

1. On the **Customers** menu click **Trading Accounts**.
2. On the **Trading Accounts** window, right-click on the relevant record and then click **Holdings**. A

new tab opens with relevant Holdings records.

3. To manage Holdings, right-click on a Holdings record and perform the necessary functions as needed.

View Holding Transactions

Creating & Managing Customer Accounts » Managing Trading Accounts »



View Holding Transactions

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Use this procedure to view the Holdings Log of a customer's Security Account. When accessing the shortcut menu of a Trading Account, The Holdings Transactions option is available to access the Holdings Log.

Once a date range is specified, you can view the details related to all Holdings of the particular Security Account.

PROCEDURE

To view Holding Transactions of a Security Account:

1. On the **Customers** menu click **Trading Accounts**.
2. On the **Trading Accounts** window, right-click on

the relevant record and then click **Holdings Transactions**. A new tab opens displaying the Holding Log.

Stock Adjustments



Creating & Managing Customer Accounts » Managing Trading Accounts »

Stock Adjustments

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Use this procedure to adjust the stocks of a customer's Security Account. The Stock Adjustments function allows you to reconcile all transactions of a customers' portfolio with the Settlement Statement sent by the exchange. If there is any discrepancy between the Security Account and the transaction data sent by the exchange, this function can be used to adjust the stock difference.

PROCEDURE

To adjust stocks of a Security Account:

1. On the **Customers** menu, click **Trading Accounts**.
2. On the **Trading Accounts** window, right-click on the relevant record and then click **Stock Adjustments**.
(Refer to figure 1)
3. On the **Stock Adjustments** window, select the Security A/C, and the Transaction Type.
4. Select the applicable Symbol, enter the Quantity to adjust and also the V.W.A.P value.

5. Click **Execute**. A message appears inquiring to confirm the action.
6. Click **Yes**. A message appears inquiring to view Pending Stock Transactions.
7. Click **Yes**. The **Pending Stock Transactions** window opens for approval.

NOTE: To approve Pending Stock Adjustments refer to the [Manage Stock Transactions](#) section under Manage Customer Holdings.

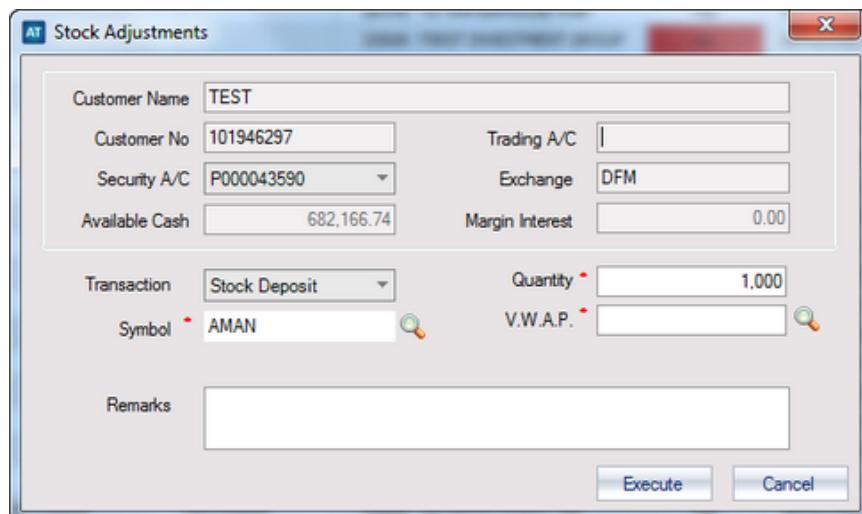


figure 1: Adjusting stocks of a customer

Enable / Disable Trading

Creating & Managing Customer Accounts » Managing Trading Accounts »



Enable / Disable Trading

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Use this procedure to Enable / Disable Trading from a Trading Account. Once you create a Trading Account for a customer, you must enable trading in order to proceed with a transaction.

After the initial customer account creation, The Buy Order and Sell Order options in a shortcut menu of a customer record are enabled only after you have set Enable Trading from the customer's Trading Account.

Also you can disable trading on a trading enabled account to restrict trading for the particular exchange, when selecting the related Security Account.

PROCEDURE

To enable / disable trading on a Trading Account:

- 1.On the **Customers** menu, click **Trading Accounts**.
- 2.On the **Trading Accounts** window, right-click and then click **Enable Trading** or **Disable Trading** as applicable.
- 3.A message appears inquiring to confirm the action. Click **Yes**.

NOTE: From the **View Customer** option of the particular account, you can refer the **Trading** column of the Security Account for the relevant status change.

Mark as Existing Business

Creating & Managing Customer Accounts » Managing Trading Accounts »



Mark as Existing Business

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Use this procedure to mark a trading account as an existing business.

PROCEDURE

To mark as an Existing Business:

1. On the **Customers** menu, click **Trading Accounts**.
2. On the **Trading Accounts** window, right-click and then click **Edit**.
3. Now the detail window is open to edit. Tick on the **EB** box to mark it as an existing business.
4. Click on **Save** to save the changes.

Online Customer Registration

Creating & Managing Customer Accounts »



Online Customer Registration

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This option holds Customer records which are registered online. When a Customer needs to register with the Trading system online, the customer is given a web portal link to create an account. Once the created account is reviewed by an authorized person at the brokerage, it can either be approved or rejected.

TOPICS IN THIS SECTION

[Pending Customers](#)
[Registered Customers](#)
[Exceptions](#)
[Rejected Customers](#)

Pending Customers

Creating & Managing Customer Accounts » Online Customer Registration »



Pending Customers

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Once a customer account is created online, it is displayed from Admin Terminal under the Pending Customers list. Once the account is being reviewed, you can either Upload the account to approve or Ignore the account to reject it.

PROCEDURE

To upload Pending Registered Customers:

1. On the Customers menu point to **Online Customer Registration**, click **Pending Customers**.
2. On the Pending Registered Customers window, right-click and then click **Upload**. A new tab opens to fill in the Customer Information.
3. Fill in the relevant data to complete the Customer Registration process. Click **Save** when applicable.

The Account is moved to the **Online Registered Customers** list.

To ignore Pending Registered Customers:

- 1.On the Customers menu point to **Online Customer Registration**, click **Pending Customers**.
- 2.On the Pending Registered Customers window, right-click and then click **Ignore**.
- 3.Enter a reason to Ignore the customer and then click **OK**. A message appears confirming the action. The Account is moved to the **Rejected Customers** list.

RELATED INFORMATION

[Online Customer Registration](#),
[Registered Customers](#), [Rejected Customers](#), [Exceptions](#)

Registered Customers

Creating & Managing Customer Accounts » Online Customer Registration »



Registered Customers

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This option displays the records of Online Registered Customers which have been approved. Once an Online account is initially displayed under the Pending Customers list, it is moved to the Online Registered Customers list when approved.

You can work with the right-click menu of these records, same as the normal Customers list.

PROCEDURE

To view Online Registered Customers:

- On the Customers menu point to **Online Customer Registration**, click **Registered Customers**. The Online Registered Customers window opens displaying the approved online customer records.

RELATED INFORMATION

[Online Customer Registration](#),
[Rejected Customers](#), [Pending Customers](#), [Exceptions](#)

Exceptions

Creating & Managing Customer Accounts » Online Customer Registration »



Exceptions

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When creating an Online Customer Account by an Agent, if a mismatch of the customer reference number occurs, it is recorded as an exception. This is done when the account creation is validated with the Trading System.

PROCEDURE

To view Exceptions:

- On the Customers menu point to **Online Customer Registration**, click **Exceptions**. The **Online Customer Exceptions** window opens.

RELATED INFORMATION

[Online Customer Registration](#),
[Registered Customers](#), [Rejected](#)

Customers, Pending Customers

Rejected Customers

Creating & Managing Customer Accounts » Online Customer Registration »



Rejected Customers

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This option displays the Rejected Online Customer records. Once a pending customer registration is found not approvable by the brokerage, it is Ignored and the particular record is moved to the Rejected Customers list.

PROCEDURE

To view Rejected Customers:

- On the Customers menu point to **Online Customer Registration**, click **Rejected Customers**. The Rejected Customers window opens displaying the list of rejected customer records.

RELATED INFORMATION

Online Customer Registration,
Registered Customers, Exceptions,
Pending Customers

Creating PIN Mailers

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Using the PIN Mailers option, you can create a batch of empty customer accounts. These batches can be created in advance and kept in the system, and used for instant customer registrations. Once a PIN is generated, it can be given to the customer initially to register in the system.

PROCEDURE

To create PIN Mailers:

1. On the Customers menu point to **PIN Mailers** and select **PIN Mailers**.
2. On the PIN Mailers window, right-click and then click **Create Batch**. The **Customer Accounts ◆ Create Batch** window opens. (Refer to figure 1)
3. Fill in the required fields and select relevant options. You can select either as Individual

Accounts or sub accounts with the particular Master Account.

4. Click **Execute**. The batch of accounts are created with Customer numbers. The Pins are generated.

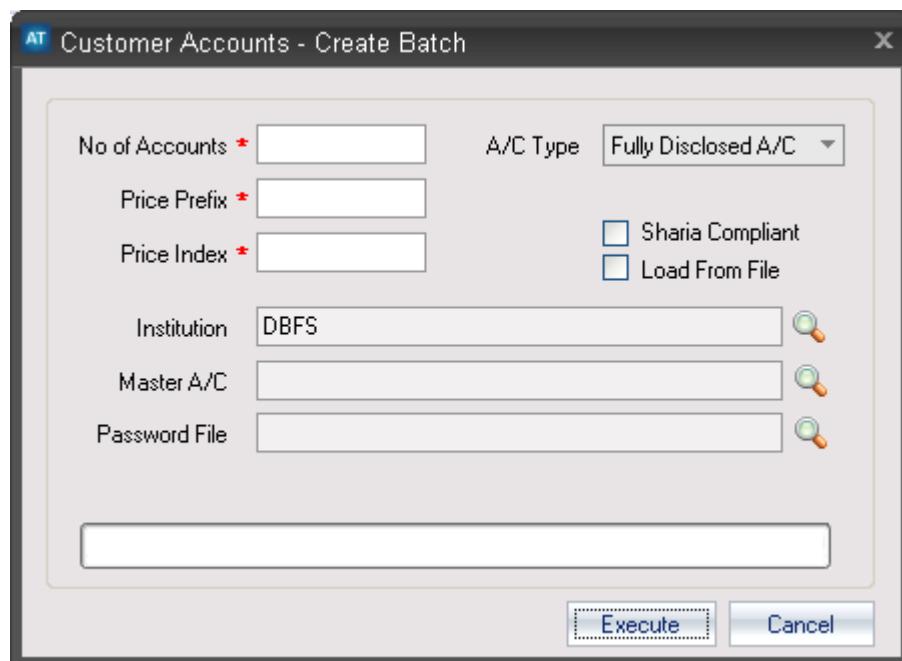


figure 1: creating a batch of PIN mailers

To print batch of PIN Mailers:

- On the **PIN Mailers** window, right-click and then click **Print Batch**. The PINs are sent to print.

NOTE: You must have specified the Pin printer under General tab of **User Preferences**.

To change password and reprint the PIN Mailers:

1. On the **PIN Mailers** window, right-click and then click **Change Password and Reprint**. A message appears inquiring whether to change password and reprint.
2. Click **Yes** to confirm the action. The batch of Pins are sent to print with the changed passwords.

Password Reset Requests / PIN Print Requests

Creating & Managing Customer Accounts » Creating PIN Mailers »



Password Reset Requests / PIN Print Requests

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When you make a Reset Password Request for a customer, this request appears under **Password Reset Requests** menu. An authorized AT user can accept the reset requests. After approving it will go to **PIN Print Requests** menu.

PROCEDURE

To accept Password Reset Requests:

1. On the Customers menu point to **PIN Mailers** and select **Password Reset Requests**.
2. On the window that appears, right-click on the request and click **Approve**.

Label Printing

Creating & Managing Customer Accounts >>



Label Printing

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Use this option to Print Labels of the batch of PINs created. When you execute Print Labels option, A window opens containing the main details of each batch account which can be sent to print.

PROCEDURE

To Print Labels:

- 1.On the Customers menu, click **Label Printing**.
- 2.On the Label Printing window, right-click and then click **Print Labels**. The **Pin Labels** window opens with information on Pin Labels.
- 3.Click  icon to Print Labels.

Add Customer Groups



Creating & Managing Customer Accounts »

Add Customer Groups

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Use this procedure to add Customer Groups in the system. This is used to rank the customers registered with the brokerage. The Customer Groups are created as Normal, VIP, VVIP etc.. When creating a Customer Account, in the Account Information tab you can specify the Customer Group for the new customer.

PROCEDURE

To create a Customer Group:

- 1.On the Customers menu, click **Customer Groups**.
- 2.On the **Customer Groups** window, right-click and then click **Add**. Customer Group details window opens. (Refer to figure 1)
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes. The new

Customer Group is added with Status pending.

- 5.Right-click on the Customer Group and click **Approve**. A message appears confirming the action.

NOTE: You can see the new Customer group available under the Account Information tab of a customer record edit mode.

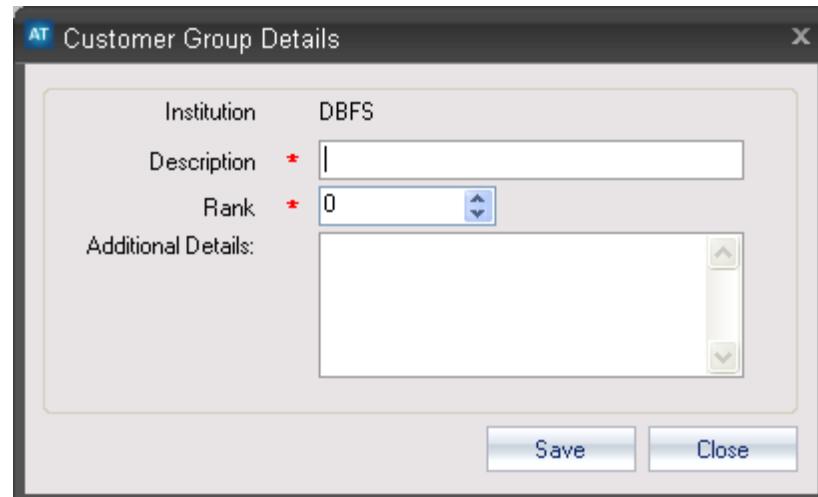


figure 1: adding a customer group

SMS Notifications

Creating & Managing Customer Accounts >>



SMS Notifications

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Admin Terminal allows you to send SMS notifications to keep your customers updated. You can select customers based on the filters available and compose messages to send. From the View Queue window you can view the queued messages which are sent to the customers via the trading system.

PROCEDURE

To send a SMS Notification to a customer:

- 1.On the Customers menu, click **SMS notifications**.
- 2.On the SMS notifications window, select the applicable option and click **Search**. The relevant customer records are displayed.
- 3.Select the customer record you want and then click on icon.
- 4.Type the SMS in the Message section and click

Send. The sending confirmation is displayed in the Log.

- 5.On **View Queue** section click **Refresh**. The queued message is displayed.

RELATED INFORMATION

E-mail Notifications



Creating & Managing Customer Accounts >>

E-mail Notifications

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Admin Terminal holds E-mail Notifications sent to customers or AT users on various functionality such as login details, trade confirmation messages, etc..

This option displays the E-mail notifications based on the sent status. The pending E-mails are listed in Out Box and the sent E-mails are listed in Sent Items.

PROCEDURE

To view E-mail Notifications:

- 1.On the Customers menu, click **E-mail notifications**.
- 2.On the E-mail notifications window, right-click and then click **View Details**. The E-mail message is displayed for the selected record. You can view details of Pending and Sent items on tabbed view.

Add a Power of Attorney



Creating & Managing Customer Accounts »

Add a Power of Attorney

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Admin Terminal allows you to add a person with Power Of Attorney (POA) rights as per customer instructions. The attorney holder is granted legal powers to perform certain actions on the customer account, such as requesting for cash transfers and signing for cheques.

Once a Power of Attorney is created, you can assign for a customer from the shortcut menu of a customer record.

PROCEDURE

To add a Power of Attorney:

- 1.On the Customers menu, click **Power Of Attorney**.
- 2.On the Power Of Attorney window, Right-click and then click **Add**. (Refer to figure 1)
- 3.Fill in the required fields.

- 4.Click **Save** and confirm changes. The new record is added in the current window as Status pending.
- 5.Right-click on the record and then click **Approve**.
The new POA is available to assign for a customer.

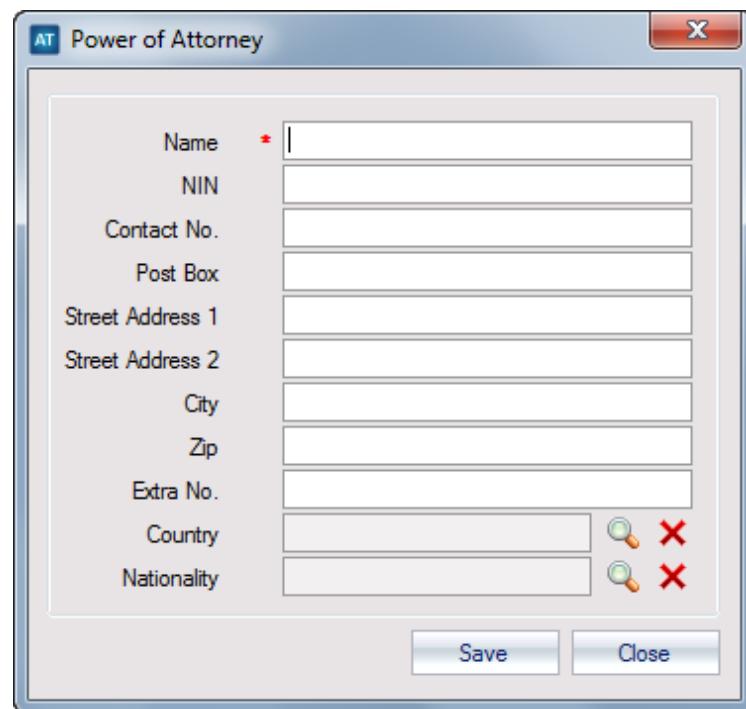


figure 1: Adding a Power of Attorney

To view Customers of a Power of Attorney:

- 1.On the Customers menu, click **Power Of Attorney**.
- 2.On the Power Of Attorney window, right-click and then click **View Customers**.

-OR-

3. Double-click on the POA record. A new window opens listing the customers of the selected POA.

Price User Pool



Creating & Managing Customer Accounts >>

Price User Pool

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This option allows to upload a bulk of Price Users to the system, so that they can be mapped to the relevant customers when required. The price users are uploaded using a CSV file.

PROCEDURE

To upload Price Users:

- 1.On the Customers menu, click **Price User Pool**.
- 2.On the Price User Pool window, Right-click and then click **Upload Price Users**.
- 3.Fill in the required fields.
- 4.Click **Save** and confirm changes. The new record is added in the current window as Status pending.
- 5.Right-click on the record and then click **Approve**.

The new POA is available to assign to a customer.

Unlock Customer Accounts



Creating & Managing Customer Accounts »

Unlock Customer Accounts

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Use this procedure to unlock a Customer Account that is locked. A customer account gets locked when the customer using a front end application, exceeds the maximum number of failed login attempts that are allowed (four failed login attempts are allowed). When an account gets locked it is displayed under Account Locked Customers menu.

Once you unlock the customer account, the customer can log into the trading system again.

PROCEDURE

To unlock Customer Accounts:

1. On the Customers menu, click **Account Locked Customers**.

- 2.On the Account Locked Customers window, right-click on the applicable record, and then click **Unlock Account**. A message appears inquiring whether you want to unlock the account.
- 3.Click **Yes** to unlock the account.

Trading via Admin Terminal

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This section describes on placing and managing orders from Admin Terminal. Different types of orders can be viewed from the Trading menu to perform necessary functions by the Admin Terminal user, such as trading securities on behalf of your customer, watch the order process in the system and also view customers' portfolio and transaction history etc..

TOPICS IN THIS SECTION

[Place Orders](#)

[My Customer Orders](#)

[Working with Orders](#)

[View & Manage Order Types](#)

[View & Manage Customer Holdings](#)

[View Transaction History](#)

[Manage Sharia Symbols](#)

[Trading Connections](#)
[View Trade Flow Monitor](#)

Place Orders



Trading via Admin Terminal »

Place Orders

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This section explains about placing market orders of customers from Admin Terminal. From the Trading menu, you have the options to place Offline / Online Orders and also Rapid Orders depending on the need applicable. Furthermore, you can use the options in Conditional and Algorithm Orders which can be placed from the Online order window.

Also, from the toolbar of the Admin Terminal interface, you have quick access to placing a Buy/Sell order.

[General Online Orders](#)

[Conditional Orders](#)

[Algorithm Orders](#)

[Offline Orders](#)

[Rapid Orders](#)

Bracket Orders

General Online Orders

Trading via Admin Terminal » Place Orders »



General Online Orders

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Use this procedure to place a General Online Order from the Trading menu of the Admin Terminal. By selecting this option, you can either place a sell order or buy order for the customer as applicable. The placed order is queued and sent through a process to be executed at the exchange. If an order is placed outside the market operational hours, the order will be executed in the next market session.

To place an order, you have to enter the customer details, the symbol you want to trade and specify the order quantity, price, order type, order validity and the transaction side. After entering the customer details, the middle panel displays the customer's personal details, trading limit and the cash balance. Once you select a symbol, the middle panel of the Order window displays the current market data for that symbol, such as the last traded price, traded volume, bid price, minimum price, etc. When you click Send Order, the necessary validations are made and the order is either accepted or rejected.

Moreover you can submit multiple orders to the exchange using the **Add to Basket** option. You can then execute all orders in the basket by clicking the **Order Basket**  button.

Also, you can use this option to place a Conditional Order or an Algorithm Order with the options provided.

NOTE: Placing a Buy/Sell order is also available in the shortcut menu of a customer record.

PROCEDURE

To place a General Online Order:

- 1.On the **Trading** menu, click **Online Orders**. (Refer to figure 1)
- 2.On the window that appears, select the applicable **Side** as Buy or Sell from the drop down option.
- 3.Enter the Customer Number and press **Enter**. The general customer details and cash balances are loaded to the window.
- 4.Select the symbol and type the order quantity and price (per share price). The **Order Type** and **Good Till** options get activated.
- 5.Select the order type and order validity. The **Order Value** is displayed.
- 6.Optional:
 - Select the executing broker from the list. If no executing broker is selected, the order is mapped to the default executing broker.
 - Type the minimum fill quantity. If you select Minimum Fill, the order will get executed only if the minimum number of shares specified is filled.
 - Type the disclosed quantity. If you select Disclosed Qty, only a part of the order quantity is disclosed to the market. The next part is automatically released after the previous order quantity. You can apply this to a very large quantity.
 - Click the **Add to Basket** button to add the orders to the basket.
- 7.Click **Send Order**. A message appears inquiring to confirm the placed order.
- 8.Click **Yes**. The order is processed successfully.

NOTE: for different reasons, not all placed orders get executed. In such scenarios, a pop up message

displays from the Admin Terminal window with the relevant details on the failed/rejected order.

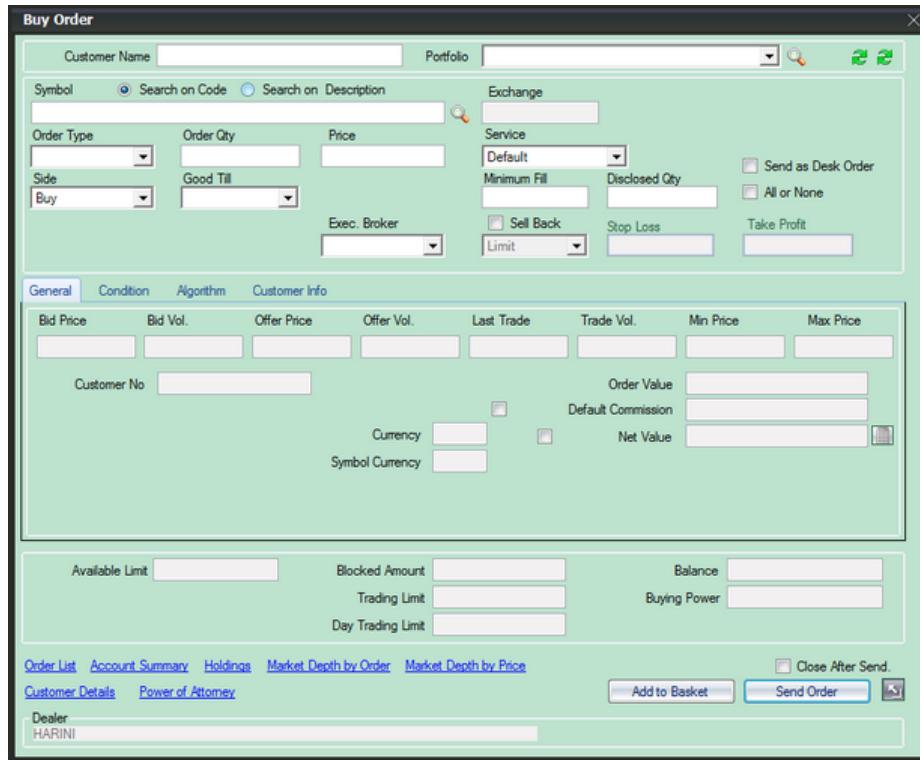


figure 1: Placing an Online Order.

Some general features and options which can be used from an Online Order window are explained below.

TIF types

When placing a general Online Order, you get an option to specify "Good Till" options. These are called as TIF types. (**T**ime **I**n **F**orce). This is a condition that you can specify on the validity of an order. The order is executed based on the action or the scenario selected from these options.

The following TIF types are available from the drop down list of the "Good Till" option on the Online Order window.

Good Till - Day : The order is valid only during the market hours of the current date.

Good Till - Cancel : The order is valid till it is canceled manually.

Good Till - At the Opening : The order is valid until the next market open time. If the specified order doesn't meet the specified deal at that time, the order is canceled.

Good Till - Immediate or Cancel : The Order is valid If it is fully or partially filled at the time of placing. The unfilled quantity will be canceled immediately.

Good Till - Fill or Kill : The Order gets executed fully upon placing or if not gets canceled.

Good Till - Crossing : The order is valid till it matches with a Cross Order.

Good Till - Date : The order is valid until a specified date. When you select this open, you can select a date for the order validity.

Good Till - Week : The Order is valid of a period of one week from the current date.

Good Till - Month : The Order is valid for a period of one month from the current date.

Order Types

When placing an order you can select from the following Order Types that are available from the Online Order window.

Limit Order : In a Limit Order you can set the maximum buying price / minimum selling price. The order will be executed at the specified price or better.

Market Order : In a Market Order, the Price field is disabled, hence you're unable to enter a per-share value. you can execute your order to the best selling

or buying price available in the market at a given point of time.

Conditional Orders



Trading via Admin Terminal » Place Orders »

Conditional Orders

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Use this procedure to place a Conditional Order. The Condition tab in the Online Buy/Sell Order window allows you to place an order with certain pre-defined conditions. The Order Quantity and Price can be entered as same as a general order, but once you specify the condition and send the order, it is sent to the Order Management System (OMS) and remains passive until it meets the set conditions.

The Price Criteria can be selected from Last Price, Bid Price, Offer Price, Min Price and Max price along with the condition as Equal, Less or Equal, Greater or Equal.

PROCEDURE

To place a Conditional Order:

- 1.On the **Trading** menu, click **Online Orders**.
- 2.Proceed as same as placing a general Online order and then click on **Condition** tab.
- 3.Under the **Condition Details**, select the applicable Price Criteria, and the Condition from the drop down lists.
- 4.Select an **Expiry Date** for the condition applied.

Optional: Click on **Clear** button to clear the selected condition and enter a new condition.

- 5.Click **Send Order**. The Order is sent to Order Management System.

NOTE: To view the Conditional Order, refer to the **Order List** of the Trading menu.

[Conditional Orders](#)

Algorithm Orders



Trading via Admin Terminal » Place Orders »

Algorithm Orders

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Use this procedure to place orders using Algorithm functions available from the Online Orders option.

Algorithmic trading, known as "Algo" is used for deciding the timing, pricing and quantity of stock orders. You can execute an order by selecting the applicable Algo type along with the parameters available. The order is processed according to the algorithm which are being functioned by using certain computer programs.

For each Algorithm order, you have parameters and options that can be used accordingly. Only the applicable parameters and options are available for each selected Algo Type.

- **Block Size** : This option is used to enter the

amount of shares as blocks that are being executed. When you select the applicable Algo Type, the Block Size can be specified to determine the amount of stocks that are sent for execution at a given time.

NOTE: This option is enabled for **All At Once, Iceberg** and **At Interval** Algo Types only.

- **Execution Style** : This option is used to select an Execution Style for the Algo order, to determine the time interval for executing the blocks of shares by monitoring the market activity. The following Execution Styles are available.

Aggressive - The system monitors the market activity at very close time intervals. (60 seconds)

Neutral - The system monitors the market activity at a moderate time interval. (300 seconds)

Passive - The system monitors the market activity after long time intervals. (600 seconds)

Custom - The system monitors the market activity on a time interval entered manually.

NOTE : Execution Style option is enabled for **Percentage Volume, Strict Percentage Volume, VWAP** and **Sliding Percentage Volume** Algo Types only.

- **Start Time & Expire Time** : These parameters can be used to specify a Time and Date of the execution period of the Algo order. The dates can be selected from the drop down lists and the Times can be specified by entering manually.

NOTE: This option is not enabled for **All At Once, Iceberg** and **At Interval** types of Algo Orders.

- **Max % Volume** : This option is used to specify the target quantity of shares that are sent for execution according to the selected algorithm at a given time. A percentage of the total No of Shares are entered.

NOTE: This option is not enabled for **All At Once, Iceberg** and **At Interval** and **Time Trigger** Algo Types.

- **Min % Volume** : This option is used to enter the percentage of the trade volume, at which the order overrides the Limit Price. When market price exceeds the Limit Price, then the traded volume should equal to the volume trades after the market price exceed the Limit price.

NOTE: This option is enabled for
Strict Percentage Volume and
Sliding Volume Percentage
Algo Types only.

- **Ref % Volume** : This option is used to specify the target participation percentage of the total order volume.

NOTE : This option is enabled for
Sliding Volume Percentage
Algo Type only.

- **Renewal %** : This option is used to enter the Renewal percentage that must be filled before issuing another order to the market to achieve Max Volume Percentage.

NOTE: This option is enabled for
Limit Iceberg Algo Type only.

- **Max Orders** : This option is used to enter the

Maximum number of orders that can be placed on the market for the selected Algorithm Type at a given time.

NOTE: This option is enabled for **Limit Iceberg** Algo Type only.

- **Limit Price** : This option is used to place price constraints on the order. If a Limit Price is entered, the order blocks may not proceed for execution as there will be a comparison with the market price. If the order price goes beyond the Limit Price, the Algo is halted and will not send any orders from the system for the time interval.

NOTE: This option is not enabled for **All At Once, Iceberg** and **At Interval** and **Time Trigger** Algo Types.

- **Would Level** : This option is used to enter the value at which the Algo will try to complete the order by being Aggressive in the Would Level field. This is lower than the market price in a buy order and higher than market price in a sell order.

Algo Types



Trading via Admin Terminal » Place Orders » Algorithm Orders »

Algo Types

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Under the Algorithm tab of the Online Order window, different Algo Types are available for you to select. These Algo types can be used to execute orders according to the required scenarios. The following Algo Types are listed.

[All At Once](#)

[Iceberg](#)

[At Intervals](#)

[Limit Iceberg](#)

[Percentage Volume](#)

[Strict Percentage Volume](#)

[Sliding Volume Percentage](#)

[TWAP](#)

[VWAP](#)

[Time Trigger](#)

All At Once

Trading via Admin Terminal » Place Orders » Algorithm Orders » Algo Types
»



All At Once

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Use this procedure to place an order using "All At Once" Algo type. This is a type of order that allows the dealer to buy/sell a large quantity of shares divided into small equal blocks to minimize the price fluctuations. When the order is executed, all small equal quantity of shares totalling up to the full quantity, are placed in the order execution process at once, and will be executed as separate orders containing sequential OMS order numbers.

PROCEDURE

To place an All At Once type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a General Online order

and then click on **Algorithm** tab.

3. Select the **Algo Type** as **All At Once** and enter the **Block Size** as applicable.
4. Click **Send Order**. The Order is sent to the Order Management System.

Iceberg

Trading via Admin Terminal » Place Orders » Algorithm Orders » Algo Types
»



Iceberg

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Use this procedure to place an order using "Iceberg" Algo type. When placing an order for a customer, you can use this option to hide the real order quantity from displaying to other shareholders at once by specifying the maximum number of shares to be shown at any specified time period.

The order quantities that are sent for execution can be specified as block sizes with a time interval to execute. Once a set of shares reaches the "Filled" status, the next block is sent to the Order Management System. Likewise, the total order quantity is executed with the specified time intervals gradually.

PROCEDURE

To place an Iceberg type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a General Online Order and then click on **Algorithm** tab.
3. Select the **Algo Type** as **Iceberg** and enter the **Block Size** as applicable.
4. Enter the time **Interval** to execute the order blocks and select the time format as required.
5. Click **Send Order**. The Order is sent to the Order Management System.

At Intervals

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»



At Intervals

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Use this procedure to place an order using "At Intervals" Algo type. The total order quantity is divided in to block sizes and sent for execution with a specified time interval. This type of order execution is almost identical to the Iceberg type. Only difference is, based on the time interval specified, each block of shares are sent to the order management system without waiting for the preceding set of blocks to reach the "Filled" status. Ultimately, the total order quantity is executed gradually.

PROCEDURE

To place an All At Once type Algo Order:

- 1.On the **Trading** menu, click **Online Orders**.
- 2.Proceed as same as placing a General Online order and then click on **Algorithm** tab.
- 3.Select the **Algo Type** as **At Intervals** and enter the **Block Size** as applicable.
- 4.Enter the time **Interval** to execute the order blocks and select the time format as required.
- 5.Click **Send Order**. The Order is sent to the Order Management System.

Limit Iceberg

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»



Limit Iceberg

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Use this procedure to place an order using "Limit Iceberg" Algo type. The limit iceberg algorithm is suitable for trading an order at a fixed limit price where the duration of the order is not important. For large order quantities, the maximum order size parameter controls the portion of the 'iceberg' that is sent to the market at any one time.

The visible part of the Iceberg order is the peak and it is introduced to the order book with the original time stamp of the iceberg order according to the price/time priority. As soon as the disclosed volume of an Iceberg order is completely filled, and a hidden volume is still available, a new peak is entered into the order book with a new time stamp. After

the peak of an Iceberg is completely matched, all visible limit orders at the same limit that were entered before the new peak, is given priority. Eg:- they are completely filled before the new peak is filled.

PROCEDURE

To place a Limit Iceberg type Algo Order:

- 1.On the **Trading** menu, click **Online Orders**.
- 2.Proceed as same as placing a general Online Order and then click **Algorithm** tab.
- 3.Select **Algo Type** as **Limit Iceberg**.
- 4.From the **Start Time** and the **Expire Time**, select the applicable time & date period for the order.
- 5.enter the **Max % Volume**, and the applicable **Renewal %**. These are values set for execution of each block of orders.
- 6.Enter the **Max Orders** value for the number of orders that can be on the trading execution process.

7.Click **Send Order**. The Order is sent to the Order Management System.

Percentage Volume

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»



Percentage Volume

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Use this procedure to place an order using "Percentage Volume" Algo type. This algorithm is used to trade up to the order quantity using a rate of execution that is in proportion to the actual volume trading in the market. Additionally you have to specify a "Would Level"

PROCEDURE

To place a Percentage Volume type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a general Online Order and then click **Algorithm** tab.
3. Select **Algo Type** as **Percentage Volume**.

- 4.Enter the **interval type**, **Start Time** and **Expire Time**, **Limit Price** and **Would Level**.
- 5.Click **Send Order**. The Order is sent to the Order Management System.

Strict Percentage Volume

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»



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Use this procedure to place an order using "Strict Percentage Volume" Algo type. This is the same as Percentage Volume, but with a minimum participation rate which will be fulfilled at the order execution.

PROCEDURE

To place a Strict Percentage Volume type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a general Online Order and then click **Algorithm** tab.
3. Select **Algo Type** as **Strict Percentage Volume**.
4. Enter the **interval type, Start Time and Expire Time, Limit Price, Would Level, Min %**

Volume and Max % Volume.

5. Click **Send Order**. The Order is sent to the Order Management System.

Sliding Volume Percentage

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»



Sliding Volume Percentage

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Use this procedure to place an order using "Sliding Volume Percentage" Algo type. The Algo automatically adjusts the targeted participation rate according to the price until the order is completed.

PROCEDURE

To place a Sliding Percentage Volume type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a general Online Order and then click **Algorithm** tab.
3. Select **Algo Type** as **Sliding Volume Percentage**.
4. Enter **interval type, start time** and **expire time**,

limit price, Would Level, Max % Volume, Min % Volume and Ref. % Volume.

5. Click **Send Order**. The Order is sent to the Order Management System.

TWAP

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»



TWAP

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Use this procedure to place an order using "TWAP" Algo type. TWAP (Time-Weighted Average Price) orders are a strategy of executing trades evenly over a specified time period. It allows traders to slice a trade over time, so it's a time slicer as opposed to a volume slicer, which is what VWAP does. This is particularly reassuring for traders when they are confronted with a particularly illiquid stock and can't predict the volume distribution at all. However, if a Max % Volume is mentioned it controls market impact by limiting the volume participation rate. In such a case, the order may not be finished at the end of the period.

PROCEDURE

To place a TWAP type Algo Order:

- 1.On the **Trading** menu, click **Online Orders**.
- 2.Proceed as same as placing a general Online Order and then click **Algorithm** tab.
- 3.Select **Algo Type** as **TWAP**.
- 4.Enter the **interval type, start time** and **expire time, limit price** and **Min % Volume**.
- 5.Click **Send Order**. The Order is sent to the Order Management System.

VWAP

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»



VWAP

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Use this procedure to place an order using "VWAP" Algo type. VWAP is a trading acronym for Volume-Weighted Average Price, the ratio of the value traded to total volume traded over a particular time horizon (usually one day). It is a measure of the average price a stock traded at over the trading horizon.

The VWAP algorithm is also effective for sizeable orders that would have significant market impact if executed immediately. The algorithm permits the user to reduce market impact in a low-touch, yet customizable way by spreading orders out over time, trading most at those times of day when volumes have historically been greatest and scaling back

during times where volumes have historically been light.

PROCEDURE

To place a VWAP type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a general Online Order and then click **Algorithm** tab.
3. Select **Algo Type** as **VWAP**.
4. Enter the **interval type, start time** and **expire time, limit price** and **Max % Volume**.
5. Click **Send Order**. The Order is sent to the Order Management System.

Time Trigger

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»



Time Trigger

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Use this procedure to place an order using "VWAP" Algo type. The order is triggered at a specified time.

PROCEDURE

To place a Time Trigger type Algo Order:

1. On the **Trading** menu, click **Online Orders**.
2. Proceed as same as placing a general Online Order and then click **Algorithm** tab.
3. Select **Algo Type** as **Time Trigger**.
4. Enter the **interval type**, **start time** and **expire time**.
5. Click **Send Order**. The Order is sent to the Order Management System.

Offline Orders



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Offline Orders

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Use Offline Orders option to input order details that have been already executed in the exchange. Hence, it acts as a reference and helps you in producing End Of Day (EOD) Reports. This is particularly useful when the connectivity between Order Management System and the Exchange is lost.

You can use the Offline Order options to input your placed orders and reconcile them with the reports received from the exchange and generate Daily Summary Reports.

PROCEDURE

To place an Offline Order:

1. On the **Trading** menu, click **Offline Orders**.
2. On the **Offline Order** window, select the

applicable **Side** as Buy or Sell from the drop down option and type the customer name and press **Enter**. The general customer details are displayed.

3. Select the Symbol, fill in the Order Quantity and other optional details if applicable and press the **Tab** key. The **Order Value** is updated.
4. Click **Send Order**. A message appears inquiring to confirm the placed order.
5. Click **Yes**. The Offline Order is processed successfully.

Rapid Orders



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Rapid Orders

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Use this option to place buy / sell orders quickly without having to refer to detailed information during the order placing process.

Rapid Orders can be placed at anytime. However, it is best to use the Rapid Order Entry after the market is in Pre-open state, as orders can be placed quickly. All Rapid Orders are Good Till Date.

PROCEDURE

To place an order from Rapid Order Entry:

1. On the **Trading** menu, click **Rapid Order Entry**.
2. On the Rapid Order Entry window, Type the **Customer Name** and press **Enter**. The relevant Security Account(s) displayed.
3. Type the **Symbol** name you need to trade and

press **Enter**. The relevant **Exchange** name is updated.

4. Select the applicable **Order Type** from the drop down list and enter the **Order Qty** and **Price**.
5. Click on **Buy / Sell** button as applicable for the placed order. A message appears inquiring to confirm the order.
6. Click **Yes**. The Order is sent for execution.

Braket Orders



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Braket Orders

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Bracket Orders are designed to help limit the customers trading loss and lock in a profit by "bracketing" an order with two opposite-side orders. A Buy order is bracketed by a high-side sell limit order and a low-side sell stop order. A Sell order is bracketed by a high-side buy stop order and a low side buy limit order.

From the Online Orders window, you can select the applicable options to place a Bracket Order.

Stop Loss (Buy) - The system automatically sells a security when it reaches a certain price. It is designed to limit an investor's loss on a security position. If the price of the stocks you purchase goes down below a price that you specified beforehand, the system will sell the stocks.

If a Limit Price is specified (should always be less than the last traded price of the market orders or the price specified for limit orders) as the Stop Loss Price, once the buy order is executed, the system will closely monitor whether the price of the security will come down to the Limit Price specified. If it does, then a Market Sell Order will be sent to the exchange with the same amount of quantity purchased in the buy order.

The reverse is applicable for a Stop Loss (Sell) Order.

Take Profit (Buy) - The system automatically sells a security when it reaches a certain price. It is designed to assure an investor's profits on a security position. The investor can decide the price he wishes to sell the stock beforehand. By this he minimizes the unnecessary risk of the price of the stocks going down later.

When the Take Profit Price is specified (should always be higher

than the Last Traded Price of the Market Orders or the price specified for Limit Orders) after the buy order is executed, the system will closely monitor whether the price of the security will go up to the Take Profit Price specified. If it does, then a Market Sell Order will be sent to the exchange with the same amount of quantity purchased in the earlier buy order.

The reverse is applicable for Take Profit (Sell) Order.

PROCEDURE

To place a Bracket Order:

1. On the **Trading** menu, click **Online Orders**.
2. On the window that appears, select the applicable **Side** as Buy or Sell from the drop down option.
3. Enter the Customer Number and press **Enter**. The general customer details and cash balances are loaded to the window.
4. Select the **Sell Back** check box and enter the per-share values that you need to specify for the **Stop**

Loss and Take Profit.

5.Click **Send Order**. The Order is sent to the Order Management System.

My Customer Orders



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My Customer Orders

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Use this procedure to view & manage orders you have placed on behalf of the customers assigned to you as the Dealer. Depending on the search criteria specified, you can search for any order that you have placed.

The particular window is displayed as My Orders and the shortcut menu contains many options for you to manage the orders placed by you.

[Managing an Order](#)

PROCEDURE

To view My Customer Orders:

- On the **Trading** menu, click **My Customer Orders**. My Orders window opens in a new tab displaying the records of orders placed.

Optional: You can use the calendar option to specify a date

range to display the orders placed.

Working with Orders



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Working with Orders

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This section describes on working and managing with different types of orders listed in the Admin Terminal. The shortcut menu of each order type listed under Order List, contains similar functionalities that you can use to manage the orders.

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[Amend Order](#)

[Cancel Order](#)

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[View Holdings](#)

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Bulk Print Order Requests
Trades for Symbols

View Order



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View Order

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Use this procedure to view order details of a selected order from the shortcut menu of an order record.

When you use this option, the information about the order is displayed in a new window. Also, if the order is filled in quantities, that information is displayed in the same window.

PROCEDURE

To view an Order:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, Right-click on an order record and then click **View Order**. The **Order Execution Details** window opens.

Amend Order



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Amend Order

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Use this procedure to Amend a customer's order. An order can be amended before it reaches the "Filled" status to edit the initial details entered when placing an order. When you select this option, the Buy/Sell order window appears to perform the necessary amendments.

Once the amendment is done, a new order record appears in All Orders list with a new Order ID. Also, The "Original Order ID" is referred same as the OMS Order Number of the Original Order record. The Amended record goes through the order processing and reaches the Filled status.

PROCEDURE

To amend an order:

- 1.On the **Trading** menu, point to **Order List**, and then click on an order type.
- 2.On the order list window, right-click and then click **Amend Order**.
- 3.On the Amend Order window, do the necessary amendments such as changing the Quantity and Price and click **Amend**. A new record appears in the All Orders list with the amended details and processed to the exchange. The Original record Status is changed as **Invalidated By Change**.

Cancel Order



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Cancel Order

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Use this procedure to cancel an order. For certain reasons, If there's a need to cancel an order, you can use this option from a order record.

NOTE: Orders that are not in "Filled" status can be canceled.

PROCEDURE

To cancel an order:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click on the relevant order record and then click **Cancel Order**.
3. In the Cancel Order window, click **Cancel Order**. A message appears inquiring to confirm the action.

4. Click **Yes**. The order record is moved to the top of the current order list window with Status as **Send to Cancel**.

View Customer



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View Customer

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Use this procedure to view the customer's account summary when referring to an order record. The customer's Cash, Security & Exchange account details can be viewed and accessed while working with an order record.

PROCEDURE

To view customer account summary:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click on the relevant order record and then click **View Customer**. The Customer Details window opens.

View Holdings



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View Holdings

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Use this procedure to view holdings of a customer when referring to an order record. This option gives direct access to the purchased stock details of the particular customer, while referring the order record.

PROCEDURE

To view holdings:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click on the relevant order record and then click **View Holdings**. A new tab opens displaying the customer's holdings.

Reverse Order



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Reverse Order

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Use this procedure to reverse a buy/sell order which has been placed. An order which has been placed can be reversed manually at the discretion of the exchange or the brokerage house.

PROCEDURE

To reverse an order:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click and then click **Reverse Order**.
3. Enter a reason for reversing the order and click **OK**. A message appears confirming the action. The status of the order changes as **Expired by EXG**.

Expire Order



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Expire Order

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Use this procedure to Expire an order in an order list. Certain orders are placed in the system to be expired on a specified date. If for some reason, such an order failed to meet the criteria, you can use this option to manually expire the order. Also you can use this option on any other scenario where you need to invalidate an order.

Once you perform this action, you can view the order in the **All Orders** list with the status as "Expired".

NOTE: you can expire multiple orders at once by click and drag the right mouse button on an order record.

PROCEDURE

To expire an order:

- 1.On the **Trading** menu, point to **Order List**, and then click on an order type.
- 2.On the order list window, right-click and then click **Expire Order**.
- 3.Click **Yes** to confirm the action. Another message appears to reconfirm the order expiration.
- 4.Click **Yes**. The Order record appears in the All Orders list with status **Expired**.

Manual Order Execution



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Manual Order Execution

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Use this procedure to manually execute an order. This option is used to execute Offline Orders based on the information received from the exchange. Orders which are pending in the order execution process can be manually executed.

PROCEDURE

To manually execute an order:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.

2. On the order list window, right-click on the relevant order record and then click **Manual Order Execution**.

Set Status



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Set Status

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Use this procedure to set the status of an order manually. For different reasons, if for some reason the exiting status of an order needs to be changed, you can use this option. An applicable status can be applied from the available list of statuses in the sub menu of the Set Status option.

The following statuses are available to change the existing status of an order record.

- **Queued**
- **Expired**
 - **Rejected**
- **Processed**
- **Filled**
- **Canceled**
 - **Partially Filled**
 - **Replaced**

- Pending Cancel**
- Stopped**
- Suspended**
- Pending New**
- Pending replace**
- Created**
- Received**
- OMS Accepted**
- Invalidated by Change**
- Invalidated by Replace**

PROCEDURE

To set the status of an order manually:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click on the relevant order record and then point to **Set Status**.
 3. Select the required status from the list.

Adjust Order Values



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Adjust Order Values

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By using this option, following two order values can be changed.

1. Cumulative Quantity
2. Leaves Quantity

This option is used when the original values are erroneous.

PROCEDURE

To adjust Order Values:

1. On the order list window, right-click on a record and then click **Adjust Order Values**.
2. On the **Adjust Order Values** window, enter the current and new values and save.

Trade Report



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Trade Report

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Use this procedure to generate the Daily Customer Trade Report. From this option you can generate a customer report of a selected order records window. Some key columns selected from the order records are displayed in this report.

PROCEDURE

To view Customer Trade Report:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click and then click **Trade Report**. A new tab opens displaying the **Daily Customer Trade Report** for the records of the selected date range.

NOTE: The report displays only the records of the opened window.

Optional:

3. To print the report, click on  icon.
4. To export the report to a file, click on  icon.

Order Receipt



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Order Receipt

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Use this procedure to generate an Order Receipt for a customer's trade. The order receipt contains the values for the relevant Buy/Sell trade performed.

PROCEDURE

To view Order Receipt:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click and then click **Order Receipt**. A new tab opens displaying the **Order Confirmation** receipt for the selected order.

Optional:

3. To print the receipt, click on icon.
4. To export the receipt to a file, click on icon.

Bulk Print Order Requests



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Use this procedure to print order receipts of multiple orders. You can refer to the relevant order type window and specify a date range to list the order records and print the receipts in bulk format.

PROCEDURE

To print order receipts:

- 1.On the **Trading** menu, point to **Order List**, and then click on an order type.
- 2.On the order list window, right-click and then click **Bulk Print Order Requests**.
- 3.Click **Yes** to confirm Bulk Order Receipt printing.
- 4.On the **Select Date Range** window, specify the date range of the applicable records and click **OK**. The receipt printing process is displayed. The Order receipts are queued in for printing. (Refer to figure 1).



figure 1: bulk printing of customer orders

Trades for Symbols



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Trades for Symbols

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Use this procedure to view Customer Trade Report as per the symbols traded. By selecting a date range you can view a report of the particular symbol traded displaying the value & quantity of shares.

PROCEDURE

To view Trades for Symbols:

1. On the **Trading** menu, point to **Order List**, and then click on an order type.
2. On the order list window, right-click and then click **Trades for Symbols**. (Refer to figure 1)
3. On the **Select Date Range** window, specify a Starting Date & Ending Date and click **OK**. A new tab opens as **Daily Customer Trade Report** displaying the holdings information related to the symbol traded.

Optional:

4. To print the report, click on  icon.
5. To export the report to a file, click on  icon.

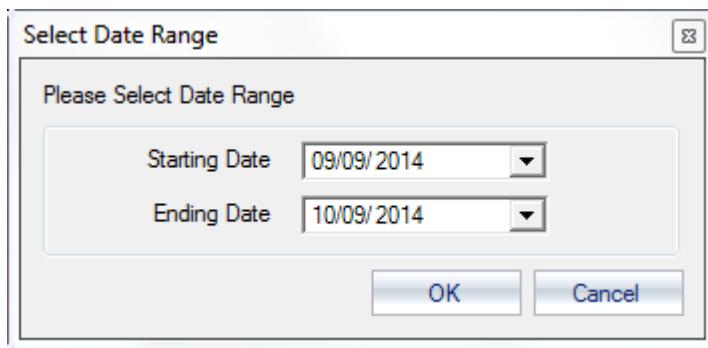


figure 1: Selecting a date range to view Trades for Symbols.

View & Manage Order Types



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View & Manage Order Types

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This section explains on viewing and managing different types of market orders. Depending on certain conditions and situations such as order execution methods, the access to orders are categorized in different submenus for the convenience of Admin Terminal user.

The Following sub menus are listed in the **Order List** under the Trading menu.

[All Orders](#)

[Open Orders](#)

[Waiting for Approval](#)

[Executed Orders](#)

[Rejected Orders](#)

[Minimum Value Orders](#)

[Online Orders](#)

Offline Orders
Canceled Orders
Manually Executed Orders
Semi DMA Orders
Duplicate Orders
Mutual Fund Orders
Internally Matched Orders
Internally Matched Executions
Multi NIN Master Orders
Multi NIN Basket Orders

All Orders



Trading via Admin Terminal » View & Manage Order Types »

All Orders

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Use this procedure to view & manage All Orders that are listed in the Admin Terminal. Once an Order is sent for processing, the relevant order record appears under the All Orders list and the Status of the order is updated when it is validated with the Order Management System.

PROCEDURE

To view & manage All Orders:

1. On the **Trading** menu, point to **Order List** and then click **All Orders**. A new tab opens displaying the All Orders list.
2. To manage and work with All Orders, use the functions in the shortcut menu of an order record.

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Conditional Orders

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Conditional Orders

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Use this procedure to view the Conditional Orders placed by the Admin Terminal. When placing an order, you have the options to specify a condition using the available criteria(s). As an Example, you can set the order to execute upon the offer/bid price reaching a particular value. Also you can specify a date for the condition to expire. All such orders are displayed in the Conditional Order window.

Depending on the date specified to expire, the Condition Status of an order is displayed as Expired / Pending. Also, if you cancel a pending Conditional Order, the Condition Status is changed as Canceled.

PROCEDURE

To view Conditional Orders:

- 1.On the **Trading** menu, point to **Order List** and then click **All Orders**.
- 2.Click **Conditional Orders** tab.

Desk Orders

Trading via Admin Terminal » View & Manage Order Types » All Orders »



Desk Orders

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Use this procedure to view Desk Orders of the system. Desk Orders are normally executed through the Dealer Terminal. From the Admin Terminal you can view the placed desk orders in the Order List, Desk orders option.

Desk orders are used to place large orders for institutional customers. Dealer can break a given desk order in to child orders based on the instructions given. The Child order generation process takes place in the trading desk. The system allows a user to make child orders based on the instructions and send those child orders to the exchange.

PROCEDURE

To view Desk Orders:

- 1.On the **Trading** menu, point to **Order List** and then click **Desk Orders**.
- 2.Click **Desk Orders** tab.

Algo Orders

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Algo Orders

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Use this procedure to view Algo Orders placed in the system. When placing an order, you can use the Algorithm options to apply variations on the order execution.

The Algo orders window displays the particular order records with different Order Statuses depending on the order process.

PROCEDURE

To view Algo Orders:

1. On the **Trading** menu, point to **Order List** and then click **Algo Orders**.
2. Click **Algo Orders** tab.

Open Orders



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Open Orders

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Use this procedure to view & manage Open Orders. This option lists the orders that are yet to be executed. The Status of the order is displayed under the Status column of each order record.

PROCEDURE

To view & manage Open Orders:

1. On the **Trading** menu, point to **Order List** and then click **Open Orders**. A new tab opens displaying the Open Orders list.
2. To manage and work with Open Orders, use the functions in the shortcut menu of an order record.

[Working with Orders](#)

Waiting for Approval



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Waiting for Approval

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Use this procedure to view & manage orders that are pending for approval. You can either Approve/Reject the pending order as applicable.

In most cases, approvals are required when the customer requests a credit facility from the broker and Buy Orders are placed based on this request. Also, if a customer places a sell order with no stocks in his security Account, and the particular exchange does not allow short selling, such orders are also displayed as pending for approval.

PROCEDURE

To view & manage Waiting for Approval Orders:

1. On the **Trading** menu, point to **Order List** and

then click **Waiting for Approval**. A new tab opens displaying the order list which is pending for approval.

2. To manage and work with Waiting for Approval orders, use the functions in the shortcut menu of an order record.

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Executed Orders



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Executed Orders

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Use this procedure to view & manage Executed Orders. The Status of the all Executed Orders are displayed as "Filled".

PROCEDURE

To view & manage Executed Orders:

1. On the **Trading** menu, point to **Order List** and then click **Executed Orders**. A new tab opens displaying the list of executed orders.
2. To manage and work with Executed Orders, use the functions in the shortcut menu of an order record.

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Rejected Orders



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Use this procedure to view & manage Rejected Orders. A placed order can be rejected for different reasons. The Status column of an order record displays the Status as Rejected.

When you click on a rejected column, the reason for rejecting the order appears as information.

PROCEDURE

To view & manage Rejected Orders:

1. On the **Trading** menu, point to **Order List** and then click **Rejected Orders**. A new tab opens displaying the list of rejected orders.

2. To manage and work with Rejected Orders, use the functions in the shortcut menu of an order record.

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Minimum Value Orders



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Use this procedure to view orders that were placed with an Order Value below (or equal) to the minimum value specified by the exchange.

PROCEDURE

To view Minimum Value Orders:

- On the **Trading** menu, point to **Order List** and then click **Minimum Value Orders**. A new tab opens displaying the list of Minimum Value Orders.

Online Orders



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Use this procedure to view & manage Online Orders. These are the normal Buy/Sell orders that are placed as Limit or Market Orders.

PROCEDURE

To view & manage Online Orders:

1. On the **Trading** menu, point to **Order List** and then click **Online Orders**. A new tab opens displaying the list of Online Orders.
2. To manage and work with Online Orders, use the functions in the shortcut menu of an order record.

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Bond Orders



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Use this procedure to create and manage Bonds.

PROCEDURE

Add a default brokerage account for Bond trading :

1. On the **System** menu, point to **Institution** and then right-click on an **Institution**.
2. Select **Edit**. Go to the **Configuration** tab.
3. Under the **General** sub tab select the account and the respective portfolio that need to be set as default brokerage account.

To create bond Orders:

1. On the **Trading** menu, point to **Order List** and then click **Fixed Income Order Recording**

Requests.

- 2.Enter the details and click **Send Order** to place the order.

Note: When adding a Fixed Income Order Recording Requests, buying from one person and selling it to another order will require creating two different order requests.

To Execute and Cancel bond Orders:

- 1.Upon adding a Fixed Income Order Recording Request, right click on it and select **Execute** to execute the order.

Right-click and select **Cancel** to cancel the order request.

Note: There are 4 status for a given Fixed Income Order Request.

- i. **Accepted** ♦ Once a bond request is created it will be in the accepted status
- ii. **Approved** ♦ When the AT user execute a bond request and when it got successfully executed it will be in the Approved status

- iii. **Canceled** - When the AT user execute a bond request and when it got successfully executed it will be in the Approved status
- iv. **Rejected** ♦ When the order is rejected by the OMS.

To view bond Orders:

1.On the **Trading** menu, click on **My Customer Orders**.

2.Click on the **My Bond Orders** tab.

or

1.On the **Order List** icon, click on **Bond Orders** tab.

2.Click on the **My Bond Orders** tab.

Offline Orders



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Offline Orders

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Use this procedure to view & manage Offline Orders. The orders that have been updated at the exchange, but for some reasons manually updated in the system, are displayed under the Offline Orders window.

PROCEDURE

To view & manage Offline Orders:

1. On the **Trading** menu, point to **Order List** and then click **Offline Orders**. A new tab opens displaying the list of offline orders.

2. To manage and work with Offline Orders, use the functions in the shortcut menu of an order record.

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Canceled Orders



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Canceled Orders

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Use this procedure to view & manage Canceled Orders. For certain reasons, Queued Orders are manually canceled to stop the order process to the exchange. These canceled orders can be viewed from the Canceled Orders window.

PROCEDURE

To view & manage Canceled Orders:

1. On the **Trading** menu, point to **Order List** and then click **Canceled Orders**. A new tab opens displaying the list of canceled orders.
2. To manage and work with Canceled Orders, use the functions in the shortcut menu of an order record.

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Manually Executed Orders



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Manually Executed Orders are the orders executed manually by you based upon the information received from the Exchange. Manual Order Execution is used to execute Offline Orders.

PROCEDURE

To view Manually Executed Orders:

- On the **Trading** menu, point to **Order List** and then click **Manually Executed Orders**. A new tab opens displaying the list of manually executed orders.

Semi DMA Orders



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Semi DMA Orders

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Use this procedure to view & manage Semi DMA Orders. There are some exchanges that customers trade, to which direct connectivity is not available with the Admin Terminal. In such scenarios, the customer trades can be executed using an Executing Broker through a separate terminal.

The orders placed in this manner are recorded in Admin Terminal under Semi DMA order list.

PROCEDURE

To view semi DMA Orders:

1. On the **Trading** menu, point to **Order List** and then click . A new tab opens displaying the list of executed orders.

2. To manage and work with Executed Orders, use

the functions in the shortcut menu of an order record.

Working with Orders

Duplicate Orders



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Use this procedure to view & manage Duplicate Orders. Order records that contain same values for certain attributes such as Exchange, Price, Buy/Sell side and Symbol, are listed under the Duplicate Order window.

PROCEDURE

To view Duplicate Orders:

1. On the **Trading** menu, point to **Order List** and then click **Duplicate Orders**. A new tab opens displaying the list of Duplicate Orders.
2. To manage and work with Duplicate Orders, use the functions in the shortcut menu of an order record.

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Mutual Fund Orders



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Use this procedure to view & manage Mutual Fund Orders.

PROCEDURE

To view Mutual Fund Orders:

1. On the **Trading** menu, point to **Order List** and then click **Mutual Fund Orders**. A new tab opens displaying the list of Mutual Fund Orders.

2. To manage and work with Mutual Fund Orders, use the functions in the shortcut menu of an order record.

Internally Matched Orders



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Use this procedure to view the orders that can be potentially matched (conflicting orders, i.e - Buy and Sell Orders for the same stock at the same price).

PROCEDURE

To view Internally Matched Orders:

1. On the **Trading** menu, point to **Order List** and then click **Internally Matched Orders**. A new tab opens displaying the list of Internally Matched Orders.
2. To manage and work with Internally Matched Orders, use the functions in the shortcut menu of an order record.

Internally Matched Executions



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Internally Matched Executions

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Use this procedure to view internally matched executions.

PROCEDURE

To view Internally Matched Executions:

1. On the **Trading** menu, point to **Order List** and then click **Internally Matched Executions**. A new tab opens displaying the list of Internally Matched Executions.

2. To manage and work with Internally Matched Executions, use the functions in the shortcut menu of an order record.

FOL Algo Orders



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FOL Algo Orders

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Use this procedure to view First Order Logic orders executed by the system.

PROCEDURE

To view FOL Algo Orders:

1. On the **Trading** menu, point to **Order List** and then click **FOL Algo Orders**.

Multi NIN Master Orders



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Multi NIN Master Orders

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Use this procedure to view the real-time progress of all Multi NIN Master orders that you have placed for the current trading session. By right-clicking on a master order, you can view the Basket and Child orders of the particular master order.

PROCEDURE

To view Multi NIN Master Orders:

1. On the **Trading** menu, point to **Order List** and then click **Multi NIN Master Orders**. A new tab opens displaying the list of Multi NIN Master Orders.
2. To manage and work with Multi NIN Master Orders, use the functions in the shortcut menu of an order record.

Multi NIN Basket Orders



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Multi NIN Basket Orders

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In Multi NIN Basket, the multiple NINs which are divided based on the master order percentage of allocation are displayed.

PROCEDURE

To view Multi NIN Basket Orders:

1. On the **Trading** menu, point to **Order List** and then click **Multi NIN Basket Orders**. A new tab opens displaying the list of Multi NIN Basket Orders.
2. To manage and work with Multi NIN Basket Orders, use the functions in the shortcut menu of an order record.

Multi NIN Child Orders



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Multi NIN Child Orders

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In Multi NIN Child orders, the multiple NINs that are divided based on the master order percentage of allocation, are displayed.

PROCEDURE

To view Multi NIN Child Orders:

1. On the **Trading** menu, point to **Order List** and then click **Multi NIN Child Orders**.
2. To manage and work with Multi NIN Child Orders, use the functions in the shortcut menu of an order record.

View & Manage Customer Holdings

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View & Manage Customer Holdings

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Use this procedure to View & Manage holdings of a customer from the Trading menu of Admin Terminal. From the Holdings option in the Portfolio sub menu, you can select a customer record to view the Holdings details. Furthermore, the shortcut menu of each holding record enables you to use the options to manage holdings.

NOTE: The same function is available in the shortcut menu of a customer Security Account and the Trading Account as well.

PROCEDURE

To View & Manage Holdings:

1. On the **Trading** menu, point to **Portfolio** and then click **Holdings**.

2.On the **Select Customer to View Holdings** window, double-click on the relevant customer record. A new tab opens displaying the holdings records of the customer.

Optional: You can right-click on a Holdings record and use the options in the shortcut menu to manage Holdings.

View Transaction History



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Use this procedure to view the transactions details of trading done on a customer's stocks. For a specified date range, you can view the Buy / Sell functions of traded symbols and the value of stocks per each symbol.

PROCEDURE

To view Transaction History of a Customer:

1. On the **Trading** menu, click **Transaction History**.
2. On the **Select Customer to View Transaction History** window, double-click on the relevant customer record. A new tab opens as Transaction History for the selected customer.

Manage Sharia Symbols



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Manage Sharia Symbols

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Use this procedure to manage Sharia Symbols from Admin Terminal. When adding symbols to the system under Master Data, you have an option to make the symbol "Sharia Compliant". These symbols are available to add separately, using the Sharia Symbols option.

You can also upload Sharia Symbols by selecting a data file which contains a sharia symbol list.

PROCEDURE

To add Sharia Symbols:

1. On the **Trading** menu, click **Sharia Symbols**.
2. On the Sharia Symbols window, right-click and then click **Add**.

- 3.On the **Select Symbol** window, double-click on the symbol that need to add. A message appears confirming the action.

To remove Sharia Symbols:

- 1.On the **Trading** menu, click **Sharia Symbols**.
- 2.On the Sharia Symbols window, right-click on the relevant symbol and then click **Remove**. A message appears inquiring whether you want to remove the symbol.
- 3.Click **Yes**.

Trading Connections



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Trading Connections

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The Trading Connections window displays the OMS Client connection with the exchanges and also the market status.

PROCEDURE

To view Trading Connections:

- On the **Trading** menu, click **Trading Connections**.

View Trade Flow Monitor



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View Trade Flow Monitor

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Use this procedure to view the Bid/Offer turnover details of the symbols traded from the Admin Terminal. The Bid Trade Turnover and the Offer Trade Turnover is displayed symbol wise along with calculated Net Money Flow. The data in this window is updated automatically as per symbol trading. Also, you have the option to set the refresh interval of data update.

NOTE: The net Money flow of each symbol traded, is the difference between the relevant total Bid value and the total Offer value.

PROCEDURE

To view Trade Flow details:

- On the **Trading** menu, click **Trade Flow Monitor**.

A new tab opens displaying the symbol wise turnover details.

Optional: To set the Refresh Interval of data update, refer to the  Auto Refresh [3  Mins.] icon.

Managing Brokerage Finance Activities



Managing Brokerage Finance

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This section explains about various Brokerage Financial Activities done through the Admin Terminal. Data related to the financial activities can be viewed and managed through different menus of this section, as per the brokerage functions and customer trading.

Using the Finance menu, you can manage certain functions of the system like Cash flows, Trading limits, Margin Trading and also the Corporate Actions such as rights issues, bonus issues etc..

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Customer Deposit/Withdraw Notifications

Managing Brokerage Finance Activities »



Customer Deposit/Withdraw Notifications

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This Section explains on managing Cash Deposits/Withdrawals done by customers connected to the Order Management System using different client applications. The Deposits/Withdrawals requests can be viewed to be Approved or Canceled by the Admin Terminal user. The Deposits/Withdrawals requests go through two levels of approval to update the customer's cash account.

Also, on behalf of the customer you can manually add the Deposit/Withdrawal transactions to be updated at the relevant cash account of the customer.

The Notifications can be viewed in a categorized sub menus as

follows;

Pending : Lists all the Pending Deposits/Withdrawal Notifications to be approved or canceled.

Approved : Lists all the Approved Deposits/Withdrawal Notifications.

Canceled : Lists all the Canceled Deposits/Withdrawal Notifications.

All : Lists all pending, approved and canceled Deposits/Withdrawal Notifications.

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Deposit Notifications

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Deposit Notifications

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Use this procedure to view Deposits Notifications of customers. Once a customer makes a deposit for his cash account through a front end application, the notification is received to the Admin Terminal and displayed as pending and later can be approved or canceled.

PROCEDURE

To approve a Pending Deposit Notification:

1. On the **Finance** menu, point to **Customer Notifications, Deposit Notifications** and then click **Pending**.
2. On the **Deposit Notifications - Pending** window, right click on the applicable record and then click **Approve**.

- 3.On the **Customer Cash Request Approval** window, click **Approve**.
- 4.On the **Deposit** window, select the **Bank Account No., Payment Initiation Time** and enter the **Conversion Rate**.
- 5.Click **Deposit** and click **Yes** to confirm the action. The **Cash Transactions** window opens with status Pending to process the Deposit through the two approval levels. The Pending record is moved to the **Deposit Notifications - Approved** window.

[Pending Entries](#)

To cancel a Pending Deposit Notification:

- 1.On the **Finance** menu, point to **Customer Notifications, Deposit Notifications** and then click **Pending**.
- 2.On the **Deposit Notifications - Pending** window, right click on the applicable record and then click **Cancel**.
- 3.On the **Customer Cash Request Approval** window, click **Cancel**.

4.Click **Yes** to confirm the action. The Deposit Notification record is moved to the **Deposit Notifications - Canceled** window.

To view customer accounts details:

- Right click on an applicable record in either **Deposit Notifications - Pending** window or **Deposit Notifications - Canceled** window and then click **View Customer**. The Customer Summary window opens with customer's Cash, Security and Trading account details.

To add a manual entry of a Cash Deposit:

- 1.Right click on either **Deposit Notifications - Pending** window or **Deposit Notifications - Canceled** window and then click **Add Manual**.
- 2.On the **Customer Cash Transfer Request - Manual Entry** window, select the Customer, enter the Cash amount and then click **Save**.
- 3.Click **Yes** to confirm the action. The new Deposit entry appears with status pending to go through

the approval cycle.

Withdraw Notifications

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Withdraw Notifications

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Use this procedure to view Cash Withdraw Notifications of customers. Once a customer makes a withdrawal from his cash account through a front end application, the notification is received to the Admin Terminal and displayed as pending and later can be approved or canceled.

PROCEDURE

To approve a Pending Withdraw Notification:

1. On the **Finance** menu, point to **Customer Notifications, Withdraw Notifications** and then click **Pending**.

2. On the **Customer Cash Withdrawal Notifications - Pending** window, right click on the applicable record and then click **Approve**.

- 3.On the **Customer Cash Request Approval** window, click **Approve**.
- 4.On the **Withdrawal** window, select the **Bank Account No., Payment Initiation Time**.
- 5.Click **Withdraw** and click **Yes** to confirm the action. The **Cash Transactions** window opens with status Pending to process the Deposit through the two approval levels. The Pending record is moved to the **Customer Cash Withdrawal Notifications - Approved** window.

[Pending Entries](#)

To cancel a Pending Withdrawal Notification:

- 1.On the **Finance** menu, point to **Customer Notifications, Withdraw Notifications** and then click **Pending**.
- 2.On the **Customer Cash Withdrawal Notifications - Pending** window, right click on the applicable record and then click **Cancel**.
- 3.On the **Customer Cash Request Approval** window, click **Cancel**.
- 4.Click **Yes** to confirm the action. The Withdrawal

Notification record is moved to the **Customer Cash Withdrawal Notifications - Canceled** window.

To view customer accounts details:

- Right click on an applicable record in **Customer Cash Withdrawal Notifications - Pending** window and then click **View Customer**. The Customer Summary window opens with customer's Cash, Security and Trading account details.

To add a manual entry of a Cash Withdrawal:

- 1.Right click on **Customer Cash Withdrawal Notifications - Pending** window and then click **Add Manual**.
- 2.On the **Customer Cash Withdrawal Request - Manual Entry** window, select the Customer, enter the Cash amount and then click **Save**.
- 3.Click **Yes** to confirm the action. The new Withdrawal entry appears with status pending to go through the approval cycle.

Cash Transfers Notifications

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Cash Transfers Notifications

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Use this procedure to view Cash Transfers Notifications of customers. Once a Cash Transfers Notifications occurs the notification is received to the Admin Terminal and displayed as pending and later can be approved or canceled.

PROCEDURE

To approve a Pending Withdraw Notification:

- 1.On the **Finance** menu, point to **Customer Notifications, Cash Transfers Notifications** and then click **Pending**.
- 2.On the **Client Cash Transfers Notifications - Pending** window, right click on the applicable record and then click **Approve**.

**To cancel a Pending
Withdrawal Notification:**

1. On the **Finance** menu, point to **Customer Notifications, Cash Transfers Notifications** and then click **Pending**.
2. On the **Client Cash Transfers Notifications - Pending** window, right click on the applicable record and then click **Cancel**.

Cash Management

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Cash Management

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The Cash Management section describes on the transactions details of customer cash accounts used in Admin Terminal. In this section you have the option to view and manage Cash Deposits, Withdrawals and also the Charges and Refunds done on certain Trading functions of the customers.

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Pending Cash Log



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Pending Cash Log

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Use this procedure to view Pending transactions done from a customer's Cash Account. The records Cash Deposits/Withdrawals done are displayed under Pending section for approval.

PROCEDURE

To approve pending Deposits/Withdrawals:

1. On the **Finance** menu, point to **Cash Management**, click **Pending**.
2. On the **Pending Cash Log**, right-click on an applicable record and then click **Approve-L1**.
3. Follow the approval process to Approve L2 as well. The pending transaction record is moved to the Approved Cash Log.

To cancel pending Deposits/Withdrawals:

- 1.On the **Pending Cash Log** window, right-click on an applicable record and then click **Cancel**.
- 2.On the **Cash Details - Cancel** window, click **Cancel**.
- 3.Click **Yes** to confirm the action. The Pending record's status changes to **Canceled**.

To print receipts of Deposits:

- On the **Pending Cash Log** window, right-click on a cash Deposit record and then click **Print Document**. The **Receipt** opens in a new window with options to Print or Export to a file.

To print vouchers of Withdrawals:

- On the **Pending Cash Log** window, right-click on a cash Withdrawal record and then click **Print Document**. The **Voucher** opens in a new window with options to Print or Export to a file.

Approved Cash Log



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Approved Cash Log

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Use this procedure to view Approved cash transactions of customers. The cash Deposits/Withdrawals which are approved, can be viewed from this option. All approved records are subjected to two levels of approval.

PROCEDURE

To view Approved Cash Transactions:

- On the **Finance** menu, point to **Cash Management** and click **Approved**. The Approved Cash Log opens displaying the approved transactions.

View All Transactions



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View All Transactions

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Use this procedure to view all cash transactions of a customer. Under this option you find all statuses of cash transactions listed as Approved-L1, Approved L2, Pending and Reversed.

PROCEDURE

To view all transactions:

- On the **Finance** menu, point to **Cash Management** and click **All Transactions**. The Cash Transactions window opens displaying all transactions.

Deposits



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Deposits

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Use this procedure to view all cash deposit details done in the Trading System. For a selected date range, you can view all Deposit records with Customer Name, Receipt No., Amount, etc..

Furthermore, you have the options to generate a receipt for each deposit listed in the Cash Deposit window and also to print a report of all deposits listed.

PROCEDURE

To view Cash Deposits:

- On the **Finance** menu, point to **Cash Management** and click **Deposits**. The **Cash Deposits** window opens displaying all Deposits records for the selected date range.

To generate a Receipt of a Deposit:

- 1.On the **Finance** menu, point to **Cash Management** and click **Deposits**.
- 2.On the **Cash Deposits** window, right-click on a applicable record and then click **View Document**. The **Receipt** opens in a new window. You have options to Print the receipt or export to a file if needed.

To view printable report of Deposits:

- 1.On the **Finance** menu, point to **Cash Management** and click **Deposits**.
- 2.On the **Cash Deposits** window, right-click and then click **View Printerble Report**. A new window opens as **Cash Deposits - Report** displaying the deposits records with some selected columns. You have options to Print the report or Export the report to a file.

Withdrawals



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Withdrawals

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Use this procedure to view all cash withdrawal details done in the Trading System. For a selected date range, you can view all Withdrawal records with Customer Name, Voucher No., Amount, etc..

Furthermore, you have the options to generate a Voucher for each Withdrawal listed in the Cash Withdrawals window and also to print a report of all Withdrawals listed.

PROCEDURE

To view Cash Withdrawals:

- On the **Finance** menu, point to **Cash Management** and click **Withdrawals**. The **Cash Withdrawals** window opens displaying all withdrawal records for the selected date range.

To generate a Voucher of a Withdrawal:

- 1.On the **Finance** menu, point to **Cash Management** and click **Withdrawals**.
- 2.On the **Cash Withdrawals** window, right-click on an applicable record and then click **View Document**. The **Payment Voucher** opens in a new window. You have options to Print the Voucher or export to a file if needed.

To view printable report of Withdrawals:

- 1.On the **Finance** menu, point to **Cash Management** and click **Withdrawals**.
- 2.On the **Cash Withdrawals** window, right-click and then click **View Printerble Report**. A new window opens as **Cash Withdrawals - Report** displaying the withdrawal records with some selected columns. You have options to Print the report or Export the report to a file.

View Charges & Refunds



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View Charges & Refunds

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Use this procedure to view records of Charges & Refunds performed on the customers Cash Accounts.

Once a Charge or a Refund is applied for a customer, the particular record is updated under the Charges & Refunds menu in the Cash Management section.

By selecting a date range you can view all the Charges & Refunds records of customers and also view Vouchers generated for each transaction.

PROCEDURE

To view Charges & Refunds records:

- On the **Finance** menu, point to **Cash Management** and click **Charges & Refunds**. The relevant records are displayed for the selected date range.

To generate a Voucher for a Charge/Refund:

1. On the **Finance** menu, point to **Cash Management** and click **Charges & Refunds**.
2. On the Charges & Refunds window, right-click on an applicable record and then click **View Document**. A new window opens displaying the **Voucher**. You have options to Print the Voucher or Export to a file.

Cash Transaction Log



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Cash Transaction Log

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Use this procedure to view all cash transactions done with Customers Cash Accounts for a selected date range. These transactions include cash balance updates occurred on Buy/Sell activities and also other Deposits and Withdrawals.

PROCEDURE

To view Cash Transaction Log:

- On the **Finance** menu, point to **Cash Management** and click **Cash Transaction Log**. All Cash Transactions records are displayed for the selected date range.

Cash Transfers



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Cash Transfers

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During a cash transfer between two cash accounts, if a special rate is applied for the currency conversion, those cash transfer requests are appeared under this menu for approval. By going to **Pending**, user can view pending transfers etc.

PROCEDURE

To view Cash Transfers:

- On the **Finance** menu, point to **Cash Transfers** and click **Pending** or **All Transfers** as required.

Exchange Turnover



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Exchange Turnover

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A turnover figure can be added to the exchange carrying out the below action

PROCEDURE

To add an exchange turnover:

- Click on **Master Data** menu in the main menu.
Point to **Symbol Management** and then
- **Exchange Turnover.** Click on **Exchange Turnover.**
- In the **Exchange Turnover** window, right-click on an exchange, and select **Add**.

Enter the required details and click **Save** to apply the changes.

Dubai Bank Transfers

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Dubai Bank Transfers

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Use this procedure to manage electronic transfers done with Dubai bank.

PROCEDURE

To manage Dubai Bank Transfers:

- 1.On the **Finance** menu, point to **Dubai Bank Transfers** and click **Pending**.
- 2.Right-click on the relevant record and then click **Approve-L1**.
- 3.Click **Yes** to confirm the action. The Status is changed to **Approved-L1**.
- 4.Again right-click on the same record and then click **Approve-L2**.
- 5.Approved transfers can be viewed by going to **Approved** from the **Dubai Bank Transfers**

menu.

6. Use the right-click options to manage the records.

Swift Transactions



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Swift Transactions

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This option contains fund transfer requests done via SWIFT.

PROCEDURE

To manage Swift Transactions:

- 1.On the **Finance** menu, point to **Swift Transactions** and click **Pending**.
- 2.Right-click on the relevant record and then click **Approve-L1**.
- 3.Click **Yes** to confirm the action. The Status is changed to **Approved-L1**.
- 4.Again right-click on the same record and then click **Approve-L2**.
- 5.Approved transactions can be viewed by going to **Approved** from the **Swift Transactions** menu.
- 6.Use the right-click options to manage the records.

Manage Trading Limit Requests



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Manage Trading Limit Requests

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Use this procedure to manage Trading Limit Requests done from customer Cash Accounts. Once a Trading Limit request is executed from a customer's Cash Account, it goes through an approval process. Also under this option, the Trading Limit Requests are displayed in Pending, Approved or Rejected statuses.

The Trading Limit Requests menu consists of the following sub menus;

Pending : Lists all the pending Trading Limit Requests to be Approved or Rejected.

Approved : Lists all the L1 & L2 approved Trading Limit Requests.

Rejected : Lists all the rejected Trading Limit Requests.

All : Lists all Trading Limit Requests with statuses Pending, Approved and Rejected.

PROCEDURE

To approve pending Trading Limit Requests:

- 1.On the **Finance** menu, point to **Trading Limit Requests** and click **Pending**.
- 2.Right-click on the relevant record and then click **Approve-L1**.
- 3.Click **Yes** to confirm the action. The Status is changed to **Approved-L1**.
- 4.Again right-click on the same record and then click **Approve-L2**.
- 5.Click **Yes** to confirm the action. The Status is changed to **Approved-L2**. The record is displayed in the **Trading Limit Requests - Approved** window.

To view approved Trading Limit Requests:

- On the **Finance** menu, point to **Trading Limit Requests** and click **Approved**. All Approved Trading Limit Requests are displayed for the selected date range.

To reject Trading Limit Requests:

- 1.On the **Finance** menu, point to **Trading Limit Requests** and click **Pending**.
- 2.On the **Trading Limit Requests - Pending** window, right-click on a relevant record and then click **Reject**.
- 3.Click **Yes** to confirm the action. The Status is changed as **Rejected** and the record is displayed in the **Trading Limit Requests - Rejected** window.

To view All Trading Limit Requests:

- On the **Finance** menu, point to **Trading Limit Requests** and click **All**. The **Trading Limit Requests** window opens displaying all records with

Pending, Approved-L1, Approved-L2 and Rejected Statuses.

Manage Daily Trading Limit Requests

Managing Brokerage Finance Activities »



Manage Daily Trading Limit Requests

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Use this procedure to manage Daily Trading Limit Requests. In addition to the general Trading Limits specified in a customer's Cash Account, you can also set a Daily Trading Limit for the customer to be used on that particular day. These daily Trading Requests are sent through two levels of approval to be enabled with the relevant Cash Account.

Under the Daily Trading Limit Requests menu the Pending, Approved and Rejected entries are displayed in separate sub-menus.

PROCEDURE

To approve pending Daily Trading Limit Requests:

- 1.On the **Finance** menu, point to **Daily Trading Limit Requests** and click **Pending**.
- 2.Right-click on the relevant record and then click **Approve-L1**.
- 3.Click **Yes** to confirm the action. The Status is changed to **Approved-L1**.
- 4.Again right-click on the same record and then click **Approve-L2**.
- 5.Click **Yes** to confirm the action. The Status is changed to **Approved-L2**. The record is displayed in the **Daily Trading Limit Requests - Approved** window.

To view approved Daily Trading Limit Requests:

- On the **Finance** menu, point to **Daily Trading Limit Requests** and click **Approved**. All approved Daily Trading Limit Requests are displayed for the selected date range.

To reject Daily Trading Limit Requests:

- 1.On the **Finance** menu, point to **Daily Trading Limit Requests** and click **Pending**.
- 2.On the **Daily Trading Limit Requests - Pending** window, right-click on a relevant record and then click **Reject**.
- 3.Click **Yes** to confirm the action. The Status is changed as **Rejected** and the record is displayed in the **Daily Trading Limit Requests - Rejected** window.

To view All Daily Trading Limit Requests:

- On the **Finance** menu, point to **Daily Trading Limit Requests** and click **All**. The **Daily Trading Limit Requests** window opens displaying records with Pending, Approved-L1, Approved-L2 and Rejected Statuses.

Trading Adjustments

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Trading Adjustments

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From this option, you can manage order adjustments done using Order Master. You can approve, reject / cancel pending adjustment requests and also view all adjustments.

PROCEDURE

To manage Trading Adjustments:

1. On the **Finance** menu, point to **Trading Adjustments** and click **Pending**.
2. Right-click on the relevant record and then click **Approve-L1**.
3. Click **Yes** to confirm the action. The Status is changed to **Approved-L1**.
4. Again right-click on the same record and then click **Approve-L2**.
5. Click **Yes** to confirm the action. The Status is

changed to **Approved-L2**. The record is displayed in the **Daily Trading Limit Requests - Approved** window.

Cash Flows



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Cash Flows

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This section describes on Cash Flows of Trading Activities done through Admin Terminal. Records of Cash Withdrawals/Deposits, balances of funds on a daily basis and also Turnover reports of Trading are displayed in categorized submenus under this section.

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[Daily Deposit / Withdrawals Balances](#)

[Daily Trading Summary](#)

Daily Cash Balance



Managing Brokerage Finance Activities » Cash Flows »

Daily Cash Balance

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Use this procedure to view total Cash Balances of the Brokerage on a daily basis. The total amounts for the Buy/Sell transactions and balances are displayed from this option. Once you execute the Process Report, the records are displayed in this window.

PROCEDURE

To view Daily Cash Balance records:

1. On the **Finance** menu, point to **Cash Flows** and then click **Daily Cash Balance**.
2. On the Daily Cash Balance window, right-click and then click **Process Report**.
3. Click on Refresh  icon to display the data.

Optional:

4. Click on the **Date** column to sort the records by date or refer to page view of the window to find the relevant records.

Daily Deposit / Withdrawals Balances

Managing Brokerage Finance Activities » Cash Flows »



Daily Deposit / Withdrawals Balances

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Use this procedure to view total Withdrawals and Deposits amounts of the transactions done in daily basis. By selecting a date range, you can view all the records of total amounts of Pending, Approved and All Transactions per each day.

Also, you have options from the shortcut menu of each Daily Deposits/Withdrawals record to view the individual Pending, Approved and All transactions for the selected date.

PROCEDURE

To view Daily Deposits / Withdrawals Balances:

- On the **Finance** menu point to **Cash Flows**, click

Daily Deposits / Withdrawal Balances. The relevant records are displayed for the selected date range. You have options to view detailed and categorized data from the shortcut menu of each record.

Daily Trading Summary



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Daily Trading Summary

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Use this procedure to view the Daily Trading Summary. It displays data such as Turnover, Net Order Value, Net Position, Commission, number of Trades and Open possessions. These details are displayed daily per exchange.

PROCEDURE

To view Daily Trading Summary:

1. On the **Finance** menu point to **Cash Flows**, click **Daily Trading Summary**. The relevant records are displayed for the selected date range. You have options to view detailed and categorized data from the shortcut menu of each record.

2. On the Daily Trading Summary window, use the right-click options to view **Buy Transactions** and **Sell Transactions** for each record.

Cheques & Transfer Printing



Managing Brokerage Finance Activities »

Cheques & Transfer Printing

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Use this procedure to print Cheques and Transfer Letters of Withdrawals done on customers Cash Accounts. Also, you have the options to Reject the Cheque/Transfer and to view the relevant Cash Statement.

NOTE: Withdrawals with Transaction Type as Cheque or Transfer are listed under Cheque printing option once approved.

PROCEDURE

To print a Cheque for a Cheque Withdrawal:

1. On the **Finance** menu, point to **Cheque Printing**, click **Print Cheques**.
2. On the **Cheque Printing** window, right-click on the relevant record with **Method** as "Cheque" and

then click **Print**. The **Cheque Details** window opens. (Refer to figure 1)

- 3.On the Cheque Details window, click **Print Cheque**. A new window opens displaying the Cheque to be printed. You can use the Print icon to Print the Cheque. The Status of the Transaction Record is changed as **Printed**.



figure 1: Cheque printing window.

To print a Transfer Letter of a Cash Withdrawal:

- 1.On the **Finance** menu, point to **Cheque Printing**, click **Print Cheques**.
- 2.On the **Cheque Printing** window, right-click on the relevant record with **Method** as "Transfer" and then click **Print**. A new window opens with the relevant Voucher Number as the title.

- 3.Click **Print Tr.Letter**. A message appears inquiring to Print Bank Transfer Letter.
- 4.Click **Yes**. The Transfer Letter is sent to Print.

To view Cash Statement of the Transactions:

- 1.On the **Finance** menu, point to **Cheque Printing**, click **Print Cheques**.
- 2.On the **Cheque Printing** window, right-click on the relevant record and then click **View Cash Statement**.
- 3.On the **Select Month** window, select the options as applicable to specify a **Date Range/Month** to view the Cash Statement.
- 4.Click **OK**. A new window opens displaying the **Customer Cash Statement**.

Manage Cheque Books

Managing Brokerage Finance Activities » Cheques & Transfer Printing »



Manage Cheque Books

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Use this procedure to manage Cheque Books in Admin Terminal. Under the Finance menu, you have options to Add/Edit/Delete Cheque Books used in customer transactions.

PROCEDURE

To add Cheque Books:

1. On the **Finance** menu, point to **Cheque Printing**, click **Cheque Books**.
2. On the Cheque Books window, right-click and then click **Add**.
3. On the **Cheque Book - New** window, select the relevant details as Bank Name, Account No. etc.. and fill in the data as applicable to create the new Cheque Book.
4. Click **Save**. A message appears confirming the

action. The new Cheque Book record is added.

To edit Cheque Books:

- 1.On the **Finance** menu, point to **Cheque Printing**, click **Cheque Books**.
- 2.On the Cheque Books window, right-click on an applicable record and then click **Edit**.
- 3.Do the necessary modifications and then click **Save**.

To suspend/delete Cheque Books:

- 1.On the **Finance** menu, point to **Cheque Printing**, click **Cheque Books**.
- 2.On the Cheque Books window, right-click and then click **Suspend/Delete** as applicable. A message appears inquiring to confirm the action.
- 3.Click **Yes**. The Status of the Cheque Book record is changed as **Suspended/Deleted**.

Manage Exchange Rates



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Manage Exchange Rates

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Use this procedure to manage Exchange Rates of currencies used in customer trading. You can Add/Edit the exchange rates for the respective currencies which is used at the conversion when customers trade using different currencies.

NOTE: You need to have added the currencies to the system from the Currencies option of the Finance menu which comes under Master Data.

[Currencies](#)

PROCEDURE

To Add Exchange Rates:

1. On the **Finance** menu, click **Exchange Rates**.
2. On the Exchange Rates window, right-click and

then click **Add**.

3. On the window that appears, fill in the required fields and select relevant options.

From Currency : Select the required currency to convert from.

To Currency : Select the required currency to convert to.

Buy Rate / Sell Rate : Enter the Buy Rate & Sell Rate applicable for the conversion.

Average Rate : Enter the Average Rate as applicable. This is calculated by dividing the addition of Buy Rate and Sell Rate by two. This value is updated in the **Conversion Rate** column.

Spread : Enter the Spread for the conversion. This is the value difference of the Buy Rate and Sell Rate.

4. Click **Save**. A message appears confirming the action. The new Exchange Rate record is displayed with status Pending.

To Edit Exchange Rates:

- 1.On the **Finance** menu, click **Exchange Rates**.
- 2.On the Exchange Rates window, right-click on the applicable record and then click **Edit**.
- 3.Do the necessary editing on the values.
- 4.Click **Save**. A message appears confirming the action. The record Status is displayed as Pending.

To Approve Pending Exchange Rates records:

- Right-click on a Pending Exchange Rates record and then click **Approve**. A message appears confirming the action. The record Status is updated as Approved.

View Exchanges Available Limits



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View Exchanges Available Limits

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Use this procedure to view trading limit details of the exchanges connected to the Order Management System. The Brokerage is given permanent and temporary guarantee limits up to which they can trade on at the exchange. These limits are adjustable as and when the orders are executed in the system.

The Limit adjustments can be done at the institutional level by an authorized person. Once the adjustments are done, the updated values are displayed under the Exchange Available Limits option from the Finance menu.

NOTE: To change the Guarantee Limits, refer to the Institutions option under System menu for the relevant Institution.

[Exchange Guarantee Limits](#)

PROCEDURE

To view Exchanges Available Limits:

- On the **Finance** menu, click **Exchanges Available Limits**. A new window opens displaying the Guarantee Limits allowed for the relevant exchanges. (Refer to figure 1)

	Description	Total	DFM	ADSM
	Permanent Guarantee Limit	60,000.00	40,000.00	20,000.00
	Temporary Guarantee Limit	22,000.00	13,000.00	9,000.00
	Net Settle Pending			
►	Available Limit	82,000.00	53,000.00	29,000.00

figure 1: Exchanges Available Limits window

Market Cap Notifications

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With this option you can set Market Cap. exceed notifications for each executing institution. Once the set thresholds are exceeded for the given first level, second level and third level percentages, notifications are generated and sent to respective email groups.

PROCEDURE

To add Market Cap Notifications:

- 1.On the **Finance** menu, click **Market Cap Notifications**.
- 2.Right-click on the **Market Cap Notifications** window and click **Add**.
- 3.Provide the required details and click **Save**.

Note: After adding a notification you can enable or disable it.

Working with Bank Accounts

Managing Brokerage Finance Activities »



Working with Bank Accounts

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This section explains on Bank Accounts defined in the Admin Terminal to be used with trading/cash transactions. From this option, you can Add/Edit bank accounts and also make Cash Transactions and view Cash Statements.

Also you have an option to transfer cash between Bank Accounts. You can either transfer cash between two accounts of the same defined bank or transfer between accounts of two different Banks.

On the Bank Accounts window, all the available Bank Account records are displayed with the respective Bank Names.

PROCEDURE

To add Bank Accounts:

- 1.On the **Finance** menu, point to Bank Accounts, click **Bank Accounts**.
- 2.On the Bank Accounts window, right-click and then click **Add**.
- 3.On the **Bank Accounts Details** window, fill in the required fields by entering Account Number, Account Owner's information etc.. and select the relevant options such as Bank Name, Currency and also the relevant transaction types.
- 4.Click **Save**. The new Bank Account record is added with status Pending.

NOTE: You can Approve/Reject Pending Bank Accounts entries from the shortcut menu of the Bank Accounts.

To edit Bank Accounts:

- 1.On the **Finance** menu, point to Bank Accounts, click **Bank Accounts**.
- 2.On the Bank Accounts window, right-click on the relevant record and then click **Edit**.
-OR-
- 3.Double-click on the Bank Account record.
- 4.On the **Bank Account Details** window, do the necessary modifications and click **Save**. The Bank Account record is edited and Status changes to Pending.
- 5.Right-click on the Bank Account record and then click **Approve**.

To make a New Cash Transaction:

- 1.On the **Finance** menu, point to Bank Accounts, click **Bank Accounts**.
- 2.On the Bank Accounts window, right-click on the relevant record and then click **New Cash Transaction**.
- 3.Select the **Transaction Type** and enter the **Amount**.
- 4.Click **Submit**. A message appears inquiring to confirm the action. Click **Yes**. The Transaction is executed.
- 5.Click **Yes** for the message that appears inquiring to see Pending Cash Transaction Approvals. The **Bank Pending Cash Log** for the selected Bank Account opens, displaying the pending transaction entries.

NOTE: To Approve pending Cash Transactions of Bank Accounts, refer to the **Cash Management** submenu.

[Cash Management of Bank Accounts](#)

To Transfer Cash between Bank Accounts:

1.On the **Finance** menu, point to Bank Accounts, click **Bank Accounts**.

2.On the Bank Accounts window, right-click on the relevant record and then click **Cash Transfer**. The Cash Transfer window opens. (Refer to figure 1)

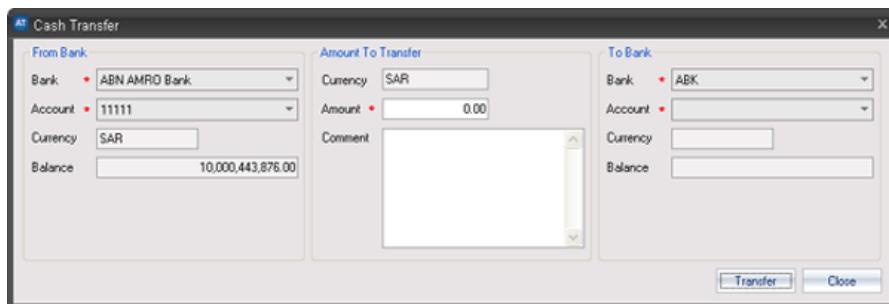


figure 1: cash transfer window of bank accounts.

3.On the **From Bank** section, select the **Bank** and the relevant **Bank Account** to transfer the cash.

4.On the **Amount to Transfer** section, enter the cash **Amount**. Also, Enter a **Comment** if needed.

5.On the **To Bank** section, select the applicable **Bank** and the **Bank Account**.

6.Click **Transfer**. A message appears confirming the action.

7.Click Refresh on the Bank Accounts window to view the new cash balance updates of the two Bank Accounts.

To view Cash Statement of a Bank Account:

1.On the **Finance** menu, point to Bank Accounts, click **Bank Accounts**.

2.On the Bank Accounts window, right-click on the relevant record and then click **Cash Statement**.

3.On the **Select Month** window, select the options as applicable to specify a **Date Range/Month** to view the Cash Statement. (Refer to figure 1)

4. Click **OK**. The **Cash Statement for Bank Accounts** window opens displaying the Cash Transaction details for the selected period. You have options to Print the statement or Export to a file.



figure 1: Select Month/Date Range for the Cash Statement of a Bank Account.

Cash Management of Bank Accounts

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Cash Management of Bank Accounts

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Use this procedure to manage Cash Transactions done in the Bank Accounts. From the shortcut menu of a Bank Account record, you can execute a New Cash Transaction. These transactions go through two levels of approval and are separately listed as Pending, Approved and All, in the Cash Management sub menu.

PROCEDURE

To approve a Pending Bank Cash Transaction:

1. On the **Finance** menu, point to **Bank Accounts, Cash Management** and then click **Pending**.
2. On the **Bank Pending Cash Log** window, right-click on the relevant record and then click

Approve L1.

- 3.Click **Yes** to Approve L1. A message appears confirming the action.
- 4.Right-click on the same record again and then click **Approve L2.**
- 5.Click **Yes** to Approve L2. A message appears confirming the action. The Bank Cash Transaction record is displayed in the **Bank Approved Cash Log** window.

To view Approved Bank Cash Transactions:

- On the **Finance** menu, point to **Bank Accounts, Cash Management** and then click Approved. All approved Bank Cash Transactions are displayed.

To view All Bank Cash Transactions:

- On the **Finance** menu, point to **Bank Accounts, Cash Management** and then click All. The Bank Cash Transactions window opens displaying All transactions records with Approved and Pending statuses.

Commission Groups & Structures

Managing Brokerage Finance Activities »



Commission Groups & Structures

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Use this procedure to manage Commission Groups & Commission Structures. Commission fees are charged from the customers for their trading transactions done through the Admin Terminal. Apart from the default commission set by the exchange, Admin Terminal enables you to define the Commission Groups and Commission Structures.

A defined Commission Group along with the corresponding Commission Structure can be selected for a customer when creating the Trading Account. Hence, you have an option to generate the Commission Group Customers Report by referring to a Commission Group record.

When creating a Customer Account, you can assign these

commission groups to them if required. This is done using the Trading Accounts tab in the customer creation window.

PROCEDURE

To add Commission Groups:

- 1.On the **Finance** menu, click **Commission Groups**.
- 2.On the Commission Groups window, right-click and then click **Add**.
- 3.On the window that appears, Enter a name for the Commission Group and select the relevant Exchange.
- 4.Click **Save**. A message appears inquiring to save changes. Click **Yes**. The new Commission Group is saved and **Commission Structures** tab appears in the same window.

To edit Commission Groups:

- 1.On the **Finance** menu, click **Commission Groups**.

- 2.On the Commission Groups window, right-click on the relevant record and then click **Edit**.
- 3.Do the necessary modifications on Commission Groups and Commission Structures.
- 4.Click **Save**.

To view customers for the Commission Group:

- 1.On the **Finance** menu, click **Commission Groups**.
- 2.On the Commission Groups window, right-click on the relevant record and then click **Customers for Commission Group Report**. A new tab opens displaying the report with customer names applicable for the relevant Commission Group.

Optional:

- 3.To **Print** the Report, click on  icon.
- 4.To **Export** the Report to a file, click on  icon.

To add a Commission Structure to a Group:

- 1.On the **Commission Structures** tab, click on Add  icon. An empty record appears to fill in the data.
- 2.Use the drop down lists to select the applicable Service, Commission Type and Currency. Fill in the Trading value ranges and commission amounts as applicable.
- 3.Click on Save  icon. A message appears inquiring to save changes.
- 4.Click **Yes**. The new Commission Structure record is added.

To delete a Commission Structure:

- 1.Click on a Commission Structure record and then click Delete  icon. A message appears inquiring to confirm deletion.
- 2.Click **Yes**. The Commission Structure record is deleted.

RELATED INFORMATION

[Creating Customer Accounts](#)

Customer Rebates Groups & Structures

Managing Brokerage Finance Activities »



Customer Rebates Groups & Structures

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Use this procedure to manage Customer Rebates Groups and Structures. Admin Terminal supports the creation of Customer Rebates to build better relationships with the active and high net value customers, by providing them with better discounts.

You can first define the Customer Rebate Groups and allocate a Customer Rebate Structure to the defined Group. When adding a Rebate Structure you can specify a Rebate Range and also a percentage of the value of the order. If required, you can also specify a flat amount as well. If so, the rebate is calculated based on both the percentage and the flat amount.

PROCEDURE

To add Customer Rebate Groups:

- 1.On the **Finance** menu, click **Customer Rebate Groups**.
- 2.On the **Customer Rebate Groups** window, right-click and then click **Add**.
- 3.Select the **Exchange** from the drop down list and then enter a **Name** for the group. Also, you can enter **Additional Details** if needed.
- 4.Click on **Add**. A message appears inquiring to save changes.
- 5.Click **Yes**. The new Customer Rebate Group is added with status pending. The **Rebate Structure** tab appears in the same window.

NOTE: You can Approve/Reject a pending entry, by selecting the relevant option from the shortcut menu of a Customer Rebate Group record.

To edit Customer Rebate Groups:

- 1.On the **Finance** menu, click **Customer Rebate Groups**.
- 2.On the **Customer Rebate Groups** window, right-click and then click **Edit**.
- 3.Do the necessary editing on **Rebate Group** and **Rebate Structure** tabs and click **Edit**.
- 4.Click **Yes** to confirm the action. The Rebate Group record is edited and displayed with Status pending. You need to approve the Rebate Group again from the shortcut menu of the Rebate Group record.

To add a Rebate Structure:

- 1.On the **Rebate Structure** tab, click on Add  icon. An empty record appears to fill in the data.
- 2.Enter the amount of Trade Values in the **From**, **To** Fields, and also a **Percentage** and a **Flat Amount** if applicable.
- 3.Click on Save .

To delete a Rebate Structure:

1. On the **Rebate Structure** tab, click on a relevant Rebate Structure record and then click Delete  icon.
2. Click **Yes** to confirm the action. The Rebate Structure record is deleted.

Order Fees



Managing Brokerage Finance Activities >>

Order Fees Overview



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Order Fees Overview

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When adding the order fee, you should first provide a description to the order fee and then define the category to which the order fee is applicable (e.g. exchange, broker, executing broker). Once you save the details another tab opens in the window for you to define the fee structure. The fee is defined as a level by level structure where each parent level governs the child level. In the first level, the ♦Side♦ for the fee to be applied should be defined and then the range under each level. The applicable fee is defined at the last level. You can either set a fixed amount or a percentage or both. This fee can either be applied to a trade or an execution. However, if a minimum order fee and a maximum order fee is entered, the order is validated against these settings. Moreover, the last level in

the structure is considered when applying the order fee.

After adding the order fee details, you need to combine it with the order fee packages. When adding the order fee package, you should first provide a description to the order fee package. Once you save the details another tab opens in the window for you to assign the fees applicable for the package.

Once you create the order fees package, you can combine it with the exchange when setting up the exchange information in the System menu. Depending on the category applicable, the fee is charged for the orders placed. Moreover, you can assign the order fees packages at the customer level using the Trading Accounts tab in the customer creation window.

RELATED INFORMATION

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Order Fees



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Order Fees

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Use this procedure to assign different types of fees applicable to the exchanges, execution brokers or brokers by defining an order fee structure. Once you create the order fee structure you should create an order fee package and combine the fee structure with the package.

PROCEDURE

To add Order Fees:

1. On the **Finance** menu point to **Order Fees** and then select **Order Fees**.

A. Enter the order fees details

- I. Right-click in the **Order Fees** window and click **Add**.
- II. In the Order Fees window, type the Order Fee code and a description to the order fee.
- III. Select the category to which the order fee is

applicable using the **Fee Applicable for** list.

IV.Click **Save**. A message opens inquiring whether you want to save the data.

V.Click **Yes**. A new tab is added to the Order Fees window.

B.Enter the order structure

I. Define the order structure in the **Order Structure** tab.

II.Optional:

◆ Click **Save** to add another record.

◆ Click **Save** and click the  button to add another level.

III.Click **Save**. A message opens inquiring whether you want to save the data.

IV.Click **Yes**. The new record is added to the Order Fees window.

C.Approve the record

◆ Right-click on the required record and click **Approve**. A message opens confirming the success of the operation.

To add Order Fee Packages:

1.On the **Finance** menu click **Order Fees** and then click **Order Fees Packages**.

A.Enter the order fees package details

- I. Right-click in the **Order Fees Packages** window and click **Add**.
- II.In the Order Fees Packages window, type the Order Fee Package code and a description to the package.
- III.Click **Save**. A message opens inquiring whether you want to save the data.
- IV.Click **Yes**. A new tab is added to the Order Fees Packages window.

B.Assign the fees

- I. Select the required order fee from the Available Fees pane and click the  button to move the record to the Assigned Fees pane.
- II.Click **Close**.

C.Approve the record

- ◆Right-click on the required record and click **Approve**. A message opens confirming the success of the operation.

Hoe to define tax module

- Right click edit a record, tick (mark as tax fee). The selected fee will be identified as a order fee with tax.

RELATED INFORMATION

[Creating Customer Accounts](#)

Manging Margin Trading

Managing Brokerage Finance Activities »



Manging Margin Trading

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This section explains on functions related to managing Margin Trading from the Finance menu of the Admin Terminal.

Margin Trading is an entitlement given to the customer to trade using borrowed money from the broker house. To trade on margin, you need a margin account which is created at the brokerage. A customer is required to keep a minimum cash balance in his Margin Account. If the cash balance in the Margin Account falls below that level, the broker issues a Margin Call which would demand the customer to deposit additional money or sell stock to pay down the loan.

In this section you have the options to Manage Margin Fees

groups, Approve Margin Limit requests, etc..The following options are available as sub menus under the Margin Trading option of the Finance menu.

[Manage Margin Fees Groups](#)

[Manage Marginable Symbols](#)

[Symbol Marginability Requests](#)

[Institution Margin Trading Defaults](#)

[Margin Limit Requests](#)

Manage Margin Fees Groups



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Manage Margin Fees Groups

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Use this procedure to set up Margin Fees Groups. A fee is charged on the customers with the margin trading facility. You can define Margin Fees groups with specific Margin Rate fees. This fee can either be a percentage, a fixed amount or both. After creating a margin fees group, you can attach the customer to a specific margin fees group. This is done when setting up Margin Trading from a customer's security account.

PROCEDURE

To add a Margin Fees Group:

1. On the **Finance** menu, point to **Margin Trading** and click **Margin Fees Group**.
2. On the Margin Fees Group window, right-click and then click **Add**.
3. On the **Margin Fees Group Details** window, enter a name for **Margin Fees Group**, select the **Currency**, etc.. (Refer to Figure 1)
4. Click **Save** and then click **Yes** to confirm the action. The

new record appears in the Margin Trading Groups window with status Pending.

- 5.Right-click on the new Margin Trading Fees group record and then click **Approve**. The status changes as Approved.

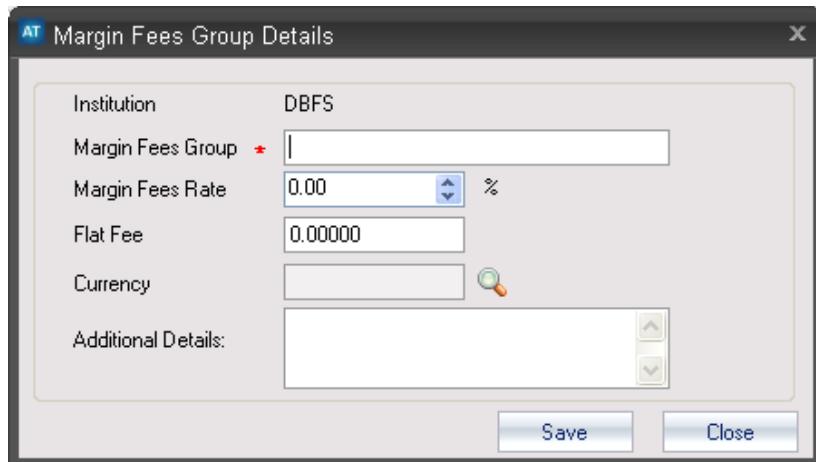


figure 1: Adding a new Margin Fees Group.

To edit a Margin Fees Group:

- 1.On the **Finance** menu, point to **Margin Trading** and click **Margin Fees Group**.
- 2.On the Margin Fees Group window, right-click and then click **Edit**.
- 3.Do the necessary modifications and click **Save**. A message appears inquiring to confirm the action.
- 4.Click **Yes**. The Margin Fees Group record is edited. The status of the record is displayed as Pending.

5.Right-click on the record and click **Approve**.

RELATED INFORMATION

[Enable Margin Trading](#)

Manage Marginable Symbols

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Manage Marginable Symbols

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Use this procedure to Manage Marginable Symbols from the Finance menu of Admin Terminal. Marginable symbols are used to derive a value for the Margin facilities to be provided as well as the symbols that are allowed to be purchased on Margin. Symbol Marginable Percentage refers to the degree of consideration on the market value of the symbol for the purpose of deriving the Risk Adjusted Portfolio Value for the symbol. E.g. imagine a customer deposits cash worth of AED 100,000 and securities ♦EMAAR♦ worth of AED 100,000. If ♦Symbol Marginable Percentage♦ of EMAAR is 50%, such would indicate that for deriving the RAPV for the purpose of allowable Margin facility, only a 50% of the Market Value of EMAAR [AED 50,000] would be considered.

Using the Symbol Marginability option from the submenu of Margin Trading, you can Add/Edit Marginable Symbols.

PROCEDURE

To add Marginable Symbols:

1. On the **Finance** menu, point to **Margin Trading** and click **Symbol Marginability**.
2. On the **Marginable Symbols** window, right-click and then click **Add**. (Refer to figure 1)
3. On the **Symbol Marginability** window, select the relevant **Symbol**. The **Exchange** field is auto filled.
4. Select the **Marginable** check box and Enter the **Symbol Marginable Pct** value.

- 5.Click **Save**. A message appears inquiring to confirm the action.
- 6.Click **Yes**. A message appears inquiring to see the Pending Symbol Marginability for Approval.
- 7.Click **Yes**. The Symbol **Marginability Requests - Pending** window opens displaying the record with status Pending.

NOTE: To approve pending Marginability Symbols, refer to the Symbol Marginability Requests section.

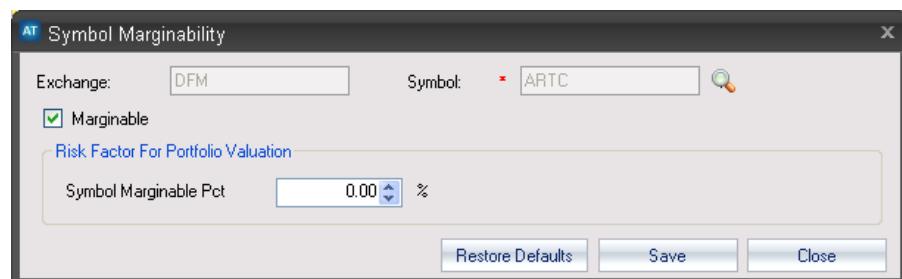


figure 1: Adding a new Margin Fees Group.

To edit Marginable Symbols:

- 1.On the **Finance** menu, point to **Margin Trading** and click **Symbol Marginability**.
- 2.On the **Marginable Symbols** window, right-click and then click **Edit**.
- 3.Do the necessary modifications on the Marginable Symbol details. Only Symbol Marginable Percentage value is allowed to edit.
- 4.Click **Save**. A message appears inquiring to confirm the action.
- 5.Click **Yes**. A message appears inquiring to see the Pending Symbol Marginability for Approval.
- 6.Click **Yes**. The **Symbol Marginability Requests - Pending** window opens displaying the record with status Pending.

NOTE: To approve pending Marginability Symbols, refer to the Symbol Marginability Requests section.

To view a report of Marginable Symbols:

1. On the **Finance** menu, point to **Margin Trading** and click **Symbol Marginability**.
2. On the **Marginable Symbols** window, right-click and then click **Report**. The **Symbol Marginability Report** opens in a new window displaying the Marginable Symbol details.

Optional: You have options to Print the report or Export the report to a file.

Symbol Marginability Requests



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Symbol Marginability Requests

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Use this procedure to manage Symbol Marginability Requests. The newly added Marginable Symbols and also the edited Marginable Symbols are sent through an approval process. The Pending, Approved and All Marginable Symbols are listed separately under this option.

Using this option, you can view Marginable Symbols requests records and also Approve/Reject pending entries.

PROCEDURE

To approve Pending Marginable Symbols requests:

1. On the **Finance** menu, point to **Margin Trading**, then **Symbol Marginability Requests** and click **Pending**.

2.On the **Symbols Marginability Requests - Pending** window, right-click on the applicable record and then click **Approve**. The pending record is approved and displayed in **Symbols Marginability Requests - Approved** window.

To reject Pending Marginable Symbols requests:

- 1.On the Finance menu, point to Margin Trading, then Symbol Marginability Requests and click Pending.
- 2.On the Symbols Marginability Requests - Pending window, right-click on the applicable record and then click **Reject**. A message appears confirming the action. The Rejected record is displayed in **Symbols Marginability Requests - All** window.

To view approved Marginable Symbols:

- On the **Finance** menu, point to **Margin Trading**, then **Symbol Marginability Requests** and click **Approved**. The approved records are displayed.

To view all Marginable Symbols requests:

- On the **Finance** menu, point to **Margin Trading**, then **Symbol Marginability Requests** and click **Approved**. All Symbol Marginability Requests records are displayed with Pending, Approved and Rejected statuses.

NOTE: You can Approve/Reject pending entries from this window as well.

Institution Margin Trading Defaults



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Institution Margin Trading Defaults

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Use this procedure to set the default margin trading settings for the broker house. When you open the Margin Trading window to set the limits to the customer, these default values are displayed.

NOTE: Setting up Margin Trading at customer level, overrides the default settings at the institutional level.

PROCEDURE

To set Institutional Margin Trading Defaults:

- 1.On the **Finance** menu, point to **Margin Trading**, and click **Institution Margin Trading Defaults**. The Institutional Margin Trading Defaults window opens with a tabbed view. (Refer to figure 1)
- 2.Enter the Initial Margin percentage for Normal and Day Margin.
- 3.In the Margin Notify Levels tab, enter the margin notification levels.
- 4.In the Symbol Marginability tab, enter the Risk Factor for Portfolio Valuation in the **Symbol Marginability Percentage** box.
- 5.Refer to the tabbed view and change the values as applicable.
- 6.Click **Save**. A message appears confirming the action. The new values are applied for the current institution's Margin Trading

Defaults.



figure 1: Changing Institutional Margin Trading Defaults.

Margin Limit Requests



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Margin Limit Requests

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Use this procedure to manage Margin Limit Requests. When a customer is given the Margin facility, you need to specify the applicable Margin Limits. Such Margin Trade Limits are sent through an approval process.

From this option, you can view Pending/Approved and All Margin Limit requests. The records are displayed with Updated Date, Margin Limits and the relevant Security Account reference. You have the options to Approve/Reject Pending requests and also to adjust the Margin Configurations before approving.

NOTE: The window displays the limits that fall within your Margin Trading Approval limits (Your Margin Trading Approval limits are set when creating your User Account).

PROCEDURE

To approve Margin Limit Requests:

1. On the **Finance** menu, point to **Margin Trading**, then **Margin Limit Requests** and click **Pending**.
2. On the **Margin Limit Requests - Pending** window, right-click on the applicable record and then click **Level 1 - Approve**. The Status column is changed as **Approved-L1**.
3. Right-click on the same record again and then click **Level 2 - Approve**. The Status column is changed as **Approved-L2**.
4. Click on Refresh  icon. The approved Limit Request can be viewed from the **Margin Limit Requests - Approved** window.

To adjust Margin Configurations:

1. On the **Finance** menu, point to **Margin Trading**, then **Margin Limit Requests** and click **Pending**.
2. On the **Margin Limit Requests - Pending** window, right-click on the applicable record and

then click **Adjust Margin Configurations**.

3.On the Pending Margin Trading window, do the necessary adjustments needed on the Margin Limits or any other applicable options from the tabbed view of the window.

4.Click **Update**. A message appears inquiring to confirm the action.

5.Click **Yes**. The edited values are saved.

To view approved Margin Limit Requests:

- On the **Finance** menu, point to **Margin Trading**, then **Margin Limit Requests** and click **Approved**. All approved Margin Trading Limit requests are displayed.

To reject Margin Limit Requests:

- 1.On the **Finance** menu, point to **Margin Trading**, then **Margin Limit Requests** and click **Pending**.
- 2.On the **Margin Limit Requests - Pending** window, right-click on the applicable record and

then click **Reject**. A message appears confirming the action.

3. Click **OK**. The Margin Limit Request is rejected.
4. Click on Refresh  icon. The rejected Margin Limit Request can be viewed from the **Margin Limit Requests - All** window.

To view all Margin Limit Requests:

- On the **Finance** menu, point to **Margin Trading**, then **Margin Limit Requests** and click **All**. You can refer to all Margin Limit requests with statuses as Pending/Approved-L1/Approved-L2/Rejected.

Available Funds for Margin Trading



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Available Funds for Margin Trading

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Use this procedure to set up the value of the total funds given by the broker house. Once you enter the net equity and the margin factor, the value for the total marginable funds is displayed in the window. You can then enter the maximum margin limit and day margin limit given to a customer. The new levels need to be approved to be effective.

NOTE: The margin limits given to the customer should not exceed the maximum margin limit and day margin limit set in this window.

PROCEDURE

To set up Available Funds for Margin Trading:

- 1.On the Finance menu point to **Margin Trading**, and click **Available Funds for Margin Trading**.
- 2.In the **Available Funds for Margin Trading** window, type the net equity and margin factor.
- 3.Type the maximum day margin and margin limit given to the customer.
- 4.Click **Save**. A message opens inquiring whether to save the changes.
- 5.Click **Yes**.

To approve Available Funds for Margin Trading:

- 1.On the Finance menu point to **Margin Trading**, and click **Marginable Funds Config Requests**.
- 2.In the **Available Funds for Margin Trading** window, right-click on the required record and click **Level 1 - Approve**. A message opens confirming the action.
- 3.Click **Ok**. The record is in Approved L - 1 status.
- 4.Right-click on the record again and click **Level 2 - Approve**.

Managing Short Selling

Managing Brokerage Finance Activities »



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This section explains on functions related to managing Short Selling from the Finance menu of the Admin Terminal.

Short Selling is an entitlement given to the customer to trade using borrowed equity from the broker house. To trade on short selling, the customer portfolio should have the option to trade cash, margin capabilities and activated short selling. A customer is required to have separate cash, security and trading accounts for Short Selling.

The following options are available as sub menus under Short Selling of the Finance menu.

[Short Sell Groups](#)

[Symbol Whitelist](#)

Whitelist Symbol Requests
Short Sell Change Requests

Short Sell Groups



Managing Brokerage Finance Activities » Managing Short Selling »

Short Sell Groups

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Use this procedure to set up Short Sell Groups. Groups will be created at an institution level and then it can be assigned to a whitelist. .

PROCEDURE

To add a Short Sell Group:

- 1.On the **Finance** menu, point to **Short Sell** and click on **Short Sell Group**.
- 2.On the Short Sell Group window, right-click and then click **Add**.
- 3.On the **Group** window, enter a name for **Short Sell Group** (mandatory), write a **Description** set the **Borrow Percentage** and **Interest Rate**.
- 4.Click **Save** and then click **Yes** to confirm the action.

To edit a Short Sell Group:

- 1.On the **Finance** menu, point to **Short Sell** and click on **Short Sell Group**.
- 2.On the Short Sell Group window, right-click and then click **Edit**.
- 3.Do the necessary modifications and click **Save**. A message appears inquiring to confirm the action.
- 4.Click **Yes**. The Short Selling Group record is edited.

RELATED INFORMATION

[Symbol Whitelist](#)

Symbol Whitelist



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Symbol Whitelist

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Use this procedure to Manage Whitelist Symbols from the Finance menu of Admin Terminal. White List of Short Symbols is required at INSTITUTION level in combination with EXEC BROKER level. This implies that this white list will be different than the Margin List.

You can view the white-listed symbols for each broker, add symbols and edit the list.

PROCEDURE

To view symbols for brokers:

1. On the **Finance** menu, point to **Short Selling** and click **Symbol Whitelist**.
2. On the **Select Executing Broker** window, click on the Search icon to select the symbol from the list.

When a particular Broker window gives the list of symbols you can add more symbols to it or simply edit the list.

To add Whitelist Symbols:

- 1.On the **Finance** menu, point to **Short Selling** and click **Symbol Whitelist**.
- 2.On the **Select Executing Broker** window, click on the Search icon to select the symbol from the list.
- 3.Right-click on anywhere of the Broker Whitelist window and click on **Add**.
- 4.On the Symbol window, click on the Find icon and search for the **Exchange**. Double click to add the exchange .
- 5.Next click on the Search icon next to the **Symbol** field and find the symbol from the list. Double click to add the symbol.
- 6.Then assign a Short Sell group to this symbol by

click on the Search icon next to the **Group** field.
Double click to assign the Group.

7.Click **Save**. Confirm by clicking **Yes**.

To edit Whitelist Symbols:

- 1.On the **Finance** menu, point to **Short Selling** and click **Symbol Whitelist**.
- 2.On the **Select Executing Broker** window, click on the Search icon to select the symbol from the list
- 3.Right-click on anywhere of the Broker Whitelist window and click on **Edit**.
- 4.Change the fields you want to change and click **Save**. Confirm by clicking **Yes**.

Whitelist Symbol Requests



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Whitelist Symbol Requests

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You can see the Whitelist symbol requests, their pending stages, and other approval related information in this window.

PROCEDURE

To view the list:

1. On the **Finance** menu, point to **Short Selling** and then at **Whitelist Symbol Requests**.
2. From the menu select
 - I. **Pending**: For all the requests that are still pending
 - II. **Approved**: All approved requests
 - III. **All**: Both pending and approved requests
3. On the top bar, select the date range for which you would like to see the data and click on Refresh  icon. .

Short Sell Change Requests



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Short Sell Change Requests

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You can see the Short Sell Change requests, their pending stages, and other approval related information in this window.

PROCEDURE

To view the list:

1. On the **Finance** menu, point to **Short Selling** and then at **Short Sell Change Requests**.
2. From the menu select
 - I. **Pending**: For all the requests that are still pending
 - II. **Approved**: All approved requests
 - III. **All**: Both pending and approved requests
3. On the top bar, select the date range for which you would like to see the data and click on Refresh  icon. .

Managing Corporate Actions



Managing Brokerage Finance Activities >>

Managing Corporate Actions

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This section explains on managing corporate actions of the trading system with the brokerage. From the Finance menu of Admin Terminal, the functions related to corporate actions activities are displayed in different sub menus.

You can use this option to Generate Corporate Actions, Stock Splits and Bonus issues, and add Rights issues to the system.

[Generate Cash Dividends](#)

[Generate Bonus Issue](#)

[Generate Rights Issue](#)

[Add Charges & Refunds](#)

[Generate Stock Splits](#)

[Generate Reverse Stock Splits](#)

[Rename Symbol](#)

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Generate Cash Dividends

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Use this procedure to generate Cash Dividends. By paying cash dividends, a company is sharing its profits with the shareholders. A company usually pays dividends at the end of an year, but based on its profits they might even give an interim dividend. These are paid out in form of cheques to the shareholders of the company. The dividend amount paid to each customer is calculated based on the share holdings of the customer.

When a company announces its dividends you can enter the dividend details from the Admin Terminal and update the customer's cash balance.

PROCEDURE

To calculate Cash Dividends:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Cash Dividends**.
- 2.On the Cash Dividends window, select the applicable **Date**, and **Symbol**. The **Exchange** field is auto filled. Enter the amount for the **Dividend per Share**.
- 3.Click **OK**. The **Corporate Actions - Cash Dividends** window opens displaying the customer records.
- 4.On the **Corporate Actions - Cash Dividends** window, right-click and then click **Calculate**. The Dividend is calculated and displayed under the **Calculated Amt** column for each record. Also, the **New Balance** column is updated with new Cash Balance with the Dividends.

NOTE: This calculation is for temporary viewing purpose only. Once you move through the Page View of the records, these values are removed from the relevant page and can be regenerated.

To process Cash Dividends:

- On the **Corporate Actions - Cash Dividends** window, right-click and then click **Process**. A message appears inquiring to confirm the action.
- The Status column for each record is updated as **Executed**. The new cash Balance is updated at each customer's Cash Account.

Generate Bonus Issue

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Generate Bonus Issue

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Use this procedure to generate a Bonus Issue. A company issues free additional shares to existing shareholders in order to increase its market capitalization. You can specify a ratio to which the bonus issue is calculated according to the existing number of shares of a customer. A company may use this option as an alternative to increasing the dividend payout.

When a company announces an issuing of a bonus, you can enter the relevant details from the Admin Terminal and update the customers' holdings balance.

PROCEDURE

To calculate Bonus Issue:

1. On the **Finance** menu, point to **Corporate**

Actions and click **Bonus Issue**.

- 2.On the Bonus Issue window, select the applicable **Date**, **Symbol**. Enter the description in the **Narration** box. The **Exchange** field is auto filled.
- 3.Enter the **Split Ratio**. This the ratio that calculates the bonus shares according to the current holdings of the customer.
- 4.Click **OK**. The **Corporate Actions - Bonus Issue** window opens displaying the customer records.
- 5.On the **Corporate Actions - Bonus Issue** window, right-click and then click **Calculate**. The Bonus is calculated and displayed under the **Calculated Amt** column for each record. Also, the **New Balance** column is updated with new holdings balance.

NOTE: This calculation is for temporary viewing purpose only. Once you move through the Page View of the records, these values are removed from the relevant page and can be re-generated.

To process Bonus Issue:

- 1.On the **Corporate Actions - Cash Dividends** window, right-click and then click **Process**. A message appears inquiring to confirm the action.
- 2.Click **Yes**. The Status column for each record is updated as **Executed**. The new Holdings Balance is updated at each customer's Holdings of the Security Account.

Generate Rights Issue

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Generate Rights Issue

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Use this procedure to generate Rights Issue. A company can offer a rights issue to the existing shareholders to purchase additional new shares in the company at a discount to the market price on a stated future date. The customer gets the privilege of trading on these shares till the closing date.

Using the Rights Issue option under Corporate Actions, you can enter details to generate Right Issue from Admin Terminal. Once you load the data file containing the relevant data for the Right Issue, you can select the applicable records and execute.

NOTE: To load the data file to the Corporate Actions - Rights Issue window, you have to edit the default values in the Data File

Options section according to the column structure of the data file.

PROCEDURE

To add Rights Issue:

1. On the **Finance** menu, point to **Corporate Actions** and click **Rights Issue**. The **Corporate Actions - Rights Issue** window opens.
2. Enter the following:

Symbol - Select the applicable Symbol for the Issue. The exchange field is auto filled.

Data File - Click **Browse** and select the data file provided.

Optional: Click **Reset** to clear the selection and load a new file.

Trading A/C Index - Enter the column number of the Trading A/C in the data file. Eg:- if the Trading A/C is the first column in the data file, enter 0 as the Trading A/C Index.

Allocated Qty Index - Enter the column number of the Quantity in the data file.

Avg Price Index - Enter the column number of the Average

Price in the data file.

Narration - Description on the event.

3. Click **Load** to load details of the data file to the window.
4. Select the check boxes of the relevant records of the file and then click **Execute**. A message appears inquiring to confirm the action.
5. Click **Yes**. The Right Issue is executed.

Add Charges & Refunds

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Add Charges & Refunds

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Use this procedure to add charges / refunds to customers.

PROCEDURE

To add Charges & Refunds:

1. On the **Finance** menu, point to **Corporate Actions**, then **Charges & Refunds** and click **Upload Charges / Refunds**.
2. Select the required **Action** then **Browse** the .CSV file and **Load** it.
3. Either **Select All** or select the required records categorized under **Records - Ready for Execution** section.
4. Select the required fields under **Data File Options** section.
5. Click **Execution Master**. This will open the **Bulk Charge / Refund Execution Log** window.

Note: The same window can be opened from
Finance > Corporate Actions > Charges & Refunds > Execution History.

6. Right-click on a record and execute the charges / refunds.

Charges/refunds will be added to the selected customer accounts.

Generate Stock Splits

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Generate Stock Splits

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Use this procedure to generate Stock Split. A stock split increases the existing shares of a company by dividing into multiple shares. Although the number of shares increases by a specific ratio, the total value of the shares remains the same, as the per share value decreases by the same multiple. Therefore this action does not have any effect on the market capitalization of the particular stock.

When a company announces a share split, you can enter the share split details from the Admin Terminal and update the customer's holdings balance and the holdings value.

PROCEDURE

To calculate Stock Split:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Stock Split**.
- 2.On the Stock Split window, select the applicable **Date**, and **Symbol**. The **Exchange** field is auto filled.
- 3.Enter the **Split Ratio**. This is the ratio for generating new holdings amount as per the existing holdings of the customer.
- 4.Click **OK**. The **Corporate Actions - Stock Split** window opens displaying the customer records.
- 5.On the **Corporate Actions - Stock Split** window, right-click and then click **Calculate**. The **Calculated Amt** and the **New Balance** is displayed for each record.

To process Stock Split:

- 1.On the **Corporate Actions - Stock Split** window, right-click and then click **Process**. A message appears inquiring to confirm the action.
- 2.Click **Yes**. The Status column for each record is updated as **Executed**. The **Net Holdings** and the

Holdings **Value** columns of each customer's **Holdings**, are updated with the changes.

Generate Reverse Stock Splits

Managing Brokerage Finance Activities » Managing Corporate Actions »



Generate Reverse Stock Splits

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Use this procedure to generate Reverse Stock Splits. In a Reverse Stock Split, the company is decreasing the number of shares available by a multiple applied through a ratio. Simultaneously, the per share price is also increased by the same multiple to have the total market capitalization unchanged.

Some companies use this option with the intention of increasing the per share value in order to meet the Minimum Share Price rules applied by certain exchanges traded. Hence, they are able to be listed with such reputable stock exchanges and continue trading.

When a company announces a Reverse Stock Split, The Admin Terminal allows you to manually

enter the Stock Split details, so that the relevant customers' net holdings and holding values are adjusted.

PROCEDURE

To calculate Reverse Stock Split:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Reverse Stock Split**.
- 2.On the Reverse Stock Split window, select the applicable **Date**, and **Symbol**. The **Exchange** field is auto filled.
- 3.Enter the **Split Ratio**. This the ratio for generating new holdings amount as per the existing holdings of the customer.
- 4.Click **OK**. The **Corporate Actions - Reverse Stock Split** window opens displaying the customer records.
- 5.On the **Corporate Actions - Reverse Stock Split** window, right-click and then click **Calculate**. The **Calculated Amt** and the **New Balance** is displayed for each record.

To process Stock Splits:

1. On the **Corporate Actions - Stock Split** window, right-click and then click **Process**. A message appears inquiring to confirm the action.
2. Click **Yes**. The Status column for each record is updated as **Executed**. The **Net Holdings** and the Holdings **Value** columns of each customer's **Holdings**, are updated with the changes.

Rename Symbol

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Rename Symbol

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Use this option to rename a Symbol added in Admin Terminal. The Symbol name of a listed company can be changed due to a change in the company name or acquisition. By using this option from the Corporate Actions submenu, you have the option to rename the Symbol as required.

PROCEDURE

To rename a Symbol:

1. On the **Finance** menu, point to **Corporate Actions, Rename Symbol** and select **Rename Symbol**. (Refer to figure 1)
2. On the **Corporate Action - Rename Symbol Code** window, search the relevant **Symbol**. The **Exchange** field is auto filled.
3. Search the new name of the Symbol. The **New Exchange** field is auto filled.

4. Click **Save**. Click **Yes** to confirm the action. The Symbol name is changed. You can refer the **Symbols Management** option under the **Master Data** menu to see the new Symbol name change.

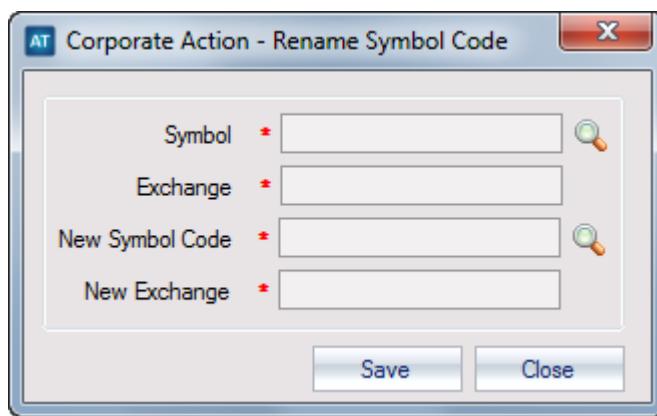


figure 1: Renaming a Symbol.

Generate Execution Summary

Managing Brokerage Finance Activities » Managing Corporate Actions »



Generate Execution Summary

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Use this procedure to generate the Execution History of Corporate Actions. This option lists records of executed corporate actions with details such as the Execution Date, Type of Execution and Executed User etc..

PROCEDURE

To view Execution History:

- On the **Finance** menu, point to **Corporate Actions** and click **Execution History**. A new window opens displaying the Execution History records.

Optional : You can click on **Date** column to sort by date to view the records of the latest Corporate Actions performed.

Corporate Actions Notifications

Managing Brokerage Finance Activities » Managing Corporate Actions »



Corporate Actions Notifications

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Use this procedure to view and manage Corporate Actions Notifications for a specified period. From this option you can add new entries of Corporate Actions performed on a particular day and also edit the existing entries. The new records can be added by specifying the relevant Corporate Action type such as Cash Dividends, Stock Split and Bonus Issue.

Also, you have options to view the records of Corporate Actions performed, by Institute wise and customer wise.

PROCEDURE

To add Corporate Actions Notifications:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Co-Actions Notifications**.
- 2.On the Co-Actions Notifications window, right-click and then click **Add**.
- 3.On the window that appears, select the applicable options. (Refer to figure 1)
- 4.Click **Save** and click **Yes** to confirm the action.
The new Corporate Actions Notification is added.

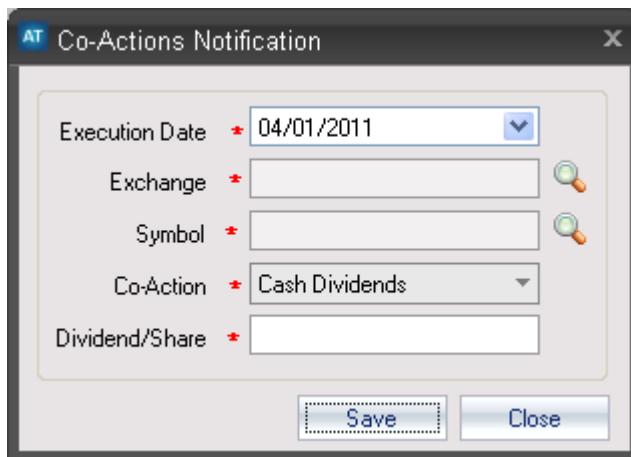


figure 1: Adding a Corporate Actions notification.

To edit Corporate Actions Notifications:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Co-Actions Notifications**.

- 2.On the Co-Actions Notifications window, right-click and then click **Edit**.
- 3.Do the necessary modifications on the window that appears.
- 4.Click **Save** and click **Yes** to confirm the action.
The Corporate Actions Notification record is edited.

To view Corporate Actions by Institute:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Co-Actions Notifications**.
- 2.On the Co-Actions Notifications window, right-click on a relevant record and then click **By Institute**.
- 3.On the **Institutions** window that appears, double-click on the applicable Institute record. A new window opens displaying the Corporate Actions records for the selected Institution.

To view Corporate Actions by Customer:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **Co-Actions Notifications**.

- 2.On the Co-Actions Notifications window, right-click on a relevant record and then click **By Customer**.
- 3.On the **Customers** window that appears, double-click on the applicable record. A new window opens displaying the Corporate Actions records for the selected Customer.

Corporate Actions - US markets

Managing Brokerage Finance Activities » Managing Corporate Actions »



Corporate Actions - US markets

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Use this procedure to generate Corporate Actions of US markets. A large number of Symbols are traded each day in US markets hence it results in announcing of Corporate Actions such as Cash Dividends, Bonus Issue very frequently. By using the Data file provided by the relevant Exchanges, the Admin Terminal Facilitates in generating the relevant corporate actions from this option.

The Data file contains the relevant data in a convenient manner for the Admin Terminal user to Load the file and Execute the Corporate Actions.

PROCEDURE

To Generate Corporate Actions of US markets:

- 1.On the **Finance** menu, point to **Corporate Actions** and click **US markets (Pension)**.
- 2.On the US market (Pension) window, click **Browse** and load the relevant Data file. **Optional:** Click **Reset** to clear the selection and load a new file.
- 3.Click **Execute**. The Corporate Actions records are displayed in the window.

Managing Customer Holdings

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This section describes on the functionality of managing customer Holdings of the trading system. From the Holdings menu of the Admin Terminal, you can manage Stock Holdings Transactions, Holdings Upload and also view and manage Pledge Requests, etc..

TOPICS IN THIS SECTION

[Manage Stock Transactions](#)
[Upload Holdings](#)
[Manage Pledge Requests](#)
[View Customer Holdings](#)
[Reconcile Holdings](#)
[Day Margin Holdings](#)

Manage Stock Transactions



Managing Customer Holdings >>

Manage Stock Transactions

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Use this procedure to manage holdings transfer requests of customer Holdings and also the Stock adjustments done through the Trading accounts. These stock transfers/adjustments are sent through two levels of approval. The pending/approved/all holdings transactions/stock adjustments are listed under the Stock Transactions sub menu.

PROCEDURE

To approve Pending Stock Transactions:

1. On the **Holdings** menu, point to **Stock Holdings Transactions** then **Stock Transactions** and click **Pending**.
2. On the **Pending Stock Transactions** window, right-click on an applicable record and then click

Approve-L1.

- 3.Click **Yes** to confirm the action. The status is changed as **L1 Approved**.
- 4.Right-click again on the same record and then click **Approve L2**.
- 5.Click **Yes** to confirm the action. The status is changed as **L2 Approved**. The approved Stock Transaction is displayed in the **Stock Transactions** window.

To view All Stock Transactions:

- On the **Holdings** menu, point to **Stock Holdings Transactions** then **Stock Transactions** and click **All**. The Approved and Pending Stock Transaction records are displayed.

Upload Holdings

Managing Customer Holdings »



Upload Holdings

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Use this procedure to upload the holdings information of a customer. This feature is useful when a customer who already has an account with a different broker house needs to transfer the stocks to the new broker house. In such a scenario, as manual data entry is time consuming, the broker can upload a .csv file that contains the holdings information to the system.

The indices are used to configure the different data sections in the file. The .csv file should contain the information given in the data file options pane. You should specify the data file and the action (e.g. deposit) and then load the data to the window. Once the data is loaded, you can execute it.

Once you complete this procedure,
the customer holdings are
updated.

PROCEDURE

To upload the customer holdings:

1. On the **Holdings** menu click **Holdings Upload**.
 2. On the **Holding Upload** window, adjust the data file options according to the columns structure of the file.
- NOTE:** If the data file column structure is matching with the existing Data File Opens, no adjustments are needed.
3. Select the **Action** and the **Transfer Date Format** as applicable.
 4. Click the **Browse** button to select the .csv data file.
 5. Click the **Load** button to load the data. The records of the data file are displayed under **Records - Ready for Execution** section.

NOTE: If there's a mismatch of the data file structure and the specified **Data File Options** of the window, the data is displayed under **Records - Unresolvable** section and need to be re-checked.

6. Click **Execute**. The relevant holdings are uploaded to the system.

Manage Pledge Requests



Managing Customer Holdings »

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Use this procedure to manage Pledge Requests. From the shortcut menu of a Security Account, you can Add/Release Pledges on the Holdings of a customer. The Pledges applied, are sent through an approval process to confirm. The added Pledge quantities are displayed as plus values and the released Pledge quantities are displayed as minus values.

The Pending/Approved and All Pledge requests are listed separately under the Pledge Requests option in the Holdings menu.

PROCEDURE

To approve Pending Pledge Requests:

1. On the **Holdings** menu point to **Pledge**

Requests and click **Pending**.

- 2.On the **Pledge Request - Pending** window, right-click on an applicable record and then click **Level 1 - Approve**. A message appears inquiring to confirm the action.
- 3.Click **Yes**. The Status of the record is changed as **Approved-L1**.
- 4.Right-click on the same record again and then click **Level 2 - Approve**. A message appears inquiring to confirm the action.
- 5.Click **Yes**. The Status of the record is changed as **Approved-L2**.
- 6.Click on Refresh  icon. The approved Pledge request record is displayed in the **Pledge Request - Approved** window.

To reject Pending Pledge Requests:

- 1.On the **Holdings** menu point to **Pledge Requests** and click **Pending**.
- 2.On the **Pledge Request - Pending** window, right-click on an applicable record and then click

Reject.

3. Click **Yes** to confirm the action. The Pending Pledge Request is rejected.

4. Click on Refresh  icon. The rejected Pledge Request record is displayed in the **Pledge Request - Rejected** window.

To view Approved Pledge Requests:

- On the **Holdings** menu point to **Pledge Requests** and click **Approved**. The approved Pledge requests are displayed.

To view Rejected Pledge Requests:

- On the **Holdings** menu point to **Pledge Requests** and click **Rejected**. The rejected Pledge requests are displayed.

To view All Pledge Requests:

- On the **Holdings** menu point to **Pledge Requests**

and click **All**. All Pledge Requests records with Pending, Approved, and Rejected Statuses are displayed.

View Customer Holdings



Managing Customer Holdings >>

View Customer Holdings [Top](#) [Previous](#) [Next](#)

Use this procedure to view the Holdings of a selected customer. When this option is selected, the list of customers are displayed for you to load the holding records of a selected customer.

NOTE: The same output can be viewed from the shortcut menu of a customer's Security Account.

PROCEDURE

1. On the **Holdings** menu point to **Portfolio**, click **Holdings**.
2. On the **Select Customer to View Holdings** window, double-click on the relevant record. A new tab is opened displaying the Holdings records of the customer. Also, you can refer to the shortcut menu of the holdings record to perform same functions of View & Manage holdings.

[View & Manage Holdings](#)

Reconcile Holdings

Managing Customer Holdings »



Reconcile Holdings

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Use this procedure to Reconcile Holdings. Admin Terminal provides you with an option to Reconcile Holdings information that is sent from the exchange, with the positions held in the Order Management System. By loading the data file sent from the exchange, the data is reconciled and the results are displayed in the particular window.

PROCEDURE

To Reconcile Holdings:

1. On the **Holdings** menu, click **Holdings Reconciliation**.
2. On the Holdings Reconciliation window, choose the applicable option as **Based on Trading A/C** or **Based on NIN**. (National Identification Number)
3. Click on **Load File**, browse and select the data file given. The data is loaded to the window.

4. Click **Reconcile**. The results are displayed in **Reconciled** and **Matched** columns of each record.

Day Margin Holdings

Managing Customer Holdings »



Day Margin Holdings

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Use this procedure to view Day Margin Holdings. The security accounts which are subjected to a Day Margin are displayed in the Day Margin Holdings window. Also, you have the options of Liquidating the Day Margin stocks and View Full Portfolio of the customer by the shortcut menu of each record displayed.

PROCEDURE

To view Day Margin Holdings:

- On the **Holdings** window, click **Day Margin Holdings**. The Day Margin Holdings records are displayed.

To view Full Portfolio:

- On the **Day Margin Holdings** window, right-click

on an applicable record and then click **Full Portfolio**. A new tab opens displaying all the Holdings records of the particular customer.

To Liquidate Day Margin Holdings:

- 1.On the **Day Margin Holdings** window, right-click on an applicable record and then click **Liquidate Day Margin Holdings**. The Sell Order window appears to execute a Sell Order of the selected Holding.
- 2.Click on **Send Order**. The order is sent to process to the exchange.

Settlements

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This section describes the functionality involved in the settlement process.

The stock exchange is the entity which facilitates dealing in securities. Dealing in stock exchanges is done through brokers who transact on behalf of their clients (or investors).

Two or more of the following parties can be involved in a stock transaction:

- Exchange
- Introducing Broker - A futures broker who has a direct relationship with a client, but delegates the work of the floor operation and trade execution to another futures merchant. The merchant firm is usually a close partner of the IB.
- Executing Broker
- Broker
- Custodian

Once a transaction is completed, the trading members should meet their fund/security obligations. The settlement process varies depending on the parties involved. Given below is an example of this process.

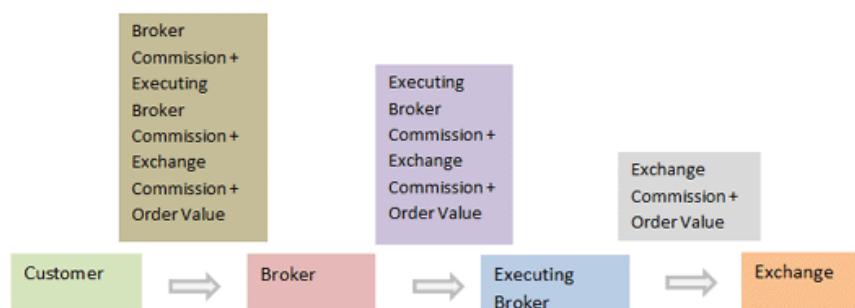


Figure 1: DFM settlement process

TOPICS IN THIS SECTION

- [Settlement Templates Overview](#)
- [Define Settlement Templates](#)
- [Assign Settlement Templates](#)
- [Adjust Orders](#)
- [Generate Order Master](#)
- [Order Master State Transition](#)
- [Daily Settlements](#)
- [Monthly Settlements](#)
- [Auto Settlements](#)
- [Order Master Exceptions](#)
- [Generate Settlement Calendar](#)
- [Executing / Settling Institutions](#)
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- [Trade Confirmations](#)

Settlement Templates Overview



Settlements >>

Settlement Templates Overview

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SETTLEMENT TEMPLATE

A settlement template defines the settlement process from the broker's perspective, to and from the broker house. The rules are based on the client settlement type, custodian type and the transaction side.

Client's settlement type and custodian type is set when creating the Trading Account for the customer.

The screenshot shows a form for setting up a settlement template. It includes fields for Exchange (DFM), Security A/C No (P000028802), Currency (AED), Custodian (None), A/C Type (Fully Disclosed), Trading A/C No, Investor No, Day Order Discount (0 %), and Custody Fee (checkbox). On the right, there are sections for Commission (Default or Defined), Order Fees (Default or None), Exec Broker, Online Rebate Group, Offline Commission Group, Offline Rebate Group, Custody Wave of Expiry, Agent, IFA, Settlement Type (DVP), and Settlement Template. The 'Custodian' dropdown and the 'Settlement Type' dropdown are both highlighted with red boxes.

Figure 1: Setting up the custodian and settlement type

The client settlement types available are:

DVP - Delivery versus Payment e.i. Payment at the moment of delivery

- Prefunded - Settlements are done through the customer's Cash Account
- Non-Settle - The customer directly settles to the exchange / executing broker (e.g. TDWL, KSE)

- The custodian types available are:
- Full - The Custodian settles to the executing broker
 - Share - E.g. the Custodian settles to the broker
 - None - No custodian is involved

Let us define the rules for the following settlement process.

Client Type	DVP		
Custody	None		
Side	Buy		
From	To	Amount	Time
Customer	MFS	gross+dfm+dbfs+mfs	t+2
MFS	DBFS	gross+dfm+dbfs	t+2
DBFS	DFM	gross+dfm	t+2

Figure 2: Settlement process for DFM

According to the Figure 2, the client's settlement type is DVP, no custodian is involved in the buy side settlements.

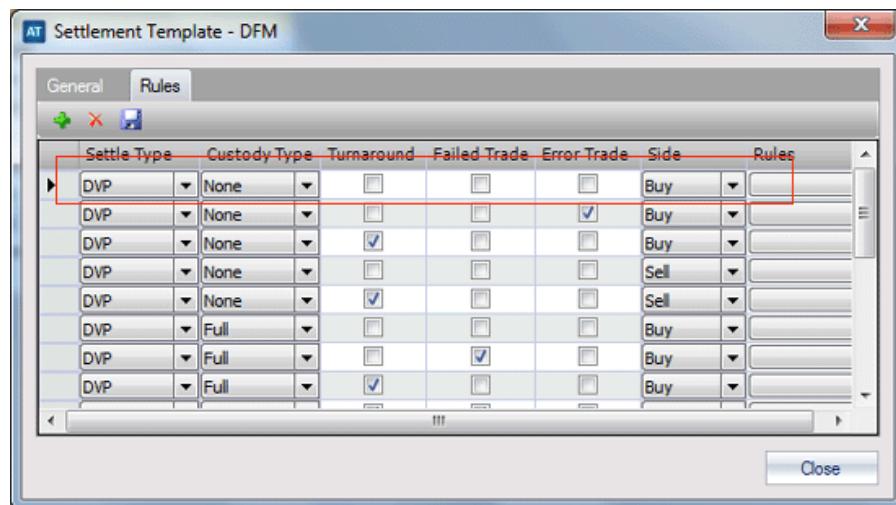
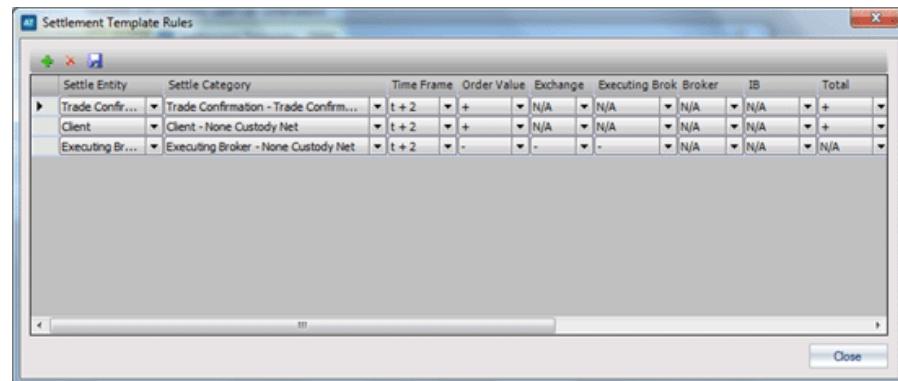


Figure 3: Defining the settlement type, custodian type and the transaction side

After defining the above, you should define the rules applicable for this settlement type. When defining the rule, you should specify the relevant entities who make the settlements, settlement category, time period and the applicable values. + indicates that the transaction value should be added to the entity. - indicates that the transaction value should be deducted from the entity.

Now let us look at the rules set for the settlement type depicted in Figure 3.



The screenshot shows a Windows application window titled "Settlement Template Rules". The window contains a grid table with columns: Settle Entity, Settle Category, Time Frame, Order Value, Exchange, Executing Brok, Broker, IB, and Total. There are three rows of data:

Settle Entity	Settle Category	Time Frame	Order Value	Exchange	Executing Brok	Broker	IB	Total
Trade Confir...	Trade Confirmation - Trade Confirm...	t + 2	+	N/A	N/A	N/A	N/A	+
Client	Client - None Custody Net	t + 2	+	N/A	N/A	N/A	N/A	+
Executing Br...	Executing Broker - None Custody Net	t + 2	-	-	-	N/A	N/A	N/A

Figure 4: Defining the rules

According to Figure 2:

Client settlement = order value + exchange fee
+ executing broker fee + broker fee

This is depicted in Figure 4 as:

Client None Custody Net = Order Value + Total

According to Figure 2:

Executing Broker Settlement = order value +
exchange fee

This is depicted in Figure 4 as:

Executing Broker None Custody Net = order value + exchange fee - executing broker fee (As the templates define the settlement impact from the broker's perspective, you should deduct the order value, exchange fee and the executing broker fee when defining the rule for the Executing Broker.)

At certain times, there can be failed trades, error trades and turnarounds. The orders are adjusted to facilitate such scenario. Hence, you should define the templates applicable for each such scenario as well.

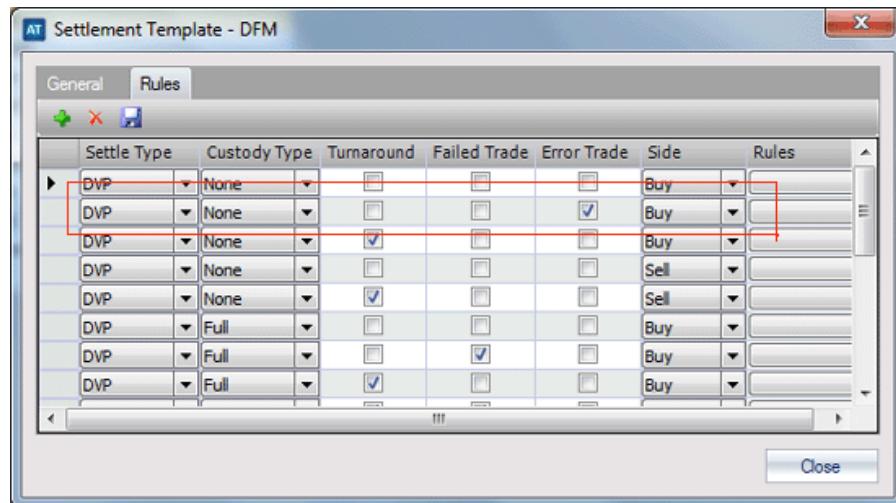


Figure 5: Defining the Error Trade

Moreover, you need to define the Trade Confirmations by specifying the order values and the total commissions applicable for the transactions.

RELATED INFORMATION

[Define Settlement Template, Adjust Orders](#)

Define Settlement Templates



Settlements >>

Define Settlement Templates

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Use this procedure to configure how the settlements are made to the following parties by the broker house:

- Customer
- Custodian
- Execution Institution / Exchange
- IB (Introducing Broker)

When defining the rules, you can segregate it to all parties involved in the transaction. Moreover, you can define a rule for the Trade Confirmation. After defining the Settlement Template, you need to map it with the execution institution. Once you generate the Order Master, the settlement amounts for relevant parties are calculated based on the rules defined in the template.

PROCEDURE

To configure the Settlement Templates:

1. On the **Settlements** menu click **Settlement Templates**.

A: Enter a name for the template

- I. In the **Settlement Templates** dialog box, type a name for the template.
- II. Click **Save**. A message opens inquiring whether you want to save the changes.
- III. Click **Yes**. A message opens confirming the action.

B: Define the Settlement Types and Custody Types

- I. Click the **Rules** tab and click the **Add**  button to add a record.
- II. Select the Settlement Type, Custody Type and the transaction side from the list.
- III. Select the **Turnaround**, **Error Trade** and **Failed Trade** check-boxes as applicable to define the rules when order adjustments are made.
- IV. Click the **Save**  button. A message opens inquiring whether to save the changes.

V.Click **Yes**. A message opens confirming the action.

C: Define the Settlement Template Rules

- I. Click the **Rules** button.
- II.In the **Settlement Type Rules** window, click the **Add**  button.
- III.Select the settlement entity, category and the date.
- IV.Select the applicability of the payments to the different entities.
- V.Click the **Save**  button. A message opens inquiring whether to save the changes.
- VI.Click **Yes**. A message opens confirming the action.

RELATED INFORMATION

[Settlement Template Overview](#),
[Assign Settlement Templates](#)

Assign Settlement Templates

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Assign Settlement Templates

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Use this procedure to assign the templates you created to the Executing Institution. After assigning the template, you can generate the Order Master.

PROCEDURE

To assign the settlement template to the Executing Institution:

1. On the **Settlement** menu, point to **Executing / Settling Institutions** and then click **Executing / Settling Institution Accounts**.
2. Right-click on the required record in the **Executing / Settling Institution Accounts** window, and click **Edit**.
3. Click the **Settlement Accounts** tab.

- 4.Click the **Add**  button to add the record.
- 5.Select the exchange and currency from the respective lists.
- 6.Search for the Cash Account and the relevant Settlement Template.
- 7.Click the **Save**  button. A message opens confirming the action.

RELATED INFORMATION

[Adjust Orders, Generate Order Master](#)

Adjust Orders

Settlements »



Adjust Orders

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Before generating the Order Master, you can adjust the orders if required. During this process, you can change the commissions charged from different entities. Moreover you can change the total commission charged. When the total commission is changed, it is reflected in the Broker Commission.

The following can be specified:

- **Failed Trade** - This situation occurs when a Custodian fails to make the settlements to the exchange. In such scenario, the broker does the settlement on behalf of the customer, but recovers it from the Custodian.
- **Error Trade** - This situation occurs when a disagreement occurs between the customer and the broker on the transaction. In such scenario, the broker can square off the trade, but should make the payments to the relevant parties involved.

- **Turnaround** - This situation occurs when the Custodian makes the settlements to the Introducing Broker directly without getting the broker involved.

After making the adjustments, the records should be approved to take effect. When a field is adjusted the Reconciliation Status is **Pending Adjust**. After approving the adjustment refresh the Order Master to view the status as **Adjusted**.

If the order is in **Pending Adjust** status or **L1 Approved**, no other amendments can be done to such orders. If amendment is required to be done when order is in status **Pending Adjust**, you have to **Cancel** it and the status is **Invalidated**. In order to adjust the order you should re-generate the Order Master and the status is changed to **Invalidated New**. You can then make the adjustments.

PROCEDURE

To adjust the commissions:

- 1.Right-click on the required record in the Order Master window and click **Adjust Order**.
- 2.In the **Order Master Adjustment** window, select the required commission type from the list.
- 3.Type the new value and a reason for the change.
- 4.Click **Submit**. A message opens confirming the action.
- 5.Click **Ok**. A message opens inquiring whether you need to view the Pending Order Adjustments.

To adjust a Failed Trade:

- 1.Right-click on the required record in the Order Master window and click **Adjust Order**.
- 2.In the **Order Master Adjustment** window, select **Failed Trade**.
- 3.Click the **Failed** button in the New Value.
- 4.Type a reason for the change.

- 5.Click **Submit**. A message opens confirming the action.
- 6.Click **Ok**. A message opens inquiring whether you need to view the Pending Order Adjustments.

To adjust a Turnaround:

- 1.Right-click on the required record in the Order Master window and click **Adjust Order**.
- 2.In the **Order Master Adjustment** window, select **Turnaround**.
- 3.Click the **Turnaround** button in the New Value.
- 4.Type a reason for the change.
- 5.Click **Submit**. A message opens confirming the action.
- 6.Click **Ok**. A message opens inquiring whether you need to view the Pending Order Adjustments.

To adjust an Error Trade:

- 1.Right-click on the required record in the Order Master window and click **Adjust Order**.

- 2.In the **Order Master Adjustment** window, select **Error Trade**.
- 3.Click the **Error** button in the New Value.
- 4.Type a reason for the change.
- 5.Click **Submit**. A message opens confirming the action.
- 6.Click **Ok**. A message opens inquiring whether you need to view the Pending Order Adjustments.

To approve the records:

- 1.Do one of the following:
 - Click **Yes** in the message that prompts to view the Pending Order Adjustments.
-or-
 - On the **Settlements** menu, point to **Order Adjustments** and click **Pending**.
- 2.In the **Order Adjustment - Pending** window, right-click on the record and click **Level 1 Approve**. A message opens inquiring whether to approve the records.
- 3.Click **Yes**. A message opens confirming the action

and the record is level 1 approved.

4. Right-click on the same record and click **Level 2 Approve**. A message opens inquiring whether to approve the records.
5. Click **Yes**. A message opens confirming the action. After approving the records the reconciliation status is changed to **Adjusted**.

RELATED INFORMATION

[Generate Order Master](#), [Order Master State Transition](#)

Generate Order Master



Settlements >>

Generate Order Master

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Use this procedure to generate the Order Master. After assigning the template to the Executing Institution, you can generate the Order Master. The order master is generated for the executed orders and it generates the settlement values applicable for the different entities and Trade Confirmation based on the rules you specified in the Settlement Templates. Hence the Order Master is the base for trade confirmations and all the types of settlements. If you are generating the Order Master for a previous day, it displays all the executions for that day. If you are generating the order master for the current date, it displays the executions as of the time you do the operation.

Once you generate the Order Master, the Reconciliation Status is

New.

If you do any adjustments to the orders, you need to freeze such orders because when you generate the Order Master the values you changed will be overwritten with the default values.

- If the Freeze option is triggered for all orders, the orders which are in **New** and **L2 Approved** status are automatically **Frozen**.
- If the Freeze option is triggered for a single order, the order is Frozen if it is New or L2 Approved status.
- If an order is in **Pending Adjust** or **L1 Approved** status the Freeze action will not be carried out.
- If you cancel any Pending Adjustments, the status is **Invalidated**.

NOTE: After order adjustments are completed, make sure you refresh the Order Master so that the changes will get reflected in Trade Confirmations & all the types of settlements.

Order Master generation does not affect the following statuses:

- Adjusted

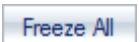
- Posted
- Freezed
- Pending Adjust

After generating the Order Master you can view the settlements to be made for each entity under Daily Settlements and Monthly Settlements options. All settlements are calculated based on the rules set in the Settlement Templates.

PROCEDURE

To freeze the records and generate the Order Master:

- 1.On the **Settlements** menu click **Order Master**.
- 2.In the Order Master window, do one of the following:

To	Do This
Freeze the records individually	Right-click on the record and click Freeze .
Freeze all records	Click the Freeze All 

- 3.Right-click on the window and click **Generate Order Master**.
- 4.In the **Generate Order Master** dialog box, enter the time period.
- 5.Click **Ok**. A message opens confirming the action.

To view the adjustments done to the order:

- Right-click on the record in the Order Master window and click **View Adjustment Transactions**.

To view the Order Master details fore the adjustments:

- Right-click on the record in the Order Master window and click **View Adjustment History**.

RELATED INFORMATION

[Daily Settlements, Order Master State Transition, Monthly](#)

Settlements

Order Master State Transition

Settlements »



Order Master State Transition

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Order Master State Transition

The diagram below depicts the Order Master state transition

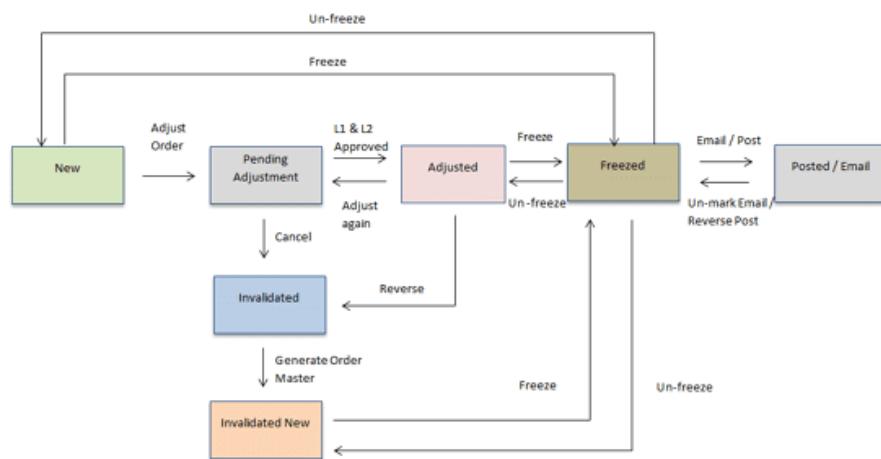


Figure 1: Order Master state transition

Daily Settlements

[Settlements >>](#)



Exchange Settlements



Settlements » Daily Settlements »

Exchange Settlements

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Use this procedure to make daily settlements to the exchange. The window displays the net settlement, order value, commission etc. for different exchanges. The values displayed is a net value arrived from the orders executed from the exchange.

Before making the settlements you need to '**post**' the settlements. During this process, the orders in the Order Master are set to 'Post' and the liabilities are marked. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Sell settlement = any cash deposits for the sell orders placed
- Buy settlement = any cash withdrawals for the buy

orders placed

- Net settlement = Sell settle amount - Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements
- Order value settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied. Moreover, you can generate a report for the settlements. The report displays the settlements pertaining to each customer.

PROCEDURE

To post the Daily Exchange settlements:

1. On the **Settlements** menu point to **Daily**

Settlements and then click **Exchange Settlement**.

- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Daily Exchange settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the

values and click **Submit**. A message opens confirming the action.

To generate a report:

- Right-click on the record and click **Report**.

To export to the HSBC Template:

- Right-click on the record and click **Export to HSBC Template**.

To email the settlements:

- Right-click on the record and click **Email**.

Custodian Settlements



Settlements » Daily Settlements »

Custodian Settlements

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Use this procedure to make daily settlements to the custodian. The window displays the net settlement. The values displayed is a net value arrived from the orders executed from the exchange.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' and the liabilities are marked. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Net settlement = Sell settle amount \diamond Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied. Moreover, you can generate a report for the settlements. The report displays the settlements pertaining to each customer.

PROCEDURE

To post the Daily Custodian settlements:

- 1.On the **Settlements** menu point to **Daily Settlements** and then click **Custodian Settlement**.
- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Daily Custodian settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

To generate a report:

- Right-click on the record and click **Report**.

**To export to the HSBC
Template:**

- Right-click on the record and click **Export to HSBC Template**.

To email the settlements:

- Right-click on the record and click **Email**.

Client Settlements

Settlements » Daily Settlements »



Client Settlements

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Use this procedure to make daily settlements to the clients. The window displays the net settlement, order value, commission for different entities etc. for each customer.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' but no liabilities are marked as it is done when the orders get executed. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Sell settlement = any cash deposits for the sell orders placed
- Buy settlement = any cash withdrawals for the buy orders placed

- Net settlement = Sell settle amount \diamond Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied. Moreover, you can generate a report for the settlements. The report displays the settlements pertaining to each customer.

PROCEDURE

To post the Daily Client settlements:

1. On the **Settlements** menu point to **Daily Settlements** and then click **Client Settlement**.

- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Daily Client settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

Monthly Settlements

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Exchange Settlements



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Exchange Settlements

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Use this procedure to make monthly settlements to the exchange if applicable. The window displays the net settlement, order value, commission etc. for different exchanges. The values displayed is a net value arrived from the orders executed from the exchange.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' and the liabilities are marked. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Sell settlement = any cash deposits for the sell orders placed

- Buy settlement = any cash withdrawals for the buy orders placed
- Net settlement = Sell settle amount - Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements
- Order value settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied. Moreover, you can generate a report for the settlements. The report displays the settlements pertaining to each customer.

PROCEDURE

To post the Monthly Exchange settlements:

- 1.On the **Settlements** menu point to **Monthly Settlements** and then click **Exchange Settlement**.
- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Monthly Exchange settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.

2. In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

To generate a report:

- Right-click on the record and click **Report**.

To export to the HSBC Template:

- Right-click on the record and click **Export to HSBC Template**.

To email the settlements:

- Right-click on the record and click **Email**.

Custodian Settlements



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Custodian Settlements

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Use this procedure to make monthly settlements to the custodian if applicable. The window displays the net settlement. The values displayed is a net value arrived from the orders executed from the exchange.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' and the liabilities are marked. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Net settlement = Sell settle amount \diamond Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied. Moreover, you can generate a report for the settlements. The report displays the settlements pertaining to each customer.

PROCEDURE

To post the Monthly Custodian settlements:

- 1.On the **Settlements** menu point to **Monthly Settlements** and then click **Custodian Settlement**.
- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Monthly Custodian settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

To generate a report:

- Right-click on the record and click **Report**.

**To export to the HSBC
Template:**

- Right-click on the record and click **Export to HSBC Template**.

To email the settlements:

- Right-click on the record and click **Email**.

Client Settlements



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Client Settlements

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Use this procedure to make monthly settlements to the clients as applicable. The window displays the net settlement, order value, commission for different entities etc. for each customer.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' but no liabilities are marked as it is done when the orders get executed. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Sell settlement = any cash deposits for the sell orders placed
- Buy settlement = any cash withdrawals for the buy orders placed

- Net settlement = Sell settle amount - Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements

NOTE: You cannot 'reverse post' once the settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied.

PROCEDURE

To post the Monthly Client settlements:

1. On the **Settlements** menu point to **Monthly Settlements** and then click **Client Settlement**.
2. Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.

3.Click **Yes**. A message opens confirming the action.

To reverse post the Monthly Client settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

IB Settlements



Settlements » Monthly Settlements »

IB Settlements

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Use this procedure to make monthly settlements to the Introducing Brokers. The window displays the net settlement, order value, commission for different entities etc. for each IB.

Before making the settlements you need to 'post' the settlements. During this process, the orders in the Order Master are set to 'Post' and the liabilities are marked. In order to post the settlements, you should freeze all Order Master records for the selected exchange. Once posting is done you can make the following settlements as applicable:

- Net settlement = Sell settle amount \diamond Buy settle amount
- Pending settlement = Net settle amount + any outstanding settlements

NOTE: You cannot 'reverse post' once the

settlements are executed.

After the settlements are completed, the broker house cash account is updated.

If required you can view the order details. The window displays the break down of orders to which the settlement is applied.

PROCEDURE

To post the Monthly IB settlements:

- 1.On the **Settlements** menu point to **Monthly Settlements** and then click **IB Settlement**.
- 2.Right-click on the window and click **Post**. A message opens inquiring whether you need to do the changes.
- 3.Click **Yes**. A message opens confirming the action.

To reverse post the Monthly IB settlements:

- Right-click on the required record in the window and click **Reverse Post**.

To view order details:

- Right-click on the required record in the window and click **View Details**.

To make the settlements:

- 1.Right-click on the required record in the window and click the relevant settlement.
- 2.In the **Cash Transactions** window, verify the values and click **Submit**. A message opens confirming the action.

Auto Settlements



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Auto Settlements

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Use this procedure to view any auto settlements (done by third parties) applicable for transactions.

PROCEDURE

To view Auto Settlements:

- On the **Settlements** menu point to **Auto Settlements** and click the required settlement.

Order Master Exceptions



Settlements »

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Use this procedure to view and correct any errors occurred while generating the Order Master. This option allows you to 'reverse post' any posted settlements or 'un-mark as emailed' any Trade Confirmations. When the Reverse Post is invoked the system will unmark the liabilities created on the selected settlements. Once this process is completed, the Reconciliation Status in the Order Master is **Freezed**. You need to re-generate the Order Master and re-post the settlements re-send the Trade Confirmations.

PROCEDURE

To view the Order Master Exceptions:

- On the **Settlements** menu point to **Settlement**

Exceptions and click **Order Master Exceptions**.

To rectify the Order Master Exceptions:

- 1.In the **Order Master Exceptions** window, move the mouse pointer over to the **Correction Steps** column.
- 2.Follow the correction steps provided.

Generate Settlement Calendar



Settlements »

Generate Settlement Calendar

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Use this procedure to generate the Settlement Calendar. The Settlement Calendar shows the date on which the two parties engaged in the trade should meet their obligations. Different stock markets have different settlement calendars.

The Settlement Date for the stock is based on the transaction date. The abbreviation T refers to the transaction date. The numbers 1, 2 or 3 denote how many days after the transaction date, the settlement or the transfer of money and security ownership takes place.

Furthermore, using this option you can configure the settlement days when a special holiday falls in between the market days.

PROCEDURE**To generate the Settlement Calendar:**

- 1.On the **Settlement** menu click **Settlement Calendar**.
- 2.In the **Settlement Calendar** window, select the exchange, the year, currency and the settlement dates using the list.
- 3.Select the check-boxes to define the holidays.
- 4.Click **Generate Calendar & Save Settings**.
- 5.Finally click **Show Calendar** to view the settlement calendar.

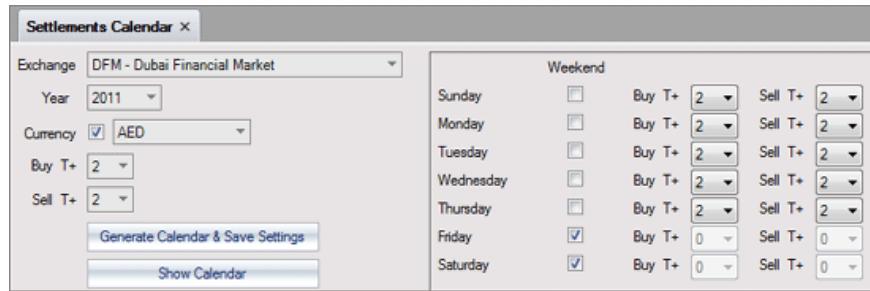


Figure 1 - Define Settlement Calendar

To define holiday:

1. On the **Settlement** menu click **Settlement Calendar**.
2. In the **Settlement Calendar** window, select the required holiday by clicking the calendar at the bottom of the window (see Figure 2).
3. Enter a description.
4. Click **Add**. The newly define holiday is added in the holiday list (see Figure 3).
5. Click **Generate** to view view the holiday in the Settlement Calendar (see Figure 4).

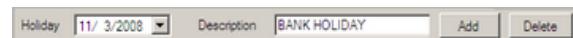


Figure 2 - Defining a Holiday

	Holiday	Description
▶	11/3/2008	BANK HOLIDAY

Figure 3 - Holiday List

KSE	11/2/2008	SUNDAY			YES	SUNDAY
KSE	11/3/2008	BANK HOLIDAY				MONDAY
KSE	11/4/2008	WORKING DAY	11/4/2008	11/5/2008	YES	TUESDAY
KSE	11/5/2008	WORKING DAY	11/5/2008	11/6/2008		WEDNESDAY

Figure 4 - Settlement Calendar

Executing / Settling Institutions

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Executing / Settling Institution Accounts

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Executing / Settling Institution Accounts

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Use this procedure to set-up details about the Executing Institutes.

When setting up these details, you have to first add and save the general information about the Settling Institution. The window then opens with a set of new tabs. In the Preferences tab you need to specify the template format. The broker house emails the settlement information to the provided email addresses in the given format. In the Exchanges tab, you need to specify the exchanges to which these institutions are applicable. You need to create a Cash Account and a Bank Account for the settling institution. You should specify the

commission structure applicable for the institution and then map the settlement template.

After setting up all the details, the record should be approved by an authorized user to take effect.

PROCEDURE

To add Executing / Settling Institute:

- 1.On the **Settlements** menu, point to **Executing / Settling Institutions** and then click **Executing / Settling Institution Accounts**.
- 2.Right-click in the **Executing / Settling Institution Accounts** window, and click **Add**.

A: Enter the general information

- I.In the **General** tab, select the institution type from the list.
- II.Type the name of the institution and the SID.

III.Fill in the other general information about the institution.

IV.Click **Save**. A message opens inquiring whether to save the record.

V.Click **Yes**. The **Executing / Settling Institution Accounts** window opens with additional tabs.

B: Enter the preferences

I.In the **Preferences** tab, select the template format by selecting the check-box.

II.Type the list of email addresses.

III.Click **Save**. A message opens inquiring whether to save the record.

IV.Click **Yes**.

C: Assign the exchanges

I.In the **Exchanges** tab, select the required exchanges by selecting the check-boxes.

II.Click the **Save**  button to save the records.

D: Create a Cash Account

- I. Right-click in the Cash Account tab and click **Add**.
- II. Select the account type from the list and click **Save**. A message opens inquiring whether to save the record.
- III. Click **Yes**. The status of the record you added is Pending.
- IV. Right-click on the record and click **Approve**. A message opens confirming the action.

E: Create a Bank Account

- I. Right-click in the Bank Account tab and click **Add**.
- II. Type the relevant details and click **Update Bank Details**. The status of the record you added is Pending.
- III. Right-click on the record and click **Approve**. A message opens confirming the action.

F: Define the commission structure

- I. In the **Commission Structures** tab, select the required exchange from the list.
- II. Click the **Add**  button to add a record.
- III. Select the type for which the commission is applicable.
- IV. Type the range applicable for the commission in the **To** and **From** fields.
- V. Type the total commission percentage and the fixed amount charged from the customer in the **Percentage** and the **Fixed Amount** fields.
- VI. Type the exchange commission percentage, fixed amount and the transaction fee (transaction fee is based on the number of splits).
- VII. Type the minimum commission charged from the customer in the **Min. Commission** field (this is applicable when you define the commission structure by share price).
- VIII. Type the minimum and maximum exchange commission (these are applicable when you define the commission structure by share price).

IX.Type the commission percentage and fixed amount for the Executing Broker.

G: Assign a Settlement Template

3.Save the changes and click **Close**.

To approve the records:

- Right-click on the required record and click **Approve**. A message opens confirming the success of the operation.

RELATED INFORMATION

[Assign Settlement Templates](#)

Executing Institution Cash Account



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Executing Institution Cash Account

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Use this procedure to deposit cash to or withdraw cash from the Executing Institution Cash Account. The transaction should be approved by an authorized user to take effect. Approving the records can be done using the Cash Management or Cash Transactions sub menus.

PROCEDURE**To deposit / withdraw cash:**

1. On the **Settlements** menu, point to **Executing / Settling Institutions** and then click **Executing Institution Cash Account**.
2. Right-click on the required record and click **New Cash Transaction**.
3. In the **Cash Transaction** window, select the transaction type as deposit or withdrawal.

- 4.Type the amount.
- 5.Select the bank account.
- 6.Click **Submit**. A message opens confirming the action.
- 7.Click **Ok**. A message opens inquiring whether you need to view the Pending cash transaction approvals.

To approve the records:

- 1.Do one of the following:
 - Click **Yes** in the message that prompts to view the Pending cash transaction approvals.
-or-
 - On the **Settlements** menu, point to **Executing / Settling Institutions**, then to **Cash Management** and then click **Pending**.
- 2.In the **Pending Cash Log** window, right-click on the record and click **Level 1 Approve**. A message opens inquiring whether to approve the records.
- 3.Click **Yes**. A message opens confirming the action and the record is level 1 approved.

- 4.Right-click on the same record and click **Level 2 Approve**. A message opens inquiring whether to approve the records.
- 5.Click **Yes**. A message opens confirming the action.

To generate the Cash Statement:

- 1.Right-click on the required record and click **Cash Statement**.
- 2.In the **Select Month** dialog box, select the required time period.
- 3.Optional: Select the **Show Reversals** check-box to view the reversals.
- 4.Click **Ok**.

RELATED INFORMATION

[Cash Transactions](#)

Cash Transactions



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Cash Transactions

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Use this procedure to view and approve the cash deposits or withdrawals done in the Executing Institution Cash Account.

PROCEDURE**To approve the cash deposits:**

1. Do one of the following:

- On the **Settlements** menu, point to **Executing / Settling Institutions**, then to **Cash Transactions** and then click **Deposits**.

-or-

- On the **Settlements** menu, point to **Executing / Settling Institutions**, then to **Cash Transactions** and then click **All**.

2. Right-click on the required record in the **Exec.Ins. Cash Deposit** window and click **Approve L1**. A message opens inquiring whether to approve the records.

- 3.Click **Yes**. A message opens confirming the action and the record is level 1 approved.
- 4.Right-click on the same record and click **Level 2 Approve**. A message opens inquiring whether to approve the records.
- 5.Click **Yes**. A message opens confirming the action.

To approve the cash deposits:

- 1.Do one of the following:
 - On the **Settlements** menu, point to **Executing / Settling Institutions**, then to **Cash Transactions** and then click **Withdrawals**.
-or-
 - On the **Settlements** menu, point to **Executing / Settling Institutions**, then to **Cash Transactions** and then click **All**.
- 2.Right-click on the required record in the **Exec.Ins. Cash Withdrawal** window and click **Approve L1**. A message opens inquiring whether to approve the records.
- 3.Click **Yes**. A message opens confirming the action and the record is level 1 approved.

- 4.Right-click on the same record and click **Level 2 Approve**. A message opens inquiring whether to approve the records.
- 5.Click **Yes**. A message opens confirming the action.

Introducing Brokers

[Settlements »](#)



IB Commission Groups



Settlements » Introducing Brokers »

IB Commission Groups

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Use this procedure to define the Commission Groups applicable for Introducing Brokers.

When adding the IB Commission Group, you should first provide a description to the commission group. Once you save the details another tab opens in the window for you to define the commission criteria.

PROCEDURE**To define the IB Commission Group:**

1. On the **Settlements** menu, point to **Introducing Brokers** and click **IB Commission Groups**.
2. Right-click in the **IB Commission Groups** window and click **Add**.

A: Enter the commission group

- I. In the **Commission Groups** tab, type a name for the commission group.
- II. Click **Save**. A message opens inquiring whether to save the record.
- III. Click **Yes**. The **Introducing Broker Commission Groups** window opens with an additional tab.

B: Define the commission criteria

- I. Select the exchange, currency, service and the Executing Broker from the respective lists.
- II. Type the order value in the **From** and **To** fields.
- III. Type the commission charged for the defined range.
- IV. Optional: Type the flat fee and any third party charges applicable.
- V. Click the **Save**  button. A message opens confirming the success of the operation.

RELATED INFORMATION

[Introducing Broker Accounts](#)

Introducing Broker Accounts



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Introducing Broker Accounts

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Use this procedure to create Introducing Broker Accounts.

When adding the IB Accounts, you should first provide the general information about the Introducing Broker and the charges applicable for them. Once you save the details additional tabs open in the window for you to map a commission group, create a cash account and to map the cash account with the settlement account.

NOTE:

Before you perform this task, you must have entered the IB Commission Groups.

The Commission Groups and Cash Accounts added to the IB account should be approved to take effect.

PROCEDURE**To create IB Accounts:**

- 1.On the **Settlements** menu, point to **Introducing Brokers** and click **IB Accounts**.
- 2.Right-click in the **IB Accounts** window and click **Add**.

A: Enter the general information

- In the General tab, type the name and other relevant information of the IB.

B: Define the IB charges

C: Add the Commission Group

- I.Right-click on the Commission Groups tab and click **Add**.
- II.Double-click on the required IB Commission Group. The status of the record is Pending.
- III.Right-click on the record again and click **Approve**.

D: Add IB Cash Account

- I. Right-click on the IB Cash Accounts tab and click **Add**.
- II. Enter the relevant information and click **Save**.
- III. Right-click on the record again and click **Approve**.

E: Map the Settlement Account

- I. Click the **Add**  button to add a record.
- II. Select the exchange and currency from the respective lists. **Note:** The same currency should be used in the Settlement Account and the IB Cash Account.
- III. Click the Cash Account column and double-click on the required Cash Account.
- IV. Click the **Save**  button. A message opens confirming the success of the operation.

RELATED INFORMATION

IB Commission Groups

IB Cash Account



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IB Cash Account

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Use this procedure to deposit cash to or withdraw cash from the Introducing Broker Cash Account. The transaction should be approved by an authorized user to take effect.

PROCEDURE**To deposit / withdraw cash:**

1. On the **Settlements** menu, point to **Introducing Brokers** and then click **IB Cash Accounts**.
2. Right-click on the required record and click **New Cash Transaction**.
3. In the **Cash Transaction** window, select the transaction type as deposit or withdrawal.
4. Type the amount.
5. Select the bank account.
6. Click **Submit**. A message opens confirming the

action.

- 7.Click **Ok**. A message opens inquiring whether you need to view the Pending cash transaction approvals.

To approve the records:

- 1.Do one of the following:
 - Click **Yes** in the message that prompts to view the Pending cash transaction approvals.
-or-
 - On the **Settlements** menu, point to **Introducing Brokers**, then to **Cash Management** and then click **Pending**.
- 2.In the **IB Pending Cash Log** window, right-click on the record and click **Level 1 Approve**. A message opens inquiring whether to approve the records.
- 3.Click **Yes**. A message opens confirming the action and the record is level 1 approved.
- 4.Right-click on the same record and click **Level 2 Approve**. A message opens inquiring whether to approve the records.

5.Click **Yes**. A message opens confirming the action.

Trade Confirmations



[Settlements >>](#)

Standard Trade Confirmations



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Standard Trade Confirmations

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Use this procedure to email the Trade Confirmations to the Master Account and Fully Disclosed Account holders. Configuring the Standard Trade Confirmation is done at the customer level, by clicking the **Default** button for the Trade Confirmation Type in the **Preferences** tab.

Once you define a settlement template, the relevant data are displayed in the Standard Trade Confirmations window. In order to email the Trade Confirmation, the reconciliation Status in the Order Master should be 'Freezed'. If it is not in the 'Freezed' status, when you open the report, it is displayed as a 'draft'. When you try to email the Trade Confirmation, a message

opens informing you cannot perform the task.

NOTE:

In order to perform this task, you must have provided an email address in your User Account and the customer's email address should be given in the **Preferences** tab when creating the Customer Account.

PROCEDURE**To email the Standard Trade Confirmation:**

- 1.On the **Settlements** menu, point to **Trade Confirmations** and click **Standard Trade Confirmations**.
- 2.In the **Standard Trade Confirmations** window, right-click on the record and click **Email**.
- 3.Select the required report template.
- 4.In the **Email** dialog box, verify the details and click **Send**.

To view the report:

1.Right-click on the required record and click **Report**.

2.Select the required report template.

To add a new view report template

- Right-click on the record and Click Report
- Select new and define a name for the report
- Click the columns tab then add the "tax" field to right side
- Select tax-coloumns and tick the tax coloumn and search.
- Add the record, this will be reflected on the trade confirmation report

To view the Trade Confirmation details:

◆Right-click on the record and click **Detail**.

To view the Order Master:

◆Right-click on the record and click **View Order Master**.

Future Trade Confirmation

- Right-click a record and click on Future Trade Confirmation then Report.

RELATED INFORMATION

[Creating Customer Accounts, Add User Accounts, Generate Order Master, Define Settlement Template](#)

Custom Trade Confirmations



Settlements » Trade Confirmations »

Custom Trade Confirmations

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Use this procedure to email the Trade Confirmations only to the customers you require by adding them individually.

Once you define a settlement template for the Trade Confirmations, the relevant data are displayed in the Custom Trade Confirmations window. In order to email the Trade Confirmation, the reconciliation Status in the Order Master should be 'Freezed'. If it is not in the 'Freezed' status, when you open the report, it is displayed as a 'draft'. When you try to email the Trade Confirmation, a message opens informing you cannot perform the task.

NOTE:

In order to perform this task, you must have provided an email address in your User Account and the customer's email address should be given in the **Preferences** tab when creating the Customer Account.

PROCEDURE**To add the customers:**

- 1.On the **Settlements** menu, point to **Trade Confirmations** and click **Custom Trade Confirmations**.
- 2.Right-click in the **Custom Trade Confirmations** window and click **Add**.
- 3.In the **Custom Trade Confirmations** dialog box, search and add the required institution and the customer.
- 4.Select the required exchanges by selecting the check-boxes.
- 5.Select the required date.
- 6.Click **Save**. A message opens confirming the action. A new record is added to the **Custom Trade Confirmations** window.

To email the Custom Trade Confirmation:

- 1.In the **Custom Trade Confirmations** window, right-click on the record and click **Email**.
- 2.Select the required report template.
- 3.In the **Email** dialog box, verify the details and click **Send**.

To view the report:

- 1.Right-click on the required record and click **Report**.
- 2.Select the required report template.

To view the Trade Confirmation details:

- Right-click on the record and click **Detail**.

To view the Order Master:

- Right-click on the record and click **View Order**

Master.

RELATED INFORMATION

[Creating Customer Accounts, Add User Accounts, Generate Order Master, Define Settlement Template](#)

Direct Trade Confirmations



Settlements » Trade Confirmations »

Direct Trade Confirmations

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Use this procedure to email the Trade Confirmations to the customers without going through the process of order adjustments and Order Master freezing.

Configuring the Direct Trade Confirmation is done at the customer level, by selecting the **Direct TC** check-box button for the Trade Confirmation Type in the **Preferences** tab. Moreover, you need to select a template and the report format.

Once you define a settlement template for the Trade Confirmations, the relevant data are displayed in the Direct Trade Confirmations window. You can then directly email the trade Confirmation to the relevant customers.

NOTE:

In order to perform this task, you must have provided an email address in your User Account and the customer's email address should be given in the **Preferences** tab when creating the Customer Account.

PROCEDURE**To email the Direct Trade Confirmation:**

- 1.On the **Settlements** menu, point to **Trade Confirmations** and click **Direct Trade Confirmations**.
- 2.In the **Direct Trade Confirmations** window, right-click on the record and click **Email**.
- 3.In the **Email** dialog box, verify the details and click **Send**.

To view the report:

- Right-click on the required record and click **Report**.

To view the Trade Confirmation details:

- Right-click on the record and click **Detail**.

To view the Order Master:

- Right-click on the record and click **View Order Master**.

RELATED INFORMATION

[Creating Customer Accounts, Add User Accounts](#)

Error Trading

[Settlements >>](#)



Error Trade List



Settlements » Error Trading »

Error Trading

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Once the error trade is in the complete state, it will be listed under Error trade list. The trade can be L1 & L2 approved
Trade report can be obtained by right clicking the record.

Error Trading Notification



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Notification levels can be defined based on the error trade values. For each level a notification group can be assigned.

Error Trade notification group includes users who will get the summary of error trades which is defined at the institutional level.

Following the below path.

System --> Institution (Select the desired the Institution) --> Edit --> Configuration --> General --> Error Trade Email Notification. Select the desired notification group.

RELATED INFORMATION

[Institution](#)

Web Registration

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This section explains about the Admin Terminal functionality related to the International Trading. This includes managing the registration process of the International Customers from Trade web, enabling the Admin Terminal user to view and manage functions such as registration requests and subscriptions.

TOPICS IN THIS SECTION

[Customer Registration Requests](#)

[Customer Profile Update Requests](#)

[Market Subscription Requests](#)

[Manage Subscription Packages](#)

[Package Upgrade/Downgrade Requests](#)

Customer Registration Requests



[Web Registration >>](#)

Customer Registration Requests

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Use this procedure to view all Customer Registration requests submitted through "Trade web". Once an International customer opens an account from the Trade web and goes through the registration process, the registration request is received to the Order Management System and is displayed in Admin Terminal under the Customer Registration Requests section.

A Customer Registration Request record contains information such as Customer Name, Account Number, bank/bank branch, etc.. A record of a registered customer is displayed as "New" while incomplete customer registration attempts, are displayed as "Incomplete".

The Customer Registration Requests have to be approved by the respective Relationship Manager assigned to the relevant Institution.

PROCEDURE

To edit Customer Registration Requests:

1. On the **Web Registrations** menu, click **Customer Registration Requests**.
2. Right-click on the applicable record and then click **Edit**.
3. Do the necessary modifications and then click **Save**. A message appears confirming the action.

NOTE: Customer Registration Requests with Status as **New** or **Incompleted** can be edited.

To approve Customer Registration Requests:

1. On the **Web Registrations** menu, click

Customer Registration Requests.

- 2.Right-click on the applicable record and then click **Approve**.
- 3.On the Customer Registration window, verify if all mandatory data is filled. Click **Approve**.
- 4.Click **Yes** to confirm the approval. A message appears informing that the Status of the Customer Registration Request has changed to **Subscription Requested**.

NOTE: Customer Registration Requests with Status as **New** can be Approved.

To reject Customer Registration Requests:

- 1.On the **Web Registrations** menu, click **Customer Registration Requests**.
- 2.Right-click on the applicable record and then click **Reject**.
- 3.Click **Yes** to confirm the action.
- 4.Enter a reason for rejecting the customer

registration request and click **OK**. A message appears confirming the action.

- 5.Click **Yes** to send the reject notification to the customer. An Email is sent to the customer informing about the rejection of the registration request.

NOTE: Customer Registration Requests with Status as **New** can be Rejected.

Customer Profile Update Requests



Web Registration »

Customer Profile Update Requests

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Use this procedure to manage the Customer Profile Update Requests. Once an International Customer registers online, the customer can update the profile information such as Contact No, Name, Address etc.. The profile update request is received to the Order Management System and is displayed in Admin Terminal for Approval or Rejection. The Pending requests are displayed as Status "New".

PROCEDURE

To approve Profile Update Requests:

1. On the **Web Registrations** menu, click **Customer Profile Update Requests**.
2. Right-click on the applicable record and then click **Approve**. A new window appears displaying the

updates requested.

3. Click **Approve**. A message appears to confirm the action. Click **Yes**.
4. A message appears inquiring to send a notification for the customer on the update request approval. Click **Yes**. An email is sent to the customer.

To reject Profile Update Requests:

1. On the **Web Registrations** menu, click **Customer Profile Update Requests**.
2. Right-click on the applicable record and then click **Reject**.
3. Click **Yes** to confirm the action.
4. Enter a reason to reject the update request and click **OK**.
5. A message appears inquiring to send notification to the customer. Click **Yes**. An email is sent to the customer.

To edit Profile Update Requests:

- 1.On the **Web Registrations** menu, click **Customer Profile Update Requests**.
- 2.Right-click on the applicable record and then click **Edit**.
- 3.Do the necessary modifications needed and then click **Save**. A message appears confirming the action.

Market Subscription Requests



[Web Registration »](#)

Market Subscription Requests

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Use this procedure to view Market Subscription Requests of International Customers. When a customer is registered in the Trade Web, a Subscription Package is selected with market data feed options. If a customer makes a request to change market feed subscription, those requests are listed in this option.

Furthermore, if the relevant subscription service is not available at the time the customer is requesting for the market feeds, those requests are also listed as Market Subscription Requests.

PROCEDURE

To view Market Subscription Requests:

- On the **Web Registrations** menu, click **Market**

Subscription Requests. The subscription requests records are displayed with relevant customer names.

Manage Subscription Packages



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Manage Subscription Packages

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Use this procedure to Manage Subscription Packages used in International Trading. You can create subscription packages by specifying the Exchanges the customer can trade, along with the market feed levels. A default subscription package need to have been created initially when the customer goes through the registration process. Later on, the customer have the option to change the subscription package by selecting from the available list in the Trade Web. The Subscription Packages created under this option, are subsequently added to the available list.

PROCEDURE

To add Subscription Packages:

- 1.On the **Web Registrations** menu, click **Subscription Packages**.
- 2.On the Subscription Packages window, right-click and then click **Add**.
- 3.Enter a Name and a Description for the new Subscription Package. Click **Save**.
- 4.Click **Yes** to confirm the action. The Subscription Package is added with a new tab as **Exchanges**.

To add **Exchanges** for the Subscription Package:

- 1.On the **Exchanges** tab of the Subscription Package window, click on the entries of the **Available Exchanges** list and use  icon to select those as **Assigned Exchanges**.

NOTE: You can select multiple exchanges at once by pressing & holding on to the CTRL key of the keyboard.

- 2.Select the applicable **Feed Level** for each subscribed Exchange added.
- 3.Click **Save**.

To approve Subscription Packages:

- 1.On the **International Trading** menu, click **Subscription Packages**.
- 2.On the Subscription Packages window, right-click on the applicable record and then click **Approve**. A message appears confirming the action.

NOTE: The subscription package records with Status Pending can be Approved.

Package Upgrade/Downgrade Requests

[Web Registration »](#)



Package Upgrade/Downgrade Requests

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Use this procedure to manage Package Upgrade/Downgrade Requests of International Customers from Admin Terminal. When a customer makes a change in the selected Subscription Package, the request is received to the Order Management System and is displayed as a Pending entry under Package Upgrade/Downgrade Requests. You have the options to Approve/Reject pending entries and the relevant records are listed under the sub menus of this section.

The Package Upgrade/Downgrade Requests option contains the following sub menus.

Pending: This section lists all the Pending Upgrade/Downgrade Requests which are initially received to the Order Management System.

Approved: This section lists all the Approved Upgrade/Downgrade Requests. Once a pending entry is approved, the relevant record is moved to the Approved list.

Rejected: This section lists all the Rejected Upgrade/Downgrade Requests. Once a pending entry is rejected, the relevant record is moved to the Rejected list.

All: This section lists all the Upgrade/Downgrade Requests with all statuses.

PROCEDURE

To approve Package Upgrade/Downgrade Requests:

1. On the **Web Registrations** menu point to Package upgrade/Downgrade Requests, click on **Pending**.
2. On the new window that appears, right-click on an applicable record and then click **Approve**. The **Exchange Configurations** window opens. (Refer to figure 1)
3. Click **Approve**. A message appears inquiring to confirm the action. Click **Yes**. The Pending record is moved to the Approved section.

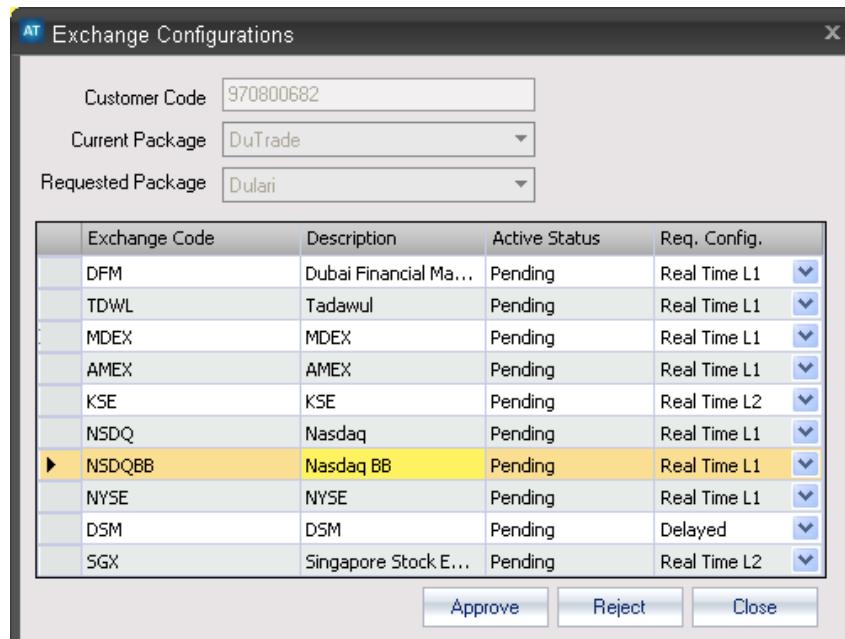


figure 1: Approving a package Upgrade/Downgrade request

To reject Package Upgrade/Downgrade Requests:

- 1.On the **Web Registrations** menu point to Package upgrade/Downgrade Requests, click on **Pending**.
- 2.On the new window that appears, right-click on an applicable record and then click **Reject**.
- 3.Click **Yes** to confirm the action. Enter a reason for the rejection of the request and click **OK**. A message appears confirming the rejection.
- 4.Click **Yes** to Send the reject notification to the customer. An email is sent to the customer informing about the rejection of the Upgrade/Downgrade request.

Exporting Daily Trades & Reconciliation



Exporting Daily Trades & Reconciliation

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This section explains on Exporting Daily Trades of the brokerage and also about the Reconciliation processes of the trading data.

TOPICS IN THIS SECTION

[View & Export Daily Trades](#)
[Reconciliation](#)

View & Export Daily Trades



Exporting Daily Trades & Reconciliation »

View & Export Daily Trades

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This section explains on Exporting trade data of the brokerage on daily basis. You can view and export daily trades to a file from this option.

TOPICS IN THIS SECTION

[Daily Trades](#)

[Daily Holdings](#)

[Daily Trades by Exchange](#)

[MFS Customer Custodian Type](#)

Daily Trades

Exporting Daily Trades & Reconciliation » View & Export Daily Trades »



Daily Trades

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Use this procedure to View and Export Daily Trades of the Brokerage for a selected date. All completed transactions with Status as "Filled", are displayed when you specify a date range. A daily trades record consists of information such as Order No, Symbol, Exchange, total value of stocks etc..

Also, you have the option to export this data to a file from the shortcut menu of a displayed record.

PROCEDURE

To view Daily Trades:

- On the **Tools** menu point to **Export Data**, click **Daily Trades**. All executed trades for the specified date are displayed in a page view.

To export Daily Trades to a file:

- Right-click on the **Daily Trades** window and then click **Export to Text File**. All records of the selected page are exported to a text file.

Daily Holdings

Exporting Daily Trades & Reconciliation » View & Export Daily Trades »



Daily Holdings

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Use this procedure to View & Export holdings of a brokerage. Holding values are displayed Symbol wise as per the exchanges traded.

PROCEDURE

To export Holdings records to a file:

1. On the **Tools** menu point to **Export Data**, click **Daily Holdings**.
2. On the Daily Holdings window, right-click and then click **Export to Text File**. The records of the current page are displayed in a text file.

Daily Trades by Exchange

Exporting Daily Trades & Reconciliation » View & Export Daily Trades »



Daily Trades by Exchange [Top](#) [Previous](#) [Next](#)

Use this procedure to View & Export Daily Trades by Exchange. From this option you can view the Daily Trades executed for the particular selected exchange . Also you can Export the daily trades records to a file.

PROCEDURE

To View Daily Trades by Exchange:

- 1.On the **Tools** menu point to **Export Data**, click **Daily Trades by Exchange**.
- 2.On the **Select Exchange** window, double-click on the relevant exchange to view trades. The trade records are displayed for the specified date on the **Daily Trades** window.

To Export Daily Trades by Exchange to a file:

- Right-click on the **Daily Trades** window, and then click **Export to Text File**. A dialog box appears to save the Daily Trade records to a text file.

MFS Customer Custodian Type

Exporting Daily Trades & Reconciliation » View & Export Daily Trades »



MFS Customer Custodian Type

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Use this procedure to export MFS customer custodian types.

PROCEDURE

To export MFS Customer Custodian Types:

1. On the **Tools** menu point to **Export Data**, click **MFS Customer Custodian Type**.
2. On the Export Custodian Types window, select the required exchanges and click **Export**. The records are displayed in a text file.

Reconciliation



Exporting Daily Trades & Reconciliation »

Reconciliation

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This section explains on trading data reconciliation. different types of reconciliation such as Pension Trade Reconciliation and Cash Reconciliation are discussed here. Also this explains on loading EOD futures file to the system.

TOPICS IN THIS SECTION

- [Load Futures EOD files](#)
- [Executing Broker Reconciliation](#)
- [EOD Reconciliation](#)
- [Pension Trade Reconciliation](#)
- [Cash Reconciliation](#)
- [Master & Sub Cash Balance](#)

Load Futures EOD files



Exporting Daily Trades & Reconciliation » Reconciliation »

Load Futures EOD files

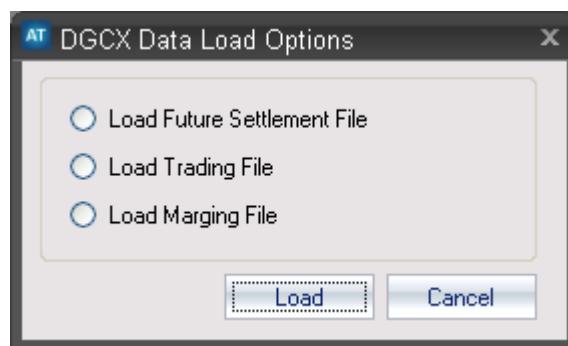
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Use this procedure to Load Futures EOD file to the system. You can select the type of EOD file in a csv format and upload it using the Admin Terminal.

PROCEDURE

To load EOD futures files:

1. On the **Tools** menu point to **Reconciliation**, then **EOD Futures** and then click on **Load Futures EOD files**.
2. Choose a file type from the window that appears and click **Load**. (Refer to figure 1) A dialog box appears to load the file from a location.



Executing Broker Reconciliation



Exporting Daily Trades & Reconciliation » Reconciliation »

Executing Broker Reconciliation

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Use this procedure to generate a CSV file, which is used to do the EOD reconciliation with executing broker.

PROCEDURE

To load Executing Broker Reconciliation files:

1. On the **Tools** menu point to **Reconciliation**, and click **Executing Broker Reconciliation**.
2. Enter the below filtering criteria to generate the CSV file.
 - Type
 - Execution Broker
 - Currency
 - from Date
 - To Date

EOD Reconciliation



Exporting Daily Trades & Reconciliation » Reconciliation »

EOD Reconciliation

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Use this procedure to reconcile EOD data by referring to an Exchange file. At the end of the day, exchanges provide a report on the transactions executed by the brokerage houses. The brokerage house is required to upload the file to reconcile the data, assuming the details in the exchange file are accurate and file reconciliation data is divided into two categories called holdings and cash.

PROCEDURE

To reconcile EOD data:

- 1.On the **Tools** menu, point to **Reconciliation** and click **EOD Reconciliation**.
- 2.From the **Exchange** drop down list select an Exchange.
- 3.Select the **Exchange data File** option and the

relevant Execution table option. (T11, T06, T05)

4. Using **Templates** option, create a data file or select a data file from the Browse option.

5. Click **Search**.

Pension Trade Reconciliation



Exporting Daily Trades & Reconciliation » Reconciliation »

Pension Trade Reconciliation

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Use this procedure to select and load a Pension Trade Reconciliation file.

PROCEDURE

To Load Pension Trade reconciliation file:

1. On the **Tools** menu, point to **Reconciliation** and click **Pension Trade Reconciliation**.
2. Select a file from an available location and click **Open**.

Cash Reconciliation



Exporting Daily Trades & Reconciliation » Reconciliation »

Cash Reconciliation

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Use this procedure to view records of Master - Sub Cash Reconciliation.

PROCEDURE

To view Cash Reconciliation:

- On the **Tools** menu, point to **Reconciliation** and click **Cash Reconciliation**. The Master - Sub Cash Reconciliation window opens displaying the relevant Master Account and Sub Account details.

Master & Sub Cash Balance



Exporting Daily Trades & Reconciliation » Reconciliation »

Master & Sub Cash Balance

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Use this procedure to reconcile the balance between Master Cash Accounts and Sub Cash Accounts. The accounts which are with different balances are highlighted in Red.

PROCEDURE

To view Master & Sub Cash Balance:

- On the **Tools** menu, point to **Reconciliation** and click **Master & Sub Cash Balance**. The Master & Sub Cash Accounts Balance Reconciliation window opens displaying the relevant details.

Generating Reports

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This section explains on different types of reports that can be viewed from the Admin Terminal. From the **Reports** menu, the data records for different categories such as Finance, Holdings, Customers, and Orders are listed.

When you refer to the applicable type of report, generally it is loaded as a separate window to view and some have options to print report or export to a file.

TOPICS IN THIS SECTION

- [Orders](#)
- [Holdings](#)
- [Customers](#)
- [Daily Summary](#)
- [Financial Inquiries](#)

Customers with Wrong Cash Balances

Margin Trading Reports

Stock Executions

Mutual Funds

Exception Reports - Customers

Exception Reports - Orders

Exception Reports - Bank Accounts

Dealer Order Reports

Audit Reports

Regulatory

Revenue Reports

Orders



Generating Reports »

Orders

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The Orders option in the Reports menu holds reports related to different types of orders placed in the system. You can refer to the particular order type and view the relevant records by selecting a date range.

[Orders for Dealers](#)

[Order Report](#)

[View Execution Log](#)

[Mutual Fund Orders](#)

[Order and Trade Statistics](#)

[Exchange Wise Order and Trade Statistics](#)

All Orders, Open Orders, Executed Orders

From these options you can view records of the orders of particular category, which contain similar options from the shortcut menu of

an order record. To use the below options, refer the [Working With Orders](#) section.

[Trade Report](#)

[Trades for Symbols](#)

All Orders



Generating Reports » Orders »

All Orders

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Use this procedure to view the orders placed during a selected time period. The window displays the order status, order value, commission, customer details etc. Moreover, using the Trades for Symbol option, you can generate a report on the trades executed by a customer on a selected symbol for a selected date.

PROCEDURE

To generate the All Orders report:

1. On the **Reports** menu point to **Orders**, click **All Orders**.
2. In the **All Orders** window, right click and click **Trade Report**.

**To generate the Trades for
Symbol report:**

- Right-click on the record and click **Trades for
Symbol**.

Open Orders

Generating Reports » Orders »



Open Orders

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Use this procedure to view the orders that are yet to be filled during a selected time period.

PROCEDURE

To generate the Open Orders report:

1. On the **Reports** menu point to **Orders**, click **Open Orders**.
2. Right-click in the **Open Orders** window, and click **Trade Report**.

To generate the Trades for Symbol report:

- Right-click on the record and click **Trades for Symbol**.

Executed Orders



Generating Reports » Orders »

Executed Orders

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Use this procedure to view the orders that are filled or partially filled.

PROCEDURE

To generate the Executed Orders report:

1. On the **Reports** menu point to **Orders**, click **Executed Orders**.
2. Right-click in the **Executed Orders** window, and click **Trade Report**.

To generate the Trades for Symbol report:

- Right-click on the record and click **Trades for Symbol**.

Orders for Dealers



Generating Reports » Orders »

Orders for Dealers

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Use this procedure to view the orders placed by dealers from the Dealer Terminal. Once you specify a date range, a report is generated displaying record of orders as per each dealer for orders executed.

PROCEDURE

To generate Orders for Dealers report:

1. On the **Reports** menu point to **Orders**, click **Orders for Dealers**. The **Select Date Range** window appears. (Refer to figure 1)
2. On the **Select Date Range** window, select a **Starting Date** and an **Ending Date**. This is to specify the duration to generate the records.
3. Click **OK**. The **Orders for Dealers Report** opens. You can use the icon to navigate through the pages of the report.

Optional:

4. To Print the report, click on  icon.

5. To Export the report to a file, click on  icon.



figure 1: Selecting the date range to view Orders for Dealers.

Order Report



Generating Reports » Orders »

Order Report

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Use this procedure to generate Order Report. You can generate a report of orders by specifying The Company, Position and the Symbol traded.

NOTE: You need to have added the Companies and the Designations under the Inside Information section of the Master Data menu.

PROCEDURE

To generate Order Report:

1. On the **Reports** menu point to **Orders**, click **Order Report**. The **Order Report** window appears. (Refer to figure 1)
2. Select the **Company**, **Position** and the applicable **Symbol**.
3. Select the date range for the applicable time

period for the report.

4. Click **OK**. The **Order Report** opens displaying the relevant records.

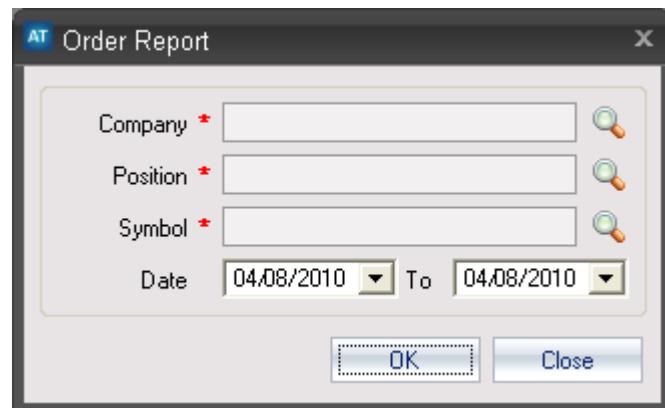


figure 1: Entering details to generate Order Report.

View Execution Log



Generating Reports » Orders »

View Execution Log

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Use this procedure to view Execution Log. You can select an Institution to view the relevant order details. By selecting a date range, you can view records of filled and partially filled orders details for the selected Institution.

PROCEDURE

To view Execution Log:

1. On the **Reports** menu point to **Orders**, click **Execution Log**.
2. On the **Institutions** window, double-click on the relevant Institution record. The **Execution Log** window opens displaying the Partially Filled and Filled trades for the selected date range.

Mutual Fund Orders



Generating Reports » Orders »

Mutual Fund Orders

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Use this procedure to view records of Mutual Funds from Admin Terminal. Mutual Fund Orders for Buy/Sell transactions that are listed in the Order List of the Trading menu, can be matched if a matching opposite side trade is available. Such orders which have been subjected to matching are displayed under the Reports menu as Filled or Partially Filled Mutual funds.

From the Mutual Funds Orders window, you can view the Filled Quantity, Remaining Quantity and the Order status of each order.

PROCEDURE

To view Filled or Partially Filled Mutual Funds Orders:

- On the **Reports** menu point to **Orders**, then **Mutual Fund Orders**, click **Partially Filled or**

Not Filled Orders. The relevant records for the specified date range are displayed in a new window.

Order and Trade Statistics



Generating Reports » Orders »

Order and Trade Statistics [Top](#) [Previous](#) [Next](#)

Use this procedure to view a summary of the number of orders placed for each exchange, number of trades executed and a channel wise breakdown.

PROCEDURE

To view Order and Trade Statistics:

1. On the **Reports** menu point to **Orders**, and click **Order and Trade Statistics**.
2. On the **Select Date Range** window, select the required dates. The relevant records for the specified date range are displayed in a new window.

Exchange Wise Order and Trade Statistics

Generating Reports » Orders »



Exchange Wise Order and Trade Statistics

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Use this procedure to view the number of clients traded exchange wise with the number of orders and trades executed.

PROCEDURE

To view the Exchange Wise Order and Trade Statistics:

1. On the **Reports** menu point to **Orders**, and click **Exchange Wise Order and Trade Statistics**.
2. Specify the date range. The relevant records are displayed in the window.

Customer VAT Invoice



Generating Reports » Orders »

Customer VAT Invoice

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Use this procedure to view a VAT
Invoice of a selected customer.

PROCEDURE

To view a VAT invoice of a customer.

1. On the **Reports** menu point to **Orders**, and click **Customer VAT Invoice**.
2. Specify the date range, select the desired customer and currency.
3. Report will be generated with the necessary values.

Another way to view this is by

Order list -- > Right click a record --> VAT invoice

Holdings

Generating Reports »



Holdings

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The Holdings option in the Reports menu holds reports related to the following:

[Holdings Master](#)

[Holdings Archive Summary](#)

[Holdings Log](#)

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Holdings Master

Generating Reports » Holdings »



Holdings Master

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Use this procedure to view Holdings Master. The Holdings Master displays records of the total Holdings positions per each symbol traded.

From the shortcut menu of a Holdings Master record, you have options to view a list of Holdings transactions by each customer, and also the Holdings Log displaying the holdings transactions of each symbol.

PROCEDURE

To view Holdings Master:

- On the **Reports** menu point to **Holdings**, click **Holdings Master**. The Holdings Master records are displayed.

To view Customer Holdings:

- 1.On the **Reports** menu point to **Holdings**, click **Holdings Master**.
- 2.On the Holdings Master window, right-click on an applicable record and then click **View Customer Holdings**. The Customer Holdings for the particular symbol are displayed.

To view Holdings Transactions:

- 1.On the **Reports** menu point to **Holdings**, click **Holdings Master**.
- 2.On the Holdings Master window, right-click on an applicable record and then click **View Transactions**. The Holdings Log for the selected symbol is displayed.

Holdings Archive Summary



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Holdings Archive Summary

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Use this procedure to view Holdings Archive Summary. When a date range is specified, a summarized view of total Net Holdings and the relevant total Net Value is displayed for each symbol.

From the shortcut menu of a Holdings Archive Summary record, you have options to view a list of Holdings transactions by each customer, and also the Holdings Log displaying the holdings transactions of each symbol.

PROCEDURE

To view Holdings Archive Summary:

- On the **Reports** menu point to **Holdings**, click **Holdings Archive Summary**. The Holdings archive records are displayed for the selected date range.

To view Customer Holdings:

1. On the **Reports** menu point to **Holdings**, click **Holdings Archive Summary**.
2. On the Holdings Archive Summary window, right-click on an applicable record and then click **View Customer Holdings**. The Customer Holdings for the particular symbol are displayed.

To view Holdings Transactions:

1. On the **Reports** menu point to **Holdings**, click **Holdings Archive Summary**.
2. On the Holdings Archive Summary window, right-click on an applicable record and then click **View Transactions**. The Holdings Log for the selected symbol is displayed.

Holdings Log

Generating Reports » Holdings »



Holdings Log

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Use this procedure to view Holdings Log. When a date range is specified, the total Holdings Transactions records are displayed for the relevant symbols.

PROCEDURE

To view Holdings Log:

- On the **Reports** menu point to **Holdings**, click **Holdings Log**. The Holdings log opens for the selected date range.

Share Transfers



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Share Transfers

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Use this procedure to view records of Stock Adjustments and Holding Transfers done from the Admin Terminal. You can perform Holdings Transfers from customers' Security Accounts and also Stock Adjustments from Trading Accounts. These transfers are sent through two levels of approvals. The records of such approved transactions are displayed under the Share Transfers option from the Holdings section of the Reports menu.

These records contain a column named Narration which displays the type of transaction such as Stock Adjustment, Bonus Issue, Share deposit/withdraw.

PROCEDURE

To view Share Transfers:

- On the **Reports** menu point to **Holdings**, click **Share Transfers**. The Share Transfer window opens displaying the relevant records for the selected date range.

Foreign Holdings

Generating Reports » Holdings »



Foreign Holdings

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Use this procedure to view the total Holdings populated among the investors exchange wise. By selecting an Exchange, you can view the percentage of the possession of holdings by foreign investors out of the total market capitalization of each traded symbol.

Also, this option displays the Total Market Value for each symbol and the Total Holdings Value with the percentage held by the local investors. The "Other %" column displays the percentage held by foreign investors.

PROCEDURE

To view Foreign Holdings:

1. On the **Reports** menu point to **Holdings**, click **Foreign Holdings**.

2. On the **Select Exchange** window, double-click on an applicable exchange record. A new window opens displaying records of the symbols traded with percentages of holdings population among local and foreign investors.

Holdings by Symbol



Generating Reports » Holdings »

Holdings by Symbol

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Use this procedure to view a report of Holdings by Symbol. When you specify the Exchange, Symbol and the Date, A report generates with the relevant holdings quantities and the total market values as per each customer.

PROCEDURE

To view Holdings by Symbol:

- 1.On the **Reports** menu point to **Holdings**, click **Holdings For Symbols**. (Refer to figure 1)
- 2.Select the applicable Exchange, Date and Symbol.
- 3.Click **OK**. The **Holdings Summary - By Security** report opens displaying the holdings records of the selected Symbol for the selected date.

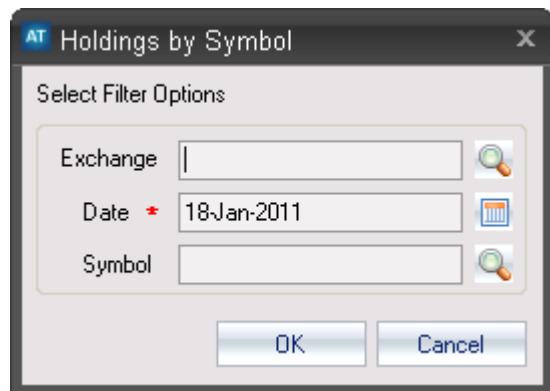


figure 1: selecting details to view Holdings by Symbol

Portfolio History



Generating Reports » Holdings »

Portfolio History

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Use this procedure to view Portfolio History of customers. By specifying a date, you can view a list of customers with holdings history. The shortcut menu option of a customer record displays the holdings positions history with symbols traded.

PROCEDURE

To view Portfolio History:

1. On the **Reports** menu point to **Holdings**, click **Portfolio History**. The **Select Date** window opens. (Refer to figure 1)
2. Select a date and click **OK**. The customer records are displayed in a new window.
3. Right-click on a record and then click **View Portfolio Summary**. A new window opens with

Customer Portfolio positions of the symbols traded.



figure 1: selecting details to view Holdings by Symbol

Portfolio History - Trading Account wise

Generating Reports » Holdings »



Portfolio History - Trading Account wise

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This report provides history data on symbol level for each holding of each customer. The report can be generated for a given date range and date wise data is shown. The Cash Balance and Portfolio Value are closing values of selected date.

PROCEDURE

To view Portfolio History:

1. On the **Reports** menu point to **Holdings**, click **Portfolio History**. The **Select Date** window opens. (Refer to figure 1)
2. Select a date and click **OK**. The customer records are displayed in a new window.
3. Right-click on a record and then click **View**

Portfolio Summary. A new window opens with Customer Portfolio positions of the symbols traded.

Customers

Generating Reports »



Customers

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The Customers option in the Reports menu holds reports related to the following:

[Customer Performance](#)

[Customer Grades](#)

[Pending Customers](#)

[POA Report](#)

[Portfolio Created](#)

[Online Transfer Enabled Customers](#)

[Active Accounts](#)

[Customer Registration Summary](#)

[Document Expired Customers](#)

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[Customer Trades](#)

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[Customer Trade Limits](#)

[Customer Trading Activity Report](#)

[Customer Trading Based on A/C Balance](#)

[Customer Trading Exposure Limits](#)

[Customer Reports Bulk Print](#)

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[Ageing Report](#)

[Customer Cash Balances](#)

Customer Performance



Generating Reports » Customers »

Customer Performance

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Use this procedure to generate Customer Performance Report. By selecting an applicable date range, the customer records are listed with cash balances and Holdings values to get an overview of the customers' trading performance.

PROCEDURE

To view Customer Performance Report:

1. On the **Reports** menu point to **Customers**, click **Customer Performance**.
2. On the Customer Performance window, right-click and then click **Process Report**. (Refer to figure 1)
3. Select the date format from one of the available option buttons as **Month**, **Year** or **Date Range**.
4. Select the applicable **Currency** the customers use for trading.

5. Click **OK**. The customer records are displayed with Cash amounts and Portfolio Values.



figure 1: selecting criteria to view Customer Performance Report.

Customer Grades

Generating Reports » Customers »



Customer Grades

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Use this procedure to view Customer Grades. Each customer registered in the brokerage is given a grading based on the particular Cash Account balance. When you use this option, each customer record is displayed with the grading and the relevant Account Balance. The grading can be viewed as A, B, C, D etc.. along with the Description column displaying Account Balance range applicable for each grading.

PROCEDURE

To view Customer Grades:

- On the **Reports** menu point to **Customers**, click **Customer Grades**. The customer records are displayed with the grading.

Optional: You can sort by Account Balance by clicking on the **Account Balance** column name to easily go through the customer grading.

Pending Customers



Generating Reports » Customers »

Pending Customers

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Use this procedure to view Pending Customer records. In certain scenarios, Customer Accounts can be created initially with minimum details to be approved later. Also, if a modification is done on a created customer account, the Status changes to Pending to be approved again. From this option all such Pending customer records are filtered and displayed.

NOTE: The same type of records can be accessed from the Customers menu as well by using Status filter as "Pending". Also, the same options are available from the shortcut menu of a Pending Customer record.

PROCEDURE

To view Pending Customers:

- On the **Reports** menu point to **Customers**, click

Pending Customers. The Pending Customer records are displayed.

POA Report



Generating Reports » Customers »

POA Report

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Use this procedure to view the list of customers for whom Power of Attorneys (POA) are assigned. The Customer records are displayed with the name of the POA assigned for the particular customer. However, if more than one POA is assigned for one customer, the POA names are not displayed with the record.

A link to the "Customer Summary" is available from the shortcut menu of each record displayed in this report.

PROCEDURE

To view POA report:

- On the **Reports** menu point to **Customers**, click **POA Report**. The Power of Attorney Report opens in a new window.

Portfolio Created



Generating Reports » Customers »

Portfolio Created

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Use this procedure to view Portfolio Created Report. By specifying a date range, you can view records of the created Security Accounts (Portfolio Accounts) of customers in Admin Terminal. Each record displays the particular Customer Name along with the Portfolio Number and the Date created.

PROCEDURE

To view Portfolio Created Report:

- On the **Reports** menu point to **Customers**, click **Portfolio Created**. The **Portfolio Created Report** opens for the specified date range.

Online Transfer Enabled Customers

Generating Reports » Customers »



Online Transfer Enabled Customers

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Use this procedure to view Online Transfer Enabled Customers. When creating a Customer Account, you can enable the "Online Transfer" option on the Bank Account of the customer. Such customer records are displayed under this option with relevant Customer Name, Bank Account Number, Bank Name and the Status Changed Date.

PROCEDURE

To view Online Transfer Enabled Customers:

- On the **Reports** menu point to **Customers**, click **Online Transfer Enabled Customers**. The relevant records are displayed.

Active Accounts



Generating Reports » Customers »

Active Accounts

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Use this procedure to generate Active Accounts Report. For a specified date range, you have options to enter certain criteria that determine a Customer's trading depth. Once you specify the needed criteria such as Number of Orders, Number of Trades and Total Turnover, the system filters the customer records based on the given criteria and displays a report.

PROCEDURE

To view Active Accounts Report:

1. On the **Reports** menu point to **Customers** and click **Active Accounts**.
2. On the Active Accounts Report window, select the required time period using the calendar.

3.Enter the required parameters.

4.Click the **Refresh**  button.

Customer Registration Summary

Generating Reports » Customers »



Customer Registration Summary

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Use this procedure to generate below details for a given date range with regard to online registrations.

- Total Registration Requests
- Approved Registration Requests
- Pending Registration Requests
- Incomplete Registration Requests

PROCEDURE

To view Customer Registration Summary:

1. On the **Reports** menu point to **Customers** and click **Customer Registration Summary**.
2. On the Select Date Range window, select the required time period using the calendar.

The report generates with the above details.

Document Expired Customers



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Document Expired Customers

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Use this procedure to list down the customers with expired documents (e.g.: passport, driving license) within a given period.

PROCEDURE

To view Document Expired Customers:

1. On the **Reports** menu point to **Customers** and click **Document Expired Customers**.
2. On the Document Expired Customers window, use the **Filter** options and select the required time period.

Uploaded Document Status



Generating Reports » Customers »

Uploaded Document Status

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Use this procedure to generate customer-wise information about documents uploaded to the system such as passports, contracts, agreements etc..

PROCEDURE

To view Uploaded Document Status:

1. On the **Reports** menu point to **Customers** and click **Uploaded Document Status**.
2. On the Uploaded Document Status window, use the **Filter** options and select the required time period.

Document Update History



Generating Reports » Customers »

Document Update History [Top](#) [Previous](#) [Next](#)

Use this procedure to get a count on below for the selected date range.

- updated documents
- expired documents
- non updated documents

PROCEDURE

To view Document Update History:

- 1.On the **Reports** menu point to **Customers** and click **Document Update History**.
- 2.On the Document Update History window, use the **Filter** options and select the required time period.

Customer Trades



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Customer Trades

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Use this procedure to generate reports on a customer's trades. Using this option you can specify a date range and a customer to view the Daily Report and the Monthly Report for the trade summary of each day traded. These records display Total Turnover, Net Settle and other commission charges.

The daily report is generated with records of trades daily basis, while the monthly report displays trade records monthly with total amounts for each month within the specified date period.

PROCEDURE

To view Customer Trades:

1. On the **Reports** menu point to **Customers**, click **Customer Trades**.

- 2.On the Customer Trades window, select a **Starting Date** and an **Ending Date**.
- 3.Select the **Customer Name** and the applicable **Currency**.
- 4.Click on Refresh  icon. The customer trade records are displayed.

To view Daily Report of Customer Trades:

- Click On **Daily Report**. The **Customer Trades Report** opens in a new tab displaying the total turnovers and commissions for the dates included.

To view Monthly Report of Customer Trades:

- Click On **Monthly Report**. The **Customer Trades Report** opens in a new tab displaying the total turnovers and commissions monthly basis for the date range specified.

Customer Trades DBFS



Generating Reports » Customers »

Customer Trades DBFS

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This report contains daily and monthly details of DBFS customer trade details. You can select a date period and then a customer to view this report. Daily report shows date-wise details of turnover, net settle, commission and trades of the selected customer, and the monthly report shows details monthly-wise.

PROCEDURE

To view Customer Trades DBFS:

1. On the **Reports** menu point to **Customers**, click **Customer Trades DBFS**.
2. On the Customer Trades window, select a **Starting Date** and an **Ending Date**.
3. Select the **Customer Name** and the applicable **Currency**.

4.Click on Refresh  icon. The Customer Trades DBFS records are displayed.

Customer Trade Limits



Generating Reports » Customers »

Customer Trade Limits

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Use this procedure to view Customer Trade Limits. For certain customers, a Trading Limit is specified with an expiry date from the Cash Account to perform Buy Orders. From this option, you can view records of customer trading limits with utilized percentages and cash balances.

If a customer exceeds the trading limit utilization more than a certain level, the particular record is indicated with red color and also the details can be viewed from the shortcut menu of a Customer Trade Limit record.

PROCEDURE

To view Customer Trade Limits:

1. On the **Reports** menu point to **Customers**, click

Customer Trade Limits.

- 2.On the Customer Trade Limits window, right-click on an applicable record and then click **Detail**. The Customer Trade Limits are displayed along with the Utilization and the Cash Balance.

To view Trade Limit details of all customers:

- 1.On the **Reports** menu point to **Customers**, click **Customer Trade Limits**.
- 2.On the Customer Trade Limits window, right-click and then click **Show Details All**. The **Customer Trade Limits - Details** window opens displaying Trade Limit information of all customers.

Customer Trading Activity Report



Generating Reports » Customers »

Customer Trading Activity Report

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This is a monthly report which calculates Traded Value for the month and based on start of month Net worth, calculate no. Of cycles. This shows the number of consumed cycles, traded value with respect to Net worth at the beginning of the month.

(cycles = traded value / cash at the beginning of the month + holdings value at the beginning of the month)

PROCEDURE

To view Customer Trade Limits:

1. On the **Reports** menu point to **Customers**, click **Customer Trading Activity Report**.

2.On the Select Date Range window, select the required time period and click **OK**.

Customer Trading Based on A/C Balance

Generating Reports » Customers »



Customer Trading Based on A/C Balance

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This is a monthly report which calculates Traded Value for the month and based on start of month Net worth, calculate no. Of cycles. This shows the number of consumed cycles, traded value with respect to Net worth at the beginning of the month.

(cycles = traded value/ cash at the beginning of the month + holdings value at the beginning of the month)

Apart from number of cycles, this report has implemented a logic to calculate rebates for different ranges of customer.

PROCEDURE

**To view Customer Trading
Based on A/C Balance:**

1. On the **Reports** menu point to **Customers**, click **Customer Trading Based on A/C Balance**.
2. On the Range Selector window, enter the required details and click **OK**.

Customer Trading Exposure Limits



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Customer Trading Exposure Limits

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Use this procedure to generate details about customers having trading limits. This is used to check the current exposure of trading limits given to customers in the current institution.

PROCEDURE

To view Customer Trading Exposure Limits:

1. On the **Reports** menu point to **Customers**, click **Customer Trading Exposure Limits**.
2. On the Currency Selector window, select the currency and click **OK**.
3. Right-click on a record and view the customer's **Cash Account Level Details** and **Sub Account Level Details**.

Customer Reports Bulk Print



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Customer Reports Bulk Print

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By generating this report, you can print cash statement or portfolio summary of a single customer or multiple customers.

PROCEDURE

To use Customer Reports Bulk Print:

1. On the **Reports** menu point to **Customers**, click **Customer Reports Bulk Print**.
2. Right-click on a record and select the required option.

Customer Cash Balance History



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Customer Cash Balance History

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Use this procedure to view the cash balance in the customers' Cash Accounts.

PROCEDURE

To view Customer Cash Balance History:

- On the **Reports** menu point to **Customers**, click **Customer Cash Balance History**.

Customer Cash & Portfolio History

Generating Reports » Customers »



Customer Cash & Portfolio History

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Use this procedure to generate daily updates on portfolio and cash account balance for each customer's security account.

PROCEDURE

To view Customer Cash & Portfolio History:

1. On the **Reports** menu point to **Customers**, click **Customer Cash & Portfolio History**.
2. Select the applicable date range to generate the report.
3. Click on Refresh  icon. The Customer Cash & Portfolio History records are displayed.

Customers Transactions Log



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Customers Transactions Log

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Follow this procedure to generate the Customers Transactions Log.

PROCEDURE

To view Customer Trade Limits:

1. On the **Reports** menu point to **Customers**, click **Customers Transactions Log**.

Cash Utilization

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Cash Utilization

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Use this procedure to generate
Cash Utilization Report.

PROCEDURE

To view Customer Performance Report:

1. On the **Reports** menu point to **Customers**, click **Master Sub Cash Utilization**.

To adjust the value for cash utilization notification value:

1. On the **System** menu, click **Institutions**, and select **Configuration** tab and ten **GTN** tab. Enter the value and click **Save**.

Ageing Report



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Ageing Report

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Use this procedure to view Customer Ageing Report. Certain Customers are categorized as either Debtors or Creditors depending on the cash transactions done with the dealers/brokerage. The Ageing report displays the applicable customer records with the ageing periods of the debt/credit within a selected date range.

The cash amounts are displayed in columns such as 0 to 2, 3 to 5 and 6 to 30 which defines the ageing period for the Debt/Credit amount.

PROCEDURE

To view Ageing Report:

1. On the **Reports** menu point to **Customers**, click **Ageing Report**. The **Select Report Range**

window opens. (Refer to figure 1)

2. Select the applicable **Type** as Debtors or Creditors. Select the applicable date range to generate the report.
3. Click **OK**. The **Ageing Report** appears in a new tab.

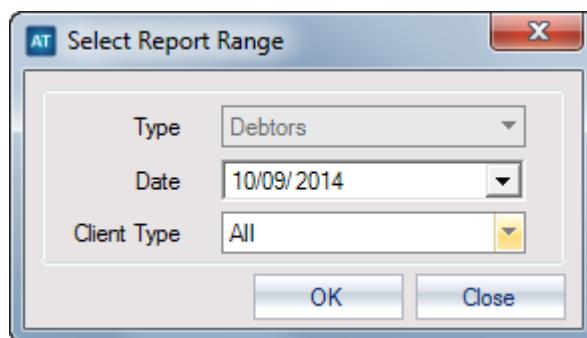


figure 1: Selecting details to generate the Ageing Report.

Customer Cash Balances



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This detailed report provides customer cash balances along with many other information of customers in all institutions.

PROCEDURE

To view Customer Cash Balances:

1. On the **Reports** menu point to **Customers**, click **Customer Cash Balances**.
2. On the Cash Balance Report Parameters window, select the Date, Currency and Cash A/C Types.
3. Click **OK**. The **Customer Cash Balances** appear in a new tab.

Closed Accounts



Generating Reports » Customers »

Closed Accounts

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This detailed report provides closed accounts.

PROCEDURE

To view Customer Cash Balances:

1. On the **Reports** menu point to **Customers**, click **Closed Accounts**.

Monthly Customer VAT Invoices



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Monthly Customer VAT Invoice

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Record of customers who has monthly VAT summations. This includes 3 commision components ; Exchange Commision, Broke Commision, SCA Commision.

To view this Reports --> Customers --> Monthly Customer VAT Invoice then right click a record -- > Select VAT invoice

Daily Summary

Generating Reports »



Daily Summary

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The Daily Summary option in the Reports menu holds reports related to the following:

[Daily Cash Balances](#)

[Daily Status Summary Report](#)

[Daily Trading Summary - Symbol Wise](#)

Daily Cash Balances



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Daily Cash Balances

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Use this procedure to view Daily Cash Balances of the Cash Accounts in Admin Terminal. By specifying a date, you can view the Cash Balances of each Cash Account displayed. As the Cash Balances of customer Cash Accounts are updated frequently, from this option you can specify any past date to view the Cash Balance for the particular day.

PROCEDURE

To view Daily Cash Balances:

- On the **Reports** menu point to **Daily Summary**, click **Daily Cash Balances**. The Daily Cash Balances window opens displaying the relevant Cash Accounts records for the selected date range.

Daily Status Summary Report



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Daily Status Summary Report

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Use this procedure to view Daily Status Summary Report. When you use this option, a report opens displaying a summary of total Turnovers and Trades as per the exchanges connected to the trading system. The summary is displayed for the current date as well as for the total period from the beginning of the month, up to the current date separately. You can navigate through the page view of the report to view all Summary reports.

PROCEDURE

To view Daily Status Summary Report:

- On the **Reports** menu point to **Daily Summary**, click **Daily Status Summary Report**. The Summary Report opens displaying the Daily Status Summary for each exchange. (Refer to figure 1)

	24-Jan-2011	From : 01-Jan-2011
Exchange Turnover	0.00	85,261,179.860.00
DBFS Turnover	0.00	118,523,959.00
Commission	0.00	0.00
# Exchange Trades	0	2,774,076
# DBFS Trades	0	83
% Turnover	0.00000000	0.13901281
% Share	0.00000000	0.00299199

Daily Trading Summary - Symbol Wise

Generating Reports » Daily Summary »



Daily Trading Summary - Symbol Wise

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Use this procedure to view Daily Trading Summary of Symbols traded. For a selected date, the total Buy/Sell quantities and the relevant total values of each Symbol are displayed.

PROCEDURE

To view Daily Trading Summary - Symbol Wise:

- On the **Reports** menu point to **Daily Summary**, click **Daily Trading Summary - Symbol Wise**. The traded symbols are displayed with the relevant information for the selected date.

Financial Inquiries



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Financial Inquiries

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The Financial Inquiries option in the Reports menu holds reports related to the following:

[Turnover Report](#)

[FX Gain Loss Report](#)

[Master Account Summary](#)

[Discounted Commission Report](#)

[Customer-wise Commission Report](#)

[MBS Commission Report](#)

[Activity Report for Corporate Clients](#)

[Revenue Breakdown Report](#)

[CMA Daily Report](#)

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[CMA Customer Report](#)

[Subscription Discounts](#)

[Order Fees](#)

[Current Risk Position](#)

[Accrual Custody Fee Report Daily](#)

Accrual Custody Fee Report
Monthly
Institutional Desk Report
Exchange Wise Revenue Report

Turnover Report



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Turnover Report

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Use this procedure generate the Turnover Report. When a date range is specified, this option displays the total Turnover of the brokerage as per the exchanges connected. From the shortcut menu of each record you have the options of view the details of the Turnover and also to process the report.

PROCEDURE

To generate the Turnover Report:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Turnover Report**. The Turnover records are displayed for the selected date range.
2. On the **Turnover Report** window, right-click and then click **Process**. A message appears inquiring to process the data.

3.Click **Yes**. The report is processed.

To view details of a turnover record:

- 1.On the **Reports** menu, point to **Financial Inquiries**, click **Turnover Report**.
- 2.On the **Turnover Report** window, right-click and then click **View Details**. The **All Cash Account Transactions** window opens displaying the Buy/Sell details for the relevant date.

FX Gain Loss Report



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FX Gain Loss Report

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Use this procedure to generate the currency exchange gain/ loss occurred during the purchase and sales of shares and during cash transfers that involve different currencies.

PROCEDURE

To generate the FX Gain Loss Report:

1. On the **Reports** menu, point to **Financial Inquiries**, and click **FX Gain Loss Report**.
2. Select the date range and click on the Refresh  icon.

Master Accounts Summary



Generating Reports » Financial Inquiries »

Master Accounts Summary

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Use this procedure to view Master Accounts Summary. The Master Accounts that are associated with default exchange account type are listed from this option. The shortcut menu of each Master Account record contains the options to view Account Summary and the Holdings Summary.

PROCEDURE

To view Master Account Summary:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Master Accounts Summary**.
2. On the **Master Accounts** window, right-click on an applicable record and then click **Accounts Summary**. The **Customer Account Summary** window opens displaying the cash information, portfolio values and margin trading values etc..

To view Holdings Summary of Master Account:

- 1.On the **Reports** menu, point to **Financial Inquiries**, click **Master Accounts Summary**.
- 2.On the **Master Accounts** window, right-click on an applicable record and then click **Holdings Summary**. The holdings details are displayed in a new tab.

Discounted Commission Report



Generating Reports » Financial Inquiries »

Discounted Commission Report

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Use this procedure to view Discounted Commission Report. For a specified date range, records are displayed with Customer Numbers and the relevant Commissions applied based on the transactions performed.

If a discount is applicable for a Commission, that is displayed with the discounted percentage and the discounted amount along with the Net Commission.

PROCEDURE

To view Discounted Commission Report:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Discounted Commission**.
2. On the Discounted Commission window, right-click and then click **Report**. The **Discounted**

Commission Report opens in a new tab.

Customer-wise Commission Report

Generating Reports » Financial Inquiries »



Customer-wise Commission Report

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Use this procedure to view Customer Wise Commission Report. For a selected date range, customer records are displayed as per the Institution selected. You can generate a report of the customer commissions by the shortcut menu of a customer commission record.

PROCEDURE

To view Customer Wise Commission Report:

1. On the **Reports** menu point to **Financial Inquiries**, then **Commission** and click **Customer Wise Commission**. The **Institutions** window opens.
2. Double-click on the relevant Institution. **Customer Wise Commission for Branch** window opens.

3. Select the date range from the calendar option and click on **Refresh**  button. The customer records are displayed with total commissions for the selected date range.
4. Right-click on the window and then click **Report**. The **Customer Wise Commission Report** opens in a new tab.

Optional:

5. Click on **Print Report** icon  to print the report.
6. Click on **Export Report** icon  to save the report to a file.

MBS Commission Report



Generating Reports » Financial Inquiries »

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Use this procedure to view the total commission earned by the broker house during a selected time period. Moreover, the report displays the total commission broker-wise.

PROCEDURE

To view the MBS Commission report:

1. On the **Reports** menu, point to **Financial Inquiries**, then to **Commission** and then click **MBS Commission Report**.
2. In the **MBS Commission Report** do the following:

To	Do This
View the report for a month	Click the Month button and select the required currency, month and the

	year from the respective lists.
View the report for a year	Click the Year button and select the required currency and the year from the respective lists.
View the report for a selected period	Click the Date Range button and select the required currency and the dates from the list.

3. Click **Ok**.

Activity Report for Corporate Clients

Generating Reports » Financial Inquiries »



Activity Report for Corporate Clients

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Use this procedure to view the following for the Corporate Client Accounts:

- Monthly Report - The report displays the total commission customer-wise, country-wise and a detail report based on the trades executed and the commission.
- Annual Report - The report displays the customer-wise trade value
- Revenue Report - The report displays the commission received by the broker house and the number of trades occurred during a selected period.

PROCEDURE

To view the Monthly Activity Report for Co-clients:

- 1.On the **Reports** menu, point to **Financial Inquiries**, then to **Activity Report for Co-Clients** and select **Monthly Report**.
- 2.In the **Activity Report - Monthly** window, select the required currency, year and month from the respective lists.
- 3.Click **OK**.

To view the Annual Activity Report for Co-clients:

- 1.On the **Reports** menu, point to **Financial Inquiries**, then to **Activity Report for Co-Clients** and select **Annual Report**.
- 2.In the **Activity Report - Annual** window, select the required currency and the year from the respective lists.
- 3.Click **OK**.

To view the Revenue Report for Co-clients:

- 1.On the **Reports** menu, point to **Financial Inquiries**, then to **Activity Report for Co-**

Clients and select **Revenue Report**.

- 2.In the **Activity Report - Revenue** window, select the required currency and the date range from the respective lists.
- 3.Click **OK**.

Revenue Breakdown Report



Generating Reports » Financial Inquiries »

Revenue Breakdown Report

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Use this procedure to generate Revenue Breakdown Report. For a specified date, this option generates a report of the breakdown of the brokerage Revenue and Turnover as per the customer trades.

PROCEDURE

To generate Revenue Breakdown Report:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Revenue Breakdown Report**. (Refer to figure 1)

2. On the Revenue Breakdown Report window, select the applicable date and then click **OK**. The report opens in a new window displaying the Revenue and the Turnover as per the customers listed.

Optional:

3. Click on **Print Report** icon  to print the report.
4. Click on **Export Report** icon  to save the report to a file.



figure 1: selecting details to view Revenue Breakdown Report.

Revenue Breakdown



Generating Reports » Financial Inquiries »

Revenue Breakdown

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Use this procedure to view the revenue breakdown during a selected period.

PROCEDURE

To view revenue breakdown:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Revenue Breakdown**.
2. Select a currency and applicable date range. Click **OK** to generate the report.

CMA Daily Report



Generating Reports » Financial Inquiries »

CMA Daily Report

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Use this procedure to view the number of customer accounts, portfolios created, the number of orders entered and executed and the value of the orders executed.

PROCEDURE

To view the CMA Daily Report:

1. On the **Reports** menu, point to **Financial Inquiries** and click **CMA Daily Report**.
2. In the **Select Month** dialog box, select the year and the month from the lists.
3. Click **OK**.

CMA Monthly Report

Generating Reports » Financial Inquiries »



CMA Monthly Report

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Use this procedure to view the value of the customer holdings for a selected time period.

PROCEDURE

To view the CMA Monthly Report:

1. On the **Reports** menu, point to **Financial Inquiries** and click **CMA Monthly Report**.
2. In the **Select Month** dialog box, select the date, customer, currency and the exchanges.
3. Click **OK**.

CMA Customer Report

Generating Reports » Financial Inquiries »



CMA Customer Report

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Use this procedure to view the value of the customer holdings for a selected time period.

PROCEDURE

To view the CMA Customer Report:

- On the **Reports** menu, point to **Financial Inquiries** and click **CMA Customer Report**.

Subscription Discounts



Generating Reports » Financial Inquiries »

Subscription Discounts

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Use this procedure to view Subscription Discounts of International Trading customers.

When a subscription package is created for an international customer, you have options to apply discounts on the available exchange fees applied for the particular package.

If a discount is given for a customer on package exchange fees, it is done through the Subscription Packages option of the International Trading menu. Records of such discounts are displayed under the Subscriptions Discounts option.

The Subscription Discounts records are displayed with Customer Name, Package Name, Price feed, Exchange Fee and the Discounted Fee.

PROCEDURE

To view Subscription Discounts:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Subscription Discounts**.
2. Select the applicable date range and then click Refresh  icon. The customer records are displayed with the subscription discounts.

Order Fees



Generating Reports » Financial Inquiries »

Order Fees

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Use this procedure to view the amount of fee applied for each transaction along with other related information.

PROCEDURE

To view Order Fees:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Order Fees**.
2. Select the applicable date range and then click the Refresh  icon. The Order Fee records are displayed.

Current Risk Position



Generating Reports » Financial Inquiries »

Current Risk Position

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This report exposes the current risk position of the institution in terms of margin due, day margin due, margin block and trading limit given per customer.

PROCEDURE

To view Current Risk Position:

- On the **Reports** menu, point to **Financial Inquiries**, click **Current Risk Position**.

Accrual Custody Fee Report Daily



Generating Reports » Financial Inquiries »

Accrual Custody Fee Report Daily

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These reports show the custodian charges on daily basis.

PROCEDURE

To view Accrual Custody Fee Report Daily:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Accrual Custody Fee Report Daily**.
2. Select the required Year and Month and click **OK**.

Accrual Custody Fee Report Monthly

Generating Reports » Financial Inquiries »



Accrual Custody Fee Report Monthly

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These reports show the custodian charges on monthly basis.

PROCEDURE

To view Accrual Custody Fee Report Monthly:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Accrual Custody Fee Report Monthly**.
2. Select the required Year and Month and click **OK**.

Institutional Desk Report



Generating Reports » Financial Inquiries »

Institutional Desk Report [Top](#) [Previous](#) [Next](#)

This report shows the revenue earned from each customer.

PROCEDURE

To view Institutional Desk Report:

1. On the **Reports** menu, point to **Financial Inquiries**, click **Institutional Desk Report**.
2. Select the required Currency, Institution, Date Range and Exchange/s and click **OK**.

Exchange Wise Revenue Report



Generating Reports » Financial Inquiries »

Exchange Wise Revenue Report

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Use this procedure to generate the revenue of customers exchange wise. The exchange wise revenue report can be viewed in terms of Revenue and Turnover.

PROCEDURE

To view the Exchange Wise Revenue Report:

1. On the **Reports** menu, point to **Financial Inquiries** and click **Exchange Wise Revenue Report**.
2. In the **Exchange Wise Revenue Report Option** dialog box, select the required fields.
3. Click **OK**.
4. **Optional:** Select the **Remove zero Value Rows** check-box to avoid customers who have zero

values that do not need showing in the report.

GTN Client Revenue Breakdown

Generating Reports » Financial Inquiries »



GTN Client Revenue Breakdown

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Use this procedure generate the GTN Client Revenue Breakdown.

PROCEDURE

To generate the GTN Client Revenue Breakdown:

1. On the **Reports** menu, point to **Financial Inquiries**, click **GTN Revenue Breakdown**.
2. On the **Revenue Breakdown** pop-up, select the currency, date range, and click **OK** to generate the report.

Customers with Wrong Cash Balances

Generating Reports »



Customers with Wrong Cash Balances

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Use this procedure view Customer Cash Accounts with Wrong Balances. As different types of transactions are done on a customer's cash account which results in Cash Balance changes with + and - values. Those values are updated in the Cash Transaction Log and simultaneously the Cash Account balance has to be updated correctly by each change.

At a given time, if a mismatch is found with the existing Cash Balance of the particular Cash Account and the total outcome of the Cash Transaction Log, those details are updated under the Cash Transactions option of the Reports menu. Also you have options to view the transactions performed and the Customer Summary of the

Cash Account, from the shortcut menu of each record.

PROCEDURE

To view Customers with Wrong Cash Balances:

- On the **Reports** menu, point to **Cash Transactions**, click **With Wrong Cash Balances**. The Customer Cash Accounts with Wrong Balances window opens in a new tab displaying the actual Cash Balance and the calculated balance for each Cash Account.

Margin Trading Reports



Generating Reports »

Margin Trading Reports

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The Margin Trading option in the Reports menu holds reports related to the following:

- [Margin Enabled Customers](#)
- [Margin Utilized Customers](#)
- [Margin Dashboard](#)
- [Margin Call Notify Candidates](#)
- [Margin Call Remind Candidates](#)
- [Margin Call Liquid Candidates](#)
- [Day Margin Call Liquid Candidates](#)
- [Margin Trading Customer Performance](#)
- [Collateral for Margin Trading](#)
- [Margin Cash Account](#)
- [Margin Fees History List](#)
- [Marginable Symbols](#)
- [Mark for Delivery Transactions](#)
- [Margin Liquidation Failures](#)
- [Day Margin Liquidation Failures](#)

[Margin Weekly Reports](#)
[Marginable Fund History](#)
[Monthly Report for Margin Trading](#)
[Daily Margin Report](#)
[Margin Revenue Summary](#)

Margin Enabled Customers



Generating Reports » Margin Trading Reports »

Margin Enabled Customers

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Use this procedure to view the customers enabled with margin trading facility. Not all customers of a brokerage are given the margin trading facility. To set up this type of account, investors will need to be credit worthy. Investors will need to make an initial deposit in the margin account. The more investor deposits, the more he will be able to borrow. In general, investors will not be able to borrow more than 50% of their initial investment.

Using the Margin Trading Enabled Customers window you can manage a customer's margin account and view its activities.

PROCEDURE

To generate the Margin Enabled Customers report:

1. On the **Reports** menu, point to **Margin Trading** and then click **Margin Enabled Customers**.
2. In the Margin Trading Enabled Customers window, right-click on a record and click **Report**.

To disable liquidation:

- In the Margin Trading Enabled Customers window, right-click on a record and click **Set as not Liquidate**.

To re-set margin limits:

1. In the Margin Trading Enabled Customers window, right-click on a record and click **Reset Margin Limits**.
2. In the Margin Trading window, enter the required values and click **Update**.

To view Margin Call History:

- In the Margin Trading Enabled Customers window, right-click on a record and click **Margin Call History**.

To view Margin Fees History:

- In the Margin Trading Enabled Customers window, right-click on a record and click **Margin Fees History**.

To generate the Margin Calculation Report:

1. On the **Reports** menu, point to **Margin Trading** and then click **Margin Enabled Customers**.
2. In the Margin Trading Enabled Customers window, right-click on a record and click **Report**.

To view the Trading Account:

- In the Margin Trading Enabled Customers window, right-click on a record and click **Customer Trading Accounts**.

To view the customer details:

- In the Margin Trading Enabled Customers window, right-click on a record and click **Customer Summary**.

RELATED INFORMATION

[Set up Margin Trading](#)

Margin Utilized Customers



Generating Reports » Margin Trading Reports »

Margin Utilized Customers [Top](#) [Previous](#) [Next](#)

Use this procedure to view the customers who have a margin block or a margin due balance. Using the Margin Trading Utilized Customers window you can manage a customer's margin account and view its activities.

PROCEDURE

To generate Margin Utilized Customers report:

1. On the **Reports** menu, point to **Margin Trading** and then click **Margin Utilized Customers**.
2. In the Margin Trading Utilized Customers window, right-click on a record and click **Report**.

To view pending orders:

- In the Margin Trading Utilized Customers window,

right-click on a record and click **Pending Orders**.

RELATED INFORMATION

[Set up Margin Trading, Margin Enabled Customers](#)

Margin Dashboard



Generating Reports » Margin Trading Reports »

Margin Dashboard

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This option provides margin information of margin enabled customers. This information is colour coded to track easily. All customers with first level margin call are highlighted in **Yellow** and the customers with second level margin call are highlighted in light **Red**. The customers with third level margin call are highlighted in dark **Red**. All customers with no margin call are highlighted with no color.

The Dashboard is auto refreshed and you can configure the auto refresh frequency as desired.

Once a customer comes in or out of any margin call level, dashboard gets updated and a notification is sent at the same time. For instance, Margin Call emails are sent automatically to the customer as soon as the account reaches Margin Call. Margin Call emails

are CC and BCC to margin email notification groups as well.

PROCEDURE

To open Margin Dashboard:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Dashboard**.

Margin Call Notify Candidates



Generating Reports » Margin Trading Reports »

Margin Call Notify Candidates

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Use this procedure to view the customers who have reached the margin call notification level. You can send emails and SMS notifications to the customers who have reached their limits. In order to do this you must have entered the telephone number and email address in the Preferences tab at the customer creation level.

PROCEDURE

To generate Margin Call Notify Candidates report:

1. On the **Reports** menu, point to **Margin Trading** and then click **Margin Call Notify Candidates**.
2. In the Margin Call Notify Candidates window, right-click on a record and click **Report**.

To send notifications:

- 1.In the Margin Call Notify Candidates window, right-click on a record and click **Send Notifications**. A message opens inquiring whether to send a notification.
- 2.Click **Yes**. A message opens confirming the action.

RELATED INFORMATION

[Set up Margin Trading](#), [Margin Enabled Customers](#), [Creating Customer Accounts](#)

Margin Call Remind Candidates



Generating Reports » Margin Trading Reports »

Margin Call Remind Candidates

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Use this procedure to view the customers who have reached the margin call reminder level. You can send emails and SMS notifications to the customers who have reached their limits. In order to do this you must have entered the telephone number and email address in the Preferences tab at the customer creation level.

PROCEDURE

To generate Margin Call Remind Candidates report:

1. On the **Reports** menu, point to **Margin Trading** and then click **Margin Call Remind Candidates**.
2. In the Margin Call Remind Candidates window, right-click on a record and click **Report**.

To send notifications:

- 1.In the Margin Call Remind Candidates window, right-click on a record and click **Send Notifications**. A message opens inquiring whether to send a notification.
- 2.Click **Yes**. A message opens confirming the action.

RELATED INFORMATION

[Set up Margin Trading](#), [Margin Enabled Customers](#), [Creating Customer Accounts](#)

Margin Call Liquid Candidates

Generating Reports >> Margin Trading Reports >>



Margin Call Liquid Candidates

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Use this procedure to view the customers who have reached the margin call liquid level. Using the window you can liquidate the stocks of the customer whose Current Margin level is beyond the Maintenance Margin. Stock liquidation is done as the last option in the Margin Call Liquidation process. Given below are the steps for the margin call liquidation process:

1. When a customer reaches the margin call liquidation level, margin utilization is halted as the first step and such customers are not allowed to place new buy orders.
2. Any pending buy orders placed by such customers are canceled.
3. Any pending sell orders placed by such customers are canceled provided the customer does not have stocks in his portfolio or the portfolio value is not sufficient to recover the margin due.
4. Square off orders are generated to recover the liquidate amount.
5. Resume margin utilization.

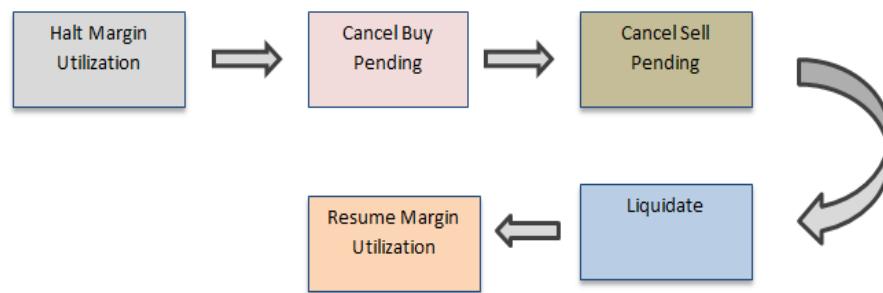


Figure 1: Margin Call Liquidation Process

PROCEDURE

To generate the Margin Call Liquid Candidates report:

- 1.On the **Reports** menu, point to **Margin Trading** and then click **Margin Call Liquid Candidates**.
- 2.In the Margin Call Liquid Candidates window, right-click on a record and click **Report**.

To liquidate a selected stock:

- 1.In the Margin Call Liquid Candidates window, right-click on a record and click **Liquidation Recommendation List**.
- 2.In the Liquidation Recommendation List window, right-click on the required record and click **Liquidate Selected Holdings**.
- 3.In the Sell Order window, enter the order details.
- 4.Click **Send Order**.

To liquidate a portfolio:

- 1.In the Margin Call Liquid Candidates window, right-click on a record and click **Liquidation Recommendation List**.
- 2.In the Liquidation Recommendation List window, right-click on the required record and click **Liquidate Portfolio**.

To view the customer portfolio:

- 1.In the Margin Call Liquid Candidates window, right-click on a record and click **Liquidation Recommendation List**.
- 2.In the Liquidation Recommendation List window, right-click on the required record and click **Show Complete Portfolio**.

RELATED INFORMATION

[General Online Orders, View & Manage Holdings,](#)
[Margin Enabled Customers](#)

Day Margin Call Liquid Candidates



Generating Reports » Margin Trading Reports »

Day Margin Call Liquid Candidates [Top](#) [Previous](#) [Next](#)

Use this procedure to view the customers who have reached the day margin call liquid level. Using the window you can liquidate the stocks of the customer whose Current Day Margin level is beyond the Maintenance Margin. Stock liquidation is done as the last option in the Day Margin Call Liquidation process. Given below are the steps for the Day Margin Call liquidation process:

1. As the first step in day margin call liquidation process, the margin dues and blocks set to the portfolio are adjusted based on the current market value of the portfolio.
2. Margin utilization is halted and such customers are not allowed to place new buy orders.
3. Any pending buy orders placed by such customers are cancelled.
4. Any pending sell orders placed by such customers are cancelled provided the customer does not have stocks in his portfolio or the portfolio value is not sufficient to recover the margin due.
5. Square off orders are generated to recover the liquidate amount.
6. Resume margin utilization.

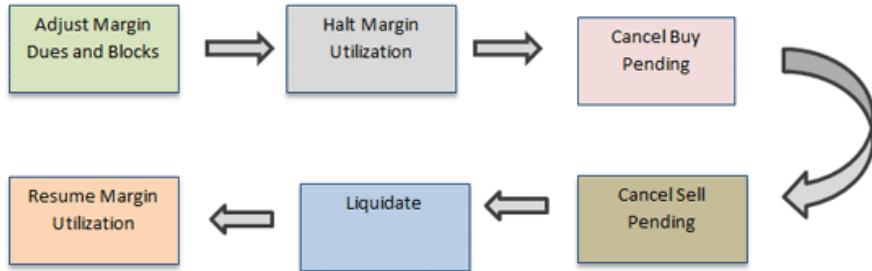


Figure 1: Day Margin Call Liquidation Process

PROCEDURE

To generate the **Day Margin Call Liquid Candidates report**:

1. On the **Reports** menu, point to **Margin Trading** and then click **Day Margin Call Liquid Candidates**.
2. In the Day Margin Call Liquid Candidates window, right-click on a record and click **Report**.

To adjust margin dues and blocks:

1. In the Day Margin Call Liquid Candidates window, right-click on a record and click **Adjust Margin Dues and Blocks**. A message opens inquiring whether to continue the operation.
2. Click **Yes**. A message opens confirming the action.

Margin Trading Customer Performance

Generating Reports » Margin Trading Reports »



Margin Trading Customer Performance

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Use this procedure to view the margin limits given to the customers and the limit utilization.

PROCEDURE

To generate the Margin Trading Customer Performance report:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Trading Customer Performance**.

Collateral for Margin Trading



Generating Reports » Margin Trading Reports »

Collateral for Margin Trading

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Use this procedure to view the value of the assets set as collateral when buying on margin. Though assets are set as collateral, they do not add to the customer's buying power.

PROCEDURE

To generate the Collateral for Margin Trading report:

- On the **Reports** menu, point to **Margin Trading** and then click **Collaterals for Margin Trading**.

Margin Cash Account



Generating Reports » Margin Trading Reports »

Margin Cash Account

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Use this procedure to view the cash balance in the Margin Cash Account. This is the Cash Account dedicated for Margin Trading and it represents both cash being deposited and margin facilities provided up on such cash and the portfolio. The creation of Margin Cash Account is done when creating the Customer Account. Once you create the Margin Cash Account, you should link a Securities Account and a Trading Account to it.

PROCEDURE

To generate the Margin Cash Account:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Cash Account**.

RELATED INFORMATION

[Creating Customer Accounts](#)

Margin Fees History List



Generating Reports » Margin Trading Reports »

Margin Fees History List

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Use this procedure to view the margin fees applicable for the customers. All customers with the margin trading facility are attached to a margin fees group. The report displays the margin fees history.

PROCEDURE

To generate the Margin Fees History List:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Fees History List**.

RELATED INFORMATION

[Manage Margin Fees Group](#)

Marginable Symbols



Generating Reports » Margin Trading Reports »

Marginable Symbols

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Use this procedure to view the marginable symbols.

PROCEDURE

To view the Marginable Symbols:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Fees History List**.

Mark for Delivery Transactions



Generating Reports » Margin Trading Reports »

Mark for Delivery Transactions

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This report contains Mark for Delivery transactions done for day holdings from all client products and from AT.

PROCEDURE

To view the Marginable Symbols:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Fees History List**.

Margin Liquidation Failures



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Margin Liquidation Failures

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Use this procedure to view the margin liquidation failures. At certain occasions, the margin liquidation process might not be 100% successful (e.g. due to insufficient stocks etc.). This window displays such failures. In such scenario, you can manually liquidate the stocks.

PROCEDURE

To view Margin Liquidation Failures:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Liquidation Failures**.

Day Margin Liquidation Failures



Generating Reports » Margin Trading Reports »

Day Margin Liquidation Failures

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Use this procedure to view the day margin liquidation failures. At certain occasions, the day margin liquidation process might not be 100% successful (e.g. due to insufficient stocks etc.). This window displays such failures. In such scenario, you can manually liquidate the stocks.

PROCEDURE

To view Day Margin Liquidation Failures:

- On the **Reports** menu, point to **Margin Trading** and then click **Day Margin Liquidation Failures**.

Margin Weekly Reports



Generating Reports » Margin Trading Reports »

Margin Weekly Reports

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Use this procedure to view the following reports:

- All Orders Margin - Displays the orders funded on margin
- All Trades Margin - Displays the trades funded on margin
- Total Amount Due Margin - Displays the total margin amount due from the customers

PROCEDURE

To view the All Orders Margin Report:

- On the **Reports** menu, point to **Margin Trading** then to **Margin Weekly Reports** and then click **All Orders Margin**.

To view the All Trades Margin Report:

- On the **Reports** menu, point to **Margin Trading** then to **Margin Weekly Reports** and then click **All Trades Margin**.

To view the Total Amount Due Margin Report:

- On the **Reports** menu, point to **Margin Trading** then to **Margin Weekly Reports** and then click **Total Amount Due Margin**.

Marginable Fund History



Generating Reports » Margin Trading Reports »

Marginable Fund History

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This shows the changes done for below marginable fund parameters in the system. It also shows who did the changes and who has approved on level 1 and level 2.

- ✓Max day margin per customer
- ✓Max margin per customer
- ✓Margin Factor
- ✓Total Marginable funds

PROCEDURE

To view Marginable Fund History:

- On the **Reports** menu, point to **Margin Trading** and then click **Marginable Fund History**.

Monthly Report for Margin Trading



Generating Reports » Margin Trading Reports »

Monthly Report for Margin Trading

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This report shows the monthly summary of margin trades for the given exchanges. It contains traded volume and traded order value of both buy and sell sides and symbol marginability percentage for each symbol.

PROCEDURE

To view Monthly Report for Margin Trading:

- On the **Reports** menu, point to **Margin Trading** and then click **Monthly Report for Margin Trading**.

Daily Margin Report



Generating Reports » Margin Trading Reports »

Daily Margin Report

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This report shows customer information, account values, margin details and the revenue of margin enabled customers.

PROCEDURE

To view the Daily Margin Report:

- On the **Reports** menu, point to **Margin Trading** and then click **Daily Margin Report**.

Margin Revenue Summary



Generating Reports » Margin Trading Reports »

Margin Revenue Summary [Top](#) [Previous](#) [Next](#)

Margin Revenue Summary is generated on daily basis for only Margin utilized customers at the end of the day.

PROCEDURE

To view the Margin Revenue Summary:

- On the **Reports** menu, point to **Margin Trading** and then click **Margin Revenue Summary**.

Stock Executions



Generating Reports »

Stock Executions

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Use this procedure to view Stock Executions. By specifying a date range, you can view records of executed stocks on the selected exchange. The Buy/Sell stock quantities are displayed with Symbol name and the Volume traded.

PROCEDURE

To view Stock Executions:

1. On the **Reports** menu point to **Stocks**, click **Executions**. The **Select Exchange** window opens.
2. Double-click on the relevant exchange. The **Executions** window opens in a new tab displaying the stock quantities with the relevant symbols for the selected exchange.

Mutual Funds

Generating Reports »



Mutual Funds

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The Mutual Funds option in the Reports menu holds reports related to the following:

[Mutual Funds Settlement Report](#)

[Blocked Customer Report](#)

[Customer Subscription Report](#)

[Customer Registrations](#)

Mutual Funds Settlement Report



Generating Reports » Mutual Funds »

Mutual Funds Settlement Report

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Use this procedure to view the settlements for the orders placed at MDEX.

PROCEDURE

To view the Mutual Fund Settlement Report:

- On the **Reports** menu point to **Mutual Funds** and then click **Mutual Fund Settlement Report**.

Blocked Customer Report



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Blocked Customer Report [Top](#) [Previous](#) [Next](#)

Use this procedure to view the suspended, deleted or blocked Customer Accounts of the customers trading at MDEX.

PROCEDURE

To view the Blocked Customer Report:

- On the **Reports** menu point to **Mutual Funds** and then click **Blocked Customer Report**.

Customer Subscription Report



Generating Reports » Mutual Funds »

Customer Subscription Report

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Use this procedure to view the list of customers trading at MDEX.

PROCEDURE

To view the Customer Subscription Report:

- On the **Reports** menu point to **Mutual Funds** and then click **Customer Subscription Report**.

Customer Registrations



Generating Reports » Mutual Funds »

Customer Registrations

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Use this procedure to view the list of customers registered for trading at MDEX.

PROCEDURE

To view the Customer Registrations:

- On the **Reports** menu point to **Mutual Funds** and then click **Customer Registrations**.

Futures

Generating Reports »



Futures

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Futures option in the Reports menu holds reports related to the following:

[Customer Position Report Filter](#)

[Futures Margin Calls](#)

[Futures Daily Mark to Market PNL](#)

Customer Position Report Filter



Generating Reports » Futures »

Customer Position Report Filter

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Use this procedure to view
customer position report

PROCEDURE

To view the Customer Position Report Filter:

- On the **Reports** menu point to **Futures** and then click **Customer Position Report Filter**.

Futures Margin Calls



Generating Reports » Futures »

Futures Margin Calls

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Use this procedure to view Futures Margin Calls.

PROCEDURE

To view the **Futures Margin Calls**:

- On the **Reports** menu point to **Futures** and then click **Futures Margin Calls**.

Futures Daily Mark to Market PNL



Generating Reports » Futures »

Futures Daily Mark to Market PNL

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Use this procedure to view Futures Daily Mark to Market PNL.

PROCEDURE

To view the Futures Daily Mark to Market PNL:

- On the **Reports** menu point to **Futures** and then click **Futures Daily Mark to Market PNL**.

Exception Reports - Customers



Generating Reports »

Exception Reports - Customers

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The Exception Reports - Customers option in the Reports menu holds reports related to the following:

[With Minus Cash Balance](#)

[With Minus Stock Balance](#)

[With Blocked Amount](#)

[With Buy Sell Pending](#)

[With Multiple Accounts](#)

[With Minus Balance Margin Trading](#)

[With Defined Commission](#)

[Minus Balance with OD Enabled](#)

[Minus Balance with OD Disabled](#)

With Minus Cash Balance



Generating Reports » Exception Reports - Customers »

With Minus Cash Balance [Top](#) [Previous](#) [Next](#)

Use this procedure to view the customer Cash Accounts with minus cash balance.

PROCEDURE

To view customers with minus cash balance:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Minus Cash Balance**.

RELATED INFORMATION

[Managing Cash Accounts](#)

With Minus Stock Balance



Generating Reports » Exception Reports - Customers »

With Minus Stock Balance [Top](#) [Previous](#) [Next](#)

Use this procedure to view the customer Security Accounts with minus stock balance.

PROCEDURE

To view customers with minus stock balance:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Minus Stock Balance**.

RELATED INFORMATION

[View & Manage Holdings](#)

With Blocked Amount



Generating Reports » Exception Reports - Customers »

With Blocked Amount

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Use this procedure to view the customer Cash Accounts with a blocked amount. When a buy order is placed for a customer, the value of the stocks is automatically blocked by the system. This amount is known as the Blocked Amount. Once the order is completely filled, this blocked amount is released from the system. This function is automated. However, there can be a situation where the brokerage house manually has to remove the blocked amount from a customer's Cash Account. The report displays customer Cash Accounts with such blocked amount.

PROCEDURE

To view customers with blocked amount:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Minus Cash Balance**.

RELATED INFORMATION

[Managing Cash Accounts](#)

With Buy Sell Pending



Generating Reports » Exception Reports - Customers »

With Buy Sell Pending

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Use this procedure to view the customers who have any pending buy or sell orders.

PROCEDURE

To view customers with buy sell pending:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Buy Sell Pending**.

RELATED INFORMATION

[View & Manage Holdings](#)

With Multiple Accounts



Generating Reports » Exception Reports - Customers »

With Multiple Accounts

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Use this procedure to view the customers who have multiple Trading Accounts.

PROCEDURE

To view customers with multiple accounts:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Multiple Accounts**.

RELATED INFORMATION

[Creating Customer Accounts](#)

With Minus Balance Margin Trading Enabled

Generating Reports » Exception Reports - Customers »



With Minus Balance Margin Trading Enabled

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Use this procedure to view the customers who have a negative margin trading balance.

PROCEDURE

To view customers with minus balance margin trading enabled:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Minus Balance Margin Trading Enabled**.

RELATED INFORMATION

[Setup Margin Trading](#)

With Defined Commission



Generating Reports » Exception Reports - Customers »

With Defined Commission [Top](#) [Previous](#) [Next](#)

Use this procedure to view the customers who are mapped with a defined commission. Mapping the commission group is done when creating the Trading Account for the customer.

PROCEDURE

To view customers with defined commission:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **With Minus Balance Margin Trading Enabled**.

RELATED INFORMATION

[Creating Customer Accounts,](#)
[Commission Groups & Structures](#)

Minus Balance with OD Enabled



Generating Reports » Exception Reports - Customers »

Minus Balance with OD Enabled

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Use this procedure to view the customers who have a negative balance in the trading limit.

PROCEDURE

To view customers with minus balance with OD enabled:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **Minus Balance With OD Enabled**.

RELATED INFORMATION

[Adjust Trading Limit](#)

Minus Balance with OD Disabled



Generating Reports » Exception Reports - Customers »

Minus Balance with OD Disabled

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Use this procedure to view the customers who have a negative balance when the trading limit is disabled.

PROCEDURE

To view customers with minus balance with OD disabled:

- On the **Reports** menu point to **Exception Reports**, then to **Customers** and then click **Minus Balance With OD Disabled**.

RELATED INFORMATION

[Adjust Trading Limit](#)

Exception Reports - Orders



Generating Reports »

Exception Reports - Orders

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The Exception Reports - Orders option in the Reports menu holds reports related to the following:

[FIX Order Log](#)

FIX Order Log



Generating Reports » Exception Reports - Orders »

FIX Order Log

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Use this procedure to view the orders (new, amend, cancel) coming through FIX channel which are rejected from OMS (due to validation failure, etc.)

PROCEDURE

To view the **FIX Order Log**:

- On the **Reports** menu point to **Exception Reports**, then to **Orders** and then click **FIX Order Log**.

Exception Reports - Bank Accounts

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The Exception Reports - Bank Accounts option in the Reports menu holds reports related to the following:

[With Minus Cash Balance](#)

With Minus Cash Balance



Generating Reports » Exception Reports - Bank Accounts »

With Minus Cash Balance [Top](#) [Previous](#) [Next](#)

Use this procedure to view the broker house bank accounts that carry a minus cash balance.

PROCEDURE

To view the bank accounts with minus balance:

- On the **Reports** menu point to **Exception Reports**, then to **Bank Accounts** and then click **With Minus Cash Balance**.

Dealer Order Reports

[Generating Reports »](#)



Orders By Dealers



Generating Reports » Dealer Order Reports »

Orders By Dealers

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Use this procedure to view Orders by Dealers. For a selected date range, this option displays the orders of customers placed by Dealers on the selected exchanges.

PROCEDURE

To view Orders by Dealers:

1. On the **Reports** menu point to **Dealers**, click **Orders by Dealers**. The **Dealer Order Search Options** Window opens. (Refer to figure 1)
2. On the Dealer Order Search Options window, select the date range and then select the exchanges needed to view orders.
3. Click **OK**. The Order records are displayed for the selected criteria. You can refer to the **Dealer Name** column of the records to see the names of the dealers.

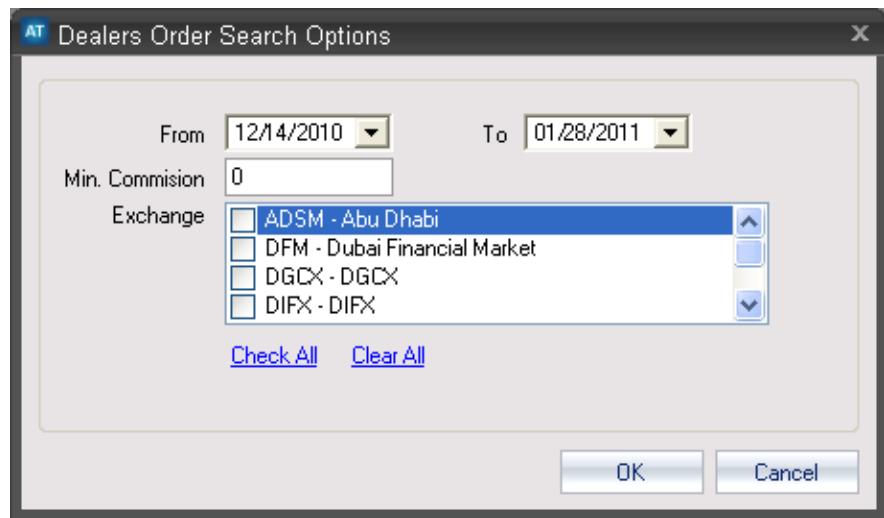


figure 1: Dealer Order search options to display Orders by Dealers.

Order Summary



Generating Reports » Dealer Order Reports »

Order Summary

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Use this procedure to view Dealer Order Summary. For a selected date range, the records of orders placed by the Dealers with Order Net Value and the applicable Commission are displayed from this option. You need to select the applicable exchanges to view these records.

PROCEDURE

To view Dealer Order Summary:

1. On the **Reports** menu point to **Dealers**, click **Order Summary**.
2. On the **Dealer Order Summary** window, select the date range, Currency and the Exchanges applicable.
3. Click on Refresh  icon. The dealer records are displayed with values for number of orders, the Net Value and the Commission for each Dealer.

Audit Reports

Generating Reports »



Audit Reports

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The Audit Reports option contains records of Customers and Users login information of the Order Management System. You can view records of Users/Customers logged in/out times for auditing purposes and also to track the usage of the system.

The Audit Reports option of the Report menu contains the following sub menus.

[Customer Logins](#)

[User Logins](#)

[Recently Not Logged in Users](#)

[Recently Not Logged in Customers](#)

Customer Logins



Generating Reports » Audit Reports »

Customer Logins

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Use this procedure to view Customer Login information of the Order Management System. The records of customers logins by using different channels such as Web and other front end applications are displayed from this option under the Audit Reports.

For a specified date period, the Customer Login records are displayed with Customer Name, Login Time, Log Out time, Channel and the Login IP.

PROCEDURE

To view Customer Logins:

- On the **Reports** menu point to **Audit Reports**, click **Customer Logins**. The Customer Logins window opens displaying the records for the selected date range.

User Logins



Generating Reports » Audit Reports »

User Logins

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Use this procedure to view User Login information of the Admin Terminal. For a selected date range, records are displayed of the Users logged in/out time.

PROCEDURE

To view User Logins:

- On the **Reports** menu point to **Audit Reports**, click **User Logins**. The User Logins window opens displaying the records for the selected date range.

Recently not logged in Users



Generating Reports » Audit Reports »

Recently not logged in Users

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Use this procedure to view users who have not logged on to the system recently. This option displays user records with last login date which is updated in the system and the number of days since the last login date as the "Difference".

Also, an authorized user of Admin Terminal has an option to suspend a user by going through these records and referring to the period since the last login, up to the current date. By Suspending the user, the account gets lock and the particular user's login to the system is denied.

PROCEDURE

**To view Recently not Logged in
Users:**

- On the **Reports** menu point to **Audit Reports**, click **Recently not logged in Users**. A new window opens displaying the relevant records.

To suspend Recently not logged in Users:

- 1.On the **Reports** menu point to **Audit Reports**, click **Recently not logged in Users**.
- 2.Right-click on an applicable record and then click **Suspend**. A message appears inquiring to confirm the action.
- 3.Click **Yes**. The account is locked.

Recently not logged in Customers



Generating Reports » Audit Reports »

Recently not logged in Customers

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Use this procedure to view customers who have not logged on to the system recently. This option displays customer records with last login date which is updated in the system and the number of days since the last login date as the "Difference".

Also, an authorized user of Admin Terminal has an option to suspend a customer by going through these records and referring to the period since the last login, up to the current date. By suspending the customer, the account gets lock and the particular customer's login to the system is denied.

PROCEDURE

To view Recently not Logged in Customers:

- On the **Reports** menu point to **Audit Reports**, click **Recently not logged in Customers**. A new window opens displaying the relevant records.

**To suspend Recently not
logged in Customers:**

- 1.On the **Reports** menu point to **Audit Reports**, click **Recently not logged in Customers**.
- 2.Right-click on an applicable record and then click **Suspend**. A message appears inquiring to confirm the action.
- 3.Click **Yes**. The account is locked.

Regulatory

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The Regulatory option in the Reports menu holds reports related to the following:

[Anti-Money Laundering Reports](#)
[Exchange Data Files](#)
[FATCA Report](#)

AML Report



Generating Reports » Regulatory »

AML Report

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Use this procedure to view the cash accounts that had net cash transaction over 6,000 BHD.

PROCEDURE

To view the Anti-Money Laundering Report:

- On the **Reports** menu point to **Regulatory** and then click **AML Report**.

To generate the Anti-Money Laundering Report:

- Right-click on the record and click **Report**.

Exchange Data Files



Generating Reports » Regulatory »

Exchange Data Files

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Use this procedure to view the customers whose accounts are not trading enabled.

PROCEDURE

To view the Exchange Data Files:

1. On the **Reports** menu point to **Regulatory** and then click **Exchange Data Files**.
2. In the **Select Exchange** window, double-click on the required exchange.

FATCA Report



Generating Reports » Regulatory »

FATCA Report

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The **Foreign Account Tax Compliance Act** (FATCA) requires United States citizens, including individuals who live outside the United States, to report their financial accounts held outside of the United States, and requires foreign financial institutions to report to the Internal Revenue Service (IRS) about their American clients. FATCA was designed primarily to combat offshore tax evasion and to regain federal tax revenues.

PROCEDURE

To view the **FATCA Report**:

1. On the **Reports** menu point to **Regulatory** and then click **FATCA Report**.
2. In the **FATCA Report Parameters** window, enter

the required details and click **OK**.



Figure 1: FATCA Report Parameters

Revenue Reports



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Revenue Reports

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The Revenue Reports option in the Reports menu holds reports related to the following:

[Individual Customer Report \(Internal\)](#)

[Individual Customer Report \(Marketing\)](#)

[In-house Revenue Report](#)

[Regional Revenue Report](#)

[Margin OD/Revenue Report](#)

Individual Customer Report (Internal)

Generating Reports » Revenue Reports »



Individual Customer Report (Internal)

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Use this procedure to view the transaction (portfolio etc.) and financial details (cash deposits, transfers etc.) of a selected customer for a period of time.

PROCEDURE

To view the Individual Customer Report (Internal):

1. On the **Reports** menu point to **Revenue Reports** and then click **Individual Customer Report (Internal)**.
2. In the **Individual Customer Report (Internal)** dialog box, select the customer, start and end dates.

Individual Customer Report (Marketing)

Generating Reports » Revenue Reports »



Individual Customer Report (Marketing)

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Use this procedure to view the transaction (portfolio etc.) and financial details (cash deposits, transfers etc.) of a selected customer for a defined time period.

PROCEDURE

To view the Individual Customer Report (Marketing):

- On the **Reports** menu point to **Revenue Reports** and then click **Individual Customer Report (Marketing)**.

In-house Revenue Report



Generating Reports » Revenue Reports »

In-house Revenue Report [Top](#) [Previous](#) [Next](#)

Use this procedure to view the total revenue of the broker house for a defined period. Moreover the window displays the number of new accounts opened for the period and the revenue from those accounts for that period.

PROCEDURE

To view the In-house Revenue Report:

1. On the **Reports** menu point to **Revenue Reports** and then click **In-house Revenue Report**.
2. In the **In-house Revenue Report** dialog box, select the institution and the year.
3. Click **Ok**.

Regional Revenue Report



Generating Reports » Revenue Reports »

Regional Revenue Report [Top](#) [Previous](#) [Next](#)

Use this procedure to view the cumulative number of customers, number of trading customers and the revenue for a selected time period.

PROCEDURE

To view the Regional Revenue Report (Excluding UAE):

1. On the **Reports** menu point to **Revenue Reports** and then click **Regional Revenue Report**.
2. In the **Regional Revenue Report** dialog box, select the institution and the year.
3. Click **Ok**.

Margin OD/Revenue Report



Generating Reports » Revenue Reports »

Margin OD/Revenue Report

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Use this procedure to view the broker commission of trades that make the customer cash balance go minus (either using margin or OD).

PROCEDURE

To view the Margin OD/Revenue Report:

1. On the **Reports** menu point to **Revenue Reports** and then click **Margin OD/Revenue Report**.
2. In the **Margin OD/Revenue Report** dialog box, select the customer, start and end dates.

Sales Incentive reports



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Sales Incentive reports

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The Sales Incentive reports option in the Reports menu holds reports related to the following:

[Mutual Funds Settlement Report](#)

[Blocked Customer Report](#)

[Customer Subscription Report](#)

[Customer Registrations](#)

RM Incentive Summary Report



Generating Reports » Sales Incentive reports »

RM Incentive Summary Report

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The incentive report for the Research Manager can be viewed here.

PROCEDURE

To view the RM Incentive Summary Report:

- On the **Reports** menu point to **Sales Incentive Reports** and the click on **RM Incentive •Summary Report**.

Set your criteria in the **Select Report Parameters**, and click **OK** to generate the report.

RM Incentive Excluded Revenues



Generating Reports » Sales Incentive reports »

RM Incentive Excluded Revenues

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Use this procedure to view the Incentive Excluded Revenues of the research managers.

PROCEDURE

To view the RM Incentive Excluded Revenues:

- On the **Reports** menu point to **Sales Incentive Reports** and click on **RM Incentive Excluded Revenues**.

Posted RM Incentives



Generating Reports » Sales Incentive reports »

Posted RM Incentives

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The incentive that were posted for the Research Manager can be viewed here.

PROCEDURE

To view the Posted RM Incentives:

- On the **Reports** menu point to **Sales Incentive Reports** and the click on **Posted RM Incentives**.

PROCEDURE

To view the quarter-wise RM Incentives:

- Right-click on the line relevant for the quarter, and click on **View Details**.

RM Detail report



Generating Reports » Sales Incentive reports »

RM Detail report

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The detail report of the Research Manager can be viewed here.

PROCEDURE

To view the RM Detail report:

- On the **Reports** menu point to **Sales Incentive Reports** and the click on **RM Detail Report**.
- Set the conditions in the dialog box that pops-up.
Click **OK**

Customer-wise RM Incentive Revenue

Generating Reports » Sales Incentive reports »



Customer-wise RM Incentive Revenue

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Use this procedure to view the RM Incentive Revenues generated by customers.

PROCEDURE

To view the Customer-wise RM Incentive Revenue:

- On the **Reports** menu point to **Sales Incentive Reports** and click on **Customer-wise RM Incentive Revenue**

System

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This section explains the system configurations that can be done for variety of features in the Admin terminal. All changes done here will manipulate the core Order Management System.

To access any of the feature click on the **System** tab and other tab as preferred.

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- [Entitlements View](#)
- [System Configurations](#)
- [Exchange](#)
- [Log Viewer](#)
- [Product Updates](#)
- [EOD Report Scheduler](#)
- [DB Job Summary](#)
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[Bulk Subscription Upgrade](#)
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Institution



System configurations >>

Institution

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The institution under this application can be viewed and edited here. All changes done to the institution will reflect in the whole system.

Entitlements View



System configurations >>

Entitlements View

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The institution under this application can be viewed and edited here. All changes done to the institution will reflect in the whole system.

System Configurations



System configurations >>

System Configurations

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The configurations can be done for the following items in the system

- System Parameters
- Document Template
- Custom field Designer
- Questionnaire Designer

Exchange



System configurations >>

Exchange

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The exchanges and the trading markets in the order management system can be viewed and edited by this feature .

Log Viewer



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Log Viewer

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The logs created by the system
can be viewed in this section.

Product Updates



System configurations >>

Product Updates

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View the Product update list, the download history and the manage the product updated.

EOD Report Scheduler



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EOD Report Scheduler

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Schedule and edit the End of the Day reports with this feature.

DB Job Summary



System configurations >>

DB Job Summary

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View the Database Job summary
here.

DB Job Audit

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DB Job Audit

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Run and Audit of the Database
jobs in this section.

Audit Trial



System configurations >>

Audit Trial

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Keep a track of the Audits by All,
by User, by Category and by the
Action.

Login Version History



System configurations »

Login Version History

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View Back office and Front office
login version history.

Language Dictionary



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Language Dictionary

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Add and edit English to Arabic
translations

Messaging

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Messaging

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Send and view Broadcast
messages.

Bulk Subscription Upgrade



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Invoke a bulk subscription update
using this feature.

Club Orders Queue



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Club Orders Queue

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View the order queue here.

Price Configurations



System configurations >>

Price Configurations

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Set Prices for the Price Servers,
Price exchange and the News
providers.

Notification Management



System configurations »

Notification Management [Top](#) [Previous](#) [Next](#)

Set notifications and edit as necessary.

Apply Database Script



System configurations >>

Apply Database Script

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Upload and apply database scripts.

Template Management



[System configurations >>](#)

Template Management

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Manage templates in this section.



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