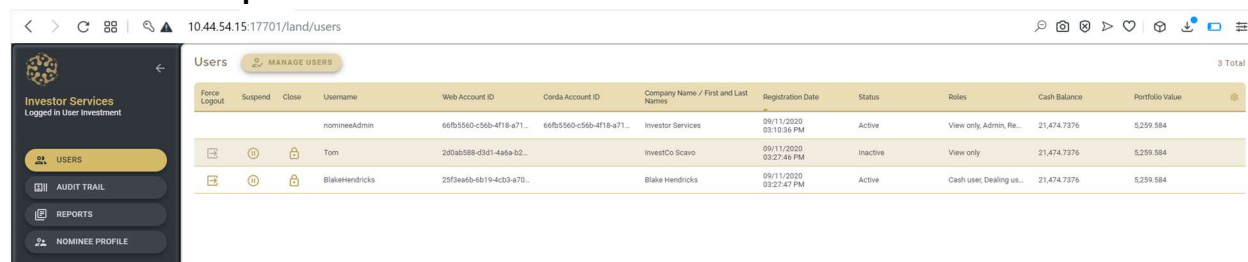


Investor node

Nominee Admin profile



The screenshot shows a web application interface for managing users. On the left is a dark sidebar with navigation options: 'Investor Services', 'Users', 'Audit Trail', 'Reports', and 'Nominee Profile'. The main area is titled 'Users' and contains a table with columns for 'Force Logout', 'Suspend', 'Close', 'Username', 'Web Account ID', 'Corda Account ID', 'Company Name / First and Last Names', 'Registration Date', 'Status', 'Roles', 'Cash Balance', and 'Portfolio Value'. There are 3 users listed in total.

Force Logout	Suspend	Close	Username	Web Account ID	Corda Account ID	Company Name / First and Last Names	Registration Date	Status	Roles	Cash Balance	Portfolio Value
			nomineeAdmin	66fb5560-c56b-4f18-a71...	66fb5560-c56b-4f18-a71...	Investor Services	09/11/2020 03:10:36 PM	Active	View only, Admin, Re...	21,474.7376	5,259.584
			Tom	2d0ab588-d3d1-4a6a-b2...		InvestCo Scavo	09/11/2020 03:27:46 PM	Inactive	View only	21,474.7376	5,259.584
			BlakeHendricks	25f9ae6b-6b19-4c03-a70...		Blake Hendricks	09/11/2020 03:27:47 PM	Active	Cash user, Dealing us...	21,474.7376	5,259.584

Cash Balance and Portfolio Value are the same for all Nominee users.

To make a transfer, Investor needs to know a Web Account ID of the investor he/she wishes to make a transfer to.

Corda Account ID is the same for all investors under a Nominee account.

User has an active status when is logged in.

Nominee administrator can suspend, close or log out a user.

The owner of suspended account should be able to:

- sell and redeem tokens
- receive distributed dividends
- partake in merge actions

The owner of suspended account should NOT be able:

- to buy or issue tokens
- to make or receive fund transfer
- to make fund switch
- to edit personal data.

To be able to close an investor, the provided account must not have live tokens or orders.

LDAP Users Roles

View only: Can see all information on holdings and transactions but cannot change data or initiate any events.

Dealing user: Can initiate buy, sell, switch and transfer orders.

Cash user: Can manage cash tokens, adding and redeeming.

Account Admin user: Can manage investor data, KYC and account closure.

These roles to be cumulative so you need view only + dealing + cash + account admin to be a complete user.

FAC User Guides

Manage LDAP Users						
Username	Admin	View	Cash User	Dealing User	Reporting	Nominee
<input checked="" type="checkbox"/> Tom	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> john	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> mike	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> BlakeHendricks	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- View User

View should be ticked.

- Dealing User

View, Cash user, Dealing user should be ticked.

- Reporting User

View, Cash user, Dealing user, Reporting user should be ticked.

- Admin/Nominee User

All options should be ticked.

Audit trail

Audit Trail						44 Total
Account ID	Timestamp	Username	Web UI	Action	Sent Data	
66fb5560-c56b-4f18-a712-1050a...	11/11/2020 08:46:41 AM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"426926f2-606a-41d6-a10a-e52b6e995b0","paymentMethodId":"On-ledger","qty":10,"valueType":"qty","createdAt":"2020-11-11T08:46:3...	
66fb5560-c56b-4f18-a712-1050a...	11/11/2020 08:46:16 AM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"3c4ed0ca-5c85-4987-996c-1ba8dede659","paymentMethodId":"On-ledger","qty":10,"valueType":"qty","createdAt":"2020-11-11T08:46:1...	
66fb5560-c56b-4f18-a712-1050a...	11/11/2020 08:45:45 AM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"ef17ab33-3934-4799-aed6-f81a59a72cbe","paymentMethodId":"On-ledger","qty":10,"valueType":"qty","createdAt":"2020-11-11T08:45:4...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:54:05 AM	BlakeHendricks	TRUE	Orders	("requests":[{"onLedger":true,"action":"buy","investorId":"66fb5560-c56b-4f18-a712-1050a1174ec","counterInvestorId":"null","fundId":"415eb1dd-4...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:05:39 AM	BlakeHendricks	TRUE	TRADE SELL	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":1,"valueType":"qty","createdAt":"2020-11-10T10:05:3...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:05:24 AM	BlakeHendricks	TRUE	TRADE SELL	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":1,"valueType":"qty","createdAt":"2020-11-10T10:05:1...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:05:11 AM	BlakeHendricks	TRUE	TRADE SELL	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":1,"valueType":"qty","createdAt":"2020-11-10T10:05:0...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:05:01 AM	BlakeHendricks	TRUE	TRADE SELL	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":1,"valueType":"qty","createdAt":"2020-11-10T10:04:5...	
66fb5560-c56b-4f18-a712-1050a...	10/11/2020 10:01:46 AM	BlakeHendricks	TRUE	TRANSFER	("counterParty":"2x003ab0d-0dad-429d-a95a-cc9d1a801b8f","fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","qty":1.095,"paymentMethodId":...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:34:04 PM	BlakeHendricks	TRUE	SWITCH	("createdAt":"2020-11-09T21:34:01.481Z","qty":1,"totalHolding":false,"fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","valuationAt":"2020...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:25:11 PM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"","qty":2,"valueType":"qty","createdAt":"2020-11-09T21:25:05.443Z","va...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:25:03 PM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":2,"valueType":"qty","createdAt":"2020-11-09T21:24:5...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:24:49 PM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":2,"valueType":"qty","createdAt":"2020-11-09T21:24:4...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:24:34 PM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":2,"valueType":"qty","createdAt":"2020-11-09T21:24:3...	
66fb5560-c56b-4f18-a712-1050a...	09/11/2020 09:24:19 PM	BlakeHendricks	TRUE	TRADE BUY	("fundId":"415eb1dd-4c41-4c94-8605-7b2fa5e7955d","paymentMethodId":"On-ledger","qty":2,"valueType":"qty","createdAt":"2020-11-09T21:24:1...	


The logs for tracking all transactions made by nominee users can be seen in the Audit trail.

Reports

Jasper reports are available under the Nominee profile in 'Reports' tab. For the moment all supported reports can be reached by the Nominee Investor.

FAC User Guides

Nominee profile



Investor Services
Logged in User Investment

- USERS
- AUDIT TRAIL
- REPORTS
- NOMINEE PROFILE**

Nominee Profile

☒ KYC verification passed

Web Account ID
66fb5560-c56b-4f18-a712-1050a11f74ec

< IN DETAILS COMPANY TYPE DETAILS **BANK DETAILS** >

Bank or Building Society Name *	Account Number
Investor Services	38290008
Address *	Postcode *
15 North Street	NW62 9BT
Branch Sort Code	Building Society Reference/Roll Number
123456	CXJ-K6 897/98X
Name(s) of Account Holder(s) *	
John Smith	

☒ Reinvesting

EDIT

All profile details of Nominee user are available in the corresponding sections in 'Nominee profile'.

'KYC verification passed'

When an investor is on hold waiting for KYC it is allowed to deposit and tokenize cash and to use that to buy fund units only. No other activity is permitted.

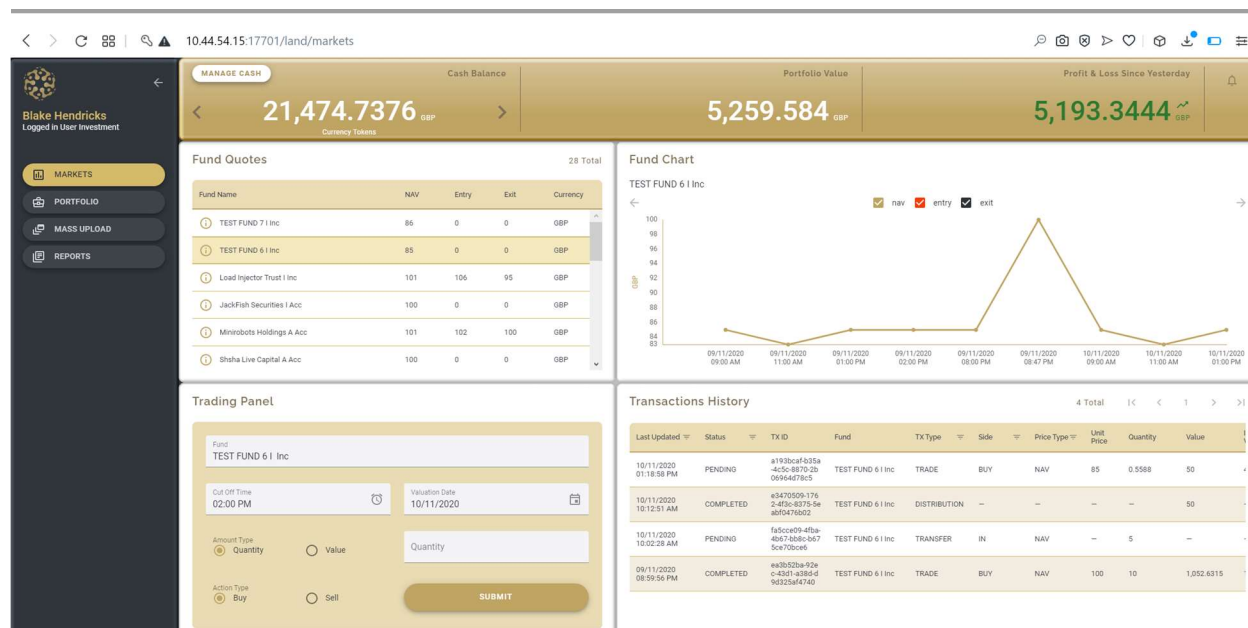
All new investors' accounts automatically have 'on hold' status until the checkbox is ticked by the admin. Once ticked, it applies to all investors under nominee profile.

'Reinvesting' should be ticked if Investor wants to automatically send a buy order with quantity equal to the distribution he got from the same fund. This will be applied to all Investors under nominee profile.

Investor node

Markets

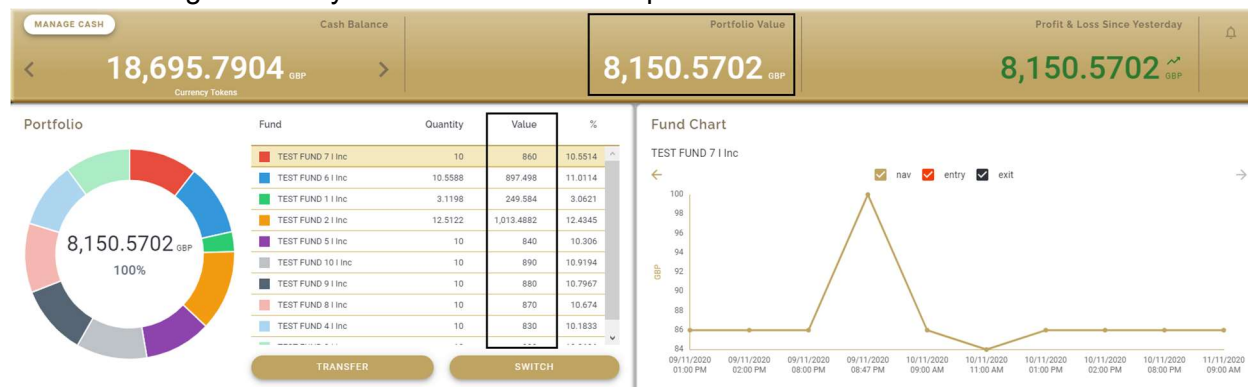
FAC User Guides



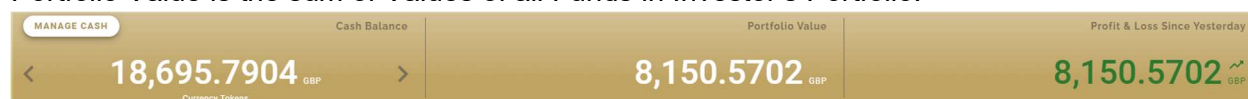
When Investor issues cash tokens, they are not added on the Balance until the Cash Exchange confirms issuance. To issue cash tokens, bank accounts should be created for the Investor and for the Cash Exchange.



When Investor redeems cash tokens, cash balance is displayed as redeemed even though the Cash Exchange has not yet confirmed the redemption.



Portfolio Value is the sum of Values of all Funds in Investor's Portfolio.









FAC User Guides

Profit & Loss Since Yesterday = New Portfolio value (after upload)- old Portfolio value (before upload).

If Fund is not displayed in the Fund Quotes, that means this Fund has Suspended or Closed/Merged status.

Fund Quotes

26 Total

Fund Name	NAV	Entry	Exit	Currency
 TEST FUND 7 I Inc	86	0	0	GBP
 TEST FUND 6 I Inc	85	0	0	GBP
 Load Injector Trust I Inc	100	105	95	GBP
 JackFish Securities I Acc	100	0	0	GBP
 Minirobots Holdings A Acc	100	101	99	GBP
 Shsha Live Capital A Acc	100.1	0	0	GBP

Cut Off Time is in red when there is less than half an hour before Cut Off.

Trading Panel

Fund
TEST FUND 7 I Inc

Cut Off Time
09:00 AM

Valuation Date
11/11/2020

Amount Type
☒ Quantity
☐ Value

Quantity

Action Type
☒ Buy
☐ Sell

SUBMIT

If Investor submits an order last seconds before cut off and the request arrives to the system after the cut off, Investor will get a notification to confirm whether or not he/she wants to send an order with new details.

FAC User Guides

Order Details

Your order details are not valid. Resubmit the order with the corrected details?

The indicative value of your order to buy **2.5** tokens of the fund **TEST FUND 7 I Inc** is **226.3157 GBP** including the initial fund charge of **5%**, which constitutes **11.3157 GBP**

Note: the actual order value may differ depending on the fund price at the valuation date (12/11/2020 08:00 PM).

CANCEL
OK

Investor can also receive a notification, a Negotiation Request, in one of the following cases:

- Order is proposed to be updated: Fund Admin decreases order quantity/value;
- Order is proposed to be updated: Fund Admin re-assigns the order to the previous valuation date.
- Fund is going to be closed;
- Fund is going to be merged.

Investor can either approve or reject the update.

For Order Update:

- In case of approval - Order will be updated with the proposed quantity/value
- In case of rejection - Order will remain in Pricing status.

For Close/Merge:

A Sell order with outstanding tokens of the closing/merging fund will be automatically sent from the Investor's account.

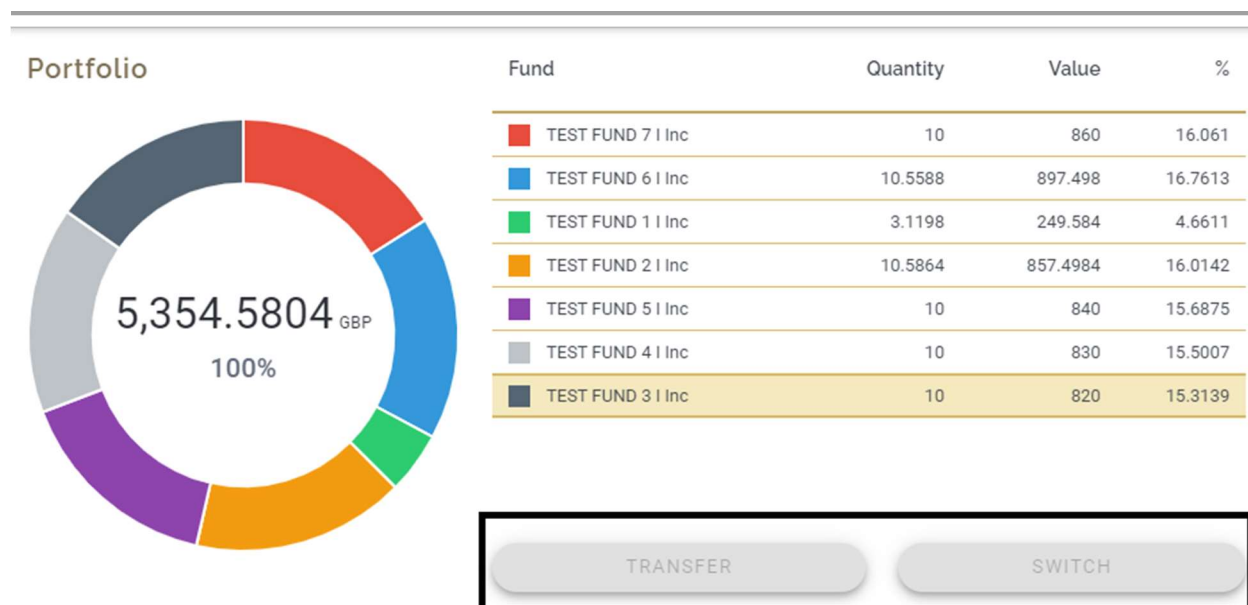
Portfolio

Investor can reject his/her order if cut off has not arrived.

Transactions History														63 Total		< < 1 > >	
Reject	Last Updated	Status	Request's Origin	TX ID	Fund	TX Type	Side	Price Type	Unit Price	Quantity	Value	Invested Value	Fee Amount	Initial Charge	Counterparty	Currency	Valuation Date & Time
	12/11/2020 02:26:43 PM	PRICING	MANUAL	2e91b88e491a-434c-9132-861596c9246f	TEST FUND 7 I Inc	TRADE	BUY	NAV	86	1	90.5263	86	4.5263	5%	TEST FUND 7 I Inc	GBP	12/11/2020 03:27 PM

When selecting the Fund from Portfolio and 'Transfer'/'Switch' are disabled, this means the Fund is in Suspended status.

FAC User Guides



If the Fund disappears from the Fund list in Portfolio, that means the Fund was closed or merged. To transfer the assets Investor needs to know the Web Account ID of a counterparty.

Assets transfer

Counterparty
2e003ebd-0dad-429d-a95a-cc9d1a801bf8

Units
1 / 10

Price
86 GBP

Total
86 GBP

CANCEL

TRANSFER

There is a possibility to switch some or all asset tokens from one fund to the other. Only assets of the funds from the same node can be switched.

Sell side of the switch will always settle first, as a rule. If there is no price for the buy side of the switch transaction, it will stay in pricing status and there will be a possibility to complete the sell part, if there is no price for the sell side of the switch transaction, both sides will stay in pricing.

Asset switch

From

TEST FUND 15 I Inc

15a4cc50-9905-44f3-93fe-929f347e9b4c

GB0000000553

Valuation Date

12/11/2020

Cut Off Time

09:30 PM

To *

TEST FUND 16 I Inc

019b4dbc-2902-4bf3-8224-8905e27dcac6

GB0000000660

Valuation Date

12/11/2020

Cut Off Time

09:30 PM

Units

1|

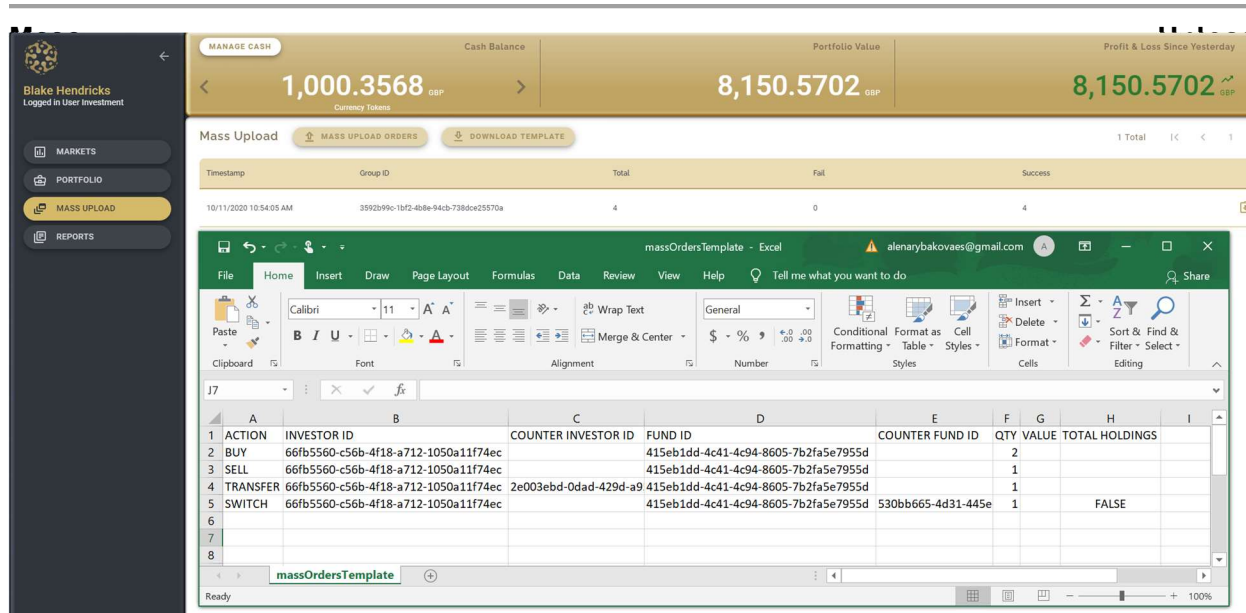
/10

☐ Total holdings

CANCEL

SUBMIT

FAC User Guides



Timestamp	Group ID	Total	Fail	Success
10/11/2020 10:54:05 AM	3592b99c-1bf2-4b8e-94cb-738de25570a	4	0	4

ACTION	INVESTOR ID	COUNTER INVESTOR ID	FUND ID	COUNTER FUND ID	QTY	VALUE	TOTAL	HOLDINGS
BUY	66fb5560-c56b-4f18-a712-1050a11f74ec		415eb1dd-4c41-4c94-8605-7b2fa5e7955d		2			
SELL	66fb5560-c56b-4f18-a712-1050a11f74ec		415eb1dd-4c41-4c94-8605-7b2fa5e7955d		1			
TRANSFER	66fb5560-c56b-4f18-a712-1050a11f74ec	2e003ebd-0dad-429d-a9	415eb1dd-4c41-4c94-8605-7b2fa5e7955d		1			
SWITCH	66fb5560-c56b-4f18-a712-1050a11f74ec		415eb1dd-4c41-4c94-8605-7b2fa5e7955d	530bb665-4d31-445e	1			FALSE

Investor has an option to send several transactions at once (buy, sell, transfer, switch). Example of the 'Mass Upload' file is in the screenshot above.

If there are not enough tokens for completing one or all transactions, general status of the Mass Upload will be 'Failed'.

In the current implementation there is no option to pause or cancel Mass Upload.

Reports

All supported Jasper reports are available to the Investor in 'Reports' tab.

- Close Statement report (for 1st and 2d nodes):
root>Reports>InvestorServices1/InvestorServices2
- Contract Notes report (for 1st and 2d nodes):
root>Reports>InvestorServices1/InvestorServices2
- Merge Statement report (for 1st and 2d nodes):
root>Reports>InvestorServices1/InvestorServices2
- Statement of Positions report (for 1st and 2d nodes):
root>Reports>InvestorServices1/InvestorServices2
- Transaction report: *root>Reports>TheRegulator*
- Daily Fund Issuance Oversight report (for 1st and 2d nodes):
root>Reports>Transactial/Transaxive
- Report for HMRC (for 1st and 2d nodes):
root>Reports>Transactial/Transaxive