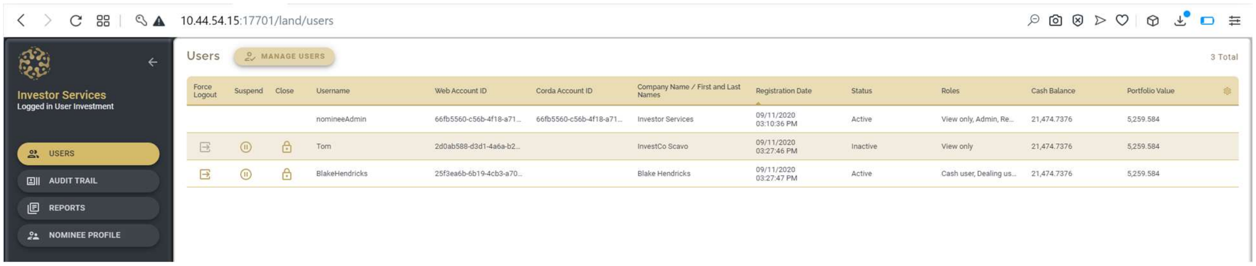
Investor node

Nominee Admin profile



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

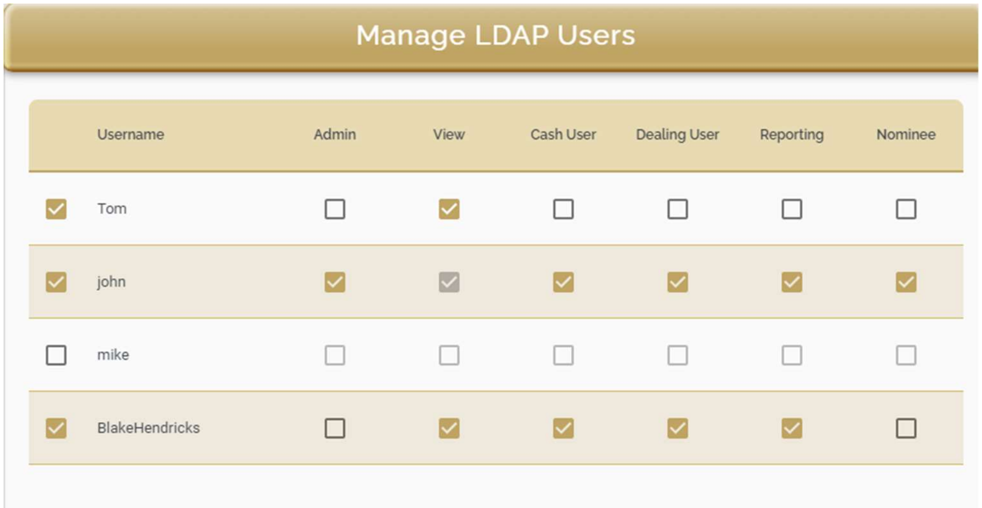
The owner of suspended account should NOT be able:

- 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.



- View User

View should be ticked.

- Dealing User

View, Cash user, Dealing user should be ticked.

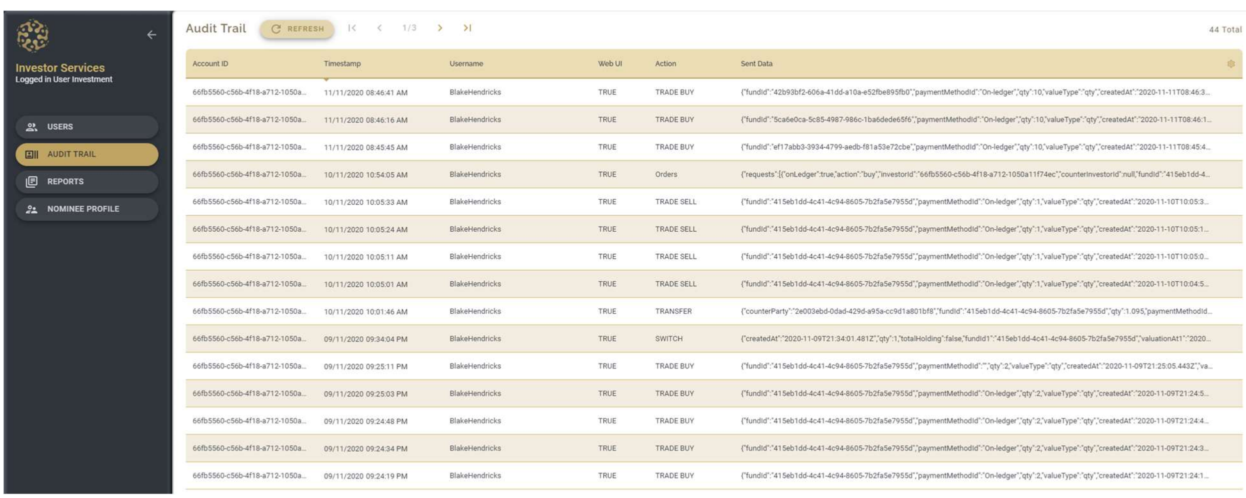
- Reporting User

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

- Admin/Nominee User

All options should be ticked.

Audit trail

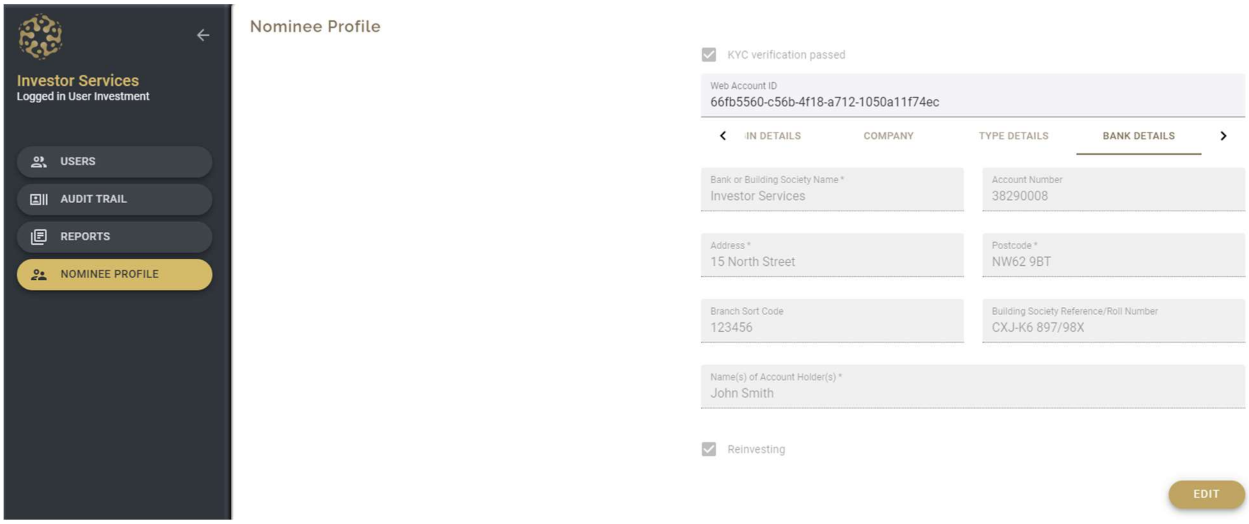


The logs for tracking all transactions made by nominee users can be seen in the Audit trail.

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.

Nominee profile



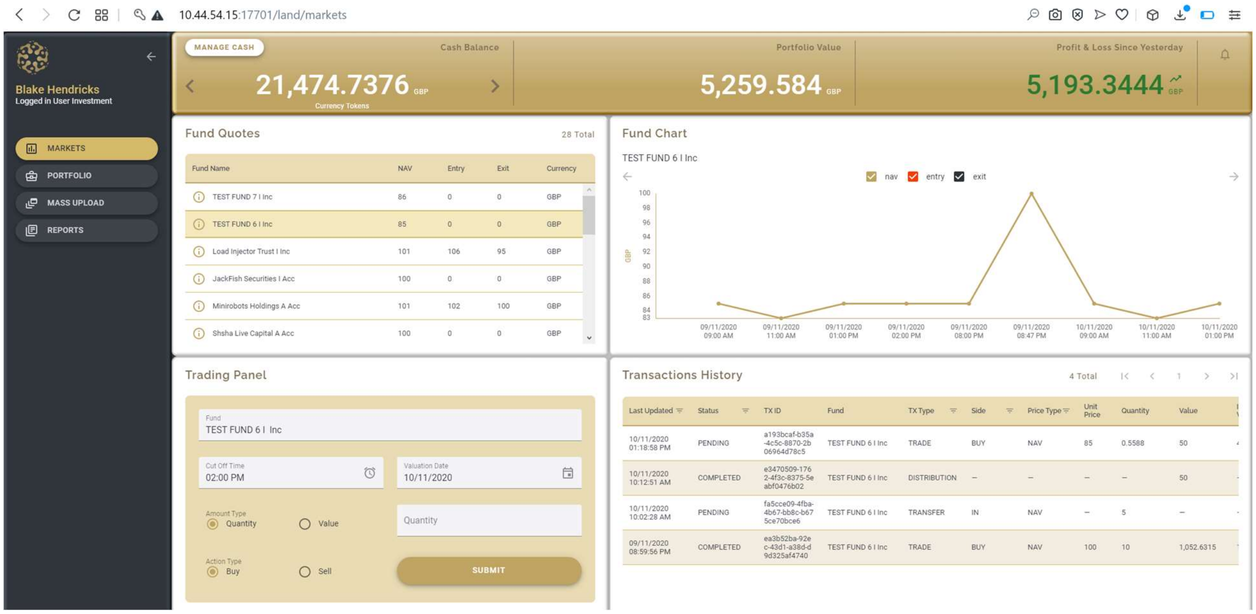
All profile details of Nominee user are available in the corresponding sections in ‘Nominee profile’.

<u>‘KYC verification passed’</u>
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.

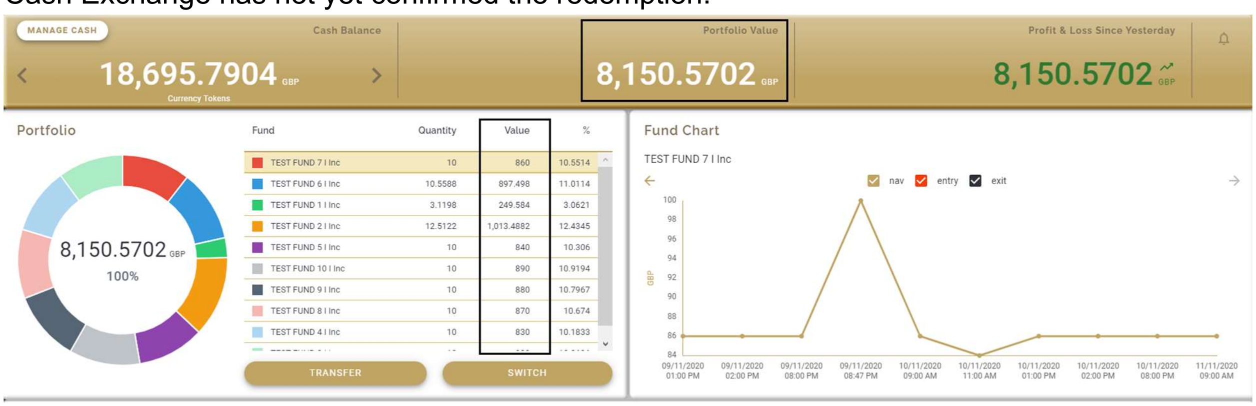
Investor node

Markets



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.

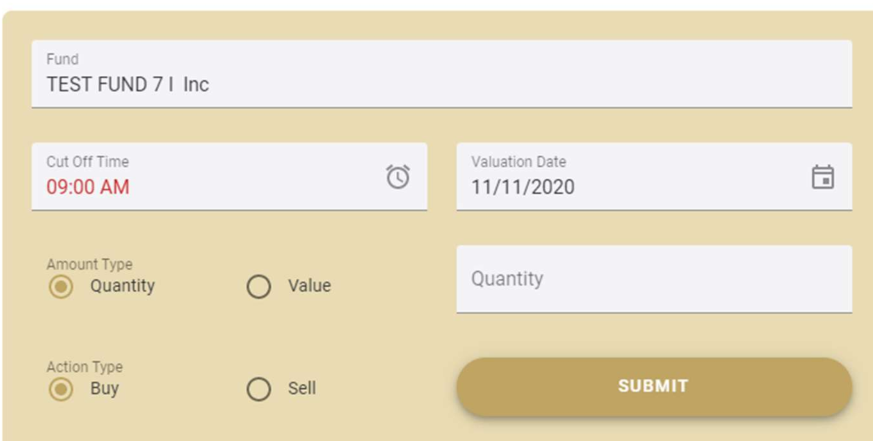
Profit & Loss Since Yesterday = New Portfolio value (after upload)- old Portfolio value (before upload).
If Fund is not displayed in the Fund Quotes, that means this Fund has Suspended or Closed/Merged status.

Fund Quotes 26 Total

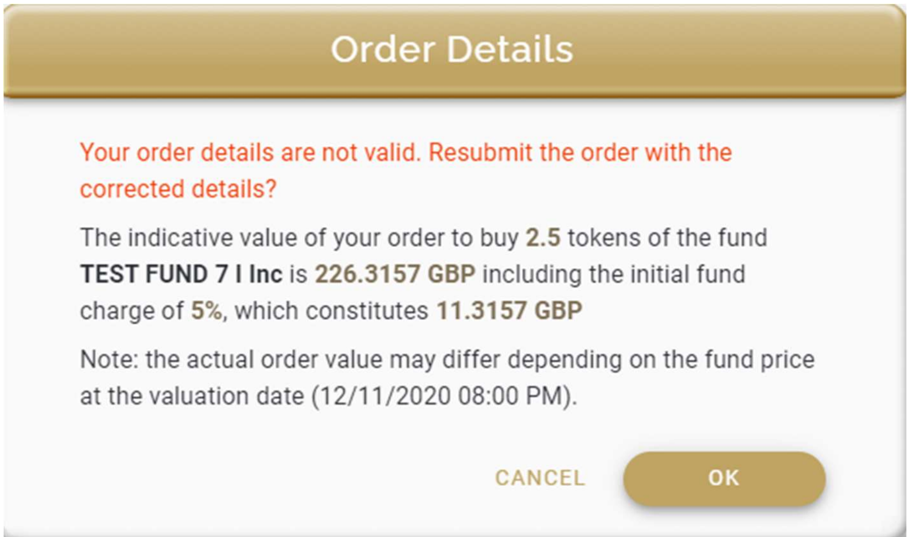
Fund Name	NAV	Entry	Exit	Currency
TEST FUND 7 I Inc	86	0	0	GBP
TEST FUND 6 I Inc	85	0	0	GBP
Load Injector Trust I Inc	100	105	95	GBP
JackFish Securities I Acc	100	0	0	GBP
Minirobots Holdings A Acc	100	101	99	GBP
Shsha Live Capital A Acc	100.1	0	0	GBP

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

Trading Panel



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.



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

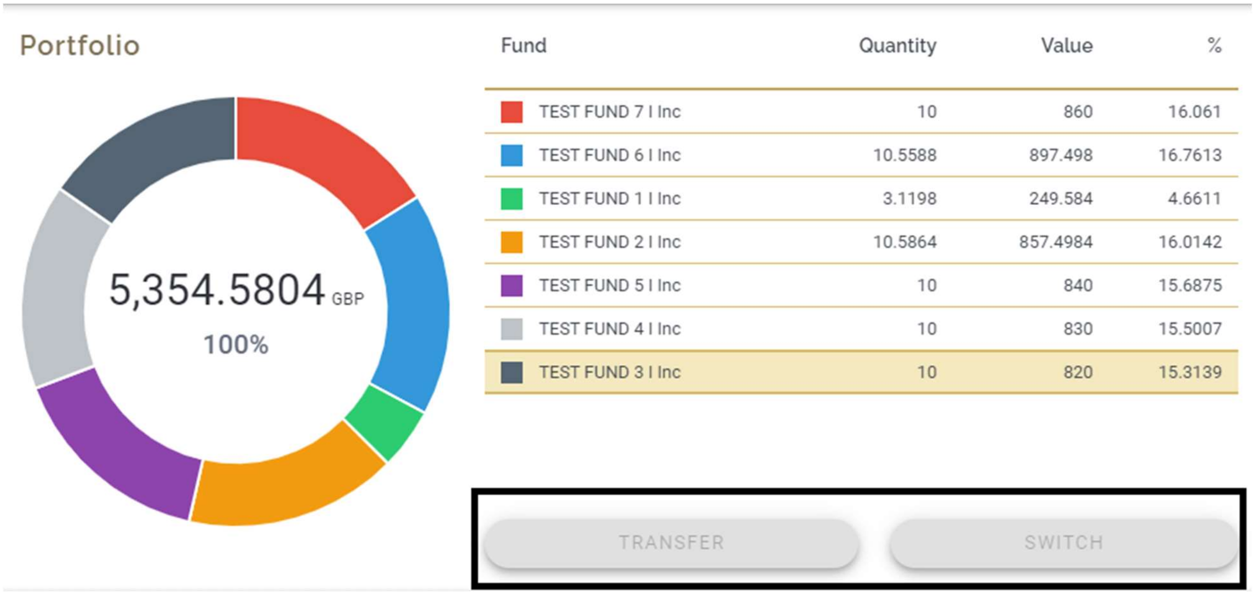
Investor can reject his/her order if cut off has not arrived.

Transactions History

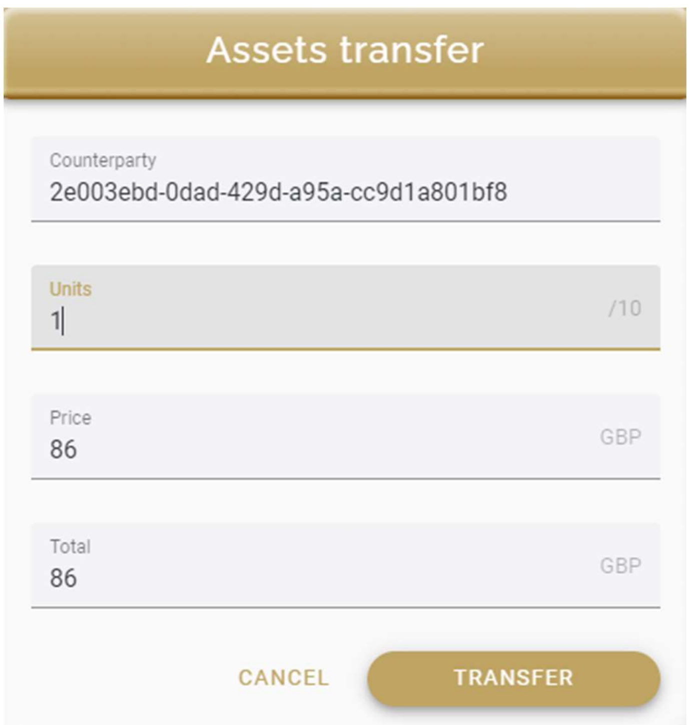
63 Total

	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
Reject	12/11/2020 03:26:43 PM	PRICING	MANUAL	2e91bb8e-e91a-434c-9132-861586c9246f	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.

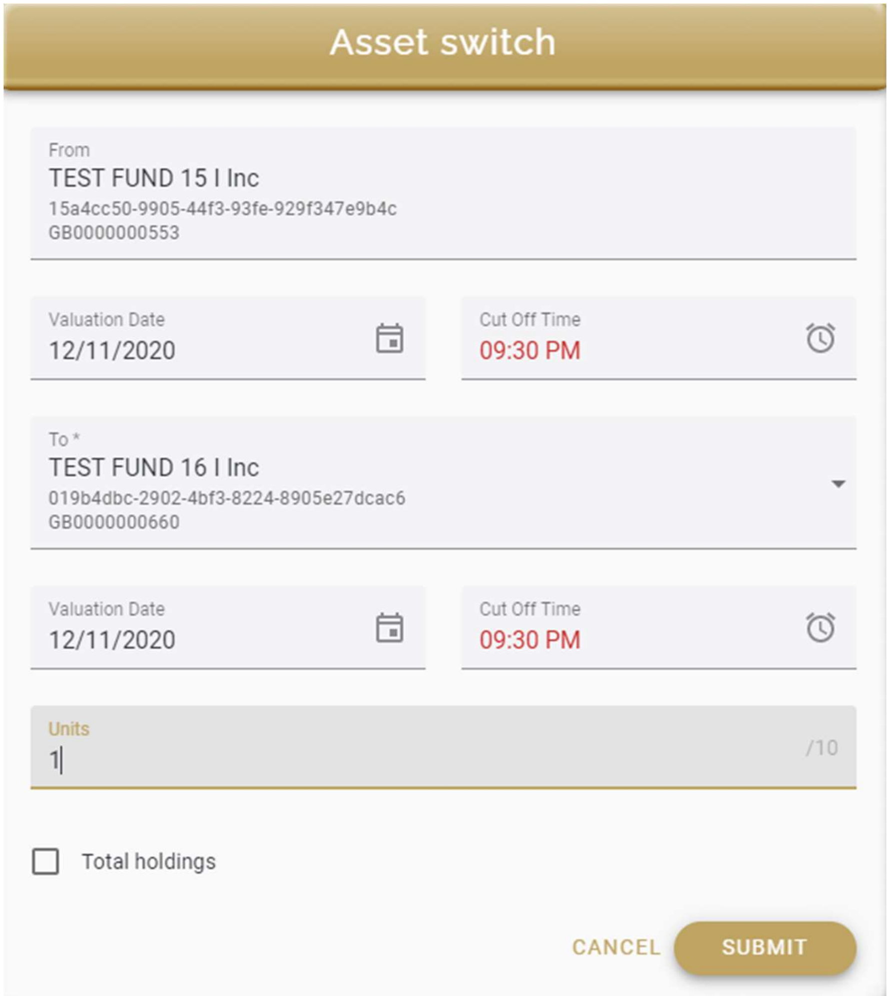


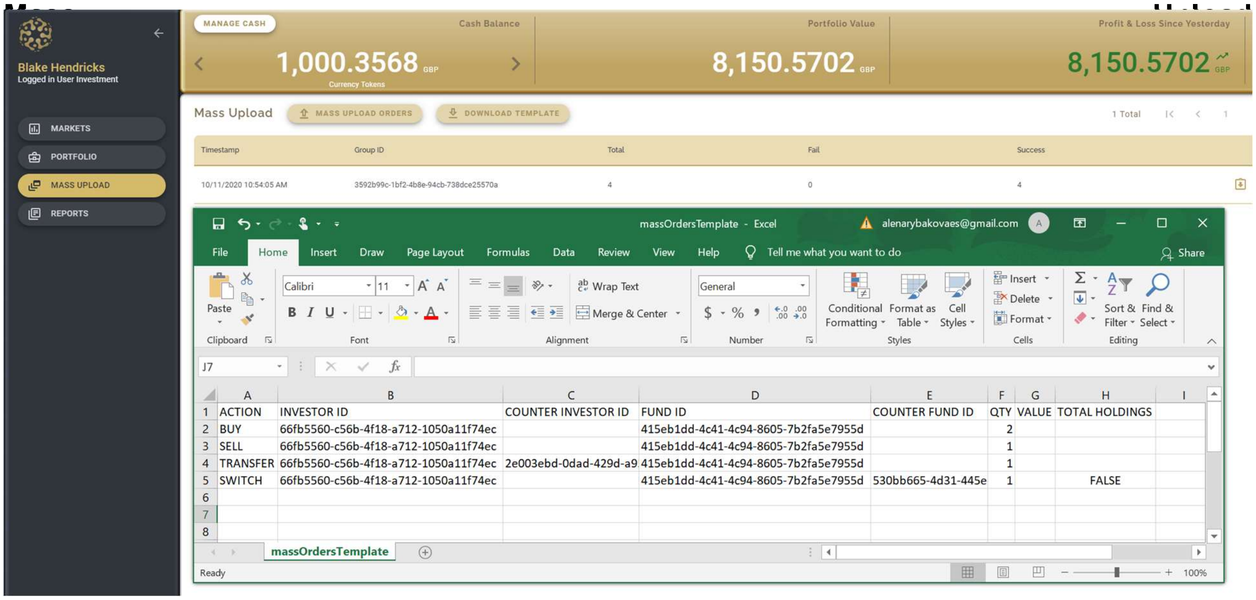
If the Fund disappears from the Fund list in Portfolio, that means the Fund was closed or merged. To transfer the assets Investor needs to know the Web Account ID of a counterparty.



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



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*