ET Trade Limited

Speed Station[+]

Requirement Analysis Document

eIPO Administration Functions

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Name *Firstname & Surname & Title*	Signature	Date
Name 1 Title		
Name 2 Title		
Name 3 Title		

Document Control

Version Number *n.n*	Issued On Date *YYYY/MM/DD*	Author(s)	Change Description
1.0	2016/12/19	Keith Au	First Draft
1.1	2016/12/28	Keith Au	Add individual field definition

Contents

1   Overview

This document is aimed to describe the screen layouts and design, page navigation, and user operation flows for the eIPO administration related functions.
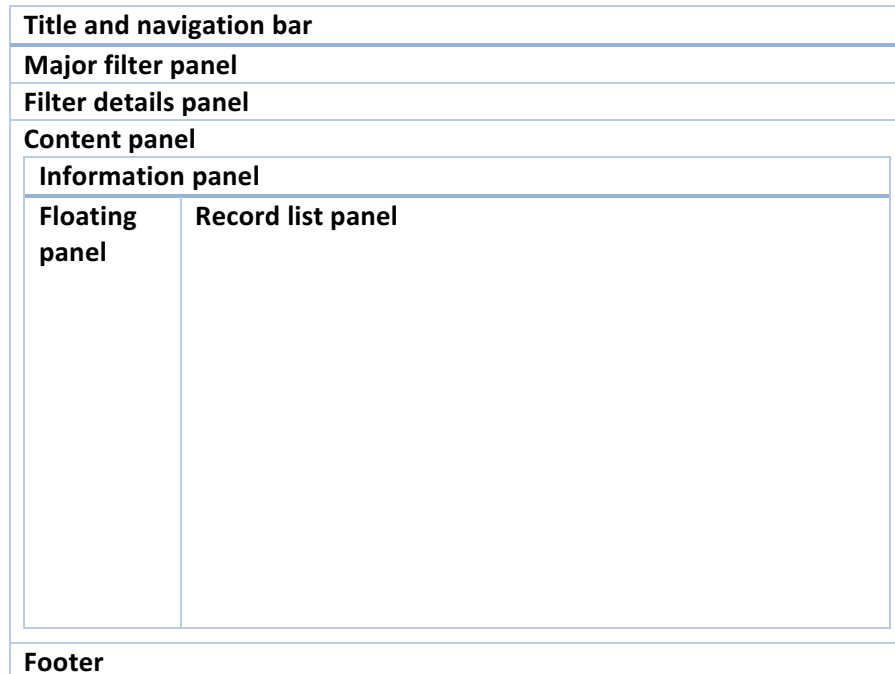
2   Entry Points

Individual administration functions will be launched from the menu bar in ETTSS+ client application. Functions includes:

- IPO Maintenance
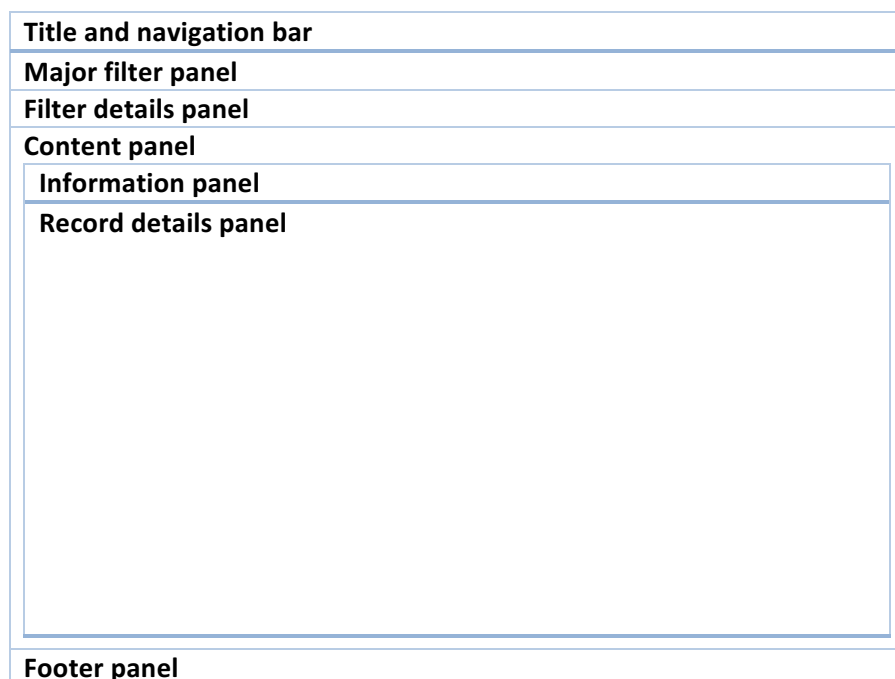   - IPO Master
    - Financing Pool

3   Main Page

Every page of an administration function will be divided into several panels but they can be classified in three different kind of layout.

Layout 1: Apply for searching and display search results.

Title and navigation bar	
Major filter panel	
Filter details panel	
Content panel	
Information panel	
Floating panel	**Record list panel**
Footer	

Layout 2: Apply for displaying details of a record. Further actions like modify and cancel should be supported.

Title and navigation bar
Major filter panel
Filter details panel
Content panel
Information panel
Record details panel
Footer panel

Layout 3: Apply for record creation that does not depend on data from search results.

Title and navigation bar	
Content panel	
Information panel	
Floating panel	**Record details panel**
Footer	
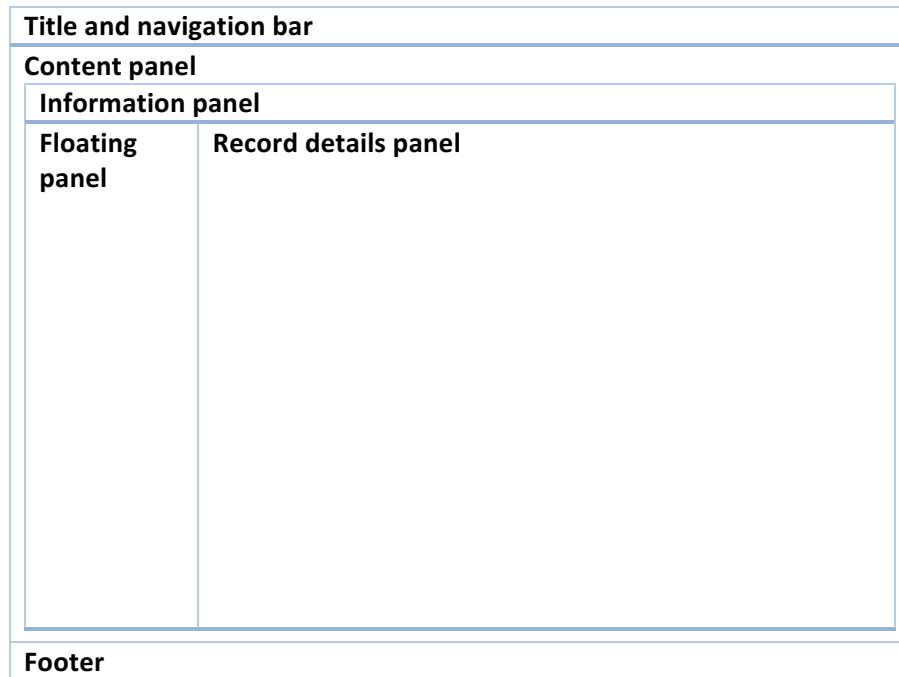
3.1 Title and Navigation Bar

Displays title description and provides multiple levels navigation. The navigation bar will append the detailed function description when user further steps/traverse into the details of a function.

IPO > Master Maintenance
IPO > Master Maintenance > Details

IPO > Financing Pool Maintenance
IPO > Financing Pool Maintenance > Details

User can navigate back to previous function/page by clicking the item name starting upon the second level.

3.2 Major Filter Panel

Displays major filter applied for particular function and allows user to quickly access records by changing the major filter criteria. Each administration function will have its own selected major filter.

3.3 Filter Details Panel

This section will be hidden by default and user can expand this section by clicking the "Show options" item. All available filters and their respective options will be displayed in this section. User can change the filter criteria and then search for the records by applying the changes.

Available filters and their options will be changed accordingly to the selection in the major filter.

3.4   Content Panel

This is the area to display either the search results or the record details. When user updated the selected filters, this area will display all the records of the search or filtered results. When user selected a record for viewing the details, it will display the content detail panel.

3.5   Information Panel

This panel is optional. Function that requires to display additional information should make use this panel to show summary or aggregated information for the listed records or detailed record.

3.6   Floating Panel

This section is a floating layer located on the left of the page. It will stick on the top of the page while the page was scrolling towards the bottom. Action buttons will also be located here.

Available filters or actions will be shown on this area based on the results displaying in the details panel.

3.7   Record List Panel

This section will list out all the records that matched the applied filters.

3.8   Record Details Panel

This section will display the content of a selected record.

3.9   Footer Panel

This panel is optional. This section will display summary statistics of the search results and provide shortcut to navigate back to top of the page.

4 Functions

4.1 IPO Master Maintenance

4.1.1 Layout

Layout	Layout 1
Title and navigation bar	Yes
Major filter panel	Yes
Filter details panel	Yes
Information panel	No
Floating panel	Yes
Record list panel	Yes
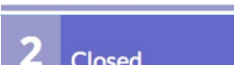
4.1.1.1 Major Filters Panel

Switching major filter will apply search for all IPO master records with criteria specified in filter details panel.

Major filter: IPO status

Status	Layout	Stage	When selected, record list panel will display
All	12 All 12 All	Not selected Selected	All IPO master records. Includes deleted and postponed records as well.
Pending	2 Pending 2 Pending	Not selected Selected	For maker: All IPO master records being drafted, waiting for approval by checker. For checker: All IPO master records being pending for approval. This is the default filter when the page was loaded.
Rejected	1 Rejected 1 Rejected	Not selected Selected	All IPO master records which had been rejected.
Coming	5 Coming 5 Coming	Not selected Selected	All approved IPO master records which subscription is not yet started.
Opening	3 Opening 3 Opening	Not selected Selected	All approved IPO master records which subscription has started but not yet end.
End	2 Ended 2 Ended	Not selected Selected	All approved IPO master records which subscription were ended but not yet closed.
Closed	2 Closed 2 Closed	Not selected Selected	All approved IPO master records which were closed.

4.1.1.2 Filter Details Panel

Filter details panel will be displayed in collapsed mode in default. User can click the "Show options" link to expand the panel.

Collapsed mode	Modified within last 30 days Show options ⌄

		Displays the filter details in a single line.
Expanded mode		Modified within last 30 days (✔ by myself)　Hide options ⌃
		Modified ▼　within last　30 ▼　days, ☑ only include records created or modified by myself
		Search
		Display the filter details and also allow user to change criteria and perform search again.

#	Criteria	Display format
1	Modified	Modified ▼　within last　30 ▼　days, ☐ only include records created or modified by myself
		Day range from 5 to 90 days with 5 days as interval. Default shows 30 days.
		If "only include records created or modified by myself" checkbox was checked, the search will only display IPO master records created or modified by such user. It will append (✔ by myself) description in the filter details.
2	Subscription Start Date	Subscription Start Date ▼　within　▦ 2016/12/12 to ▦ 2017/02/12 , ☐ only include records created or modified by myself
	Subscription End Date	Click the calendar icon in the date input field to expand a calendar for date selection.
	Closing Date	

Two consecutive months will be displayed and selected date range (if date fall inside two months) will be displayed in the calendar.

Default fills in today as start date and a week after as end date.

[Add range checking]

4.1.1.3   Floating Panel

Type	Item	Description
Action Button	New IPO	When clicked, navigate to "Create IPO Master" page.
Filters	Status	Statuses may include: (found in displayed records set only) • Draft • Pending • Rejected • Coming • Ended • Closed • Postponed • Deleted Hide this item if all records belong to one status.
	Modified by	Users exist in displayed records set only. Hide this item if all records belong to one user.
	Mode	Modes may include: (found in displayed records set only) • Non financing • Financing Hide this item if all records belong to one mode.

4.1.1.4   Record List Panel

Sorting

Mode	Last Modified Time	No selected
	Last Modified Time ▲	Selected filter sorted in descending order
	Last Modified Time ▼	Selected filter sorted in ascending order.
Available record sorting item	Last modified Time	Default sorted in ascending order
	Modified By	Default sorted in ascending order
	IPO Name	Default sorted in ascending order
	Subscription Start	Default sorted in ascending order
	Subscription End	Default sorted in ascending order
	Closing Date	Default sorted in ascending order

Individual record details

Field	Layout/Format	Description
IPO name		Name of the IPO
IPO code		Code of the IPO
Financing mode	Financing	Indicator for IPO master record, exists if and only if financing is enabled for such IPO.
Record status	Draft Pending	Waiting (New) – displays "Draft" Waiting (Modify) – displays "Draft" Pending (New) – displays "Pending" Pending (Modify) – displays "Pending" Pending (Delete) – displays "Pending" Pending (Postpone) – displays "Pending"
	Rejected	If IPO record had been rejected, displays "Rejected".
	Opening	If IPO record is still open for subscription.
	Ended	If IPO subscription was already ended.
	Closed	If IPO was already closed.
	Deleted	If IPO record had been deleted, displays "Deleted". If IPO record had been postponed, displays "Postponed".
IPO status		IPO status will be shown for approved IPO records.
	Coming in 5 days	If subscription not started, displays "Coming in NN days".
	Subscription end in 3 days	If financing started but not ended displays "Financing end in NN days". If subscription started but not ended, displays "Subscription end in NN days".
	Ended 1 month ago	If subscription ended but not closed, displays "Ended NN days/months/years".
	Closed 2 days ago	If subscription closed, displays "Closed NN days/months/years ago".
		Empty for "Deleted", "Postponed" records
Price	HKD 1.10 – 1.36	If IPO is still not closed, displays the IPO offering price range
	HKD 1.20	If IPO is closed and final offering price is available, displays the offering price
Financing period	YYYY/MM/DD at HH:MM - YYYY/MM/DD at HH:MM	Displays financing period range if applicable
Subscription period	YYYY/MM/DD at HH:MM - YYYY/MM/DD at HH:MM	Displays subscription period range
Close	YYYY/MM/DD at HH:MM	Displays close date and time

Last modified	Last modified by [UserName] on [ModifiedDate] at [ModifiedTime]	

Actions

When clicked the record	Open individual IPO master **record details view.**
	If user is a checker, the record will be opened in view only mode which most the fields are read only except the "Remark for internal" field for input reject reason.
	If user is a maker, the record will be opened in editable mode where fields that are editable are displayed with input box.

4.2   IPO Master

4.2.1   Layout

Layout	Layout 3
Title and navigation bar	Yes
Information panel	Yes
Floating panel	Yes
Record details panel	Yes
Footer panel	Yes

4.2.2   Title and Navigator Bar

Click "IPO Master Maintenance" will go back to the "IPO Master Maintenance" page.

4.2.3   Information Bar

New IPO Master Record

Draft   10 / 50 mandatory fields filled (20%)   Last Modified by **Aimer Chau** on **2016/11/01** at **12:34**

New IPO Master Record

Draft   0% completeness   Last Modified by **Aimer Chau** on **2016/11/01** at **12:34**

Field	Layout/Format	Description
Header	Display the actions	For new IPO master record, display "New IPO Master Record" For modify IPO master record, displays "Modify IPO Master"
Status	Status of the IPO master record	Available values are: • Draft • Pending
Progress	Shows to the form filling progress. "[Filled mandatory fields]/[Total number of mandatory fields] mandatory fields filled (NNN%)	Counts required fields only. Total filled fields / Total required fields and round down to integer. Where NNN is the percentage. E.g. 10/50 mandatory fields filled (20%) and the bar will be displayed as follows: 10 / 50 mandatory fields filled (20%)
Last modified	Last modified by [UserName] on [ModifiedDate] at [ModifiedTime]	Displays only after saved as draft.

4.2.4   Floating Panel

All action button will be displayed on the bottom of the floating panel.

Action	Mode follows the action	
	Maker	**Checker**
New	Editable mode	-
Open	View only mode	View only mode if IPO master record had been approved/rejected. Editable mode if IPO master record is pending for approval (Only "Remarks for internal" field is editable).
Edit	Editable mode	-
Back/Save Draft	View only mode	-
Accept/Reject	-	View only mode (The "Remarks for internal" field is no longer editable)

Field	Layout/Format	Description	Display			
			Maker		**Checker**	
			View only mode	Editable Mode	View only mode	Editable Mode
Accept		For checker to approve an IPO master record. Only being shown for checker the IPO master record is in Pending status. Once record was approved or rejected, maker can further modify the record and then save draft before re-submission.	×	×	×	✓
Reject		For checker to approve an IPO master record. Only being shown for checker the IPO master record is in Pending status. Once record was approved or rejected, maker can further modify the record and then save draft before re-submission.	×	×	×	✓
Back		For going back to the record list view without performing any action on the record.	✓	×	×	✓
Edit		IPO master record will be opened in view only mode by default for maker. It will turn into editable mode after pressed the "Edit" button.	✓	×	×	×
Save Draft		For maker to save an IPO master record as draft without submitting it for approval. Once an IPO master record was submitted and pending for approval, "Save Draft" action will be hidden.	×	✓	×	×
Submit		For maker to submit an IPO master record for approval. It will save the changes before submission. Maker can modify the	×	✓	×	×

(Layout/Format column icons: Accept, Reject, Back, Edit, Save Draft, Submit, Delete, Postpone, Resume)

		records and submit again. Once record was submitted and pending for approval, maker can perform "Save draft" action.				
Delete		For maker to mark an IPO master record to be deleted and submit for approval. It will save the changes before submission. Once record was submitted and pending for approval, maker can perform "Save draft" action.	✗	✓	✗	✗
Postpone		For maker to mark an IPO master record to be postponed and submit for approval. It will save the changes before submission. Once record was submitted and pending for approval, maker can perform "Save draft" action.	✗	✓	✗	✗
Resume		For maker to mark an IPO master record to resume and submit for approval. It will save the changes before submission. Once record was submitted and pending for approval, maker can perform "Save draft" action.	✗	✓	✗	✗

4.2.5   Record Details Panel

4.2.5.1   Screen Navigation

All sections and fields will be displayed in a single page and sections will be linked up by anchors. Section anchors show on top of the page as sticky header. When user click a section anchor, the page will scroll to corresponding anchor position.

Scrolling the page in action…

Click the "Fee and Charges" section and the page will go to that anchor.

4.2.5.2   Field Specification

Information	Layout/Format	Description
Form filling completeness per section	① Basic Information - 0/10 Section name – [Filled fields] / [Total number of mandatory fields]	Displays the completeness of form filling for the caption section.
Mandatory field	Commission Rate (Required) %	Will have "(Required)" placeholder text
Additional Information	Allowed Loan Ratio (Selected by ",") (e.g. 10, 20, 30, 40, 50, 60, 70, 80, 90)	Placeholder to display sample input data to help form filling
Field validation	Interest Day 0 ⚠ Must be great than zero	Field validation failure information will be displayed under corresponding field.
View only field	Final Offer Price HKD 1.31	View only field will be displayed as text instead of input box.

4.2.5.3   Basic Information

4.2.5.4 Fee and Charge

4.2.5.5 Quantity/Amount Table

User can input quantity range, interval, calculation method to generate the quantity/amount tables. User is only allowed to remove a range instead of individual quantity and amount pair.

4.2.5.6 Financing

If the "Provide IPO financing" checkbox was unchecked, all fields below will be hidden. Warning message will be prompted if user have already inputted data.

4.2.6 Footer

Back to > Basic Information > Fee and Charges > Quantity/Amount Table > Financing

Provide shortcut to navigate back to individual sections.

4.2.7 IPO Master Record Fields

Display Name	Input/ Output	Format/ Type	Description	Mandatory	Maker		Checker	
					View only	Edit-able	View only	Edit-able
Basic Details								
Stock Code	Input	ZZZZ9(5)	input, system check if Approved has used the code, if so, pop-up an reminder "Stock Code has been used by an Active IPO" Auto fill digits 0 to make sure the code is in 5 digits format	Y	Static Text	Edit box	Static Text	Static Text
IPO Code	Output	X(20)	System generate , Code Format: IPOYYYYMMDD999999999 (IPO+Date+Serial, Example: IPO20160513000000001)	Y	Static Text	Static Text	Static Text	Static Text
English Stock Name	Input	X(35)		Y	Static Text	Edit box	Static Text	Static Text
Traditional Chinese Stock Name	Input	X(35)	display name of stock when system language is 繁體	Y	Static Text	Edit box	Static Text	Static Text
Simplified Chinese Stock Name	Input	X(35)	display name of stock when system language is 简体	Y	Static Text	Edit box	Static Text	Static Text
Number of Offer Shares/Unit under Global Offering	Input	9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9	for record	N	Static Text	Edit box	Static Text	Static Text
Number of Public Offer Shares/Unit	Input	9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9	for record	N	Static Text	Edit box	Static Text	Static Text
Stock Currency	Input	X(3)	select the currency for the IPO E.g. HKD, CNY	Y	Static Text	List Box	Static Text	Static Text
Offer Price Range (from)	Input	9(10)V9(2)	for record	Y	Static Text	Edit box	Static Text	Static Text
Offer Price Range (to)	Input	9(10)V9(2)	the amount is initial offering price, use it to calculate subscribing amount	Y	Static Text	Edit box	Static Text	Static Text

Board Lot	Input	9(10) Z,ZZZ,ZZZ,ZZ9		Y	Static Text	Edit box	Static Text	Static Text
Nominal Value Currency	Input	X(3)	Same as Stock Currency	Y	Static Text	Static Text	Static Text	Static Text
Nominal Value	Input	9(10)V9(2)	for record	N	Static Text	Edit box	Static Text	Static Text
Online IPO Start Date/Time :	Input	YYYY/MM/DD HH:MM	pop-up a calendar and time slot selector, IPO allow subscribe only when this specific date/time has arrived	Y	Static Text	Edit box	Static Text	Static Text
Online IPO Closing Date/Time	Input	YYYY/MM/DD HH:MM	pop-up a calendar and time slot selector, IPO allow subscribe only before this specific date/time	Y	Static Text	Edit box	Static Text	Static Text
Application Period Start Date	Input	YYYY/MM/DD	For BO	Y	Static Text	Edit box	Static Text	Static Text
Application Period End Date	Input	YYYY/MM/DD	For BO	Y	Static Text	Edit box	Static Text	Static Text
Price Fixing Date	Input	YYYY/MM/DD	pop-up a calendar	N	Static Text	Edit box	Static Text	Static Text
Result Announcement Date	Input	YYYY/MM/DD	pop-up a calendar	N	Static Text	Edit box	Static Text	Static Text
Dispatch of Shares and Refund Date	Input	YYYY/MM/DD	pop-up a calendar	N	Static Text	Edit box	Static Text	Static Text
Listing Date	Input	YYYY/MM/DD	pop-up a calendar	Y	Static Text	Edit box	Static Text	Static Text
Final Offer Price	Input	9(10)V99		N	Static Text	Edit box	Static Text	Static Text
ENG Prospectus URL	Input	X(255)	url link to prospectus	N	URL	Edit box	URL	URL
CHT Prospectus URL	Input	X(255)	url link to prospectus	N	URL	Edit box	URL	URL
CHS Prospectus URL	Input	X(255)	url link to prospectus	N	URL	Edit box	URL	URL
Remark for External	Input	X(255)	this remark is displayed to client	N	Static Text	Edit box	Static Text	Static Text
Remark for Internal	Input	X(255)	this remark is displayed to user	N	Static Text	Edit box	Static Text	Edit box
Accept Subscription	Input	Checkbox	Checked if client can subscribe; Unchecked if subscription is not allowed	Y	Check box (Disabled)	Check box (Enabled)	Check box (Disabled)	Check box (Disabled)

Fees and Charges								
Commission Rate	Input	9(4)V9(4)		Y	Static Text	Edit box	Static Text	Static Text
Levy Rate	Input	9(4)V9(4)		Y	Static Text	Edit box	Static Text	Static Text
Trading Fee Rate	Input	9(4)V9(4)		Y	Static Text	Edit box	Static Text	Static Text
Investor Compensation Levy Rate	Input	9(4)V9(4)		N	Static Text	Edit box	Static Text	Static Text
Client Rebate Rate	Input	9(4)V9(4)		N	Static Text	Edit box	Static Text	Static Text
Currency of Handling Fee	Input	X(3)	Select the currency for the handling fee	Y	Static Text	List box	Static Text	Static Text
Cash Handling Fee	Input	9(1)V9(2)	For Cash Subscription	Y	Static Text	Edit box	Static Text	Static Text
Financing Handling Fee	Input	9(1)V9(2)	For Financing Subscription (this field will be displayed if "Provide IPO financing" option was checked)	Y	Static Text	Edit box	Static Text	Static Text
Quantity/Amount Table				Y				
Quantity vs Amount Table	Input/ Output	Table	Display following columns 1) Range 9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9 < quantity <= 9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9V9(2) 2) Quantity 9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9 3) Amount 9(15)V9(2) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9.99 4) Remove button	Y	Static Table	Static Table (Can remove record)	Static Table	Static Table
Quantity/Amount Input Area					Hide	Show	Hide	Hide
Quantity Range From	Input	9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9	Set Qty/Amount start range	Y	Hide	Edit box	Hide	Hide
Quantity Range To	Input	9(15)	Set Qty/Amount end range	Y	Hide	Edit box	Hide	Hide

		ZZZ,ZZZ,ZZZ,ZZZ,ZZ9						
Interval	Input	9(10) Z,ZZZ,ZZZ,ZZ9	Set the interval among the range	Y	Hide	Edit box	Hide	Hide
Calculation Method	Input	1) Round Lump Sum Amount 2) Round By Individual Change 3) Base On Unit Cost and Round Lump Sum Amount 4) Base On Unit Cost and Round by Individual Amount	Refer to existing iTrade logic	Y	Hide	List box	Hide	Hide
Add	Input	Button	Click to add a rule base on above setting		Hide	Button	Hide	Hide
Remove	Input	Button	Click to remove the selected rule		Hide	Button	Hide	Hide
Remove All	Input	Button	Click to erase the whole table		Hide	Button	Hide	Hide
Financing								
Provide IPO Financing	Input	Check box	Checked if IPO financing is allowed; Unchecked if IPO financing is not allowed.	Y	Check box (Disabled)	Check box (Enabled)	Check box (Disabled)	Check box (Disabled)
Financing optional fields	(Below fields will be hidden if "Provide IPO Financing" field was not checked.)							
Financing Start Date/Time	Input	YYYY/MM/DD HH:MM	pop-up a calendar and time slot selector, leave it blank if equal to "Online IPO Start Date/Time"	Y	Static Text	Edit box	Static Text	Static Text
Financing End Date/Time	Input	YYYY/MM/DD HH:MM	pop-up a calendar and time slot selector, leave it blank if equal to "Online IPO End Date/Time"	Y	Static Text	Edit box	Static Text	Static Text

Interest Day	Input	9(3)	Loan Amount x (Interest Rate / 365) x Interest Day	Y	Static Text	Edit box	Static Text	Static Text
Max Loan Amount per Application	Input	9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9	the cap for loan amount per financing application	N	Static Text	Edit box	Static Text	Static Text
Min Loan Amount per Application	Input	9(15) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9	The minimum loan amount per financing application	N	Static Text	Edit box	Static Text	Static Text
Min no. of shares applied for IPO Loan	Input	9(10) Z,ZZZ,ZZZ,ZZ9	accept financing only when Shares Applied Amount is greater than this number	N	Static Text	Edit box	Static Text	Static Text
Max Loan Ratio	Input	9(3)V9(2)	the default display loan ratio	Y	Static Text	Edit box	Static Text	Static Text
Must Use Max Loan	Input	Check box	Checked if allowed to use maximum loan; Unchecked if allowed client to select other loan ratio	Y	Static Text	Edit box	Static Text	Static Text
Allowed Loan Ratio	Input	255 char	use ',' to separate each ratio Place holder as follows: (e.g. 10, 20, 30, 40, 560, 60, 70, 80, 90)	Y	Static Text	Edit box	Static Text	Static Text
Basic Interest Rate	Input	9(4)V9(4)	Loan Amount x (Interest Rate / 365) x Interest Day	Y	Static Text	Edit box	Static Text	Static Text
Special Interest Rate Table	Input/ Output	Table	Display following fields: 1) Load Amount > 9(15)V9(2) ZZZ,ZZZ,ZZZ,ZZZ,ZZ9.99 2) Interest Rate (% p.a.) 9(4)V9(4) 3) Remove button	Y	Static Table	Static Table (Can remove record)	Static Table	Static Table
Remove All	Input	Button	Remove all records in the Special Interest Rate Table	-				
Special Interest Rate Input Area				Y	Hide	Show	Hide	Hide
Load from templates	Input	List box	Listed out all save templates for selection	N	Hide	List box	Hide	Hide
Load	Input	Button	Add selected template records into the table	-	Hide	Button	Hide	Hide

Loan amount above	Input	9(15)V9(2) ZZZ,ZZZ,ZZZ,Z ZZ,ZZ9.99	Set up a new Special Interest Rate Rules: 1) indicate loan amount	N	Hide	Edit box	Hide	Hide
Special Rate (p.a.)	Input	9(4)V9(4)	Set up a new Special Interest Rate Rules: 2) define corresponding rate	N	Hide	Edit box	Hide	Hide
Add	Input	Button	Set up a new Special Interest Rate	-	Hide	Button	Hide	Hide
Save as template with name	Input	X(35)	Click "Save as Temporary" system will save the record without any checking, Status will be marked as "Temporary"	N	Hide	Edit box	Hide	Hide
Save	Input	Button	Save records in the Special Interest Rate Table as template with name specified in "Save as template with name" field.	-	Hide	Button	Hide	Hide

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