PrecISE Custom Client Categories

Business Requirements

Confidential

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About This Document

This document specifies the business requirements for functional changes to PrecISE's Custom Client Categories feature.

Document Audience

The audience for this document includes:

- Product Management
- Development
- Software Quality Management
- Technology Member Services
- Market Operations
- Business Development
- Legal

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The following table provides document revision history.

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Chapter 1 Introduction

This chapter provides an introduction to the Custom Client Category (CCC) BRD.

1.1 Business Case

PrecISE Trade needs to provide its users with a consistent way to associate orders and trades with their clients. The client information needs to be persisted and delivered via PrecISE Trade generated reports. In the future PrecISE Trade needs to allow its users to associate risk profile with their clients.

1.2 Scope

The high level scope of this requirement is to provide functional changes to the CCC features.

1.3 Key Definitions, Acronyms, and Abbreviations

Acronym	Details
CC	Client Category
CCC	Custom Client Category. It derives from an original client category and associates with a set of attributes.
BU/Desk	Business Unit or Desk. An autonomous unit of order execution or trade correction within a member firm. All same desk users can view and modify desk orders and trades. This document may use BU and desk interchangeably.
MU	Master User, a PrecISE user with special privilege to view and modify orders and trades for other desk users.
Desk Defaults	In the context of this document, a copy of CCC attributes shared amongst same desk users.
User Copy	In the context of this document, A user's private copy of CCC attributes.
CCC Content	An expression used synonymously to CCC associated attributes.
D/A	Done Away, a major aspect of PrecISE order management system, allowing users to record and manage orders and trades done on a different execution venue.
PTA	Post Trade Allocation, a process of updating trades.
POHR	PrecISE Order History Report
PORTS	PrecISE Order Routing Service, the routing service at the center of Sales Desk implementation

1.4 Priority

The priority is high.

1.5 Related Documents

TBD

Chapter 2 Overview

This chapter provides an overview of the Custom Client Categories in the PrecISE trading system.

2.1 Current Processing

Client Categories identify the type of client on whose behalf an order is entered. Originally, these were defined broadly in PrecISE (as Customer, Broker/Dealer, or ISE Market Maker, etc.).

Customized Client Categories (CCCs) allow PrecISE users to customize each of these categories by appending a mnemonic abbreviation to it. For example: Customer-GC, ISE MM-GC, and Customer-MS are all possible CCC Names, where "GC"= Goldman Sachs and "MS" = Morgan Stanley.

Users can map clearing information and other attributes to each CCC; these are listed in the **Attribute List**.

When a user sets up and maps a CCC using his Preferences window, this information is saved to his desktop only. A user with Company Admin entitlement can save Custom Client Categories with the Company Desktop. Company Desktop is available for every same desk user.

When a user opens an order ticket and selects that CCC from the Client Category dropdown, the associated attributes populate the clearing information on the order ticket. The attribute content is retained on the user's orders and trades, but the CCC Name is not persisted on orders and trades – only the original Client Category from which the CCC is derived is retained.

2.2 Overview of New Functionality

A new enhancement proposes to extend CCC usage so that all PrecISE users within the same desk can share any CCC and its associated attributes. A CCC entered by one user will no longer be restricted to just that user's PrecISE desktop. Instead, the CCC data will become a default desk copy available to all same desk users. Every same desk user will also be able to add, view, and delete shared CCCs, as well as modify all of their associated attributes. In addition, each user can create and manage his own copy of the attribute content.

Overall, the CCC data will become independent from the desktop state data. Users will be able to load and save CCC data independent from saving or loading a desktop.

The CCC value will also be persisted on orders and trades. The CCC will be displayed in the Client Category column for the following views: Order Status, Trades, Order History, and Change Clearing. The CCC Name will appear on PrecISE Order History Reports.

Chapter 3 Common Rules

This chapter outlines common business definitions and rules, which will be further refined in use cases included in this document.

3.1 CCC Enhancements

With this enhancement, each CCC will be defined as follows.

- **CCC Name**
- **Customizable Attributes**
  - **Desk Defaults**
  - **User Copy**

3.1.1 CCC Name

The CCC Name identifies the attribute grouping and is defined as a common attribute. Adding a new CCC (adding a new CCC Name), deleting a CCC (deleting the CCC by Name) or changing the CCC Name all require propagation to the PrecISE FE for same desk users.

The user who adds a new CCC also assigns by default the initial content to all the associated attributes. Some values can remain blank. This content is propagated as desk defaults to all same desk users at the time the CCC is created.

3.1.2 Customizable Attribute List

Currently, these nine attributes are associated with each CCC Name. Each is customizable.

- CMTA
- SubAccount
- Broker
- Branch Sequence Number
- Account
- Info
- Info 2
- Option GiveUp
- Stock GiveUp
- Commision (a new attribute to be added to customizable attribute list in a future PrecISE release)

Note: (The “Preferenced To” and “Directed To” attributes have been removed from the CCC grouping at the request of Business Development).

3.1.3 Desk Defaults

When CCC is created, the initial set of associated attributes is saved a desk defaults. Desk Defaults become a set of CCC associated attributes shared by all same desk users. Any same desk user can modify the content of desk defaults.

A same desk user can customize desk defaults for his usage. This customization will create user copy of associated attributes as described in the next chapter.

3.1.4 User Copy

Every same desk user receives CCC content populated with the Desk Defaults at the time the CCC is created. Any same desk user may customize any of the attributes associated with a CCC. The customized copy will supersede the Desk Defaults for the user who created it when the user utilizes the CCC during order entry or trade modification. The user can remove The user copy content will not be visible to other users within the same desk (with the exception of the Master User).

Users can modify or remove their copy of the CCC content.

3.1.5 CCC Deletion

Any user can delete a CCC he/she or other same desk user has created. The CCC, all user copies as well as desk defaults will be deleted. This action is different from removing user copy of the CCC.

3.1.6 CCC-Name Format and Validation

CCC Names must be validated for uniqueness and for attribute-content limitations (such as length and alphanumeric format).

- The CCC Name must be unique by BU. The entire CCC Name is limited to 50 alphanumeric characters, which includes mnemonic, hyphen, and client category suffix.
- The CCC Name format will be reversed in order from its current sequence. The mnemonic assigned by the user will appear first, followed by a hyphen, followed by the Client Category suffix. For example: RalphZ-Customer
- The Client Category suffix is provided below to allow more space for the length of the mnemonic.

Client Category	**Abbreviation**
Customer	CUST
B/D-Cust	BD-C
B/D-Firm	BD-F
ISE MM	IMM
FARMM	AMM
Prop-Firm	PP-F
Prop-Cust	PP-C
Professional Cust	PROC

- The customer professional CC title is to be renamed to “Professional Cust”.

3.1.7 User can choose what CCs and CCCs to display

The user will be able to choose which CCs and CCCs to display during order entry and trade modification. Same list of selected CCs and CCCs will be used for every order ticket as well as for the PTA view. In the future, it will be possible to associate a separate list of CCs and CCCs with each ticket and the PTA view.

3.1.8 CCC Name will persist on Orders and Trades

A CCC must be preserved beyond order entry. When an order is submitted, the CCC value is to be propagated through PrecISE as a field on both orders and trades. This enhancement will also allow for CCC modification on orders and trades.

3.1.9 Deleting a CCC Should Not Affect Existing Orders and Trades

CCC deletion is allowed intraday. Orders and trades that carry a CCC that has been deleted (those entered prior to the deletion) should not be affected by that deletion.

3.1.10 Current Limitations for Client Categories will continue

Most limitations that currently exist for Client Category will continue to apply.

- If the original client category does not apply to an order ticket, the derived CCC will not apply. The list of chosen categories will be filtered per ticket to ensure only applicable categories are displayed. See the Appendix for a list of order tickets and applicable client categories.
- Since the core doesn't support changes to the order client category, PrecISE will restrict user to CCC changes within the same original client category. Only the original client category is sent to the core.
- On PTA, client category can be changed as long as it's not from priority customer to non-customer.
- The same list of chosen CCs and CCCs will be hosted for every ticket and the PTA view. The dropdown client categories for each order ticket are based on each user's chosen preferences.

3.1.11 Association with Defined Risk Limits

This requirement will be reserved for a future enhancement and is not currently within the scope of this document.

Chapter 4 Functional Areas for CCC Enhancement

The functional areas and their respective use cases are outlined below. The use cases include detailed business rules and one or several functional flows. The detailed rules are numbered for easier reference but are not sequential. The functional flow represents in which order processing occurs and therefore is sequential.

4.1 CCC Management

This section describes the enhancements to the process of adding, validating, editing, and deleting CCCs. The CCC Management is comprised of the following functional use cases:

1. Create new CCC
2. Create new CCC from a Deleted or Changed CCC Name
3. Delete a CCC
4. Edit CCC Name
5. Edit CCC Desk Defaults
6. Deletion of CCC being used as a 'Default' on an order ticket
7. Edit CCC User Copy

4.2 CCC Management GUI

These use cases describe the enhancements to the Preferences view that supports all CCC management functions.

1. Main CCC management panel, regular user view
2. Main CCC management panel, Master User view
3. Add CCC Dialog
4. Edit CCC Dialog
5. Select Client Categories Dialog

4.3 CCC Migration

Migration requirements for the existing CCCs to the new version CCC layout are be determined at a later stage when analysis is complete for the existing CCC setup.

4.4 CCC Usage for orders and trades

The CCC Usage is comprised of the following functional use cases:

Create an Order

1. Create a New Order
2. Create a Parent/Child Order Using a CCC

Alter an Order

3. Alter an Exchange or Done Away (D/A) Order that has an Active CCC
4. Alter an Exchange or D/A order that has a Deleted CCC

5. Alter a Child Order that has an Active or Deleted CCC

Copy an Order

6. Copy an Order that has an Active CCC
7. Copy an Order that has a Deleted CCC

Route an Order

8. Route an Order that has an Active or Deleted CCC

Create Done Away Trade

9. Create a New Done Away Trade using CCC

PTA

10. PTA with Active CCC
11. PTA with a Deleted CCC
12. PTA with Active CCC by Master User

Display Orders, Trades, Order History

13. Display CCC in Order Status, Order History, Trade Views
14. Display CCC in Order Status, Order History, Trade Views for Master User
15. Order and Trade Status Filter

Chapter 5 CCC Management

This chapter describes the enhancements to the process of adding, validating, editing, and deleting CCCs.

1. Create new CCC
2. Create new CCC from a Deleted or Changed CCC Name
3. Delete a CCC
4. Remove a user copy of CCC attributes
5. Edit CCC Name
6. Edit CCC Desk Defaults
7. Edit CCC User Copy
8. Deletion of CCC being used as a 'Default' on an order ticket

5.1 Create New CCC

Use Case	**Create new CCC**
Description	PrecISE User may create a new CCC any time the PrecISE application is online.
User(s)/ Actor(s)	Same desk PrecISE Users
Detailed Business Rule(s)	1. Any Same desk user can create a CCC for his BU (desk). No entitlement is needed. 2. CCC attributes are described in the Common Business Rules section of this document. 3. The entering user should be able to associate the CCC with clearing values for each of the attributes described in Attribute List**.** 4. The user must be prompted in case he has entered an invalid CCC and have the ability to fix the data without losing the valid content. 5. Once the system accepts the CCC – this new CCC and its attribute content must be dynamically propagated to all PrecISE Trade front-ends within the desk. 6. There is no requirement to explicitly notify a PrecISE user via the front-end (via a popup, for example) that a new CCC has been added for his BU. 7. New CCCs will be displayed by default in the Preferences for every same desk user and ready to be made available for order entry and PTA. 8. The new CCC will NOT appear in the Order Ticket or Change Clearing views, Client Category dropdown automatically, even for the entering user. Each user will have to explicitly select the new CCC via Preferences to make it appear in the Order Ticket or Change Clearing view, Client Category dropdown.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user enters new CCC and associates the clearing values. 3. New CCC is submitted and validated against business rules. 4. In case validation fails, the user is prompted of the error and has a chance to correct and resubmit 5. When validation passes, the new CCC is persisted. 6. The new CCC data is dynamically delivered to server side services and all running instances of PrecISE within the same desk as well as for respective Master Users.
Alternate Flows	N/A

Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	Upon successful creation, the CCC should be saved for future use by the user and available for all users within a BU. Upon failure, the state should be left unaltered.
Non-Functional Requirements	n/a
Open Issues	n/a

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5.2 Create New CCC from Deleted or Changed CCC Name

Use Case	1. Create a new CCC Using a Deleted CCC Name 2. Create a new CCC using a previously used CCC Name that had been changed.
Description	This use case covers the following scenarios: 1. PrecISE user creates a new CCC intraday using a CCC Name that had been deleted. 2. PrecISE user creates a new CCC intraday using a CCC Name that had previously been entered, then changed to another name.
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	**This use case inherits all rules from Create New CCC. CCC name validations also apply.** 1. There is no restriction on reusing a deleted CCC Name even for the same Account Category for the same BU. A previously deleted CCC Name will be treated as if it were a completely new CCC. 2. A previously used CCC name that is currently not assigned to an active CCC can be reused for a new CCC 3. The creation of a new CCC using a previously used -then edited CCC Name or a deleted CCC may be performed intraday, regardless of whether there are currently any open orders using the CCC as it previously existed.
Basic Flow (sequential)	The flow is inherited from Create New CCC use case.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. Create new CCC any time PrecISE application is online
Post-conditions	Upon successful creation, the CCC should be saved for future use by the user and available for all users within a BU. Upon failure, the state should be left unaltered.
Non-Functional Requirements	n/a
Open Issues	n/a

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5.3 Delete a CCC

Use Case	**Delete a CCC**
Description	Delete a CCC.
User(s)/ Actor(s)	Same desk PrecISE users
Detailed Business Rule(s)	1. Any PrecISE User can delete a CCC for its desk. No special entitlement is required. 2. Once the user initiates the deletion, the user must be prompted to confirm his action. 3. Validation is performed to ensure that the CCC is active. 4. There are no procedures available to undo a deletion made in error. However, same desk users can manually create a new CCC with same name and repopulate attributes. 5. Once submitted, the CCC deletion must be propagated to the PrecISE FE for all same desk users. a. The CCC Name will be deleted from Order Ticket's Client Category dropdown for all same desk users. b. The deletion will cause the CCC Name to be removed from the Preferences view for all same desk users. 6. When the CCC Name is deleted, the associated content in Desk Defaults will be deleted as well as each user copy. 7. There is no requirement to explicitly notify a same desk user of the CCC deletion via the front-end (via a popup, for example). 8. There is no requirement to update an open ticket currently using a CCC that was changed while the ticket was opened. However next time an order ticket is opened – the changes must apply. Same rule applies to Change clearing view. 9. Order and trades (in the Order Status, Order History, and Trades Views) that display a deleted CCC will continue to display the CCC Name.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user chooses CCCs to be deleted, confirms the prompt and submits deletion. 3. The CCC deleted status is persisted in the database. 4. The deletion of the CCC is dynamically delivered to server side services and all running instances of PrecISE within the same desk as well as for respective Master Users.
Alternate Flows	n/a

Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE application is online
Post-conditions	• Upon successful deletion, the CCC (for that Cataegory only) should be removed and unavailable for use by any same desk user. Upon failure, the state should be left unaltered. • When any same desk user opens a CCC management view in preferences, the CCC will no longer be viewable.
Non-Functional Requirements	n/a
Open Issues	n/a

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5.4 Remove a user copy of CCC attributes

Use Case	Remove a user copy of CCC attributes
Description	This use case discusses rules and flows for removing the user copy of the CCC.
User(s)/ Actor(s)	Same desk PrecISE users, Master Users
Detailed Business Rule(s)	1. PrecISE User can remove his copy of the CCC attributes. 2. Once the user initiates the removal, the user must be prompted to confirm his action. 3. Validation is performed to ensure that the CCC is active. 4. There are no procedures available to undo a removal made in error. However, the users can load desk copy of the CCC, modify any attribute and save his changes as his copy. 5. Once submitted, the removal of the user copy must be propagated to the user's instance of the PrecISE front-end as well as to running instances of Master User front-ends.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user chooses CCCs he intends to remove the user copy of, confirms the prompt and submits the removal. 3. The user copy of the CCC(s) is removed from the database. 4. The removal of the CCC is dynamically delivered to the user's instance of PrecISE as well as for respective Master Users.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE application is online
Post-conditions	• Upon successful removal, the user copy of the CCC is no longer available for use. Upon failure, the state should be left unaltered. • When the same user opens a CCC management view in preferences, his copy of CCC will no longer be available.
Non-Functional Requirements	n/a
Open Issues	n/a

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5.5 Edit CCC Name

Use Case	**Edit CCC Name**
Description	PrecISE user edits the CCC Name
User(s)/ Actor(s)	Same desk PrecISE users
Detailed Business Rule(s)	1. CCC attributes are described in the Common Business Rules section of this document. 2. Any same desk user may edit the CCC Name. 3. Only the mnemonic may be changed on the CCC Name. The Account Category must remain the same. 4. A CCC Name may be edited at the same time as its attributes are being edited. 5. Clearing information and other attribute content do not have to change when a CCC Name change is made. 6. Once the user submits the change, the user must be prompted to confirm his action. 7. There will be no way to undo a CCC Name change if the edit was made in error. However, users may go back to manually adjust it. 8. Propagation of the new CCC Name to the FE of all PrecISE same desk users is necessary. 9. There is no requirement to explicitly notify a same desk user of the name change through the front-end (via a popup, for example). 10. When a PrecISE same desk user opens a CCC view in Preferences, the newly edited CCC name will be displayed. 11. There is no requirement to update an open ticket currently using a CCC name that was edited while the ticket was opened. However next time an order ticket is opened – the changes must apply and the newly edited name will replace the previous name. Same rule applies to Change clearing view. 12. There is a requirement to update the CCC Name as it is displayed on orders and trades in Order Status, Trades, and PTA views. This display update should occur dynamically. 13. For GTC orders, (or any other orders that persist past EOD) the CCC Name will display the updated value. 14. In order History View, any orders where the CCC Name was updated on a prior day will show the updated value 15. All historic and current day trades will display the updated CCC name.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user chooses an existing CCC and edits its name.

	3. User submits the change and confirms the prompt. 4. Updated CCC is sent for further processing. 5. The new name is validated against business rules. 6. In case validation fails, the user is prompted of the error and has a chance to correct and resubmit 7. When validation passes, the updated CCC is persisted. 8. The updated CCC data is dynamically delivered to server side services and all running instances of PrecISE within the same desk as well as for respective Master Users.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. The CCC Name may be edited anytime that the PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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5.6 Edit CCC Desk Defaults

Use Case	**Edit CCC Desk Defaults**
Description	PrecISE User edits Desk Defaults. MU receives updated content of other desk's Desk Defaults for the updated CCC.
User(s)/ Actor(s)	Same-Desk PrecISE Users, Master Users
Detailed Business Rule(s)	1. CCC attributes are described in the Common Business Rules section of this document. 2. All "Desk" Attributes are customizable. 3. Any same desk user may edit any Desk Defaults. An action will be available to save currently loaded settings as Desk Defaults. 4. An explicit prompt must be given to the user to ensure he is aware he is changing shared copy of CCC attributes. 5. PrecISE will not protect against two same desk users modifying desk defaults at the same time. Their updates will be applied in the order they are received. 6. MU will receive the updated data for all desks he or she is configured a Master User of. 7. There are no procedures available to undo an incorrect edit once submitted. But the user can manually edit back in the data. 8. There is no requirement to explicitly notify other users via the front-end (via a pop-up, for example). 9. User will be able to view the updated Desk Defaults in the preferences window. 10. There is no requirement to update an open ticket currently using a CCC which was changed while the ticket was opened. However next time an order ticket is opened – the changes must apply. Same rule applies to Change clearing view.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user loads Desk Defaults for an existing CCC and edits its attributes. Alternatively, the user can modify data loaded from his copy and save it as Desk Defaults. 3. Updated CCC data is submitted and validated against business rules. 4. In case validation fails, the user is prompted of the error and has a chance to correct and resubmit. 5. When validation passes, the updated CCC data is persisted. 6. The updated CCC data is dynamically delivered to server side services and all running instances of PrecISE within the same desk as well as for respective Master Users.

Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. Editing may be performed any time that the PrecISE application is online.
Post-conditions	1. Order Ticket must be closed and reopened for the changes to become available during order entry or PTA.
Non-Functional Requirements	n/a
Open Issues	n/a

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5.7 Edit CCC User Copy

Use Case	**Edit CCC, User Copy**
Description	User edits his copy of CCC content. MU receives the updated content.
User(s)/ Actor(s)	Same Desk PrecISE Users, Master Users
Detailed Business Rule(s)	1. CCC attributes are described in the Common Business Rules section of this document. 2. A user should be able to modify a copy of CCC content he has previously created. 3. Once the user initiates the update, the user must be prompted to confirm his action. 4. There are no procedures available to undo an incorrect edit once submitted. But, the user can manually edit back in the data. 5. There is no requirement to explicitly notify any other same desk users via the front-end of changes to attributes content. 6. Other same desk users cannot see another user's modified copy. 7. MU will receive the updated copy of other desk user's CCC content. 8. MU will not be able to edit the other desk user's CCC copy. 9. There is no requirement to update an open ticket currently using a CCC which was changed while the ticket was opened. However next time an order ticket is opened – the changes must apply. Same rule applies to Change Clearing view.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The user modifies his copy and saves it. Alternatively, the user can load Desk Defaults for an existing CCC, modify (modification is optional) and save the changes. 3. Updated CCC data is submitted and validated against business rules. 4. In case validation fails, the user is prompted of the error and has a chance to correct and resubmit. 5. When validation passes, the updated CCC data is persisted. 6. The updated CCC data is dynamically delivered to server side services and user's instance of PrecISE as well as for respective Master Users.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. Editing may be performed any time that the PrecISE application is online.
Post-conditions	n/a
Non-Functional	n/a

Requirements	
Open Issues	n/a

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5.8 Deletion of CCC being used as a 'Default' on an order ticket

Use Case	The CCC being used as a 'Default' on the order ticket gets deleted.
Description	Behavior of order ticket when the default CCC being used is deleted.
User(s)/ Actor(s)	PrecISE User
Detailed Business Rule(s)	1. The [now deleted] default CCC that used to be selected on the ticket will be replaced by a blank selection on the CC field. 2. The user must choose a CCC (or a CC) on the Client Category field. 3. Fields on the ticket that were populated as a result of assigning the default CC will no longer be populated. 4. The other default fields on the ticket that have been set previously will continue to be populated.
Basic Flow (sequential)	1. Using the 'Set Defaults' feature, user chooses a CCC as the default CC on an order ticket. 2. That CCC is deleted either by the same or another user. 3. The deletion is not prevented because the CCC is set to be used as a default; which is the current behavior. 4. The next time the user opens the ticket, the CC field selection is empty. The user chooses which CCC or CC needs to be used. 5. The user activates "Set Defaults" mode, chooses a new default CC or CCC and saves defaults. This step will have to be repeated for each ticket where deleted CCC was used as a default.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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Chapter 6 CCC Management GUI

This chapter describes the enhancements to the Preferences view that supports all CCC management functions.

1. Main CCC management panel, regular user view
2. Main CCC management panel, Master User view
3. Add CCC Dialog
4. Edit CCC Dialog
5. Select Client Categories Dialog

6.1 Main CCC Management Panel, regular user view

The following figure shows the main CCC management panel for a regular PrecISE Trade User:

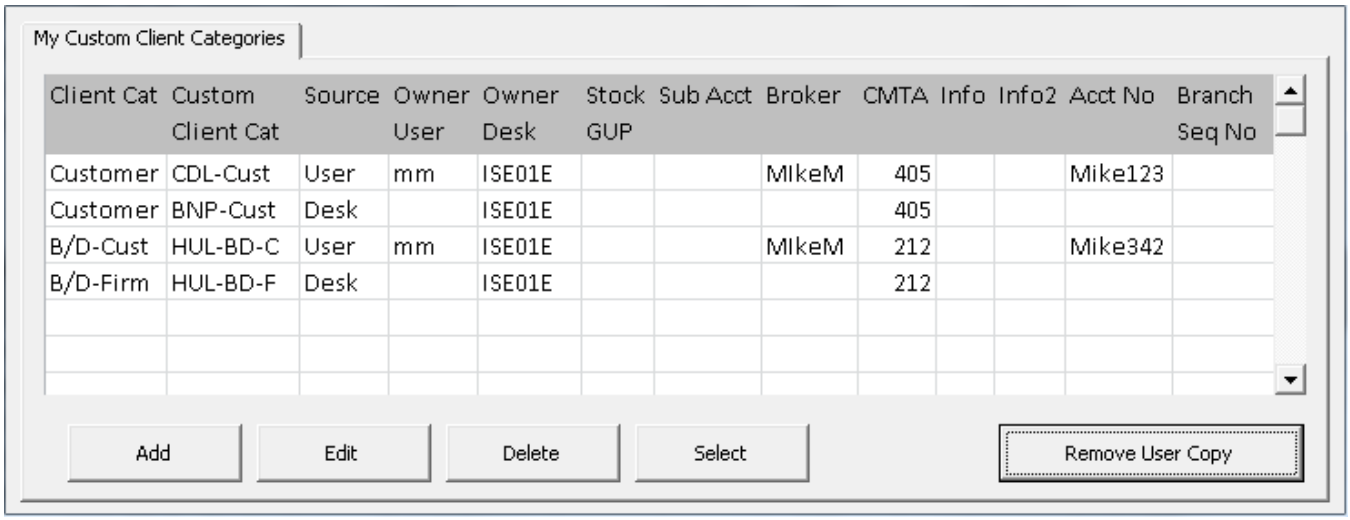

Figure 1 Main CCC Management Panel, User's view

Use Case	**The main CCC management panel, regular user view**
Description	Functionality of main CCC management panel, regular user view
User(s)/ Actor(s)	Same desk PrecISE Users
Detailed Business Rule(s)	1. User should be able to view his desk's CCCs and their attributes in a grid montage. The following columns are to be included to the CCC grid: CCC Name, Original CC, CCC Attributes, CCC source (desk or user copy). 2. For every CCC, the CCC grid will display one record. In case there is a user copy for a CCC, that record will show data from the user copy. Otherwise the record will represent desk copy data of the CCC. The CCC source column will indicate whether the displayed CCC record is a user copy or a desk copy by showing "user" or "desk". Overall, the CCC grid will represent user's own view of the desk CCCs. 3. User should be able to perform the following actions from the panel: a. Create new CCC. This will invoke the Create CCC dialog. After user successfully creates CCC(s), the new CCC record(s) should appear in the CCC grid. b. Edit CCC. The user should be able to select an existing CCC and invoke the Edit CCC dialog. After the user has successfully saved the edited data, the corresponding CCC record must be updated with the latest changes. c. Delete CCC(s). The user should be able to select one or several CCCs and initiate their deletion as described in Delete a CCC use case. Once the deletion succeeds, the deleted CCCs should get removed from the CCC grid. Before proceeding with the action, the user will be given a confirmation prompt: "Delete the following Custom Client Categories(s): <list of selected CCCs>?". At least one record must be selected for the action. d. Remove user copy. The user should be able to select several CCC records from the CCC grid and request the removal of the user copy for the selected CCCs. Records that represent Desk Defaults will be excluded from the action. The action will be processed in the Remove a User Copy of the CCC use case. After successful execution, this action should complete with replacement of the CCC user state with the data from the desk defaults. Before proceeding with the action, the user will be given a confirmation prompt: "Remove your copy of the following Custom Client Categories(s): <list of selected CCCs>?". At least one record must be selected for the action. This action will NOT delete CCCs. e. Select Client Categories. This action will invoke the Select Client Categories dialog. This dialog should allow the user to select which CCs and CCCs for use in the Client Category drop

	down which appears on order ticket and Change Clearing windows. When user saves the updates, the updated list will replace the current list of selected Client Categories. 4. All actions except for the Select CCCs will save the new or updated data on the PrecISE Trade server side. The Reset action on the Preferences window will not restore the state of CCCs that existed prior of execution of these actions. 5. Changes made to the selected CCC data will need to be persisted by activating OK or Apply actions on the preferences window.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. 2. The main Custom Client Categories panel will appear.
Alternate Flows	N/A
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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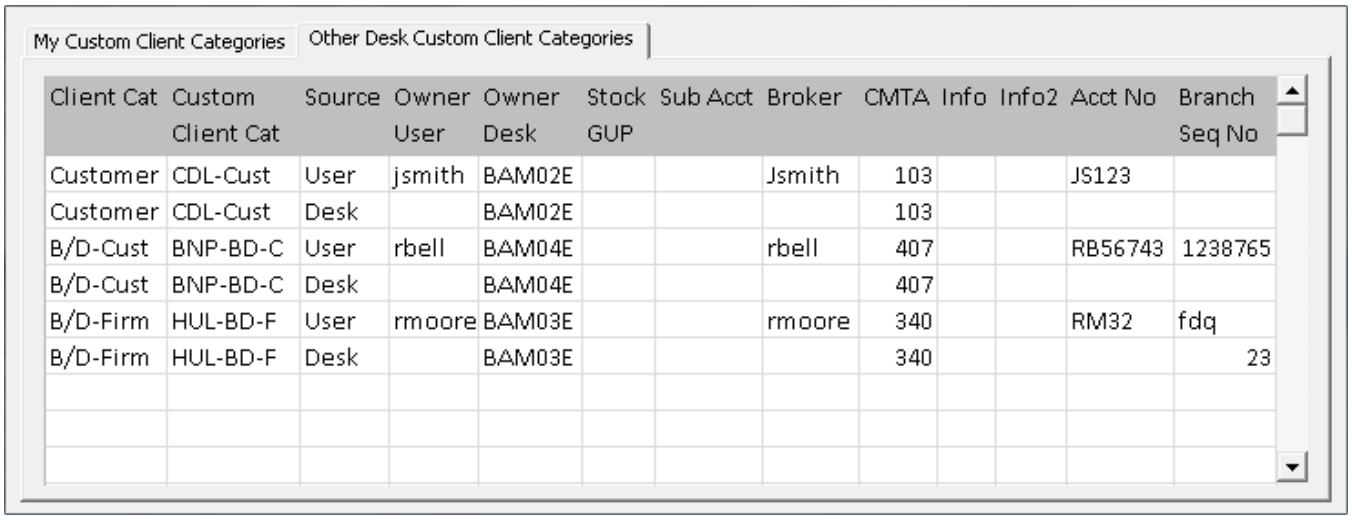
6.2 Main CCC Management Panel, Master User view

The following figure shows the main CCC management panel for a master user:



Client Cat	Custom Client Cat	Source	Owner User	Owner Desk	Stock GUP	Sub Acct	Broker	CMTA	Info	Info2	Acct No	Branch Seq No
Customer	CDL-Cust	User	jsmith	BAM02E			Jsmith	103			JS123	
Customer	CDL-Cust	Desk		BAM02E				103				
B/D-Cust	BNP-BD-C	User	rbell	BAM04E			rbell	407			RB56743	1238765
B/D-Cust	BNP-BD-C	Desk		BAM04E				407				
B/D-Firm	HUL-BD-F	User	rmoore	BAM03E			rmoore	340			RM32	fdq
B/D-Firm	HUL-BD-F	Desk		BAM03E				340				23

Figure 2 Main CCC Management Panel, Master User view

Use Case	**The main CCC management panel, Master User view**
Description	Functionality of main CCC management panel, master user view
User(s)/ Actor(s)	Master Users
Detailed Business Rule(s)	1. Master user will be able to manage their CCCs through "My Custom Client Category" panel. 2. Master User will have view only access to Custom Client Categories for every desk he is configured to be the Master user for. 3. Master user will be able to determine what BU and user (in case of user copy) a CCC record belongs to.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories-> Other Desk Custom Client Categories tab
Alternate Flows	N/A
Pre-conditions	Users must have access to the PrecISE front-end trading application, have Master User entitlement and one or several desks he/she is configured the Master User of.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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6.3 Add CCC Dialog

The following figure shows the Add CCC dialog:

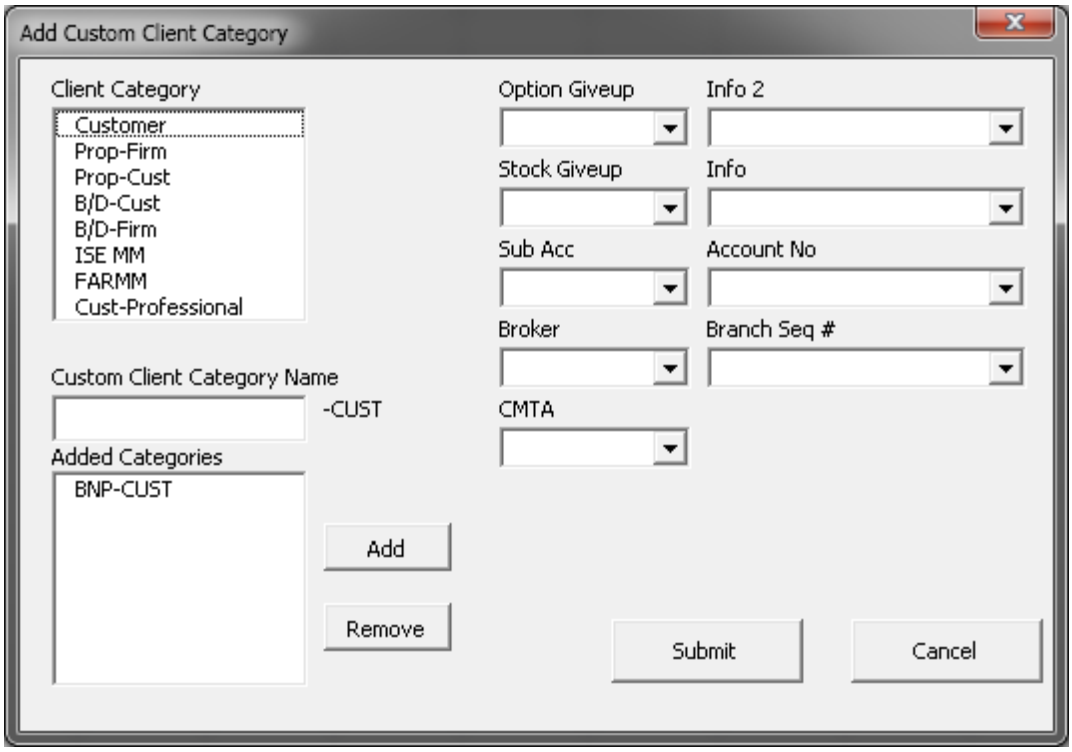

Figure 3 Add Custom Client Category Dialog

Use Case	Add CCC dialog.
Description	Functionality of the Add CCC dialog.
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The Add CCC dialog will host visual elements to enter information for the CCC name and attributes from the Attribute List. 2. It is mandatory for the user to enter a CCC name with alphanumeric characters and choose a CC. Without these two fields the 'Add' should not proceed. 3. A newly created CCC from this screen always gets saved as the 'Desk Default'. 4. Added Categories list box accumulates all the CCCs to be submitted for creation during this invocation of Add dialog. 5. Add action: Clicking 'Add' will add the CCC to the Added Categories list box. 6. Remove action: Clicking 'Remove' will remove the CCC from the list of CCCs to be submitted for creation. User will be given the following prompt and will need to confirm before the action is processed further: "Remove the following Custom Client Categories from the creation list: <list of CCC names>?". 7. Clicking on an item in the Added Categories populates the attributes of the CCC which can be edited. The current behavior must be preserved. 8. Submit action: When invoked, user will be given the prompt and will need to confirm the action before proceeding further: "Create the following new Custom Client Catogories: <list of CCC names>?". Once the user confirms the prompt, PrecISE will proceed to save newly added CCC(s) and their attributes as described in the Create New CCC or Create New CCC from Deleted or Changed CCC Name use cases. 9. Cancel action: The dialog is dismissed without any changes.
Basic Flow (sequential)	1. On PrecISE Front End, user accesses File -> Preferences -> Custom Client Categories. 2. User clicks the 'Add' button.
Alternate Flows	1. n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. The PrecISE front-end must be online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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6.4 Edit CCC Dialog

The following figure shows the Edit CCC dialog:

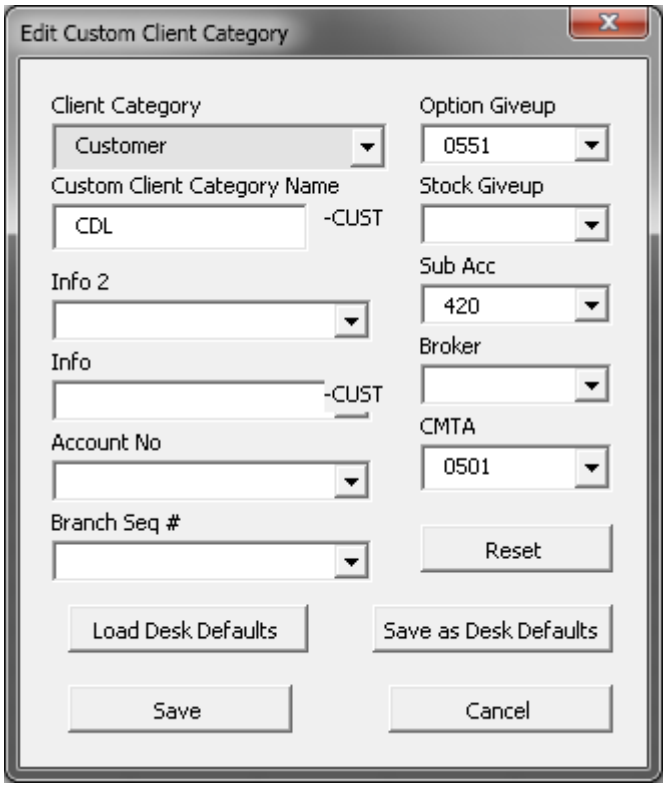

Figure 4 Edit Custom Client Category Dialog

Use Case	Edit CCC dialog.
Description	Functionality of the Edit CCC dialog.
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The CCC name must continue to be populated with alphanumeric characters. No action other than 'Cancel' should proceed without a valid CCC name. 2. The CC field should be grayed out and therefore cannot be modified. 3. Load Desk Defaults action: The desk defaults for this CCC being edited should be loaded from the PrecISE FE's copy of the CCCs. Should the CCC being edited already be a desk default, then no action is necessary. 4. Save action: When invoked, user will be prompted to confirm the changes: "Save changes made to YOUR COPY of Custom Client Category <CCC Name>"? Once the user confirms the prompt, PrecISE will proceed to save changes as per the Edit CCC User Copy use case. 5. Save as Desk Default action: When invoked, user will be prompted to confirm the changes: "Save changes to DESK COPY of Custom Client Category <CCC Name>"? Once the user confirms the prompt, PrecISE will proceed as per the Edit CCC Desk Defaults use case. 6. If the CCC name has changed, that should be detected and processed as per the Edit CCC Name use case. 7. Cancel Action: The screen is dismissed without any changes.
Basic Flow (sequential)	1. On PrecISE Front End, user accesses File -> Preferences -> Custom Client Categories. 2. User clicks the 'Edit' button.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. The PrecISE front-end must be online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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6.5 Select Client Categories Panel

The following figure shows the select client categories panel:

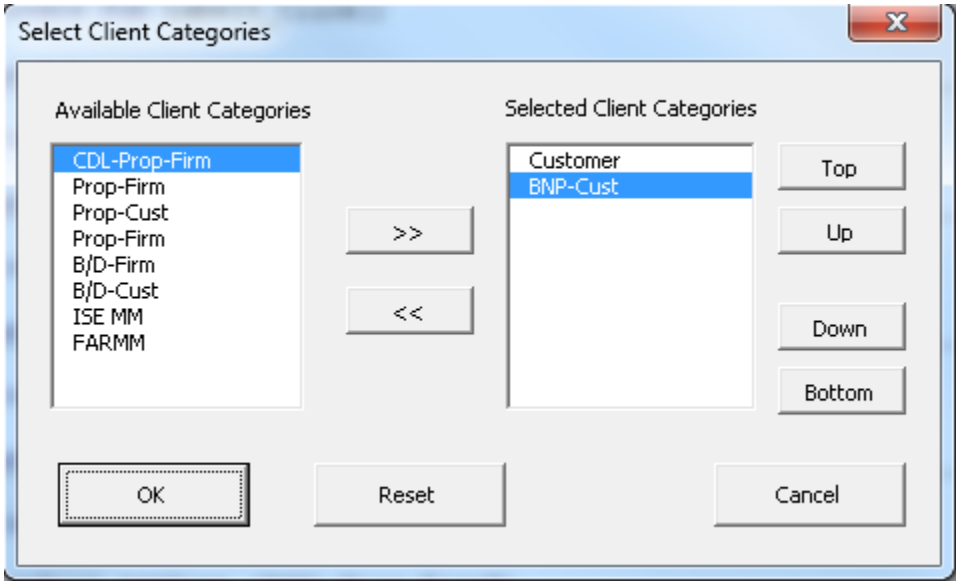

Figure 5 Select Client Categories Panel

Use Case	**Select Client Categories panel**
Description	Functionality of Select Client Categories panel.
User(s)/ Actor(s)	Same desk PrecISE Users
Detailed Business Rule(s)	1. The Select Client Categories panel will host the following visual elements, controls and actions: a. List of available CCs and CCCs. This list represents a collection of original CCs as well as desk's CCCs that are NOT selected for the Client Category drop-down. b. List of selected CCs and CCCs. This list represents a collection of original CCs and CCCs chosen by the user to appear on the Client Category drop down used on order ticket and the Change Clearing view. c. The set of controls to allow the user to move CCs and CCCs between the selected and available lists. d. The set of controls to allow the user to order the selected CCs and CCCs. These controls include buttons to move items up and down the list as well as move the items to the beginning of the end of the list. e. OK Action. When invoked it will add changes to the new desktop state hosted within Preferences window. Before proceeding with the action, the user will be given a confirmation prompt: "Please confirm you would like to preserve current selection". f. Cancel Action. When invoked it will initiate closing the dialog without save. Before proceeding with the action, the user will be given a confirmation prompt: "Please confirm you would like to cancel your changes". 2. By default, the Selected list will contain the original CCs. User will be able to deselect an original CC effectively adding it back to the list client categories available for selection.
Basic Flow (sequential)	1. On the PrecISE front end, user accesses File -> Preferences -> Custom Client Categories. This will activate the CCC panel. 2. On the CCC panel, user accesses "Select Client Categories" dialog by invoking the corresponding action.
Alternate Flows	N/A
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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Chapter 7 CCC Usage for Orders and Trades

This chapter describes the changes to usage of CCCs for orders and trades.

Create an Order

1. Create a New Order
2. Create a Parent/Child Order Using a CCC

Alter an Order

3. Alter an Exchange or Done Away (D/A) Order that has an Active CCC
4. Alter an Exchange or D/A order that has a Deleted CCC
5. Alter a Child Order that has an Active or Deleted CCC

Copy an Order

6. Copy an Order that has an Active CCC
7. Copy an Order that has a Deleted CCC

Route an Order

8. Route an Order that has a CCC (Active or Deleted)

Trade Handling

9. Handle trades at the sales desk for a staging order
10. Handle trades received for an order with a deleted CCC
11. Create a New Done Away Trade using CCC

PTA

12. PTA with Active CCC
13. PTA with a Deleted CCC
14. PTA with Active CCC by Master User

Display Orders, Trades, Order History

15. Display CCC in Order Status, Order History, Trade Views
16. Display CCC in Order Status, Order History, Trade Views for Master User
17. Order and Trade Status Filter
18. POHR

7.1 Create a New Order

Use Case	PrecISE user creates a new order through PrecISE.
Description	PrecISE User creates a new order
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The client categories that are available per Order Ticket can be viewed in the Appendix in this document. 2. The list of selected client categories (both original CCs and CCCs) must be available on the ticket during order creation. 3. If the user chooses a CCC, the associated attributes must populate the respective fields on the Order Ticket. 4. If blank attribute values are associated with a CCC, those will override currently entered values. 5. Users may type over any fields populated with the customized information. 6. The CCC must be sent to the server side during order submission. 7. PrecISE must ensure the CCC is still active at the time of order submission
Basic Flow (sequential)	1. User opens an order ticket and selects a value from the Client Category dropdown. See Appendix in this document for list of Client Category values that are associated by default with each type of order. 2. If the user chooses a CCC, the associated attributes will populate the respective fields on the Order Ticket. 3. After submission, PrecISE will validate CCC is still active. Order will be rejected if the CCC is not active. User will be notified of the rejection reason. 4. Upon successful submission, the CCC value will be passed to PrecISE server side to be persisted with the order.
Alternate Flows	n/s
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may create a new order any time PrecISE application is online.
Post-conditions	n/s
Non-Functional Requirements	n/a
Open Issues	n/a

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7.2 Create Parent/Child Order Using a CCC

Use Case	Creating a Parent/Child Order Using a CCC
Description	PrecISE User opens an order ticket and creates a Parent/Child order.
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	**The rules for this use case inherit from Create a New Order.** In addition, the following rules apply: 1. CCC and associated attributes will be applied to the parent and child orders: a. In case order is routed to a different desk, the regular CC, from which the CCC originated, will be set for the routed order. CCC attributes will be copied to the routed order. b. In case order is routed to a same desk, the CCC Name and CCC attributes will be copied to the routed order.
Basic Flow (sequential)	**The flow for this use case inherits from Create a New Order.** In addition the following step will take place: 1. At the time of creating the routed order business rules 1.a and 1.b will be applied.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. An order can be entered any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.3 Alter an Exchange or D/A order that has an Active CCC

Use Case	Altering an exchange or a D/A order that has an Active CCC
Description	1. PrecISE user selects an order that he has entered, opens the alter window, and alters the order. 2. PrecISE user selects an order entered by someone else, opens the alter window, and alters the order 3. Master user selects an order entered by someone else, opens the alter window, and alters the order
User(s)/ Actor(s)	Original user, desk user, master user
Detailed Business Rule(s)	1. CC field will now be enabled on the Alter window. 2. For Exchange Orders, the CCCs in the Alter drop down will be derived from the original client category. For example, if the client category is "Customer", only CCC Names that have "Customer" appended to them will be displayed (GC-Customer, MS-Customer.). 3. For D/A orders, the restriction imposed on Exchange Orders does not apply for the content of the CC drop down 4. If the user chooses a CCC from the dropdown, its associated attributes will be applied to the corresponding ticket fields. 5. Users may type over any fields populated with the CC attributes. 6. In case the user chooses a regular client category, the custom client category will be disassociated from the order. 7. Validation will NOT be performed for the CCC value to ensure it's still active. 6. User still has the option to close the Alter window, reselect the order, and re-launch the Alter window to return the values to their original state if he has not submitted the alter request. 7. When a Same Desk user (user A) alters someone else's order (user B) the following rules apply: a. The alter ticket will populate the client category drop down with user A's CCs and CCCs. b. If user A does not change the CCC, the pre-alter CCC will remain after alteration has been processed. c. If user A selects a different CCC, the associated attributes will populate respective fields on the alter ticket. d. If user A selects same CCC and there is user A copy of the CCC, the CCC content from user A copy will populate respective fields on the alter ticket. e. If user A selects same CCC and there is NO user A copy of the CCC, the CCC content from desk defaults will populate respective fields on the alter ticket. 8. For master users, PrecISE will have to load and send CCC notifications not only for his own desk, but for all other desks he is master user of. 9. When a master user C alters user B's order from a different desk the following rules apply: a. Alter ticket will populate the client category drop down with user B's CCs and CCCs.

	b. If user C does not change the CCC, the pre-alter CCC will remain after alteration has been processed. c. If user C changes selects another CCC the CCC content from user B copy will populate respective fields on the alter ticket.
Basic Flow (sequential)	For regular alter, the following flow will apply: 1. User opens an alter ticket and selects a value from the Client Category dropdown. See Appendix in this document for list of Client Category values that are associated by default with each type of order. 2. CCC associated attribute values are copied to the respective fields on the alter ticket. 3. Upon successful submission, the CCC value will be passed to PrecISE server side to be persisted with the order.
Alternate Flows	For Quick Alter: 1. CCC is not affected during the Quick Alter. However, the currently assigned CCC will be resubmitted with the Quick Alter request behind the scenes.
Pre-conditions	Users must have access to the PrecISE front-end trading application. User may alter an order any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

Back to CCC Usage

7.4 Alter an Exchange or D/A order that has a Deleted CCC

Use Case	1. Altering an exchange or a D/A order that has a Deleted CCC
Description	1. PrecISE user selects an order that he has entered, opens the alter window, and alters the order. 2. PrecISE user selects an order entered by someone else, opens the alter window, and alters the order 3. Master user selects an order entered by someone else, opens the alter window, and alters the order
User(s)/ Actor(s)	Original user, desk user, master user
Detailed Business Rule(s)	1. A Deleted CCC Name will still appear on the alter ticket. The user will be able to submit the alter request with a deleted CCC Name. 2. Deleted CCCs will not be available on the Client Category drop down on the alter ticket. 3. In case a new CCC was created with the same name as the deleted CCC and selected in Preferences, the new CCC WILL appear in the drop down, BUT it will NOT be highlighted. If such CCC is elected, the order clearing values will populate with the NEW CCC attribute content. 4. NO validation will be performed for the CCC value to ensure it's still active. 5. User has the option to close the Alter window, reselect the order, and re-launch the Alter window to return the values to their original state if he has not submitted the alter request.
Basic Flow (sequential)	For regular alter, the following flow will apply: 1. User opens an alter ticket and keeps Client Category unchanged. 2. Upon successful submission, the CCC value will be passed to PrecISE server side to be persisted with the order.
Alternate Flows	For Quick Alter: 1. CCC is not affected during the Quick Alter. Currently assigned CCC will be resubmitted with the Quick Alter request behind the scenes.
Pre-conditions	Users must have access to the PrecISE front-end trading application. Users may alter an order any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.5 Alter a Child order that has an Active or Deleted CCC

Use Case	Altering a Child order with an Active CCC
Description	This use case inherits from Alter an Exchange or D/A order that has an Active CCC. The following scenarios are covered by this use case: 1. PrecISE user alters an order that he has entered. 2. PrecISE user alters an order entered by another user from same BU. 3. Master user alters an order entered by a user from another desk.
User(s)/ Actor(s)	Original user, desk user, master user
Detailed Business Rule(s)	**The rules inherit from Alter an Exchange or D/A order that has an Active CCC.** In addition, the following rules apply: 1. In case a CCC is used for the alter, the routed order alter request sent to a different desk will contain the regular Client Category, NOT the CCC. The regular client category must be used because the receiving user will not have the same CCC. 2. Alters sent to same desk will contain the CCC. 3. If the alter changes only the CCC (& nothing else); the CCC change should be effective immediately. An alter that changes the CCC alone, need not be sent for approval. This is irrespective of whether the child was routed to the same or different desk. Any trades received after the CCC change is effective, will have the new CCC. 4. If the alter changes the CCC as well as the price or quantity or type of order (limit to market or vice versa); then the following processing applies: a. The CCC change should be effective immediately. b. The other changes to the order should then take place in accordance with rules #1 and #2 above. c. The acceptance or rejection of the alter, from the destination (execution) desk does not affect the change to the CCC. d. Any trades received after the CCC change is effective, will have the new CCC.
Basic Flow (sequential)	For regular alter, the following flow will apply: 1. User opens an alter ticket and selects a CCC from the Client Category dropdown. See Appendix in this document for list of Client Category values that are associated by default with each type of order. 2. CCC associated attribute values are copied to the respective fields on the alter ticket. 3. Upon successful submission, the CCC value will be passed to PrecISE server side to be persisted with the order. 4. The PORTS decides based on the destination desk of the order

	whether to keep the CCC for the same destination desk, or replace it with its original CC for a different desk. 5. The PORTS then follows with current routing logic, sending an alter request to the destination desk for approval.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may alter a Child order any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.6 Copy Order with Active CCC

Use Case	User Copies Order with Active CCC
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The CCC will be copied to the new ticket, however it will not cause the application of its associated custom attributes. Instead, the current clearing values from the order will be copied to the new order ticket.
Basic Flow (sequential)	1. User selects an order from order status and invokes Copy Order action.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a

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7.7 Copy order with Deleted CCC

Use Case	User Copies Order that has a Deleted CCC
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The CCC will not be copied to the new order; the CCC will be blanked out on the new order. 2. The current clearing values from the order will be copied to the new order ticket.
Basic Flow (sequential)	1. User selects an order from order status and invokes Copy Order action.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.8 Route an Order that has a CCC (Active or Deleted)

Use Case	Using CCC With a Routed Order (from Order Status view)
Description	Routing an Order that has a CCC.
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	**This case inherits rules from Create a New Order** In addition, the following rules apply: 1. If the CCC on the child order (for routing) is deleted (only possible due to a race condition); then the child order should be rejected. 2. The regular CC from which the CCC originated will be set for the routed order for a different destination desk. 3. CCC will remain for same destination desk. 4. CCC attributes will be copied from child order to the routed order.
Basic Flow (sequential)	1. User selects a parent order from Order Status and executes a Route an Order action.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may route an order any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.9 Handle trades at the sales desk for a staging order

Use Case	Handle trades at the sales desk for a staging order.
Description	This case outlines requirements for handling of trades in sales (a source) desk perspective originating from a destination desk. This case is not specific to CCC enhancement however it covers processing of CCC attribute.
User(s)/ Actor(s)	PORTS
Detailed Business Rule(s)	1. Upon receiving a trade from a destination desk a new trade will be created in the perspective of source desk. The new trade is attached to the child order (C-order) in the source desk perspective. 2. Initially the new trade is created as a copy of the destination desk trade. 3. The following attributes will be copied from the child order to the new trade: CCC, CC, Info, Info2, Branch Sequence Number, Broker and Account Number. This action will override the respective attributes arrived with the other desk trade. Important to note, the CMTA, GUP and Sub Account will be retained for the new trade as values arrived from the destination desk. 4. In case the child order attribute is not set; the respective attribute on the trade will be nulled. 5. Same handling will apply regardless of destination desk being same as the source desk or different.
Basic Flow (sequential)	1. A trade is generated in the destination desk perspective from and exchange or done away child order. 2. The trade is passed to the source desk. 3. The new trade is produced in the source desk perspective as a copy of the destination desk trade. 4. A set of attributes is copied from the child order to the new trade.
Alternate Flows	n/a
Pre-conditions	n/a
Post-conditions	The trade attached to the child order in the source desk perspective will inherit a set of attributes from the child order.
Non-Functional Requirements	n/a
Open Issues	n/a

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7.10 Handle trades received for an order with a deleted CCC

Use Case	Handle trades received for an order with a deleted CCC.
Description	When a CCC is deleted, trades for an order (staging & exchange) with the deleted CCC should continue to use the deleted CCC.
User(s)/ Actor(s)	PORTS
Detailed Business Rule(s)	1. A trade received for an exchange or staging order with a deleted CCC, will continue to use the deleted CCC. 2. A Done Away trade received from the FE with a deleted CCC (possible due to a race condition); will be rejected.
Basic Flow (sequential)	1. A trade is received for an order. 2. Either the adapter (for an exchange order) or PORTS (for staging and D/A orders) assigns the CCC on the order.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.11 Create New Done Away Trade using CCC

Use Case	Create new D/A Trade with a CCC
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. In case a D/A trade is created at the same time as D/A order, CCC will be copied from the order to the trade. 2. In case a D/A trade is created for an existing D/A order (PTA View), CCC will be copied from the order. 3. There is no limitation against CCCs available for the new trade creation. The CC drop down will contain CCCs based on user's selected list of CCs and CCCs. 4. Creating a D/A trade with a deleted CCC would not be permitted.
Basic Flow (sequential)	1. User creates a new D/A trade from Order Ticket with a CCC. 2. The current order submission processing is executed. 3. PORTS assigns the CCC to newly created order and trade records.
Alternate Flow (sequential)	1. User creates a new D/A trade from Change Clearing view with a CCC. 2. The current new D/A trade submission processing is executed. 3. PORTS assigns the CCC to the newly created trade record.
Pre-conditions	Users must have access to the PrecISE front-end trading application.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.12 PTA With Active CCC

Use Case	PTA is performed on a Trade that has an Active CCC.
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. For exchange trades, the Client Category dropdown content will be limited based on the current Client Category. 1.1 If "customer" is the current Client Category: a. The user will NOT be able to change from "customer" to other client categories. b. The user will be able to choose any CCC that originates from customer 1.2 - If current client category is NOT a "customer", a. The user will be able to select any CCC. 2. There is no limitation against CCCs available for the new trade creation. The CC drop down will contain CCCs based on user's selected list of CCs and CCCs 3. When a user chooses a CCC, its associated attributes will be applied to the corresponding trade fields. 4. When a user applies a CCC to the multiple trades, every trade will be updated with the attribute values, associated with the chosen CCC. 5. Server validation will NOT be performed for the CCC value to ensure it's still active.
Basic Flow (sequential)	1. User opens Change Clearing window for an order or one or several trades. 2. User selects a CCC from the CC drop down for a trade. User may also apply a mass CCC change to several trades at the same time. 3. User submits changed trade(s). 4. After passing existing validation, the trades are persisted with the changed CCC. 5. For exchange trades, their changed state is sent to the core with an original CC which the CCC is based on.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User can do PTA any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.13 PTA With Deleted CCC

Use Case	PTA is performed on a Trade that has a Deleted CCC.
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The Deleted CCC will appear on the trade record. The user will be able to submit the PTA with a deleted CCC. 2. The deleted CCC will not be available on the drop down. 3. When a trade with deleted CCC is split, the deleted CCC will be copied to the new trade records 4. In case a new CCC was created with the same name as the currently assigned deleted CCC, it will appear in the drop down. 5. Mass CCC applications will not be available for deleted CCC 6. Server validation will NOT be performed for the CCC value to ensure it's still active
Basic Flow (sequential)	1. User opens Change Clearing window for an order or one or several trades. 2. User leaves a CCC unchanged. 3. User submits changed trade(s). 4. After passing existing validation, the trades are persisted with the current (deleted) CCC. 5. For exchange trades, their changes state is sent to the core with an original CC which the CCC is based on.
Alternate Flows	n/a
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may do PTA any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.14 PTA With Active CCC by Master User

Use Case	Master User Uses Active CCC for PTA
Description	Master user can alter trades for desks other than his own
User(s)/ Actor(s)	Master Users
Detailed Business Rule(s)	1. The content of the CC drop down will only contain CCCs for the trade owner's desk and entering user. 2. When a Master User picks a CCC on a trade (a source trade) and executes a command to apply the CCC value to multiple trades, the processing will only apply the change to the trades that belong to the same desk the source trade belongs to.
Basic Flow (sequential)	Master User edits CC in the Change Clearing view by selecting a CC from the drop down.
Alternate Flows	In PTA view, user invokes "Apply current value to selected or all trades"
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may do PTA any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.15 Display CCC Name in Order Status, Order History, PTA, Trade Views

Use Case	Displaying CCC Name in Order Status, Order History, PTA and Trade Views
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users
Detailed Business Rule(s)	1. The CCC Name will be displayed in: a. All sub-views on Order Status. b. All sub-views on Order History. c. PTA (Change Clearing). d. All sub-views on Trade Views. 2. The CCC Name will be shown in the Client Category column irrespective of the CCC status (active or deleted) 3. Records that have had the CCC Name changed will be updated dynamically to show the new CCC Name 4. Order Status Filter will display CCs in the Client Category Filter. 5. Trades and Statistics Filter will display CCs in the Client Category Filter.
Basic Flow (sequential)	1. One or many of Order Status, Order History, PTA or Trade views are opened by the user. 2. The Client Category column shows the CCC name if a CCC was used for the order/trade. 3. While the view is open, if the CCC name changes, the new name will be shown.
Alternate Flows	
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may view Order Status, Order History and Trade Views any time PrecISE application is online.
Post-conditions	
Non-Functional Requirements	
Open Issues	

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7.16 Display CCC Order Status, Order History, PTA, Trade Views for Master User

Use Case	Displaying CCC in Order Status, Order History, PTA, and Trade Views
Description	
User(s)/ Actor(s)	PrecISE Master Users
Detailed Business Rule(s)	1. The CCC Name will be displayed in: a. Order Status (My Orders, Desk Views, My Trades, Desk Trades) b. Order History c. PTA (Change Clearing) d. Trade Views (My Trades, Desk trades) 2. The CCC Name will be shown in the Client Category column, irrespective of the CCC status (active or deleted) for all BUs orders and trades that the MU can see. 3. Orders and trades that have had the CCC Name changed will be updated dynamically to show the new CCC Name for the following: a. MU's own BU b. Other desks for which he is a MU 4. Order Status Filter will display CCs in the Client Category Filter. 5. Trades and Statistics Filter will display CCs in the Client Category Filter.
Basic Flow (sequential)	1. One or many of Order Status, Order History, PTA or Trade views are opened by the MU. 2. The Client Category column shows the CCC name if a CCC was used for the order/trade. 3. While the view is open, if the CCC name changes, the new name will be shown.
Alternate Flows	
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may view Order Status, Order History, PTA and Trade Views any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.17 Order and Trade Status Filter

Use Case	Filtering by CCs in Order Status, Order History, PTA, and Trade Views
Description	
User(s)/ Actor(s)	Same-Desk PrecISE Users, Master User
Detailed Business Rule(s)	1. Only the CCs will be displayed in the filter for: a. Order Status (My Orders, Desk Views) b. Order History c. PTA (Change Clearing) d. Trade Views (My Trades, Desk trades) This is the current behavior which will be left unchanged. 2. Selecting a CC in the filter will display both – the items (orders/trades) that use the CC by itself and the items that use the CCCs belonging to the selected CC. For example, selecting 'Customer' will display items where the user has selected Customer for the CC and also items that have the CCC set to BNP-Cust, FIDL-Cust and other CCCs of type Customer.
Basic Flow (sequential)	1. One or many of Order Status, Order History, PTA or Trade views are opened by the user. 2. The user brings up the Filter view. 3. The Account Category drop down will only show the original CCs (which is the current behavior). No CCCs will be displayed for filtering.
Alternate Flows	
Pre-conditions	Users must have access to the PrecISE front-end trading application. PrecISE User may view Order Status, Order History, PTA and Trade Views any time PrecISE application is online.
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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7.18 PrecISE Order History Report

Use Case	Using CCC on PrecISE order history report
Description	This case describes usage of CCCs for PrecISE OHR
User(s)/ Actor(s)	POHR generator tool
Detailed Business Rule(s)	1. When CCC is found on a history record, the CCC name will be included in the PrecISE OHR data. 3. POHR generation will include CCC name irrespective of the CCC active status. 4. If CCC value is not associated with the order history record, CC value will be used.
Basic Flow (sequential)	1. POHR starts as scheduled. 2. Upon start-up, POHR generator receives CCC data. 3. While processing order history records, POHR generator locates CCC name for a CCC value found on an order history record and embed the CCC name into the report.
Alternate Flows	n/a
Pre-conditions	n/a
Post-conditions	n/a
Non-Functional Requirements	n/a
Open Issues	n/a

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Appendix A. Client Categories by Order Ticket

This Appendix lists the available Client Categories available for each order ticket and order type.

	Order Ticket	Order Type	Client Cat Available	Client Cat Available Side 2	
1	Regular Order		Customer Prop-Firm Prop-Cust B/D-Cust B/D-Firm ISE MM FARMM		
2	Block		Customer Prop-Firm Prop-Cust B/D-Cust B/D-Firm FARMM		
3	Crossing	Facilitation	Customer Order Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	Contra Order Customer B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust	
		Solicitation	Unsolicited Order Customer B/D-Cust B/D-Firm ISE MM FARMM	Solicited Order Customer B/D-Cust B/D-Firm ISE MM FARMM	

		Customer Match	Customer One Customer	Customer Two Customer	
		PIM	Customer Order Customer B/D-Cust B/D-Firm ISE MM FARMM	Primary Improve Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	
		Sweep and Cross	Customer One Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	Contra Order Customer B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust	
		QCC	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	

		Reserved Cross	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
		Matched Order	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
4	Spread	Regular	Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust		
		Facilitation	Customer Order Same as crossing	Contra Order Same as crossing	
		Solicitation	Unsolicited Order Same as crossing	Solicited Order	

				Same as crossing	
		Customer Match	Customer One Customer	Customer Two Customer	
		PIM	Customer Order Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	Contra Order Customer B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust	
		QCC	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
		Matched Order	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM	

				FARMM Prop-Firm Prop-Cust Cust-Professional	
		Reserve Cross	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
5	With Stock	Buy-Write	Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust		
		Delta Neutral	Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust		
		Facilitation	Customer Order Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	Contra Order Customer	

				B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust	
		Solicitation	Unsolicited Order Same as crossing	Solicited Order Same as crossing	
		Customer Match	Customer One Customer	Customer Two Customer	
		PIM	Customer Order Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust	Contra Order Customer B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust	
		Matched Orders	Order 1 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	Order 2 Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
		Reserve Cross	Order 1 Customer B/D-Cust B/D-Firm ISE MM		

			FARMM Prop-Firm Prop-Cust Cust-Professional	<u>Order 2</u> Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
		QCC	<u>Order 1</u> Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	<u>Order 2</u> Customer B/D-Cust B/D-Firm ISE MM FARMM Prop-Firm Prop-Cust Cust-Professional	
	Stop		Customer B/D-Cust B/D-Firm FARMM Prop-Firm Prop-Cust		
	Cab		Customer Prop-Firm Prop-Cust B/D Cust B/D Firm		