



GOVERNANCE. RISK. COMPLIANCE.

PPM User Manual

Version 1.4

September 19, 2020

HST SOLUTIONS

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Mobile Apps | Cloud Apps

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Version History

Sl. No.	Version Number	Release Date	Prepared By	Reviewed & Approved By	Reasons for New Release
1	1.0	30 May 2018	Asghar Ali- Team Lead	Gurmeet Singh- PM	NA
2	1.1	13 November 2018	Asghar Ali- Team Lead	Abhideep Bhattacharjee- PM	Enhancement and some fixes.
3	1.2	16 January 2019	Asghar Ali- Team Lead	Abhideep Bhattacharjee- PM	Enhancement and some fixes.
4	1.3	28 February 2019	Asghar Ali- Team Lead	Abhideep Bhattacharjee- PM	Enhancement and some fixes.
5	1.4	19 September 2020	Asghar Ali- Team Lead	Abhideep Bhattacharjee- PM	Enhancement and some fixes.

Introduction

Access Link - <http://173.249.40.27:9999>

What is PPM?

PPM is a 'Pre - processing module' - A web-based application that runs in compliance with RiskCore, to feed validated and manipulated data to the RiskCore Application.

Purpose

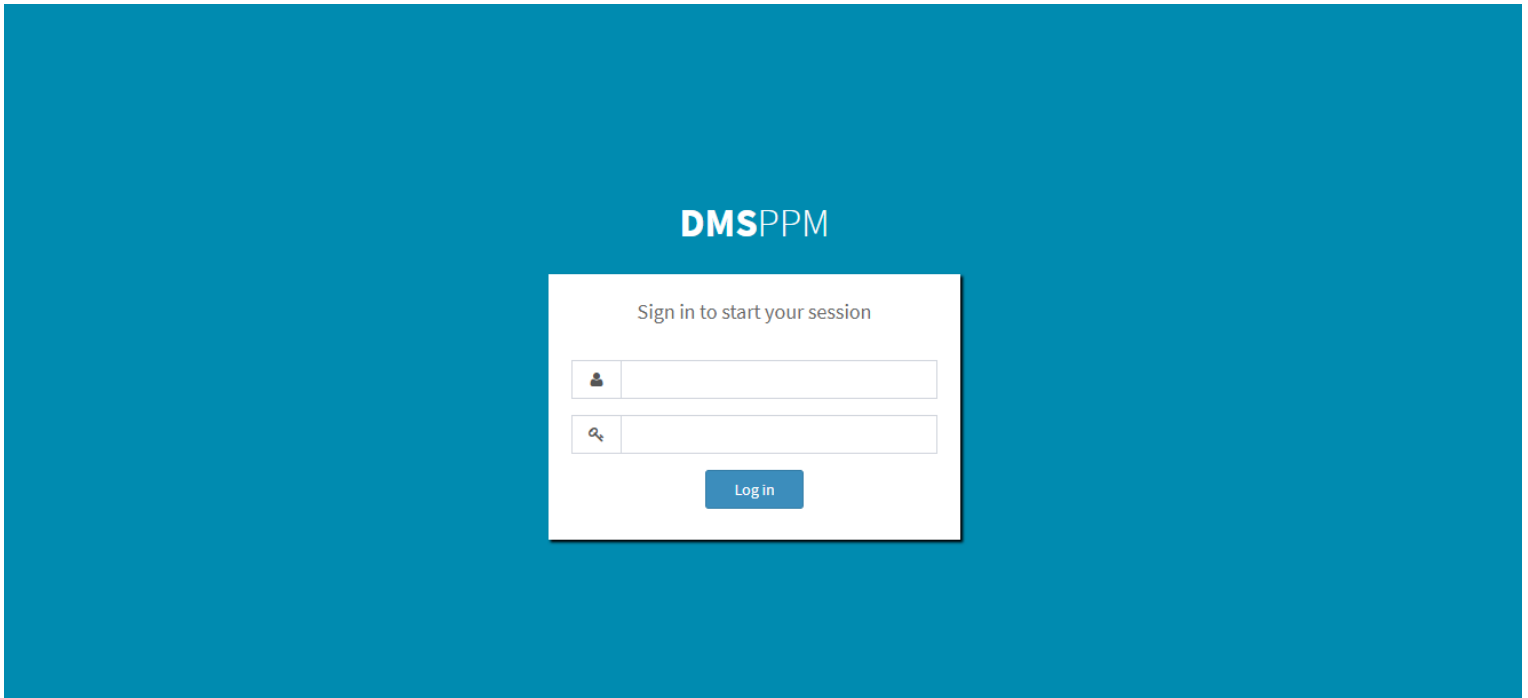
RiskCore consumes data from a number of different sources. This data is in 'flat file' format (e.g. csv, Excel, text) and the format of each file varies. There are also some issues relating to the format - as supplied by the source data provider (SDP) - which means that RiskCore is not able to consume the raw format.

E.g. if the source file has two columns with the same name, it will fail in RiskCore.

Therefore, RiskCore requires a Pre-processing Module (PPM) which will clean up files before being run. In addition, the PPM should perform some basic validity checks on the data. e.g. ensuring that all values in a given column are a number, a date, etc.

Step 1.0 – Login

1.1 Enter your Username and Password and click on the Login button.



1.2 After successful login, the Data-dashboard page will be displayed.

1.3 On the top right corner of the screen, the user is provided with two functionalities:

- a. Change Password
- b. LogOut

DMSPPM
Data Dashboard
SDP
SDP Connection
File Contents
Execution Plan Wizard
Fund Scheduler Setup
User
27-Oct-2020 08:30 PM
PPM

Data Dashboard

Client: alk
Fund: 1 selected
File Contents: 1 selected
Source Data Provider: 1 selected

Reports Date: ALL
Save Favorite
View Favourite

Download 0 item(s) selected Run
T-2 T-1 Today Tomorrow Date Range All

Show 10 entries
Search: pre

						File Expected		Report (Expected) Effective Date			PPM Status				
	ID	Fund Name	File Contents	SDP	Received Date	Frequency Type	As At	From	To	Type	Date	Delivery Status	Note	Manual Run	
+	21915	ALKEON UCITS FUND	TRIAL BALANCE	SEI Investments Global Fund Services - Ireland	08 Oct 2020	Daily	06 Oct 2020				Pre-Processed	Oct 21 2020 4:20PM	Failure	Run	

Showing 1 to 1 of 1 entries (filtered from 4 total entries)
First Previous 1 Next Last

1.4 The next screen is used for changing password.

DMSPPM
Data Dashboard
SDP
SDP Connection
File Contents
Execution Plan Wizard
Fund Scheduler Setup
User
27-Oct-2020 08:30 PM
PPM

Change Password
Home > Change Password

Current password
New password
Confirm password

Change password

[end of Step 1.0]

Step 2.0 - Create SDP

2.1 Select 'SDP' menu on the top of the screen.

2.2 On this screen, you can do the following:

- Create a new SDP
- See a list of existing SDPs in a table
- Edit/View/Delete an existing SDP

2.3 To **create a new SDP**, select 'Create SDP':

Source Data Provider

+ Create SDP

Show 10 entries

Search: fs

Name	Address	Email	Phone	Action
CENTAUR FUND SERVICES LIMITED		nathaniel.fernandes@centaurfs.com	+353 1 899 2458	Contacts (0) [Edit] [View] [Delete]
IFS	Ireland	aalzaid@dmsgovernance.com	00353 1 619 2385	Contacts (0) [Edit] [View] [Delete]
JP Morgan's Hedge Fund Services (HFS)	Ireland	aalzaid@dmsgovernance.com	00353 1 619 2385	Contacts (0) [Edit] [View] [Delete]
MaplesFS Ltd	;2;6;1;1;Queensgate House PO Box 1093;1;GT South Church Street;1;George Town;1;1;1;Cayman Islands;			Contacts (0) [Edit] [View] [Delete]

Showing 1 to 4 of 4 entries (filtered from 37 total entries)

Previous 1 Next

2.4 A pop-up opens; enter the details and hit 'Save':

SDP

SDP Name

Address

Email

Phone

Save Cancel

2.5 The SDP you created will appear in the table. You can also edit and view the Same SDP later.

[end of Step 2.0]

Step 3.0 - Create SDP Connection

3.1 Select “SDP Connection” menu on the top of the screen.

3.2 On this screen, you can do the following:

- Create a new SDP Connection
- See a list of existing SDP Connections in a table
- Edit/View/Delete an existing SDP Connection

3.3 To **create a new SDP Connection**, select ‘Create SDP Connection’:

The screenshot shows the DMSPPM interface with the 'SDP Connection' menu selected. A red box highlights the '+ Create SDP Connection' button. Below the button is a table of existing SDP connections.

Name	SDP Name	Protocol	Host	Port	User Name	Action
Email SEI	SEI Investments Global Fund Services - Ireland	Email	outlook.office365.com	993	mb_riskire@dmsgovernance.com	[Edit] [View] [Delete]
FTP SEI	SEI Investments Global Fund Services - Ireland	SFTP	ftp2.seic.com	22	DMS_gkaur	[Edit] [View] [Delete]
FTP SEI Krane	SEI Investments Global Fund Services - Ireland	SFTP	ftp2.seic.com	22	DMS_ServiceAccount	[Edit] [View] [Delete]
SEI SMB	SEI Investments Global Fund Services - Ireland	SMB	\\DESKTOP-03C0R8P\\smb\\Alkeon	0	Asgar Ali	[Edit] [View] [Delete]
SMB SEI	SEI Investments Global Fund Services - Ireland	SMB	\\dms-ire-na2\\vol_Risk_FUNDDATA_Client\\	0	sys_riskcore	[Edit] [View] [Delete]

Showing 1 to 5 of 5 entries (filtered from 16 total entries)

3.4 A pop-up opens; enter the details:

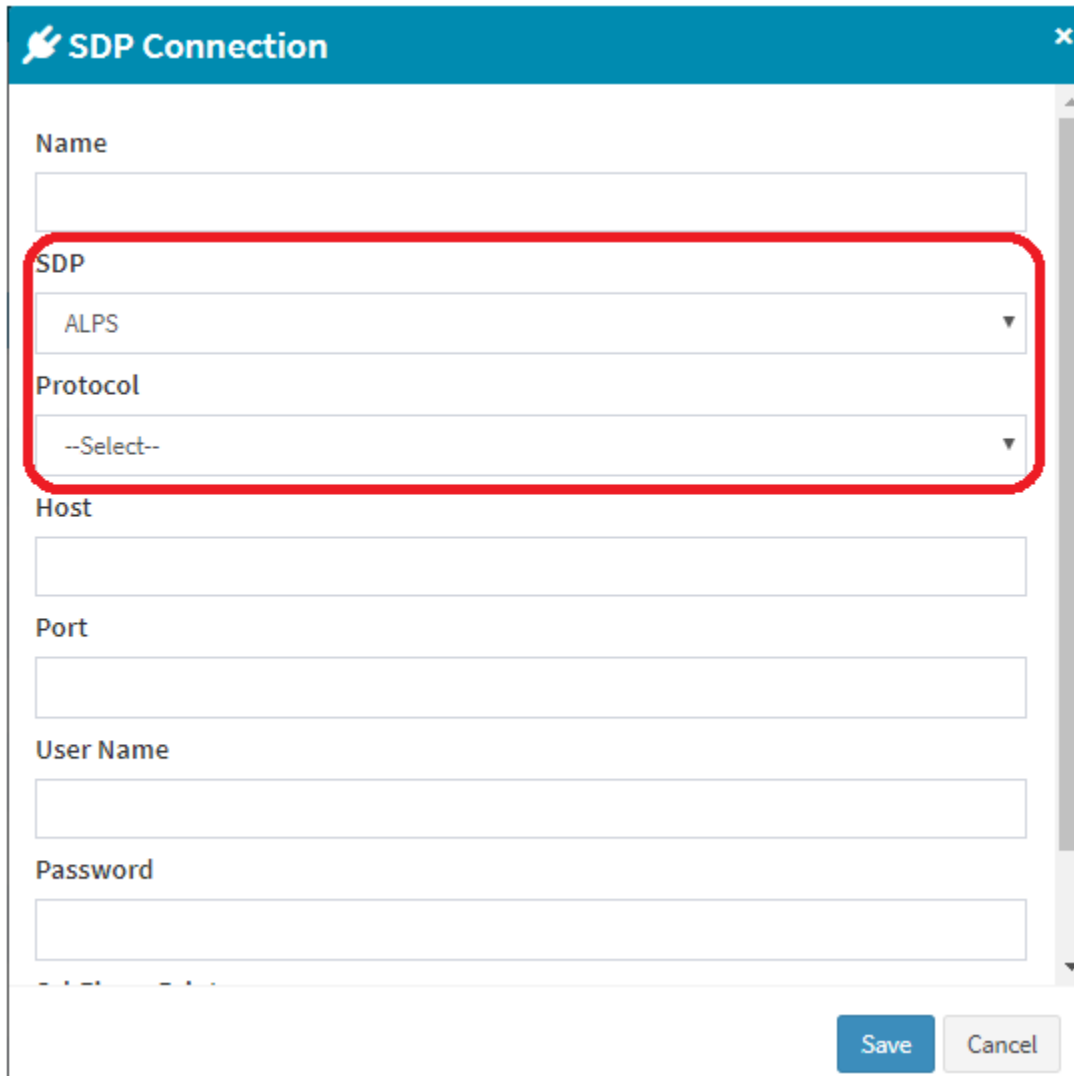
The screenshot shows the DMSPPM interface with the 'SDP Connection' menu selected. A pop-up form titled 'SDP Connection' is open, allowing users to create a new connection. The form fields are:

- Name
- SDP (Dropdown menu showing 'ALPS')
- Protocol (Dropdown menu showing '--Select--')
- Host
- Port
- User Name
- Password

Buttons for 'Save' and 'Cancel' are at the bottom of the pop-up.

3.5 Select 'SDP' and 'Protocol' (SMB, SFTP, Email) from the drop - down list:

Note: The SDP drop down contains all the existing SDP, as well as the one that you just created:



SDP Connection

Name

SDP

ALPS

Protocol

--Select--

Host

Port

User Name

Password

Save Cancel

3.6 Click 'Save' to complete the Step.

3.7 The SDP Connection you created will appear in the table. You can also view and edit the same SDP Connection later, but you cannot change the SDP of an SDP connection if a connection is already used in any Execution plan.

[End of Step 3.0]

Step 4.0 - Create Execution Plan

4.1 Select “Execution Plan Wizard” menu on the top of the screen.

4.2 On this screen, you can do the following:

- Create a new Execution Plan
- See a list of existing Execution Plans
- Edit/Delete an existing Execution Plans

4.3 To **create a new Execution Plan**, select ‘Create Execution Plan’:

The screenshot shows the 'Execution Plan Wizard' interface. At the top, there is a navigation bar with various menu items. Below the navigation bar, there is a section titled 'Execution Plan Wizard' with a '+ Create Execution Plan' button. To the right of this button, there is a 'Delete | 0 item(s) selected' button, which is highlighted with a red box. Below this, there is a table with columns: Execution Plan Name, SDP Name, Fund Name, File Contents, and Action. The table contains six rows of data, each with a 'Complete' status and a 'History' button (orange) in the Action column. The first row of the table is highlighted with a red box, and the 'Expand Plus Sign' in the first column of the table is also highlighted with a red box.

	Execution Plan Name	SDP Name	Fund Name	File Contents	Action
<input type="checkbox"/>	Complete BBH PZENA US LC EXPANDED VALUE Holdings	BBH Holdings Ltd	Pzena U.S. Large Cap Expanded Value Fund	HOLDINGS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>
<input type="checkbox"/>	Complete CENTAUR Mid Cap Holdings	CENTAUR FUND SERVICES LIMITED	TT Mid-Cap Europe Long/Short Alpha Fund Ltd.	HOLDINGS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>
<input type="checkbox"/>	Complete MERCHBANC OPTION TRADE FILE	CACEIS Fund Administration	MERCHBANK SICAV	TRANSACTIONS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>
<input type="checkbox"/>	Complete SEI BANCO BIG Accruals	SEI Investments Global Fund Services - Ireland	BIG DIVERSIFIED MACRO FUND	ACCRUALS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>
<input type="checkbox"/>	Complete SEI BANCO BIG Holdings	SEI Investments Global Fund Services - Ireland	BIG DIVERSIFIED MACRO FUND	HOLDINGS – EX CASH AND FX FORWARDS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>
<input type="checkbox"/>	Complete SEI FIVE LABS Accruals MH TEST	SEI Investments Global Fund Services - Ireland	FIVE LABS	ACCRUALS	<input type="button" value="History"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/>

4.3 (a) Expand Plus Sign to View All Steps of an **Execution Plan**

4.3 (b) Select multiple Execution Plans and click on “Delete” on the top right corner to delete all the selected Execution plans.

4.3 (c) User can view the Owner of the Execution plan by clicking on the **History** (Orange) button.

DMSPPM Data Dashboard SDP SDP Connection File Contents Execution Plan Wizard Fund Scheduler Setup User 27-Oct-2020 08:30 PM PPM

Execution Plan Wizard

+ Create Execution Plan

Show 10 entries Search:

	Execution Plan Name	SDP Name	Fund Name	File Contents	Action
	BBH PZENA US LC EXPANDED VALUE Holdings	BBH Holdings Ltd	Pzena U.S. Large Cap Expanded Value Fund	HOLDINGS	

View Execution Plan Details

File Processing Template Fund Scheduler File Fetch File Setting File Reading & Identification File Manipulation File Validation

Execution Plan Name BBH | PZENA US LC EXPANDED VALUE | Holdings

SDP Name BBH Holdings Ltd

Fund Name (2280197) Pzena U.S. Large Cap Expanded Value Fund

File Contents HOLDINGS

Primary External Contact Person -

Secondary External Contact Person -

Primary Owner -

Activate Windows
Go to Settings to activate Windows.

4.4 There are 7 steps in succession, for creating an Execution Plan:

Step - 1 File Processing Template

Step 1 * File Processing Template Step 2 * Fund Scheduler Step 3 * File Fetch Step 4 File Setting Step 5 * File Reading And Identification Step 6 File Manipulation Step 7 File Validation

* mandatory steps

Basic Info

Primary Information

Execution Plan Name BBH | PZENA US LC EXPANDED VALUE | Holdings

Source Data Provider BBH Holdings Ltd

Fund (2280197) Pzena U.S. Large Cap Expanded Value Fund

File Contents HOLDINGS

DMS Applications

Application(s)

External Contact

Primary --Select--

Secondary --Select--

Owner

Primary --Select--

Secondary --Select--

Preprocessed Delivery Config

Delivery Path \\dms.local\file\Risk_FundData_Client\

Username PPM

Password *****

Note: Update "Preprocessed Delivery Config" separately if Fund Scheduler already configured for this Execution Plan

Update

Skip > Update And Next >

- Once You Click on 'Create Execution Plan', the above screen will appear.
- There are two sections, namely 'Basic Info' and 'Pre-processed delivery Config', in the File Processing Template. 'Basic Info' has the details regarding an Execution plan, whereas 'Preprocessed delivery Config' stores the DMS network drive path where the Pre-processed file will be delivered.
- Enter the details.
 - **Basic Info:** It has the following sections-
 - a) **Primary Information:** Enter the Execution Plan NAME you think would be appropriate for the Execution plan; select the SDP, Fund and File Content from the drop down.
 - b) **DMS Applications:** Name of the DMS Applications that will be impacted by this Execution plan.
 - c) **External Contact:** User can tag this Execution plan with the primary and secondary external contact points (i.e. the people) on the source data provider side
 - d) **Owner:** User can assign a DMS User as the primary owner of each execution plan, along with a secondary owner. This is the person responsible for ensuring that the file is received and processed, while also chasing up non-DMS parties if the file does not come in.
 - **Preprocessed Delivery Config:** Enter the Delivery path, Username and Password.
Note: The file name pattern is "Fund name_File contents_YYYY_MM_DD" (e.g. CFP OPPORTUNITY MASTER FUND_HOLDINGS_2018_12_31)
- Click 'Save and Next' to proceed to Step 2.
- User can update the "Preprocessed Delivery Config" separately if Fund scheduler is already configured for this Execution plan.
- User can traverse to any stage i.e., File fetching, File fetch, File manipulation, just by clicking upon any of the arrow marked steps.

• Step - 2 Fund Scheduler

Step 1 * File Processing Template

Step 2 * **Fund Scheduler**

Step 3 * File Fetch

Step 4 File Setting

Step 5 * File Reading And Identification

Step 6 File Manipulation

Step 7 File Validation

* mandatory steps

Source Data Provider ALPS

Fund () RAGING CAPITAL FUND (QP) LP

File Contents Transactions

Frequency Tag Monthly

Note Monthly

File Expected Receive Date

☐ As At

☒ From To

0 12

Enter Range 20 Days

For Instance :
If File Expected Effective (Report) Date: 22/04/2017, and AsAt (delta) = +3, then Expected Receive Date will be 25/04/2018.

For Instance :
Effective date: 20/04/2018,
From To (delta): +3 Range is = 14, Then Expected Effective (Report) Dates = From : 02/04/2017(14 Business days prior), to : 20/04/2017 and Expected Receive date= 23/04/2017.

< Previous

Skip > Update And Next >

- This step is to set up the Fund Scheduler.
- **Frequency tag:** Select the frequency of running the Scheduler from the drop - down - Daily, Weekly, Monthly or Fortnightly.
- **Note:** This can be used to write a small description if needed (this field is not mandatory).
- **Expected Effective Date:** This is used to select the ‘Expected Effective (Report) Date’, which is the actual Date on the report.

This will be calculated by the PPM, according to the ‘**Expected Effective Date**’ as entered by the User in the ‘Fund Scheduler Setup’ screen.

The user selects either a single date under ‘AS AT’, or a range of date under ‘FROM TO’ (e.g. for a Transaction report)¹.

For Instance (As At): For Example – Holding files

If File Expected Effective (Report) Date: 22/04/2017, and AsAt (delta) = +3, then Expected Receive Date will be 25/04/2018.

¹ Please note: These dates would be calculated by PPM and will be shown to the user on the following screen. Weekends and Business holidays would not be considered.

For Instance (From –To): For Example – Transaction files

Effective date: 20/04/2018,

From To (delta): +3 Range is = 14, Then Expected Effective (Report) Dates = From: 02/04/2017(14 Business days prior), to: 20/04/2017 and Expected Receive date= 23/04/2017.

- **Enter range:** Here the user mentions the duration for the 'FROM TO' dates. This applies, only if user selects 'FROM TO' option.
- Click 'Save and Next' for the next screen.

- Step - 3 File Fetch

* mandatory steps

Step 1 *	Step 2 *	Step 3 *	Step 4	Step 5 *	Step 6	Step 7
File Processing Template	Fund Scheduler	File Fetch	File Setting	File Reading And Identification	File Manipulation	File Validation

Source Data Provider ALPS

Fund () RAGING CAPITAL FUND (QP) LP

File Contents Transactions

SDP Connection ALPS-Ragging-SMB

Remote Dir Path \\10.0.12.28\\alps \\Raging Capital\\

Remote File Name File Name

< Previous Skip > Update And Next >

Image for SFTP and SMB Share

Step 1 *	Step 2 *	Step 3 *	Step 4	Step 5 *	Step 6	Step 7
File Processing Template	Fund Scheduler	File Fetch	File Setting	File Reading And Identification	File Manipulation	File Validation
* mandatory steps						
Source Data Provider		Caceis				
Fund		(2163541) QC V-PRO DYNAMIC				
File Contents		Holdings				
SDP Connection		Caceis-QCAM-Email				
Folder Path		outlook.office365.com INBOX/Quaesta				
File Name		File Name				
Received from		Olis@caceis.com				
Subject Header		REF0000093394 - QC V-Pro & QCAM V-Pro Reports - Autoreport on <ex:dd/MM/yyyy>				
< Previous			Skip >		Update And Next >	

Image for Email

- In this step, the user assigns the File fetching details; i.e. the expected location (or directory source) of the expected file(s).
- a) **SDP Connection:** User can select from the drop down a list of pre-defined SDP connections defined in [Step 3.0](#).
- b) **Remote Dir Path / Folder Path:** This might look intimidating but is not, once you understand the logic behind it. The first half of this parameter is the 'host' that is defined during creation of SDP connection in [Step 3.0](#).

In the 2nd half or the 2nd field of this parameter, the user specifies the path the PPM takes to locate the file in the directory. Therefore, if an *NGA Capital Feeder Fund* file is in a location on *SMB Share* as, "\\Home\\Online Documents\\TA\\Shareholder Registers\\12.25.2018\\", then:

Remote Dir Path will be: "\\Home\\Online Documents\\TA\\Shareholder Registers\\<ef:M.d.yyyy>\"

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- c) **Received From:** This field will be used for “Email” fetch. Here, user will specify the email id from which the email will be received.

Received From will be: Olis@caceis.com

- d) **Subject Header:** This field is used to filter emails by email subject.

Subject Header will be: “CACEIS IRELAND LIMITED - REF0000093394 - QC V-Pro & QCAM V-Pro Reports - Autoreport on <ex:dd/MM/yyyy>”

- e) **Remote File Name / File Name:** Here the user can specify the name of the file, **only if** the user is certain about a part of the file name.

For example, if a file that is fetched daily, bears the name - “Client Reports 12.30.2009”, then the **Remote File Name** can be defined as:

“Client Reports <ef:MM.dd/yyyy>.xlsx”

Or

“Client Reports <ex:MM.dd/yyyy>.xlsx”

Note: It is advised to keep this blank if the file name, or a part of the file name, is uncertain or changes over time (or else the PPM might have difficulty locating it).

Please follow the below instruction to configure the directory path:

All Patterns are Case sensitive

In File Fetch place date format either starts with “<ef:” and ends with “>” or starts with “<ex:” and ends with “>”

d Represents the day of the month as a number from 1 through 31.

dd Represents the day of the month as a number from 01 through 31.

ddd Represents the abbreviated name of the day (Mon, Tues, Wed etc).

dddd Represents the full name of the day (Monday, Tuesday etc).

M Month number (eg.3)

MM Month number with leading zero (eg.04)

MMM Abbreviated Month Name (e.g. Dec)

MMMM Full month name (e.g. December)

y Year, no leading zero (e.g. 2015 would be 15)

yy Year, leading zero (e.g. 2015 would be 015)

yyy Year, (e.g. 2015)

yyyy Year, (e.g. 2015)

Date Format Should be in the below pattern -

For expected effective date → starts with “<ef:” and ends with “>”

For file expected receive date → starts with “<ex:” and ends with “>”

For instance,

Expected effective date → 25/12/2018 (DD/MM/YYYY)

File expected receive date → 02/12/2018(DD/MM/YYYY)

e.g-

<ef:MM/dd/yyyy> → 12/25/2018

<ex:MM/dd/yyyy> → 12/02/2018

<ef:MM.dd/yyyy> → 12.25.2018

<ex:MM.dd/yyyy> → 12.02.2018

User can define date pattern/format <ef:> or <ex:> in “**Remote Dir Path**”, “**Remote File Name**” and “**Subject Header**” field in **FileFetch** (*Step 3 in Execution Plan Wizard*)

If User used “<ef:” then File Effective Report Date will be used internally to generate the dynamic Path/FileName/Subject (for email)

If User used “<ex:” then File Effective Report Date will be used internally to generate the dynamic Path/FileName/Subject (for email)

More example:

<ex:dddd, dd MMMM yyyy> → Friday, 29 May 2015

<ef:MMMM dd> → May 29

<ex:yyyy MMMM> → 2015 May

<ex:M/d/yyyy> → 5/29/2015,

<ex:M> → 5

<ex:DD> → 25

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Remote Dir Path	Remote File Name	Subject Header	Result
/FA/Valuations/<ef:yyyy>/<ef:yyyyMMd> Client Reports/			/FA/Valuations/2018/20181225 Client Reports/
/FA/Daily NAVS/Client Reports<ef:dd.MM.yyyy>/			/FA/Daily NAVS/Client Reports25.12.2018/
\Home\Online Documents\TA\Shareholder Registers<ef:M.d.yyyy>\			\Home\Online Documents\TA\Shareholder Registers\12.25.2018\
\Raging Capital\			\Raging Capital\
\			\
\ABR\ABR DYNAMIC BLEND EQUITY & VOLATILITY FD<ef:yyyy>\<ef:MM>\<ef:dd>\			\ABR\ABR DYNAMIC BLEND EQUITY & VOLATILITY FD\2018\12\25\
\ABR\ABR ENHANCED SHORT VOLATILITY FUND<ef:yyyy>\<ef:MM>\<ef:dd>\			\ABR\ABR ENHANCED SHORT VOLATILITY FUND\2018\12\25\
\PZENA\Pzena Emerging Markets Value Fund<ef:yyyy>\<ef:MM>\<ef:dd>\			\PZENA\Pzena Emerging Markets Value Fund\2018\12\25\
\Goodharbor\LELAND THOMSON REUTERS PRIVATE EQ IDX FD<ef:yyyy>\<ef:MM>\<ef:dd>\			\Goodharbor\LELAND THOMSON REUTERS PRIVATE EQ IDX FD\2018\12\25\
\PE\PE FX Strategy<ef:yyyy>\Client Reports <ef:dd.MM.yyyy>\			\PE\PE FX Strategy\2018\Client Reports 25.12.2018\
\Pzena\Pzena Global Expanded Value Fund<ef:yyyy>\<ef:MM>\<ef:dd>\			\Pzena\Pzena Global Expanded Value Fund\2018\12\25\
\Pzena\Pzena Global Value Fund<ef:yyyy>\<ef:MM>\<ef:dd>\			\Pzena\Pzena Global Value Fund\2018\12\25\

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\Pzena\Pzena US Large Cap Expanded Value Fund\<ef:yyyy>\<ef:MM>\<ef:dd>\			\Pzena\Pzena US Large Cap Expanded Value Fund\2018\12\25\
/FA/Daily NAVS/Client Reports<ef:dd.MM.yyyy>/			/FA/Daily NAVS/Client Reports25.12.2018/
INBOX/Quaesta		CACEIS IRELAND LIMITED - REF0000093394 - QC V-Pro & QCAM V-Pro Reports - Autoreport on <ex:dd/MM/yyyy>	CACEIS IRELAND LIMITED - REF0000093394 - QC V-Pro & QCAM V-Pro Reports - Autoreport on 02/12/2018

• Step - 4 File Setting

Step 1 *
File Processing Template

Step 2 *
Fund Scheduler

Step 3 *
File Fetch

Step 4
File Setting

Step 5 *
File Reading And Identification

Step 6
File Manipulation

Step 7
File Validation

* mandatory steps

Source Data Provider

Caceis

Fund

(2163541) QC V-PRO DYNAMIC

File Contents

Holdings

File Delimiter

CSV Delimiter

--Select--

Text Delimiter

--Select--

File Password(if any)

Password

+ Add

< Previous

Skip >

Update And Next >

- Here, the user can set the expected delimiter of the source file (CSV / text) and also set the password if the file is password protected.

• Step - 5 File Reading and Identification

Step 1 * File Processing Template Step 2 * Fund Scheduler Step 3 * File Fetch Step 4 File Setting **Step 5 * File Reading And Identification** Step 6 File Manipulation Step 7 File Validation

* mandatory steps

Source Data Provider Cacels

Fund (2163541) QC V-PRO DYNAMIC

File Contents Holdings

+ Add New Rule

Show 10 entries Search:

Identify	Based On	Check In	Cell Or Header	Cell Or Header Value	Operation	Search Value	Read From Next ColCell	Sheet Name	Edit	Delete
EffectiveDate	Format	FileContent	Cell	F2	Contains	M/d/yyyy				
FileContents	Value	FileName			Contains	QCAM NAV				
FundName	Value	FileName			Contains	QCAM NAV				

Showing 1 to 3 of 3 entries Previous 1 Next

- Here you can add custom rules for the Purpose of reading the files after they have been fetched by the PPM.
- This screen also lists all the rules that are created in a tabular form.
- Click on 'Add New Rule' to add new custom rules for file Reading and Identification.
- The Pop - up (shown below) appears:

File Reading And Identification
×

Identify

Fund Name

BasedOn

Value

CheckIn

File Name

Operation

Contains

SearchValue

yyyyMMdd

Update **Cancel**

The fields are as following:

- a) **Identify:** You can identify a file based on Fund name, File Contents and Effective date.
 - b) **BasedOn:** Here you can select the identification to be done as a 'value' or a 'format'. That is, date would be based on a 'format', since it could be MM/DD/YYYY or DD/MM/YYYY, and so on. Fund name and File Contents would be based on a 'value'.
 - c) **CheckIn:** This asks the user that where should the PPM check for identifiers: in the File name itself, or inside the file, based on its contents.
 - d) **Operation:** This defines the exact location of the identifiers within the File name or the File content: There are 3 of them - 'StartsWith', 'EndsWith', and 'Contains'. User is advised to select 'Contain' if there is no certainty of the location.
 - e) **SearchValue:** This is the exact keyword the User is searching for. For example, if the User is searching for a fund name, 'Arena LP', then the user enters 'Arena' or 'Arena LP' in the **SearchValue** text field.
- Based on the selection of value from the '**Identify**' dropdown, there are 2 scenarios.
 - 1) **Fund name** and **File Content:** These two have the same fields in the drop down, as shown in the above image.
 - 2) **Effective Date:** Here the field is not needed and hence removed as shown below.

File Reading And Identification ×

Identify

Effective Date ▼

BasedOn

Format ▼

CheckIn

File Name ▼

Operation

Contains ▼

SearchValue

yyyyMMdd

Update

Cancel

- Based on the selection of the '**CheckIn**' dropdown, there will be additional fields.
- If user selects, **CheckIn 'File content'**, then the following screen appears:

File Reading And Identification

Identify

Fund Name

BasedOn

Value

CheckIn

File Content

CellOrHeader

Cell

CellOrHeaderValue

Operation

Contains

SearchValue

QCAM NAV

Update

Cancel

- CellorHeader:** Here user selects to search the value in a Particular cell, or in the Header.
- CellorHeaderValue:** You can type the exact value to be searched in one of the above fields.
- ReadFromNextCell:** You select either 'False', 'True', or 'Not Set', depending on the CellorHeader selection.

File Reading And Identification
✕

Value

CheckIn

File Content ▼

Cell Or Header

Cell Or Header

Cell ▼

Cell Or Header Value

Operation

Operation

Contains ▼

Search Value

QCAM NAV

Read From Next Col Cell

▼

Not Set

True

False

Update

Cancel

This will read 'False', if the user selects 'Cell' from the **CellorHeader** dropdown and will be 'True' if the user selects 'Header' from the dropdown and needs the PPM to read the cell from the next Header.

- Select 'Save' to save the rule.
- This rule will now appear in the list of rules created, in the table.

Show 10 entries
Search:

Identify	Based On	Check In	Cell Or Header	Cell Or Header Value	Operation	Search Value	Read From Next Col Cell	Sheet Name	Edit	Delete
EffectiveDate	Format	FileName			Contains	yyyyMMdd				
FileContents	Value	FileName			Contains	QCAM NAV				
FundName	Value	FileName			Contains	QCAM NAV				

Showing 1 to 3 of 3 entries

Previous
1
Next

- You can also search for a rule as shown below:

Show 10 entries

Search:

Identify	Based On	Check In	Cell Or Header	Cell Or Header Value	Operation	Search Value	Read From Next ColCell	Sheet Name	Edit	Delete
EffectiveDate	Format	FileName			Contains	yyyyMMdd				
FileContents	Value	FileName			Contains	QCAM NAV				
FundName	Value	FileName			Contains	QCAM NAV				

Showing 1 to 3 of 3 entries

Previous 1 Next

- Click 'Save and Next' to proceed to the next step.

Only For Effective Date:

Case sensitive

User does not need to put any angular brackets [< >] for this step

d Represents the day of the month as a number from 1 through 31.

dd Represents the day of the month as a number from 01 through 31.

ddd Represents the abbreviated name of the day (Mon, Tues, Wed etc).

dddd Represents the full name of the day (Monday, Tuesday etc).

M Month number (eg.3)

MM Month number with leading zero (eg.04)

MMM Abbreviated Month Name (e.g. Dec)

MMMM Full month name (e.g. December)

y Year, no leading zero (e.g. 2015 would be 15)

yy Year, leading zero (e.g. 2015 would be 015)

yyy Year, (e.g. 2015)

yyyy Year, (e.g. 2015)

e.g-

MM/dd/yyyy → 05/29/2015

dddd, dd MMMM yyyy → Friday, 29 May 2015

MMMM dd → May 29

yyyy MMMM → 2015 May

M/d/yyyy → 5/29/2015,

- Step - 6 File Manipulation

- In this screen you see all the widgets that exist in order to create a Manipulation rule 'Control Flow'.
- The purpose of this step is to create the 'Control Flow' for the Manipulation rules. You can **drag and drop** the Manipulation rules and those rules will run in the order defined through this control flow.

Step 1 *
File Processing Template

Step 2 *
Fund Scheduler

Step 3 *
File Fetch

Step 4
File Setting

Step 5 *
File Reading And Identification

Step 6
File Manipulation

Step 7
File Validation

* mandatory steps

Source Data Provider

CACEIS Fund Administration

Fund

(2163541) QC V-PRO DYNAMIC

File Contents

Holdings

Manipulation Rules

Add Column With Value

Add Date Formatted Column

Convert A Column Format (Custom To General)

Delete All Blank Columns

Delete All Sheets Except Given Sheet Name

Control Flow

Delete All Blank Rows

- User simply drags the rule in the 'Control Flow' section as shown below:

Source Data Provider

CACEIS Fund Administration

Fund

(2163541) QC V-PRO DYNAMIC

File Contents

Holdings

Manipulation Rules

Find A Duplicate Header And Remove Entire Column Except First Found

Find A Text And Remove All Rows Above It

Find A Value In A Given Column Name And Delete All Rows Above First Found

Control Flow

Find A Value In A Given Column Name And Delete All Rows Above First Found

- Once the user has dragged it, the following screen appears:

Step 1* File Processing Template Step 2* Fund Scheduler Step 3* File Fetch Step 4 File Setting Step 5* File Reading And Identification Step 6 File Manipulation Step 7 File Validation

* mandatory steps

Source Data Provider CACEIS Fund Administration

Fund (2163541) QC V-PRO DYNAMIC

File Contents Holdings

Manipulation Rules

Search Text

Add Column With Value

Add Date Formatted Column

Convert A Column Format (Custom To General)

Delete All Blank Columns

Control Flow

Find A Value In A Given Column Name And Delete All Rows Above First Found

Column Name :

Search Value :

Done Cancel

- **'Search value'** and **'Replace value'** are used to first search the value then replace with Replace value.
- Accordingly, whenever a user drags a rule, a set of parameters will appear if needed to be defined, as shown above.
- You can also delete a rule and edit the parameters of the rule as shown below:

Replace Value

Search Value :

Replace Value :

Done Cancel

- If you delete the first rule in the control flow, the next rule in line then becomes the first rule in the control flow; and so on.
- Click 'Update and Next' for the next screen.

● Step - 7 File Validation

- In this step, the user defines set of validation rules as shown below:

* mandatory steps

Source Data Provider: Caceis
Fund: (2163541) QC V-PRO DYNAMIC
File Contents: Holdings

Report Header:
Data Type: --Select--
Action:

+Add New

< Previous Skip And Finish> Update And Finish >

- Under the '**Column**' field, you can mention the column that needs to be validated.

* mandatory steps

Source Data Provider: Caceis
Fund: (2163541) QC V-PRO DYNAMIC
File Contents: Holdings

Report Header:
Data Type: --Select--
Action:

+Add New

< Previous Skip And Finish> Update And Finish >

- 'Data **Type**' defines, what type of data is to be validated: **Numeric** or a **Date**. You can add a new column by clicking on 'Add New' button as shown below:

- You can also delete a rule by clicking on the 'delete' button as shown below:

Step 1 *
File Processing Template
Step 2 *
Fund Scheduler
Step 3 *
File Fetch
Step 4
File Setting
Step 5 *
File Reading And Identification
Step 6
File Manipulation
Step 7
File Validation

* mandatory steps

Source Data ProviderSEI
Fund(2163169) DMS UCITS CORRIE PLATFORM ICAV - ABR DYNAMIC BLEND EQUITY AND VOLATILITY FUND
File ContentsGeneral Ledger

Report Header
Data Type--Select--
Action

Add New

Previous
Skip And Finish
Update And Finish

4.5 Click on 'Save and Finish' to complete the **Execution Plan** setup.

4.6 The Execution plan created will now appear in the list of existing Execution Plans. It can be edited whenever required, as shown below:

DMSPPM

Data Dashboard

SDP

SDP Connection

File Contents

Execution Plan Wizard

Fund Scheduler Setup

User

27-Oct-2020 08:30 PM

PPM

Create Execution Plan

Delete 0 item(s) selected

Show 10 entries

Search:

		Execution Plan Name	SDP Name	Fund Name	File Contents	Action
<div><div></div><div>Complete</div></div>		BBH PZENA US LC EXPANDED VALUE Holdings	BBH Holdings Ltd	Pzena U.S. Large Cap Expanded Value Fund	HOLDINGS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		CENTAUR Mid Cap Holdings	CENTAUR FUND SERVICES LIMITED	TT Mid-Cap Europe Long/Short Alpha Fund Ltd.	HOLDINGS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		MERCHBANC OPTION TRADE FILE	CACEIS Fund Administration	MERCHBANC SICAV	TRANSACTIONS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI BANCO BIG Accruals	SEI Investments Global Fund Services - Ireland	BIG DIVERSIFIED MACRO FUND	ACCRUALS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI BANCO BIG Holdings	SEI Investments Global Fund Services - Ireland	BIG DIVERSIFIED MACRO FUND	HOLDINGS - EX CASH AND FX FORWARDS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI FIVE LABS Accruals MH TEST	SEI Investments Global Fund Services - Ireland	FIVE LABS	ACCRUALS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI KRANE BLOOMBERG BOND INCLUSION HOLDINGS Test	SEI Investments Global Fund Services - Ireland	KraneShares CSI China Internet UCITS ETF	HOLDINGS - EX CASH AND FX FORWARDS	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI TRG Cash	SEI Investments Global Fund Services - Ireland	TRG EMERGING MARKETS LOCAL DEBT UCITS FUND	HOLDINGS - CASH	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		SEI Alkeon Trial Balance	SEI Investments Global Fund Services - Ireland	ALKEON UCITS FUND	TRIAL BALANCE	<div><div></div><div></div><div></div></div>
<div><div></div><div>Complete</div></div>		StatPro HSBC Fund A	StatPro Group PLC	DEMO FUND 1	STATPRO	<div><div></div><div></div><div></div></div>

Showing 1 to 10 of 12 entries

Activate Windows

Go to Settings to activate Windows.

First

Previous

1

2

Next

Last









- You can also search for an existing Plan as shown below:

DMSPPM
Data Dashboard
SDP
SDP Connection
File Contents
Execution Plan Wizard
Fund Scheduler Setup
User
27-Oct-2020 08:30 PM
PPM

Execution Plan Wizard
Home > Execution Plan Wizard

+ Create Execution Plan
Delete | 0 item(s) selected

Show 10 entries
Search:

		Execution Plan Name	SDP Name	Fund Name	File Contents	Action
+ <input type="checkbox"/>	Complete	BBH PZENA US LC EXPANDED VALUE Holdings	BBH Holdings Ltd	Pzena U.S. Large Cap Expanded Value Fund	HOLDINGS	  
+ <input type="checkbox"/>	Complete	CENTAUR Mid Cap Holdings	CENTAUR FUND SERVICES LIMITED	TT Mid-Cap Europe Long/Short Alpha Fund Ltd.	HOLDINGS	  
+ <input type="checkbox"/>	Complete	MERCHBANC OPTION TRADE FILE	CACEIS Fund Administration	MERCHBANK SICAV	TRANSACTIONS	  

[End of Step 4.0]

Step 5.0 - Calendar Template

5.1 Select 'Calendar Template' from Fund Scheduler Setup menu on the top-navigation bar of the screen. User can use this template during Fund Scheduler Setup.

5.2 On this screen, you can do the following:

- Create a new Calendar Template
- See a list of Calendar Templates in a table
- Edit/View an existing Calendar Templates

5.3 To **create a new Calendar Template**, select 'Create Calendar Template'.

5.4 A new page opens; select the Year and Frequency Tag:

5.5 The following screen appears:

Daily
Weekly
Monthly

File Expected Effective Date :

Selected ■ Holiday ■ Weekend ■



Activate Windows
Go to Settings to activate Windows.

RESET
GENERATE SCHEDULE

The following options are available for the User's to select a date range-

- ❖ Daily option – Select all weekdays within the range (excluding holidays).
- ❖ Weekly option – Select a working day for each week (excluding holidays).
- ❖ Monthly option – Select the last working day of each month (excluding holidays).

5.6 Click on “Generate Schedule” to create a new Calendar Template.

5.7 Click on ‘Reset’ to reset all the dates on the Calendar.

5.8 The Calendar Template you created will appear in the table. You can also edit and delete the same Calendar Template later.

Calendar Template			Home > Calendar Template
+ Create Calendar Template			
Show: 10 entries	Search:		
Name	CalendarYear	FrequencyTag	
Daily Template for Year 2020	2020	Daily	<div> <div></div> <div></div> <div></div> </div>
Showing 1 to 1 of 1 entries			Previous 1 Next

5.9 The User can clone Calendar Template using above highlighted button.

[End of Step 5.0]

Step 6.0 - Scheduling the 'Fund Scheduler'

6.1 Here the user can schedule the PPM to fetch files on particular dates ('Expected Effective Date'), which are defined by the user in the calendar section.

6.2 Select the Execution Plan (created in the previous section) from the dropdown menu as shown below.

6.3 The following screen appears:

The following options are available for the User's to select a date range-

- ❖ Daily option – Select all weekdays within the range (excluding holidays).
- ❖ Weekly option – Select a working day for each week (excluding holidays).
- ❖ Monthly option – Select the last working day of each month (excluding holidays).

NB: User can also select the **Calendar Template** from above drop-down to select dates.

6.4 There are two sections in this screen:

- 1) As shown below, the First section shows most of the parameters that were defined in the previous steps.

Execution Plan	test execution		
Listing those Execution Plans which have completed Step 2 (Fund Scheduler) in Execution Plan wizard			
Year	2020	As AT	2
Fund	(2163169) ABR Dynamic Blend Equity and Volatility Fund	File Contents	HOLDINGS
SDP	APEX	Frequency	Daily
From To	To Range		

Calendar Template: Daily Template for Year 2020

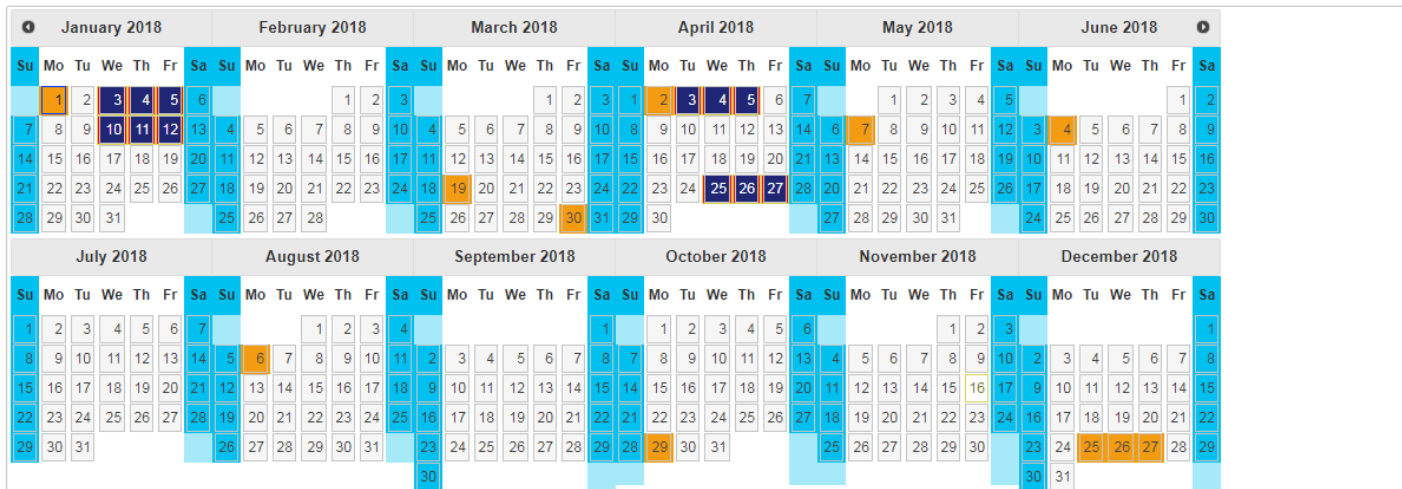
Depending on the selection in the **'Year'** drop down, the calendar section below will change accordingly. For example, if a User selects 2018, then the following section will show dates for 2018.

NB: User can set dates using Calendar Template from the above drop-down.

- 2) This is the Calendar section. Here, the user will select all the **'File Expected Effective Date'** dates for the calendar year for that particular execution plan:

File Expected Effective Date :

Selected Executed Holiday Weekend



RESET GENERATE SCHEDULE

- The Dates highlighted in blue are the user selected **'File Expected Effective Date'** dates².

² Note: Since on Weekends and Public holidays no files are received, user cannot select those dates on the calendar.

6.5 Click on 'Reset' to reset all the dates on the Scheduler.

6.6 Click on 'Generate Schedule' to proceed to the next screen.

6.7 The screen shown below, shows the list of the 'File Expected Receive' dates selected, as well as the corresponding 'Expected Effective Dates'. The *Expected Effective dates* are calculated on the basis of the value of "AS AT" or "FROM TO", specified by user during the execution plan setup in [Step 5.0](#).

Effective As

[← Back to Previous Screen](#)

Expected Effective Date - From		Expected Effective Date - To		File Expected Receive Date	
Wednesday 03 Jan 2018		Wednesday 31 Jan 2018		Friday 16 Feb 2018	
Wednesday 31 Jan 2018		Wednesday 28 Feb 2018		Friday 16 Mar 2018	
Thursday 01 Mar 2018		Saturday 31 Mar 2018		Wednesday 18 Apr 2018	
Thursday 29 Mar 2018		Monday 30 Apr 2018		Thursday 17 May 2018	
Wednesday 02 May 2018		Thursday 31 May 2018		Tuesday 19 Jun 2018	
Friday 01 Jun 2018		Saturday 30 Jun 2018		Tuesday 17 Jul 2018	
Tuesday 03 Jul 2018		Tuesday 31 Jul 2018		Friday 17 Aug 2018	
Thursday 02 Aug 2018		Friday 31 Aug 2018		Tuesday 18 Sep 2018	
Monday 03 Sep 2018		Sunday 30 Sep 2018		Tuesday 16 Oct 2018	
Tuesday 02 Oct 2018		Wednesday 31 Oct 2018		Friday 16 Nov 2018	
Friday 02 Nov 2018		Friday 30 Nov 2018		Tuesday 18 Dec 2018	
Wednesday 28 Nov 2018		Monday 31 Dec 2018		Wednesday 16 Jan 2019	

[SAVE DATES](#)

































6.8 User can edit and delete the dates by clicking on the buttons on the left of the columns.

6.9 After the dates have been verified, click 'Save Dates' to complete 'Fund Scheduler Setup'.

6.10 The message shown below will be displayed:

Effective As

← Back to Previous Screen

Expected Effective Date - From		File Expected Receive Date	
Wednesday 03 Jan 2018		Friday 16 Feb 2018	 
Wednesday 31 Jan 2018		Friday 16 Mar 2018	 
Thursday 01 Mar 2018		Wednesday 18 Apr 2018	 
Thursday 29 Mar 2018		Thursday 17 May 2018	 
Wednesday 02 May 2018		Tuesday 19 Jun 2018	 
Friday 01 Jun 2018		Tuesday 17 Jul 2018	 
Tuesday 03 Jul 2018		Friday 17 Aug 2018	 
Thursday 02 Aug 2018		Tuesday 18 Sep 2018	 
Monday 03 Sep 2018		Sunday 30 Sep 2018	
Tuesday 02 Oct 2018		Wednesday 31 Oct 2018	
Friday 02 Nov 2018		Friday 30 Nov 2018	
Wednesday 28 Nov 2018		Monday 31 Dec 2018	
		Tuesday 16 Oct 2018	 
		Friday 16 Nov 2018	 
		Tuesday 18 Dec 2018	 
		Wednesday 16 Jan 2019	 

Fund Scheduler

Data has been saved successfully

OK

SAVE DATES

[end of Step 6.0]

Step 7.0 - Data Dashboard

7.1 This section is to display the Data (list of all Files, Funds, File Contents and their status) with respect to **PPM**.

Data Dashboard

Client: alk Fund: 1 selected File Contents: 1 selected Source Data Provider: 1 selected

Reports Date: ALL

Download | 0 item(s) selected | Run

Show 10 entries

ID	Fund Name	File Contents	SDP	File Expected		Report (Expected) Effective Date			PPM Status		Delivery Status	Note	Manual Run
				Received Date	Frequency Type	As At	From	To	Type	Date			
21915	ALKEON UCITS FUND	TRIAL BALANCE	SEI Investments Global Fund Services - Ireland	08 Oct 2020	Daily	06 Oct 2020				Pre-Processed	Oct 21 2020 4:20PM	Failure	Run
21916	ALKEON UCITS FUND	TRIAL BALANCE	SEI Investments Global Fund Services - Ireland	09 Oct 2020	Daily	07 Oct 2020				Overdue (Not Received)	Oct 27 2020 2:30PM		Run

Activate Windows
Go to Settings to activate Windows.

7.2 As shown above, there are two types of filters:

1. Drop down filters:

- 'Client Name': Load all clients.
- 'Fund Name': Funds (filtered) based on the Clients.
- 'File Contents': Filter list based on the File Contents.
- 'Source Data Provider': Filter list based on the SDP.

2. Quick Search Filters:

- 'Today': Filter list based on files received/processed today.
- 'Tomorrow': Filter list based on files expected tomorrow.
- 'T-1': Filter list based on files expected on yesterday (excluding holidays).
- 'T-2': Filter list based on files expected on the day before yesterday (excluding holidays).
- 'Date Range': Filter list based on files that are report effective date in a particular date range.

f. 'All': No Quick Search filter applied, and all Files are displayed (Drop down filter will still apply, if selected).

- All the records will be displayed based on report's effective date.
- First, select any of the dropdown filters, and then click on the 'Quick Search Filters'.
e.g., if you want to display only NGA Capital Fund files, then select 'NGA Capital Feeder Fund' from the Fund name dropdown filter and then click on 'All'.

7.3 The user can set a favorite search filter using the following search parameters

- Client
- Fund
- File Contents
- SDP
- The sliding date range currently within the Data Dashboard UI i.e. 'T-2', 'T-1', 'Today', etc


As shown above, user can save search filters as favourite and view the same later:

1. Save favourite:

To create favourite, click on "Save Favourite", enter the favourite name and click on save.

Save Favourite ×

Favourite Name:

 Save

2. View favourite:

To view the saved favorite, click on "View favorite". A list of favorites will be displayed. User can view and delete the favourite from the list below.

View Favourite ×










Show entries Search:

FavoriteName	Actions
Alkeon	 

Showing 1 to 1 of 1 entries Previous **1** Next

7.4 The table shows the list of Funds with their respective characteristics and statuses.

1. **ID:** This gives the unique identifier for each fund.
2. **Fund Name:** Name of the Fund
3. **File Contents:** Type of File Contents - Holdings, Transactions etc.
4. **SDP:** Source Data Provider for that Fund.
5. **File Expected:** File Receive date and the Frequency type.
6. **Report (Expected) Effective Date:** This will be either 'As At' or 'From To' depending on the selection in the previous sections.
7. **PPM Status:** This shows the status for that file, and the date represents the date of action for that status. Status could be either of the following:
 - a) 'Pending': The file has yet not been received by **PPM**.
 - b) 'Overdue': File has yet not been received, and the 'File Receive date' has already arrived or passed.
 - c) 'Preprocessed': File received with no issue
 - d) 'Received with issue:' File received but might be corrupt or did not pass 'Validation'.
8. **Delivery Status:** This shows the delivery status of Pre-Processed file; if it is successfully delivered on the DMS drive (e.g. \\dms-ire-na2\vol Risk FUNDDATA Client\), it will display - "Success"; otherwise it will display - "Failure".
9. **Note:** This displays the notes - if any - given by the user.
10. **Other link:** These are shortcuts to other windows - Notes Section, File Manipulation and Validation, and Fund Scheduler.
11. **Manual Run:** This gives User the ability to run the Fund Scheduler at that instant. After the user hits 'Run' and the PPM finishes processing, the following pop-up should appear:

Processing Status ×					
Id	Status	Date and Time	Original File	PreProcessed File	Log File
211260	Pre-Processed	7/27/2018 6:26:32 PM			
234305	Downloading Failed	10/24/2018 4:41:10 PM	-	-	
234306	Downloading Failed	10/24/2018 4:57:13 PM	-	-	
234307	Pre-Processed	10/24/2018 4:59:23 PM			
234343	Not Received	10/24/2018 8:02:46 PM	-	-	

- As shown, this displays a list of all Processes, their ID, **status (pre - processed, failed, etc)**, and Processing date and time for that particular file.
- You can click on the icon below the Paths to download the respective files.

7.5 The user does not have the ability to make any edits on the screen with respect to the Data displayed.

					File Expected		Report (Expected) Effective Date			PPM Status				
	ID	Fund Name	File Contents	SDP	Received Date	Frequency Type	As At	From	To	Type	Date	Delivery Status	Note	Manual Run
	12851	QC V-PRO DYNAMIC	Holdings	Caceis	19 Apr 2018	Daily	18 Apr 2018				Pre-Processed	Jan 21 2019 4:37PM	Failure	

View Execution Plan Details

File Processing Template Fund Scheduler File Fetch File Setting File Reading & Identification File Manipulation File Validation

Execution Plan Name Email-Caceis-QC V-Pro Dynamic-Holding
SDP Name Caceis
Fund Name (2163541) QC V-PRO DYNAMIC
File Contents Holdings

		13852	QC V-PRO DYNAMIC	Holdings	Caceis	18 Jun 2018	Daily	15 Jun 2018			Pre-Processed	Jan 21 2019 4:38PM	Failure	
		13853	QC V-PRO DYNAMIC	Holdings	Caceis	19 Jun 2018	Daily	18 Jun 2018			Pre-Processed	Jan 21 2019 4:40PM	Failure	
		14103	Efficient Capital	NAV	BBH	01 Oct 2018	Daily	28 Sep 2018			Pre-Processed	Jan 18 2019 8:43PM	Success	

7.6 The User can download all the Pre-processed files by checking the select all checkbox as marked below in the diagram.

Download 1 item(s) selected

Show 10 entries Search: pre

					File Expected		Report (Expected) Effective Date			PPM Status				
	ID	Fund Name	File Contents	SDP	Received Date	Frequency Type	As At	From	To	Type	Date	Delivery Status	Note	Manual Run
		12851	QC V-PRO DYNAMIC	Holdings	Caceis	19 Apr 2018	Daily	18 Apr 2018			Pre-Processed	Jan 21 2019 4:37PM	Failure	
		13852	QC V-PRO DYNAMIC	Holdings	Caceis	18 Jun 2018	Daily	15 Jun 2018			Pre-Processed	Jan 21 2019 4:38PM	Failure	
		13853	QC V-PRO DYNAMIC	Holdings	Caceis	19 Jun 2018	Daily	18 Jun 2018			Pre-Processed	Jan 21 2019 4:40PM	Failure	
		14103	Efficient Capital CTA Index	NAV	BBH	01 Oct 2018	Daily	28 Sep 2018			Pre-Processed	Jan 18 2019 8:43PM	Success	

Showing 1 to 4 of 4 entries (filtered from 563 total entries)

First Previous 1 Next Last

7.7 The user can view Execution plan details by clicking on plus sign as shown above.

[end of Step 7.0]

8.0 Manage users

8.1 Select 'Manage Users' from User menu on the top-navigation bar of the screen.

8.2 On this screen, you can do the following:

- Create a new User
- See a list of existing Users in a table
- Edit/View an existing Users

8.3 To **create a new User**, select 'Create User':

DMSPPM Data Dashboard SDP SDP Connection File Contents Execution Plan Wizard Fund Scheduler Setup User 27-Oct-2020 08:30 PM PPM

Manage User

+ Create User Users: None selected

Show 10 entries Search:

User Name	First Name	Last Name	Email	Phone Number	Action
Aboyale	Aidan	Boyle	aboyale@dmsgovernance.com		[Edit] [Delete]
PPM	PPM	Administrator	info@hst.ie	12345677890	[Edit] [Delete]
Test	User	PPM	test@hst.ie	12345678	[Edit] [Delete]
TestAA	Abdalla	Alzaid	aalzaid@dmsgovernance.com		[Edit] [Delete]

Showing 1 to 4 of 4 entries

Migrate Fund / Client

Previous 1 Next

8.4 A pop-up opens; enter the details and hit 'Save':

DMSPPM SDP SDP Connection Execution Plan Wizard Fund Scheduler Setup Data Dashboard User 22-Jan-2019 07:59 AM PPM

Manage User

+ Create User

Show 10 entries

User Name	First Name	Last Name	Email	Phone Number	Action
Asghar	Asghar			8888888888	[Edit] [Delete]
PPM	PPM USER			12345677890	[Edit] [Delete]
Test	User			3455	[Edit] [Delete]
TestUserName	User First Name				[Edit] [Delete]

Showing 1 to 4 of 4 entries

Migrate Fund / Client

Previous 1 Next

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8.5 The User you created, will appear in the table. You can also edit and view the same user later.

The screenshot shows the 'Manage User' interface with a modal window for editing a user. The modal contains the following information:

Field	Value
UserName	Asghar
First Name	Asghar
Last Name	ali
Email	asghar@hst.ie
Phone Number	8888888888

The background interface includes a 'Create User' button, a table of users, and a 'Migrate Fund / Client' button at the bottom left.

8.6 The User can sync the Client, Fund and their mapping from the RiskCore database by clicking the below “Migrate Fund / Client” button.

The screenshot shows the 'Manage User' interface with the 'Migrate Fund / Client' button highlighted. The table displays the following data:

User Name	First Name	Last Name	Email	Phone Number	Action
Asghar	Asghar	ali	asghar@hst.ie	8888888888	[Edit] [Menu]
PPM	PPM USER	Demo Data	PPM@hst.ie	12345677890	[Edit] [Menu]
Test	User	Data	Testdata@gmail.com		[Edit] [Menu]
TestUserName	User First Name	User Last name	test@gmail.com	3455	[Edit] [Menu]

The 'Migrate Fund / Client' button is located at the bottom left of the interface.

[End of Step 8.0]

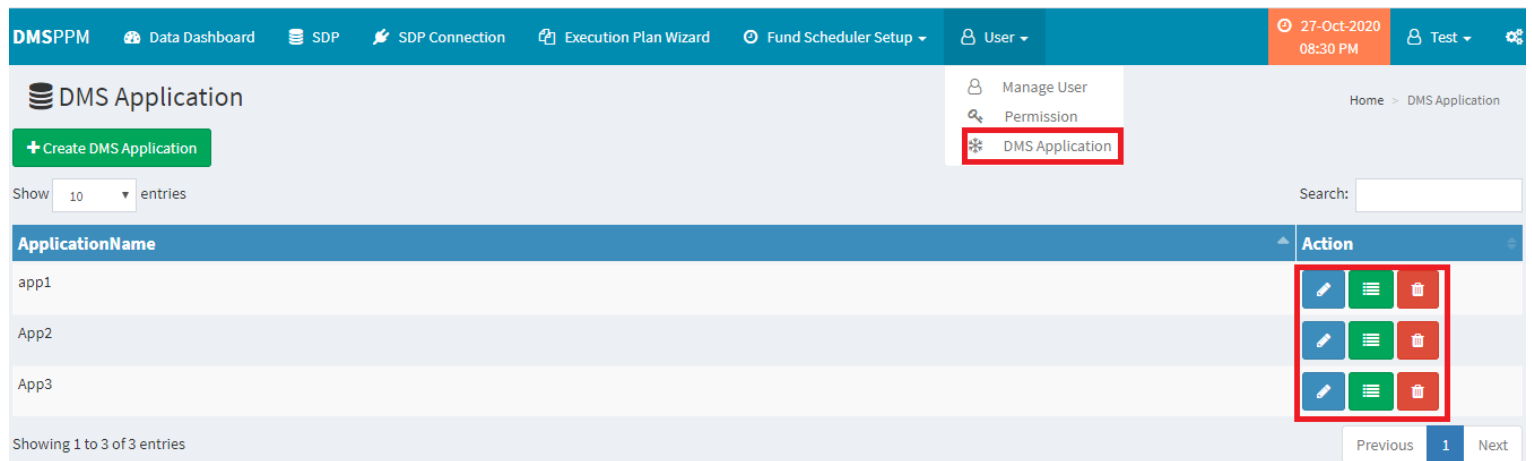
9.0 DMS Application

9.1 Select 'DMS Application' from User menu on the top-navigation bar of the screen.

9.2 On this screen, you can do the following:

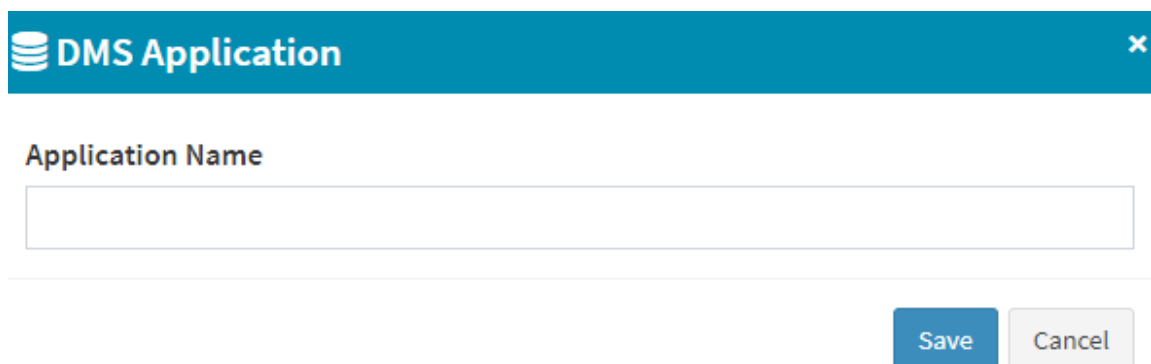
- Create a new DMS Application
- See a list of existing DMS Applications in a table
- Edit/View an existing DMS Applications

9.3 To **create a new DMS Application**, select 'Create DMS Application':



The screenshot shows the DMSPPM application interface. The top navigation bar includes links for Data Dashboard, SDP, SDP Connection, Execution Plan Wizard, Fund Scheduler Setup, and a User menu. The User menu is open, showing options: Manage User, Permission, and DMS Application (highlighted with a red box). The main screen displays the 'DMS Application' section with a '+ Create DMS Application' button. Below this is a table listing existing applications: app1, App2, and App3. The table has columns for ApplicationName and Action. The Action column contains icons for edit, view, and delete. The 'DMS Application' menu item in the top navigation bar is highlighted with a red box. The 'Create DMS Application' button is also highlighted with a red box. The table shows three entries: app1, App2, and App3. The 'Action' column for each entry contains three icons: a pencil (edit), a list (view), and a trash can (delete). The 'DMS Application' menu item in the top navigation bar is highlighted with a red box. The 'Create DMS Application' button is also highlighted with a red box. The table shows three entries: app1, App2, and App3. The 'Action' column for each entry contains three icons: a pencil (edit), a list (view), and a trash can (delete).

9.4 A pop-up opens; enter the details and hit 'Save':



The screenshot shows a pop-up form titled 'DMS Application'. It has a header bar with the title and a close button (X). Below the header is a label 'Application Name' followed by a text input field. At the bottom right of the form are two buttons: 'Save' and 'Cancel'.

9.5 The DMS Application you created will appear in the table. You can also edit and view the same DMS Application later.

The screenshot displays the DMSPPM application interface. The top navigation bar includes links to Data Dashboard, SDP, SDP Connection, File Contents, Execution Plan Wizard, and Fund Scheduler Setup. The main content area is titled "DMS Application" and features a "+ Create DMS Application" button. Below this, a table lists existing applications with columns for ApplicationName and Action. A modal dialog titled "DMS Application" is open, showing a form to create a new application with the name "app1".

ApplicationName	Action
app1	[Edit] [View] [Delete]
App2	[Edit] [View] [Delete]
App3	[Edit] [View] [Delete]

Showing 1 to 3 of 3 entries

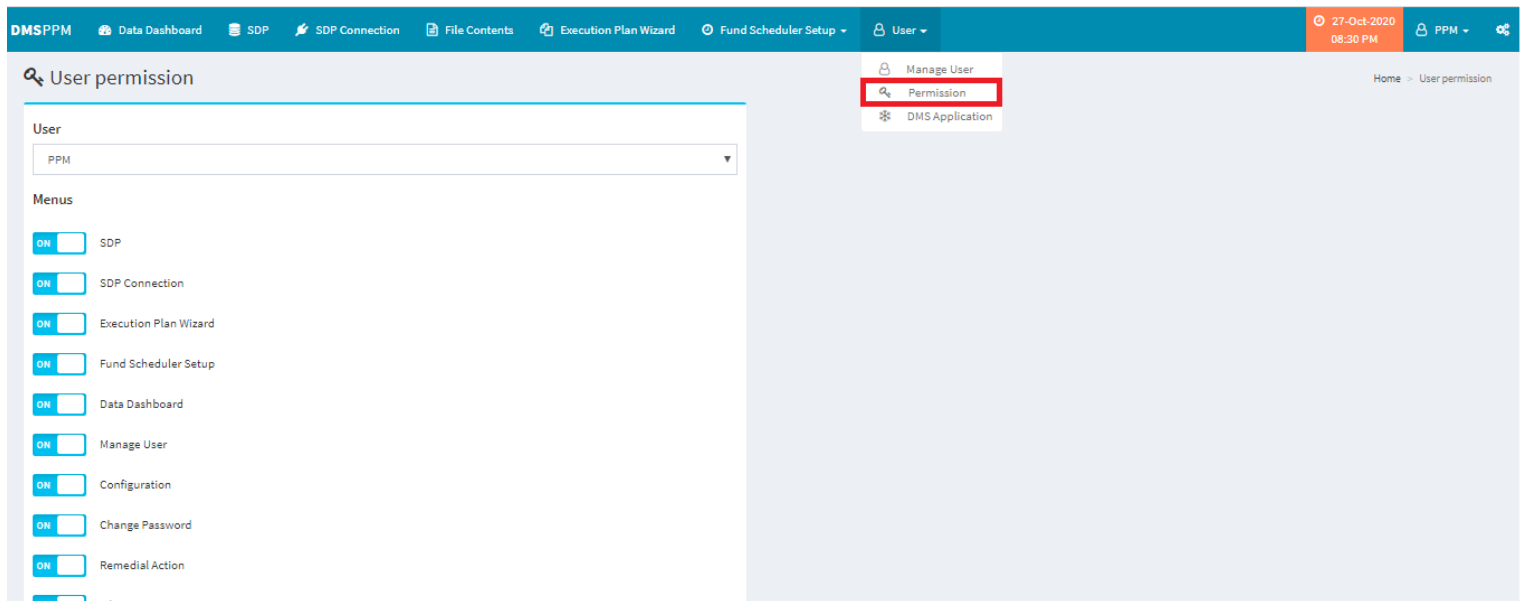
[End of Step 9.0]

10.0 Permission (User menu/tab permission)

10.1 Select 'Permission' from User menu from the top navigation bar of the screen.

10.2 On this screen, you can set menu / tabs permission to the User.

10.3 To **give access permission to specific menu(s) / tab(s) to a User**, select 'User' from the dropdown. The list of menu items will be displayed. You can then set menu(s) / tab(s) permission for the selected User by clicking on ON/OFF against each menu / tab.



[End of Step 10.0]

11.0 Configuration Settings

11.1 On the top right corner of the screen there is settings icon for Email and Scheduler, this icon is only accessible for a PPM user.

The screenshot shows the 'Data Dashboard' interface. The top navigation bar includes links for DMSPPM, Data Dashboard, SDP, SDP Connection, File Contents, Execution Plan Wizard, Fund Scheduler Setup, User, and a settings icon (gear) in the top right corner. The main content area has filters for Client (alk), Fund (1 selected), File Contents (1 selected), and Source Data Provider (1 selected). Below these are buttons for 'Save Favorite' and 'View Favourite'. A 'Reports Date' of 10/27/2020 is displayed. A 'Download' button and a 'Run' button are also present. A table with columns for ID, Fund Name, File Contents, SDP, Received Date, Frequency Type, As At, From, To, Type, Date, Delivery Status, Note, and Manual Run is shown. The table is currently empty, displaying 'No data available in table'.

11.2 On this screen, you can do the following:

- Configure Scheduler Setting
- Configure Email Settings

11.3 Email setting:

The screenshot shows the 'Config' interface. The top navigation bar is the same as the previous screenshot. The main content area is titled 'Config' and contains a 'Scheduler Setting' form. The form has two input fields: 'Schedule time' (08:30) and 'Time Interval(HH)' (6). A 'Submit' button is at the bottom of the form.

Note: it will run 3 times (max) in a day, its hard-coded currently in the source code.

11.4 Email setting-

Configure the email setting to send alert mail for Pre-Processed files.

Email Setting

From :



Plase provide only one email id

Host :

Port :

User Name :

Password :

To :

DMS@hst.ie x

add a tag

Email Id must be comma seperated. e.g- info@info.com,info1@info.com,..

Submit

[end of Step 11.0]

12.0 Troubleshooting

12.1. If the application is not opening in the browser, please verify URL and check network connection.

12.2. If application throws an error/ exception, the same will be logged in the directory “ErrorLog” inside the application(hosted in IIS) with file name (user and date wise) in the following format “<username>-<DD>-<MM>-<YY>.txt”.

e.g → PPM-25-05-18.txt

TEST-25-05-18.txt

12.3. The file processing log will be found in data dashboard. Log will be generated against each file processing operation (processingid). Click on status to download the log file as below-

Show 10 entries Search: pre

					File Expected		Report (Expected) Effective Date			PPM Status				
	ID	Fund Name	File Contents	SDP	Received Date	Frequency Type	As At	From	To	Type	Date	Delivery Status	Note	Manual Run
+	12851	QC V-PRO DYNAMIC	Holdings	Caceis	19 Apr 2018	Daily	18 Apr 2018			Pre-Processed	Jan 21 2019 4:37PM	Failure		Run ▶
+	13852	QC V-PRO DYNAMIC	Holdings	Caceis	18 Jun 2018	Daily	15 Jun 2018			Pre-Processed	Jan 21 2019 4:38PM	Failure		Run ▶
+	13853	QC V-PRO DYNAMIC	Holdings	Caceis	19 Jun 2018	Daily	18 Jun 2018			Pre-Processed	Jan 21 2019 4:40PM	Failure		Run ▶
+	14103	Efficient Capital CTA Index	NAV	BBH	01 Oct 2018	Daily	28 Sep 2018			Pre-Processed	Jan 18 2019 8:43PM	Success		Run ▶

Showing 1 to 4 of 4 entries (filtered from 563 total entries) First Previous 1 Next Last

A popup will be open, click on download icon under “Log File Path” to download the log.

Processing Status						
Id	Status	Date and Time	Original File	PreProcessed File	Log File	
211262	Pre-Processed	7/27/2018 6:43:52 PM	⬇	⬇	⬇	
211459	Not Received	7/30/2018 12:05:50 PM	-	-	⬇	
211460	Pre-Processed	7/30/2018 12:38:33 PM	⬇	⬇	⬇	

[end of Step 12.0]

END
