DMS

GOVERNANCE. RISK. COMPLIANCE.

PPM

User Manual

Version 1.4

September 19, 2020

HST SOLUTIONS

Custom Software Development
Mobile Apps | **Cloud Apps**

E: info@hst.ie

Ph: +353857108815

www.hst.ie

HST Solutions

Table of Contents

HST Solutions

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.

HST Solutions

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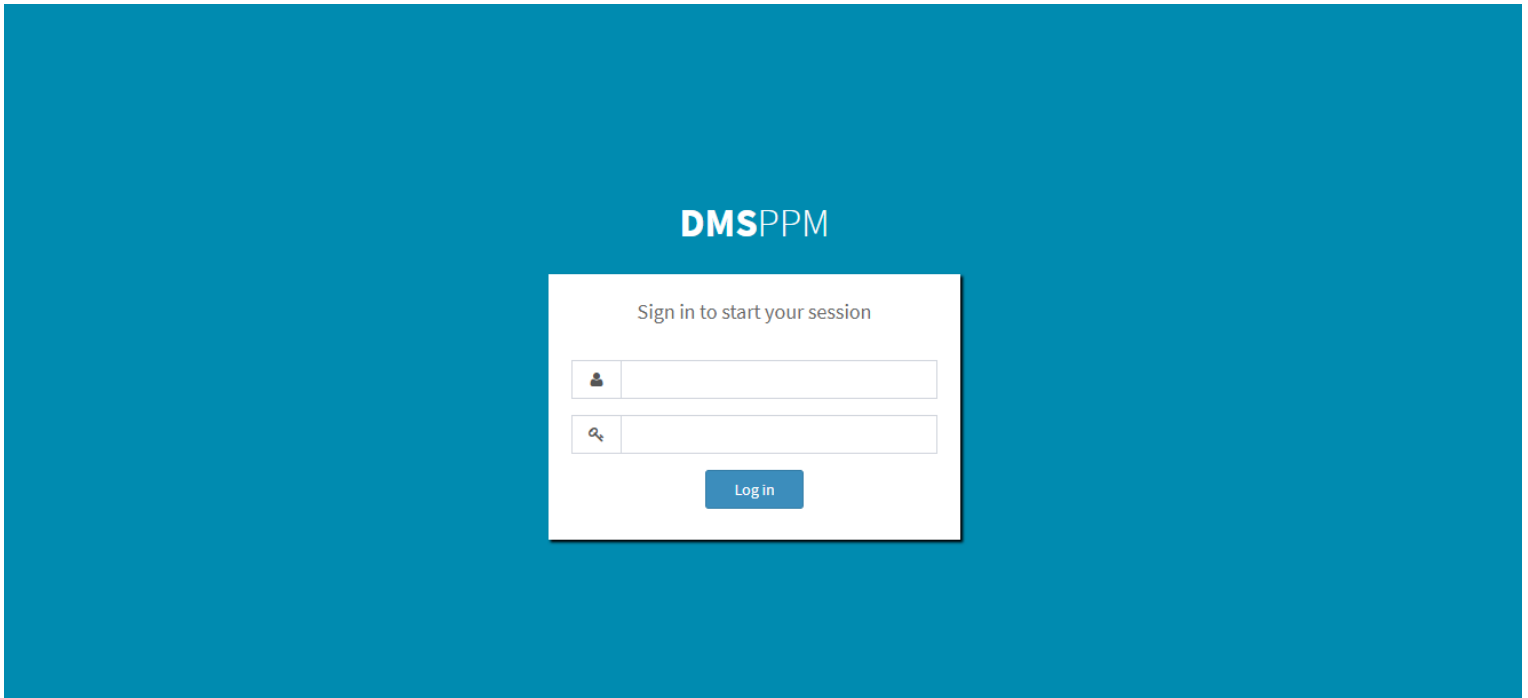
1.2 After successful login, the Data-dashboard page will be displayed.

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

    a. Change Password

    b. LogOut

HST Solutions

1.4 The next screen is used for changing password.

[end of Step 1.0]

HST Solutions

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':

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

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]

HST Solutions

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':

3.4 A pop-up opens; enter the details:

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:

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]

9

HST Solutions

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':

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.

HST Solutions

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

Step - 1 File Processing Template

- 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

- 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.

● <u>Step - 3 File Fetch</u>

Image for SFTP and SMB Share

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>\"

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:

<div align="center">

"Client Reports <ef:MM.dd.yyyy>.xlsx"

Or

"Client Reports <ex:MM.dd.yyyy>.xlsx"

</div>

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

HST Solutions

Remote Dir Path	Remote File Name	Subject Header	Result
/FA/Valuations**/<ef:**yyyy**>/<ef:**yyyyMMdd**>** 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\

\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

- 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.

HST Solutions

- ## Step - 5 File Reading and Identification

- 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:

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.

- 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

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

File Reading And Identification ✕

CheckIn

File Content ▼

CellOrHeader

Cell ▼

CellOrHeaderValue

Operation

Contains ▼

SearchValue

QCAM NAV

ReadFromNextColCell

▼

Not Set
True
False

[Update] [Cancel]

This will read 'False', if the user selects 'Cell' from the **CellorHeader** dropdown and willl 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 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

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

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			✏️	🗑️

Show 10 ▼ entries   Search:

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.

HST Solutions

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
- 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

- 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:

27

- **'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:

- 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.

HST Solutions

- ## Step - 7 File Validation

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

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

- '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:

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:

HST Solutions

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

[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:

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.

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

[End of Step 5.0]

33

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.

34

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 Schedular) 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:
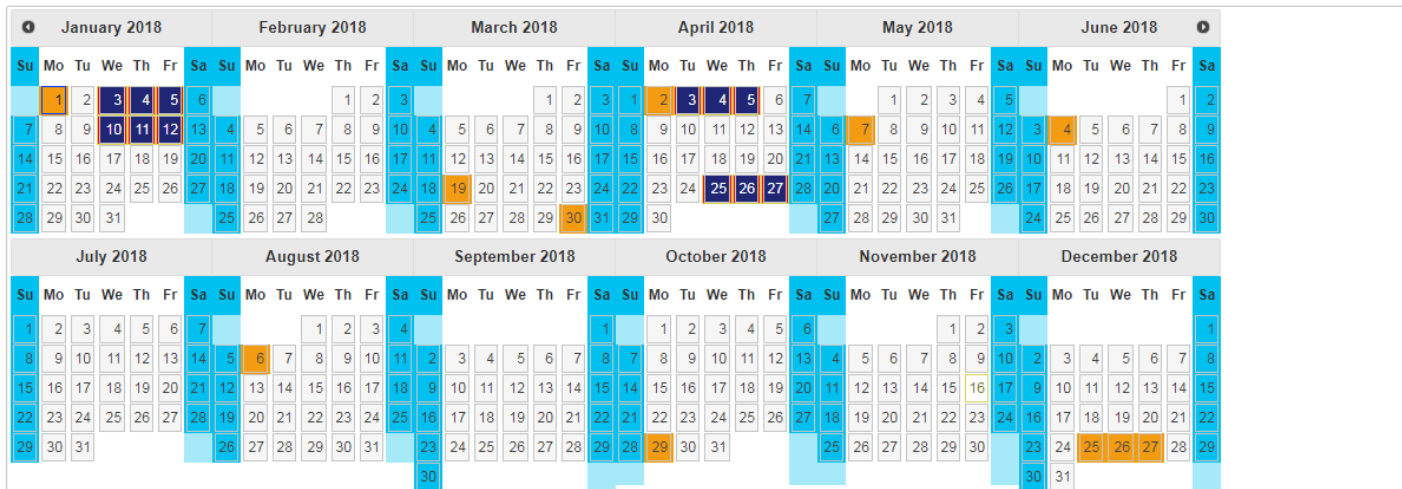
- The Dates highlighted in blue are the user selected 'File Expected Effective Date' dates[2].

---

[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 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

✓

Fund Schedular

Data has been saved succeessfully

OK

[end of Step 6.0]

HST Solutions

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.**

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

1. **Drop down filters:**
   a. 'Client Name': Load all clients.
   b. 'Fund Name': Funds (filtered) based on the Clients.
   c. 'File Contents': Filter list based on the File Contents.
   d. 'Source Data Provider': Filter list based on the SDP.

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

38

HST Solutions

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 10 ▾ 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	-	-	⬇

HST Solutions

- 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.

	ID	Fund Name	File Contents	SDP	File Expected Received Date	Frequency Type	Report (Expected) Effective Date As At	From	To	PPM Status 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 ▶

⚙ 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

	ID	Fund Name	File Contents	SDP	Received Date	Frequency	Effective			Type	Date	Status		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	NAV	BBH	01 Oct 2018	Daily	28 Sep 2018			Pre-Processed	Jan 18 2019 8:43PM	Success		Run ▶

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

⬇ Download 0 item(s) selected

Show 10 ▼ entries   Search: pre

	ID	Fund Name	File Contents	SDP	File Expected Received Date	Frequency Type	Report (Expected) Effective Date As At	From	To	PPM Status 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

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

[end of Step 7.0]

41

HST Solutions

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:

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

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

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

[End of Step 8.0]
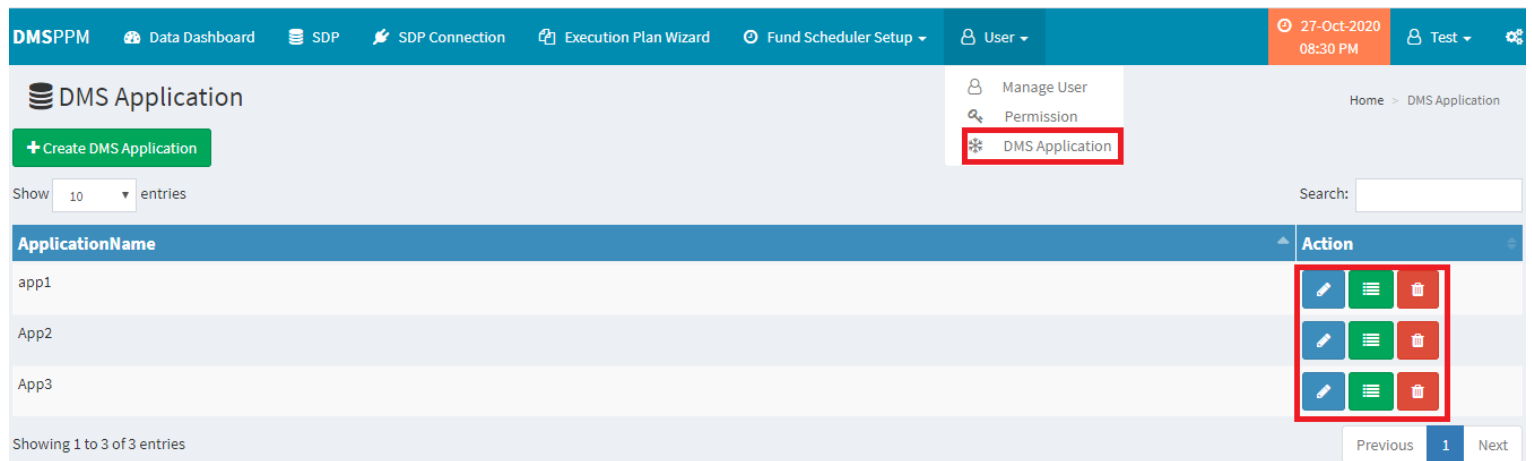
9.0 DMS Application

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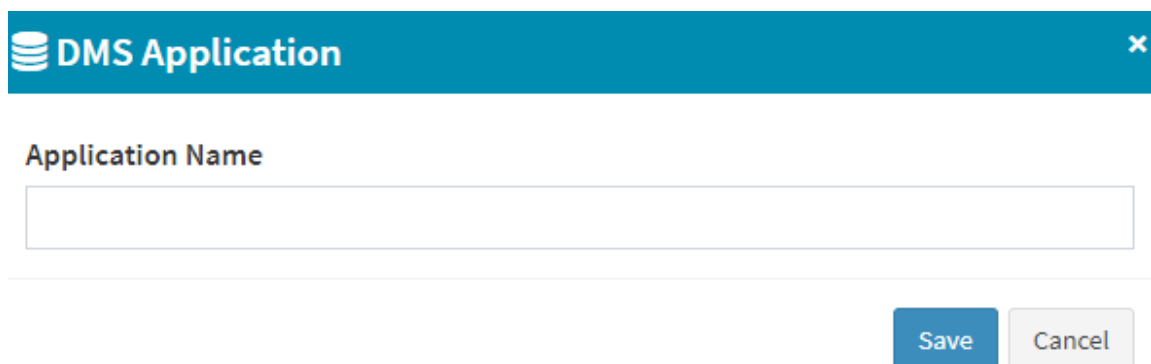
- Create a new DMS Application
- See a list of existing DMS Applications in a table
- Edit/View an existing DMS Applications

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

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

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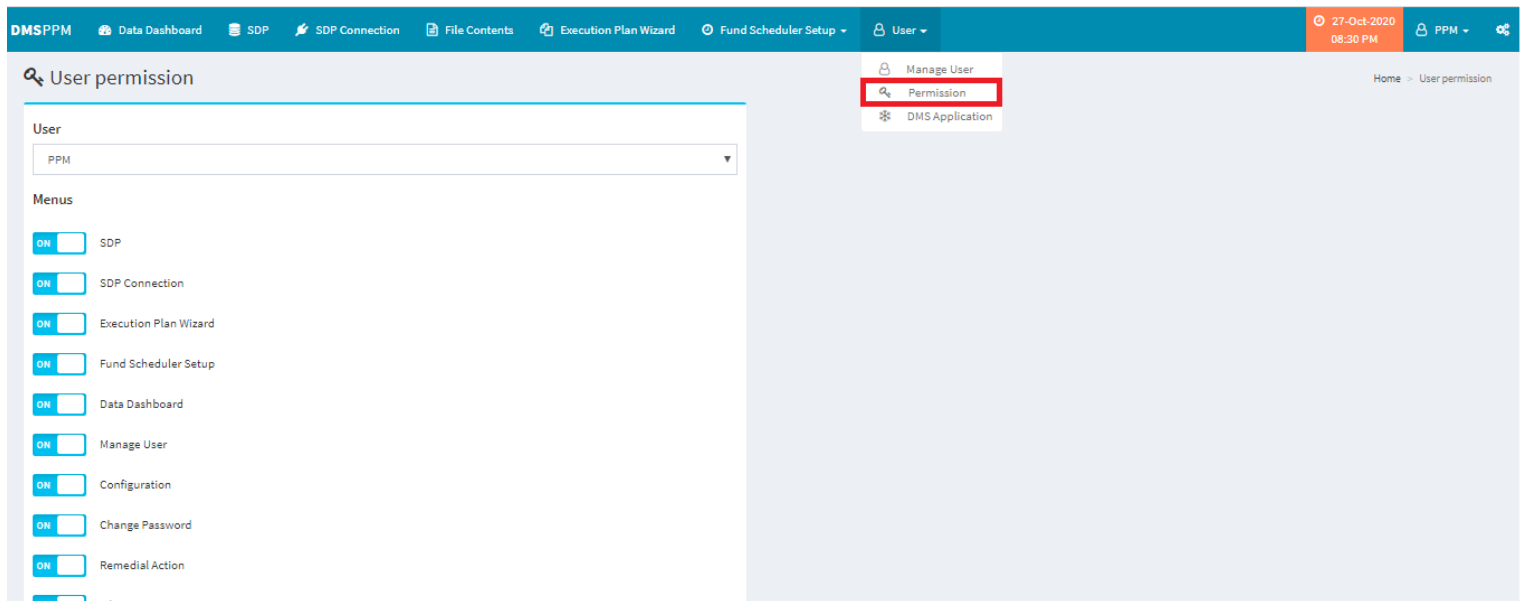

[End of Step 9.0]

HST Solutions

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]

HST Solutions

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.

11.2 On this screen, you can do the following:

- Configure Scheduler Setting
- Configure Email Settings

11.3 Email setting:

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

HST Solutions

11.4 Email setting-

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

✉ **Email Setting**

From :

| ipxconsultant@gmail.com | ✉ |

Plase provide only one email id

Host :

smtp.gmail.com

Port :

587

User Name :

ipxconsultant@gmail.com

Password :

Enter 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-

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

[end of Step 12.0]

*************************** END ***************************