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banking solutions

How to Guide
Import Deal Files (XML)

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Review and Approval

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Definitions of Terms and Abbreviations

Term/Abbreviation	Description

Contents

1 Process Coverage

This guide takes the user through the process of configuring the Siena Deal Importer through to processing import xml files containing data.

1.1 Instruction Packages

Deal Importer Configuration & Use
[Siena]

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1.2 Cross References

a. Templates referred to in this document are sample xml formats that can be adapted for purpose.

1.3 XML Formatting

In order to validate the XML formatting, the files can be opened using standard xml editors; this should reveal xml syntax issues but will not validate values entered as being correct.

1.4 Templates

Name	Embedded Object
Append Services.txt	H:\Siena\Documents\ Manuals\Deal Import\
twist_DealImporter.properties	H:\Siena\Documents\ Manuals\Deal Import\
Append externalInterface.properties	H:\Siena\Documents\ Manuals\Deal Import\

Standard Templates	H:\Siena\Documents\ Manuals\Deal Import\

2 Instruction Packages

1	**Siena Configuration** **Instruction: Configure Siena**.

Purpose: To define the system configuration needed to run the Deal Importer where such configuration does not exist already. Note that this instruction needs to be implemented by a technician. The following are required:

    a. *Configuration of the Deal Importer in services.properties*
    b. *twist_DealImporter.properties*
    c. *externalInterface.properties*
    d. *genericTwistPanel.properties*
    e. *Directory location for the Deal_import folders*

This configuration should be replicated for each Siena server.

2. *Services.properties*
    a. Open the "Append Services.txt" file and append to the services.properties file in the std/systems/..config directory.
    b. Update all the service number references in the appended part to the next available service number.
    c. Save the file.

3. *Twist_DealImporter.properties*
    a. Copy the twist_DealImporter.properties file into the std/systems/..config directory.

4. *externalInterface.properties*
    a. Open the "Append externalInterface properties.txt" file and append the contents to the externalInterface .properties file in the std/systems/..config directory.
    b. Save the file.

5. *genericTwistPanel.properties*
    a. Insert "DealImporter" into the remote service list of the file in the std/systems/..config directory. e.g.
```
remoteServiceList=RateExporter,DealExporter,LimitImporter,DealImporter,RMDS
,LimitImporter,Deal,RMDS,RateManager,RateImporter,StaticDataImporter,remote
ServiceList.DealingInterface=360T,FXall,FIXEngine,Bloomberg
```
    b. Save the file.

6. *Data input location*
    a. Create a new folder in the std/systems/..data directory. This should be called:-
        i. deal_import_in
    b. Create a new folder in the std/systems/..data directory; this holds the xml acknowledgements. This should be called:-
        i. deal_import_out

To verify that the configuration is correct, the service and handler need to be started – see the next section for details.

2	**Siena Services and Handlers** **Instruction: Starting the Deal Importer**

1. **Purpose:** To detail how the Deal Importer service and Deal Import Handler are started from the Siena Tool bar.

2. *Starting the Deal Importer service*

Select the System Manager from the Siena Tool bar [See image below]

Go the row where the Deal Importer is defined and select the server on which the service is going to be run. Then hit the Start button to initiate the service. Only once the process has started will its status changes to "Running". [See images below for further guidance]
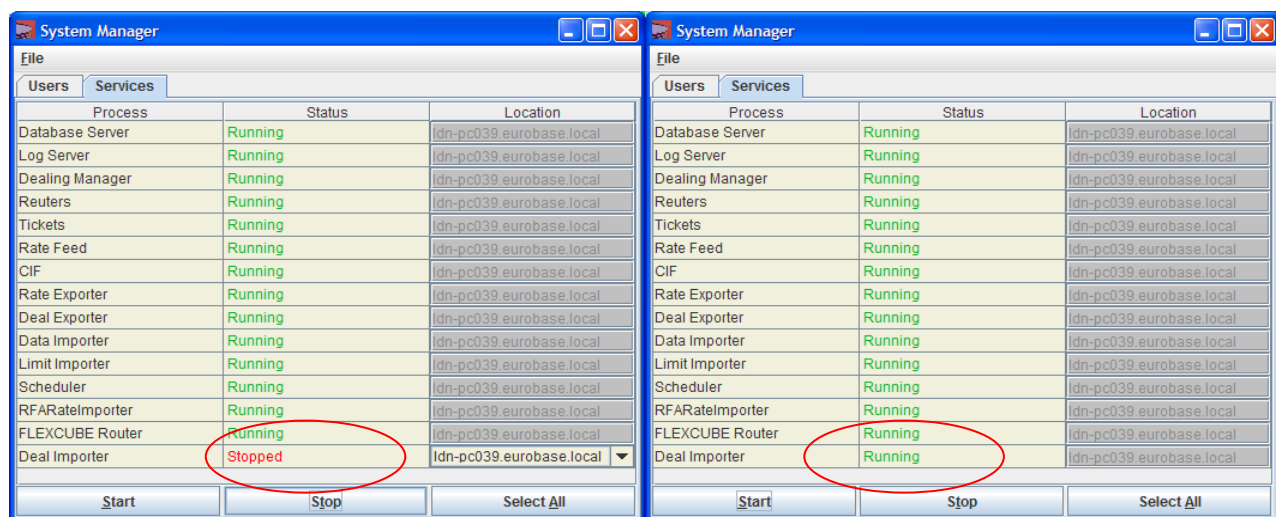

Note if the System Manager appears totally blank or is missing the Deal Importer, it is very likely that you have made a configuration error in the services.properties file. If the service goes to "Failed" status, you need to check for error log messages in the following log files DealImporter.log, SienaClient.log and dbServer.log (you may be asked by Eurobase Technical support to provide others log files too).

3. *Starting the Deal Importer Handler*

Once the Deal Importer is running, select the Services Manager menu item from the Siena Tool bar as indicated in the image below.
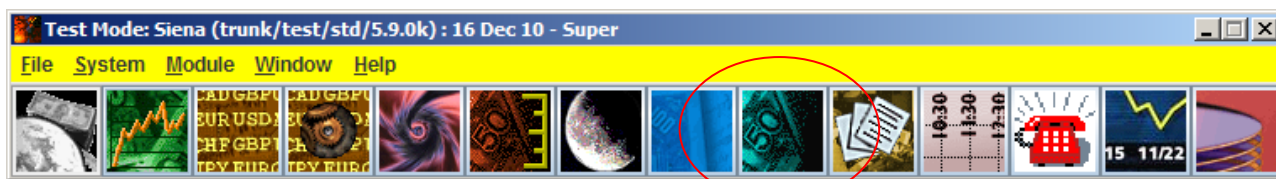
Select the TwistContainer tab, and then highlight the row with the label DealImportHandler. Now click on the Start Button to start the handler. Once the handler status is set to "Running", deal importing can commence.
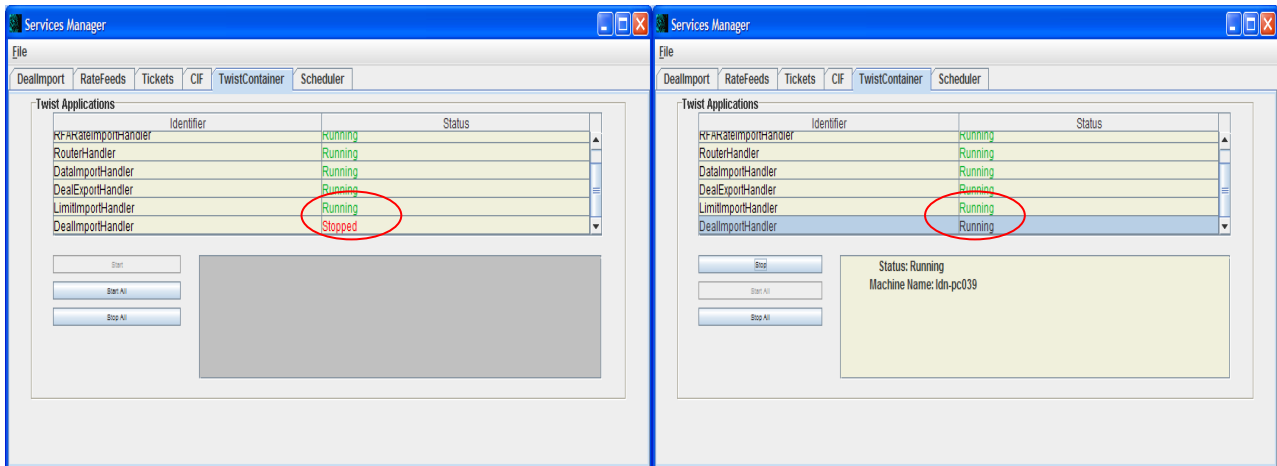
3	Siena Counterparty & System Set Up
	Instruction: Set up Counterparties for Deal import

Purpose: To set up the pre-requisites for Deal Import updates within Siena. The following set up steps need to be completed:-

    a) *Defining the Dealing Interface*
    b) *Defining the Default Book in system settings*
    c) *Defining the Default Broker in system settings*
   d) *Define External SSI Defaulting [Optional]*
    e) *Counterparty Import IDs set up.*

1) *Dealing Interface*

Create a dealing interface record to identify the system from which deals will be imported. This has to be defined in the Dealing interface table inside the Siena Database editor. The "<Name>" field is the only field that is mandatory.


2) *Default Book*

Each deal that is imported will need to be assigned to a trading book. Before defining the dealing interface to a book, a valid book must be defined in the Book table within the Siena Database Editor. Once the trading book has been identified it needs to be appended to the DealImport system settings in the External Book fields.
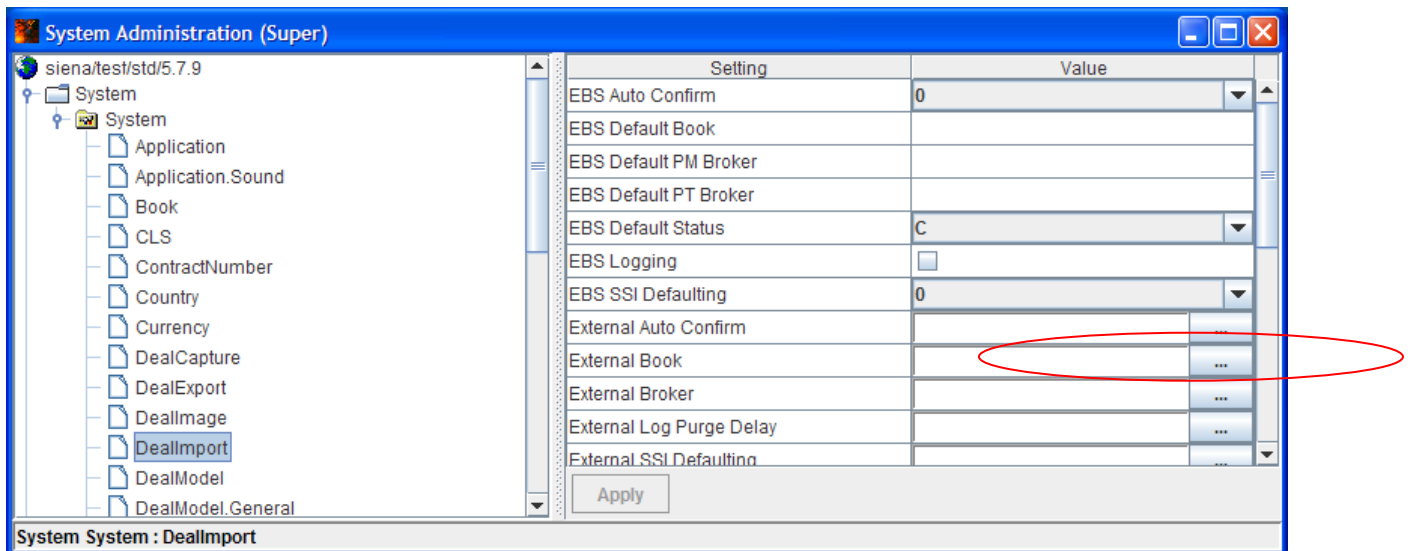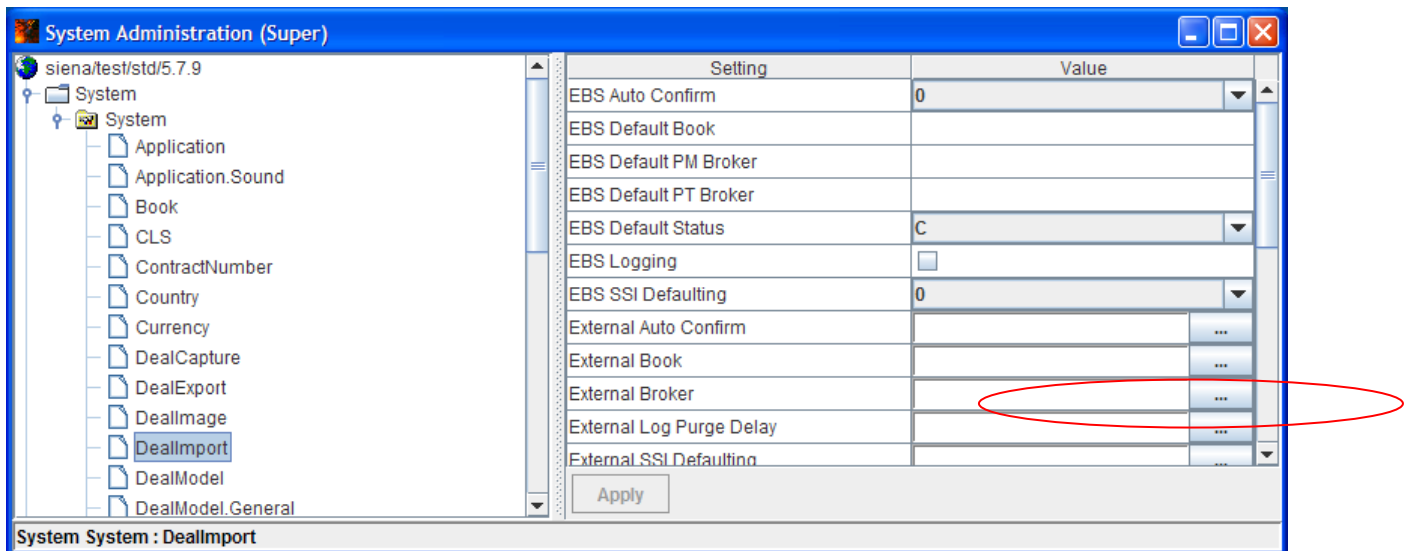
Within the External Book entry fields you will need to enter the Dealing interface defined in step 1) on the previous page and the trading book identified. See image below: -
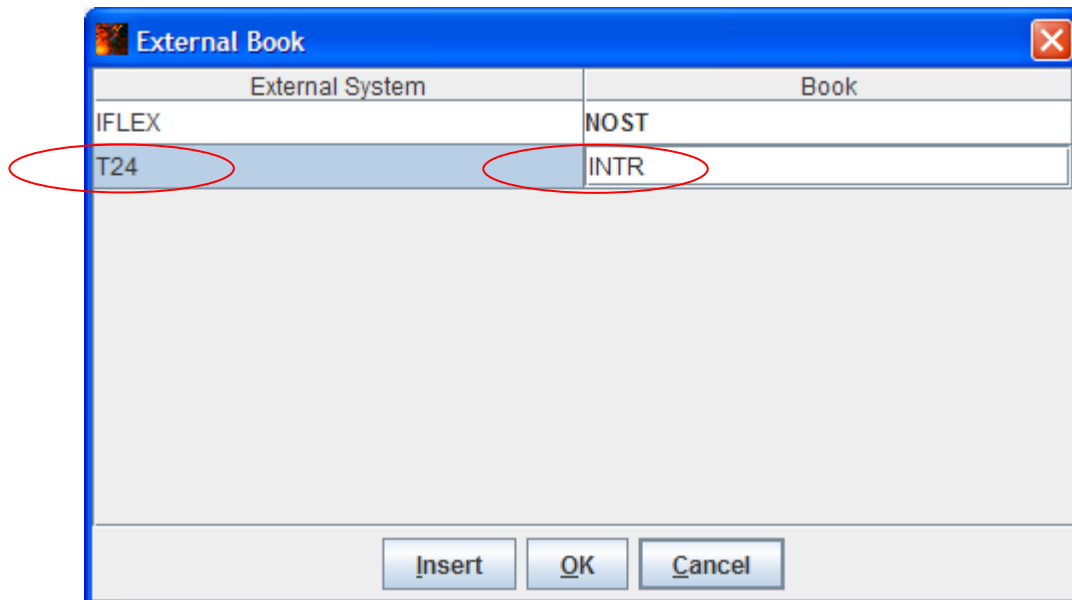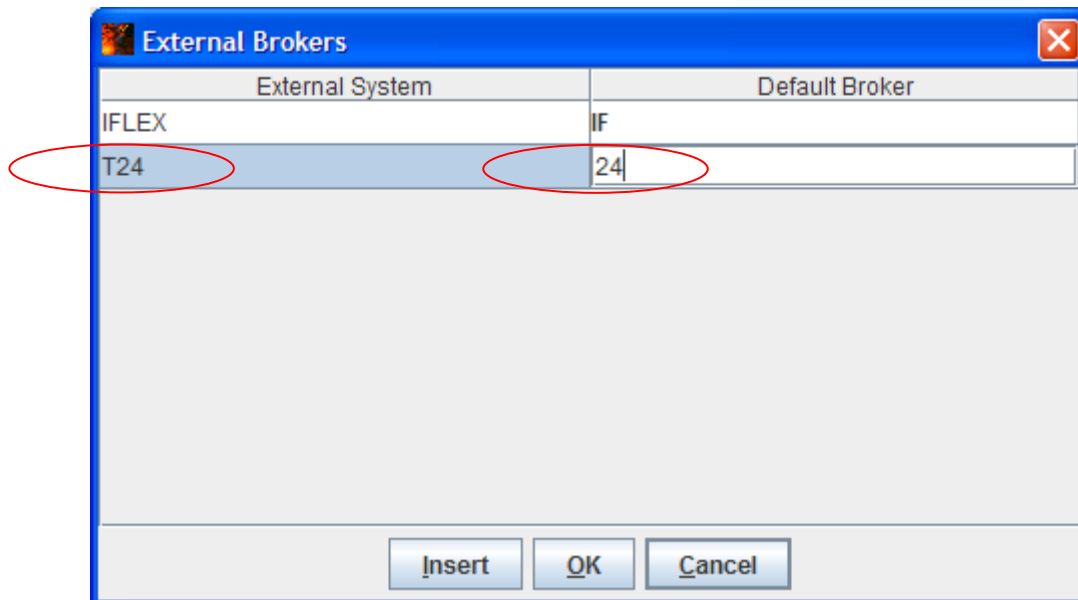

Take care to hit the return button after entering values and don't forget to hit the Apply button to save the changes.

3)   Default Broker

Each deal that is imported will need a broker assigned to it. Before associating the dealing interface with a broker, a valid broker must be defined in the Broker table within the Siena Database Editor. Once the broker has been identified it needs to be appended to the DealImport system settings in the External Broker fields.

Within the External Broker entry fields you will need to enter the Dealing interface defined in step 1) on the previous page and the Broker identified. See image below: -

Take care to hit the return button after entering values and don't forget to hit the Apply button to save the changes.

4) External SSI Defaulting [Optional]

If settlement instructions are not required in Siena, the External SSI Defaulting settings field should be set to "Dealing Interface" and the Default SSI drop down should be set to "Yes". Leaving both inputs blank means that the system will be expecting settlement instructions within the deal import data.
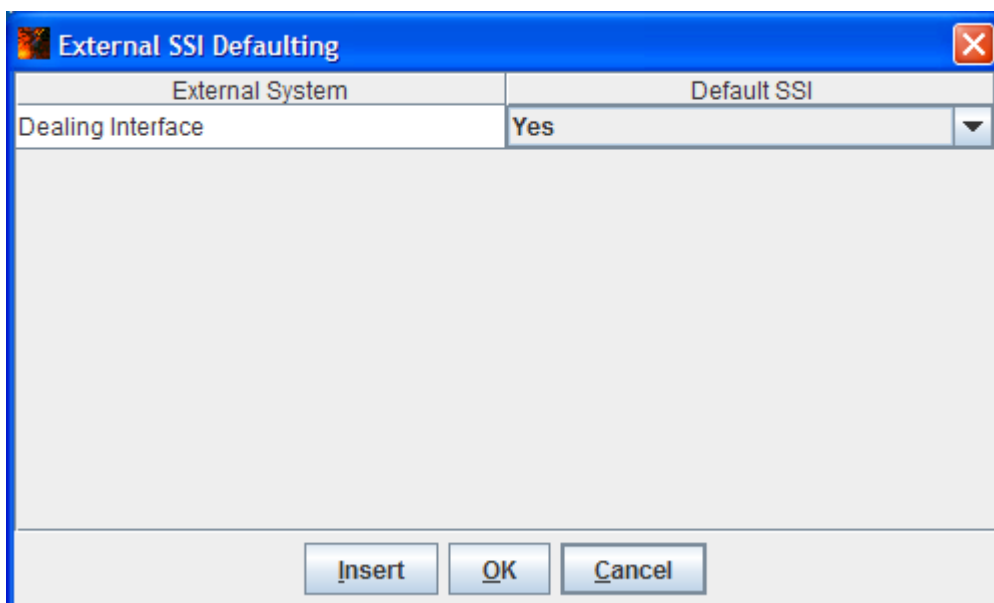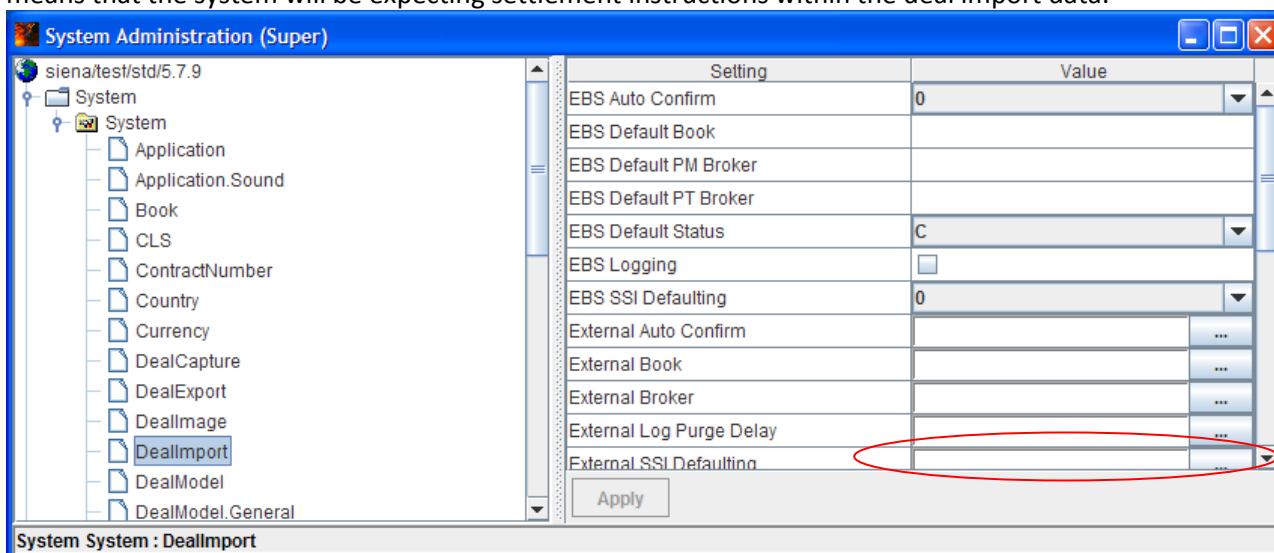
5) Counterparty Import IDs.

In order to map external systems to Siena, mapping identifiers need to be defined in the Counterparty Import ID table within the Siena Database Editor; this mapping links external reference codes to Siena Counterparty records. A single counterparty record needs to be inserted if deals are to be imported for that counterparty.

Enter values as follow:-

Field	Data Entry
Key Origin Id	Enter the identifier for the external system supplying the import data
Key Import Id	Enter external system reference number or identifier
Counterparty firm	Drop down box listing firm names defined in the Siena Database
Counterparty Centre	Drop down box listing centre names defined in the Siena Database

Note that only valid Counterparty firm and centre combinations may be accepted in Siena (as defined in the Counterparty table).

4	**Deal Templates**
	Instruction: Testing Import Formats

1. **Purpose:** To extract templates and amend them to define data to be imported.

   a.   *Copy Required Template to an interim folder*

   b.   *Make Changes & Save File*

[Note the templates are provided for guidance only. Exporting systems may generate xml automatically – the process outlined in this instruction details the manual processing]

2. *Copy Required Template to a temporary folder*

   From the templates select the template from the Standard Templates Zip (Compressed Folder). It is strongly recommended that you copy template XML to an interim temporary folder before starting to edit it.

3. *Make Changes & Save File*

   The template XML is best opened using a standard XML editor to highlight syntax errors. Defining values of fields within the XML requires knowledge of XML. Corresponding field attributes/parameters for each Siena Table are provided in the Siena Database Manual. Once data has been defined in the XML, the file must be saved.

[The examples provided illustrate single record updates; however multiple DealData nodes can be defined nested within separate DealDataWrapper nodes within the xml]

Deal Import Templates available [By Deal type]

Table (Template Folder Name)	Primary Functional Usage
callReport.xml	Call deal import (not call adjustments)
outrightReport.xml	FX Outright deal import
spotReport.xml	FX Spot deal import
swapReport.xml	FX swap deal import
termReport.xml	Term deposit/loan deal import

5	**Deal Import Processing** **Instruction: Loading XML and checking for failed imports**

1. **Purpose:** To process XML definitions through the Deal Importer and verify results through logs. There are two steps to this process:-

   a. *Submitting the Deal Import Data File*

   b. *Checking the Logs for Failed Imports*

2. *Submitting the Import Data File*

Automatic Processing:

For automated deal imports, source applications need to drop the import data into the "deal_import_in" folder.

Manual Processing:

Once data has been defined in XML, you should copy the file (**not move because you may need to repeat the import after having corrected the XML**) to the "deal_import_in" folder. Provided that both the Deal Importer service and handler are running, Siena will pick up the file and will attempt to import the deals into the Siena database. The file is deleted after it has been processed.

3. *Checking the Logs for Failed Imports*

To establish the reason for a failed transaction, further detail will be supplied in one of two areas:-

   a. The Event log on the Siena Tool bar

   b. In the DealImporter.log, located in the std/systems/..logs directory.