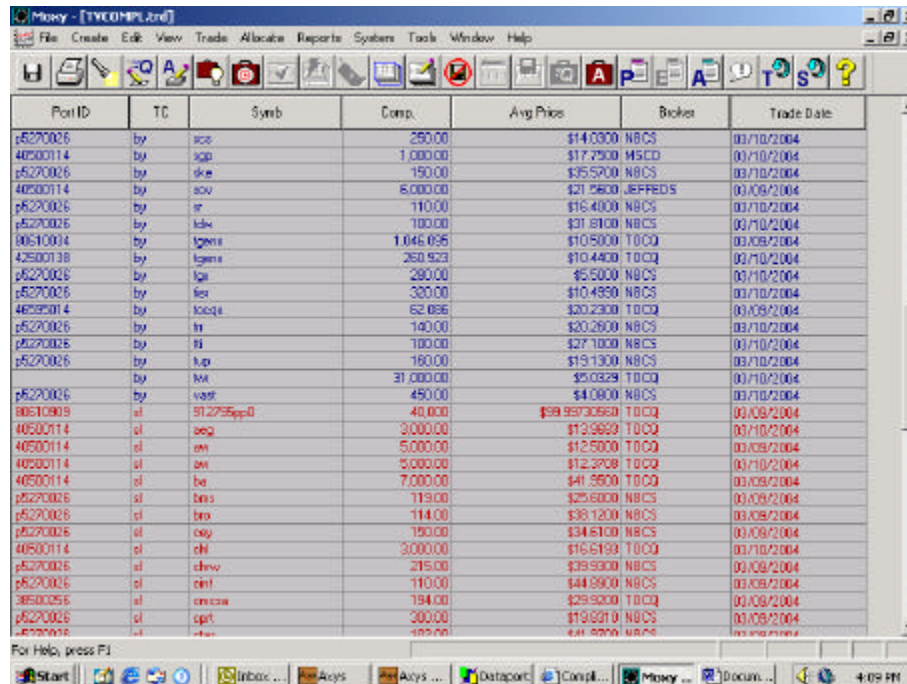USER MANUAL

Upload Trades to Compliance System from Moxy

Please follow the steps listed below to upload trades to the Compliance System.
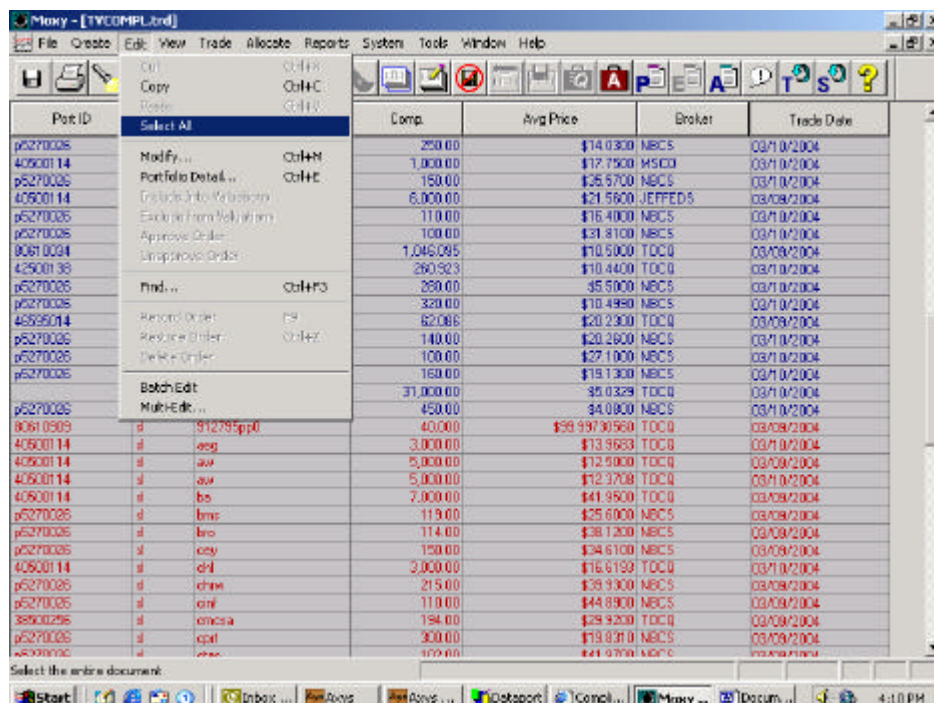
1) Launch Moxy on your computer and login with the appropriate Username/Password.

2) Open the trades file TVCOMPL.trd located in the default trades file folder. You should see the following.

3) From the *Edit* menu in the menu bar, click on *Select All* to select all trades, as shown in the following screenshot.

4) From the _Edit_ menu in the menu bar, click on _Copy_ to copy all trades to clipboard, as shown in the following screenshot.

5) Launch Excel and in the new workbook / worksheet, paste the copied trades as shown.

6) After the trades have been pasted to Excel, save the file as a CSV file (Comma Separated Values). It is important that the saved file be named "**trda.csv**"
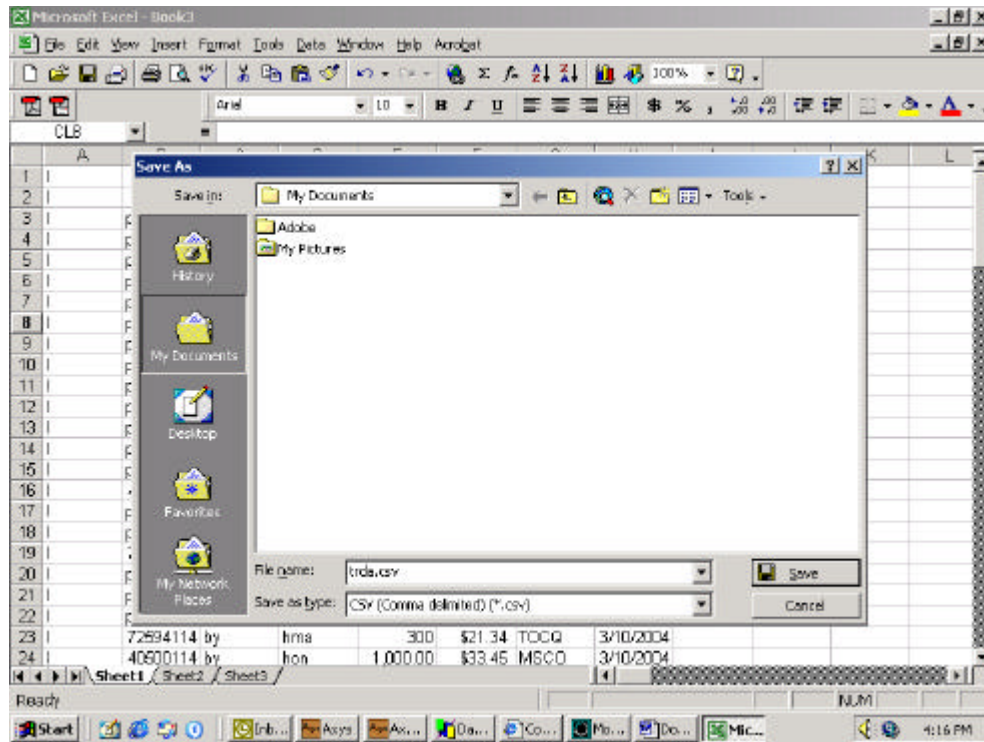
7) In Moxy, launch the Allocation Detail by Symbol report as shown below.
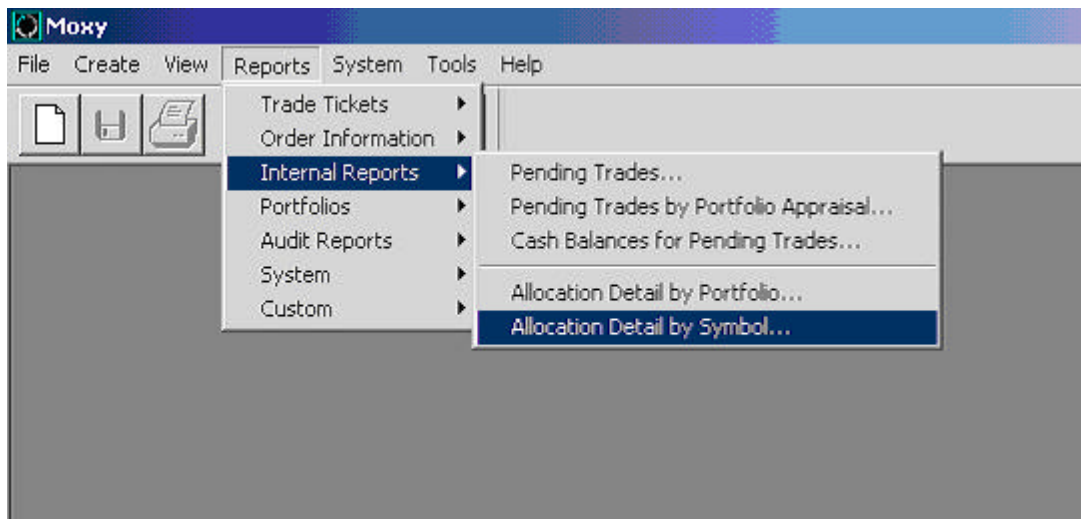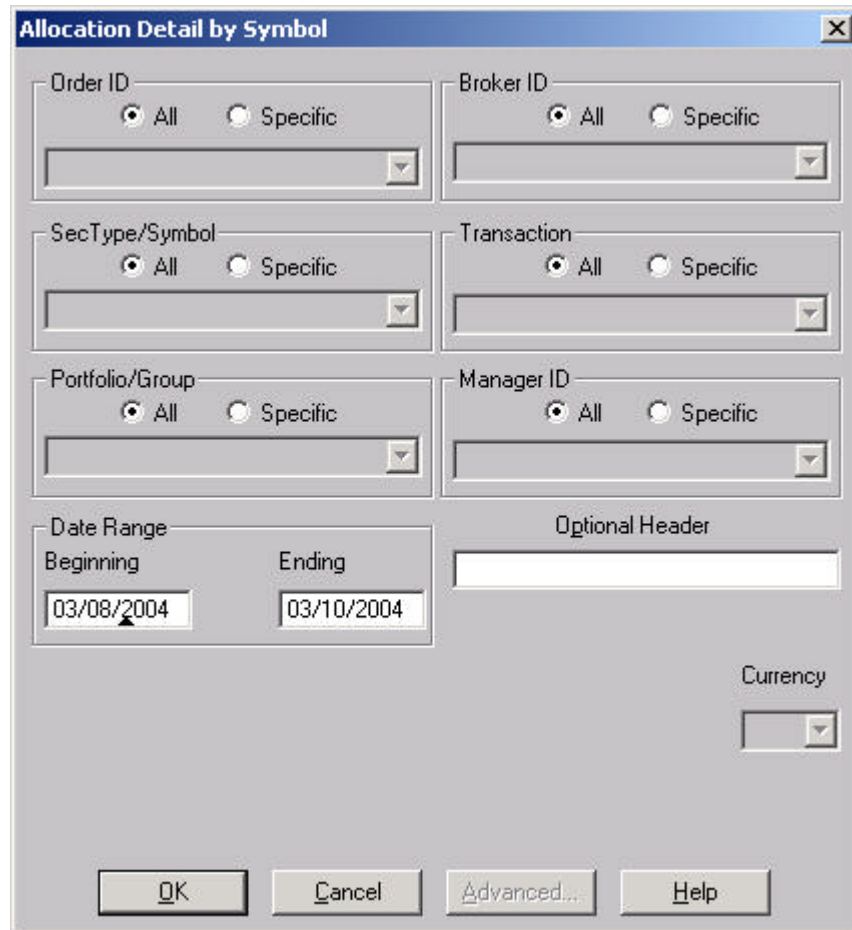
8) In the next window, take all the defaults, and importantly for the dates, do the following:

Date Range:

Beginning must include the previous trading day. Generally, if you were to input a date 4 days prior to the current date, you would most likely have included the previous trading day.

Ending should be today's date.

9) The Allocation Detail by Symbol report should appear as shown below.

10) Save the report as an Excel (.xls) file and name it "**trdb.xls**". This file will then need to be converted or saved as a CSV (Comma Separated Values) file.
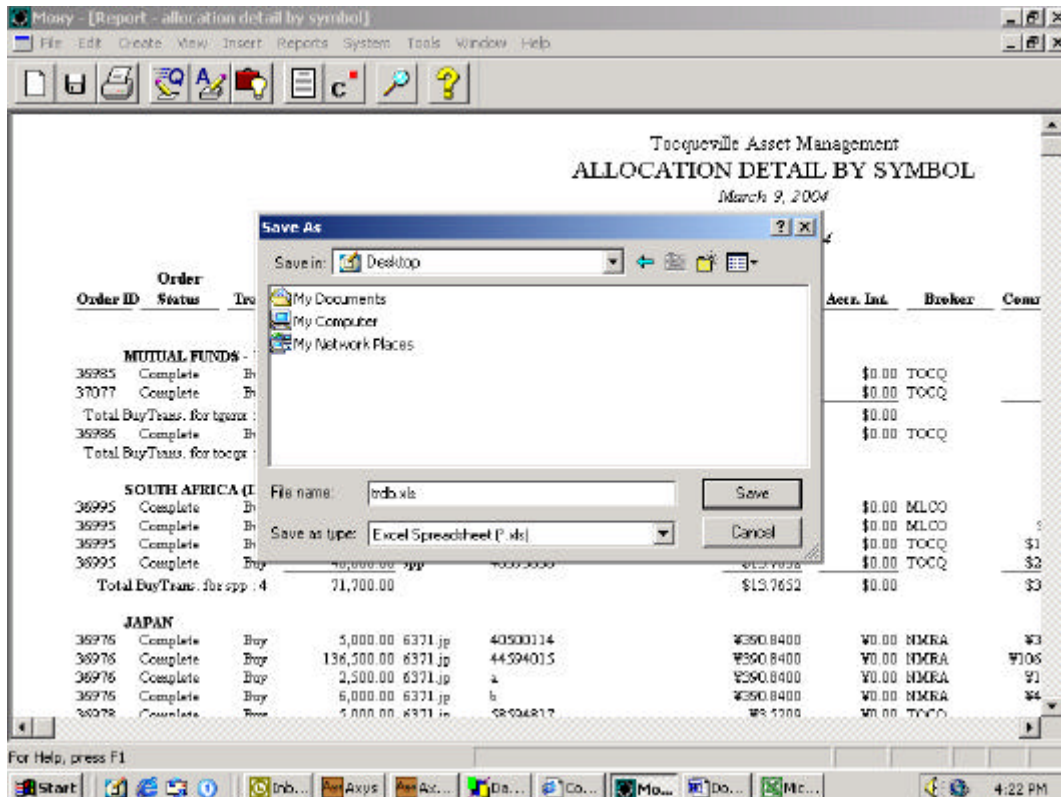
11) Now open the "**trdb.xls**" you just saved. Save the file as "**trdb.csv**" as shown below.
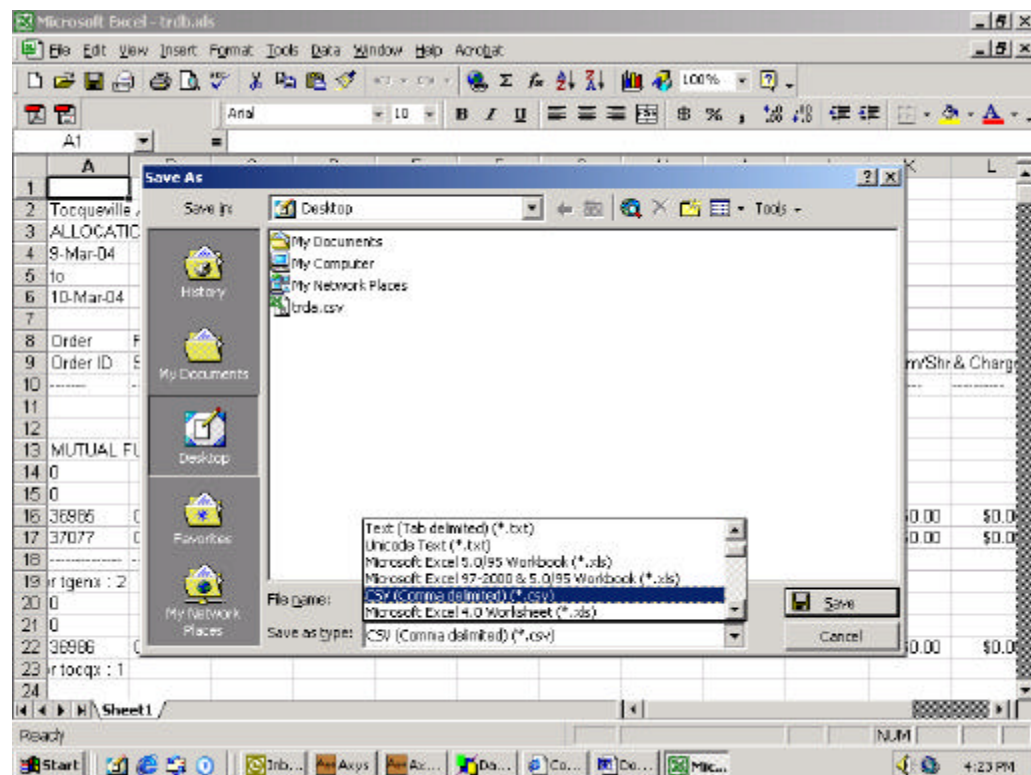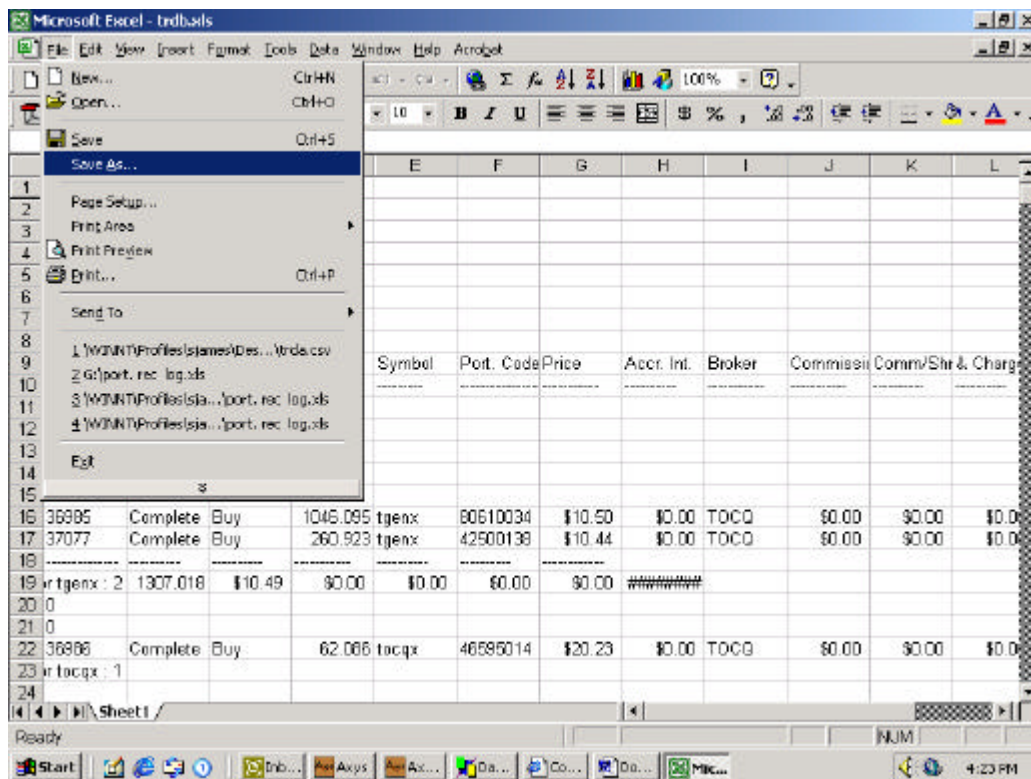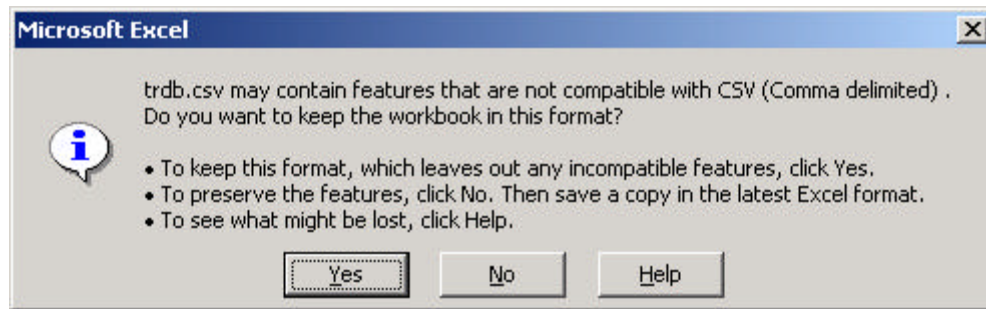
12) Now you have the two files "**trda.csv**" and "**trdb.csv**" ready to be uploaded to the Compliance System. Launch the application by clicking on the appropriate shortcut or using saved bookmark (if set). Go the Trade Upload menu in Compliance System as shown.

13) The Trade Upload page is shown as follows.

T O C Q U E V I L L E   A S S E T   M A N A G E M E N T   L P

Compliance System v 1.0 (Alpha)

User: System Administrator (Logout)

Home   Trades   Accounts   Reports   Administration   Help

Trades to be imported for **TRADE DATE: 2004-02-20**

Steps:

- Export results from **TVDCOMPL.trd** file using Moxy Client, to Excel.
- Save the exported data as a CSV File (Comma Separated Values). Name the file "**trda.csv**".
- Save the Trade Allocation Report as Excel (csv) file. Name the file "**trdb.csv**
- When you have both files **trda.csv** and **trdb.csv** created/saved, proceed to upload using the form below.
- For detailed instructions, please CLICK HERE.

Please click on the **Browse** button and select file ===> **trda.csv** <=== and click on **Upload**

[   ]   Browse...   Upload

TOCQUEVILLE ASSET MANAGEMENT LP

Compliance System v 1.0

User: System Administrator (Logout)

Home   Trades   Accounts   Reports   Administration   Help

Trades to be imported for **TRADE DATE: 2004-02-20**

Steps:

- Export results from **TVDCOMPL.trd** file using Moxy Client, to Excel.
- Save the exported data as a CSV File (Comma Separated Values). Name the file "**trda.csv**".
- Save the Trade Allocation Report as Excel (csv) file. Name the file "**trdb.csv**
- When you have both files **trda.csv** and **trdb.csv** created/saved, proceed to upload using the form b
- For detailed instructions, please CLICK HERE.

Status:

- File to upload : trda.csv
- File type : application/octet-stream
- Trade File trda.csv uploaded successfully!
- Parsing trade file ... trda.csv
- 157 records inserted from trda.csv into staging tables of database.
- Trades from file trda.csv uploaded to database successfully!

Please click on the **Browse** button and select file ===> **trdb.csv** <=== and click on **Upload**

[   ] Browse...   Upload
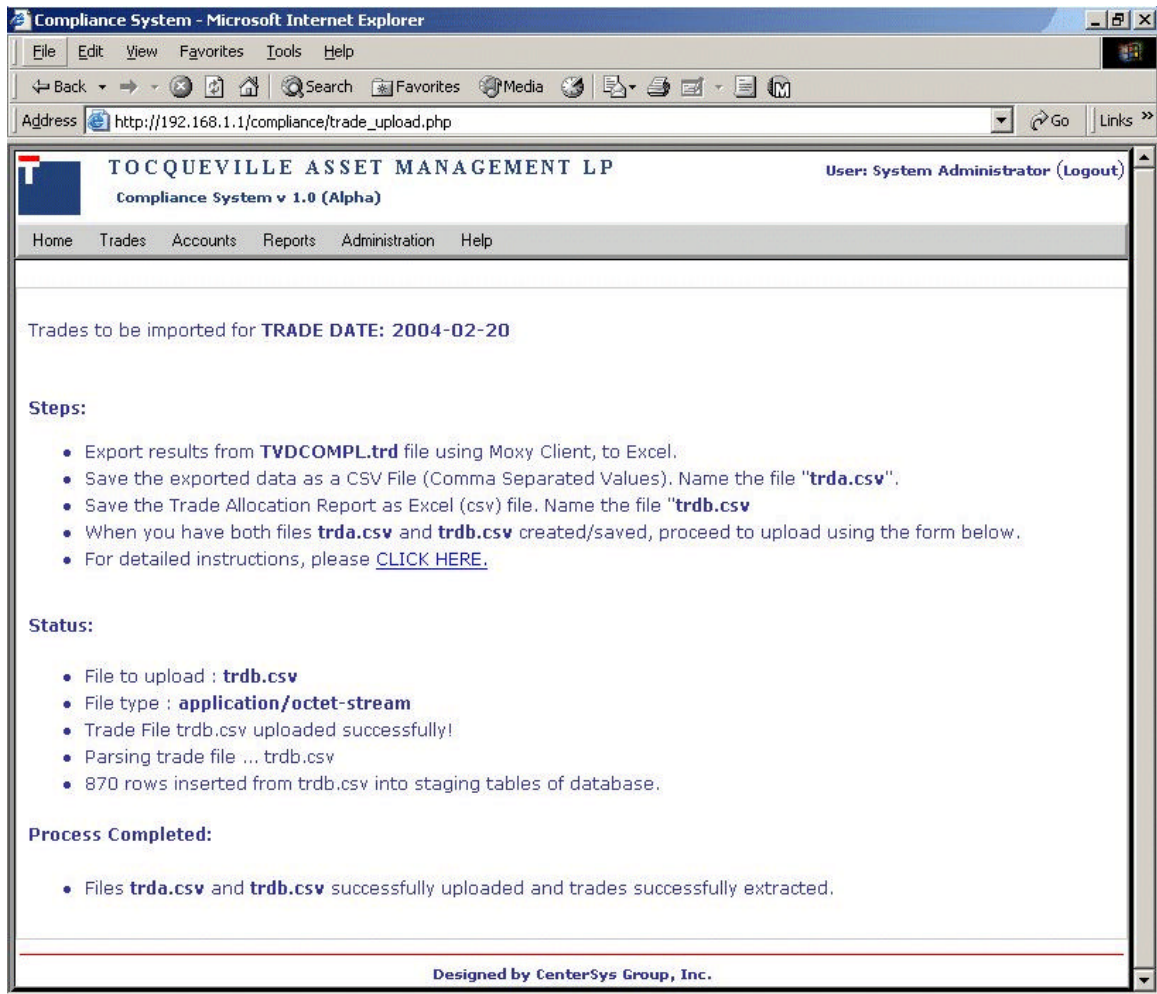
14) After successful completion of the upload process, you can view trades from the prior trade day using the *Trades > View Trades* menu in the Compliance System.

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