

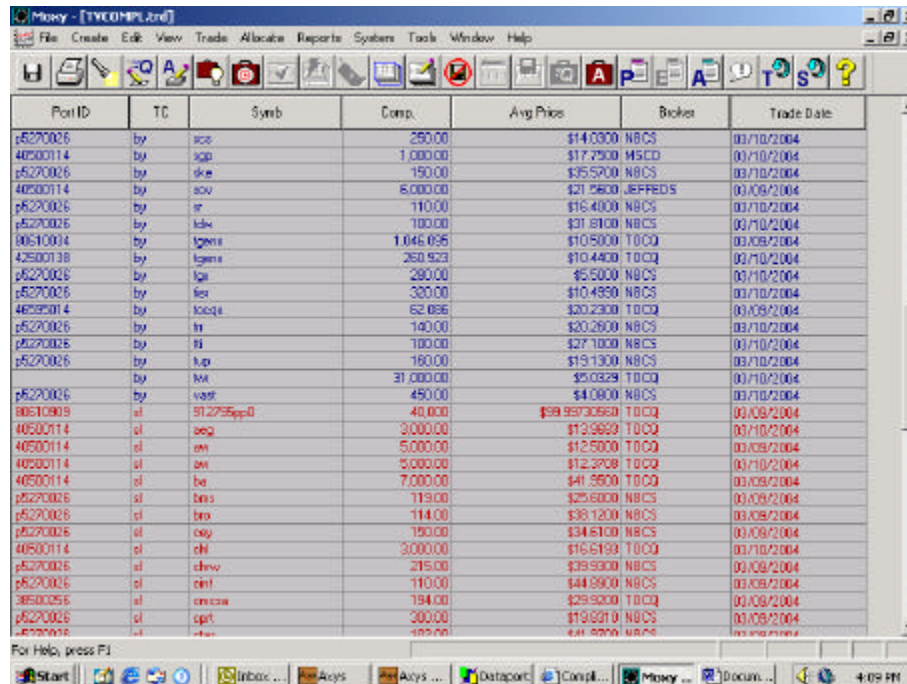


USER MANUAL

Upload Trades to Compliance System from Moxy

Please follow the steps listed below to upload trades to the Compliance System.

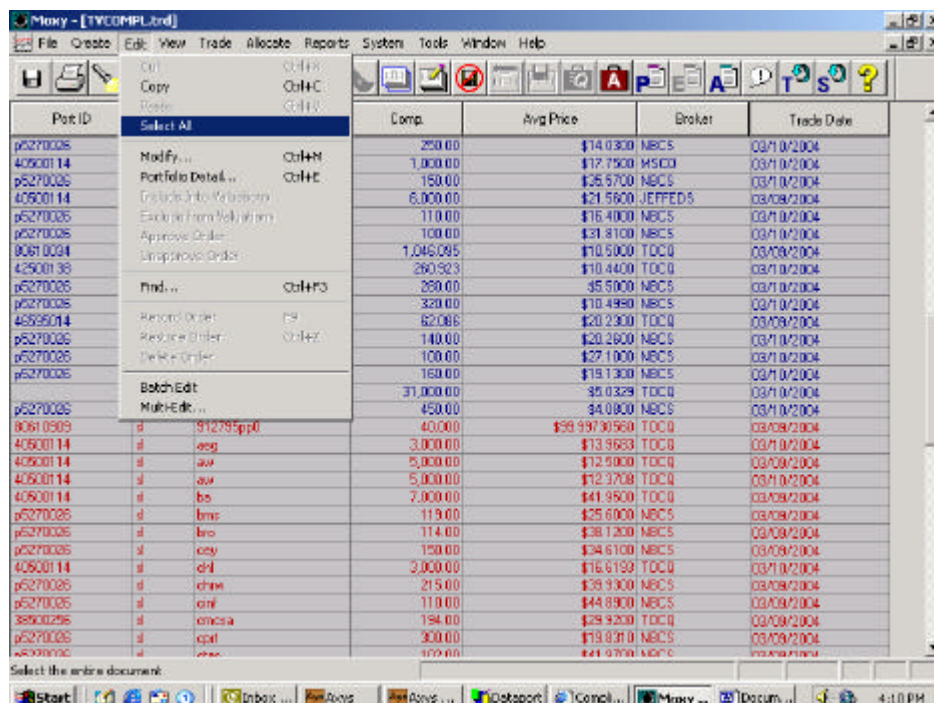
- 1) Launch Moxy on your computer and login with the appropriate Username/Password.
- 2) Open the trades file TVCOMPL.trd located in the default trades file folder. You should see the following.



The screenshot shows the Moxy application window with the menu bar (File, Create, Edit, View, Trade, Allocate, Reports, System, Tools, Window, Help) and a toolbar. The main window displays a table of trades with the following columns: PortID, TC, Symb, Comp., Avg Price, Broker, and Trade Date. The table contains 30 rows of trade data, including symbols like ICE, XPO, SKE, SOV, IR, LSW, LGNS, LGA, LER, LSCQ, IN, NI, LUP, MVI, VANT, and various stock symbols like A, AEG, ARI, BLS, BNS, CBY, CHL, CHW, CML, CMLA, and CPT. The bottom status bar shows the Start button and the time 4:09 PM.

PortID	TC	Symb	Comp.	Avg Price	Broker	Trade Date
p5270026	by	ice	250.00	\$14.0300	NBCS	03/10/2004
40500114	by	xpo	1,000.00	\$17.7500	MSCD	03/10/2004
p5270026	by	ske	150.00	\$35.5700	NBCS	03/10/2004
40500114	by	sov	6,000.00	\$21.5600	JEFFREYS	03/10/2004
p5270026	by	ir	110.00	\$16.4000	NBCS	03/10/2004
p5270026	by	lsu	100.00	\$31.8100	NBCS	03/10/2004
00610034	by	lgns	1,045.095	\$10.5000	TCCQ	03/10/2004
42500138	by	lgns	260.923	\$10.4400	TCCQ	03/10/2004
p5270026	by	lga	280.00	\$5.5000	NBCS	03/10/2004
p5270026	by	ler	320.00	\$10.4950	NBCS	03/10/2004
48595014	by	lscq	62.066	\$20.2300	TCCQ	03/10/2004
p5270026	by	in	140.00	\$20.2600	NBCS	03/10/2004
p5270026	by	ni	100.00	\$27.1000	NBCS	03/10/2004
p5270026	by	lup	160.00	\$19.1300	NBCS	03/10/2004
p5270026	by	mvi	31,000.00	\$5.0329	TCCQ	03/10/2004
p5270026	by	vant	450.00	\$4.0800	NBCS	03/10/2004
00610039	sl	91275ppd	40,000	\$9.9970560	TCCQ	03/10/2004
40500114	sl	aeg	3,000.00	\$13.9633	TCCQ	03/10/2004
40500114	sl	ari	5,000.00	\$12.5000	TCCQ	03/10/2004
40500114	sl	ari	5,000.00	\$12.3708	TCCQ	03/10/2004
40500114	sl	bs	7,000.00	\$41.9500	TCCQ	03/10/2004
p5270026	sl	bns	119.00	\$25.6000	NBCS	03/10/2004
p5270026	sl	bns	114.00	\$38.1200	NBCS	03/10/2004
p5270026	sl	cbi	150.00	\$34.6100	NBCS	03/10/2004
40500114	sl	chl	3,000.00	\$16.6199	TCCQ	03/10/2004
p5270026	sl	chw	215.00	\$39.9300	NBCS	03/10/2004
p5270026	sl	cml	110.00	\$44.8900	NBCS	03/10/2004
38500296	sl	cmla	194.00	\$29.5200	TCCQ	03/10/2004
p5270026	sl	cpt	300.00	\$19.8310	NBCS	03/10/2004
40500114	sl	cpa	100.00	\$41.9700	NBCS	03/10/2004

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



The screenshot shows the Moxy application window with the menu bar (File, Create, Edit, View, Trade, Allocate, Reports, System, Tools, Window, Help) and a toolbar. The 'Edit' menu is open, showing options: Cut, Copy, Paste, Select All, Modify..., Portfolio Detail..., Exclude from Valuations, Exclude from Revaluations, Approve Order, Unapprove Order, Find..., Record Order, Reverse Order, Delete Order, Batch Edit, and Multi-Edit... The 'Select All' option is highlighted. The main window displays the same table of trades as in the previous screenshot. The bottom status bar shows the Start button and the time 4:10 PM.

PortID	TC	Symb	Comp.	Avg Price	Broker	Trade Date
p5270026	by	ice	250.00	\$14.0300	NBCS	03/10/2004
40500114	by	xpo	1,000.00	\$17.7500	MSCD	03/10/2004
p5270026	by	ske	150.00	\$35.5700	NBCS	03/10/2004
40500114	by	sov	6,000.00	\$21.5600	JEFFREYS	03/10/2004
p5270026	by	ir	110.00	\$16.4000	NBCS	03/10/2004
p5270026	by	lsu	100.00	\$31.8100	NBCS	03/10/2004
00610034	by	lgns	1,045.095	\$10.5000	TCCQ	03/10/2004
42500138	by	lgns	260.923	\$10.4400	TCCQ	03/10/2004
p5270026	by	lga	280.00	\$5.5000	NBCS	03/10/2004
p5270026	by	ler	320.00	\$10.4950	NBCS	03/10/2004
48595014	by	lscq	62.066	\$20.2300	TCCQ	03/10/2004
p5270026	by	in	140.00	\$20.2600	NBCS	03/10/2004
p5270026	by	ni	100.00	\$27.1000	NBCS	03/10/2004
p5270026	by	lup	160.00	\$19.1300	NBCS	03/10/2004
p5270026	by	mvi	31,000.00	\$5.0329	TCCQ	03/10/2004
p5270026	by	vant	450.00	\$4.0800	NBCS	03/10/2004
00610039	sl	91275ppd	40,000	\$9.9970560	TCCQ	03/10/2004
40500114	sl	aeg	3,000.00	\$13.9633	TCCQ	03/10/2004
40500114	sl	ari	5,000.00	\$12.5000	TCCQ	03/10/2004
40500114	sl	ari	5,000.00	\$12.3708	TCCQ	03/10/2004
40500114	sl	bs	7,000.00	\$41.9500	TCCQ	03/10/2004
p5270026	sl	bns	119.00	\$25.6000	NBCS	03/10/2004
p5270026	sl	bns	114.00	\$38.1200	NBCS	03/10/2004
p5270026	sl	cbi	150.00	\$34.6100	NBCS	03/10/2004
40500114	sl	chl	3,000.00	\$16.6199	TCCQ	03/10/2004
p5270026	sl	chw	215.00	\$39.9300	NBCS	03/10/2004
p5270026	sl	cml	110.00	\$44.8900	NBCS	03/10/2004
38500296	sl	cmla	194.00	\$29.5200	TCCQ	03/10/2004
p5270026	sl	cpt	300.00	\$19.8310	NBCS	03/10/2004
40500114	sl	cpa	100.00	\$41.9700	NBCS	03/10/2004

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

The screenshot shows the Money software window titled "Money - [1700HPL2.xls]". The menu bar includes File, Create, Edit, View, Trade, Allocate, Reports, Systems, Tools, Window, and Help. The "Edit" menu is open, displaying options like Cut, Copy (Ctrl+C), Paste, Select All, Find..., Repeat Order, Print and Order, Delete Order, Attach Edit, Multi-Hold..., and Undo. The "Copy" option is highlighted. Below the menu, a table displays trade data with columns for PortID, Comp., Avg Price, Broker, and Trade Date.

PortID	Comp.	Avg Price	Broker	Trade Date
40500114	5,000.00	\$12.5000	TIGQ	01/09/2004
40500114	5,000.00	\$12.3708	TIGQ	01/10/2004
40500114	7,000.00	\$41.5500	TIGQ	01/09/2004
p52P0026	119.00	\$25.6000	NBCS	01/09/2004
p52P0026	114.00	\$32.1200	NBCS	01/09/2004
p52P0026	150.00	\$34.6100	NBCS	01/09/2004
40500114	3,000.00	\$16.6199	TIGQ	01/10/2004
p52P0026	215.00	\$39.9300	NBCS	01/09/2004
p52P0026	110.00	\$41.8800	NBCS	01/09/2004
38500056	194.00	\$23.5200	TIGQ	01/09/2004
p52P0026	300.00	\$19.8910	NBCS	01/09/2004
p52P0026	102.00	\$41.5900	NBCS	01/09/2004
40500114	2,000.00	\$20.8880	TIGQ	01/10/2004
p52P0026	50.00	\$57.0000	NBCS	01/09/2004
p52P0026	127.00	\$44.1500	NBCS	01/09/2004
p52P0026	140.00	\$26.9600	NBCS	01/09/2004
40500114	5,000.00	\$9.8020	TIGQ	01/10/2004
p52P0026	155.00	\$33.0600	NBCS	01/09/2004
p52P0026	200.00	\$22.1000	NBCS	01/09/2004
p52P0026	125.00	\$53.0700	NBCS	01/09/2004
40500114	HPOL	\$6.6672	TIGQ	01/10/2004
p52P0026	274.00	\$18.6800	NBCS	01/09/2004
p52P0026	kg	\$13.1600	NBCS	01/09/2004
40500114	kg	\$3.3882	TIGQ	01/09/2004
38500056	lb	\$11.9000	TIGQ	01/10/2004
p52P0026	mal	\$18.7000	TIGQ	01/09/2004
p52P0026	mchp	\$26.8920	NBCS	01/09/2004
40500114	mllon	\$9.8537	TIGQ	01/09/2004
p52P0026	mllon	\$2.7330	TIGQ	01/09/2004
p52P0026	msd	\$25.8900	NBCS	01/09/2004

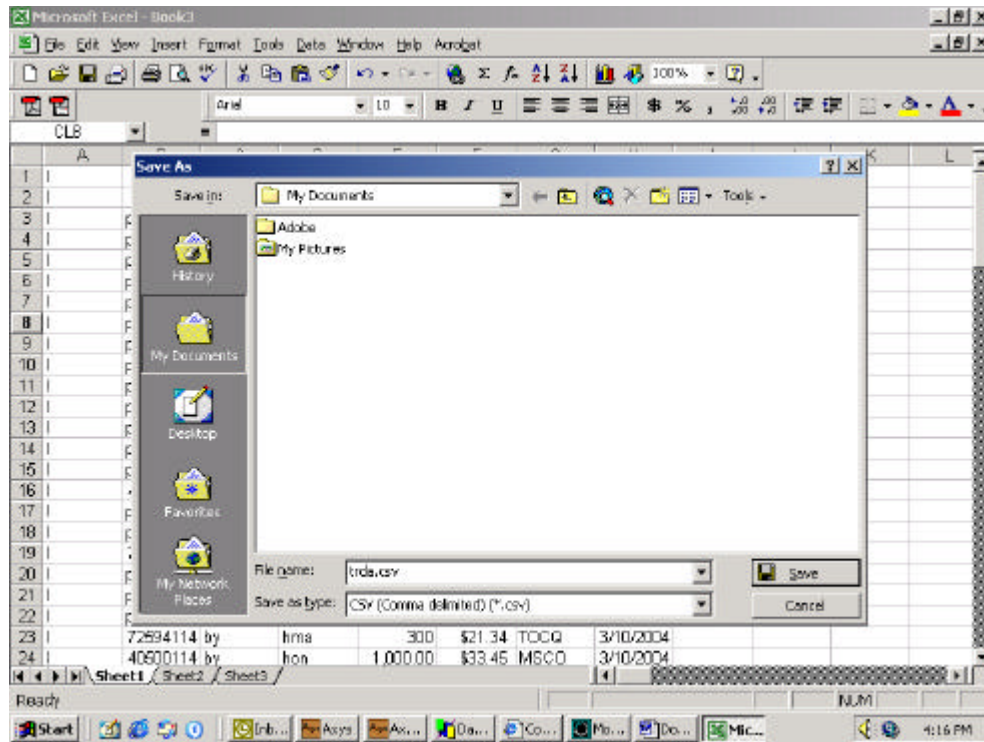
- 5) Launch Excel and in the new workbook / worksheet, paste the copied trades as shown.

The screenshot shows the Microsoft Excel 2003 interface. The 'Edit' menu is open, and the 'Paste' option is highlighted. The menu items are as follows:

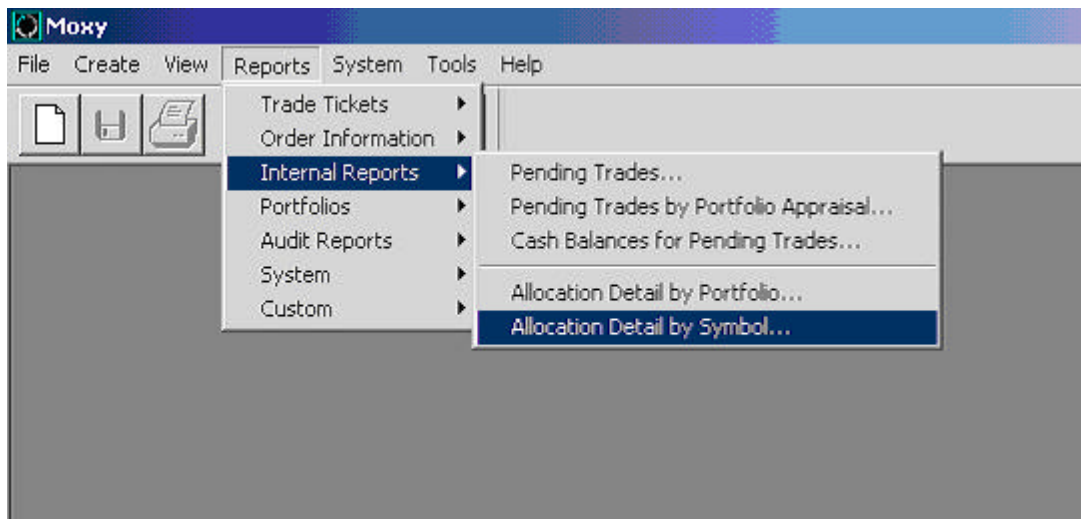
- Ctrl+Z (Undo)
- Ctrl+Y (Redo)
- Ctrl+X (Cut)
- Ctrl+C (Copy)
- Ctrl+V (Paste)**
- Paste Special...
- Paste as Hyperlink
- Fill
- Clear
- Delete...
- Delete Sheet
- Move or Copy Sheet...
- Find...
- Replace...
- Go To...
- Links...
- Object

The spreadsheet area shows columns D through L and rows 1 through 24. The status bar at the bottom indicates 'Ready' and 'NUM'.

- 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.

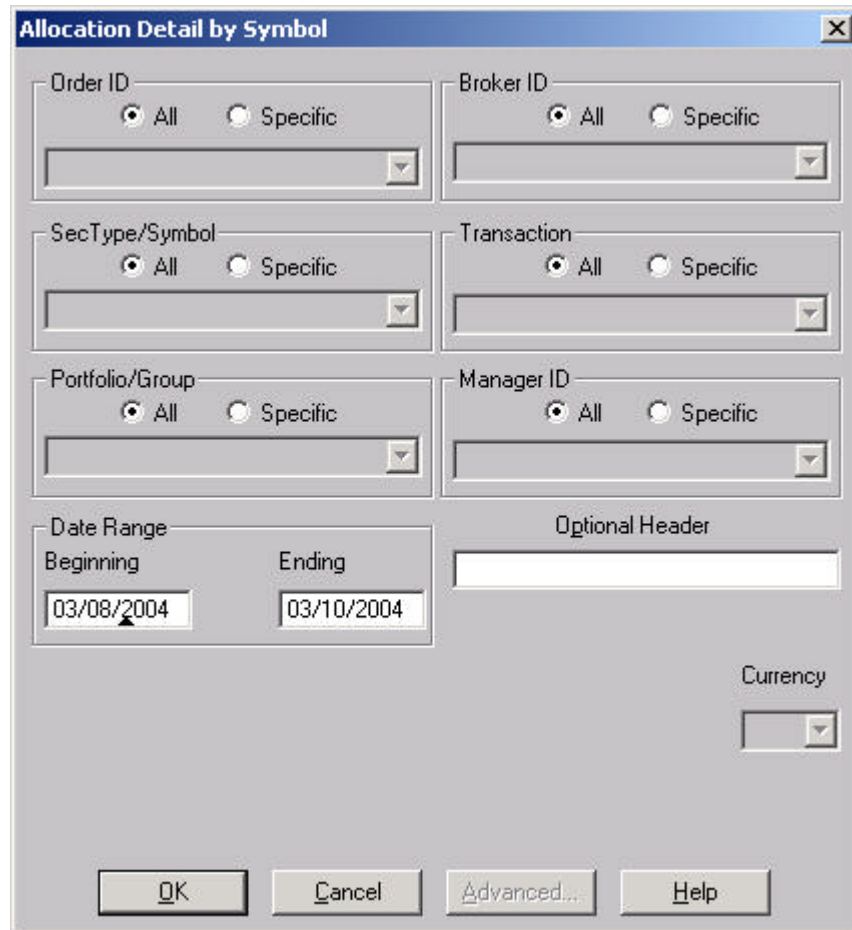


8) In the next window, take all the defaults, and importantly for the dates, do the following:

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.



The image shows a software dialog box titled "Allocation Detail by Symbol". It contains several input fields and buttons. The fields are organized into two columns. The left column includes "Order ID", "SecType/Symbol", "Portfolio/Group", and a "Date Range" section with "Beginning" and "Ending" date pickers. The right column includes "Broker ID", "Transaction", "Manager ID", and an "Optional Header" text field. Each of the first six fields has a radio button for "All" (selected) and "Specific", and a dropdown menu. The "Date Range" section has two date pickers, with "Beginning" set to "03/08/2004" and "Ending" set to "03/10/2004". There is also a "Currency" dropdown at the bottom right. At the bottom of the dialog are four buttons: "OK", "Cancel", "Advanced...", and "Help".

Field	Radio Buttons	Value / Date
Order ID	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
Broker ID	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
SecType/Symbol	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
Transaction	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
Portfolio/Group	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
Manager ID	<input checked="" type="radio"/> All, <input type="radio"/> Specific	[Dropdown]
Date Range Beginning		03/08/2004
Date Range Ending		03/10/2004
Optional Header		[Text Field]
Currency		[Dropdown]

Buttons: OK, Cancel, Advanced..., Help

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

Money - [Report - allocation detail by symbol]

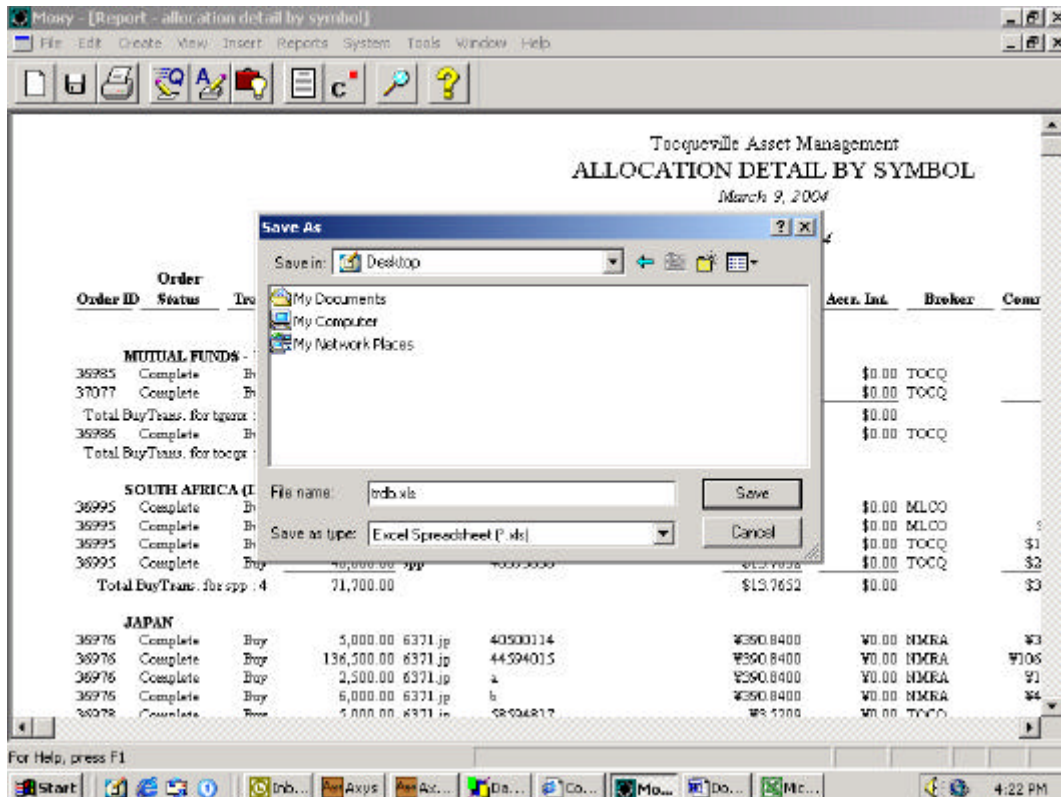
File Edit Create View Insert Reports System Tools Window Help

Toqueville Asset Management
ALLOCATION DETAIL BY SYMBOL
March 9, 2004
to
March 10, 2004

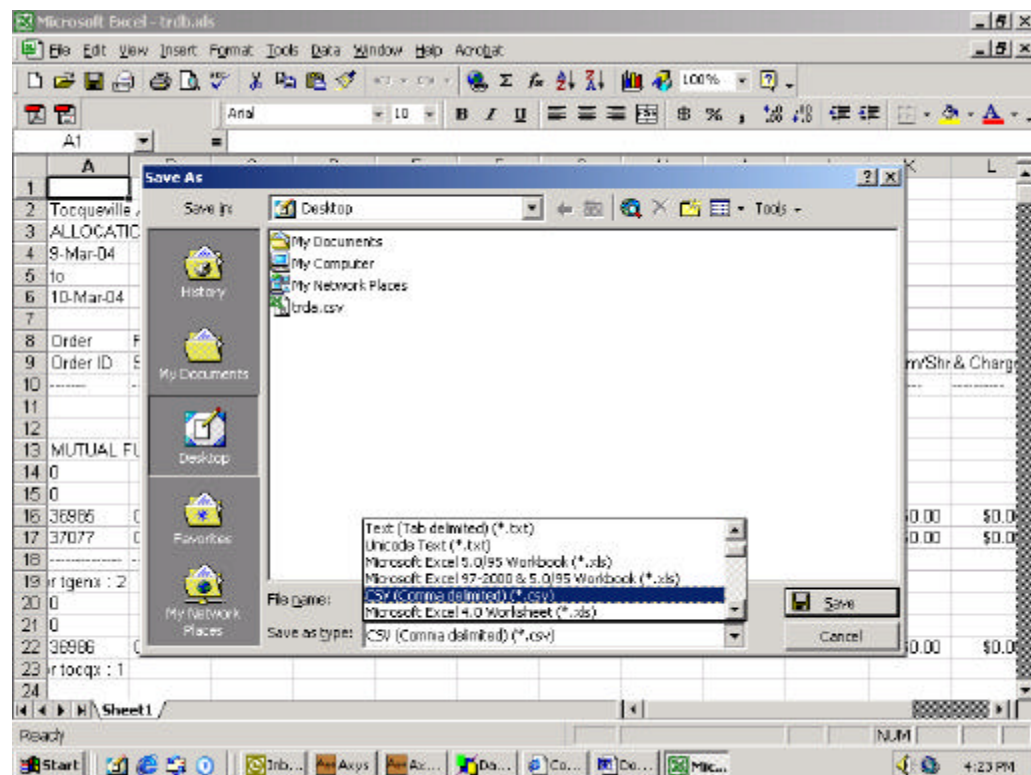
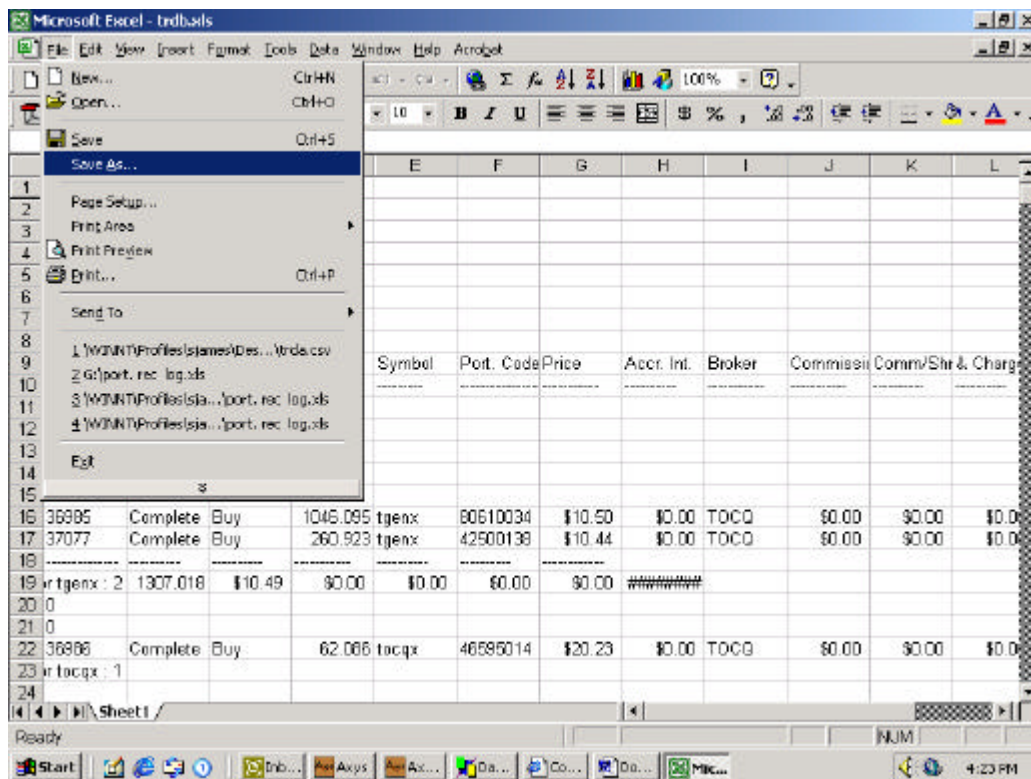
Order ID	Status	Trans.	Quantity	Symbol	Port. Code	Price	Acct. Int.	Broker	Comm.
MUTUAL FUNDS - U.S. STOCKS									
36985	Complete	Buy	1,046.095	igazx	00610034	\$10.5000	\$0.00	TOCQ	
37077	Complete	Buy	260.923	igazx	02500130	\$10.4400	\$0.00	TOCQ	
Total BuyTrans. for igazx : 2						\$10.4800	\$0.00		
36986	Complete	Buy	62.086	toqzx	06592014	\$20.2200	\$0.00	TOCQ	
Total BuyTrans. for toqzx : 1									
SOUTH AFRICA (Dollar Denominated)									
36995	Complete	Buy	7,700.00	spp	44594004	\$13.7652	\$0.00	MLCO	
36995	Complete	Buy	4,000.00	spp	940387	\$13.7652	\$0.00	MLCO	
36995	Complete	Buy	30,000.00	spp	38593049	\$13.7652	\$0.00	TOCQ	\$1
36995	Complete	Buy	40,000.00	spp	48593050	\$13.7652	\$0.00	TOCQ	\$2
Total BuyTrans. for spp : 4						\$13.7652	\$0.00		\$3
JAPAN									
36976	Complete	Buy	5,000.00	6371.jp	40590114	\$390.8400	\$0.00	NMRA	\$3
36976	Complete	Buy	136,500.00	6371.jp	44594015	\$390.8400	\$0.00	NMRA	\$106
36976	Complete	Buy	2,500.00	6371.jp	a	\$390.8400	\$0.00	NMRA	\$1
36976	Complete	Buy	6,000.00	6371.jp	b	\$390.8400	\$0.00	NMRA	\$4
36978	Complete	Buy	5,000.00	6371.jp	08594817	\$3.5200	\$0.00	TOCQ	

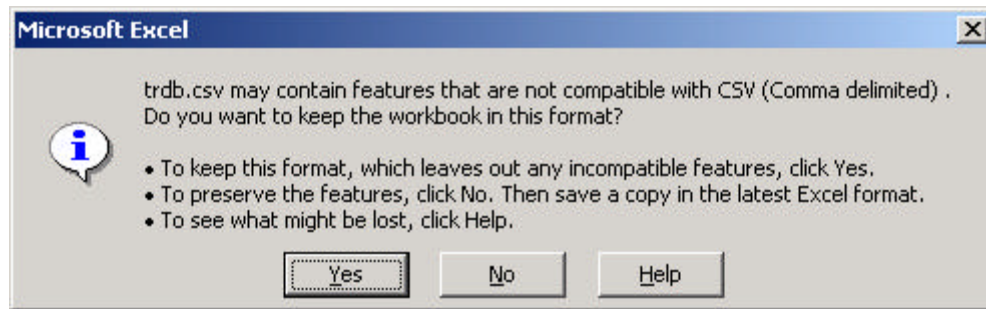
For Help, press F1

- 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.

Compliance System - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Media Print Mail

Address <http://192.168.1.1/compliance/> Go Links >>



TOCQUEVILLE ASSET MANAGEMENT LP
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

Compliance System - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Media Print Mail

Address http://192.168.1.1/compliance/trade_upload.php Go Links



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:

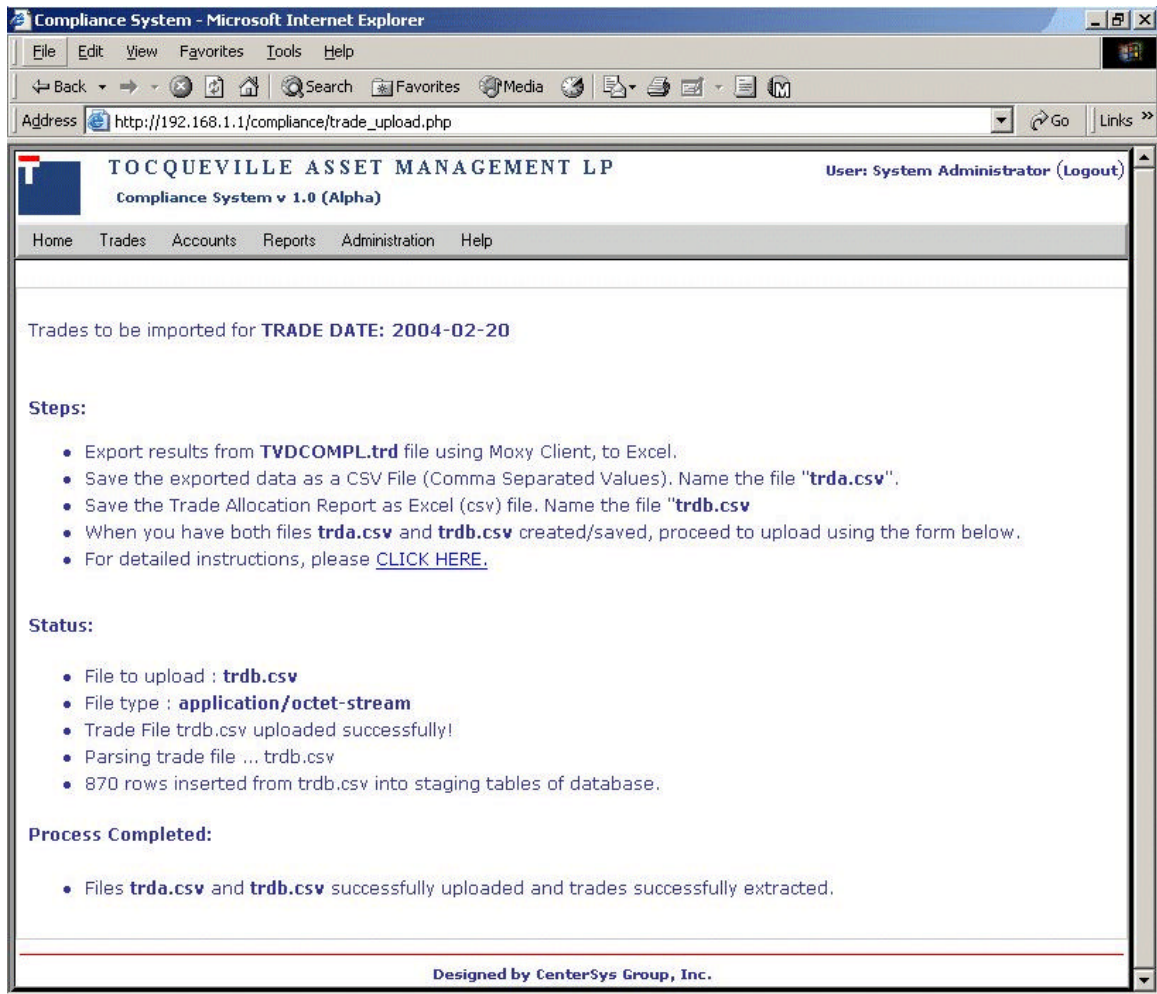
- Export results from **TVDCOMPL.trd** file using Moxy Client, to Excel.
- Save the exported data as a CSV File (Comma Separated Values). Name the file "**trda.csv**".
- Save the Trade Allocation Report as Excel (csv) file. Name the file "**trdb.csv**".
- When you have both files **trda.csv** and **trdb.csv** 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.

=<*>=