DFM Allocation Platform (DAP) Systems Guide

10 October 2016
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Reviewed by: Patrick Kong

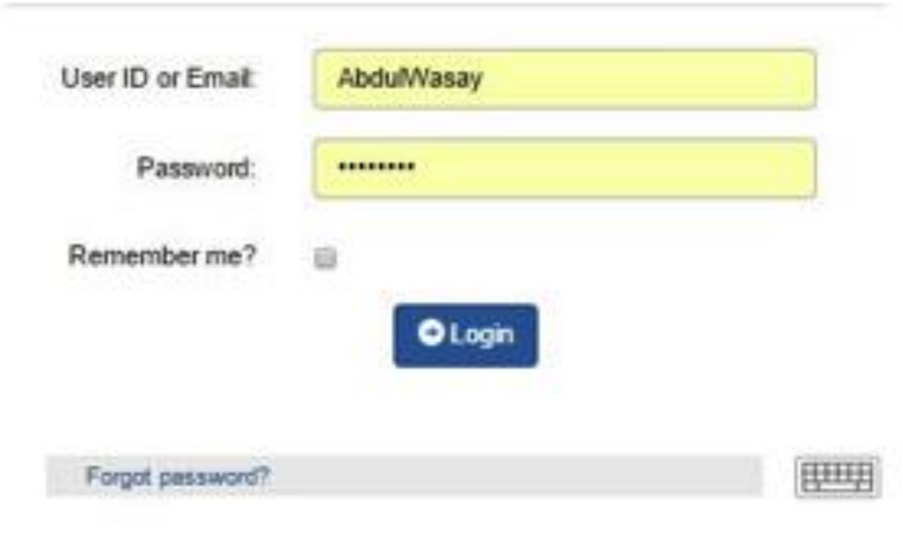
1. Document History

No.	Date	Description of Changes
1.	10/10/2016	First draft by Abdul Qaiyum.
2.	11/10/2016	Reviewed by PK.

2. Terminologies used in this document:

1. DAP means DFM Allocation Platform. This platform can be used for trade allocation for both DFM and Nasdaq Dubai
2. Target Accounts [TAs] the end client account where the trade needs to be allocated
3. Allocation Account [AAs] means the Allocation Account create for each Fund manager for the purpose of trade aggregation during market hours.
4. Auto Allocation Account [AAAs] means the default account of the brokerage house under which all unallocated Market Trades will be pushed at the end of Allocation Final Submission period
5. Market Trades [MTs] means trades created during normal trading session
6. Allocated Trades [ATs] means trades created by the allocation process.
7. Auto-allocation means the system functionality whereby any unallocated MTs will be forced-allocated at the expiry of the Final Submission period to default Auto Allocation Account.
8. Allocation Period means the time given to the Broker to allocate MTs to Target Accounts.

3. Login



Usage;
This screen is used to authenticate a user and provide him access to DAP.

Pre-requisite;
Roles should have been defined
User must be defined and authorized with appropriate entitlements and a password profile assigned to him in the system

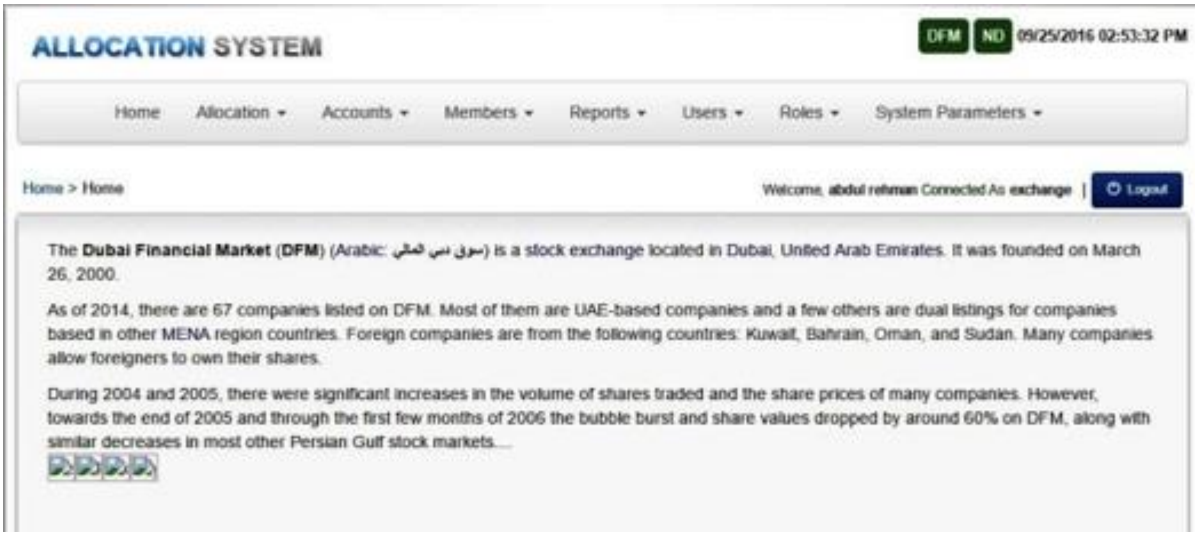
Access to this Screen;
To access this screen, invoke the application and this is the first user interface.

Field Description

Field Description

Label	Description	Remarks
Select Language	User can select from languages available in the system	
User ID or Email	User enters his User ID or email address as login ID	Validated as per registered in the system before providing access
Password	User enters his password to login	
Remember me check-box	If user checks it his login credentials are saved to reproduce	
Login button	User clicks on it to proceed	
Key-board icon	User clicks on it and the keyboard input is blocked. User inputs password using mouse clicking on the screen	Keyboard image appears on the screen.
Forgot password	In case user forgets his password he clicks on it. The system in response asks to enter his registered email address or user ID. After validation the system sends Change Password link at his registered email if he entered his user ID. If he entered his registered email address the link is sent at this email address after DAP validation.	Note: System will check and allow change of password to the DAP user to whom the email address or user ID mentioned belongs to Multiple users registered with a common email address will be sent change password link on that single email address and the users can change passwords and inform individually to further change password against their user-id.

4. Home



[DAP_Home.jpg]
Home Screen showing drop-down menus

This Screen is displayed with its standard layout, after a user logs into DAP successfully. Connected Market Read only buttons are shown at the top right corner with current Date and Time, which appear on all screens for reference.

Field Description

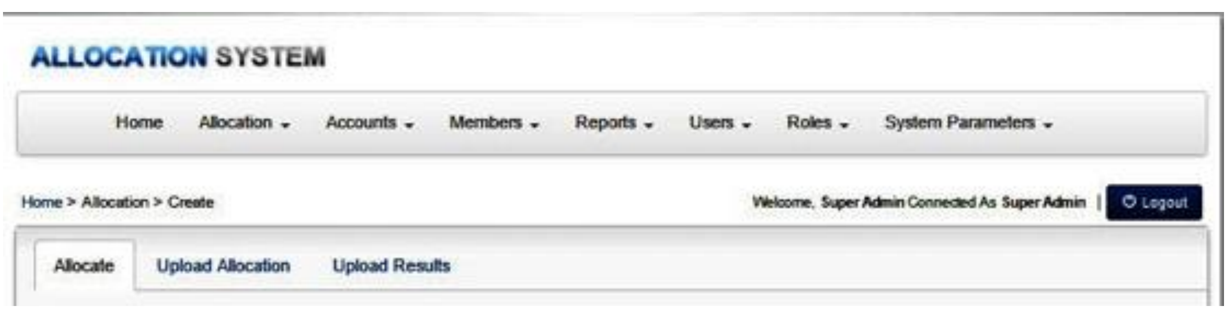
Label	Description	Remarks
Markets Buttons at the top right corner	Concerned Markets Read only Buttons shown.	Green shows submission time available, Red means Submission time lapsed.
Top Row		
Labels pointing to Drop-Down Menus and Sub-menus	User clicks one to select and enter.	Menus and Sub-menus are hierarchically nested
Second Row		
Home	Home indicates the current logged-in path	If a user clicks on Allocation drop-down menu, he sees Allocation Menu, user clicks on Create to log-in. Subsequently Home will indicate Home --> Allocation --> Create sub-menu as the current logged-in path
Welcome	Welcome indicates the current logged-in user's log-in name, password expiry notification (if any)and role after it	
Message Area		
Logout button	User clicks on it to log out of the system	

5. Allocation

[DAP_Allocation.jpg]
Allocation Screen

This Screen is meant for Trades Allocation. Please refer to menu options.

5.1. Create

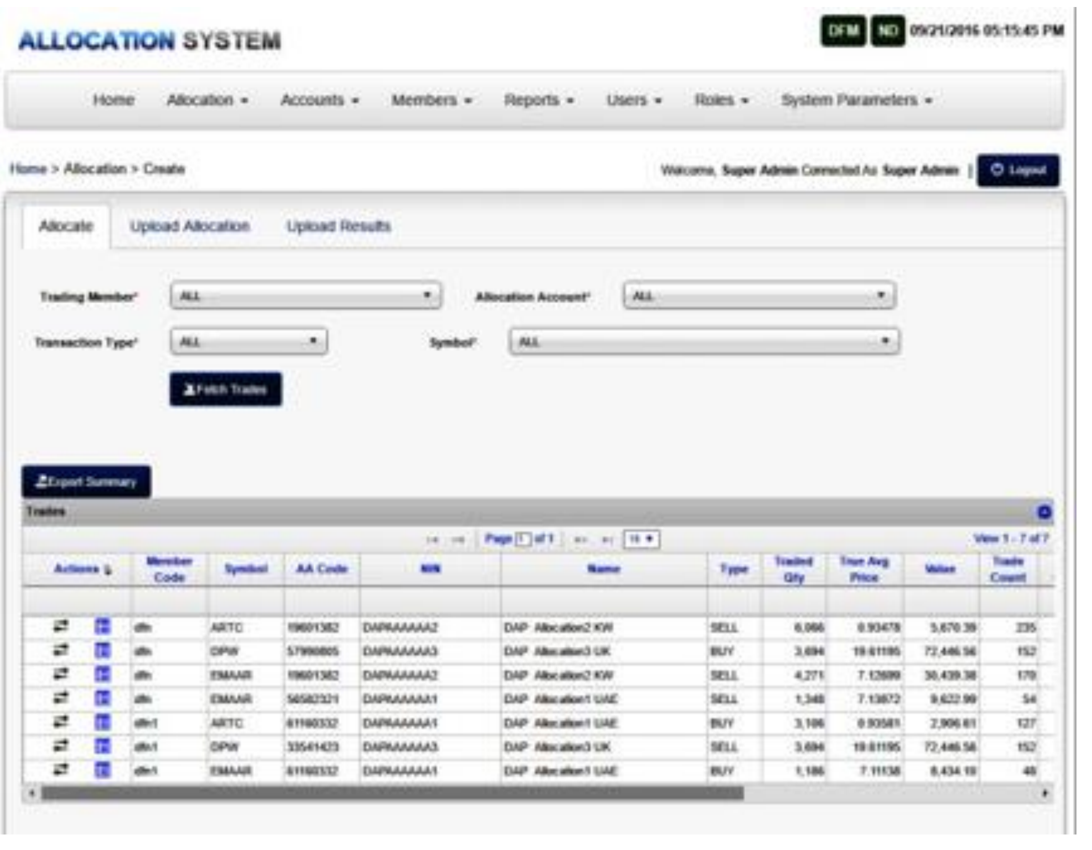


This Screen is meant for allocation of the Equator fetched Trades against AAs among their relevant TAs of the Trading Members (Manually or File upload). Default Screen is Allocate.

System allows multiple submissions of allocations that were created to X-Stream during Allocation session.

5.1.1. Allocate

Usage:
This screen is used to
Fetch trades from Equator using Fetch button, selecting Trading Member, Allocation Account, Symbol and Transaction Type Buy/Sell/All before configured Final Submission Time
Allocate them among various mapped Target Accounts.



Access to this Screen:
To access this screen log on "Allocation --> Create --> Allocate " menu.

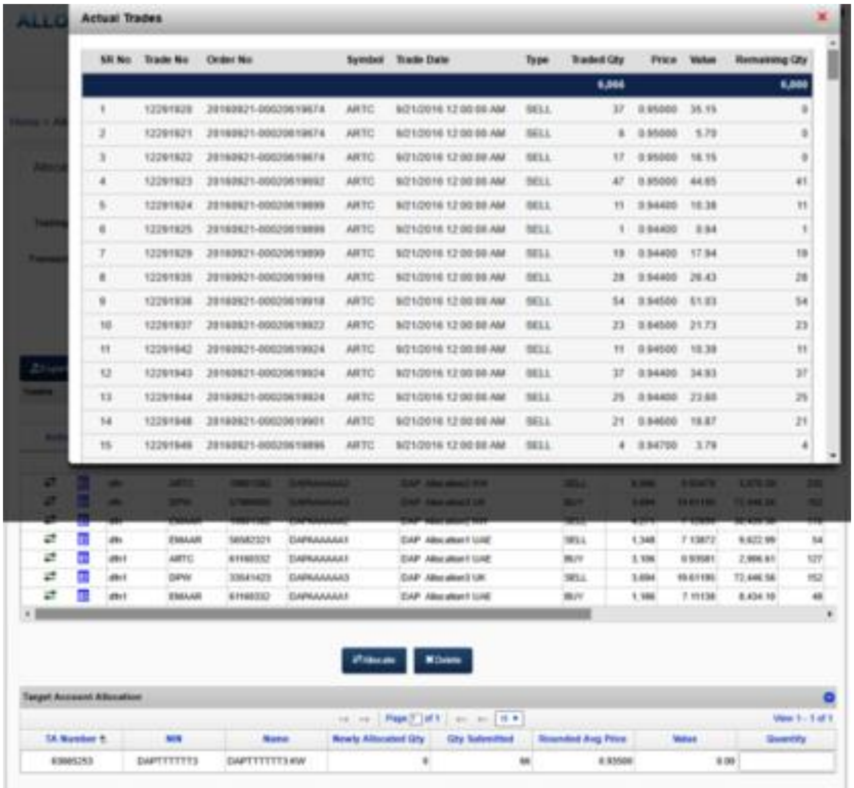
Field Description

Label	Description	Remarks
Allocate		
Trading Member drop-down	Trading Member (Specified or All)selected from the list	
Allocation Account drop-down	Relevant Allocation Account (Specified or All)selected from the list	
Allocation Account drop-down	Relevant Allocation Account (Specified or All)selected from the list	
Allocation Account drop-down	Relevant Allocation Account (Specified or All)selected from the list	
Allocation Account drop-down	Relevant Allocation Account (Specified or All)selected from the list	
Trades Grid		
Member Code	Trading Member Code	
Symbol	Symbol in which trade is executed	
AA Code	Relevant Allocation Account Code	
NIN	Investor's Trading Member's Identification Number	
Name	AA Name	
Type	Transaction Type Buy or Sell	
Traded Qty	Transaction/Trade Quantity	
True Avg Price	True Average Price	
Value	Transaction Value	
Trade Count	Number of Trades fetched	

Field Description

Label	Description	Remarks
Allocation created Qty	Quantity Allocated to TAs	
Allocation uncreated Qty	Quantity remaining Un-allocated	
Qty with AA	Total quantity with AA (Allocated and Unallocated)	
Submitted to TA	Total quantity allocated to TA	
Submitted to AAA	Total quantity submitted to AAA	
Details button	Shows detail of the current selected row's trade count	
Allocate button	Shows allocate and delete buttons to allocate/delete allocations	

Market Trade Details:
On clicking on the details button in the Trades View, system will show the details of the Market Trade done during the trading session. While doing the allocation create, system internally the picks the trades which will be considered as part of allocation create based on the allocate quantity. Remaining Qty will show the quantity from each trade which is still not considered for any allocation.



Allocation to Target Account:
In the Trades View, click on the allocate icon, the Target Account Allocation grid will display the target accounts which are already mapped to the Allocation Account selected and any previous allocations created, if any.

Field Description

Label	Description	Remarks
Target Account Allocation		
TA Number	Target Account Number to which the Market Trade needs to be allocated	Target Account mapping has to be done before performing allocation.
NIN	NIN of the Target Account	
Name	Name of the Target Account	
Newly Allocated Qty	This will reflect the quantity that is entered for allocation considering any pervious allocation performed	If Qty Submitted is 0 then the Quantity entered will become the Newly Allocated Qty If Qty submitted is greater than 0 then difference between the Quantity field and Qty Submitted will become Newly Allocated Qty. Refer the Example below
Qty Submitted	Qty submitted as part of Submit Allocation action performed	
Rounded Avg Price	The weighted average price rounded to the nearest tick size of the symbol	
Value	The value of the new allocation created based on the Newly Allocated Qty and Rounded Avg Price	
Quantity	Quantity to be allocated	If Qty submitted is 0 then the Quantity entered will be considered for allocation If Qty submitted is greater than 0 then the new allocation will be created for difference between Quantity and Qty Submitted Refer the Example below

Example:

Scenario 1: (Allocation not yet submitted to X-Stream)

1. Quantity entered for allocation = 50
   - New Allocation entry will be created for 50
2. Quantity entered for allocation = 60
   - System will change the allocation entry to Newly Allocated Qty to 60

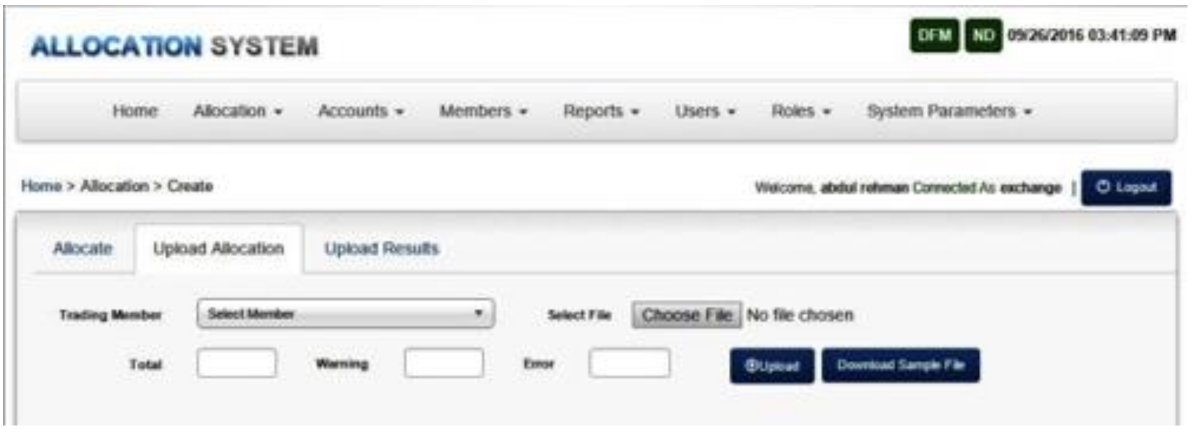
Scenario 2: (New Allocation creation after successfully submitting some partial allocations to X-Stream)

1. Quantity entered for allocation = 50
   - New Allocation entry will be created for 50.
   - Final Submission performed and Submitted successfully to X-Stream
2. Quantity entered for allocation = 60
   - System will check if there is any Qty Submitted previously.
   - If Qty Submitted previously is greater than 0, system will create the Newly Allocated Qty as 10 (60-50). For trades allocation quantities less than or equal to the submitted quantity system will prompt error and disallow.

Notes: If there is any change in the Market Trades captured previously for an Allocation Account and user does an action for Allocation Create or Submit Allocation, system will prompt appropriately. If the Market Trade Quantity has reduced due to trade cancellation in the market then the user will be forced to delete the allocation created and perform the Allocation Create action again.

5.1.2. Upload Allocation

Allocations can be created using Excel file upload option. Brokerage companies can have their back office enhanced to perform allocation in their system and extract the log and upload to DAP system for Final Submission to X-Stream.



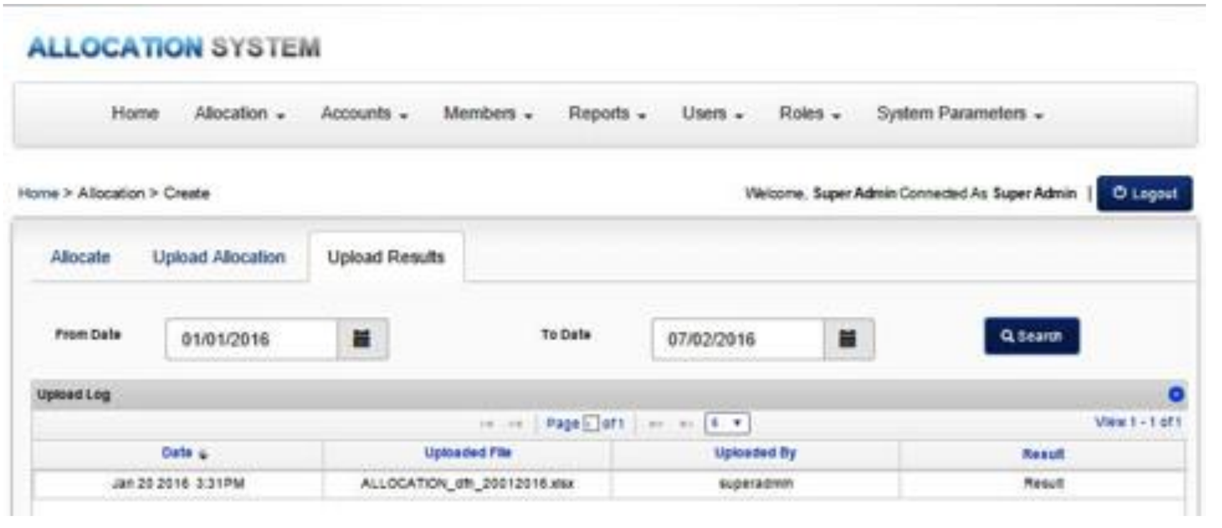
Usage;
This screen is used to
Upload Allocation entries Trading Member wise by selecting the excel file and upload button
View the upload Results.

Access to this Screen;
To access this screen log on "Allocation --> Create --> Upload Allocation " menu.

Field Description

Label	Description	Remarks
Upload Allocation		
Trading Member drop-down	Trading Member of the user logged in	
Select File	The file to uploaded for the allocation creation	
Symbol drop-down	Symbol (Specified or All)selected from the list	
Upload Button	Upload Button when clicked, uploads relevant Target Accounts Allocations information that are available in the excel file selected	Update or Re-allocation via upload will require the final allocation details and Deletion of the existing Allocation first as file upload is not incremental. For deleting any previous allocation entry either upload blank file or go to Create screen and delete the allocation entry
Download Sample File Button	This creates an empty template file with the allocation file format	

5.1.3. Upload Allocation



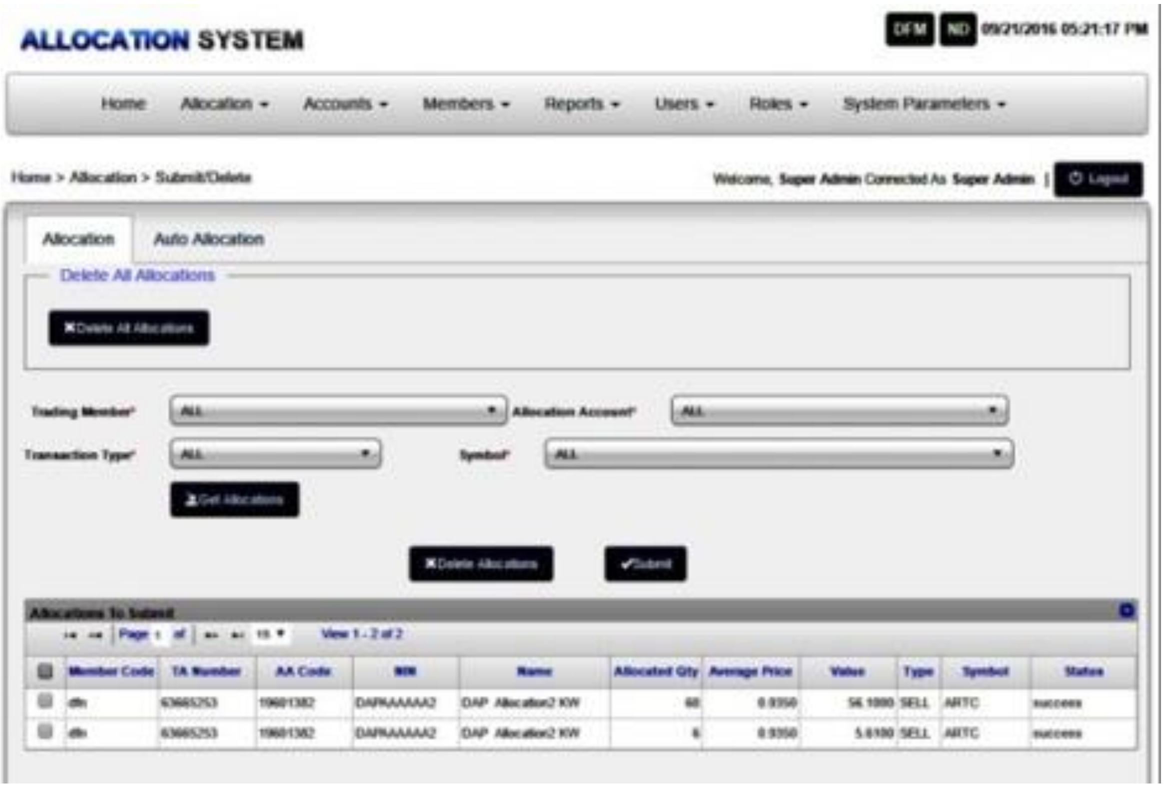
Usage;
This screen is used to view the Results of Upload for the Allocation from file, within the specified date range. When a User clicks at Result field of a log file in the grid, that file with be downloaded locally. The file contains allocation activity log.

Access to this Screen;
To access this screen log on "Allocation --> Create --> Upload Results" menu.

Field Description

Label	Description	Remarks
Upload Results	screen	
From Date	Starting range Date is entered here	
To Date	Ending range Date is entered here	
Search button	Click on Search populates the Upload Log detail grid	
Upload Log	detail grid	
Date	Shows date and time of the allocation log file (within the specified date range)	Date
Uploaded File	Shows allocation log file name	Uploaded File
Uploaded By	Shows ID of the user who performed allocation	Uploaded By
Result	Value Result is shown against every record. Click on this will download the selected log file in pdf format	

5.2. Submit/Delete



Usage;
This screen is used to
Submit the Allocations created either manually or Upload using Get Allocations button, after selecting Trading Member, Allocation Account, Transaction Type Buy or Sell and Symbol,
Delete the Allocations created either manually or Upload using Delete Allocations button

Access to this Screen;
To access this screen log on "Allocation --> Create --> Submit/Delete " menu.

Field Description

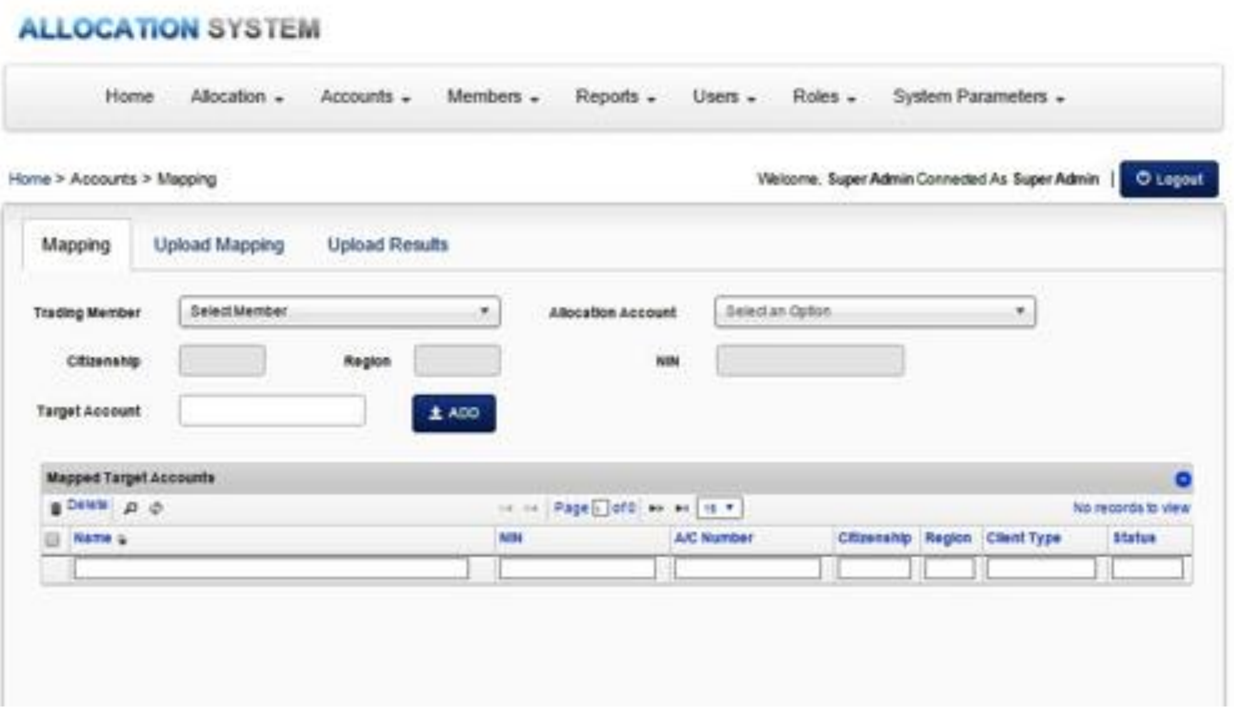
Label	Description	Remarks
Trading Member drop-down	Trading Member	
Allocation Account drop-down	Relevant Allocation Account (Specified or All)selected from the list	
Transaction Type drop-down	Trade Transaction Type (Buy/Sell)selected from the list	
Symbol drop-down	Symbol (Specified or All)selected from the list	
Get Allocation Button	To retrieve the latest allocations created either manually or file upload	
Delete All Allocations Button	This will delete all the allocation records in detail grid	
Delete Allocations Button	This will delete the allocation record selected through relevant Check-box or for all records check the Check-box at the top.	
Submit Button	This will submit the selected allocations to X-Stream.	
Allocations to Submit Grid		
Check-box	If checked, selects the record.	Check-box at the top, if checked, selects all records in the grid
Member code	Trading Member code of the user logged in.	
TA Number	Target Account Number	
AA Code	Allocation Account Number	
NIN	NIN of Target Account Number	
Name	Target Account name	
Allocated Qty	Quantity Allocated to this TA	
Average Price	Rounded Average Price	
Value	Value against the allocated quantity	
Type	Transaction Type Buy or Sell	
Symbol	Symbol against which allocation done	
Status	Status of submission of allocation	Pushed to X-Stream in case of submit button clicked. Success if the submission is successful Failed Validation if the allocation is rejected due to X-Stream Validation Failed if the allocation submit has failed

6. Accounts

This menu is meant for Accounts Mapping (TA accounts with AA accounts) from front end as well as through uploading of mapping file, upload and view log files and Sync AA Accounts (DAP with Equator). Also, View Accounts Mapping of Member(s) using Search
Please refer to menu options.

6.1. Mapping

6.1.1 Mapping



Mapping Screen

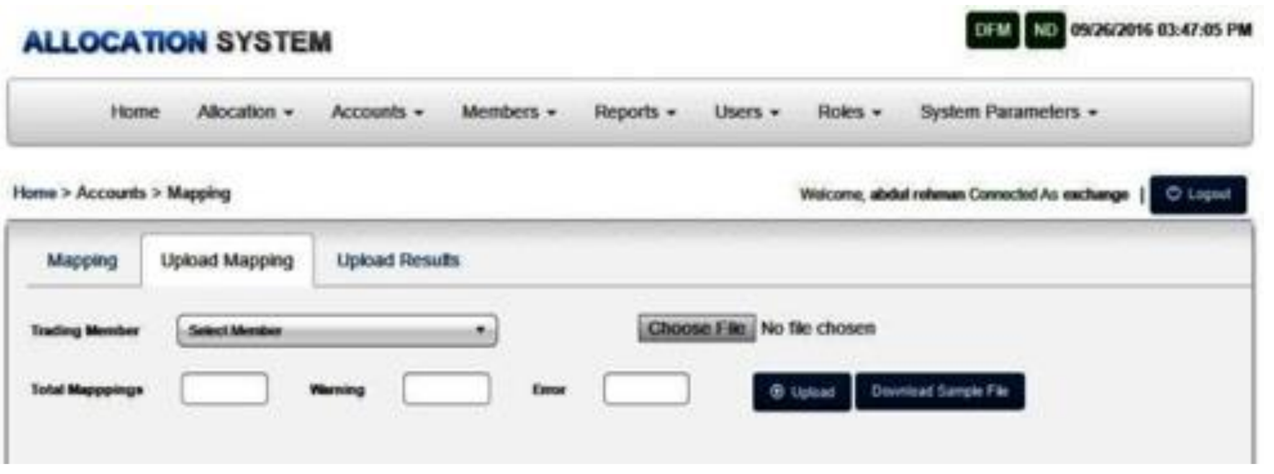
Usage;
This screen is used to
Add/update Target Accounts in DAP from Equator and
Map them with relevant Allocation Account,
Also, if required, delete existing mapped Target Account from the detail grid, in DAP.

Access to this Screen;
To access this screen log on "Accounts --> Account Mapping --> Mapping " menu.

Field Description

Label	Description	Remarks
Trading Member drop-down	Trading Member	
Allocation Account drop-down	Relevant Allocation Account is selected from the list	
Citizenship	Selected Allocation Account's Citizenship is displayed	
Region	Selected Allocation Account's Nationality Group is displayed	
NIN	Selected Allocation Account NIN is displayed	
Target Account	A valid Target Account Code is entered to add	
ADD button	Click on ADD button shall fetch details of the Target Account Code entered to add, from Equator and add/update DAP. If the Target Account is not found in Equator, DAP shall not add it and show error	While mapping system will validate if the Nationality group of the AA and TA are same. If different appropriate error will be displayed.
Allocations to Mapped Target Accounts	detail grid	
Delete button	If clicked, deletes the selected/checked TA mapping record	
Check-box	Checking a check-box will select that TA Mapping for deletion. Checking the check-box at the column head will select all the records in the grid for deletion	
Name with Asc/Desc Sort Caret	Target Account Name is displayed here Records can be sorted in Ascending/Descending order	
NIN	NIN of the Target Account is displayed here	
A/C Number	Target Account Number is displayed here	
Citizenship	Citizenship of the Target Account is displayed	
Region	Nationality group of the Target Account is displayed	
Client Type	Relevant Client Type in Equator is displayed	
Status	Target Account Status (Active/In-active) is displayed here	

6.1.2 Upload Mapping



Upload Mapping Screen

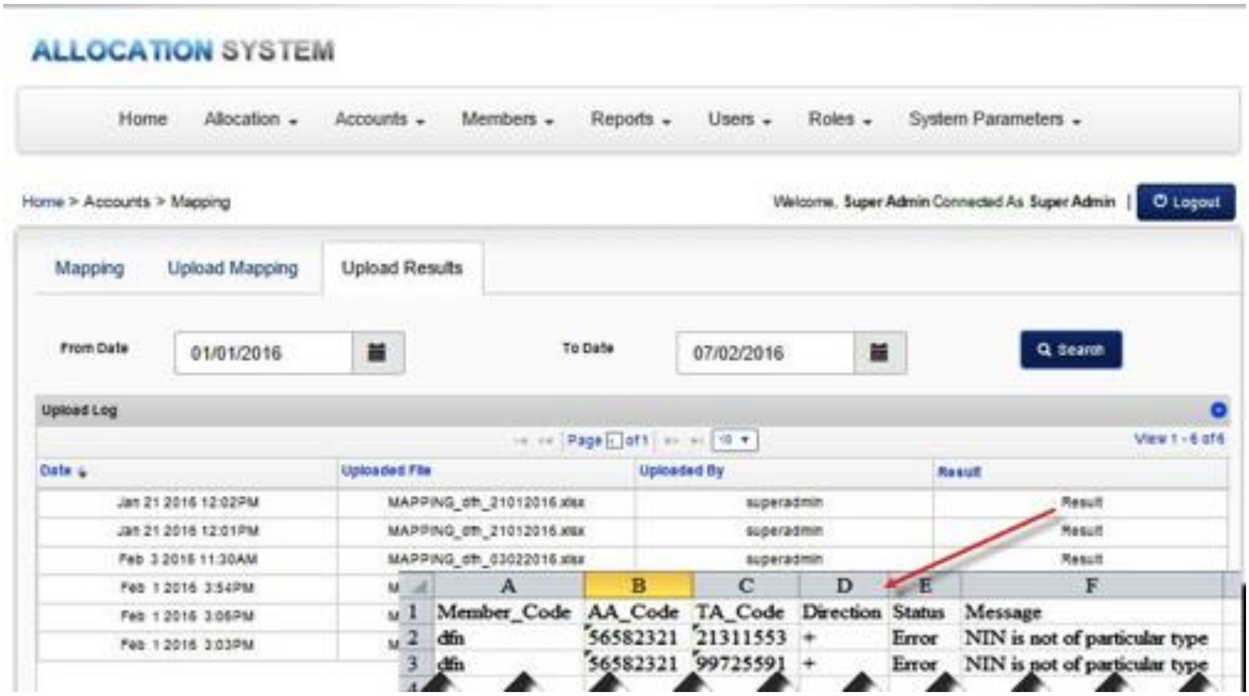
Usage;
This screen is used to select Trading Member, Map relevant Target Account Mapping with relevant Allocation Account, or if required, delete existing Target Account(s) Mapping through a MS Excel file (with a specific format) upload, in DAP.

Access to this Screen;
To access this screen log on "Accounts --> Mapping --> Upload Mapping " menu.

Field Description

Label	Description	Remarks
Upload Mapping		
Trading Member drop-down	Trading Member	
Choose File button	Relevant Allocation Account (Specified or All)selected from the list	
Total Mappings	Total number of Target Accounts Mapping Records in the file, is displayed here	
Warning	Total number of Warnings against Target Accounts Mapping Records in the file, is displayed here	In case of warning file shall upload.
Error	Total number of Errors against Target Accounts Mapping Records in the file, is displayed here	In case of error file will not upload in to DAP
Download Sample File Button	This creates an empty template file with the mapping file format	
Upload Button	Upload Button when clicked, uploads relevant Target Accounts Mappings from the file in the Pre-Specified Format	

6.1.3 Upload Results



Upload Results Screen with Log File

Usage;
This screen is used to view Upload Results for the Trade Member-wise TA to AA mapping, Accounts Mapping uploaded file Logs, within the specified date range.
When a User clicks at Result field of a log file in the grid, that file with be downloaded at the navigable defined location. The file contains mapping activity log.

Access to this Screen;
To access this screen log on "Transactions --> Account Mapping --> Upload Results " menu.

Field Description

Label	Description	Remarks
Upload Results	**screen**	
From Date	Trading Member	
To Date	Relevant Allocation Account (Specified or All)selected from the list	
Search button	Total number of Target Accounts Mapping Records in the file, is displayed here	
Upload Log	**detail grid**	
Date	Shows date and time of the allocation log file (within the specified date range)	
Uploaded File	Shows allocation log file name or Screen Entry	
Uploaded By	Shows ID of the user who performed mapping	
Result	Value Result is shown against every record. Click on this will download the selected log file	Please see the image above that shows a sample file uploaded

6.2. Sync Allocation Accounts

Sync Allocation Accounts Screen

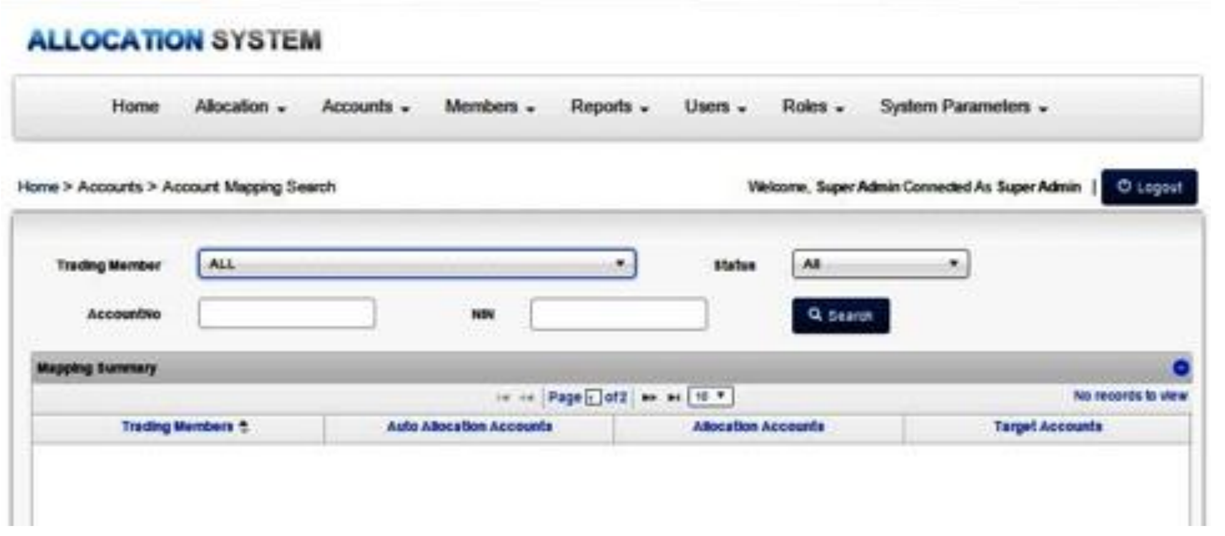
Usage;
This screen is used to synchronize DAP system with Allocation Accounts created in Equator. By default it will be configured on the system to synchronize at different time intervals. If the Brokerage user can’t find the required Allocation Account during Account mapping, may choose to Sync Allocation Accounts.

Access to this Screen;
To access this screen log on to "Accounts --> Sync Allocation Accounts" menu.

Field Description

Label	Description	Remarks
Sync Now Button	This button, when clicked on, synchronizes All Accounts data by fetching it from Equator	Success message will be prompted on completion

6.3. Account Mapping Search



Account Mapping Search Screen

Usage;
This screen is used to view mapping of Target Accounts with relevant Allocation Accounts and Trading Member(s) hierarchically, in DAP.

Access to this Screen;
To access this screen log on "Accounts --> Account Mapping Search " menu.

Field Description

Label	Description	Remarks
Account Mapping Search		
Trading Member drop-down	Trading Member	
Status drop-down	Filter to search as per Trading Member Status	
Search button	Click to fetch records in the grid below	
Mapping Summary	detail grid	
Trading Members Can be Sorted	Queried Trading Members' displayed here	
Auto Allocation Account	Relevant AAA accounts displayed here	
Allocation Account	Relevant AA accounts displayed here	
Target Accounts	Relevant TA accounts displayed here	

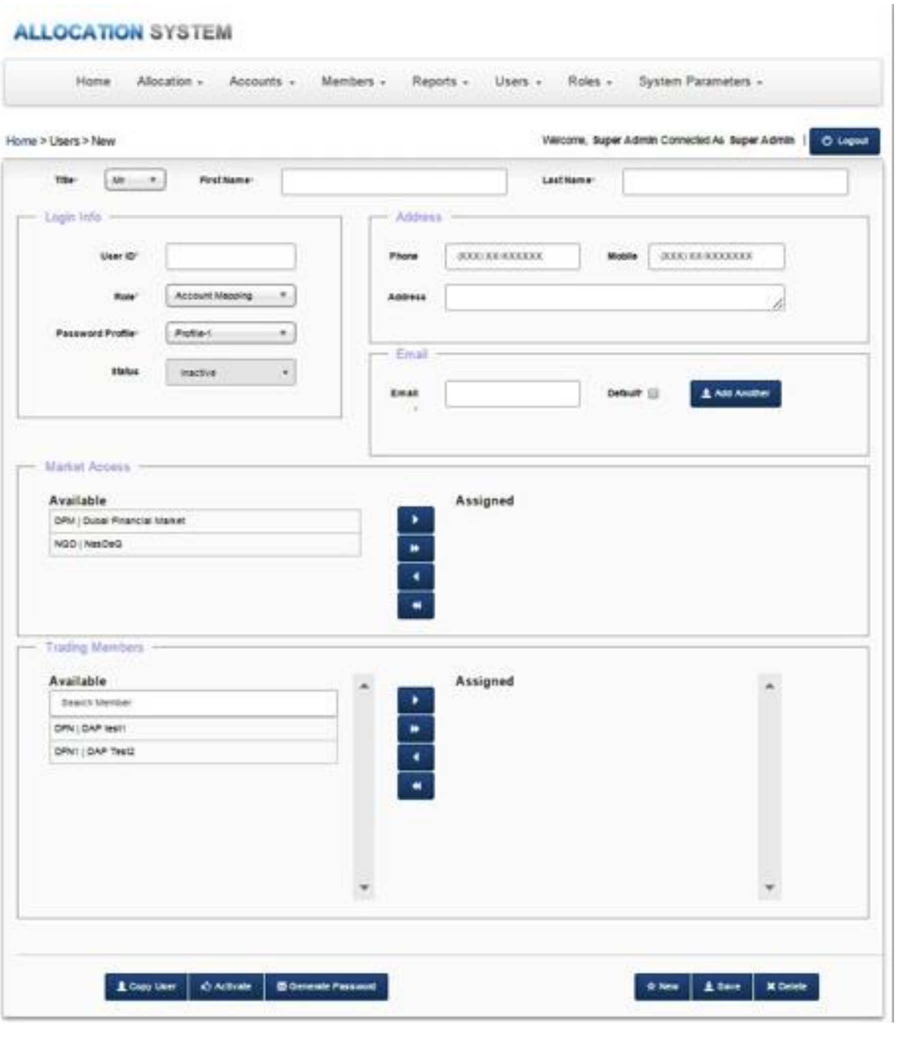
Field Description

Label	Description	Remarks
Account Mapping Search		
Trading Member drop-down	Trading Member	
Status drop-down	Filter to search as per Trading Member Status	
Search button	Click to fetch records in the grid below	
Mapping Summary	detail grid	
Trading Members Can be Sorted	Queried Trading Members' displayed here	
Auto Allocation Account	Relevant AAA accounts displayed here	
Allocation Account	Relevant AA accounts displayed here	
Target Accounts	Relevant TA accounts displayed here	

7. User

For each Trading Member Market will create one broker admin user to access DAP system with relevant entitlements and Market access. Using this admin user, Trading Member can create and manage sub users.

7.1 New User



New User Screen

Usage;
This screen is used to define a DAP user with his Role and Entitlements.

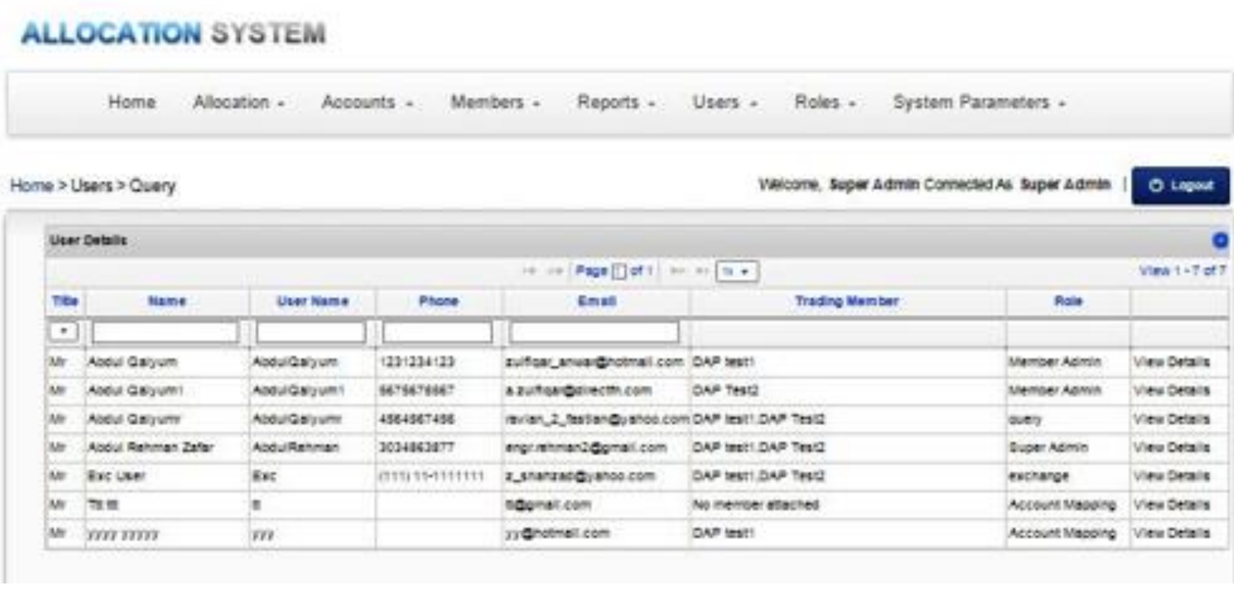
Access to this Screen;
To access this screen log on "Users --> New User " menu.

Field Description

Label	Description	Remarks
Title	Salutation Mr.,Miss or Mrs. is selected	
First Name	User's first name is entered	
Last Name	User's last name is entered	
Login Info		
User ID	User's login ID is defined	
Role Drop-Down	One of the Roles is selected from the list	
Password Profile Drop-Down	One of the Password Profiles, is selected from the list and mapped	
Status Drop-Down	Options available are Inactive, Active or Blocked	
Address		
Email	User's email address is defined	In case of one email address, it is considered default email address for communication by the system
Add another Button	This is when user has more than one email address	
Default Check-box	In case of more than one email addresses, this check-box is checked when defining the default email address	Or through Edit option in the grid

Label	Description	Remarks
Detail grid columns below One row for a record		
Email	Email address	
Default	Yes appears if default email address	
Edit	Click on Edit shall allow to edit this email record	
Delete	Click on Delete shall allow to delete this email record	
Phone	User's land line phone no. is entered	
Mobile	User's mobile phone no. is entered	
Address	User's address is entered	
Market Access		
Available	Under this column Markets available in the system are listed. These may be assigned to the current user using the Function Buttons	
Assigned	Under this column Markets assigned to this user, are listed. Markets may be un-assigned from the assigned list using the Function Buttons	
Buttons		
Copy User	Click on this button will copy common values from previously defined user	
Activate	Activates the user	
Generate Password	Generates password and emails it on current users default address	On first login with the generated password, the user is asked to change his password
New	This button refreshes current screen	
Save	Saves current user	
Delete	Deletes current user	

7.2 Query



Query Screen

Usage;
This screen is used for query to search, view/edit details and/or delete a user.

Access to this Screen;
To access this screen log on "Users --> Search User " menu.

Usage;
This screen is used for query to search, view/edit details and/or delete a user.

Access to this Screen;
To access this screen log on "Users --> Search User " menu.

Field Description

Label	Description	Remarks
User Details Grid		Caret to Expand/Collapse Details
Page swapping both directions	Pages can be swapped single or end to end	
Per page Grid max. no. of rows	Selectable 15, 20 or 25	
Grid Column heads Ascending/Descending or no sort	-- Clicking on a column, based on it switches records to Sort	
where available	-- Records may be searched using filter below column heads	
Title	Mr./Miss/Mrs. As appropriate displayed against record	
Name	User's registered full name displayed	
User Name	User's ID for login displayed	
Phone	User's registered phone no. displayed	
Email	User's registered email address(es) displayed	For more than one email addresses one of them is marked as default and shall be used for communication
Trading Member	The Assigned Trading Member	
Role	Assigned Role is displayed here	
Edit	View Details caption is displayed against every record. Click at one shall route to that user's record to view or edit	

7.2.1 View Details

View Details Screen

Usage;
This screen is used to View user details, Activate, Generate Password for, Edit, Update or Delete, a User.

Access to this Screen;
To access this screen log on "Users --> Query --> View Details " menu.

Field Description

Label	Description	Remarks
Title	Salutation Mr.,Miss or Mrs. is selected	
First Name	User's first name is entered	
Last Name	User's last name is entered	
Login Info		
User ID	User's login ID is defined	
Role Drop-Down	One of the Roles is selected from the list	
Password Profile Drop-Down	One of the Password Profiles, is selected from the list	
Status Drop-Down	Options available are Inactive, Active or Blocked	Default Status is Inactive for the new user defined. He is required to be activated
Address		
Email	User's email address is defined	In case of one email address, it is considered default email address for communication by the system
Add another Button	This is when user has more than one email address	
Default Check-box	In case of more than one email addresses, this check-box is checked when defining the default email address	Or through Edit option in the grid

Usage;
This screen is used to View user details, Activate, Generate Password for, Edit, Update or Delete, a User.

Access to this Screen;
To access this screen log on "Users --> Query --> View Details " menu.

Field Description

Label	Description	Remarks
Title	Salutation Mr.,Miss or Mrs. is selected	
First Name	User's first name is entered	
Last Name	User's last name is entered	
Login Info		
User ID	User's login ID is defined	
Role Drop-Down	One of the Roles is selected from the list	
Password Profile Drop-Down	One of the Password Profiles, is selected from the list	
Status Drop-Down	Options available are Inactive, Active or Blocked	Default Status is Inactive for the new user defined. He is required to be activated
Address		
Email	User's email address is defined	In case of one email address, it is considered default email address for communication by the system
Add another Button	This is when user has more than one email address	
Default Check-box	In case of more than one email addresses, this check-box is checked when defining the default email address	Or through Edit option in the grid
Detail grid columns below for a record		One row
Email	Email address	
Default	Yes appears if default email address	
Edit	Click on Edit shall allow to edit this email record	
Delete	Click on Delete shall allow to delete this email record	
Phone	User's phone no. is entered	
Mobile	User's mobile phone no. is entered	

Label	Description	Remarks
Detail grid columns below for a record		One row
Email	Email address	
Default	Yes appears if default email address	
Edit	Click on Edit shall allow to edit this email record	
Delete	Click on Delete shall allow to delete this email record	
Phone	User's phone no. is entered	
Mobile	User's mobile phone no. is entered	
Address	User's address is entered	
Market Access		
Available	Under this column Markets available in the system are listed. These may be assigned to the current user using the Function Buttons	
Assigned	Under this column Markets assigned to this user, are listed. Markets may be un-assigned from the assigned list using the Function Buttons	
Buttons		
Copy User	Click on this button will copy common values from previously defined user	
Activate	Activates the user	
Generate Password	Generates password and emails it on current users default address	On first login with the generated password, the user is asked to change his password
New	This button routes to New User screen	
Save	Saves current user	
Delete	Deletes current user	