

CSAAS CORE FEATURES

(Updated: 03-May-05)

EDITING

1. All records are locked from changes when a form is first opened
2. Any changes you make are automatically saved when you go from one record to another
3. A record is automatically locked when you go from one record to another, or close the form.
4. You can click on the Unlock button (🔑) or press Alt-U on the keyboard to unlock a record.
5. Some key fields are only editable when new data is being entered; these fields are never unlocked for security reasons. For example, a client's name can be entered or modified only when that client's information is created. Only database administrators can modify that afterwards. The same principle applies to Company Names and other important fields.
6. The Unlock button (🔑) is not available to those users who do not belong to a role that has "Edit" permission for a form.

SEARCHING

7. Successful searching requires selecting the following three criteria:
 - a. Find What: Enter the first few characters of what you are looking for
 - b. Match:
 - i. Whole Field (Default Setting)
 - ii. Any Part of Field (Most likely to work)
 - iii. Start of Field
 - c. Search Fields as Formatted: Mark Checkbox

SECURITY

8. Initially everyone is assigned a login ID without a password.
9. To change your password, click on the Change Password button on the Main Menu. Leave the "Enter Old Password" field blank and enter your new password in the "Enter New Password" field and in the "Re-Type New Password" fields. Then click on the Change Password button. You will be given a message that your password has changed. Otherwise, you will get an error message and your password will reset to the old password.





The screenshot shows a 'Change Password' dialog box. At the top, there's a title bar with the text 'Change Password' and a close button (X). Below the title bar, the text 'PSS1' is displayed. The main area contains three input fields, each with a label and a '>>' symbol: 'Enter Old Password >>', 'Enter New Password >>', and 'Re-Type New Password >>'. To the right of the first input field is a button labeled 'Change Password'. Below the second and third input fields is a button labeled 'Cancel'.

10. Each user's account has access based on their role. If you get a message, "You don't have permission to access this feature!" and need access to that feature, please contact Deepak. He will be able to grant you access to the features that you need.

REPORTS

11. Generally, the Preview and Print buttons will generate a report for the current record. The "Preview All" button is being provided to allow previewing and printing all the records associated with that form.

12. The following button-icons are used for printing and previewing:

Print the Current Record	Preview the Current Record	Preview All Records	Preview Blank Report
			

13. To print a report that is currently being previewed, right-click on the report and select "Print..." from the menu.

FORMS

14. Several forms have been made accessible via the Main Menu and footer-area of the Trade Form.

15. Where applicable, details of trades and current portfolio positions are displayed in separate panels. The Trades panel displays the total traded quantities for each type of security by date of transaction. The Current Position panel displays the quantities based on current holdings. The Current Value of each security held is displayed at the bottom-right of the form. Bond values are adjusted by using a factor of $1000 / 100 = 10$ with the latest price.

TRADE FORM

16. Except for the Trade Model and the Spread/Price Calculations, most of the Trade Form concept is working and in place.


17. The Trade Form covers three types of transactions:

- a. Quotes
- b. Trades
- c. Executed Trades

The following table summarizes how the system identifies these three types of transactions.





Quote	Trade	Executed Trade
Quote: <input checked="" type="checkbox"/> <input type="checkbox"/> :Trade	Quote: <input type="checkbox"/> <input checked="" type="checkbox"/> :Trade	Quote: <input type="checkbox"/> <input checked="" type="checkbox"/> :Trade

A Quote becomes a Trade when quantities are entered in any of the quantity fields. A Trade becomes an Executed Trade, when the "Save & Execute" button is clicked and the portfolio allocations are posted.

Existing Quote and Trade transactions CAN be modified after clicking on the Unlock button. An Executed Trade CANNOT be modified. However, for final postings a Master Unlock button () is provided. This button will be available only to users with "Manager" Roles.



18. Presently, when you select a different Trade Type, only the fields related to the selected Trade Type are enabled, the others are disabled for data entry. I have taken this approach so that we can fine-tune the

user-interface later (based on your template guidelines). If you want, in later versions, only the enabled fields will be displayed, other fields will be hidden.

19. In the Quote-Trade History panel, for easy visualization, displays different color backgrounds for Sale, Purchase and Quotes.
20. The Trade Form has lots of shortcuts through mouse double-clicks to get you to the information you need more quickly. For example, in the Quote-Trade History Panel, if you want to go to a specific transaction, just double click on either the Date/Time or the Trade column, and you will be automatically taken to that transaction.
21. Similarly, double-click the Company Name to view the details about that company on the Company Form.
22. When enabled, double-click on the ticker fields for the Convertibles, Stocks, Straights, CDS and Futures to take you to the details of those individual securities.
23. Double-clicking on an empty ticker field will generate an error message.
24. In the Holdings Summary Panel, the Futures column will be hidden for all trade types, except Futures
25. The Trade Report button will automatically display today's Trade Report. To view another date's Trade Report, use this button  next to the Trade Report button.
26. All the form buttons at the bottom of the screen prompt for entering a search parameter. If you enter just the first few characters and all the matches will be displayed for you. If you want to see "All" the records, just hit Enter when prompted for a parameter. This works for all parameters, except for dates.
27. Date prompts always require a date entry. In date entries, if you don't specify the year, the system will assume the current year. For example, entering "8/20" will be treated the same as "8/20/03" or "08/20/2003"
28. To enter information regarding Broker-Dealer and Prime Dealer trade confirmation, click on this button  located next to the confirmation area and enter the information in the Trade Confirmation Dialog box. The data entered will be automatically displayed on the Trade Form when the dialog box is closed.
29. The Quote-Trade History Panel displays the most recent transactions at the top. To view a larger display of the history of the current company's transactions, click on this button  near the header of the history panel.
30. To view a larger display of ALL the quotes and trades in the system, click on this button  near the header of the history panel.
31. Next to the trade quantities for Convertibles, Stocks and Straights, small boxes () have been added to indicate the type of trade that has occurred. These entries are created based on the current portfolio holding for that security. These boxes are editable under the same conditions as the other fields of the Trade Form. Valid values for these boxes are:
 - BL = Buy Long
 - BC = Buy to Cover
 - SL = Sell Long
 - SS = Sell Short

TRADE ALLOCATION FORM

32. When a trade is executed, the Trade Allocation Form is displayed automatically. Please verify that trade allocations to the various portfolios were correctly calculated.
33. You can change the quantities assigned before sending confirmation emails to the Broker-Dealers and Prime Dealers.

34. If there are any mismatches in any of the quantity totals, the system will warn you when you try to close that form, and abort the closing process.
35. If you continue trying to close the form with an error in the trade allocation data, you will get three warning messages before you will be able to close this form. Please note the Trade Reference Number on the form and inform your manager about the trade allocation error. Your manager will be able to fix the problem.
36. Always confirm that the trade allocations are correct before sending Emails to Broker-Dealers and/or the Prime Brokers.
37. For trade quantities > 100, round off is done to 100s for the first portfolio(s). Odd lots are assigned to the last portfolio in the Allocation Order (which can be changed on the Portfolio Form).
38. Similarly, for trade quantities of <= 100, round off is done to an integer value
39. The email creation logic for Broker-Traders is based upon the type of trade. All Convertible trades will be emailed to the Convertibles Desk of the Broker-Dealer. Except for Convertibles, all Stock trades will be always emailed to the Stocks Desk.
40. In some cases multiple emails will be generated for sending to different trading desks
41. The text in the body of the email is created based on the actual trade parameters.
42. Because trade allocation changes will typically affect multiple records, the "Unlock" button will unlock all records being displayed to avoid unlocking of each individual record.
43. The Prime Broker and Broker-Trader email options each have a second button (). Use the second button, if the first button fails to respond. This has been done to avoid a bug in the MAPI code in the Win32 API that fails to re-launch the email utility. The second email buttons () are designed to work exclusively with Outlook (any version).

REFRESH CSAAS

44. If you get any errors while working with CSAAS, close the application and then click on the "Refresh CSAAS" button on your workstation's Windows desktop
45. The "Refresh CSAAS" button overwrites the local copy of CSAAS with the latest version of CSAAS on the server.
46. The current version number and date when the software was released is indicated on the right of the Main Menu. In the early stages, new features are being added to the software every day.
47. If the date on the Main Menu is older than a few days, refresh your copy of CSAAS by closing it first, then clicking on the Refresh CSAAS button on the desktop of your workstation.
48. If you get any unexpected error messages, then please do as follows:
 - a. Make a note of the error message
 - b. Close CSAAS
 - c. Click on the Refresh CSAAS button on your system's desktop
 - d. Start CSAAS and continue doing what you were doing when the error occurred.
 - e. If the error persists, please inform Deepak