



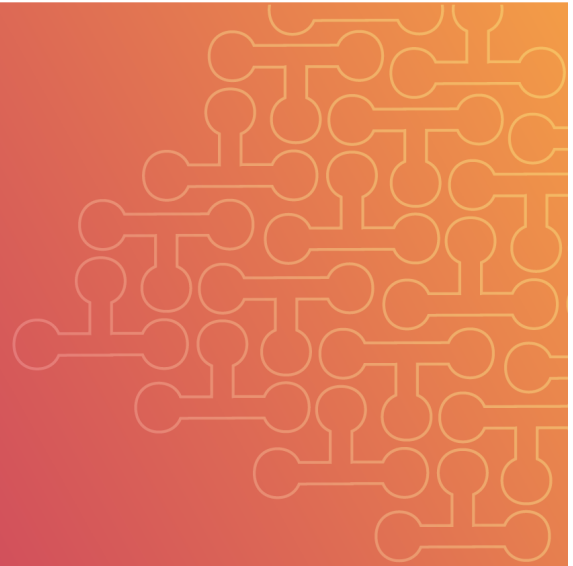
# APL Billvue System

## User Guide

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# Chapter 1: About This User Guide

## 1.1 What is APL?

The APL system is an on-line, real-time portfolio management system developed and maintained by Fiserv. The system includes a relational database with pricing for more than 65,000 securities. Users can obtain up-to-date portfolio valuations, tax and broker fee reports, client bills, and a wide variety of performance reports.

## 1.2 What is APL Billvue?

APL Billvue is a fully integrated billing system that part of the APL Infodex system. It enables the user to control when and how market values used in billing are calculated; including complex and interrelated fee calculations. It can accommodate an array of bill adjustments and produces standard and easily customized reports and bill formats.

APL Billvue is a component in the modular APL system. With it, a firm can design a complete billing process to meet a wide variety of needs. As with most APL functions, users may schedule various Billvue functions to run periodically for designated groups of accounts, minimizing manual intervention.

## 1.3 Conventions used in this guide

**Note:** The APL system is highly configurable. These examples and illustration are of screens that are typical. However, individual firms may have modified these menus to meet their unique needs.

Key tops	Key tops are in a bold font with small capitals. ESC, SHIFT, CTRL, and G represent Escape, Shift, Control, and G keys respectively
Keyboard sequences	<ul style="list-style-type: none"><li>• Keys that are to be pressed and held down are separated by a + sign. For example, “CTRL+C” means “press and hold the Control key, then press the C key.”</li><li>• Keys that are to be typed sequentially are separated by a comma.</li></ul>

<b>Key tops</b>	<b>Key tops are in a bold font with small capitals. ESC, SHIFT, CTRL, and G represent Escape, Shift, Control, and G keys respectively</b>
	“ALT, F” means “press the Alt key, then release it and press the F key.”
<b>Screens</b>	Screens are represented by unit spaced text inside a shaded background. Although a standard screen displays lines of 80 characters, the number of lines shown may vary, depending on whether or not a full screen is represented.  This is an example of a screen with two lines.
<b>Screen text</b>	When screen text is referenced outside of the screen (for example, as in the name of a command), a unit spaced font is used. This is an example of screen text.
<b>Reports</b>	Report output is shown inside a three-sided black frame, representing the top of a printed page. The text inside this frame is unit spaced. Reports may vary in width.  This is an example of a report.  1234 5678 9123 4567 8912 3456 7891 2345 6789 1234 5678 9123 4567 8912 3456  7891 2345 6789 1234 5678 9123 4567 8912 3456 7891 2345 6789 1234 5678 9123  4567 8912 3456 7891 2345 6789 1234 5678 9123 4567 8912 3456 7891 2345 6789

## 1.4 Using the keyboard

APL Billvue functions within the APL Windows environment. The following is an overview of keyboard shortcuts that can often be useful in working with APL Billvue. (Frequently, the most useful of the available navigation keys are typically listed at the bottom of the screen.)

### Menu option selections

There are two ways to select a menu item:

- Where menu items are identified by a number or a letter, typing this character starts the selected function or report
- Use the TAB key or DOWN ARROW key to move to and highlight the menu option. Then, press ENTER

## General function keys

These function keys work with most APL Billvue screens.

Key	Action
CTRL+L	Refresh the screen
ESC	Return to the previous screen
F1	Help menu, or displays the various options available in that function
F3	Return to the main menu
F7	Display a list of accounts or securities
F9	Display or cycle through the available values for a field
F10	Save file or execute function
TAB	Move cursor from field to field (column to column)

## Edit screen function keys

These function keys work when the editor screen is displayed.

Key	Action
F4	Search for a pattern
SHIFT+F4	Search a specific field
F5	Search for the next match to a pattern
F6	Insert blank line above current line
SHIFT+F6	Delete current line

Key	Action
F7	Recalculate values or clear search/screen
SHIFT+F7	Print screen
F8	Display special options
F9	View next screen

## 1.5 Searching database records

Some functions in APL Billvue require users to define a range of database records. The system will then display an APL Expert SEARCH FOR WHAT? prompt. At this prompt, define the account information, securities, transactions, or other data.

The following sections describe how to perform simple or complex searches within the APL Expert environment. See the APL Portfolio Administration (EXPERT) System for more information on APL Expert functions.

The syntax (format) for specifying a simple search is:

### **[FIELD] [OPERATOR] [VALUE]**

- FIELD is the field name in the database
- OPERATOR defines the type of search
- VALUE describes the search

Examples: These are examples of simple searches:

- SNAM EQ A

The EQ operator means “equal.” This search selects all records where the SNAM field begins with the letter “A”.

- RR GT 99

The GT operator means “greater than.” This search selects records where the RR number is greater than (but not equal to) 99.

- SNAM FEQ ABC

The FEQ operator means “first equal.” This search selects the first record where the SNAM field begins with “ABC.” All other records beginning with “ABC” are ignored.

- INDIV NE 0

The NE operator means “not equal.” This search selects all records where the INDIV field does not equal 0.

SQL operators can also be used

If familiar with SQL database operators, use these in place of APL Expert operators. For example:

- SNAM = ABC

is the same as

- SNAM EQ ABC

Table of operators: The following is a table of operators used in constructing searches:

Operator	SQL	Description
EQ	=	Equal to. Returns records equal to the specified value
FEQ	(none)	First equal to. Returns only the first record containing the specified value
NE	!=	Not equal to. Returns records that are not equal to the specified value
GT	>	Greater than (but not including). Returns records that are greater than the specified value
GTE	>=	Greater than or equal to. Returns records that are greater than or equal to the specified value
LT	<	Less than (but not including). Returns records that are less than the specified value
LTE	<=	Less than or equal to. Returns records that are less than or equal to the specified value
EW	(none)	Ends with. Returns records that end with the specified value

## 1.6 Other recommended user guides

The following user guides supplement the APL Billvue User Guide:

- *APL Infodex System User Guide*
  - APL Billvue is a functional extension of APL Infodex, drawing account information from the system
- *APL Windows System User Guide*
  - APL Billvue, like APL Infodex, is an application that operates in the APL Windows environment

# Chapter 2: Basic Fee Calculations

The APL Billvue System enables users to set up standard fee schedules that can be applied to one or more accounts. The Fee Schedule Editor (SCREENFEE), described in [Viewing or Updating a Fee Schedule](#).

The system accommodates five basic fee calculations:

- Fixed
- Straight Line
- Level
- Incremental
- Interval

In addition, Billvue enables several different types of standard billing adjustments:

- Minimum fee calculations
- Maximum fee calculations
- Adjustments in dollar amounts
- Adjustments in percentages (discounts and surcharges)

## 2.1 Viewing or Updating a Fee Schedule

The Fee Schedule Editor (SCREENFEE) allows users to create and edit fee schedules.

In order to add, edit, or view fee schedules, use the following steps:

1. From the EDITING SCREEN menu, select FEE SCHEDULE EDITOR (SCREENFEE) and press ENTER . The following dialog box will appear:

```
+-----+  
|Choose desired viewing option|  
|Esc to Exit|  
|-----|
```

|VIEW DATA ONLY|

|EDIT DATA|

+-----+

2. Select whether to view or edit the data in the file, and press ENTER. The following screen will appear:

+-----+

|EDIT ENTIRE FILE ?|

|-----|

|NO|

|YES|

+-----+

If YES is selected, all fee schedules will be displayed.

# Chapter 3: Editing Screen

The Billing Data Entry facility provides functions that allow users to prepare and edit account information for use in billing and fee and allocation schedules.

Based on specific needs, the functions that apply are:

- Editing billing information globally, described
- Editing billing information on the account level, described
- Establishing and editing billing classes, described
- Adding or removing data in the billing template, described

Editing a fee schedule is described in the previous chapter. See [“Basic Fee Calculations”](#)

## 3.1 Editing Account Information Globally (SCREENBILDEF)

The Default Table (SCREENBILDEF) is designed to limit the amount of setup required on individual accounts. When billing functions are run, they first look to the account to check the coding. If any required field is coded BLANK, the function will look to the default table.

The default table is useful, therefore, for coding fields that will be the same across multiple accounts. For example, if most accounts are billed in advance, the ADVARR field can be coded ADV in the default table and only accounts that are billed in arrears will need to be coded on the account level.

Additionally, to include accruals for all assets, set up the default table by setting the ACCRUL variable to INCLUD.

The default table includes some fields and columns that should not be edited. Therefore, client access to this screen is limited to view only. Please contact the account manager to make any changes.

1. Select the DEFAULT BILLING TABLE (SCREENBILDEF). The following screen will appear

```
DEFAULT BILLING TABLE EDITOR
IDXFIELDDEFALTTYPE WIDTHSORT L
-----
1 BWSTMP100
```

2 SNAM162 A  
3 STATE121 C  
4 RR06050A  
5 IVCNO 06083  
6 VALUE 062180  
7 BILL062150  
8 TYPcmb BLANK100 A  
9 BEGDTE 951231900 A  
10 FREQCy 46000 A  
11 COMBON100 A  
12FEEAGR CALC01100 A  
13 FIXED 06000 A  
14 MINMUM 06000 A  
15 RECEPT SNAM100A  
16 AVGBIL END100 C  
17 ADVARR ADVANC100C

-----  
F1-Hlp F3-Quit F4-Srch F6-Ins SF6-Del SF7-Prnt F10-Save  
-----

The columns that are relevant for setting defaults are FIELD and DEFAULT.

Column	Description
IDX	Index number (row number)
FIELD	Billing field name
DEFAULT	The field's default value
TYPE	(Internal use)
WIDTH	Field width

Column	Description
SORT	(Internal use)
L	(Internal use)

## Editing Billing Fields on the Account Level

For information that is not consistent with the default, there are two methods that can be used for editing billing fields. The Billing Fields Account Editor is more efficient for viewing/editing multiple fields for a limited number of accounts. Quick Edit allows users to quickly view/edit the same field across multiple accounts.

### Billing Fields Account Editor (BILLEDIT)

1. Select BILLING FIELDS (BILLEDIT). A window will appear. Enter search criteria

```
+-----+
|SELECT CLIENTS BY SNAM OR ACCOUNT PROFILE FIELDS|
|-----+-----|
|FUNCTION: AND|SEARCH:|
|-----+-----|
|127 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
|-----|
| Esc-Abort F1-Help F10-Go F7-List SF7-Print F8-Sort SF8-Back |
+-----+
```

2. Enter in the account identifier of the account(s) to edit and press F10. A screen will appear with the following:

```
+-----+  
|Choose desired viewing option|  
|Esc to Exit|  
|-----|  
|VIEW DATA ONLY|  
|EDIT DATA|  
+-----+
```

3. Select the viewing option and press ENTER. A screen will appear with the Infodex Billing Profile data

```
-----+  
|Infodex Billing Profiles ScreenAcct:1 of 127 |  
|-----|  
| Account Name: FITT1|  
|Short Name: FITT1Account #: 200310081Recept Snam:|  
|Begin Date: 0Frequency: 0Combon Snam:|  
|Over'd Begdte: 0How Combined:|  
|Close Date: 0Fee Agreement:|  
| Bill Method:Allocation Override:|  
|Advanc/Arrear:Billing Template:|  
|Autod:|  
|FEE AGREEMENT OVERRIDESDISABLECopy1:|  
|Fixed$:0.00Copy2:|  
|Minimum$: 0.00Copy3:|  
|Maximum$:0.00Copy4:|  
|Adjustment $: 0.00|  
|Adjustment %:|  
||  
||
```

```

||
|-----|
| F1 -HelpF3 -Exit|
|F7 -PgBackF8 -PgFwdF10-Save|
+-----+
  
```

**Note:** This screen can be customized based on user-specific needs.

Field	Description
Account Name	The full account name.
Short Name	The account short name (SNAM).
Begin Date	Billing begin date. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>Note:</b> Only a month-end date is accepted. If the account is billed on the calendar quarter it needs to have a quarter end date in that field.</p> </div>
Over'd Begdte	Override begin date. This date takes a non- month-end date.
Close Date	The date that billing on the account ends. This is typically used when an account is closed.
Bill Method	Method used to calculate bill. Press F1 to select. <ul style="list-style-type: none"> <li>• BEGEND: Average the beginning and ending value</li> <li>• DLYAVG: Average daily value</li> <li>• END: Ending market value for the period. Period corresponds with period defined in Frequency field</li> <li>• MTHAVG: Average of month-end values. This is typically used for quarterly billing</li> <li>• WTGAVG: Weighted average of daily values</li> <li>• BLANK: No billing</li> </ul>
Advanc/Arrear	Bill in advance or arrears. Press F1 to select.

Field	Description
	<ul style="list-style-type: none"> <li>• ADVANC: Bill in advance for services to be provided in the next billing period</li> <li>• ARREAR: Bill for services provided in the current billing period</li> </ul>
FEE AGREEMENT OVERRIDES	<p>Fixed \$: If the account has a fixed fee, enter the value here.</p> <ul style="list-style-type: none"> <li>• Minimum \$: If the account has a minimum fee, enter the value here</li> <li>• Maximum \$: If the account has a maximum fee, enter the value here</li> <li>• Adjustment \$:</li> <li>• Adjustment %: If there is an adjustment surcharge or discount, enter it here in either dollars or percent</li> </ul>
Account #	Account number.
Frequency	Billing frequency, expressed as the number of bills sent each year. (Monthly = 12; Quarterly = 4, etc.)
Receipt Snam	The short name (SNAM) of the person receiving the bill.
Combon Snam	The short name (SNAM) of the combined account referenced for billing.
How Combined	How the fee is split on combined accounts.
Fee Agreement	The name of the fee schedule. See <a href="#">“Viewing or Updating a Fee Schedule”</a> .
Allocation Override	(Do not use.)
Billing Template	Specifies which template is used. Controls how the bill looks.
Autod	Auto debit (Y=yes). Default is remit.
Copy 1 - 4	Account short names (SNAMs) of interested parties who receive copies of the bill.

4. If EDIT DATA was selected in Step 3, information on this screen can be edited. Move to each field using the TAB key and type over existing data. Press F10 to save changes that may have been made. If in VIEW DATA ONLY mode, press F3 to exit

## Editing Billing Fields Using Quick Edit (QKEDIT)

Quick Edit can be used to change one field across a group of accounts.

1. Select BILLING FIELDS (QKEDIT). A window will appear prompting for the database in which to find the fields being edited

```
+-----+
| Select fields from which file |
|*** Esc to Exit ***|
|-----|
|Infodex: Client Database|
|Infodex: Broker Database|
|Portvue: Client Database|
+-----+
```

2. Using the TAB or arrow keys, move to the desired database and press ENTER. The following will appear:

```
+-----+
|DO YOU WANT TO CROSS SEARCH IN THE Infodex: Broker Database|
|-----|
|NO|
|YES|
+-----+
```

3. Make selection and press ENTER. Select yes, and a window will appear prompting for the search criteria

```
+-----+
|SELECT BROKERS BY SNAM OR ACCOUNT PROFILE FIELDS|
|-----+-----|
|FUNCTION: AND|SEARCH:|
```

```
|-----+-----|
|42 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
|-----|
| Esc-Abort F1-Help F10-Go F7-List SF7-Print F8-Sort SF8-Back |
+-----+
```

4. Type the account selection and press F10. The following screen will appear:

```
+-----+
|Select fields to Quickly edit|
|*** Esc to Exit ***|
|-----|
| Account Long Name 1(LNAME1)|
| Account Long Name 2(LNAME2)|
| Account Long Name 3(LNAME3)|
| Account Long Name 4(LNAME4)|
| Address Line 1(ADDR1 )|
| Address Line 2(ADDR2 )|
| Address Line 3(ADDR3 )|
| Adj Amt Acct Override(DEBAC )|
| Adj Amt Disabler(COPY4 )|
| Adj % Rate Disabler(COPY3 )|
```

| Allocation Override(ALLOC )|  
| Allow GL payment post=YES\*/NO(GLPOST)|  
| Auto Debit(BILADJ)|  
+-----+-----+-----+  
|Esc-ExitF1-HelpF4-SearchSF5-Select ALLSF6-Clear ALL|  
|F7-Refresh SearchF8-OptionsF10-GoReturn-Select/Un-Select|  
+-----+-----+-----+

5. Use the TAB key to move to the fields to be edited and press F10. Press F5 to select all fields and press F10 to continue. The following screen will appear:

Infodex Quick Edit ScreenScreen 1 of 4

SNAMLNAME1

-----  
TEST1

SHARONKaren Mitchell BARBAN

NJ002James Sausage

B3928

BILL

B

BLAH

NJ003Mike Salad

NJ004Ben Icecream

NJ005Yolanda Yogurt

NJ006Andrea Frys

NJ007Greg Eggs

NJ008Christine Hotdog

NJ020Joe Hamburger

NJ001Lisa Pizza

NJ009Adam Sandwich

-----  
F1-HelpF2-RestoreF3-AbortF4-SearchF5-NextSF1-Fax

<- F6-Fill SF7-PrintF8-MoveSF8-Up/LowF9-PageF10-Save->

A separate screen will appear for each field selected. Press F9 to move to the additional screens.

6. Press F10 to save changes and exit the screen

## 3.2 Establishing and Editing Billing Classes (SCREENFEESECT)

The Class Default Editor (SCREENFEESECT) distinguishes between asset classes (i.e. equity v fixed income) as well as map issue types and securities to those classes. This allows certain asset classes to be billed at different levels or excluded as needed. Billvue asset classes are independent of performance classes.

1. Select CLASS DEFAULT TABLE (SCREENFEESECT). This will be opened in View Only mode. Please contact the account manager in order to make changes. The following screen will appear:

BILLING CLASS EDITOR

TYPEID/CLASECTORDESCRI

-----  
ACCRUL 12 EQUITY ACCRUALS  
ACCRUL 13 FIXED INCOME ACCRUALS  
CLASS 14 CASH  
CLASS 21 TOTAL  
CLASS 33 FIXED INCOME  
CLASS 44 CASH EQUIVALENTS  
ISSTY 14 CASH AND CASH EQUIVALENTS  
ISSTY 32 OPTIONS  
ISSTY 42 FOREIGN CURRENCIES  
ISSTY 52 CORPORATE BOND FUNDS  
ISSTY 62 MUNICIPAL BOND FUNDS  
ISSTY 72 GOVERNMENT BOND FUND  
ISSTY 123 MUNICIPAL BONDS (GEN OBLI  
ISSTY 143 MUNICIPAL BONDS (REVENUE)

ISSTY 222 OIL & GAS PARTNERSHIPS

ISSTY 232 PRIVATE INVESTMENT

ISSTY 282 COMMON STOCKS

-----  
F1-Hlp F3-Quit F4-Srch F6-Ins SF6-Del SF7-Prnt F10-Save  
-----

All issue types to be billed must be mapped to a sector in this table. The available options for the fields on this screen are described in the table on the following page.

Column	Description
TYPE	<p>There are four options:</p> <ul style="list-style-type: none"> <li>• ACCRUL : Designates the accrual flag</li> <li>• CLASS : Designates a billing class (i.e. 02= Equities)</li> <li>• ISSTY*: Designates an issue type (i.e. 28 = Common Stock, etc.)</li> <li>• SACUS : Designates an individual security (i.e. 13221 = Cash)</li> </ul>
ID / CLA	<p>Coding varies based upon identified type:</p> <p>ACCRUL:</p> <ul style="list-style-type: none"> <li>• 0 = accruals are excluded</li> <li>• 1 = included</li> </ul> <p>CLASS: Designates the class description. Some are standard others may be designated. The standard classes are listed below:</p> <ul style="list-style-type: none"> <li>• 1 = Total</li> <li>• 2 = Equities Only</li> <li>• 3 = Fixed Income Only</li> <li>• 4 = Cash and Cash Equivalent</li> </ul> <p>ISSTY: Issue type of asset</p> <p>SACUS: SACUS of Asset/Security</p>

Column	Description
SECTOR	<p>This is the sector to which the security should be mapped:</p> <ul style="list-style-type: none"> <li>• 2 = Equities</li> <li>• 3 = Fixed Income</li> <li>• 4 = Cash and Cash Equivalentents</li> </ul>
DESCRIPTION	Description of the asset

2. Press F10 to save and exit the editor; or press F3 to cancel the changes. The Editing Screen will appear

Examples:

Example 1: The following table indicates that Billing Class 1 is composed of all assets with sectors designated as 2, 3, and 4. Designation of sectors is made by the ISSTY and SACUS entries.

Type	Class	Sector	Description
CLASS	1	2	Equities
CLASS	1	3	Fixed Income
CLASS	1	4	Cash & Cash Equivalentents

In the following case, issue types 1, 28 and 444 will be included within Class 1 as they are linked to sectors 4, 2 and 3 respectively which are identified as components of Class 1 above. Sacuses 13221 and -1111 will be excluded as they are mapped to sector 0 which is not included.

Type	Class	Sector	Description
ISSTY	1	4	Cash & Cash Equivalentents
ISSTY	28	2	Common Stock
ISSTY	444	3	Mortgage Backed Securities
SACUS	13221	0	Cash
SACUS	6273	0	IBM

Example 2: Here, provided the issue type mapping is complete within the table, class 1 includes total assets, class 2 is comprised of equity only, class 3 includes fixed income only, class 4 includes cash and equivalents only, and class 5 includes Equities, Cash and Cash Equivalents.

Type	Class	Sector	Description
CLASS	1	2	Equities
CLASS	1	3	Fixed Income
CLASS	1	4	Cash & Cash Equivalents
CLASS	2	2	Equities
CLASS	3	3	Fixed Income
CLASS	4	4	Cash & Cash Equivalents
CLASS	5	2	Equities
CLASS	5	4	Cash & Cash Equivalents

3. Press F3 to exit the screen

## 3.3 Adding or Removing Data in the Billing Template (SCREENTEMPLATE)

The billing template controls what information will be printed on bills generated through Billvue. To access the SCREENTEMPLATE editor, use the following steps.

1. From the Editing screen, select POSTSCRIPT TABLE (SCREENTEMPLATE). The following screen will appear:

```
TEMPLATE DEFAULT TABLE EDITOR - PS1TMP  
IDX FIELDDESCDEFALT
```

```
-----  
PS1TOP STATEMENT OF FEE/INVOICE/CARBONY
```

PS1CNA COMPANY NAMEN  
PS1CAD COMPANY ADDRESSN  
PS1IVC INVOICE NUMBERN  
PS1ANA ACCOUNT NAMEY  
PS1ANM ACCOUNT NUMBERY  
PS1COM COMBINED BILLING NOTEY  
PS1AUT AUTOD FOOTNOTEY  
PS1REM REMIT INTERESTED PARTY ADDRESSY  
PS1MEM BILLVUE MEMO ENTRIESY

-----  
F1-Hlp F3-Quit F4-Srch SF7-Prnt F10-Save

Column	Description
IDX	Index number (row number).
FIELD	Billing field name.
DESC	Field description.
DEFAULT	Should be included in the template (yes) or not (no).

2. Select which fields to appear on bills by typing either Y (yes) or N (no) in the DEFAULT column
3. Press F10 to save and exit the editor; or press F3 to cancel the changes. The Editing Screen will appear

# Chapter 4: Billing Invoice Screens

The Billing Invoice Screen is where to find the functions that allow users to post, edit or view values, charges and invoices.

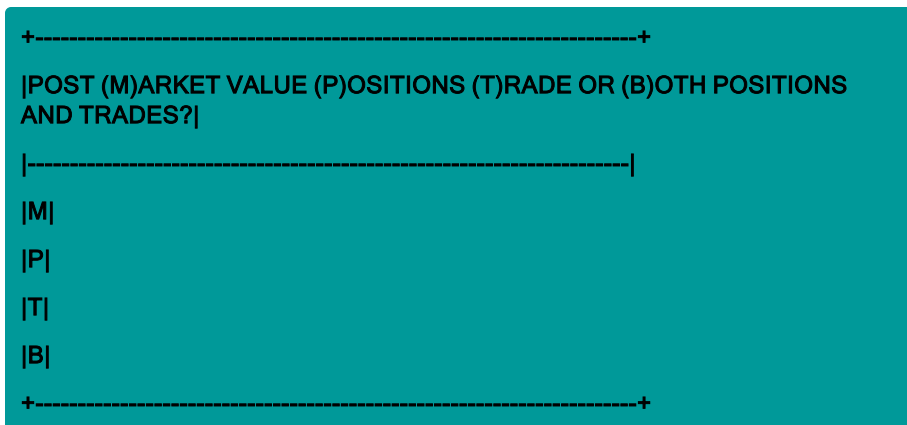
The basic invoicing functions are:

- Post values by class (BILLSECT)
- Post values by class/new accts (BILLSECTNEW)
- View market values (EDITPM) charges
- Copy billing values generated in BILLSECT to the performance file (BILLMVTRANSFER)
- Generate charges (MAKEJNL)
- View/edit charges (EDITJNL)
- Generate invoices (MAKEIVC)
- View/cancel invoices (EDITIVC)
- Generate bills (MAKEBILLS)
- Posting fees to the General Ledger (POSTIVCTOGL)

## Posting Values by Class (BILLSECT)

Before a fee can be generated on an account, values must be posted. These values will be used in the determination of the fee charged to an account. The function BILLSECT is used to post class values used in the billing equation.

1. Select POST VALUES (BILLSECT). The following dialog will appear:



2. Make selection and press ENTER

- Market value - posts a value based on the market value of the account on specified dates
- Positions - post class values based on open positions on a given date. Values are posted based on an "as of" basis
- Trades - posts values based on traded positions
- Both - posts values based on positions and trades

If M - MARKET VALUE is selected: The following screen will appear:



# Chapter 5: Billing Reports

Although individual setup may vary, most billing reports are found in the General Billing Reports section of Billvue.

```
+-----+
|PORTVUE - PRIVATE MENU10.1.3PRICES AS OF: 04/02/04|
|SAMPLE ASSET MANagementsUB-SELECT: RR EQ 40|
|GENERAL REPORTS|
|-----|
|GENERAL BILLING|
|-----|
|1. FEE SCHEDULE/ACCT CROSS REF (PRIFEES1)|
|2. INVOICE SUMMARY REPORT (MAKEBILRPT1)|
|3. ALLOCATION SUMMARY REPORT (MAKEBILRPT2)|
|4. RECEIVABLES SUMMARY REPORT (MAKEBILRPT3)|
|5. VARIANCE REPORT (BILLVARIANCE)|
|6. INVOICE SUMMARY REPORT #2 (DOWNBILLFEE)|
|7. SCHWAB BILLING DOWNLOAD FILE (DOWNMANFEE)|
|8. SCHWAB BILLING DOWNLOAD FILE* (DOWNSWBFEE)|
|9. BILLING FIELDS AUDIT REPORT (BILLEDITAUDIT)|
|A. INVOICE NUMBER REPORT (IVCREf)|
|B. GENERATE CHGS/SALES JOURNAL REPORT (DOWNJNL)|
|C. GENERATE IVC/INVOICE REPORT (DOWNIVC)|
||
|D. BROWSE REPORT|
|E. PRINT REPORT|
||
+-----+
```

## 5.1 Billing Fields Audit report

The Billing Fields Audit report (BILLEDITAUDIT) audits account fields for logical errors that would result in no charges/bills being generated. Errors would include no RECEIPT coded on the account or default table, invalid FREQCY code, or FEEAGR not agreeing with the COMBON.

1. Select BILLING FIELDS AUDIT REPORT (BILLEDITAUDIT). The following prompt will appear:

```
SEARCH FOR WHAT?
```

2. Type the accounts for the report and press ENTER. BILLAUDIT.LPR generates. This report can be browsed or printed

```
BILLEDIT AUDIT REPORT
FREQCY must be either 1 4 6 or 12
BENDRECISCOREYWCRUZELFITT1FITT2FIXED1
FIXED2FIXED3FIXED4FIXED5FIXED6FIXED7FIXED8
FIXED9FIXEDAFIXEDBFIXEDCFIXEDDFIXEDEFIXEDF
FIXEDGFIXEDHFIXEDIFIXEDJFIXEDKHILOCYHOPE
HUTCWEKIESLALEEPATLISA01LISA02LISA03LISA04
LISA05LISA06LISA07LISA08LISA09LISA10LIUFRA
MCTSTAMCTSTBMCTSTCMEISMAMIKECIMOAMANGALIC
PANEJOPRUEBIRECON1RECON2RECON3SHARONWARDRI
WILLDAWILLMA
-----
PRESS <ESC> TO EXIT<F1> FOR HELP<F3> MAIN MENU
```

The report defines the error (with the appropriate fields in caps) and lists the accounts containing the error below it.

## 5.2 Fee Schedule /Account Cross Reference Fee

The FEE SCHEDULE/ACCOUNT XREF report allows a user to view their fee schedules as well as the accounts that are linked to each individual calculation.

1. Select FEE SCHEDULE/ACCT CROSS REF (PRIFEES1). The following prompt will appear:

SEARCH FOR WHAT?

2. Type the account selection for the account(s) running the report and press ENTER. The report CLCFEE.LPR is created. This report can be browsed or printed

FEE SCHEDULE / ACCOUNT CROSS REFERENCE REPORT

FOR MAN - 04/05/04 2:34 P.M.

CALC01 - Fee Schedule

-----  
First \$1,000,000 of Assets = 0.0100

Remaining Assets = 0.0050

Minimum Fee: \$2,500  
-----

CALC01 - Accounts

ACCTNOBWNUNMLONG DESCRIPTION  
-----

CAKECA0 CAROL CAKE

CARRCO0 COLLEEN CARROT

CHI0014050 MATT CHEESE

CHI0025030 SCOTT SCRAMBLEDEGGS

CHI0033500 MICHAEL MEATLOAF

CHI0044200 MO HOMEFRIES

CHI0054000 PAULA PANCAKES

CHI0062100 LESLIE LAMB  
-----

PRESS <ESC> TO EXIT<F1> FOR HELP<F3> MAIN MENU

## 5.3 Invoice Summary Report #2 (DOWNBILLFEE)

The DOWNBILLFEE report displays invoice information, including account identifiers, invoice number, start and end date for the invoice, advance/arrears billing method, combined billing account, fee agreement, market value, and fee. This report can be run for temporary or permanent invoices after they have been created using MAKEIVC.

Use the following steps:

1. From the General Reports menu, select INVOICE SUMMARY REPORT #2 (DOWNBILLFEE). The account selection box will appear:

# Chapter 6: Examples: The Billing Cycle

The following lists the steps in a typical billing cycle. Some of these steps are described in other user guides.

Step	User Guide
Add a new account	APL Expert
Add a billing address	APL Infodex
Post performance on the new account	APL Guide to Performance Measurement and Benchmarks
Create an interested party	APL Infodex
Add a new fee schedule	APL Billvue <ul style="list-style-type: none"><li>• “Editing Account Information Globally (SCREENBILDEF)”</li><li>• “Adding a Fee Schedule”</li></ul>
Update billing fields	APL Billvue <ul style="list-style-type: none"><li>• “Editing Billing Fields on the Account Level”</li><li>• “Updating the Billing fields”</li></ul>
Post market value	APL Billvue <ul style="list-style-type: none"><li>• “Posting Values for New Accounts”</li><li>• “Posting the Market Value”</li></ul>
View the market value	APL Billvue <ul style="list-style-type: none"><li>• “Viewing or Editing Market Values (EDITPM)”</li><li>• “Viewing the Market Values”</li></ul>

Step	User Guide
Generate charges	APL Billvue <ul style="list-style-type: none"><li>• “Generate Charges”</li><li>• “Generating Charges”</li></ul>
Generate a temporary invoice	APL Billvue <ul style="list-style-type: none"><li>• “Generate Invoices”</li><li>• “Generating temporary and permanent invoices”</li></ul>
Generate a permanent invoice	APL Billvue <ul style="list-style-type: none"><li>• “Generate Invoices”</li><li>• “Generating temporary and permanent invoices”</li></ul>
Generate a bill	APL Billvue <ul style="list-style-type: none"><li>• “Generating Bills”</li><li>• “Generating a bill”</li></ul>
Run the Invoice Summary Report	APL Billvue <ul style="list-style-type: none"><li>• “Invoice Summary Report #2 (DOWNBILLFEE)”</li><li>• “Running the Invoice Summary report”</li></ul>

## 6.1 Fee Schedule Scenarios

The following scenarios illustrate how to apply fee schedules to one or more accounts. For a more in-depth explanation of creating and editing fee schedules, refer to [“Basic Fee Calculations”](#).

## 6.2 Adding a Fee Schedule

To negotiate a unique fee agreement for individual clients, set up that fee schedule using the SCREENFEE editor. These scenarios give examples of different situations users might encounter.

Scenario 1: Create a flat fee schedule with a \$1000 minimum.

How to do it:

1. From the EDITING SCREEN menu, select FEE SCHEDULE EDITOR (SCREENFEE) and press ENTER
2. At the Choose desired viewing option prompt, select EDIT DATA, and press ENTER
3. At the EDIT ENTIRE FILE? prompt, select YES, and press ENTER. A screen similar to the following will appear:

FEE SCHEDULE EDITOR

FEEAGR CLASS TYPEAMOUNTPCTALLOCPOSTEDUSER

```
-----  
CALCA1 1LEVEL100.90000ROOT  
CALCA2 1LEVEL101.00000ROOT  
CALCA2 1LEVEL2100,0000.50000ROOT  
CALCA3 1INCR01200,0001.00000ROOT  
CALCA3 1INCR02100,0000.90000ROOT  
CALCA3 1INCR03999,999,9990.800020040203KIPPOL  
CALCA4 1INTV0101.00000ROOT  
CALCA4 1INTV02100,0010.75000ROOT  
CALCA4 1INTV03300,0010.50000ROOT  
CALCB1 1LEVEL101.00000ROOT  
CALCB1 1MINMUM1,0000.00000ROOT  
CALCB2 1LEVEL101.00000ROOT  
CALCB2 1SURCHG2500.00000ROOT  
CALCB3 1DISCNT1000.00000ROOT  
CALCB3 1LEVEL101.00000ROOT  
CALCB4 1DISCNT010.00000ROOT  
CALCB4 1LEVEL101.00000ROOT
```

```
-----  
F1-Hlp F3-Quit F4-Srch F6-Ins SF6-Del SF7-Prnt F10-Save  
-----
```

4. Move the cursor to the top line, then press F6. A blank line will appear
5. Enter the following information:

Column Name	What to type
FEEAGR	Type an identifier for the fee agreement. For this example, type FIXED1.
CLASS	<p>Enter the class number. The standard classes are:</p> <ul style="list-style-type: none"> <li>• 1 = Total</li> <li>• 2 = Equities only</li> <li>• 3 = Fixed Income only</li> <li>• 4 = Cash and cash equivalents</li> </ul> <p>In this case, enter 1 to have this fee agreement apply to all securities in the account.</p>
TYPE	<p>Enter the six-character type code for the applicable fee code. These codes are described in <a href="#">“Types of Fee Calculations”</a>.</p> <p>In this case, the applicable type is MINIMUM.</p>
AMOUNT	Enter 1,000
RATE(%)	Leave at 0.0000
ALLOC	Leave blank.

6. Press F10 to save

Scenario 2: Create a \$850 fixed fee schedule with a \$100 discount.

How to do it:

1. Perform steps 1 through 3 in Scenario 1
2. Move the cursor to the top line, then press F6 twice, to create two blank lines at the top of the table
3. In the first blank line, enter the following information:

Column Name	What to type
FEEAGR	Type an identifier for the fee agreement. For this example, type FIXED2.
CLASS	Enter the class number. In this case, enter 1 to have this fee agreement apply to all securities in the account.
TYPE	Enter the six-character type code for the applicable fee code. These codes are described in <b>“Types of Fee Calculations”</b> In this case, the applicable type is LEVEL1
AMOUNT	Enter 850
RATE(%)	Leave at 0.0000
ALLOC	Leave blank.

4. In the second blank line, type the following information:

Column Name	What to type
FEEAGR	Type the same identifier used in the first line (in this example, FIXED2). This indicates that both the conditions on the first and the second line apply to this fee agreement.
CLASS	Enter 1
TYPE	Enter the six-character type code for the applicable fee code. These codes are described in <b>“Types of Fee Calculations”</b> . In this case, the applicable type is DISCNT
AMOUNT	Enter -100
RATE(%)	Leave at 0.0000
ALLOC	Leave blank.

5. Press F10 to save

Scenario 3: Create an incremental fee schedule to accommodate the following scenario:

- First \$100,000 is billed at 1%
- Next \$200,000 is billed at 0.75%
- Next \$200,000 is billed at 0.6%
- Remainder is billed at 0.5%

How to do it:

1. Perform steps 1 through 3 in Scenario 1
2. Move the cursor to the top line, then press F6 four times, to create four blank lines at the top of the table
3. In the first blank line, enter the following information:

Column Name	What to type
FEEAGR	Type an identifier for the fee agreement. For this example, type INCREM
CLASS	Enter the class number. In this case, enter 1 to have this fee agreement apply to all securities in the account.
TYPE	Enter the six-character type code for the applicable fee code. These codes are described in <a href="#">“Types of Fee Calculations”</a> In this case, the applicable type is INCR01
AMOUNT	Enter 100,000
RATE(%)	Enter 1.0000
ALLOC	Leave blank.

4. In the second blank line, enter the following information:

Column Name	What to type
FEEAGR	Type the same identifier used in the first line (in this example, INCREM).
CLASS	Enter 1
TYPE	Enter INCR02

Column Name	What to type
AMOUNT	Enter 200,000
RATE(%)	Enter 0.7500
ALLOC	Leave blank.

5. In the third blank line, enter the following information:

Column Name	What to type
FEEAGR	Type the same identifier used in the first and second lines (in this example, INCREM).
CLASS	Enter 1
TYPE	Enter INCR03
AMOUNT	Enter 200,000
RATE(%)	Enter 0.6000
ALLOC	Leave blank.

6. In the fourth blank line, enter the following information:

Column Name	What to type
FEEAGR	Type the same identifier used in the first three lines (in this example, INCREM).
CLASS	Enter 1
TYPE	Enter INCR04
AMOUNT	Leave at 0
RATE(%)	Enter 0.5000
ALLOC	Leave blank.

7. Press F10 to save

## 6.3 Updating the Billing fields

Once an account is opened, set up billing fields for the account so that billing is performed correctly. The following scenario illustrates the kinds of issues users may encounter.

### Scenario

The billing begin date is the end of the first month the account was opened (example, account opens on 8/1, billing begin date is 8/31.)

- The billing method is the ending value of the period
- The account is billed in arrears
- The account is billed monthly
- The fee agreement is the new one just created
- The billing template is PS1TMP
- The account is auto-debited

How to do it: +-----+

1. From the EDITING SCREEN menu, select BILLING FIELDS (BILLEdit) and press ENTER. The Account Selection screen will appear:

|SELECT CLIENTS BY SNAM OR ACCOUNT PROFILE FIELDS|

|-----+-----|

|FUNCTION: AND|SEARCH:|

|-----+-----|

|130 RECORDS FOUND|

||  
||  
||  
||  
||  
||  
||  
||  
||

```
||  
|-----|  
| Esc-Abort F1-Help F10-Go F7-List SF7-Print F8-Sort SF8-Back |
```

```
+-----+
```

2. Type the account short name in the SEARCH: field, and press F10
3. At the Choose desired viewing option prompt, select EDIT DATA, and press ENTER.  
The Infodex Billing Profiles Screen will appear

```
+-----+
```

```
|Infodex Billing Profiles ScreenAcct:1 of1 |  
|-----|  
| Account Name: JOE PANETTA|  
|Short Name: PANEJOAccount #: 0Receipt Snam:|  
|Begin Date: 0Frequency: 0Combon Snam:|  
|Over'd Begdte: 0How Combined:|  
|Close Date: 0Fee Agreement:|  
| Bill Method: Allocation Override:|  
|Advanc/Arrear: Billing Template:|  
|Autod:|  
|FEE AGREEMENT OVERRIDESDISABLECopy1:|  
|Fixed$: 0.00Copy2:|  
|Minimum$: 0.00Copy3:|  
|Maximum$:0.00Copy4:|  
|Adjustment $:0.00|  
|Adjustment %:|
```

```
||
```

```
||
```

```
||
```

```
|-----|
```

```
| F1 -HelpF3 -Exit|  
|F7 -PgBackF8 -PgFwdF10-Save|
```

Make the following entries:

Field	What to type
Begin Date	20040831
Over'd Begdte	Leave blank.
Close Date	Leave blank.
Bill Method	Press F1 to view the options for this field; then select END for ending value.
Advanc/Arrear	Press F1 to view the options for this field, then select ARREAR for billing in arrears.
Fixed \$	Leave blank.
Minimum \$	Leave blank.
Maximum \$	Leave blank.
Adjustment \$	Leave blank.
Adjustment %	Leave blank.
Frequency	Number of times the account is billed each year. Since the account is to be billed monthly, .
Receipt Snam	Leave blank.
Combon Snam	Leave blank.
Fee Agreement	Press F1 to view the options for this field. Then, select one of the fee agreements created in <a href="#">"Adding a Fee Schedule"</a> .
Allocation Over-ride	Leave blank.
Billing Template	Press F1 to view the options for this field. Then, select PS1TMP.
Autod	Enter Y to autodebit the account.

Field	What to type
Copy1, Copy2, Copy3, Copy4	Leave blank.

4. Press F10 to save

## 6.4 Market Values

At this point, post the market value of the securities held in the account, if any.

### Posting the Market Value

Scenario:

Post the market value for the new account. The beginning date should be the account opening date. The ending date should be the most recent previous month-end date.

How to do it

1. From the INVOICING SCREEN menu, select POST VALUES/NEW ACCT (BILLSECTNEW). The following screen prompt will appear:

BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :

2. Type the beginning of the period within which the account was opened, and press Enter. The following prompt will appear:

ENDING DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :

3. Press Enter to accept the current day, or enter a different ending date. The following prompt will appear:

SEARCH FOR WHAT?

4. Type the short name (SNAM) of the account, or a range of accounts, and press Enter. A prompt similar to the following appears, showing the number of accounts in the selected range:

12447 RECORDS FOUND

NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):

5. Press Enter. The following prompt will appear:

### Force posting on Additional Classes?

6. Type NO and press Enter. The following prompt will appear, indicating that the posting process is taking place:

```
100% COMPLETE[*****]  
WHAT NEXT?
```

## Viewing the Market Values

Scenario:

View the market values on the established account to verify that they are accurate.

How to do it

1. From the INVOICE SCREEN menu, select VIEW/EDIT MARKET VALUES (EDITPM).  
The Account Selection screen will appear
2. Select the accounts to view market values. The following prompt will appear:

```
+-----+  
|AS OF DATE OR 1st OF A RANGE (PRESS ENTER FOR ALL DATES)|  
+-----+
```

3. Press Enter. The following screen will appear:

```
+-----+  
Choose desired viewing option|  
Esc to Exit|  
|-----|  
VIEW DATA ONLY|  
EDIT DATA|  
+-----+
```

4. Select VIEW DATA ONLY. The following screen shows the market value associated with the account:

```
CLASS PERF. ENTRIES FOR: WGATES
DATE CLASSMVPOSTEDLOCK
-----
20050103176,108,935.5520050104
-----
F1-Hlp F3-Quit F4-Srch F6-Ins SF6-Del SF7-Prnt F10-Save
-----
```

## 6.5 Generating Charges

Once posting has occurred, charges can be generated.

Scenario: Generate charges.

How to do it

For step-by-step instructions, see [“Generate Charges”](#).

## 6.6 Generating temporary and permanent invoices

At this point, users may generate temporary and permanent invoices for the account.

**Important:** First generating a temporary invoice before generating a permanent one is highly recommended. This allows users to review the invoice before committing it. Permanent invoices cannot be changed or deleted. Permanent invoices can be cancelled (see [“Viewing and Cancelling Invoices”](#)), but the charges again must be reposted again.

Scenario: Generate a temporary invoice. Then, after reviewing it, generate a permanent invoice.

How to do it

The process for generating a temporary and a permanent invoice is nearly identical. For step-by-step instructions, see [“Generate Invoices”](#).

## Generating a bill

After all charges have been posted and invoices have been generated, the actual printed bills for clients can be created.

Scenario: Create bills for clients.

How to do it

For step-by-step instructions, see [“Generating Bills”](#).

## Running the Invoice Summary report

The final step is to run the Invoice Summary Report, to verify that the invoices look correct.

Scenario: Run the Invoice Summary report.

How to do it

Select INVOICE SUMMARY REPORT (MAKEBILRPT1) from the Reports menu.