



APL Portfolio Administration (EXPERT) System

User Guide



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About this Manual

The APL Portfolio Administration User Guide provides detailed instructions for managing account data and performing essential portfolio maintenance tasks within the APL Expert System. This comprehensive guide covers account creation and maintenance, security master updates, general ledger entries, and reconciliation workflows. It is structured to help administrators and users efficiently perform tasks such as posting transactions, auditing portfolio data, and generating performance reports.

APL Portfolio Administration serves as the backbone of the APL wealth management platform, enabling seamless integration of account, security, and general ledger data. This solution supports multi-custodial account structures and provides robust reconciliation and reporting capabilities that enhance operational workflows.

Through intuitive interfaces and automated processes, users can execute trades, post dividends, and manage cash flows while maintaining compliance with firm-specific and regulatory standards.

The system's versatility and in-depth data handling ensure that portfolio managers, operations teams, and compliance officers can collaborate effectively, driving operational excellence and supporting strategic growth.

The APL Expert system is the foundation for all other areas that make up the APL Portfolio Accounting system.

Account data is entered and maintained in the APL Expert system. Users can also request basic reporting on account activity, process transactions, and perform comparative analyses across groups of accounts.

To use APL Expert, you need the following:

- Windows PC compatible computer
- Modem or network connection)
- Communications software (such as KEA)
- User ID
- Password

Your Account Manager can provide these items.

1.1 Conventions used in this user guide

Key tops	Key tops are identified with an underscore and overscore. ESC, SHIFT, CTRL, and G represent Escape, Shift, Control, and G keys respectively
Keyboard sequences	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." Keys that are to be typed sequentially are separated by a comma. "F3, Y" means "press the F3 key, then release it and press the Y key"
Screens	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

Screen text 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

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:

Reports

```
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
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
```

1.2 What is APL?

APL stands out as a comprehensive and mature wealth management platform that integrates a wide range of functionalities across portfolio management, model management, data reconciliation, order execution, billing, and performance reporting. Its unified ecosystem streamlines workflows by connecting front-, middle-, and back-office operations through seamless interoperability between key components.

With solutions for centralized trading, model management, and data validation, APL ensures that users can align investment strategies with real-time market insights and execute tax-sensitive trades efficiently. This interconnectivity empowers wealth managers, financial advisors, and operations teams to achieve operational excellence while maintaining regulatory compliance and enhancing client outcomes.

APL's depth of feature coverage, supported by decades of innovation and strategic enhancements, offers unparalleled versatility and precision. The platform's components bridge gaps between sponsors, advisors, and asset managers, enabling real-time collaboration and data synchronization. Advanced audit tracking, customizable dashboards, and integrated compliance checks reduce manual errors and provide robust decision support.

APL's robust architecture supports complex portfolios and multi-custodial environments, reinforcing its reputation as a future-proof solution that meets the evolving needs of the financial industry.

Chapter 2: Getting Started

This section describes features of the APL Expert user interface that are common to many functional areas. In particular, this section focuses on logging into and out of the system, using the full screen interface in the line editor, and printing and displaying temporary files and report files.

2.1 Logging on to the APL Expert system

Users must have a connection to the APL Expert system.

1. Log into APL. The following prompt will appear:

```
ENTER TERMINAL TYPE :
```

Valid terminal types are:

- hds200
- kermit
- novell
- novell-e
- aixterm
- vt100
- vt400

Notes:

- The APL Expert login must be in lower case
- The password is case sensitive

Then, a prompt will appear, requesting a user ID.

```
Enter a user ID and press Enter.
```

Note: To ensure the confidentiality of passwords, the system does not display it on the screen. Do not to post your password.

The screen displays RUNNING SECAPL, then displays the following menu:

```
DIRECTORY OF MENUS FOR PORTVUE AND OTHER SYSTEMS05/18/10 12:53 P.M.
```

```
-----  
-
```

```
..... EXPERT      (EXPERT/PRIVATE PORTVUE MENU)
```

```
..... INFODEX (INFODEX SYSTEM )
..... MACRO (MACRO/EXEC SYSTEM )
..... MENU0 (EXPERT MENU SYSTEM )
..... WINDOW (WINDOWS OF THE PORTFOLIO )
..... EXIT (LOGOFF THE SYSTEM)
WHICH OPTION WOULD YOU LIKE : (FIRST THREE CHARACTERS)?
```

The main APL Expert Menu

```
SAMPLE ASSET MANAGEMENT
=====
PORTVUE -- EXPERT MENU -- 0REMOTE MODE    05/18/10  1:11 P.M.
ACCOUNT MAINTENANCE FUNCTIONS:
EDAC   EDITAC   EDITACFIELDS  EDMEMO   EDMISC   EDPORT   EDRRNM   FASTPOR   -
TPOSTNEW  SCREENAC
SECURITY MAINTENANCE FUNCTIONS:
EDFEND  EDINDNM  EDITSEC   EDSECFINDSEC  FIXTYP   MAPISSUE  MOVESEC  SCR-
EENSEC
CASH LEDGER/PERFORMANCE MAINTENANCE FUNCTIONS:
CASHACT  CASHLEDGR  DELBATCH  EDGLED   PMSECT   FIXGL    PMSECTAI  POSTDIV-
S  POSTGL   POSTPMSECT
TRADESNEW
REPORTS:
ACTCOM  ACTIVITY  ACTIVSEC  ARNREPAUDIT  BATCHLIST  BILLMON  BLOTTER  -
APLBWTXCLTWDS
COMBONYC  COMMSUMM  FIXWDSQUELISTRR
WHICH FUNCTION: ?
```

Menu functions

To use any function listed on the APL Expert menu by typing the name of the function at the WHICH FUNCTION:? prompt, and pressing Enter

Note: The menus and displays shown in this manual reflect a typical implementation of APL Expert. However, your screens may have been customized to meet your firm's business requirements.

The typical APL Expert menu is divided into four sections:

- Account Maintenance functions maintain account profile information (such as the account name and number) and trade information (for example, a security trade date or the cost)
- Security Maintenance functions enables user display or change information about securities, such as their ticker symbols, prices or industry codes. These functions also enable users to enter information about private or non-listed securities
- Cash Ledger/Performance functions edit and post cash information such as contributions and withdrawals. Use the functions in this group to review performance history
- Reports functions generate performance, trading activity, tax lot, and other standard reports

Functions that are not on the menu

Some functions in APL Expert are not listed on the menu. To use these functions, type ** (two asterisk characters) before the name of the function. APL Expert searches the entire function name, rather than just the first few characters.

For example, enter EDGGLOBALMEMO at the function prompt, and the system will only process the first four characters, and start the EDGL function. Type ** in front of the function name (in this case, **EDGGLOBALMEMO), the system evaluates the entire name, and starts the EDGGLOBALMEMO function.

2.2 Types of user interfaces

The APL Expert system uses two different ways to display information: the full-screen interface and the line editor interface. Each is described in the following sections.

Full-screen interface

As its name implies, a full-screen interface displays information one full screen at a time. Enter data by pressing the TAB key to move the cursor to an appropriate field, and enter data in the field.

Example:

```
+-----+
||
|Please Enter Any One of the Following Account Identifiers|
|-----|
||
|Short Name      (SNAM) :          |
||
|Account Number  (BWNUM) : 0      |
||
```

```
|Custodian Number (DTCNO1, DTCNO2) :      |
|-----|
|F-3/Esc To ExitF-10 To Edit|
+-----+
```

1. Press the TAB key to move the cursor to the Short Name, Account Number, or Custodian Number fields, and type in the information required to identify the account

Note: The preferred date format is yyyyymmdd. For example, if the starting date is September 5, 2010, you would type it as 20100905

2. Press the F10 key to edit the account
3. Press the F3 or ESCAPE key to exit the screen and abandon the information you entered

Line editor interface

Instead of displaying information one screen at a time, the line editor interface displays information one or more lines at a time. Each time a new line of data is displayed, it “pushes” the previous line up the screen, until the oldest data scrolls off the top.

The line editor has the line numbers displayed on the screen, as shown in the following illustration.

```
WHICH FUNCTION: ? EDPORT EDPORT
1345 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? BALLLU
1 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
*****-
**
SELECTION FOR SNAM: BALLLU/1188DATE WINDOW: 00/00/00 TO 06/06/09
WHICH SECURITIES ( HIT RETURN FOR ALL)
(1) SNAM:      BALLLU ACNUM: 1188
(2) TRANS  TICK   SACUS  UNITSPDATE  COSTSDATE  PROC (2)  -----
--  -----
(310)
```

- In the lower left corner, (0), (1), and (2) are the line numbers at the beginning of the data file. (The first line in a data file is line 0, not line 1.)

- The last number in parentheses, (310), is the line where the cursor is located. When a function starts the line editor, the cursor is moved to the last line of the file. (In this case, the last line is line 310.)

Important: The maximum number of lines that can be edited is about 20. If you exceed this limit, an error message is displayed, and your changes are not saved.

Line editor commands

At the beginning of any of the displayed lines, use commands to add, edit, delete, or view data. These commands always begin with the “[” (open bracket) character. A summary of useful commands for displaying data are shown in the following table:

Command	Action
[P	Display the data that has been loaded into the editor.
[Px (x x x...)	Display the specified line, where x is the line number. To specify additional line numbers, separated each by a space. For example: <ul style="list-style-type: none"> • [P12 displays line 12 • [P 4 7 120 3 displays lines 4, 7, 120, and 3
[xPx	Display the specified range of lines. For example: [14P122 displays line 14 through 122.
[S	Search for a specified string of characters.
[Sx x	Search for a specified string of characters, and replace with new string of characters. For example, [SABL APL finds all instances of SABL and replaces them with APL
[Q	Quit the editor and return to the function prompt. (If you edit a file, Type [Q and press Enter twice to return to the function prompt.)
[L	Used within EDPORT to move from level to level. For example, entering [L3 moves you to level 3. The concept of “levels” in EDPORT is explained in Editing portfolio data for multiple accounts using EDPORT
[M	Used within EDPORT to move from level to level, in sequential order. For example, if you were in level 1, entering [M moves you to level 2. The concept of “levels” in EDPORT is explained in Editing portfolio data for multiple accounts using EDPORT
[D	Delete the data that has been loaded into the editor. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Note: EDSEC, EDFEND, EDAC, and EDMISC do not allow users to delete lines.</p> </div>

Command	Action
<div style="border: 1px solid black; padding: 5px; display: inline-block;"> Important: Deleting lines in EDPORT deletes actual security positions. </div>	
	Display the specified line, where x is the line number.
[Px (x x x...)]	Specify additional line numbers, each separated by a space. For example: <ul style="list-style-type: none"> • [P12 displays line 12 • [P 4 7 120 3 displays lines 4, 7, 120, and 3
[xPx	Display the specified range of lines. For example, [14P122 displays line 14 through 122.
[Z	Immediately quits the line editor user interface without saving data. It is especially useful for exiting functions where processes “loop” or use large quantities of data. This function is only available from EDPORT, EDMEMO, and EDGL.

Useful keystroke commands

The following keystroke commands are also useful when using the line editor:

Keystroke	Action
CTRL+C	Immediately terminates a process.
CTRL+L	Refreshes a screen.

Repeating field values

For users who enter a number a large number of trades, there are features provided to lock-in or repeat values in specified fields.

Using the quote symbol

After one complete line of data, use the quote symbol (") to carry down the value in one field to the next line of data input. Enter the data for the next transaction, replacing repeated values with the quote symbol. Each quote symbol is separated by a single space.

Example:

How to use the quote symbol to repeat data from the previous line:

```
(1) OPE 100 K 1000.00 EXPERT 20100112 0 0 0
(2) " " T " " " " " " "
```

When the [Q command is entered to quit the line editor, and [P is entered to picture the data, the system shows the following results:

```
(1) OPE 100 K 1000.00 EXPERT20100112 0 0 0
(2) OPE 100 T 1000.00 EXPERT20100112 0 0 0
```

The system automatically enters the value from the field in the previous line.

Using the exclamation point

Field values can also be locked when entering the initial trade by using the exclamation point (!). Type ! in front of each value to carry to the next line.

Locked values remain locked for each subsequent line. To release the lock, type [Q and press Enter.

Example:

In the following example, all data items except the TICK symbol is locked in the first TRADESNEW transaction. This enables users to enter just the TICK symbol for subsequent transactions:

```
!OPE !100 K !1000.00 !EXPERT !20100112 !0 !0 !0
(3) T
(4) IBM
```

The system automatically carries the value in that field on the next record. To release the lock, type [Q and press Enter:

```
(1) OPE 100K 1000.00 EXPERT20100112 0 0 0
(2) OPE 100T 1000.00 EXPERT20100112 0 0 0
(3) OPE 100IBM 1000.00 EXPERT20100112 0 0 0
```

Repeating descriptions in multiple TRADESNEW transactions

The \LOCKDES command enables users to repeat the DES line for multiple TRADESNEW transactions. Use the following steps:

1. Enter the trades, but omit the DES line after each one
2. After entering the trades, type [Q and press Enter
3. Type \LOCKDES and press Enter. The following prompt will appear:

```
FROM LINE :
```

4. Type the line number of the first trade the system should apply the description to and press Enter. The following prompt will appear:

```
TO LINE :
```

5. Type the line number after the last trade the system should apply the description to, and press Enter. The following prompt will appear:

```
DES LINE
```

6. Type DES and description, separated by a single space, and press Enter. For example, type DES SD19960228. The system inserts the DES line after each trade line

2.3 Searching database records

The prompt, SEARCH FOR WHAT? means that APL Expert expects the user to define the account information, securities, transactions, or other data. The following sections describe how to perform simple or complex searches in APL Expert.

Note: You may also find the macros `\SELECTAC` and `\SELECTSEC` to be useful for complex searches.

Performing a simple search

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

```
[FIELD] [OPERATOR] [VALUE]
```

Where:

- FIELD is the field name in the database
- OPERATOR defines the type of search
- VALUE describes what the user is (or isn't) searching for

Examples:

- 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

Note: APL allows users familiar with SQL to use it in place of APL Expert operators. For example: SNAM = ABC is the same as SNAM EQ ABC. The following is a table of operators used in constructing searches:

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

Special operators (Boolean operators)

In addition to the operators described in the previous section, special operators (Boolean operators) enable you to:

- Construct complex searches by joining expressions
- Sort the results of a search
- List the ID numbers of the records found in a search

Note: Each special operator is entered at the beginning of a new line, at the NEXT OPERATION prompt.

The following table describes these operators.

Operator	Description
AND	Links two search expressions. Both must be true.

Operator	Description
OR	Links two search expressions. Either must be true.
NOT	Links two search expressions. The results of the second expression are excluded from the results of the first.
SORT A	Sorts the results in ascending order.
SORT D	Sorts the results in descending order.
LIST	Lists the record IDs of the selected records.

Examples:

- RR EQ 92 OR
RR EQ 75
or
- RR EQ 92 75

This returns all accounts that have either 92 or 75 in the RR field.

- RR EQ 92 AND
SNAM EQ A

This returns all accounts for which the RR is equal to 92 and the SNAM begins with “A.”

- RR EQ 92 AND
RR EQ 75

This does not return any accounts, since the RR field cannot have both 92 and 75 for the same account.

2.4 Printing report data

Any temporary file that is produced by an APL Expert function can be printed as a report by your system printer. You can also print parts of a file by specifying the lines to be printed.

Note: The [General Reporting](#) section provides more information on generating and printing reports.

Printing an entire report

1. Within the line editor, at the blank line at the bottom of the displayed data file, type ****COPY** and press Enter. The following prompt will appear:

```
PRINT THIS INFO SINGLE, DOUBLE OR TRIPLE SPACED?
```

2. Type S, D or T for the spacing of the report and press Enter. The following prompt will appear:

```
ENTER NEW DEFAULT PRINT QUEUE?
```

If you do not want to print the data, but want to create a file that contains this data, you can type HOLD to place the file in the print queue for printing later.

3. Enter the name of the printer to which the report should print. (If you do not know the name of the print queues available to you, simply press Enter. A list of available print queues is displayed.) The following prompt will appear:

```
INCLUDE NUMBERS ON THE LEFT?
```

4. If you want to include line numbers, enter Y for yes. If you do not want line numbers, type N for no. The following prompt will appear:

```
FILE NAME? (HIT RETURN FOR 'COPY.LST')
```

5. If you want to rename the file, enter a new file name, or simply press Enter to name the file COPY.LST. The file prints automatically to the printer entered in step 3
6. To exit the editor, enter [Q. If you made changes while in the editor, this step will have to be repeated in order to exit the editor

Printing search results

If you want to print certain information that will appear in the editor, you may search for a particular string (using [S]) and print only the results.

1. Type **COPYSOME and press Enter

Then, follow steps 2 through 6 of “Producing hard copies of line editor data” for producing a hard copy of the screen information.

Logging off of the APL Expert system

When you are done working in the APL Expert system, you need to log off of the APL Expert system. At the APL Expert WHICH FUNCTION:? prompt, enter LOGO.

Chapter 3: Account Master Database

This section describes how to create new accounts or edit account information in the Account Master database.

3.1 Creating an account

One of the first things you will do with APL Expert is to add a new account.

- Users who want to create one account from a user template typically use EDITAC. It uses a **full-screen interface**
- Users who are creating multiple accounts often find NEWACCT faster to use. It has a **line editor interface**

Creating an account using EDITAC

The function EDITAC combines the functionality of NEWACCT and SCREENAC, but for single-account use.

1. At the WHICH FUNCTION:? prompt, enter EDITAC. The following screen will appear:

```
+-----+
|
|
|Please Enter Any One of the Following Account Identifiers|
|-----|
|
|
|Short Name (SNAM) :|
|
|
|Account Number (BWNUM) :0|
|
|
|Custodian Number (DTCNO1, DTCNO2) :|
|-----|
|F-3/Esc To ExitF-10 To Edit|
+-----+
```

2. Type in the short name (SNAM), account number (BWNUM) or custodian number (DTCNO1, DTCNO2) of the account you want to create and press Enter

Notes:

- Choose a unique short name (SNAM) for the account
- SNAMs must begin with a letter, and they should be six characters
- If possible, use the first four letters of the account holder's last name, followed by the first two characters of the first name
- If you enter a SNAM that is not unique, the system displays an error message

After you enter a unique short name, the following screen will appear:

```
+-----+
|SNAM: JONEJA Currently Does Not Exist.|
|Do You Want to Add it Now?|
|-----|
+-----+
```

3. Select YES if you are ready to add the account. The following screen will appear:

```
+-----+
|Are You Sure You Want to Add This Account Now?|
|-----|
+-----+
```

4. If you're sure, select YES. The following screen will appear:

```
+-----+
|Enter Starting Cash Value|
|-----|
||
+-----+
```

5. Enter the starting cash value. If you do not know the balance at the time you are setting up the account, you may enter 0. The following screen will appear:

```
+-----+
|Enter Date for Starting Cash Value (Hit Return for Today's Date) |
|-----|
| |
+-----+
```

6. Type the starting date for the account and press Enter, or simply press Enter to use the date the account was added to the system. A screen will appear, prompting you for the new account template that should be used for this account

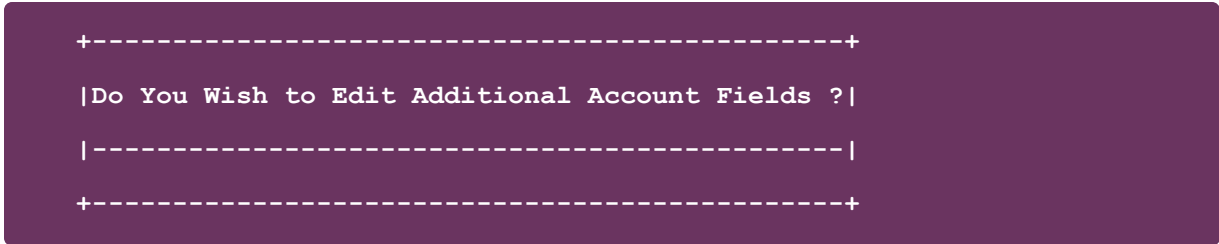
Notes:

- The preferred date format is yyyyymmdd. For example, if the starting date is September 5, 2010, you would type it as 20100905
- If trading on the same day, the starting cash value date must be the prior day. Otherwise, the trade will not affect the cash balance

```
+-----+
| WHICH TEMPLATE? |
|-----|
| BILLING |
| COMBO |
| DEFAULT |
| NEWACCT |
| NEWACTBALGRW |
| NEWACTEQTY |
| NEWACTFIXD |
| TRAINING |
+-----+
```

Note: This menu may be different at your site, since templates are typically designed to meet your firm's business requirements.

7. Select the template you want to use. A screen will appear, asking if you wish to edit other account fields



8. Select YES if you want to edit additional account fields, otherwise select NO

- If you select NO, you are taken directly to the Account Master Edit screen
- If you select YES, a screen will appear (shown below), listing the other fields that can be edited

```
+-----+
| Please Select Additional Fields to Edit |
|-----|
| AMTMTH |
| AUDIT |
| BASEAC |
| BASEAL |
| BEGDTE |
| BILLNO |
| BRKPCT |
| CHARAC |
| CLODT |
| COMBON |
| CUST1 |
| CUST2 |
| CUST3 |
| CUST4 |
+-----+-----+-----+
-----+
| Esc-Exit  F1-Help  F4-Search  SF5-Select ALL  SF6-Clear ALL |
| F7-Refresh Search  F8-Options  F10-Go  Return-Select/Un-Select |
+-----+
-----
```

9. Move the cursor to each field you want to edit, and press Enter. An asterisk next to the field name shows that you have selected it
- To edit all fields, press SHIFT+F5
 - To search for a particular field, press F4
 - To refresh your search (start a new search), press F7

- To search and include all matches or to search and exclude all matches, press F8

Note: The maximum number of fields that can be selected is 60.

10. After you have selected the fields you need, press F10 to continue. The Account Master Edit screen will appear:

```
SAMPLE ASSET MANAGEMENT      F-3  To  Quit
05/23/10  2:10 P.M.                                F-10 to Save

      Account Master Edit Screen
-----
SNAM: JONEJA      ACCOUNT: JAMES E JONES      NDATE: 20100523
BWNUM:   0      DTCNO:   OLDAC:   0  RR   :0
-----
ADM: ADM1      MGR:   SD   BANK:   STATE      DESBRK:   DW
FDTYPE:   BALANC SOCSEC:   0  FOFO:   2  BASEAC: 0
MINMUM:   0
```

11. Using the TAB or arrow keys to move around the screen, enter the required data for each field
The fields that appear on the lower portion of the screen are based on the template you selected, as well as the other fields you selected.
12. After entering all of the account data, press F10 to exit and save the data. The following screen will appear:

```
+-----+
|Are You Sure You Want to Save Any Changes Made ?|
|-----|
+-----+
```

13. To save changes, select YES; otherwise select NO

- Select NO, the Account Master Edit screen will appear. Press F10 to save changes
- Select YES, and for clients who use the INFODEX database, the INFODEX New Account Edit screen will appear. Enter the appropriate data, and press F10 to save and exit the function. To exit, press F3 (Refer to the INFODEX User Guide for more information on the INFODEX database.)

The following screen will appear:

```
+-----+
|Add Account to Windows Universe Now ?|
|-----|
+-----+
```

14. If setting up an account that is also used in the APL Windows system, select YES. If the account is not to be viewed in Windows, or to not add it to the APL Windows system at this time, select NO

If using the INFODEX database, the following screen will appear:

```
+-----+
|Do You Want to Edit INFODEX Fields Now?|
|-----|
+-----+
```

15. To edit more INFODEX fields, select YES
 - Select YES, the INFODEX Account Edit screen will appear. Enter the appropriate data and press F10 to exit and save. The EDITAC screen will appear
 - Select NO, the initial EDITAC screen will appear
16. Press ESC to exit the function, or begin at step 2 to enter another new account

Creating a template using EDITACFIELDS

The account templates used in the EDITAC function can be created or modified to suit client needs. Use the function EDITACFIELDS to create templates for frequent actions.

The following procedure shows how:

1. At the APL Expert WHICH FUNCTION:? prompt, type EDITACFIELDS and press Enter. The following screen will appear:

```
+-----+
|Which Template Would You Like To Edit?|
|-----|
|NEW TEMPLATE|
|BILLING|
|COMBO|
|DEFAULT|
|NEWACCT|
|NEWACTBALGRW|
|NEWACTEQTY|
|NEWACTFIXD|
|TRAINING|
+-----+
```

2. Using the TAB or arrow keys, select NEW TEMPLATE to create a new template. The following screen will appear:

```
+-----+
|Enter New Template Name (up to 12 characters):|
+-----+
```

3. Type in the name of the new template and press Enter. The following screen will appear:

```
+-----+
| Please Select the Fields to Include |
| ----- |
| ADM |
| AMTMTH |
| AUDIT |
| BANK |
| BASEAC |
| BASEAL |
| BEGDTE |
| BILLNO |
| BRKPCT |
| CHARAC |
| CLODT |
| COMBON |
| CUSTOD |
| CUST1 |
+-----+
-----+
| Esc-Exit  F1-Help  F4-Search  SF5-Select ALL  SF6-Clear ALL |
| F7-Refresh Search  F8-Options  F10-Go  Return-Select/Un-Select |
+-----+
-----+
```

4. Move the cursor to each desired field, and press Enter. An asterisk next to the field name displays

Note: The maximum number of selected fields is 60.

- To edit all fields, press SHIFT+F5
- To search for a particular field, press F4
- To refresh a search (or start a new search), press F7
- To search and include all matches or to search and exclude all matches, press F8

5. When you have finished selecting fields, press F10. The EDITACFIELDS data input screen will appear:

```
SAMPLE ASSET MANAGEMENT                                F-3 To Quit
05/23/10 3:11
P.M.                                                    F-10 to
Save

                Account Fields and Defaults Which Will Appear in EDITAC
                                Template Name:
PROTOTYPE
                                Field
Default
-----
0                                BASEAC
0                                BEGDTE
CHARAC      BLANK
0                                CLODT
0                                FAMILY
BLANK                                SOURCE
                                F-1 To Select From a List of Available Fields
                                F-6 To Insert a LineSF-6 To Delete a Line
```

6. Using the TAB key, move to the fields and input the appropriate data

- To manually add other fields, press F6 to insert a line, and type the field name and default data for that field. If you are unsure of the field name, press F1 for a list of account master fields
- To delete one of the fields from the table, press SHIFT+F6

7. After entering all data, press F10 to save. The following screen will appear:

```
+-----+
|Are You Sure You Want To Save This Template ?|
|-----|
+-----+
```

8. Using the TAB or arrow keys, select YES to save the template with the name entered in step 3, otherwise select NO

- Select NO, the editing screen will appear
- Select YES, the following screen will appear:

```
+-----+
|Save Template As PROTO2? |
|-----|
+-----+
```

9. Using the TAB or arrow keys, select YES to save the template with the name specified in step 3, otherwise select NO

- Select NO, and the following screen will appear:

```
+-----+
-----+
|Enter New Template Name:|
+-----+
-----+
```

- Enter a new template name and press Enter
- Select YES, the template is saved. The following screen will appear:

```
+-----+
|Edit Another Template ?|
|-----|
|NO |
|YES|
+-----+
```

10. Using the TAB or arrow keys, Select YES to edit another template, otherwise select NO

- Select NO, the APL prompt will appear
- Select YES, and a screen will appear, listing the available templates

```
+-----+
|Which Template Would You Like To Edit?|
|-----|
|NEW TEMPLATE|
|BILLING|
|COMBO|
|DEFAULT|
|NEWACCT|
|NEWACTBALGRW|
|NEWACTEQTY|
|NEWACTFIXD|
|PROTO2|
|TRAINING|
+-----+
```

11. Using the TAB or arrow keys, select the template to edit and press Enter. Repeat steps 2 through 8

Editing a template using EDITACFIELDS

EDITACFIELDS, can also be used the function to modify an existing template. Follow this procedure:

1. At the APL Expert WHICH FUNCTION:? prompt, enter EDITACFIELDS. The following screen will appear:

```
+-----+
|Which Template Would You Like To Edit?|
|-----|
|NEW TEMPLATE|
|BILLING|
|COMBO|
|DEFAULT|
|NEWACCT|
|NEWACTBALGRW|
|NEWACTEQTY|
|NEWACTFIXD|
|TRAINING|
+-----+
```

2. Use the TAB or arrow keys to select the template from the template list. The following screen will appear:

```
+-----+
|What Do You Want To Do With This Template?|
|-----|
|EDIT|
|DELETE|
+-----+
```

3. Using the TAB or arrow keys, select EDIT to edit a template or select DELETE to delete a template
 - Select DELETE, and a screen will appear. Select NO, and the system returns to the template list. Select YES, and the template is deleted

- Select EDIT, and the editing screen will appear:

```

SAMPLE ASSET
MANAGEMENT                                     F-3 To
Quit
05/24/10 8:27
A.M.                                           -
F-10 to Save
Account Fields and Defaults Which Will Appear in
EDITAC
Template Name: TRAINING

Field          Default
-----
0              OPEDT
0              CLODT
FDTYPE        BALANC
3              FOFO
JJE           MGR
25           DESFIX
70           DESPCT

F-1 To Select From a List of Available Fields
F-6 To Insert a LineSF-6 To Delete a Line
    
```

4. Using the TAB key, move to the fields and enter the required data
 - To manually add other fields, press F6 to insert a line and type the field name and the default data for that field. Press F1 for a list of account master fields
 - To delete one of the fields from the table, press SHIFT+F6

5. After entering all data, press F10 to save. The following screen will appear:

```
+-----+
|Are You Sure You Want To Save This Template ?|
|-----|
+-----+
```

6. Using the TAB or arrow keys, select YES to save the template with the name selected in step 1, otherwise select NO

- Select NO, and the editing screen will appear
- Select YES, and the following screen will appear:

```
+-----+
|Save Template As TRAINING ?|
|-----|
+-----+
```

7. Using the TAB or arrow keys, select YES to save the template with the name selected in step 1, otherwise select NO

- Select NO and the following screen will appear:

```
+-----+
-----+
|Enter New Template Name:|
+-----+
-----+
```

- Enter the new template name and press Enter
- Select YES, and the template is saved. The following screen will appear:

```
+-----+
|Edit Another Template ?|
|-----|
|NO|
|YES|
+-----+
```

8. Using the TAB or arrow keys, select YES if you want to edit another template, otherwise select NO
 - If you select NO, you are returned to the APL Expert WHICH FUNCTION:? prompt
 - If you select YES, the list of available templates will appear
9. Repeat step 1 through 6

Creating multiple accounts using NEWACCT

The function NEWACCT enables users to create more than one account at a time. The following procedure shows how to use this function.

1. At the APL Expert WHICH FUNCTION:? prompt, type NEWACCT and press Enter. The function starts the line editor (described in [Line editor interface](#)), and opens a data file, as shown in the following illustration

```
WHICH FUNCTION: ? NEWACCT NEWACCT
TYPE *HELP FOR FOLLOWING MESSAGE:
ENTER INFO INDICATED FOR EACH NEW ACCOUNT TO ADD
SELL CODE: 1=LIFO, 2=FIFO, 3=MINTAX, 4=HIGH COST, 5=AVG COST, 6=LOW COST
SHORT NAMES WILL BE CHECKED FOR UNIQUENESS AFTER CLOSE OUT
(0)  SNAM  ACNUMRR SELL TITLE (1)  ----  - - - - -  - - - - -
(2)
```

2. Enter the appropriate data, separated by a single space. Examples are shown on lines 2 and 3 below

Note: The entered data does not have to line up perfectly under the column headings. Just be sure that a space separates each data item.

```
(0)  SNAM      ACNUMRR    SELL      TITLE (1)  ----  -----  ----  ----
-
(2)  WINFOP 135790 51      3 OPRAH   WINFREY
(3)  FERGSA 246802 51      3 SARAH   FERGUSON
(4)
```

Each line that you input contains information about a new account. Users can review, edit, add, or delete lines from this file.

- **SNAM:** The short name (SNAM) uniquely identifies the account. The SNAM must begin with an alpha character and can be no longer than six characters. If possible, use the first four letters of the account holder’s last name and the first two characters of the account holder’s first name
- **ACNUM:** The account number (ACNUM) should be entered in this field
 This number is stored in the BWNUM field after initial set-up.
- **RR:** The registered representative (RR) or broker code also identifies the type of account, as follows:

RR no.	Type of account
0 - 98	Active accounts
94	New accounts not authorized to trade
99	Closed and non-billable accounts
100	Benchmarks
101+	Combined accounts

- **SELL:** The sell code (SELL) identifies how trades, specifically sells, should be booked for an account. The sell code entered in this field is stored in the FOFO field after initial set-up. The valid sell codes are:

Sell code	Type of booking
1	LIFO - Last in, first out
2	FIFO - First in, first out
3	MINTAX - Minimum tax
4	HIGH COST - Highest cost
5	AVGCOST - Average cost

Note: If no sell code is specified, the SELL/FOFO code defaults to 3 (MINTAX).

- **TITLE:** The account title (TITLE) will appear in this field and can be no more than 40 characters. The data in this field will appear automatically whenever you use the account editors

Note: When adding a new account, enter as much information as possible. If any of the information is not available when setting up the account (with the exception of the SNAM), enter 0 for that field. Once the information is available, go back and edit this information using EDITAC.

3. When complete, save the file. To do this, type [Q and press Enter. The system displays the data, lined up under the headings. To change any of the data, use the arrow keys to move to the fields and make the corrections

- Type [Q again, and press Enter. The following message will appear:

THE ACCOUNT FILE FOR xxxxxx IS READY.

where xxxxxx is the SNAM of the account.

Enter a SNAM that is already on the system, and an alert message will appear.

The following screen displays a NEWACCT scenario.

```

THE ACCOUNT FILE FOR WINEOP FER6SA IS READY
POSTGL

AVAILABLE TRDTYS:
OPE OPESTL CLO RCV DLV TFR INT INTACC DIV INC FEEADV FEETAX DIRVRV TAXFEE DLVIN
C RCVINC PRI MEMO

(1)INCOME CASH LEDGER
(2)SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNT DESCRIP
(2)
(3)WINFOP OPE CASH-1 13321 20100524 0 0 *OPENI
(4)FER6SA OPE CASH-1 13321 20100524 0 0 *OPENI
(5)[Q

((1)SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTDESCRIP (2) -----
(5) [Q
Do You Want to Post these entries Now?
    
```

After creating the accounts, the system starts POSTGL to post opening cash balances to the new accounts. In this case, the function displays the accounts set-up with the current date and a zero (0) opening balance.

- Use the arrow keys to move the cursor to those fields and enter the new data to change the opening data for the account

Note: Edit this information later using the function EDITGL.

- Type [Q and press Enter. Any changes and the system redisplay the data, enabling users to change them again if necessary,
- Type [Q and press Enter. The following prompt will appear:

DO YOU WANT TO POST THESE ENTRIES NOW?

- To post the entries, enter Y for YES. If not, type N for NO

- If NO, the entries are not posted and the system returns the WHICH FUNCTION:? prompt
- If YES, the following message will appear:

```
POSTING 1 TRANSACTION FOR SNAM : xxxxxx
```

Where, xxxxxx is the SNAM of the account.

After the transactions have been posted, the following prompt will appear:

```
DO YOU WANT TO RUN UPDATENEW NOW?
```

To add the account to the APL Windows environment, type YES, otherwise type NO. Then, press Enter. The following image displays a POSTGL scenario.

```
THE ACCOUNT FILE FOR WINFOP FERUSA IS READY
POSTGL

AVAILABLE TRDTYS:
OPE OPESTL CLO RCV DLV TFR INT INTACC DIV INC FEEADV FEETAX DIRVMV TAXFEE DLVIN
C RCVINC PRI MEMO

(1) INCOME CASH LEDGER
(2) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTDESCRIP (2) -----
-----
(3) WINFOP OPE CASH-1 13321 20100524 0 0 *OPENI
(4) FERUSA OPE CASH-1 13321 20100524 0 0 *OPENI
(5) [Q
(1) INCOME CASH LEDGER
(2) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTDESCRIP (2) -----
-----
(5) [Q
Do You Want to Post these entries Now? Y
POSTING 1 TRANSACTION FOR SNAM: FERUSA
POSTING 1 TRANSACTION FOR SNAM: WINFOP
DO YOU WANT TO RUN UPDATENEW NOW? N
```

3.2 Viewing account profile data

There are several ways to view account profile data. These functions are CLIENTSCREEN, SCREENAC and EDITAC.

Viewing account data with CLIENTSCREEN

CLIENTSCREEN offers a quick overview of an account.

1. At the APL Expert WHICH FUNCTION:? prompt, type CLIENTSCREEN and press Enter. The following screen will appear:

```
+-----+
|SELECT ACCOUNTS BY SNAM, BNUM OR ACCOUNT PROFILE FIELDS |
|-----+-----|
|FUNCTION: AND|SEARCH: |
|-----+-----|
|1343 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
|-----|
|Esc-Abort F1-Help F10-Go F5-Macro F7-List SF7-Prt F8-Sort SF8-Back |
+-----+
```

2. Type in the account identifiers for the accounts and press F10 to go. View a list of accounts by pressing F7 and sort the accounts by using F8

The first of the four screens will appear.

- First CLIENTSCREEN screen: Account Profile

The first CLIENTSCREEN screen shows the most basic information about the account.

```
12/01/10 10:51 A.M.          Client Services Screen          Screen 1 of 4
                               Account Profile
Account Name.: LUCILLE BALL
Current Value.: 13,601,795.00
Account Number.: 654328123          Percent Cash : 19.04 %
Percent Fixed.: 45.26 %
Percent Equity.: 35.51 %

Desired Broker.: PW          Number of Positions : 50
Style.: BALANC          Last Trade Date : 12/31/10
-----
RR.: 40          Audit :

Contract Date.:

Initial Trade Date.: 05/19/97          Close Date :

Broker.:

-----More -->
<F3> MAIN MENU <F6> EDMEMO <F8>EVAL-REPORT <F9> DIARY
```

This screen provides an account profile, with information about the account's value, management style, and primary broker.

3. Using the right arrow key, move to the second screen

- Second CLIENTSCREEN screen: Performance Summary

From		Total To	Relative Percent	Relative S&P 500	Relative NASDAQ
IID	04/30/97	09/30/10	32.5 %	-100.0 %	67.4 %
YTD	12/31/09	09/30/10	18.7 %	-100.0 %	-14.6 %
QTD	06/30/10	09/30/10	-3.6 %	-100.0 %	-100.0 %
MTD	10/31/10	11/30/10	0.6 %	-100.0 %	-0.3 %

Realized Gains/Losses:

Short Term	0
Long Term	0
Total	0

<-- More ----- More -->
 <F3> MAIN MENU <F6> EDMEMO <F8>EVAL-REPORT <F9> DIARY

This screen summarizes the account's performance history, and its year-to-date realized gains and losses.

- Using the right arrow, move to the third screen

- Third CLIENTSCREEN screen: General Ledger Entries

Deposits from 12/01/10		Withdrawals from 12/01/10	
Last Management Fee Paid		4,700.00	10/15/10
Unsupervised Assets:			

<-- More ----- More -->
 <F3> MAIN MENU <F6> EDMEMO <F8>EVAL-REPORT <F9> DIARY

This screen shows all year-to-date deposits and withdrawals.

- Using the right arrow, move to the fourth and final screen

- Fourth CLIENTSCREEN screen: Restrictions/ Miscellaneous

```
12/01/10 10:51 A.M.      Client Services Screen      Screen 4 of 4
                          Restrictions/Miscellaneous

Account Restrictions      Restriction Codes
HAS A                    A  NO SOUTH AFRICAN
THIS IS A TEST          B  NO ABUSIVE ANIMAL TESTING
                          C  NO COSMETIC
                          D  NO DEFENSE/WEAPONS/MILITARY
                          E  NO UTILITIES
                          F  NO FINANCE
                          G  NO GAMBLING
                          I  NO PORNOGRAPHY
                          K  NO ABORTION
                          L  NO ALCOHOL
                          M  NO AGENCY BONDS
                          N  NO NUKES
                          O  NO OIL STOCKS
                          P  NO POLLUTERS
                          S  NO SIN STOCKS
                          T  NO TOBACCO
                          U  NO UNION

<-- More -----
<F3> MAIN MENU <F6> EDMEMO <F8>EVAL-REPORT <F9> DIARY
```

This screen shows the account's trading restrictions. Users may also view the memo codes posted to the account by pressing F6, and creating an appraisal report (BWTX report) by pressing F8.

Note: INFODEX clients may post diary notes to the account by pressing F9.

6. To exit the function, press F3. The search screen will appear again. To view another account, repeat steps 2-5
7. Press ESC to completely exit function and return to the APL Expert WHICH FUNCTION:? prompt

Another view that can be edited: SCREENAC

SCREENAC offers another quick overview of account profile data.

Account data can also be edited using SCREENAC.

1. At the APL Expert WHICH FUNCTION:? prompt, type SCREENAC and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? SCREENAC

SCREENAC

1343 ACCOUNTS CURRENTLY ON FILE

SEARCH FOR WHAT?
```

2. Enter the account selection criteria. Then, press Enter

Note: This function should not be used for more than ten accounts at a time.

The following prompt will appear:

```
WHICH FUNCTION: ? SCREENAC
SCREENAC
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? BALLLU JORDMI WOODTI
3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

3. Select more than one account and control the order in which they appear by entering SORT and selecting ascending or descending for the order. Narrow the search by using the AND or OR commands. (Entering HELP at the prompt displays the available operations.)

To ignore any of these commands, simply press Enter. The following will appear:

```
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
-----ACCOUNT MASTER SCREEN-----
DESCRIPTION: LUCILLE BALL
SNAME: BALLLU

ADM:   JFK      AMTMTH: BLANK  AUDIT: BLANK  BANK:  BLANK
BASEAC: -9999  BASEAL:      BEGDTE: 0      BILLNO: BLANK
BRKPCT: BLANK  BWNUM: 1188  CHARAC: TRAIN  CLODT: 0
COMBON: BLANK  CUSTOD:      CUST1: TRAIN  CUST2: TRAIN
CUST3: TRAIN   CUST4: TRAIN  CUST5: TRAIN  CUST6: TRAIN
CUST7: TRAIN   DESBRK: PW    DESFIX: 25.00  DESPCT: 70.00
DISCRT: BLANK  DISVOT: BLANK DTCBRK:      DTCNO1: 654328
DTCNO2: 123    FAMILY:      FDTYPE: BALANC FEEAGR: BLANK
FISCAL: 0      FIXED: FOFO: 3  FREQCY:
INVGRP: TRAIN  MGR: MOE    MINMUM:      MMFUND: BLANK
NAMES: 50  NDATE: 19970519  OBJECT: GROWTH  OLDAC:
OPEDT: 19970101  QRTFEE:      RECEPT: BLANK  REPFQY: BLANK
RESID: BLANK   RR: 40  SELLCD:      SOCIND: BLANK
SOCSEC:      SOURCE: TRAIN  SPECNU:      STKUNV: BLANK
SWEEP: BLANK  TXSTAT: BLANK  TYPCMB: BLANK  VEHICL: BLANK
XRSTAT: BLANK

HIT RETURN WHEN READY, OR ENTER '(P' TO PRINT:
```

4. To edit any of the data (with the exception of the SNAM and NDATE fields), use the arrow keys to move to the field and type in the new data. Press Enter after the desired changes have been made

Notes:

- The SNAM (short name) field can be edited using the EDMISC function
- The NDATE (account open date) field cannot be changed

5. To print an image of the data, type [P and press Enter. A print file is sent to your designated printer
6. To exit the function, press Enter
 - Selected only one account in step 2, and the APL Expert WHICH FUNCTION:? prompt will appear
 - Select more than one account in step 2, the following prompt will appear:

```
HIT RETURN TO SEE THE NEXT ACCOUNT, OR ENTER 'S' TO SELECT MORE
ACCOUNTS :
```

7. Press Enter to see the next account, or type [S and press Enter to select additional accounts. Enter [S, and the SEARCH FOR WHAT? prompt will appear. Repeat steps 2 through 6

3.3 Editing or viewing account profile data

There are several functions that enable users to edit account profile information. These functions are EDITAC, EDAC and EDMISC.

Editing or viewing a single account using EDITAC

Account profile information can be edited or viewed using the EDITAC function. We have discussed, in detail, the steps required for running EDITAC in [Creating an account using EDITAC](#). Below is a summary of running EDITAC.

1. At the APL Expert WHICH FUNCTION:? prompt, type EDITAC and press Enter
2. Enter the account identifier and press F10 to go
3. Select the account template to be used in viewing account data and press Enter
4. Select additional fields to edit or press F10 to continue
5. Press F10 to save any data changes or press F3 to exit
6. Select YES to edit INFODEX fields. NO to exit
7. Select YES to edit INFODEX fields, press F3 to exit the INFODEX screen

Editing multiple accounts using EDAC

To edit the account profile data on multiple accounts and to make changes at one time, use the function EDAC.

1. At the APL Expert WHICH FUNCTION:? prompt, type EDAC and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? EDAC EDAC
*****
Try SCREENAC or EDITAC
*****
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT?
```

2. Enter the account selection criteria and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT? BALLLU JORDMI WOODTI
3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
```

3. Select more than one account, and control the order in which they appear by entering SORT and selecting ascending or descending for the order. Narrow the search by using the AND or OR commands. (Entering HELP at the prompt displays the available operations.) Then, press Enter. The following prompt will appear:

```
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
EDIT WHICH FIELDS: (? TO LIST FIELDS, RET TO QUIT) :
```

4. For a list of editable fields, type ? and press Enter. The following screen will appear:

```
EDIT WHICH FIELDS: (? TO LIST FIELDS, RET TO QUIT) : ?
ALLOWED FIELDS ARE :
ADM   AMTMTH AUDIT  BANK  BASEAC BASEAL
BEGDTE BILLNO BRKPCT BWNUM CHARAC CLODT COMBON CUSTOD CUST1 CUST2
CUST3
CUST4 CUST5  CUST6  CUST7  DESBRK DESFIX DESPCT DISCRT DISVOT DTCBRK
DTCNO1
DTCNO2 DTD   FAMILY FDTYPE FEEAGR FISCAL FIXED FOFO  FREQCY INVGRP MARG
MGR   MINMUM MMFUND NAMES NDATE OBJECT OLDAC OPEDT QRTFEE RECEPT REP-
FQY
RESID RRSALTAX SELLCD SNAM  SOCIND SOCSEC SOURCE SPECNU STKUNV SWEEP
TXSTAT TYPcmb VALUE VEHICL WCASH WCOST WEQUTY WFIXED WINCME WTIME WTOTAL
W13321 XRSTAT
EDIT WHICH FIELDS: (? TO LIST FIELDS, RET TO QUIT) :
```

5. Enter the account master fields you wish to edit and press Enter. EDAC starts the line editor (as described in [Line editor interface](#)). Enter [P to show a list of selected accounts, along with the fields you selected

```
EDIT WHICH FIELDS: (? TO LIST FIELDS, RET TO QUIT) : SNAM MGR OPEDT
(7) [P
(0)
(2) SNAM      MGR      OPEDT      DESCRIPTION
(3)  -----  -----  -----
(4) BALLLU    MOE19970101  LUCILLE BALL
(5) JORDMI    MEM20000422  MICHAEL JORDAN
(6) WOODTI    MEM20050422  TIGER WOODS
(7)
```

6. To edit, use the arrow keys, move to the desired fields, type over the data and press Enter

Note: Keep in mind that the SNAM and NDATE fields cannot be edited using this function.

7. Type [Q and press Enter to save the data
8. Type [Q and press Enter to exit the function

Editing the short name code (SNAM) using EDMISC

There are two Account Master fields that cannot be edited from EDAC or EDITAC: the short name (SNAM) and account open date (NDATE) field. Although the NDATE code cannot be changed, use the EDMISC function to change the SNAM code.

1. At the APL Expert WHICH FUNCTION:? prompt, type EDMISC and press Enter. The system responds with the SEARCH FOR WHAT? prompt:

```
WHICH FUNCTION: ? EDMISC
EDMISC
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT?
```

2. Enter the account selection criteria and press Enter. The following will appear:

```
SEARCH FOR WHAT? BALLLU JORDMI WOODTI
3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
```

3. To sort the accounts, narrow or broaden your search, enter the appropriate command, and press Enter. Subsequent prompts may appear depending on the command. Answer these prompts, and press Enter. The EDMISC editor starts

```
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
FOR SELL CODES, ETC.. TYPE *HELP (0)
(1) RR  SNAME  A/C NUM  CASHTRDATE  SELL BRK#  DTC A/C #
(2)  ---  -----  -----  -----  -----  -----
(6)
```

4. Display the selected accounts by typing [P and pressing Enter
5. Use the arrow keys to move to the desired fields and type over the existing data and press Enter
6. Type [Q and press Enter to save the changes that were made
7. Type [Q and press Enter to exit the function

Creating and editing broker codes

Broker codes are stored in a table that is referenced using the function EDRRNM. EDRRNM enables users to set up and store broker information such as codes, commission amounts, and ticket charges.

1. At the WHICH FUNCTION:? prompt, type EDRRNM and press Enter. The table containing broker data will appear:

```
WHICH FUNCTION: EDRRNM
(0) CODE  BROKER NAME / CONTACT / CATG / BUDGET / TICKET CHARGE
(1) -----
(2)AGE    A G EDWARDS
(3)ALPHA  ALPHA SECURITIES
(4)BSI    BRETTON WOODS
(5)DBS    DREYFUS BROKERAGE SERVICES/JIM O'CONNOR/ / /5.00
(6)WFS    Wells Fargo
(7)UBS    UBS/DEAN WITTER
(8)ETRADE ELECTRONIC TRADING COMPANY
(9)FBTD   FIRST BOSTON
(10)      FREE  TRADE ANYWHERE
(29)
```

2. To edit existing data: Use the arrow keys, move to the line to edit, type in the new information, and press Enter to record the changes for that line

To enter new information: On the first blank line, begin typing the new information, and press Enter. Enter the data for each column, separated by a forward slash (“/”) character. If there is no data for a particular column, type another forward slash character. Then, press Enter to record your changes for that line.

3. To exit and save all data, type [Q and press Enter. The APL Expert WHICH FUNCTION:? prompt will appear

Note: With this particular line editor interface, type [Q twice to save the data and exit.

3.4 Copying and combining account data

There are times when users may need to copy or combine accounts. For example, users may want to test the action of a particular function before actually applying the results to actual accounts. Users may also need to combine accounts if you manage a family of accounts, and want to report on the combined assets of all of the accounts in the family.

Copying account data using COPYACT

1. At the APL Expert WHICH FUNCTION:? prompt, type COPYACT and press Enter. The following will appear:

```
Enter Account to Copy From:  
XXXX ACCOUNTS CURRENTLY ON FILE  
SEARCH FOR WHAT?
```

2. Enter the account selection criteria for the accounts to copy. Users may enter more than one account; however, only one new account forms. The following will appear:

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

3. Press Enter. Normally, at the NEXT OPERATION prompt, sort the accounts or broaden or narrow the account selection. However, in this case, these functions are not necessary. The following prompt will appear:

```
Enter Account to Copy To:  
XXXX ACCOUNTS CURRENTLY ON FILE  
SEARCH FOR WHAT?
```

4. Enter the account identifier for the account to which the data should be copied, and press Enter. The following will appear:

```
Are You Sure You Want to Erase All Data in Account XXXXXX?
```

where XXXXXX is the short name (SNAM) of the account entered in step 4.

To erase the data in the account, type Y or YES and press Enter. Otherwise, type N for NO and press Enter.

- Type NO, the APL Expert WHICH FUNCTION:? prompt will appear
- Type YES, and entered only one account in step 2, the following prompt will appear:

```
Do you want to copy AC and DBCLT fields too?
```

Enter more than one account in step 2, and this prompt does not appear.

5. To copy the account profile data in addition to the account portfolio data, enter Y or YES. Otherwise, enter N or NO

Note: If a user copies account profile data, the system creates two accounts with identical information. This means that transactions hit both accounts or miss both accounts, depending on the scenario.

Messages appear on the screen that data is being combined. When copying is complete, the APL Expert WHICH FUNCTION:? prompt will appear.

Combining account data permanently

There are several steps required for setting up a permanent combined account.

Combining account profiles with EDITAC

When combining account data is to make sure the "combined" account profile data has been set up. If the combined account has not been set up, use the function EDITAC.

After setting up the combined account, identify this account as a combined account, and map the individual accounts to the combined account.

1. At the APL Expert WHICH FUNCTION:? prompt, type EDDESPCT and press Enter. The EDDESPCT table will appear:

```
WHICH FUNCTION: ? EDDESPCT EDDESPCT (PUBLIC)
(1)      SNAM  RA  CATEGORY, PCT, CATEGORY, PCT, . . . ETC
(2)      AFFEBE -1  BOGAHU
(3)      AIKMTR -1  TRSMST
(4)      BALLLU -1  BOGAHU
(5)      BARKCH -1  BOGAHU
(6)      BERGIN -1  BOGAHU
(7)      BULLSA -1  BOGAHU
(8)      CAGNJA -1  BOGAHU
(9)      CDANEK -1  GIBSML, GARLJU, NEWMPA, HOPEBO, ASTAFR
(10)     CROWRU -1  BOGAHU
(11)     DAVISF -1  CALVET, DDAVIS
(131)
```

2. The data should be entered on the first available blank line:

[TARGET SNAM] [-1] [SOURCE SNAMS]

Where,

- [TARGET SNAM] is the short name of the account that contains the combined data (the target account)
- [-1] is an indicator identifying TARGET SNAM as a combined account
- [SOURCE SNAMS] are the short names of the source accounts to be combined

EDITAC example: For example, to combine account data for BALLLU, JORDMI, and WOODTI into a single account COMBAC, enter it as:

```
(131) COMBAC -1 BALLLU JORDMI WOODTI
```

Users can safely and accurately combine up to ten accounts into one account. To combine more than ten accounts, set up separate combined accounts and one "master" combined account. The combined accounts can then be mapped and combined into the "master" combined account.

Note: Do not combine more than 10,000 tax lots.

3. After mapping the accounts, type [Q and press Enter to save the data
4. Press [Q and press Enter to exit the function

Merging account data with COMBONYC

After identifying the combined account as such and have mapped the individual accounts to the combined account, the data of the individual accounts need to be merged into the combined account. This is done using the function COMBONYC.

1. At the APL Expert WHICH FUNCTION:? prompt, type COMBONYC and press Enter. The following will appear:

```
WHICH FUNCTION: ? COMBONYC  
COMBONYC (PUBLIC)  
COMBONYC  
SCAN WHICH ACCOUNTS (RETURN FOR ALL)  
1343 ACCOUNTS CURRENTLY ON FILE S  
SEARCH FOR WHAT?
```

2. Enter the short name (SNAM) of the combined account. Enter more than one combined account, or press Enter to combine data for all combined accounts. The following will appear:

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

3. To sort the accounts, or broaden or narrow the selection, enter the appropriate commands and answer the subsequent prompts accordingly. Otherwise, press Enter. The following will appear:

```
COMBAC <= BALLLU JORDMI WOODTI  
SURE YOU WANT TO COMBINE THESE ACCOUNTS?
```

COMBAC is the SNAM of the combined account, and BALLLU, JORDMI, and WOODTI are the individual accounts that make up the combined account.

If a user uses a database manager command to select the account, and there are several combined accounts with these characters in the SNAM, all of them appear. For example, if a user enters SNAM EQ COM and there are several combined accounts that start with COMB, all of them appear above.

4. Enter Y or YES to combine all of the accounts that appear; otherwise, type N or NO
 - Enter YES, and messages appear on screen showing that the data is being combined. When combining is complete, the APL Expert WHICH FUNCTION:? prompt will appear
 - Enter NO, and nothing happens. The APL Expert WHICH FUNCTION:? prompt will appear

Combining account data temporarily using COMBINE

To create a combined account for temporary use into the COMBO account, use the COMBINE function.

Creating a temporary account for merged data with COMBO

1. At the APL Expert WHICH FUNCTION:? prompt, type COMBINE and press Enter. The following will appear:

```
WHICH FUNCTION: ? COMBINE COMBINE (PUBLIC)  
TO COMBINE ACCOUNTS TEMPORARILY, (SNAM = 'COMBO'),  
SELECT THEM AT THE 'SEARCH FOR WHAT' LEVEL...  
1343 ACCOUNTS CURRENTLY ON FILE  
SEARCH FOR WHAT?
```

2. Enter the account selection for the accounts to temporarily combine into the COMBO account. The following will appear:

```
SEARCH FOR WHAT? BALLLU JORDMI WOODTI 3 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

3. Press Enter. Typically, at this prompt enter additional commands to sort accounts, or broaden or narrow the account selection. However, in this case, this is not needed

The following will appear:

```
YOU HAVE SELECTED: BALLLU JORDMI WOODTI SURE YOU WANT TO COMBINE THESE  
ACCOUNTS ?
```

4. To combine these accounts, enter Y or YES; otherwise, enter N or NO
5. If you typed NO, the SEARCH FOR WHAT? Prompt will appear. Repeat steps 2 and 3
6. If you typed YES, the following will appear:

```
SURE YOU WANT TO COMBINE THESE ACCOUNTS ? Y  
ENTER ACCOUNT TITLE FOR THIS COMBINED ACCOUNT (UP TO 40 CHARS:) ACCOUNT  
TITLE:
```

7. Enter the description for the combined account COMBO. The following will appear:

```
SURE YOU WANT TO COMBINE THESE ACCOUNTS ? Y  
ENTER ACCOUNT TITLE FOR THIS COMBINED ACCOUNT (UP TO 40 CHARS:)  
ACCOUNT TITLE: COMBINED BALL/JORDAN/WOODS ACCOUNT  
ACCOUNT TITLE: >COMBINED BALL/JORDAN/WOODS ACCOUNT< OK ?
```

8. If this is the correct description, type Y or YES; otherwise, type N or NO
Type NO, and the ENTER ACCOUNT TITLE prompt will appear. Repeat steps 4 and 5.
9. Once the accounts have been combined, the following message will appear on the screen:

```
YOU MAY NOW RUN ANY REPORT AND CALL THESE ACCOUNTS UNDER SNAM: COMBO.
```

Note: If the number of tax lots in the combined accounts exceeds 10,000, the accounts cannot be combined.

3.5 Deleting accounts by using PURACCT

There may be a need to permanently delete accounts from the system. The reasons could vary from an account being set up in error, to the account no longer being active. Whatever the reason, the account can be purged from the APL system entirely by using the function PURACCT.

Important: Accounts deleted by PURACCT cannot be recovered.

1. At the APL Expert WHICH FUNCTION:? prompt, type PURACCT and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

2. Enter the account selection criteria for the account(s) you want to purge from the system. The following message will appear:

```
YOU HAVE SELECTED :  
  
[The selected account short names will appear here]  
  
DO YOU REALLY WISH TO PURGE ALL OF THESE ACCOUNT(S) ?
```

- To delete all of the selected accounts, enter YES. Otherwise, enter NO
- Selected YES, and the following message will appear:

```
PURGING THESE ACCOUNT(S) FROM THE SYSTEM!!
```

- When the purge is complete, the following message will appear:

```
PURGE DONE....
```

- The APL Expert WHICH FUNCTION:? prompt

3.6 Searching for account short names by using FINDSNAM

Often, users may forget the short name (SNAM) created for a particular account but know the full name of the account. The function FINDSNAM enables users to search for the SNAM of an account using part of the description or long name.

1. At the APL Expert WHICH FUNCTION:? prompt, type FINDSNAM and press Enter. The following will appear:

```
WHICH FUNCTION: ? FINDSNAM ENTER PARTIAL ACCOUNT NAME :
```

- Enter part of the description. A list of the accounts that contain the string you entered will appear, and the APL Expert WHICH FUNCTION:? prompt will appear

```

WHICH FUNCTION: ? FINDSNAM
ENTER PARTIAL ACCOUNT NAME: BOGART

      Accounts with a Description Containing Occurrences of : BOGART
RR      SNAM      (BWNUM )      (DTCNO)      LONG NAME
-----
-----
40      BOGAHU (1550)              654328123      HUMPHREY BOGART
SNAM.LST
FUNCTION COMPLETED, HIT RETURN TO CONTINUE...
    
```

A report file called SNAM.LST is also created containing the same information that will appear on screen.

3.7 Auditing account master data

There are several reports that can be run to find incomplete data or discrepancies in account master profile data. These are listed in the following table.

Report	Description
AUDITAC	Displays information on accounts that are missing data that should be corrected.
AUDITDESBK	Displays accounts with bad designated broker codes or account numbers.
AUDITDTCNO	Displays accounts with duplicate account or DTC numbers.
CHECKOPEDT	Displays accounts that have dates coded in the OPEDT field that are questionable.

Note: A list of fields that are viewable or editable in the account master database can be found in [Account Master fields](#).

3.8 Summary of account master functions

Adding

Function	Description
NEWACCT	Adds one or more new accounts to the system

Combining

Function	Description
COMBINE	Temporarily combines one or more accounts into one account named COMBO
COMBONYC	Combines one or more accounts into one specified accounts

Copying

Function	Description
COPYACT	Copies one or more accounts into another account

Deleting

Function	Description
PURACCT	Permanently deletes one or more accounts from the system

Editing

Function	Description
EDAC	Edits account master data for one or more accounts
EDITAC	Edits account master data for one account. Can also use to create a new account
EDITACFIELDS	Edits account master field mapping
EDDESPCT	Identify and map combined accounts

Function	Description
EDMISC	Edits account short names and registered representative codes
EDRRNM	Edits broker codes

Searching

Function	Description
FINDSNAM	Searches for the SNAM of an account based on a partial description

Viewing

Function	Description
SCREENAC	Views account master information for one or more accounts

Chapter 4: Account Memo Files

Every account in APL Expert has an associated account memo file. This file contains data used by various functions in reporting, posting and trading to customize APL Expert to meet the needs of the user.

Note: There are some standard codes used for general posting and reporting. These codes are listed in this user guide where applicable. Other customizing requests or questions regarding memo file codes should be directed to our client services team.

Account memo entries can be associated with selected accounts, or they can apply to all accounts. The functions that allow you to post, edit, remove and print memo entries are called EDMEMO, MEMOCODE and EDGLOBALMEMO.

4.1 Create memo files with EDMEMO

EDMEMO allows you to create and edit the memo file for a single account or a group of individual accounts.

1. At the WHICH FUNCTION:? prompt, type EDMEMO and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? EDMEMO
EDMEMO (PUBLIC)
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT?
```

2. Enter the account identifier or database manager commands for the accounts to create or edit memo entries. (In this example, the account short names BALLLU, JORDMI, and WOODTI are entered after the SEARCH FOR WHAT? prompt.) Then, press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? EDMEMO
EDMEMO (PUBLIC)
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? BALLLU JORDMI WOODTI
3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

- To sort the selected accounts or to broaden or narrow your search, enter the appropriate database manager commands and press Enter. Answer the subsequent prompts accordingly. The following prompt will appear:

```
WHICH FUNCTION: ? EDMEMO
EDMEMO (PUBLIC)
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? BALLLU JORDMI WOODTI 3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP): EDIT OR PRINT ?
```

- From the EDIT OR PRINT? prompt, choose to edit the first account memo file (in this case, BALLLU), or copy its contents to the print queue

EDMEMO EDIT function:

- To edit the account memo file, type E or EDIT. The line editor starts. (For more information about using [Line editor interface](#)

```
WHICH FUNCTION: ? EDMEMO
1343 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? BALLLU JORDMI WOODTI 3 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP): EDIT OR PRINT ?
E
(1)  LNAME= LUCILLE BALL
(2)  SNAM= BALLLU ACNUM= -001188DTC= 654328123
(3)  MEMOS/NOTES
(3)  -----
(4)  AIMR: E1 10/31/07 06/30/08 (5)  AIMR: E2 7/31/08
(6)  RESTRC: HAS A
(7)  RESTRC: THIS IS A TEST
(8)
```

From this screen, users can edit, add, or delete entries. Currently, there is no set limit on the number of memo entries as long as the codes for the entries are valid.

When finished editing, type [Q and press Enter to save the data and exit the editor.

EDMEMO PRINT function

- Select PRINT, type P or PRINT to print specific memo entries. Press Enter. The following prompt will appear:

```
SCAN FOR SPECIFIC FIELDS (E.G. RESTRC OR <RET> FOR ALL) :
```

Enter the fields or codes, or leave blank to return all field data, and press Enter.

A print file named EDMEMO.LRP is created, containing the information requested. The print file is sent to the print queue, where it is held until users choose to print, view, or delete it. See [Viewing and printing reports using BROWSE, QUE, and PRINT](#).

4.2 Add or remove memo entries with MEMOCODE

MEMOCODE allows users to add or remove memo entries for a group of accounts simultaneously.

1. At the WHICH FUNCTION:? prompt, type MEMOCODE and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

2. Enter the account identifiers (such as the account short name) of the accounts to create or edit memo file entries and press Enter

Note: To sort the selected accounts or to broaden or narrow your search, use a utility such as \SELECTAC to perform sophisticated searches. See [Line editor interface](#) for more information.

After selecting accounts, the following prompt will appear:

```
NEXT OPERATION (HOT RETURN WHEN DONE, OR TYPE HELP)
```

3. Additional accounts can be selected. Type HELP at this prompt to see the available options
Selected the accounts with memo files that you want to edit, the following prompt will appear:

```
WOULD YOU LIKE TO <A>DD OR <R>EMOVE ITEMS, OR <Q>UIT ??
```

4. Type A to add an entry, R to remove an entry or Q to exit the function without doing anything

 - Select A, the following prompt will appear:

```
ENTER CODE TO ADD (EG: TRATTN: ) :
```

- Enter the code and press Enter. The following prompt will appear:

```
ENTER DATA TO ADD FOR THE xxx REQUESTED (EG. TICK EQ XYZ)
```

where xxx is the code entered.

- Enter the data to be assigned to the code and press Enter. A summary line describing what will be posted to the selected accounts will appear for verification

```
AMORT SL  
PLEASE ANSWER YES OR NO?
```

- If the information that will appear is incorrect, type N and press Enter. The WHICH FUNCTION:? prompt will appear
- If the information that will appear is correct, type Y and press Enter. The data is then posted to the selected accounts. The information will appear on the screen, and is stored in a print file called RESTRPT.LRP
- Select R, the following prompt will appear:

```
ENTER CODE TO REMOVE (EG: TRATTN: ) :
```

- Enter the code and press Enter. The following prompt will appear:

```
ENTER DATA TO REMOVE FOR THE xxx REQUESTED (EG. TICK EQ XYZ)
```

Where, xxx is the code entered.

5. Enter the data to be assigned to the code and press Enter. A summary line of what will be removed from the selected accounts will appear for verification

```
AMORT SL  
PLEASE ANSWER YES OR NO?
```

- If the information that will appear is incorrect, type N and press Enter. Nothing is done; and the WHICH FUNCTION:? prompt will appear
- If the information that will appear is correct, type Y and press Enter. The data is removed from the memo file for the selected accounts. The information will appear on the screen and is stored in a print file called RESTRPT.LRP

4.3 Create and edit global account memos with EDGLOBALMEMO

EDGLOBALMEMO allows users to create and edit entries in the memo file for all accounts. There are several ways to use this feature:

- Use it to enter standard terms or phrases for general ledger entries. This keeps the appearance of reports and statements consistent
- Use it to restrict trading on particular securities

Important: Because this function impacts all accounts, caution is recommended.

At the WHICH FUNCTION:? prompt, type EDGLOBALMEMO and press Enter. The following prompt will appear:

EDIT OR PRINT

1. Type E to edit or P to print

- Select E, the global memo file will appear
 - Enter the coding to be used and press Enter
 - After entering all of the codes, type [Q and press Enter to save data and exit the function
- Select P, the following prompt will appear:

```
SCAN FOR SPECIFIC FIELDS (E.G. RESTRC OR <RET> FOR ALL) :
```

- Enter the fields or codes to print and press Enter. The following prompt will appear:

```
SHOW ACCOUNTS CONTAINING OR MISSING THE FOLLOWING FIELDS: xxx?
```

Where, xxx is the field or code.

- Type C or Containing to show accounts that contain memo entries with the specified code
- Type M or Missing to show accounts that are missing or do not contain the specified code. Press Enter. A print file is created containing the information requested. The print file is called EDMEMO.LRP

This file, which is stored in the print queue, can be viewed using the BROWSE command, described in [Viewing reports using BROWSE](#). Users can also print this file using the QUE command, described in [Printing queued reports using QUE](#).

Chapter 5: Security Master Database

This section outlines the procedures for editing data for listed securities and how to add data for unlisted securities.

5.1 Security master databases

Our clients can leverage any of five security master databases.

- Three of these databases are universal to the APL system. Only our staff can add or edit them
- The remaining two databases are unique to each client. The client can edit data or add securities to them

The content of these databases are described in the following table:

Database File	Description	Updated
BW:SECSA	Main database. It includes all listed stocks, corporate bonds, convertible bonds, and government securities.	Daily
BW:SECOPT	Contains all exchange-traded options calls, puts and futures.	Daily
BW:SECMIS	Contains miscellaneous securities such as indexes, exchange rates and bond funds.	Daily
XXXHOT	Client's subset of the BW:SECSA and BW:SECOPT databases. We price these securities and updates the database on a nightly basis.	Daily
XXXSEC	Client's private securities. Municipal bonds, unlisted corporate bonds, collective funds, unlisted and privately held securities, mortgages, CATs and TIGRs are found in this file. We price the municipal bonds, CATs, TIGRs, and CUSIPed corporate bonds. All other securities in this database should be priced and updated by the client.	Daily, Weekly, Monthly; depends on the issue types held.

5.2 Adding new securities to security databases

Users may need to add a security to the APL system. The reasons can vary from it not being a listed security or it being a newly issued security that has not yet been added to the security databases on the APL system.

There are several functions that allow users to add securities to the APL system.

- Single securities can be added using EDITSEC. See [Adding a single security using EDITSEC](#)
- A group of securities can be added using ADDSEC. See [Adding "special" securities](#)

Adding a single security using EDITSEC

The function EDITSEC allows you to add one security at a time to the system.

Note: If a security already exists in the BW:SECSA database but is not in the HOT file, the system asks if to move it to your HOT file. Always choose to move it, since the HOT file is the proper place for private securities.

Security Selection dialog box

1. At the WHICH FUNCTION:? prompt, type EDITSEC and press Enter. The following screen will appear:

```
+-----+
|ENTER SECURITY (CUSIP, TICKER OR SACUS) - F-8 Search for Security|
|-----|
||
+-----+
```

2. Enter the security identifier and press Enter. The following screen will appear:

```
+-----+
|Security Not Found. Do You Want to Add This Security ?|
|-----|
+-----+
```

3. Use the TAB or arrow keys to select YES if you want to add the security, or NO to cancel, and press Enter
 - Select NO, and return to the previous screen
 - Select YES, and the following screen will appear:

Alternate work-flow: Request to add security

A security can be added automatically from the APL-selected security descriptive data vendor by making an On-Demand Request. This feature requires additional setup configuration.

If enabled a prompt will be displayed at this point in the work-flow:

```
Do you want to add manually or submit an on-demand request?
MANUAL
ON-DEMAND
```

- Select **MANUAL**, to continue to add manually using the standard work-flow
 - Select **ON-DEMAND** to send a request for security information to the APL-selected security descriptive data vendor and, if successful, automatically add it to the client private security database
- a. When **ON-DEMAND** is selected, the On-Demand Security Request screen is displayed with the CUSIP column populated with the entered security identifier

```
09/26/17 12:53 P.M.
On-Demand Security Request
CUSIP      Notes
-----
958634559

Esc/F3-Exit  Enter/F6-Insert Line  SF6-Delete Line  F10-Save
```

Important: CUSIP is required. If another security ID was originally entered, edit it to CUSIP.

Additional securities may be added by entering their CUSIPs on new lines (F6- Insert Line) in the request screen.

- b. Select **F10-Save** to have the CUSIPs validated

Note: A CUSIP is valid if it is a 9 character, alpha-numeric security ID with a proper check digit (If an 8 character alpha-numeric security ID is entered, the check digit will be derived and appended).

- c. If a CUSIP is not valid a warning message is displayed. Select **Esc** to return to the request screen

```
HIT ESCAPE TO EXIT
Problems found with some CUSIPs.
Please review before pressing F10 to continue.
```

- d. The request screen is updated with one of the validation results in the **Notes** column:

- OK to send
- Not sent. Invalid CUSIP
- Not sent. Security in private security master
- Not sent. Security in public security master

```
10/05/17 9:01 A.M.
On-Demand Security Request
CUSIP      Notes
-----
234586741 OK to Send.
DJGF034   Not Sent. Invalid CUSIP.

Esc/F3-Exit  Enter/F6-Insert Line  SF6-Delete Line  F10-Save
```

Invalid CUSIPs can be corrected or removed. Securities with a failed validation will not be sent to the vendor however they do not need to be removed from the list.

The request will be sent for securities with a **Note of OK to send**.

- e. Select **F-10 Save** again to send the request for valid securities. A confirmation message is displayed
 - Select NO: The request is not sent or saved. The work-flow returns to the beginning Enter Security prompt
 - Select YES: The request is made to the vendor
- f. If successful, security information is received back from the vendor, and if the securities still do not exist they are added to the client private security master. For securities that now exist, their fields will be updated
- g. The work-flow returns to the beginning Enter Security prompt

The status of On-Demand Requests can be viewed from **ONDEMANDSTATUS**.

Securities may also be added using the function **ONDEMANDREQUEST**.

Alternate Work-flow Ends

```
+-----+
|Which Security Identifier Should Be Used to|
|Identify Security: NWSC?|
|-----|
+-----+
```

4. Use the TAB or arrow keys to select the appropriate type of security identifier, and press Enter. The following screen will appear:

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

|Please Select FIXTYP for this Security|
|-----|
---|

|CASH  FIXED  INDIV|
|CORP  MNENDNAME CPNRT MATDT YTM DURAT MCALLD MCALLP MPUTDT MPUTPR SPPDT
PR|
|CVBOND CPNRT MATDT YTM DURAT INDIV SPPDT|
|MISC   SIC PRICDT ADATE MRATNG SNPRAT ISSTY RESTRC INDIV MKEY|
|EQUITY DIV1 DIV2 DIV3 DIV4 REC1 REC2 REC3 REC4 PAY1 PAY2 PAY3 PAY4
PRICDT R|
|FORBND CPNRT MATDT YTM DURAT SPPDT MCALLD|
|FGNEQT DIV1 DIV2 DIV3 DIV4 REC1 REC2 REC3 REC4 PAY1 PAY2 PAY3 PAY4|
|FLOAT  CPNRT MATDT YTM DURAT RESET|
|FNMA-P CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PRICDT|
|GNMA   CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY
W|
|MBS    CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY
W|
|CMO    CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY
W|
|MUNI   CPNRT MATDT DTD DTDFL SPPDT YTM DURAT MRATNG SNPRAT MCALLD MCALLP
MP|
|MUNZER CPNRT MATDT YTM DURAT MCALLD MCALLP MPUTDT MPUTPR PRERED PREREP
SPPD|
|USTBIL CPNRT MATDT YTM DURAT FIXED QRENDNAME MNENDNAME PRICDT|
|USTBND CPNRT MATDT DTD DTDFL SPPDT YTM DURAT QRENDNAME MNENDNAME PRICDT
|
|USTNOT CPNRT MATDT YTM DURAT QRENDNAME MNENDNAME PRICDT|
```

```
| ZERO  CPNRT  MATDT  YTM  DURAT  MCALLD  MCALLP  MPUTDT  MPUTPR  PRERED  PREREP
SPPD |

| PRICE  PROCT  PRSEP  PRAUG  PRJUL  PRJUN  PRMAY  PRAPR  PRMAR  PRFEB  PRJAN  PRNOV
|
+-----+
---+
```

- Use the TAB or arrow key to select a FIXTYP and press Enter

Note: A FIXTYP is the name of a security master template. These templates define which security master fields are associated with a particular type of security. See [Creating and editing security master templates using FIXTYP](#) for more information.

```
+-----+
|Are You Sure You Want to Add This Security Now ?|
|-----|
+-----+
```

- Use the TAB or arrow key to select YES to add the security, or NO, and press Enter. Selecting YES displays the Security Edit screen

```
SAMPLE ASSET MANAGEMENT          F-1 for FIXTYP Info 06/18/10 10:58 A.M. F-3 to Quit
Security Edit Screen              F-5 to Refresh
-----                          F-8 for Options
DESC:      F-10 to Save

CUSIP: BLANK BLA  FIXTYP: EQUITY  ISSTY: 0  TICK:  NWSC DTD: 0  DTDFL: BLANK  SACUS: -35565
CLSEP: 0.000000

-----
DIV1:      0.00000  DIV2:      0.00000  DIV3:      0.00000  DIV4:      0.00000
REC1:      0        REC2:      0        REC3:      0        REC4:      0
PAY1:      0        PAY2:      0        PAY3:      0        PAY4:      0  PRICDT: 0  RESTRC: BLANK
```

7. Using the TAB key, move to the fields and enter the required data

Field	What to enter
DESC	Enter the description of the security.
CUSIP	Enter the CUSIP number for the security.
FIXTYP	If you want to change the FIXTYP for the security, enter the new code.
ISSTY	Enter the issue type of the security.
TICK	If the ticker you entered when setting up the security was incorrect, you can change it here.
DTD	Enter the dated date information if the security you are adding is a fixed income asset.
DTDFL	Enter the dated date flag if the security you are entering is a fixed income asset.
CLSEP	Enter the closing price of the security.

The display of other fields on the screen depends on which fields are linked to the FIXTYP mapping. In addition, there are several function keys that can be used in this screen.

Key	Description
F1	Lists selected field values.
F3	Quit. Exit the function without saving the data.
F5	Refresh. Enables users to refresh the bottom portion of the screen after changing FIXTYP.

Options. Displays a list of options from which you can select

- | | |
|----|--|
| F8 | <ul style="list-style-type: none"> ▪ Floating Rate Table, for fixed income assets ▪ Call Schedule, for options ▪ Put Schedule, for options ▪ Sinking Fund Schedule, for fixed income assets ▪ Copy information into a new security, for fixed income assets ▪ Go to YIELDSCREEN, for fixed income assets ▪ Issue Type Table, listing the issue types in alpha order ▪ SIC Codes table, listing the industry classification table as defined in EDINDNM ▪ Restriction Table, listing the restrictions as defined in the EDRESTRC restriction table |
|----|--|

Key	Description
F10	Save. Allows you to save the data entered in the screen.

- After entering all of the data, press F10 to save data and exit the function. The following screen will appear:

```

+-----+
|Are You Sure You Want to Save Any Changes Made ?|
|-----|
+-----+
```

- Using the TAB or arrow keys, select NO to exit without saving the changes, or YES to save them, and press Enter
 - Select NO and a dialog box will appear to confirm these changes
 - Select YES, and the security data is saved. Edit another security, or exit the function

Adding multiple securities using ADDSEC

The function ADDSEC allows users to add multiple securities to the APL security database at one time.

- At the WHICH FUNCTION:? prompt, type ADDSEC and press Enter. The line editor will appear. (For more information on the line editor interface, see [Line editor interface](#))

```

WHICH FUNCTION: ? ADDSEC

ADDSEC

(1) NEW SECURITIES TO BE ADDED TO THE SUPPLEMENTAL SECURITY FILE
(2) SEDOL/
(3) CUSIP      ISSUE      CLSEP      INDIV      TICK      DESCRIPTION (3) -----
-----
(4)
```

- Enter the required data, separated by a single space, and press Enter

Field	What to enter
CUSIP	Enter the CUSIP number for the security.
ISSUE	Enter the issue type of the security.
CLSEP	Enter the most recent closing price.
INDIV	Enter the indicated dividend.
TICK	Enter the ticker symbol for the security
DESCRIPTION	Enter the name of the security.

If the value for a particular field is unknown, enter 0.

- After entering all the security information type [Q and press Enter to save data
- Type [Q and press Enter to continue. The following screen shows each of the steps executed in sequence:

```

WHICH FUNCTION? ADDSEC
ADDSEC
(1) NEW SECURITIES TO BE ADDED TO THE SUPPLEMENTAL SECURITY FILE
(2) SEDOL/
(3) CUSIP  ISSUE  CLSEP          INDIV  TICK   DESCRIPTION
(3)  -----  -----  -----  -----  -----
(4) 040170JEE 28 70.00 2.5  JACKE  JACK'S ITALIAN ICE
(5) 052570CDA 28 70.00 3.5  EPIFE  EPIPHANY ENTERPRISE
(6) 111364VAP 28 70.00 2.5  THERP  HEATHER PECORARO FASHIONS
(7) [Q
(1) NEW SECURITIES TO BE ADDED TO THE SUPPLEMENTAL SECURITY FILE
(2) SEDOL/
(3) CUSIP  ISSUE  CLSEP          INDIV  TICK   DESCRIPTION
(3)  -----  -----  -----  -----  -----
(4) 040170JEE 28 70.00 2.5  JACKE  JACK'S ITALIAN ICE
(7) [P
(1) NEW SECURITIES TO BE ADDED TO THE SUPPLEMENTAL SECURITY FILE
(2) SEDOL/
(3) CUSIP  ISSUE  CLSEP          INDIV  TICK   DESCRIPTION
(3)  -----  -----  -----  -----  -----
(4) 040170JEE 28 70.00 2.5  JACKE  JACK'S ITALIAN ICE
(5) 052570CDA 28 70.00 3.5  EPIFE  EPIPHANY ENTERPRISE
(6) 111364VAP 28 70.00 2.5  THERP  HEATHER PECORARO FASHIO
(7) [Q
TYPE NEW SACUS NUMBERS ?
    
```

- Type Y to see the SACUS numbers that have been assigned the securities just added. The SACUS numbers will appear on screen in the first column on the left

```
-35566 040170JEE 28 70.00 2.5 JACKE JACK'S ITALIAN ICE
-35567 052570CDA 2870.00 3.5 EPIFE EPIPHANY ENTERPRISE
-35568 111364VAP 2870.00 2.5 THERP HEATHER PECORARO FASH
TYPE NEW SACUS NUMBERS_3 N
```

- After viewing the new SACUS numbers, type N to exit the function. The EDSEC menu will appear
- Enter the requested information and press Enter. If the SIC (standard industry classification) code or the exchange rate is unknown, enter 0 and edit the data at another time
- After making all changes, type [Q and Enter to save data and exit. The figure below summarizes steps 7 and 8

```
TYPE NEW SACUS NUMBERS_3 N
EDSEC
*****
Try SCREENSEC or EDITSEC
*****
NOTE: USE - FOR BLANK IN TICKER SYMBOL
(1)
(2) SIC EXCH DESCRIPTION
(3) -----
(4) 0 0 JACK'S ITALIAN ICE
(7) [P
(0)
(1)
(2) SIC EXCH DESCRIPTION
(3) -----
(4)0 0 JACK'S ITALIAN ICE
(5)0 0 EPIPHANY ENTERPRISE
(6)0 0 HEATHER PECORARO FASHIONS
(4)1000 1 JACK'S ITALIAN ICE
(5)1000 1 EPIPHANY ENTERPRISE
(6)1000 1 HEATHER PECORARO FASHIONS
(7)[P
(0)
(1)
(2) SIC EXCH DESCRIPTION
(3) -----
(4)1000 1 JACK'S ITALIAN ICE
(5)1000 1 EPIPHANY ENTERPRISE
(6)1000 1 HEATHER PECORARO FASHIONS
(7)[Q
```

- Type [Q and press Enter to exit the function

5.3 On-Demand Request to Add Security

Unknown securities can be added automatically to the client private security master by making an On-Demand Requests to a APL-selected security descriptive data vendor and automatically adding the securities with the information received. This feature requires configuration. Contact your local administrator for details.

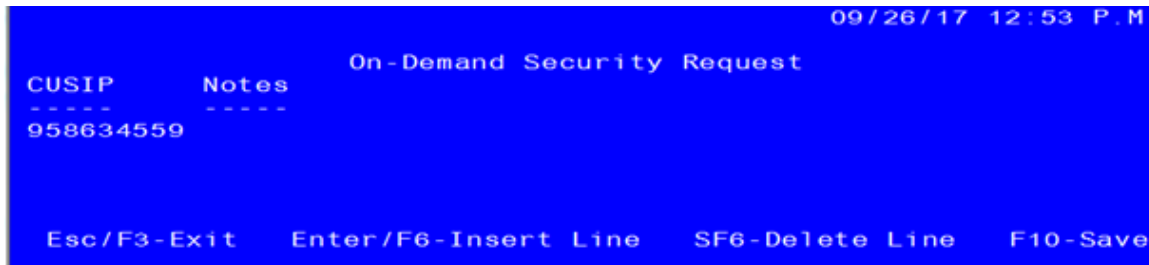
On-demand requests can be made within the following functions when adding a new/unknown security in portfolio administration:

- ONDEMANDREQUEST: Independent function for adding securities
- EDITSEC

On-Demand Request

To make an On-Demand Request to add one or more securities:

1. At the **WHICH FUNCTION:** prompt, enter **ONDEMANDREQUEST** and press Enter. The following screen will appear:



2. Enter one or more CUSIPs on separate lines to the table
3. Select **F10-Save** to have the CUSIPs validated
4. The request screen is updated with one of the following validation results populated in the **Notes** column for each CUSIP:
 - OK to send
 - Not sent. Invalid CUSIP
 - Not sent. Security in private security master
 - Not sent. Security in public security master

Invalid CUSIPs can be corrected or removed. Securities with a failed validation will not be sent to the vendor however they do not need to be removed from the list.

The security request will be sent for securities with a **Note** of **OK to send**.

5. Select **F-10 Save** again to send the request for valid CUSIPs. A confirmation message is displayed
 - Select NO: The request is not sent or saved
 - Select YES: The request is made to the vendor

Note: User ID and time stamp are saved and can be referenced in the Request Status screen, ONDEMANDSTATUS.

6. If the request is made to the vendor, security information is received back from the vendor, and the securities still do not exist they are added to the client private security master
AUDITTRAIL logs updated fields.

When a security is added (or updated) the following security fields are populated based on vendor information received. Some vendor information is translated to corresponding APL values:

- CUSIP
- EXCH: Exchange code. If no exchange code can be determined it will be populated with 525

- TICK: Ticker of the security on a US exchange or, if not on a US exchange, the ticker on a Canadian exchange. For all others a random ticker is generated
- Security Description
- Issue Type
- CPNRT: Coupon rate, if applicable to the issue type
- MATDT: Maturity date, if applicable to the issue type
- DTD: Dated date, if applicable to the issue type
- ADATE: Security add date

Important: Prices are not received from the vendor. CLSEP is populated with 0.00

On-Demand Request Status

The status of On-Demand Requests can be viewed using ONDEMANDSTATUS.

To view the status of On-Demand Requests:

At the **WHICH FUNCTION:** prompt, enter **ONDEMANDSTATUS** and press Enter. The following view-only screen is displayed:

09/26/17 2:13 P.M.

On-Demand Security Request Status Screen

CUSIP	User ID	Date & Time	Status	Error Message
99546RHY3	root	09/26/2017 04:28	Complete	
92778VEF1	root	09/26/2017 04:32	Complete	
NI901XCW1	User01	09/19/2017 11:12	Failed	Security Not Found
4SDX0Z618	root	09/19/2017 12:40	Failed	Security Not Found
575832QX1	User01	09/19/2017 04:01	Requested	
573428HM4	root	09/19/2017 04:12	Requested	

Esc/F3-Exit F8-Sort F9-Filter By Date

Columns

This screen includes the following columns initially sorted by date and then by CUSIP ascending.

- CUSIP
- User ID
- Date and Time: Indicates when the request was submitted
- Status: Complete, Requested, Failed
- Error Message: Displays the reason for a failed request. A failed request is one that was sent to the vendor but it could not provide security information

Sort the list by any column except Error Message by applying an **F8-Sort** option.

Filter based on a date range by applying the **F2-Filter By Date** option.

Rows

Each row on this screen represents an On-Demand Request. A CUSIP could be listed more than once if multiple requests with that CUSIP were made. Requests are not removed and will be viewable indefinitely.

5.4 Adding "special" securities

Certain securities require additional setup before users can use them properly within the APL Expert system. This section explains how to set up foreign securities, futures and options.

Note: Before proceeding, your account manager will need to initialize your directory to enable the capabilities required for these special securities.

Foreign securities

After initialization, edit the security master data for the foreign security.

- Using EDITSEC to edit data for a single security or EDSEC to edit data for multiple securities, edit the security master fields below

Field	What to enter
MSTATE	This field contains the exchange rate code. See Currency codes for a list of these codes.
	This field contains the security issue type. See Security issue types for a list of issue types.
ISSTY	The issue types for foreign securities are: <ul style="list-style-type: none"> ▪ 63 = Foreign CDs and commercial paper ▪ 45 = Foreign bonds ▪ 37 = Foreign common stock

If a security is not in any of the security databases, use EDITSEC to add to your xxxSEC database (where xxx is your client short name). Use ADDSEC to add multiple securities.

Notes:

- To enter trades for foreign securities, use the local price per share (L/PPS)
- Many reports convert the foreign security information from local dollars to US dollars based on the information in the MSTATE and ISSTY fields

Futures contracts

Edit the security master data for futures contracts. Using EDITSEC to edit data for a single security or EDSEC to edit data for multiple securities, edit the security master fields below.

Field	What to enter
-------	---------------

This field contains the multiplier code. Unlike the CUSIP number, the multiplier code is somewhat arbitrary. However, each multiplier must follow the pattern XR__F; and the two characters between "XR" and "F" identify the particular contract and its multiplier.

MSTATE

Here are a few examples:

- XRSPF for S & P Futures
- XRKVF for Kansas City Value Line
- XRLBF for Long Bonds Futures

This field contains the security issue type. See [Security issue types](#) for a complete list of security issue types.

The issue types for futures are:

ISSTY

- 89 Futures
- 88 Equity Futures Reserves
- 87 Equity Futures
- 86 Bond Futures Reserves

Enter the CUSIP number as follows:

- CUSIP1 = 99cccc
- CUSIP2 = cym

CUSIP

Where,

- ccccc is the commodity code
- y is the last digit of the delivery year
- m is the delivery month code

The following is a list of commodity codes:

Code	Description
0125X	U.S. Treasury Note Futures
0232X	S & P 500 Index Futures
0126A	Long Treasury Bond Futures
0432X	NYSE Composite
1332X	Value Line Futures
0231X	S & P 100 (OEX) Futures

The following is a list of codes indicating the delivery month:

Code	Month
F	January
G	February
H	March
J	April
K	May
M	June
N	July
O	August
U	September
V	October
X	November
Z	December

If a security is not in any of the APL Security Databases, use EDITSEC to add it to the xxxSEC database, where xxx is the client short name. (Use ADDSEC to add multiple securities).

Required information for trading a futures contract

Three entries must exist on the security master file for each future traded:

1. The futures contract
 - ISSTY = 85 for bond futures
 - ISSTY = 87 for equity futures
2. The offsetting position or reserve

- ISSTY = 86 for bond reserves
- ISSTY = 88 for equity reserves

To post the variation margin daily, the offsetting position should always be identical in value to the contract. For this method of setup, use the same units and CUSIP as the contract itself. The variation margin posting creates the day-to-day fluctuation in market value by a credit or debit to cash. Each different contract must have its own offset.

If not posting the variation margin, then the offsetting position has a fixed value. For this method of setup, leave the CUSIP blank, and set up the offsetting position with a fixed price. The day-to-day functionality in market value is generated by changing the value of the contract as it rises above and below the value of the offsetting position.

3. The multiplier appropriate to the future type

There only needs to be one multiplier entry for each type of future. Thus, you would set up one multiplier representing 500 for all of your S & P 500 futures. This is done because the net delivery cost of a S & P 500 contract is calculated by multiplying the number of contracts by the price per contract by 500. Similarly, one multiplier representing 1000 can serve for all trades of the long bond contract.

The following is an example of how this works.

Example: Setting up a futures contract for trading

You are buying two S&P 500 Index futures with a delivery date of 20110321 at a price of 936.00.

1. Set up the future

Field	Data	
ISSTY	87	(equity futures)
TICK	SP0311	(or whatever you prefer)
CUSIP	990232X4U	
MSTATE	XRSPF	(links to S&P 500 multiplier)
CLSEP	price of trade	

2. Set up the offsetting position

If you choose not to post a daily variation margin:

Field	Data	
ISSTY	88	(equity futures reserves)
TICK	EQ0311	(or whatever you prefer)
CUSIP	0	
MSTATE	XRSPF	(links to S&P 500 multiplier)
CLSEP	FIXED=100.00	

Different fixed prices may be chosen as long as you compensate by adjusting the units. The critical feature is, of course, that (units x price) must be equal to the net cost of the contract.

3. Set up the multiplier

Field	Data	
ISSTY	88	(equity futures reserves)
TICK	EQ0311	(or whatever you prefer)
CUSIP	0	
DESCRIPTION	S & P 500 Futures Index 2	\$ PER
CLSEP	FIXED=100.00	

Notes:

- The position of the "\$" and the number "2" in the description is critical. The "\$" must always be in the 31st position, and the factor in the 41st position
- The factor is equal to value of 1000 divided by the multiplier. It is almost always a 1 (implying a multiplier of 1000) or a 2 (implying a multiplier of 500)

Trading futures using TRADESNEW

To trade futures that you have added to the security master database as special securities, use the function TRADESNEW, entering the price as "L" followed by the price per share. This ensures that the multiplier is factored in.

For example: a buy of two S&P 500 Index futures with a delivery date of 20110321 at a price of 936.00. The trade would be entered in TRADESNEW as follows:

```
OPE 2 SP0311 L936 SNAM MM/DD/YY 0 0 0
```

The multiplier will take care of putting in the factor required to get the right net cost. (Cost = # contracts x price per contract x factor = 2 x 936.00 x 500 = 936,00)

Create the offsetting position. The offset is short if the contract is long, and vice versa.

```
OPE -2 EQ0311 L936 SNAM MM/DD/YY 0 0 0
```

If the variation margin doesn't post, the offset will look like a cash trade. If the contract is long, the offset is short, and vice versa.

```
OPE -9360 EQ0311 -936000 SNAM MM/DD/YY 0 0 0
```

Note that the offsetting position always uses the same trade type (OPE or CLO) as the futures contract.

Also, when a contract position closes, close its offsetting position as well. Therefore, users are able to easily identify which position to close out.

Once establishing method for handling the offset, your system can be customized so that TRADESNEW calculates the reserve amount. Please contact your account manager for this feature.

5.5 Options

It is usually not necessary to set up a new security when you are trading options, because the APL Expert system has a database of publicly-traded options (BW:SECOPT).

Puts and Calls are distinguished by issue type:

- type 51 = calls
- type 52 = puts

Options Symbology Security Master Fields

Six new security master fields were created to handle the new 21 position TICK symbology for options. Listed below are the specific security master fields for calls and puts and how to use in a search:

- OPTTK1: Contains the symbol of the underlying security. In the event of a corporate action that changes the underlying shares of a contract, a numerical suffix will be added to the symbol
- OPTTK2: Expiration date of the option. Use only the yyyyymmdd format when doing a search
- OPTTK3: Call/Put indicator

Note: When using this field in a search using EDSEC or EDFEND, use only 1 character:

- OPTTK3 EQ C
- OPTTK4: Strike price

Note: In a search, do not enter a decimal.

- OPTMLT: The amount of the underlying shares represented by the contract. (May change as a result of a corporate action)
- PRMULT: Option multiplier used in conjunction with the market price to determine total premium or Market Value. For standard contracts, PRMULT is 100. For Mini-options it is 10
- OPEXP: Option expiration date (required for MATUREOPS and may change for accelerated expirations.)
- TICK: Unique manufactured identifier to be used as key for APL trading system
- CUSIP1 and CUSIP2 are not leveraged by the options trading logic but may be required for other client processes

Note: In addition, it is recommended that the underlying CUSIP of the available shares must be provided for contract.

Finding option specifications using EDFEND

Note: **Due to the new 21 character symbology, the HELPCUSIP function can no longer be used for options

Use EDFEND to search for options using the new security master fields for options. See [Options Symbology Security Master Fields](#).

```

WHAT NEXT (Chi-tst-1)? EDFEND
EDSEC
SEARCH WHICH FILE(BLANK FOR HELP, 'ALL' FOR ALL FILES): ? BW:SECOPT
1852808 SECURITIES CURRENTLY ON BW:SECOPT FILE(S)
SEARCH FOR WHAT? OPTTK1 EQ INTC
1554 RECORDS FOUND
NEXT OPERATION (RETURN WHEN DONE, OR HELP): AND
AND WHAT? OPTTK3 EQ C
777 RECORDS FOUND
NEXT OPERATION (RETURN WHEN DONE, OR HELP):
EDIT WHICH FIELDS: (? TO LIST FIELDS, RETURN TO QUIT): OPTTK2 OPTTK4 P
(1)
(2) OPTTK2 OPTTK4 PRMULT OPTMLT DESCRIPTION
(3) -----
(4) 20110122 10,000 100,000 100 INTEL CORP LG-TM
(781) +1P10
(1)
(2) OPTTK2 OPTTK4 PRMULT OPTMLT DESCRIPTION
(3) -----
(4) 20110122 10,000 100,000 100 INTEL CORP LG-TM
(5) 20110122 10,000 100,000 100 INTEL CORP LG-TM
(6) 20110122 10,000 100,000 100 INTEL CORP LG-TM
(7) 20110122 10,000 100,000 100 INTEL CORP LG-TM
    
```

Hold

If the desired option is not found, add it using EDITSEC. Use ADDSEC to add multiple options. See [Adding new securities to security databases](#).

Trading options

An option is usually a contract to trade 100 shares of the underlying stock at a given price. On the APL Expert system, you would enter trades using the number of shares of stock represented by that option. For example, 5 puts or 5 calls are entered as "500" units for trading.

The following convention is used to enter different types of trades

To do this	Enter this:
Write an option	Use the code OPE (for Open). Enter the number of units as a negative number. Example: OPE -100
Buy an option	Use the code OPE (for Open). Enter the number of units as a positive number. Example: OPE 100
Sell an option	Use the code CLO (for Close). Enter the number of units as a positive number. Example: CLO 100
Cover an option	Use the code CLO (for Close). Enter the number of units as a negative number. Example: CLO -100

Expiring, Exercising and Assigning Options

Options automatically expire on the third Saturday of the appropriate month, if not closed them out, and automatically expire at 0, whether they expired in the money or not.

5.6 Viewing security profile data

There are two functions to view security profile data: SCREENSEC and EDITSEC.

SCREENSEC

SCREENSEC allows you to view and edit security master information on a particular account.

1. At the WHICH FUNCTION:? prompt, type SCREENSEC and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? SCREENSEC
SCREENSEC
NEXT SECURITY:
```

2. Enter the security identifier for the account and press Enter. The Security Master screen will appear:

```
WHICH FUNCTION: 2 SCREENSEC
SCREENSEC
NEXT SECURITY: APAT
-----SECURITY MASTER SCREEN-----
                        FILE: BW:SECSA
DESCRIPTION: APA OPTICS INC      COM
INDUSTRY:
CURRENT YIELD: 0.000

CUSIP: 001853100 ISSY: 28 - COMMON STOCKS
SACUS: 296609 TICK: APAT

EXCH: 60 SIC: 3827 INDIV: EPS: -0.26
BETA: RESTRC: BLANK CLSEP: 9.500000 YSTRPR: 9.500000
PRMAY: 9.800000 PRMID: 9.500000 FIXED: DIV4:
PAY4: 8 REC4: 8 DIV3: PAY3: 8
REC3: 8 SNPRAT: BLANK MRATNG: BLANK

HIT RETURN WHEN READY, OR ENTER 'P' TO PRINT:
```

3. Using the arrow keys, move to fields to edit any of the information
4. To save changes, press Enter. The following prompt will appear:

```
NEXT SECURITY:
```

5. To view another security, type the security identifier and press Enter. Repeat steps 3 and 4

If you do not want to view another security, press Enter. The system returns to the WHICH FUNCTION:? prompt.

EDITSEC

Security profile information can be viewed and edited using the function EDITSEC. We have discussed, in detail, the steps required for running EDITSEC in [Adding a single security using EDITSEC](#). Below is a summary of running EDITSEC to edit securities.

1. At the WHICH FUNCTION:? prompt, type EDITSEC and press Enter
2. Enter the security identifier and press F10 to go. A screen will appear with the security data
3. Using the TAB key, move to the fields you want to edit
4. Press F10 to save any data changes or press F3 to exit

5.7 Editing security profile data

The four functions that enable users to edit security profile information are: EDITSEC, EDSEC, EDFEND, and SCREENSEC.

Editing a single security using EDITSEC

Use the function EDITSEC to edit security profile information. See: [Adding a single security using EDITSEC](#). Below is a summary of running EDITSEC to edit securities.

1. At the WHICH FUNCTION:? prompt, type EDITSEC and press Enter
2. Enter the security identifier and press F10 to go. A screen will appear with the security data
3. Using the TAB key, move to the fields to edit
4. Press F10 to save any data changes or press F3 to exit

Making changes one at a time using EDSEC

To edit the security profile data on multiple securities and want to make the changes at one time, use the function EDSEC.

1. At the WHICH FUNCTION:? prompt, type EDSEC and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

2. Enter the security selection criteria and press Enter. The following prompt will appear:

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

3. To sort the securities, narrow or broaden your search, enter the appropriate command and press Enter. Subsequent prompts may appear depending on the command. Eventually, after answering these prompts, the following prompt will appear:

```
EDIT WHICH FIELDS (? TO LIST FIELDS, RETURN TO QUIT)
```

4. Type the names of the security master fields, separated by a single space, to edit and press Enter. The security master editor will appear:
5. Type [P and press Enter to “picture” (redisplay) the data
6. Using the TAB or arrow keys, move to the data you want to edit, type over the data and press Enter
7. Type [Q and press Enter to save the data changes
8. Type [Q and press Enter to exit the function. The following prompt will appear:

```
EDIT WHICH FIELDS (? TO LIST, RETURN TO QUIT)
```

9. To edit additional security master fields, repeat steps 4 through 8. Otherwise, press Enter

The following figure summarizes how to edit multiple securities.

```
EDSEC
*****
Try SCREENSEC or EDITSEC
*****
NOTE: USE - FOR BLANK IN TICKER SYMBOL
ENTER SACUS, CUSIP, TICKER, OR #POOL (RETURN TO QUIT) JACK EPIFE THERP
EDIT WHICH FIELDS: (? TO LIST FIELDS, RETURN TO QUIT): TICK SACUS CUSIP PRMAY
(1)
(2) TICK SACUS CUSIP PRMAY DESCRIPTION
(3) -----
(4) JACK E -35566 040170JEE 0.000000 JACK'S ITALIAN ICE
(7) [P
(0)
(1)
(2) TICK SACUS CUSIP PRMAY DESCRIPTION
(3) -----
(4) JACK E -35566 040170JEE 0.000000 JACK'S ITALIAN ICE
(5) EPIFE -35567 052570CDA 0.000000 EPIPHANY ENTERPRISE
(6) THERP -35568 111364VAP 0.000000 HEATHER PECORARO FASHIONS
(4) JACK E -35566 040170JEE 70.000000 JACK'S ITALIAN ICE
(5) EPIFE -35567 052570CDA 70.000000 EPIPHANY ENTERPRISE
(6) THERP -35568 111364VAP 64.000000 HEATHER PECORARO FASHIONS
(7) [Q
```

5.8 Editing multiple security masters using EDFEND

EDFEND allows users to edit security master data for a group of securities in your private security databases.

1. At the WHICH FUNCTION:? prompt, type EDFEND and press Enter. The following prompt will appear:

```
SEARCH WHICH FILE (BLANK FOR HELP, 'ALL' FOR ALL FIELDS): ?
```

2. Enter the database file that you wish to edit and press Enter. Keep in mind that although you can view data in the BW:?? databases, you cannot edit this information. If you make any changes to data in any of these files, the changes are not saved. The following prompt will appear:

```
SEARCH FOR WHAT?
```

3. Enter the database manager commands to select the securities to edit and press Enter
Securities can be selected by any of the security master database fields. (For a list of these fields, see [Security Master fields](#)) The correct syntax would be:

```
[SEC MASTER FIELD] [OPERATOR] [DESCRIPTOR]
```

For example:

```
ISSTY EQ 28
```

The following prompt will appear:

```
NEXT OPERATION (RETURN WHEN DONE, OR HELP) :
```

4. To sort the requested data or to broaden or narrow a search, enter the appropriate database commands and press Enter. Answer the subsequent prompts accordingly and press Enter. The following prompt will appear:

```
EDIT WHICH FIELDS: (? TO LIST FIELDS, RETURN TO QUIT) :
```

5. Enter the security master fields, separated by a single space, and press Enter. The security editor will appear
6. Using the arrow keys, move to the data to edit, make changes and press Enter. Use the search and replace options as described in [Line editor interface](#)
7. Once all of the necessary changes have been made, type [Q and press Enter to save the changes
8. Type [Q and press Enter to exit the editor. The following prompt will appear:

```
EDIT WHICH FIELDS: (? TO LIST FIELDS, RETURN TO QUIT) :
```

9. To edit additional fields, repeat steps 5 through 8. Otherwise, press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

10. To search for additional securities, repeat steps 3 through 8. To search for additional securities, press Enter to return to the WHICH FUNCTION:? prompt

5.9 Managing security industry classification (SIC) codes with EDINDNM

Security industry classification (SIC) codes are unique to a firm. By using the function EDINDNM, APL Expert enables users to create or manage a two-level list of industry groups that can be applied to both equities and fixed-income securities.

1. At the WHICH FUNCTION:? prompt, type EDINDNM and press Enter. The industry code editor will appear:

```
WHICH FUNCTION: ? EDINDNM
EDINDNM (PUBLIC)
(1)
(2)      CODE      CLASSIFICATION
(3)      ----      -
(4)      100 U S GOVERNMENT OBLIGATIONS
(5)      110 TREASURY
(6)      120 TREASURY - ZERO COUPON
(7)      130 FEDERAL AGENCY
(8)      140 AGENCY PASS-THROUGHS
(9)      200 MUNICIPAL OBLIGATIONS
(10)    210 REVENUE BONDS
(91)
```

2. Using the line editor, edit, add, or delete a category. (For more information on the line editor interface, see [Line editor interface](#))
 - To edit a category, use the arrow keys to move the entry and type over the data and press Enter
 - To add a category, type in the data on the first available line at the bottom of the screen and press Enter
 - To delete an entry, type [D#, where # is the line number; and press Enter

Industry classification codes should be set up as follows:

- Primary classification: Use a multiple of 100
- Secondary classification: Use multiples of 10 or less

Note: If a user deletes a classification code, remember to re-code all of the securities that were coded with the deleted classification code.

3. Type [Q and press Enter to save changes and exit the function

Notes:

- If using SIC codes to classify securities, ensure the reports you use are programmed to recognize all classification levels, and ensure the SIC security master field is coded with the proper classification code
- Enter the industry code as a negative number in the SIC security master field. For example, code the SIC security master field for security XXX with -200 for the security to be classified as a Municipal Obligation, as defined in the security industry classification table

5.10 Controlling security master updates

The updates of certain security master fields can be controlled by the user utilizing the PFLAGS security master field. This is a six-character field. Each character controls certain fields. The acceptable entries for each character are explained below. The default value for the field is XXXXXX.

This field can be selected at the EDIT WHICH FIELDS prompt when using of the security master editing functions.

Position	Code	Description
1	I	Block indicated dividend (INDIV) updates
	D	Block cash and stock dividend (DIV, REC, and PAY fields) updates
	B	Block indicated, cash dividend and stock dividend updates
2	Z	Identifies a security that has an actual price of 0.00
3	T	Blocks ticker symbol (TICK) updates.
4	O	Blocks outstanding share (OSHRE) updates
	U	Blocks FT Interactive Data pricing updates
	R	Blocks Merrill pricing updates
	J	Blocks J.J. Kenny pricing updates
5	N	Blocks all pricing updates. Client assumes pricing responsibility for the security

Position	Code	Description
	M	Blocks Moody's ratings (MRATNG) updates
6	S	Blocks S&P ratings (SNPRAT) updates
	R	Blocks all rating updates

5.11 Automatically posting the variation margin

The posting of the daily variation margin amounts can be automated in APL. The work is done by a function named VARMAR, which runs every night after closing prices have been loaded. The system calculates the variation margin amount for each different contract as follows:

$$(CLSEP - YSTRPR) \times (\text{multiplier}) \times (\text{number of contracts})$$

Where,

- CLSEP = most recent closing price
- YSTRPR is the previous business day's closing price

Each variation margin amount is posted to the appropriate account's general ledger as a PRI transaction. See [Chapter 8: General Ledger](#) for more information on general ledger functions.

Note: As long as the ISSTY and MSTATE fields are coded correctly, reports will use the appropriate multiplier to display the number of contracts, cost and market value of the futures correctly.

5.12 Copying and moving security prices

The functions COPYPRICES and MOVEPRICE enable users to copy or move prices, respectively. This is often useful for copying prices to a dummy security for testing purposes, or for updating month-end prices for securities.

Move historical prices with COPYPRICES

COPYPRICES allows you to copy the historical prices from one security to another.

1. At the WHICH FUNCTION:? prompt, type COPYPRICES and press Enter. The following prompt will appear:

Copy Historical Prices from Which Security :

2. Type in the SACUS, CUSIP, or TICK of the security from which to copy historical prices and press Enter. The following prompt will appear:

```
Copy Prices to Which Securities :
```

3. Type in the SACUS, CUSIP, or TICK of the security (or securities) to which the historical prices should be copied and press Enter. The following prompt will appear:

```
Enter Beginning Date (Hit Return for All Dates) :
```

4. Type in the beginning date from which prices should start and press Enter. The following prompt will appear:

Note: The preferred date format is yyyyymmdd. For example, if the starting date is September 5, 2010, you would type it as 20100905.

```
Enter Ending Date (Hit Return for All Dates) :
```

5. Type in the ending date for which prices should end and press Enter. The following will appear:

```
Are You Sure You Want to Copy Prices from IBM to 2441914 ?
```

Once the prices have been copied, the system returns to the WHICH FUNCTION:? prompt.

Move the CLSEP field to a month-end field with MOVEPRICE

MOVEPRICE is a function that enables users to move the price that is in the CLSEP field to a selected month-end field.

1. At the WHICH FUNCTION: prompt, type MOVEPRICE and press Enter. The following screen will appear:

```
+-----+
--+
|Prices in CLSEP will be substituted for zero prices for a chosen month-
end|
      Non-zero month-end prices will not be changed
|
|
      Overwrite zero prices for which month end price field?
|-----+
-|
      PRJAN      |
      PRFEB      |
      PRMAR      |
      PRAPR      |
      PRMAY      |
      PRJUN      |
      PRJUL      |
      PRAUG      |
      PRSEP      |
      PROCT      |
      PRNOV      |
      PRDEC      |
|-----+
```

2. Using the TAB or arrow keys, move to the month end price field to be updated and press Enter. The following screen will appear:

```
+-----+
|You've selected to change PRMAY. Is this correct ?|
|-----+
+-----+
```

3. If the month end price field that will appear in the above screen is correct, use the TAB or arrow key to move to YES and press Enter
 - Select NO, and return to the WHICH FUNCTION:? prompt
 - Select YES, and the following screen will appear detailing the securities that will be updated

```

SAMPLE ASSET MANAGEMENT                                06/18/10 3:19 P.M.
      Zero Price Report
      -----

      For the following securities, the PRMAY field has been replaced
      by CLSEP

Sacus Cusip Price Description
-----
130514      1.750000 CALL AMERICAN TEL & TEL APR 65
130556      4.000000 CALL AMER TEL & TEL APR 60
186127      100.000000 APPALACHIAN PWR CO DEB          4.375% 04/01
202020      100.370000 PUGET SOUND PWR LT          4.750% 05/01/9
207074      79.000000 FHA BANCO PROJ POOL2       7.335% 11/25/1
207075      110.019000 FED HM LN MTG CORP G17-037 13.500% 10/01/1
207077      112.876000 FED HM LN MTG CORP G25-4286 12.000% 05/01/1
207078      103.044000 FED NATL MTD PART           7.400% 10/01/9
207080      97.024000 FED NATL MTG PART           6.450% 04/08/8
207081      98.930000 GNMA GTD PTC PL16187       8.000% 03/15/0
207083      103.120000 GNMA GTD PTC PL27349       9.000% 01/15/0
207084      103.120000 GNMA GTD PTC PL31190       9.000% 05/15/0
207085      105.090000 GNMA GTD PTC PL31206       9.500% 06/15/0

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

The system will move the prices and store the results in a print file named ZEROPRICE.LRP.

5.13 Searching for securities using FINDSEC

The function FINDSEC enables users to find a security without knowing the ticker symbol, CUSIP or SACUS. The function searches through multiple security master databases for a security, based on a partial description.

1. At the WHICH FUNCTION:? prompt, type FINDSEC and press Enter. The following prompt will appear:

```
SEARCH WHICH FILE (BLANK FOR HELP, ALL FOR ALL FILES) :?
```

2. Enter the name of the database press Enter. The following prompt will appear:

```
ENTER PARTIAL DESCRIPTION:
```

3. Enter part of the security description and press Enter. The system searches through the selected databases for the security description

A list of the securities that contain the string you entered will appear and the system returns to the WHICH FUNCTION:? prompt.

A report file is also created containing the same information that will appear on screen. It is called SEC.L#, where # is the number of the report. Run this function twice and two reports would be created, SEC.L01 and SEC.L02. View these files using the BROWSE function. See [Viewing reports using BROWSE](#).

5.14 Creating and editing security master templates using FIXTYP

Each record of the security master database contains many fields. However, not all of these fields are relevant to defining a particular security type. To enable users to view and edit only the account master fields they need, APL Expert provides security master templates for each kind of security.

A selection of standard templates, listed by name in the FIXTYP table, are available. Users can also add security master templates that are specific to a firm's needs by:

- Defining the FIXTYP code and descriptions using EDITFIXTYP
- Mapping the security master fields to a specific FIXTYP using FIXTYPMAP
- Coding the FIXTYP field for the security with the appropriate FIXTYP using EDITSEC. This helps to further identify a security, especially for amortization purposes

Defining FIXTYP codes and descriptions using EDITFIXTYP

1. At the WHICH FUNCTION:? prompt, type EDITFIXTYP and press Enter. The following screen will appear:

```

SAMPLE ASSET MANAGEMENT                                F-3 to Exit
06/18/10 2:10 P.M.                                    F-10 to Save
Valid FIXTYPs for Amortization
-----
FIXTYP      Description
-----
AB          Asset-Backed Security
ABFLT      Asset-Backed Floating Rate Security
ABS        Asset-Backed Securities
AGENCY     Government Agency Bonds
ASBOND     Assessment Supported Bonds
ASNOTE     Assessment Supported Notes
ASWART     Assessment Supported Warrants
BA         Bankers' Acceptances (BA, BAC's)
CASH      Cash
CCC       Commodity Credit Corporation (CCC)
CD        Certificates of Deposit (CD's)
CD-D     Certificates of Deposit (CD's)
CD-M     Certificates of Deposit (CD's) at Maturity
CD-P     Certificates of Deposit (CD's) Periodic
CMO      Collateralized Mortgage Obligation
-----
F-6 to Add a Line; <Shift>F-6 to Remove a Line
    
```

2. Insert a new FIXTYP name into the table by performing the following steps:
 - Press F6 to insert a new line
 - Enter the FIXTYPE name in the FIXTYP column
 - Press TAB to move to the description column; then enter the description for the new FIXTYP
3. Edit or delete a FIXTYP:
 - To delete a FIXTYP, use the TAB or arrow keys to move to the line to delete and press SHIFT+F6
 - To edit a FIXTYP, use the TAB or arrow keys to move to the line to edit and type the new data
4. After making changes, press F10 to save data and exit the function. The following screen will appear:

```

+-----+
|Are You Sure You Want to Exit and Save ?|
|-----|
+-----+
    
```

5. Using the TAB or arrow keys, select NO to exit and save or YES to exit and save and press Enter

- Select NO and return to the FIXTYP editing screen
 - Select YES and the data is stored. The WHICH FUNCTION:? prompt will appear
6. To exit the function without saving changes, press F3

The following screen will appear:

```
+-----+
|Are You Sure You Want to Exit Without Saving ?|
|-----|
+-----+
```

7. Using the TAB or arrow keys, select NO to exit without saving or YES to exit without saving and press Enter
- Select NO, and return to the FIXTYP editing screen
 - Select YES, and return to the WHICH FUNCTION:? prompt

Mapping fields to a FIXTYP template by using FIXTYPMAP

After defining or setting up a FIXTYP, map the appropriate security master fields to the FIXTYP. This is done with the function FIXTYPMAP.

- At the WHICH FUNCTION:? prompt, type FIXTYPMAP and press Enter. The FIXTYP Mapping Table screen will appear:

```

SAMPLE ASSET MANAGEMENT                F-3 I Quit
06/18/10 2:17 P.M.                    F-10 to Save
                                FIXTYP Mapping Table
                                -----
FIXTYP Mapping
-----
CASH      FIXED INDIV
CORP      MNENDNAME CPNRT MATDT YTM DURAT MCALLD MCALLP MPUTDT MPUTPR
SPPDT PRICD
CVBOND...CPNRT MATDT YTM DURAT INDIV SPPDT
MISC      SIC PRICDT ADATE MRATNG SNPRAT ISSTY RESTRC INDIV MKEY
EQUITY...DIV1 DIV2 DIV3 DIV4 REC1 REC2 REC3 REC4 PAY1 PAY2 PAY3 PAY4 PRICDT REST
EQBBND...CPNRT MATDT YTM DURAT SPPDT MCALLD
EGNEQT...DIV1 DIV2 DIV3 DIV4 REC1 REC2 REC3 REC4 PAY1 PAY2 PAY3 PAY4
FLOAT    CPNRT MATDT YTM DURAT RESET
FNMA-P...CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PRICDT
GNMA      CPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY WAC
MBSCPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY WAC
CMOCPNRT MATDT YTM DURAT FACT FACTDT FACTPR FACTPD PSAPCT OTERM DELAY
WAC
MUNI      CPNRT MATDT DTD DTDFL SPPDT YTM DURAT MRATNG SNPRAT MCALLD MCALLP MPUTD
MUNZER...CPNRT MATDT YTM DURAT MCALLD MCALLP MPUTDT MPUTPR PRERED PRE- REP SPPDT
USTBIL...CPNRT MATDT YTM DURAT FIXED QRENDNAME MNENDNAME PRICDT
USTBND...CPNRT MATDT DTD DTDFL SPPDT YTM DURAT QRENDNAME MNENDNAME PRICDT
USTNOT...CPNRT MATDT YTM DURAT QRENDNAME MNENDNAME PRICDT
                                F-1 for FIXTYP Info; F-6 to Insert; Shift F-6 to Delete
    
```

- Using the TAB or arrow keys, move to the columns and edit existing data
 - F6 adds a new FIXTYP entry
 - SHIFT+F6 delete an existing FIXTYP
- After making all changes, press F10 to exit and save data

```

+-----+
|Are You Sure You Want to Exit and Save ?|
|-----|
+-----+
    
```

- Using the TAB or arrow keys, select NO to exit and save or YES to exit and save and press Enter
 - Select NO, and return to the FIXTYP mapping table
 - Select YES, and the data is stored and the WHICH FUNCTION:? prompt will appear

- To exit the function without saving changes, press F3

The following screen will appear:

```
+-----+
|Are You Sure You Want to Exit Without Saving ?|
|-----|
+-----+
```

- Using the TAB or arrow keys, select NO to exit without saving or YES to exit without saving and press Enter
 - Select NO, and return to the FIXTYP Mapping Table screen
 - Select YES, and return to the WHICH FUNCTION:? prompt

Coding the FIXTYP security master field using EDITSEC

The FIXTYP security master field for each security is coded with the FIXTYP selected when the security was added to the system using EDITSEC.

This field can also be edited after a security has been set up on the APL Expert system. For information on how to edit security data, see [Editing security profile data](#).

5.15 Auditing security master data

There are several reports that display incomplete data or discrepancies in security master profile data.

Report	Description
AUDITDUPCUSIP	Creates two reports. The first report displays the duplicate CUSIP numbers found in the SEC file. The second report displays the accounts that hold these securities.
AUDITTICK	Displays securities that have duplicate ticker symbols (TICK) in both the HOT and SEC files.
CHKCUS	Lists securities where the CUSIP field does not coincide with the CUSIP1 and CUSIP2 fields.
DUPCUSIP12	Lists any duplicate CUSIP numbers that appear in the HOT file.
DUPTICK	Lists any duplicate tickers that appear in the SEC file.
PROBLEMCUSIP	Lists securities in your SEC file that are missing or inconsistent.

Report	Description
ZEROPRICELIST	Displays not priced securities and allows you to sort by specific security master fields.
ZEROPRICES	Displays not priced securities and allows you to sort by specific security master fields.

Note: A description of security master fields that can be viewed or edited can be found in [Security Master fields](#).

5.16 Summary of security master functions

Adding

Field	Description
ADDSEC	Add one or more securities to the securities database

Editing

Field	Description
EDFEND	Enables you to search for and edit securities on the basis of issue type, price or description
EDINDNM	Edit industry classification
EDITSEC	Edit security master information or add a single new security
EDSEC	Edit security master information on one or more securities
FIXTYPMAP	Edit mapping of security master fields

Pricing

Field	Description
COPYPRICES	Copy prices from one security to another
MOVEPRICE	Move prices from the CLSEP field to a specified month-end PR field.

Searching

Field	Description
FINDSEC	Search for security based on partial security description.
HELPCUSIP	Search for CUSIP numbers on options, treasuries, and corporate bonds

Viewing

Field	Description
SCREENSEC	View security master information for one or more securities

Chapter 6: Security Transactions

This section describes how to enter and post security transactions in the APL Expert system only. It also shows how to delete transactions after posting them.

Note: Refer to the APL Trading System User Guide for information on posting security transactions using the APL Trading system.

6.1 Posting security transactions using TRADESNEW

After adding an account to the system, the next thing to do is to post transactions, or trades, to the account using the TRADESNEW function.

Note: Beginning with transactions after January 1, 1997, Securities and Exchange Commission fees for NASDAQ and non- NASDAQ OTC securities are calculated and applied to each transaction with issue type 28, 29, 30, 35, 37, 46, 51 60, 65, 66, 83, or 96. See [Security issue types](#) for a list of security issue types and their associated codes.

1. At the APL Expert WHICH FUNCTION:? prompt, enter TRADESNEW and press Enter. The following screen displays

```
WHICH FUNCTION: ? TRADESNEW  
DO YOU WANT THE SCREEN VERSION ?
```


3. Enter the appropriate data for each trade. Each data item is separated by a single space, with the trade completed by ending the line (pressing Enter.)

Note: Enter incorrect information, and an error messages will appear when saving the batch.

The following table describes each data item

Field/Column	What to enter
OPE	<ul style="list-style-type: none"> ▪ OPE - the trade is a “buy” or opening of a position
CLO	<ul style="list-style-type: none"> ▪ CLO - the trade is a “sell” or closing of a position
DEL	<ul style="list-style-type: none"> ▪ DEL - the trade is a deletion of a posted transaction. If the batch still exists, use DELBATCH to delete trades
UNITS	<p>Number of shares (or units for bonds).</p> <ul style="list-style-type: none"> ▪ For bonds, type 100m for 100,000. For money market funds (where ISSTY=1) type 0 ▪ For options, type 100 times the number of contracts (5 calls = 500 units) ▪ To trade mortgage-backed securities by original face, use an F in front of the units. The system calculates current face using the factor (FACT) and post that as well as original face ▪ For Options, the quantity entered should be the number of contacts times the price multiplier. The price multiplier is typically, but not always, 100. For mini-options, the price multiplier is typically 10. The price multiplier is in the PRMULT field of the security master ▪ For short transactions, use negative amounts ▪ OPE with negative units for a short sale ▪ CLO with negative units to cover the trade
TICKER CUSIP SACUS	<ul style="list-style-type: none"> ▪ TICKER - ticker symbol. Refer to guides for NYSE, AMEX, NASDAQ, etc. for the symbol ▪ CUSIP - CUSIP number. Refer to the confirmation slip or a CUSIP book for the CUSIP number ▪ SACUS - SACUS number. Refer to the APL security database
Y/YTM P/PPS L/PPS AMOUNT	<ul style="list-style-type: none"> ▪ Y/YTM - yield to maturity for a bond. The price is calculated automatically. Example: Y3.256 ▪ P/PPS - price per share. Example: P110.125

- L/PPS - local price per share. Example: L110.5
- Net prices are entered without a prefix. Example: 11500 or 11500.00

Field/Column	What to enter
SNAM	<ul style="list-style-type: none"> ▪ SNAM - Account short name
ACNUM	<ul style="list-style-type: none"> ▪ ACNUM - Account number
DTCNO	<ul style="list-style-type: none"> ▪ DTCNO - DTC number
	Trade date. Permitted formats and examples:
DATE	<ul style="list-style-type: none"> ▪ YYYYMMDD - 20010521 ▪ MM/DD/YY - 05/21/01 ▪ MM/DD (current year is implied) - 05/21
REFER NUMBER	Type 0. This is filled in by the system
Z/0 B/CPB L/LPS N/NPS C/CPS COMISS	<ul style="list-style-type: none"> ▪ Broker's commission. There are six ways to enter commissions: ▪ Z/0 - True zero commissions ▪ B/CPB - Bond commission amount ▪ L/LPS - Local price per share for foreign securities ▪ N/NPS - Net cents per share (N.1250) ▪ Use this for bonds or OTC trades when the commission is built into the price of the trade but have the system display the amount on a commission report. Enter commissions this way, the system does not calculate in TRADESNEW to the net amount of the trade ▪ C/CPS - cents per share (C.20) ▪ Total amount of commission (125.00)
BROKER	Enter the broker code as entered in EDRRNM or the broker table.

4. After all transactions have been entered, type the trailer line and press Enter. The trailer line summarizes the number of open, closed, or deleted transactions in the batch. The format for this command is:

```
TRL [#OPEN] [#CLOSED] [#DELETED]
```

Where,

- [#OPEN] is the number of positions opened (buys)
- [#CLOSED] is the number of positions closed (sells)
- [#DELETED] is the number of transactions deleted

Example: if you entered three purchases, two sells, and no deletes, the trailer line would be entered as TRL 3 2 0 .

Note: This information is required. Otherwise, users cannot exit this function.

5. Type [Q and press Enter. The data is lined under the appropriate headings
6. Type [Q again and press Enter. The following message will appear:

```
REMEMBER THAT WAS BATCH nn. WOULD YOU LIKE TO POST THIS BATCH NOW?
```

Where, nn is the batch number. The batch numbers typically range from 1 to 150.


```

POSTNEW
**** NOTE: LAST TRADE BATCH SET UP WAS NUMBER: 55 ****

HDR0      5      24      2001
OPE50000  VIA      P58.3
OPE41500  DCX      P48.35
OPE2100   GM       P56.570
TRL3      0      0

TRADES BATCH NUMBER 55      TRANSFERRED: 05/24/10 1:56 P.M.
=====
TRANSFERRING BATCH NO. 55
...AND ONLY 3 ACCOUNTS TO GO
-----
BALLLU/ BALLLU      INPUT HAS BEEN TRANSFERRED
...AND ONLY 2 ACCOUNTS TO GO
-----
FERGSA/ FERGSA      INPUT HAS BEEN TRANSFERRED
...AND ONLY 1 ACCOUNTS TO GO
-----
WINFOP/ WINFOP      INPUT HAS BEEN TRANSFERRED

BAT055.PST ERR055.PST
POSTING 3 TRADE(S) TO THE BLOTTER FILE: 05/24/10 1:58 P.M.
LOTTER FILE POSTING COMPLETED: 05/24/10 1:58 P.M.
FUNCTION COMPLETED, HIT RETURN TO CONTINUE...
    
```

6.2 Understanding error messages when posting transactions

If any of the data entered in a trades batch is incorrect, the system displays an error message. Asterisk marks (***) appear over the field that you entered incorrectly to help you evaluate the batch. For example, if the broker code or the price per share is incorrect, the system enables users to overwrite the error message and post the batch anyway. Add the broker code later. However, before overwriting the error message, ensure the information is correct.

Trades in batches that have problems

Enter a bad SNAM or security identifier, and the system does not post the batch. Asterisk marks (***) appear over the bad data.

```

THE FOLLOWING TRADES IN BATCH 54 HAVE PROBLEMS

UNITS/CPS  SECIDAC  NUMDATEBRKER
-----
3*****

OPE  41,500  VIA2419630.00  BALLU20100524  180.00  ML

Review Diagnostics Again ?
    
```

- Answer YES to the REVIEW DIAGNOSTICS AGAIN? prompt, and the message will appear on the screen again. Nothing happens
- Answer NO, and the following prompt will appear:

Would You Like to Make Corrections to Batch 54 Now ?

Correct the bad data before posting the batch. Answer YES to correct bad data and post batch. Answer NO, a trades batch is created but the transactions are not posted.

“OVER SELLING SACUS” and “NOTHING TO SELL” errors

Watch for overselling and nothing to sell messages to prevent selling more shares of a security than owned (which could mean a transaction has been missed) or to sell an unowned security.

OVER SELLING SACUS means attempting to sell more shares of a security than owned. If this happens, the system records no sale at all.

```
(WINFOP) OVER SELLING SACUS: 36164
120000 OF 160000 NOT DONE ****WARNING***** NKE NIKE INC
CLASS B
WINFOP/ WINFOP INPUT HAS BEEN TRANSFERRED
BAT014.PST ERR014.PST
```

Nothing to Sell mean attempting to sell a security that is not recognized in the security databases or that is not owned in the account.

```
(WINFOP) *****NOTHING TO SELL-SACUS/REF: 36164 0 NKE NIKE INC
CLASS B
RODMDE/ RODMDE INPUT HAS BEEN TRANSFERRED
BAT013.PST ERR013.PST
```

The system displays the TICK and SACUS of every security in the batch. This helps identify which security transactions contain errors.

Files are created with the transactions (BATxxx.PST) and with the errors (ERRxxx.PST). If there are errors in a trades batch, a notification is sent via email. If you would like this feature, contact our client services team.

Previously posted batches

Attempt to post a batch that has already been posted, and the following message will appear:

```
***** THIS BATCH ALREADY TRANSFERRED *****
```

TRANSFER THIS BATCH ANYWAY ?

A batch should never be posted twice. To delete a posted batch, use the DELBATCH function. See [Deleting trades after posting by using DELBATCH](#).

6.3 Repeating field values

If entering numerous trades, many fields, such as the date field, may be the same for every trade. To save time in typing, there are features provided to lock-in or repeat values in specified fields.

Using the quote symbol

Entered one complete line of data, and use the quote symbol (") to carry down the value in one field to the next line of data input. This is done by entering the data for the next transaction, replacing repeated values with the quote symbol. Each quote symbol is separated by a single space.

Example: Using the quote symbol

The following example shows how to use the quote symbol to repeat data from the previous line:

```
(1) OPE 100 K 1000.00 EXPERT 20100521 0 0 0
(2) " " T " " " "
```

When the [Q command is entered to quit the line editor, and [P is entered to picture the data, the following results are shown for lines 1 and 2:

```
(1) OPE 100 K 1000.00 EXPERT20100521 0 0 0
(2) OPE 100 T 1000.00 EXPERT20100521 0 0 0
```

The system automatically enters the value from the field in the previous line.

Using the exclamation point

Field values can also be locked when entering the initial trade by using the exclamation point (!). Type ! in front of each value you want to carry to the next line.

Locked values remain locked for each subsequent line. To release the lock, type [Q and press Enter.

Example: Using the exclamation point

In the following example, all data items except the TICK symbol is locked in the first TRADESNEW transaction. This enables users to enter just the TICK symbol for subsequent transactions, as shown below:

```
!OPE !100 K !1000.00 !EXPERT !20100521 !0 !0 !0
(2) T
```

(3) IBM

The system automatically carries the value in that field on the next record. To release the lock, type [Q and press Enter. The result is shown below.

```
(1) OPE100K   1000.00   EXPERT 20100521   0   0   0
(2) OPE100T   1000.00   EXPERT20100521  0   0   0
(3) OPE100IBM 1000.00   EXPERT20100521  0   0   0
```

Repeating descriptions in multiple TRADESNEW transactions

The \LOCKDES command enables users to repeat the DES line for multiple TRADESNEW transactions. Use the following steps:

1. Enter the trades, but omit the DES line after each one
2. After entering the trades, type [Q and press Enter
3. Type \LOCKDES and press Enter. The following prompt will appear:

FROM LINE :

4. Type the line number of the first trade the system should apply the description to and press Enter. The following prompt will appear:

TO LINE :

5. Type the line number after the last trade the system should apply the description to, and press Enter. The following prompt will appear:

DES LINE

6. Type DES and description, separated by a single space, and press Enter. For example, type DES SD2/28/86. The system inserts the DES line after each trade line that you indicated above

6.4 Units used with securities transactions

The following table indicates the type of units to use in TRADESNEW for different types of securities.

Security Type	What to Enter
stocks	Input the number of shares in the units field.
mutual funds	Treat these like shares of stock.
Bonds	The number must be equal to 1/100 of the par value. For example, if the par value were \$50,000, enter 500 in the units field. Use the letter "M" to abbreviate to represent \$1000 of par value. For example, if the par value were \$75,000 you could enter 75M.
short-term credit	This includes commercial paper and certificates of deposit. Treat these monetary instruments like bonds.
Options	The units must be 100 times the number of options. For mini options, enter 10 times the number of options. For example, to represent five options, type 500 in the units column. To represent 5 mini-options, type 50 in the units column.
Cash	Input 0 in the units fields for cash (ISSTY 1 only).
Futures	Enter the number of contracts. Use L for the price of the future.

Short sales

Note: Enter short sales in TRADESNEW as negative units (preceded by the “-” sign), and the trade type as OPE.

6.5 Entering Option Transactions

Posting an Option Trade

In TRADESNEW, enter a closed, buying position, or an open selling position, it's sometimes not clear whether the number of securities is positive or negative. The following chart shows the correct sign to use:

Position	Buy / Sell	Enter as
Open	Buy	+
	Sell	-
Close	Buy	+
	Sell	-

Posting Options Regulatory Fees

An Options Regulatory Fee (ORF) is a fee imposed on options trades by the options exchanges and collected by the Options Clearing Corporation (OCC). This fee can be passed on to the investor clients as a transaction cost.

The fee amount is added to the cost or deducted from the proceeds of the options trade.

Options Regulatory Fees can be applied during the TRADESNEW posting process in two ways;

- Fees can be systematically calculated and applied to all option trades posted by TRADESNEW for pre-defined accounts at a predefined rate

This feature is available upon request and requires additional configuration.

- Use the EDORF editor to manage systematic ORF rate and accounts to:
 - Define the ORF rate in the Edit Rate table
 - Define account groups to automatically apply fees to option trades in the Edit Account table. Rounding method and precision can be defined per account groups
 - Track historical changes to the EDORF tables using AUDITTRAIL
- The fee amount can be entered as a description line (DES) of a TRADESNEW option transaction. See the Entering Special Trades section in this chapter for details

Systematically Applied Options Regulatory Fees

If enabled, fees are systematically applied when:

- A buy or sell transaction is posted using TRADESNEW for an option (issue types 3, 51 or 52)
- The account is part of an account group defined in the EDORF Edit Account table
- Price per share is used in the amount (P/PPS) field of the trade line
- There is no ORF description line included
- The trade date is within the date range defined in the Edit Rates table and has a valid rate

For example:

Calculation: $ORF = \text{Fee Rate} * \# \text{ of contracts}$

- Fee Rate = \$0.0417 per contract
- # of contract traded = 24
- $ORF = 24 * 0.04 = \$1.0008$. The amount is rounded as defined in the EDORF Edit Account table. Rounding may be different for different accounts
- If an account is included in more than one account group in the Edit Accounts table, the first one listed is used for rounding rules
- The calculated ORF is added to the cost (COST) for buy/open trades and deducted from the proceeds (PROC) for sell/close trades

Manage ORF Parameters Using EDORF

To manage ORF parameters used for the systematic application of fees follow these steps.

1. From the Which Function prompt, enter EDORF
2. The EDORF menu is displayed. Select an option

```

Edit      which  Option  Regulatory  Fee e table
          ESC to exit
          aaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaa
          Edit Rates
          Edit Accounts
    
```

Edit Rates

Edit or add fee rates and start dates.

```

F3/Esc - Exit
F10 - Save

This editor is used only for Options Regulatory Fee

          FEE,      $           per Start
          contract           Date
          aaaaaaaaa          aaaaaaaaaaaaaaaaa
          0.0417           01/01/16
    
```

Field	Rules/Definition
Fee, \$ per contract	Fee per contract defined in dollars with up to 6 decimals.
Start Date	Date when the rate becomes effective. Rate is applied until the start date for the next rate. Rates are sorted in chronological order.

Edit Accounts

The Edit Accounts table provides the ability to:

- Add and edit account groups
- Define rounding precision in decimals for each account group
- Define rounding methods for each account group

Note: If an account is in more than one account group, the first group listed is used.

```
F1 - List
F3/Esc Exit
F10 - Save

This editor is used only for Options Regulatory Fee Accounts
Default Rounding Method is Nearest if not defined
Default Decimals is 2 if not defined

Account      Selection                                Decimals      Rounding Method
-----
aaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaaa          aaaaaaaaaa    aaaaaaaaaa
ODD001                                2              Nearest
RR EQ 1 AND MGR EQ XYZ                2              Nearest
RR EQ 10 AND MGR EQ ABC                2              Down
```

Field	Rules/Definition
Account Selection	Define an account group by using standard EDAC fields with AND/OR operators. One group per line.
Decimals	Enter a number 0 through 9. The default is 2.
Rounding Method	Select Nearest, Up, or Down

Historical Changes to EDORF Tables

When the Rates or Accounts tables are edited, information about the change is stored. Changes can be viewed by using the AUDITTRAIL function and selecting the Options Regulatory Fee (ORF) Table.

6.6 Entering price per share

In TRADESNEW, enter the price as P/PPS, the system stores the gross amount of the trade in the RCOST field in EDPORT (for opens) or in the DPROC field (for closes).

Enter the price as P/PPS, the system calculates the net amount, using the following formula:

$$(\text{Price per share} \times \text{units}) \pm (\text{commission}) - (\text{SEC FEE on sales only})$$

Any coded ticket charges in EDRRNM, the system adds these charges to the net.

6.7 Entering special trades

To enter special trades in TRADESNEW, type extra commands on the line following the trade line. The following subsections explain the commands necessary for various types of special trades.

Versus purchases (tax lot)

To sell against a particular tax lot, conduct a versus purchase. This trade automatically overrides any sell code entered for that account, and sell out the lot that was purchased on the specified date. For example, if on May 21, 2010 the user wanted to close out a lot of IBM common stock purchased on April 12, 2007, you would type the following:

```
CLO 100 IBM P100 SAMPLE 20100521 0 C.25 PW
DES VP20070412
```

Special settlement dates

To get the system to record a date other than the regular-way settlement date, specify a special settlement date for a trade. For example, to calculate interest calculated May 21 on a trade purchased on May 17, you would type the following:

```
OPE 100 IL0893 P100 SAMPLE 20100517 0 C.25 PW
DES SD20100521
```

The default settlement period is two business days for stocks, corporate bonds, agency bonds, and municipals. Treasury notes, bonds, bills, and options settle the next day.

Accrued interest

To post a special accrued interest amount to the cash ledger, enter the accrued interest amount as follows. Otherwise, the system calculates the accrued interest.

```
OPE 100 GM-085 P100 SAMPLE 20100521 0 N.50 PW
DES AI1005.34
```

In this example, the system posts 1005.34 to the general ledger instead of the amount that it would normally calculate.

Note: For bonds with dated dates, insert this date in the appropriate place in EDSEC. See [Making changes one at a time using EDSEC](#).

Showing delivery of a gift

If an account gives away a position, do not record the transaction as an ordinary trade, which would add cash to the ledger. Therefore, enter the delivery of the gift as a special trade. For example, to show that an account is giving away 500 shares of IBM on May 18, type the following:

```
CLO 500 IBM P110 SAMPLE 20100518 0 0 0
DES DLV
```

Showing receipt of a gift

If an account receives a position as a gift, don't have the system to take cash from the ledger. Therefore, enter the gift as a special trade. For example, to show that an account is receiving 100 shares of IBM worth \$12,500 on April 17, 2010, and that these shares were originally purchased on March 4, 2007, type the following:

```
OPE 100 IBM 10000 SAMPLE 20070304 0 0 0
DES RD20100417 RV12500
```

Use the original date and cost on the OPE line and the receive date (RD) and receive value (RV) on the DES line. This ensures a correct posting to the performance file.

Unsupervised asset trades

To purchase or sell an unsupervised asset, post "UNSUPR" to the EXCLD field on the second level of EDPORT. The cash balance is not affected by an unsupervised trade.

```
OPE 100 IBM P110 SAMPLE 20100521 0 C.05 ML
DES EXCLD=UNSUPR
```

If the DES line is the same for several transactions, save data entry time by instructing the system to automatically attach the same DES line to the transactions. See [Repeating field values](#) for information on the \LOCKDES function.

Trading discretion

To identify a trade as discretionary, unsolicited, or solicited, use DISCRT= on the description line. This code must be followed by one of the following flags:

Flag	Description
D	Discretionary
U	non-discretionary, unsolicited

Flag	Description
S	non-discretionary, solicited
I	standing instructions

Here's an example:

```
OPE 100 IBM P152 SAMPLE 20100521
DES DISCRT=S
```

This code is stored in the third character of the COMFLG field in EDPORT for purchases and in the fourth character of the COMFLG field for sells.

Options Regulatory Fees

An Options Regulatory Fee (ORF) is a fee on option trades imposed by the options exchanges and collected by the Options Clearing Corporation (OCC). This fee can be passed on to the investor clients as a transaction cost.

To apply an Options Regulatory Fee (ORF) to an option trade:

- Price per share must be entered in the amount (P/PPS) field of the trade line
- Include the following description line:

```
DES ORF<ORF $ amount>
```

When posted, the fee is added to the cost for buys/opens or deducted from proceeds for sells/closes.

In the following example, a fee of \$1.20 will be added to the cost for this trade.

```
(1) OPE 10 OPT1 P110 SNAM01 20151231 0
0 0
(2) DES ORF1.20
```

Note: For details about systematically posting ORFs, see the Posting Options Regulatory Fees section within this chapter.

6.8 Selling fractional shares

Selling fractional shares by using the TRADESNEW function is not recommended. Instead, use the SELLFRAC function, which is designed for this purpose.

1. At the WHICH FUNCTION:? prompt, type SELLFRAC and press Enter. The following will appear:

```
SELL OFF FRACTIONAL SHARES THAT SUM UP TO 1 SHARE?
```

2. To sell off fractional shares of multiple positions of one security that sum up to one whole share, type YES and press Enter. Otherwise, type NO and press Enter. The following prompt will appear:

```
X-REF FOR WHICH SECURITY (ENTER SACUS, TICK, CUSIP) :
```

3. Enter in the SACUS, TICK, or CUSIP of the security for which fractions should be sold, and press Enter. The following will appear:

```
AS OF DATE - HIT ENTER FOR CURPRDATE :
```

4. Enter the date by which accounts should hold the security to be entitled to fractional shares being sold, and press Enter

Note: The preferred date format is yymmdd. For example, if the starting date is September 5, 2010, you would type it as 20100905.

The following will appear:

```
SEARCH FOR WHAT?
```

5. Enter in the account selection, and press Enter. The following will appear:

```
ENTER PRICE :
```

6. Enter the price of the security, and press Enter. The following will appear:

```
ENTER SELL DATE :
```

7. Enter the sell date for the fractional shares, and press Enter. A trades batch is created with the fractional positions to be sold
8. To save the data and exit the function, type [Q], and press Enter. The following prompt will appear:

```
WOULD YOU LIKE TO POST THIS BATCH NOW?
```

9. If the transactions are correct, answer YES. If the transactions are not correct or if further research needs to be done, answer NO. Edit and post the batch after making corrections or at a later time

6.9 Looking up prices

The system can also calculate the deliver and receive values for any priced security. The following sections show how this is done.

Looking up deliver values

Use ****LOOKUPDLV** to look up security prices on deliver transactions. Use the following steps:

1. From TRADESNEW, type in the deliver value in the price field as shown below

```
CLO 100 C PPRJUL EXPERT 20100731 0 0 0
DES DLV
```

“PPRJUL” means use a price per share equal to PRJUL (07/31/ xxxx). Be sure to include both P's-the first “P” indicates the value basis is price per share.

2. Type [Q as if quitting the batch, but only once. The desired effect is to line everything up, but remain in the batch
3. Type ****LOOKUPDLV** and press Enter. Then, look at the batch again. It should now display the value of the security on July 31:

```
CLO 100 C P48.5 SNAM 2 0100631 0 0 0
DES DLV
```

Finish the rest of the entries in the batch, add a trailer line, and post as usual. ****LOOKUPDLV** can do the lookup for multiple batches at the same time.

Looking up receive values

For free receives, use ****LOOKUPRVAI** to calculate the receive value with accruals for any priced security. This function works the same way as ****LOOKUPDLV**.

1. The first line contains the original purchase date. For the description line, use RD followed by the receive date. For the value on the date the position was received, use RV followed by the historical price. For month end pricing, use a PRXXX price the price field as shown below

```
OPE 100 C 10000 EXPERT 20100708 0 0 0 0
DES RD20100731 RVPRJUL
```

The PRJUL means use a receive value equal to 07/31/xxxx.

2. Type [Q, but only once

The desired effect is to line everything up, but remain in the batch.

3. Type ****LOOKUPRVAI** and press Enter

Look at the batch again. It displays the value of the security on 07/31/xxxx:

```
OPE 100 C P59.18 SNAM 20100615 0 0 0
DES RD20100731 RV5918.75
```

To exclude accruals from the receive value, use ****LOOKUPRV** instead of ****LOOKUPRVAI**.

6.10 Posting transactions after creation

Enter a batch of trades in TRADESNEW, and post it to an account, after initial creation, by using the function POSTNEW.

If the number of the batch of trades is unknown, use one of the transactions described in the following sections:

- [Viewing batches of trades using VIEWBATCH](#)
- [Searching through trades batches using SEARCHBATCH](#)
- [Viewing list of batches using BATCHLIST](#)

1. At the WHICH FUNCTION:? prompt, type **POSTNEW** and press Enter. The following prompt will appear:

```
**** NOTE: LAST TRADE BATCH SET UP WAS NUMBER "N" ****
BATCH NUMBER TO BE TRANSFERRED (HIT RETURN TO EXIT) :
```

2. Type the number of the batches to post to an account and press Enter. The system displays the batch and the following prompt:

```
IS THIS THE CORRECT BATCH ? (NOTE DATE) : 06152010?
```

3. If it is the correct batch, type YES and press Enter. The following prompt will appear:

```
INPUT O.K. ON BATCH: 171 TRANSFERRING BATCH NO. 171  
... AND ONLY 1 ACCOUNT TO GO  
EXPERT/ EXPERT INPUT HAS BEEN TRANSFERRED
```

Note: Most clients have 150 trades batches. Once you reach 150 batches, the system begins to recycle the batch numbers, beginning with trades batch 1.

The posting screen is captured to a file called BATxxx.PST which users can print or view. (See [Viewing and printing reports using BROWSE, QUE, and PRINT.](#)) The system displays on the screen a summary of all brokers and total shares of each security.

POSTNEW can be customized to produce trading tickets, blotters, or transmittal letters. For details, please contact our client services team.

6.11 Deleting trades after posting by using DELBATCH

If the posted batch contains transactions that were posted in error, delete the erroneous transactions using the function DELBATCH.

1. At the WHICH FUNCTION:? prompt, type DELBATCH and press Enter. The following prompt will appear:

```
ENTER BATCH NUMBER TO DELETE TRADES FROM (HIT RETURN TO EXIT) :
```

2. Type the batch number and press Enter. The following prompt will appear:

```
IS THIS THE CORRECT BATCH? (NOTE DATE) :
```

3. If this is the correct batch, type YES and press Enter. If it is not the correct batch, type NO and press Enter. Reenter the batch number
4. Enter the trade type to delete, or press Enter to choose all trade types. The following prompt will appear:

```
SELECT ACCOUNTS (HIT RETURN FOR ALL) 670 ACCOUNTS CURRENTLY ON FILE  
SEARCH FOR WHAT?
```

5. Press Enter to delete the trades for all accounts, or choose accounts by entering the SNAM or BWNUM. (Search using any account master field.) The following prompt will appear:

```
HIT RETURN FOR ALL SECURITIES IN THE BATCH WHICH SECURITIES (ENTER SACUS,  
TICK, CUSIP) :
```

6. Enter a specific security, or press Enter to delete trades for all securities

Note: If the batch was created from a block in the trading system, a list of the blocks in that batch is displayed. Select a block, or press Enter for all blocks. A batch including the trades with the selected accounts and securities will appear. Each original trade type is converted to a DEL trade type. In addition, the trailer line is adjusted to reflect the number of deletes included in the batch.

7. Review the batch and if everything is correct, type [Q and press Enter. The following prompt will appear:

```
WOULD YOU LIKE TO POST THIS BATCH NOW?
```

8. To post the batch at this time, type YES and press Enter. To not post the batch at this time, type NO and press Enter. The progress of the batch transfer process is displayed on the screen

Note: If trades did not delete, a file called ERRxxx.PST is created. This file shows the trades that did not delete. The system automatically generates an email listing these trades.

If there are any trades that DELBATCH is unable to delete, a NO DELETE message is displayed. Keep in mind that DELBATCH looks at both the original batch and EDPORT to verify which trade to delete. If any changes have been made to a trade in EDPORT or to the original batch, DELBATCH cannot delete that particular trade. Any other trades in the batch are posted.

If using DELBATCH to make a correction to a batch rather than just delete the trade entirely, users may create a new batch of the deleted trades that you can correct. The following prompt will appear:

```
DO YOU WANT THE ORIGINAL TRADES OF DELETES IN A BATCH?
```

9. To make corrections to the original transactions, type YES and press Enter. A new batch is created that includes the trades that had been deleted, along with their original trade types (OPE or CLO). A new trailer line is also included, reflecting the number of purchases (OPE) and sales (CLO) in the batch. Make any necessary changes by overwriting the displayed information, and pressing Enter to save it
10. To save changes and exit, type [Q and press Enter
11. To exit the function and post the batch, type [Q again, and press Enter. A summary of the trades included in the batch is displayed, in addition to the batch number. The following prompt will appear:

```
WOULD YOU LIKE TO POST THIS BATCH NOW ?
```

12. Type YES and press Enter to post the batch at this time. To not post the batch at this time, type NO and press Enter. The batch can be posted at a later time using POSTNEW

6.12 Duplicating trades after posting

If posted a trades batch contains transactions that need to be posted to another account or that need to copied to a test account, use the function DUPBATCH.

1. At the WHICH FUNCTION:? prompt, type DUPBATCH and press Enter. The following prompt will appear:

```
ENTER BATCH NUMBER TO COPY (HIT RETURN TO EXIT) :
```

2. Type the batch number, and press Enter. The following prompt will appear:

```
IS THIS THE CORRECT BATCH? (NOTE DATE) :
```

3. If this is the correct batch, type YES and press Enter. If it is not the correct batch, type NO and press Enter

Type NO, reenter the batch number.

4. Enter the trade type, or press Enter to choose all trade types. The following prompt will appear:

```
SELECT ACCOUNTS (HIT RETURN FOR ALL)
```

```
670 ACCOUNTS CURRENTLY ON FILE
```

```
SEARCH FOR WHAT?
```

5. Press Enter to copy the trades for all accounts, or choose accounts by entering the SNAM or BWNUM. (Search using any account master field.) The following prompt will appear:

```
HIT RETURN FOR ALL SECURITIES IN THE BATCH WHICH SECURITIES (ENTER SACUS,  
TICK, CUSIP) :
```

6. Enter a specific security, or press Enter to copy trades for all securities

Note: If the batch was created from a block in the trading system, a list of the blocks in that batch is displayed. Choose a block. Select a block, or press Enter for all blocks. A batch that includes the trades with the selected accounts and securities will appear.

7. Make any necessary changes by using the arrow keys to move to the column that needs changing and overwriting the information in that field
8. To save changes, type [Q and press Enter

- To exit the function and post the batch, type [Q and press Enter. A summary of the trades included in the batch displays, in addition to the batch number. The following prompt will appear:

```
WOULD YOU LIKE TO POST THIS BATCH NOW ?
```

- Type YES and press Enter to post the batch at this time. To not post the batch at this time, type NO and press Enter. The batch can be posted at a later time using POSTNEW

6.13 Searching for security transactions

There are several functions you can use to search for transactions in trades batches as well as obtain a list of posted and unposted trades batches. These reports are named VIEWBATCH, SEARCHBATCH, and BATCHLIST.

Viewing batches of trades using VIEWBATCH

Use the VIEWBATCH function to review a particular batch or group of batches without the risk of re-posting them. To access this function, use the following steps:

- At the WHICH FUNCTION:? prompt, type VIEWBATCH and press Enter. The following screen will appear:

```
+-----+  
-----+  
|VIEWBATCH BY (D=DATE RANGE OR B=BATCH NUMBER) : |  
+-----+  
-----+
```

- If specific batch number is unknown, enter D to display a date range. The following screen will appear:

```
+-----+  
-----+  
|Enter Beginning Date (Hit Enter for No Beginning Date) |  
+-----+  
-----+
```

Note: The preferred date format is yymmdd. For example, if the starting date is September 5, 2010, you would type it as 20100905.

3. Enter the beginning date for a narrower scope, and press Enter. Press Enter to view all batches. The following screen will appear:

```
+-----+  
-----+  
|Enter Ending Date (Hit Enter for No Ending Date)|  
+-----+  
-----+
```

4. Enter the ending date for a narrower scope, and press Enter. To view all batches, press Enter. The following screen will appear:

```

+-----+
|Please Select Batches to View|
|Batches Marked With a 'P' Have Been Posted|
|
|Last |
| #      Date      Time      OPE's   CLO's   DEL's   Saved By |
+-----+
-----|
| 055    P 06/21   15:52    6        0        0        APL
|
| 054    P 06/13   15:26    1        0        0        APL
|
| 053    P 04/06   11:28    2        0        0        APL
|
| 052    P 03/12   14:34    1        0        0        APL
|
| 051    P 03/12   10:15    2        1        0        APL
|
| 050    P 03/11    7:05    1        1        0        APL
|
| 049    P 03/11    6:44    2        2        0        APL
|
| 048    P 03/11    6:28    2        1        0        APL
|
| 047      03/11
6:24    2        1        0        APL
|
| 046    P 03/11    6:21    0        1        0        APL
|
+-----+
----+
|  Esc-Exit   F1-Help   F4-Search  SF5-Select ALL  SF6-Clear  ALL|
|  F7-Refresh Search    F8-Options  F10-Go    Return-Select/Un-Select|
    
```

```
+-----+
|-----|
|-----|
|-----+
|-----|
```

5. Move the cursor to each batch you want to view, and press Enter. The selected batch is marked by an asterisk (*)
6. Press F10 to view the data. The selected trades in the batches appear as shown:

```

                                Batch Review
                                -----
Type Units Security Amount Account Commiss. Broker
-----
Batch # 55
-----
OPE 500 ABT P52.85 LISA01 0 MER
DES EXCLD=UNSUPR
OPE 500 ABT P52.85 LISA02 0 0
DES EXCLD=UNSUPR
OPE 500 ABT P52.85 LISA03 0 MER
DES EXCLD=UNSUPR
OPE 500 ABT P52.85 LISA04 0 MER
DES EXCLD=UNSUPR
OPE 500 ABT P52.85 LISA05 0 MER
DES EXCLD=UNSUPR
OPE 500 ABT P52.85 LISA06 0 MER
DES EXCLD=UNSUPR
Batch # 54
-----
<-- More -----
PRESS <ESC> TO EXIT...<F1> FOR HELP <F3> MAIN MENU
    
```

7. Use the arrow keys to scroll through the displayed report. To print these screens, press P
8. To exit, press F3 or ESC

Searching through trades batches using SEARCHBATCH

Search through all existing batches to find a specific search string using the SEARCHBATCH function. The search string can be in any of the fields entered in a trades batch; including the TICKER, SACUS, or CUSIP, the UNITS, SNAM, TRADE DATE, or any other account or security master field used in the trades batch.

1. At the WHICH FUNCTION:? prompt, type SEARCHBATCH. The following prompt will appear:

```
ENTER THE WHOLE PRIMARY SEARCH STRING
```

2. Type in the primary string, and press Enter. The following prompt will appear:

```
ENTER SECONDARY SEARCH STRING (OR HIT ENTER)
```

- To narrow a search, enter the secondary search string, and press Enter. To view all strings, press Enter. The following prompt will appear:

```
Enter Beginning Trade Date (Hit Enter for No Beginning Date)
```

- To search within a certain time frame, enter the beginning date for the time frame, and press Enter. To display all timeframes, press Enter. The following prompt will appear:

```
Enter Ending Trade Date (Hit Enter for No Ending Date)
```

- To search within a certain time frame, enter the ending date for the time frame, and press Enter. If not press Enter. A list of the batches that contain that string will appear:

```
WHICH FUNCTION: ? SEARCHBATCH
SEARCHBATCH (PUBLIC)
ENTER THE WHOLE PRIMARY SEARCH STRING: BALLLU
ENTER SECONDARY SEARCH STRING (OR HIT ENTER) :
Enter Beginning Trade Date (Hit Enter for No Beginning Date)
Enter Ending Trade Date (Hit Enter for No Ending Date)
SEARCHING BATCHES...

UNPOSTED/ INPUT
BATCH   POSTED      DATE           DATA
=====
=====
=====
93      UNPOSTED   20101027      OPE 0    44049    578636.52    BALLLU
BATCH.LST
```

A print file is created called BATCH.LST. This can be printed, or browsed on the screen. (See [Viewing and printing reports using BROWSE, QUE, and PRINT.](#))

Viewing list of batches using BATCHLIST

To see a list of posted and unposted trades batches, run the report BATCHLIST.

1. At the WHICH FUNCTION: prompt, type BATCHLIST and press Enter. A screen is displayed, listing the posted and unposted trades batches

```

WHICH FUNCTION: BATCHLIST
UNPOSTED BATCHES   POSTED BATCHES
-----
NO.  DATE  TIME      NO.  DATE  TIME  NO.  DATE  TIME
-----
51  03/12 10:15    55  06/21 15:52 33  02/23 12:07
47  03/11  6:24    54  06/13 15:26 32  02/23 11:31
45  03/11  6:15    53  04/06 11:28 29  02/15 12:09
44  03/10 22:08    52  03/12 14:34 28  02/15 11:58
43  03/10 22:05    50  03/11  7:05 27  02/15 11:57
37  03/10  8:55    49  03/11  6:44    26  02/15 11:52
34  03/06 15:35    48  03/11  6:28 25  12/05 10:05
31  02/15 16:53    46  03/11  6:21 24  12/05  9:57
30  02/15 16:52    42  03/10 21:54 23  12/04 15:54
12  10/31  9:51    41  03/10 21:51 22  12/04 15:41

FUNCTION COMPLETED, HIT RETURN TO CONTINUE...
    
```

A print file is created called BATCH.LST. This can be printed using the QUE or PRINT functions, or browsed on the screen using the BROWSE function. For more information, see [Viewing and printing reports using BROWSE, QUE, and PRINT](#).

6.14 Auditing security transaction data

There are several reports that list incomplete data or discrepancies in security transactions.

Report	Description
AUDITTRANS	Displays a summary account of all the transactions that occurred in an account for a specific time frame.
BLOTTERAPL	Produces separate reports of purchases, sales, and deleted transactions for equity and fixed income trades.
BLOTTERDATES	Produces separate reports of purchases, sales and deleted transactions for equity and fixed income trades and allows you to select beginning and ending dates.
BLOTTERTRD	Displays information for trades posted on a selected account for a selected time frame.
PENDINGTRADES	Lists unsettled transactions for a specific account.
RECVALUE	Lists securities that have a receive value greater than the one specified.
ZEROCOST	Displays accounts that hold securities with 0.00 as a purchase cost.
ZEROPDATE	Displays accounts that hold securities with 00/00/00 as a purchase date.

Report	Description
ZEROPRICELISTI	Displays unpriced securities, and enables users to sort by specific security master fields.
ZERORCVDLV	Displays positions that have partial receive or deliver data.

6.15 Summary of security transaction functions

Copying

Function	Description
DUPBATCH	Copy information from one trades batch to another.

Correcting

Function	Description
DELBATCH	Delete trades batches or blocks.

Posting and trading

Function	Description
POSTNEW	Post a previously created trades batch
SELLFRAC	Post sells for fractional shares (cash-in-lieu)
TRADESNEW	Post security transactions to accounts

Searching and viewing

Function	Description
BATCHLIST	List posted and unposted trade batches.

Function	Description
SEARCHBATCH	Search through trade batches for a particular character string.
VIEWBATCH	View selected trades batches without the risk of reposting.

Utilities

Function	Description
**LOOKUPDLV **LOOKUPRV/ RVAI	Look up the deliver and receive values (with or without accruals).
\LOCKDES	Lock descriptions for special trades.

Chapter 7: Account Portfolio Data

This section describes where security transaction data is stored. It also describes how to make changes to the account as well as transfer assets from one account to another.

7.1 Viewing account portfolio data using FASTPORT

After posting trades to an account, users may see all of the open positions the account holds. Use the function FASTPORT to view the portfolio without modifying it.

1. At the WHICH FUNCTION:? prompt, type FASTPORT and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? FASTPORT
```

```
ENTER SHORT NAMES OR ACCOUNT NUMBERS:
```

2. Type the short name (SNAM) or account number (BWNUM) of the account(s) and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? FASTPORT
```

```
ENTER SHORT NAMES OR ACCOUNT NUMBERS: WOODTI JORDMI
```

```
VIEW WHICH LEVEL FROM EDPORT ? (HIT RETURN FOR LEVEL=1)
```

3. Enter the report level. (These levels are associated with the EDPORT function, described in [Editing portfolio data for multiple accounts using EDPORT](#)) The following prompt will appear:

```
WHICH FUNCTION: ? FASTPORT  
ENTER SHORT NAMES OR ACCOUNT NUMBERS: WOODTI JORDMI  
VIEW WHICH LEVEL FROM EDPORT ? (HIT RETURN FOR LEVEL=1)  
WOODTI  
WHICH SECURITIES ? (HIT RETURN FOR ALL)
```

- Type the security identifier (SACUS, CUSIP or TICK) for the security or securities to view and press Enter. To view all securities, just press Enter. The FASTPORT screen will appear:

```

LEVEL: 1 WOODTI
TRANS    TICK    SACUS    UNITS    PDATE    COST    SDATE
PROC
91774    HD      50184    268.5000  08/07/95  2625.21  00/00/00
0.00
53969    HD      50184    202.5000  09/14/95  1755.00  00/00/00
0.00
39985    HD      50184    67.5000   08/28/96
824.88   00/00/00  0.00
7949     HD      50184    90.0000   11/13/96
1065.00  00/00/00  0.00
91572    HD      50184    45.0000   01/10/97
509.46   00/00/00  0.00
81532    HD      50184    67.5000   03/26/97
838.13   00/00/00  0.00
91774    HD      50184    40.0000   08/07/95
1759.92  02/09/96  1882.49
91774    HD      50184    0.5000    08/07/95
14.67    07/08/97  22.25
-----
PRESS <ESC> TO EXIT  <F1> FOR HELP  <F3> MAIN MENU
    
```

To print the FASTPORT screen, press P. To exit the FASTPORT screen, press the ESC key. To select a particular security to view, the following prompt will appear when exiting the FASTPORT screen:

```
LOOK AT ANOTHER SECURITY?
```

- To look at another security, type YES and press Enter. The WHICH SECURITIES? (HIT RETURN FOR ALL) prompt will appear again. Repeat steps 3 and 4

Note: An asterisk (*) next to the date means that the position was received into the account.

7.2 Editing account portfolio data

If data for an account's portfolio are incorrect, edit them with the EDITPORT and EDPORT functions.

Important: Be very careful when you use EDPORT or EDITPORT, since you are editing the positions in an account.

EDPORT and EDITPORT will not perform any calculations based on user edits. If the user changes data in any field, change data in other related fields.

Note: To delete trades, use DELBATCH instead of EDPORT or EDITPORT. This function is described in [Deleting trades after posting by using DELBATCH](#).

Editing account portfolio data for a single account using EDITPORT

Select the specific fields you wish to edit using the EDPORT function.

1. At the WHICH FUNCTION:? prompt, type EDITPORT and press Enter. The following screen will appear:

```
+-----+
|SELECT ACCOUNTS BY SNAM, BNUM OR ACCOUNT PROFILE FIELDS |
|-----+-----|
|FUNCTION: AND|SEARCH: |
|-----+-----|
|1362 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
||
||
|-----|
|Esc-Abort F1-Help F10-Go F5-Macro F7-List SF7-Prt F8-Sort SF8-Back |
+-----+
```

2. Type the account selection, and press F10. (In this example the account SNAM "BALLLU" is selected.)
The following screen will appear:

```
+-----+
|  Please choose fields to edit  |
|-----|
| PURCH Purchase Fields|
| SALE  Sales Fields|
| AMORT Amortization Fields|
| RECEIV Receive Fields|
| DELIVE Deliver Fields|
| TRANS Transaction code|
| TICK  Ticker symbol|
| SACUS Sacus Number|
| UNITS Units|
| PDATE Purchase Date|
| COST  Total Cost|
| SDATE Sale Date|
| PROC  Total Proceeds|
| RDATE Receive Date|
+-----+-----+
---+
|Esc-Exit  F1-Help  F4-Search  SF5-Select ALL  SF6-Clear ALL|
|F7-Refresh Search  F8-Options  F10-Go  Return-Select/Un-Select|
+-----+-----+
---+
```

3. Use the arrow keys to move to the fields press Enter to select. An asterisk (*) will appear next to the selected data items

4. Press F10 to continue. The following screen will appear:

```
+-----+
|Do you want to see the Securities only for a Specific Date for BALLLU ?|
|-----|
+-----+
```

5. To see positions during a certain time frame, select YES and press Enter. To see all time frames, select NO and press Enter

Select YES, and the following screen will appear:

```
+-----+
-----+
|AS OF DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :|
+-----+
-----+
```

6. Enter the as of date and press Enter

Note: The preferred date format is yymmdd. For example, if the starting date is September 5, 2001, type it as 20010905.

The following screen will appear:

```
+-----+
-----+
|WHICH SECURITIES FOR BALLLU? (HIT RETURN FOR ALL) |
+-----+
-----+
```

- To look at specific securities, enter the SACUS, CUSIP or TICK and press Enter. To look at all securities, simply press Enter. The following screen will appear:

Field selection screen

```
+-----+
|   Please choose fields to edit   |
|-----|
| PURCH Purchase Fields|
| SALE   Sales Fields|
| AMORT  Amortization Fields|
| RECEIV Receive Fields|
| DELIVE Deliver Fields|
| TRANS  Transaction code|
| TICK   Ticker symbol|
| SACUS  Sacus Number|
|
| UNITS  Units|
|
| PDATE  Purchase Date|
| COST   Total Cost|
| SDATE  Sale Date|
| PROC   Total Proceeds|
|
| RDATE  Receive Date|
+-----+-----+-----+
---+
|Esc-Exit  F1-Help   F4-Search   SF5-Select ALL  SF6-Clear ALL|
|F7-Refresh Search  F8-Options  F10-Go     Return-Select/Un-Select|
+-----+-----+-----+
---+
```

- Select the fields to view for the selected securities. To select fields, highlight each field and press Enter. Selected fields are marked with an asterisk (*). Then, press F10 to continue

- Multiple screens are displayed, based on the selected fields. Press F9 to move from screen to screen. The example used here has five screens worth of data. The first two are shown here:

Editing account BALLU.; LUCILLE BALL Screen 1 of 5

LINE	TRANS	TICK	SACUS	UNITS	PDATE	COST	SDATE
[1]	28849	ABT	202	300.00001	9970924	9483.90	0
[2]	28868	ABT	202	100.00001	9971027	2916.50	0
[3]	28880	ABT	202	500.00001	9971231	16405.000	0
[4]	28908	ABT	202	100.00001	9980227	3744.60	0
[5]	29200	ABT	202	1000.0000	19980603	36610.00	0
[6]	29312	ABT	202	2032.0000	19980720	91186.00	0
[7]	28839	AMGN	106988	300.0000	19970808	17212.50	0
[8]	28842	AMGN	106988	250.0000	19970808	13106.25	0
[9]	28863	AMGN	106988	100.0000	19971010	4811.30	0
[10]	28909	AMGN	106988	100.0000	19980227	5314.500	0
[11]	29201	AMGN	106988	1000.0000	19980603	62040.00	0
[12]	29311	AMGN	106988	718.0000	19980720	52055.00	0
[13]	29310	AMZN	3491063	2037.0000	19980720	244057.04	0
[14]	30033	APL105	144242	2260.0000	19990721	233895.58	0
[15]	30572	AV	6256879	16.6666	19970808	533.20	0
[16]	30573	AV	6256879	16.6667	19971027	470.94	0
[17]	30574	AV	6256879	41.6667	19971216	1180.630	0
[18]	30575	AV	6256879	91.6667	19980603	4930.540	0
[19]	30576	AV	6256879	6.4167	19980720	456.59	0

F-3 Exit F-4 Search F-9 Left/Right F-10 Save

Editing account BALLU.; LUCILLE BALL Screen 2 of 5

LINE	TRANS	TICK	SACUS	PROC	RDATE	RCOST	DDATE
[1]	28849	ABT	202	0.00	0	9468.90	0
[2]	28868	ABT	202	0.00	0	2912.50	0
[3]	28880	ABT	202	0.00	0	16375.000	0
[4]	28908	ABT	202	0.00	0	3740.60	0
[5]	29200	ABT	202	0.00	0	36570.000	0
[6]	29312	ABT	202	0.00	0	91186.000	0
[7]	28839	AMGN	106988	0.00	0	17212.50	0
[8]	28842	AMGN	106988	0.00	0	13093.75	0
[9]	28863	MGN	106988	0.00	0	4806.30	0
[10]	28909	AMGN	106988	0.00	0	5312.50	0
[11]	29201	AMGN	106988	0.00	0	62000.000	0
[12]	29311	AMGN	106988	0.00	0	52055.000	0
[13]	29310	AMZN	3491063	0.00	0	244057.04	0
[14]	30033	APL105	144242	0.00	0	233645.58	0
[15]	30572	AV	6256879	0.00	20001002	382.04	0
[16]	30573	AV	6256879	0.00	20001002	382.04	0
[17]	30574	AV	6256879	0.00	20001002	955.10	0
[18]	30575	AV	6256879	0.00	20001002	2101.220	0
[19]	30576	AV	6256879	0.00	20001002	147.09	0

F-3 Exit F-4 Search F-9 Left/Right F-10 Save

- To make changes to any of the data, use the TAB key to move to the field, and type over the existing data
- After making changes, press F10 to save data and exit the function

12. To exit, or to view additional fields, press F3. The following screen will appear:

```
+-----+
|Do you want to Edit additional fields ?|
|-----|
NO
      YES
+-----+
```

13. To edit additional fields, select YES and press Enter. The field selection screen will appear. (See [Field selection screen](#)) Repeat steps 3 through 13

Editing portfolio data for multiple accounts using EDPORT

Edit portfolio data for multiple accounts using the EDPORT function. There are four basic levels in EDPORT:

- The first level shows purchase and sale information
- The second level shows receive and deliver information
- The third level shows commission information
- The fourth level shows settlement date information and the original face value of pass-through securities

1. At the WHICH FUNCTION:? prompt, type EDPORT and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? EDPORT
EDPORT
1362 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT?
```

2. Enter a search command to retrieve the account or group of accounts and press Enter. (In this example, the user searches for the SNAM "BALLLU.") The following prompt will appear:

```
SEARCH FOR WHAT? BALLLU 1 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

- To broaden or narrow your search, or sort the results, enter the appropriate database commands and press Enter. To view all, press Enter. The following screen will appear:

```
*****
*****
SELECTION FOR SNAM: BALLLU/1188DATE WINDOW: 00/00/00 TO 07/10/10 WHICH
SECURITIES ( HIT RETURN FOR ALL)
```

- Type the TICK, CUSIP or SACUS for each security to edit, and press Enter

Note: Select a specific security by either TICK, CUSIP or SACUS rather than an entire account.

EDPORT level 1

The first EDPORT screen will appear. The column header for this level is shown below.

```
(1) SNAM:  BALLLU ACNUM: 1188
(2) TRANS TICK  SACUS  UNITSPDATE  COSTSDATE  PROC
(2)  -----
(311)
```

The fields in the first EDPORT screen are described in the following table.

Field	Description
TRANS	Transaction number from the trade input function.
TICK	Ticker symbol.
SACUS	SACUS number. This is the field that identifies the security.
UNITS	Units. These are adjusted for certain issue types. The units appear here the same way they appear in TRADESNEW. UNITS for options are # of options time the premium multiplier, which is typically 100. For mini-options, the premium multiplier is 10.
PDATE	Purchase date. Always use the trade date, not the settleent date.
COST	Original cost. This is the net amount, not the gross. It excludeaccrued interest but includes commission, SEC fee, and other charges.
SDATE	Sale date. This is the date of the sale.

Fields	Description
FACE	Original face amount in dollars for pass-through securities.
COMFLG	Commission flag. If the first character is an N, the trade was net on the purchase. If the second character is an N, the trade was net on the sale side.
STRANS	Transaction number for sales.

For more information on extra levels of EDPORT, please contact your Account Consultant.

5. Use the arrow keys to move the cursor to the fields, and type over the incorrect data
6. After making changes, type [Q and press Enter to save the data
7. Type [Q and press Enter to exit
 - Enter specific securities in step 3, or return to the WHICH FUNCTION:? prompt
 - Enter specific securities in step 3, the following prompt will appear:

EDIT ANOTHER SECURITY?

8. To edit additional securities, repeat steps 3 through 7

Notes:

- Each line in EDPORT reflects both the purchase and sale of a security. Never delete a line to change a sale. When deleting a line, the system deletes both the purchase and the sale. Verify the information before deleting lines in EDPORT
- EDPORT does not perform any calculations. For example, change a commission amount, and change the net amount on the first screen to reflect the change. EDPORT does not automatically recalculate the new net amount of the trade if a commission amount changes. Change both numbers
- Only one user can edit an account at a time. If a user attempts to access EDPORT for an account that another user is already accessing, the system displays a message lock out message until the other user releases the account. This feature protects files so that one user does not unknowingly overwrite the changes another user has just made
- For options trading, our customer operations group will analyze current Trade and Book-keeping processes to ensure these options positions are posting correctly. If any issues arise, a project must be initiated to correct them. Units in EDPORT must be reflected as “1 option contract X PRMULT”. This may require changes to overnight trades and book-keeping functions

7.3 Transferring account portfolio data to another account

There are ways to move, or journal, securities from one account to another without manually creating a trades batch. The functions that enable users to do this are named JNLSEC and JNLALL.

Journaling a security to another portfolio using JNLSEC

The JNLSEC function enables users to journal a security from one portfolio to another. JNLSEC preserves the original cost and purchase date of the security. It posts a deliver date (DDATE) and deliver value (DPROC) to the original account, and a receive date (RDATE) and receive value (RCOST) to the new account.

1. At the WHICH FUNCTION:? prompt, type JNLSEC and press Enter. The following will appear:

```
WHICH FUNCTION: ? JNLSEC JNLSEC (PUBLIC)
```

```
(1) SNAM/AC AS OF/TICKSNAM/AC ORIGINAL TFR
```

```
(2) FROMDATESHARESSACSTOPDATEVALUE
```

```
(2) -----
```

```
--
```

```
(3)
```

Type in the appropriate data, separated by a single space.

2. Type [Q and press Enter when all data is entered and ready to save the data and exit the function. The following prompt will appear:

```
ARE THERE X TRADE(S) FOR X SHARES (VALUE = X ) ?
```

3. If the summary information is correct, type Y and press Enter. If it is not, type N and press Enter
 - If N, correct the data
 - If Y, a trades batch is created. The following prompt will appear:

```
WOULD YOU LIKE TO POST THIS BATCH NOW?
```

4. To post the batch, type YES and press Enter

Notes:

- In EDPORT for the account ransferring the position(s) from, the DDATE and DPROC fields are filled in with the AS OF DATE and TFR VALUE as entered in JNLSEC
- In EDPORT for the account transferring the position(s) to, the RDATE and RCOST fields are filled in with the AS OF DATE and TFR VALUE as entered in JNLSEC, as well as the original purchase information

Journaling multiple securities using JNLALL

JNLSEC, used in conjunction with JNLALL can help to automate the transferring of securities.

In spite of the name, JNLALL does not require users journal everything out of an account—use it to deliver out a portion of the securities held in the account, if you want. It also enables users to choose particular issue types or even particular securities. This function calculates the versus purchase dates and calculates the values, with or without accruals, of the securities being transferred.

1. At the WHICH FUNCTION:? prompt, type JNLALL and press Enter. The editor screen will appear, followed by a prompt line. (For more information on how the line editor works, see [Line editor interface](#))

```
WHICH FUNCTION: ? JNLSEC JNLSEC (PUBLIC)
(1) SNAM/AC   AS OF/TICKSNAM/AC   ORIGINAL   TFR
(2) FROMDATESHARESSACUSTOPDATEVALUE
(2)  -----  -----  -----  -----  -----  -----
--
(3)
AS OF DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

2. Type in the date by which the positions to journal should be held and press Enter

Note: The preferred date format is yymmdd. For example, if the starting date is September 5, 2010 then you would type it as 20100905.

The following will appear:

```
SEARCH FOR WHAT?
```

3. Enter the name of the account transferring the positions and press Enter. (Users can also construct a complex search by using special operators. See [Special operators \(Boolean operators\)](#) for more information.) The following will appear:

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

4. If there are no other operations, press Enter. The following screen will appear:

```
ROUND EACH POSITION (P) OR EACH TAX LOT (T) :?
```

5. To round according to the total number of shares held, type P and press Enter. To round according to each open tax lot held, type T and press Enter. The following will appear:

```
DESIRED PCT (E.G. 100) :
```

6. To journal all shares, type 100 (for 100 percent) and press Enter. To journal only a portion of the total number of shares held, type in the percentage and press Enter

Keep in mind the rounding option, especially if not transferring the entire position. For example, rounding by tax lot and are only transferring 30 percent, 30 percent is taken from each open tax lot.

If not journaling, 100 percent of the positions the following will appear:

```
ROUND TO THE NEAREST (E.G. 1 OR 100)
```

7. Enter the whole share figure to round and press Enter. The following will appear:

```
ROUND SHARES TO BE TRANSFERED UP ?
```

8. Type Y and press Enter to transfer the positions out to be rounded up. Type N and press Enter to not
The following will appear:

```
INCLUDE ACCRUALS IN MARKET VALUE ?
```

9. To include accruals in the market value for the transferred positions, type Y and press Enter. If not, type N and press Enter. The following will appear:

```
ISSTYS TO INCLUDE (RET FOR ALL) :
```

- If transferring all positions held, press Enter for all of the security issue types found in the account. If transferring a specific type of security, type in the issue type for the security and press Enter. The following will appear:

INCLUDE ONLY SECURITIES (RET FOR ALL) :

- If transferring one security, enter the SACUS, CUSIP, or TICK for that security. If transferring all securities held, press Enter. The following will appear:

PLEASE ENTER SNAM OF ACCOUNT YOU WOULD LIKE THESE SECURITIES MOVED TO?

- Type in the short name of the account to journal the securities and press Enter. A screen will appear, displaying the positions that are transferred
- Type [Q and press Enter to save the data and to exit the function. The following will appear:

ARE THERE X TRADE(S) FOR X SHARES (VALUE = X) ?

- If this is the correct amount of shares at the correct value, type Y and press Enter. If it is not, type N and press Enter
 - Answer N, edit the data. The following prompt will appear:

WOULD YOU LIKE TO POST THIS BATCH NOW?

- To post the batch, type YES and press Enter. To not post the batch at this time, type NO and press Enter

Notes:

- In EDPORT for the account transferring the position(s) from, the DDATE and DPROC fields are filled in with the AS OF DATE and TFR VALUE as entered in JNLSEC
- In EDPORT for the account transferring the position(s) to, the RDATE and RCOST fields are filled in with the AS OF DATE and TFR VALUE as entered in JNLSEC, as well as the original purchase information

7.4 Auditing account portfolio data

There are several reports that allow users to audit account portfolio data.

Report	Description
BADDATE	Displays accounts that have positions with invalid purchase, sale, receive, or deliver dates.

Report	Description
CAPAW	Displays all positions that have been received into an account and/or delivered out of an account.
ZEROCOST	Displays accounts that hold securities with 0.00 as a purchase cost.
ZEROPDATE	Displays accounts that hold securities with 00/00/00 as a purchase date.
ZERORCVDLV	Displays positions that have partial receive or deliver data.

7.5 Summary of account portfolio data functions

Editing

Field	Description
EDITPORT	Edit specific fields in EDPORT.
EDPORT	Edit account data for one or more accounts.

Transferring

Field	Description
JNLSEC JNLALL	Journal or move securities from one account to another.

Viewing

Field	Description
FASTPORT	View specific portfolio data.

Chapter 8: General Ledger

This section describes how to enter cash transactions, such as dividends or interest, to the general ledger, and shows how to change or delete general ledger entries.

One way to know whether a transaction belongs in the general ledger file is to note type of transaction it is. Transactions involving trades, contributions of securities, and withdrawals of securities are entered using TRADESNEW. All other transactions are entered using the general ledger transactions described in this section.

8.1 Posting entries to the general ledger

There are two ways that entries are posted to the general ledger:

- By overnight batch processing from an external system, or from an APL file maintenance process
- By posting using the APL Expert functions POSTGL or POSTDIVS

The following sections describe POSTGL and POSTDIVS functions.

Posting entries using POSTGL

To post entries to the general ledger, use the POSTGL function. This function should be used to enter any of the following transaction types:

- Receipt or delivery of cash or income into an account
- Interest or dividend payments on unlisted securities and money funds
- Transfers of income to principal and fee postings

1. At the APL Expert WHICH FUNCTION:? prompt, type POSTGL and press Enter. The editor screen will appear:

```

AVAILABLE TRDTYS :
OPE OPESTL CLO RCV DLV TFR INT INTACC DIV INC FEEADV FEETAX DIVRNV TAXFEE
DLVIN
C RCVINC PRI MEMO
(1) INCOME CASH LEDGER
(2 ) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $
AMOUNTDESCRIP
(2) -----
-----
(3)
    
```

2. Type the requested data, separated by a single space, and press Enter

POSTGL field descriptions

The table below explains the acceptable data for each field.

Field	Trade Type	Description
SNAM/AC		The account short name (SNAM) or account number (BWNUM) to which you are posting.

Field	Trade Type	Description
TRDTY	DLV	Deliver cash out. This type of trade is also used to post fees other than advisory fees, such as custodian fees. This affects the principal cash amount, and reflects a change in capital.

Field	Trade Type	Description
	RCV	Receive cash or stock in. This affects the principal cash amount, and reflects a change in capital. Receives of stock are posted in the general ledger only as a memo to record a stock dividend. All actual receives of stock must be posted through TRADESNEW to be included in the account portfolio.

Field	Trade Type	Description
	TFR	Transfer from income to principal. A negative transfer amount transfers principal to income. There is no change in the cash balance however, since both income and principal are affected. There is no capital change.
	INT	Interest earned. This affects the income amount, although there is no change in capital.
	INTACC	Interest accrued-received or paid. The system calculates this from the trades batch, and posts it automatically to the general ledger. This affects the income amount; however, there is no reflection of a change in capital.
	DIV	Dividend earned. This affects the income amount; however, there is no change in capital.
	INC	Income earned. This affects the income amount; although there is no change in capital.
	FEEADV	Advisory fees. Fees paid out of an account must be reflected with a negative dollar amount. Fees posted with a positive amount are considered rebates. This affects the income amount, and also reflects a change in capital.
	DIVRNV	Dividends reinvested. This affects the income amount, but does not reflect a change in capital.
	RCVINC	Income received. This affects the income amount as a capital addition. There is a reflection of a change in capital.
	DLVINC	Income delivered out. This affects the income amount as a capital withdrawal. This reflects a change in capital.
	PRI	Principal. Creates an addition or subtraction to the principal cash balance. It is considered money earned, not as a capital distribution. It affects the principal amount, but does not reflect a change in capital.
	MEMO	Memorandum item. There is no change in the cash balance. It does not affect income, principal, or capital.

Field	Trade Type	Description
TICK		The ticker symbol of the security. In most cases, the ticker is CASH-1 for receives or delivers. (We use CASH-1 as the internal TICK for cash received, because "CASH" is the NASDAQ ticker symbol for First Midwest Financial, Inc.)
SACUS / CUSIP		The SACUS or CUSIP number for the security. The SACUS for cash is 13321. For income on a security, use the SACUS or CUSIP number .
DATE		The date the transaction occurred.
UNITS		The number of units if the transaction is for a specific number of shares of a position. For cash transactions, type 0
\$ AMOUNT		The total dollar amount of the transaction.
DESCRIP		Description identifying the transaction. The maximum number of characters acceptable in this field is 20.

3. Type [Q and press Enter to save the data
4. Type [Q and press Enter again to exit the function. The following prompt will appear:

Do You Want to Post these entries Now ?

5. Type Y (for Yes) or N (for No) and press Enter
 - To not post the entries at this time, type N and press Enter. The transactions are stored in a file that can be uploaded at a later time. The file is stored as POSTGL.P#, where the # is the extension assigned to the file
 - To post the entries at this time, type Y and press Enter. The APL Expert system responds with a prompt that shows the transactions are being posted

Do You Want to Post these entries Now ? Y POSTING 1 TRANSACTION FOR SNAM: NEWMPA

6. After the transactions are posted, the following prompt will appear:

```
WOULD YOU LIKE TO VIEW CASH BALANCE ?
```

If the cash balance does not appear at this time, type N and press Enter. To view the cash balance, type Y and press Enter. The data will appear on the screen, and is also stored in a print file named BALANC.LRP.

```
WOULD YOU LIKE TO VIEW CASH BALANCE ? Y
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 06/25/10:
1
06/25/10 CASH BALANCES
(SNAM )          CASH          BALMMF          TOTAL          LONG NAME
-----          -
-----          -
(NEWMPA) 216,713.13  0.00          216,713.13    PAUL NEWMAN
BALANC.LRP
```

8.2 Posting dividends using POSTDIVS

Security APL automatically posts dividends. To post security income manually at a specific rate across a group of accounts, use POSTDIVS.

Consider using POSTDIVS when:

- A trade was entered late, therefore missing the posting date
- A new account is added, and backs post some dividends
- Re-posting is necessary due to incorrect information (for example, incorrect units) in the portfolio

Follow these steps to use the POSTDIVS function:

1. At the APL Expert WHICH FUNCTION:? prompt, type POSTDIVS and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? POSTDIVS
POSTDIVS (PUBLIC)
UPDATE DIVIDENDS TO ACCOUNT FILE(S) :
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :
```

2. Type the beginning date, and press Enter. The following prompt will appear:

```
ENDING DATE (MM/DD/YY)
```

3. Type the ending date, and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

4. Type the account selection, and press Enter. (Enter account names separated by spaces, or use the \SELECTAC macro described in [Advanced search utilities \SELECTAC and \SELECTSEC.](#)) The following prompt will appear:

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

5. To broaden or narrow an account selection, type the appropriate database commands (listed when typing HELP and pressing Enter.) Otherwise, press Enter, to post the dividends to the accounts

Note: POSTDIVS has a built-in error checking to prevent double- posting dividends.

The screen below shows how POSTDIVS is run.

```
WHICH FUNCTION: ? POSTDIVS
UPDATE DIVIDENDS TO ACCOUNT FILE(S) :

BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 : 05/01/10
ENDING DATE (MM/DD/YY) 05/31/10
1362 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? ROGEGI
1 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
Removing PAYABLEs from EDGL for 1 Accounts
12
INCOME PAYMENTS FROM THE FOLLOWING MAY BE MISSING:
POSTING 1 DIVIDENDS/INTEREST TO ACCOUNT <ROGEGI> 1 OUT OF 1 06/27/01
11:38 A.M.
```

8.3 Viewing general ledger data using FASTGL

The FASTGL function enables users to view information in the general ledger for a specific time frame.

1. At the APL Expert WHICH FUNCTION:? prompt, type FASTGL and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

2. Type the account selection for the accounts to view, and press Enter. The following prompt will appear:

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

3. To broaden or narrow your search, type the additional commands and press Enter, or simply press Enter. The following prompt will appear:

```
BEGINNING DATE (MM/DD/YY)
```

4. To view a specific timeframe, type the beginning date and press Enter, or simply press Enter for no beginning date. The following prompt will appear:

```
ENDING DATE (MM/DD/YY)
```

5. Type the ending date, and press Enter or simply press Enter for no ending date. The following prompt will appear:

```
WHICH TRADE TYPES (CAGNJA) ? (HIT RETURN FOR ALL, OR TYPE NEXT OR QUIT)
```

- Type the trade type to select the type of transaction entries to view, and press Enter, or simply press Enter for all transactions. A screen will appear, displaying the transactions you selected

```

SNAM= BERGIN BWNUM: -001290
    
```

TRDTY	TICK	SACUS	DATE	UNITS	\$ AMOUNT
DIV	KO	2625	20100401	2393	430.74
-COCA COLA CO					
INT	NGE-01	8293	20100401	1700	1080.20 -
NEW YORK ST ELEC &					
DIV	MO	212594	20100410	250	132.50
-PHILIP MORRIS COS I					
DIV	DCX	4402680	20100412	1933	4015.63 -
DAIMLERCHRYSLER AG					
DIV	MOT	7928	20100416	3412	136.48
-MOTOROLA INC					
DIV	DPH	4621478	20100416	1796	125.73 -
DELPHI AUTOMOTIVE S					
DIV	GE	4998	2010425	2048	327.68
-GENERAL ELEC CO					

8.4 Editing general ledger data

There are several functions that enable users to edit data in or remove data from the general ledger: EDITGL, EDGL, FIXGL, and FIXGLDES.

Editing data for a single account using EDITGL

1. At the APL Expert WHICH FUNCTION:? prompt, type EDITGL and press Enter. The following screen will appear:

```
+-----+
|SELECT ACCOUNTS BY SNAM, BWNUM OR ACCOUNT PROFILE FIELDS |
|-----+-----|
|FUNCTION: AND|SEARCH: |
|-----+-----|
|1351 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
||
|-----|
|Esc-Abort F1-Help F10-Go F5-Macro F7-List SF7-Prt F8-Sort SF8-Back |
+-----+
```

2. Type the SNAM or BWNUM in the SEARCH: field for the accounts to edit, and press F10. In this example, we are using “DEANJA” as SNAM. (Enter account names separated by spaces, or you can use the \SELECTAC macro described in [Advanced search utilities \SELECTAC and \SELECTSEC](#). Also, pressing F7 displays a list of accounts.) The following prompt will appear:

```
Enter Beginning Date (Hit Return for No Beginning Date)
```

3. To look at a specific timeframe, enter the beginning date and press Enter, or simply press Enter to look at all dates

Note: The preferred date format is yyyyymmdd. For example, if the starting date is September 5, 2010, type it as 20100905.

4. The following prompt will appear:

Enter Ending Date (Hit Return for No Ending Date) :

5. To look at a specific time frame, enter the ending date and press Enter, or simply press Enter to look at all dates. The following prompt will appear:

Enter Securities to Edit (Hit Return of All Securities) :

6. Type the TICK, SACUS, or CUSIP for the securities to edit and press Enter, or press Enter for all securities. The following screen will appear:

```

+-----+
|Select an Option|
|-----|
|EDIT|
|PRINT|
+-----+
    
```

7. To edit the general ledger data, select EDIT, and press Enter. To print the general ledger data, select PRINT, and press Enter

The following screen will appear when you choose EDIT.

Snam.: DEANJA		Income Cash Ledger	Screen 1 of 2	
BWNUM.: 2000		-----	06/28/10 8:25 A.M.	
Account Number.: 654328123				
Account 1 of 3		JAMES DEAN		
Type	TickSacus	Trd Date	Amount	Units

DIV GE	4998	20100425	327.68	2,048
DIV MOT	7928	20100416	136.48	3,412
DIV DPH	4621478	20100416	125.73	1,796
DIV DCX	4402680	201004124,	015.631,	933
DIV MO	212594	20100410	132.50	250
DIV KO	2625	20100401	430.74	2,393
INT NGE-01	8293	20100401	1,080.201,	700
F-1 Help	F-3 Exit	F-4 Search		
F-7 Prior Account	F-8 Next Account	F-9 Left/Right	F-10 Save	

- Using the TAB key move to the columns you want to edit. Also, by pressing F9, additional columns of data can be viewed. This is shown below:

```
Screen: DEANJA      Income Cash Ledger      Screen 2 of 2
BUNN: 2000----- 06/28/10 8:25 A.M.
Account Number: 654328123
Account 1 of 3      JAMES DEAN

Type  Tick Sacus Description
-----
DIV  GE   4998 -GENERAL ELEC CO
DIV  MOT  7928 -MOTOROLA INC
DIV  DPH  4621478 -DELPHI AUTOMOTIVES
DIV  DCX  4402680 -DAIMLERCHRYSLERAG
DIV  MO   212594 -PHILIP MORRIS COSI
DIV  KO   2625 -COCA COLA CO
INT  NGE-01      8293 -NEW YORK ST ELEC &

F-1 Help   F-3 ExitF-4 Search
F-7 Prior Account... F-8 Next Account   F-9 Left/Right F-10 Save
```

- After correcting the entries, press F10 to exit the function and save the changes made. The following screen will appear:

```
+-----+
|Are You Sure You Want to Exit and Save ?|
|-----|
NO
YES
+-----+
```

- Select NO and press Enter not to exit and save the data. Select NO, and return to the editing screen until pressing F10 and select YES to exit and save the data
- To exit and save the data, select YES and press Enter. The following screen will appear:

```
+-----+
|Would You Like to View Cash Balances ?|
|-----|
NO
YES
+-----+
```

- To not view the cash balance after making changes, select NO and press Enter. To view the cash balance after making changes, select YES and press Enter. The following prompt will appear:

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :
```

- Type the as of date and press Enter. The following screen will appear:

```
06/27/10 CASH BALANCES
(SNAM )      CAHS BALMMF      TOTAL      LONG NAME
-----
-----
(DEANJA)     2,592,446.19      2,640,406.58  5,232,852.77 JAMES DEAN
(LORESO)     2,592,446.19      2,640,406.58  5,232,852.77 SOPHIA LOREN
(SINAFR)     2,592,446.19      2,640,406.58  5,232,852.77 FRANK SINATRA
```

- Press ESC to exit. A print file is created named BALANC.LRP
 - Press F3 in step 9 to exit without saving, you are prompted to press F10 in order to exit the function
 - Select multiple accounts, press F8 to go to the next account

Editing data for multiple accounts using EDGL

- At the APL Expert WHICH FUNCTION:? prompt, type EDGL and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? EDGL
EDGL
AVAILABLE TRDTYS:
OPE  OPESTL CLO  RCV  DLV  TFR  INT  INTACC DIV  INC
FEEADV FEETAX DIVRNV TAXFEE DLVINC RCVINC PRI  MEMO
1395 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT?
```

- Type the account selection and press Enter. The following prompt will appear:

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

- To broaden or narrow your search, type the appropriate database commands and press Enter or simply press Enter. The following prompt will appear:

```
DO YOU WISH TO EDIT OR PRINT THESE ACCOUNTS?
```

- Type E to edit or P to print. Chose to edit, and the general ledger editor will appear, as shown below:

```
DO YOU WISH TO EDIT OR PRINT THESE ACCOUNTS? E
(1) INCOME CASH LEDGER FOR: SNAM= BALLLU BWNUM: -001188RR: 40 MGR: MOE
(2) TRDTY TICK SACUS DATEUNITS $ AMOUNTDESCRIPTION
(2) -----
-----
(445)
```

- Type [P and press Enter to picture the lines in the general ledger
- Using the arrow keys move to the data to edit and type over it
- Type [Q and press Enter to save the changes
- Type [Q and press Enter to exit the function. Once you have edited the general ledger for all selected accounts, the following prompt will appear:

```
WOULD YOU LIKE TO VIEW CASH BALANCES ?
```

- To view the cash balances, type Y for yes, otherwise type N for no, and press Enter
 - Answer YES, the system prompts you to select an as of date when running EDITGL

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 :
```

Type the as of date and press Enter. The cash balance will appear on the screen. A report is created with the balances called BALANC.LRP. View or print this report. See [Viewing and printing reports using BROWSE, QUE, and PRINT](#).

Enter NO, to view cash balance, the system returns to the WHICH FUNCTION:? prompt.

8.5 Removing general ledger entries

The functions FIXGL and FIXGLDES enables users to remove an entry from the general ledger file for a single account or a group of accounts.

Removing entries by SACUS and date with FIXGL

The function FIXGL enables users to remove general ledger entries by specifying the SACUS number and transaction date. Use the following steps:

1. At the APL Expert WHICH FUNCTION:? prompt, type FIXGL and press Enter. The following prompt will appear:

```
ALLOW DELETION OF SPLIT ENTRIES : ?
```

2. This option enables users to reverse stock splits and stock dividends. To delete stock splits or stock dividends, type Y. To delete all other types of entries, type N. The line editor is started. (For more information on the line editor, see [Line editor interface](#))

```
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

```
(0) SACUSDATE
```

```
(1)
```

3. Type the SACUS and PAYMENT DATE on one line for each dividend or payment to remove, and press Enter
4. After entering all the entries to be removed, type [Q and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection and press Enter. The following prompt will appear:

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

- To broaden or narrow your search, type the appropriate commands and press Enter or press Enter

The system removes the entries from the specified accounts. An audit file is created containing the deleted entries. The name of the file is FIXGL.L00, where 00 is the number of the report. Run the function three times, three files would be created and named FIXGL.L00, FIXGL.L01 and FIXGL.L02.

After removing a dividend from the general ledger, users may want to re-post it. Using the POSTDIVS or POSTGL functions enable users to re-post the dividend by reading in the file that is created when FIXGL is run.

```
WHICH FUNCTION: ? FIXGL
ALLOW DELETION OF SPLIT ENTRIES: ? Y
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
(0) SACUSDATE
(1) 2625 07/01/10
(2) [Q
1351 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? BERGIN TAYLLI MONRMA LORESO 4 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
DELETING 1 POSITION(S) FROM ACCOUNT BERGIN
DELETING 1 POSITION(S) FROM ACCOUNT TAYLLI
DELETING 1 POSITION(S) FROM ACCOUNT MONRMA
DELETING 1 POSITION(S) FROM ACCOUNT LORESO
Audit Trail of Entries Which Have Been Deleted Has Been Stored to :
FIXGL.L00
```

Note: The file created by FIXGL can be read into POSTDIVS or POSTGL by using the **READFILE function. Contact your Account Consultant for more information.

Removing entries based on description with FIXGLDES

The FIXGLDES function enables users to select general ledger entries for deletion by type, SACUS, trade date, and description.

Note: All rows entered using FIXGLDES are applied as a batch to a single account or range of accounts. By contrast, the function RECONGLDES enables users to apply a specific account with each row in the batch. See [Removing entries by account with RECONGLDES](#) for more information on RECONGLDES.

To use FIXGLDES, follow these steps:

1. At the APL Expert WHICH FUNCTION:? prompt, type FIXGLDES and press Enter. The following prompt will appear:

```
ALLOW DELETION OF SPLIT ENTRIES: ?
```

Note: If a function not listed on the APL Expert menu is needed, type the characters ** before the name of the function. If this is not done, the system reads only the first few letters of the function. For example: To use FIXGLDES, type **FIXGLDES, otherwise the system only recognizes FIX and the function you are brought into is FIXGL.

2. This option enables users to reverse stock splits and stock dividends. To delete stock splits or stock dividends, type Y. To delete all other types of entries, type N. The following prompt will appear:

```
INCLUDE TICK SEARCH IN THE DELETION: ?
```

3. To narrow the search by ticker symbol, type YES and press Enter. If not, type NO and press Enter. The line editor starts. (For more information on the line editor, see [Line editor interface](#))

```
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

```
(0)  TYPE    SACUS    DATE    GL DESCRIPTION
```

```
(1)
```

4. Type the trade TYPE, SACUS number, payment DATE, and DESCRIPTION, each separated by a single space, on one line for each dividend or payment to remove, and press Enter

Notes:

- For the TYPE field, a list of trade types can be found in [POSTGL field descriptions](#)
- The DESCRIPTION field must match the entry exactly, including the case (upper/lower). Otherwise, the entry will not be deleted

5. After entering all the entries to be removed, type [Q and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

6. Type the account selection and press Enter. The following prompt will appear:

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

7. To broaden or narrow your search, enter the appropriate commands and press Enter, or simply press Enter

The system removes the entries from the accounts you specified. An audit file is created containing the deleted entries. The name of the file is FIXGL.L00, where 00 is the number of the report. If you ran the function three times, three files would be created: FIXGL.L00, FIXGL.L01, and FIXGL.L02.

After removing a dividend from the general ledger, users may want to re-post it. Use the POSTDIVS function to re-post the dividend by reading in the file that is created when FIXGL is run.

```
WHICH FUNCTION: ? **FIXGLDES
ALLOW DELETION OF SPLIT ENTRIES: ? N INCLUDE TICK SEARCH IN THE DELETION:
? N
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
(1)  TYPE    SACUS  DATE    GL DESCRIPTION
(2)  DIV      5809      20100616 HONEYWELL INC
(3)  [Q
1351 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT? MGR EQ MOE
52 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
DELETING 1 POSITION(S) FROM ACCOUNT KARENM
Audit Trail of Entries Which Have Been Deleted Has Been Stored to :
FIXGL.L02
```

Note: The file created by FIXGLDES can be read into POSTDIVS or POSTGL by using the **READFILE function. Contact your Account Consultant for more information.

Removing entries by account with RECONGLDES

Like the FIXGLDES function, the RECONGLDES function enables users to delete general ledger entries. However, RECONGLDES enables users to specify a different account for each line in the batch file, rather than causing an entire batch file to act on a specific account or range of accounts. For more information on FIXGLDES, see [Removing entries based on description with FIXGLDES](#).

To use RECONGLDES, follow these steps:

1. At the WHICH FUNCTION: ? prompt, type RECONGLDES and press Enter. The line editor interface is displayed, as shown below:

```
WHICH FUNCTION: ? RECONGLDES RECONGLDES (PUBLIC)
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
(0) ACCT TYPE TICK SAC/CUS DATEUNITSAMOUNT GL DESCRIPTIO
(1)
```

(See [Line editor interface](#) for more information on entering and editing data using this type of interface.)

2. On each line, enter the transactions to delete, separating each data field with a single space

Field	Description
ACCT	The account short name (SNAM).
TYPE	The transaction type. A list of acceptable trade types can be found in POSTGL field descriptions .
TICK	The ticker symbol
SAC/CUS	The SACUS or CUSIP number
DATE	The transaction date
UNITS	The number of units in the transaction AMOUNT. The dollar amount of the transaction
DESCRIPTION	The description of the transaction. This field must match the original entry exactly, including the case (upper/lower). Otherwise, the entry will not be deleted.

3. After entering all the entries to be removed, type [Q and press Enter. The system deletes the general ledger entry, and logs the results in two files:

- FIXGL.Lxx, which is an audit file containing the deleted entries, and
- BADGL.Lxx, containing all of the entries that could not be deleted

The following screen shows an example transaction.

```
WHICH FUNCTION: ? RECONGLDES
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
(0)  ACCT  TYPE  TICK   SAC/CUS  DATEUNITSAMOUNT  GL DESCRIPTIO
(1)  BALLLU DIV INTC 289712 20100928 5783 173.49 INTEL CORP
(2)  BALLLU DIV F 6158473 20100904 5809 1742.70 FORD MOTER CO DEL
(3)  [Q
DELETING 1 POSITION(S) FROM ACCOUNT BALLLU
Audit Trail of Entries Which Have Been Deleted Has Been Stored to :
FIXGL.L01
Audit trail of Entries Rejected for deletion has been Stored to :
BADGL.L01
FUNCTION COMPLETED, HIT RETURN TO CONTINUE...
```

Note: A data file can also be read into RECONGLDES by using the **READFILE function. Contact your Account Consultant for more information.

8.6 Executing general ledger "sweeps"

The APL system enables users to perform cash sweeps using the SWEEPINC and SWEEPECM functions. Sweeps zero out the income or total cash balances without individual account posting. To set up a sweep, consult your Account Consultant.

SWEEPINC

The SWEEPINC function transfers income to principal or withdraws it from an account, depending on whether it is labeled it as a transfer (TFR) or deliver (DLV, DLVINC). Generally, this function is performed weekly.

1. At the APL Expert WHICH FUNCTION:? prompt, type POSTGL and press Enter. The POSTGL editor will appear

2. Type ****SWEEPINC** and press Enter. The following prompt will appear:

```
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 06/27/10 :
```

Type the beginning date for the time frame and press Enter.

Note: The preferred date format is yymmdd. For example, if the starting date is September 5, 2010 then you would type it as 20100905.

3. The following prompt will appear:

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

4. Type the ending date and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection and press Enter. The following prompt will appear:

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

6. To broaden or narrow a search, type the appropriate commands and press Enter or simply press Enter. The following prompt will appear:

```
Post Entries as a DLV, DLVINC, or a TFR Entry?
```

7. Type the appropriate trade type and press Enter
8. Type [P and press Enter to picture the transactions that are posted to the account that met the criteria
9. If everything will appear correct, type [Q and press Enter to exit and post the transactions. The following prompt will appear:

```
Do You Want to Post these entries Now ?
```

10. To not post the entries at this time, type NO and press Enter. A file is created named POSTGL.P0#, where # increases each time a user runs the report. This file can be read into the POSTGL editor screen by using the ****READFILE** function, and posted as other transactions are using POSTGL. Use the following steps:

- In the line editor, type ****READFILE** and press Enter. The following prompt will appear:

```
NAME OF FILE :
```

- Type the name of the report file (POSTGL.P0#, where # increases each time a user runs the report) and press Enter. The file is read into the editor

5. Type the account selection and press Enter. The following prompt will appear:

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

6. To broaden or narrow your search, type the appropriate commands and press Enter, or simply press Enter
7. Type [P and press Enter to view the transactions that have been created
8. Type [Q and press Enter to save the data
9. Type [Q and press Enter to exit the function. The following prompt will appear:

WOULD YOU LIKE TO POST THIS BATCH NOW ?

10. To not post the batch now, note the batch number to post it later using POSTNEW, type NO and press Enter
11. To post the batch now, type YES and press Enter. The transactions are posted to the EDPORT file for the account

8.7 Auditing general ledger data

There are several reports that enable users to audit general ledger data. They are:

Report Name	Description
BLOTTERGLAPL	Summarizes general ledger information.
BLOTTERGLDATES	Lists general information for specific time frame against selected accounts. This report can be run on a Trade Date or Post Date basis.
CASHLEDGR	Provides detail on all transactions in a portfolio. Distinguishes between principal cash and income cash.
CHECKGLOPE	Checks for any discrepancies with the OPE entry in the general ledger.
CHECKOPDT	Allows users to audit the OPEDT for selected accounts.
FIXGLDES	Enables users to enter an account selection and a date range, and search for items in the general ledger.
TRANSGLDES	Displays general ledger transactions based on selected columns.

General Ledger Trade Types

Trade Type	Description
OPE	Purchase
CLO	Sale
RCV	Receive cash or stock
DLV	Deliver cash
TFR	Transfer from income to principal
RCVINC	Income received
DLVINC	Income delivered out
INT	Interest earned
INTACC	Interest accrued
DIV	Dividend earned
FEEADV	Investment Advisory Fee
INC	Income earned
DIVRNV	Dividends re-invested
PRI	Principal receipt of cash
MEMO	Memorandum item

8.8 Summary of general ledger functions

Editing

Function Name	Description
EDGL	Edit general ledger entries.
EDITGL	Edit general ledger information for a specified time frame.

Fixing

Function Name	Description
FIXGL	Delete general ledger entries based on SACUS numbers.
FIXGLDES	Deletes general ledger entries based on SACUS and GL description.

Posting

Function Name	Description
POSTDIVS	Posts cash dividend payments to the general ledger.
POSTGL	Posts cash transactions to the general ledger.

Sweeping

Function Name	Description
**SWEEPECM	Sweep cash into money market fund.
**SWEEPINC	Sweep income to principal.

Viewing

Function Name	Description
FASTGL	View general ledger information for a specified time frame.

Chapter 9: Reconciling Portfolio Data

This section provides a basic overview of some of the reconciliation tools and reports that are available on the APL Expert system.

9.1 Basic reconciliation report

There are a number of functions in APL Expert that produce bookkeeping reports. This section describes the basic reconciliation report.

Check transactions

The first section of the report displays all records received from the custodian. If DUP is next to an item, it flags it as a duplicate of a general ledger entry that has already been posted. Entries marked DUP are not added to the automatic POSTGL process.

The next section displays all custodian transactions processed by the automatic POSTGL process, indicating how each custodian transaction was translated into an APL Expert general ledger transaction.

DIV/INT entries reconciled

This section displays the results of comparing the dividends and interest paid by the custodian to those processed in APL Expert. The number of entries reconciled is the total number of dividend and interest records on the feed.

Two results are displayed:

- DK stands for “don’t know.” This means that no dividend or interest payment in the customer file with that the amount or date matches data in EDGL. These transactions are put in a `DK' file and are available for you to post in POSTGL by using **READFILE

```

3 CHECK TRANSACTIONS:
SUMMARY OF SELECTED CODES: CSR MCM MLP
ENTRY DATE: 07/21/98
MLP 057992901 (1513222) 07/20 (GOWEBE) 4DW004013 0 954.60 BALCOR PENSION INVE
MCM (13321) 07/21 (RAMPRI) 4DW004401 0 -35.00 MAINTENANCE FEE
CSR (13321) 07/21 (FREES1) 4DW010309 0 390.00 CHECK RECEIVED
WHICH OPTION(ADD DEL GET LIST PRT CHG REP FRC) ?
ENTER FUNCTION(S):
AVAILABLE TRDTYS:
OPE CLO RCV DLV TFR INT INTACC DIV INC FEEADV FEETAX DIVRNV TAXFEE DLVINC RCVIN
C PRI MEMO
(1) INCOME CASH LEDGER
(2) SNAM/AC TRDY TICK SACUS/CUS DATE UNITS $ AMOUNT DESCRIP
(2) -----
(3) GOWEBE DIV MLP 1513222 07/20/98 0 954.60 BALCOR PENSION INVES
(4) RAMPRI DLV MCM 13321 07/21/98 0 -35.00 MAINTENANCE FEE
(5) FREES1 RCV CSR 13321 07/21/98 0 390.00 CHECK RECEIVED
*****
108 DIV/INT ENTRIES RECONCILED
SUMMARY OF SELECTED CODES: CPN DIV REC
ENTRY DATE: 07/21/98
DK CPN 207745P20 (1330821) 07/21 (BOLERJ) 15545 0 575.00 CONNECTICUT ST MSG
DK REC 123456782 (-682) 07/21 (MENSJE) DW005622 0 -480.00 F B PARTNERS
DK'S WRITTEN OUT TO FILE: CCIP36DK.PRT
*****
0 MONEY MARKET SWEEP TRANSACTION
*****
0 SPLIT ENTRIES RECONCILED
*****
2 MMF INTEREST TRANSACTIONS:
SUMMARY OF SELECTED CODES: DDIV
ENTRY DATE: 07/21/95
DDIV AD009999 00999842 (1800111) 07/21 (EDRGCM)241638411 0 3.47 SKYLINE PRIMARY MONE
DDIV AD009999 00999843 (1611428) 07/21 (SCHMTI)887690411 0 124.35 SKYLINE US GOVERNMEN
WHICH OPTION(ADD DEL GET LIST PRT CHG REP FRC) ?
AVAILABLE TRDTYS:
OPE CLO RCV DLV TFR INT INTACC DIV INC FEEADV FEETAX DIVRNV TAXFEE DLVINC RCVIN
C PRI MEMO
(1) INCOME CASH LEDGER
(2) SNAM/AC TRDY TICK SACUS/CUS DATE UNITS $ AMOUNT DESCRIP
(2) -----
(3) EDRGCM DIV DDIV 1800111 07/21/95 0 3.47 SKYLINE PRIMARY MONE
(4) SCHMTI DIV DDIV 1611428 07/21/95 0 124.35 SKYLINE US GOVERNMEN
*****
0 DIVIDEND RE-INVESTMENTS
*****
TRANSACTIONS STILL NOT HANDLED: SUMMARY OF SELECTED CODES: CIO DEL MLP ENTRY DATE: 07/21/95
MLP 100576107 (318093) 07/21 (BLICTR) 10595 0 1500.00 BOSTON CELTICS LTD P
*****
3 TRANSACTIONS FOR UNKNOWN ACCOUNTS:
SUMMARY OF SELECTED CODES: REGL ENTRY DATE: 07/21/95
REGL RMAMMF ( 0) 07/21 ( ) 0 0 7.05
REGL RMAFF ( 0) 07/21 ( ) 0 0 213.63
REGL 919276 ( 0) 07/21 ( ) 0 0 28.70
*****
    
```

- BAD indicates both APL Expert and the custodian paid an income item on that date for that CUSIP, but the amounts differ

Ignored transactions not processed. When data will appear in this section (not shown), it indicates that there are entries that are defined as IGNOR in the Chart of Accounts table. These trades were not posted to the account. Each transaction in this section should be reviewed to determine whether the Chart of Accounts table should be updated (using the EDCOA function), and whether these rejected trades should be posted manually.

Transactions still not handled. When this section will appear, it indicates the custodian's transaction code is not defined in the Chart of Accounts table, and as such were not processed. Again, each transaction in this section should be reviewed to determine whether the Chart of Accounts table should be updated (using the EDCOA function), and whether these rejected trades should be posted manually.

Transactions for unknown accounts. Entries in this section warn of transactions received from the custodian for accounts that do not exist on APL Expert. These should be reviewed to see if these accounts should exist on APL Expert.

9.2 Reconciling account portfolio data with RECONSCREEN

The RECONSCREEN function enables users to balance accounts, one- by-one, against bank statements. You make account adjustments using the following interactive screens:

- Cash Adjustment
- Trade Adjustment
- Market Value

Another display, the Account Market Value Detail screen, enables users to view detailed information on all of the holdings in the account.

In addition, the Diary Note screen enables you to record notes for documenting the changes you made to the account.

When you have finished reconciling an account using RECONSCREEN, an audit report is generated that details the changes you made. This report is named [SNAM].LRE, where SNAM is the short name of the account.

Starting RECONSCREEN

To start the RECONSCREEN function, use the following steps:

1. Select or type RECONSCREEN and press Enter. The following screen will appear:

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

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

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

2. In the BEGINNING DATE field, type the beginning date for the period you are reconciling, and press Enter. (Or, if you want to use today's date, simply press Enter.) The following screen will appear:

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

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

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

3. In the ENDING DATE field, type the ending date for the period reconciled in the field, and press Enter. (Or, to use today's date, simply press Enter.) The following screen will appear:

```
+-----+
|SELECT ACCOUNTS BY SNAM, BNUM OR ACCOUNT PROFILE FIELDS |
|-----+-----|
|FUNCTION: AND|SEARCH: |
|-----+-----|
|1362 RECORDS FOUND|
||
||
||
||
||
||
||
||
||
||
||
|-----|
|Esc-Abort F1-Help F10-Go F5-Macro F7-List SF7-Prt F8-Sort SF8-Back |
+-----+
```

- In the SEARCH: field, type the information identifying the account, and press F10 to continue. In this example, "BALLLU" is the SNAM (short name) to search for. The following screen will appear:

```

Custodian Settlement Date Cash Screen
-----
As of June 26, 2001
Snam      BWNUM      DTCNO1/DTC      NO2      SD Balance
-----
BALLLU          1188          654328123      0.00
Please Enter the Custodian's Settlement Date Cash Balance
-----
F-3 to Exit   F-10 to Continue
    
```

- In the SD Balance column, type the settlement date cash balance as it will appear on the custodian statement, and press F10 to continue. The Cash Adjustment screen will appear, as shown in the following section

Adjustment screens

The adjustment screens enable users to change account cash and portfolio data. Each of the three adjustment screens are shown below.

- Use the TAB key to move the cursor around in each of these screens. To add a missing transaction, press SHIFT+F5 to copy a line, then edit the new entry
- Press F5 to recalculate the account balance after making changes
- Press F10 to save changes. If the changes were sufficient to balance the account, exit by pressing ESC or F3; otherwise, access other editing screens by using the function keys

Cash Adjustment screen

The Cash Adjustment screen displays dividends, interest, contributions, withdrawals, and any other transaction data affecting the general ledger. It also enables users to make changes to these displayed transactions.

```

Name: BALLLU      Cash Adjustment Screen Acct : 654328123
-----
Account 1 of 1 LUCILLE BALL
As of June 26, 2010

No Date   Trans  Sacus Secrty Description Units  Net Amount
-----
1 2010103 INT      8293 NGE-01 -NEW YORK ST E      1,700  1,080.20
2 20100103 INT     144242 APL105 -ARKANSAS P &      2,260 11,441.25
3 20100110 DIV     212594 MO      -PHILIP MORRIS      250   132.50
4 20100115 DIV     7928 MOT      -MOTOROLA INC       3,412  136.48
5 20100118 DIV    4621478 DPH     -DELPHI AUTOMO     1,796  125.73
6 20100125 DIV     4998 GE -GENERAL ELEC  2,048  327.68
7 20100131 DIV    4798743 MRBAX   -MARSHALL FDS       1,000   46.54
-----
APL TD Balance      Custod SD Balance  Custod TD Balance  Difference 5,232,852.77  5,232,851.04
   5,232,851.04      1.73
Pend Trades: 0.00  Pend Cash : 0.00
-----
Esc/F-3 Exit F-2 Trade Screen SF-2 Mkt Val Screen F-5 Recalc SF-5 Copy Line F-6 Diary Notes
SF-6 Delete Line F-7 Prior Account SF-7 Print Current Data
F-8 Next Account SF-8 Undo Changes on Current Page SF-9 Edit Cust. Bal. F-10 Save
    
```

Trade Adjustment screen

The Trade Adjustment screen displays purchases, sells, receives and delivers within the date range specified when RECONSCREEN was started.

There are two versions of the Trade Adjustment Screen. The first version is the Tax Lot screen, which displays individual tax lots. Trade adjustments can only be made on the Tax Lot screen. The second version is the Position screen, which summarizes tax lots traded on the same day. No trade adjustments can be made in the Position screen.

Use Shift+F10 to toggle back and forth between the Position Source and Tax Lot screens

```

Name: BALLLU      Trade Adjustment Screen Acct : 654328123
-----
Account 1 of 1
ANY Changes made while LUCILLE BALL
in POSITION display mode As of June 26, 2010
will NOT be saved
No Side Sacus Units Secrty Tr Date Stl Date Net Amount
-----
1 OPE 5279159 200.0000 HON 20090103 20090104 9,462.50
2 RCV 313546 100.0000 HTLD 20090117 20090122 2,020.00
-----
APL TD Balance Custod SD Balance Custod TD Balance Difference
5,232,852.77 5,232,851.04 5,232,851.04 1.73
Pend Trades: 0.00 Pend Cash : 0.00
-----
Esc/F-3 Exit F-2 Cash Screen SF-2 Mkt Val Screen
F-5 Recalc SF-5 Copy Line F-6 Diary Notes
SF-6 Delete Line F-7 Prior Account SF-7 Print Current Data
F-8 Next Account SF-8 Undo Changes on Current Page SF-10 TAXLOT
F-9 More SF-9 Edit Cust. Bal. F-10 Save
    
```

Additional columns of data are also included in the screen. Pressing F9 brings these columns into view, as shown below:

```

Scam.i BALLLU Trade Adjustment Screen Acct : 654328123
----- Account 1 of 1
ANY Changes made while LUCILLE BALL
in POSITION display mode As of June 26, 2001
will NOT be saved
No SideSacus Rcv/Dlv Value Broker Commission Supervised
-----
1 OPE 5279159 0 0.00 0 0.00 YES
2 RCV 313546 20100531 2,235.20 0 0.00 NO

-----
APL TD Balance Custod SD Balance Custod TD Balance Difference
5,232,852.77 5,232,851.04 5,232,851.04 1.73
Pend Trades.i 0.00 Pend Cash : 0.00
-----
Esc/F-3 Exit F-2 Cash Screen SF-2 Mkt Val Screen
F-5 Recalc SF-5 Copy Line F-6 Diary Notes
SF-6 Delete Line F-7 Prior Account SF-7 Print Current Data
F-8 Next Account SF-8 Undo Changes on Current Page SF-10 TAXLOT
F-9 More SF-9 Edit Cust.Bal. F-10 Save
    
```

Market Value screen

The Market Value screen displays summarized account holdings grouped by asset class. The difference between custodian data and APL Expert data is displayed in dollars and percent.

```

Scam.i BALLLU Market Value Reconciliation Screen Acct : 654328123
----- Account 1 of 1 LUCILLE BALL
As of June 26, 2010

Asset Class Custodian APL $ Diff % Diff
-----
Cash And Cash Equivalents 5,232,851.04 2,618,850.26 -2,614,000.78 -49.95
Government Obligations 0.00 2,011,740.72 2,011,740.72 0.00
Mortgage Backed Securities 0.00 3,283,260.00 3,283,260.00 0.00
Corporate Bonds 0.00 843,345.82 843,345.82 0.00
Common Stocks 0.00 4,015,110.76 4,015,110.76 0.00
Income Cash.i 706,648.87 Principal Cash : 4,526,203.90
-----
Holdings Are Based on Settlement Date
-----
Esc/F-3 Exit F-2 Cash Screen SF-2 Trade Screen F-5 Recalc SF-5 Toggle Date Basis F-6 Diary
Notes
F-7 Prior Account SF-7 Print Current Data F-8 Next Account SF-8 Undo Changes on Current Page
F-9 Account Detail SF-9 Edit Cust. Bal. F-10 Save
    
```

Account Market Value Detail screen

```

Scam.i BALLLU Market Value Detail Screen Acct : 654328123
----- Account 1 of 1
LUCILLE BALL
As of June 26, 2010
Holdings Are Based on Settlement Date

Market Market % of
Units Description Price Value Value
-----
CASH AND CASH EQUIVALENTS
=====
CASH 2,592,446.19 19.8

814143103 SCFXX
SECURITY CASH FD INC COM 26,404.07 0.2
TOTAL CASH AND CASH EQUIVALENTS 2,618,850.26 20.0
GOVERNMENT OBLIGATIONS
=====
31359MEB5 FNMA38
-----
PRESS <ESC> TO EXIT <F1> FOR HELP <F3> MAIN MENU
    
```

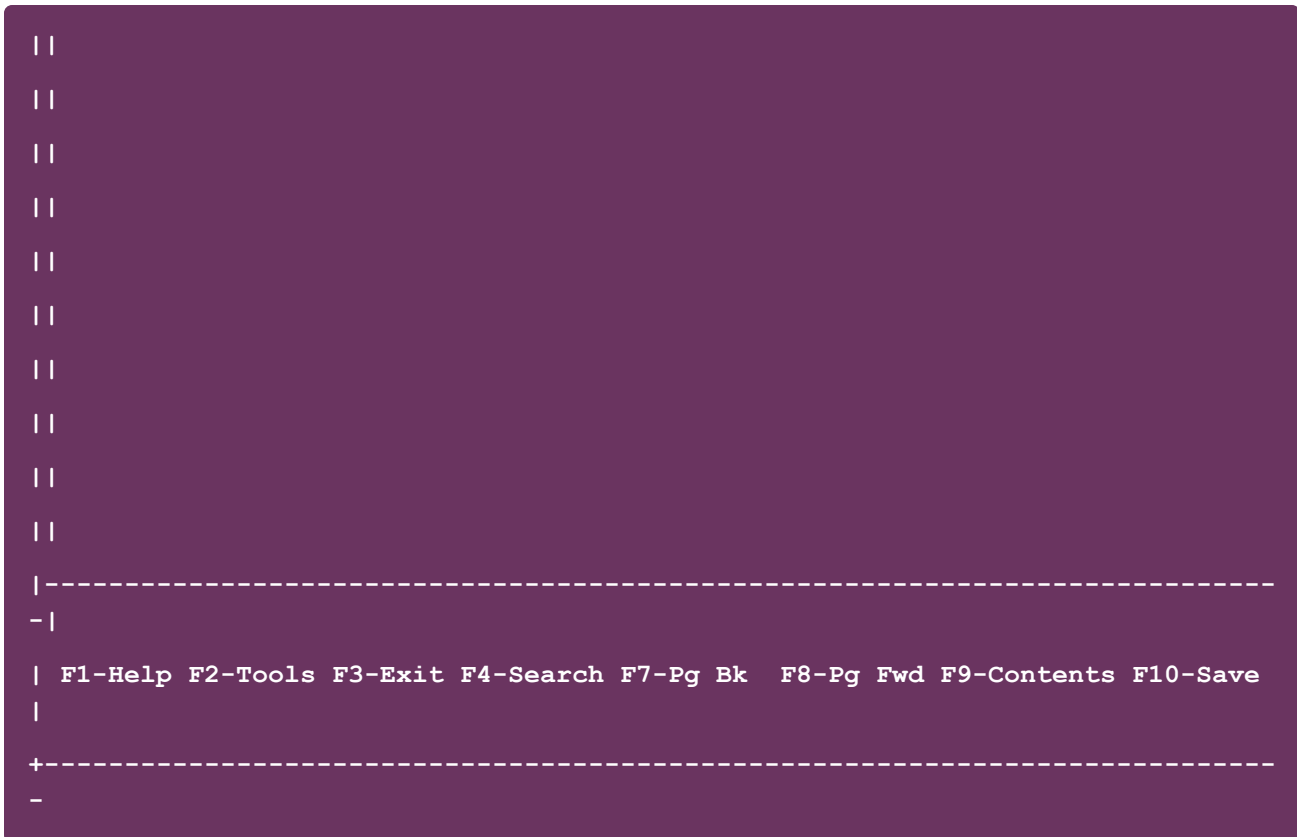
The Account Market Value Detail screen, which is accessible by pressing F9 from the Market Value screen, displays account holdings, categorized by asset class. The market price, value, and percent of the sector value are also displayed. This screen does not enable users to change the data.

View all of the data in this screen by using the UP or DOWN arrow keys.

Diary Note screen

```

+-----+
--+
|(BALLLU) LUCILLE BALLPage: 2 of 2 |
|Diary # 1096 NEW |
| Category:As of Date: 06/27/10|
| Subject:Post Date: 06/27/10 3:15 P.M. |
| Database: CLIENT2 RestrictionsPost By: Scott Ferguson|
|-----|
-|
||
||
||
||
||
    
```



Use the INFODEX application and subscribe to the APL Expert Diary Notes service, use the Diary Notes screen to post a note documenting the changes. This screen is displayed by pressing F6 from any of the adjustment screens.

- Type the notes in the central area of the display. Then, press F10 to save the notes and return to the last screen
- Select more than one account, press F8 to save notes for the current account and display the next account

9.3 Function keys used in RECONSCREEN

Note: Not all keys function identically within all screens. Look for the function key guide at the bottom of your screen for more specific information.

Key	Description
ESC	Exit without saving

Key	Description
F1	Help
F2	Cash screen, Tools, Trade screen
F3	Exit without saving, main menu
F4	Search
F5	Macro, recalculate
F6	Diary Notes screen
F7	List, page back, prior account
F8	Sort, page forward, next account
F9	Contents, more, account detail (Market Value screen)
F10	Go, save
SHIFT+F2	Market Value screen, trade screen (from Market Value screen)
SHIFT+F5	Copy line, toggle date basis
SHIFT+F6	Delete line
SHIFT+F7	Print
SHIFT+F8	Back, undo
SHIFT+F9	Edit customer balance
SHIFT+F10	Toggle between Tax Lot screen and Position screen.

Chapter 10: General Reporting

There are over 500 general reports available on the APL system. This section describes the process of running these reports, ensuring reports are using the correct values, and utilizing tools to assist in running reports.

10.1 Running reports on demand

All reports ask for two key items:

- The account selection criteria
- The date range

Depending on the nature of the report, additional information may be required.

An activity report displays all trades sorted by account.

Example: Activity Report

1. At the Which Function: ? prompt, type ACTIVITY. The following prompt will appear:

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

2. Type the beginning date and press Enter. The following prompt will appear:

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

3. Type the ending date and press Enter. The following prompt will appear:

```
1396 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT?
```

4. Type the search criteria and press Enter. The following prompt will appear:

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

5. The activity file ACTIV.LRP is created. Type BROWSE at the next prompt to open the activity report

The following is a list of available categories of reports:

- Activity
- Auditing
- Cash
- Commission
- Fixed Income
- Foreign
- Gains and Losses

- Group Reporting
- Holdings
- Income
- Industry Breakdowns
- Manager
- Miscellaneous
- Performance
- PostScript
- Pricing
- Ranking, Rating and Weighting
- Reconciliation
- Trading Restriction
- Transaction
- Turnover
- Unsupervised
- Windows

10.2 Advanced search utilities

\SELECTAC and \SELECTSEC

Account and security advanced searches enable users to select and retain an account grouping or security grouping for use in a variety of functions.

The selection utilities \SELECTAC and \SELECTSEC enable users to select the accounts or securities to use with functions and reports. Run the same series of steps repeatedly without having to type them manually.

\SELECTAC

\SELECTAC is a utility function that enables users to select accounts based on detailed search criteria. Use this utility at any prompt that requires selection of a SNAM of an account.

Also use \SELECTAC at the WHICH FUNCTION: ? prompt, to view a list of accounts, along with the account master fields you select.

Follow these steps to use \SELECTAC:

1. At any prompt asking for an account SNAM, type \SELECTAC and press Enter. The following screen will appear:

```
-----+
| Account Selection Screen |
|-----|
| Number of Accounts Found: |
| |
| BR: 0 ADM : MGR : FDTYPE :|
|-----|
| Common Range Selections: Low High |
| Moody Rating |
| S & P Rating |
| Yield 0.00% 0.00% |
| Duration0.00 0.00 |
| Percent in Cash 0.00% 100.00% |
| Percent in Fixed0.00% 100.00% |
| Percent in Equity 0.00% 100.00% |
| Target Fixed 0.00% 100.00% |
| Target Equity 0.00% 100.00% |
| |
| Additional Search Criteria (eg: AND RESID EQ NY) |
| |
|-----|
| F-3 to Exit F-6 to Refresh F-7 to Search F-10 to View or Use Accounts |
```

2. Using the TAB key, move from field to field within the screen and type the requested data

As with other screen functions, pressing F1 enables users to see the list of options for the field you are in, and pressing F9 enables you to cycle through those options. The system identifies the choice in the first few characters and press TAB.

Field	Description
RR	The numerical status code of the selected accounts. To select more than one RR code, make an entry in the Additional Search Criteria field. Leave the RR: field set at 0 if you do not want to select by RR code. <ul style="list-style-type: none"> ▪ 0-98 : active accounts ▪ 99 : closed accounts
ADM, MGR, or FDTYPE	Administrator, manger or fund type codes. Type the desired code in each corresponding field. Press F1 to see a list of the codes existing in your account master file.
Common Range Selection	The high end and low end for each item. The ranges are inclusive, therefore if you specify accounts between 0% and 50% invested in equities, the accounts you receive will have no equity holdings. Specify a range from 0.01% to 50% to receive accounts with at least some equity.
Ratings, Yield, and Duration	These fields select accounts based on market-value weighted averages. The information is updated nightly for all windows accounts, and by committed trades in the trading system. Press F1 for the list of ratings used by S &P and Moody's. These fields are available only to clients using the fixed- income module.
Percent in Cash, Percent in Fixed, and Percent in Equity	These fields reflect the actual current percentage in each asset class. The fields are updated nightly, and are affected by committed trades in the trading system.
Target Fixed and Target Equity	These fields are read from the DESFIX and DESPCT fields in the account master file.
Additional Search Criteria	This field is used to specify any selection that is not available on the screen based on any account master field. Input one or several lines of additional criteria. Each criteria must begin on a separate line. Multiple criteria should be joined with "AND" or "OR" at the beginning of each subsequent line.

3. Enter the selection criteria and press F7 find accounts. The number of accounts found will appear in the upper right corner of the screen. If the number does not seem correct, review the criteria and change if necessary
4. When selected accounts appear, press F10 to continue. The following screen will appear:

```

+-----+
| Account Selection Screen |
+-----+
|                               + 23 |
| Account Number and Account Name Will Be Displayed. |
| RR: | What Additional Fields Should be Displayed? |
+-----+
| Common Range | ADM |
| Moody Ra | AMTMTH |
| S & P Ra | AUDIT |
| Yield | BANK |
| Duration | BASEAC |
| Percent | BASEAL |
| Percent | BEGDTE |
| Target F | BRKPCT |
| Target E | BWNUM |
| Additional S | CHARAC |
| | CLODT |
| | COMBON |
+-----+
| Esc-Exit  F1-Help  F4-Search  SF5-Select ALL  SF6-Clear ALL |
| F7-Refresh Search  F8-Options  F10-Go  Return-Select/Un-Select |
+-----+
    
```

- To select additional account master fields to view for each cash account, use the arrow keys to move to the field and press Enter to select each field. Then, press F10 to process your selection. The following screen will appear:

```

Account Viewing Screen      Screen 1 of 2
-----
SNAM ACT NUMBER   ACCOUNT NAME   YIELD   DUR
-----
*WDSBND  SAMPLE ACCOUNT  2.28  0.84
*PERF1 11111156  PERFORMANCE SAMPLE 1  2.21  2.07
*PRF11A PRF11A  1.64  1.74
*PERF8 444446014  PERFORMANCE SAMPLE 8  2.36  0.00
*PRF7A PRF7A  2.18  1.99
*PERF4 10101019  PERFORMANCE SAMPLE 4  1.99  1.98
*PERF9 99999R57  PERFORMANCE SAMPLE 9  1.59  1.64
*SHIELA SD953 268  THE SHIELD INSTITUTE ASSET MANAGEMENT FD  2.03  1.00
*CALVET 71356980  TOM CALVELLI  1.55  1.15
*DAVISF DAVIS FAMILY  1.55  1.15
*PRF01 ABC111111  PERFORMANCE SAMPLE 1  2.42  2.30
*PRF03 ABC222222  PERFORMANCE SAMPLE 3  2.13  1.27

Any Character Before the SNAM Will Select the Account
<F-9> and <SHIFT F-9> To View Additional Fields
<F-3> To Exit <F-8> For Options <F-10> To Use Selection
    
```

- When the system lists the selected accounts, it always displays the SNAM and ACT NUMBER. Press F9 to view the additional fields. The following screen will appear:

```

Account Viewing Screen      Screen 2 of 2
-----
SNAM ACT NUMBER   MOODYS   S&P
-----
*HEYGEO 0893722  CA      C1
*MERMAR 21WF31  CC
*CLAIRE L22333444  C      C+
*WDSBND B1 CCC-
*PERF1 11111156  BA2  CCC
*PRF11A BAA3  B+
*PERF8 444446014  BLANK
*PRF7A BA2  CCC
*PERF4 10101019  BA3  CCC-
*PERF9 99999R57  B1  CC
*SHIELA SD953 268  BA2  CCC
*CALVET 71356980  B3  CC-
*DAVISF B3  CC-
*PRF01 ABC111111  B  CC+
*PRF03 ABC222222  BA2  CCC

Any Character Before the SNAM Will Select the Account
<F-9> and <SHIFT F-9> To View Additional Fields
<F-3> To Exit <F-8> For Options <F-10> To Use Selection
    
```

7. Press F8 for additional options for using the selected accounts. The following screen will appear:

```
+-----+
|Please Select an Option|
|-----|
|Include All Accounts|
|Exclude All Accounts|
|Include All Accounts Matching a String Pattern|
|Exclude All Accounts Matching a String Pattern|
|Sort By Field|
+-----+
```

8. Use the arrow keys to select an option

- Select Include All Accounts, an asterisk mark will appear in front of the SNAM
- Select Exclude All Accounts, the asterisk mark does not appear in front of the SNAM, and none of the accounts are selected
- Select Include All Accounts Matching a String Pattern or Exclude All Accounts Matching a String Pattern, a screen will appear, prompting the user for the string. Type the string by which the accounts should be selected or deselected
- Select Sort By Field, a screen will appear, prompting you for the fields to sort by. The fields available for sorting are SNAM, ACT NUMBER, ACCOUNT NAME, YIELD, DUR, MOODY'S and S&P

9. Press F10 to use the selected accounts. The following screen will appear:

```
+-----+
|23 Accounts Selected|
|Do You Want to Use this Selection?|
|-----|
+-----+
```

10. Using the arrow keys, select NO not to use the selection, or YES to use the selection, and press Enter

- Select NO, and return to the Account Selection screen. Select some accounts in order to exit the function and return to the prompts for the report or function
- Select YES, and return to the prompts for the report or function

This account selection can be used for as long as users are logged in or until users enter a new account selection criteria at the SEARCH FOR WHAT ? prompt, either manually or using \SELECTAC again.

\SELECTSEC

The \SELECTSEC utility function enables users to select multiple securities based on criteria that they specify. Use \SELECTSEC anywhere a SECURITY, TICK, CUSIP or SACUS is called for.

Use \SELECTSEC at the WHICH FUNCTION: ? prompt, to view a list of securities based on the specified criteria.

Follow these steps to use \SELECTSEC:

1. At the SEARCH FOR WHAT ? prompt, type \SELECTSEC and press Enter. The following screen will appear:

```
-----+
| Security Selection Screen |
|-----|
| Search Which Files.: Private SMF Number of Securities Found : |
|-----|
| Select Securities that are.: Either Owned or Unowned |
| Issue Type.: All Securities |
| Industry.: |
| Model : |
|-----|
| Common Range Selections: Low High |
| Yield 0.000% 0.000% |
| Duration 0.00 0.00 |
| Moody's Rating |
| S & P Rating |
| Coupon 0.000 0.000 |
| Maturity (Dates)0 0 |
| Maturity (Years)0 0 |
|-----|
| Additional Search Criteria (eg: AND ISSTY EQ 34 50) |
|-----|
| F-3 to Exit F-6 to Refresh F-7 to Search F-10 to View or Use Securities|
```

All selection items are set to include every security in the private databases (the SEC and HOT files) in addition to all the securities in the public databases (BW:SECSA, BW:SECOPT and BW:SECMISC). Ideally, narrow that selection by filling in the fields on the screen. Any field that is irrelevant to a search may be left unchanged.

2. Use the TAB key to move to the fields and type the requested data

As with other screens, F1 displays the options for the field, and F9 allows users to cycle through them. The system identifies a choice by typing the first few characters and pressing TAB.

Search Which Files

Pick the databases to search.

- All SMF searches all five databases: HOT, SEC, BW:SECSA, BW:SECOPT and BW:SECMISC
- Private SMF searches your SEC and HOT files only
- Public SMF searches the BW:SECSA, BW:SECOPT and BW:SECMISC files only

Select Securities

Specify owned or unowned securities.

- Either Owned or Unowned selects all securities
- Owned selects only those securities held in any of your accounts
- Unowned selects only those securities not held in any of your accounts

Issue Types

Specify the types of securities.

- All Securities selects all securities
- Fixed Income Securities selects only those securities categorized as fixed income securities according to issue type (ISSTY)
- Equity Securities selects only those securities categorized as equity securities according to issue type (ISSTY)

Industry Code

- Specify the industry classification of the securities. This finds the private industry table (EDINDNM) and enables users to select any one of those industries. Press F1 to view the table to reference the numerical code for the desired industry

Common Range Selections

- The high end and low end for each item. The ranges are inclusive, therefore if specifying a coupon rate between 5.000% and 6.000%, a search returns the 5.000% and 6.000% bonds as well as everything in between. To receive only bonds in between, you would use a range of 5.001 to 5.999

Rating, Yield and Duration

- The Yield and Duration fields are available only to clients using the new fixed-income module. These fields are read from the YTM and DURAT fields on the security master file
- The Rating ranges can be accessed by pressing F1. Type the appropriate range

Additional Search Criteria

- This field is used to specify any selection that is not available on the screen based on any security master field. Input one or several lines of additional criteria. Each criteria must begin on a separate line. Multiple criteria should be joined with "AND" or "OR" at the beginning of each subsequent line

- Enter the selection criteria and press F7. The number of securities found will appear in the upper right corner of the screen
- Press F10 to continue. The following screen will appear:

```

-----+-----
Security Selection Screen |
-----+-----
Search+-----+ 89 |
| Sacus, Cusip, Tick, and Description Will Be Displayed. | | | |
| Select | What Additional Fields Should be Displayed? | |
|-----+-----| |
| | EQUITY | | |
| | FIXED | | |
| | MBS | | |
| Common Ran | OPTION | | |
| Yield | BETA | | |
| Durati | BOOK | | |
| Moody' | CLSEP | | |
| S & P | CPNRT | | |
| Coupon | DELAY | | |
| Maturi | DELCOD | | |
| Maturi | DEPR | | |
| | DIVCUR | | |
| Additional | DIV1 | | |
| | | | |
|-----+-----+-----|
| Esc-Exit F1-Help F4-Search SF5-Select ALL SF6-Clear ALL | |
| F7-Refresh Search F8-Options F10-Go Return-Select/Un-Select | |
|-----+-----+-----|
    
```

- To select additional fields, use the arrow keys to move to the field and press Enter to select. After selecting all the fields to view, press F10 to continue. The following screen will appear:

```

Security Viewing Screen  Screen 1 of 2
-----
SACUS      CUSIP TICK      DESCRIPTION
-----
* 7540     589331107 MRK    MERCK & CO INC
* 10305    806605101 SGP    SCHERING PLOUGH CORP
* 4998     369604103 GE     GENERAL ELEC CO
* 6675     487836108 K     KELLOGG CO
* 112189   281760108 AGE    EDWARD A G INC
-----
* 2191     149123101 CAT    CATERPILLAR INC
* 5636     422893107 HMYRE  HEILIG MEYERS CO
* 197417   351860101 FN.T   FRANCO NEV MNG LTD      COM
* 1550959  001957109 T     AT & T CORP.
* 202      002824100 ABT    ABBOTT LABS
* 3430     244199105 DE     DEERE & CO.
* 5684     427866108 HSY    HERSHEY FOODS CORP
* 3908     277461109 EK     EASTMAN KODAK
* 6421     461308108 BLANK
* 10328    806857108 SLB    SCHLUMBERGER

Any Character Before the SACUS Will Select the Security
<F-9> and <SHIFT F-9> To View Additional Fields
<F-3> To Exit <F-8> For Options <F-10> To Use Selection
    
```

6. When the system lists the selected accounts, it displays the SACUS, CUSIP, and TICK. Press F9 to view the additional fields. The following screen will appear:

```

Security Viewing Screen      Screen...2 of 2
-----
SACUS      CUSIP      FILE
-----
* 7540     589331107    MANHOT
* 10305     806605101    MANHOT
* 4998     369604103    MANHOT
* 6675     487836108    MANHOT
* 112189    281760108    MANHOT
* 2191     149123101    MANHOT
* 5636     422893107    MANHOT
* 197417    351860101    MANHOT
-----
* 1550959  001957109    MANHOT
* 202      002824100    MANHOT
* 3430     244199105    MANHOT
* 5684     427866108    MANHOT
* 3908     277461109    MANHOT
* 6421     461308108    MANHOT
* 10328    806857108    MANHOT

Any Character Before the SACUS Will Select the Security
<F-9> and <SHIFT F-9> To View Additional Fields
<F-3> To Exit  <F-8> For Options  <F-10> To Use Selection
    
```

7. Press F8 for additional options. The following screen will appear:

```

+-----+
|Please Select an Option|
|-----|
|Include All Securities|
|Exclude All Securities|
|Include All Securities Matching a String Pattern|
|Exclude All Securities Matching a String Pattern|
|Sort By Field|
+-----+
    
```

8. Use the arrow keys to select an option
- Select Include All Securities, an asterisk mark will appear in front of the SACUS
 - Select Exclude All Securities, the asterisk mark does not appear in front of the SACUS, and none of the securities are selected
 - Select Include All Securities Matching a String Pattern OR Exclude All Securities Matching a String Pattern, a screen will appear, prompting users to select the string. Type the string by which the securities should be selected or deselected

- Select Sort By Field, a screen will appear, prompting users for the fields to sort by. The fields available are those that appear with this screen and any additional selected fields
9. Press F10 to use the selected accounts. The following screen will appear:

```
+-----+
|89 Securities Selected|
|Do You Want to Use this Selection?|
|-----|
|          NO          |
|          YES         |
+-----+
```

10. Using the arrow keys, select NO if do not want to use the selection, or YES if you want to use the selection and press Enter
- Select NO and return to the security selection screen. You need to select some securities in order to exit the function and return the prompts for the report or function you were running
 - Select YES, and return to the prompts for the report or function

This account selection can be used while logged in, or until a user enters a new security selection criteria at the SEARCH FOR WHAT ? prompt, either manually or by using \SELECTSEC again.

Macro utilities \LASTACTS and \LASTSEC

The macro utilities \LASTACTS and \LASTSEC enable users to use the results of an account or security selection without re-entering the criteria each time they run a function or report.

- \LASTACTS

For example, if running a report for MGR EQ TS AND OPEDT GT 12/31/96 and then run another report or function, using the same account selection, the \LASTACTS macro utility can be used. Instead of entering the account selection criteria again at the SEARCH FOR WHAT? prompt, simply type \LASTACTS. The accounts that were found during the original selection are used until the user defines new account selection criteria at the SEARCH FOR WHAT? prompt.

- \LASTSEC

The same logic applies to the \LASTSEC macro utility. If running a report for ISSTY EQ 28 OR IBM AND CKFR and then decided to run another report or function. Using the same security selection, the \LASTSEC macro utility can be used. Instead of entering the security selection criteria again at the SEARCH FOR WHAT ? or ENTER SACUS, CUSIP, TICKER OR #POOL prompts, simply type \LASTSEC. The securities that were found during the original selection is used until you define new security selection criteria at the SEARCH FOR WHAT ? or ENTER SACUS, CUSIP, TICKER OR #POOL prompts.

10.3 Creating customized reports using APL Report Writer

The APL Report Writer enables users to create report templates. Users can define the look of a report, and the data items that should appear in the report. A user can edit and save a template that describes format and contents of a report. The template is then run against accounts, securities, etc. This section covers the following topics:

- [What is a template](#)
- [Template Editor](#)
- [Accessing Template Editor](#)
- [Creating a new template](#)
- [Opening a template](#)
- [Running a template](#)
- [Saving changes to an existing template](#)
- [Deleting a template](#)
- [Exiting the Report Writer](#)

What is a template?

A template is a description of a columnar, subtotal report. It describes the selection and formatting of the data, how the report runs, and what special options are enabled for the report. The basic elements of a simple template (and therefore the elements of any report) are as follows:

- The data in the report (holdings, transactions, etc.)
- How the data is subtotaled
- How to sort the data
- What columns appear in the report
- What are the report titles

An editor is available to create and maintain templates.

Template Editor

It is an interactive system that gives a visual representation of the template, and set various options and fields through menu bar at the top of the each screen.

The interface of template editor consists of the following menus:

- [File](#)
- [Options](#)
- [Columns](#)
- [Headers](#)
- [Sub-totals](#)

Note: To move around the menu bar and their individual options, use the TAB or arrow keys to highlight a selection, and then press Enter.

File

```
File  Options  Columns  headers  Sub-totals  Help
New
Open
Run
Save
save As      Report Data : Single Account Holdings
Delete      y Search allowed : YES
eXit        Remove Detail : NO
           Download Target : EXCEL SPREADSHEET
           Sort Fields : ISSTY
           Sub-total Fields : ISSTY
           Screen one fields : TICK DES SHARES PDATE COST MV
           Screen two fields : TICK POOL CPNRT YTM MATDT FACE
           Printed report fields : TICK DES SHARES PDATE COST MV POOL CPNRT YTM MATDT
           Download fields : TICK DES SHARES PDATE COST MV POOL CPNRT YTM MATDT F

Displaying: Options Screen  Report: MVC HO  Title: MIKE'S SAMPLE HOLDINGS REPORT
```

Contains the following options:

- **New:** Creates a new template. Once New is selected, go to the **Options** menu and begin making your selections for the new report template
- **Open:** Opens an existing report template to run a report or to make changes in the template. To open an existing template, select **Open**. In the **Report Template Retrieval** dialog box, input the name of the template and press <F7> to view a list of existing report templates. A list will appear. Scroll through the list to find the desired template, select the desired template and press <Enter>
- **Run:** Execute a report based on the opened template
- **Save as:** Saves a newly created template or to make a copy of an existing template under a new file name
- **Delete:** Removes an existing template
- **eXit:** Exits Template Editor and return to the APL system

Options

```

File  Options  Columns  headers  Sub-totals  Help
-----
set Report data
dis-allow XREF option
delete Detail
select download Target
show 1st screen
show 2nd screen
show Printed report
show Download report
show Options

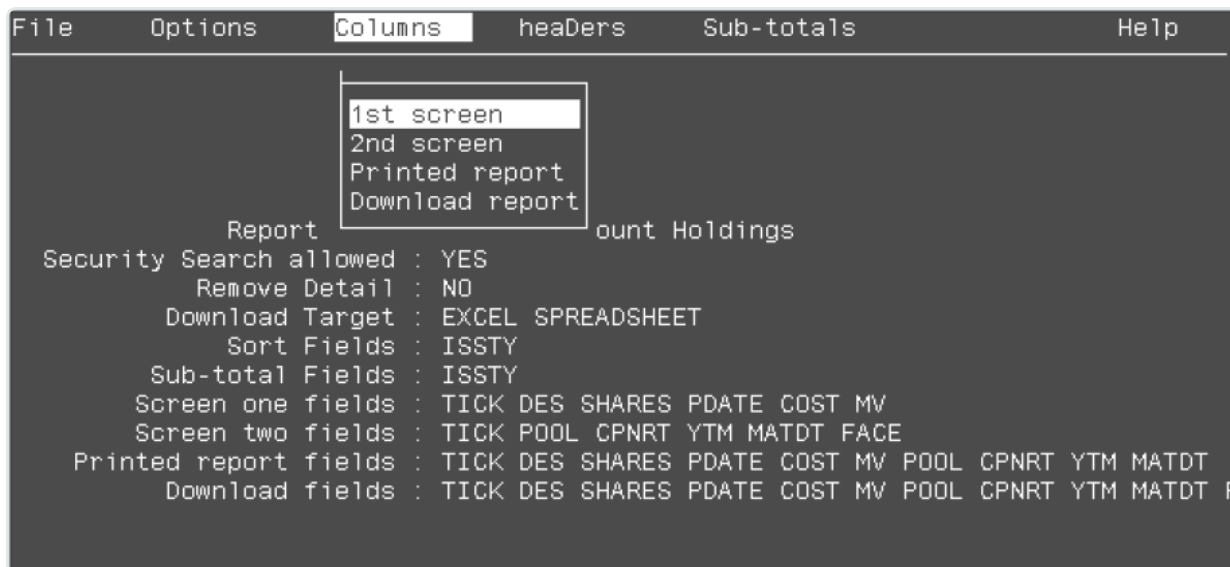
Securit
Screen one fields : TICK DES SHARES PDATE COST MV
Screen two fields : TICK POOL CPNRT YTM MATDT FACE
Printed report fields : TICK DES SHARES PDATE COST MV POOL CPNRT YTM MATDT
Download fields : TICK DES SHARES PDATE COST MV POOL CPNRT YTM MATDT P

Displaying: Options Screen Report: MVC H0 Title: MIKE'S SAMPLE HOLDINGS REPORT
  
```

Contains the following options:

- set Report data: Choose the type of report to be created:
 - Holdings: Positions currently held by account
 - Transactions: Security transactions from EDPORT by account
 - General Ledger: Cash transactions from EDGL by account
 - Securities: Security information/characteristics from EDSEC (HOT and SEC files) by individual security
 - Account Database: Account information/characteristics from EDAC by individual account
 - Broker Database: Broker information/characteristics from INFODEx by individual broker
- dis-allow XREF option: Displays an additional dialog box to select specific securities in reports that list security information. For example, if user need a transaction or a general ledger report, which shows transactions for specific securities, then allow the XREF option
- delete Detail: Deleting detail will produce a report that shows only totals
- select download Target: "EXCEL SPREADSHEET" is the only available option—if chosen, a file will be created that can be uploaded into MS Excel (.csv file) through the FTP
- show 1st screen/2nd screen/Printed report/Download report: Displays the layout of the columns and headers selected for screens, printed report, and downloaded report
- show Options: Lists the options selected for the template

Columns



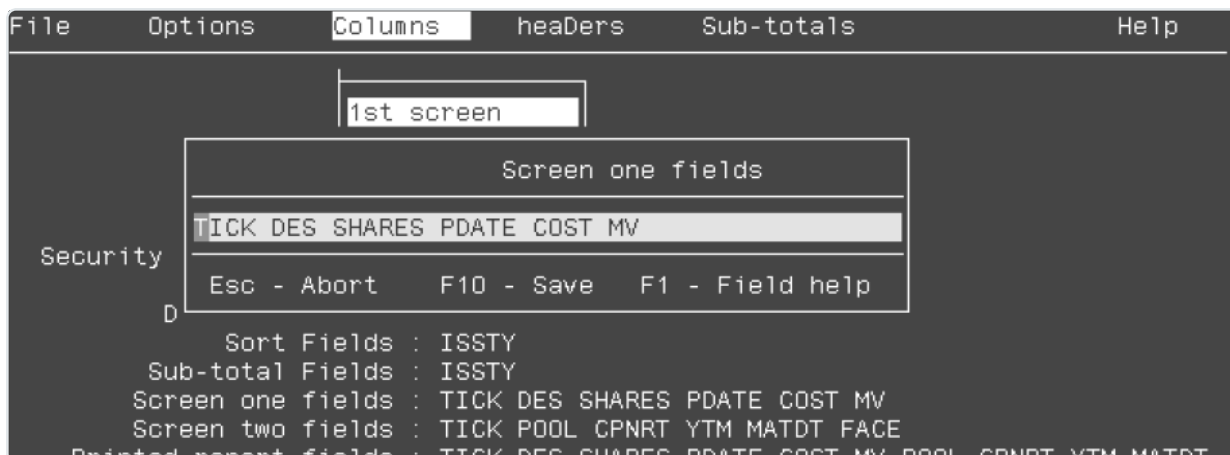
Contains the following options:

- 1st screen
- 2nd screen
- Printed report
- Download report

Lists data fields from each database. Select the required fields. Each field will represent a column in the report.

Note: The fields available on 1st and 2nd screen of the report are different.

To choose fields for 1st screen, select **1st screen**. The **Screen one fields** dialog box will appear. Input the field names for each column and press <F10> to save.



Note: If the screen is two screens wide, it is recommended that an identifying field such as SNAM or TICK be repeated in both screens to make it easier to know which account or security is being viewed when going from screen to screen.

Press <F1> to list available fields. A dialog box will appear listing the available fields. The user can directly choose the fields from this list by scrolling up or down to each desired field and pressing <Enter>. Press <F4> to search for a specific field.

SELECTED FIELDS		FIELDS TO CHOOSE FROM	
CPNRT	COUPON RATE	WCOST	TOTAL ACCOUNT COST
SIC	SIC CODE	WINCME	TOTAL ACCOUNT INCOME
MATDT	MATURITY DATE	PGAIN	ACCOUNT GAIN
DTD	DATED DATE	IDATE	INCEPTION DATE OF ACCOUNT
DTDFL	DATED DATE FLAG	BS	BUSINESS PHONE NUMBER
		HM	
		SACUS	SECURITY APL CUSIP NUMBER
		ISSTY	ISSUE TYPE
		CLSEP	CLOSING PRCE
		EXCH	EXCHANGE
		TICK	TICKER SYMBOL
		EPS	EARNINGS PER SHARE
		INDIV	INDICATED DIVIDEND
		MSTATE	FOREIGN PRICING FLAG
		POOL	POOL NUMBER
		RA69	USER DEFINED SECURITY FIELD
		YLD	YIELD
		MRATNG	MOODY RATING

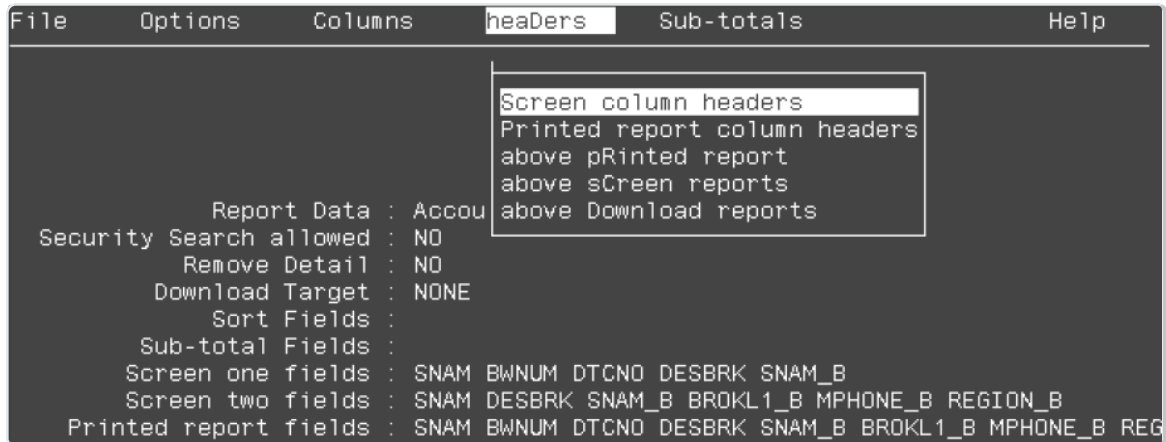
RETURN SELECTS ITEMS F4-SEARCH F5-SEARCH AGAIN F10-SAVES ,ESC-ABORTS

Headers

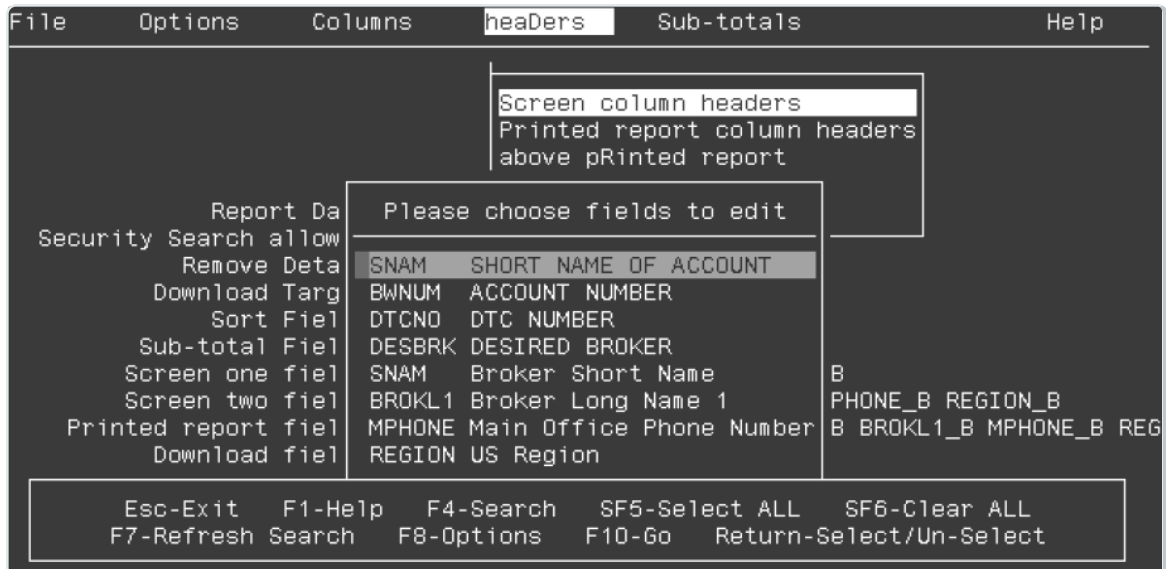
Edits the column headers and includes a title at the top of the report. This is an optional step. User can save a template without adding a header.

To edit a column header:

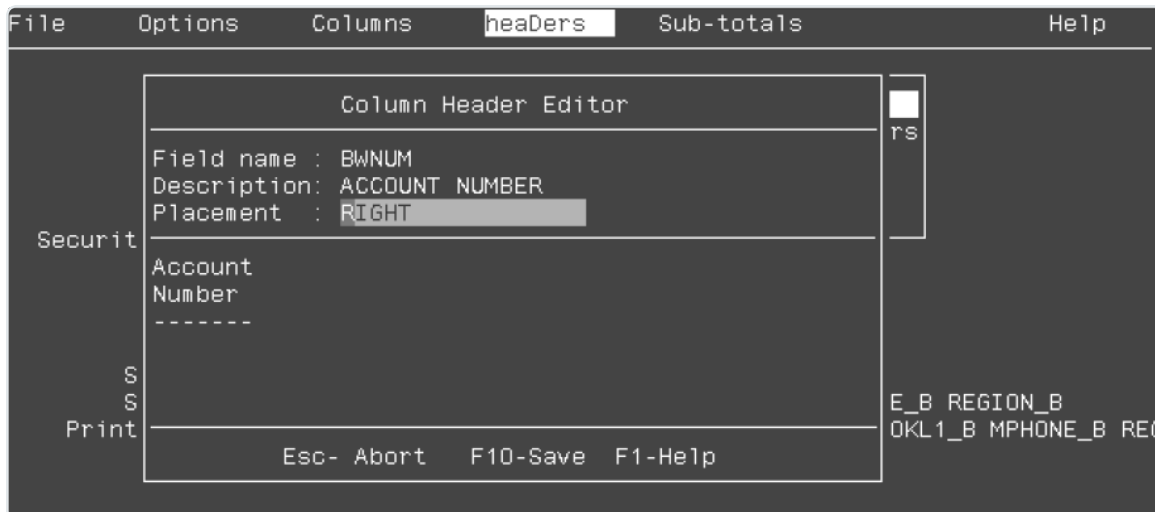
1. Choose **Screen column headers** or Printed report column headers:



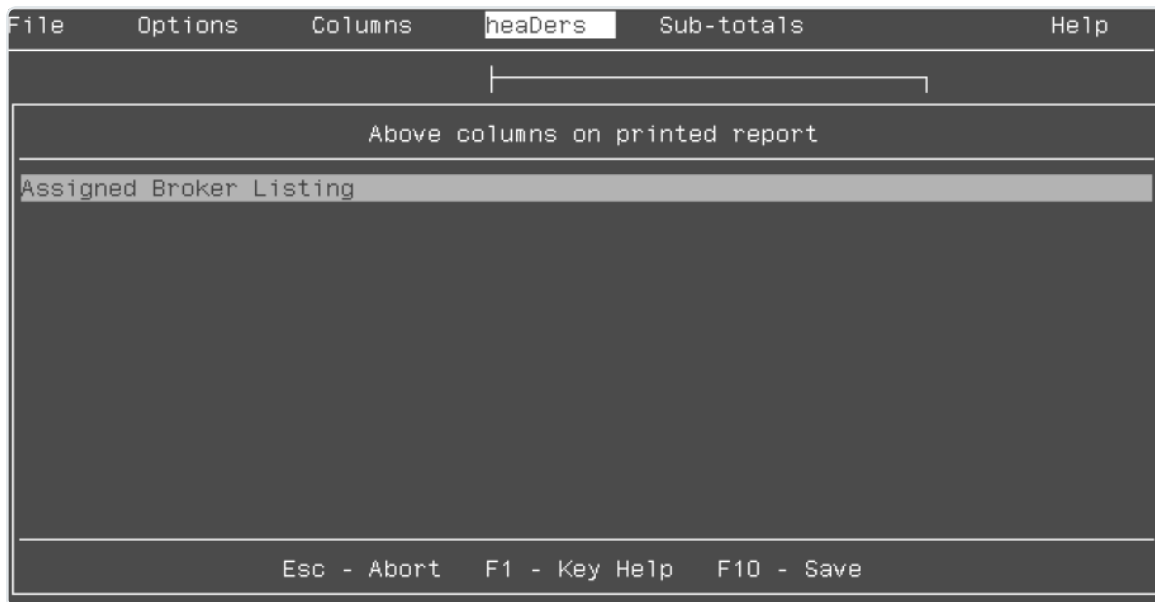
2. Choose the fields to edit. Scroll up or down to each desired field and press <Enter> to select



3. Press <F10> to continue. The **Column Header Editor** dialog box will appear



4. Choose the placement of the column header (left, right, center) and to edit the column header
5. Press <F8> to edit the next column header (if user have chosen more than one to edit); or press <F10> to save
6. Input a title that will appear above the columns on the screen of the report



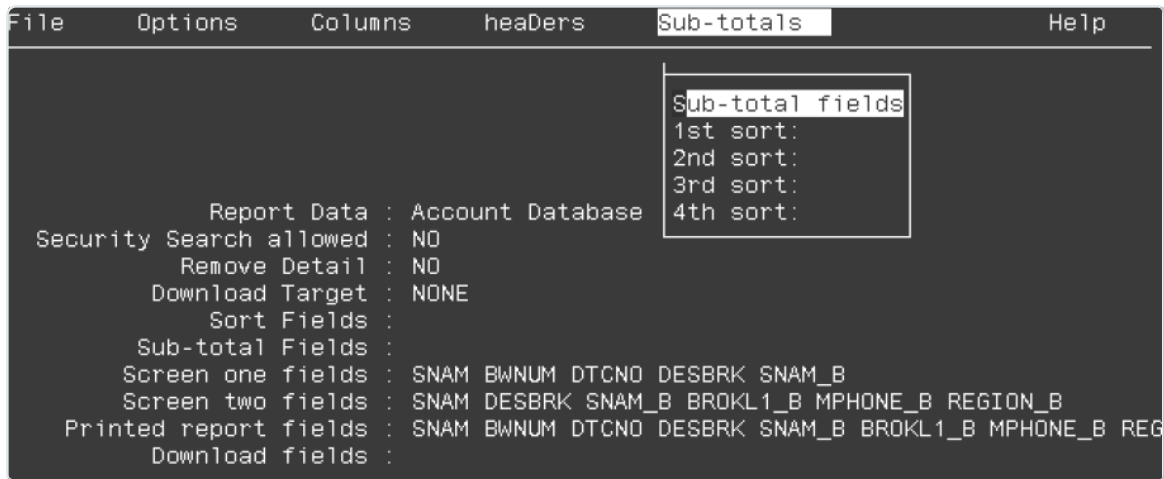
7. Press <F10> to save

Sub-totals

Displays fields by which the report will be sub-totaled and sorted. This is an optional step. User can save a template without adding a sub-total.

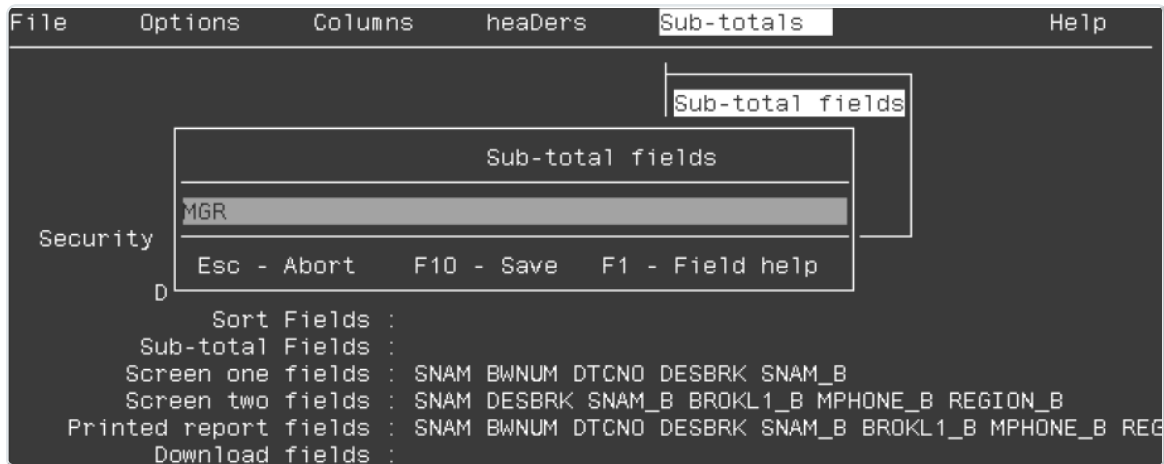
To choose a field for sub-totaling:

1. Choose Sub-total fields

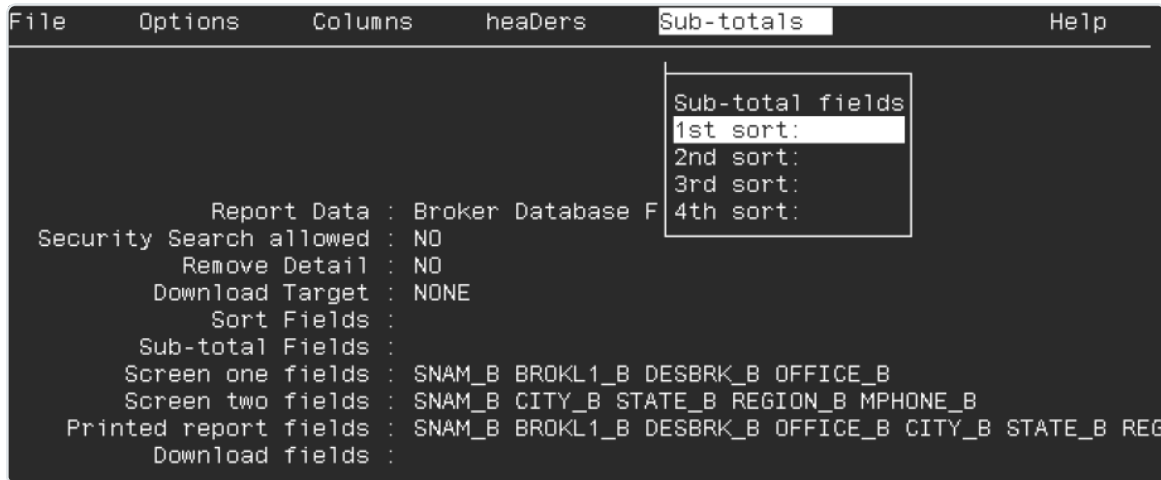


2. Input the name of the sub-total field in the **Sub-total fields** dialog box
3. Press <F10> to save

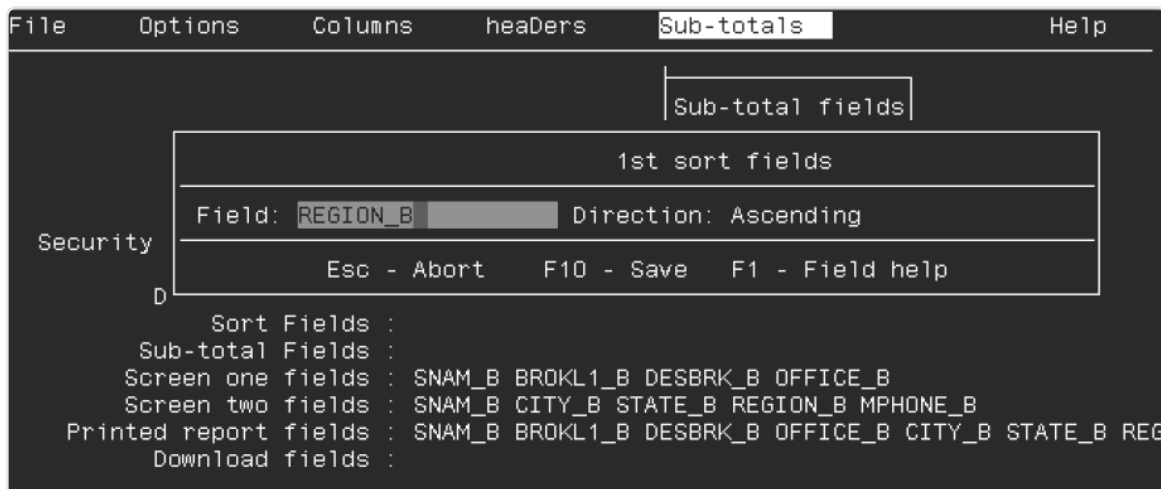
Note: Press <F1> to view list of the available fields.



4. To choose fields for sorting, choose the sorting level



5. Input the name of the sort field



Note: The user may choose up to four sorting levels. Sorting works in reverse order. This means that the 4th level sort will appear as the primary sort and the 1st level sort will appear as the lowest level sort.

6. Press <F10> to save

Accessing Template Editor

There are two ways to access the Template Editor:

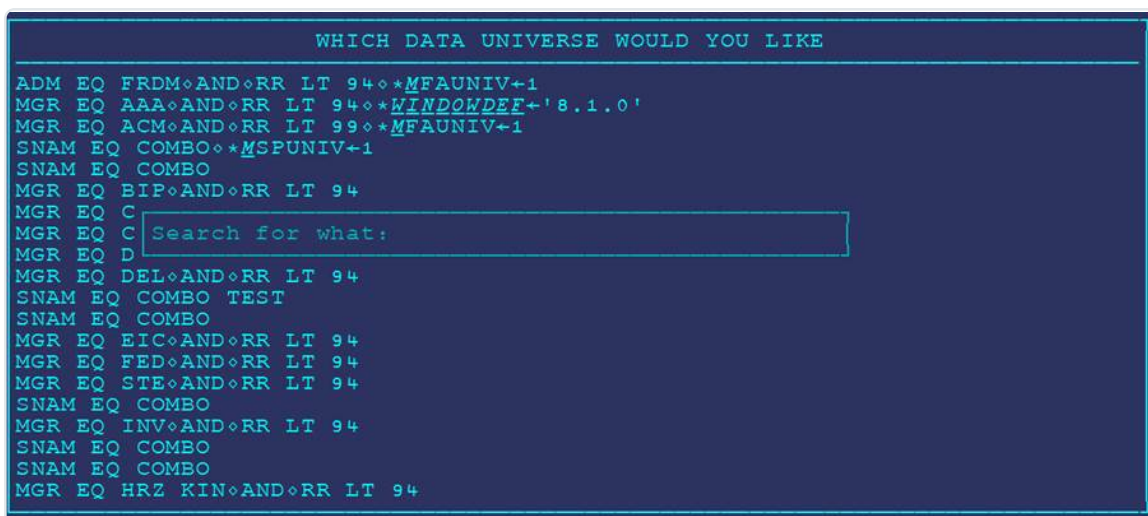
- Using REPORTER function
- Using WIND^REPORTER function

To access Template Editor, type REPORTER or WIND^REPORTER at the WHICH FUNCTION: ? prompt.

Note: A template created using REPORTER function can be run using WIND^REPORTER and a template created using WIND^REPORTER can be run using REPORTER function. When a universe is selected, only that template can be run which is created with a manager who is part of the selected Universe.

To select a Universe:

1. Type WINDON at At the Which Function: ? prompt. The "WHICH DATA UNIVERSE WOULD YOU LIKE" screen will appear.
2. Press F4. The "Search for what:" field will appear



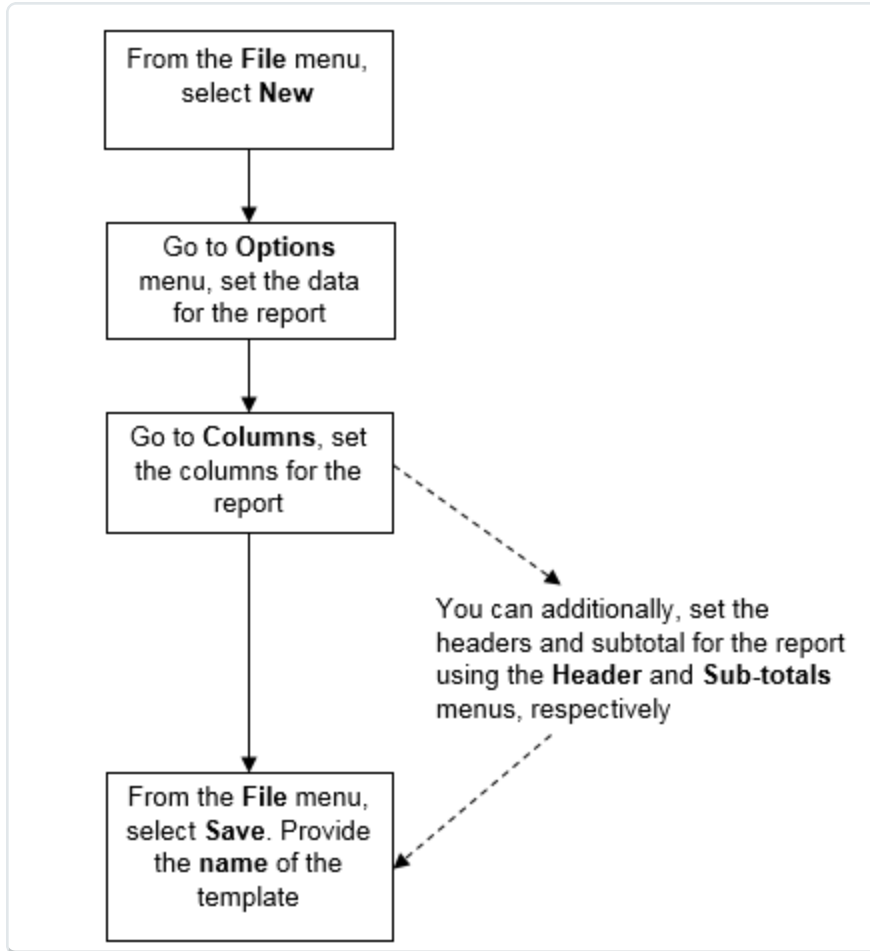
```
WHICH DATA UNIVERSE WOULD YOU LIKE
ADM EQ FRDM◊AND◊RR LT 94◊*MFAUNIV+1
MGR EQ AAA◊AND◊RR LT 94◊*WINDOWDEF+'8.1.0'
MGR EQ ACM◊AND◊RR LT 99◊*MFAUNIV+1
SNAM EQ COMBO◊*MSPUNIV+1
SNAM EQ COMBO
MGR EQ BIP◊AND◊RR LT 94
MGR EQ C
MGR EQ C Search for what:
MGR EQ D
MGR EQ DEL◊AND◊RR LT 94
SNAM EQ COMBO TEST
SNAM EQ COMBO
MGR EQ EIC◊AND◊RR LT 94
MGR EQ FED◊AND◊RR LT 94
MGR EQ STE◊AND◊RR LT 94
SNAM EQ COMBO
MGR EQ INV◊AND◊RR LT 94
SNAM EQ COMBO
SNAM EQ COMBO
MGR EQ HRZ KIN◊AND◊RR LT 94
```

3. Enter the name of the Universe and press ENTER. Select the Universe and press ENTER. The Universe is selected. Type WIND^REPORTER at the WHICH FUNCTION: ? prompt to run report on accounts of the selected Universe

Creating a new template

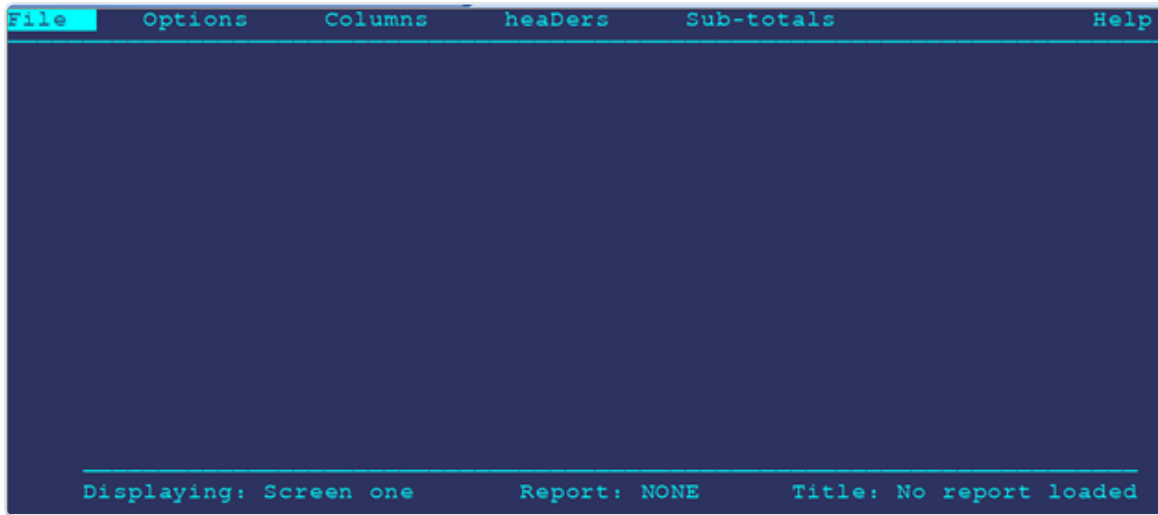
Workflow to create a template:

The following flow depicts the sequence of menus involved in creation of a new template:

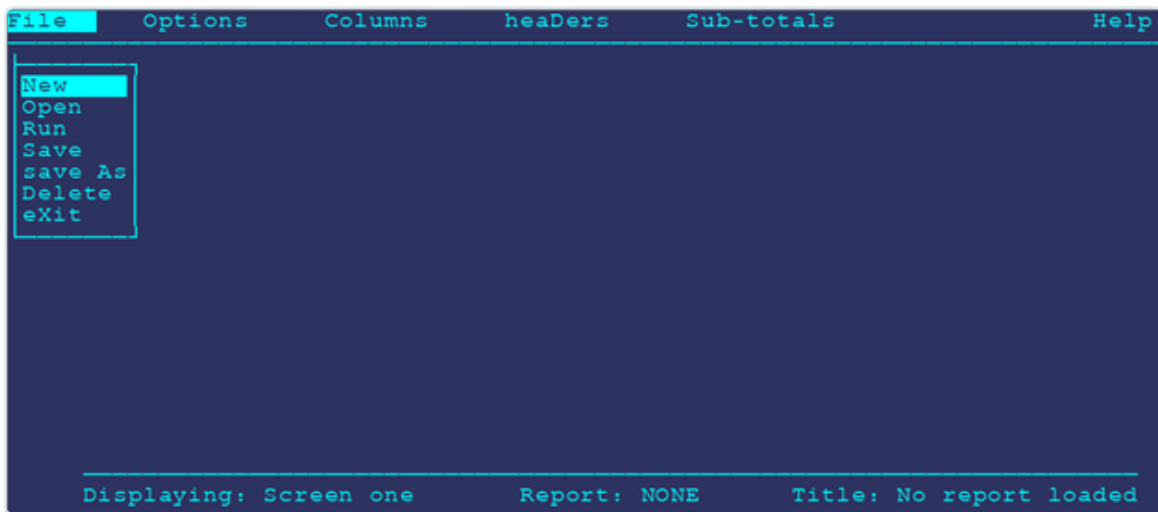


Perform the following steps to create a new template:

1. At the Which Function: ? prompt, type REPORTER or **REPORTER and press Enter. The template editor will appear:



2. From the File menu press Enter to view the template options



3. Press Enter on New. The generic default template will appear:

```
File  Options  Columns  headErs  Sub-totals  Help

      Report Data : Single Account Holdings
Security Search allowed : YES
      Remove Detail : NO
      Download Target : EXCEL SPREADSHEET
      Sort Fields :
      Sub-total Fields :
      Screen one fields :
      Screen two fields :
      Printed report fields :
      Download fields :
      Spacing : DOUBLE

-----
Displaying: Printing option  Report: GENERC  Title: GENERIC EMPTY REPORT
```

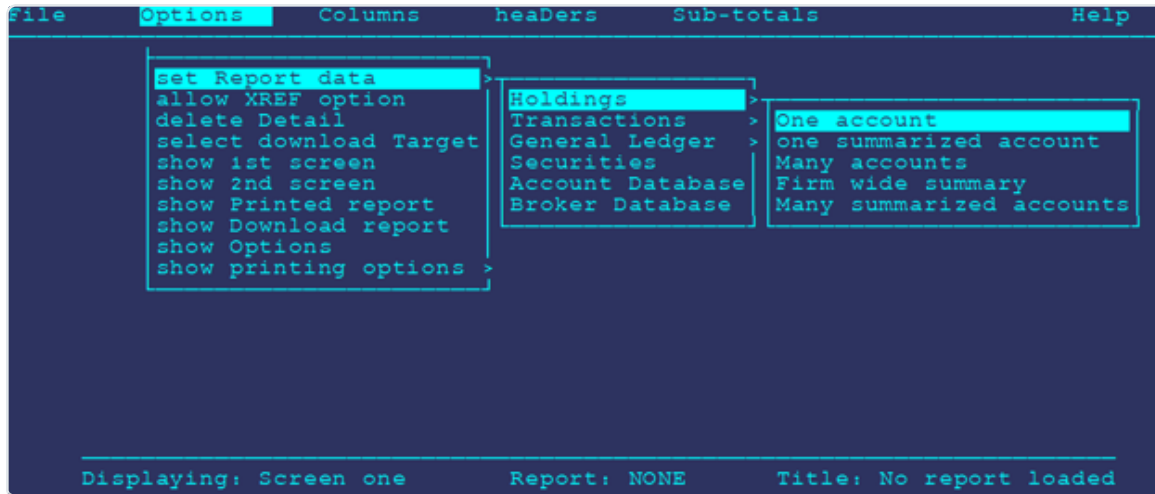
4. Select the Options menu and press ENTER to select the data. The options will appear:

```
File  Options  Columns  headErs  Sub-totals  Help

      set Report data
      allow XREF option
      delete Detail
      select download Target
      show 1st screen
      show 2nd screen
      show Printed report
      show Download report
      show Options
      show printing options

-----
Displaying: Screen one  Report: NONE  Title: No report loaded
```

- To choose the type of report, select **set Report data**, and press Enter. The six report data options appear:



6. From this list of menu items, select the type of report to create:

Holdings: This category of report summarizes securities holdings. The following options are available:

- One account displays the detailed holdings for one account
- One summarized account displays the summarized holdings for one account
- Many accounts displays the detailed holdings for many accounts
- Firm wide summary displays summarized holdings across a group of accounts
- Many summarized accounts displays summarized holdings within a group of accounts

Transactions: This category of report selects or summarizes transactions based on the specified criteria. The following options are available:

- One account displays transactions for one account
- Many accounts displays transactions for many accounts

General Ledger: This category of report summarizes general ledger entries. The following options are available:

- One account displays general ledger transactions for one account
- Many accounts displays general ledger transactions for many accounts

Securities: This category of report draws information from the HOT and SEC files within the security master database.

Account Database: This category of report draws information from the account master database.

Broker Database: This category of report draws data from the broker database in Infodex.

Note: Selecting a type of report is a mandatory step.

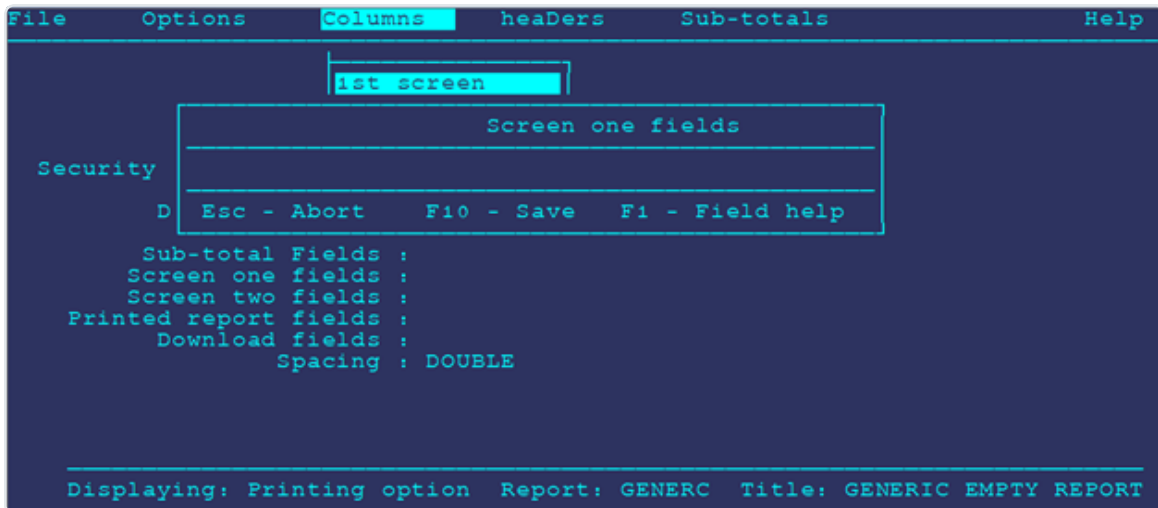
Following steps are optional as required:

- a. To run the report for multiple securities, from the **Options** menu, select **dis-allow XREF** option and press Enter. This should be set to Yes to run the report for selected securities. If the option is set to No, the report runs for all securities
- b. From the **Options** menu, select the delete Detail options and press Enter to either include or delete to show the amount of detail to appear in the report. If this is set to Yes, all detail lines will be removed, leaving only the totals
- c. From the **Options** menu, choose **select download target** and press Enter. Currently, only an MS-Excel spreadsheet is allowed. If chosen, a downloadable report will be created automatically using the download fields each time the report is run. If the user has DDE capability, it will be automatically downloaded to the PC and imported into an MS-Excel spreadsheet

7. Select the **Columns** menu and press Enter. The Columns menu options appear:



8. Select the screen or report for which column fields should be defined and press Enter. The **Screen one fields** dialog box will appear:



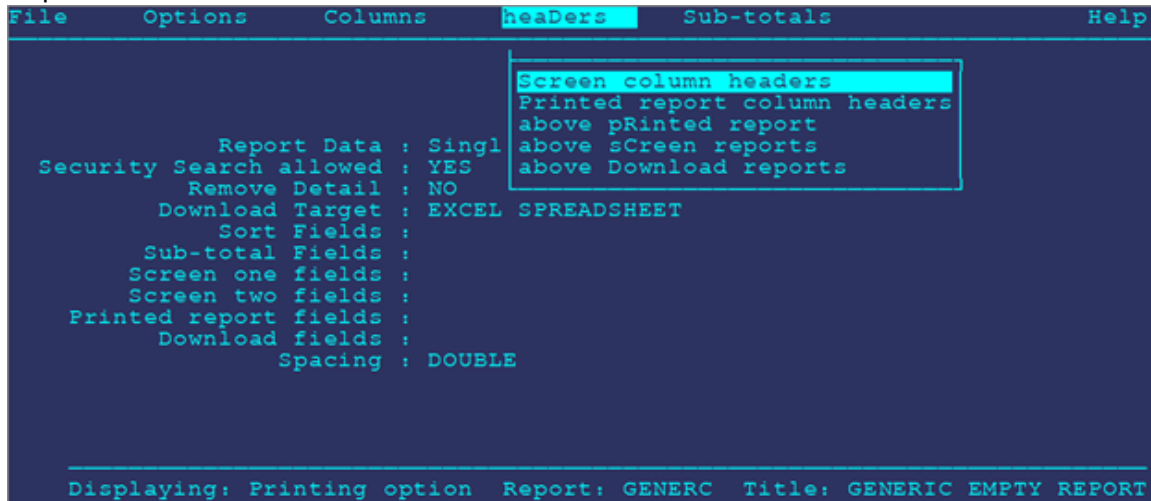
9. Press F1 to change or add fields. The Field Selection screen will appear:

SELECTED FIELDS	FIELDS TO CHOOSE FROM
	SNAM SHORT NAME OF ACCOUNT
	BWNUM ACCOUNT NUMBER
	RR REGISTERED REPRESENTATIVE
	MGR MANAGER CODE
	ADM ADMINISTRATOR CODE
	SWEEP SWEEP ACCOUNT
	MFFUND MONEY MARKET FUND
	WTIME WINDOWS UPDATE TIME
	BRKPCCT BROKER PERCENTAGE
	DESBRK DESIRED BROKER
	DISCRT DISCRETIONARY FIELD
	DISVOT DISCRETIONARY VOTING
	TXSTAT TAX STATUS
	FDTYPE FUND TYPE
	CHARAC CHARAC - USER DEFINABLE FIELD
	NDATE BEGINNING DATE
	SOURCE SOURCE OF ACCOUNT
	WCASH CASH EQUIVALENTS BALANCE

RETURN SELECTS ITEMS F4-SEARCH F5-SEARCH AGAIN F10-SAVES ,ESC-ABORTS

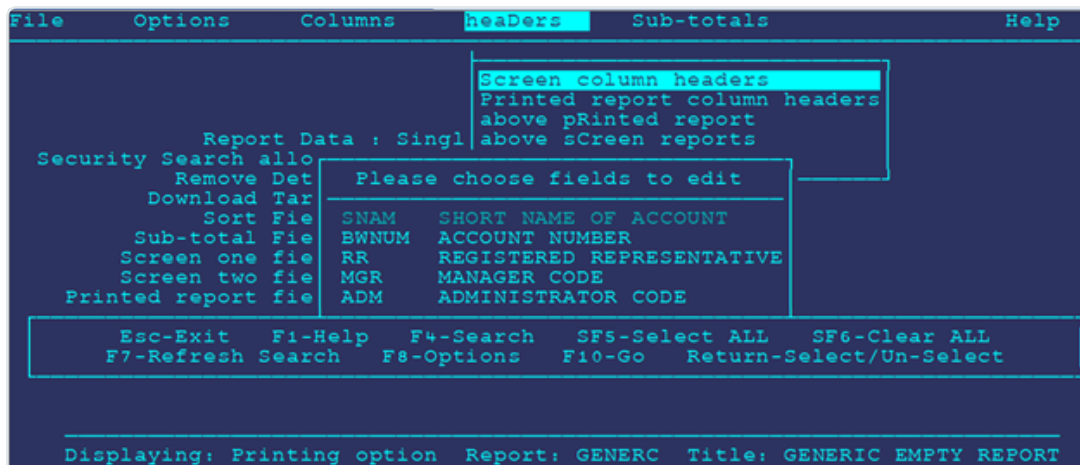
10. Use the TAB or DOWN ARROW key to highlight the fields and press Enter. The fields will then appear on the left side of the screen under the SELECTED FIELDS column
11. Press F10 to return to the first fields. The selected fields will be listed here, and can be edited
12. Press F10 at the first fields for the selection of fields to be saved

13. Select the **Headers** menu and press Enter. The Headers menu option will appear. This is an optional step



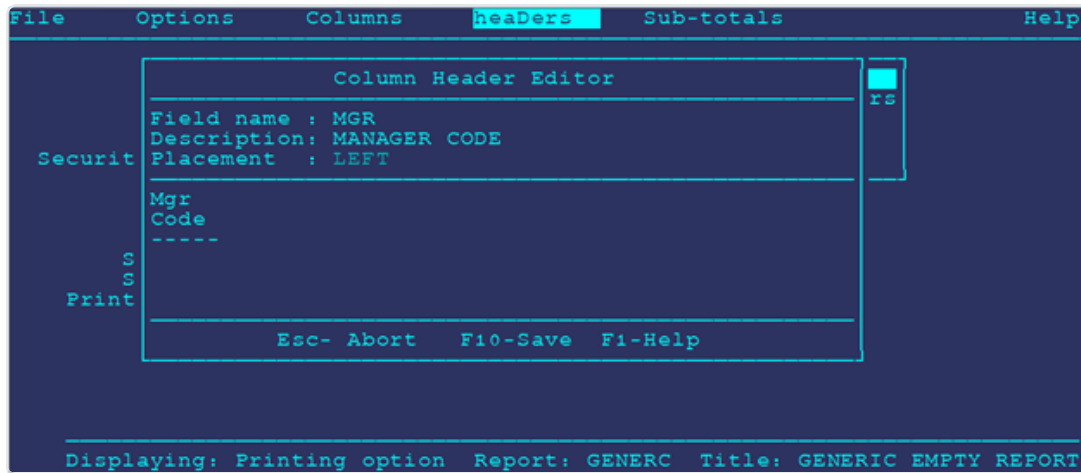
- a. From the **Headers** menu, select one of the following options and press Enter:
- Screen column headers
 - Printed report column headers
 - Above printed report
 - Above screen reports
 - Above download reports

If **Screen column headers** is selected, then the **Please choose fields to edit** dialog box will appear:



- b. Use the down arrow key to move and highlight the fields to edit. An asterisk will appear on the left of each selected field

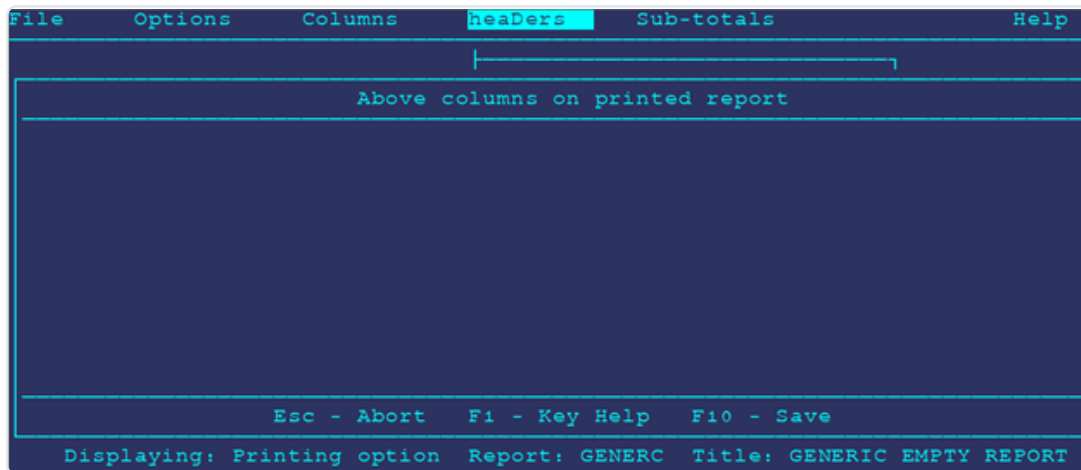
- c. Press F10 to continue to the next screen. The **Column Header Editor** screen will appear for each field selected, select the placement of the field and edit the description



- d. Use the TAB key to move to each field and type the placement order of the field. Press F1 to see the options for placement. Press F8 to move to the next field to edit
- e. Press F10 to save any changes

Note: If a field is selected that does not apply to the type of report being created, the system will display a warning, and removes the field from the field selection table.

- f. If **Above printed reports**, **Above screen reports**, or **Above download reports** is chosen the editor screen will appear:



- g. The title shown above will change depending on the selection

When editing the area above the column headings, it will become apparent that a way to refer to field names is necessary. For example, when designing the header for a single account holdings reports, the long name of the account being run should probably appear at the top of every page. Using the LNAME field from the Field Selection screen as seen below can do this:

This is a report for \$LNAME.

When the report runs, the long name of the account will be interested where the \$LNAME will appear, as defined in the placement of the column header. Any field that is valid for the report is valid for the context.

- h. Type the additional text and press F10 to save

14. Select the **Sub-totals** menu and press Enter. This is an optional step

```
File      Options  Columns  headers  Sub-totals  Help
Report Data : Single Account Ho
Security Search allowed : YES
Remove Detail : NO
Download Target : EXCEL SPREADSHEET
Sort Fields :
Sub-total Fields :
Screen one fields : SNAM BNUM RR MGR ADM
Screen two fields :
Printed report fields :
Download fields :
Spacing : DOUBLE

Sub-total fields
1st sort:
2nd sort:
3rd sort:
4th sort:

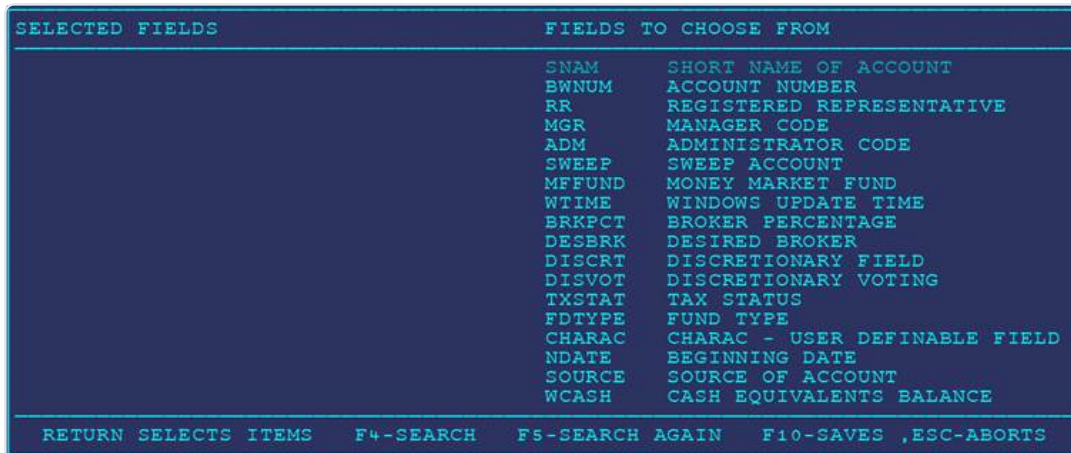
Displaying: Printing option Report: GENERC Title: GENERIC EMPTY REPORT
```

a. The Sub-total fields selection screen will appear:

```
File      Options  Columns  headers  Sub-totals  Help
Sub-total fields
Sub-total fields
Security
Esc - Abort   F10 - Save   F1 - Field help
Sub-total Fields :
Screen one fields : SNAM BNUM RR MGR ADM
Screen two fields :
Printed report fields :
Download fields :
Spacing : DOUBLE

Displaying: Printing option Report: GENERC Title: GENERIC EMPTY REPORT
```

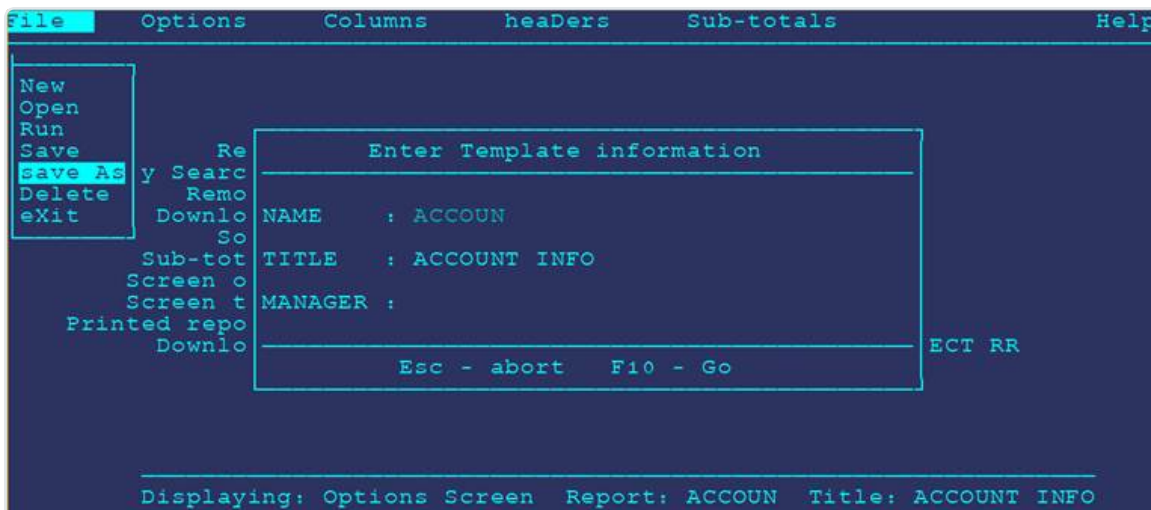
- b. Press F1 to add additional fields to include in the sub-total



- c. Select the fields to add and press F10 to save the selection and exit editor. To edit or add additional sort methods, from the Sub-totals menu, choose the sort level and press Enter
- d. Press F1 to change the selection. Select the field and press F10 to save and exit the Selection screen. This should be done for the 2nd, 3rd and 4th level sorts
- e. To view the layout of each screen of the report, in the **Options** menu, select **Show 1st screen**, **Show 2nd screen**, **Show Printed Report**, or **Show Download report**

Note: Sorting is in reverse order. Sorting works in reverse order. This means that the 4th level sort will appear as the primary sort and the 1st level sort will appear as the lowest level sort.

15. From the **File** menu, select **Save as** and press Enter. The **Enter Template information** dialog box will appear:



16. Use the TAB key to move to each field and type the Name, Title and Manager of the new template

17. Press F10 to save the template and exit

Opening a template

To open an existing template for viewing or editing:

1. From the **File** menu, click **Open**
2. Type the short name of the template and press Enter. If the name is not known, press F7 to see a list of the available templates. Use the arrow key to highlight the template to open and press Enter

The template editor will appear, with the data settings for the specified template.

Running a template

The report writer will be invoked on the currently loaded template.

1. If a template has not been selected, open an existing template or create a new template and then from the **File** menu, Click **Run**
2. Once the template begins to run, respond to the report prompts that appear

Saving changes to an existing template

To save a template:

1. From the **File** menu, click **Save** to save the currently loaded template. If no name has been chosen for the template at the time of the save, the **Save as** dialog box, will be displayed
2. The Enter Template information dialog box will appear. Use the TAB key to move to each field and type the Name, Title and Manager of the new template
3. Press F10 to save the template and exit

Important: Do not save a template using the name DEFAULT. This will impact the default template, which cannot be restored without the intervention of our programming staff.

Deleting a template

To delete a template:

1. From the **File** menu, click **Delete**. The Report Template Retrieval screen will appear
2. Type the short name of the template and press F10. If the name of the template is not known, press F7 to see a list of available templates
3. Use the arrow key to the template name and press Enter. The template will be deleted and the system will return to the Template Editor

Exiting the Report Writer

1. From the **File** menu, click **Exit** and press Enter. If there were changes made to a template that have not been saved, a message will appear prompting the user to save the changes
2. The system will return to the Which Function: ? prompt

10.4 Standard reports using PostScript

Graphical reporting packages are referred to as PostScript packages on the APL Expert system.

PostScript is a special language for computer graphics developed by Adobe Systems, Inc. If using a printer that can process the PostScript level 2 language, APL Expert can print reports containing drawings, logos, mixed font styles, pie charts, graphs and other graphics.

Note: Check the printer's manual to see if it is compatible with the PostScript level 2 language. If not, an upgrade may be available from the printer manufacturer. Consult their technical support staff for advice.

There are three standard PostScript client reporting packs:

- RUNGLOBALPACK
- RUNGLOBALPACK3
- RUNGLOBALPACK4

These are described in the following sections.

RUNGLOBALPACK

This reporting package provides a basic set of client reports showing portfolio holdings and transactions.

Reporting Package	Description
GPCOVER	<p>The cover page with a table of contents. The report runs last, is printed first. This is so the page numbering in the table of contents is generated correctly.</p> <p>Unlike the other reports in the pack, this report cannot be run separately. GPCOVER is in portrait orientation.</p>
GPTEXTPAGE	<p>An optional page of text. To add a client letter, or an economic outlook report, this is where it belongs. Upload the desired text to our system. GPTEXTPAGE takes the top line of the text and prints it in a large, bold typeface at the top of the page.</p> <p>The remainder of the text will appear in a regular-weight font. Run the report, and tell it where to look for the document. GPTEXTPAGE is in portrait orientation.</p>
GPSUMMARY	<p>A summary of the portfolio in three sections on one page current asset allocation, long-term performance returns, and cash flows for a recent time period specified by you (usually one quarter).</p> <p>GPSUMMARY can automatically pick up comparative benchmarks if you enter a line in an account's EDMEMO file reading INDEX: DJIAT SP500T (or whatever indexes you want).</p>

Reporting Package	Description
GPEVAL	The detail of holdings. GPEVAL defaults to display the securities sorted by asset class, issue type and within the common stock issue type, sorted in a two-level industry sort.
GPTRAN	A transaction report, showing purchases and sales for the chosen period.
GPSKEDOLD	The schedule of realized gains and losses for sold securities, divided between short-term and long-term.
GPGRAPH	Displays a pie chart of current asset allocation and a line graph of performance since inception.

When running RUNGLOBALPACK, make sure that performance has been posted for the period you are reporting on. RUNGLOBALPACK draws a great deal of information from the performance files.

1. At the WHICH FUNCTION: ? prompt, type RUNGLOBALPACK and press Enter. The following prompt will appear:

```
ENTER EXTENSION FOR PACK (E.G. 'LPK' or 'LPK.PS') :
```

2. Select an extension and press Enter. Since this is a PostScript pack, you must end the file name with a .PS. This tells the printer that this is a PostScript pack. LPK.PS is a good extension to use, or any other extension of the form L?? .PS. Use any two letters or numbers in place of the question marks. The following prompt will appear:

```
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

3. Type a month-end date for the beginning date and press Enter. Performance reports in the pack start from this date and transaction reports automatically start one day later. For example, if using the starting date 12/31/97, transactions dated 12/31/97 do not show up on the reports, but 1/1/98 transactions do. The following prompt will appear:

```
ENDING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

4. Type a month-end date for the ending date, or use the current price date for a month-to-date or quarter-to-date report, and press Enter. Transactions dated on the ending date are displayed on the reports. The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection, and press Enter. The following will appear:

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

6. To sort, broaden or narrow a selection, enter the appropriate database commands and press Enter, or simply press Enter to accept the current selection. The following prompt will appear:

```
RUN REPORT ERROR TRAP (RET) ?
```

7. If running the report for a time frame that ends on a date other than the current price date, type YES and press Enter. If running the report as of the current price date, type NO and press Enter because the system automatically defaults to that date
8. Type YES to the above prompt, the following prompt will appear:

```
USE WHICH PRICE :
```

9. Type the name of the pricing field to use and press Enter. For example, if running the report with an ending date of 8/31/98, use PRAUG for the price. If running it for an historical date, such as 8/14/98, use H80814 for the price. The following prompt will appear:

```
Enter commentary directory (RET for current) :
```

10. Type the directory where the commentary can be found and press Enter

Specify the location of any text to add to the pack. Press Enter, and the system looks for commentary files in your login directory (for example, /u/ibm01 if you log in as ibm01). To specify a different directory, type in the directory pathname in lower case (for example, /u/ibm) and press Enter. The directory must be entered in lower case or it cannot be found. The following will appear:

```
Enter commentary extension (RET for none) :
```

11. Type the extension and press Enter

Since there are probably several files in the commentary directory, tell the system what to look for. When originally creating and load the commentary files, start each file name with the SNAM of the account it belongs with. Then give each account file the same extension. (.txt is a common extension.) The files should be uploaded with lower case names, and should be retrieved with lower case commands.

For example: there are two accounts with SNAMs of JONES and SMITH. Create and upload commentary files named jones.txt and smith.txt. When the system asks for the commentary extension, ask for .txt. Again, the extension must be entered in lower case or it cannot be found. The following prompt will appear:

```
Enter summary benchmarks (Return for auto-load) :
```

- To use one or more benchmarks on the GPSUMMARY report, type their short names and press Enter. Auto-load benchmarks stored in EDMEMO by pressing Enter. These benchmarks must be stored in a line beginning with the tag INDEX:. The following prompt will appear:

Enter graph benchmarks (Return for auto-load) :

- Enter the benchmarks to use on the GPGRAPH report and press Enter. For this report, the auto-load feature reads from the EDMEMO entry BENCH: and it must be enabled by your Account Consultant
The report is created and stored in QUE for printing. PostScript reports cannot be printed using the PRINT command. The file is named [SNAM].LPK.PS.

RUNGLOBALPACK3 - Fixed income report pack

This reporting package provides a basic set of fixed-income reports.

Reporting Package	Description
GPCOVER	A cover page with a table of contents. When running the report, it runs last, but prints first. This is so the page numbering in the table of contents is generated correctly. Unlike the other reports in the pack, this report cannot be run separately. GPCOVER is in portrait orientation.
GPFIXSUMPS	A group of several fixed income reports. The individual reports created are: Fixed Income Portfolio Valuation and Summary. <ul style="list-style-type: none"> Fixed Income Portfolio Schedule Fixed Income Monthly Income Schedule Fixed Income Effective Maturity Summary Fixed Income Effective Maturity Schedule Fixed Income Rating Summary Fixed Income State Distribution and Income Schedule

Note: When running RUNGLOBALPACK3, make sure that performance has been posted for the reporting period, since RUNGLOBALPACK3 draws a great deal of information from the performance files.

- At the WHICH FUNCTION: ? prompt, type RUNGLOBALPACK3 and press Enter. The following prompt will appear:

ENTER EXTENSION FOR PACK (E.G. 'LPK' or 'LPK.PS') :

2. Type an extension and press Enter

Since this is a PostScript pack, end the file name with a .PS. This tells the printer that this is a PostScript pack. LPK.PS is a good extension to use, or any other extension of the form L??.PS. Use any two letters or numbers in place of the question marks. The following prompt will appear:

```
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

3. Type a month-end date for the beginning date and press Enter. Performance reports in the pack start from this date and transaction reports automatically start one day later. For example, use the starting date 12/31/97, transactions dated 12/31/97 don't show up on the reports, but 1/1/98 transactions do. The following prompt will appear:

```
ENDING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

4. Type a month-end date for the ending date, or use the current price date if you want a month-to-date or quarter-to-date report and Enter. Transactions dated on the ending date is displayed on the reports The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection and press Enter. The following prompt will appear:

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

6. To sort, broaden or narrow your selection, enter the appropriate database commands and press Enter, or simply press Enter. The following prompt will appear:

```
RUN REPORT ERROR TRAP (RET) ?
```

7. Running the report for a time frame that ends on a date other than the current price date, type YES and press Enter. Run the report as of the current price date, you can type NO and press Enter because the system automatically defaults to that date

8. Type YES to the above prompt and the following prompt will appear:

```
USE WHICH PRICE :
```

9. Type the name of the pricing field to use and press Enter. For example, if running the report with an ending date of 8/31/ 98, use PRAUG for the price. If running it for an historical date, such as 8/14/98, use H80814 for the price

The report is created and stored in QUE for printing. PostScript reports cannot be printed using the PRINT command. The file is named [SNAM].LPK.PS.

RUNGLOBALPACK4

This reporting package provides a detailed set of portfolio performance reports.

Report Package	Description
GPCOVER	<p>A cover page with a table of contents. Run the report, it runs last, but when you print it out it comes first. This is so the page numbering in the table of contents is generated correctly.</p> <p>Unlike the other reports in the pack, this report cannot be run separately. GPCOVER is in portrait orientation.</p>
GPEVALSUM4	A basic portfolio summary that includes accrued income.
GPEVAL4	A sector analysis of equities held in the account. Also includes a portfolio valuation that includes unrealized gains or losses per tax lot and the indicated annual dividend to be paid per tax lot.
GPEVALFIX4	An industry and maturity summary report that includes average weightings.
GPFIXMOODY4	Displays Moody's quality distribution ratings for all holdings.
GPFIXED4	Provides averaged summary data for all fixed income instruments, excluding cash and cash equivalents.
GPTRAN4	Details purchases for the specified time frame.
GPSKEDOLD4	Displays realized gains and losses summary for all sold positions.
GPPERF4	Performance overview from the inception of the account as well as from the previous month prior to the date the report was run. This report also includes the total realized and unrealized gains and losses amounts.

When running RUNGLOBALPACK4, make sure that performance has been posted for the period you are reporting on. RUNGLOBALPACK4 draws a great deal of information from the performance files.

1. At the WHICH FUNCTION: ? prompt, type RUNGLOBALPACK4 and press Enter. The following prompt will appear:

ENTER EXTENSION FOR PACK (E.G. 'LPK' or 'LPK.PS') :

2. Select an extension and press Enter. Since this is a PostScript pack, the file name must end with the extension .PS. This tells the printer that this is a PostScript pack. LPK.PS is a good extension to use, or any other extension of the form L??.PS. Use any two letters or numbers in place of the question marks. The following prompt will appear:

```
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

3. Type a month-end date for the beginning date and press Enter. Performance reports in the pack starts from this date and transaction reports automatically start one day later. For example, use the starting date 12/31/97, transactions dated 12/31/97 don't show up on the reports, but 1/1/98 transactions do. The following prompt will appear:

```
ENDING DATE (MM/DD/YY) - HIT ENTER FOR CURPRDATE :
```

4. Type a month-end date for the ending date, or use the current price date for a month-to-date or quarter-to-date report and press Enter. Transactions dated on the ending date is displayed on the reports. The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection and press Enter. The following prompt will appear:

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

6. To sort, broaden or narrow your selection, enter the appropriate database commands and press Enter or simply press Enter. The following prompt will appear:

```
RUN REPORT ERROR TRAP (RET) ?
```

7. If running the report for a time frame that ends on a date other than the current price date, type YES and press Enter. If running the report as of the current price date, type NO and press Enter because the system automatically defaults to that date
8. Type YES to the above prompt, and the following prompt will appear:

```
USE WHICH PRICE :
```

9. Type the name of the pricing field to use and press Enter. For example, if running the report with an ending date of 8/31/98, use PRAUG for the price. If running it for an historical date, such as 8/14/98, use H80814 for the price

The report is created and stored in QUE for printing. PostScript reports cannot be printed using the PRINT command. The file is named [SNAM].LPK.PS.

General PostScript-specific functions

There are three functions that are specific to PostScript reporting.

Function	Description
EDITCAPDESC	A table that controls the appearance of typesetting on PostScript reports.
LISTGLOBALPACK	Enables you to view a list of the individual PostScript reports that make up the public PostScripts packs.
LISTPACK	Enables you to view a list of the reports that make up your customized PostScript packs.

Each of these functions can be run by typing the name at the WHICH FUNCTION: ? prompt and pressing Enter. However, some set up is required for EDITCAPDESC. Contact your Account Consultant for more information.

Customization

Programming PostScript reports can be quite complicated, since users are essentially writing an APL program that produced a PostScript program. (The printer then runs the PostScript program.) This means that PostScript programming is usually more costly than standard programming.

However, there are a few things that can be done quite easily, such as removing a report from the pack, changing the orientation of the cover page, or changing the way the name of a firm displays. Contact your Account Consultant to get a bid for customized changes.

10.5 Viewing and printing reports using BROWSE, QUE, and PRINT

After creating a report, users may view the report on the screen prior to actually printing the report. The functions that enable users to do this are called BROWSE, QUE (holding), and PRINT.

Viewing reports using BROWSE

1. At the WHICH FUNCTION: ? prompt, type BROWSE and press Enter. The following prompt will appear:

```
HIT RETURN FOR : (last report created)
BROWSE WHICH FILE:
```

To browse this report, press Enter. If it is not the report, type in the name and extension of the report and press Enter. The report will appear on the screen.

Printing queued reports using QUE

To print reports, go into the QUE (holdings) queue. Each report has an extension so that to identify it. Rerun the same report for a client, and automatically delete and write over the previous report.

Note: Once printed, the report is deleted from the queue. To retain the report a little longer, use the PRINT function described in [Printing queued reports using QUE](#).

1. At the WHICH FUNCTION: ? prompt, type QUE and Enter. The system displays the prompt:

```
WHICH FUNCTION: ? QUE
INCLUDE PRT,HST FILES ?
```

The PRT files are from overnight batch processing.

2. To see these, type YES to include the file names or NO not to. The following information will appear:

```
WHICH FUNCTION: ? QUE
INCLUDE PRT,HST FILES ? YES
ERASE ASTERISK (*) BY REPORT NAME, PRESS ENTER AND TYPE (Q TO PRINT.

(0) NAME          EXT  DSK DEL COP PRINTER FORM  DATE    TIME
(1) -----
(2)*RECONAUDIT...HST  B  Y  1  SYSNYC  HP.14.L  06/19/01 15:11
(3)*CSRROUT LRP  A  Y  1  SYSNYC  HP.14.L  06/25/01 08:58
(4)*BATCH LST  A  Y  1  SYSNYC  HP.14.L  06/25/01 10:26
(5)
```

The NAME and EXT fields show the name and extensions of each report. The DISK field specifies your disk drive.

3. To mark a report for printing, delete the asterisk that will appear before the name of the report and press Enter
4. The DEL column defaults to Y. The system automatically deletes the report file after it has been printed
To keep the report on file, type N in the DEL field and press Enter.
5. In the COP column, type the number of copies of the report and press Enter

```
(0) NAME          EXT  DSK DEL COP PRINTER FORM  DATE    TIME
(1) -----
(2)*RECONAUDIT...HST  B  Y  1  SYSNYC  HP.14.L  08/14/01 10:39
(3)*SINAFR LJF.PS A  Y  1  PS_NYC  PS.NOSETUP 08/14/01 11:18
(3)  SINAFR      LJF.PS A  N  1  PS_NYC  PS.NOSETUP 08/14/01 11:18
(3)  SINAFR      LJF.PS A  N  1  PS_NYC  PS.NOSETUP 08/14/01 11:18
(3)  SINAFR      LJF.PS A  N  2  PS_NYC  PS.NOSETUP 08/14/01 11:18
(4)
```

6. The PRINTER column shows the name of the printer. To temporarily change where you print, type the name of the printer and press Enter
7. The FORM column shows how the font and direction in which the report is printed. The DATE column shows the date and the TIME column shows the time the report was created. The data in these columns cannot be edited
8. To quit QUE, type [Q and press Enter. The report is printed automatically to the printer specified in step 6

Using the PRINT command

1. At the WHICH FUNCTION: ? prompt, type PRINT and press Enter. The following will appear:

```
HIT RETURN FOR : (last file created) PRINT WHICH FILE:
```

2. The name of the latest file is displayed. If this is the report you want to print, press Enter. If it is not the report you want to print, type in the name and extension of the report and press Enter

10.6 Requesting reports for overnight processing using SUBMIT

Clients can request reports to be run and printed overnight by using the function named SUBMIT.

1. At the WHICH FUNCTION: ? prompt, type SUBMIT and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? SUBMIT
SUBMIT (PUBLIC)
-----
-----
Which Submit option would you like
-----
-----
1). Submit jobs to process tonight
2). Change, Cancel or View Submitted jobs
3). Authorize, Add, Edit or Delete client Submits
4). Exit
Enter your desired option (Enter number):
```

2. Type the desired option and press Enter. In this case to submit choose option 1. The function starts the line editor. (See [Line editor interface](#) for more information.)

```

Enter your desired option (Enter number): 1
1
EMPTY CTL JOB: /u/man/arne1.ct1
2345678910111213141516171819202122232425262728293031323334353637383940414243444
5
46474849505152535455
EMPTY CTL JOB: /u/man/post.ct1 5657585960616263646566676869707172737475767778 ERASE STAR TO SUBMIT
NORMALLY
RELACE STAR WITH / TO SUBMIT AFTER PRICES ONLY

(0)  JOBIDWBEG  MAXWS  DATE      ROUTE DESCRIPTION
(1)  -----  -
(61) *RAND1  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH
(62) *RAND2  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH
(63) *RENAME 1830  50000  06/29/01  ESTABROOK CAPT MGMT - MONTHLY RR37 - M
(64) *RENEX  1830  50000  06/29/01  HALLMARK CAPITAL MGMT- CLIENT - CLTHAL
(65) *SAMPLE 1830  50000  06/29/01  SAMPLE BOOK
(66) *SAVWS  1830  50000  06/29/01
(67) *SMAIL  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH
(68) *SORT  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH
(69) *SORT1  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH
(70) *SUMPR  1830  50000  06/29/01  MAN ATTN: DON EDMUNDS SUMPAR.PRT 1 C
(71) *SV  1830  50000  06/29/01
(72) *TMPDAYMA 1830  50000  06/29/01
(73) *TMP1DAYM 1830  50000  06/29/01
(74) *TRAINING 1830  50000  06/29/01  WEEKLY MGR RPTS FOR MAN01
(75) *TYK  1830  50000  06/29/01  MAN ASSET MANAGEMENT- ATTN JOHN SMITH (76) *UINDEX
1830  50000  06/29/01
(77) *WDSBOK 1830  50000  06/29/01
(78) *XREF 1830  50000  06/29/01  CLIENT
(79)
    
```

3. Move to the line that contains the report job, delete the asterisk, and press Enter

4. Type [Q and press Enter to exit the editor and continue. The following screen will appear:

```
+-----+
|
|
|Welcome to the Security APL Quality Assurance Program.|
|In an effort to assure Quality Assurance to our clients,|
|please take a moment to verify the information contained|
|in the job you are submitting.|
|
|
|-----|
|CONTINUE QA|
|BACK TO SUBMIT|
+-----+
```

5. To continue, select CONTINUE QA and press Enter. To return to the line editor, select BACK TO SUBMIT and press Enter

Select BACK TO SUBMIT, and the line editor will appear. This enables users to submit additional jobs. Select CONTINUE QA in order to continue and exit the function.

6. Select CONTINUE QA, the following screen will appear:

```
-----
TRAINING: WEEKLY MGR RPTS FOR MAN01
-----

Function: AUDIT
Date: 05/31/01
Acct Sel: RR EQ 1

Function: CASHLEDGR
Date: 05/01/01
Date: 05/31/01
Acct Sel: RR EQ 1

Function: XREFBIG
Date: 05/31/01
Acct Sel: RR EQ 1
Acct Sel: RR EQ 1

Function: SKEDOLD
Date: 01/01/01
Date: 05/31/01
----- More -->
PRESS <F5C> TO EXIT <F1> FOR HELP <F3> MAIN MENU
```

7. Press ESC to exit this screen. The following will appear:

```
+-----+
|selected control jobs, please contact your Account Consultant.|
||
||
||
||
||
||
||
|-----|
|CHANGE/CANCEL|
|CONTINUE SUBMISSION|
+-----+
```

8. To make any changes to the submitted job or add jobs to be submitted, select CHANGE/CANCEL and press Enter. If satisfied with the criteria, select CONTINUE SUBMISSION and press Enter

The job is submitted. E-mail is sent to the FIS operations staff. Users can also print a copy of the submission form which is named *LST.L#, where * is the client short name and # is the number of jobs submitted. This number increases every time you submit a job during one APL session.

10.7 Finding reports using FINDREPORT

Sometimes users will not remember the exact name of a report. There is a function named FINDREPORT that enables users to search for report names using a partial description.

1. At the WHICH FUNCTION: ? prompt, type FINDREPORT and press Enter. The following prompt will appear:

```
WHICH FUNCTION: ? FINDREPORT
FINDREPORT (PUBLIC)
/ABC for initial position hits, ABC/ for trailing hits, ABC for all
ENTER STRING(S) TO BE FOUND (NULL ENTER TO EXIT)
```

2. Type a partial description of the report name and press Enter. The following prompt will appear:

WHERE SHOULD I SEARCH?

3. Type the database that the system should search and press Enter. The choices are:

- PRIVATE for reports created for specific users only
- PUBLIC for reports created for all users
- ALL for all reports, public or private

The results of the search will appear on screen. A report is also created, named TEMPRPT.LST. This report can be browsed or printed.

Chapter 11: Macro Utilities

A macro is a batch job that combines on-line commands to accomplish a specific task. In the APL system, a macro is a recording of commands and data inputs listed in a specific order that the APL system will use to perform a function. When the macro is used, the APL system will follow the order in which the commands and data inputs are listed as though you were directly entering these commands and data on-line.

The purpose of the macro is to automate reports or functions that are run regularly and that always require the same data inputs and commands. For example, reports can be run on a consistent set of accounts without having to type the same account identifiers each time the report is run.

11.1 Creating a macro

To create a macro, place the system in record mode and then type commands and data to run a report or perform a function. Once you have completed the task, you take the system out of record mode, then name and save the macro. The macro can then be accessed in the future to run the same report or function without having to repeat the data inputs or commands. Use the following steps:

1. To begin recording a macro, type @ON at the WHICH FUNCTION:? prompt, and press Enter. The following message will appear:

```
WHICH FUNCTION: ? @ON
***** MACRO RECORDING IS ON ***** WHICH FUNCTION: ?
```

From this point on, APL Expert records every command or parameter you execute, and stores it in buffer memory.

2. To stop the macro recording, type @OFF. The following message will appear:

```
WOULD YOU LIKE TO EDIT OR SAVE THE CURRENT MACRO ?
```

- To not save the macro, answer NO and return to the WHICH FUNCTION: prompt. To edit or save, type Y. The system saves all your keyboard entries to a file to edit in the line editor. An example is shown below

```

WOULD YOU LIKE TO EDIT OR SAVE THE CURRENT MACRO ? Y MACROEDIT
(1)  CURRENT MACRO
(2)  WHOWNS
(3)  Y
(3)
(4)  RR
(5)  IBM FISV
(6)  MGR EQ MOE
(7)
(8)  _
    
```

For information on how to use the line editor, see [Line editor interface](#).

- After viewing the macro to make sure there are no errors, type [Q] to exit. The following prompt will appear:

```

YOU MUST ENTER SOME 6 LETTER NAME WOULD YOU LIKE TO SAVE THIS MACRO ?
    
```

- To save, type Y and press Enter. The following prompt will appear:

```

MACRO NAME?
    
```

Type the name of the macro (up to 6 characters) and press Enter. (This example uses the name NEWMAC.) A list of valid macros is displayed, including the macro you just saved.

```

YOU MUST ENTER SOME 6 LETTER NAME
WOULD YOU LIKE TO SAVE THIS MACRO ? Y
MACRO NAME? NEWMAC

VALID MACROS
-----
ARNREP  ARNR99  BW        BWTX    BWTXBR  BWTXHO  BWTXRR  BWTX1
BWTX99  C CASHL  CMCBLT  COPY    DAY7    EDP      FAST
FIELDS  GROWTH  HIST     HISYT   LEDGER  MACBW   MICHEL  MICHEP
MKTEST  MOE      NEWMAC  PERF1   PERF2   PERF3   PERF4   PERF5
PERF6   PERF7   PERF8   POST    REVIEW  SEC13F  SUMPAR  TB
TEST2   TOTAL   TRANPE  XRAY
EXIT    CURRENT

WHAT MACRO DO YOU WANT TO EDIT ?
    
```

6. Type EXIT and press Enter to exit

To use the macro, see [Using an existing macro](#).

Date variables

The power of the macros you create can be further enhanced by using date variables. These enable users to create macros that do not require the user to type a specific date each time it is run.

To use a date variable while recording a macro, simply type it any date place where. For example, here is an instance where APL Expert is prompting users to enter a beginning date:

```
BEGINNING DATE :
```

For example, a report or function must always be run where the beginning date is the first date of the current month. Enter a date such as 20100401 (for April 1, 2010), that specific date in April will always be used, regardless of the current month.

However, type the date variable \MNBEGDATE, the beginning of the current month will always be used in any month the macro runs.

These date variables can also be used in nightly production run control jobs, as well as in online transactions and macros.

```
To view what today's values are for the date variables, at the WHICH FUNCTION:
? prompt, type DATEVARS. A screen similar to the following will appear:
```

```
DATE VARIABLE LIST VALUES BASED ON TODAYS DATE WHICH IS 08/09/01
```

```
DATE VALUEVARIABLE
```

```
-----
```

DATE	VALUEVARIABLE
06/27/01	\BUSDAYSBACK 30
05/15/01	\BUSDAYSBACK 60
04/02/01	\BUSDAYSBACK 90
08/09/01	\CUREXDATE
08/08/01	\CURPRDATE
08/08/01	\CURPRDATEME
07/10/01	\DAYSBACK 30
06/10/01	\DAYSBACK 60
05/11/01	\DAYSBACK 90
08/01/01	\MNBEGDATE
07/01/01	\MNBEGDATEX 30

```

06/01/01 ..... \MNBEGDATEX 60
05/01/01 ..... \MNBEGDATEX 90
07/31/01 ..... \MNENDDATE
06/30/01 ..... \MNENDDATEX 30
06/30/01 ..... \MNENDDATEY 30
05/31/01 ..... \MNENDDATEY 60
04/30/01 ..... \MNENDDATEY 90
-----
--
PRESS <ESC> TO EXIT <F1> FOR HELP <F3> MAIN MENU

```

The following table shows the standard date variables available to APL Expert users:

Variable	Description
\BUSDAYSBACK #	Go back # days, as in \BUSDAYSBACK 7
\CUREXDATE	The current ex-divided date for stock dividends. It is used with the AUTOCP function for clients who post stock splits and dividends the evening prior to ex-date.
\CURPRDATE	Current price date.
\CURPRDATEME	Maintains the true business date when the month-end date is on a weekend.
\DAYSBACK #	Go back # days. This is useful for running activity reports for a week (for example, \DAYSBACK 7).
\MNBEGDATE	Beginning date for the current month.
\MNBEGDATEX #	Go back # days and determine what the beginning of the month was on that day, as in \MNBEGDATEX 7
\MNENDDATE	Current month end date.
\MNENDDATEX #	Go back # days and determine what the month end was on that day, as in \MNENDDATEX 1
\MNENDNAME	Current month end price name.
\NXTQRBEGDATE	Go to the previous quarter and determine the beginning date for the next quarter.

Variable	Description
\NXTQRTENDDATE	Go to the previous quarter and determine the ending date for the next quarter.
\PRQRBEGDATE	The beginning date of the quarter previous to the most recently completed calendar quarter.
\PRQRENDDATE	The previous quarter-end date.
\PRQRENDNAME	The previous quarter-end price.
\QRBEGDATE	The beginning date for the most recent - quarter-end.
\QRENDDATE	The most recent quarter-end date.
\QRENDNAME	The most recent quarter-end price.
\TODAY	Today's date
\YESPRDATE	The date of the business day before the previous business day, as stored in the YSTRPR field.
\YRBEGDATE	The beginning date of the current year.
\YRBEGDATEX #	Go back # years and determine what the first day of that year was, as in \YRBEGDATEX 1
\YRENDDATE	The ending date of the most recent year.
\YRENDDATEX #	Go back # years and determine what the year-end date was on that day, as in \YRENDDATEX 2

11.2 Accessing the Macro Utility system

The Macro Utility system contains all the functions that enable you to use, modify, and manage macros in APL Expert. To access the system, use the following steps:

1. At the WHICH FUNCTION:? prompt, type MACRO and press Enter. The following screen will appear:

```
WHICH FUNCTION: ? MACRO
DIRECTORY OF PROGRAMS FOR MACRO UTILITY06/29/01 12:49 P.M.
.....USE (USE CURRENT OR FILED MACRO)
.....EDIT/SAVE (EDIT CURRENT OR FILED MACRO)
.....ON MACRO (DELETES CURRENT MACRO AND TURNS MACRO RECORDING ON)
.....OFF MACRO (TURN MACRO RECORDING OFF)
.....FORMAT (RESET AND/OR CREATE THE MACRO FILE)
.....PRINT (PRINT FILED MACRO ON LOCAL PRINTER)
.....SEARCH (SEARCH FOR ITEMS IN MACROS)
.....DELETE (DELETE MACROS)
.....
.....EXIT
WHICH OPTION WOULD YOU LIKE : (FIRST THREE CHARACTERS)?
```

2. Select the option you want by typing in the first three characters of the option and press Enter

Using an existing macro

To run an existing macro at the WHICH FUNCTION:? prompt, type the “ @ ” sign, followed by the macro name. The system runs the commands as stored in the macro.

If the macro name is unknown, follow these steps:

1. At the WHICH FUNCTION:? prompt, type MACRO and press Enter. The Macro System Utility screen will appear

2. Type USE and press Enter. The available macros are listed, as shown below:

```
WHICH OPTION WOULD YOU LIKE...: (FIRST THREE CHARACTERS)? USE

MACRO USE FACILITY
-----

VALID MACROS
-----
ARNREP  ARNR99  BW          BWTX  BWTXBR  BWTXHO  BWTXRR  BWTX1
BWTX99  C CASHL  CMCBLT  COPY  DAY7    EDP      FAST
FIELDS  GROWTH  HIST     HISYT  LEDGER  MACBW    MICHEL  MICHEP
MKTEST  MOE      PERF1    PERF2  PERF3   PERF4    PERF5   PERF6
PERF7   PERF8   POST     REVIEW SEC13F  SUMPAR   TB      TEST2
TOTAL   TRANPE  XRAY
SAVE    ON      CLEAR    OFF    EXIT    CUR      CURRENT

USE WHAT MACRO (CUR FOR CURRENT IF ALLOWED, TYPE EXIT TO EXIT)?
```

3. To use one of the listed macros, type its name and press Enter. Otherwise, type EXIT and press enter to exit this screen

Editing a macro

To edit commands in a macro without having to retype the entire sequence of commands, follow these instructions:

1. At the WHICH OPTION WOULD YOU LIKE : prompt, type EDIT and press Enter. A list of available macros and the following prompt will appear:

```
WHAT MACRO DO YOU WANT TO EDIT?
```

2. Type the name of the macro to edit and press Enter. The text of the macro will appear on the screen
3. Edit the macro by using the arrow keys to move to the lines to change and type over the existing data. Press Enter when you are done

Pausing for user input

Note: To pause the macro for user input, edit out the answers to system prompts. Replace the answers in the macro with ??. Whenever the system encounters the ?? in a macro, it pauses and prompts the user for the information.

4. When finished editing the macro, type [Q and press Enter to exit. The following prompt will appear:

```
WOULD YOU LIKE TO SAVE THIS MACRO?
```

5. Type YES and press Enter. The following prompt will appear:

```
NEW MACRO NAME (HIT RETURN FOR THE SAME NAME) ?
```

- To save the changes to the macro, press Enter
- To save the macro under a different filename and leave the original macro unchanged, type the filename, and press Enter
- To preserve the changes under the original name, press Enter

FORMAT option

Important: The FORMAT option on the MACRO menu completely erases and resets the macro file. DO NOT use this option unless completely certain.

Printing a macro

1. To print out the commands in a macro, type PRINT at the WHICH OPTION WOULD YOU LIKE : prompt and press Enter. A list of valid macros will appear
2. Type the name of the macro to print and press Enter. The print file MACRO.LST is sent to a designated printer. View the file with the BROWSE function, or print it using PRINT or HO. See [Viewing and printing reports using BROWSE, QUE, and PRINT](#)

Searching for a macro

1. At the WHICH OPTION WOULD YOU LIKE : prompt, type SEARCH and press Enter. The following prompt will appear:

```
ENTER SEARCH STRING
```

2. Enter the string to search for and press Enter. The search results appear on the screen. A print file is also created named MACRO.LST

The following prompt will appear:

```
ENTER SEARCH STRING
```

3. To search for another string, repeat step 2. To skip searching for another string, press Enter to return to the MACRO menu

Deleting a macro

1. At the WHICH OPTION WOULD YOU LIKE : prompt, type DELETE and press Enter. The following prompt will appear:

WHICH MACROS DO YOU WANT TO DELETE?

2. Type the name of the macro and press Enter. To delete a macro, type EXIT to return to the MACRO menu. The following prompt will appear:

ARE YOU SURE YOU WANT TO DELETE THIS MACRO?

3. Type YES and press Enter. The macro is deleted from the system. If unsure, type NO and press Enter. The macro is not deleted, the WHICH MACROS DO YOU WANT TO DELETE? Prompt will appear

Appendix A: Data Dictionary

The APL Data Dictionary provides information on the Account Master and Security Master data fields. Within each category, fields are described based on type, size and use.

A.1 Account Master fields

The Account Master fields are used for identifying accounts; and help determine how accounts should be updated, grouped, traded and reported.

In addition to the fields described on the pages to follow, Account Master fields can be set up per the request of the user. Contact our client services team for the additional information.

Fields conform to the following data types:

CHAR	Alphanumeric field. The first character must begin with an alpha character
NUM	Numeric field. Alpha characters are not valid.
DATE	Date field

The following table lists the fields that are viewable or editable in the Account Master database.

Field	Type	Size	Description/Value
ADM	CHAR	6	Account administrator. It is suggested that you use the administrator's initials
AMTMTH			Controls the amortization method to be used for the specific tax lot: YLD = Yield/scientific method SL = Straight Line method NONE = No amortization
AUDIT	CHAR	6	Date of last audit
BANK	CHAR	6	Short name of bank or custodian (referenced in the address file). Fill this in, make sure there is a bank name and address in the address file. This field is used for the family of TRANLET reports.
BASEAC	NUM	9	Base account (used in COMBONYC). Also used to block dividends and splits processing on the combo account.

Field	Type	Size	Description/Value
BEGDTE	DATE	8	Beginning date (MM/DD/YY). This date must coincide with the quarter on which the client is billed.
BRKPCT	NUM	9	Broker percent. Automated commissions can be coded in this field.
BWNUM	NUM	9	Account number. The maximum number of characters is nine.
CHARC	CHAR	7	User-defined free field
CLODT	DATE	8	Date account was closed
COMBON	CHAR	6	Group account identifier for combined account billing
CUSTOD	NUM	9	Indicates the number of copies for printing. The maximum quantity is ten.
CUST1	CHAR	6	User-defined free field
CUST2	CHAR	6	User-defined free field
CUST3	CHAR	6	User-defined free field
CUST4	CHAR	6	User-defined free field. Can also be used to code minimum commissions.
CUST5	CHAR	6	User-defined free field
CUST6	CHAR	6	User-defined free field
CUST7	CHAR	6	User-defined free field
DESBRK	CHAR	6	Designated broker
DESFIX	NUM	9	Designated fixed income target
DESPCT	NUM	9	Designated equity target.
DISCRT	CHAR	6	User defined free field.
			Discretion/voting field for SEC 13F filings.
DISVOT	CHAR	6	<ul style="list-style-type: none"> • Y = sole • S = shared • N = none

Field	Type	Size	Description/Value
			For example. YN means sole discretion, no voting authority.
DTCBRK	CHAR	6	DTC broker firm identification number
DTCNO	CHAR	12	12 digit DTC account number at the custodian bank
DTCNO1	CHAR	6	The first six numbers of the DTC account number
DTCNO2	CHAR	6	The last six numbers of the DTC account number
DTD	NUM	9	One-day performance
FAMILY	NUM	9	User defined free field. This can be used to count family relationships
FDTYPE	CHAR	6	Type of funds / investment strategy: <ul style="list-style-type: none"> • BALANC = balanced • EQUITY = equity • FIXED = fixed income
FEEAGR	CHAR	6	Fee agreement billing for billing
			Reports
FISCAL	NUM	4	Ending date for account's fiscal year
FIXED	NUM	9	Field that will lock in a price or that will allows users to code a fixed dollar amount for billing
FOFO	NUM	1	Method for selling assets: <ul style="list-style-type: none"> • 1 = LIFO (last in - first out) • 2 = FIFO (first in - first out) • 3 = MINTAX (minimum tax) • 4 = HIGH COST (highest cost) • 5 = AVGCOST (average cost)
			Note: MINTAX is the default method.
FREQCY	NUM	9	Frequency of reporting
GAIN	NUM	9	Account gain

Field	Type	Size	Description/Value
INVGRP	CHAR	6	Investment group
MARG			Margin account linking
MGR	CHAR	7	Manager code (initials of the manager)
MINMUM	NUM	13	Minimum dollar amount of bill per billing period
MMFUND	CHAR	6	Money market fund linked to the account
NAMES	NUM	9	Number of securities in a portfolio
NDATE	DATE	8	Date the account was added to the APL system. This field cannot be changed.
OBJECT	CHAR	6	Objective of the account (growth or income)
OLDAC	NUM	9	Alternate account number field
OPEDT	DATE	8	Beginning date from which performance tracking begins
QRTFEE			Fee for accounts billed on a quarterly basis
RECEPT	CHAR	6	SNAM of the person who pays account fees
REPFQY	CHAR	1	Report frequency: <ul style="list-style-type: none"> • Q = Quarterly • M = Monthly
RESID	CHAR	2	Residence identification (two-letter state code)
RR	NUM	5	Registered Representative number. <ul style="list-style-type: none"> • 0 - 98 = Active accounts • 94 = New account not authorized to trade • 99 = Closed accounts • 100 = Benchmarks • 101 or higher = Combined accounts
SNAM	CHAR	6	Short name for an account. It is usually composed of the first four letters of the last name and first two letters of the first name of the holder of the account.

Field	Type	Size	Description/Value
SOCIND	CHAR	6	User-defined free field
SOCSEC	NUM	13	Social Security number for the owner of the account
SOURCE	CHAR	7	Source of funds. This field is used in ADV reports.
STKUNV	CHAR	6	Stock universe or model portfolio reference
SWEEP	CHAR	7	Indicator for income sweep out of an account (DLVINC) or for income transferred to principal (TFRINC)
TXSTAT	CHAR	7	Tax status of an account: <ul style="list-style-type: none"> • 0 = Taxable • 1 = Non-taxable
TYPCMB			Type of combined account
VALUE	NUM	9	Portfolio value as of the last posting date from the performance file (from EVALPMSECT). This is used in ADV reports. Updated nightly.
VEHICL	CHAR	6	Investment vehicle, often used to indicate ESOP. Updated nightly.
WCASH	NUM	9	Cash value of an account as prior day's trades. Includes actual cash and securities with ISSTY = 1; also SACUS 13321. This field cannot be edited. Updated nightly.
WCOST	NUM	9	Total cost of an account as of prior day's trades (original cost, not amortized cost). This field cannot be edited. Updated nightly.
WEQUTY	NUM	9	Equity value of an account as of prior day's trades and prices. This field cannot be edited. Updated nightly.
WFIXED	NUM	9	Fixed Income value of an account as of prior day's trades and prices, not including accrued interest. This field cannot be edited. Updated nightly.
WINCME	NUM	9	Total account income. This field cannot be edited. Updated nightly.
WTIME	NUM	6	Windows update time. This field cannot be edited. Updated nightly.
WTOTAL	NUM	9	Total value of an account as of prior day's trades and prices, not including accrued interest. This field cannot be edited. Updated nightly.

Field	Type	Size	Description/Value
W13321	NUM	9	Cash value of an account as of prior day's processing. This is also the actual cash represented by security SACUS = 13321. This field cannot be edited. Updated nightly.
XRSTAT	CHAR	6	Native currency of account. This field uses the foreign currency codes listed in Appendix E. This field cannot be edited.

A.2 Security Master fields

The Security Master fields are used for identifying securities and help determine how securities should be updated, grouped, traded and reported. In addition to the fields described on the pages to follow, Master fields can be set up per the request of the user. Contact our client services team for the additional information.

The “key” for the TYPE field is:

CHAR	Alphanumeric field. The first character must begin with an alpha character
NUM	Numeric field. Alpha characters are not valid.
DATE	Date field
PRICE	Price field

The following table lists the fields in the Security Master database.

Field	Type	Size	Description/Value
ADATE	DATE	8	Date a security was added to the securities database. This field cannot be edited.
CLSEP	PRICE	8	Closing price of the security or most recent price
CPNRT	NUM	8	Coupon rate of bonds and money funds, the rate of interest charged against outstanding principal, applied periodically
CUSIP	CHAR	9	Nine-digit CUSIP
CUSIP1	CHAR	6	First six numbers or characters of the CUSIP
CUSIP2	CHAR	3	Last three numbers or characters of the CUSIP

Field	Type	Size	Description/Value
DELAY	NUM	9	Stated or actual delay in days. Used in determining the period from trade or pay to settlement of MBS and CMO securities.
DES01	CHAR	4	First set of four characters of the security description
DES02	CHAR	4	Second set of four characters of the security description
DES03	CHAR	4	Third set of four characters of the security description
DES04	CHAR	4	Fourth set of four characters of the security description
DES05	CHAR	4	Fifth set of four characters of the security description
DES06	CHAR	4	Sixth set of four characters of the security description
DES07	CHAR	4	Seventh set of four characters of the security description
DES08	CHAR	4	Eighth set of four characters of the security description
DES09	CHAR	4	Ninth set of four characters of the security description
DES10	CHAR	4	Tenth set of four characters of the security description
DES11	CHAR	4	Eleventh set of four characters of the security description
DIV1	NUM	6	Stock dividend rate. This value is positive for cash dividends and negative for stock splits and stock dividends.
DIV2	NUM	6	Stock dividend rate. This value is positive for cash dividends and negative for stock splits and stock dividends.
DIV3	NUM	6	Stock dividend rate. This value is positive for cash dividends and negative for stock splits and stock dividends.
DIV4	NUM	6	Stock dividend rate. This value is positive for cash dividends and negative for stock splits and stock dividends. In most cases, not all, DIV4 represents the most recent dividend.
DTD	DATE	8	Dated date, the date interest begins accruing; otherwise known as the issue date
DTDFL	CHAR	6	Dated date flag. Used to indicate long and special payment frequency.

Field	Type	Size	Description/Value
			<p>There are four positions in the payment flag:</p> <p>Position 1:</p> <p>Long or short first coupon flag L = Long first coupon. DTD to coupon date following normal first coupon payment date.</p> <p>S = Short first coupon. DTD to normal first coupon payment date, period is less than normal coupon period.</p> <p>F = Flat. Indicates that the bond is not paying interest, but redemption is not impaired.</p> <p>D = Default. Indicates that the bond is not paying interest and will not be redeemed, yield is assumed to be 0.</p> <p>X = No value (default)</p> <p>Position 2:</p> <p>Payment frequency</p> <ul style="list-style-type: none"> • M = Monthly • Q = Quarterly • X = Semi-annually (default) S = Semi-annually • A = Annually • T = At maturity <p>Position 3:</p> <p>Day count method</p> <ul style="list-style-type: none"> • 0 = 30/360 (default) 1 = Actual/actual • 2 = 30/actual • 3 = Actual/360 • 6 = 360E • 7 = 360E+ <p>Position 4:</p> <p>Strip indicator</p> <ul style="list-style-type: none"> • I = Income only. Cash flows used in bond analysis will use only income; MBS will post "pseudo pay-downs"; only interest will affect cash • P = Principal only. Cash flows used in bond analysis will use only principal; WAC field will be used to determine nominal coupon rate used in calculating the whole bond scheduled payment

Field	Type	Size	Description/Value
DURAT	NUM	8	Duration of a fixed income instrument
EPS	NUM	8	Earnings per share. The pricing service provides figures for the last 52 weeks.
EXCH	NUM	8	Codes for the exchange the security trades on
FACT	NUM	9	Current factor (MBS or CMO)
FACTDT	DATE	8	Current factor date
FACTPD	DATE	8	Prior factor date
FACTPR	NUM	9	Prior factor (MBS or CMO)
FIXED	NUM	9	The fixed price. If you have any securities that remain constant, be sure the FIXED price and CLSEP values are the same.
FIXTYP	CHAR	6	User-defined security fixed type for identifying securities
INDIV	NUM	9	Indicated annual dividend rate
ISSTY	NUM	9	Issue type of the security on the APL system
ISSUER	CHAR	6	Six-character field to store ISSUER code
MATDT	DATE	8	Maturity date. Date on which all outstanding principal is redeemed. Also, a final coupon payment for off-cycle bonds.
MCALLD	DATE	8	Call date on bonds
MCALLP	PRICE	9	Call price on bonds
MDYCDT	DATE	8	Date on which the Moody's rating was changed
MDYOLD	CHAR	6	Prior Moody's rating
MKEY	NUM	6	Field used for storing pricing services identifier. Securities priced by Muller <ul style="list-style-type: none"> • 100.30 - Convertible prices • 100.40 - International prices • 100.50 - CMO prices

Field	Type	Size	Description/Value
			<ul style="list-style-type: none"> • 100.60 - Futures prices Securities priced by Merrill Lynch
			<ul style="list-style-type: none"> • 500.1- Corporate prices • 500.2- MBS and MBT prices 600 - Loaded from MLPRICES Securities priced by JJ Kenny
			<ul style="list-style-type: none"> • 200.00 Municipal Prices If this field is coded with -2, dividends will not be posted.
MPUTDT	DATE	8	Put date for bonds
MPUTPR	PRICE	9	Put price for bonds
MRATNG	CHAR	6	Current Moody's rating
MSTATE	CHAR	6	Two-character state code or four- character country code used to identify domicile of security. Links foreign security to exchange and futures to the correct backer.
OPTTK1	CHAR	6	Underlying security ticker
OPTTK2	NUM	8	Expiration date (yyyymmdd format)
OPTTK3	CHAR	3	Call or put indicator
OPTTK4	NUM	8	Strike price
OPEXP	DATE	8	Option expiration date
OPTFL	NUM	6	Option flag. This is coded with a 1 if a stock has options attached to it.
OSHRE	NUM	9	Outstanding shares of common stock
OTERM	NUM	6	Original term. Used in calculating the scheduled payment portion of MBS or CMO cash flows. This must logically relate to period from Dated Date (DTD) to Maturity (MATDT).
PAY1	DATE	8	Payment date for dividends and splits
PAY2	DATE	8	Payment date for dividends and splits

Field	Type	Size	Description/Value
PAY3	DATE	8	Payment date for dividends and splits
PAY4	DATE	8	Payment date for dividends and splits. In most (but not all) cases, PAY4 represents the most recent payment date.
			<p>Field used to control certain updates on a security. The significance of each position in the six-character field is as follows:</p> <p>First position:</p> <ul style="list-style-type: none"> • I = Do not update the INDIV field D = Do not update the DIV/REC/ PAY fields • B= Do not update the INDIV or DIV/REC/PAY fields <p>Second position:</p> <ul style="list-style-type: none"> • Z = Control true zero prices <p>Third position:</p> <ul style="list-style-type: none"> • T = Control the ticker symbol updates <p>Fourth position:</p> <ul style="list-style-type: none"> • O = Control the outstanding shares updates <p>Fifth position:</p> <p>Control the pricing updates as follows:</p> <ul style="list-style-type: none"> • U = block Muller R = block Merrill • J = block JJ Kenny • N = block Muller, Merrill and JJ Kenny <p>Sixth position:</p> <p>Control the rating updates as follows:</p> <ul style="list-style-type: none"> • M = block Moody (MRATNG) • S = block S&P (SNPRAT) • R = block Moody and S&P
PFLAGS	CHAR	6	
POOL	NUM	6	Pool number, used for MBS agency bond. This must be filled in for accrual and pay-down processing.
PRERED	DATE	8	Pre-refunding date. Indicates bond will be redeemed on this pre-refunding date.

Field	Type	Size	Description/Value
PREREP	PRICE	9	Pre-refunding price. Indicates bond will be redeemed at this pre-refunded price.
PRICDT	DATE	8	Price date. Identifies the last day a security was priced by an automated pricing service.
PRMID	PRICE	9	Last Friday's price. Replaced weekly with the new price at the end of the week.
PRTEMP	PRICE	9	The temporary price for a security. Use this field when you want to run a report using prices other than the prices APL provides.
PRVCP	PRICE	9	Previous close price. This would be the close price of security one day before YSTRPR.
PRxxxx	PRICE	9	Year-end prices for securities. For example, PR2000 would be the year end price of a security for December 2000.
PRxxx	PRICE	9	Latest month-end prices for the previous twelve months. The last three characters ("xxx") are filled with the month abbreviation. For example, PROCT would be the month-end prices for securities as of October.
PSAPCT	NUM	6	PSA percent. Rate applied to PSA model used for determining pre-payment pattern for MBS or CMOs.
RA69	CHAR	9	User-defined free field. Also used for securities with multiple industry classifications.
REC1	DATE	8	Record date for dividends and splits
REC2	DATE	8	Record date for dividends and splits
REC3	DATE	8	Record date for dividends and splits
REC4	DATE	8	Record date for dividends and splits. In most cases, not all, REC4 represents the most recent ex- date information.
RESET	DATE	8	Floating rate reset date. All floating rate securities will assume this date in lieu of MATDT if populated and not a past date.
RESTRC	CHAR	9	Restrictions applicable to trading securities.

Field	Type	Size	Description/Value
SACUS	NUM	9	A unique number identifying a security to the APL system. The system generates this number every time a security is added. It cannot be changed once assigned.
SIC	NUM	9	Industry code. Must be entered as a negative number.
SNPCDT	DATE	8	Date on which the Standard and Poor's rating was changed.
SNPOLD	CHAR	6	Prior Standard and Poor's rating.
SNPRAT	CHAR	6	Current Standard and Poor's rating.
SPPDT	DATE	8	Special payment date. Used to change payment cycle. Accruals and coupon payment dates are based on the SPPDT, not the MATDT.
SVCFEE	NUM	6	Service fee. Rate paid to agency for servicing pass-through (MBS) securities. Used to determine gross and net coupon rates as part of MBS or CMO cash flows.
TICK	CHAR	6	Ticker symbol
TXFREE	CHAR	6	Tax status indicator: <ul style="list-style-type: none"> • 0 (or blank) = taxable • 1 = tax exempt
WAC	NUM	6	Weighted average coupon. Gross rate or coupon to be used in lieu of CPNRT in MBS or CMO cash flows. Important for Principal Only (P/O) securities.
WAM	DATE	8	Weighted average maturity. Used in lieu of MATDT in MBS or CMO cash flows. MATDT indicates the maturity of the pool with the longest term. The day of WAM must align with MATDT or SPPDT.
YSTRPR	PRICE	9	Yesterday's price on a security
YTM	NUM	6	Yield to maturity. Override can be to any redemption.

Appendix B: Standard Functions

B.1 Account level

Function	Description
CLIENTSCREEN	View account information
COLLAPSEOPENS	Recombines tax lots
COMBINE	Temporarily combine one or more accounts into one account named COMBO
COMBONYC	Combine one or more accounts into a new account
COPYACT	Copy account information and positions from one account to another
EDAC	Edit account master data for one or more accounts
EDITAC	Edit account master data for one account; add a single new account to the system
EDITACFIELDS	Edit account master field mapping
EDITBRKMAP	Edit mapping of broker codes and broker ID numbers
EDITPORT	Edit specific account data for an account
EDPORT	Edit account data
EDRRNM	Edit and define registered representative (RR), manager (MGR) and broker (DESBK) information
FINDSNAM	Find the short name (SNAM) for an account or group of accounts based on a partial description
MEMOCODE	Add or remove memo codes for one or more accounts
NEWACCT	Add one or more new accounts
PURACCT	Permanently delete one or more accounts from the system
SCREENAC	View account master information for one or more accounts

B.2 Benchmarks

Function	Description
ADDFNDVAL	Add mid-month/inception value for benchmark. Available only on a monthly basis.
EDINDEX	Map benchmark short name to benchmark short description for Frank Russell benchmarks
EDITMULLERBENCH	Map benchmark short name to security for Muller Data benchmarks
POSTBENCH	Post benchmark returns for benchmarks not available on APL, or that has limited data on APL
REFBLNDBNCH	Refresh blended benchmarks as defined in EDDESPCT with -4
UPDATEINDEX	Update benchmarks mapped in EDINDEX.

B.3 Corporate actions and capital adjustments

Function	Description
DVRAUTO	Automatically post reinvested dividends
LISTALTHST	View corporate action information
LOOKUPREORG	Look up information on how a corporate action was processed
LOOKUPSPLIT	Look up information on how a capital adjustment (stock split or stock dividend) was processed
POSTCAPGAIN	Post short term or long term capital gains
POSTDIST	Post non-taxable distribution involving one to three securities
POSTDISTMULT	Post non-taxable distributions involving more than three securities
POSTROC	Manually post return of capital for one account at a time

Function	Description
POSTROCAUTO	Automatically post return of capital for a group of accounts
POSTROCEX	Manually post return of capital for one account at a time, utilizing EX-DATE
POSTROP	Post return of principal
POSTSECCONV	Post security conversion (bond to stock), name changes, mergers, and reverse splits
POSTSECLOT	Post security conversions based on lottery drawing
POSTTENDER	Post cash tender
STOCKSPLIT	Process stock split or stock dividend

B.4 DTC-specific

Function	Description
EDDTCBRK	Edit DTC broker information
EDITDDTC	Edit DTC account number information for one or more accounts

B.5 Fixed income

Function	Description
ADDAMORTYLD	Post amortization methodology across a group of accounts
DOCALLPUT	Process call and put exercises
POSTPAYDOWN	Post mortgage-backed security pay downs
YIELDSCREEN	View and calculate yield scenarios

B.6 General Ledger

Function	Description
EDGL	Edit general ledger entries for a single account
EDITGL	Edit general ledger entries for a single account, for a specific time frame
FASTGL	View general ledger data for a single account, for a specific time frame
FIXGL	Delete general ledger entries based on SACUS number
FIXGLDES	Delete general ledger entries based on SACUS number and general ledger DESCRIPTION
FUNDDIV	Post reinvested fund dividends
POSTDIVS	Post cash dividends

B.7 Miscellaneous

Function	Description
CALENDAR	View calendar of current month
CHANGENAME	Change name associated with e-mail address
EDISSUES	Edit and update outstanding client issues and projects
SETPASSWORD	Set or change user password

B.8 Multi-purpose

Function	Description
EDDESPCT	Edit mapping of model accounts, combined accounts and blended benchmark accounts
EDGLOBALEMEMO	Edit mapping of composite accounts, posting entries and benchmarks for all accounts

Function	Description
EDMEMO	Edit mapping of composite accounts, posting entries and benchmarks for individual accounts

B.9 Performance

Function	Description
COMBOPMSECT	Combine performance data from one or more accounts into another single account
EDPMSECT	Edit performance data for a specific sector
FASTPMSECT	View performance sector data for a specified time frame
PERFSCREEN	View and calculate performance returns
PMSECTAI	Post performance for all sectors
PMSECTAI01	Post performance for the total sector only
PMSECTAICORE	Post performance for the core sectors: total, equity, fixed income, cash, and manual
SETALTFEE	Set flag to display non-management fees on performance reports
SETLOCKSON	Set flag to display locked values on performance reports
SETNETFEE	Set flag to display management fees on performance reports
SETNETTAXES	Set flag to display taxes on performance reports
SETPMLOCK	Set percentage for locking performance values

B.10 PostScript

Function	Description
EDITCAPDESC	Edit appearance of font case on PostScript reports
LISTGLOBALPACK	List individual reports that make up the generic PostScript report packages available to all clients

Function	Description
LISTPACK	List individual reports that make up individual customized PostScript report packages

B.11 Pricing

Function	Description
COPYPRICES	Copy prices from one security to another
MOVEPRICES	Move prices from the CLSEP price field to a specified month-end PR field

B.12 Printing

Function	Description
BROWSE	View a report on screen
PRINT	Print most recently created report print file
SUBMIT	Submit batch jobs for account maintenance and printing client appraisals

B.13 Reconciliation

Function	Description
RECONSCREEN	Reconcile account data on APL against bank statements

B.14 Security-level

Function	Description
ADDSEC	Add one or more securities to the SEC securities database
EDDPR	Edit most recent dividend information
EDFEND	Edit multiple securities using database commands (ISSTY EQ, EXCH EQ ...)

Function	Description
EDINDNM	Edit security industry classification
EDITFIXTYP	Edit security FIXTYP descriptions
EDITSEC	Edit security master data for a single security; add a single security to the system.
EDSEC	Edit security master data for one or more securities
FINDSEC	Find securities based on a partial description
FIXTYPMAP	Edit mapping of security master fields to a specific FIXTYP
HELPCUSIP	Find CUSIP numbers of options, treasuries and corporate bonds
SCREENSEC	View security master data for one or more securities

B.15 Trading and Position

Function	Description
ACTMODELMAP	Add one or more new accounts to a model account
ADDRESTRC	Add trading restrictions for selected accounts
DELBATC	Delete selected or all trades in a batch
DELBLOCK	Delete selected or all trades in a block
DUPBATC	Copy trades in one batch to a new batch
EDRESTRC	Edit trading restrictions for all accounts
JNLALL	Journal all (selected) securities from one account to another
JNLSEC	Journal selected securities from one account to another
RMRESTRC	Remove trading restrictions for selected accounts
SELLFRAC	Post trades batch for selling fractional shares

B.16 Window

Function	Description
UPDATENEW	Add new account to window and trading universes
WINDBUILDACTS	Add new account to a specific window universe
WINDBUILDMGR	Refresh window universe for a specific manager

Appendix C: Standard Reports

The following is a list of standard reports that can be generated with the APL Expert system.

C.1 Activity

Report	Description
ACTBRK	Trades sorted by broker
ACTCOM	Trades and commissions by account
ACTCOMCP	Similar to ACTCOM but also shows cents-per-share commission amounts
ACTVISS	All trades for a specific issue type
ACTIVITY	All trades sorted by account
ACTVMGR	All trades for a specific manager
ACTIVSEC	All trades for a specific security
ACTIVSECSUM	Summarized security activity during a specific time frame for selected securities
ACTIVUNSUPR	Trades for unsupervised assets sorted by account
ACTTRD	Compliant activity report listing security, brokers and commission
ACTWDS	Firm-wid activity sorted by security

C.2 Audit

Report	Description
AUDIT	Holdings report that displays CUSIP, SACUS and TICK for all positions
AUDITAC	Incomplete or discrepant account data
AUDITBROKER	Duplicate or conflicting broker entries in INFODEX.
AUDITDELCOD	Securities that have changed issue type, exchange or other specified changes

Report	Description
AUDITDESBRK	Accounts with bad designated broker codes or account numbers
AUDITDTCNO	Duplicate account or DTC numbers
AUDITDUPCUSIP	Duplicate CUSIP numbers in SEC security file and the accounts that own the securities
AUDITLOCKED	Locked values in an account's performance file
AUDITRESTRC	Positions that conflict with the account's trading restrictions
AUDITTICK	Duplicate tickers in the HOT and SEC files
AUDITTRANS	Summary of all transactions during a specific time frame
BADDATE	Accounts holding positions with bad purchase, sell, receive or deliver dates
BLOCKS	Detail of the first two levels of EDPORT
CHECKGLOPE	Discrepancies with the OPE entry in the General Ledger
CHECKOPDT	Discrepancies with the OPEDT
CHKCUS	Discrepancies between CUSIP and CUSIP1 & CUSIP2
DUPCUSIP12	Duplicate CUSIP numbers
DUPTICK	Duplicate TICK in SEC file
FIXEDAUDIT	Missing security master data for fixed income assets
PMFIRMAUDIT	Firm-wide report on accounts outside a certain tolerance level
PMLOGREPORT	Missing security prices found during performance posting
PMSECTCHECK	Securities owned but not included in a specific performance sector or that appear in more than one sector
POPUPAUDIT	Creates a report that shows discrepancies between basic account information in INFODEX and basic client data, or EDAC data in APL.
PROBLEMCUSIP	Securities in SEC file with missing or inconsistent data

Report	Description
RECVVALUE	Securities that have a receive value greater than that specified
SEC13F	SEC 13 F data report
ZEROCOST	Accounts that hold positions with 0.00 as a purchase cost
ZEROPDATE	Accounts that hold securities with 00/00/00 as a purchase date
ZEROPRICELIST	Not priced securities
ZEROPRICES	Not prices securities
ZERORCVDLV	Accounts that hold positions with partial receive or deliver data

C.3 Benchmarks

Report	Description
BENCHLIST	Benchmarks available on APL
VERIFYIND	Verify that a benchmark as been updated (Must be coded in EDGLOBALEMEMO)

C.4 Billing

Report	Description
BILLMON	Client bills

C.5 Cash

Report	Description
BALANCE	Cash and money fund balances
BALANCEMV	Percentage of cash and cash equivalents
CASH14PROJ	Two week income projection
CASH7PROJ	One week income projection

Report	Description
CASHACT	Cash activity for a specific account during a specified time frame
CASHAVG	Daily end-of-day cash balance for a specific account during a specified time frame
CASHDIST	Cash contributions and withdrawals during a specified time frame
CASHFLOWS	Cash transactions based on trade type
CASHLEDGR	All transactions affecting cash during a specific time frame
NEGBALANCE	Cash and money fund balances for overdrawn accounts

C.6 Commission

Report	Description
COMMBRK	Commissions sorted by account for current month, last 3 months, last 6 months and last 12 months
COMMCAT	Commissions sorted by specific categories
COMMGRF	Commissions sorted by broker
COMMHAR	Commissions sorted by broker and includes net trades
COMMNET	Comparative broker commissions for a specified time frame
COMMRANK	Ranks broker commissions in one report
COMMRANKACT	Ranks broker commissions per individual account
COMMRANEX	Comparative commissions report for two periods
COMMSUMM	Total commissions for all brokers for selected accounts during a specific time frame
COMMSUMMALL	Total commissions itemized for each account or summarized for all accounts
COMMSUMMSNAM	Commissions for a specific broker for specified accounts

C.7 Corporate actions and capital adjustments

Report	Description
LATEREORGS	Accounts holding securities entitled to reorgs that have passed the EX-DATE
PENDREORGS	Accounts holding securities scheduled to undergo a corporate action process
PRCAP	Current or historical stock splits and stock dividends that have been or will be processed on APL
PRCAPAC	Current or historical stock splits and stock dividends that have been or will be processed on APL, for specific accounts

C.8 Cross-reference

Report	Description
MKTCAP	Holdings sorted by either number of outstanding shares, market value or description
RECWIM	Largest holdings sorted by market value and measures what percent of outstanding shares are held in the selected accounts
RECWIMTOP	Same as RECWIM except number of holdings can be selected
SECMTA	Security position matrix for selected securities across a group of selected accounts
SECWRAP	Modified version of SEC13F for wrap managers that includes securities not normally reported
STKRECORD	All securities held sorted by a variety of fields
WHONOWNS	All accounts not holding a specific security as of a specified date.
WHOWNF	Same as WHONOWNS except it does not show the original purchase date
WHOWNL	Same as WHONOWNS but displays each tax lot
WHOWNLALL	All securities held in a group of selected accounts as of a specified date

Report	Description
WHOWNS	All accounts holding a specific security as of a specified date. Looks at nightly cross reference file
WHOWNS2	All accounts holding a specific security as of a specified date. Looks at current holdings in EDPORT.
WHOWNUNSUPR	All accounts holding unsupervised assets.
XREFBIG	All securities held across a group of accounts
XREFEXCLD	All securities where EXCLUDE EQ NOBILL, UNSUPR or AWAY, for a selected group of accounts
XREFFRAC	All securities held across a group of selected accounts with fractional shares
XREFISS	All securities held across a group of selected accounts, based on issue type (ISSTY)
XREFISSMBS	All factorable securities held across a group of selected accounts, based on issue type (ISSTY) and displays original face amount
XREFSEC	Selected securities held across a group of selected accounts
XREFUNSUPR	All unsupervised assets held across a group of selected accounts
XREFUNSUPRISS	Unsupervised assets held across a group of selected accounts, based on issue type (ISSTY)

C.9 Fixed income

Report	Description
AMORT	Book values and amortization changes of fixed income assets
BONDEDGEALL	Downloadable file of security master data for bonds
BONDFEATURE	Accounts holding fixed income calls and puts, and pre-refunded bonds
CLTHAWFX	Accounts holding fixed income assets
DURPORT	Duration and rating of fixed income assets held across a group of selected accounts

Report	Description
FIXGWK	All fixed income assets held sorted by issue type
FIXMAT	All fixed income assets held in an account sorted by maturity year and issue type
FIXRATE	All fixed income assets held in an account with ratings and maturity data
FIXWDS	Detailed information on all fixed income assets held in an account
INDSUMFIX	Bond inventory of all bonds held across a group of selected accounts
MANAGEREFFMAT	Effective maturity assets held in a group of selected accounts
MATREP	Accounts holding fixed income securities that mature within one year
MGRORIGFACE	Accounts holding factorable securities and includes original face amount
REDEMPTION	Accounts holding securities that have matured
SHOWNOFACE	Accounts holding factorable securities with no or inconsistent face amounts
SUMFIX	Fixed Income asset detail in a single account or group of accounts
SUMFIXRATE	Ratings and maturity distribution for fixed income assets
SUMFIXRIT	Basic fixed income holdings

C.10 Foreign-sensitive

(See other categories for additional information)

Report

- BWTX
- CLTSUM
- FIXMAT
- FIXRATE
- FIXWDS
- INDFMA
- INDFMAI
- MANAGERAGP
- RECINTJCE
- SKEDCPS
- SUMPAP

- WHOWNL
- XREFBIG
- XRREP

C.11 Gain and loss

Report	Description
BUCKTAX	Unrealized gain and loss
PCTLOSS	Position that have decreased in value by a certain percentage as of a specified date (unrealized)
REALGAIN	Realized capital gain according to tax consequence
SKED	Realized gain and loss in both net and gross of proceeds
SKEDCPS	Realized gain and loss including cost per share and proceeds per share
SKEDFMA	Realized gain and loss sorted by industry classification
SKEDGROSS	Realized gain and loss in both net and gross of proceeds
SKEDOLD	Realized gain and loss sorted by short or long term
WHITETAX	Unrealized gain and loss including % gain

C.12 General

Report	Description
ACFIELDS	Lists account master fields and their descriptions
DATEVARS	Lists date variables and their equivalent values based on the date the report is run
FINDBADDATES	Allows the user to view all bad dates that may be present in the client's account data.
ISSUE	Lists the valid security issue types available on APL
SECFIELDS	Lists security master fields and their descriptions

C.13 Holdings

Report	Description
ARNREP	all assets held, including accrued interest, in an individual account
ARNREPCUS	Same as ARNREP but includes dividend, % value and yield-to-maturity
BWPM	Basic holdings report with performance comparison against DIAT, SP500T and COMPQ
BWT	Holdings reports that includes securities with options attached
BWTX	Basic holdings report displaying each tax lot in an account
BWTXNOLOTS	Same as BWTX but displays summarized positions instead of individual tax lots
BWTXSHORTS	Same as BWTX but also includes short, long and hedged positions
FNDMES	Holdings report that summarizes total cost and value, excluding cash
INDSEM42	Account holdings with dividend and interest per share
LYNCH	Summarized holdings
LYNCHAI	Summarized holdings with accrued income
PORTREVIEW	Detailed and summarized holdings with accrued income
REVIEWACC	Change in accruals over a specific time frame
REVIEWGL	Dollars gained or lost over a specific time frame
REVIEWTOT	Same as TBGREVIEW but also includes income earned
SUMBIG	Same as SUMPARG but does not include industry classification
TBGREVIEW	Changes in holdings between two selected dates

C.14 Income

Report	Description
ACCREP	Accrued interest and dividends
DIVHAW	Dividends and interest with the option of including or excluding dividends
INCPROJ	One year estimated flow of income RECINTJCESame as INCPROJ but in a less elaborate format
TAXAGP	Summary of income paid for a single account or across a group of selected accounts
TAXBBR	Summary of income, adjustments and deductions
TAXMISC	Miscellaneous taxable transactions, including non-cash receives and delivers
TAXSUM	Summary of income, capital gains and losses, adjustments and deductions
TAXWDS	Distinctive summary of government and other bond interest

C.15 Industry

Report	Description
CLTBCS	One level sort showing dividend and interest amounts
CLTECM	One level sort showing annual income for unsupervised and supervised assets
CLTHAL	One level sort for all holdings in an accounts
CLTMORNEW	One level sort for all holdings in an account
CLTPEN	One level sort for all assets, according to performance sector and issue type
CLTRFS	One level sort according to issue type DRISUM
ELI	Two level sort for all holdings in an account
ELINEW	One level sort including accrued income
INDBARD	One level sort for all holdings in an account

Report	Description
INDFMA	One level sort for all holdings, including foreign securities, in an account
INDFMAAI	One level sort for all holdings, including foreign securities and accrued income, in an account
INDHAR	One level sort for all holdings, including earnings per share
INDSUMMAYBE	Collective holding of all assets held in a group of selected accounts
INDSUMPAR	Collective holding of all assets held in a single account or across a group of accounts
INDSUMSEC	One level sort according to issue type and industry classification but only shows CUSIP, market price and current value
SUMPAR	One level sort for all assets held
SUMPARIND	Two level sort for all assets held
SUMPARSECT	Same as SUMPAR but has % of sector instead of % of total

C.16 Management

Report	Description
ACDIST	Single tier account distribution
ACDISTTIER	Double tier account distribution
MANAGER	Summary of accounts and their values, according to manager
MANAGERACC	Summary of accounts, by manager, including and excluding accrued income
MANAGERAGP	Summary of accounts, by manager, including percent of portfolio
MANAGERAI	Summary of accounts, by manager, including accruals
MANAGERASOF	Summary of holdings on a specified date
MANAGERBHI	Summary of holdings, including realized gains and losses
MANAGERDLF	Summary of holdings, including realized gains and losses

Report	Description
MANAGEREFC	Summary of holdings, with option to include or exclude treasury bills and cash/cash equivalents
MANAGEREQU	Summary of equity assets held across a group of accounts
MANAGERFIX	Summary of fixed income assets held across a group of accounts
MANAGERFUND	Summary of mutual fund securities held across a group of accounts
MANAGERGL	Summary of short term and long term assets held across a group of accounts
MANAGERIDS	Summary of accounts managed by a specific RR or MGR and the portfolio values
MANAGERMABIE	Summary of percent of holdings for assets held across a group of accounts
MANAGERMHI	Summary of all cash and equity assets held across a group of accounts
MANAGERMUT	Percent summary of total assets held across a group of accounts
MANAGERSUM	Summary of assets held for a specific broker across a group of accounts
MANAGERSWM2	Summary of assets held, including realized gain and loss, categorized by broker
MANAGERUNSP	Summary of unsupervised assets held across a group of accounts
MANAGERWID	Summary of trades, categorized by broker and size, across a group of accounts
MGEWIM	Client appraisal of assets held, including unsupervised assets
MGRAGP	Client appraisal of assets held, including accrued income
MGRAWAY	Client appraisal of assets held where the EXCLUDE field in EDPORT is coded AWAY
MGRBAM	Client appraisal of assets held, including supervised and unsupervised assets and accrued income
MGRCAM	Client appraisal of equity assets held
MGRDLF	Client appraisal of assets held, including income per share
MGRDOMAI	Client appraisal of assets held, including accrued income

Report	Description
MGRECM	Client appraisal of assets held, including supervised and unsupervised assets
MGRFUR	Client appraisal of assets held, including fractional shares
MGRGRF	Client appraisal of assets held, sorted by industry classification
MGRHAR	Client appraisal of assets held, including supervised and unsupervised assets
MGRIND	Client appraisal of assets held, sorted by industry classification
MGRLOW	Client appraisal of assets held, including capital and cumulative changes and estimated income
MGRMAT	Client appraisal of unsupervised and supervised assets held in an account
MGRMES	Client appraisal of assets held, including percent of assets per industry classification
MGRMOR	Client appraisal of assets held, including realized short/long term gain and loss
MGRMORAI	Same as MGRMOR but also includes accrued income
MGRMORSE	Client appraisal of assets held, including realized short/long term gain and loss
MGRORIGFACE	Client appraisal that displays original face for factorable securities, including accrued income
MGRTIM	Client appraisal of assets held, including percent gain, YTD percent and accrued income
MGRTBG	Listed securities prices are shown from fractional to decimal pricing.
MGRWDS	Client appraisal of assets held, including tax cost, % of industry class and fiscal YTD gain and loss
MGRWSW	Client appraisal of assets held, including supervised and unsupervised assets
MGRWSWAI	Same as MGRWSW but also includes accrued income

C.17 Performance

Report	Description
AIMRCOMP	Composite performance
AIMRMEMO	Composite performance for accounts included in multiple composites
AIMRMGR	Composite performance for a specific manager
COVERPM	Summary of asset mix, performance and capital change
FLAGPCT	Contributions and withdrawals greater than a chosen percent of market value and includes locked values
POSTDIVS	Generates dividend postings for all securities for a particular date range.
PMAFTAX	Before and after tax performance for a specified time frame
PMCAM	Cumulative dollar change and percent of performance
PMCAP	Summary of capital changes and percent of performance
PMCOVER	Summary, including realized gain and loss
PMDET	Performance details for a specified time frame
PMDIAG	Compares internal rate of return to time- weighted return
PMDIFF	Compares time weighted return against two sectors for one account
PMFIRM	Performance summary for an individual account or group of accounts
PMFIRMFLEX	Flexible report built to client specifications using pre-determined information
PMFIRMMLC	Weighted beginning performance values for selected sectors displayed in dollars
PMFIRMNETFEE	Summarized information, net of fees
PMFIRMPCT	Weighted beginning performance values for selected sectors displayed in percentages
PMFIRMSECT	Summary of three selected sectors over a one, three, and twelve month period
PMFIRMVAL	Same as PMFIRMSECT but allows for sorting by performance, market value, etc.

Report	Description
PMHAL	Net additions and adjustments to market value during a specific time frame
PMHISTPI	Estimated principal and income against Total, Equity, Fixed Income and Cash sectors
PMHISTSECT	Selected sector compared to 2 benchmarks
PMHISTYTD	Total, Equity, Fixed Income, Cash and 3 benchmarks
PMISSUE	Security issue types categorized by the performance sector in which they are included
PMITD	Inception to date performance
PMRR	Market risk analysis for one or more accounts
PMRRADV	Performance risk/return analysis
PMSUM	Fund Type performance summary

C.18 Pricing

Report	Description
PRICEXCEPT	Same as ZEROPRICES but is sensitive to received securities
PRUAUTOPRICE	Creates the necessary APL execution files, and updates the trade blocks with the total number of shares.

C.19 Ranking

Report	Description
INDRECAP	50 largest holdings across in an individual account or across a group of accounts
PORTRANK	Ranks selected securities by specified report criteria as of a specific date
PORTRANK3	Same as PORTRANK but runs as of current price date

Report	Description
PORTRANKASOF	Same as PORTRANK3 but runs as of a specific date and allows for additional ranking criteria
PRGAIN	Ranks securities by percent gain
RANKSEC	Ranks securities by market value

C.20 Rating

Report	Description
CHIPS	Moody's ratings for assets held in account
SPREAD	S&P ratings for assets held in an account

C.21 Reconciliation

Report	Description
GLNOMATCH	Un-reconciled general ledger entries for an individual account or across a group of accounts
PORTNOMATCH	Purchases and sells that do not match on the blotter file

C.22 Restriction

Report	Description
SHOWNORESTRC	Accounts that do not have restrictions set up
SHOWRESTRC	Accounts that do have restrictions set up

C.23 Trading

Report	Description
BLOCKDETAIL	Transactions in a block of trades

Report	Description
BLOTTERAPL	Separate reports for purchases and sells as well as equity and fixed income
BLOTTERDATES	Same as BLOTTERAPL but allows for the specification of a date range
BLOTTERGLAPL	Summarized trade transactions that affect the general ledger
BLOTTERGLDATES	Same as BLOTTERGLAPL but allows for the specification of a date range
BLOTTERTRD	Trades posted to an account over a specified time frame
CAPAW	Positions received in or delivered out of an account
PENDINGTRADES	Unsettled transactions for a specific account
TARDIFF	Difference between target assets and actual assets

C.24 Transaction

Report	Description
TRANALL	Purchases, sells, maturations and reorgs that been posted to an accounts and includes receipts and disbursements
TRANBRD	Purchases and sells for an account
TRANBRK	Gross and net transactions sorted by broker
TRANBRKCPS	Estimated cents per share pain in commission on broker trades
TRANCON	Same as TRANPEN but includes unit cost/proceeds
TRANDIFF	Compares cost/proceeds to current market value
TRANGCC	Purchases and sells for assets in an account
TRANGRF	Purchases and sells for assets in an account, including gain and loss
TRANJCE	Purchases sells, receives and delivers for assets held in account
TRANLET	Purchases and sells, including trade and settlement data
TRANLETBLOT	Transmittal letter

Report	Description
TRANLETTTRD	Custodian notification letter
TRANPEN	Purchases, sells, contributions and withdrawals for assets held in an account
TRANSEC	Same as TRANPEN but for a single security
TRANGLDES	General ledger transactions based on selected fields
TRANWDS	Transactions with average price over a specified period
TRANWID	Purchases, sells, receives and delivers
TRANWIM	Purchases and sells sorted by transaction date

C.25 Turnover

Report	Description
NETDIFF	Net difference between proceeds and worth of position on a specified date after position is sold
TURNOVER	Turnover information for assets held in an account
TURNOVERE	Same as TURNOVER but for equity assets only
TURNOVEREC	Same as TURNOVER but for convertible equity assets only
TURNOVERF	Same as TURNOVER but for fixed income assets only

C.26 Weighting

Report	Description
RELWGTSUM	Percent of each industry class held in an account
RELPECTSUM	Compares a model account to selected accounts

Appendix D: Standard Macro Utilities

The following macro utilities are included in the APL Expert application suite. Other macros can be programmed to meet client needs. Contact our client services team for more information

D.1 Editing screen utilities

These utilities are run within any editing screen. Editing screens are identified by numbers on the left-hand side of the screen.

Macro	Description
**COPY	Copy information from an editing screen.
**COPYSOME	Copy particular information from an editing screen.
**READFILE	Read a file into the editing screen.

D.2 Search prompt utilities

These commands can be used at the SEARCH FOR WHAT? prompt when running a function.

Macro	Description
\LASTACTS	Enables users to use the last account selection entered at the SEARCH FOR WHAT? prompt. This is in effect until the user logs out of a session or until they enter in a new selection.
\LASTSEC	Enables users to use the last security selection entered at the SEARCH FOR WHAT? prompt. This is in effect until the users logs out of a session or until they enter in a new selection.
\LOCKDES	Enables users to lock in identical description information across a group of trades.
**LOOKUPDLV	Looks up security prices on deliver transactions when creating a trades batch using TRADESNEW.

Macro	Description
**LOOKUPRV	Calculates the receive value with accruals for any priced security when creating a trades batch using TRADESNEW.
**LOOKUPRVAI	Calculates the receive value without accruals for any priced security when creating a trades batch using TRADESNEW.
\SELECTAC	Enables users to search for a group of accounts at the SEARCH FOR WHAT? prompt.
\SELECTSEC	Enables users to search for a group of securities at the SEARCH FOR WHAT? prompt.
\WHONOTRADED	Enables users to only select accounts that have not traded during a certain time frame.
\WHONOTRADEDISS	Enables users to only select accounts that have not traded a certain issue type during a specific time frame.
\WHONOTRADEDSEC	Enables users to only select accounts that have not traded a specific security during a certain time frame.
\WHONOWNSEC	Enables users to only select accounts who do not own a specific security as of a certain time frame.
\WHOWNSEC	Enables users to only select accounts who do own a specific security as of a certain time frame.

Appendix E: Variables and Codes

E.1 Date variables

There are date variables that can be used when running reports, either on-line, in a macro, or during nightly production. These variables can be entered at any data selection prompt (AS OF DATE, BEGINNING DATE, and ENDING DATE). These variables can be accessed by running the DATEVARS report which will display the results based on the date the report is run.

Variable	Description
\BUSDAYSBACK # "Go back # days. Example	\BUSDAYSBACK 7
\CUREXDATE	The current - ex-date for stock dividends. It is used with the AUTOCP function for clients who post stock splits and dividends the evening prior to ex-date.
\CURPRDATE	Current price date.
\CURPRDATEME	Maintains the true business date when the month-end date is on a weekend.
\DAYSBACK #	Go back # days. This is useful for running activity reports for a week (for example, \DAYSBACK 7).
\MNBEGDATE	Beginning date for the current month.
\MNBEGDATEX #	Go back # days and determine what the beginning of the month was on that day. Example \MNBEGDATEX 7
\MNENDDATE	Current month end date.
\MNENDDATEX #	Go back # days and determine what the month end was on that day. Example \MNENDDATEX 1
\MNENDNAME	Current month end price name.
\NXTQRBEGDATE	Go to the previous quarter and determine the beginning date for the next quarter.
\NXTQRTENDDATE	Go to the previous quarter and determine the ending date for the next quarter.
\PRQRBEGDATE	The beginning date of the quarter previous to the most recently completed calendar quarter.

Variable	Description
\PRQRENDDATE	The previous quarter-end date.
\PRQRENDNAME	The previous quarter-end price.
\QRBEGDATE	The beginning date for the most recent - quarter-end.
\QRENDDATE	The most recent quarter-end date.
\QRENDNAME	The most recent quarter-end price.
\TODAY	Today's date
\YESPRDATE	Yesterday's date, as stored in the YSTRPR field
\YRBEGDATE	The beginning date of the current year
\YRBEGDATEX #	Go back # years and determine what the first day of that year was. Example\YRBEGDATEX 1
\YRENDDATE	The ending date of the most recent year
\YRENDDATEX #	Go back # years and determine what the year-end date was on that day Example\YRENDDATEX 2

E.2 Security issue types

Securities on the APL Expert system are identified for performance measurement based on the issue type.

Equity

Code	Description
3	Options
28	Common stock
30	Warrants and rights
31	Convertible bonds
32	Units

Code	Description
35	Mutual funds
37	Foreign common stock
46	Convertible preferred stock
51	Call options
52	Put options
81	Aggressive growth mutual funds
82	Equity mutual funds
83	Conservative growth mutual funds
87	Equity futures contracts
88	Equity futures reserves
96	PERCS (Preferred Equity Redemption Certificates)
801	International equity mutual funds

Fixed income

Code	Description
5	Corporate bond funds
6	Municipal bond funds
7	Government bond funds
12	General obligation municipal bond funds
14	Revenue municipal bond funds
29	Preferred stock
34	Corporate bonds

Code	Description
39	Pay-in-kind bonds
44	Government obligations
45	Foreign bonds
47	Preferred income funds
49	Taxable municipal bonds
50	Municipal bonds
53	Future options
56	Mortgage and bond funds
60	Asset-backed securities
63	Foreign CDs and commercial paper
64	Floating rate notes
65	Miscellaneous bonds
66	High yield bonds
70	Zero coupon bonds
71	Adjustable rate preferred bonds
75	Corporate zero coupon bonds
76	Municipal zero coupon bonds
77	Promissory notes
78	Repurchase agreements
79	Government zero coupon bonds
80	Fixed income mutual funds
85	Bond futures contracts

Code	Description
86	Bond futures reserves
89	Futures contracts
93	Collateralized mortgage obligations
101	Liabilities
441	Government agencies
444	Mortgage backed securities
802	International fixed income mutual funds

Cash and cash equivalents

Code	Description
1	Cash and cash equivalents
4	Foreign currencies
36	Certificates of deposit and commercial paper

E.3 General ledger trade types

Trade Type	Description
OPE	Purchase
CLO	Sale
RCV	Receive cash or stock
DLV	Deliver cash
RCV	Receive a security
DLV	Deliver a security
TFR	Transfer from income to principal

Trade Type	Description
RCVINC	Income received
DLVINC	Income delivered out
INT	Interest earned
INTACC	Interest accrued
DIV	Dividend earned
FEEADV	Investment advisory fee
INC	Income earned
DIVRNV	Dividends re-invested
PRI	Principal receipt of cash
MEMO	Memorandum item

E.4 Stock exchange codes

Code	Exchange
00	Market Indexes
01	New York Stock Exchange Stocks
02	NYSE Amex (formally American Stock Exchange)
03	Midwest Stock Exchange Stocks and Bonds
04	NYSE -ARCA equities
07	New York Stock Exchange Bonds
10	US Treasury Bills
11	US Treasury Bonds and Note
12	GNMA Representative Coupon Records

Code	Exchange
	Twelve Federal Lands Banks
	International Bank for Reconstruction and Development
	Federal National Mortgage Administration
13	Twelve Federal Intermediate Credit Banks and Student Loan Marketing Association
	Bank for Co-operative and Federal Farm Credit Bank
	Federal Home Loan Bank
	Inter-American and Asian Development Banks
20	Series E and EE Savings Bonds
21	Passthroughs and Participation Certificates
40	NASDAQ Mutual Funds
42	Unit Investment Trusts
60	NASDAQ Industrials, Banks, Trusts and Insurance Company
65	Non-NASDAQ OTC Equities Bulletin Board
66	OTC Evaluated Preferred Stocks
70	OTC Corporate Bonds
71	OTC Municipal Bonds
72	NASDAQ OMX PHLX Equities
73	NASDAQ OMX BX equities (formally Boston Stock Exchange)
74	Vancouver Stock Exchange, equities
76	Toronto Stock Exchange
78	Toronto Stock Exchange, Dual Listing
79	Vancouver Stock Exchange, Equities, dual listing

Code	Exchange
80	Canadian OTC Bonds
83	Canadian OTC, equities
85	Private Placement Bonds
91	Chicago Board of Options Exchange
92	NYSE AMEX Options
93	NASDAQ OMX PHLX options
94	Pacific Coast Options Exchange
95	New York Stock Exchange Options
96	Canadian Options
97	NASDAQ Options

E.5 Currency codes

MSTATE	Exchange
XRAH	Afghan Afghani
XRAL	Albanian Lek
XRAG	Algerian Dinar
XRAK	Angolan New Kwanza
XRAA	Argentina Austral
XRAM	Armenia Dram
XRAR	Aruban Guider
XRAD	Australian Dollar
XRAS	Austrian Schilling

MSTATE	Exchange
XRAZ	Azerbaijan Manat
XRBH	Bahamas Dollar
XBHD	Bahranine Dinar
XRBA	Bangladesh Taka
XRBD	Barbados Dollar
XRBE	Belarus Rouble
XRBF	Belgian Franc
XRZB	Belize Dollar
XRBR	Bermuda Dollar
XRBT	Bhutan Ngultrum
XRBL	Bolivian Peso
XRBDH	Bosnia & Herzegovina Dinar
XRWB	Botswana Pula
XBZR	Brazilian Real
XRBP	British Pound
XRBU	Brunei Dollar
XRBG	Bulgarian Lev
XRBN	Burundi Franc
XRCB	Cambodian Rial
MSTATE	Exchange
XRCB	Canadian Dollar
XRCV	Cape Verde Escudo

MSTATE	Exchange
XRCY	Cayman Islands Dlr
XRCP	Chilean Peso
XRCI	Chilian Unidad Fm
XRCH	Chinese Renminbi
XRCA	Col French Africa
XRCF	Col French Polynes
COPX	Colombia Peso
XRCM	Comoros Franc
XRCO	Costa Rica Colon
XRCK	Croatian Dinar
XRCU	Cuban Peso
XRCR	Cyprus Pound
XRCZ	Czechoslovak Kruna
XRDK	Danish Krone
XRDJ	Djibouti Franc
XRDR	Dominican Rep Peso
XREC	East Caribbean Dlr
XREQ	Ecuador Sucre
XREG	Egyptian Pound
XRES	El Salvador Colon
XRET	Ethiopian Birr
ECUX	European Currency Unit

MSTATE	Exchange
XREUR	European Union
XREK	Extonian Kroon
XRFK	Falkland Is Pound
XRFJ	Fiji Dollar
XFMK	Finnish Markka
MSTATE	Exchange
XRFF	French Franc
XRGA	Gambian Dalasi
XRGRCP	Georgian Coupon
XRGM	German Mark
XRGH	Ghana Cedi
XRGB	Gibraltar Pound
XRGD	Greek Drachma
XRGU	Guatemala Quetzal
XRGF	Guinea Franc
XRGY	Guyana Dollar
XRHT	Hatian Gourda
XRHO	Honduras Lempira
XRHD	Hong Kong Dollar
XRHU	Hungarian Forint
XRIC	Icelandic Krona
XRIR	Indian Rupee

MSTATE	Exchange
XRIN	Indonesian Rupiah
XRIY	Iran Rial
XRIQ	Iraqi Dinar
XIRE	Irish Pound
XRIS	Israeli Shekel
XRIL	Italian Lira
XRJM	Jamaican Dollar
XRJY	Japanese Yen
XRJD	Jordanian Dinar
XRKT	Kazakhstan Tenge
XRKY	Kenya Shilling
XKUW	Kuwait Dinar
XRKYGS	Kyrgyzstan Som
XRLO	Laos New Kip
XRLT	Latvian Lats
XRLB	Lebanese Pound
XRLS	Lesotho Loti
XRLI	Liberian Dollar
XRLY	Libyan Dinar
XRLH	Lithuanian Litas
XRLF	Luxembourg Franc
XRMA	Macau Pataca

MSTATE	Exchange
XRMC	Macedonian Denar
XRMG	Malagasy Franc
XRML	Malawi Kwacha
XMLR	Malaysian Ringgit
XRZD	Maldives Is Rufiyaa
XRMT	Maltese Lira
XRMR	Mauritania Quguiya
XRMU	Mauritian Rupee
XRMV	Moldavan Leu
XRMN	Mongolian Tugrik
XRMO	Moroccan Dirham
XRMZ	Mozambique Metical
XRMY	Myanmar (Burma) Kyat
XRNB	Namibian Dollar
XRNP	Nepalese Rupee
XRNT	Netherlands Antilles
XRNG	Netherlands Guilder
XRNM	New Mexican Peso
XNZD	New Zealand Dollar
XRNC	Nicaragua Cordoba
MSTATE	Exchange
XRNI	Nigerian Naira

MSTATE	Exchange
XRNO	North Korean Won
XRNK	Norwegian Krone
XROM	Oman Rial
XRPK	Pakistan Rupee
XRPN	Panama Balboa
XRPP	Papua New Guinea Kima
XRPR	Paraguay Guarani
XRPI	Peru Inti
PPSX	Philippines Peso
EDA	Phlx Australlian Dollar
EPO	Phlx British Pound
ECD	Phlx Canadian Dollar
ECU	Phlx Euro
EFN	Phlx French Franc
EDM	Phlx German Mark
EJY	Phlx Japanese Yen
ESW	Phlx Swiss Franc
XRPO	Polish Zloty
XRPE	Portugese Escudo
XRQA	Qatari Rial
XRRO	Romanian Leu
XRRU	Russian Rouble

MSTATE	Exchange
XRRW	Rwanda Franc
XRST	Sao Tome & Principe
XSAR	Saudi Arabian Rial
XRSY	Seychelles Rupee
XRSE	Sierra Leone Leone
XRSD	Singapore Dollar
MSTATE	Exchange
XRSV	Slovak Koruna
XRSZ	Slovenian Tolar
XRSO	Solomon Islands Dollar
XRSM	Somali Shilling
XRSR	South African Rand
XSKW	South Korean Won
XRSP	Spanish Peseta
XSDR	Special Drawing Rt
XRSL	Sri Lanka Rupee
XRSH	St Helena Pound
XRSN	Sudanese Dinar
XRSU	Surinam Guilder
XRSW	Swaziland Lilangen
XRSK	Swedish Krona
XRSF	Swiss Franc

MSTATE	Exchange
XRSA	Syrian Pound
XTDD	Taiwan Dollars
XRTZ	Tanzania Shilling
XTBT	Thailand Baht
XRTO	Tonga Pa Anga
XRTT	Trinidad & Tobego Dollar
XRTU	Tunisian Dinar
XTUR	Turkish Lira
XRUG	Uganda Shilling
XRUK	Ukraine Karbovanet
XRUA	United Arab Em Dir
XRUR	Uruguay Uruguaya
XRUZB	Uzbekistan Sum
XRVN	Vanuatu Vatu
MSTATE	Exchange
VPSX	Venezuela
XRVT	Vietnamese Dong
XRWS	Western Samoa Tala
XRYM	Yemeni Rial
XRYU	Yugoslav Dinar
XRZR	Zaire Zaire
XRZM	Zambian Kwacha

MSTATE	Exchange
XRZW	Zimbabwe Dollar
