

# CMS Web User's Guide

## Nasdaq Nordic

Version: 4.0.130911

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# 1. Introduction

## 1.1. Overview

This is a user guide for the Nasdaq Collateral Management Web (CMS Web) to be used by Nasdaq participants who post default fund contributions and margin collateral to their custody accounts with Nasdaq.

CMS Web provides the following functionality:

- Viewing of collateral assets and transactions
- Viewing of current and historical collateral valuation and evaluation
- Viewing/downloading of collateral reports
- Viewing of accrued and capitalized interest on cash collateral
- Viewing of participant's cash and instrument SSI (standing settlement instructions)
- Viewing of reference data for instruments eligible as margin collateral and default fund contribution respectively
- Posting and callback of instrument collateral on custody accounts
- Request for cash callback from custody accounts

## 1.2. How to access CMS Web

NASDAQ has implemented Okta Authentication solution to improve member login to CMS web applications. This requires users to enroll their CMS Web user(s) to Okta.

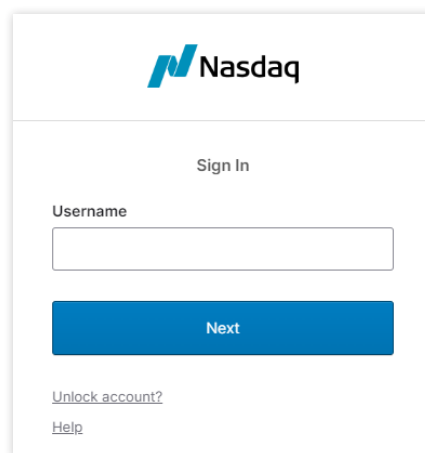
CMS Web can be accessed from a standard web browser (with JavaScript enabled). For user administration and access details, see: <https://www.nasdaq.com/solutions/nasdaq-clearing-technology-connectivity-for-clearing>.

CMS Web will work with a variety of browsers; however for the optimal user experience the recommendation is to use one of following browsers:

- Google Chrome, version 23 or later
- Internet Explorer, version 9 or later
- Firefox, version 16 or later

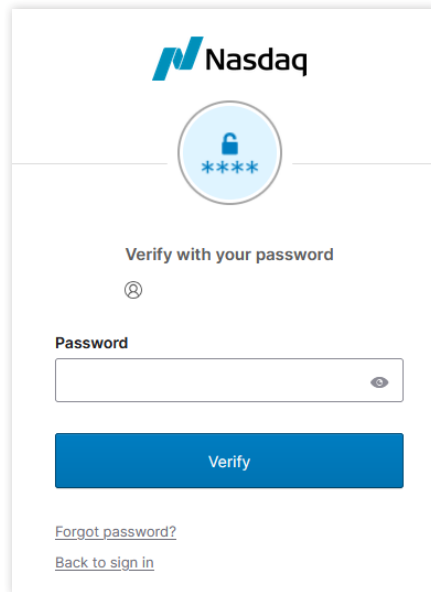
To access CMS web you need to:

1. Enter Username and press Next:.



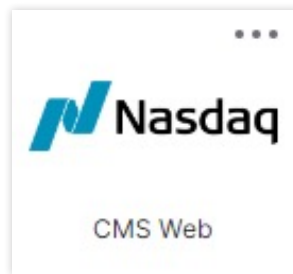
The image shows a screenshot of the Nasdaq Sign In page. At the top, there is the Nasdaq logo. Below the logo, the text "Sign In" is centered. Underneath, there is a label "Username" followed by a text input field. Below the input field is a blue button with the text "Next". At the bottom of the form, there are two links: "Unlock account?" and "Help".

2. Enter Password and press Verify:.

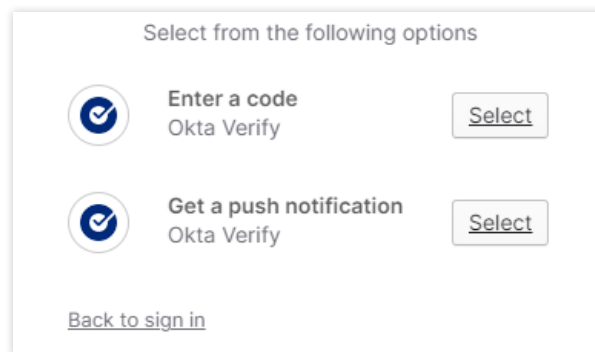


The screenshot shows the Nasdaq login verification page. At the top is the Nasdaq logo. Below it is a circular icon with a padlock and four asterisks. The text "Verify with your password" is centered, followed by a small user icon. A "Password" label is above a text input field with a toggle eye icon. A blue "Verify" button is below the input field. At the bottom, there are two links: "Forgot password?" and "Back to sign in".

3. Select CMS Web from the application list in Okta:



4. Select preferred 2FA method for Okta Verify:



The screenshot shows the Okta 2FA selection screen. The title is "Select from the following options". There are two options, each with a radio button and a "Select" button. The first option is "Enter a code Okta Verify" and the second is "Get a push notification Okta Verify". At the bottom, there is a link "Back to sign in".

Information about the back end system that CMS Web is currently running against, i.e. which Nasdaq Clearing and Custody System respectively, as well as information about the currently logged in user is shown on the top of the page:.



## 1.3. User roles

There are two kinds of user roles defined in the CMS Web:

- User – an ordinary user of the CMS Web
- Administrator – an authorized person in the participant's organization allowed to administer user accounts for users at the participant and change certain settings

In CMS Web each user will be connected to an organization. The organizational connection determines the user's access rights in the application, i.e. available custody accounts, transactions etc.

### 1.3.1. USER

An ordinary user will have access to the following functionality:

- Cash Optimization – View information about cash optimization on margin accounts
- Collateral – View information about cash- and instrument collateral on margin accounts
- Transactions – Search for transactions, instruct instrument postings, create cash and instrument callback requests
- Reference data – View instrument reference data, custody account information, cash- and instrument standing settlement instructions (SSI)
- Four-eye – View information about four-eye events
- Password – Change of user password

### 1.3.2. ADMINISTRATOR

The administrator role has the same access as an ordinary user with the following extensions:

- Admin - Possibility to administer users (create, update and delete) for an organization
- Admin – Change cash optimization settings

## 1.4. Accounts

This manual refers to two different types of accounts; custody accounts and margin accounts.

Custody accounts are accounts in the Custody System where the actual balances of cash and holdings of instruments are registered. Data for custody accounts in the CMS Web application is retrieved from the WIZER Custody System and all actions performed (cash and instrument transactions etc.) are done for a custody account.

Margin accounts are accounts in the Clearing System where calculated margin requirements and valued collateral is registered. Data for margin accounts in the CMS Web application is retrieved from the Genium INET Clearing System.

## 2. Functionality

### 2.1. Cash Optimization

Select the "CASH OPTIMIZATION" top level menu item. This will display a page with three different tabs:

- Summary – Overview of cash optimization status for all margin accounts and currencies for the selected organization (this tab is selected by default)
- Details – Overview of cash optimization information in more detail
- Settings – This is a page where users can change cash optimization settings (currency ranking, callback limits etc.)

**Tip: When moving the mouse over the "CASH OPTIMIZATION" option, a submenu containing direct links to the three different tabs will be displayed.**

**Tip: The selected cash optimization valuation and organization is kept between the cash optimization tabs during a user session.**

## 2.1.1. SUMMARY TAB

The Summary page displays the cash optimization impact per currency for all margin accounts belonging to the user's organization.

The screenshot shows the Nasdaq Summary tab interface. At the top, there is a navigation bar with the Nasdaq logo and a menu with items: CASH OPTIMIZATION, COLLATERAL, TRANSACTIONS, REFERENCE DATA, ADMIN, FOUREYE, PASSWORD, and LOG OUT. Below the navigation bar, there are tabs for Summary, Details, and Settings. The Summary tab is active, displaying a filter section with dropdown menus for Organization (MEMBER NAME), Val. date (2015-03-09), Valuation (2 - EoD (P) - COMPLETED), Currency (--Choose--), and Cash Optimization Account (--Choose--). A Search button is located to the right of the filter section. Below the filter section is a table with the following data:

Cash Optimization Account	Currency	Payment Reference	Total amount
SE MEM MRA-COM	SEK	1425808248944	-25 550 728,87
SE MEM MRA-FIN	SEK	1425808248946	0,00
SE MEM MRA-COM	NOK	1425808248943	0,00
SE MEM MRA-FIN	EUR	1425808248945	4 071 042,65

Export options: [Excel](#)

### Search options

<b>Organization</b>	Select an organization to display cash optimization for. The results view will be automatically updated when a new organization is selected.
<b>Valuation date</b>	The valuation date of the cash optimization. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
<b>Valuation</b>	This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.
<b>Currency</b>	Display cash optimization for a specified currency.
<b>Cash Optimization Account</b>	Select a specific margin account to show cash optimization for.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

<b>Excel</b>	Click the "Excel" link in order to export the displayed table to an excel document.
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## 2.1.2. DETAILS TAB

The Details page displays detailed cash optimization information per currency for all margin accounts belonging to the user's organization. Since the page contains many columns it's possible to toggle the visibility of all columns by ticking the "Toggle Column Visibility" box.

### Search options

<b>Organization</b>	Select an organization to display cash optimization for. The results view will be automatically updated when a new organization is selected.
<b>Valuation date</b>	The valuation date of the cash optimization. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
<b>Valuation</b>	This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.
<b>Currency</b>	Display cash optimization for a specified currency.
<b>Cash Optimization Account</b>	Select a specific margin account to show cash optimization for.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

<b>Excel</b>	Click the "Excel" link in order to export the displayed table to an excel document.
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The following columns can be selected in the "Toggle Column Visibility" tab.

1. "Account" (Margin Requirement Account)
2. "Cash Opt Account" (Cash Optimization Account)
3. "Currency" (Currency)
4. "Margin Req" (Margin Requirement)
5. "Cash Settlement Req" (Cash Settlement Requirement)
6. "Held Cash" (Held Cash Collateral)
7. "Held Non-Cash" (Held Non-Cash Collateral (With Haircut))
8. "Surplus/Deficit", (Surplus or Deficit in Instrument Currency)
9. "Surplus/Deficit in BC", (Surplus or Deficit in Base Currency)
10. "BC" (Base Currency)
11. "Withdraw/Deposit Col Acc, Margin" (Withdraw or Deposit Collateral Account due to Margin)
12. "Withdraw/Deposit Col Acc, Cash Settl" (Withdraw or Deposit Collateral Account due to Cash Settlement)
13. "Total Withdraw/Deposit Coll Acc" (Total Withdraw or Deposit Collateral Account)
14. "To Pay/Receive, Margin" (To Pay or Receive due to Margin)
15. "To Pay/Receive, Cash Settl" (To Pay or Receive due to Cash Settlement)
16. "Total to Pay/Receive" (Total Amount to Pay or Receive)

### 2.1.3. SETTINGS TAB

This is a page where users can change Cash Optimization settings. First a user must select the organization and then margin requirement account in the drop down list with margin requirement accounts that only belongs to the selected organization. When a user selects one of the margin requirement account the "Cash Optimization Settings" panel will be displayed. Only admin users will be allowed to change any values on this page. Ordinary users are able to view all the fields but will not be allowed to change any cash optimization settings.

#### Search options

<b>Organization</b>	Select an organization to display settings for. The settings view will be automatically updated when a new organization is selected.
<b>Margin Requirement Account</b>	Select a specific margin requirement account to show settings for.



## 2.2. Collateral

Select the "COLLATERAL" top level menu item. This will display a page with eight different tabs:

- Status – Overview of collateral status for all margin accounts
- Evaluation – Lists collateral evaluation runs on margin accounts
- Information – Collateral status per margin account
- Base currency – Collateral status in base currency
- Value per valuation group – Collateral value per valuation group
- Value per instrument – Collateral value per instrument
- Custody account – Collateral holdings and balances
- Reports – Downloadable collateral reports

**Tip:** When moving the mouse over the "COLLATERAL" option, a submenu containing direct links to the eight different tabs will be displayed.

**Tip:** The selected collateral evaluation run and margin account is kept between the collateral tabs during a user session.

### 2.2.1. STATUS TAB

About... Logged in as: nas\_patham

Nasdaq

CASH OPTIMIZATION COLLATERAL TRANSACTIONS REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Status Evaluation Information Base currency Value per valuation group Value per instrument Custody account Reports

Status

Filter

Organization Val. date Valuation

MEMBER NAME 2015-03-11 6 - Intraday (P) - COMPLETED Search

Val. date: 2015-03-11 Number: 6 - Intraday - Prel. - COMPLETED - EVALUATE\_ALL\_COLLATERALS Created: 2015-03-11 10:51:55

Margin account	Cur.	Tot. margin reg	Coll. cash	Coll. security	Coll. guarantees	Tot. surplus/deficit
SE MEM MRA-COM	NOK	0	485 000	0	0	485 000
SE MEM MRA-COM	SEK	-32 632 468	27 763 978,87	0	0	-4 868 489,13
SE MEM MRA-FIN	EUR	-809 400	917 300	0	0	107 900
SE MEM MRA-FIN	SEK	-5 819 500	6 170 500	0	0	351 000

Export options: [Excel](#)

The Status page displays the collateral status per currency for all margin accounts belonging to the user's organization. The link button (⋮) can be used to expand each row and drill down to the custody account behind the displayed margin account value. The links can be used to easily navigate to the following collateral pages and have the result pre-filtered for the selected margin account:

- Information – Collateral status per margin account
- Base currency – Collateral status in base currency
- Value per valuation group – Collateral value per valuation group
- Value per instrument – Collateral value per instrument holding
- Custody account – Cash and Instrument collateral on custody account

## Search options

Organization	Select an organization to display the collateral status for. The results view will be automatically updated when a new organization is selected.
Valuation date	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
Valuation	This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.

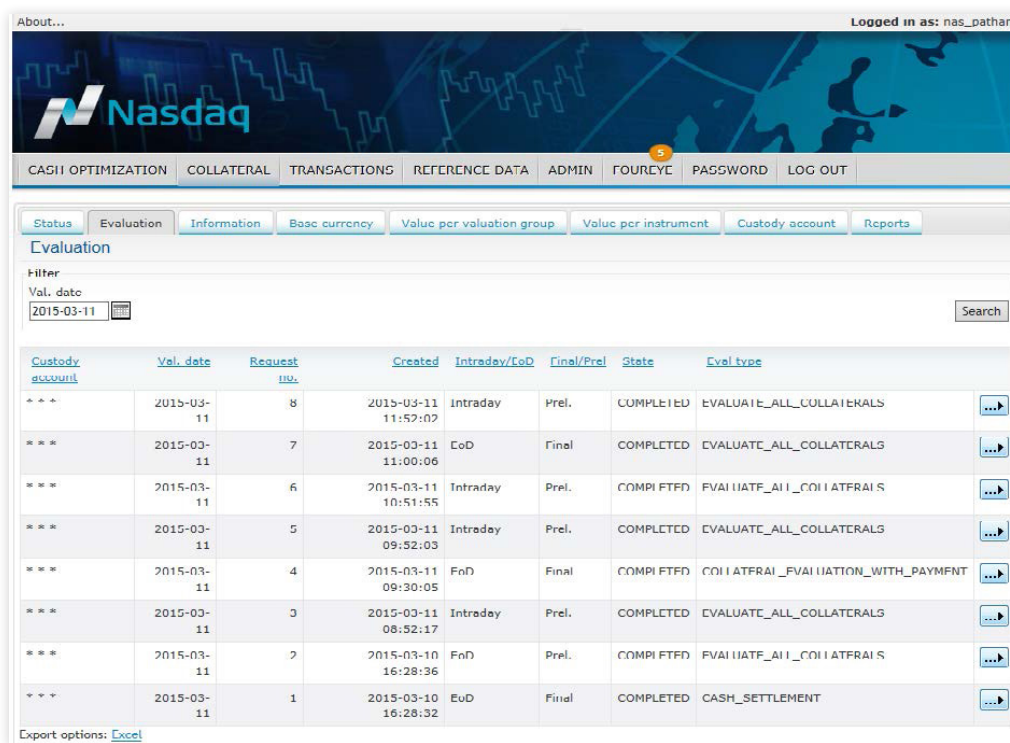
## Sort options

Sort order	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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## Export options

Excel	Click the "Excel" link in order to export the displayed table to an excel document.
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### 2.2.2. EVALUATION TAB



The screenshot shows the Nasdaq Evaluation page. At the top, there is a navigation bar with tabs: CASI OPTIMIZATION, COLLATERAL, TRANSACTIONS, REFERENCE DATA, ADMIN, FOUREYE, PASSWORD, and LOG OUT. Below this is a sub-navigation bar with tabs: Status, Evaluation, Information, Base currency, Value per valuation group, Value per instrument, Custody account, and Reports. The main content area is titled "Evaluation" and includes a filter for "Val. date" set to "2015-03-11". Below the filter is a table with the following columns: Custody account, Val. date, Request ID, Created, Intraday/CoD, Final/Prel, State, Eval type, and a context menu button (three dots). The table contains 8 rows of data. At the bottom left, there is a link for "Export options: Excel".

Custody account	Val. date	Request ID	Created	Intraday/CoD	Final/Prel	State	Eval type	
***	2015-03-11	8	2015-03-11 11:52:02	Intraday	Prel.	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	7	2015-03-11 11:00:06	CoD	Final	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	6	2015-03-11 10:51:55	Intraday	Prel.	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	5	2015-03-11 09:52:03	Intraday	Prel.	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	4	2015-03-11 09:30:05	FoD	Final	COMPLETED	COLLATERAL_EVALUATION_WITH_PAYMENT	...
***	2015-03-11	3	2015-03-11 08:52:17	Intraday	Prel.	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	2	2015-03-10 16:28:36	FoD	Prel.	COMPLETED	EVALUATE_ALL_COLLATERALS	...
***	2015-03-11	1	2015-03-10 16:28:32	FoD	Final	COMPLETED	CASH_SETTLEMENT	...

The Evaluation page displays all collateral evaluation runs on margin accounts for a specified valuation date. The context menu button (⋮) can be used to easily navigate to the following collateral pages and have the results pre-filtered for the selected evaluation run:

- Status – Overview of collateral status for all margin accounts
- Information – Collateral status per margin account
- Base currency – Collateral status in base currency
- Value per valuation group – Collateral value per valuation group
- Value per instrument – Collateral value per instrument

## Search options

**Valuation date** The valuation date of the collateral evaluation run. The menu will by default display the current date.

## Sort options

**Sort order** By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## Export options

**Excel** Click the "Excel" link in order to export the displayed table to an excel document.

### 2.2.3. INFORMATION TAB

The screenshot shows the Nasdaq web application interface. At the top, there is a navigation bar with tabs: CASH OPTIMIZATION, COLLATERAL, TRANSACTIONS, REFERENCE DATA, ADMIN, FOUREYE, PASSWORD, and LOG OUT. Below this is a sub-navigation bar with tabs: Status, Evaluation, Information (selected), Base currency, Value per valuation group, Value per instrument, Custody account, and Reports. The main content area is titled "Information" and contains a filter section with dropdown menus for "Custody account" (7000920 MEMBER NAME - Collateral Account House), "Val. date" (2015-03-12), and "Valuation" (4 - EoD (F) - COMPLETED). Below the filter is a summary bar: "Val. date: 2015-03-12 Number: 4 - EoD - Final - COMPLETED - COLLATERAL\_EVALUATION\_WITH\_PAYMENT Created: 2015-03-12 09:30:01". The main data is presented in a table with columns: Margin account, Cur., Tot. margin req, Coll. cash, Coll. security, Coll. quarantees, and Tot. surplus/deficit. The table contains two rows of data. At the bottom left, there is a link for "Export options: Excel".

Margin account	Cur.	Tot. margin req	Coll. cash	Coll. security	Coll. quarantees	Tot. surplus/deficit
SE MEM MRA-COM	NOK	0	485 000	0	0	485 000
SE MEM MRA-COM	SEK	-27 417 000	27 763 978,87	0	0	587 478,87

The Information page displays collateral value vs. margin requirements information per margin account. For more details on a specific row, click the information icon (i).

## Search options

**Account** Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.

**Valuation date** The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.

**Valuation** This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.

## Sort options

**Sort order** By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## Export options

**Excel** Click the "Excel" link in order to export the displayed table to an excel document.

## 2.2.4. BASE CURRENCY TAB

The Base currency page displays collateral value per currency where the surplus or deficit has been converted into the selected base currency.

Logged in as: nas\_patham

CASH OPTIMIZATION COLLATERAL TRANSACTIONS REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Status Evaluation Information **Base currency** Value per valuation group Value per instrument Custody account Reports

Base currency

Filter

Custody account: 7000920 MEMBER NAME - Collateral Account House Val. date: 2015-03-12 Valuation: 4 - EoD (F) - COMPLETED

Val. date: 2015-03-12 Number: 4 - EoD - Final - COMPLETED - COLLATERAL\_EVALUATION\_WITH\_PAYMENT Created: 2015-03-12 09:30:01

Margin account	Cur.	Base	Tot. margin req.	Tot. coll. val.	Tot. S/D	Ex. rate	Tot. S/D base cur.	FX Stress	Tot. S/D base cur. hc
SE MEM MRA-COM	NOK	SEK	0	485 000	485 000	1,112305	539 467,93	90	485 521,13
SE MEM MRA-COM	SEK	SEK	-27 417 000	28 004 478,87	587 478,87	1,00	587 478,87	100	587 478,87
SE MEM MRA-COM		SEK					1 126 946,8		1 073 000

Export options: [Excel](#)

### Search options

<b>Account</b>	Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.
<b>Valuation date</b>	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
<b>Valuation</b>	This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

<b>Excel</b>	Click the "Excel" link in order to export the displayed table to an excel document.
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## 2.2.5. VALUE PER VALUATION GROUP TAB

Logged in as: nas\_patham

CASH OPTIMIZATION COLLATERAL TRANSACTIONS REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Status Evaluation Information **Base currency** **Value per valuation group** Value per instrument Custody account Reports

Value per valuation group

Filter

Custody account: 7000920 MEMBER NAME - Collateral Account House Val. date: 2015-03-12 Valuation: 4 - EoD (F) - COMPLETED

Val. date: 2015-03-12 Number: 4 - EoD - Final - COMPLETED - COLLATERAL\_EVALUATION\_WITH\_PAYMENT Created: 2015-03-12 09:30:01

Margin account	Valuation group	Actual	Limit	Base cur.	Value in base cur.	Value in base cur. after adj.
SE MEM MRA-COM	CASH	100%	100%	SEK	28 303 446,8	28 303 446,8

Export options: [Excel](#)

The Value per valuation group page displays collateral value and margin requirement information per margin account grouped by valuation group. Limits such as Haircut and Concentration limit may be set up so that less than 100% of posted collateral in a group may be used to cover margins. This page shows the effect of such limits. Applicable limits are presented on Nasdaq website.

### Search options

<b>Account</b>	Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.
<b>Valuation date</b>	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
<b>Valuation</b>	This is a list of all evaluation runs for the selected valuation date. By default the most recent run for the chosen date is selected.

### Sort options

Sort order	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

Excel	Click the "Excel" link in order to export the displayed table to an excel document.
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## 2.2.6. VALUE PER INSTRUMENT TAB

Val. date: 2015-03-12 Number: 4 - EoD - Final - COMPLETED - COLLATERAL\_EVALUATION\_WITH\_PAYMENT Created: 2015-03-12 09:30:01

Margin account	Name	ISIN	Cur.	Qty/Amount	Market value	After haircut %	Coll. val	Coll. val. adj.
SE MEM MRA-COM	NOK	NONOS0033147	NOK	485 000	485 000	100%	485 000	485 000
SE MEM MRA-COM	SEK		SEK	27 763 978,87	27 763 978,87	100%	27 763 978,87	27 763 978,87

Export options: [Excel](#)

The Value per instrument page displays collateral information per margin account and instrument. For more details on a specific row, click the information icon (i).

### Search options

<b>Account</b>	Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.
<b>Valuation date</b>	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
<b>Valuation</b>	This is a list of all evaluation runs for the selected valuation date. By default, the most recent run for the chosen date is selected.

## Sort options

### Sort order

By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## Export options

### Excel

Click the "Excel" link in order to export the displayed table to an excel document.

## 2.2.7. CUSTODY ACCOUNT TAB

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION COLLATERAL TRANSACTIONS REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Status Evaluation Information Base currency Value per valuation group Value per instrument Custody account Reports

Custody account

7000920 MEMBER NAME - Collateral Account House

Holdings on custody account 7000920 MEMBER NAME - Collateral Account House at 2015-03-12:

Cash:

Currency	Preliminary balance	Collateral balance	Accrued interest	Interest rate
NOK	-485 000,00	-485 000,00	0,00	0,00%
SEK	-346 978,87	-346 978,87	0,00	0,00%

Export options: [Excel](#)

Instruments:

Instrument name	ISIN	Currency	Depository	Preliminary position	Collateral holding
No entries found					

The Custody account page displays the cash, instrument and guarantee collateral posted for a given custody account. The context menu (☰) can be used to:

- List related cash-, instrument and guarantee transactions
- Input a cash- and instrument instructions

## Search options

### Custody Account

Select a custody account from the account drop down menu. The result view will be automatically updated with the account selected.

## Sort options

### Sort order

By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## Export options

### Excel

Click the "Excel" link in order to export the displayed table to an excel document.

## 2.2.8. REPORTS TAB

The Reports page displays all margin requirement and collateral reports that are available for download. To download a report, click on the icon in the right hand column. The report will be displayed in a new window.

### Search options

**Business date** The business date to display the collateral reports for. The menu will by default display current date.

### Sort options

**Sort order** By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## 2.3. Transactions

Select the "TRANSACTIONS" top level menu item. This will display a page with four different tabs:

- Transactions – Display transactions related to a selected custody account (this tab is selected by default)
- Cash instruction – Request a cash callback for transfer of excess cash from a custody account to a bank account according to the cash SSI set up on the custody account
- Cash internal transfer – Request to move cash between two accounts
- Instrument instruction
  - Place an instrument deposit instruction to post instrument collateral to a custody account through a CSD/ICSD according to the instrument SSI set up on the custody account
  - Request an instrument callback for withdrawal of excess instrument holding from a custody accounts through a CSD/ICSD according to the instrument SSI set up on the custody account

**Tip:** When moving the mouse over the "TRANSACTIONS" option, a submenu containing direct links to the four individual tabs will be displayed.

### 2.3.1. TRANSACTIONS TAB

7000920 MEMBER NAME - Collateral Account House

Filter

Instruction date interval: From: 2015-02-09 To: 2015-03-11

Settlement date: --All--

Asset class: --All--

Currency: --All--

Depository: --All--

Without date interval

More >>> Search

Transactions performed on custody account 7000920 MEMBER NAME - Collateral Account House between 2015-02-09 - 2015-03-11:

Transaction	Status	Instruction date	Settl. date	ISIN	Settl. amount	Qty/Nom amount	Currency	Reference	Cash Opt. Ref.	
Cash Settl...	Pending	2015-03-11	2015-03-11		0,00	0,00	NOK	1426001313273	143	<a href="#">i</a>
Cash Settl...	Pending	2015-03-11	2015-03-11		882 000,00	882 000,00	SEK	1426001313274	144	<a href="#">i</a>
Automatic ...	Pending	2015-03-11	2015-03-11		22 925 728,87	22 925 728,87	SEK	1426001326547	144	<a href="#">i</a>
Automatic ...	Pending	2015-03-11	2015-03-11		0,00	0,00	NOK	1426001326546	143	<a href="#">i</a>
Cash Settl...	Pending	2015-03-09	2015-03-09		5 720 250,00	5 720 250,00	SEK	1425808242964	120	<a href="#">i</a>
Cash Settl...	Pending	2015-03-09	2015-03-09		485 000,00	485 000,00	NOK	1425808242955	119	<a href="#">i</a>
Automatic ...	Pending	2015-03-09	2015-03-09		0,00	0,00	NOK	1425808248943	119	<a href="#">i</a>
Automatic ...	Pending	2015-03-09	2015-03-09		25 550 728,87	25 550 728,87	SEK	1425808248944	120	<a href="#">i</a>

Export options: [Excel](#)

The Transactions page displays the cash, instrument and guarantee transactions on a selected custody account. For more details on a specific transaction, click the information icon (📘). A transaction that can be cancelled has a “Cancel” link (see [2.3.8 Cancellation of a transaction](#)).

### Cancellation of a transaction).

#### Search options

<b>Custody Account</b>	Select a custody account from the account drop down menu. The result view will be automatically updated with the account selected.
------------------------	--

#### Optional filters

<b>Instruction date interval</b>	The view will include transactions registered between from-and-to dates.
----------------------------------	--

<b>Settlement date</b>	Include transactions with the specified settlement date.
------------------------	--

<b>Asset class</b>	Include transactions of a specific asset class, i.e. cash or instrument.
--------------------	--

<b>Currency</b>	Include transactions of a specific currency.
-----------------	--

<b>Depository</b>	Include transactions that relate to a specific CSD/ICSD.
-------------------	--

<b>Without date interval</b>	Search for all transactions without the transaction date taken into account.
------------------------------	--

<b>Transaction</b>	Included transaction of the specified transaction type.
--------------------	---

<b>Status</b>	Include transactions with a specific status.
---------------	--

<b>ISIN</b>	Include transactions of a specific ISIN or with an ISIN-code that starts with the specified value.
-------------	--

<b>Reference</b>	Include transactions where the reference matches the specified value.
------------------	---

**Note:** In order for the optional filters to take effect, the “Search” button must be selected.

#### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
-------------------	--

#### Export options

<b>Excel</b>	Click the “Excel” link in order to export the displayed table to an excel document.
--------------	---



## 2.3.2. CASH INSTRUCTION TAB

The screenshot displays the 'Cash instruction' tab in the Nasdaq system. The interface includes a top navigation bar with options like 'CASH OPTIMIZATION', 'COLLATERAL', 'TRANSACTIONS', 'REFERENCE DATA', 'ADMIN', 'FOUREYE', 'PASSWORD', and 'LOG OUT'. Below this, there are sub-tabs for 'Transactions', 'Cash instruction', 'Cash internal transfer', and 'Instrument instruction'. The 'Cash instruction' sub-tab is active, showing a form with the following details:

- Custody account:** 7000922 Test Participant ... - Collateral Account House
- Instruction type:** Cash callback
- Currency:** EUR
- Collateral balance:** 1 000 000,00
- Amount:** 100000
- Reference:** C15031132606155
- Dates:**
  - Instruction date: 2015-03-11
  - Settlement date: 2015-03-12
  - Processing time: Immediate
  - Cut-off time: 2015-03-11 15:00:00
- SSI:**
  - Type: Collateral
  - Bank: SEB Helsinki
  - Account number: 123456789
  - Account info: Member Test

Buttons for 'Submit' and 'Clear' are located at the bottom left of the form.

The Cash instruction tab is used to request withdrawal of excess cash from a custody account. If the cash callback is approved, the transfer of the cash callback amount will be made to the bank account according to the cash SSI set up on the selected custody account. The approved cash callback will be paid on the next business day of the requested currency.

**Note:** The “Dates” and “SSI” sections will be updated from the server when the “Account” or “Currency” fields changes. A valid date, time and SSI must exist in order to submit the cash instruction.

### Fields

<b>Custody Account</b>	Select the custody account that the cash callback is requested from. When a new custody account is selected, the page will reload and the positive cash balances on the custody account will be displayed.
<b>Instruction type</b>	Cash callback
<b>Currency</b>	Select the currency of the cash callback. Only currencies where the account has a positive cash balance will be displayed.
<b>Collateral balance</b>	This field will be updated with the collateral balance for the selected currency.
<b>Amount</b>	Select the amount for the cash callback. It is not be possible to enter a larger value than current positive cash balance.
<b>Reference</b>	The reference of the cash callback is auto-generated when the page reloads.
<b>Instruction date</b>	Always the current date.
<b>Settlement date</b>	The date when the instruction will be settled. Automatically updated (depending on the combination of account and currency).
<b>Processing time</b>	The time when the system will start to process the cash callback. If the cash callback is to be processed immediately this field will display “Immediate”. The processing time status updates automatically (depending on the combination of account and currency).
<b>Cut-off time</b>	The time that the cash callback request window closes for the current day. Cut-off time status updates automatically (depending on the combination of account and currency).
<b>SSI</b>	Information about the cash SSI that will be used for the cash callback. SSI information updates automatically (depending on the combination of account and currency).

**Note:** It will not be possible to request a cash callback if the cut-off time for the current day has passed.

### 2.3.3. CASH INSTRUCTION CONFIRMATION TAB

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION COLLATERAL **TRANSACTIONS** REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Transactions Cash instruction **Cash internal transfer** Instrument instruction

**Cash instruction**

Please confirm that you wish to send the following instruction:

Custody account	7000922 Test Participant ... - Collateral Account House
Instruction type	Cash callback
Currency	EUR
Settled amount:	1 000 000,00
Amount	100 000,00
Reference	C150311133722429

**Dates**

Instruction date	2015-03-11
Settlement date	2015-03-12
Processing time	Immediate
Cut-off time	2015-03-11 15:00:00

**SSI**

Type	Collateral
Bank	SEB Helsinki
Account number	123456789
Account info	Member Test

#### Options

<b>Edit</b>	Navigates back to the previous step.
<b>Confirm</b>	Confirm the cash callback and move to the transactions page unless the instruction resulted in a four-eye event where the user will be transferred to the "Four-eye" page instead (see 2.6 Four-eye).
<b>Confirm &amp; New</b>	Confirm the cash callback request and, if required, continue with a new cash callback request e.g. in another currency or on another custody account. If the new cash callback request resulted in a four-eye event, an information dialog will be displayed on the page containing the four-eye identifier and a link to the "Four-eye" page.

### 2.3.4. CASH INTERNAL TRANSFER TAB

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION COLLATERAL **TRANSACTIONS** REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Transactions Cash instruction Cash internal transfer **Instrument instruction**

**Cash internal transfer**

From account: 7000920 MEMBER NAME - Collateral Account House

Instruction type: Internal transfer

Currency: EUR

To account: 7000921 MEMBER NAME - Collateral Account House

Collateral balance: 1 000 000,00

Amount: 200000

Reference: T150311134304355

**Dates**

Instruction date	2015-03-11
Settlement date	2015-03-11
Processing time	Immediate
Cut-off time	2015-03-11 18:00:00

The Cash internal transfer tab is used to request cash transfers between two accounts.

**Note:** The “Dates” and “To account” sections will be updated from the server when the “Currency” field changes. A valid date, time and to account must exist in order to submit the cash instruction.

### Fields

<b>From Account</b>	Select the custody account that the cash should be withdrawn from. When a new account is selected, the page will reload and it will be possible to select the currency where a positive cash balance exists.
<b>Instruction type</b>	Internal transfer (not possible to change)
<b>Currency</b>	Select the currency of the cash transfer. Only currencies where the account has a positive cash balance will be displayed.
<b>To Account</b>	Select the custody account that the cash should be moved to. Only valid accounts will be displayed.
<b>Collateral balance</b>	This field will be updated with the collateral balance for the selected currency.
<b>Amount</b>	Select the amount for the cash transfer. It is not be possible to enter a larger value than current positive cash balance.
<b>Reference</b>	The reference of the cash callback is auto-generated when the page reloads.
<b>Instruction date</b>	Always the current date.
<b>Settlement date</b>	The date when the instruction will be settled. Automatically updated (depending on the combination of account and currency).
<b>Processing time</b>	The time when the system will start to process the cash transfer. If the cash transfer is to be processed immediately this field will display “Immediate”. The processing time status updates automatically (depending on the combination of account and currency).
<b>Cut-off time</b>	The time that the cash transfer request window closes for the current day. Cut-off time status updates automatically (depending on the combination of account and currency).

**Note:** It will not be possible to request a cash transfer if the cut-off time for the current day has passed.

### 2.3.5. CASH INTERNAL TRANSFER CONFIRMATION TAB



## Options

<b>Edit</b>	Navigates back to the previous step.
<b>Confirm</b>	Confirm the cash transfer and move to the transactions page unless the instruction resulted in a four-eye event where the user will be transferred to the "Four-eye" page instead (see 2.6 Four-eye).
<b>Confirm &amp; New</b>	Confirm the cash transfer request and, if required, continue with a new cash transfer request e.g. in another currency or on another custody account. If the new cash transfer request resulted in a four-eye event, an information dialog will be displayed on the page containing the four-eye identifier and a link to the "Four-eye" page.

### 2.3.6. INSTRUMENT INSTRUCTION TAB

The screenshot shows the Nasdaq web interface. At the top, there is a navigation bar with tabs: CASH OPTIMIZATION, COLLATERAL, TRANSACTIONS, REFERENCE DATA, ADMIN, FOUREYE, PASSWORD, and LOG OUT. Below this, there are sub-tabs: Transactions, Cash instruction, Cash internal transfer, and Instrument instruction. The 'Instrument instruction' tab is active. The form contains the following fields and values:

- Custody account:** 7000920 MEMBER NAME - Collateral Account House
- Instruction type:** Instrument deposit
- Instrument name/ISIN:** SV. STATENS STATSOBLIGATIONER 2.5 25/05  
ISIN: SE0005676608 Currency: SEK, Depository: Euroclear Sweden
- Collateral holding:** 0
- Qty/Nom amount:** 1000000
- Dates:**
  - Instruction date: 2015-03-12
  - Settlement date: 2015-03-12
  - Processing time: Immediate
  - Cut-off time: 2015-03-12 16:45:00
- SSI:**
  - Type: Collateral
  - Place of settlement: VPCSSSESSXXX
  - Reag/Deag: SEB
  - Buyr/Sell: (empty)

At the bottom of the form are 'Submit' and 'Clear' buttons.

The Instrument instruction tab is used by to post instruments as collateral and to call back excess holdings posted as collateral on custody accounts.

**Note:** The "Dates" and "SSI" sections will be updated from the server when the "Account" or "Currency" fields changes. A valid date, time and SSI must exist in order to submit the cash instruction.

## Fields

<b>Custody Account</b>	Select the custody account that the instrument instruction shall be executed on.
<b>Instruction type</b>	Select if the instruction should be either an instrument posting or an instrument callback.
<b>Instrument name/ISIN</b>	Select the instrument that shall be used for the instruction by typing either the name of the instrument or the instruments ISIN.
<b>Collateral holding</b>	This field will be updated with the instrument holding for the selected custody account and instrument.
<b>Qty/Nom amount</b>	Select the amount/quantity for the instrument instruction. For a callback, it will not be possible to enter a larger amount/quantity than the current instrument holding.
<b>Reference</b>	The reference of the instrument instruction is auto-generated when the page reloads.
<b>Instruction date</b>	The instruction date (depending on the combination of instruction type and instrument).
<b>Settlement date</b>	The date when the instruction will be settled. Updated automatically (depending on the combination of instruction type and instrument). The instrument instruction will be settled in the CSD/ICSDs next settlement cycle if matched in CSD/ICSD.

## Fields

Processing time	The time when the system will start to process the instrument instructions. If the instruction is to be processed immediately this field will display "Immediate". Processing time status updates automatically (depends on the combination of instruction type and instrument).
Cut-off time	NASDAQ OMX internal cut off time for each CSD/ICSD. Cut-off time status updates automatically (dependent on the combination of instruction type and instrument).
SSI	Information about the instrument SSI that will be used for the instrument instructions. SSI information updates automatically (dependent on the combination of account and instrument)

**Note:** It will not be possible to submit an instrument instruction if the cut-off time has passed.

### 2.3.7. INSTRUMENT INSTRUCTION CONFIRMATION TAB

#### Options

Edit	Navigates back to the previous step.
Confirm	Confirm the instrument instruction and move to the transactions page unless the instruction resulted in a four-eye event where you will be transferred to the "Four-eye" page instead (see 2.6 Four-eye).
Confirm & New	Confirm the instrument instruction and move back to the instrument instruction page, continuing with the possibility to enter an additional Instrument instruction. If the instruction resulted in a four-eye event, an information dialog will be displayed on the page containing the four-eye identifier and a link to the "Four-eye" page.

### 2.3.8. INSTRUMENT INTERNAL TRANSFER TAB

The Instrument internal transfer tab is used to transfer instrument holdings between member's custody accounts.

**Note:** The "Dates" section will be updated from the server when the "Account" or "Currency" fields changes. A valid date, time and SSI must exist in order to submit the cash instruction.

## Fields

From Account	Select the custody account that the instrument instruction shall be executed from
Instruction type	Populated automatically with 'Instrument internal transfer'
Instrument name/ISIN	Select the instrument that shall be used for the instruction by typing either the name of the instrument or the instruments ISIN.
Collateral holding	This field will be updated with the instrument holding for the selected custody account and instrument.
To Account	Select the custody account that the instrument instruction shall be executed to

## Fields

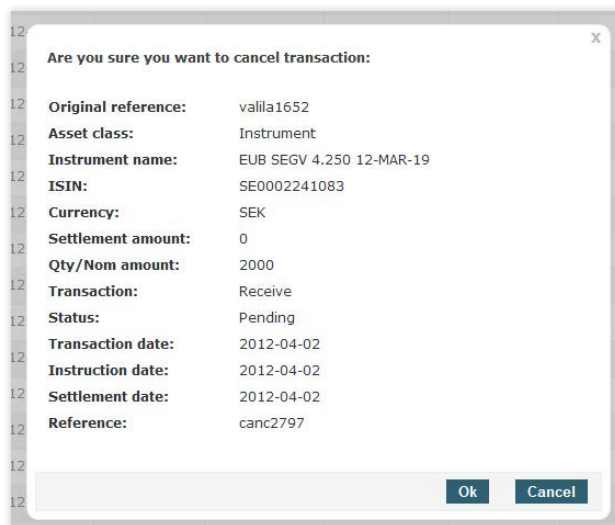
Qty/Nom amount	Select the amount/quantity for the instrument instruction. For a callback, it will not be possible to enter a larger amount/quantity than the current instrument holding.
Reference	The reference of the instrument instruction is auto-generated when the page reloads.
Instruction date	The instruction date (depending on the combination of instruction type and instrument).
Settlement date	The date when the instruction will be settled. Updated automatically (depending on the combination of instruction type and instrument). The instrument instruction will be settled in the CSD/ICSDs next settlement cycle if matched in CSD/ICSD.
Processing time	The time when the system will start to process the instrument instructions. If the instruction is to be processed immediately this field will display "Immediate". Processing time status updates automatically (depends on the combination of instruction type and instrument).
Cut-off time	NASDAQ OMX internal cut off time for each CSD/ICSD. Cut-off time status updates automatically (dependent on the combination of instruction type and instrument).
SSI	Information about the instrument SSI that will be used for the instrument instructions. SSI information updates automatically (dependent on the combination of account and instrument)

### 2.3.9. INSTRUMENT INTERNAL TRANSFER CONFIRMATION TAB

#### Options

Edit	Navigates back to the previous step.
Confirm	Confirm the instrument instruction and move to the transactions page unless the instruction resulted in a four-eye event where you will be transferred to the "Four-eye" page instead (see 2.6 Four-eye).
Confirm & New	Confirm the instrument instruction and move back to the instrument instruction page, continuing with the possibility to enter an additional Instrument instruction. If the instruction resulted in a four-eye event, an information dialog will be displayed on the page containing the four-eye identifier and a link to the "Four-eye" page.

### 2.3.10. CANCELLATION OF A TRANSACTION



Depending on the status of the lifecycle of an instruction it is possible for a user to cancel a cash- or instrument instruction in CMS Web. This is done by clicking the "Cancel" link in the transactions list (see 2.3.1 Transactions tab).

Click "Ok" to submit the cancellation request for the transaction or "Cancel" to abort the request and move back to the transaction list.

**Note:** When a cancellation is submitted, validations will be performed to accept or reject the cancellation. The cancellation will be rejected if for e.g. a cash callback has been sent to the bank or an instrument instruction is matched or settled in the CSD/ICSD. If a cancellation is rejected, the user will be notified through an error message.

## 2.4. Reference data

Select the "REFERENCE DATA" top level menu item. This will display a page with seven different tabs:

- Instruments – View instruments eligible as collateral for default fund and margin collateral (this tab is selected by default)
- Custody accounts – View the organizations custody accounts
- Calendar – View non processing/settlement days.
- Cash standing settlement instructions – View cash SSIs set up on the organization and individual custody account respectively.
- Instrument standing settlement instructions – View Instrument SSIs set up on the organization respectively individual custody account.
- Daily NDR – View Nasdaq deposit rates for default fund and CMS.
- Fees – View the organizations invoices.

**Tip:** When moving the mouse over the "REFERENCE DATA" option, a submenu containing direct links to the seven different tabs will be displayed.

### 2.4.1. INSTRUMENTS TAB

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION COLLATERAL TRANSACTIONS REFERENCE DATA ADMIN FOUREYE PASSWORD LOG OUT

Instruments Custody accounts Calendar Cash SSIs Instrument SSIs Daily NDR Fees

**Instruments**

Filter

Instrument name ISIN Currency Depository Instrument type

Eligible as

Collateral: --All-- Default fund: --All-- Search

Instrument name	ISIN	Currency	Depository	Instrument type	Col.	Def.	CA		
STATSHYPOTEK 170621 6%	SE0001384843	SEK	Euroclear Sweden	Bonds	Yes			i	...
SV. STATENS STATSOBLIGATI...	SE0005676608	SEK	Euroclear Sweden	Bonds	Yes	Yes		i	...
SVENSKA STATEN 12-10-08	SE0210047025	SEK	Euroclear Sweden	Bonds	Yes	Yes		i	...

Export options: [Excel](#)

The Instruments page displays information about instruments eligible as collateral for default fund and margin collateral. For more details on a specific instrument, click the information icon (i).

The context menu (...) can be used to:

- Use the instrument in an instrument instruction. The user will be forwarded to the instrument instruction page with the instrument already selected

Note: The “Search” button must be selected in order for a result to be displayed.

### Optional filters

Instrument name	Include instruments that have a long name, starting with the specified value.
ISIN	Include instruments with an ISIN-code that starts with the specified value.
Currency	Include instruments with the specified currency.
Depository	Include instruments belonging to a specific depository.
Instrument type	Include instruments with the specific instrument type.
Eligible as margin collateral	Include instruments eligible as margin collateral.
Eligible as default fund contribution	Include instruments eligible as default fund contribution.

Note: In order for the optional filters to take effect, the “Search” button must be selected.

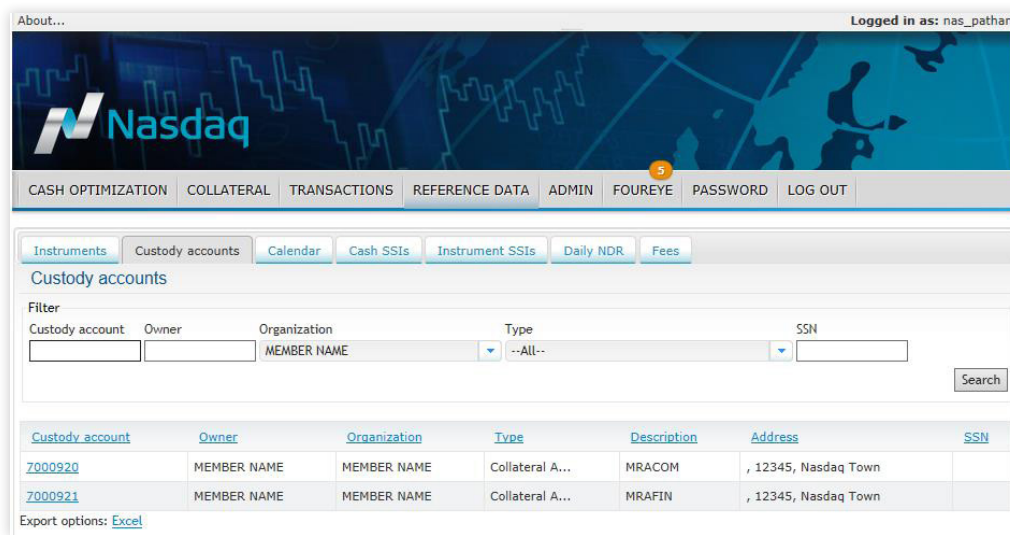
### Sort options

Sort order	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
------------	--

### Export options

Excel	Click the “Excel” link in order to export the displayed table to an excel document.
-------	---

## 2.4.2. CUSTODY ACCOUNTS TAB



The Custody Accounts page displays details about the custody accounts that the user has access to. By clicking the link in the “Custody Account” column, the user will be transferred to the Custody Account page (see 2.2.7 Custody account tab).

### Optional filters

Custody Account	Search for a specific account number.
Owner	Search by the name of the owner of the custody account name.
Organization	Search on custody accounts belonging to a specific organization.
Type	Search for custody accounts of a specific type.
SSN	Search by the custody account owners organization number.

Note: In order for the optional filters to take effect, the “Search” button must be selected.



## Sort options

### Sort order

By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.

## Export options

### Excel

Click the "Excel" link in order to export the displayed table to an excel document.

## 2.4.3. CALENDAR TAB

The screenshot shows the Nasdaq website's 'Calendar' tab. The interface includes a top navigation bar with 'CASH OPTIMIZATION', 'COLLATERAL', 'TRANSACTIONS', 'REFERENCE DATA', 'ADMIN', 'FOUREYE', 'PASSWORD', and 'LOG OUT'. Below this is a sub-navigation bar with 'Instruments', 'Custody accounts', 'Calendar', 'Cash SSIs', 'Instrument SSIs', 'Daily NDR', and 'Fees'. The 'Calendar' section has a 'Filter' area with a 'Country' dropdown set to '--All--' and a 'Hide weekends' checkbox. The main calendar view shows 'Non processing/settlement days' for 'Apr 27 — May 3 2015'. The calendar is displayed in a grid format with columns for 'Mon 4/27', 'Tue 4/28', 'Wed 4/29', 'Thu 4/30', 'Fri 5/1', 'Sat 5/2', and 'Sun 5/3'. The 'Fri 5/1' column contains a list of non-processing days: GERMANY - Labour Day, DENMARK - General Prayer Day, FINLAND - Labour Day, NORWAY - Labour Day, and SWEDEN - Labour Day. The 'Sat 5/2' and 'Sun 5/3' columns also list GERMANY, DENMARK, FINLAND, NORWAY, and SWEDEN.

Displays non processing/settlement days in a calendar view. It is possible to display specific days, weeks or month.

## Optional filters

### Country

Include non processing/settlement days for the selected country

### Hide weekends

If checked weekends will not be included in the calendar view.

**Note:** When a filter is changed the page will reload automatically

## 2.4.4. CASH STANDING SETTLEMENT INSTRUCTIONS TAB

About... Logged in as: men\_test

**Nasdaq**

CASH OPTIMIZATION | COLLATERAL | TRANSACTIONS | REFERENCE DATA | ADMIN | FOUREYE | PASSWORD | LOG OUT

Instruments | Custody accounts | Calendar | **Cash SSIs** | Instrument SSIs | Daily NDR | Fees

Cash standing settlement instructions - SSI

Filter

Custody account: 7000920 MEMBER NAME - Collateral Account House | Currency: --All-- | SSI type: --All-- | Search

<a href="#">Custody account</a>	<a href="#">Organization</a>	<a href="#">Currency</a>	<a href="#">Bank name</a>	<a href="#">SSI type</a>	<a href="#">Bank account type</a>	<a href="#">Bank account</a>	<a href="#">Ben. BIC</a>	<a href="#">Beneficiary name</a>	
7000920	MEMBER NAME	DKK	SEB Copenha...	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>
7000920	MEMBER NAME	EUR	SEB Helsink...	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>
7000920	MEMBER NAME	GBP	SEB Stockho...	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>
7000920	MEMBER NAME	NOK	SEB Oslo	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>
7000920	MEMBER NAME	SEK	SEB Stockho...	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>
7000920	MEMBER NAME	USD	SEB Stockho...	Collateral	BBAN	123456789		MEMBER NAME	<a href="#">i</a>

Export options: [Excel](#)

The Cash SSI page will display the registered cash standing settlement instructions for each currency. By default, the cash standing settlement instructions for all an organizations custody accounts will be displayed. For more details on a specific cash SSI, click the information icon ( [i](#) ).

### Optional filters

<b>Custody Account</b>	Include cash standing settlement instructions for the specified account.
<b>Currency</b>	Include cash standing settlement instructions for the specified currency.
<b>SSI type</b>	Include cash standing settlement instructions of the specified SSI type.

**Note:** In order for the optional filters to take effect, the “Search” button must be selected.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
-------------------	--

### Export options

<b>Excel</b>	Click the “Excel” link in order to export the displayed table to an excel document.
--------------	---

## 2.4.5. INSTRUMENT STANDING SETTLEMENT INSTRUCTIONS TAB


Instrument standing settlement instructions - SSI

Filter

Custody account: --All-- Depository: --All-- SSI type: --All--

Custody account	Organization	Country	Depository	SSI type	SSI instrument type
7000920	MEMBER NAME	SWEDEN	Euroclear Sweden	Incoming	Government fixed income
7000920	MEMBER NAME	SWEDEN	Euroclear Sweden	Collateral	Government fixed income

Export options: [Excel](#)

The Instrument SSI page will display registered instrument standing settlement instructions for each instrument type and depository. By default, the instrument standing settlement instructions for all the organizations custody accounts will be displayed. For more details on a specific Instrument SSI, click the information icon (  ).

### Optional filters

<b>Custody Account</b>	Include instrument standing settlement instructions for the specified custody account.
<b>Depository</b>	Include instrument standing settlement instructions for the specified depository.
<b>SSI type</b>	Include instrument standing settlement instructions for the specified SSI type.

**Note:** In order for the optional filters to take effect, the “Search” button must be selected.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
-------------------	--

### Export options

<b>Excel</b>	Click the “Excel” link in order to export the displayed table to an excel document.
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## 2.4.6. DAILY NDR TAB

About... Logged in as: men\_test

**Nasdaq**

CASH OPTIMIZATION | COLLATERAL | TRANSACTIONS | REFERENCE DATA | ADMIN | FOUREYE | PASSWORD | LOG OUT

Instruments | Custody accounts | Calendar | Cash SSIs | Instrument SSIs | **Daily NDR** | Fees

**Daily NDR**

Filter

Rate type: --All-- | Currency: --All-- | Date period: From 2015-03-04 To 2015-03-11 Search

Date	Rate type	Currency	Rate
2015-03-10	CMS	USD	-0,18
2015-03-10	CMS	SEK	-0,40
2015-03-10	CMS	NOK	0,75
2015-03-10	CMS	GBP	-0,04
2015-03-10	CMS	EUR	-0,36
2015-03-10	CMS	DKK	-0,45
2015-03-10	Default Fund	USD	0,07
2015-03-10	Default Fund	SEK	-0,15
2015-03-10	Default Fund	NOK	1,00
2015-03-10	Default Fund	GBP	0,21
2015-03-10	Default Fund	EUR	-0,11
2015-03-10	Default Fund	DKK	-0,20

Export options: [Excel](#)

The NDR is derived from applicable reference rates less a [spread](#)

NASDAQ OMX reserves the right to adjust the current spread, should there be significant changes in the investment returns or if future regulatory requirements restrict investment alternatives for NASDAQ OMX.

All cash holdings will earn interest from the bank day following the receipt of funds by NASDAQ OMX. Should the NDR be negative for any currency, NASDAQ OMX reserves the right to charge interest on any such cash balances.

View Nasdaq deposit rates for default fund and CMS, by default the rates for the last week is displayed .

### Optional filters

Rate type	Include rate types of type CMS, default fund or both.
Currency	Include rates for the specified currency
Date period	Include the rates for the given date interval

Note: In order for the optional filters to take effect, the “Search” button must be selected.

### Sort options

Sort order	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

Excel	Click the “Excel” link in order to export the displayed table to an excel document.
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## 2.4.7. FEES TAB

From	To	Status	Reference	Fee account	Amount	Currency	Invoice amount	Invoice currency	FX rate
2013-07-01	2013-07-31	NewInvoice	<a href="#">4216</a>	4515	128,53	EUR	958,83	DKK	7.459903

Fee sub type	Type	Value	Amount	Currency	Invoice amount	Invoice currency
+ Custody Account Fee House	Quantity	2	60,00	EUR	447,59	DKK
+ Custody Account Fee Client	Quantity	2	60,00	EUR	447,59	DKK
+ Safekeeping Fee - Securities.	Market Value	308 945,9	8,58	EUR	64,01	DKK

View Nasdaq invoices/fees for default fund and CMS, by default the invoices for the last year is displayed. Applicable fees and rates are presented on Nasdaq website.

**Tip:** By clicking the plus or minus sign the details for each row will be shown or hidden.

**Tip:** By hovering over the reference the accounts included in the invoice will be loaded and displayed.

### Optional filters

Fee date interval	Include invoices for the specified date interval
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**Note:** In order for the optional filters to take effect, the "Search" button must be selected.

## 2.5. Admin

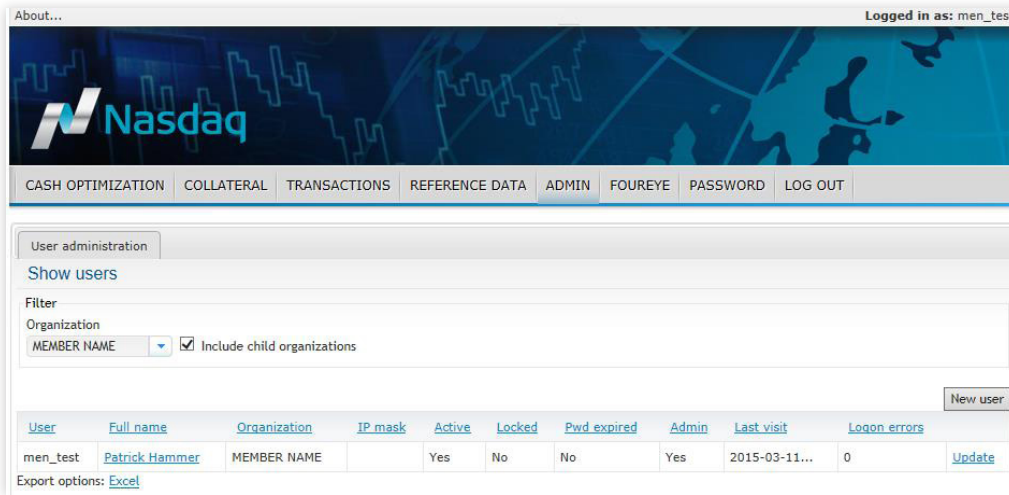
Select the “ADMIN” top level menu item. This will display a page with one tab.

- User administration – Displays users associated with the selected organization (this tab is shown by default).

A user is entitled to access the CMS web. Through the Administrator of the user’s organization a user is allowed access to data related to that organization.

**Note:** This menu item is only available for administrators.

### 2.5.1. USER ADMINISTRATION TAB



The User administration page displays the users that the administrator is allowed to update. The administrator also has the possibility to add a new user or to “deregister a user”.

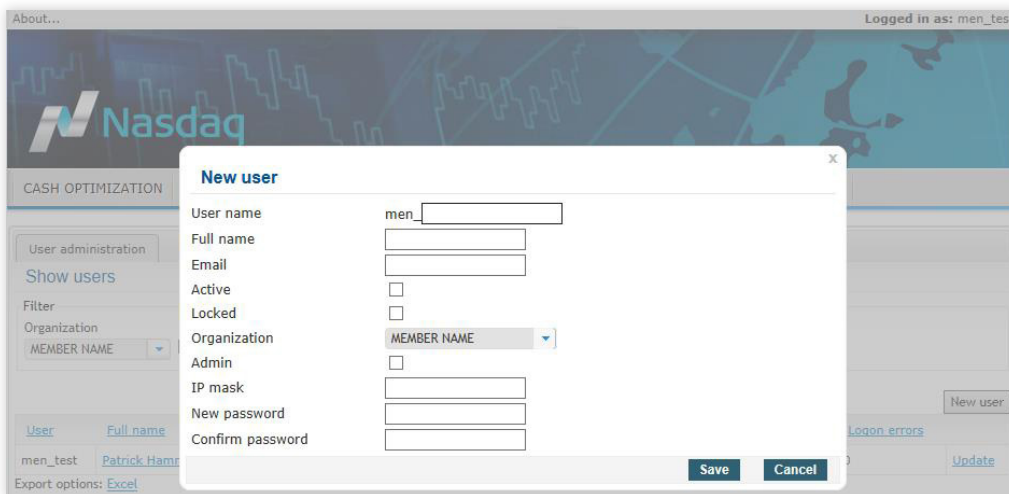
#### Optional filters

**Organization** Include users belonging to the specific organization.

**Include child organizations** Include users in related child organizations to the currently selected organization.

### 2.5.2. NEW USER

In order to add a new user, an administrator clicks the “New user” link on the “Users” page.



Supply the information for the new user.

The user name must apply to the following rules:

- Must be between 3 and 10 characters
- May only contain:
  - Letters: A-Z or a-z
  - Digits: 0-9
  - Underscore: \_
  - Dash: -

**Note:** If the organization that the user will be connected to has a username prefix configured this will be added to the username. The total length, including the prefix, must not exceed 10 characters.

The IP mask is used to lock access to a user account to specific IP addresses:

- Not active if left empty
- May contain a IPv4 address or a partial IP address (the filter will check that the IP address starts with the configured value
- May end with an optional wildcard (\*). If not supplied an implicit wildcard match will be made.
- Example: "10.20." or equivalent "10.20.\*" – will allow access from IP address 10.20.\*

The new password entered must apply to the following rules:

- Must be at least 8 characters and apply to the following rules
  - May only contain letters (A-Z or a-z) or digits (0-9)
  - Must contain at least one digit, one uppercase letter and one lowercase letter
  - May not contain the user name

## Options

<b>Save</b>	Save the new user and move back to the "Users" page.
<b>Cancel</b>	Move back to the "Users" page without saving any changes

### 2.5.3. UPDATE USER

In order to update the user details for a specific user, an administrator clicks the "Update" link on the "Users" page. From this view, it is also possible to delete a user.

The screenshot shows a web application interface with a modal dialog box titled "Update user". The background shows a "Users" page with a table of users, including "men\_test" and "Patrick Hammer". The dialog box contains the following fields and controls:

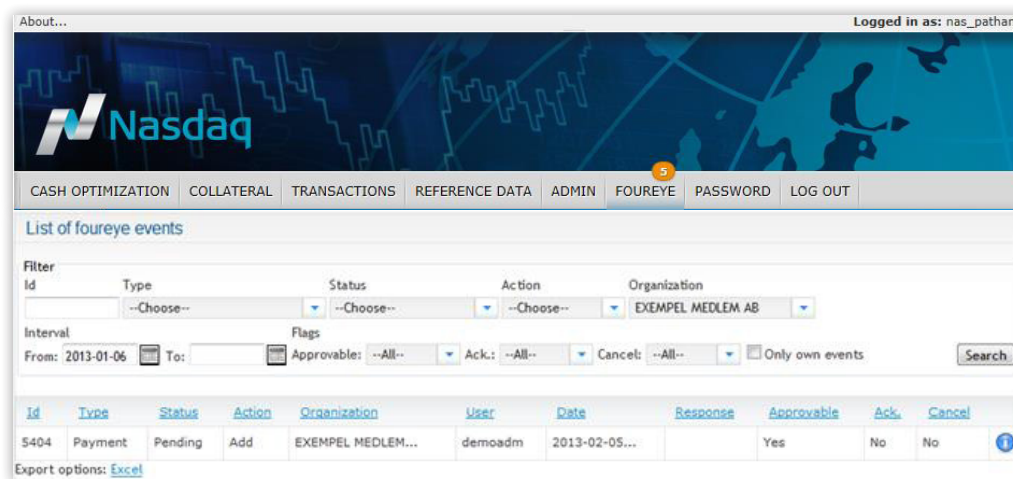
- User name: men\_test
- Full name: Patrick Hammer
- Email: patrick.hammer@nas
- Active:
- Locked:
- Organization: MEMBER NAME (dropdown menu)
- Admin:
- IP mask:
- New password:
- Confirm password:

At the bottom of the dialog box are three buttons: Save, Delete, and Cancel.

## Options

Save	Save the changes and move back to the "Users" page.
Delete	Delete the selected user. A confirmation dialogue will be displayed prior of deletion.
Cancel	Move back to the "Users" page without saving any changes.

## 2.6. Four-eye



Depending on configuration, instructions/commands from the web to the Custody System may require verification by a second person before being accepted by the Custody system. On the "Four-eye" page the user will be able to view active four-eye events, cancel events, acknowledge rejected events and approve or reject events.

### Optional filters

<b>Id</b>	Search for a specific four-eye identifier.
<b>Type</b>	Include events of a specific four-eye type.
<b>Status</b>	Include events of a specific four eye status.
<b>Action</b>	Include events of a specific four-eye action type.
<b>Organization</b>	Include all events belonging to the organization.
<b>Interval</b>	Include events created for a given range. By default events up to 30 days old are included.
<b>Flags</b>	Possible to include events based on three different flags: Approvable (possible to approve or reject), Ack. (possible to acknowledge), Cancel (possible to cancel).
<b>Only own events</b>	Show only events created by the currently logged in user.

**Note:** In order for the optional filters to take effect, the "Search" button must be selected.

### Sort options

<b>Sort order</b>	By clicking a column heading, it is possible to sort the retrieved information. By repeating the sorting it will switch between ascending and descending sort order.
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### Export options

<b>Excel</b>	Click the "Excel" link in order to export the displayed table to an excel document.
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For more details on a specific four-eye event, click the information icon (i). In the details view it is also possible to:

- Approve or reject an event. Depending on permissions, it will be possible to approve or reject four-eye events created by other users
- Acknowledge an event. If a user's own event has been cancelled the user shall acknowledge the rejection
- Cancel an event. Cancellation of an event is only possible if it is the users own event that has not yet been approved or rejected

About... Logged in as: demoadm2

### Foureye event

<b>Id:</b> 5404	<b>Organization:</b> EXEMPEL MEDLEM AB		
<b>Type:</b> Payment	<b>Status:</b> Pending		
<b>Action:</b> Add	<b>User:</b> demoadm	<b>Date:</b> 2013-02-05 10:33:48	
<b>Response:</b>	<b>User:</b>	<b>Date:</b>	
<b>Ack. by:</b>	<b>Ack. date:</b>		

**Cash payment type:** Cash callback

Updated	Label	Before	After
	Account number		7000001 / EXEMPEL MEDLEM AB
	Currency		EUR
	Transaction date		20130205
	Cash Amount		125000,00
	Reference		C130205103344571
	Ordering Account		N/A
	Debit Account number		N/A
	Credit Account number		N/A

[Approve](#) [Reject](#) [Close](#)

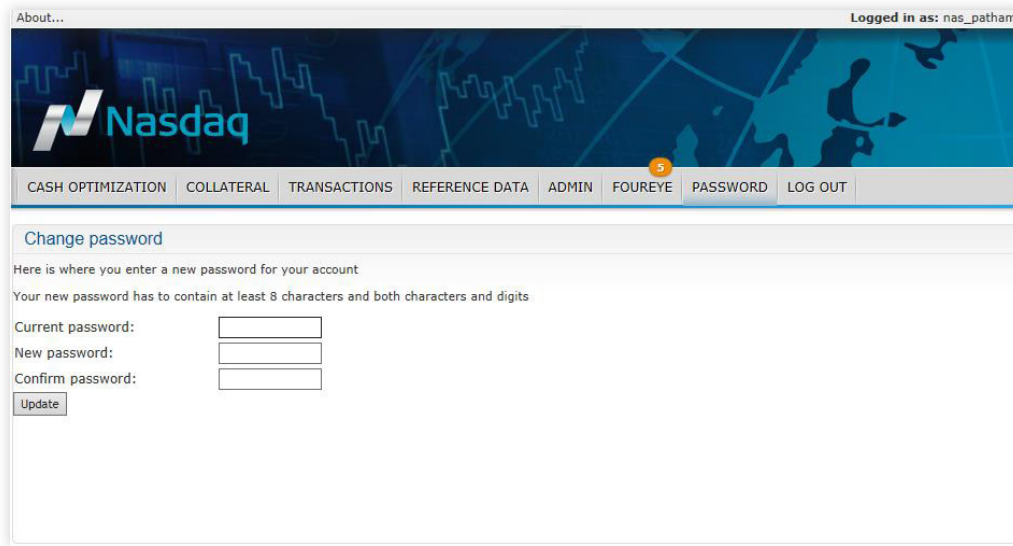
**Tip:** If there are four-eye events that need attention, a notification bubble with the number of events that require action will be visible in the menu bar.

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION | COLLATERAL | TRANSACTIONS | REFERENCE DATA | ADMIN | **FOUREYE** | PASSWORD | LOG OUT

## 2.7. Password



The screenshot shows a web browser window with the Nasdaq logo and a navigation menu. The 'PASSWORD' menu item is highlighted. The main content area is titled 'Change password' and contains the following text and form elements:

About... Logged in as: nas\_patham

**Nasdaq**

CASH OPTIMIZATION | COLLATERAL | TRANSACTIONS | REFERENCE DATA | ADMIN | FOUREYE | **PASSWORD** | LOG OUT

**Change password**

Here is where you enter a new password for your account

Your new password has to contain at least 8 characters and both characters and digits

Current password:

New password:

Confirm password:

Select the "PASSWORD" top level menu item.

This page allows a user to change password. A new password will be valid for 30 days. After that period the user will be requested to change his or her password.

**Note: Omitting to change the password when requested will result in a locked account.**

The new password entered must apply to the following rules:

- Must be at least 8 characters
- May only contain letters (A-Z or a-z) or digits (0-9)
- Must contain at least one digit, one uppercase letter and one lowercase letter
- May not contain the user name
- May not be reused for a configurable number of times

**Note: This page might also be displayed when the user logs on to the application if a change of password has been forced, i.e. if the password has expired or has been changed by the user's administrator.**