CMS Web User's Guide

Nasdaq Nordic

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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.

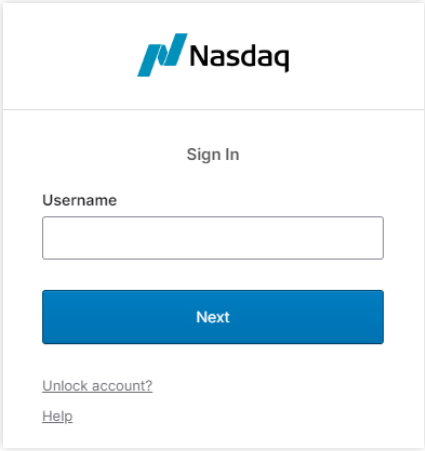
CMS Web can be accessed from a standard web browser (with JavaScript enabled). For user administration and access details, see: https://www.nasdaq.com/solutions/nasdaq-clearing-technology-connectivity-for-clearing.

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

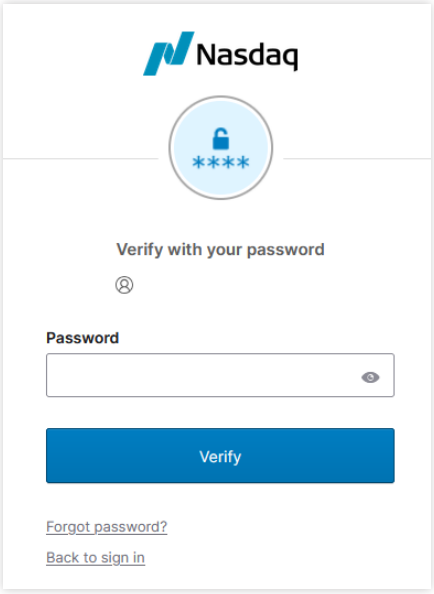
- Google Chrome, version 23 or later
- Internet Explorer, version 9 or later
- Firefox, version 16 or later

To access CMS web you need to:

1. Enter Username and press Next:.

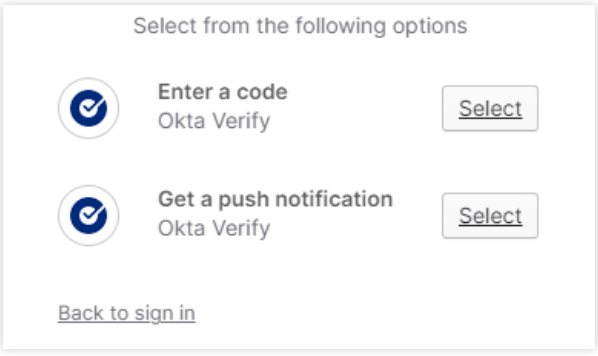


2. Enter Password and press Verify:.



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

4. Select prefered 2fA method for Okta Verify:



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:

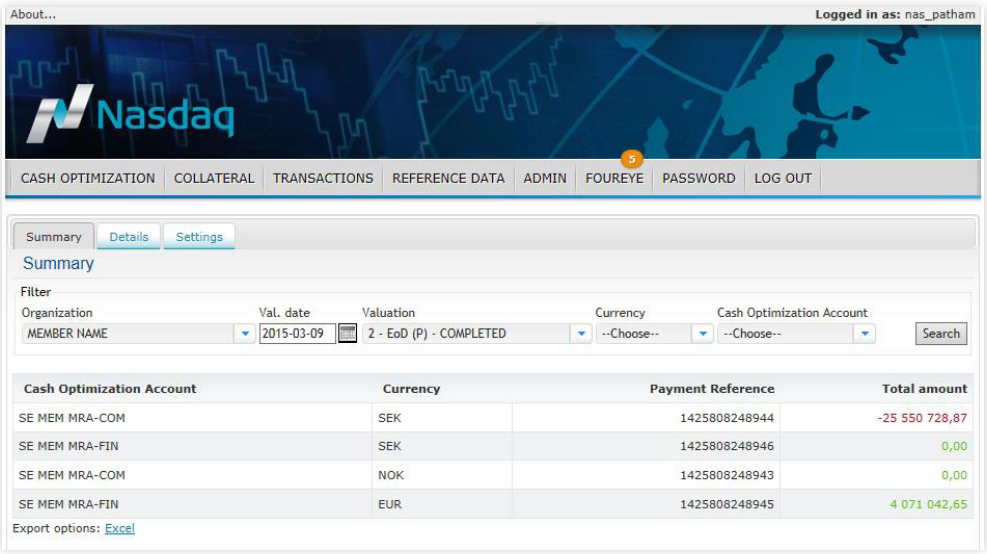
- Summary – Overview of cash optimization status for all margin accounts and currencies for the selected organization (this tab is selected by default)
- Details – Overview of cash optimization information in more detail
- Settings – This is a page where users can change cash optimization settings (currency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

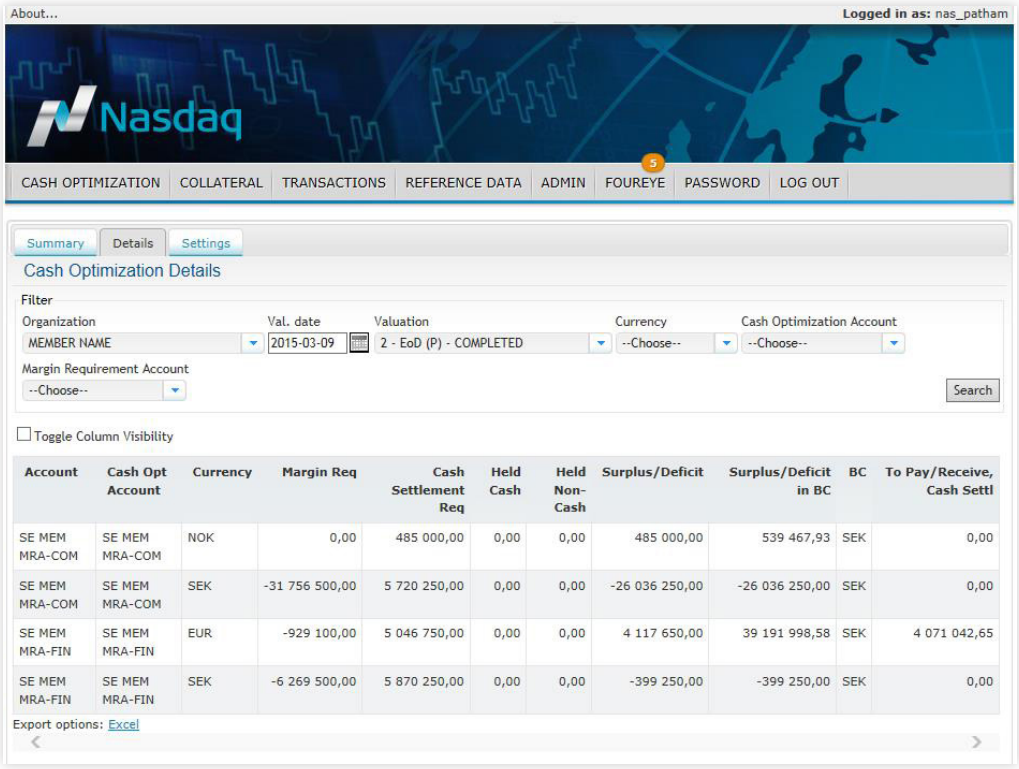


Search options	
Organization	Select an organization to display cash optimization for. The results view will be automatically updated when a new organization is selected.
Valuation date	The valuation date of the cash optimization. When selected the Valuation drop down menu will display the evaluation runs for the selected date. The menu will by default display the current date.
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.
Currency	Display cash optimization for a specified currency.
Cash Optimization Account	Select a specific margin account to show cash optimization for.

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.

2.1.2. DETAILS TAB



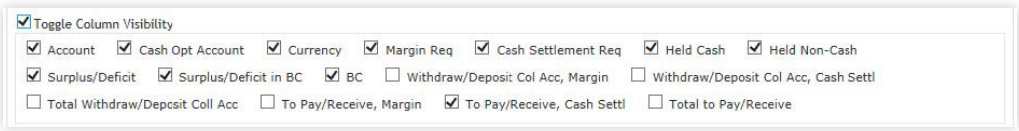
The Details page displays detailed cash optimization information per currency for all margin accounts belonging to the user's organization. Since the page contains many columns it's possible to toggle the visibility of all columns by ticking the "Toggle Column Visibility" box.

Search options	
Organization	Select an organization to display cash optimization for. The results view will be automatically updated when a new organization is selected.
Valuation date	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.
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.
Currency	Display cash optimization for a specified currency.
Cash Optimization Account	Select a specific margin account to show cash optimization for.

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.

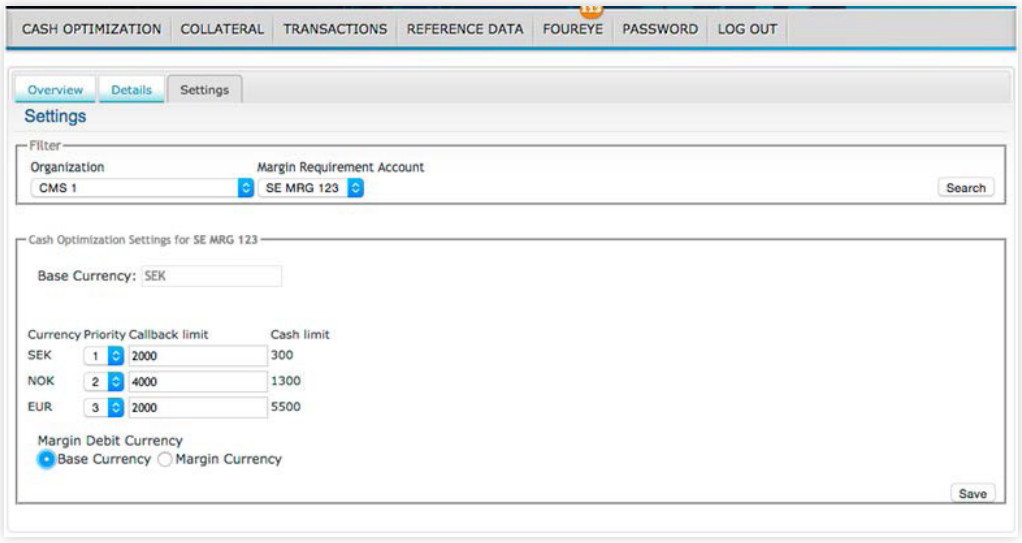
Export options	
Excel	Click the "Excel" link in order to export the displayed table to an excel document.

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

2.2. Collateral

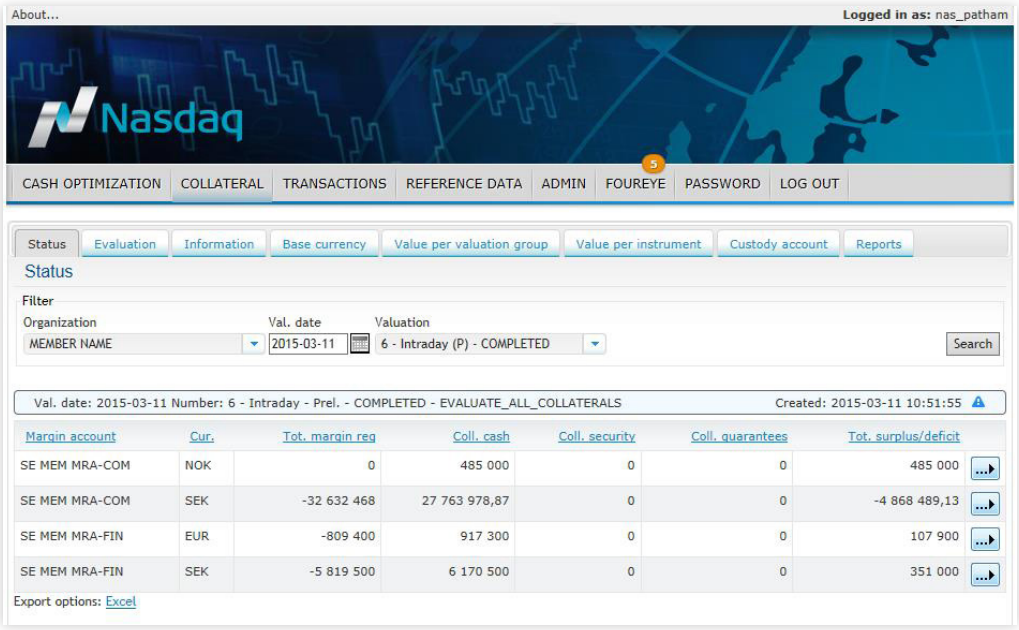
Select the “COLLATERAL” top level menu item. This will display a page with eight different tabs:

- 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



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:

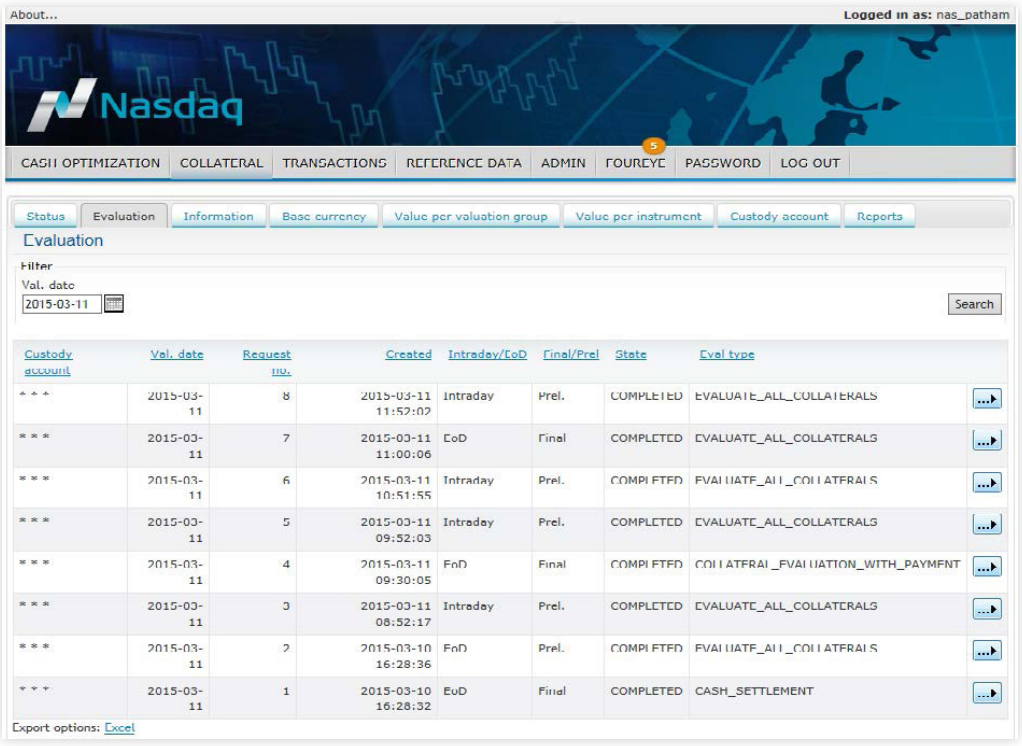
- Information – Collateral status per margin account
- Base currency – Collateral status in base currency
- Value per valuation group – Collateral value per valuation group
- Value per instrument – Collateral value per instrument holding
- Custody account – Cash and Instrument collateral on custody account

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.

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

2.2.2. EVALUATION TAB



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:

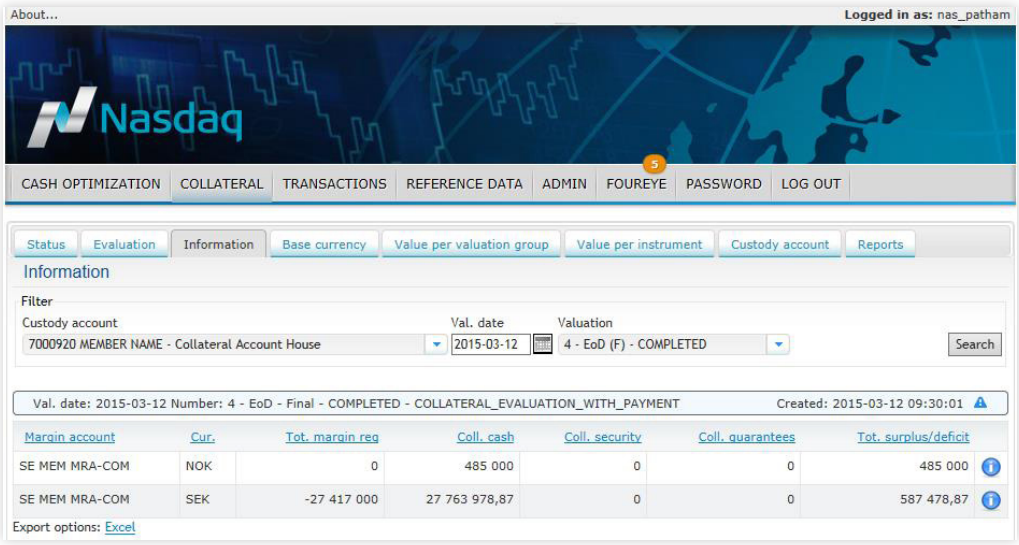
- Status – Overview of collateral status for all margin accounts
- Information – Collateral status per margin account
- Base currency – Collateral status in base currency
- Value per valuation group – Collateral value per valuation group
- Value per instrument – Collateral value per instrument

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

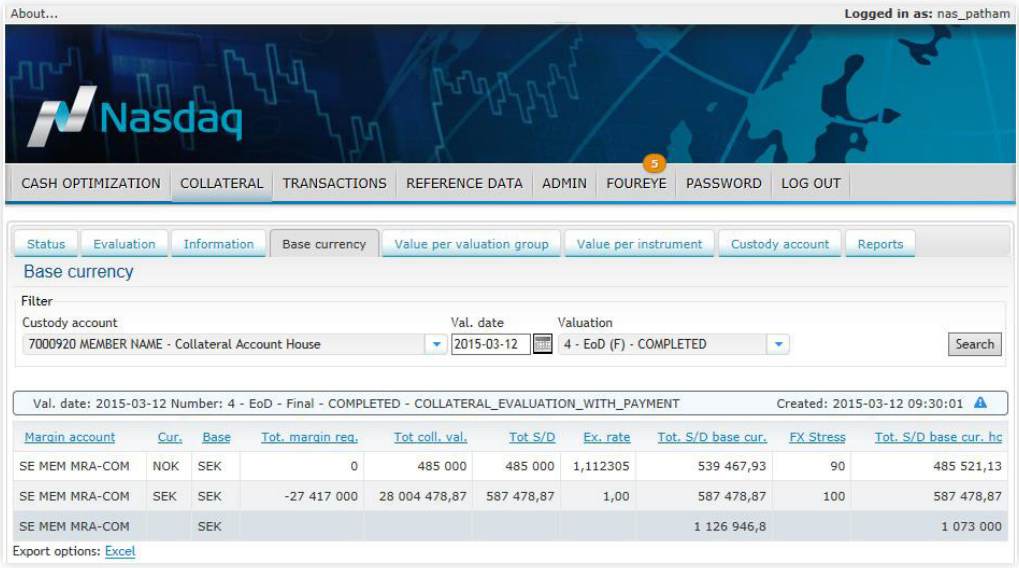
Search options	
Account	Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.
Valuation date	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected 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.

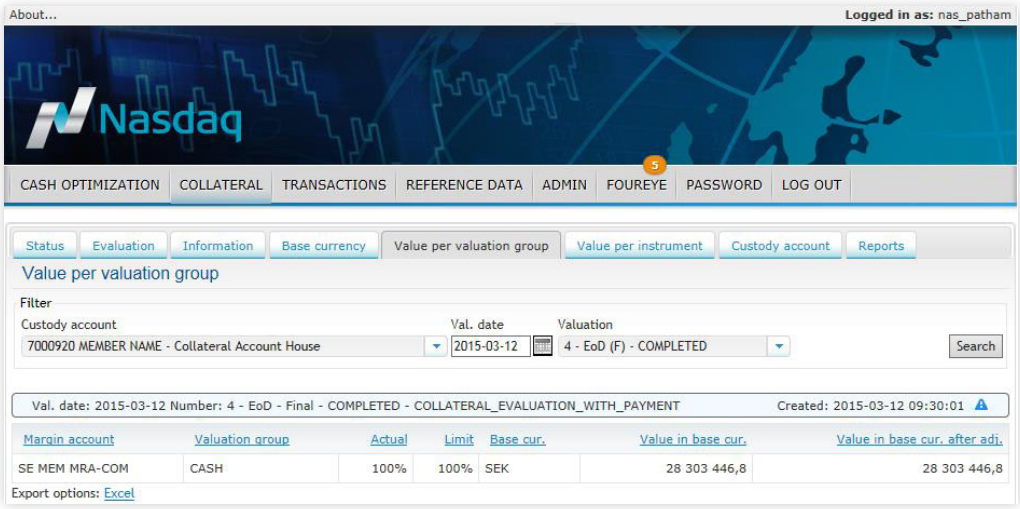


Search options	
Account	Select a margin account from the account drop down menu. The result view will be automatically updated with the account selected.
Valuation date	The valuation date of the collateral status. When selected the Valuation drop down menu will display the evaluation runs for the selected 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.

2.2.5. VALUE PER VALUATION GROUP TAB



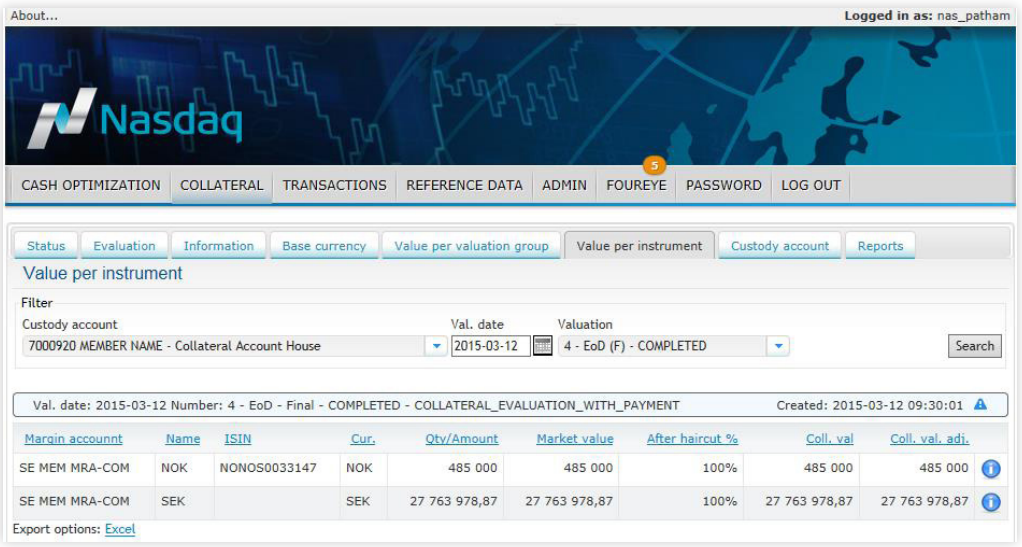
The Value per valuation group page displays collateral value and margin requirement information per margin account grouped by valuation group. Limits such as Haircut and Concentration limit may be set up so that less than 100% of posted collateral in a group may be used to cover margins. This page shows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

Search options	
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.

2.2.6. VALUE PER INSTRUMENT TAB



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

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.

2.2.7. CUSTODY ACCOUNT TAB

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.

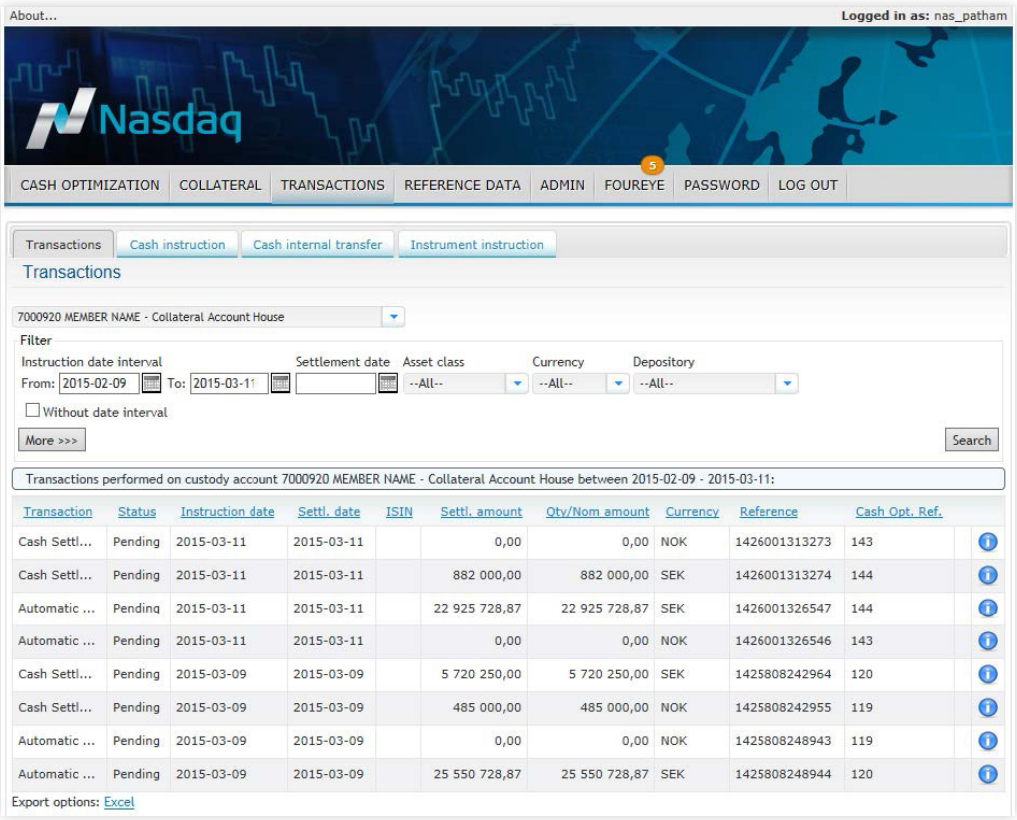
2.3. Transactions

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



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

Optional filters	
Instruction date interval	The view will include transactions registered between from-and-to dates.
Settlement date	Include transactions with the specified settlement date.
Asset class	Include transactions of a specific asset class, i.e. cash or instrument.
Currency	Include transactions of a specific currency.
Depository	Include transactions that relate to a specific CSD/ICSD.
Without date interval	Search for all transactions without the transaction date taken into account.
Transaction	Included transaction of the specified transaction type.
Status	Include transactions with a specific status.
ISIN	Include transactions of a specific ISIN or with an ISIN-code that starts with the specified value.
Reference	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	
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.

2.3.2. CASH INSTRUCTION TAB

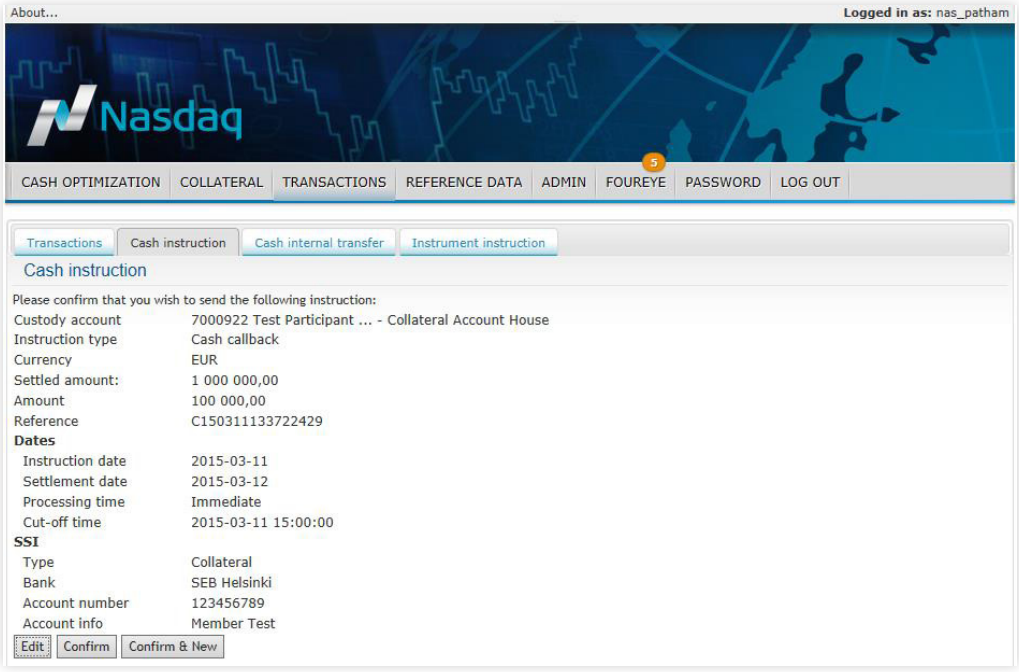
The Cash instruction tab is used to request withdrawal of excess cash from a custody account. If the cash callback is approved, the transfer of the cash callback amount will be made to the bank account according to the cash SSI set up on the selected custody account. The approved cash callback will be 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	
Custody Account	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.
Instruction type	Cash callback
Currency	Select the currency of the cash callback. Only currencies where the account has a positive cash balance will be displayed.
Collateral balance	This field will be updated with the collateral balance for the selected currency.
Amount	Select the amount for the cash callback. It is not be possible to enter a larger value than current positive cash balance.
Reference	The reference of the cash callback is auto-generated when the page reloads.
Instruction date	Always the current date.
Settlement date	The date when the instruction will be settled. Automatically updated (depending on the combination of account and currency).
Processing time	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).
Cut-off time	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).
SSI	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).

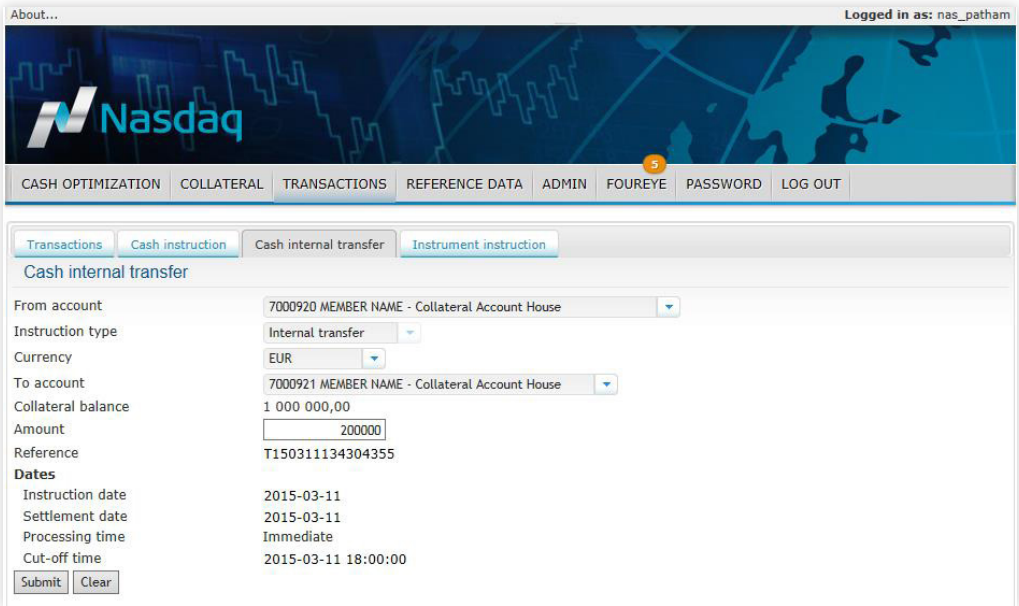
Note: It will not be possible to request a cash callback if the cut-off time for the current day has passed.

2.3.3. CASH INSTRUCTION CONFIRMATION TAB



Options	
Edit	Navigates back to the previous step.
Confirm	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).
Confirm & New	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



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	
From Account	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.
Instruction type	Internal transfer (not possible to change)
Currency	Select the currency of the cash transfer. Only currencies where the account has a positive cash balance will be displayed.
To Account	Select the custody account that the cash should be moved to. Only valid accounts will be displayed.
Collateral balance	This field will be updated with the collateral balance for the selected currency.
Amount	Select the amount for the cash transfer. It is not be possible to enter a larger value than current positive cash balance.
Reference	The reference of the cash callback is auto-generated when the page reloads.
Instruction date	Always the current date.
Settlement date	The date when the instruction will be settled. Automatically updated (depending on the combination of account and currency).
Processing time	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).
Cut-off time	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	
Edit	Navigates back to the previous step.
Confirm	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).
Confirm & New	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 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	
Custody Account	Select the custody account that the instrument instruction shall be executed on.
Instruction type	Select if the instruction should be either an instrument posting or an instrument callback.
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.
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.

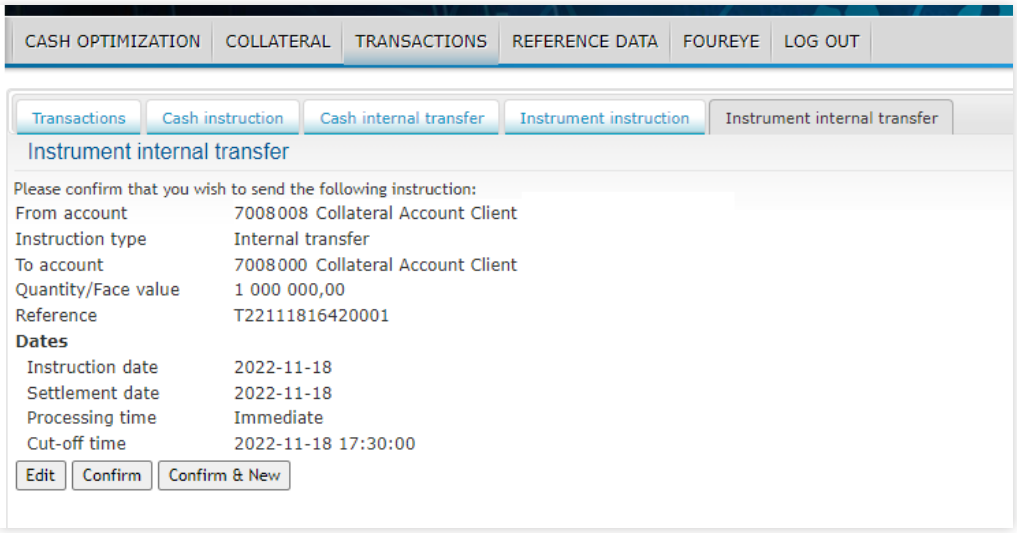
Fields	
Processing time	The time when the system will start to process the instrument instructions. If the instruction is to be processed immediately this field will display “Immediate”. Processing time status updates automatically (depends on the combination of instruction type and instrument).
Cut-off 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.

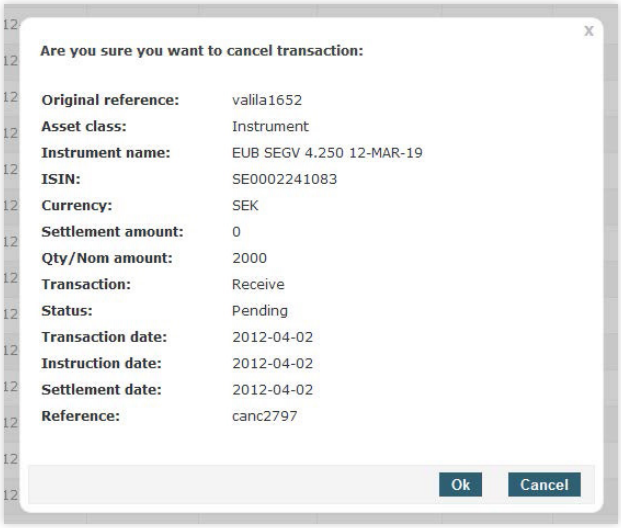
Fields	
From Account	Select the custody account that the instrument instruction shall be executed from
Instruction type	Populated automatically with ‘Instrument internal transfer’
Instrument name/ISIN	Select the instrument that shall be used for the instruction by typing either the name of the instrument 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.

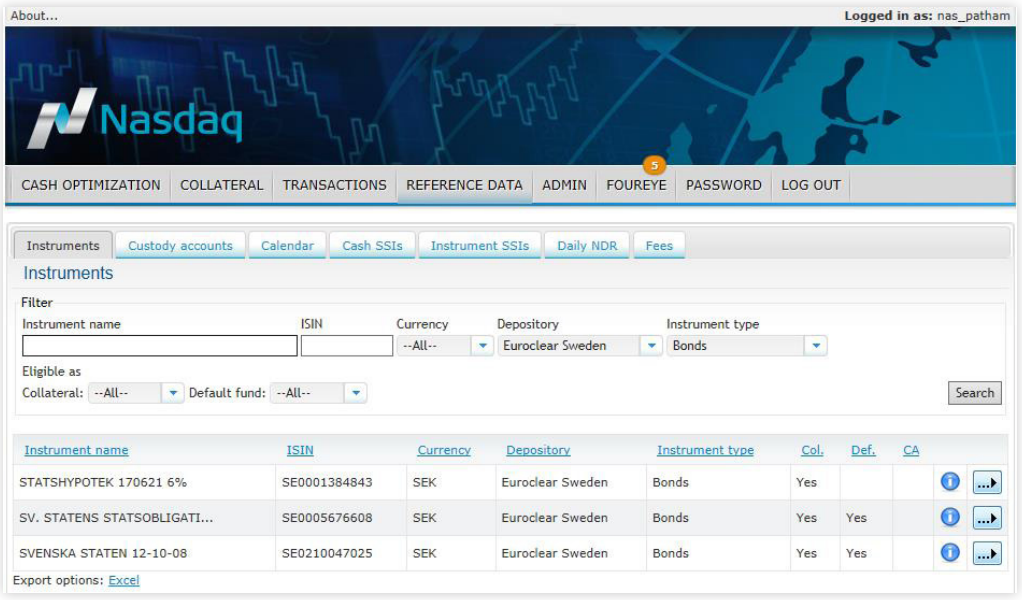
2.4. Reference data

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



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.

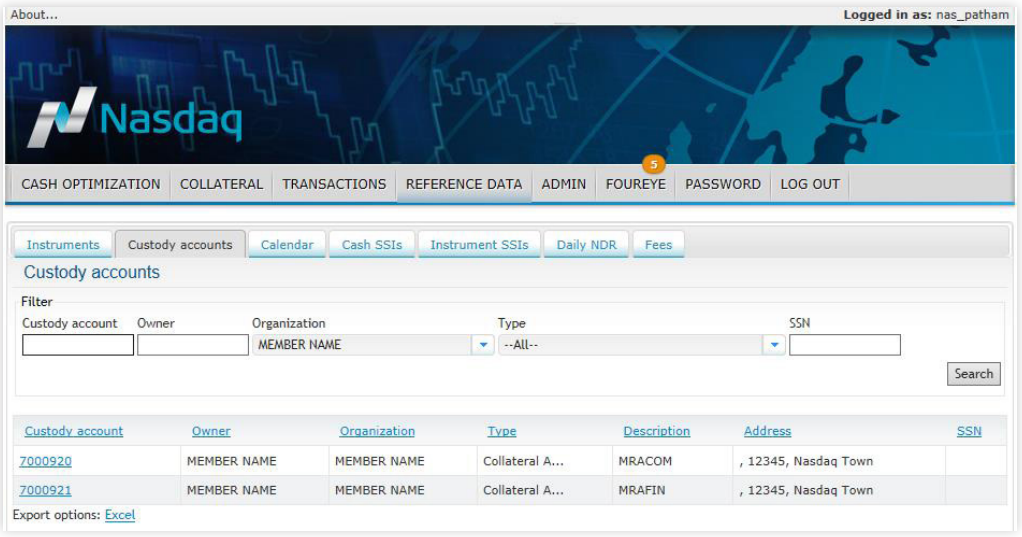
Optional filters	
Instrument name	Include instruments that have a long name, starting with the specified value.
ISIN	Include instruments with an ISIN-code that starts with the specified value.
Currency	Include instruments with the specified currency.
Depository	Include instruments belonging to a specific 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).

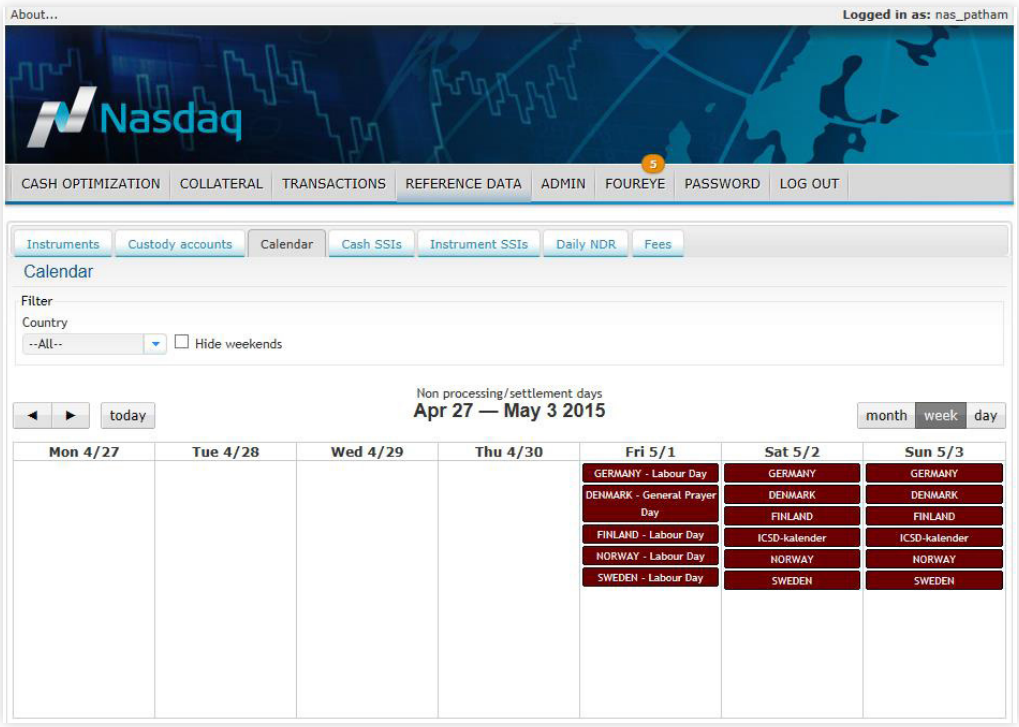
Optional filters	
Custody Account	Search for a specific account number.
Owner	Search by the name of the owner of the custody account name.
Organization	Search on custody accounts belonging to a specific organization.
Type	Search for custody accounts of a specific type.
SSN	Search by the custody account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

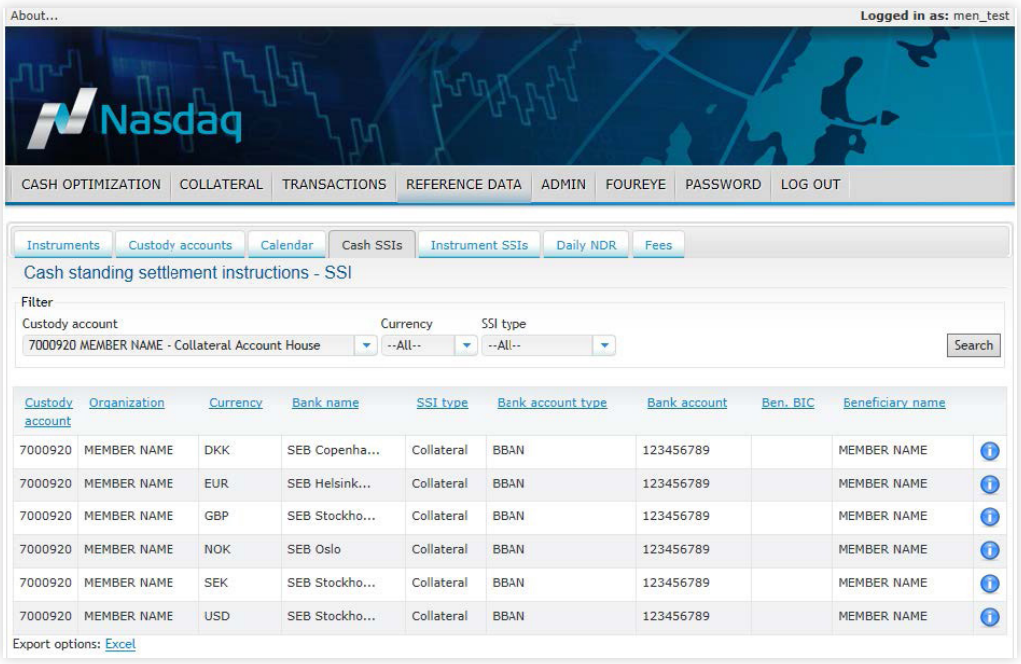


Displays non processing/settlement days in a calendar view. It is possible to display specific days, weeks or month.

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



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 ( ).

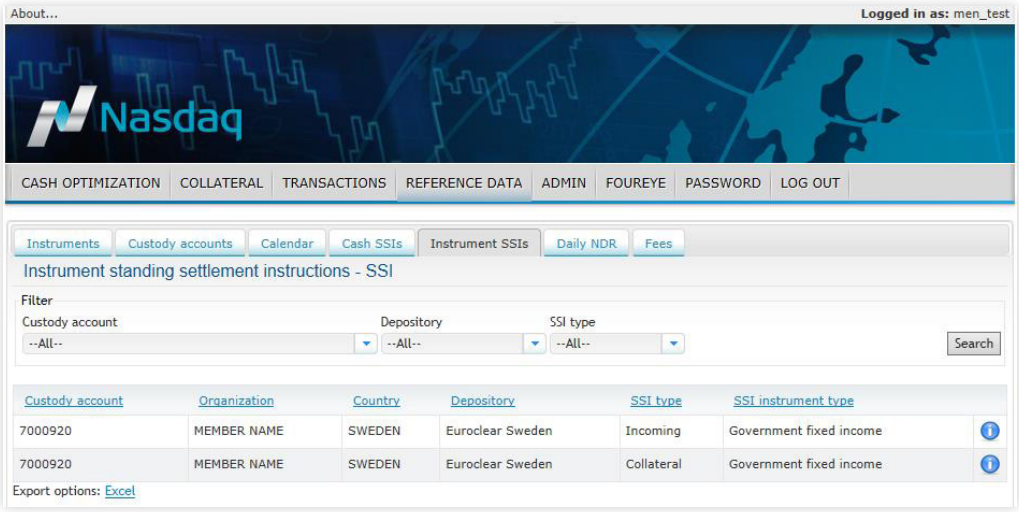
Optional filters	
Custody Account	Include cash standing settlement instructions for the specified account.
Currency	Include cash standing settlement instructions for the specified currency.
SSI type	Include cash standing settlement instructions of the specified SSI type.

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

Sort options	
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.

2.4.5. INSTRUMENT STANDING SETTLEMENT INSTRUCTIONS TAB



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 ( ).

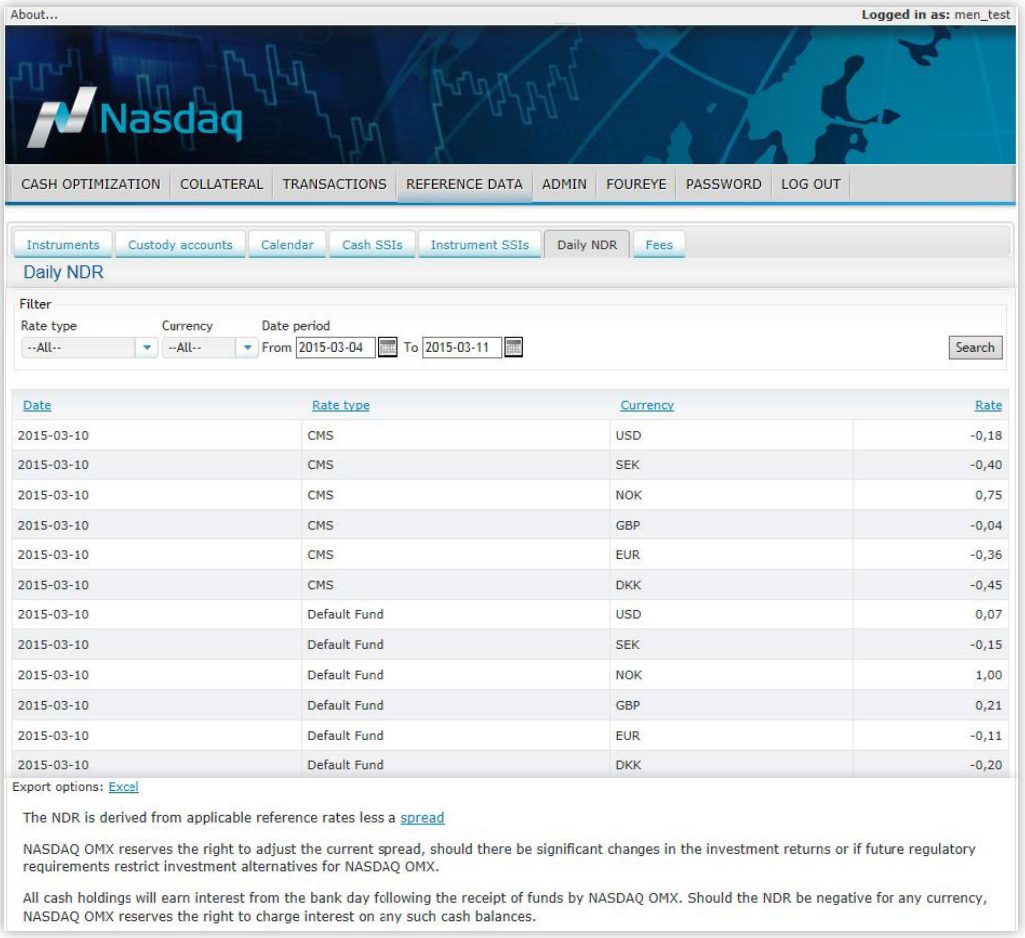
Optional filters	
Custody Account	Include instrument standing settlement instructions for the specified custody account.
Depository	Include instrument standing settlement instructions for the specified depository.
SSI type	Include instrument standing settlement instructions for the specified SSI type.

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

Sort options	
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.

2.4.6. DAILY NDR TAB



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

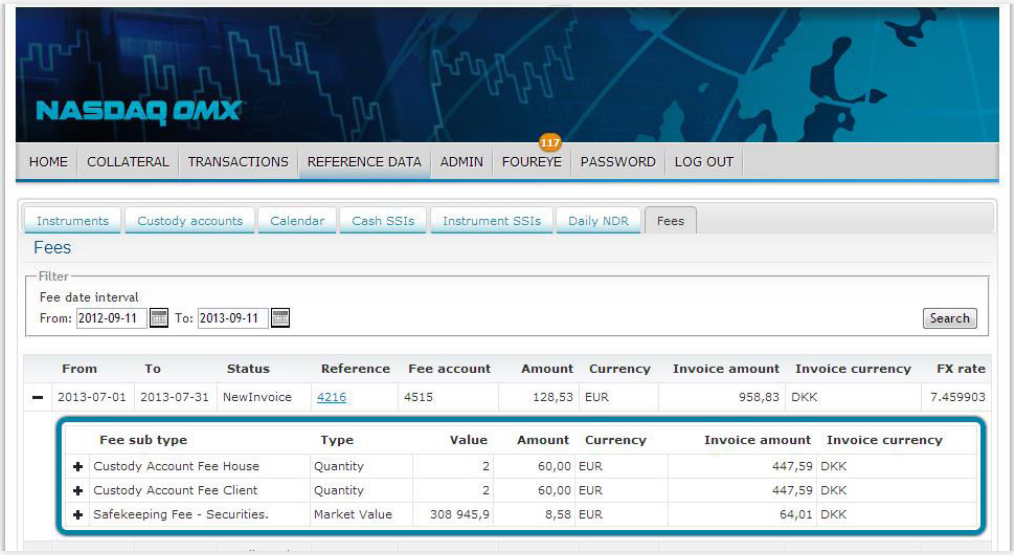
Optional filters	
Rate type	Include rate types of type CMS, default fund or both.
Currency	Include rates for the specified currency
Date period	Include the rates for the given date interval

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.

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

2.4.7. FEES TAB



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

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

2.5. Admin

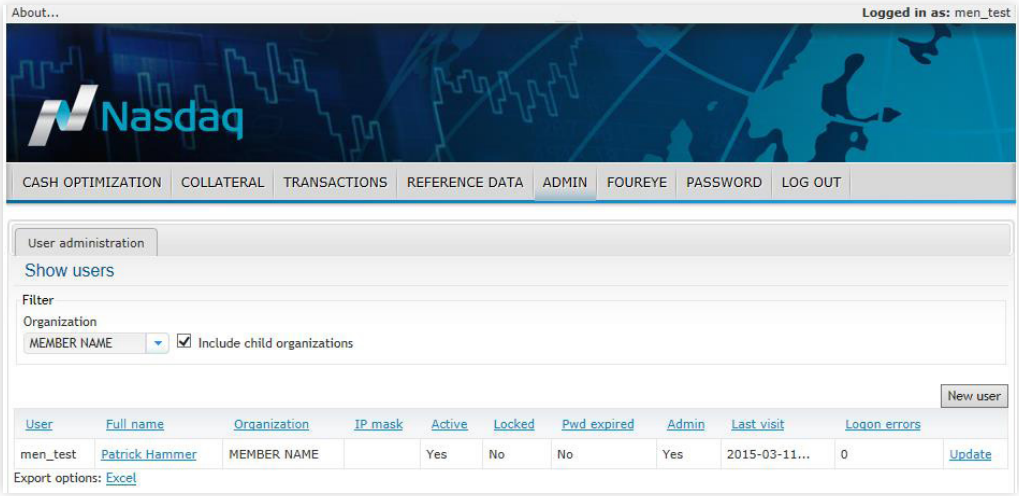
Select the "ADMIN" top level menu item. This will display a page with one tab.

- 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

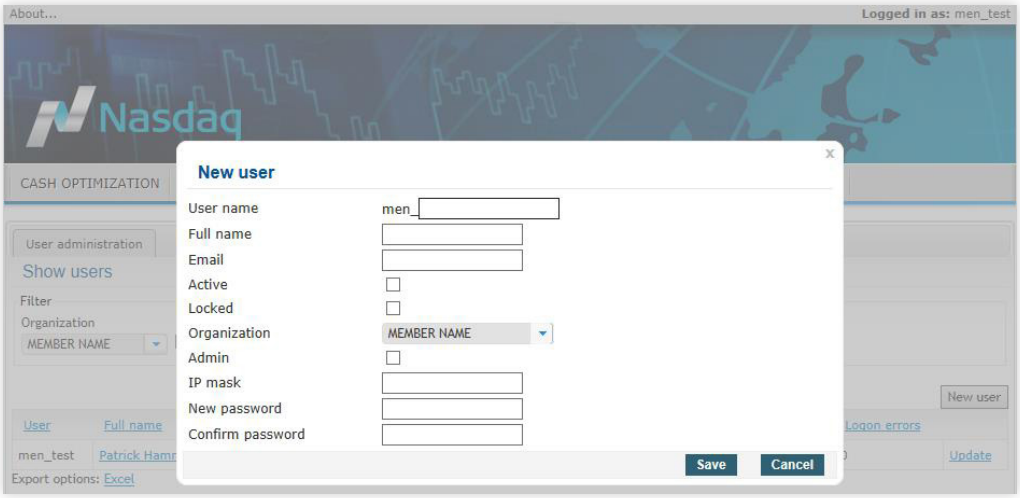


The User administration page displays the users that the administrator is allowed to update. The administrator also has the possibility to add a new user or to "deregister a user".

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.*.*

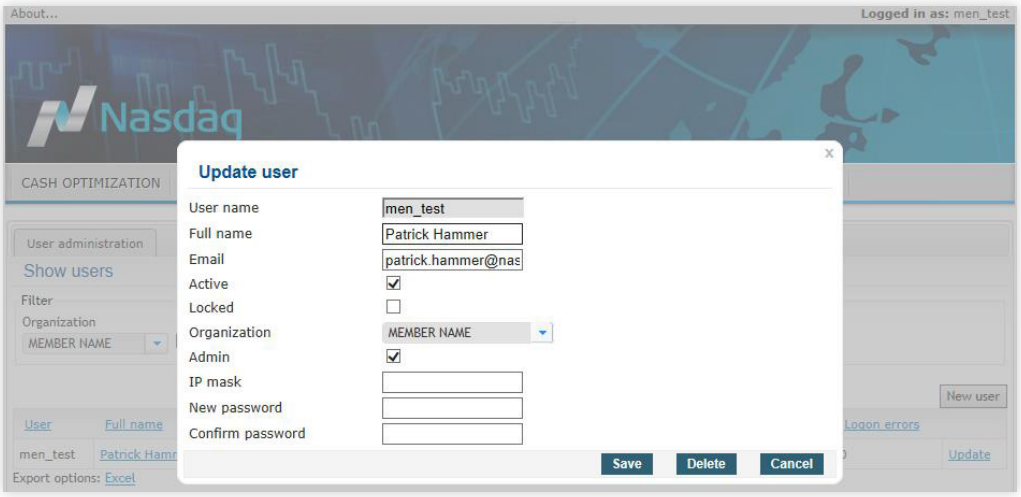
The new password entered must apply to the following rules:

- 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	
Save	Save the new user and move back to the "Users" page.
Cancel	Move back to the "Users" page without saving any changes

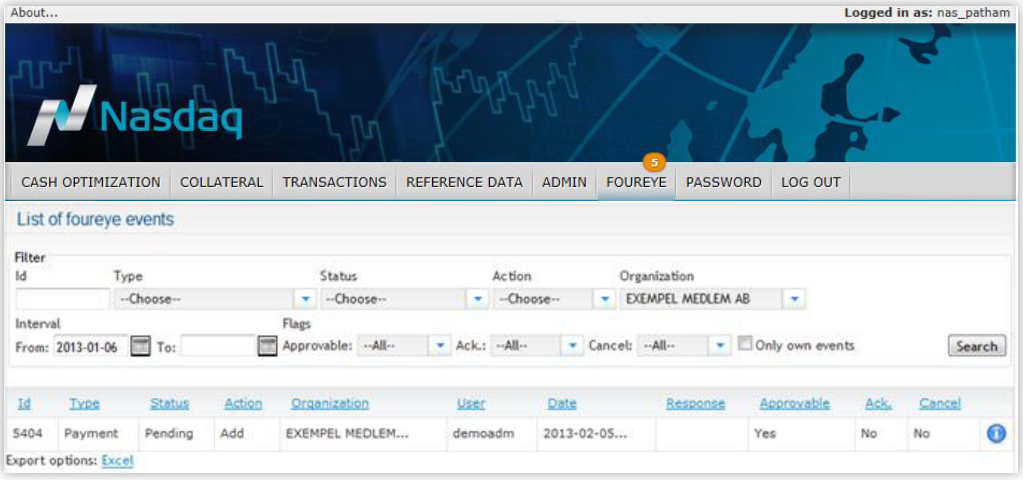
2.5.3. UPDATE USER

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.



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

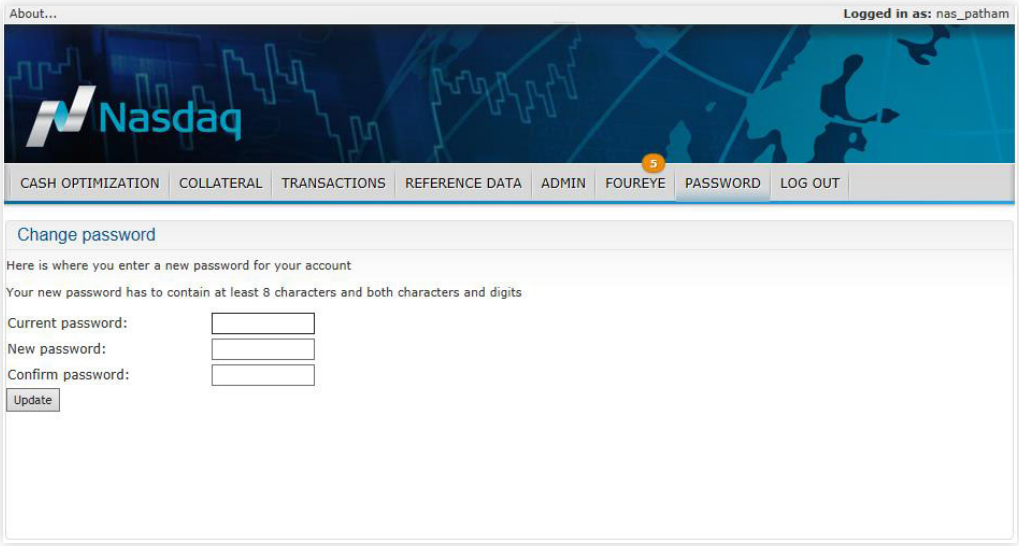
Export options	
Excel	Click the “Excel” link in order to export the displayed table to an excel document.

For more details on a specific four-eye event, click the information icon ( ). 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

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.

2.7. 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.

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