



MIG21 Web

Version 7.1

created 08.07.2010

User's Guide



© 2010 Princeton Financial® Systems. All rights reserved.

The software contains proprietary information of Princeton Financial Systems GmbH; it is provided under a license agreement containing restrictions on use and disclosure and is also protected by copyright law. In the absence of mandatory statutory provisions to the contrary, clients shall not modify, reverse-engineer or decompile the software or its documentation, nor shall the client remove any parts thereof.

The information and intellectual property contained herein is confidential between Princeton Financial Systems GmbH and the client and remains the exclusive property of Princeton Financial Systems GmbH. Due to continued product development the information contained herein may change without notice. Princeton Financial Systems GmbH does not warrant that this document is error-free. If you find any errors in this documentation, please report them to us in writing.

No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without the prior written permission of Princeton Financial Systems GmbH.

Other product names mentioned are used for identification purposes only and may be trademarks belonging to the respective companies.

Princeton Financial Systems GmbH

Mainzer Landstraße 199
60326 Frankfurt am Main
Germany

Tel: +49 (0) 69 219 366 600
Fax: +49 (0) 69 219 366 650
mig21-support@pfs.com
PFS Homepage (<http://www.pfs.com>)





Content

| | | |
|-----------|---|-----------|
| 1 | Using This Guide | 1 |
| 1.1 | Typographical Conventions..... | 1 |
| 1.2 | Your Feedback, please..... | 1 |
| 2 | Introduction | 2 |
| 3 | Basic Elements | 3 |
| 3.1 | Menu Structure..... | 3 |
| 3.2 | Filtering and Sorting..... | 5 |
| 3.3 | Scrolling in Lists..... | 7 |
| 3.4 | User Profiles..... | 7 |
| 3.5 | Print page..... | 8 |
| 4 | Login | 9 |
| 4.1 | Change password..... | 10 |
| 5 | Homepage | 12 |
| 6 | Calendar | 14 |
| 7 | Results Overview | 16 |
| 7.1 | Results View..... | 18 |
| 7.1.1 | Detailed Results View - Life cycle..... | 19 |
| 7.2 | Fund Information Page..... | 24 |
| 7.3 | Rule Bindings..... | 25 |
| 7.4 | Holdings View..... | 26 |
| 7.4.1 | Holdings Details..... | 28 |
| 8 | Download Reports | 29 |
| 8.1 | Ad-hoc Reports..... | 30 |
| 9 | Export of the pages | 32 |
| 10 | Presets | 33 |
| 11 | Glossary | 34 |
| 12 | Navigation | 38 |
| 13 | Change history | 39 |







1 Using This Guide

This section helps you get the most out of this Guide.

1.1 Typographical Conventions

Before you start using this guide, it is important to understand the terms and typographical conventions used in the documentation.

The following formats define particular information.

| Formatting convention | Meaning |
|-----------------------|--|
| ➤ | Step-by-step procedures. You can follow these instructions to complete a specific task. |
| Result | Results of examples. Highlighting of important expressions. |
| CAPITAL LETTERS | Names of keys on the keyboard. for example, SHIFT, CTRL, or ALT. |
| KEY+KEY | Key combinations for which the user must press and hold down one key and then press another, for example, CTRL+P, or ALT+F4. |
| Code | Definitons or examples |

1.2 Your Feedback, please

We appreciate any feedback which may help to enhance this manual.

Contact

Princeton Financial Systems GmbH

Mainzer Landstrasse 199
60326 Frankfurt am Main
Germany

Tel: +49 (0) 69 219 366 600

Fax: +49 (0) 69 219 366 650

mig21-support@aquin.com

Princeton Financial Systems GmbH Homepage (<http://www.pfs.aquin.com>)





2 Introduction

MIG21 Web enhances existing MIG21 modules by providing the user with the ability to monitor results of the Ex-Post investment limit checks and add comments to those results, if necessary, all within the comfort of a standard web browser.

All funds are presented in an intuitive, easy-to-read table which allows the user to navigate quickly and easily through different levels of information for each individual fund.

A simple mouse click guides the user from an overview page containing all funds, to fund specific data such as

- fund information
 - date of the last Ex-Post check
 - number of rules checked
 - display of the fund attributes

as well as

- individual rule results (breach, warning, error or information)

Starting with the results overview page, the user can call up all rule result details, the life cycle of a breach and previous breaches. Comments (memos) can also be written and saved with the results, assuming the appropriate user rights have been assigned.

Both the rules assigned to the checking unit (fund) and fund holdings can be viewed on separate pages.

The results can be shown and calculated using the Overview ON or Overview OFF mode, familiar from MIG21 Admin. The mode is set for MIG21 Web by the administrator.

- Overview ON: main results and sub-results are available in MIG21 Web.
- Overview OFF: only sub-results are available in MIG21 Web.

A more detailed description of MIG21 Web and the navigation possibilities within the interface is contained in the next chapter.

Note: In MIG21 Web only NAV date (Positiondate field from the table Datatransfer) is shown.





3 Basic Elements


This section describes the menu structure, filtering, scrolling through lists and user profiles.

Please note: The manual explains the general behaviour. The actual, customized design of the web application can differ from the screenshots depicted due to adaptations relating to Corporate Identity. Similarly, some functions may not be available due to security policies, and columns can differ in number or name.

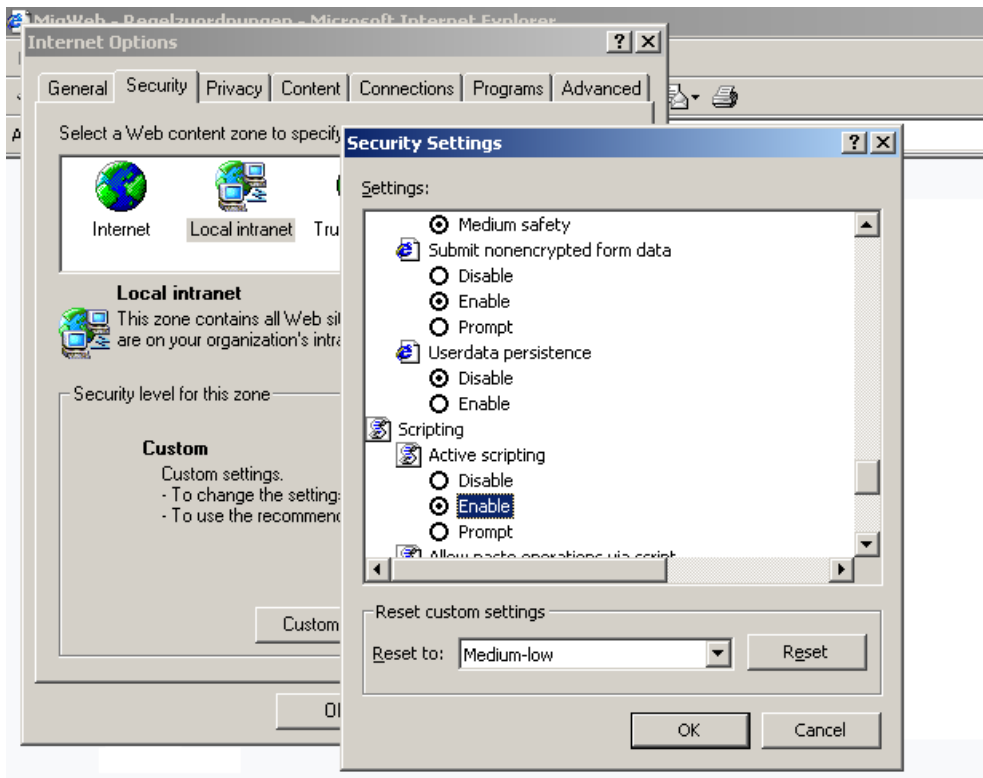
3.1 Menu Structure

The main menu contains the following elements:



The 'Back' button  appears in this row if it has been switched on in the MIG21 Web configuration file and the setting for Java Script has been switched on in the browser settings. See example below to see where the browser setting for Java Script can be switched on.

Example for IE 6.0:





This button is used for Back button navigation in MIG21 Web if the standard Back button in a browser is not available.

Note: please pay attention that when the user changes the values of the page elements 'Number of results per page', 'Search', or 'Filter' and then clicks on the embedded Back button or browser's Back button, the values of the listed page elements are not changed but the page results are changed. In this case the user has to click the Back button once more.

Each entry in the menu links to the following pages:

Start

(see chapter Login)



Overview

(see chapter "Results Overview")

| Fund ID | Fund | AB | Branches | (New) | (Ongoing) | (Resolved) | Warnings | Errors | Infos | OKs |
|---------|-----------------------------|----|----------|-------|-----------|------------|----------|--------|-------|-----|
| 802 | MIG21 Asia Fund | 3 | 2 | 1 | 1 | 0 | 0 | 1 | 0 | 0 |
| 804 | MIG21 Bond Fund | 8 | 7 | 0 | 7 | 0 | 0 | 0 | 0 | 0 |
| 815 | MIG21 Bond Fund 1 | 7 | 6 | 0 | 6 | 0 | 0 | 0 | 0 | 0 |
| 846 | MIG21 DAX Tracker Fund | 4 | 3 | 1 | 2 | 0 | 1 | 0 | 0 | 0 |
| 825 | MIG21 Daxi Bonds Fund 1 | 9 | 7 | 0 | 7 | 0 | 0 | 0 | 0 | 0 |
| 886 | MIG21 Daxi Index Fund 1 | 2 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 |
| 887 | MIG21 Daxi Index Fund 2 | 3 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 |
| 824 | MIG21 Daxi Index Fund | 4 | 3 | 0 | 3 | 0 | 0 | 0 | 0 | 0 |
| 847 | MIG21 Daxi Tracker Fund | 3 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 |
| 819 | MIG21 Emerging Markets Fund | 2 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 |

Calendar

(see chapter "Calendar")

| Monday | Tuesday | Wednesday | Thursday | Friday |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 8/18/2007 18 Funds | 8/19/2007 71 Funds | 8/20/2007 73 Funds | 8/21/2007 72 Funds | 8/22/2007 71 Funds |
| 8/23/2007 61 Funds | 8/24/2007 65 Funds | 8/25/2007 71 Funds | 8/26/2007 75 Funds | 8/27/2007 77 Funds |

Reports

(see chapter MIG21 "Web Reports")

| Compliance Reports | Document Download |
|--------------------|-------------------|
| Daily first check | Document Download |

Presets

(see chapter "Presets")



The sub-menu is displayed after the selection of an item in the Overview and contains:





Results

(see chapter "Results View")

Fond Ergebnisse

Ergabetyp: branches

Showing detail results for one bond on 28.08.2007 for one rate

NAV: EUR 5559.1937 Total Count: 7

| Rule Id | Status | Days | Rule Name | Position | Exposure |
|---------|---------|------|--|----------|----------|
| 11162 | New | 1 | Negative cash balance, max. 2 days | | 3.00 |
| 11204 | Ongoing | 3 | Weighted maturity of Bonds > 12 years | | 1.00 |
| 11295 | Ongoing | 3 | Weighted duration of Bonds < 10 | | 0.00 |
| 13439 | Ongoing | 3 | UCITS II - Only eligible Assets | | 1.00 |
| 13450 | Ongoing | 3 | UCITS II - 25% max. in bonds issued by a credit institution with special public supervision | | 50.00 |
| 13453 | Ongoing | 3 | UCITS II - 20% max. exposure to a single body | | 37.00 |
| 13459 | Ongoing | 3 | UCITS II - 10% max. of the debt securities of any single issuing body (excluding certain Public Bonds) | | 11.00 |

Rules

(see chapter "Rule Bindings")

Filter: Showing 1 to 10 of 42 items

(804) MIG21 Bond Fund

| ID | Yes/No | Description | Long Description | Assignment | Authenticated |
|-------|--------|-------------|--|-------------------------|---------------|
| 11162 | | 8 | Negative cash balance, max. 2 days | Rule to TestSubject | appr_release |
| 11168 | | 3 | Show bonds where SP & Maturity ratings differ by 3 | Rule to TestSubject | appr_release |
| 11169 | | 5 | No short selling (on Asset) | Rule to CheckGroup | appr_release |
| 11169 | | 4 | No short selling (on Post) | Rule to CheckGroup | appr_release |
| 11204 | | 4 | Maturity between 12 & 15 years | Rulegroup to CheckGroup | appr_release |
| 11204 | | 4 | Maturity between 12 & 15 years | Rulegroup to CheckGroup | appr_release |
| 11205 | | 3 | Weighted duration of Bonds < 10 | Rulegroup to CheckGroup | appr_release |
| 11205 | | 3 | Weighted duration of Bonds < 10 | Rulegroup to CheckGroup | appr_release |
| 13439 | | 2 | Only debt with allowed Ratings. Only debt with allowed Ratings | Rule to CheckGroup | appr_release |
| 13439 | | 1 | UCITS II - Only eligible Assets | Rulegroup to CheckGroup | appr_release |
| 13450 | | 1 | UCITS II - 25% max. in securities to be listed within one year | Rulegroup to CheckGroup | appr_release |

Holdings

(see chapter "Holdings View")

(815) MIG21 Bond Fund 1 NAV: 47,710,592.0 EUR

| Asset name | Nominal |
|--|-------------------|
| ALLOEMERIE HYPOTHEKENBANK PFE: S.490 V.98(2009) | 1,000,000.0 EUR |
| BAYER HYPOTHEKEN- U. VEREINSBANK PFE: S.717 V.98(2009) | 1,000,000.0 EUR |
| BAYER HYPOTHEKEN- U. VEREINSBANK V.97(2010) | 2,000,000.0 EUR |
| BELOUM V.98(2011) | 1,500,000.0 EUR |
| BERLINER HANN. HYPOTHEKENBANK PFE: S.111 V.98(2009) | 1,000,000.0 EUR |
| CALL MONEY JPY | 100,181,300.0 JPY |
| DEFFA-BANK PFE: S.473 V.98(2013) | 1,000,000.0 EUR |
| DEUTSCHE POSTBANK V.98(2011) | 1,500,000.0 USD |
| DTE- GENOSSENSCHAFTS-HYPOTHEKENBANK PFE: S.847 | 2,000,000.0 EUR |
| DUESSELDORFER HYPOTHEKENBANK PFE: S.59 V.99(2009) | 1,000,000.0 EUR |
| DUESSELDORFER HYPOTHEKENBANK PFE: S.82 V.99(2011) | 1,000,000.0 EUR |
| FORD MOTOR CREDIT EMTN V.01(2009) | 1,500,000.0 EUR |
| GREECE V.98(2011) | 8,487,351.4 EUR |
| GREECE HELLENIC V.98(2009) | 381,511.4 EUR |
| HELLENIC RAILWAY FRN V.98(2009) | 1,000,000.0 EUR |
| HUNGARY FRN V.98(2009) | 1,000,000.0 EUR |
| HUNGARY V.98(2009) | 200,000,000.0 HUF |
| HUNGARY V.98(2011) | 1,000,000.0 EUR |
| LANDESBANK HESSEN THUERINGEN INTERNATIONAL | 1,000,000.0 USD |

Fund Information

(see chapter "Fund Information P

(815) MIG21 Bond Fund 1 Number of checked rules on 03/09/2007: 39

Name: MIG21 Bond Fund 1

FundID: 815

NAV: 63,371,593.8 EUR

| Attribute | Value |
|--------------------------|--|
| Allowed_AccountTypes | Asset_AccountBond_Holding_Cat_MoneyLiabilities |
| Allowed_Countries | EURUSD |
| Allowed_Currencies | EURGBPUSD |
| Butler | 5.0 % |
| Bw_CreditDays | 2 |
| Bw_Duration_Max | 10.0 |
| Bw_Duration_Min | 5.0 |
| Bw_Duration_PRC | 15.0 % |
| Bw_Indeb_Abs_PRC | |
| Bw_Indeb_Deviation_PRC | 10.0 % |
| Bw_Maturity_Max | 12.0 |
| Bw_Maturity_Min | 2.0 |
| DefaultCheckingUnitGroup | |
| DefaultRuleGroup | |
| EndDate | 01/01/2010 |

3.2 Filtering and Sorting

Filtering

The filter/search options serve to simplify the view and make it possible to adjust the displayed information according to requirements. The filter option reduces the number of data rows, showing only the data which meet the filter criteria.

Search: Number of results per page: 10



Example:

In the following example a search was made for MIG21 Bond Fund, filtering out any funds which did not meet this criterion.

Search:

1 to 2 of 2 items

| Fund ID | Fund | All | Breaches | (New) | (Ongoing) | (Resolved) |
|---------|-------------------|-----|----------|-------|-----------|------------|
| Sort ^ | ^ | ▼ | ▼ | ▼ | ▼ | |
| 804 | MIG21 Bond Fund | 39 | 7 | 0 | 7 | |
| 815 | MIG21 Bond Fund 1 | 39 | 6 | 0 | 6 | |

Life Cycle View and Results View have the following filter options:

| | | | |
|---------|------------|----------------------------|------|
| Filter: | All ▼ | Number of results per page | 10 ▼ |
| | All | | 5 |
| | All but OK | | 10 |
| | Breaches | | 15 |
| | (New) | | 20 |
| | (Ongoing) | | 25 |
| | (Resolved) | | 30 |
| | Warnings | | 50 |
| | Infos | | 100 |
| | Errors | | |
| | OKs | | |

Number of items per page

A selection can be made for all or just several result groups, such as breaches. Furthermore there is the possibility to choose how many results will be shown per page e.g. 5, 10, 15, 20, 25, 30, 50 or 100 items.

Sorting

Information can be sorted according to the columns displayed. It is possible to view all the important or currently relevant areas grouped together. It is also possible to sort in ascending (ASC) ▲ or descending (DESC) ▼ order, hence, in the following example, the funds with the most ongoing breaches (all existing breaches of this check run without the new ones) are listed in descending order:






Example:

The following information has been sorted according to the column "Ongoing", in descending order:

| Fund ID | Fund | All | Breaches | (New) | (Ongoing) | (Resolved) |
|---------|-------------------------|-----|----------|-------|-----------|------------|
| Sort ^ | ^ | ▼ | ▼ | ▼ | ▼ | ▼ |
| 825 | MIG21 Demo Bonds Fund 1 | 38 | 8 | 0 | 8 | 0 |
| 804 | MIG21 Bond Fund | 39 | 7 | 0 | 7 | 0 |
| 815 | MIG21 Bond Fund 1 | 39 | 6 | 0 | 6 | 0 |
| 809 | MIG21 Europe Bond Fund | 38 | 5 | 0 | 5 | 0 |
| 801 | MIG21 Future Fund | 34 | 5 | 0 | 5 | 0 |
| 80700 | MIG21 Japan Equity Fund | 34 | 5 | 0 | 5 | 0 |
| 899 | MIG21 Hedging Fund | 34 | 4 | 0 | 4 | 0 |
| 824 | MIG21 Demo Stocks Fund | 36 | 3 | 0 | 3 | 0 |
| 822 | MIG21 Equity Fund 2 | 5 | 3 | 0 | 3 | 0 |
| 813 | MIG21 MoneyMarket Fund | 5 | 3 | 0 | 3 | 0 |

3.3 Scrolling in Lists

The paging element  shows the current page and enables the user to move to the previous or next page by clicking the buttons  and . It is also possible to navigate directly to the first or last page by clicking on the displayed page number.

3.4 User Profiles

A user Profile is a set of user-specific settings which can be changed and stored. The user settings can be changed on the "Presets" page and take effect in the web application. In contrast, a role profile is important for pre-generated reports only. If the user logs in, the user settings will be loaded not the role settings.

Behaviour of the user profiles:

- The user profile overwrites the system default formatting.
- The user settings do not depend on the client computer.
- The user profile will be used in the web application and for the generation of reports.
- The roles profile will only be used for the generation of reports.
- Each user profile is valid for every MIG21 system / database / company.

For detailed information on settings and changes, please refer to the chapter "Presets".



3.5 Print page

It is possible to print the content of several pages in MIG21 Web. There is a link 'Print' at the bottom of these pages. When user clicks on this link a PDF report is generated for the selected page.





4 Login

Start and login to MIG21 Web

In order to be able to log in to and work with MIG21 Web, please carry out the following:

- Start up the internet browser (e.g. Internet Explorer, Mozilla Firefox, Opera, etc.).
- Enter the web address for MIG21 Web (<http://<Servername>:<Port>/MigWeb>).

The following window will appear:

Princeton Financial Systems
A State Street Company

Home | Contact | Sitemap | Legal Notices

Login

MIG21 Web is an interactive, web-service-based reporting framework which can be seamlessly integrated into any corporate web portal. It displays current and historical ex-post results, fund information and holding details and provides multiple drill-down options. The new report download centre allows you to download pre-generated reports in PDF format.

Login with your personal Access Code:

User:

Password:

[Login](#)

Choose your Language:

English

Deutsch

Version 7.1 © 2009

The login page consists of entry boxes for the user name and password. Additionally, it is possible to choose a language. This page is the first page and will most likely be adapted to reflect the Corporate Identity (CI) and layout. This example shows the PFS CI and PFS-specific menu.

- The first step is to choose a language.
- Then enter user name and password.
- After that click on Login.

The web application runs via MIG21 systems, which may send different messages according to the input. If the entered username and password do not match up or a change of password is required, then the user receives a message. When not all MIG21



systems are available the user also receives a message.

Following a successful login the homepage is displayed. The login is automatically carried out on all available MIG21 systems. Access to MIG21 systems is configured in the MIG21 Web configuration file (see Web installation documentation).

User language in the MIG21 Web

By default MIG21 Web starts with the language which was last selected. In case of a first start of the MIG21 Web the language used for the login-page is the one which was set in the web application configuration file web.xml in the parameter defaultLanguage.

Example:

```
<init-param>
  <param-name>defaultLanguage</param-name>
  <param-value>en</param-value>
  <description>
    Default ui language to be used in case user has not yet used the
    application.
    After having used it, the user ui language is saved in a cookie
    as well as in
    the user profile.
  </description>
</init-param>
```

After the user logs into the application, the language used is the one which was set in the user profile. In case of a new user the default language is used for MIG21 Web application from the web.xml configuration file. The user can change language before login or during work with the web application. Language is updated in the user profile and can be later used e.g. for batch report generating.

4.1 Change password

The possibility to change the password in MIG21 Web is available as of version 7.1.17.8. When the user has to change the password then the dialog for changing password is shown:

Princeton Financial Systems
A State Street Company

Home | Contact | Sitemap | Legal Notices

WebUser1 | Log out >>

Change password

Old password

New password

Repeat new password

Version 7.1 © 2009





Additionally, it is possible for the user to change the password at any other time. This can be done on the Presets page.

Note: 'Change password' is only possible when one MIG21 system is used in MIG21 Web.



5 Homepage

Once the login has been accepted by the corresponding MIG21 systems, the systems companies to which the user has access rights are shown.

If MIG21 Web was configured to connect to different MIG21 systems, then those companies from different MIG21 systems to which user has access rights will be shown. When some of the MIG21 systems are not available then the user receives a message.



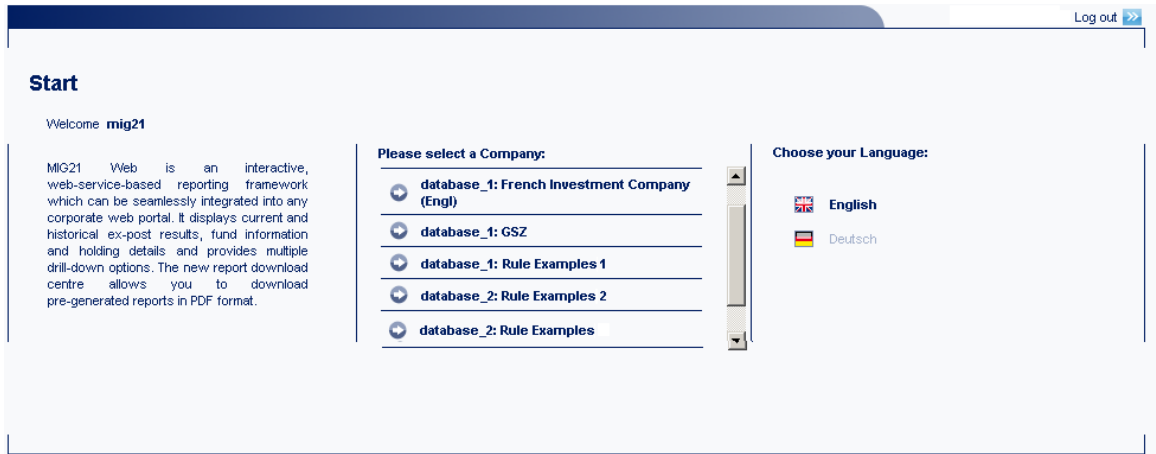
Note: Access rights to companies are set in MIG21 Guardian.

The start page contains up to 5 companies accessible with one click. If 5 or less companies are available, no scrollbar appears. If 6 or more companies are available, a scrollbar appears. The companies are sorted by name within the MIG21 system aliases (see below).



In case MIG21 Web was configured to connect to different MIG21 systems and each system has the alias in the MIG21 Web configuration file, then the alias for the MIG21 System is shown near the company name.





Note: In case MIG21 Web was configured to connect to different MIG21 systems and during the login the password for any MIG21 system was not accepted for the user, then only companies from those MIG21 systems are shown which have accepted user credentials.

The homepage offers the following functions:

- Choice of companies following the login. The desired system company can be selected by clicking on it. Following this each available company is visible.
- Change language of the application.

After choosing a company the following navigation is possible :

- Overview,
- Calendar,
- Reports
- Presets.



6 Calendar

Using the calendar it is possible, using a time period of up to six weeks, to display the daily number of:

- Breaches (total number of breaches),
- Warnings,
- Information,
- Errors,
- OKs


and

- Checked funds.

Note: only those results are shown which were released to MIG21 Web.

Note: The results are calculated according to the Overview ON or Overview OFF mode, familiar from MIG21 Admin. The mode is set for MIG21 Web by the administrator.

The results on the Results View can be shown using the Overview ON or Overview OFF mode, familiar from MIG21 Admin. The mode is set for MIG21 Web by the administrator.

- Overview ON: main results and sub-results are shown in MIG21 Web. Sub-results are shown per main result (the symbol  next to the main result on the page 'FundResults').
- Overview OFF: only sub-results are shown in MIG21 Web. All sub-results are shown together on the same page. Main results are not available.

If the calendar is selected for the first time in a session, then it is always the current month which is shown. It is possible to navigate to any particular month and year. The panel for each day shows the number of breaches, warnings, informational results, errors, OKs and checked funds. Both the day of the week and the date are displayed.

The current day is highlighted and available results are displayed. Furthermore, it is possible to define the number of weeks using 2, 3, 4, 5 or 6 weeks.

The results overview for a particular day is displayed by clicking on the date in the calendar. Should there be multiple check-run results for a fund during one day, the results are revised with only the latest results being taken into consideration.

Result overview for a selected day

- Input the required date in the calendar using the appropriate format.
- Choose the number of weeks. Options are 2, 3, 4, 5 or 6 weeks.





- Click OK to confirm.

Example page for two weeks:

| Calendar | | | | |
|--|--|--|--|--|
| Enter date (tt.mm.jj): <input type="text"/> Number of weeks: <input type="text" value="2"/> | | | | |
| Monday | Tuesday | Wednesday | Thursday | Friday |
| 17.09.2007 73 7 10 2 600 46 Funds | 18.09.2007 16 1 2 0 97 5 Funds | 19.09.2007 64 5 9 2 569 40 Funds | 20.09.2007 No check run | 21.09.2007 No check run |
| 10.09.2007 76 5 1 New 10 2 599 46 Funds | 11.09.2007 71 1 New 8 5 New 10 2 601 46 Funds | 12.09.2007 73 3 New 7 2 New 10 2 600 46 Funds | 13.09.2007 73 7 10 2 600 46 Funds | 14.09.2007 73 7 10 2 600 46 Funds |
| <div> Breaches Warnings Errors Infos OKs </div> | | | | |

In order to see the individual results for the day, click on the relevant date.

Please note: The number of funds and results are dependent on the access rights defined for the current user.



7 Results Overview

The results overview offers a summary of the selected day and is divided into the following sections:

- Menu (see Menu Structure),
- Filter Function (see Filtering and Sorting),
- Page Navigation (see Scrolling in Lists),
- Sorting (see Filtering and Sorting),
- Calendar View (Date navigation panel)

and

- Results Overview (Result overview table).

Note: only those results are shown which were released to MIG21 Web.

Note: The results are calculated according to the Overview ON or Overview OFF mode, familiar from MIG21 Admin. The mode is set for MIG21 Web by the administrator.

Overview

Search: 1 to 10 of 26 items



9/5/2007

71 6 10 2 0

| Fund ID | Fund | All | Breaches | (New) | (Ongoing) | (Resolved) | Warnings | Errors | Infos | OKs |
|---------|----------------------------|-----|----------|-------|-----------|------------|----------|--------|-------|-----|
| 824 | MIG21 VF ContractCard Test | 4 | 3 | 0 | 3 | 0 | 0 | 0 | 1 | 0 |
| 802 | MIG21 Asia Fund | 3 | 1 | 0 | 1 | 0 | 1 | 1 | 0 | 0 |
| 823 | MIG21 BVV2 Fund | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 |
| 804 | MIG21 Bond Fund | 8 | 7 | 1 | 6 | 0 | 0 | 1 | 0 | 0 |
| 815 | MIG21 Bond Fund 1 | 7 | 6 | 0 | 6 | 0 | 0 | 1 | 0 | 0 |
| 846 | MIG21 DAX Tracker Fund | 4 | 2 | 0 | 2 | 0 | 2 | 0 | 0 | 0 |
| 847 | MIG21 DJ Tracker Fund | 3 | 2 | 0 | 2 | 0 | 1 | 0 | 0 | 0 |
| 825 | MIG21 Demo Bonds Fund 1 | 8 | 7 | 0 | 7 | 0 | 0 | 0 | 1 | 0 |
| 858 | MIG21 Demo Index Fund 1 | 2 | 1 | 1 | 0 | 0 | 0 | 1 | 0 | 0 |
| 857 | MIG21 Demo Index Fund 2 | 3 | 2 | 1 | 1 | 0 | 0 | 1 | 0 | 0 |

1 page 1 3

Date navigation panel

The date navigation panel can be found in the top right-hand corner and displays the date for the particular day as well as the number of results, breaches, warnings, information, errors and OKs. Using the symbols  and  it is possible to navigate to the previous or next day.





The figures underneath each symbol relate to the number of breaches, warnings, errors, information and OKs. In the following example there are 71 breaches, 6 warnings, 10 errors, 2 pieces of information and no OKs.

| | | | | |
|------------|---|----|---|---|
| 05/09/2007 | | | | |
| | | | | |
| 71 | 6 | 10 | 2 | 0 |

Results Overview

The results overview shows the results for the selected day. The table displays the funds with their ID and the number of breaches depicted as new, current and solved breaches. In addition, warnings, errors, information and OKs are also shown. The "All" column shows the total number of results for each fund. In order to view the individual results, complete the following steps:

- Choose a fund.
- There are now two possibilities:
 - Selecting a fund brings up the fund information (see chapter Fund Information Page).
 - Clicking on the figures in the columns selects the corresponding results (see chapter Results View).

| Fund ID | Fund | All | Breaches | (New) | (Ongoing) | (Resolved) | Warnings | Errors | Infos | OKs |
|---------|-----------------------------|-----|----------|-------|-----------|------------|----------|--------|-------|-----|
| Sort | | | | | | | | | | |
| 802 | MIG21 Asia Fund | 3 | 2 | 1 | 1 | 0 | 0 | 1 | 0 | 0 |
| 804 | MIG21 Bond Fund | 8 | 7 | 0 | 7 | 0 | 0 | 1 | 0 | 0 |
| 815 | MIG21 Bond Fund 1 | 7 | 6 | 0 | 6 | 0 | 0 | 1 | 0 | 0 |
| 846 | MIG21 DAX Tracker Fund | 4 | 3 | 1 | 2 | 0 | 1 | 0 | 0 | 0 |
| 825 | MIG21 Demo Bonds Fund 1 | 9 | 7 | 0 | 7 | 0 | 1 | 0 | 1 | 0 |
| 856 | MIG21 Demo Index Fund 1 | 2 | 1 | 0 | 1 | 0 | 0 | 1 | 0 | 0 |
| 857 | MIG21 Demo Index Fund 2 | 3 | 2 | 0 | 2 | 0 | 0 | 1 | 0 | 0 |
| 824 | MIG21 Demo Stocks Fund | 4 | 3 | 0 | 3 | 0 | 0 | 0 | 1 | 0 |
| 847 | MIG21 DJ Tracker Fund | 3 | 2 | 0 | 2 | 0 | 1 | 0 | 0 | 0 |
| 819 | MIG21 Emerging Markets Fund | 2 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 |

The columns are as follows:

Fund ID: Individually assigned to a fund.

Fund: This column is always displayed and contains the fund name.

Breaches: Displays the breaches.

New: Number of the breaches which first appear on the selected day.

Ongoing: Number of ongoing breaches – those which **did not** first appear on the selected day.

Resolved: Number of results which, on the selected day are, **for the first time**, no longer breached. This column contains results which were active on the last NAV-Date before the present one, but which are now closed.




Warnings: Number of Warnings

Errors: Number of errors

Infos: Number of low priority notifications

OKs: Number of the saved OK results. Generally, OKs are only saved when they come at the end of a breach, in order to indicate the conclusion of the breach. OK results are not saved as standard.

In order to sort the results overview, use the  symbol beneath the column header. The data can be sorted in ascending or descending order. In the results overview, the data is hyperlinked. By clicking on the fund name the individual fund view is called up. Clicking on the figures in the individual columns, e.g. breaches, calls up the corresponding results. The figures represent the number of main results, which in turn can be composed of a number of sub-results, e.g. if a general issuer concentration rule is breached, it is counted as one breach regardless of the number of issuers concerned.

7.1 Results View

The results view has the following components:


- Menu (see Menu Structure),
- Filter (see Filtering and Sorting)


and

- Results View.

The Results View relates to a fund and the selected date, and displays all available results.

The results on the Results View can be shown using the Overview ON or Overview OFF mode, familiar from MIG21 Admin. The mode is set for MIG21 Web by the administrator.

- Overview ON: main results and sub-results are shown in MIG21 Web. Sub-results are shown per main result (the symbol  next to the main result on the page 'FundResults').
- Overview OFF: only sub-results are shown in MIG21 Web. All sub-results are shown together on the same page. Main results are not available.

The following example shows all results. With a number of rule breaches there are sub-rules where the breach can occur. This is indicated by the  symbol ('Overview ON' mode is switched ON). Clicking on this symbol reveals the sub-rule(s) result(s). Clicking on the different symbols displays the Detailed Results View - Life cycle.





All results for MIG21 Bond Fund 1 on 03/09/2007

| MIG21 Bond Fund 1 | | | | | NAV 63,371,593.8 EUR |
|-------------------|--------|---------|-----------------------|--|----------------------|
| Rule ID | Status | Days | Rule long description | Exposure | |
| Sort | ^ | ^ | ▼ | | ▼ |
| | 5941 | Ongoing | 6 | Avg. duration deviation +/- 15.000 PRC of index (relative) | 0.7 |
| | 11172 | Ongoing | 6 | 3. 10% investments btw 366 and 732 | 22.9 |
| | 11203 | | 6 | Min. rating > BBB- | 2.0 |
| | 11204 | Ongoing | 3 | Weighted maturity of Bonds 2-12 years | 1.9 |
| | 11205 | Ongoing | 6 | Weighted duration of Bonds 5-10 | 3.3 |
| | 13452 | | | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | 29.0 |
| | 13453 | | | UCITS III: 35% max. exposure to a single body | 29.0 |

Within the results view the selected fund and its NAV value is displayed along with the results themselves.

The lines of the table are ex-post results made up of for-each rule(s), rule package(s) and the simple rules. The columns can be sorted in ascending or descending order.

The paper clip is shown left to the result to show whether there is a memo for the selected date for a result.

Filter Results

It is possible to filter the results on this page for their severity.

- Limiting the view is achieved by selecting a result type. There are a number of possibilities:
 - All: all results are displayed.
 - Breaches: all breaches are displayed.
 - New
 - Ongoing
 - Resolved
 - Warnings: view is limited to warnings.
 - Errors: only errors can be seen.
 - Information: shows just the information relevant to the fund.

and

- OKs: lists all OKs.

7.1.1 Detailed Results View - Life cycle

The detailed view illustrates one individual result showing the rule result, the aggregated values (aggregates) of positions selected for this rule (so called "selections") and, where applicable, sub-results for certain rule types (e.g. ForEach



Rules or Rule Packages .

This page offers the possibility to navigate (back and forth) to the other dates within the violation chain.

The page contains memo and violation chain statistics.

It is possible to navigate to the related positions attributes (holding details) for sub results if this has been switched on before generating the result. The administrator can activate this.

Example:

UCITS III: 35% max. in government & public body securities (unless in prospectus, >=6 issues, no issue > 30%).

MIG21 Bond Fund 1

NAV = 63,371,593.8 EUR

| | Rule long description | Position | Exposure |
|--|--|----------------------|-----------------------|
| | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | | 29.04 % |
| | \$ _Securities_Public_Sector.Issuer_Group | | 800280;450063;450877; |
| | ALLGEMEINE HYPOTHEKENBANK PFE. S.490 V.98(2008) | | |
| | BELGIUM V.99(2011) | | |
| | GREECE V.99(2011) | | |
| | GREECE/HELLENIC V.99(2009) | | |
| | HUNGARY FRN V.99(2009) | | |
| | HUNGARY V.99(2008) | | |
| | HUNGARY V.99(2011) | | |
| | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | Issuer_Group: 800280 | 1.58 % |
| | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | Issuer_Group: 450063 | 2.16 % |
| | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | Issuer_Group: 450877 | 20.45 % |
| | UCITS III: 35% max. in government & public body securities (unless in prospectus, >= 6 issues, no issue > 30%) | Issuer_Group: 451829 | 29.04 % |
| | \$ _Securities_Public_Sector(Issuer_Group = '451829').TMarket_Value | | 18,401,560.2 EUR |
| | HUNGARY FRN V.99(2009) | | |
| | HUNGARY V.99(2008) | | |
| | HUNGARY V.99(2011) | | |
| | \$ _Derivatives_On_Securities_Market_Conform(Issuer_Group = '451829').TEconomic_Exposure | | 0 |
| | \$ _Securities_Public_Sector(Issuer_Group = '451829'; Market_Value > 30% NAV).Count | | 0 |

03/09/2007

Comment this result

Save

Life cycle overview

| General | |
|--------------------|------------|
| Status | |
| Rule ID | 13452 |
| Number of days | |
| Number of NAV days | 1 |
| Breath start | |
| Start date | 03/09/2007 |
| Exposure | 29.0 |
| Breath maximum | |
| Date | 03/09/2007 |
| Exposure | 29.0 |
| Breath end | |
| End date | |
| Exposure | 29.0 |
| Comments | |
| (no remarks) | |

Memo

The "Comments" field shows all the memos which are linked to a particular life cycle of the result. These memos are truncated and the user only sees a portion memos. In the example below there is a comment from the 7th May 2009 made by the user mwa2.

Example:

| Comments |
|--|
| [07/05/2009 15:28:01 : mwa2] (Ryan Erycson) my comments |
| [06/04/2009 09:00:01 : MIGSYS] Corrections (PosCheckDetailIdent 1462) |

Memos are shown in date order and in order of user entries. Memos which belong to the current (selected) checking date and current result are shown in bold font.





The MIG21 user login name and the memo date are shown together with the comment. Additionally, the MIG21 user's last first names are shown if they are available. The memo date is displayed according to user settings (they are shown under 'Presets'-link).

The 'Comments' field has a link to a new page where memos are shown entirely in a wider field.

Results Rules Holdings Fund Info 04 December 2007

MIG21 Future Fund NAV 61,280,737.00 EUR

| Rule long description | Position | Exposure |
|-----------------------|----------|----------|
| 22808_b | 784 | |

Comment this result Save

Comments

[07/05/2009 15:28:01 : mwa2]
(Ryan Erycson)
my comments

[06/04/2009 09:00:01 : MIGSYS]
Corrections (PosCheckDetailIdent 1462)

Top | Print Version 7.1 © 2009

This page contains memos and less result rule details. The comments entered for the actual date are shown in bold.

To return to the detailed results view from this page there is a button beneath the input field 'Comment this result'.

Add memo

In order to add a memo the user should have the "Memo_Edit" user right. Details of the user rights can be found in the MIG21 Guardian documentation.

Note: In MIG21 all comments which the user enters for a certain date of the particular life cycle of the result are saved in one field in the database. This field can contain a maximum of 4000 bytes. User receives the message if the entered comment exceeds the limit and it is possible to change it.

The memo is added on both pages: the page with detail result view and the Comment page which is opened with a link in a 'Comments' field.

On the 'detailed result view' page the memo is entered into an input field 'Comment this result' next to the displayed breach.



By clicking on the arrow next to "Save" the memo is saved, the input field is cleared and the result view of the 'Comments' field is reloaded.

On the Comment page the memo is entered into an input field 'Comment this result' below the rule result. By clicking on the arrow near "Save" the memo is saved, the input field is cleared and the result view of the 'Comments' field is reloaded.

Life-cycle paging

In order to improve performance and memory usage, the paging element has been implemented in the life-cycle view. As can be seen in the screenshot below, each page shows the number of nodes which exist on previous or subsequent pages, in order to give the user a fuller picture of the total information available.

| Rule long description | Position | Exposure |
|--|----------------------|---------------|
| UCITS III: 35% max. exposure to a single body | | 56.62 % |
| ... 8 node(s) ... | | |
| UCITS III: 35% max. exposure to a single body | Issuer_Group: 379261 | 0.12 % |
| \$ _Securities_Ex_Public_Sector_Qualifying(Issuer_Group = '379261').TMarket_Value | | 20.000,00 EUR |
| COMMERZBANK EMTN V.00(2009) | | |
| \$ _Derivatives_On_Securities_Market_Conform(Issuer_Group = '379261').TEconomic_Exposure | | 0 |
| \$ _OTC_Derivatives(Counterparty_Group = '379261').TCounterparty_Risk_Exposure | | 0 |
| \$ _Deposits(Counterparty_Group = '379261').TMarket_Value | | 0,00 EUR |
| UCITS III: 35% max. exposure to a single body | Issuer_Group: 464541 | 0.06 % |
| \$ _Securities_Ex_Public_Sector_Qualifying(Issuer_Group = '464541').TMarket_Value | | 12.000,00 EUR |
| IRELAND V.99(2010) | | |
| \$ _Derivatives_On_Securities_Market_Conform(Issuer_Group = '464541').TEconomic_Exposure | | 0 |
| \$ _OTC_Derivatives(Counterparty_Group = '464541').TCounterparty_Risk_Exposure | | 0 |
| ... 13 node(s) ... | | |

19.09.2007

Comment this result Save

Life cycle overview

General

Status: Ongoing
Rule ID: 13453
Number of days: 18
Number of NAV days: 17

Breach start

Start date: 27.08.2007
Exposure: 61,96

Breach maximum

Date: 07.09.2007
Exposure: 68,59

Breach end

End date:
Exposure:

Comments

[2008-11-11T11:54:00 : mig21] comment0

[2008-11-11T11:53:36 : mig21] comment1

1 page 2 4

Top | Print Version 7.1 © 2008 Number of results per page: 10

Life cycle overview panel

Violation chain statistics are shown in the Life Cycle View panel. The Life Cycle Panel





is integrated into the detailed results view and is divided into the following sections:

- General,
- Breach start,
- Breach maximum
- Breach end.

| Life cycle overview | |
|--|----------|
| General | |
| Status | New |
| Rule ID | 15910 |
| Number of days | 1 |
| Number of NAV days | 1 |
| Breach start | |
| Start date | 9/6/2007 |
| Exposure | 9.7 |
| Breach maximum | |
| Date | 9/6/2007 |
| Exposure | 9.7 |
| Breach end | |
| End date | |
| Exposure | 9.7 |
| Comments | |
| [2008-03-18T14:51:57 : mig21] comment | |

The following Information can be found within the "General" section:

- Status ("New", "Ongoing", "Resolved"),
- Rule ID
- Number of days (length of breach)
- Number of NAV days.

The following information can be found within the "Breach start", "Breach maximum" and "Breach end" sections:

- Date
- Exposure.



7.2 Fund Information Page

This individual view of a fund is divided into:

- Menu (see Menu Structure)

and

- Fund View.

The number of checked rules can be seen next to the fund name. The fields are:

- Name = Name of the fund,
- Fund ID

and

- NAV = value of the fund.

The fund information page shows the selected fund with all fund and checking unit attributes. The attributes shown on the fund info page are configurable. This configuration is performed by the administrator.

(815) MIG21 Bond Fund 1

Number of checked rules on 03/09/2007: 39

| | |
|---------|-------------------|
| Name: | MIG21 Bond Fund 1 |
| FundID: | 815 |
| NAV: | 63,371,593.8 EUR |

| Attribute | Value |
|---------------------------|---|
| Allowed_AssetClasses: | Asset_Account;Bonds_AllTypes;Call_Money;Liabilities |
| Allowed_Countries: | EU;US |
| Allowed_Currencies: | EUR;GBP;USD |
| Buffer: | 5.0 % |
| Bw_Credit_Days: | 2 |
| Bw_Duration_Max: | 10.0 |
| Bw_Duration_Min: | 5.0 |
| Bw_Duration_PRC: | 15.0 % |
| Bw_Index_Abs_PRC: | |
| Bw_Index_Deviation_PRC: | 10.0 % |
| Bw_Maturity_Max: | 12.0 |
| Bw_Maturity_Min: | 2.0 |
| DefaultCheckingUnitGroup: | |
| DefaultRuleGroup: | |
| Enddate: | 01/01/2010 |





7.3 Rule Bindings

This screen shows the rule bindings as of today for a particular fund.

The rule bindings contains the following:

- Menu (see Menu Structure)

- Fund name

and

- Rule View.

The user sees all categories in accordance with his access rights and can select one, or by clicking on "All", can select all to be displayed.

Filter: Showing 1 to 10 of 42 items

(804) MIG21 Bond Fund

| ID | Version | Description | Long Description | Assignment | Authorized |
|-------|---------|--|---|-------------------------|--------------|
| Sort | ^ | | ^ | ^ | ^ |
| 11162 | 8 | Negative cash balance, max. x | Negative cash balance, max.: (Bw_Credit_Days) days | Rule to Testobject | apw_releaser |
| 11168 | 3 | Show bonds where SP & Moodys ratings differ by 3 | Highlight bonds where SP & Moodys ratings differ by 3 | Rule to Testobject | apw_releaser |
| 11186 | 5 | No short selling (ex-Ante) | No short selling (ex-Ante) | Rule to Checkgroup | apw_releaser |
| 11188 | 4 | No short selling (ex-Post) | No short selling (ex-Post) | Rule to Checkgroup | apw_releaser |
| 11203 | 4 | Min. rating > x | Min. rating > {Min_Rating_Text} | Rulegroup to Checkgroup | apw_releaser |
| 11204 | 4 | Maturity between x-y years | Weighted maturity of Bonds (Bw_Maturity_Min)- (Bw_Maturity_Max) years | Rulegroup to Checkgroup | apw_releaser |
| 11205 | 3 | Wtd. duration x-y | Weighted duration of Bonds (Bw_Duration_Min)- (Bw_Duration_Max) | Rulegroup to Checkgroup | apw_releaser |
| 13264 | 2 | Only deal with allowed Brokers | Only deal with allowed Brokers | Rule to Checkgroup | apw_releaser |
| 13439 | 1 | IE-UCITS III: 9.2.01 | UCITS III: Only eligible Assets | Rulegroup to Checkgroup | apw_releaser |
| 13440 | 1 | IE-UCITS III: 9.2.01 (II) | UCITS III: 10% max. in securities to be listed within one year | Rulegroup to Checkgroup | apw_releaser |

1 page 1 5



7.4 Holdings View

The holdings view contains the following:

- Menu (see Menu Structure),
- Fund name and NAV

and

- Holdings View.

Display holdings

- Select a day on the Calendar page or via the Calendar panel on the Overview page.
- Select a fund from the results overview.
- Click on the sub-menu "Holdings" within the fund information.

The following is displayed:

Filter: Securities (19) 1 to 15 of 19 items

(804) MIG21 Bond Fund

NAV EUR 51,355,164.1748

| Asset \ Securities \ Debt_Securities \ Floaters | | | | |
|--|---|----------------------|--------------|--------------------|
| Cupon | Description | Interest_Payments_pA | ISIN | Market_Value |
| 0.0000 | BAYER. HANDELSBANK PFE. S. 1110 V.98(2010) | 7.0000 | DE0002091626 | EUR 2,045,065.2700 |
| 0.0000 | DEPFA-BANK EMTN PFE. S.517 V. 6.0000 99(2011) | | DE0002294782 | EUR 1,996,000.0000 |
| Asset \ Securities \ Debt_Securities \ Normal_Bonds | | | | |
| Description | ISIN | Market_Value | | |
| ALLGEMEINE HYPOTHEKENBANK PFE. S.495 V.98(2008) | DE0002027950 | EUR 1,984,000.0000 | | |
| BAYER. HYPOTHEKENBANK PFE. S.2788 V.97(2008) | DE0002239001 | EUR 5,082,241.3000 | | |
| BAYER. VEREINSBANK MTN V.96(2008) | XX0001001789 | EUR 3,216,636.4600 | | |
| LANDESKREDITBANK BADEN-WUERTTEMBERG PFE. S.97 V.99(2008) | DE0003037560 | EUR 3,479,000.0000 | | |
| RHEINBODEN HYPOTHEKENBANK PFE. S.969 V.99(2008) | DE0003159695 | EUR 17,976,000.0000 | | |
| WESTF. HYPOTHEKENBANK PFE. EM 4012 V.95(2009) | DE0003340121 | EUR 2,341,716.8200 | | |
| Asset \ Securities \ Debt_Securities \ Other_Bonds | | | | |
| Description | ISIN | Market_Value | | |
| NIEDERSACHSEN, LAND LANDESSCHATZANW. V.92(2009) | DE0001592269 | EUR 2,808,909.7700 | | |
| Asset \ Securities \ Debt_Securities \ Zerobonds | | | | |
| Description | ISIN | Market_Value | | |
| BANK VOOR NEDERLANDSE GEMEENTEN V.93(2009) | XS0041178327 | EUR 752,821.3800 | | |
| BANQUE INDOSUEZ V.92(2011) | XS0035553465 | EUR 1,369,894.4100 | | |
| BAYER. LANDESBANK -GZ- IS S.3483 V.91(2010) | DE0002134830 | EUR 1,320,053.3800 | | |
| BAYER. LANDESBANK -GZ- IS S.832 V.85(2009) | DE0002126329 | EUR 620,623.4700 | | |
| CREDIT SUISSE FINANCE V.92(2011) | DE0004087507 | EUR 2,853,008.7000 | | |
| FRANCE OAT V.91(2011) | FR0000190126 | EUR 268,861.4100 | | |

1 page 1 2

Top | Print

Version 7.1 © 2009

Number of results per page 15

Holdings are grouped according to the asset classes. It is possible to configure for each asset class which attributes have to be shown. This configuration is performed by the administrator.

Holdings can be filtered according to the asset classes. Asset classes in the filter are shown in the same way as they were configured in the asset tree.





Filter: **Securities (19)** 1 to 15 of 19 items

| Asset | Description | Coupon | Interest Payments_pA |
|--|----------------------------|--------|----------------------|
| (80.0000) | Handelsbank PFE. S. 7.0000 | | |
| Asset | Handelsbank PFE. S. 7.0000 | | |
| Coupon | Handelsbank PFE. S. 7.0000 | | |
| 0.0000 | Handelsbank PFE. S. 7.0000 | | |
| 0.0000 | Handelsbank PFE. S. 7.0000 | | |
| Asset | Handelsbank PFE. S. 7.0000 | | |
| Description | Handelsbank PFE. S. 7.0000 | | |
| ALLG | Handelsbank PFE. S. 7.0000 | | |
| BAYE | Handelsbank PFE. S. 7.0000 | | |
| BAYE | Handelsbank PFE. S. 7.0000 | | |
| LANDESKREDITBANK BADEN-WUERTTEMBERG PFE. S.97 V.99(2008) | | | |



7.4.1 Holdings Details

The detailed holdings view for a selected fund is composed of the following:

- Menu (see Menu Structure),
- Date navigation panel

and

- Holding and fund information.

The page can be opened by clicking on a position in the Holdings View.

This view shows the following information regarding the selected position for a particular fund:

- Fund Name,
- Asset Description,
- Security Code (WKN / ISIN)
- Holdings attributes such as:

- Nominal Sum

and

- Market Value

and

- All other asset and holdings attributes.

The standard attributes and the order in which they appear can be configured per system companies. This configuration is performed by the administrator.

| | |
|--|-----------------|
| Holding details for fund (815) MIG21 Bond Fund 1 | |
| TOYOTA V.97(2009) | |
| ISIN: | X80072953911 |
| Nominal_Sum: | 5,500,000.0 DKK |
| Market_Value: | 740,337.1 EUR |
| MIG_PositionType: | Normal_Holdings |

| Attribute | Value |
|-----------------|--------------|
| AssetID: | 2,547 |
| Active: | False |
| Asset_Class: | Normal_Bonds |
| Asset_Currency: | DKK |
| asset_ID: | 17037 |





8 Download Reports

Reports can be downloaded from a special report area and seen by those users who have the right to. The content of the reports complies with the user rights configured in MIG21 Guardian regarding funds and rule categories. Reports reside on the server such that older reports can be accessed at any time by the user. A list will be displayed which shows all report documents which can be downloaded.

| Reports | | |
|-------------------------|-------------------|--|
| Compliance Reports | Document download | |
| Report2 | 0 | Report with a set of depending controls |
| Report3 | 3 | Report without form |
| LookUpGroups | 7 | |
| Ex-Post | 0 | ex post reports |
| Daily limit check | 3158 | Limit checks for all funds you have the right to see |
| Misc | Document download | |
| Conversion | 0 | |
| LookUpGroups | 10 | |
| MIG21AuditConfiguration | 0 | |
| RuleGroups | 0 | |

Please note: Each report has a category and a report name, e.g. category "Compliance Reports", template name "Ex-Post". Each report can have multiple "instances" (documents), e.g. "Breach details 2007-12-31.pdf". On this page only the categories and report templates are shown in order to select one of the reports or categories (Navigation purpose only).

The list has the following columns:

- Document name,
- Creation date,
- Size

and

- Report name.



Search:

1 to 50 of 358 items

Reports

| Document name | Creation date | Size | Report |
|--------------------------------|------------------|-------|-------------------|
| Sort ^ | ^ | | |
| Daily limit check - 2007-09-06 | 02-04-2008 16:35 | 204 K | Daily limit check |
| Daily limit check - 2007-08-09 | 18-04-2008 17:51 | 184 K | Daily limit check |
| Daily limit check - 2007-08-22 | 18-04-2008 21:12 | 184 K | Daily limit check |
| Daily limit check - 2007-08-26 | 18-04-2008 21:13 | 184 K | Daily limit check |
| Daily limit check - 2007-08-29 | 18-04-2008 21:14 | 184 K | Daily limit check |
| Daily limit check - 2007-08-29 | 18-04-2008 21:17 | 184 K | Daily limit check |

Underneath each report category the report templates are listed. Only those report templates are listed, for which the user has the rights. Only those report categories and report templates which hold instances of the respective reports will be displayed as hyperlinks. In addition the number of existing instances per category/report template is shown. By clicking on a report name, MIG21 Web shows a page with a list of all report documents of that report name, in date order.

The "Search" allows the user to search and the "Sort" allows to sort for values in the respective columns.

8.1 Ad-hoc Reports

Ad-hoc reports are available in the section "Reports". Reports are generated immediately but not stored in the database. The layout and parameters are configured using MIG21 Report Center. The content of the values which are used for each parameter is set within MIG21 Web.

Preconditions in order to be able to see ad-hoc reports in MIG21 Web:

- Licenses:
 - MIG21Web_AdHocReporting
 - MIG21Web_DownloadReports
- Rights:
 - MIG21Web_Adhoc_Reports
 - RCE_Edit_ClientReports (optional if the user is to be able to edit the templates in MIG21 Report Center)

To view ad-hoc reports follow the steps described below:


- Log in to MIG21 Web.
- Go to the tab Reports.
- Select one of the displayed ad-hoc reports.







If no Ad-hoc reports are displayed, then no reports are configured for ad-hoc. The property AdHoc should be set to true for the Report Templates in MIG21 Report Center. Please refer to the MIG21 Report Center Documentation for further information on the template configuration.

- Click on the symbol  in the column Ad Hoc.

| Ad hoc Templates | Document download | Ad Hoc |
|------------------------|-------------------|---|
| Ex-Post_for_ad-hoc | 0 |  |
| Ex-Post_for_ad-hoc (1) | 0 |  |

- Now a screen is displayed where the mandatory parameters have to be selected. If no parameters need to be entered, just click on the symbol . A description of how to configure the fields used in the filter dialog can be found in the MIG21 Report Center Documentation.

Please select 

* mandatory

Companies (0 / 3) *

☐ UK-COLL UCITS/NON-UCITS 2.0
 ☐ Multiple LawCards


Checking units (0 / 0) *

NAV date (0) *

Severities (0 / 5) *

☐ Breach
 ☐ Warning
 ☐ Error

Report checking units without results ☒



- It is possible to save the report (as pdf file) or to open it immediately.



9 Export of the pages

The MIG21 Web pages can be exported to PDF. There is a link 'Print' at the bottom of each page (except the Homepage with the list of companies and Presets page).

Additionally, some of the pages can be exported to MS Excel. This is available as of MIG21 Web version 7.1.17.8. The list of the pages is as follows:

- Holding View
- Holding Details
- Detail Result View - LifeCycle





10Presets

This page provides the personal settings of the user currently logged in. The user can customize the language, format of numbers, the display of the decimals and change the password.

 The screenshot shows a web application interface with a top navigation bar containing links for 'Start', 'Overview', 'Calendar', 'Reports', and 'Presets'. The 'Presets' link is active. In the top right corner, the user is identified as 'WebUser1' with a 'Log out' button. The main content area is titled 'Presets' and contains the following settings:

- Language settings:** A dropdown menu set to 'English'.
- Regional settings:** A dropdown menu set to 'English (UK)'.
- Floating decimal:** A dropdown menu set to '2'.
- Thousands separator:** A checkbox that is checked.
- Currency symbol before value:** An unchecked checkbox.

 Below these settings is a link labeled 'Change password'. At the bottom of the page, the text 'Version 7.1 @ 2009' is displayed.

In the language settings English and German can be chosen. The choice of the language causes the menu and navigation to align themselves to the language. In Regional settings English UK, English US and German can be chosen. Depending on the language the date of the calendar will be aligned. The number of decimal places can be specified by a floating decimal. You can choose between 1 and 6 decimal places. In the same way, the thousand separator can be displayed (by ticking the box) or hidden. Furthermore, the currency abbreviation can be placed before the value by ticking the box "currency symbol before value" (e.g. EUR 100 instead of 100 EUR).



11Glossary

The terminology, symbols and correlations associated with MIG21 Web are defined as follows:

| Expression | Description |
|------------------------------|---|
| Asset Class | The categories which are used as the basis for the check performed by the respective LawCard. |
| Assignment | There are different types of assignments. An assignment can be for categories, rule groups, checking units, attributes, lookups and lookup groups. A rule can be assigned to fund(s) or categories. It can also be assigned to a checking unit or checking group. |
| Breach end | The date when the breach is resolved. |
| Breach level | Provides the level of a possible breach w.r.t. to its exposure. Differentiation is between "High" and "Low" and is shown graphically in the breach view (red icon = breach, yellow icon = Warning) |
| Breach start | The date when the breach occurs the first time. |
| Calendar Page | Page showing accessible fund evaluation dates with the possibility to navigate to the selected date's overview page. |
| Checking unit | Checking units can be funds, sub-funds or other entities such as investor, client, etc. which have holdings and rules assigned to it. |
| Company | Organizational unit within the MIG21 system. |
| Download Reports Page | Page showing all available Report Documents for the logged-in user, with the possibility to download these documents (pdf files). |
| Exposure | Corresponds to the level of the breach. Each rule is formulated internally in terms of a rule calculation. The result of this calculation is the exposure and is displayed as a rounded figure. |
| Function | Allocates the value produced using the calculation instruction to the part of the holding which has been defined using a selection. |
| Fund Info Page | Page showing all available fund attributes for the selected fund or checking unit. |
| Holdings Details Page | Page showing all available holding and asset attributes for one selected position. |





| Expression | Description |
|---------------------------------------|---|
| Holdings Page | Page showing all holdings for the selected fund on the selected date. |
| ISIN | I nternational S ecurities I dentifying N umber, ISINs consist of three parts: a two letter country code, a nine character alpha-numeric national security identifier, and a single check digit. <u>Example</u> : US0378331005; |
| Lifecycle Page / Memo page | Page offering the details for one result of one fund plus aggregated information of this result over the full lifecycle of this result with the possibility to add memos and navigate back and forth through the dates. |
| Login Page | Initial Login page, including the welcome text for username and password input. |
| Main Menu Bar | Upper menu bar including the entries start, overview, calendar, reports, presets. |
| Memos | Can be added on the lifecycle to comment on results; will be stored to the database. |
| MIG21 Web Reports | Part of MIG21 Web application, which is used for the deployment of pre-generated reports (download reporting) and the calling and parameterizing of interactive reports (ad-hoc reporting). |
| NAV (Net-Asset-Value | Used for the fund volume, it corresponds to the net fund value. With most funds this value is calculated daily and is often used as the basis for settling the buying and selling of shares in the fund. |
| Overview Page | First high level summary of compliance check results for a company for a specific fund evaluation date. |
| Presets Page | Page offering the possibility to modify the user's settings regarding formatting of dates, numbers, language and local settings. |
| Report Page | Overview page of the reporting section showing all reports available for the user currently logged in. |
| Report | One single instance of a configuration of the automatic generation of Report Documents. It is created in the MIG21 Report Center. |








| Expression | Description |
|--|--|
| | |
| Report Designer | Application used for the generation and editing of both report templates and web templates. It is embedded to the MIG21 Report Center. |
| Report Document / Report Instance | pdf file which can be download from the MIG21 Web Download Reports Page (Report Instance). |
| Report Template | Template used for the generation of report documents or web pages (web application content) |
| Reporting Engine | New reporting engine which is used for the execution of both web templates and report templates. Using web templates the content of the web application is provided. Using report templates report documents are provided. |
| Reporting | Web service responsible for the generation of the content for reports (content of the web application and content of reports for the MIG21 Report Center. |
| Result Memo | Comments on the reasons for a breach or warning etc. can be entered here. |
| Results Detail Page (=Lifecycle Page) | Page displaying details for one check result of one fund. |
| Results Page | Page displaying check results for one fund. |
| Rule | Instruction which defines a particular investment or transaction limit. If these limits are not adhered to then a communication is received from MIG21. |
| Rule bindings | The Rule Bindings include a list of all the rules and rule packages that have been assigned to the fund/checking unit regardless of how they have been assigned e.g. directly, via rule groups, via checking groups, etc. |
| Rules Page | Shows the rule bindings. This page only represents the current state of the rule binding so no history is available. |





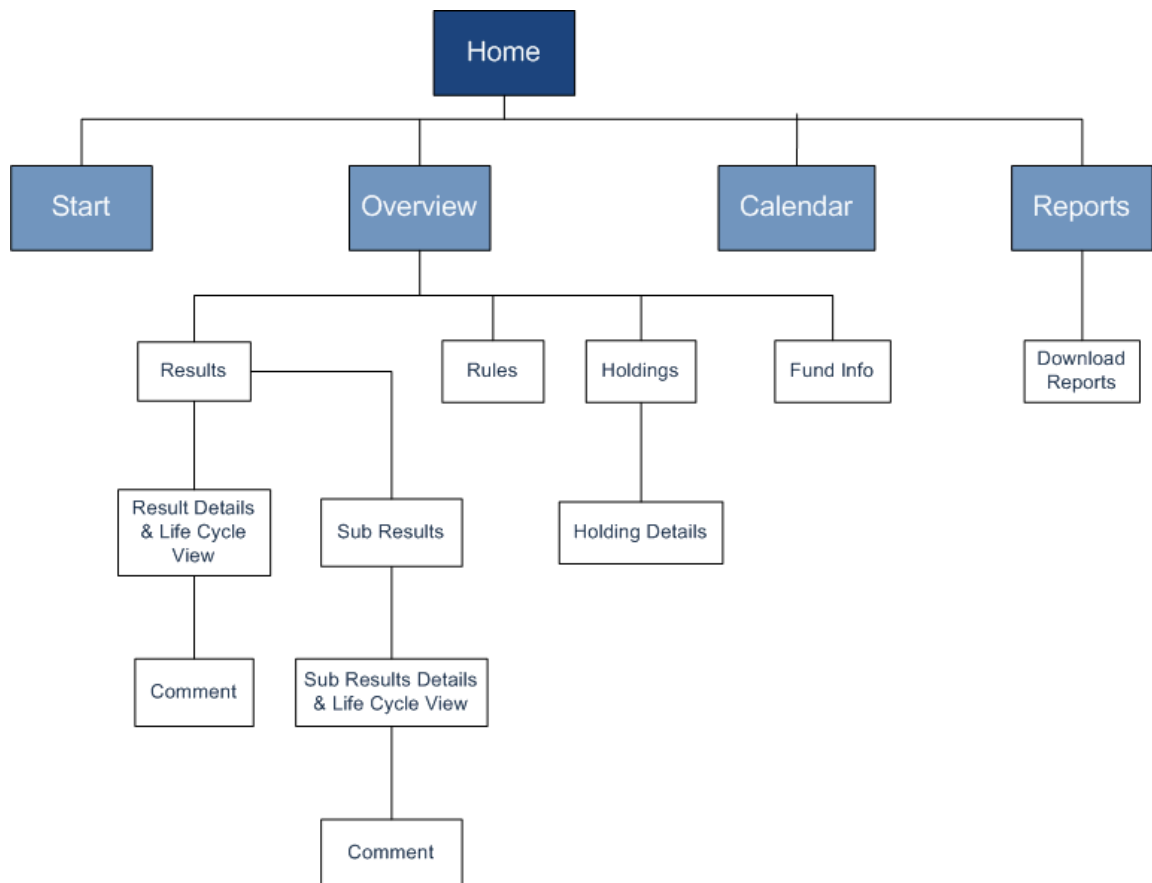
| Expression | Description |
|---------------------|--|
| Selection | <p>Defines individual positions of a fund's holding. It is a specified sub-set of all positions. A selection can be made up of:</p> <ul style="list-style-type: none"> • individual asset classes (e.g. bonds) or • a combination of a number of classes with certain properties (e.g. all German Government Bonds plus Italian stocks). |
| Start Page | Page that allows for the company selection. |
| Sub Menu Bar | Second menu bar only displayed within certain main areas. |
| Warning | The rule result lies within the defined buffer between OK and breach. |

-  Indicates a **breach**, which occurs when the rules of a fund are checked and the investment limits are found to have been breached.
-  Indicates an **error**. This occurs as a result, for example, of missing data which means the rules cannot be checked.
-  Indicates a **warning**, which shows that the rule result lies within the defined buffer between OK and breach.
-  Indicates an **OK**, which confirms a successful check and means there are no breaches.
-  Indicates **information** which points to a low-level breach.



12Navigation

The general navigation is shown below:





13Change history

This chapter details the change history.

| Chapter name | Date | Revision number | Reason for change(s) |
|----------------------------------|---------------------|-----------------|--|
| Detailed Results View-Life cycle | 11th November 2008 | 3468 | add life cycle paging and update life cycle panel |
| Homepage | 14th November 2008 | 3503 | update picture and description |
| Login | 17th November 2008 | 3523 | update language information |
| Login | 16th February 2009 | 4115 | update default language information |
| Homepage | 26th February 2009 | 4115 | add info about multiply MIG21 systems |
| Menu Structure | 27th April 2009 | 4678 | add info about the 'Back' button in the menu. |
| Login | 28th August 2009 | 5538 | update information about user messages. |
| Home page | 28th August 2009 | 5538 | update information about user messages. |
| Holding View | 1th September 2009 | 5554 | update screenshots and description because of changes. |
| Login | 22th September 2009 | 5662 | Update screenshots. |
| Results Overview | 22th September 2009 | 5662 | Update screenshots. |
| Homepage | 22th | 5662 | Update screenshots. |



| Chapter name | Date | Revision number | Reason for change(s) |
|------------------------------------|---------------------|-----------------|---|
| | September 2009 | | |
| Calendar | 22th September 2009 | 5662 | Update screenshots. |
| Detailed Results View - Life cycle | 22th September 2009 | 5662 | Add info about memo length. |
| Print page | 22th September 2009 | 5662 | Add chapter. |
| Detailed Results View - Life cycle | 22th September 2009 | 5662 | Add info about navigation to the position attributes. |
| All chapters | 1st October 2009 | 5724 | Review |
| MIG21 Web Reports | 14th October 2009 | 5850 | Delete chapter (not necessary). |
| Calendar | 25th November 2009 | 6324 | Add information about released results. |
| Results Overview | 25th November 2009 | 6324 | Add information about released results. |
| Export of the pages | 25th November 2009 | 6324 | Add chapter. |
| Change password | 25th November 2009 | 6324 | Add chapter. |
| Presets | 25th November 2009 | 6324 | Add info about Change password and update picture. |
| Detailed Results View - Life cycle | 25th November 2009 | 6324 | Add information about long memo. |
| Results View | 27th January | 6738 | Add information about 'Overview OFF' mode. |





| Chapter name | Date | Revision number | Reason for change(s) |
|------------------|-------------------|-----------------|---|
| | 2010 | | |
| Introduction | 27th January 2010 | 6738 | Add information about 'Overview OFF' mode. |
| Calendar | 27th January 2010 | 6738 | Add information about 'Overview OFF' mode. |
| Results Overview | 27th January 2010 | 6738 | Add information about 'Overview OFF' mode. |
| Ad-hoc Reports | 9th June 2010 | 7642 | Chapter added with the description of ad-hoc reports. |



Index

- " -

"Memo_Edit" user right 19

- A -

Add memo 19

- B -

Back button navigation 3

Basic Elements

Filtering and Sorting 3

Menu Structure 3

Scrolling in Lists 3

User Profiles 3

browser setting 3

- C -

Calendar 14

Change password 10

- D -

Detailed Results View - Life cycle 19

Download Reports 29

- F -

Filtering and Sorting 5

Fund Information Page 24

- H -

Holdings Details 28

Holdings View 26

Homepage 12

- I -

Introduction 2

- L -

Life cycle overview panel 19

Login 9

- M -

memo 19

Menu Structure 3

MS Excel 32

- N -

Navigation

general navigation 38

- O -

Overview OFF 18

Overview ON 18

- P -

paper clip 18

PDF 32

Presets 33

Print 8

- R -

Result Overview 16

Result View 18

Rule Bindings 25

- S -

Scrolling in Lists 7





- U -

User Profiles 7

- V -

violation chain statistics 19

