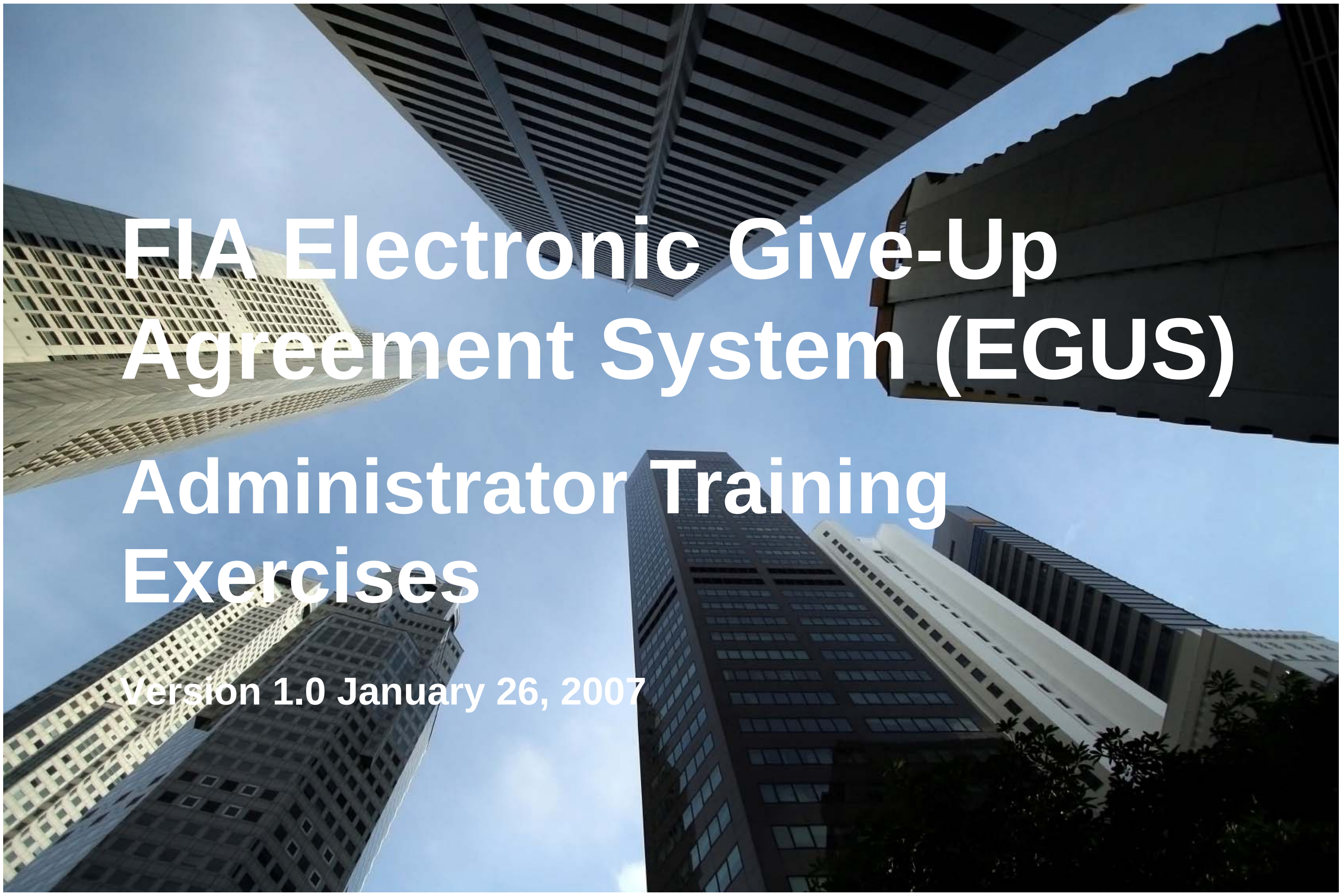

FIA Electronic Give-Up Agreement System (EGUS)

Administrator Training Exercises

Version 1.0 January 26, 2007

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Document Overview

Welcome to the training exercises for users of the FIA Electronic Give-Up Agreement System (EGUS). This section provides an overview of the exercises covered in this document.

Assumptions

The EGUS Administration training exercises assume that you have:

- At least a basic understanding of Futures Industry Give-Up Agreements
- Access to the *FIA EGUS Administrator Guide*, which provides detailed instructions for using specific EGUS Admin pages and functions

User Exercises

➲ **NOTE**: Admin user login accounts and data will be provided in training classes.

The Admin user exercises included in this document include the actions listed below. For the Firm Administrator's Institution, Parties, and Contacts:

- Maintain Institution Details
- Add and Maintain Party Details (i.e. for Agreement Counterparties)
- Add and Maintain Party Permissions (i.e. Broker Visibility for Customers and Traders)
- Add and Maintain Contact Details (i.e. for Contacts and Systems Users at an Institution)
- Add and Maintain Contact Permissions (i.e. System User Roles and Contact Notifications for each Party at an Institution)

For the FIA Administrator:

- Add New Institution
- Change Institution Status (Active or Inactive)
- Indicate User Agreement Signed for a Party (Compliant and Non-Complaint Parties)
- Set Party Type (Customer, Trader, Broker)
- Generate Billing Reports

For the Markit / CRT Support Staff "Super User" Administrator:

- All of the above tasks in response to user and admin help requests and the added ability to delete Institutions, Parties, or Contacts if unused (not covered in this document—see the Administrator Guide for details)

Instructions for how to use these functions are provided in the EGUS online help and Administrator's documentation.

Exercise 1 Search Institutions

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search Institutions & Parties page displays.
- ☑ Click in the **Search for** field and enter the beginning of the name of the institution you want to find.
- ☑ Click **Search**. The results of your search display in the list below.
- ☑ Under **Institution**, click the hyperlinked **[Institution Name]**. The Maintain Institution Details page 6 displays. Click **Cancel** to return to the Search Institutions & Parties page or select a new page.
- ☑ Under **Parties**, click the icon for the institution for which you want to view all parties. The parties for the selected institution display to the right in the **Party** area. Click a party name to access the Maintain Party page for the selected party (see Add New Party). Click **Cancel** to return to the Search Institutions page or perform additional maintenance on the Maintain Party page.
- ☑ Under **Contacts**, click the icon for the institution for which you want to view all contacts. The View Contact Details page displays with a list of all contacts for the selected institution. Click **Cancel** to return to the Search Institutions page. See the Search Contacts section for more information.

Exercise 2 Maintain Institution

2.1 Maintain Institution Details

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search Institutions & Parties page displays.
- ☑ Search for the institution you want to maintain.
- ☑ Click the hyperlinked **Institution Name**. The Maintain Institution page displays.
- ☑ Under **Primary Contact**, click the drop-down list and select the contact you want to be the primary EGUS contact for your institution.
- ☑ Type or validate the mailing address for your institution in the fields provided. A drop-down list of valid country codes is provided.
- ☑ Click **Save** to save the data you entered.
- ☑ Click **Back** to return to the previous page or select a new page. If you click **Back** without saving first, any data you entered will not be saved.

2.2 View All Contacts for an Institution

- ☑ Click **View All Contacts** to view a list of all contacts for the current institution. The View Contact Details page displays with the list. Click **Cancel** to return to the Maintain Institution page.

2.3 View All Parties for an Institution

- ☑ Click **View All Parties** to view a list of all parties for the current institution. The Search Institutions & Parties page displays with the list. Click **Back** to return to the Maintain Institution or perform additional searches on the Search Institutions & Parties page.

Exercise 3 Search Parties

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search page displays.
- ☑ In the Filters panel, select the **Party** option in the 'Search for' selection area.
- ☑ Click in the **Name** field and enter the entire name or just the beginning of the name of the party you want to find.
- ☑ Click **Search**. The results of your search display in the Party list on the right side of the page.
- ☑ Under **Party**, click a hyperlinked **[Party Name]**. The Maintain Party Details page displays with the information for the selected party. Click **Cancel** to return to the Search Institutions & Parties page.

Exercise 4 Add New Party

4.1 Add Party Details

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search page displays.
- ☑ Click the **New button above the Party area of the page**. The Maintain Party - Details page displays ready for you to add a new party.
- ☑ Under **Parent Institution**, click the **Select Institution** drop-down list and select the institution for which you want to create this new party. Only institution(s) where you are the Firm Administrator display in this list.
- ☑ In the **Party Name** field, type the full, legal name for this party.
- ☑ Click the **Active** checkbox to select or deselect it. It is selected by default. When selected, this party is available to be added to Agreements in EGUS. When deselected, this party is not available to be added to Agreements in EGUS.
- ☑ Under **Primary Contact**, click the **Select from All Contacts** drop-down list and select the contact you want to be the primary EGUS contact for this party.
- ☑ Click in [**number of approvers**] drop-down list to select the number of approvers required for a Give-Up Agreement by this party. Select 1 or 2 approvers.
- ☑ Select the **Preferred Initiator. Warn other parties that this party prefers to initiate new agreements** checkbox if this party prefers to initiate Give-Up Agreements in EGUS. If you select this checkbox, EGUS will warn other parties who try to initiate an agreement with this party.
- ☑ Select the **This party trades on Italian Exchanges. Send reminder for Transitory Agreement at agreement execution** checkbox if this party trades on Italian Exchanges. If you select this checkbox, EGUS will remind you to send a Transitory Agreement upon execution of all agreements for this party.
- ☑ Under **Parent Institution**, click the **Select Institution** drop-down list and select the institution for which you want to create this new party. Only institution(s) where you are the Firm Administrator display in this list.
- ☑ Click the **Copy from Parent Institution** checkbox to insert this party's parent institution's Billing Address as this party's Billing Address.
- ☑ Type or validate the mailing address for this party the fields provided. A drop-down list of valid country codes is provided.
- ☑ Type the email address in the **Documentation Contacts Group Email Address** field.
- ☑ In the Documentation Contacts panel **All Contacts** box, select one or more contacts.
- ☑ Click **Add**. The selected contacts are moved from the **All Contacts** box to the **Documentation Contacts** box on the right and will now appear as documentation contacts on this party's Agreement Contact Lists as Documentation Contacts.
- ☑ Select one or more contacts in the **Documentation Contacts** box.
- ☑ Click **Remove**. The selected contacts are moved from the **Documentation Contacts** box to the **All Contacts** box on the left and will no longer appear on this party's Agreement Contact Lists as Documentation Contacts.
- ☑ Type the email address in the **Billing Contacts Group Email Address** field.
- ☑ In the Billing Contacts panel **All Contacts** box, select one or more contacts.

- ☑ Click **Add**. The selected contacts are moved from the **All Contacts** box to the **Billing Contacts** box on the right and will now appear as billing contacts on this party's Agreement Contact Lists as Billing Contacts.
- ☑ Select one or more contacts in the **Billing Contacts** box.
- ☑ Click **Remove**. The selected contacts are moved from the **Billing Contacts** box to the **All Contacts** box on the left and will no longer appear on this party's Agreement Contact Lists as Billing Contacts.
- ☑ Click **Save**.

4.2 Set Broker Visibility for Customer and Trader Parties Only

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The search page displays.
- ☑ Search for the desired party.
- ☑ Click the hyperlinked **Party Name**. The Maintain Party – Details page displays.
- ☑ Click the hyperlinked **Permissions** tab at the top of the page. The Maintain Party **-** Permissions page displays.
- ☑ In the Broker Visibility panel **All Brokers** box, select one or more institutions and/or parties:
    - Click the **plus icon** to expand the list of parties for a selected institution.
    - Click the **minus icon** to collapse the list of parties for a selected institution.
    - To select (or deselect) all parties for an institution, select the checkbox next to the institution name.
    - To select (or deselect) individual parties within an institution, click the **plus icon** next to the institution to display all parties for that institution and select (or deselect) the checkboxes for individual parties as desired.
- ☑ Click **Add**. The selected contacts are moved from the **All Brokers** box to the **Approved Brokers** box on the right. These Brokers can now include this party on their Give-Up Agreements and they can view this party's information on EGUS screens.
- ☑ Select one or more Brokers in the **Approved Brokers** box.
- ☑ Click **Remove**. The selected Brokers are moved from the **Approved Brokers** box to the **All Brokers** box on the left. These Brokers will no longer be able to add this party to their Give-Up Agreements and these Brokers will not be able to view this party's information on EGUS screens.
- ☑ Click **Save**.

Exercise 5 Maintain Party

5.1 Maintain Party Details

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search page displays.
- ☑ Look up the party you want to maintain.
- ☑ Click on the party name. The Maintain Party - Details page displays.
- ☑ Update the information as necessary.
- ☑ Click **Save**.

5.2 Maintain Party Permissions

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**. The Search page displays.
- ☑ Look up the party you want to maintain.
- ☑ Click on the party name. The Maintain Party - Details page displays.
- ☑ Click the **Permissions** tab link at the top of the page. The Maintain Party - Permissions page displays.
- ☑ Update the information as necessary.
- ☑ Click **Save**.

Exercise 6 Search Contacts

- ☑ On the main menu, click **Admin**, **Search Contacts**. The Search Contacts page displays.
- ☑ Click in the **Filters** area and type the first, last, email address, or institution of the contact you want to find. Use Institution to find all contacts for an institution.
- ☑ Click **Search**. The results of your search display in the list in the data table in the lower portion of the page.
- ☑ Click the hyperlinked contact **[Last Name]** to view details. The Maintain Contacts **-** Details page displays. Click **Cancel** to return to the Search Contacts page.
- ☑ Under **Institution**, click the hyperlinked **[Institution Name]**. The Maintain Institution Details page displays. Click **Cancel** to return to the Search Contacts page or select a new page.

Exercise 7 Add Contact (and Permissions)

7.1 Add Contact Details

- ☑ On the main menu, click **Admin**, **Search Contacts**. The Search Contacts page displays.
- ☑ Under **Parent Institution**, click the **Select Institution** drop-down list and select the institution for which you want to create this new party. Only institution(s) where you are the Firm Administrator display in this list.
- ☑ In the **Title** field, type the contact's business title using upper- and lower-case characters.
- ☑ In the **First Name** field, type the contact's first names.
- ☑ In the **Middle Name** field, type the contact's middle name if desired.
- ☑ In the **Last Name** field, type the contact's last name..
- ☑ In the **Email Address** field, type the contact's email address, i.e. also used as EGUS username.

  ➲ **NOTE**: The email address entered in this field is also used as the EGUS username, i.e. to log in to the system, and can not be duplicated in the system.

- ☑ In the **Phone Number** field, type the contact's business phone number.
- ☑ In the **Fax Number** field, type the contact's business fax number.
- ☑ Select the **Active** checkbox (the default) to make this contact able to use EGUS and available for viewing by other parties in EGUS (as per visibility rules).
- ☑ Deselect the **Active** checkbox to make this contact unable to use EGUS and unavailable for viewing by other parties in EGUS.
- ☑ Leave the **Account Locked** checkbox deselected.
- ☑ Click the **Copy from Parent Institution** checkbox if you want to insert the contact's parent institution's Billing Address as the contact's Mailing Address.
- ☑ Type or validate the mailing address for this party the fields provided. A drop-down list of valid country codes is provided.

7.2 Set / Reset Contact (EGUS User) Password

EGUS Administrators can use this function when a user is first added to EGUS to allow the user to set their initial password and anytime the need arises for a user to reset their password during ongoing system use.

- ☑ Click the **Reset Password** button to send an email to the user that contains a link that the user clicks to set their password.
- ☑ Click **Save**.

7.3 Access the Maintain Contact - Permissions Page

- ☑ On the main menu, click **Admin**, **Search Contacts**.
- ☑ Search for the contact who system usage permissions you want to maintain.
- ☑ Click the hyperlinked **Last Name**. The Maintain Contact - Details page displays.
- ☑ Click the hyperlinked **Permissions** tab at the top of the page. The Maintain Contact - Permissions page displays.

7.4 Assign a Party Contact (EGUS User) as a Firm Administrator

- ☑ On the Search Contacts page, look up and select the Contact you want to enable as an Admin for an institution. The Contact's information displays on the Maintain Contacts - Details page.
- ☑ Click the **Permissions** tab.
- ☑ Select the **Enable Institution Admin Access** checkbox for that Contact.
- ☑ Click **Save**. This contact can now perform all firm Administrator functions for this Institution.

7.5 Assign Permissions (Roles) to a Contact (EGUS User) for Parties

- ☑ On the Search Contacts page, look up and select the Contact for whom you want to assign permissions. The Contact's information displays on the Maintain Contacts - Details page.
- ☑ Click the **Permissions** tab.
- ☑ Select the **Reader**, **Processor**, and/or **Approver** role checkboxes for the roles you want to assign to this user for ***each party*** listed for this institution.
- ☑ Select the **Alert on Execution** checkbox if you want this user to receive notification when agreements are executed for the ***selected party***.
- ☑ Click a [**Select All**] checkbox in the first row below the column headings of **Reader**, **Processor**, **Approver**, and/or **Alert on Execution** to select assign that role to this user for all parties in the list. Deselect it to deselect the checkboxes selected for that role for all parties.
- ☑ Click **Save**.

Exercise 8 Maintain Contact

8.1 Maintain Contact Details

- ☑ On the main menu, click **Admin**, **Search Contacts**. The Search page displays.
- ☑ Look up the contact whose detail information you want to maintain.
- ☑ Click on the contact last name. The Maintain Contact - Details page displays.
- ☑ Update the information as necessary.
- ☑ Click **Save**.

8.2 Maintain Contact Permissions

- ☑ On the main menu, click **Admin**, **Search Contacts**. The Search page displays.
- ☑ Look up the contact whose permissions you want to maintain.
- ☑ Click on the contact name. The Maintain Contact - Details page displays.
- ☑ Click the **Permissions** tab link at the top of the page. The Maintain Contact - Permissions page displays.
- ☑ Update the information as necessary.
- ☑ Click **Save**.

Exercise 9 FIA Administrator Only Functions

9.1 Add New Institution

- ☑ Click **Admin**, **Search Institutions & Parties** on the main menu. The Search Institutions & Parties page displays.
- ☑ Click the **New button above the institution area of the page.** The Maintain Institution page opens for you to add a new institution. Use the Maintain Institution page for all management functions described in this section.
- ☑ Type the **Institution Name**.
- ☑ Select the **Active** checkbox to enable this Institution in EGUS.
- ☑ Click **Save**.

9.2 Change Institution Status (Make Active / Inactive)

- ☑ Click **Admin**, **Search Institutions & Parties** on the main menu. The Search Institutions & Parties page displays.
- ☑ Enter your search criteria and click **Search**. The results of your search display in the list below.
- ☑ Find the institution you want and click the **Institution Name**. The Maintain Institution page displays with the information for the selected institution.
- ☑ Select the **Active** checkbox to enable this Institution in EGUS, i.e. make it ***Active***.
- ☑ Deselect the **Active** checkbox to disable this Institution in EGUS, i.e. make it ***Inactive***.
- ☑ Click **Save**.

9.3 Manage Signed User Agreements for a Party

- ☑ On the main menu, click **Admin**, **Search Institutions & Parties**.
- ☑ Access the party from the institution's party list or search for the party you want.
- ☑ Click the hyperlinked **Party Name**. The Maintain Party – Details page displays.
- ☑ Click the hyperlinked **Permissions** tab at the top of the page. The Maintain Party - Permissions page displays.
- ☑ Select the **User Agreement Signed** checkbox.
- ☑ Enter the name of the person who signed the agreement in the **Signed by** field.
- ☑ Enter the date the agreement was signed in the **Signed on** field.
- ☑ Enter the FIA Vendor ID for this party in the **FIA Vendor ID** field. This field is required for the FIA Billing Reports.
- ☑ Click **Save**.

9.4 Indicate Party Type (Customer, Trader, Broker)

☑ On the main menu, click **Admin**, **Search Institutions & Parties**.

☑ Access the party from the institution's party list or search for the party you want.

☑ Click the hyperlinked **Party Name**. The Maintain Party – Details page displays.

☑ Click the hyperlinked **Permissions** tab at the top of the page. The Maintain Party - Permissions page displays.

☑ To indicate that a party is a:

- ***Customer***: Select the **Party is a Customer and Customer must maintain Broker visibility** checkbox.
- ***Trader***: Select the **Party is a Trader and Trader must maintain Broker visibility** checkbox.
- ***Broker****: Do* ***NOT*** *select either the* ***Customer*** *or* ***Trader*** *checkbox.*

  ➲ **IMPORTANT NOTE: If a party is not selected as a Customer and/or a Trader, EGUS assumes it is a Broker.**

☑ Click **Save**.