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Income Monitoring Tool

User Guide

December 2014

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User guide

Foreword

The Income Monitoring Tool works in conjunction with CreationDirect via Internet.

The Income Monitoring Tool (IMT) allows customers to:

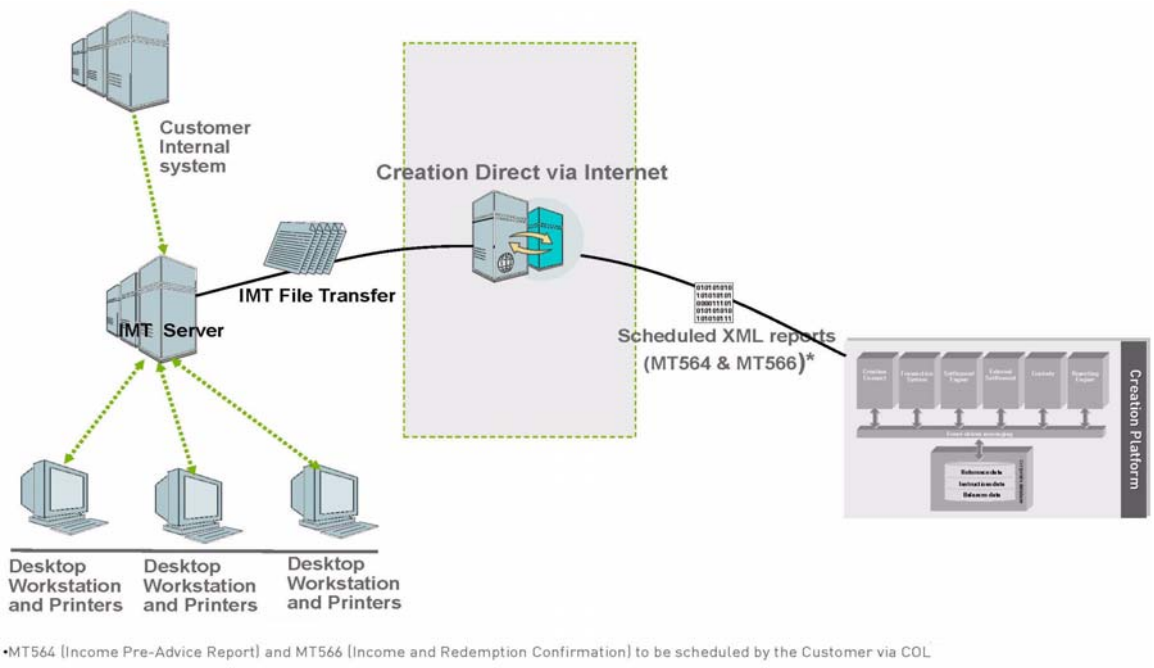
- Reconcile Clearstream Banking MT564 and MT566 against their own income data;
- Display the lifecycle of an MT564, highlighting the differences between different versions;
- Perform queries on the income database and exporting the result in Excel or PDF format.

It enables customers to:

- Easily identify discrepancies between Clearstream Banking data and their own;
- Identify missing information.

Summary of the Income Monitoring Tool

The diagram below shows a typical network design associated with the IMT:



•MT564 (Income Pre-Advice Report) and MT566 (Income and Redemption Confirmation) to be scheduled by the Customer via COL

Getting started

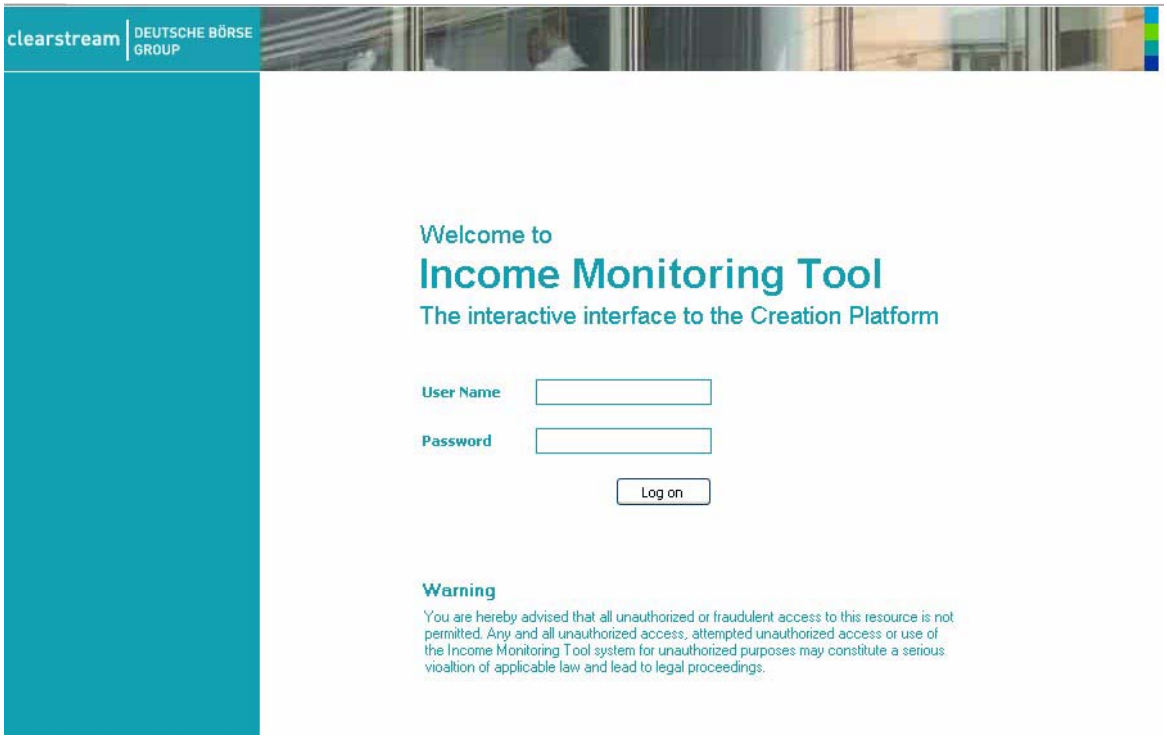
All users can change their password and customise their view for the MT564 and MT566.

In addition an administrator can:

- create an IMT user;
- reindex messages;
- set roundings per currency;
- schedule imports of Clearstream Banking data.

Logging in

After successful installation of the IMT (see IMT - Installation Guide), a user can log in by opening the intranet address http://lupimt01/IMT.WEB.XXX/mainform.wgx (where XXX is the name of the bank).



Navigator panel

The navigator panel is on the left-hand side of the display, where the user can access a main menu of commands to perform the different activities that are available according to user permissions:

The Administrator Settings command will only be seen by users with Administrator permissions.

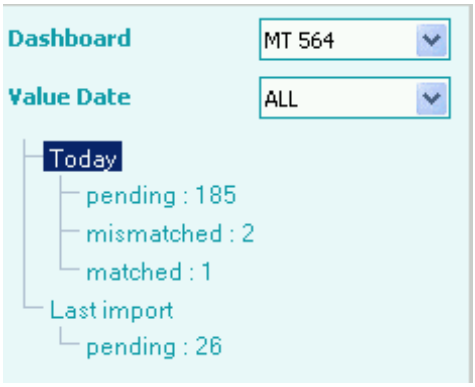
Dashboard

Users can use the dashboard command in the navigator panel to display the dashboard in the lower left of the page.

To remove the dashboard, click on the Dashboard command in the navigator panel.

The Dashboard can show the MT564, MT566 or internal data by choosing the message type from the Dashboard dropdown list.

Dashboard MT564



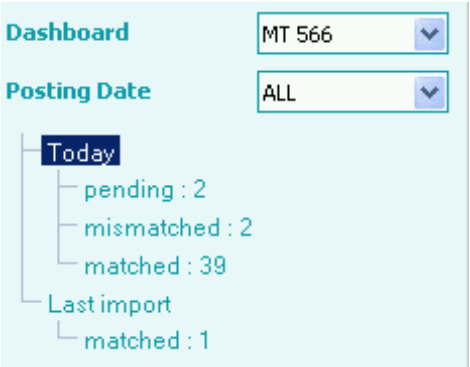
Today:

This shows the status of all MT564 that have been imported today with a Value Date (VD) within the next five business days. By changing the VD in the dropdown list you can see the status of MT564 with that VD.

Last import:

This shows the status of all MT564 that were in the last successful import with a Value Date (VD) within the next five business days. By changing the VD in the dropdown list you can see the status of MT564 with that VD.

Dashboard MT566



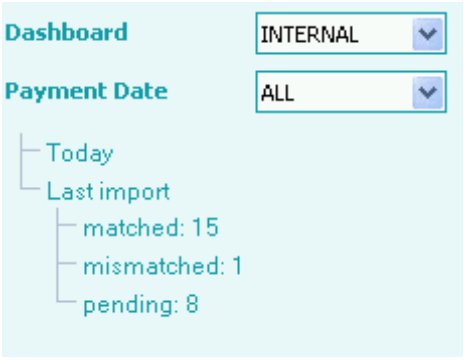
Today:

This shows the status of all MT566 that have been imported today with any Posting Date. By changing the Posting Date in the dropdown list you can see the status of MT566 with that Posting Date.

Last import:

This shows the status of all MT566 that were in the last successful import with any Posting Date. By changing the Posting Date in the dropdown list you can see the status of MT566 with that Posting Date.

Dashboard Internal



Today:

This shows the status of all customer's internal messages that have been imported today with any Value Date. By changing the VD in the dropdown list you can see the status of Customer´s internal messages with that VD.

Last import:

This shows the status of all customer´s internal messages were in the last successful import with any Value Date (VD). By changing the VD in the dropdown list you can see the status of MT564 with that VD.

IMT Statuses

The IMT shows different statuses for the messages depending on the data matching:

Status CBL

Status	Description
MATCHED	an MT566 has been generated with the same details as the MT564
MISMATCHED	an MT566 has been generated with different details from the MT564
PENDING	no MT566 has been generated
REVERSED	the income proceeds confirmed in an MT566 have been reversed
RECONCILED	the item has been manually reconciled
COMPENSATION	the MT566 is linked to a compensation performed on an instruction
TAX ADJUSTMENT	the MT566 referes to withholding tax processed

Status Internal (in combination with Status CBL)

Status CBL	Status Internal	Description
	PENDING	NO CBL MT564 is associated with this customer´s income payment
PENDING	**MATCHED**	the MT564 matches with the associated customer´s income payment
PENDING	**MISMATCHED**	the MT564 does not match with the associated customer´s income payment
MATCHED	**MATCHED**	the MT566 matches with the MT564 and the associated customer´s income payment
MATCHED	**MISMATCHED**	the MT566 matches with the MT564 but does not match with the associated customer´s income payment
MISMATCHED	**MATCHED**	the MT566 does not match with the MT564 but matches with the associated customer´s income payment
MISMATCHED	**MISMATCHED**	the MT566 does not match with the MT564 or the associated customer´s income payment

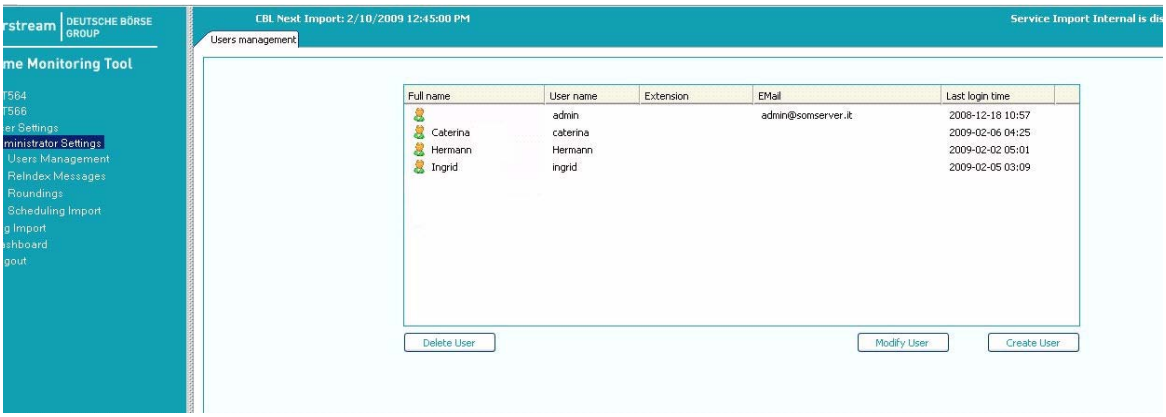
Administrator tasks

Users Management

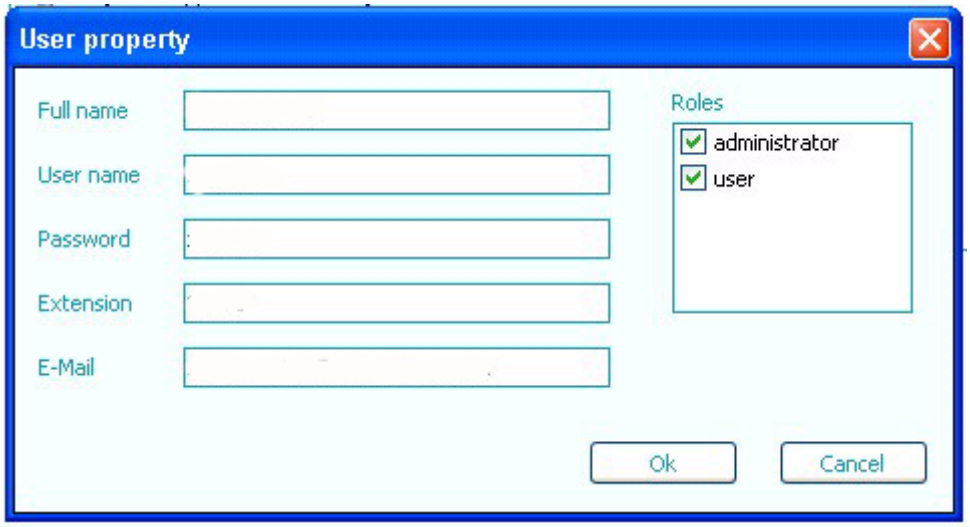
Creating an IMT user

All IMT users are created by the administrator. User type can be administrator, user or both.

- Select **Users Management** in the navigation panel, under **Administrator Settings**.



- Click on the **Create User** button. The **User Property** window is displayed:



- Complete all relevant details in the fields and click **OK**.

Modifying an IMT user

- Select **Users Management** in the navigation panel, under **Administrator Settings**.
- Click on the user that is to be modified;
- Click on the **Modify User** button;
- Change the relevant details as necessary.

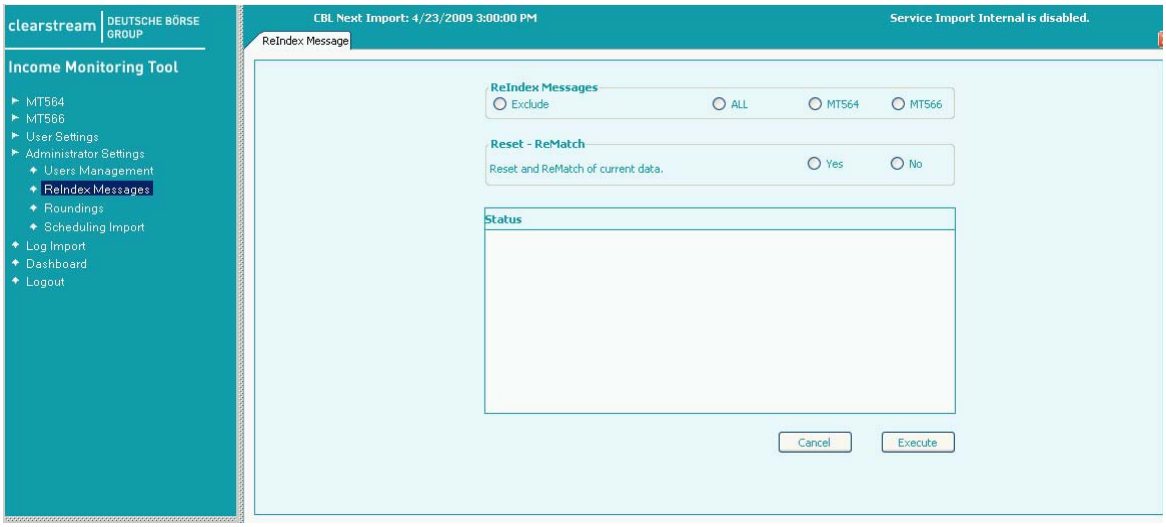
Deleting an IMT user

- Select **Users Management** in the navigation panel, under **Administrator Settings**.
- Click on the user that is to be deleted;
- Click on the **Delete User** button;
- Confirm that the user is to be deleted.

Reindex Messages

To resolve issues caused by database indexing errors, the administrator has the possibility to "re-index" the files, following advice from the CBL support team.

In the case of file matching errors, the function "re-matching" will fix such errors.



Roundings

To resolve issues caused by potential rounding errors, administrators may determine via the Rounding menu a tolerance value for the amounts per currency.

By defining the tolerance value, discrepancies between MT564/566 and internal data caused by rounding issues can be resolved and amounts automatically reconciled.

1. Select **Roundings** in the navigation panel, under **Administrator Settings**;
2. Click on the currency that you want to change the rounding value for;
3. The currency will appear in the Selected values box;
4. Type in the new rounding amount;
5. Click on **Insert** in the Actions box.

Scheduling Import

File imports can be scheduled by:

1. Select **Scheduling Import** in the navigation panel, under **Administrator Settings**;
2. Choose the Service (CBL or Internal) from the dropdown list in the Service box;
3. Type in the time for the import in the Time box, or use the arrows;
4. Click on **Insert**;
5. Repeat steps 2 and 3 for all times;
6. Click on **Save**.

Once saved, the change is effective immediately, and the CBL Next Import time is displayed at the top of the screen.

Using the Income Monitoring Tool

The commands for the MT564, MT566 and Internal Data are the same.

By selecting MT564 in the navigation panel, the user will see a list of all MT564 with the CBL status pending, with a value date in the range of -30 to +5 business days from the current business day.

By selecting MT566 in the navigation panel, the user will see a list of all MT566 with the CBL status pending, with a posting date in the range from -5 business days to the current business day.

By selecting Internal in the navigation panel, the user will see a list of all Internal data, and the status against the CBL MT564 and MT566.

Lifecycle

To view the lifecycle of an event, select an event and either:

- Select Lifecycle in the navigation panel; or
- Right click on the event, and select Lifecycle from the menu; or
- Select Action, Lifecycle from the menu bar.

The lifecycle will open in a new tab, and all versions of the message related to an event are displayed. The fields that are different from the original message are highlighted in blue.

Linked message

To view corresponding MT564, MT566 and Internal data, select an event and either:

- Select Linked Message in the navigation panel; or
- Right click on the event, and select Linked Message from the menu; or
- Select Action, Linked Message from the menu bar.

The linked messages will open in a new tab, and any differences between the MT564, the MT566 and the Internal data are highlighted in blue.

Query

It is possible to query most of the data available in all message types.

To query events:

1. either:
   - Select Query in the navigation panel; or
   - Right click on the event, and select Query from the menu; or
   - Select Action, Query from the menu bar
2. Choose the relevant criteria;

   If the symbol is beside the field it is possible to make multiple selections, it is also possible to enter free text in the Narrative field.
3. Click on Execute.

A new tab will open with the messages that meet the criteria.

To save a query after performing a query:

1. Click on the Query tab;
2. Click on Save as...;
3. Enter a name for the query.

To use a saved query:

1. Select Query using one of the methods above;
2. Choose the saved query from the dropdown list in the Saved queries box;
3. Click on Load.

Details

To view an HTML version of MT564 , MT566 and internal data:

1. Select the event.
2. Either right-click and select Details; or

   Select Action, Details

An HTML version of the message will open in a new tab. This can be printed by right-click and select print from the browser menu.

Printing multiple details

To print multiple HTML versions of MT564, MT566 and internal data:

1. Select the events using CTRL+left-click, not necessary if you want to export all items from a query;
2. Either right-click and select Print Details, then choose All or Selected; or

   Select List, and select Print Details, then choose All or Selected.

An HTML version of the first message will open in a new window, and the browser Print dialogue box will appear so that you can choose the printer.

Exporting to PDF or XLS

MT564, MT566 and internal data can be exported as PDF or XLS files. Query results can be exported partially or in full.

To export one event, select the event using left click. To export multiple events, select the events using CTRL+left click.

1. Select the event(s), not necessary if you want to export all items from a query;
2. Either right-click and select either Export PDF or Export XLS, then choose All or Selected; or

   Select List, and select either Export PDF or Export XLS, then choose All or Selected.

Either a PDF file or an XLS file will open in a new tab. You can choose to print or save the displayed result.

Manual reconciliation

If the reason for a discrepancy has been identified and resolved, it is possible to manually reconcile payments.

1. Select the event;
2. Either right-click and select Manual Reconcile, Reconciled; or

   Select Action, Manual Reconcile, Reconciled.

The Reconcile dialogue box appears, and enter a reconciliation comment. Click Reconcile.

The Status CBL will change to Reconciled.

To undo, follow the steps above choosing Undo Reconciled in place of Reconciled.

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