Oracle Financial Services Personal Trading Approval
User Guide

Release 6.2.2
December 2013

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About this Guide

The *Oracle Financial Services Personal Trading Approval User Guide* explains the concepts of Oracle Financial Services Personal Trading Approval and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in This Guide

Who Should Use this Guide

The *Oracle Financial Services Personal Trading Approval User Guide* is designed for the following users of the Personal Trading Approval application.

- Employee
- Control Room Supervisor
- Control Room Analyst
- IP Manager Supervisor
- IP Manager

How this Guide is Organized

The *Oracle Financial Services Personal Trading Approval User Guide* includes the following topics:

- Chapter 1, *About Personal Trading Approval*, describes the Personal Trading Approval application, its workflow, and user roles and actions.
- Chapter 2, *Getting Started*, explains how to access and login to the application.
- Chapter 3, *Pre-Trade Approval*, provides information about navigating through the User Interface and performing various actions in the Pre-Trade Approval section.
- Chapter 4, *Account Approval Request* provides information about navigating through the User Interface and performing various actions in the Account Approval Request section.
- Chapter 5, *Attestation* provides information about navigating through the User Interface and performing various actions in the Attestation section.
- Chapter 6, *Reports* provides information about the various reports used by the Personal Trading Approval application.

Where to Find More Information

For more information on Oracle Financial Services Personal Trading Approval, refer to the following documents:

- *Administration Guide*
- *Configuration Guide*
- *Personal Trading Approval Installation Guide*
- *Release Notes*

To find additional information about how Oracle Financial Services solves real business problems, see our Web site at www.oracle.com/financialservices.

Conventions Used

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1

About Personal Trading Approval

This chapter provides information about the Oracle Financial Services Personal Trading Approval application.

This chapter discusses the following topics:

- Overview of Personal Trading Approval
- User Roles and Actions

Overview of Personal Trading Approval

The Personal Trading Approval (PTA) application allows employees to submit a trade request in their investment approved accounts (submitted via the Account Approval workflow). The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure. Users with Control Room Analyst or Control Room Supervisor roles may approve or reject the submitted trade request. Users with the Investment Policy (IP) Managers or IP Manager Supervisor role may approve or reject the submitted trade request initially approved by Control Room Supervisor or Analyst user when Four-Eyes Approval is enabled.

User Roles and Actions

The following user roles have access to the Personal Trading Approval application:

- Employee
- Control Room Supervisor
- Control Room Analyst
- IP Manager Supervisor
- IP Manager

The following table describes the actions these users can take within the PTA application.

Table 2. Personal Trading Approval User Roles and Actions

Action	Employee	Control Room Analyst	Control Room Supervisor	IP Manager Supervisor	IP Manager
Add Comment to Account Approval Request	X	X	X	X	X
Add Comment to Pre-Trade Approval Request	X	X	X	X	X
Approve Pre-Trade Approval Request		X	X	X	X
Approve Pre-Trade Approval Request w/ Corrections				X	X

Table 2. Personal Trading Approval User Roles and Actions

Action	Employee	Control Room Analyst	Control Room Supervisor	IP Manager Supervisor	IP Manager
Approve Submitted Account Approval Request		X	X	X	X
Attach Account Closure and Removal Documents to Account Approval Request	X				
Auto-Approve Pre-Trade Approval Request		X	X	X	
Auto-Reject Pre-Trade Approval Request		X	X	X	
Clear Submitted Pre-Trade Approval Request		X	X		
Clear Submitted Pre-Trade Approval Request w/ Corrections		X	X		
Confirm Account Closure and Removal		X	X		
Decline Account Closure and Removal		X	X		
Modify Cleared Account					
Reassign Account Approval Requests		X	X	X	
Reassign Pre-Trade Approval Request		X	X	X	
Reject Account Approval Request Due to Data Error		X	X		
Reject Submitted Account Approval Request		X	X	X	X
Reject Submitted Pre-Trade Approval Request		X	X	X	X
Remove Approved Account	X				
Request Exception for Rejected Account Approval Request	X				
Submit Account Approval Request	X				
Submit Corrected Account Approval Request	X				
Submit Pre-Trade Approval Request	X				
View Account Approval Requests		X	X		
View Pre-Trade Approval Request		X	X		
Submit Attestation	X				
Resubmit Attestation	X				
View Attestation		X	X		
Reviewed Attestation		X	X		
Reviewed Attestation with Follow-up		X	X		
Reassign Attestation		X	X		
Add Comment to Attestation	X	X	X		

These actions are described in greater detail in their respective chapters.

CHAPTER 2 Getting Started

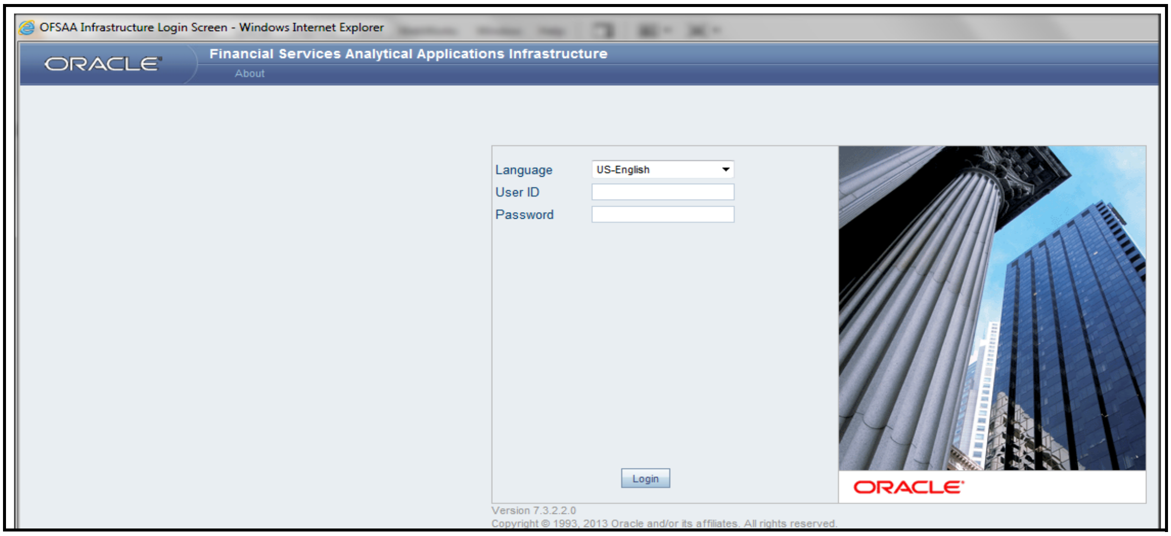
This chapter explains the steps to login to the Personal Trading Approval application.

Logging in to the PTA Application

Once the application is installed and configured, you can access the PTA application through the Web Browser or through the Oracle Financial Services Analytic Application (OFSAAI).

To access the PTA application from OFSAAI, follow these steps:

1. Enter the OFSAAI URL in your browser. The OFSAAI Login page appears.



OFSAA Infrastructure Login Screen - Windows Internet Explorer
ORACLE
Financial Services Analytical Applications Infrastructure
About
User ID
Password
Login
ORACLE

Language: US-English

Version 7.3.2.2.0

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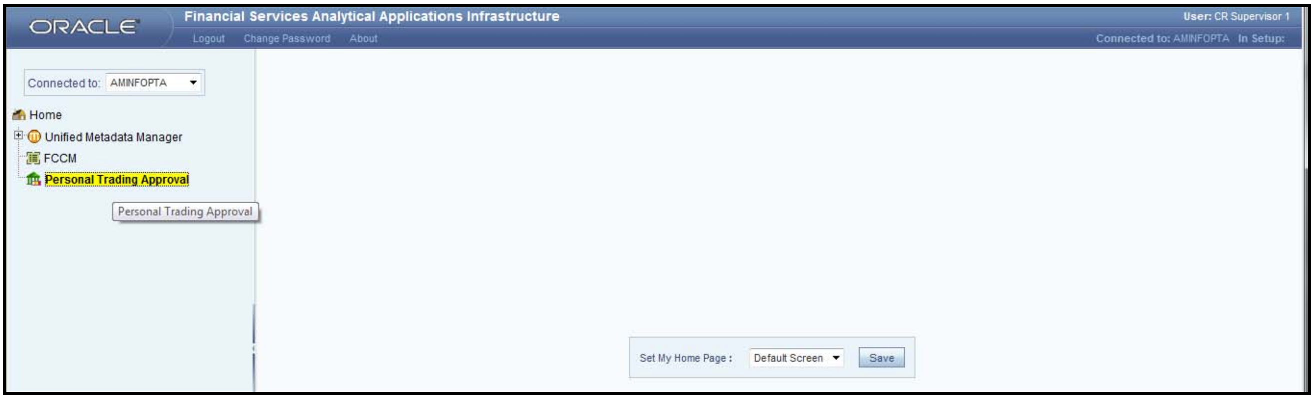
Figure 1. PTA Application Login

2. Select the **Language** from the Language drop-down.
3. Enter your **User ID** and **Password**.
4. Click **Login**. The OFSAAI Home page is displayed.


ORACLE
Financial Services Analytical Applications Infrastructure
Logout
Change Password
About
Home
Unified Metadata Manager
FCCM
Personal Trading Approval
Personal Trading Approval
Save

User: CR Supervisor 1

Connected to: AMINFOPTA In Setup:

Connected to: AMINFOPTA

Set My Home Page : Default Screen

Figure 2. OFSAAI Home Page

5. Click **Personal Trading Approval**. The Oracle Financial Services Personal Trading Approval page that pertains to your user role is displayed.

CHAPTER 3

Account Approval

This chapter describes the Account Approval section of the Personal Trading Approval application and covers the following topics:

- About Account Approval
- User Roles and Actions
- E-mail Notifications
- Managing Account Approval Requests from My Requests (Employee)
- Managing Account Approval Requests from Control Room

About Account Approval

Firms that allow employees to hold investment accounts outside of the firm require disclosure of any such accounts for approval. In some instances, firms only allow outside investment accounts at preferred servicing broker/dealers. In the case where the employee does not hold an account at an approved broker/dealer, the firm may request that the account be closed and usually requires documentation proving the same. If an employee does not have any accounts held outside of the firm, an attestation from the employee stipulating the same must be entered and subsequently reviewed by a firm's compliance department (usually the Control Room).

The Account Approval section of the Personal Trading Approval application allows employees to submit an Account Approval request on each investment account held with a broker/dealer outside of their firm for approval to trade in this account.

Users with Control Room Analyst or Control Room Supervisor roles may approve or reject the submitted account request. Users with the Investment Policy (IP) Managers or IP Manager Supervisor role may approve or reject the submitted account request initially approved by a Control Room Supervisor or Analyst user when Four-Eyes Approval is enabled.

User Roles and Actions

The following users have access to Account Approval:

- Employee
- Control Room Supervisor
- Control Room Analyst
- IP Manager Supervisor
- IP Manager

The following table describes the actions these users can take within Account Approval.

Table 3. Account Approval User Roles and Actions

Action	Employee	Control Room Supervisor	Control Room Analyst	IP Manager Supervisor*	IP Manager*
Submit Request	X				
View Request		X	X		
Approve Request		X	X	X	X
Reject Request		X	X	X	X
Approve Request on Behalf of Investment Policy Manager		X*	X*		
Reject Request on Behalf of Investment Policy Manager		X*	X*		
Request an Exception for Rejected Request	X				
Attach Document(s) Provided for Account Closure or Removal on Request	X				
Confirmed Account Closure or Removal in Request		X	X		
Declined Account Closure or Removal in Request		X	X		
Modify Cleared Request	X				
Reject Request Due to Data Error		X	X		
Remove Approved Account in Request	X				
Corrected Request	X				
Reassign Account Approval Requests		X	X	X	
Add Comment to Account Approval Request	X	X	X	X	X

* Actions are available only if Four Eyes Approval is enabled

E-mail Notifications

Notifications are messages sent to a user stating that an action has been performed in the application or that an action should be performed. They can be viewed from your e-mail Inbox. The following table lists who will receive notifications.

Table 4. Account Approval E-mail Notifications by User Roles and Actions

Action	Employee	Control Room Supervisor or Analyst	Investment Policy Manager Supervisor or Manager*
Submit Request	X	X**	
View Request	X	X	
Approve Request	X	X	X***

Table 4. Account Approval E-mail Notifications by User Roles and Actions

Action	Employee	Control Room Supervisor or Analyst	Investment Policy Manager Supervisor or Manager*
Reject Request	X	X	
Approve Request on Behalf of Investment Policy Manager	X	X	
Reject Request on Behalf of Investment Policy Manager	X	X	
Request an Exception for Rejected Request	X	X	
Attach Document(s) Provided for Account Closure or Removal on Request	X	X	
Confirmed Account Closure or Removal in Request	X	X	
Declined Account Closure or Removal in Request	X	X	
Modify Cleared Request	X	X**	
Reject Request Due to Data Error	X	X	
Remove Approved Account in Request	X	X	
Corrected Request	X	X	
Reassign Request		X	X
Add Comment to Request	X	X	

* Actions are available only if Four Eyes Approval is enabled.

** All users within Control Room with this role will receive an e-mail notification of the submission of a request.

*** Only when status of request changes to *Recommend Approve*.

Managing Account Approval Requests from My Requests (Employee)

This page is only accessible to users designated to the Employee role. The user will see a list of their own submitted personal investment account requests held at a broker/dealer submitted outside the firm for approval to trade. The list will also show the current status of each Account Approval request submitted by the user and depending on the status can take certain actions on a request.

This section allows users mapped to the Employee user role to view, submit, remove, and add comments to their account approval requests. An employee can also *Request an Exception* if a request has been *Rejected* by the Control Room resulting in a *Pending Closure/Removal* status on the request.

This section discusses the following topics:

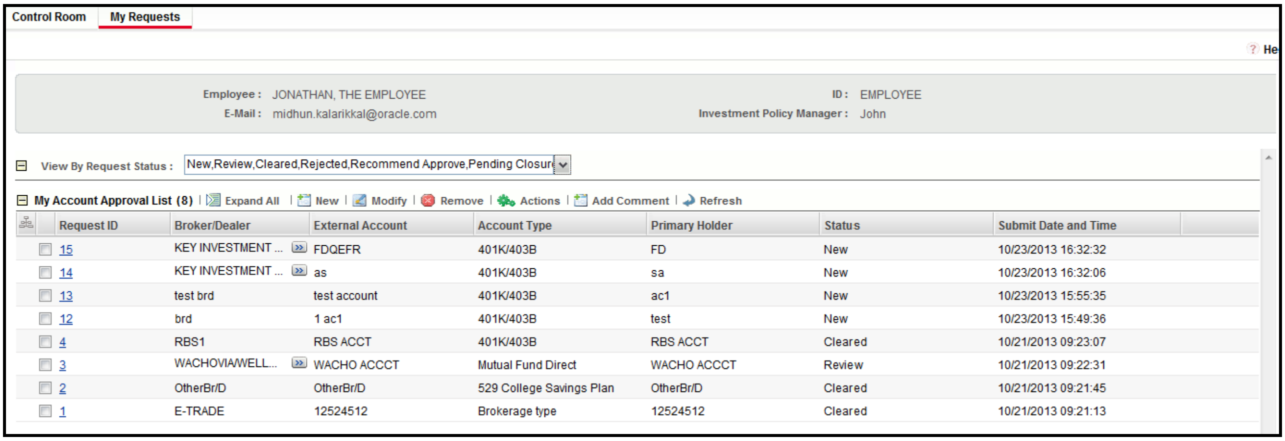
- Accessing Account Approval
- Viewing My Account Approval Requests
- Submitting a New Account Approval Requests
- Editing My Account Approval Request
- Removing My Account Approval Request
- Adding Comments to My Account Approval Request

Accessing Account Approval

This section explains how to access the Account Approval section in the Oracle Financial Services Personal Trading Approval application.

To access the Account Approval section of Personal Trading Approval, follow these steps:

1. Login to the OFSPTA application as an Employee user. The My Pre-Trade Approval Requests page is displayed.
2. Select **Account Approval** from the **My Requests** menu. The My Account Approval List page is displayed.


Control Room
My Requests
He

Employee : JONATHAN, THE EMPLOYEE
E-Mail : midhun.kalarikkal@oracle.com
ID : EMPLOYEE
Investment Policy Manager : John

View By Request Status : New,Review,Cleared,Rejected,Recommend Approve,Pending Closur

My Account Approval List (8) | Expand All | New | Modify | Remove | Actions | Add Comment | Refresh

	Request ID	Broker/Dealer	External Account	Account Type	Primary Holder	Status	Submit Date and Time
☐	15	KEY INVESTMENT ...	FDQEFR	401K/403B	FD	New	10/23/2013 16:32:32
☐	14	KEY INVESTMENT ...	as	401K/403B	sa	New	10/23/2013 16:32:06
☐	13	test brd	test account	401K/403B	ac1	New	10/23/2013 15:55:35
☐	12	brd	1 ac1	401K/403B	test	New	10/23/2013 15:49:36
☐	4	RBS1	RBS ACCT	401K/403B	RBS ACCT	Cleared	10/21/2013 09:23:07
☐	3	WACHOVIA/WELL...	WACHO ACCCT	Mutual Fund Direct	WACHO ACCCT	Review	10/21/2013 09:22:31
☐	2	OtherBr/D	OtherBr/D	529 College Savings Plan	OtherBr/D	Cleared	10/21/2013 09:21:45
☐	1	E-TRADE	12524512	Brokerage type	12524512	Cleared	10/21/2013 09:21:13

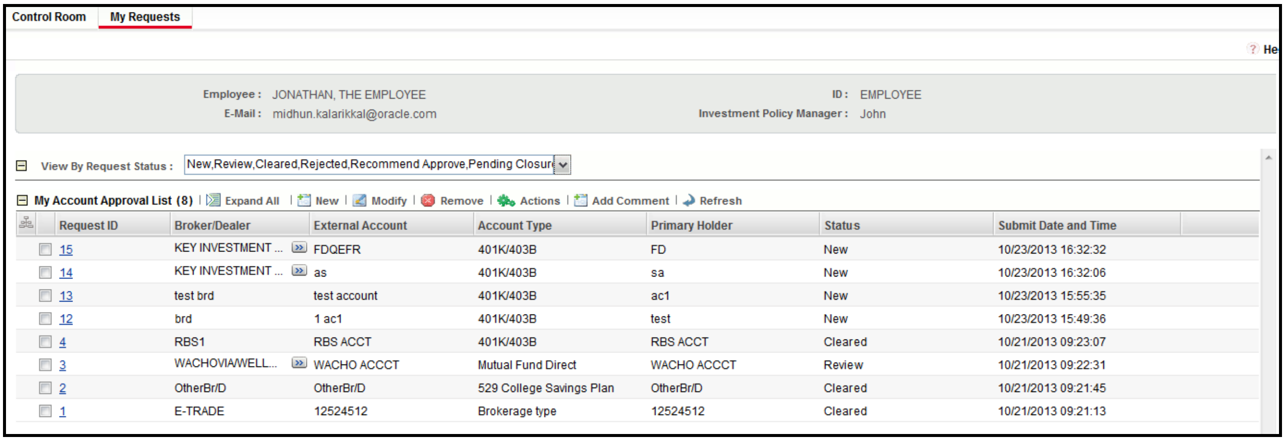
Figure 3. My Account Approval List Page

Viewing My Account Approval Requests

The My Pre-Trade Approval Requests List page allows you to search and view your submitted Account Approval requests in the My Account Approval Requests page.

To view the Account Approval requests, follow these steps.

1. Select **Account Approval** from the **My Requests** menu. The My Account Approval List page is displayed.



Employee : JONATHAN, THE EMPLOYEE
E-Mail : midhun.kalarikkal@oracle.com
ID : EMPLOYEE
Investment Policy Manager : John

View By Request Status : New,Review,Cleared,Rejected,Recommend Approve,Pending Closur

	Request ID	Broker/Dealer	External Account	Account Type	Primary Holder	Status	Submit Date and Time
☐	15	KEY INVESTMENT ...	FDQEFR	401K/403B	FD	New	10/23/2013 16:32:32
☐	14	KEY INVESTMENT ...	as	401K/403B	sa	New	10/23/2013 16:32:06
☐	13	test brd	test account	401K/403B	ac1	New	10/23/2013 15:55:35
☐	12	brd	1 ac1	401K/403B	test	New	10/23/2013 15:49:36
☐	4	RBS1	RBS ACCT	401K/403B	RBS ACCT	Cleared	10/21/2013 09:23:07
☐	3	WACHOVIA/WELL...	WACHO ACCCT	Mutual Fund Direct	WACHO ACCCT	Review	10/21/2013 09:22:31
☐	2	OtherBr/D	OtherBr/D	529 College Savings Plan	OtherBr/D	Cleared	10/21/2013 09:21:45
☐	1	E-TRADE	12524512	Brokerage type	12524512	Cleared	10/21/2013 09:21:13

Figure 4. My Account Approval List Page

2. Select the status of the Account Approval request from the **View By Request Status** drop-down list. For example, Reviewed, Rejected, and so on. The selected list is displayed.

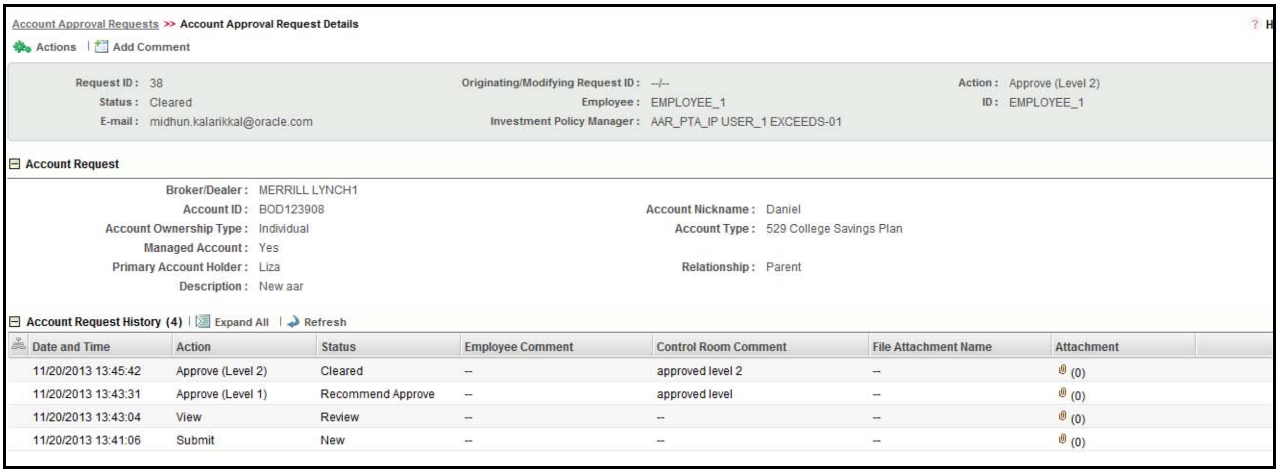
   Note: You can select multiple statuses. Account Approval Requests with status values as selected from the drop-down list are displayed.

3. Click the Request ID to open the Account Approval Request Details page.

Viewing Account Approval Request Details

To view the details for an Account Approval request, follow these steps:

1. Navigate to the My Account Approval Requests List page.
2. Click the Request ID for the request you wish to view. The Request Details page displays.


Account Approval Requests >> Account Approval Request Details
Actions
Add Comment
H
Account Request
Account Request History (4)
Expand All
Refresh

Request ID : 38
Status : Cleared
E-mail : midhun.kalarikkal@oracle.com
Originating/Modifying Request ID : --/--
Employee : EMPLOYEE_1
Investment Policy Manager : AAR_PTA_IP USER_1 EXCEEDS-01
Action : Approve (Level 2)
ID : EMPLOYEE_1

Broker/Dealer : MERRILL LYNCH1
Account ID : BOD123908
Account Ownership Type : Individual
Managed Account : Yes
Primary Account Holder : Liza
Description : New aar
Account Nickname : Daniel
Account Type : 529 College Savings Plan
Relationship : Parent

Date and Time	Action	Status	Employee Comment	Control Room Comment	File Attachment Name	Attachment
11/20/2013 13:45:42	Approve (Level 2)	Cleared	--	approved level 2	--	(0)
11/20/2013 13:43:31	Approve (Level 1)	Recommend Approve	--	approved level	--	(0)
11/20/2013 13:43:04	View	Review	--	--	--	(0)
11/20/2013 13:41:06	Submit	New	--	--	--	(0)

Figure 5. Request Details page

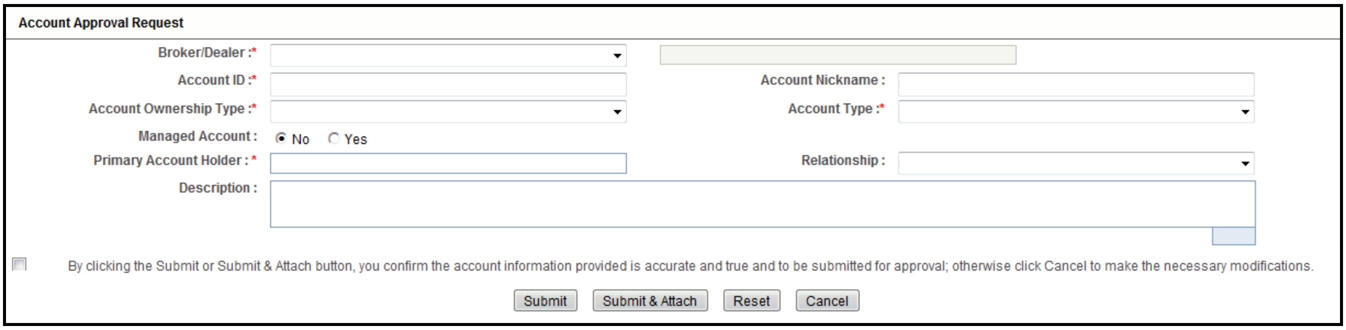
The Request Details page contains current information of the selected Account Approval request and the history of the actions taken on this Account Approval request.

Submitting a New Account Approval Requests

An employee of the Oracle client must disclose all personal investment accounts to their employer for approval to trade within these accounts. You can submit a new Account Approval request from the My Account Approval List page.

To submit an Account Approval request, follow these steps:

1. Navigate to the My Account Approval List page.
2. Click **New**. The New Account Approval Request page displays.



Managed Account : ● No ○ Yes

☐ By clicking the Submit or Submit & Attach button, you confirm the account information provided is accurate and true and to be submitted for approval; otherwise click Cancel to make the necessary modifications.

Figure 6. New Account Approval Request Page

3. Enter the following information in the New Account Approval Request fields. Fields marked with an asterisk (*) are mandatory.

Table 5. Add New Account Approval Request

Field	Description
Broker/Dealer	Select the broker/dealer in which your personal investment account is held to be submitted in this Account Approval request from the drop-down list. If the broker/dealer is not on the list, select "Other" and the Broker/Dealer text box will be enabled on the right which allows you to manually enter the name of the broker/dealer.
Account ID	Enter the account number of your personal investment account.
Account Nickname	Enter the nickname of your personal investment account to be submitted in this request. This field can hold 100 characters.
Account Ownership Type	Select the type of ownership you will have on this account.
Account Type	Select the account type of this personal investment account.
Managed Account	Select whether this personal investment account is a managed account.
Primary Account Holder	Enter the name of the primary account holder of this personal investment account.
Relationship	Select the relationship of the Primary Account Holder of this personal investment account to this employee.
Description	Enter a description of this account.

4. Mark the agreement statement check box to approve that the above entries are correct.
5. Click **Submit**. The New Account Approval Request Confirmation box displays the following message: *Successfully created request <Account Approval request ID>.*

6. Click **OK**. The following message displays: *Account Approval Request has been successfully submitted.*

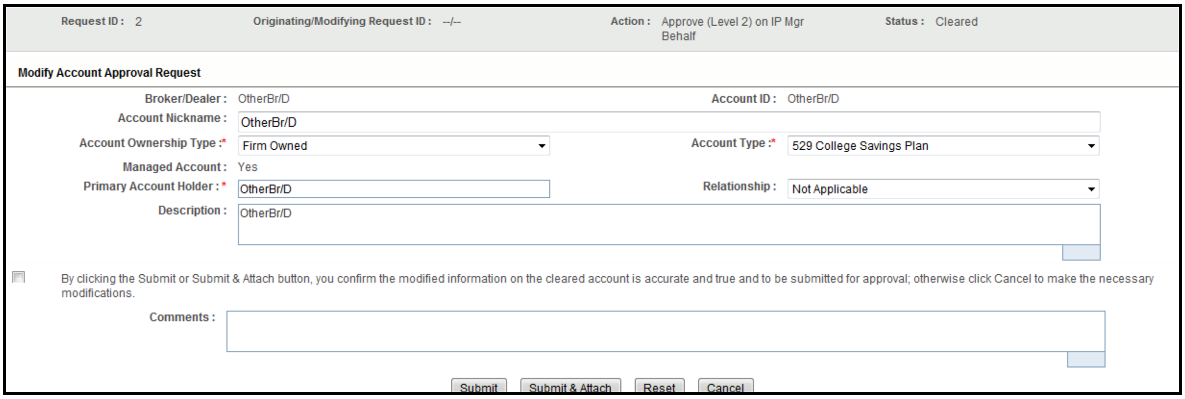
Editing My Account Approval Request

An account request that has a *Cleared* status to trade can be modified if there have been any informational changes to this account, such as an individual account has been modified to a joint account or the primary account holder's name has changed. Note that when changing a Cleared account, the account number cannot be altered. If an account held at broker/dealer is acquired by a new broker/dealer and a new account number is issued, you must resubmit this new account for approval.

If an account request was erroneously entered into the system, you must notify an authorized person in the Control Room of this error. They will then reject this request in the system. The account request will have a *Rejected* status indicating that there is an error present, which will allow you to make changes to any information in any of the fields, including the broker/dealer and account number. Once you have resubmitted the changes, the request must be go through the approval process.

To edit an Account Approval request, follow these steps:

1. Navigate to the My Account Approval List page.
2. Select the request you wish to edit, by checking the box associated with it.
3. Click **Modify**. The Modify Account Approval Request page displays.



Request ID : 2
Originating/Modifying Request ID : --/--
Action : Approve (Level 2) on IP Mgr Behalf
Status : Cleared

Modify Account Approval Request

Broker/Dealer : OtherBr/D
Account ID : OtherBr/D
Account Nickname : OtherBr/D
Account Ownership Type :* Firm Owned
Account Type :* 529 College Savings Plan
Managed Account : Yes
Primary Account Holder :* OtherBr/D
Relationship : Not Applicable
Description : OtherBr/D

☐ By clicking the Submit or Submit & Attach button, you confirm the modified information on the cleared account is accurate and true and to be submitted for approval; otherwise click Cancel to make the necessary modifications.

Comments :

Figure 7. Modify Account Approval Request Page

4. Make the necessary changes and click **Save**. For more information about these fields, refer to Table 5 on page 10.A new Account Approval request is created as part of this modification and the following message displays: *<New Account Approval Request ID #> successfully created as a New Request. This new request is a modification to Cleared Request <Prior Modified Cleared Account Approval Request ID # >.*
5. Click **OK**.

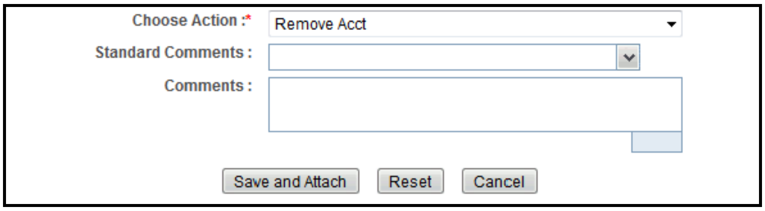
Removing My Account Approval Request

When a personal investment account that has been *Cleared* to trade has been closed at the broker/dealer or an account has a been issued a new account number due to a change with the broker/dealer, the existing *Cleared* account should be removed from the system. Therefore the you can request this *Cleared* account to be removed as you can no longer trade in this investment account.

You will need to provide further proof of documentation that the account has indeed been closed at the broker/dealer or account number has changed.

To remove an Account Approval request, follow these steps:

1. Navigate to the My Account Approval List page.
2. Select the request you wish to edit, by checking the box associated with it.
3. Click **Remove**. The Account Approval Actions window displays with the Remove Acct action pre-selected.



Choose Action :* Remove Acct

Figure 8. Account Approval Actions Window

4. Enter the following information in the Account Approval Actions window.

Table 6. Remove Account Window Fields

Field	Description
Choose Action	The **Remove Acct** action will be pre-selected in the drop-down list.
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comments	Enter any additional comments.

> **Note:** It is recommended that when this action is taken, that the employee attach any documentation to prove that an account has been closed or an account number has been changed.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Account Approval Request has been successfully removed.*

Adding Comments to My Account Approval Request

You can add comments anytime to a request without changing the request's existing status. For example, you would add a comment if the Control Room has requested additional documentation.

To add a comment to an Account Approval request, follow these steps:

1. Navigate to the My Account Approval List page.

2. Select the request you wish to edit, by checking the box associated with it and click **Add Comment**. The Add Comment page displays.
   Or:
   Click the Request ID to open the Account Approval Request Details page. Click **Add Comment**. The Add Comment window displays.

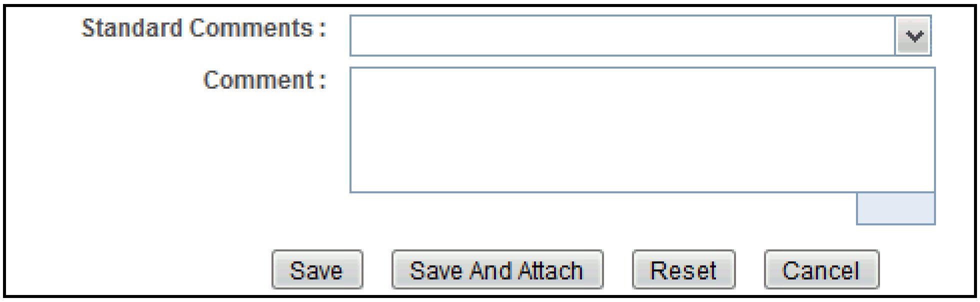


Figure 9. Add Comment Window

3. Enter the following information in the Add Comment window.

Table 7. Add Comment Page Fields

Field	Description
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comment	Enter any additional comments.

4. Click **Save** or **Save and Attach**.

   Note: If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Comment has been successfully added.*

Managing Account Approval Requests from Control Room

This section allows Control Room Supervisors, CR Analysts, IP Manager Supervisors and IP Managers to search, view, reassign, and approve or reject account approval requests.

This section discusses the following topics:

- Accessing Account Approval
- Searching Account Approval Requests
- Reassigning Account Approval Requests
- Approving or Rejecting Account Approval Requests
- Adding Comments to Account Approval Requests

Accessing Account Approval

This section explains how to access the Account Approval section in the Oracle Financial Services Personal Trading Approval application.

To access the Account Approval section of Personal Trading Approval, follow these steps:

1. Login to the OFSPTA application using the Control Room Supervisor, CR Analyst, IP Manager Supervisor or IP Manager user role.
2. Click **Control Room** and select **Account Approval**. The Account Approval Requests List page is displayed.

Searching Account Approval Requests

The Account Approval Requests List page allows you to search and view the submitted Account Approval requests by employees in your firm.

The Search and List page allows you to filter the Account Approval Requests that you want to view and analyze. The Account Approval Requests search section supports two types of search- Basic Search and Views. You can use only one search type at a time.

This section explains the following topics:

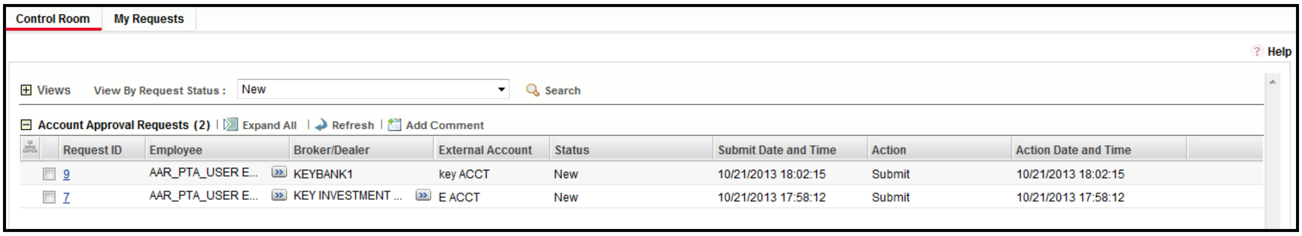
- Searching Account Approval Requests Using Pre-defined Views
- Searching Account Approval Requests Using Basic Search

Searching Account Approval Requests Using Pre-defined Views

To determine which types of requests display in the Account Approval Requests List, you can filter Account Approval requests using the pre-defined views.

To search Account Approval requests using Pre-defined Views, follow these steps:

1. Navigate to the Account Approval Requests List page.
2. Select the status, such as New or Cleared, and so on from the **View By Request Status** drop-down list.



View By Request Status : New

Account Approval Requests (2)

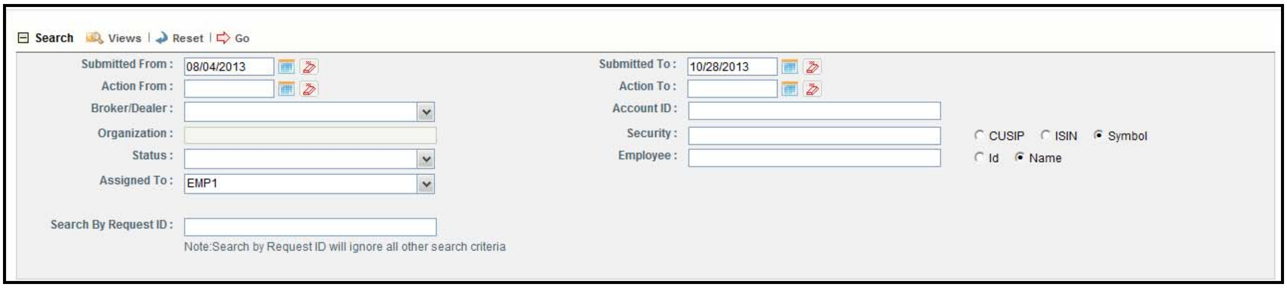
	Request ID	Employee	Broker/Dealer	External Account	Status	Submit Date and Time	Action	Action Date and Time
☐	9	AAR_PTA_USER E...	KEYBANK1	key ACCT	New	10/21/2013 18:02:15	Submit	10/21/2013 18:02:15
☐	7	AAR_PTA_USER E...	KEY INVESTMENT ...	E ACCT	New	10/21/2013 17:58:12	Submit	10/21/2013 17:58:12

Figure 10. Account Approval Request List Page

Searching Account Approval Requests Using Basic Search

To search Account Approval requests list using Basic Search, follow these steps:

1. Navigate to the Account Approval Requests List page.
2. Click **Search**. The Search Details section is displayed.



Submitted From : 08/04/2013
Action From :
Broker/Dealer :
Organization :
Status :
Assigned To : EMP1
Search By Request ID :
Note:Search by Request ID will ignore all other search criteria

Submitted To : 10/28/2013
Action To :
Account ID :
Security : ○ CUSIP ○ ISIN ● Symbol
Employee : ○ Id ● Name

Figure 11. Search Details

3. Enter criteria into the **Search** section. The following table lists the fields that display in the Account Approval Request Search section.

Table 8. Account Approval Request Search Fields

Field	Description
Submitted From	Select the starting range date of submission of the account approval request from the **Calendar icon.**
Submitted To	Select the ending range date of submission of the account approval request from the **Calendar icon.**
Action From	Select the starting range date of the last action taken on the account approval request from the **Calendar icon.**
Action To	Select the ending range date of the last action taken on the account approval request from the **Calendar icon.**
Broker/Dealer	Select broker/dealer from the drop-down list.
Account ID	Enter account ID. Wildcard characters '%' and '_' are supported for this field.
Request Status	Select status of the account approval request from the drop-down list. For example, New or Cleared.
Employee	Enter the name or ID of the employee who submitted this account approval request and select the ID or Name radio button as applicable. Wildcard characters '%' and '_' are supported for this field.

Table 8. Account Approval Request Search Fields (Continued)

Field	Description
Assigned To	Select the identifier of the current user or group of users to whom this account approval request is assigned
Owner	Select the identifier of the current user or group of users who has viewable ownership of this account approval request.
Search by Request ID	Enter the unique Request ID. Using this search field ignores all other search criteria.

4. Click **Go**. Account Approval Requests which satisfy the selected filter criteria are displayed in the list grid.

Warning: If there are no matched details with the given search criteria then Alert window displays following message: *No data met the selected filter criteria. Please enter new filter criteria.*

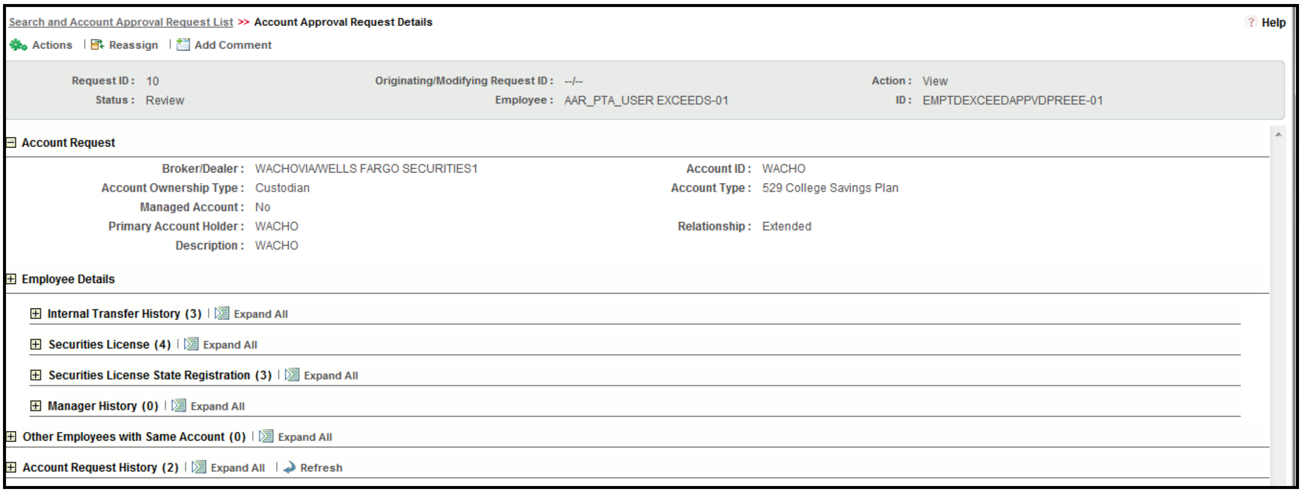
Note: You can click **Reset** to reset the field values to default.

Viewing Account Approval Request Details

You can find more information about the Account Approval Request on the Account Approval Request Details page.

To view the Account Approval Request details, follow these steps:

1. Navigate to the Account Approval Requests List page.
2. Click the request ID for the request you wish to view further details on. The Account Approval Request Details page displays.


Search and Account Approval Request List >> Account Approval Request Details
Help
Actions
Reassign
Add Comment
Account Request
Employee Details
Internal Transfer History (3)
Expand All
Securities License (4)
Expand All
Securities License State Registration (3)
Expand All
Manager History (0)
Expand All
Other Employees with Same Account (0)
Expand All
Account Request History (2)
Expand All
Refresh

Request ID : 10
Status : Review
Originating/Modifying Request ID : --/--
Employee : AAR_PTA_USER EXCEEDS-01
Action : View
ID : EMPTDEXCEEDAPPVDPREEE-01

Broker/Dealer : WACHOVIA/WELLS FARGO SECURITIES1
Account Ownership Type : Custodian
Managed Account : No
Primary Account Holder : WACHO
Description : WACHO
Account ID : WACHO
Account Type : 529 College Savings Plan
Relationship : Extended

Figure 12. Account Approval Request Details page

The Account Approval Request Details page contains the following details:

- **Account Request**: Details of the account approval request.
- **Employee Details**: Details of the employee who submitted this account approval request.
- **Internal Transfer History**: Internal role transfer history of this employee within the firm.
- **Securities License**: List of securities licenses acquired by this employee.

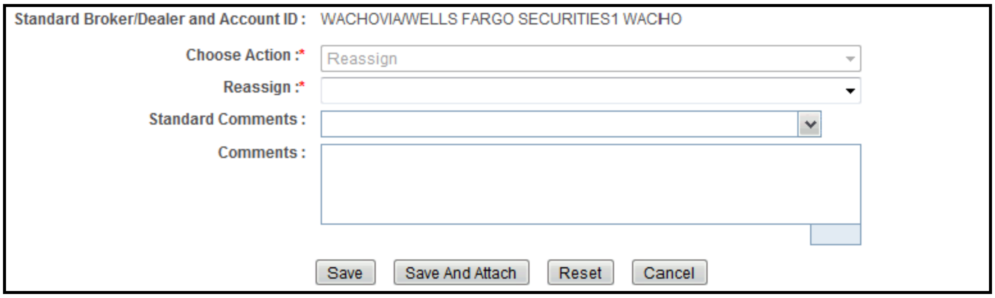
- **Securities License State Registration**: List of states where this employee has registered.
- **Manager History**: List of managers who have supervised this employee within the firm.
- **Other Employees with Same Account**: List of other employees within the firm that share the same account.
- **Account Request History**: History of actions taken on this account approval request.

Reassigning Account Approval Requests

A request may be reassigned to another user in the event the current assignee of the request is not available to take action on the request. This is useful especially if the request is assigned to a user that will be out of office or has permanently left the firm. The request must be reassigned to someone else to move the request along the process. Only those assigned to the request can take action on the request.

To reassign an Account Approval request, follow these steps:

1. Navigate to the Account Approval Requests List page.
2. Click the Request ID for the request you wish to reassign. The Account Approval Request Details page displays.
3. Click **Reassign**. The Account Approval Request Reassign Action window displays.



Standard Broker/Dealer and Account ID : WACHOVIA/WELLS FARGO SECURITIES1 WACHO
Choose Action :* Reassign
Reassign :*
Standard Comments :
Comments :

Figure 13. Reassign Action Window

4. Enter the following information in the Reassign Action window. The following table lists the fields that display in the Reassign Action details. Fields marked with an asterisk (*) are mandatory.

Table 9. Reassign Action Fields

Field	Description
Standard Broker/Dealer and Account ID	Lists the Broker/Dealer and Account ID for the account you have selected to reassign. This is not editable.
Choose Action	The **Reassign** action is pre-selected from the drop-down list.
Reassign	Select the user to whom the request is to be re-assigned from the drop-down list.
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.

5. Click **Save** or **Save and Attach**.

Note: If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Account Approval Request has been successfully reassigned.*

Approving or Rejecting Account Approval Requests

Note: This functionality applies only to users with a non-Employee role.

After an Account Approval request has been submitted by an Employee, it is sent for approval or rejection. An IP Manager, IP Manager Supervisor, CR Supervisor or CR Analyst considers the request and moves the request through the approval process.

An IP Manager Supervisor or IP Manager can approve or reject a request only if Four-Eyes Approval is enabled and the Investment Policy Manager is designated to the employee who made the request. If the IP Manager or Manager Supervisor assigned to the request is unavailable, the CR Supervisor or Analyst can approve or reject the request on behalf of the assigned IP Manager or Manager Supervisor. Otherwise, a CR Supervisor/Analyst can give final approval or rejection to a request if Four-Eyes Approval is disabled or the employee who submitted the request is not designated to an IP Manager.

The following sections describe how to approve or reject Account Approval requests:

- Approving Account Requests
- Approving Account Approval Requests with 4-Eyes Approval
- Rejecting Account Approval Requests
- Using Auto-Approval/Auto-Rejection

Approving Account Requests

If Four-Eyes Approval, Auto-Reject, and Auto-Approve functionality is disabled, a user with the CR Supervisor/Analyst role must review each request submitted by an employee of the firm and manually determine if it should be rejected or approved.

To approve Account Approval requests manually, follow these steps:

1. Navigate to the Account Approval Requests List page.
2. Click the Request ID. The Account Approval Request details page displays.
3. Click **Actions**. The Account Approval Request Action window displays.

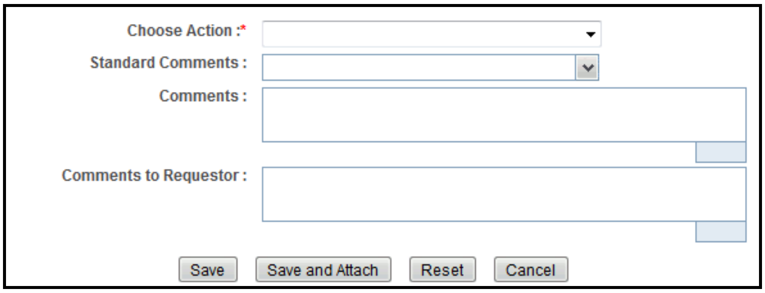


Figure 14. Account Approval Request Action Window

4. Enter the following information in the Account Approval Request Action window. The following table lists the fields that display in the Account Approval Request Action details. Fields marked with an asterisk (*) are mandatory..

Table 10. Account Approval Request Action Fields

Field	Description
Choose Action	Select the **Approve Request** action the from the drop-down list.
Standard Comments	Select the standard comments from the drop-down list, if available.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.
Comments to Requestor	Enter the comments directed to the submitter of the request.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays. To close the Attachment pop-up window, click **Cancel**.

Approving Account Approval Requests with 4-Eyes Approval

When Four-Eyes Approval is enabled, the request submitted by the employee must be approved by both a CR Supervisor or Analyst role and an IP Manager or IP Manager Supervisor. The request is first approved by the CR Supervisor or Analyst, and then finally approved or rejected by the IP Manager or IP Manager Supervisor assigned to the request.

Rejecting Account Approval Requests

To reject Account Approval requests manually, follow these steps:

1. Navigate to the Account Approval Request List page.
2. Click the Request ID. The Account Approval Request details page displays.
3. Click **Actions**. The Account Approval Request Action window displays.

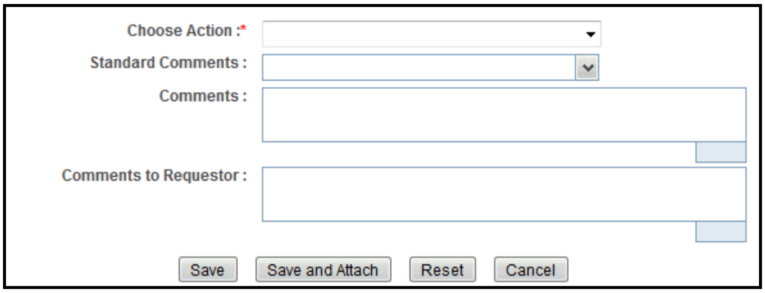


Figure 15. Account Approval Request Action Window

4. Enter the following information in the Account Approval Request Action window. The following table lists the fields that display in the Account Approval Request Action details. Fields marked with an asterisk (*) are mandatory..

Table 11. Account Approval Request Action Fields

Field	Description
Choose Action	Select the **Reject Request** action from the drop-down list.
Standard Comments	Select the standard comments from the drop-down list, if available.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.
Comments to Requestor	Enter the comments directed to the submitter of the request.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays. To close the Attachment pop-up window, click **Cancel**.

Using Auto-Approval/Auto-Rejection

The Oracle client can opt to turn on the functionality to Auto-Reject a request where the system will automatically reject a request depending on if either the security in a request is on a Security Restriction List or if the employee and the security is on an Employee Restriction List. For requests that have not been auto-rejected, the Oracle client can opt to turn on the functionality to Auto-Approve where the system will automatically approve any requests submitted that have not been auto-rejected; otherwise, these requests will need to be reviewed and manually approved or rejected.

If Auto-Approve or Auto-Reject functionality has been enabled in your environment, the request is compared against the approval criteria your firm has selected.

Adding Comments to Account Approval Requests

You can add comments anytime to a request without changing the request's existing status. For example, you would add a comment if the Control Room has requested additional documentation.

To add a comment to an Account Approval request, follow these steps:

1. Navigate to the Account Approval Requests List page
2. Select the check box next to the Request ID for the request you wish to add comment to and click **Add Comment**. The Add Comment page displays.
   Or:
   Click the Request ID for the request you wish to add comment to. The Account Approval Request Details page displays. Click **Add Comment**. The Add Comment window displays.

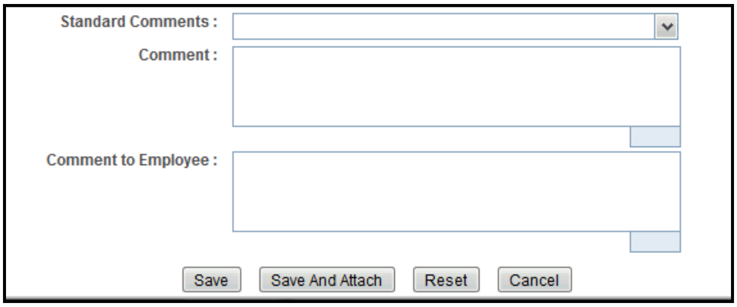


Figure 16. Add Comment Window

3. Enter the following information in the Add Comment window..

Table 12. Add Comment Page Fields

Field	Description
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comment	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.
Comment to Employee	Enter comments directed to the submitter of the request.

4. Click **Save** or **Save and Attach**.

   Note: If Save and Attach is clicked, the Account Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Comment has been successfully added.*

CHAPTER 4

Pre-Trade Approval

This chapter describes the Pre-Trade Approval functionality of the Personal Trading Approval application and covers the following topics:

- About Pre-Trade Approval
- User Roles and Actions
- E-mail Notifications
- Managing My Pre-Trade Approval Requests
- Managing Employee Pre-Trade Approval Requests from Control Room

About Pre-Trade Approval

Firms require validation that there are no potential conflicts with employee or employee-related trading activity to prevent trading on non-public material information, and to avoid potential conflicts against other firm supervisory and personnel procedures. In order to comply with these requirements, designated employees, and employee-related individuals will follow a pre-trade approval process. Depending on your company's policy, employees may submit requests on the day in which they wish to do the trade or could make the request days in advance. Firms usually designate a compliance group to be the first line in approving requests. Additionally, firms may designate individuals outside of the compliance group for additional approval.

Pre-Trade Approval allows employees to submit a trade request in their approved investment accounts. Users with Control Room Analyst or Control Room Supervisor roles may approve or reject the submitted trade request. Users with the Investment Policy (IP) Manager or IP Manager Supervisor role may approve or reject the submitted trade request initially approved by the Control Room Supervisor or Analyst when Four-Eyes Approval is enabled.

User Roles and Actions

The following user roles have access to Pre-Trade Approval:

- Employee
- Control Room Supervisor
- Control Room Analyst
- IP Manager Supervisor
- IP Manager

The following table lists the actions these users can take within Pre-Trade Approval.

Table 13. Pre-Trade Approval User Roles and Actions

Action	Employee	Control Room Supervisor	Control Room Analyst	IP Manager Supervisor *	IP Manager*
Submit Request	X				
View Request		X	X		
Clear/Approve Request		X	X	X	X
Clear/Approve Request with Noted Corrections		X	X	X	X
Approve Request on Behalf of Investment Policy Manager		X*	X*		
Reject Submitted Request		X	X	X	X
Reject Request on Behalf of Investment Policy Manager		X*	X*		
Add Comment to Request	X	X	X	X	X
Reassign Request		X	X	X	

* Actions are available only if Four Eyes Approval is enabled.

E-mail Notifications

Notifications are messages sent to a user stating that an action has been performed in the application or that an action should be performed. They can be viewed from your e-mail Inbox. The following table lists who will receive notifications.

Table 14. Pre-Trade Approval E-mail Notifications by User Roles and Actions

Action	Employee	Control Room Supervisor or Analyst	Investment Policy Manager Supervisor or Manager*
Submit Request	X	X**	
View Request	X	X	
Clear/Approve Request	X	X	X***
Clear/Approve Request with Noted Corrections	X	X	
Approve Request on Behalf of Investment Policy Manager	X	X	
Reject Request	X	X	
Reject Request on Behalf of Investment Policy Manager	X	X	
Add Comment to Request	X	X	
Reassign Request		X	X
Request Expired	X	X	

* Actions are available only if Four Eyes Approval is enabled.

** All users within Control Room with this role will receive an e-mail notification of the submission of a request.

*** Only when status of request changes to *Recommend Approve*.

Managing My Pre-Trade Approval Requests

Employees have the ability view, add, and edit pre-trade approval requests. This section discusses the following topics:

- Accessing My Pre-Trade Approval
- Viewing My Pre-Trade Approval Requests
- Viewing My Pre-Trade Approval Request Details
- Adding Comments to My Pre-Trade Approval Request
- Submitting a New Pre-Trade Approval Request

Accessing My Pre-Trade Approval

This section explains how to access the Pre-Trade Approval section in the Oracle Financial Services Personal Trading Approval application.

To access the Pre-Trade Approval section of Personal Trading Approval, follow these steps:

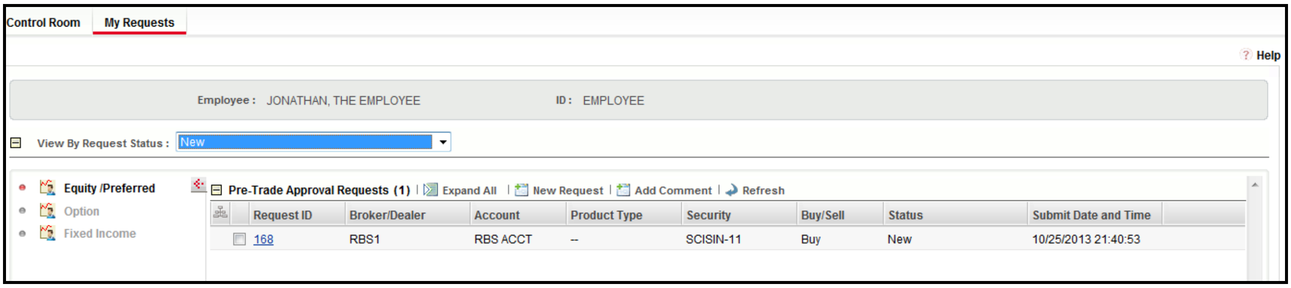
1. Login to the OFSPTA application as an Employee user following the steps provided in Chapter 2, *Getting Started,* on page 3. The OFSAAI Home page is displayed.
2. Click **Personal Trading Approval**. The My Pre-Trade Approval Requests page is displayed.

Viewing My Pre-Trade Approval Requests

The My Pre-Trade Approval Requests List page allows you to view your submitted Pre-Trade Approval requests in your approved accounts in the My Pre-Trade Approval Requests page.

To view your Pre-Trade Approval requests, follow these steps.

1. Select **Pre-Trade Approval** from the **My Requests** menu. The My Pre-Trade Approval Requests List page is displayed.
2. Select the status of the Pre-Trade Approval request from the **View By Request Status** drop-down list. For example, Reviewed, Rejected, and so on. The selected list is displayed.
3. Select a product category of either Equity/Preferred, Option, or Fixed Income from the left-hand side to view your trade requests submitted by product category.


Control Room
My Requests
Help
Equity /Preferred
Option
Fixed Income
Expand All
New Request
Add Comment
Refresh

Employee : JONATHAN, THE EMPLOYEE ID : EMPLOYEE

View By Request Status : New

Pre-Trade Approval Requests (1)

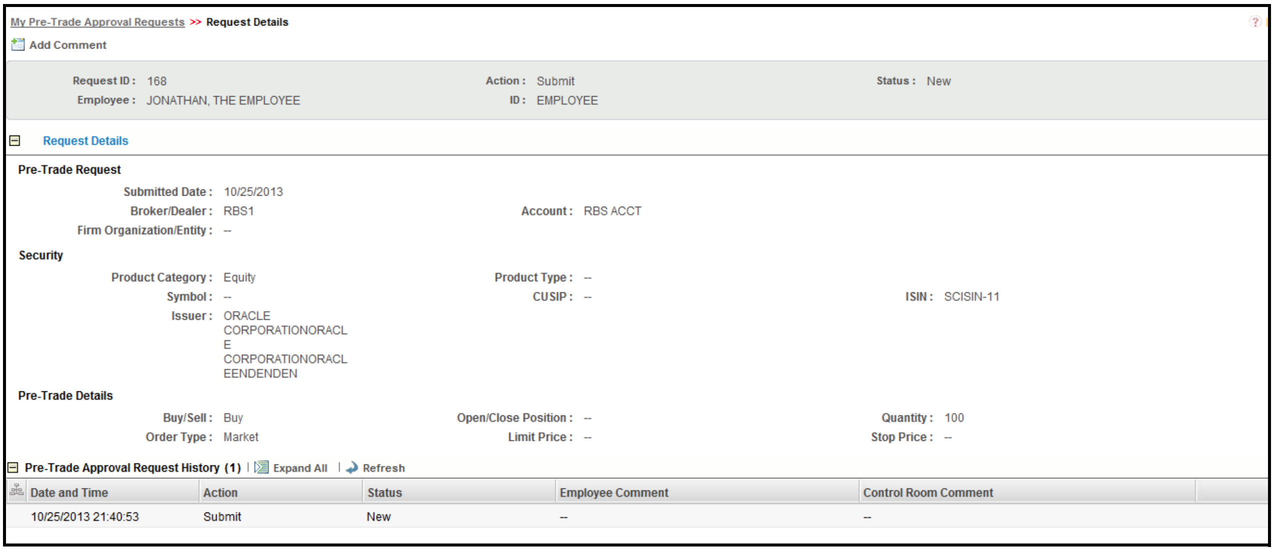
	Request ID	Broker/Dealer	Account	Product Type	Security	Buy/Sell	Status	Submit Date and Time
☐	168	RBS1	RBS ACCT	--	SCISIN-11	Buy	New	10/25/2013 21:40:53

Figure 17. My Pre-Trade Approval Requests Page

Viewing My Pre-Trade Approval Request Details

To view the details for a pre-trade approval request you have submitted, follow these steps:

1. Navigate to the My Pre-Trade Approval Requests List page.
2. Click the Request ID for the request you wish to view. The Request Details page displays.


My Pre-Trade Approval Requests >> Request Details
Add Comment
Expand All
Refresh

Request ID : 168
Employee : JONATHAN, THE EMPLOYEE
Action : Submit
ID : EMPLOYEE
Status : New

Request Details

Pre-Trade Request

Submitted Date : 10/25/2013
Broker/Dealer : RBS1
Account : RBS ACCT
Firm Organization/Entity : --

Security

Product Category : Equity
Product Type : --
Symbol : --
CUSIP : --
ISIN : SCISIN-11
Issuer : ORACLE CORPORATIONORACLE CORPORATIONORACLEENDENDEN

Pre-Trade Details

Buy/Sell : Buy
Open/Close Position : --
Quantity : 100
Order Type : Market
Limit Price : --
Stop Price : --

Pre-Trade Approval Request History (1)

Date and Time	Action	Status	Employee Comment	Control Room Comment
10/25/2013 21:40:53	Submit	New	--	--

Figure 18. Request Details page

The Request Details page contains current information of the selected Pre-Trade Approval request and the history of the actions taken on this Pre-Trade Approval request.

Adding Comments to My Pre-Trade Approval Request

To add a comment to a Pre-Trade Approval request, follow these steps:

1. Navigate to the Pre-Trade Approval Requests List page.
2. Select the check box next to the Request ID and click **Add Comment**. The Add Comment page displays.
   Or:
   Click the Request ID to open the Request Details page. Click **Add Comment**. The Add Comment window displays.

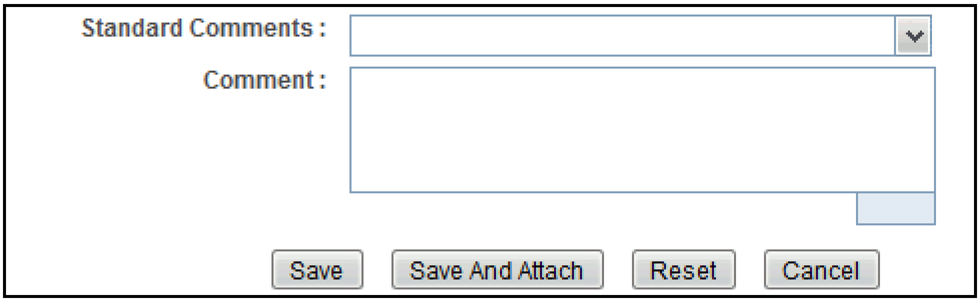


Figure 19. Add Comment Window

3. Select a Standard Comment from the drop-down list, if available.
4. Enter any additional comments in the Comments text box.
5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Pre-Trade Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays.

Submitting a New Pre-Trade Approval Request

You can submit a new Pre-Trade Approval request from the My Pre-Trade Approval Requests List page. The following sections describe how to submit a new Pre-Trade Approval request, depending upon the type of security you plan to trade. You can choose from the following options:

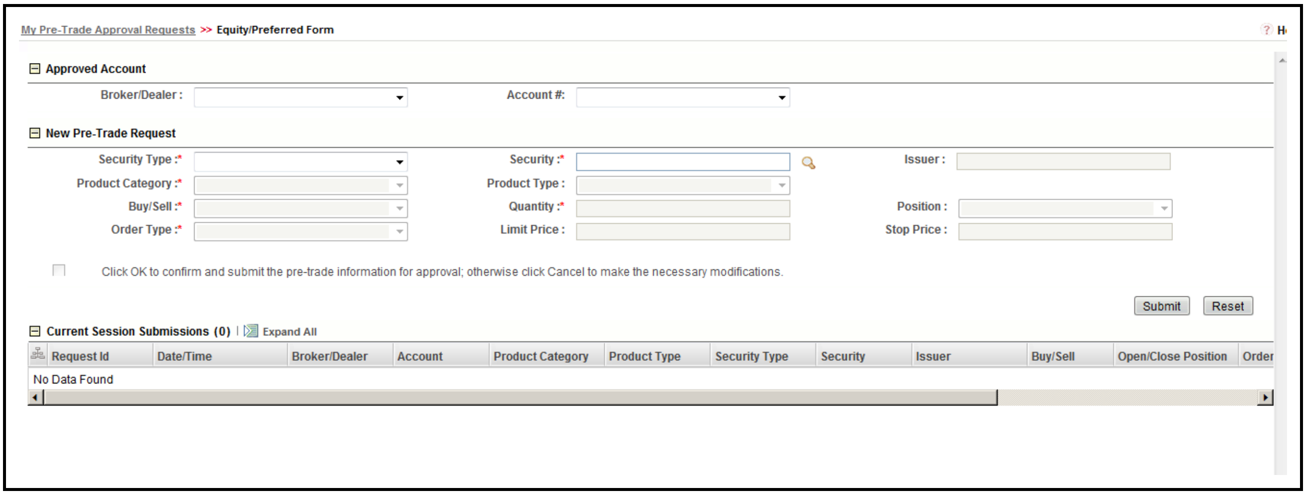
- Equity/Preferred Trade
- Option
- Fixed Income

After the request has been submitted, it is sent for approval or rejection. An IP Manager, IP Manager Supervisor, CR Supervisor or CR Analyst considers the request and moves the request through the approval process.

Submitting an Equity or Preferred Trade Request

To submit an Equity or Preferred trade request, follow these steps:

1. Navigate to the My Pre-Trade Approval Requests List page.
2. Select **Equity/Preferred** from the left-hand side.
3. Click **New Request**. The Equity/Preferred Form displays.

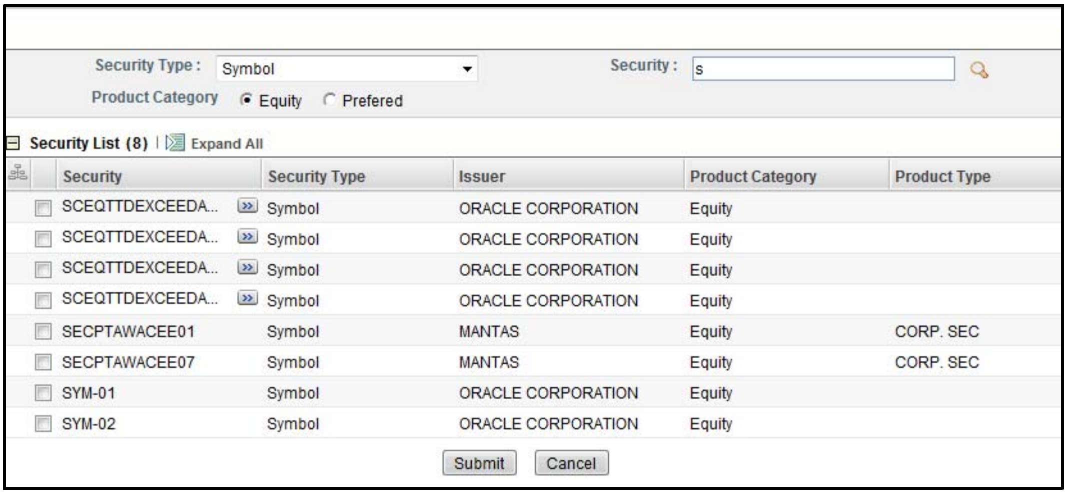

My Pre-Trade Approval Requests >> Equity/Preferred Form
Approved Account
Broker/Dealer :
Account #:
New Pre-Trade Request
Security Type :*
Security :*
Issuer :
Product Category :*
Product Type :
Buy/Sell :*
Quantity :*
Position :
Order Type :*
Limit Price :
Stop Price :
Submit
Reset
Current Session Submissions (0)
Expand All

☐ Click OK to confirm and submit the pre-trade information for approval; otherwise click Cancel to make the necessary modifications.

Request Id	Date/Time	Broker/Dealer	Account	Product Category	Product Type	Security Type	Security	Issuer	Buy/Sell	Open/Close Position	Order
No Data Found											

Figure 20. Equity/Preferred Form

4. Select a Security Type from the drop-down list.
5. Enter a Security into the Security field.
6. Click the Search icon next to the Security field. The Select Security pop-up window displays.


Expand All
Submit
Cancel

Security Type : Symbol

Security : s

Product Category ● Equity ○ Prefered

Security List (8)

	Security	Security Type	Issuer	Product Category	Product Type
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SECPTAWACEE01	Symbol	MANTAS	Equity	CORP. SEC
☐	SECPTAWACEE07	Symbol	MANTAS	Equity	CORP. SEC
☐	SYM-01	Symbol	ORACLE CORPORATION	Equity	
☐	SYM-02	Symbol	ORACLE CORPORATION	Equity	

Figure 21. Select Security pop-up window

7. Select the check box for the security you wish to add.
8. Click **Submit**. The following fields are pre-populated by the system:

- Issuer

- Product Category
- Product Type

9. Enter the following information about the security into the remaining fields. Fields marked with an asterisk (*) are mandatory.

Table 15. Add New Equity/Preferred Pre-Trade Approval Request Fields

Field	Description
Broker/Dealer	Select the broker/dealer name held at the approved investment account you plan to make this trade from the drop-down list.
Account	Select the approved investment account you plan to make this trade from in the drop-down list.
Security Type	Select the type of security you are submitting from the drop-down list. You can choose from the following: ● Symbol ● CUSIP ● ISIN
Security	Enter name of the security you plan to trade depending on the Security Type you selected.
Issuer	Enter the name of the issuer for this security.
Product Category	Select the product category of the security being submitted from the drop-down list. The security can either be an Equity or Preferred security.
Product Type	Select the product type of the security being submitted based on the selected Product Category from the drop-down list, if available.
Buy/Sell	Select whether you plan to buy, sell, sell short exempt, or sell short this security from the drop-down list.
Quantity	Enter the share quantity you are planning to trade.
Position	Select whether this trade will open or close your position in this investment account from the drop-down list.
Order Type	Select the type of order you plan to trade from the drop-down list.
Limit Price	Enter the limit price, if a "Limit" order will be submitted.
Stop Price	Enter the stop price, if a "Stop" or "Stop Limit" order will be submitted.

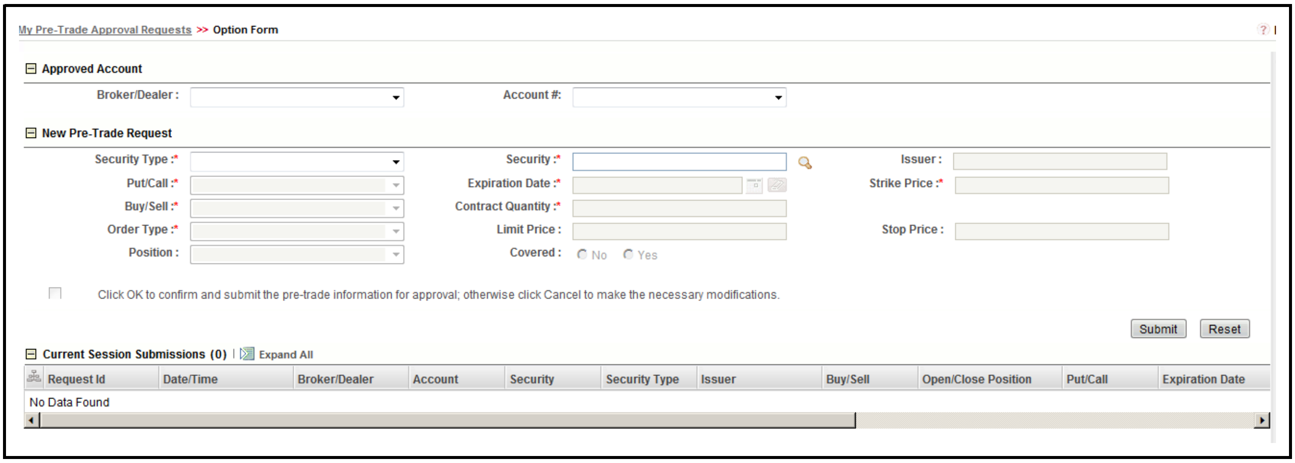
Note: If the Select Security pop-up window does not list any securities, you must manually enter the information about the security in the Equity/Preferred Pre-Trade Approval Request fields. Click **Manually Enter Security**. The Equity/Preferred form displays. Enter the information about the security into the fields described in Table 15. Fields marked with an asterisk (*) are mandatory.

10. Mark the agreement statement check box to confirm that the above entries are correct.
11. Click **Submit**. The New Pre-Trade Approval Request Confirmation box displays.
12. Click **OK**. The following message displays: *Pre-Trade Approval Request has been successfully submitted.*
    Multiple trade requests may be submitted during this session, which is viewable in the Current Session Submission pane.

Submitting an Option Trade Request

To create an Option trade request, follow these steps:

1. Navigate to the My Pre-Trade Approval Requests List page.
2. Select **Option** from the left-hand side.
3. Click **New Request**. The Option Form displays.

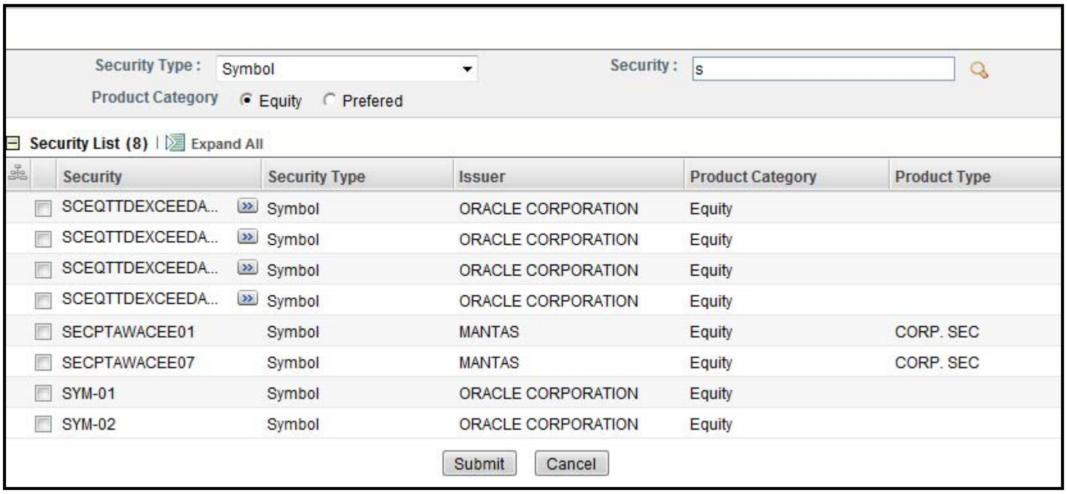

My Pre-Trade Approval Requests >> Option Form
Approved Account
Broker/Dealer :
Account #:
New Pre-Trade Request
Security Type :*
Put/Call :*
Buy/Sell :*
Order Type :*
Position :
Security :*
Expiration Date :*
Contract Quantity :*
Limit Price :
Covered :
No
Yes
Issuer :
Strike Price :*
Stop Price :
Submit
Reset
Current Session Submissions (0)
Expand All

☐ Click OK to confirm and submit the pre-trade information for approval; otherwise click Cancel to make the necessary modifications.

Request Id	Date/Time	Broker/Dealer	Account	Security	Security Type	Issuer	Buy/Sell	Open/Close Position	Put/Call	Expiration Date
No Data Found										

Figure 22. Option Form

4. Select a Security Type from the drop-down list.
5. Enter a Security into the Security field.
6. Click the Search icon next to the Security field. The Select Security pop-up window displays.


Security Type : Symbol

Security : s

Product Category ● Equity ○ Prefered

Security List (8)
Expand All
Submit
Cancel

	Security	Security Type	Issuer	Product Category	Product Type
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SECPTAWACEE01	Symbol	MANTAS	Equity	CORP. SEC
☐	SECPTAWACEE07	Symbol	MANTAS	Equity	CORP. SEC
☐	SYM-01	Symbol	ORACLE CORPORATION	Equity	
☐	SYM-02	Symbol	ORACLE CORPORATION	Equity	

Figure 23. Select Security pop-up window

7. Select the check box for the security you wish to add.
8. Click **Submit**. The following fields are pre-populated by the system:

- Issuer
- Product Category

- Product Type
- Put/Call
- Expiration Date
- Strike Price

9. Enter the following information about the security into the remaining fields. Fields marked with an asterisk (*) are mandatory.

Table 16. Add New Option Pre-Trade Approval Request Fields

Field	Description
Broker/Dealer	Select the broker/dealer name held at the approved investment account you plan to make this trade from the drop-down list.
Account	Select the approved investment account you plan to make this trade from in the drop-down list.
Security Type	Select the type of security you are submitting from the drop-down list. You can choose from the following: ● Symbol: If selected, enter the underlying symbol for the option you plan to trade. ● CUSIP ● ISIN
Security	Enter name of the security you plan to trade depending on the Security Type you selected. If the Security Type selected is *Option*, enter the underlying symbol for the option you plan to trade.
Issuer	Enter the name of the issuer for this security.
Put/Call	Select whether the option you plan to trade is a put or call from the drop-down list.
Expiration Date	Select the date of expiration of the security you plan to trade from the **Calendar icon.**
Strike Price	Enter strike price of the security you plan to trade.
Buy/Sell	Select whether you plan to buy, sell, sell short exempt, or sell short this security from the drop-down list.
Contract Quantity	Enter the number of contracts you plan to trade.
Order Type	Select the type of order you plan to trade from the drop-down list.
Limit Price	Enter the limit price, if a "Limit" order will be submitted.
Stop Price	Enter the stop price, if a "Stop" or "Stop Limit" order will be submitted.
Position	Select whether this trade will open or close your position in this investment account from the drop-down list.
Covered	Select whether or not the trade is covered using the radio buttons.

Note: If the Select Security pop-up window does not list any securities, you must manually enter the information about the security in the New Option Pre-Trade Approval Request fields. Click **Manually Enter Security**. The Option form displays. Enter the information about the security into the fields described in Table 16. Fields marked with an asterisk (*) are mandatory.

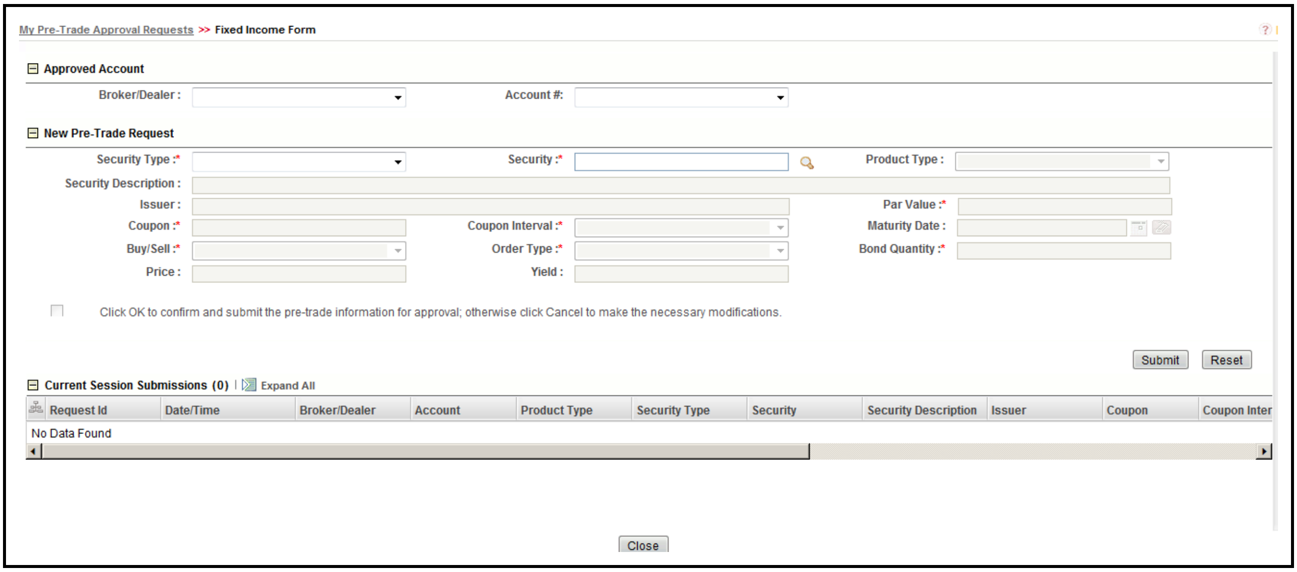
10. Mark the agreement statement check box to confirm that the above entries are correct.
11. Click **Submit**. The New Pre-Trade Approval Request Confirmation box displays.

12. Click **OK**. The following message displays: *Pre-Trade Approval Request has been successfully submitted.* Multiple trade requests may be submitted during this session, which are viewable in the Current Session Submission pane.

Submitting a Fixed Income Trade Request

To submit a Fixed Income trade request, follow these steps:

1. Navigate to the My Pre-Trade Approval Requests List page.
2. Select **Fixed Income** from the left-hand side.
3. Click **New Request**. The Fixed Income Form displays.

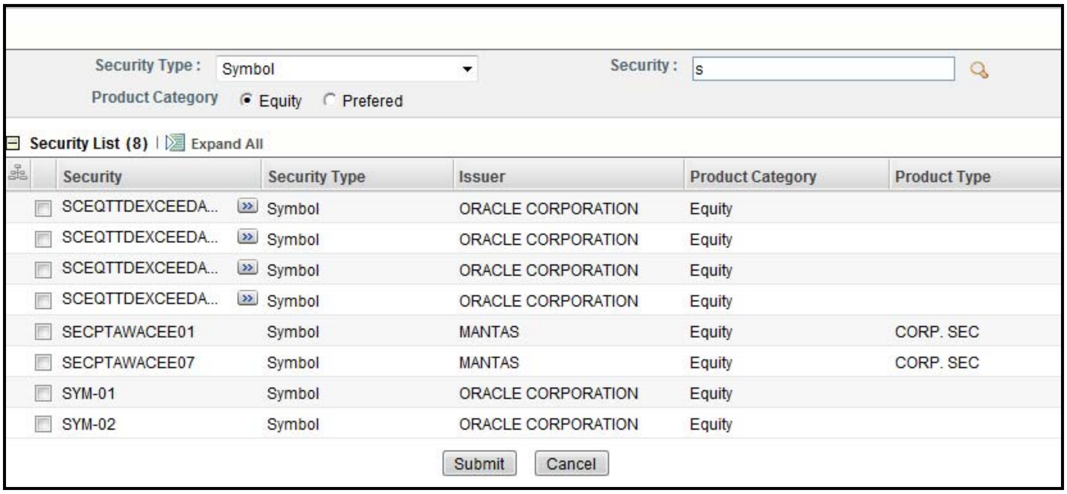

My Pre-Trade Approval Requests >> Fixed Income Form
Approved Account
Broker/Dealer :
Account #:
New Pre-Trade Request
Security Type :*
Security :*
Product Type :
Security Description :
Issuer :
Par Value :*
Coupon :*
Coupon Interval :*
Maturity Date :
Buy/Sell :*
Order Type :*
Bond Quantity :*
Price :
Yield :
Submit
Reset
Current Session Submissions (0)
Expand All
Close

☐ Click OK to confirm and submit the pre-trade information for approval; otherwise click Cancel to make the necessary modifications.

Request Id	Date/Time	Broker/Dealer	Account	Product Type	Security Type	Security	Security Description	Issuer	Coupon	Coupon Inter
No Data Found										

Figure 24. Fixed Income Form

4. Select a Security Type from the drop-down list.
5. Enter a Security into the Security field.
6. Click the Search icon next to the Security field. The Select Security pop-up window displays.



Security Type : Symbol
Security : s
Product Category ● Equity ○ Prefered

Security List (8) | Expand All

	Security	Security Type	Issuer	Product Category	Product Type
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SCEQTTDEXCEEDA...	Symbol	ORACLE CORPORATION	Equity	
☐	SECPTAWACEE01	Symbol	MANTAS	Equity	CORP. SEC
☐	SECPTAWACEE07	Symbol	MANTAS	Equity	CORP. SEC
☐	SYM-01	Symbol	ORACLE CORPORATION	Equity	
☐	SYM-02	Symbol	ORACLE CORPORATION	Equity	

Figure 25. Select Security pop-up window

7. Select the check box for the security you wish to add.
8. Click **Submit**. The following fields are pre-populated by the system:

- Issuer
- Product Category
- Product Type

9. Enter the following information about the security into the remaining fields. Fields marked with an asterisk (*) are mandatory.

Table 17. Add New Pre-Trade Approval Request Fixed Income Fields

Field	Description
Broker/Dealer	Select the broker/dealer name held at the approved investment account you plan to make this trade from the drop-down list.
Account	Select the approved investment account you plan to make this trade from in the drop-down list.
Security Type	Select the type of security you are submitting from the drop-down list. You can choose from the following: ● Symbol ● CUSIP ● ISIN
Security	Enter name of the security you plan to trade depending on the Security Type you selected.
Product Type	Select a Fixed Income product type for this security from the drop-down list.
Security Description	Enter a description for this security.
Issuer	Enter the name of the issuer for this security.
Par Value	Enter the par value of the security you plan to trade.
Coupon	Enter the coupon rate of the security you plan to trade.
Coupon Interval	Select coupon interval of the security you plan to trade from the drop-down list.
Maturity Date	Select the date of maturity of the security you plan to trade from the **Calendar icon.**

Table 17. Add New Pre-Trade Approval Request Fixed Income Fields (Continued)

Field	Description
Buy/Sell	Select whether you p lan to buy, sell, sell short exempt, or sell short this security from the drop-down list.
Order Type	Select order type from the drop-down list.
Bond Quantity	Enter the bond quantity you plan to trade.
Price	Enter the price at the time you plan to trade this security, if a "Limit" order will be submitted.
Yield	Enter the yield at the time you plan to trade this security.

Note: If the Select Security pop-up window does not list any securities, you must manually enter the information about the security in the New Fixed Income Pre-Trade Approval Request fields. Click **Manually Enter Security**. The Fixed Income form displays. Enter the information about the security into the fields described in Table 17. Fields marked with an asterisk (*) are mandatory.

10. Mark the agreement statement check box to confirm that the above entries are correct.
11. Click **Submit**. The New Pre-Trade Approval Request Confirmation box displays.
12. Click **OK**. The following message displays: *Pre-Trade Approval Request has been successfully submitted.* Multiple trade requests may be submitted during this session, which is viewable in the Current Session Submission pane.

Managing Employee Pre-Trade Approval Requests from Control Room

The Control Room feature of Personal Trading Approval allows users to search, view, reassign, and approve or reject the pre-trade approval requests. Users with Control Room (CR) Supervisor and CR Analyst roles can take ownership of a new request (similar to alert inheritance). IP Manager Supervisor and IP Manager user roles are only active if Four-Eyes Approval is enabled. In addition, users with Control Room Supervisor and Control Room Analyst roles can approve or reject a Pre-trade Approval Request on behalf of an IP Manager (Four-Eyes approval only).

Note: Users with the IP Manager role cannot reassign.

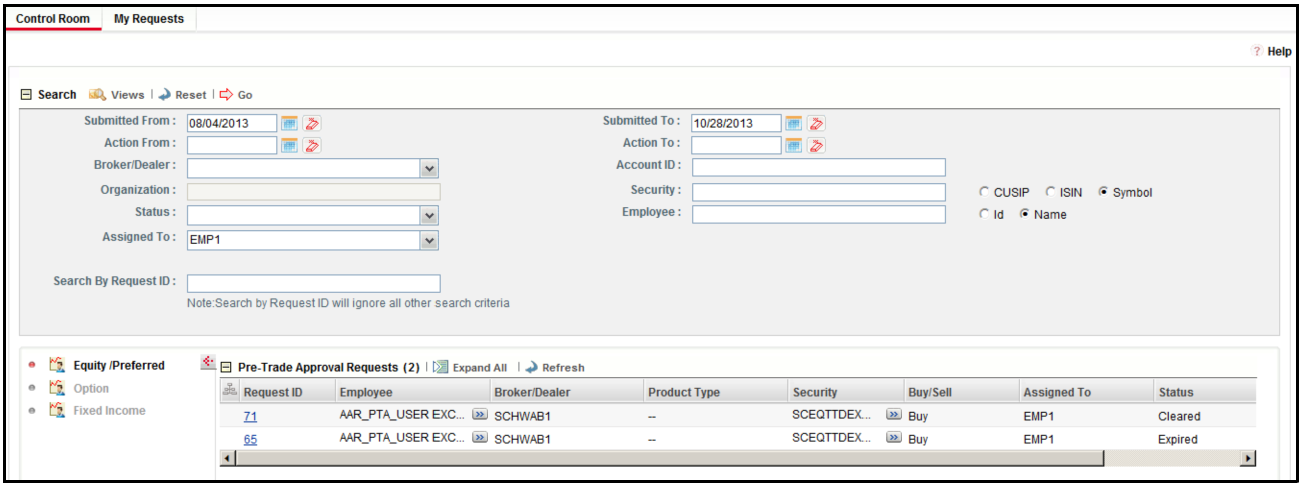
This section discusses the following topics:

- Accessing Pre-Trade Approval
- Viewing and Searching Pre-Trade Approval Requests
- Taking Ownership of a Pre-Trade Approval Request
- Reassigning a Pre-Trade Approval Request
- Approving or Rejecting Pre-Trade Approval Requests

Accessing Pre-Trade Approval

To access Pre-Trade Approval for the Control Room, follow these steps:

1. Select **Pre-Trade Approval Request List** from the **Control Room** menu. The Pre-Trade Approval Request List page displays.



Submitted From : 08/04/2013
Submitted To : 10/28/2013
Action From :
Action To :
Broker/Dealer :
Account ID :
Organization :
Security : ○ CUSIP ○ ISIN ● Symbol
Status :
Employee : ○ Id ● Name
Assigned To : EMP1
Search By Request ID :
Note:Search by Request ID will ignore all other search criteria

Pre-Trade Approval Requests (2)

Request ID	Employee	Broker/Dealer	Product Type	Security	Buy/Sell	Assigned To	Status
71	AAR_PTA_USER EXC...	SCHWAB1	--	SCEQTTDEX...	Buy	EMP1	Cleared
65	AAR_PTA_USER EXC...	SCHWAB1	--	SCEQTTDEX...	Buy	EMP1	Expired

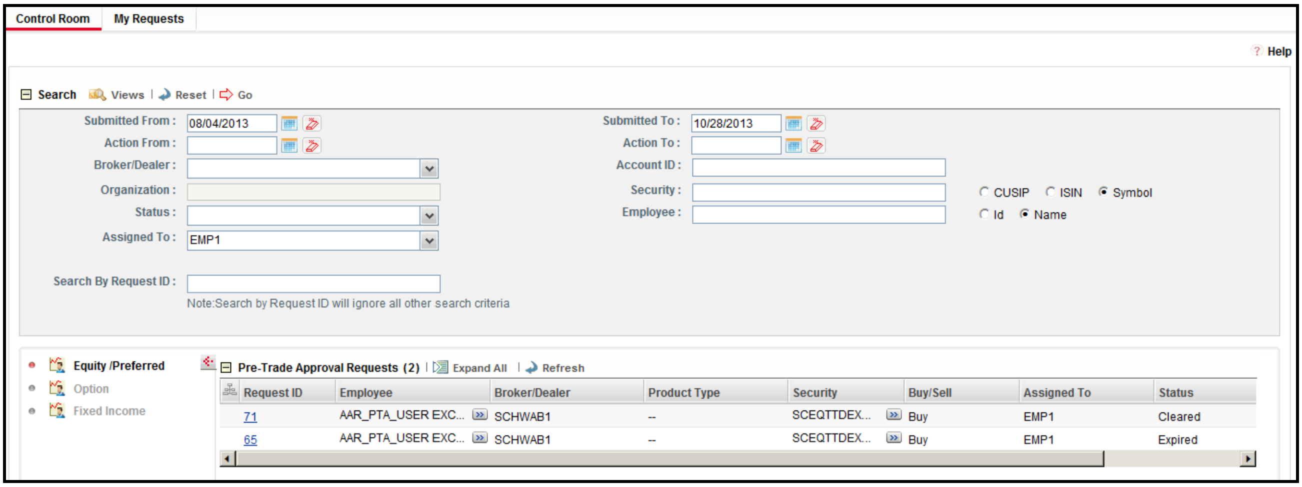
Figure 26. Pre-Trade Approval Request List Page

Viewing and Searching Pre-Trade Approval Requests

This section explains how to view and search the submitted Pre-Trade Approval requests by employees in your firm. The Pre-Trade Approval Requests page allows you to filter the Pre-Trade Approval request list that you want to view and analyze. The Pre-Trade Approval search section supports two types of search-Search by Basic Search, and View By Request Status. You can use only one search type at a time.

This section explains the following topics:

- Searching Pre-Trade Approval Requests By Request Status
- Searching Pre-Trade Approval Requests



Submitted From : 08/04/2013

Submitted To : 10/28/2013

Action From :

Action To :

Broker/Dealer :

Account ID :

Organization :

Security : ○ CUSIP ○ ISIN ● Symbol

Status :

Employee : ○ Id ● Name

Assigned To : EMP1

Search By Request ID :

Note:Search by Request ID will ignore all other search criteria

Request ID	Employee	Broker/Dealer	Product Type	Security	Buy/Sell	Assigned To	Status
71	AAR_PTA_USER EXC...	SCHWAB1	--	SCEQTTDEX...	Buy	EMP1	Cleared
65	AAR_PTA_USER EXC...	SCHWAB1	--	SCEQTTDEX...	Buy	EMP1	Expired

Figure 27. Pre-Trade Approval Request List Page

Searching Pre-Trade Approval Requests By Request Status

To determine which types of requests display in the Pre-Trade Approval Requests List, you can filter Pre-Trade Approval requests by the status of the request.

To filter Pre-Trade Approval requests by request status, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Select an option from the **View By Request Status** drop-down list and click **Search**. This filters the request list by status. You can select from the following statuses:

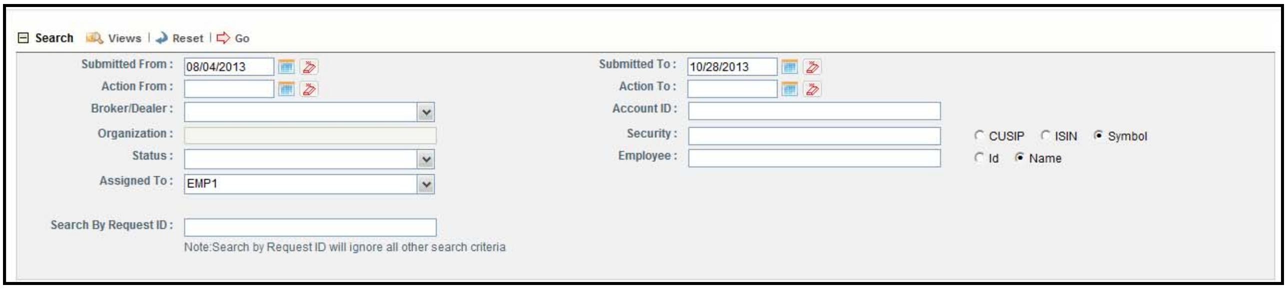
- New
- Review
- Recommend Approve
- Cleared
- Rejected

3. To filter the trade requests by Product Category of the security submitted by employees in your firm, you can select either Equity/Preferred, Option, or Fixed Income from the left-hand side.

Searching Pre-Trade Approval Requests

To filter the Pre-Trade Approval requests list using Search, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Click **Search**. The Search Details section is displayed.



Submitted From : 08/04/2013
Action From :
Broker/Dealer :
Organization :
Status :
Assigned To : EMP1
Search By Request ID :
Note:Search by Request ID will ignore all other search criteria
Submitted To : 10/28/2013
Action To :
Account ID :
Security : ○ CUSIP ○ ISIN ● Symbol
Employee : ○ Id ● Name

Figure 28. Search Details

3. Enter criteria into the **Search** section and click **Go**. The following table lists the fields that display in the Pre-Trade Approval Request Search details.

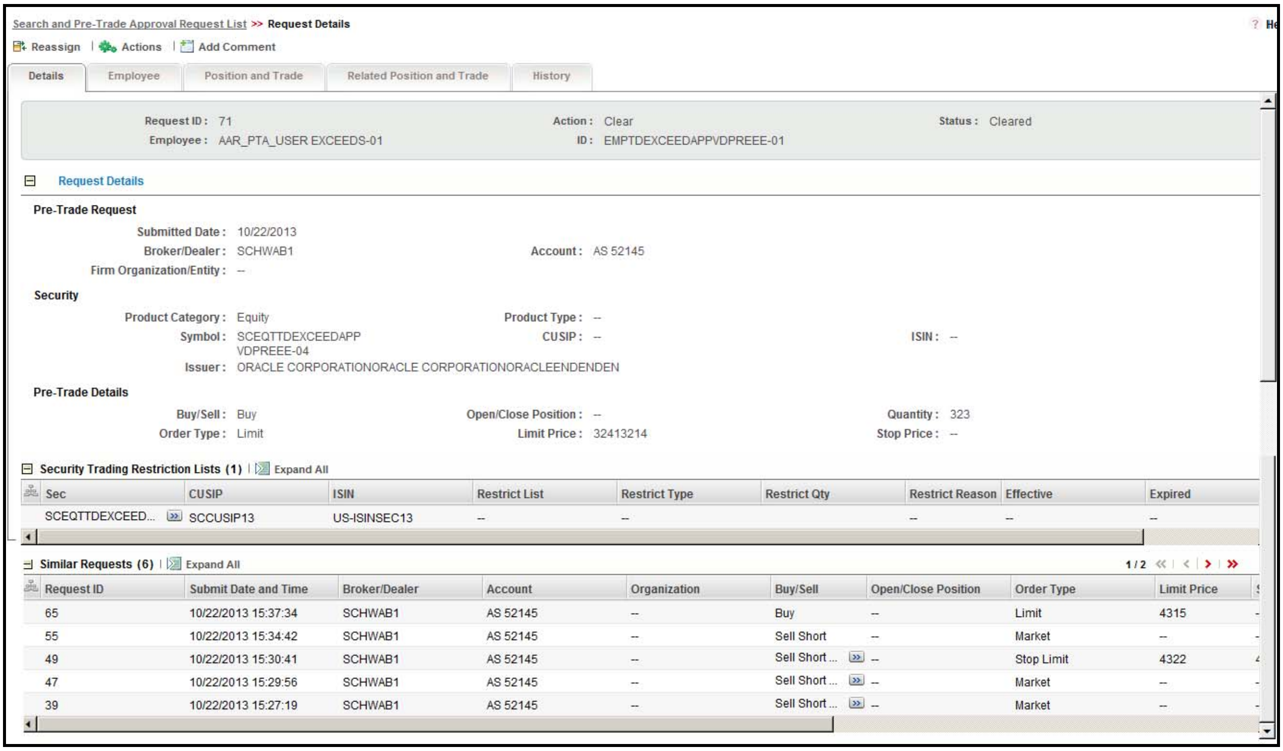
Table 18. Pre-Trade Approval Request Search Fields

Field	Description
Submitted From	To filter the request list, select the beginning range date of submission of the pre-trade approval request from the **Calendar icon.**
Submitted To	To filter the request list, select the end range date of submission of the pre-trade approval request from the **Calendar icon.**
Broker/Dealer	To filter the request list, select the broker/dealer name associated with the approved investment account linked to this trade request from the drop-down list.
Account ID	To filter the request list, enter account number associated with the approved investment account linked to this trade request. Wildcard characters '%' and '_' are supported for this field.
Reviewer	To filter the request list, enter the reviewer of the pre-trade approval request.
Security	To filter the request list, enter the name of the security this trade request is for then select the type of security from the radio buttons. You can choose from the following: ● Symbol ● CUSIP ● ISIN
Status	To filter the request list, select the status of the Pre-trade Approval Request from the drop-down list.
Employee	To filter the request list, enter the name or ID of the employee who submitted the pre-trade approval request, then select either ID or Name from the radio buttons. Wildcard characters '%' and '_' are supported for this field.

Viewing Pre-Trade Approval Request Details

To view the Pre-Trade Approval Request details, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Click the Request ID to view the details of the request. The Pre-Trade Approval Request Details page displays.


Search and Pre-Trade Approval Request List >> Request Details
Reassign
Actions
Add Comment
Details
Employee
Position and Trade
Related Position and Trade
History

Request ID : 71
Employee : AAR_PTA_USER EXCEEDS-01
Action : Clear
ID : EMPTDEXCEEDAPPVDPREEE-01
Status : Cleared

Request Details

Pre-Trade Request

Submitted Date : 10/22/2013
Broker/Dealer : SCHWAB1
Account : AS 52145
Firm Organization/Entity : --

Security

Product Category : Equity
Product Type : --
Symbol : SCEQTTDEXCEEDAPP VDPREEE-04
CUSIP : --
ISIN : --
Issuer : ORACLE CORPORATIONORACLE CORPORATIONORACLEENDENDEN

Pre-Trade Details

Buy/Sell : Buy
Open/Close Position : --
Quantity : 323
Order Type : Limit
Limit Price : 32413214
Stop Price : --

Security Trading Restriction Lists (1) | Expand All

Sec	CUSIP	ISIN	Restrict List	Restrict Type	Restrict Qty	Restrict Reason	Effective	Expired
SCEQTTDEXCEED...	SCCUSIP13	US-ISINSEC13	--	--		--	--	--

Similar Requests (6) | Expand All 1 / 2

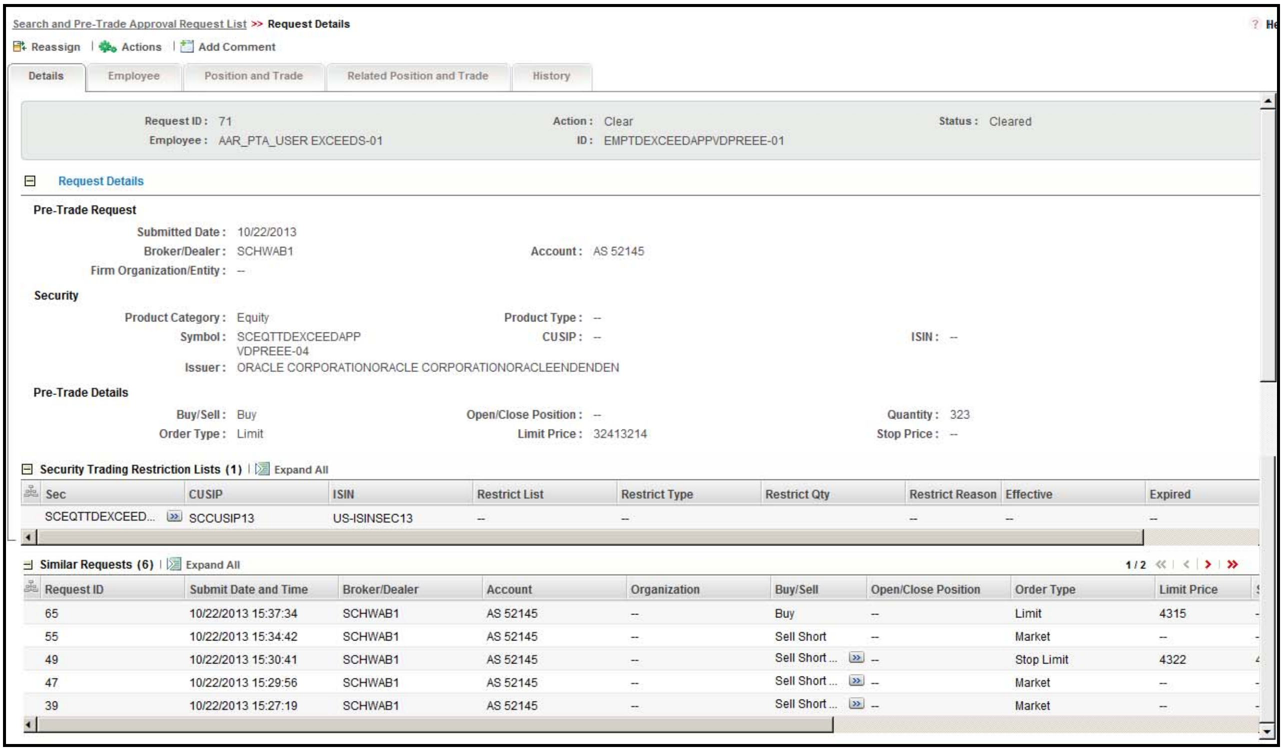
Request ID	Submit Date and Time	Broker/Dealer	Account	Organization	Buy/Sell	Open/Close Position	Order Type	Limit Price
65	10/22/2013 15:37:34	SCHWAB1	AS 52145	--	Buy	--	Limit	4315
55	10/22/2013 15:34:42	SCHWAB1	AS 52145	--	Sell Short	--	Market	--
49	10/22/2013 15:30:41	SCHWAB1	AS 52145	--	Sell Short ...	--	Stop Limit	4322
47	10/22/2013 15:29:56	SCHWAB1	AS 52145	--	Sell Short ...	--	Market	--
39	10/22/2013 15:27:19	SCHWAB1	AS 52145	--	Sell Short ...	--	Market	--

Figure 29. Pre-Trade Approval Request Details page

Details Tab

The Details tab of the Pre-Trade Approval Request Details page contains the following details:

- **Request Details**: Details of the trade request to be approved or rejected.
- **Security Trading Restriction Lists**: Trading Restriction List in which the security identified in this pre-trade approval request has been mentioned.
- **Similar Requests:** List of other pre-trade approval requests previously submitted to the request being viewed by the same employee and in the same security.


Search and Pre-Trade Approval Request List >> Request Details
Reassign | Actions | Add Comment
Details
Employee
Position and Trade
Related Position and Trade
History

Request ID : 71
Employee : AAR_PTA_USER EXCEEDS-01
Action : Clear
ID : EMPTDEXCEEDAPPVDPREEE-01
Status : Cleared

Request Details

Pre-Trade Request

Submitted Date : 10/22/2013
Broker/Dealer : SCHWAB1
Account : AS 52145
Firm Organization/Entity : --

Security

Product Category : Equity
Product Type : --
Symbol : SCEQTTDEXCEEDAPP VDPREEE-04
CUSIP : --
ISIN : --
Issuer : ORACLE CORPORATIONORACLE CORPORATIONORACLEENDENDEN

Pre-Trade Details

Buy/Sell : Buy
Open/Close Position : --
Quantity : 323
Order Type : Limit
Limit Price : 32413214
Stop Price : --

Security Trading Restriction Lists (1) | Expand All

Sec	CUSIP	ISIN	Restrict List	Restrict Type	Restrict Qty	Restrict Reason	Effective	Expired
SCEQTTDEXCEED...	SCCUSIP13	US-ISINSEC13	--	--		--	--	--

Similar Requests (6) | Expand All 1 / 2

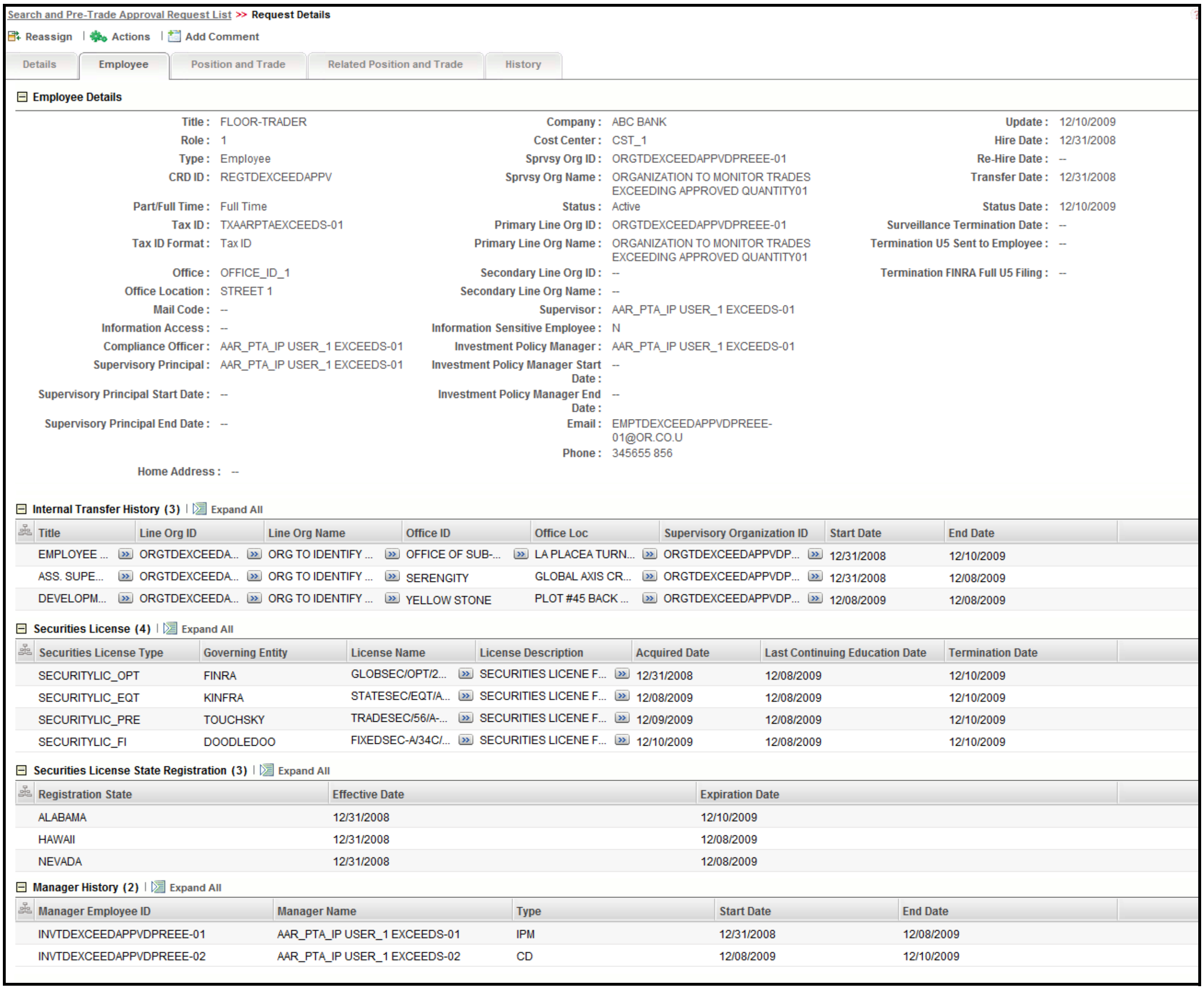
Request ID	Submit Date and Time	Broker/Dealer	Account	Organization	Buy/Sell	Open/Close Position	Order Type	Limit Price
65	10/22/2013 15:37:34	SCHWAB1	AS 52145	--	Buy	--	Limit	4315
55	10/22/2013 15:34:42	SCHWAB1	AS 52145	--	Sell Short	--	Market	--
49	10/22/2013 15:30:41	SCHWAB1	AS 52145	--	Sell Short ...	--	Stop Limit	4322
47	10/22/2013 15:29:56	SCHWAB1	AS 52145	--	Sell Short ...	--	Market	--
39	10/22/2013 15:27:19	SCHWAB1	AS 52145	--	Sell Short ...	--	Market	--

Figure 30. Pre-Trade Approval Request Details page - Details tab

Employee Tab

The Employee tab of the Pre-Trade Approval Request Details page contains the following information about the employee who submitted this request:

- Employee Details
- Internal Transfer History
- Securities Licenses
- Securities License State Registration
- Manager History


Search and Pre-Trade Approval Request List >> Request Details
Reassign
Actions
Add Comment
Details
Employee
Position and Trade
Related Position and Trade
History
Expand All

Employee Details

Title : FLOOR-TRADER
Role : 1
Type : Employee
CRD ID : REGTDEXCEEDAPPV
Part/Full Time : Full Time
Tax ID : TXAARPTAEXCEEDS-01
Tax ID Format : Tax ID
Office : OFFICE_ID_1
Office Location : STREET 1
Mail Code : --
Information Access : --
Compliance Officer : AAR_PTA_IP USER_1 EXCEEDS-01
Supervisory Principal : AAR_PTA_IP USER_1 EXCEEDS-01
Supervisory Principal Start Date : --
Supervisory Principal End Date : --
Home Address : --

Company : ABC BANK
Cost Center : CST_1
Sprvsy Org ID : ORGTDEXCEEDAPPVDPREEE-01
Sprvsy Org Name : ORGANIZATION TO MONITOR TRADES EXCEEDING APPROVED QUANTITY01
Status : Active
Primary Line Org ID : ORGTDEXCEEDAPPVDPREEE-01
Primary Line Org Name : ORGANIZATION TO MONITOR TRADES EXCEEDING APPROVED QUANTITY01
Secondary Line Org ID : --
Secondary Line Org Name : --
Supervisor : AAR_PTA_IP USER_1 EXCEEDS-01
Information Sensitive Employee : N
Investment Policy Manager : AAR_PTA_IP USER_1 EXCEEDS-01
Investment Policy Manager Start Date : --
Investment Policy Manager End Date : --
Email : EMPTDEXCEEDAPPVDPREEE-01@OR.CO.U
Phone : 345655 856

Update : 12/10/2009
Hire Date : 12/31/2008
Re-Hire Date : --
Transfer Date : 12/31/2008
Status Date : 12/10/2009
Surveillance Termination Date : --
Termination U5 Sent to Employee : --
Termination FINRA Full U5 Filing : --

Internal Transfer History (3)

Title	Line Org ID	Line Org Name	Office ID	Office Loc	Supervisory Organization ID	Start Date	End Date
EMPLOYEE ...	ORGTDEXCEEDA...	ORG TO IDENTIFY ...	OFFICE OF SUB-...	LA PLACEA TURN...	ORGTDEXCEEDAPPVDP...	12/31/2008	12/10/2009
ASS. SUPE...	ORGTDEXCEEDA...	ORG TO IDENTIFY ...	SERENGITY	GLOBAL AXIS CR...	ORGTDEXCEEDAPPVDP...	12/31/2008	12/08/2009
DEVELOPM...	ORGTDEXCEEDA...	ORG TO IDENTIFY ...	YELLOW STONE	PLOT #45 BACK ...	ORGTDEXCEEDAPPVDP...	12/08/2009	12/08/2009

Securities License (4)

Securities License Type	Governing Entity	License Name	License Description	Acquired Date	Last Continuing Education Date	Termination Date
SECURITYLIC_OPT	FINRA	GLOBSEC/OPT/2...	SECURITIES LICENE F...	12/31/2008	12/08/2009	12/10/2009
SECURITYLIC_EQT	KINFRA	STATESEC/EQT/A...	SECURITIES LICENE F...	12/08/2009	12/08/2009	12/10/2009
SECURITYLIC_PRE	TOUCHSKY	TRADESEC/56/A-...	SECURITIES LICENE F...	12/09/2009	12/08/2009	12/10/2009
SECURITYLIC_FI	DOODLEDOO	FIXEDSEC-A/34C/...	SECURITIES LICENE F...	12/10/2009	12/08/2009	12/10/2009

Securities License State Registration (3)

Registration State	Effective Date	Expiration Date
ALABAMA	12/31/2008	12/10/2009
HAWAII	12/31/2008	12/08/2009
NEVADA	12/31/2008	12/08/2009

Manager History (2)

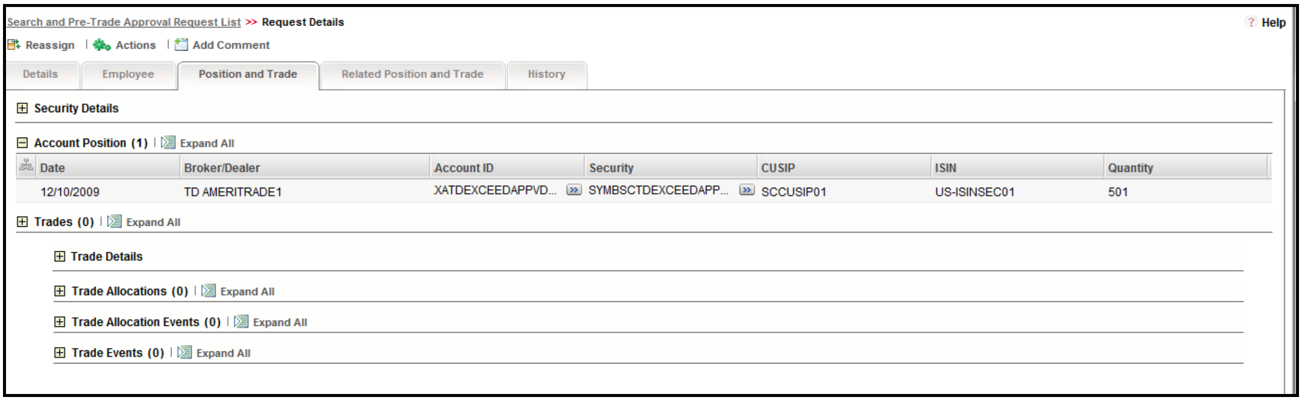
Manager Employee ID	Manager Name	Type	Start Date	End Date
INVTDEXCEEDAPPVDPREEE-01	AAR_PTA_IP USER_1 EXCEEDS-01	IPM	12/31/2008	12/08/2009
INVTDEXCEEDAPPVDPREEE-02	AAR_PTA_IP USER_1 EXCEEDS-02	CD	12/08/2009	12/10/2009

Figure 31. Pre-Trade Approval Request Details page - Employee tab

Position and Trade Tab

The Position and Trade tab of the Pre-Trade Approval Request Details page contains the following information about the security involved in this trade request:

- Security Details
- Account Position Information
- Trade Details
- Trade Allocations
- Trade Allocation Events
- Trade Events


Search and Pre-Trade Approval Request List >> Request Details
Help
Reassign
Actions
Add Comment
Details
Employee
Position and Trade
Related Position and Trade
History
Security Details
Account Position (1)
Expand All
Trades (0)
Expand All
Trade Details
Trade Allocations (0)
Expand All
Trade Allocation Events (0)
Expand All
Trade Events (0)
Expand All

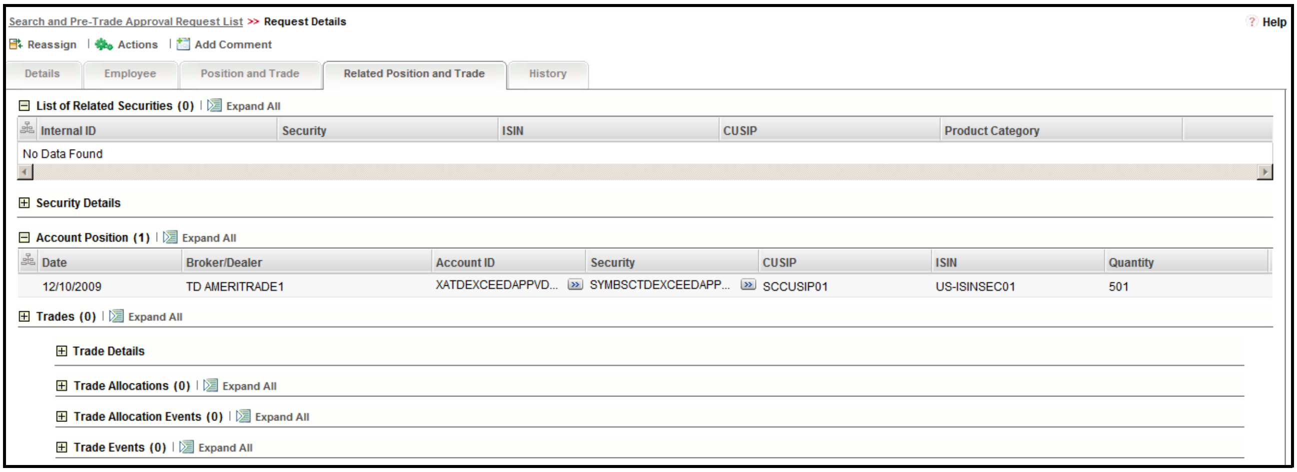
Date	Broker/Dealer	Account ID	Security	CUSIP	ISIN	Quantity
12/10/2009	TD AMERITRADE1	XATDEXCEEDAPPVD...	SYMBSCTDEXCEEDAPP...	SCCUSIP01	US-ISINSEC01	501

Figure 32. Pre-Trade Approval Request Details page - Position and Trade tab

Related Position and Trade Tab

The Related Position and Trade tab of the Pre-Trade Approval Request Details page contains the following information about securities which are related to the security involved in this request:

- List of Related Securities
- Security Details
- Account Position
- Trades
- Trade Details
- Trade Allocation
- Trade Allocation Events
- Trade Events


Search and Pre-Trade Approval Request List >> Request Details
Help
Reassign
Actions
Add Comment
Details
Employee
Position and Trade
Related Position and Trade
History
List of Related Securities (0)
Expand All
Security Details
Account Position (1)
Expand All
Trades (0)
Expand All
Trade Details
Trade Allocations (0)
Expand All
Trade Allocation Events (0)
Expand All
Trade Events (0)
Expand All

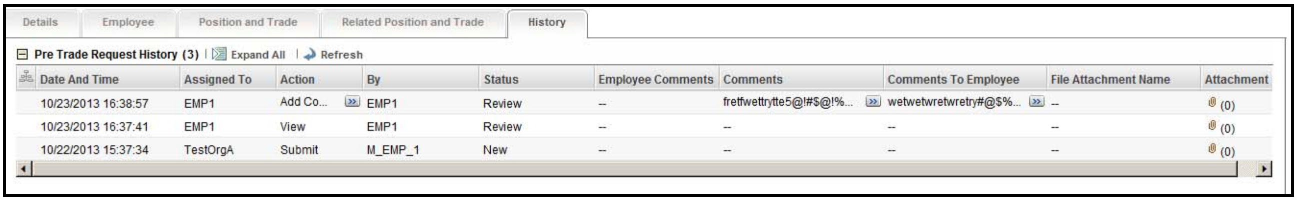
Internal ID	Security	ISIN	CUSIP	Product Category
No Data Found				

Date	Broker/Dealer	Account ID	Security	CUSIP	ISIN	Quantity
12/10/2009	TD AMERITRADE1	XATDEXCEEDAPPVD...	SYMBSCTDEXCEEDAPP...	SCCUSIP01	US-ISINSEC01	501

Figure 33. Pre-Trade Approval Request Details page - Related Position and Trade tab

History Tab

The History tab of the Pre-Trade Approval Request Details page provides a history of the actions taken on this pre-trade approval request.



Date And Time	Assigned To	Action	By	Status	Employee Comments	Comments	Comments To Employee	File Attachment Name	Attachment
10/23/2013 16:38:57	EMP1	Add Co...	EMP1	Review	--	fretfwettrytte5@!#$@!%...	wetwetwretwretry#@$%...	--	(0)
10/23/2013 16:37:41	EMP1	View	EMP1	Review	--	--	--	--	(0)
10/22/2013 15:37:34	TestOrgA	Submit	M_EMP_1	New	--	--	--	--	(0)

Figure 34. Pre-Trade Approval Request Details page - History tab

Taking Ownership of a Pre-Trade Approval Request

When a user with a Control Room Supervisors or Control Room Analysts role clicks on a request in *New(Assigned)* status, the request will automatically be assigned to this user.

To take ownership of Pre-Trade Approval requests, follow these steps:

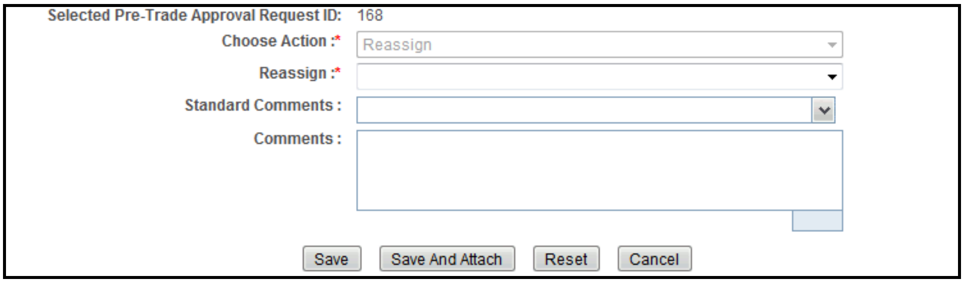
1. Navigate to the Pre-Trade Approval Request List page.
2. Select **New (Assigned)** from the Request Status Search By drop-down list.
3. Select either Equity/Preferred, Option, or Fixed Income in the left-hand side. The Pre-Trade Approval Request page displays the New (Assigned) list.
4. Click the Request ID for the Pre-Trade Approval request which will be automatically assigned to you. The Pre-Trade Approval Request Details page displays for the selected request.

Reassigning a Pre-Trade Approval Request

A request may be reassigned to another user in the event the current assignee of the request is not available to take action on the request. This is useful especially if the request is assigned to a user that will be out of office or has permanently left the firm. The request must be reassigned to someone else to move the request along the process. Only those assigned to the request can take action on the request.

To reassign a Pre-Trade Approval request, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Click the Request ID for the request you wish to reassign. The Pre-Trade Approval Request Details page displays for the selected request.
3. Click **Reassign**. The Pre-Trade Approval Request Reassign Action window displays.



Selected Pre-Trade Approval Request ID: 168
Choose Action :* Reassign
Reassign :*
Standard Comments :
Comments :

Figure 35. Reassign Action Window

4. Enter the following information in the Reassign Action window. The following table lists the fields that display in the Reassign Action details. Fields marked in the form with an asterisk (*) are mandatory.

Table 19. Reassign Action Fields

Field	Description
Choose Action	The **Reassign** action is pre-selected from the drop-down list.
Reassign	Select the person who will be reassigned to the request from the drop-down list
Standard Comments	Select the standard comments from the drop-down list, if available.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Pre-Trade Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays.

6. The Reassign Confirmation box displays. Click **OK** to confirm the reassigning of the request.

Approving or Rejecting Pre-Trade Approval Requests

Note: This functionality applies only to users with a non-Employee role.

After a Pre-Trade Approval request has been submitted by an Employee, it is sent for approval or rejection. An IP Manager, IP Manager Supervisor, CR Supervisor or CR Analyst considers the request and moves the request through the approval process.

An IP Manager Supervisor or IP Manager can approve or reject a request only if Four-Eyes Approval is enabled and the Investment Policy Manager is designated to the employee who made the request. If the IP Manager or Manager Supervisor assigned to the request is unavailable, the CR Supervisor or Analyst can approve or reject the request on behalf of the assigned IP Manager or Manager Supervisor. Otherwise, a CR Supervisor/Analyst can give final approval or rejection to a request if Four-Eyes Approval is disabled or the employee who submitted the request is not designated to an IP Manager.

Approving Pre-Trade Approval Requests

If Four-Eyes Approval, Auto-Reject, and Auto-Approve functionality is disabled, a user with the CR Supervisor/Analyst role must review each request submitted by an employee of the firm and manually determine if it should be rejected or approved.

To approve Pre-Trade Approval requests manually, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Click the Request ID. The Pre-Trade Approval Request details page displays.
3. Click **Actions**. The Pre-Trade Approval Request Action window displays.

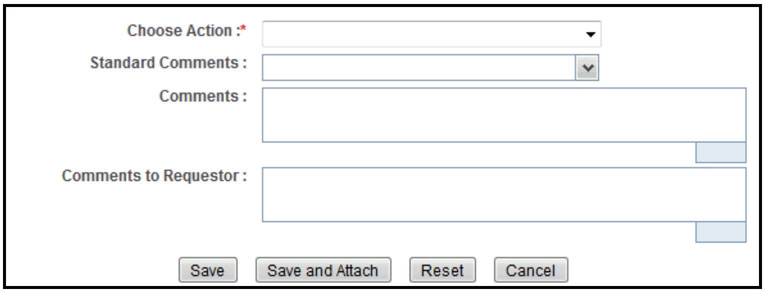


Figure 36. Pre-Trade Approval Request Action Window

4. Enter the following information in the Pre-Trade Approval Request Action window. The following table lists the fields that display in the Pre-Trade Approval Request Action details. Fields marked with an asterisk (*) are mandatory. .

Table 20. Pre-Trade Approval Request Action Fields

Field	Description
Choose Action	Select the **Approve Request** action the from the drop-down list.
Standard Comments	Select the standard comments from the drop-down list, if available.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.
Comments to Requestor	Enter the comments directed to the submitter of the request.

5. Click **Save** or **Save and Attach**.

   Note: If Save and Attach is clicked, the Pre-Trade Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays. To close the Attachment pop-up window, click **Cancel**.

Approving Pre-Trade Approval Requests with 4-Eyes Approval

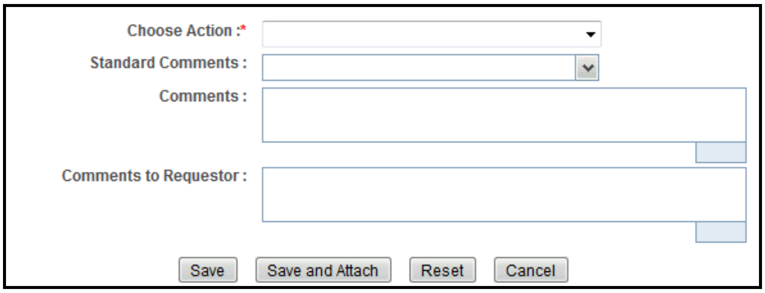
When Four-Eyes Approval is enabled, the request submitted by the employee must be approved by both a CR Supervisor or Analyst role and an IP Manager or IP Manager Supervisor. The request is first approved by the CR Supervisor or Analyst, and then finally approved or rejected by the IP Manager or IP Manager Supervisor assigned to the request.

Rejecting Pre-Trade Approval Requests

To reject Pre-Trade Approval requests manually, follow these steps:

1. Navigate to the Pre-Trade Approval Request List page.
2. Click the Request ID. The Pre-Trade Approval Request details page displays.

3. Click **Actions**. The Pre-Trade Approval Request Action window displays.



Choose Action :*
Standard Comments :
Comments :
Comments to Requestor :

Figure 37. Pre-Trade Approval Request Action Window

4. Enter the following information in the Pre-Trade Approval Request Action window. The following table lists the fields that display in the Pre-Trade Approval Request Action details. Fields marked with an asterisk (*) are mandatory. .

Table 21. Pre-Trade Approval Request Action Fields

Field	Description
Choose Action	Select the **Reject Request** action from the drop-down list.
Standard Comments	Select the standard comments from the drop-down list, if available.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the request.
Comments to Requestor	Enter the comments directed to the submitter of the request.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Pre-Trade Approval Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays. To close the Attachment pop-up window, click **Cancel**.

Using Auto-Approval/Auto-Rejection

The Oracle client can opt to turn on the functionality to Auto-Reject a request where the system will automatically reject a request depending on if either the security in a request is on a Security Restriction List or if the employee and the security is on an Employee Restriction List. For requests that have not been auto-rejected, the Oracle client can opt to turn on the functionality to Auto-Approve where the system will automatically approve any requests submitted that have not been auto-rejected; otherwise, these requests will need to be reviewed and manually approved or rejected.

If Auto-Approve or Auto-Reject functionality has been enabled in your environment, the request is compared against the approval criteria your firm has selected.

CHAPTER 5

Attestation

This chapter describes the Attestation section of the Personal Trading Approval application and covers the following topics:

- About Attestation
- User Roles and Actions
- E-mail Notifications
- Managing My Attestations
- Managing Attestations from Control Room

About Attestation

Using the Attestation section of the Personal Trading Approval application, employees may submit an attestation during a reporting period specified by the Oracle client affirming that they either do not hold any personal investment accounts outside of the firm or hold one or more personal investment accounts outside of the firm which have been approved by the firm. These attestations are then reviewed by users with Control Room Analyst or Control Room Supervisor roles.

User Roles and Actions

The following users have access to Attestation:

- Employee
- Control Room Supervisor
- Control Room Analyst

The following table lists the actions these users can take within Attestation.

Table 22. Attestation User Roles and Actions

Action	Employee	Control Room Supervisor	Control Room Analyst
Submit Attestation	X		
Resubmit Attestation	X		
View Attestation		X	X
Reviewed Attestation		X	X
Reviewed Attestation with Follow-up		X	X
Reassign Attestation		X	X
Add Comment to Attestation	X	X	X

E-mail Notifications

Notifications are messages sent to a user stating that an action has been performed in the application or that an action should be performed. They can be viewed from your e-mail Inbox. The following table lists who will receive notifications.

Table 23. Attestation Actions and E-mail Notifications

Action	Employee	Control Room Supervisor or Analyst
Submit Attestation	X	X
Resubmit Attestation	X	X
View Attestation		X
Reviewed Attestation	X	X
Reviewed Attestation with Follow-up	X	X
Reassign Attestation		X
Add Comment to Attestation	X	X

Managing My Attestations

Employees have the ability submit, view, and edit their attestations. This section discusses the following topics:

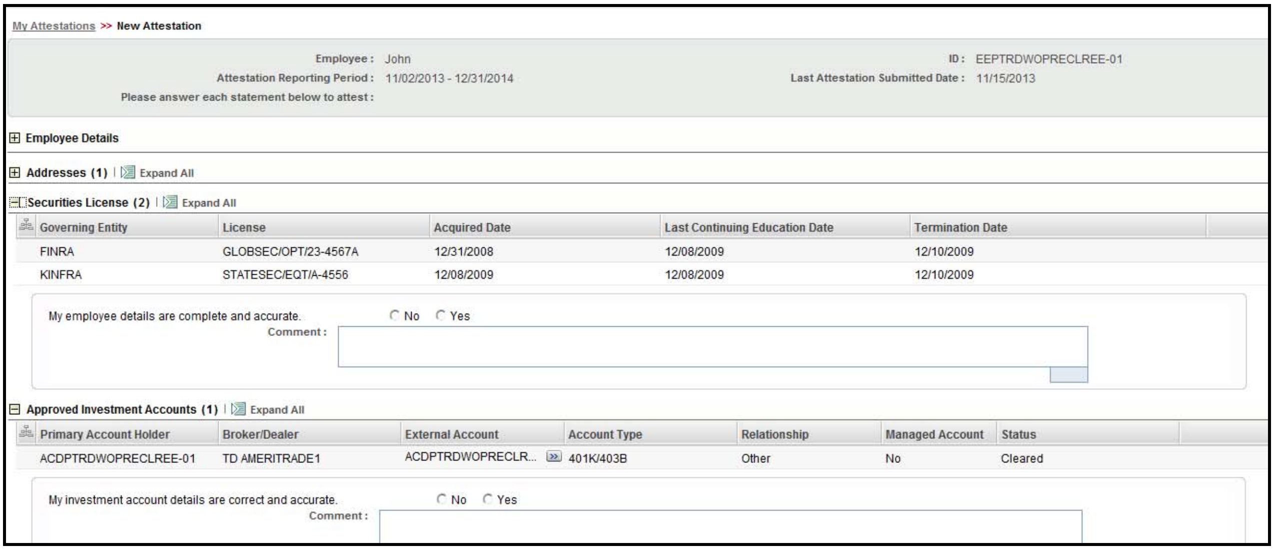
- Submitting a New Attestation
- Accessing My Attestations
- Viewing My Attestations
- Viewing Attestation Details
- Modifying My Attestation
- Adding Comments to My Attestation

Submitting a New Attestation

You must attest to any personal investment accounts held outside of your firm have been disclosed to your employer. If you do not have any personal investment accounts, you must attest that you have no accounts. These attestations must be resubmitted for each reporting period, depending upon your firm's requirements.

You can submit a new attestation from the My Attestations page. To submit an attestation, follow these steps:

1. Navigate to the My Attestations page.
2. Click **New Attestation**. The New Attestation page displays.


My Attestations >> New Attestation
⊞ Employee Details
⊞ Addresses (1) | Expand All
⊟ Securities License (2) | Expand All
⊟ Approved Investment Accounts (1) | Expand All

Employee : John
ID : EEPTRDWOPRECLREE-01
Attestation Reporting Period : 11/02/2013 - 12/31/2014
Last Attestation Submitted Date : 11/15/2013
Please answer each statement below to attest :

Governing Entity	License	Acquired Date	Last Continuing Education Date	Termination Date
FINRA	GLOBSEC/OPT/23-4567A	12/31/2008	12/08/2009	12/10/2009
KINFRA	STATESEC/EQT/A-4556	12/08/2009	12/08/2009	12/10/2009

My employee details are complete and accurate. ○ No ○ Yes
Comment :

Primary Account Holder	Broker/Dealer	External Account	Account Type	Relationship	Managed Account	Status
ACDPTRDWOPRECLREE-01	TD AMERITRADE1	ACDPTRDWOPRECLR...	401K/403B	Other	No	Cleared

My investment account details are correct and accurate. ○ No ○ Yes
Comment :

Figure 38. New Attestation Page

3. The following sections are pre-populated with your information. Select either **Yes** or **No** to confirm that the displayed information is accurate. Enter any necessary comments.

- **Employee Details**: Your employee details.
    - **Addresses**: Your address information.
    - **Securities License**: List of securities licenses you have acquired.
- **Approved Investment Accounts:** Your personal investment accounts held outside of your firm that have been approved by your firm.
- **Outside Business Activity:** Your outside business activity records.
- **Private Security Transaction:** Your transaction records for private securities.

4. Select the answers for the questions your firm has selected in the Questionnaire section. Enter any necessary comments in the text boxes provided.
5. Select the check box to verify that this attestation is true and accurate.

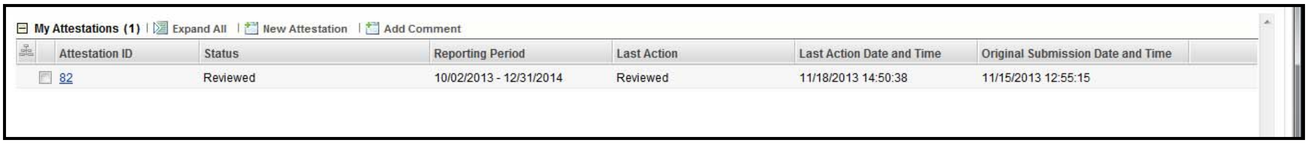
Click **Submit**. The following message displays: *Successfully submitted attestation <Attestation ID>*. Your new attestation displays in the My Attestations page with a *New (Un reviewed)* status.

Accessing My Attestations

This section explains how to access the Attestation section in the Oracle Financial Services Personal Trading Approval application.

To access the Attestation section of Personal Trading Approval, follow these steps:

1. Login to the OFSPTA application as an Employee user following the steps provided in Chapter 2, *Getting Started,* on page 3. The OFSAAI Home page is displayed.
2. Select **My Attestation** from the My Requests menu. he My Attestations page is displayed.



Attestation ID	Status	Reporting Period	Last Action	Last Action Date and Time	Original Submission Date and Time
☐ 82	Reviewed	10/02/2013 - 12/31/2014	Reviewed	11/18/2013 14:50:38	11/15/2013 12:55:15

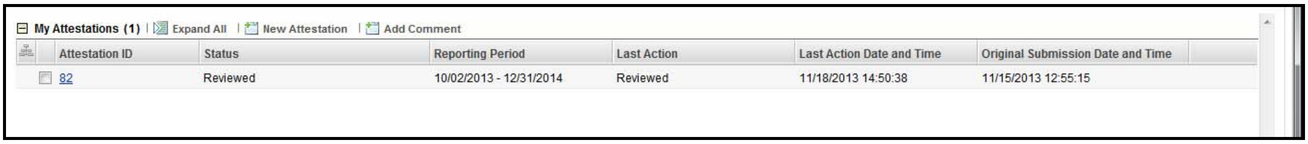
Figure 39. My Attestations page

Viewing My Attestations

Employees may view their submitted attestations in the My Attestations page.

To view your attestations, follow these steps.

1. Select **My Attestations** from the **My Requests** menu. The My Attestations page is displayed.



Attestation ID	Status	Reporting Period	Last Action	Last Action Date and Time	Original Submission Date and Time
☐ 82	Reviewed	10/02/2013 - 12/31/2014	Reviewed	11/18/2013 14:50:38	11/15/2013 12:55:15

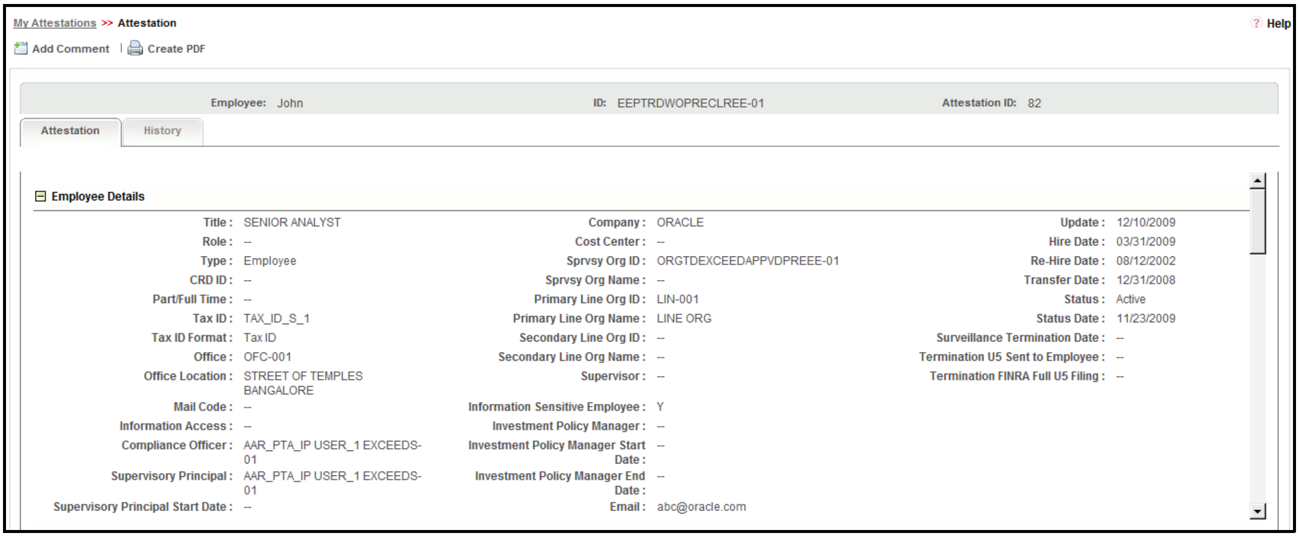
Figure 40. My Attestations page

The My Attestations page lists any attestations you have submitted, in accordance with your firm's reporting requirements.

Viewing Attestation Details

To view the details for an attestation you have submitted, follow these steps:

1. Navigate to the My Attestations page.
2. Click the Attestation ID for the attestation you wish to view. The Attestation Details page displays.



Employee: John
ID: EEPTRDWOPRECLREE-01
Attestation ID: 82

Title : SENIOR ANALYST
Role : --
Type : Employee
CRD ID : --
Part/Full Time : --
Tax ID : TAX_ID_S_1
Tax ID Format : Tax ID
Office : OFC-001
Office Location : STREET OF TEMPLES BANGALORE
Mail Code : --
Information Access : --
Compliance Officer : AAR_PTA_IP USER_1 EXCEEDS-01
Supervisory Principal : AAR_PTA_IP USER_1 EXCEEDS-01
Supervisory Principal Start Date : --

Company : ORACLE
Cost Center : --
Sprvsy Org ID : ORGTDEXCEEDAPPVDPREEE-01
Sprvsy Org Name : --
Primary Line Org ID : LIN-001
Primary Line Org Name : LINE ORG
Secondary Line Org ID : --
Secondary Line Org Name : --
Supervisor : --
Information Sensitive Employee : Y
Investment Policy Manager : --
Investment Policy Manager Start Date : --
Investment Policy Manager End Date : --
Email : abc@oracle.com

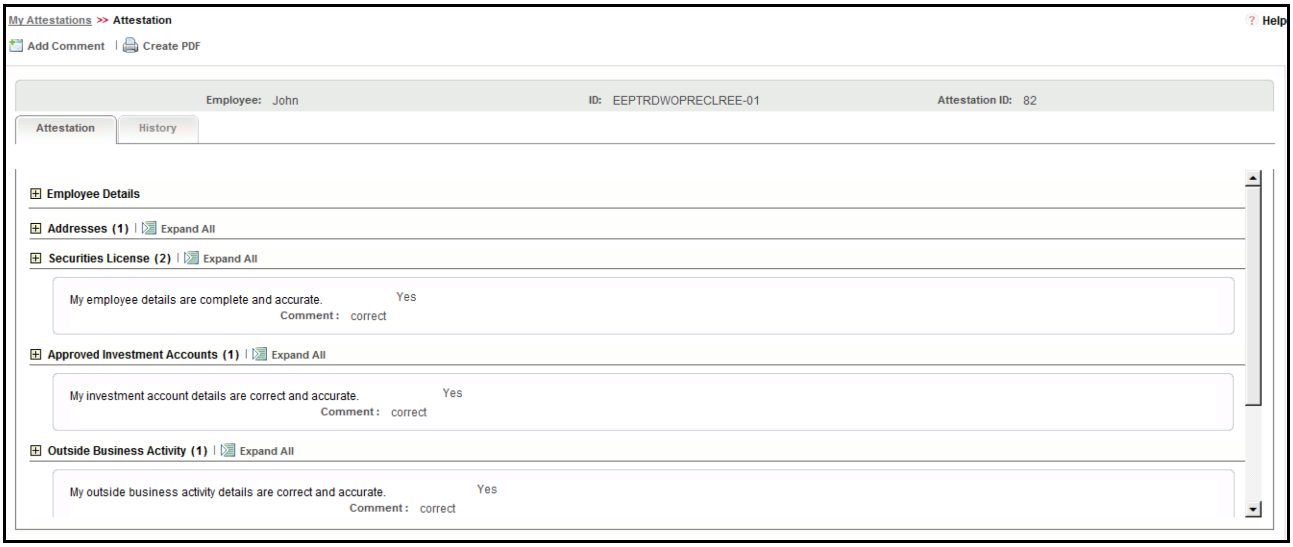
Update : 12/10/2009
Hire Date : 03/31/2009
Re-Hire Date : 08/12/2002
Transfer Date : 12/31/2008
Status : Active
Status Date : 11/23/2009
Surveillance Termination Date : --
Termination U5 Sent to Employee : --
Termination FINRA Full U5 Filing : --

Figure 41. Attestation Details page

Attestation Tab

The Attestation tab of the Attestation Details page contains page contains the following details:

- **Employee Details**: Details of the employee who submitted this attestation.
  - **Addresses:** Address information for the employee who submitted this attestation.
  - **Securities License**: List of securities licenses acquired by this employee.
- **Approved Investment Accounts:** All personal investment accounts held outside the firm submitted by this employee that have been approved during the reporting period of this attestation.
- **Outside Business Activity:** All outside business activity records submitted by this employee.
- **Private Security Transaction:** All transaction records for private securities submitted by this employee.
- **Questionnaire:** Questions selected by the firm to include in the Attestation Questionnaire, with this employee’s answers.


My Attestations >> Attestation
? Help
Add Comment | Create PDF
Attestation
History
Employee Details
Addresses (1) | Expand All
Securities License (2) | Expand All
Approved Investment Accounts (1) | Expand All
Outside Business Activity (1) | Expand All

Employee: John ID: EEPTRDWOPRECLREE-01 Attestation ID: 82

My employee details are complete and accurate. Yes
Comment : correct

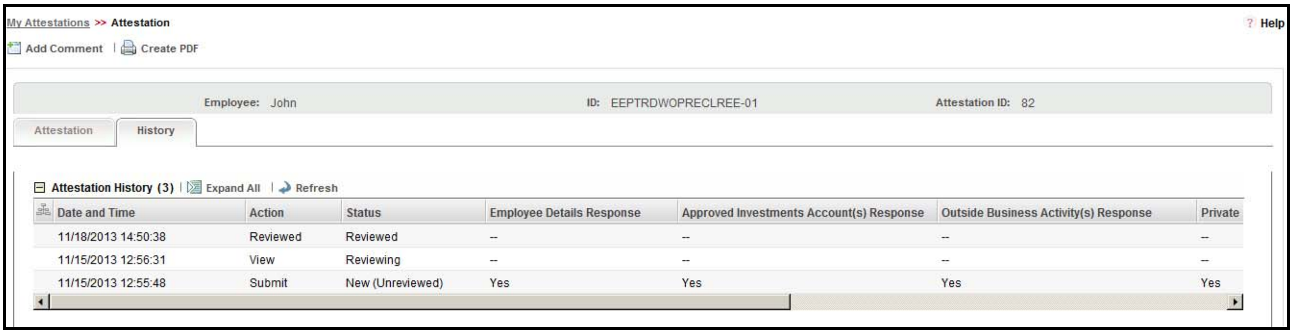
My investment account details are correct and accurate. Yes
Comment : correct

My outside business activity details are correct and accurate. Yes
Comment : correct

Figure 42. Attestation Details page - Attestation tab

History Tab

The History tab of the Attestation Details page provides the submitted responses of the employee to the questions in the attestation and a history of the actions taken on this attestation.


My Attestations >> Attestation
? Help
Add Comment | Create PDF
Attestation
History
Attestation History (3) | Expand All | Refresh

Employee: John
ID: EEPTRDWOPRECLREE-01
Attestation ID: 82

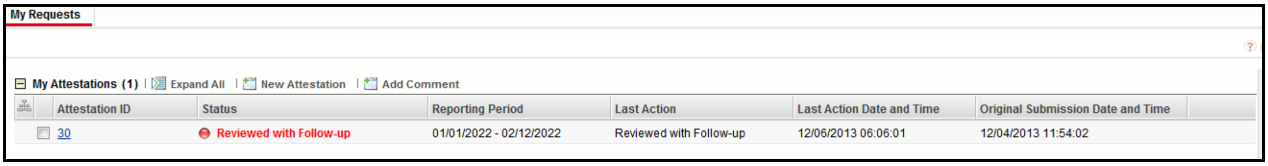
Date and Time	Action	Status	Employee Details Response	Approved Investments Account(s) Response	Outside Business Activity(s) Response	Private
11/18/2013 14:50:38	Reviewed	Reviewed	--	--	--	--
11/15/2013 12:56:31	View	Reviewing	--	--	--	--
11/15/2013 12:55:48	Submit	New (Unreviewed)	Yes	Yes	Yes	Yes

Figure 43. Attestation Details page - History tab

Within this tab, you can view the actual questions and their responses by clicking the Questionnaire Details icon with a yellow color - if the icon is not yellow, nothing will happen.

Modifying My Attestation

You can modify a submitted attestation that has a status set to *Reviewed with Follow-up*. If your attestation required modification, the status will display in red color.

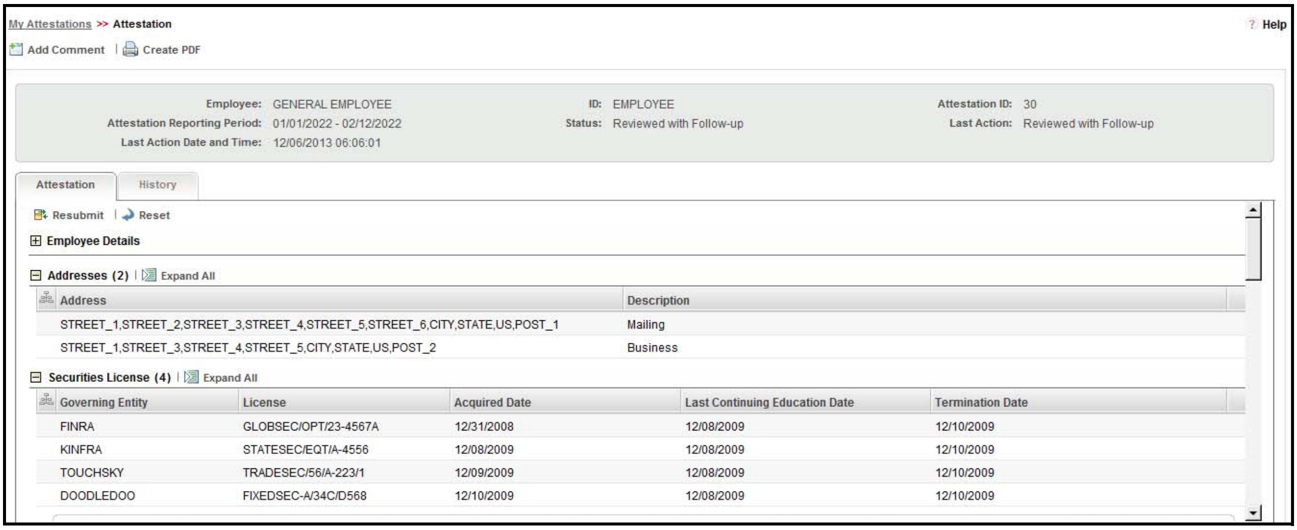

My Requests
?
My Attestations (1) | Expand All | New Attestation | Add Comment

	Attestation ID	Status	Reporting Period	Last Action	Last Action Date and Time	Original Submission Date and Time
☐	30	● Reviewed with Follow-up	01/01/2022 - 02/12/2022	Reviewed with Follow-up	12/06/2013 06:06:01	12/04/2013 11:54:02

Figure 44. Attestation Requiring Modification

To modify your attestation, follow these steps:

1. Navigate to the My Attestations page.
2. Click the Attestation ID of the attestation in *Reviewed with Follow-up* status. The Attestation Details page opens in Edit mode.



Employee: GENERAL EMPLOYEE
Attestation Reporting Period: 01/01/2022 - 02/12/2022
Last Action Date and Time: 12/06/2013 06:06:01
ID: EMPLOYEE
Status: Reviewed with Follow-up
Attestation ID: 30
Last Action: Reviewed with Follow-up

Address	Description
STREET_1,STREET_2,STREET_3,STREET_4,STREET_5,STREET_6,CITY,STATE,US,POST_1	Mailing
STREET_1,STREET_3,STREET_4,STREET_5,CITY,STATE,US,POST_2	Business

Governing Entity	License	Acquired Date	Last Continuing Education Date	Termination Date
FINRA	GLOBSEC/OPT/23-4567A	12/31/2008	12/08/2009	12/10/2009
KINFRA	STATESEC/EQT/A-4556	12/08/2009	12/08/2009	12/10/2009
TOUCHSKY	TRADESEC/56/A-223/1	12/09/2009	12/08/2009	12/10/2009
DOODLEDOO	FIXEDSEC-A/34C/D568	12/10/2009	12/08/2009	12/10/2009

Figure 45. Attestation Details page in Edit Mode

3. The following sections are pre-populated with your information. Select either **Yes** or **No** to confirm that the displayed information is accurate. Enter any necessary comments.

- **Employee Details**: Your employee details.
  - **Addresses**: Your address information.
  - **Securities License**: List of securities licenses you have acquired.
- **Approved Investment Accounts:** Your personal investment accounts held outside of your firm that have been approved by your firm.
- **Outside Business Activity:** Your outside business activity records.
- **Private Security Transaction:** Your transaction records for private securities.

4. Select the answers for the questions your firm has selected in the Questionnaire section. Enter any necessary comments in the text boxes provided.
5. Select the check box to verify that this attestation is true and accurate.
6. Click **Resubmit**. The following message displays: *Successfully updated attestation <Attestation ID>*. Your corrected attestation displays in the My Attestations page with a *Reviewed with Follow-up* status.

Adding Comments to My Attestation

To add a comment to an attestation, follow these steps:

1. Navigate to the My Attestations page.
2. Select the check box next to the Attestation ID and click **Add Comment**. The Add Comment window displays.
   Or:
   Click the Attestation ID to open the Attestation Details page. Click **Add Comment**. The Add Comment window displays.

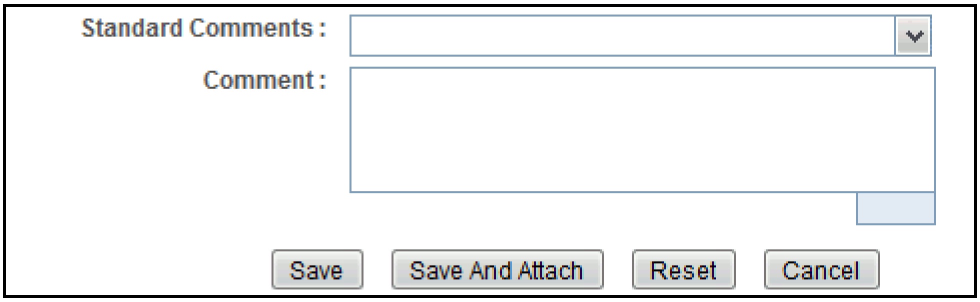


Figure 46. Add Comment Window

3. Select a Standard Comment from the drop-down list, if available.
4. Enter any additional comments in the Comments text box.
5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Attestation Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The *Add Operation Success* message displays.

Managing Attestations from Control Room

This section allows Control Room Supervisors and Analysts to search, view, reassign, and review attestations submitted by employees within the firm.

This section discusses the following topics:

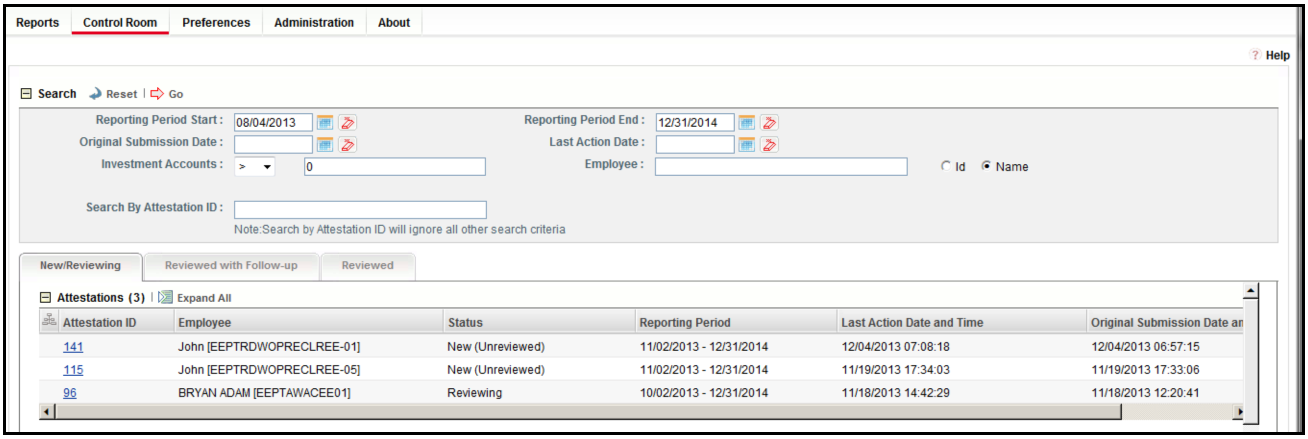
- Accessing Attestation
- Searching Attestations
- Adding Comments to an Attestation
- Taking Ownership of an Attestation
- Reassigning an Attestation

Accessing Attestation

This section explains how to access the Attestation section in the Oracle Financial Services Personal Trading Approval application.

To access the Attestation section of Personal Trading Approval, follow these steps:

1. Login to the OFSPTA application using the Control Room Supervisor or Analyst user role.
2. Click **Control Room** and select **Attestation**. The Attestation Search and List page is displayed.



Reporting Period Start : 08/04/2013
Reporting Period End : 12/31/2014
Original Submission Date :
Last Action Date :
Investment Accounts : > 0
Employee :
Search By Attestation ID :
Note:Search by Attestation ID will ignore all other search criteria

Attestations (3)

Attestation ID	Employee	Status	Reporting Period	Last Action Date and Time	Original Submission Date an
141	John [EEPTRDWOPRECLREE-01]	New (Unreviewed)	11/02/2013 - 12/31/2014	12/04/2013 07:08:18	12/04/2013 06:57:15
115	John [EEPTRDWOPRECLREE-05]	New (Unreviewed)	11/02/2013 - 12/31/2014	11/19/2013 17:34:03	11/19/2013 17:33:06
96	BRYAN ADAM [EEPTAWACEE01]	Reviewing	10/02/2013 - 12/31/2014	11/18/2013 14:42:29	11/18/2013 12:20:41

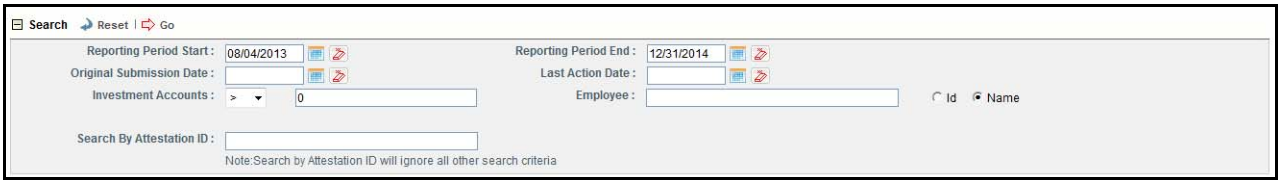
Figure 47. Attestation Search and List page

Searching Attestations

The Attestation Search and List page allows you to search and view the attestations submitted by employees in your firm. The Search and List page allows you to filter the attestations that you want to view and analyze.

To search attestations, follow these steps:

1. Navigate to the Attestation Search and List page. The Search Details section is displayed.



Reporting Period Start : 08/04/2013
Reporting Period End : 12/31/2014
Original Submission Date :
Last Action Date :
Investment Accounts : > 0
Employee :
Search By Attestation ID :
Note:Search by Attestation ID will ignore all other search criteria

Figure 48. Search Details

2. Enter criteria into the **Search** section. The following table lists the fields that display in the Attestation Search section.

Table 24. Attestation Search Fields

Field	Description
Reporting Period Start	Select the starting range date of the reporting period of the attestation from the **Calendar icon.**
Reporting Period End	Select the ending range date of the reporting period of the attestation from the **Calendar icon.**
Original Submission Date	Select the date the attestation was submitted from the **Calendar icon.**
Last Action Date	Select the date the last action was taken on the attestation from the **Calendar icon.**

Table 24. Attestation Search Fields (Continued)

Field	Description
Investment Accounts	Select one of the following from the drop-down list and then enter a numeric value into the text box to find an attestation with a specific number of approved accounts: ● >: less than ● >= : less than or equal to ● = : equal to ● < :greater than ● <= : greater than or equal to ● <> : not equal to
Search by Attestation ID	Enter the Attestation ID.You can enter more that one Attestation ID, each separated by a comma. Using this search field ignores all other search criteria.

3. Click **Go**. Attestations which satisfy the selected filter criteria are displayed in the list grid, according to their status. The attestations are separated by status into the following tabs:

- **New/Reviewing**: Attestations that you have submitted that are pending review.
- **Reviewed with Follow-up**: Attestations that you have submitted that require additional information.
- **Reviewed**: Attestations that you have submitted that have been reviewed by the Control Room.

Warning: If there are no matched details with the given search criteria then the Alert window displays following message: *No data met the selected filter criteria. Please enter new filter criteria.*

Note: You can click **Reset** to reset the field values to default.

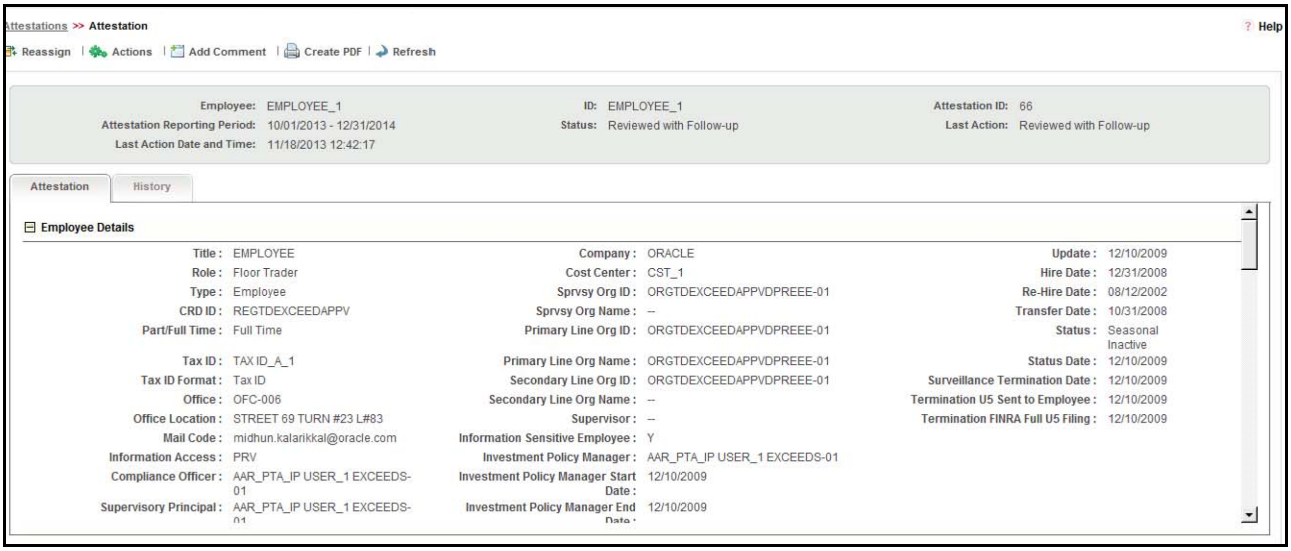
Viewing Attestation Details

You can find more information or take actions on an attestation in the Attestation Details page.

To view attestation details, follow these steps:

1. Navigate to the Attestation Search and List page.
2. Click the attestation ID for the attestation you wish to view further details on. The Attestation Details page displays.

Note: Selecting an attestation ID for an attestation in *New/Reviewing* status will assign that attestation to you. For more information, refer to *Taking Ownership of an Attestation,* on page 58.



Employee: EMPLOYEE_1
Attestation Reporting Period: 10/01/2013 - 12/31/2014
Last Action Date and Time: 11/18/2013 12:42:17
ID: EMPLOYEE_1
Status: Reviewed with Follow-up
Attestation ID: 66
Last Action: Reviewed with Follow-up

Title : EMPLOYEE
Role : Floor Trader
Type : Employee
CRD ID : REGTDEXCEEDAPPV
Part/Full Time : Full Time
Tax ID : TAX ID_A_1
Tax ID Format : Tax ID
Office : OFC-006
Office Location : STREET 69 TURN #23 L#83
Mail Code : midhun.kalarikkal@oracle.com
Information Access : PRV
Compliance Officer : AAR_PTA_IP USER_1 EXCEEDS-01
Supervisory Principal : AAR_PTA_IP USER_1 EXCEEDS-01

Company : ORACLE
Cost Center : CST_1
Sprvsy Org ID : ORGTDEXCEEDAPPVDPREEE-01
Sprvsy Org Name : --
Primary Line Org ID : ORGTDEXCEEDAPPVDPREEE-01
Primary Line Org Name : ORGTDEXCEEDAPPVDPREEE-01
Secondary Line Org ID : ORGTDEXCEEDAPPVDPREEE-01
Secondary Line Org Name : --
Supervisor : --
Information Sensitive Employee : Y
Investment Policy Manager : AAR_PTA_IP USER_1 EXCEEDS-01
Investment Policy Manager Start Date : 12/10/2009
Investment Policy Manager End Date : 12/10/2009

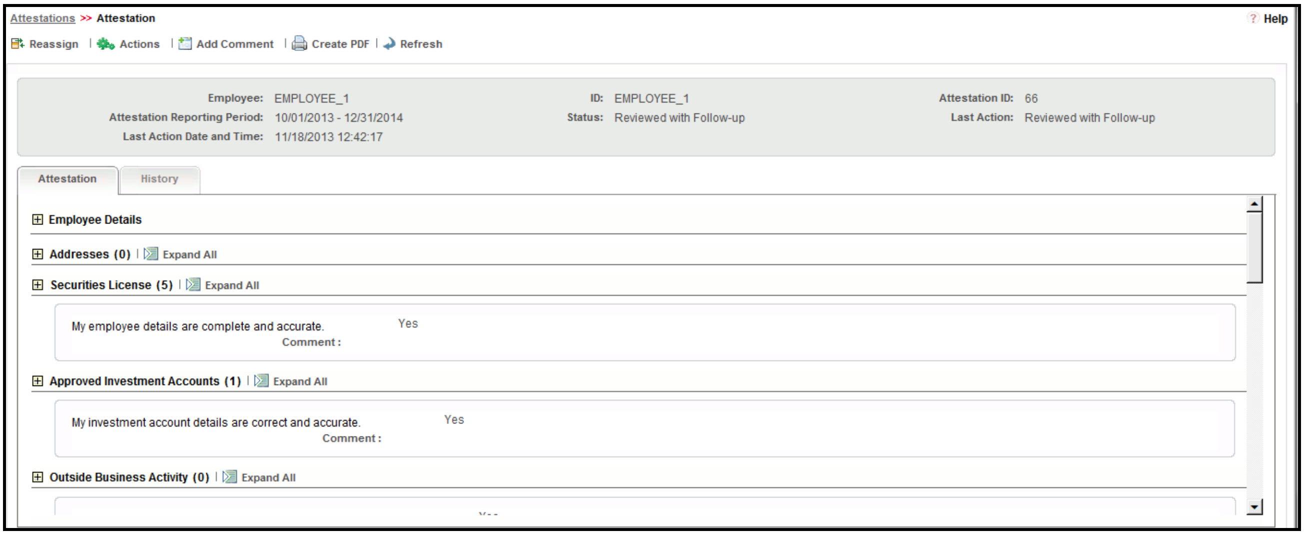
Update : 12/10/2009
Hire Date : 12/31/2008
Re-Hire Date : 08/12/2002
Transfer Date : 10/31/2008
Status : Seasonal Inactive
Status Date : 12/10/2009
Surveillance Termination Date : 12/10/2009
Termination U5 Sent to Employee : 12/10/2009
Termination FINRA Full U5 Filing : 12/10/2009

Figure 49. Attestation Details page

Attestation Tab

The Attestation tab of the Attestation Details page contains page contains the following details:

- **Employee Details**: Details of the employee who submitted this attestation.
    - **Addresses:** Address information for the employee who submitted this attestation.
    - **Securities License**: List of securities licenses acquired by this employee.
- **Approved Investment Accounts:** All personal investment accounts held outside the firm submitted by this employee that have been approved during the reporting period of this attestation.
- **Outside Business Activity:** All outside business activity records submitted by this employee.
- **Private Security Transaction:** All transaction records for private securities submitted by this employee.
- **Questionnaire:** Questions selected by the firm to include in the Attestation Questionnaire, with this employee’s answers.


Attestations >> Attestation
? Help
Reassign | Actions | Add Comment | Create PDF | Refresh
Attestation
History

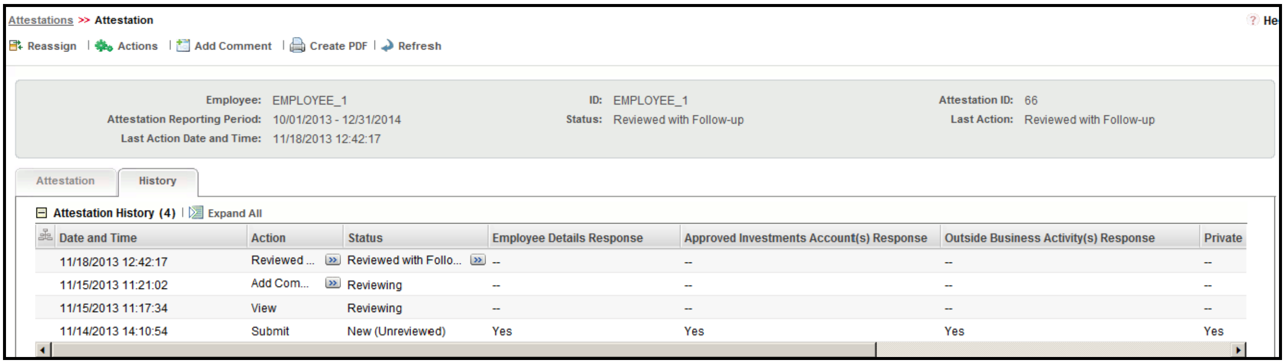
Employee: EMPLOYEE_1
Attestation Reporting Period: 10/01/2013 - 12/31/2014
Last Action Date and Time: 11/18/2013 12:42:17
ID: EMPLOYEE_1
Status: Reviewed with Follow-up
Attestation ID: 66
Last Action: Reviewed with Follow-up

Employee Details
Addresses (0) | Expand All
Securities License (5) | Expand All
My employee details are complete and accurate. Yes
Comment :
Approved Investment Accounts (1) | Expand All
My investment account details are correct and accurate. Yes
Comment :
Outside Business Activity (0) | Expand All

Figure 50. Attestation Details page - Attestation tab

History Tab

The History tab of the Attestation Details page provides the submitted responses of the employee to the questions in the attestation and a history of the actions taken on this attestation.


Attestations >> Attestation
? He
Reassign | Actions | Add Comment | Create PDF | Refresh
Attestation
History

Employee: EMPLOYEE_1
Attestation Reporting Period: 10/01/2013 - 12/31/2014
Last Action Date and Time: 11/18/2013 12:42:17
ID: EMPLOYEE_1
Status: Reviewed with Follow-up
Attestation ID: 66
Last Action: Reviewed with Follow-up

Attestation History (4) | Expand All

Date and Time	Action	Status	Employee Details Response	Approved Investments Account(s) Response	Outside Business Activity(s) Response	Private
11/18/2013 12:42:17	Reviewed ...	Reviewed with Follo...	--	--	--	--
11/15/2013 11:21:02	Add Com...	Reviewing	--	--	--	--
11/15/2013 11:17:34	View	Reviewing	--	--	--	--
11/14/2013 14:10:54	Submit	New (Unreviewed)	Yes	Yes	Yes	Yes

Figure 51. Attestation Details page - History tab

Within this tab, you can view the actual questions and their responses by clicking the Questionnaire Details icon with a yellow color - if the icon is not yellow, nothing will happen.

Taking Ownership of an Attestation

When a user with a Control Room Supervisor or Analysts role clicks on an attestation in *New (Unreviewed)* status, the attestation will automatically be assigned to this user.

To take ownership of attestations, follow these steps:

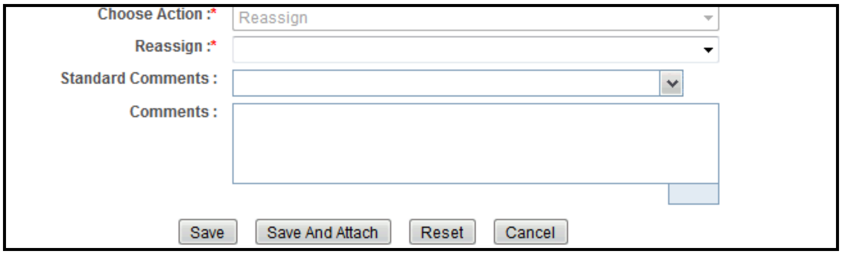
1. Navigate to the Attestation Search and List page.

2. In the **New/Reviewing** tab, click the attestation ID for the attestation with a *New (Unreviewed)* status which will be automatically assigned to you. The Attestation Details page displays for the selected attestation. The status of the attestation changes to *Reviewing*.

Reassigning an Attestation

An attestation may be reassigned to another user in the event the current assignee of the attestation is not available to take action on the attestation. This is useful especially if the attestation was assigned to a user that will be out of office or has permanently left the firm. The attestation must be reassigned to someone else to move the attestation along the process. Only those assigned to the attestation can take action on the attestation.
To reassign an attestation, follow these steps:

1. Navigate to the Attestation Search and List page.
2. Click the Attestation ID for the attestation you wish to reassign. The Attestation Details page displays.
3. Click **Reassign**. The Reassign Action window displays.



Choose Action :* Reassign

Figure 52. Reassign Action Window

4. Enter the following information in the Reassign Action window. The following table lists the fields that display in the Reassign Action details. Fields marked with an asterisk (*) are mandatory.

Table 25. Reassign Action Fields

Field	Description
Choose Action	The **Reassign** action is pre-selected from the drop-down list.
Reassign	Select the user to whom the attestation is to be re-assigned from the drop-down list.
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comments	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the attestation.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Attestation Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Attestation has been successfully reassigned.*

Reviewing an Attestation

After an employee submits an attestation, it must be reviewed by a Control Room Analyst or Supervisor. Submitted attestations can be assigned either the *Reviewed* or *Reviewed with Follow-up* status. Selecting *Reviewed with Follow-up* requires that the employee take additional action on this attestation.

To reassign an attestation, follow these steps:

1. Navigate to the Attestation Search and List page.
2. Click the Attestation ID for the attestation you wish to review. The Attestation Details page displays.
3. Click **Actions**. The Review Attestation Action window displays.

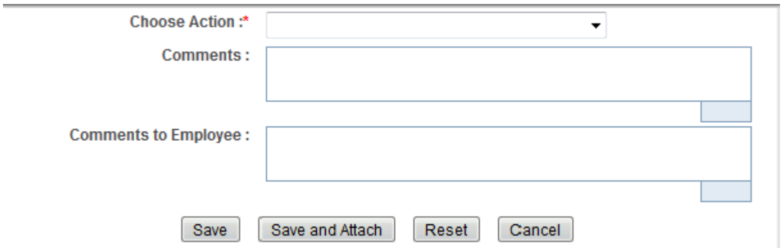


Figure 53. Review Attestation Action Window

4. Enter the following information in the Review Attestation Action window. The following table lists the fields that display in the Review Attestation Action details. Fields marked with an asterisk (*) are mandatory.

Table 26. Review Attestation Action Fields

Field	Description
Choose Action	Select either of the following from the drop-down list. ● **Reviewed:** Select this option if the attestation is correct as it is. ● **Reviewed with Follow-up**: Select this option if the employee must provide additional information.
Comment	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the attestation.
Comment to Employee	Enter comments directed to the submitter of the attestation.

5. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Attestation Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Attestation has been successfully reviewed.*

Adding Comments to an Attestation

You can add comments anytime to an attestation without changing the existing status. For example, you would add a comment if the Control Room has requested additional documentation.

To add a comment to an attestation, follow these steps:

1. Navigate to the Attestation Search and List page.

2. Select the check box next to the Attestation ID and click **Add Comment**. The Add Comment window displays.
   Or:
   Click the Attestation ID to open the Attestation Details page. Click **Add Comment**. The Add Comment window displays.

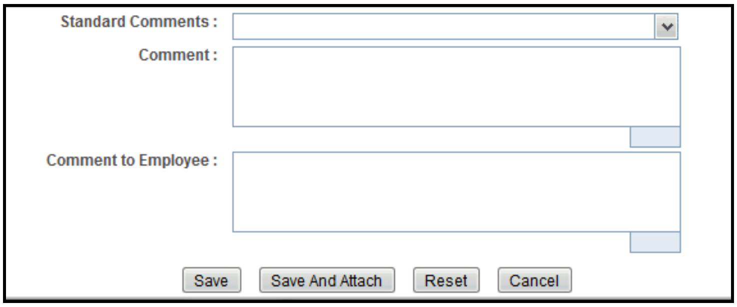


Figure 54. Add Comment Window

3. Enter the following information in the Add Comment window..

Table 27. Add Comment Page Fields

Field	Description
Standard Comments	Select the Standard Comment, if available, from the drop-down list.
Comment	Enter any additional comments. Comments entered here are not viewable by the employee who submitted the attestation.
Comment to Employee	Enter comments directed to the submitter of the attestation.

4. Click **Save** or **Save and Attach**.

   If Save and Attach is clicked, the Attestation Action Attachment pop-up window displays. Click **Browse** and select the file you would like to attach from the system. Click **Attach File**. The following message displays: *Comment has been successfully added.*

CHAPTER 6

Personal Trading Approval Reports

This chapter describes the OBIEE reports available from the Personal Trading Approval application and covers the following topics:

- About Personal Trading Approval Reports
- Accessing Personal Trading Approval Reports
- Viewing Personal Trading Approval Reports
- Personal Trading Approval Reports
- Managing Personal Trading Approval Reports

About Personal Trading Approval Reports

The Oracle Financial Services Personal Trading Approval (PTA) application is integrated with Oracle Business Intelligence Enterprise Edition (OBIEE) which enables Control Room Analysts and Supervisors to access dashboard reports for powerful and flexible analytic reporting. This allows your firm to analyze their outside account and personal trading exposure. The OBIEE reports provide comprehensive information pertaining to personal accounts, pre-trade requests, executed personal trades, personal account holdings and annual attestations.

Control Room Analysts and Supervisors can access the following PTA reports:

- Employee Brokerage Accounts
- Employee Pre-Trade Requests
- Employee Trades
- Employee Account Holdings
- Employee Attestation Completions

Note: In order to utilize OBIEE reporting integration with PTA, your firm must have implemented Oracle Financial Services Trading Compliance and Broker Compliance Analytics. Additionally, your firm must load the symbol, CUSIP and ISIN data into the Security Master.

Accessing Personal Trading Approval Reports

OBIEE reports are accessed from within the PTA application through the Reports menu.

To access PTA reports, follow these steps:

1. Login to the OFSPTA application as a Control Room Analyst or Supervisor following the steps provided in Chapter 2, *Getting Started,* on page 3. The OFSAAI Home page is displayed.
2. Click **Personal Trading Approval**. The Home Page is displayed.

3. Click **Reports**. The Reports Home page is displayed.

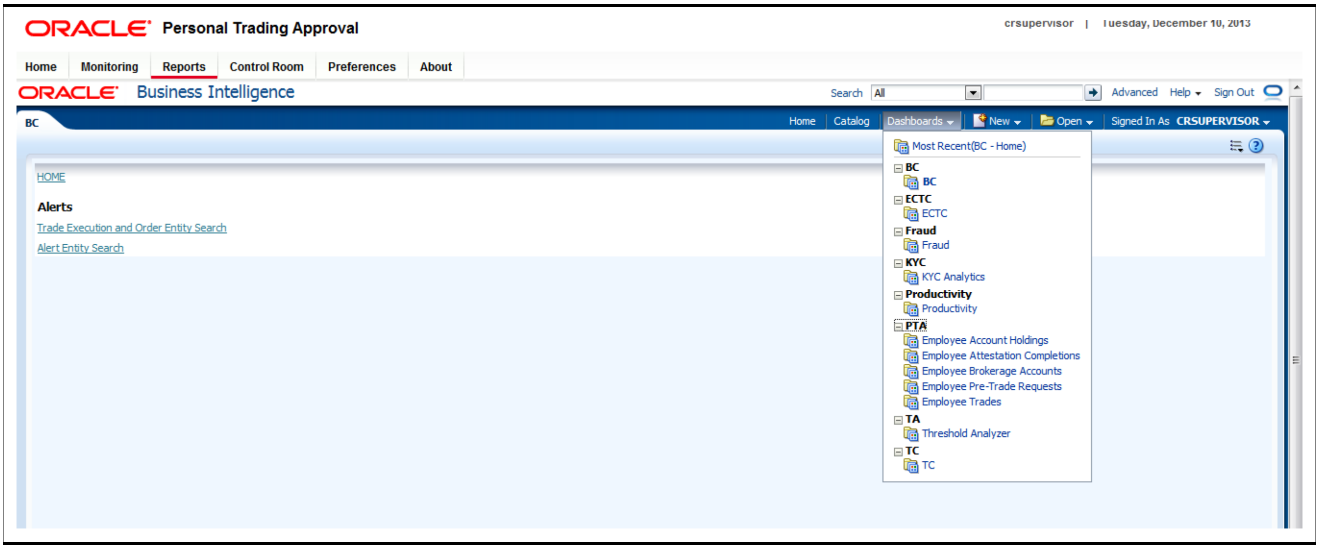

ORACLE Personal Trading Approval
crsupervisor | Tuesday, December 10, 2013
Home
Monitoring
Reports
Control Room
Preferences
About
ORACLE Business Intelligence
Search All
Advanced Help Sign Out
BC
Home Catalog Dashboards New Open Signed In As CRSUPERVISOR
HOME
Alerts
Trade Execution and Order Entity Search
Alert Entity Search
Most Recent(BC - Home)
BC
BC
ECTC
ECTC
Fraud
Fraud
KYC
KYC Analytics
Productivity
Productivity
PTA
Employee Account Holdings
Employee Attestation Completions
Employee Brokerage Accounts
Employee Pre-Trade Requests
Employee Trades
TA
Threshold Analyzer
TC
TC

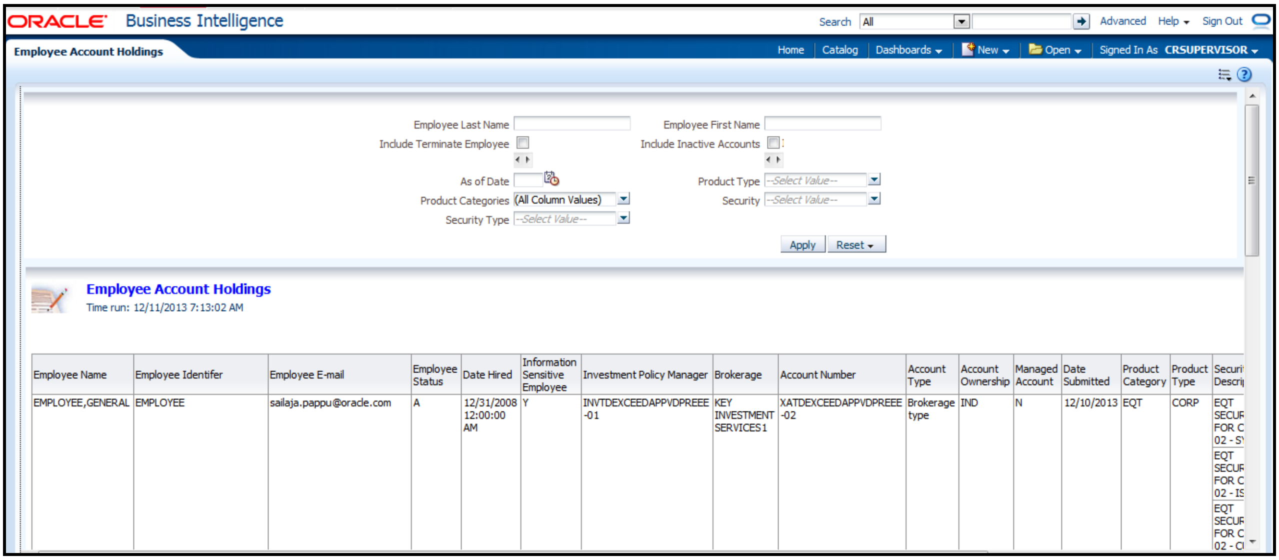
Figure 55. Reports Home page

Viewing Personal Trading Approval Reports

The Dashboard menu on the Reports Home page allows you to view and filter PTA reports.

To view PTA reports, follow these steps.

1. Navigate to the Reports Home page.
2. Select the report you wish to view under the PTA option in the **Dashboard** menu. The respective report displays.


ORACLE Business Intelligence
Search All
Advanced Help Sign Out
Employee Account Holdings
Home Catalog Dashboards New Open Signed In As CRSUPERVISOR
Apply
Reset

Employee Last Name
Employee First Name
Include Terminate Employee ☐
Include Inactive Accounts ☐
As of Date
Product Type --Select Value--
Product Categories (All Column Values)
Security --Select Value--
Security Type --Select Value--

Employee Account Holdings
Time run: 12/11/2013 7:13:02 AM

Employee Name	Employee Identifer	Employee E-mail	Employee Status	Date Hired	Information Sensitive Employee	Investment Policy Manager	Brokerage	Account Number	Account Type	Account Ownership	Managed Account	Date Submitted	Product Category	Product Type	Securi Descri
EMPLOYEE,GENERAL	EMPLOYEE	sailaja.pappu@oracle.com	A	12/31/2008 12:00:00 AM	Y	INVTDEXCEEDAPPVDPREEE -01	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE -02	Brokerage type	IND	N	12/10/2013	EQT	CORP	EQT SECUR FOR C 02 - S EQT SECUR FOR C 02 - IS EQT SECUR FOR C 02 - C

Figure 56. Employee Account Holdings Report

Filtering Personal Trading Approval Reports

Each PTA report can be filtered by entering the required criteria. The criteria may vary, depending on which report you are generating.

To filter a report, follow these steps:

1. Navigate to the Reports Home page.
2. Click **Dashboard** from the Reports Home page.
3. Select the report you wish to view from the PTA option under the Dashboard menu. The relevant report displays.
4. Enter the criteria you wish to filter the report by. You can enter more than one criteria.
5. Click **Apply**. The filtered report displays.

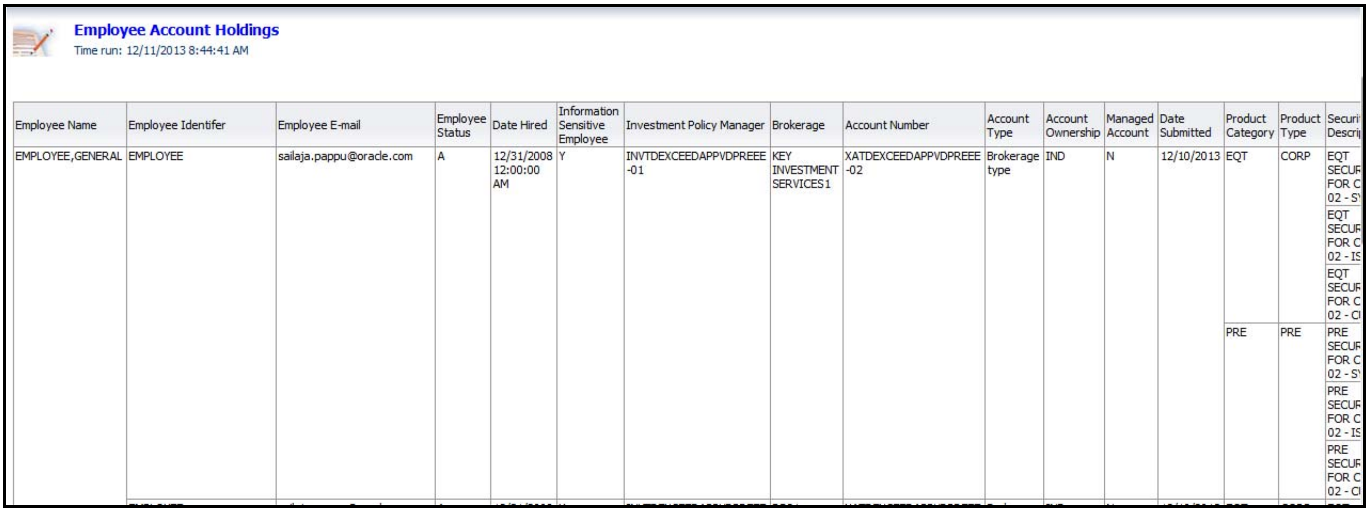
Personal Trading Approval Reports

The following sections describe the PTA reports in greater detail.

- Employee Account Holdings
- Employee Attestation Completions
- Employee Brokerage Accounts
- Employee Pre-Trade Requests
- Employee Trades

Employee Account Holdings

This report displays the holdings in each of the external accounts as received via a feed from the individual brokerages.

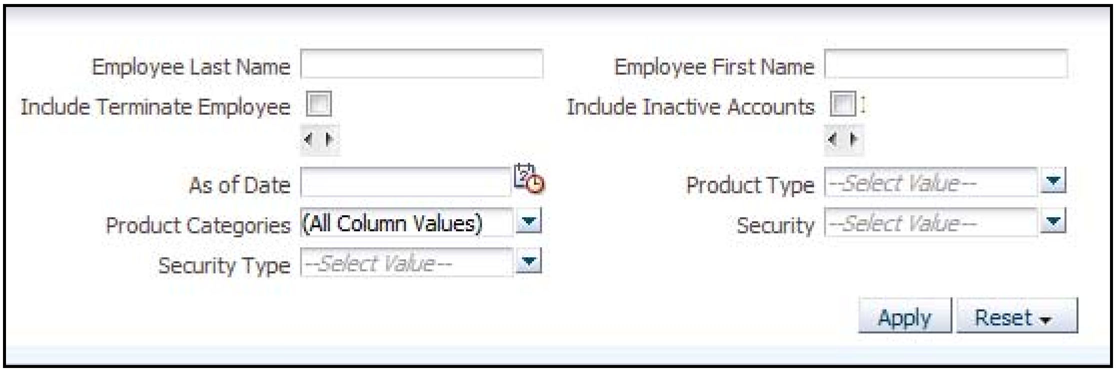


Employee Account Holdings
Time run: 12/11/2013 8:44:41 AM

Employee Name	Employee Identifer	Employee E-mail	Employee Status	Date Hired	Information Sensitive Employee	Investment Policy Manager	Brokerage	Account Number	Account Type	Account Ownership	Managed Account	Date Submitted	Product Category	Product Type	Securi Descri
EMPLOYEE,GENERAL	EMPLOYEE	sailaja.pappu@oracle.com	A	12/31/2008 12:00:00 AM	Y	INVTDEXCEEDAPPVDPREEE -01	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE -02	Brokerage type	IND	N	12/10/2013	EQT	CORP	EQT SECUR FOR C 02 - SY
															EQT SECUR FOR C 02 - IS
															EQT SECUR FOR C 02 - CI
													PRE	PRE	PRE SECUR FOR C 02 - SY
															PRE SECUR FOR C 02 - IS
															PRE SECUR FOR C 02 - CI

Figure 57. Employee Account Holdings Report

The filter section displays above the report.



Employee Last Name
Employee First Name
Include Terminate Employee ☐
Include Inactive Accounts ☐
As of Date
Product Type --Select Value--
Product Categories (All Column Values)
Security --Select Value--
Security Type --Select Value--

Figure 58. Filters for Employee Account Holdings Report

The following table describes the filter criteria for the Employee Account Holdings report.

Table 28. Employee Account Holdings Report Filter Criteria

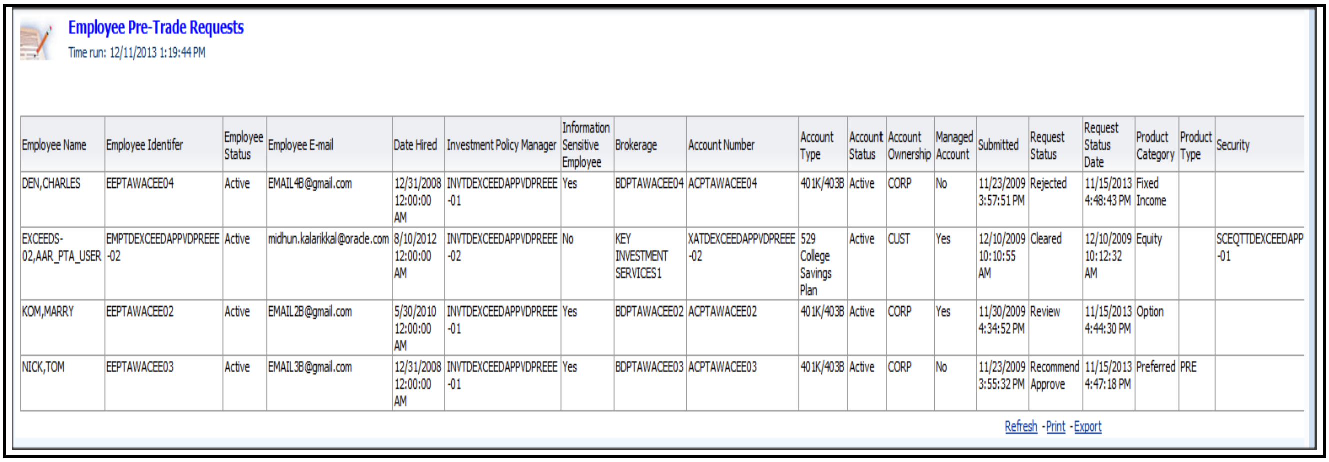
Filter Criteria	Description
Employee Last Name	Enter the last name of the employee whose account holdings you wish to view.
Employee First Name	Enter the first name of the employee whose account holdings you wish to view.
Include Terminated Employees	Select this check box to include any terminated employees who match the remaining filter criteria in this report. By default, PTA will only include active employees in this report.
Include Inactive Accounts	Select this check box to include inactive accounts which match the remaining filter criteria in this report. By default, PTA will only include active accounts in this report.
As of Date	Select the date on which the accounts in the report were active from the **Calendar icon.**

Table 28. Employee Account Holdings Report Filter Criteria

Filter Criteria	Description
Product Categories	Select one or more product categories from the drop-down list.
Product Types	Select one or more product types from the drop-down list.
Security	Select one or more securities from the drop-down list. If the security you wish to select does not display, you can enter the security ID. If manually entering multiple securities, separate each security with a semicolon (;) .
Security Type	Select one or more security types from the drop-down list. You can choose from the following options: ● Symbol ● CUSIP ● ISIN

Employee Attestation Completions

This report displays which employees have and have not attested to their information. This allows compliance departments to follow up and ensure that all employees have completed their onboarding responsibilities.



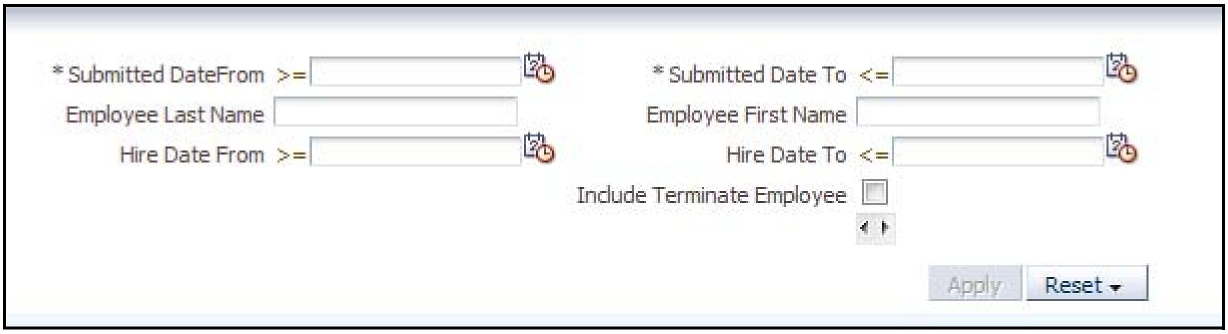
Employee Pre-Trade Requests

Time run: 12/11/2013 1:19:44 PM

Employee Name	Employee Identifer	Employee Status	Employee E-mail	Date Hired	Investment Policy Manager	Information Sensitive Employee	Brokerage	Account Number	Account Type	Account Status	Account Ownership	Managed Account	Submitted	Request Status	Request Status Date	Product Category	Product Type	Security
DEN,CHARLES	EEPTAWACEE04	Active	EMAIL4B@gmail.com	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE04	ACPTAWACEE04	401K/403B	Active	CORP	No	11/23/2009 3:57:51 PM	Rejected	11/15/2013 4:48:43 PM	Fixed Income		
EXCEEDS-02,AAR_PTA_USER	EMPTDEXCEEDAPPVDPREEE -02	Active	midhun.kalarikkal@oracle.com	8/10/2012 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -02	No	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE -02	529 College Savings Plan	Active	CUST	Yes	12/10/2009 10:10:55 AM	Cleared	12/10/2009 10:12:32 AM	Equity		SCEQTTDEXCEEDAPP -01
KOM,MARRY	EEPTAWACEE02	Active	EMAIL2B@gmail.com	5/30/2010 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE02	ACPTAWACEE02	401K/403B	Active	CORP	Yes	11/30/2009 4:34:52 PM	Review	11/15/2013 4:44:30 PM	Option		
NICK,TOM	EEPTAWACEE03	Active	EMAIL3B@gmail.com	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE03	ACPTAWACEE03	401K/403B	Active	CORP	No	11/23/2009 3:55:32 PM	Recommend Approve	11/15/2013 4:47:18 PM	Preferred	PRE	

Figure 59. Employee Attestation Completions Report

The filter section displays above the report.



* Submitted DateFrom >=		* Submitted Date To <=	
Employee Last Name		Employee First Name	
Hire Date From >=		Hire Date To <=	
		Include Terminate Employee	☐

Figure 60. Filters for Employee Attestation Completions Report

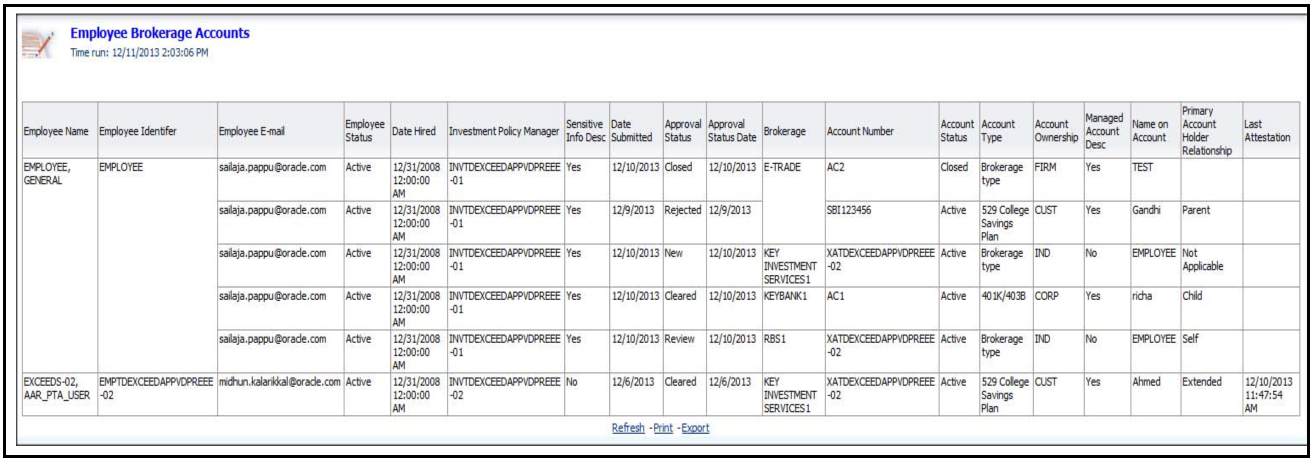
The following table describes the filter criteria for the Employee Attestation Completions report.

Table 29. Employee Attestation Completions Report Filter Criteria

Filter Criteria	Description
Submitted Date To	Select the beginning range date of submission of the attestation from the **Calendar icon.** This field is mandatory.
Submitted Date From	Select the end range date of submission of the attestation from the **Calendar icon.** This field is mandatory.
Employee Last Name	Enter the last name of the employee whose attestations you wish to view.
Employee First Name	Enter the first name of the employee whose attestations you wish to view.
Hire Date To	Select the beginning range date on which the employee was hired from the **Calendar icon.**
Hire Date From	Select the end range date on which the employee was hired from the **Calendar icon.**
Include Terminated Employees	Select this check box to include any terminated employees who match the remaining filter criteria in this report. By default, PTA will only include active employees in this report.

Employee Brokerage Accounts

This report displays all employees and their associated accounts. This allows compliance departments to view accounts held by specific individuals as well as account distribution across brokerages. This report will return employee records even if an employee does not have an associated external account.

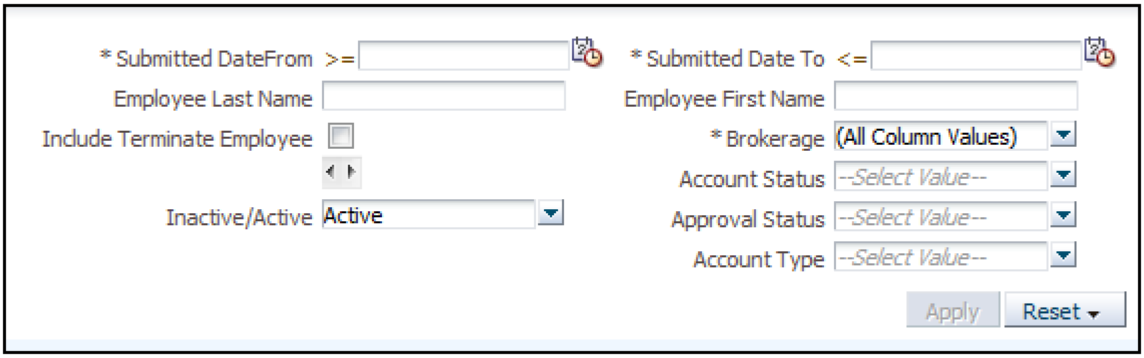


Employee Brokerage Accounts
Time run: 12/11/2013 2:03:06 PM

Employee Name	Employee Identifer	Employee E-mail	Employee Status	Date Hired	Investment Policy Manager	Sensitive Info Desc	Date Submitted	Approval Status	Approval Status Date	Brokerage	Account Number	Account Status	Account Type	Account Ownership	Managed Account Desc	Name on Account	Primary Account Holder Relationship	Last Attestation
EMPLOYEE, GENERAL	EMPLOYEE	sailaja.pappu@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Yes	12/10/2013	Closed	12/10/2013	E-TRADE	AC2	Closed	Brokerage type	FIRM	Yes	TEST		
		sailaja.pappu@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Yes	12/9/2013	Rejected	12/9/2013		SBI123456	Active	529 College Savings Plan	CUST	Yes	Gandhi	Parent	
		sailaja.pappu@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Yes	12/10/2013	New	12/10/2013	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE-02	Active	Brokerage type	IND	No	EMPLOYEE	Not Applicable	
		sailaja.pappu@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Yes	12/10/2013	Cleared	12/10/2013	KEYBANK1	AC1	Active	401K/403B	CORP	Yes	richa	Child	
		sailaja.pappu@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Yes	12/10/2013	Review	12/10/2013	RBS1	XATDEXCEEDAPPVDPREEE-02	Active	Brokerage type	IND	No	EMPLOYEE	Self	
EXCEEDS-02, AAR_PTA_USER	EMPTDEXCEEDAPPVDPREEE-02	midhun.kalarikkal@oracle.com	Active	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-02	No	12/6/2013	Cleared	12/6/2013	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE-02	Active	529 College Savings Plan	CUST	Yes	Ahmed	Extended	12/10/2013 11:47:54 AM

Figure 61. Employee Brokerage Accounts Report

The filter section displays above the report.



Include Terminate Employee ☐

Inactive/Active Active

* Brokerage (All Column Values)

Figure 62. Filters for Employee Brokerage Accounts Report

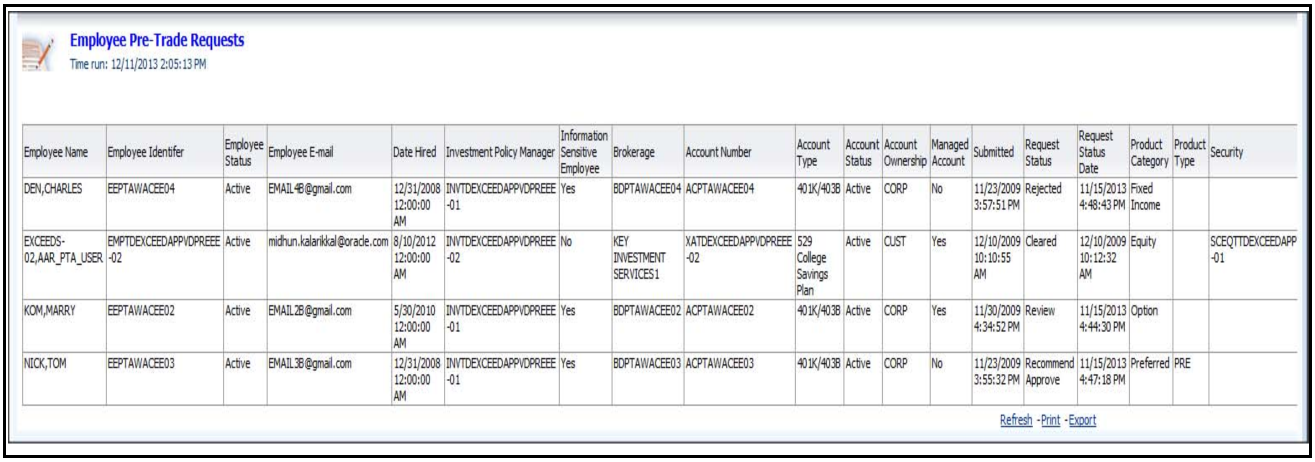
The following table describes the filter criteria for the Employee Brokerage Accounts report.

Table 30. Employee Brokerage Accounts Report Filter Criteria

Filter Criteria	Description
Submitted Date To	Select the beginning range date of submission of the account approval request from the **Calendar icon.** This field is mandatory.
Submitted Date From	Select the end range date of submission of the account approval request from the **Calendar icon.** This field is mandatory.
Employee Last Name	Enter the last name of the employee whose external accounts you wish to view.
Employee First Name	Enter the first name of the employee whose external accounts you wish to view.
Include Terminated Employees	Select this check box to include any terminated employees who match the remaining filter criteria in this report. By default, PTA will only include active employees in this report.
Brokerage	Select one or more brokerages associated with the external accounts. Selecting **Other** includes all accounts associated with a brokerage that does not have a broker ID. This field is mandatory.
Account Status	Select one or more account statuses you wish to include in this report.
Inactive/Active	Select whether you wish to include active or inactive, or active and inactive accounts in this report. By default, PTA will only include active accounts.
Approval Status	Select one or more approval statuses you wish to include in this report.
Account Type	Select one or more account type for the external accounts you wish to include in this report.

Employee Pre-Trade Requests

This report displays all pre-trade approval requests submitted by employees, and will display all pre-trade approval requests, even those not associated with an employee or account. This report allows compliance departments to understand the current status of a request and ensure requests are being reviewed in a timely manner.



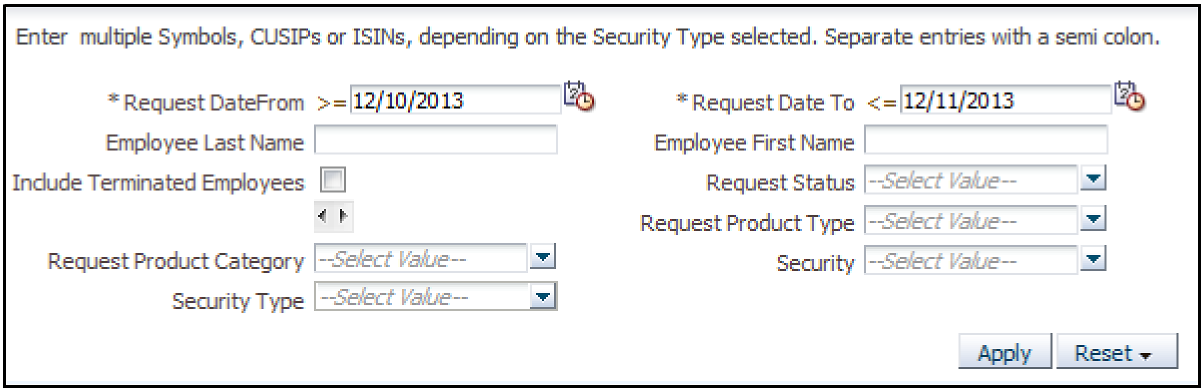
Employee Pre-Trade Requests

Time run: 12/11/2013 2:05:13 PM

Employee Name	Employee Identifer	Employee Status	Employee E-mail	Date Hired	Investment Policy Manager	Information Sensitive Employee	Brokerage	Account Number	Account Type	Account Status	Account Ownership	Managed Account	Submitted	Request Status	Request Status Date	Product Category	Product Type	Security
DEN,CHARLES	EEPTAWACEE04	Active	EMAIL4B@gmail.com	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE04	ACPTAWACEE04	401K/403B	Active	CORP	No	11/23/2009 3:57:51 PM	Rejected	11/15/2013 4:48:43 PM	Fixed Income		
EXCEEDS-02,AAR_PTA_USER	EMPTDEXCEEDAPPVDPREEE -02	Active	midhun.kalarikkal@oracle.com	8/10/2012 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -02	No	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE -02	529 College Savings Plan	Active	CUST	Yes	12/10/2009 10:10:55 AM	Cleared	12/10/2009 10:12:32 AM	Equity		SCEQTTDEXCEEDAPP -01
KOM,MARRY	EEPTAWACEE02	Active	EMAIL2B@gmail.com	5/30/2010 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE02	ACPTAWACEE02	401K/403B	Active	CORP	Yes	11/30/2009 4:34:52 PM	Review	11/15/2013 4:44:30 PM	Option		
NICK,TOM	EEPTAWACEE03	Active	EMAIL3B@gmail.com	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE -01	Yes	BDPTAWACEE03	ACPTAWACEE03	401K/403B	Active	CORP	No	11/23/2009 3:55:32 PM	Recommend Approve	11/15/2013 4:47:18 PM	Preferred	PRE	

Figure 63. Employee Pre-Trade Requests Report

The filter section displays above the report.



Enter multiple Symbols, CUSIPs or ISINs, depending on the Security Type selected. Separate entries with a semi colon.

* Request DateFrom >= 12/10/2013

* Request Date To <= 12/11/2013

Employee Last Name

Employee First Name

Include Terminated Employees ☐

Request Status --Select Value--

Request Product Type --Select Value--

Request Product Category --Select Value--

Security --Select Value--

Security Type --Select Value--

Figure 64. Employee Pre-Trade Requests Report

The following table describes the filter criteria for the Employee Pre-Trade Requests report.

Table 31. Employee Pre-Trade Requests Report Filter Criteria

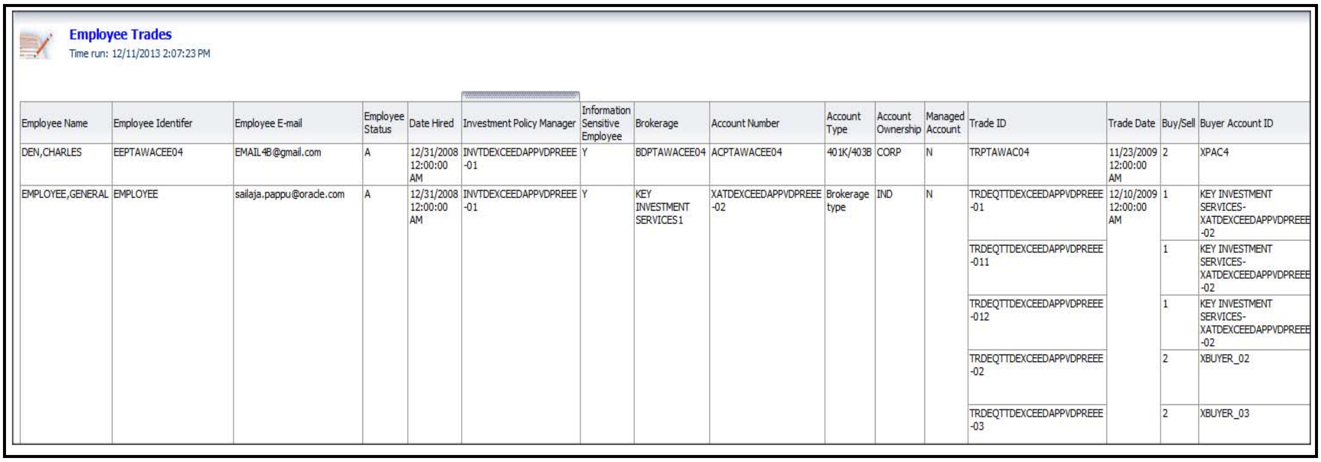
Filter Criteria	Description
Request Date To	Select the beginning range date the pre-trade approval was requested from the **Calendar icon.** This field is mandatory.
Request Date From	Select the end range date the pre-trade approval was requested from the **Calendar icon.** This field is mandatory.
Employee Last Name	Enter the last name of the employee whose requests you wish to view.
Employee First Name	Enter the first name of the employee whose requests you wish to view.
Include Terminated Employees	Select this check box to include any terminated employees who match the remaining filter criteria in this report. By default, PTA will only include active employees in this report.
Request Status	Select one or more request statuses you wish to include in this report.

Table 31. Employee Pre-Trade Requests Report Filter Criteria

Filter Criteria	Description
Request Product Type	Select one or more product type for the requests you wish to include in this report.
Request Product Category	Select one or more product categories for the requests you wish to include in this report.
Security	Select one or more securities from the drop-down list. If the security you wish to select does not display, you can enter the security ID. If manually entering multiple securities, separate each security with a semicolon (;) .
Security Type	Select one or more security types from the drop-down list. You can choose from the following options: ● Symbol ● CUSIP ● ISIN

Employee Trades

This report displays trades loaded from feeds received by the client from the individual brokerages. These are the actual executions of the pre-trade requests. It shows all trades received even if there is no associated account or employee, which allows compliance departments to see if employees are trading in unapproved accounts.



Employee Trades
Time run: 12/11/2013 2:07:23 PM

Employee Name	Employee Identifer	Employee E-mail	Employee Status	Date Hired	Investment Policy Manager	Information Sensitive Employee	Brokerage	Account Number	Account Type	Account Ownership	Managed Account	Trade ID	Trade Date	Buy/Sell	Buyer Account ID
DEN,CHARLES	EEPTAWACEE04	EMAIL4B@gmail.com	A	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Y	BDPTAWACEE04	ACPTAWACEE04	401K/403B	CORP	N	TRPTAWAC04	11/23/2009 12:00:00 AM	2	XPAC4
EMPLOYEE,GENERAL	EMPLOYEE	sailaja.pappu@oracle.com	A	12/31/2008 12:00:00 AM	INVTDEXCEEDAPPVDPREEE-01	Y	KEY INVESTMENT SERVICES1	XATDEXCEEDAPPVDPREEE-02	Brokerage type	IND	N	TRDEQTTDEXCEEDAPPVDPREEE-01	12/10/2009 12:00:00 AM	1	KEY INVESTMENT SERVICES-XATDEXCEEDAPPVDPREEE-02
												TRDEQTTDEXCEEDAPPVDPREEE-011		1	KEY INVESTMENT SERVICES-XATDEXCEEDAPPVDPREEE-02
												TRDEQTTDEXCEEDAPPVDPREEE-012		1	KEY INVESTMENT SERVICES-XATDEXCEEDAPPVDPREEE-02
												TRDEQTTDEXCEEDAPPVDPREEE-02		2	XBUYER_02
												TRDEQTTDEXCEEDAPPVDPREEE-03		2	XBUYER_03

Figure 65. Employee Trades Report

The filter section displays above the report.

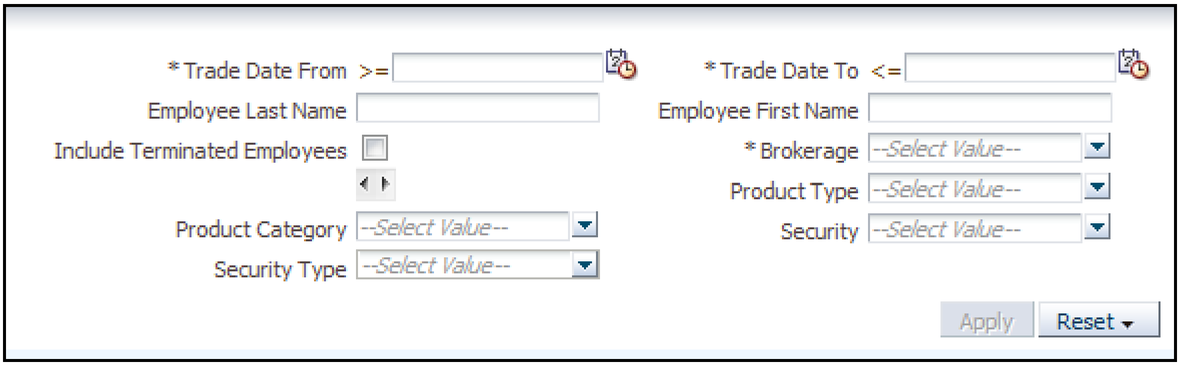

* Trade Date From >=
* Trade Date To <=
Employee Last Name
Employee First Name
Include Terminated Employees
* Brokerage
--Select Value--
Product Type
--Select Value--
Product Category
--Select Value--
Security
--Select Value--
Security Type
--Select Value--
Apply
Reset

Figure 66. Employee Trades Report

The following table describes the filter criteria for the Employee Trades report.

Table 32. Employee Trades Report Filter Criteria

Filter Criteria	Description
Transaction Date To	Select the beginning range date the transaction occurred from the **Calendar icon.** This field is mandatory.
Transaction Date From	Select the end range date the transaction occurred from the **Calendar icon.** This field is mandatory.
Employee Last Name	Enter the last name of the employee whose transactions you wish to view.
Employee First Name	Enter the first name of the employee whose transactions you wish to view.
Include Terminated Employees	Select this check box to include any terminated employees who match the remaining filter criteria in this report. By default, PTA will only include active employees in this report.
Brokerage	Select one or more brokerages which performed the transactions. Selecting **Other** includes all transactions associated with a brokerage that does not have a broker ID. This field is mandatory.
Product Type	Select one or more product type for the transactions you wish to view.
Product Category	Select one or more product categories for the transactions you wish to view.
Security	Select one or more securities from the drop-down list. If the security you wish to select does not display, you can enter the security ID. If manually entering multiple securities, separate each security with a semicolon (;) .
Security Type	Select one or more security types from the drop-down list. You can choose from the following options: ● Symbol ● CUSIP ● ISIN

Managing Personal Trading Approval Reports

The following options are present under all reports:

- **Refresh**: Select this option to refresh the report.
- **Print**: Select this option to print the report in PDF or HTML format.
- **Export**: Select this option to export the details of a report to the following file formats:
    - PDF
    - MS Excel
    - MS Power Point 2003, 2007+
    - Web Archive (.mht)
    - Data (CSV Format, XML Format, Tab delimited Format)