



CAPIX

'Getting Started' User Guide

Version 3.4 July 2006

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Introduction

Welcome to the CAPIX "Getting Started" User Guide. This guide should introduce new users to CAPIX software quickly and conveniently.

Please read this User Guide first before using the CAPIX software, it contains answers to many commonly asked questions and hints on how to make best use of the software package.

CAPIX software packages include a comprehensive User Manual in both printed and online electronic format. The *CAPIX User Manuals* are designed as a reference to document specific functions, rather than

I C O N K E Y	
	Valuable information
	Test your knowledge
	Keyboard exercise
	Workbook review

showing users how to use the software.

The purpose of this, the *CAPIX "Getting Started" User Guide*, is to be a more general introduction to the CAPIX software packages.

Format of This Guide

The *CAPIX "Getting Started" User Guide* is presented in a style that can either be read by new users prior to starting with the software or used as the basis as class material in a more formal training environment.

This guide is made available as an *Adobe Postscript Document Format (.PDF)* file so that it may easily be printed and shared. Periodic updates to this guide are available on the CAPIX web site www.capix.com.au.

CAPIX Overview

Before discussing specific software, it is helpful to present an overview of the CAPIX software packages and CAPIX as a company.

Since 1991 CAPIX has specialized in Financial Markets software. Over that time the portfolio of software packages published by CAPIX has grown to eight separate titles.

CAPIX has two broad ranges of expertise:

- Firstly, CAPIX has a commitment to the Capital or Financial Markets industry. This includes the Banking, Broking, Funds Management and Treasury sectors.
- Secondly, CAPIX provides software consulting, development and support services. In particular, CAPIX is committed to using Microsoft technology for developing and delivering software solutions.

CAPIX is a Melbourne-based company that sells packaged software solutions globally. CAPIX has low staff turnover and a core of key personnel who have been with the company for around a decade.

CAPIX has clients in eight countries of the Asia-Pacific region.





Familiar Microsoft Technology

All CAPIX software is developed using common Microsoft programming tools and designed using Microsoft User Interface guide lines.

This means that any user familiar with common Microsoft technology, for instance Excel or Word, should be comfortable with CAPIX software.

Common mouse and keyboard operations are the same for Microsoft Office and the CAPIX software packages.

CAPIX software is specifically designed to be Microsoft Office compatible. Data is typically stored in an MS Access or MS SQL Server database.



CAPIX Software Packages

CAPIX publishes a range of related software packages for the Financial Markets.

These packages include:

- CAPIX Treasury Manager (CTM)
- CAPIX Investment Manager (CIM)
- CAPIX Treasury Centre (CTC)
- CAPIX Investment Centre (CIC)
- CAPIX Broking System (CBS)
- CAPIX Financial Modeling (CFM)
- CAPIX Analytics Library (CAL)
- CAPIX Internet Exchange (CiX)

This training material is relevant to the first five software packages listed above.

Starting

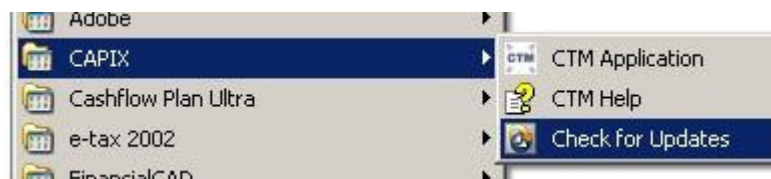
Using CAPIX software should be intuitive to users familiar with other Windows software packages such as MS Office.

Microsoft publish a set of guidelines for designing software to be Windows and Office compatible. CAPIX has developed software along these Microsoft guidelines with the intent of making these packages quick to learn and convenient to use.

Common Microsoft metaphors, such as short-cuts, icons and toolbars, are implemented in a familiar way within the CAPIX software packages.

Short-cuts For Starting Application

Once the CAPIX package has been installed on the PC the Start menu will contain the "CAPIX" folder. Click on the "Application" short-cut to start.



Hint: Regular users of CAPIX software might find it convenient to copy the short-cut above to their desktop for quicker access.

Login Window

The Login Window below will be displayed when the application first starts.

CAPIX Security Login

CTC
CAPIX
Treasury
Centre

Version: 3.0.0

Treasury
CAPIX Treasury Demonstration L

User
Treasury Analyst

Password
**

Please select a User name from the list and enter your password for access to the database.

User: Treasury Analyst last logged on successfully Thursday, 01 May 2003 at 12:21:49 and there have been 0 failed login attempts since.

OK Cancel Help

To login select the *User ID* created by the System Administrator and the *Password* you have previously entered.

Password rules such as minimum password length, reset frequency, use of alpha/numeric characters etc may be set according to corporate security policy.

Be aware the system can be configured so that users can be periodically forced change passwords and that the system may lock users out of system if they have not logged in for some time.

The CAPIX database has a *User Permissions Matrix* to control access to specific functions within the application. If an "Insufficient Permissions ..." or "Access Denied ..." message is received, contact the System Administrator to establish whether permission for access to that function should be given.

Using the Toolbar

Commonly accessed functions are available from the toolbar at the top of the application window. Using the toolbar, rather than the pull down menu, is quicker and requires fewer mouse clicks.



Exit – exits (closes) the application and returns to Windows.

User ... - displays the Login window, to allow a different User to login without exiting the application. This is convenient when another User is required to confirm trades.

The full name of the current User is displayed to the right.

Find – a window used for finding information, such as contact details, in the database.

Blotter – the Blotter window is used to perform quick ad-hoc screen enquiries for dealers, such as current positions, credit limits etc.

Diary – the Dealers Diary displays details of settlements and other events such as interest payments and maturities.

Print – sends contents of the active window, typically a report, to the default printer.

Excel - export contents of the active window, typically a report, to a spreadsheet and load in MS Excel.

MS Word - export contents of the active window, typically a report, to a document file and load in MS Word.

Reports – opens the CAPIX Report Manager window for running reports.

Help – opens the application Help file and displays the contents for searching.

Configuration

Most configuration parameters are set when the system is first implemented and rarely changed after that. An understanding of these configuration settings may help illustrate important CAPIX concepts within the system.

The system is designed to be table-driven for maximum flexibility across a broad range of clients. This also means that the system tables must be configured to reflect the business rules of the treasury.

If the parameters stored as static data in the tables are not established correctly the system may not operate as desired. These parameters can typically only be changed by the *System Administrator*.

It is beyond the scope of this document to discuss system configuration settings in detail. More information about this is available in the *User Reference Manual* (printed and on-line help).

System Options

System Options are used to define the behavior of the system, particularly where different business rules are required for a range of different clients.

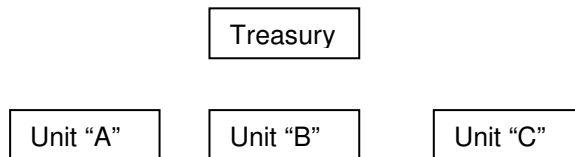
Examples of System Options include confirmation layout, data entry validation rules and integration settings for external systems. Once established during the initial implementation, it would be rare for System Options to change.

Ownership Hierarchy

The CAPIX database is designed with an Ownership Hierarchy where one or more Treasuries can each have one or more Units.

A typical environment would have one Treasury and several Units.

Note: in an Investment Management operation it would be typical to use the term *Fund* instead of *Treasury* and *Portfolio* instead of *Unit*.



All deals and transactions must be assigned to a Unit (Portfolio). Each deal or transaction can only be assigned to a single Unit (Portfolio),

Institutions and Counterparties

All deals and transactions have two sides:

1. **Internal** details are assigned to a Unit (Portfolio) and internal contact (staff member).
2. **External** details are assigned to an Institution (external Counter-party) and external contact (E.g. Bank dealer).

The CAPIX database can use Institutions to represent a broad range of counterparties, including banks, brokers and issuers.

Entering Deals

Transaction entry is a key step to recording information for processing in the CAPIX database. Ten different types of financial instruments can be entered as deals in the CAPIX database.

A broad range of financial instruments are processed in the CAPIX database, from Money Market to Foreign Exchange and Equities. Some characteristics are common for all instruments although each instrument has unique characteristics that require different transaction entry windows.

A feature of the system is that the Deal Capture process can be used to enforce a segregation of duty (the *four-eyes* principal). This means that a deal (contract) must be separately confirmed after data entry before it becomes visible in the system.

Deal Capture

To enter a deal (Contract), first invoke the main window for the desired instrument from the main pull-down menu. For example *Forex -> External Contracts*.

On the main instrument window press the *New* button to display the Contract entry form.

Most Contract Entry forms are divided into three sections or pages (tabs):

1. **Contract Details.** Records deal-specific details, such as transaction data, transaction amount etc.
2. **Settlement Details.** Records settlement details, such as Bank Account and settlement method.

3. **Diary Notes.** Allows free-form notes to be attached to the Contract for additional documentation.

Common Fields

The following sets of fields are common across most instruments

1. Internal Details
 - a. **Docket.** A sequential internal reference number.
 - b. **Unit.** Internal entity for the contract.
 - c. **Internal Contact.** Staff member who executed deal for Unit.
2. External Details
 - a. **External Reference.** Reference or contract ID from counterparty
 - b. **Institution.** External entity for the contract.
 - c. **External Contact.** External person (dealer) who executed deal.
3. **Transaction Type.** Allows different types of transactions with different parameters and calculations within each Instrument. E.g. Interest basis.
4. **Bank Account.** The (internal) Bank Account to be used for settlement.
5. **Cashbook Entry Type.** Settlement method. E.g. Cheque, EFT.

Reporting

User-friendly, flexible and comprehensive reporting is an essential CAPIX feature.

The Report Manager allows all reports to be managed and run in a consistent and integrated manner. It provides the user with an easy to use set of Tabs that not only display all existing report details but provide the tools to create and modify reports and report groups to user required specifications.

Report Manager

More than 150 standard reports are provided with the system. As new reports are developed these are provided free with subsequent releases of the software. The Report Manager enables users to access and print these reports.

The Report Manager allows all reports to be managed and run in a consistent and integrated manner. It provides the user with an easy to use set of Tabs that not only display all existing report details but provide the tools to create and modify reports and report groups to user required specifications.

The Report Manager can be loaded by either:

1. Selecting the *Reports* button on the toolbar at the top of the screen, below the main pull-down menu. or
2. Alternatively, from the pull-down menu make the following menu selections:
 - a. Select *Reports*
 - b. Select *Manager...*

Recent Reports. Displays a listing of the most recently run reports.

Group Reports. Displays all the Reports Groups and the composition of each group.

Report Setup. Displays the default information of each report and allows the user to modify or create specific copies of reports.

Group Setup. Allows the user to modify existing and create new Report Groups.

Batch Reporting. Displays all Report Groups for user defined Batch Reporting.

To run a report:

1. Select the desired report from either the *Recent Reports* page or by navigating the desired Group and Report on the *Group Reports* page.
2. Make any changes (if required) to the parameters of the report on the *Report Setup* page.
3. Press either the Print or Preview buttons to run the selected report.

Custom Reporting

CAPIX offers a service to write new reports or customize existing reports for clients.

Alternatively, clients can write their own custom reports using common report-writing tools such as MS Access, Crystal Reports or Excel.

The User Extensions (UX) module gives clients access to the CAPIX database for the purpose of writing custom reports. Refer to the *CAPIX User Reference Manual* for more details.

Support

CAPIX provides a comprehensive range of software support services for users.

Software support and related services are a key component for ensuring that CAPIX software packages become an effective solution to clients ongoing operational needs. It is worth outlining the software support services available to clients so that users know what to expect from their relationship with CAPIX.

CAPIX clients usually subscribe to annual Software Support Contracts, entitling them to the services detailed below.

Help Desk Software Support



CAPIX operates a dedicated Help Desk to provide product support to our clients. All support issues and queries should be addressed to CAPIX Help Desk staff, who are pleased to assist clients.

CAPIX Help Desk contact details:

- Telephone (International): 613-9525 0899
- Fax (International): 613-9525 1674
- Internet: www.capix.com.au

All support calls are logged in our internal help desk database and a support reference number is generated. Please quote the relevant support reference number when enquiring about the status of a support call.

Software Maintenance

CAPIX is responsible for maintaining and upgrading the various software packages.

In the event that a defect is identified in the software, please notify the CAPIX Help Desk who will ensure that any defects are rectified without charge.

Any other maintenance, such as assistance with periodic upgrades, is also covered in the Software Support Contracts.

Note

CAPIX is not responsible for operational issues, such as media backups or general desktop software support for non-CAPIX software packages.

Software Upgrades

CAPIX releases one major and one minor software upgrade version each calendar year.

Major upgrades are usually released at the start of the year and minor upgrades in the middle of the year.

Clients with Software Support Contracts are entitled to upgrades at any time without charge. Software upgrades include three broad types of changes:

1. Additional functionality, such as new reports
2. Fixes for software defects
3. Technology upgrades, such as new versions of MS Office

Internet Support Database

The CAPIX Support Database is available on the internet from the www.capix.com.au website. Go to the website and select the "Support" button.

Using the internet, clients may log, track and manage software support issues. CAPIX programmers and management use the support database for allocating and tracking client support issues. All clients are strongly recommended to use the support database for CAPIX software issues.

A user account is required to use the web support database. Contact CAPIX if you would like a support account created. There is no charge for access to the support database.

