



TradeServ Self Service Admin User Guide

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TradeServ Self Service Admin User Guide	1
1.0 Introduction	3
2.0 Getting Started	3
2.1 Prerequisite	3
2.2 Login to TradeServ and accessing the Admin application	3
2.3 Standard control within Admin application	3
2.4 Notification Window	5
3.0 User Management	6
3.1 Viewing the users in User Management	6
3.2 New User Creation	7
3.3 Approving Request	11
3.4 Modify the user details and Admin access to the user	12
3.5 Manage application access of existing user	14
3.6 Deactivate User	15
3.7 Reactivate user	16
3.8 Cloning user access to an existing user	17
3.9 Lock/Unlock user access to TradeServ	19
4.0 Managing Admin Access	20
4.1 Changing Admin role to Read Only User	20
4.2 Changing Admin Access	22
4.3 Modifying Admin Access to Asset Class, Entities and User	23
5.0 Functional Group for CONFIRMS and NCM application	25
5.1 Creating new Functional Group for Confirms/NCM	25
5.2 Modifying Functional Group	28
5.3 Assigning user to Functional Group	30
5.4 Deleting Functional Group	31
6.0 View Confirms and NCM application settings	32
7.0 Export of data from Admin application	33
8.0 Upload of the User and Functional Group creation/modification	33
8.1 Uploading of new User and Functional Group Creation	34
8.2 Uploading of User and Functional Group Changes	37
9.0 Audit	40

1.0 Introduction

The Admin app will be used to allow firms to manage their user management and static data for TradeServ's Confirms and NCM applications.

It will replace the Customer Registration System (CRS) which was formerly used to do the same in DSMatch and Novation Consent.

As part of the data migration from DSMatch to TradeServ, Super Access Coordinators (SAC) and Access Coordinators (AC) will be migrated as TradeServ Admin Users who will have access to the Admin app and have the same access to the same users and entities. O-Codes will be migrated as Functional Groups in TradeServ for both Confirms and NCM.

2.0 Getting Started

2.1 Prerequisite

As part of the control mechanism that will be put in place for user management and Functional Group management, TradeServ introduces a Requester and Approver process. As a result, clients will need to have a minimum of 2 Admin users to complete the action within the Admin application

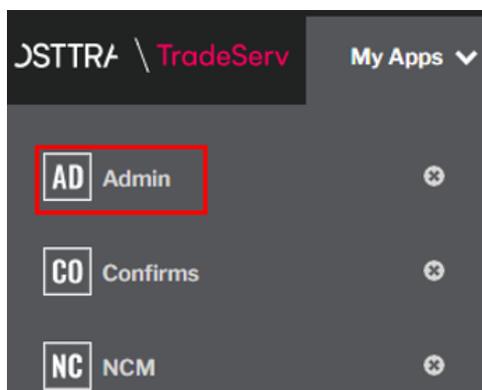
2.2 Login to TradeServ and accessing the Admin application

The URLs for TradeServ are below.

<https://connect.markitserv.com/> - Production.

<https://uat-tradeserv.connect.markitserv.com> - UAT.

Once the Admin user has login access to TradeServ, they can navigate to the Admin application via MY APPS

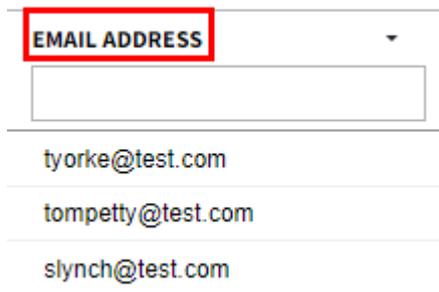


2.3 Standard control within Admin application

TradeServ data is displayed within a grid view which allows Admin users to sort, filter, arrange columns and maneuver to other pages.

1. Sorting

Data can be sorted according to the order (up or down) by clicking on the column header. The directional arrow button would indicate the direction of the sorting.

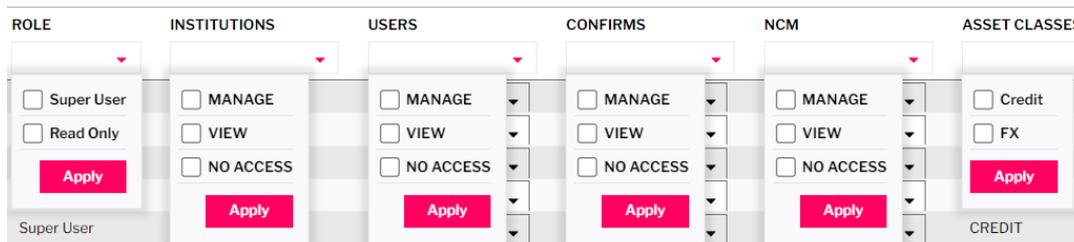


2. Filtering

Data can be searched/filtered by entering the value in the blank box within each column

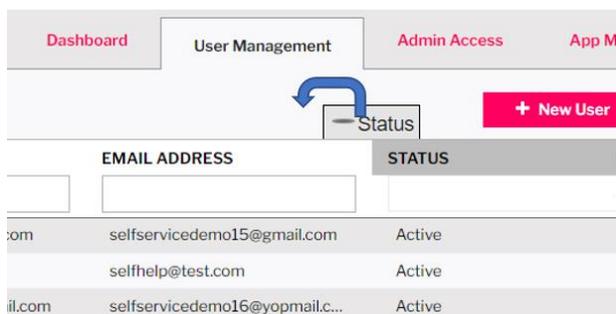


There are also columns that have fixed values where the user can check the box to filter the value.



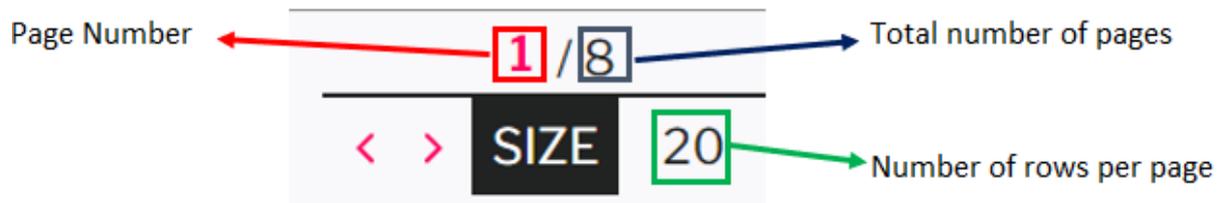
3. Column Arrangement

Columns can be moved to the left/right via drag and drop. Note that column arrangement will not be saved.



4. Pagination

Users can define the number of rows per page and go to the desired page number by changing the value as per below.

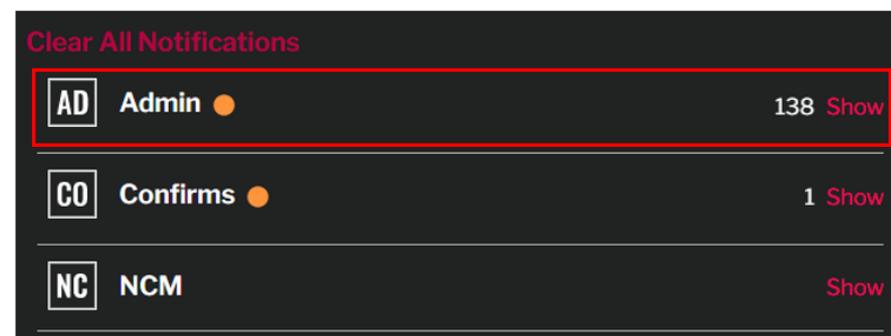


2.4 Notification Window

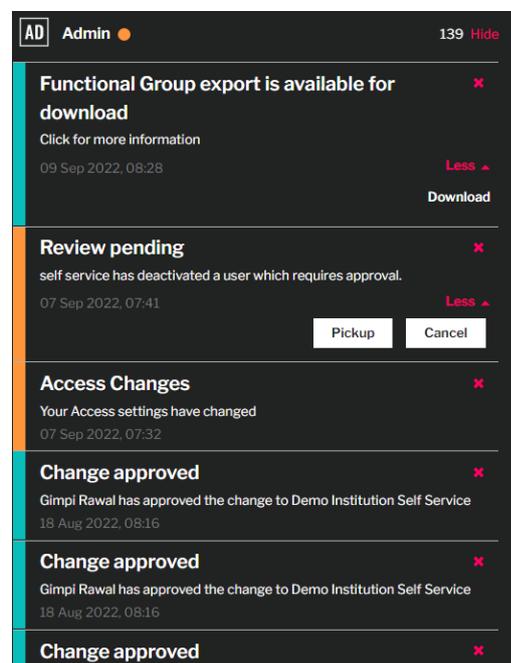
On the bottom right-hand side of the screen, there is a Notification Window.



Users can see all the notifications that have been sent to them from any application they are assigned to, and the notification can be reviewed by clicking the relevant app name, as shown below.



Examples of notifications that would be shown include notification to download a generated export file, requests that require approval, requests that have been approved/rejected.



3.0 User Management

3.1 Viewing the users in User Management

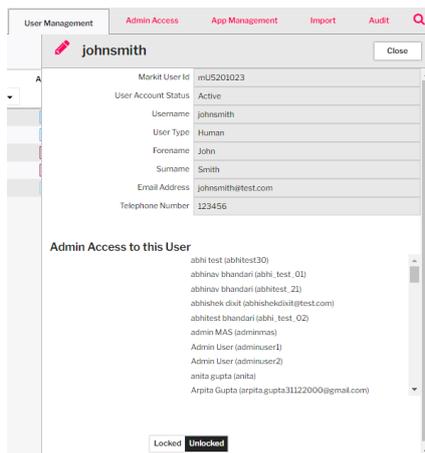
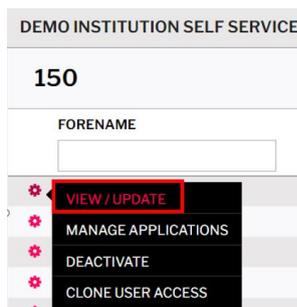
An Admin user that has “View” or “Manage” access can view the users they have access to in the User Management tab as per below. An Admin user that does not have admin access to users will not see this “User Management” tab.

FORENAME	SURNAME	USERNAME	EMAIL ADDRESS	STATUS	ASSIGNED APPS
Gimpi	Rawal	gimpirawal@gmail.com	gimpirawal@gmail.com	Active	NC AD CO
v	user	test	b@test.com	Active	AD
c	test	c@test.com	c@test.com	Active	CO
self	service	selfservicedemo@gmail.com	selfservicedemo15@gmail.com	Active	NC AD CO
Peter	Walker	demo	pwifh@aol.com	Active	NC AD CO
Self	Help	selfhelp	selfhelp@test.com	Active	NC CO

The information below would be available

- Forename
- Surname
- Username
- Email Address (Note: Client will use the email address listed in this field to login)
- Status (Note: The status can be Active or Deactivated)
- Assigned Apps (This field will show the application that the user has access to)

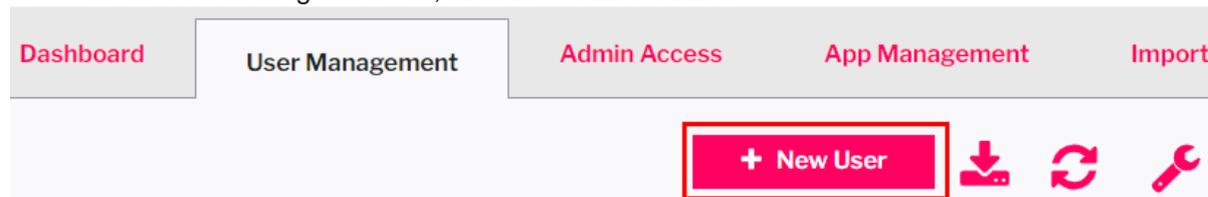
An Admin user can see the full details of the users including the telephone number and “Admin Access to this user” by clicking on the gear icon  and select “VIEW/UPDATE”.



3.2 New User Creation

Admin users can create the new users in the Admin application. Below are the steps:

1. In the User Management tab, click on "+ NEW USER".



2. Enter all the mandatory fields. For the field Email Address, the email domain will appear as a drop down. If the correct email domain is not appearing in the drop down, please reach out to TradeServ support: support@markitserv.com to add the new email domain.

Admin Access to this User	
abhi test (abhtest30)	<input type="checkbox"/>
abhinav bhandari (abhi_test_01)	<input type="checkbox"/>
abhinav bhandari (abhtest_21)	<input type="checkbox"/>
abhishek dixit (abhishekdit@test.com)	<input type="checkbox"/>
abhtest bhandari (abhi_test_02)	<input type="checkbox"/>
admin MAS (adminmas)	<input type="checkbox"/>
Admin User (adminuser1)	<input type="checkbox"/>
Admin User (adminuser2)	<input type="checkbox"/>

3. Once all the mandatory fields are filled in, the user would need to select the "Admin Access to this User". The list would show all the Admin users within the firm. Only the selected Admin users (with a lightning mark ⚡) that have the role "Super User" and have User "Manage" access will be able to approve this user creation and able to see the user in the User Management. (Note: The requestor will be auto selected as default and another Admin user would need to be selected. The system does not allow submission if only one Admin user is selected in this section)

Once the user is approved, all Admin users selected will be able to see them within the Admin App, and conversely the new user will be hidden from users who do not have access.

Admin Access to this User	
abhi test (abhtest30)	<input checked="" type="checkbox"/>
abhinav bhandari (abhi_test_01)	<input checked="" type="checkbox"/>
abhinav bhandari (abhtest_21)	<input checked="" type="checkbox"/>
abhishek dixit (abhishekdit@test.com)	<input checked="" type="checkbox"/>
abhtest bhandari (abhi_test_02)	<input checked="" type="checkbox"/>
admin MAS (adminmas)	<input checked="" type="checkbox"/>
Admin User (adminuser1)	<input checked="" type="checkbox"/>
Admin User (adminuser2)	<input checked="" type="checkbox"/>
anita gupta (anita)	<input checked="" type="checkbox"/>
Arpita Gupta (arpita.gupta31122000@gmail.com)	<input checked="" type="checkbox"/>

- An Admin user has the right to grant access to the available applications to the new user by selecting grant access as "YES". The available applications are Confirms, NCM and Admin, depending on the services your firm uses. Select the application that the new user should have. (Note: The requester must have "Manage" access to the Confirms/NCM to grant access to Functional Groups within the Confirms/NCM application)

Grant Access No Yes

Model User

NC NCM

Role

AD Admin

CO Confirms

Role

An Admin user can model (clone) the user's access based on an existing user. All the Functional Group Apps and permissions will be pre-selected to follow the access of the existing user. (Note: The requester must also have the necessary access to grant the model user's access)

Grant Access No Yes

Model User

NC NCM

Role

ALL **SELECTED** **UNSELECTED**

Functional Groups

Select All

abc-123

NCM All Access

NCM All ACCESS ONE

NCM Functional Group TEST...

AD Admin

Role

Users

Institution

Confirms

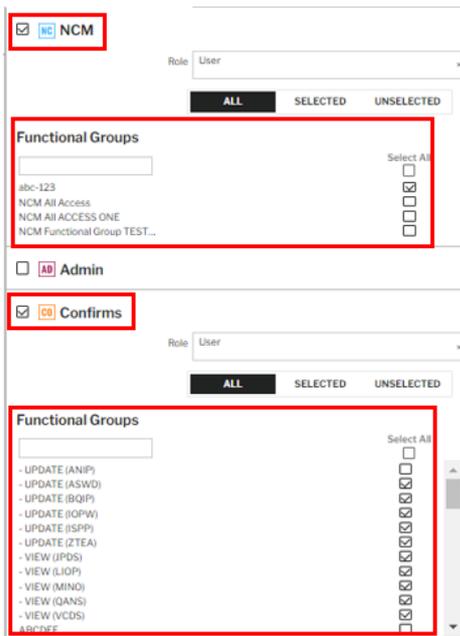
NCM

CO Confirms

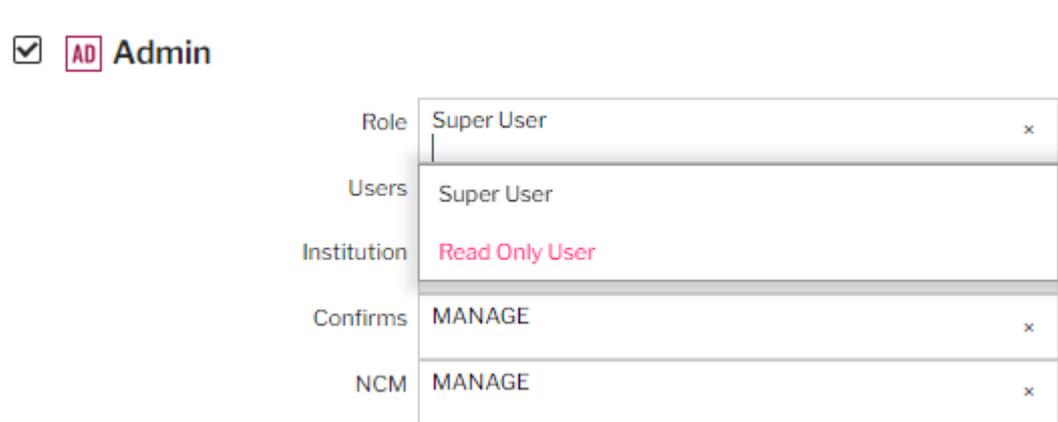
Role

ALL **SELECTED** **UNSELECTED**

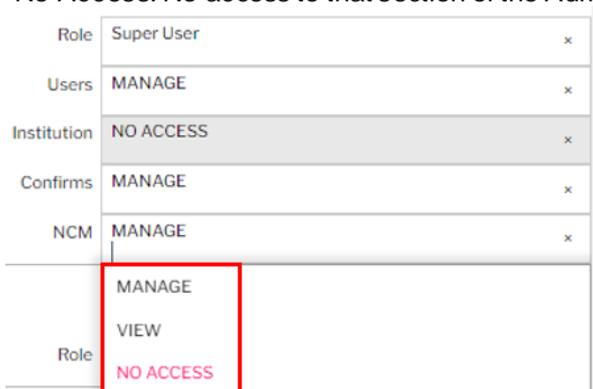
- If the NCM and Confirms applications are selected, the Admin user would need to select the applicable Functional Groups that would determine the access within those apps.



6. If the Admin user wants to create another Admin user, the requestor should select the Admin application.
- The Admin role will have the option of Super User and Read only User
 - Super User will be able to view/create/modify/deactivate/reactivate users and Functional Groups
 - Read Only User will only have read only access to the user and Functional Group



- For Users, Confirms and NCM, it will have the below options.
 - Manage: The ability to view and grant/modify access
 - View: Can only view the user/setup
 - No Access: No access to that section of the Admin application



-The below section would define the new Admin user's access to specific asset classes, entities and users.

- Asset Class (Whether the Admin user can see configuration related to FX or Credit)
- Entities (The entities that the Admin user would be able to see within the Admin App)
- Users (The users that the Admin user would be able to see within the Admin App)

The screenshot shows a configuration interface for a new user. At the top, there are two toggle switches: 'Credit' (set to ON) and 'FX' (set to OFF). Below these are two sections: 'Entities' and 'Users'. Each section has a search bar and a list of items with checkboxes. In the 'Entities' section, there are 10 items, all of which are checked. In the 'Users' section, there are 4 items, all of which are checked. At the bottom right, there is a pink 'Create' button.

7. Once all the fields are completed, the requestor can submit the new user creation by clicking the CREATE button.

8. The new user creation request would need to be approved on the Dashboard tab – Group Request. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

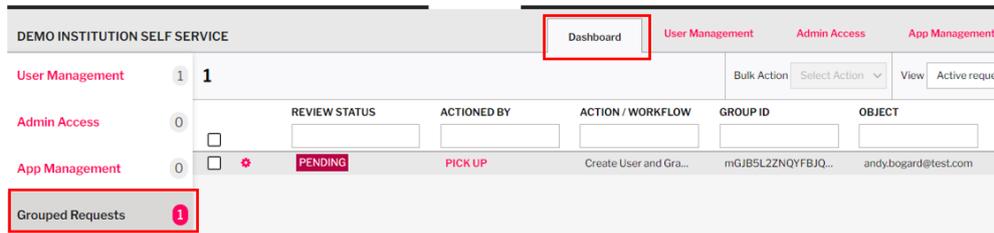
The screenshot shows the 'DEMO INSTITUTION SELF SERVICE' dashboard. The 'Dashboard' tab is selected. On the left sidebar, there are four menu items: 'User Management', 'Admin Access', 'App Management', and 'Grouped Requests'. The 'Grouped Requests' item is highlighted with a red box and has a notification badge with the number '1'. The main content area shows a table with columns: 'REVIEW STATUS', 'ACTIONED BY', 'ACTION / WORKFLOW', 'GROUP ID', and 'OBJ'. The first row in the table has a 'PENDING' status, a 'PICK UP' action, and a 'Create User and Gra...' workflow. The 'GROUP ID' is 'mGJB5L2ZNQYFBJQ...' and the 'OBJ' is 'and'. A red box highlights the 'Dashboard' tab and the 'Grouped Requests' notification.

9. Once the approver has approved the request, an activation email with a link to TradeServ will be sent to the email address of the new user.

3.3 Approving Request

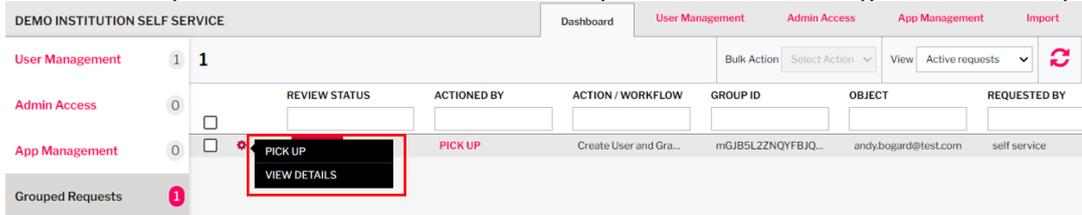
A Request from the submitter will be available for approval on the Dashboard tab.

Note: Requests will appear in Grouped Requests where multiple changes are made and can be approved as one request.



Please follow the below steps to approve the request

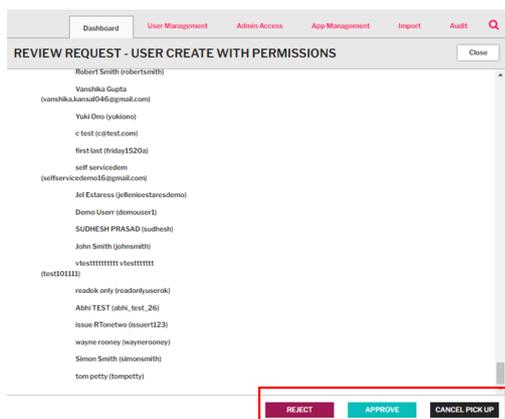
- The approver would click on the gear icon  and select Pick Up to proceed or View Details to review the request. Once the request is picked up, it indicates that another Admin user is working on the same request and other admin user would be prevented from working on the same request.



- Once the approver picks up the request, the approver will have the option to cancel the pickup, approve, reject or view details.



- The approver can select View Details if the approver wants to view the full details before approving the request. If all the details are correct, the approver can proceed to approve. The approver can also choose to reject the request and can add the reason of rejection.



- The requestor will be notified of the Approval or Rejection through the Notification Window.

If only the user details (username and email address) are modified, the approver would need to go to Dashboard tab – User Management – User Management to approve the request.

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access

User Management 1 1 USER MANAGEMENT USER APP ACCESS Bulk Action Select Action

	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
Admin Access 0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
App Management 0	<input type="checkbox"/> ⚙️ Pending Approval	PICK UP	Update User	
Grouped Requests 1				

If both the user details and admin access are modified, the approver would need to go to Dashboard tab – Grouped Request to approve the request.

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access

User Management 1 1 Bulk Action Select Action

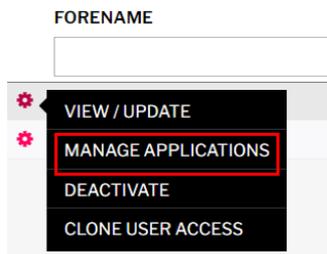
	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
Admin Access 0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
App Management 0	<input type="checkbox"/> ⚙️ PENDING	PICK UP	Changed user with Admin Access	mGEAJNKDOYVEBY...
Grouped Requests 1				

Please refer to the approval steps as mentioned in Section 3.3.

3.5 Manage application access of existing user

An Admin user can add/remove applications for an existing user. Please see the below steps.

1. Go to the User Management tab and select the user you want to manage the application for. Click on the gear icon  and select "MANAGE APPLICATIONS"



2. The requestor has the option to set "ASSIGNED" or "NOT-ASSIGNED" to the application for the user. Select Save once done.

Manage Applications Cancel Save

User: Paul Jones Username: pauljones@test.com

Confirms

		Not-Assigned	Assigned
Role	User		x

NCM

		Not-Assigned	Assigned
Role	User		x

Admin

		Not-Assigned	Assigned
Role	Super User		x

3. The application access request would need to be approved on the Dashboard tab – User Management – USER APP ACCESS. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE Dashboard User Management Admin Access

User Management 1 **1** USER MANAGEMENT **USER APP ACCESS** Bulk Action Select Action

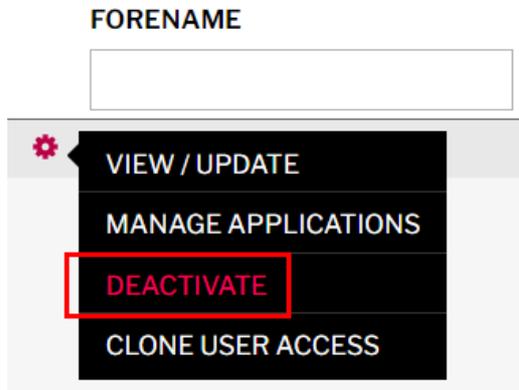
	0	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
Admin Access	<input type="checkbox"/>				
App Management	<input type="checkbox"/>	PENDING	PICK UP	Revoked access to Admin app (was: Granted acc...	
Grouped Requests	1				

4. For the Confirms and NCM application, if the user is newly assigned to the application, they would need to be added in the Functional Group before being able to see transactions in both applications. Please review section 5.3 on how to add a user to a Functional Group.
5. For the Admin application, if the user is newly assigned to the application, they need to be granted access to the User, Confirms or NCM in the Admin Access screen. Please review section 4.2 on how to grant Admin Access.

3.6 Deactivate User

If a user needs to be deactivated, the Admin user can do so from the User Management screen. Once deactivated, they can't access the platform.

1. Go to the User Management tab and select the user you want to deactivate. Click on the gear icon  and select "DEACTIVATE"



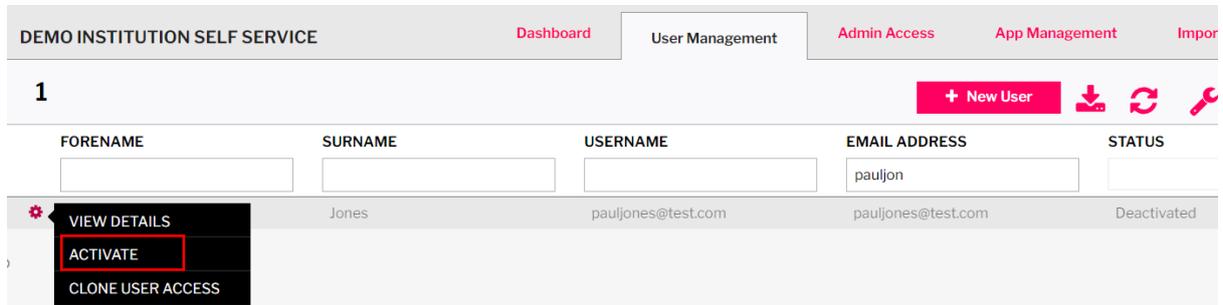
2. The user deactivation request would need to be approved on the Dashboard tab – User Management – User Management. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE		Dashboard	User Management	Admin Access		
User Management	1	USER MANAGEMENT	USER APP ACCESS	Bulk Action: Select Action		
Admin Access	0	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID	INS
App Management	0	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Grouped Requests	0	<input type="checkbox"/>	 Pending Approval	PICK UP	Deactivate User	De

3.7 Reactivate user

An Admin user that has access to the deactivated user will be able to reactivate them in User Management

1. Go to the User Management tab and select the user you want to reactivate. Click on the gear icon  and select "ACTIVATE"



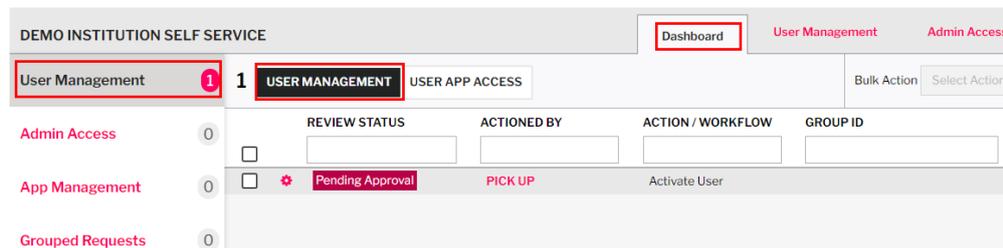
DEMO INSTITUTION SELF SERVICE Dashboard User Management Admin Access App Management Import

1 + New User   

FORENAME	SURNAME	USERNAME	EMAIL ADDRESS	STATUS
	Jones	pauljones@test.com	pauljones@test.com	Deactivated

-  VIEW DETAILS
- ACTIVATE**
- CLONE USER ACCESS

2. The user reactivation request would need to be approved on the Dashboard tab – User Management – User Management. Please refer to the approval steps as mentioned in Section 3.3 Approving Request



DEMO INSTITUTION SELF SERVICE Dashboard User Management Admin Access

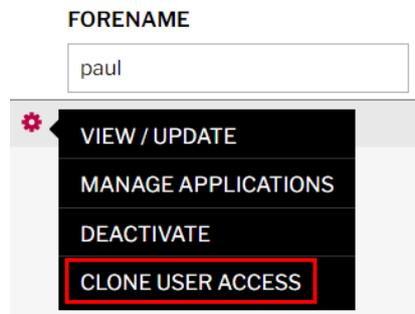
User Management 1 **USER MANAGEMENT** USER APP ACCESS Bulk Action Select Action

Admin Access	0	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
	<input type="checkbox"/>				
App Management	0	<input type="checkbox"/>  Pending Approval	PICK UP	Activate User	
Grouped Requests	0				

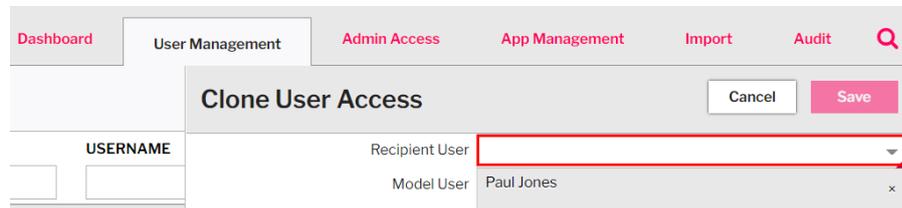
3.8 Cloning user access to an existing user

An Admin user can clone the access of one existing user to another. The Application/Functional Group from the model user will be copied to the Recipient User with the condition that the Admin user has Manage access to the application. The requestor can perform the clone user access function in User Management.

1. Go to the User Management tab and select the model user you want to base the access from. Click on the gear icon  and select "CLONE USER ACCESS"

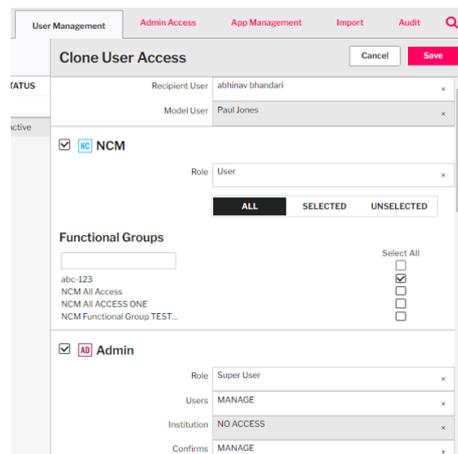


2. The model user will be shown. The requestor can select the recipient user which requires the same access as model user.



3. Once the requestor selects the user, the application/Functional Group of the model user will be pre-selected. The requestor can still make a modification of the application/Functional Group if necessary. Important Note:

- a) Recipient existing access is retained
 - b) Model user access is added,
 - c) If the model user has lower access, the Recipient user access will not be downgraded,
 - d) The requestor can only grant access they are permitted to (like create and grant)
- Select Save once done.



4. The clone user request would need to be approved on the Dashboard tab – Group Request. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Ac

User Management 0 1 Bulk Action Select A

Admin Access 0

App Management 0

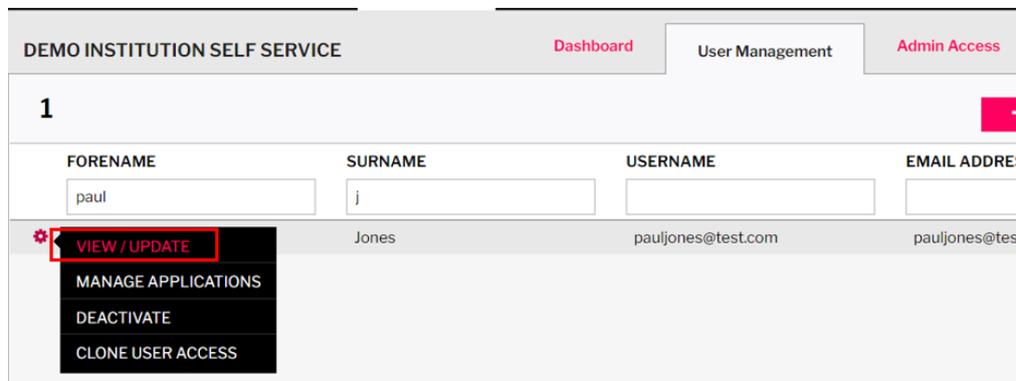
REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
<input type="checkbox"/>			
<input type="checkbox"/>	PENDING	Clone User Access	mCEAJNKDOYVEED...

Grouped Requests 1

3.9 Lock/Unlock user access to TradeServ

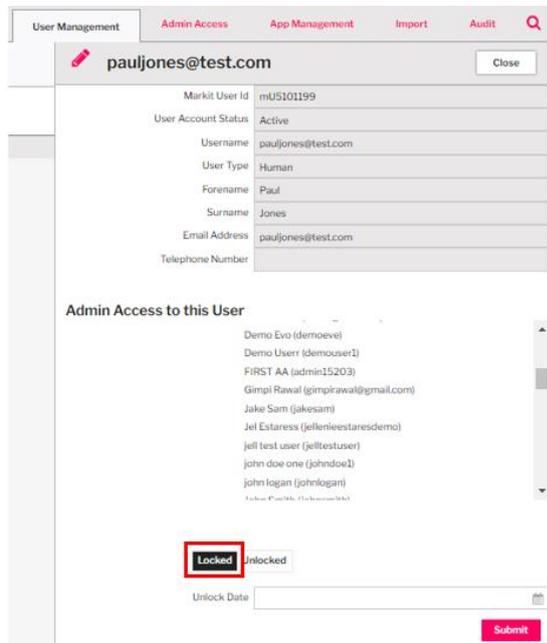
If there is a need to temporarily prevent an existing TradeServ user from accessing the TradeServ application, there is a lock functionality that the Admin user can utilize. This lock function allows the Admin user to lock and define the date until the account becomes unlocked.

1. Go to User management. Select the user for which the account needs to be temporarily locked and click on the gear icon  and select "VIEW/UPDATE"



The screenshot shows the 'User Management' section of the 'DEMO INSTITUTION SELF SERVICE' application. The navigation bar includes 'Dashboard', 'User Management', and 'Admin Access'. A table lists users with columns for 'FORENAME', 'SURNAME', 'USERNAME', and 'EMAIL ADDRESS'. The user 'pauljones@test.com' is selected, and a dropdown menu is open, showing options: 'VIEW / UPDATE' (highlighted with a red box), 'MANAGE APPLICATIONS', 'DEACTIVATE', and 'CLONE USER ACCESS'. A red '1' is in the top left corner.

2. In the user details page, select LOCKED as per below.



The screenshot shows the user details page for 'pauljones@test.com'. The 'Admin Access to this User' section has a list of users with checkboxes. Below the list, there are two radio buttons: 'Locked' (selected and highlighted with a red box) and 'Unlocked'. There is also an 'Unlock Date' field and a 'Submit' button.

- If the user is LOCKED without the Unlock Date, their access will be locked indefinitely until they are unlocked.
 - If the user is LOCKED with an Unlock Date, their access will be locked until the Unlock Date and at that point their access will be automatically unlocked.
3. The locked user can be unlocked at any time before the Unlock date if the Admin user selects "UNLOCKED".

Note: Lock/unlock user access does not require approval.

4.0 Managing Admin Access

The SAC/AC from DSMatch will have the Admin application and “Manage” access for Users, Confirms and NCM in TradeServ, depending on the level of DSMatch access at the time of migration. The access level of an Admin user can be changed according to the operational/control needs. E.g. The Admin can change the access to View only.

4.1 Changing Admin role to Read Only User

If an Admin user needs to have only View access without the ability of making any updates, e.g. modifying Users or Functional Groups, this can be changed from the User Management Screen.

1. Go to the User Management tab and select the Admin that would need to be modified to have View only access. Click on the gear icon and select “MANAGE APPLICATIONS”

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access

1

FORENAME	SURNAME	USERNAME	EMAIL ADDRESS	STATUS
paul	Jones	pauljones@test.com	pauljones@test.com	Active

- VIEW / UPDATE
- MANAGE APPLICATIONS
- DEACTIVATE
- CLONE USER ACCESS

2. On the Admin application, change the Role to Read Only User.

User Management Admin Access App Management Import Audit

Manage Applications

User: Paul Jones Username: pauljones@test.com

Status: Active

Application	Role	Assigned
Confirms	User	Not-Assigned
NCM	User	Not-Assigned
Admin	Super User	Not-Assigned
	Read Only User	

Note:

- a. Changing the Admin role from Super User to Read Only User does not require approval
- b. Changing the Admin role from Read Only User to Super User requires approval. The request would need to be approved at the Dashboard tab – User Management – User App Access. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access App Management

User Management 1 USER MANAGEMENT USER APP ACCESS

Admin Access	App Management	Grouped Requests
0	0	1

REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW
<input type="checkbox"/>		
<input checked="" type="checkbox"/>		PENDING

Granted Super User role to Admin app (was: Revoked Super User role to Admin app)

3. Once the Admin role is Read Only, the Admin Access will reflect the access for User, Confirms and NCM as "VIEW"

DEMO INSTITUTION SELF SERVICE							Dashboard	User Management	Admin Access	App Management	Import	Audit	Q
1											1 / 1	SIZE	10
FULL NAME	USERNAME	ROLE	INSTITUTIONS	USERS	CONFIRMS	NCM	ASSET CLASSES						
<input type="text" value="paul"/>	<input type="text" value="j"/>	<input type="text" value="Read Only"/>	<input type="text" value="NO ACCESS"/>	<input type="text" value="VIEW"/>	<input type="text" value="VIEW"/>	<input type="text" value="VIEW"/>	CREDIT						

4.2 Changing Admin Access

An Admin user has the option to customize the access level of an Admin in the Admin Access tab. An Admin user can have a mix of access, E.g. no access to users, or View to NCM, Manage to Confirms etc. depending on their needs.

DEMO INSTITUTION SELF SERVICE							
Dashboard		User Management		Admin Access		App Management	
1							
FULL NAME	USERNAME	ROLE	INSTITUTIONS	USERS	CONFIRMS	NCM	ASSET CLASS
paul							
Paul Jones	pauljones@test.com	Super User	NO ACCESS	MANAGE	MANAGE	MANAGE	CREDIT
				VIEW			
				Remove Access			

The requestor can click on the drop down button and it will show the option Manage, View and Remove Access. Once selected, click on the tick button .

Below is the explanation of the different access level for User, Confirms and NCM

User

- Manage: All actions within User Management, e.g. able to create/modify/activate/deactivate users
- View: Only able to view information within User Management
- Remove Access: The user will not have access to the “User Management” tab

Confirms

- Manage: Able to create/modify/delete/assign users to Functional Groups for Confirms app, also view other settings in the Confirms app in App Management>Confirms
- View: Only able to view information within App Management>Confirms
- Remove Access: The user will not have access to the App Management>Confirms tab

NCM

- Manage: Able to create/modify/delete/assign users to Functional Groups for NCM app, also view other settings in the NCM app in App Management>NCM
- View: Only able to view information within App Management>NCM
- Remove Access: The user will not have access to the App Management>NCM tab

Note:

1. Downgrading from “Manage” to “View” or No Access does not require approval
2. Downgrading from “View” to No Access does not require approval
3. Upgrading from “View” or No Access to “Manage” requires approval

The Admin Access request would need to be approved at the Dashboard tab – Admin Access. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE			
Dashboard		User Management	
User Management	1	1	Bulk Action <input type="button" value="Select Action"/> View
Admin Access	1	<input type="checkbox"/>	REVIEW STATUS ACTIONED BY ACTION / WORKFLOW
App Management	0	<input type="checkbox"/>  PENDING	Granted access to Manage NCM (was: Revoked access to Manage NCM)
Grouped Requests	1		

4.3 Modifying Admin Access to Asset Class, Entities and User

An Admin user has the option to customize an Admin user's access to Asset Classes, Entities and Users.

Asset Class: The asset classes which the Admin can view within the Admin App. For example, the user will not be able to view Functional Groups with FX products if they are only assigned to the Credit product.

Entities: The entities which the Admin can view within the Admin App. For example, when viewing or modifying a functional group they can only view entities that they are assigned to.

Users: The users which the Admin user can view within the Admin App. For example, when viewing or modifying a functional group they can only view assigned user that they are assigned to, also can only see users in User Management that they are assigned to.

The requestor can modify the access from the Admin Access page as per below step

1. On the Admin Access page, select the Admin to be modified and click on the gear icon. Select "VIEW/UPDATE ADMIN ACCESS"

FULL NAME	USERNAME	ROLE	INSTITUTIONS	USERS	CONFIRM
paul	pauljones@test.com	Super User	NO ACCESS	MANAGE	MANAC

2. Click on the pencil icon to go to Edit mode. Note only Asset Classes, Entities and Users the requestor has access to will be displayed.

USER: PAUL JONES

Admin Access

Institutions	NO_ACCESS
Users	MANAGE
Confirms	MANAGE
NCM	MANAGE

Asset Classes

Credit: OFF ON

FX: OFF ON

Assigned Entities

- Demo_Test_Entity_Confirm1 (mE3701004)
- Demo_Test_Entity_Confirm2 (mE3701014)
- Demo_Test_Entity_Confirm3 (mE3701001)
- Demo_Test_Entity_Confirm4 (mE4501044)
- Demo_Test_Entity_NCM1 (mE3701003)
- Demo_Test_Entity_NCM2 (mE3701002)

3. Once the Admin is in Edit mode, the user can make modifications. Once done, click on "UPDATE". All the changes done on Asset Classes, Entities and User do not require approval.

Update Admin Access

Close

USER: PAUL JONES

Admin Access

Institutions **VIEW** **MANAGE**

Users **VIEW** **MANAGE**

Confirms **VIEW** **MANAGE**

NCM **VIEW** **MANAGE**

Asset Classes

Credit **OFF** **ON**

FX **OFF** **ON**

Entities

ALL SELECTED UNSELECTED

Enter to search...

Select All

- Demo 1 (mE4501074)
- Demo_Test_Entity_Confirm1 (mE3701004)
- Demo_Test_Entity_Confirm2 (mE3701014)
- Demo_Test_Entity_Confirm3 (mE3701001)
- Demo_Test_Entity_Confirm4 (mE4501044)
- Demo_Test_Entity_Confirms5 (mE4501072)
- Demo_Test_Entity_Confirms5 (mE4501073)
- Demo_Test_Entity_NCM1 (mE3701003)
- Demo_Test_Entity_NCM2 (mE3701002)
- Demo_Test_Entity_NCM3 (mE3801001)

Users

ALL SELECTED UNSELECTED

Enter to search...

Select All

- a test (a@test.com)
- abc abc (abc@test.com)
- Abhi TEST (abhi_test_26)
- abhi test (abhitest30)
- abhinav bhandari (abhitest_21)
- abhinav bhandari (abhi_test_01)

Update

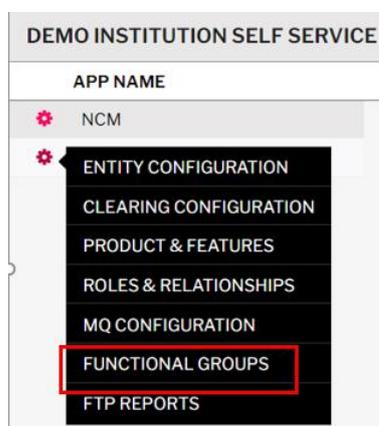
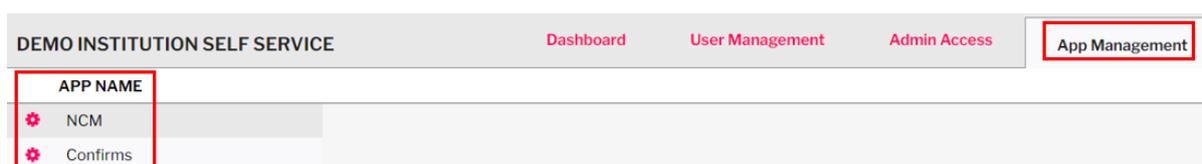
5.0 Functional Group for CONFIRMS and NCM applications

DSMatch O-Codes will be migrated to TradeServ and will follow a similar concept called Functional Groups. Functional Group would determine the entities, products, and the feature that the user within the Functional Group can have access to. The Admin user can create new Functional Groups, modify/delete existing Functional Groups, and assign users to the Functional Group.

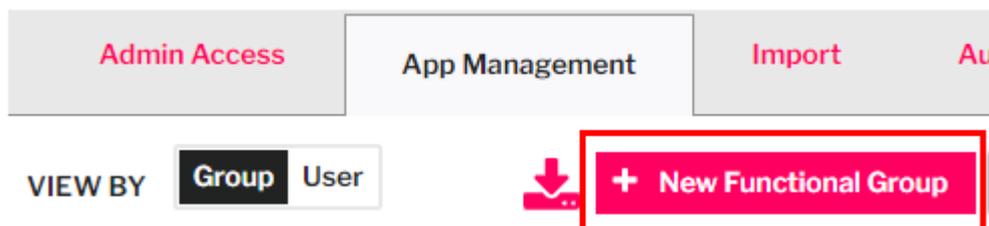
5.1 Creating new Functional Group for Confirms/NCM

An Admin user can create a new Functional Group in App Management as per below steps

1. Go to the APP MANAGEMENT TAB and select the application (Confirms or NCM) in which you want to create the Functional Group. Click on the gear icon and select “FUNCTIONAL GROUPS”



2. For Confirms app, click on “+ NEW FUNCTIONAL GROUP” and enter all the details for the new Functional Group. Once done, click on save.



- Group Name: The name of the Functional Group must be unique.
- Entities: The entities that the user can view/submit trades
- Products: The product that the user can view/submit trades
- Features: The features able to be used
 - Trade View and Trade Processing – Able to view and submit trades
 - Trade View – Able to view trades only

Dashboard User Management Admin Access App Management Import Audit

New Functional Group Close Save

Group Name

Functional Grouping must be associated to one or more entities

Entities Grid-View **ALL** SELECTED UNSELECTED

Enter to search...

Select All

Demo 1 (mE4501074)

Demo_Test_Entity_Confirm1 (mE3701004)

Demo_Test_Entity_Confirm2 (mE3701014)

Demo_Test_Entity_Confirm3 (mE3701001)

Demo_Test_Entity_Confirm4 (mE4501044)

Demo_Test_Entity_NCM1 (mE3701003)

Demo_Test_Entity_NCM2 (mE3701002)

Demo_Test_Entity_NCM3 (mE3801001)

Products

At least one product must be selected.

Credit Default Swap Short **OFF** **ON**

Credit Default Swap Index **OFF** **ON**

Credit Default Swap Index Tranche **OFF** **ON**

Features

At least one feature must be selected.

Trade View and Trade Processing **OFF** **ON**

Event Processing **OFF** **ON**

Trade View **OFF** **ON**

For NCM app, Functional Groups are the same except the features are different.

- Features: The access that the user have
 - Remaining Party: If marked as Processing, user will see the Remaining Party section
 - Transferor: If marked as Processing, user will see the Transferor section
 - Transferee: If marked as Processing, user will see the Transferee section

Dashboard User Management Admin Access App Management Import Audit

New Functional Group Close Save

Group Name

Functional Grouping must be associated to one or more entities

Entities Grid-View **ALL** SELECTED UNSELECTED

Enter to search...

Select All

Demo 1 (mE4501074)

Demo_Test_Entity_Confirm4 (mE4501044)

Demo_Test_Entity_NCM1 (mE3701003)

Demo_Test_Entity_NCM2 (mE3701002)

Demo_Test_Entity_NCM3 (mE3801001)

Products

Credit Default Swap Index **OFF** **ON**

Credit Default Swap Index Tranche **OFF** **ON**

Credit Default Swap Short **OFF** **ON**

Features

At least one feature must be selected.

Remaining Party **OFF** **READ-ONLY** **PROCESSING**

Transferee **OFF** **READ-ONLY** **PROCESSING**

Transferor **OFF** **READ-ONLY** **PROCESSING**

The new Functional Group creation request would need to be approved at the Dashboard tab - App Management – APP ACCESS. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE

Dashboard User Management

User Management 1 1 APP CONFIGURATION APP ACCESS Bulk Action

Admin Access 0

REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> * PENDING	PICK UP	Created functional groupings	

App Management 1

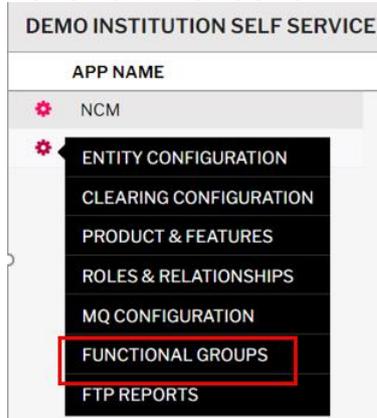
Grouped Requests 1

Note: There will be no user assigned to the newly created Functional Group. To assign user to the Functional Group, please refer Section 5.3

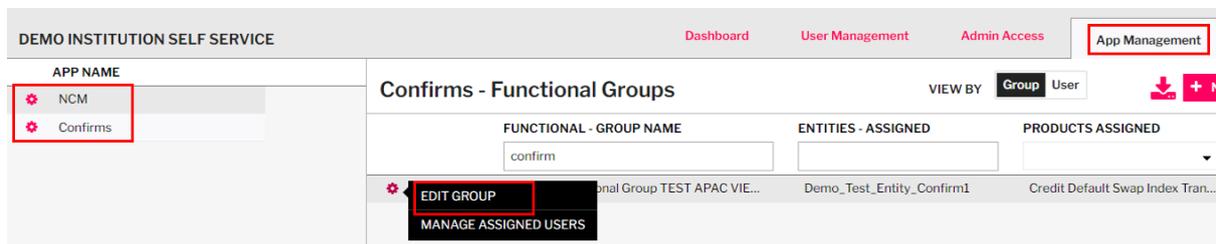
5.2 Modifying Functional Group

An Admin user can modify an existing Functional Group as per the below steps

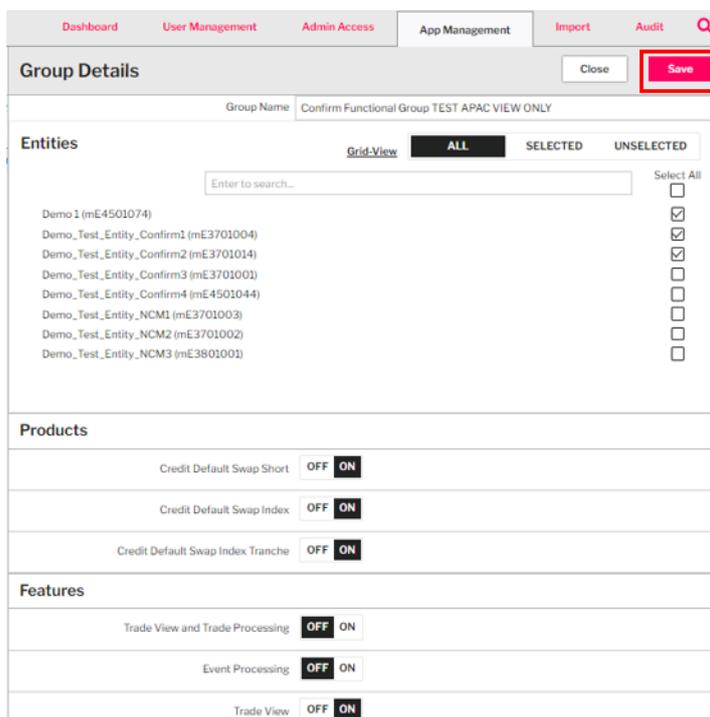
1. In the App Management tab, go to the applicable application (Confirms or NCM) and select FUNCTIONAL GROUPS.



2. Select the Functional Group to be modified. Click on the gear icon  and select "EDIT GROUP"



3. Make the necessary modification and click on "SAVE"



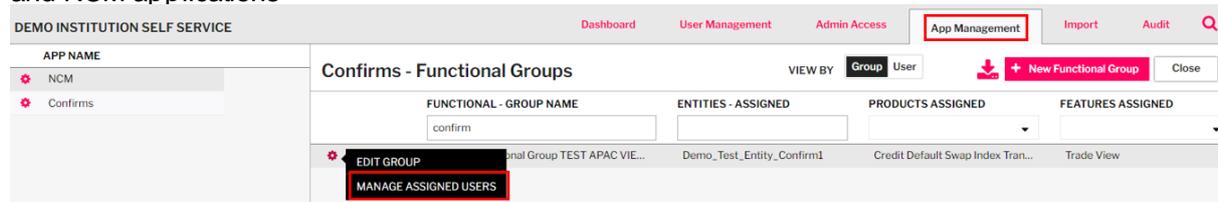
The modification to Functional Group request would need to be approved at the Dashboard tab - App Management – APP ACCESS. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

DEMO INSTITUTION SELF SERVICE		Dashboard	User Management												
User Management	1	1	APP CONFIGURATION APP ACCESS												
Admin Access	1		<table border="1"> <thead> <tr> <th>REVIEW STATUS</th> <th>ACTIONED BY</th> <th>ACTION / WORKFLOW</th> <th>GRO</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td>PENDING</td> <td>PICK UP</td> <td>Updated functional groupings</td> </tr> </tbody> </table>	REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GRO	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	PENDING	PICK UP	Updated functional groupings
REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GRO												
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>												
<input type="checkbox"/>	PENDING	PICK UP	Updated functional groupings												
App Management	1														
Grouped Requests	1														

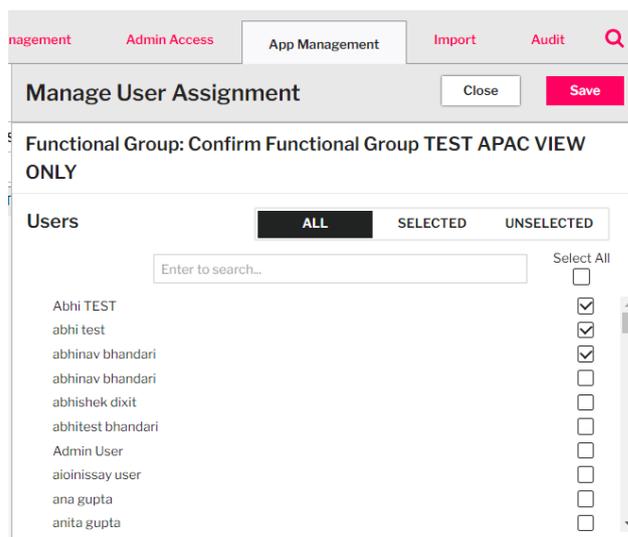
5.3 Assigning user to Functional Group

An Admin user can assign users to a Functional Group as per the below steps.

Note: A User without a Functional Group will not be able to view/update transactions in the Confirms and NCM applications



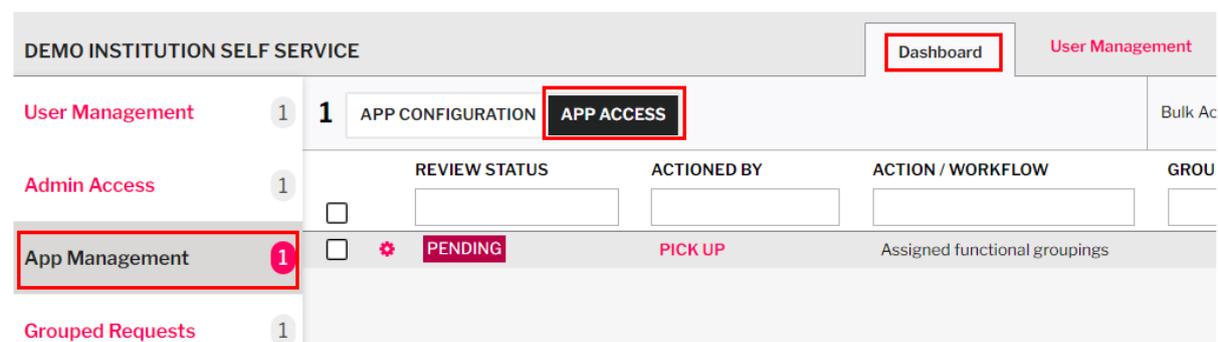
1. In the App Management tab, go to the applicable application (Confirms or NCM) and select the Functional Group in which the user needs to be added. Click on the gear icon and select "MANAGE ASSIGNED USERS"
2. The Admin will then select the applicable user to be added in the Functional Group. Once done, click "SAVE".



Note:

Adding/removing other users from the Functional Group does not require approval.

Adding/removing yourself to a Functional Group would need to be approved at the Dashboard tab App Management – APP ACCESS. Please refer to the approval steps as mentioned in Section 3.3 Approving Request

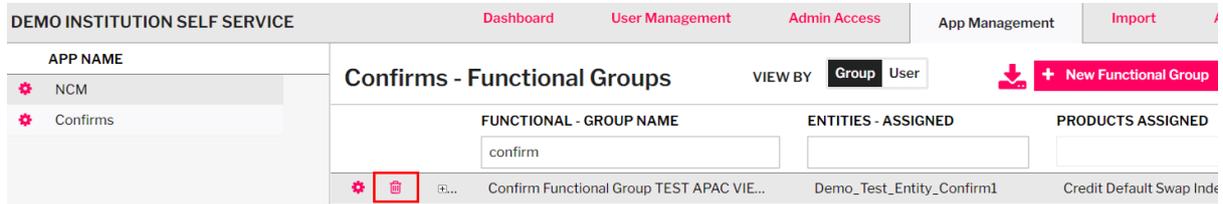


5.4 Deleting Functional Group

An Admin User can delete the Functional Group that is no longer required as per the below steps

1. In the App Management tab, go to the applicable application (Confirms or NCM) and select the

Functional Group to be deleted and click on the Trash Can icon 



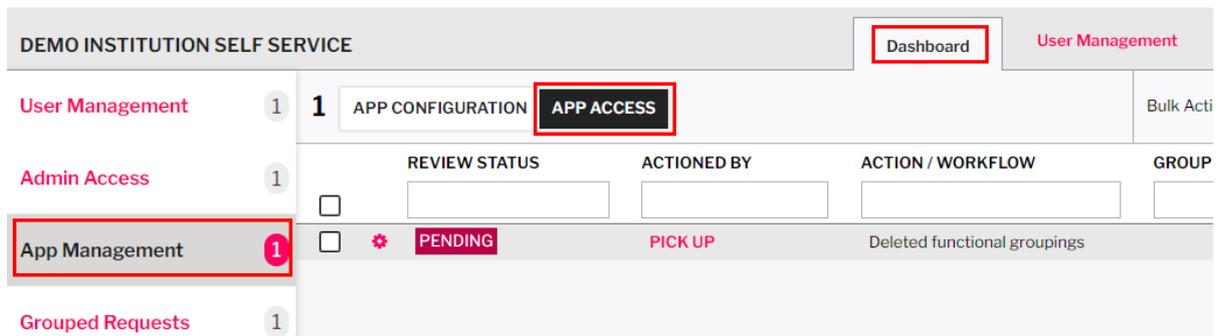
DEMO INSTITUTION SELF SERVICE | Dashboard | User Management | Admin Access | App Management | Import

APP NAME: NCM, Confirms

Confirms - Functional Groups | VIEW BY: Group | User | + New Functional Group

FUNCTIONAL - GROUP NAME	ENTITIES - ASSIGNED	PRODUCTS ASSIGNED
confirm		
Confirm Functional Group TEST APAC VIE...	Demo_Test_Entity_Confirm1	Credit Default Swap Inde

2. The Functional Group deletion request would need to be approved at the Dashboard tab - App Management – APP ACCESS. Please refer to the approval steps as mentioned in Section 3.3 Approving Request



DEMO INSTITUTION SELF SERVICE | Dashboard | User Management

User Management | APP CONFIGURATION | APP ACCESS | Bulk Acti

REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP
<input type="checkbox"/>			
<input type="checkbox"/> * PENDING	PICK UP	Deleted functional groupings	

App Management | Grouped Requests

6.0 View Confirms and NCM application settings

An Admin user that has 'Manage/View' access will be able to view Confirms/NCM related settings in APP MANAGEMENT

Confirms

The screenshot shows the 'App Management' section for 'DEMO INSTITUTION SELF SERVICE'. The 'APP NAME' is 'NCM'. A dropdown menu is open, listing the following settings: ENTITY CONFIGURATION, CLEARING CONFIGURATION, PRODUCT & FEATURES, ROLES & RELATIONSHIPS, MQ CONFIGURATION, FUNCTIONAL GROUPS, and FTP REPORTS. The 'App Management' tab is highlighted in the top navigation bar.

Entity Configuration

Clearing Configuration

Products & Features

Roles & Relationship

MQ Configuration

FTP Reports

NCM

The screenshot shows the 'App Management' section for 'DEMO INSTITUTION SELF SERVICE'. The 'APP NAME' is 'NCM'. A dropdown menu is open, listing the following settings: ENTITY CONFIGURATION, PRODUCT & FEATURES, ROLES & RELATIONSHIPS, MASTER AGREEMENTS, MQ CONFIGURATION, and FUNCTIONAL GROUPS. The 'App Management' tab is highlighted in the top navigation bar.

Entity Configuration

Products & Features

Roles & Relationship

Master Agreement

MQ Configuration

7.0 Export of data from Admin application

An Admin user can extract (export) data in csv format from the Admin application by clicking on the

download icon  .

Below are the supported exports within the Admin application

1. User Management
2. Admin Access
3. App Management – Confirms – Entity Configuration
4. App Management – Confirms – Functional Groups
5. Audit

Please note that for some exports, the user can export the data and then re-import the data as covered in Section 8.0.

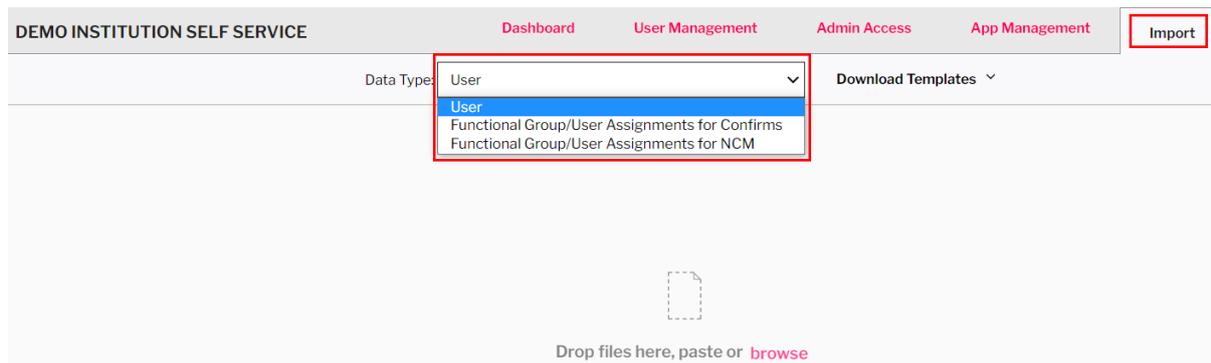
8.0 Upload of the User and Functional Group creation/modification

The Admin user can use the import function within the Admin application to create and update users and Functional Groups. Below is the list of data that can be uploaded. (Note that uploading via CSV will still require approval as applicable)

-User

-Functional Group/User Assignments for Confirms

-Functional Group/User Assignments for NCM



DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access App Management Import

Data Type: User

- User
- Functional Group/User Assignments for Confirms
- Functional Group/User Assignments for NCM

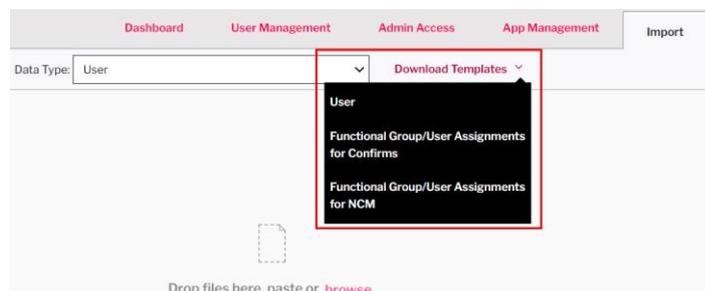
Download Templates

Drop files here, paste or browse

8.1 Uploading of new User and Functional Group Creation

Below are the steps to perform the upload function for a new User/Functional Group in the Import tab.

1. Download the templates or modify an exported file



2. Input the details accordingly. See below example

User

User Name	Forename	Surname	Email Address	Telephone Number	Admin Access to the User (Username)
DEMOUSER1	DEMO	USER ONE	DEMOUSER1@YOPMAIL.COM		ADMINUSER1,ADMINUSER2
DEMOUSER2	DEMO	USER TWO	DEMOUSER2@YOPMAIL.COM		ADMINUSER1,ADMINUSER2

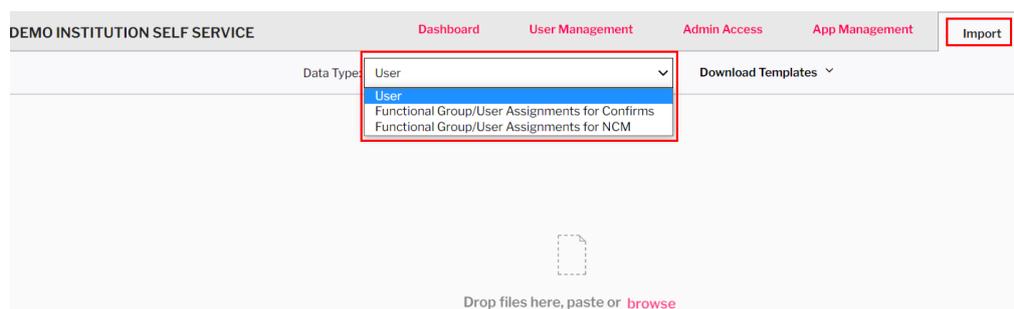
Functional Group/User Assignments for Confirms

Functional Group Name	Product Name	Feature Name	Markit Entity ID or External ID	Username
Confirms Functional Group APAC VIEW ONLY	Credit Default Swap Index	Trade View	mE8503031	DEMOUSER1
	Credit Default Swap Index Tranche			DEMOUSER2
	Credit Default Swap Short			DEMOUSER3
				DEMOUSER4

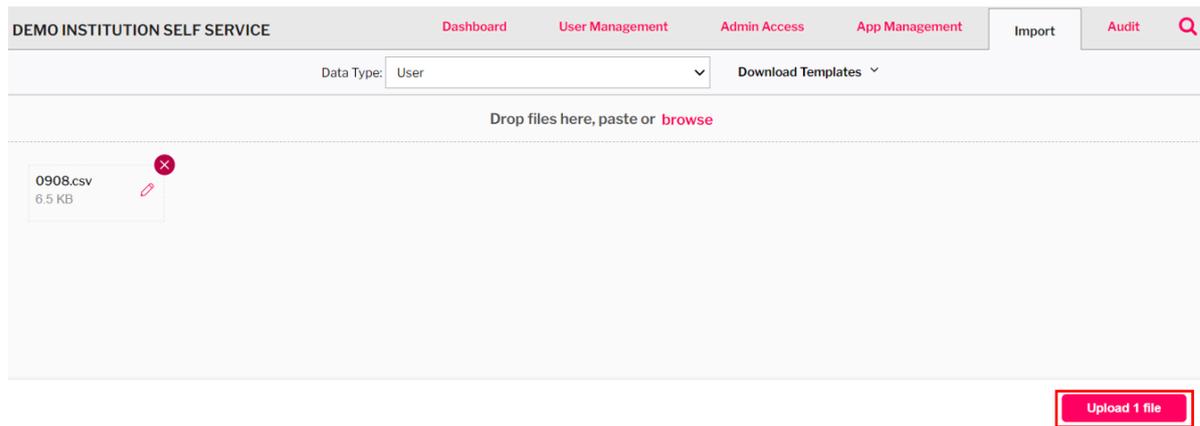
Functional Group/User Assignments for NCM

Functional Group Name	Product Name	Feature Name	Markit Entity ID or External ID	Username
NCM All ACCESS ONE	Credit Default Swap Index	Transferee (Processing)	mE4501044	DEMOUSER1
	Credit Default Swap Index Tranche	Transferor (Processing)	mE3701002	DEMOUSER2

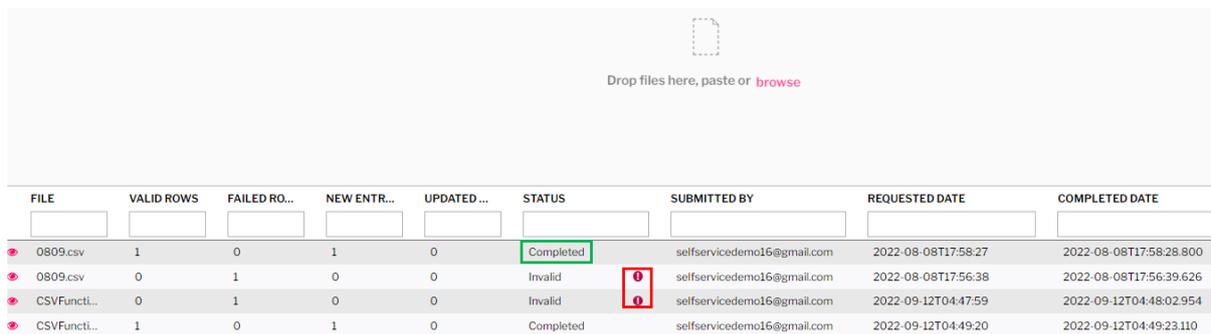
3. To upload the csv file, the Admin user would need to select what type of file to be uploaded.
 - User
 - Functional Group/User Assignments for Confirms
 - Functional Group/User Assignments for NCM



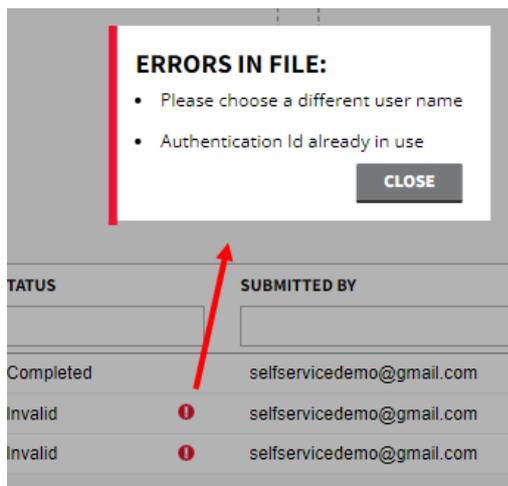
- An Admin user can also drag/drop the file to the location below or browse from folder. Once the file appears, please click on Upload 1 file



- If the upload is successful, it will show the status as Completed. If the upload fails, the status will be shown as Invalid. An Admin user can click on the Red Exclamation icon  to see a summary of the errors in the file or view the Eye icon for full details



FILE	VALID ROWS	FAILED RO...	NEW ENTR...	UPDATED ...	STATUS	SUBMITTED BY	REQUESTED DATE	COMPLETED DATE
0809.csv	1	0	1	0	Completed	selfservicedemo16@gmail.com	2022-08-08T17:58:27	2022-08-08T17:58:28.800
0809.csv	0	1	0	0	Invalid 	selfservicedemo16@gmail.com	2022-08-08T17:56:38	2022-08-08T17:56:39.626
CSVFuncti...	0	1	0	0	Invalid 	selfservicedemo16@gmail.com	2022-09-12T04:47:59	2022-09-12T04:48:02.954
CSVFuncti...	1	0	1	0	Completed	selfservicedemo16@gmail.com	2022-09-12T04:49:20	2022-09-12T04:49:23.110



- The uploaded request will still need to be approved by another Admin on the Dashboard tab.
 - User
 - To be approved from Dashboard – Grouped Request (Refer Section 3.3 for approval step)

DEMO INSTITUTION SELF SERVICE

Dashboard User Management Admin Access

User Management 1 1 Bulk Action Select Action

Admin Access 0

REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID	OBJI
<input type="checkbox"/>				
<input type="checkbox"/> * PENDING	PICK UP	Create User and Gra...	mGJB5L2ZNQYFBJQ...	and

App Management 0

Grouped Requests 1

- b) Functional Group/User Assignments for Confirms
To be approved from Dashboard – App Management- App Access (Refer Section 3.3 for approval step)
- c) Functional Group/User Assignments for NCM
To be approved from Dashboard – App Management- App Access (Refer Section 3.3 for approval step)

DEMO INSTITUTION SELF SERVICE

Dashboard User Management

User Management 1 1 APP CONFIGURATION APP ACCESS Bulk Action

Admin Access 0

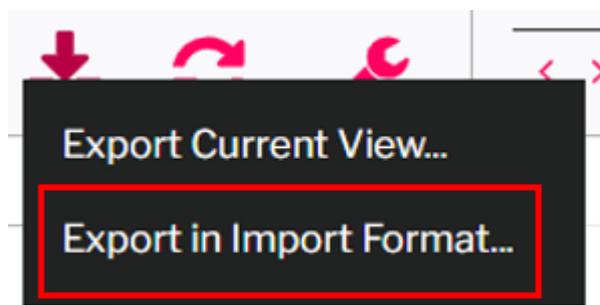
REVIEW STATUS	ACTIONED BY	ACTION / WORKFLOW	GROUP ID
<input type="checkbox"/>			
<input type="checkbox"/> * PENDING	PICK UP	Created functional groupings	

App Management 1

Grouped Requests 1

8.2 Uploading of User and Functional Group Changes

1. To perform a modification on an existing user via CSV upload, the requestor can first export the current data in User Management page by clicking on “Export in Import Format...”



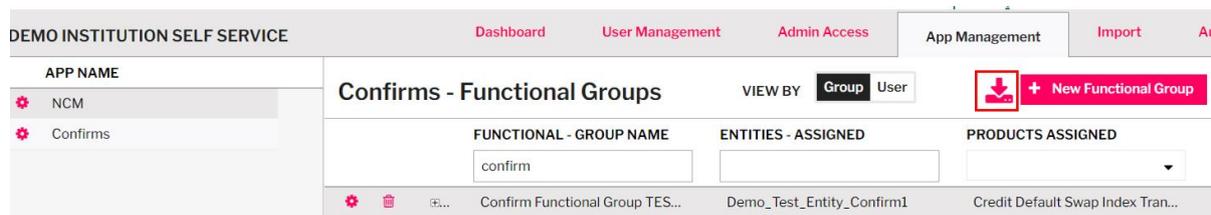
The requestor can make the necessary change to the details in the csv file and save it. However, if the User Name is changed, it will be deemed as a new user.

User Name	Forename	Surname	Email Address	Telephone Number	Admin Access to the User (Username)
DEMOUSER1	DEMO	USER ONE	DEMOUSER1@YOPMAIL.COM		ADMINUSER1,ADMINUSER2
DEMOUSER2	DEMO	USER TWO	DEMOUSER2@YOPMAIL.COM		ADMINUSER1,ADMINUSER2

Similar to modification via GUI, the below action performed under CSV upload will not require approval

- Modification to Forename/Surname/Telephone Number
- Adding/Removing the Admin Access to this user

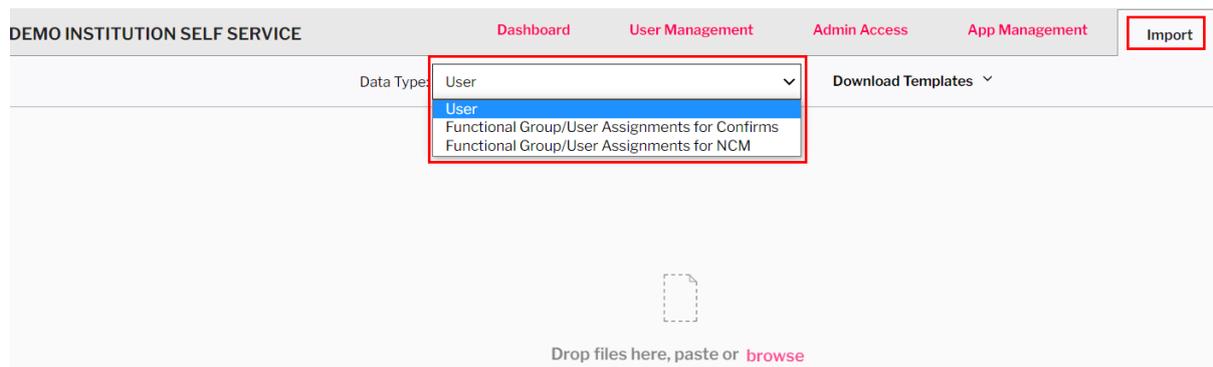
2. To perform a modification on a Functional Group via CSV upload, the requestor can first export the current data in Functional Group page by clicking on the download button



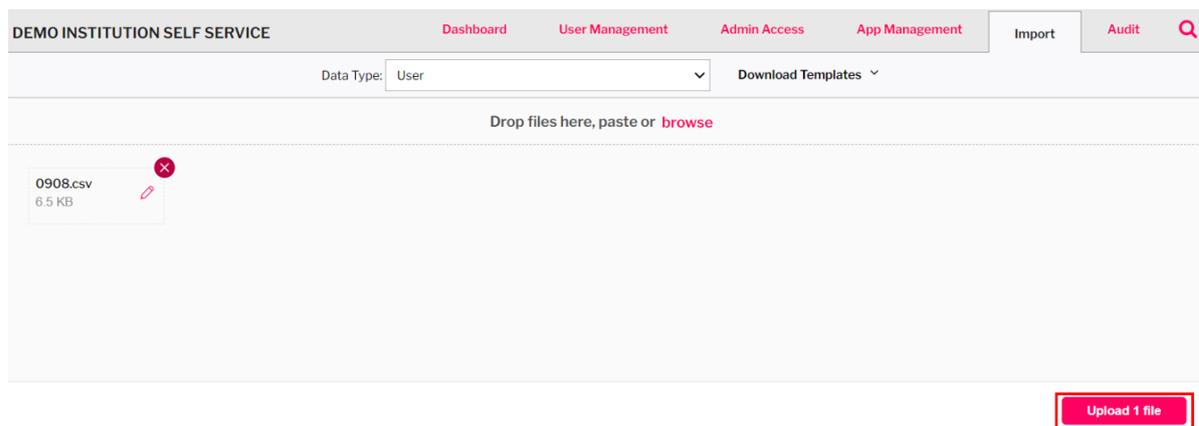
Once the csv has been downloaded, the requestor can make modification to the Product Name, Feature Name, Markit Entity ID or External ID, Username as applicable. However, if the Functional Group Name is changed, it will be deemed as a new Functional Group.

Functional Group Name	Product Name	Feature Name	Markit Entity ID or External ID	Username
Test abc	Credit Default Swap Index Tranche	Trade View	mE3701001	pepperdomchange
	Credit Default Swap Index		mE3701002	tompetty
	Credit Default Swap Short		mE3701003	slynch
			mE3701004	ronblairone
			mE3701014	tyorke
			mE3801001	devans
			mE4501044	bberry
			mE4501074	mjones

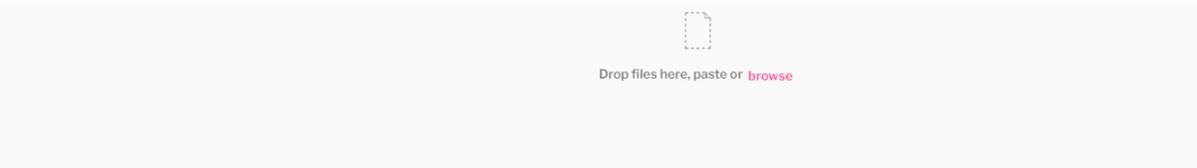
- To upload the csv file, an Admin would need to select what type of file to be uploaded.
 - User
 - Functional Group/User Assignments for Confirms
 - Functional Group/User Assignments for NCM



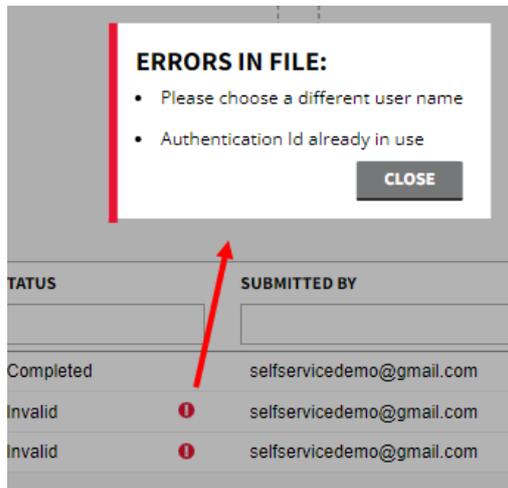
- An Admin can also drag/drop the file to the location below or browse from folder. Once the file appears, please click on Upload 1 file



- If the upload is successful, it will show the status as Completed. If the upload fails, the status will be shown as Invalid. An Admin can click on the Red Exclamation icon  to see the error in the file.



FILE	VALID ROWS	FAILED RO...	NEW ENTR...	UPDATED ...	STATUS	SUBMITTED BY	REQUESTED DATE	COMPLETED DATE
 0809.csv	1	0	1	0	Completed	selfservicedemo16@gmail.com	2022-08-08T17:58:27	2022-08-08T17:58:28.800
 0809.csv	0	1	0	0	Invalid	selfservicedemo16@gmail.com	2022-08-08T17:56:38	2022-08-08T17:56:39.626
 CSVFuncti...	0	1	0	0	Invalid	selfservicedemo16@gmail.com	2022-09-12T04:47:59	2022-09-12T04:48:02.954
 CSVFuncti...	1	0	1	0	Completed	selfservicedemo16@gmail.com	2022-09-12T04:49:20	2022-09-12T04:49:23.110



6. The uploaded request will still need to be approved by another Admin on the Dashboard tab.
 - a) User
 - Only email address is changed – To be approved from Dashboard – User Management – User Management (Refer Section 3.3 for approval step)
 - Email address and other fields are changed - To be approved from Dashboard – Grouped Request (Refer Section 3.3 for approval step)
 - b) Functional Group/User Assignments for Confirms
To be approved from Dashboard – App Management- App Access (Refer Section 3.3 for approval step)
 - c) Functional Group/User Assignments for NCM
To be approved from Dashboard – App Management- App Access (Refer Section 3.3 for approval step)

9.0 Audit

All the activities performed by Admin App users will be captured in an Audit trail in the Audit tab.

Details such as timestamp, requestor, approver, action taken and the previous/new value can be viewed from this page. Also the data can be filtered and exported as csv

DEMO INSTITUTION SELF SERVICE					Dashboard	User Management	Admin Access	App Management	Import	Audit
12342										1 / 618
ACTION TIMESTAMP	ACTION PERFORMED BY	ACTION/WORKFLOW	OBJECT IMPACTED	PREVIOUS VALUE / NEW VAL...						
2022-06-01 to 2022-09-12	<input type="text"/>	<input type="text"/>	<input type="text"/>							
11 Sep 2022, 22:53	self service	Changed User Access	pauljones@test.com	View Details						
11 Sep 2022, 22:53	self service	Changed NCM Access	pauljones@test.com	View Details						
11 Sep 2022, 22:53	self service	Changed Confirms Access	pauljones@test.com	View Details						
11 Sep 2022, 22:53	self service	Picked up User Access	pauljones@test.com	View Details						
11 Sep 2022, 22:53	self service	Picked up NCM Access	pauljones@test.com	View Details						
11 Sep 2022, 22:53	self service	Picked up Confirms Access	pauljones@test.com	View Details						
11 Sep 2022, 22:52	self servicedem	Granted NCM Access	pauljones@test.com	View Details						
11 Sep 2022, 22:52	self servicedem	Granted Confirms Access	pauljones@test.com	View Details						
11 Sep 2022, 22:52	self servicedem	Granted User Access	pauljones@test.com	View Details						
11 Sep 2022, 22:50	self service	Changed User Apps	pauljones@test.com	View Details						
11 Sep 2022, 22:50	self service	Picked up User Apps	pauljones@test.com	View Details						
11 Sep 2022, 22:49	self servicedem	Changed User Apps	pauljones@test.com	View Details						
11 Sep 2022, 22:44	self servicedem	Changed User Apps	pauljones@test.com	View Details						
09 Sep 2022, 17:48	self service	Changed User	pauljones@test.com	View Details						
09 Sep 2022, 17:48	self service	Picked Up User	pauljones@test.com	View Details						