Docs

Administrator Guide

November 2017

v. 5

Administrator Guide

Administrators serve a key role within the Docs system. They are **primary points of contact** for FIA Tech, they add, remove, and maintain the **Users and User Permissions** for their firm, and **manage key details for their Parties**.

This document will help new Docs Administrators with user and party management. It will also ease the transition from EGUS to Docs

Contents

Admin Setup

As part of onboarding a new Conformed Party into Docs, FIA Tech will create a single Administrator user account.

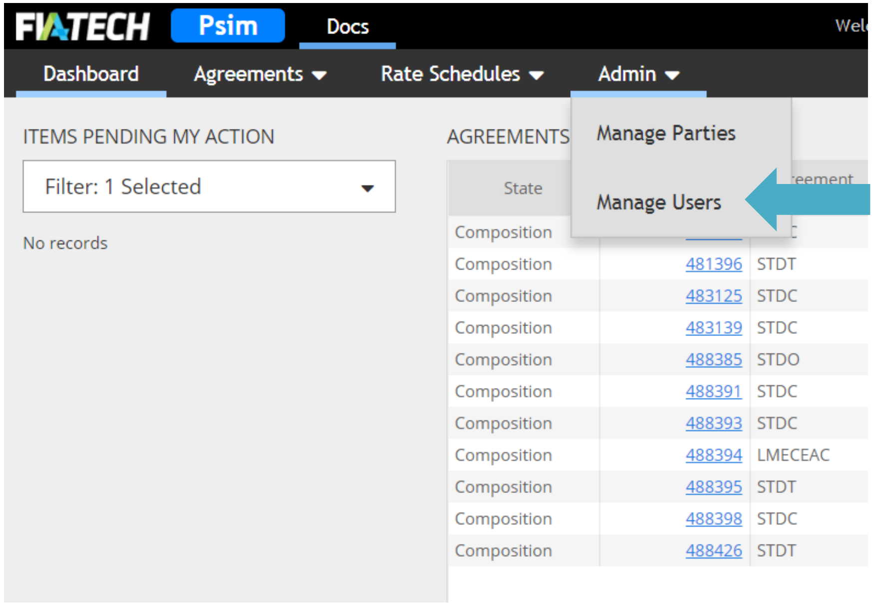
This initial Admin can then create more users, *including more Admins*.

After that first Admin, FIA Tech will not establish additional user accounts for firms- from that point onward, all user management will be performed by administrators.

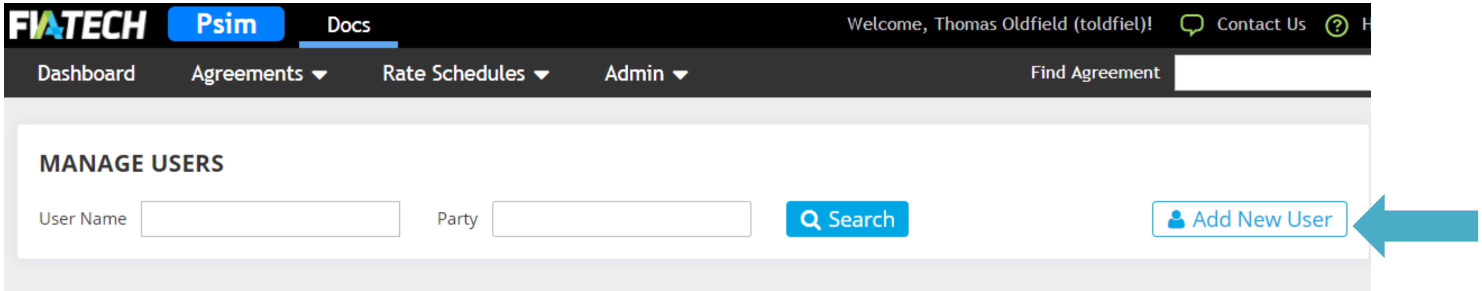
Managing Users – Adding New Users

1. User Management begins with the Admin dropdown on the Docs main page.

2. Navigate to the Manage Users page using the option from the dropdown.



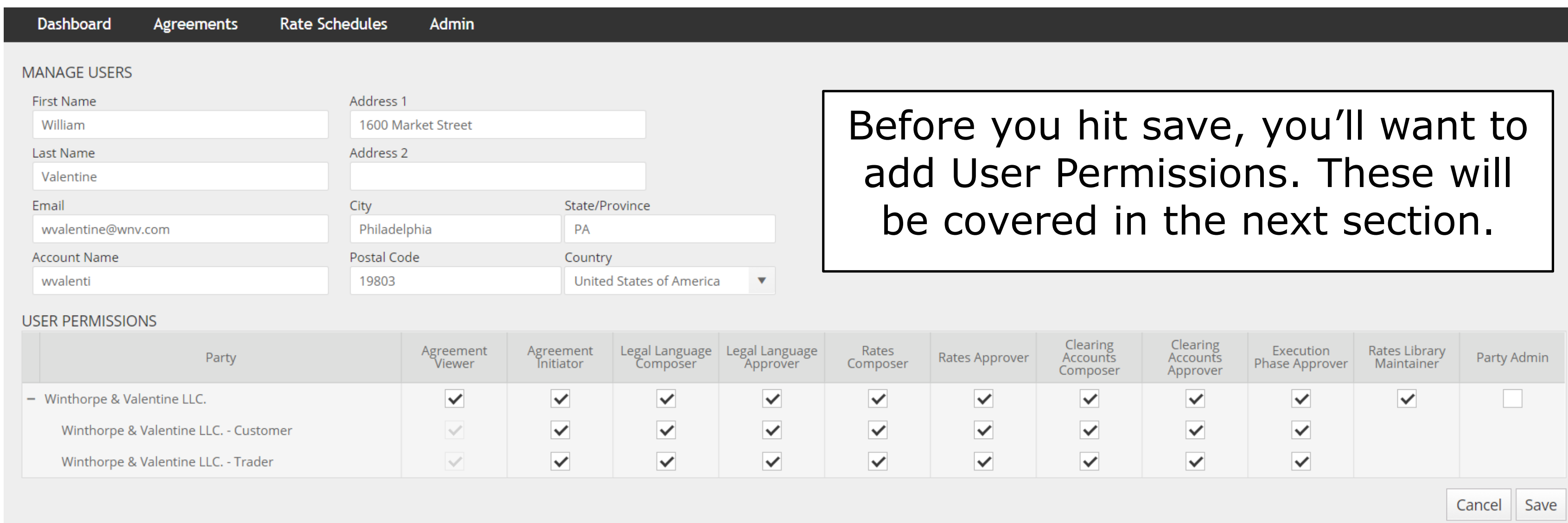
3. Add a brand new user using the "Add New User" button. You can also search for and edit existing users from this screen.



Managing Users – Adding New Users

When creating a new user, remember:

- Last Name, First Name, and Email are **mandatory fields**.
- The Account Name will auto-populate after an email address is entered.
- The Permission ‘Agreement Viewer’ must be selected for a user to view agreements.
- Once a new user account is saved, an email will be sent to that user containing a link to initiate access and reset their password.



Before you hit save, you’ll want to add User Permissions. These will be covered in the next section.

Managing Users – User Permissions

User Permissions define the actions that a Docs User can perform.

Some User Permissions are defined on a party by party basis. Others can be defined for a specific party role.

USER PERMISSIONS

Party	Agreement Viewer	Agreement Initiator	Legal Language Composer	Legal Language Approver	Rates Composer	Rates Approver	Clearing Accounts Composer	Clearing Accounts Approver	Execution Phase Approver	Rates Library Maintainer	Party Admin
− FIA Monitor	■	■	■	■	■	■	■	■	■	☐	✓
− FIA Monitor 1 Broker	✓	✓	■	■	■	■	✓	✓	✓	✓	✓
FIA Monitor 1 Broker - Executing Broker	✓	✓	☐	✓	✓	☐	✓	✓	✓		
FIA Monitor 1 Broker - Clearing Broker	✓	✓	✓	☐	☐	✓	✓	✓	✓		

In the example above, the FIA Monitor firm (what EGUS would have called an "institution") contains the FIA Monitor 1 Broker party, which has two Party Roles: Executing Broker and Clearing Broker

Looking at the permission grid, you can see that this user is always an *Agreement Initiatior*, a *Legal Language Composer* only when the party is in the Clearing Broker role, and a *Legal Language Approver* only when the party is in the Executing Broker role.

The filled blue boxes indicate that at least one underlying Party or Party Role has that permission.

Managing Users – User Permissions

Docs Permissions Breakdown

Role-Defined Permissions	
View & Initiate	
Agreement Viewer	View access only to agreements
Agreement Initiator	Initiate agreements
Agreement Workstreams	
Legal Language Composer	Select/edit jurisdiction & legal language
Legal Language Approver	Approve legal language workstream
Rates Composer	Create and attach rate schedules to agreements, and add executing accounts
Rates Approver	Approve rate schedule workstream
Clearing Accounts Composer	Add clearing accounts
Clearing Accounts Approver	Approve clearing account workstream
Execution	
Execution Phase Approver	Approve agreement, thereby signing it.

Party-Defined Permissions	
Rates & Admin	
Rates Library Maintainer	Upload & save rate schedules to rate schedule library for use on agreements
Party Admin	Manage firm users and party settings

Managing Users – User Permissions

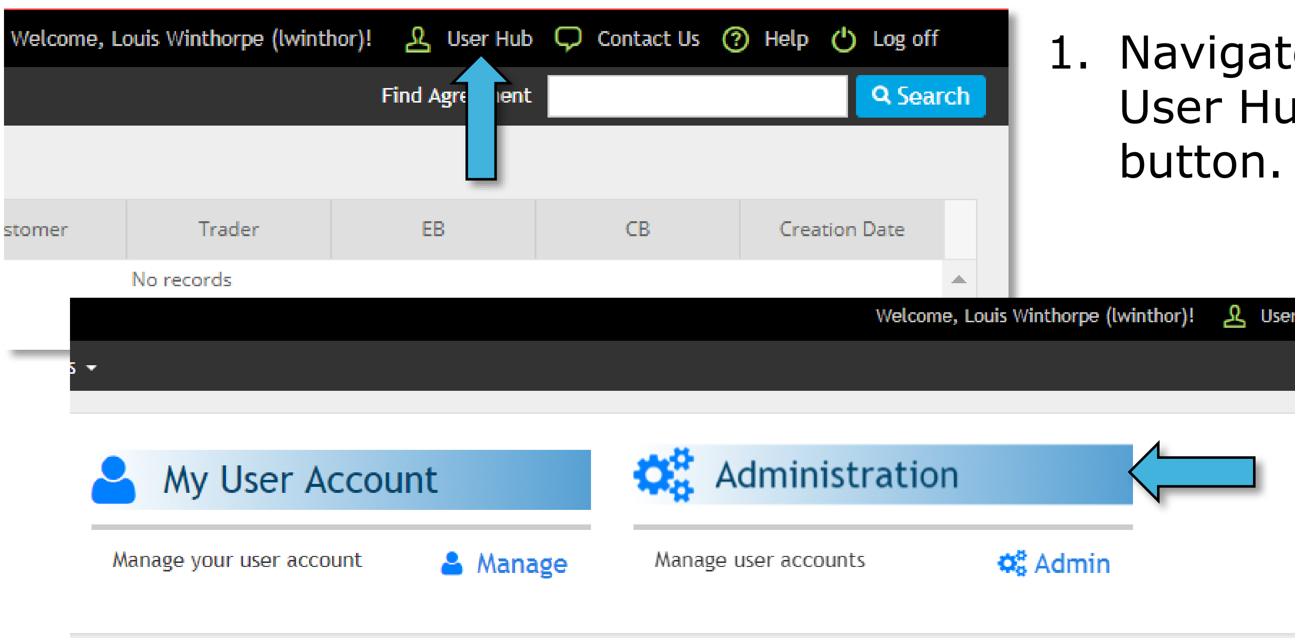
EGUS-to-Docs Permission Guide

EGUS	Docs	Notes
View & Initiate		
Reader	Agreement Viewer	*View agreements (can take no other action)*
Processor	Agreement Initiator	*Create agreements*
Legal Language		
Processor	Legal Language Composer	*Select standard legal language or edit*
Approver	Legal Language Approver	*Approve legal language text*
Rate Schedules		
Maintain Rate Schedules	Rates Composer	*Create and attach rate schedules*
Rate Amendment Approver	Rates Approver	*Approve rate schedules*
Maintain Rate Schedules	Rates Library Maintainer	*Upload & save rate schedules to library*
Clearing Accounts		
Processor	Clearing Accounts Composer	*Add clearing accounts*
Approver	Clearing Accounts Approver	*Approve attached clearing accounts*
Execution		
Approver	Execution Phase Approver	*Approve execution of agreement*
Admin		
Institution Admin	Party Admin	*Manage firm users and party settings*

Managing Users – De/Activate User

If a User has entered the wrong password too many times, they will need an Admin to reactivate their account. If a User should no longer have access to Docs, an Admin will need to deactivate their account until FIA Tech can delete it.

System access-level issues like these are managed from the **User Hub**, rather than the Manage User page.

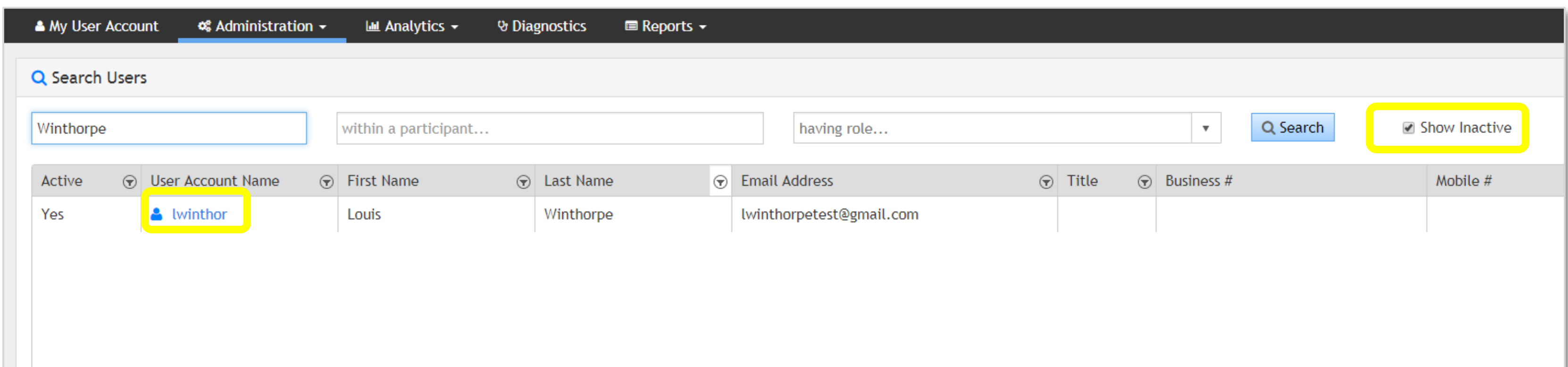


1. Navigate to the User Hub using this button.

2. Click the "Administration" button to manage your party's users.

Managing Users – De/Activate User

3. Search for the user in question. If their account is currently deactivated, make sure to check the “Show Inactive” option. Then, navigate to their User Details by clicking their blue hyperlinked User Account Name.



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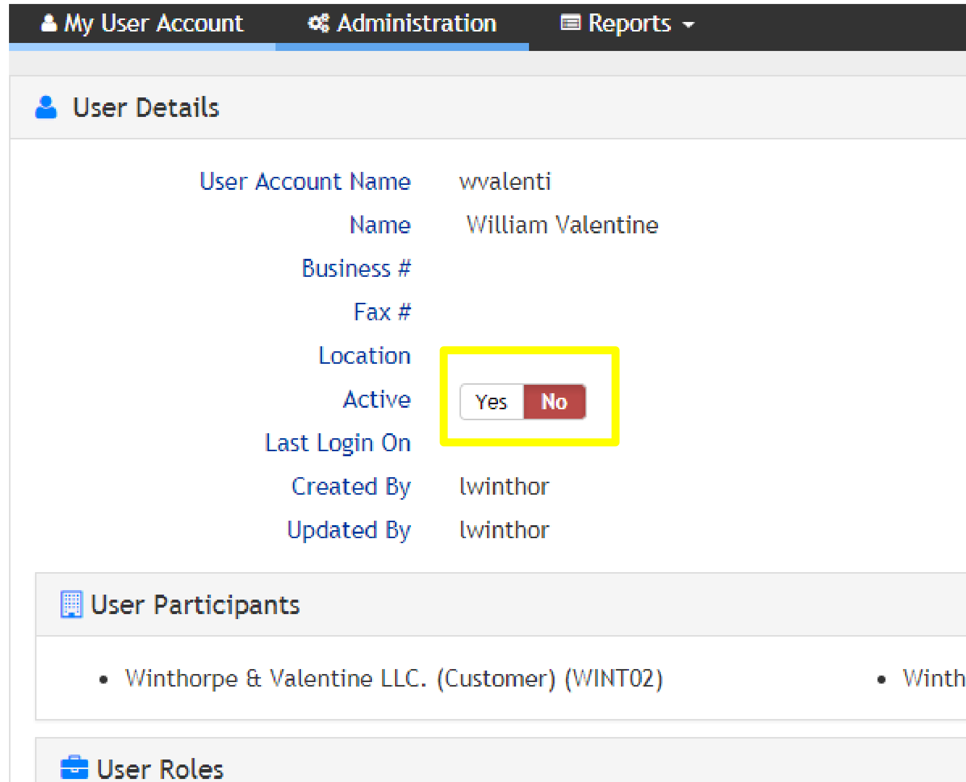
Managing Users – De/Activate User

4. From the User Details page, you can change the User’s “Active” status using the toggle. Inactive users will not be able to log into Docs, or any other *Accelerate* hosted system.

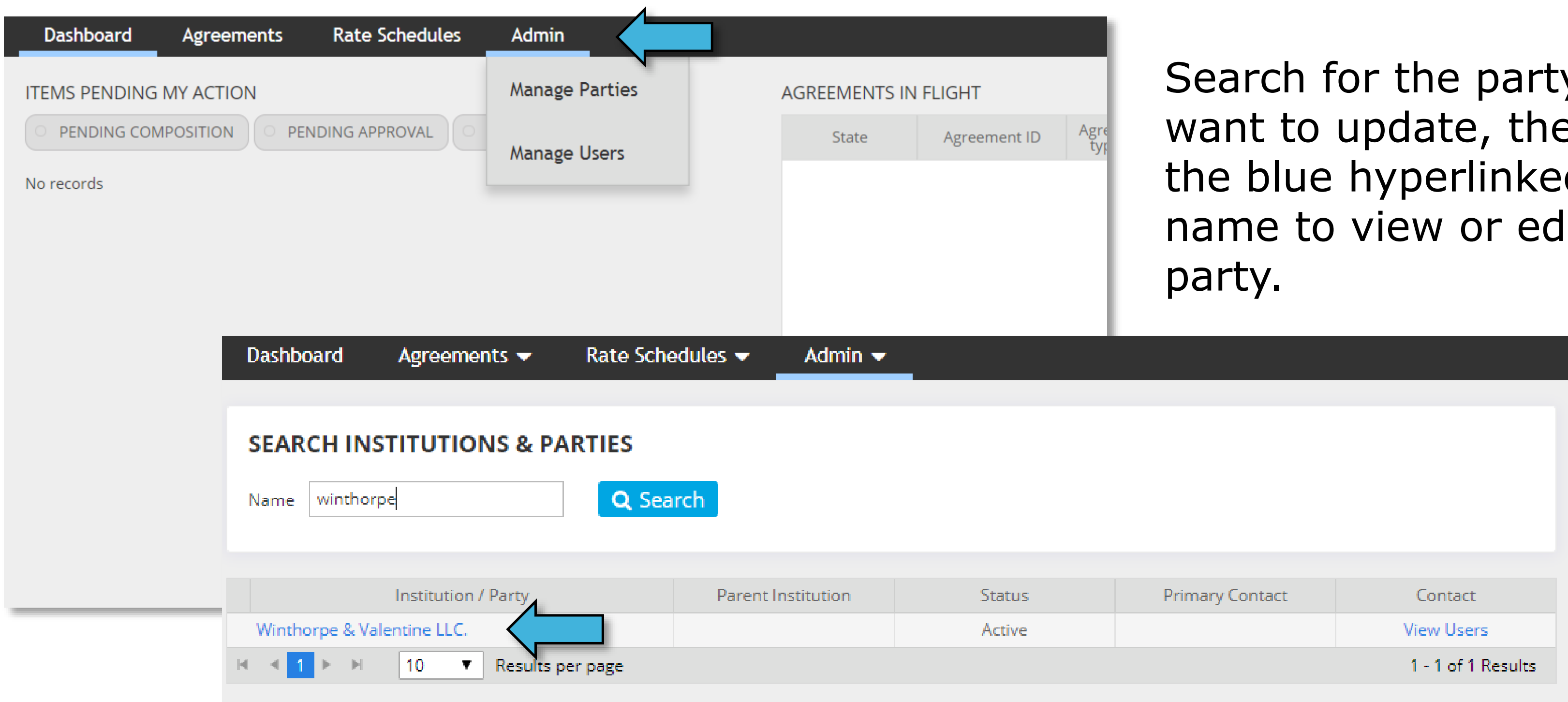
5. To permanently delete a user, an *Institution-level Admin* will need to submit a deletion request to Docs Support.



NOTE! Do not edit Docs roles from this screen. follow the steps for Managing Users instead.

Managing Parties – Finding a Party

Docs Administrators are also responsible for maintaining Parties within the system. This can be done from the “Manage Parties” option under the Admin dropdown.



Search for the party you want to update, then click the blue hyperlinked party name to view or edit that party.

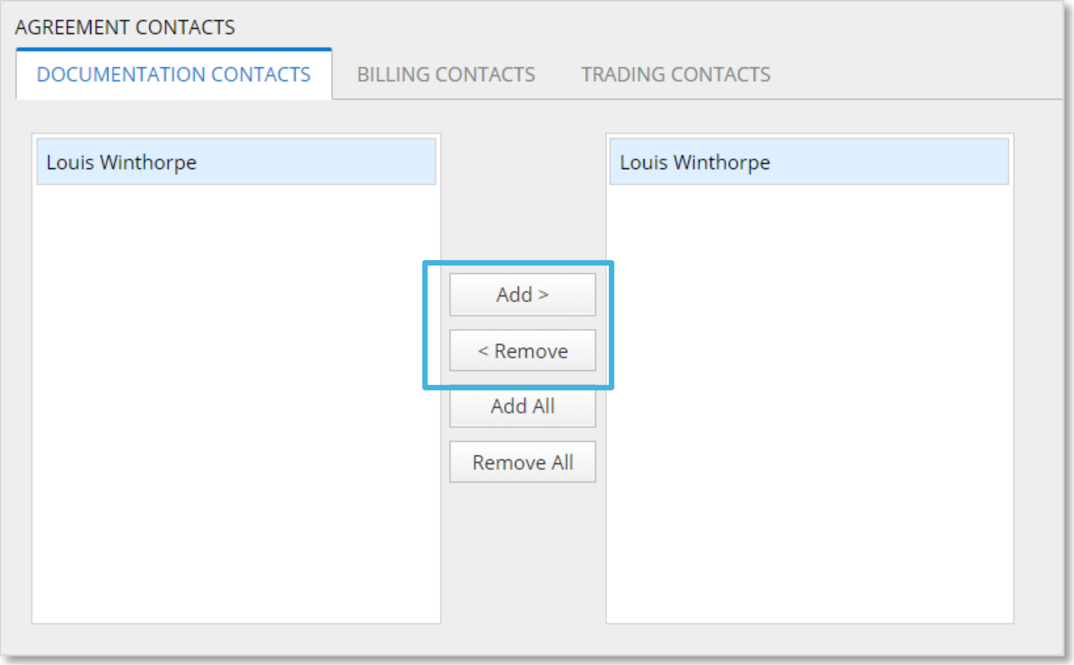
Managing Parties – Updating Agreement Contacts

From the "View/Edit Party" page, Admins are able to update the contacts for a Docs party.

1. Navigate to the "Agreement Contacts" section. You will be able to select the tab for the specific contact type you wish to change: Documentation, Billing, or Trading.

2. On the left, you will see a list of all Users for this party. On the right, you will see the contacts. **Add** and **remove** Users from the contact list using the appropriate button.

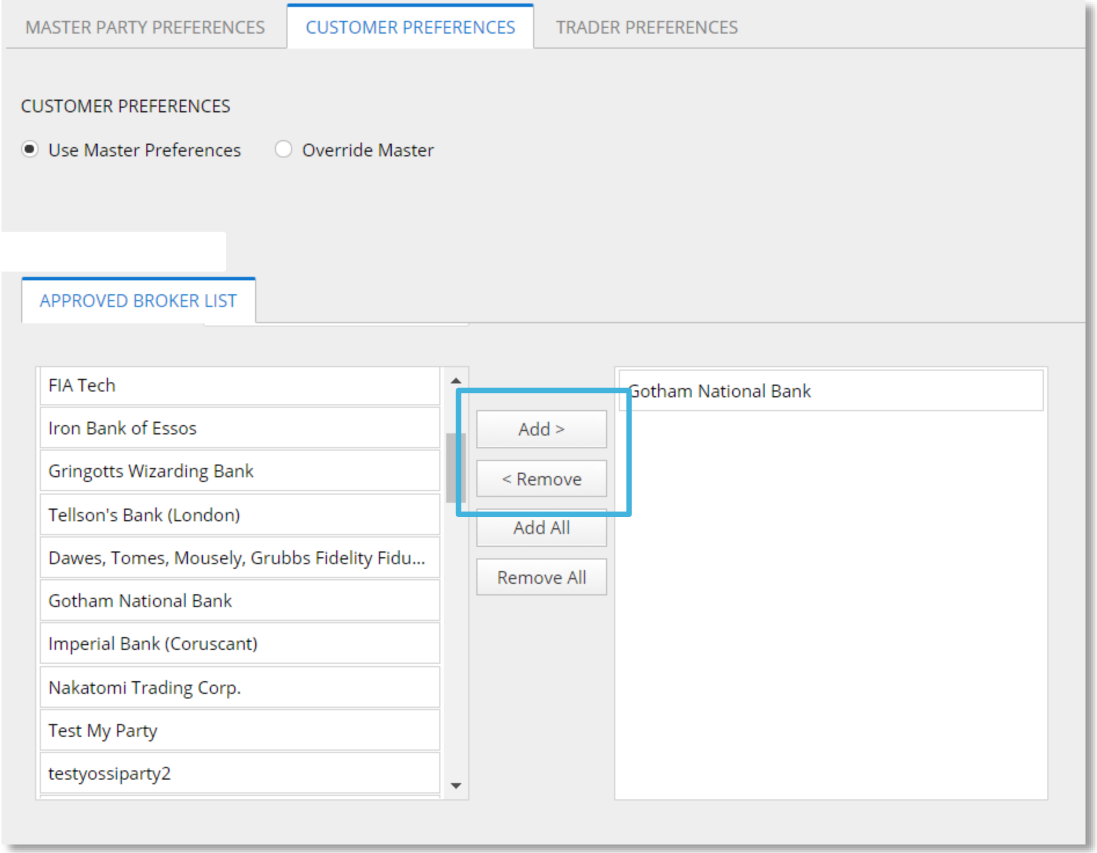
3. When you have finished, click "Save".



Managing Parties – Updating Approved Broker List

From the "View/Edit Party" page, Admins can update the list of approved brokers for Customer and Trader Parties.

1. Navigate to either the "Customer Preferences" or "Trader Preferences" tab. Scroll down to the Approved Broker List.
2. On the left, you will see a list of all Brokers in Docs. On the right, you will see the Brokers approved for this Party. **Add** and **remove** Brokers from the approved list using the appropriate button.
3. When you have finished, click "Save".



FIA Tech Resources

Reach out to the Docs Support Team:

Docs.Support@fia-tech.com

202-772-3000

Documentation, User Guides and Webinars are available on our Website:

http://www.fia-tech.com/resources/docs

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