



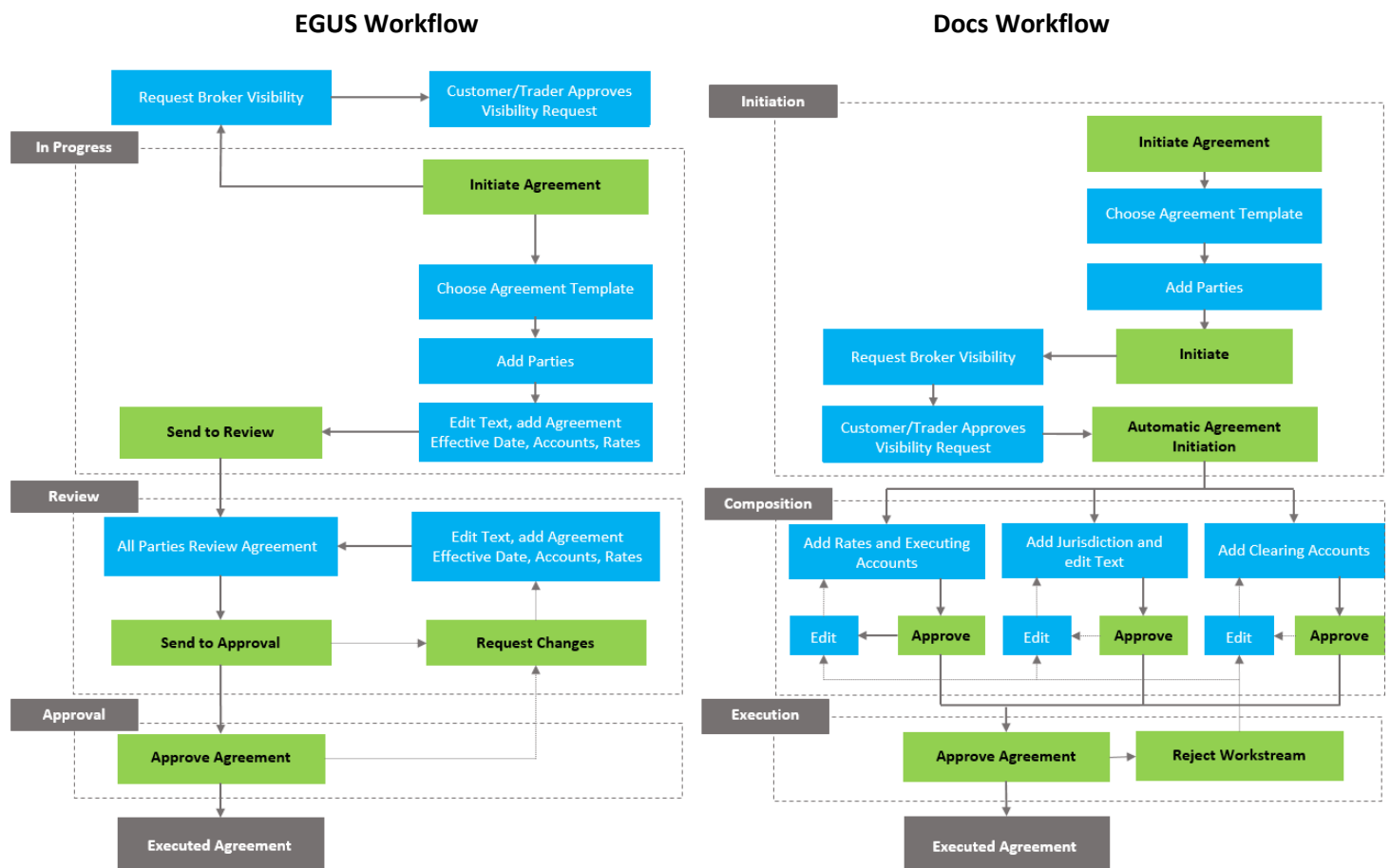
Docs Quick Start Guide

10/15/2017
v.1

1. Introduction

This guide provides step-by-step instructions for completing an agreement in the new Docs platform. Although the components of the agreement have not changed from the old EGUS system, Docs includes an enhanced workflow that allows you as a user to more easily action and view which sections of the agreement you have yet to agree upon with your counterparties to the agreement. As a result, each agreement is divided into a *Legal*, *Rates*, and *Clearing Accounts* section.

In order to reflect this new workflow, we have also changed the names of the agreement statuses. Review is now known as **Composition** and Approval is called **Execution**. The below graph provides a quick comparison between the old EGUS workflow and the updated Docs workflow.



2. Login

Login to <https://psim.fia-tech.com> using your email address as your username. If this is your first time logging in, use the “Forgot Password” link to retrieve your login information. Once your email address is

entered, an email will be sent to you with instructions how to retrieve your password. If you encounter issues logging in, contact your administrator or FIA Tech for assistance.

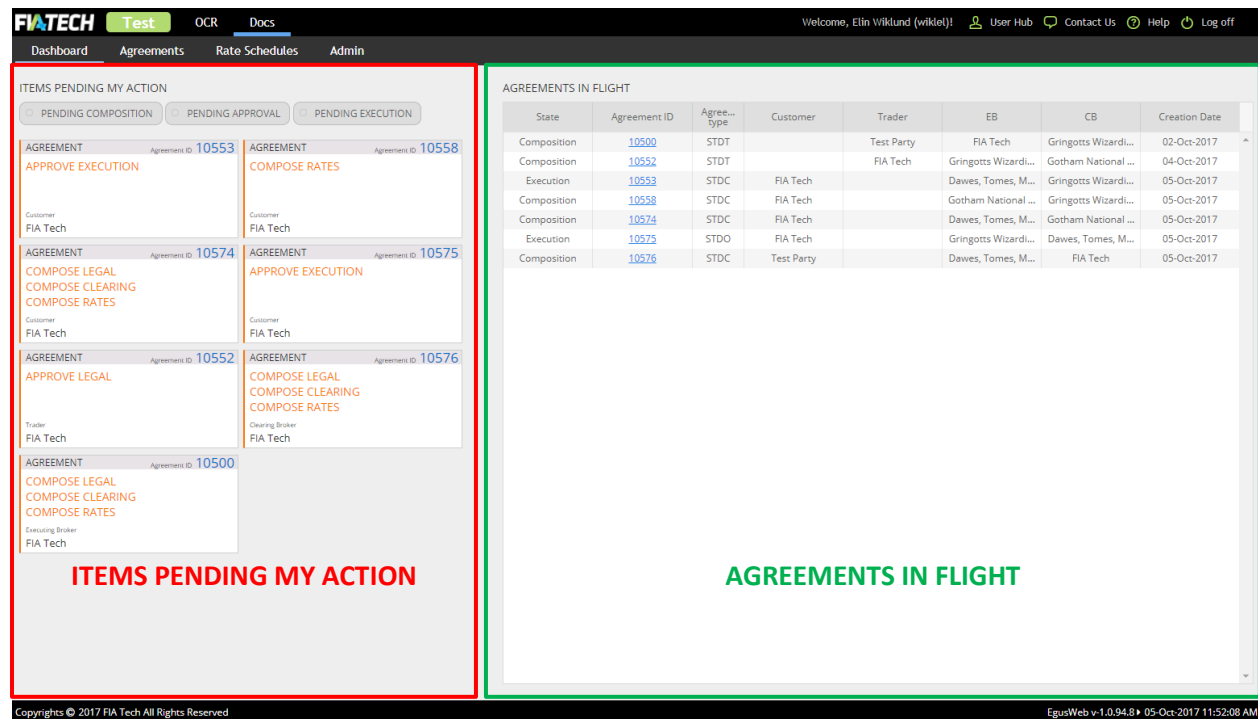
3. Dashboard

Upon login, you will be automatically directed to the application Dashboard. The Dashboard provides a view of items requiring action (Items Pending My Action), as well as in-progress agreements (Agreements in Flight).

Items Pending My Action: this is a view of action items based on your user permissions. It shows actions that you can take to move the agreement toward execution. In order to action any of the agreements shown in this pane, simply click on the agreement card. The following actions display here:

- Compose legal/rates/clearing: details need to be added to the workstream in order to make it ready for approval.
- Approve legal/rates/clearing: workstreams need to be approved by your party in order to move it toward execution.
- Approve execution: your party needs to sign off on the agreement in order to execute it.
- Visibility request: users with admin permissions to any customer and/or trader parties will see any visibility requests from brokers.

Agreements In Flight: this list shows all agreements that are currently not executed by your party, or parties. Click on the agreement ID to view the full details of the agreement.



The screenshot displays the FIA TECH dashboard interface. The top navigation bar includes 'Test', 'OCR', and 'Docs' tabs, along with a user profile 'Welcome, Elin Wiklund (wiklet)!' and links for 'User Hub', 'Contact Us', 'Help', and 'Log off'. The main dashboard is divided into two primary sections: 'ITEMS PENDING MY ACTION' on the left and 'AGREEMENTS IN FLIGHT' on the right.

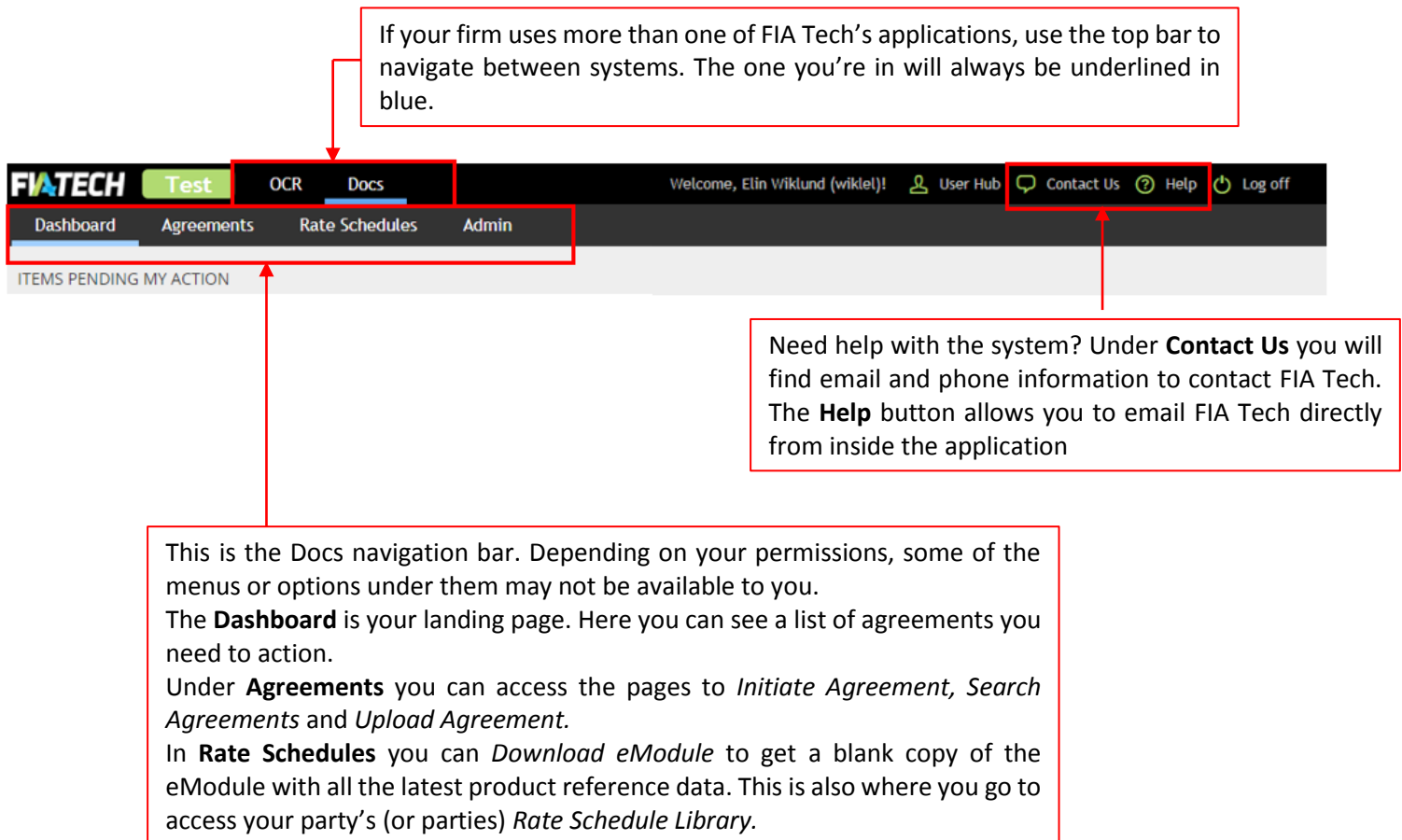
ITEMS PENDING MY ACTION: This section is further divided into three sub-tabs: 'PENDING COMPOSITION', 'PENDING APPROVAL', and 'PENDING EXECUTION'. It displays a grid of agreement cards. Each card shows the agreement ID, the action required (e.g., 'APPROVE EXECUTION', 'COMPOSE RATES', 'COMPOSE LEGAL', 'COMPOSE CLEARING'), and the customer or trader involved (e.g., 'FIA Tech', 'Gotham National ...', 'Dawes, Tomes, M...').

AGREEMENTS IN FLIGHT: This section contains a table listing all agreements currently in flight. The table has the following columns: State, Agreement ID, Agree... type, Customer, Trader, EB, CB, and Creation Date. The data rows show various states like 'Composition' and 'Execution' for different agreement IDs, associated with customers and traders.

At the bottom of the dashboard, there is a copyright notice: 'Copyrights © 2017 FIA Tech All Rights Reserved' and a version/timestamp string: 'EgusWeb v1.0.94.8 05-Oct-2017 11:52:08 AM'.

4. Navigation Menu

At the top of your window, you will see a black and grey bar. This allows you to navigate throughout the Docs application, and between FIA Tech applications. You can also find system support information here.



If your firm uses more than one of FIA Tech's applications, use the top bar to navigate between systems. The one you're in will always be underlined in blue.

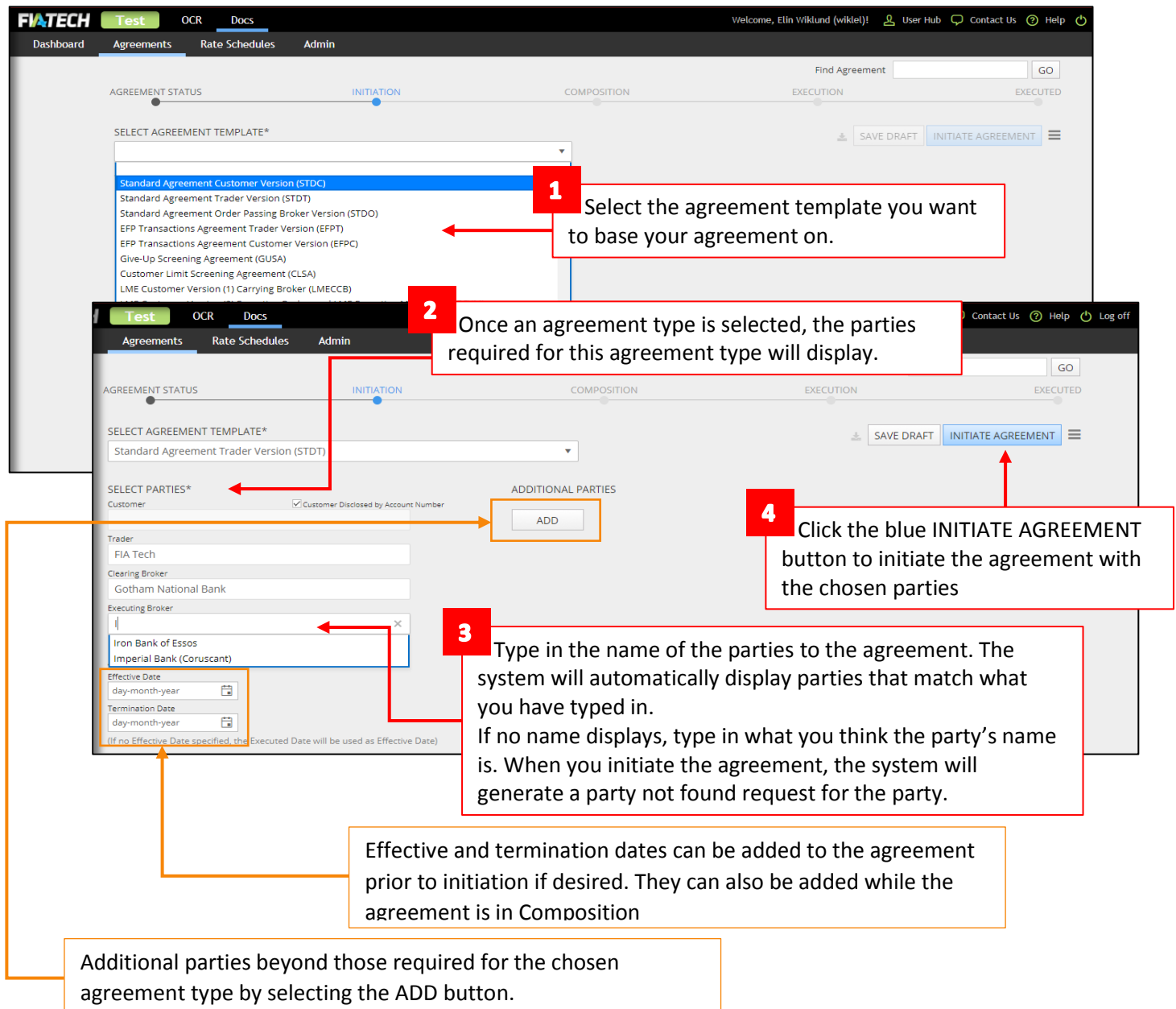
Need help with the system? Under **Contact Us** you will find email and phone information to contact FIA Tech. The **Help** button allows you to email FIA Tech directly from inside the application

This is the Docs navigation bar. Depending on your permissions, some of the menus or options under them may not be available to you.
The **Dashboard** is your landing page. Here you can see a list of agreements you need to action.
Under **Agreements** you can access the pages to *Initiate Agreement*, *Search Agreements* and *Upload Agreement*.
In **Rate Schedules** you can *Download eModule* to get a blank copy of the eModule with all the latest product reference data. This is also where you go to access your party's (or parties) *Rate Schedule Library*.

5. Initiate Agreement

In the Navigation bar under Agreements, users with permission to initiate agreements will see an *Initiate Agreement* option. When selected, it allows users to initiate Standard, LME, EFP, and GUSA agreements.

Please note, if you are a customer or trader party that uses the system free of charge, you are not able to initiate agreements.



The screenshot shows the 'Initiate Agreement' workflow in the FIATECH system. The workflow progress bar at the top indicates the current stage is 'INITIATION'. The main form includes a 'SELECT AGREEMENT TEMPLATE*' dropdown, a 'SELECT PARTIES*' section with 'Customer' and 'Executing Broker' fields, and an 'ADDITIONAL PARTIES' section with an 'ADD' button. The 'Effective Date' and 'Termination Date' fields are also visible. The 'INITIATE AGREEMENT' button is highlighted in blue.

- 1** Select the agreement template you want to base your agreement on.
- 2** Once an agreement type is selected, the parties required for this agreement type will display.
- 3** Type in the name of the parties to the agreement. The system will automatically display parties that match what you have typed in. If no name displays, type in what you think the party's name is. When you initiate the agreement, the system will generate a party not found request for the party.
- 4** Click the blue INITIATE AGREEMENT button to initiate the agreement with the chosen parties

Additional parties beyond those required for the chosen agreement type by selecting the ADD button.


Effective and termination dates can be added to the agreement prior to initiation if desired. They can also be added while the agreement is in Composition

Upon clicking on INITIATE AGREEMENT, Docs will validate that all parties on the agreement exist in the system and that the brokers all appear on the approved broker list of the chosen customer/traders.

If any party to the agreement cannot be found in the system, the application will prompt you to initiate a party not found request.

ADDITIONAL PARTIES

by Account Number




A **Clearing Broker** party with name **Gringotts Wizarding Bnak** could not be found in the system.
To submit a party not found request, please select "Initiate Agreement".

If the request is for a customer or trader party that is using Docs to sign agreements, their administrator will receive a card in the Dashboard requesting that all brokers to the agreement be added into the Approved Broker List. The admin can approve or reject the request by selecting the appropriate action on the card.

AGREEMENT Agreement ID 10117

VISIBILITY REQUESTED FOR

Executing Broker - Gotham National Bank



While the visibility request is pending the agreement will be in a Pending Initiation status. Once the request has been approved, the agreement will move to Composition

6. Composition

The Composition phase is when the bulk of the agreement is put together. This is when modifications are made to the agreement text, rates are added and clearing accounts defined. Throughout the Composition phase, the status of the agreement can be monitored through the party matrix. At any point in time, you can also see the overall status of the agreement in the Agreement Status bar at the top of the agreement view.

The Agreement Status tracker shows where in the agreement life cycle an agreement is.

Test OCR Docs

Agreements Rate Schedules Admin

Find Agreement GO

AGREEMENT STATUS INITIATION COMPOSITION EXECUTION EXECUTED

AGREEMENT ID 10579

PARTIES	LEGAL	RATES	CLR	EXEC
Customer Disclosed by Account				
Trader FIA Tech	●	●	●	●
Clearing Broker Iron Bank of Essos	●	●	●	●
Executing Broker Gringotts Wizarding Bank	●	●	●	●

Initiated On: 05-Oct-2017 06:21:16 Elin Wiklund
Last Modified On: 05-Oct-2017 06:21:16 Elin Wiklund
Effective Date:
Termination Date:

You can quickly navigate to another agreement by entering the agreement ID into the search field.

The Party Matrix shows what workstreams have been approved by each party to the agreement. Once a party approves a workstream, their blue dot is replaced by a green checkmark.

In addition to the status tracker, the agreement screen contains all the additional agreement information. The main agreement content is contained within the individual workstreams that can be expanded to review their content. Users with permissions to edit data in the individual workstreams can also edit them.

Agreement ID and agreement download icon. Click on the download icon to generate a PDF version of the agreement.

The dates when the agreement was initiated and last modified as well as by whom display above the effective and termination dates. A new effective date can be defined by any party before the workstreams are approved.

Click on the arrow to expand the workstream and view the detailed information

Once a workstream is ready for approval, the Reject and Approve buttons become active. All parties have to approve each workstream in order to move the agreement to Execution.

The status displayed for the workstream applies only to your party. For a newly initiated agreement all workstreams are Pending Composition, i.e. data needs to be added to complete them.

Users with permission to edit a workstream can click on the pen to open up each workstream into Edit mode

Any comment added to the agreement displays in the comments tab, while all actions are logged in the History section showing who made what changes, and when.

AGREEMENT STATUS	INITIATION	COMPOSITION	EXECUTION	EXECUTED	
AGREEMENT ID 10579	PARTIES Customer Disclosed by Account Trader FIA Tech Clearing Broker Iron Bank of Essos Executing Broker Gringotts Wizarding Bank	LEGAL Pending	RATES Pending	CLR Pending	EXEC Pending

Initiated On: 05-Oct-2017 06:21:16 Elin Wiklund
Last Modified On: 05-Oct-2017 06:21:16 Elin Wiklund
Effective Date: day-month-year
Termination Date: day-month-year

0 of 18 paragraphs modified from original legal terms

COMMENTS HISTORY
Add Comment
There are no comments on this agreement

In the **LEGAL LANGUAGE** workstream you will find the legal terms specific to the agreement type selected in the Initiation phase, as well as the agreement jurisdiction and space to upload supplemental documentation in PDF format.

The **RATES** workstream contains the agreement billing information, rate schedules and executing accounts.

CLEARING ACCOUNTS is the last workstream. It contains only the agreement clearing accounts.

In the **LEGAL LANGUAGE** workstream, the only information that has to be added is the jurisdiction. Modifying the legal language and adding supplemental documentation are not required in order to complete all required data.

1 When you start typing in a jurisdiction, the system will display a list of suggested localities. You can either choose one of the suggested jurisdictions, or enter your own.

2 Once all required data has been entered, the Send for Approval button will become active. If you have made all necessary edits to this workstream, click the Send for Approval button in order to indicate to all parties that the workstream is completed and ready for approval.

The screenshot displays the 'LEGAL LANGUAGE' workstream interface. At the top, there are buttons for 'Save & Close', 'Discard & Close', and 'Send for Approval'. The 'ADD JURISDICTION' section shows a text input field with a dropdown menu of suggested jurisdictions: New York, NY; New South Wales, Australia; New Zealand; and New York, NY. The 'LEGAL TERMS' section shows a list of paragraphs. Paragraph 1 is highlighted in yellow, indicating a modification. The right-hand side of the screen shows the original text for comparison. A callout box indicates that the system tracks the number of paragraphs modified, and the total number increases when a new paragraph is added. Another callout box explains that in order to modify the text of a paragraph, simply start editing the paragraph in question, and in view mode, added text will appear in bold, and deletions in strike through. A third callout box states that in order to help you track your modifications, the background of all modified sections displays in yellow. A fourth callout box notes that the original agreement text always appears on the right hand side of the screen in order to provide a comparison.

LEGAL LANGUAGE Edit

ADD JURISDICTION

This Agreement shall be exclusively governed by and constructed in accordance with the laws of **New York, NY** without regard to principles of choice of law.

LEGAL TERMS

Standard

Paragraph 1

All transactions executed orally, in writing or through an electronic order facility or cleared hereunder shall be subject to applicable laws, governmental, regulatory, self-regulatory, exchange or clearing house rules, regulations, interpretations, protocols and the customs and usages of the exchange or clearing house on which they are executed and cleared, as in force from time to time ("Applicable Law"). All disputes relating to transactions executed or cleared under this Agreement shall be governed by and settled pursuant to Applicable Law and shall be subject to the jurisdiction of the exchange (and, if applicable, its clearing house) upon which the dispute arises. The parties to this Agreement shall perform their respective obligations and exercise their respective rights under this Agreement (including, but not limited to, rejecting a Customer order, calling a Customer for margin or providing any notice specified herein) using commercially reasonable judgement, in a commercially reasonable manner under the circumstances, and consistent with Applicable Law.

Paragraph 2

Customer authorizes Executing Broker to execute orders for Customer as transmitted orally, in writing or through an electronic order facility by Trader to Executing Broker, or, as permitted by Applicable Law, directly to an exchange. Executing Broker reserves the right to reject an order that Trader may transmit to Executing Broker for execution and shall promptly notify Trader of any such rejection. Clearing Broker may, upon prior notice to Executing Broker and Trader, place limits or conditions on the positions it will accept for give-up for Customer's account. In the event this Agreement is executed on behalf of Customer by Trader, Trader hereby represents and warrants that Trader is expressly authorized by Customer to enter into this Agreement on Customer's behalf, and that this authorization will remain effective unless Customer or Trader provides prior written notice to Executing Broker and Clearing Broker.

Paragraph 3

Unless otherwise agreed in writing, each of the parties authorizes Executing Broker and Clearing Broker to use the services of one or more clearing firms in connection with their obligations under this Agreement. Executing Broker and Clearing Broker remain responsible for the performance (or failure of performance) of their respective clearing firms.

Paragraph 2 - Changed from Standard Template

Customer authorizes Executing Broker to execute orders for Customer as transmitted orally, in writing or through an electronic order facility by Trader to Executing Broker, or, as permitted by Applicable Law, directly to an exchange. Executing Broker reserves the right to reject an order that Trader may transmit to Executing Broker for execution and shall promptly notify Trader of any such rejection. Clearing Broker may, upon prior notice to Executing Broker and Trader, place limits or conditions on the positions it will accept for give-up for Customer's account. In the event this Agreement is executed on behalf of Customer by Trader, Trader hereby represents and warrants that Trader is expressly authorized by Customer to enter into this Agreement on Customer's behalf, and that this authorization will remain effective unless Customer or Trader provides prior written notice to Executing Broker and Clearing Broker. All wizards must show a diploma from one of the recognized wizarding schools, preferably Hogwarts.

Paragraph 3

Unless otherwise agreed in writing, each of the parties authorizes Executing Broker and Clearing Broker to use the services of one or more clearing firms in connection with their obligations under this Agreement. Executing Broker and Clearing Broker remain responsible for the performance (or failure of performance) of their respective clearing firms.

The system tracks the number of paragraphs modified. If you add a paragraph to the end, the total number increases.

In order to modify the text of a paragraph, simply start editing the paragraph in question. In view mode, added text will appear in bold, and deletions in strike through.

In order to help you track your modifications, the background of all modified sections displays in yellow.

The original agreement text always appears on the right hand side of the screen in order to provide a comparison.

The **RATES** workstream requires that a Bill to Party be specified, rates are added, and the executing accounts are either defined, or registered as “TBA” before it is ready to be approved by all parties.

The system defaults the Bill To Party to the Clearing Broker on the agreement. However, any party other than the Executing Broker to the agreement can be designated as the Bill To Party.

Similar to the Legal Language workstream, once a rate schedule has been attached and executing accounts defined, the Send for Approval button is activated. Selecting it will send the workstream to be approved by all parties.

LEGAL LANGUAGE Pending Approval 5 of 18 paragraphs modified from original legal terms

RATE SCHEDULE Edit Save & Close Discard & Close Send for Approval

BILLING

Executing Broker will, where applicable, bill commissions as specified on the attached rate schedule(s), per contract per half turn to the following:

Bill to Party Clearing Broker – Gring
Profit Center Profit Center

ATTACH RATE SCHEDULE(S)

☐ Hide Rates

Rates Schedule File Last Modified Date Last Modified By
Fantastic eModule_v2.xlsm 26-Jul-2017 Elin Wiklund

Choose File Search Library

Download blank eModule

WAIVER

Apply for Waiver

EXECUTING ACCOUNTS

☐ TBA (select "TBA" if no executing accounts are available at this time)

Account ID	Description	Eff. Date	Exp. Date	Associated Rate Schedule
No Accounts Found				
Account ID	Description	Eff. Date	Exp. Date	Associated Rate Schedule
Account ID	Description	day-month-year	day-month-year	Any

Add New

CLEARING ACCOUNTS Pending

If necessary, the Executing Broker and Client to the agreement can choose to hide the rates on the agreement from all other parties.

Rate schedules may either be uploaded from an eModule template or selected from your party's library of rate schedules. Once attached to the agreement, the system will list the name of the rate schedule, when it was last modified and by whom.

If your rates cannot be electronically reflected, use the Waiver functionality to apply for a waiver from eRates and upload a .pdf rate card.

If available, Executing Accounts can be added to the agreement in this section and associated to rate schedules. If no executing accounts are available, the TBA checkbox should indicate that they will be announced at a later date.

1 Docs records into all clearing accounts between a Clearing Broker and Customer or Trader into a central repository. When you edit the Clearing Accounts workstream, the system will display any clearing accounts previously used between the Clearing Broker and Customer/Trader on other agreements so they can easily be reused on this agreement. Simply click on the account number to add it to the agreement, or if you want to add all, select the Add All button.

2 If the clearing account you want to add does not yet exist in the central repository, use this section to add it both to the database and the agreement.

3 Any account added to the agreement displays on the right hand side. You can add in a description, effective and expiration dates for any account added to the agreement. If the date fields are left blank, the accounts will take on the dates of the

4 Once at least one clearing account has been defined for the workstream, the Send for Approval button is activated. Selecting it will send the workstream to be approved by all parties.

The screenshot shows the 'CLEARING ACCOUNTS' workstream in 'Edit' mode. At the top, 'LEGAL LANGUAGE' and 'RATE SCHEDULE' are both 'Pending Approval'. The 'CLEARING ACCOUNTS' section has buttons for 'Save & Close', 'Discard & Close', and 'Send for Approval'. Below are two tables: 'Available Clearing Accounts' on the left and 'Agreement Accounts' on the right. The 'Available Clearing Accounts' table lists accounts with IDs like 86786899, 9-82479jop, 2364345, 32643f34f, and 24643ge. The 'Agreement Accounts' table shows accounts added to the current agreement, including 9-82479jop, 2364345, and 32643f34f. At the bottom, there is a form to add new accounts with fields for 'Account ID', 'Description', 'Eff. Date', and 'Exp. Date', and an 'Add New' button.

Once Agreement details have been composed across all three workstreams, they must be Approved by all parties to the agreement in order to move it to Execution. Users with permission to approve a workstream will see a card to Approve Legal/Rates/Clearing in their Dashboard once a workstream is ready to be approved.

The screenshot displays a workstream approval interface. At the top, it identifies the 'Executing Broker' as 'Gringotts Wizarding Bank'. Below this, a table lists three workstreams: 'LEGAL LANGUAGE' (Pending Approval), 'RATE SCHEDULE' (Approved), and 'CLEARING ACCOUNTS' (Approved). To the right of these, a summary of changes is shown: '2 of 18 paragraphs modified from original legal terms', 'Rate Schedule: Fantastic eModule_v2.xlsm', and '3 Clearing account(s) defined'. Each summary item has a red 'X' (Reject), a green checkmark (Approve), and a pencil icon (Edit). A callout points to the 'Pencil' icon, stating: 'If additional data needs to be added, or information edited, select the pencil to make the modifications and restart the workstream approval process.' Another callout points to the 'Expand' arrow (right-pointing chevron) next to the summary, stating: 'A brief summary of the content of each workstream can be seen when they are in their collapsed view. To view the full content, click on the arrow to expand the view.' A third callout points to the 'Pending Approval' status, stating: 'The workstream specific status will update to show the status of each workstream for your party. To review the status of all parties to the agreement, refer to the party matrix at the top of the page.' A fourth callout points to the 'Approve' and 'Reject' buttons, stating: 'Users with permission to approve a workstream will see buttons to Approve, and Reject. If there is an issue with a workstream, and the approver needs to reject it, they can select the red X, enter a comment and the workstream will be placed into Rejected status. Once Rejected, the workstream needs to be sent to approval again in order to restart the approval process.'

Executing Broker
Gringotts Wizarding Bank

Workstream	Status	Summary	Actions
LEGAL LANGUAGE	Pending Approval	2 of 18 paragraphs modified from original legal terms	Reject (X), Approve (✓), Edit (Pencil), Expand (Chevron)
RATE SCHEDULE	Approved	Rate Schedule: Fantastic eModule_v2.xlsm	Reject (X), Approve (✓), Edit (Pencil), Expand (Chevron)
CLEARING ACCOUNTS	Approved	3 Clearing account(s) defined	Reject (X), Approve (✓), Edit (Pencil), Expand (Chevron)

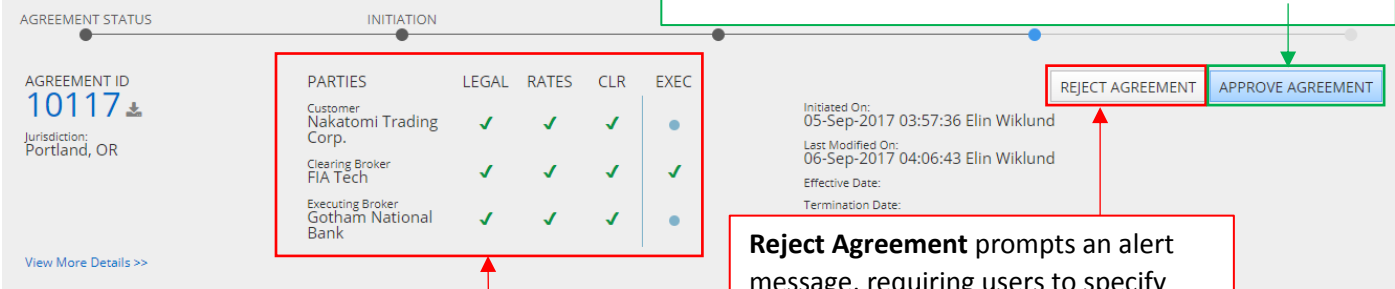
COMMENTS HISTORY

Elin Wiklund (ewiklund@fia.org)
at FIA Tech (Trader)
- 05-Oct-2017 06:34:04
Agreement change - Rate Schedule approved

7. Execution

Once all workstreams have been approved by all parties, the agreement moves to the Execution phase. All parties to the agreement have to approve it in order for the agreement to be fully executed in the system.


Approve Agreement will update the Party Action Matrix for your specific party to reflect that you have Executed the agreement.



PARTIES	LEGAL	RATES	CLR	EXEC
Customer Nakatomi Trading Corp.	✓	✓	✓	●
Clearing Broker FIA Tech	✓	✓	✓	✓
Executing Broker Gotham National Bank	✓	✓	✓	●

The Party Action Matrix shows all workstreams with green checkmarks, indicating approval, and both **Reject Agreement** and **Approve Agreement** buttons are now visible in the upper right

Reject Agreement prompts an alert message, requiring users to specify which workstream(s) are being rejected, as well as a reason for rejection. After specifying the workstream and comment, the workstream goes back to the Rejected status, and all prior approvals for the workstream are removed from the row.



REJECT AGREEMENT - Please indicate which workstream(s) are being rejected.

Upon rejection, all existing approvals on this work stream shall be re-staged for composition.

Workstream ☒ Legal
☐ Rates Schedule
☐ Clearing

Comment:

If you have permissions to edit a workstream, you will still see the pencil to do so. If you need to make changes to any section, simply select the pen to make them. This will prompt the following message noting that all existing approvals will be removed if any edits are made at this stage. Selecting Cancel will result in no changes being made to the agreement, and previous Approvals will remain.

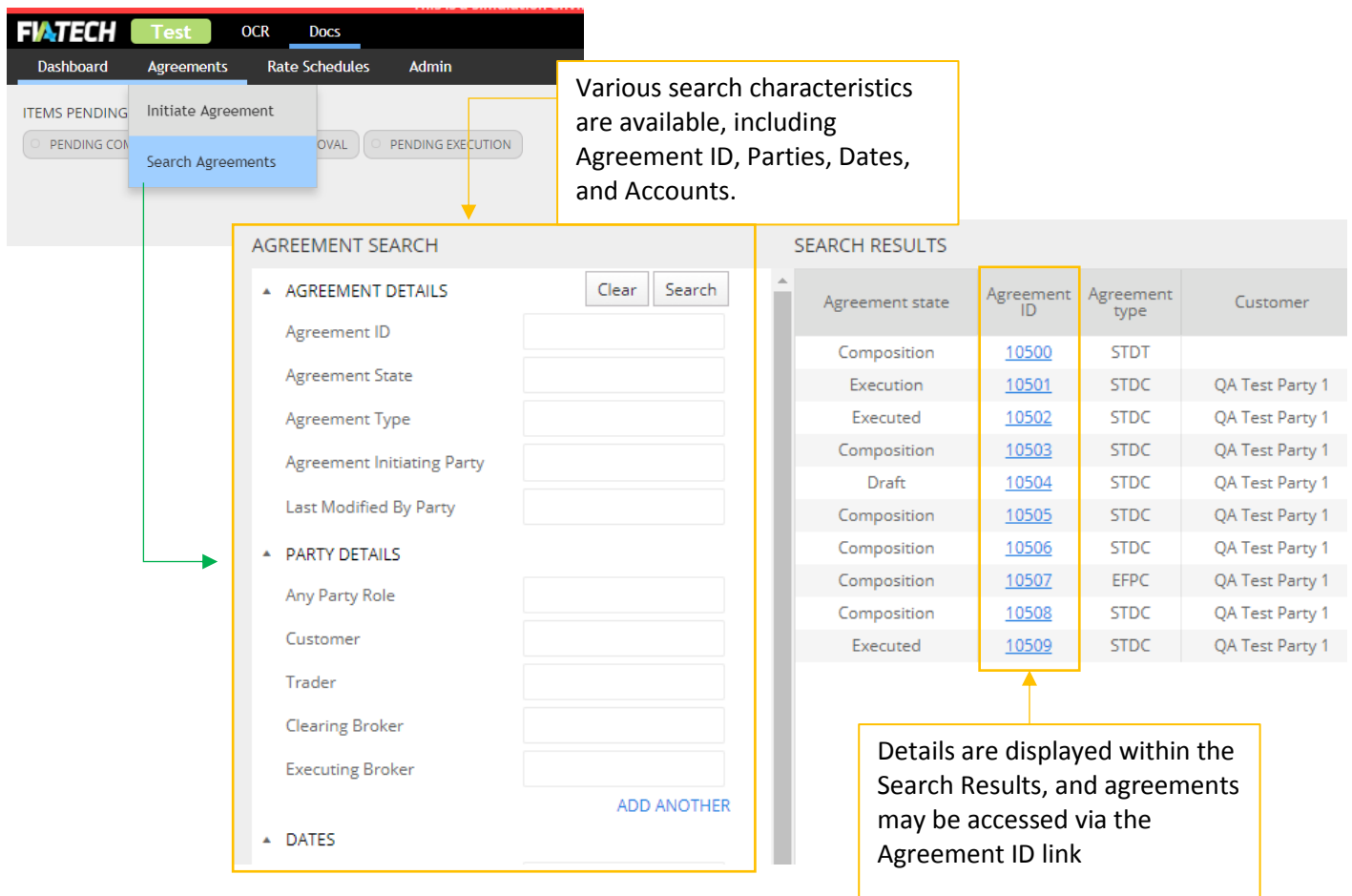
You are attempting to edit an approved work stream. Edits made to this work stream may cause any existing approvals to be lost.
Are you sure you want to edit this work stream?

Cancel
Edit

8. Agreement Search

The **Agreement Search** view may be accessed through Agreements > Search Agreements. You can use this screen to search for agreements using the various filters. If you click “Search” without entering any parameters, Docs will display all agreements you have permission to view on the system.

The search results can be exported by selecting “Export to CSV” in the top right hand corner of the screen.



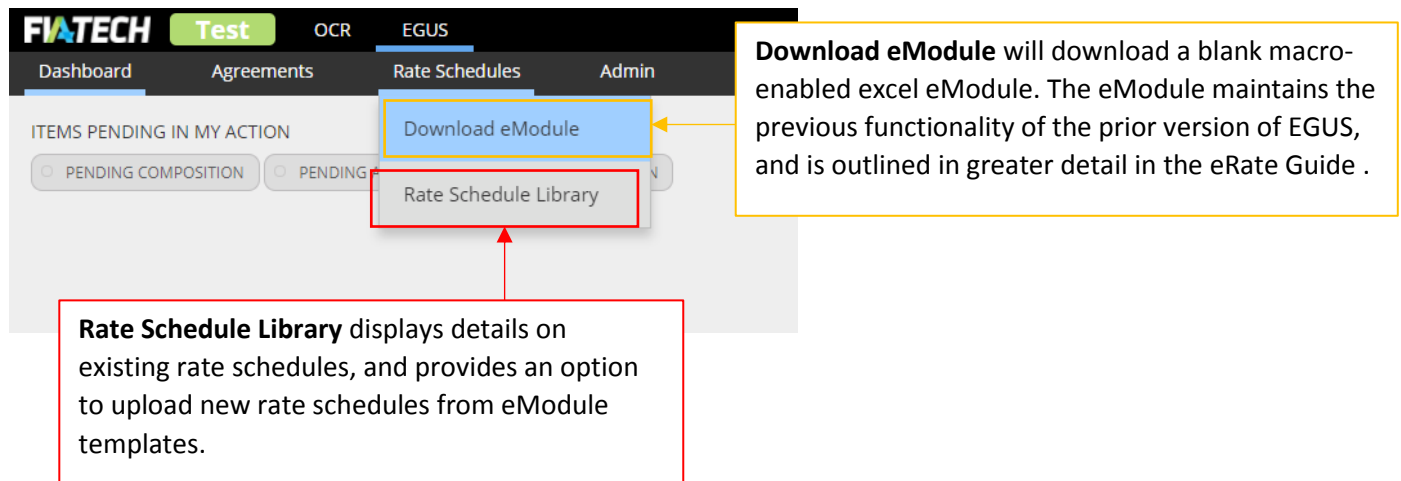
Various search characteristics are available, including Agreement ID, Parties, Dates, and Accounts.

Details are displayed within the Search Results, and agreements may be accessed via the Agreement ID link

Agreement state	Agreement ID	Agreement type	Customer
Composition	10500	STDT	
Execution	10501	STDC	QA Test Party 1
Executed	10502	STDC	QA Test Party 1
Composition	10503	STDC	QA Test Party 1
Draft	10504	STDC	QA Test Party 1
Composition	10505	STDC	QA Test Party 1
Composition	10506	STDC	QA Test Party 1
Composition	10507	EFPC	QA Test Party 1
Composition	10508	STDC	QA Test Party 1
Executed	10509	STDC	QA Test Party 1

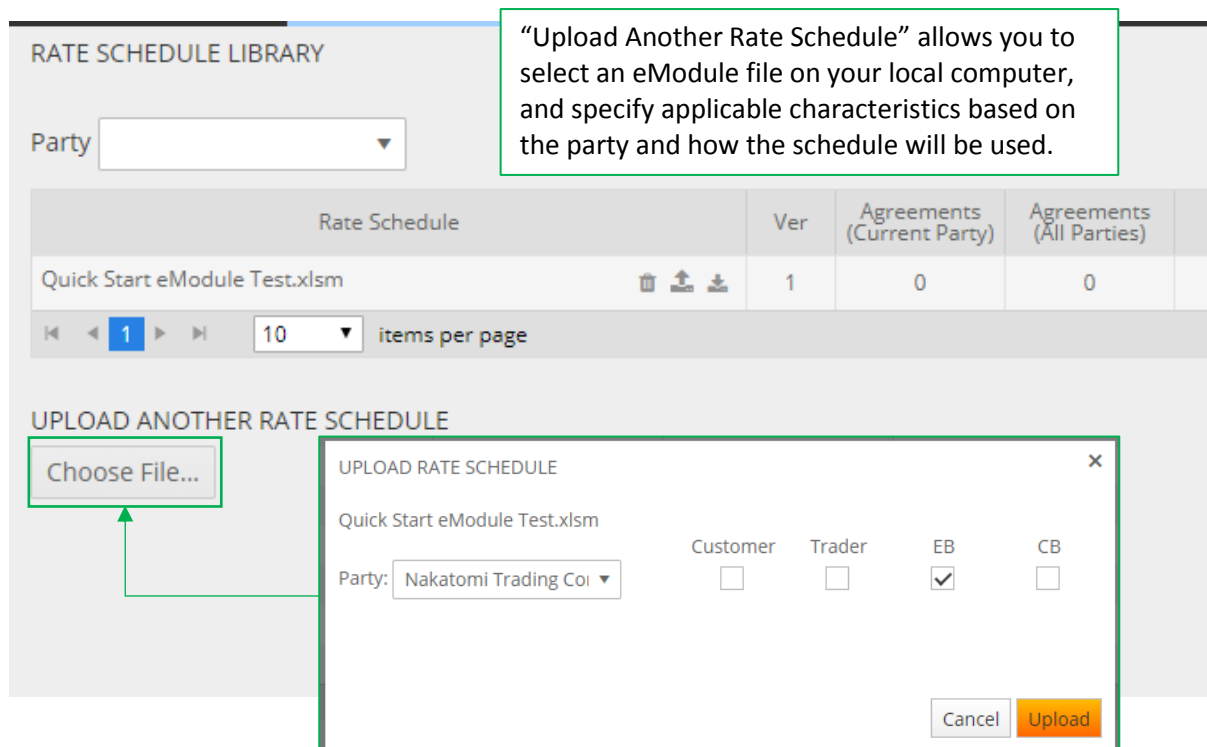
9. Rate Schedules

Rate Schedules may be managed through both the existing schedule library, consisting of previously uploaded rate schedules, and new schedules loaded through the eModule. Both may be accessed through the Rate Schedule dropdown as shown below.



Download eModule will download a blank macro-enabled excel eModule. The eModule maintains the previous functionality of the prior version of EGUS, and is outlined in greater detail in the eRate Guide .

Rate Schedule Library displays details on existing rate schedules, and provides an option to upload new rate schedules from eModule templates.



RATE SCHEDULE LIBRARY

Party

Rate Schedule	Ver	Agreements (Current Party)	Agreements (All Parties)
Quick Start eModule Test.xlsm	1	0	0

10 items per page

UPLOAD ANOTHER RATE SCHEDULE

Choose File...

UPLOAD RATE SCHEDULE

Quick Start eModule Test.xlsm

Party: Nakatomi Trading Coi

Customer ☐ Trader ☐ EB ☒ CB ☐

Cancel Upload

“Upload Another Rate Schedule” allows you to select an eModule file on your local computer, and specify applicable characteristics based on the party and how the schedule will be used.