

PRODUCT NAME: WebTRT-RN, Version: 1.6

Overview

High Performance web-based system for monitoring and reporting on FSA reporting compliance at both the static data and transaction level.

This version is specifically designed for use by Rolfe&Nolan/ION clients, providing low effort setup and configuration.

The Transaction Reporting Tool was developed to perform a level of validation/checks on Static Data used for Transaction Reporting prior to the distribution of the daily Reports submitted to the FSA via your chosen ARM.

The system utilises data from the user's core operating system (RANSys) and matches/validates internal system records against external Exchange/ Data providers information before distributing details of any anomalies in a series of control reports.

Users are required to source Aii/ISIN data from an established Data Provider or collect direct from each Exchange. (Please contact Brendata if you require information on existing External Data Providers.)

The tool contains scheduling functionality to fully automate the running and distribution of reports.

There are operational alerts available in addition to a full audit record of system changes.

Operational alerts may go to any number of recipients, set on a per schedule entry basis.

File Delivery Options

The system is capable of retrieving its input data from a number of sources:-

* Outbound FTP, the system will initiate an FTP connection with another server and retrieve all the required files.

* Inbound FTP, files may be dropped onto the TRT FTP directory and will be processed.

* Inbound email submission, files may be emailed to the TRT email address and the attached files will be processed by the system.

Supported Data Providers/Exchanges

The system currently supports the following input formats:-

- * FoW TradeData
- * All
- * EDX (via supplied API)
- * RANSys ION
- * Others on request

File Encapsulation

The system can support raw files and also files encapsulated in zip files.

Scheduler

The system includes an inbuilt scheduler which allows hands free operation with email notifications, a calendar is provided for automatic skipping of non trading dates.

The scheduler handles the following operations with user defined retries and intervals:-

- * File upload and import
- * Report generation and notification
- * Database backups

Correctly permissioned users may also run schedules on demand and backdate the runs to re-run prior days.

Reports

The following reports are provided:-

- ISIN Reportable Markets;
- * Missing ISIN report
 - * Incorrect ISIN Instrument Static
 - * Incorrect ISIN's

- Aii Reportable Markets;
- * Aii Static Report

- RANSys Data vs FSATRAN validation
- * FSA Transaction Match

- RANSys Submission Data vs FSA SABRE Validation
- * SABRE vs FSA Submission

The system holds a user defined number of prior reports, additionally, scheduled runs may be configured to automatically send any combination of reports in either CSV or PDF format as email attachments.

Multi Lingual

The system supports multiple languages, this support extends to control labels, column names and error messages.

The language may be selected at login or changed at any point during a session.

Additional languages may be added by customer request.

Data Export

A wide range of export options are provided as standard:-

- * Excel
- * Word
- * CSV
- * PDF
- * XML

Self Service Software

- * Users may self register with security controlled by allowed domains, default user types and optional administrator group approval.
- * Users may retrieve lost passwords via email.
- * Users can change their password and maintain their profile details.

Security

The system enforces password security at all levels.

System administrators can also choose a password policy (minimum length, required character classes etc).

The system maintains a full audit trail of all operations including edits, new records and record deletions, the audit trail may be examined from the application and provides details down to field contents before and after edits.

The system maintains an event log showing when schedules were run, by whom and the outcome.

The retention period for the audit and event logs is set by the client.

KPI Performance Metrics

The system maintains performance metrics detailing elapsed times, run results.

The KPI metrics are available as both raw data that may also be optionally exported, or viewed as graphs using the inbuilt graphics engine for easy visualisation.

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System Maintenance

The system performs its own automated housekeeping and as such normally requires no administrative maintenance.

This includes trimming audit records (controlled by a system parameter), trimming event log entries (again controlled by a system parameter), purging of historic report runs (according to the system setting), database monitoring and clean-ups.

Programming API

A documented API is provided to allow for non-standard operations to be coded by end users or system administrators.

This provides access to the underlying raw data, a number of string matching and manipulation functions, mapping, rejection, event logging, email generation and other functionality.

Events are provided at the start and end of each schedule, at the start and end of each file within a schedule and prior to each record being committed to the database.

User defined reports and charts

The system has an inbuilt report engine and report designer allowing the user to define both reports and graphical charts.

These may then be viewed, exported or printed as required.

Hosted Service - Run on our servers

TRT is available as a fully hosted service, this includes full database backup, archiving and restore, database support, network support and underlying operating system support.

The hosted service is recommended for initial setup and testing prior to migrating to an in-house system if required.

The hosted option can also be used to provide disaster recovery services if required.

Non-Hosted Service - Run on your servers

For customers not wishing to use the hosted service, the system is available to run in-house on their servers.

The non-hosted service is delivered as a preconfigured virtual machine image built, tested and ready to load on the client's servers.

Support

Brendata provides second level support via web portal, email and telephone.

Software support provides program level support, patches, workarounds and new versions of the software.

Unless you are running on our hosted service it does not provide support for the underlying database, network or operating system.

In the event of an error, the system will generate an error report and email this to nominated support accounts, this will normally include the Brendata automated helpdesk but the customer may disable this if required.

The error reports include a full dump of the system status along with backtraces and various other pertinent information, this is usually sufficient to resolve the issue without any further customer input.

Support contracts may be tailored to individual customer requirements.

System Limits

The system will deal with unlimited schedules, formats and filesizes, with the real limitation being the amount of available disk space dedicated to the database and temporary file storage space.

Documentation Provided

The following documentation is delivered as part of the system:-

- * Getting started guide
- * User Guide
- * Installation Guide
- * System Administrators Guide
- * Troubleshooting
- * API Reference
- * Language Translators Guide

Pricing

WebTRT is available with 1,2 or 3 year licenses incorporating unlimited exchanges and lines.

A banded version is also available with pricing based upon the number of exchanges and/or the number of lines.

Support 20% of license price.

Hosted service is priced per calendar month with a minimum 3 month commitment.

Trial

Brendata offer a 3 month trial which includes hosting, setup, backup and support.

At the end of this 3 month period you may either remain on the hosted service, or transition to in-house servers.

In either case the data migration is included.

At the end of the trial the cost is available as a rebate against the chosen license option (50% rebate for a 1 year license, 75% rebate against a 2 year license and 100% rebate against a 3 year license).

£11,500

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