

# FundSuiteArc Version 1.7.0 Release Notes

ArcFiling 1.7.0

## Table of Contents

<b>Release Notes Preface</b> .....	<b>1</b>
<b>Enhancements Requiring Immediate User Action</b> .....	<b>2</b>
<b>Enhancements Requiring User Decisions</b> .....	<b>3</b>
<b>Enhancements Common to Multiple Products</b> .....	<b>4</b>
1) Portfolio statement template import/copy - Phase 2 .....	5
2) Tabular data cell merging .....	10
3) Support for additional image types .....	13
4) Holdings load enhancements .....	15
5) Ability to automatically accept/reject Holdings push-button data imports .....	19
6) Ability to turn footing logic on/off for portfolio statement template "Percent of Net Assets" field .....	21
<b>Enhancements to ArcFiling</b> .....	<b>22</b>
1) Ability to specify text appended to security captions when "Coupon" and "Yield" are zero .....	23
2) Ability to automatically accept/reject Repo Collateral Information push-button data imports .....	25
3) Dataload Status dashboard .....	27
4) Submission Status dashboard .....	31
<b>Closed Defects</b> .....	<b>34</b>

# Release Notes Preface

Release notes provide functional and technical details. This document describes how each enhancement functions within the context of the greater business process. This added level of detail should enable project teams to answer the following questions:

- Why was the change made?
- What out-of-the-box functionality will change?
- How will these changes affect the organization?

# Enhancements Requiring Immediate User Action

For clients utilizing automated FTP dataload functionality, the following format for the ACCOUNTPERIODEND column is no longer accepted by FundSuiteArc.

- *2012-07-06 00:00:00*

Clients should verify that data source files used in FTP dataload operations do not contain a timestamp as part of this column's values prior to upgrade to version 1.7.0.

# Enhancements Requiring User Decisions

1. As part of the FundSuiteArc 1.7.0 release, all client databases will be upgraded to the corresponding version of the holdings load (See "Ability to automatically accept/reject Holdings push-button data imports" on page 19).

**Please Note:**

The holdings load associated with version 1.7.0 of FundSuiteArc supports all existing FTP and Excel import file structures currently used by clients. Although we do not anticipate any issues, we urge clients to test the 1.7.0 holdings load during the user acceptance testing period and to report any issues encountered.

2. Changes to CURRENCY CODE functionality will delete all existing Security/Investment Master currency code values.

**Please Note:**

Prior to the FundSuiteArc 1.7.0 release, currency code information was stored at the Security/Investment Master level. Currency codes are now stored individually for each holding occurrence (*e.g.*, ACCOUNT PERIOD, FUND, MASTER IDENTIFIER, BALANCE INSTANCE). Therefore, all currency code information currently stored in the system will be deleted. In addition, the CURRENCY CODE field is no longer required within import files used for the Holdings automated FTP dataload or push-button data import.

# Enhancements Common to Multiple Products

## 1) Portfolio statement template import/copy - Phase 2

### Overview

The portfolio statement template copy feature allows clients to use the same portfolio structure template for multiple complexes within the same database without having to manually re-create the portfolio structure.

### What's New

The portfolio statement template functionality was enhanced to allow a template to be copied from one complex to another within an existing database.

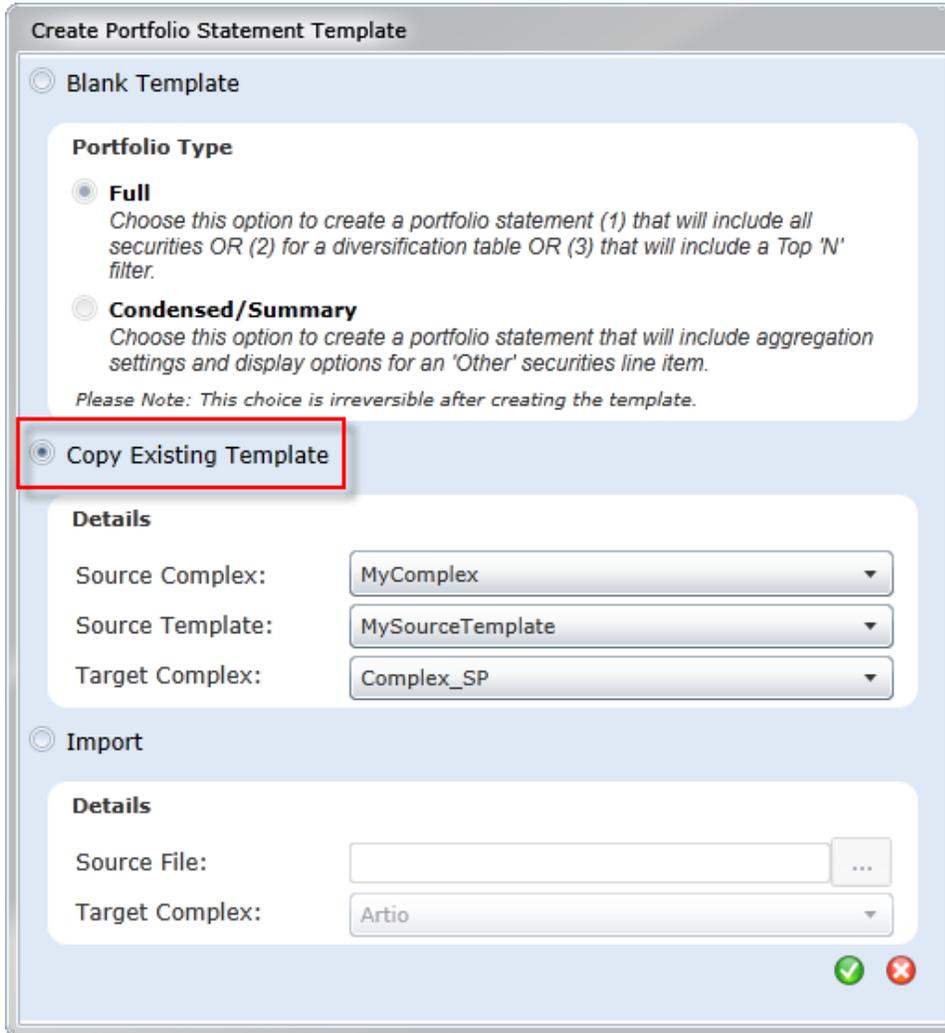
***Please Note:***

The copy feature can only be used within the same database; use the export/import functionality (see v1.6.0 Release Notes) if a template from another database is needed.

### Copying a Portfolio Statement Template

1. Open the **Portfolio Statement Templates** page.
2. Click the ADD button  at lower-right of the page.

The **Create Portfolio Statement Template** dialogue appears.



**Create Portfolio Statement Template**

Blank Template

**Portfolio Type**

**Full**  
 Choose this option to create a portfolio statement (1) that will include all securities OR (2) for a diversification table OR (3) that will include a Top 'N' filter.

**Condensed/Summary**  
 Choose this option to create a portfolio statement that will include aggregation settings and display options for an 'Other' securities line item.

*Please Note: This choice is irreversible after creating the template.*

**Copy Existing Template**

**Details**

Source Complex: MyComplex

Source Template: MySourceTemplate

Target Complex: Complex\_SP

Import

**Details**

Source File:  ...

Target Complex: Artio

3. Select the *Copy Existing Template* option.
4. In the SOURCE COMPLEX drop-down list, select the complex associated with the portfolio statement template to be copied.

**Please Note:**

Options in the drop-down list are limited to complexes to which the user has access rights.

5. In the SOURCE TEMPLATE drop-down list, select the template to be copied.

**Please Note:**

Options include all portfolio templates associated with the selected source complex and for the product being used (e.g., ArcFiling, ArcReporting).

- In the TARGET COMPLEX drop-down list, select the complex where the portfolio template is to be copied.

**Please Note:**

Options in the drop-down list are limited to complexes to which the user has access rights.

- Click the ACCEPT button  at lower-right of the dialogue.

**Additional Information**

When a portfolio statement template is copied, data from the source template is used to create a new statement template. The default naming convention for new templates created through the copy process is as follows: *Copy of <source template name>*, followed by *<date/time of template creation>*.

**Example:**

If the Equity Funds portfolio statement template were copied on May 11, 2012 at 11:31:20 a.m., the default template name would be *Copy of Equity Funds 5112012113120*. The portfolio statement template can be renamed manually at any time following its creation.

**Copy option scenarios and associated error messages**

- If the *Copy Existing Template* option is selected but a source complex cannot be selected due to lack of user access rights, FundSuiteArc returns the following message:

*"A valid 'Source Complex' must be specified in order to copy a statement template. Your manager or system administrator must assign one or more complexes to you via the 'Users' page."*

- If the *Copy Existing Template* option is selected but the selected SOURCE COMPLEX does not contain a portfolio statement template, FundSuiteArc returns the following message:

*"No statement templates exist for the selected 'Source Complex'. Please select another source complex and template to copy."*

When a portfolio statement template is copied, FundSuiteArc performs validation logic against certain information in the source template and responds as indicated:

- Category Library
  - If a category exception exists in the source template, a category library is added to the Category Libraries library for the target complex.
    - The CATEGORY LIBRARY NAME in the target complex becomes the source complex library's category code, followed by a time/date stamp.
    - The default category library DESCRIPTION value will be *Auto generated during import*, indicating how the record was created.

**Example:**

The category exception, SECURITY TYPE, with a category library code of *GI-2-2* was imported with a time stamp.

Category Libraries				
Listing				
	Complex	Category Type	Library Name	Description
	MyComplex	Security Type	ST 5112012 126437	Auto-generated during import
	MyComplex	GICS Industry	GI-2-2 5112012 12	Auto-generated during import
	MyComplex	Security Investmen	IT-2-2 5112012 126	Auto-generated during import

- If the target and source complexes both have the same category type, users can assign the existing category library from the **Fund Report Settings** page.

**Please Note:**

When the target complex's associated category library includes added categories, users may need to assign the existing category library.

- Languages
  - Languages contained in the source complex are copied to the target complex.
- Column Header
  - Column header values specified in the source template for the default category type and for each category exception in the template structure are copied to the new template in the destination database.
- Total Investments
  - All options specified on the SETTINGS tab for the source template are copied to the new template.
- Other Net Assets
  - Options specified on the SETTINGS tab for the source template are copied to the new template.

**Please Note:**

If the *Pull value from financial workbook* option is selected, the workbook and its associated item's value will not carry over; the workbook must be manually specified.

- Net Assets
  - Options specified on the SETTINGS tab for the source template are copied to the new template.

**Please Note:**

If the *Pull value from financial workbook* option is selected, the workbook and its associated item's value will not carry over; the workbook must be manually specified.

- Legend
  - Except for legend exclusions, all legend settings specified in the source template are copied to the new template.
- Text
  - Text items specified in the source template are copied to the new template.
- Formulas
  - Formulas specified in the source template are copied to the new template.
- Sorting
  - Sorting specified in the source template is copied to the new template.
- Calculations
  - Calculations and related settings specified in the source template are copied to the new template.
- Filter
  - Filter inclusions and exclusions specified in the source template are copied to the new template.
- Aggregate
  - Aggregate levels and associated footnote inclusions/exclusions specified in the source template are copied to the new template.

- Output Settings
  - Multiple language option settings specified in the source template are copied to the new template.
  - All row mappings specified in the source template are copied to the new template.
  - All number format settings specified in the source template are copied to the new template.
  - All suppression settings specified in the source template are copied to the new template.

### **Process Changes**

No changes to current processes are required.

## 2) Tabular data cell merging

### Overview

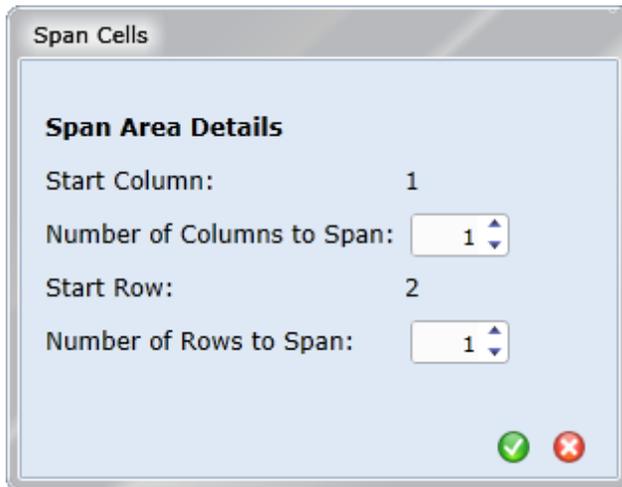
Shareholder reports contain tables that require cell merging functionality (spanning). A user may need to combine two or more rows/columns into a single row/column. Typically, this functionality is used to merge top row columns to create a table header that spans all columns within a table.

### What's New

Functionality was added to the **Tabular Data Template Output Settings** page to enable users to vertically and horizontally span cells in a table. Enhancements were also made to project XML output to communicate the presence of merged cells to the document rendering engine.

New buttons were added to the **Tabular Data Template Output Settings** page to allow the merging of cells or the removal of merged cells. These buttons resemble those used for similar functionality in Microsoft Word.

- SPAN CELLS button 
  - This button is enabled when any cell in the grid is selected.
  - Clicking the button causes the **Span Cells** pop-up dialogue to appear.



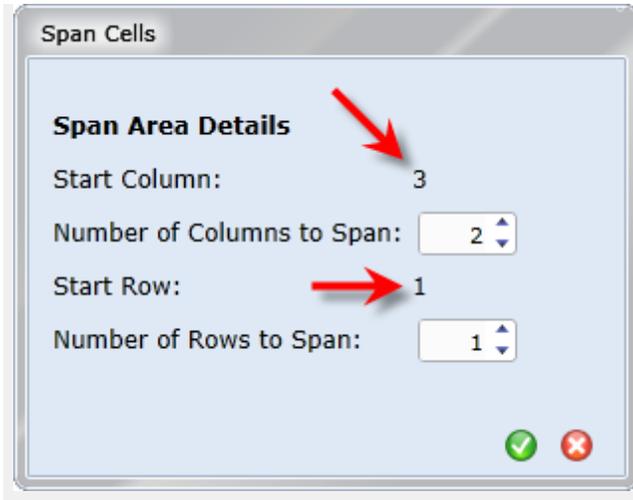
- The default values for the NUMBER OF COLUMNS TO SPAN and the NUMBER OF ROWS TO SPAN columns are as follows:
  - When creating a new span area, FundSuiteArc identifies the column/row selected by the user and both the NUMBER OF COLUMNS TO SPAN and NUMBER OF ROWS TO SPAN values default to 1.
  - When editing an existing span area, FundSuiteArc identifies the column/row selected by the user and both the NUMBER OF COLUMNS TO SPAN and the NUMBER OF ROWS TO SPAN values default to the existing span area settings.

#### Example:

A user creates a table that contains a span area that begins on row 1 and covers columns 3 and 4.

	Row Type	Column 1	Column 2	Column 3	Column 4	Column 5
Row 1	(none)			Gross Unrealized		
Row 2	(none)		Identified Tax Cost	Appreciation	Depreciation	Net Unrealized Appr

To edit the span, the user clicks the SPAN CELLS button, and the pop-up dialogue displays the existing span settings.

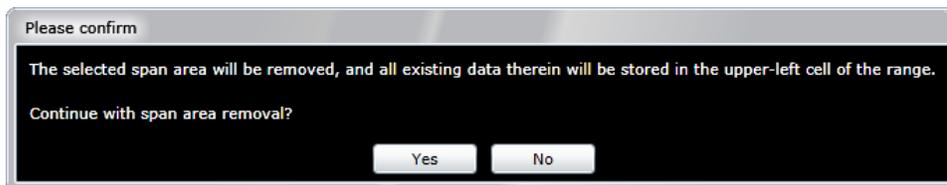


- The minimum possible value for NUMBER OF COLUMNS TO SPAN is 1.
- The maximum possible value for NUMBER OF COLUMNS TO SPAN is limited to the number of columns between the currently-selected cell and the last column in the grid, plus 1 (this prevents the span area from going beyond the allotted columns in the grid).

**Example:**

The current grid contains 5 columns. The span functionality starts with column 3. Since the span cannot exceed column 5, the user can only set 3 as the number of columns to span. The span in this instance would cover column 3, column 4 and column 5.

- REMOVE SPAN button 
  - This button is enabled when a span area is selected in the grid.
  - When the button is clicked, a confirmation message displays, alerting the user that the span area will be removed if s/he continues.



**Additional Information**

- Multiple span areas may exist within a table, but span areas cannot overlap.
  - If a user attempts to create a span area that overlaps another span area, a message alerts the user that s/he cannot do so.



- All row and column positioning buttons are disabled when at least one span area exists in a given table.
  - Move row up ▲
  - Move row down ▼

- Move column left ◀
- Move column right ▶
- Removing a span area does not remove the text contained within the merged cells; the content remains in the upper-left cell of the area that was previously merged.

### **Process Changes**

No changes to current processes are required.

## 3) Support for additional image types

### Overview

Shareholder reports contain various types of images, and FundSuiteArc must support all image types currently used by the client base. Compression and color needs dictate the use of different image types. For example, photographs typically utilize the *JPG/JPEG* format because it is the standard method of compressing photographic images.

### What's New

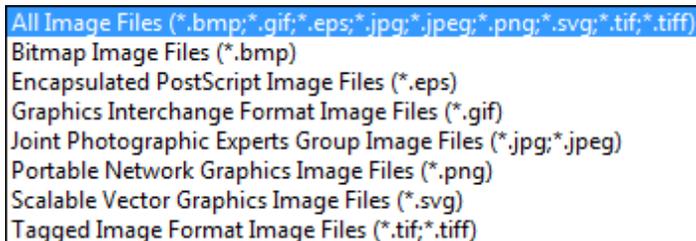
Prior to this release, FundSuiteArc supported image files of only *PNG*, *JPG* or *JPEG* formats. The application now supports all of the following image types:

- Bitmap Image Files (\*.bmp)
- Encapsulated PostScript Image Files (\*.eps)
- Graphics Interchange Format Image Files (\*.gif)
- Joint Photographic Experts Group Image Files (\*.jpg;\*.jpeg)
- Portable Network Graphics Image Files (\*.png)
- Scalable Vector Graphics Image Files (\*.svg)
- Tagged Image Format Image Files (\*.tif;\*.tiff)

The image upload process remains the same as in previous versions of FundSuiteArc, with the addition of functionality to filter by and choose the appropriate image type.

The following steps outline the image upload process:

1. Select the *Image Libraries* item from the **Libraries** menu in the ADMINISTRATION area of the application.
2. Select the desired library from the LISTING pane at the left of the page.  
Existing images in the selected library are listed in the IMAGE LIBRARY ITEMS section.
3. Use the ACCOUNT PERIOD drop-down list in the IMAGE LIBRARY ITEMS section to specify the account period with which the image will be associated.
4. Select the existing image record from the grid at left of the IMAGE LIBRARY ITEMS section, or create a new record.
5. Click the UPLOAD IMAGE button.  
The file **Open** pop-up dialogue appears.
6. To filter available images by image type, use the FILES OF TYPE drop-down list.



**Please Note:**

The default filter selection is *All Image Files*.

7. Browse your local or network drive to locate and select the appropriate image for upload, then click the OPEN button on the dialogue.

8. The library preview pane displays the selected image if the image type is *PNG*, *JPG* or *JPEG*. If the selected image is any other supported type, an *"Image Preview Unavailable"* message displays in the image preview pane.

**Please Note:**

While FundSuiteArc supports uploading all of the image types specified above, image preview is currently only supported for PNG, JPG or JPEG images in the image library and on the **Project** page. Images of other types are stored, nonetheless, and are available for output.

## Process Changes

No changes to current processes are required.

## 4) Holdings load enhancements

### Overview

Enhancements to the current Holdings load functionality allow for push-button Excel data imports and tab-delimited TXT automated FTP dataloads. User benefits include a simplified dataload process and a decrease in data source file manipulation.

### What's New

Changes apply to both the tab-delimited TXT automated FTP dataload and Excel push-button data import. Enhancements to the load process include the following items:

1. New functionality reads the column header record to determine which fields to load.
2. Load File Parameters
  - a. Only the (4) required fields with valid values are needed to load the file.
    - i. Required fields: MASTER IDENTIFIER, FUND CODE, ACCOUNT PERIOD and SECURITY NAME.
    - ii. The source file must contain a header record identifying the 4 required fields.
  - b. Fields (columns) in the source file need **not** be in a specific order.
  - c. Fields (columns) other than the required fields can be omitted from file or left blank.
    - i. Any fields absent from the data source file will have their corresponding holdings load option set to *Do Not Overwrite* regardless of the settings on the **Holdings Load Options** page.

**Example:**

If the user sets the holdings option to overwrite but does not provide that field in the source file for import, FundSuiteArc uses *Do Not Overwrite* as the import option.

- d. The CURRENCY CODE field now accepts a blank value.
3. Error Handling
  - a. CURRENCY CODE specified in source file does not exist in the database.
    - i. If the overwrite option for CURRENCY CODE is selected and the currency code provided in the data source file for a given row does not match any codes currently in the currency library, FundSuiteArc provides the following warning message:
 

*"WARNING: Row: <RowNumber> - Column: 'CurrencyCode' contained a code (<CurrencyCodeInFile>) which is not found in the currencies library. This currency code was added to the library. Please review the setup of this currency and update accordingly."*
- b. Source file does not contain the 4 required fields.
  - i. Source file import fails if any required fields are missing from the file.
  - ii. Failed message is received on the **Holdings Import** page (push-button data import) and the **Archive** page (push-button data import and automated FTP dataload).

**Example:**

User attempts to load a source file that does not contain the FUND CODE column.

**Holdings Import** dialogue error is as follows:

*"Manual Holdings dataload failed."*

**Archive** page error is as follows:

*"ERROR: Row: 1 - Column: 'Fund Code' (required) did not exist in the source file. The load was rejected."*

- c. Header row in the source file is blank or does not contain the 4 required columns.
  - i. Entire load is rejected.
  - ii. FundSuiteArc provides an error message.

**Example:**

User attempts to load a source file that does not contain the header row.

**Holdings Import** dialogue error is as follows:

*"Manual Holdings dataload failed."*

**Archive** page error is as follows:

*"ERROR: Header row was either missing in the source file, or did not contain any valid columns. The load was rejected."*

- d. Duplicate columns in source file.
  - i. Data in the leftmost occurrence of the duplicate column is loaded.
  - ii. FundSuiteArc provides a warning message.

**Example:**

User attempts to load data with a source file that contains two CUSIP columns. The data file contains information for 5 securities with CUSIPs for both columns listed as in the following items:

CUSIP 1	CUSIP 2
11111111A	22222222A
11111111B	22222222B
11111111C	22222222C
11111111D	22222222D
11111111E	22222222E

**Archive** page warning is as follows:

*"WARNING: Row: 1 - Column: 'Security Cusip' appeared more than once in the source file. Only data from the first (leftmost) occurrence was loaded."*

- e. Unknown columns in the source file.
  - i. Data in an unknown column is ignored for all rows of the file.
  - ii. Valid data from all other valid columns is loaded.

**Example:**

User attempts to load a source file that contains a column entitled ADDITIONAL INFORMATION that contained the text

*Security is on loan.*

**Archive** page warning is as follows:

*"Column 12: 'Additional Information' is not a recognized column name. Data contained in the column was ignored."*

- f. True/False-type fields contain invalid values.
  - i. These fields include the following items:
    - A. 144A, Affiliated, Collateral, DisplayOnCondensed, FairValued, FullyColRepo, HasDemandFeature, HasEnhancement, HasGuarantee, IlliquidSecurity, InDefault, IsFundSecurityException, NonIncome, OnLoan, Perpetual, RepoUsedForDiversification, Restricted, ShortTermDebt, StepUpBond, Strips, VariableRate, WhenIssued, ZeroCoupon
  - ii. FundSuiteArc provides a warning message per row for each data point that does not contain a valid value. Valid values include the following items:
    - A. True, TRUE, 1
    - B. False, FALSE, 0

**Example:**

A user attempts to load a source file that contains a value of 2 or blank on row 5 for NON-INCOME, RESTRICTED, SHORT-TERM DEBT and FULLY COLLATERALIZED REPURCHASE AGREEMENT fields.

**Archive** page warnings are as follows:

*"Row: 5 - Column: 'NonIncome' contained an invalid value. A blank or default value was loaded for the column."*

*"Row: 5 - Column: 'Restricted' contained an invalid value. A blank or default value was loaded for the column."*

*"Row: 5 - Column: 'ShortTermDebt' contained an invalid value. A blank or default value was loaded for the column."*

*"Row: 5 - Column: 'FullyColRepo' contained an invalid value. A blank or default value was loaded for the column."*

**Additional Information**

- A list of recognized column header names for use in the source file is located in the online Help system in the *Data Import File Structures* topic.
- For both automated FTP dataloads and push-button data imports, any fields absent from the data source file will have their corresponding holdings load overwrite option check box cleared, regardless of the check box's setting in the application user interface.
- The Excel import template available via the **Fund Holdings** page contains all newly-added fields in alphabetical order, with color codes that mirror the color coding of columns in the FUND HOLDINGS grid. The color coding represents different areas of the application, as indicated in the following list:
  - **No Shading** - Security Balance
  - **Gray Shading** - Security Master/Issuer Master
  - **Blue Shading** - Security Library
  - **Red Shading** - Issuer Library
  - **Amber Shading** - Category Library
  - **Green Shading** - Required Fields

## Process Changes

When upgrading to version 1.7.0 the Holdings load processing logic will be upgraded to support the behavior described above. All previous Excel and TXT Holdings load file formats will still be supported, since a header record has always been required in data source files, and header record values have not changed.

**Excel import behavior:** The push-button data import was enhanced to support dynamic columns in the 1.7.0 release of FundSuiteArc. During QA testing, RRD noted some inconsistent behavior with the import that is also present in prior versions of FundSuiteArc. When creating or editing the Excel data source file, all of the values in a column must be in the same format in order to load correctly. When the values are not in the same format, the import will read some of the values as NULL or blank and will fail to load them.

### Example:

Notice in the screen shot below that the MARKET VALUE of *3,070,000.00* for the security "Test5" is in a different format than the other numbers in that column. Also notice that the green triangle doesn't appear in the upper-left corner of the value's cell.

AccountPeriodEnd	FundCode	MasterIdentifier	MarketValue
12/31/2011	Test	Test1	75000000
12/31/2011	Test	Test2	5000000
12/31/2011	Test	Test3	10000000
12/31/2011	Test	Test4	1050000
12/31/2011	Test	Test5	3,070,000.00
12/31/2011	Test	Test6	285000
12/31/2011	Test	Test7	5650000
12/31/2011	Test	Test8	1100000

During a push-button data import FundSuiteArc will not be able to read the change in format within the Excel source file and will import the market value for "Test5" as *0.00*.

**Solution:** Follow the steps below to clean up the Excel data source file.

1. With the Excel file open, press **Ctrl + A** on your keyboard to select all records in the Excel file, then press **Ctrl + C** to copy the file's contents to the Windows clipboard.
2. Paste (**Ctrl + V**) the records into a text editor (*e.g.*, Notepad, etc.).
3. Select all the records in the text editor (**Ctrl + A**), and then copy them (**Ctrl + C**).
4. Download and open a new copy of the Holdings import Excel template.
5. Paste (**Ctrl + V**) the records into the Excel file and save the file.

After completion of the steps above, all the records in each column should be in the exact same format. The file can then be loaded into FundSuiteArc and all data will import correctly.

## 5) Ability to automatically accept/reject Holdings push-button data imports

### Overview

This enhancement to the Holdings push-button data import functionality allows users to submit data files without previewing them and to request that FundSuiteArc automatically accept or reject the import. This feature enables users to submit import files and perform other tasks while the files are processed and accepted/rejected automatically.

### What's New

Changes to the interface and associated functionality include the following items:

1. The PREVIEW tab label was changed to PROCESS.
2. Options were added to either preview data before import or to import data without preview.
3. The PREVIEW button label was changed to PROCESS.
  - a. This button is used to initiate the processing of the import file.
4. Functionality was added to auto-accept/reject the import file.

The logic is dependent on whether the user opts to preview the data before the import or to import the data without a preview. If the user chooses to *Preview data before it imports*, the **Holdings Import** dialogue remains open, and the user manually clicks ACCEPT or REJECT to complete the process. If the user selects the *Import data without preview* option, the **Holdings Import** dialogue closes, and the import automatically accepts or rejects the file at process completion. To review import results, users may go to the load **Archive** page, identify the import and click the corresponding VIEW DETAILS link.

#### **Please Note:**

Only one file can be imported and processed at a time.

#### **Example:**

Preview data before import.

1. Obtain the import file.
2. Open the **Fund Holdings** page.
3. Open the **Holdings Import** pop-up dialogue by clicking the IMPORT DATA button at lower-right of the page.
4. Browse for and choose a data source file.
5. Set overwrite options, as required.
6. Click the PROCESS tab.
7. Select the *Preview data before it imports* option.
8. Click the PROCESS button.

Import details display in the grid.

9. Click the ACCEPT or REJECT button at lower-right of the dialogue.

Upon accepting import, the data is loaded.

10. Click the RELOAD button  at upper-right of the **Fund Holdings** page to display data.

11. The **Archive** page displays import-specific details.

Create Date	Load Type	Status	Status Change Date	View Details
6/4/2012 2:15:26 PM	Holdings	Accepted with Warnings/Errors	6/4/2012 2:16:16 PM	<a href="#">View Details</a>

**Example:**

Import data without preview.

1. Obtain import file.
2. Open the **Fund Holdings** page.
3. Open the **Holdings Import** pop-up dialogue by clicking the IMPORT DATA button at lower-right.
4. Browse for and choose a data source file.
5. Set overwrite options, as required.
6. Click the PROCESS tab.
7. Select the *Import data without preview* option.
8. Click the PROCESS button.

The **Holdings Import** dialogue closes.

The data from the import file is placed in the processing queue and is automatically accepted/rejected

9. Once the file is automatically accepted, click the RELOAD button  at upper-right of the **Fund Holdings** page to display data.
10. The **Archive** page displays import-specific details.

Create Date	Load Type	Status	Status Change Date	View Details
6/4/2012 2:15:26 PM	Holdings	Accepted with Warnings/Errors	6/4/2012 2:16:16 PM	<a href="#">View Details</a>
6/4/2012 2:17:16 PM	Holdings	Rejected	6/4/2012 2:18:03 PM	<a href="#">View Details</a>
6/4/2012 2:33:49 PM	Holdings	Accepted with Warnings/Errors	6/4/2012 2:34:12 PM	<a href="#">View Details</a>

**Additional Information**

- This functionality is not provided for Class Information and Fund Information push-button data imports.
- Please contact the RRD Support team should you experience any unexpected behavior or import failures.

**Process Changes**

No changes to current processes are required.

## 6) Ability to turn footing logic on/off for portfolio statement template "Percent of Net Assets" field

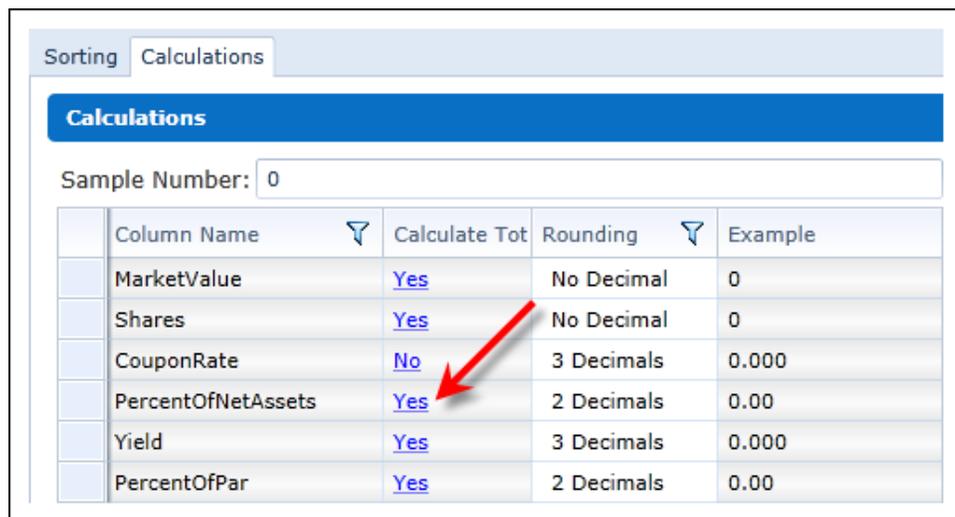
### Overview

In prior releases of FundSuiteArc, the PERCENT OF NET ASSETS field used the footing engine for custom output but not for XML output. This caused several discrepancies across output types. New functionality allows users to turn on/off the footing logic for the percent of net assets calculation on the portfolio statement template.

### What's New

Users can now specify the footing behavior for the PERCENT OF NET ASSETS field assigned to the portfolio statement template on the CALCULATIONS tab of the **Portfolio Statement Templates** page. Users can "turn on" or "turn off" footing in output intended for posting on the Web. The Review Report and output for submission to the SEC continue to function as designed; it will round but not foot.

To use this functionality, determine if the PERCENT OF NET ASSETS field will calculate a total. If **No** is specified via the setting on the CALCULATIONS tab, the footing engine will not run for this field. If **Yes** is specified, the footing engine will run for this field.



Column Name	Calculate Tot	Rounding	Example
MarketValue	Yes	No Decimal	0
Shares	Yes	No Decimal	0
CouponRate	No	3 Decimals	0.000
PercentOfNetAssets	Yes	2 Decimals	0.00
Yield	Yes	3 Decimals	0.000
PercentOfPar	Yes	2 Decimals	0.00

If the statement contains a total line for PERCENT OF NET ASSETS and the footing logic is not used, the Percent of Net Assets for category totals and Net Assets will display zero; the CALCULATE TOTAL setting must be set to **Yes** if the category total should be displayed. All other fields will display rounded, but not footed, values.

### Process Changes

No changes to current processes are required.

# Enhancements to ArcFiling

# 1) Ability to specify text appended to security captions when "Coupon" and "Yield" are zero

## Overview

Functionality for N-MFP output in prior releases of FundSuiteArc appended the INVESTMENT TITLE XML element with the COUPON or YIELD value of a holding. In situations where both the COUPON and YIELD were zero, the INVESTMENT TITLE would not be appended; this situation required users to manually update the security's name. Functionality was added to the **XML Disclosure Profiles** page that enables users to specify the information to append to the security name ("Caption") when rendering N-MFP XML output.

## What's New

The **XML Disclosure Profiles** page contains a new check box option and associated text box that allow users to provide the text to be append to the security name if both COUPON and YIELD values are *0.000000%*.



Text to Append to Caption if Both Coupon and Yield are 0.000000%

Disclose  for all holdings

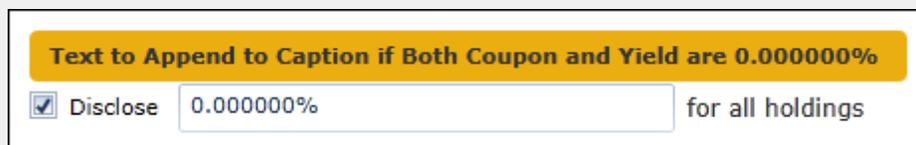
The behavior associated with the check box option and text box is as follows:

- The check box option is cleared by default, signifying that the security name should not be appended.
- If both the COUPON and YIELD values are zero AND the check box is selected, the text string provided in the text box is appended to the security name.
- If both the COUPON and YIELD values are zero AND the check box is cleared, nothing is appended to the security name (even if a text string is provided).
- This functionality applies to N-MFP XML output only, meaning that the **Fund Holdings** page displays the correct information for coupon, yield and security name.

### Example:

"ABC Security" has a YIELD value of *0.00%* and a COUPON value of *0.00%*. The user would like to see the security name appended with the *0.00%* yield. The following steps would be carried out to achieve this result:

1. Create a new XML disclosure profile (or edit an existing profile).
  - a. Open the **XML Disclosure Profile** page.
  - b. Click the ADD NEW RECORD button at lower-right of the page.
  - c. Provide a PROFILE NAME, COMPLEX and CATEGORY LIBRARY for the new profile.
  - d. Select the DISCLOSE check box in the TEXT TO APPEND TO CAPTION IF BOTH COUPON AND YIELD ARE 0.000000% section.



Text to Append to Caption if Both Coupon and Yield are 0.000000%

Disclose  for all holdings

- e. Populate the text box with the value *0.000000%*.
- f. Save.

2. Assign the XML disclosure profile to a fund.
  - a. Open the **Fund Report Settings** page.
  - b. Select the desired fund from the tree view at left and assign the XML disclosure profile using the corresponding drop-down list.

**Fund Settings**

Fund Name: Donnelley Dividend Fund

Security Library: Donnelley Family Master Caption Library ▼

Issuer Library: Bowne Demo Issuer Library ▼

XML Disclosure Profile: Append Yield ▼

3. Render XML output.
  - a. Open the **Project** page.
  - b. Click the OUTPUT MANAGEMENT tab.
    - i. Select the *N-MFP (XML)* output option.
    - ii. Click the GENERATE OUTPUT button at lower-left of the tab.
  - c. Click the OUTPUT QUEUE button at upper-right of the browser.
  - d. Once processing of the project output is complete, click the VIEW or SAVE link for the corresponding row in the output queue.

The INVESTMENTTITLE element value can be seen to be appended with the string *0.000000%* in the rendered XML file.

```

- <scheduleOfPortfolioSecuritiesList>
- <part2:scheduleOfPortfolioSecurities>
  <part2:InvestmentIssuer>ABC Company</part2:InvestmentIssuer>
  <part2:InvestmentTitle>ABC Security 0.000000%</part2:InvestmentTitle>
```

## Process Changes

No changes to current processes are required.

## 2) Ability to automatically accept/reject Repo Collateral Information push-button data imports

### Overview

This enhancement to the Repo Collateral Information push-button data import functionality allows users to submit data files without previewing them and to request that FundSuiteArc automatically accept or reject the import. This feature enables users to submit import files and perform other tasks while the files are processed and accepted/rejected automatically.

### What's New

Changes to the interface and associated functionality include the following items.

1. The PREVIEW tab label was changed to PROCESS.
2. Options were added to either preview data before import or to import data without preview.
3. The PREVIEW button label was changed to PROCESS.
  - a. This button is used to initiate the processing of the import file.
4. Functionality was added to auto-accept/reject the import file.

The logic is dependent on whether the user opts to preview the data before the import or to import the data without a preview. If the user chooses to *Preview data before it imports*, the **Repo Collateral Information Import** dialogue remains open, and the user manually clicks ACCEPT or REJECT to complete the process. If the user selects the *Import data without preview* option, the **Repo Collateral Information Import** dialogue closes, and the import automatically accepts or rejects the file at process completion. To review import results, users may go to the load **Archive** page, identify the import and click the corresponding VIEW DETAILS link.

#### **Please Note:**

Only one file can be imported and processed at a time.

#### **Example:**

Preview data before import

1. Obtain the import file.
2. Open the **Repo Holdings Collateral** page.
3. Open the **Repo Collateral Information Import** pop-up dialogue by clicking the IMPORT DATA button at lower-right of the page.
4. Browse for and choose a data source file.
5. Set load options on the OPTIONS tab.
6. Click the PROCESS tab.
7. Select the *Preview data before it imports* option.
8. Click the PROCESS button.
 

Import details display in the grid.
9. Click the ACCEPT or REJECT button at lower-right of the dialogue.
 

Upon accepting import, the data is loaded.
10. Click the RELOAD button  at upper-right of the **Repo Holdings Collateral** page to display data.

11. The **Archive** page displays import-specific details.

Create Date	Load Type	Status	Status Change Date	View Details
6/4/2012 3:04:57 PM	RepoCollateral	Accepted	6/4/2012 3:05:04 PM	<a href="#">View Details</a>

**Example:**

Import data without preview

1. Obtain import file.
2. Open the **Repo Holdings Collateral** page.
3. Open the **Repo Collateral Information Import** pop-up dialogue by clicking the IMPORT DATA button at lower-right of the page.
4. Browse for and choose a data source file.
5. Set load options on the OPTIONS tab.
6. Click the PROCESS tab.
7. Select the *Import data without preview* option.
8. Click the PROCESS button.

The **Repo Collateral Information Import** dialogue closes.

The data from the import file is placed in the processing queue and is automatically accepted/rejected.

9. Once the file is automatically accepted, click the RELOAD button  at upper-right of the **Repo Holdings Collateral** page to display data.
10. The **Archive** page displays import-specific details.

Create Date	Load Type	Status	Status Change Date	View Details
6/4/2012 3:04:57 PM	RepoCollateral	Accepted	6/4/2012 3:05:04 PM	<a href="#">View Details</a>
6/4/2012 3:11:57 PM	RepoCollateral	Accepted	6/4/2012 3:12:00 PM	<a href="#">View Details</a>

**Additional Information**

- This functionality is not provided for Class Information and Fund Information push-button data imports.
- Please contact the RRD Support team should you experience any unexpected behavior or import failures.

**Process Changes**

No changes to current processes are required.

### 3) Dataload Status dashboard

#### Overview

Clients need to know the load status of each data file required for N-MFP in order to begin the production process in a timely manner. A new **Dataload Status** dashboard provides users a visual status of each individual load/import for each fund assigned to a given project.

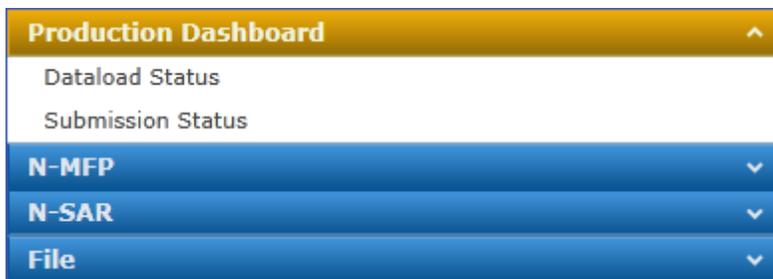
#### What's New

The introduction of this functionality provides new features to ArcFiling.

1. The FILINGS WORKSPACE tab features a new **Production Dashboard** menu section, which contains the *Dataload Status* item and a corresponding widget.
2. Dashboard functionality.
  - a. Searching/Filtering
  - b. Auto-Refresh
  - c. Grouping
  - d. Visual Indicators
  - e. Export

#### Production Dashboard menu section

A new menu section was added to the FILINGS WORKSPACE tab. This section contains menu items for the **Dataload Status** and **Submission Status** widgets.



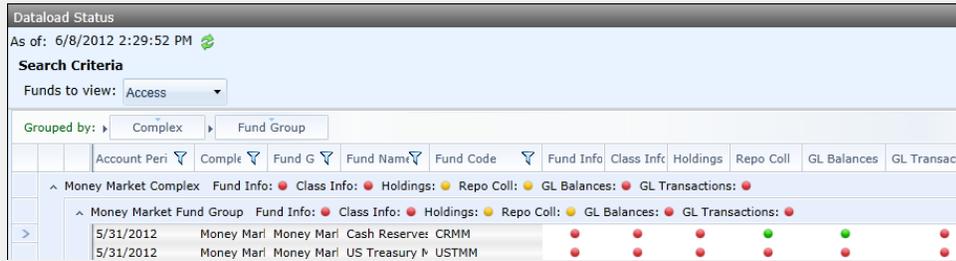
Clicking the *Dataload Status* item opens a widget that provides a fund-by-fund status of specific load types.

#### Dataload Status Dashboard Functionality

- Searching/Filtering
  - Data returned in the dashboard's results grid is based on the specific complex and account period designated in the fund selection bar.
  - Data in the results grid may be narrowed further, if desired, through use of the grid's column header filter functionality.
  - By default, load information is displayed for the fund(s) to which the user has been granted access (this is determined by the complex(es) assigned via the **Users** page in the PLATFORM ADMINISTRATION area).
- Auto-Refresh
  - The results grid refreshes automatically after 3 minutes, or if the user manually refreshes the page by clicking the REFRESH button  at the top of the widget.



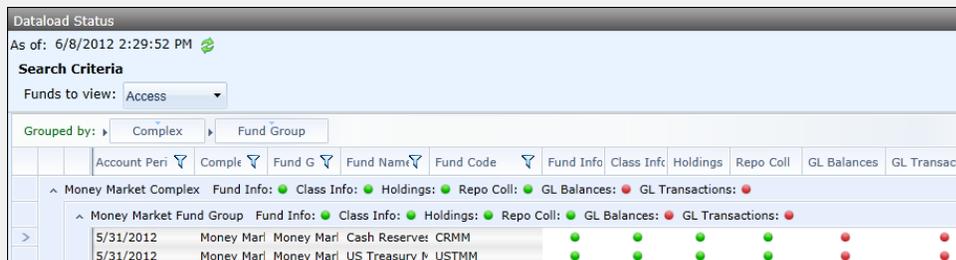
- After loading Holdings and Repo Collateral data for the *Cash Reserves Money Market* fund, the dashboard displays a *Loaded* indicator for those imports for that fund.



Dataload Status											
As of: 6/8/2012 2:29:52 PM											
Search Criteria											
Funds to view: Access											
Grouped by: Complex Fund Group											
Account Peri	Comple	Fund G	Fund Name	Fund Code	Fund Info	Class Info	Holdings	Repo Coll	GL Balances	GL Transacti	
^ Money Market Complex Fund Info: ● Class Info: ● Holdings: ● Repo Coll: ● GL Balances: ● GL Transactions: ●											
^ Money Market Fund Group Fund Info: ● Class Info: ● Holdings: ● Repo Coll: ● GL Balances: ● GL Transactions: ●											
5/31/2012	Money Mar	Money Mar	Cash Reserve	CRMM							
5/31/2012	Money Mar	Money Mar	US Treasury	USTMM							

- Money Market Complex (level)
  - Fund Information, Class Information, GL Balances, GL Transactions indicate no funds in the complex have data loaded for the respective imports (●).
  - Holdings and Repo Collateral indicate some funds have successfully loaded data for the respective imports (●).
- Money Market Fund Group (level)
  - Fund Information, Class Information, GL Balances, GL Transactions indicate no funds in the complex have data loaded for the respective imports (●).
  - Holdings and Repo Collateral indicate some funds have successfully loaded data for the respective imports (●).
- Cash Reserves Money Market Fund (level)
  - Fund Information, Class Information, GL Balances, GL Transactions indicate no funds in the complex have data loaded for the respective imports (●).
  - Holdings and Repo Collateral indicate Cash Reserves Money Market Fund has successfully loaded data for the respective imports (●).
- U.S Treasury Reserves Money Market Fund (level)
  - Fund Information, Class Information, GL Balances, GL Transactions indicate no funds in the complex have data loaded for the respective imports (●).
  - Holdings and Repo Collateral indicate U.S. Treasury Reserves Money Market Fund has not successfully loaded data for the respective imports (●).

- After loading data for all imports for both the *Cash Reserves Money Market* and *U.S. Treasury Money Market* funds, the dashboard displays a *Loaded* indicator for those imports for those funds.



Dataload Status											
As of: 6/8/2012 2:29:52 PM											
Search Criteria											
Funds to view: Access											
Grouped by: Complex Fund Group											
Account Peri	Comple	Fund G	Fund Name	Fund Code	Fund Info	Class Info	Holdings	Repo Coll	GL Balances	GL Transacti	
^ Money Market Complex Fund Info: ● Class Info: ● Holdings: ● Repo Coll: ● GL Balances: ● GL Transactions: ●											
^ Money Market Fund Group Fund Info: ● Class Info: ● Holdings: ● Repo Coll: ● GL Balances: ● GL Transactions: ●											
5/31/2012	Money Mar	Money Mar	Cash Reserve	CRMM							
5/31/2012	Money Mar	Money Mar	US Treasury	USTMM							

**Please Note:**

If these funds were included in a project in ArcReporting and the GL Balances and GL Transactions data were loaded, the corresponding status indicators would also be green (●)

## **Process Changes**

No changes to current processes are required.

## 4) Submission Status dashboard

### Overview

During the course of the production cycle, especially the first five business days, clients need an easy way to view the status of their ArcFiling submissions to the SEC and ICI. FundSuiteArc has added a dashboard that provides clients this functionality. The new **Submission Status** dashboard provides the filing status for each fund's live filings. It also provides information on amended filings.

### What's New

The introduction of this functionality provides new features to ArcFiling.

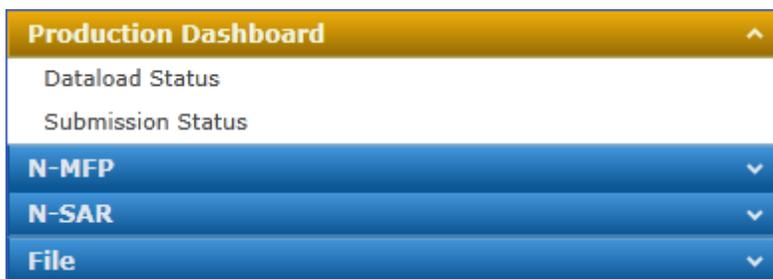
1. The FILINGS WORKSPACE tab features a new **Production Dashboard** menu section, which contains the [Submission Status](#) item and a corresponding widget.
2. Dashboard functionality.
  - a. Searching/Filtering
  - b. Auto-Refresh
  - c. Grouping
  - d. Visual Indicators
  - e. Export

**Please Note:**

The **Submission Status** dashboard only displays information on LIVE filings; it does **not** provide status information for Test filings.

### Production Dashboard menu section

A new menu section was added to the FILINGS WORKSPACE tab. This section contains menu items for the **Dataload Status** and **Submission Status** widgets.



Clicking the [Submission Status](#) opens a widget that contains the filing submission status of each fund to which the user has been granted access.

### Submission Status Dashboard Functionality

- Searching/Filtering
  - Data returned in the dashboard's results grid is based on the specific complex and account period designated in the fund selection bar.
  - Data in the results grid may be narrowed further, if desired, through use of the grid's column header filter functionality.

- Data can be viewed according to a specified filing type, filing recipient and funds.

**Search Criteria**

Filing Type:  Recipient:  Funds to view:

Drag a column header and drop it here to group by t

- Filing Type
  - Currently *N-MFP* is the only type of filing generated by ArcFiling.
- Recipient
  - Users can view the submission status for filings submitted to either the ICI or the SEC.
  - *SEC* is the default value specified when the dashboard is opened.
- Funds to view
  - By default, filing status is displayed for the fund(s) to which the user has been granted access (this is determined by the complex(es) assigned via the **Users** page in the PLATFORM ADMINISTRATION area).
- Auto-Refresh
  - The results grid refreshes automatically after 3 minutes, or if the user manually refreshes the page by clicking the REFRESH button  at the top of the widget.
    - If a user changes the fund selection bar settings, the page does not automatically refresh; the user must manually refresh the page.
  - Each results grid refresh generates a date and time stamp of when the refresh occurred.
- Grouping
  - The default grouping of data in the results grid for the specified account period is by COMPLEX (ascending), then by FUND GROUP (ascending).
  - By default, "Complex"-level grid groupings are expanded and "Fund Group"-level grid groupings are collapsed upon widget opening.
  - Users can expand a grouping by clicking on its horizontal grouping bar in the grid.
- Visual Indicators
  - Each grouped level displays a visual indicator of the submission status for the respective funds.
    - **Red** (●) indicates no funds in the group have successfully submitted a filing.
    - **Yellow** (●) indicates some funds in the group have successfully submitted a filing.
    - **Green** (●) indicates all funds in the group have successfully submitted a filing.
  - Expanding the grouping to the fund level provides users with submission status for the funds.
    - **Red** (●) indicates the fund has not successfully submitted a Live filing.
    - **Green** (●) indicates the fund has successfully submitted a Live filing.
    - **Blue** (●) indicates the fund has successfully submitted a Live Amended filing.
  - Grid Information
    - The grid provides users with information specific to each fund and includes the fund name, fund code, filing type, recipient, submission date/time and the submitter of the filing.

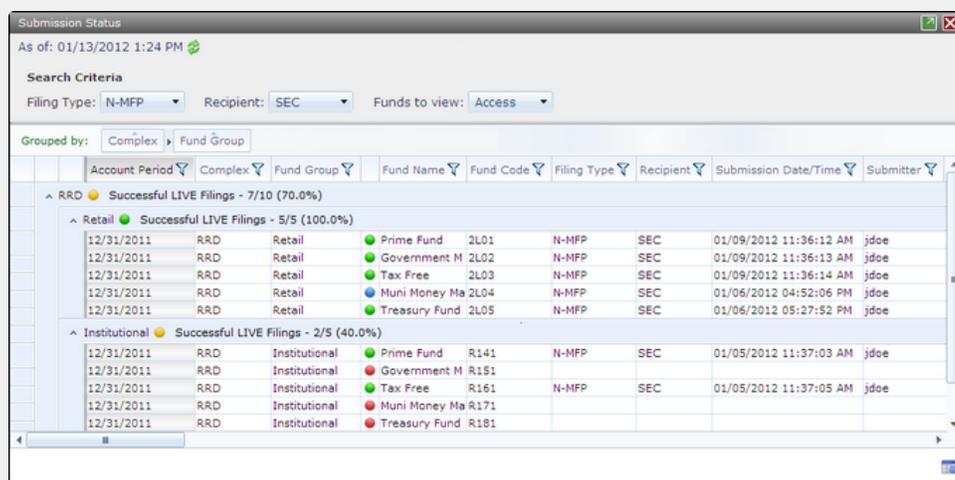
- Export
  - Data in the dashboard grid is exportable in all standard output types (.xml, .csv, .txt, .doc, .htm).
  - Clicking the EXPORT DATA button  at lower-right of the widget allows users to choose the desired output type and save the file to a local or network drive.

**Additional Information**

- A fund displays in the dashboard grid when it is part of a project that is associated with the account period specified in the fund selection bar.
- Users may not rearrange columns in the grid.
- FundSuiteArc does not remember user-specified grid settings, such as column width and filters, once the current session has ended.

**Example:**

A project for the 12/31/2011 account period contains 10 funds, all of which are filed with the SEC. As of January 13, 2012 at 1:24pm, the statuses of the filings are listed as shown in the image below.



Viewing the submission status, a manager is able to determine that 6 funds have filed successfully (●), 1 fund has successfully filed an amended filing (●) and 3 funds have not successfully submitted a filing (●). Having this information readily available will help clients manage filing deadlines.

**Process Changes**

No changes to current processes are required.

# Closed Defects

Product	Module / Location	Description
ArcFiling	Output Queue	<p>Fixed XML Review Report defects specific to the following items.</p> <ul style="list-style-type: none"> <li>• Prior releases would not render 4<sup>th</sup> tab of the XML Review Report if prior period did not contain XML.</li> <li>• "Is maturity date less than or equal to final maturity date?" <ul style="list-style-type: none"> <li>○ FundSuiteArc returns <i>Yes</i> if the maturity date of every security is less than or equal to the final legal maturity date.</li> <li>○ FundSuiteArc returns <i>No</i> if any security is greater than the final legal maturity date.</li> </ul> </li> <li>• "Is Repo Collateral associated with the holding?" <ul style="list-style-type: none"> <li>○ FundSuiteArc returns <i>Yes</i> or <i>No</i>.</li> </ul> </li> <li>• "Is the total value of its collateral greater than or equal to 102%?" <ul style="list-style-type: none"> <li>○ FundSuiteArc returns <i>Yes</i> if the collateral for every repurchase agreement is greater than or equal to 102%.</li> <li>○ FundSuiteArc returns <i>No</i> if any repurchase agreement is less than 102%.</li> </ul> </li> <li>• "If classified as Other Instruments are Additional Notes provided?" <ul style="list-style-type: none"> <li>○ If none of the holdings are classified as Other Instruments, FundSuiteArc will return <i>N/A</i>, as opposed to <i>Yes</i>.</li> </ul> </li> </ul>
ArcFiling/ArcReporting	Text Libraries	Changed paragraph style labeled <i>Notes</i> to <i>NotesText</i> .
ArcFiling/ArcReporting	Project Templates	Resolved performance issues when opening the CONTENTS tab on the <b>Project Templates</b> page.
ArcFiling/ArcReporting	Portfolio Statement Templates	Resolved defect where removal of category exception(s) corrupted portfolio statement template.