

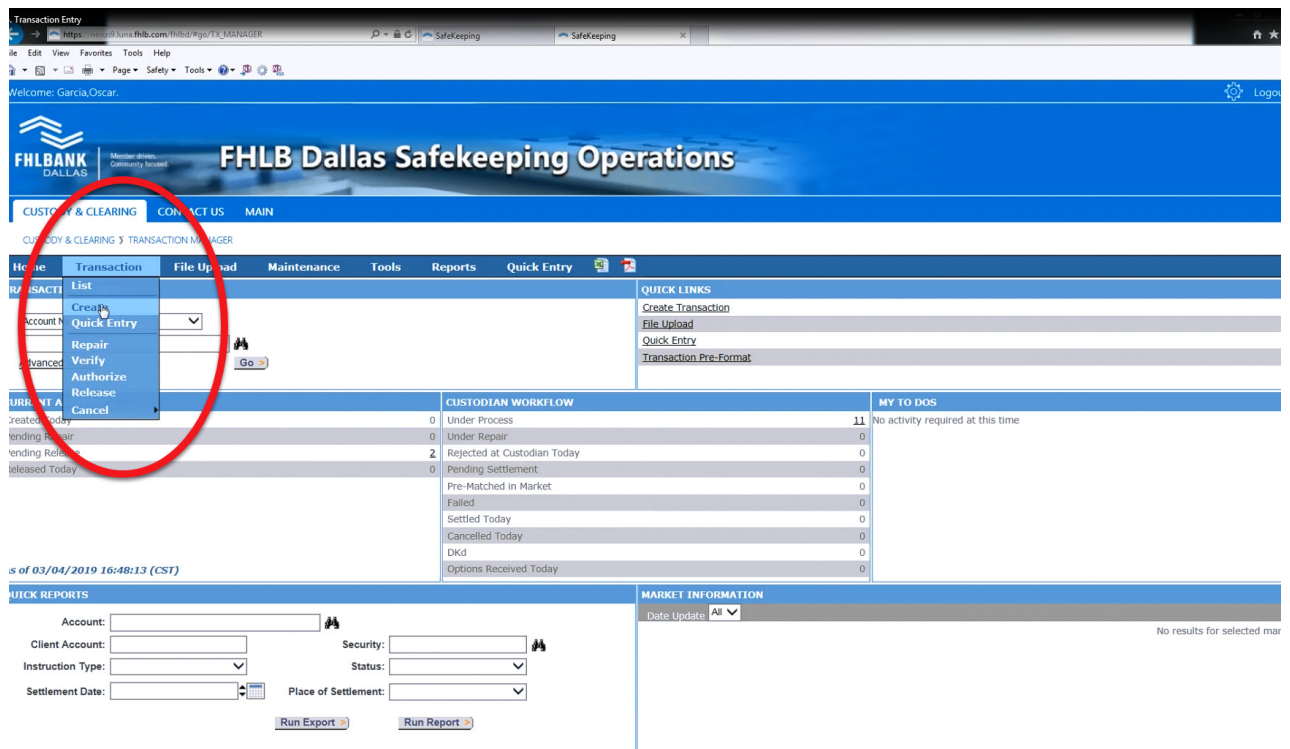
Transaction Entries on Nexus9

Below are steps to process different kinds of security transactions on Nexus9. This document may be utilized accompanying the training video on the same topic.

Receive vs. Payment Transaction

From the main page:

Click Custody & Clearing → Transaction Manager → Transaction tab, then **Create**



The screenshot shows the FHLB Dallas Safekeeping Operations interface. The 'Transaction' dropdown menu is circled in red, with 'Create' selected. The interface includes a navigation bar with 'CUSTODY & CLEARING', 'CONTACT US', and 'MAIN'. Below the navigation bar, there are tabs for 'Home', 'Transaction', 'File Upload', 'Maintenance', 'Tools', 'Reports', and 'Quick Entry'. The 'Transaction' tab is active, showing a 'Transaction Manager' section with a table of transactions and a 'CUSTODIAN WORKFLOW' table. The 'Transaction Manager' table has columns for 'Created Today', 'Pending Release', and 'Released Today'. The 'CUSTODIAN WORKFLOW' table has columns for 'Under Process', 'Under Repair', 'Rejected at Custodian Today', 'Pending Settlement', 'Pre-Matched in Market', 'Failed', 'Settled Today', 'Cancelled Today', 'DKd', and 'Options Received Today'. The 'MY TO DOS' table shows 'No activity required at this time'. The 'QUICK REPORTS' section has fields for 'Account', 'Client Account', 'Instruction Type', 'Settlement Date', 'Security', 'Status', and 'Place of Settlement', with 'Run Export' and 'Run Report' buttons. The 'MARKET INFORMATION' section has a 'Date Update' dropdown and 'No results for selected mar'.

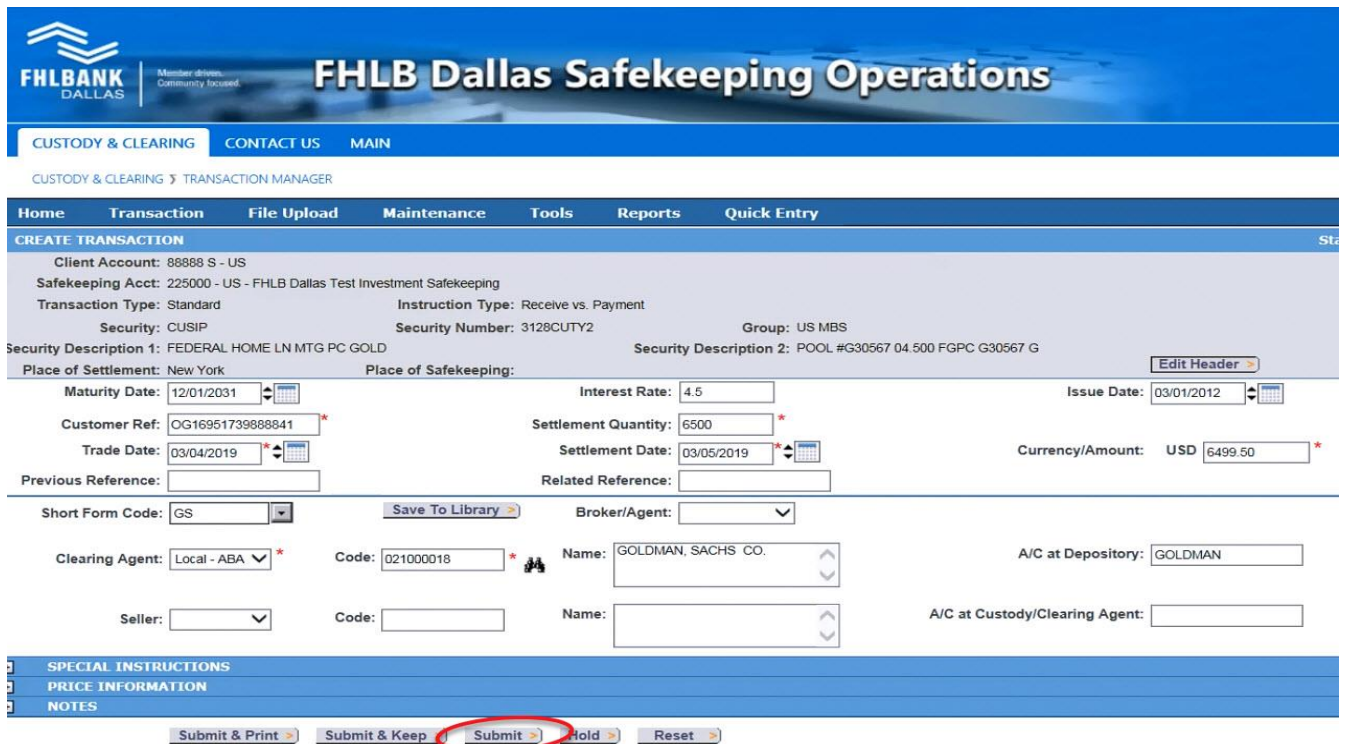
- Change the Instruction Type in the Transaction Manager to “Receive vs. Payment”
- Fill in the all the required fields, marked with a red asterisk:
 - Client Account – Use binoculars icon to search
 - Find corresponding Safekeeping Client Account number (contains an “S”) and click **Done**. The Safekeeping Account number will appear on the transaction form.
 - Transaction Type – This will remain **Standard**
 - Security – Choose **CUSIP** and type in the number

Once all required fields are entered, click **Continue**. This will lead to a page required to enter more Safekeeping Account information. Again, required information are noted with red asterisks:

- Customer Ref (system generated)
- Settlement Quantity – represents the amounts traded
*Enter the amount of the original face
- Currency/Amount
- Trade Date
- Settlement Date

The final step is to locate the broker information (bottom section of the page). (Reference *Adding a Frequently Used Broker* video for more information)

- Clearing Agent – Depends whether the broker is a Fed security or Depository Trust Company (DTC)
 - **Local – ABA:** Represents a Federal security
 - **Local:** Represents a DTC security
- Code – use binoculars icon to locate the appropriate code for the broker



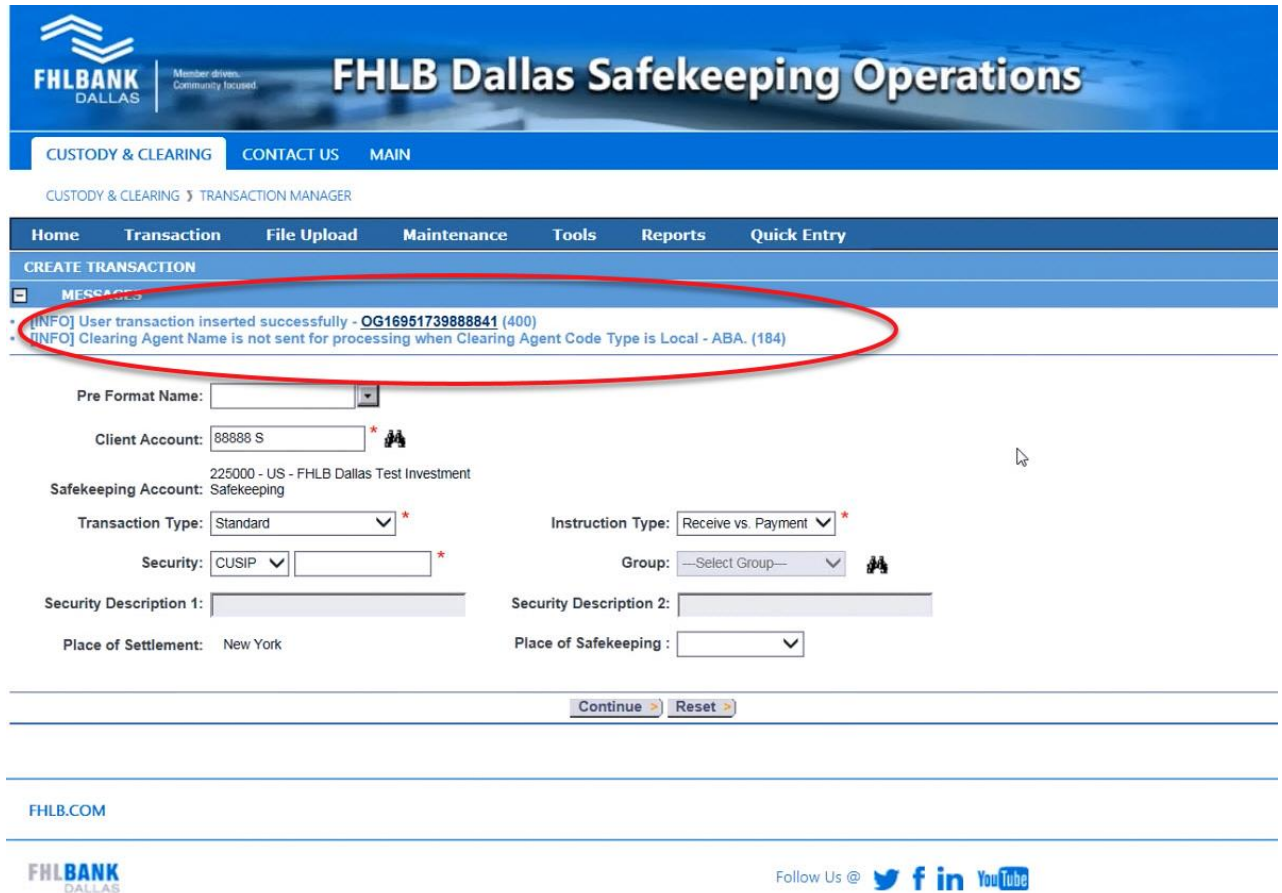
The screenshot shows the 'FHLB Dallas Safekeeping Operations' web interface. At the top, there is a navigation bar with 'CUSTODY & CLEARING', 'CONTACT US', and 'MAIN'. Below this is a breadcrumb trail: 'CUSTODY & CLEARING > TRANSACTION MANAGER'. The main content area is titled 'CREATE TRANSACTION' and contains a form with the following fields and values:

- Client Account: 88888 S - US
- Safekeeping Acct: 225000 - US - FHLB Dallas Test Investment Safekeeping
- Transaction Type: Standard
- Instruction Type: Receive vs. Payment
- Security: CUSIP
- Security Number: 3128CUTY2
- Group: US MBS
- Security Description 1: FEDERAL HOME LN MTG PC GOLD
- Security Description 2: POOL #G30567 04 500 FGPC G30567 G
- Place of Settlement: New York
- Place of Safekeeping: [Empty]
- Maturity Date: 12/01/2031
- Interest Rate: 4.5
- Issue Date: 03/01/2012
- Customer Ref: OG16951739888841 *
- Settlement Quantity: 6500 *
- Trade Date: 03/04/2019 *
- Settlement Date: 03/05/2019 *
- Currency/Amount: USD 6499.50 *
- Previous Reference: [Empty]
- Related Reference: [Empty]
- Short Form Code: GS
- Save To Library: [Button]
- Broker/Agent: [Dropdown]
- Clearing Agent: Local - ABA *
- Code: 021000D18 *
- Name: GOLDMAN, SACHS CO.
- A/C at Depository: GOLDMAN
- Seller: [Dropdown]
- Code: [Empty]
- Name: [Empty]
- A/C at Custody/Clearing Agent: [Empty]

At the bottom of the form, there are four buttons: 'Submit & Print', 'Submit & Keep', 'Submit', and 'Reset'. The 'Submit' button is circled in red.

Once all information is entered, click **Submit**.

Check messages at top once submitted. If red, more information needs to be submitted.



The screenshot shows the FHLB Dallas Safekeeping Operations web application. At the top, there is a navigation bar with links for CUSTODY & CLEARING, CONTACT US, and MAIN. Below this is a sub-navigation bar with links for Home, Transaction, File Upload, Maintenance, Tools, Reports, and Quick Entry. The main content area is titled "CREATE TRANSACTION" and features a "MESSAGES" section. A red oval highlights a message: "[INFO] User transaction inserted successfully - **OG16951739888841** (400)" and "[INFO] Clearing Agent Name is not sent for processing when Clearing Agent Code Type is Local - ABA. (184)". Below the messages is a form for creating a transaction. The form includes fields for Pre Format Name, Client Account (88888 S), Safekeeping Account (225000 - US - FHLB Dallas Test Investment), Transaction Type (Standard), Instruction Type (Receive vs. Payment), Security (CUSIP), Group, Security Description 1 and 2, Place of Settlement (New York), and Place of Safekeeping. At the bottom of the form are "Continue" and "Reset" buttons. The footer of the page includes the FHLB.COM logo and social media links for Twitter, Facebook, LinkedIn, and YouTube.

Deliver vs. Payment Transaction

Back-to-back entry of transactions are possible. For example, after submitting a Receiving vs. Payment transaction, a new entry can be made from the last step of the process (above page).

- Set Transaction Type as **Standard**
- Set Instruction Type as **Deliver vs. Payment**
- Type in CUSIP
- Ensure all fields noted with a red asterisk are filled
- Locate the broker information and input at the bottom of the form
- Click **Submit**

