



Member driven. Community focused.

FHLB Dallas Safekeeping Operations Transaction Manager

Your Guide to Getting Started

Overview

- Nexus9 for Securities offers analytical tools and dynamic information that securities and fund services professionals need to increase efficiency, reduce operating costs and improve performance.
- **Key benefits of *Transaction Manager* include:**
 - A Home Page that contains statistical information, alerts and an overview of your activity.
 - Support for domestic transactions with increased validations to facilitate better STP rates.
 - A configurable workflow process to control your transaction lifecycle.
 - Full featured file import function.
 - Attention to response times to ensure the shortest response possible given varying communications to conditions worldwide.
- To guide you through the new Portal this 'how to' will take you step by step through Transaction Manager's key features.
- Access ***Transaction Manager*** at: <https://nexus9.fhlb.com> under **My Services** menu.

Your new account number is available in Nexus9. To access your new account numbers:

- Transaction Manager → Transaction Search
- Select Account, Click Binoculars. Your three new account numbers will be presented.
- SKG = Main account used for all transaction origination
- PLEDGE = Pledge account to FHLB Dallas to support borrowing
- 3rd Party = Pledge account to pledge to third party deposits or municipalities

View Transactions & Accounts

- The **Transactions List** will show all transactions that you are authorized to view, including settled trades.
 1. Click **Transaction** → **List**.
 2. To narrow down the list to specific transactions:
 - Click **Filter By:** list for transactions by specific criteria, enter the criteria value and then click **Go**
 - Or select from a **User Defined Filter** and click **Go**.
 3. Then click the **Pencil icon** to view additional options:
 - **Replicate** enables you to copy and display the data in a *new transaction* detail page.
 - **View Audit** will display transaction history and status.
 - **View Transaction Detail** enables you to **Export to Excel, Print to PDF, or Export to print-friendly HTML**.
- The **Account Cabinet** enables you to view the accounts you are entitled to and view additional information regarding safekeeping accounts.
 1. Click the **Account Cabinet** menu. (Note: You may Export the account list into an Excel spreadsheet or Print the account list to PDF by using the icons on the top right of the menu bar).
 2. Click **View** to review account details.
 3. The **Account Details** dialog box displays the conditions and value set for the account.
 - To view *related cash accounts*, click **Cash Account**. The **Account** and **CCY** (currency) are displayed.
 - To view *related settlement locations*, click **Settlement Location**. The **Location Name** and **Code** are displayed.
 4. Click the **Close** button to exit.

Create Transactions

Set Up a Transaction

1. Click **Transaction** → **Create**.
2. Select a **Safekeeping** account. (Note: If there are more than 200 accounts, check the [US Direct box](#)). **Place of Settlement** defaults to **New York**.
3. Select **Transaction Type** and then **Instruction Type**.
4. Select **Security Type** and enter the **Security Identifier**.
5. Select **Place of Safekeeping** (optional).
6. Click **Continue**. The system automatically generates a Customer Reference number.
7. Enter **Settlement Quantity**.
8. Select a **Trade Date** and **Settlement Date** (Settlement Date is within three days after Trade Date).
9. Enter **Currency Amount**.
10. Select an existing **Counterparty/Broker Short Form Code** or enter broker information in the mandatory **Clearing Agent** fields. (To setup Short Forms, see [User Preferences section](#))
11. **Special Instructions** and **Pricing Information** will expand when required. For details on which transactions require this information, see next column. Provide additional processing requirements and fees.
12. Expand **Notes** when needed. Enter additional information.
13. Click **Submit** to send the transaction through for validation.
14. A second member must **Authorize** the transaction before it can be processed.
15. All Deliver Free transactions will have to be **Released** by an FHLB Team Member after being **Authorized** before it will Settle.

Authorize Transactions

Processing Transactions

Transaction Manager provides maker checker functionality that enables you and others within your organization to Authorize and Repair recently created Transactions for processing through Citi. Only users other than the creator of the transaction can perform the following maker checker steps.

1. Click the **Transaction** menu
2. Select to view transactions in Authorize status
3. To narrow down the list of specific transactions:
 - Click **Filter By**: list for transactions by specific criteria, enter the criteria value and then click **Go**
 - Or select from a **User Defined Filter** and click **Go**.
 - (To setup User Defined Filters, see [User Preferences Section](#))
4. Highlight the desired transaction.
5. Click **View** to review the transaction details.
6. Then click the **Authorize** button. This will move the transaction to the next workflow step. (Only one of the above mentioned buttons will be displayed. The options to Repair, Reject, or Delete the transaction are also available).

Repair Transactions

1. Click **Transaction** → **Repair**. This displays all transactions with status of "Pending Repair."
2. To narrow down the list of specific transactions:
 - Click **Filter By**: list for transactions by specific criteria, enter the criteria value and then click **Go**
 - Or select from a **User Defined Filter** and click **Go**.
 - (To setup User Defined Filters, see [User Preferences Section](#))
1. Highlight the desired transaction.
2. Click View to review transaction details.
3. Select Repair to correct transaction data.

Authorize Transactions Cont'd

4. Click Edit Header to modify any of the following fields:
5. Safekeeping Account, Transaction Type, Instruction Type, Security, Security Description, Group, Place of Settlement, and Place of Safekeeping (not all fields are applicable)
6. Click Continue.
7. After all changes have been made, click Submit.
8. Click Home. Under Current Activity the transaction will have moved from Pending Repair to Pending Verify status, assuming the correct repair has been made.

Upload & Cancel / Reinject Transactions

The **File Upload** feature enables you to upload multiple transactions using the same file.

1. Click the **File Upload** menu.
2. Click Upload New File.
3. Click Custody & Reporting → Transactional Manager.
4. Under **File Format**, select the format of the file you want to upload. Supported file formats: SWIFT 15022, Excel and CSV.
5. Click Browse to locate the transaction file to upload.
6. To test the file upload first, click on Test. A message will be displayed to confirm if the test was successful.
7. To upload actual file, click Upload.
8. To view the details of the upload, click Return.
9. On the details screen, the status of the file uploaded is Pending Confirm. This will require a second user to confirm or reject the uploaded transaction file.

The Cancel/Reinject function enables you to process transactions that have been released to the Front-End systems.

1. Click Transaction → Cancel → Cancel / Reinject.
2. To narrow down the list to specific transactions:
 - Click **Filter By:** list for transactions by specific criteria, enter the criteria value and then click **Go**
 - Or select from a User Defined Filter and click **Go**.
3. Highlight one or more transactions to cancel.
 - Click **Multiple Cancel** for more than one transaction
 - Click **Cancel** for a single transaction
4. Click View to review transaction details.
5. The screen changes to **CANCEL: CREATE CANCEL INSTRUCTION**. A Cancel Reference number is assigned.
6. Click **Submit** to proceed with canceling the transaction(s).
7. Canceled transaction must be released before it will Cancel.
8. To view transactions' status, click on **Transaction → List**. Notice the status of the transaction is now canceled.

User Preferences & Library Functions

The **Maintenance** menu enables you to manage User Preferences, Library data, and Filters. Access to these options is based on user entitlements.

User Preferences

1. Click **Maintenance → User Preferences**.
2. Click **Edit** to modify your default settings.
 - User **Default Settings:** standard field settings used
 - **Active Quick Links on Home Page:** web links to frequently visited web sites

User Preferences & Library Functions Cont'd

- **Transactions List Columns:** column headings displayed in the transaction list view
- **User Profile:** settings assigned at the individual user level
- **Regional Settings:** customized settings that apply to transaction details.

3. Click **Save**.

Library - Account Map - used to cross reference account numbers to the clients account numbers

1. Click **Maintenance** → **Library** → **Account Map** then **Add**.
2. Enter **Client Account No** and **Client Account Name**.
3. Select the **Safekeeping Account** and click **Submit**.

Library - Counterparty Short Form – references clearing agents

1. Click **Maintenance** → **Library** → **Counterparty Short Form**.
2. Click **Add US** OR **Add Non-US**. Enter **Short Form** name.
3. Select a **Place of Settlement**. (Default for US is New York).
4. Select a **Code Type** from list. Type code in **Code** field.
5. Click in **Name** field and type in name. Click **Submit**.

Library - Settlement Map - used to cross reference settlement locations to clients settlement names

1. Click **Maintenance** → **Library** → **Settlement Map** then **Add**.
2. Enter the desired information into the **Client Place of Settlement** field.
3. Select a **Place of Settlement**.
4. Click **Submit**.

The status for new Portfolios, Account Maps, Short Forms, and Settlement Maps will be displayed as Pending Authorize. A second user will be required to authorize the filter.

Create Transactions

For certain Transaction Types, population of additional fields is required:

Pledging

1. Click Transaction → Create
2. Select Safekeeping Account
3. Select Transaction Type: Pledge Held in Custody
4. Select Instruction Type: Deliver Free is new pledge, Receive Free for Release
5. Enter Cusip → Click Continue: Select **3rd Party** or PLEDGE from the **Seg Account** field and Pledge Code from Code box. Please note on Releases, the pledge code must match the initial pledge for the security to be returned to the Safekeeping account
6. Click Submit and provide supporting documentation to FHLB Dallas
7. Once the Receive or Deliver transaction is authorized, the other side of the transaction will be posted in the pledge account for new pledges or the Safekeeping account for releases

DTC Pledge to FRB

1. Click Transaction → Create
2. Select Safekeeping Account
3. Select Transaction Type: DTC Pledge to FRB
4. Select Instruction Type: Deliver Free is new pledge, Receive Free for Release
5. Enter Cusip → Continue
6. In addition to completing the **Clearing Agent/ Pledgee** fields, the **ABA, Code** and **ABA Description** fields are required.
7. Pledge Instruction Purpose Codes are required by selecting the choices from the Pledge Instruction drop down

Create Transactions Cont'd

1. Click Transaction → Repo/Reverse Repo
2. Enter Safekeeping account
3. Select Transaction Type: Please note these can only be Deliver/Receiver vs Payment
4. Enter Cusip → Continue
5. The closing leg of your transaction is automatically created by populating some additional fields:
 - A Repo section expands automatically at the bottom of the Create Transaction screen
 - In the Second Leg Reference field, add first two letters and last five numbers of the Customer Reference Number. For example, if Customer Ref = ST16937464542208, put ST42208 in the Second Leg Ref field.
 - Update the Closing Date
 - If applicable, Select Rate Type and add Termination CCY/Amt

Additional Helpful Hints:

Securities Payment Order

1. Select Reason Code
 - Most commonly used codes for Cash Adjustments with Brokers are:
 - SPO8 – FAIL PAIR OFF
 - SPO9 – FAIL PAIR OFF RECLAIM
2. Add Name and Telephone to Special Instructions
3. For FED Securities, use the following information:
 - Security Number = 123456782



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