



## NUTRON CLIENT CODE LOADING

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1<sup>st</sup> February 2014

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## 1. Overview of Process

This document sets out to outline the step by step process for users of the Nutron Trading system to load new local clients.

Nutron Code creation came into effect for the Bond Market in 2011, when BTB was decommissioned and replaced by the Nutron Trading System. Nutron was designed to assign a unique code for every client linked to a specific Member.

As a result, client codes need to be created with a link to a unexcor code. It is the unexcor code that is sent to Strate which ensure settlement of bond traded transactions. A member should:

- Confirm the unexcor code with CSDP and
- If the unexcor code is active

Once confirmation is obtained from the CSDP, the member can proceed to follow the process outline in this document

For any technical assistance, contact customer support on the following details:

Email: [customersupport@jse.co.za](mailto:customersupport@jse.co.za)  
Tel: 011 520 7777

### Foreign Clients

The process outlined below is applicable for South African resident clients only. For non-resident clients, members need to provide the exchange with the new client's unexcor code and the exchange will load the client on behalf of the member.

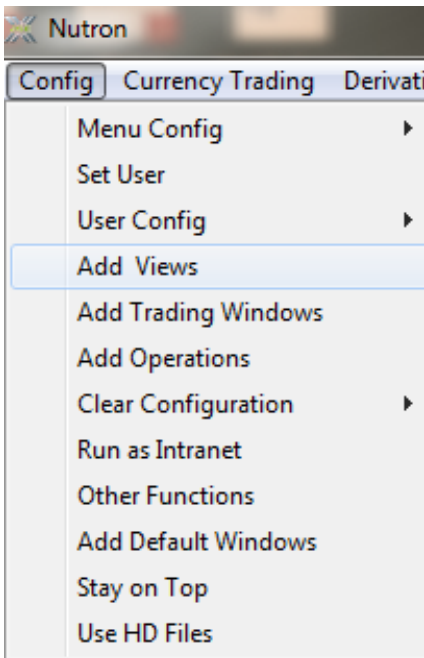
For assistance regarding loading foreign clients, contact the interest rate data team on the following details:

Email: [interestratedata@jse.co.za](mailto:interestratedata@jse.co.za)  
Tell: 011 520 7813

## 2. Process to be followed

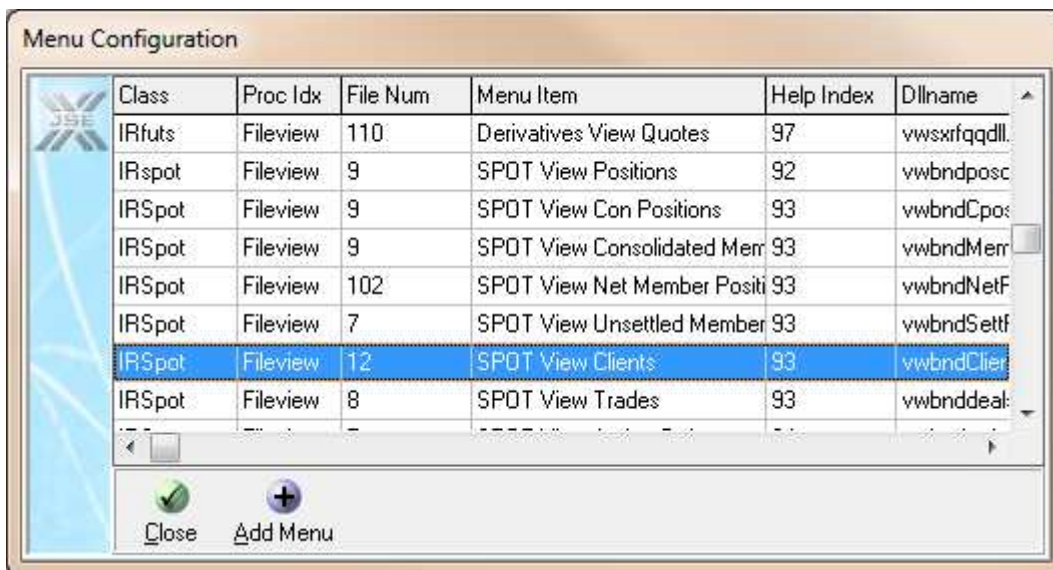
### Step 1 - Add Views

Click on the configure button on the front end. Select "Add Views".



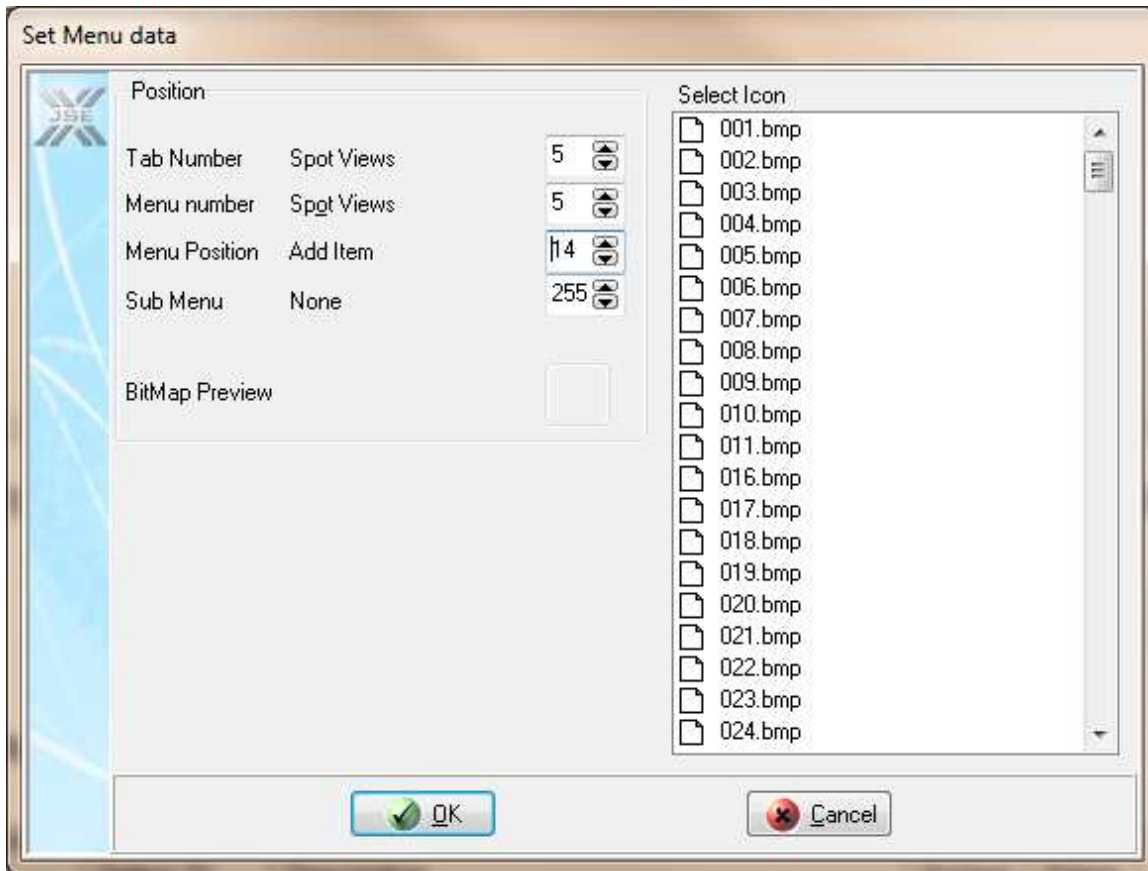
Select menu item SPOT View Clients

Click on add menu button.



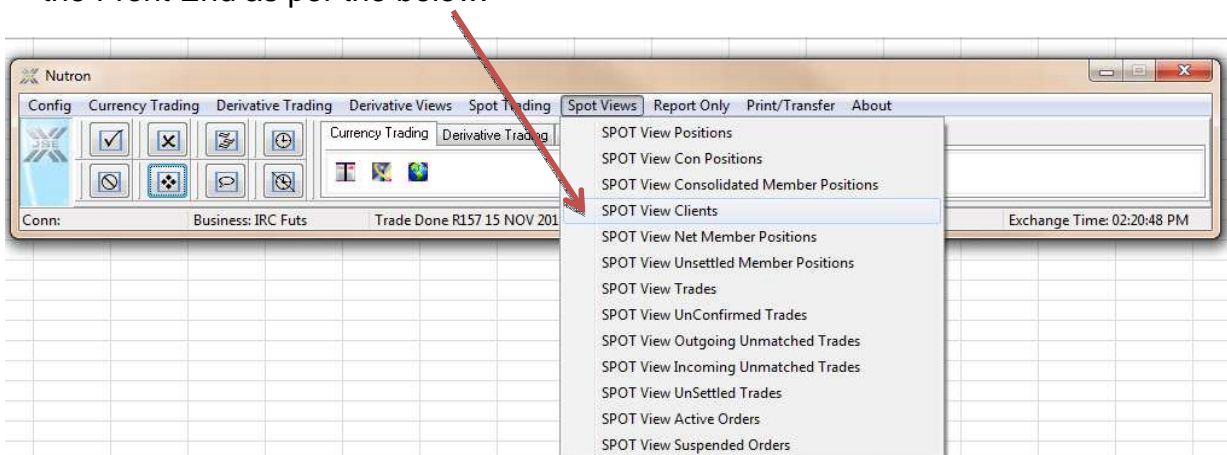
Choose where to place the SPOT View Clients view on Nutron. This is up to each user's personal preference.

Once Tab number and Menu Number have been chosen, select OK

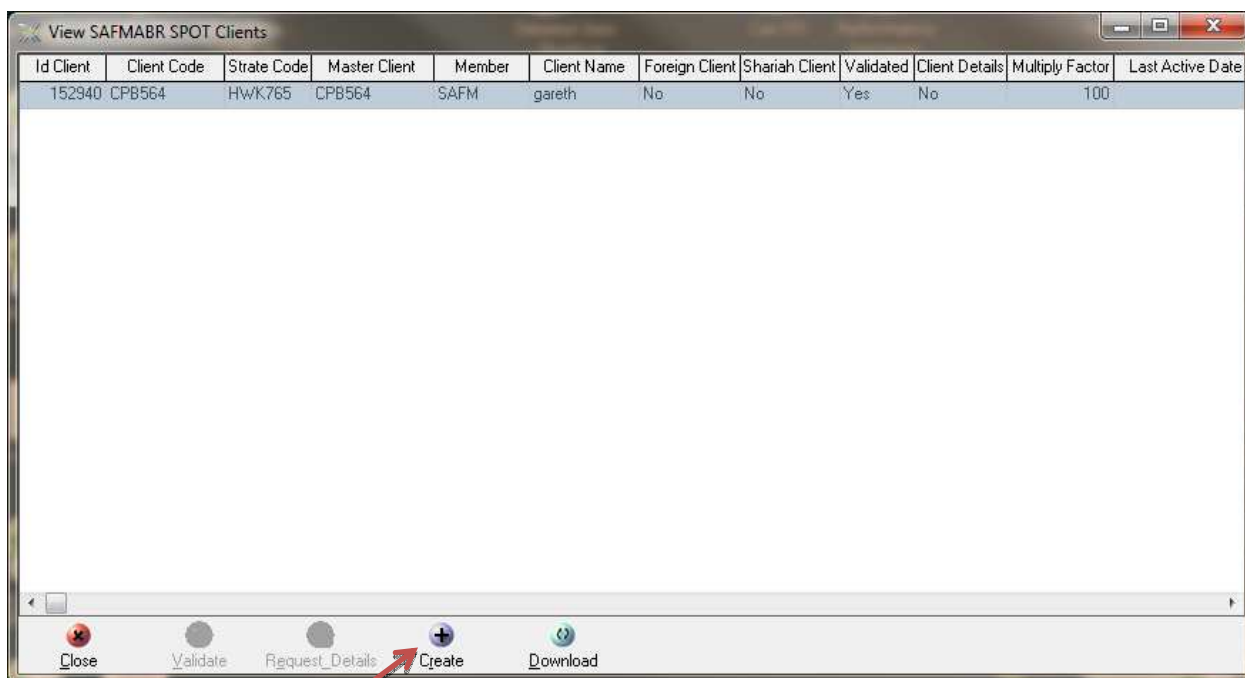


## Step 2 - Add Clients

Once the SPOT Views Clients view has been added, select the SPOT View Clients view on the Front End as per the below.



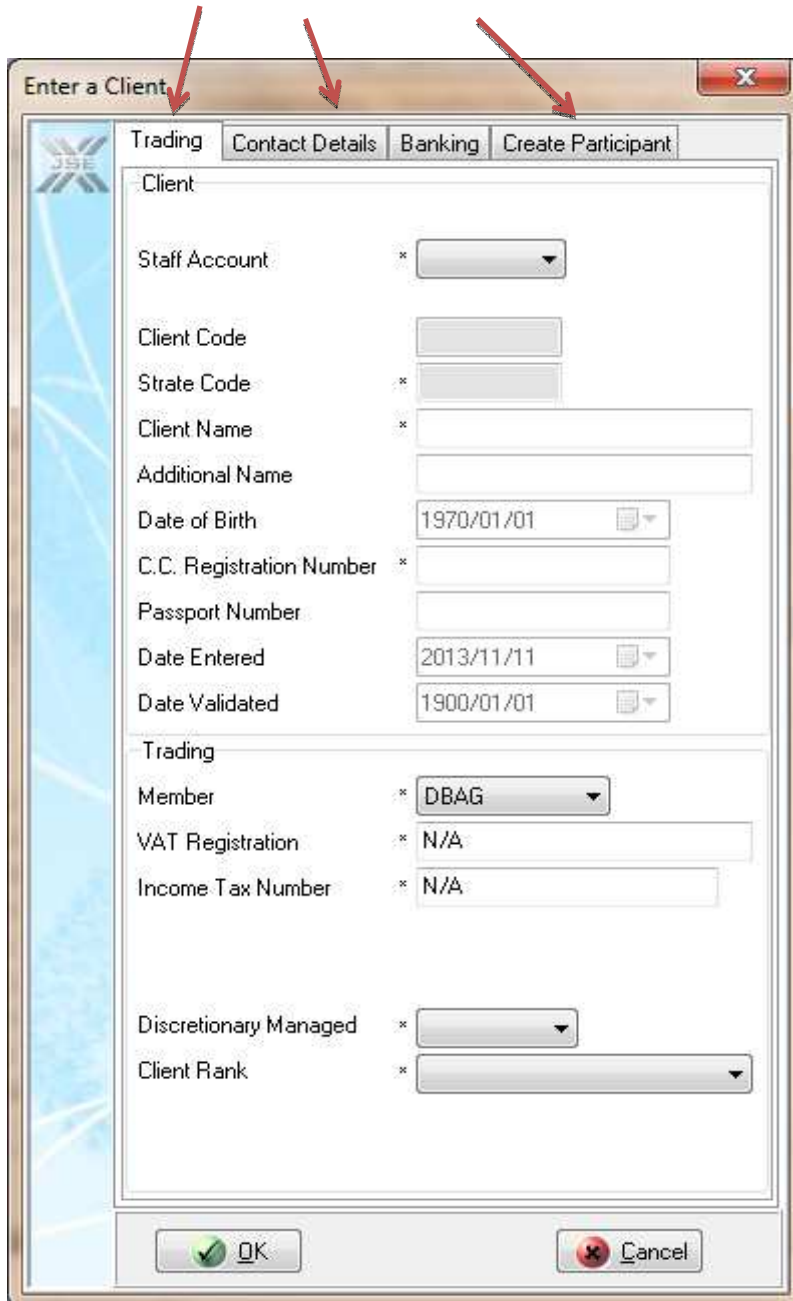
Once the view has been selected, the below window will appear. The window contains all current clients specific to each member.



Id Client	Client Code	Strate Code	Master Client	Member	Client Name	Foreign Client	Shariah Client	Validated	Client Details	Multiply Factor	Last Active Date
152940	CPB564	HwK765	CPB564	SAFM	gareth	No	No	Yes	No	100	

Select the “Create” button in order to add a new client

The “Enter a Client” screen would then appear as indicated below.



The screenshot shows a software window titled "Enter a Client" with a JSE logo on the left. The window has four tabs: "Trading", "Contact Details", "Banking", and "Create Participant". The "Trading" tab is active. The form contains the following fields:

- Client
- Staff Account \* (dropdown menu)
- Client Code (text box)
- Strate Code \* (text box)
- Client Name \* (text box)
- Additional Name (text box)
- Date of Birth (text box with calendar icon, value: 1970/01/01)
- C.C. Registration Number \* (text box)
- Passport Number (text box)
- Date Entered (text box with calendar icon, value: 2013/11/11)
- Date Validated (text box with calendar icon, value: 1900/01/01)
- Trading
- Member \* (dropdown menu, value: DBAG)
- VAT Registration \* (text box, value: N/A)
- Income Tax Number \* (text box, value: N/A)
- Discretionary Managed \* (dropdown menu)
- Client Rank \* (dropdown menu)

At the bottom of the window are "OK" and "Cancel" buttons.

The Nutron client code will automatically be generated once the details of the client have been filled in. All fields with an asterisk are mandatory and have to be filled in.

Three of the four tabs have mandatory fields. Each of the tabs containing mandatory fields is presented below for clarification with examples of how it should be populated. If a member does not know the required information please populate the mandatory field with “N/A” as indicated below.

## Trading Tab

All fields with asterisks on the trading tab are required to be populated by the member.

Populate the “Strate Code” field with the client’s State Code (obtained from CSDP).

The “Client Code” field will automatically generate once the client loading process is complete.

The drop down tabs explanations are as follows:

- Staff Account – Is the account a “Client Account or a “Staff Account”
- Member – The member who the client is being loaded for
- Discretionary Managed – Yes (trader is allowed to trade on behalf of the client without consent) or No (trader requires client authority prior to every trade)
- Client Rank – Please select “Public”

The screenshot shows the 'Enter a Client' dialog box with the 'Trading' tab selected. The fields and their values are as follows:

Field	Value	Required
Staff Account	NO	Yes
Client Code		No
Strate Code		Yes
Client Name		Yes
Additional Name		No
Date of Birth	1970/01/01	No
C.C. Registration Number	N/A	Yes
Passport Number		No
Date Entered	2014/03/25	No
Date Validated	1900/01/01	No
Member	TELK	Yes
VAT Registration	N/A	Yes
Income Tax Number	N/A	Yes
Shariah Client	<input type="checkbox"/>	No
Discretionary Managed	NO	Yes
Client Rank	Public	Yes



## Contact Details Tab

The member needs to populate the fields marked with an asterisk with "N/A" if the inputs are not known as shown below.

The screenshot shows a software window titled "Enter a Client" with a close button (X) in the top right corner. The window contains four tabs: "Trading", "Contact Details", "Banking", and "Create Participant". The "Contact Details" tab is active. On the left side of the window, there is a vertical blue bar with the "JSE" logo. The main area of the window is a form with the following fields:

- Contact Details**
  - Telephone Number \* N/A
  - Telephone Number (2)
  - Fax Number \* N/A
  - Email Address
- Physical Address**
  - Address \* N/A
  - Suburb
  - City \* N/A
  - Code \* N/A
- Postal Address**
  - Address \* N/A
  - Suburb
  - City N/A
  - Code \* N/A

At the bottom of the window, there are two buttons: "OK" (with a green checkmark icon) and "Cancel" (with a red X icon).

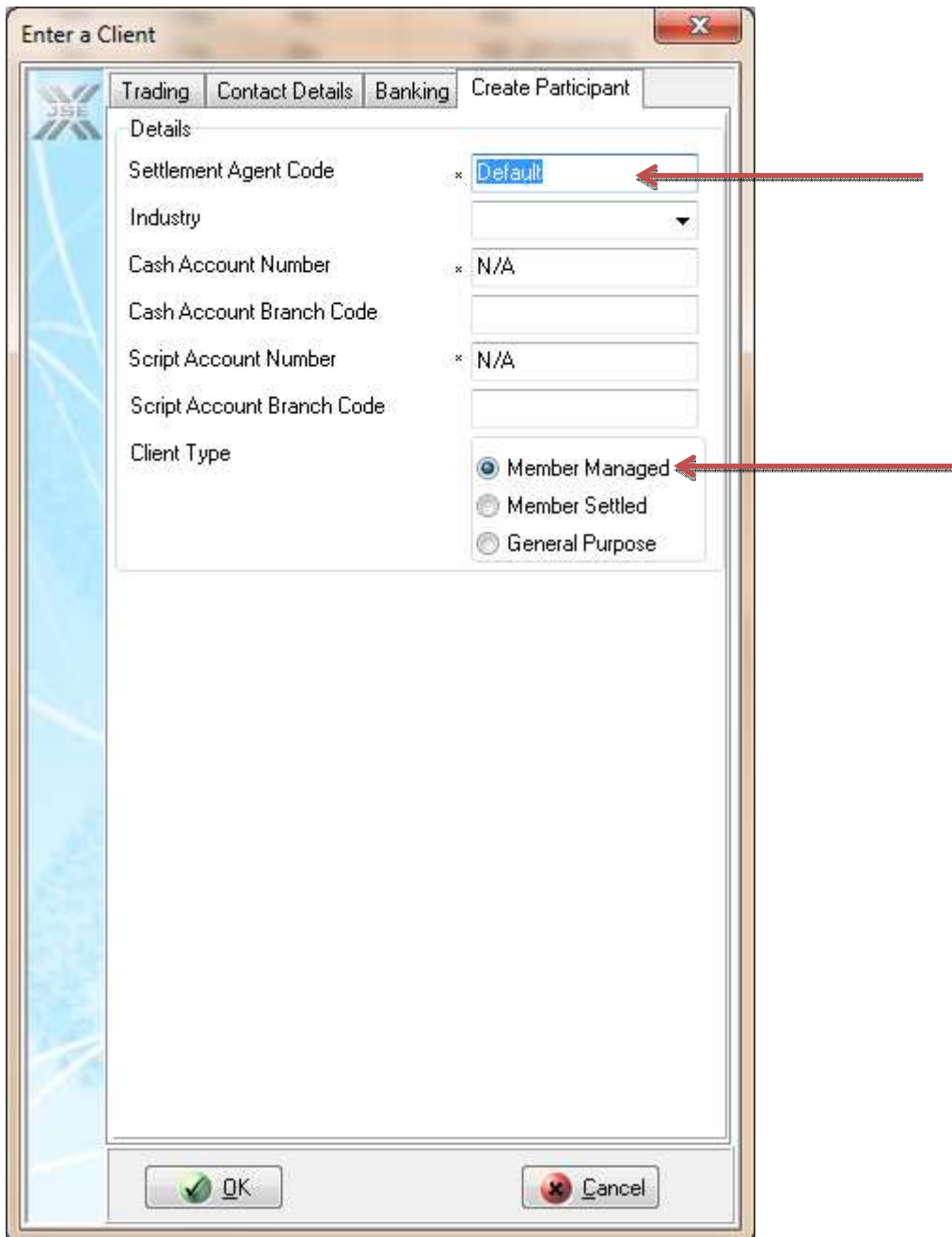
## Create Participants Tab

The field “Settlement Agent Code” needs to be populated with the word “Default.”

All other mandatory fields can be filled in with “N/A” if not known as shown below.

The selector tab is as follows:

- Client Type – Select “Member Managed”



The screenshot shows a dialog box titled "Enter a Client" with a close button (X) in the top right corner. The dialog has four tabs: "Trading", "Contact Details", "Banking", and "Create Participant". The "Create Participant" tab is active. Under the "Details" section, there are several fields:

- Settlement Agent Code**: A text box containing "Default". A red arrow points to this field.
- Industry**: A dropdown menu.
- Cash Account Number**: A text box containing "N/A".
- Cash Account Branch Code**: A text box.
- Script Account Number**: A text box containing "N/A".
- Script Account Branch Code**: A text box.
- Client Type**: A radio button group with three options: "Member Managed" (selected), "Member Settled", and "General Purpose". A red arrow points to the "Member Managed" option.

At the bottom of the dialog, there are two buttons: "OK" (with a green checkmark icon) and "Cancel" (with a red X icon).

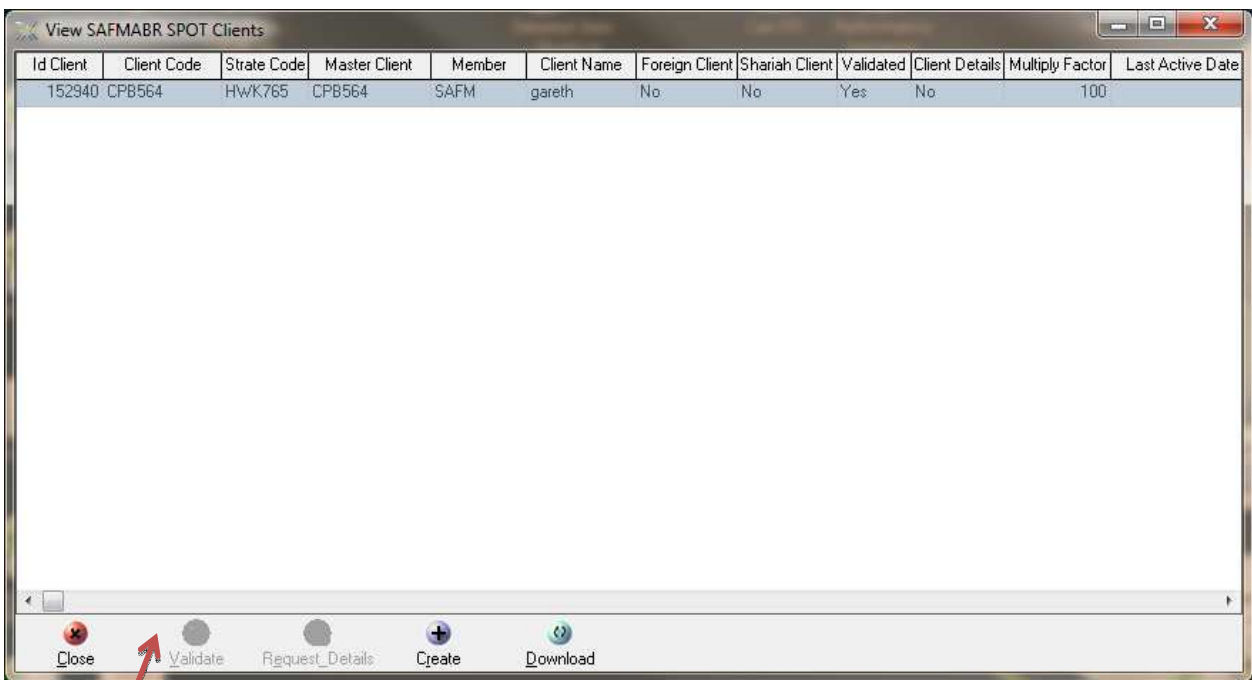
Once completed select OK

### Step 3 - Validation

Once a new client has been added it will need to be validated prior to use. In order to validate the client code, the below process needs to be followed

Click on the SPOT View Clients window once again as per Step 2.

The SPOT Views Clients window will reappear as per the below. The new client (which has been added) will initially appear at the bottom of the Spot View Clients window.



Click on the new client. The validation icon will then become highlighted.

Once the validation icon is highlighted, select the icon in order to automatically validate the new client code.

Once this has been done, the new client will be loaded and be ready for use.

Once a client has been added, it will appear in the counterparty drop down list when booking a Spot and Repo trade as indicated below.

The screenshot shows a software window titled "Enter Trade Reported by DBAG". The window contains a form with various fields for trade entry. A red arrow points to the "Counter Party" dropdown menu, which is currently set to "AAC453".

Ref No	0000001985	Yield	0.00000
Member	DBAG	Cum Ex	0
Dealer	LEM	Consid	0.00
Principal	DBAG	Clean Price	0.00000
State Code		Acc Int	0.00000
Trade Time	00:00	All In Price	0.00000
Buy/Sell	B	Free of Value	<input type="checkbox"/>
Capacity	P	Structured Deal	<input type="checkbox"/>
Nominal	0.00	Option Exercised	<input type="checkbox"/>
Instrument			
Trade Date	2013/11/12		
Settle Date	2013/11/15		
Counter Party	AAC453		
State Code	BMC555		
Sub Acct			
BDA Acc No			
Status			

Buttons at the bottom: Cancel, Clear Calc, Submit.

### 3. Glossary

Define all terms, abbreviations and acronyms that are new, business specific and required to interpret this document.

The following terms, abbreviations and acronyms have been used in this document:

Term, abbreviation, acronym	Definition

### 4. Sign-off

All parties signing this document acknowledge that they have read, understood and are committed to this document, including all attached schedules and diagrams.

<b>Name</b>	_____	<b>Name</b>	_____
<b>Department</b>	_____	<b>Department</b>	_____
<b>Designation</b>	_____	<b>Designation</b>	_____
<b>Signature</b>	_____	<b>Signature</b>	_____
<b>Date</b>	_____	<b>Date</b>	_____