

# **PortMan**

*The complete Schedule D solution*

## **INVESTMENT PORTFOLIO MANAGER**

### **USERS MANUAL**

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# System Requirements

## User Hardware Requirements

- Windows Operating Systems – 2000, XP, Vista, 7, Server NT, 2000, 2003, 2008, 2008 R2
- Pentium 300-megahertz (MHz) processor or faster
- At least 256 megabytes (MB) of RAM
- 2 Gb hard Drive Space
  - At least .5 gigabytes (GB) of available space on the hard disk for Paradox
  - At least 1.5 gigabytes (GB) of available space on the hard disk for Portman database and related files (this can reside on a server if user desires. See Optional)
- Keyboard and a Microsoft Mouse or some other compatible pointing device
- Video resolution of (1024 x 768) or higher resolution
- OPTIONAL – we provide much of our customer support via file transfers initiated by the customer. To facilitate this process, access to the command-line FTP program (FTP.EXE), found in %WINDIR%\SYSTEM32 is necessary. Also Firewall rules must allow the FTP connection.
- OPTIONAL - Installing the database files on a server requires a MAPPED drive letter that will be in-common to all Portman users. Users will need full permissions to the Portman data folder on the mapped drive.

## Software Installation

Initial software installation will be done by Accurate Business Systems via a web meeting with the target computer(s). This process will ensure the software is up and running in the shortest amount of time and with the least amount of inconvenience to the customer.

## Software Updates

**PortMan** will notify the current user of an available update. These updates will only be available when connected to the internet. The user must either confirm or deny the updates at that time. It is not necessary to download the latest version to use the program, but it is highly recommended.

Updates are inclusive. That is a user running Version 2012.01, who installs the update for version 2012.08, will in fact install all the changes that occurred with 2012.02 thru 2012.08 in the single update.

## Interaction with Customer Technical Support

Interaction with the customers technical support team should be minimal provided the portman user has full access to:

The Portman data directory

The Corel folder on the C drive

And the ability to update the BDE settings (which require ability to make registry changes)

Generally speaking, issues that require help from the users tech support involve permission restrictions or changes to permissions that impact user rights to these folders

# System Overview

This overview is broken down into four sections that cover the following topics:

1. Initial data entry;
2. Day to day system management;
3. Quarterly Procedures;
4. Year-End procedures;
5. Menu explanation and descriptions.

## Initial Data Entry

Accurate Business Systems will convert your data from your present system. This service is included in the initial price of the system.

## Day to Day System Management

Upon completion of system installation, **PortMan** requires **minimal** entry to manage your Schedule D investments. The basic block of time in managing your investments is a month, so we will begin there.

During the course of the month the following entries will be made to keep the system current.

- All interest, dividend, and principal reduction transactions that affect your accounting system must be recorded and posted to the appropriate security by using *Income* from the *Transaction* menu.

Note: Principal reductions are the principal pay downs associated with CMO and Mortgage Backed securities.

- All securities that have been purchased in the month must be added by using *Add* from the main menu, and then *Bonds, Stocks, Short Term...*
- All securities that have been disposed must be recorded by using *Calls, Maturities, and Sales* from the *Transaction* menu.
  - At this point it is imperative that you print out a **Portfolio** report to compare the holdings that are in PortMan with the holdings listed in your bank statement(s). If there are differences between the two now is the time to figure out and correct the differences.
- Run the *Accrual* program. This program must be run every month to account for partial disposals. Even if there are no partial disposals this program must be run at month end. The program asks you to verify the correct date and everything else is automatic.
- Run the *Amortization* routine to change the amortized value at the end of every month. As above, the program asks you to verify the correct date for amortization then calculates an increase or decrease amount for each appropriate Bond and Short Term security. After calculating the Book Value change, the program creates a transaction for each affected security. The transactions are then posted using the *Transaction* routine. If not run monthly, the *Amortization* routine must be run at the end of the year.

- The last function performed in a month is to run the *Month-End* program from the *Programs* menu. This program prints two (2) reports that are used to make sure you are receiving the money you are entitled to. The first report printed is a listing of all securities that paid interest or dividends in the month that is expiring. The second report is a listing of all securities that are scheduled to make a payment in the month that is commencing. The combination of these reports enables you to keep a close eye on your investment revenues.

The flowchart below is provided to give a presentation of the above:



# Monthly System Workflow

Processing the steps below in the order given will help ensure accurate and successful results.

## 1) VERIFY

- a) Prior to entering data for the intended month verify that Month-End processing has been completed for the prior month. You can do this by looking at the Current Month field on the Main Menu. The transactions you intend to enter should be dated within the month displayed. If that's the case, then proceed to step 2. Otherwise, run Month-End from the Programs menu choice.

## 2) PROCESS PURCHASES

- a) **Add** Purchases and Acquisitions
- b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** acquisition transactions

## 3) PROCESS INCOME

- a) **Enter** interest, dividend, and principal reduction transactions using Transactions, Income.
- b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** Income Transactions

## 4) PROCESS DISPOSALS

- a) **Enter** Sales, Maturities and Calls using Transactions, Calls, Maturities, Sales.
- b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** disposal transactions

## 5) VERIFY

- a) **Print** Portfolio Report
  - i) Compare with Custodial Statements. **Par and Shares need to match.** Or, more efficiently, price the Portfolio using a file. If Market Vales match, the Portfolio matches the Custodian and you continue.
- b) **Process**
  - i) Update Market Prices and Designations from the Market Screen
  - ii) Accrual
  - iii) Amortization
  - iv) Verify Pre-Post report, then Post amortization transactions
  - v) Book Value Adjustments from the Programs menu choice on the Main Menu.

## 6) Print Reports

- a) Reconciliation
- b) GL Summary
- c) GL Detail
- d) Working Schedule D
- e) Others as desired

**NOTE: At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 7.**

## 7) Month-End    **\*\*To enter January you will run Year- End**

- a) **Run Month-End** before starting a new month(Year -end for December)

**\*\*Do Not run Step 7 until you are ready to start January. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.**

# Quarterly Procedures

The end of quarter (March, June, September) follows a regular month's procedures except for a few changes. After completing Accrual and Amortization you will want to make sure you price your portfolio using the Market Screen. This screen allows you to change the Market price and NAIC designations. You can find more on the Market procedures later in the manual.

You will also need to export the Quarterly export file for the your statement software. Create the file by choosing Quarterly, Export Quarterly Schedule D from the Main Menu. The export file will be placed in the Export folder displayed on the Main Menu.

You will then print the Part 1B report from using the Quarterly menu choice and choosing Part 1B. This report will be used in completing the Part 1B page in the Quarterly Statement.

# Year-End Procedures

The end of the year (December) follows a regular months procedures except for a few changes. Instead of being an option, the *Amortization* routine must be run. Also, the *Year-End* program must be run before the *Month-End* program for December. The *Year-End* program copies all of the data from the main file to the previous year data file, and then gets the primary file ready for the New Year. We recommend that the year-end program not be run until all data is verified to be correct, and data has been transferred to the Annual Statement software.

The flowchart for December's work flow is:

Processing the steps below in the order given will help ensure accurate and successful data entry.

## 1) VERIFY

- a) Prior to entering data for the intended month verify that Month-end processing has been completed for the prior month. You can do this by clicking **Utilities, Utility Screen** which will display the Utility Settings window. The transactions you intend to enter should be dated within the month displayed in the **CurrentMonth** field. If that is the case then proceed to step 2. Otherwise, If you find that the CurrentMonth is the month prior to your intended transactions, you will need to skip to step 6, 7 or 8 as needed and complete the prior month before starting the new month.

## 2) PROCESS PURCHASES

- a) **Add** Purchases and Acquisitions
- b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** acquisition transactions

## 3) PROCESS INCOME

- a) **Enter** interest, dividend, and principal reduction transactions using **Transactions, Income.**
- b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** Income Transactions

## 4) PROCESS DISPOSALS

- a) **Enter** Sales, Maturities and Calls using **Transactions, Calls, Maturities, Sales.**
- b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** disposal transactions

## 5) VERIFY

- a) **Print** Portfolio Report
  - i) Compare with Custodial Statements. **Par and Shares need to match.**
- b) **Process**
  - i) Accrual
  - ii) Amortization
  - iii) Verify Pre-Post report, then Post amortization transactions.
  - iv) Update Market Prices and Designations from the Market Screen
  - v) Book Value Adjustments from the Programs menu choice on the Main Menu.

## Year-End Procedures - Continued

### 6) Print Reports

- a) Reconciliation
- b) GL Summary
- c) GL Detail
- d) Working Schedule D
- e) Others as desired

**NOTE: At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 8.**

### 7) Export Schedule D

- a) **Load** PortMan Schedule D data into your annual statement software.
- b) **Verify** Schedule D data in your annual statement software is correct.

### 8) Year-End

- a) **Run Year-End** before starting January

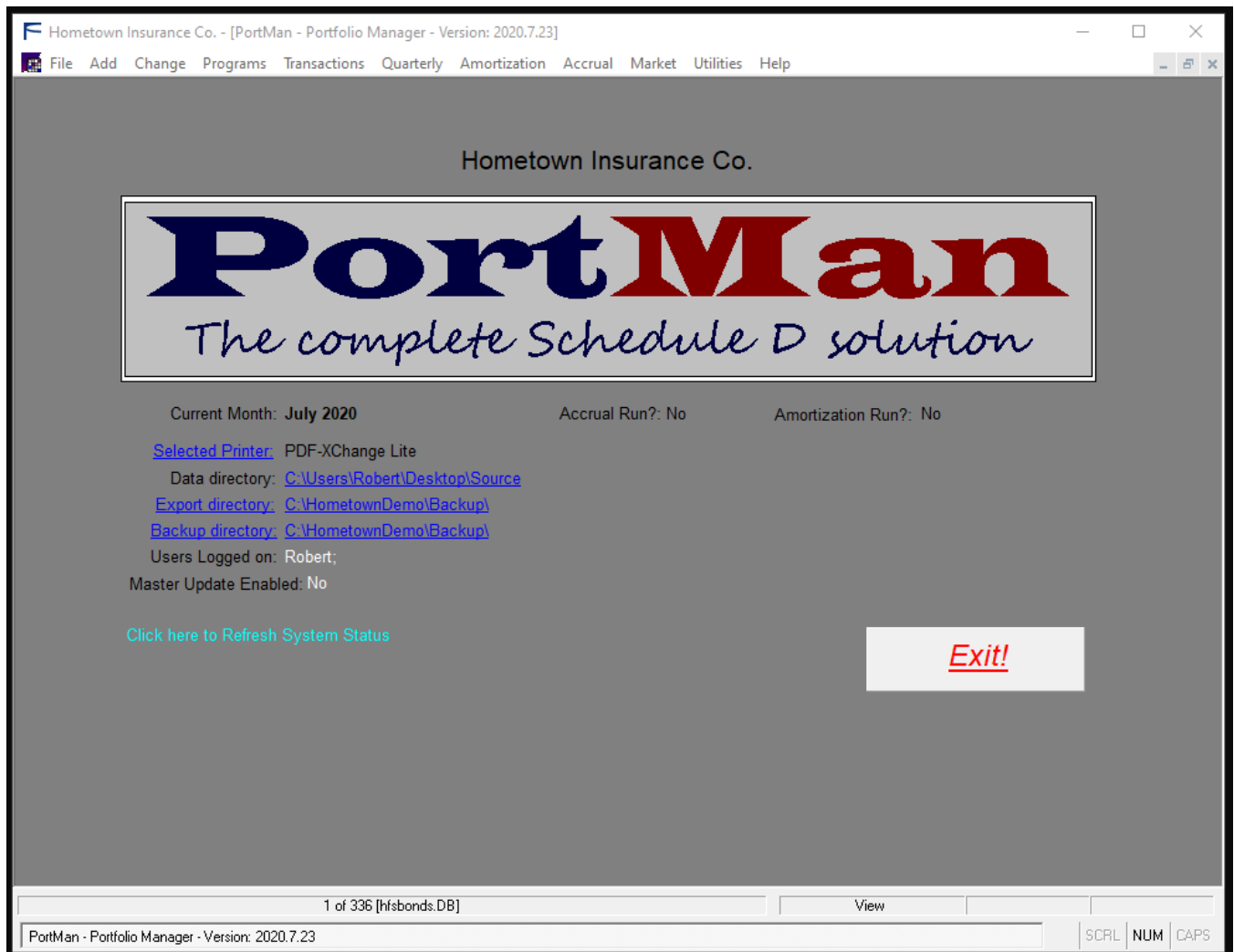
**\*\*Do Not run Step 8 until you are ready to start January AND you have verified the prior year data. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.**

In addition to the above, the Market routine will need to be run sometime in January. It is run after you receive the new market rates and NAIC designations from your source. The market routine displays a list of all active securities in your portfolio. You input the market price (optional), the NAIC SVO market price and the NAIC designation (rating) associated with the security. The program posts the updates to the securities in the Previous and Current Year files, then calculates market yield and modified duration for fixed income securities.

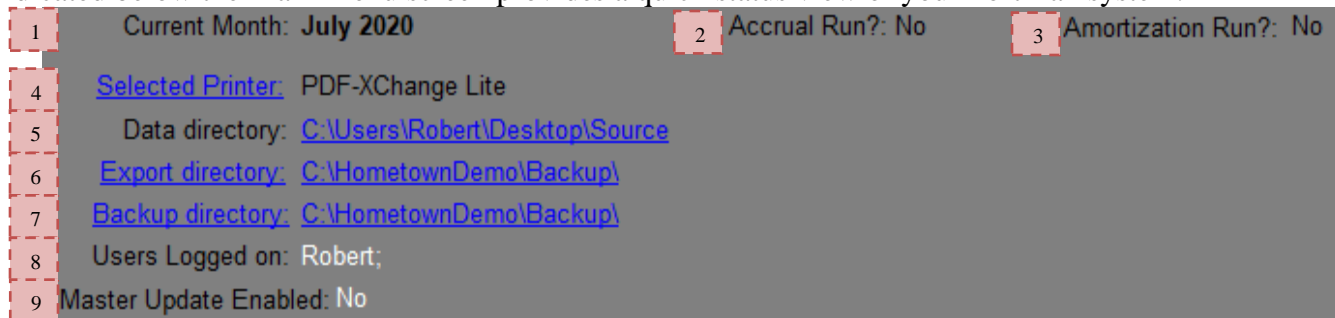
## Main Menu Explanation and Description:

The Menu system is designed to be self explaining and easy to use. Each menu has an ***Exit*** choice that will either bring you to the previous menu, or exit the system if you are at the Main Menu.

When **PortMan** is started you will be brought to the Main Menu screen pictured below.



As indicated below the Main Menu screen provides a quick status view of your PortMan system.



- 1 Current Month – This indicates the accounting month that is currently active in Portman.
- 2 Accrual Run? – This will display a Yes or No, indicating if the Accrual process has been run for the month displayed.
- 3 Amortization Run? – This will display a Yes or No, indicating if Full Amortization has been run for the month.
- 4 Selected Printer – Displays the name of the currently active printer for Portman. Clicking the “Selected Printer” label will allow you to change the printer.
- 5 Data Directory – This indicates the location for the companies Portman data. Clicking the path displayed should open a Windows explorer view of the path.
- 6 Export Directory – This indicates the location where export files will be created. Clicking the path displayed should open a Windows explorer view of the path.
- 7 Backup Directory – This indicates the location where Backup files will be created. This should not be the same path displayed on the Data Directory path. Clicking the path displayed should open a Windows explorer view of the path.
- 8 Users Logged on – Indicates which users are currently using PortMan. Those users may be in other companies.
- 9 Master Update Enabled – Indicates if the company is using a Master copy of Portman to keep the version up to date.

The MENU choices on the Main Menu screen are:

**File** - This choice will bring you to the *File* sub-menu.

**Print** - This choice will bring you to the *Report* printing screen. Instructions for use are provided on the *Print* selection screen.

**Exit** - Use this to exit the program and return control to Windows.

**Backup – Simple** -This selection backs up the system files. The backup takes only a few minutes and can save you hours or days of trouble. The default location for all backup files is the data directory. You can and should change the location from the *Utilities* screen.

**Backup – Compressed** -This selection provides greater flexibility for creating backups of your **PortMan** files. The data files will be compressed into a .ZIP format and named with a date time stamp. This naming process allows for the creation of a new and distinct backup file as often as every one second. Additionally this option will allow you to send your files to **PortMan** support via an option check box. The location for all backup files is defined in the *Utilities* screen.

**Interactive** - This choice closes the **PortMan** screens and opens the Paradox interactive mode. This is useful for running custom queries and reports.

**Add** - This choice will bring you to the security record adding sub-menu.

**Bonds** - Use this to add bonds to the master file. You will use this choice when adding records initially, and when you purchase a bond after the system is loaded.

**Short Term** - Use this to add Short Term securities to the master file. You will use this choice when adding records initially, and when you purchase a Short Term security after the system is loaded.

**Cash Equivalent** – Use this to add Cash or Money Markets to the master file. You will use this choice when adding records initially, and when you purchase Cash Equivalents after the system is loaded.

**CMO** - Use this to add CMOs to the master file. You will use this choice when adding records initially, and when you purchase a bond after the system is loaded.

**Mortgage Backed** - Use this to add Mortgage Backed bonds to the master file. You will use this choice when adding records initially, and when you purchase a bond after the system is loaded.

**Common Stocks** - Use this to add common stocks to the master file. You will use this choice when adding records initially, and when you purchase a stock after the system is loaded.

**Preferred Stocks** - Use this to add preferred stocks to the master file. You will use this choice when adding records initially, and when you purchase a stock after the system is loaded.

**Change** - This selection will bring you the security record editing menu.

**Edit a Security** - This choice is used to display a pick list of securities that can be edited or viewed. Highlight the security to edit and click on the edit button to move to the selected record.

**Accrual** - Used to edit the interest due and accrued on a bond or dividend accrued on a stock.

**Programs** - This selection brings you to the *program* menu.

**Export Statement** - This selection will export the Annual or Quarterly Schedule D data. It scans the master file for records that belong to the following reports:

Schedule D Part 1	(Bonds owned)
Schedule D Part 2 Section 1	(Preferred Stocks owned)
Schedule D Part 2 Section 2	(Common Stocks owned)
Schedule D Part 3	(Bonds and Stocks acquired)
Schedule D Part 4	(Bonds and Stocks disposed)
Schedule D Part 5	(Bonds and Stocks acquired and disposed)
Schedule DA Part 1	(Short Term owned)

It then creates the appropriate output data and sends it to an export file named SCHD.TXT. The file will be located in the Export folder which is identified on the main menu. The Export directory can be changed from the Utilities screen.

**Month-End** - This selection runs the end of month program. The program asks for the date of the last day of the month that is ending, the first day of the month that is beginning and then performs all of the rest of the work automatically. More information is presented in the month-end procedure section of the manual.

**Year-End** - This selection runs the end of year program. This program does everything the system needs in order to begin a new year. (This will not appear until December)

**Book Value Adjustments** - This selection runs the end of year program. This program does everything the system needs in order to begin a new year.

**Mass Write-Down** - This selection runs the end of year program. This program does everything the system needs in order to begin a new year.

**Transactions** - This selection will bring you to the *transaction* menu.

**Income** - This selection brings you to a pick-list that displays Bonds, Short Term, Mortgage Backed, and CMO securities that are scheduled to make an interest payment. Securities that have paid interest need a **Y** entered in the Post field. Securities that have paid income but are not on the list are accounted for by clicking on the **Select from all Securities** button, selecting the security, and clicking the **Move to Income Detail** button. Income information is entered there. More information on this procedure will be presented later in the next section of the manual.

**Calls, Maturities, Sales** - This selection brings you to a pick list that displays all active securities in your portfolio. You will select the security to be disposed, and then click the **Move to Disp Detail** button to enter the disposal information.



**Pre-Post Transactions** - This selection prints a report that lists the transactions to be posted. It is used to check the accuracy of the entries to be posted. There are two options for this report: By Cusip or by Transaction Code

**Post** - This choice posts the transactions to the master file after you have verified that all entries are correct.

**Quarterly** - This choice moves you to the *Quarterly* menu.

**Export Quarterly Schedule D** - This selection will export the quarterly Schedule D data. It scans the master file for records from a specified quarter that belong to the following reports:

Schedule D Part 4	(Bonds and Stocks disposed)
Schedule D Part 5	(Bonds and Stocks acquired and disposed)

It then creates the appropriate output data and sends it to an export file named QSCHD.TXT. The file will be located in the Export folder which is identified on the main menu. The Export directory can be changed from the Utilities screen.

**Acquired Report** - This choice asks which quarter you want information on and prints a report listing all securities purchased in the selected quarter.

**Disposed Report** - This choice asks which quarter you want information on and prints a report listing all securities disposed in the selected quarter.

**Part 1B** - This choice asks which quarter you want information on and creates a report listing all information in Schedule Part 1 B. The information provided lists all purchases, dispositions, and non trading activity broken down by NAIC code.

**Verification** - This choice allows the user to print a Schedule D and a Schedule DA verification report.

**Amortization** - This choice moves you to the *Amortization* Routine Menu. This routine is used to create Book Value change transactions.

**Full Amortization** - The Input for this function asks for the amortization date and then calculates an increase or decrease amount for each Bond and Short Term security. After calculating the Book Value change, the program creates a transaction for each affected security. **The transactions are then posted using the Transaction routine.**

**Market** - This selection moves you to the *Market* Posting Screen. This screen allows you to enter the Market Rate, the NAIC SVO (Security Valuation Office) Market Price, and the NAIC designation (rating), for each security. It asks you to enter the date for the pricing when you first arrive at the screen. It will not let you move forward until a valid date is entered. This function will calculate market

yields and durations for all fixed income securities that have been updated when you choose to return to the *Main Menu*. See *Market Price Import*

**Utilities** - This selection moves you to the *Utility* sub-menu.

**Utility Screen** - This selection will open the utility screen where you can edit many of the preferences that control how PortMan operates.

**Change Cusip** - This allows the user to change a cusip of a security.

**Edit Portfolio List** – This allows the user to Add, Edit, or Delete a Portfolio.

**System Preferences** – This section provides additional features in how PortMan operates.

**Data Import** - This allows you to configure PortMan in a way that reads and imports specific Excel layout designs that differs between every company and bank.

**Help** - This selection moves you to the *Help* sub-menu.

**Portman Manual** - This selection will open the PDF version of the Portman manual. (Assumes the user's computer has a PDF compatible reading program installed.

**Monthly Workflow** - This selection will open a PDF version of the recommended Monthly Workflow Check List. (Assumes the user's computer has a PDF compatible reading program installed.

**ARO to SVO Desig Conversion** – This Selection will open a PDF version of the NAIC Acceptable Ration Organization (ARO) Rating Equivalents to NAIC SVO Designations.

**PortMan on The Web** - This selection will open the Portman website.

**Join a Support Session** - This selection will open the online assistance web page. Please call PortMan support and discuss the issue you are experiencing. The support rep will provide an access code to join a meeting when it is necessary.

# Initial Data Entry

Initial Data Entry is most easily and accurately accomplished by converting your existing data to **PortMan**. Accurate Business Systems can convert most every type of data that you possess into a format that is readable by **PortMan**. In most cases, almost all data can be converted, leaving only a small amount of data to be manually entered. Accurate Business Systems will convert your data as part of the Initial Price.

Initial data entry will have to be performed in the cases where the portfolio is managed manually. Ideally, the portfolio should be entered with the holdings as of January 1 of the current year. The instructions to load each security are the same as in the Day to Day System Management section so we will use those instructions.

## General Ledger Definitions

Your General Ledger definitions will have to be created before **PortMan** can generate correct GL reports. Each category of security that is in your ledger will have its own definition in **PortMan**. You will most likely have at least two definitions. One for fixed income (bond) securities and one for equities (stocks).

**Note:** You can get a listing of your definitions by printing the GL Definitions report on the report menu.

To enter the GL definitions choose *Utilities* from the Main Menu, then *G/L Definitions* from the sub-menu. If this is your first definition enter a 1 in the Definition Number. If not, choose *Records, Add a Definition* from the menu.

Enter the Description of the definition in the description field. The description should be as descriptive as possible. Ex: Long Term Bonds; Preferred Stock; Common Stock...

Type in the GL account for the Asset in the Asset field. This is the account that is increased on a purchase, and decreased on a sale. Press enter.

Type the GL account for the Cash or suspense account in the Suspense field. This is decreased on a purchase and increased on a sale.

Type the GL account for income received in the Income Received field.

Type the GL account for accrued interest paid on a security purchase in the Prepaid Income field.

Type the GL account for decreasing the book value of a premium (bought at greater than 100) security in the Amortization of Premium Expense field.

Type the GL account for accumulating the amortization of premium in the Accum. Premium Amortization field.

Type the GL account for increasing the book value of a discount (bought at less than 100) security in the Accretion of Discount Income field.

Type the GL account for accumulating the accretion of discount in the Accum. Discount Accretion field.

Type the GL account for profit on a sold security in the Profit field.

Type the GL account for loss on a sold security in the Loss field.

Type the GL account for Income Accrued (the debit entry) in the Income Accrued Asset (Debit) field.

Type the GL account for Income Earned (the credit entry) in the Income Earned (Credit) field. This is usually the same as the Income Received account.

# Day to Day System Management

## Monthly System Workflow

Processing the steps below in the order given will help ensure accurate and successful data entry.

### 1) VERIFY

- a) Prior to entering data for the intended month verify that Month-end processing has been completed for the prior month. You can do this by clicking **Utilities, Utility Screen** which will display the Utility Settings window. The transactions you intend to enter should be dated within the month displayed in the **CurrentMonth** field. If that is the case then proceed to step 2. Otherwise, If you find that the CurrentMonth is the month prior to your intended transactions, you will need to skip to step 6 or step 7 as needed and complete the prior month before starting the new month.

### 2) PROCESS PURCHASES

- a) **Add** Purchases and Acquisitions
- b) **Pre-Post** acquisition transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** acquisition transactions

### 3) PROCESS INCOME

- a) **Enter** interest, dividend, and principal reduction transactions using **Transactions, Income.**
- b) **Pre-Post** income transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** Income Transactions

### 4) PROCESS DISPOSALS

- a) **Enter** Sales, Maturities and Calls using **Transactions, Calls, Maturities, Sales.**
- b) **Pre-Post** disposal transactions to verify accuracy. Check off Pre-Post report and statement.
- c) **Post** disposal transactions

### 5) VERIFY

- a) **Print** Portfolio Report
  - i) Compare with Custodial Statements. **Par and Shares need to match.**
- b) **Process**
  - i) Accrual
  - ii) Amortization
  - iii) Verify Pre-Post report, then Post amortization transactions.
  - iv) Update Market Prices and Designations from the Market Screen
  - v) Book Value Adjustments from the Programs menu choice on the Main Menu.

### 6) Print Reports

- a) Reconciliation
- b) GL Summary
- c) GL Detail
- d) Working Schedule D
- e) Others as desired

**NOTE: At Year end, you must print all reports and transfer data to the Annual Statement software before you process step 7.**

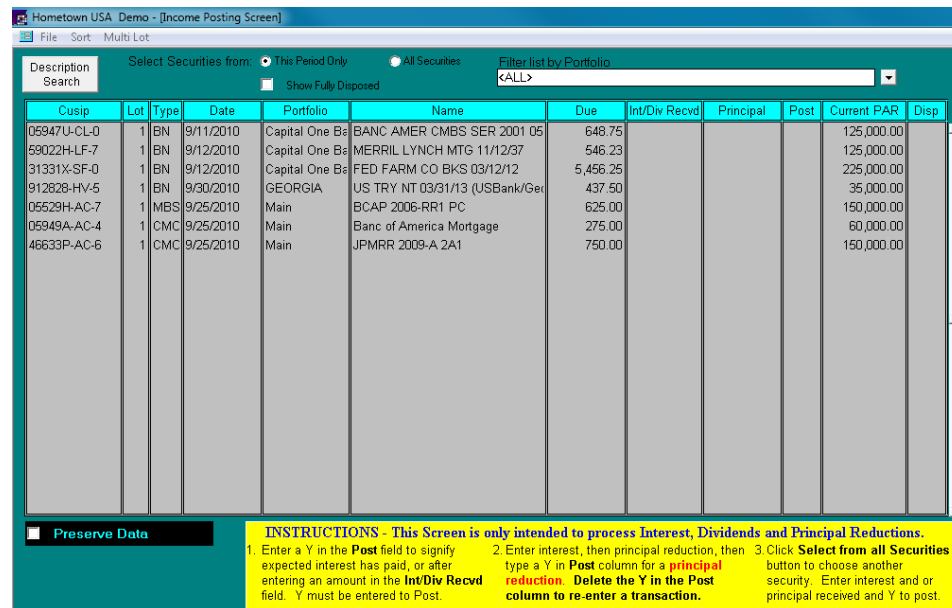
### 7) Month-End **\*\*To enter January you must run Year- End**

- a) **Run Month-End** before starting a new month

**\*\*Do Not run Step 7 until you are ready to start January. You must run all December 31 reports and transfer files to the annual statement software before you run the Year-End program.**

# Posting Interest, Dividends and Principal Reductions

The process of recording income payments is remarkably easy using **PortMan**. To post income information chooses **Transactions** from the **PortMan** Main Menu, then **Income** from the sub menu. You will be looking at a screen that resembles the following:



Cusip	Lot	Type	Date	Portfolio	Name	Due	Int/Div Recvd	Principal	Post	Current PAR	Disp
06947U-CL-0	1	BN	9/11/2010	Capital One B	BANC AMER CMBS SER 2001 05	648.75				125,000.00	
59022H-LF-7	1	BN	9/12/2010	Capital One B	MERRIL LYNCH MTG 11/12/37	546.23				125,000.00	
31331X-SF-0	1	BN	9/12/2010	Capital One B	FED FARM CO BKS 03/12/12	5,456.25				225,000.00	
912828-HV-5	1	BN	9/30/2010	GEORGIA	US TRY NT 03/31/13 (USBank/Ger	437.50				35,000.00	
05529H-AC-7	1	MBS	9/25/2010	Main	BCAP 2006-RR1 PC	625.00				150,000.00	
05949A-AC-4	1	CMC	9/25/2010	Main	Banc of America Mortgage	275.00				60,000.00	
4B633P-AC-6	1	CMC	9/25/2010	Main	JPMRR 2009-A 2A1	750.00				150,000.00	

**INSTRUCTIONS - This Screen is only intended to process Interest, Dividends and Principal Reductions.**

1. Enter a Y in the **Post** field to signify expected interest has paid, or after entering an amount in the **Int/Div Recvd** field. Y must be entered to Post.
2. Enter interest, then principal reduction, then type a Y in **Post** column for a **principal reduction**. Delete the Y in the **Post** column to re-enter a transaction.
3. Click **Select from all Securities** button to choose another security. Enter interest and or principal received and Y to post.

## Generating Interest / Dividend Transactions

The Income Posting Screen lists all securities that are scheduled to pay in the current month. All that's needed to post the expected income for a listed security is to enter a Y in the Post column. You can enter a different amount in the **Int/Div Recvd** column if the amount received was different than the expected amount. Then enter a Y in the Post column

If you don't see a security that has paid income, click on the **All Securities** button, and the screen will refresh with your entire portfolio. Your entire portfolio will then be listed in Cusip order. Select the security (by scrolling down and highlighting or by clicking the **Cusip Search** button and typing in the first few characters of the Cusip) and enter the appropriate income amount in the **Int/Div Recvd** column, and enter a **Y** in the **Post** column.

## Recording Principal Reduction Transactions

Recording principal reductions are also very easy using **PortMan**. Choose the security from the pick-list and enter the interest in the “Int/Div Recvd” column, enter the principal pay down amount in the “Principal” column, then place a “Y” in the Post column

## Posting Income and Principal Reduction Transactions

After you are finished with all of your income and principal pay down entries choose *File, Exit* to return to the Main Menu. There may be a few moments of work time before the Main Menu appears as all of the appropriate transactions will be generated at this time.

You will now want to print a pre-post report to verify their correctness. You will want to check that all of the code 5 transactions match the interest/dividend amount and the sale amount matches the principal pay down on code 3 transactions. If a transaction is incorrect go back to the Income screen, delete the Y from the Post column, then re-enter the transaction. If all transactions are correct you will post the income/principal pay down transactions.

# Adding New Purchases

You can add new securities to PortMan from three screens.

From the Main Menu or Security Edit Pick list screen - begin by Choosing **Add** from the Main, then select the security type that you wish to add.

While viewing the Edit screen of an existing security, you can click the **Record** menu and select the security type that you wish to add.

From the Security Edit Pick list, If you wish to add a new lot of an existing security, select the existing lot in the pick list and click the **Add New Lot** button.

For each security type that you may add, the data entry screen will display and you may proceed to enter the required data. As a general rule, to successfully add a security you will need to provide data for each field that has been labeled on the screen with RED text. In the examples to follow below, those fields will be **bold**, to distinguish that they are required.

## Adding Cash Equivalent Securities

Cash Equivalent securities will be displayed and reported on Schedule E Part 2. On this screen you can add investments owned whose maturities at the time of acquisitions were three months or less and are defined as cash equivalent in accordance with SSAP No 2. DO NOT include Money Market Mutual Funds on this screen.

The Cash Equivalent input screen is displayed below, followed by the fields that are available to you during the initial acquisition of the security.

Cash Equivalent Input Screen		
Page 1 Double Click for Input Help		
Page 1 Close		
<b>Cusip :</b> <input type="text"/> <b>Lot :</b> <input type="text"/> <b>G/L Definition :</b> <input type="text"/>		
<b>Name :</b> <input type="text"/> <b>SIC :</b> <input type="text"/>		
<b>Type :</b> <input type="text"/> <b>Category :</b> <input type="text"/> <b>Disposed:</b> <input type="text"/>		
<b>Currency Denomination:</b> <input type="text"/>		
<b>Coupon:</b> <input type="text"/>	<b>Calculate Int:</b> <input type="text"/>	<b>Vendor:</b> <input type="text"/>
<b>Par Value:</b> <input type="text"/>	<b>Int. Frequency:</b> <input type="text"/>	<b>Initial NAIC Design:</b> <input type="text"/>
<b>Actual Cost:</b> <input type="text"/>	<b>First Coup Date:</b> <input type="text"/>	<b>Book Value as:</b> <input type="text"/> 1 Default
<b>Price Paid:</b> <input type="text"/>	<b>Accrued Int Paid:</b> <input type="text"/>	<b>Market Value as:</b> <input type="text"/>
<b>Issue Date:</b> <input type="text"/>	<b>Pay Schedule:</b> <input type="text"/>	<b>Public or Priv Trade:</b> <input type="text"/> 2 Publicly traded
<b>Maturity Date:</b> <input type="text"/>	<b>Yield to Call:</b> <input type="text"/>	<b>Portfolio:</b> <input type="text"/>
<b>Call Date:</b> <input type="text"/>	<b>Yield to Maturity:</b> <input type="text"/>	<b>Amortize this Security?</b> <input type="text"/>
<b>Call Price:</b> <input type="text"/>	<b>Sch D Yield:</b> <input type="text"/>	<b>Tax Status:</b> <input type="text"/>
<b>Trade Date:</b> <input type="text"/>	<b>Amortized To:</b> <input type="text"/>	<b>Variable Rate:</b> <input type="text"/>
<b>Settle Date:</b> <input type="text"/>	<b>UDF1Title:</b> <input type="text"/>	<input type="checkbox"/> LBOND / TIPS
	<b>UDF2Title:</b> <input type="text"/>	<b>Schedule D Code:</b> <input type="text"/> n/a
	<b>UDF3Title:</b> <input type="text"/>	<b>Special Deposit Loc:</b> <input type="text"/>
		<b>Encumbrance Code:</b> <input type="text"/> n/a
		<b>Special Dep Where:</b> <input type="text"/>
		<b>Special Deposit Par:</b> <input type="text"/>



CASH EQUIVALENT FIELDS	DESCRIPTION / INSTRUCTION
<b>CUSIP</b>	Enter the CUSIP for this security. Portman will determine if this CUSIP already exists in your data and use the next available LOT number. Portman will also verify that the cusip meets the mathematical format of a valid CUSIP. PortMan will not lookup the cusip from an external data source to determine validity.
<b>LOT</b>	The Lot number is automatically assigned an incremental number starting at one.
<b>NAME</b>	Enter the Name of the security. This field is limited to 35 characters (The size reportable to the NAIC)
<b>TYPE</b>	<p>Enter the NAIC Category/Type. This field can be changed at anytime. You can double click to get a lookup dialog.</p> <p>A dynamic pick-list appears that is used to select the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. Type the description you are looking for to highlight the choice you want.</p> <p>For instance a US Industrial &amp; Misc, not loan backed security, begin by typing <b>US</b>. You will see the US bonds in the list.</p> <p>For a Wyoming Issuer Obligation begin by typing <b>WYO</b></p> <p>Highlight your choice by using the down-arrow key or by clicking with your mouse.</p> <p>Click the OK button and the Type and its description fields will be auto-filled.</p>
<b>GL DEFINITION</b>	Select a pre-defined GL Definition. You can double click to get a lookup dialog. This field can be prospectively changed at any time.
<b>SIC</b>	Standard Industry Classification. Not Required. You can double click to get a lookup dialog.
<b>Category</b>	PortMan internal investment classification. Pre-filled as a result of your choices. Should not be changed.
<b>Currency Denomination</b>	Indicate the currency standard used to denominate this investment. Blank assumes US dollar.
<b>Coupon</b>	Enter the rate of interest that the security pays in the <b>Coupon</b> field. Enter the rate as in the following example: 4.25
<b>Par Value</b>	Enter the Par value of the security in the field. *This field should not be edited after the acquisition security has been posted.
<b>Actual Cost</b>	Enter the Actual cost of the security in the field. *This field should not be edited after the acquisition security has been posted.
<i>Price Paid</i>	Price Paid is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly. *This field should not be edited after the acquisition security has been posted.
<b>Issue Date</b>	Enter the <b>Issue Date</b> if you desire.
<b>Maturity date</b>	Enter the <b>Maturity Date</b> of the security.
<b>Call Date</b>	If the security has a call scheduled, Enter the next future call/option date for the security. Leave the field blank if the security is not callable.
<b>Call Price</b>	Enter the <b>Call Price</b> of the security. If the call price is left blank, and there is a valid call date entered, Portman will assume that the call price is \$100 per 100 PAR.
<b>Trade date</b>	Enter the <b>Trade Date</b> of security.
<b>Settle date</b>	Enter the <b>Settle Date</b> of the security.
<b>Calculate Int</b>	Choose the correct interest calculation method from the pick-list in the <b>Calculate Int</b> field. (Most every security will be 30-360)

<b>Int Frequency</b>	Choose the correct frequency of interest payment from the pick-list in the <b>Int Frequency</b> field
<b>First Coup Date</b>	First Coupon Date is calculated, based on the Interest frequency and Maturity Date data entered. This field displays YOUR first coupon date, not necessarily the first coupon date of the security.
<b>Accrued Int Paid</b>	<p>Accrued Interest Paid should come from your custodial statement at the time of the acquisition. Portman will calculate the amount based on the data that has been entered. Periodically the calculation will not match the information on your custodial statement. In that situation you should enter the amount shown on your statement.</p> <p><i>*This field should not be edited after the acquisition security has been posted.</i></p>
<b>Pay Schedule</b>	<p>The Pay Schedule field helps PortMan determine when this security will display on the income screen as being due. Generally the month of the Maturity date will correspond to the Pay Schedule chosen. For instance a security that pays interest semi-annually and matures in August will probably have a Pay Schedule of February-August</p> <p>Pick the appropriate value from the pick-list in the <b>Pay Schedule</b> field.</p>
<i>Yield to Call</i>	<i>Calculated based on data entered - Do Not Edit</i>
<i>Yield to Maturity</i>	<i>Calculated based on data entered - Do Not Edit</i>
<i>Sch D Yield</i>	<i>Calculated based on data entered - Do Not Edit</i>
<i>Amortized To</i>	<i>Calculated based on data entered - Do Not Edit</i>
UDF1Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
UDF2Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
UDF3Title	User defined attribute of the security. The actual label may be different(users discretion). Double click field to create, edit or select from a list of choices for this field.
<b>Vendor</b>	Vendor from which this security was acquired. Double click field to create, edit or select from a list of choices for this field.
<b>Initial NAIC Designation</b>	<p>Select the <b>NAIC Designation</b> from the pick-list. This is the designation at the time of purchase.</p> <p><i>*This field should not be edited after the acquisition security has been posted.</i></p>
<b>Book Value As</b>	<p>Select the method of calculating book value in the <b>Book Value as</b> field.</p> <p>Normally this should be <b>1-Default</b>, with this setting:  the system will show book value as amortized value  unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value.</p> <p>Any other choice for "Book Value As" will force the system to ALWAYS report the book value as that choice. For instance if your company requires you to carry your bonds at Market. then you would choose #3 Market Value.</p>

<b>Market Value As</b>	<p>Select the correct method of calculating market value.</p> <p>Normally use <b>1-NAIC Tbl value</b>. Use this even if you do not get your market prices from the NAIC. With this setting: the system will get the Market prices from the <b>NAIC Px</b> column on the Market screen.</p> <p>If you use <b>2-Market Value</b>, the system will get the Market prices from the <b>Market Px</b> column on the Market screen.</p> <p>Other choices force the system to use those values as Market Price.</p> <p><i><b>Note:</b> Be as consistent as possible, using diverse values for different securities will cause confusion.</i></p>
<b>Public or Priv Trade</b>	Select the correct value in the <b>Public or Priv Trade</b> field. Most all securities will be publicly traded.
Portfolio	Most users use this field to identify which custodial statement the security is held on. If you only have one statement leave blank or set to main.
Amortize this security	Enter an N in the <b>Amortize this Security?</b> Field if you choose not to amortize this security. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.
Tax Status	Select the correct value in the <b>Tax Status</b> field. Double click field to create, edit or select from a list of choices for this field.
Variable Rate	Enter a <b>Y</b> if this bond is a <b>Variable Rate</b> security. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.
I-Bond / TIPS	Check this box if this lot is an adjustment lot to the PAR of a TIPS security.
Schedule D Code	Double click field to select from a list of choices for this field.
Special Deposit Loc	If the security is held on special deposit, Double click the field to from a list of choices for this field.
Encumbrance Code	Schedule D encumbrance code Double click field to from a list of choices for this field. Leaving the field blank will cause Portman to attempt to determine the proper encumbrance code to use (if any).
Special Dep Where	Select the correct value in the <b>Special Deposit Where</b> field. (Where deposited and purpose of deposit on Schedule E section 2)
Special Deposit PAR	Enter the correct value in the <b>Special Deposit Par</b> field.

## Adding Bonds

Before the instructions begin on adding a Bond we would like to address the issue of adding an agency CMO or Mortgage Backed Pool as a Bond. The Bond security type is ideally set up for use as semi-annual pay or zero coupon fixed income securities. PortMan allows you to enter a monthly pay mortgage-backed security as a bond and you can put it in the correct bucket to show up on Schedule D correctly using the Type field. The issue is that if entered as a Bond the security will amortize to the Stated Maturity date as opposed to the Average Life date which is calculated and will be much shorter. The NAIC instructions state to enter these securities as a CMO or MBS security type so they amortize to the Average Life Date. Feel free to call us to discuss the issue in more depth.

You will begin by Choosing **Add** from the Main Menu, then **Bond** from the Sub Menu (or, you could also get here by choosing *Add a Bond* from the *Record* Menu of a security input screen).

You are now looking at the Bond Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not need an entry. Other fields that need values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let's begin.

To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press **Enter**.

Enter the name of the bond in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **USA**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click **OK** or press **Enter**. Press **Enter** to move to the Coupon field.

Enter the rate of interest that the bond pays in the **Coupon** field.

Example: enter the rate as 5.25.

Enter the Par value of the bond in the **Par Value** field.

Enter the Actual Cost of the bond in the **Actual Cost** field.

**Price Paid** is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly.

Enter the **Issue Date** if you desire normally you don't need to.

Enter the **Maturity Date** of the bond.

**Note:** When entering a date in any date field in **PortMan** you may use slashes "/" or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the date that the bond is callable (if it is) in the **Callable Date** field. (Example: 11/12/12) Leave the field blank if the bond is not callable.

Enter the **Call Price** of the bond, if there is one.

Enter the **Trade Date** of bond. This will be the transaction date of the purchase.

Enter the **Settle Date** of the bond.

Enter the **Accrual Start Date** of the bond. This will almost always be left blank as you usually won't have this information. It is the date from which interest starts accruing for this bond. It is only appropriate if the bond is a new issue and the accrual start date is something other than the previous scheduled coupon date.

Choose the correct interest calculation method from the pick-list in the **Calculate Int** field. (Most every bond will be 30-360. US Treasuries should receive a 2, Actual/Actual)

Choose the correct frequency of interest payment from the pick-list in the **Int Frequency** field.

First Coupon, Accrued Int Paid, and the Yield fields will be auto-filled. Press Enter to move to the Pay Schedule field.

**Note:** You can over-ride any of the values that are auto-filled by **PortMan**. But it is advised that you don't change the Sch D Yield field as it is used for Amortization.

Pick the correct payment schedule value from the pick-list in the **Pay Schedule** field.

Press enter to move to the Vendor field.

Pick the correct vendor from the pick-list in the **Vendor** field.

Select the **NAIC Designation** from the pick-list.

Select the correct method of calculating book value in the **Book Value as** field. This should be #1 default as the system will show book value as amortized value unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value. The only exception is if your company requires you to carry your bonds at Market. In this case you will choose #3 NAIC market price.

Select the correct method of calculating market value in the **Market Value as** field. You will normally use #1 NAIC Table value. Use this even if you do not get your market prices from the NAIC. This just tells the system to get the Market prices from the NAIC column on the Market screen.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct value in the **Portfolio** field. This field is important as it will break your holdings into the separate portfolios on your Portfolio report. The Portfolio report is used to make sure your holdings match the bank each month.

You can end here for a typical bond purchase. The rest of the fields will receive values as appropriate.

Select the correct value in the **Tax Status** field. You don't need to enter anything here. This field is used in the tax report on the print menu. Most customers don't use this report.

Enter a **Y** if this bond is a **Variable Rate** security. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

Enter a **Y** in the **I Bond** field if the security is a Treasury I bond. This will make sure Accrued interest is calculated correctly.

IF you have securities on special deposit THEN select the correct value for the next three fields.

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The bond is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File, Exit** to move to the main menu.

There are 3 pages (screens) on a bond record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper right hand corner of the screen.

**Note:** If you choose to move off Page 1 you will be prompted with a question that asks "Create the general ledger transactions associated with this security?" Choose Yes to create the GL transactions. If you don't say yes to the question **PortMan** will generate the transactions when you leave the new security.

**Note:** You can recalculate yields by choosing Edit - Recalculate Yields from the Main Menu.

## Adding Short Term Securities

You will begin by Choosing **Add** from the Main Menu, then **Short Term** from the Sub Menu (or, you could also get here by choosing *Add a Short Term* from the *Record* Menu of a security input screen).

To begin entering:

Enter the Cusip in the Cusip field.

Lot is auto-filled. Press **Enter**.

Enter the name of the security in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **US**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

The screenshot shows the 'Short Term Input Screen' with various input fields. At the top, there's a header with 'Page 1', 'Double Click for Input Help', and a 'Close' button. The main form is divided into several sections. The top section contains fields for 'Cusip', 'Lot' (set to 1), 'G/L Definition', 'SIC', 'Category' (set to ST), 'Currency Denomination', and 'Disposed'. Below this, there are three columns of fields. The left column includes 'Coupon', 'Par Value', 'Actual Cost', 'Price Paid', 'Issue Date', 'Maturity Date', 'Call Date', 'Call Price', 'Trade Date', and 'Settle Date'. The middle column includes 'Calculate Int', 'Int. Frequency', 'First Coup Date', 'Accrued Int Paid', 'Pay Schedule', 'Yield to Call', 'Yield to Maturity', 'Sch D Yield', 'Amortized To', and three UDF fields (UDF1Title, UDF2Title, UDF3Title). The right column includes 'Vendor', 'Initial NAIC Design', 'Book Value as' (set to 1, Default), 'Market Value as', 'Public or Priv Trade' (set to 2, Publicly traded), 'Portfolio', 'Amortize this Security?', 'Tax Status', 'Variable Rate', 'I-BOND / TIPS', 'Schedule D Code' (set to n/a), 'Special Deposit Loc', 'Encumbrance Code' (set to n/a), 'Special Dep Where', 'Special Deposit Par', and 'Cash Equivalent'.

You will see a pick-list that contains the **General Ledger definitions** for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click **OK** or press **Enter**. Press **Enter** to move to the SIC code field.

Enter the rate of interest that the security pays in the **Coupon** field. Enter the rate as in the following example: 4.25.



Enter the Par value of the security in the **Par Value** field.

Enter the Actual Cost of the security in the **Actual Cost** field.

**Price Paid** is auto-filled. This value may be over-ridden, but will only be incorrect if the Par or Actual Cost is entered incorrectly.

Enter the **Issue Date** if you desire.

Enter the **Maturity Date** of the security.

**Note:** When entering a date in any date field in **PortMan** you may use slashes “/” or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the date that the security is callable (if it is) in the **Callable Date** field. (EX: 3/31/05) Leave the field blank if the security is not callable.

Enter the **Call Price** of the security, if there is one.

Enter the **Trade Date** of security.

Enter the **Settle Date** of the security.

Choose the correct interest calculation method from the pick-list in the **Calculate Int** field. (Most every security will be 30-360)

Choose the correct frequency of interest payment from the pick-list in the **Int Frequency** field.

First Coupon, Accrued Int Paid, and the Yield fields will be auto-filled, and Modified Duration is calculated. Press Enter to move to the Pay Schedule field.

**Note:** You can over-ride any of the values that are auto-filled by **PortMan**. But don't change the Sch D Yield field as it is used for Amortization.

Pick the correct payment schedule value from the pick-list in the **Pay Schedule** field.

Press enter to move to the Vendor field.

Pick the correct vendor from the pick-list in the **Vendor** field.

Select the **NAIC Designation** from the pick-list.

Select the correct method of calculating book value in the **Book Value as** field. This should be #1 default as the system will show book value as amortized value unless the bond has a low NAIC Designation which will then cause the security to display the lower of amortized or market value. The

only exception is if your company requires you to carry your bonds at Market. In this case you will choose #3 NAIC market price.

Select the correct method of calculating market value in the **Market Value as** field. You will normally use #1 NAIC Table value. Use this even if you do not get your market prices from the NAIC. This just tells the system to get the Market prices from the NAIC column on the Market screen.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

Enter a **Y** if this bond is a **Variable Rate** security. This will flag the security as such on the Annual Statement and calculate interest accrued using the current coupon rate.

Enter an **N** in the **Amortize this Security?** Field if you choose not to amortize this security. You will choose this if you want to show the gain in T-Bills as interest as opposed to amortization.

IF you have securities on special deposit THEN select the correct value for the next three fields. (**PortMan** will export this data to Schedule E section 2 of your Statement Software)

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The security is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File, Exit** to move to the main menu.

There are 3 pages (screens) on a short term record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

## Is this security a CMO or MBS?

There can be significant differences between a **M**ortgage **B**acked **S**ecurity and a **C**ollateralized **M**ortgage **O**bligation. But at the same time, there are many similarities. To be brief, a MBS is security that is a pool of mortgage loans. They pay monthly payments of interest and principal to the investor from the first month of issue until the entire principal is repaid.

A CMO is usually backed by mortgages (they can also be backed by any number of other types of expected payments), but they don't have to pay the principal back every month. A CMO takes the cash flow stream from the backing instruments and repackages them in different segments (called tranches) that have differing pay-back characteristics. They usually pay monthly, but they don't have to. It is also common for a CMO to pay interest for a specified period of time, and then start paying down principal. **PortMan** handles these events using industry standard conventions.

It is also worth noting that MBS's can be entered as CMO's, but not vice versa. If a MBS is entered without any of the special features of a CMO it will be handled the same as if you entered it as a MBS.

We recommend that you enter a monthly pay MBS or CMO as a Bond security type if you don't receive the extra information that MBS's and CMO's require. Everything will be handled the same except for amortization. If you don't have correct PSA's for MBS's and CMO's and update them regularly you defeat the purpose of entering them as an MBS or CMO.

## Adding CMO's

You will begin by Choosing **Add** from the Main Menu, then **CMO** from the Sub Menu (or, you could also get here by choosing *Add a CMO* from the *Record* Menu of a security input screen).

Page 1 Double Click for Input Help CMO Input Screen Page 1 Close

Cusip : Lot : 1 G/L Definition :  
Name : SIC :  
Type : Category : CMO Disposed :  
Collateral Type : Currency Denomination :  
CMO Type : Actual Cost: Vendor :  
Princ Paid : Price Paid: Initial NAIC Desig:  
1st Plan Prin Pay Date: Interest Rate: Amort Method:  
Last Plan Prin Pay Dt: Int. Frequency: Book Value as: 1 Default  
Issue Date: First Coup Date: Market Value as:  
Trade Date: Accrued Int Paid: Public or Priv Trade: 2 Publicly traded  
Settle Date: Pay Schedule: Portfolio:  
Delay Days: PSA: Amortize this CMO?  
Maturity Date: Avg. Life Date: AM Best Inv Type:  
Orig Balance: Initial Yield: Tax Status:  
Unpaid Bal (Par): Schedule D Yield: Variable Rate:  
Curr Factor : Pricing Method: Special Deposit Loc:  
Pricing Source: Encumbrance Code: n/a  
UDF1Title: Special Dep Where:  
UDF2Title: Special Deposit Par:  
UDF3Title: Characteristics:

NOTE: Fields in RED are required, if applicable. Fields in BLUE are calculated.

You are now looking at the CMO Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not need an entry. Other fields that need

values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let's begin.

**Note:** The special information that is required to correctly complete a CMO entry can be found on Bloomberg screens that should accompany your purchase. The Bloomberg DES page will contain all of the information needed except 1<sup>st</sup> plan principal payment, which is on the CFT page.

To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press **Enter**.

Enter the name of the CMO in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **USA**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click **OK** or press **Enter**.

Pick the correct type of CMO in the **CMO Type** field. 99 percent will be Non Accrual, which is the default choice. An Accrual CMO accrues the interest that is payable and pays it at a later date.

Select the principal payment method in the **Princ Paid** field. Most all CMO's will be regular, which is the default. **Principal Only** pays only principal, with no interest payments. **Interest Only** pays only interest, with no principal payments. IO ettes pay a small portion of principal and the regular portion of interest. These last three types are very risky and generally used for hedging purposes. **PortMan** only supports regular CMO's.

Enter the date that is the scheduled to receive the first principal payment in the **1<sup>st</sup> Plan Prin Pay Date** field. *Only make an entry if there is a stated delay in principal payments. There is no need to enter next month's pay date.*

Enter the date that is the scheduled to receive the last principal payment in the **Last Plan Prin Pay Dt** field. *Only make an entry if there is a stated last payment date in principal payments.*

Enter the **Issue Date** of the CMO.

Enter the **Trade Date** of CMO. This will be the transaction date of the purchase.

Enter the **Settle Date** of the CMO.

Select the days delayed of payments in **Delay Days** field. It may help you to subtract 30 days from the entries on the list. A 44 day delay pays on the 15<sup>th</sup>.

Enter the **Maturity Date** of the bond.

**Note:** When entering a date in any date field in **PortMan** you may use slashes “/” or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

Enter the value of the securities original Par in the **Orig Balance** field. This is the amount of par that was associated with your security when it was issued. If you don’t have this information, it will be calculated when you enter the current factor.

Enter the current Par value in the **Unpaid Bal** field. This is the Par Value you are purchasing.

If you entered data in the Orig Balance and Unpaid Bal fields the **Curr Factor** field is auto-filled. If you don’t have an original balance value, but you do have a factor you can enter it now. The Orig Balance field will then be auto filled.

Enter the correct value in the **Actual Cost** field.

The **Price Paid** field is auto-filled.

Enter the Coupon rate in the **Interest Rate** field.

Select the correct value for the **Int Frequency** field.

**First Coupon Date** and **Accrued Interest Paid** are auto-filled. Both values can be overwritten if you know them to be incorrect.

Select the correct value for the **Pay Schedule** field.

Type the correct value in the **PSA** field. Average Life, Yield, and Modified Duration are automatically calculated.

Press enter until you move to the Vendor field.

Select the correct **Vendor** who supplied this CMO.

Select the **Initial NAIC designation**. CMO’s issued by an agency will have a designation of 1.

Select the proper **Amortization Method**.

**Note:** The available choices on this pick list are: 1. Prospective, 2. Retrospective, and 3. No Amortization. These choices are explained as follows.

Prospective amortization recalculates the yield every month using the current Book Value and the new projected cash flows. Retrospective amortization recalculates the yield every month using the Actual Cost at time of purchase, the purchase date, the historical cash flows, and the new projected cash flows.

This new yield is then used to calculate the book value in the upcoming month.

Select the correct method of calculating book value in the **Book Value as** field.

Select the correct method of calculating market value in the **Market Value as** field.

Select the correct method of calculating Statement value (column 16 in Schedule D) in the **Stmnt Val as, Col 16** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct category for AM Best's ABS Valuation and Duration Analysis in the **AM Best Inv Type** field. Most, if not all of your CMO securities will have a code 3, 4, or 5. Your investment counselor can provide more information.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

IF you have securities on special deposit THEN select the correct value for the next three fields. (**PortMan** will export this data to Schedule E section 2 of your Statement Software)

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The CMO is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File, Exit** to move to the main menu.

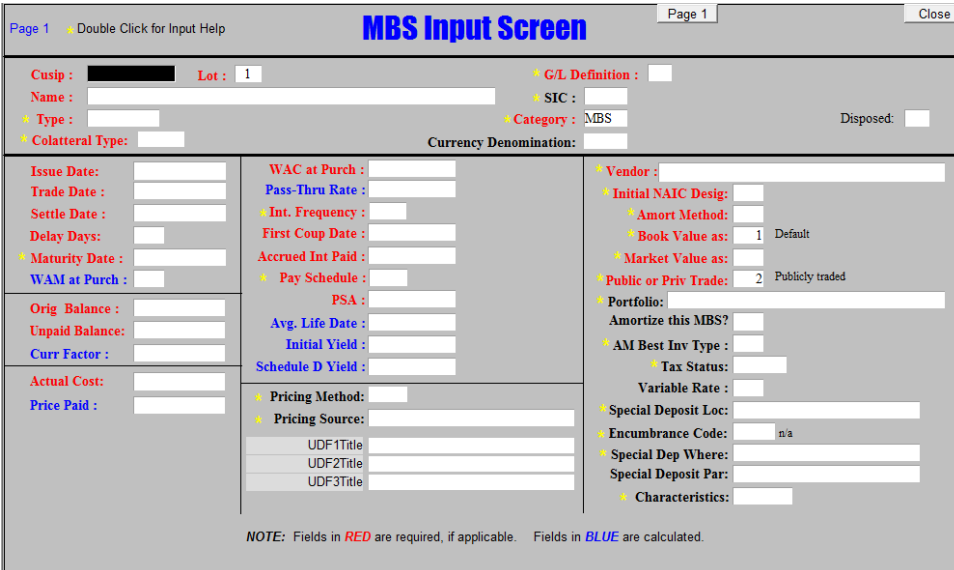
There are 4 pages (screens) on a CMO record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the

transaction information that has affected the security. Page 4 contains the historical and projected cash flow schedule. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3**, or **Page 4** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

**Note:** If you choose to move off Page 1 you will be prompted with a question that asks “Create the general ledger transactions associated with this security?” Choose Yes to create the GL transactions. If you don’t say yes to the question, **PortMan** will generate the transactions when you leave the new security.

## Adding MBS's

You will begin by Choosing **Add** from the Main Menu, then **MBS** from the Sub Menu (or, you could also get here by choosing **Add a MBS** from the *Record* Menu of a security input screen).



You are now looking at the MBS Input Screen. There are some things you should note about this entry screen. The fields that need entries are color coded in red. Any field that is not coded in red does not need an entry. Other fields that need values will receive them as a result of an automatic calculation or from a transaction update. Also, fields that offer input help have yellow asterisks next to them. With this noted, let’s begin.

**Note:** The special information that is required to correctly complete a MBS entry can be found on Bloomberg screens that should accompany your purchase. The Bloomberg DES & YT pages will contain all of the information needed.

To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press **Enter**.

Enter the name of the MBS in the **Name** field.

A pick-list appears that is used to define the type of bond you are purchasing. This list contains all of the definitions of the NAIC categories for Bonds and Short Term securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Industrial & Misc, not loan backed security, begin by typing **USA**. You will see the US bonds in the list. The eighth choice is the category we need. Highlight it by using the down-arrow key or by clicking with your mouse. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click **OK** or press **Enter**. Press **Enter** to move to the Issue Date field.

Enter the **Issue Date** of the MBS.

Enter the **Trade Date** of MBS.

Enter the **Settle Date** of the MBS.

Select the days delayed of payments in **Delay Days** field. It may help you to subtract 30 days from the entries on the list. A 44 day delay pays on the 15<sup>th</sup>.

Enter the **Maturity Date** of the bond.

**Note:** When entering a date in any date field in **PortMan** you may use slashes “/” or periods as the separator. Example: Entering 11.12.6 will enter a date of 11/12/2006.

**WAM** (Weighted Average Maturity) is auto-filled.

Enter the value of the securities original Par in the **Orig Balance** field. This is the amount of par that was associated with your security when it was issued. If you don’t have this information, it will be calculated when you enter the current factor.

Enter the current Par value in the **Unpaid Bal** field. This is the Par Value you are purchasing.

If you entered data in the Orig Balance and Unpaid Bal fields the **Curr Factor** field is auto-filled. If you don’t have an original balance value, but you do have a factor you can enter it now. The Orig Balance field will then be auto filled.



Enter the correct value in the **Actual Cost** field.

The **Price Paid** field is auto-filled.

Enter the Weighted Average Coupon in the **WAC** field. This is average coupon rate of the pooled securities. It is usually .5 % higher than the Pass Through coupon rate.

**Note: Weighted Average Coupon is not the rate that you are paid. Pass Thru Rate is the coupon you are paid.**

The Coupon rate is auto-filled in the **Pass Thru Rate** field. This is the coupon rate paid to you. You can change the value if needed.

Select the M for Monthly in the **Int Frequency** field.

**First Coupon Date** and **Accrued Interest Paid** are auto-filled. Both values can be overwritten if you know them to be incorrect.

Select the correct value for the **Pay Schedule** field.

Type the correct value in the **PSA** field. Average Life, Yield, and Modified Duration are automatically calculated.

Press enter until you move to the Vendor field.

Select the correct **Vendor** who supplied this MBS.

Select the **Initial NAIC designation**. MBS's issued by an agency will have a designation of 1.

Select the proper **Amortization Method**.

**Note:** The available choices on this pick list are: 1. Prospective, 2. Retrospective, and 3. No Amortization. These choices are explained as follows.

Prospective amortization recalculates the yield every month using the current Book Value and the new projected cash flows. Retrospective amortization recalculates the yield every month using the Actual Cost at time of purchase, the purchase date, the historical cash flows, and the new projected cash flows.

This new yield is then used to calculate the book value in the upcoming month.

Select the correct method of calculating book value in the **Book Value as** field.

Select the correct method of calculating market value in the **Market Value as** field.

Select the correct method of calculating Statement value (column 16 in Schedule D) in the **Stmnt Val as, Col 16** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publically traded.

Select the correct category for AM Best's ABS Valuation and Duration Analysis in the **AM Best Inv Type** field. Your MBS securities will have a code 1 or 2. Code 1 is for fixed rate coupons (vast majority); Code 2 is for variable rate coupons.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

IF you have securities on special deposit THEN select the correct value for the next three fields. (**PortMan** will export this data to Schedule E section 2 of your Statement Software)

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Par** field.

That's it. The MBS is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File, Exit** to move to the main menu.

There are 4 pages (screens) on a MBS record. You have just finished entering page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. Page 4 contains the historical and projected cash flow schedule. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3**, or **Page 4** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper left hand corner of the screen.

**Note:** If you choose to move off Page 1 you will be prompted with a question that asks "Create the general ledger transactions associated with this security?" Choose Yes to create the GL transactions. If you don't say yes to the question **PortMan** will generate the transactions when you leave the new security.

## Adding Stocks

Stocks require less data entry than bonds. There are numerous fields on the stock screen that do not necessarily require an entry. They are there to be used on an as needed basis. *(Note: Required fields are listed in RED)*

The only required fields of entry for a stock are:

Cusip	Shares	Vendor
Name	Actual Cost	Initial NAIC
Type (NAIC Ctg)	Trade Date	Book Value as
GL Definition	Settle Date	Market Value as

If you want a Stock's dividend amount to be included in the end of month reports, and on the income list, you will need to fill in the following fields in addition to those above:

*(Note: Fields listed in Blue)*

Dividend Frequency, First Due Date, Expected Dividend Amount

You will begin by Choosing **Add** from the Main Menu, then **Stocks** from the Sub Menu.

You will see the following screen.

Page 1 Double Click for Input Help **Stock Input Screen** Page 1 Close

Cusip : Lot : 1 G/L Definition : SIC : Category : CS Disposed : Currency Denomination :

Shares : Price per Share : Actual Cost : Par Value : Issue Date : Maturity Date : Call Date : Call Price : Trade Date : Settle Date : Coupon : Div. Frequency : First Div Date : Expected Div : Accrued Div Paid : Pay Schedule : Ticker Symbol : Pricing Method : Pricing Source : Vendor : Initial NAIC : Book Value as : 3 Market Value : Market Value as : Public or Priv Trade? 2 Publicly traded : Portfolio : Tax Status : Special Deposit Loc : Encumbrance Code : n/a : Special Dep Where : Special Dep Shares : Acquired Shares :

NOTE: RED fields are required.  
BLUE fields are optional (Populate income screen)  
GREEN fields are for Preferred Stock (optionally)

To begin entering:

Enter the Cusip in the **Cusip** field.

Lot is auto-filled. Press **Enter**.

Enter the name of the Stock in the **Name** field.

A pick-list appears that is used to define the type of stock you are purchasing. This list contains all of the definitions of the NAIC categories for Common and Preferred Stock securities. It, as well as all of the following lists of this type, has a dynamic lookup capability. Type the description you are looking for to highlight the choice you want. For a US Common Stock - Industrial & Misc, begin by typing **USA**. You will see the US stocks in the list. The second choice is the category we need. Click the OK button and the Type and its description fields will be auto-filled. Press **Enter** to move to the GL definition field.

You will see a pick-list that contains the General Ledger definitions for your security types. This list is used to define all of your GL accounts that correspond to the appropriate transactions for that security type. **PortMan** will then use the definition to ascertain the appropriate ledger number when it generates transactions. This allows **PortMan** to provide Transaction reporting that corresponds to your GL. Choose the appropriate definition for this bond and click **OK** or press **Enter**.

Enter the number of **Shares** that you purchased.

Enter the per share stock price in the **Price Paid** field. EX: If you paid \$3,450.00 for a hundred shares you will enter 34.50. **You can also skip this field and enter Actual Cost. Price Paid will then be auto-filled.**

**Actual Cost** is auto-filled if you enter Price Paid. You can enter Actual Cost and Price Paid will be auto-filled.

Enter the Par Value of a Preferred stock in the **Par Val / Share** field, if there is one.

Enter the **Issue Date** if you desire.

Enter the **Maturity Date**, if appropriate.

Enter the date that the stock is callable (if it is) in the **Callable Date** field. Leave blank if appropriate.

Enter the call price of the stock (if it is) in the **Call Price** field. Leave blank if appropriate.

Enter the **Trade Date**.

Enter the **Settle Date**.

Enter the coupon in the **Coupon** field, Leave blank if appropriate

Select the appropriate Dividend Frequency in the **Div Frequency** field. Stocks usually pay quarterly.

Enter the first Dividend pay date of the year in the **First Div Date** field. This field and Expected Dividend must have a value entered to print on the Expected Dividend Payment report that prints with the Month End reports.

Enter the dividend amount in the **Expected Div** field.

Enter the **Accrued Dividend Paid**, if there was one.

Select the correct dividend Pay Schedule.

Select the correct **Vendor** who supplied this stock.

Select the **Initial NAIC designation**.

Select the correct method of reporting book value in the **Book Value as** field.

Select the correct method of reporting market value in the **Market Value as** field.

Select the correct method of reporting statement value in the **Statement Val as** field.

Select the correct value in the **Public or Priv Trade** field. Most all securities will be publicly traded.

Select the correct value in the **Tax Status** field.

Select the correct value in the **Portfolio** field.

IF you have securities on special deposit THEN select the correct value for the next three fields.  
(**PortMan** will export this data to Schedule E section 2 of your Statement Software)

Select the correct value in the **Special Deposit Location** field.

Select the correct value in the **Special Deposit Where** field. (Where deposited and purpose of deposit on Schedule E section 2)

Enter the correct value in the **Special Deposit Shares** field.

That's it. The stock is entered. If you want to enter another security choose **Records**, then **Add a New XXX** to add the next security where XXX is the security type. If you're finished, choose **File, Exit** to move to the main menu.

There are 3 pages (screens) on a Stock record. You have just finished entering Page 1. Page 2 has more information about the security which is updated by other parts of the program. Page 3 contains all of the transaction information that has affected the security. You can move to the pages by choosing **File**, then **Page 2**, or **Page 3** from the Menu, or by clicking on the **Move to Page 2** and **Move to Page 3** buttons in the upper right hand corner of the screen.

## ***Completing Acquisition Transactions***

After entering all of the purchases for the month you need to verify that the transaction information is entered correctly. For input checking you will want to print the **Pre-Post Transactions** report. The **Pre-Post Transactions** report is a one sided (single entry) accounting report that lists each security with the associated **PortMan** transaction Code. The report is found under the *Transaction Menu*.

If all transactions are correct you should run a backup. This will ensure that you can recover if an entry is incorrect, or the power goes out while you're posting the transactions. Choose ***Transactions, Post Transactions*** to post. A posting is required because there are internal events (such as quarterly information) that must be recorded in the system.

# Disposing Securities

To dispose a security you will choose **Transactions**, from the Main Menu, then **Calls, Maturities, Sales** from the sub-menu. You will be brought to a screen that looks like the following:

Security Pick List			Cusip Search	Move to Disposal Detail	Multi Lot Disposal	INSTRUCTIONS			
Cusip	Lot	Type	Description	Shrs	Par	Portfolio			
00170F-20-9	1	PS	AFFILIATED MANAGERS	890.00		Converts			
00170F-20-9	2	PS	AFFILIATED MANAGERS	120.00		Converts			
00170F-20-9	3	PS	AFFILIATED MANAGERS	60.00		Converts			
00170F-20-9	4	PS	AFFILIATED MANAGERS	120.00		Converts			
00170F-20-9	5	PS	AFFILIATED MANAGERS	30.00		Converts			
00170F-20-9	6	PS	AFFILIATED MANAGERS	700.00		Converts			
00206R-AX-0	1	BN	AT&T INC		215,000.00	Main			
00206R-AX-0	2	BN	AT&T INC		185,000.00	Main			
002819-AB-6	1	BN	Abbott Laboratories		500,000.00	Main			
002824-AT-7	1	BN	ABBOTT LABS		210,000.00	Main			
002824-AT-7	2	BN	ABBOTT LABS		65,000.00	Main			
01030L-BS-3	1	BN	ALABAMA INCENTIVES FING AL		400,000.00	Main			
013716-AV-7	1	BN	ALCAN INC		150,000.00	Main			

Disposal Transactions									
Cusip	Lot	Name	Type	F / P	Trade Date	Settle Date	Int / Div Recvd	Sale Proceeds	
002824-AT-7	1	ABBOTT LABS	BN	P	8/1/2011	8/12/2011	178.82	163,953.49	
002824-AT-7	2	ABBOTT LABS	BN	F	8/1/2011	8/12/2011	77.49	71,046.51	
013716-AV-7	1	ALCAN INC	BN	F	8/15/2011	8/16/2011	1,562.50	457.00	
031162-BH-2	2	AMGEN INC	BN	P	8/1/2011	8/2/2011	520.00	25,300.20	
165167-CA-3	7	CHESEPEAKE ENERGY	BN	P	8/1/2011	8/1/2011	1.00	3,000.00	

To dispose a security:

Pick the security to dispose by selecting it from the Pick List.

You can either scroll through the list using:

- the arrow keys;
- the mouse;
- or you can click on the Cusip Search button to search by cusip or description.

When the desired security is highlighted

- To dispose of the selected LOT - click the "Move to Disposal Detail" button to enter a single lot disposal
- To dispose of multiple lots of the selected CUSIP - click the "Multi Lot Disposal" button.

## Single Lot Disposal

**Disposal Input Screen** Double Click for Input Help

Move to Disposal List New Transaction

Cusip : 002896-20-7 Lot : 18 Shares : 1,978.00 GL Definition : CS Invt Acct3 (Linsco)

Name : ABERCROMBIE & FITCH Par Value : Cost : 86,300.14

Type : 9001999 USA Common Stock - Ind & Misc. Category : CS Maturity: Coup :

Matured

**Disposal Information**

F or P: P Disposal Shares: 78.00

Disposal Trade: 6/15/2011 Disp Share Price: 8.36

Disposal Settle: 6/15/2011 Sale Amount: 652.38

Purchaser: BANK DIRECT

**Interest/Dividend Received**

Amount Recvd:

**INSTRUCTIONS**

Enter the appropriate information in the respective fields. F or P receives a F for Full Disposal. P for Partial Disposal. Enter the disposed par in the Disposal Par Value field for a disposal of a non stock security. Enter the number of shares disposed in the Disposal Shares for a disposal of stock.

Int/Div Received:  
Enter the appropriate information if different from the amount that is calculated

A Security that has matured can be recorded by clicking on the **Matured** button. This button will pull the appropriate information from the securities master record.

A security that has been sold will require manual entries. The fields and values are:

**F or P:** Enter F if fully disposed, P if partially disposed.

**Disposal Trade Date:** Enter the date that the security was sold.

**Disposal Settle Date:** Enter the settle date for the security sale.

**Purchaser:** Enter the Purchaser of the security.

**Sale Amount:** Enter the Sale Amount (the amount received) for the security.

**Partial Disposal Par Value:** Enter the partial disposal Par Value if it is different than the Sale Amount.  
(Only required on Partial Disposals)

**Partial Disposal Shares:** Enter the amount of shares sold on a partial disposal of stock.

The **Amount Recvd:** field will auto-fill with the interest amount that **PortMan** calculates the bond should receive given the data that is input. Enter a new amount if it is different than the auto-filled value.

Click on the Move to Disposal List button to return to the security pick-list.



You will see the disposal transaction you just entered in the Disposal Transaction section of the screen. It will look like this:

Security Pick List

Cusip Search

Move to Disp Detail

Multi Lot Disposal

Cusip	Lot	Type	Description	Shrs	Par	Portfolio
000375-20-4	2	CS	ABB LTD SPON ADR	120.00		MS Branch
000375-20-4	3	CS	ABB LTD SPON ADR	90.00		MS Branch
000375-20-4	4	CS	ABB LTD SPON ADR	90.00		MS Branch
001055-10-2	2	CS	AFLAC INCORPORATED	3,923.00		MS Branch
001055-10-2	3	CS	AFLAC INCORPORATED	2,895.00		MS Branch
00206R-10-2	15	CS	AT&T INC	303.00		MS Branch
00206R-10-2	17	CS	AT&T INC	2,689.00		MS Branch
00206R-10-2	18	CS	AT&T INC	826.00		MS Branch
00206R-AJ-1	3	BN	AT&T INC.		200,000.00	MS Branch
00206R-AJ-1	4	BN	AT&T INC. 02/01/18		25,000.00	MS Branch
002896-20-7	18	CS	ABERCROMBIE & FITCH	1,978.00		Linsco
002896-20-7	19	CS	ABERCROMBIE & FITCH	6.30		Linsco
002896-20-7	20	CS	ABERCROMBIE & FITCH	142.00		Linsco

INSTRUCTIONS

1. Pick the Security to dispose from the Pick List.

2. Click Move to Disp Detail to move to Disposal Input Screen.

3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third,...disposal in the month.

4. Choose File, Exit to leave. Post Transactions in the normal manner.

Disposal Transactions

Cusip	Lot	Name	Type	F / P	Trade Date	Settle Date	Int / Div Recvd	Sale Proceeds
002896-20-7	18	ABERCROMBIE & FITCH	CS	P	6/15/2011	6/15/2011		652.38

**INSTRUCTIONS**

1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.

After you are finished with all of your disposal entries choose *File, Exit* to return to the Main Menu. There may be a few moments of work time before the Main Menu appears as all of the appropriate transactions will be generated at this time.

You will now want to print the transaction reports to verify their correctness. Refer to the Posting Transactions section for information on how to print the reports and post the transactions.

## Multi-Lot Disposals

To dispose multiple lots of a security in one transaction you will choose **Transactions**, from the Main Menu, then **Calls, Maturities, Sales** from the sub-menu.

You will then click on any lot of the security you wish to dispose.

**NOTE:** If you have multiple portfolio's you will need to ensure that you click on a lot for the correct portfolio.

When the correct lot is selected click the "Multi Lot Disposal" button. You will then see a screen similar to the one below:

Disposal Input Screen

Right click \* to get help on the field

---

Cusip: 256206-10-3
Category: CS
Portfolio: Main
GL Definition: Common Stock

Name: Dodge & Cox Int'l Stock Fd #1048
Available Shares: 221126.277000

Type: 9201999 USA Common Stock - Mutual Funds
Actual Cost: 6845604.950000

---

**Disposal Information**

Select Disposal Order \* ☒ FIFO ☐ LIFO ☐ Lot Order

\* Disposal Trade Date: 8/1/2013

\* Disposal Settle Date: 8/10/2013

\* Purchaser: A G Edwards

\* Disposal Shares: 15862

\* Consideration: 1564325

\* Interest / Dividend Received: 0

**Disposal options**

☐ Return of Capital \*

☐ Full Disposal \*

☐ Stock Spin Off \*

☐ Capital Gain \*

Cusip	Lot	* Disposal Type	* Disposal Factor	* Available Units	* Disposal Shares	Int/Div Recvd	Consideration Received
256206-10-3	7	F	0.518118	8218.380000	8218.380000	0.00	810,504.18
256206-10-3	8	P	0.481882	13306.781000	7643.620000	0.00	753,820.82
256206-10-3	9			524.577000			
256206-10-3	10			2862.543000			
256206-10-3	11			11163.829000			
256206-10-3	12			3069.483000			
256206-10-3	13			21822.149000			
256206-10-3	14			6407.296000			

Save Disposal
Close

Enter the proper information to record the disposal. The fields and values are:

**Select Disposal Order:** FIFO (First in Last out, This is the default) or LIFO (Last in First Out), Lot Number Order

**Disposal Trade Date:** Enter the date that the security was sold.

**Disposal Settle Date:** Enter the date the disposal was settled.

**Purchaser:** Enter the Purchaser of the security.

**Disposal Shares:** Enter the amount of shares sold on a disposal of stock.

**Disposal PAR:** Enter the amount of PAR sold on a disposal of a BOND, CMO, MBS or Short Term.

**Consideration:** Enter the Sale Amount (the amount received) for the security.

**Interest / Dividend Received:** Enter the amount of interest or dividend received as a result of this disposal. A blank indicates zero received.

**Disposal Options:**

**Matured:** Check this box if the security has matured.

**Return of Capital:** Check this box if the transaction is a Return of Capital and you are not disposing of any shares.

NOTE: A return of capital that **exceeds** the actual cost must be processed in two transactions. The first transaction will be a Return of Capital for the amount of the Actual Cost. Then you will process a second transaction as a Capital Gain for the difference

**Capital Gain:** Check this box if the transaction is a Capital Gain and you are not disposing of any shares.

**Stock Spin Off:** Check this box to dispose of a portion of the cost basis as a result of a Stock spin-off. This is for the actual spin-off, not for the disposal of any resulting fractional shares on the new spun security.

Click the "Save Disposal" button to save your entries, click close to cancel.

## Editing a Disposal

Security Pick List		Cusip Search	Move to Disposal Detail	Multi Lot Disposal		
Cusip	Lot	Type	Description	Shrs	Par	Portfolio
00758M-16-2	1	CS	Acadian Emerging Mkt PTF-1 #12	45,899.95		Main
008916-AL-2	1	BN	Agrium Inc 3.5% 6/01/2023		3,250,000.00	Corporate Obligations
02153L-AA-2	1	BN	Alterra Finance LLC 6.25%		2,200,000.00	Corporate Obligations
026351-AU-0	1	BN	American Gen Corp 7.5% 07/15/2		3,100,000.00	Corporate Obligations
029912-BD-3	1	BN	American Tower Corp. 4.500%		3,000,000.00	Corporate Obligations
03027X-AB-6	1	BN	American Tower Corp 3.5% 01/31/		1,500,000.00	Corporate Obligations
03063N-AK-3	1	BN	Americold LLC 6.0309% 1/14/202		2,000,000.00	Corporate Obligations
03065B-AF-8	1	BN	Americredit Automobi 3% 07/08/2		665,000.00	Corporate Obligations
037833-AK-6	1	BN	Apple Inc 2.4% 05/03/2023		4,200,000.00	Corporate Obligations
05490A-AE-3	1	BN	BB-UBS Trust 3.46835% 6/05/30		5,125,000.00	Mortgage Backed
05947U-2S-6	1	BN	Banc of America Comm 5.176% 1		1,034,000.00	Mortgage Backed
05947U-C2-2	1	BN	Banc of America Com Mtg 4.87%		1,500,000.00	Mortgage Backed
05952A-AE-4	1	BN	Banc of Amer Com Mtg 6.21161 2		1,000,000.00	Mortgage Backed

Disposal Transactions								
Cusip	Lot	Name	Type	F / P	Trade Date	Settle Date	Int / Div Recvd	Sale Proceeds
256206-10-3	7	Dodge & Cox Int'l Stock Fd #1048	CS	F	8/1/2013	8/10/2013	0.00	810,504.18
256206-10-3	8	Dodge & Cox Int'l Stock Fd #1048	CS	P	8/1/2013	8/10/2013	0.00	753,820.82

**INSTRUCTIONS**

1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.

To edit a disposal from the disposal screen (above);

- Use the mouse to double-click the Disposal transaction that you want to edit. This will display the disposal on the Multi-lot Disposal screen.

Multi-Lot Disposal Input Screen									
Cusip: 00758M-16-2		Category: BN		Portfolio: Main		GL Definition: Bonds			
Name: ABBOTT LABS		Available Par: 275,000.00		Maturity: 5/15/2016		Coupon: 5.88			
Type: 3201999 US Ind. & Misc. Issue Obligations									
Disposal Information Select Disposal Order: <input type="radio"/> FIFO <input checked="" type="radio"/> LIFO <input type="radio"/> Lot Order									
* Disposal Trade Date: 8/10/2013 * Disposal Settle Date: 8/12/2013 * Purchaser: A G EDWARDS * Disposal PAR: 215,000.00 * Consideration: 215,000.00 * Interest / Dividend Received: 256.11									
Cusip	Lot	Disposal Type	Disposal Factor	Available Units	Disposal Par	Disposal Shares	Int/Div Recvd	Consideration Received	
002824-AT-7	2	P	0.302320	65,000.00	65,000.00	77.49	71,848.51		
002824-AT-7	1	P	0.697674	210,000.00	150,000.00	178.82	163,953.49		

Save Disposal Close

- Edit the disposal as needed and click the "Save Disposal" button.
- or click the CLOSE button, to cancel the edit.

Notes:

- If the record is part of a multi-lot disposal, all lots related to that disposal will be displayed.
- If this is a single lot disposal, only the disposed lot will be visible.
- If the disposal has already been posted, you will need to Reset the security to Previous Month and then re-enter the disposal.

## Deleting a Disposal

Security Pick List			Cusip Search	Move to Disposal Detail	Multi Lot Disposal	
Cusip	Lot	Type	Description	Shrs	Par	Portfolio
00758M-16-2	1	CS	Acadian Emerging Mkt PTF-1 #12	45,899.95		Main
008916-AL-2	1	BN	Agrium Inc 3.5% 6/01/2023		3,250,000.00	Corporate Obligations
02153L-AA-2	1	BN	Alterra Finance LLC 6.25%		2,200,000.00	Corporate Obligations
026351-AU-0	1	BN	American Gen Corp 7.5% 07/15/2		3,100,000.00	Corporate Obligations
029912-BD-3	1	BN	American Tower Corp. 4.500%		3,000,000.00	Corporate Obligations
03027X-AB-6	1	BN	American Tower Corp 3.5% 01/31/		1,500,000.00	Corporate Obligations
03063N-AK-3	1	BN	Americold LLC 6.0309% 1/14/202		2,000,000.00	Corporate Obligations
03065B-AF-8	1	BN	Americredit Automobi 3% 07/08/2		665,000.00	Corporate Obligations
037833-AK-6	1	BN	Apple Inc 2.4% 05/03/2023		4,200,000.00	Corporate Obligations
05490A-AE-3	1	BN	BB-UBS Trust 3.46835% 6/05/30		5,125,000.00	Mortgage Backed
05947U-2S-6	1	BN	Banc of America Comm 5.176% 1		1,034,000.00	Mortgage Backed
05947U-C2-2	1	BN	Banc of America Com Mtg 4.87%		1,500,000.00	Mortgage Backed
05952A-AE-4	1	BN	Banc of Amer Com Mtg 6.21161 2		1,000,000.00	Mortgage Backed

**INSTRUCTIONS**

1. Pick the Security to dispose from the Pick List.
2. Click Move to Disp Detail to move to Disposal Input Screen.
3. Enter the disposal information on the Input Screen and click Move to Disposal List to return to this screen. Click New Transaction if there is a second, third... disposal in the month.
4. Choose File, Exit to leave. Post Transactions in the normal manner.

**Disposal Transactions**

Cusip	Lot	Name	Type	F / P	Trade Date	Settle Date	Int / Div Recvd	Sale Proceeds
256206-10-3	7	Dodge & Cox Int'l Stock Fd #1048	CS	F	8/1/2013	8/10/2013	0.00	810,504.18
256206-10-3	8	Dodge & Cox Int'l Stock Fd #1048	CS	P	8/1/2013	8/10/2013	0.00	753,820.82

- Use the mouse to click and select the Disposal Transaction that you want to Delete.
- On the keyboard press Ctrl+Delete, The records associated with this disposal will be deleted.

### Notes:

- If the record is part of a multi-lot disposal, all lots related to that disposal will be deleted.
- If the disposal has already been posted, you will need to Reset the security to the Previous Month.

# Posting Transactions

For input checking you will want to print the **Pre-Post Transactions** report. The **Pre-Post Transactions** report is a one sided (single entry) accounting report that lists each security with the associated **PortMan** transaction Code.

If all transactions are correct you will run a backup and post the transactions. A backup is run to ensure that you can recover if an entry is incorrect, or the power goes out while you're posting the transactions. Choose **Transactions, Post Transactions** to post. A posting is required because there are internal events (such as quarterly information) that must be recorded in the system.

The listing of **PortMan** transaction codes, as well as their description and normal entry follows:

Code	Explanation
1	Code 1 signifies a purchase of a security. The figure you enter updates the Book Value and Actual Cost fields. Code 1 is a Debit entry.
2	Code 2 signifies a full disposal of a security. The figure entered updates the Disposed Book value field, and flags are set that alert the system that more processing must take place (such as Consideration). Code 2 is a Credit entry.
3	Code 3 signifies a partial disposal of a security. The figure entered updates the Disposal Book Value and Book Value fields, and flags are set for further processing. Code 3 is a Credit entry.
4	Code 4 signifies a Book Value increase or decrease. A Debit entry increases the Book Value and Book Value Increase fields. A credit entry decreases the Book Value and increases the Book Value decrease field. Code 4 can be a Debit or Credit entry.
5	Code 5 signifies interest or dividends received for a security. Code 5 is a Credit entry.
6	Code 6 signifies Accrued Interest Paid. The entered value updates the Accrued Interest Paid field. Code 6 is a Debit entry.
7	Code 7 signifies a Disposal Profit. The entered value updates the Disposal Profit field, and flags are set to signify further processing. Code 7 is a Credit Entry.
8	Code 8 signifies a Disposal Loss. The entered value updates the Disposal Loss field, and flags are set to signify further processing. Code 8 is a Debit Entry.
9	Same as # 4 above, but amount is attributed to a disposal. Disposal Book Value Increase or Decrease fields are updated.

The preceding information is also on the back page of this manual for easy reference when entering transactions.

## Accrual Program

**PortMan** makes managing interest due and accrued an easy affair. There are only two steps to perform. The first is a backup. The second is to choose *Accrual, Process Accrual* from the Main Menu. A message will be displayed that warns that this program can only be run once a month, and asks if you want to continue. Click the **Yes** button to continue. Enter the last date of the month in the next Dialog box as MM/DD/YY. In a few moments you will have control of the mouse returned to you. You can then print the **GL Summary** or **GL Detail** reports from the *Accrual* menu.

## Amortization Program

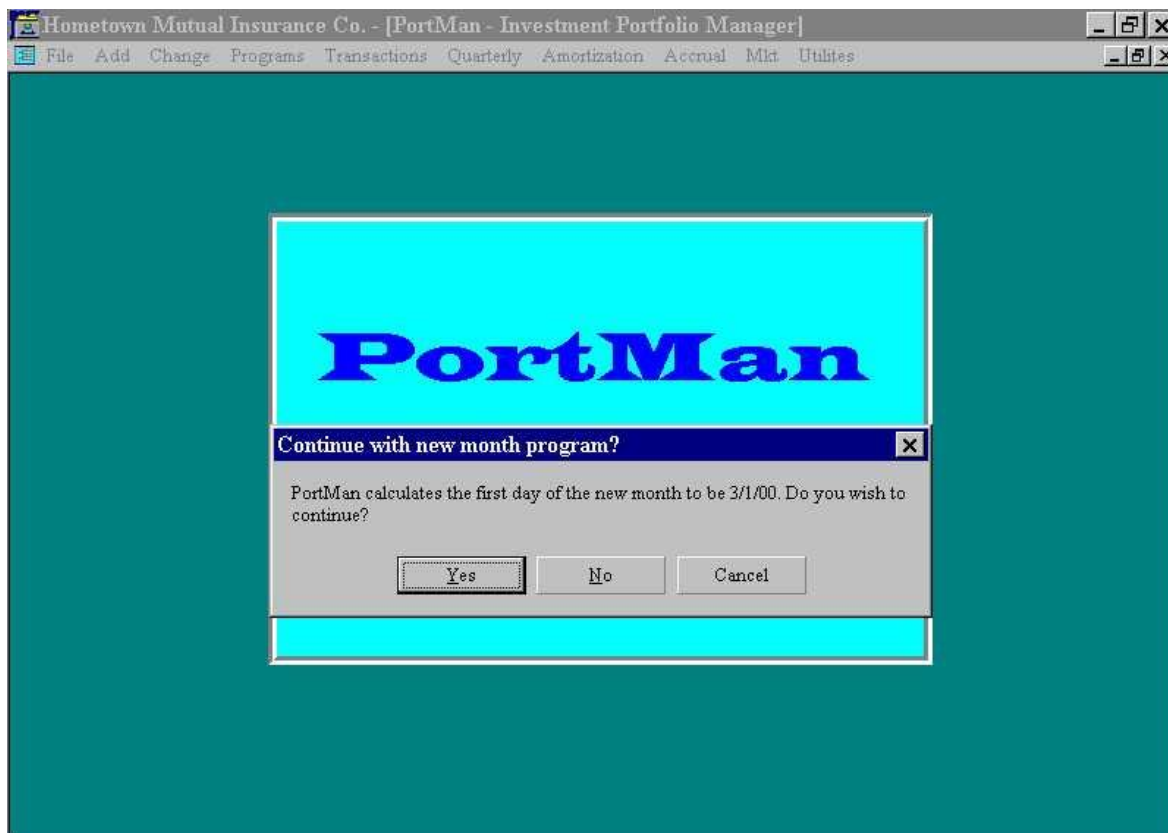
Again, **PortMan** makes accounting for Amortization's a snap. To begin, do a backup! Next click on *Amortization, Full Amortization* from the Main Menu. A dialog box will ask for the date that you are amortizing. Enter the Amortization date as MM/DD/YY. The program will run for a few moments and then control will be returned to your mouse. This routine has created a book value increase or decrease transaction for each of your appropriate BN, ST, CMO, and MBS securities. You will now post the transactions per the *Posting Transactions* procedures mentioned previously.

## Month End Program

The last task in monthly operations is to run the end of month program. This program performs several functions all designed to give you a better handle on money that is due you.

To run the Month-End program choose *Programs, Month-End* from the Main Menu. The program begins by displaying the following message "This program can only be run once a month" and asks for verification that you really want to run it.

After verifying you want to continue, the program then calculates the first day of the new month and displays the following message:



The first action taken by the program is to print out a report that lists every security that paid interest or dividends in the month ending. It lists the security's Cusip, the security's name, annual interest due, payable mode (monthly, quarterly...), date due, date paid, amount paid, paid to date, and lists if the bond is partially or fully disposed.

The second function of this program is to calculate and find all bonds that are due to receive an interest payment in the month that is about to begin. After finding the records that are due a payment, it calculates the amount of the payment to be received. A report is then printed that lists the bonds to receive payment, the amount due, the due date, if it is overdue, and a space that can be used to fill in interest payments as they come in, if you choose to.

After Month-End it is a good idea to run one more backup.



## Printing Reports

The system is now ready to print the reports that you will want for end of month figures. The reports you print will be up to you, but you will want to print at least the Schedule D by GL Type and the Active and Disposed reports. The Schedule D by GL Type report lists all information on the Schedule D pages sub totaled by GL definition. The Active reports contain most all of the information of Schedule D Parts 1 & 2. Disposed has Part 4 information, and Part 3 has Acquired information.

The report menu is reached by choosing ***File, Print*** from the Main Menu. Check each report that you want to print, and then click on the **PRINT SELECTED REPORTS** button to begin printing. Right clicking on any report choice will give a description of the report that will be printed.

## Quarterly Reporting

**PortMan** provides you with all necessary quarterly reporting tools. Begin by choosing *Quarterly* from the Main Menu. Each choice on the Quarterly menu is pretty self explanatory. After making any choice on the quarterly menu a dialog box will be displayed that will prompt you to pick the quarter to work with. To export a file to the quarterly statement software you pick **Export Q Sch D**. To print a report, choose *Acquired Report, Disposed Report, Part 1B* or *Verification*.

## Editing and Viewing Securities

To edit or view information about a security you will choose *Change, Edit a Security* from the Main Menu. A pick list will be displayed that lists all securities by Cusip.

Highlight the desired Cusip and click the Edit button to move to the security's detail screen. You will view the screens that are described in the Acquisition section.

## Editing and Viewing Due and Accrued

To view the Interest / Div Accrued information for a security choose *Change, Edit Accrual* from the Main Menu. Again you will be brought to a pick list of securities sorted by Cusip. Choose the desired security and click the **Edit** button. You will now be looking at the Due and Accrued Edit Screen pictured below.

Accurate Business Systems - [Due & Accrued Entry Screen]

File

### Interest Due and Accrued

Cusip / Lot: 013051-BC-0 1 Name: PROVINCE OF ALBERTA

YTD Accrued : 666.67 \* Due and Accrued : 2,668.68 Prev Year Accrued : 2,000.00

Par Value :	100,000.00	Annual Interest :	8,000.00
Coupon :	8.00	Monthly :	666.67
Acquired Date :	4/12/95	Daily :	22.22
Accrued Interest Paid :	911.11	Interest Received :	0.00
Maturity Date :	3/1/2000	Accrual Date :	1/31/97
How Often :	S	First Pay Date :	3/1/97
Months Paid :	M.S.		

\* YTD Accrued does not include interest received.  
\* Due and Accrued includes interest received.

HFSBONDS.DB Edit Field

This screen displays relevant information to determine/change the interest or dividend accrued. All of the displayed fields are self explanatory except the YTD accrued. This field holds the accumulated interest due for the current year without consideration for previous year accrued or current year received. This field is important for **PortMan** to keep track of securities with partial disposals of principal.

If you want to change a value of accrued interest or add a dividend that has been declared, but not paid, you make your entry in the Due and Accrued field. If this change is not at the end of the year you will have to make a corresponding change to the YTD Accrued field. For example, if you added \$6 to the Due and Accrued field, you will have to add \$6 to the YTD Accrued field. This is because **PortMan** calculates accrued interest by adding YTD accrued to Prev Year Accrued and subtracting YTD interest received. So making a change in the Due and Accrued without making the corresponding change to YTD accrued will cause you to be off the next time the Accrual procedure is run. Call Accurate Business Systems at (502) 226- 2077 if this is a little confusing.

# Posting Market Information

The Market routine in **PortMan** manages all aspects of your market reporting requirements in a very simple procedure. When you choose **Market** from the Main Menu you will be brought to a pick list which is pictured below.

Cusip	Lot	Type	Name	Portfolio	Par	PRICE	Desig	RMBS Desig	Prc Date	Maturity Date	Mkt Valu
00287Y-AC-3	2	BN	Abbvie Inc 2.9% 11/06/2022	Main	3,000,000	102.178	2FE		12/12/2012	11/6/2022	3,065,31
00287Y-AC-3	3	BN	Abbvie Inc 2.9% 11/06/2022	Main	250,000	102.178	2FE		12/12/2012	11/6/2022	255,4
02153L-AA-2	1	BN	Alterra Finance LLC 6.25%	Main	2,200,000	111.379	2FE		11/30/2012	9/30/2020	2,450,3
023135-AJ-5	1	BN	Amazon.com Inc 2.5% 11/29/2022	Main	3,250,000	99.509	1FE		11/30/2012	11/29/2022	3,234,0
029912-BD-3	1	BN	American Tower Corp. 4.500%	Main	3,000,000	109.775	2FE		11/30/2012	1/15/2018	3,293,2
03060N-AC-4	1	BN	American Life Inc.	Main	1,075,000	102.308	2FE		11/30/2012	5/1/2013	1,099,8
037411-BD-6	1	BN	Apache Corp 2.625% 1/15/2023	Main	2,200,000	100.424	1FE		11/30/2012	1/15/2023	2,209,3
05490A-AE-3	1	BN	BB-UBS Trust 3.46835% 6/05/30	Main	5,125,000	95.840	1FE		11/30/2012	6/5/2030	4,911,8
056752-AB-4	1	BN	Baidu Inc 3.5% 11/28/2022	Main	1,250,000	101.212	2FE		11/30/2012	11/28/2022	1,265,1
05947U-2S-6	1	BN	Banc of America Comm 5.176% 10/45	Main	1,034,000	109.925	1FM		11/30/2012	10/10/2045	1,136,6
05947U-C2-2	1	BN	Banc of America Com Mtg 4.87% 12/42	Main	1,500,000	105.001	1FM		11/30/2012	12/10/2042	1,575,0
05952A-AE-4	1	BN	Banc of Amer Com Mtg 6.21161 2/51	Main	1,000,000	121.937	1FM		11/30/2012	9/3/2017	1,219,3
06051G-EK-1	1	BN	Bank of America Corp 3.75% 07/16	Main	2,225,000	106.869	1FE		11/30/2012	7/12/2016	2,377,8
066836-AA-5	1	BN	Baptist Health South 4.59% 8-21	Main	2,275,000	114.056	1FE		11/30/2012	8/15/2021	2,594,7
07383F-5N-4	1	BN	Bear Stearn Comm 5.035% 2-42	Main	1,750,000	95.872	1FM		11/30/2012	2/13/2042	1,677,7
09256B-AA-5	1	BN	Blackstone Hldgs 6.625% 8/15/2019	Main	1,300,000	116.836	1FE		11/30/2012	8/15/2019	1,518,8
09256B-AA-5	2	BN	Blackstone Hldgs 6.625% 8/15/2019	Main	150,000	116.836	1FE		11/30/2012	8/15/2019	175,2
09256B-AB-3	1	BN	Blackstone Hold 5.875%	Main	2,850,000	112.750	1FE		11/30/2012	3/15/2021	3,213,3
116663-AC-9	1	BN	Bruce Mansfield Un 6.850% 6/01/2034	Main	3,237,492	107.520	2FE		11/30/2012	6/1/2034	3,480,9
12479L-AA-8	1	BN	CAI 2012-1A A 3.470% 10/25/2027	Main	1,966,667	101.938	1FE		11/30/2012	10/25/2027	2,004,7
12572Q-AA-5	1	BN	CME Group Inc 3% 9/22	Main	2,325,000	102.508	1FE		11/30/2012	9/15/2022	2,383,3
12572X-AA-8	1	BN	CME Group Index 4.4%	Main	2,100,000	114.480	1FE		11/30/2012	3/15/2018	2,404,0

**INSTRUCTIONS**  
1. Enter the Market price of the Security in the "PRICE" column.  
2. Enter the NAIC Designation (rating) in the "Desig" Column.  
3. Choose File, Exit when finished. You will be brought back to the Main Menu.

Import Pricing  
from File

The **Market** routine begins by asking you to enter the pricing date for this pricing. Enter the price date as MM/DD/YY. The pick list will display all securities that are not fully disposed in Cusip order. The list has entry space for Price (Market Price), Desig(NAIC Designation) and RMBS Desig(SSAP 43R designation). The procedure automatically fills Market Value, Price Date and the Post column.

After filling all the information that you desire for this session you will choose **File, Exit** to return to the Main Menu. When you do this **Market Yield** and **Modified Duration** will be calculated for each appropriate security that had a Y in the Post column.

**Note:** If a market rate is not entered for a security (left blank) the Market Value will be made equal to the Book Value. This will happen if you leave the PRICE field blank and put an entry into the NAIC designation field.

# System Imports

## Custodial Statement Import

### **Purpose**

The custodial statement import module has been added to increase data entry efficiency, reduce data processing time and eliminate data entry mistakes.

The process extracts supported transaction types from an electronic file that you will download from your custodial website. Extracted transactions are then inserted into the respective forms for you, at which point you have the ability to review the transactions and post them as if you had entered the transactions manually. For each file imported there is a corresponding report which indicates the results of the import and processing actions. The report can be printed in a detail fashion that will display the import result of each line in the target file. \*

\* If the import file contains records for multiple accounts, the status report will only track the account that you are attempting to load.

### **Requirements**

In order to use the custodial statement import you will need to:

1. Install the PortMan statement module. (contact support 502-209-6034)
2. Assign an account numbers and types to your PortMan portfolio names
3. Associate your securities with the proper Portfolio name.
4. Import transaction via Main Menu; Transactions; Statement Import

### **Supported Files and Transaction Types**

New file will be added as resources permit

PortMan Version	Bank and File Type	Transaction Types Supported	Multiple-Accounts Per File	File Format
2012.11	USBank Comprehensive Transactions	Income Paydown Disposal	Yes	Tab Delimited

## setup - Assigning an Account number to a Portfolio

Open the Portfolio List and edit each account as needed.

From the Main Menu;

Click **Utilities**

Click **Edit Portfolio List**

the following dialog will appear;

Scroll to the Portfolio that you wish to assign an account number to and enter:

**BANK** - Select the **Bank** Type in the drop down.

**Account #** - Enter the in the Account # field. This should be the account number as it is represented in the data file that will be downloaded.

**Default Purchaser** - Use this field to designate who you typically sell securities to (if any). This data will be used in the purchaser field for disposal transactions that do not have purchaser information.

The screenshot shows a dialog box titled "Portfolio List" with a scrollable list of four portfolios. Each portfolio entry has a "Portfolio:" label followed by a text field, an "Import Settings" label, and three fields: "Bank:" with a dropdown menu, "Account #:" with a text field, and "Default Purchaser:" with a text field.

Portfolio	Bank	Account #	Default Purchaser
Citigroup			
Main			
My Plan	USBank	546354654	TEST
Plan 1	USBank	9924125454	

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

**Note:** It is not necessary to assign a bank and an account number to all portfolios, only to those that you intend on importing.

## setup - Associating a security to the correct portfolio

From the Main Menu choose, Change, Edit a Security.

Cusip Search		<input checked="" type="checkbox"/> Show Disposed		Filter By Portfolio	
Cusip Search		Filter By Portfolio		CALL	
CUSIP	LOT	TYPE	NAME	SHARES	ACQUIRED
000000-01-8	1	PS	ONE UNITED BANK	50,000.00	1/1/1993
000000-01-8	2	PS	ONE UNITED BANK	100,000.00	1/1/1994
03063K-AC-7	3	BN	AMERICREDIT PRIME 01/15/14 P1	32,523.64	12/16/2010
03063K-AC-7	4	BN	AMERICREDIT PRIME 01/15/14 P2	21,033.26	12/16/2010
03063P-AC-6	1	BN	AMERICREDIT AUTO RCB 04/08/15	2,300,000.00	9/15/2010
03063P-AC-6	2	BN	AMERICREDIT AUTO RCB 04/08/15	1,600,000.00	9/15/2010
03064A-AC-8	3	BN	AMERICREDIT AUTO 10/15/13	0.00	2/1/2010
03064A-AC-8	4	BN	AMERICREDIT AUTO 10/15/13	0.00	2/1/2010
03064C-AC-4	1	BN	AMERICREDIT AUTO REC 03/17/2014	0.00	2/4/2010
03064C-AC-4	2	BN	AMERICREDIT AUTO REC 03/17/2014	0.00	2/4/2010
03064E-AC-0	1	BN	AMERICREDIT AUTO REC 08/08/14	0.00	8/23/2010
03064M-AC-2	1	BN	AMERICREDIT AUTO 09/08/15	1,250,000.00	2/1/2011
06052M-AD-7	1	BN	BANK AMERICA AUTO Tr 6/15/17	2,750,000.00	3/2/2011
06052M-AD-7	2	BN	BANK AMERICA AUTO Tr 6/15/17	1,200,000.00	3/3/2011
06052M-AD-7	3	BN	BANK AMERICA AUTO Tr 6/15/17	1,350,000.00	3/2/2011
14312Y-AC-3	1	BN	Carmax Auto Owner 02/17/15	3,000,000.00	11/3/2010
14312Y-AC-3	2	BN	Carmax Auto Owner 02/17/15	1,000,000.00	3/1/2011
14313B-AD-0	1	BN	CARMAX AUTO OWNER 12/15/14	2,350,000.00	9/2/2010
14313B-AD-0	2	BN	CARMAX AUTO OWNER 12/15/14	500,000.00	4/1/2011
14313H-AC-9	1	BN	Carmax Auto Owner 9/15/15	1,600,000.00	3/9/2011
31283K-AD-7	1	BN	FHLMC POOL #G11720 08/01/20 P2	440,710.05	7/7/2010
31283K-AD-7	2	BN	FHLMC POOL #G11720 08/01/20 P2	182,724.86	7/7/2010
313373-JR-4	1	BN	FHLB MTN 1.375% 05/28/2014 P2	4,000,000.00	9/29/2011
313374-Y6-1	1	BN	FHLB DEB 5% 8/28/2013 P1	10,000,000.00	8/9/2011
313374-Y6-1	2	BN	FHLB DEB 5% 8/28/2013 P2	0.00	8/9/2011
313374-Y6-1	3	BN	FHLB DEB 5% 8/28/2013 P1	3,000,000.00	9/1/2011

**TAX LOT ACTIONS**

Edit Lot Add New Lot

**PRINT**

Detail Report

Amortization Schedule By Month Amortization Schedule By Year

**UTILITY**

Reset Lot to Previous Month

**INSTRUCTIONS**

Click on the security to select and then click the desired action.

Right click on any button to see help on that function.

Find the security that you wish to edit, and double-click the security

Page 1
Double Click for Input Help
Bond Input Screen
Page 1
Page 2
Page 3
Close

Cusip : 14313B-AD-0 Lot : 2 G/L Definition : 1 LT Investments Plan 1  
Name : CARMAX AUTO OWNER 12/15/14  
Type : 3201999 US Ind. & Misc. Issuer Obligations Category : BN Disposed : ☐  
Collateral Type : Currency Denomination :

Coupon: 2.820  
Par Value: 500,000.00  
Actual Cost: 514,667.97  
Price Paid: 102.933594  
Issue Date: 11/30/2009  
Maturity Date: 12/15/2014  
Call Date:  
Call Price:  
Trade Date: 4/1/2011  
Settle Date: 4/4/2011  
Accrual Strt Dt:

Calculate Int : 1 30/360  
Int. Frequency : M Monthly  
First Coup Date : 1/15/2012  
Accrued Int Paid : 744.17  
Pay Schedule : MON Monthly  
Yield to Call:  
Yield to Maturity: 1.978201  
Sch D Yield: 1.978201  
Amortized To:  
Pricing Method: e NAIC VOS  
Pricing Source:  
UDF1Title  
UDF2Title  
UDF3Title

Vendor: Citigroup Global Markets Inc.  
Initial NAIC Design: 1FE  
Book Value as: 1 Default  
Market Value as: 1 NAIC Tbl Value  
Public or Priv Trade: 2 Publicly traded  
Portfolio: Plan 1  
Amortize this Bond?  
Tax Status:  
Variable Rate:  
I-BOND / TIPS  
Schedule D Code: n/a  
Special Deposit Loc:  
Encumbrance Code: n/a  
Special Dep Where:  
Special Deposit Par:  
Characteristics:

NOTE: Fields in RED are required, if applicable. Fields in BLUE are calculated.

Double click the Portfolio field,

Select Portfolio

Enter Search Characters
Search and Sort By...
Portfolio
Find Prev Find Next

Portfolio	Bank	Account #
Plan 2		
State Street Commonwealth of MA		
T Bill Plan 1		
T Bill Plan 2		

View Current Delete Update New

Record 4 of 8

OK Cancel

Select the portfolio name you wish to assign and click OK

Close the Security Screen

Repeat steps for each security in the Portfolio.

## Importing the Custodial Statement

From the Main Menu choose, Transactions, Import Statement. You will see the following dialog:

*Note: If you do not see the "Import Statement" option, then the statement module is not installed and/or turned on. Call ABS Support if you need assistance.*

**Statement Import Screen**

Import Date	Import Status	Bank	Account #	Portfolio
12:35:11 PM, 10/1/2012	income/disposal	USBank	5056494689	Plan 2
9:38:57 AM, 8/8/2012	Complete	USBank	5056494689	Plan 2
9:29:24 AM, 8/8/2012	Complete	USBank	5056000588	Plan 1

**Processing Actions**

**Report Style**  
☐ critical ☐ +warnings ☒ +info ☐ +all records  
**Output**  
☐ to Printer ☒ to Screen

**Import File Status**

File Records: 197	Records to Process: 83	Transactions Processed:	Post Errors:
Interest: 49	\$107,807.54	Interest:	
Dividend:	\$0.00	Dividend:	
Paydown: 32	\$845,723.01	Paydown:	
Disposal: 2	\$415,264.29	Disposal:	
Disposal Interest:	\$0.00	Disposal Int:	
<b>Other Lines in File</b> Unsupported: 114 Critical Errors: 0 Acct# Filter Errors:		Process Total :	

**Import Files**

Import for Portfolio: Plan 2

Select Import File Type: Comprehensive Transactions

Select Import File: C:\data\import\hh\07-jul Comprehensive Transact ...

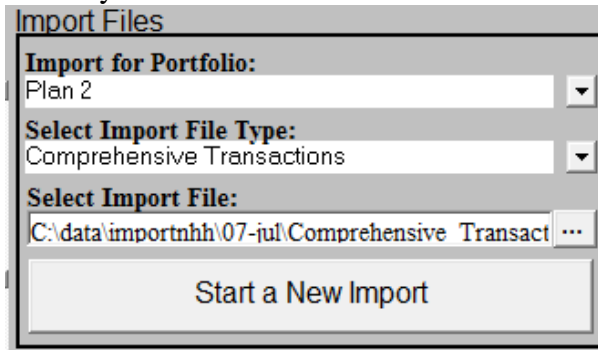
The process of importing data is completed in a series of steps. They are:

1. Import the File
2. Process Income (if any)
3. Process Disposals (if any)

To facilitate these steps the custodial import screen is divided into two distinct sections: "Import Files" and "Imported Files".

## Import Files

On the right hand side of the screen you will see:




To begin the import process you need to have previously completed the requirements section of this topic. The following are some import facts:

- Each import will apply to a single Portfolio.
- If you have multiple Portfolios that share the same bank account number, Each portfolio will need to import the file.
- If your import file contains data for multiple accounts, each record in the data must be assigned the appropriate account number.
- Records in the data file that are associated to an account number that is different than the Portfolio's account number will be discarded and will increment the Acct # Filter error. This is not a problem, it is simply data that we don't need to look at for the import at hand.
- Records in the data file that do not fit into the current Accounting period will be ignored and may cause the import to fail or show as complete without taking a processing action.

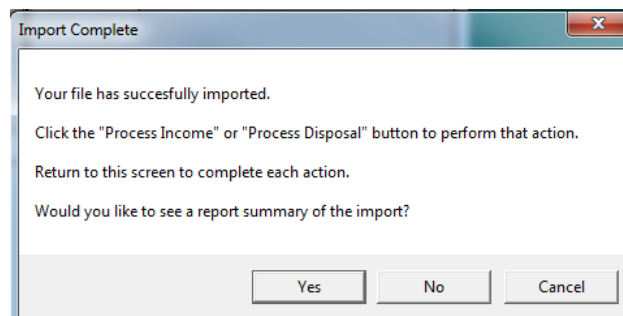
To get started enter:

**Import for Portfolio** - Select your PortMan portfolio from the drop down.

**Select Import File Type** - Some banks will have multiple types of files that can be imported, select the type you are importing.

**Select Import File** - Enter the full path to the file you wish to import. Most import transactions require the import file to be in a Tab-Delimited text format. You can use the browse  button to browse to the correct file if necessary.

Click the **Start New Import** button. Your file will be loaded and made ready for processing. next you should see:





Click Yes if you want to see a status report of the load, otherwise No. You can always print the status report later.

Once your file is loaded you will see a new record in the **Imported Files** list

### **Imported Files - File List**

On the left hand side of the screen you will see:

Imported Files				
Import Date	Import Status	Bank	Account #	Portfolio
12:35:11 PM, 10/1/2012	income/disposal	USBank	5056494689	Plan 2
9:38:57 AM, 8/8/2012	Complete	USBank	5056494689	Plan 2
9:29:24 AM, 8/8/2012	Complete	USBank	5056000588	Plan 1

<b>Processing Actions</b> <input type="button" value="Process Income"/> <input type="button" value="Process Disposals"/>		<input type="button" value="Print Report"/>	<b>Report Style</b> <input type="radio"/> critical <input type="radio"/> +warnings <input checked="" type="radio"/> +info <input type="radio"/> +all records  <b>Output</b> <input type="radio"/> to Printer <input checked="" type="radio"/> to Screen
---	--	---	---

The **Imported Files** list displays each of the files that you have imported (most recent to oldest). The list displays five data elements related to the import:

Import Date - The Date you imported that file.

Import Status - The current status of the file which could be one of the following:

*init* or *loading* - indicates a file is in the process of loading, this status is temporary and should never be in the list for more than a few seconds.

*income* - indicates income transactions in this file have not been processed.

*disposal* - indicates disposal transactions in this file have not been processed.

*completed* - indicates all transactions in this file have been processed OR that there is nothing to do in this data file

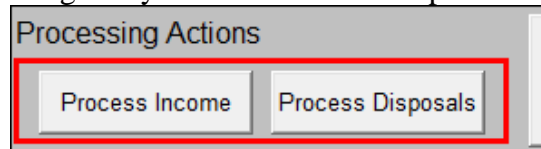
Bank - The bank assigned to the imported file

Account # - The Bank account number associated with this portfolio at the time of the import.

Portfolio - The portfolio name that was imported.

## Imported Files - Processing Actions

To complete the processing of a file you will need to select the appropriate file in the list and click the button that represents the processing that you would like to complete.



The "Process Income" and "Process Disposal" buttons will dynamically display based on the transactions that can be completed on the selected file.

**Process Income** - Clicking this button will process each Income, Dividend, and Principal pay down transaction imported. Once the data has been inserted, the Income screen will display allowing you to see/verify the transactions. Close the income screen and run the Pre-Post verification report before posting the data.

**Process Disposals** - Clicking this button will process each Disposal and Disposal Interest(if any), transaction imported. Once the data has been inserted, the Disposal screen will display allowing you to see/verify the transactions. Close the income screen and run the Pre-Post verification report before posting the data.

## Imported Files - Detailed Information

Additional information about each file imported can be obtained by selecting a line in the list and Printing the report and or by looking at the bottom half of the screen.

Imported Files				
Import Date	Import Status	Bank	Account #	Portfolio
12:35:11 PM, 10/1/2012	income/dispos	USBank	5056494689	Plan 2
9:38:57 AM, 8/8/2012	Complete	USBank	5056494689	Plan 2
9:29:24 AM, 8/8/2012	Complete	USBank	5056000588	Plan 1

Processing Actions		Report Style
<input type="button" value="Print Report"/>	<input type="radio"/> critical	<input type="radio"/> +warnings
	<input checked="" type="radio"/> +info	<input type="radio"/> +all records
	<input type="radio"/> to Printer	<input checked="" type="radio"/> to Screen

Import File Status			
File Records: 197	Records to Process: <b>83</b>	Transactions Processed: 83	Post Errors:
Interest: 49	\$107,807.54	Interest:	\$107,807.54
Dividend:	\$0.00	Dividend:	
Paydown: 32	\$845,723.01	Paydown:	\$845,723.01
Disposal: 2	\$415,264.29	Disposal:	\$415,264.29
Disposal Interest:	\$0.00	Disposal Int:	
Other Lines in File		Process Total :	
Unsupported: 114			
Critical Errors: 0			
Acct# Filter Errors:			

The Imported Files list should contain a new entry much like the one hi-lighted above.

## Imported Files - Printed Report

The printed report will display the import results. It contains a summary section at the top much like the screen. The report also contains status data for each line imported from the file.

<b>Custodial Statement Import Results</b>				Print Date: 10/1/2012 02:12:40 PM	
Import Date: 9/29/24 AM, 8/8/2012		Bank: USBank	Account: 5056000588	Portfolio: Plan 1	Batch ID: 2
File Type:		ImportFileName: C:\data\import\hh\07-jul\Comprehensive_Transactions_As_Of_07-01-2012[Plan 1].Txt		Status: <b>Complete</b>	
<b>File Contents</b>			<b>Processed Records</b>		
Interest:	43	\$124,177.33	Interest:	\$124,177.33	
Dividend:		\$0.00	Dividend:		
Paydown:	28	\$1,704,383.86	Paydown:	\$1,704,383.86	
Disposal:	3	\$4,509,198.30	Disposal:	\$4,509,198.30	
Disposal Interest:		\$0.00	Disposal Interest:		
Records in File:	185		Records Processed:	74	
Records to Process:	76		Post Errors:	2	
Unsupported:	109				
Critical Errors:	0				
Account# Filter Errors:					
<b>Transaction Type: Disposal</b>					
912795-5Z-0 U S TREASURY BILL 02/07/2013					
Transaction Date: 7/11/2012	Trade Date: 7/10/2012	Settle Date: 7/11/2012	CashAmount: \$399,591.71	Maturity date: 2/7/2013	ID: 144
Import Msg: No Tax lots for this CUSIP/Portfolio, may need to acquire first					
<b>94975P-40-5 WELLS FARGO ADV GOV MMK I</b>					
Transaction Date: 7/16/2012	Trade Date: 7/16/2012	Settle Date: 7/16/2012	CashAmount: \$3,907,295.07	Maturity date: 9/33:39 AM, 8/8/2012	ID: 168
Import Msg: Processed					
<b>94975P-40-5 WELLS FARGO ADV GOV MMK I</b>					
Transaction Date: 7/19/2012	Trade Date: 7/19/2012	Settle Date: 7/19/2012	CashAmount: \$599,897.76	Maturity date: 9/33:40 AM, 8/8/2012	ID: 171
Import Msg: Processed					
<b>94975P-40-5 WELLS FARGO ADV GOV MMK I</b>					
Transaction Date: 7/26/2012	Trade Date: 7/26/2012	Settle Date: 7/26/2012	CashAmount: \$2,005.47	Maturity date: 9/33:41 AM, 8/8/2012	ID: 185
Import Msg: Processed					
<b>Transaction Type: Interest</b>					
<b>94975P-40-5 WELLS FARGO ADV GOV MMK I</b>					
Transaction Date: 7/2/2012	Trade Date:	Settle Date:	CashAmount: \$11.11	Maturity date: 9/30:12 AM, 8/8/2012	ID: 4
Import Msg: Processed					
<b>03063P-AC-6 AMERICREDIT AUTOMOBILE RECEIVABLES B S SER 2010 3 CL A3</b>					
Transaction Date: 7/9/2012	Trade Date:	Settle Date:	CashAmount: \$2,130.72	Maturity date: 4/8/2015	ID: 5
Import Msg: Processed					
Print Date: 10/1/2012 02:12:40 PM				Page Number:	1

\* Data in the import file that belongs to an Account# other than the one imported will be discarded. These records are identified in the total for "Account# Filter Errors".

# Market Price Import

## **Purpose**

The Market price import function has been added to facilitate the mass importing of prices from a spreadsheet in order to eliminate manual data entry. The process updates the MKT Price and NAIC Mkt Price with the pricing data supplied.

## **Requirements**

In order to use the market price import function you will need a file that contains your pricing data and is formatted to meet one of the following definition types.

- Tab delimited – This is a simple format that you can create yourself using instructions below.  
See “Creating a Tab delimited Market Price File”
- AVS Format – This format can be used if you subscribe to the NAIC AVS Service. The file that you receive from that service will use this setting.
- EPS Format - This format is used by some Sungard EPS as well as some banks. This format does not allow import of the NAIC Designation.

## **Creating a Tab delimited Market Price File**

A tab delimited text file will contains the following columns

CUSIP  
PRICE (Optional)  
NAIC DESIGNATION (Optional)

## **Market Price File Definition**

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007 by following these steps:

1. Your excel spreadsheet will need to contain three columns;  
Column 1 CUSIP  
Column 2 PRICE  
Column 3 NAIC Designation
2. Labels on the columns are NOT needed.
3. The worksheet with your pricing and NAIC Designations should not contain any other data.
4. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
5. It is acceptable if you have other worksheets in your Excel document that contain other data.

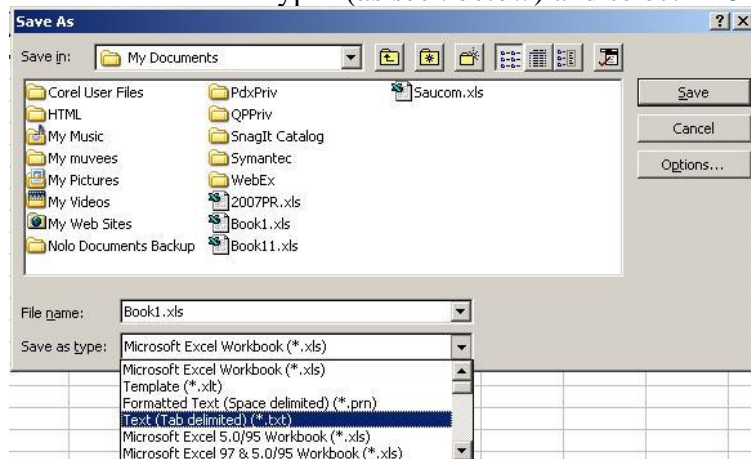
A sample spreadsheet would look similar to the following figure:

	A	B	C	D	E
1	00184A-AB-1	107.91	1FE		
2	00206R-10-2	26.44	1FE		
3	00206R-AF-9	100.05			
4	00206R-AJ-1	106.57	1FE		
5	00206R-AR-3		1FE		
6	00209T-AA-3	117.30	1FE		
7	002819-AA-8	109.83	2FE		

### ***Saving the Market Price File***

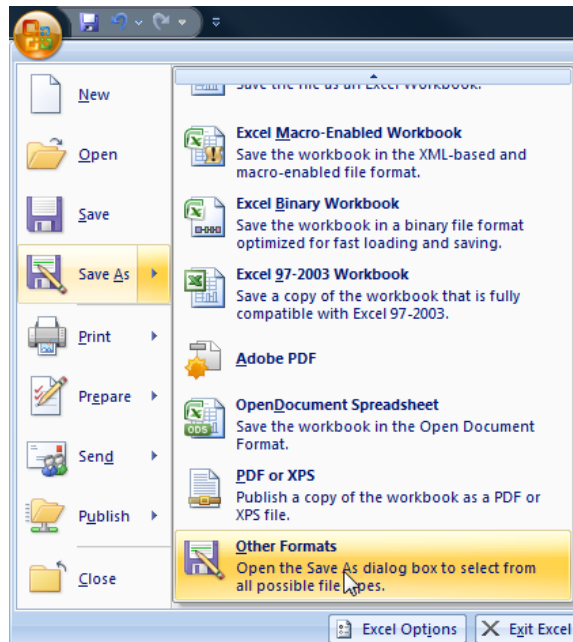
When you have your market price worksheet ready you can save it in required format by following these steps.

1. Select the worksheet that contains the Market Price Data
2. ***For EXCEL 97 or 2003***; from the menu choose
  - a. File > Save As >
  - b. Browse to the location that you wish to save the file in.
  - c. Click the “Save As Type” (as seen below) and select **”Text (Tab delimited)(\*.txt)”**

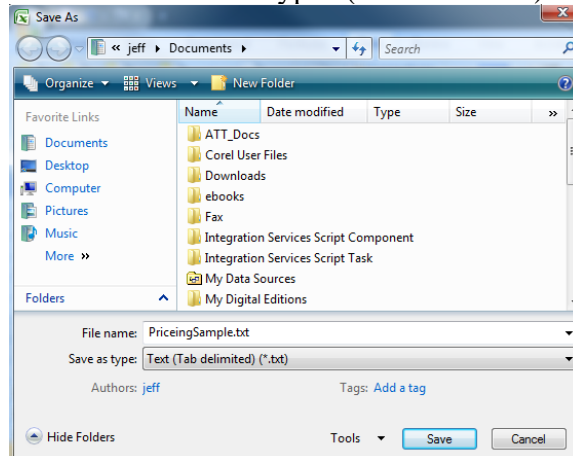


- d. Enter a name for the file in the **File name** field.
  - e. Click Save.
  - f. Click OK and/or YES in the following dialogs.
3. ***For EXCEL 2007***; from the menu choose

- a. Click the OFFICE button  File > Save As > Other Formats



- b. Browse to the location that you wish to save the file in.  
c. Click the “Save As Type” (*as seen below*) and select ”Text (Tab delimited)(\*.txt)”



- d. Enter a name for the file in the **File name** field.  
e. Click Save.  
f. Click OK and/or YES in the following dialogs.

## Creating a Tab delimited W CRP Market Price File

A tab delimited text file will contains the following columns

CUSIP

PRICE (Optional)

CRP Rating information (Optional)

## CRP / Market Price File Definition

This file can be created using either of the following format options.

### OPTION 1: WITH OUT a FIRST ROW HEADER

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007, 2013 by following these steps:

1. Your excel spreadsheet will need to contain three columns. Since there is no header you will need to put the data in the following order;  
Column 1 CUSIP  
Column 2 PRICE  
Column 3 CRP Rating
2. Labels on the columns are NOT needed.
3. The worksheet with your pricing and CRP Rating should not contain any other data.
4. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
5. Save the file using the instructions found on Page 69 – *Saving the Market Price File*

	A	B	C
1	00184A-AB-1	100.0000	AA1
2	03063N-AK-3	104.5235	A1
3	03065E-AG-0	98.5600	B+
4	315911-80-0	53.4400	
5	31416W-H3-9	109.2000	CCC
6	31384W-GU-8	113.5220	AAA
7			

### OPTION 2: WITH a FIRST ROW HEADER

Creating the text file is very simple using Microsoft Excel Version 97, 2003 or 2007, 2013 by following these steps:

1. Your excel spreadsheet can contain any data that you wish, but the CUSIP, PRICE, and CRP Agency columns must be labeled.
2. Identify the column that contains the cusip, by labeling the first row with “CUSIP”
3. Identify the column that contains the Market Price, by labeling the first row with “PRICE” or “MARKET PRICE”

Rating agencies are identified by the NAIC Code for each agency. Found in the purposes and Procedures manual or this PDF [http://www.naic.org/documents/svo\\_naic\\_aro.pdf](http://www.naic.org/documents/svo_naic_aro.pdf)

4. Identify the column that contains the
  - a. **MOODY** rating, by labeling the first row column with one of the following
    - i. A
    - ii. MOODYS
    - iii. MOODY
  - b. **STANDARDS** and POOR’S rating, by labeling the first row column with one of the following
    - i. B
    - ii. S&P
  - c. **FITCH** rating, by labeling the first row column with one of the following

- i. C
  - ii. FITCH
- d. **DBRS** rating, by labeling the first row column with one of the following
  - i. D
  - ii. DBRS
- e. **A.M. BEST** rating, by labeling the first row with one of the following
  - i. E
  - ii. AMBEST
  - iii. BEST
  - iv. A.M.BEST
- f. **MORNINGSTAR CREDIT** rating, by labeling the first row column with one of the following
  - i. F
  - ii. MORNINGSTAR
- g. **KROLL BOND (KBRA)** rating, by labeling the first row column with one of the following
  - i. G
  - ii. KROLL
  - iii. KBRA
- h. **EGAN JONES (EJR)** rating, by labeling the first row column with one of the following
  - i. H
  - ii. EGAN JONES
  - iii. EJR
  - iv. EGAN

5. Columns labeled in any other way will be ignored.
6. The worksheet may contain prices for multiple portfolios or you can create multiple worksheets for your different portfolios.
7. The worksheet may contain multiple CRP agency codes, provided they are properly labeled
8. It is acceptable if you have other worksheets in your Excel document that contain other data.
9. Save the file using the instructions found on Page 69 – *Saving the Market Price File*

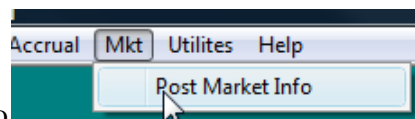
A sample spreadsheet would look similar to the following figure:

A	B	C	D	E	F	G	H	I	J	K	L	M
Unit ID	CUSIP	Portfolio	Shares/Par	Book Value	Asset Long Name 1	Pricing Date	Price A		As Of Date	B	Yield	Industry M
I5375800		1	0.0000	0.00	Principal Cash		0.000000		12/10/2013		0.000000000	
I5375800		2	0.0000	0.00	Income Cash		0.000000		12/10/2013		0.000000000	
I5375800	04621WAA8	1	100,000.0000	102,000.00	ASSURED GUARANTY	12/09/2013	100.500000	BAA2	12/10/2013	A-	6.930693069	
I5375800	068715CY5	1	10,000.0000	11,009.50	BARRON WI AREA SCH	12/09/2013	106.945000	AA3	12/10/2013	N/R	4.633139584	
I5375800	12612WAB0	1	100,000.0000	108,008.00	CNF TRANSPORTATIO	12/09/2013	100.412000	BAA3	12/10/2013	BBB-	6.733465323	
I5375800	143295BV4	1	20,000.0000	22,029.40	CARMEL IN REDEV DIS	12/09/2013	109.916000	A2	12/10/2013	AA-	4.754184958	
I5375800	231021AJ5	1	100,000.0000	135,313.00	CUMMINS ENGINE INC	12/09/2013	128.097000	A3	12/10/2013	A	5.625829070	
I5375800	247025AE9	1	25,000.0000	25,812.50	DELL COMPUTER CORP	12/09/2013	85.500000	B1	12/10/2013	B+	8.255813953	
I5375800	295173LH9	1	65,000.0000	69,033.25	ERIE CNTY PA SER C	10/21/2013	111.900000	AA2	12/10/2013	AA-	4.691689008	
I5375800	313380N86	1	100,000.0000	99,000.00	FEDERAL HOME LOAN	12/09/2013	98.854000	AAA	12/10/2013	AA+	1.015651185	
I5375800	313381LH6	1	200,000.0000	182,400.00	FEDERAL HOME LOAN	12/09/2013	90.280000	AAA	12/10/2013	AA+	1.119281869	
I5375800	313382V83	1	100,000.0000	95,300.00	FEDERAL HOME LOAN	12/09/2013	95.463000	AAA	12/10/2013	AA+	1.055230779	
I5375800	313383655	1	100,000.0000	94,250.00	FEDERAL HOME LOAN	12/09/2013	94.358000	AAA	12/10/2013	AA+	1.603780646	
I5375800	3134G46N3	1	200,000.0000	200,000.00	F H L M C M T N	12/09/2013	91.817000	N/A	12/10/2013	AA+	3.523336600	

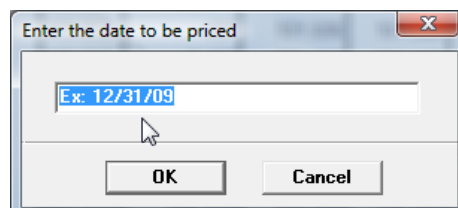


## Importing the Market Price File

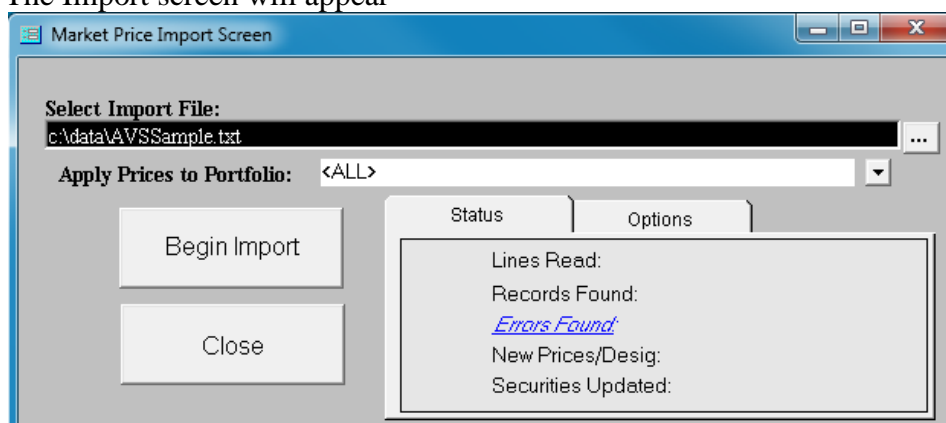
To import the market price file, Open Portman




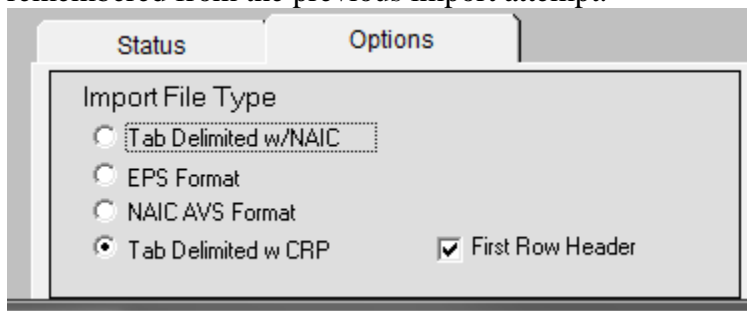
1. click on the menu item MKT > Post Market Info



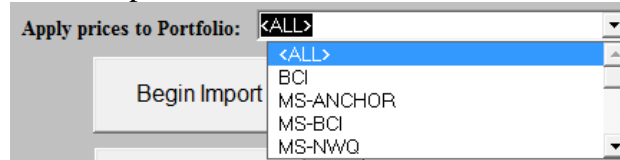
2. Enter the date to be priced and click **OK**
3. Click the **Import Pricing From File** button or choose **File > Import Pricing Spreadsheet** from the menu.
4. The Import screen will appear



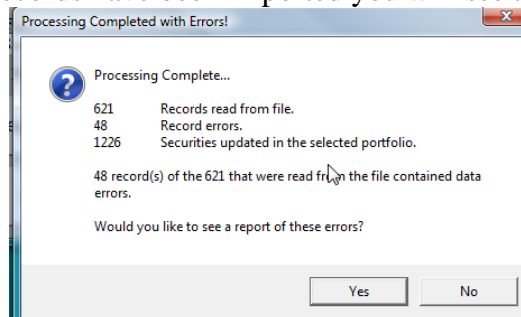
5. Enter the path and name of the file to import or use the  button to browse for the file.
6. Click the **Options** TAB, and select the proper import file type. This selection will be remembered from the previous import attempt.



7. Select which portfolios that you want the imported data to be applied to by choosing an item in the drop down list.



- If your import file contains data for CUSIPS that are not part of the selected portfolio the prices will not be applied for those CUSIPS.
  - If your import file contains prices for a specific portfolio, and there are CUSIPs in the portfolio that are also part of other portfolios, and you choose <ALL>, the other portfolios will be updated as well.
8. Click **Begin *Import***, to start the import process.
9. When the records have been imported you will see a confirmation dialog that is similar to the



- one below.
10. If there are processing errors, you can display them by clicking YES or by clicking [Errors Found:](#) link on the import screen.
11. When you are returned to the “Market Posting Screen” you can review the prices that have been updated by examining the records that have a “Y” in the port column.

### ***Understanding the error report.***

When the file is opened to import data, each line of the file is subjected to a series of tests to determine if it is valid data. Any records that fail to pass the test are marked as invalid data and will be displayed on the error report. If a record has ANY error no data on that record is imported.

Below is a brief sample of an error report followed by a definition of the error.

## Accurate Insurance Company

### Price Import Error Report

Cusip	Price	NAICDesig	Error Message
000000-11-7	\$101.50		Duplicate Record
000000-4A-8	\$101.50	2FE	No Securities exist for this CUSIP
00184A-AB-1		1FE	Price(107.ABC) is not a valid Number
00206R-AF-9			Nothing to Do,(No Price or Designation supplied)
002819-AA-8	\$109.83	2FE	Multiple prices for Cusip imported!
002819-AA-8	\$110.89	2FE	Multiple prices for Cusip imported!
005158-QZ-6	\$110.88	1FE	Multiple NAIC designations for Cusip imported!
005158-QZ-6	\$110.88	2FE	Multiple NAIC designations for Cusip imported!

### Possible Errors

Error Text	Meaning	Import Result
<b>Duplicate Record</b>	Multiple records in the import file contain identical data(CUSIP, Price, NAIC Desig)	Only the first record found will be processed
<b>No Securities Exist</b>	There are no securities in your database (in any portfolio) that match this CUSIP number	Import record ignored
<b>Price(xxx) is not a valid number</b>	The data supplied for the price is not a valid number. Numbers can contains digits 0-9; “,”commas; and “.” Periods	Import record ignored
<b>Nothing to do, (No Price or Designation supplied)</b>	The record in the import file has a CUSIP, but does not have a price or a NAICDesignation	Import record ignored
<b>Multiple Prices for CUSIP imported</b>	The CUSIP listed has multiple prices defined in the file (on multiple records)	All records for this CUSIP will be ignored
<b>Multiple NAIC designations for CUSIP imported</b>	The CUSIP listed has multiple NAIC Designations defined in the file (on multiple records)	All records for this CUSIP will be ignored
<b>Security type mismatch, Import=P / Sec= ??</b>	The CUSIP listed is a Preferred Stock in the import file, but you are holding it as some other type of security.(This may error occur on the AVS Import)	All records for this CUSIP will be ignored
<b>Valuation Indicator is blank</b>	The CUSIP listed is a Preferred Stock in your holdings and is listed as FE (Filing Exempt) in the import, to use the import feature for this security the Valuation Indicator on Page 2 of the security must be P or RP. (This error may occur on the AVS Import)	All records for this CUSIP will be ignored

## Market Price Import Results

After the import is complete you will see a Market Price Import Results report. This report displays all of your active investments grouped by the type of changes that were made to them on the Market Screen.

The heading "Data Changed" indicates what data items were imported and changed.

Medical Insurance Exchange of CA  
As of 11/30/2013

### MARKET PRICE IMPORT RESULTS

Page 1  
1/7/2014

Current Data								Modified Data												
CUSIP	Lot	DESCRIPTION	TYPE	GL	DISPOSED	CURRENT PRICE	CURRENT DESIG	Price Date	Price	NAIC DESIG	(A) Moody	(B) S & P	(C) Fitch	(D) DBRS	(E) AM Best	(F) Morning Star	(G) Kroll	(H) Egan Jones	Other CRP	Derived NAIC DESIG
<b>Data changed: Market Price   CRP Codes</b>																				
09256B-AA-5	1	Blackstone Hldgs 8.625% 8/15/2019	BN		5	109.916	1FE	11/30/2013	109.9161FE	A2	AA-									1FE
09256B-AA-5	2	Blackstone Hldgs 8.625% 8/15/2019	BN		5	109.916	1FE	11/30/2013	109.9161FE	A2	AA-									1FE
149206-AA-2	1	Catlin Insu 7.25%	BN		5	100.500	2FE	11/30/2013	100.5002FE	BAA2	A-									2FE
149206-AA-2	2	Catlin Insu 7.25%	BN		5	100.500	2FE	11/30/2013	100.5002FE	BAA2	A-									2FE
31371L-F4-6	1	FNMA Pool #254987	MBS		3 P	109.555	1FE	11/30/2013	109.5551FE	AA2	AA-									1FE
31371L-F4-6	2	FNMA Pool #254987	MBS		3 P	109.555	1FE	11/30/2013	109.5551FE	AA2	AA-									1FE
31401A-M2-0	2	FNMA Pool #702477	MBS		3 P	111.483	2FE	11/30/2013	111.4832FE	BAA3	BBB+									2FE
912828-VS-6	6	US Treasury Note 2.5% 8/15/2023	BN		3 P	95.940	2FE	11/30/2013	95.9402FE	BAA2	BBB-									2FE
912828-VS-6	7	US Treasury Note 2.5% 8/15/2023	BN		3	95.940	2FE	11/30/2013	95.9402FE	BAA2	BBB-									2FE

Current Data								Modified Data												
CUSIP	Lot	DESCRIPTION	TYPE	GL	DISPOSED	CURRENT PRICE	CURRENT DESIG	Price Date	Price	NAIC DESIG	(A) Moody	(B) S & P	(C) Fitch	(D) DBRS	(E) AM Best	(F) Morning Star	(G) Kroll	(H) Egan Jones	Other CRP	Derived NAIC DESIG
<b>Data changed: No Change</b>																				
000000-01-8	1	Medical Underwriters of California	CS		2	488211.427	U													
00758M-16-2	1	Acadian Emerging Mkt PTF-1 #1260	CS		1	18.830	L													
021441-AE-0	1	Altera Corp 2.5% 11/15/2018	BN		5	99.319	2FE													
02153L-AA-2	1	Alterra Finance LLC 6.25%	BN		5	112.558	2FE													
029912-BD-3	1	American Tower Corp. 4.500%	BN		5	107.822	2FE													

# Year End Procedures

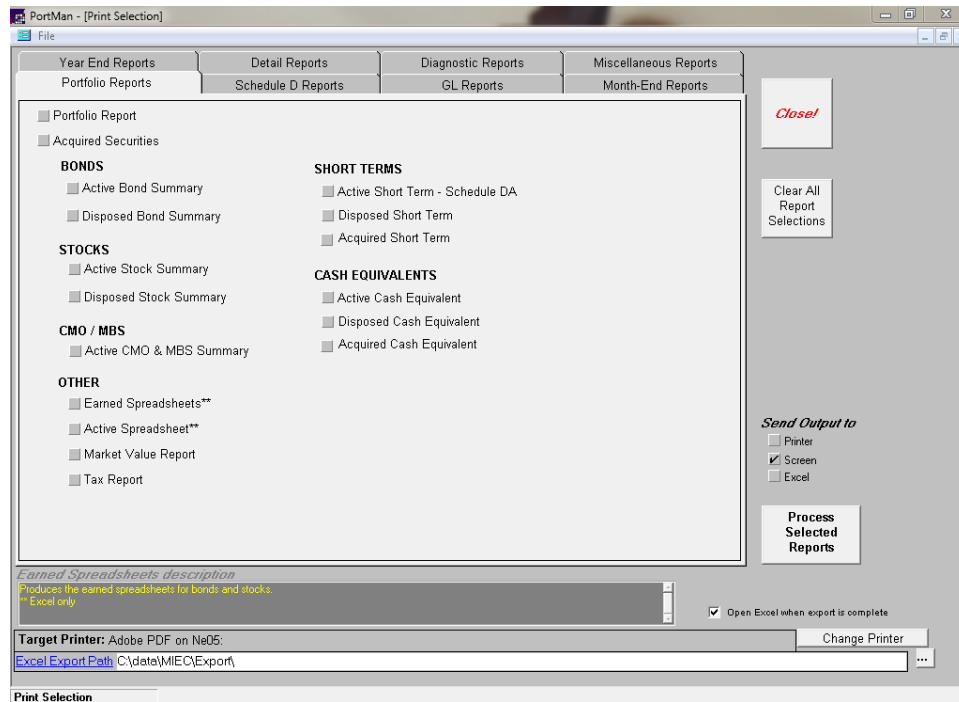
- Process December as any other month, but don't run Month End or Year End.
- Print the Pricing Report on the print menu to get a source document for NAIC prices and designations.
- Input the Prices and designations into PortMan by clicking on MKT from PortMan's main menu. Type 12/31/YY when asked for the pricing date. Please remember that all Bond, CMO, MBS and ST securities must have their NAIC Designation begin with a number between 1 & 6. Preferred Stock (PS) securities must have a number between 1 & 6 in either the second or third position of their NAIC designation.
- Run the Book Value Adjustments procedure on the Programs menu. This procedure will adjust the book value on any appropriate securities based on their NAIC designations.
- This would be a good time to print the write down report. You can then decide if you are going to write any securities down. If you do decide to write down securities you achieve this by editing the security from the Change, Edit a security pick list, clicking edit, and then choosing Write Down from the Page 1 menu. You can also choose Write Down from the Programs menu choice on the Main Menu. This will write down each security on the Write Down report that just printed.
- Print the Working Schedule D parts 1 through 5 to get your final numbers. (Spreadsheets of Schedules Part 1 through 5, and a holdings spreadsheet will automatically be created for future use by the Year End program. These files are named 1231YYYYP1.xls, 1231YYYY2S1.xls ... and 1231YYYYHoldings.xls and are stored in the PortMan data folder for each company.)
- Export the data files by choosing Programs from PortMan's main menu, then Export Sch D. The file will be created in the Export folder you have defined on the Utility screen. Make sure the Export directory ends with a \. Example: N:\PortMan\Export\.
- Print the Part 1A reports on the print menu. These reports will be used to input the Maturity and Quality and Maturity distributions. Print the Summary Investment Schedule report. (These two reports ask if you also want to receive the data in spreadsheet format.) Print Summary by Country report. Print the Issuer report and the NAIC Desig Percent report. These are used in the supplemental section. Print the Twelve Month Loss report to display any securities that have been in an unrealized loss position for all pricing points in the previous 12 months.
- After all data is approved and in the statement software, then run **Year-End**, and then Month-End, in that order, to get ready for January processing. If, for any reason, the Year-End generates an error message **DO NOT** run it again. Please call us!

# Year End Program

The Year End program closes out the present year and gets the system ready for the year that is about to begin. To run the program, choose Year-End from the Program Menu. The program verifies that you intended to run Year-End and continues if you answer Y, terminates if you answer anything else.

# Reports

The report Menu is accessed by choosing File, Print from the Main Menu. You will see a screen that looks like the following:



- Click on each selection that you wish to print. A checkmark will signify that you have chosen a report to print. Click the selection again to remove the checkmark.
- Select the method of Output (Screen, Printer, Excel), Multiple choices may be used.
- Click the **PROCESS SELECTED REPORTS** button after you have checked all the reports that you want to print. The selected reports will then go to the printer.

## Report Descriptions:

<b>Acquired Cash Equivalent</b>	Prints a list of Cash Equivalent securities acquired this year.
<b>Acquired Securities</b>	Lists information for securities acquired in the current year.
<b>Acquired Short-Term</b>	Lists information about the Short-Term securities that have been purchased in the current year.
<b>Active Bond Summary</b>	Lists most of the information in Schedule D - Part 1.
<b>Active Cash Equivalent</b>	Prints a list of Cash Equivalent security holdings.
<b>Active CMO &amp; MBS Summary</b>	Lists information about the active CMO's and MBS securities in your portfolio.
<b>Active Short-Term</b>	Lists information about the active Short-Term securities in your portfolio.
<b>Active Spreadsheet</b>	Creates a spreadsheet that lists various data about each owned security.
<b>Active Stock Summary</b>	Lists information from Schedule D - Parts 2.
<b>Amortization by Month</b>	Provides an Amortization of Premium or Accretion of Discount report broken down by Month for each security you select to print.
<b>Amortization by Year</b>	Provides an Amortization of Premium or Accretion of Discount report broken down by Year for each security you select to print.
<b>AVR</b>	Prints the Asset Valuation Reserve report.
<b>Detail Report</b>	Provide an Individual Security detail report for each securities you select to print.
<b>Disposed Bond Summary</b>	Lists information about bond's, CMO's, and Mortgage Backed securities that are partially and fully disposed.
<b>Disposed Cash Equivalent</b>	Prints a list of Cash Equivalent securities sold or disposed of this year.
<b>Disposed Short-Term</b>	Lists information about the Short-Term securities that have been disposed in the current year.
<b>Disposed Stock Summary</b>	Lists information about partially and fully disposed stocks.



<b>Due and Accrued</b>	A report displaying Due and Accrued for securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or Payable Mode. You can include or exclude fully disposed securities.
<b>Earned Spreadsheet</b>	Creates a spreadsheet that displays earnings for each security.
<b>EOM Due</b>	Provides a list of securities and the amounts DUE for the current accounting month.
<b>EOM Paid</b>	Provides a list of securities and the amounts PAID during the previous accounting month.
<b>Expired Call List</b>	This list is compiled during Month-End processing and displays any securities that are being amortized to a call date, and that call date has or will soon expire.
<b>GL Definitions</b>	Lists your defined general ledger definitions. It lists each definition and its associated general ledger account numbers.
<b>GL Detail</b>	Lists the double entry general ledger detail data for the period you specify. The program will ask you to enter the beginning and ending dates.
<b>GL Summary</b>	Lists the double entry general ledger summary data for the period you specify. The program will ask you to enter the beginning and ending dates.
<b>IMR</b>	Prints the Interest Maintenance Reserve report needed by most Life insurance companies. There are two formats for the IMR report. The user can select Grouped or Amortized on the Utility screen. Grouped lists the disposed securities by groups of Maturity year categories, and amortized lists the disposed securities with their gains/losses amortized to their maturity date.
<b>Interest Earned</b>	A report displaying the interest earned on securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or GL Definition. Fully disposed securities can be excluded.
<b>Investment Income</b>	A report displaying Investment Income for securities from the beginning of the year until the date the report was run. The report can be grouped by NAIC Type, Tax Status, or GL Definition. Fully disposed securities can be excluded.
<b>Issuer</b>	Lists all non-exempt (Non US Government) issuers listed by greatest exposure.
<b>Market Value</b>	Lists market information about all active securities in your portfolio.
<b>Maturity Distribution - Part 1A</b>	Prints the Schedule D Part 1A Quality and Maturity Distribution report.

<b>Maturity Year &amp; Yield</b>	Lists information about bonds subtotaled by maturity year.
<b>NAIC Desig Percent</b>	Lists the percentage of Bonds and Preferred Stock in each of the 6 rating categories.
<b>Portfolio Report</b>	Lists all of your active securities categorized by portfolio. This report uses the information contained in the Portfolio field on Page 1 of the security-input screens.
<b>Pricing report</b>	Lists the Market Price and designations for each active security. This report is used to enter and record the updated prices and designations into the Market screen.
<b>Quality and Maturity Distribution - Part 1A</b>	Prints the Schedule D Part 1A Maturity Distribution report.
<b>Rating</b>	Lists all bond (Part 1) securities broken by NAIC designation. Within each rating classification the securities are listed in Maturity date order.
<b>Reconciliation</b>	Lists all securities that are not reconciling between years. This report should be blank. If there are securities listed on this report they need to be looked into.
<b>Schedule D (Working)</b>	Prints reports that show all of the information listed in the Schedule D Parts 1, 2 Section 1, 2 Section 2, 3, 4, and 5. A Pop up window is displayed and you are able to pick which reports you want, as well as if you want to print to the printer, screen or to spreadsheets.
<b>Schedule D by GL Type</b>	Prints out Schedule D Parts 1 through 5 reports sub-totaled by GL definition. These reports show you the detail and summary information for your general ledger investment accounting.
<b>Schedule D Verification</b>	Prints the Schedule D Verification report.
<b>Schedule DA Verification</b>	Prints the Schedule DA Verification report.
<b>Special Deposit</b>	Lists all securities that are flagged to be held as Special Deposits on Page 1 of the Security Input screen.
<b>Structured Securities held per NAIC List</b>	This report displays active securities that have been identified by the NAIC as structured securities in the 2010 RMBS/CMBS Modeled Securities list as of 01/07/2011.
<b>Structured Securities held per Selected NAIC Type</b>	This report displays a list of securities which fall under the RMBS rating guidelines. Use it to list your RMBS securities as well as to verify your collateral type assignments.

<b>Summary by country</b>	Lists the information that is needed to fill out the Summary by Country section on the annual statement.
<b>Summary Investment Schedule</b>	List that is used to complete the Summary Investment Schedule in the Annual Statement. This choice also asks if you want a spreadsheet to give you supporting data.
<b>Tax Report</b>	Displays all taxable transactions for a user specified time period. The transactions are categorized by the Tax Status associated with each security. The Tax Status is assigned in the Tax Status field on the first page of each securities input screen.
<b>Unrealized Gain &amp; Loss</b>	Lists the unrealized gain or loss for all held securities broken by General Ledger definition. This choice also asks if you would like to create a spreadsheet with the unrealized gain/loss data.

# Backup/Restore

The Backup and restore processes are integrated into a single form. To select between Backup and Restore, simply select the appropriate radio button. The default selection is Backup.

## Backup

The Backup File Maintenance screen provides a useful tool to create data file backups for any given point in time. The backup process is accomplished by compressing files located in the Portman data folder(“Working Directory”) into a ZIP file and placing the resulting ZIP file into the backup folder (as identified in the Utilities screen). The process will allow for five distinct types of backup file to be created, they are:

Type	Purpose
Normal	This setting will back up the critical PortMan data files.
Normal w/Backup Files	This setting will back up the critical PortMan data files and the existing running backup copy of those files.
Normal w/EOM Files	This setting will back up the critical PortMan data files along with the previous EOM copy of those files.
Normal w/Prior Year Files	This setting will back up the critical PortMan data files along with the prior year data copy of those files.
All Files	This setting will back up ALL files in the PortMan data directory.*

\* Sub-directories located in the PortMan data directory are NOT included in the backup process.

**Backup File Maintenance**

☒ Backup ☐ Restore ☐ Receive from Support

**Backup Type**

☒ Normal  
☐ Include backup files  
☐ Include EOM files  
☐ Include Prior Year files  
☐ All Files

Begin Backup

☐ Transfer to Support

This setting will back up the standard PortMan data files.

Close

## Backup file names

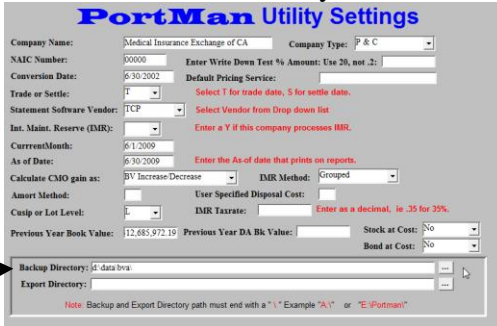
Backup files are created using unique names for each backup. This lessens and nearly eliminates the possibility of a prior backup file being overwritten by another newer backup. The naming convention utilizes a combination of the following date elements to produce a unique name.

Company Name  
Current Month/Year  
Year, Month, Day  
Hour, Minute, Second  
Backup Type selected

## Creating a Backup

To create a backup, follow these steps.

1. Open Portman. (If you have more than one PortMan company, this process must be done for each company.)
2. Click the **Utility; Utilities Screen** menu items, and confirm or set the Backup folder to the desired location. Close the Utility Screen.



3. Click the **File; Backup - Compressed** menu item.
4. Choose your Backup Type.
5. **OPTIONAL** – Check the Transfer to Support option if you want a copy of this backup file to be sent to PortMan support.
6. Click the **Begin Backup** button.

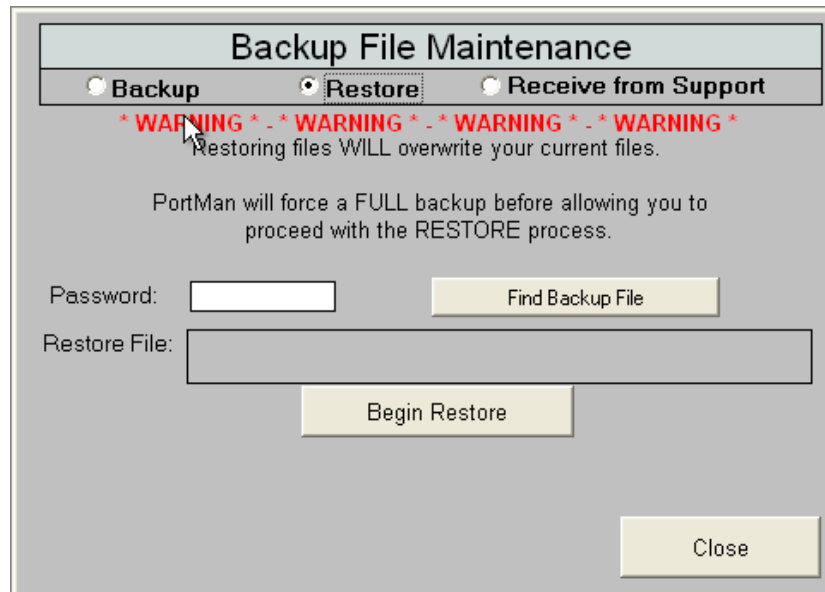
# Restore

**WARNING** – *Restoring data files is potentially damaging to your data and should be done with extreme caution!*

The Backup File Maintenance screen provides the ability to restore data files from pre-existing backup files. In order to restore files from a previous backup, you will first need to request a password from PortMan support by calling 502-209-6034.

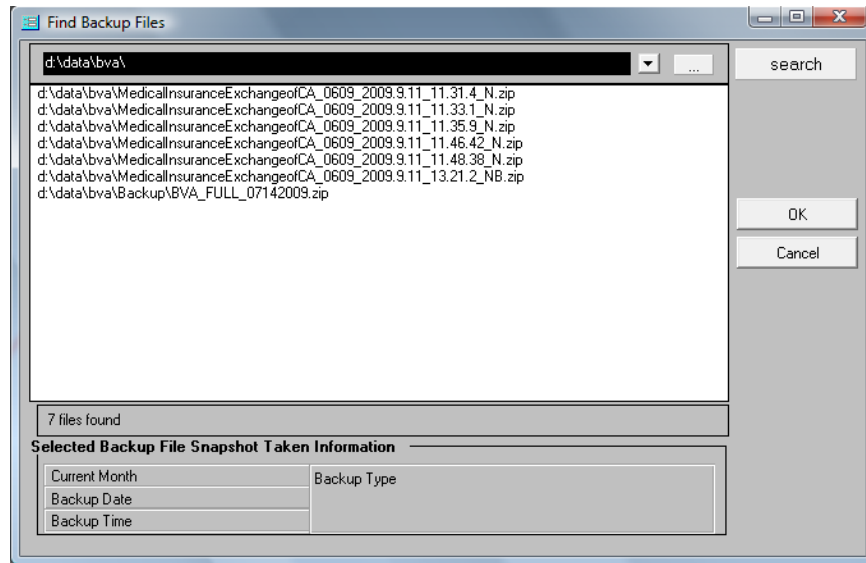
## Restoring a Backup


**NOTE:** Prior to restoring a backup file the system will automatically FORCE a complete backup of the data folder as an added protection against inadvertent data loss.

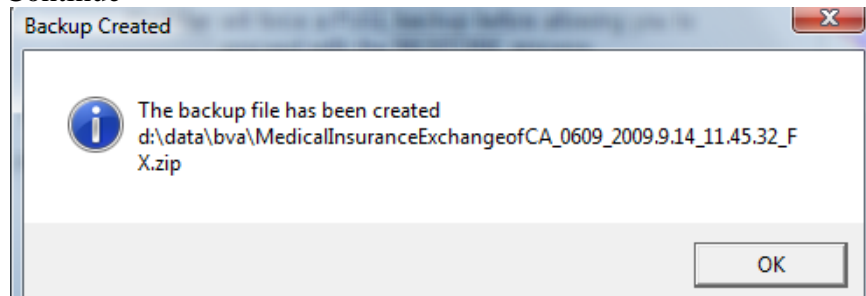
The image shows a software dialog box titled "Backup File Maintenance". At the top, there are three radio buttons: "Backup", "Restore" (which is selected), and "Receive from Support". Below the buttons, a red warning message reads: "\* WARNING \* - \* WARNING \* - \* WARNING \* - \* WARNING \*". Underneath this, it says "Restoring files WILL overwrite your current files." followed by "PortMan will force a FULL backup before allowing you to proceed with the RESTORE process." There are two input fields: "Password:" and "Restore File:". To the right of the "Password:" field is a button labeled "Find Backup File". Below the "Restore File:" field is a button labeled "Begin Restore". In the bottom right corner, there is a button labeled "Close".

To restore a backup, follow these steps.

1. Open Portman. (If you have more than one PortMan company, this process must be done for each company.)
2. Click the **File; Backup - Compressed** menu item.
3. Choose RESTORE.
4. Enter the password that you received from support and click **Find Backup File**.
5. The Find Backup Files dialog will appear.(See below)



6. Select the backup file that you wish to restore or click the  to browse for additional file locations.
7. When you have found a selected the file you wish to restore click **OK**.
8. Click the **Begin Restore** button.
9. The FORCED Automatic Backup will commence. When the FORCED backup is complete it will display a message similar to the one below. The file name displayed can be used to return your system to its current state should the restore results be undesirable.  
Click **OK** to Continue



10. The selected restore file will now be extracted and will overwrite the existing data files!  
Press **OK** when prompted.

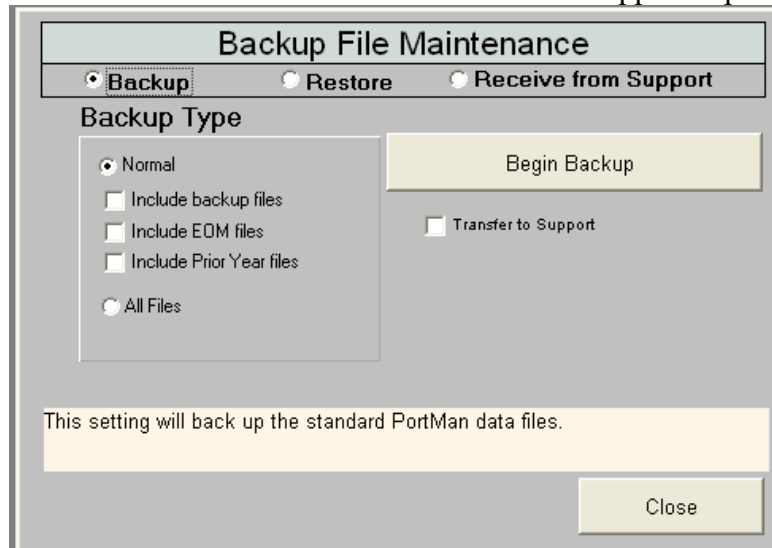
## Transferring Files to Support

Users requiring support are sometimes asked to send in data files to help identify and address their support needs. Sending the correct data files can be somewhat tedious when done manually. This section describes what happens when the “**Transfer to Support**” option is checked during a backup process.

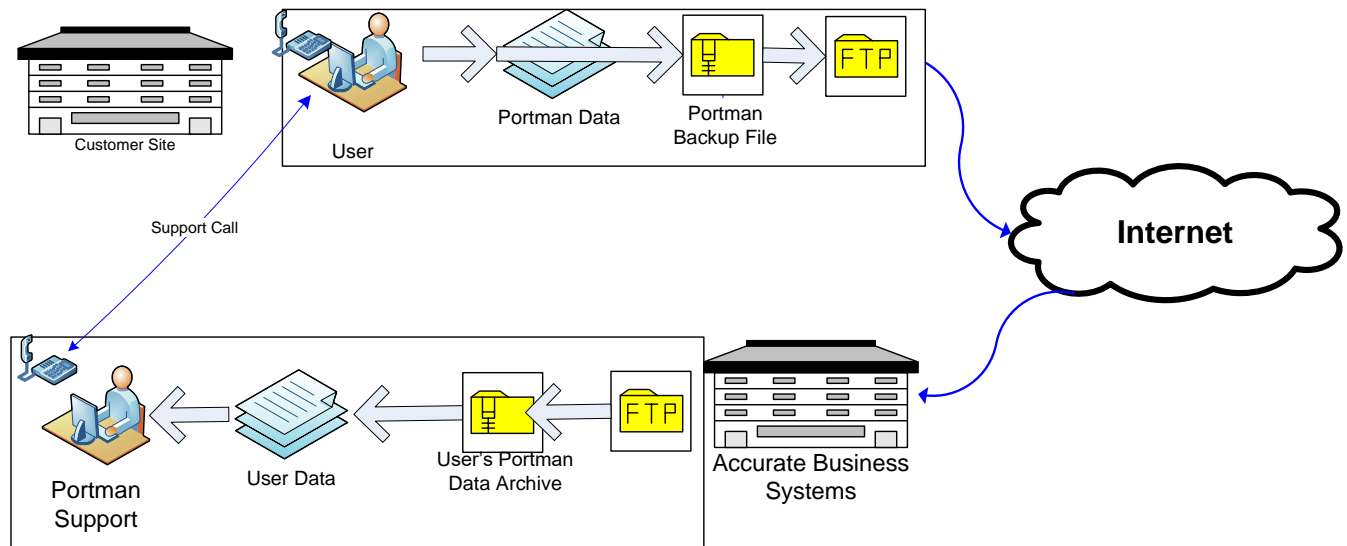
\*You should only use the “Transfer to Support” option when you are in contact with support and have been asked for a copy of your files.

\*You should NOT send data files without also informing support that they have been sent. Failure to notify support may mean that the files do not get immediate attention.

Follow the instruction to BACKUP files and check the “transfer to Support” option.



## Background File Transfer Process





## Receiving Files from Support

**WARNING** – *Restoring data files is potentially damaging to your data and should be done with extreme caution!*

The Backup File Maintenance screen provides the ability to receive data files from Support. This process acts in the same manner as the restore process with the exception of the fact that the file you will be restoring is coming from PortMan support. Typically this process is used when you sent your files in for editing and you are retrieving the corrected files from support.

In order to receive a file you will need to first get your file code from support. Your file code will be different each time you receive files. A file code will be similar to this: **a1892e**

The file code is nothing more than an identifier that is used in conjunction with other data to assure that you get the correct data files.

The screen will look like the following image:

**Backup File Maintenance**

☐ Backup ☐ Restore ☒ Receive from Support

**\* WARNING \* - \* WARNING \* - \* WARNING \* - \* WARNING \***

Restoring files WILL overwrite your current files.

PortMan will force a FULL backup before restoring the file(s) that you retrieve.

File Code:

Restore File:

You will enter your file code into the field provided and click the retrieve files from support. When your file has been successfully received, click the Begin Restore button to restore the files. From this point on the process is the same as “Restore Backup” starting at step 8.

## Restoring a Backup

**NOTE:** Prior to restoring a backup file the system will automatically FORCE a complete backup of the data folder as an added protection against inadvertent data loss.

# Master Install Setup

## Purpose

For users who have multiple insurance companies and multiple installations of PortMan, the burden of keeping the multiple installations up to date can be significantly reduced by creating a MASTER install copy of Portman.

The Master install copy can be a common folder created for this purpose or it can be an existing company.

## Requirements

In order to use the MASTER install update process you will need the following:

1. Portman Version 2010.13 or higher (\* earlier versions will work with this process, look for additional notes below)
2. A common folder that all users can have READ & COPY access to.
3. A text file called “**Master\_Install\_Enabled.txt**” which contains a valid path to the common folder in step B on the first line.

## Setup

To setup the Master install:

1. Create the folder where the master install will reside. (if necessary).
2. If your companies use custom files, you will need to copy the CUSTOM folder to the folder created in step 1. If you skip this step, you MAY lose your customized features.
3. Run the PORTMANInstall.EXE and install it into the folder in Step 1
4. Create a text file and type the path to the folder in step 1. This path must be valid for all PortMan users.
5. Save the text file with the name “**Master\_Install\_Enabled.txt**” into the data folder for each of your companies.
6. For companies that are on version 2010.12 or earlier, you will also need to Copy the **MainMenu.fdl** from the folder in step 1, to each of your insurance company folders.

That’s it, now when a user opens one of the Portman companies, it will check to see if an update needs to be applied and copy the required files before the company opens.

## \*\*Custom Files

If your companies use custom files, you will want to copy the custom folder into the MASTER install folder, before you run the PortManInstall.EXE

# Transaction Code Definitions

Code	Explanation
1	Code 1 signifies a purchase of a security. The figure you enter updates the Book Value and Actual Cost fields. Code 1 is a Debit entry.
2	Code 2 signifies a full disposal of a security. The figure entered updates the Disposed Book value field, and flags are set that alert the system that more processing must take place (such as Consideration). Code 2 is a Credit entry.
3	Code 3 signifies a partial disposal of a security. The figure entered updates the Disposal Book Value and Book Value fields, and flags are set for further processing. Code 3 is a Credit entry.
4	Code 4 signifies a Book Value decrease or decrease. A Debit entry increases the Book Value and Book Value Increase fields. A credit entry decreases the Book Value and increases the Book Value decrease field. Code 4 can be a Debit or Credit entry.
5	Code 5 signifies interest or dividends received for a security. Code 5 is a Credit entry.
6	Code 6 signifies Accrued Interest Paid. The entered value updates the Accrued Interest Paid field. Code 6 is a Debit entry.
7	Code 7 signifies a Disposal Profit. The entered value updates the Disposal Profit field, and flags are set to signify further processing. Code 7 is a Credit Entry.
8	Code 8 signifies a Disposal Loss. The entered value updates the Disposal Loss field, and flags are set to signify further processing. Code 8 is a Debit Entry.
9	Same as # 4 above, but amount is attributed to a disposal. Disposal Book Value Increase or Decrease fields are updated.

# Structured Security Collateral Types

CODE	DESCRIPTION	NOTES
1	RMBS Prime	Residential Mortgage Backed Securities consisting of first lien mortgages whose borrowers are considered prime. * Generally prime borrowers have a FICO score of 660 and higher. * FICO score is a consumer credit score developed by Fair, Isaac and Co. that is a numerical summary of the relative likelihood that an individual will pay back a loan.
2	RMBS Non-Prime	Consisting of first-lien mortgages whose borrowers are considered NON-prime. *Examples include subprime, and ALT-A borrowers.  *Subprime is a first-lien mortgage loan made to a borrower who has a history of delinquency or other credit problems. *ALT-A is a first-lien mortgage loan that generally conforms to traditional prime credit guidelines, although the LTV, loan documentation, occupancy status or property type, or other factors may cause the loan not to qualify under standard underwriting guidelines.
3	RMBS Home Equity	RMBS secured by Home Equity loans. *Usually a junior-lien mortgage loan that makes available to the borrower a revolving line of credit, allowing periodic borrowing and subsequent repayments.
4	RMBS Other	RMBS not included in 1 through 3.
5	CMBS	Commercial Mortgage Backed Securities - A type of mortgage backed security that is secured by the loan on a commercial property.
6	ABS - Credit Card	Asset Backed Securities collateralized with credit card receivables.
7	ABS - Auto	Asset Backed Securities collateralized with auto loans and leases.
8	ABS - Student Loan	
9	ABS - Aircraft Leases	
10	ABS - Equipment Leases	
11	ABS - Trade Receivables	
12	ABS - CDO/CLO	CDOs (Collateralized Debt Obligations) or CLOs (Collateralized Loan Obligations) * Indicate in Description column what the CDO.CLO collateral is, such as High Yield Bonds, corporate loans, etc. * If the collateral is of mixed type, indicate by "Mix" in description field, in addition to the largest type of collateral in the mix. * If the collateral is derived synthetically, indicate "synthetic" in the description field.
13	ABS - Loan	ABS Secured by loans.
14	ABS - Commercial Paper	
15	ABS - Manufactured Housing and Mobile Homes	

16	ABS - Recreational Vehicles	
17	ABS - Small Business Loans	
18	ABS - Tax	ABS collateralized with TAX Receivables
19	ABS - Utility	ABS collateralized with receivables from utilities
20	ABS - Other	ABS not included in 6 through 19

# General Ledger Definition Screen

Definition Number:	1	Description:	
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Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	
Pre-Pay Acceleration fee			

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

## General Ledger Definition Screen – Page 2

Definition Number:	2	Description:	
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Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

## General Ledger Definition Screen – Page 3

Definition Number:	3	Description:	
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Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.



## General Ledger Definition Screen – Page 4

Definition Number:	4	Description:	
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Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.

## General Ledger Definition Screen – Page 5

Definition Number:	5	Description:	
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Asset:		Suspense:	
Income Received:		Prepaid Income:	
Amortization of Premium Expense:		Accum. Premium Amortization:	
Accretion of Discount Income:		Accum. Discount Accretion	
Profit:		Loss:	
Income Accrued Asset (Debit):		Income Earned (Credit):	

Please complete a definition for each type of security you have in your General Ledger. Refer to the Initial Data Entry instructions, or call Accurate Business Systems for help.