

Fixed Income Clearing Corporation

GSD DVP RTTM Web Front End Remote Access Coordinator User Guide

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For Remote Access Coordinators Only



*The Depository Trust &
Clearing Corporation*

Fixed Income Clearing Corporation

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1. INTRODUCTION

Each firm must delegate at least one Remote Access Coordinator to provide initial access and privileges for all employees who will use the GSD RTTM Web Front End (WFE) application.

This document should be reviewed by the Remote Access Coordinator (RAC). It explains, in detail, the User Security function in the GSD DVP RTTM WFE, including how to:

- Add a New User
- Reset a Password
- Inquire or Update an existing user
- Delete a User, and
- Change a Password



The information contained in this guide is confidential, and should not be disclosed to non-GSD DVP RTTM WFE Security personnel.

If you require further information or assistance, please contact the DTCC Relationship Services Group at (888) 382-2721, option 5.

1.1. Navigational Tips

Keep the following tips in mind when entering data online:

- To move to the next field as you enter information, press TAB. You can also use your mouse to move the cursor to the next field.
- To select consecutive items in a list, press and hold SHIFT while clicking the first and last items that you want to select. Next, click **Add** or **Remove**.
- To select non-consecutive items in a list, press and hold CTRL and select the desired items. Next, click **Add** or **Remove**.

2. THE SITE ADMINISTRATION FUNCTION

Access to the GSD DVP RTTM WFE application is controlled via the Site Administration function. Since this function provides access to your firm's accounts, only the designated RAC has authority to use the function.

To access the **User Security** function:

Go to the **Home** page of the **GSD DVP RTTM WFE** application.

Click the **Site Administration** menu bar item.

Click **User Security** (Figure 1). This invokes a submenu containing the following menu option:

- User Security – Change Password (See Section 5)

Click **Manage Users Access** (Figure 2). This invokes a submenu containing the following menu options:

- Add User (see Section 3) and User Inquiry / Delete (see Section 4). You will also be able to Reset a Password and Update a User from this menu.



Figure 1: Accessing the User Management function (partial view of the **Home** page)



Figure 2: User Management menu page

3. ADD NEW USER

- Click **Site Administration** on the Home page's menu bar
- Click **Manage User Access**.
- Click **Add User**.

The **Add New User** page appears (Figure 3 and Figure).

 Mandatory fields are indicated with a red colored asterisk (*). These fields must be populated.

The instructions and the corresponding figures for this page are divided into two procedures.

- **3A** describes entering user information and account information (see page 5).
- **3B** describes selecting product access and user group assignment (see pages 6-10).

3A. How to Enter User Information and Account Information

For steps 5 and 6, please refer to Figure 3 (below). This image displays the top portion of the **Add New User** page.

User Information			
First Name *	<input type="text"/>	Email Address *	<input type="text"/>
Last Name *	<input type="text"/>	User ID *	<input type="text"/>

Account Information			
Password	<input type="text"/>	Account Start Date	09/24/2010 *
Confirm Password	<input type="text"/>	Account Expiration Date	09/24/2030 *
Force Password Expiration	Yes <input type="checkbox"/>	User Type	Extranet <input type="text"/>


Figure 3: Top portion of the **Add New User** page

Enter the user information.

- **First Name:** Type the full first name of the user.
- **Last Name:** Type the full last name of the user.
- **Email Address:** Type the dedicated e-mail address assigned to the user. This field is limited to 32 characters.
- **User ID:** The User ID defaults automatically to the entry made in the **Email Address** field.

Enter the account information.

- **Password:** Type the initial password, if desired.
If you leave this field blank, the system will automatically create and assign the initial password when you click **Submit** in Step 0. The user will be prompted to change this password upon initial login.

 Passwords are case-sensitive and must be 8-16 alphanumeric characters in length.
For additional requirements, please refer to Section 5.1.

- **Confirm Password:** Retype the password if you are creating it now. Otherwise, leave this field blank.
- **Account Start Date:** This is the effective date upon which the user can access the GSD DVP RTTM WFE application. Type the start date in “mm/dd/yyyy” format.
The system automatically defaults to the current date. You can enter a future date if desired.
- **Account Expiration Date:** This is the date upon which access will be denied to the user.
Type the expiration date in “mm/dd/yyyy” format.

The expiration date automatically defaults to 20 years from the start date. For security control purposes, please enter a closer expiration date.

3B. How to Select Product Access and User Group Assignment

For step 7, please refer to Figure (below). This image displays the lower portion of the **Add New User** page. In this scenario, we will assign GSD DVP access only.

Note that the Product Access section displays only those FICC products within the RTTM WFE to which you are entitled to assign access. This feature allows you to manage access for multiple FICC products from any RTTM WFE application.

The screenshot shows the lower portion of the 'Add New User' page. It is divided into three main sections: 'Clearing Bank', 'Product Access', and 'User Group Assignment'.
1. **Clearing Bank**: A dropdown menu set to 'No'.
2. **Product Access**: A table with four rows, each representing a different FICC product. Each row has a dropdown menu (all set to 'No') and a 'Participant Admin' dropdown menu (all set to 'No'). A blue circle with the number '7' is overlaid on the 'Government Securities' dropdown menu.
3. **User Group Assignment**: This section is split into two panes. The left pane, 'Available User Groups', contains a list of user groups: Inquiry, gsd_var_parallel, mbsd_var_parallel, nypc_parallel_report_center, wfe_all_products_msg_monitoring_grp, wfe_all_users_entry_grp, and wfe_ciso_report_grp. The right pane, 'Assigned User Groups', is currently empty. Between the panes are 'Add »' and '<< Remove' buttons. At the bottom right, there is a 'Reset' button with a circular arrow icon, and a 'Back' button with a left arrow icon. A tooltip points to the 'Reset' button with the text: 'Use the **Reset** button to remove all unsaved changes and return your page to its original state.' At the bottom right corner, there is also a 'Submit' button with a right arrow icon.

Figure 4: Lower portion of the *Add New User* page

Assign product access in the Government Securities DVP Application (DVP).

- a. Click the drop-down arrow in the **Product Selection** box.
- b. Click **Yes**. Your list of available GOV user classes appears in the box (Figure 5).

Figure 5: Lower portion of the **Add New User** page with **GOV** User Class selection active

☞ For all FICC products (CMU, GSD, DVP, GCF, and MBS), the available or assigned user classes are displayed when **Yes** is selected (see section labeled “7c” in Figure 4). If **No** is selected, the user classes are not displayed.

- c. For instructions on assigning access to GCF, Mortgage-Backed Securities (MBS), NYPC, and/or Corporates, Municipals, and UITs (CMU), please refer to the appropriate Remote Access Coordinator User Guide. These versions can be found online <http://www.dtcc.com/products/fi/index.php>

- d. Click the appropriate user class.

☞ Only the GSD user classes that are assigned to your firm are displayed on this page.

To Assign Access to a User Class	To Remove Access from a User Class:
<ul style="list-style-type: none"> Select the desired user class(es) from the Available GOV User Classes panel on 	<ul style="list-style-type: none"> Select the desired user class(es) from the Assigned GOV User Classes panel on

<p>the left.</p> <ul style="list-style-type: none"> Click Add. This moves the selected user class(es) to the panel on the right, labeled Assigned GOV User Classes. 	<p>the right.</p> <ul style="list-style-type: none"> Click Remove. This moves the selected user class(es) to the panel on the left, labeled Available GOV User Classes.
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- Select User Group (Privileges) Assignment.

To Assign Access to a User Group	To Remove Access from a User Group
<ul style="list-style-type: none"> Follow the guidelines described in Table 1, “Guidelines for Assigning User Groups.” Select the desired user group(s) from the Available User Groups panel on the left. Click Add. This places the selected user group(s) in the Assigned User Groups panel on the right. 	<ul style="list-style-type: none"> Select the desired user groups from the Assigned User Groups panel on the right. Click Remove. This moves the selected user groups to the Available User Groups panel on the left.

Only the GSD DVP user groups that are assigned to your firm are displayed on this page.

Table 1: Guidelines for Assigning User Groups

All users must belong to the user groups in rows (a) and (b) of the following table. These user groups govern login and overall access to the GSD DVP RTTM WFE application (for instructions, see Figure 5 and step 8).

Specify the group assignments for the following account types:

- Dealer accounts: Assign the group in rows (c) and/or (d) for DVP accounts.
- Broker accounts: Assign the group in rows (e) and/or (f) for DVP accounts.

ROW	USER GROUPS	DESCRIPTION
a	wfe_all_users_entry_grp	This privilege class provides the initial login and user password updates for the GSD DVP RTTM WFE. All GSD DVP RTTM WFE users must belong to this group.
b	wfe_gov_user_entry_grp	This privilege class provides access to the GSD RTTM WFE application’s Home page. All GSD DVP RTTM WFE users must belong to this group.

Dealer Only Privileges		
c	wfe_gov_dealer_dvp_view_grp	<p>This privilege class provides view-only access to the DVP trade management and search pages for government securities. Only those staff members for <u>DVP dealer accounts</u> should be assigned to this user group.</p> <ul style="list-style-type: none"> • Home Page, Buy/Sell, and Repo/Revr tab • Trade Management pages for: <ul style="list-style-type: none"> – DVP Trade Search – Substitutions – Obligations – Forward Starting GC Repo – Forward Starting GC Repo (Advisories) • Report Center access • Business Administration pages for: <ul style="list-style-type: none"> – Reference Data on Participant Accounts – Reference Data on DVP Security Master
d	wfe_gov_dealer_dvp_update_grp	<p>This privilege class provides access to the GSD DVP trade management tab drop-down menu. From here, the user can perform the following:</p> <ul style="list-style-type: none"> • Trade entry/affirm • Modify • Cancel • DK • DK Remove • Substitutions
Broker Only Privileges		
e	wfe_gov_broker_dvp_view_grp	<p>This privilege class provides view-only access to the DVP trade management and search pages for government securities. Only those staff members for <u>DVP broker accounts</u> should be assigned to this user group.</p> <ul style="list-style-type: none"> • Home page, Buy/Sell, and Repo/Revr tabs • Trade Management pages for: <ul style="list-style-type: none"> – DVP Trade Search – Substitutions – Obligations – Forward Starting GC Repo – Forward Starting GC Repo (Advisories) • Report Center access • Business Administration pages for: <ul style="list-style-type: none"> – Reference Data for Participant Accounts – Reference Data for DVP Security Master

f	wfe_gov_broker_dvp_update_grp	<p>This privilege class provides access to the GSD DVP trade management tab drop-down menu. From here, the user may perform the following:</p> <ul style="list-style-type: none"> • Trade entry/affirm • Modify • Cancel • Substitutions
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Click **Submit** after you have completed the Add New User setup and assigned the appropriate privileges.

- The system returns a success message containing the user's initial password and a blank Add New User page (see Figure 6).

The screenshot shows the FICC.GOV web interface. At the top, there is a navigation bar with 'Trade Management', 'Report Center', 'Business Administration', 'Site Administration', and 'Help'. Below this is a breadcrumb trail: 'Home > User Mgmt. > Add New User'. A red success message box states: 'Success! User (test@dtcc.com) has been added. Password set to: welcome-285'. Below the message is a form titled 'User Information' and 'Account Information'. The 'User Information' section has fields for 'First Name', 'Last Name', 'Email Address', and 'User ID', all marked with an asterisk as required. The 'Account Information' section has fields for 'Password', 'Confirm Password', 'Account Start Date' (set to 10/12/2010), 'Account Expiration Date' (set to 10/12/2030), 'Force Password Expiration' (set to Yes), and 'User Type' (set to Extranet).

*Figure 6: Upper portion of the **Add New User** page with “Success” message and blank entry fields*

☞ The Add New User page that appears directly below the success message is populated with the same product access and user group data as the previous entry. This facilitates the creation of multiple users with the same settings.

Provide this initial password to your user.

For security purposes, users will be prompted to change their passwords upon initial login to a GSD DVP RTTM WFE session. They will be asked again at 90-day intervals upon expiration of their passwords.

4. USER INQUIRY / UPDATE

This function is used to view and update an existing user’s privileges.

- Click **Site Administration > Manage User Access. > Inquiry/Delete** on the Home page’s menu bar.

The system returns the **User Query Results** page (Figure 7). This page consolidates the user information you entered on the Add New User page (Figures 3, 4, and 5) and allows you to view all information related to user security across all products simultaneously.

The screenshot shows the 'User Query Results' page. At the top, there are navigation tabs: Trade Management, Report Center, Business Administration, Site Administration, and Help. Below these is a breadcrumb trail: Home > User Query > Results. A search result summary states 'Your search returned 3 user(s)'. The main content is a table with columns for user details and various system flags. An 'Action' column on the left contains a dropdown menu with options: Reset Password, View, Edit, and Delete. Two callouts provide instructions: one points to a download icon in the top right, and another points to the underlined headings in the table.

Action (select)	User ID	First Name	Last Name	Intranet	CMU	GOV	MBS	GCF	Clearing Bank	NYPC	CMU UserClass (es)	GOV UserClass (es)	MBS UserClass (es)	MBS AggregateClass (es)	GCF UserClass (es)	Bank UserClass (es)	NYPC UserClass (es)
▼	testuser2@jpmorgan.com	test	usertwo	false	false	false	true	false	false	false			JPMC				
▼	testuser@dtcc.com	Test	User	false	false	true	false	false	false	false	9501						
▼	testuser@jpmorgan.com	test	user	false	false	false	true	false	false	false			JMCB				

Figure 7: Upper portion of the **User Query Results** page and **Action** field menu

Click a drop-down field in the **Action** column to select an action for that query result. There are four options:

- Reset Password (see Section 4.1)
- View (see Section 4.2)
- Edit (see Section 4.3)
- Delete (see Section 4.4).

4.1. Reset Password

- Click **Reset Password** from a drop-down field in the **Action** column (Figure 8).

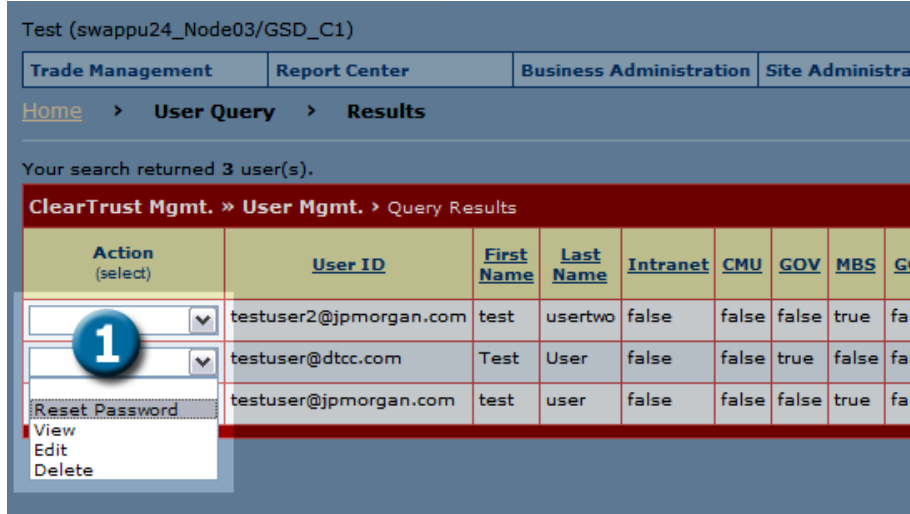


Figure 8: User Query Results page and Reset Password Selection

The system returns a verification message (Figure 9).



Figure 9: Password reset message box

Click **OK** to continue (or **Cancel** to abandon).

The system resets the user's password and displays the new password (Figure 10).

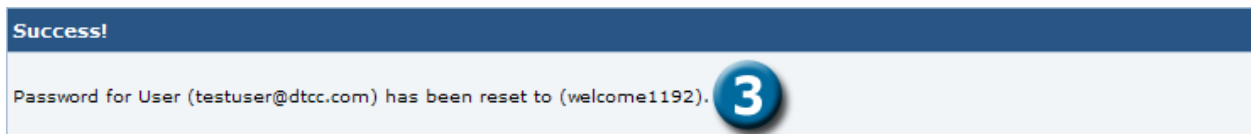


Figure 10: Password reset success message

Provide the new password to your user.

For security purposes, the system will prompt users to change this password upon subsequent login to a GSD DVP RTTM WFE session.

4.2. View a User’s Privileges

- Click **View** from a drop-down field in the **Action** column (Figure 1).

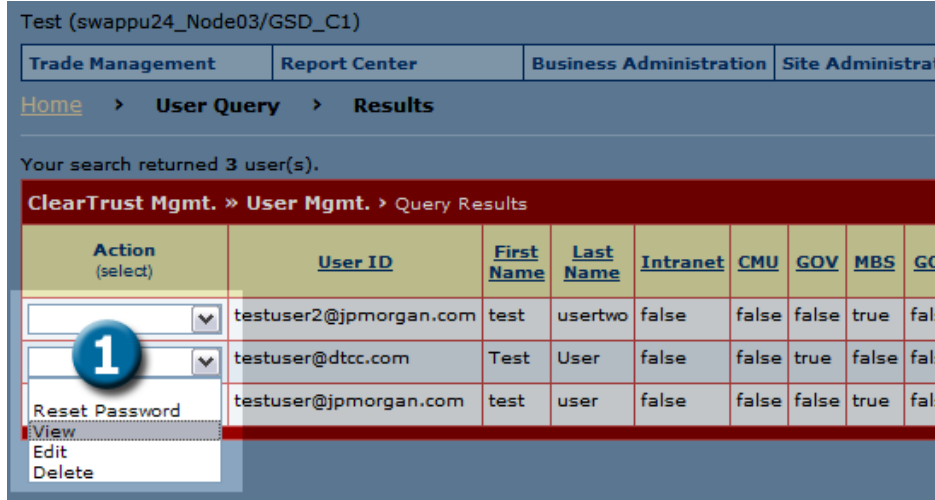


Figure 11: User Query Results Screen and View Selection

The **View** page appears. It lists the current privilege classes that are assigned to this user’s profile (Figure 12). This page provides no updates; it is for informational purposes only.

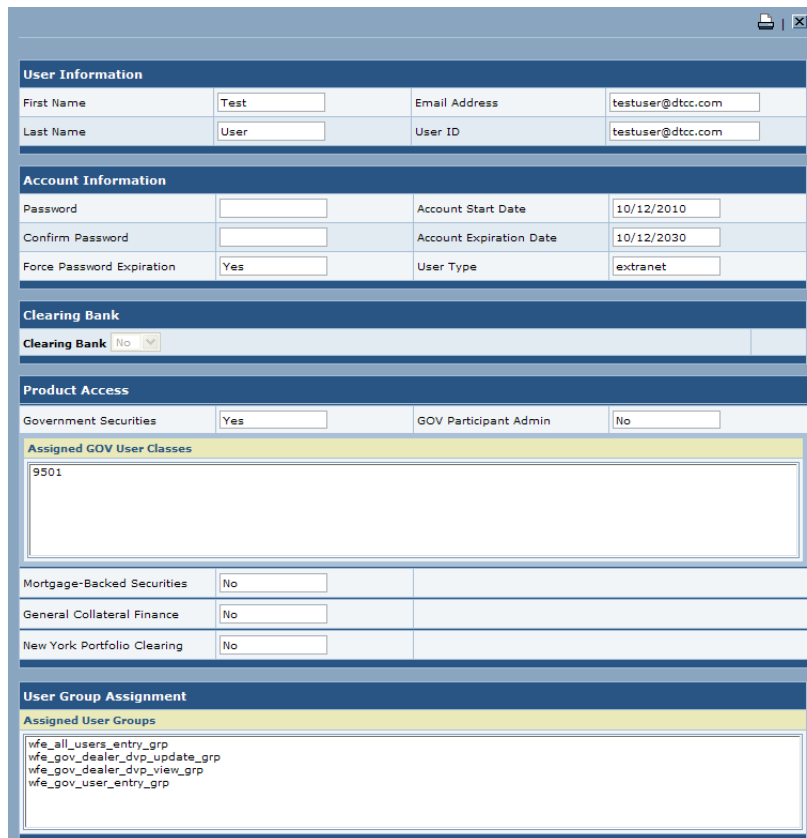


Figure 12: View page

4.3. Edit a User

1. Click **Edit** from a drop-down field in the **Action** column (Figure 13).

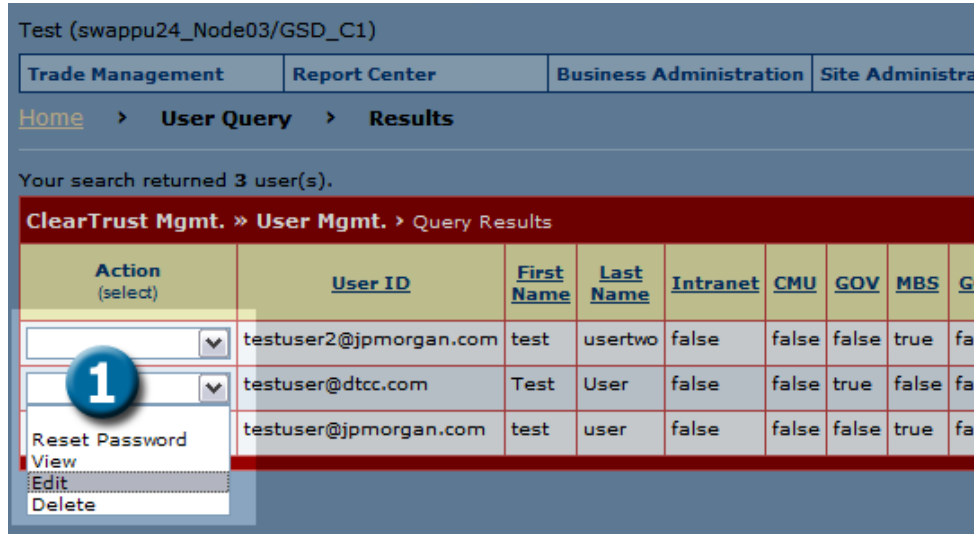


Figure 13: User Query Results page and Edit selection

The **Edit User** page appears. It displays the current privileges assigned to the user (Figure 14).

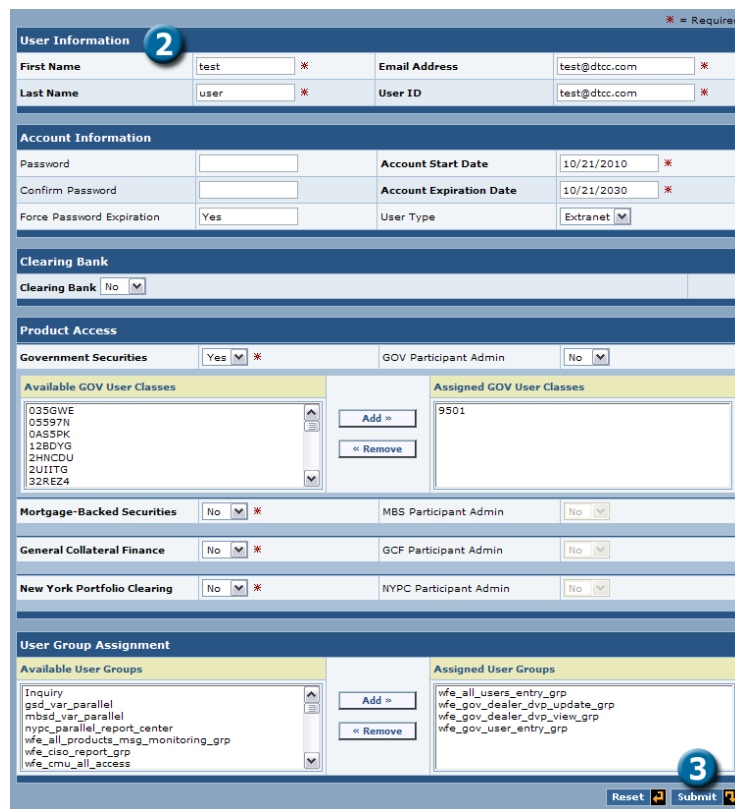


Figure 14: Edit User page

Update the applicable fields by following the Add User instructions in Section 3, steps 4-7.

Click **Submit** after you have completed your edits.

The system returns a success message and the updated **Edit User** page, confirming that your updates were added to the system (Figure 15).

Success!
 User (test@dtcc.com) has been updated.

* = Required

User Information

First Name	test *	Email Address	test@dtcc.com *
Last Name	user *	User ID	test@dtcc.com *

Account Information

Password		Account Start Date	10/21/2010 *
Confirm Password		Account Expiration Date	10/21/2030 *
Force Password Expiration	Yes	User Type	Extranet

Figure 15: Success message and updated **Edit User** page (partial view)

4.4. Delete a User

- Click **Delete** from a drop-down field in the **Action** column (Figure 16).

Test (swappu24_Node03/GSD_C1)

Trade Management | Report Center | Business Administration | Site Administration

Home > User Query > Results

Your search returned 3 user(s).

ClearTrust Mgmt. » User Mgmt. » Query Results

Action (select)	User ID	First Name	Last Name	Intranet	CMU	GOV	MBS	GO
▼	testuser2@jpmorgan.com	test	usertwo	false	false	false	true	fal
1 ▼	testuser@dtcc.com	Test	User	false	false	true	false	fal
Reset Password View Edit Delete	testuser@jpmorgan.com	test	user	false	false	false	true	fal

Figure 16: **User Query Results** page and **Delete** selection

The system returns a verification message (Figure 1).

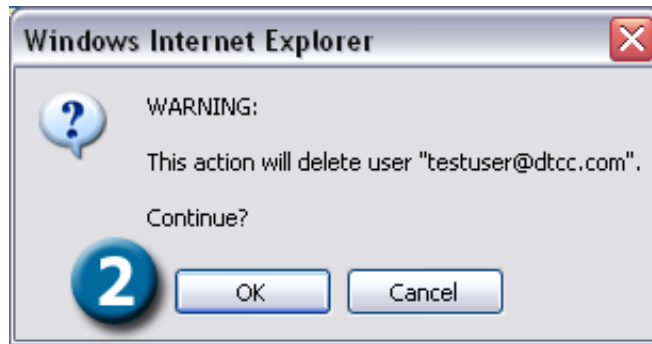



Figure 17: Delete User message box

Click **OK** to continue (or **Cancel** to abandon).

 **Caution:** Once you select **OK**, the user is deleted entirely from the GSD DVP RTTM WFE application.

The system returns a success message to confirm and display the deletion update (Figure 1).



Figure 18: Delete User success message

5. CHANGE PASSWORD

The Change Password function is available to all GSD DVP RTTM WFE users. These users can access this function to change their individual passwords, which is required upon initial login to the GSD DVP RTTM WFE application and after expiration of the password reset period.

- Click **Site Administration > User Security > Change Password** on the Home page's menu bar (Figure 19).

Test (swappu24_Node03/GSD_C1) [About](#) | [Logout](#) |

Trade Management | Report Center | Business Administration | Site Administration | Help

Home > Site Admin > Change Password

* = Required

Change Password

Username	testuser@dtcc.com
Old Password*
New Password*
Confirm New Password*

Reset Back Submit

Figure 19: *Change Password* page

- Update the required fields (*).

Passwords are case-sensitive and must be 8-16 alphanumeric characters in length. For additional requirements, please refer to Section 5.1.

- Click **Submit**.

The system returns a confirmation message upon successfully changing the password (Figure 20).

FICC.GOV User : Aileen Rose

Test (swappu24_Node03/GSD_C1) [About](#) | [Logoff](#) |

[Trade Management](#) | [Report Center](#) | [Business Administration](#) | [Site Administration](#) | [Help](#)

[Home](#) > [Site Admin](#) > [Change Password](#)

Success!

Your password has been successfully changed.

* = Required

Change Password	
Username	testuser@dtcc.com
Old Password	<input type="password"/> *
New Password	<input type="password"/> *
Confirm New Password	<input type="password"/> *

[Reset](#) [Back](#) [Submit](#)

Figure 20: Change Password confirmation message

5.1. Password Requirements

Your password must comply with the following parameters:

- Passwords must be 8-16 alphanumeric characters in length.
- Passwords must use a combination of uppercase and lowercase letters.
- Passwords cannot contain user names.
- Passwords cannot have more than two repeated characters (e.g., “AA”).
- Passwords must contain at least four unique characters.
- Passwords must be changed at least every 90 days.
- A user’s previous 12 passwords cannot be used.
- A user’s account will be locked after three failed login attempts.
To unlock an account, contact DTCC’s Customer Support Center at (888) 382-2721, then press option 5.