

Fixed Income Clearing Corporation

MBS RTTM Web Front End Remote Access Coordinator User Guide

Date:	09/26/2011
Version #:	4.0
Distributed by:	FICC
Distribution:	Remote Access Coordinators for MBS Web Front End

For Remote Access Coordinators Only



*The Depository Trust &
Clearing Corporation*

Fixed Income Clearing Corporation

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1. INTRODUCTION

Each firm must delegate a Remote Access Coordinator(s) to provide initial access and privileges for all employees who require access to the MBS 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 MBS 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

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

1.1. Navigational Tips

Keep in mind the following tips when entering /selecting data online:

- As you enter information, press the [Tab] key to move to the next field, or use your mouse to move the cursor to the next field.
- To select consecutive items in a list, hold down the [Shift] key while clicking on the first and last items that you wish to select. Then, click on the **Add** or **Remove** button.
- To select non-consecutive items in a list, hold down the [Ctrl] key and select the desired items. Then, click on the **Add** or **Remove** button.

2. THE SITE ADMINISTRATION FUNCTION

Access to the MBS RTTM WFE application and its functions are controlled via the Site Administration function. Since this function provides access to your firm's accounts, only the designated RAC has permission to access the function.

To access the *User Security* function:

Go to the Home page (Figure 1) of the **MBS RTTM WFE** application.

On the toolbar, click the menu item labeled *Site Administration*.

Click **User Security** (Figure 2). This invokes a submenu containing the following menu option:

- User Security – Change Password (See Section 5)

Click **Manage Users Access**. This invokes a submenu containing the following option:

Add a New 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.

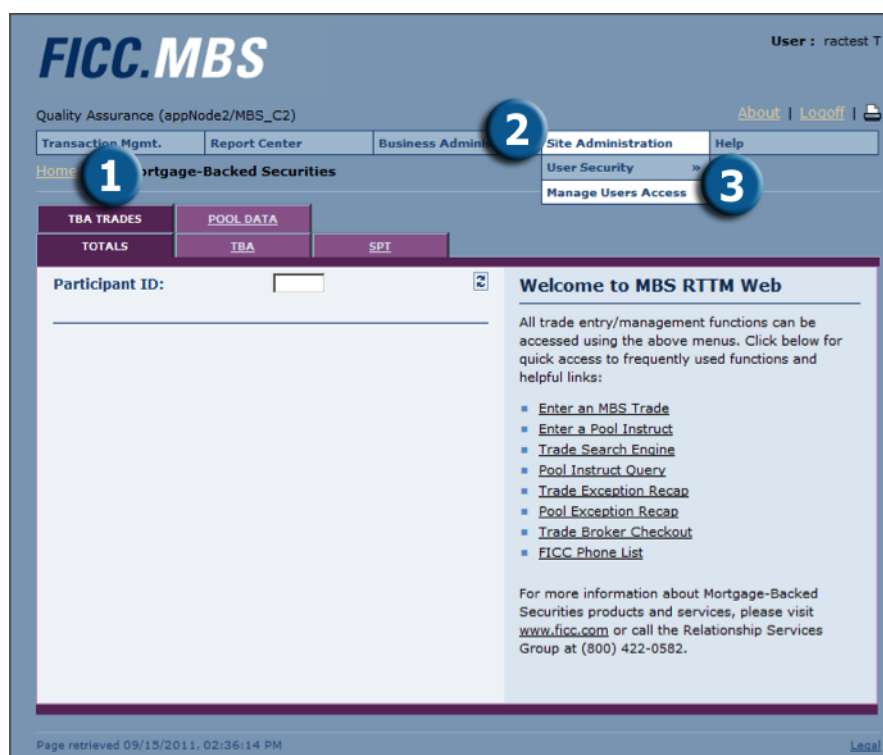


Figure 1: Accessing the User Security Function (partial view of Home Page)




Figure 2: *User Management menu page*

3. ADD NEW USER

- In the toolbar on the Home Page, click on *Site Administration, Manage User Access, and Add User* (Figure 1).

The Add New User screen appears (Figure and Figure and 5).

 Mandatory fields must be completed, and are indicated with a red colored asterisk (*).

For explanation purposes, the instructions and the corresponding figures for this screen are divided in two parts.

- Part A deals with How to Enter User Information and Account Information (see page 5).
- Part B describes How to Select Product Access and User Group Assignment (see pages 6-11).

Part A. How to Enter User Information and Account Information

As you read Steps 0 and 0, please refer to Figure (below), which shows the top portion of the Add New User screen.

The screenshot shows the top portion of the 'Add New User' screen. At the top right, there are links for 'About' and 'Logoff'. Below these are navigation tabs: 'Action Mgmt.', 'Report Center', 'Business Administration', 'Site Administration', and 'Help'. A breadcrumb trail shows 'Home > User Mgmt. > Add New User'. The form is divided into two main sections: 'User Information' and 'Account Information'. The 'User Information' section includes fields for 'First Name' (Alan), 'Last Name' (Roberts), 'Email Address' (aroberts@abc.com), and 'User ID' (aroberts@abc.com). The 'Account Information' section includes fields for 'Password', 'Confirm Password', 'Account Start Date' (07/27/2007), and 'Account Expiration Date' (07/27/2027). Asterisks (*) indicate required fields. A legend at the top right of the form states '* = Required'. Three blue circles with numbers 2, 3, and 4 are overlaid on the image, pointing to the navigation tabs, the User Information section, and the Account Information section respectively.


Figure 3: Top Portion of the Add New User Screen

Enter User Information.

- **First Name:** Type in the full First Name of the user.
- **Last Name:** Type in the full Last Name of the user.
- **Email Address:** Type in the dedicated email address assigned to the user. There is a limit of 32 characters for this field.
- **User ID:** The User ID automatically defaults to the entry made in the Email Address field.

Enter Account Information.

- **Password:** You can either create the initial password or leave this field blank. If left blank, the system will automatically create and assign the initial password when you select the Submit button in Step 0. (The user will be prompted to change their initial password when they first login.)

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

- **Confirm Password:** If you created the initial password, re-enter it in this field. Otherwise, leave this field blank.
- **Account Start Date:** This is the effective date when the user can access the MBS RTTM WFE application. The system will automatically default to the current date. You can assign a future date, if appropriate.
- **Account Expiration Date:** This is the date when access will be denied to the user. It will automatically default to 20 years in the future. It is recommended, for security control purposes, that you assign a shorter time frame.

B. How to Select Product Access and User Group Assignment

As you read Steps 0 and 0, please refer to Figure (below), which shows the lower portion of the Add New User screen.

The screenshot shows the 'Add New User' screen with the following sections and annotations:

- Product Access** (Section 5):
 - Government Securities**: No * (Annotation 5a)
 - Available GOV User Classes**: 9891, 9892 (Annotation 5b)
 - Assigned GOV User Classes**: (Empty)
 - Corporates, Municipals & UITs**: No *
 - Available CMU User Classes**: 9121, 9122 (Annotation 5c)
 - Assigned CMU User Classes**: (Empty)
 - Mortgage-Backed Securities**: Yes *
 - Available MBS User Classes**: MBYY (Annotation 5b)
 - Assigned MBS User Classes**: MBXX, MBZZ (Annotation 5a)
 - Available MBS Aggregate Classes**: 988, 98801 (Annotation 5c)
 - Assigned MBS Aggregate Classes**: 98802
- User Group Assignment** (Section 6):
 - Available User Groups**: wfe_mbs_dealer_view_only_grp, wfe_mbs_broker_trade_only_grp, wfe_mbs_broker_view_only_grp (Annotation 6)
 - Assigned User Groups**: wfe_all_users_entry_group, wfe_mbs_user_entry_group, wfe_mbs_trade_entry_group, wfe_mbs_dealer_trade_only_grp (Annotation 7)
- Buttons**: Reset, Back, Submit (Annotation 7)

Figure 4: Lower Portion of the Add New User Screen





The Product Access section displays only those FICC products that you are responsible for assigning access to in RTTM WFE. This feature allows you to manage access for multiple FICC products from any RTTM WFE application.

Use the Reset button to remove all non-saved changes and to return your screen back to how it looked prior to this set of edits.

As you read the following steps, please refer to Figure on the preceding page.

Assign Product Access to Mortgage-Backed Securities (MBS).

- a. Click on the drop-down arrow in the Product Selection box and change the default from **No** to **Yes**.

-
-  For all FICC products (CMU, GSD, and MBS), when 'yes' appears in the Product Selection box, the available / assigned User and Aggregate Classes are displayed in black font (see sections labeled '5b' and '5c' in Figure). If 'no' is displayed, the selections remain grayed out. For illustrative purposes, this document will address MBS access.
 -  For instructions on how to assign access to Corporates, Municipals, & UITs (CMU) and / or Government Securities, please refer to the appropriate Remote Access Coordinator User Guide. These versions can be found online:
-- for CMU- <http://www.ficc.com/cmudocs/rac.cmu.rttm.v2.aug07.final.pdf>
-- for GSD - <http://www.ficc.com/govdocs/rttm/rac.gov.rttm.v2.aug07.final.pdf>
 -  Only the MBS User Classes and MBS Aggregate Classes that are assigned to your firm are displayed on screen.
 -  You can assign access to either the MBS User Classes or the MBS Aggregate Classes, or to both of them.
-- The MBS User Class(es) that you select identifies the trading accounts the user can access.
-- The MBS Aggregate Class(es) defines which MBS Clearing Reports can be accessed.
-

- b. Select the appropriate User Class(es) for access to a specific trading account(s).

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 panel on the left, labeled Available MBS User Classes. • Do NOT assign both broker and dealer user class(es) to the same user ID. Separate sign-ons are required for broker and dealer accounts. • Then, click on the Add button to move the selected User Class(es) to the panel on the right, labeled Assigned MBS User Classes. 	<ul style="list-style-type: none"> • Select the desired User Class(es) from the panel on the right, labeled Assigned MBS User Classes. • Then, click on the Remove button to move the selected User Class(es) to the panel on the left, labeled Available MBS User Classes.

- c. Select the appropriate Aggregate Class(es) for access to a specific account's MBS Clearing Report(s).

To Assign Access to an Aggregate Class	To Remove Access from an Aggregate Class:
<ul style="list-style-type: none"> • Select the desired Aggregate Class(es) from the panel on the left, labeled Available MBS Aggregate Classes. • Then, click on the Add button to move the selected Aggregate Class(es) to the panel on the right, labeled Assigned MBS Aggregate Classes. 	<ul style="list-style-type: none"> • Select the desired Aggregate Class(es) from the panel on the right, labeled Assigned MBS Aggregate Classes. • Then, click on the Remove button to move the selected Aggregate Class(es) to the panel on the left, labeled Available MBS Aggregate Classes.

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 below, titled Guidelines for Assigning User Groups. Select the desired User Group(s) from the panel on the left, labeled Available User Groups. Next, click on the Add button to place the selected User Group(s) in the panel on the right, labeled Assigned User Groups 	<ul style="list-style-type: none"> Select the desired User Groups from the panel on the right, labeled Assigned User Groups. Then, click on the Remove button to move the selected User Groups to the panel on the left, labeled Available User Groups.


 Only the MBS User Groups that are assigned to your firm are displayed on your screen.

Table 1: Guidelines for Assigning User Groups

When assigning User Groups, use the following guidelines:

- The first two User Groups (labeled i-ii in the table below) must be assigned to all users. They are essential for login and overall access to MBS RTTM WFE.
 - For EPN Only Members:** The assignment of the first two User Groups (labeled i-ii in the table below) grants the user access to view the billing invoices; no other permissioning is required.
- For Dealer accounts:** assign the following User Groups (labeled iii, iv, and v in the table below) for full trade management functionality.
- For Broker accounts:** assign the following User Groups (labeled iii, vi, and vii in the table below) for full trade management functionality.


No.	User Groups	Descriptions
i)	wfe_all_users_entry_grp	This privilege class provides the initial log in and user password updates for the RTTM Web. All users of the MBS RTTM Web must belong to this group.
ii)	wfe_mbs_user_entry_grp	<p>This privilege class provides access to the MBS RTTM Web application and basic trade management, which includes the following screens:</p> <ul style="list-style-type: none"> MBS Home Page MBS Exception Recap MBS Business Administration <ul style="list-style-type: none"> Inquire and View Security Master View BMA Calendar MBS Reject Summary MBS Report Center <p>Both dealer and broker account users should be assigned to this user group.</p>

No.	User Groups	Descriptions
iii)	wfe_mbs_trade_entry_grp  Note: This group should always be assigned with (iv and v) below for dealer accounts OR (vi and vii) below for broker accounts.	This privilege class provides the following trade actions, that are applicable to both dealers and brokers: <ul style="list-style-type: none"> • DK • Potential Match View
Dealer Only Privileges		
iv)	wfe_mbs_dealer_trade_only_grp	This privilege class provides access for trade entry and trade actions of mortgage-backed securities. This group should be assigned to those staff members that require <u>trade entry and update capabilities</u> of mortgage-backed securities trades. The following functions are provided in this user class: <ul style="list-style-type: none"> • Dealer trade entry • Affirm • Cancel • Modify • View and Print Confirm
v)	wfe_mbs_dealer_view_only_grp	This privilege class provides additional trade management tools, which includes the following access: <ul style="list-style-type: none"> • Broker Check-out • Advisories Split View • Dealer Trade Search Engine
Broker Only Privileges		
vi)	wfe_mbs_broker_trade_only_grp	This privilege class provides access for trade entry and trade actions of mortgage-backed securities. This group should be assigned to those staff members that require trade entry and update capabilities of mortgage-backed securities trades. The following functions are provided in this user class: <ul style="list-style-type: none"> • Broker trade entry • Cancel • Modify • View and Print Confirm
vii)	wfe_mbs_broker_view_only_grp	This privilege class provides additional trade management tools, which includes the following: <ul style="list-style-type: none"> • Advisory view • Broker Trade Search Engine


After you have completed the Add New User setup and assigned the appropriate privileges, press the **Submit** button.

Once the user is successfully added:

- The system automatically generates a Success Message, the user's initial password, and another Add New User screen (Figure on the following page).

 To facilitate the creation of multiple users that have the same settings in common, the Add New User screen that appears directly below the Success Message is populated with the same Product Access and User Group selections as the previous entry.

- Provide this initial password to your user.

 For security purposes, users will be prompted to change their passwords the very first time they log into a MBS RTTM WFE session, and thereafter, every 90 days when their password expires.

To facilitate the creation of multiple users that have the same settings in common, the Add New User screen that appears directly below the Success Message is populated with the same Product Access and User Group selections as the previous entry.

8

Success!

User (aroberts@abc.com) has been added.

Password set to: welcome8941

* = Required

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	<input type="text" value="07/27/2007"/>	*
Confirm Password	<input type="text"/>	Account Expiration Date	<input type="text" value="07/27/2027"/>	*

Product Access

Government Securities *

Available GOV User Classes	<input type="text" value="9891"/> <input type="text" value="9892"/>	<input type="button" value="Add »"/> <input type="button" value="« Remove"/>	Assigned GOV User Classes	<input type="text"/>
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Corporates, Municipals & UITs *

Available CMU User Classes	<input type="text" value="9121"/> <input type="text" value="9122"/>	<input type="button" value="Add »"/> <input type="button" value="« Remove"/>	Assigned CMU User Classes	<input type="text"/>
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Mortgage-Backed Securities *

Available MBS User Classes	<input type="text" value="MBYY"/>	<input type="button" value="Add »"/> <input type="button" value="« Remove"/>	Assigned MBS User Classes	<input type="text" value="MBXX"/> <input type="text" value="MBZZ"/>
Available MBS Aggregate Classes	<input type="text" value="988"/> <input type="text" value="98801"/>	<input type="button" value="Add »"/> <input type="button" value="« Remove"/>	Assigned MBS Aggregate Classes	<input type="text" value="98802"/>

User Group Assignment

Available User Groups	<input type="text" value="wfe_mbs_dealer_view_only_grp"/> <input type="text" value="wfe_mbs_broker_trade_only_grp"/> <input type="text" value="wfe_mbs_broker_view_only_grp"/>	<input type="button" value="Add »"/> <input type="button" value="« Remove"/>	Assigned User Groups	<input type="text" value="wfe_all_users_entry_group"/> <input type="text" value="wfe_mbs_user_entry_grp"/> <input type="text" value="wfe_mbs_trade_entry_grp"/> <input type="text" value="wfe_mbs_dealer_trade_only_grp"/>
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Reset Back Submit

Figure 5: Success Message, Initial Password, and Another Add New User Screen

4. USER INQUIRY / UPDATE

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

- In the toolbar on the Home Page, click on **Site Administration, Manage User Access,** and **User Inquiry / Delete** (Figure 1).
- The User Query Results screen appears (Figure 6). This screen consolidates all the user information that has been entered on the Add New User screen (Figure and Figure), and allows you to view all user security related information across all products at a glance.

Click on this button to download / export the entire User Query Results database for your firm to an Excel Spreadsheet.

2

Home > User Query > Results

Your search returned 21 user(s).

ClearTrust Mgmt. » User Mgmt. » Query Results

Action (select)	User ID	First Name	Last Name	CMU	GOV	MBS	CMU UserClass (es)	GOV UserClass (es)	MBS UserClass (es)	MBS AggregateClass (es)
	ahamilton@abc.com	Alan	Hamilton	true	false	false	9122			
	aroberts@abc.com	Alan	Roberts	false	false	true			MBXX MBZZ	98802
	bfranklin@abc.com	Barbara	Franklin	false	true	false		9891		
	cstevens@abc.com	Carter	Stevens	true	false	false	9121			
	djones@abc.com	Dave	Jones	false	true	false		9891		

3

Reset Password
View
Edit
Delete

Action Bar with drop-down menu

Click on any underlined heading to sort results by that heading. Click on the same heading again to toggle between ascending and descending order.

Figure 6: User Query Results Screen and Action Bar

Click on the down arrow in the **Action** bar to access the following four options within the drop-down menu:

- 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

- To reset a user’s password, select Reset Password from the drop-down list in the **Action** bar (Figure).

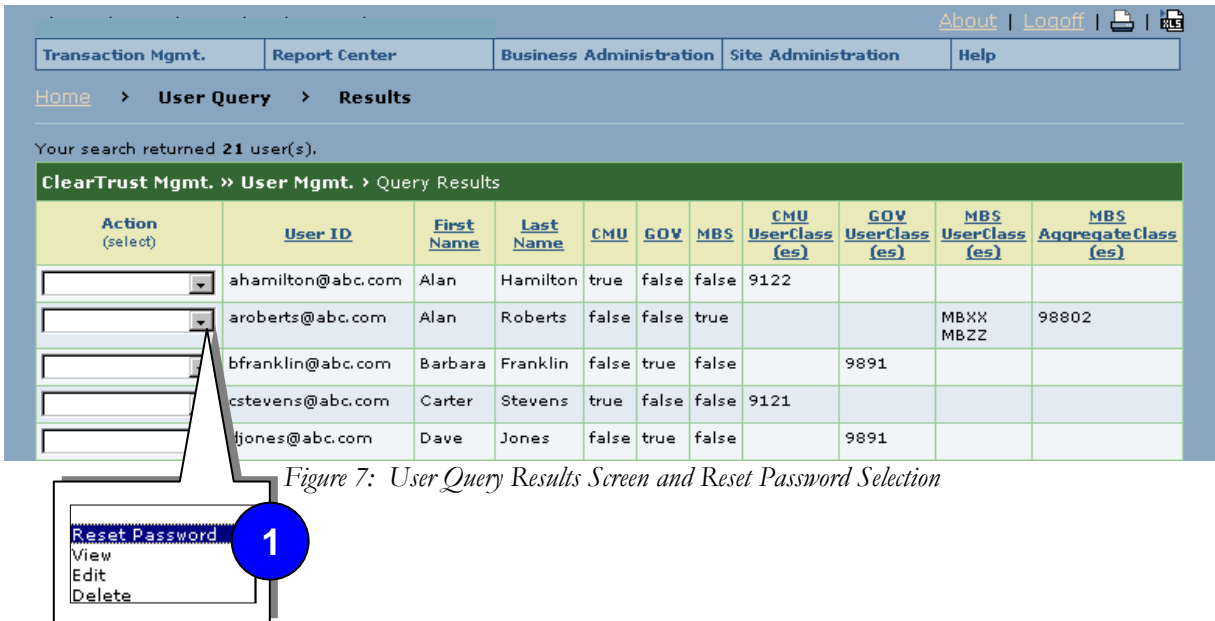


Figure 7: User Query Results Screen and Reset Password Selection

A warning/verification message appears. Press **OK** to continue (or **Cancel** to discontinue) (Figure).



Figure 8: Reset Password Warning Screen

After you click **OK**, the user’s password resets and the new password is displayed (Figure 9).



Figure 9: Reset Password Success Message

Provide the new password to your user. For security purposes, the system will prompt the user to change this password the next time they log into a MBS RTTM WFE session.

4.2. View a User’s Privileges

- To view an existing user’s privileges, select View from the drop-down list in the **Action** bar (Figure).

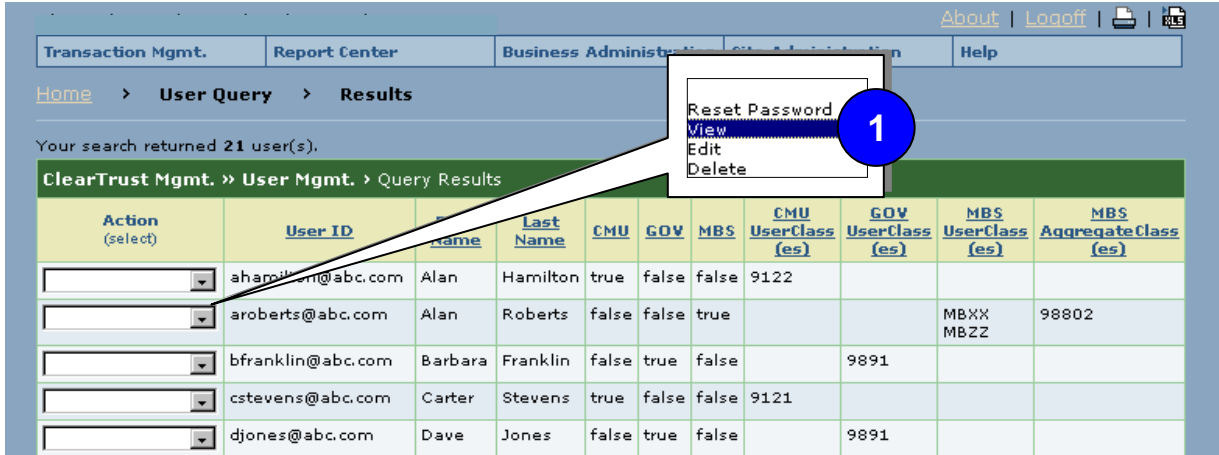


Figure 10: User Query Results Screen and View Selection

The View screen appears and lists the current privilege classes that the user has assigned to their profile (Figure 2). This screen provides no updates; it is for viewing purposes only.

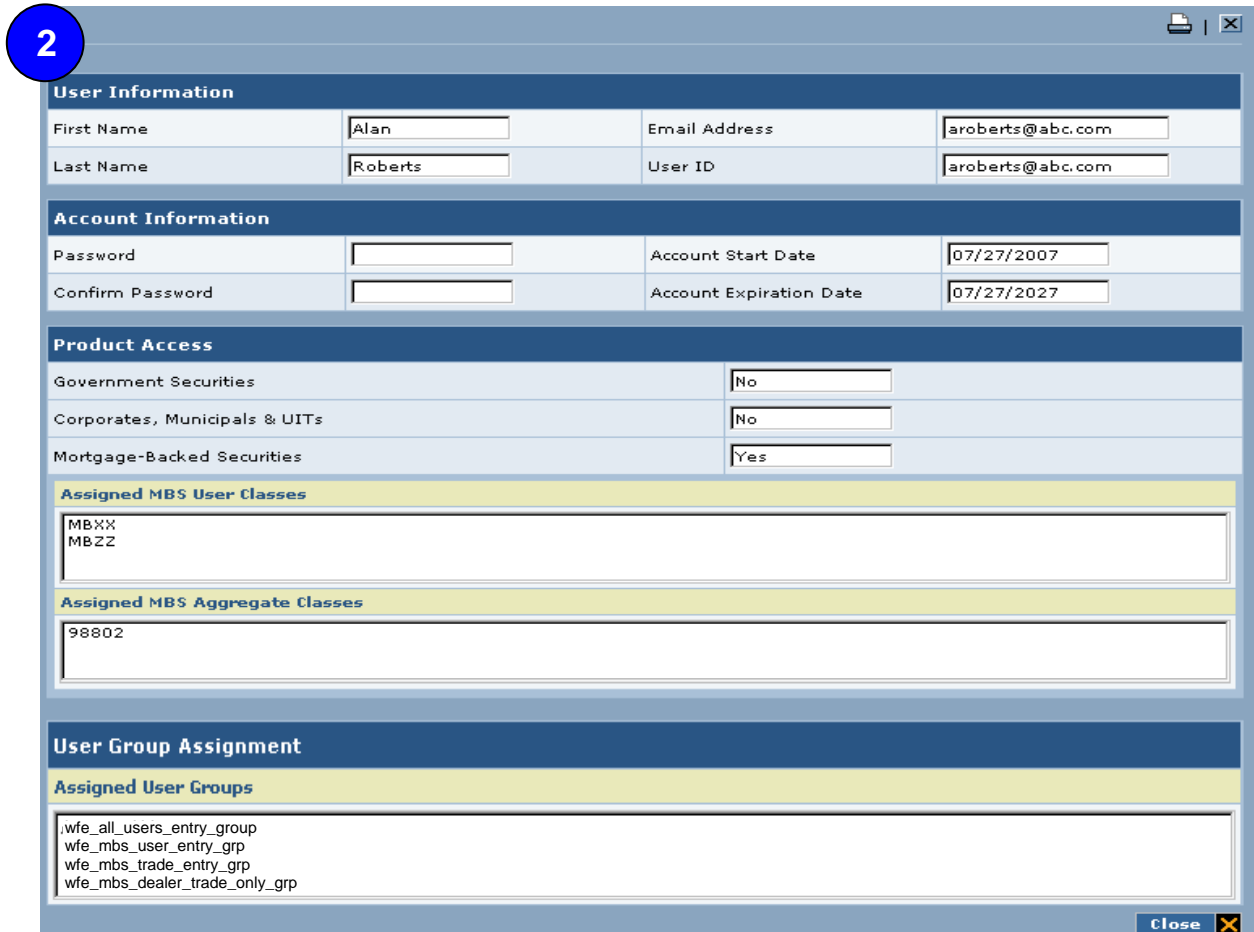


Figure 2: View Screen

4.3. Edit a User

- To edit an existing user’s privileges, select Edit from the drop down list in the **Action** bar (Figure 3).

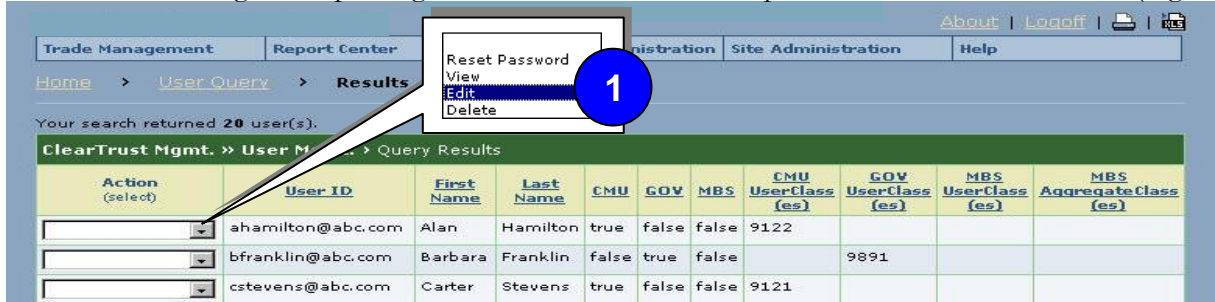


Figure 3: User Query Results Screen and Edit Selection

The Edit User screen displays the current privileges assigned to the user (Figure 4). Update the applicable fields / selections by following the Add User instructions in Section 3, steps 3-6.

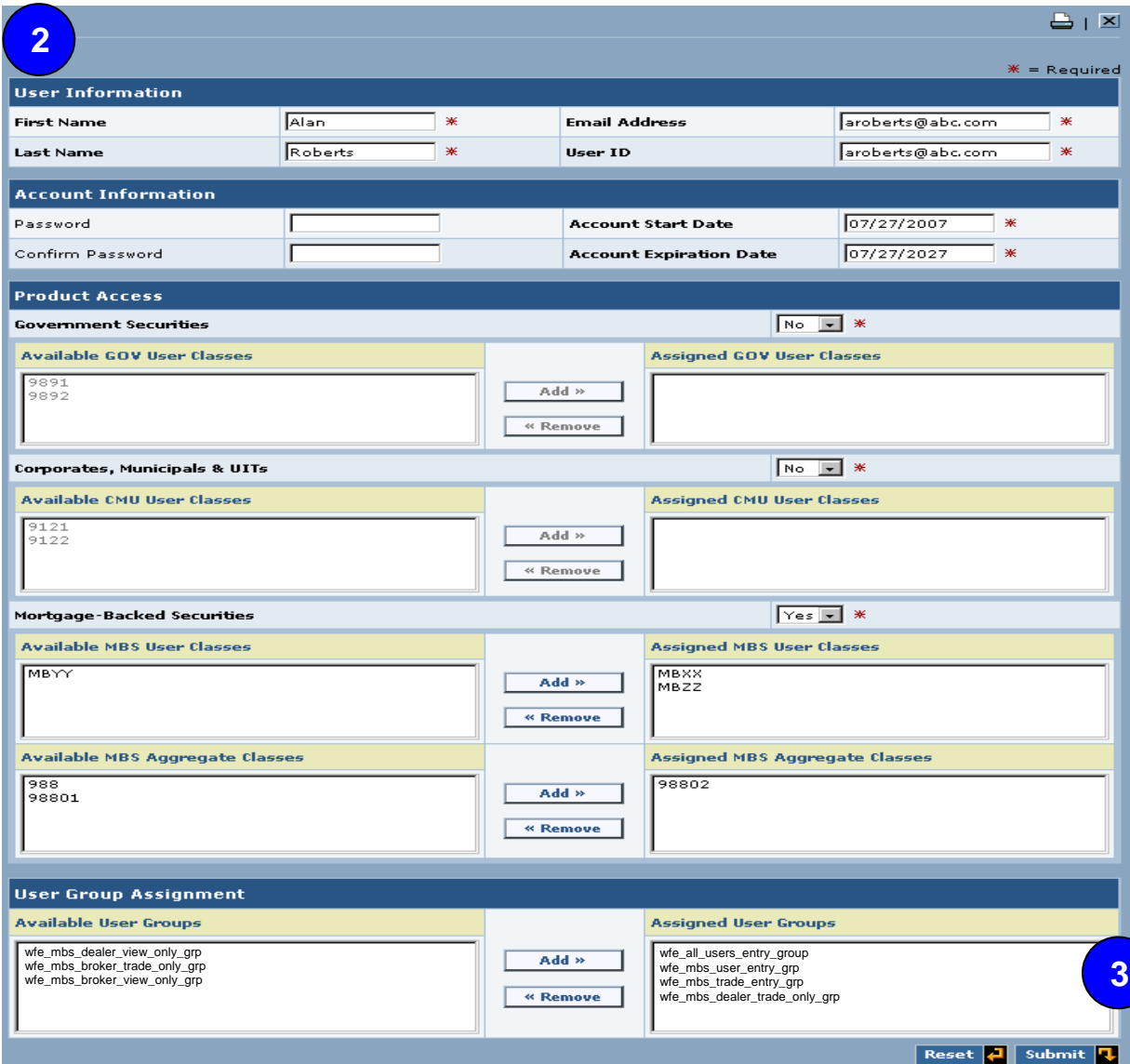


Figure 4: Edit User Screen

After you have completed your edits, press the **Submit** button.

The Success Message and the updated Edited Entry screen appear, confirming that your updates were successful (Figure 5).

4

Success!
User (aroberts@abc.com) has been updated.

* = Required

User Information

First Name	Alan *	Email Address	aroberts@abc.com *
Last Name	Roberts *	User ID	aroberts@abc.com *

Account Information

Password	<input type="text"/>	Account Start Date	07/27/2007 *
Confirm Password	<input type="text"/>	Account Expiration Date	07/27/2027 *

Product Access

Government Securities *

Available GOV User Classes	<input type="button" value="Add »"/>	Assigned GOV User Classes
9891 9892	<input type="button" value="« Remove"/>	

Corporates, Municipals & UITs *

Available CMU User Classes	<input type="button" value="Add »"/>	Assigned CMU User Classes
9121 9122	<input type="button" value="« Remove"/>	

Mortgage-Backed Securities *

Available MBS User Classes	<input type="button" value="Add »"/>	Assigned MBS User Classes
MBYY	<input type="button" value="« Remove"/>	MBXX MBZZ

Available MBS Aggregate Classes	<input type="button" value="Add »"/>	Assigned MBS Aggregate Classes
988	<input type="button" value="« Remove"/>	98801 98802

User Group Assignment

Available User Groups	<input type="button" value="Add »"/>	Assigned User Groups
wfe_mbs_dealer_view_only_grp wfe_mbs_broker_trade_only_grp wfe_mbs_broker_view_only_grp	<input type="button" value="« Remove"/>	wfe_all_users_entry_group wfe_mbs_user_entry_grp wfe_mbs_trade_entry_grp wfe_mbs_dealer_trade_only_grp

Figure 5: Success Message and Updated Edit User Screen

4.4. Delete a User

- To delete a user, select Delete from the drop-down list in the **Action** bar (Figure 6).

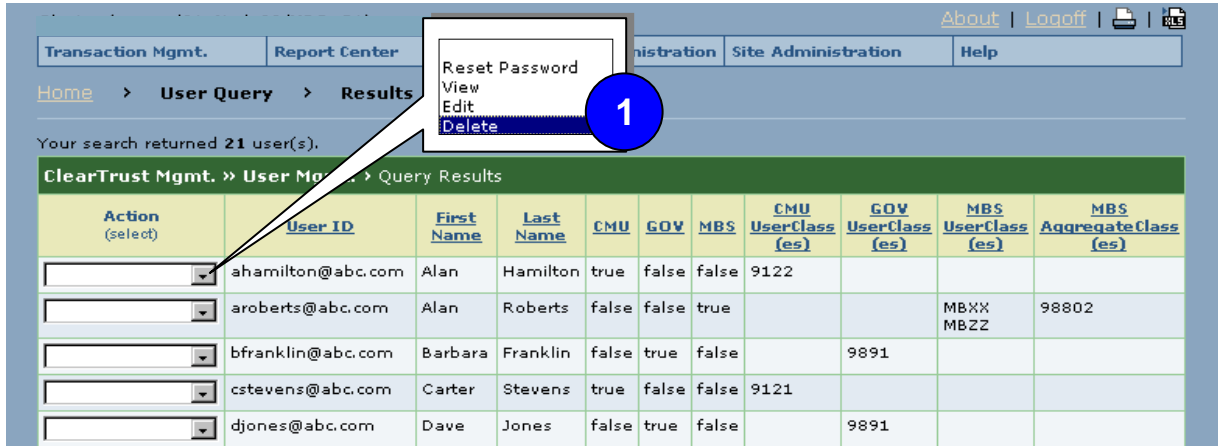


Figure 6: User Query Results Screen and Delete Selection

A warning/verification message appears (Figure 7).

- ☞ **Caution:** Once you select **OK**, there is no other step before the user is deleted from the MBS RTTM WFE application.

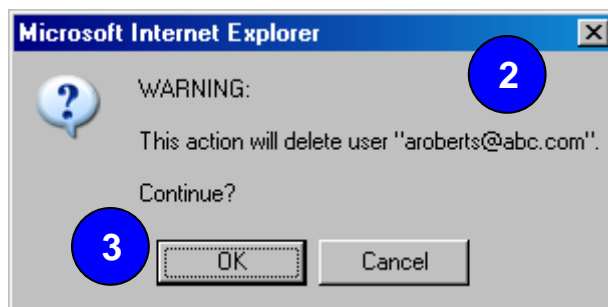


Figure 7: Delete User Warning Screen

Then, press **OK** to continue (or **Cancel** to discontinue).

Once you click **OK** for deletion, the Success Message confirms and displays the deletion update (Figure 8).

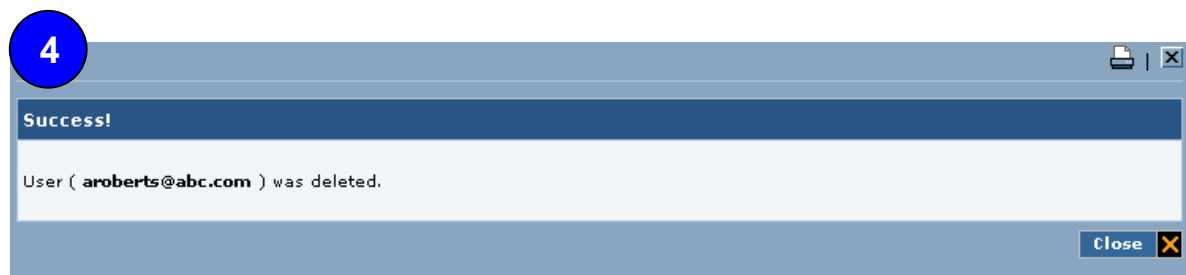


Figure 8: Delete User Success Message

5. CHANGE PASSWORD

The Change Password function is available to all MBS RTTM WFE users. All users can access this function to change their own individual password (e.g., the very first time they log into the MBS RTTM WFE application or after their password is reset).

- On the toolbar located on the Home Page, click on the menu items: **Site Administration**, **User Security**, and **Change Password** (Figure 1).
- The Change Password screen opens (Figure 9). Update the required fields (*) and press the **Submit** button.

Change Password

Username *

Old Password *

New Password *

Confirm New Password *

Reset Back Submit

Figure 9: Change Password Screen

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

If the password changes successfully, a confirmation screen is displayed (Figure 10).

Success!

Your password has been successfully changed.

Figure 10: Change Password Confirmation Screen

5.1. Password Requirements

When choosing a new password, be sure to comply with the following requirements:

- Passwords must be alphanumeric, between 8-16 characters in length, and use a combination of upper and lower case letters.
- Username cannot be contained within the password.
- Maximum repeated characters cannot exceed 2.
- Minimum unique number of characters is 4.
- Passwords must be changed at least every 90 days.
- Your previous twelve (12) passwords cannot be used.
- Your account will be locked out after 3 failed attempts. To unlock, contact DTCC's Customer Support Center at (888) 382-2721, then press option 5.