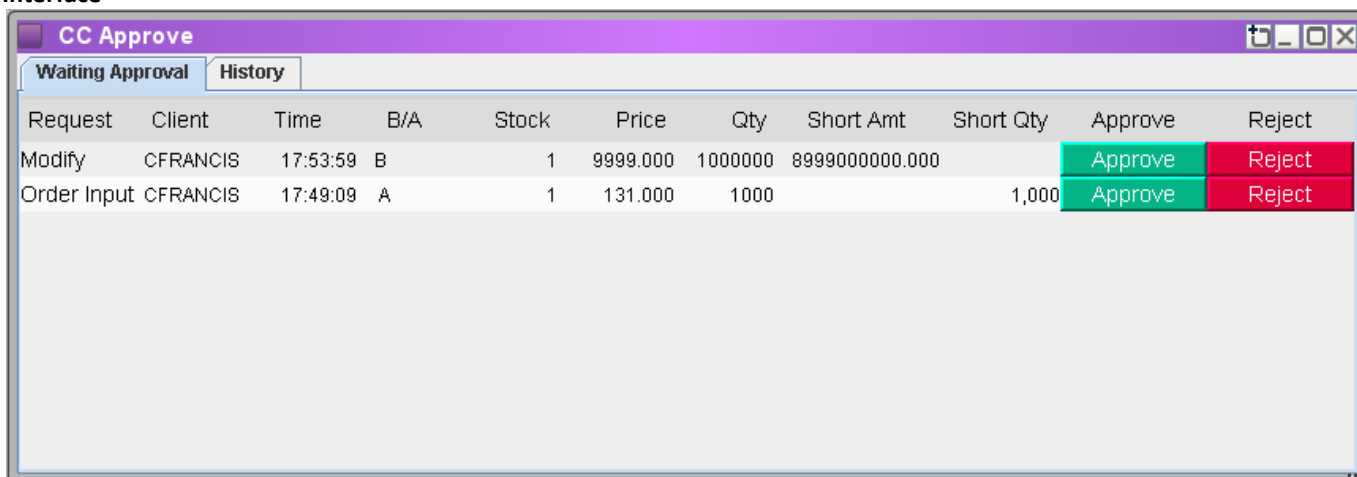


2.2 Supervisor Function

2.2.1 Credit Checking Approve (CC Approve)

This real-time function allows supervisor to manage the pending order raised by users. Supervisors can either accept or reject the requested pending orders based on the order information provided. Approval and rejection can be performed by pressing button on the record. After approving or rejecting the request, the order will be sent to market or be rejected. Approval or rejection history is traceable from the History panel.

Interface



Interface item

Items	Type	Remark
Waiting Approval	Table	Display awaiting approval requests from subordinates
History	Table	Display Approval and rejected request history

2.2.1.1 Credit Check Approve – Waiting Approval

This function allows supervisor to approve and reject the pending orders

CC Approve										
Waiting Approval		History								
Request	Client	Time	B/A	Stock	Price	Qty	Short Amt	Short Qty	Approve	Reject
Order Input	CFRANCIS	16:40:59	A	2	10.000	1000		1,000	Approve	Reject
Order Input	CFRANCIS	16:38:49	A	388	20.000	1000		1,000	Approve	Reject
Purchase ...	CWEAVE	14:22:17	B	2	60.400	2000	120800.000		Approve	Reject

Approve Request

Step 1: Press “Approve” button on the record

Step 2: Press “Yes” to confirm the approval



Reject Request

Step 1: Press “Reject” on the record

Step2: Press “OK” to confirm the rejection

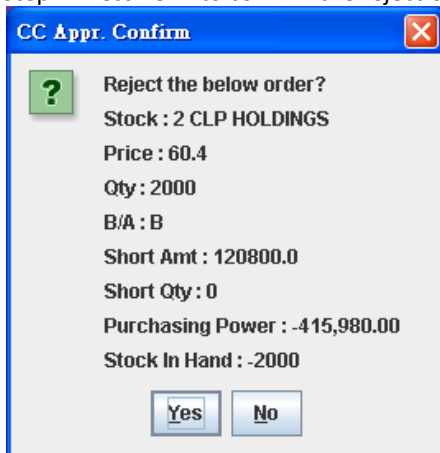


Table column:

Items	Type	Remark
Request	Character	Data Request for approval
Client	Character	The client account of the request
Time	Time	Order time
B/A	Character	B – Bid A – Ask
Stock	Number	The stock code of the request
Price	Number	The order price of the request
Qty	Number	The order quantity of the request
Short Amt	Number	Amount short of the request
Short Qty	Number	Quantity short of the request
Approve	Button	Click to approve the request, and it will send to AMS for approval
Reject	Button	Click to reject the request

Table column of 2nd Confirmation:

Items	Type	Remark
Stock	Character	Order type requests for approval
Price	Number	The order price of the request
Qty	Number	The order quantity of the request
B/A	Character	B – Bid A – Ask
Short Amt	Number	Amount short of the request
Short Qty	Number	Quantity short of the request
Purchasing Power	Number	Purchasing Power of client required approval
Stock on Hand	Number	Stock on hand of client required approval

2.2.1.2 Credit Check Approval - History

This function allows supervisor to review the history of CC approval and rejection record within the trade day. Users are able to retrieve latest update by pressing the “Refresh” button. Information such as Approval time, operations, order and trade detail will be listed. Record will be cleaned after the day end process.

Step 1

Click the “History” tab and to switch to history panel



Step 2

Press “Refresh” button to retrieve the latest update from server

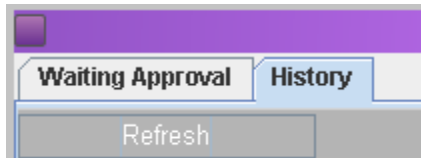


Table column:

Items	Remark
Time	Order requests for approval
Oper.	The description of the operation
B/A	B – Bid A – Ask
Type	Order type
Stock	Stock code of the order
Price	Order price
Qty	Order quantity
Reference	Trade reference
TC	Trade class
Client	Client account