Chapter 9. Additional features

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This chapter describes requesting reports on operations performed on the broker's server and process of working with investment recommendations.

9.1 Non-trade instructions

Introduction

Non-trade instructions are instructions to the broker to move client funds between accounts: depositing funds into the trading system, withdrawing them back to the client's account, transferring between different accounts or trading systems.

The use of non-trade instructions is an additional feature of the QUIK system, which appears if there is a special Non-trade instructions module on the server.

To use non-trade instructions at the User workstation, it is necessary that:

- this user is given access to non-trade instructions on the QUIK server;
- the INSTRCLIENT.DLL file is in the QUIK programs folder;
- the **Non-trade instructions** class is included in the list of accepted classes.

If these conditions are met, the **Non-trade instructions** item will be in the program menu.

To be able to confirm non-trade instructions and received files (reports) with one-time passwords, you must specify a phone number (one or more) in the QUIK Administrator program (the **Common rights** tab, the **for SMS** box on the user editing dialog box) to receive one-time passwords.

Principle of operation

1. Working with non-trade instructions is similar to working with orders. To see the list of sent instructions and their current status, you need to create an Instructions table using the **Plugins** / **Non-trade instructions** / **Table of instructions** program menu item. This table displays instructions of all types and the status of their processing by broker specialists. By double-clicking the left mouse button on a line, you can open an instruction and view its parameters.

2. New instructions are created by selecting the appropriate type of instruction from the **Plugins** / **Non-trade instructions** / [instruction type] menu item. An entry dialog box with boxes to fill out will appear on the screen. To minimize possible errors when filling out, client details are selected from a dictionary filled out on the broker's server.

3. The filled-out instruction order is sent to the server of the QUIK brokerage system, where it is subsequently checked and confirmed by the broker’s employees. After all necessary confirmations have been received, the instruction is executed and positions on the specified instrument (or funds) are changed.

4. During instruction conformation the broker’s employees can apply addition payments for instruction execution, that specified in common boxes:

   - **Tax** – amount of taxes and fees collected upon instruction execution is indicated by the broker's employee.

- **Depository commission** – amount of payment withheld in favor of the depository. If the client is charged arrears of deposit fees, it is indicated by the broker in this box.
- **Cash withdrawal commission** – payment amount withheld when making payments through the cash register.

5. The instruction may be rejected by one of the broker's specialists or at the registration stage. In this case, it receives the **Killed** status, which is displayed in the **Instructions table**. To see the reason for rejection indicated by this specialist, you need to select the instruction in the Table and open it by double-clicking the left mouse button. The **Cancellation comment** parameter will indicate the reason for the cancellation.

6. The user can cancel a sent instruction that has the **Active** status. To do this, you need to create a request to cancel the instruction by selecting the **Request to cancel the instruction** item from the shortcut menu on the instruction and enter the explanatory text in the window that opens. This request is also confirmed by the broker's employees.

7. The instruction may require confirmation with a one-time password. SMS messages with a one-time password are sent to SMS numbers specified in the QUIK Administrator program.

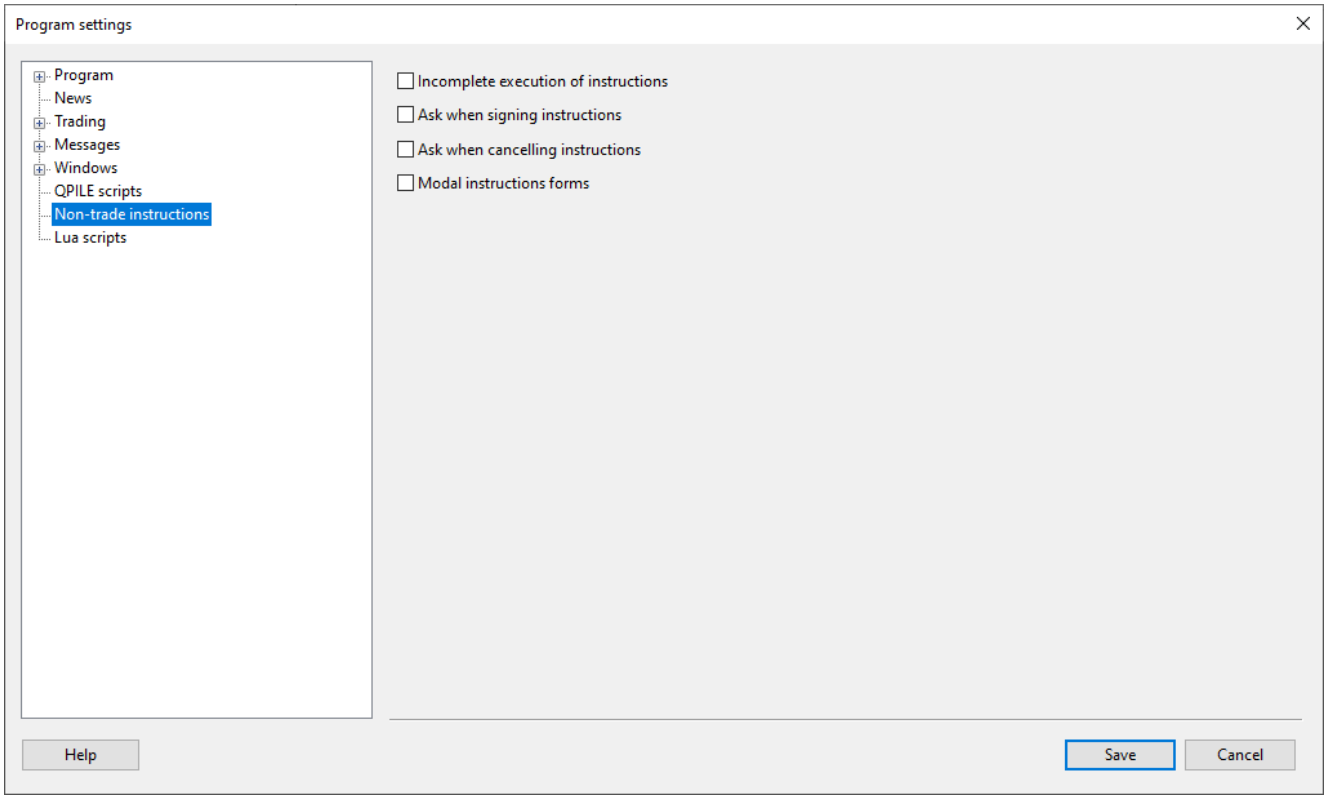
Instruction types

The following types of instructions are supported, opened by the **Plugins** / **Non-trade instructions** / [instruction type] menu item:

1. **Cash withdrawal** – instruction to withdraw funds from a brokerage account to the client's current account at the bank or to receive them in cash.
2. **Security withdrawal** – instruction to withdraw securities from the trading system depository (NSD, DCC) to the issuer's register or to another account within this depository.
3. **Cash deposit** – instruction to transfer funds credited by the client to the brokerage account to the trading system of the exchange.
4. **Security deposit** – instruction to transfer securities to the trading system depository (NSD, DCC) from the register or another account in this depository.
5. **Cash transfer** – instruction to transfer funds between accounts and trading systems.
6. **Security transfer** – instruction to transfer securities between accounts.
7. **Currency conversion** – instruction to convert one currency stored in the client's account into another.
8. **Free form** – instruction of any kind, presented in the form of a text description.
9. **Securities conversion** – instructions to convert one security held in the client's account into another.
10. **Securities offering** – instruction to participate in the securities offering.

Settings

menu **Plugins / Non-trade instructions / Settings**



- **Incomplete execution of instructions** is used to allow instruction execution for an incomplete amount if the balance of funds in the client's account is not enough to cover the costs of the trade.
- **Ask when signing instructions** is used to set the request of operation conformation when signing instruction.
- **Ask when cancelling instructions** is used to set the request of operation conformation when cancelling instruction.
- **Modal instructions forms** is used to enable the modal instructions mode, in which it is impossible to open a new dialog box for entering or signing an instruction until the previous dialog is closed.

9.1.1 Instructions table

menu **Plugins / Non-trade instructions / Table of instructions**

Purpose

View the list of sent non-trade instructions and their status. Formation of new non-trade instructions. View reasons for rejected instructions. Request to cancel sent instructions.

Table format

Each row in the table corresponds to an instruction. The instructions are arranged in chronological order. Table columns display the following parameters:

Parameter	Description
Number	Registration number of the order on the QUIK server
***Client	Client code of broker
Type	Instruction type. For example: Cash withdrawal, non-cash – cash withdrawal to bank account
Amount	Amount specified in the instruction (for cash instructions) or the number of securities (for securities instructions)
State	Instruction processing status. Valid values: _ Active; _ Filled; _ Killed; _ Reversed; _ Cancellation request
Date reg.	Date of registration of the instruction on the QUIK server
Time reg.	Time of registration of the instruction on the QUIK server
Date exec.	Instruction execution date on the QUIK server
Time exec.	Instruction execution time on the QUIK server
Class	Instrument class (for securities) or settlement code (for cash)
Trading venue	Name of the venue (corresponds to the cash position)
***Client recv.	Client-receiver code (for transactions)
Amount payment/tax	The amount of fees and taxes charged for executing an instruction is entered by the broker's employees
*Risk	Attribute of confirmation of the instruction by the broker's risk manager
*Accountant	Attribute of confirmation of an instruction by an accounting employee
*Client manager	Attribute of confirmation of the instruction by the manager of the client department
*Back-officer	Attribute of confirmation of the instruction by a back-office employee
*Depository	Attribute of confirmation of the instruction by the depository employee
Class code	Class ID in the trading system
Instrument code	Instrument ID in the trading system
UID	User identification number in the system
Broker number	Broker identification number (optional parameter), which can be used for the needs of the broker

Parameter	Description
Client type	Client type. Valid values: _ Individual; _ Legal entity
Name of client	Name of the client that sent instruction
Service agreement	Details of the client service agreement
Currency	Code of the currency for which the instruction was submitted (for cash and **Security offering** instructions.) For **Cash transfer** and **Currency conversion** instructions the code of the currency is used for debiting
Amount of entering	Amount of funds to be credited to the account
Currency of entering	Deposit currency code, parameter of **Cash transfer** and **Currency conversion** instruction types
Rate of conversion	Cross conversion rate specified in the **Currency conversion** instruction type
Validity	The period of time within which the instruction must be executed. Can take one of the following values: _ GTC – the execution period is not limited; _ On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time the **Expired** status assigned to it
Comment	Comment to instruction
Template code	Code of free form instruction template in use. For other types instructions the parameter value is not filled in
Urgency	The priority of the operation. By default, can take one of the following values: _ Normal; _ Low; _ High. Additional values are set by the broker
Template	The name of the free form instruction template. For other types instructions, the parameter value is not filled in
*MiddleOffice	Attribute of instruction conformation by broker Middle office
**DEPO account (crediting)	DEPO account (crediting) of the depository client
**Sender: Account params	Line of the form: Manager, Owner, Depository, Depository agreement number, Agreement date (in the <YYYYMMDD> format)
**Sender: Account type	Supplier DEPO account section. Can take one of the following values: _ main; _ trading

Parameter	Description
**DEPO account (depositing)	DEPO account (depositing) of the depository client
**Recipient: Account params	Line of the form: Manager, Owner, Depository, Depository agreement number, Agreement date (in the <YYYYMMDD> format)
**Recipient: Account type	Recipient DEPO account section. Can take one of the following values: _ main; _ trading
**Instruction reason	Name of the document is the reason for operation (for example buy-sell agreement, deposit agreement) and its details
Bank details	Bank details in one line. The filed is filled in for cash instructions
Trade account	Trade account for withdrawal. The field is filled in for security instructions
Trade account (enter)	Trade account for depositing. The field is filled in for **Security transfer**, **Security conversion** instruction types
Distribution security code	Placed instrument code
Confirm waiting	Attribute of waiting for one-time password confirmation
Account manager	Service account manager
Internal number	Instruction number, which is indicated by the user when instruction submitting
Crediting venue	Name of the crediting venue (corresponds to the cash position). Filled out for **Cash transfer** and **Currency conversion** instruction types
Registered by	The name of the user who submitted the instruction. If the instruction is submitted using a stored procedure, then the value is empty
Section	Name of the template section on the basis of which this instruction was created
Amount with tax	Valid values: _ For cash instructions – amount of payments and taxes collected and the amount of the instruction; _ For other types of instructions – empty

* – if confirmed, a "+" sign will appear in this field. Not all types of instructions require confirmation by all employees.

** – fields are filled in only for **Security transfer** instruction types.

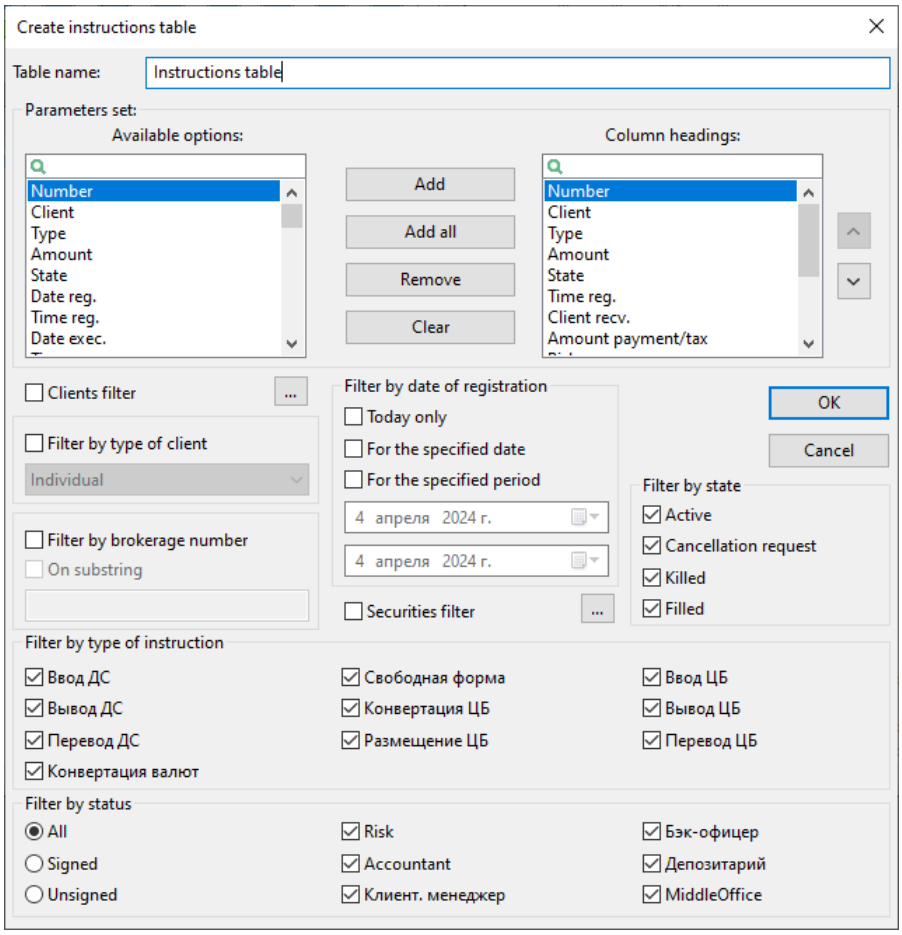
*** – if in the QUIK workstation the **Substitute client codes with client names** setting is set (see sub-section 5.14.1 Chapter 5 Client operations), then the client's last, first and middle name are displayed instead of the client code.

Depending on the instruction processing status, the table rows are highlighted with different text colors:

- Active – red;
- Filled – blue;
- Killed, Reversed – black;
- Cancellation request – green.

To sign several instructions at the same time, select the instructions by holding down the Ctrl key to select one instruction at a time or the Shift key to select several instructions following each other (you can deselect selected instructions using the same methods). Next, in the table shortcut menu select the **Sign selected instructions** item.

Table configuration



The meaning of the parameters in the table settings dialog box:

1. **Table name** is used to enter the title of the table; the field allows you to change its default value.

2. **Parameter set** is used to set up the columns displayed in the table.

3. **Clients filter** is used to limit the list of instructions in the table to a set of selected client codes. For users who have permissions to work with several client codes, this filter allows you

to distribute non-trade instructions from different clients into different tables. To enable the filter, you need to select the checkbox and click the "…" button to configure the list of selected client codes.

4. **Filter by type of client** is used to limit the list of instructions in the table to the selected client type (individual / legal entity). To enable a filter, you need to select the checkbox and specify the desired type in the combo box.

5. **Filter by brokerage number** is used to limit the list of instructions in the table by the specified broker number. To enable the filter, you need to select the checkbox and specify the broker's identification number in the system in the combo box. The **Brokerage number** parameter with which the entered line will be compared is available in the available parameters of the instructions table. When the **On substring** checkbox is checked, the search is performed by substring; when the checkbox is cleared, the search is performed by full match.

6. **Filter by date of registration** allows you to include in the table only instructions registered for a specified date or for a specified period of time (the **For the specified date**, **For the specified period** checkboxes). When the **Today only** checkbox is selected, instructions registered in previous days are excluded from the table.

> **When creating a new instruction table, the Today only setting is disabled by default.**

7. **Securities filter** is used to limit the list of instructions in the table for the selected set of instruments. To enable the filter, you need to select the checkbox and click the "…" button to configure the list of instrument codes to be displayed in the table.

8. **Filter by state** allows you to remove instructions with a given status from the table. To exclude such instructions, you need to uncheck the corresponding status name (Active, Filled, Killed or Cancellation request).

9. **Filter by type of instruction** is used to configure the table to display only specified types of instructions. To exclude any types of instructions, you need to uncheck the corresponding type of instruction.

10. **Filter by status** is used to select the instructions to display in the table based on the presence of a signature:

    - **All** – filter is not set, all records are displayed;
    - **Signed** – only instructions that have the signatures of the categories of employees indicated below, or whose signature is missing, are displayed, but are not required to confirm this type of instruction;
    - **Unsigned** – only instructions that require, but do not have the signature of the categories of employees indicated below are displayed;

- **Risk, Accountant, Account manager, Back Officer, Depository, Middle Office** – select the categories of employees by selecting the checkboxes on the corresponding name.

Available operations

Data from the table is available for copying, output via DDE server, export via ODBC.
The functions available for a given table can be opened up from the context menu by right-clicking on the table.

- **New instruction** (or F2) opens the window for entering a new instruction.
- **View instruction** (or double-click the left mouse button) opens the window for viewing the registered instruction.
- **Cancel instruction** (or Ctrl + D) rejects the selected instruction, the action is available to the broker's employees. The reason for canceling the instruction can be selected from the list of standard reasons and if necessary, change the text of the reason for cancellation. To cancel several instructions at the same time, select instructions by holding down the Ctrl key to select one instruction at a time or the Shift key to select several instructions following each other (you can unselect selected instructions in the same way).
- **Remove** cancels a cash or free-type instruction executed during the current trading session. This will change the order status to **Reversed**. When canceled, the funds and commission are reversed. Further operations on the order are not possible. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).
- **Sign all instructions** opens the dialog for setting up group signing of instructions. Available to broker employees.

> **When group signing of the instructions such as Cash withdrawal, Cash transfer related to the correction of cash position on the MOEX derivatives market and when the mode of correction of these positions on the exchange is turned on (in the instructions.ini file the ChangeMoneyOnFORTS parameter is equal to 1) in case of insufficiency funds on the derivatives market, a warning like: "Non-trade instruction N cannot be signed due to insufficient funds" is displayed in the message window.**

- **Revoke the last signature** sends a request to cancel the last signature of a selected non-trade instruction. This feature is only available for instructions with the **Active** status. The reason for canceling the instruction can be selected from the list of standard reasons and if necessary, change the text of the reason for cancellation.
- **Revoke all the signatures** sends a request to cancel all signatures of a selected non-trade instructions. This feature is only available for instructions with the **Active** status. The reason for canceling the instruction can be selected from the list of standard reasons and if necessary, change the text of the reason for cancellation.
- **Instruction execution history** sends a request for execution history for the selected instruction. Available to broker employees.

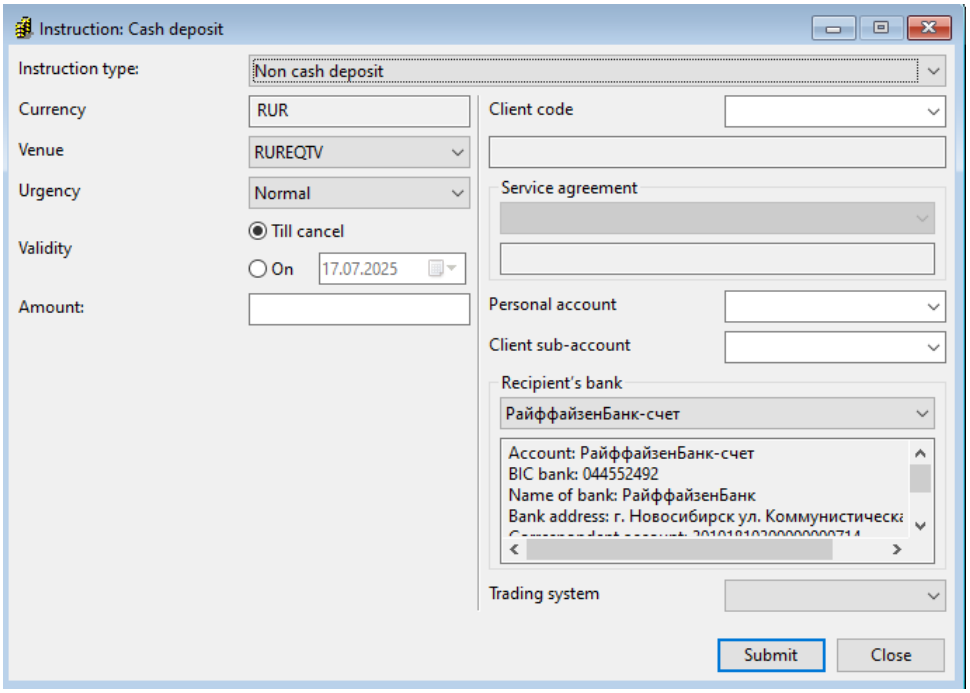
Description of the standard functions of table shortcut menu see in sub-section 2.8.4 of the Chapter 2 Basic operating principles.
The complete list of control keys for all types of tables is given in the Appendix to Chapter 2.

9.1.2 Instruction entry

Cash deposit instruction

menu **Plugins / Non-trade instructions / Cash deposit**

The instruction is intended to transfer funds credited by the client to the brokerage account to the exchange trading system.



Descriptions of instruction parameters:

1. **Instruction type**.

2. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

3. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

5. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

6. **Currency** is an abbreviated name for currency.

7. **Venue** is used to enter the settlement code corresponding to the cash position to which funds are credited, for example, EQTV corresponds to the MOEX Stock exchange.

> **If the broker uses the Unified cash position, then one settlement code is always indicated as the platform, as a rule, it is EQTV.**

8. **Urgency** allows to enter the priority of the operation. Valid values:

   - Normal;
   - Low;
   - High.

9. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

   - Till cancel – the execution period is not limited;
   - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

10. **Amount** is used to enter the sum of funds to be credited.

11. **Allow partial execution** is an attribute of the possibility of partial execution of the instruction. When withdrawing a fixed amount of funds in the maximum available amount, the remaining funds may not be enough to cover the costs of executing the instruction and it may be rejected by the broker. In this case, it is recommended to use this attribute.

12. **Commission venue W/D** is used to enter cash position for commission deduction.

13. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction, they indicate additional payments associated with the execution of the instruction.

14. **Client code** is used to select the client code in the QUIK system to whose account the funds are credited. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

15. **Service agreement** is used to select the number of the brokerage service agreement concluded with the client. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

16. **Personal account** allows to select the client's personal account.

17. **Client sub-account** allows to select the sub-account of the client's account.

18. **Recipient's bank** allows to select the broker's account for crediting by bank name. Account details are displayed in the box below. Parameter for instruction of the **Non-cash** type.

19. **Payment instruction number** allows to enter the number of the payment instruction by which the client's funds were credited to the brokerage account.

20. **Incoming order number** allows to enter the number of the incoming order by which the client's funds are credited to the brokerage account.

21. **Trading system** allows to select the exchange trading system for crediting funds for trading.

22. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

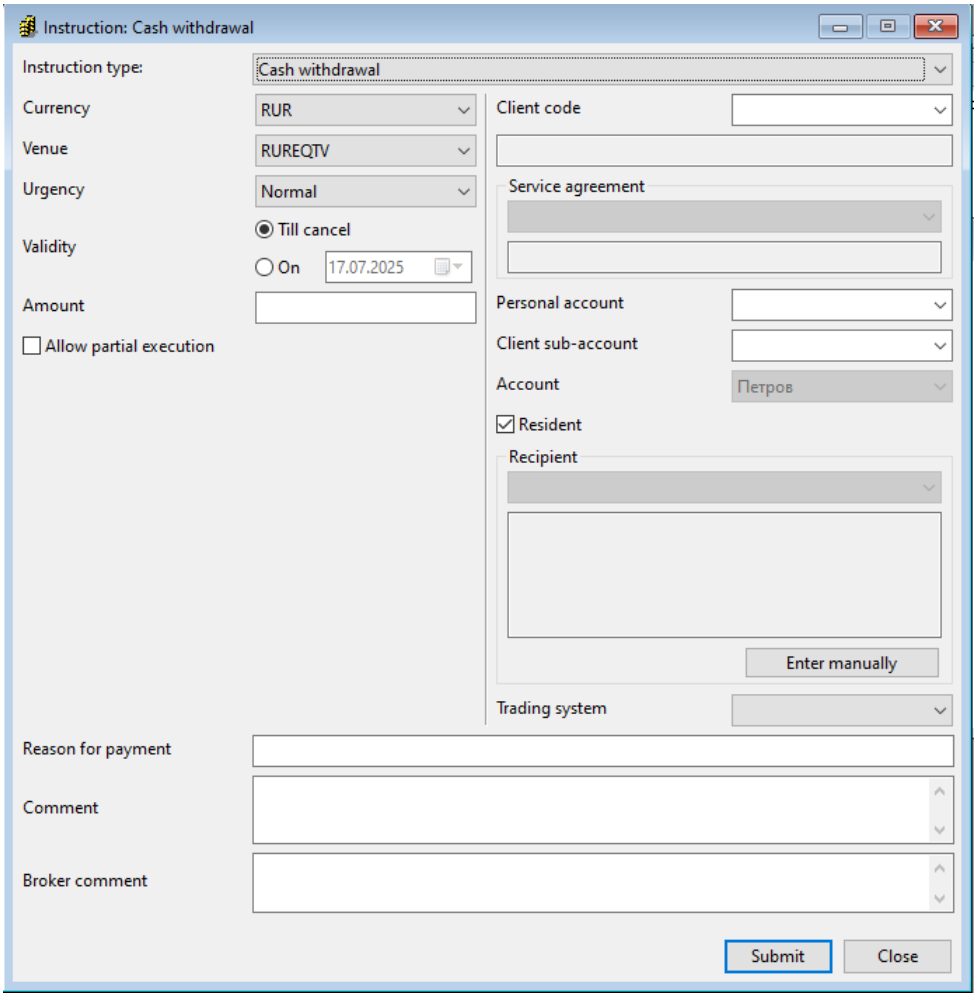
23. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.
The **Remove** button cancels an instruction executed during the current trading session. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).

Cash withdrawal instruction

menu **Plugins / Non-trade instructions / Cash withdrawal**

The instruction is intended to withdraw funds from the brokerage account to the client's current account at the bank or to receive them in cash.
To enter an instruction, you must fill out the **Cash withdrawal** dialog box. After entering an instruction, it will be displayed in the **Non-trade instructions** table.



Descriptions of instruction parameters:

1. **Instruction type**.

2. **Instruction info** allows to enter the additional information about the instruction. Set by broker.

3. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

5. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

6. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

7. **Currency** is an abbreviated name for currency.

8. **Venue** is used to enter the settlement code corresponding to the cash position to which funds are credited, for example, EQTV corresponds to the MOEX Stock exchange.

> **If the broker uses the Unified cash position, then one settlement code is always indicated as the platform, as a rule, it is EQTV.**

9. **Urgency** allows to enter the priority of the operation. Valid values:

   - Normal;
   - Low;
   - High.

10. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

11. **Amount** is used to enter the sum of funds to be credited.

12. **Amount with tax** is the information parameter that displays the sum of the values of the **Amount** and **Tax** parameters.

> **If the values of the "Amount" and "Tax" parameters are specified in different currencies then when summing the tax amount is converted into the instruction currency using the cross rate.**

13. **Allow partial execution** is an attribute of the possibility of partial execution of the instruction. When withdrawing a fixed amount of funds in the maximum available amount, the remaining funds may not be enough to cover the costs of executing the instruction and it may be rejected by the broker. In this case, it is recommended to use this attribute.

14. **Commission venue W/D** is used to enter cash position for commission deduction.

15. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

16. **Client code** is used to select the client code in the QUIK system from whose account the funds are withdrawn. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

17. **Service agreement** is used to select the number of the brokerage service agreement concluded with the client. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

18. **Personal account** allows to select the client's personal account.

19. **Client sub-account** allows to select the sub-account of the client's account.

20. **Account** allows to select the client account. By default, the account linked to the selected currency is set.

21. **Resident** attribute depends from selected client code in the **Client code** box. If selected client is the resident, then check box is selected. Check box presence depends from broker's settings.

22. **Recipient** allows to select the details of recipient the funds from the dictionary. The box below provides detailed information. Clicking the **Enter manually** button allows you to enter the required recipient details if they are not in the dictionary. For a description of the **Cash recipient entry** dialog box, see "Entering cash recipient".

23. **Trading system** allows to select the exchange trading system for crediting funds for trading.

24. **Reason for payment** allows to enter the name of the document that is the reason for transactions (for example, a buy and sell agreement, a depository agreement) and its details. Maximum parameter length: 200 characters.

25. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

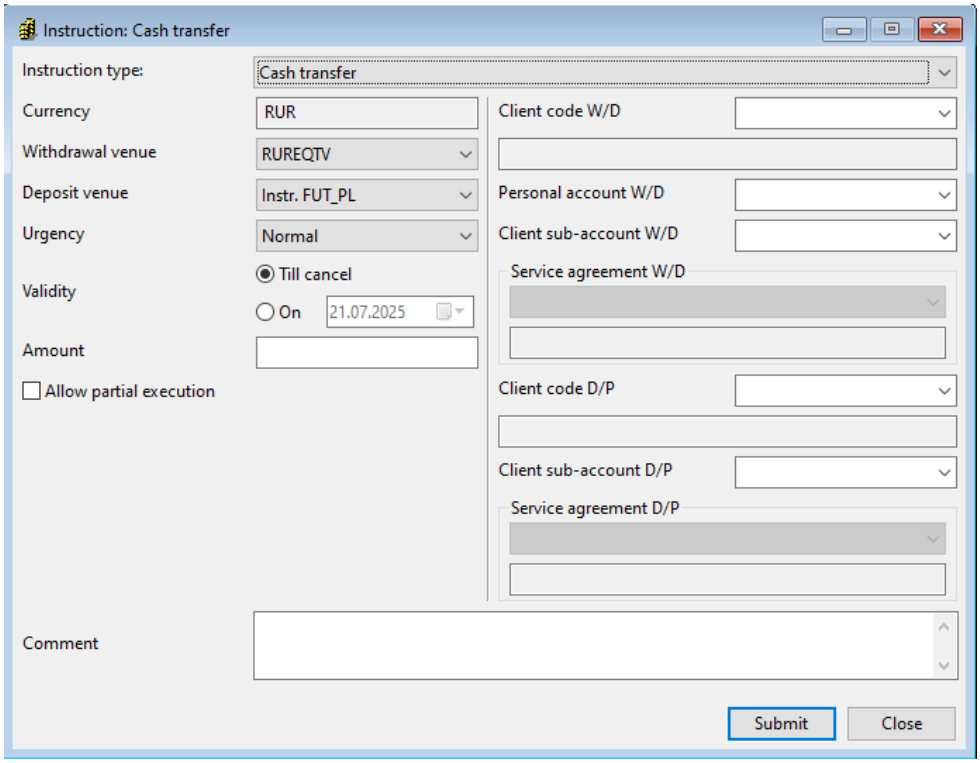
26. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.
The **Remove** button cancels an instruction executed during the current trading session. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).

Cash transfer instruction

menu **Plugins / Non-trade instructions / Cash transfer**

The instruction is intended to transfer funds between accounts and trading systems.



Descriptions of instruction parameters:

1. **Instruction type**.

2. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

3. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

5. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

6. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

7. **Client code W/D** is used to select the client-sender code. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

8. **Service agreement W/D** is used to select the brokerage service agreement concluded with the client-sender. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

9. **Personal account W/D** allows to select the client-sender personal account.

10. **Client sub-account W/D** allows to select the sub-account of the client-sender account.

11. **Client code D/P** is used to select the client-recipient code. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

12. **Service agreement D/P** is used to select the brokerage service agreement concluded with the client-recipient. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

13. **Client sub-account D/P** allows to select the sub-account of the client-recipient account.

14. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

15. **Instruction info** allows to enter the additional information about the instruction. Set by broker.

16. **Commission venue W/D** allows to select cash position from which funds are debited. If the **Currency** parameter is editable and filled in, then this list contains venues corresponding to the selected currency.

17. **Currency** allows to select the currency code.

> **If the "Currency" parameter is available for editing, then when submitting an instruction, a check is made to see if the client has a position in the specified currency. If there is no currency position, the instruction is not submitted.**

18. **Commission venue D/P** allows to select cash position to which funds are depositing. If the **Currency** parameter is editable and filled in, then this list contains venues corresponding to the selected currency.

19. **Amount** is used to enter the sum of funds to transfer.

20. **Amount with tax** is the information parameter that displays the sum of the values of the **Amount** and **Tax** parameters.

> **If the values of the "Amount" and "Tax" parameters are specified in different currencies then when summing the tax amount is converted into the instruction currency using the cross rate.**

21. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

22. **Allow partial execution** is an attribute of the possibility of partial execution of the instruction. When withdrawing a fixed amount of funds in the maximum available amount, the remaining funds may not be enough to cover the costs of executing the instruction and it may be rejected by the broker. In this case, it is recommended to use this attribute.

23. **Cancellation comment** allows to enter the reason for canceling the instruction execution specified by the broker. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

24. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

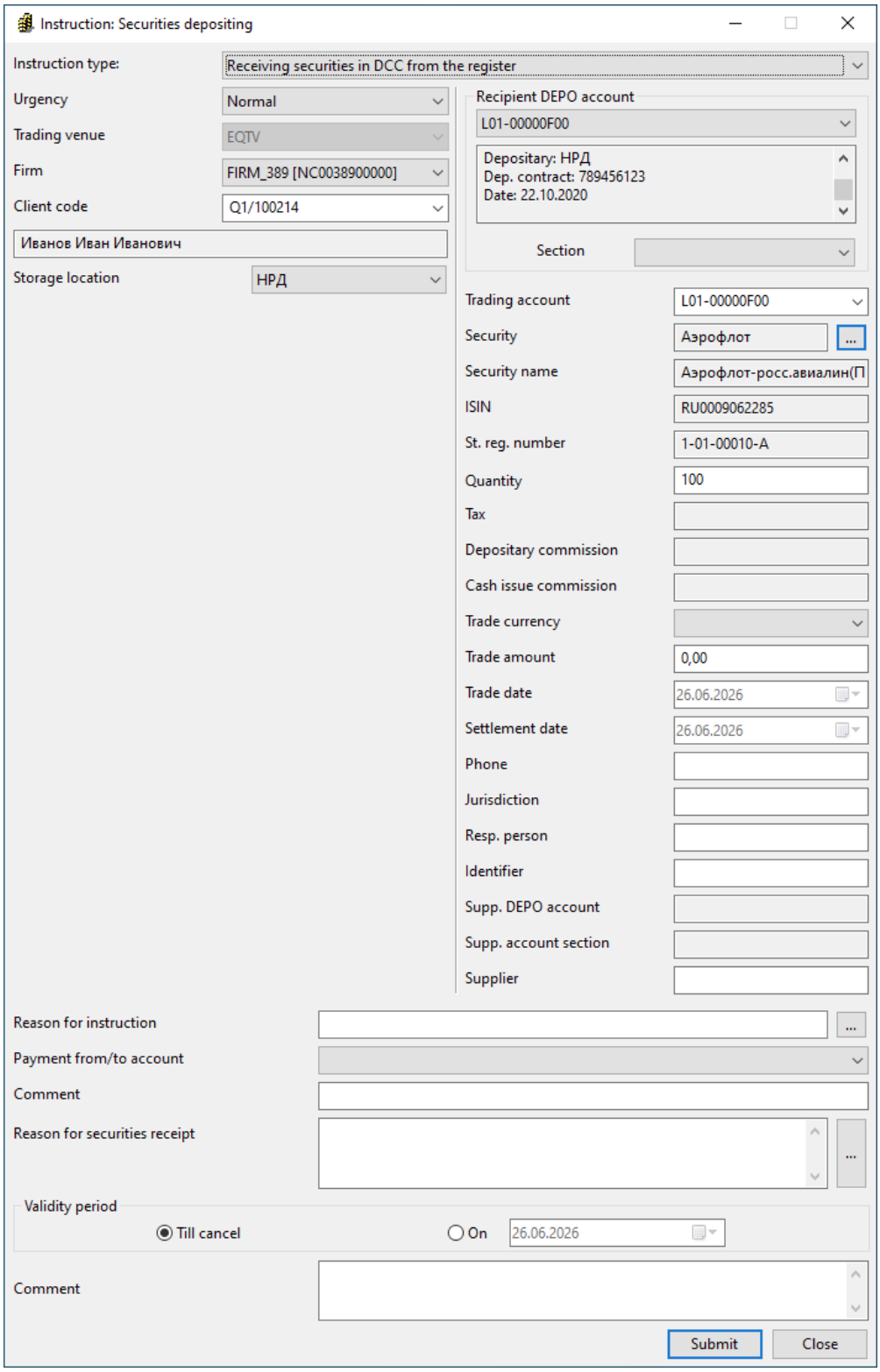
25. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.
The **Remove** button cancels an instruction executed during the current trading session. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).

Securities deposit instruction

menu **Plugins / Non-trade instructions / Securities deposit**

The instruction is intended to transfer securities to the trading system depository (NSD, DCC) from the register or another account in this depository.



Descriptions of instruction parameters:

1. **Instruction type**. Valid values:
   - Securities deposit inside DCC;
   - Securities deposit inside NSD;
   - Securities deposit to DCC from register;
   - Securities deposit to NSD from register;
   - M2M Securities deposit.
2. **Firm** is used to select a firm from the list of firms available to the user (including to the user permissions on classes). If one class of Non-trade instruction module is available, the firm is substituted automatically and the field is unavailable for editing. If more than one class is available, the field is available for editing.
3. **Client code** is used to select the client code of the security recipient. The last name and first name of the client are displayed below for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see Chapter 5 Client operations), the client's last name, first name, and middle name are displayed instead of the client code.

   > **When changing the client code, the values of the "Trading account", "Class", and "Instrument" fields are not reset if these values are valid for the selected client code.**

4. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when instruction is entered.
5. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.
6. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.
7. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.
8. **Urgency** allows to enter the priority of the operation. Valid values: **Normal**, **Low**, **High**. Additional values set by broker.
9. **Venue** is used to enter cash position for commission deduction, selected / available firm. When the venue is automatically selected, the field is not available.
10. **Service agreement** is used to select the number of the brokerage service agreement concluded with the client. The box below displays the date of the contract for reference. If the

broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

11. **Depository agreement** is used to enter the number of depository agreement.

12. **Custodian** is used to select the securities custodian.

13. **Trade account** allows to select the trade account of the broker to deposit client's securities for trades. The box is filled in automatically when value is set to **Instrument** box.

14. **Class** is used to enter the class of securities in the trading system to which the securities being credited belong.

    If the mode for selecting an instrument from the full list is enabled in the settings of the Non-trade instructions module, the box is not available for editing and is filled in automatically when an instrument is selected.

15. **Instrument** allows to select the name of the securities using shortcut search (searching for a value from the list by the first letters entered from the keyboard). When you click on the "…" button, a dialog for selecting an instrument opens. The button is available if at least one instrument class is available for the selected trading account.

    If the mode for selecting an instrument from the full list is enabled in the settings of the Non-trade instructions module, then only the "..." button is available for selection; when clicked, a dialog opens with a list of all instruments of all classes available for this type of instruction.

16. **Name** allows to enter the full name of the securities.

17. **ISIN** allows to enter the code assigned to a security.

18. **State reg. number** allows to enter the number under which the security is registered.

19. **Instrument type** allows to select name of the type of security.

20. **Quantity** allows to enter the number of securities in pieces. Maximum field length: 13 characters. Information on the lot size for the instrument is displayed in parentheses for reference.

21. **Recipient depo account** allows to select the client's DEPO account with the depository. The box below displays information about the recipient for reference. If the recipient is not in the dictionary, then the **Enter manually** button is used to enter his details, see "Entering security recipient".

    - Section allows to select the section of the depo account.

22. **Settlement account** allows to select a client's account for recording funds flows.

23. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

- **Depository commission** parameter is unavailable for **M2M Securities withdrawal** instruction type.

24. **Trade currency**.

25. **Trade amount** is used to enter the value of securities in trade currency.

26. **Trade date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

27. **Settlement date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

28. **Phone** allows to enter the contact phone number of the supplier.

29. **Jurisdiction** allows to specify the country of supplier registration; the name of the country or its code.

30. **Responsible person** allows to specify the responsible person for instruction execution from register side.

31. **Depository ID** allows to specify the identifier (code)of the supplier in NSD.

32. **Supplier depo account** allows to select the depo account of the securities supplier in the depository.

33. **Supp. depo section** allows to select the section of the supplier account in the NSD.

34. **Supplier** allows to specify the name of securities supplier.

35. **Counterparty document** allows to specify identification document of the counterparty. If the dictionary of supporting documents contains at least one document of the **Identity document** type, then the counterparty's document can be selected from this dictionary by clicking the "…" button to the right of the box.

36. **Instruction reason** allows to enter the name of the document that is the reason for transactions (for example, a buy and sell agreement, a depository agreement) and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

37. **Payment from/to account** allows to specify the type of bank account from which payment for the delivery of securities will be made. The rules for using this parameter are determined by the broker.

38. **Note** allows to enter the text commentary to the instruction.

39. **Reason for securities receiving** allows to specify the name of the document that is the reason for receiving securities, and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

40. **Reason for transfer** is specified by the broker (depository agreement of the supplier with DCC, counterparty with a nominal holder, etc.). The box is available at the phase of signature by the depository. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

41. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

42. **Cancellation comment** is provided in case of cancellation of the execution instruction, in which case the reason specified by the broker will be recorded in it. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

43. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

44. **Broker comment** is available for viewing and editing only by broker employees.

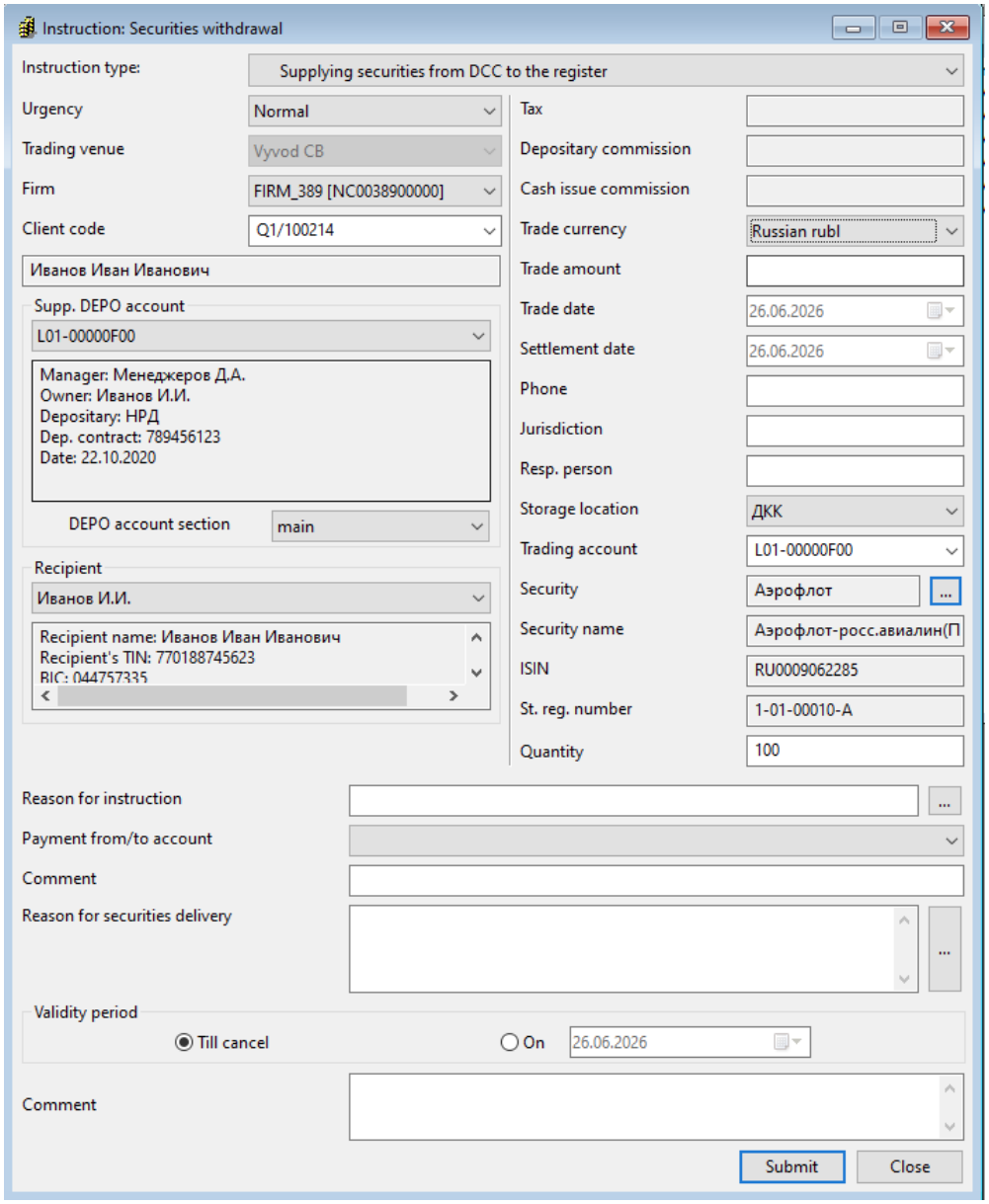
> **The additional option is provided on the deposit securities instruction entry dialog box, which is used by the broker at its discretion to enter arbitrary information.**

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.

Securities withdrawal instruction

menu **Plugins / Non-trade instructions / Securities withdrawal**

The instruction is intended to withdraw securities from the trading system depository (NSD, DCC) to the issuer's register or to another account within this depository.



Descriptions of instruction parameters:

1. **Instruction type**. Valid values:
   - Securities withdrawal inside DCC;
   - Securities withdrawal inside NSD;
   - Securities withdrawal from DCC to register;
   - Securities withdrawal from NSD to register;
   - M2M Securities withdrawal.
2. **Firm** is used to select a firm from the list of firms available to the user (including to the user permissions on classes). If one class of Non-trade instruction module is available, the firm is substituted automatically and the field is unavailable for editing. If more than one class is available, the field is available for editing.

3. **Client code** is used to select the client code of the security supplier. The last name and first name of the client are displayed below for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see Chapter 5 Client operations), the client's last name, first name, and middle name are displayed instead of the client code.

> **When changing the client code, the values of the "Trading account", "Class", and "Instrument" fields are not reset if these values are valid for the selected client code.**

4. **Resident** attribute depends from selected client code in the **Client code** box. If selected client is the resident, then check box is selected. Check box presence depends from broker's settings.

5. **Depositary recipient** allows to select of the recipient depositary. Clicking the "..." button opens a dialog for selecting the recipient depositary. For M2M instruction types, this parameter is mandatory.

6. **Pass expenses information** is attribute indicating the transmission of data on commissions, taxes, and other costs associated with the execution of the trade.

7. **Instruction info** allows to enter the additional information about the instruction. Set by broker.

8. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when instruction is entered.

9. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

10. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

11. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

12. **Urgency** allows to enter the priority of the operation. Valid values: **Normal**, **Low**, **High**. Additional values set by broker.

13. **Venue** is used to enter cash position for commission deduction, selected / available firm. When the venue is selected automatically, the field is unavailable.

14. **Service agreement** is used to select the number of the brokerage service agreement concluded with the client. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it

is not editable (if the client has several service agreements, then the contract with a later date is substituted).

15. **Consent to close the IIA account** is the indicator of consent to closing value of the IIA account. If an agreement with the IIA account indicator is selected in the **Service agreement** parameter, the **Consent to closing the IIA account** indicator is active and mandatory for completion.

16. **Depository agreement** is used to enter the number of depository agreement. The box below displays the date of conclusion of the agreement for reference.

17. **Supplier depo account** allows to select the depo account of the securities supplier in the depository. The box below displays information about the recipient for reference.

    - **Section** allows to select the section of the depo account.

18. **Recipient** allows to select the details of recipient the funds from the dictionary. The box below provides detailed information. Clicking the **Enter manually** button allows you to enter the required recipient details if they are not in the dictionary. For a description of the **Security recipient entry** dialog box, see "Entering security recipient".

19. **Settlement account** allows to select a client's account for recording funds flows.

20. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

21. **Trade currency**.

22. **Trade amount** is used to enter the value of securities in trade currency.

23. **Trade date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

24. **Settlement date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

25. **Phone** allows to enter the contact phone number of the supplier.

26. **Jurisdiction** allows to specify the country of supplier registration; the name of the country or its code.

27. * **Responsible person** allows to specify the responsible person for instruction execution from register side.

28. **Custodian** is used to select the securities custodian.

29. **Trade account** allows to select the trade account of the broker to deposit client's securities for trades. The box is filled in automatically when value is set to **Instrument** box.

30. **Class** is used to enter the class of securities in the trading system to which the securities being credited belong.

31. **Instrument** allows to select the name of the securities using shortcut search (searching for a value from the list by the first letters entered from the keyboard). When you click on the "…" button, a dialog for selecting an instrument opens. The button is available if at least one instrument class is available for the selected trading account.

32. **Name** allows to enter the full name of the securities.

33. **ISIN** allows to enter the code assigned to a security.

34. **State reg. number** allows to enter the number under which the security is registered.

35. **Instrument type** allows to select name of the type of security.

36. **Quantity** allows to enter the number of securities in pieces. Maximum field length: 13 characters.

37. **Instruction reason** allows to enter the name of the document that is the reason for transactions (for example, a buy and sell agreement, a depository agreement) and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

38. **Payment from/to account** allows to specify the type of bank account from which payment for the delivery of securities will be made. The rules for using this parameter are determined by the broker.

39. **Note** allows to enter the text commentary to the instruction.

40. **Reason for securities receiving** allows to specify the name of the document that is the reason for receiving securities, and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

41. **Transfer purpose** is specified by the broker (depository agreement of the supplier with DCC, counterparty with a nominal holder, etc.). The box is available at the phase of signature by the depository. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

42. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the**

> **"On" value a date must be selected that does not exceed the established maximum period.**

43. **Cancellation comment** is provided in case of cancellation of the execution instruction, in which case the reason specified by the broker will be recorded in it. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

44. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

45. **Broker comment** is available for viewing and editing only by broker employees.

> **(*) The instruction parameters for the securities transfer from DCC or NSD to the register are specified. These parameters are not used for transfers within depositories.**

> **The additional option is provided on the withdrawal securities instruction entry dialog box, which is used by the broker at its discretion to enter arbitrary information.**

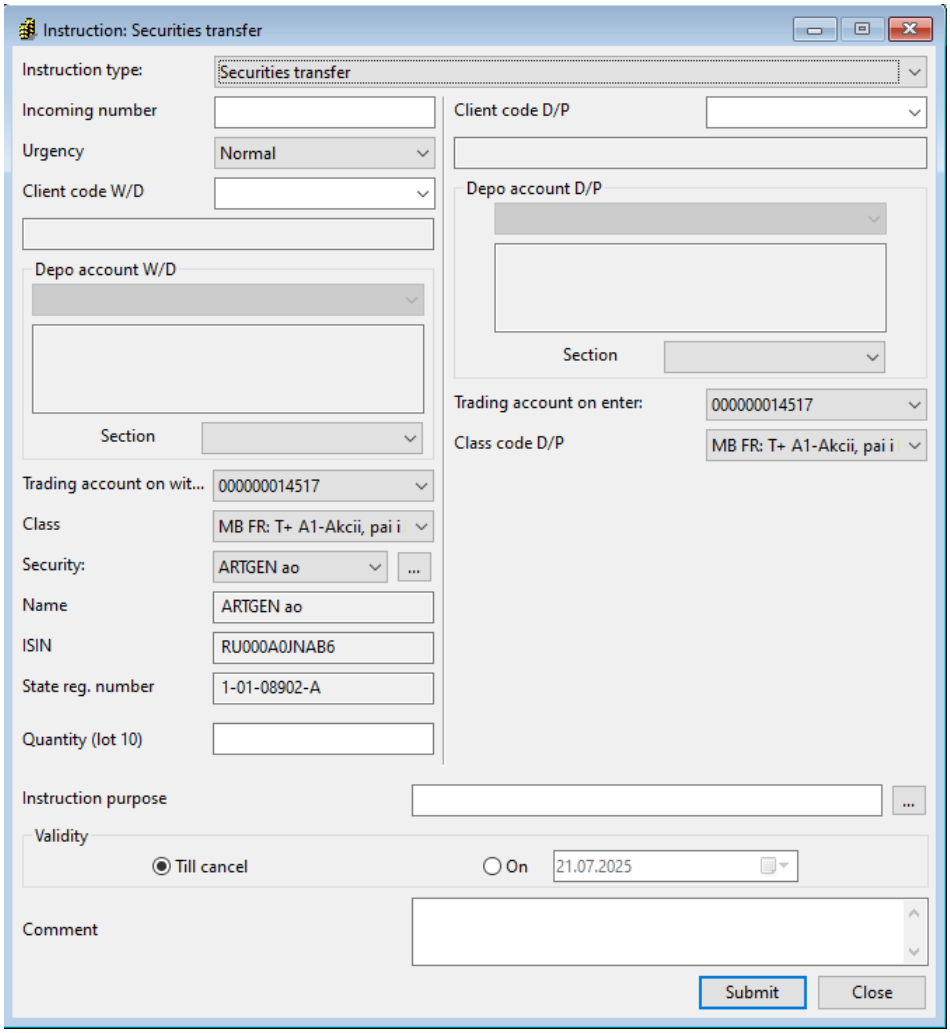
The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.

Securities transfer instruction

menu **Plugins / Non-trade instructions / Securities transfer**

The instruction is intended to securities transfer between accounts within the same trading account.

> **When submitting an instruction for a Securities transfer, you can only use linked instruments configured by the broker.**



Descriptions of instruction parameters:

1. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

2. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

3. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

5. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

6. **Client code W/D** is used to select the client-sender code. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

> **When changing the client code, the values of the "Trading debit account", "Class", "Instrument" parameters are not reset if these values are valid for the selected client code.**

7. **Service agreement W/D** is used to select the brokerage service agreement concluded with the client-sender. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

8. **Depository agreement** is used to enter the number of depository agreement. The box below displays the date of conclusion of the agreement for reference.

9. **Depo account W/D** allows to select the client depo account in depository. The box below displays the recipient information for reference.

   - Section allows to select the section of the depo account.

10. **Settlement account** allows to select a client's account for recording funds flows.

11. **Custodian** is used to select the securities custodian.

12. **Trade account** allows to select the trade account of the broker to deposit client's securities for trades. The box is filled in automatically when value is set to **Instrument** box.

13. **Class** is used to enter the class of securities in the trading system to which the securities being credited belong.

14. **Instrument** allows to select the name of the securities using shortcut search (searching for a value from the list by the first letters entered from the keyboard). When you click on the "…" button, a dialog for selecting an instrument opens. The button is available if at least one instrument class is available for the selected trading account.

> **If the Class parameter is missing on the dialog box or is not available for editing, then the Instrument parameter displays a complete list of instruments in the format: <Instrument [Class]> sorted by instrument.**

15. **Name** allows to enter the full name of the securities.

16. **ISIN** allows to enter the code assigned to a security.

17. **State reg. number** allows to enter the number under which the security is registered.

18. **Instrument type** allows to select name of the type of security.

19. **Quantity** allows to enter the number of securities in pieces. Maximum field length: 13 characters. Information on the lot size for the instrument is displayed in parentheses for reference.

20. **Client code** is used to select the client-recipient code in the QUIK system to whose account the funds are credited. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

21. **Depo account D/P** allows to select the client depo account in depository. The box below displays the recipient information for reference.

    - Account section allows to select the depo account section.

22. **Firm D/P** allows to select the identifier of the company to which the securities are depositing.

23. **Custodian D/P** allows to specify the storage of depositing.

24. **Trading account D/P** allows to select the code of the broker's trading account to which the securities need to be transferred.

25. **Class code D/P** allows to specify a class of instruments in the exchange's trading system to which the securities being credited belong.

26. **Code upon D/P** allows to select an instrument code upon depositing using contextual search. When you click on the "…" button, a dialog for selecting an instrument opens. The button is available if at least one instrument class is available for the selected trading account. If the **Code upon depositing** box is absent in the dialog box, then the code of the instrument for debiting is used as the code upon depositing.

27. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

28. **Trade date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

29. **Settlement date** specified by broker when confirming the instruction. It is parameter of securities transfer instruction inside DCC.

30. **Instruction purpose** allows to enter the name of the document that is the reason for transactions (for example, a buy and sell agreement, a depository agreement) and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

31. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

32. **Cancellation comment** allows to enter the reason for canceling the instruction execution specified by the broker. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

33. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

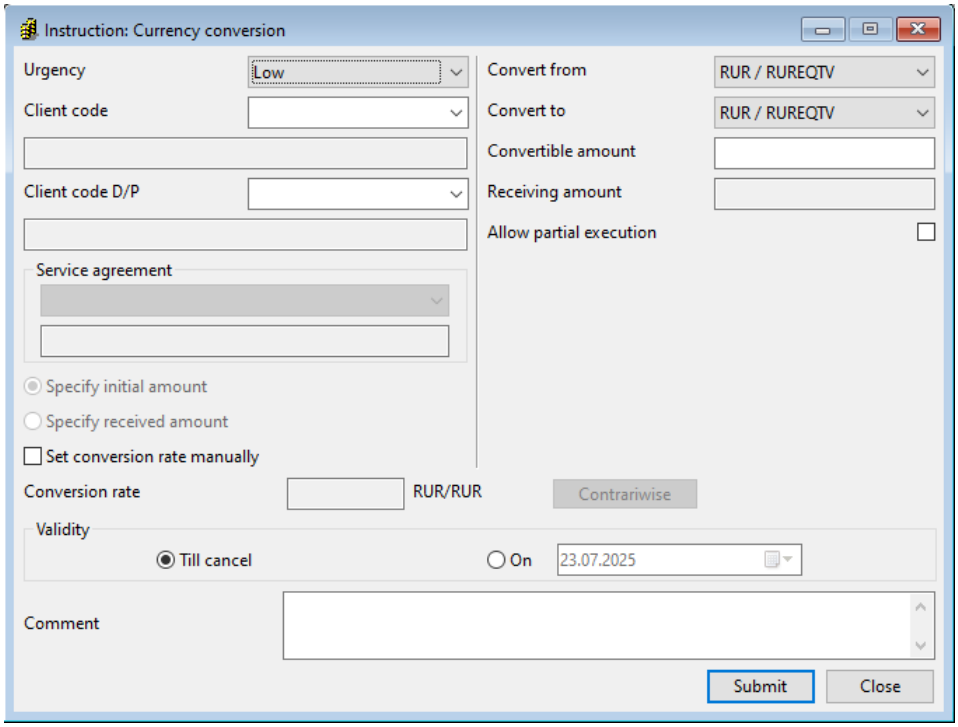
34. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.

Currency conversion instruction

menu **Plugins / Non-trade instructions / Currency conversion**

The instruction is intended to convert one currency stored in the client's account into another.



Descriptions of instruction parameters:

1. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

2. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

3. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

5. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

6. **Client code** is used to select the client-sender funds. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

7. **Client code (deposit)** is used to select the client-recipient funds. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client

operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

8. **Service agreement** is used to select the brokerage service agreement concluded with the client-sender. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

9. **Convert from** allows to select the currency from which the conversion is made.

10. **Convert to** allows to select the currency to which the conversion is made.

11. **Convertible amount** allows to specify the amount of funds to complete the transaction.

12. **Receiving amount** allows to specify the amount of funds to be received.

13. **Allow partial execution** is an attribute of the possibility of partial execution of the instruction.

14. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

15. **Specify initial amount** is the attribute, if it is enabled, then:

    - In the **Convertible amount** box, enter the amount to be converted;
    - The **Receiving amount** box (in read-only mode) displays the amount that will be received after conversion.

16. **Specify received amount** is the attribute, if it is enabled, then:

    - The **Convertible amount** box (in read-only mode) displays the amount calculated before conversion;
    - In the **Receiving amount** box, enter the amount received after conversion.

17. **Set conversion rate manually** is the attribute of manual entry of the conversion rate indicated in the **Conversion rate** box.

18. **Conversion rate** allows to enter the value of the currency conversion rate. The direction of conversion is displayed next to the box as a ratio of the selected currency codes.

    The maximum number of characters in the conversion rate value is 12 (all characters before and after the decimal point are counted).

19. **Reverse** button allows you to change the specified exchange rate to the opposite one (for example, with the selected currency, USD/RUR will change to RUR/USD), the specified value in the **Conversion rate** box is also replaced with the opposite one to the entered one. Pressing the button again will change the direction of the conversion rate.

20. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

   - Till cancel – the execution period is not limited;
   - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

21. **Cancellation comment** allows to enter the reason for canceling the instruction execution specified by the broker. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

22. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

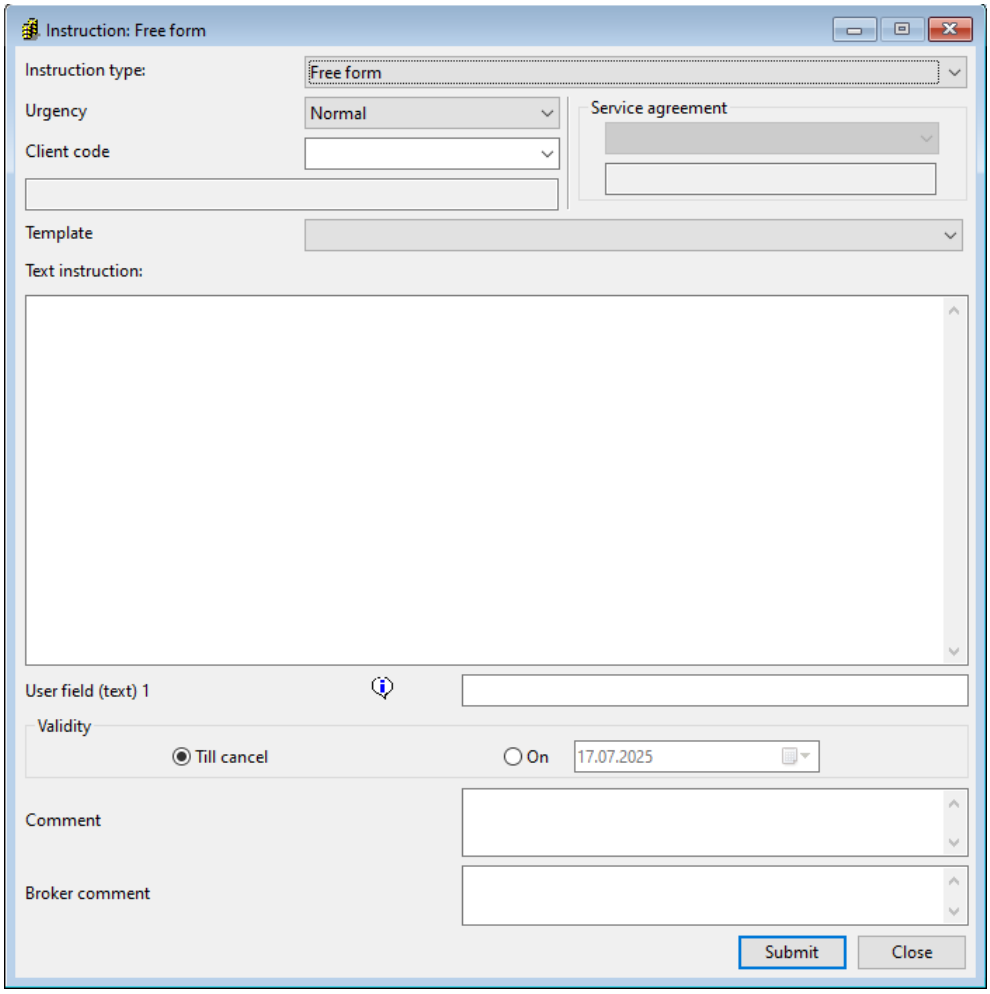
23. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.
The **Remove** button cancels an instruction executed during the current trading session. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).

Free form instruction

menu **Plugins / Non-trade instructions / Free form**

The instruction is intended for submitting an instruction of arbitrary content, presented in the form of a text message.



Descriptions of instruction parameters:

1. **Instruction type**.

2. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

3. **Client code** is used to select the client code in the system. The box below shows the client's first and last name for reference.

4. **Service agreement** is used to select the brokerage service agreement concluded with the client-sender. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

5. **Section** allows to select the section of the text template for free-form instructions. The list of sections is downloaded from the QUIK server; the user cannot add templates.

6. **Template** allows to select a text template for free-form instructions. The list of templates is downloaded from the QUIK server; templates cannot be added by the user. Templates in the list are filtered by the selected section. At the request of the broker, the template may be prohibited from editing.

7. **Instruction text** is a box with the text of the instruction. If a template is selected, the box is filled with text from the template.

8. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

   - Till cancel – the execution period is not limited;
   - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

9. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

10. **Cancellation comment** is provided in case of cancellation of the execution instruction, in which case the reason specified by the broker will be recorded in it. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

11. **Broker comment** is available for viewing and editing only by broker employees.

> **The additional option is provided on the deposit securities instruction entry dialog box, which is used by the broker at its discretion to enter arbitrary information.**

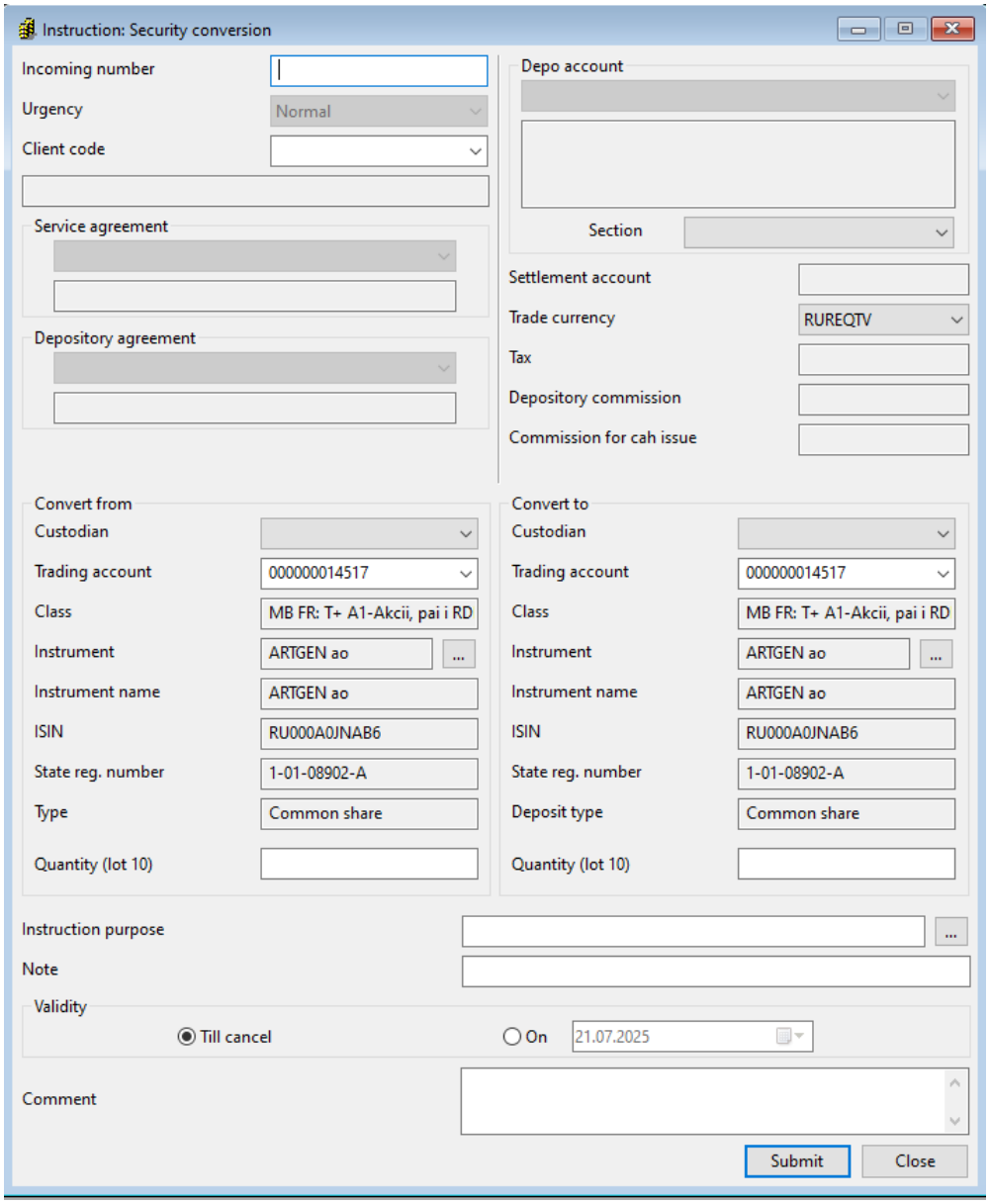
The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.
The **Remove** button cancels an instruction executed during the current trading session. Available to brokerage employees (does not have **Firm client** or **Subadministrator** permissions).

Security conversion instruction

menu **Plugins / Non-trade instructions / Security conversion**

The instruction is intended to convert one security held in the client's account into another.

> **When submitting an instruction for Securities conversion, you can only use linked instruments configured by the broker.**



Descriptions of instruction parameters:

1. **Incoming number** is used to enter the incoming instruction number, filled in by the user. The box can contain arbitrary characters. Maximum parameter length: 32 characters. The parameter is available only when submitted instruction opened in view mode.

2. **Instruction number** is used to enter the instruction registration number in the QUIK server. The value is displayed in the **Instructions table** in the **Number** column. The parameter is available only when submitted instruction opened in view mode.

3. **Registration date** is used to select the date of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. date** column. The parameter is available only when submitted instruction opened in view mode.

4. **Registration time** is used to select the time of instruction registration in the QUIK server. The value is displayed in the **Instructions table** in the **Reg. time** column. The parameter is available only when submitted instruction opened in view mode.

5. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

6. **Client code** is used to select the client-sender funds. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

> **When changing a client code, the values of the Trading account, Class, Instrument boxes are not reset if these values are valid for the selected client code.**

7. **Service agreement** is used to select the brokerage service agreement concluded with the client-sender. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not editable (if the client has several service agreements, then the contract with a later date is substituted).

8. **Depositary agreement** allows to specify the number of depository agreement.

9. **Depo account** allows to select the client depo account in depository. The box below displays the recipient information for reference.

   - Section allows to select the section of the depo account.

10. **Settlement account** allows to select a client's account for recording funds flows.

11. **Trade currency**.

12. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

13. **Convert from** / **Convert to** allows to select the following converting parameters:

    - **Custodian** – storage for debit/credit;
    - **Trading account** – broker's trading account for debiting/crediting client securities for trading;
    - **Class** – class of instruments in the exchange's trading system to which the securities belong.

      If the mode for selecting an instrument from the full list is enabled in the settings of the Non-trade instructions module, the box is not available for editing and is filled in automatically when an instrument is selected.
    - **Instrument** – selecting the name of the paper using contextual search. When you click on the "…" button, a dialog box for selecting an instrument opens. The button is available if at least one instrument class is available for the selected trading account.

If the **Class** parameter is missing in the dialog box or is not available for editing, then the **Instrument** box displays a complete list of instruments in the format: <Instrument [Class]> sorted by instrument.

If the mode for selecting an instrument from the full list is enabled in the settings of the Non-trade instructions module, then the "..." button is available for selection; when clicked, a dialog box opens with a list of all instruments of all classes available for this type of instruction. If a depositing instrument is selected, then when selecting a write-off instrument, the possibility of conversion is checked, and if the conversion of the selected instruments is not possible, then the **Depositing instrument** box is cleared.

When you select a write-off instrument, the list for the **Depositing instrument** box is filtered.

- **Instrument name** is the full name of the security.
- **ISIN** – code assigned to the security.
- **State reg. number** – number under which the security is registered.
- **Type** – name of the type of security.
- **Quantity** – number of securities in pieces. Maximum parameter length: 13 characters. Information on the lot size for the instrument is displayed in parentheses for reference.

  If the debit and credit instruments are selected, then when editing the value in the **Quantity** box, the value in the **Depositing quantity** box is automatically recalculated (and vice versa) considering the conversion factor.
- **Conversion ratio** – the conversion coefficient of debit instruments into credit instruments. The value is displayed with an accuracy of 2 digits after the decimal point. The parameter is not editable.

14. **Instruction reason** allows to enter the name of the document that is the reason for transactions (for example, a buy and sell agreement, a depository agreement) and its details. When you click on the "…" button, a dictionary for selecting a basis contracts opens. Documents of the **Other** type are available for selection.

15. **Note** allows to enter text comment to the instruction.

16. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

    - Till cancel – the execution period is not limited;
    - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

17. **Cancellation comment** allows to enter the reason for canceling the instruction execution specified by the broker. In case of instruction cancellation by the client, the reason for cancellation specified by the user will be recorded in the **Cancellation request** field.

18. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

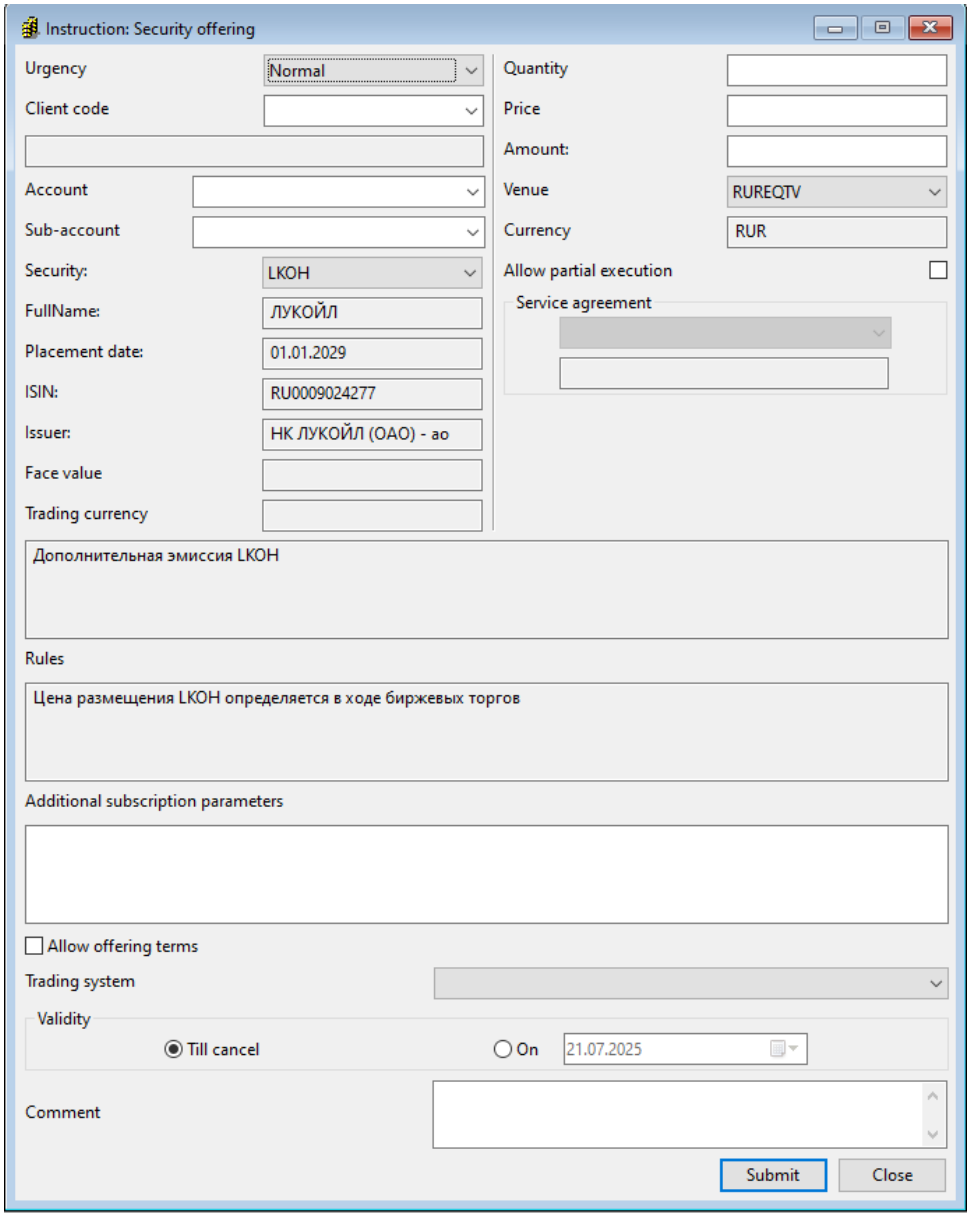
19. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.

Security offering instruction

menu **Plugins / Non-trade instructions / Security offering**

The instruction is intended to submit an order to participate in the auction for the offering of securities.



Descriptions of instruction parameters:

1. **Urgency** allows to enter the priority of the operation. Valid values by default: **Normal**, **Low**, **High**. Additional values set by broker.

2. **Client code** is used to select the client-sender funds. The box below shows the client's first and last name for reference. If the **Substitute client codes with client names** setting is enabled in the QUIK workstation (see sub-section 5.14.1 of Chapter 5 Client operations), then the client's last name, first name, and patronymic are displayed instead of the client code.

3. **Personal account** allows to select the client personal account.

4. **Sub-account** allows to select the sub-account of the client account.

5. **Service agreement** is used to select the brokerage service agreement concluded with the client-recipient. The box below displays the date of the contract for reference. If the broker has the contract substitution mode enabled, the box is filled in automatically, even if it is not

editable (if the client has several service agreements, then the contract with a later date is substituted).

6. **Instrument** allows to specify the security name.

7. **Additional subscription parameters** allow to enter the text additional (not provided for in the standard form) parameters of offering by client.

8. **Validity** is used to select the period of time during which the instruction must be executed. Valid values:

   - Till cancel – the execution period is not limited;
   - On – instruction must be executed before the specified date inclusive. If the instruction could not be executed on time, it is assigned the **Expired** status.

> **If the maximum validity period of the instruction is set in the settings of the Non-trade instruction module, then the "Till cancel" value is not displayed, and in the "On" value a date must be selected that does not exceed the established maximum period.**

9. **Amount** is used to enter the sum of funds to transfer.

10. **Venue** is used to enter the cash position for deducting offering fee.

11. **Trade currency**.

12. **Allow partial execution** is an attribute of the possibility of partial execution of the instruction.

13. **Tax**, **Depository commission**, **Commission for cash issue** boxes are filled out, if necessary, by the broker's employees when confirming the instruction; they indicate additional payments associated with the execution of the instruction.

14. **ISIN** allows to enter the code assigned to a security.

15. **Issuer** allows to specify the organization that issued the securities.

16. **Face value** allows to specify the face value of the instrument being offered.

17. **Currency** allows to specify the currency of the instrument being offered.

18. **Rules** allows to enter the text for publishing the rules for offering securities.

19. **Quantity** allows to enter the number of securities in the instruction. Maximum field length: 13 characters.

20. **Price** allows to enter price per unit of instrument.

21. **Offering date** allows to select the expected date of security offering.

22. **Allow offering terms** is used to confirm acceptance of the offering securities terms by the client.

23. **Trading system** allows to select an exchange trading system for crediting funds for trading.

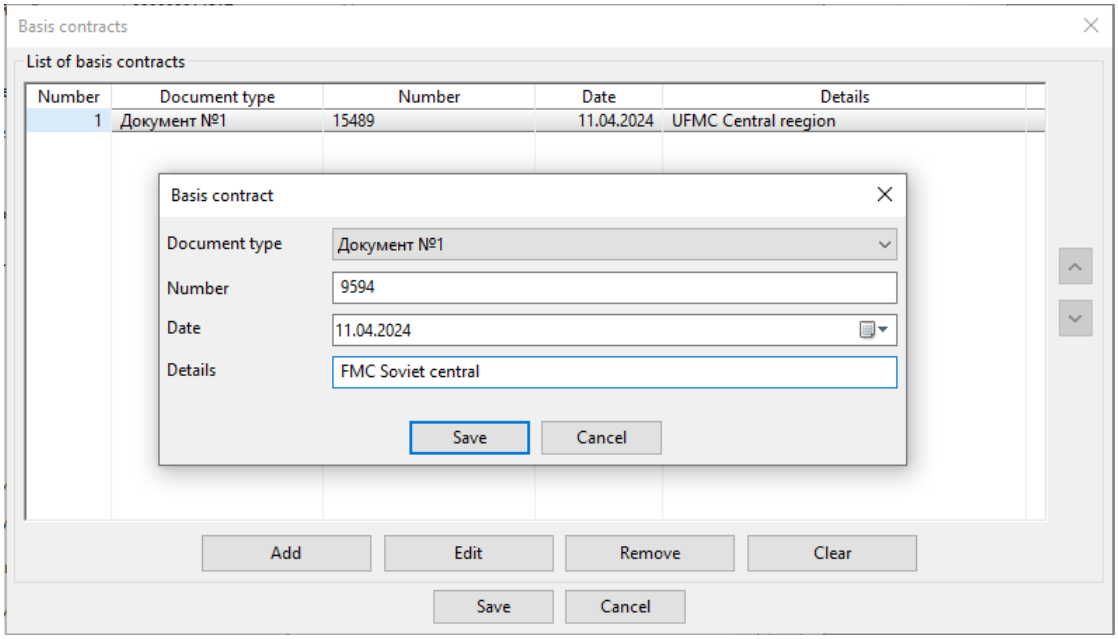
24. **Comment** allows to enter the commentary on the instruction. Maximum parameter length: 1000 characters.

25. **Broker comment** allows to enter the broker's commentary on the instruction. The parameter is available for viewing and editing only by broker employees.

The completed non-trade instruction is sent to the system for further processing by clicking the **Submit** button.

9.1.3 Selecting basis contracts

The **Basis contracts** dictionary contains a list of documents and is intended for filling out the **Basis** parameters in instructions. It is possible to add new and change existing documents.



The dictionary is presented in table form. Each row in the table corresponds to a separate document. The table columns have the following meanings:

Parameter	Description
Document type	Name of the basis document
Number	Number of the document
Date	Date of the document
Details	Details of the document

> **The types of documents used and the availability of the fields Number, Date, Details are configured in the back office of the Non-trade instructions module.**

Meaning of dialog buttons:

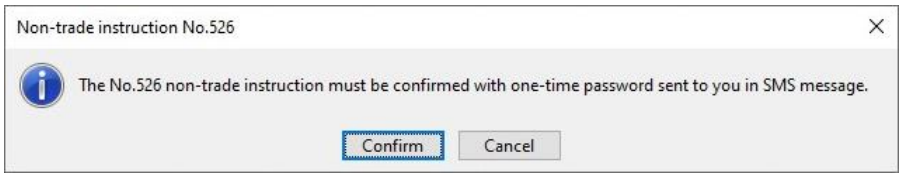
- **Add** button opens a dialog for adding a new document.
- **Edit** button changes an existing document.
- **Remove** button removes the selected document from the list.
- **Clear** button removes all documents from the list.
- ,  buttons move the selected document up or down one position in the list.

To add the selected document to the **Basis** field, click the **Save** button.

9.1.4 One-time password confirmation

For instruction submitted by the user through the QUIK workstation, a one-time password confirmation function is available.

If the signature on which confirmation with a one-time password is configured is the first signature, then a notification about the need to confirm a non-trade instruction with a one-time password is displayed on the screen when submitting the instruction. Otherwise – after all previous signatures have been submitted.



When the **Confirm** button is clicked, a notification is sent to the user containing a one-time password. The method for receiving the password (email, SMS, push) depends on the settings of the Alert dispatch module.

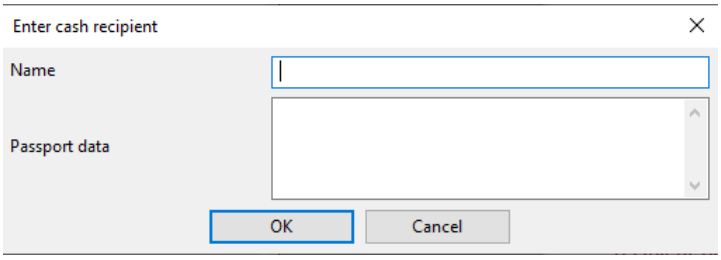
In the instruction window that opens, you must enter the received one-time password and click the **Confirm** button. To receive a new one-time password, click the **Get new** button.

The number of attempts to receive and the number of attempts to enter a one-time password are configured by the administrator of the Non-trade instructions module. After the maximum number of attempts to enter the one-time password has been exhausted, the non-trade instruction is automatically canceled.

You can enter any of the received one-time passwords (both the very first one and those requested again).

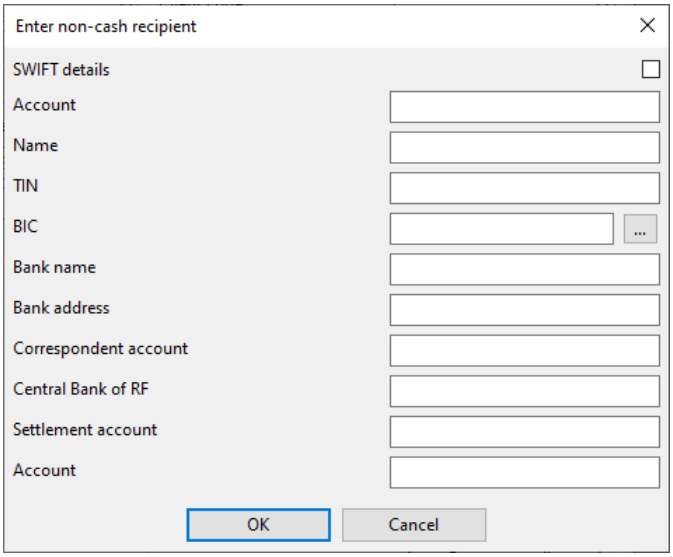
9.1.5 Entering cash recipient

The **Enter cash recipient** window is intended for entering information about the recipient of funds if the recipient is not in the dictionary.



Description of the recipient entry dialog box parameters for cash calculations:

1. **Name** allows to enter the last, first and middle name of the individual recipient of funds.
2. **Passport data** allows to enter the passport data of the individual recipient of funds.



Description of the recipient entry dialog box parameters for non-cash payments:

1. **SWIFT details** is the attribute of selecting bank details from the SWIFT code dictionary. When you select the checkbox, the names of the parameters change in accordance with the settings in the Module BO.
2. **Account name**.
3. **Name** allows to enter the last, first and middle recipient name for an individual or name of an organization for a legal entity.
4. **TIN** allows to enter recipient's taxpayer identification number.
5. **SWIFT code** allows to select the BIC or SWIFT number can be filled out from the dictionary by clicking on the "…" button, in which you can select the appropriate entry from the list. Parameters with bank details (Bank name, Bank address, Correspondent account, Central Bank of RF) in this case are filled in automatically.
6. **Central Bank of RF** allows to enter the payment details of recipient bank.
7. **Settlement account** allows to enter the number of recipient settlement account.
8. **Personal account** allows to enter the number of recipient personal account.

9. If the **Correspondent bank** check box is selected, the following boxes become available for editing:

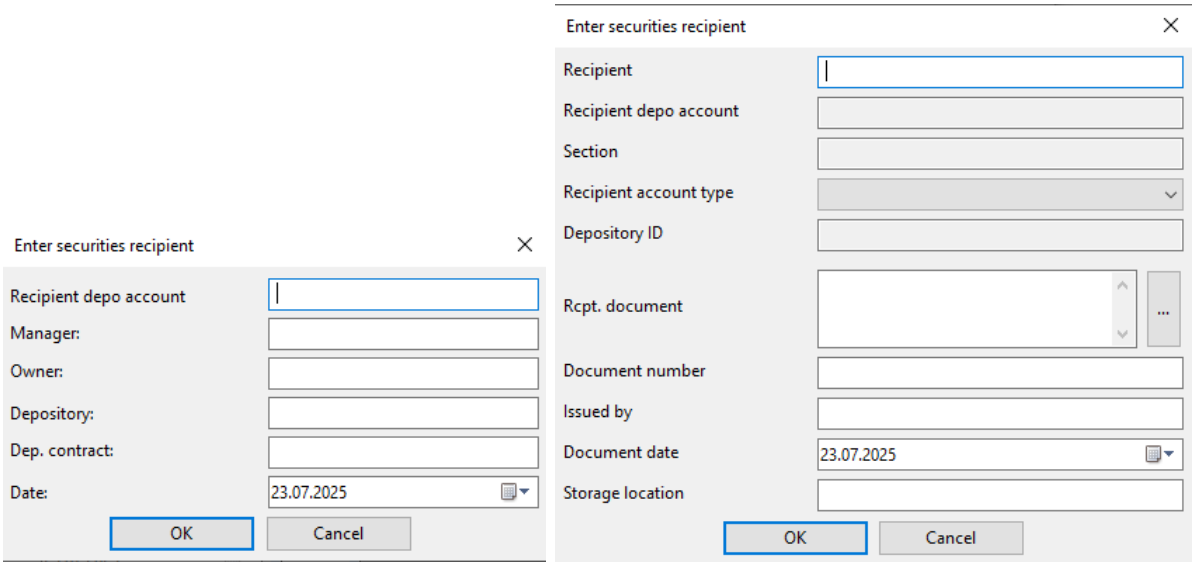
   - Correspondent's BIC.
   - Correspondent bank name.
   - Correspondent bank address.

10. Payment purpose.

> **In the Settlement account and Correspondent account boxes, you can enter no more than 20 digits. When the SWIFT details mode is enabled, you can enter up to 32 characters (including spaces) in these boxes.**

9.1.6 Entering security recipient

The **Enter securities recipient** window is intended for entering information about the recipient of securities if the recipient is not in the dictionary.



Description of the **Enter securities recipient** dialog box parameters:

1. **Recipient** allows to enter the full name of securities recipient.
2. **Recipient depo account** allows to enter the recipient depo account in depositary.
3. **Section** allows to select the section of the depo account.
4. **Recipient account type** allows to select the type of recipient account. Valid values:

   - Owner;
   - Nominal holder;
   - Trustee;
   - Pledgee.

5. **Depository ID** allows to enter the recipient's code in NSD.

6. **Rcpt. document** allows to specify the name of the document confirming the identity of the recipient of the documents. If the dictionary of supporting documents contains at least one document of the **Authority documents** type, then the recipient's document can be selected from this dictionary by clicking the "…" button to the right of the box.

7. **Document number** allows to enter the number of the document confirming the identity of the recipient of the documents.

8. **Issued by** allows to specify the name of the organization that issued the document.

9. **Custodian** allows to specify the place where depo details are stored.

9.1.7 Importing instructions from file (submitting instructions)

The QUIK workstation allows you to submit non-trade instructions using file import. When importing instructions, the line with the transaction for submitting a new non-trade instruction from the .tri file, specified in a fixed format, is read. Each line is processed independently. If the string is parsed successfully, then the QUIK workstation sends a transaction to the server.
A submitted instruction is processed in the same way as an instruction submitted through the entry dialog box. If the transaction could not be processed, an error message will be displayed in the message window.
When sending transactions, all fields are transmitted as specified in the file. The exception is for fields that contain a link to an entry in the dictionary. In this case, the record is searched by the key field. If a record is found, it is the one that is used. If an entry in the dictionary could not be found, the field is filled in based on the information entered manually.

> **For the description of the import procedure via a file in a fixed format, see 6.9.2 of Chapter 6 Working with other programs.**

tri-file format with transaction parameters

The file is a sequence of lines, each of which contains information about a separate transaction. Transaction parameters are described in the PARAMETER_NAME=parameter_value form and separated by the ";" character.
The ";" and "|" characters and newline ENTER cannot be used in all text fields. They are official and are used only in strict accordance with the description.
Parameters and their accepted values:

Parameter	Description
ACTION	Instruction type. Required parameter. Valid values: _ NEW_INSTR_TYPE_<type> – instruction type. Valid values: _ NEW_INSTR_TYPE_0 – Non cash deposit; _ NEW_INSTR_TYPE_1 – Cash deposit; _ NEW_INSTR_TYPE_2 – Cash withdrawal, cash (balance);

Parameter	Description
	_ NEW_INSTR_TYPE_3 – Cash transfer; _ NEW_INSTR_TYPE_4 – Securities transfer; _ NEW_INSTR_TYPE_5 – Cash withdrawal, non-cash; _ NEW_INSTR_TYPE_6 – Cash withdrawal, cash; _ NEW_INSTR_TYPE_7 – Cash withdrawal, non-cash (balance); _ NEW_INSTR_TYPE_8 – Securities deposit in DCC from register; _ NEW_INSTR_TYPE_9 – Securities withdrawal from DCC to register; _ NEW_INSTR_TYPE_10 – Securities deposit inside NSD; _ NEW_INSTR_TYPE_11 – Securities withdrawal inside NSD; _ NEW_INSTR_TYPE_12 – Securities deposit inside DCC; _ NEW_INSTR_TYPE_13 – Securities withdrawal inside DCC; _ NEW_INSTR_TYPE_14 – Securities deposit inside NSD from register; _ NEW_INSTR_TYPE_15 – Securities withdrawal from NSD to register; _ NEW_INSTR_TYPE_16 – Currency conversion; _ NEW_INSTR_TYPE_17 – Free form; _ NEW_INSTR_TYPE_18 – Securities conversion; _ NEW_INSTR_TYPE_19 – Securities offering; _ NEW_INSTR_TYPEID_<type identifier> – identifier of the instruction type
TRANS_ID	Submitted transaction number. The number must be unique for all types of transactions, not just those submitted for non-trade instructions. Required parameter
CLASSCODE	Class code of non-trade instructions. Required parameter
INSTR_RATE	Instruction urgency. Required parameter. Valid values: _ 1 – low; _ 2 – middle; _ 3 – high. Additional values are set by broker
CLIENT_CODE	Client code. Required parameter. String up to 12 characters long
AGREE_SERV	Service agreement parameter (write-off). A string of no more than 128 characters with service agreement data. Data for different fields is separated by the "|" character, which must also appear after the last character of the line. Field order: Contract number, Contract date. The **Contract date** parameter in the <YYYYMMDD> format. Used in following type of instructions: 1, 2, 3, 5, 6, 7, 16, 19

Parameter	Description
AGREE_SERV2	Service agreement parameter (deposit). A string of no more than 128 characters with service agreement data. Data for different fields is separated by the "|" character, which must also appear after the last character of the line. Field order: Contract number, Contract date. The **Contract date** parameter in the <YYYYMMDD> format. Used in following type of instructions:1, 2, 3, 5, 6, 7, 16, 19
AGREE_DEPO	Parameter of the depository agreement. A string with depository agreement data no longer than 128 characters. Data for different fields is separated by the "|" character, which must also appear after the last character of the line. Field order: Contract number, Contract date. The **Contract date** parameter in the <YYYYMMDD> format
VOLUME	Amount. Required parameter. Specified with two digits after the decimal separator. Used in following type of instructions: 1, 2, 3, 5, 6, 7, 16, 19. For instructions of the following types: 2 and 7 is 0
QUANTITY	Quantity. Required parameter. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
PAY_NUMBER	Number of payment instruction. String up to 32 characters long. Used in following type of instructions: 0
SECCODE	In different types of instructions, the parameter has the following meanings: _ instructions for funds – instrument code describing the currency. For **Currency conversion** and **Cash transfer** instructions, the write-off instrument is indicated; _ instructions for securities – instrument code describing the currency in which the commission will be written off; _ **Securities offering** instruction – instrument code describing the currency in which the commission will be debited and funds will be blocked for subscription. Required parameter. Used in following type of instructions: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 18, 19
SECCODE_CP	Instruction instrument of depositing. Specify the instrument (currency) of depositing. Used in following type of instructions: 3, 16
REAL_SECCODE	Depositing instrument. Only an instrument present on the QUIK server can be specified. Available only for securities instruction. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18

Parameter	Description
REAL_CLASS	Instrument class. Only a class instrument present on the QUIK server can be specified. If REAL_CLASS is set, the value from the QUANTITY parameter is recalculated into units – that is, for the instrument REAL_SECCODE in the REAL_CLASS class, its lot size is found, and before passing the quantity to the transaction, the quantity is multiplied by the lot size (QUANTITY * LotSize). Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
REAL_FIRM	Firm code. Only the participant's firm code can be indicated. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
CLIENT_CODE_CP	Code of client-recipient. Indicated only for cash and securities transfer instructions. Contains a text string of up to 12 characters. Used in following type of instructions: 3, 4
BENEFACTOR	Recipient of non-cash funds. A string in which the contents of multiple fields are separated by "|", including the last value. Order of fields: Recipient name, Last name, First name, Middle name, TIN, BIC (or swift code), Settlement account, Bank name, Correspondent account, Personal account, Bank conciliator (Y – yes, N – no), BIK of bank conciliator (swift code), Name of bank conciliator, Address of bank conciliator, Purpose of payment for bank conciliator, Regional institution of Central Bank of RF, Bank address. An empty field value is indicated in accordance with the order of the fields using the "|" separator. The fields for bank conciliator are filled in only for the swift format. Used in following type of instructions: 5, 7, 9, 11, 13, 15
BENEFACTOR_CASH	Recipient of cash. A string in which the contents of multiple fields are separated by "|", including the last value. Order of fields: Recipient name, Last name, First name, Middle name, Passport details of recipient. Used in following type of instructions: 2, 6
CAN_SPLIT	Allow the partial execution. Valid values: _ 0 – client does not allow the partial execution; _ 1 – client allows the partial execution. Used in following type of instructions: 2, 3, 5, 6, 7
LEFTOVER	Balance withdrawal attribute. Valid values: _ Y – parameter of **Cash withdrawal (balance)** and **Cash withdrawal non-cash (balance)** instructions; _ N (by default) – parameter of all other instruction types. Used in following type of instructions: 2, 7
TS	Trading system. String up to 32 characters long. Used in following type of instructions: 1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 19
PAY_ASSIGN	Reason for payment. String up to 200 characters long. Used in following type of instructions: 5, 7

Parameter	Description
CLIENT_ACCOUNT	Client personal account. String up to 128 characters long. Used in following type of instructions: 1, 2, 3, 5, 6, 7, 19
CLIENT_SUB_ACC	Client personal sub-account. String up to 32 characters long. Used in following type of instructions: 1, 2, 3, 5, 6, 7, 19
CLIENT_CP_SUB_ACC	Client-recipient personal sub-account. String up to 32 characters long. Used in following type of instructions: 3
ACCOUNT	Trading account. String up to 12 characters long. For **Securities transfer** instruction the parameter will indicate the trading account to be withdrawal. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
ACCOUNT_CP	Trading account for debiting. String up to 12 characters long. Used in following type of instructions: 4, 18
PLACE	Custodian. String up to 20 characters long. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
DEPO_ACCOUNT	Supplier of securities. A string in which the contents of multiple fields are separated by "|", including the last value. Order of fields: Account number, Manager, Owner, Depository, Depositary agreement number, Agreement date (in the <YYYYMMDD> format). Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
DEPO_ACC_TYPE	Section of supplier depo account. String up to 15 characters long. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15
DEPO_ACCOUNT_CP	Securities recipient. Contains data on the recipient of the securities. A string in which the contents of multiple fields are separated by "|", including the last value. Order of fields: Account number, Manager, Owner, Depository, Depositary agreement number, Agreement date (in the <YYYYMMDD> format). Used in following type of instructions: 4
DEPO_ACC_TYPE_CP	Section of recipient depo account. String up to 15 characters long. Used in following type of instructions: 4
PUT_REASON	Reason for securities delivery. String up to 250 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
INSTR_REASON	Instruction reason. String up to 100 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
SEC_DEAL_CURR	Trade currency. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
SEC_DEAL_SUMM	Trade amount. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
PAYER_ACCOUNT	Payment is made from/to account. String up to 100 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15

Parameter	Description
CP	Counterparty: recipient or supplier. String up to 250 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
COUNTRY	Jurisdiction. String up to 15 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
DEPO_CP	Account number of depo counterparty: recipient or supplier. String up to 100 characters long. Used in following type of instructions: 8, 10, 11, 12, 13, 14
SEC_DEAL_DATE	Trade date in <YYYYMMDD> format. Used in following type of instructions: 13
SEC_PAY_DATE	Settlement date in <YYYYMMDD> format. Used in following type of instructions: 13
PHONE	Contact phone number. String up to 30 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
SEC_COMMENT	Note. String up to 250 characters long. Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
SEC_DEPO_ID	Identifier in depository. String up to 100 characters long. Used in following type of instructions: 8, 10, 11, 12, 14
SUBDEPO_CP	Section of depo account of counterparty. String up to 100 characters long. Used in following type of instructions: 8, 10, 11, 12, 14
DOCUMENT	Name of the counterparty's identity document. String up to 100 characters long. Used in following type of instructions: 8, 9, 10, 12, 14, 15
DOC_NUMBER	Number of the counterparty's identity document. String up to 15 characters long. Used in following type of instructions: 8, 9, 10, 12, 14, 15
DOC_DATE	Date of the counterparty's identity document in <YYYYMMDD> format. Used in following type of instructions: 8, 9, 10, 12, 14, 15
DOC_ISSUER	Who issued the document. String up to 250 characters long. Used in following type of instructions: 8, 9, 10, 12, 14, 15
SEC_CP_TYPE	Counterparty account type. String up to 100 characters long. Used in following type of instructions: 8, 9, 10, 12, 14, 15
RESPONSIBLE	Responsible person. String up to 100 characters long. Used in following type of instructions: 8, 9, 14, 15
CLASSCODE_OUT	Class code upon depositing. Class code for depositing securities in the **Securities transfer** instruction or class code of the received securities in the **Securities conversion** instruction. Used in following type of instructions: 4, 18

Parameter	Description
SECCODE_OUT	Instrument code upon depositing. Code of the instrument for crediting securities in the **Securities transfer** instruction or the code of the instrument of the received securities in the **Securities conversion** instruction. Used in following type of instructions: 4, 18
FIRM_OUT	Firm code. The firm code must correspond to the class specified in the CLASSCODE_OUT field. Used to determine the correspondence of the firm code to the instrument after securities conversion. Used in following type of instructions: 18
QUANTITY_OUT	Quantity after securities conversion. Used in following type of instructions: 18
DOC_COMMENT	Comment to instruction. String up to 1000 characters long. Used in following type of instructions: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18
FIRM_ACC_NAME	Recipient name. Must be present in the broker's bank account dictionary. Used in following type of instructions: 0
CROSS_RATE	Conversion rate. Used in following type of instructions: 16
COMMON_TEXT	Text of the common form instruction. String up to 1020 characters long. Cannot have the ENTER line-breaks and ";" characters. Used in following type of instructions: 17
DISTR_SECCODE	Code of subscription instrument. Used in following type of instructions: 19
DISTR_DATE	Offering date in <YYYYMMDD> format. Used in following type of instructions: 19
WANTED_QTY	Number of documents for subscription. Required parameter. Used in following type of instructions: 19
WANTED_PRICE	Price of documents for subscription. Required parameter. Used in following type of instructions: 19
DISTR_INFO	Additional parameters of subscription. String up to 250 characters long. Used in following type of instructions: 19
EXPIREDAY	Instruction validity in <YYYYMMDD> format or 0 – if specified term is Till cancel. Used in following type of instructions: 0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19
SEC_LOTSIZE	Lot size for the instrument for which the instruction for the **Securities transfer** is submitted. The parameter is set if the lot of debit and credit instruments differs. Used in following type of instructions: 4
SEC_IN_LOTSIZE	The lot size for the deposit instrument for which the instruction for the transfer of the Central Bank is submitted. The parameter is set if the lot of debit and credit instruments differs. Used in following type of instructions: 4

Parameter	Description
BROKER_COMMENT	Broker's comment. Used in following type of instructions: 0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, if the user has the **Broker employee** permission set
VOLUME_TRANS	Deposit amount after conversion. The parameter is specified if the conversion rate is not specified. Used in following type of instructions: 16
SWIFT_MODE	Bank details mode. Valid values: _ 0 – details in bank format; _ 1 – bank details in SWIFT format. Used in following type of instructions: 5, 7, 9, 11, 13, 15 (if the BENEFACTOR parameter is set)
MAN_CRATE_MODE	Cross rate setting mode. Valid values: _ 0 – strait cross rate: _ 1 – reverse cross rate. Used in following type of instructions: 16
PLACE_TRANS	Custodian for debiting. String up to 20 characters long. Used in following type of instructions: 4, 18
DEPO_CLIENT_ACCOUNT	Settlement account. Used in following type of instructions: 4, 8, 9, 10, 11, 12, 13, 14, 15, 18
INTERNAL_NUMBER	Instruction income number. Used in following type of instructions: 0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 18
DEPO_PLACE	Custodian (depo). Used in following type of instructions: 8, 9, 10, 11, 12, 13, 14, 15
RECIPIENT_ADDRESS	Recipient's address. Default value: NULL. Applies to 5, 7, 9, 11, 13, 15 order types
M2MDepoRecipientINN	TIN of M2M depository recipient. Used for **Securities withdrawal** instruction type
PassExpensesInfo	Pass expenses information attribute. Valid values: _ Y – Yes; _ N – No. Used for **Securities withdrawal, Securities deposit** instruction types
AgreeCloseIIA	Consent to the closing of the IIA account. Valid values: _ Y – Yes; _ N – No; _ D – not applicable (the user could not give consent – for example, the field was hidden from the form)

Examples of lines in transaction file

A transaction file is a series of lines processed sequentially. Each line corresponds to a new instruction.

Cash deposit, non-cash instruction:

```
ACTION=NEW_INSTR_TYPE_0; TRANS_ID=434; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; PAY_NUMBER=№ 100;
SECCODE=RURSUR389; TS=MB FR; CLIENT_ACCOUNT=Trading account 276;
CLIENT_SUB_ACC=subacc276_Q7; DOC_COMMENT=Rate according to the tariff plan;
FIRM_ACC_NAME=SibirGazOrgSintez-Invest; EXPIREDAY=20100228; INTERNAL_NUMBER=444;
```

Cash deposit instruction:

```
ACTION=NEW_INSTR_TYPE_1; TRANS_ID=435; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
TS=MB FR; CLIENT_ACCOUNT=Trading account 276; CLIENT_SUB_ACC=subacc276_Q7;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=20100228;
INTERNAL_NUMBER=351/2;
```

Cash withdrawal (balance) instruction:

```
ACTION=NEW_INSTR_TYPE_2; TRANS_ID=436; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=0;
BENEFACTOR_CASH=Petrov|Petr|Petrovich|50 00 №12345675 issued by UVD Bobruysk city
23.03.2001|; CAN_SPLIT=1; LEFTOVER=Y; TS=MB FR; CLIENT_ACCOUNT=Trading account 276;
CLIENT_SUB_ACC=subacc276_Q7; SECCODE=RURSUR389; DOC_COMMENT=Rate according to the
tariff plan; EXPIREDAY=20100228; INTERNAL_NUMBER=51A;
```

Cash transfer instruction:

```
ACTION=NEW_INSTR_TYPE_3; TRANS_ID=437; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
SECCODE_CP=RURSUR389; CLIENT_CODE_CP=Q8; CLIENT_ACCOUNT=Trading account 276;
CLIENT_SUB_ACC=subacc276_Q7; CLIENT_CP_SUB_ACC=12345; DOC_COMMENT=Rate according
to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=89-4;
```

Security transfer instruction:

```
ACTION=NEW_INSTR_TYPE_4; TRANS_ID=438; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q8; QUANTITY=10; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; CLIENT_CODE_CP=Q7; ACCOUNT=L01-00000F00;
ACCOUNT_CP=L01-00000F00; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=111; DEPO_ACCOUNT_CP=L01-00000F00|
Brokerov I.I.|Ushkin U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE_CP=111;
CLASSCODE_OUT=BQUOTE; SECCODE_OUT=EESR; DOC_COMMENT=Rate according to the tariff
plan; EXPIREDAY=0; INTERNAL_NUMBER=404;
```

Cash withdrawal non-cash instruction:

```
ACTION=NEW_INSTR_TYPE_5; TRANS_ID=439; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
BENEFACTOR=Tupic|Cllientov|Sergey|Sergeevich|540100000001|045004001|4080181000000000
0001|Broker-Bank|31001810000000000001|005|; CAN_SPLIT=1; TS= MB FR; PAY_ASSIGN=p/p
50; CLIENT_ACCOUNT=Trading account 276; CLIENT_SUB_ACC=subacc276_Q7;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=32;
```

Cash withdrawal instruction:

```
ACTION=NEW_INSTR_TYPE_6; TRANS_ID=440; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=AGr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
BENEFACTOR_CASH=Petrov|Petr|Petrovich|50 00 №12345675 issued UVD Bobruisk city
23.03.2001|; CAN_SPLIT=1; TS= MB FR; CLIENT_ACCOUNT=Trading account 276;
CLIENT_SUB_ACC=subacc276_Q7; DOC_COMMENT=Rate according to the tariff plan;
EXPIREDAY=0; INTERNAL_NUMBER=211;
```

Cash withdrawal non-cash (balance) instruction:

```
ACTION=NEW_INSTR_TYPE_7; TRANS_ID=441; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=0; SECCODE=RURSUR389;
BENEFACTOR=Tupic|Clientorv|Sergey|Sergeevich|540100000001|045004001|4080181000000000
0001|Broker-Bank|31001810000000000001|005|; CAN_SPLIT=1; LEFTOVER=Y; TS= MB FR;
PAY_ASSIGN=p/p 50; CLIENT_ACCOUNT=Trading account 276; CLIENT_SUB_ACC=subacc276_Q7;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=32D1;
```

Securities deposit to DCC from register instruction:

```
ACTION=NEW_INSTR_TYPE_8; TRANS_ID=442; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=DCC; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=line001; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Rubles; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; PHONE=8(383)2223322;
SEC_COMMENT=By client request; SEC_DEPO_ID=i27d31; RESPONSIBLE=Ivanov.A.G.;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=12/31;
```

Securities withdrawal from DCC to register instruction:

```
ACTION=NEW_INSTR_TYPE_9; TRANS_ID=443; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=DCC; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; PHONE=8(383)2223322;
SEC_COMMENT=By client request; DOCUMENT=Passport; DOC_NUMBER=5000 1233232;
DOC_DATE=20000101; DOC_ISSUER=UVD Central region; SEC_CP_TYPE=Mortgagee;
RESPONSIBLE=Ivanov.A.G.; DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0;
INTERNAL_NUMBER=35/1; DEPO_PLACE=NSD;
```

Securities deposit inside NSD instruction:

```
ACTION=NEW_INSTR_TYPE_10; TRANS_ID=444; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=NSD; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; DEPO_CP=cp777;
PHONE=8(383)2223322; SEC_COMMENT=By client request; SEC_DEPO_ID=i27d31;
SUBDEPO_CP=cp222; DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0;
INTERNAL_NUMBER=203;
```

Securities withdrawal inside NSD instruction:

```
ACTION=NEW_INSTR_TYPE_11; TRANS_ID=445; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=NSD; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; DEPO_CP=cp777;
PHONE=8(383)2223322; SEC_COMMENT=By client request; SEC_DEPO_ID=i27d31;
SUBDEPO_CP=cp222; DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0;
INTERNAL_NUMBER=100/01; DEPO_PLACE=NSD;
```

Securities deposit inside DCC instruction:

```
ACTION=NEW_INSTR_TYPE_12; TRANS_ID=446; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=DCC; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; DEPO_CP=cp777;
PHONE=8(383)2223322; SEC_COMMENT=By client request 8; DOC_COMMENT=Rate according
to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=55-01;
```

Securities withdrawal inside DCC instruction:

```
ACTION=NEW_INSTR_TYPE_13; TRANS_ID=447; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=DCC; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; DEPO_CP=123;
SEC_DEAL_DATE=20090401; SEC_PAY_DATE=20090401; PHONE=8(383)2223322; SEC_COMMENT=By
client request; DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0;
INTERNAL_NUMBER=016-01; DEPO_PLACE=DCC;
```

Securities deposit to NSD from register instruction:

```
ACTION=NEW_INSTR_TYPE_14; TRANS_ID=448; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
```

```
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=NSD; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; PHONE=8(383)2223322;
SEC_COMMENT=By client request; SEC_DEPO_ID=i27d31; RESPONSIBLE=Ivanov.A.G.;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=103/1;
```

Securities withdrawal from NSD to register instruction:

```
ACTION=NEW_INSTR_TYPE_15; TRANS_ID=449; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=100; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; TS=MB FR; ACCOUNT=L01-00000F00;
PLACE=NSD; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin
U.U.|NSD|Agr.105|20070307|; DEPO_ACC_TYPE=Main; PUT_REASON=Main agreement;
INSTR_REASON=Trade; SEC_DEAL_CURR=Dollars; SEC_DEAL_SUMM=100.51;
PAYER_ACCOUNT=110110110110; CP=cp221; COUNTRY=RF; PHONE=8(383)2223322;
SEC_COMMENT=By client request; DOCUMENT=Passport; DOC_NUMBER=5000 1233232;
DOC_DATE=20000101; DOC_ISSUER=UVD Central region; SEC_CP_TYPE=Mortgagee;
RESPONSIBLE=Ivanov.A.G.; DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0;
INTERNAL_NUMBER=12332/001; DEPO_PLACE=NSD;
```

Currency conversion instruction:

```
ACTION=NEW_INSTR_TYPE_16; TRANS_ID=450; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
SECCODE_CP=RUREUR389; DOC_COMMENT=Rate according to the tariff plan;
EXPIREDAY=20100228; INTERNAL_NUMBER=44K;
```

Free form instruction:

```
ACTION=NEW_INSTR_TYPE_17; TRANS_ID=451; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; DOC_COMMENT=Rate according to the tariff plan; COMMON_TEXT=This
is text of free form instruction; EXPIREDAY=20100228;
```

Security conversion instruction:

```
ACTION=NEW_INSTR_TYPE_18; TRANS_ID=452; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; QUANTITY=10; SECCODE=RURSUR389; REAL_SECCODE=EESR;
REAL_CLASS=BQUOTE; REAL_FIRM=NC0038900000; ACCOUNT=L01-00000F00; ACCOUNT_CP=L01-
00000F00; DEPO_ACCOUNT=L01-00000F00|Brokerov I.I.|Ushkin U.U.|NSD|Agr.105|20070307|;
CLASSCODE_OUT=BQUOTE; SECCODE_OUT=LKOH; FIRM_OUT=NC0038900000; QUANTITY_OUT=15;
DOC_COMMENT=Rate according to the tariff plan; EXPIREDAY=0; INTERNAL_NUMBER=123;
```

Security offering instruction:

```
ACTION=NEW_INSTR_TYPE_19; TRANS_ID=453; CLASSCODE=INSTR; INSTR_RATE=1;
CLIENT_CODE=Q7; AGREE_SERV=Agr.000|20070307|; VOLUME=100.51; SECCODE=RURSUR389;
TS=MB FR; CLIENT_ACCOUNT=Trading account 276; CLIENT_SUB_ACC=subacc276_Q7;
DISTR_SECCODE=IRGZ; DISTR_DATE=20090101; WANTED_QTY=100; WANTED_PRICE=100;
DISTR_INFO=Minimum price cannot be less than 100; EXPIREDAY=20100228;
```

9.2 Reports

Reports are a presentation of a client's transaction outcomes for a given period of time in a format defined by the broker.

This section describes the standard report forms provided by the QUIK system developer. Reports of specific brokers can differ from the provided examples in form and content.

The service of requesting broker reports from the QUIK workstation is an additional capability of the QUIK system. This feature is enabled on your server after installation of the Report generation module.

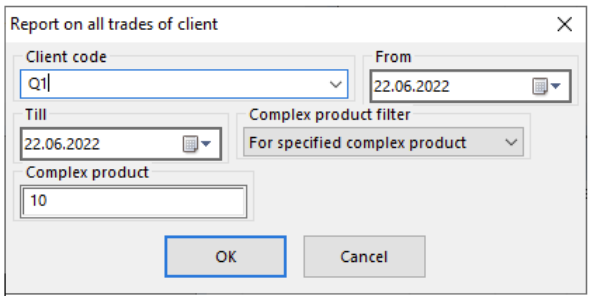
Prerequisites for using reports on a client workstation:

- a given user must be provided with access to reports on a QUIK server;
- the REPORTS.DLL file must be in the QUIK programs folder;
- the 'Reports' class must be included into the list of accepted classes.

If these conditions are fulfilled, the **Reports** item will appear in the program's menu.

9.2.1 Working principle

1. To get a report, select **Plugins/Reports** under the program menu and select there a required report type.



2. In the window that opens, select the following:

   - **Client code**.
   - **From** and **Till** – start date and the end date of the report generation period. One date is specified for a client portfolio report.
   - **Complex product filter** allows to set the filter for displaying trades in the report by type of instrument complexity:
     - **Disabled** – all trades are displayed in the report;
     - **All with assigned complex product** – trades whose instruments have a complexity type are only displayed in the report;
     - **For specified complex product** – trades whose instruments have a type selected in the **Complex product** box are only displayed in the report;
   - **Complex product** allows to set a type of complexity financial instrument (for example: 0, 4, 800 and etc.).

Then click the **OK** button. Your request will be sent to the server.

3. Once a report is received, a window will open to display it. A notification on the time when the report was received will also appear in the **Messages window**. Every received report is opened in a new window.
4. A received report can be copied to the Clipboard, printed out, saved as an HTML file or as a HTLM file with .xls extension. These actions are performed from the shortcut menu of the report view window.
5. If the received report shows empty tables or "No data", this means that no operations were performed in the specified period.

9.2.2 Report on the client's portfolio

menu **Plugins** / **Reports / Report on the client's portfolio**

This report reflects the status of the client's assets on a specified day.

This report consists of three tables. The first table shows the quantity of instruments, the second table contains information on cash assets, and the third table contains the aggregate estimate of instruments as of the beginning and the end of the day. Currency in which final values are specified is set in the module BO.

This report contains the following parameters:

1. **Opening balance** is the account status as of the beginning of the trading day.
2. **Closing balance** is the account status as of the end of the trading day.
3. **Opening valuation** is the value of instruments as of the beginning of the trading day.
4. **Closing valuation** is the value of instruments following all trades as of the end of the trading day.

Report example:

Report N876

Report on client's intraday balances
Date: 04.07.2019
Client:
Client ID: E7

Instrument ID	Abbreviated name of instrument	Settlement period	Opening balance	Opening valuation	Closing balance	Closing valuation
AGRO	AGRO-гдр	T0	0	0.00	0	0.00
MSNG	+МосЭнерго	T0	-1 000	-3 000.00	-1 000	-3 000.00
MSNG	+МосЭнерго	T1	-1 000	-3 000.00	-1 000	-3 000.00
MSNG	+МосЭнерго	T2	-1 000	-3 000.00	-1 000	-3 000.00
XS0114288789	RUS-30	T0	12	10.69	12	10.69
XS0114288789	RUS-30	T1	12	10.69	12	10.69
XS0114288789	RUS-30	T2	12	10.69	12	10.69
	TOTAL, SUR:	T0		-2 989.31		-2 989.31
	TOTAL, SUR:	T1		-2 989.31		-2 989.31
	TOTAL, SUR:	T2		-2 989.31		-2 989.31

Report on client's intraday balances 04.07.2019

Currency code	Settlement period	Opening balance	Closing balance
SUR	T0	230 209.77	230 209.77
SUR	T1	230 209.77	230 209.77
SUR	T2	230 209.77	230 209.77
USD	T0	-205.00	-205.00
USD	T1	-205.00	-205.00
USD	T2	-205.00	-205.00
TOTAL, SUR:	T0	230 004.77	230 004.77
TOTAL, SUR:	T1	230 004.77	230 004.77
TOTAL, SUR:	T2	230 004.77	230 004.77

Total intraday valuation 04.07.2019

Settlement period	Opening valuation	Closing valuation
T0	227 015.46	227 015.46
T1	227 015.46	227 015.46
T2	227 015.46	227 015.46

Broker confirms the correctness of the report

9.2.3 Report on all trades of client

menu **Plugins** / **Reports** / **Report on all trades of client**

This report reflects all trades made by the client within a specified time period. The report also contains additional parameters:

> **Some parameters are displayed in the report if specific settings of Report generation module are configured in the [Rep_Trades] section. For details, see sub-section 2.7 of the Report generation module Administrator's manual.**

- **Market** is a market name if it is specified for an instrument class.

> **The Market parameter is shown if ShowMarket=1 in the [Rep_Trades] section.**

- **Currency** is the trade currency.
- **Brokerage commission*** is the broker's commission amount.
- **Currency** is the broker commission currency.
- **Currency** is the trade settlement currency.

> **The Brokerage commission and Currency parameters are shown if ShowFaceUnit=1 in the [Rep_Trades] section is filled.**

- **Settlement date** is the date of settlements under the given trade.
- **Margin** is the margin ratio calculated at the time of trade execution.
- **Portfolio value**(***) is a portfolio value.
- **Min. margin**(***) is a minimum margin. If the value is more than 10^{25}, then the INF value is displayed.
- **Init. Margin**(***) is an initial margin.
- **Corr. Margin**(***) is a corrected margin.

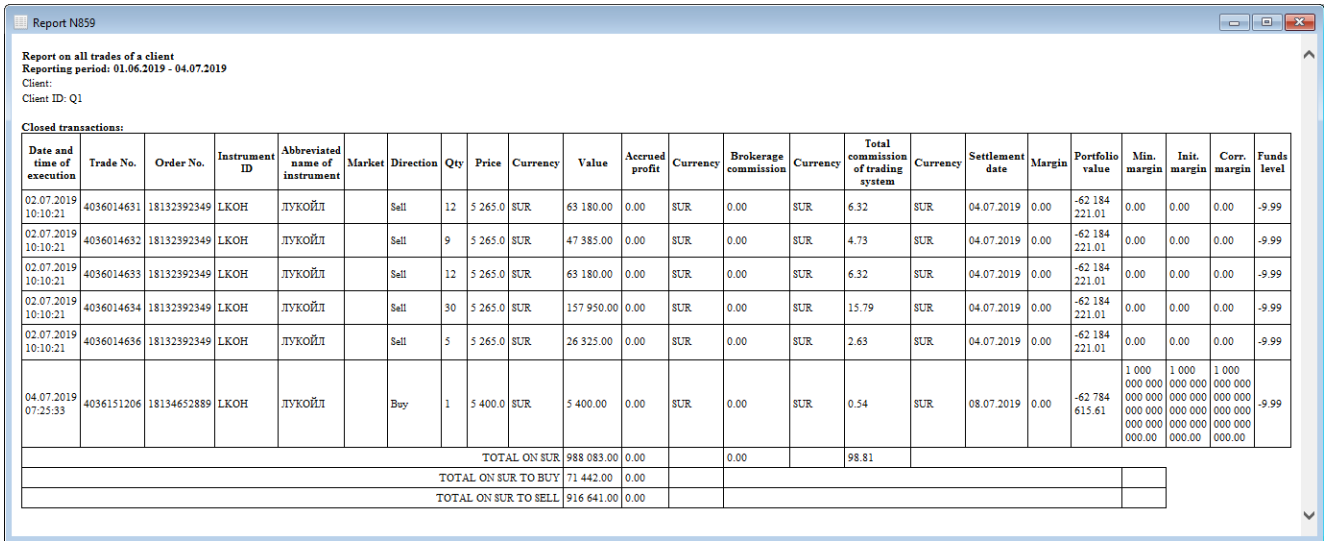
> **(***) The Portfolio value, Min margin, Init. margin, Corr. margin parameters are shown if ShowDiscountParams=1 in the [Rep_Trades] section.**

- **Funds level** is the funds adequacy level.

> **The Funds level parameter is shown if ShowFundsLevel=1 in the [Rep_Trades] section.**

- **User ID** – UID of a user who sent an order.
- **Complex product** – type of complex financial product. The header is displayed if the **All with assigned complex product** or **For specified complex product** is selected in the **Complex product filter** of report settings.

Report example:



Report N859

Report on all trades of a client
Reporting period: 01.06.2019 - 04.07.2019
Client:
Client ID: Q1

Closed transactions:

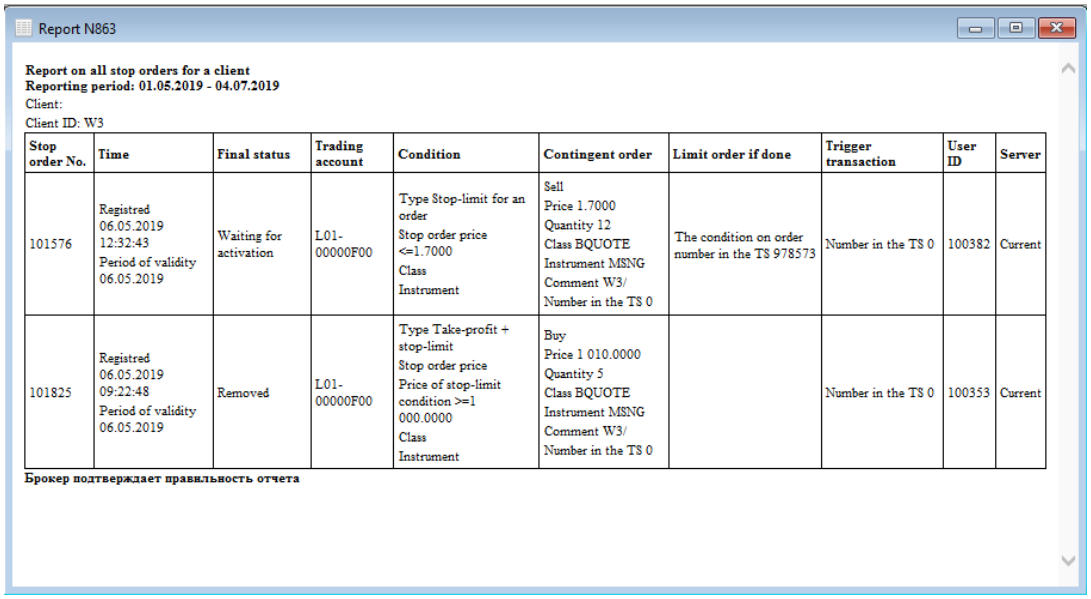
Date and time of execution	Trade No.	Order No.	Instrument ID	Abbreviated name of instrument	Market	Direction	Qty	Price	Currency	Value	Accrued profit	Currency	Brokerage commission	Currency	Total commission of trading system	Currency	Settlement date	Margin	Portfolio value	Min. margin	Init. margin	Corr. margin	Funds level
02.07.2019 10:10:21	4036014631	18132392349	LKOH	ЛУКОЙЛ		Sell	12	5 265.0	SUR	63 180.00	0.00	SUR	0.00	SUR	6.32	SUR	04.07.2019	0.00	-62 184 221.01	0.00	0.00	0.00	-9.99
02.07.2019 10:10:21	4036014632	18132392349	LKOH	ЛУКОЙЛ		Sell	9	5 265.0	SUR	47 385.00	0.00	SUR	0.00	SUR	4.73	SUR	04.07.2019	0.00	-62 184 221.01	0.00	0.00	0.00	-9.99
02.07.2019 10:10:21	4036014633	18132392349	LKOH	ЛУКОЙЛ		Sell	12	5 265.0	SUR	63 180.00	0.00	SUR	0.00	SUR	6.32	SUR	04.07.2019	0.00	-62 184 221.01	0.00	0.00	0.00	-9.99
02.07.2019 10:10:21	4036014634	18132392349	LKOH	ЛУКОЙЛ		Sell	30	5 265.0	SUR	157 950.00	0.00	SUR	0.00	SUR	15.79	SUR	04.07.2019	0.00	-62 184 221.01	0.00	0.00	0.00	-9.99
02.07.2019 10:10:21	4036014636	18132392349	LKOH	ЛУКОЙЛ		Sell	5	5 265.0	SUR	26 325.00	0.00	SUR	0.00	SUR	2.63	SUR	04.07.2019	0.00	-62 184 221.01	0.00	0.00	0.00	-9.99
04.07.2019 07:25:33	4036151206	18134652889	LKOH	ЛУКОЙЛ		Buy	1	5 400.0	SUR	5 400.00	0.00	SUR	0.00	SUR	0.54	SUR	08.07.2019	0.00	-62 784 615.61	1 000 000 000 000 000 000 000 000 000.00	1 000 000 000 000 000 000 000 000 000.00	1 000 000 000 000 000 000 000 000 000.00	-9.99
TOTAL ON SUR										988 083.00	0.00		0.00		98.81								
TOTAL ON SUR TO BUY										71 442.00	0.00												
TOTAL ON SUR TO SELL										916 641.00	0.00												

9.2.4 Report on all client stop orders

menu **Plugins** / **Reports** / **Report on all stop orders of client**

This report displays all stop instructions placed by the client in a specified period.

Report example:



Report N863

Report on all stop orders for a client
Reporting period: 01.05.2019 - 04.07.2019
Client:
Client ID: W3

Stop order No.	Time	Final status	Trading account	Condition	Contingent order	Limit order if done	Trigger transaction	User ID	Server
101576	Registred 06.05.2019 12:32:43 Period of validity 06.05.2019	Waiting for activation	L01-00000F00	Type Stop-limit for an order Stop order price <=1.7000 Class Instrument	Sell Price 1.7000 Quantity 12 Class BQUOTE Instrument MSNG Comment W3/ Number in the TS 0	The condition on order number in the TS 978573	Number in the TS 0	100382	Current
101825	Registred 06.05.2019 09:22:48 Period of validity 06.05.2019	Removed	L01-00000F00	Type Take-profit + stop-limit Stop order price Price of stop-limit condition >=1 000.0000 Class Instrument	Buy Price 1 010.0000 Quantity 5 Class BQUOTE Instrument MSNG Comment W3/ Number in the TS 0		Number in the TS 0	100353	Current

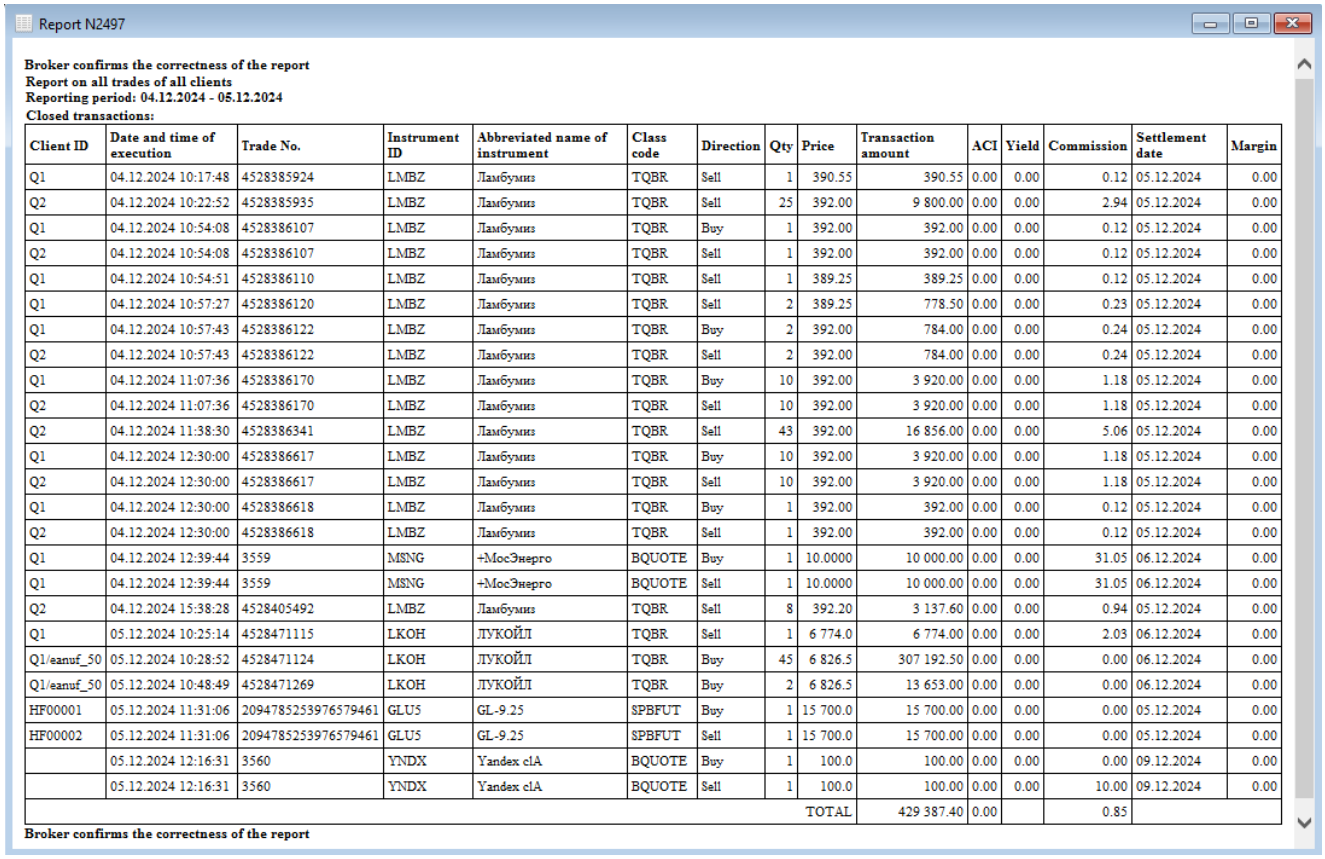
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9.2.5 Report on all trades of all clients

menu **Plugins / Reports / Report on all trades of all clients**

This report displays all trades of a group of clients for the selected time period.

Report example:



Report N2497

Broker confirms the correctness of the report
Report on all trades of all clients
Reporting period: 04.12.2024 - 05.12.2024
Closed transactions:

Client ID	Date and time of execution	Trade No.	Instrument ID	Abbreviated name of instrument	Class code	Direction	Qty	Price	Transaction amount	ACI	Yield	Commission	Settlement date	Margin
Q1	04.12.2024 10:17:48	4528385924	LMBZ	Ламбумиз	TQBR	Sell	1	390.55	390.55	0.00	0.00	0.12	05.12.2024	0.00
Q2	04.12.2024 10:22:52	4528385935	LMBZ	Ламбумиз	TQBR	Sell	25	392.00	9 800.00	0.00	0.00	2.94	05.12.2024	0.00
Q1	04.12.2024 10:54:08	4528386107	LMBZ	Ламбумиз	TQBR	Buy	1	392.00	392.00	0.00	0.00	0.12	05.12.2024	0.00
Q2	04.12.2024 10:54:08	4528386107	LMBZ	Ламбумиз	TQBR	Sell	1	392.00	392.00	0.00	0.00	0.12	05.12.2024	0.00
Q1	04.12.2024 10:54:51	4528386110	LMBZ	Ламбумиз	TQBR	Sell	1	389.25	389.25	0.00	0.00	0.12	05.12.2024	0.00
Q1	04.12.2024 10:57:27	4528386120	LMBZ	Ламбумиз	TQBR	Sell	2	389.25	778.50	0.00	0.00	0.23	05.12.2024	0.00
Q1	04.12.2024 10:57:43	4528386122	LMBZ	Ламбумиз	TQBR	Buy	2	392.00	784.00	0.00	0.00	0.24	05.12.2024	0.00
Q2	04.12.2024 10:57:43	4528386122	LMBZ	Ламбумиз	TQBR	Sell	2	392.00	784.00	0.00	0.00	0.24	05.12.2024	0.00
Q1	04.12.2024 11:07:36	4528386170	LMBZ	Ламбумиз	TQBR	Buy	10	392.00	3 920.00	0.00	0.00	1.18	05.12.2024	0.00
Q2	04.12.2024 11:07:36	4528386170	LMBZ	Ламбумиз	TQBR	Sell	10	392.00	3 920.00	0.00	0.00	1.18	05.12.2024	0.00
Q2	04.12.2024 11:38:30	4528386341	LMBZ	Ламбумиз	TQBR	Sell	43	392.00	16 856.00	0.00	0.00	5.06	05.12.2024	0.00
Q1	04.12.2024 12:30:00	4528386617	LMBZ	Ламбумиз	TQBR	Buy	10	392.00	3 920.00	0.00	0.00	1.18	05.12.2024	0.00
Q2	04.12.2024 12:30:00	4528386617	LMBZ	Ламбумиз	TQBR	Sell	10	392.00	3 920.00	0.00	0.00	1.18	05.12.2024	0.00
Q1	04.12.2024 12:30:00	4528386618	LMBZ	Ламбумиз	TQBR	Buy	1	392.00	392.00	0.00	0.00	0.12	05.12.2024	0.00
Q2	04.12.2024 12:30:00	4528386618	LMBZ	Ламбумиз	TQBR	Sell	1	392.00	392.00	0.00	0.00	0.12	05.12.2024	0.00
Q1	04.12.2024 12:39:44	3559	MSNG	+МосЭнерго	BQUOTE	Buy	1	10.0000	10 000.00	0.00	0.00	31.05	06.12.2024	0.00
Q1	04.12.2024 12:39:44	3559	MSNG	+МосЭнерго	BQUOTE	Sell	1	10.0000	10 000.00	0.00	0.00	31.05	06.12.2024	0.00
Q2	04.12.2024 15:38:28	4528405492	LMBZ	Ламбумиз	TQBR	Sell	8	392.20	3 137.60	0.00	0.00	0.94	05.12.2024	0.00
Q1	05.12.2024 10:25:14	4528471115	LKOH	ЛУКОЙЛ	TQBR	Sell	1	6 774.0	6 774.00	0.00	0.00	2.03	06.12.2024	0.00
Q1/eanuf_50	05.12.2024 10:28:52	4528471124	LKOH	ЛУКОЙЛ	TQBR	Buy	45	6 826.5	307 192.50	0.00	0.00	0.00	06.12.2024	0.00
Q1/eanuf_50	05.12.2024 10:48:49	4528471269	LKOH	ЛУКОЙЛ	TQBR	Buy	2	6 826.5	13 653.00	0.00	0.00	0.00	06.12.2024	0.00
HF00001	05.12.2024 11:31:06	2094785253976579461	GLU5	GL-9.25	SPBFUT	Buy	1	15 700.0	15 700.00	0.00	0.00	0.00	05.12.2024	0.00
HF00002	05.12.2024 11:31:06	2094785253976579461	GLU5	GL-9.25	SPBFUT	Sell	1	15 700.0	15 700.00	0.00	0.00	0.00	05.12.2024	0.00
	05.12.2024 12:16:31	3560	YNDX	Yandex clA	BQUOTE	Buy	1	100.0	100.00	0.00	0.00	0.00	09.12.2024	0.00
	05.12.2024 12:16:31	3560	YNDX	Yandex clA	BQUOTE	Sell	1	100.0	100.00	0.00	0.00	10.00	09.12.2024	0.00
								TOTAL	429 387.40	0.00		0.85		

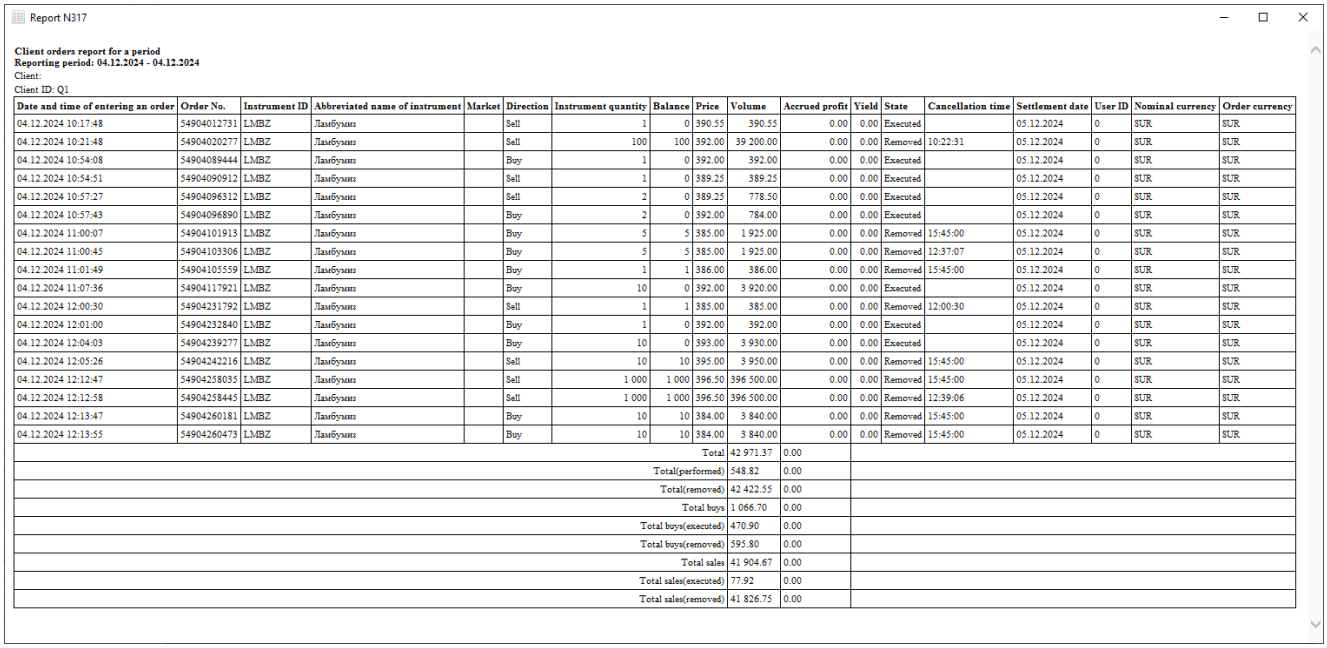
Broker confirms the correctness of the report

9.2.6 Report on all orders of client

menu **Plugins / Reports / Report on all orders of client**

This report reflects the status of client instructions for a specified period and a summary estimate of cash assets that were required for registration or execution.

Report example:



Report N317

Client orders report for a period
Reporting period: 04.12.2024 - 04.12.2024
Client:
Client ID: Q1

Date and time of entering an order	Order No.	Instrument ID	Abbreviated name of instrument	Market	Direction	Instrument quantity	Balance	Price	Volume	Accrued profit	Yield	State	Cancellation time	Settlement date	User ID	Nominal currency	Order currency
04.12.2024 10:17:48	54904012731	LMBZ	Ламбумиз		Sell	1	0	390.55	390.55	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 10:21:48	54904020277	LMBZ	Ламбумиз		Sell	100	100	392.00	39 200.00	0.00	0.00	Removed	10:22:31	05.12.2024	0	SUR	SUR
04.12.2024 10:54:08	54904089444	LMBZ	Ламбумиз		Buy	1	0	392.00	392.00	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 10:54:51	54904090912	LMBZ	Ламбумиз		Sell	1	0	389.25	389.25	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 10:57:27	54904096312	LMBZ	Ламбумиз		Sell	2	0	389.25	778.50	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 10:57:43	54904096890	LMBZ	Ламбумиз		Buy	2	0	392.00	784.00	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 11:00:07	54904101913	LMBZ	Ламбумиз		Buy	5	5	385.00	1 925.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
04.12.2024 11:00:45	54904103306	LMBZ	Ламбумиз		Buy	5	5	385.00	1 925.00	0.00	0.00	Removed	12:37:07	05.12.2024	0	SUR	SUR
04.12.2024 11:01:49	54904105559	LMBZ	Ламбумиз		Buy	1	1	386.00	386.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
04.12.2024 11:07:36	54904117921	LMBZ	Ламбумиз		Buy	10	0	392.00	3 920.00	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 12:00:30	54904231792	LMBZ	Ламбумиз		Sell	1	1	385.00	385.00	0.00	0.00	Removed	12:00:30	05.12.2024	0	SUR	SUR
04.12.2024 12:01:00	54904232840	LMBZ	Ламбумиз		Buy	1	0	392.00	392.00	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 12:04:03	54904239277	LMBZ	Ламбумиз		Buy	10	0	393.00	3 930.00	0.00	0.00	Executed		05.12.2024	0	SUR	SUR
04.12.2024 12:05:26	54904242216	LMBZ	Ламбумиз		Sell	10	10	395.00	3 950.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
04.12.2024 12:12:47	54904258035	LMBZ	Ламбумиз		Sell	1 000	1 000	396.50	396 500.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
04.12.2024 12:12:58	54904258445	LMBZ	Ламбумиз		Sell	1 000	1 000	396.50	396 500.00	0.00	0.00	Removed	12:39:06	05.12.2024	0	SUR	SUR
04.12.2024 12:13:47	54904260181	LMBZ	Ламбумиз		Buy	10	10	384.00	3 840.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
04.12.2024 12:13:55	54904260473	LMBZ	Ламбумиз		Buy	10	10	384.00	3 840.00	0.00	0.00	Removed	15:45:00	05.12.2024	0	SUR	SUR
								Total	42 971.37	0.00							
								Total(performed)	548.82	0.00							
								Total(removed)	42 422.55	0.00							
								Total buys	1 066.70	0.00							
								Total buys(executed)	470.90	0.00							
								Total buys(removed)	595.80	0.00							
								Total sales	41 904.67	0.00							
								Total sales(executed)	77.92	0.00							
								Total sales(removed)	41 826.75	0.00							

9.2.7 Report on client non-trade instructions

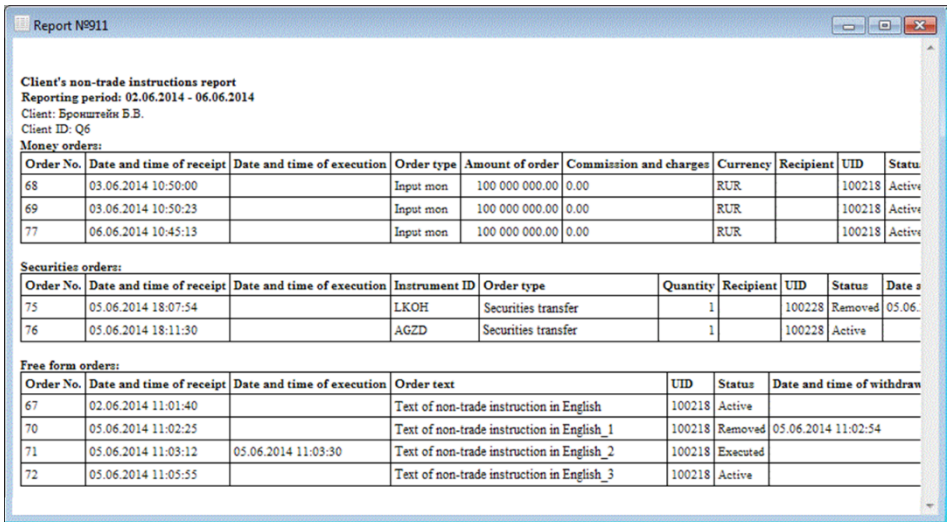
menu **Plugins / Reports / Report on client's non-trade instructions**

This report contains a list of all registered Non-trade instructions of the client for entering, withdrawal, or transferring assets between accounts within a specified period.

If the **Listing recipients** option is enabled at the time of the report generation, the report can contain instructions selected not only by the sending client's code, but also by the receiving client's code.

The first table contains the list of instructions for operations with cash assets, the second table contains the list of instructions for operations with securities, the third table contains a list of free form instructions.

Report example:



Report №911

Client's non-trade instructions report
Reporting period: 02.06.2014 - 06.06.2014
Client: Бронштейн Б.В.
Client ID: Q6
Money orders:

Order No.	Date and time of receipt	Date and time of execution	Order type	Amount of order	Commission and charges	Currency	Recipient	UID	Statu
68	03.06.2014 10:50:00		Input mon	100 000 000.00	0.00	RUR		100218	Active
69	03.06.2014 10:50:23		Input mon	100 000 000.00	0.00	RUR		100218	Active
77	06.06.2014 10:45:13		Input mon	100 000 000.00	0.00	RUR		100218	Active

Securities orders:

Order No.	Date and time of receipt	Date and time of execution	Instrument ID	Order type	Quantity	Recipient	UID	Status	Date a
75	05.06.2014 18:07:54		LKOH	Securities transfer	1		100228	Removed	05.06.
76	05.06.2014 18:11:30		AGZD	Securities transfer	1		100228	Active	

Free form orders:

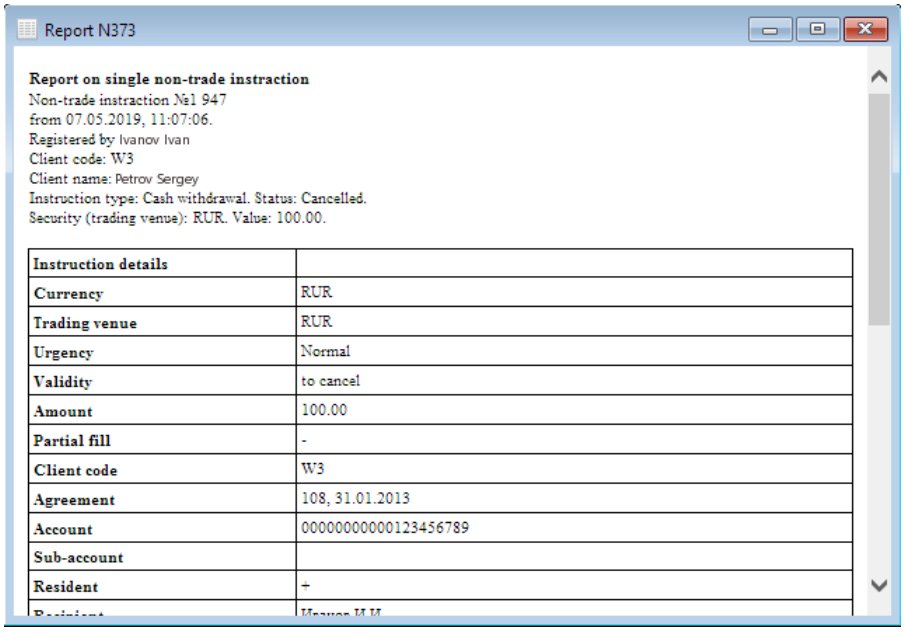
Order No.	Date and time of receipt	Date and time of execution	Order text	UID	Status	Date and time of withdraw
67	02.06.2014 11:01:40		Text of non-trade instruction in English	100218	Active	
70	05.06.2014 11:02:25		Text of non-trade instruction in English_1	100218	Removed	05.06.2014 11:02:54
71	05.06.2014 11:03:12	05.06.2014 11:03:30	Text of non-trade instruction in English_2	100218	Executed	
72	05.06.2014 11:05:55		Text of non-trade instruction in English_3	100218	Active	

9.2.8 Report on single non-trade instruction

menu **Plugins / Reports / Report on single non-trade instruction**

This report is generated by a specified non-trade instruction number and contains a list of Non-trade instruction parameters specified in the template. A report on one non-trade instruction can be created by users with Client and Manager permissions. Users with Client permissions need to specify client code besides a non-trade instruction number.

Report example:



Report N373

Report on single non-trade instraction
Non-trade instraction №1 947
from 07.05.2019, 11:07:06.
Registered by Ivanov Ivan
Client code: W3
Client name: Petrov Sergey
Instruction type: Cash withdrawal. Status: Cancelled.
Security (trading venue): RUR. Value: 100.00.

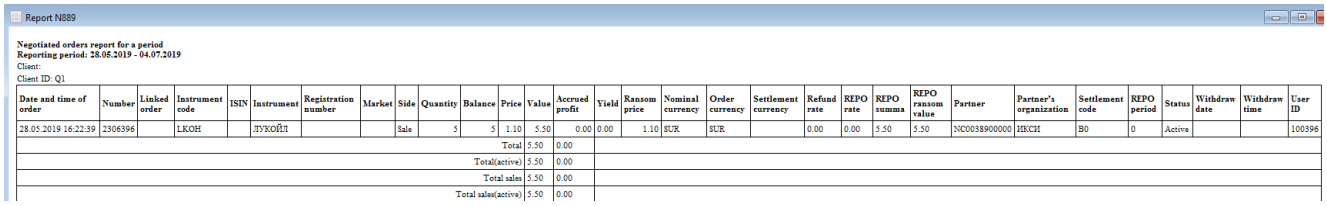
Instruction details	
Currency	RUR
Trading venue	RUR
Urgency	Normal
Validity	to cancel
Amount	100.00
Partial fill	-
Client code	W3
Agreement	108, 31.01.2013
Account	00000000000123456789
Sub-account	
Resident	+
Recipient	Иванов И.И.

9.2.9 Report on negdeal orders

menu **Plugins / Reports / Report on negdeal orders**

The report reflects the statuses of the client's negotiated orders for a specified period and the total estimation of funds required for their registration and execution.

Report example:



Report N889

Negotiated orders report for a period
Reporting period: 28.05.2019 - 04.07.2019
Client:
Client ID: Q1

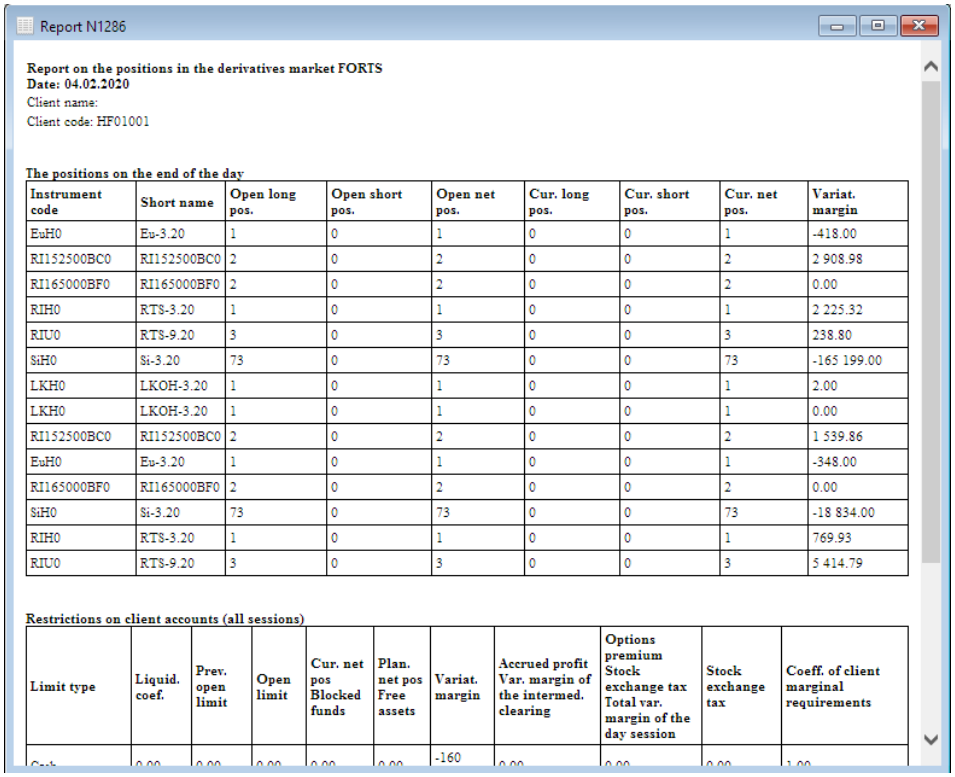
Date and time of order	Number	Linked order	Instrument code	ISIN	Instrument	Registration number	Market	Side	Quantity	Balance	Price	Value	Accrued profit	Yield	Ransom price	Nominal currency	Order currency	Settlement currency	Refund rate	REPO rate	REPO summa	REPO ransom value	Partner	Partner's organization	Settlement code	REPO period	Status	Withdraw date	Withdraw time	User ID
28.05.2019 16:22:39	2306396		LKOH		ЛУКОЙЛ			Sale	5	5	1.10	5.50	0.00	0.00	1.10	SUR	SUR		0.00	0.00	5.50	5.50	NC0038900000	ИКСИ	B0	0	Active			100396
											Total	5.50	0.00																	
											Total(active)	5.50	0.00																	
											Total sales	5.50	0.00																	
											Total sales(active)	5.50	0.00																	

9.2.10 Report on positions on the the Moscow Exchange derivatives market

menu **Plugins / Reports / Report on positions in the FORTS derivatives market**

This report reflects positions and restrictions of the client on the Moscow Exchange derivatives market for the specified date.

Report example:



Report N1286

Report on the positions in the derivatives market FORTS
Date: 04.02.2020
Client name:
Client code: HF01001

The positions on the end of the day

Instrument code	Short name	Open long pos.	Open short pos.	Open net pos.	Cur. long pos.	Cur. short pos.	Cur. net pos.	Variat. margin
EuH0	Eu-3.20	1	0	1	0	0	1	-418.00
RI152500BC0	RI152500BC0	2	0	2	0	0	2	2 908.98
RI165000BF0	RI165000BF0	2	0	2	0	0	2	0.00
RIH0	RTS-3.20	1	0	1	0	0	1	2 225.32
RIU0	RTS-9.20	3	0	3	0	0	3	238.80
SiH0	Si-3.20	73	0	73	0	0	73	-165 199.00
LKH0	LKOH-3.20	1	0	1	0	0	1	2.00
LKH0	LKOH-3.20	1	0	1	0	0	1	0.00
RI152500BC0	RI152500BC0	2	0	2	0	0	2	1 539.86
EuH0	Eu-3.20	1	0	1	0	0	1	-348.00
RI165000BF0	RI165000BF0	2	0	2	0	0	2	0.00
SiH0	Si-3.20	73	0	73	0	0	73	-18 834.00
RIH0	RTS-3.20	1	0	1	0	0	1	769.93
RIU0	RTS-9.20	3	0	3	0	0	3	5 414.79

Restrictions on client accounts (all sessions)

Limit type	Liquid. coef.	Prev. open limit	Open limit	Cur. net pos Blocked funds	Plan. net pos Free assets	Variat. margin	Accrued profit Var. margin of the intermed. clearing	Options premium Stock exchange tax Total var. margin of the day session	Stock exchange tax	Coeff. of client marginal requirements
Cash	0.00	0.00	0.00	0.00	0.00	-160	0.00	0.00	0.00	1.00

The report consists of the following tables:

- positions on the end of the day;
- restrictions on client accounts (all sessions);
- Unified cash positions table.

Parameters of the report tables are similar to those of the Client account positions table, Client account limits table, and Cash positions table (for more details, see Chapter 3, "Viewing Information", sub-sections 3.19, 3.18, 3.16).

9.2.11 Report on portfolio risk

menu **Plugins / Reports / Report on portfolio risk**

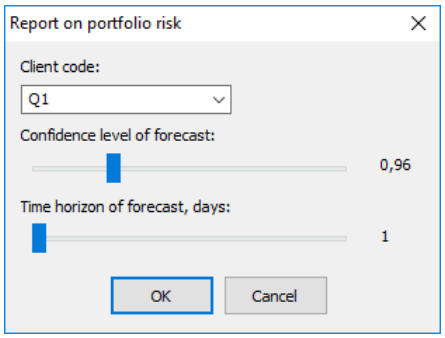
The report is intended to assess the risks using the VaR methodology. It allows estimating the most possible losses, which can arise as a result of market risk realization. The losses are calculated for a certain asset and portfolio in percent and money units.

The report reflects:

- for shares – an instrument contribution in the portfolio, risk measure in percent and money units, risk measure sensibility to the instrument contribution change, an instrument contribution in the portfolio risk measure;
- for bonds – risk measure;
- for derivative financial instruments – delta, gamma, vega coefficients.

Source data for report

In the dialog of request parameter entry, besides the code of client whose portfolio is calculated, it is necessary to specify the confidence level of forecast (from 0,90 to 0,99) and the time horizon of forecast in days (from 1 to 10).



The basic data for the calculation is price history for all assets and implied volatility for options.

The report is created based on the historical data of the Moscow Exchange instruments. The data is reported for:

- Shares, bonds – from 1 January 2016;
- Futures, options – from 7 July 2016.

Report parameters

The following parameters are shown in the report:

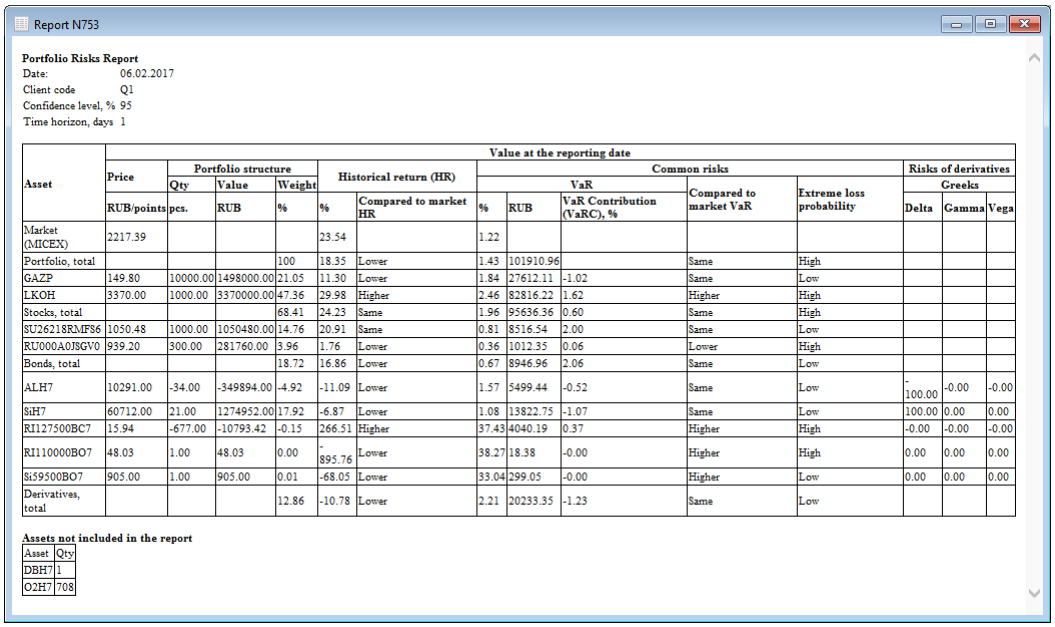
- **Price**:

- For shares, futures, options – price in rubles;
- For options – premium in rubles;
- For index derivatives – price in points.

- **Portfolio structure**:
  - **Qty** – the asset quantity.
  - **Value** – the asset value is calculated by formula: <Price> * <Qty>.
  - **Weight** – the asset share in portfolio is calculated by formula: 100 * <Asset value> / <Sum of values of all assets in portfolio>.
- **Historical return (HR)**:
  - **%** – the asset return for the historical period.
  - **Compared to market (HR)** – the comparison of the asset and market returns. Valid values:
  - **Higher** – if the asset return is higher than the market return for more than 5%. The market return is the MICEX index return.
  - **Lower** – if the asset return is lower than the market return for more than 5%.
  - **Same** – if the return is within the interval of these values.
- **Common risks** – risks common for assets of all types:
  - **VaR, %** – the amount of the loss, which will not be exceeded with the probability, set in the **Confidence level of forecast** parameter, at the end of the time interval specified in the **Time horizon of forecast** parameter.
  - **VaR, RUB** – risk measure in rubles.
  - **VaR Contribution (VaRC), %** – contribution to portfolio risk from this position.
  - **Compared to market VaR** – the result of the comparison between the asset risk measure and the market risk measure. The market risk measure is the MICEX index risk measure. Valid values:
    - **Higher** – if the asset risk measure is two times and higher than the market risk measure.
    - **Lower** – if the asset risk measure two times and lower than the market risk measure.
    - **Same** – otherwise.
  - **Extreme loss probability** – assessment of probability of significant deviation of price fluctuations from the normal distribution. Valid values:
    - High;
    - Low.
- **Risks of derivatives** – specific coefficients which are common for derivatives financial instruments only:

- **Greeks** – characterize the derivatives price sensitivity to changes in the following values:
  - **Delta** – determines sensitivity of the derivatives price to change in the underlying asset price. Shows by how much would the derivatives price change if the underlying asset price were changed by one point.
  - **Gamma** – measure the delta sensitivity, i.e. the change of delta on the underlying asset price by one point.
  - **Vega** – characterize the option price (premium) sensitivity to change in volatility.

Report example:



Report N753

Portfolio Risks Report
Date: 06.02.2017
Client code Q1
Confidence level, % 95
Time horizon, days 1

Asset	Value at the reporting date													
	Price	Portfolio structure			Historical return (HR)		Common risks					Risks of derivatives		
		Qty	Value	Weight			VaR			Compared to market VaR	Extreme loss probability	Greeks		
	RUB/points	pcs.	RUB	%	%	Compared to market HR	%	RUB	VaR Contribution (VaRC), %			Delta	Gamma	Vega
Market (MICEX)	2217.39				23.54		1.22							
Portfolio, total				100	18.35	Lower	1.43	101910.96		Same	High			
GAZP	149.80	10000.00	1498000.00	21.05	11.30	Lower	1.84	27612.11	-1.02	Same	Low			
LKOH	3370.00	1000.00	3370000.00	47.36	29.98	Higher	2.46	82816.22	1.62	Higher	High			
Stocks, total				68.41	24.23	Same	1.96	95636.36	0.60	Same	High			
SU26218RMFS6	1050.48	1000.00	1050480.00	14.76	20.91	Same	0.81	8516.54	2.00	Same	Low			
RU000A0JSGV0	939.20	300.00	281760.00	3.96	1.76	Lower	0.36	1012.35	0.06	Lower	High			
Bonds, total				18.72	16.86	Lower	0.67	8946.96	2.06	Same	Low			
ALH7	10291.00	-34.00	-349894.00	-4.92	-11.09	Lower	1.57	5499.44	-0.52	Same	Low	-100.00	-0.00	-0.00
SiH7	60712.00	21.00	1274952.00	17.92	-6.87	Lower	1.08	13822.75	-1.07	Same	Low	100.00	0.00	0.00
RI127500BC7	15.94	-677.00	-10793.42	-0.15	266.51	Higher	37.43	4040.19	0.37	Higher	High	-0.00	-0.00	-0.00
RI110000BO7	48.03	1.00	48.03	0.00	-895.76	Lower	38.27	18.38	-0.00	Higher	High	0.00	0.00	0.00
Si59500BO7	905.00	1.00	905.00	0.01	-68.05	Lower	33.04	299.05	-0.00	Higher	Low	0.00	0.00	0.00
Derivatives, total				12.86	-10.78	Lower	2.21	20233.35	-1.23	Same	Low			

Assets not included in the report

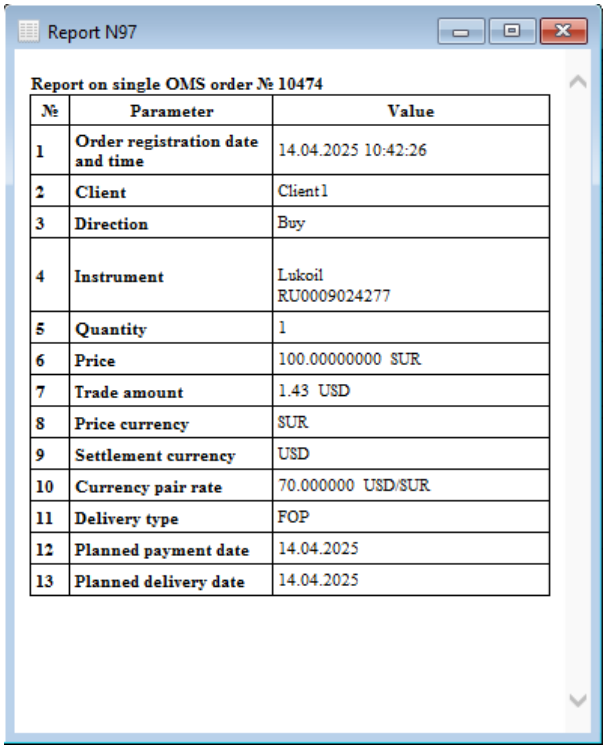
Asset	Qty
DBH7	1
O2H7	708

9.2.12 Report on single OMS order

menu **Plugins / Reports / Report on single OMS order**

The report displays information on a single OMS order of a client. The report is also opened from the **OMS orders** table by selecting the **Get report** / **<Report name of the Report generation module>**.

Report example:



9.3 Investment recommendations

Additional functionality allows a Broker to transmit analytical information to clients, and clients are allowed to conduct operations in the semiautomatic mode based on the received recommendations.

Features:

- A broker or an investment company aiming to sell a subscription to investment recommendations to clients, or for client loyalty improvement, may use the service of investment recommendations to regularly publish recommendations in the QUIK workstation with set investment settings.
- A trader who expects to hold long- or mid-term investments by subscribing to the broker's investment recommendations may view recommendations that include analytical and statistical information in the QUIK workstation, and then submit orders that are formed based on these recommendations.

9.3.1 Recommendations table

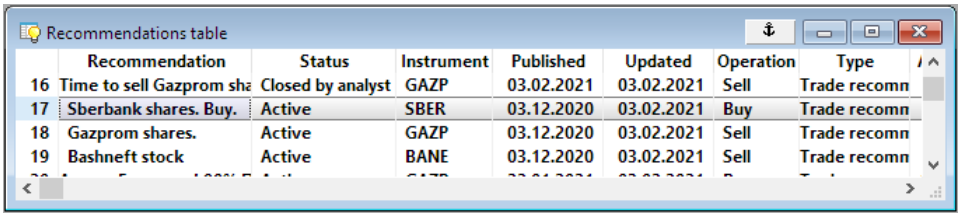
menu **Plugins / Investment recommendations / Recommendations table** or button 

> **If all recommendations are read, the button  is shown instead.**

Purpose

Viewing available (active and closed) investment recommendations. The table is used to quickly view and sort recommendations by parameters.

Table format



The number of shown recommendations may be restricted by an administrator or user using the standard table filters.

By default, recommendations are sorted by the last change time of a recommendation.

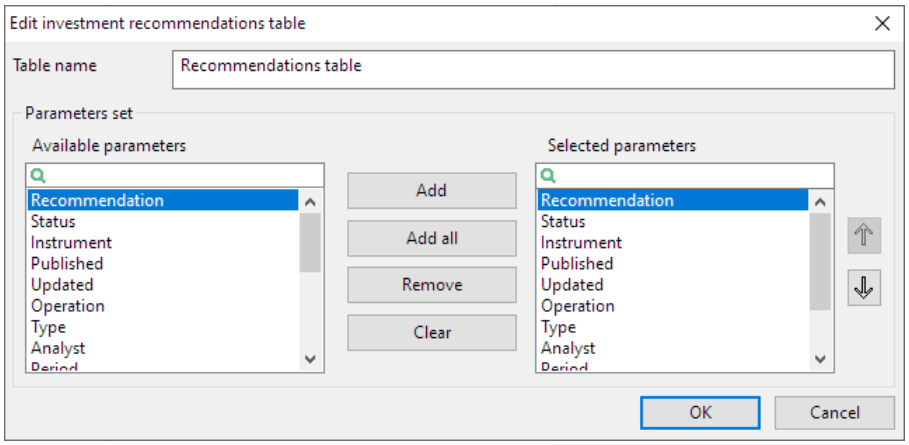
The table columns designate the following parameters:

Parameter	Value
*Recommendation	Investment recommendation name
*Status	Status of recommendation: _ Active – a recommendation with unfinished investment period. Active recommendations with assigned exit price offer conduct a reverse operation to buy/sell assets (exit a recommendation); _ Closed – a recommendation with expired investment period (the status is set the day following the day at which investment period ends); _ Closed by analyst – a recommendation is closed by a broker's employee
*Instrument	Instrument code of an investment recommendation. Multiple codes may be set (separated by commas) for a recommendation of the Analytical overview type
*Published	Date of recommendation publication
*Updated	Date of recommendation parameters change

Parameter	Value
*Operation	Operation side. Valid values: _ Sell; _ Buy. Not filled in for the Analytical overview type of a recommendation
*Type	Recommendation type. Valid values: _ Trade recommendation; _ Analytical overview
*Analyst	Name of a company
*Period	Investment period (weeks/months/years). If the period is not specified, the value "1 year" is displayed
*Recommended portfolio share,%	Trade volume recommended by broker, in percentage. Set by broker
*Target yield, %	Expected recommendation yield, in percentage. Set by broker
Last trade	Price of the last trade in an instrument, in monetary terms (for bonds in percentage). Not filled in for the Analytical overview type of a recommendation
Last change	Difference between the price of the last trade and the closing price, in monetary terms (for bonds in percentage). Not filled in for the Analytical overview type of a recommendation
Current yield, %	Current yield reduced to the investment period (interest for the period from the recommendation publication to the investment period end). Calculated as the ratio of the difference between the current price of the last trade and the entry price (if it is not specified, then the price at the time of publication) to the entry price (price at the time of publication), in percentage. Not filled in for the Analytical overview type of a recommendation
Entry price	Recommended price to enter a recommendation. If not specified, the **Price on publish date** parameter value is shown. Set by broker
Exit price	Recommended price to exit a recommendation. It is calculated by broker on the basis of the specified profitability and opening price, or the current price at the date of publication (Price at closing parameter)
Stop loss, %	Recommendation is to close at a loss if the price is> =, or <=. The parameter is displayed for information
Identifier	Investment recommendation identifier

* – fields are displayed by default. The entire set of available fields can be added in the table settings dialog box

Table settings



1. **Table name** – change the table name set by default.

2. **Parameters set** – select parameters to be displayed and their order.

To complete editing, click **OK**.

Available options

The Linked-windows mode may be applied to the table (see Chapter 2. "Basic operating principles" of the QUIK User's manual). The Recommendations table acts as a main table while windows with recommendation description and the following tables may be linked to it:

- Orders table;
- Trades table;
- Time and Sales table;
- Stop order table;
- Level II Quotes table;
- Charts.

The following commands are available from the shortcut menu:

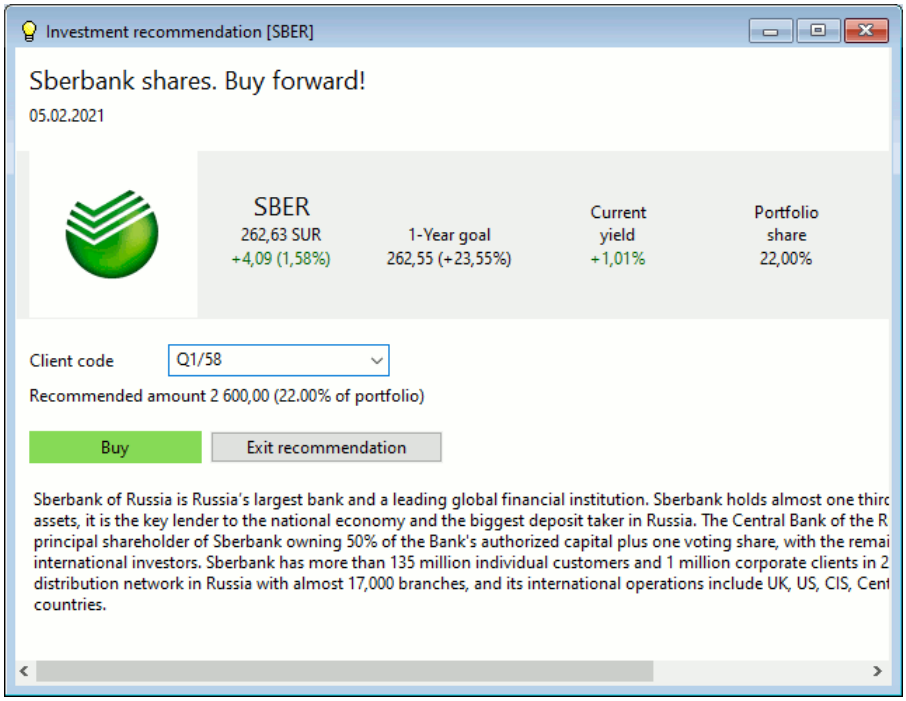
1. **Recommendation description** (or double-click a table row) opens the window with recommendation description. Multiple windows with recommendation description may be opened. Open recommendations are marked as read.

2. **Mark all as read** marks all investment recommendations as read.

For description of all table options, see Chapter 2. "Basic operating principles" of the QUIK User's manual.

9.3.2 Investment recommendation description

To open investment recommendation description, select **Recommendation description** from the **Recommendations table** shortcut menu.



At the top of the window, the recommendation change history (change of parameters, recommendation closing upon achieving a goal or closing a recommendation by analyst) is shown with change date specified.

The set of parameters in the recommendation window includes:

- Immutable parameters set by a broker;
- Dynamic information generated by the QUIK system (for parameters description, see "Table format").

The following parameters are additionally displayed in the window:

- Logo – company / instrument logo. If a logo is not loaded, the name of the asset is shown.
- **Yield, %** – effective yield of an investment recommendation, in percentage. Displayed only for closed recommendations.
- **Client code** – client code. It is not displayed for recommendations of the Analytical overview type. If a client code is selected, the portfolio share in currency and percentage is shown below the box. If a broker did not set this parameter in recommendation description, the portfolio share is not shown.
- Action buttons – actions to be made with a recommendation. These buttons are not shown for recommendations of the Analytical overview type. Depending on the type and status of a recommendation, different buttons are shown:

    - **Buy** / **Sell** opens the order entry dialog box with a trade side set for a selected instrument. Unavailable for closed recommendations;

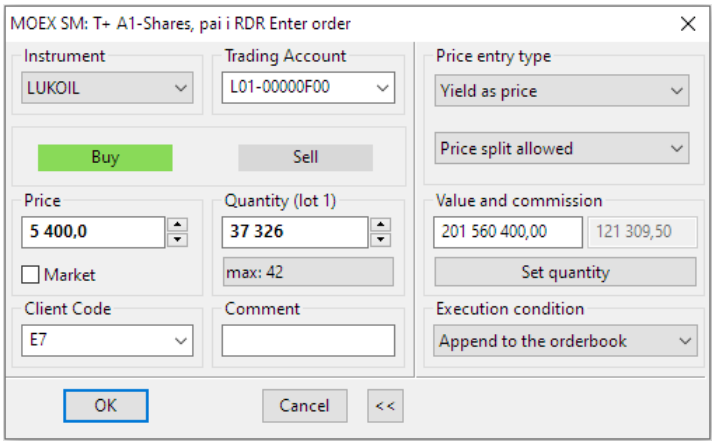
- **Exit recommendation** opens the order entry dialog box with a reverse trade side for the whole current volume of assets in an instrument for a selected client code. The button activity does not depend on the recommendation status. The **Exit recommendation** button is unavailable for recommendations to buy if a client has no positive position in a corresponding instrument as well as for recommendations to sell if a client has no negative position;
- **New recommendation** opens a recommendation linked to the current recommendation (if exists).

- Text description of a recommendation.
- **Complete review** – link to view or download the complete description of a recommendation in the PDF format or the link to the site.

> **To open the Quotes table that shows information on the recommendation instrument, double-click the logo or instrument code. This functionality is not available for recommendations of the Analytical overview type.**

9.3.3 Order entry

To open the order entry dialog box, click **Buy / Sell** (depending on the operation side) in the Investment recommendation window.



The parameters listed below are filled in automatically depending on specified parameters of a recommendation:

1. **Instrument** is an instrument of a selected recommendation.
2. **Buy** / **Sell** is an operation side.
3. **Price** is the price per an instrument unit. The price reflects a recommended opening price of a recommendation; if it is not specified, the price of a counter offer is used.
4. **Quantity** is the number of instruments in lots. Calculated based on the trade volume and price. The number of instruments in a lot is shown in brackets.
5. **Client code** is a client identifier set in general settings of the QUIK workstation or selected in the recommendation description window.

6. **Value and commission** show the trade volume set if a broker specified the recommended portfolio share in the recommendation parameters. Calculated based on a client code selected in an order depending on available account funds according to the order side. The brokerage commission amount is calculated automatically based on the configured algorithm and is shown in the box on the right.

For detailed description of the order entry dialog box, see Chapter 5. "Client Operations" of the QUIK User's manual.

9.3.4 Investment recommendations tab

menu **Plugins / Investment recommendations / Create tab**

> **The Create tab command is not available if the Recommendation table contains no records or contains only recommendations of the Analytical overview type.**

Tab purpose

Viewing available windows and tables that may be used to manage an investment recommendation.

Tab format

The following windows and tables are randomly located on the tab:

- Investment recommendation table with the first idea listed;
- Description window of an investment recommendation;
- Positions in instruments table;
- Level II Quotes table by an instrument of a selected recommendation;
- Price and volume chart with an interval of 5 minutes;
- Orders table filtered by an instrument;
- Trade table filtered by an instrument.

A user may link any windows with the Recommendation table and view the selected investment idea data on a single tab. This window set may be changed if required. A user might want to add the Stop orders, Account state, Instrument information tables or several charts with different intervals.