



# Trade Import Expert™

## Program Trading Data Converter

Are you spending too much time converting orders?

Cusip	Ticker	Security Name	Country	Currency	Price	Exchange	Lotsize	Spot Rate	Buy Shares	Buy Market Value	Sell Shares	Sell Market Value
4321558	LMEB.ST	ERICSSON LM B SHARES	SE	SEK	103.8518	SMED	1	0.1136	-	-	73	7,581.18
874039100	TSM	TAIWAN SEMICONDUCTOR	TW	USD	57.8125	US	1	1.0000	-	-	124	7,168.75
200300200	CMCSK	COMCAST CORP	US	USD	41.1250	OTC	1	1.0000	178	7,320.25	-	-
247025109	DELL	DELL COMPUTER CORP	US	USD	45.7500	OTC	1	1.0000	178	8,143.50	-	-
264399106	DUK	DUKE ENERGY CORP	US	USD	47.8125	US	1	1.0000	147	7,028.44	-	-
313586109	FINM	FEDERAL NATIONAL MOR	US	USD	48.4375	US	1	1.0000	139	6,732.81	-	-
364730101	GCI	GANNETT INC	US	USD	65.6250	US	1	1.0000	108	7,087.50	-	-
438516106	HON	HONEYWELL INTL INC	US	USD	41.8125	US	1	1.0000	162	6,773.63	-	-
459200101	IBM	INTL BUS MACHINES	US	USD	102.7500	US	1	1.0000	68	6,987.00	-	-
580135101	MCD	MCDONALDS CORP	US	USD	29.8750	US	1	1.0000	234	6,990.75	-	-
589331107	MRK	MERCK & CO INC	US	USD	53.9375	US	1	1.0000	116	6,256.75	-	-
594918104	MSFT	MICROSOFT CORP	US	USD	92.8750	OTC	1	1.0000	-	-	58	5,386.75
617446448	MVMD	MORGAN STANLEY DEAN	US	USD	81.0000	US	1	1.0000	114	9,234.00	-	-
78387G103	SBC	SBC COMMUNICATIONS I	US	USD	41.8750	US	1	1.0000	178	7,453.75	-	-
806605101	SGP	SCHERING PLOUGH CORP	US	USD	30.5625	US	1	1.0000	191	5,837.44	-	-
806857108	SLB	SCHLUMBERGER LTD	US	USD	82.1875	US	1	1.0000	93	7,643.44	-	-
931142103	VMT	WAL MART STORES INC	US	USD	47.5625	US	1	1.0000	145	6,896.56	-	-

- \*universe of over 100,000 securities
- \*calculates prices in US & local currencies
- \*can process a Russell™ 3000 list in seconds
- \*allocates sub-accounts
- \*cross-references international and domestic street side identifiers
- \*no need for templates

SOFTWARE INTELLIGENCE, INC.

# The Business Problem



**Converting trade lists takes time. Switching between different programs and templates is inefficient. With hundreds of orders in one list it is painstaking to allocate sub-accounts and catch data errors.**

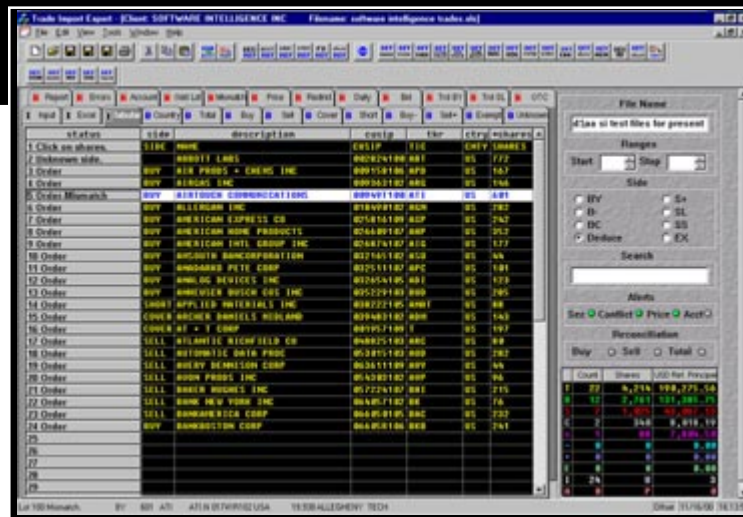


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**Conversions are time consuming and error-prone**



# The Business Solution



With Trade Import Expert™ the computer does the work. TIE™ handles all file types. Sub-accounts are allocated for you. Error catching features help verify the accuracy of a list. TIE™'s reports instantly show trade summaries, kick-outs, and transaction fees, so you can quickly confirm the order. Even Russell™ 3000 lists are processed in seconds.



**TIE™ makes order capture fast and accurate**

**TIE™ Generates Instant Reports**

including: Trade Summary, Allocation, Bid, and Liquidity reports.

View transaction and allocation details for each security.

Upload files to your trade execution system(s).

View a summary of trades by country.

Status Column

**TIE™ Catches Errors:**

“mismatches” and other data errors are flagged so that you won’t trade the wrong security.

Status Bar

(Displaying the order summary for the highlighted row.)

Trade Import Expert - [Client: SOFTWARE INTELLIGENCE INC] Filename: software.in

File Edit View Tools Window Help

SET ISM SET KASH SET MS SET SIC SET VALOR

Report Errors Account Odd Lot Mismatch Price Restrict Daily

Input Excel Tabular Country Total Buy Sell Cover Short

status	side	description	cusip
1 Click on shares.	SIDE	NAME	CUSIP
2 Unknown side.		ABBOTT LABS	00282410
3 Order	BUY	AIR PRODS + CHEMS INC	00915810
4 Order	BUY	AIRGAS INC	00936310
5 Order-Mismatch	BUY	AIRTOUCH COMMUNICATIONS	00949T10
6 Order	BUY	ALLERGAN INC	01849010
7 Order	BUY	AMERICAN EXPRESS CO	02581610
8 Order	BUY	AMERICAN HOME PRODUCTS	02660910
9 Order	BUY	AMERICAN INTL GROUP INC	02687410
10 Order	BUY	AMSOUTH BANCORPORATION	03216510
11 Order	BUY	ANADARKO PETE CORP	03251110
12 Order	BUY	ANALOG DEVICES INC	03265410
13 Order	BUY	ANHEUSER BUSCH COS INC	03522910
14 Order	SHORT	APPLIED MATERIALS INC	03822210
15 Order	COVER	ARCHER DANIELS MIDLAND	03948310
16 Order	COVER	AT + T CORP	00195710
17 Order	SELL	ATLANTIC RICHFIELD CO	04882510
18 Order	SELL	AUTOMATIC DATA PROC	05301510
19 Order	SELL	AVERY DENNISON CORP	06361110
20 Order	SELL	AVON PRODS INC	05430310
21 Order	SELL	BAKER HUGHES INC	05722410
22 Order	SELL	BANK NEW YORK INC	06405710
23 Order	SELL	BANKAMERICA CORP	06605010
24 Order	BUY	BANKBOSTON CORP	06605R10
25			
26			
27			
28			
29			

Multiple windows allow you to work on many orders at the same time.

Reference tools

"Set" order attributes

The Unknown folder the unconverted lines in a list.

Selection ranges

Side radio buttons

Search control

Alert lights

Reconciliation lights

Summary Grid

The screenshot shows the 'Intelligence trades.xls' window. The top menu bar includes 'SET' buttons for various order types: TICKR, SIDE, LOCAL PRICE, USD PRICE, SUB ACCT, RIC, SDL, csip, OTR, desc, MEM, ID, client, and cancel. Below the menu bar, there are buttons for 'Bid', 'Trd BY', 'Trd SL', and 'OTC'. The main data area is a table with columns 'tkr', 'ctry', and '\*shares'. The table contains a list of trades, with the row for 'ATI' (US, 601) highlighted. To the right of the table is a control panel with sections for 'File Name' (containing 'd:\aa si test files for present'), 'Ranges' (with 'Start' and 'Stop' input fields), 'Side' (with radio buttons for BY, B-, BC, Deduce, S+, SL, SS, EX), 'Search' (with a text input field), 'Alerts' (with 'Sec', 'Conflict', 'Price', and 'Acct' checkboxes), and 'Reconciliation' (with 'Buy', 'Sell', 'Total' radio buttons). At the bottom of the control panel is a 'Summary Grid' table with columns 'Count', 'Shares', and 'USD Ref. Principal'. The status bar at the bottom shows 'Offset 11/16/00 16:13:51'.

tkr	ctry	*shares
TIC	CNTY	SHARES
00 ABT	US	772
06 APD	US	167
02 ARG	US	146
00 ATI	US	601
02 AGN	US	282
09 AXP	US	242
07 AHP	US	352
07 AIG	US	177
02 ASO	US	44
07 APC	US	101
05 ADI	US	123
03 BUD	US	285
05 AMAT	US	88
02 ADM	US	143
09 T	US	197
03 ARC	US	80
03 AUD	US	282
09 AVY	US	44
02 AUP	US	96
07 BHI	US	215
02 BK	US	76
05 BAC	US	232
06 BKB	US	241

	Count	Shares	USD Ref. Principal
T	22	4,214	190,275.56
B	12	2,761	131,385.75
S	7	1,025	43,067.13
C	2	340	8,018.19
S	1	88	7,804.50
-	0	0	0.00
+	0	0	0.00
E	0	0	0.00
I	24	U	3
A	0	P	0



## TIE™'s folders help you view list details, quickly.

The *Tabular* folder gives instant feedback, letting you know which rows are confirmed orders and which contain errors.

I	Input	I	Excel	I	Tabular	Country	Total	Buy	Sell	Cover	Short	Buy-	Sell+	
	status		side		*sedol	ctr	*share	price	description					
1	Order		BUY		0004455	GBP	4078	21.1650	Abbey National					21.1
2	Order		BUY		5250769	EUR	1869	21.7200	Abn-Amro Hldgs Nv					21.7
3	Order-Mismatch		SELL		4031976	EUR	3900	101.2560	Adidas Ag					101.
4	Order		BUY		5252602	EUR	556	34.9940	Ahold (Kon) Nv					34.9
5	Order-Odd Lot		BUY		6245827	JPN	512	125.9140	Aicatel					125.
6	Order		SELL		6014900	JPY	135000	3.3030	All Nippon Airways					3.30
7	Order		BUY		0038614	GBP	7215	14.0750	Alliance & Leicest					14.0
8	Order		BUY		5474978	EUR	9276	32.0030	Alstom					32.0
9	Order		BUY		6499367	JPY	35000	5.2080	Asahi Bank					5.20
10	Order		BUY		6054409	JPY	7000	13.1170	Asahi Breweries					13.1
11	Order		BUY		6054603	JPY	139000	5.9700	Asahi Chemical Ind					5.97
12	Order		BUY		4056719	EUR	2123	35.5180	Assic Generali Spa					35.5
13	Order		BUY		0089529	GBP	82175	40.7690	Astrazeneca					40.7
14	Order		SELL		4050971	SEK	10329	27.1770	Atlas Copco Ab					27.1
15	Order		SELL		4050982	SEK	5100	26.8220	Atlas Copco Ab					26.8
16	Order		BUY		5554654	EUR	113958	7.6700	Autostrade Spa					7.67

	Input	Excel	Tabular	Country	Total	Buy	Sell	Cover	Short	Buy-	Sell+	
	Country	Side	Acc	Model	Count	Shares	Local Ref. Value	USD Ref. Value				
1	AUL	BY	1A		5	337,575	2,225,467.27 AUD	\$1,306,015.47				S Halifax
2	AUL	SL	1A		1	117,150	480,315.00 AUD	\$281,872.86				
3	BEL	BY	1A		3	2,878	156,173.00 EUR	\$177,693.64				nds Ltd
4	BEL	SL	1A		3	12,176	2,198,714.50 EUR	\$2,501,697.36				e Corp
5	CAN	BY	1A		12	75,500	0.00 CAD	\$0.00				
6	FRA	BY	1A		19	73,445	5,351,061.15 EUR	\$6,080,437.38				
7	FRA	SL	1A		3	22,447	2,047,006.00 EUR	\$2,329,083.43				
8	GFR	SL	1A		4	19,512	979,980.00 EUR	\$1,115,021.24				
9	HOK	BY	1A		9	294,800	9,167,100.00 HKD	\$1,185,912.03				
10	ITA	BY	1A		9	316,661	3,624,901.61 EUR	\$4,124,413.05				
11	ITA	SL	1A		3	224,370	472,223.00 EUR	\$537,295.33				
12	JPN	BY	1A		40	1,482,72	2,118,045,200.00 JPY	\$15,841,774.12				
13	JPN	SL	1A		2	170,000	105,480,000.00 JPY	\$788,930.44				
14	NET	BY	1A		4	7,159	392,630.79 EUR	\$446,735.31				
15	NET	SL	1A		3	55,866	2,139,971.01 EUR	\$2,438,176.35				
16	SWE	SL	1A									
17	SWI	SL	1A									
18	UKH	BY	1A									
19	UKH	SL	1A									
20												
21												
22												

Input	Excel	Tabular	Country	Total	Buy	Sell	Cover	Short	Buy-	Sell+	
B/S	Ticker	RIC	Ex	Shares	Local Client	USD Client	Cou	Cusip	Sedol		
1	BY	ABYH	ANL.L	L	4,078	7.500	\$12.53	UKH	990002AL3	000445	
2	BY	ABHF	ANL.AS	AS	1,869	25.300	\$28.79	NET	990003AQ5	525076	
3	SL	ADIDAS	ADSG.DE	DE	3,900	56.150	\$63.89	GFR	990004011	403197	
4	BY	TEST1			1,499	0.000	\$0.00	NET	H0009J115	546230	
5	BY	ANOLF	ANL.AS	AS	556	29.690	\$33.78	NET	990003530	525260	
6	BY	ALAO	ALAO.O	O	512	57.000	\$57.00	USA	01373M100	421682	
7	SL	9202	9202.T	T	135,000	327.000	\$2.45	JPN	018995100	601490	
8	BY	ALBF	AL.L	L	7,215	5.130	\$8.57	UKH	993607037	003061	
9	BY	TEST2			8,212	0.000	\$0.00	UKH	019255100	001850	
10	BY	ALHBF	ALH.BR	BR	885	43.600	\$49.61	BEL	990000663	402110	
11	BY	ALSTFF	ALSO.PA	PA	9,276	29.930	\$34.05	FRA	9900010M2	547497	
12	BY	AMP.AX	AMP.AX	AX	103,858	17.050	\$10.01	AUL	003446101	611571	
13	SL	TEST3	AREZ.S	S	316	0.000	\$0.00	SWI	H0274M134	404771	
14	BY	8322	8322.T	T	35,000	417.000	\$3.12	JPN	501562102	649936	
15	BY	2502	2502.T	T	7,000	1,120.000	\$8.38	JPN	912502110	605440	
16	BY	3407	3407.T	T	139,000	782.000	\$5.85	JPN	043389105	605460	
17	BY	ASSCF	CASI.HI	HI	2,123	35.550	\$40.45	ITA	990002019	405671	
18	BY	ZENCA	AZN.L	L	82,175	30.820	\$51.48	UKH	974997116	008952	
19	SL	ACPA	ATCOA.ST	ST	10,329	197.000	\$24.88	SWE	049255102	405097	
20	SL	ATCOB	ATCOB.ST	ST	5,100	188.000	\$23.75	SWE	048997100	405098	
21	BY	ANZ.AX	ANZ.AX	AX	14,878	12.690	\$7.45	AUL	052520100	606558	
22	BY	AT5IF	ACMI.HI	HI	113,958	8.030	\$9.14	ITA	990003059	555465	
23	BY	AXAFF	AXAF.PA	PA	1,089	156.000	\$177.50	FRA	990002922	402692	

The *Total* folder details every order, providing up to nine cross-referenced security identifiers and allocation information.

The *Country* folder lets you inspect security and share quantities trading in each country, sorting your data by country, side, and sub-account.

## TIE™'s reports provide pre-trade analytics, instantly.

The *Bid Report* shows the transaction costs for an order. Your total costs are displayed in dollars and basis points.

J	K	L	M	N	O	P	Q	R
Comm. Cost	Buy Tax	Buy Tax Cost	Sell Tax	Sell Tax Cost	Clearing Fee	Clearing Cost	Total Cost	Total Cost BP's
\$312.82	0.15%	\$4,692.28	0.15%	\$0.00	60	\$480.00	\$5,485.09	0.18%
\$24.61	0.15%	\$0.00	0.15%	\$369.18	60	\$60.00	\$453.80	0.18%
\$107.97	0.0%	\$0.00	0.0%	\$0.00	16	\$64.00	\$171.97	0.08%
\$1,221.21	0.0%	\$0.00	0.0%	\$0.00	16	\$48.00	\$1,269.21	0.05%
\$0.00	0.0%	\$0.00	0.0%	\$0.00	28	\$336.00	\$336.00	0.0%
\$0.00	0.0%	\$0.00	0.0%	\$0.00	62	\$1,240.00	\$1,240.00	0.02%
\$0.00	0.0%	\$0.00	0.0%	\$0.00	62	\$186.00	\$186.00	0.01%
\$0.00	0.0%	\$0.00	0.0%	\$0.00	12	\$48.00	\$48.00	0.0%
\$0.00	0.163%	\$1,798.33	0.16%	\$0.00	20	\$180.00	\$1,978.33	0.18%
\$876.75	0.0%	\$0.00	0.0%	\$0.00	50	\$500.00	\$1,376.75	0.03%
\$107.36	0.0%	\$0.00	0.0%	\$0.00	50	\$150.00	\$257.36	0.05%
\$0.00	0.1%	\$0.00	0.21%	\$1,836.83	12	\$24.00	\$1,860.83	0.21%
\$0.00	0.1%	\$17,752.54	0.21%	\$0.00	12	\$588.00	\$18,340.54	0.1%
\$249.32	0.0%	\$0.00	0.0%	\$0.00	33	\$165.00	\$414.32	0.1%
\$1,494.96	0.0%	\$0.00	0.0%	\$0.00	33	\$99.00	\$1,593.96	0.06%
\$231.47	0.0%	\$0.00	0.0%	\$0.00	55	\$275.00	\$506.47	0.04%
\$648.71	0.085%	\$0.00	0.085%	\$1,102.81	20	\$80.00	\$1,831.52	0.14%
\$0.00	0.5%	\$41,373.58	0.0%	\$0.00	20	\$800.00	\$42,173.58	0.51%
\$0.00	0.5%							
\$0.00	0.5%							

The *Daily Report* logs orders sent to the execution system. The *Daily Report* allows you to keep track of your business transactions globally, throughout the day.

Region	Buy Shares	Sell Shares	Total Shares	Buy Principal	Sell Principal	Net Principal	Total Principal
International	173,076	168,275	341,351	\$1,249,280.76	\$448,553.86	\$800,726.90	\$1,697,834.62
International	173,076	168,275	341,351	\$1,249,280.76	\$448,553.86	\$800,726.90	\$1,697,834.62
International	747,020	18,300	765,320	\$7,213,742.34	\$1,247,299.76	\$5,966,442.58	\$8,461,042.10
International	95,509	0	95,509	\$3,432,417.98	\$0.00	\$3,432,417.98	\$3,432,417.98
International	377,699	949,852	1,327,551	\$12,872,311.47	\$27,629,087.41	-\$14,756,775.94	\$40,501,398.88
International	488,397	0	488,397	\$21,204,145.81	\$0.00	\$21,204,145.81	\$21,204,145.81
International	173,076	168,275	341,351	\$1,249,280.76	\$448,553.86	\$800,726.90	\$1,697,834.62
Domestic	0	288,234	288,234	\$0.00	\$15,329,441.50	-\$15,329,441.50	\$15,329,441.50
International	19,813	0	19,813	\$1,233,357.37	\$0.00	\$1,233,357.37	\$1,233,357.37
Domestic	1,658	2,000	3,658	\$100,641.13	\$104,187.50	-\$3,546.38	\$204,828.63
International	74,322	24,060	98,382	\$561,667.46	\$60,186.50	\$501,480.96	\$621,853.97
International	46,200	0	46,200	\$565,143.90	\$0.00	\$565,143.90	\$565,143.90
Domestic	1,385,000	0	1,385,000	\$75,910,459.23	\$0.00	\$75,910,459.23	\$75,910,459.23
Domestic	185,700	135,300	321,000	\$7,259,543.80	\$7,640,137.50	-\$380,593.70	\$14,899,681.30
International	136,200	0	136,200	\$9,791,087.58	\$0.00	\$9,791,087.58	\$9,791,087.58

Country	Side	Count	Shares	Local Client Principal	USD Client Principal	USD C1
AUL	BY	8	477,929	5,338,466.21 AUD	3,128,184.18 USD	3,12
AUL	SL	1	117,150	419,397.00 AUD	246,123.13 USD	24
BEL	BY	4	3,763	189,782.94 EUR	215,935.83 USD	21
BEL	SL	3	12,176	2,146,688.50 EUR	2,442,411.15 USD	2,44
CAN	BY	12	75,580	0.00 CAD	0.00 USD	0
FRA	BY	20	74,440	5,267,820.38 EUR	5,992,815.79 USD	5,99
FRA	SL	3	22,447	2,357,717.40 EUR	2,682,610.86 USD	2,68
GFR	SL	4	19,512	977,559.00 EUR	1,112,266.63 USD	1,11
HKG	BY	9	294,800	8,528,380.00 HKD	1,180,272.96 USD	1,18
ITA	BY	10	335,658	3,852,816.07 EUR	4,383,734.12 USD	4,38
ITA	SL	3	224,370	471,773.00 EUR	536,783.32 USD	53
JPH	SL	2	170,000	116,945,000.00 JPY	874,682.12 USD	87
JPH	BY	49	1,492,213	2,373,515,000.00 JPY	17,752,543.81 USD	17,75
MET	BY	5	8,658	365,285.97 EUR	415,531.35 USD	41
MET	SL	3	55,466	2,189,840.57 EUR	2,491,680.68 USD	2,49
SWE	SL	5	59,539	9,163,817.00 SEK	1,157,348.45 USD	1,15
SWI	SL	4	7,981	1,847,267.58 CHF	1,297,428.63 USD	1,29
UKH	BY	40	547,379	4,953,436.69 GBP	8,274,715.98 USD	8,27
UKH	SL	11	697,748	2,869,699.67 GBP	4,793,833.29 USD	4,79
USA	BY	1	512	29,184.00 USD	29,184.00 USD	2
BUYS		158	3,318,852	41,295,916.34 USD Client Principal	41,295,916.34 USD Closing Principal	

The *Trade Summary Report* provides complete trade details, including sub-account summaries, odd lots, restricted securities, and more.



# Trade Import Expert™

## Program Trading Data Converter



### **TIE™ Features:**

- + translates files
- + creates orders
- + detects errors
- + generates reports
- + prices in USD & local currency
- + uploads to execution systems
- + processes lists of any file type
- + allocates sub-accounts
- + no need for templates

### **TIE™ Recognizes:**

- + ticker
- + cusip
- + sedol
- + RIC
- + ISIN
- + Bloomberg
- + Quick Code
- + Kassenverein
- + Valoren
- + Sicovam
- + client sub-accounts
- + internal sub-accounts
- + over 100,000 securities

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