Main : FOnD

The FOnD New Customer Setup page describes the process by which a new customer is brought up and running with FOnD.

The NewCustomerSetupProjectPlanis a generic project plan being designed in conjunction with the FOnD New Customer Setup page.

- (located at \\File\share\FOnD\FOnD Public\NewClientSetupStuff\NCSProjectPlan.mpp)

The ScoreCard is the pervasive Excel sheet, describing the project's status.

- (located at \\File\share\FOnD\FOnD Public\NewClientSetupStuff\FOnDScorecard.xls)

(I'm generating a scorecard to match the project plan line for line, pretty much, for clarity and ease of use. I would suggest that other projects do the same: keep the nomenclature consistent across iterations.)

The Colorized NewCustomerSetupWorkflow I am working on.

- (located at \\File\share\FOnD\FOnD Public\NewClientSetupStuff\NCSDiagramColorized.doc)

And the storyline I'm working on for the same.

- (located at \\File\share\FOnD\FOnD Public\NewClientSetupStuff\NewCustomerSetupStoryline.doc)

The Current Pagelist lists all UI pages currently available in FOnD, and the list of bugs associated with each page. It is used to define the list of features offered with the FOnD product. (This doc is owned by KeithP, and is not to be edited by anyone else. Thanks.)

- To see only those UI pages available in FOnD, go to 10W, and use the pulldown menu to sort by "FOnD."
- QA status per page is defined in column AA; UI completion in AD; and comments in AF.

This page last changed on Oct 27, 2006 by jjb.

FOnD New Customer Setup

Table of Contents

(separated pages)

(still contained in this page)

- FOnD New Customer Setup
- Sequencing note: (this was before step 6)
- Step after 6 - Trade Engine config. (way, way in the future)
- Go Live Date (ProfessionalServices and IT)
- HandOff Requirements (Professional Services)
- FollowUp (Professional Services)
- Upgrades
- Long Term Customer Maintenance
- Universal Items

List of Players

- need a list of management
- need a list of peripherals - billing, tech support, training, docs
- Product Teams lists engineering components, and their product and engineering managers.

List of Unavailable Players (Vacation Days)

It would be nice to have a company-wide list of vacation days, but I don't think it's possible. There exist a few solutions out there now. Would be nice if someone managing this product consolidated, or made one the single-source option. Sort of a "going forward, nice to have" thing.

List of Supporting Docs

- [Project Plan](#)
- [Workflow diagram](#)
- [Storyline](#)

Notes

I'm going to split this out into pages out here, soon, and assign each an appropriate owner.

Sequencing note: (this was before step 6)

In the Project Plan for FOnD, the following steps all happen twice: once for the staged site, once again for the GoLive site. As they are reproduced exactly, they are only described here once, for clarity.

Step after 6 - Trade Engine config. (way, way in the future)

This is a placemarker for things that will need to happen with a trading engine, when trading is offered.

- Trading Engine configurations
- pre-trade compliance rules

Go Live Date (ProfessionalServices and IT)

Once the product has been staged and approved, then loaded on the live site and approved, it's time to Go Live! The Go Live step in this process is basically a customer notification and handholding process, which includes both email and phone notification, as well as a dedicated customer support person set aside for on-call support for a designated period of time. *The Go Live page is owned by the **Unknown Professional Services team.***

The second half of the Go Live step is a list of handoff requirements. This is treated as a separate step because, although it is part of the handoff process, it is separate from the initial flurry of activity surrounding the first customer SignOn to the FOnD site. HandOff Requirements are made up of a list of deliverables, including billing, a User Acceptance Testing form, User Guides, and OnSite and online training. *The HandOff Requirements page is owned by John Foley and the Product Marketing team, as they will be ultimately responsible for the list of deliverables to be included in this set.*

While New Customer Setup formally ends here, with the new customer up and running, this document covers several mandatory subsequent steps as well: 1) the FollowUp, a day set aside at a pre-determined interval to meet with the customer and garner any feedback they might have; 2) Long Term Maintenance, including billing, and ongoing training and support; and 3) Upgrades, which follow a staging, Go Live, notification, and FollowUp sequence of their own.

Purpose

Requirements

Customer workspace must be approved for delivery.

Deliverables

SignOff from the customer that they have accessed FOnD and are able to use it.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Customer notification	Descriptive checklist for notifying customer of live status, including list of materials sent and methods of transmission.	This will be a little redundant, with both phone calls and hard copy sent. Need checklist and package for both.			
	OnCall Customer Support / Product Manager	someone needs to be set aside for hand-holding this day.				

HandOff Requirements (Professional Services)

Doc Package that is delivered to the customer.
JohnF, VinceK, KeithJ, and SylviaA own this item.

Purpose

Requirements

Customer must be live, and using their FOnD instance.

Deliverables

SignOff from customer that they have been provided with everything specified in the contract and Project Plan.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	First Bill delivered	First bill for delivered product - should use the automated billing system's forms as a basis, but have some boilerplate specific to this handoff.		who sets this up?		
	monthly billing starts	regular, automated billing starts.		who sets this up?		
	UAT (Customer Side Testing) checklist	A standardized testing checklist which will be handed to the client to use in their acceptance pass testing. Should be a subset of the blackbox testing suite.	This should serve both as a marketing tool, and as insurance that the customer will test all major pieces of functionality.		QA / JohnFoley / new BA	
	Customer Training	OnSite Training	Sylvia will have to actually do the training until she figures it out. then she will own the doc.	SylviaA		ongoing
	Admin Getting Started	A getting started guide - how to log in, set up your company's defined preferences, add a new advisor, create	coming when it's started - after product scope is defined	SylviaA		requested 14july

		groups, etc.				
	Advisor Getting Started	A getting started guide - how to log in, change your password, add a new client, buy and sell a few stocks, generate some standard reports, customize your workspace.	coming when it's started - after product scope is defined	SylviaA		requested 14july
	FOnD Admin Guide	The enduser's administrator's manual.		SylviaA	FOnD Admin Guide	in progress
	FOnD Advisor Guide	The enduser's (Advisor's) manual.		SylviaA	FOnD Advisor Guide	in progress
	Training Video	OnLine or CD-delivered video of training segments.				

FollowUp (Professional Services)

After a customer is live, and they have used the product for a prescribed length of time (say a month or so), Finaplex will initiate a FollowUp, during which the Professional Services rep, or whoever has been handling client relations through this process, will meet with the customer and garner their feedback. During this meet, the results of the User Acceptance Test and Usability Questionnaire will be evaluated and reviewed. On the Finaplex side, QA should rerun the test suite used to certify the Go Live site. *The FollowUp page, which might grow in scope, is owned by the* **Unknown Professional Services team.**

Purpose

Requirements

Customer must have been using FOnD for a predetermined length of time.

Deliverables

Feedback from customer on the workflow and usability of FOnD.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Internal Test Checklist	A standardized QA test plan for the product after one month of customer use. (Both white box and black box.)	It would be a good idea to have a QA test suite in place to cover this date - after Y days of live use and input.	QA		
	UAT review	The UAT should be completed by the customer, and returned and reviewed at this point.	UAT is delivered to customer either at staging (if the customer is to test staging version), or at the GoLive date.	Customer Service to review (BA?)		
	Usability Questionnaire	Standardized customer debrief after they have been using the product a given length of time.	Customers should be given a copy of the questions at GoLive date, so they may think about the answers as they are using the product.			

Upgrades

The penultimate piece to this puzzle (as it is seen now), is the upgrade process, whereby Finaplex introduces product upgrades to the live customer space. This step will include upgrade staging, upgrade delivery, customer notification, and feedback garnering, much like the Stage, Go Live, Deliver, FollowUp sequence of the initial New Customer Setup. This sequence has yet to be explicitly defined, and does not yet have an owner. For now, for lack of a better choice, *The Upgrades page is owned by the **Unknown***

FOnD Product Manager, as they will be the person to define the unknown steps of this piece, including marketing announcements, customer notification, Release notes, and FAQs.

This step may include backloading customer data to the staging server, if the staging server is not maintained as a mirror to the live server in perpetuity. Yet to be decided.

Requirements

FOnD must have customers, and an upgrade ready to use.

Deliverables

Successful, seamless upgrade for all OnLine customers.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Upgrade sequence	From notification to customer "We're OK"				
	Upgrade Staging	testing the upgrade on the staging server.	will involve backloading the staging server with current customer data and configurations, applying the upgrade, and seeing what happens. testing, regression testing, etc.	QA		
	Upgrade delivery	customer notification sequence	marketing announcement, FAQ, Release notes, etc.			

Long Term Customer Maintenance

The final step in the New Customer Setup process is Long Term Customer Maintenance. This step includes all standardized systems and forms that must be in place for ongoing customer relationships, from disaster recovery strategies, to ongoing billing, training, and support. This stage must be defined

and made more robust by the Product Marketing team. It is due to that fact that *I assign the Long Term Customer Maintenance page to John Foley, and the Product Marketing team.*

doris says: this belongs to johnF.

Purpose

Requirements

Deliverables

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Disaster Strategy	what happens if something breaks: data feeds? server connection? earthquake? something at Finaplex end. do you send automated notice and "don't worry, we are on it" message?	you should think about this.	JeffB, JohnF		
	Ongoing customer notification	automated emails about news, upgrades, etc. begin				
	Ongoing customer support	password reset, log-in issues, app. Questions, standard tech support team				
	billing	Process to set-up billing will have to occur early				

	Item	Description	Comments	Owner	Source	Status
		on in the NewClientSetup process (e.g., monthly seat counts to create invoice, etc.)				
	Client Training?	there will be training with (or before) handoff. sylvia will have to simply DO it the first few times, then write it up for following versions.		sylvia		
	Maintain database items for which no UI exists	maintain/update Portfolio Construction recommended lists	this will be a longer list, formed by Customer Data Requirements and Customer Data: Custom Skin items			

Universal Items

These items will be generated for each 'chapter.' There might be some items that are process-wide, and will be included at the end of the 'book' as well.

NB: If this exists as a WIKI, these items, or at least the way in which they manifest themselves, might need to be rethought. For instance: do I need a Glossary?

	Item	Description	Comments	Owner	Source	Status
	FAQ		where applicable			
	Troubleshooting					
	Glossary		for this doc and Project Plan			
	Checklist for each section		underway			

	- going out, and coming in					

This page last changed on Aug 18, 2006 by ewright.

Step One - Acquire A New Customer (Marketing)

The first step in the process is to Acquire a New Customer. This is the marketing dog and pony show, and belongs to Marketing. This step includes all aspects of the customer acquisition process, from the initial approach, through online and onsite demos, to the contract signatures and presentation of an initial project plan. As such, this chapter is essentially a list of components, with links to generic versions of each piece. *The Customer Acquisition page is owned by John Foley, and the Product Marketing team.*

Purpose

This page defines the list of pieces available to marketing for use in customer acquisition, and the order in which they should be presented to the prospect.

This step is owned collectively by by the entire FOnD project team, and specifically by marketing. (This item is owned collectively by John Foley, Keith Jaeger, Sylvia A, and a Professional Services representative.)

Requirements

The only requirements for this step in the process is a lead, and a desire to acquire them as a customer.

Deliverables

Deliverables for this step include a spec for the scope of work to be delivered, a signed contract, and an initial project plan.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Demo Presentation Script	sales and marketing script followed during demos	This was sent from keithP to Doris, and was completely unsolicited. I thought you might like to have it here.		DemoPT04.03.06.ppt	Should be updated and made specific to FOnD
		another example of	unsolicited FRB		FRBFOnDPres4.5.06A.ppt	4.5.06A KeithP,

		Demo Presentation Script	presentation - might fit requirements of 'expected benefits'			please correct me if this shouldn't be here.
	Demo	Online, accessible demo for prospects.	Available by year end 2006.	KeithJ		
	Expected Benefits	A list of the benefits a customer may expect from using FOnD.	Sales/Marketing process	JohnF	Finaplex OnDemand Benefits2.doc	ongoing
	Product Options/Scope	Spec Sheet of available product options and scope.	PP file describes scope of FOnD, flavors that will be offered, deployment sequence for FRB, and pricing options for various packages described.	VinceK, KeithJ, JohnF	FOnD Product Strategy Map.ppt	ongoing
	Initial Suitability	Defines the criteria by which a prospect may be deemed as suitable or qualified for FOnD / Set threshold for when client qualifies as Professional services engagement	A descriptive list of all customizations that qualify as a Professional Services engagement, rather than as a standard FOnD delivery. (will feed from Product Scope / Options item)	VinceK, KeithJ, JohnF		requested 14July - coming
	Marketing materials	Standard package of marketing materials for	This is a pre-customer acquisition checklist of	JohnF		

		distribution to prospects.	materials to distribute.			
	List of Available Data Feeds	A List of the Market Data and SOR data feeds FOnD offers	**DataC team needs this item ASAP**			
	Standard Offer	Standardized letter of intent		VinceK, KeithJ, JohnF		requested 14July - coming
	Contract(s)	Standardized contract, containing (standard) possible options and their pricing structures.		KarynS		requested 14July - coming
	Electronic Services Agreement	standard 'click to agree'	click-through, standard ESA	KarynS		requested 14July - coming
	Project Plan	A generic FOnD project plan	Will derive from this exercise	for now, BethW	NCSProjectPlan.mpp	coming

This page last changed on Dec 19, 2006 by jjb.

Step Two - Acquire Customer Data (Professional Services)

The second step in the process is to acquire the customer's data set, including the list of contacts available in the customer company, their skin customization assets (such as logo files, color sets, and Pdf format), a list of their market data feeds (Morningstar, Standard & Poor's, etc.) and System of Record ("SOR") providers (Pershing, ADP, etc.), and customer-specific asset allocations (large, medium, and small cap), suggested portfolios, and client-facing questionnaires to determine an investment strategy. This chapter includes both form letters to be sent to the customer company, and form spreadsheets to be completed by their employees.

The Acquire Customer Data page compiles pieces from 1) Customer Service (the Client Stakeholder Team letter); 2) the Portfolio Management Team (Data Requirements questionnaires); 3) the DataConsolidation Team (SOR and Market Data feeds questionnaires); 4) the **Unknown Skin team** (Skin Customizations questionnaire); and 5) the Database team (Database Sizing questionnaires). As such, the artifacts in Step Two have no single owner. As it involves working directly with the customer, a Finaplex Professional Services representative should be assigned to this step in the process, to serve as first point of contact for all the pieces, to maintain the structure of the page, and to drive the process as a whole. *The Acquire Customer Data page is owned by an **Unknown Professional Services** team.*

Purpose

This page lists letters and spreadsheets used to obtain all necessary client information. These are a series of spreadsheets, questionnaires, and templates for the customer to populate. These forms, once complete, are passed to the appropriate DataPrep teams.

Requirements

Requirements for this step include a signed contract, delimiting the scope of work, and the first point of contact within the customer's organization, to which all questions might be addressed.

Deliverables

By the end of this step, you should know all necessary contacts within the customer's organization; have all applicable PortfolioManagement excel spreadsheets filled out; know all of the customer's data feeds; have access to any onsite database that might also be used to feed into their application; and have the information necessary to estimate their database sizing needs.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Client's Stakeholder	List of all required	sample file requests	KeithJ / SylviaA	Generic Client	**beginning in place**

	Team	contacts in the customer company, and their contact info.	(short) list of customer contacts for data and project planning. NEEDS examples of data requested, as well as a more complete list		Stakeholder Team letter	
	Application Data Worksheet	list of all available slots for insertion of Application data in FOnD, and all available types of data	could be fleshed out a little more for delivery, but seems complete	Ryan Ellis / PortMan	top half of Portfolio Management Data Requirements for a start	
	Asset Allocation Strategies	firm-defined asset allocation strategies	ie: how "capital preservation" or "balanced portfolio" strategies break down (in percentages) between equity, fixed income, and other	Ryan Ellis / PortMan	**Asset Allocation Strategies** tab in DataRequirements_Detailed.xls	need a more extensive example?
	Investment Strategy Questionnaire	questionnaire given to client to determine their investment strategy	contains both a template and an example	Ryan Ellis / PortMan	**Questionnaire** tab in DataRequirements_Detailed.xls	need a more extensive example?
	Mapping Quest to strategy	firm-defined mapping of questionnaire answers to asset allocation strategies	contains both a template and an example	Ryan Ellis / PortMan	**Mapping** tab in DataRequirements_Detailed.xls	
	Capital	firm-defined	optional -	Ryan Ellis /	**CMA** tab in	

	Market Assumptions	expected returns & standard deviation, and covariance and correlation matrices	these may come from market data provider	PortMan	DataRequirements_Detailed.xls
	Recommended Lists	firm-defined recommended stock, bond, and other lists	also optional	Ryan Ellis / PortMan	Recommended Lists tab in DataRequirements_Detailed.xls
	Business Data (SOR / Market Data) acquisition	customer should provide a list of all files loaded from its SOR and Market Data providers	this is an interface issue - need a standard form for this - name of SOR, tables imported, and mapping form	DataC team	Bank Broker Questionnaire.doc Thirdparty Questionnaire.doc Data Overview Questionnaire.doc	needs explanation
	Skin Customization	includes both drag and drop skin customizations, and Proposal PDF customizations	this is a list of items that may be customized without any programming. placeholder description listed will expand to a list of options and specs for images and pdf files.	JochemG	Change Look and Feel Wiki	we should generate a list that could be handed to the customer
	Disk Sizing Questionnaire	should there be something to give to the customer to fill out for this?	to determine database size needs	JeffB	**factors** tab in Database Sizing Tool (page points to latest version of the tool itself)	design customer-facing questionnaire, if needed

	backup disk sizing questionnaire		for reports, text files, etc. might be included with db sizing issue above.	JeffB		design customer-facing questionnaire, if needed
	Interactive Sizing Questionnaire		to determine capacity planning			design customer-facing questionnaire, if needed
	Acquire data	how does data get from customer server to finaplex server?	an image of the customer's onsite database (for all key-entered data) - my understanding is that the SOR and market data feeds might not provide everything to the customer, and that they might have their own servers with additional data. **is this true?**			

This page last changed on Aug 09, 2006 by ewright.

Examine Customer Data (Owned by? Single or Multiple Owner?)

This step, which is a corollary to Step Two, is to examine the data collected in Acquire Customer Data, and ascertain whether it is sufficient to run FOnD. That is: are all the required database tables sufficiently populated by the customer-supplied data and data sources for the product to work as expected? If this is not the case, Finaplex must return to the customer with suggestions. As a data-acquisition step, this is probably a two-tiered process: there should be a single Finaplex point-of-contact to filter this information between the various Data Acquisition teams (PortfolioManagement, DataConsolidation, DBA, and the UI team), and the customer contacts listed in the Client Stakeholder Team letter. For example, if customer-supplied Proposal Generation data is insufficient, a Professional Services ("PS") member should work with them to determine if the Finaplex generic data will suffice, or if the customer can define and supply the missing data. If the SOR data is insufficient, the same PS member should discuss the issue with the customer. While it is difficult to imagine a case in which a customer might not supply sufficient SOR data, it should be considered as a possibility. *The Examine Customer Data page is owned by the same **Unknown Professional Services** contact that owns the previous page, with support from PortManagement, DataC, and the DBA team.*

Purpose

In this step, customer data is examined for its completeness. That is: is the data set provided sufficient to run FOnD with the expected results? Are all of the required fields populated? The information returned in the questionnaires listed in Step Two must be examined with an eye toward both their individual contents, and toward the overall package as delivered. For example, some customers might supply their own asset classifications, while others might use those provided by their Market Data Provider. For this reason, this exists as its own step in the process, and serves as a checkpoint to guarantee that Finaplex receives everything it needs to deliver the contracted product.

The questionnaires listed above should be examined, and passed back to the customer if deemed incomplete, then reexamined, until the data delivered is deemed sufficient to run FOnD.

The Questionnaires should also be examined for their content, in that Babel configurations will be necessary to accomodate each specific set of customer static data. As the number of asset classes, or recommended portfolios, or investment strategy questionnaire questions varies from customer to customer, the mapping of those data fields must vary as well.

This analysis will be undertaken by the appropriate teams within Finaplex, and led by the Product Manager, as an overseer:

- DataConsolidation will examine SOR and Market data for sufficiency, and for Babel's ability to parse the sources
- PortfolioManagement will examine the presented PortMan questionnaires and templates for completeness
- the DBA team will examine the DatabaseSizing and InteractiveSizing Questionnaires for sufficiency
- the GRAB TEAM will examine existing DB data for sufficiency and accessibility.

Requirements

Completed questionnaires from [Step Two: Acquire Customer Data](), including points of contact.

Deliverables

Questionnaires, completed and approved for robustness. As completed, these questionnaires should provide:

- all relevant contacts within the customer's company
- all necessary information to prepare database size, interactive sizing, and to determine whether or not partitioning is necessary
- all SOR and Market Data Feeds used by the customer, and the fields they use within them
- all Portfolio Management data, from Client Questionnaires, to asset allocation and recommended portfolios.

This page last changed on Aug 10, 2006 by ewright.

Step Three - Prepare Customer Infrastructure (OnSite Requirements) (Finaplex IT)

This step may happen at any time between Step Two and when the customer starts using the application (the "GoLive date"). It's placed here to guarantee that it is complete and working properly before the GoLive date. This step prepares the customer site for the use of FOnD, and includes making certain that their infrastructure includes the correct hardware and software configurations to run FOnD properly, as well as making any necessary adjustments to their firewall configuration to allow access to the FOnD servers. *The Prepare Customer Infrastructure page is owned by Darrell Winner and the IT team.*

Purpose

The purpose of this step is to prepare the customer's site for access to FOnD. This includes making certain that all the necessary software is installed, and making any adjustments to their firewall necessary.

Requirements

Access to the customer's firewall configuration, and a contact with their IT team.

Deliverables

A Customer Site ready to access FOnD safely and securely, and able to use all of its features, including reporting and message generating.

Kit of Parts

See also Jesse Chen's ADP_IT_Guide, Chapter 1: Hardware and Software Configurations.

	Item	Description	Comments	Owner	Source	Status
	Hardware Requirements	1.4 Ghz Pentium processor 500mb RAM - HD space Not Applicable		JeffB		done

	Software Requirements	• IE 6.0 • Firefox 1.5 • Adobe Acrobat Reader 6.0 or greater • Popup Blockers disabled		JeffB		done
	Firewall Customizations	to maintain security and allow access		DarrellW		requested 20July, & again 28July

This page last changed on Dec 18, 2006 by jjb.

Step Four - Prepare Customer Data (PortfolioManagement and DataConsolidation)

(Owned generally by KeithP)

After all data has been acquired and deemed sufficient, the processing of data begins. The process splits into two categories: 1) single load data, called "Application Data," is owned and handled by the PortfolioManagement team; and 2) nightly load data, "Business Data," is owned and handled by the DataC team.

Application Data includes all One-Time, Annual, or Quarterly load (as determined by the customer) data, such as:

- Proposal Generation data, including the questionnaire to determine client investment strategy and investment requirements, as well as customer defined asset allocation strategies;
- Capital Market Assumptions data, if supplied by the customer; and
- data that is entered manually through the interface, with a one-time load at the beginning of the process, such as the first admin user setup, and advisor to client mapping (if done by Finaplex).

Business Data includes all data loaded nightly, hourly, or at whatever interval the customer specifies. It changes daily, and is constantly and continuously reloaded to the Finaplex database, and includes:

- System of Record Data, loaded from the client's system of record, including all client information and portfolio holdings, and may include market data, such as securities information, pricing, and structure, if provided by the SOR, and used by the customer; and
- Market Data, which includes real-time, nightly, or monthly pricing, performance categories, and asset allocations.

As such, this step in the process, Prepare Customer Data, has two parts, and two teams: Prepare Customer Appplication Data, owned by the Portfolio Management team, and Prepare Customer Business Data, owned by the Data Consolidation team. Both of these teams complete this process by producing run scripts to be handed to the DBA team for the Load Customer Data step of the process. (The Prepare Customer Skin Data step, which is not yet fully fleshed, is subsumed in the Prepare Customer Application Data step at this point. When the Customer PropGen PDF may be customized, and when the FOnD skin may be more readily customized, this step may split into three parts.) *The Prepare Customer Application Data page is owned by Ryan Ellis and the Portfolio Management team. The Prepare Customer Business Data page is owned by Aimee Hwang and the Data Consolidation team.*

Purpose

The purpose of this step is to prepare all customer data for load into the Finaplex Database.

Requirements

Completed questionnaires from [Step Two: Acquire Customer Data](), evaluated and determined to be complete for FOnD to perform as expected.

Deliverables

Customer data processed, deliverable batch scripts prepared and ready to load.

Kit of Parts

See also: Ryan Ellis' comprehensive explanation of [Portfolio Management Data Requirements]().

See also Jesse Chen's [ADP_IT_Guide]().

Note: I believe that the first part of Portfolio Management Data Requirements, DataRequirements_Summary.doc and Seed_Data.doc should be combined to form one tech spec for this section. All three contain separate pieces of the StaticData definition. If combined, I believe they would cover it all. - beth

Application Data (PortfolioManagement / Ryan Ellis)

	Item	Description	Comments	Owner	Source	Status
	load all DataRequirements worksheet data	file contains asset allocation strategies; a questionnaire template; a mapping system between the two; risk scenario data (for the three included in the doc); and historical returns	includes both specific examples and a template for all listed elements.	Ryan Ellis	[DataRequireme Detailed.xls]()	
	load Investment Strategy Questionnaire	questionnaire given to client to determine their investment strategy		Ryan Ellis	example in [DataRequirements_Detailed.xls]()	**expand?**
	need list of scripts to	list of all available	lists a few of the tables		top half of [Portfolio]()	

	load these xls files	slots for insertion of "static" data in FOnD, and all available types of data	populated by [DataRequirements_Detailed.xls](#)		[Management Data Requirements](#) for a start
	DataRequirements summary	high-level overview of the types of data needed to create proposals for clients this is a list of data types ("Client list," "recommended list," "college costs,") their Elements (list of possible elements for each type), Sources (who provides it), Uses (in FOnD), Update Frequency, and Format.	List should be completed, and given more examples - beth	JohnF	[DataRequirementsSummary.doc](#) needs review
	wells seed data import instructions	This file seems to be a counterpart to [DataRequirements_Detailed.xls](#). It contains screen shots of all instances in which data is used, and descriptive, engineering-based procedures for the use of that document.	wells specific, covers: data mappings for the questionnaire, model asset allocation, and capital market assumptions; the design model; and sector handling and data validation	TonyHoman	[Seed Data.doc](#)

Business Data (DataC team / AimeeH)

This data is included in the nightly builds, and runs through the Boundary interfaces created by the Data Consolidation team. The script used to load dynamic data will vary from client to client, as the list of elements included in this script will vary from client to client. The script used to run batch loads points to other scripts which load the individual pieces.

Both Systems of Record and Market data offerings will be standardized, in that FOnD will offer a list of available providers, from which customers might choose.

Until this list is created, and Babel is equipped to handle all FOnD offered SORs and Market Data feeds, part of the Data Examination process will include the question: is Babel able to handle the incoming data as presented? if not, what would it take to create a solution through Babel? or is it a customized product, rather than FOnD?

Jeff Barrett has generated the clearest, simplest description of how Babel works and what it does: ArchBoundaryInterface.

This might be a useful link: Configuring and Running Babel. Lists the steps involved, but does not provide an overview.

In general, DataC has its own website, which contains a wealth of information. See DataConsolidation Team website.

In particular, they provide a diagram of how Babel works:
http://firefly2:9090/confluence/display/fpx/Babel

	Item	Description	Comments	Owner	Source	Status
	Data sufficiency doc/testing	Review of sample file		Aimee - DataC		need to clarify
	System of Record Data	This hooks to the customer's SOR, and collects its contents with each load.		Aimee - DataC		
	prepare Market Data feed scripts	This hooks to the Customer's market data provider, and collects its contents with each load. includes: Trading Engine Configurations	**question: might the SOR and Market Data loads be run at different intervals?**	Aimee - DataC		

		and Pre-trade compliance rules.			
	Build Loaders			Aimee - DataC	
	Create Business Rules			Aimee - DataC	
	Create Batch processing scripts			Aimee - DataC	

Things DataC need to generate a completely generic, off the shelf product:

	Market Data offering	**list of offered market data sources, as defined by marketing.**	this is here as a place holder. Aimee is compiling a comprehensive list of all availble market data offerings. marketing will have to determine which will be offered for FOnD.	JohnF (& Doris)	InterfaceSummary lists all interfaces, and points to relevant documentation - underway by Aimee
	Data Mapping Requirements	**defines the means by which the DataC team will map all pages' fields to the appropriate database tables, and all db table fields to one another. This piece is absolutely vital to FOnD.**	this is a request from the dataC team to all component product managers to define their pages' fields, and to list all other locations in the product to which this info needs to map	DataC - Aimee	Component_Data *requested 26July*

This page last changed on Dec 19, 2006 by jjb.

Step 5 - Prepare Customer Workspace (DBA team / PaulVanCleave)

As the Customer Data is being prepped by its respective teams, the DBA team may be working on the next step in the process, Preparing the Customer Workspace. As FOnD will use a multi-org database structure (see Gil Cooper's well-written Multi Org for dummies for more information), there will be no need to build an individual database for each new customer. There will remain a need, however, for the existing database to be properly sized, for bandwidth needs to be met, and for performance tables to be partitioned (if necessary). *These steps are addressed in the Prepare Customer Workspace page, owned by Paul Van Cleave and the DBA team.*

NB: This will be a multi-org system: *all* customers' data will live in a *single* database. see: Multi Org for dummies

Purpose

To prepare the Finaplex (Verio) servers for a new FOnD customer.

Requirements

Completed database sizing questionnaires.

Deliverables

Customer Workspace partitioned (if applicable), sized, massaged, and ready to accept data.

Kit of Parts

See also Jesse Chen's ADP_IT_Guide.

	Item	Description	Comments	Owner	Source	Status
	Disk Database sizing	Capacity planning	contains list of data required from customer, and a worksheet. Link points to the Wiki page, with	PaulVC	Database Sizing Tool	needs instruction in use

			instructions in its use, and a link to the latest version			
	Disk Storage Sizing	might be contained in Disk DB sizing above, might be separate	storage for text files received from customer, Reports, etc.	JeffB took ownership	DiskStorageSizingTool to come	spoke with JeffB 28July
	Interactive sizing	Capacity planning - dependent on number of concurrent customers and the size of the pipe coming into the data center		JeffB took ownership	BandwithSizing to come	Spoke with JeffB 28July
	Partition Performance Tables (if necessary)	Wiki page describes Why a partition is needed, How to make one, How to add one, and How to drop one. seems complete.	this will be a by-customer customization, on an if- and as-needed basis.	PaulVC	PerformanceTables describes when partitioning might be necessary, and how to achieve it.	looks titions complete
	Load Seed Data	If customer specific partitioning requires seed data, it's loaded here.	**This refers exclusively to the Finaplex generic "Seed Data" that is loaded before any customer data is loaded.**			

This page last changed on Jan 09, 2007 by pvanclea.

Step Six - Load Customer Data (Ops)

This step populates the customer database space with their portfolio management parameters, historic data, and day-to-day batch load data.

Each new customer, even for a generic product, requires data examination, and some resultant batch process customization. That is, each new customer might use a different combination of SOR and market data feeds, and a different combination of "FOnD standard," customer specified, and SOR and/or Market Data asset allocation and capital market assumptions data. For this reason, each new FOnD customer's data load and batch data processing scripts will differ slightly.

There are two parts to this: the one-time data load; and the nightly build load script stuff load.

Once the Customer Workspace is prepared, customer data may be loaded. Again, there are two (three) types of data to load: Application Data, and Business Data (and skin data, when available). The one-time-load is handled by a series of sql scripts, and loaded by the Ops team.

The nightly, or batch loads are handled by the Ops team, using an batch script job scheduler. *The new system automatically loads all designated scripts at a defined interval, and generates notifications for unbalanced portfolios, build breaks, and etc.* **(reword - beth)** *The Load Customer Data page is owned by Andrew Anderson and the Ops team.*

Purpose

The purpose of this step is to load Customer Data; to take the customer space from containing only Finaplex generic Seed Data, through loading Application Data and making any changes to the s1eed data requested, loading historic data, and loading day over day data.

In this step, the batch driver and scheduler are prepared and run.

Requirements

Prepped scripts from PortMan and DataC teams (Step Five), and any associated support files.

Deliverables

A fully functional Customer space, ready to be configured (as defined in original contracts) for delivery to QA.

Kit of Parts

- [One-Time Database Configuration](#)
    - ° Describes scripts used to modify dB config and load CMA file, PortMan Data, and Questionnaires
- [Day0 Load](#)
    - ° Describes day0 load process, including Pershing and Morningstar load
- See also Jesse Chen's [ADP_IT_Guide](#).

OneTime Load - load "static" data

	Item	Description	Comments	Owner	Source	Status
	Load Application Data	use designated scripts to load CMA, PropGen, etc.		**Ops**		
	Load Proposal Generation Data			**Ops**		
	Load Investment Stragegy Questionnaire	load data from the questionnaire	SQL script	jerry	.../fwmgb/databases/FWM/oracle/450-pro see also: [Seed Data.doc](#)	
	Load custom skin items	boilerplate, customer specific graphics, etc.	basically a drag-n-drop proposition	JochemG	[Change Look and Feel](#) Wiki	who loads this?
	load any required data that cannot be entered through Admin tool			**who loads these?**		

Nightly Loads

NB: I separated data prep from data load. You should only need to 'prep' the data once: for the staging server. once you get the kinks in that worked out, you simply load the data for the live server. It's two separate steps.

the **TranIntegration tab** in [fplx_pershing_draft_mapping.xls](#) is a good diagram of the pershing data loading sequence

- could we get someone to draw something like this that diagrams the FOnD database and load structure/sequence?

	Item	Description	Comments	Owner	Source	Status
	Load Business data	1) historical, 2) day0, 3) day over day	i think load belongs to DBA - DataC provides DBA with the scripts and sequence for load, but DBA runs (and owns) it. **check this.**	Aimee/DataC?		
			it's a really good idea to backup data and schema after each step, so that they may be restored if the next step breaks it.			
	Batch Load Scripts	how to run: Batch Driver - How To Run overall design and how to modify: Batch Driver - Design	ProcessingDesign is very specific, and seems very complete. could use a little overview at the beginning: batch loads include... HowToRun is another good piece - i think with a few missing bits, Paul's wiki pages describe the entire process.	Paul VC / Alan Hertrick	Batch Driver - How To Run Batch Driver - Design	🙂
	Data Mapping Review & Testing	Validate mapping, then run week of data	This is historically DataC's responsibility, but here, i'm not sure who	Aimee/DataC? QA?		

			owns it, might be DataC, might be QA after the DB is loaded			

Main : Configure DB for Customer Specific day0 Load

This page last changed on Oct 20, 2006 by vsood.

This page describes how to load customer specific static data to the DB before day0 load.

Changes in the demo4 database before running DAY 0 load: (configure standard dB to customer specs, and load customer static data)

- CMA (Capital Market Assumption) tables FM_AST_PIE, FM_AST_SLICE, FM_MATRIX and FM_MATRIX_ROW inserted with records from demo5 (staging server).
- Created table FB_PRS_AST_CLS_MAP_DBAB in demo4 using the same schema and table values of the same from demo3 (main database)
- Updated the values of class_cd in table FB_PRS_AST_CLS_MAP_DBAB from the spreadsheet with correct classification (provided by Keith Pituley).
- Modified stored proc - INITIALIZE_CLS_DFLTS_DBAB

1. a. Changed the instr_cat_cd values 'level 1', 'level 2', 'level 3' to 'COARSEASTC', 'ASSETCLASS', 'MARKET-CAP', 'INDYSECTOR', 'INVSTSTYLE'. (as per customer CMA file and for additional level of classification)
   b. Inserted the instr_master_id and instr_class_id within the insert statement to FD_INSTR_CLASS_MAP for the above 5 instr_cat_cd categories.

- Copied stored proc - UPD_FD_INSTR_CLASS_MAP from demo3 to demo4. (the proc from main database was copied onto demo4 - FRB database)
- In table FD_INSTR_CLASS, droped the records with instr_cat_cd as 'COARSEASTC' and 'ASSETCLASS' and inserted the records for the same from demo3. Also, changed the instr_class_id values in sequential order (i.e. 201, 202,203,....217) for 'ASSETCLASS'.
- In table FD_INSTR_CLASS, the following labels were changed:

1. a. Balanced Mutual Funds ---> Mutual Funds
   b. Equity Mid Cap Value ---> Equity Mid Cap
   c. Equity Small Cap Value ---> Equity Small Cap
   d. Equity Large Cap Value ---> Equity Large Cap

NOTES:

- The '*.sh' scripts in ../opt/target/batch/bin should have executable permissions, so while doing the core build the scripts should be deployed with executable permission.
- In **fwmbatch.properties** located in $home/opt/target/batch/bin; make sure the DEV environment has been set properly. I.e. it should point to the database where the Data is to be loaded.

Main : Day0 Load

This page last changed on Oct 20, 2006 by ewright.

Step 1: Load Data (Run DAY0_LOAD)

- Make sure the datafiles for loading the data are present, and note of their location (located in /data/home/frb-production/DAILY20060902).

1.
   a. ACTV.20060902.txt
   b. BACT.20060902.txt
   c. CUST.20060902.txt
   d. DESC.20060902.txt
   e. FUND.20060902.txt
   f. INSTN_TEST.txt
   g. ML2K.20060902.txt
   h. NADD.20060902.txt
   i. NAFL.20060902.txt
   j. NCHG.20060902.txt
   k. ORDS.20060902.txt
   l. PPES.20060902.txt
   m. TRDE.20060902.txt

- Open template_file_locations.txt located in - $home/opt/target/batch/bin/driver/ and set DATA_FILE_PATH_PERSHING = 'the location of the data files' (i.e. located in /data/home/frb-production/DAILY20060902)

- Go to $home/opt/target/batch/bin/driver/ and open test.sh and edit the parameters to run batchdriver.sh for DAY0 load, as shown:

  ./batchdriver.sh \

  -p 20060902 \

  -d 09/01/2006 \

  -c 2006-09-01 \

  -f /data/home/demo4/opt/fwmgb \

  -P DEV \

  -t DEMO_DAY0

- Execute the following command:

  $> **./test.sh > monitor_day0**

Step 2: Run Babel Script (for Pershing)

- Store the datafiles related to babel scripts and take note of the location (/data/home/demo4/opt/target/batch/)

1. a. INSTN_TEST.txt
    b. NADD.20060902.txt
    c. NAFL.20060902.txt
    d. NCHG.20060902.txt

- Open template_file_locations.txt located in - $home/opt/target/batch/bin/driver/ and set DATA_FILE_PATH_PERSHING = 'the location of the data files' (i.e. /data/home/demo4/opt/target/batch/)
- Open master.sh located in $home/opt/target/batch/bin/generic-bi/babel_scripts and ensure the following things:
    1. The dates in the file name matches with the file names of the datafile
    2. The location of the datafiles is mentioned correctly in master.sh
- Following are the list of changes we have made before running Master.sh (some changes will be a part of main schema built - decision pending!!!)
    1. We copied master.sh into in $home/opt/target/batch/bin/generic-bi/babel_scripts
    2. The Master.sh file has been modified with day0 processing date as 09/01/2006 (NOTE: the slash is required otherwise the chopper and mapper wouldn't execute)
    3. Also, the data file names have been changed (ex. /data/home/..../batch/NAFL.20060902.txt and the dates within these files are 09012006). The file names have also been changed in Master.sh.
    4. We asked the FPX RELEASE team to copy the control files from Elevator Action Tag "TAG-06_15_00--2006-08-29-21-30" into ../fwmgb/src/batch-data-source/data_loader_ctl_files/PERSHING in demo 4 (they didn't exist previously in demo4). (copied latest build release control files to staging server.)
    5. Make sure xls files exists in ../opt/fwmgb/src/batch-data-source/configs_xls/PERSHING

- ° - PERSHING_CODEMAPPING.xls
    - PERSHING_FORMULAS.xls
    - PERSHING_PATTERNS.xls
    - PERSHING_SOURCE_COLUMNS.xls
    - PERSHING_grouping.xls

- *# Make sure config loader files exists in ../opt/fwmgb/src/batch-data-source/config_loader/PERSHING

- ° - load_pershing

- **# Run *./deploy.sh PERSHING** from ../target/batch to copy the files from ../fwmgb/src/batch-data-source/data_loader_ctl_files/PERSHING to ../target/batch/bin/generic-bi/data_loader_ctl_files
    1. Next, run **./LoadAllConfigs.sh PERSHING** from ../opt/target/batch/bin/generic-bi/babel_scripts
    2. Run **./master.sh**

Step 3: Run the Procs (in demo4 (staging server) for customer specific asset

classification)

- Truncate table FD_INSTR_CLASS_MAP
- Run proc: INITIALIZE_CLS_DFLTS_DBAB
- Run proc: UPD_FD_INSTR_CLASS_MAP
- **NOTE:** INITIALIZE_CLS_DFLTS_DBAB - The proc selects v_instr_class_id of 'Others' for each of the 5 instr_cat_cd (COARSEASSET, ASSETCLASS, MARKET-CAP, INDYSECTOR, INVSTSTYLE) from FD_INSTR_CLASS. Next, it selects all the instr_master_id which are present in FI_INSTR_MASTER but not in FD_INSTR_CLASS_MAP, and classifies these instr_master_id with v_instr_class_id of 'Others' for each of the above instr_cat_cd, in FD_INSTR_CLASS_MAP.

Step 4: Load Morning Star (Run MSTAR_LOAD)

- **NOTE:** Before running Morning Star by passing MSTAR_LOAD as a parameter to ./batchdriver.sh we have to make sure that we have mentioned the correct location of Morning Star datafiles in file_locations.txt. file_locations.txt is created from template_file_locations.txt in the same directory while running DAY0_LOAD. To ensure the correct path is loaded, we have three options:
  1. Mention the location of Morning Star datafiles before running DAY0_LOAD in template_file_locations.txt (as the location is copied into file_locations.txt from template_file_locations.txt)
  2. Once DAY0_LOAD is complete we can modify file_locations.txt with the correct path of Morning Star datafiles
  3. Modify the method get_data_provider_path( ) within batch_include.sh (located in opt/target/batch/bin/include/) to look for location of datafiles from template_file_locations.txt instead of looking from file_locations.txt.
- **Changes made to the scripts:**
  1. In batchdriver_functions.sh (located in opt/target/batch/bin/driver) within method load_mstar_data( ) comment out all the syntax which load csfb.txt.
  2. In bi_batch_mstar_load.sh (located in opt/target/batch/bin/morningstar) within load_mstar( ) change the FILE_EXT for 'elif' condition of 'PORTFOLIO' to Portfoli, as shown:

```
        local FILE_EXT=portfoli           //before

        local FILE_EXT=Portfoli           //after
```

- Run Morning Star by passing MSTAR_LOAD as parameter to test.sh (shown in step 1)
- Edit test.sh to: -t MSTAR_LOAD

Step 5: Run RECON

- Run Morning Star by passing RECON as parameter to test_recon.sh (shown in step 1)
- Edit test.sh to: -t RECON

This page last changed on Aug 09, 2006 by ewright.

Step Seven - Configure Customer Workspace (Ops)

The next step, after customer data is loaded, is to configure the customer workspace. This step will change as the FOnD product evolves, but, for now, it includes: (minor) configuration customizations, as defined by marketing in the Acquire Customer stage of the process; first step Admin tool processes, such as setting up the first users and admin; and first-stage scripted configurations, such as mapping accounts to advisors. As FOnD evolves, and becomes more exclusively an out-of-the-box solution, this page should disappear. *For now, the Configure Customer Workspace page is owned by Keith Pituley and the* **Unknown Ops team.**

What options does FOnD allow the customer to specify/configure? That is, what three flavors does FOnD offer? ("Configuration" should be distinct from "Customer Data:" the first is changes to the working interface; the second is customer specific data.)

NB: For now, this goes here, because there is still come configuration being done inhouse. In the future, this will go after GoLive date, and even disappear from this list, as it should be done by the Customer.

Purpose

To provide any "customizations" listed in the original scope of work contract, which may not yet be configured using the Admin tool. This may include setting up the first Admin, loading the customer's advisors and a script which maps them to their existing clients, and any other minor administrative work which cannot be accomplished on the customer side.

Requirements

Customer data loaded.

Deliverables

A fully loaded and configured customer space, ready to be tested by QA both for content, and for functionality and look and feel. Customer instance loaded, configured, and running as specified in the contract.

Kit of Parts

	Item	Description	Comments	Owner	Source	Status
	Configuration Options	The list of product features that may be		KeithP: what can be configured today; Tony:		KeithJ has requested list of configs.

		configured here, in-house, by flipping an existing switch in the product. This does not include items which require custom engineering work.		what's been configured for Professional services clients; Ramesh: ***XXX***		requested 14july
	map accounts to advisors	Aimee does the first rough load that includes the registered rep number and the relations to the accounts. More details of what other data we need to load is being documented by either keithP or Gary.	this is only here temporarily, until admin tool works	aimee / KeithP		
		document what other advisor info is needed for the app to operate correctly		KeithP, Gary, Kush, Dhivya		
	Admin Tool configuration options	The list of product features configured using the Admin interface - this is either an in-house process, or a user manual.	this should be a TOC for the Admin Guide	KeithP	AdminConfigure	***requested 14july*** ongoing

	Scripted configurations	list of configurations that require some in-house work beyond 'flipping a switch.'	this should point to all the necessary scripts	KeithP		requested 14july
	Security Customization	tax ID encryption, proof of state and federal compliance	open question that belongs elsewhere - in fact, not in this doc. it's a product question, not a customer question			this is always a custom process, so far. needs to be discussed, standardized, implemented, then removed from this list
	Archiving Requirements	Does Finaplex provide storage for customer-generated reports? What happens if they want to store them onsite? Is automating onsite storage an option?	this item needs to be decided, then mapped into the UI, and removed from this list	more importantly, what are finaplex archiving limitations - do you allow the database to grow indefinitely?		TBD

This page last changed on Aug 04, 2006 by ewright.

Step Eight - Test Customer Instance (QA)

Who is responsible for QA for this product?

- **These tests occur twice - once on the staging site; and once on the goLive site. Two sets probably match exactly.**
- **who will be responsible for FOnD QA? is it professional services? DataC team? or Harry's team?**
- **Finaplex needs a set of NON-CLIENT-SPECIFIC internal test data**

Once the customer workspace is up and running, configured, loaded with data and ready to go, it is tested. The QA team will define and run a new customer specific set of tests to make certain that the given instance is working properly. These tests are not designed to test the core product, nor are they designed to test the data load itself (which is tested as it is loaded), rather, they are meant to test whether the customer workspace is up and running correctly, that it appears as it should, that it acts as it should, that it is accessible as it should be, and that it feeds back into its own workspace as it should. This process needs to be defined by the FOnD Product Manager, its Business Analyst, and its QA team, none of which have yet been defined. *The Test Customer Space page is owned by an **Unknown QA team**.*

Purpose

The purpose of testing the product is to certify it for delivery to the customer.

Requirements

Customer workspace fully loaded and configured as per contract.

Deliverables

Customer Workspace running and approved by QA and Product Manager for delivery.

Kit of Parts

Testing sequence checklist for every new customer install - black box and white box.

	Item	Description	Comments	Owner	Source	Status
	QA Boundary Interface			QA		
	QA Completeness			QA		

	of load					
	QA App performance			QA		
	Days 0-5 load			QA		
	checklist for internal testing			QA		