EXTERNAL USERS GUIDE

Monitoring, Analysis, Registration, and Trading Smart System of Government Securities (SMART) in Ministry of Finance

Document changes history

Date	Version	Description	Author
23.03.2023	1.0	First version of the document	IO JSC Team
08.06.2023	2.0	An updated version of the document regarding changed requirements for external user passwords	IO JSC Team

CONTENTS

I.   INTRODUCTION

This "User Guide" describes the process of submitting a notification of a net short position and submitting a request for cancellation of incorrect notifications through the external SMART portal designed for external users. The public interface is bilingual - in Bulgarian and English. Any user with a valid email can register in the public interface.

II.   TERMINOLOGICAL DICTIONARY

| Abbreviation	Description
IO JSC	Information services JSC
IS	Information System
AD	Active Directory
SMART of GS	Monitoring, analysis, registration, and trading system of government securities
FSC	Financial Supervision Commission
MF	Ministry of Finance

III.   REGISTRATION AND LOGIN TO THE SYSTEM

The system is web-based and is started through a browser **(Internet Explorer, Mozilla Firefox, Google Chrome)**, and is available at the following address:

test environment: https://smart-portal-test.minfin.bg/

production environment: https://smart-portal.minfin.bg/

After the page is loaded, an external user registration screen is displayed in the external SMART portal. The public SMART portal is bilingual. The user can choose between English and Bulgarian. In the upper right corner of the screen, before starting registration, the user selects the icon (with a flag image) with a drop-down menu for language selection:
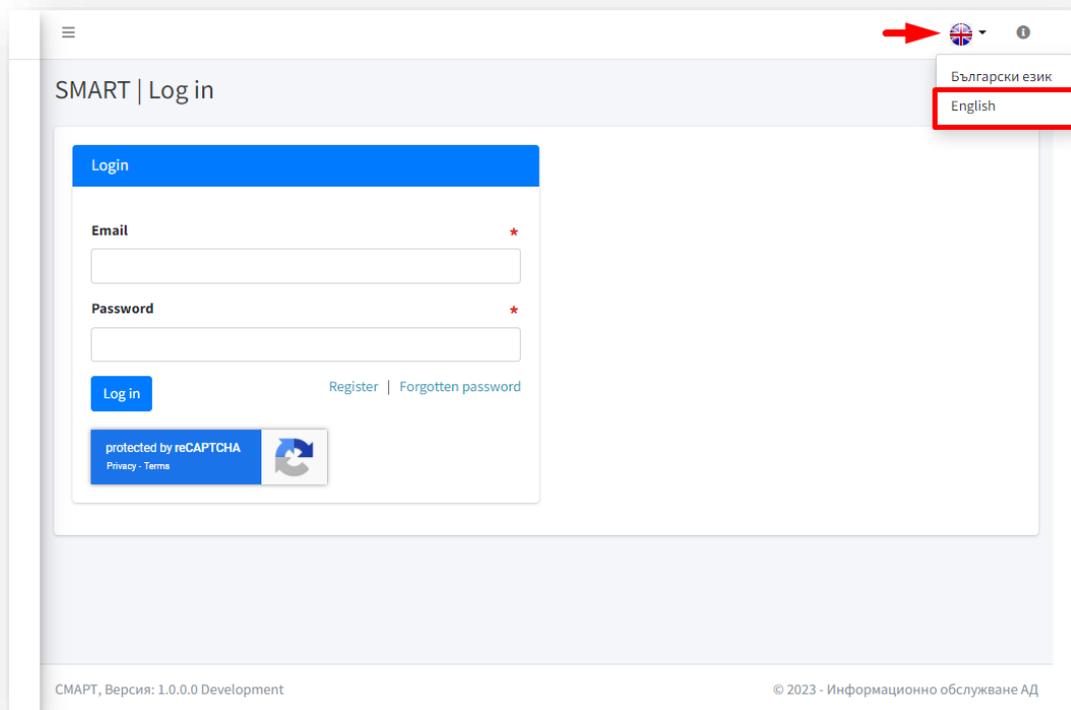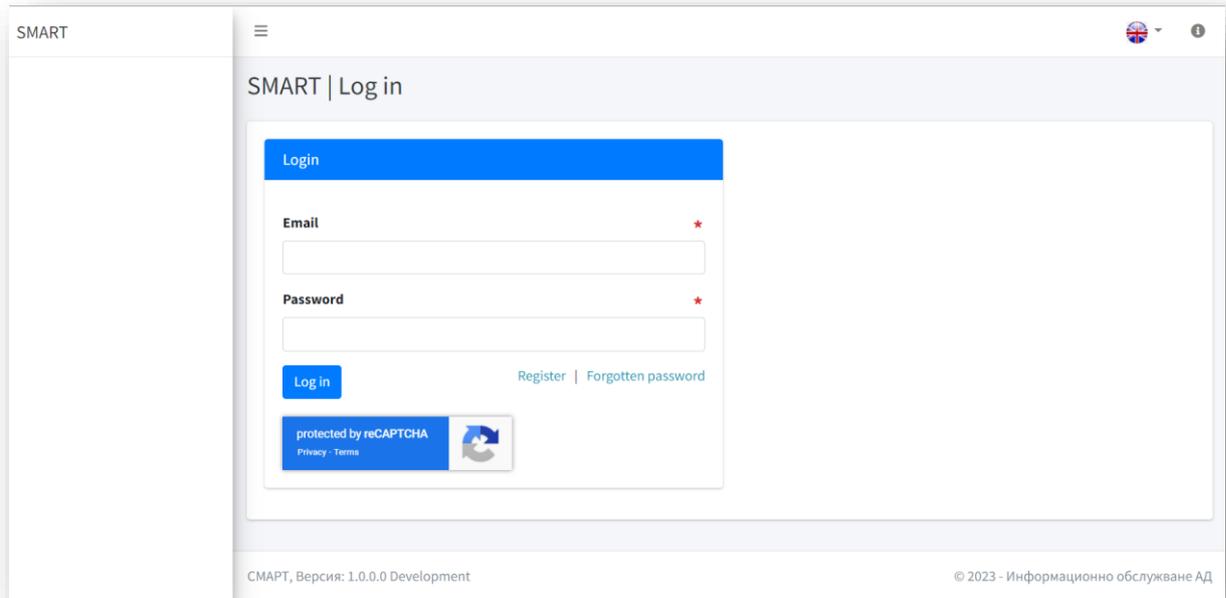
1. Registration

In order for an external user to access the SMART external portal, it is necessary to register by following these steps:

Step 1: Enter the address https://smart-portal.minfin.bg/ in one of the following browsers (Internet Explorer, Mozilla Firefox, Google Chrome).

A screen for accessing the SMART external portal will be displayed.

Step 2: Select the "Register" button.
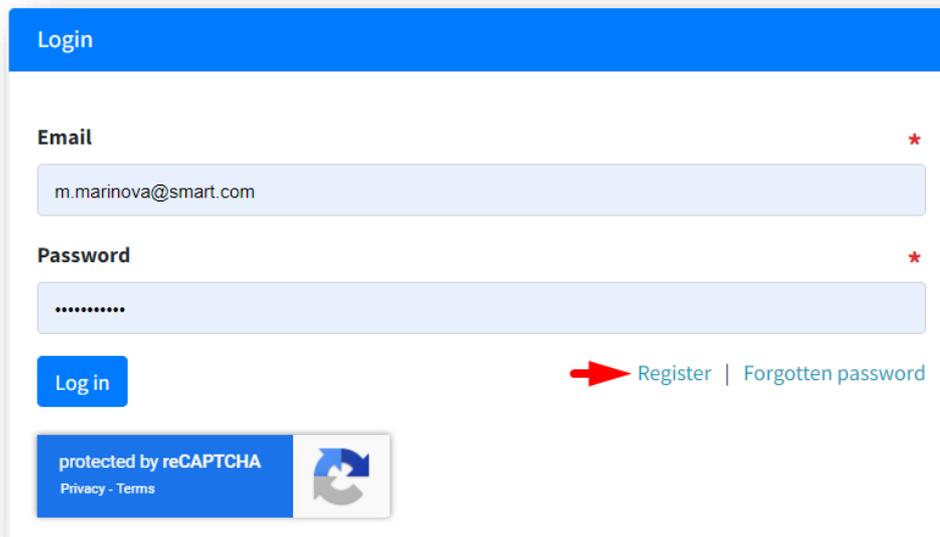
Step 3: Enter the user's basic information in the empty fields.

- ❖ Full Name - first and last name;
- ❖ Email - valid email address;
- ❖ Password - the password must contain at least eight characters, one uppercase letter, one number, and one symbol;
- ❖ Confirm password - enter the same password again.

Step 4: After filling in all the data, select the "Save" button.
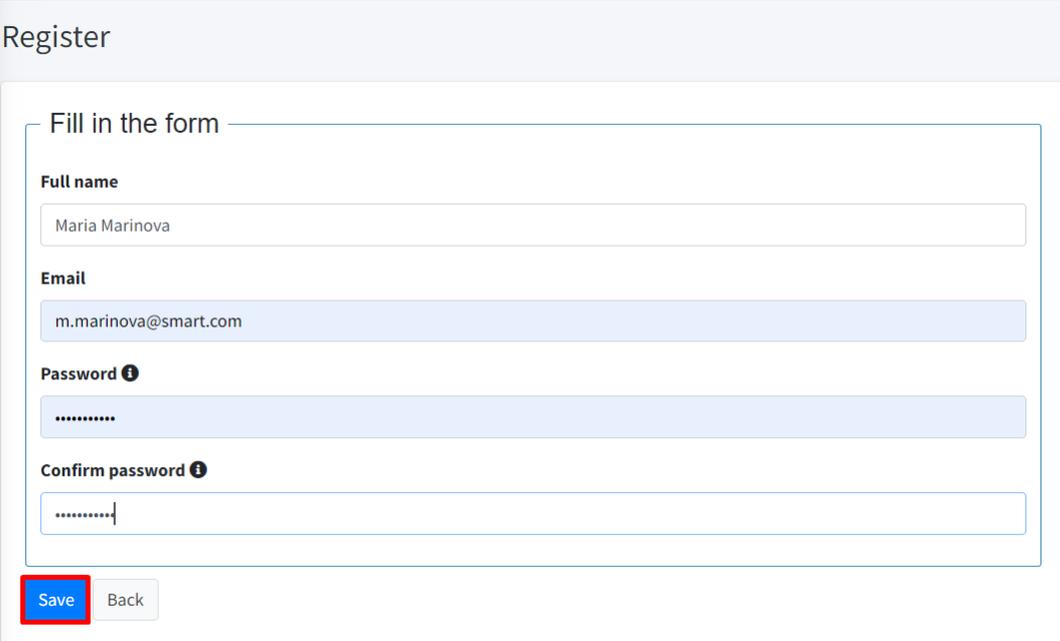
Note: If the "Back" button is selected, the system will return the user to the previous screen (SMART | Log in).

Step 5: If the user registration is successful, a notification/message "Record saved successfully" will appear in the top right corner of the screen, and the system will return the user to the initial login screen of the external portal of SMART.

2. Login

Access to the external portal of SMART is achieved by entering the required fields: a valid email and password with which the user is registered. After entering the data, select the "Login" button.

After successful login to the public interface of SMART, the initial screen is loaded, which provides the opportunity to submit a notification regarding a net short position and/or to submit a request for cancellation of incorrect notifications.

Note: In case of a forgotten password, select the "Forgotten password" button.
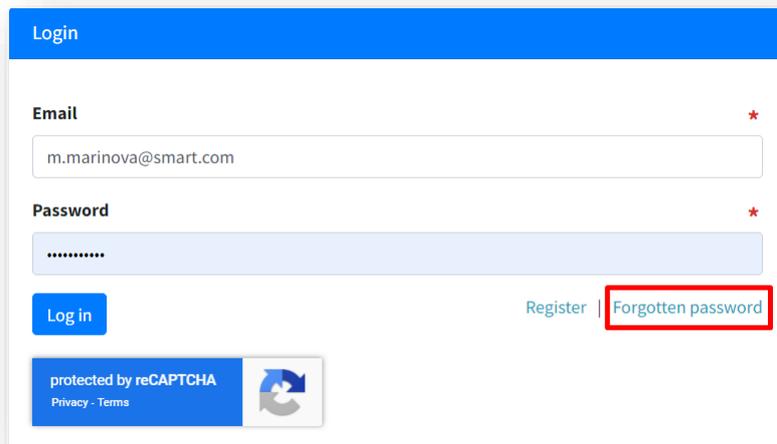
SMART loads the **password change screen**. In the empty field "Email", the user enters the email address with which they are registered and selects the "Save" button.
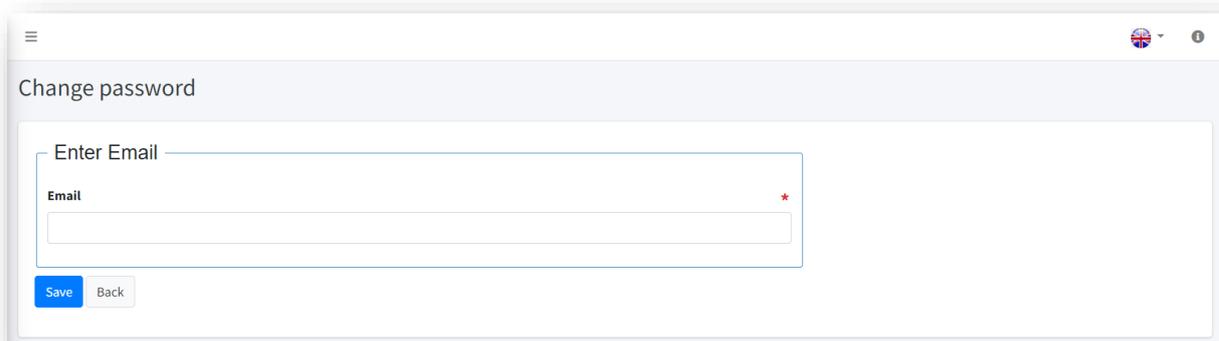
The system sends an automatic email to the user with a link to reset the password. If it is not found in the primary inbox, the email may be received in one of the other sections, such as "Spam".

Note: When selecting the "Back" button, the system returns the user to the previous screen for "Login to the system".

IV.   PUBLIC INTERFACE

After successfully logging into the public interface of SMART, the main screen displays an electronic table with all notifications and requests submitted by the user up to that moment. The following data is visible in the table:

Table columns:

- ❖ **Entry №** - the entry number of submitted notifications/applications;

- ❖ **Holder** – position holder;

- ❖ **Type** - application/notification;

- ❖ **Submission date** - date of submission of notification/application;

- ❖ **State** - status of notification/application:

  - **"Draft"** – a new notification/application form is entered into the portal but not submitted to SMART;

  - **"New"** - sent application/notification form to SMART, but not yet processed;

  - **"Rejected"** – rejected notification;

  - **"Validated"** – processed and confirmed by an internal SMART user;

  - **"Cancelled"** – cancelled notification.

- ❖ **Actions**:

  - **"Edit" Button:**

When filling out a form for a new notification/application, if the user has selected the "Save" button at the end of the form, the notification/application is saved and displayed in the list table on the user's profile home screen as a "Draft" and is not submitted to SMART for validation. At the end of the respective row of data for the application, **"Edit" button** is displayed. Through this button, the user can edit the application/notification before submitting it to SMART.

- **"Review" Button:**

The **"Review" button** - when filling out a form for a new notification/application, if the user has selected the "Save and Submit" button at the end of the form, the notification/application is sent to SMART for validation and displayed in the list table on the user's profile home screen as "New". At the end of the respective row of data for the application, the "Preview" button is displayed. Through this button, the user can preview the data they have filled out in the submitted application/notification.

Filter and tools: On the left above the electronic table, a horizontal menu is displayed with the possibility to choose between 5 tools, 3 of which contain a hidden drop-down menu. On the right above the table, there is a "Filter" field with the ability to search by a keyword. Above the table there are fields for filtering user-created notifications - from date to date ("From Submission date", "To Submission date").
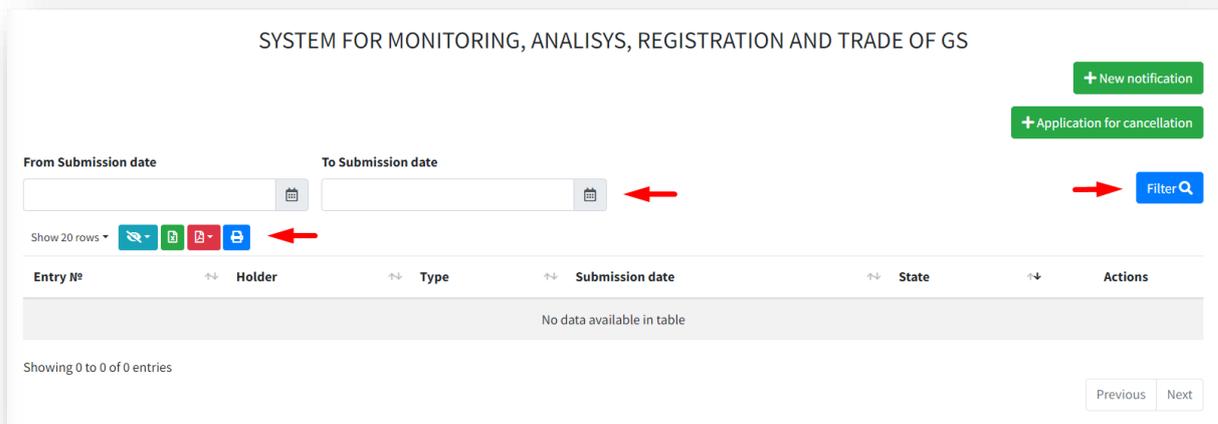

The "Rows" button allows the user to reorganize the table, and they can choose an option between 10 rows, 25 rows, 50 rows, 100 rows, or "Show all" data to be visualized on one page. For example, the user can select the "10 rows" option from the dropdown menu.
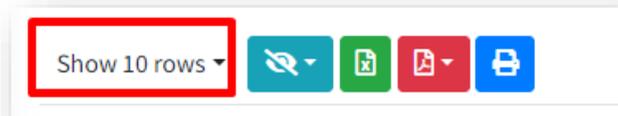
Automatically, the table will display results from 1 to 10, and the remaining content of the table will be visible on separate pages, with 10 results on each page.

The "Visible columns" button allows for filtering of the data in the table according to set criteria, which data should be visible in the electronic table and which data should be hidden. When selecting a criterion from the dropdown menu under the "Visible columns" tool, the data according to the chosen criterion and the corresponding column with the available data will be hidden from the table.

For example, if we choose the "Entry number" filter from the dropdown menu under the "Visible columns" button, all data under the "entry number" filter will be hidden, and the electronic table will have one less column.
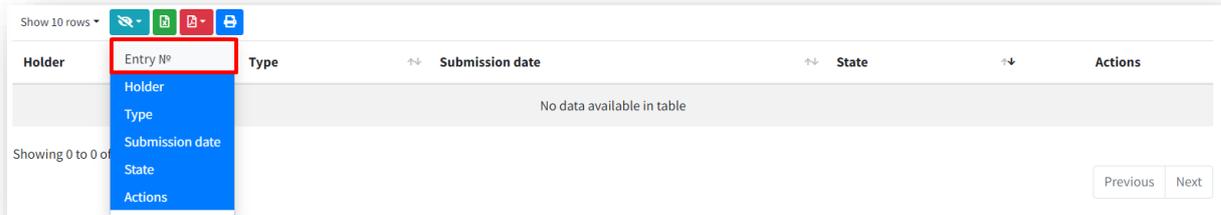
The „Excel" button is for downloading locally visible data from the electronic table in .xls format.

The "Pdf" button is for downloading locally visible data from the electronic table in .pdf format.

The „Print" button is for printing the visible data in the electronic table visible on the screen.

1. Submit new notification.

The public interface of SMART provides the possibility to submit notifications/applications using a template by filling in electronic forms.

To submit a new notification for net short sales, the user needs to follow these steps:

Step 1: Upon successful login to the public interface, select the "New notification" button in the upper right corner of the screen.
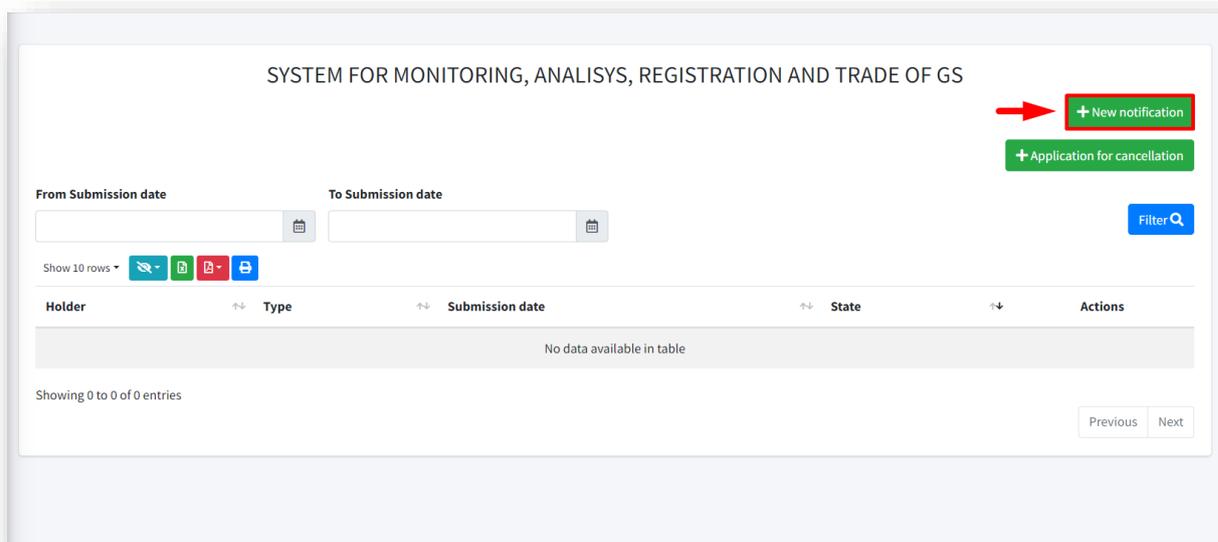
A new screen is loaded with data from the notification form regarding net short positions.

Submit new notification

Position holder

First name
Marina

Last name
Marinova

Full company name
Jura JSC

BIC code
CQLLGB21

Country ★
United Kingdom ▾

Address ★
113-117 Oxford Street, London

Contact person

First name ★
Marina

Last name ★
Marinova

Phone number ★
+442072016900

Fax number

Email ★
jurajsc@jura.com

Reporting person

First name

Last name

Full company name

Country
Choose ▾

Address

Contact person

First name

Last name

Phone number

Fax number

Email

Step 2: Fill in the required data in the respective sections and fields.

Submit new notification

Sections:

❖ **Position holder:**

Fields:

Note: "Mandatory fields are marked with an asterisk (*)"

✓ First name;

✓ Last name;

✓ Full company name;

✓ BIC code (if the holder has one) - optional;

✓ Country * - selected from a dropdown list;

✓ Address *;

❖ **Contact person:**

    Fields:

✓ First name *
✓ Last Name *;
✓ Phone number *;
✓ Fax Number;
✓ E-mail address *.

❖ **Reporting person (if different from position holder):**

    Fields:

✓ First name
✓ Last name;
✓ Full company name;
✓ Country - selected from a dropdown list;
✓ Address.

❖ **Contact person:**

    Fields:

✓ First name;
✓ Last name;
✓ Phone number;
✓ Fax number;
✓ E-mail address.

❖ **Net short position in sovereign debt:**

    Fields:

✓ Position date – date selected from a calendar;
✓ Country – selected from a dropdown list;

❖ **Net short position after threshold crossing:**

    Fields:

✓ Threshold;
✓ Equivalent nominal amount;
✓ Date of previous notification – date selected from a calendar;
✓ Comment - a freely filled text field.

❖ **Position in uncovered sovereign credit default swaps:**

    Fields:

✓ Position date – date selected from a calendar;

✓ Country – selected from a dropdown list;

❖ **Net short position after threshold crossing:**

Fields:

✓ Threshold;

✓ Equivalent nominal amount;

✓ Date of previous notification – date selected from a calendar;

✓ Comment - a freely filled text field.

❖ **Attachments** – after saving the completed notification/application using the "Save" button, the "Attachments" section with the "Upload file" button appears on the screen for attaching one or more documents.
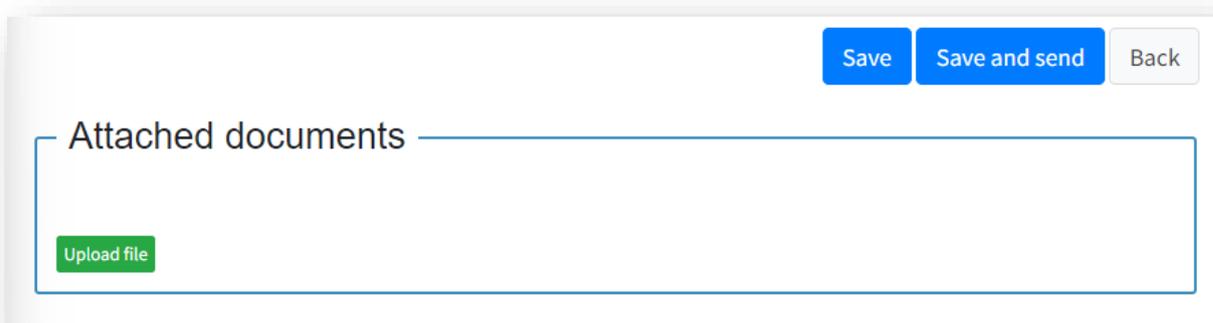
❖ **Actions:**

✓ **Clicking on the "Save" button** - saves the notification without submitting it to SMART.

✓ **Clicking on the "Save and send" button** - saves the notification, generates an entry number and submits it to SMART.

✓ **Clicking on the "Back" button** - takes the user back to the previous screen.

Step 3: Click on the "Save and send" button - Saves the notification and submits it to SMART. The data is saved successfully and is displayed as "New" on the user's notification screen with an entry number.

The "Save and send" button is selected - it saves the notification and sends it to SMART.

The data has been successfully saved and is displayed as "New" on the user's notification screen with an entry number.

After submitting a new notification, the data will be available in SMART and accessible to internal users.

The data from the received notifications/applications will be verified by an internal user of SMART, and the accepted notifications will be automatically entered into the Register of short sales.

2. Submit application for cancelation

Step 1: To submit a cancelation application through the public interface, select the "Application for cancellation" button located in the top right corner of the screen.

A new screen is loaded with data from the form for submitting a request for cancelation of net short positions.

Submit application for cancellation

Position holder

First name

Last name

Full company name

Jura Jsc

BIC code

CQLLGB21

Country *

United Kingdom ▾

Address *

113-117 Oxford Street, London

Contact person

First name *

JOHN

Last name *

Peeters

Phone number *

+442072016900

Fax number

Email *

jurajsc@jura.com

Reporting person

First name

Last name

Full company name

Country

Choose ▾

Address

Contact person

First name

Last name

Phone number

Fax number

Email

Step 2: Complete the form:

<u>**Submit application for cancellation**</u>

Sections:

❖ **Position holder:**

> **Fields:**
>
> <u>**Note:**</u> "Mandatory fields are marked with an asterisk (*)"

- ✓ First name;
- ✓ Last name;
- ✓ Full company name;
- ✓ BIC code * (if the holder has one);
- ✓ Country * – selected from a dropdown list;

✓ Address *.

❖ **Contact person:**

Fields:

✓ First name *;

✓ Last name *;

✓ Phone number *;

✓ Fax number;

✓ E-mail address *.

❖ **Reporting person (if different from position holder):**

Fields:

✓ First name

✓ Last name;

✓ Full company name;

✓ BIC code (if the holder has one);

✓ Country – selected from a dropdown list;

✓ Address;

❖ **Contact person:**

Fields:

✓ First name;

✓ Last name;

✓ Phone number;

✓ Fax number;

✓ E-mail address.

❖ **Cancelled net short position in sovereign debt:**

Fields:

✓ Position date of the notification being cancelled – date selected from a calendar;

✓ Country – selected from a dropdown list.

❖ **Net short position after threshold crossing contained at the notification being cancelled:**

Fields:

✓ Threshold;

✔ Equivalent nominal amount;

✔ Comment.

❖ **Cancelled position in uncovered sovereign credit default swaps:**

    Fields:

✔ Position date of the notification being cancelled – date selected from a calendar;

✔ Country – selected from a dropdown list.

❖ **Net short position after threshold crossing contained at the notification being cancelled:**

    Fields:

✔ Threshold;
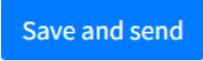
✔ Equivalent nominal amount;

✔ Comment.

❖ **Cancellation**:

    Field:

✔ Reporting date of the notification being cancelled – date selected from a calendar.
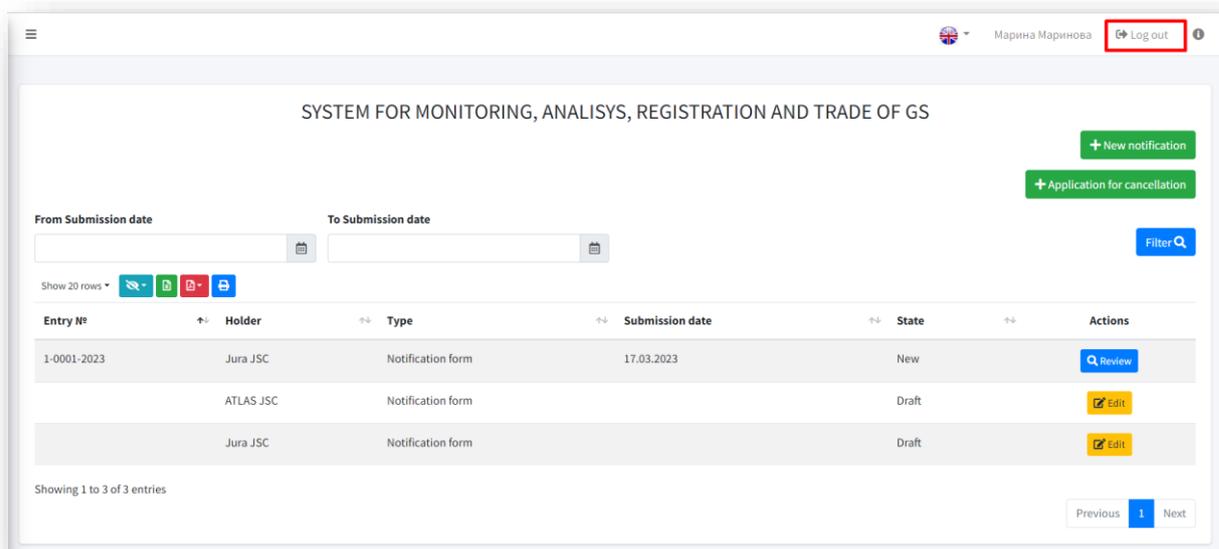
❖ **Actions:**

✔ **Selection of "Save" button** - saves the notification without sending it to SMART.

✔ **Selection of "Save and send" button** - saves the notification, generates an entry number, and sends it to SMART.
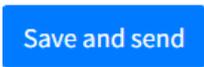
✔ **Selection of "Back" button** - returns the user to the previous screen.

Step 3: Select the "Save and send" button Save and send **- saves the notification and sends it to SMART.**

After submitting a cancellation request, the data will be available in SMART and accessible to internal users.

The data from the received cancellation request will be verified by an internal user of SMART, and the accepted cancellation requests will be automatically entered into the Short Selling Register.

Step 4: After finishing work in the system, the user selects the "Log out" button located next to their username in the navigation bar at the top of the screen.