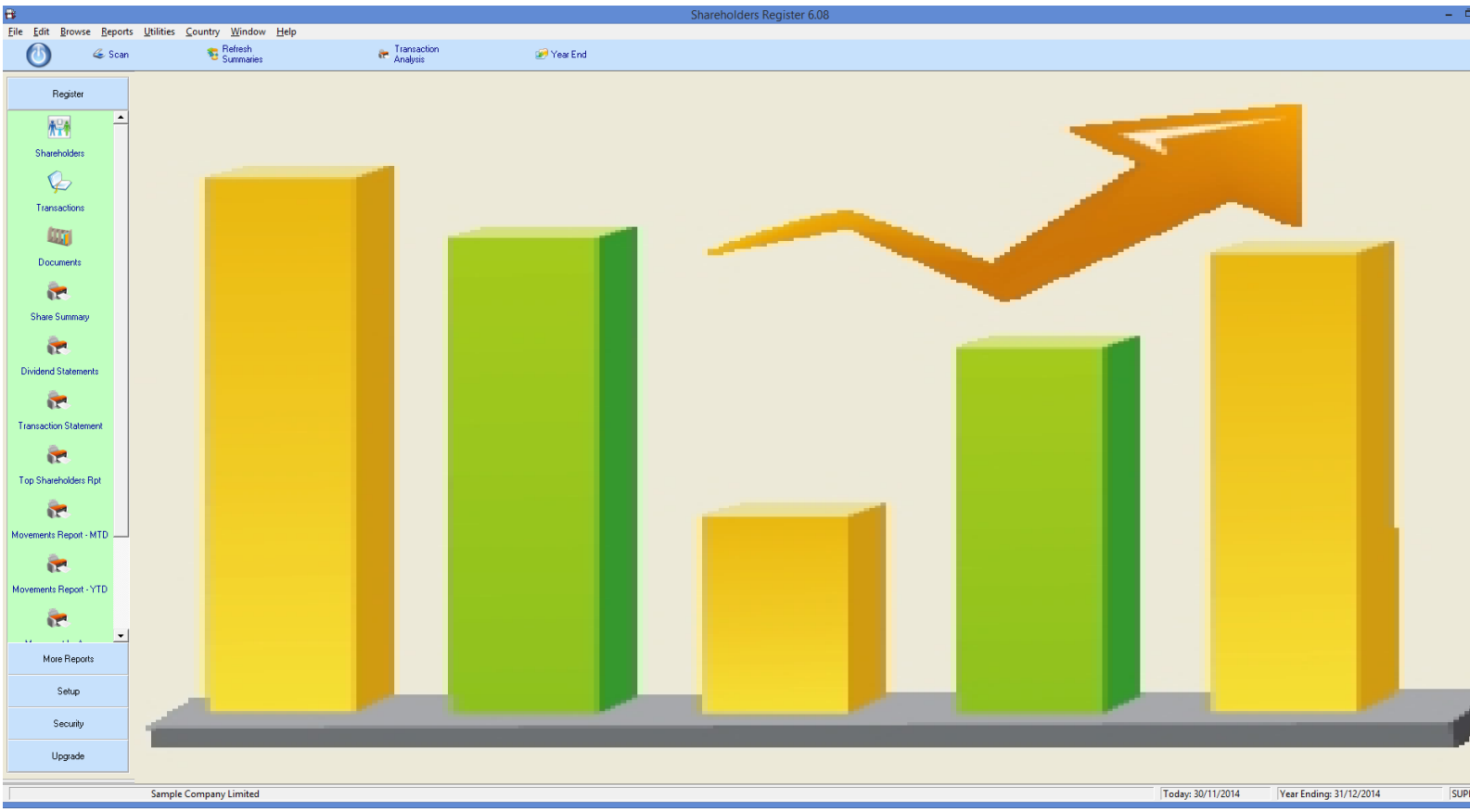
Shareholders Register 6.0



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Introduction to Shareholders Register

The Share Register software is the computerized version of the paper based system currently in use by many companies. We have tried to keep it as generic as possible so that it could be used in many countries and in many situations. Should you need a customized feature that is not available, it may be incorporated in the next release so feel free to email us at info@amblinsoftware.com

Some of the features of the software are given below:

1. Maintain your Shareholders listing in a master file with key data and also incorporating summarized as well as transactional details at a glance. All this information can be reported on from the view.
2. Maintain a document library for the individual shareholder as well as company wide. The attachments can be in pdf, gif, jpg, bitmap, word or excel format and can be invoked from within the application. If a scanner is attached to your workstation, scan documents and attach to library.
3. Ability to create your own custom share type. Some examples are “Ordinary”, “Preference”, “Redeemable” etc.
4. Ability to create your own customizable transaction type. Some standard transaction types are: “ALT” – Allotment, “DIV” – Dividend, “ISS” – Issue and “TRF” – Transfer.
5. Easily transfer existing employees to the shareholders database.
6. Use the in-built email generator to send out customized letters to the shareholders. It may be a dividend letter, a notice of AGM, Share Certificate etc.
7. Export your reports to 6 different formats including Printer, Excel, PDF, XML, TXT and HTML. Option to email PDF reports.
8. Print ID Cards for shareholders.
9. Print Dividend Cheques (3 x A4) and Share Certificates.
10. Import Shareholders, transactions and area codes from Excel .csv file
11. Export Shareholder information to Excel .csv file
12. Export Share Transactions by Date range to Excel .csv file
13. Calculate Imputation Credits (Franking) and Dividend statements
14. Movement KPI reports, MTD, YTD, Top Shareholders, by Geography etc
15. Process shares held in escrow and releasing them when expiry date is passed
16. MS Office integration enables you to send your data exactly as it appears in the browse to Printer, or File (HTML, Excel, Word, CSV or PDF) or email it directly.
17. Data Path independence. The executable can be local & data on the server.
18. Mail merging to email or printer using MS Word and MS Outlook.
19. Press <Ctrl F10> to change the text for reports, forms, windows either locally or globally.
20. All notes and comments fields now have spellcheck, just press F7 when you are in the field to invoke a suggested spelling change.
21. Copy Existing shareholder to new shareholder with a single click
22. With the new Client/Company structure it can be used for multiple business entities (Group companies / Bureau service).
23. Create Cemtext .ABA file for dividend payments. * Australian companies only.
24. Employee Stock options can be implemented via a reserved share type (“OPTIONS”) to be exercised as necessary.
25. Set up a user that only has viewing access to the register, and has no rights to change any information.

Let the “Shareholders Register” help you manage your shareholders. ***A great help for every company secretary!***

Starting Shareholders Register

Figure 1 - Select Client

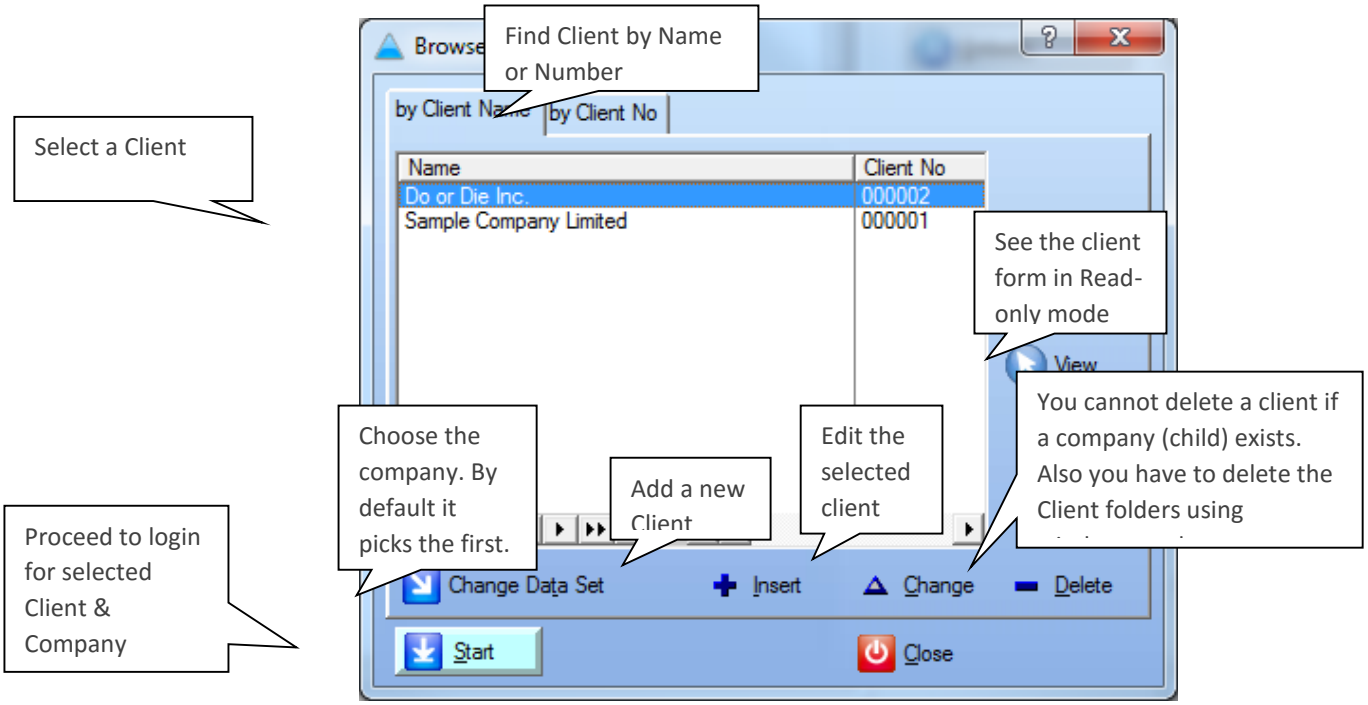
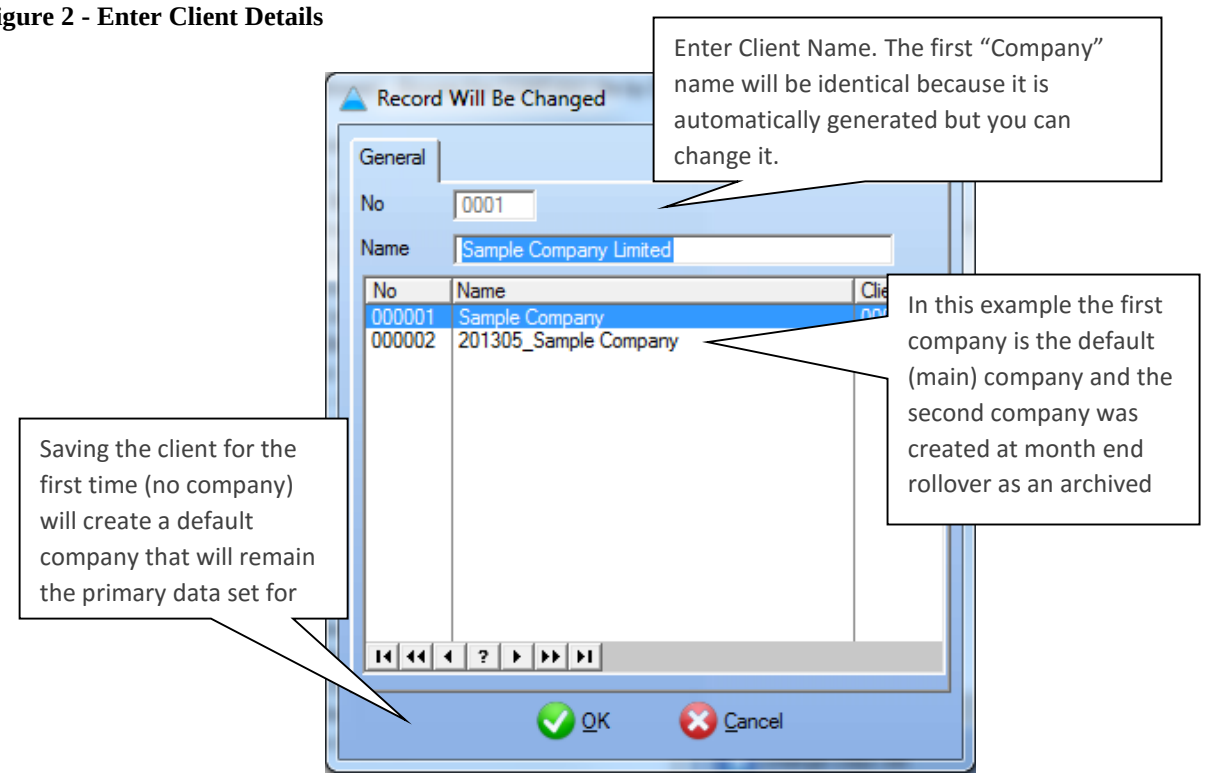
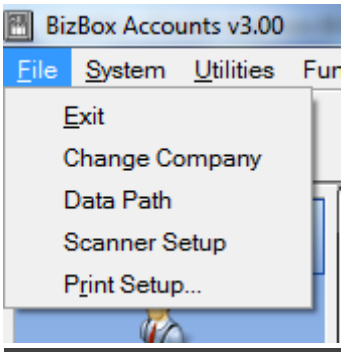


Figure 2 - Enter Client Details



The first time you create a client it will auto-create the default company data set. This means that it will create a folder 000x and a subfolder CO00000y where x is an incrementing digit up to 9999 and y is a number up to 999999. When you delete a company (not generally recommended) you will have to delete the folders manually using windows explorer.

File Menu Options



Change Company: Shareholders Register is multi-company so this allows you to switch to an archived, subsidiary or sister company easily.

Data Path: This option allows you a data independent path for those that like to separate data from executables on the server. Ideally what you would do is install the software on each client but point it to the data which would reside on a server. This is not an issue in a standalone environment.

Scanner Setup: Setup a scanner profile if you have a scanner attached. This is handy if you are scanning external documents into a location to be managed by the document manager. This location is the \Document" folder in the :Data Path".

Print Setup: The default printer is the one specified in Windows but you can change this at runtime if you wish as well as the printer properties. There are also two more printers which you can specify within BizBox. These are the label and packing slip printers which are chosen from the "Stationery Setup" option.

Function Menu Options

Scanned Documents: This option allows you to manage and manipulate scanned documents easily.

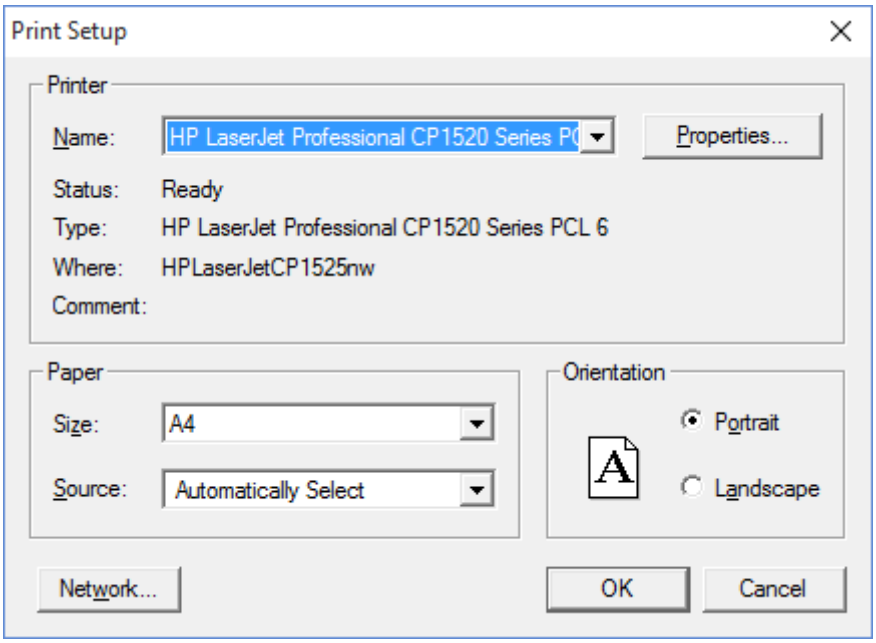
Document Library: Once you have scanned and saved the document you may want to add it to the document library for easy reference and retrieval. You may open it automatically with the related application eg, Excel for .xls, Word for .doc etc

Mail Merge 2 Email: The important files here are "MailMerge.doc" which is the merge document and "Data.csv" which is the source file. Also the email field in Data.csv **HAS** to be called 'EMAIL' (in the header). Have a look at the sample files. If you needed more than 1 mail merge file, create copies eg, MailMerge1,2.3 etc and then rename to MailMerge.doc before using.

Mail Merge 2 Printer: As above but with the merge going to a printer instead of a mail out.

Print Setup

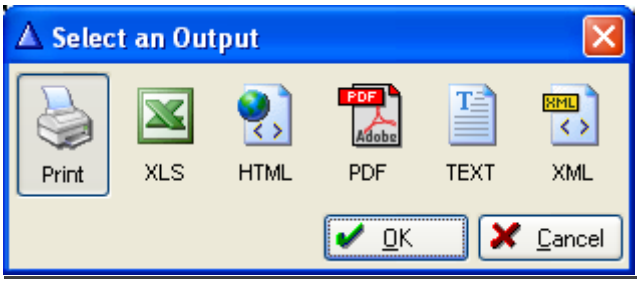
File >> Print Setup



The first thing you would do is set up the printer details if you are printing over a network. Choose a printer that is set for A4 sheet feeder as all the reports in the application are set for this. In addition all reports are previewed before being sent to the printer. Go to Properties if you need to change the number of copies etc. You can choose which pages to print on the File Menu of the print preview. After choosing the page range click on the Print icon.

When printing reports you may want to print a particular page and not the whole report. You can do this by going to File (after printing to screen) and choosing “Pages to print” and then inputting the page range eg, 1-3, 3-3, 5-6 etc. Then click on the printer icon to output those pages only.

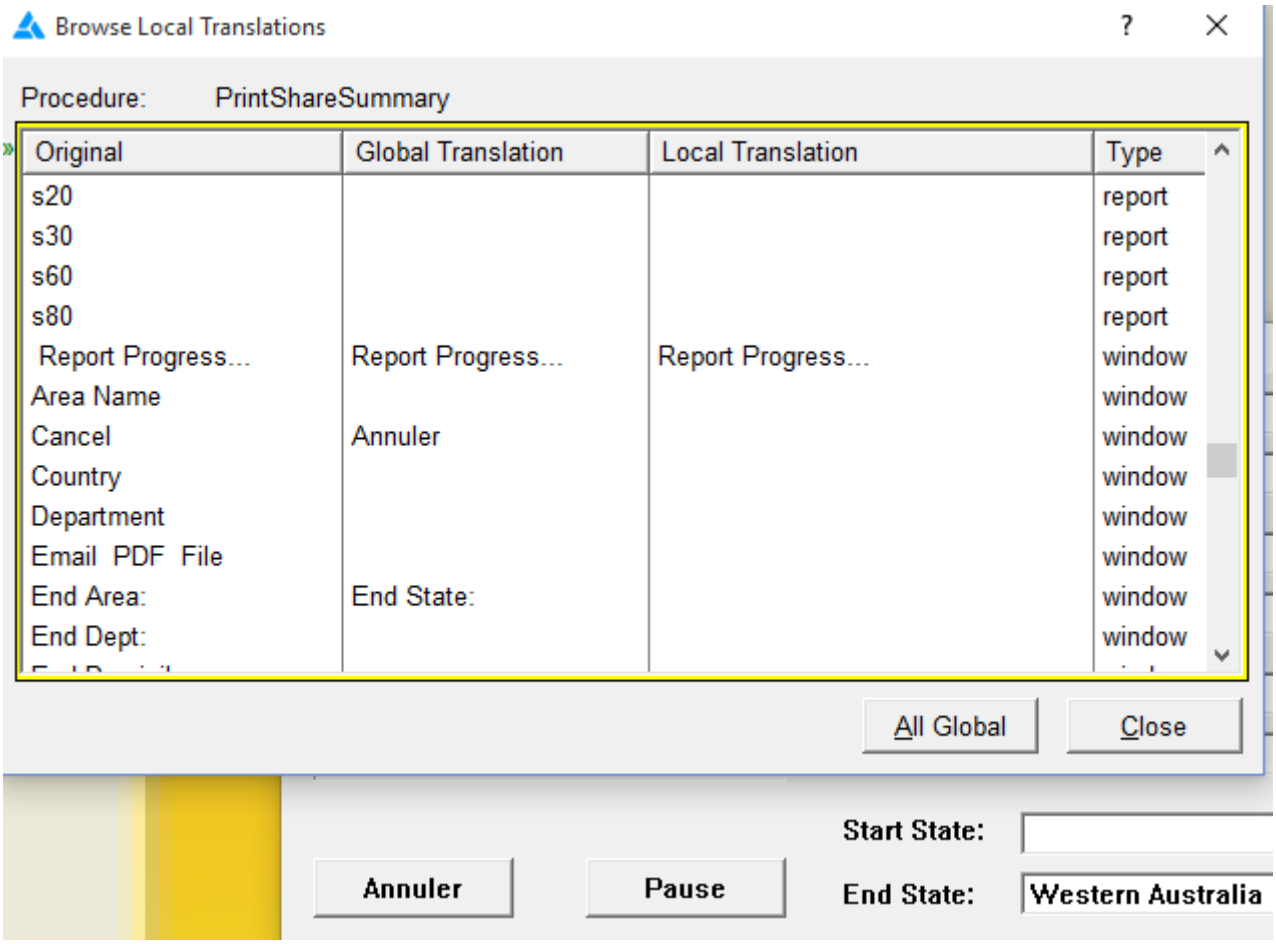
All reports can now be out put in 6 different formats as shown below. The report will preview first and then you need to click on the <Print> button to output the report to your preferred destination. The XML encoding is ISO-8859-1 and the format is “Tags”. If you require another format email us at info@amblinsoftware.com



Replacing Text Globally and Locally

One of the best new features in Version 6 is the ability to change all visible text. Including window captions. prompts, buttons, reports to suit your own individual needs. In fact you can translate the entire application to a new language simply by replacing the English words into the regional equivalent.

For example if I wanted to change all instances of “Cancel” in the application to the French “Annuler” all I have to do is press <Ctrl F10> on a window that has cancel and then change it globally to “Annuler”. You will notice the change immediately as shown below. If you wanted to change the wording in that window alone then you would choose [Local Translation] instead of [Global Translation].



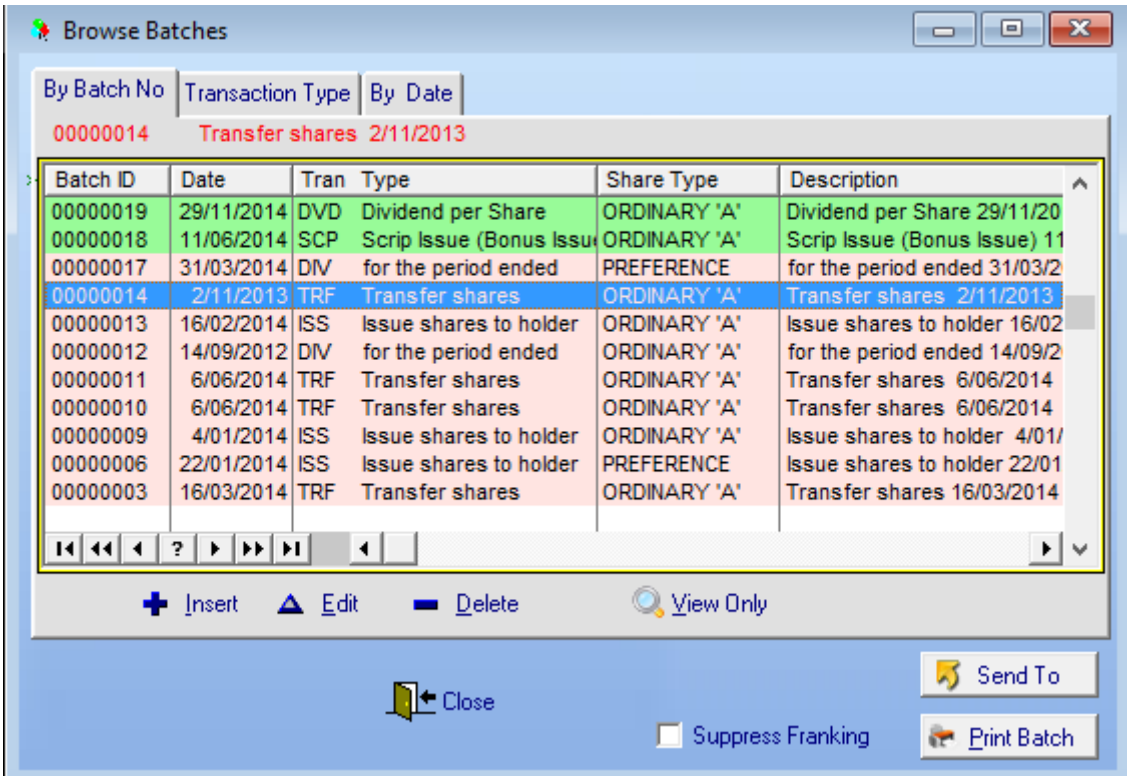
It is also useful in changing regional settings like “Postal Code” to “Zip code” and “Area” into “State” etc.

Spellcheck <F7>

Another new innovation in Version 6 is spellcheck in every Notes/Comments field to assist the user in achieving accurate data entry. After entering your data, hit <F7> to check that field for spelling errors. This is how it works in standard MS Word.

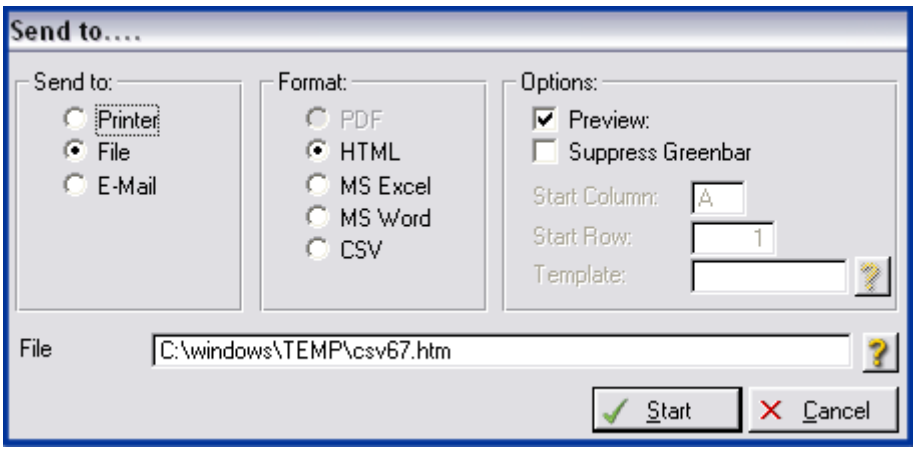
Send To from Browse window

Wouldn't it be nice to be able to export a list/browse straight to Printer, a file (like Excel or Word) or Email it? The “SendTo” button enables you to send your data exactly as it appears in the browse to Printer, or File (HTML, Excel, Word, CSV or PDF) or email it directly.



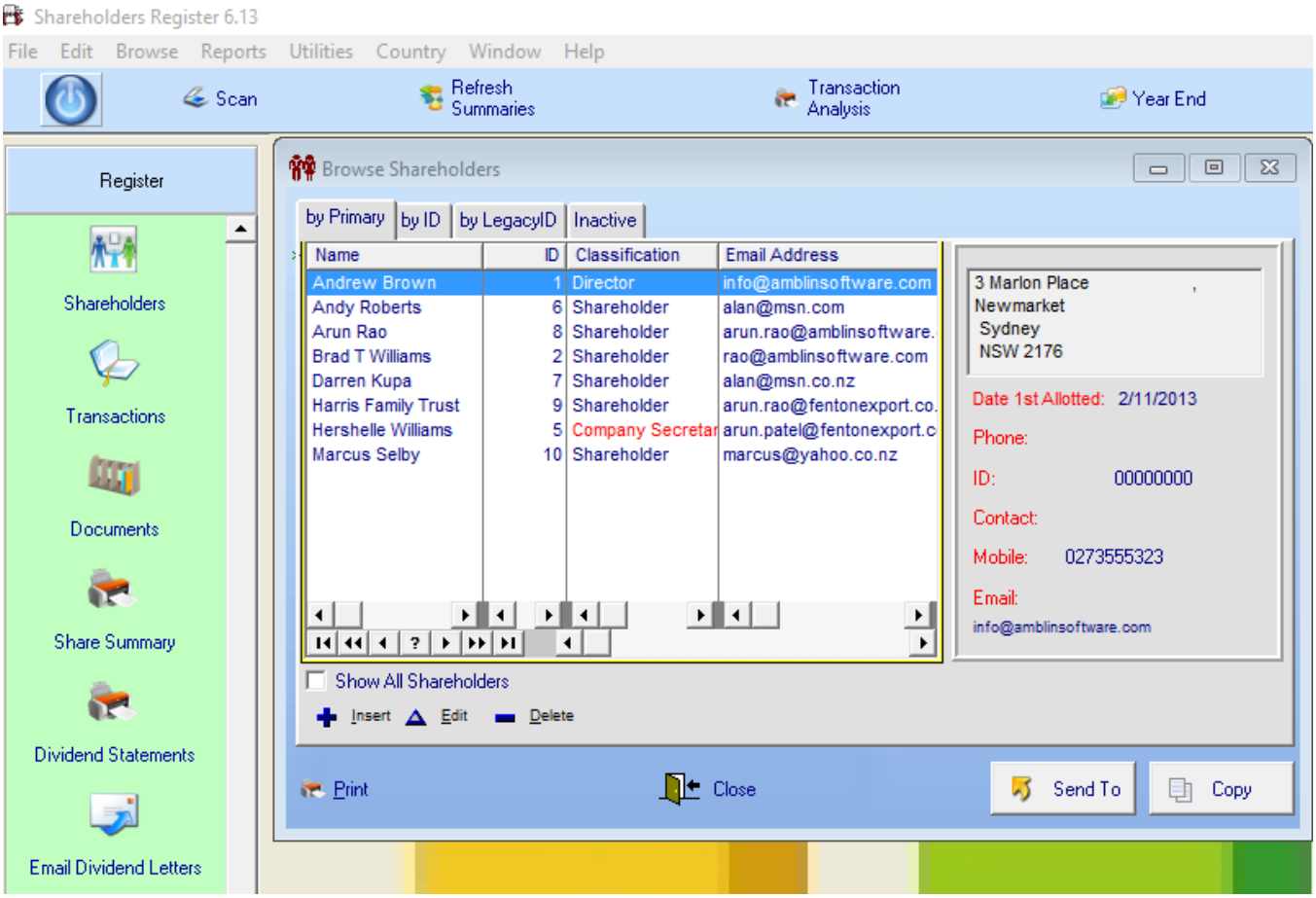
Green colour signifies the batch has been approved by a user that is a designated approver. The light red lines show batches that are yet to be approved. If you do not follow the 4 Eyes principle and do not need transaction of batch approval then in the user maintenance (Security >> User Access), tick the designated approver checkbox for ALL users. Non approvers cannot change details of a transaction (and/or batch) once it has been approved by an authorised user.

Choose what options and click on start to output contents of the browse to an output of your choice.



Shareholders Master File

Most of the fields are self-explanatory and when in doubt you can right click and invoke the context sensitive help to see what that particular field is about. The Demo system only allows 5 shareholders but once it is registered it allows as many shareholders as the license you buy eg, 20, 100, 500, 500+ shareholder license. You can find an Shareholder by Name, Post Code. An Inactive member is shown in gray in the 'Inactive' <Tab>. Double clicking the highlighted record takes you into the record for that Shareholder. You can add a new Shareholder by right clicking and choosing <Insert> or just hitting the <Insert> key on your keyboard.



In the update form (below), enter the relevant information.

Click on ✚ to insert a new record.

Click on ▲ to change an existing record

Click on ▬ to delete an existing record

Control	What it Does
Show all Shareholders	Tick this check box to shows all Shareholders, both active and inactive (the inactive Shareholders are shown in gray).

Note: Right click and <Help?> will explain a particular field in the 'Update Shareholder Record' window .

<Currency> By default this is your local currency but you can change it for a customer that requires a commercial invoice (or Order) in their currency. Usually in this case the Tax Code will be "Z" for Zero-rated,

<Contact> Enter this customers' contact information here. The email field is used to post statements, invoices etc if you choose or you can modify the recipient on the fly.

<Notes/Docs> Enter any notes against this customer here. You may also attach documents specific to this customer for easy reference & retrieval eg, a credit account application, dunning letter etc. The document should exist in the "Document" folder.

<Address> Add multiple delivery addresses for this customer so that you may choose when invoicing.

<History> The history tab is different to the transactions tab in that the historical data only purges after a set period (default 12 months). This allows you to do an analysis between 2 dates or dump it to Excel for reconciliation.

<Balances> Shows a quick analysis of Sales data for the year.

<Transactions> Shows the current transactions for this customer. This is the data that would appear on the statement. Transactional data gets purged every month depending on whether the aging balance is zero. At month end the archive company is created which is a snapshot as at month end so you may reprint a statement (for any month) if you choose.

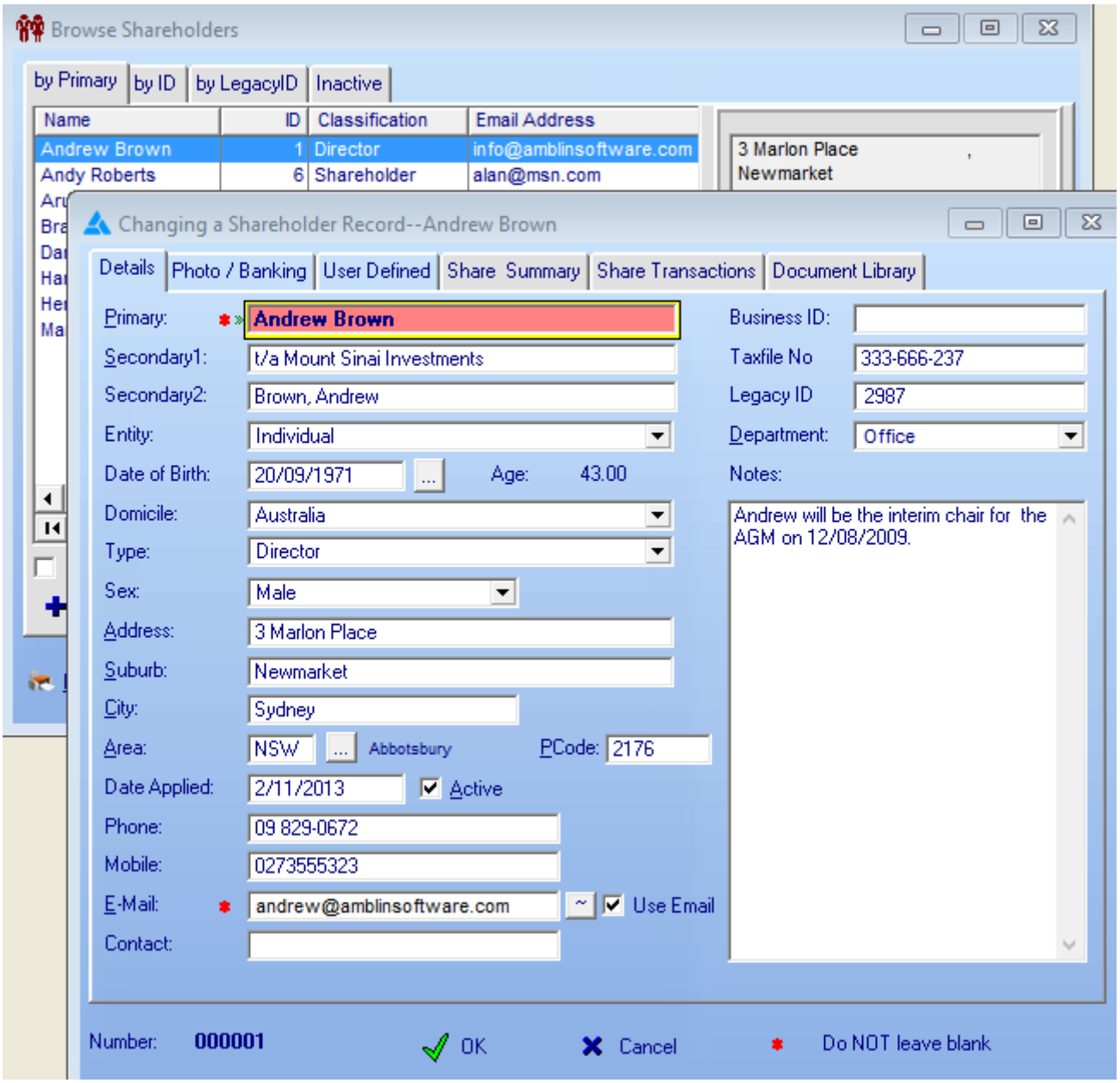
Salespeople: Enter the salespeople that will be responsible for the customers. There is a choice of how the commission is calculated. A photo id can be printed. Sales targets set and sales statistics analysed.

Delivery Address: You can add delivery addresses from within the customer or by using this option especially if you are adding multiple addresses for different customers.

Customer Group: The purpose of the customer group is categorise the customers. It also provides the link between the Debtors module and General Ledger. You can accept the defaults or create your own links but make sure that they follow the same nomenclature in terms of numbers, categories and report categories. For example if you want to create a secondary Customer control account then choose a number like 801/000, Category = B55, Report Category = 74, Type = "Balance Sheet" etc.

Shareholder Master File – Personal Details

Contains details of the shareholder including general bio-data.



Control	**Description**
Primary:	Enter the name of the Primary Shareholder. It could be a Trust or company.
Secondary1/2:	Enter the name of the secondary shareholder(s) here. You can put the name in reverse order eg, "Brown, Andrew", or members of the company/trust.
Date of Birth/	Enter (or lookup) Shareholders date of birth. Age displayed on the right.
Incorporated:	Date the company was incorporated. Duration on right.
Domicile:	Country where the Shareholders is resident and pays primary tax.
Cost Centre:	Enter cost centre associated with this shareholder.
Type:	Enter Shareholder type, these are typically "Shareholder", "Director", "Company Secretary" and "Other". Add more types under “Browse”
Entity:	Enter entity type for this shareholder. Add more entity types under browse.

Reserved?: A reserved is a dummy shareholder for transactional purposes eg, “UNALLOCATED” and “AUTHORISED”.
Waive?: Checking this box excludes this shareholder from transactional computations.
Type: Enter Shareholder type, these are typically “Shareholder”, “Director”, “Company Secretary” and “Other”.
Address: Enter Shareholders street or mailing address.
Suburb: Enter Shareholders suburb or postal area.
City: Enter city where Shareholder is resident.
Area: Enter Location code where Shareholder resides.
Post Code: Enter postal code where Shareholder resides.
Date Applied: Enter first entry date for this Shareholder or first transactional date for this Shareholder.
Active: Check if Shareholder is active ie, currently holding shares in the company.
Phone: Enter the phone contact for this Shareholder.
Business ID: Business identification number.
IRD/TFN: Enter your Inland Revenue / Tax File Number. Leaving it blank will incur withholding tax.
Email Address: Enter Shareholders email address. This may be used for corresponding with the Shareholder. Handy tip: for multiple addresses separate with ‘;’ eg, me@gmail.com;you@gmail.com (max 120 characters total).
Email Flag: The 'Use Email' checkbox must be ticked for emails to be sent out.
Tax Code: Is the shareholder subject to taxation? eg, Withholding tax
Notes: Enter free form text regarding this Shareholder.

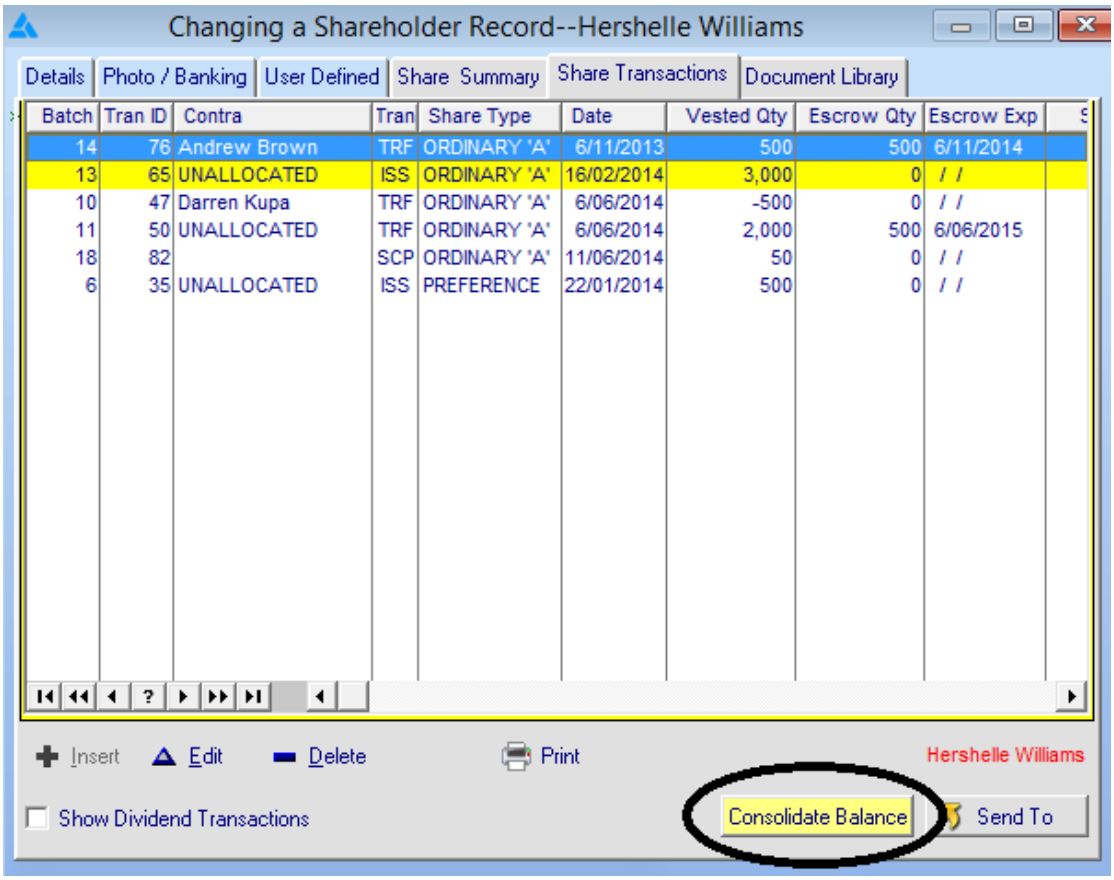
Photo: Choose an image file of the shareholder for identification purposes (ID card).
Bank: Bank Name and Branch or description
Account: Bank Account code
Mode: How would the shareholder like to be paid

Print Cheque: If this check box is ticked then a cheque would be printed for this shareholder.

Hash: Click here to generate a random hash for this shareholder. This will be the password to login to the internet module.

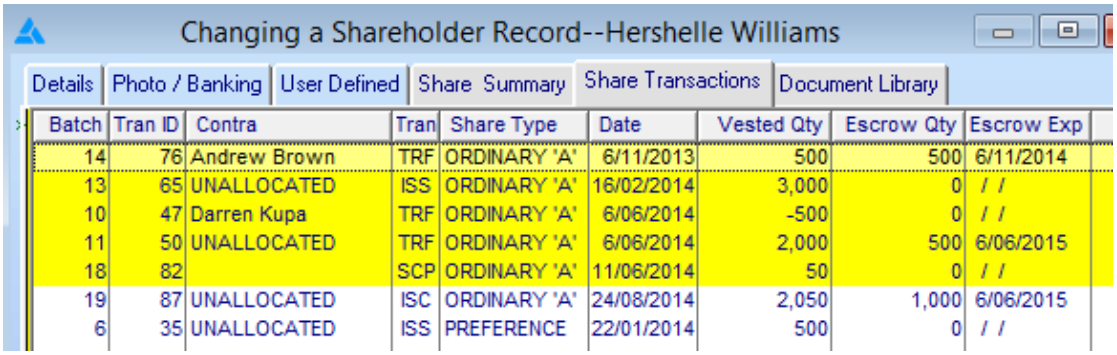
User Defined: There are 5 user defined fields (3 Alphanumeric and 2 numeric) for which the headings are set under "Setup/Overall Control/User Defined".

The [Consolidate Balance] option is only used if you have opted for the <Void Original> option in [System Setup]. Basically all the open certificates and transfers will be consolidated into a new certificate.



Batch	Tran ID	Contra	Tran	Share Type	Date	Vested Qty	Escrow Qty	Escrow Exp
14	76	Andrew Brown	TRF	ORDINARY 'A'	6/11/2013	500	500	6/11/2014
13	65	UNALLOCATED	ISS	ORDINARY 'A'	16/02/2014	3,000	0	/ /
10	47	Darren Kupa	TRF	ORDINARY 'A'	6/06/2014	-500	0	/ /
11	50	UNALLOCATED	TRF	ORDINARY 'A'	6/06/2014	2,000	500	6/06/2015
18	82		SCP	ORDINARY 'A'	11/06/2014	50	0	/ /
6	35	UNALLOCATED	ISS	PREFERENCE	22/01/2014	500	0	/ /

In the example above, after consolidation, it will look like this:



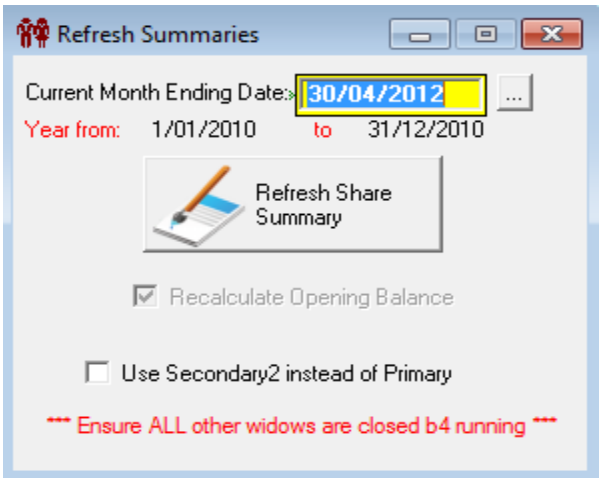
Batch	Tran ID	Contra	Tran	Share Type	Date	Vested Qty	Escrow Qty	Escrow Exp
14	76	Andrew Brown	TRF	ORDINARY 'A'	6/11/2013	500	500	6/11/2014
13	65	UNALLOCATED	ISS	ORDINARY 'A'	16/02/2014	3,000	0	/ /
10	47	Darren Kupa	TRF	ORDINARY 'A'	6/06/2014	-500	0	/ /
11	50	UNALLOCATED	TRF	ORDINARY 'A'	6/06/2014	2,000	500	6/06/2015
18	82		SCP	ORDINARY 'A'	11/06/2014	50	0	/ /
19	87	UNALLOCATED	ISC	ORDINARY 'A'	24/08/2014	2,050	1,000	6/06/2015
6	35	UNALLOCATED	ISS	PREFERENCE	22/01/2014	500	0	/ /

Because the line with 3000 was voided previously it did not affect the new calculations which was essentially:
500-500+2000+50 = 2050 and Escrow = 500+500 = 1000

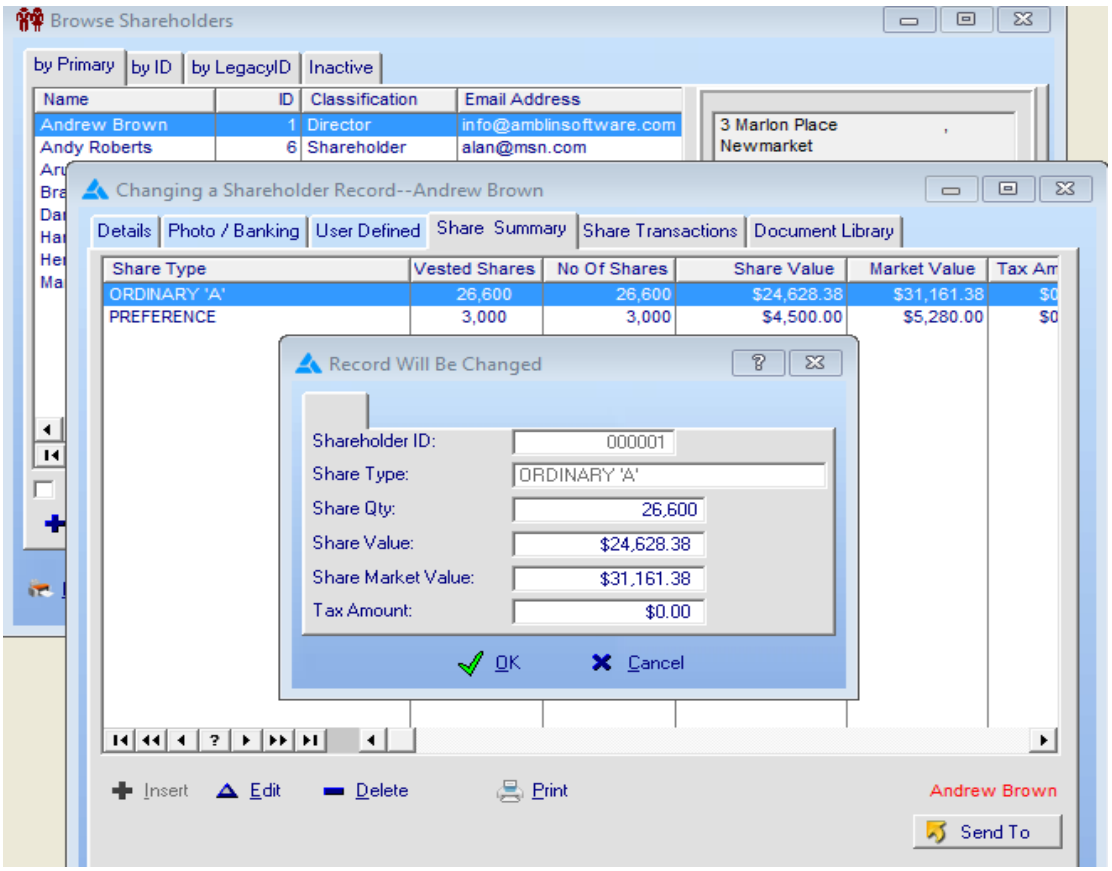
There may be some considerations for you when dealing with different escrow expiry days and also share parcel numbering (distinctive numbers) that may complicate or prevent consolidation.

Shareholder Master File – Shareholders Summary

This window lets you know at a glance the number and value of share of a particular share type that a shareholder has obtained at any given time. Its accuracy is dependent on when the last “Shareholder Summary Refresh” was done. This utility can be found on the main toolbar. Ensure that any windows that may be open at the time are closed before proceeding with the refresh.



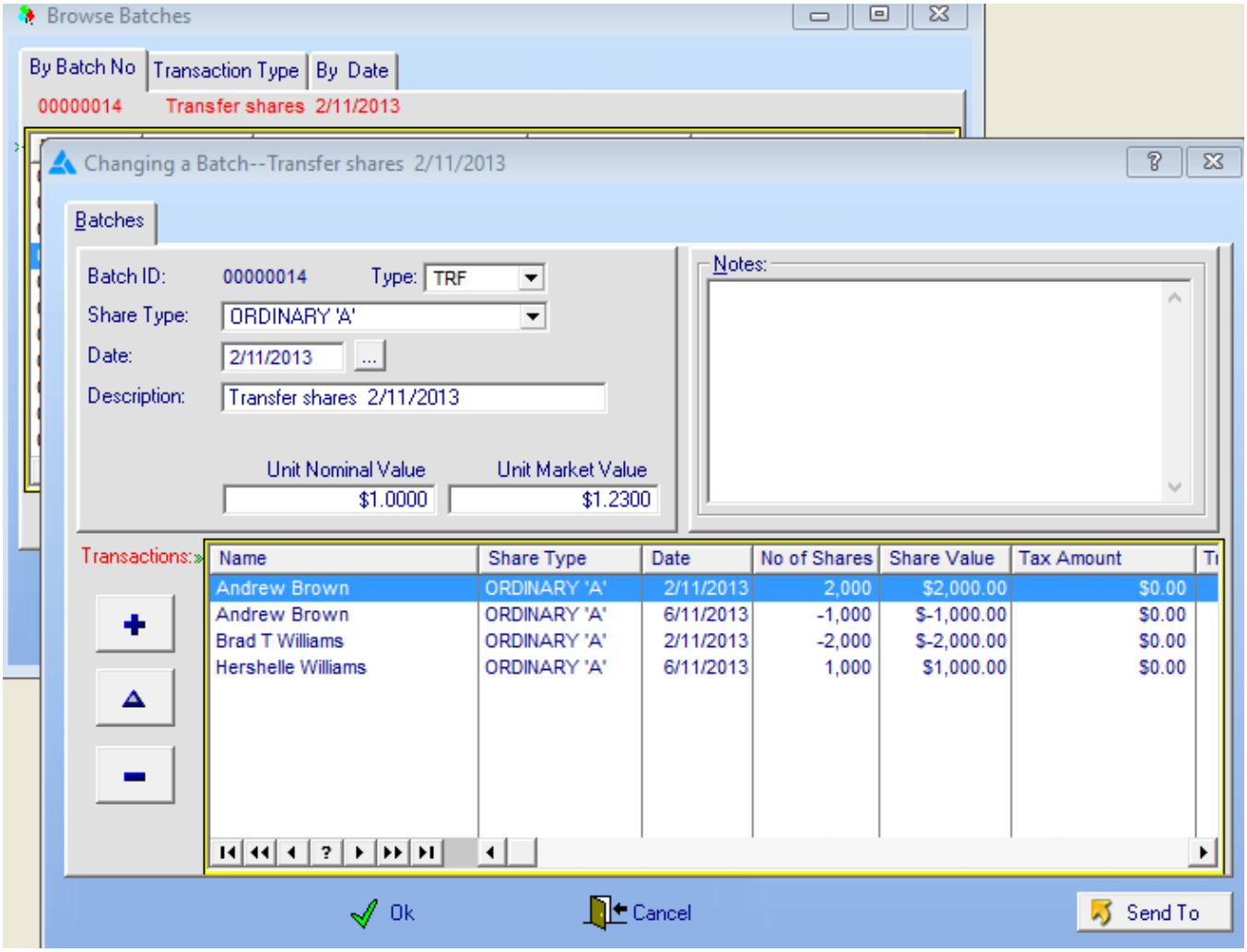
All transactions after the current month ending date is ignored in the summary calculations.



Although the record can be changed it will be recalculated on the next refresh so its best left for viewing only. The summaries do not include any transactions where share quantities are not effected eg, Dividend pay outs. The switch (flag) for this is set in the “Transaction Type” under the heading “No of Shares Affected”.

Shareholder Master File – Share Transactions

These records show the history of all transactions that have occurred against this shareholder. From the initial "Issue", dividend pay outs and any transfers as well as any custom transaction defined by you.



Control	**Description**
Batch No:	System generated unique ID for the batch (includes many transactions)
Tran ID:	System generated unique ID for the transaction
Type:	Each batch can only be associated with a single transaction type eg, "ISS"
Date:	Date of transaction.
Shareholder:	This will be the ID of the shareholder record you are currently perusing. In a transfer situation this is the Transferee (+).
Contra:	This is the ID of the contra Shareholder (if applicable) for this transaction. In a transfer situation this is the Transferor (-).
No of Shares:	How many shares were traded in this transaction. This has to be a positive value always. If you enter a negative value an error message will pop up. If the available shares (Total - Escrow) is less than what is entered here and error message will warn you to revise your entry.
From:	Start of share folio distinctive numbers.
To:	End of share folio distinctive numbers.
Share Value:	Calculated from nominal value entered in "Share Type"
Market Value:	Calculated from market value entered in "Share Type"

Tax Amount: Calculated from Tax Code entered in “Share Type” and the tax details entered in the “Browse Tax Codes”. This is overridden by the tax code (if any) set up in the Shareholders record. For example the dividend cheque amount will have the tax amount deducted by the percentage specified in the shareholder record.

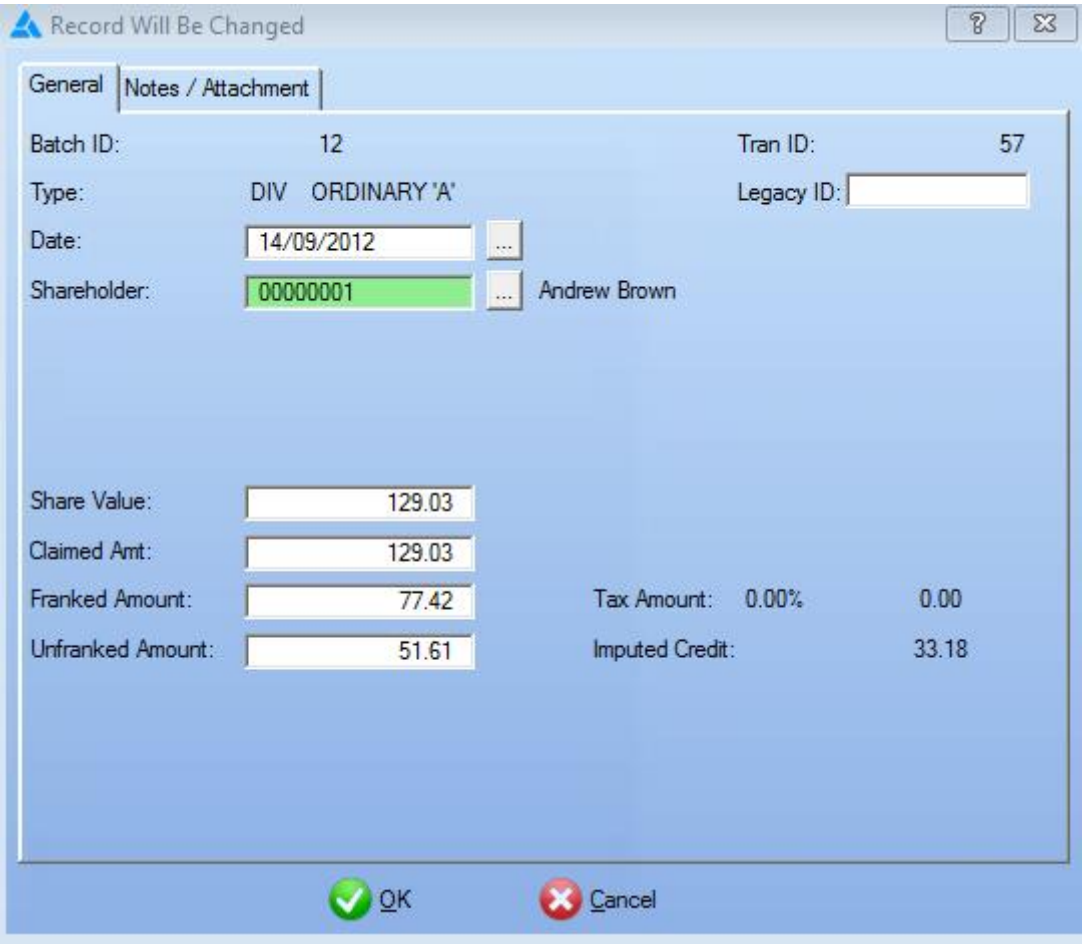
Escrow Applies: Tick this if you want to put all or part of the share quantity into escrow. Enter the number of shares and when the escrow period expires.

Escrow Shares: Enter the number of shares in escrow.

Escrow expires: The “Refresh Summary” process looks at this expiry date and compares it with today’s date. If its less than or equal to than its taken off the escrow amount in the summary. When shares are transferred, it looks at the number of available shares by comparing the number of available shares ie Total Shares less Escrow and if the figure entered is greater than the available number an error message is triggered.

Notes <Tab>: This tab shows the captured creation & modification details. You may also enter notes and attach a document to this transaction as well.

The following shows a dividend (or non quantity) transaction:



Cheque No: The cheque number is derived from the sequence you entered when you created the dividend batch.

Franked Amt: The franked amount is calculated from the Franking Credit rate (share type setup) and is:
Franked Amt = Dividend Share x Franking Credit Rate / 100

Unfranked Amt: Dividend Share – Franked Amount

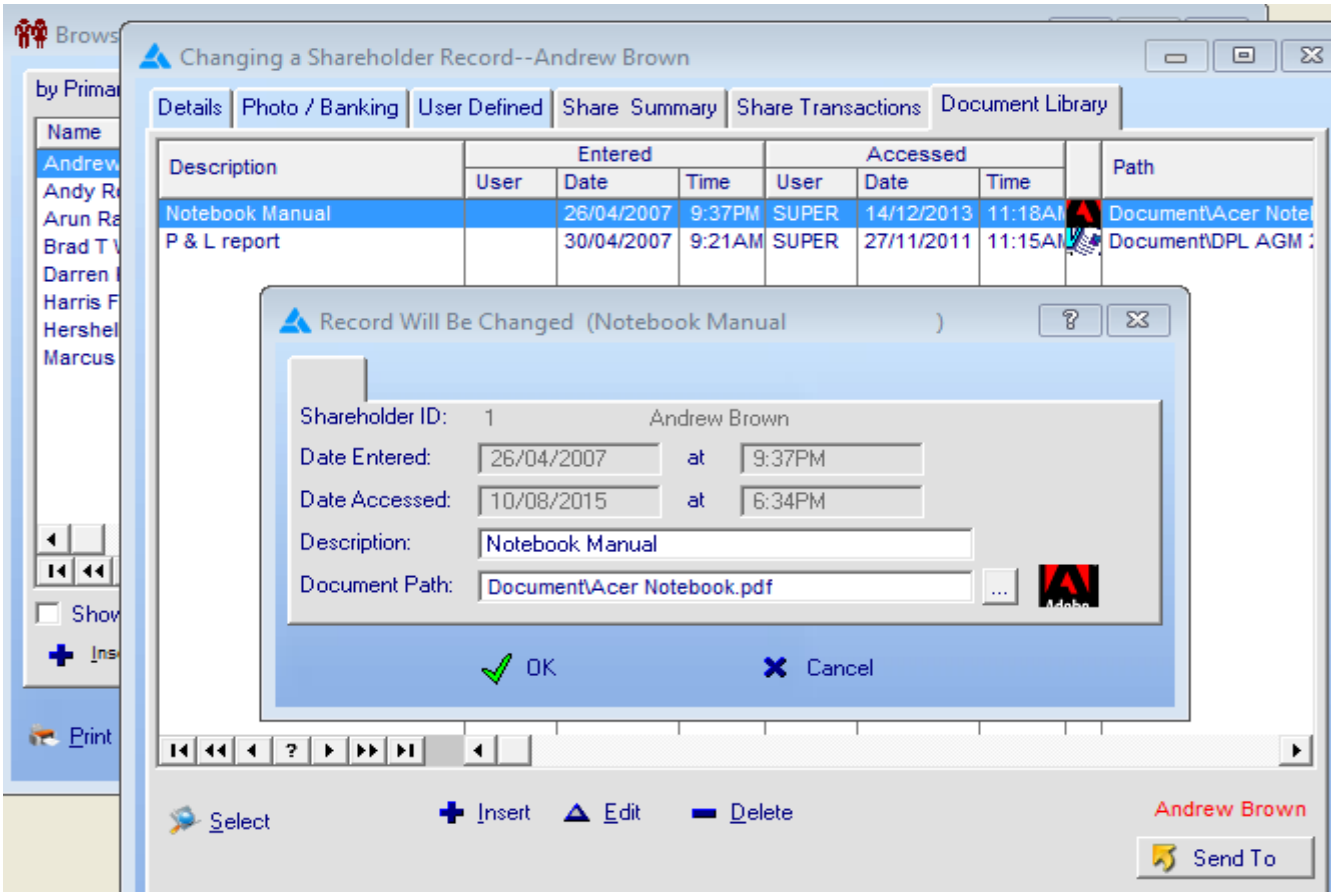
Imputed Credit: ((Franked Amount / (1 – Company Tax Rate)) x Company Tax Rate
(Franked, Unfranked and Imputed Credit will only show for Dividend type transactions. Company tax rate is set up in System Setup)

Shareholder Master File – Document Library

The document library is a useful resource in storing and viewing documents pertaining to that individual Shareholder. You may attach as many documents to the library as you wish.
The file types supported are:

*.doc and *.rtf	=>	MS Word
*.pdf	=>	Acrobat Reader
*.gif, *.jpg, *.tiff, *.png, *.wmf & *.bmp	=>	MS Paint

This means that as well as Word and Acrobat, you can store scanned images as well. Scanned images are opened in MS Paint (Note: Older versions of MS Paint do not support .jpg or .gif files, only .bmp).

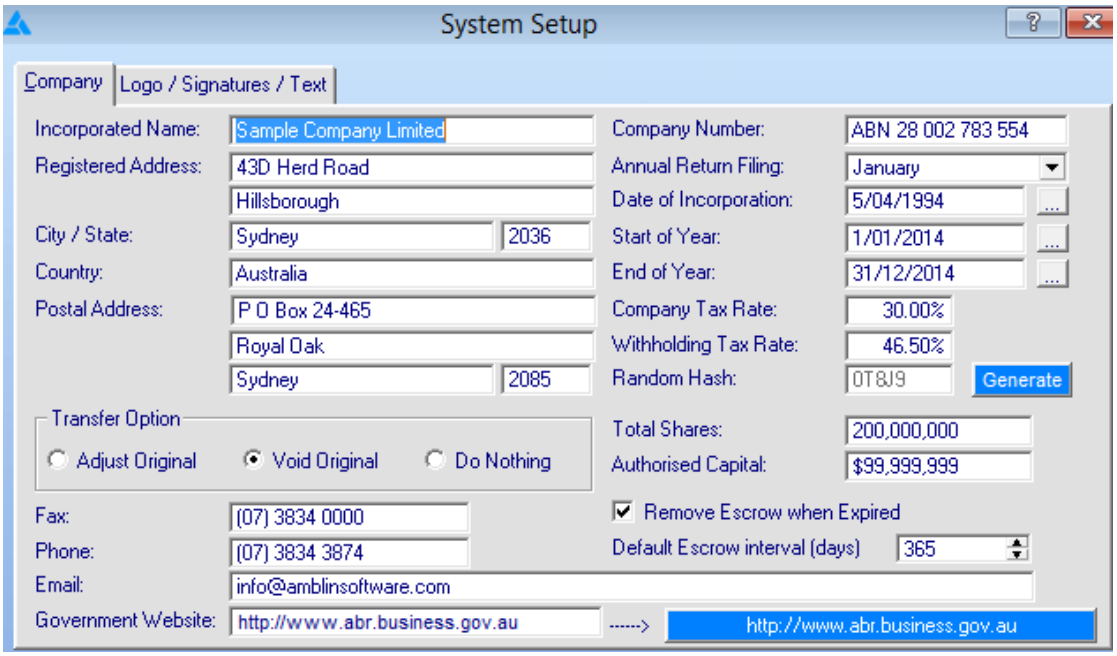


Control	Description
Shareholder:	Shareholders Name and ID.
Date Entered:	Date document was attached to the library is recorded.
Time Entered:	Time document was attached to the library is recorded.
Date Accessed:	Date document was last accessed is recorded.
Time Accessed:	Date document was last accessed is recorded.
Description:	A meaningful description of the document eg, Diploma in Business
Document Path:	Enter (or lookup) the path to the document. Remember you do not need the full path name for it to work. You can truncate it to a relative path from the directory where personel.exe resides. For example: "C:\Program Files\Amblin Software\Shares\Document\Vehicle Restriction Andy Brown.RTF" can become "Document\Vehicle Restriction Andy Brown.RTF"

Graphical Button: Click on this to open the document with the correct Application.

System Setup

The System Setup is used to enter all the information in order to efficiently operate the shareholders register.



Control	**Description**
Incorporated Name:	Name as submitted and registered with the Companies register.
Registered Address:	Address submitted and registered with the Companies register.
Government Website:	Enter the official website containing the relevant companies information and legislation. Connect to it by clicking on the "link".
Signatory Name:	Name of people (x2) authorized to sign documents.
Signatory Title:	Designation of authorized people.
Signature:	Path to graphic of said signatories.
Company Number:	Enter official number that was allocated to this company by the relevant authorities.
Annual Return Filing:	Month of the year when Company returns are submitted to the relevant authority.
Date of Incorporation:	Date on the registration certificate which signals start of the business.
Incorporated Text:	So it will say "Incorporated in <City/State> on <Date of Incorporation" under the Corporations Act 2001".
Start/End of Year:	When does your financial year start and end. Refresh works off these dates.
Total Shares:	What is the total number of shares, both allocated and unallocated, that makes up the share capital.
Authorised Capital:	Total share capital to be issued to shareholders.
Remove Escrow:	Delete escrow details when date has passed, keeping the details has no effect on calculations. Deletion is done on "Refresh Summaries".
Default Escrow Days:	Default number of days shares are held in escrow (transactions).
Annual Filing Return:	Important date to file return and to not incur a penalty.
Date of Incorporation:	Date the company was formed and registered in the companies register.

Company Tax Rate: Rate at which the company is taxed by the government. Used in franking calculations.

Withholding Tax Rate: Rate at which shareholders without tax file numbers are taxed.

Logo: State the path to the Company Logo file. This is printed on share statements.

Random Hash: This is used to uniquely identify this company when porting to the internet.

Transfer Option: There are 3 choices available for you and each one has a significant bearing on how your total shares are calculated.

Starting with <Do Nothing> which as the name suggests has no effect on how the shares are totalled. Perhaps an example will help.

ISS Cert no 1000, Issued 2000 shares on 5/2/2014

TRF -500 shares on 7/5/2014

Total Shares as summarized = 2000 – 500 = 500

Pro's: No further action required

Con's: Original certificate shows incorrect balance of shares

Next we look at <Void Original> which as the name suggests means that you have to void the original certificate and create a new certificate with the correct number of shares. See the example below.

~~ISS Cert no 1000, Issued 2000 shares on 5/2/2014~~ (voided)

~~TRF -500 shares on 7/5/2014~~ (voided)

ISC Cert no 3500, Issued consolidated 1500 shares on 7/5/2014

Total Shares as summarized = 1500 on Cert 3500. All else voided.

Pro's: You can mail the holder a consolidated certificate, instead of multiple certificates

Con's: Some administration involved as each shareholder has to be handled separately.

Note: The transaction type 'ISC' is used exclusively for share consolidation. All shareholders adjusted on the same day for the same share type will be included in the same batch and can be accessed via the [Transactions] >> [Browse Batches] option. Shareholders are adjusted via: [Shareholders] >> [Edit] >> [Share Transactions] >> [Consolidate Balance]. Ensure you take a backup as reversing may be quite difficult. After consolidation, do a refresh summary and confirm that the summary and transactions agree. If there is only a single certificate involved then obviously no consolidation will occur.

Finally we have <Adjust Original> which as the name suggests means we go back and adjust the original certificate and then inform the shareholder on the change by either emailing or mailing a new copy of the certificate. Perhaps an example will help.

ISS Cert no 1000, Issued 2000 shares on 5/2/2014 (original)

TRF -500 shares on 7/5/2014

ISS Cert no 1000, Issued 1500 shares on 7/2/2014 (adjusted)

Total Shares as summarized = 2000 – 500 = 1500

Pro's: Original certificate is maintained. Usually use the "Notes" section on the transaction to keep an audit trail.

Con's: Some administration involved as each shareholder has to be handled separately.

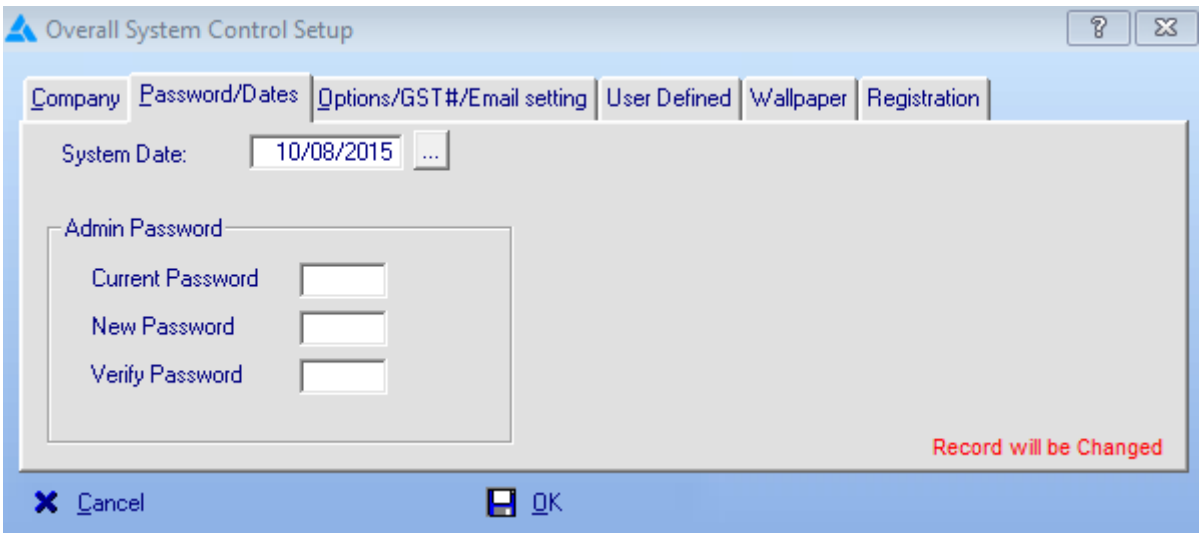
The refresh summary process ignores all voided transactions.

Note: There is one system setup for each company you set up.

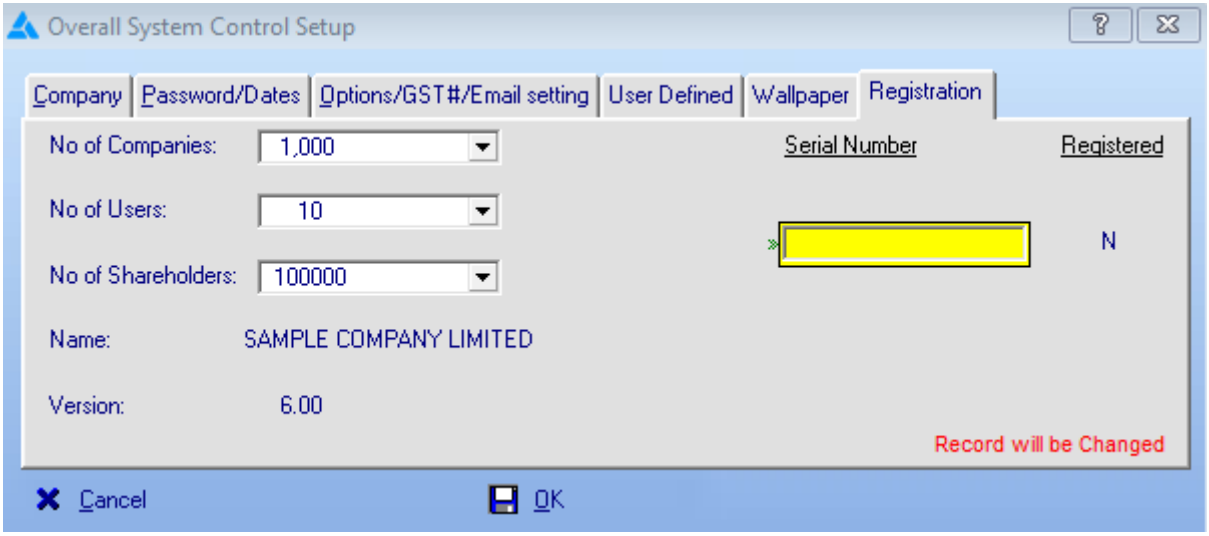
Overall Control Setup

This option is accessed through the Setup menu. The system setup includes all the details that are global to the whole organization. It is important to get the details here correct as it flows throughout the entire system. Most of the fields are self-explanatory. The first screen sets up the company details. Whatever you put in here will flow through to the Registration form. It is a good idea to enter your details here first before you do anything else.

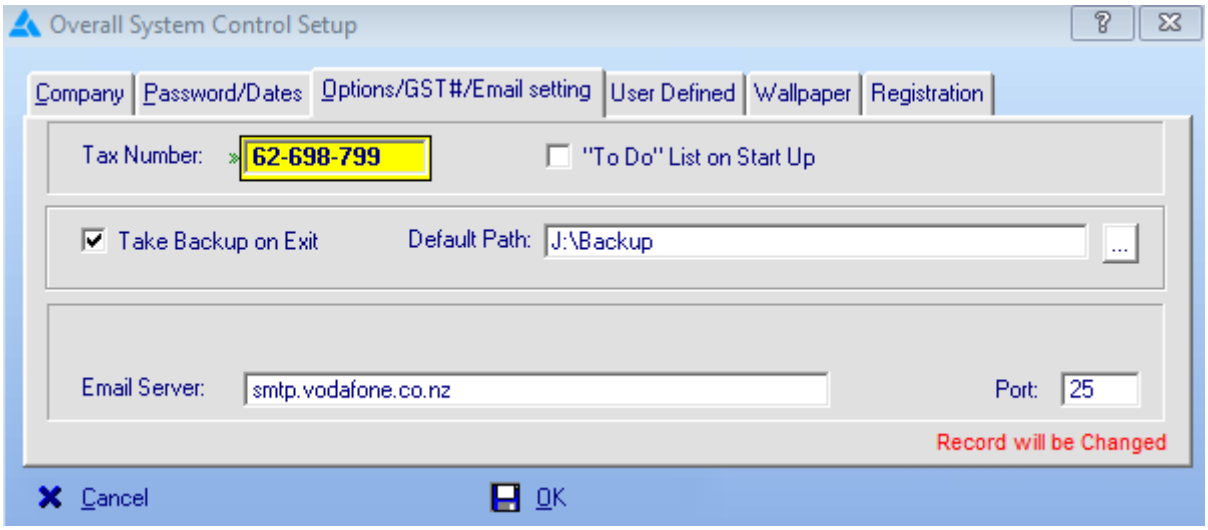
On the second <Tab> you will find the system date and the supervisor password. The first time you use the system to change the password you need to type “roll” as current password and then change the password and verify it by typing it in again. It is a good idea to change it and allow access to the “System Menu” to only the user “SUPER’.



The last <Tab> allows you to enter all registration information so that you may enter information into the modules that you purchase. This screen also contains the registration details. On the Registration form that will be faxed or e-mailed back to you will contain the serial number. Any restrictions will be lifted once the product is registered. Please note that the Serial number is based on the Company name (case sensitive), the number of companies, the number of users and the number of shareholders. A good rule of thumb is to choose number of shareholders as one and a half times what you currently have eg, if you have 50 shareholders, choose 50 x 1.5 = 75, but the next option up is only 100.



No of Companies	Choose number of companies for licensing. Valid choices are 1,10,20,100 and unlimited.
No of Users	Choose number of Users. The number of users, number of shareholders and the Company Name is used to generate the Serial Number for registration. Valid choices are 1,5 and 10.
No of Shareholders	Choose maximum number of shareholders that are input into system. Valid choices are 20,100, 50 and unlimited.
Serial Number	Enter Registration code that is supplied by the Vendor. Print out the registration form in the 'Help Menu' and fill in the details and fax it. You should receive a Serial number within 24 hours if paying by Credit card. Alternatively email to: info@amblinsoftware.com with Company details (Name, Postal Address).
Successful Registration	Once you have entered the serial number that you received, the successful registration flag should change to 'Y' and you it will no longer be just a demonstration version. You will be restricted to the number of companies, users and shareholders that you chose above.



Tax Number	Enter the Company Tax number here (Optional – Not used anywhere).
Default Path	The backup file is in the format "ClientNo_yyyymmdd.zip" and can be restored via the "Utilities" menu. It is advised that you install 7-zip for your OS and copy 7zG.exe to the Shares6 folder as it ships with 64-bit only.
To Do List	Tick this if you want the "To Do List" to pop up when you start the application.
Email Server	This is your SMTP setting for outgoing messages
SMTP Port	This is usually 25 unless specified otherwise by your administrator.

Browse Clients

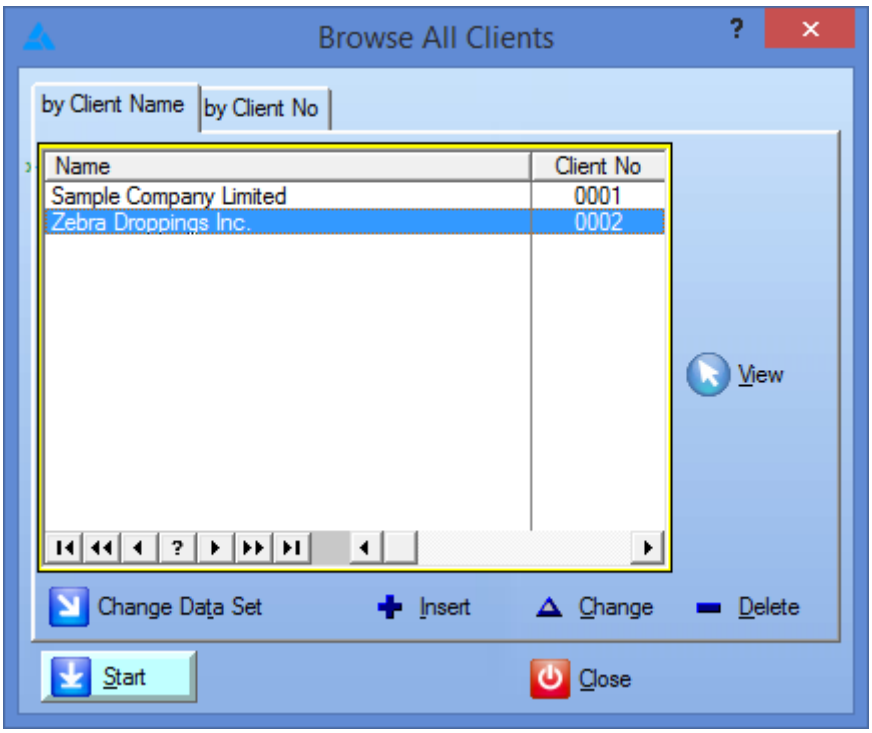
Version 6.0 has a new hierarchical structure in the form of Client >> Company relationship.
A Client is a distinct business entity and will usually have a Tax ID. A company is a snapshot of the Client. The main company data file of any client will always be the first data set. If you were to pick either of the 2 clients below and clicked <Start> it would automatically start the company data set with the lowest company number.
Example:

Sample Company (0001)

- Sample Company Limited (CO000001) ← Active Company Data
- 2013 – Sample Company Limited (CO000005) ← Snapshot
- 2012 – Sample Company Limited (CO000003) ← Snapshot

Zebra Droppings Inc. (0002)

- Zebra Droppings Inc (CO000002) ← Active Company Data
- 2013 – Zebra Droppings Inc (CO000004) ← Snapshot

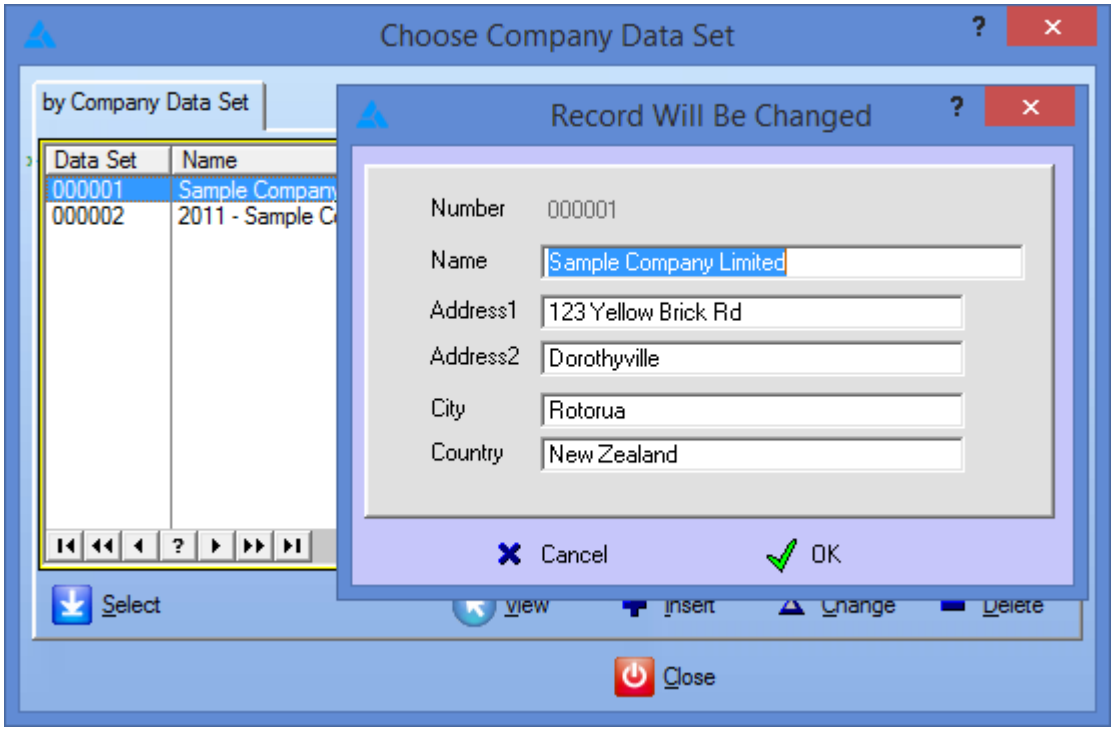


To peruse a different year (company snapshot), you have to click on <Change Data Set> and select the company. At this point it will bring you back to the first (Client) screen and if you click <Start> it will bring up the company data that you selected earlier. You can confirm this by observing the Company name in the left hand bottom of the screen. You can also switch clients by selecting File >> Change Company if you are working within a company and now want to switch to another Client/Company.
A snapshot company is automatically created when you do a Year end roll over. To create a new Client click on <Insert> and add the company name details. In the above example the new Client would be (0003) and the New Company would be CO000006). If you were to navigate to the Shares6 folder you would see the new folders (0003\CO000006) created. You can now add the specific details for this new Client/Company.

If you hit the <Delete> button it will ask for a confirmation that you really want to delete that client and will proceed upon confirmation. You cannot delete a client if a company exists so you need to access the data sets with <Change Data Set> and delete the company and any associated snapshots before you can delete the client record.
You will need to delete the client folder (eg, 0003) manually using windows explorer.

Browse Company Data Sets

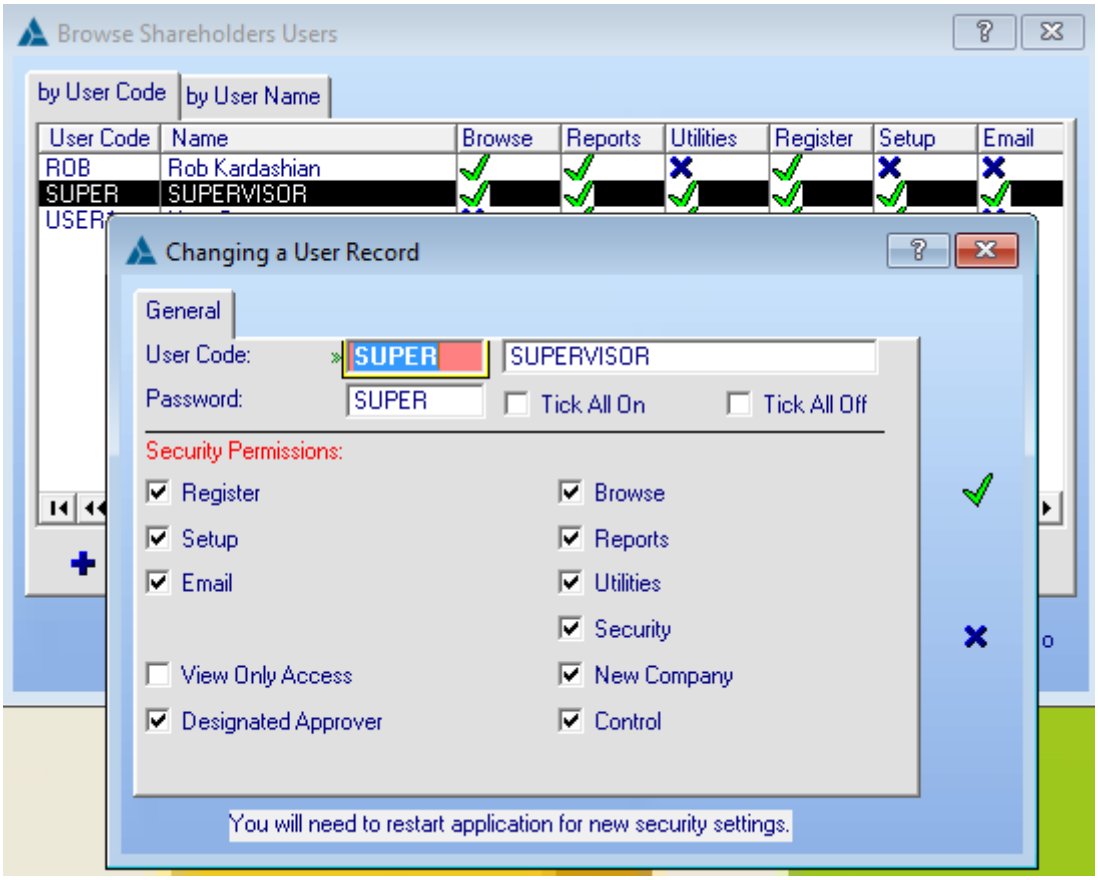
This option is accessed through the <Change Data Set> option. Highlight the Company and select <Change>.
The companies and names that you add here do appear on the reports but have no effect on the "Name" used in the registration which is done through the main control file. It does however affect the "Number of Companies" specified in the registration process. You will not be able to add more clients/companies than your registration allows. If you feel you need to upgrade your registration send an email with your details to info@amblinsoftware.com



Control	What it Does
Number	This is an auto-incrementing company ID number and is unique.
Name	Enter the company number exactly as you would like to appear on the screens and reports. You are limited to 30 characters.
Address	Enter the street or postal address for this company.
Address2	Enter the suburb for this company.
City	Which city or town is this company located
Country	Which country is this company located?

Browse Users

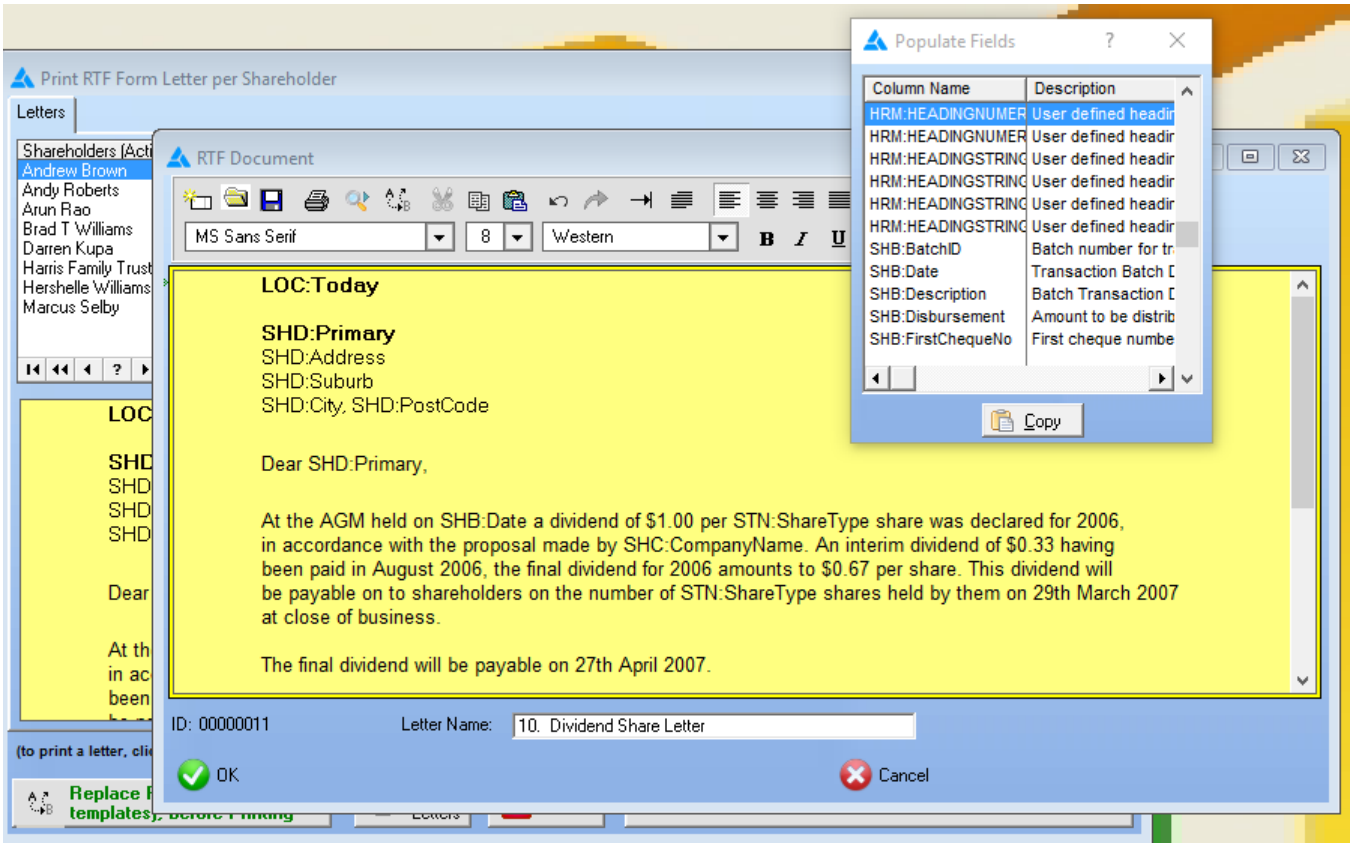
This option is accessed through the System – Maintain System Setup menu.
It allows the supervisor to set the menu and button access to the various users. It is usual for the system administrator to have the username "SUPER" and have all options ticked. Again the number of users you can have on the system is controlled by the license that you purchase. You can upgrade at any time by emailing us at info@amblinsoftware.com



Control	What it Does
User Code	Enter an appropriate username for this user
Name	Enter the full name for this user. You are limited to 30 characters.
Password	Enter the password for this user. You are limited to 8 characters here. As this area is very sensitive only selected people should have the "System" checkbox ticked. Ideally only the "SUPER" user.
Tick all on	This is a quick way of checking all tick boxes on automatically.
Tick all off	This is a quick way of checking all tick boxes off automatically.
Checkboxes	Only tick those boxes that you want this user to have access to. The security only takes effect on the next logon for this user.
Designated User	Following the 4 eyes principle this user has the authority to approve batches and transactions. Any user can create a batch but only a designated user can modify a batch or transaction once it has been approved. If you are NOT using second user approvals then tick this checkbox for all users.
View Only	If this is ticked then the user will only be able to browse the forms without being able to alter any information within the shareholders register. By default "Register", "Browse" and "Reports" are permissible when ticked.

Maintain RTF Letters

This utility lets you create custom MS Word compatible letters to merge and send by either email or print a hard copy.



You may choose merge fields to paste onto your custom letter. There are two types of merge letters. One is for Shareholder details and can be found under “Reports – Mail Marge – Maintain Shareholder Letter”. The merge fields that are valid for this letter can only be from the “Shareholder” (SHD) and “Company” (SHC) files. The second one is for Transaction details and can be found under “Reports – Mail Marge – Maintain Batch Letter”. The merge fields that are valid for this letter can be from the “Shareholder” (SHD), “Company” (SHC), “Batch” (SHB), “Transaction” (STN) and “Transaction Type” (SHT) files.

You can choose a merge field by double clicking on the highlighted field or by pressing the “Copy” button. Place your cursor on the document where you would like to paste it and click on the “Paste” icon. The letters you create can be used to print form letters or mass emails.

Browse Areas

Add Area codes, descriptions and postcodes that are relevant to your company.
Double click on an existing area record or press <Insert> to add a new area code. The
Area code is used to validate the area the shareholder belongs to.

Area Code: Put a meaningful code in here to reflect the name. (Change to "State" using Ctrl F10 if you want)
Area Name: Full Name of Area
Post Code: This is the Postal code for that area.

Area codes are used in the Member, Sponsor and Vendor master files.
This window displays a list of areas, highlight the area you want to use and press the Select button (or DOUBLE-CLICK on the area).

In V5.0 we have modified the Area maintenance to cater for the Geographic report. The area code now does not have to be unique BUT the combination of area code, name and postcode must be. This is to cater for NSW, Ashbury, 2193 and NSW, Bankstown, 2200. You have to enter a special area code NSW, New South Wales, 0000 if you want that to appear on the Geographic report. Same for all other states.

Browse Departments

This is used to enter a department description which is used later in the Member master file.
Use the drop list in the Update member screen to choose a department. It is mandatory to have a department. If it does not apply, create a department called 'Not Applicable' and choose that option from the drop list.

Browse Letters

A simple yet effective letter template. It consists of only 2 fields; the letter "Type" and the letter "Body". The letter type is a meaningful name given to the letter. Type in the text that forms the body of the letter. To print the letter go to "Reports / Vacancy Reports / Print Letters/Invites" option and choose the vacancy and the letter and press <Go>.

Browse Department

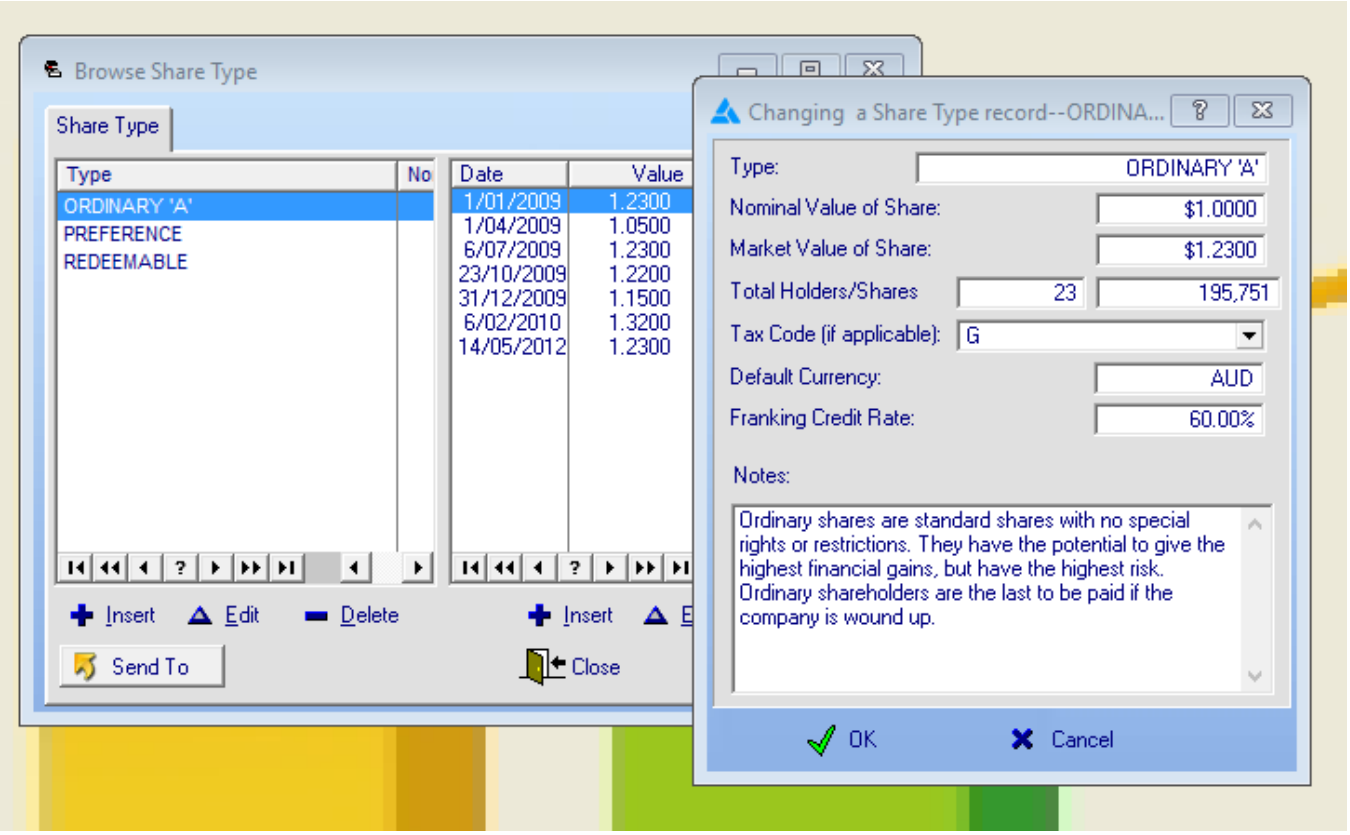
This is used to enter a department code and description which is used later in the Shareholder master file.

Browse Tax Codes

Enter the tax code, description and percentage here. This is used to calculate any tax on share transactions.

Browse Share Type

This is where you enter the types of shares that you would be utilizing in the share register. In the example we have "Cumulative Preference", "Ordinary", "Preference" and "Redeemable" but you could easily add your own type, for example "ORDINARY A" or "ORDINARY B" etc



Control	**Description**
Type:	Enter a code for your share type.
Nominal Value:	The initial value for each share.
Market Value:	What is the current value of that share in the open market.
Total No of Shares:	How many shares were initially available for purchase
Tax Code:	Does this share type attract any tax per transaction
Default Currency:	Trading of shares to be carried out in this currency. Also for reporting purposes. Try putting in the ISO code for currency.
Franking Credit Rate:	Used in calculation of franking credits in dividend shares. If it is 100% then entire dividend amount is franked etc.
Notes:	Enter any notes pertaining to this share type.

Browse Shareholder Type

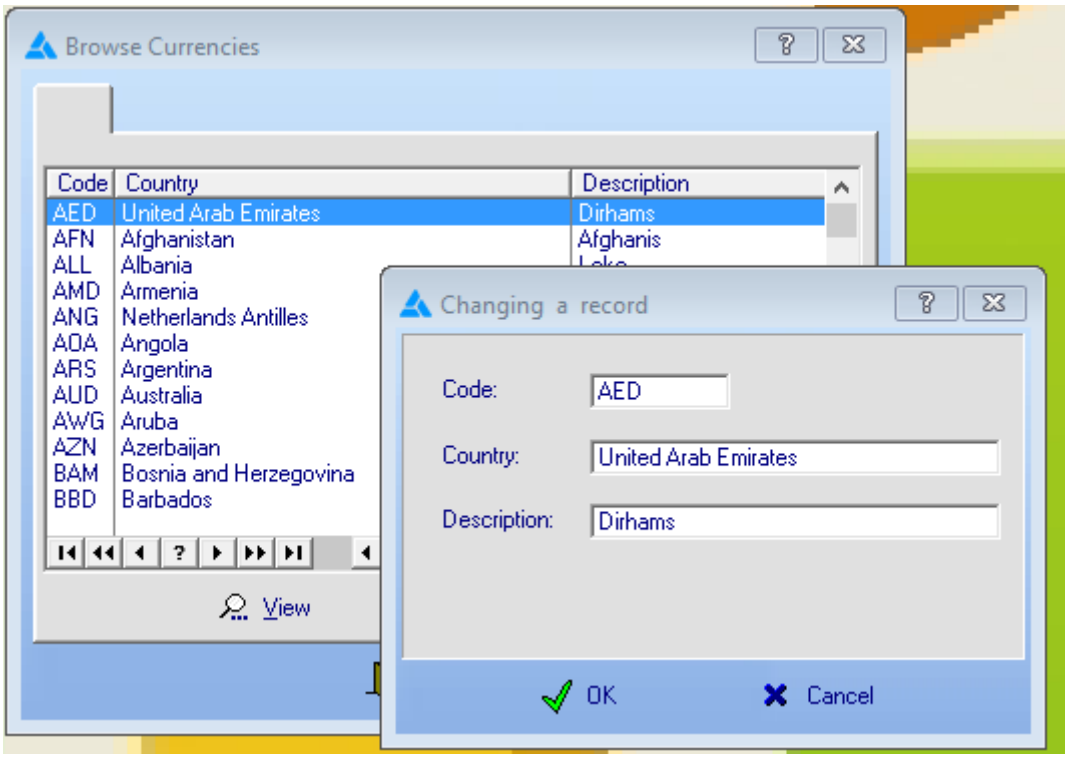
This is where you enter the types of shareholders that you would be utilizing in the share register. In the example we have "Shareholder", "Director", "Company Secretary" etc. "Redeemable".

Browse Entity Type

This is where you enter the different shareholder entity types. In the example we have “Corporation”, “Deceased”, “NGO”,”Individual” etc.

Browse Currencies

Enter/maintain a list of currencies.

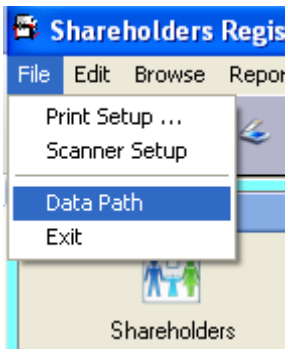


Browse Domicile

Enter/maintain a list of countries. This is where the shareholder has primary residence.

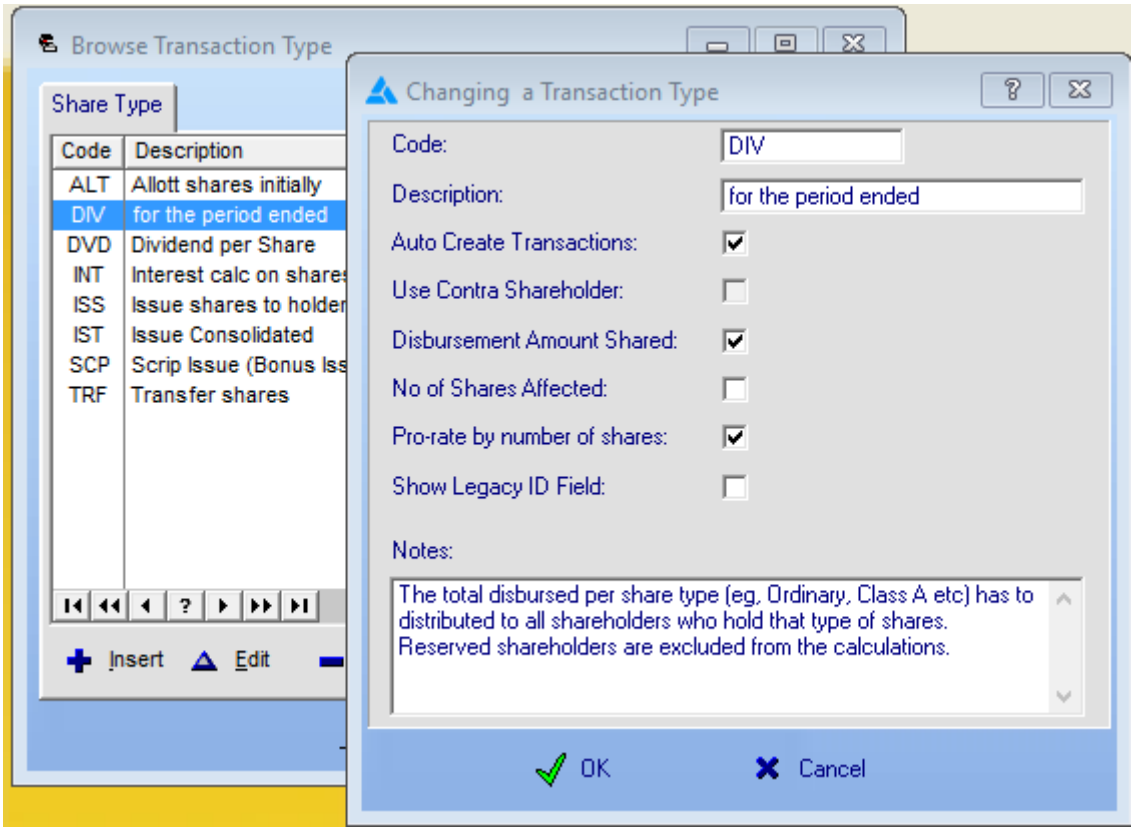
File / Data Path

When you first install the software, the data path will automatically point to that folder either on the server or your local drive. If later on you want to shift the files to another location you will need to modify the path here and on every other client computer (users).



Browse Transaction Type

The transaction type is crucial as to how the share transactions are calculated. The “Auto Create” transactions are not entered but created automatically from information entered here as well as on the Batch entry screen (explained later). For the non-auto create transactions, the contra transaction may or may not be created depending on the switches turned on here. Do NOT change any of these settings. If you are creating new types, copy existing settings.

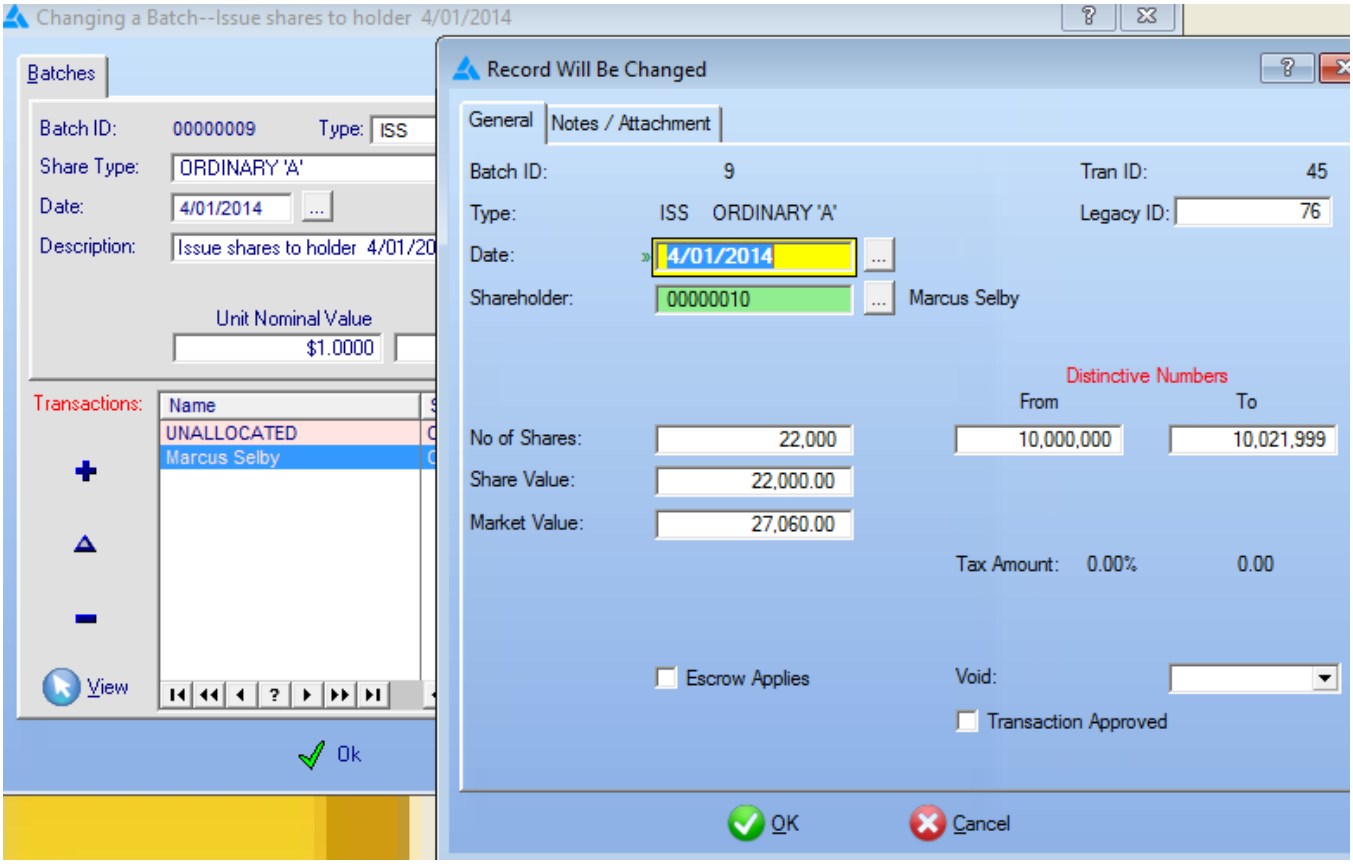


Control	**Description**
Code:	Enter a code for your transaction type.
Description:	Enter a meaningful description for your transaction type.
Auto Create Flag:	If this is turned on then the transactions are auto created according to the specified rules (explained later in batch screen). Contra & No of shares is disabled because I can’t think of a situation where it is applicable. If you disagree please let us know at info@amblinsoftware.com
Contra Shareholder:	The transaction is a 2 legged one and the other shareholder is the “Contra”. If the contra flag is checked then it will allow you to enter a contra shareholder. The list will only include “dummy” shareholders like “UNALLOCATED” or “AUTHORISED” which are not active (active flag unchecked) and have the reserved flag ticked. It will become clearer when we explain the transactions where they are used.
Disbursement Amt:	Is there a lump sum that needs to be divided up between eligible shareholders? This field is also used to enter a fraction (between 0 & 1) for Bonus Shares and Dividend calculations where Dividend = Number of Shares x Per Share Amount
No of shares affected:	Will this transaction involve a movement of the number of shares between shareholders (both reserved and general)
Pro-rate by No shares:	Will the disbursement amount be divided by the number of shares held by the shareholders. Only active, non-reserved and non waiving shareholders are eligible.
Notes:	Enter any notes pertaining to this transaction type.

Browse Batches – Enter Share Transactions

I will firstly walk you through a process from initial allotment, to issue to shareholder to a share transfer. This will give you a good idea of the transactional flow as well as the actual calculations that take place.

1. Firstly we will look at an initial allotment of 200,000 shares at $1 each. The batch ID is a system generated sequential number. The share type is self-explanatory and the date defaults to today. The description by default is a combination of the above.

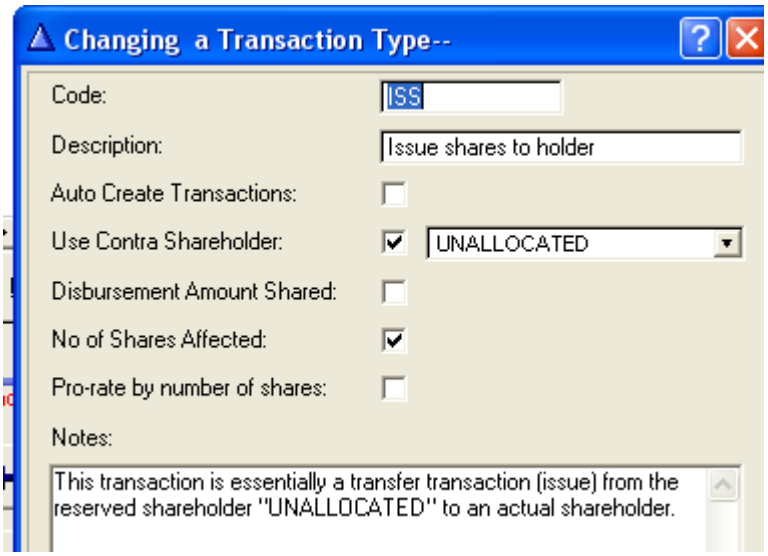


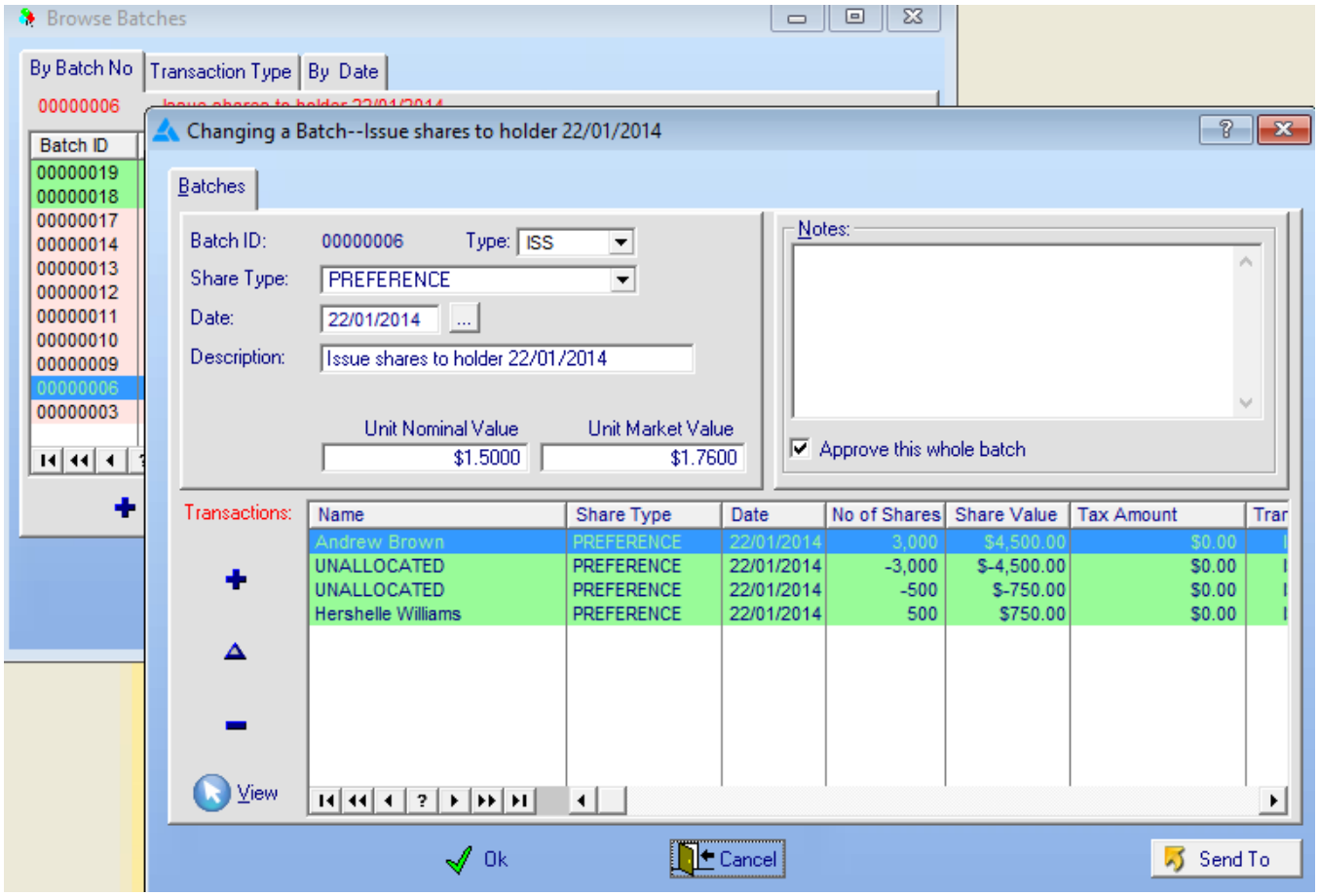
Control	**What it Does**
Date:	Defaults from the batch date but you may change it.
Shareholder:	For an initial allotment this shareholder would be "UNALLOCATED" as none of the shares have yet to be issued to shareholders.
No of Shares:	Enter the total number of shares allowable for this share type
Numbers From:	Enter the start of the distinctive number range
Numbers To:	Enter the end of the distinctive number range. This is calculated automatically by the start and the number of shares.
Share Value:	Calculated value from the number of shares multiplied by the nominal value.
Tax Amount:	Calculated value from the number of shares multiplied by the tax percentage.
Transaction Approved:	This checkbox is only visible to designated approved users. Transactions can be approved individually or by entire batch to save time. Once a transaction or batch is approved no changes can be made to it by unapproved users.

Please Note: Allotment is optional. You may start Issuing as the first step.

The next step after allotment could be issues to shareholder(s).

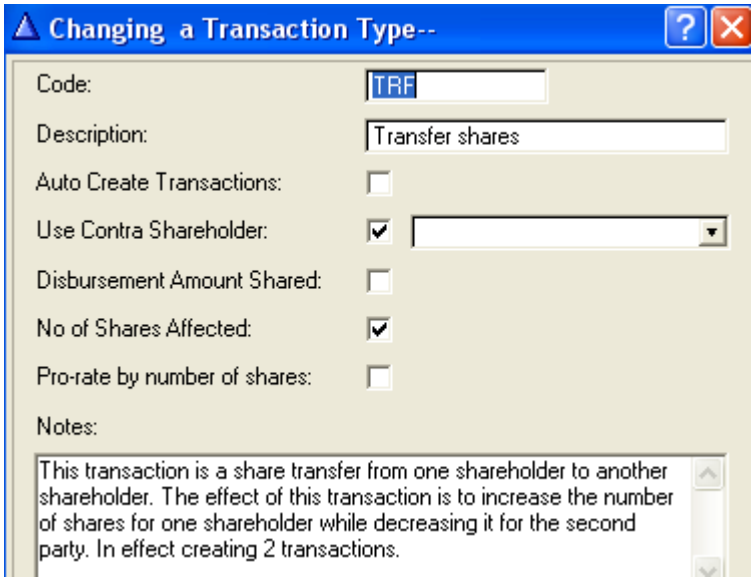
2. We now have 200,000 ordinary shares available to issue to our shareholders. Again create another batch but this time choose “ISS” for transaction type. Share type is “ORDINARY” again. Because we ticked “Contra” (see below) and we specified the contra shareholder as “UNALLOCATED” when we create an “ISSUE” transaction, another transaction is also created for the contra. If we issue 30,000 shares to a shareholder, we take away 30,000 shares from the contra, which in this case is “UNALLOCATED”. This makes sense because now we only have 170,000 unallocated shares.

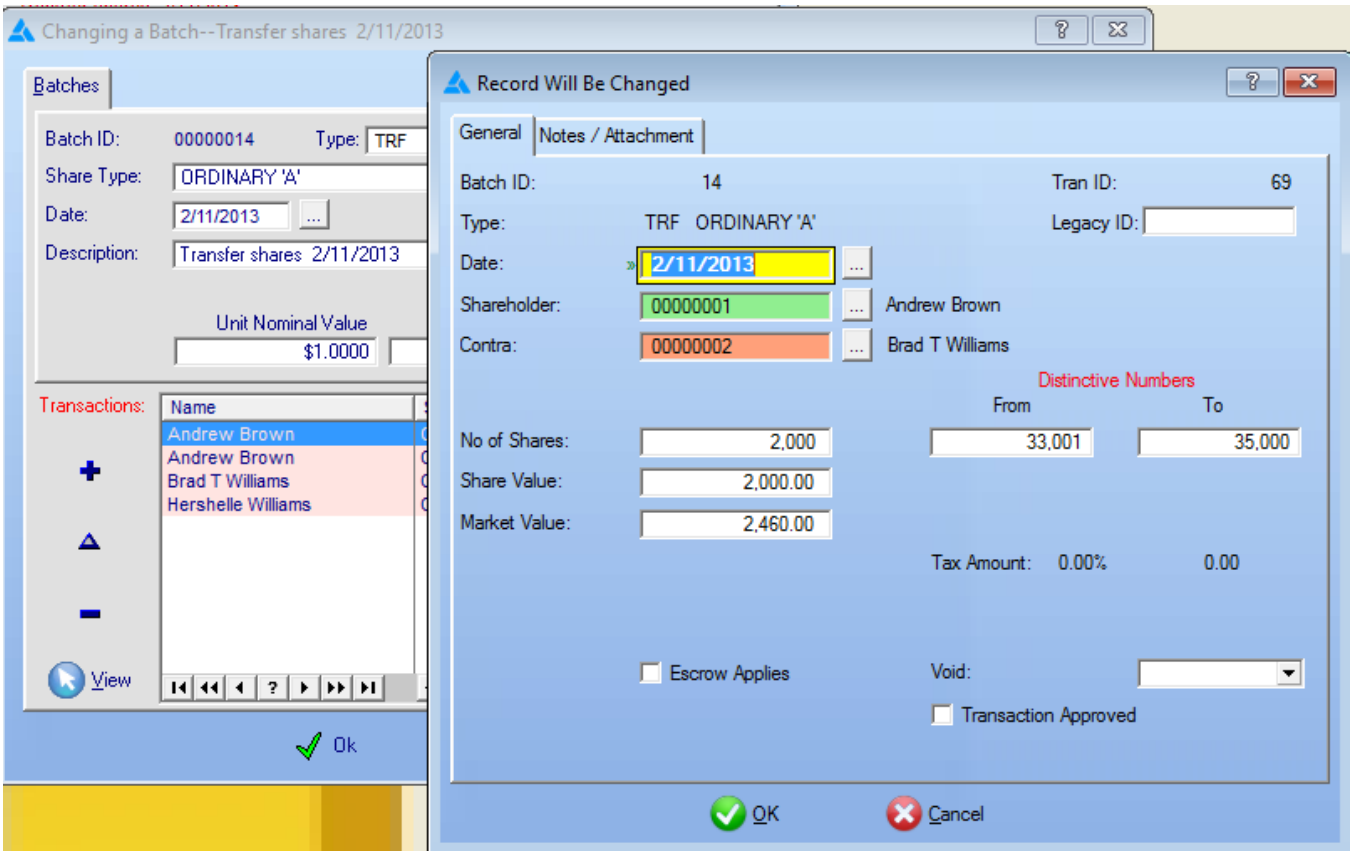




There could also be shares sold from one shareholder to another shareholder – in effect a share transfer.

3. We have a scenario where we are increasing the number of shares for one shareholder and decreasing it for the other shareholder (contra) by a corresponding amount. As shown below in the transaction type we have flagged contra but left the default blank. This is because we enter the contra shareholder at the time of creating the transaction. Again it creates the second transaction (for the contra) automatically. Because the "No of Shares Affected" is ticked, the transaction accumulates to the Share summary when you run the "Refresh Summary" option.



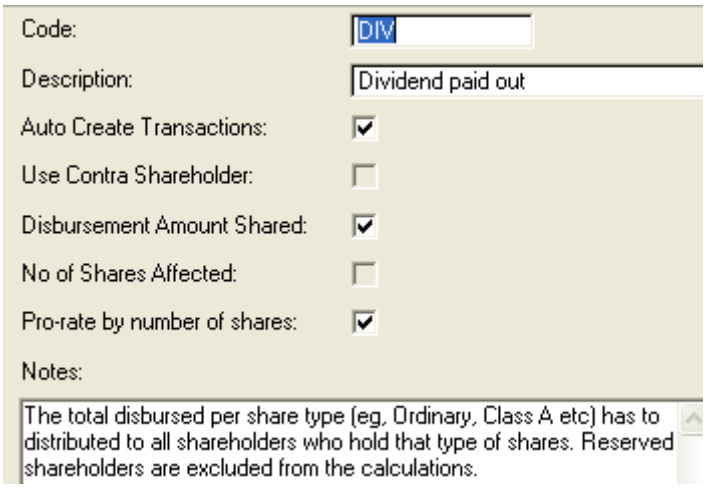


As before you need to record the number range for shares transferred.

Now we come to a dividend transaction which typically consists of a total dividend amount which needs to be disbursed between eligible shareholders. The number of shares should not be affected and that is why that option is disabled below.

4. In this case we want the transactions to be auto-created for us so we specify the criteria for creating the dividend transactions. If you ticked "Disbursement Amt" for the transaction then we are able to enter the amount to be disbursed on the batch screen. The <Insert> button is disabled for auto-create. When we hit the <Ok> button it asks us for confirmation on creating the transactions. Upon confirming it goes through and creates all the dividend transactions for all eligible shareholders ie all active shareholders holding the specified share type and have not had the "Waiver" flag ticked on their profile. By pro-rating by number of shares, the disbursement amount is distributed according to the number of shares held divided by the total number of shares.

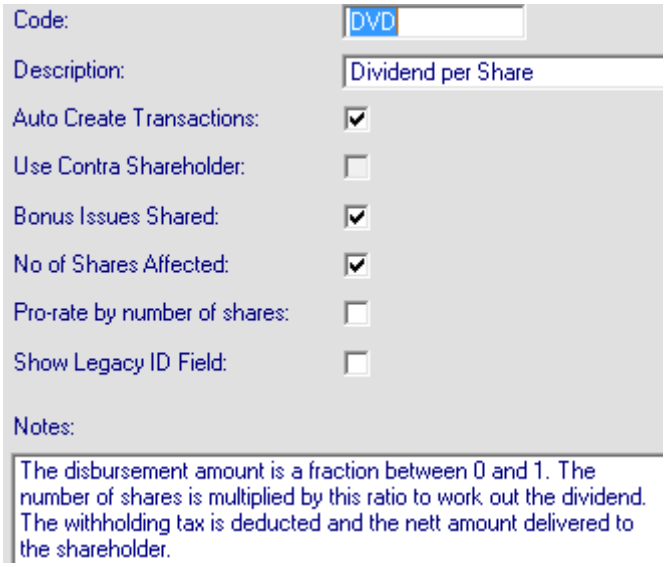
```
Dividend = (Disbursement * Number of Shares) / Total Shares
```

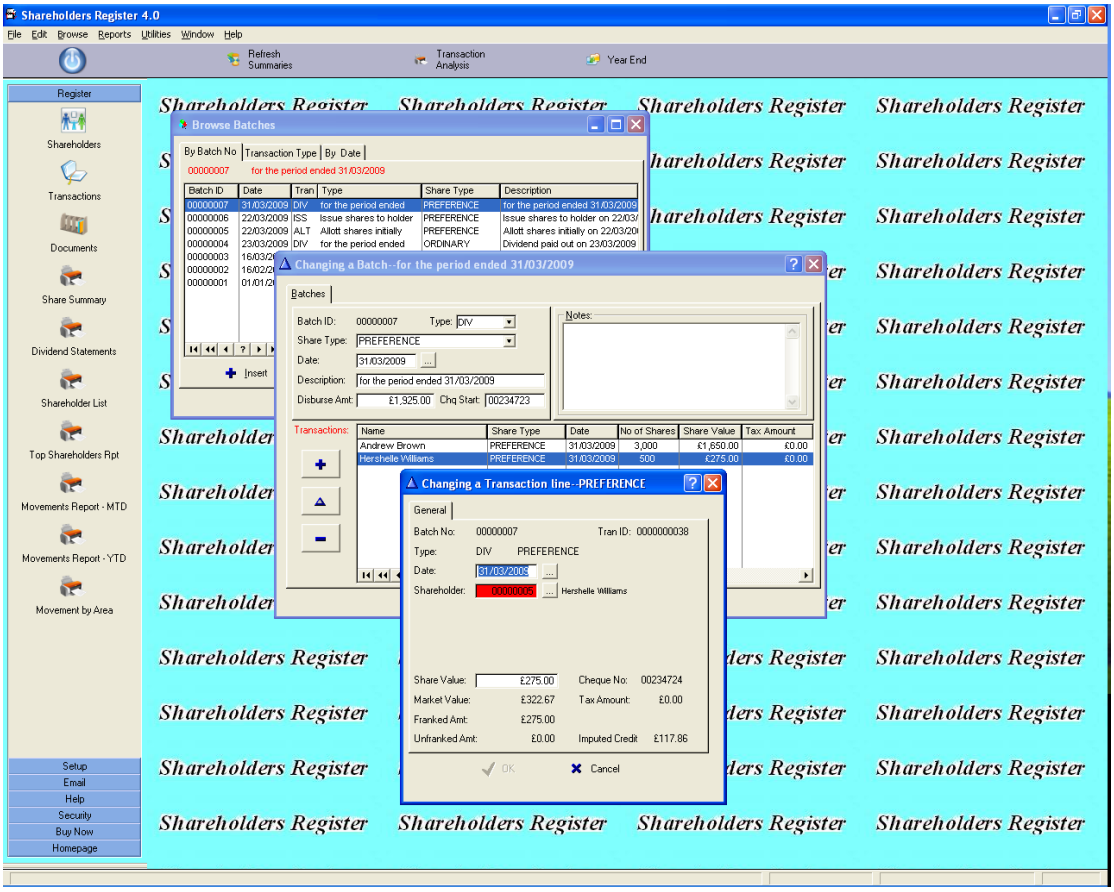


The auto-created transactions will calculate the imputation credits (if any) for the dividend shares. If this does not apply to your country then ignore it. If your country's legislation allows for credit imputations (or franking) then you may apply a franking rate which is put into the Share Type (ordinary, preferential, class a, class b etc) master file. This then allows the system to calculate the imputation credit based on the franking rate and the company tax rate. The dividend statement shows the breakdown of the franking calculations. If the franking rate is set to 100% then a full offset of the company tax paid is available for the shareholder to claim back as a credit. If the franking rate is 60% then the offset or credit is only 60% of the company tax paid.

In the Case of Special Dividends 'DVD' the Disbursement amount becomes a fraction between 0 and 1 and the dividend calculation is quite straight forward:

```
Dividend = Number of Shares x Fraction
```



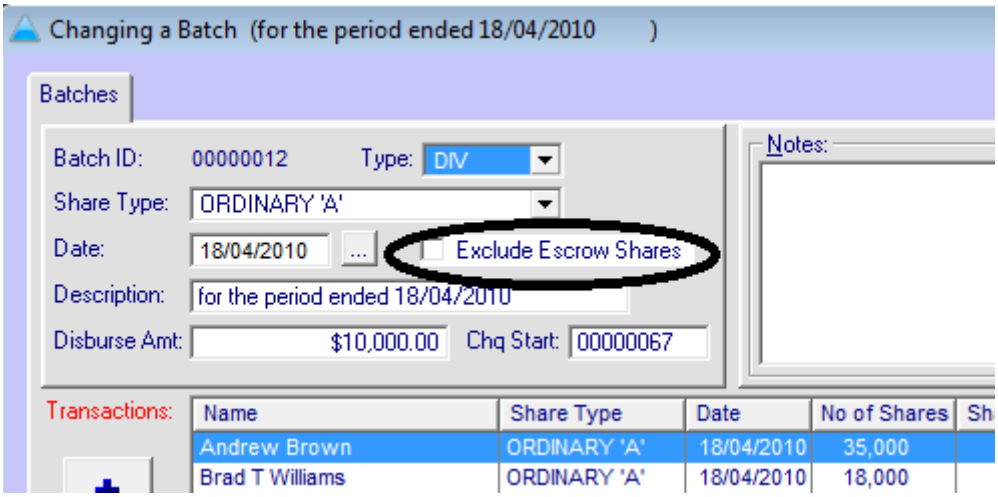


After creating any batches, always “Refresh Summaries” before printing any statements or reports. This is a good habit and ensures that the summarised information and the transactional information are in sync. If you are using the escrow function it will not work properly unless the prior batch (that fixed the transferor’s escrow) has been refreshed. That is the check for availability (Total Shares – Escrow Shares) will not be valid. It’s a good practice to perhaps run a refresh after every transaction batch. That way you know your summary reports are always up to date.

You will also see on some screens a field called “Vested Shares”. This is the number of fully vested shares that are not in escrow hence the calculation is:

Vested Shares = Total Shares – Shares in Escrow

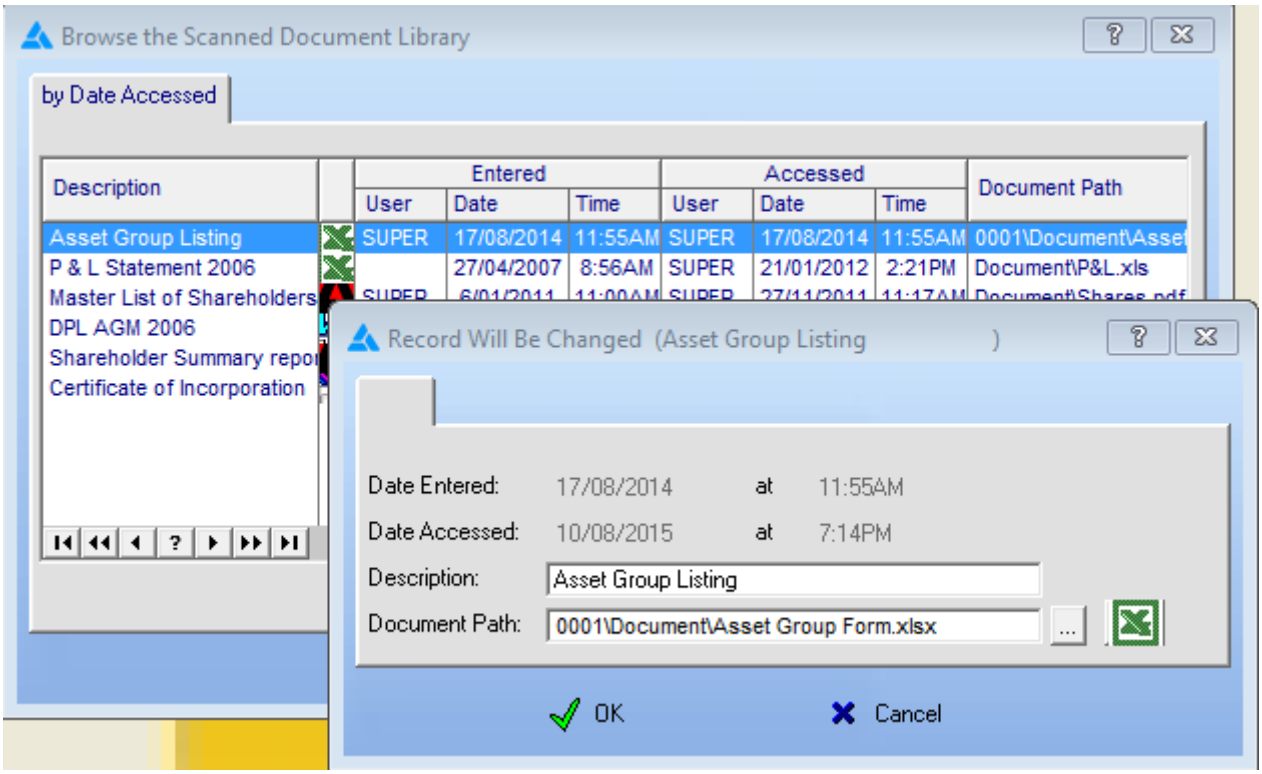
When creating a dividend batch you have the option of either using the Total Shares or Vested Shares by ticking a flag (see below).



Scanned Document Library

Companywide documents can be stored within the system for easy storage and retrieval. The document library is an archive that attaches all relevant correspondence that occurs within the organization pertaining to shareholders. These documents can be in either Microsoft Word, PDF (Acrobat Reader), MS Paint (TIF,GIF, JPG or BMP), or Microsoft Excel (XLS) formats. The system recognizes the attachment and the icon bitmap changes accordingly. Clicking on this icon will open the document with the correct application.

Register >> Documents



By default all documents are stored in the \Document folder (sub-directory).

Buy Now / Upgrade

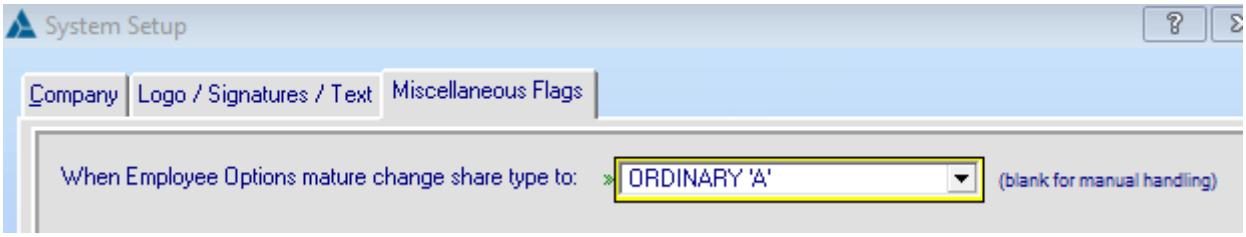
The “Buy Now” option allows you to send an email to Amblin Software requesting a quote or to confirm a purchase. There is also the ability to print a registration form and email that if you wish. If the package is already registered then the Caption will be <Upgrade> not <Buy Now>.

Employee Options

An employee stock option is a scheme that allows for granting shares to selected employees as a means of retaining staff who are invaluable to the company. Typically employees must wait a specified vesting period before being allowed to exercise the option.

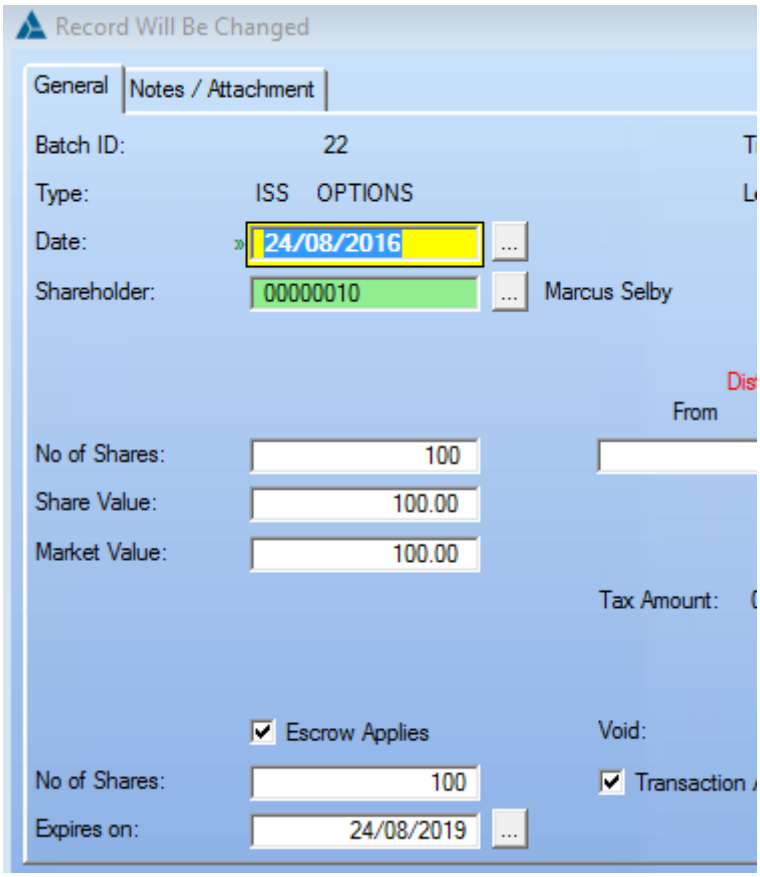
In Shareholders Register 6.0 it is handled with a reserved Share Type called “OPTIONS” and the existing escrow facility to facilitate the management of stock options.

Step 1: In the Control File choose the share type that the “OPTIONS” convert to when the vesting period is active and the employee decides to exercise their options.



Leave this blank if you want to handle the process manually ie, manipulate the “OPTIONS” batch and create a new batch.

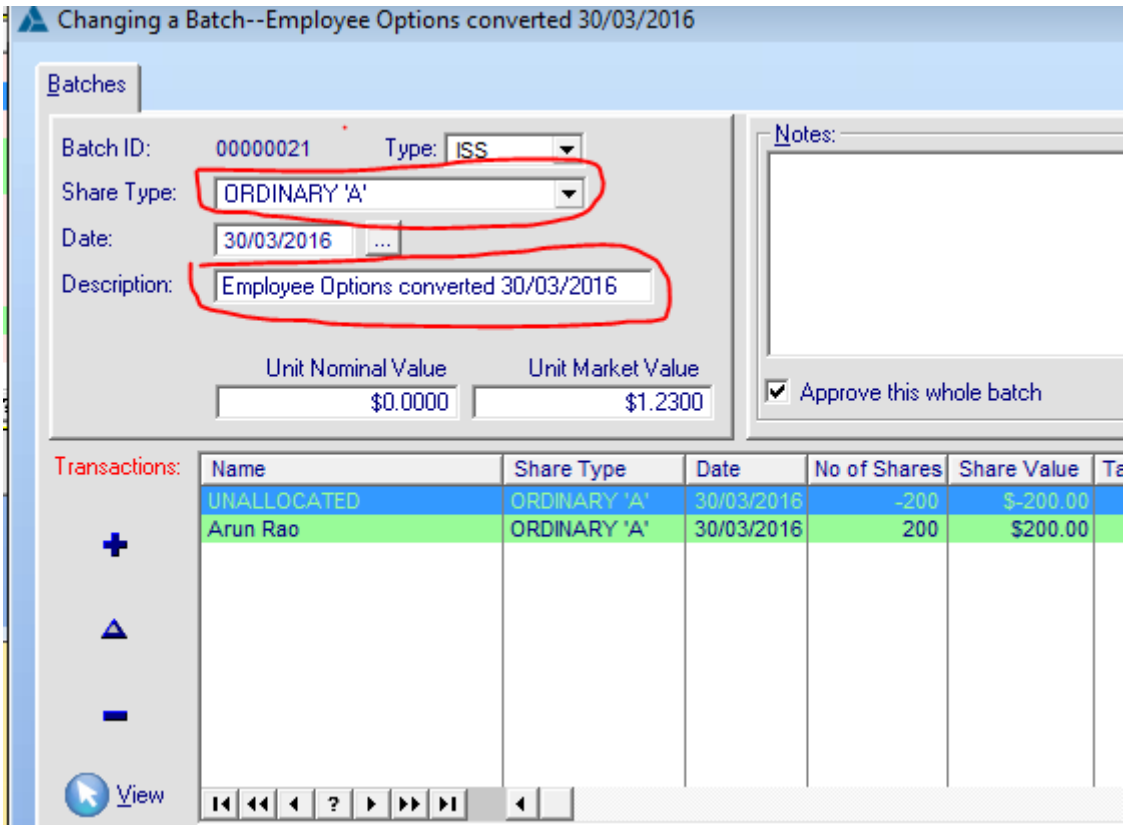
Let us create an “OPTIONS” batch and take a closer look. I’ve created an issues batch (ISS) with Share Type = “OPTIONS” (which is a reserved share class used for employee stock options). The date of the batch should be the date from which the options can be exercised by the employee. The escrow date is the date that the options offer expires and the employee can no longer exercise those options.



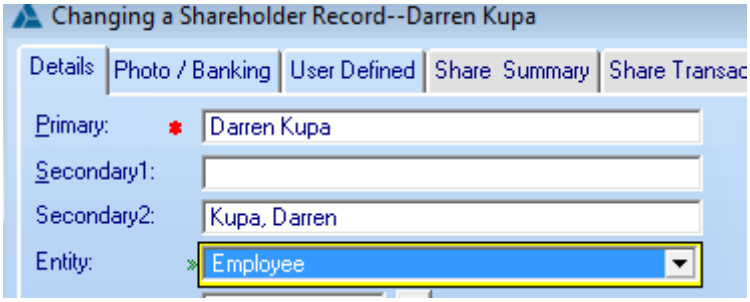
If you choice to automatically convert the “OPTIONS” to say “ORDINARY A” shares then on the date the employee decides to exercise their options you **will** have to change the expiry date to today’s date and then run the <Refresh Summaries> process. You may (or may not) have to change the share values to more accurately define the pricing of the period.

What happens during the Refresh process:

1. It checks that the escrow flag is set
2. It checks that the expiry date is less than or equal to today’s date
3. It creates a new batch that has the same share type as defined in company setup
4. It removes the transaction from the options batch and puts it in the new batch
5. These shares are now fully vested and dividends can be paid against them.



For reporting purposes you may group employees together by giving them the entity = “Employee” in the shareholders master file.



Reports

Shareholder Master Report

This report prints out all the active shareholders details. Choose the range of shareholders and then choose the report output format.

Shareholder Summary Report

This report prints out a summary of all the transactions (involving share quantities) for all the active shareholders. Choose the report output format.

Print Shareholder Name Badges

This report prints out all name badges for a chosen range of shareholders and batches. Choose the report output format. For example if you needed to print out name badges for an AGM you could open a dummy batch, add transactions to it (nil movement) and then print out ID tags by printing the batch.

Shareholder Labels

This is a simple report to print out mailing labels. Choose the range of shareholders to print and then choose the report output format.

Share Transfer Form

This is a blank worksheet printed out to be filled by the Transferor and Transferee for shares traded within the company. The manually filled form can then be entered into the system as a batch transaction. Remember to “Refresh Share Summary” periodically to keep the summaries up to date.

Share Register Form

This worksheet is similar to the above worksheet but is not a formal binding document. Just a summary of shares held.

Print Batch

You can also print a Batch directly from the Batch Browse screen. It will print whichever batch is highlighted.

Print Cheques

You can also print a Cheque Batch directly from the Batch Browse screen. It will print cheques for whichever batch is highlighted. There are 3 cheques to an A4 page. Menu path is “Reports / Shareholder Reports / Print Cheques”. To customise info@amblinsoftware.com

Dividend Statements

This Choose the batch that you want to print the statements for and click on the “Print Batch” button. This will print all the transactions for that batch, 1 record on each page. Print and mail it out to the shareholder along with the cheque.

Top Shareholders Report

This report prints the list of shareholders in descending order in terms of shares held for a particular share type. Ensure the summaries are up to date before running this report.

Movements Report - MTD

This report prints the list of shareholders in descending order in terms of shares bought or sold this month for a particular share type. Ensure the summaries are up to date before running this report.

Movements Report - YTD

This report prints the list of shareholders in descending order in terms of shares bought or sold this year for a particular share type. Ensure the summaries are up to date before running this report.

Movements by Area Report

This report prints the list of shareholdings by Geographical location for a particular share type. The report picks up the headings from special area codes set up as follows:
For New South Wales you would set up an area: Code="NSW", Name="New South Wales" and Postcode = "0000", For Victoria it would be "VIC","Victoria","0000" etc. The shareholders area code would be "NSW","Punchbowl","2238" etc By having NSW, it would get picked in the NSW statistics. Ensure the summaries are up to date before running this report.

Transaction Analysis Report

This report is displayed prominently under the menu bar because we feel it will get used a lot. Basically you have a choice of dates, share types and transaction types and that produces the report. It is important to choose an "End Type" (you can leave start type blank), and an "End Transaction Type" otherwise you will get a blank report. There are 3 push buttons called "Today", "This Month" and "This Year" to quickly display these dates before running the report. Ensure the summaries are up to date before running this report.

Print Share Certificate

This report is prints out a common Share Certificate format. If you would like a different format please email us a pdf copy of your own Share Certificate and we will incorporate it into the software. Our email is info@amblinsoftware.com cost is approximately US$85.

Audit Reports – Shareholder, Transactions, Batches

Sometimes you may want to know which user created or modified records and when they did that. For batches use the <Send To> button to view batch details. For Shareholders & Transactions these reports can be found under <Reports/Shareholder Reports> and can be exported to Excel.

* All reports and labels are A4 size (unless stated otherwise).

Email Custom Letters

This is a particularly useful utility for emailing correspondence to the Shareholders. The letter is defined in the “Maintain RTF Letters”.

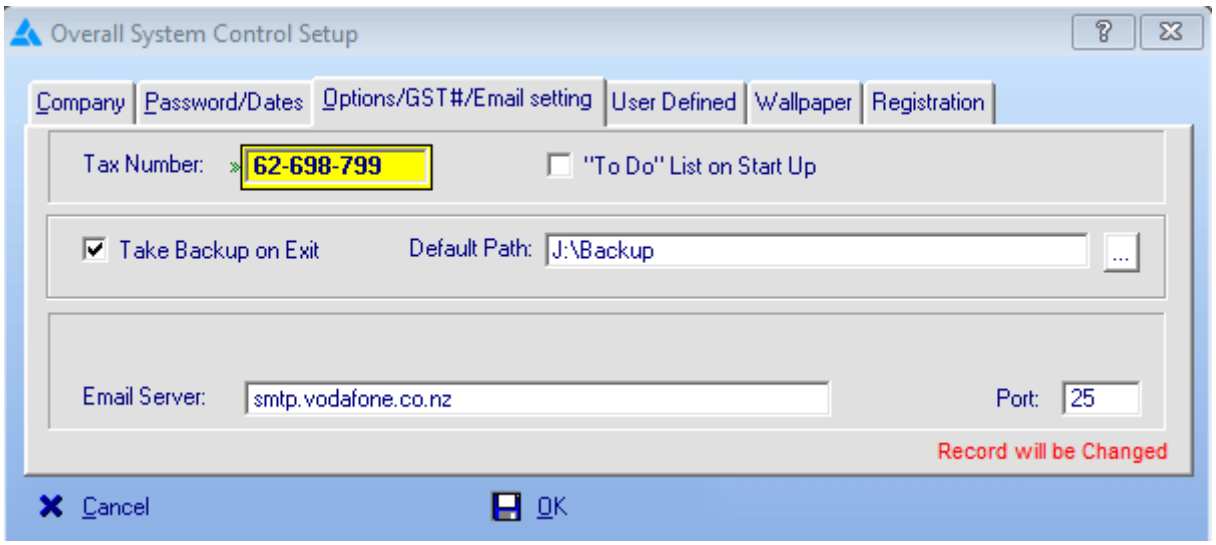
When you click on the <Send email> button, it will ask you whether you are connected to the internet. If you answered ‘Yes’ then the following selection window will appear.

You are to choose a batch and then press <Go>. The Shareholder must have a valid email address and the ‘Use Email’ flag must be ticked.

Setting Up Email Defaults

From the System menu, this option sets up the SMTP default settings for the windows messaging system to work. You have to know the following parameters.

Setup >> Overall Control >> Options/GST#/Email Setting

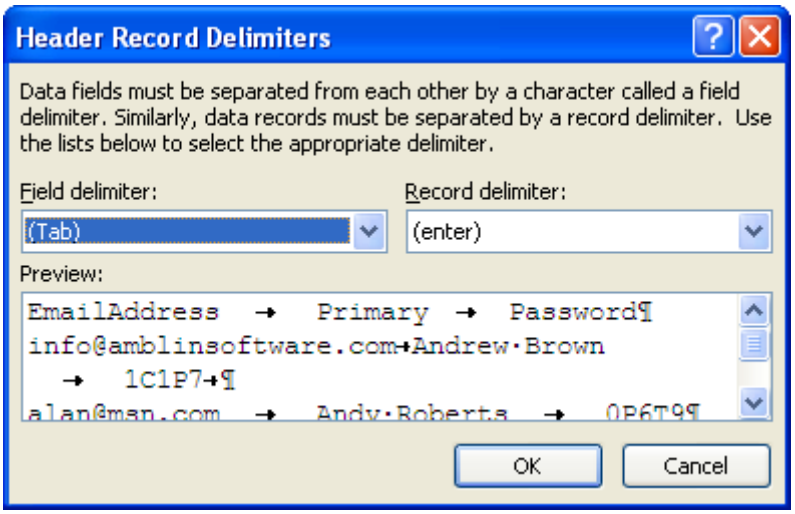


Control	What it Does
Default SMTP Server	Usually smtp.yourdomain.com or mail.yourdomain.com (you can look this up in MS Outlook under "Tools/Account Settings" and it's the Outgoing mail server SMTP)
Default Port	Usually 25 but may be different if you are using a mail server in-house and have changed from the default
Sender Address	The mailing address the message is origination from
Domain	Usually what follows the @ symbol in your address
From Header Name	Put who message is from eg 'Your Name', 'Administrator', 'Webmaster' etc
From Header Address	Usually same as Sender Address above
Subject	This is usually the last Form Letter name that you emailed out and is the Subject of the email.

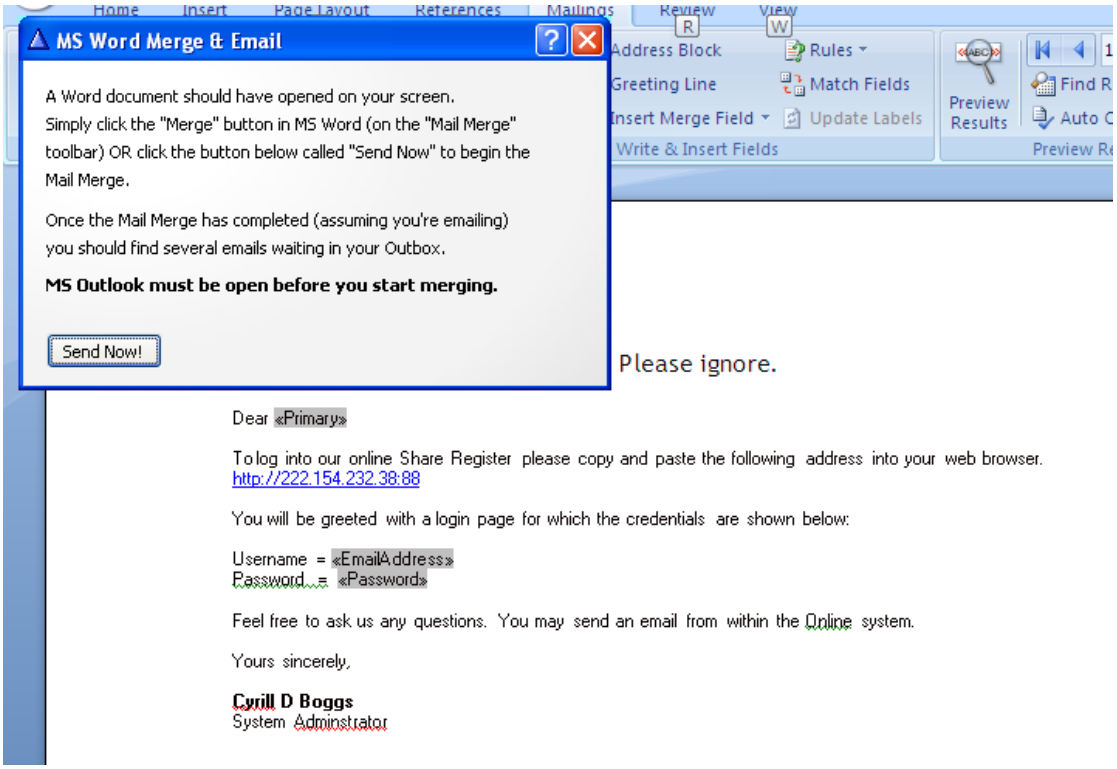
Note: If you are unsure of the above settings, check with your internet service provider or your server systems administrator. Note: There are 2 places where you have to set up email defaults. One is for merged documents. The other for emailing pdf reports.

Word Merge CSV to Email

This feature is similar to “Email Custom Letters” above except it uses your MS Outlook and MS Word to mail merge and send out the letters. Since it uses MS Outlook, there are no email settings to maintain BUT Outlook must be active (open) at the time of sending. When you activate this function, Word will automatically open with the various windows. You MAY be prompted to enter the field and record delimiters. This is in regards to “Data.csv” which contains the Email Addresses. In the sample “Data.csv” the field delimiter is <,> and the record delimiter is <Enter>. The first line MUST contain the header line with the column denoting the email address to be named “EmailAddress”.



Once you have entered this information the following window will come into focus. Pressing <Send Now> will email the form letter to all the recipients.



Limitations:

1. The Subject line will always be “Shareholder Information dd/mm/yyyy”.
2. The word document used in the merge is always called “MailMerge.doc”
3. The Email recipients list is always called “Data.csv” and resides in the Shares5 folder (where Shares.exe resides).
4. The first line of “Data.csv” MUST contain the header line with the column denoting the email address to be named “EmailAddress”.
5. You will know the process to Mail merge in MS Word before attempting to do it out of the Shareholders Register software. It is NOT difficult.

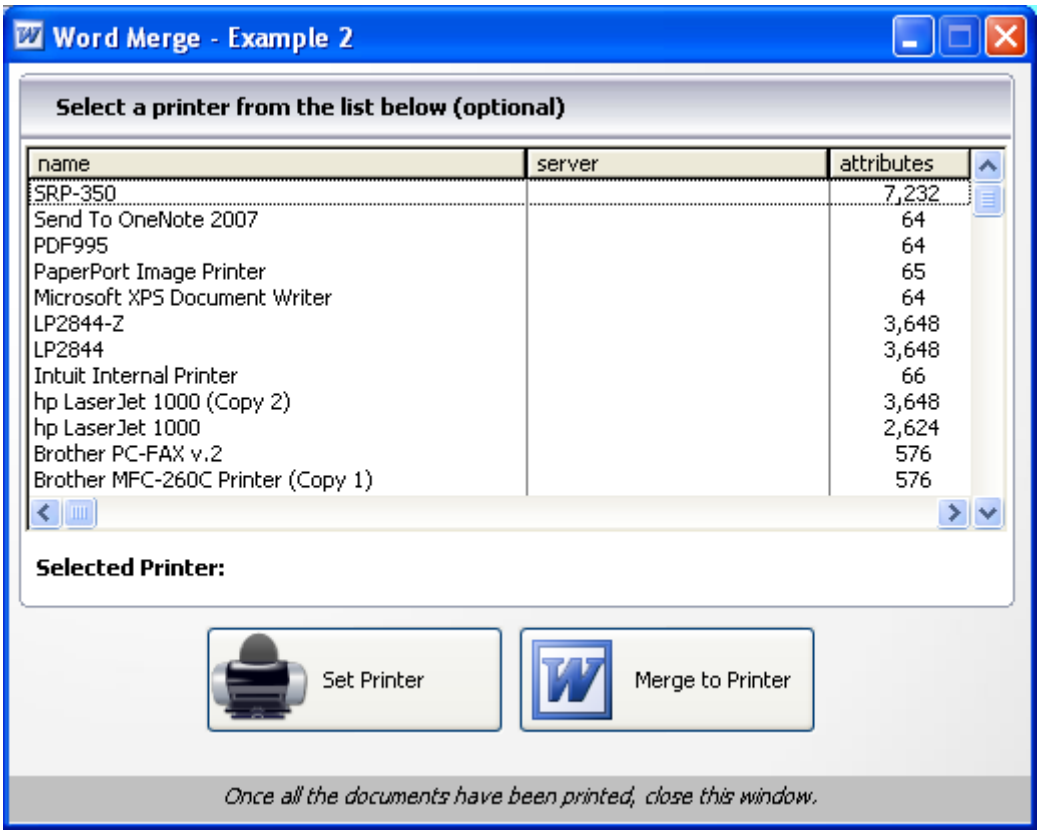
If you require more functionality then use the “Email Custom Letters” option.

Creating the Data.csv file:

This is quite straight forward. Go to “Utilities / Export Data Files”. Tick the “Shareholders” tick box and press <Ok>. This will output the latest shareholder information into “Data.csv”. “MailMerge.doc” is setup to use “Data.csv” as its data source. You can have a view this file by using MS Excel or Notepad.

Word Merge CSV to Printer

When you invoke this option MS Word will open simultaneously with the window below. Firstly pick the printer by highlighting it and then pressing <Set Printer>. If you are happy with the merge document then click on <Merge to Printer> and you’re done.

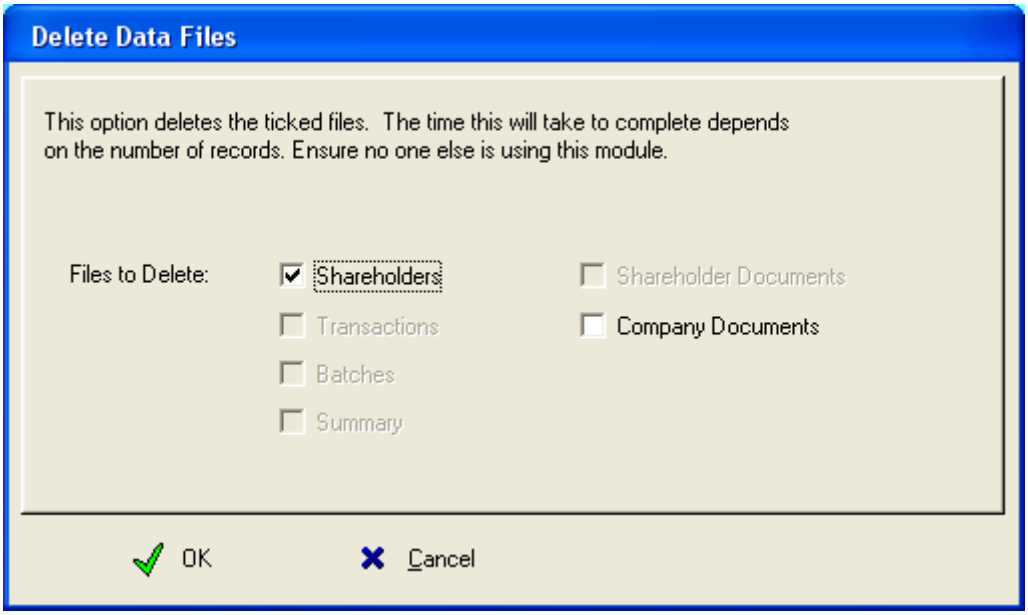


As with emailing, the Mail merge document is called “MailMerge.doc” and the data source is called “Data.csv”.

Utilities Menu

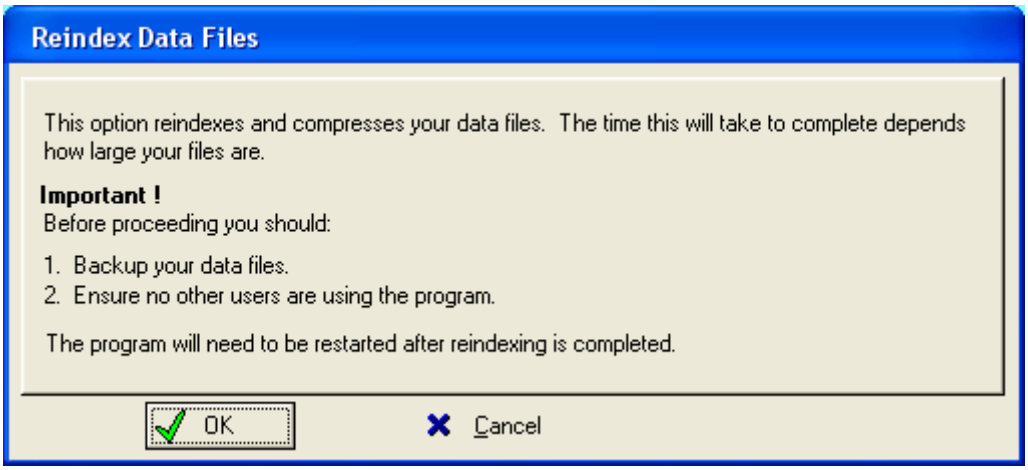
Delete Data Utility

When you first install the software it comes with sample data. To enter data specific to your company you need to delete the sample data and the “Delete Data Files” utility performs this function. If you tick “Shareholders” then by default it will also clear the associated “Transactions”, “Batches”, “Summary” and “Shareholder Documents” files. You may then start entering your shareholder information.



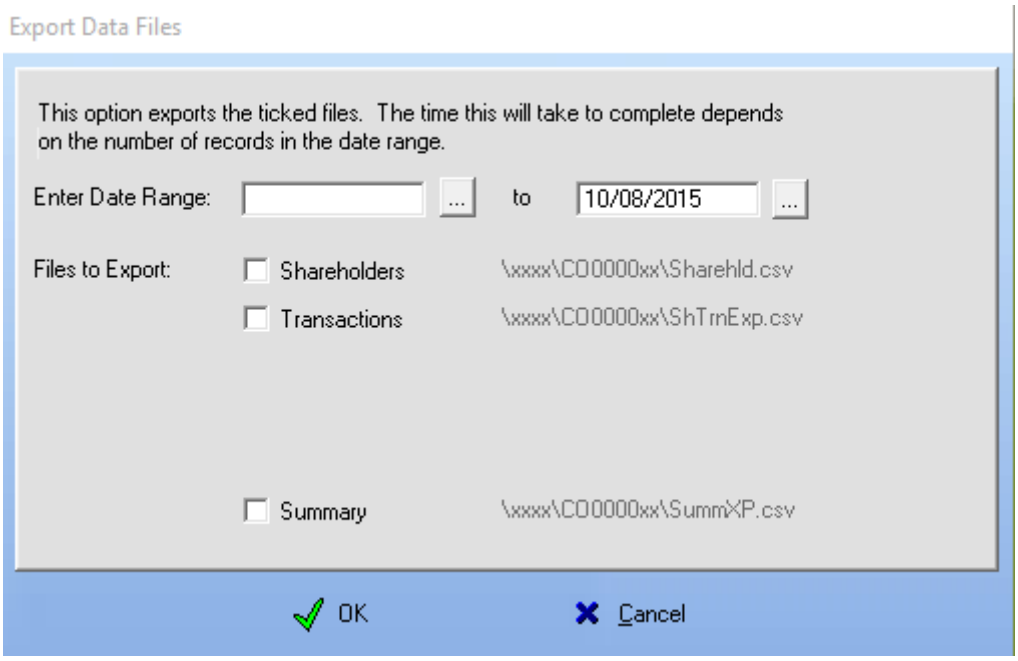
Re-index Data Files

Sometimes when a data file becomes corrupt (very very rarely), a file re-index will fix any problems with the indexing.



Export Data Files

Choose the date range to print for the share transactions. The date range does not apply to the Shareholders master file of which all active records are exported. You can use the exported file to do a mail merge in word or open it up in Excel. You may tick those tables that you wish to export. The file names are shown on the right and will exist in the data directory.



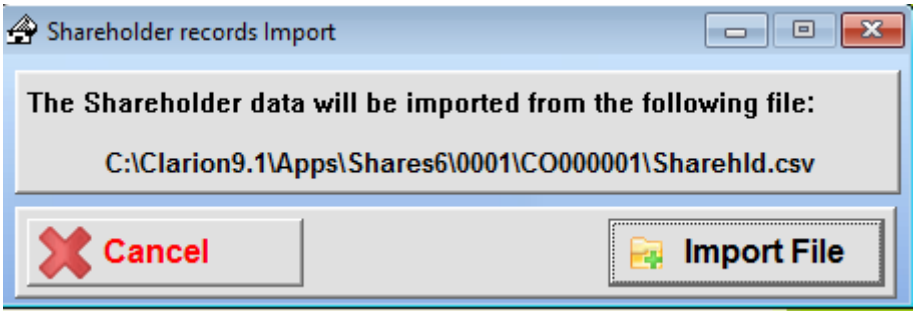
All files are saved to their respective company directories. The export and import files for shareholders and transactions are the same:

Shareholders	-	Sharehld.csv
Transactions	-	ShTrnExp.csv
Summaries	-	SummXP.csv

Import Shareholders

Click on the <Import File> button to import shareholders from the csv (comma-separated values) file called 'Sharehld.csv' which resides in the respective company directory.

In the import process, if it does not find matching fields in related files like 'Department' or 'Area' it will create it automatically to retain referential integrity.



If the package is unregistered, then it will import only 5 shareholders. If it is registered it will import only the number which matches the licensing, eg, if its registered for 100 shareholders, it will stop importing after the 100th shareholder. There is an "Import Area Utility" as well – see appendix. The "Update Shareholders" utility only works on existing shareholders.

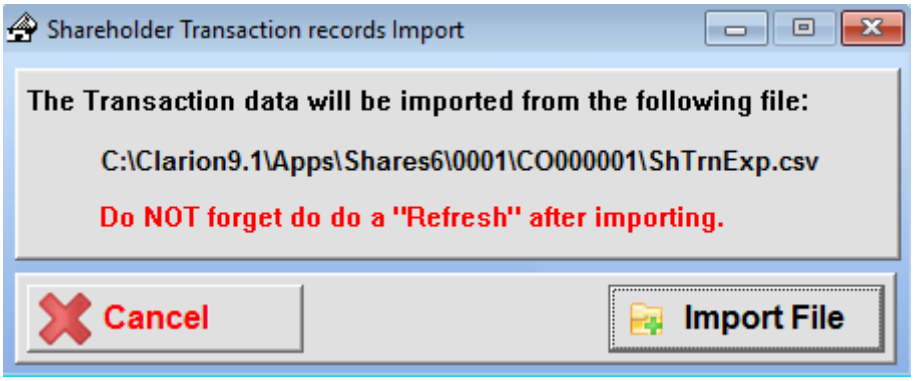
Import Share Transactions

Click on the <Import File> button to import shareholder transactions from the csv (comma-separated values) file called 'ShTrnExp.csv' which resides in the respective company directory.

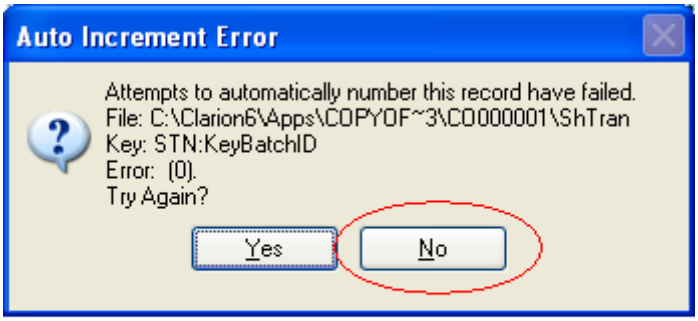
In the import process, if it does not find matching fields in related files like 'Share Type' or 'Transaction Type' it will abort import with an error message. Always take a full backup before attempting an import. Also you will need to have the correct Shareholder ID and Contra ID's or else it will either link the shares to an incorrect shareholder or abort if it cannot find the shareholder with that ID.

Another tip is to keep all the transactions that have the same date and transaction type in consecutive rows eg, All 'TRF' transactions for the 26/12/2012 should be in consecutive lines followed by for example 'ISS' lines for 01/02/2009 etc. It will create a new batch for each Date and Type.

Best way of doing this would be to export out some transactions and then have a look at the format to get an idea of how to do it. Always do a refresh after the transaction import as this will summarise the latest information for your reporting.



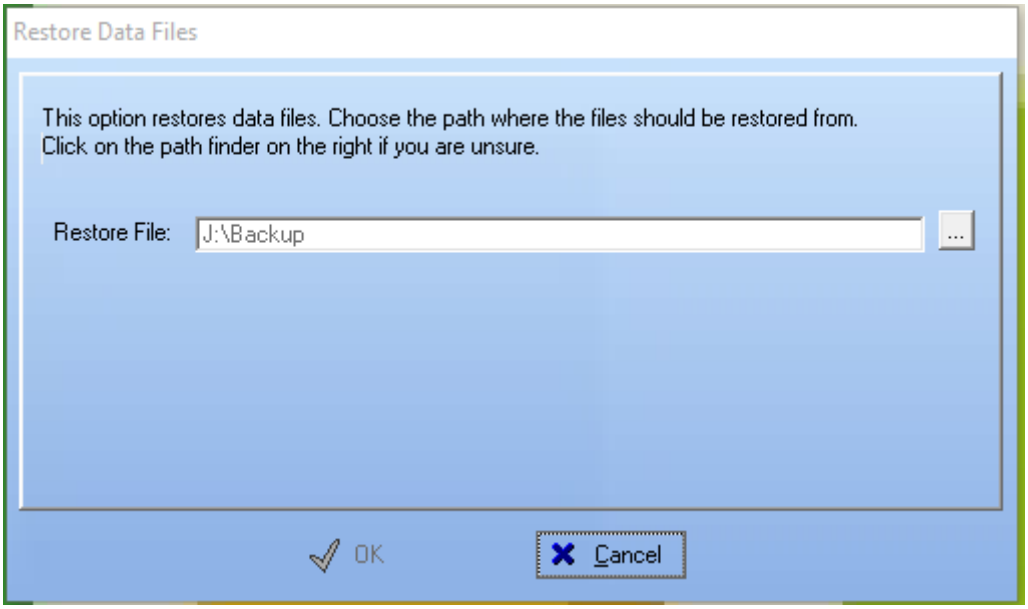
If the package is unregistered, then it will import only 100 share Transactions. Sometimes during the import you may get an error as below, don't panic, just hit "No" each time and it will continue processing. (* you should not get this error in version 6.0+, if it appears email us or send us the file to have a look)



The reason for this error is that it violates a Key in the transaction file which states that only one instance of a Shareholder/Contra can exist in a batch. What it will do is create another batch to put the transactions into. Remember if you are not happy with the Transaction ID's you can put something in the "Legacy ID" field and then run the "Import/Change Tran ID" utility (shown below). Make sure that this legacy id is not already used. The ID field is also the Share Certificate number. With the addition of batch and transaction approvals the rule is: If the user that is doing the importing is a designated approver then the batch and transactions will be pre-approved when importing. If not then the batches and transactions will need approval from a designated user after importing.

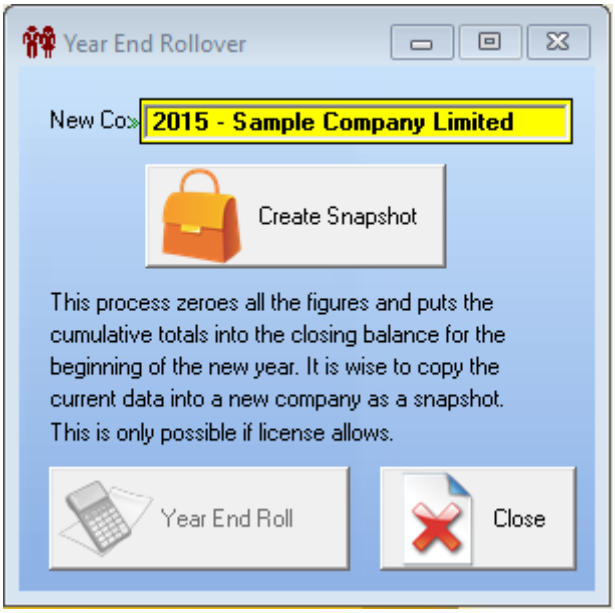
Restore Data Files

Be extremely careful with this option as all data files will be overwritten once completed. Ensure that no other users are in the Share application. The default restore directory is the one that is set up in "Overall System Control". Click on the lookup ellipsis and choose the date of the zip file that you would like to restore. Once chosen the "Ok" button will be enabled and clicking on "Ok" will start the restore process on confirmation. Once restored you will need to restart the Share application and continue with processing.



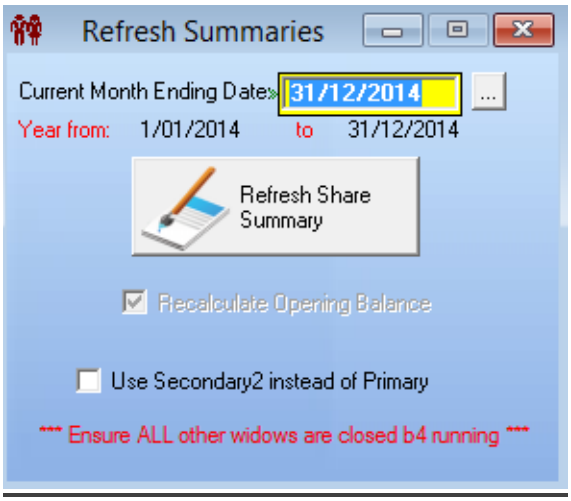
Year End

The purpose of the year end is 2 fold as illustrated by the schematic below. Ensure your license allows you to create multiple companies. The start and end of year dates are moved forward by 1 year. Check your "Setup/Company" to ensure the dates are correct.



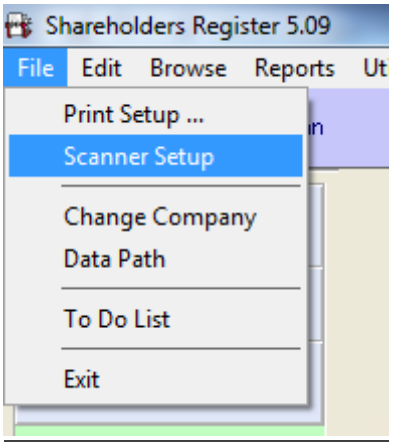
Refresh Summaries

This option ensures that all the transactional information that gets entered via the batches get summarised per shareholder and share type (class). It also means that the summary reports are then accurate and up to date. At the same time the MTD (month to date) and YTD (year to date) calculations are updated. Tick the "Recalculate" option if you have prior year batches which haven't rolled over into the opening balance for this year.

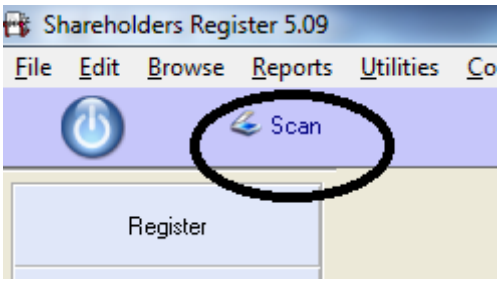


Scanning Option

There is now a built in scanning option which can be used for document management. The first part is setting up a profile which can be done from the "File/Scanner Setup" menu option.



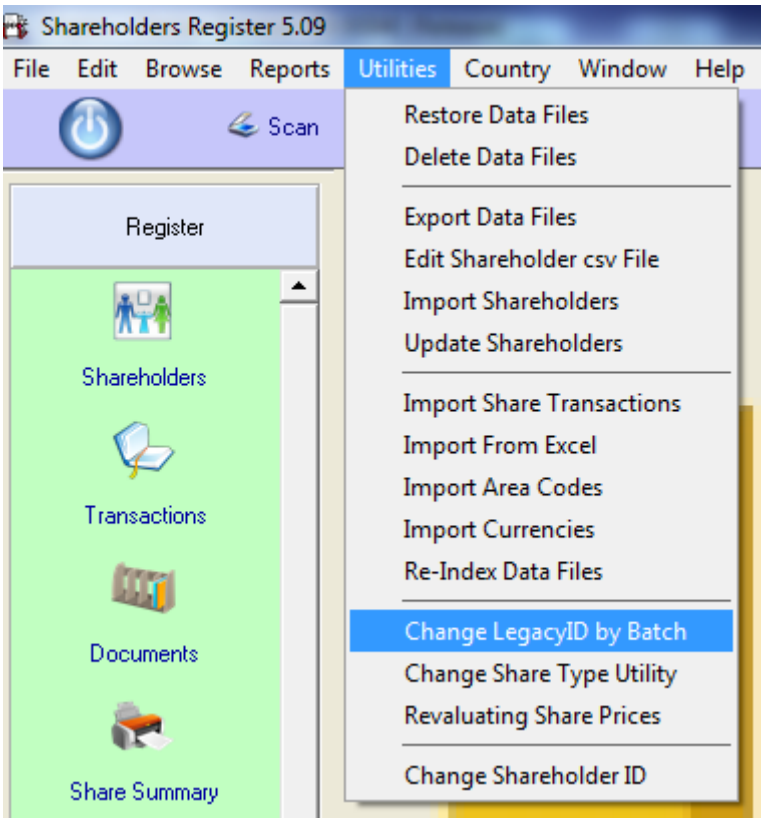
Once you have set up the profile you can do scans via the scanner button (next to the Power button.



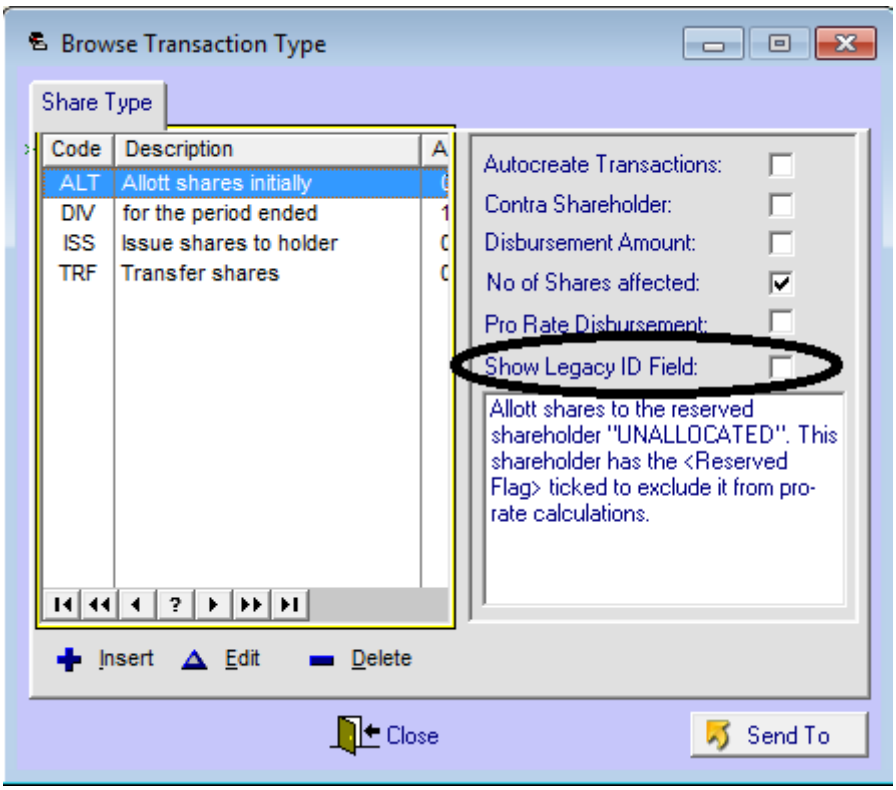
Insert a new scan. Enter details of the scan before invoking the "Scan Manager". When the scanning interface comes up click on the "Scan a page" (scanner) option, "Save a file" (disk) and then "complete scanning and exit" (tick). If you are happy with the scan save it or else discard it. This scanned file is now available to be scanned to any attachment in any module. It will have an extension .tif and will reside in the "Documents" folder unless otherwise specified by you.

Aligning Old Legacy Certificate numbers with current Transaction ID's.

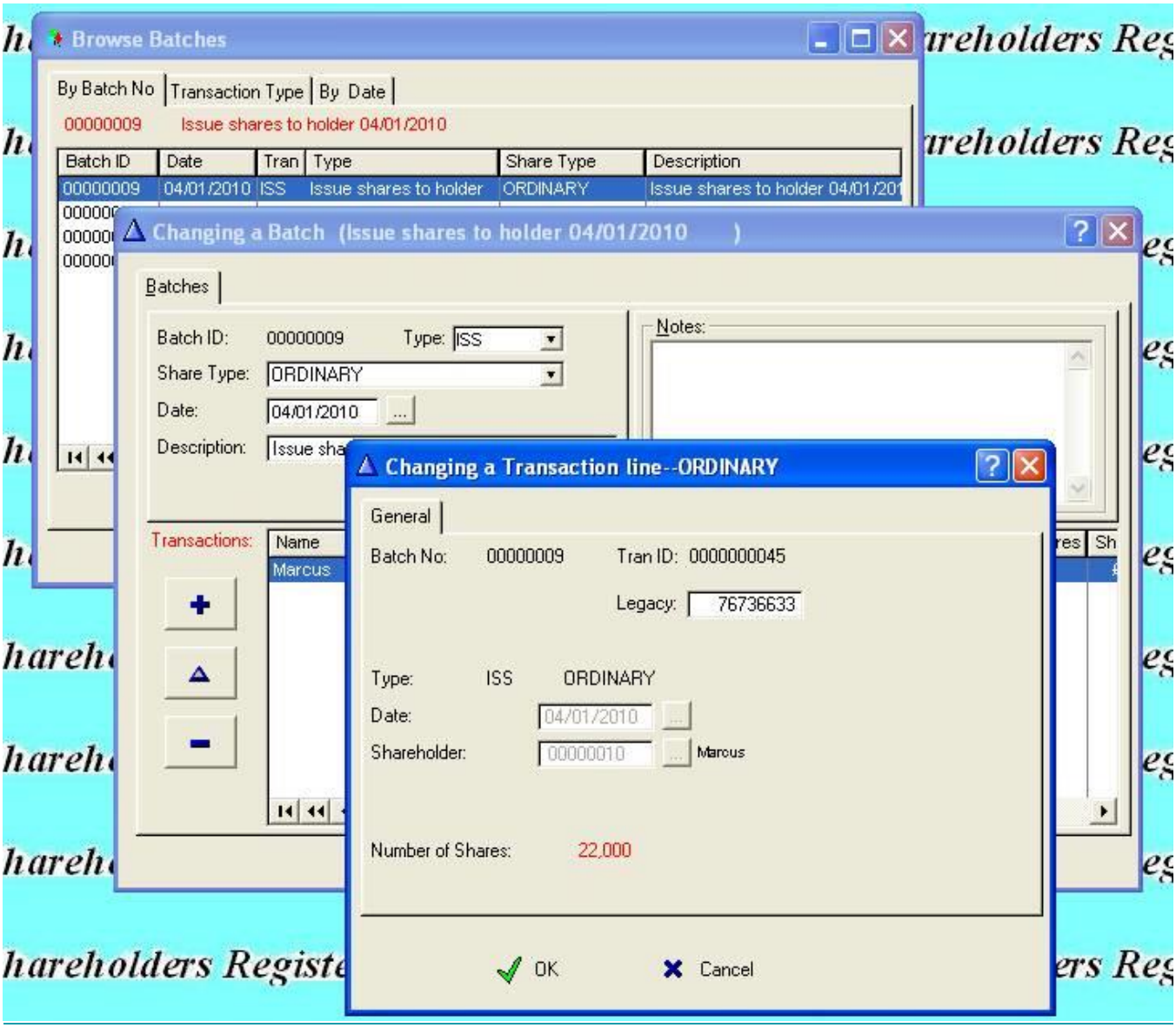
If you already have an existing Share Registry system you would want to use this utility to enter the old legacy numbers. Once you have entered all your (old) transactions you can go in and change the numbers using:



Before you do that go to the Share Transaction Type and tick the types that you would like to change the transaction id's for. These would normally be for "TRF" (transfer) and "ISS" types only.



Next go to the “Change LegacyID by Batch” utility and fill in the old Share certificate numbers next to the system supplied transaction ID’s.

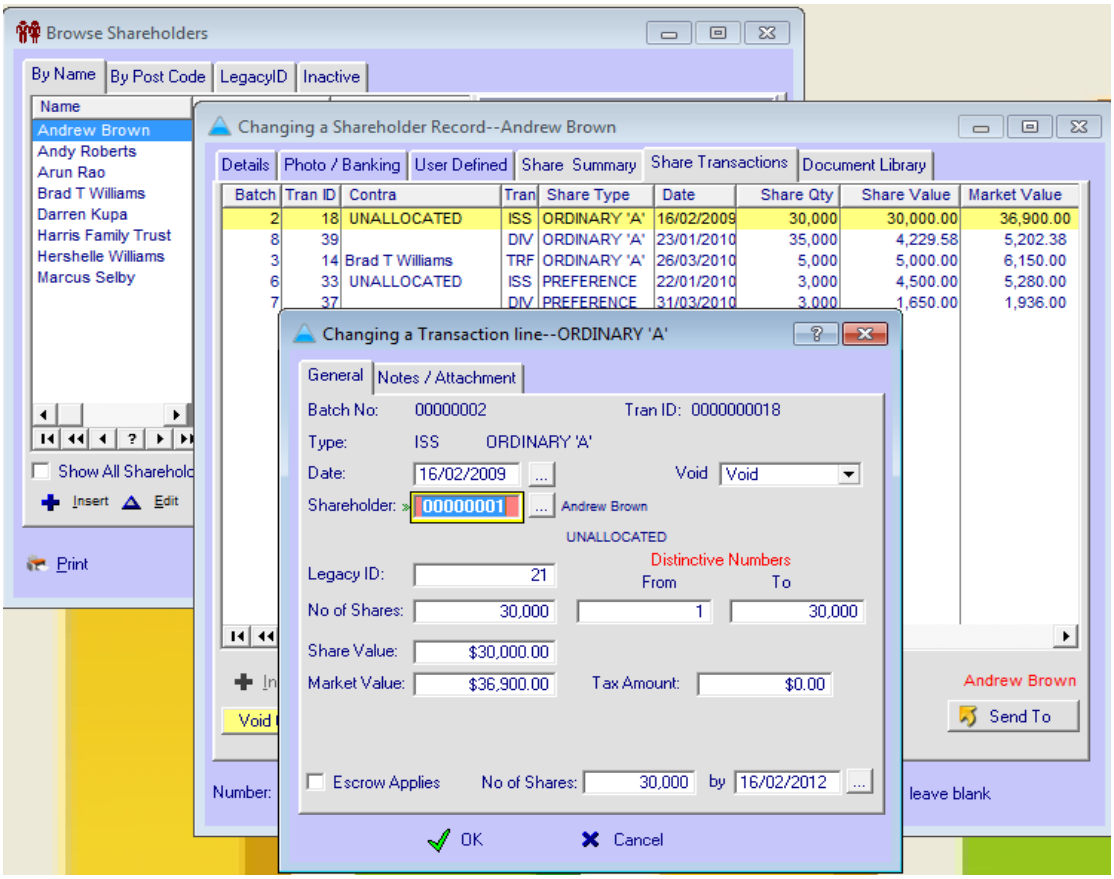


That is all you need to do for the Legacy ID to print as the Certificate number. The logic is:

IF LegacyID exists then Share Certificate Number = LegacyID

ELSE Share Certificate Number = Tran ID (which is system generated)

There is an alternative method of entering Legacy ID's by shareholder rather than batch. If you click on <Shareholders/Edit> and go to the "Share Transactions" tab and click on edit you may enter the Legacy ID's this way. To change all the ID's for the "UNALLOCATED" shareholder record click on the "Inactive" tab.



As before that is all you need to do for the Legacy ID to print as the Certificate number. The logic is:
IF LegacyID exists then Share Certificate Number = LegacyID
ELSE Share Certificate Number = Tran ID (which is system generated)

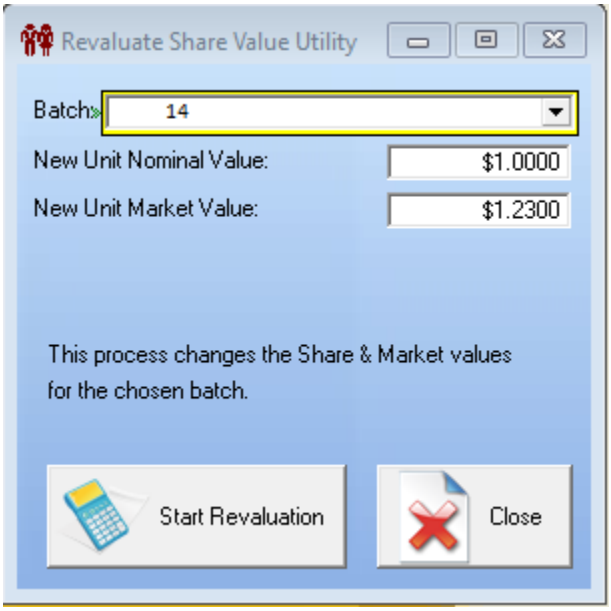
Note: You need to take particular care NOT to accidentally repeat Legacy ID's as this should be unique for every transaction. The system does not check any double ups and you could theoretically end up with 2 transactions having the same Legacy ID and hence two certificates with the same number.

Revaluating Share Prices

Since the Nominal and Market for a transaction is picked up from the Share Type setting you may sometimes pick up older values which you would now like to change. This utility allows you to do just that. Choose a batch to change and then enter the correct Nominal and Market values before starting the revaluation process. The transaction values will now be:

Share Value = Share Qty x Unit Nominal Value

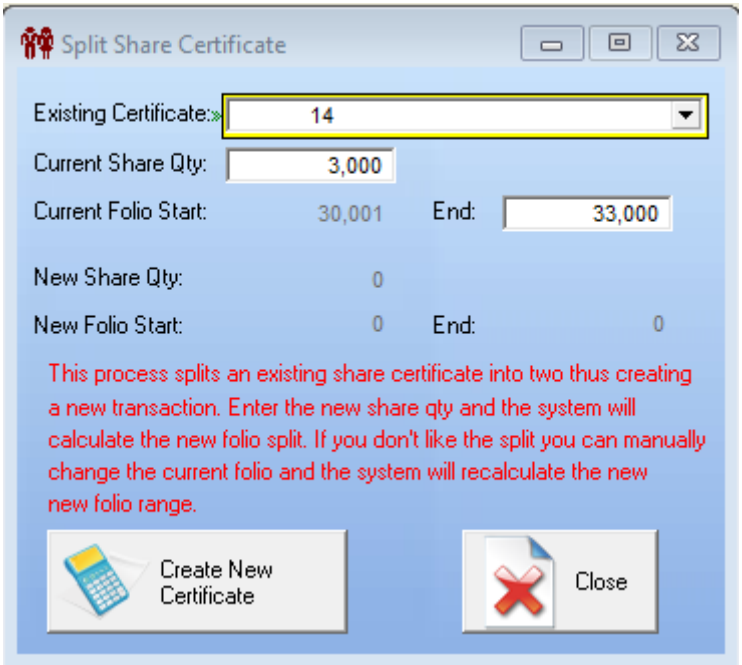
Market Value = Share Qty x Unit Market Value



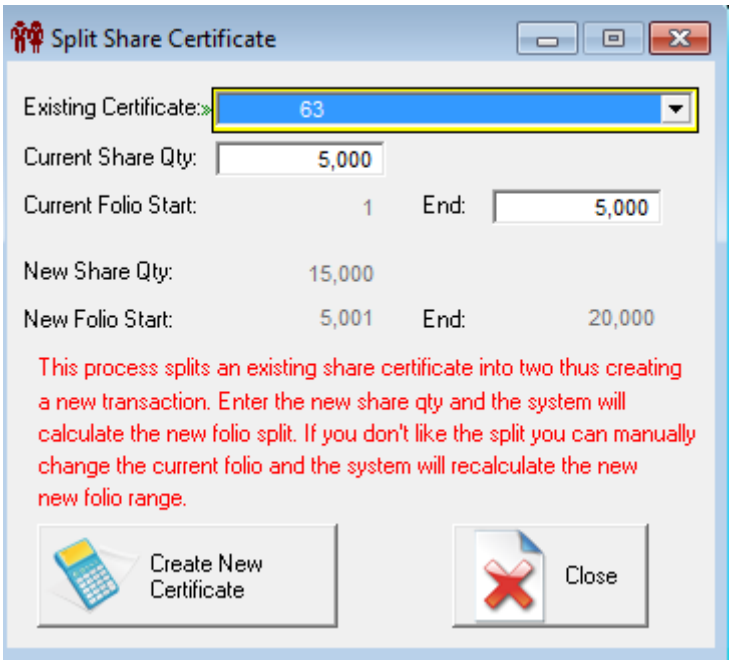
Once completed you can choose another batch until finished.

Split Existing Share

This utility is used to split an existing share transaction into 2 by retaining the existing certificate and creating a new one. Firstly pick an existing certificate number from the drop list. It will populate the Current Share Qty, Current Folio Start & End fields automatically.



In the example below the original quantity was obviously 20,000 and the proposed split is 5000 for the first parcel and 15,000 for the new certificate. When you enter 5000 it calculates the split with the first parcel starting at the original folio start (1) and ending with the Current Qty (5000). The new certificate starts at 5001 and end with 20,000. If you wanted the first parcel to end at 20,000 you would enter 20,000 as CurrentFolioEnd and it would recalculate the other variables ie CurrentFolioStart = 5,001, New Qty = 5000, New Folio Start = 1 and NewFolioEnd = 5000. The CurrentFolioEnd can only ever be 2 values ie Maximum (20,000) or SplitAmount (5000). Numbers shown here are only for the example shown.

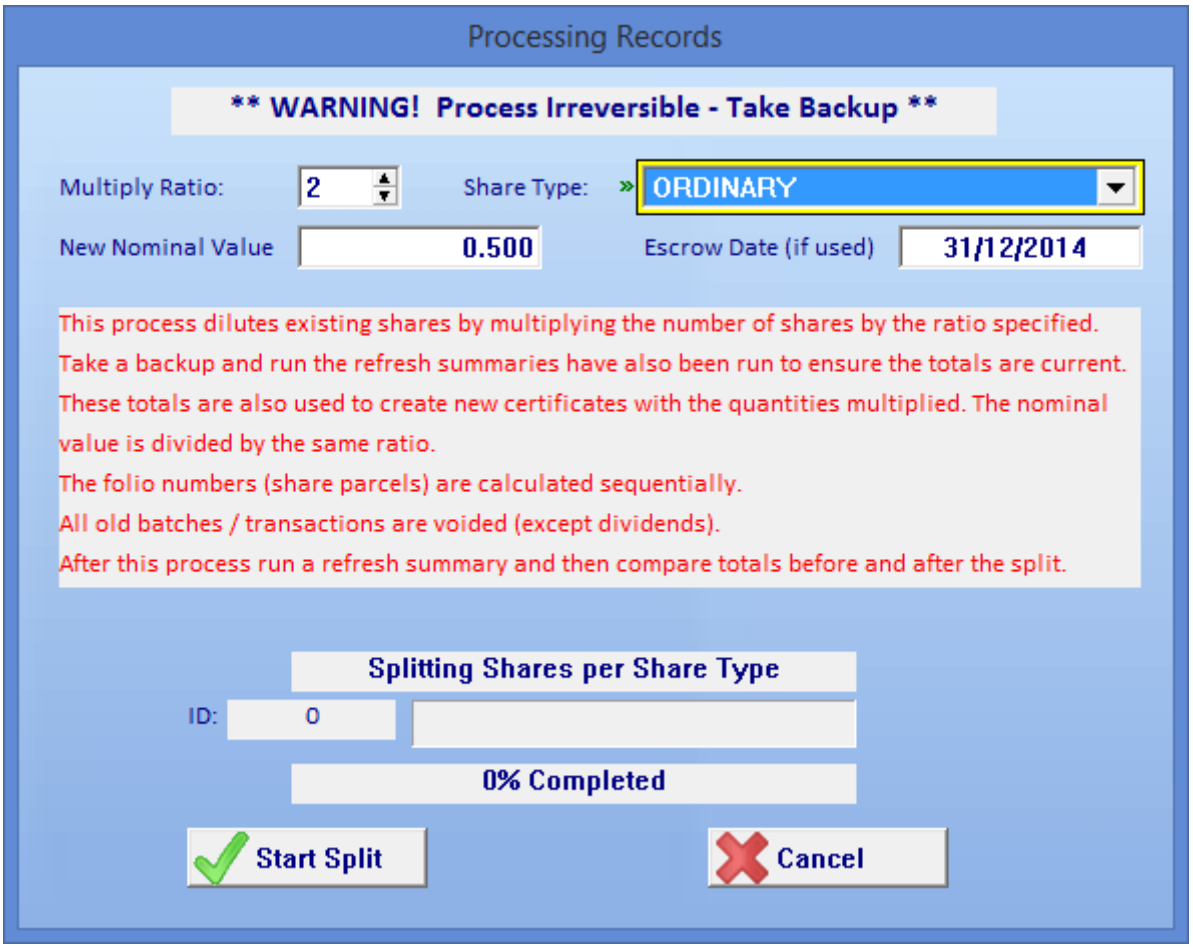


Split All Shares

This utility is used to split all existing share transactions into the ratio specified by voiding all existing certificates for a share type and creating a single new one. In the example below the shares are being split by a ratio of 2 so the nominal value is being halved to retain the overall total value of the shares. The current nominal value is $1 and the new value is half that because the ratio is 2. The new nominal value would be 0.333 if the ratio was 3. You can override the new nominal value but then you would be changing the total share value (for that class of shares).

Rules:

1. Process is irreversible so always take a backup before running it. You can copy the \Shares folder to a flash stick.
2. Run a <Refresh Summary> first. This ensures that the summary file is up to date and the new certificates (transactions) have the correct total ie Summary Total x Ratio
3. The Escrow date will be applied to all the transactions that have shares in escrow. This is NOT ideal because different certificates may have different expiry dates. You can go into the individual transactions and change the escrow dates if you need to. It will be in the latest 'ISS' – Issues batch.



Before the Split:

	No of Shares		
Total	4,713,500	$9427,000.00	$9427,000.00

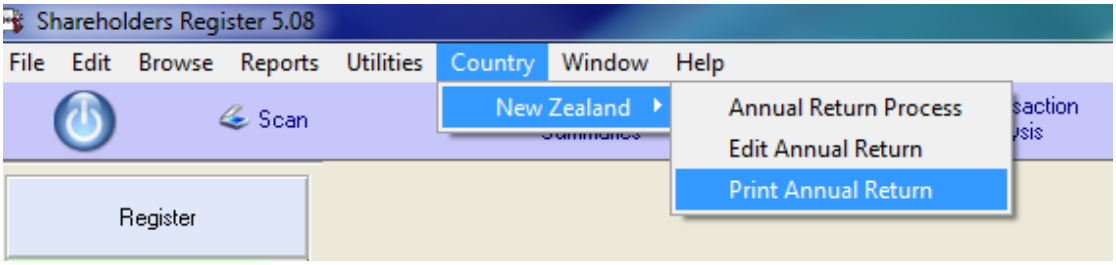
After the Split

Total	9,427,000	$9427,000.00	$9427,000.00

PS. Note if the ratio is 1:1 then you can tidy up all the loose certificates into a single new certificate.

6.0 Country: New Zealand – Process Annual Returns

This special function is used to create a dummy annual return which can then be verified and used to process the Annual Return with the New Zealand Companies Office. The process is really simple. Since you have maintained the register throughout the year with transactions it is a simple matter to transfer the information (with changes) to the Annual Returns database.



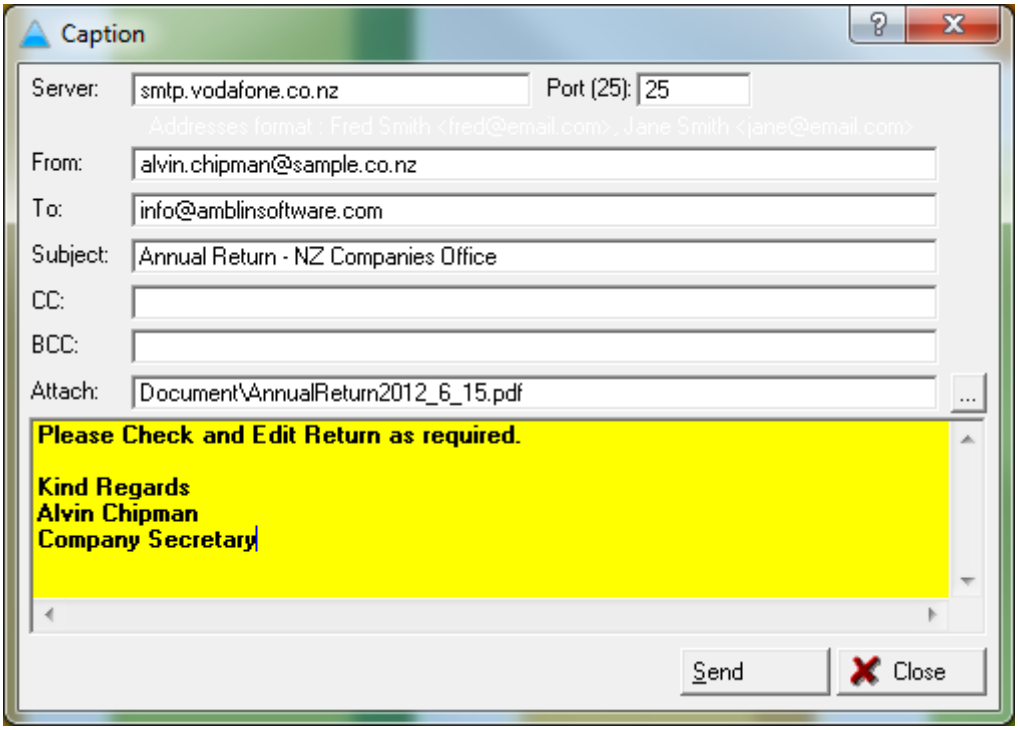
Step 1: If this is the first time you run the <Annual Return Process> it will transfer details from the Share Control file to the Annual database. This process also populates the "Directors" and "Shareholders" details as maintained in the Shareholders Register.

Step 2: You may then use the <Edit Annual Return> procedure to modify/add any information to be sent to the companies' office. The extra information also includes Register addresses and Authorised people.

Step 3: Finally once the information is up to date, all you have to do is print the Annual Return to pdf and email the return to the authorised person for checking.

Step 4: Log onto the Companies' website and make the changes as per the dummy return.

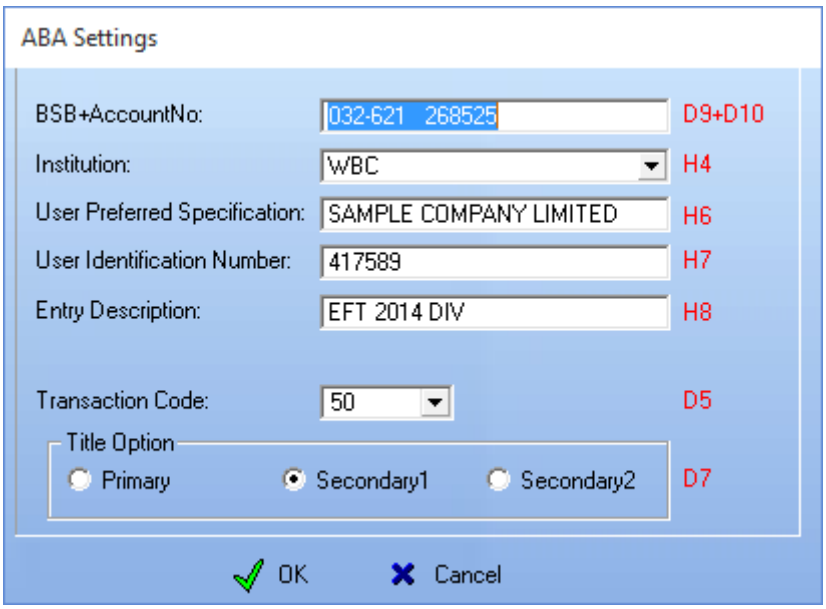
Note: This process is only done **ONCE** a year when you are ready to file the Annual Return.



7.0 Country: Australia – Create Cemtext .ABA banking files

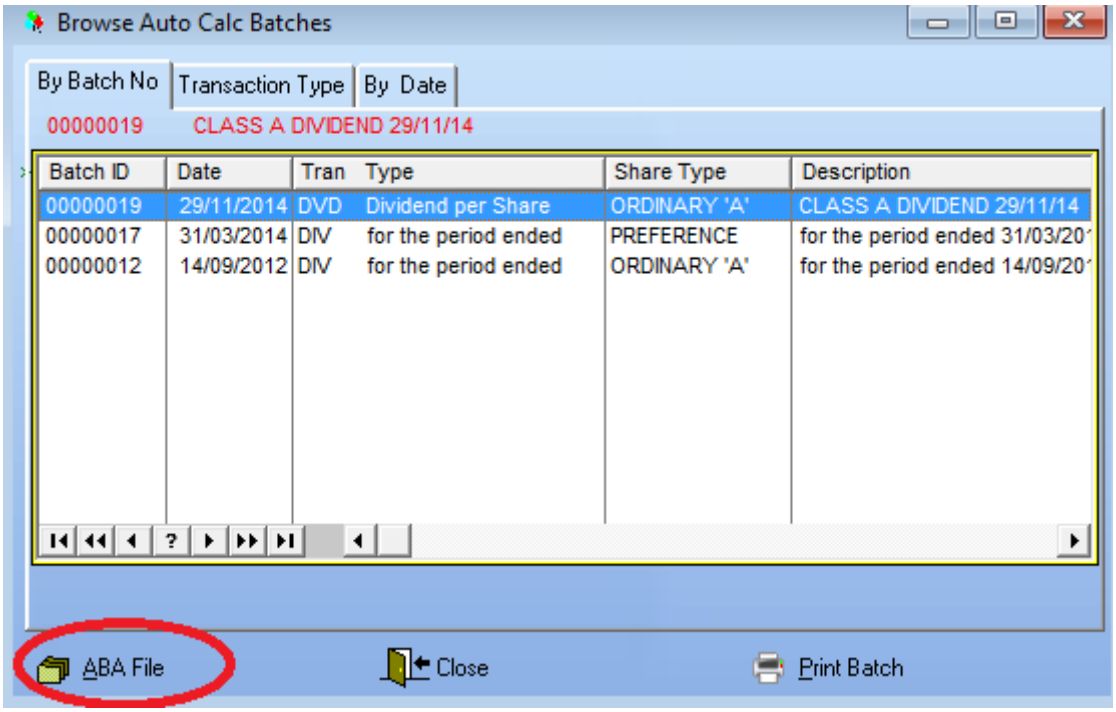
The **ABA** file format, sometimes called **Direct Entry** or **Cemtext**, is an unpublished de facto standard for bulk electronic payments. It is used by all major Australian financial institutions to interface with business accounting systems.

Before creating an output file you need to set up same defaults that will be used in the generation of the output file:
File >> ABA Preferences

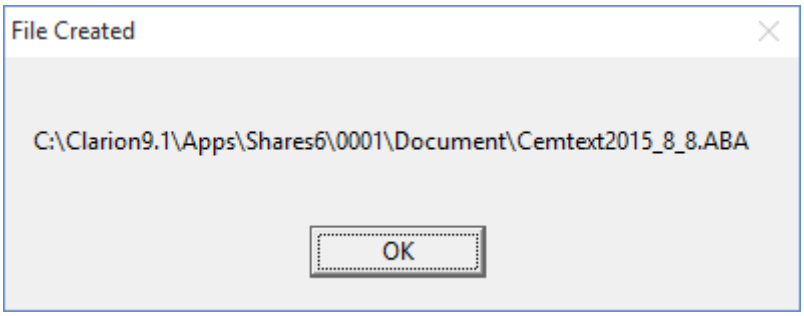


The notation on the right shows where this field is used in the file, for example H6 means the 6th field in the header. D5 means 5th field in the detail record. In the graphic below you can see that the batch description for batch 19 is "CLASS A DIVIDEND". This is used in D8 (Lodgement Reference) along with the Shareholder ID. So in the file output below you will see `1 CLASS A DIVID` since it is only 18 characters. So put in the batch description what you would like in the lodgement ref.

To create an ABA file you just have to highlight a dividend batch and then click on the ABA button.
Register >> Dividend Statements >> ABA Button



Once the file is created you will get a message to let you know the file name and location:



Sample ABA Output:

```
0                 01WBC       SAMPLE COMPANY LIMITED    417589EFT 2014 DIV291114
1732-614   500441 500000915558Andrew Brown                   1    CLASS A DIVID032-621   268525SAMPLE COMPANY L00000000
1112-879141134475 500000474445Brad T Williams                2    CLASS A DIVID032-621   268525SAMPLE COMPANY L00233682
1012-830544015534 500003442316Andy Roberts                   6    CLASS A DIVID032-621   268525SAMPLE COMPANY L00491760
1802-298  8884933 500000309806Arun Rao                       8    CLASS A DIVID032-621   268525SAMPLE COMPANY L00044258
1082-842874227986 500000757303Marcus Selby                   10   CLASS A DIVID032-621   268525SAMPLE COMPANY L00108186
7999-999            000589942800058994280000000000                     000005
```

Shareholders Record Setup

Only the shareholders that have Mode = ‘Direct Credit’ or ‘EFT’ will get selected for payment in the ABA batch. The Account must be set up exactly as below where the first 7 characters is the BSB (including the hyphen) and then next 9 characters is the bank account number. Failure to follow this process will get the file rejected.

ABA File Definition:

1. Header Record Definition ('0' record) (just the first line):

Character Position		Field size	Field description	Specification
1	1	Record Type 0	Must be '0'	
2-18	17	Blank	Must be blank filled.	
19-20	2	Reel Sequence Number	Must be numeric commencing at 01. Right justified. Zero filled	
21-23	3	Name of User's Financial Institution	Must be approved Financial Institution abbreviation. Westpac's abbreviation is "WBC".	
24-30	7	Blank	Must be blank filled.	
31-56	26	Name of User supplying file	Must be User Preferred Specification as advised in Application. Left justified, blank filled. Allcoded character set valid. Must not be all blanks.	
57-62	6	Number of User supplying file	Must be User Identification Number which is allocated by APCA. Must be numeric, right justified, zero filled.	
63-74	12	Description of entries on file e.g. "DIVIDEND". All coded character set valid. Must not be all blanks. Left justified, blank filled.		
75-80	6	Date to be processed i.e. the date transactions are released to all Financial Institutions) Must be numeric in the format of DDMMYY. Must be a valid date. Zero filled.		
81-120	40	Blank	Must be blank filled.	

2. Detail Record ('1' record)

Character Position	Field size	Field description	Specification
1	1	Record Type 1	Must be '1'
2-8	7	Bank/State/Branch Number	Must be numeric with a hyphen in character position 5. Character positions 2 and 3 must equal valid Financial Institution number. Character position 4 must equal a valid State number (0-9).
9-17	9	Account number to be credited/debited	Numeric, hyphens and blank sonly are valid. Must not contain all blanks or zeros. Leading zeros which are part of a valid account number must be shown, e.g. 00-1234. Westpac recommends that (except in the above example), ALL hyphens are edited out. Where account number exceeds nine characters, edit out hyphens. Right justified, blank filled.
18	1	Indicator	"N" -for new or varied Bank(FI)/State/Branch number or name details, otherwise blank filled. Withholding Tax Indicators: "W" -dividend paid to a resident of a country where a double tax agreement is in force. "X" -dividend paid to a resident of any other country. "Y" -interest paid to all non-residents The amount of withholding tax is to appear in character positions113-120. Note: Where withholding tax has been deducted the appropriate Indicator as shown above is to be used and will override the normal indicator.
19-20	2	Transaction Code	Must only be valid industry standard trancodes (see list). Only numeric valid.
21-30	10	Amount	Only numeric valid. Must be greater than zero. Shown in cents without punctuations. Right justified, zero filled. Unsigned.
31-62	32	Title of Account to be Credited / debited	All coded character set valid. Must not be all blanks. Left justified, blank filled. Desirable format: - surname (period) blank - given names with blank between each name
63-80	18	Lodgement Reference	All coded character set valid. Reference as submitted by the User indicating details of the origin of the entry e.g. Payroll number, invoice, contract number. Left justified, blank filled. Must not contain all blanks.
81-96 (81-87)	16	Trace Record (-BSB Number in format XXX-XXX)	Bank(FI)/State/Branch and account number of User to enable retracing of the entry to its source if necessary. Only numeric and hyphens valid. Character positions 81 & 82must equal a valid Financial Institution number. Character position 83must equal a valid State number (0-9). Character position 84 must be a hyphen.
(88-96)	9	(-Account Number)	Right justified, blank filled.
97-112	16	Name of Remitter	Name of originator of the entry. This may vary from Name of the User. All coded character set valid. Must not contain all blanks. Left justified, blank filled.
113-120	8	Amount of Withholding Tax	Numeric only valid. Showing cents without punctuation. Right justified, zero filled. Unsigned.

3. File Total Record '7' (Trailer)

Character Position	Field size	Field description	Specification
1	1	Record Type 7	Must be '7'.
2-8	7	BSB Format Filler	Must be '999-999'.
9-20	12	Blank	Must be blank filled.
21-30	10	File (User) Net Total Amount	Numeric only valid. Must equal the difference between File Credit & File Debit Total Amounts. Show in cents without punctuation. Right justified, zero filled. Unsigned.
31-40	10	File (User) Credit Total Amount	Numeric only valid. Must equal the accumulated total of credit Detail Record amounts. Show in cents without punctuation. Right justified, zero filled. Unsigned.
41-50	10	File (User) Debit Total Amount	Numeric only valid. Must equal the accumulated total of debit Detail Record amounts. Show in cents without punctuation. Right justified, zero filled. Unsigned.
51-74	24	Blank	Must be blank filled.
75-80	6	File (User) count of Records Type 1	Numeric only valid. Must equal accumulated number of Record Type 1 items on the file. Right justified, zero filled.
81-120	40	Blank	Must be blank filled.

Valid Transaction Codes

13	Externally initiated debit items
50	Externally initiated credit items with the exception of those bearing Transaction Codes51-57 inclusive
51	Australian Government Security Interest
52	Family Allowance
53	Pay
54	Pension
55	Allotment
56	Dividend
57	Debenture/Note Interest

8.0 Appendix A – Import / Export File Format

The following shows the file and file format required to import or export data from the shareholders register. The .csv file must be resident in the company directory that you wish to import/export data.

File: \CO000xx\ShareHld.csv Shareholders Master File

Field	Attribute	Example	Comments
ShareholderId	LONG	1,	Start from 1+
SocialSecurityNumber	DECIMAL(9)	62698799,	Optional 1+
LegacyShareholderID	STRING(10)	“439”	
Primary	STRING(50)	"Andrew Brown",	Mandatory
Secondary1	STRING(50)	"Amanda Brown",	
Secondary2	STRING(50)	"Chelsea Brown, Mark Brown",	
Address	STRING(35)	"3 Marlon Place",	
Address2	STRING(35)	"Newmarket",	
City	STRING(20)	"Auckland",	
Area	STRING(3)	"AS",	
AreaName	STRING(25)	"Auckland South",	
PostCode	STRING(10)	"4566",	
ShareholderNumber	STRING(10)	"1",	Optional 1+
MaritalStatus	STRING(1)	"",	Not used, leave blank
Sex	STRING(10)	"Male",	Male/Female
Domicile	STRING(30)	"New Zealand","Australia"	
Birth Date/Incorp’n date	STRING(10)	"20/09/1971",	
Age	DECIMAL(5,2)	36.00,	
DateStarted	STRING(10)	"19/09/2000",	
DateLeft	STRING(10)	"",	
Active	BYTE	1,	0 for inactive
JobTitle	STRING(35)	"",	Not used, leave blank
ReportsTo	STRING(35)	"",	Not used, leave blank
Department/Cost Centre	STRING(35)	"Administration","10-20001”	
Contact	STRING(20)	"",	Not used, leave blank
Phone	STRING(15)	"09 829-0672",	
Mobile	STRING(15)	“0276258956”,	
PictureFile	STRING(100)	"Images\JAKE.JPG",	
UserString1	STRING(30)	anything	
UserString2	STRING(30)	anything	
UserString3	STRING(30)	anything	
UserString4	STRING(10)	anything	
UserNumeric1	Decimal 7.2	any number	
UserNumeric2	Decimal 7.4	any number	
Bank	STRING(30)	"Bank of NZ",	Bank / Branch details
BankAccountNo	STRING(25)	"02-0208-5022268-000",	Bank Account number
Payment mode	STRING(20)	"Cheque",	Payment for dividend
PrintChequeFlag	STRING(1)	"1",	If ticked cheque prints
ReserveFlag	BYTE	0	
WaiveFlag	BYTE	0	
Classification	STRING(20)	"Shareholder",	(Director|Company Secretary|Other)
Entity	STRING(30)	"Individual",	(Individual|Deceased|Trust|Other)
ShareQty	LONG	0	

ShareValue	DECIMAL(11,2)	0	
EmailAddress	STRING(120)	"info@amblinsoftware.com",	
EMailFlag	BYTE	1	If emails sent to him
TaxFlag	STRING(1)	1	No comma after
CompanyTaxNumber	STRING(20)	“062-698-799”	
Hash	STRING(10)	Leave blank, system will calculate your hash	
Notes	STRING(250)	“Quick brown fox jumps over the lazy dog”	

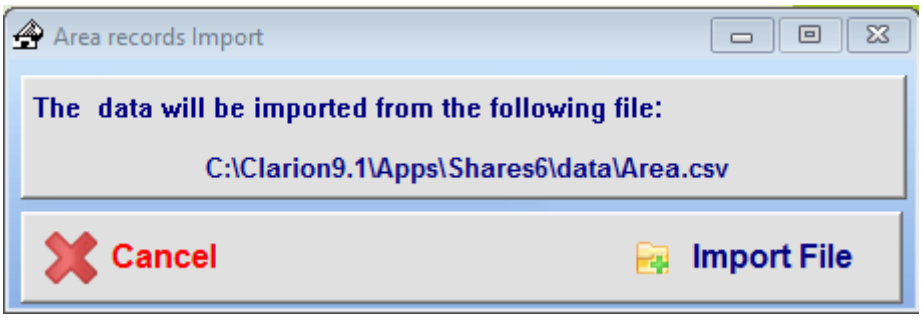
File: \CO000xx\ShTrnExp.csv Shareholders Transaction File

Field	Attribute	Example	Comments
TranID	LONG	14,	
BatchID	LONG	3,	
ShareholderID	LONG	1,	
ContraID	LONG	2,	
TranType	STRING(3)	"TRF",	
ShareType	STRING(30)	"ORDINARY",	
Date	STRING(10)	"23/04/2007",	
ShareQty	LONG	5000,	
ShareValue	DECIMAL(12,2)	5000.00,	
ShareMarketValue	DECIMAL(12,2)	6150.00,	
TaxAmount	DECIMAL(12,2)	0.00,	
StartShareNumber	LONG	30001	
EndShareNumber	LONG	35000	
ChequeNumber	LONG n08	00102354	
FrankedAmount	DECIMAL		
UnFrankedAmount	DECIMAL		
ImputedCredit	DECIMAL		
EscrowFlag	BYTE	0 or 1	
EscrowQty	LONG		
EscrowDate	LONG		
Void	STRING(10)		
LegacyID	STRING(10)	“BD354” or 6356	
TransactionApproved	BYTE	0 or 1	**Not used as based on users access
Notes	STRING(120)	“Transfer from Certificate 62552”	

** If the user that is doing the import has Approval rights then the whole batch and transactions are approved. If not then the batches may be approved later by a designated approver.

File: \CO000xx\SummXP.csv Summary File

Field	Attribute	Example	Comments
TranID	LONG(14)		
Primary	STRING(80)		From Shareholder file
BatchID	LONG(3)		
ShareholderID	LONG(14)		
ShareType	STRING(30)		
ShareQty	LONG(14)		
EscrowQty	LONG(14)		
ShareValue	DECIMAL(12.2)		
ShareMarketValue	DECIMAL(12.2)		
TaxAmount	DECIMAL(12.2)		
OpeningBalance	LONG(14)		
YTDMovementSales	LONG(14)		
YTDMovementPurchase	LONG(14)		
MTDMovementSales	LONG(14)		
MTDMovementPurchase	LONG(14)		
ClosingBalance	LONG(14)		
YTDAbsoluteMovement	LONG(14)		
MTDAbsoluteMovement	LONG(14)		
Area	STRING(3)		
AreaName	STRING(25)		
ActiveFlag	STRING(1)		From Shareholder file



A similar utility is the “Import Area Codes” utility. The import file Area.csv MUST be:

a) Located in the \data\Area.csv directory

b) In the format:

1. Area Code (String 3)
2. Area Name (String 20)
3. Post Code (String 10)

9.0 Technical Notes

Minimum hardware requirements for the Application to run well is a Sempron or Celeron processor with 1GB RAM.
Since the application is 32-bit you need Windows XP and above.

It is recommended to install the software on every user's machine and then point the "Data Path" to the server if required.
This does mean that when there is an update, you need to update the software on every machine that users the software.