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RMA SUBMISSIONS GUIDE FOR RISKANALYST™

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PREFACE

P.1 ABOUT THIS GUIDE

The RMA Submissions Guide for RiskAnalyst™ describes the steps necessary to install the application and to electronically submit data to RMA.

P.1.1 Audience

This guide is for Moody's KMV clients and personnel. Specifically, this guide is intended for users who are responsible for electronically submitting data to RMA, and assumes that the individual has a strong working knowledge of RiskAnalyst.

P.1.2 Typographic Conventions

This guide uses the following typographic conventions—fonts and other stylistic treatments applied to text—to help you locate and interpret information.

TABLE P.1 Typographic Conventions

Convention	Description
Bold	Virtual buttons, radio buttons, check boxes, literal key names, menu paths, and information you type into the system appear in bold type — for example, "Click Add" or "Press Enter."
`Courier`	System messages appear in a courier typeface — for example, "The system displays the following message: Added Amazon.com to your portfolio."
Italic	Emphasized definitions and words appear in italic type — for example, "Portfolio Tracker is a portfolio tools page."
NOTE	Information you should note as you work with the system.
WARNING	Warning information that prevents you from damaging your system or your work.
TIP	Additional information you can use to improve the performance of the system.
EXAMPLE	Information that illustrates how to use the system.

CHAPTER 1

PERFORMING THE SUBMISSION

1.1 ELECTRONICALLY SUBMITTING RMA INFORMATION

Using the system's batch functions, you can electronically submit RMA Submissions information. You can specify the industry model and select multiple customer files for RMA Submissions. You can also view a log file of the customers you submitted to RMA.

The submissions program creates a transmittal file (RMATRAN.TXT) and a submissions file (RMASUBM8.TXT). After the files are created, copy the files to a diskette and mail the diskette to RMA. See *Sending a single RMASUBM8.TXT file to RMA* and *Sending multiple RMASUBM8.TXT files to RMA*.

RMA Submissions is an add-in component to your system. If RMA Submissions does not appear on the menu in the Batch Utility dialog box, contact the SupportLine.

NOTE RMA Submissions is available only for the standard MMAS, AUTO, CONTR, and HOSP 117 financial templates. If you are running a customized version of one of the financial templates, you will not be able to use the standard RiskAnalyst RMA Submissions Utility. Please contact the SupportLine for further assistance.

1.2 BEFORE YOU BEGIN: ENTERING/MODIFYING SIC AND NAICS CODES

Before you generate RMA Submissions forms, you must enter the customer's SIC and/or NAICS Code. Follow the procedure below to enter information in these required fields.

1. Click **Customer Information**. The system displays the Customer Information dialog box.
2. In the Industry Classification field, select SIC or NAICS from the drop-down list.
3. In the Industry Code field, enter the SIC or NAICS Code. If you do not know the SIC or NAICS Code, click the **Lookup** button to display a dialog box where you can select the appropriate SIC or NAICS Code from a list in drill-down format.

NOTE The **Lookup** button is not available for all Industry Classification systems.

4. Select the Address tab and enter the customer's state and zip code. These are not required, but they are included in the submissions.
5. Click **OK**

1.3 PERFORMING THE SUBMISSION

To launch the Batch Utility application if using RiskAnalyst Desktop:

1. Launch RiskAnalyst Desktop.
2. Select Tools | Batch Utility. The system launches a dialog box that requests your User ID and Password
3. Enter your User ID and Password.
4. Click **Login**. The application displays the Batch Utility application.

To launch the Batch Utility application if using RiskAnalyst:

1. Select Start | Programs | RiskAnalyst | Batch Utility. The system launches a dialog box that requests your User ID and Password.
2. Enter your User ID and Password.
3. Click **Login**. The application displays the Batch Utility application.

To perform the submission:

1. Select RMA Submissions from the drop-down list in the **Add-In Component** field.
2. In the Customer Filter section, click the **Search** button to display all available customers.

   - or to search for customers by specific criteria -

   Enter specific criteria in the customer filter area of the application. Information may be entered in the Criteria fields or selected from drop-down lists where available.

   - Use the scroll bar at the right to view additional filters.

NOTE When using the **Saved After Date** filter, be aware of your regional settings. For example, if your regional setting specifies the date format as DD/MM/YYYY, as is standard format in the UK, you must enter the date in this same format in the Saved After Date field.

Also, this filter does not accept the month in any format other than numeric format (i.e., enter 05 for the month of May. Do not enter the word 'MAY').

   - Click **Search**. The system lists all customers that meet the criteria you specified. Some customers may appear in gray. This indicates that the customers met the search criteria, but are not available to open because you do not have access rights to them.

NOTE If you want to search for customers that match different criteria, click the **Clear Filter** button to clear all the criteria fields. Then enter your new criteria.

3. Select the customer(s) you want in the Available Customers section of the application. Select multiple customers by:
   - Holding the **Shift** key and dragging the mouse over the customers you want
   - Holding the **Ctrl** key and clicking each customer you want

4. Use the arrow buttons to move customers from the Available Customers field to the Selected Customers field and vice versa.

>	Moves a single customer from the **Available Customers** field to the Selected Customers field.
>>	Moves all the customers from the **Available Customers** field to the **Selected Customers** field.
<	Moves a single customer from the **Selected Customers** field to the **Available Customers** field.
<<	Moves all the customers from the **Selected Customers** field to the **Available Customers** field.

- or -

Click the L**oad Set** button if you have previously defined a set of customers. The system displays the Load Set selection box.

- Select a set from the drop-down list.
- Click **OK**.

- if you want to save the currently selected customers as a customer set -

Click the **Save Set** button. The system displays the Save Set dialog box.

- Click the **New** radio button to specify a new set.

  - or -

  Click the **Existing** radio button to save the selected customers with an existing name. Choosing the **Existing** radio button overwrites the existing set with the currently selected customers. It does not append to the list of customers in the set.

- Click **OK**.

5. Click **Process Selections**. The system displays the RMA Criteria dialog box.

6. Enter Beginning and Ending statement date ranges.

   - In the Beginning Statement Date Range field, enter the earliest annual statement date you want to include for submission.
   - In the Ending Statement Date Range field, enter the latest annual statement date you want to include for submission.
   - If a selected customer has a year-end statement that falls within the selected date range, the customer will be included in the submission file. If the customer has more than one year-end statement that meets the criteria, only the most recent statement will be submitted.

7. Select the assets range.

   - If you select the All Assets option, all customers regardless of asset size are included.
   - If you select the Selected Sizes option, provide an asset range in the From and To fields.

NOTE Enter asset size in thousands.

8. Enter **Submitter information** (required).

- Enter your name in the **Name** field. Do not enter your institution's name here.
- Enter your **Telephone** number where you can be reached by RMA.
- Enter your **Fax** number and your **Email** address.

9. Specify the Destination for the data file by clicking the **Browse** button. You cannot change the name of the data file that is generated; you can only change its destination.

The data file is:

RMASUBM8.TXT

Do not select the A: or B: drive here. See "*Sending a single RMASUBM8.TXT file to RMA*" on page 12 for complete information about copying the RMASUBM8.TXT file to a diskette.

IMPORTANT

Multiple data files

If you are generating multiple RMA submission data files, you must select a different directory for each of the data files. Otherwise, you will overwrite the existing data file.

Multiple directories

If the customer files you want to submit are stored in multiple directories, you have two options for creating the RMASUBM8.TXT file.

- Appending customer files from separate directories into a single RMASUBM8.TXT file. RMA strongly prefers to have all submitted data in a single .TXT file.
- Changing the destination directory of the RMASUBM8.TXT file (using the **Browse** button on the RMA Criteria dialog box). This creates multiple RMASUBM8.TXT files, each in a separate directory. When shipping to RMA, you must include the corresponding RMATRAN.TXT file in each of the directories.

RMA suggests that you include a note with your submission stating that data files are contained in subdirectories.

To append customer files from separate directories:

a) Select the customers you want to submit (as detailed in the first part of these instructions, through step 5 of 'To perform the submission').

b) Select the Append to Existing File check box on the RMA Criteria dialog box.

c) Continue with the remaining steps (11 - 14).

To change the destination directory of the RMASUBM8.TXT file:

a) Select the customers you want to submit (as detailed in the first part of these instructions, through step 5 of 'To perform the submission').

b) Click the **Browse** button to select a different destination directory. Each time you select customers from a different database, you must click the **Browse** button on the RMA Criteria dialog box to specify a different destination directory.

c) Continue with the remaining steps (11 - 14).

10. Select the Append to Existing File option to append additional data to the RMASUBM8.TXT file. Otherwise, RMASUBM8.TXT is overwritten with new information each time you run the passport.

11. Click the **Org Info** button to enter organization information. The system displays the Organization Information dialog box.

NOTE Before you can submit information to RMA electronically, the system must have RMA information entered in the Organization Information section. This information can be entered in Administrator, and it is stored in the database. If you have not entered this information in Administrator, click the **Org Info** button and enter the information including the 3-digit Chapter Number and the 8-digit RMA Member Number.

12. Select the checkbox options.
    - Select the Include Hidden Statements checkbox if you want to include the customers' hidden statements.
    - Select the Show Log File when Complete checkbox if you want the system to automatically display the log file when the submission is complete.
    - Select the Generate Log File Only (Do Not Submit) checkbox if you want to create the log file without creating the submission file. Use this option if you want to preview any error messages and the status of the submission batch before actually creating the RMA Submissions file.
    - Select the Include Previously Submitted Customers checkbox if you want to include customers you have submitted previously. This option is only for this RMA reporting period.

13. Click **OK**. The system displays a message box.

14. The system generates your RMA submission file (RMASUBM8.TXT), the transmittal file (RMATRAN.TXT) and a log file (RMA.LOG) in Notepad.

NOTE Following the submission process, the system displays the log file which shows all customers that were selected for submission, their dates of submission and whether the customer was included in the submission or not. If you want to print the log file, we recommend that you load it into a word processor and print. The log file is located in the same directory as the RMASUBM8.txt file and is named RMA.LOG. In addition, a comma-delimited version of the log file is created that is called RMA_XLS.log. This file can easily be loaded into a spreadsheet application for easy sorting and querying of the submission results.

To ensure confidentiality, the customer's long name is not submitted to RMA. The long name is encrypted (scrambled) before being submitted. Although both forms of the long name appear on the RMA.LOG, ONLY the encrypted format is included in the submission file.

To translate the encrypted customer long name, use the Translation tool. See "*Translating encrypted RMA IDs*" on page 13.

Consolidated customers are not included in the submission.

1.4 SUBMITTING CUSTOMERS ASSOCIATED WITH THE CONTRACTOR MODEL

RMA accepts only customer files in which the value 1 - % Completion is specified in the Method Prepared line in the Statistics class.

If the value '1' is not entered in the Method Prepared line in the Statistics class, the system will not submit the customer file, and the RMA.LOG log file will contain an entry or entries similar to the following:

Statement not processed: Completion Method is not specified or invalid.

Follow the steps below to check the Method Prepared entry for a customer file that was not submitted.

1. Open the customer file and go to historical balances.
2. Go to the Statistics class.
3. Check if the value 1 - % Completion is entered on the Method Prepared line.
4. If the value in the customer file's Method Prepared line is anything other than **1**, this file will not and should not be included in the submission batch. RMA accepts only customer files with a Method Prepared = **1 - % Completion**.

   Available values and their corresponding descriptions are:

   1: % Completion (RMA accepts only customer files with this Method Prepared)
   2: Completed Contract
   3: Cash
   4: Other

1.5 SENDING A SINGLE RMASUBM8.TXT FILE TO RMA

Once you have generated the RMASUBM8.TXT file, follow the procedure below to send to RMA.

1. Run Windows Explorer.
2. Locate the RMASUBM8.TXT and RMATRAN.TXT files. They will be in the directory you specified on the RMA Criteria dialog box. If you have not changed the path, the .TXT files will be located in C:\Temp. To mail the files to RMA, follow steps 3 – 6. To email the files, please contact the SupportLine.
3. Insert a diskette into your computer's drive (A or B).
4. Using the mouse, copy the .TXT files by dragging the files onto the A: or B: drive icon.
5. Label the diskette and send it to RMA.
6. Send the diskette to the address specified by your RMA documentation or contact RMA for the address.

1.6 SENDING MULTIPLE RMASUBM8.TXT FILES TO RMA

If you generated multiple RMASUBM8.TXT files, you must create a separate directory on the diskette for each of the files.

1. Place a diskette in drive A:
2. Run Windows Explorer. To mail the files to RMA, follow steps 3 – 8. To email the files, please contact the SupportLine.

3. Click the **3 1/2 Floppy (A)** icon.

4. Select File | New | Folder. The system creates a folder on the diskette called New Folder.

5. Enter a name for the new folder (e.g. Middlemkt).

6. Repeat this procedure to create a folder (directory) for each of the RMASUBM8.TXT files you want to copy to the diskette. (e.g., Middlemkt, CLOTHING, etc.)

NOTE The corresponding RMATRAN.TXT files must be placed in each folder that contains an RMASUBM8.TXT file. For example,

A:\Middlemkt\RmaTran.txt
\Middlemkt\RMASUBM8.txt
\CLOTHING\RmaTran.txt
\CLOTHING\RMASUBM8.txt

7. Copy each of the RMASUBM8.TXT files into the appropriate folder (directory) you created. **Do not rename the .TXT file to correspond to the folder (directory) name. Each RMA Submissions file must be named RMASUBM8.TXT.**

8. Label the diskette and send it to RMA. Send the diskette to the address specified by your RMA documentation or contact RMA for the address.

1.7 TRANSLATING ENCRYPTED RMA IDS

To ensure confidentiality, the customer's long name is not submitted to RMA. The long name is encrypted (scrambled) before being submitted. Although both forms of the long name appear on the RMA.LOG, ONLY the encrypted format is included in the submission file.

The RMA Submissions program produces the RMA ID in place of the long name. The RMA ID is included on the RMASUBM8.TXT file that you send to RMA. The customer's long name is not included on the RMASUBM8.TXT file.

If you want to translate the RMA ID into the customer's long name, use the RMA ID Translation utility that is in the same directory as the Batch Utility (i.e., C:\Program Files\Moodys KMV\RiskAnalyst\Batch Utility).

1. Use Windows Explorer to locate the directory where the Batch Utility is installed. It will be installed in the RiskAnalyst\Batch Utility directory.

2. Double click **RMAID.EXE**.

3. Enter the RMA ID in the ID to be Translated field. **This field is case sensitive**.

4. You can find RMA IDs by looking at the RMA.LOG or in the RMASUBM8.TXT file.

5. Click the **Translate** button. The customer's long name appears in the Translated ID field.

6. Click the **Clear Entries** button before entering another RMA ID.

APPENDIX A

CONTACTING SUPPORT

A.1 CONTACTING SUPPORT

If you are having difficulties installing or using this application, you can reach the SupportLine at:

Phone:	US Callers:	+1.866.995.9659
	International Callers:	Dial your AT&T Country Access Code followed by +1.866.995.9659 or +1.415.874.6568 To obtain your country's AT&T Direct Access code, visit http://www.business.att.com/bt/access.jsp?c=a
Email:	techsupport@MKMV.com	
Web Site:	https://support.moodyskmv.com/	