

WARRANT ADJUSTMENT TEMPLATE USE INSTRUCTIONS

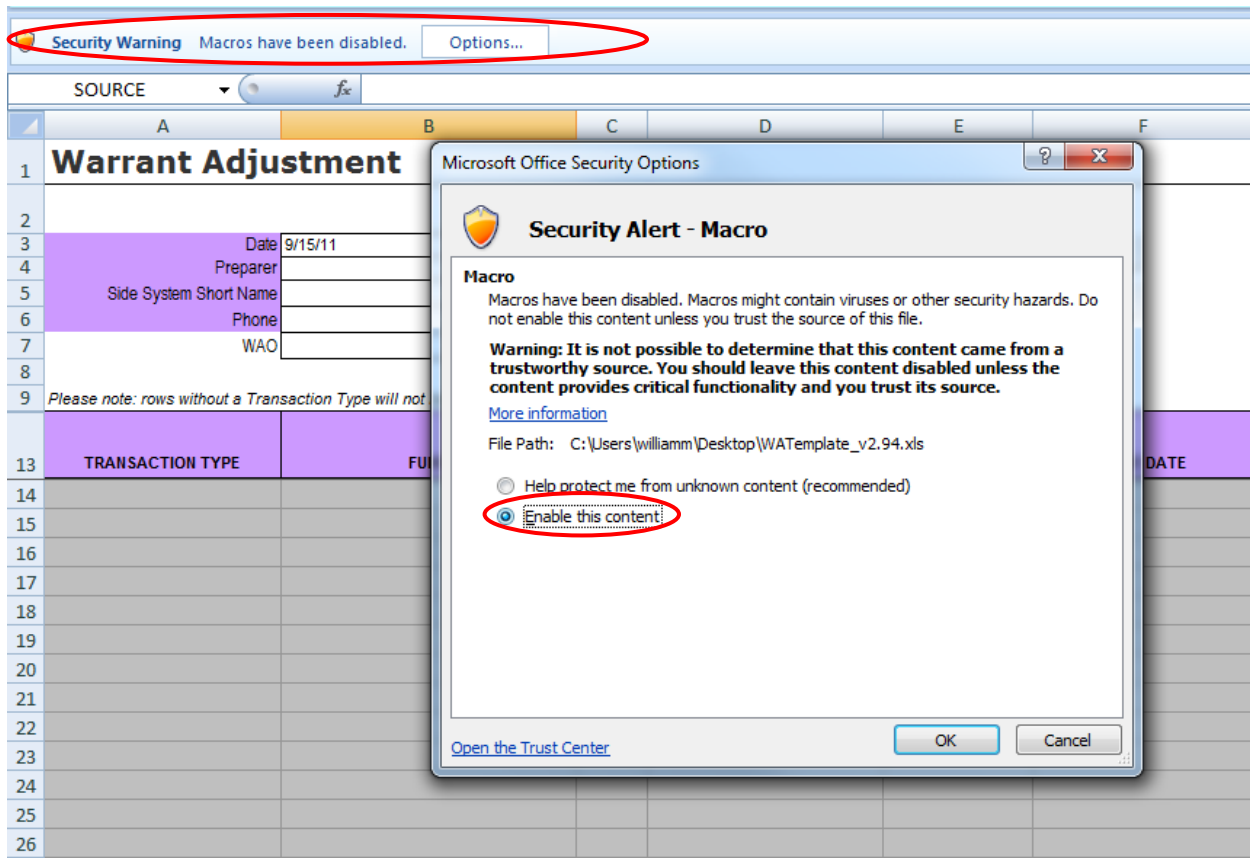
PURPOSE:

The Warrant Adjustment Template is designed to be used for any warrant requests, including generating new warrants and modifying existing warrants.

ENABLING THE FORM:

In order to use this template properly, macros must be enabled in Excel.

ENABLING MACROS:



If the Security Warning regarding macros is encountered upon opening the form, the user must select "Enable this content" from the Security Alert Window. In Excel versions 2007 and above, the message may appear in a notification bar between the worksheet and the menu Ribbon. If macros are not enabled, the form will be locked from all interaction.

LAYOUT:

There are two areas of the template that should be filled out for any request: the ID Box and the Data Area.

ID BOX:

1	Warrant Adjustment							
2								
3								
4		Date	9/15/11					
5		Preparer						
6		Side System Short Name						
7		Phone						
8		WAO						
9	<i>Please note: rows without a Transaction Type will not be included in the upload file</i>							
13	TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER
14								
15								
16								
17								
18								

The ID Box is located at the top of the form, which includes the following fields:

- Date (auto-filled)
- Preparer
- Side System Short Name
- Phone
- WAO Number

The Preparer name, Phone, and Side System Short Name are required. The WAO Number is optional, and is provided for those districts that use it. The Side System Short Name and date are used to create the file name of the output file.

DATA AREA:

1	Warrant Adjustment												
2													
3													
4		Date	9/15/11										
5		Preparer											
6		Side System Short Name											
7		Phone											
8		WAO											
9	<i>Please note: rows without a Transaction Type will not be included in the upload file</i>												
13	TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	PAYEE	REASON	MICR2
14													
15													
16													
17													
18													

The main section of the form is the Data Area, where the actual request is entered.

HEADER ROW:

The screenshot shows a spreadsheet interface with a header row (row 13) for 'Warrant Adjustment'. The columns are color-coded: purple for Required, orange for Conditionally Required, and white for Optional. The legend indicates: Required (purple), Conditionally Required (orange), and Optional (white). The header row contains the following fields: TRANSACTION TYPE (purple), FUND (purple), BANK ID (orange), MICR (purple), AMOUNT (purple), ISSUE DATE (purple), WARRANT PREFIX (orange), WARRANT NUMBER (purple), WARRANT SUFFIX (orange), DUPLICATE (orange), PAYEE (white), REASON (white), and MICR2 (orange). A red box highlights the header row. A note below the header row states: 'Please note: rows without a Transaction Type will not be included in the upload file'.

The Header row is color coded to identify whether the field is Required, Conditionally Required, or Optional.

USAGE:

TRANSACTION TYPE PULL DOWN MENU:

The screenshot shows the same spreadsheet interface as above, but with the 'TRANSACTION TYPE' pull-down menu open. The menu options are: ISSUE, CANCEL, VOID, STOP, DELETE, UNCANCEL, UNVOID, and UNSTOP. The 'TRANSACTION TYPE' column is now white, indicating it is an active field. The legend and other fields remain the same.

The first step in entering a new request is to use the pull-down menu in the top unused field of the Transaction Type column. Although it is possible to fill in other data without choosing a Transaction Type, any rows that are missing that field will be skipped when generating the Upload File.

Choosing a Transaction Type will change the row from gray to white, indicating that it is now an active row. The data for the rest of the fields may be entered in any order, as long as all the required fields are populated.

POP UP SUMMARY:

B14								
A	B	C	D	E	F	G	H	
Warrant Adjustment								
3	Date	9/15/11						
4	Preparer							
5	Side System Short Name							
6	Phone							
7	WAO							
Please note: rows without a Transaction Type will not be included in the upload file								
13	TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER
14								
15								
16								
17								
18								
19								
20								

When a field is selected, a small explanatory note will be displayed summarizing the requirements of the data to be entered in that field. For example, selecting the Fund field will display a note indicating that the data for that field must be numeric, and must be 8 digits in length.

DATA VALIDATION:

k								
A	B	C	D	E	F	G	H	
Warrant Adjustment								
3	Date	9/15/11						
4	Preparer							
5	Side System Short Name							
6	Phone							
7	WAO							
Please note: rows without a Transaction Type will not be included in the upload file								
13	TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER
14		k						
15								
16								
17								
18								
19								
20								
21								
22								

Fund
Must be
numeric, 8
digits.

✖

Invalid entry. Must be numeric, 8 digits.

If the data entered in a field does not meet the requirements for that field, an error message will be displayed and the field must be corrected before moving on.

DATA FIELDS:

Below is a description for each of the 12 fields. Fields marked with an asterisk (*) are required fields.

- *TRANSACTION TYPE: Choose the appropriate Transaction Type from the pull-down menu.
- *FUND: The Fund number for the warrant in question. Must be numeric, and 8 digits in length.
- BANK ID: Leave blank (default) to indicate that this is a US Bank warrant, or enter "1" to indicate that it is a Key Bank warrant.
- *MICR: The MICR number for this warrant. Must be numeric, 8 digits in length, and unique from all other MICRs on the sheet. When entering Mass Delete requests, this represents the starting MICR of the range being worked on.
- *AMOUNT: The amount of the warrant, in dollars and cents.
- *ISSUE DATE: This is the original Issue Date for an existing warrant, or the needed Issue Date for a future warrant. Should be entered in the MM/DD/YY" date format, such as "05-13-97".
- WARRANT PREFIX: This is a conditionally required alphanumeric field that is used by some agencies for specific cases.
- *WARRANT NUMBER: The number of the warrant in question. Must be numeric, and 6 digits in length.
- WARRANT SUFFIX: This field must be populated for split reissues of voided warrants. Must be a single letter, and should increment for each split being issued for the same void. The sum of the value of all the split reissues must match the value of the warrant being voided. If this field is being used, the DUPLICATE field must be left blank.
- DUPLICATE: This field is required when creating a single reissue for a voided warrant. Enter a "D" in the field to indicate the replacement warrant. This field should not be used if there are to be multiple reissues for a voided warrant.
- PAYEE: This is an optional field that should be filled out for recordkeeping purposes. It will not be included in the Upload File, but it will be retained in the Summary File.
- REASON: Like the PAYEE field, this is an optional field that should be filled out for recordkeeping purposes. It will not be included in the Upload File, but it will be retained in the Summary File.
- MICR2: This field is used only when entering Mass Delete transactions, and represents the ending MICR of the range being worked on.

The form will accept pasted data from other sources; for example, a user can copy lists of Transactions from another spreadsheet and paste them into the form. It should be noted, however, that any data entered in a row before entering a Transaction Type will be validated once a Transaction Type is chosen, and any invalid data will be automatically cleared. For this reason, it is recommended that for each row the Transaction Type be entered before any other data.

UPLOAD FILE CREATION & ERROR CHECK:

EXPORT FILES BUTTON:

The screenshot shows the 'Warrant Adjustment' form. The 'Export Files' button is circled in red. The form includes fields for Date (9/15/11), Preparer (TEST USER), Side System Short Name, Phone, and WAC. A legend indicates Required (purple), Conditionally Required (orange), and Optional (white) fields. Below the form is a table with columns: TRANSACTION TYPE, FUND, BANK ID, MICR, AMOUNT, ISSUE DATE, WARRANT PREFIX, WARRANT NUMBER, WARRANT SUFFIX, DUPLICATE, PAYEE, REASON, and MICR2.

TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	PAYEE	REASON	MICR2
ISSUE	06414610		99031110	1,234.56	04/20/11		009123					
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124					
VOID	06414610		00073150	90.00	04/18/11		001024					
ISSUE	06414610		03373145	90.00	04/18/11		001024		D			
STOP	06414610		00073151	14.22	04/18/11		001025					

Once the form is completely filled out, the user can click on the “Export Files” command button to begin the file generation process. The first thing this will do is cause the form to check for errors in the data.

ERROR CHECK RESULTS:

The screenshot shows the 'Warrant Adjustment' form with error check results. The 'Export Files' button is disabled. A Microsoft Excel error dialog box is displayed with the following text: "The following problems were found. Resolve, then retry. Missing required values. Fields have been highlighted in red. Duplicate MICR numbers found. Fields have been highlighted in purple." The dialog box has an 'OK' button. The form fields for Date, Preparer, Side System Short Name, and MICR are highlighted in red, and the MICR field for the second row is highlighted in purple.

TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	PAYEE	REASON	MICR2
ISSUE	06414610		99031110	1,234.56	04/20/11		009123					
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124					
VOID	06414610		00073150	90.00	04/18/11		001024					
ISSUE	06414610		99031111	90.00	04/18/11		001024		D			
STOP	06414610		00073151	14.22	04/18/11		001025					

During the error checking process the user will be alerted to one or both of two possible error conditions: missing required fields, and duplicate MICR numbers.

Missing fields that are required will be highlighted in red, and duplicated MICR numbers will be highlighted in purple. An alert will identify which errors need to be corrected.

MASS DELETE TRANSACTION:

Warrant Adjustment												
TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	PAYEE	REASON	MICR2
ISSUE	06414610		99031110	1,234.56	04/20/11		009123					
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124					
VOID	06414610		00073150	90.00	04/18/11		001024					
ISSUE	06414610		03373145	90.00	04/18/11		001024		D			
STOP	06414610		00073151	14.22	04/18/11		001025					
DELETE	06414610		00045000									0005000

The only case where some of the required fields may be left blank is when entering a Mass Delete transaction. In that situation, the Amount, Issue Date, and Warrant Number fields are left blank, and the MICR2 field is populated.

DUPLICATE WARRANT NUMBERS ALERT:

Warrant Adjustment										
TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	
ISSUE	06414610		99031110	1,234.56	04/20/11		009123			
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124			
VOID	06414610		00073150	90.00	04/18/11		001024			
ISSUE	06414610		03373145	90.00	04/18/11		001024		D	
STOP	06414610		00073151	14.22	04/18/11		001025			

Microsoft Excel

Multiple records have the same warrant number. Fields have been highlighted in yellow. Please ensure that any Voids equal their Reissues.

To continue press "OK".
To return to the sheet press "Cancel".

OK Cancel

Also during the error checking process, any duplicate warrant numbers will be highlighted in yellow, and the user will be reminded that any void/reissue sets must have balancing amounts. The user will have the option to either continue with the file generation, or to go back to the data sheet to double check its accuracy.

UPLOAD FILE GENERATION NOTIFICATION:

Warrant Adjustment

Date: 9/15/11
 Prepare: TEST USER
 Side System Short Name: TEST
 Phone: (206) 555-1234
 WAO

Required
 Conditionally Required
 Optional

Export Files
 Reset Form

Please note: rows without a Transaction Type will not be included in the upload file

TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE
ISSUE	06414610		99031110	1,234.56	04/20/11		009123		
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124		
VOID	06414610		00073150	90.00	04/18/11		001024		
ISSUE	06414610		03373145	90.00	04/18/11		001024		D
STOP	06414610		00073151	14.22	04/18/11		001025		

If the no errors are found, the form will continue to the file generation steps.

OUTPUT FOLDER REQUEST:

Warrant Adjustment

Date: 9/15/11
 Prepare: TEST USER
 Side System Short Name: TEST
 Phone: (206) 555-1234
 WAO

Required
 Conditionally Required
 Optional

Export Files
 Reset Form

Please note: rows without a Transaction Type will not be included in the upload file

TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE	PAYEE	REASON	MICR2
ISSUE	06414610		99031110	1,234.56	04/20/11		009123					
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124					
VOID	06414610		00073150	90.00	04/18/11		001024					
ISSUE	06414610		03373145	90.00	04/18/11		001024		D			
STOP	06414610		00073151	14.22	04/18/11		001025					

The form will prompt the user to select an output folder for the Upload File.

NAMING CONVENTION:

Once the folder is chosen, the form will automatically format and output the Upload File, which will be named using the following convention:

CM_{SIDESYS}_CMWNT_{date}.txt

The Side System portion is taken from the matching field on the form. The Date portion is filled in based on the time that the Upload File is created, in the format YYYYMMDDHHMMSS.

Thus, for the information below:

Side System Short Name: **KCDIST1**

Date: **May 24, 2011** at **2:25** and **15** seconds PM

The output file name would be:

CM_**KCDIST1**_CMWNT_**20110524142515**.txt

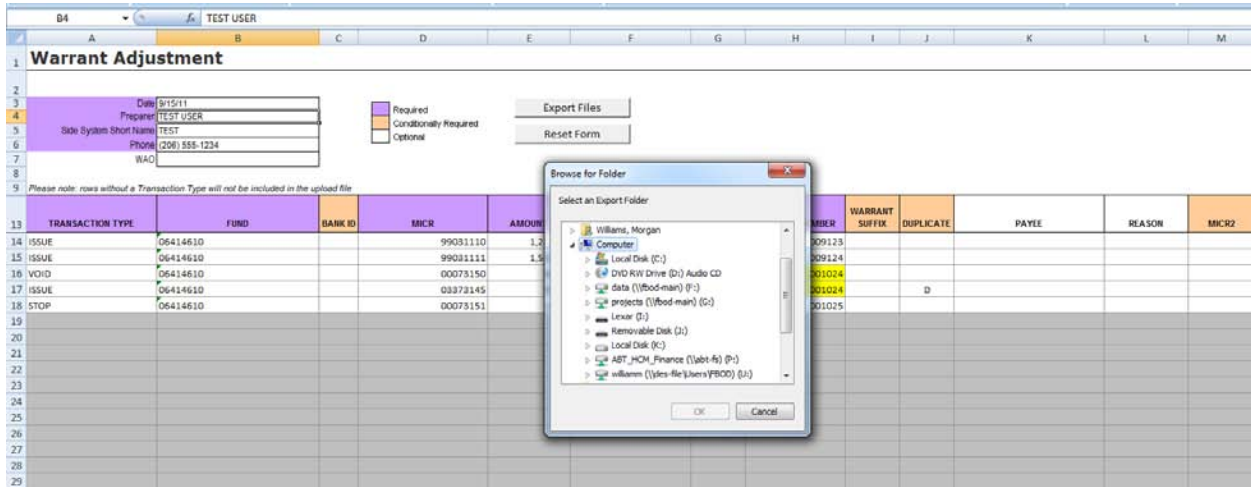
SUMMARY FILE CREATION:

EXPORT SUMMARY FILE BUTTON:

TRANSACTION TYPE	FUND	BANK ID	MICR	AMOUNT	ISSUE DATE	WARRANT PREFIX	WARRANT NUMBER	WARRANT SUFFIX	DUPLICATE
ISSUE	06414610		99031110	1,234.56	04/20/11		009123		
ISSUE	06414610		99031111	1,569.87	04/20/11	G	009124		
VOID	06414610		00073150	90.00	04/18/11		001024		
ISSUE	06414610		03373145	90.00	04/18/11		001024		D
STOP	06414610		00073151	14.22	04/18/11		001025		

Since the form itself is not a savable document, once the Upload File has been generated the user will be prompted to save a Summary File to record what has been done.

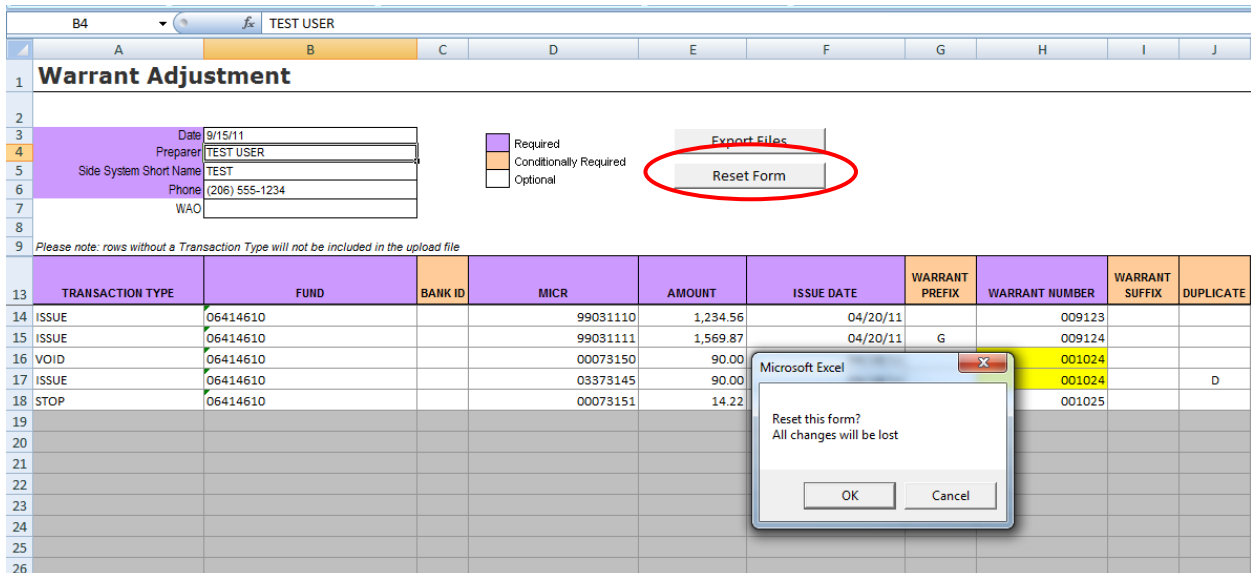
OUTPUT FOLDER REQUEST:



The user will then be asked for an output folder for the Summary File. The form will create a non-functional copy (i.e., no command buttons or macros) of the Entry Form as it currently exists, and save it in the specified folder. The naming convention is the same as that of the Upload file, but with an “xml” (Excel XML) file extension rather than a “txt” (text) extension.

RESETTING THE FORM:

RESET FORM BUTTON:



The “Reset Form” command button is used to completely clear the form of all entries. Because this action cannot be undone, the user is warned and given the option to cancel and return to the form.