

FIRST STEPS TOWARD SOLVING PORTFOLIO MYSTERIES

HELPFUL HELP SCREENS

TRANSACTION NOTES is the first place to look when a trade a team entered does not appear in the Account Holdings after 24 hours. Any error or problems with the trade will be explained on this page in the description column. Explanations of these messages can be found on the Help screen for this page.

The following is a list of messages with Help screen explanations:

- **Account Margin Exceeded by: \$.** (You did not have enough money for the trade, even if you borrowed the maximum.)
- **Account Position Not Short.** (You attempted to short cover a stock that you did not have in your portfolio in a short position. Remember, you cannot short cover a stock you have not previously short sold.)
- **Cannot Buy a Stock Below \$5.00.** (You attempted buy a stock that was trading for less than \$5.00 per share. This is not allowed in The SMG.)
- **Order Price is Away From Market.** (You entered a limit price that was not met.)
- **Order Rejected.** (You attempted to sell a stock that you did not own. Remember, you can only sell a stock that you have previously bought. If you have this security currently in your portfolio, have your advisor notify your state Coordinator.)
- **Problem with Order.** (You will get this message if a system error occurred during processing. If you get this message, check Account Holdings the day after you entered the trade to see if it has been processed. If not, re-enter the trade.)
- **Invalid Symbol or Price Feed System Down.** (If you get this message, you may have entered the ticker symbol incorrectly or part of the system may be down. Check the ticker symbol by using *Investor Research* and re-enter the trade. You can also check the ticker symbol by going to *Enter a Trade* and using *Ticker Lookup* or *Validate Ticker*. If ticker symbol is correct, have your advisor notify your state Coordinator.)
- **Order Canceled.** (You canceled the trade before the close of market, while it was still in *Pending Transactions*.)
- **This is a Possible Error.** (You will get this message if a system error occurred during processing. If you get this message, check *Account Holdings* the day after you entered the trade to see if it has been processed. If not, re-enter the trade.)
- **Not enough position for transaction.** (You are trying to enter a transaction to sell or short cover more of a security than you currently hold in your portfolio.)
- **Trade exceeds maximum percentage for equity.** (Your state Coordinator has set a maximum % of total equity you can have in any security and the trade entered exceeds this maximum.)
- **Entered quantity is greater than short position.** (You have attempted to short cover more shares than you have short sold in your portfolio.)
- **Symbol is not defined in portfolio system.** (You have attempted to place a trade with a ticker symbol that is not in the portfolio database. If this is a valid ticker symbol, have your advisor notify your state Coordinator to get it entered so you can then trade it.)

- **OMS control file error-INVREQ.** (System is down and could not process your order. Try again later.)
- **Portfolio system unavailable, please try again later.** (System is unavailable for trading. Try again later.)
- **Failed: Could not talk to portfolio system.** (System was unavailable for trading. Try again later.)
- **Possible duplicate order.** (You have just entered a duplicate order that would put your portfolio in an over sold long or over bought short position. The trade has been rejected.)
- **Symbol price is zero.** (You have either entered an incorrect ticker symbol or the system price data feed is not pricing the security. If the ticker symbol is correct, have your advisor notify your state Coordinator).

TRANSACTION HISTORY is a record of all activity taking place in the portfolio account (any increase or decrease of equity) EXCEPT for the mark-to-market gains or losses taking place for pending short positions (listed such transactions would render the Trans History page very long and more difficult to read and locate other important information). It is important to understand the various types of corporate actions that may take place and appear on this page. Teams can further research the reasons for actions that may not be immediately obvious from the codes used, as follows. On the Help screen, these types of transactions are listed:

- BUY - indicates that stock was bought.
- SELL - indicates that stock in the portfolio was sold.
- Sell Short - indicates a short position was opened and stocks were short sold.
- Short Cover - indicates closing a short position by covering the short.
- INT (interest) - indicates interest was received for cash held in your portfolio or interest was paid on a margin loan.
- DIV (dividends) - indicates that dividends were paid on a stock held in your portfolio.
- Stock Split - indicates that a stock held in your portfolio split.
- CASH - lists the initial \$100,000 cash in your portfolio when you started The SMG.
- ACQCSH - indicates that the company was acquired for cash and stock no longer trades.
- STK EX - indicates that the ticker symbol has changed or the company merged with another company and has a new ticker symbol.
- RTSISS - indicates that the company has issued the right to buy more stock until a company-specified date for a specified price.
- STK DIV - indicates that the company has issued a dividend in the form of stock.

NOTE: These are just a couple of examples of the information that can be found on portfolio help screens. Be sure to train teachers to use these screens frequently and encourage their students to do so as well. Remember that problem solving is yet another valuable skill that can be learned in the SMG Program, so let us guide the way.

