

CAPS 2018

TECHNICAL INFORMATION

CAPS

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SYSTEM RESOURCES

The main functionality of the CAPS 2018 software is to build and maintain composites in compliance with industry standards. The CAPS database will become a very valuable data repository as it will house ‘clean’ portfolio information, including monthly market values and returns as well as composite assignment details and the performance of your firms’ composites. Most firms find it beneficial to have a limited number of users with access to load and/or change data in the system.

Client / Server Environment: CAPS 2018 is a client/server application. It can be used to provide different users in different locations with information on composites and performance.

The process of using the software in a client/server environment is fairly simple. All of the data that the program generates is contained within the database. The database itself is a Microsoft SQL Server database. This database normally runs on a server computer that can be accessed by personnel within your organization with the appropriate rights. *The network server is your organizations responsibility. CAPS, Inc. does not supply the server hardware or the Microsoft SQL Server program.*

Client-Only Environment: It is possible to run both the CAPS 2018 software and the database from the same computer. If you are a small organization and do not have the resources or IT staff to support a network server running SQL Server, we can provide a run-time version of the SQL Server database software for installation on a desktop computer.

Client-computer Requirements:

Each computer that runs the CAPS 2018 software must have the following:

Microsoft Windows 7, Windows 8/8.1 and Windows 10 operating system

Microsoft Data Access Components (MDAC) 2.6 or later

Microsoft Office 2010 SP2 or later

.NET Framework 4.6

Windows Installer 4.5 or later

Pentium processor (or higher)

4 GB RAM

500 MB disk space

200 MB shared disk space

INFORMATION FOR SYSTEM ADMINISTRATORS

SOFTWARE OVERVIEW:

CAPS 2018 is a Windows® software program which is used to build, maintain and report composites in compliance with the Global Investment Performance Standards (GIPS®). The program analyzes all portfolios each period and alerts users of changes that could affect the members of a composite, such as changes in a portfolio structure, portfolios that need to be added and portfolios that have closed or have dropped below a composite policy requirement.

In order to analyze the change to portfolios each period, the program utilizes decision-support architecture with a data warehouse. The data warehouse stores portfolio properties and performance information from the portfolio accounting system. The data warehouse does not store portfolio transaction data, such as securities bought and sold. The data warehouse uses an indirect interface to the portfolio accounting system to upload performance data on a monthly basis.

SOFTWARE SPECIFICS:

- Database is a Microsoft SQL Server 2008 / 2008R2 – SQL Server 2017 database
- Program code is written in T-SQL, Visual Basic and C#
- Refer to Microsoft guidelines for supported operating systems for SQL Server
- Software can be single-user or multi-user
- Client computers require 4 GB of RAM
- Server computer requires Microsoft SQL Server (2008 through 2017)
- Server disk space requirements vary by firm, but usually less than 3 GB
- Clients should follow Microsoft recommendations for Server Hardware requirements for the particular version of SQL Server they plan on using.

DATA IMPORTS:

The following data can be loaded into CAPS from other systems:

- Portfolio Property Data
 - e.g. Portfolio ID, Name, Tax Status, Portfolio Type, Inception Date, etc
- Portfolio Performance Data (Monthly performance data for each portfolio).
- Benchmark Data
- Tracking Field Data
 - Additional attributes on individual portfolios such as duration or capitalization
- Exchange Rates (for multicurrency performance calculations and reporting)
- Composite Assignments (for creating composites historically when you know which accounts belong in which composites).

For specific information on data import formats and required fields please see the CAPS 2018 Data Import Specifications.

ADDITIONAL CONSIDERATIONS:

The data warehouse stores information from the portfolio accounting system. This information is used to support the GIPS® compliance process through building and maintaining composites. It is highly recommended that all portfolios from the portfolio accounting system get stored in the data warehouse, even if they are not associated with a composite. During a verification or SEC audit, your firm will then be able to prove compliance using the auditing reports and features built-in to the CAPS 2018 software.

For more information on data types, data access or system requirements please contact CAPS, Inc. at (407) 930-3590.