www.ezesoft.com



Eze EMS

Release Date: September 19, 2022

Quick Start Guide

This document introduces you to Eze EMS and provides the information and tools you will need to successfully start using the system.



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About this Guide

This Quick Start Guide introduces you to Eze EMS (Execution Management System) and describes the key features and components you will likely use in a typical trading day. While this guide is not exhaustive, it is designed to help you rapidly get up to speed with Eze EMS.

The primary goal of this guide is to assist you in learning the basics of Eze EMS and gain proficiency in:

- Understanding the purpose of the EMS, its main features, and business value.
- Accessing Eze EMS, understanding the workspace, and how it can be customized.
- Using Eze EMS to access market data tools to inform order routing.
- Creating and routing orders.
- Monitoring market performance.

For your reference, common use cases are included that illustrate the capabilities of Eze EMS.

Audience

This guide is intended to be used by:

- Buy-side traders who have a solid understanding of the financial services domain, investment concepts with knowledge of assets, the stock market, and trading.
- Those who would like an introduction to Eze EMS.



Eze EMS Overview

Eze EMS is a high-speed, multi-broker execution management system that provides centralized access to liquidity venues for execution and tools for dynamically managing positions, portfolios, and trading risk across global equity, futures, and options markets.

Highlights of Eze EMS features include:

- Global connectivity to liquidity sources such as exchanges, brokers, ECN's/MTF's, and dark pools. Eze EMS supports over 200+ brokers on its network.
- Ability to consolidate applications on the desktop and use one global 'portal' for trading multiple asset classes including Equities, Futures, Options, FX, ETF's and CFD's.
- Ability to use real-time data, Eze EMS Market Data, or third-party market data (Bloomberg Desktop API).
- Seamless integration with in-house systems via FIX or API's to facilitate straight-through processing of trades to minimize operational risk.
- Sophisticated trading tools to analyze (market data, charting, news), execute (broker algorithms, program trading, pairs trading, spreads trading), and evaluate trades (TCA Transaction Cost Analysis).

Order Origination

There are several different ways to get orders into Eze EMS. An order can either be generated internally within Eze EMS, or it can flow in from a variety of different external applications, including Microsoft Excel, Eze EMS API, and an Order Management System (OMS). A few methods of order entry however, are more prominent than others.

Many users choose to stage in orders from an OMS into Eze EMS. While Eze OMS is a viable solution, most OMS systems can be configured to connect with Eze EMS. Once the orders are staged into the system through FIX, they appear on the blotter ready to be acted upon. Some users enable claiming, which adds the ability for traders to declare their intentions of working the order before another trader picks it up.

Eze EMS also acts as a standalone system to create and work orders. You can enter orders into Eze EMS and directly send them out to the market. As an alternative, you can "stage" an order within Eze EMS to create the trade internally without sending it to the market. This is frequently done when a trader knows what they want to trade but is still determining where to send the order. Once an order is staged, you can choose to send the order to market using any of the routing methods provided by Eze EMS.

Market Data Tools

After the orders have been staged and are available on the blotter, you can use a wide variety of tools to help perform pre-trade Transaction Cost Analysis (TCA). These tools can help you decide when it is best to send an order to the market and where you should send the order to.



The majority of the trading tools within Eze EMS are supported by market data. Real-time market data is available through Eze EMS Market Data, Bloomberg Desktop API, or a combination of both. Some of the most popular tools for analysis are Time & Sales, Charts, and MarketMakers windows. These windows allow you to view historical and current market performance for an asset or group of assets before making decisions on when and where to route the order.

Routing and Order Execution Options

Eze EMS offers several methods for routing and executing orders. It connects to several liquidity sources, such as over 200+ brokers, exchanges and darkpools. The ability for a trader to access each option is controlled by a set of route permissions that are assigned internally by an Eze employee.

One type of route directs orders to a cash desk where a human with market expertise picks up the trade and executes it according to specified parameters. There is also Direct Market Access (DMA), where the Buy Side leverages the Sell Side infrastructure to access the market and execute the order. Algo routes are also available to users. These routes allow the order to be sent and executed by an algorithm defined by a brokerage. Each order can be split and sent to multiple routes for execution.

Monitoring Order Status

Once the orders are sent out, you can monitor the status of orders as they fill. You can create multiple types of Market Minders to view the orders in a blotter. These configurations allow for a customized display, depicting only what you want to see. For example, an Order Blotter only shows orders that have been sent out, while a List Trader shows the staged orders and any "children" executed off of the staged order. Each type of display shows important information about the executions, such as executed amount, price, and current status.

In addition to actively monitoring blotters, you can set up alerts that are triggered when certain conditions are met. Some commonly-used conditions include: when orders are created, fully filled, or are canceled. These alerts are configured within Eze EMS and can present themselves as pop-up windows, color changes within screens, or sounds. You can choose to receive alerts only pertaining to your orders or to anyone within your firm.

End-of-Day Reporting and Reconciliation

After the market closes and you are done trading, Eze EMS can generate reports of the trades based on a given parameter list. These reports are generated by querying data from the databases and are sent out to clients or other third parties. Typical uses of these files include clearing purposes, reconciliation, and post-trade TCA.



Getting Started

Eze EMS is a secure platform comprised of numerous customizable and out-of-the-box components and options. This section provides introductory information, such as how to access Eze EMS, work with different types of accounts, the Eze EMS workspace and how to customize it, and the basic features of Eze EMS.

Accessing Eze EMS

Eze EMS is a secure platform that requires you to login to gain access to the functionality of the application. The first time you login to your Eze EMS account, enter the user name, domain, and password as provided by your SS&C Eze client service representative.



Note: Multi-Factor Authentication (MFA) is available for Eze EMS, providing you with an additional security layer during Eze EMS and RealTick Extra login. For more information, refer to <u>Multi-Factor Authentication in Eze EMS and RealTick Extra</u>.

Logging into Eze EMS

To log into Eze EMS:

- 1. Double-click the **Eze EMS** icon on your desktop. Alternatively, navigate to **Eze EMS** from the **Start** menu.
- 2. Enter your User Name, Domain, Password, and Locale in the login window, shown below.

EZE S	OFTWARE	
QAINT5	AY	K NI
	TMENT SUIT Managemen	
Enter Login Ir	formation	
User Name:	l	
Domain:		
Password:		
Locale:	QAPERF	•
🗌 AutoLogor	n next time	
	OK	Cancel
CUSIP Data Standard &	erican Bankers Ass base provided by Poor's, CUSIP Ser ivision of The Moo Inc.	the vice





Note: After the first login, you only need to enter your password for subsequent logins. If you have the **AutoLogon** permission added to your account, select the **AutoLogon Next Time** checkbox on the login window, and you will not be prompted to enter your information the next time you login.

- 3. Click OK.
- 4. A green lock 🖬 appears in the system tray.

Changing Eze EMS Login Password

Eze EMS allows you to change your password after the first login.

To change your password:

1. Right-click the green lock in the system tray and select **Change Password**. The Change Password window appears, as shown below.

Change Password	×
	WARE
QAINT5	SK M
EZE INVESTME Execution Man	NT SUITE Sagement System
Enter Login Inform	ation
User Name:	TULI
Domain:	SBDEMO
Old Password:	
New Password:	
Confirm Password:	
OK	Cancel

- 2. Enter your current password in the **Old Password** field.
- 3. Enter a password of your choice in the **New Password** field, retype the same password in the **Confirm Password** field, and then click **OK**.

Multi-Factor Authentication in Eze EMS and RealTick Extra

Eze EMS can be configured with Multi-Factor Authentication (MFA), also called Two-Factor Authentication (2FA), providing an additional security layer during Eze EMS and RealTick Extra login and increased protection against non-privileged users.



Multi-Factor Authentication is an enhanced login method requiring both your password and another piece of information that only you have access to. In the case of Eze EMS, this additional information is a One Time Password (OTP) that is sent to your registered email address or retrieved from an authenticator app (e.g., Microsoft Authenticator or Google Authenticator). By using both your password and a unique OTP, it is more difficult for another party to impersonate you and access your data.



Note: Contact your SS&C Eze client service representative to enable MFA.

Setting Up MFA in Eze EMS

If you are logging into Eze EMS or RealTick Extra with MFA for the first time, you are redirected to the 2FA Configuration Page immediately after your login information is successfully validated. Customize your OTP delivery preference and information to finish setting up MFA on your system.

To enable email as your preferred mode of delivery for MFA in Eze EMS:

- 1. In the Eze EMS login window, enter your Username, Domain, Password, and Locale and click OK.
- 2. You are redirected to the 2FA Configuration Page, shown below. Select **Email** from the **Delivery Preference** drop-down list.

EZE SOFTWARE GROUP RealTick® EMS	USER: Internet and Inco
Eze EMS - 2 Factor Authentication Settings	
Delivery Preference: Email	
Email:	
Save Cancel	

- 3. In the **Email** field, enter the email address you would like the OTP sent to.
- 4. Click Save. You are returned to the Eze EMS login window.
- 5. Re-enter your **Username**, **Domain**, **Password**, and **Locale** and click **OK**. A unique OTP is sent to the email address you provided each time you login to Eze EMS. Use this OTP to <u>login to Eze EMS with</u> MFA.



Note: Email is the default Delivery Preference.

To enable an authenticator app as your preferred mode of delivery for MFA in Eze EMS:

- 1. In the Eze EMS login window, enter your Username, Domain, Password, and Locale and click OK.
- 2. When the 2FA Configuration Page appears, select **Authenticator App** from the **Delivery Preference** drop-down list. A QR code is displayed on the screen that is unique to each user, as



shown below.



- 3. Open the authenticator app on your mobile device and follow the instructions to scan the QR code and add Eze EMS to the app.
- 4. Click **Save**. You are returned to the Eze EMS login window.
- 5. Re-enter your **Username**, **Domain**, **Password**, and **Locale** and click **OK**. A unique OTP will be sent to the authenticator app each time you login to Eze EMS. Use this OTP to <u>login to Eze EMS with</u> <u>MFA</u>.

Setting Up MFA in RealTick Extra

To enable email as your preferred mode of delivery for MFA in RealTick Extra:

1. In the RealTick Extra login window, shown below, enter your **Username**, **Domain**, and **Password** and click **Sign In**.

EZE SOFTWARE GROUP RealTick® EMS
Welcome to RealTick Extra.
Please sign in to continue.
Username:
Domain:
Password:
Sign In
* BDX STAGE MODE *



- 2. When the 2FA Configuration Page appears, select **Email** from the **Delivery Preference** drop-down list.
- 3. In the **Email** field, enter the email address you would like the OTP sent to.
- 4. Click **Save**. You are returned to the RealTick Extra login window.
- 5. Re-enter enter your **Username**, **Domain**, and **Password** and click **Sign In**. You will now receive a unique OTP via the email address you provided each time you login to RealTick Extra. Use this OTP to <u>login to RealTick Extra with MFA</u>.



Note: Email is the default Delivery Preference.

To enable an authenticator app as your preferred mode of delivery for MFA in RealTick Extra:

- 1. In the RealTick Extra login window, shown below, enter your **Username**, **Domain**, and **Password** and click **Sign In**.
- 2. When the 2FA Configuration Page appears, select **Authenticator App** from the **Delivery Preference** drop-down list. A QR code is displayed on the screen that is unique to each user.
- 3. Open the authenticator app on your mobile device and follow the instructions to scan the QR code and add RealTick Extra to the app.
- 4. Click Save. You are returned to the RealTick Extra login window.
- 5. Re-enter your **Username**, **Domain**, and **Password** and click **Sign In**. You will now receive a unique OTP via the authenticator app each time you login to RealTick Extra. Use this OTP to <u>login to</u> <u>RealTick Extra with MFA</u>.

Using Multi-Factor Authentication in Eze EMS

To login to Eze EMS using MFA:

- 1. In the Eze EMS login window, enter your Username, Domain, Password, and Locale and click OK.
- 2. A unique One Time Password (OTP) is sent to you via your selected delivery preference (i.e., email or authenticator app). Check your configured authentication method to retrieve the code. An



example of an email with an OTP is shown below.

Reply 👰	Reply All 🕞 Forward	
	Tue 3/30/2021 3:55 PM	
E	ezeAdmin@ezesoft.com	
	OTP for your Eze EMS Account	
o Dunii, mari	Sharan	^
Phish Alert		+ Get more add-ins
	as One Time Password (OTP) to login to your Eze EMS account. This OTP Ir SS&C Eze client service representative for assistance.	is valid for ten minutes only.

3. Return to Eze EMS and enter the OTP in the **Security Code** field of the Step Two of Verification window and click **OK**. An example of a Step Two of Verification window for email delivery is shown below.

A security code has been	sent to the email
address communication l	
email and enter the code l	Delow.
Vide't receive a convitu o	adal Decand Code
Didn't receive a security c	code? Resend Code
	ode? Resend Code
Didn't receive a security c Security Code:	ode? Resend Code

If **Email** is selected as your delivery preference and you do not receive an OTP, you have the option to resend a new code after one minute has passed.

To send a new OTP, click **Resend Code** on the Step Two of Verification window.



Note: Contact your SS&C Eze client service representative if you still do not receive a security code.

In addition, if you enter an incorrect OTP on the Step Two of Verification window, you are redirected to the Eze EMS login window. Re-enter your login information to generate a new OTP.

Using Multi-Factor Authentication in RealTick Extra

To login to RealTick Extra using MFA:



- 1. In the RealTick Extra login window, enter your Username, Domain, and Password and click Sign In.
- 2. A unique One Time Password (OTP) is sent to you via your selected delivery preference (i.e., email or authenticator app). Check your configured authentication method to retrieve the code.
- 3. Return to RealTick Extra and enter the provided OTP in the **Security Code** field of the Step Two of Verification window and click **Submit**. An example of a Step Two of Verification window for email delivery is shown below.

	EZE SOFTWARE GROUP RealTick® EMS
A security co	f Verification. de has been sent to your registered email hsxxx@ezesoft.com. Please check your ter the code below. de: •••••• Submit Cancel Generate New Code 00:22

If **Email** is configured as your delivery preference and you do not receive an OTP, you have the option to resend a new code after one minute has passed.

To send a new OTP, click Generate New Code on the Step Two of Verification window.



Note: Contact your SS&C Eze client service representative if you still do not receive a security code.

In addition, if you enter an incorrect OTP on the Step Two of Verification window, you are redirected to the RealTick Extra login window. Re-enter your login information to generate a new OTP.

2FA Configuration Page

The 2FA Configuration Page is available in both Eze EMS and RealTick Extra. You can use the 2FA Configuration Page to customize or verify your OTP delivery preference and information for Multi-Factor Authentication.



Note: The delivery preference and information you provide on the 2FA Configuration Page is applied to MFA in both Eze EMS and RealTick Extra.

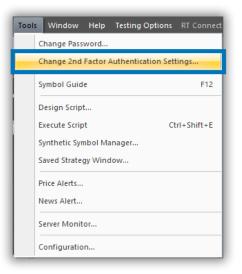
Accessing the 2FA Configuration Page in Eze EMS and RealTick Extra

You can access the 2FA Configuration Page to change your delivery preferences at any time.



To access the 2FA Configuration Page in Eze EMS, do one of the following:

• Click on the **Tools** menu and select **Change 2nd Factor Authentication Settings...**, as shown below.



• Right-click on the Eze EMS green lock (H) on your computer's task bar and select Change 2FA Settings..., as shown below.



To access the 2FA Configuration Page in RealTick Extra, click on **Configure 2FA Settings** on the Home screen, as shown below.



EZE SOFTWARE GROU RealTick" EMS	IP					U	ISER:	<u>gn Out</u>	
HOME LOGIN MANAGER USER MANAGEMENT	TRADE SUPPORT	WAM	AMP	REPORTS	REALTICK APPRO	OVALS	OPPORTUNITIES	RPM	ADMIN
Configure 2FA Settings Configure your delivery preference for 2-factor authentication code. User Info Houses Information on your current users, including contact info, their permissions on the RealTick platform, and billsets. RealTick Release Notes Archives of release notes from previous RealTick releases. Download RealTick Download RealTick RealTick API Software developers can write custom trading, risk management and analytic applications using the RealTick API. Market Data Calculator Calculate Market Data Cost	Welcome to F Stay current with Press Release Case Studies News Events Resources	h the latest		e Software Gr	bup.				

What Is Installed With Eze EMS

The Eze EMS install directory contains .dll files, .exe files, and other files necessary for your application to run. It includes the sub-directories described below:

Sub-Directory	Description
Analysis	The Analysis directory contains preconfigured studies that come out of the box with Eze EMS as well as studies that you configure and save.
Data	The Data directory contains your activities within the application for a particular day.
Favorites	The Favorites directory contains your saved favorites and preconfigured win- dows.
Help	The Help directory contains the context sensitive Help system for Eze EMS.
Mail	The Mail directory contains the files for TAL Mail.
Pages	The Pages directory contains all your save Eze EMS pages, including their layouts and preferred window arrangements.
Parm	The Parm directory contains all the symbol lists as well as the Market Minder and MultiQUote layouts.
Sounds	The Sounds directory contains all the sound files used for Eze EMS Alarms and Alerts.
Temp	The Temp directory contains files such as MultiQuote and Market Minder lay- outs that are encapsulated with a page or favorite, but are not saved in the Parm directory.
Trading	The Trading directory contains the files for order actions in Eze EMS.



Accounts

Before you can place orders or view data, you must select an account. Eze EMS supports the following types of user accounts:

- Neutral An account not associated with any routes.
- Trading An account associated with specific routes.
- Multi-broker An account associated with the selected firm or broker.
- Virtual A client-side pseudo-account representing a collection of real accounts. Refer to the <u>Vir</u>tual accounts section for more information.

The following windows require you to select an account while opening:

- Charts
- Market Minder
- MarketMakers
- MultiQuote
- Order Entry
- Slicer
- TabView
- TurboOptions[®]

Selecting an Account

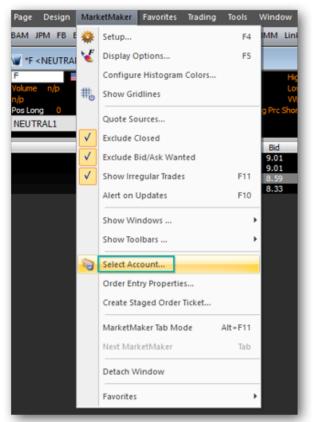
You can select an account in Eze EMS from a drop-down list in some windows, as shown below. However, most accounts are selected from the menu option.

iantity Leg 2 Side	Quantity Direction	Type Ratio Cash	Operator Spread Market Pa	issive Achieved Percent R	loute
me Limit Price Exec (Qty Leaves Avg Price Dr	estination Status	Strategy	Time Start Time Sto	p Time Vol Lmt
			V TRADE		~
Direction Pair Typ	pe Link Type	Ratio Cash	Spread NEUTRAL		<
Setup 🗸 Risk Ar	ib 🗸 None	✓ 1		Dav Y II II	Le
	Notional Notional CCY	Booking Bench De	scription	Bid Siz	re Ask S
ide Qty	Notional Notional CCT	booming bench be	and the second	010 312	e nan s
ide Qty uy	Nouonal Nouonal CCT	booking bench be		010 312	is nan s
	Direction Pair Ty;	Direction Pair Type Link Type	Direction Pair Type Link Type Ratio Cash	Direction Pair Type Link Type Ratio Cash Spread NEUTRAL	V TRADE



To select an account from the menu:

1. Click on the menu for the window you are using (i.e. MarketMaker, MultiQuote, Charts, etc.) and click Select Account..., as shown below.



2. Select an account from the list in the Available Accounts field and then click OK.

	Select Account	- 🗆 🗙
Available Accounts:		
NEUTRAL:NEUTRAL:EZESOFT:T TAL:TEST:EZESOFT:TECHCOM	TECHCOMNEUTRAL	ОК
TAL;TEST;EZESUFT;TECHCUM	TRADE	Cancel
		Cancel
		Help
		Virtual Account
Account Filters		
Bank: Branch:	Customer: Deposit:	
×	× <u>L</u> oad	
Match Whole Words	Hide Broker Accounts	



Selecting Default Neutral Accounts

You can set a default neutral account for the Staged Pairs Order form. The ability to set a default neutral account increases your efficiency when creating an order since it eliminates the process of selecting a neutral account every time you stage a pair order.

To set the default neutral account from the Order Entry Properties window:

- 1. Click on the **Trading** menu, select **Order Entry Properties...**, and then select the **Pairs and Spreads** tab.
- 2. Select **NEUTRAL** from the **Default Neutral Account** drop-down list and then click **OK**.

	Order Entry Properties	×
Auto Hedger Broker Defaults Configuration Files Event Sounds Miscellaneous Order Actions Manager Order Alerts Order Colors Order Entry Default Rules Order Form Settings	-Spreads Price Type Spread Type Route MKT Standard DEMO Auto Generate Spread Name Auto Generate Spread Name Auto Generate Spread Name Auto Generate Spread Name Do not cancel staged option spread Do not cancel staged option spread Do not cancel staged option spread Do not cancel staged aption	×
OMS Settings OMS Settings Pairs and Spreads Performance Options Price/Trade Size Warnings Spin Increments Accelerators Time Zone Toolbar Manager Virtual Routes Warnings/Confirmations	MKT 1 1 1 Non-lean Timeout 0 - Pairs - - Pair Type Route - Risk Arb BAML Euro Pairs - Automatically Save Synthetic Symbol when Order is Placed - Automatically Load Synthetic Symbol - Generate Trading Statistics for Synthetic Symbols (Requires Restart) Currency to use in Notional Amount display CAD Display Standard Formula for RATIO Pairs Leg 1 Booking Type: Leg 2 Booking Type: Default Default	
	Default Neutral Account NEUTRAL Link Type None Default Pairs Direction None V	
	ОК Са	ncel

The selected neutral account appears as default in the Staged Pair Order and Broker Pair Algo forms.



Note: You can override the default neutral account in the Staged Pair Order and Broker Pair Algo forms.

Selecting Multi-Broker Accounts

As a multi-broker trader, you can create a default firm/account association.



Note: Multi-broker features, such as the Firm/Broker list on the Select Account window, require specific permission. Contact your SS&C Eze client service representative to set up multi-broker features.

To create default firm-account association:

- 1. Select a firm or broker from the **Firm/Broker** drop-down list in the Select Account window.
- 2. All accounts associated with the selected firm or broker appear in the Available Accounts field.
- 3. Select the desired account from the Available Accounts field and then click OK, as shown below.

	Select Account	- 🗆 🗙
Available Accounts: NEUTRAL;NEUTRAL;EZESOFT;TE	CHCOMNEUTRAL	ОК
TAL;TEST;EZESOFT;TECHCOM	TRADE	Cancel Help
		Virtual Account
		1
Account Filters Bank: Branch: * * <u>M</u> atch Whole Words	Customer: Deposit: * Load Hide Broker Accounts	_

Virtual Accounts

You can trade different currencies, routes, and securities for different accounts, all in one account by creating a virtual account. If you trade using a virtual account, Eze EMS automatically aggregates these trades into appropriate accounts.

Virtual accounts offer the following benefits:

- A consolidated order blotter view
- Aggregated positions
- Aggregated account balances



Virtual accounts can contain an explicit list of accounts, or they can be configured to include wildcards, which are interpreted at start-up. Wildcards are useful if new accounts are added periodically (representing traders or funds) and you want to avoid re-configuring the virtual account each time.

For example, if a virtual account includes **TAL;HARTFORD;DEREK;***, then all accounts underneath **DEREK** in the **BBCD** hierarchy would be included.



Note: Virtual Accounts are implemented only on the client; therefore, Eze EMS cannot send an order to the trade server using a virtual account.

Configuring a Virtual Account

To configure a virtual account:

- 1. Click Virtual Account... on the Select Account window.
- 2. When the Virtual Account Dialog Manager window appears, click **New**, as shown below.

Virtual Account Dialog Manager	×
	OK
	Cancel
	Help
Use Default Account specified in Order Entry Properties	
New Edit Delete	

3. In the Virtual Account Properties window, shown below, enter a name for your virtual account in the **Account Name** field.



	Virtual Account Properties	×
Available Accounts NEUTRAL,NEUTRAL,EZESOFT,TECHCOM TAL,TEST,EZESOFT,TECHCOM	>	OK Cancel Help
Account Name:	✓ Do not Aggregate Positions (Better Performance)	

- 4. Select the accounts in the **Available Accounts** field that you would like to add to your virtual account.
- 5. Use the less than (>) or greater than (<) arrows to add or remove an account, respectively.
- 6. Select desired currency from the **Account Currency** drop-down list.



Note: The account currency is only for assessment purposes. You select an account currency to easily monitor the account in a Position Blotter. For example, if you have an account that is trading in Japanese Yen and Mexican Peso, but you want the account's positions to be displayed in a different currency (e.g., U.S. Dollar) in the Position Blotter, you can set the account currency to easily assess the accounts.

- 7. Click **OK**.
- 8. Click **OK** on the Virtual Account Dialog Manager window.

The virtual account is added to the list of available accounts in the Select Account window.

Setting up a Default Virtual Account

When trading in virtual accounts, Eze EMS can use account defaults specified in the Order Entry Properties window. For more information on how to set a default account, see the <u>Selecting default</u> <u>neutral accounts</u> section.

To set up a default virtual account:

- 1. From the Select Account window, click the Virtual Account... button.
- 2. Select an account in the Virtual Account Dialog Manager window.



3. Select Use Default Account specified in Order Entry Properties, as shown below, and click OK.

Virtual Account Dialog Manager	×
IEST1 Image: TEST2	OK Cancel Help
Use Default Account specified in Order Entry Properties New Edit Delete	



EMS Workspace

The Eze EMS user interface provides a wide variety of features that are fully customizable. Main areas of the user interface are described below.

Default Layout Screen

Menu —	Design TabView Favorites Trading Pairs Tools Window Help RT Con		-				
Toolbar	🚈 🥅 🤞 💱 🏭 🗑 😘 🏷 🔄 🔄 🖏 🥖 🛣 🛄 😳 🚥 🥹 OOG AB BNP.PAR BMV.ETR IPAIr FB ISPREAD AAPL RES.LSE MSFT VOD.LSE II						
Window	TabView : AAPL Daily <tal;test;ngarg;trade></tal;test;ngarg;trade>	TabView : AA	PL International <tal;tes< th=""><th>T;NGARG;TRAI</th><th>DE></th><th></th><th></th></tal;tes<>	T;NGARG;TRAI	DE>		
Window	Daily Intra-day •	International	Tech Financial ETF Fut	tures +			
ked Window	Intraday(S-Min) (Standard) (Left) AAPL No Data Returned Yet	Flag Symbol	Description	Last	Change % Chg	Volume Range	
		INDICES SCOMPX	NASDAQ Composite				
AL.			DAX PERFORMANCE-INDEX	n/p			
同		\$0.1I	DJ Industrial Avg	n/p			
ST.		SIB.MAI	IBEX 35.		-79.0000 +0.87 20	,616,055	
i.		\$N100.ENI \$N225.NIK	EURONEXT 100 Nilkei 225	n/p n/p			
2		SNDX.X	NASDAQ 100	1015			
1 A A A A A A A A A A A A A A A A A A A		SPX1.ENI		n/p			
Page S		\$SPX.X FUTURES	S&P 500 INDEX	2822.24			
<i>m</i>		/CL[0]	Jul 2019 Crude Light WTI G	58.64 1	+.73 +1.26	117,815	
		/ES[0]	Jun 2019 E-Mini S&P 500			137,882	
		/28[0]	Jun 2019 US Treasury Bond			53,269	
		/ZN[0]	Jun 2019 10 YR Notes e-CB	€ 124^30 T	-^08+ -0.21	280,251	
		 6758,TYS 	SONY CORP	S 5360.0 T	-6.0 -0.11 8	.565,300 -	
		AAPL	APPLE INC	n/p			
		ABX.CAT	BARRICK GOLD CORPORAT				
		BARC.LSE BB.CAT	BARCLAYS PLC ORD 25P BLACKBERRY LIMITED	n/p			
		BCS	BARCLAYS PLC ADR				
			BAY, MOTOREN WERKE AG				
		BP.LSE	BP PLC \$0.25	n/p			
		DRYS DTE.ETR	DRYSHIPS INC COM PAR NE DT.TELEKOM AG NA	n/p n/p			
		FCA.MIL	FLAT CHRYSLER AUTOMOBI				
		GE GE	GENERAL ELECTRIC CO			200 1	
		Register Street	GLAXOSMITHKLINE PLC OR	I n/p		I	

The Eze EMS user interface has the following components:

- **Page** The main area in which you can add customized or pre-configured window layouts using the Page menu.
- Window A window displays information about multiple view available in EMS such as charts, watch lists, blotters, and order entry forms. You can organize these views within windows into one or more tabs. You can perform actions such as:

Dock the least used window(s).

Add new windows to an existing page via the **Design** menu.

Link windows, to create a link between two windows.

Clone windows, to clone an existing window.

- Menu The primary Eze EMS menus include Page, Design (Windows), Favorites, Trading, Pairs, Tools, Window, and Help. Additional menus appear depending on the windows that are added to the page.
- **Toolbar** The toolbar appears at the top of the page; it displays a list of window designs. You can also move toolbars and edit the functionality that is available via the toolbar. Additional toolbars are automatically added to the page for some windows.
- **Docked Window** You can dock the window(s) by moving them outside the Eze EMS mainframe.



Customize Workspace

In Eze EMS, you can customize your workspace, including the ability to set the color and font for windows, or adjust the size of the windows. You can also set defaults, such as a open a desired page on launch, or hide a window title.

You can set defaults using the **Configuration** window (**Tools** > **Configuration...**). The settings are applied on the Eze EMS framework, or on all Eze EMS windows.

Setting Page Defaults

To set default page settings:

1. Click on the **Tools** menu, select **Configuration...**, and then select the **Page** tab, as shown below.

	Configuration
Application Skins	Page settings
Backup and Sync	Startup Options: Do not load a page 🗸 🗌 Save Page on Exit
Colors/Fonts	Embed layout files in pages and favorites when possible Embedded File Options
Currency	(Allows pages and favorites to be distributed more easily)
General	✓ Stretch Windows when Frame Window is Resized
Option Risk Setting	Minimize Detached Windows when Frame Window is Minimized
Page	Use Grid when Resizing Windows (Hold Ctrl to Ignore) Page Grid Size: 20 pixels
Scripting	
Toolbars	
Window Captions	
	OK Cancel Help

- 2. Configure the desired settings, and then click **OK**. The following settings can be configured for a page:
 - Startup options
 - Save page on exit
 - Embed layout files in pages and favorites when possible
 - Stretch windows when frame window is resized
 - Minimize detached windows when frame window is minimized
 - Use grid when resizing windows
 - Set page grid size



Adjusting Common Workspaces

You can select how the windows appear on the page. Navigate to the **Windows** menu and select one of the options below to change the appearance:

- Tile
- Tile Horizontally
- Cascade

Additionally, to manually adjust the size of the window, hover over the edge of the window to get the double-headed arrow. Click and drag in the desired direction.

Changing Window Colors

To change the window color:

1. Click on the **Tools** menu, select **Configuration...**, and then select the **Colors/Fonts** tab, as shown below.

		Configuration				
Application Skins	Display options for wi	ndows				
Backup and Sync	Windows Theme	Black & Orange		~		
Colors/Fonts		black a orange		·		
Currency	Colors/Fonts					
	Property	Value		Text	Numbers	Tick
General	Text Font	Tahoma(8)	^	AaBbCc		\uparrow
Option Risk Setting	Window Colors			Alternate AaBbCc	012345	T T
	Background			Selected	012345	1
Page	Gradient			AaBbCc	012345	Ŷ
Scripting	Grid & Border			AaBbCc		4
scipting	Text			AaBbCc		ф. 1
Toolbars	Selected Rows			AaBbCc	012345	J.
Window Captions	Alternate Rows	3	~			
window captions	Save As: Custom Blac	k & Orange	~			
		it a orango	Ŧ			
				ОК	Cancel	Help
				ок	Cancel	н

- 2. Select Turn on Theme and choose the desired theme from the drop-down list.
- 3. You can select the desired color from the color palette by clicking the square next to **Background**, **Gradient**, **Text**, or **Selected Rows**.
- 4. You can make the grids and borders visible by selecting **Grid & Border** and click the cell to select the desired color from the color palette.
- 5. You can change the color of Up and Down Ticks by clicking the square next to **Up Tick** or **Down Tick** and selecting the desired color from the color palette.



6. Click **OK** to save the changes for the theme. If you want to create a new theme, enter the name in the **Save As** field, and then click **OK**. The saved theme is added in the **Turn on Theme** drop-down list.

Hiding a Window Title

To hide the window title:

1. Click on the **Tools** menu, select **Configuration...**, and then select the **Window Captions** tab, as shown below.

	Configuration
Application Skins	Window caption and frame settings
Backup and Sync	Window Caption: Show
Colors/Fonts	Window Frame: Thick 🗸
Currency	*POWERSHARES QQQ TRUST UNIT SER <tal, p="" test,<=""></tal,>
General	Daily (Standard) (Left) QQQQ - POWERSHARES QQQ TRUST UNIT SER 1 Close
Option Risk Setting	2009 2010 50+
Page	46.33 min the wat
Scripting	45 WWW WWWWWWW
Toolbars	
Window Captions	
	D J F M A M J J A S
	OK Cancel Help

- 2. To change the window title display, select one of the following options from the **Window Caption** drop-down list:
 - Hide
 - Show
 - Only On Mouse Hover
- 3. To modify the window frame settings, select one of the following options from the **Window Frame** drop-down list:
 - Thick
 - Thin



Note: The Thin option is not available if Show is selected as the option for Window Caption.

4. Click OK.

Adding and Removing Columns

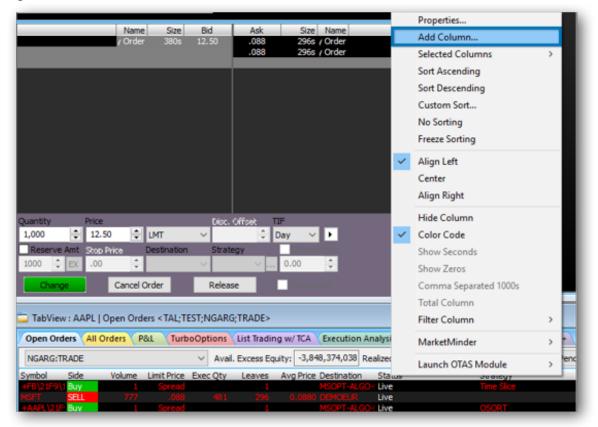
You can add or remove columns in a window while using Eze EMS.



Adding Columns

To add a column:

1. Right-click the column header and select **Add Column...**, as shown below.



2. Select the desired field or search for it in the **Search** field, as shown below. You can also select columns using the **Category** tab.



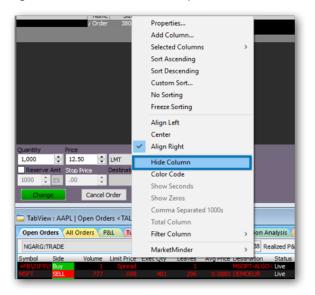
Search	~	1694 Found	
Field	Table	Description	,
#Highs	livequote	Number of intraday highs	
#Lows	livequote	Number of intraday lows	
\$-Weighted call volume	livequote	Dollar-Weighted call volume	
\$-Weighted put volume	livequote	Dollar-Weighted put volume	
% Cash & sec's to curr't assets	fundamentals	% cash and securities to current assets	
% Debt of depreciated plant	fundamentals	% Debt of depreciated plant	
% Inventories to current assets	fundamentals	% Inventories to current assets	
% Maint of gross op'g revenues	fundamentals	% maintenance of gross operating venues	
% Net curr't assets to net worth	fundamentals	% Net current assets to net worth	
% Sales to net property	fundamentals	% sales to net property	
% Sales to total assets	fundamentals	% sales to total assets	
% Stockholders' equity	fundamentals	% Stockholders' equity	
% of Display Size	orders	% of Display Size	
% of revenue avail for common	fundamentals	% of revenue available for common	
%CommStk&Surpl(com stkhld's e	fundamentals	% Comm. Stock & Surplus (combined stockholders' e	
%Diff Vol20	security	%Diff Vol20	
%NetOp'g income of net util plnt	fundamentals	% Net operating income of net utility plant	
10th Sym	livequote	10th symbol in chain	
11th Sym	livequote	11th symbol in chain	
12th Sym	livequote	12th symbol in chain	
13th Sym	livequote	13th symbol in chain	
14th Sym	livequote	14th symbol in chain	

3. Click **OK**.

Removing Columns

To remove/hide a column:

1. Right-click the column header you want to remove and select **Hide Column**, as shown below.



2. Alternatively, you can right-click the column header and select **Selected Columns**, as shown below. Click the column you want to remove from the window.



Name S / Order 35	Properties Add Column		Seekel
	Selected Columns > Sort Ascending Sort Descending Custom Sort No Sorting Freeze Sorting	* * * * * *	Symbol Side Volume Limit Price Exec Qty Leaves
uantity Price ✓ 1,000 ↓ 12.50 ↓ LHT Reserve Ant 300 2/30 Destina 1000 ↓ EX .00 ↓ Cancel Order	Align Left Center Align Right Hide Column Color Code Show Seconds Show Zeros	* * * * * * * *	Avg Price Destination Status Strategy Time Start Time Stop Time
TabView : AAPL Open Orders <ta Open Orders \ All Orders \ P&L \ NGARG:TRADE</ta 	Comma Separated 1000s Total Column Filter Column > MarketMinder >>	* * * * * *	Vol Lmt % Peg Limit Comm. Rate Discr. Offset Underlier
ymbol Side Volume Limit Price FB/21F9/1 Buy 1 Spread ISFT SELL 777 0/88 AARL/21F Buy 1 Spread	Exec Qty Leaves Avg Price Dest 1 NSO 491 225 0.0880 DFM 1 NSO 493 125 0.0880 DFM		Executing Broker Strate Live OSOR

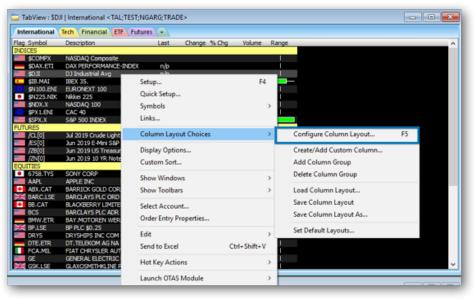
Dragging and Dropping Columns

To arrange the columns in a window, you can click the column header and move it to the desired location.

Configuring Column Layouts

To configure column layout:

1. Right-click the window, select **Column Layout Choices**, and then click **Configure Column Layout...**, as shown below. Alternatively, you can click **F5** on your keyboard.





	Co	lumn Confi	guration		×
Field	Label	Width	Align	^	<u>E</u> dit
Symbol	Symbol	8	Left		Delete
 Description 	Description	20	Left		Perete
 Last Price 	Last	7	Center		Move to Top
Tot. Vol.	Tot. Vol.	8	Center	_	nore to rep
✓ Bid	Bid	6	Center		Move <u>U</u> p
Bid Size	Bid Size	8	Center	_	Move Down
Bid Exch ID	Bid Exch ID	8	Center		MOVE DOWI
✓ Ask	Ask	6	Center	~	Move to Bottom
Column Group C	Layout File Dptions Vertically in Window ver of Groups: 1 Dptions on Headers Num	Imper of Fixed	nge Symbols in eft to Right Columns: (Updates (all Mi) 🔹	e to Bottom ws)

2. The Column Configuration window appears, as shown below.

- 3. Click Add Field..., the Select Fields window appears where you can search and add the desired fields to the window.
- 4. Click Add Analysis..., the Select Custom Field : Study window appears where you can select studies and conditions to be added to the window.
- 5. Select a column and click:
 - Edit to edit a selected field.
 - **Delete** to remove a selected field.
 - Use the Move to Top, Move Up, Move Down, Move to Bottom buttons to move a selected field.
- 6. Configure the desired settings in **Other Layout Options** to change the appearance of the window.
- 7. Click **OK**.
- 8. Optionally, to save your current column layout changes, right-click the window, select Column Layout Choices, and then click Save Column Layout. To save the changes as a separate column layout, click Save Column Layout As..., provide a name for the layout with .bvw extension, and then click Save. You can use the saved file to directly apply it on a window layout. Refer to the <u>Specify</u> column layout section for more information.

Specifying Column Layout

You can select a column layout for the window as per your requirement.



To load an existing column layout:

1. Right-click the window, select **Column Layout Choices**, and then click **Load Column Layout...**, as shown below.

TabView : SCOMPX International <tal;test< th=""><th>r;NGARG;TRADE></th><th></th><th></th><th>- • ×</th></tal;test<>	r;NGARG;TRADE>			- • ×
International Tech Financial ETF Futures	1.			
Time Order Details	Status			^
INDICES				
0:00				
0:00	Setup	F4		
0:00				
0:00	Quick Setup			
0:00	Symbols	>		
0:00				
0:00	Links			
0:00				
FUTURES	Column Layout Choices	>	Configure Column Layout	F5
0:00	Diselse Ostions		Control Add Control Column	
0:00	Display Options		Create/Add Custom Column	_
0:00	Custom Sort		Add Column Group	_
0:00				_
EQUITIES	Show Windows	>	Delete Column Group	_
0:00	Show Toolbars		Load Column Launat	
0:00	Show looibars	· · ·	Load Column Layout	
0:00	Select Account		Save Column Layout	
0:00	Select Account		Save Column Layout As	_
0:00	Order Entry Properties		Save Column Layout As	
0:00			Set Default Layouts	
0:00	Edit	>	Set Default Layouts	
0:00	Send to Excel	Ctrl+Shift+V		
0:00	Send to Excer	Con+ shift+ y		
0:00	Hot Key Actions	>		
0:00	From Key Accords			
0:00	Launch OTAS Module			~
0.00	Council OTAG MODULE			•

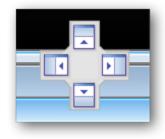
- 2. When the **Open Layout** window appears, select the desired layout.
- 3. Click Open.

Docking Windows

You can dock the windows in a particular location on the page.

To dock a window:

- 1. Right-click the window and select **Detach Window**.
- 2. Click the window header and start moving it in the direction you want to dock. The direction arrows appear in the middle of the screen, as shown below. Hover-over the arrow that represents the direction in which you want to dock the window, and then release the mouse. Ensure that you see your desired docking area highlighted before releasing the mouse cursor.





Basic Features

This section provides basic information on Eze EMS features, to help you get familiar with using the system.

Working with a Page

A page is a collection of related windows that are opened and closed at some time while using the application. If you open a window, it is added to the current page and when you close a window, it is deleted. You can save changes made to the window(s) on a current page before you close it.

Setting a Start Page

In Eze EMS, you can customize the windows and page settings.

To set up a start page in Eze EMS:

- 1. Click on the **Tools** menu and select **Configuration...**. The Configuration window appears.
- 2. Select the **Page** tab, as shown below.

	Configuration
Application Skins	Page settings
Backup and Sync	Startup Options: Do not load a page v Save Page on Exit
Colors/Fonts	Embed layout files in pages and favorites when possible Embedded File Options
Currency	(Allows pages and favorites to be distributed more easily)
General	Stretch Windows when Frame Window is Resized
Option Risk Setting	Minimize Detached Windows when Frame Window is Minimized
Page	Use Grid when Resizing Windows (Hold Ctrl to Ignore) Page Grid Size: 20 pixels
Scripting	
foolbars	
Window Captions	
	OK Cancel Help

- 3. Select the desired option from the **Startup Options** drop-down list. You can select one of the following options:
 - **Do not load a Page** No page opens when you launch the Eze EMS application. For more information on how to open a page, see <u>Opening an existing page</u>.
 - Load Most Recent Page Opens the last page of the previous session.
 - Load First Page Opens the first page saved in your local repository (e.g., C:\EzeEMS\PAGES).



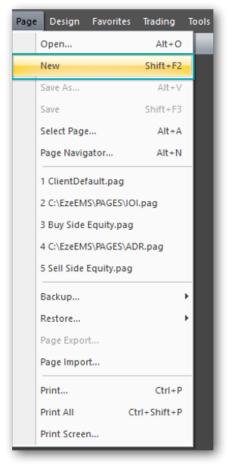
- Select Page to Load Provides option to select and open a pre-saved page when you launch the Eze EMS application.
- 4. Click OK.

Creating a New Page

Eze EMS provides the ability to create a new page with the windows that you frequently need to access.

To create a new page in Eze EMS:

1. Click on the Page and select New, as shown below, or press Shift + F2 on the keyboard.



- 2. Eze EMS appears with a blank screen. Open the windows that you want to include on the page from the **Design** menu.
- 3. Click the Page menu and select Save As. The Save Page As window appears.
- 4. Enter a name for the page in the File name field and click Save.

Opening an Existing Page

When you open the Eze EMS application, you can choose to open an existing page; either a default page or a saved page from the default installation location (e.g., C:\EzeEMS\PAGES). There are a few default



pages that are available with the installation package. You can also customize a page and save it as a new page. For more information on how to create a new page, see Creating a new page.

To open an existing page:

1. Click on the **Page** menu and select **Open** or press **Alt** + **O** on the keyboard. The **Open Page...** window appears, as shown below.

Eze EMS QSG Name Date modified Type Size Images ADR.pag 06-02-2019 12:20 PAG File 93 KB Personal AUM.pag 06-02-2019 12:20 PAG File 601 KB OneDrive - Eze So Bloomberg Integrated EMS.pag 06-02-2019 12:20 PAG File 140 KB This PC ClientDefault.pag 06-02-2019 12:20 PAG File 244 KB 3 3D Objects ClientDefault.pag 06-02-2019 12:20 PAG File 401 KB Desktop ClientDefault.pag 06-02-2019 12:20 PAG File 218 KB Documents Equities Sales Trader.pag 06-02-2019 12:20 PAG File 418 KB Downloads Futures Default.pag 06-02-2019 12:20 PAG File 418 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 418	- 🔿 🗠 🕇 🔁 🛛 Th	is PC > Local Disk (C:) > EzeEMS > PAGES	S		✓ Ö Search P	AGES	م
Exe EMS QSG Name Date modified Type Size Images Images <th>Organize 👻 New folde</th> <th>er</th> <th></th> <th></th> <th></th> <th></th> <th></th>	Organize 👻 New folde	er					
Personal Abh.pag 06-02-2019 12:20 PAG File 95 KB OneDrive - Eze So Bloomberg Integrated EMS.pag 06-02-2019 12:20 PAG File 140 KB This PC ClientDefault.pag 06-02-2019 12:20 PAG File 72 KB Dobjects ClientDefault.pag 06-02-2019 12:20 PAG File 24 KB Desktop ClientDefault.pag 06-02-2019 12:20 PAG File 218 KB Documents Equities Sales Trader.pag 06-02-2019 12:20 PAG File 218 KB Documents Futures Default.pag 06-02-2019 12:20 PAG File 218 KB Documents Futures OuteBoard.pag 06-02-2019 12:20 PAG File 80 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 80 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 401 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 418 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 301 KB Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 79 KB Videos List d Bonds.pag 06-02-2019 12:20 PAG	Eze EMS QSG		Date modified	Туре	Size		
^C OneDrive - Eze So ^C Bloomberg Integrated EMS.pag ^C Occ. 2019 12:20 ^C PAG File ^C 140 KB ^C This PC ^C ClientDefault.pag ^C Occ. 2019 12:20 ^{PAG File ^T 140 KB ^C Disktop ^C ClientDefault.pag ^C Occ. 2019 12:20 ^{PAG File ^T 24 KB ^D Dostrop ^C ClientDefault.pag ^C Occ. 2019 12:20 ^{PAG File ^T 24 KB ^D Dostrop ^C ClientDefault.pag ^C Occ. 2019 12:20 ^{PAG File ² 44 KB ^D Dostronents ^C Equities Sales Trader.pag ^C Occ. 2019 12:20 ^{PAG File ² 18 KB ^D Downloads ^C Futures OueBoard.pag ^C 0-02-2019 12:20 ^{PAG File ^{AB KB ^M Music ^C International Dual Monitor.pag ^C 0-02-2019 12:20 ^{PAG File ^{AB KB}}}}}}}}}	- Images	and ADR.pag	06-02-2019 12:20	PAG File	93 KB		
▲ OneDrive - Eze So ⇒ Buy Side Equity.pag 06-02-2019 12:20 PAG File 72 KB ■ This PC ⇒ ClientDefault.pag 06-02-2019 12:20 PAG File 244 KB ■ 3D Objects ⇒ ClientDefault.pag 06-02-2019 12:20 PAG File 401 KB ■ Desktop ⇒ Equities Sales Trader.pag 06-02-2019 12:20 PAG File 218 KB ▶ Downloads ⇒ Futures Default.pag 06-02-2019 12:20 PAG File 80 KB ▶ Music ⇒ Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 418 KB ■ Pictures ⇒ Iol.pag 06-02-2019 12:20 PAG File 60 KB ■ Videos ⇒ Iol.pag 06-02-2019 12:20 PAG File 301 KB ■ Videos ⇒ List Trading.pag 06-02-2019 12:20 PAG File 79 KB ■ Videos ⇒ List Trading.pag 06-02-2019 12:20 PAG File 79 KB ■ Videos ⇒ Listed Bonds.pag 06-02-2019 12:20 PAG File 49 KB ■ Videos ⇒ Listed Bonds.pag 06-02-2019 12:20 PAG File 49 KB ■ Local Disk (C:) ● Listed Bonds.pag 06-02-2019 12:20 PAG File 49 KB	Personal	ar AUM.pag	06-02-2019 12:20	PAG File	601 KB		
Image: Solution of the state of the sta	Condition Franker	Bloomberg Integrated EMS.pag	06-02-2019 12:20	PAG File	140 KB		
Image: State Sta	Chebline - Eze 20	A Buy Side Equity.pag	06-02-2019 12:20	PAG File	72 KB		
Image: Solar Strader, pag 06-02-2019 12:20 PAG File 218 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 80 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 80 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 80 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 418 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 60 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 60 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 301 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 79 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 79 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 79 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 49 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 49 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File 82 KB Image: Solar Strader, pag 06-02-2019 12:20 PAG File	💻 This PC	ClientDefault.pag	06-02-2019 12:20	PAG File	244 KB		
Image: Single Monitor.pag 06-02-2019 12:20 PAG File 80 KB Image: Single Monitor.pag 06-02-2019 12:20 PAG File 418 KB Image: Downloads Image: Futures OuteBoard.pag 06-02-2019 12:20 PAG File 60 KB Image: Music Image: Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 60 KB Image: Pictures Image: Pictures QuoteBoard.pag 06-02-2019 12:20 PAG File 301 KB Image: Pictures Image: Pictures QuoteBoard.pag 06-02-2019 12:20 PAG File 79 KB Image: Videos Image: Pictures QuoteBoard.pag 06-02-2019 12:20 PAG File 26 KB Image: Local Disk (Cr) Image: Local Disk (Cr) Image: Local Disk (Cr) Image: Local Disk (Cr) PAG File 49 KB Image: Network Image: Local Disk (Cr) Image: Local Disk (Cr) PAG File 82 KB Image: Network Image: Local Disk (Cr) Image: Local Disk (Cr) PAG File 82 KB	3D Objects	ClientDefault-Dockables2.pag	06-02-2019 12:20	PAG File	401 KB		
Image: Single Monitor.pag 06-02-2019 12:20 PAG File 80 KB Image: Downloads Image: Futures Default.pag 06-02-2019 12:20 PAG File 418 KB Image: Music Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 60 KB Image: Music International Dual Monitor.pag 06-02-2019 12:20 PAG File 301 KB Image: Pictures International Dual Monitor.pag 06-02-2019 12:20 PAG File 301 KB Image: Videos Image: International Dual Monitor.pag 06-02-2019 12:20 PAG File 79 KB Image: Local Disk (Cr.) Image: Local Disk (Cr.) Image: Local Disk (Cr.) Image: Local Disk (Cr.) PAG File 49 KB Image: Network Image: Local Disk (Cr.) Image: Local Disk (Cr.) PAG File 82 KB Image: Network Image: Local Disk (Cr.) PAG File 82 KB	Desktop	Equities Sales Trader.pag	06-02-2019 12:20	PAG File	218 KB		
Downloads Futures Default.pag 06-02-2019 12:20 PAG File 418 KB Music Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 60 KB Music International Dual Monitor.pag 06-02-2019 12:20 PAG File 301 KB Pictures International Dual Monitor.pag 06-02-2019 12:20 PAG File 301 KB Videos Ist Trading.pag 06-02-2019 12:20 PAG File 79 KB Local Disk (C:) Listed Bonds.pag 06-02-2019 12:20 PAG File 49 KB Listed Equity Options.pag 06-02-2019 12:20 PAG File 49 KB Network Listed Futures nan 06-02-2019 12:20 PAG File 22 KB		Equities Single Monitor.pag	06-02-2019 12:20	PAG File	80 KB		
Music Futures QuoteBoard.pag 06-02-2019 12:20 PAG File 60 KB International Dual Monitor.pag 06-02-2019 12:20 PAG File 301 KB Pictures Iol.pag 06-02-2019 12:20 PAG File 301 KB Videos List Trading.pag 06-02-2019 12:20 PAG File 79 KB Local Disk (C:) Listed Bonds.pag 06-02-2019 12:20 PAG File 49 KB Listed Equity Options.pag 06-02-2019 12:20 PAG File 82 KB Network Listed Futures nan 06-02-2019 12:20 PAG File 82 KB		Setures Default.pag	06-02-2019 12:20	PAG File	418 KB		
Pictures		ar Futures QuoteBoard.pag	06-02-2019 12:20	PAG File	60 KB		
Videos 201.pag 06-02-2019 PAG File 79 KB Videos 22 List Trading.pag 06-02-2019 PAG File 26 KB Local Disk (C:) 22 Listed Bonds.pag 06-02-2019 PAG File 49 KB Network 22 Listed Equity Options.pag 06-02-2019 PAG File 82 KB Isted Equity Options.pag 06-02-2019 PAG File 82 KB Isted Equity Options.pag 06-02-2019 PAG File 82 KB		are International Dual Monitor.pag	06-02-2019 12:20	PAG File	301 KB		
Local Disk (C:) Isted Bonds.pag 06-02-2019 12:20 PAG File 49 KB Network Listed Equity Options.pag 06-02-2019 12:20 PAG File 82 KB Isted Equity Options.pag 06-02-2019 12:20 PAG File 82 KB Isted Futures pag 06-02-2019 12:20 PAG File 82 KB	Pictures	ar 101.pag	06-02-2019 12:20	PAG File	79 KB		
Isted Equity Options.pag 06-02-2019 12:20 PAG File 82 KB Network Isted Entrines nan 06-02-2019 12:20 PAG File 82 KB	🔚 Videos	🖉 List Trading.pag	06-02-2019 12:20	PAG File	26 KB		
Network Vetwork V	🏰 Local Disk (C:)	are Listed Bonds.pag	06-02-2019 12:20	PAG File	49 KB		
■ Lieted Eutruses nan 06-02-2019 12-20 DåG File 222 KR	A Naturali	are Listed Equity Options.pag	06-02-2019 12:20	PAG File	82 KB		
File name: ClientDefault V Eze EMS Page Files V	P Network V	Plisted Futures nam	06-02-2019 12-20	P∆G File	232 KR		
	File na	ame: ClientDefault			 Eze EM: 	S Page Files	~

2. Select the page to open, and then click **Open**. Alternatively, double-click the desired page.

Setting Favorites

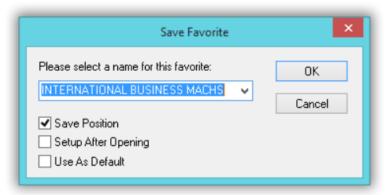
You can save your most-used windows as favorites for quick access. Additionally, if you want to set a default parameter for a single page, you can set up a favorite to quickly access the page.

Add a Favorite

To create a favorite:

1. Open your desired window and select **Add to Favorites** from the **Favorites** menu. Or, right-click the window, click **Favorites** and then select **Add to Favorites**. The **Save Favorite** window appears, as shown below.





- 2. Enter the name of the favorite in the Please select a name for this favorite field.
- 3. You can select any combination of the following options (i.e., one, two, or all three options):
 - Save Position Opens the window in the same place on any page every time you open it.
 - Setup After Opening Opens the window's set up window every time you open your favorite.
 - Use As Default Creates this window every time you use the toolbar button corresponding to the window type.
- 4. Click **OK**. The window is saved as a favorite in the **Favorites** tab.

Editing Favorites

To edit a favorite page:

1. Click on the **Favorites** menu and select **Edit Favotires**. The Edit Favorites window appears, as shown below.

Edit Favorites	×
Window Type	
Chart 🗸	Close
Favorites	
INTERNATIONAL BUSINESS MACHS FORD MTR CO DEL	Open
ORACLE CORP	E dit
	Delete
	Make Default
	Clear Default
Move Up Move Down	
Default:	<u>H</u> elp

2. Select the window from the **Window Type** drop-down list.



- 3. Click the favorite you want to change in the **Favorites** box.
- 4. Click **Edit**. The Save Favorite window appears, as shown below.

Save Favorite	×
Please select a name for this favorite: INTERNATIONAL BUSINESS MACHS ✓ Save Position Setup After Opening Use As Default	OK Cancel

- 5. Enter a name for the favorite in the **Please select a name for this favorite** field.
- 6. You can select any combination of the following options (i.e., one, two, or all three options):
 - Save Position Opens the window in the same place on any page every time you open it.
 - Setup After Opening Opens the window's set up window every time you open your favorite.
 - Use as Default Creates this window every time you use the toolbar button corresponding to the window type.
- 7. Click **OK**. The changes are saved.
- 8. Select **Close** to exit.

Organizing Favorites

To organize your favorites:

- 1. Click on the Favorites menu and select Edit Favorites.
- 2. Select a favorite from the **Favorites** box and use the **Move Up** or **Move Down** buttons to arrange the order of your favorites, as shown below.



E	dit Favorites	X
Window Type		
Chart	~	Close
Favorites		
INTERNATIONAL BUSIN	NESS MACHS	Open
FORD MTR CO DEL ORACLE CORP		Edit
		Delete
		Make Default
		Clear Default
Move Up	Move Down	
Default:		<u>H</u> elp

3. Click Close.

Deleting a Favorite

To delete favorite:

- 1. Click on the Favorites menu and select Edit Favorites.
- 2. Select the window from the **Window Type** drop-down list.
- 3. Select the favorite you want to delete in the Favorites box.
- 4. Click **Delete**. The favorite is deleted.
- 5. Select Close to exit.

Page and Favorite Loading Options

Eze EMS allows you to customize how your system opens pages with specific layouts and the files associated with them.

To customize page and favorite loading options:

- 1. Go to **Tools > Configuration...** and select the **Page** tab.
- 2. Select the Embed layout files in pages and favorites when possible checkbox to allows pages and



favorites to be more easily distributed.

Page/Favorite Loading Options	×
Some pages/favorites may contain embedded layout files. Choose from the options below to specify default behavior when the embedded file is different from the file in the install directory:	OK Cancel
Embedded File Load Options Ouse file in the install directory (classic mode) Ouse file embedded in Page/Favorite Ouse newer version Save embedded file to the install directory (will overwrite existing file) Always prompt when loading a page or favorite	<u>H</u> elp

- 3. Select **Use file in the install directory (classic mode)** to use the layout that is installed with Eze EMS.
- 4. Select Use file embedded in Page/Favorite to display the layout designated as the favorite.
- 5. Select **Use newer version** to have Eze EMS compare and display the newest layout of the two above options.
- 6. Click **Embedded File Options...** The Page/Favorite Loading Options window appears, as shown below. This window allows you to specify the default behavior of Eze EMS when the embdedded file is different from the file in the install directory.
- 7. The **Save embedded file to the install directory (will overwrite existing file)** checkbox is only available when **Use file embedded in Page/Favorite** or **Use newer version** is selected. When this checkbox is selected, Eze EMS overwrites the existing file with the selected one.

For example, when this checkbox is selected and you choose **Use file embedded in Page/Favorite**, Eze EMS will replace the layout currently on your system with the layout in the favorite.

- 8. Select the **Always prompt when loading a page or favorite** checkbox to receive a prompt to modify these setting each time a page loads.
- 9. When you have made your selections, click **OK**.

Linking Windows

You can link a MultiQuote or Market Minder window to another window, such as Chart or News. When you update a symbol in the first window, the related data is displayed in the linked window.

To link windows:

1. Right-click and select Links on the MultiQuote or Market Minder menu. The Select Window to Link window appears.



	Select Window to Link	×
Window Type:	Window Title:	
Chart Market Minder	*ORACLE CORP *Positions <teservice=ta_srvtopic=currenc< td=""><td>OK</td></teservice=ta_srvtopic=currenc<>	OK
MarketMakers News	*ORACLE CORP <neutral;neutral;eze 100 Headlines: * ORCL * * *</neutral;neutral;eze 	Cancel
TabView	TabView : ABK Live Orders <neutral;neu< td=""><td><u>H</u>elp</td></neutral;neu<>	<u>H</u> elp
L	/	

- 2. Select the window(s) you would like to link. To choose multiple windows with the mouse, hold down the **CTRL** key on the keyboard.
- 3. Click **OK**. The windows are linked.

Configuring Performance Settings

To configure performance settings:

1. Click on the **Trading** menu, select **Order Entry Properties...**, and then select the **Performance Options** tab, shown below.



	Order Entry Properties
Auto Hedger	
Broker Defaults	Trading Data Conflation Rates (in ms) (Requires Restart)
	✓ Orders ✓ Positions ✓ Balances ✓ Price Cache
Configuration Files	1000 × 1000 × 500 ×
Event Sounds	✓ Disable User Best Bid/Offer Tracking (Requires Restart)
Miscellaneous	Subscribe to Neutral Accounts Only (Requires Restart)
Order Actions Manager	
Order Alerts	—Order Filter Options (Requires Restart) ☐ Ignore Exchange Accept Events
Order Colors	Ignore Parent Order Execution Details
	Ignore Child Order Execution Details
Order Entry Default Rules	✓ Ignore Canceled Orders
Order Form Settings	- Allow Deferred Fill Processing
OMS Settings	Activate when Trading Update Rate Exceeds 100 Updates/Second
Pairs and Spreads	Maximum Fill Processing Rate: 100 Updates/Second
Performance Options	Maximum rim riocessing nate. Updates/ Second
	-Background Portfolio Valuations
Price/Trade Size Warnings	Warning: This feature can be expensive for large numbers of accounts or large portfolios. Setting the interval to less than 60 seconds is not recommended in these situations.
Spin Increments Accelerators	
Time Zone	Valuation Interval (seconds): 60 Seconds
Toolbar Manager	Free Up Resources
Virtual Routes	If the EMS is low on memory, performance may start to degrade. You can discard cached events that are no longer useful in order to increase the available memory. These events
Warnings/Confirmations	will return on the next logon or after a connection refresh.
	Canceled Orders With No Fills Discard Selected Events
	Completed Change Events
	ОК Са

2. Complete the desired settings and then click **OK**.

Setting Currency Defaults

To set currency defaults:



1. Click on the **Tools** menu, select **Configuration...**, and then select the Currency tab, shown below.

	Configuration
Application Skins	Currency settings
Backup and Sync Colors/Fonts	Currently selected home currency : USD (U.S. Dollar)
Currency	Currency symbol: \$
General	Options
Option Risk Setting	<u>Samurianana</u>
Page	
Scripting	
Toolbars	
Window Captions	
	OK Cancel Help

2. Click **Options...**. The Set Currency Options window appears, as shown below.

Set Currency Options						
Currency S	ymbols					
Root	Sy	Description	^	OK		
AED	AED	Utd. Arab Emir. Dirham		Cancel		
ARS	ARS	Argentine Peso				
AUD	Α	Australian Dollar		Help		
BDT	BDT	Bangladeshi Taka				
BGN	BGN	BGN				
BMD	BMD	Bermudian Dollar				
BRL	BRL	Brazilian Real				
CAD	С	Canadian Dollar	~			
< >						
Show all currencies Symbol: AED Set Symbol Set as home currency Currently selected home currency : USD (U.S. Dollar) Currency conversion:						
Cross rate source: Use static rates						
Use static rates if rates from the source is not available						

3. Complete the desired settings and click **OK**.

Displaying Fractional Prices

Eze EMS displays trades in decimal units with a decimal point (e.g., 463.55). However, you can change the way Eze EMS displays the price data. You can also determine whether or not prices are displayed in the least common denominator.



To change the way price data is displayed in Eze EMS:

- 1. Click on the **Tools**menu, select **Configuration...**, and then select the **General** tab.
- 2. Select the **Display Fractional Prices as LCD** box to reduce fractional prices to the least common denominator (e.g., 4/16 becomes 1/4), as shown below.

	Configuration
Application Skins	General settings
Backup and Sync	Upper Case Symbols Show 20 Recent Symbols
Colors/Fonts	Display Fractional Prices as LCD Auto Complete Symbols
Currency	Symbology Options
General	General Performance Settings
Option Risk Setting	Bundle Bar Updates (Charts/Tables)
Page	Enable Market Data Conflation (requires restart)
Scripting	Trade Conflation (requires restart) Conflation Interval (50-5000 ms): 250
Toolbars	Internet Options
Window Captions	Bypass Proxy Server (requires restart)
	 Automatically detect and input proxy credentials (requires restart)
	OK Cancel Help

3. Click OK.

Setting Currency Options

Eze EMS supports the use of numerous foreign currencies. Currencies can be specified for spreads in the Synthetic Symbol Manager. Currency conversion is supported in the MarketMinder (via Configure Column Layout), MultiQuote (via Setup), Trade Manager (via Configure Columns), and in the MarketMaker.

To modify currency settings:

- 1. Click on the **Tools** menu, select **Configuration...**, and then select the **Currency** tab.
- 2. The **Currency settings** section displays the home currency selected for Eze EMS.
- 3. Click the **Options...**button. The **Set Currency Options** window appears.
- 4. Highlight the desired currency to select. The following three columns appear in the **Currency Symbol** section:
 - **Root** Three-letter code to indicate currency and country of origin.
 - Symbol Symbol displayed with price shown in selected currency.
 - **Description** Description of currency.
- 5. Select **Show all currencies** to display all available currencies.



- 6. Enter a new symbol in the **Symbol** field to add to a currency without a symbol, or to replace the symbol for an existing currency.
- 7. Click **Set Symbol** to set the symbol for the highlighted currency.
- 8. Click **Set as home currency** to set the selected currency as the home currency (global setting across all supported modules in Eze EMS).
- 9. Select the preferred source from the **Cross rate source** drop-down list. Exchange rates are calculated in real time.
- 10. Select **Use static rates if rates from the source is not available** to revert to static rates if the preferred source is unavailable to provide data. This box is not available when **Use static rates** is selected under **Cross rate source** field.
- 11. Click **OK**.

Setting Case Sensitivity for Keyboard Entries

To enter symbols in upper case regardless of your keyboard setting and hide the page name for the title bar.

To modify case sensitivity settings:

- 1. Go to **Tools > Configuration** and then select the **General** tab.
- 2. Check the **Upper Case Symbols** box if you want all symbols to be in upper case, regardless of how you type them.
- 3. Click OK.

Configuring Hot Keys

You can assign keyboard combinations to press to quickly buy or sell stocks. You can create a function key, **Ctrl +**, or **Alt +** combination for quick buys and sells.

To configure hot keys:

1. Click on the Trading menu, select Order Entry Properties..., and then select Order Actions Manager, as shown below.



	Order Entry Properties
Auto Hedger	Actions: Order by description Order by HotKey
Broker Defaults	Order Actions New
Configuration Files	Bump order price (offset) +.01
Event Sounds	Bump order price (offset) +.05 Bump order price (offset) +.10
Miscellaneous	Bump order price (offset) +.10 Gone Bump order price (offset) +1 tick
	Bump order price (offset) +10 ticks
Order Actions Manager	Bump order price (offset) +5 ticks Bump order price (offset)01
Order Alerts	Bump order price (offset)01
Order Colors	Bump order price (offset)10
Order Entry Default Rules	Bump order price (offset) -1 tick Bump order price (offset) -10 ticks
-	Bump order price (offset) -10 ticks
Order Form Settings	Bump order price (offset) in 1 tick
OMS Settings	Bump order price (offset) in 10 ticks
Pairs and Spreads	Bump order price (offset) in 5 ticks Bump order price (offset) out 1 tick
Performance Options	Bump order price (offset) out 10 ticks
-	Action Attributes
Price/Trade Size Warnings	Hotkey Show item in window context menu
Spin Increments Accelerators	
Time Zone	
Toolbar Manager	
Virtual Routes	
Warnings/Confirmations	
	OK Cancel

2. Click **New** to create a new hot key and select whether you would like to create a new **Order** Action, List Trading Action, Staged Pair Action, or Macro.



3. In the New/Edit Action window, shown below, select the desired options and click OK.

		New/Edit Ac	tion	
Description Auto				
	Selected Symbol Selected Account	Short Create New Order Interact with Activ Popup		Side Bid Offer Both/Either
Options Route Price Type Price Referen Set Limit I Account Expiration Preference Booking Type Portfolio	Price To Avg Price All Firms	Bracket Strategy Open/Close Use Cash Accoun Short Locate ID Select Account Custodian Strategy 1 Ext. Customer	Auto	Deferred Hidden Enable opp. Side Conditional
Trade Size Pa Quantity Percent of Ti Notional Bump Quantit Round Positic Clone as Perc Use Net Posi Percent c Pair Catch Up Volume Type	cket	Image: Second system Image: Second system Image: Second system Ima	 Price Adjustment Bump Price: 01 C Disc. Offset 01 C 	Peg Limit Offset Relative Better Top Worse OK Cancel <u>H</u> elp

4. When the **New Action Filename** dialog box appears, enter a name for the new action and click **OK**, as shown below.

New Action Filename	×
Please specify a filename for this action.	OK
Remember, only valid filename characters are allowed and avoid starting the name with a period.	Cancel
CueBidatLMT	~



- 5. Select an option from the **Order Actions** list and click:
 - Edit to edit the hot key.
 - **Clone** to clone the hot key.
 - **Delete** to delete the hot key.
- 6. Select an option in **Order Actions** and press keyboard combination (e.g., **Ctrl** + **N**) while placing the cursor in the **Hotkey** field to assign a hot key to the selected order action.
- 7. Click **OK**.

Setting External Scripting Options

Almost any action that can be performed via a menu or a dialog box in Eze EMS can be made scriptable.

To set your scripting options:

1. Click on the **Tools** menu, select **Configuration...**, and then select the **Scripting** tab, as shown below.

	Configuration	×
Application Skins	Scripting settings	
Backup and Sync	Allow Scripting	
Colors/Fonts	✓ Allow Order Entry Scripting	
Currency	Allow Unattended Script Orders	
General	Require Password for Order Scripting	
Option Risk Setting		
Page		
Scripting		
Toolbars		
Window Captions		
	OK Cancel Help	

- 2. On the Scripting tab, make the following selections:
 - Allow Scripting When selected, scripting is enabled on your Eze EMS.
 - Allow Order Entry Scripting When selected, order scripting is enabled on your Eze EMS.
 - Allow Unattended Script Orders When selected, orders placed via a scripting interface do not pop up any dialogs while an order is placed. All warning are ignored if Eze EMS is able to proceed. If there is an error, the message box does not appear, but the message is logged.



- Require Password for Order Scripting When selected, a password is required to use order scripting in Eze EMS.
- 3. When you are done customizing your scripting settings, click **OK**.



Permissions

Certain features within Eze EMS are only available for specific users. To gain access to these features, your system needs to be configured with the appropriate permissions.



Note: If you have any questions regarding your Eze EMS permissions, contact your SS&C Eze client service representative.

Show Application Permissions

To view the Eze EMS application permissions currently configured on your system, click on the **Help** menu and select **Show Applications Perms**, as shown below.

Help	RT Connect	
	Help	F1
	Jump to our Home Page	
	Client Portal	
\$	Output Memory Info	
	Show Application Perms	
	Show Trading Perms	
	Remote Support Session	
	Dump Data	1
	Column Search	
	Clear Cached Data	
	Diagnostics	
	Export Files for Support	
	Refresh Trading Permissions and Data	
	Refresh OMS Data	
F	About Eze EMS	

A web browser window opens within Eze EMS displaying all your current application permissions, as shown below.



PERMISSION SET Request Status: Type Status Time Stamp InitPerms succeeded 5/11/2021 6:41:32.855 PM Permission issued At Permission expiresAt Time Connect 5/11/2021 6:41:32.855 PM 5/12/2021 12:52:32.855 AM 5/11/2021 6:41:32.855 PM Succeeded Permission issued At Permission expiresAt Time Connect 5/11/2021 6:41:32.855 PM 5/12/2021 12:52:32.855 AM 5/11/2021 6:41:32.855 PM Succeeded Attract Permission expiresAt Time Connect 5/11/2021 6:41:32.855 PM 5/12/2021 12:52:32.855 AM 5/11/2021 6:41:32.855 PM Succeeded Attract Permission expiresAt Time Connect Succeeded Attract Permission expiresAt Time Connect Succeeded Succeeded Succeeded Succeeded Succeeded Attract Permission Attract Permission
--

Show Trading Permissions

To view the trading permissions currently configure on your system, click on the **Help** menu and select **Show Trading Perms**, as shown below.

Help	RT Connect	
	Help F	1
H	Jump to our Home Page	
I	Client Portal	
	Output Memory Info	
	Show Application Perms	
	Show Trading Perms	
	Remote Support Session	
	Dump Data	ĺ
	Column Search	
	Clear Cached Data	
	Diagnostics	
	Export Files for Support	
	Refresh Trading Permissions and Data	
	Refresh OMS Data	
F	About Eze EMS	



A web browser window opens within Eze EMS displaying all your current trading permissions, as shown below.

- - - -	
(<>) (⇒) (⇒) D:\EzePersonal\Guest17\DATA\user_perms.x P - C (⊘) (⇒) D:\EzePersonal\ × (∩ ☆ 5)	ž
xml version="1.0" encoding="UTF-8"?	
<pre><rant 012="" <="" encoding="011" pre="" version="1.0"></rant></pre>	
- <v <="" domain="SBDEMO" firm="SANTANDER" name="KBRUSH" servertype="Any" td=""><td></td></v>	
Primary="N" Server="ALL">	
- <	
- 	
- <c customer="EZESOFT"></c>	
 - <d <br="" addposscalp="0" houseaccount="N" name="NEUTRAL">Currency="USD" AccountID="378474" Account="TECHCOM"></d> 	
- bmrs BrokerMarginRules="">	
- <hmrs housemarginrules=""></hmrs>	
- <ms marginsource=""></ms>	
- <dv forexrule="" optioncode="" suitabilityrule=""></dv>	
<pre></pre>	
<pre></pre>	
PermType="Routing"/>	
<pre><pre>cp PermDesc="PERUUI" PermType="Routing"/></pre></pre>	
<pre><pre>cp PermDesc="STAGE" PermType="Routing"/></pre></pre>	
PermType="Trading"/>	
<pre></pre>	
PermType="Trading"/>	
<pre><p <="" permdesc="AllowCashTrades" td=""><td></td></p></pre>	
<pre>complete complete complet</pre>	~
(



Printing

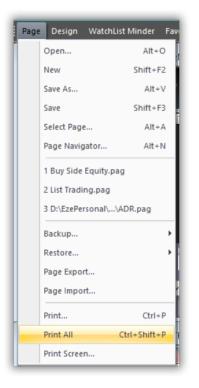
Eze EMS allows you to print a page, a window on a page, or a screenshot of the entire computer screen, including all of Eze EMS and other open applications.

In addition, many windows have their own printing logic that allows you to print data that is not currently visible on the screen.

Print All Open Eze EMS Windows

You can print all open Eze EMS windows in one of the following ways:

• Click on the Page menu and select Print All, as shown below.



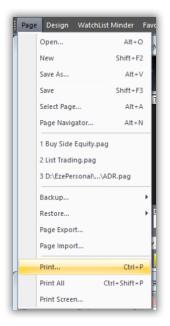
• Press **Ctrl** + **Shift** + **P** on the keyboard.

Print a Specific Eze EMS Window

You can print a specific Eze EMS window in one of the following ways:



• Click on the window you would like to print > click on the **Page** menu > **Print...**, as shown below.



• Click on the window you would like to print and press **Ctrl** + **P** on the keyboard.

Use the Eze EMS Print Feature

The Eze EMS Print Feature allows you to specify what you would like to print and how you would like it to be scaled.

To use the print feature:

1. Open the Print Screen Configuration window by clicking on the **Page** menu and selecting **Print Screen...**.

Print S	creen Configuration	×
Window to Print Windows Desktop Application Only	Printer Scaling Best Fit Snap to Printer	OK Cancel
Application Only (no car Active Window	Output to File File C:\screen.bmp	Printer

- 2. In the Window to Print pane, choose from the following screen regions:
 - Windows Desktop Prints your entire computer screen.
 - Application Only Prints the entire Eze EMS window, including menus, toolbars, and the status bar.
 - Application Only (no cap) Prints only the windows on the current page, without menus,



toolbars, or status bars.

- Active Window Prints the active window only.
- 3. In the **Printer Scaling** pane, choose from the following options:
 - Best Fit Maintains the proportions of the window that you are printing.
 - Snap to Printer Fills the entire page area, changing the proportions of the window and its contents.
- 4. To select a printer, click **Printer...**.
- 5. If you want to save the screenshot as a bitmap file, check the **Output to File** checkbox and enter a file name in **the** File field. Click **File...** to select a location to save the screenshot.
- 6. Click **OK** to send the screenshot to the printer or save the file on your computer.



Monitoring Market Performance

Eze EMS offers a variety of ways to monitor market performance before and throughout the trading day. This section describes the components and features that are available to you and how you can integrate them into your system.

Watch List

The Watch List window allows you to monitor a symbol's pricing and data. You can integrate market data into your Eze EMS by:

- Subscribing through Eze EMS
- Retrieving data through the Bloomberg API

===		Watch List 1						×
Flag	Symbol	Description	Last		Change	% Chg	Volume	
	ORCL	ORACLE CORP	56.28	¥	92	-1.61	3,882,494	
	IBM	INTERNATIONAL BUSINESS M.	114.23	4	-2.98	-2.54	3,759,038	
	С	CITIGROUP INC COM NEW			91	-1.86	19,068,115	
	В	BARNES GROUP INC			-1.76	-3.91	129,949	
	INTC	INTEL CORP	n/p		n/p		n/p	
	D	DOMINION ENERGY INC	83.91	4	-1.77	-2.07	1,774,781	
	Т	AT&T INC	28.31		42	-1.46	18,388,997	
-	F	FORD MTR CO DEL	8.18		15	-1.80	45,249,442	

Creating a Watch List

To create a watch list:

1. Click Market Minder on the Design menu. The Minder Setup window appears.



2. Select WatchList from the Minder Type drop-down list, as shown below.

	Minde	r Setup	×
Minder Type WatchList	symbols that	et data for a list of you specify.	OK Cancel <u>H</u> elp
Selected Symbols	Add Delete Clear Move Up Move Dn	Symbol Chain Symbol Chain Symbol Chain Sessio Root: Symbol File default.slf Select Remember Symbol I Symbol Guide Search For Symbols. Append Symbols to Sele Uppercase Symbols No Duplicate Symbols	File

3. In the **Symbols** tab, enter the symbol you want to watch in the **Selected Symbols** field and click **Add**.



Note: You can only add one symbol at a time.

4. Select the **Miscellaneous** tab and enter a name for your new watch list in the **Window Title** field, and then click **OK**, as shown below.



inder <u>T</u> ype VatchList	 Monitor market data for a list symbols that you specify. 	of OK Cancel
mbols Orders	Miscellaneous	Help
Window Title:		
Price Server:	Default (@recombiner)	Select Server
Account:		Select <u>A</u> ccount
Rgnl Exchange:	All	Select Exchange
Default	USD	Select Currency
Double Click Actio	n: None	~
Allow Conservatio	on Mode 🗹 Conservation	-
Other Options	d Lower Bound Notification to Alert Wind	DW

5. If the Select Account window appears, select the account you would like to use and click **OK**.

Tips

Changing Display Options

To change the display of the watch list:

1. Right-click your Watch List window and select **Display Options...** or click the **WatchList Minder** menu and select **Display Options...** The Display Options window appears, as shown below.



			Display Options		×
Font Tahoma		✓ Re	egular v 10 v	Extended Colors Auto Select	ОК
		-		Grid Lines	Cancel
Text Color		Ba	ckground Color	Borders	Help
Show Grid			Highlight Updated Cells Type: Solid V	Selected Rows	
Use Alter	nating Row Co	olor 🗌	Allow Dynamic Highlighting	Updated Cells	
Sample					
Header	Text	Numbers	Editable Columns	Bar Colors	
Normal	AaBbCc	012345	Custom	Other Background Colors	
Selected	AaBbCc	012345	Custom	Comment Cells	
Updated	AaBbCc	012345	Custom		
;Commer				Editable Columns	
Save Win	dows Theme		V	Apply Theme To All Wind	lows

2. Customize the settings as desired and click **OK**.

Configuring Columns

To configure columns:

- 1. You can open the Column Configuration window by using any of the following options:
 - Right-click your Watch List window and select Column Layout Choices > Configure Column Layout....
 - Select WatchList Minder > Column Layout Choices > Configure Column Layout... from the top ribbon.
 - Press F5.
- 2. Select or deselect the checkboxes to add or remove columns from your Watch List window, as shown below.



	Co	olumn Confi	guration	×
Field	Label	Width	Align	<u>E</u> dit
 Country Flag 	Flag	3	Left	Delete
 Symbol 	Symbol	9	Left	
 Description 	Description	19	Left	Move to Top
Last Price	Last	6	Right	nove to rop
Dir. Last		2	Center	Move <u>U</u> p
✓ Net Chg.	Change	6	Right	Move Down
✓ Net Chg. %	% Chg	5	Right	Move Down
 Tot. Vol. 	Volume	8	Right	Move to Bottom
References La Column Group Opt Fit Symbols Ve Fixed Number Other Layout Opt Show Column Show Column	tions ertically in Window of Groups: 1 tions Headers Nur	nber of Fixed	nge Symbols in Gr eft to Right Columns: 1 Updates (all Mind	Top to Bottom

3. To add an additional column, click **Add Field...**. The Select Fields window appears, as shown below.

Search	~	1694 Found	
	•	205110010	
Field	Table	Description	^
#Highs	livequote	Number of intraday highs	
#Lows	livequote	Number of intraday lows	
\$-Weighted call volume	livequote	Dollar-Weighted call volume	
\$-Weighted put volume	livequote	Dollar-Weighted put volume	
% Cash & sec's to curr't assets	fundamentals	% cash and securities to current assets	
% Debt of depreciated plant	fundamentals	% Debt of depreciated plant	
% Inventories to current assets	fundamentals	% Inventories to current assets	
% Maint of gross op'g revenues	fundamentals	% maintenance of gross operating venues	
% Net curr't assets to net worth	fundamentals	% Net current assets to net worth	
% Sales to net property	fundamentals	% sales to net property	
% Sales to total assets	fundamentals	% sales to total assets	
% Stockholders' equity	fundamentals	% Stockholders' equity	
% of Display Size	orders	% of Display Size	
% of revenue avail for common	fundamentals	% of revenue available for common	
%CommStk&Surpl(com stkhld's e	fundamentals	% Comm. Stock & Surplus (combined stockholders' e	
%Diff Vol20	security	%Diff Vol20	
%NetOp'g income of net util plnt	fundamentals	% Net operating income of net utility plant	
10th Sym	livequote	10th symbol in chain	
11th Sym	livequote	11th symbol in chain	
12th Sym	livequote	12th symbol in chain	
13th Sym	livequote	13th symbol in chain	
14th Sym	livequote	14th symbol in chain	~



- 4. Select the fields you would like to add and click **OK**.
- 5. Change the order of your columns by selecting the field you would like to move, and use the **Move to Top**, **Move Up**, **Move Down**, and **Move to Bottom** buttons to change its position, as shown below.

Column Configuration ×							
Field	Label	Width	Align	^	<u>E</u> dit		
Symbol Symbol		9	Left		Delete		
 Description 	Description	19	Left		Delete		
Last Price	Last	6	Right		Move to Top		
Dir. Last		2	Center		Hove to rop		
 Net Chg. 	Change	6	Right		Move <u>U</u> p		
✓ Net Chg. %	% Chg	5	Right		Maria Davia		
 Tot. Vol. 	Volume	8	Right		Move Down		
 Child Qty 	Child Qty	8	Right	~	Move to Bottom		
 Embedded Layout References Layout File Column Group Options Fit Symbols Vertically in Window Fixed Number of Groups: 1 Left to Right Top to Bottom Other Layout Options Show Column Headers Number of Fixed Columns: 1 							
Show Column Footers ☑ Delay Footer Updates (all Minder windows) OK Cancel Help							

6. Click OK.

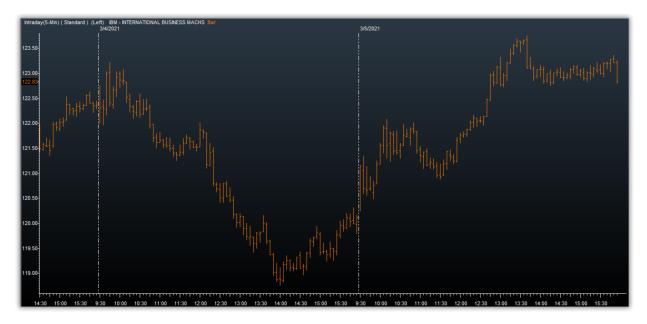


Charts

The Charts component allows you to create graphs in your Eze EMS to easily view price, volume, and percent change information for symbols. Charts help you track upward and downward trends in the market in a visual format, allowing you to easily compare a stock's historical value over time.

Depending on the data criteria, your chart will present data in either historical and/or real time. The data criteria used to create charts includes time intervals (i.e., Intraday, Daily, Weekly, Monthly, Seasonal, and Time and Sales) and price criteria (i.e., Bids Only, Asks Only, and Bid & Asks).

In all charts, the time is displayed on the horizontal axis (x-axis) and the price is displayed on the vertical axis (y-axis), as shown below.



The Chart window provides real-time tracking for:

- Trades
- Intraday Bars
- Daily/Weekly/Monthly Bars
- Tick Bars/Volume Bars

Creating a Chart

To create a chart:

- 1. Click **Chart** on the **Design** menu. The Chart Setup window appears.
- 2. Enter one or more symbols into the **Symbols** field and click **Add**, as shown below.



	Chart Setup	×
Symbols	Add Data Period: IntraDay ▼ Delete Bar Interval: 0 ♥ (Minutes) Clear Start Bars at Open Exclude Bars with No Volume Include Irregular Trades Include Pre/Post Market Data -Date Selection -Date Selection Move Up ● Date: 1/19/2021 Move Dn ○ Start: 1/13/2021 —Time Selection End: 1/19/2021	OK Cancel Symbol Guide Help
Uppercase Only Appearance Chart <u>T</u> itle: Bar Graph CandleStick	Start Minutes Back: 0 Exclude Data Before: 07:00 AM Exclude Data After: 04:00 PM Show Exchange Show Volume Show Exchange Volume By Price	

- 3. Make the other necessary selections in the **Chart Selection**, **Date Selection**, and **Appearance** panes.
- 4. Click **OK** to create the chart.



Tables

The Table window allows you to display data numerically, in rows and columns, instead of in a graph, like with Charts. You can use the Table window to display data for a specific time period, such as intraday, daily, weekly, or monthly. In addition, volume, open interest, and exchange information can also be displayed, along with technical studies.

For example, shown below is a Table window configured to display intraday data.

		00401		*ORACLE CORP	
Date	ll ⁻ Time	-ORACLI Price	CORP	Cond	
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14				
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.88			
5/28/2021	15:14	78.89			
5/28/2021	15:14	78.89			
5/28/2021	15:14	78.89			
5/28/2021	15:14				
5/28/2021	15:14				
5/28/2021	15:14				
5/28/2021	15:14	78.89			

Creating a Table

To create a table:

1. Click **Table** on the **Design** menu. The Table Setup window appears.



2. Type the symbol in the **Symbols** field and click the **Add**, as shown below.

	Table Setup	×
Symbols		OK Cancel Symbol Guide Help
	Date Selection Move Dn Start: 5/28/2021 ✓ #Days: 1 → Time Selection Start Minutes Back: 0 →	
✓ Uppercase Only Appearance Chart <u>T</u> itle: *	Exclude Data Before: 07:00 AM	
Ba <u>r</u> Graph	Show Exchange Show Volume Exch Contributor Volume By Price	



Note: Only one symbol data is displayed at a time.

- 3. Make the other necessary selections in the **Chart Selection**, **Date Selection**, and **Appearance** panes.
- 4. Click **OK** to create the table.



News Window

The News window allows you to follow market movements as well as a wide variety of press releases and announcements that may affect prices by including news headlines and stories in your Eze EMS.

50 Headlines: * * * * *	- • ×
Keyword Search Advanced Search	
Date/Time 🔻 🔻 S 🔻 Page 🔻 Headline	^
12/17/2021 10:24 AM PAA 000001 1 168: RICE: Uruguayan 5% WR: FOB Montevideo, FCL, Indicative Offer, \$490/mt, 12/17/2021 10:24 AM 12/17/2021 10:24 AM PAA 000001 1 169: RICE: Argentine 5% WR: FOB Buenos Aires, FCL, Indicative Offer, \$470/mt, Ri 12/17/2021 10:24 AM 12/17/2021 10:24 AM PAA 000001 1 170: RICE: Brazilian 5% WR: FOB Montevideo, FCL, Indicative Offer, \$470/mt, Ri 12/17/2021 10:23 AM 12/17/2021 10:23 AM C 351b2689 Worldwide Smart Drugs & Pills Industry to 2026 - Rapid Development in the 12/17/2021 10:23 AM 12/17/2021 10:22 AM C 351p4594 Freya Pharma Solutions to acquire all IP from Emotional Brain, giving 12/17/2021 10:22 AM	Received Dec 16
12/17/2021 10:22 AM PCA 000005 5 370: US benzene: Jan bid 324 cents/gal DDP USG 12/17/2021 10:22 AM PCA 000005 5 371: US benzene: Jan offer 327 cents/gal DDP USG 12/17/2021 10:22 AM PCA 000005 5 372: US benzene: Feb bid 322 cents/gal DDP USG 12/17/2021 10:22 AM PCA 000005 5 373: US benzene: Feb offer 326 cents/gal DDP USG	× >
Worldwide Smart Drugs & Pills Industry to 2026 - Rapid Development in the Smart Drugs and Pills Development Process Presents Opportunities - ResearchAndMarkets.com DUBLIN, December 17, 2021 (BUSINESS WIRE) The "Smart Drugs & Pills Market Research Report by Target Area, End-user, Application, and Region - Global Forecast to 2026 - Cumulative Impact of COVID-19" report has been added to ResearchAndMarkets.com's offering. The Global Smart Drugs & Pills Market size was estimated at USD 3,552.34 million	
in 2020, is expected to reach USD 4,262.38 million in 2021, and projected to	> .::

The News window has the following components:

- **Toolbar** Filters stories by searching for keywords, categories, symbols, sources, and pages.
- Headline Panel The upper box. Displays incoming headlines in real time.
- **Story Panel** The lower box. When a headline is highlighted in the Headline Panel, the corresponding story appears in the Story Panel.

Opening and Configuring the News Window

To create a news window:

1. Click **News** on the **Design** menu. The Quick Search Criteria window appears along with your News window, as shown below.



Keyword					Search Adva	anced Searc	h 🕨	
Date/Time	•	▼ S	🔻 Page	▼ Headline				
12/17/2021	10:30 AM	PMA	000700	700 322: Platts Steel, HRC/UK:				livered W. Midlands
12/17/2021	10:30 AM	C	351b2693	American Water Charitable Found			ado Disaster	
12/17/2021	. 10:30 AM	С	351b2694	Karla Radtke Named Coke Florida				
12/17/2021	10:30 AM	C	351b2695	Tellus Equipment Solutions Expan	ds Operations to Au	istin, Texas		
12/17/2021	10:30 AM	C	351b2696	General Mills Names Doug Martin		Ouick	Search Criteria	×
12/17/2021	10:30 AM		351p4602	VCSEL Market Size to grow by U Worldwide Pharmaceutical Memb		QUICK	Search Chitena	
12/17/2021	10:30 AM	Ċ	351p4604	InventHelp Inventor Develops D				
12/17/2021	10:30 AM	C	351p4608	Talon Outdoor and Starwell (ST	Filter:		Categories	OK
<	20100 7111		00101000				-	
700 222.0	latta Chaol	UDCAIK	Tradable ve	lue heard Dec 17 at GBP830-840/	No. Days Back:	23	Filter Type	Canad
17Dec21/ 1				ue neard Dec 17 at GBP650-640/		50	Keyword	Cancel
				alue heard Dec 17 at GBP830-84	Max Headlines:	50		
1000 000	1110105-010	cij i i cojo			Auto Request	Stories	Category	Advanced
	Pla	tts Metals	Alert			Stones	Symbol	
					Source		() bymbor	Help
						~	Page	nep
					Select All D	eselect All		

2. Configure the settings and click **OK**.

Note: You can view the Quick Search Criteria window by:

- Clicking the Advanced Search... button at the top of your News window.
- Choosing Search Criteria... from the News window right-click menu.
- Pressing **F4**.

To configure the news window:

- 1. Open the Configure window by:
 - Right-click your News window and select Configure....
 - On the top ribbon, click the News menu and select Configure....
 - Press F6.



2. In the Configure window, as shown below, customize your settings and click **OK**.

Configure								
Headline Display <u>Categories</u> ✓ <u>D</u> ate <u>Page</u> ✓ <u>S</u> ource Story <u>N</u> umber Symbols ✓ <u>T</u> ime Seconds	Other Options ✓ Use Search Dialog ✓ Upper case only Display Category in Story ✓ PgUp/Dn by PageName ✓ Use Goto Box ✓ Split Window by Default ✓ Open Links in RealTick							
Alt Row Colors	✓ Use Quick Search Criteria Dialog Wrap Text							
✓ Show Gridlines	Keep Original Format Default Search Filter Default ✓							
Story Requests								
Number of Days to Searc	h: 5 🗭							
Update Color Timeout: 2								
Apply Settings when Loa	ding Page or Favorites							
	<u>D</u> K <u>C</u> ancel <u>H</u> elp							



Web Browser

The Web Browser window allows you to view websites on the internet within your Eze EMS. You can use the Web Browser to view stock tips, news stories, and more, without leaving the Eze EMS.



Opening the Web Browser

To open the web browser:

- 1. Click **Web Browser** on the **Design** menu. The Browser Setup window appears.
- 2. Type the web address you want to open in the **Current URL** field, as shown below.

Browser Setup
Current Browser Current Urlt
Title: Refresh / Drop Url:
All Browsers Home Page: http://www.realtick.com/
OK Cancel MORE >>

3. Click **OK**. Your Web Browser window loads your selected URL.



Corporate Actions

The Corporate Actions window allows you to track stock activity, such as dividends, stock splits, and initial public offerings. The Corporate Actions window displays the symbol, the date of the action, and the description of the action.

Creating a Corporate Action

To create a corporate action:

1. Click **Corporate Actions** on the **Design** menu. The Corporate Actions Setup window appears, as shown below.

Corporate Actions Setup ×						
Symbol:	Type of Action:	<all> 🗸 👻</all>	Search			
✓ Uppercase		<u>H</u> elp	Close			
Select Dates						
Today	O From 11/12	2/2020 to 11/	12/2020			
 All available dates 						
Ready.		Serve	er: (default)			

- 2. Type a symbol in the **Symbol** field.
- 3. Select an action from Type of Action drop-down list.
- 4. In the **Select Dates** pane, select the appropriate date criteria.
- 5. If you select **From** and **to**, type the time period you would like the system to search in the **From** and **to** fields. Ensure the date format is MM/DD/YYYY.
- 6. Click Search.



Alarms and Alerts

Eze EMS offers the Alarms and Alerts components to help you stay on top of market activity throughout the trading day.

Alarms

Eze EMS' configurable Alarms allows you to be notified when a specific security's last price, net change, bid, offer, high, low, volume, new high, or new low falls below, falls to, or rises above a value you specify.

Creating an Alarm

To create an alarm:

- 1. Click **RealTick Alarms** on the **Design** menu. The Alarm Setup window appears.
- 2. In the **Symbol Selection** tab, select one of the following:

Alarm Setup	×
Symbol Selection Filter Parameters General Settings Sour	nds
Symbol Criteria Exchange(s) Type ✓ Stock	~
O Symbol <u>E</u> ile	
O Server Scan Type Lock Cross	v
OK Can	tel Help

- Click Symbol Criteria to select symbols to be monitored.
- Click Symbol File to load a file.
- Click Server Scan to select a symbol from a server.
- 3. Enter additional information in the Filter Parameters, General Settings, and Sounds tabs.
- 4. Click OK.

Alerts

Order Alerts in Eze EMS allow you to configure custom alerts for orders based on market and order parameters. Eze EMS offers three types of Order Alerts:



- Standard Order Alerts
- Staged Order Alerts
- Advanced Order Alerts

Standard and Staged Order Alerts are defined per Account/Customer rule and are triggered by order events. Advanced Order Alerts are defined per user and check orders on a timer to see if certain conditions are met.

Creating and Managing Order Alerts

Order Alerts are configured in the **Order Alerts** tab of the Order Entry Properties (OEP) window (**Trading** > **Order Entry Properties** > **Order Alerts**).

To create an order alert:

1. In the **Order Alerts** tab of the Order Entry Properties window, click **New**. The Add New Rule window appears, as shown below.

Add I	New Rule
Filter By Acct Type: All 🗸	
Select Account	Select Customer
NEUTRAL TRADE	
Select All	Select All
	OK Cancel

- 2. In the **Select Account** pane, select a specific account or click the **Select ALL** checkbox to select all accounts.
- 3. In the Select Customer pane, select a specific customer or click the Select All checkbox.
- 4. Click **OK**. Your new rule is automatically enabled and appears in the **Account/Customer Rules** pane.



Note: You can enable and disable rules by selecting or deselecting the checkbox next to the Account Name. The disabled rules retain their settings but are not active for triggering alerts.

- 5. Select a rule in the Account/Customer Rules pane and configure the desired setting for the rule in the Alerts for Selected Rule pane.
- 6. Click **OK**.



-

Note: If you do not click OK on the Order Alerts tab, your rule will not be saved.

To clone a rule:

1. In the **Order Alerts** tab of the Order Entry Properties window, click **Clone**. The Clone order alert settings from Account... window appears, as shown below.

Clone order alert settings	from Account All/Customer All
Filter By Acct Type: All 🗸	
Select Account	Select Customer
NEUTRAL	
TRADE	
Select All	Select All
	OK Cancel

- 2. In the **Select Account** pane, select a specific account or click the **Select All** checkbox to select all accounts.
- 3. In the **Select Customer** pane, select a specific customer or click the **Select All** checkbox.
- 4. Click **OK**. Your cloned rule is automatically enabled and appears in the **Account/Customer Rules** pane. The cloned rule has the same Order Alert settings enabled as the rule used to create it.
- 5. Click OK.



Note: If you do not click OK on the Order Alerts tab, your cloned rule will not be saved.

To apply a rule's order alert settings to multiple preexisting rules:

- 1. Hold down the **Ctrl** key and select the rule for which you would like the settings to be applied.
- 2. Continue holding down the **Ctrl** key and select the rule(s) whose setting you want to copy from the previously highlighted rule.
- 3. Click Apply.

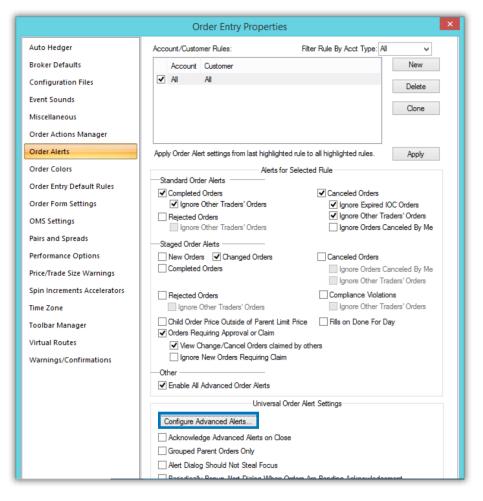
Creating and Managing Advanced Order Alerts

Advanced Order Alerts can be configured for each account, providing you with greater control of the alerts you receive throughout the trading day.

To configure your advanced order alerts:



1. In the **Order Alerts** tab of the Order Entry Properties window, click **Configure Advanced Alerts...**, as shown below.



2. In the Advanced Order Alerts window, shown below, choose the type of alert from the **Alerts** drop-down list.



]			Advanced	Order Al	erts				
	Action		Sound File			iption		~	Add Delete
Apply To	~		Clerk Group(s)	Account	(s)				
Alert Name	Op.	Value Des	cription		Action	Sound	Apply	Claimed By Clerk	
<									OK

3. Click the three dots next to the **Account(s)** field. The Account Selection window appears, as shown below.

	A	ccount Selection	×
Available Accounts: NEUTRAL;HEUTRAL;EZESOFT;TECHCOM TAL;TEST;EZESOFT;TECHCOM	NEUTRAL TRADE	Selected Accounts:	
Available Account Filters Bank: Branch:	Customer:	Deposit:	
* v *	v * v	* v Filter	OK Cancel

Use the **Available Account Filters** pane to filter the available accounts and find the account(s) you are looking for. You can add accounts from the **Available Accounts** field to the **Selected Accounts** field using

the arrow button (), and then click **OK**.

4. Customize the settings as necessary and click **OK**.

In addition, you can enable or disable all Advanced Order Alerts per Account/Customer rule from the **Order Alerts** tab.

To enable or disable all advanced order alerts:

1. In the Account/Customer Rules pane of the Order Alerts tab, select the rule you would like to modify.



2. In the Other pane, select or deselect the Enable All Advanced Order Alerts checkbox, as shown below.

	Order Entry Properties
Auto Hedger	Account/Customer Rules: Filter Rule By Acct Type: All
Broker Defaults	Account Customer New
Configuration Files	✓ All All Delete
Event Sounds	
Miscellaneous	Clone
Order Actions Manager	
Order Alerts	Apply Order Alert settings from last highlighted rule to all highlighted rules. Apply
Order Colors	Alerts for Selected Rule
Order Entry Default Rules	Standard Order Alerts
Order Form Settings	Completed Orders ✓ Canceled Orders ✓ Ignore Other Traders' Orders ✓ Ignore Expired IOC Orders
OMS Settings	Rejected Orders ✓ Ignore Other Traders' Orders Ignore Other Traders' Orders Ignore Orders Canceled By Me
Pairs and Spreads	Staged Order Alerts Staged Order Alerts
Performance Options	New Orders Changed Orders
Price/Trade Size Warnings	Completed Orders Ignore Orders Canceled By Me
Spin Increments Accelerators	Rejected Orders Compliance Violations
Time Zone	Ignore Other Traders' Orders Ignore Other Traders' Orders
Toolbar Manager	Child Order Price Outside of Parent Limit Price Fills on Done For Day Orders Requiring Approval or Claim
Virtual Routes	View Change/Cancel Orders claimed by others
Warnings/Confirmations	Ignore New Orders Requiring Claim
	Other
	Enable All Advanced Order Alerts
	Universal Order Alert Settings
	Configure Advanced Alerts
	Acknowledge Advanced Alerts on Close
	Grouped Parent Orders Only
	Alert Dialog Should Not Steal Focus



Note: The desired Account/Customer rule must be enabled for the order alert settings to be triggered.

3. Click Apply.



Ticker

Tickers display real-time price and volume information directly in Eze EMS. You can configure the window to work off explicit lists of symbols or a symbol pattern (e.g., NYSE Stocks).

Eze EMS offers three different types of Tickers: Jet Tickers, Cascade Tickers, and Grid Tickers.

In a Jet Ticker, the quotes scroll horizontally, from right to left, with the newest quotes appearing on the right, as shown below.

				Ticke	r: Default.slf						
17	C 15	C [ARC] 5	C [BAT] 100	C [MMX] 5	C [EDG] 12	C 100	C 100	L [MMX] 100	L 100	L [ADF] 100	F [Al
.90	69.90	69.90	69.90	69.90	69.90	69.90	69.90	53.92	53.92	53.92	12.7

In a Cascade Ticker, the quotes scroll vertically, as shown below. You can choose whether the newest quote appears at the top or bottom of the list.

IBM [ASE] 2 137.67 IBM 2 137.67 IBM [M] 00 137.67 IBM [M] 50 137.67 IBM [M] 38 137.67 T [IEX] 100 27.29 T [IEX] 100 27.29 IBM [ADF] 100 137.67 IBM [M] 50 137.67 IBM [M] 50 137.67 IBM [M] 51 137.67 CROF [2 23.68 T [ADF] 100 27.29 F [AAC] 200 12.75 F [AAC] 100 12.75 F [EAC] 100 12.75 F [EAC] 100 12.75 F [EDX] 100 12.75	Ticker: Default.slf	
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Symbol	Quantity	Price	Exchange	Time	BuyID	SellerID	Bid ^
D	17	77.53	BAT		0	0	
ORCL	53	89.64	EDG				
ORCL		89.64	EDG				
ORCL		89.64	BTY				
ORCL		89.64	EDG				
ORCL	27	89.64	EDG				
ORCL		89.64	EDG				
			EDG				
		27.30	BAT				
ORCL	200	89.65	ADF	11:45:54			
			ADF				
		69.90	EDX				
		69.90	EDX				
		69.90	EDX				

Creating a Ticker

To create a ticker:

1. Click **Ticker** on the **Design** menu. The Setup Ticker window appears, as shown below.

O Symbol List: Add		Setup T	icker ×
Type: <all> Symbol List: Add Delete Delete Delete All Show Best Bid/Ask Stop Time 04:00:PM Delete All Exclude Size Changes</all>	O Jet ● <u>Cascade</u> O Grid Data Source	Symbol Quantity Price Exchange	✓ Color Code Symbols Cancel ○ Newest On Top Help ○ Show Volume in 100's Trades and Quotes to Show ✓ Show Trades Show Trades
O Symbol File: Symbol File		Add Delete Delete All Vpper Case Symbols	Show Best Bid/Ask Start Time 07:00:AM



	Setup	Ticker
Display Options Jet Gascade Grid Data Source Symbol Criteria:	Field Order:	✓ Comma 1,000s QK ✓ Color Code Symbols Cancel Newest On Top Help Show Volume in 100's Trades and Quotes to Show
Symbol List.	Pattern: * Exchange(s): IND Type: Add Add Delete Delete All Upper Case Symbol:	Show Trades Show Irregular Trades Min. Trade Vol: Show Best Bid/Ask Start Time O7:00:AM Show Level 2 Quotes Stop Time O4:00:PM Exclude Size Changes
O Symbol <u>F</u> ile:	Symbol File	
Order/ID Matching Show My Orders Show My Orders Hide My Orders Show Buyer and	<= 1 lots Text Back	sground

- 2. Customize your display in the **Display Options** pane.
- 3. In the **Data Source** pane, select the data source you would like your ticker to pull data based on **Symbol Criteria**, a **Symbol List**, or a **Symbol File**.
- 4. In the Trades and Quotes to Show pane, select the types of trades and quotes you want to view.
- 5. Click **OK**.



Time and Sales

The Time & Sales window displays all transactions for a symbol during a particular trading day, as shown below.

Date	 Time	ALPHAB Price	ET INC CAP Volume		_C Type	Bid	BSize	BEx	Ask	ASize	AEx
0/14/2020	15:17				Ack	1,568.32	200	NAS	1,569.31	100	NAS
0/14/2020	15:17					1,568.32	200	NAS	1.569.30	100	ARC
0/14/2020	15:17					1,568.32	200		1,569.32	100	NAS
0/14/2020	15:17					1,568.32	200		1,569.30	100	ARC
0/14/2020	15:17					1,568.32	200		1,503.30	100	ARC
0/14/2020	15:17					1,568.32	200		1,569.61	100	NAS
0/14/2020	15:17	1,568.82		BAT	Irg Trade	1,300.32	200		1,303.01	100	
0/14/2020	15:17				BestBid	1 568 33	100	PHS	1,569.61	100	NAS
0/14/2020	15:17				BestAsk		100	PHS	1.568.83	100	IEX
0/14/2020	15:17				Best Bid		200		1,568.83	100	IEX
0/14/2020	15:17				BestAsk		200		1,568.83	100	IEX
0/14/2020	15:17					1,568.32	200		1.569.30	100	NAS
0/14/2020	15:17					1,567.39	100		1,569.30	100	NAS
0/14/2020	15:17					1,568.32	200		1,569.30	100	NAS
0/14/2020	15:17					1.568.32	200		1.569.28	100	NAS
0/14/2020	15:17					1,568.32	200	NAS	1,569.28	100	NAS
0/14/2020	15:17					1,568.32	200		1,569.29	100	ARC
0/14/2020	15:17					1,568.32	200		1,572.72	100	ARC
0/14/2020	15:17					1,568.32	200		1,569.07	100	NAS
0/14/2020	15:17					1,568.32	200	NAS	1,569.78	100	BAT
0/14/2020	15:17					1,568.32	200		1,568,84	100	ARC
0/14/2020	15:17					1,567.24	100		1.568.84	100	ARC
0/14/2020	15:17					1,567.43	100		1,568.84	100	ARC
0/14/2020	15:17					1,567.62	100		1,568.84	100	ARC
0/14/2020		1,568.51		ADE							

Creating a Time & Sales Report

To create a time and sales report:

1. Click **Time & Sales** on the **Design** menu. The Setup Time and Sales window appears, as shown below.



Se	etup Time And Sales 🛛 🗙				
General					
<u>Symbol:</u>	2ate: 11/20/2020 V				
Begin Time	✓ Upper Case Symbols Only				
) <u>O</u> pen	Show Bid/Ask				
O 07:00 AM 🖨	✓ Show Regional Bid/Ask				
0 Minutes Back	Add New Lines at Top				
Minutes back	Color Code Prices				
End Time	Show Seconds				
🔘 12:00 AM 🌲	 Show Irregular Trades (RealTick Data Only) 				
<u>C</u> lose	Exch Contributor				
	Translate Exch Contributor				
	Minimum Volume: 0				
Price Server					
Default (@recombiner)	Select				
Order Matching					
Show My Orders > 1	lots Text Background				
Show My Orders <= 1	lots Text Background				
Show Buyer and Seller Ids	Text				
OK	Cancel <u>H</u> elp				

- 2. In the **Symbol** field, type the symbol you would like to see a report for.
- 3. In the **Date** field, type the date you would like to see.
- 4. Click OK.



Bracket Orders

Bracket Orders allow you to get out of a position with a strategy that maximizes profit and minimizes loss. A Bracket Order consists of an entry order and an exit strategy with both profit and loss orders. When the entry order is executed, the exit strategy is placed.

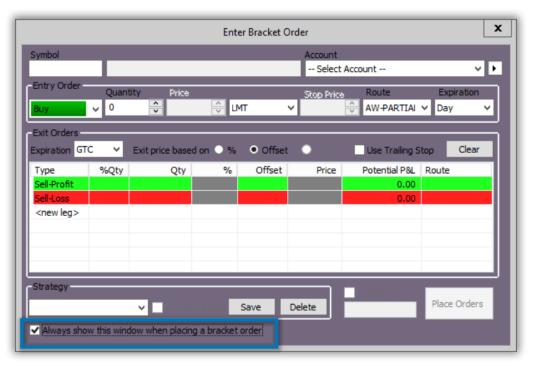
In a Bracket Order, the total profit volume must equal the loss volume, which equals the entry volume. Therefore, as a profit order is executed, an equal volume of loss is canceled. As a loss order is executed, an equal volume of profit is canceled.

No special perms are required to enter Bracket Orders. The entry order type can be MKT or LMT. Profit orders are LMT and loss orders are STP or Trailing STP.

Entering a Bracket Order

To enter a bracket order:

- 1. Open the Bracket Order Entry Form (Trading > Create Ticket Form > Bracket Ticket).
- 2. Check the Always show this window when placing a bracket order checkbox, as shown below.



When this checkbox is selected, whenever **Buy** or **Sell** is pressed, a window will pop-up that allows for the entry of your exit legs.

- 3. Type a symbol in the **Symbol** field and choose an account from the **Account** drop-down list.
- 4. Configure your entry and exit orders in the Entry Order and Exit Order panes.





Note: To save an exit strategy, enter a name for the strategy in the **Strategy** field and click **Save**. This exit strategy will now be saved for use in future Bracket Orders and can be selected from the **Strategy** drop-down list.

- 5. Click **Place Orders**. If the Select Account window appears, select the account you would like to use and click **OK**.
- 6. The Confirm Bracket Order pop-up window appears. Verify the information and click **Send Order**.



Order Cancel Order (OCO)

Order Cancel Orders (OCOs) link two orders together, so if one is filled, the other is automatically canceled. OCOs are typically placed on either side of the market to hedge on market movement and guarantee that the order is filled at an acceptable price, no matter which direction the market moves.

Creating an Order Cancel Order

OCOs have a designated order form within Eze EMS that allows you to specify whether the orders are for a buy or sell in addition to all the typical order entry fields (e.g., **Order Type** and **Destination**).



Note: OCOs may be placed with the order legs on different routes, however, the symbols must be the same.

To create an OCO:

1. On your Order Entry Form, click the arrow, as shown below, or right-click > Show Windows > Order Entry Screen, or press F7 to view the Order Entry Form.

			*default.slf <tal;< th=""><th>TEST;EZESC</th><th>)FT;</th><th>TECHCOM ·</th><th>TRADE></th><th></th><th>_</th><th>. - ×</th></tal;<>	TEST;EZESC)FT;	TECHCOM ·	TRADE>		_	. - ×
Flag	Symbol	Descript	ion	Last		Change	% Chg	Volume		^
	ORCL	ORACLE	CORP			36	-0.59	4,702,686		
	IBM	INTERN	ATIONAL BUSINESS M.			-2.02	-1.59	4,119,046		≡
	TWX			n/a						
	С	CITIGRO	OUP INC COM NEW	43.77	4	-2.11	-4.60	41,384,489		
	В	BARNES	GROUP INC			-1.15	-2.90	59,992		
	INTC	INTEL C	ORP	n/p						
	D	DOMINI	ON ENERGY INC	81.70	↓	72	-0.87	2,581,621		
Symbo		MICDOC		- /		Expira	tion A	Acct Type	Options	
IBM			INTERNATIONAL BUSINE	SS MACHS		Day		Margin 🗸	Short Short Streng	
Quant	ity Pric	e		top Price	Ro	oute	Strategy	/ Popup	Bid/Offer	<
1,00	0 🗘 12	25.19	🗘 LMT 🗸 1	25.19	A	W-PARTIA 🗸	·	×	Pref.	
	cente anna Vol	. Type							Conditional Droe	
1000	EX Pa	rtial v	Buy IBM	Se	I IBM	1	Cance	el All	Multi Step	
									Tied to Stock	

- 2. Select System Order Forms and then select OCO.
- 3. Enter your order information and click **Place Orders**.



QuoteBoard

QuoteBoard provides you with real-time quotes for equities, options, futures, and other securities in one dynamic window. It offers a different way of viewing standard Market Minder data. Instead of a spreadsheet style with one symbol per multiple column layout, the QuoteBoard displays data in a one symbol per tile layout, as shown below.

GOOG	AAPL	🔚 FB	LULU	MFLX
0: 1494.70	0: 115.28	0: 264.52	0: 340.81	0: 537.83
H: 1501.15	H: 116.28	H: 264.63	H: 343.11	H: 544.28
L: 1489.45	L: 114.92	L: 262.28	L: 338.40	L: 535.09
P: 1499.09	P: 115.94	P: 262.64	P: 341.33	P: 539.56
C: 13.16	C: .97	C: -1.12	C: 3.39	C: 7.77
V: 194,618	V: 21,368,029	V: 2,864,957	V: 230,674	V: 1,364,028

The QuoteBoard provides market information, including Open, High, Low, Last, Net Change and Total Daily Volume, allowing you to track the daily range of a stock or futures product. In addition, you can quickly place trades from the QuoteBoard by double-clicking on a tile to bring up the Enter Order window.

Adding and Configuring QuoteBoard

To add the QuoteBoard window:

- 1. Click **QuoteBoard** on the **Design** menu. The QuoteBoard Setup window appears.
- 2. Type a symbol in the **Selected Symbols** field and click **Add**, as shown below.



QuoteBoard	l Setup	×
Symbols User Interface		
	<u>A</u> dd	
✓ Uppercase	<u>D</u> elete	
/ES[0] /NQ[0]	<u>C</u> lear	
/YM[0] /GE[0] /ZF[0]	Move Up	
/ZN[0] /CL[0]	Move Dn	
/NG[0] GOOG AAPL	Load	
/FDAX.EUX[0] /BAX.MON[0]	Save	
/YTS.SFE[0] /L.LFF[0]	Search	
/IBX.MRV[0]		
Show Bloomberg Symbology		
[ОК	Cancel

3. Click **OK**.

To add a symbol to your QuoteBoard:

- 1. Right-click the QuoteBoard and select **Setup...**. The QuoteBoard Setup window appears. This is the same window that appears anytime you add a new QuoteBoard.
- 2. In the **Selected Symbols** field, type the symbol you would like to add to the QuoteBoard and click **Add**, and then click **OK**.



Note: You can add symbols that use RIC, Bloomberg (BBG), and TAL symbology.

To configure tiles in your QuoteBoard:

1. Right-click the tile you would like to configure and select **Configure Tiles...**. The Tile Setup window appears, as shown below.



Field	Label	Move to Top
	0	
Open High	н	Move Up
.ow	L	Move Down
ast Price	P	Move to Bottom
Net Chg.	С	Move to bottom
Tot. Vol.	v	Edit
		Add Eield
		Add Analysis
		Delete
		Load
		Save
		Defaults

- To add a new field, click Add Field.... The Select Fields window opens, allowing you to search for fields and add them to the tile.
- To change the label or field from which the value is obtained, click **Edit...**. Customize the settings and click **OK**.
- To rearrange the order in which fields appear on your tile, use the **Move to Top**, **Move Up**, **Move Down**, or **Move to Bottom** buttons.
- 2. Make the following selections:
 - Show Candlestick When this checkbox is selected, the candlestick appears on the tile. This allows you to see the open and last price relative to the day's high and low range of prices for the security on the tile.
 - Show Country Flag When this checkbox is selected, the flag of the security's country appears on the tile.
- 3. Click **OK**.

You can also configure the color scheme of QuoteBoard through the Colors/Fonts tab of the Configuration window (Tools > Configuration... > Colors/Fonts).



TCA Benchmark Columns

Transaction Cost Analysis (TCA) benchmarks help you analyze the cost of your financial transactions, both pre-trade and post-trade. As events happen in the system, the timestamp is recorded, and the trading event is augmented with current market data corresponding to the timestamp.

Eze EMS offers the following TCA benchmarks:

Order Benchmark Value	Benchmark for the profit and loss of an order.
Order Net P&L	Net profit or loss of an order vs. the benchmark. Can also be expressed in basis points (Order Net P&L BPS) or in cents per share (Order Net P&L CPS).
Order Realized P&L	The realized profit or loss of an order vs. the benchmark. Can also be expressed in basis points (Order Realized P&L BPS) or in cents per share (Order Realized P&L CPS).
Order Unrealized P&L	The unrealized profit or loss of an order vs. benchmark. Can also be expressed in basis points (Order Unrealized P&L BPS) or in cents per share (Order Unrealized P&L CPS).
Target 10-Day ADV Percent	The target quantity as a percentage of the 10-day average day volume. Can also be expressed as a 5-, 20-, 50-, or 200-day average day volume.
Participation Rate	Executed shares as a percent of the total market volume for the secur- ity.
Duration VWAP	The volume weighted average price (VWAP) from the time of order submission to the present, or until the order is no longer live.
Last Market	Market of execution for last fill, or indication of where the order was routed.
Last Market (norm)	Normalized Last Market identifier.
Order MKT VWAP Delta	The VWAP from the time of order submission to the present, or until the market closes.
Original VWAP	Original VWAP when the ticket was submitted.
Original Volume	Original volume when ticket was submitted.
Volume Delta	The change in volume since the ticket was submitted.
Liquidity Indicator	Last liquidity indicator.
Trade Momentum	Percent in order price since arrival.



Adding TCA Benchmark Columns

You can view TCA benchmarks within your Eze EMS by adding TCA columns to your blotter windows.

To add TCA benchmark columns to a blotter:

- 1. Open the Column Configuration window by:
 - Right-click your blotter window, select **Column Layout Choices**, and select **Configure Column Layout...**.
 - Select Column Layout Choices from your blotter menu and then select Configure Column Layout....
 - Press **F5**.
- 2. In the Column Configuration window, shown below, select the TCA benchmarks you would like to include in your blotter.

	Co	lumn Confi	guration		×
Field	Label	Width	Align	^	<u>E</u> dit
Trader ID	Trader ID	3	Right		Delete
Order Details	Order Details	0	Right		Delete
 Symbol 	Symbol	8	Left		Move to Top
 Buy/Sell Disp 	Side	5	Left		Move to rop
✓ Qty	Volume	7	Right		Move Up
 Order Price 	Limit Price	8	Right		
 Vol Traded 	Exec Qty	7	Right		Move Down
Residual Volu	Leaves	7	Right	~	Move to Bottom
Fixed Number Other Layout Opti Show Column F	ons rtically in Window of Groups: 1	•	nge Symbols ir eft to Right Columns:		o to Bottom
✓ Show Column F	iooters 🗹 🖸	elay Footer	Updates (all M <u>O</u> K	linder windo Cancel	ws)



3. If you do not see the field you wish to include, click **Add Field...**. The Select Fields window appears, as shown below.

Search Exchange	~	21 Found					
Field	Table	Description					
Ask Exch ID	livequote	Single-character exchange ID of Ask					
BBG Last Price All Sessions	livequote	Bloomberg Last Price All Sessions (US Exchanges Only)					
Bid Exch ID	livequote	Single-character exchange ID of Bid					
Country	security	Country of exchange where stock is listed.					
Exch ID	livequote	ID for exchange on which instrument trades					
Exch Name	livequote	Three-letter acronym for listing exchange					
Exchange	orders	Exchange of symbol (uses same as EXCH_NAME)					
Exchange Description	none	Exchange Description					
IRG Exch ID	liveguote	Identifier for the exchange on which the last irregul					
Irg trade exch ID	liveguote	Exchange ID of the most recent pre-market, post-m					
NMS	liveguote	Exchange or Normal Market Size					
Order Ask Exch ID	orders	Best Ask Exchange ID at time of Order Event					
Order Bid Exch ID	orders	Best Bid Exchange ID at time of Order Event					
Primary Exch	security	Primary Exchange					
Region	security	Region associated with the listed exchanges for a s					
Region	syminfo	Region associated with the listed exchanges for a s					
Rgnl Ask Exch ID	liveguote	Exchange ID for regional ask					
Rgnl Bid Exch ID	livequote	Exchange ID for regional bid					
Sedol #	security	SEDOL (Stock Exchange Daily Official List) - 7-digit I					
Suspended Indicator	livequote	Indicates if the exchange has suspended the symbol					
Trd Exch ID	livequote	Exchange ID of last trade (US composite stocks only)					

- 4. Click the **Category** tab and select **tca** from the list or use the **Search** field to find available TCA benchmarks.
- 5. Select the TCA benchmarks you would like to include in your blotter. To select multiple fields, hold the **Ctrl** key while making your selections.
- 6. Click **OK**. Make sure the new TCA benchmarks are selected in the Column Configuration window and click **OK**.



Managing Orders

There are various ways to manage your orders in Eze EMS. This section outlines the different ways to create and route orders, and describes the different components and features that assist these workflows.

Creating Orders

The two primary options for creating orders in Eze EMS are <u>Order Entry Forms</u> and <u>Create Ticket Forms</u>. Order Entry Forms can be embedded into any window in Eze EMS (e.g., <u>MarketMaker</u> or <u>Market Minder</u>) or used as a pop-up window. The Create Ticket Form is accessed through the **Trading** menu and opens a stand-alone order form that is not associated with any window or trade.

Order Entry Form

Eze EMS offers Single Leg Order Entry Forms, to create, change, and clone orders, as well as Spread Order Entry Forms (Multi-Leg) to create, change, and clone groups of orders that are related. In addition, you can use your system's existing Single Leg and Spread Order Entry Forms to create and save custom Order Entry Forms that better serve your needs throughout the trading day.

Embedded Order Entry Form

There are three ways in which you can add an Order Entry Form to an Eze EMS window:

- 1. Press F7 on your keyboard.
- 2. Right-click the window, select **Show Windows**, and select **Order Entry Screen**.
- 3. From the window's menu, select Show Windows, and select Order Entry Screen (e.g., Watchlist Minder > Show Windows > Order Entry Screen).



Note: You can hide the Order Entry Form at any time by repeating one of the above options.

For example, the Watchlist window with an embedded Order Entry Form is shown below.

Flag	Symbol	Descript	tion	Last		Change	% Chg	Volume		
	ORCL	ORACLE	CORP	61.10	1	36	-0.59	4,702,686		
	IBM	INTERN	ATIONAL BUSINESS N	4. 125.19		-2.02	-1.59	4,119,046		
	тwx			n/a						
С		CITIGRO	OUP INC COM NEW	43.77	¥	-2.11	-4.60	41,384,489		
	В	BARNES	GROUP INC	38.46		-1.15	-2.90	59,992		
INTC		INTEL C	ORP	n/p						
	D	DOMINI	ON ENERGY INC	81.70	\downarrow	72	-0.87	2,581,621		-
Symbo	North N	MICROC		- / -		Expira	tion A	Acct Type	ptions	
IBM	<i>n</i>		INTERNATIONAL BUSIN	ESS MACHS		Dav		честуре –	Short Shore E.e.	le l
Quant	ity	Price		Stop Price	Ro	oute	Strategy		Bid/Offer	<
1,00		125.19	🗧 LMT 🗸 🗸	125.19	A	W-PARTIA 🗸	·	×	Pref.	
	061 6 F757	Vol. Type							Conditional Droa	
1000	EX EX	Partial N	Buy IBM	Sell	IBM	1	Cance	el All	Multi Step	



To change the type of Order Entry Form, right-click the Order Entry Form or click the arrow () and select System Order Forms, and then select the type of Order Entry Form you would like to use.

When you have custom Order Entry Forms configured, you can select them by navigating to Custom Order Forms and selecting the custom form you would like to use.

Pop-up Order Entry Form

In most windows, you can access the pop-up Order Entry Forms by double-clicking on the window. In Market Minder windows, you must configure your Double Click Action to open an Order Entry Form.

To configure the double click action in Market Minder:

- 1. Right-click your Market Minder window (i.e., Order Blotter, Watch List, Pairs Blotter), or press **F4** on your keyboard. The Minder Setup window appears.
- 2. Click the **Miscellaneous** tab and choose **Popup Order Entry** from the **Double Click Action** dropdown list, and then click **OK**, as shown below.

linder <u>T</u> ype WatchList		 Monitor market data for a list symbols that you specify. 	tof	OK Cancel Help
ymbols C	rders	Miscellaneous		
<u>M</u> iscellane	ous			
Window T	itle:	*default.slf		
Price Serv	er:	Default (@recombiner)	Select	Server
Account:		TAL;TEST;EZESOFT;TECHCOM	Select <u>A</u> ccount	
Rgnl Exch	ange:	All	Select Exchange	
Default		USD	Select O	urrency
Double Cli	ck Actio	n: Popup Order Entry		~
Allow Cor	nservati	on Mode 🗹 Conservation	n Settings	
Conserva	tion Thr	eshold = 200 Conservation Update Rate	e = 8 upd/se	cond
Other Opt		nd Lower Bound Notification to Alert Wind	ow	

You can also customize which type of pop-up Order Entry Form appears by default in your Eze EMS.



To customize a default type of pop-up Order Entry Form:

- 1. Click the **Miscellaneous** tab in the Order Entry Properties window (**Trading** > **Order Entry Prop**erties... > **Miscellaneous**).
- 2. From the **Default Order Entry Popup Form** drop-down list, select the type of pop-up Order Entry Form you would like to set as default and click **OK**, as shown below.

	Order Entry Properties
Auto Hedger	Tracing
Broker Defaults	Tracing Options Lookup Order Trade Sizes Bucket
Configuration Files	Accounts Show Multi-Broker Account Choices Virtual Account Mgr Neutral Account Mgr
Event Sounds	Display Account Name in Window Titles: Full - Short
Miscellaneous	- Shutdown Warning
Order Actions Manager	Wam if There are Unallocated Trades ✓ Wam if There are Outstanding Orders
Order Alerts	-Other Options
Order Colors	Only Show Trades Placed by this User (Requires Restart) Auto-Select Single Available Ticket for Ticket Orders
Order Entry Default Rules	✓ Inform Me if Parent Orders' Price and Price Type Are Not Updated Allow Multiple Child Orders to Increase Parent Volume
Order Form Settings	Use Trade Price for P&L and Market Value (Requires Restart)
OMS Settings	Mark Staged Orders as owned by me if 'Claim Required' is not selected Use Consolidated Data for Charts and Analysis (Requires Restart)
Pairs and Spreads	Use Target Quantity in Calculation for Completion Percent (Requires Restart)
Performance Options	☐ Show "View Order' Dialog as Modeless (Requires Restart) ✓ Show Staged Order Dialog as Modeless
Price/Trade Size Warnings	Show Staged Order Dialog as Modeless Show Pending Cancel / Change Orders in PENDING filter (Requires Restart)
Spin Increments Accelerators	-Quick Order Entry
Time Zone	Popup Embedded Default Order Entry Popup Form Staged
Toolbar Manager	Floating
Virtual Routes	✓ Use Popup Order Location ● Use One Global Location
	Use Per Window Location
Warnings/Confirmations	WAP Order Options
	Compute VWAP from Consolidated VAB symbol when possible
	Continue VWAP updates after order completion and until Market close
	Populate VWAP and VWAP Volume in Non-staged Orders (Requires Restart)

Custom Order Entry Form

You can customize both embedded and pop-up Order Entry Forms in your Eze EMS.

To create a custom Order Entry Form:

1. Open an embedded or pop-up Order Entry Form and choose the type of System Order Form that is closest to your needs.



2. Right-click the Order Entry Form and select **Turn Edit Mode on**. Your Order Entry Form appears in Edit Mode, as shown below.

	C	*default.slf <tai< th=""><th></th><th></th><th></th><th></th><th></th><th></th></tai<>						
-lag	Symbol	Description	Last	Change	% Chg	Volume		
	ORCL	ORACLE CORP	61.10 1	36	-0.59	4,702,686		
	IBM	INTERNATIONAL BUSINESS M	l 125.19 î	-2.02	-1.59	4,119,046		3
	TWX		n/a					
	С	CITIGROUP INC COM NEW	43.77 ↓	-2.11	-4.60	41,384,489		
	В	BARNES GROUP INC	38.46 1	-1.15	-2.90	59,992		
INTC		INTEL CORP	n/p					
	D	DOMINION ENERGY INC	81.70 ↓	72	-0.87	2,581,621		
	140 FT	MICROCOTT CORR	- 1-				otono	
		INTERNATIONAL BUSIN		Expira		cct Type	Short	
				Day	100	Margin ∨	pid (Offer	
uant	and the second party of th	The second s			Strategy	/ Popup	ви/оттег	
1,00	· ·	25.10 🗘 LMT 🗸	V	W-PARTIA 🔻	1	×	Pret.	
	screec Sector Vo	l. Type						
1000	🔶 EX 🛛 Pa	artial 🗸 🛛 Buy IBM	Sell IB	м 🗄	Cance	I All	Multi Step	
	TAXABLE PARTY OF TAXABL						Trad to Church	

- 3. In Edit Mode, you can move controls around by clicking and dragging them. To add new controls, right-click the Order Entry Form, click **Add Controls**, and select the control you would like to add. To delete controls, select them and click **Delete** on your keyboard.
- 4. When you are done customizing the controls, right-click the Order Entry Form and select **Reorder Controls**. The Reorder Order Entry Controls window appears. Select a control and use the **Move**



Up and Move Down buttons to set your desired tab order, and then click OK, as shown below.

Controls	
Symbol Description Expiration/Time In Force Account Type Quantity Route Price	∧ Move <u>Up</u> Move <u>D</u> own
Price Price Type Aux Price Strategy Reserve Amount Synthetic Reserve Volume Type Buy Sell Cancel	OK Cancel
group box #23184 <options> Bid/Offer Check Sell Short Check Locate Exempt Check Preference Conditional Check Form Menu Multi Step Button #23150 <<></options>	

- 5. Right-click the Order Entry Form and select **Turn off Edit Mode**. When the **Would you like to save your changes?** message appears, click **Yes**.
- 6. Enter a unique name for your new Order Entry Form in the Save Order Form window and click **Save**.



Create Ticket Form

Create Ticket Forms appear as pop-up windows in your Eze EMS that are accessed through the **Trading** menu. They are not associated with any other window or trade. The following Create Ticket Forms are available in your Eze EMS:

- Staged Order Ticket
- Standard Order Ticket
- Bond Order Ticket
- Bracket Order Ticket
- Cross Order Ticket

In addition, if your system is configured to run Eze EMS in OMS mode, the EMS/OMS Integration Staged Order Form is available providing a more streamlined option to the EMS Staged Order Form.



Note: To access the EMS/OMS Integration Staged Order Form, your system must be permissioned to run Eze EMS in OMS Mode. For additional assistance, contact your SS&C Eze client service representative.

Using Create Ticket Forms

To open a create Ticket Form:

- 1. Click the **Trading** menu, select **Create Ticket Form**, and select the type of form you would like to use.
- 2. If the Select Account window appears, choose the account you would like to use and click **OK**.
- 3. Enter the required order information and click the appropriate execution button (i.e., **Buy**, **Sell**, **Place Orders**) to execute the order.

To enable the EMS/OMS integrated staged Order Form:

- 1. Click the Trading menu, select Order Entry Properties, and click the OMS Settings tab.
- 2. Select EMS/OMS Integration from the Staged Order Form (Requires Restart) drop-down list, as shown below.



	Order Entry Properties
Auto Hedger Broker Defaults Configuration Files Event Sounds Miscellaneous Order Actions Manager Order Alerts Order Colors Order Entry Default Rules Order Form Settings OMS Settings	Staged Order Form (Requires Restart):
Pairs and Spreads	

When this setting is configured and you select **Staged Order Ticket** from the **Create Ticket Form** menu (**Trading > Create Ticket Form > Staged Order Ticket**), the EMS/OMS Integration Staged Order Form opens, as shown below.

Trade	_			_		
В	uy	Sell	Short		Cover	J
Symbol			Quantity			0
Manager		×	Locate ID			_
Asa	LMT	×	Strategy 1		_	
Limit		* *	Strategy 2			
TIF	Day	~	Open/Close	Auto		
Trader		~	Custodian			
Booking	Default	Ý				
- MiFID		~	Undisclose	ad Sall		



Order Entry Default Rules

You can specify default values for your Order Entry Forms and Create Ticket Forms using the **Order Entry Default Rules** tab of the Order Entry Properties window (**Trading** > **Order Entry Properties**> **Order Entry Default Rules**). Once the default values are configured, your order forms automatically populate with the corresponding information, allowing you to save time when entering orders.



Note: Additional order form settings can be customized using the various tabs in the Order Entry Properties window.

Creating Order Entry Default Rules

To add a new rule:

1. Navigate to the **Order Entry Default Rules** tab of the Order Entry Properties window and click **New...**, as shown below.

	C)rder Entry	Properties	×
Auto Hedger	Rule Name	Route	Primary Account	New
Broker Defaults	US Stocks European Stocks	NONE	NONE NONE	Edit
Configuration Files	Asia Pac Stocks Options	NONE NONE	NONE NONE	Delete
Event Sounds	Futures Default Rules	NONE	NONE NONE	Clear
Miscellaneous				
Order Actions Manager				
Order Alerts				
Order Colors			Defaults for Selected Rule	
Order Entry Default Rules	Rule Applies to:	*:PNK,OBB	:STOCK	
L	Davidas	Tends	Cias. Drive Time.	Chann Ciana

2. In the Edit Rule window, as shown below, enter a unique name for your rule in the **Rule Descrip**tion field.

	Edit Rule	x
Rule Description:	Symbol List	ОК
Security Types: Corp. Bond Forex Future Option Govt. Bond Index Misc. Money Mkt. Fund Muni, Bond Mutual Fund	Exchanges: Select	Cancel



- 3. Select whether you would like the rule to be **Rule-based** or applied to a **Symbol List**.
 - 1. If **Rule-based** is selected, make the following selections:
 - Security Types Defines the types of securities the rule applies to. Select <ALL> to apply the rule to all security types or select specific types from the list.
 - Exchanges Defines the exchanges the rule applies to. Select <All Exchanges> to apply the rule to all exchanges. To choose specific exchanges, click Select..., select the specific exchanges you would like to use from the Available Exchanges list, click Add >, and then click OK.
 - 2. If **Symbol List** is selected, enter the symbols you would like the rule to be applied to and click **Add**.
- 4. Click **OK** once you are done configuring the rule.



Note: You can edit these settings at any time by selecting the rule in the Order Entry Default Rules tab of the Order Entry Properties window and clicking Edit....

5. In the **Defaults for Selected Rule** pane, configure the default values you would like to apply to your new rule, and then click **OK**.



MarketMaker

The MarketMaker window displays market activity for a selected symbol, including Level 2 quotes, regional quotes, trade events, and order position in the market queue. You can use the MarketMaker window to:

- Enter, modify, and cancel orders.
- View consolidated order books.
- Use interactive books for orders.

Using the MarketMaker Window

To create a MarketMaker window:

- 1. Click **MarketMakers** on the **Design** menu. The Market Maker / Regional Setup window appears.
- 2. Type a symbol in the **Symbol** field and select **Auto-Detect**, **Market Depth/Level 2 Quotes**, or **Regional Exchange Quotes**, as shown below.

Market Maker / Regional Setup	x
Data Selection User Interface Settings IOI Settings	
- Data Properties	
Symbol: Upper Case Symbols	
Auto-Detect OMarket Depth / Level 2 Quotes Regional Exchange Quotes	
Use Consolidated Symbol for Level 2 Quotes.	1
Broker Aggregation (Canadian Markets)	
Price Tier / Montage Properties	

3. Select the **User Interface Settings** tab. In the **Column Settings** pane, select the columns you would like to appear in your MarketMaker window, as shown below.

Market Maker	/ Regional Setup
Data Selection User Interface Settings IOI	Settings
- Column Settings	
Column Name	Sho <u>w</u> Volume in Lots
Status	Use Actual Lot Size
Direction Time E	Round Lots
Seconds	Exclude <1 Lot
Best Bid/Offer Count	Comma Separated 1,000s
✓ Bid/Ask Size	
Total Volume (Rgnl)	
	Ask on the Left Side
- Order Entry Properties	J

4. Select the additional settings you would like to add in the **Order Entry Properties** pane.





Note: When the My Orders Only checkbox is selected, the position of your live orders in the market is displayed and your MarketMaker subscribes to all order updates for a given symbol and trade account. When the Show Other User's Trader ID checkbox is selected, Algo and Cash orders claimed by other users at your firm appear in the MarketMaker window with a Name value set to that user's username.

- 5. Enter a name for your MarketMaker window in the **Window Title** field of the **Miscellaneous** tab.
- 6. Click OK.

To add windows to your MarketMaker display:

- 1. Right-click anywhere in the Standard Depth View of the MarketMaker window.
- 2. Select Show Window....
- 3. Select or deselect the windows you want to display.

To enter orders in your MarketMaker window:

- 1. Enter the symbol in the MultiQuote window.
- 2. On your Order Entry Form, shown below, enter the amount you want to order in the **Quantity** field.

V *LULULEMO	N ATHLETICA INC	C < TAL; TEST; EZ	ESOFT;TECHC	OM - TRADE	> [- • ×
LULU Volumn/p Bid n/ LULULEMON	n/p /p Askn/p	Low	łn/p /n/p /n/p			
	Name Size	Bid	Ask	Size	Name	
Quantity Price 1,000	🗄 LMT 🕚	Stop Price	Partial ∨	Order Options Short Bid/Offer		
Route Expira STAGE V Day	✓ Margin	✓ 100		Pref.	2-94 	~
Buy LULU	Sell LULU	Cano	cel All	Multi Step		

- 3. The default order is **LMT**. If you are placing an LMT order, select the price from the Standard Depth View. The **Price** field automatically populates the price details of the symbol.
- 4. If you are placing an MKT order, select **MKT** from the drop-down list. The price field is automatically disabled.
- 5. Once you have entered complete order information, click **Buy** or **Sell** to execute the order.

Linking List Trader to MarketMaker

You can link a List Trader window to a MarketMaker window so that when you select the leg of a staged order spread in the List Trader window, the staged spread legs automatically appear in the linked



MarketMaker Ticket symbol field. You can also select the staged spread legs from the MarketMaker ticket list.

To link the List Trader window to your MarketMaker window:

- 1. Right-click the List Trader window you want to use and select Links.... The Select Window to Link dialog box appears.
- 2. Select the MarketMaker window you would like to link to.
- 3. Click OK.



MarketMinder

The Market Minder provides various blotters and views to show you your staged, pair, and standard orders as well as positions within the market. You can use the Market Minder to:

- Stage trades coming from other platforms (e.g., Eze OMS).
- Upload orders from a spreadsheet (e.g., Microsoft Excel[®]).
- Upload orders from an API (e.g., Eze EMS xAPI).
- Split orders across brokers.

The different blotters and views available for the Market Minder are:

- Watchlist
- List Trader/TicketMinder
- Account Balances Minder
- BasketMinder
- Options Risk Minder
- Order Blotter
- Aggregated Order Blotter
- Pairs Blotter
- Position Blotter
- Aggregated Position Blotter
- Regional Quotes Minder
- ChainMinder

Accessing the Market Minder

To access Market Minder:



1. Click Market Minder on the Design menu. The Minder Setup window appears, as shown below.

Minder Setup	× (
Minder Type	ОК
	hitor market data for a list of hibols that you specify. Cancel
IBM De Ch	Help dd symbol Chain Symbol Chain Symbol Chain Symbol Chain Root: Root: Symbol File Symbol File Symbol File Select Remember Symbol File Symbol Guide Search For Symbols File Symbol Guide Search For Symbols No Duplicate Symbols No Duplicate Symbols

- 2. Select the type of window you want to open from the **Minder Type** drop-down list.
- 3. In the Selected Symbols field, type the symbol you would like to watch and click Add.
- 4. Click the **Miscellaneous** tab and enter a name for your new Market Minder window in the **Window Title** field, as shown below.



WatchList V Monitor market data for a list of symbols that you specify.				
	Miscellar	neous		Help
Miscellaneous Window Title:				
Price Server:	Defau	t (@recombiner)	Select Se	erver
Account:			Select <u>A</u> ccount	
Rgnl Exchange:	All		Select Exchange	
Default	USD		Select Cur	rency
Double Click Actio	n:	None		~
Allow Conservation	on Mode	✓ <u>C</u> onservation	Settings]
Conservation Thr	eshold =	200 Conservation Update Rate	= 8 upd/seco	ond
Other Options	id Lower	Bound Notification to Alert Windo	w	

5. Customize the settings you would like to apply to your window and click **OK**.



Order Blotter

The Order Blotter displays staged orders that have either been created in Eze EMS or sent from other systems via FIX (e.g., Eze OMS), an API, or an uploaded Excel spreadsheet.

Symbol	Side	Volume	Limit Price	Leaves	Avg Price Destination	Status	Time	Stop Time
AAPL	Buy	10,000	115.17	10,000	DEMO	Live	16:09:38	Day
VOD.LSE	Buy	10,000	126.0000		DEMO	Deleted	16:09:38	Day
AAPL	Buy	10,000	115.17	10,000	DEMO	Live	16:09:38	Day
	Buy	20,000				Live	16:09:38	
TSLA	Buy	1,000	556.95	1,000	DEMO	Live	16:09:38	Day
	Buy	3,000				Live	16:09:38	
Totals								

You can send orders from your order blotter by:

- Right-clicking on the bottom panel and selecting Create Single Ticket, as shown below.
- Using the Create Buy or Create Sell buttons at the button of the screen to create quick orders, as shown below.

There are a variety of ways for you to filter the orders in your Order Blotter. You can set filters in the Minder Setup window, by right-clicking on your Order Blotter window and selecting **Setup Filter...**, or by pressing the **F9** button on your keyboard.

Creating an Order Blotter

To create an order blotter:

- 1. Click Market Minder on the Design menu.
- 2. Select Order Blotter from the Minder Type drop-down list.
- 3. Select the Miscellaneous tab and enter a name for the blotter in the Window Title field.
- 4. Click OK.
- 5. If the Select Account window appears, select the you would like to use and click **OK**.

List Trading

List Trading within the Eze EMS gives you the ability to handle multiple orders simultaneously. The orders found on a list are either entered directly in the Eze EMS or are imported from another system (e.g., Eze OMS) via FIX, an API, or an uploaded Excel spreadsheet. The Market Minder List Trader option allows you to view a list of grouped parent orders in a blotter. From the List Trader window, you can:

- Use the List Creation Manager (LCM) to enter single or multiple orders.
- Create exchange supported calendar spreads for futures contracts.
- Cross a Buy order and Sell order of the same symbol.



• Cross any number of Buy and Sell orders of different symbols.

taged Blotter	Pairs Blotter Al	Il Orders TurboOptions	+								
Select All Sta	atus: Live or Comp	leteı 🗸 Side: All	~ New	. Order Settings	Execute!	Cxl Open Orders 🔽 Tag	g: <timestamp> Be</timestamp>	enchmark: Arrival Price 🗸	Options	Chart	
Flag Statu	ıs Sym	bol Avg Price	Side	Child Ready	Qty	Notional Price Ty	pe Expiration	20-day ADV	Vol Traded	LMT Price	
📕 Stage	ed AAP	PL 0.00	Buy		1,000	80,000.00 Limit		0.00	700	80.00	
📕 Stage			Buy	N	1,000	80,000.00 Limit	GTC	0.00		80.00	
📰 Stage	ed IWM	0.00	Buy	N	1,500	120,000.00 Limit	GTC	0.01		80.00	
📕 Live											
📕 Live											
📕 Stage	ed IWM	0.00	Buy	N	35,000	2,800,000.00 Limit	GTC	0.12		80.00	
Live 📰											
📕 Stage	ed IWM	0.00	Buy	N	15,000	1,200,000.00 Limit	GTC	0.05		80.00	
_											
											>
atus Sy	ymbol Sia	le Price Type	Limit Price	Volume Exe	c Qty SubRout	e Virtual Rou	ite Name Strat	egy Name			>
atus Sy	ymbol Sia	le Price Type	Limit Price	Volume Exe	c Qty SubRout	e Virtual Rou	ite Name Strat	egy Name			>
atus Sy	ymbol Sia	le Price Type	Limit Price	Volume Exe	c Qty SubRout	e Virtual Rou	ite Name Strat	egy Name			>
atus Sy	ymbol Sic	de Price Type	Limit Price	Volume Exe	c Qty SubRout	e Virtual Rou	ite Name Strate	egy Name			>
atus Sy	ymbol Sic	de Price Type	Limit Price	Volume Exe	c Qty SubRout	e Virtual Rou	ite Name Strati	egy Name			>
	ymbol Sic	le Price Type	Limit Price				ite Name Strato	egy Name			>
nbol			Limit Price	Expiration	Acct Type Opti	ons	7	egy Name			>
nbol APL	A	PPLE INC		Expiration GTC V	Acct Type Opti Margin V	ons hort 🗋 Locate Exempt	Portfolio	egy Name			>
nbol APL antity	Price	PPLE INC Stop	Price Rout	Expiration GTC V se Strateg	Acct Type Opti Margin ✓ S y _ Popup □ E	ons hort Locate Exempt	Portfolio				>
nbol APL antity D0	Price 80.00	PPLE INC	Price Rout	Expiration GTC V	Acct Type Opti Margin V S y Popup E	ons hort Locate Exempt id/Offer	Portfolio				>
mbol APL iantity	Price	PPLE INC Stop	Price Rout	Expiration GTC V se Strateg	Acct Type Opti Margin V S y Popup E	ons hort Locate Exempt	Portfolio 20201110095818				>

In addition, if your system is configured with Eze EMS/OMS Auto Trade Sync, the two interfaces are connected, so if you highlight a trade on the Eze OMS Trade Blotter, the corresponding parent order is highlighted on the Eze EMS List Trader. Similarly, highlighting a parent order on the Eze EMS List Trader highlights the corresponding trade in the active Eze OMS blotter.

Using List Trader

To create a list:

- 1. Click Market Minder on the Design menu.
- 2. In the Minder Setup window, select **TicketMinder / ListTrader** from the **Minder Type** drop-down list.
- 3. Select the Miscellaneous tab and enter a name for the blotter in the Window Title field.
- 4. Click OK.
- 5. If the Select Account window appears, select the account you would like to use and click **OK**.
- 6. In the List Trader window, click **New...**, as shown below.



Staged I	Blotter Pairs Blo	tter All Orders	TurboOptions	•								
Select /	All Status: Live	or Completer 🗸 S	ide: All	V New	. Order Settings	Execu	tte! Cxl Open Orders 🗸 Tag: <	<timestamp> B</timestamp>	enchmark: Arrival Price 🗸	Options	Chart	
Flag	Status	Symbol	Avg Price	Side	Child Ready	Qty	Notional Price Type	Expiration	20-day ADV	Vol Traded	LMT Price	
00	Staged	AAPL	0.00	Buy	N	1,000	80,000.00 Limit	GTC	0.00	700	80.00	
	Staged	IWM	0.00	Buy	N	1,000	80,000.00 Limit	GTC	0.00		80.00	
	Staged	IWM	0.00	Buy	N	1,500	120,000.00 Limit	GTC	0.01		80.00	
	Live											
	Live	IWM	0.00			6,000	1,080,250.00 Linit	GTC	0.02		255.00	
	Staged	IWM	0.00	Buy	N	35,000	2,800,000.00 Limit	GTC	0.12		80.00	
	Live	IWM	0.00	Buy		35,000	2,800,000.00 Limit		0.12			
	Staged	IWM	0.00	Buy	N	15,000	1,200,000.00 Limit	GTC	0.05		80.00	
<u>د</u>												>
tatus	Symbol	Side P	rice Type 🛛 Li	nit Price	Volume Exe	c Qty SubR	oute Virtual Route	Name Strat	egy Name			
					Expiration	Acct Type	Options	Portfolio				
vmbol		APPLE INC			GTC V	Margin ~	Short Locate Exempt					
ymbol AAPL			Stop Pr	ce Rout		y Popup	Bid/Offer <	20201110095818	\sim			
AAPL	Price				-		Pref.					
			 ✓ 113.4 	5 🗘 DEM	10eur ~							
AAPL uantity 300	\$0.00			DEM	10eur v	~	Conditional Order	ser Strategy				
AAPL uantity	\$0.00	LMT		Sell AAPL	10EUR V	el All		ser Strategy	~			

7. In the List Creation Manager window, select the **Order Tag** checkbox and choose the order tag from the drop-down list, as shown below.

 Order(s) Tag 	<timestamp></timestamp>	~	Uppercase	Claim Require	d Prefere	ences	apacity	~	Ext. Cross	✓	Seeding Account:	NEUTRAL		~	OF
Side	Quantity	Notional Amt	Symbol	Price Type	Limit Prc	Open/Close	Route	Notes	Portfolio	OMS Manager	OMS Trader	Strategy 1	Strategy 2	Be	<u>C</u> an
															He
															Del
															Dele
															Load
															Save
															Load P

- 8. Enter the orders to be included in the list in the table below or click **Load List** to import a list of orders.
- 9. Click OK



Note: You can also access the List Creation Manager by right-clicking on the List Trader window and selecting **Create List...** from the **Staged Orders / Lists** menu.

To customize your list trader settings:

1. Right-click the List Trader window. Choose **Staged Orders / Lists > List Trader Settings...**. The List Trading Preferences window appears, as shown below.



List Trading Preferences	x
General Settings Benchmark Price: Last Price Derived Price: <none> Clear out Child Quantity after Placing Orders Suppress Confirmation of List Creation Suppress Confirmation of List Execution Show Hard/Easy To Borrow Status in List Creation Include Commissions in Executed Net (List Summary panel) Restrict if Price Units are Invalid during List Creation All Or Nothing List Entry</none>	OK Cancel Help
Child Order Execution Parameters Use Default Account as a Child Account for Neutral Parent Use Default Route if No Route Specified in Parent Use Default Locate ID for Sell Short Orders TIF: Custom (NB: End Time won't be set on Algo Routes) Fill in Child Price/Type from Parent Order Fill in Child Quantity from OEP setting Fill in Child Quantity from local setting below % of Target 100 Round Lot	
List Auto-load Preferences Scan for Import List Location D:\EzePersonal\guest17\Trading\Lists\Import Import to Account: Bypass Confirmation Window	

2. Configure the settings you would like to apply to your list and click **OK**.

To cross orders:

- 1. In your List Trader window, select the Buy and Sell orders you would like to cross.
- 2. Right-click the selected orders and select **Cross Orders...**. The Bulk Cross window appears when you select **Cross Orders...** for multiple orders, as shown below.

Bulk Cross			\times
Cross Type Midpoint ✓ Crossing Account: TEST	Route INTERNAL_CROS Message:	Broker Code	Cancel



- 3. In the Bulk Cross window, enter the following:
 - Cross Type The type of order cross being performed.
 - **Route** The execution route through which the order(s) are sent.
 - Broker Code The broker code to which the order(s) are sent.
 - **Crossing Account** The crossing account to which the order(s) are assigned.
 - Message (optional) A message that is included with the order.
- 4. Click **Cross**. The Confirm Bulk Cross window appears, as shown below.

onfirm Bulk (Cross			
he following o	rders will be crosse	d at Midpoint:		ОК
Symbol	Quantity	Buy Order ID	Sell Order ID	Cancel
С	400	a1f5b8be-10f-001g	a 1f5b8be-10f-001j	Cancer
G	600	a 1f5b8be-10f-001i	a1f5b8be-10f-001h	

This window displays a summary, by Symbol, of all the order pairs that are eligible for crossing.

5. Click OK. All crossed orders are updated with an Order Tag of Bulk Cross in the List Trader gird.



Note: Only market orders and orders with available free quantity are eligible for Bulk Cross. Other order types (e.g., Limit Orders) and working orders in the market are ignored.

Pairs Trading

Eze EMS supports three types of pairs trades:

- Ratio staged pairs
- Risk Arb staged pairs
- Relative Value staged pairs

You can stage pairs with any OMS that certifies trades, or you can create them manually in your Eze EMS using the Staged Pairs Order form.

To support pairs trading, Eze EMS offers the Pairs Blotter option in Market Minder and the trading pairs tab view (**Pairs > Pairs Trader**).



Select All	Unselect A	M Status: All		V Direction	on: All	Legs: Parer	nts Onl· 🗸	New	▼ Order	Settings	Execut	te! Cance	el Open Ord	ders 🔽 T	ag: <a>TimeSta	mp>	?	
eg 1	Side	Quantit	y Leg 2	Side	Quant	ity Direction	Туре	Ratio	Cash (Operator	Spread	Market	Passive	Achieved	d Percent	Route		
OD.LSE	Buy		0 BARC.LSE			00 Setup	Risk Arb	1.0000		>=		12.9200						
IM	Buy	80	0 AAPL	SellShor	t 10	00 Setup	Risk Arb	1.0000		>=		124.6700 1	124.1000					
ymbol	Side	Volume	Limit Price	Exec Qty	Leaves	Avg Price	Destination	Status			Strategy			Time	Start Time	Stop Time	Vol Lmt %	Peg Limi
otals																		
		_					` 		_				_					
itage Wo Identifier	rk Report	Pair Risk Arb	0.00: Buy 400 Pair Type		Short 500 BAR Type	C.LSE (400x50) Ratio	0 left) Cash	Spread	✓ NEUTRA		Expiration	_		F			estomer Informet	
		Setup	Risk Arb	✓ Nor					•			× 🗆 🕬	Real Le			<se Type</se 	elect Customer>	~ ity
Symbol		Side	Qty	Notional N	otional CCY	Booking I	Bench Descrip	tion		Bid Size	Ask S	ize OMS Ma	anager	OMS Tra	ider St	rategy	Agen	cy 🗸
5,11001	E Ì	Buy	400	50,352	CAD	Default 12	5.680 VODAF		10 105	3	105 0					Port		

Using the Pairs Blotter

To create a pairs blotter:

- 1. Click Market Minder on the Design menu.
- 2. In the Minder Setup window, select **Pairs Blotter** from the **Minder Type** drop-down list.
- 3. Click the **Miscellaneous** tab and enter a name for your Pairs Blotter in the **Window Title** field.
- 4. Click OK.
- 5. On your Pairs Blotter toolbar, click **New...** to import pairs.
- 6. Select the pairs you would like to import and click **Open**. The Staged Pair Creation Manager window appears, as shown below.

Order(s) Tag Sample	ePairs	✓ ✔ Uppercase S	ymbols 3	Pairs loaded.						
Synthetic Symbol	Error	Leg1 Symbol	Side	Qty	Benchmark	OMS Manager	OMS Trader	Strategy 1	Strat	OK
		GE	Buy	1,000						
		С	Buy	1,000,000						Cancel
		AAPL	Buy	1,000,000	292.0000					
										Delete
									>	Load Pairs

7. Click Load Pairs... to import more pairs. Click OK to send your imported pairs.



TurboOptions

The TurboOptions window displays all available options for a given security. You can use the TurboOptions window to place an individual options order or spread orders using single- and multi-legged strategies.

The TurboOptions window includes:

- A single dashboard view of options chain, including bid/ask prices and strike prices.
- Internal calculations for Volatility and Greeks.
- An embedded Order Entry Form.

Within the TurboOptions window, all available options are sorted by expiration date while Put and Calls are displayed in a symmetrical view, as shown below.

🚰 Eze EMS	- (Untitle	ed) [Select	Market D	ata Provide	ed By ICE Data	Services]	[TurboOp	otions® - \	ODAFONE (GROUP PLC	ORD US	D0.20 20/2	1]							-	Ð	×
📌 Page	Design	TurboC)ptions®	Favorites	Trading P	airs Tool	s Windo	ow Help	RT Connect													- 8 >
Ionths: 4	🗘 St	rikes: ATN	1(+/-) ~	3	Apply	lear Filter	Dec18 '20	Jan 15 '21	Feb19 '21	Mar 19 '21	More>>											
					Calls					VOD.L	SE						Puts					^
Bid	Bid	Agg Bid	Close	Mid	Agg Bid/Ask	Ask	Ask	Agg Ask	Close			Bid	Bid	Agg Bid	Close	Mid	Agg Bid/Ask	Ask	Ask	Agg Ask	Close	
	Size	Size	Bid		Size		Size	Size	Ask				Size	Size	Bid		Size		Size	Size	Ask	
125.720	15,966	0	0	125.74	15966/3045	125.760	3,045	0	0	VOD.I												
VOD.EUX 18	Dec '20	(21d) Opt	Iv:100 Exc	:h:EUX						Dec 18												
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	115	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	120	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	125	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	130	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	135	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Dec18 '20	140	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
VOD.LFF 18		21d) OptD								Dec 18												
10.750	228	0	10.250	11.25	228/328	11.750	328	0	11.000	Dec18 '20	115	.500	358	0	.500	0.88	358/351	1.250	351	0	1.250	
6.250	228	0	6.000	6.63	228/108	7.000	108	0	6.750	Dec18 '20	120	1.750	367	0	2.000	2.25	367/367	2.750	367	0	2.750	
3.000	358	0	2.750	3.38	358/358	3.750	358	0	3.500	Dec18 '20	125	4.250	342	0	4.750	4.88	342/342	5.500	342	0	5.750	
1.500	100	0	1.000	1.63	100/383	1.750	383	0	1.500	Dec18 '20	130	8.250	103	0	8.750	8.88	103/331	9.500	331	0	10.000	
.250	335	0	.250	0.50	335/228	.750	228	0	.750	Dec18 '20	135	12.750	328	0	13.250	13.38	328/100	14.000	100	0	14.500	
.250	300	0	.250	0.38	300/328	.500	328	0	.500	Dec18 '20	140	17.750	100	0	18.250	18.25	100/100	18.750	100	0	19.500	
VOD.EUX 15	Jan '21 (49d) OptD	lv:100 Exc							Jan 15												
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	115	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	120	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	125	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	130	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	135	n/p	0	0	0	0.00	0/0	n/p	0	0	0	
n/p	0	0	0	0.00	0/0	n/p	0	0	0	Jan15 '21	140	n/p	0	0	0	0.00	0/0	n/p	0	0	0	

In addition to the Main View, shown above, you can configure the TurboOptions window to display the following panes:

- Filter View Automatically enabled when you open a TurboOptions window. Filter View provides filter parameters for options, allowing you to narrow down the amount of options being viewed at one time.
- **Spread View** This view displays the ISE Spread Book, EUX Spread Book, or spreads generated internally in the Eze EMS.



Note: For US options, spreads/strategies are exchange supported. Eze EMS sends the legs to the broker and the broker then sends it onto the exchange as a spread. Exchange-supported spreads guarantee the leg risk and are less risky than using Eze EMS managed spreads.

- Account View You can use this view to select user accounts. It is available in all Eze EMS windows.
- **Regional View** This view displays Level 2 quotes for a selected option.



Using TurboOptions

To create a TurboOptions window:

- 1. Click **TurboOptions®** on the **Design** menu. The Setup TurboOptions[®] window appears.
- 2. In the **Underlier/Root** field, enter the option root or underlier symbol you would like to use and select the **Straight Options** checkbox, as shown below.

	Setup TurboOptions®
Data Selection Underlier / Root: Number of Months: Suppress Non-Trading Options Upper Case Display Warrants K Weekly and Quarterly Contracts [Equities Only]	Option Exchange Filtering OK Include Only Options From These Exchanges Exclude Options From These Exchanges Exchanges (Comma Delimited):
✓ Straight Options Mini Options Multi Exchange →Display Options Available Columns: Selected Columns: Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Agg Bid Size Ask Ask E Basis Value Sid Size Bid Size Agg Ask Size Ask Bid Size Agg Ask Size Close Ask Bid/Ask Close Ask Last Dpen Interest Dav Volume Cheap/Exp Vol Up D	Strikes to Show: ATM (+/-) V Column Layout Style: Left to Right V Background Style: Price Tiers V
	Max Background Theoretical Calculations/Second: 10 ✓ Calculate Theo Values in Real Time for Visible Rows Global Settings (Apply to all Options Windows) Click AggSize to Set Volume in Order/View Click Rgnl View's Bid/Ask Size to Set Qty in Order Form Double-Click: None ✓ D:\EzePersonal\guest17\



Note: When the Straight Options checkbox is selected, the Adjusted Options checkbox is automatically selected as well.

3. Configure the other settings as necessary and click **OK**.

To create a Multi-Leg TurboOptions window:



- 1. Open the Setup TurboOptions[®] window.
- 2. In the **Underlier/Root** field, enter the option root or underlier symbol you would like to use and select the **Multi Exchange Options** checkbox.
- 3. Select the Straight Options or Mini Options checkbox to determine the option type.
- 4. Click OK

To add views to your TurboOptions window:

- 1. Right-click your TurboOptions window and choose Show Windows....
- 2. Select the window you would like to add from the sub-menu.

To enter an order from your TurboOptions window:

- 1. Open the Order Entry Form by:
 - Right-click your TurboOptions window and select **Order View** from the **Show Windows...** menu.
 - Select **Order View** from the **TurboOptions®** menu.
 - Press **F7** on your keyboard.
- 2. Enter the necessary information.
- 3. Click **Buy** or **Sell** to execute the order.

Using Filter View

Filter view is automatically enabled when you create a TurboOptions window. You can choose to show or hide the Filter View by selecting or deselecting it in the Show Windows... menu or by pressing F10 on your keyboard.

The following filters are available:

P	Months: 4 🗘 St	rikes: ATM(+/-) 🗸 3	Apply
	Clear Filter Oct 09v	Oct '20 Oct 23v	Oct 30w Nov 0
	Nov 13w Nov '20	Dec '20 Jan '21	More>>

- Months The number of months to be displayed. This also applies to weekly options.
- Strikes Displays a range of options around an "at the money" strike price, a set of options whose strike price is within a specified range, a single strike price, or all available options for a given number of months.
- Options Expiry Buttons Displays a particular expiration date. Multiple expiration dates can be chosen by selecting one Expiry Button and then holding the Ctrl key while you make the other selections.

Click the **More>>** button to select additional filters, such as a specific options style and additional expiration dates.



MultiQuote

The MultiQuote window is a versatile quote window that displays Level 1 symbol data and account information by default. It is used for a single instrument or a single trading account.

Different layouts for the MultiQuote window offer a wide range of information, including fundamental data, price data, and account (margin) information. In addition, you can customize and add fields to the MultiQuote window, as well as embed it in most Eze EMS windows (e.g., MarketMaker or TabView).

IBM			+.21			High	174.76	
/olume	1,298,410	Bid	174.51	Ask	174.54	Low	173.55	
INTERN/	ATIONAL BUS	INESS M	ACHS			VWAP	174.31	
os Long	0 Av	g Prc Lor	ig 0.00	Pos	Short 0	Avg Prc Short	0	
MultiBro	oker-Neutra			-				

Creating a MultiQuote Window

To create a MultiQuote window:

1. Click **MultiQuote** on the **Design** menu. The MultiQuote Setup window appears, as shown below.

	MultiQuote Setup	×
Symbols Standard	General	<u>0</u> K
Chain Symbol	Layout: Browse Save Default Font with Layout Show Scroll Bars Accept Symbol on Focus Change	<u>C</u> ancel <u>H</u> elp
	Begional Exch: All Select Price Server: Default (@recombiner) Max Symbols: 1 Image: Upper Case Only Def. Currency: U.S. Dollar Image: Case Only	
	Option/Underlier linking Link Second Symbol to Primary Symbol's Underlier Conservation Mode Enabled Settings Threshold = 200 Rate = 8 upd/sec	

2. Customize the settings as desired and click **OK**.

To edit the MultiQuote window:



You can use Edit Mode to customize your MultiQuote window. Access Edit Mode in one of the following ways:

- Right-click your MultiQuote window and select Edit Mode.
- On the top ribbon, click the **MultiQuote** menu and select **Edit Mode**.
- Press **F5** on your keyboard.

When in Edit Mode, your MultiQuote window appears as shown below:

Image: MultiQuote < TAL;TEST;EZESOFT;TECHCOM - TRADE>	
GOOG Chg Lash/p High/p	
Volunin/p Bid n/p Askin/p Lown/p ALPHABET INC CAP VW/n/p	
Pos 0 Avg Prc 0.00 Pos 0 Avg Prc 0	
Account	

In Edit Mode, you can:

- Click and drag each field to change its position in the window.
- Double-click a field to change its properties.
- Right-click the MultiQuote window, select **Edit Actions...**, and select an editing option from the menu (e.g., **Insert Data Field**, **Insert Text**, **Insert Candlestick**).

When you are done, exit Edit Mode by repeating any of the steps used to access it.



Basket Orders

A basket order is a group of securities brought together with the intention of being bought or sold all at once. You can use the Eze EMS List Trader to create Basket Orders.



Note: For more information on creating and using the Eze EMS List Trader, refer to the List Trader section of this guide.

Creating Basket Orders

To create a basket order:

- 1. Import staged orders to your List Trader blotter using the List Creation Manager.
- 2. On your List Trader blotter, select the orders you would like to include in your basket and click **Order Settings...**. The Edit List Trading Parameters window appears, as shown below.

		Edit List Trading	Parameters	×
<u>Q</u> uantity	% of Target	✓ 100		Set Values
<u>R</u> oute		~	✓ Popup strategy	Cancel
Price Type	LMT	~		Help
Limit Price		.00. ✓	<u>▲</u> %	
Discretion Offset		▲ C		
Peg Offset		~	÷ C	
Duration		÷ minutes		
More				Execute Now
More				Execute Now

3. Customize the settings as necessary. Click **Set Values** to save the settings and return to the List Trader blotter or click **Execute Now** to send the Basket Order to the market.

To save a basket order:

- 1. Click Save Basket on the List Trader menu.
- 2. Type the name of the basket in the **File** name field.
- 3. Click Save.

To load a basket:

- 1. Click Load Basket on the List Trader menu.
- 2. Click or type the name of the basket in the **File** name field.
- 3. Click **Open**.

To execute a basket:



- 1. Type the name of the basket in the **Basket Tag** field.
- 2. To buy/sell the specified quantity of baskets based purely on the weights, click the **Delta** option button.
- 3. Type or select a multiple of the weight or, to use your current position to determine how much to buy/sell, click the **Target** option button.



Note: The Target model targets the number of shares you wish to own of a specific stock. It looks at your current position of the number of shares you already own, and then buys/sells accordingly.

For example, your weight is 100 for MSFT, and you currently have 150 shares of MSFT. If you choose a Target of 1, the system will sell 50 shares to equal the 100-share weight for MSFT.

- 4. The **Delta** model is a multiplier of the weight. It purchases or sells based on the weight of a symbol, regardless of your current position.
- 5. Type or select the number of baskets you wish to own.
- 6. Click **Recalculate** and then click **Execute Basket**.



Configuration Files

Configuration files allow you to customize certain behaviors within your Eze EMS. They are created in the **Configuration Files** tab of the Order Entry Properties window (**Trading** > **Order Entry Properties** > **Configuration Files**), shown below.

Order Entry Properties								
Auto Hedger	Configuration Files (Requires Restart)							
Broker Defaults	Broker Codes	parm\BrokerCodes.ini						
Configuration Files	Client Account	pam\clientaccount.ini						
Event Sounds	Custodian Information	pam\custodianvalues.ini						
Miscellaneous	Customer Information	pam\customercodes.ini						
Order Actions Manager	Portfolio Information	trading\portfolio.ini						
Order Alerts	Portfolio Strategy Mapping	trading\PortfolioStrategyMapping.ini						
Order Colors Order Entry Default Rules	Reason Codes	pam\ReasonCodes.ini						
Order Form Settings	User Message	pam\usermessages.txt						
OMS Settings	User Strategy Values	parm\UserStrategyValues.ini						

Creating Configuration Files

To create a configuration file:

- 1. Write and save a .ini file to the **Trading** folder with the appropriate configuration information.
- 2. In the **Configuration Files** tab of the Order Entry Properties window, click the three dots next to the appropriate field name (e.g., **Broker Codes**, **Client Account**, **Portfolio Strategy Mapping**).
- 3. Select your .ini file from the Configuration Files window and click **Open**.



Note: Contact your SS&C Eze client service representative for more information regarding your Eze EMS .ini configuration files



Hot Buttons

In Eze EMS, you can configure your MarketMaker, Market Minder, and TurboOptions windows with a toolbar of hot buttons that coordinate to your existing order entry actions. When this toolbar is created, you can click a hot button and Eze EMS performs the specified action.

				_		_		_						
Join bid In	11	In 5	In 10		Chg		CXL		Out 1	Out 5	Out 10	Join ask	CxI ALL	
				_										

Adding Hot Buttons

Before you can add hot buttons to your Eze EMS, you must create a toolbar for the buttons to be accessible from.

To create a toolbar:

- 1. Open the Toolbar Configuration window by doing one of the following:
 - Right-click your MarketMaker, Market Minder, or TurboOptions window, select Show Toolbars, select New Toolbar..., and then select either a Dynamic Toolbar... or a Standard Toolbar....
 - Click the MarketMaker, Market Minder, or TurboOptions[®] menu, select Show Toolbars..., select New Toolbar..., and then select either a Dynamic Toolbar... or a Standard Toolbar....

	Toolbar Configuration	×
Toolbar <u>N</u> ame:		ОК
Available Actions	Selected Actions	Cancel
Bump order price (offset) - 01 Bump order price (offset) - 05 Bump order price (offset) - 10 Bump order price (offset) + .0 Bump order price (offset) + .1 Bump order price (offset) + .1 Bump order price (offset) + 11 Bump order price (offset) + 10 Bump order price (offset) + 51		Help
Rumn order nrice (offset) -1 ti		
Action <u>M</u> anager	↑ Move Up	
Individual Button Properties	Set Color Color	
Toolbar Properties		
Preferred Location:	Button <u>H</u> eight: Button <u>W</u> idth:	
Bottom V	20 🔹 70 🔹	
Eont:	Font Style: Size:	
Arial 🗸	Regular V 10 V	
Set Background Color Preview	Color	



Note: You can return to the Toolbar Configuration window at any time by right-clicking on your toolbar and selecting **Configure Toolbar...**.



- 2. In the **Toolbar Name** field, enter a unique name for your toolbar.
- If you already have hot buttons configured, they appear in the Available Actions pane. Select the hot buttons you would like to add to your toolbar and click Add to move them to the Selected Actions pane. Use the Move Up and Move Down buttons to change the order of buttons in the Selected Actions pane.
- 4. Customize the additional settings as necessary and click **OK**. Your new toolbar now appears on your window (i.e., MarketMaker, Market Minder, or TurboOptions).

To create an order action hot button:

- 1. Right-click your MarketMaker, Market Minder, or TurboOptions window. Select **Show Toolbars** and choose an existing toolbar or select **New Toolbar...**
- 2. Right-click the toolbar and select **Inset New Button...** or **Add New Button...**, and then select **Order Action**. The New/Edit Action window appears, as shown below.

		New/Edit #	Action	
Description Auto				
	V Selected Symbol Selected Account	Short Create New Ord		Side Bid Offer Both/Either
Options Route Price Type Price Referent		Bracket Strategy Open/Close Use Cash Acco	Auto 🗸	Deferred Hidden Enable opp. Side
	Price To Avg Price	Short Locate ID		Conditional
Account	All Firms V	Select Account -		✓
Preference		Strategy 1	V OMS Trader	×
Booking Type	CFD 🗸	Ext. Customer	✓ Strategy 2	×
Portfolio	Y			
Trade Size Pa Quantity Percent of Tic Notional Bump Quantity Round Positio	xket	↓ ↓ % Target USD ↓	 Price Adjustment Bump Price: .01	Peg Limit ♥ Offset ♥ Relative Better ♥ Top ♥ Worse
Clone as Perc Use Net Posit Percent ol Pair Catch Up	ion	* * % * * *	_	OK Cancel
Volume Type	Partial 🗸 📃 🤅	Show Size 0	A V	<u>H</u> elp

3. Configure the settings as necessary and click **OK**.



Note: You can customize the name of the hot button. To customize the name, clear the **Auto** check box in the **Description** pane and enter your desired name.



- 4. In the New Action Filename window, specify a unique file name.
- 5. Click **OK**. Your new hot button now appears on your toolbar.

To create a list trading order action hot button:

- Right-click your MarketMaker, Market Minder, or TurboOptions window or select the MarketMaker, Market Minder, or TurboOptions[®] menu from the top ribbon. Select Show Toolbars and choose an existing toolbar or select New Toolbar....
- 2. Right-click the toolbar, select **Inset New Button...** or **Add New Button...**, and then select **List Trading Order Action**. The Edit List Trading Action window appears, as shown below.

	Edit List Trading Action	×
<u>N</u> ame	Auto	OK
Affects	Selected V	Cancel
E <u>x</u> ecute	Cancel existing child orders	<u>H</u> elp
Child Firm	All Firms V	
Child Account	¥	
<u>Q</u> uantity	✓ Popup quantity	
<u>R</u> oute	✓ ✓ … Popyp strategy	
Price Type	~	
Limit Price	v *	
Discretion Offset	÷ C	
Peg Offset	✓	
Duration	★ minutes	
Time in Force	✓ 11/23/2020	
Show Size	*	
<u>V</u> olume Type	Partial 🗸	
<u>N</u> otes		
Locate ID	Inherit From Parent	
Portfolio	×	
	ce	
Inherit From F	Parent or	
Capacity		
Inherit From F		
<u>C</u> ustodian	✓	
CSA Mgr.	v	

3. Configure the settings as necessary and click **OK**.



Canceling Orders

You can cancel orders in Eze EMS before they have been filled. This includes the remainder of an order that has not been filled, or the entire order if it has not been filled.

There are a variety of ways to cancel orders within Eze EMS. However, the following outlines the most common order cancelation workflow.

To cancel an order:

- 1. In your Order Blotter, select the order you would like to cancel.
- 2. Right-click the order and select **Cancel Order**.



Advanced Order Types

Order types determine the prices and conditions under which an order is filled. Some of the more common order types previously covered in this guide include Basket, Bracket and Order Cancel Orders.

Other order types available in Eze EMS include:

BBO (Best Bid Offer)	Similar to a market order, this order type sets the limit price at whatever the other side of the market is currently at.				
Conditional Order	Allows you to specify conditions which signal for an order to be made. Condi- tional orders are held on your computer while waiting for an execution price instead of being sent to the market immediately.				
Note: You must be signed into Eze EMS for a conditional order to be executed.					
Discretionary Order	Gives the broker the authority to determine how to break up an order between the price to execute at and the order volume to place.				
MID	Allows you to set a limit order with a price at the midpoint of a security's cur- rent spread.				
Pegged Order	Allows you to set a limit for the worst price you are willing to accept between the bid and the ask. From here, you are given a BBO order that moves with the side of the market you are on (i.e., bid if buy; ask if sell). If the BBO order is not taken before the limit price is reached, the limit order is executed and closes out the pegged order.				
Reserve Order	Allows you to buy or sell a security in increments so that the whole amount traded is not exposed to the market. This is like a staged order, except the ticket is given to a single broker instead of being split between multiple brokers, as with a staged order.				
In addition, the following order types are only available when trading through the ARCA exchange:					

Preference OrderAllows you to choose a specific market maker to fill your order.			
PostNoPref	The order is traded on ARCA's book without routing.		
Trailing Stop Order	This is a type of stop order set at a defined percentage or offset away from a security's current market price. If the value of the security to the investor drops by that percentage on the day, a trade is executed to close out that position.		



Routing Orders

There are several different ways to route your orders through Eze EMS. This section explains the following route types:

- Algorithmic-Based Order Routing
- Routing to External Crossing Networks
- Broker Algo Wheels
- RBOR (Rules Based Order Routing)

Algorithmic-Based Order Routing

You can create algorithms to be executed in Eze EMS using the Eze EMS API and Eze EMS for Excel. Configure and save an algorithm in the Eze EMS API or Eze EMS for Excel and select it from the Strategy drop-down list on the Order Entry Form when executing trades.

When an algorithm is executed, it checks its configured parameters against Eze EMS's market data. When the variables of a trade fit the algorithm's criteria, Eze EMS or its API executes the trades as directed by the algorithm.

Eze EMS also supports trading through a wide variety of brokers' algorithmic trading engines. To support this functionality, your system can be configured with different broker algo routes that execute broker designed algorithms on the market when selected.

When you send an order over a broker algo route, a pop-up window appears in Eze EMS associated with that specific route. Use this window to set the parameters for the algorithm and specify how you want the algorithm to operate on the market conditions it encounters.



Note: Contact your SS&C Eze client service representative to enable this functionality.

Routing to External Crossing Networks

Eze EMS can be configured so that orders staged in Eze EMS are automatically sent to selected external crossing networks for execution as Day (conditional) orders while remaining live and available for commitment to other brokers on the Eze EMS blotter.

The external crossing networks currently available for integration with Eze EMS are:

- BIDS
- BlockCross
- LiquidNet
- Luminex
- POSIT



If you route a portion of a staged order to a broker, Eze EMS automatically sends an update to the corresponding external cross network to decrease the quantity of the Day order by the amount that you route to the broker.



Note: If your system is configured with both Eze OMS and Eze EMS, you can stage orders from Eze OMS to Eze EMS that are sent to external crossing networks.

In addition, if your system is configured to use Eze Compliance, the system does not re-run compliance checks for child orders you firm up with an external cross network.



Note: All external cross networks accept both Market and Limit orders with a Side of Buy, Sell, or Sell Short.

Eze EMS automatically sends GTC orders marked as cross eligible to the selected external cross network(s) on a recurring basis (as Day orders).

Using External Crossing Networks

Configuring a Default External Crossing Network

To configure a default external crossing network:

- 1. Navigate to **Trading > Order Entry Properties** and select the **Miscellaneous** tab.
- 2. Select the external cross network(s) you would like to use from the Default External Cross Net-



works pane and set the Max Shares Limit, as shown below.

~
Tracing Options Lookup Order Trade Sizes Bucket
Accounts
Display Account Name in Window Titles: Full - Short
Shutdown Warning Warn if There are Unallocated Trades
Warn if There are Outstanding Orders
Only Show Trades Placed by this User (Requires Restart) Auto-Select Single Available Ticket for Ticket Orders
Inform Me if Parent Orders' Price and Price Type Are Not Updated
Allow Multiple Child Orders to Increase Parent Volume Use Trade Price for P&L and Market Value (Requires Restart)
Mark Staged Orders as owned by me if 'Claim Required' is not selected On Double-Click, Send Staged Order data to 3rd Party App
Use Consolidated Data for Charts and Analysis (Requires Restart)
Use Target Quantity in Calculation for Completion Percent (Requires Restart) Show "View Order" Dialog as Modeless (Requires Restart)
Show Staged Order Dialog as Modeless
-Quick Order Entry
Popup O Embedded Default Order Entry Popup Form Full
Floating
Use Popup Order Location
Use One Global Location
O Use Per Window Location
VWAP Order Options Compute VWAP from Consolidated VAB symbol when possible
Continue VWAP updates after order completion and until Market close
Populate VWAP and VWAP Volume in Non-staged Orders (Requires Restart)
-Default External Cross Networks
BIDS LiquidNet
Luminex POSIT

3. Click **OK**. When you have external crossing networks selected, the corresponding checkboxes appear and are automatically selected in the **External Cross Networks** field of your Submit Staged



Order form, as shown below.

Submit Staged Order	×
Stage into Account: NEUTRAL ✓ Staged Order Parameters Symbol Buy C CITIGROUP INC COM NEW Quantity Notional Buy to Cover 100,000 ♀ 5,633,000 ♀ USD Set Price Type Expiration Route	Place Ordet Close
Sell 56.33 MKT Day NONE Stop Price Reason Code Order Tag Sell Short 56.33 Image: Constraint of the structure o	
Settlement: Regular V 11/25/2020 Settlement CCY: V Contact Trailer 2 Delivery Instr User Strategy Customer Information: Reload Customer: <select customer=""> V Type: Capacity: Agency V Large Trader ID: Desk: Solicited Firm Designated ID:</select>	More >>

The external crossing networks are also available via the **Ext. Cross** drop-down list in the List Creation Manager, as shown below.

der(s) Tag	<timestamp></timestamp>	~ L	Uppercase	Claim Require	ed Prefere	nces	apacity	\sim	Ext. Cross	 ✓ 	Seeding Account:	TRADE		~	OK
Side	Quantity	Notional Amt	Symbol	Price Type	Limit Prc	Open/Close	Route	Notes	Portfolio	OMS Manager	OMS Trader	Strategy 1	Strategy 2	Be	Cance
															Help
															Delet
															Delete
															Load Lis
															Save Lis
															Load Pos

In addition, you can select external cross networks after an order has been staged by right-clicking on the order and selecting **Select External Cross Networks...** In the Select External Cross Networks window, you can select your **Crossing Networks** and specify the **Max Shares Limit** to be exposed.





Note: Max Shares Limit is the only editable field for a selected crossing network. Its value should be greater than or equal to Firm Shares.



Note: You can add the **Cross Max Vol** column to EMS blotters to view the maximum number of shares exposed to external cross networks for an order.

Sending from the Parent Level of a Pairs Order

If your system is integrated with an external cross network(s), you can send orders to an external crossing network(s) from the parent level of a pairs order.

To send an order from the parent level, right-click the pairs order and select **Select External Cross Networks...** from the shortcut menu.



Note: External crossing networks do not recognize pairs orders. When they receive pairs orders, they treat them as single-leg orders.

Sending Grouped Orders

You can group two or more staged orders and manually send the orders to external cross networks. Once the orders have been grouped, the staged orders are removed from the cross networks.

To manually send the grouped order to external crossing networks:

- 1. Right-click the grouped order and select **Select External Cross Networks...**. The Select External Cross Networks window appears.
- 2. Select the desired external cross network(s) and click **OK**. The external cross networks are updated for the grouped order.

Confirming (Firming Up Child Order Executions in External Crossing Networks)

BIDS

If BIDS identifies liquidity for a live order, you need to cancel the existing order manually in Eze EMS before you can receive the available amount from BIDS. Once the order is canceled, and you firm up in the BIDS interface, BIDS sends a placement request to Eze EMS. If the placement request is accepted, a child order is automatically created in Eze EMS.

When the child order is executed, information for the executed order is automatically updated in Eze EMS.

BlockCross

BlockCross matches orders on a price, auto execution quantity, top quantity, and time priority. If liquidity is identified for a live order, BlockCross sends a placement request to Eze EMS, and you firm up the order



in Eze EMS. If the placement request is accepted in Eze EMS, a child order is automatically created.

When the child order is executed, information for the executed order is automatically updated in Eze EMS.

LiquidNet

When a potential block of fills is identified as available in LiquidNet, a negotiation window appears in you LiquidNet application.

You may pull back an untraded quantity of the order from exposure on the Eze EMS blotter and negotiate with LiquidNet. Once the negotiation is complete, a FIX message is sent from LiquidNet to Eze EMS to indicate the staged order has been filled.

Luminex

Luminex matches orders on a price, auto execution quantity, top quantity, and time priority. If liquidity is identified for a live order, Luminex sends a placement request to Eze EMS, and you firm up the order in Eze EMS. If the placement request is accepted in Eze EMS, a child order is automatically created.

When the child order is executed, information for the executed order is automatically updated in Eze EMS.

In addition, your system can be configured so that orders routed to Luminex are automatically re-routed if the uncommitted order quantity is updated to exceed 5,000.



Note: This functionality can be disabled by deselecting **Luminex** from the Select External Cross Networks window (right-click order(s) > **Select External Cross Networks...**).

POSIT

If a potential block of liquidity is available in POSIT, a POSIT negotiation window appears in the ITG interface. Once you firm up in the POSIT interface, POSIT sends a placement request to Eze EMS. If Eze EMS accepts the placement request, a child order is automatically created.

When the child order is executed, information for the executed order is automatically updated in Eze EMS.

If potential liquidity is identified by POSIT for committed unfilled orders, POSIT sends a non-actionable alert via the ITG POSIT Alert system. EMS users can then manually select the order quantity to send to POSIT for crossing.

If you want to cross a committed unfilled order quantity via POSIT, you need to cancel the committed quantity of the corresponding order in the EMS to allow the quantity to become eligible to cross in the POSIT interface.

You cannot cancel reserve orders from Eze EMS. If you want to cancel an order that has been firmed up with POSIT, you must cancel the order from the ITG interface.



Furthermore, your user ID (claimed by ID) is checked to determine if you are logged into the POSIT console. If you are logged into the POSIT console and you claim the order and send it from Eze EMS to POSIT, the order is successfully transmitted to the POSIT blotter.

If you are not logged into the POSIT console, and you attempt to claim the order, the order is removed from POSIT and you no longer see POSIT in the **External Crossing Networks** column.



Broker Algo Wheel

The Broker Algo Wheel feature gives you the ability to execute orders to a pre-defined list of broker routes, allowing you to remain focused on trading decisions such as strategy selection and core inputs, rather than on broker selection. Algo wheels also help to ensure your orders are routed in an impartial manner, reducing broker-selection bias.

Creating a Broker Algo Wheel

Algo wheels are created using broker algo routes and saved strategies. When creating an algo wheel, you assign a percentage weighting to each route. You can choose whether you want the algo wheel to execute in the order you have configured in your broker list or in a randomized fashion.

To add a Broker Algo Wheel, use the **Virtual Routes** tab of the Order Entry Properties (OEP) window (**Trading > Order Entry Properties > Virtual Routes**).



Note: Before you can add or configure a Broker Algo Wheel, you must have Virtual Routes permissioned for your system. For additional assistance, contact your SS&C Eze client service representative.

To add a broker algo wheel:

	0	rder Entry Properties		×
Auto Hedger Broker Defaults Configuration Files	Round Lot: St Virtual Routes:	ocks Only 🗸		Add
Event Sounds Miscellaneous Order Actions Manager				Edit Clone Delete
Order Alerts Order Colors Order Entry Default Rules	SubRoute Configur	ation: Route	Strategy	Weight
Order Form Settings OMS Settings				
Pairs and Spreads Performance Options Price/Trade Size Warnings	Enable Liquid			
Spin Increments Accelerators Time Zone Toolbar Manager	Rebalance when	a remaining qty is more the val: 0 = seconds	nan 1 💭 % away f after first execution	rom target for any route
Virtual Routes Warnings/Confirmations				

1. Select the Virtual Routes tab and click Add, as shown below.



2. In the **New Virtual Route** window, enter the following information:

loute Name: NewVirtualRoute01	OK Cancel
Route Type:	Order Type:
Algo Wheel 🗸 🗸	Single-leg 🗸 🗸
Security Type:	Region:
<all> ¥</all>	<all> ¥</all>
% Weight Based On: Orders 🗸 🗸	Wheel Mode ? Rotation Probability-based
Availability - Only applies to When ALL subroutes of	o probability-based wheel mode

- Route Name A unique name to easily identify the algo wheel.
- **Route Type** This is a read-only field that is automatically populated with **Algo Wheel** to define the type of route.
- Security Type The selected security type(s) to be applied to the algo wheel. Default value is <ALL>.
- % Weight Based On Determines whether your wheel executes based on Orders or Quantity.
- Order Type Defines the type of order the algo wheel is applied to. Default value is Singleleg.
- **Region** Defines the region that the algo wheel is applied to. Default value is **<ALL>**.
- Wheel Mode Determines whether order execution is Probability-based or Rotation
- Availability When Probability-based is selected for Wheel Mode, youcan specify whether you would like your algo wheel to execute when any subroute supports the market (When ANY subroutes can trade symbol), or if all subroutes must support the market (When ALL subroutes can trade symbol).
- 3. Click **OK**.



Note: You can change these settings after creating your wheel by selecting the route name and clicking **Edit**.

Configuring a Broker Algo Wheel

To configure a broker algo wheel:



1. In the Virtual Routes field, select the algo wheel you want to configure. If no subroutes have been configured, the algo wheel name appears with a warning icon ($\overline{\mathbf{A}}$), as shown below.

	Or	der Entry Properties		
Auto Hedger	Round Lot: Sto	ocks Only 🗸		
Broker Defaults	Virtual Routes:		_	
Configuration Files	<u>A</u> ^ExampleA	lgoWheel (Algo Wheel)		Add
Event Sounds				Edit
Miscellaneous				Clone
Order Actions Manager				Delete
Order Alerts	SubRoute Configura		a .	
Order Colors	Account	Route	Strategy	Weight
Order Entry Default Rules				
Order Form Settings				
OMS Settings				
Pairs and Spreads				
Performance Options				
Price/Trade Size Warnings	Enable Liquidi			
Spin Increments Accelerators		remaining qty is more the		om target for any route
Time Zone	Rebalance Interv	al: 10 🜲 seconds a	fter first execution	
Toolbar Manager				
Virtual Routes				
Warnings/Confirmations				

- 2. In the **SubRoute Configuration**field, shown above, add the following information:
 - Account The name of the broker route.
 - **Route** Select name of the broker route.
 - Strategy A saved strategy to be used with the route.
 - Weight The percentage weight you want to assign to each route.



Note: The total percentage of all routes configured for a Broker Algo Wheel must equal 100%.

The Order Entry Properties window must be filled in completely before closing. A flag appears next to the route name if there is an error or missing information. The algo wheel is not saved when the window is closed without completing all fields.

Executing Orders using the Broker Algo Wheel

You can execute orders from your MarketMaker window using an algo wheel. Select **Virtual** in the **Route** drop-down list and select the name of the algo wheel to which you want to route the order from the **Strategy** drop-down list, as shown below.



aged bi	otter Pairs B	Blotter All Orders	TurboOptions	+											
elect Al	Status: Sta	aged \lor	Side: All	~ New	Order Settings.	Execut	te! Cxl Open Orders 🔽 Tag:	TimeStamp> B	enchmark: Arrival Price 🗸	Options	Chart				
Flag	Status	Symbol	Avg Price	Side	Child Ready	Qty	Notional Price Type	Expiration	20-day ADV	Vol Traded	LMT Price	Free QTY	Avg Price	Benchmark	VWAP vo
ĸ	Staged	VOD.LSE	0.00	Buy	N	10,000	1,260,000.00 Market	Day	0.02			10,000		125.32	60,34
-	Staged	BMW.ETR	0.00	Buy	N	3,000	145,770.00 Limit	Day	0.15		48.590	3,000		76.68	1,84
	Staged	MSFT	0.00	Sell	N	1,500	260,175.00 Limit	Day	0.00		173.45	1,500		213.86	25,26
	Staged	GE	0.00	Buy	N	3,000	19,260.00 Limit	Day	0.00	2,100	6.42	900	6.42	10.45	141,78
	Staged	AAPL	0.00	Buy		10,000	1,151,700.00 Market	Day	0.01			10,000		115.17	102,66
	Staged	JPM	0.00	Buy		20,000	1,818,800.00 Limit	Day	0.12		90.94	20,000		123.32	12,41
	Staged	VOD.LSE	0.00	Buy	N	10,000	1,260,000.00 Market	Day	0.02			10,000		125.32	60,34
100	otagea														
	Staged	BMW.ETR	0.00	Buy	N	3,000	145,770.00 Limit	Day	0.15		48.590	3,000		76.68	1,84
itus		BMW.ETR		Buy	N Volume Exec	3,000 Qty SubRo	145,770.00 Limit oute Virtual Route		0.15		48.590			76.68	1,84
otus	Staged	BMW.ETR Side I	Price Type L	Buy	N Volume Exec	3,000 Qty SubRo	145,770.00 Limit Dute Virtual Route Options	Day	0.15		48.590			76.68	1,84
atus	Staged Symbol	BMW.ETR Side I	Price Type L	Buy imit Price	N Volume Exec Expiration Day	3,000 Qty SubRo Acct Type	145,770.00 Limit	Day Name Strat	0.15		48.590			76.68	1,84
bol 1	Staged Symbol Price	BMW.ETR Side I	Price Type L	Buy imit Price	Volume Exec	3,000 Coty SubRo Acct Type Margin ~	145,770.00 Limit Dute Virtual Route Cotions Short Locale Exempt algo(offer	Day Name Strat	0.15 ægy Name		48.590			76.68	1,84
atus	Staged Symbol Price 90.94	BMWJETR Side I JPMORGAI 4 🔃 LMT	Price Type L	Buy imit Price	Volume Exec	3,000 Coty SubRo Acct Type Margin ~	145,770.00 Limit Uirtual Route Virtual Route Splons Short Locate Exempt Bd/Offer Perf. 95	Day Name Strat	0.15 ægy Name		48.590			76.68	1,84

You can also configure a hot button for each Broker Algo Wheel to quickly execute single or multiple orders at the same time from your List Trader and MarketMaker windows. To execute an order using a hot button, highlight one or more orders in the MarketMaker window and then click the algo wheel hot button to route the order.

For information on configuring hot buttons, refer to the <u>Hot Buttons</u> section of this guide.



RBOR (Rules Based Order Routing)

Rules Based Order Routing (RBOR) allows orders that are either staged into Eze EMS via FIX or API to be automatically routed to any available destination based on the parameters of the inbound order. RBOR can be used by any buy-side or sell-side firm looking to automate a portion of the order workflow to free up trading desk resources and concentrate on high-touch orders.

In addition, RBOR provides the ability to:

- Create connections to multiple brokers involving multiple strategies.
- Route orders based off any field included in the order and nest rules (i.e., route-off multiple fields).
- Cancel orders automatically based on the criteria for one route.
- Cancel child orders sent to one destination and reroute the orders to another destination based on time of day.
- Create a rule that automatically routes rejected orders to the trading desk as staged orders to be worked on by traders instead of back to the client.



Note: Contact your SS&C Eze client service representative to configure RBOR rules in Eze EMS.

RBOR Rules

You can create RBOR rules to route based on:

- Matching a specific field value
- Matching using traditional logic operators (i.e., <, >, NOT, AND, OR)
- The presence of a field
- A percent of average daily volume
- A percent away from market
- Notional value

The following are some common RBOR rules:

- Routing by Time Submitted For example, if the order is placed between the hours of 9:30am and 4:30pm EST, send the order to Route A. If the order is placed before or after those times, send the order to Route B.
- Routing by Time in Force (TIF) For example, if the order is GTD, MOO, or MOC, send it to Route A. All other TIFs are sent to Route B.
- **Routing by Volume** For example, if the order is greater than 100,000 shares, leave as a staged order in the Neutral Account. Anything under 100,000 shares is routed to a destination.
- **Cancel and Resubmit Logic** For example, if an order is placed out to Route A, but is not fully filled by 4:00pm EST, then the order is canceled and sent to Route B.
- **Broker Rejects** For example, if a broker rejects an auto-routed order, then the parent order remains in a staged order state. The rejected order is not sent back to the client.



- User Message Instructions to traders to handle the orders in a certain way (e.g., trade APAC orders as a VWAP for 2 hours).
- % ADV Instructions to trade when the % ADV reaches or goes above a certain point.

RBOR with Algorithms

Within Eze EMS, you can configure RBOR rules to automatically route your orders to a broker algorithm. Once an RBOR rule has been created with algo parameters and is in production, it behaves like any other RBOR rule and automatically routes the order to the defined destination if the rule's conditions are met.



Note: Contact your SS&C Eze client service representative to enable this functionality.



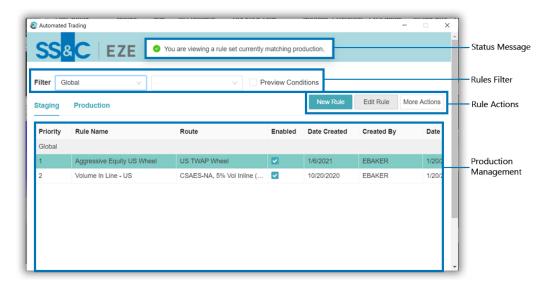
Automated Trading

Eze EMS Automated Trading gives you the ability to create and manage the automated trading rules in Eze EMS. This allows you to automate straightforward, highly liquid orders, focus on high-touch trades, and more quickly respond to strategy changes and market conditions.

You can use the Automated Trading Rules Manager (**Trading > Automated Trading...**), central screen to add, edit, activate, and deactivate trading rules.

Automated Trading Rules Manager

The Automated Trading Rules Manager screen has multiple sections, as shown below:



Status Message

The status message is to inform you if the rules currently viewed in staging match with the ones in production. The following message is displayed at the top of window depending on the state of your rules:

- You are viewing a rule set currently matching production
- You are viewing a rule set currently not matching production

Rules Filter

The rules filter grid helps you to find automated trading rules by filtering Rules Manager window. This section also contains the **Preview Conditions** checkbox, allowing you to view the conditions of a selected rule without opening the rule in **Edit Rule**.

Rule Actions

The rule actions grid allows you to create new rules, and edit or take other actions on existing rules. The following options are available:



- New Rule Allows you to create a new automated trading rule. Refer to <u>Adding a New Rule</u> section for more information.
- Edit Rule Allows you to edit rule currently selected in the grid.
- More Actions Allows you to perform one of the following additional actions:
 - **Clone** Allows you to duplicate the selected rule. A New Rule window is displayed with all the information cloned, only the Name field is blank.
 - **Delete** Click to delete the selected rule.
 - **Reset** Allows you to change staging to match current production rule set. This affects all rules in Staging.

The following options are available when you view rules in Production:

• Pause All Rules – Eze EMS stops using all automated trade rules in production. This button changes to Resume Rules while rules are paused. Click Resume Rules to restart the use of enabled automated trading rules in production.



Note: Any orders that have been automatically routed prior to using the **Pause All Rules** button continue to fill as pausing rule evaluation only affects new orders.

Production Management

The production management section of the window allows you to view created rules, and decide which rules to be used in production.

The rules grid displays the following information on each of the rules, and allows you to switch between the Staging and Production rules at the top of the grid. For more information on Staging vs. Production, see Managing Staging and Production Rules.

The grid displays the following information:

- **Priority** Indicates the order in which a rule is evaluated for use. Priority can be changed by clicking and dragging a rule.
- Rule Name Name of the rule as specified during the new rule creation process.
- Route Route used when the rule is active.
- Saved Strategy Strategy used if an algo route is selected in Route.
- Enabled Used to select rule(s) to be used in production. When viewing the Production rules grid this is a read-only field.
- Date Created Date the rule was created. Displays in MM/DD/YYYY format.
- Created By The username of the rule's creator.

Additionally, the grid is organized by the rule's account. Rules applicable to all accounts are listed under **Global**.

When the user views rules in **Staging**, the following buttons are available below the grid:



- Send to Production When clicked, the rules are moved to production.
- Save Saves the current rules' configuration (e.g., rules added to staging, priorities of existing rules changed), but does not enable or change the current production rules.
- **Discard Changes** Reverts the Staging rules state to the most recent **Save** or **Send to Production** configuration.

When the user views rules in Production, this area is blank.

Adding a New Rule

Eze EMS Automated Trading requires at least one created rule.

To add a new automated trading rule:

- 1. Open the Automated Trading Rules Manager (Trading > Automated Trading...).
- 2. Click **New Rule**. The New Rule window appears.

New Rule				×
Rule Summary				
* Rule Name				
Description				
* Account	<all> V</all>			
* Security Type	<all> ×</all>	* Region	$<$ ALL> \times	\vee
Rule Conditions				
Conditions :				
And Or				
Select f	ield ∨			
+ New Condit	ion			
Rule Action				
Route Type	Single Algo Wheel			
* Algo Wheel	V			
				Save Cancel

- 3. Enter the required information in the **Rule Summary** section:
 - Rule Name Required. A unique name to easily identify the rule.
 - **Description** Optional. Additional information helpful in identifying the rule or the rule's business purpose.
 - Account Required, default value of <ALL>. A specific account the rule applies to.
 - **Customer** Displays only for sell-side clients. When displayed, it is required, with a default value of **<ALL>**. A specific customer the rule applies to.



- Security Type Required, default value of <ALL>. One or more specific securities types the rule applies to.
- **Region** Required, default value of **<ALL>**. One or more specific regions the rule applies to.
- 4. In the **Rule Conditions** section, specify the conditions used to trigger the rule.
 - Use the **And/Or** selector to choose the condition type to specify.
 - When And is used, all specified conditions must be met for the rule to be triggered.
 - When **Or** is used, any single condition or group of conditions can trigger a rule.
 - A line item for the first condition already appears.
 - From the dropdown, select the field (e.g., **Symbol**, **Exchange**, **20-Day ADV**) for the rule to reference.
 - Select the operator (e.g., less than, less than or equal to, equals).
 - Enter or select the value for the operator to compare against.
 - To include additional conditions, click **New Condition** or **New Group**:
 - Use **New Condition** to add a condition of the same type (e.g., previous rule was **And** and the new rule is **And**).
 - Use New Group to add a condition of a different type (e.g., changing from an And rule to an Or rule). Each rule group is displayed within a box, with a New Condition button (i.e., add a condition within the group), New Group button (i.e., add a group within the selected group), and a delete group icon. Rule groups are displayed in the following format:

- To delete a condition or group you have created, click the delete icon (\Box).
- To re-order a rule or a rule group, click the list icon (≡) and drag the rule or rule group as required.
- 5. Enter the required information in the **Rule Action** section:
 - Sub Account Required. The Sub Account to use when the rule is triggered.
 - Route Required. The broker to route the order to when the rule is triggered.
 - **Strategy** Required when an algo route is specified in **Route**. A strategy to be used when the rule is triggered.



6. When the rule is configured, click **Save**. To discard your changes and return to the manager screen, click **Cancel**.

The rule is now added to the Staging rule list.

Managing Staging and Production Rules

Automated trading rules are managed between Staging and Production lists. This allows the user to update the rule set without impacting orders until you are ready for all enabled rules to be utilized. When a new rule is created, it is added to the Staging list, and is disabled by default.

To send rules to Production:

- 1. In the Automated Trading Rules Manager (**Trading** > **Automated Trading...**), view the staging grid and add or edit any rules as necessary.
- 2. Click and drag rules as needed to set the rule priority.
- 3. Click the **Enabled** check box for all rules you want Eze EMS to actively use.
- 4. To send the rules to production, and make any rules designated as **Enabled** active, click **Send to Production**.
 - If you want to retain your current rule configuration, but not make it active in production, click **Save**.



Note: Remember: Sending a rule to Production does not necessarily mean it is being evaluated by Eze EMS for automated trading. For a rule to be evaluated, the **Enabled** check box must be selected prior to clicking **Send to Production**.

The only action that can be directly taken on rules in Production, is to pause the rules from use by clicking the **Pause All Rules** button. Any other changes to Production rules must be done by first making adjustments in Staging, followed by sending the rules to Production.

Dedicated Automated Trading Blotter Configuration

A dedicated automated trading blotter can be created to more effectively display automated trading activity, allowing the user to quickly see Eze EMS Automated Trading orders at a glance.

To configure a dedicated automated trading blotter:

- 1. Create a Market Minder. Select ListTrader from the Minder Type dropdown.
- 2. Click **OK**. The blotter is created.
- 3. Open Order Filtering Setup (MarketMinder > Setup Filter)
- 4. Select Turn order filtering on.
- 5. From the Available Filters, select Auto Routed Order and click Add >. Then, select Curr Status and click Add >.
- 6. Select the Seperate Staged/Live Statuses check box.
- 7. Click **OK**.



The blotter is now configured to display only automated orders.

Additionally, a new field, **Automated Trading Rule Name**, has been added to Eze EMS. This field can be displayed as a column on the child order level, allowing the user to see the name of the automated trading rule executing the child order, as shown below.

count:	1900			✓ Order Status: A	11	Symbol	l Filter	Trader I	D Filter		Qt	y Filter:	•
Select A	II Status: All	\sim	Side: All	~ New	Order Settings	Execute!	xl Open Orders	✓ Tag: <timestar< th=""><th>mp> Benchm</th><th>ark: Last Price</th><th>V Options</th><th>Chart</th><th></th></timestar<>	mp> Benchm	ark: Last Price	V Options	Chart	
Flag !	Status	Symbol	Side	% Complete	Qty Price	Туре	Notional Ex	piration Exc	h Name	20-day ADV	LMT Price	Vol Traded	Claimed By
	Live	TSLA	Buy		1,000 Limit	7	29,220.00 Da	y NAS	6	0.00	729.22		AUTOTRAD
			Sell										
			Buy										
		Totals											
mbol			olume Limit	Price Exec Qty	Leaves AT Rule		SubRoute	Strategy					
ila	Pending Ck	Buy	1,000 7	29.22	1,000 Aggress	ive Equity US Wh	eel CSAES-US	BLAST					

For more information on supported functions, see Appendix A: Use Case for Automated Trading.

Appendix A: Use Case for Automated Trading

The following use case illustrates how the automated trading functionality can be used.

You want to create a rule that automatically:

- Routes to Credit Suisse using their VWAP strategy.
- Applies to all accounts, customers, and security types, but only to securities in North America.
- Applies if the notional amount is less than or equal to 500,000 USD, if the quantity less than or equal to 5000, and the 20 Day Average is less than or equal to 2% (as to ensure this automated action does not move the market).
- Uses your VWAP strategy already configured for North America.

To do this, you create an automated trade rule with the following parameters:

- Rule Name: CS_VWAP
- Description: Credit Suisse Automated VWAP for North America
- Account: <ALL>
- Customer: <ALL>
- Security Type: <ALL>
- Region: NAMR
- Rule Conditions:
 - | Notional | | is less than or equal to | 500000 | USD |
 - | QTY | | is less than or equal to | 5000 |



- 20-Day ADV | is less than or equal to | 2% |
- Sub Account: SUB.ACCOUNT
- Route: CSAES-NA
- Strategy: VWAP_US

With the rule added and saved, you drag the rule to be the first in priority and designate this rule as the only enabled rule. You then click **Send to Production**. Now you close the window and start trading. In the List Creation Manager, you load a list with the following data:

Symbol	Quantity	Limit Price	Side
AAPL	10,000		Buy
JPM	20,000	90.94	Buy
VOD.LSE	10,000		Buy
BMW.ETR	3,000	48.59	Buy
TSLA	1,000	729.22	Buy
AIQ	3,000	16.91	Buy
MSFT	1,500	173.45	Sell
GE	3,000	6.42	Buy

Of the items in list loaded into Eze EMS:

- AAPL and JPM exceed the quantity condition in the rule, and are excluded from automated trading.
- VOD.LSE and BMW.ETR are non-North American, and are excluded from automated trading based on the region condition.
- TSLA, at 1,000 for 729.22 USD has a notional amount of \$729,220, exceeding our notional condition in the rule, and is excluded from automated trading.
- AIQ is an illiquid stock, not meeting the 20-Day ADV condition in the rule, and is excluded from trading.
- MSFT and GE meet all conditions of the specified rule.

Once the trade goes live, you see **MSFT** and **GE** routed to Credit Suisse automatically per the rule's actions.