Genium INET®
TradeGuard User's Guide

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Introduction

Purpose

This guide explains how to use the Genium INET TradeGuard application to set limits on the risk exposure of order activity at an exchange.

Audience

This document is intended for Genium INET TradeGuard application users that need to configure and monitor risk exposure by participants at the exchange.

References

Please use the member extranet for additional information on the TradeGuard service including connectivity, contact information, service description, and so on.

The member extranet can be found at http://nordic.nasdaqomxtrader.com/memberextranet/genium_inet/

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Overview

The Genium INET TradeGuard system provides Sponsoring and Sponsored Participants the ability to control risk by:

- Control the risk exposure by setting exposure limits on groups of users belonging to a Participant (within the same firm or for another firm).
- Monitor the real-time risk exposure of each Pre-Trade Limit Group.
- Set limits on order rate.
- Set limits on max order size.
- Set limits on group exposure per Tradeable.
- Restrict individual groups to only trade in instruments with established limits.
- Generate email alerts when a Tradeable’s exposure crosses a notification threshold, or breaches set limits.
- Block the members of a group from trading past established limits.
- Manually block and unblock a Pre-Trade Limit Group so its users cannot enter new orders.
- Mass cancel all open orders for users connected to a Pre-Trade Limit Group.

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Getting Started

System Requirements

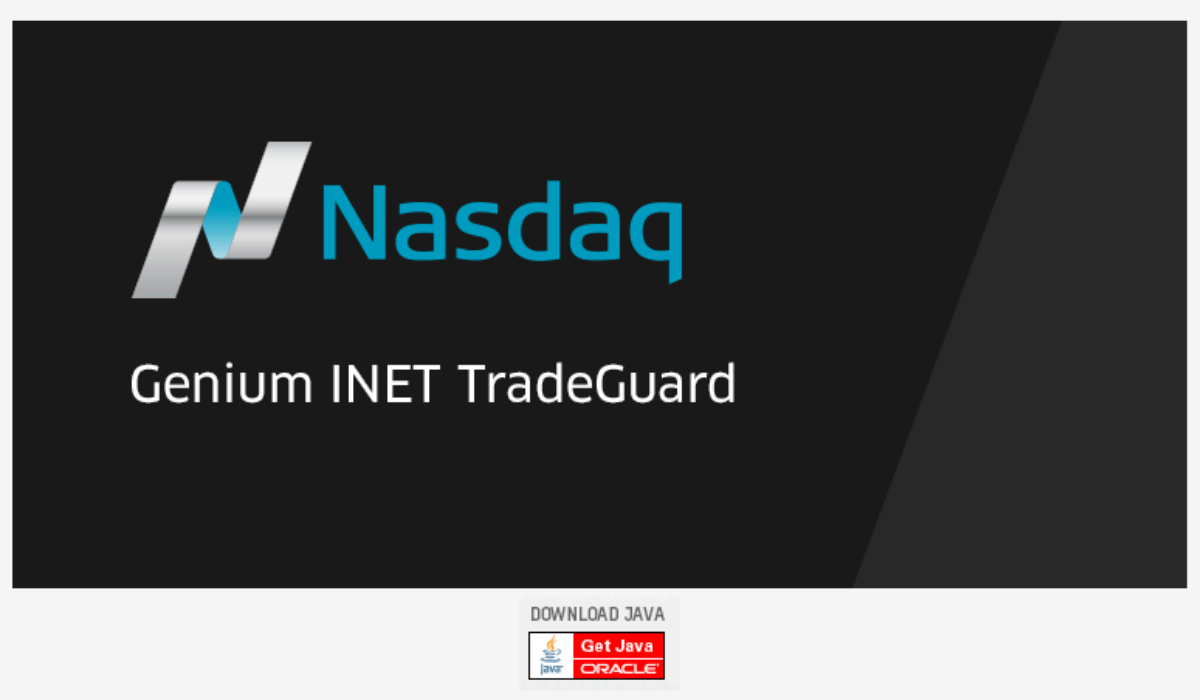
To run the Genium INET TradeGuard application, install the latest version of OpenWebStart on your computer (https://github.com/karakun/OpenWebStart/releases/). You will also need connectivity to the NASDAQ OMX extranet, and a web browser.

Launching the Application the First Time

To download and run the application, complete the following steps:

1. Open web browser and go to the launch page.
2. Click the **Genium INET TradeGuard** link.

Genium INET TradeGuard Launch Page



   The application will download, and when ready present a login window.
3. Enter your user name and password.
4. Click the **Login** button.

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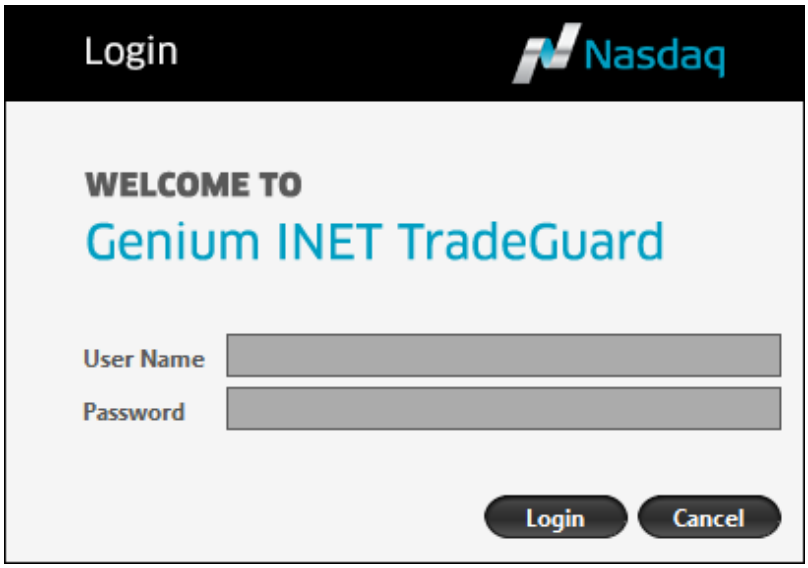
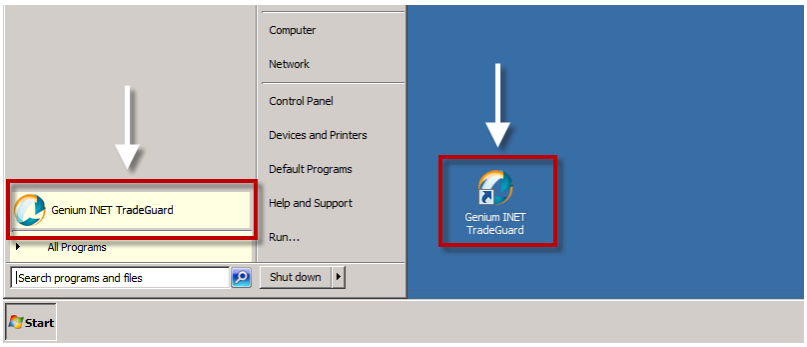
Login Window



Launching the Application after Installation

When you install the application, a shortcut is placed on the desktop.

TradeGuard Desktop Shortcut



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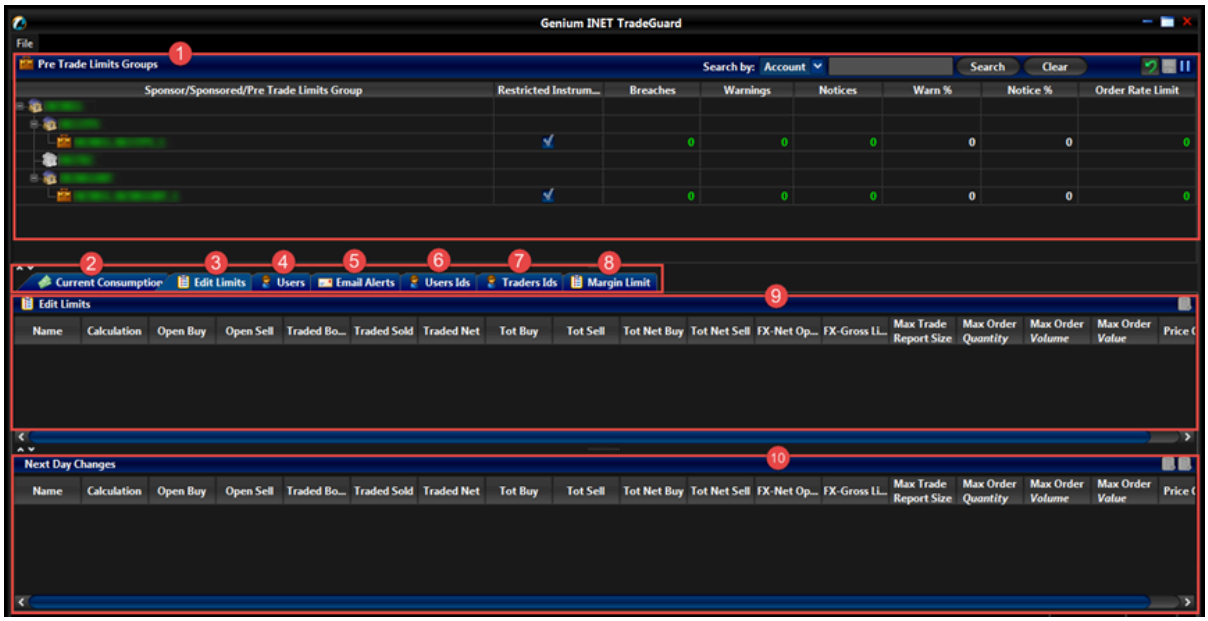
Window Layout

The Genium INET TradeGuard interface shows each Sponsoring Participant, Sponsored Participant, and Pre-Trade Limit Group in real-time as well as allowing users to view or edit risk limit parameters.

Genium INET TradeGuard Window



The Genium INET TradeGuard window is composed of the following parts:

1	Trader Panel: This panel displays a hierarchy of Sponsoring Participants, their Sponsored Clients, and groups and nodes assigned to each Sponsored Client.
2	Current Consumption Tab: The Current Consumption tab shows the usage of all limits set on a Pre-Trade Limit Group.
3	Edit Limits Tab: The Edit Limits tab lets you add and edit limits on a Pre-Trade Limit Group.
4	Users Tab: The Users tab lets you add, remove, and view which exchange users are assigned to a Pre-Trade Limit Group.
5	Email Alerts Tab: The Email Alerts tab shows the alert notification list for the Pre-Trade Limit Group, and lets you set which kinds of alerts will be sent to that group.
6	Users IDs Tab: The User IDs for all users associated with the Sponsoring Participant or Sponsored Client will display in the User IDs tab. You can mass cancel all open orders by User ID in this tab.

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7	Trader IDs Tab: The Trader IDs for all traders associated with the Sponsoring Participant or Sponsored Client will display in the Trader IDs tab. You can mass cancel all open orders by Trader ID in this tab.
8	Margin Limits Tab: Margin limits for individual accounts, and the current exposure of those accounts can be reviewed on this tab.
9	Intraday Changes: The Intraday Changes pane shows changes that when saved in the interface, are applied immediately.
10	Next Day Changes: The Next Day Changes pane shows changes that when saved in the interface, are sent to the exchange database, and become effective when the system is started the next day.

Window Buttons

	From left to right: **Minimize**: Minimizes the application to your taskbar. **Maximize**: Maximizes the application to fill your entire screen. **Close**: Closes the application.
	Revert: Undoes any unsaved changes.
	Save: Saves your current changes.
 	Stop: Stops updates to the user interface. **Start**: Resumes updates to the user interface.
	Add: Adds a limit, user, or email recipient.
	Remove: Removes a limit, user, or email recipient.

Window Icons

In the Trader, the Same Day Changes, and the Next Day Changes panel, there are several icons that indicate the status of that item.

	Removed: Indicates that this item has been saved and is marked for removal in a next day change.
	Added: Indicates that this item has been saved and is marked to be added in a next day change.

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	Unsaved: Indicated that this item has not yet been saved. You must press the save button if you want this item to be saved.

Expanding and Collapsing Panels

If you do not want to view a particular panel in the Genium INET TradeGuard application, you can hide it using collapse buttons. Alternatively, you can display it using the expand buttons.

	Clicking these buttons will hide and display panels in the application.

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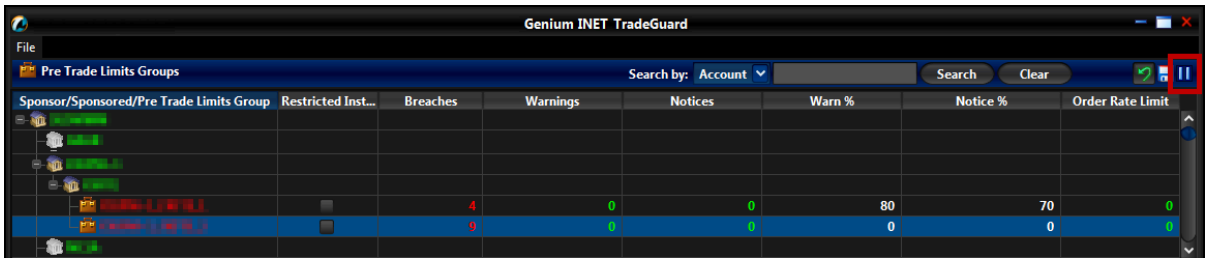
Starting and Stopping Updates

Click the Stop Updates button to stop data updates and review details displayed in the application. Stopping data updates does not affect server processing, only updates to the application will be paused. The server will continue monitoring and risk checking orders for all Pre-Trade Limit Groups. To resume updates, click the **Start Updates** button.

- To pause updates, click the **Stop Updates** button in the top right corner of a panel.
- To resume updates to the user interface with the latest server data, click the **Start Updates** button in the top right corner of a panel.

Start and Stop Updates Buttons



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Understanding Group Types in TradeGuard

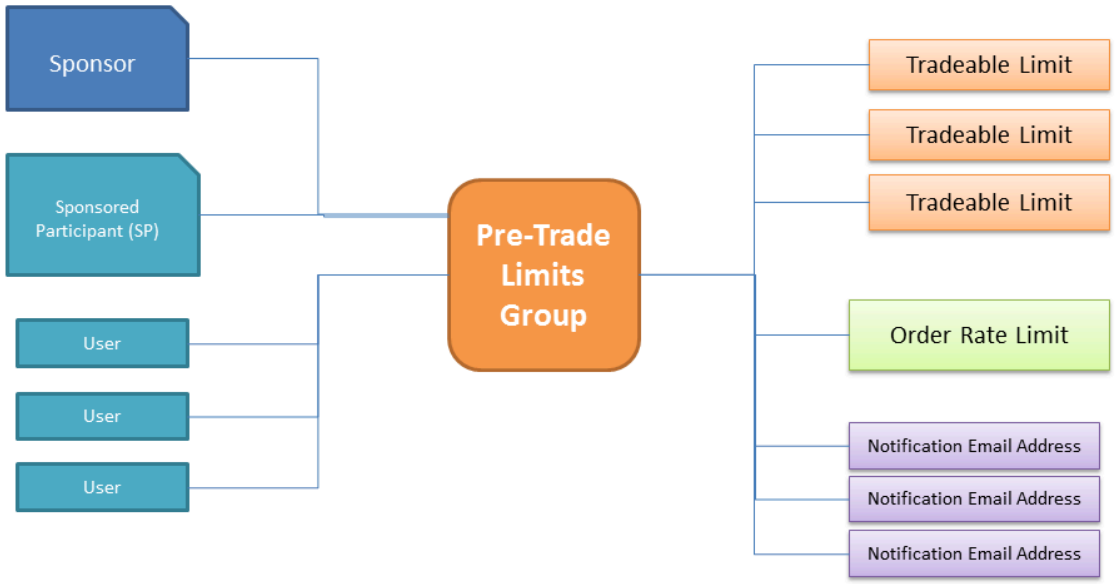
Pre-Trade Limit Groups

A Pre-Trade Limit Group is the central conceptual unit where risk is monitored in the Genium INET TradeGuard application.

A Pre-Trade Limit Group is composed of the following parts:

- A Sponsoring Participant.
- A Sponsored Client.
- A group of users associated with the Sponsored Client to be controlled by the limits of the group.
- Position limits for Tradeables.
- An order rate limit for the group.
- A list of email addresses which will receive alerts concerning the groups' exposure.
- A restricted instrument flag. If set, the group will be limited to trading only instruments that have defined risk limits.
- A default user flag. If set, transactions from the sponsoring participant's default user will be added to the group.

Components of a Pre-Trade Limit Group



Pre-Trade Limit Groups are shown with a briefcase icon in the TradeGuard interface.

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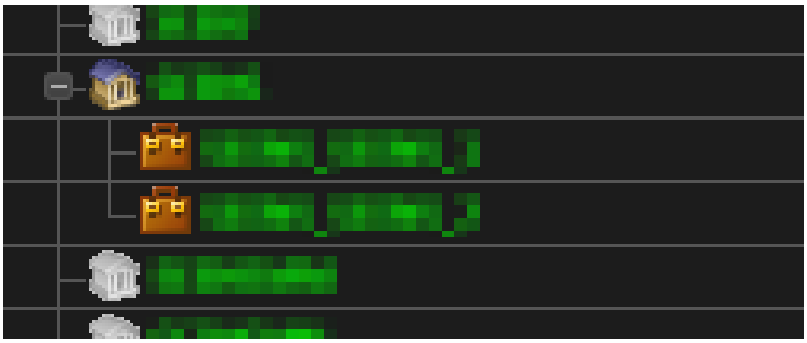
User-based Pre-Trade Limit Groups



The following tabs are enabled for a Pre-Trade Limit Group:

- **Current Consumption Tab**: Current exposure to Tradeable limits only applies to Pre-Trade Limit Groups.
- **Edit Limits Tab**: Tradeable limits only apply to Pre-Trade Limit Groups.
- **Users Tab**: Pre-Trade Limit Groups monitor risk limits on a set of users.
- **Email Alerts Tab**: All aspects of email alerting is the same for Pre-Trade Limit Groups and Account Limit Nodes.

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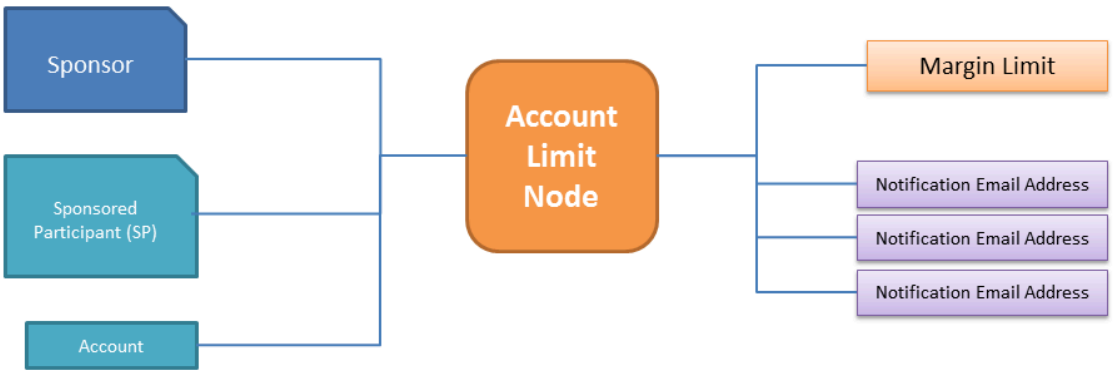
Account Limit Nodes

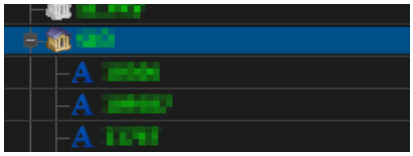
TradeGuard can also monitor the risk of individual accounts that belong to market participants. This is called an Account Limit Node.

Components of an Account Limit Node



Account Limit Nodes are shown with an 'A' icon in the TradeGuard interface.

Account Limit Node



The following tabs are enabled for an Account Limit Node:

- **Margin Limit Tab**: Only Account Limit Nodes can track margin limits.
- **Email Alerts Tab**: All aspects of email alerting is the same for Pre-Trade Limit Groups and Account Limit Nodes.

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Understanding Intraday vs Next Day Changes

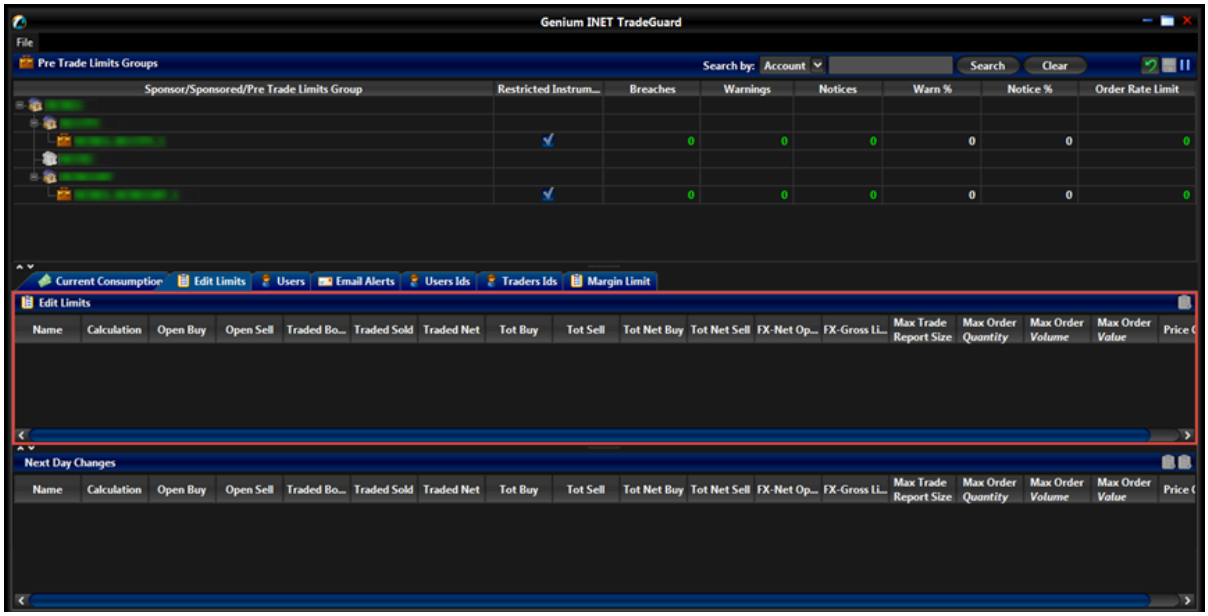
Intraday Changes

The following changes can be made, and are effective, at any time in the Genium INET TradeGuard application interface:

- Updating Limit Values
- Setting Warn and Notice Percentages
- Setting the Order Rate Limit
- Setting Email Alerts
- Adding New Email Alert Recipients
- Blocking a Pre-Trade Limit Group
- Unblocking a Pre-Trade Limit Group
- Mass Canceling Orders on a Pre-Trade Limit Group
- Unblocking an Order Rate Breach
- Restricting Instruments for a Pre-Trade Limit Group
- Mass Canceling Orders by User IDs
- Unblocking a User ID
- Mass Canceling Orders by Trader IDs
- Unblocking a Trader ID
- Add Account Limit Node
- Remove Account Limit Node
- Blocking an Account Limit Node
- Unblocking an Account Limit Node

Unsaved intraday changes are displayed in the Intraday changes panel.

Intraday Changes Pane



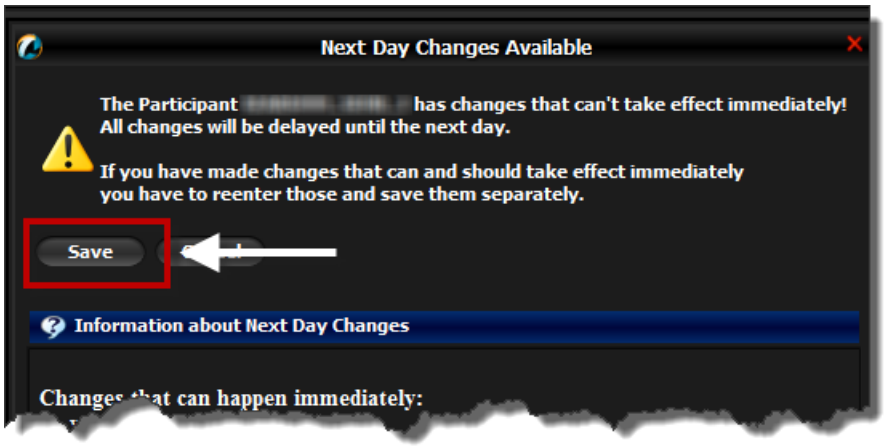
Next Day Changes

The following changes are 'next day'. When saved in the interface, these changes will be sent to the exchange database, and become effective when the system is started the next day:

- Adding a New Trade Limit
- Deleting an Existing Trade Limit
- Changing Which Thresholds Trigger Email Alerts
- Removing Email Alert Recipients
- Adding a User to a Pre-Trade Limit Group
- Adding a Pre-Trade Limit Group
- Deleting a Pre-Trade Limit Group
- Removing a User from a Pre-Trade Limit Group
- Changing a Monitored User
- Setting the Default User to Contribute to a Group
- Changing the Margin Limit for an Account Limit Node

Next day changes display in a different panel to illustrate that they are pending changes to the system and will not be applied during the current trading day.

Next Day Changes Pane



- If you add a next day change, and you need to modify that next day change before the next day, you must delete the pending change and then add a new one.
- Intraday and next day changes cannot be saved for a group at the same time. In this case the intraday changes must be made first, and saved to the group configuration. Then, next day changes can be prepared for the group and saved.

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Understanding Breaches versus Blocks

Breaches

A breach can occur on a tradeable level or a group level.

Tradeable Level

Breaches at the tradeable level are caused when orders on a tradeable surpass one of the position checks for a user-based Pre-Trade Limit Group. When a breach occurs at the tradeable level, no orders in this tradeable are allowed. New orders are rejected for a breached tradeable. See Unbreaching a Tradeable Limit for more information.

Group Level

Secondly, breaches are checked at the group level. At this time the only group level check is the Order Rate check. When a breach occurs at the group level, no orders are allowed for the user who caused the breach.

Margin Breach

Account Limit Nodes can create margin limits breaches. This breach can optionally cause pop-up alerts for users, but other wise do not cause any automatic reactions in the TradeGuard application. It is up to the operator to decide on the appropriate action to take for a margin breach.

Types of Blocks

Manual PTLG Block

A manual block can be placed at the group level. No orders will be allowed for the group when this is in effect. See Blocking a Pre-Trade Limit Group and Unblocking a Pre-Trade Limit Group for more information.

Monitored User Disconnect Block

Another typed of “block” is a monitored user disconnect block. This “block” is automatic. If the monitored clearing member disconnects, traders in the Pre-Trade Limit Group will be automatically blocked from entering transactions. See Changing or Removing a Monitored User for more information.

Account Block

Account Limit Nodes can be blocked, but only manually. See Blocking an Account Limit Node, and Unblocking an Account Limit Node.

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Trader Panel

The trader panel shows all Sponsoring Participants, Sponsored Clients, Pre-Trade Limit Groups, and Account Limit Nodes in a hierarchical tree.

The hierarchy contains the following levels:

- **Top level—Sponsoring Participant**: A trading participant who sponsors one or more participant's direct connection to the market.
- **2nd level—Sponsored Client**: A Participant who is controlled by a Sponsoring Participant. A Sponsored Client is only associated to one Sponsoring Participant.
- **3rd level**
    - **Pre-Trade Limit Groups**: A logical grouping of traders connected to one Sponsored Participant. The members of a group are defined by the trading IDs shown on the Users panel.
    - **Account Limit Nodes** : Limits on individual accounts are also shown at this level.

Risk checks are enforced on all groups and limits nodes in real time as execution messages are read from the trading engine.

Columns Displayed

The following columns display on the Trader Panel:

- **Restricted Instruments**: This checkbox shows if the group is restricted to trading only instruments for which they have defined trading limits. If unchecked, the group can trade in any instruments, and only those that have defined limits will be checked for risk breaches.
- **Breaches**: Displays the number of risk check breaches by the participant, or group.
- **Warnings**: Displays the number of risk check warnings made by the participant or group.
- **Notices**: Displays the number of notices generated by the participant or group.
- **Warn %**: When the trader or group reaches this limit percentage, warning email alerts will be generated.
- **Notice %**: When the trader or group reaches this limit percentage, warning email alerts will be generated.
- **Order Rate**: Shows the current rate of orders submitted by the limit group.
- **Order Rate Limit**: Displays the limit set by the Participant for a user-based group. Order rate does not apply to account groups. Exceeding the Order Rate limit will only generate Breach emails. Exceeding the Order Rate limit will not generate Warnings or Notices.

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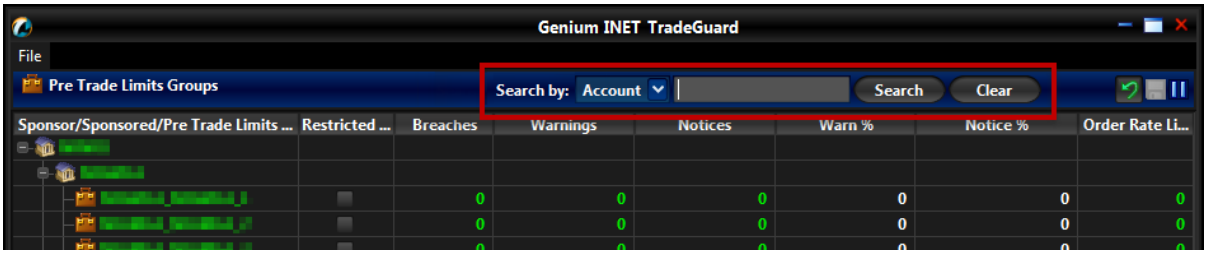
Searching for Groups and Accounts

You can filter the groups and account limit nodes shown in the trader panel by searching for an account or user.

To search for a particular account or group, complete the following steps:

1. From the trader panel, click the search bar.

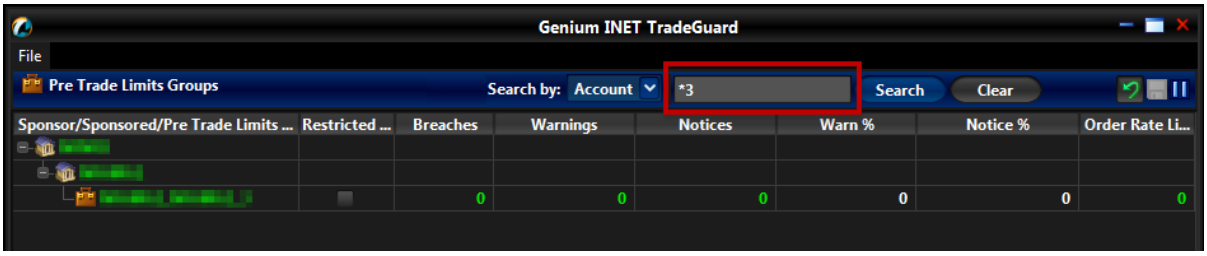
Trader Panel Search Bar



2. Select whether to search for user names or account names.
3. Type a search string. An asterisk (*) can be used as a wildcard character in the search string. For example, searching for ACCT* will display all groups containing any account that starts with the characters ACCT, followed by any other characters.
4. Click **Search**.

   The Trader Panel is filtered, and only displays groups that have users or accounts that match the search string.

Filtered Trader Panel



5. To show the entire hierarchy again, click the **Clear** button.

Notice, Warn, and Breach Notices in the Trader Panel

Groups in the trader panel will display in different colors. The color corresponds to the any notice, warn, and breach events that have occurred for that group.

- **Green**: The exposure of the group is currently below the notice threshold.
- **Yellow**: The group has passed the notice level on a limit.
- **Orange**: The group has passed the warning level on a limit.
- **Red**: The group has breached a limit.

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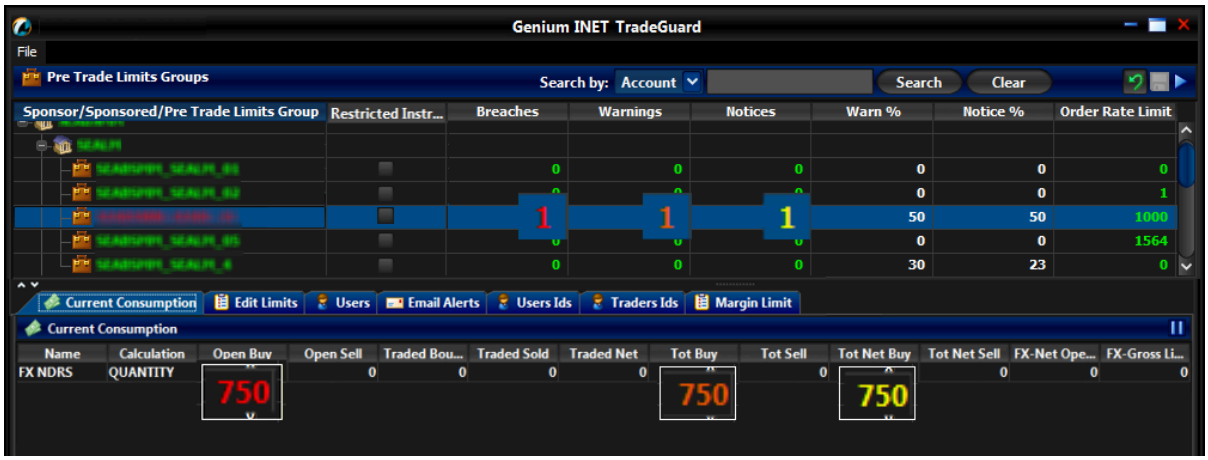
Display of Breaches



While the group is breached:

- Members of the group cannot submit any orders for the instruments of the breached limit.
- Members of the group can still cancel open orders.

To unbreach a group, see Unbreaching a Tradeable Limit.

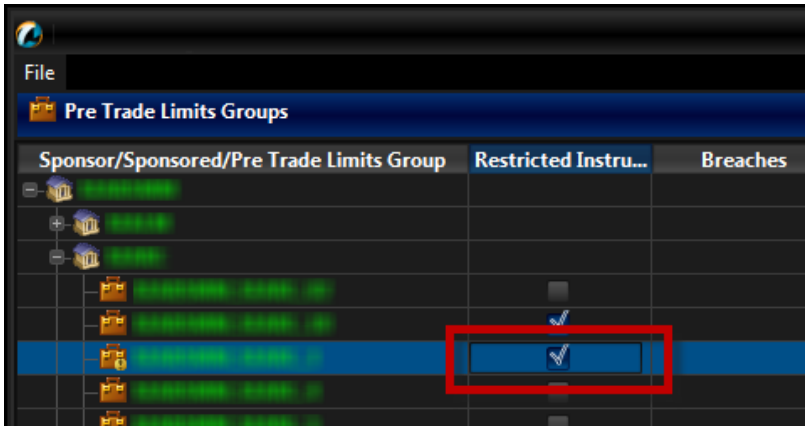
Restricting Instruments for a Pre-Trade Limit Group

The trader panel displays a column for Restricted instruments. This setting controls whether the group can only trade for Tradeables that have defined risk limits. When unchecked, the group can trade in all Tradeables and only the limits set will be monitored and create breaches.

To restrict a group to only trade instruments that have defined risk limits, complete the following steps:

1. On the Trader Panel, select a group.
2. Check the box for **Restricted Instruments**.

Selecting Restricted Instruments



3. Click **Save**.

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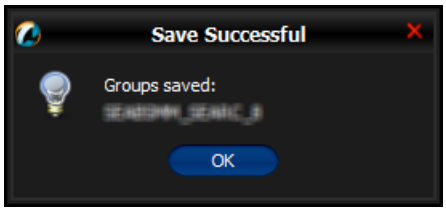
Confirmation Window



A confirmation window displays.

4. Click **OK**.

> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Setting Warn and Notice Percentages

You can configure warn and notice percentages to monitor a Pre-Trade Limit Group's thresholds.

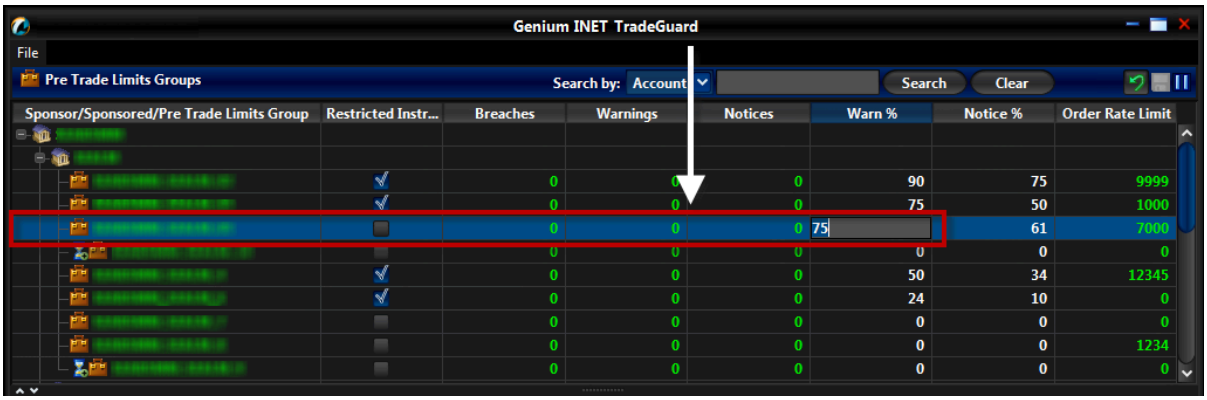
The values associated with breaches are further defined by level and are color coded to provide a visual indicator.

- Notice is the lowest level of alert.
- Warning is next highest level of alert.

To set warn and notice percentages on a group:

1. Double click a Warn % or Notice % column in the row of a group.
2. Enter a new value for the Warn % or Notice %.

Setting Warn and Notice Percentages



3. Click the **Save** button in the trader panel to save your changes.

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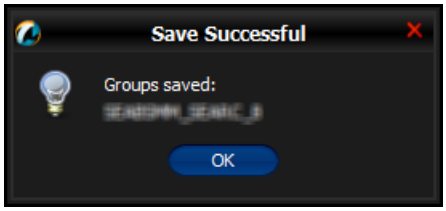
Save Button

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



4. Click the **OK** button to confirm your change.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Setting the Order Rate Limit

The order rate limit is set on user-based Pre-Trade Limit Groups from the trader limit panel. This limit measures orders sent to the trading engine from all members in the group.

The Order Rate Limit check is based on new orders inserted into the book. If an order is traded at entry it will also count towards the Order Rate Limit.

The following order types are ignored by the Order Rate Limit check:

- Order Cancel Requests
- Rejected orders
- Order modifications
- Order types that do not stay in the book, such as IOC or FOK.

- These orders will be counted if they trade.
- During auction times these types do stay in the order book.

The order rate limit is checked every 1/10th of a second. This limit will be breach if the order rate is higher than one tenth of the set limit within one tenth of a second. See Unblocking an Order Rate Breach for how to lift this breach condition.

To set an order rate limit on a Pre-Trade Limit Group:

1. Double click the order rate column in the row of a Pre-Trade Limit Group.

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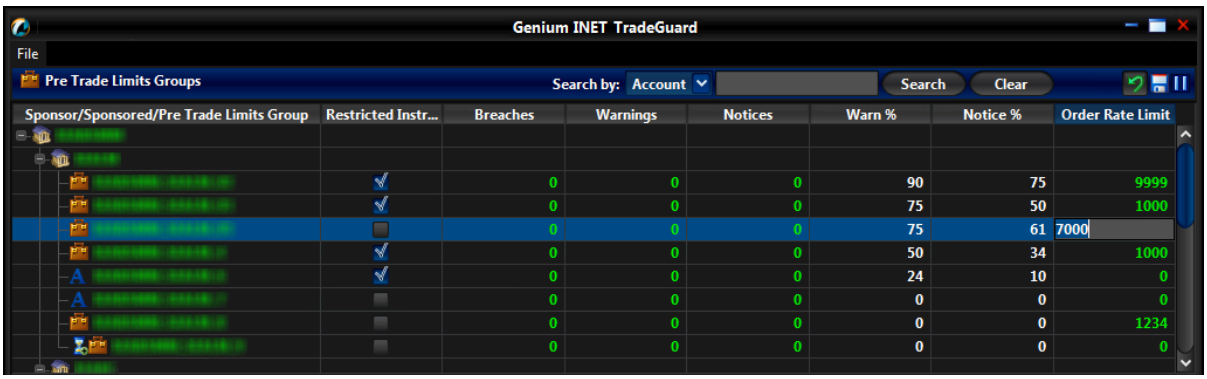
2. Enter a new value for the order rate.

Setting the Order Rate Limit

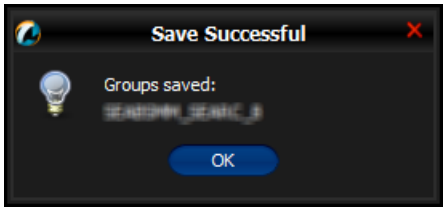


3. Click the **Save** button in the trader panel to save your changes.

Save Button

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



4. Click the **OK** button.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

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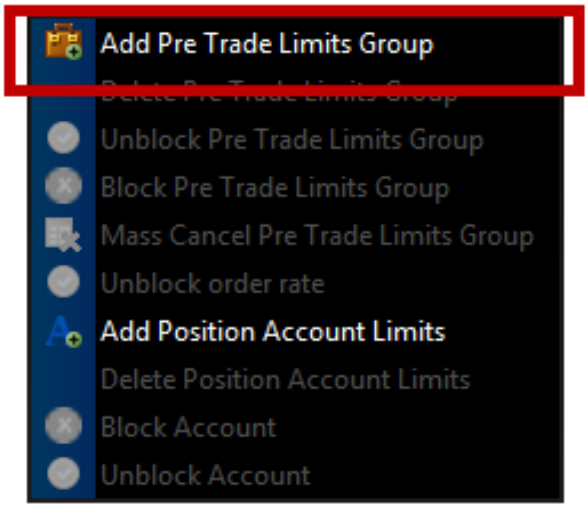
Working With Pre-Trade Limit Groups

Adding a Pre-Trade Limit Group

To add a user-based Pre-Trade Limit Group, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a market participant.
2. Right-click, and then select **Add Pre Trade Limits Group** from the right-click menu.

Right Click Menu for Market Participant



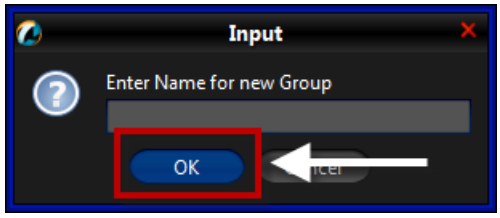
The Input window appears.

3. Enter the name of the new group.

> A Pre-Trade Limit Group must be given a unique identifier. The identifier should use the following naming convention:
>
> `[sponsoring participant ID]_[Sponsored Client ID]_[Group Name]`

4. Click the **OK** button. Alternatively, you can click the Cancel button to cancel the action.

Create a New Pre-Trade Limit Group



5. Assign a single tradeable or multiple tradeables to your new group by clicking the **Add new Tradeable** button.

   See Adding a New Trade Limit if you need help doing this.

6. Click the **Save** button of the trader panel to save your changes.

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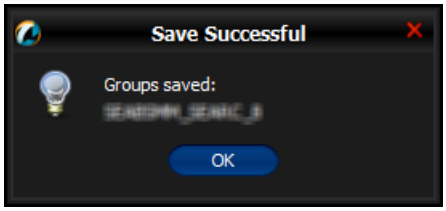
Save Button on Trader Panel

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



7. Click the **OK** button to confirm your change.

   After you add the group and click the Save button, the group will appear in the Next Day Changes pane and become active the next trading day.

> This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

Deleting a Pre-Trade Limit Group

To delete a Pre-Trade Limit Group, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Pre Trade Limits Group.
2. Right-click, and then select **Delete Pre Trade Limits Group** from the right-click menu.

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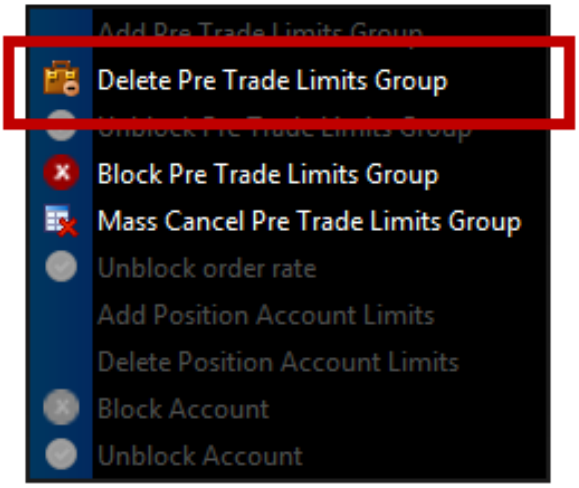
Pre-Trade Limit Group Right Click Menu



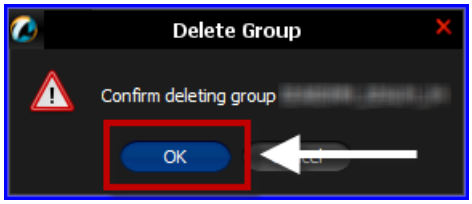
3. Click the **Save** button.

Save Button on Trader Panel

A confirmation window appears.

4. Click the **OK** button to delete the group. Alternatively, you can click the Cancel button to cancel the action.

Deleting a Pre-Trade Limit Group



After you delete the group and click the Save button, the group will appear in the Next Day Changes pane and be deleted the next trading day.

This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

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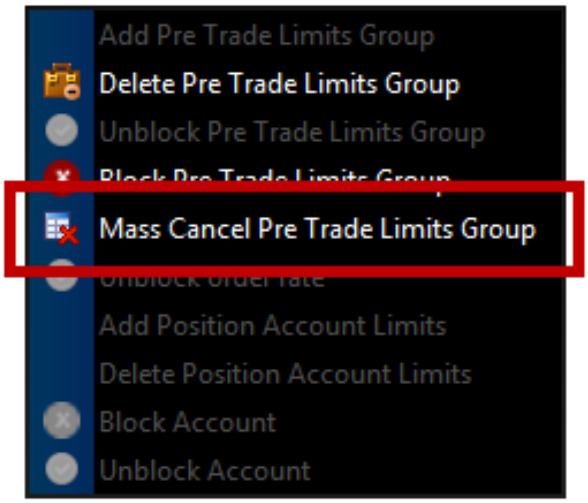
Mass Canceling Orders on a Pre-Trade Limit Group

Mass canceling will cancel all open orders for all users in a Pre-Trade Limit Group. Mass canceling will automatically block the group. The group needs to be manually unblocked to allow the group's users to send new orders.

To mass cancel orders for a group, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Pre-Trade Limit Group.
2. Right-click, and then select **Mass Cancel Pre Trade Limits Group** from the right-click menu.

Right Click Menu for Pre-Trade Limit Groups



All open orders for the group are canceled, and the group is blocked.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Blocking a Pre-Trade Limit Group

A Pre-Trade Limit Group can be blocked manually by the Participant or by exchange personnel. A blocked group's users cannot enter new orders, nor can they alter existing orders.

Blocked users of a Pre-Trade Limit Group are:

- Able to delete existing orders and quotes,
- Allowed to login, and
- Allowed to receive broadcasts, send queries, thus being able to view the market.

The Participant and the exchange personnel can still act on behalf of a blocked group (in the same way as before the group was blocked).

Pre-Trade Limit Groups are never unblocked automatically intraday. A blocked group can be unblocked intra-day by the Participant or by the exchange.

If the blocked group is not unblocked manually during that trading day, the blocked group will be unblocked automatically at the beginning of the next trading day.

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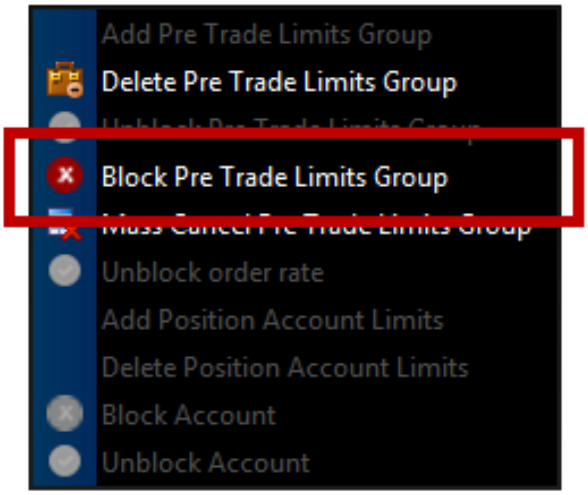
To block a Pre-Trade Limit Group, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Pre-Trade Limit Group.
2. Right-click, and then select **Block Pre Trade Limits Group** from the right-click menu.

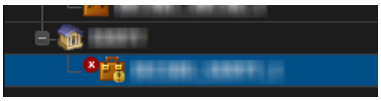
Pre-Trade Limit Group Right Click Menu



- **Block Pre Trade Limits Group**: Select this option and users for the group are allowed neither to enter new orders nor alter existing orders.

The group will be blocked. The icon for the group changes to indicate this condition.

Blocked Pre-Trade Limit Group



This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Unblocking a Pre-Trade Limit Group

To unblock a Pre-Trade Limit Group, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a group.
2. Right-click, and then select **Unblock Pre Trade Limits Group** from the right-click menu.

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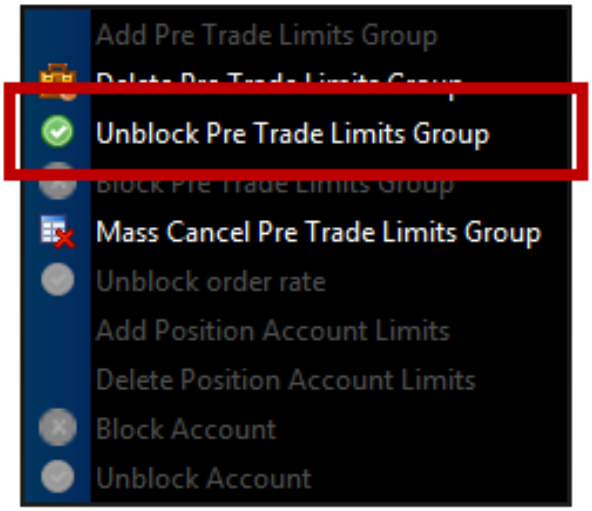
Pre-Trade Limit Group Right Click Menu



The group will be unblocked. The icon for the group changes to indicate this condition.

After you unblock the group, they are allowed to trade normally.

> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

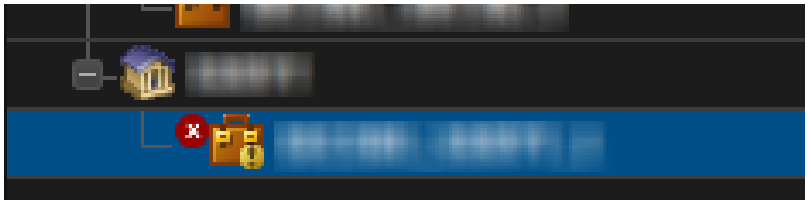
Unblocking an Order Rate Breach

If a Pre-Trade Limit Group breaches their order rate limit, they will not be able to submit any orders. A manual unblock is required to lift the breach restriction.

To unblock an order rate breach, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a breached group.

Breached Group



2. Right-click, and then select **Unblock order rate** from the right-click menu.

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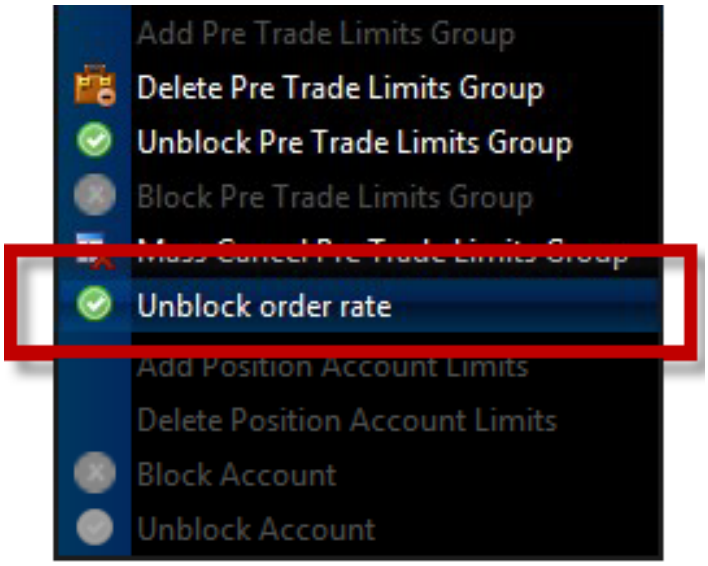
Unblocking an Order Rate Right Click Menu



The breach is lifted. The group will be able to trade normally.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Unbreaching a Tradeable Limit

Consequences of Breaching

When a Pre-Trade Limit Group is in breach of a Tradeable limit:

- Users in that group can:
  - Cancel open orders.
  - Trade normally in Tradeables that are not breached.
- Users in that group cannot:
  - Place new orders on the breached Tradeable.
  - Modify an order for the breached Tradeable.

If a trader cancels and amends down until their limit is no longer in breach, the breach restriction is lifted and they can trade normally.

Acting on a Breached Group

The sponsoring partner, or exchange personnel can take several courses of action on a breached group:

1. Leave the group breached—messages will be rejected.
2. Raise the associated limit on the group.

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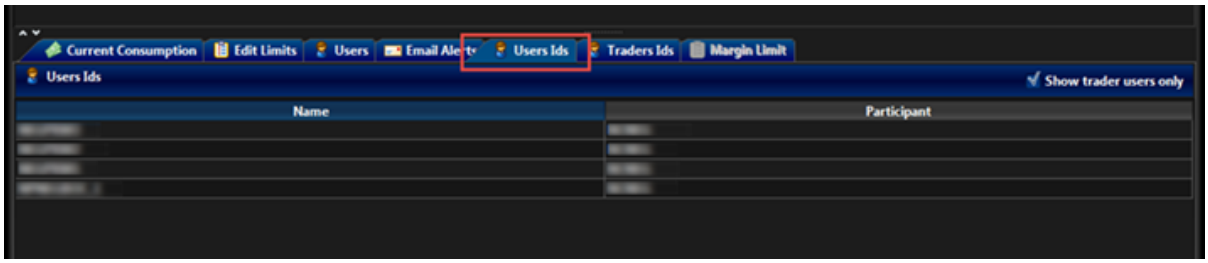
Mass Canceling Orders by User IDs

The User IDs for all users associated with the Sponsoring Participant or Sponsored Client will display in the **User IDs** tab. You can mass cancel all open orders by User ID in this tab. Mass canceling by User ID blocks the trader user from entering orders until the block is manually cleared.

User IDs Tab



By default, the **Show trader users only** check box will be selected. To see all users in addition to trader users, clear the check box.

Mass Canceling by User ID

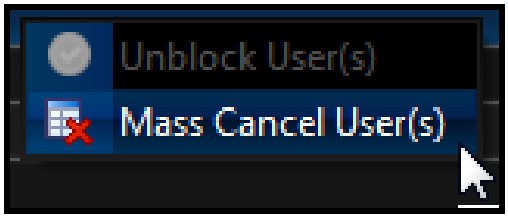
To mass cancel orders by User ID, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Sponsoring Participant or Sponsored Client. The User IDs for that participant displays in the **Users IDs** tab.
2. Click the User ID(s).
3. Right-click, and then select **Mass Cancel User(s)** from the right-click menu.

   or

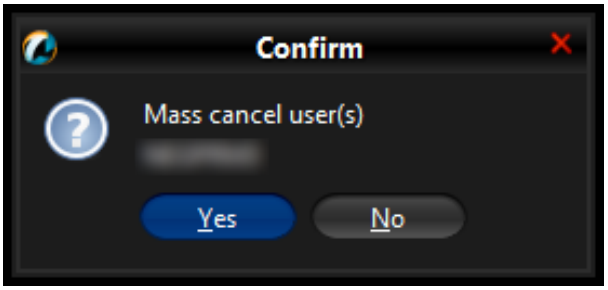
   If multiple users are selected, press **CTRL** and then right-click, and select **Mass Cancel User(s)** from the right-click menu.

Mass Cancel User(s)



A confirmation window appears.

Mass Cancel User(s) Confirmation Window



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4. Click **Yes** to cancel all open orders for the User ID. User IDs that have been mass canceled appear in red.

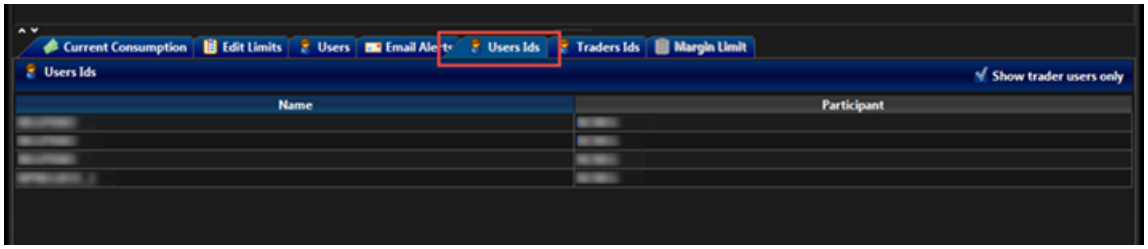
> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Unblocking a User ID

To unblock a User ID, complete the following steps:

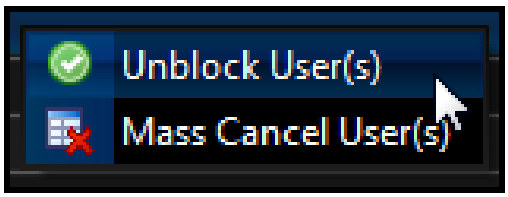
1. From the Genium INET TradeGuard window, in the Trader Panel, select a Sponsoring Participant or Sponsored Client. The User IDs for that participant displays in the **User IDs** tab.

Users IDs Tab



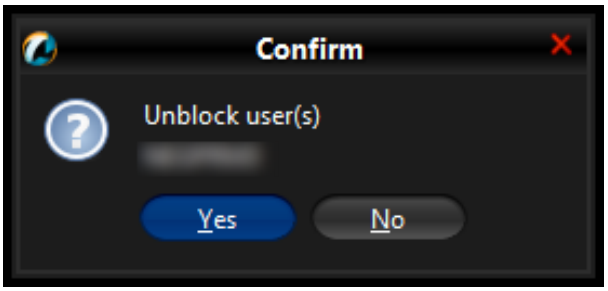
2. Right-click, and then select **Unblock User(s)** from the right-click menu.

Unblock User(s)



A confirmation window appears.

Unblock User(s) Confirmation Window



3. Click **Yes** to unblock the user.

The user(s) will be unblocked. The User ID row will no longer be red. When you unblock the user, they are allowed to trade normally.

> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

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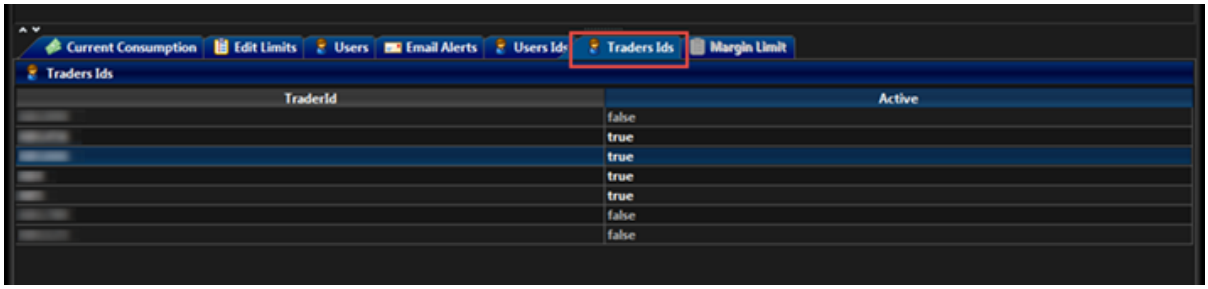
Mass Canceling Orders by Trader IDs

The Trader IDs for all traders associated with the Sponsoring Participant or Sponsored Client will display in the **Trader IDs** tab. You can mass cancel all open orders by Trader ID in this tab. Mass canceling by Trader ID blocks the participant from entering orders until the block is manually cleared.

Trader IDs Tab



Mass Canceling by Trader ID

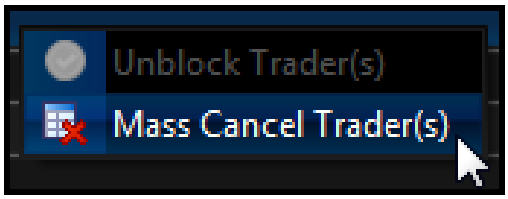
To mass cancel orders by Trader ID, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Sponsoring Participant or Sponsored Client. The Trader IDs for that participant displays in the **Trader IDs** tab.
2. Click the Trader ID(s).
3. Right-click, and then select **Mass Cancel Trader(s)** from the right-click menu.

   or

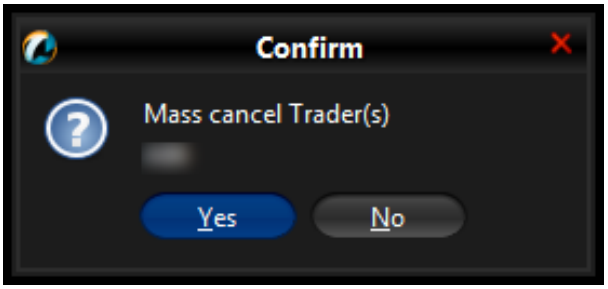
   If multiple Trader IDs are selected, press **CTRL** and then right-click, and select **Mass Cancel Trader(s)** from the right-click menu.

Mass Cancel Trader(s)



A confirmation window appears.

Mass Cancel Trader(s) Confirmation Window



4. Click **Yes** to cancel all open orders entered with that Trader ID under the selected participant. Trader IDs that have been blocked appear in red.

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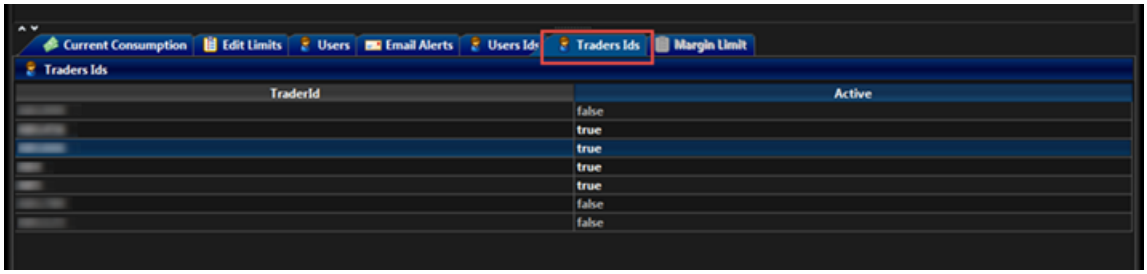
This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Unblocking a Trader ID

To unblock a Trader ID, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select a Sponsoring Participant or Sponsored Client. The Trader IDs for that participant displays in the **Trader IDs** tab.

Traders IDs Tab

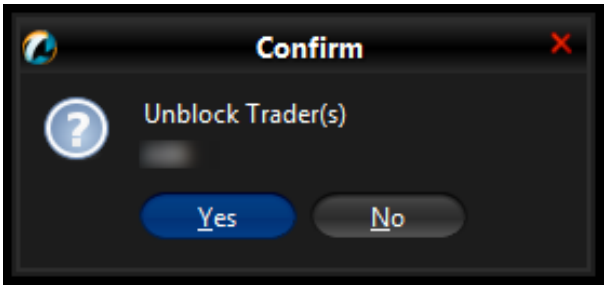


2. Right-click, and then select **Unblock Trader(s)** from the right-click menu.

Unblock Trader(s)

A confirmation window appears.

Unblock Trader(s) Confirmation Window



3. Click **Yes** to unblock the Trader ID.

The trader ID will be unblocked. The Trader ID row will no longer be red. When you unblock the trader ID, they are allowed to be used normally to send orders.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

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Working With Account Limit Nodes

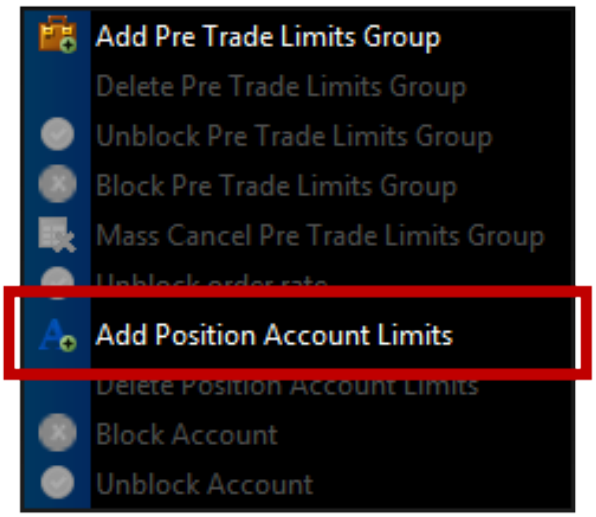
In addition to Pre-Trade Limit Groups, a market participant can also set limits on individual accounts via Account Limit Nodes. See Understanding Group Types in TradeGuard for more information on the differences between Pre-Trade Limit Groups and Account Limit Nodes.

Adding an Account Limit Node

To add an Account Limit Node to a market participant, complete the following steps:

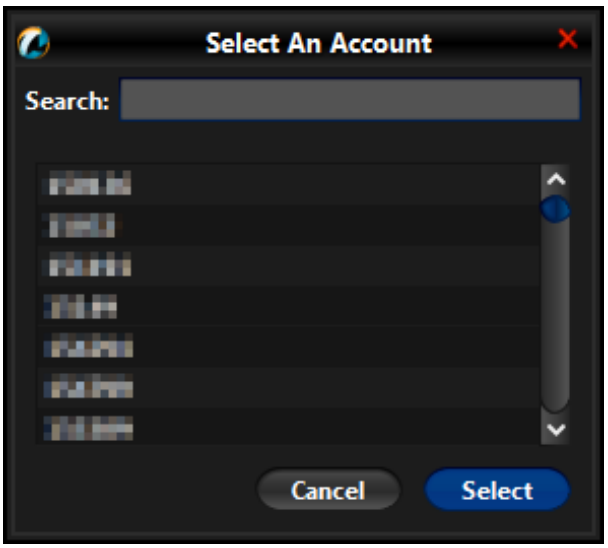
1. From the Trader Panel, right click a market participant node.
2. Click **Add Position Account Limits** from the context menu.

Right Click Menu for Market Participant



A window will display showing accounts belonging to the market participant.

Account Picker Window



3. Click an account from the listed accounts, then click **Select**.

   The new account limit node will appear in the hierarchy.

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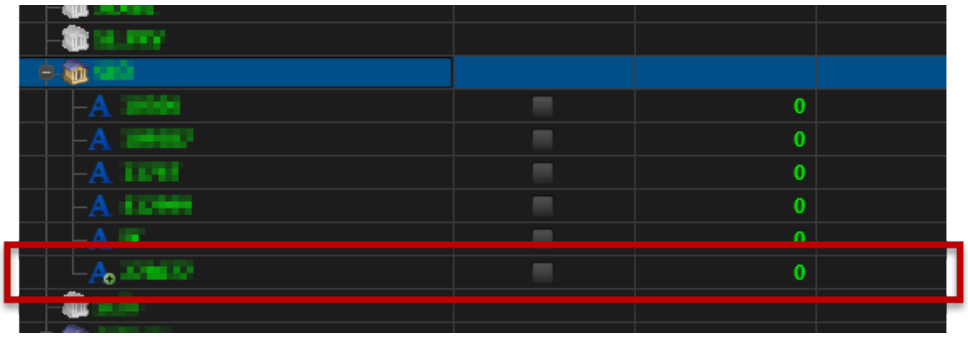
Newly Added Account Node

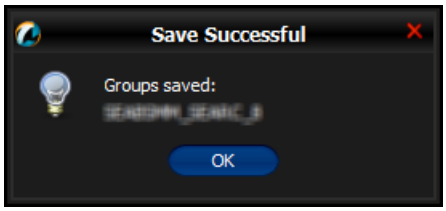


4. Save the changes to the hierarchy. Click the **Save** button.

Save Button on Trader Panel

A confirmation dialogue will appear.

Save Successful Dialogue Box



5. Click **OK**.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Deleting an Account Limit Node

To delete an Account Limit Node, complete the following steps:

1. From the Trader Panel, right click an Account Limit Node.

   The context menu will appear.

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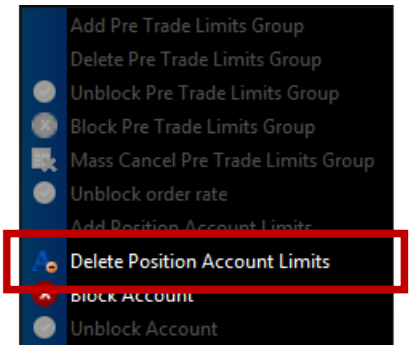
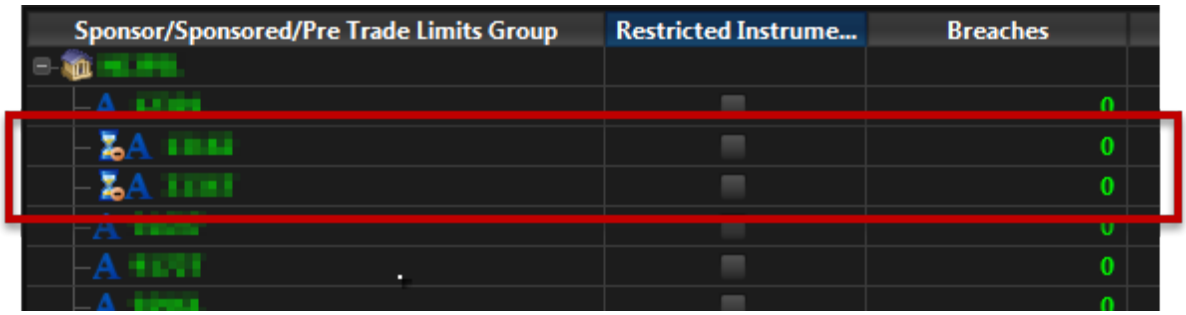
Account Limit Node Right-click Menu



2. Click **Delete Position Account Limits**.

   The Account Limit Node will appear with staged changes in the trader panel.

Staged Deletion of a Node

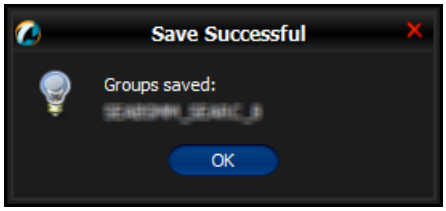


3. Save the changes to the hierarchy. Click the **Save** button.

Save Button on Trader Panel

A confirmation dialogue will appear.

Save Successful Dialogue Box



4. Click **OK**.

> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

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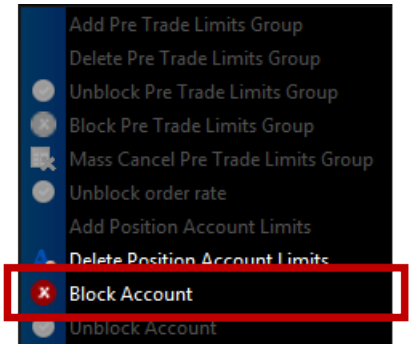
Block an Account Limit Node

An Account Limit Node does not automatically block. It can only be manually blocked via a command from the TradeGuard interface.

To block and account based group, complete the following steps:

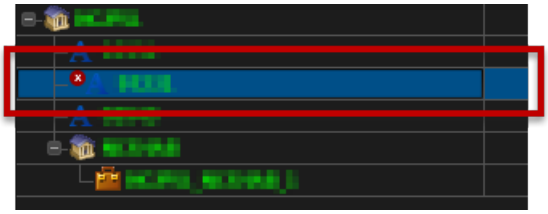
1. From the Trader Panel, right click an Account Limit Node.



2. Click **Block Account** from the group context menu.

   The icon of the group changes to reflect its condition.

Blocked Account Limit Node



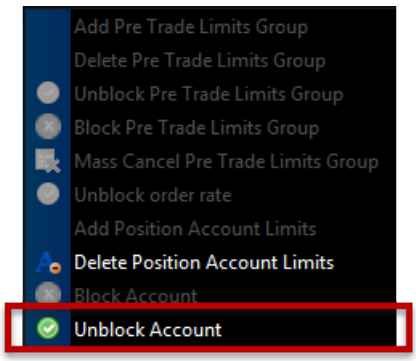
This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Unblock an Account Limit Node

To unblock an Account Limit Node, complete the following steps:

1. From the Trader Panel, right click a blocked Account Limit Node.
2. Click **Unblock Account** from the group context menu.

Right-click Menu for Account Limit Node



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The block on the account will be immediately lifted.

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

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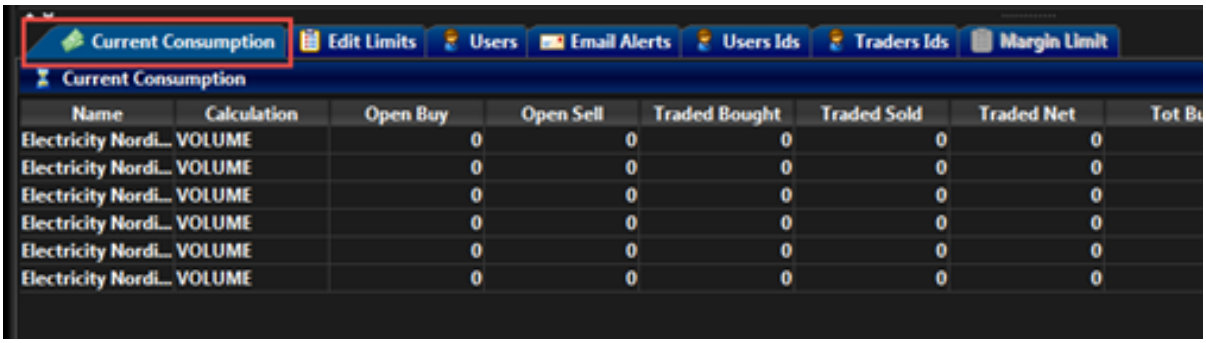
Current Consumption Tab

The Current Consumption tab displays defined limits for the selected user-based group and the current usage of those limits by trading activity.

Current Consumption Tab



The following columns display on the Current Consumption tab:

- **Name**: The name of the Tradeable instrument.
- **Calculation**: The calculation method for the limits.
- **Open Buy**: The current value of open buy orders for the Tradeable.
- **Open Sell**: The current value of open sell orders for the Tradeable.
- **Traded Bought**: The current value of executed buy orders for the Tradeable.
- **Traded Sold**: The current value of executed sell orders for the Tradeable.
- **Traded Net**: The absolute value of traded bought minus traded sold for the Tradeable.
- **Tot Buy**: The current value of open and executed buy orders for the Tradeable.
- **Tot Sell**: The current value of open and executed sell orders for the Tradeable.
- **Tot Net Buy**: Traded Bought – Traded Sold + Open Buy for the Tradeable.
- **Tot Net Sell**: Traded Sold – Traded Bought + Open Sell for the Tradeable.
- **FX-Net Open Position**: Net open position is the net sum of positions for each currency in foreign exchange currency pairs. This limit only applies to foreign exchange instruments. Overnight positions, open positions, and traded positions contribute to the total exposure.
- **FX-Gross Limit**: The gross limit is the sum of the absolute position in each foreign exchange currency. This limit only applies to foreign exchange instruments. Overnight positions, open positions, and traded positions contribute to the total exposure.

- Pre-trade limits are not shown on the Current Consumption tab because there is no trader exposure that changes over time for these limits.
- The set of risk checks used by the exchange is configurable. Some risk checks might not be displayed in your client application.

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Editing Limits Overview

The risk exposure of all instruments held by users of a Pre-Trade Limit Group is calculated together. This combined exposure can be limited according to several calculations.

In the Genium INET TradeGuard application, a limit is defined with the following parameters:

1. An instrument class or instrument type (regular or combination).
2. A calculation type for the exposure value. This can be one of the following:
   - **Quantity**: The exposure is calculated by summing the share quantity for each order submitted by a member of the group.
   - **Volume**: The exposure is calculated by summing the volume (shares * price quotation factor) of all orders submitted by members of the group.

   The selection of calculation method does not affect FX limits, Max Order limits, or Price Collar. These limits use static calculation methods.
3. Each tradeable or tradeable group can have multiple 'risk counter' limits in effect:
   - **Open Buy**: The current value of open buy orders for the Tradeable.
   - **Open Sell**: The current value of open sell orders for the Tradeable.
   - **Traded Bought**: The current value of executed buy orders for the Tradeable.
   - **Traded Sold**: The current value of executed sell orders for the Tradeable.
   - **Traded Net**: The absolute value of traded bought minus traded sold for the Tradeable.
   - **Tot Buy**: The current value of open and executed buy orders for the Tradeable.
   - **Tot Sell**: The current value of open and executed sell orders for the Tradeable.
   - **Tot Net Buy**: Traded Bought – Traded Sold + Open Buy for the Tradeable.
   - **Tot Net Sell**: Traded Sold – Traded Bought + Open Sell for the Tradeable.
   - **FX-Net Open Position**: Net open position is the net sum of positions for each currency in foreign exchange currency pairs. This limit only applies to foreign exchange instruments. Overnight positions, open positions, and traded positions contribute to the total exposure.
   - **FX-Gross Limit**: The gross limit is the sum of the absolute position in each foreign exchange currency. This limit only applies to foreign exchange instruments. Overnight positions, open positions, and traded positions contribute to the total exposure.
   - **Max Trade Report Size**: A pre-trade limit on the total computed exposure of trade report transactions. Any trade report exceeding the limit is rejected before being accepted by the exchange.
   - **Max Order Quantity:** A pre-trade limit on the total computed exposure of a regular order, using the Quantity calculation method. If an order exceeds the limit it is rejected before being accepted by the exchange.
   - **Max Order Volume:** A pre-trade limit on the total computed exposure of a regular order, using the Volume calculation method. If an order exceeds the limit it is rejected before being accepted by the exchange.
   - **Max Order Value:** A pre-trade limit on the total computed exposure of a regular order, using the Value calculation method, which is Volume * Order Price. If an order exceeds the limit it is rejected before being accepted by the exchange.

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- **Price Collar:** A pre-trade limit on the number of price ticks by which an order price can differ from the reference price for that instrument. If an order exceeds the limit it is rejected before being accepted by the exchange.

- When setting limits for foreign exchange instruments, the recommendation is to set a limit on the group containing all foreign exchange instruments. Limits on individual foreign exchange instruments are possible, but they are not good controls for overall risk.
- The set of risk checks used by the exchange is configurable. Some risk checks might not be displayed in your client application.
- The following risk checks are not applicable to Combination classes or types: Max Order Volume, Max Order Value, Price Collar.

Maximum Limit Values

The maximum value allowed as the calculated exposure for a Pre-Trade Limit Group or as the limit on the group is 922,337,203,685,477. The maximum value allowed for the Price Collar limit is 2,147,483,647.

Breached Limits

If any of the risk limits are exceeded, the system rejects new orders submitted in any of the instruments connected to the affected Tradeable from any of the User IDs that are part of the group. However, a user can still cancel open orders for the affected instrument when the limit is breached.

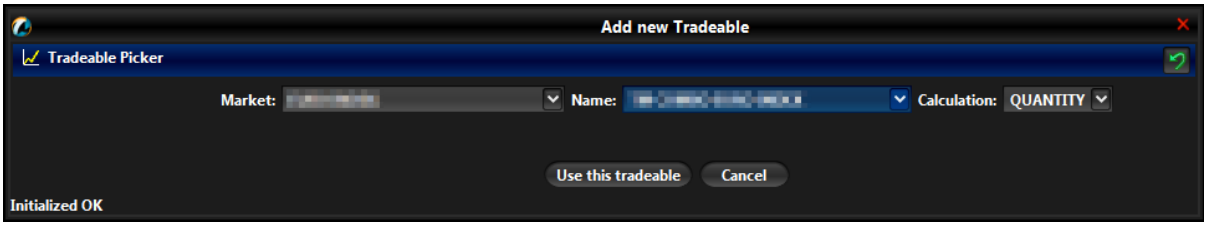
Adding a Trade Limit

To add a new trade limit to a Pre-Trade Limit Group, complete the following steps:

1. Click the Pre-Trade Limit Group for which you want to edit limits, and then click the **Edit Limits** tab.
2. Click the **Add New Tradeable** button.

   The Add new Tradeable window displays.

Adding a Limit



The instruments listed will only show regular and combination instrument classes and types specified in the Legal Instrument Type for the user logged in.

3. Select an instrument:
   - **Market**: Select the market where the tradeable is offered. Leaving the field blank will show tradeables in all markets.
   - **Name**: The name of the tradeable to monitor.

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4. Select the calculation method for the limit:
   - **Quantity**: The exposure is calculated based on the share quantity of all orders.
   - **Volume**: The exposure is calculated based on the volume (shares * price quotation factor) of all orders.

   The selection of calculation method does not affect FX limits. These limits use a single static calculation.

5. Click the **Use this tradeable** button.

Use This Tradeable Button

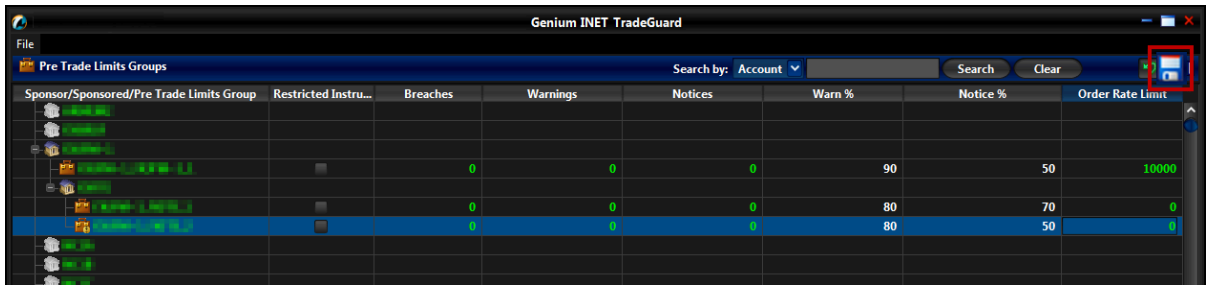
A row with the new tradeable instrument will appear in the Edit Limits panel.

6. Set any limits to be enforced on the selected tradeable.

   Remember, an FX instrument can have all available limits applied to it, but a non-FX instrument cannot set FX limits.

7. Click the **Save** button.

Save Button



The Next Day Changes Available confirmation window appears.

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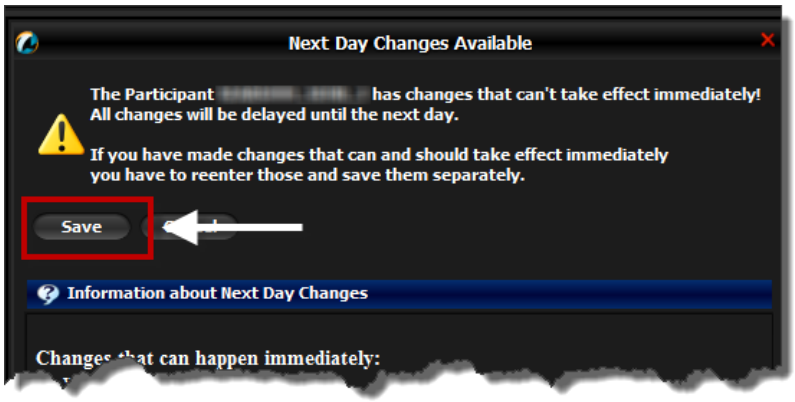
Next Day Changes Save Button

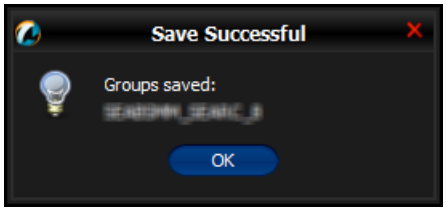


8. Click the **Save** button.

> A limit value of zero means no limit, and no breach is possible for that risk counter.

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



9. Click the **OK** button to confirm your change.

   The new limit appears in the Next Day changes panel and will change the next trading day.

> This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

Editing Trade Limits

To edit a limit on a Pre-Trade Limit Group, complete the following steps:

1. From the Genium INET TradeGuard window, click the group for which you want to edit limits, and then click the **Edit Limits** tab.

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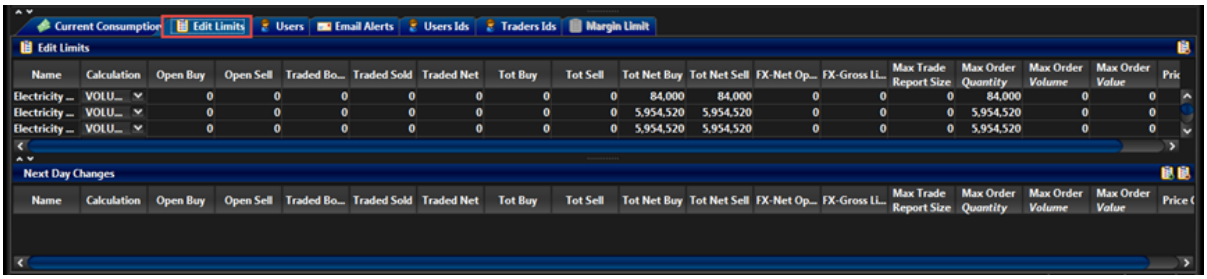
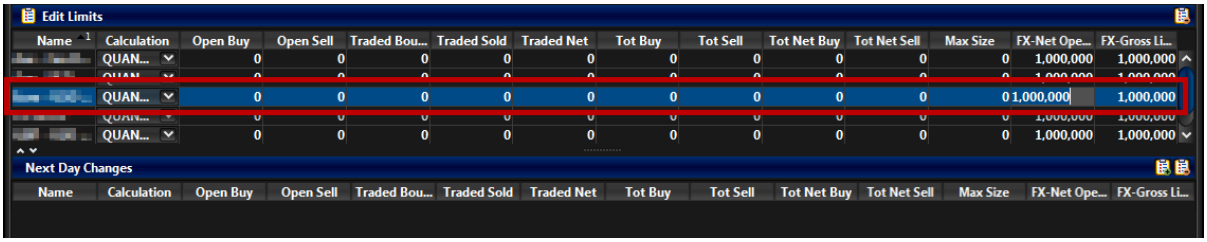
Limits for a Pre-Trade Limit Group



2. In the Same Day Changes panel, review or change the fields as necessary. See the Editing Limits Overview for definitions of any of the fields.

> Remember, an FX instrument can have all available limits applied to it, but a non-FX instrument cannot set FX limits.

Limits for a Pre-Trade Limit Group

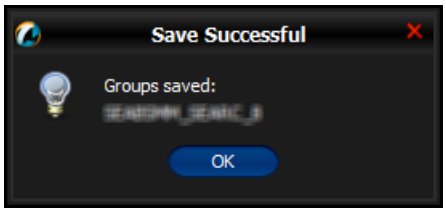


3. Click the **Save** button.

Save Button

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



4. Click the **OK** button to confirm your change.

> Changing a trade limit can be either an intraday day or a next day change.
>
> - If the change only affects risk counter limits, it will be an intraday change.

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- If the change affects the limit calculation, the limit will appear in the Next Day changes panel and be applied the next day.

- Setting a limit to zero disables the limit check.
- Changing a limit from zero to a non-zero value intra-day may cause unpredictable results. TradeGuard ignores credit consumption while the limit is zero.

Deleting an Existing Trade Limit

To delete an existing trade limit to on a Pre-Trade Limit Group, complete the following steps:

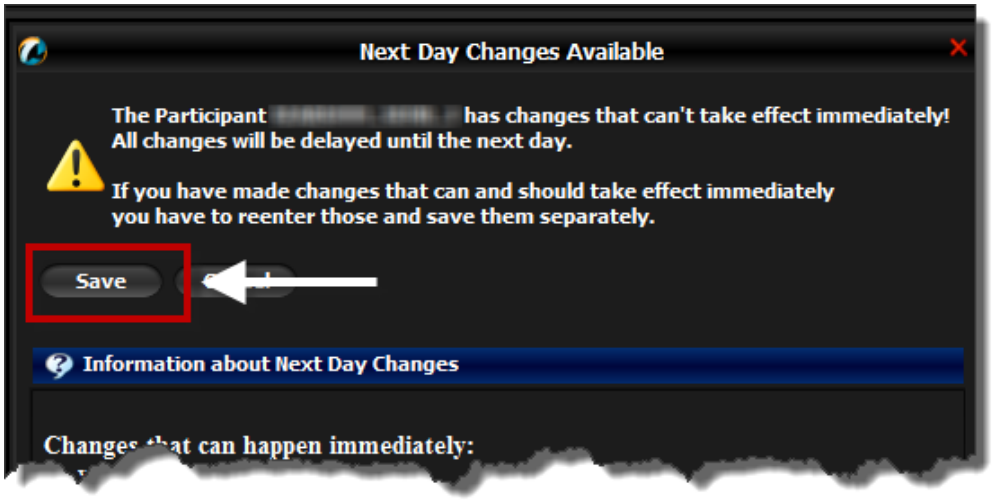
1. Click the group for which you want to edit limits, and then click the **Edit Limits** tab.
2. In either the Same Day Changes or the Next Day Changes panel, select the limit to delete.
3. In the appropriate panel, click the **Remove Tradeable** button.
4. Click the **Save** button.

Saving Changes to the Group

The Next Day Changes Available confirmation window appears.

5. Click the **Save** button.

Next Day Changes Save Button



The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

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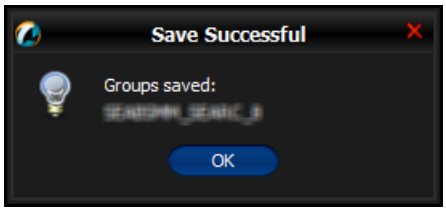
Save Successful Dialogue Box



6. Click the **OK** button to confirm your change.

   After you delete the trade limit click the Save button, the limit will appear in the Next Day Changes panel and be removed the next trading. The limit will appear in the Next Day Changes panel and be removed the next trading.

> This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

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Managing Users Overview

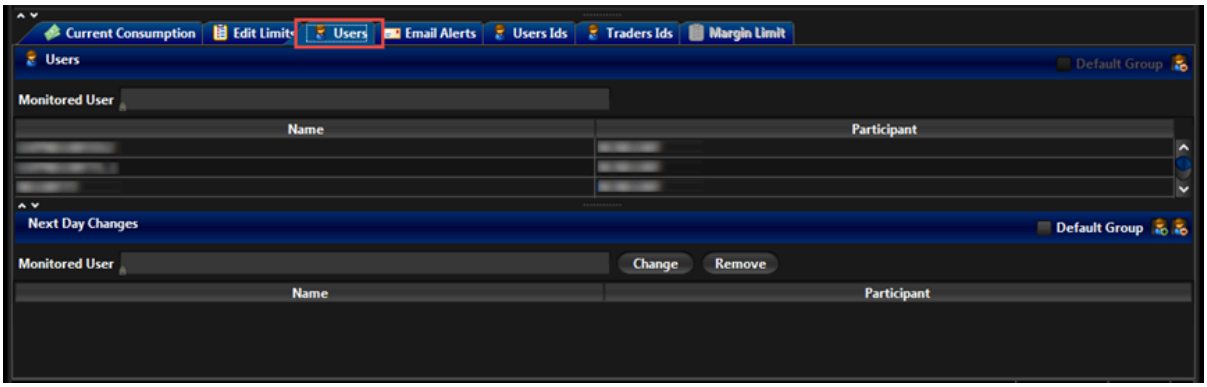
The Users tab shows which Genium INET user accounts are assigned to a given Pre-Trade Limit Group.

Viewing Users

To view users that are assigned to a Pre-Trade Limit Group, complete the following steps:

1. From the main window, click the group for which you want to view users, and then click the **Users** tab.

Users Tab



2. Review the users assigned to the group.
   - **Name**: Displays the signature of the user.
   - **Participant**: Shows the Participant the user belongs to.

- In order to see a user that was added intra-day by another user, you need to log out and log back into the application.
- Properties of users cannot be edited from the TradeGuard application.

Adding a User to a Pre-Trade Limit Group

Genium INET users need to be assigned to a Pre-Trade Limit Group. A user can belong to only one group in the Genium INET TradeGuard application.

To add a user to a group, complete the following steps:

1. From the Genium INET TradeGuard window, click the group for which you want to add a new user.
2. Then click the **Users** tab.

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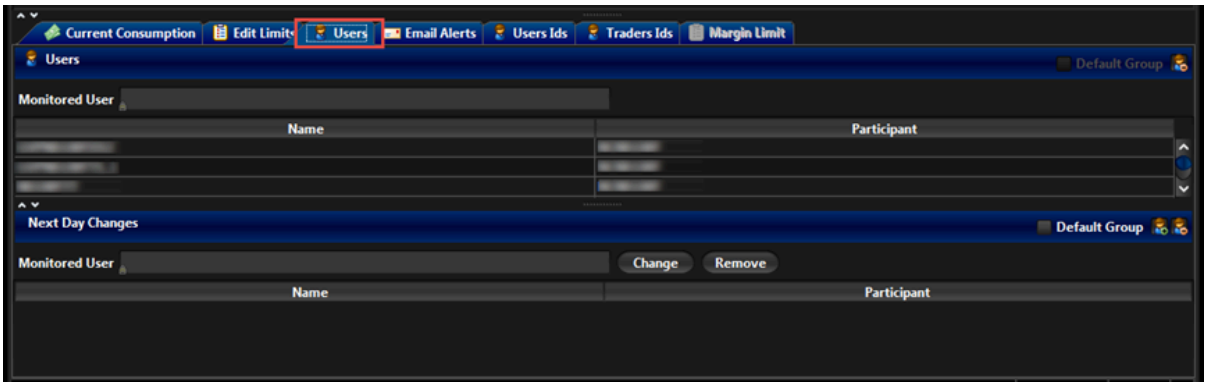
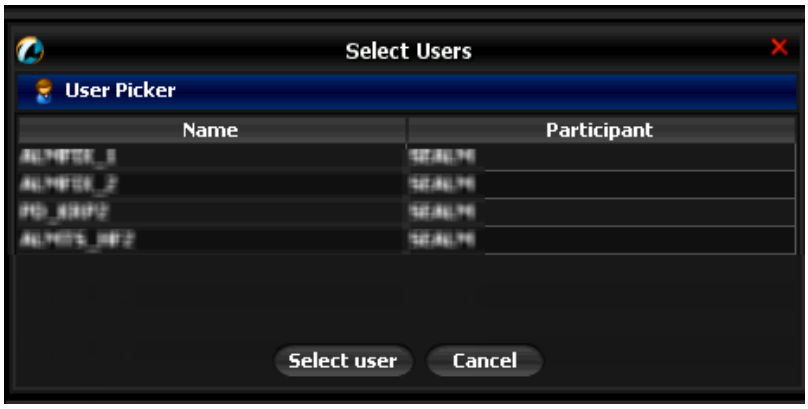
Users Tab



3. Click the **Add New User** button.

   The Select Users window displays.

Select Users Window



4. The table shows users who are unassigned to Pre-Trade Limit Groups. Review the following fields to determine which user you want to add:
   - **Name**: Displays the signature of the user.
   - **Participant**: Shows the Participant ID the user belongs to.
5. Select a user from the table.
6. Click the **Select user** button.

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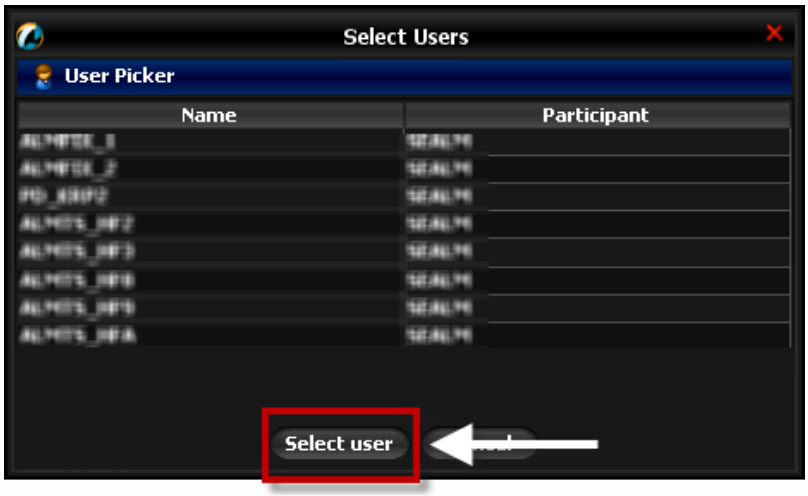
Select User Button



The new user is added to the Users tab.

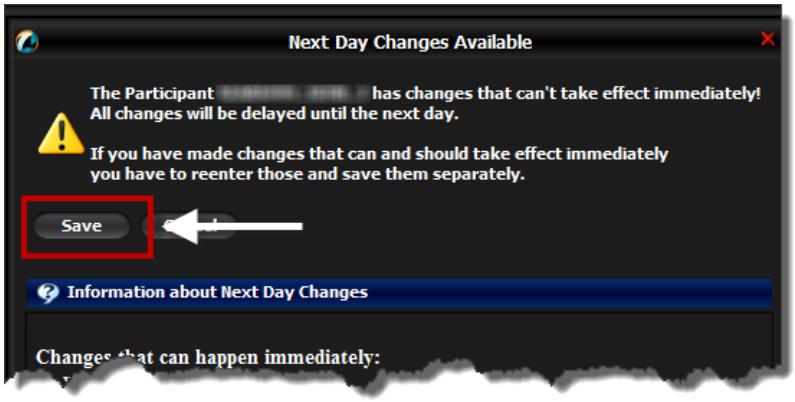
7. Click the **Save** button.

Save Button on Trader Panel

The Next Day Changes Available confirmation window appears.

8. Click the **Save** button.

Next Day Changes Save Button



The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

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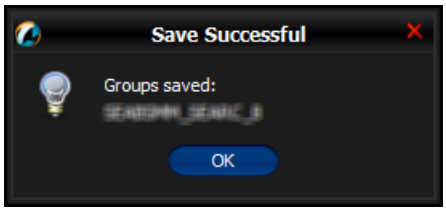
Save Successful Dialogue Box



9. Click the **OK** button to confirm your change.

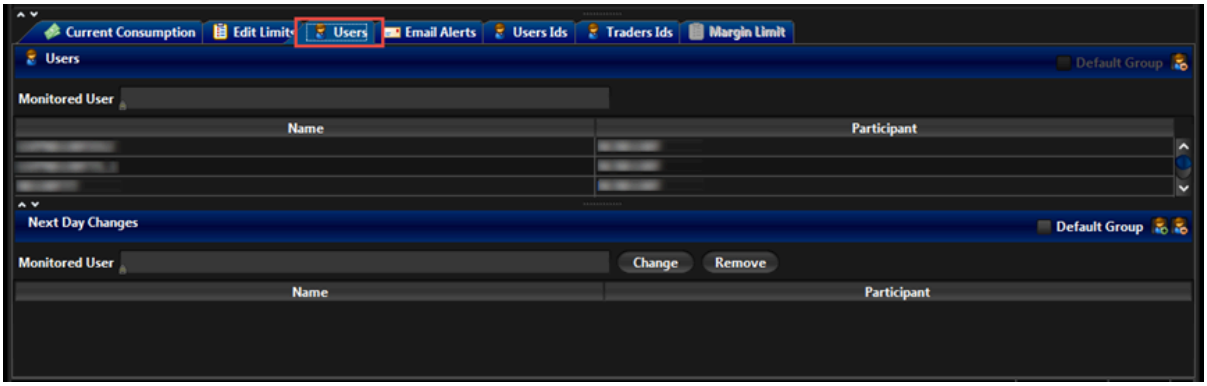
> This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

Removing a User From a Pre-Trade Limit Group

To remove a user from a group, complete the following steps:

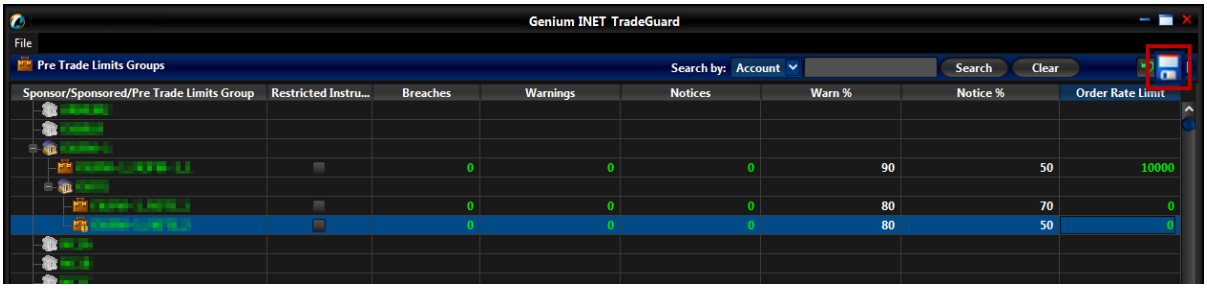
1. Click the Pre-Trade Limit Group you want to modify, and then click the **Users** tab.

Users Tab



2. Select the user to remove.
3. Click the **Remove User** button.
4. Click the **Save** button.

Save Button on Trader Panel



The Next Day Changes Available confirmation window appears.

5. Click the **Save** button.

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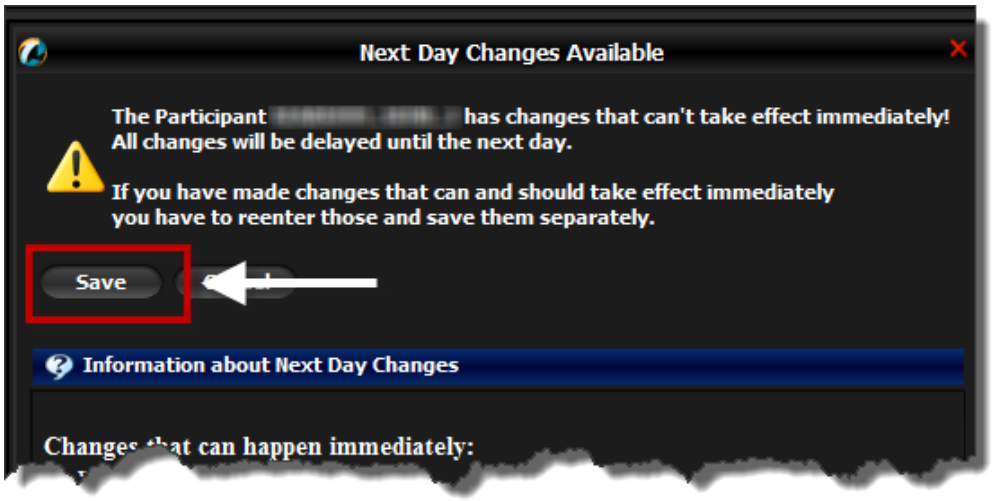
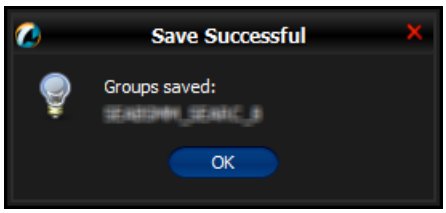
Next Day Changes Save Button



The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



6. Click the **OK** button to confirm your change.

This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

Changing or Removing a Monitored User

A Pre-Trade Limit Group can be configured to monitor the connection status of a Sponsoring Participant's real-time feed session (FIX and/or OMnet). For example, this can be used to monitor the drop-copy feed connection status of a specific clearing member user. If the clearing member disconnects, traders in the group will be automatically blocked from entering transactions.

If the Monitored User disconnects from the exchange, any Pre-Trade Limit Groups that monitor that users will:

- Be blocked (unable to submit orders and quotes).

Setting a Monitored User is optional. The monitored user must belong to the Pre-Trade Limit Group's Sponsoring Participant.

The monitored user id should NEVER be used to log into the Genium INET TradeGuard client application. Doing so will trigger monitoring groups to block.

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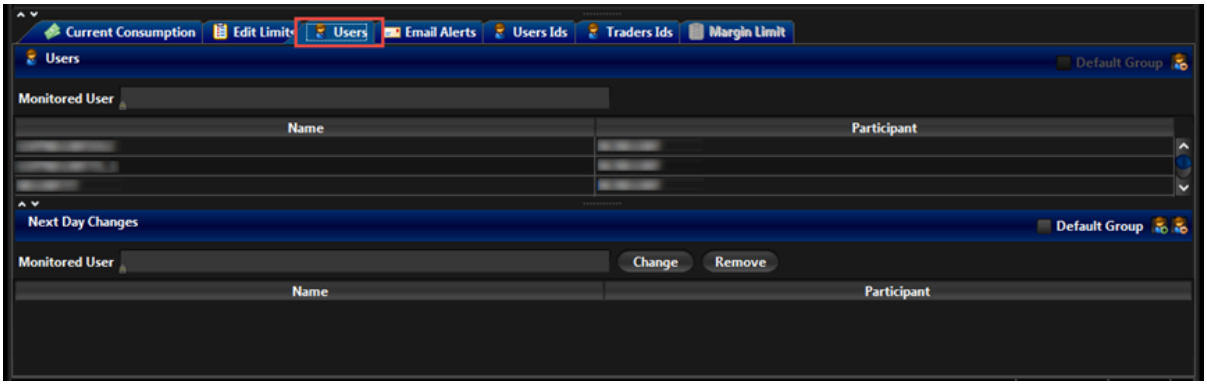
To change a Monitored User, complete the following steps:

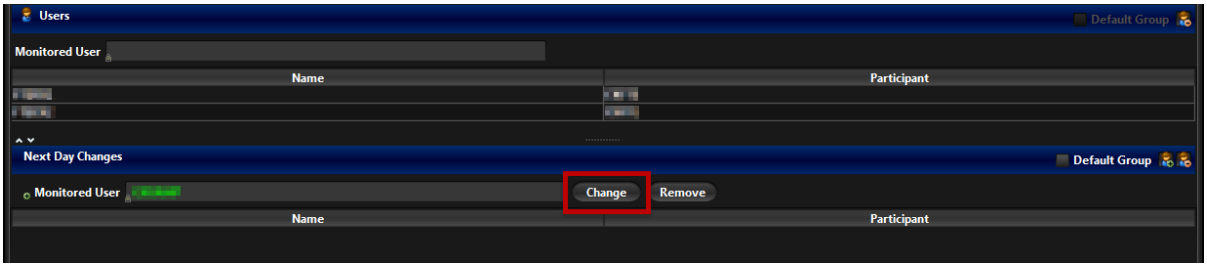
1. From the Genium INET TradeGuard window, click the Pre-Trade Limit Group for which you want to change a Monitored User, and then click the **Users** tab.

Users Tab



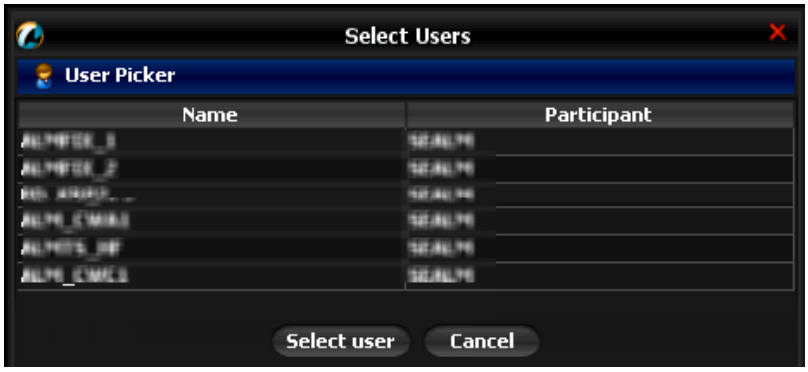
2. Click the **Change** button. Alternatively, click the **Remove** button to remove the selected user.

Change Button



The user selection window appears.

Picking a Monitored User



3. Click the user to be monitored, and then click the **Select User** button.

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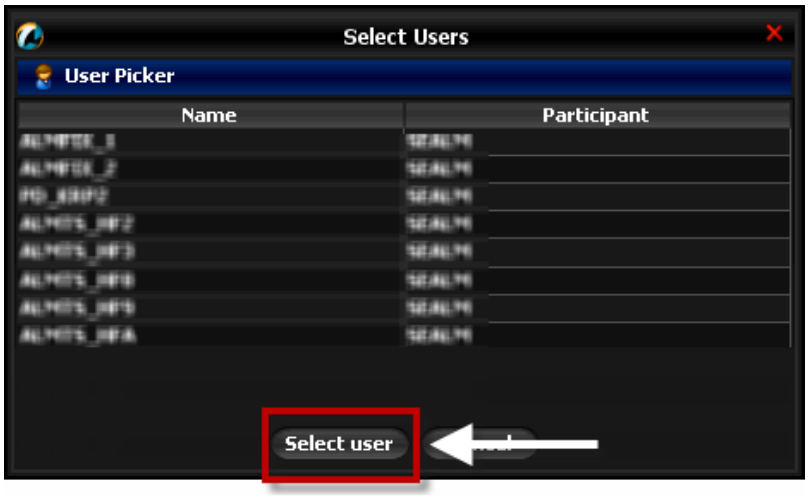
Select User Button

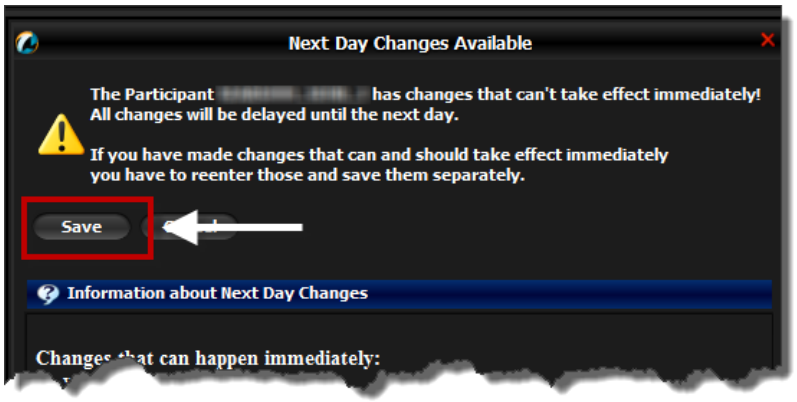


4. Click the **Save** button in the trader panel to save your changes.

Save Button on Trader Panel

5. The Next Day Changes Available confirmation window appears.
6. Click the **Save** button.

Next Day Changes Save Button



The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

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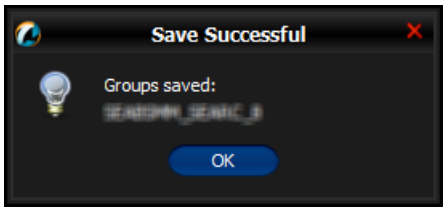
Save Successful Dialogue Box



7. Click the **OK** button to confirm your change.

> This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

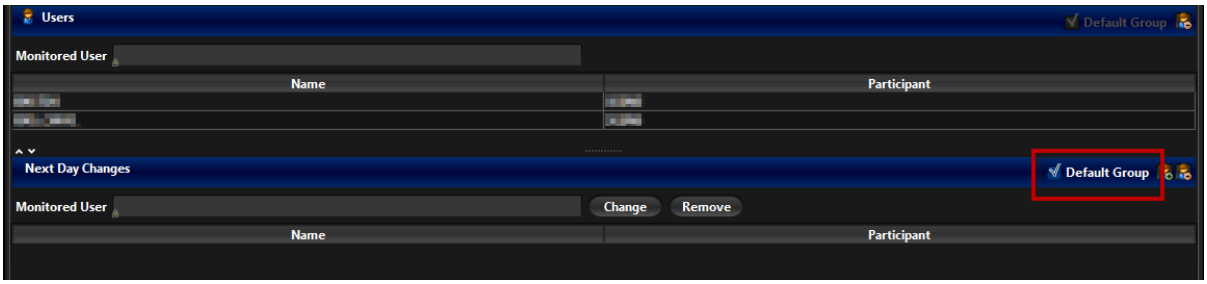
Default Group

Designating a group as the default group associates transactions from the default user into the group. Transactions by the default user are those where the user field does not contain a valid user ID. This can occur when a two-party trade is entered, or when the exchange enters or modifies an order on behalf of a member. Unless a group is designated as the default group, these transactions will not be represented in the exposure calculated by TradeGuard.

To assign the default user to a Pre-Trade Limit Group, complete the following steps:

1. Select a Pre-Trade Limit Group where you will add the default user risk.
2. Click the **Users** tab.

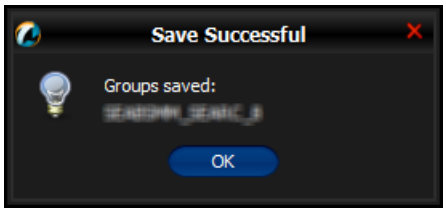
Default Group Checkbox



3. Click the **Default Group** check box in the next day changes panel.
4. Click the **Save** button.

   A save confirmation appears.

Confirmation Window



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This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

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Managing Email Alerts Overview

The Genium INET TradeGuard server monitors the activity of all groups, and account limit nodes at all times. If the calculated current risk of a group or a node exceeds any of its established notification levels, emails are sent to all members of the notification list for that group. The notification levels are set as a percentage of the limit and can be set individually for each Pre-Trade Limit Group and account node.

The Genium INET TradeGuard application can be configured to send three types of email alerts:

1. **Notices**: Lowest level of alert.
2. **Warnings**: Highest level of alert.
3. **Breaches**: Risk limit values have been exceeded.

The values associated with breaches are defined by level and are color coded to provide a visual indicator of risk.

- Notice (yellow) is the lowest level of alert.
- Warning (orange) is next highest level of alert.
- Breach (red) indicates that the set values have been exceeded.

Each limit defined for a Pre-Trade Limit Group will only send one notice, warn, and breach email alert per trading day.

If a limit is altered during the trading day, this limitation will be reset, and the limit will again generate one email alert for each notification level regardless of any that were sent previously.

The Order Rate limit only generates breach emails. It does not create notice or warning email alerts. Each time the Order Rate limit breaches it will send an email alert.

Setting Email Alerts

To set email alerts, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select the Pre-Trade Limit Group for which you want to define new email alerts, and then click the **Email Alerts** tab.

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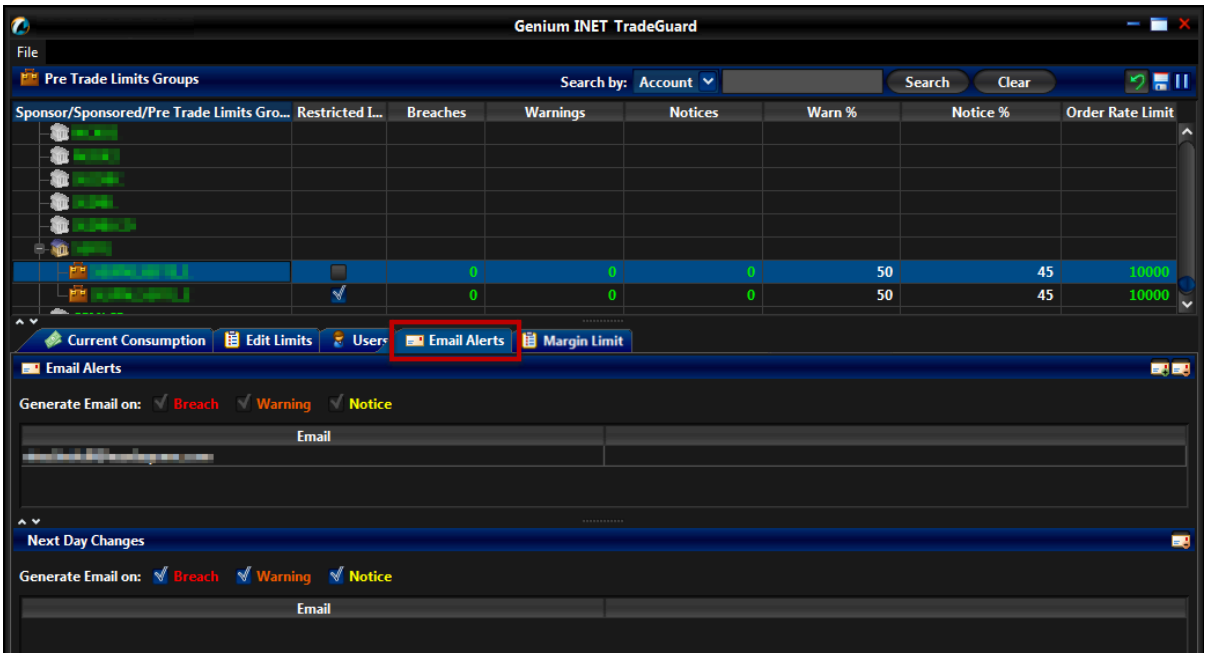
Email Alerts Tab

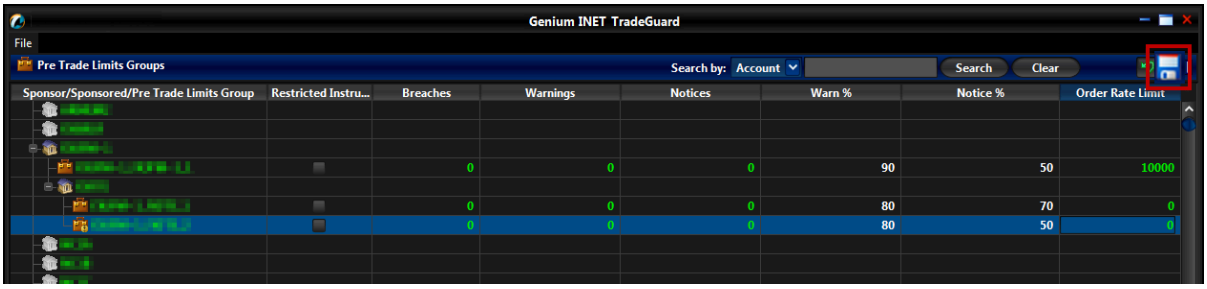


2. Select or deselect the following check boxes to turn them on or off.
   - **Breach**: Send emails when the group breaches a set limit.
   - **Warning**: Send emails when the group reaches the warning level of a limit.
   - **Notice**: Send emails when the group reaches the notice level of a limit.

Selecting Alerts

3. Click the **Save** button in the trader panel to save your changes.

Save Button



After you set and save email alerts, all members of the email alert group receive notifications when the selected events occur.

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This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

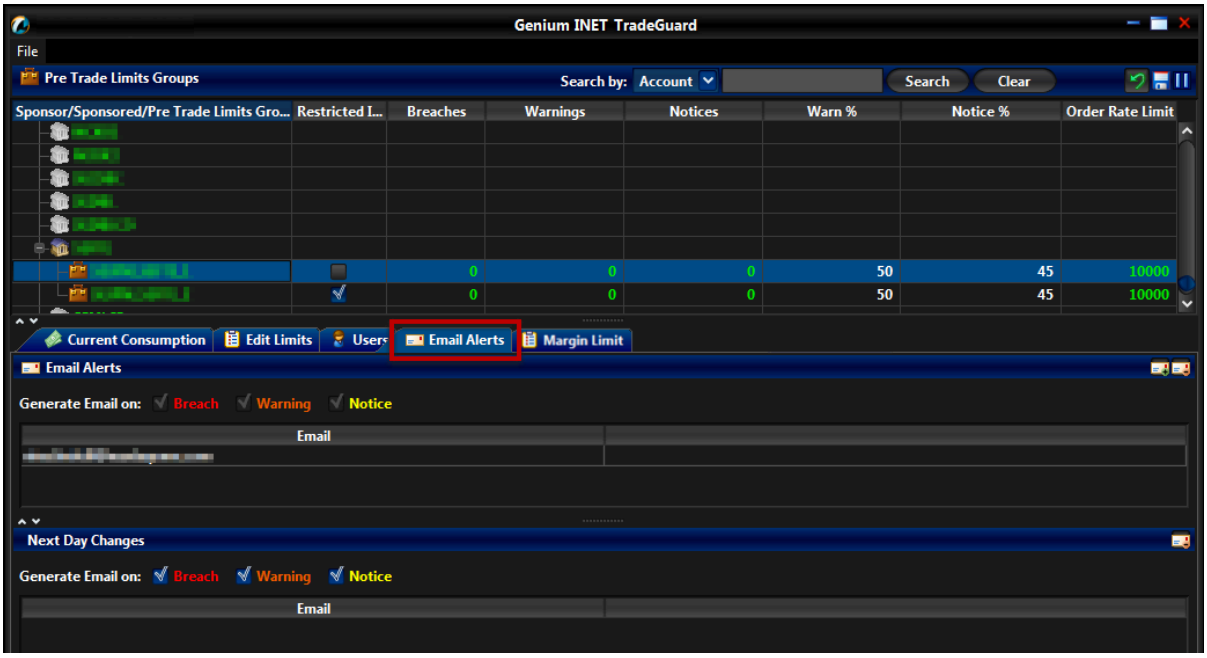
Adding New Email Alert Recipients

You can add new email addresses to be alerted when a Pre-Trade Limit Group generates notice, warn, and breach events.

To add new email alerts, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select the Pre-Trade Limit Group for which you want to define new email alerts, and then click the **Email Alerts** tab.

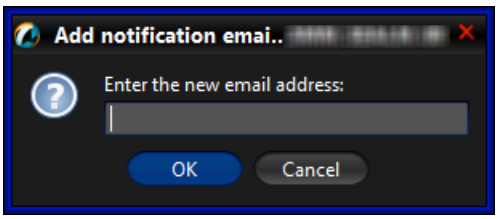
Email Alerts Tab



2. Click the **Add New Email** button.

   The Add notification email window displays.

Add Notification Email Window



3. Enter the new email address.
4. Click the **OK** button.
5. Click the **Save** button in the trader panel to save your changes.

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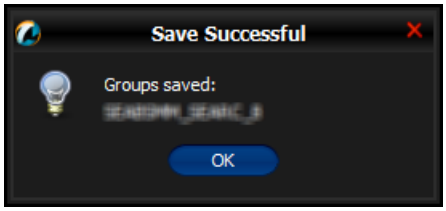
Save Button

The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



6. Click the **OK** button to confirm your change.

   After you add the new email alert recipient and click the Save button, the email address is immediately added to the notification list for the group or node.

> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Editing Email Alert Recipients

You can edit the email address of any notification recipient at any time. After you edit the email alert recipients and click the Save button, they begin to receive email alerts immediately.

To edit email alerts, complete the following steps:

1. From the Genium INET TradeGuard window, in the Trader Panel, select the Pre-Trade Limit Group for which you want to define new email alerts, and then click the **Email Alerts** tab.

   The Email Alerts panel displays.

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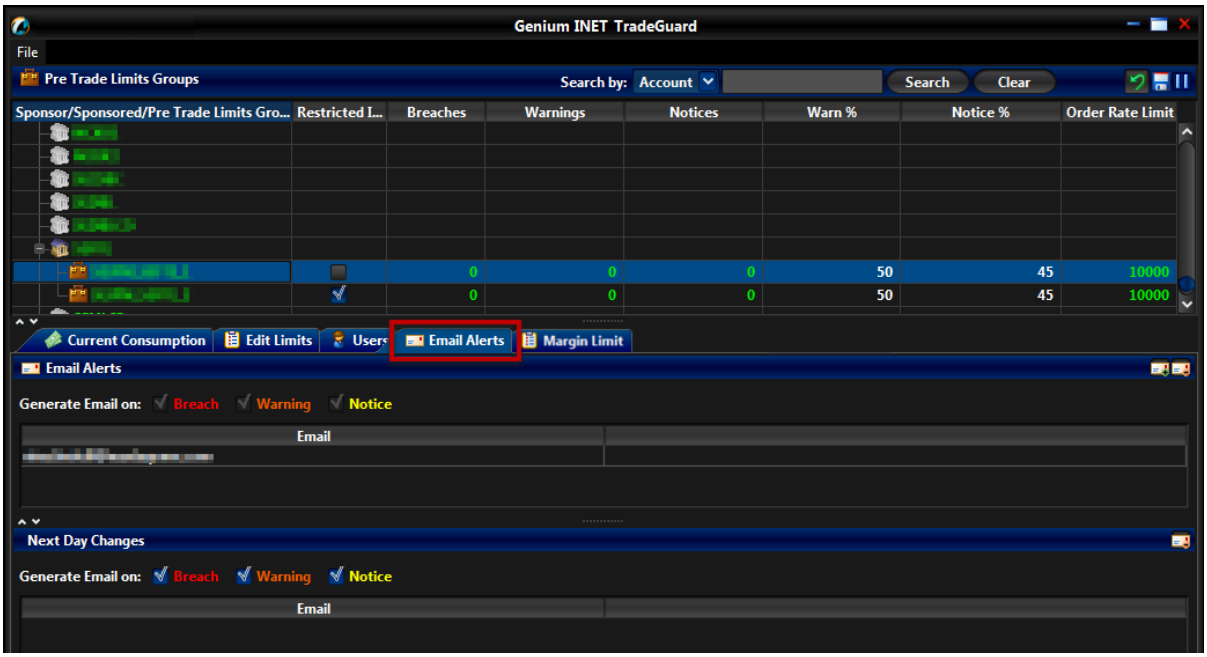
Genium Email Alerts Tab



2. Edit the following fields and options as necessary:
   - **Email**: Double click the name field to edit the email recipient.
   - **Generate Email on**: Select or deselect the following check boxes to turn notifications on or off.
   - **Breach**: Notify recipients when the group breaches a limit.
   - **Warning**: Notify recipients when the group passes the warning threshold and is close to a breach.
   - **Notice**: Notify recipients when the group passes the notice threshold.
3. Click the **Save** button.

Save Button

This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Removing Email Alert Recipients

To remove an email address from the alert list, complete the following steps:

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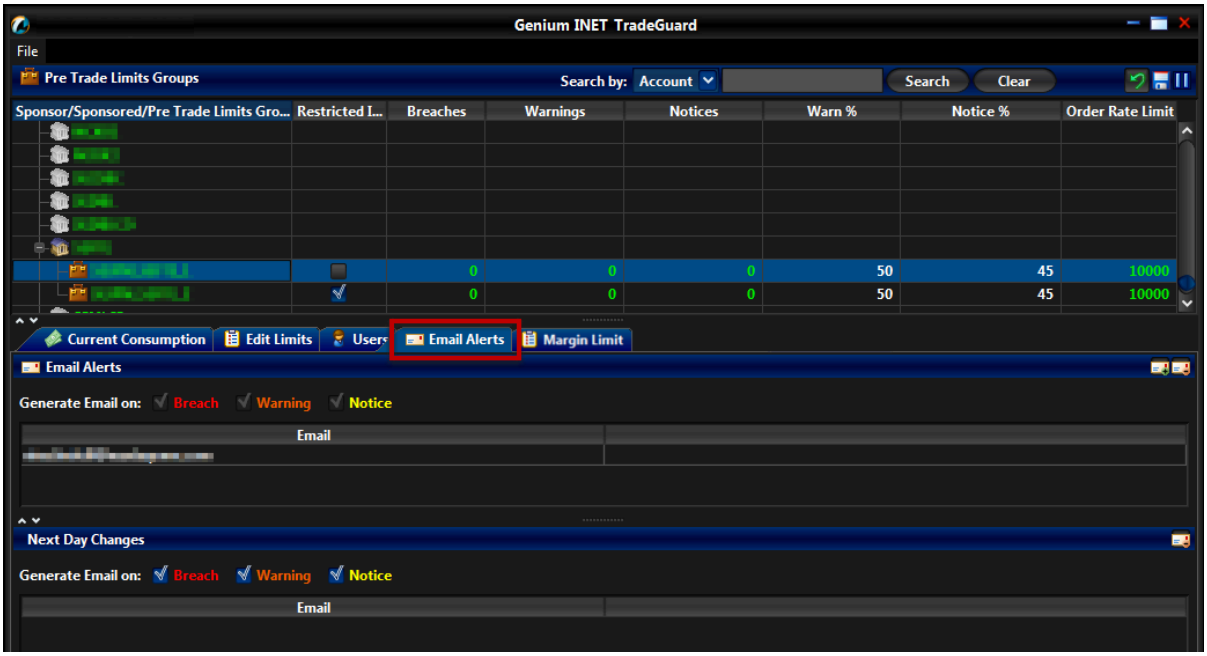
1. From the Genium INET TradeGuard window, in the Trader Panel, select a Pre-Trade Limit Group.
2. Next, click the **Email Alerts** tab.

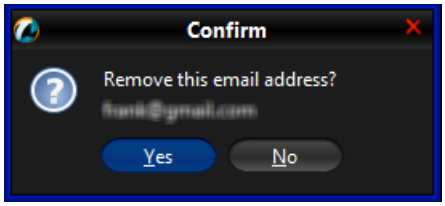
Email Alerts Tab



3. Click the desired email recipient.
4. Click the **Remove Email** button.

   A confirmation dialogue appears.

Removing Email Alert Recipients



5. Click the **Yes** button.
6. Click the **Save** button.

Save Button

   The Next Day Changes Available confirmation window appears.
7. Click the **Save** button.

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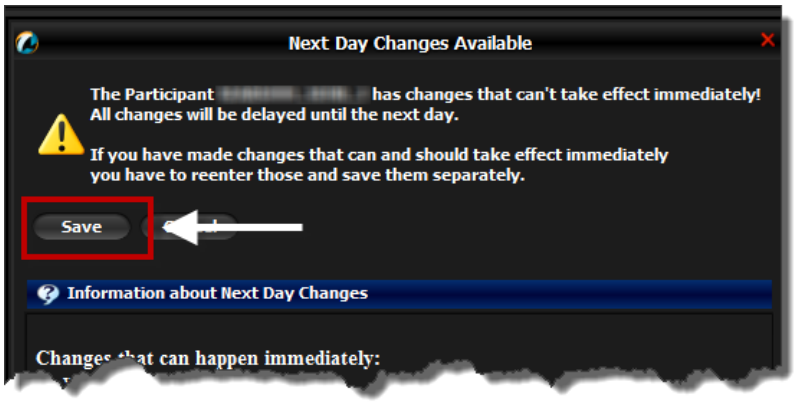
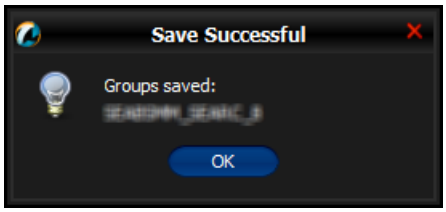
Next Day Changes Save Button



The Save Successful dialogue box appears confirming your changes for the group or groups you have changed.

Save Successful Dialogue Box



8. Click the **OK** button to confirm your change.

This is a next day change. Saving the change sends it to the exchange database and becomes effective when the system is started the next day. See next day change for more information about next day changes.

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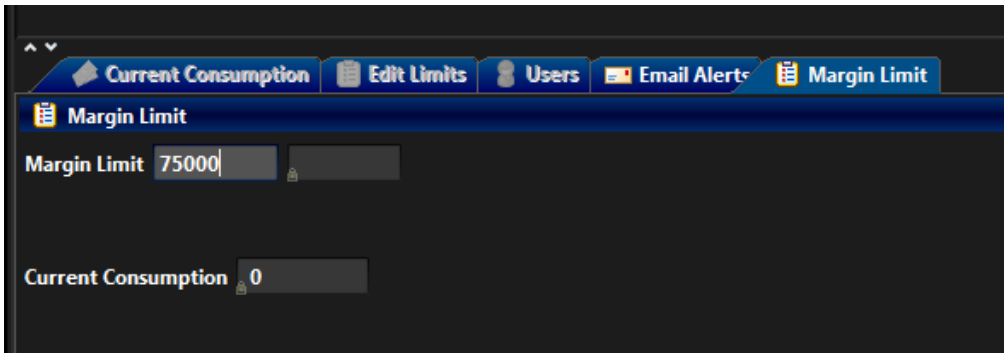
Margin Limits Tab

Account Limit Nodes can perform margin calculations for a selected account. An account's limit, and current consumption of the limit is displayed on this tab.

Margin Limits Tab

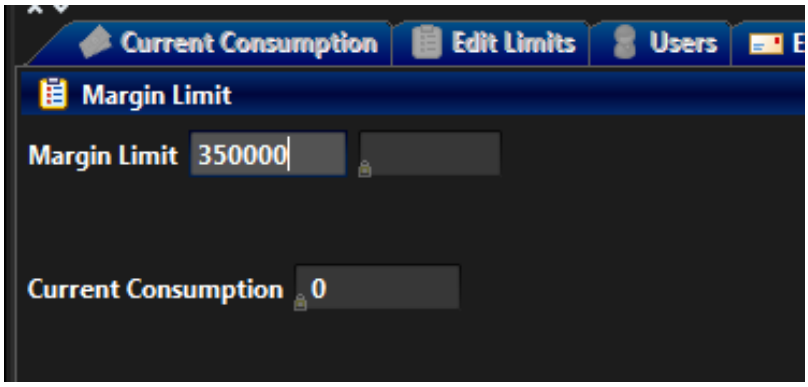


Changing Margin Limits

To change the margin limit on an Account Limit Node, complete the following steps:

1. From the Trade Panel, select an Account Limit Node.
2. Click the **Margin Limits** tab.
3. Click the unlocked margin limit field.
4. Enter a currency value for the node's limit.

Changing the Margin Limit



5. Click the **Save** button.

Save Button on Trader Panel

A confirmation dialogue will appear.

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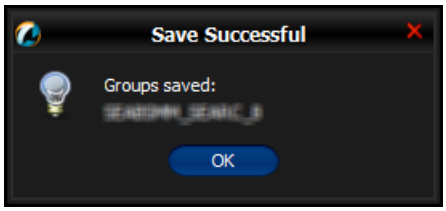
Save Successful Dialogue Box



6. Click **OK**.

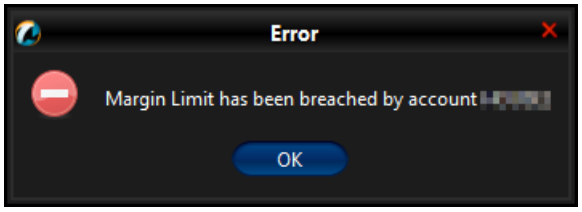
> This is an intraday change. This change takes effect immediately. See intraday changes for more information about intraday changes.

Breaches to Margin Limits

If an Account Limit Node breaches a margin limit:

- The breach count for the node is incremented.
- Email alerts are sent to the notification list for the node.
- If popup alerts are enabled for any users of the TradeGuard with permission to view the node, then a pop-up will occur for those client applications.

Example of Pop-up Breach Alert



> Margin breaches do not automatically trigger a block on the node. It is up to the operator to decide how to respond to a margin limit breach.

Enabling Popup Warnings for Margin Breaches

To enable pop-up warnings on margin breaches, complete the following steps:

1. Click the **File** menu of the TradeGuard application.

   The File menu will appear.

File Menu

2. Click **Show popup on margin limit breach**. Alternately, de-select the check-box again to disable pop-up alerts for margin breaches.

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Once selected, any margin breaches on Account Limit Nodes visible to your user login will cause popup alerts to appear.

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Appendix

Glossary

At-Trade

This term pertains to limits that are checked by the TradeGuard server after it receives a copy of the order detail or match detail message. If an at-trade limit is exceeded, then the TradeGuard server sends a 'breach' message to the matching engine to block further order flow until the breach condition is resolved.

Monitored User

A user belonging to a Sponsoring Participant, who is used to monitor the trading activities of Pre-Trade Limit Groups.

Pre-Trade

The impact of an order is checked against the limits in place, and an order is possibly rejected, before the order is allowed to enter the order-book of the exchange matching engine.

Pre-Trade Limits Group

A group of users from the same market participant. Pre-Trade Limit Groups are set up by a Sponsoring Participant to control the risk of a group of users within a Sponsored Client. Sometimes abbreviated as PTLG.

Price Quotation Factor

A number which describes the volume of underlying units represented by a derivative instrument. For instance, if a single futures contract represents the right to buy or sell 100 units of the contract’s underlying instrument, the price quotation factor for the futures contract would be 100. Also known as contract multiple.

Sponsored Client

A market participant who is granted direct trading access on the basis of a Sponsoring Participant accepting responsibility for all entered transactions.

Sponsoring Participant

Sponsoring Participant means a market participant who sponsors one or more clients so that they can have a direct connection to an exchange.

Trade Report

A trade report is a trade arranged without submitting orders to the exchange to be matched. Even though this order was matched off the exchange, a record of the transaction is still sent to the exchange with a specialized message type.

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Tradeable

A set of instruments traded in Genium INET, which typically has some common characteristics. This group of instruments may either be an “instrument type” or “instrument class”. The exposure of each Pre-Trade Limit Group to a tradeable is monitored and limited by the TradeGuard application.

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Change Log

Revision	Date	Description
6	2015-02-11	Column names for FX limits are prefixed with 'FX-'. Update screen shots. Minor text changes.
7	2015-03-23	Updates for addition of Max Trade Report Size limit. General editing.
8	2015-04-08	Minor corrections.
9	2015-04-20	Minor edits.
10	2015-05-05	The names of the Account tab and Messages tabs changed to Account (FX) and Messages (FX). Update screen shots. Minor edits.
11	2015-05-06	Minor edits.
12	2015-10-21	Re-issue for 4.0.0260 release. Minor stylesheet changes.
13	2016-01-06	Change product name to TradeGuard. Update screenshots.
14	2016-01-12	• Updates related to Margin Limits tab and Account Limit Nodes. Updates to Window Layout, Working With Account Limit Nodes, and Margin Limits tab topics. • Remove the Account (FX) tab, and the Messages (FX) tab. • Update screenshots throughout manual. General editing.
15	2017-08-25	Updated with new Mass Cancel functionality.
16	2020-12-02	Update system requirements. GUI now requires OpenWebStart to run JNLP application.
22	2020-12-10	Bump doc version up to 22 to match and overtake version record on deployment site.

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