

Large Open Positions Reporting (LOPR)

Position Report Manager User Guide for Approved Participants

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Equities

Toronto Stock Exchange TSX Venture Exchange Equicom

Derivatives

Montréal Exchange CDCC Montréal Climate Exchange Fixed Income Shorcan Energy NGX **Data** TMX Datalinx PC Bond

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		 Application name and document title changed from Positions Reporting Manager to Position Report Manager throughout docu- ment.
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		 Second paragraph deleted
		 Section 2.1, Objectives, Text modifications
		Chapter 3
		 Rework of step 3 in section 3.2.1 resulting of placement to page 9 from page 10
		Chapter 6
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		Chapter 8
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		 Insertion of new section 8.5 Edit Column Properties
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		 Account Type field, list entry for Omnibus changed back from 'O' to '3'.
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		 Addition of two Fields in Chapter 6, Section 6.2
		 Recreation of all screen captures for Chapter 4
		 Rewrite of Chapter 7 including screen captures
		 Update of table footnotes in sections 6.2, and 7.3.1

Document Notes

Date	Description

Typographic Conventions

Convention	Meaning
Abbreviated menu	This document uses abbreviated menu.
commands	For example, "Click Display > Toolbars > Standard " means that you should click the Display menu, point to Toolbars , and click the Standard entry.
Boldface type	Boldface type is used for commands, keywords, file names URLs, or other information that you must use literally.
	Name of windows, dialogs, and other controls also appear in boldface type.
Initial Capital Letters	The first letter of the names of menus, dialog boxes, dialog box elements, and commands are capitalized.
<text angle<br="" in="">brackets></text>	Angle brackets are used for variables and values that you must provide.
Emphasized type	Emphasized type is used for words and phrases that need to be emphasized, as for new terms defined in the text.
Monospace	Code and script examples appear in a monospace font.
Plus sign in text	Keyboard shortcuts are indicated by a plus sign separating key names.
	For example, Ctrl+F1 means that you must press the Ctrl and F1 keys at the same time.

Table Of Contents

Chapter 1 — Introduction	1
1.1 – Purpose	1
1.2 – Scope	1
1.3 – Audience	1
Chapter 2 — Application Overview	3
2.1 – Objectives	4
2.2 – Account Details	4
2.3 – Position Details	5
Chapter 3 — Getting Started	7
3.1 – Starting the Application	7
3.2 – Connecting / Disconnecting	8
3.2.1 – Login	8
3.2.2 – Logout	
3.3 – Navigating Within the Application Graphical User Interface (GUI)	
3.3.1 – Main Menu Bar Items	
3.3.2 – Toolbar and Icons	
3.3.3 – Workspace & Windows	
Chapter 4 — Business Item - Accounts	
4.1 – Opening the Accounts Data Window	
4.1.1 – Account Sub-Menu Functionality	
4.2 – Working with Accounts	
4.2.1 – Creating New Account Records	
4.2.2 – Copying Account Records	
4.2.3 – Editing an Account Record 4.3 – Deleting an Account Record	
4.5 – Deleting all Account Records	
Chapter 5 — Business Item - Positions	
-	
5.1 – Opening the Positions Data Window	
5.1.1 – Positions Sub-Menu Functionality 5.2 – Working with Positions	
5.2 – Working with Positions	
5.2.2 – Copying Position Records	
5.2.3 – Editing a Position Record	
5.3 – Deleting a Position Record	
5.4 – Deleting All Displayed Records	
5.5 – No Positions to Report	51

Table of Contents (continued)

Chapter 6 — Field Types	53
6.1 – Account Data Fields	53
6.2 – Position Data Fields	55
Chapter 7 — Importing CSV Files	57
7.1 – Viewing Import Formats	57
7.2 – Importing Files in .csv Format	
7.3 – CSV Record Layouts	63
7.3.1 – Account Record	63
7.3.2 – Position Record	64
7.4 – Header Samples	65
7.4.1 – Account Record Header	65
7.4.2 – Position Record Header	65
Chapter 8 — Data Window Customization	67
8.1 – Introduction	67
8.2 – Sort	68
8.3 – Filter	70
8.4 – Hide	73
8.5 – Edit Column Properties	75
8.6 – Editing Window Title	78
8.7 – Rearranging Columns	79
8.8 – Exporting to Clipboard	80
8.8.1 – When to export data to the clipboard?	
8.8.2 – How to Export to Clipboard	
8.9 – Search	
8.10 – Search Column	81
8.11 – Print	
8.11.1 – Printing a Business Item	82
Appendix A — Workspaces and Data Windows	83
A.1 – The Workspace	83
A.2 – Data Windows	
A.3 – Window Functions within the Workspace.	94
Appendix B — Acronyms and Definitions	103
B.1 – Acronyms	
B.2 – Account Owner Types	
B.3 – Account Types	
B.4 – Account Ownership	
B.5 – Account Owner ID	
B.6 – Account Aggregation	

List of Figures

Figure 1: – Services Offered by SOLA [®] LOPR System	3
Figure 2: - Application Name and Main Menu Items	10
Figure 3: – Position Report Manager Toolbar	13
Figure 4: - Workspace After Initial Signon	14

List Of Tables

Table 1: - Position Report Manager Main Menu Items Definition	. 1	1
Table 2: - Toolbar Icons Definition	. 1	3

Chapter 1 Introduction

The Position Report Manager User Guide for Approved Participants has been created for the Position Report Manager application, developed by the Technology division of the Montréal Exchange Inc., a member of the TMX Group Inc.

1.1 Purpose

The purpose of the application enables Approved Participants (APs) to submit their open positions and account information on a daily basis to the Montréal Exchange Inc. Regulatory (MX-R).

1.2 Scope

This guide will provide a detailed description of the Position Report Manager (PRM) application that Approved Participants will use to enter their client's positions and account information for the MX-R.

Topics covered in this guide will include:

- Application Overview
- Getting Started
 - Connecting to the application (Login)
 - Getting around the application
 - Disconnecting from the application (Logout)
- Entering and submitting positions and client information
- Description of data fields
- Tools to facilitate the searching and analysis of data
- Manipulation of data windows within the Workspace
- Help Menu information on the format required to import Position and Account data

1.3 Audience

The Position Report Manager User Guide for Approved Participants will be primarily used by Approved Participants.

Chapter 2 Application Overview

The Position Report Manager application enables Approved Participants to report open positions and account information. Open position data will be on options, futures, and futures on options.

The illustration below shows the various components of the LOPR System and the interaction of the Approved Participants and MX-R.



Figure 1: Services Offered by SOLA[®] LOPR System

2.1 **Objectives**

To significantly reduce the time required by Approved Participants to prepare and submit open positions and client information, and to increase the accuracy of the submitted data.

2.2 Account Details

Approved Participants will create new Account records for each of their clients for submission to MX-R. Account records can be modified or deleted as required. Data fields that make up an Account record are as follows:

- AffiliatedCie
- AccountNumber
- AccountType
- AccountOwnerType
- OwnerId
- HedgeSpec
- Name
- Address
- City
- State (Province)
- ZipPostalCode
- Phone
- Fax
- Email
- CountryCode

For details on how to create, modify, or delete Account records, please refer to Chapter 4, Business Item - Accounts.

2.3 **Position Details**

Approved Participants will create open Position records for each of their Accounts for submission to MX-R on a daily basis.

Note: In the event the Approved Participant has no open positions to report on a given day, notification to MX-R that there are no positions to report must still be submitted. Refer to Chapter 5, Business Item - Positions, for details on how this is accomplished.

Position records can be modified or deleted as required. Data fields that make up a Position record are as follows:

- ReportDate
- AccountNumber
- ExternalSymbol
- ClassSymbol
- ExpirationDate
- CallPutCode
- StrikePrice
- LongQuantity
- ShortQuantity

For details on how to create, modify, or delete Position records, please refer to Chapter 5, Business Item - Positions.

Note: It is also possible for Approved Participants to create a CSV file for their Position records, which can then be 'Imported'. Import formats for CSV files will be covered in Chapter 7, Importing CSV Files.

Chapter 3 Getting Started

This chapter introduces the user to the Position Report Manager application. Topics that will be covered are:

- Starting the Application
- Connecting / Disconnecting
- Navigating within the Application Graphical User Interface (GUI)

3.1 Starting the Application

The application can be started in a number of ways depending on the system environment. Follow the instructions as presented in the following table to start Position Report Manager.

STEPS	DESCRIPTION
1	Depending on the system environment, do one of the following:
	 From the Windows status bar select Start > Programs > Position Report Manager
	 Double-click the Position Report Manager icon on the PC desktop
	The Position Report Manager Workspace window is displayed as follows:
	Leposition Report Manager - Workspace: Not defined Image: Control of the second seco

3.2 Connecting / Disconnecting

Once the Position Report Manager application has been started, the next step is to Connect or **Login** to the application. Once the session is over, the user will disconnect or **Logout** from the application.

Note: When logging into the application you will be required to enter your User Name and Password.

Detailed steps on how to accomplish both functions follow.

3.2.1 Login

STEPS	DESCRIPTION
1	 To log into the Position Report Manager application from within the Workspace window, do either of the following: From the application Main Menu options, select File > Login (shown below) Use the shortcut key sequence: F9 Use the icon from the Toolbar
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Clogin File Construct Crif+F9
	Open Window F11 Open Workspace Ctrl+F11 Save Window As Ctrl+F12
	Save Window As Template Ctrl+Alt+T Save Workspace F12 Save Workspace As Shift+F12 Save Workspace As Default F6

STEPS	DESCRIPTION
2	Enter your User Name and Password
	The completed dialog is as follows:
	Click OK
	Login Information
	User Name PART001
	Password *****
	0 <u>K</u> <u>C</u> ancel
3	To verify connectivity status, click the <i>i</i> icon located on the Toolbar :
	The Communication Status Details window appears, as shown below, displaying
	connectivity status.
	Note: If you were not able to log in to the application, this window will display a related
	error message. For additional information on the Communication Status Details icon, refer to section 3.3.2, Toolbar and Icons.
	 Click Clear and Exit to exit the window
	Communication Status Details
	2011/03/31 11:42:17.910 - [CRITICAL]Cannot get "mxqa9slave.qa.me.org" host entry 2011/03/31 11:44:05.004 - [INFO]Connected with delay to address: mxqa9.qa.me.org/281.
	Copy to Clipboard Clear and Exit Cancel
	Copy to Clipboard Clear and Exit Cancel

3.2.2 Logout



3.3 Navigating Within the Application Graphical User Interface (GUI)

This section deals with navigating within the Position Report Manager GUI. Topics covered are:

- Main Menu Items
- Toolbar & Icons
- Workspace & Windows

3.3.1 Main Menu Bar Items

The illustration displayed below displays the top part of the GUI.

 Position Report Manager - Workspace: Not defined

 File
 Business Item
 Tools
 Window
 Help

Figure 2: Application Name and Main Menu Items

The top line contains the application name 'Position Report Manager', followed by:

• Workspace: Not defined, or name of a Workspace saved as a default

For information on working with Workspaces, refer to section A.1, The Workspace.

The second line contains the application functions which are:

- File
- Business Item
- Tools
- Window
- Help

Table 1: Position Report Manager Main Menu Items Definition

MAIN MENU ITEMS	DESCRIPTION				
	The File menu item enables the user to:				
	 Log in and out of the application 				
	 Open an existing Window or Workspace 				
File	 Save a current Window under a new name 				
	 Save a specific Window as a default style 				
	Save a Workspace				
	Rename a Workspace				
	 Save the Workspace and its contents as the default environment 				
	Business Item enables you to open the two main data windows in the PRM application.				
	The two windows are:				
Business Item	Accounts				
	Positions				
	It also provides you with the option:				
	No Position to report				

MAIN MENU ITEMS	DESCRIPTION
Tools	The Tools menu item enables the user to customize individual Informa- tion Data windows, with the following functions: Sort Filter Hide Edit Column Properties Edit Window Title Additional functions are: Export to Clipboard Print Search Grid Options For detailed information on the above functions, refer to Chapter 8, Data
Window	 Window Customization. The Window menu item enables you to change the display of open windows with the following features: Cascade Tile Horizontally Tile Vertically Minimize All Arrange All For detailed information on the above functions, refer to section A.2, Data Windows.
Help	 The Help menu item contains the following entries: Position Import Format – field layout for .csv file Account Import Format – field layout for .csv file About – details about the application name and version For more information on importing .CSV files, refer to Chapter 7, Importing CSV Files.

Table 1: Position Report Manager Main Menu Items Definition (Continued)

3.3.2 Toolbar and Icons

The following illustration is the Toolbar section of the Position Report Manager GUI window.

Figure 3: Position Report Manager Toolbar

Toolbar Icons are defined in the following table.

Table 2:	Toolbar	lcons	Definition
----------	---------	-------	------------

ICONS	DEFINITION
3	Log In Keyboard Shortcut: F9 (Ctrl +F9 to Log Out)
₽↓	Ascending Quick Sort Keyboard Shortcut: Shift+F7
Z↓	Descending Quick Sort Keyboard Shortcut: Shift+F8
22	Remove Column Sort Keyboard Shortcut: Shift+Ctrl+F7
V	Set Quick Filter Keyboard Shortcut: Ctrl+Q
R	Remove Column Filter Keyboard Shortcut: Ctrl+Alt+Q
	Hide Columns Keyboard Shortcut: Ctrl+Alt+H
Ψ	Hide a single Column Keyboard Shortcut: Ctrl+H
e	Print
# \$	Search Keyboard Shortcut: Ctrl+F
r.	Cascade Windows

ICONS	DEFINITION		
	Tile Windows Horizontally		
	Tile Windows Vertically		
i	View Communications Status Detail such as warnings, errors, alerts, etc.		
Ī	Command History shows status of recently executed commands. For an example of how this icon is used, refer to section 5.5, No Positions to Report.		

Table 2: Toolbar Icons Definition

3.3.3 Workspace & Windows

Workspace

When you first log into the Position Report Manager, the following workspace is displayed. The Workspace is where you open Business Item Data windows (refer to section A.2, Data Windows for further information on working with data windows).

Position Report Manager - Workspace: Not defined	
File Business Item Tools Window Help	
Toolbar Main Menu	
◄ Workspace	
Functionality Description	
Modify sort criteria with currently selected column in ascending mode	

Figure 4: Workspace After Initial Signon

Initially, the Workspace is as it appears above, empty and unnamed, unless you have previously set up a named Workspace to be the default Workspace. In this case, your default Workspace is displayed when you log in. At any time, you are able to open another Workspace that has been previously saved.

The following functions that pertain to Workspaces are:

- Open Workspace...
- Save Workspace
- Save Workspace As...
- Save Workspace As Default

For further information on the above functions, refer to section A.1, The Workspace in Appendix A, Workspaces and Data Windows.

Data Windows

A Data Window displays information pertaining to a Business Item and is presented in a multi-column format. Each column has a title that relates to a data field. Approved Participants are able to open Data Windows for one or more Business Items to track specific information such as Account and Position data. When you first open a Data window, it is unnamed and contains only a sequence number representing the number of times the Business Item has been accessed.

The following functions that pertain to Windows are:

- Open Window...
- Save Window As...
- Save Window As Template

For further information on the above functions, refer to section A.2, Data Windows in Appendix A, Workspaces and Data Windows.

Chapter 4 Business Item - Accounts

4.1 **Opening the Accounts Data Window**

The Accounts Business item enables the Approved Participant to create, modify, and delete an Account. To open the Business Item Accounts Data Window, follow the steps below:

STEPS	DESCRIPTION	
1	From the Main Menu, select Business Item > Accounts as indicated below:	
	Positions No Position to report	

	RIPTIC							
		Data Windov						
numbe	er of the	e Accounts D	ata winc	low that I	nas been ac	cessed i	n the cur	rent se
l.p.	n Barrow		Not definition					
		lanager - Workspace: ools Window Help	Not defined					
		7 3 8 ¥ 8						
	ن التصحيب							
Ac	-	ilter applied						
	Ownerld	Name		er AccountType		AffiliatedCie	Address	City
1	27500	Western Horizon Ltd.		Client	FundManager	GWL Inc.	8400 St. Jacque	
2	29750	Loyalist Trade Co.	386772	Firm	CanadianBroker	CTA Group Inc.		
3	31895	Invest Action Inc.	397855	Client	CanadianBank	HPC Ltd.	5675 Queen Str	e Uttawa
		he active Dat		w, right-c	lick the mou	ise to dis	play the	sub-m
Positio File Busir	n Report M ness Item Ti	he active Dat lanager - Workspace: ools Window Help V V M V C	Not defined		lick the mou	use to dis	splay the	sub-m
Positio	n Report M ness Item Ti	lanager - Workspace: ools Window Help Y Y M M V C	Not defined		lick the mou	use to dis	splay the	sub-m
Positia ile Busir	n Report M ness Item Tr A A A	lanager - Workspace: ools Window Help Y V M T G er applied	Not defined	Sort	lick the mou	ise to dis		
Positia File Busin	n Report M hess Item Tr Z & Az Y unts 1 - Filto Ownerld 27500	lanager - Workspace: ools Window Help Y V M F C er applied Name Western Horizon Ltd. 3	Not defined		lick the mou	use to dis		 City Montreal
Positia File Busir	n Report M hess Item Tr I I I I I I I I I I unts 1 - Filto Ownerld	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter	roperties Title	use to dis	+C Street +W en Stre	 City Montreal Toronto
Positia File Busir Accor 1 2	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column Pi Edit Window T	roperties Title	Ctrl+Alt Ctrl+Alt	+C Street +W en Stre	 City Montreal Toronto
Positia File Busir Accor 1 2	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column Pi Edit Window T Grid Options New Copy	roperties Title	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ins Ctrl+C	+C +V +N	 City Montreal Toronto
Positio File Busir Accor 1 2	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Colum Pr Edit Window T Grid Options New Copy Edit Row Create a Mast Create a Mast Create a Mast	roperties Title ter Account from Accou	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ins Ctrl+C Ctrl+Alt	+C +V +N	 City Montreal Toronto
Positio File Busin	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column Pi Edit Window T Grid Options New Copy Edit Row Create a Mast Create a Mast Create a Mast Create a Mast Link All Display Unlink from Ma	roperties Title ter Account from Accou laster Account yed to a Master Accour aster Account	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt ctrl+Alt ant	+C +V +N	 City Montreal Toronto
Positio	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column PI Edit Window T Grid Options New Copy Edit Row Create a Mast Create new M Create a Mast Link to e Mast Link All Display Unlink All Display	roperties Title ter Account from Accou laster Account, yed to a Master Accour	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+C Ctrl+Alt ant	+C Street +W en Street +R	 City Montreal Toronto
Positid Positid Maccor Accor 1 2 3	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Colum Pi Edit Window T Grid Options New Copy Edit Row Create a Mast Create a Mast Link All Displey Unlink All Displey Delete	roperties Title ter Account from Accou laster Account yed to a Master Accoun seter Account layed from Master Accou	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt ctrl+Alt ant	+C Street +W en Street +R	 City Montreal Toronto
Positio File Busir Accor 1 2	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column Pr Edit Window T Grid Options New Copy Edit Row Create a Mast Create a Mast Create a Mast Create a Mast Create a Mast Create a Mast Create a Mast Unlink All Displey Unlink from Ma Unlink All Displey Delete Delete All Disp Delete Delete All Disp Export to Clipl Export to Clipl Export to Clipl	roperties Title ter Account from Account laster Account, er Account, yed to a Master Account sater Account layed from Master Account sater Account layed from Master Account sater Account board	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+C Ctrl+Alt Ctrl+C Ctrl+Alt Ctrl+De Ctrl+De	+C Street 1 +R +R	 City Montreal Toronto
Positid Positid Pusition Accord 1 2 3	In Report M hess Item Tr I A A A A A Unts 1 - Filto Ownerld 27500 29750	anager - Workspace: ools Window Help Y Y M M F er applied Name Western Horizon Ltd. S Loyalist Trade Co. S	Not defined	Sort Filter Hide Edit Column PI Edit Window T Grid Options New Copy Edit Row Create a Mast Create a Mast Create a Mast Link to a Mast Link All Display Unlink All Display	roperties Title ter Account from Accou laster Account yer to a Master Accourt ser Account layed from Master Accourt slayed from Master Accourt blayed board / File	Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+Alt Ctrl+C Ctrl+Alt Ins Ctrl+C Ctrl+Alt Ctrl+De Ctrl+De	+C Street 1 +W en Street 1 +N +R	 City Montreal Toronto

STEPS	DESCRIPTION
	The sub-menu above displays all the available functions that can be performed on Account records.
	Note: Items which are 'greyed out' are not available to Approved Participants.

4.1.1 Account Sub-Menu Functionality

After right-clicking the mouse button, a sub-menu with multiple functionality is displayed as shown in the previous section. Available functions are explained as follows:

The top section contains items that can be used to customize Data Windows. They are:

- Sort sort single or multiple columns
- Filter filter for specific data
- Hide hide single or multiple columns
- Edit Column Properties customize individual columns for heading and layout¹
- Edit Window Title change the title of a Data Window
- Grid Options change overall appearance of the Data Window¹

For detail information on how to use the above features for customizing the Data Window, refer to Chapter 8, Data Window Customization.

Note: Some of the above items can also be found on the Toolbar for quicker access.

The next section consists of the following items:

- New Creating a new Account
- Copy Copy of an existing Account for the purpose of creating a new Account with similar information
- Edit Row The ability to modify existing information within a previously entered Account
- **Note:** A number of functions which are 'greyed out' are not available to the Approved Participant.
 - Delete Used to delete an existing Account record
 - Delete All Displayed... used to delete multiple records displayed as a result of using the filter

The above functions will all be covered in the following section.

The next section of the sub-menu contains the following functions which are useful not so much in the customization of the Data Window, but more so in working with the contents:

^{1.} This feature is not available in Position Report Manager

- Import import .csv data (for more information on this, refer to Chapter 7, Importing CSV Files)
- Export to Clipboard copy data to the clipboard for other uses
- Export to CSV File export to a .csv file to be used in a spreadsheet
- Copy Row copy the contents of a specific row
- Copy Cell copy the contents of a specific cell
- Copy Column Values copy the contents of an entire column

For detail information on how to use the above features, refer to Chapter 8, Data Window Customization.

The last section contains the following functions:

- Search... search for data within a column
- search Column... search for a specific column
- Print...- print the contents of a Data Window

For detail information on how to use the above features, refer to Chapter 8, Data Window Customization.

4.2 Working with Accounts

This section will presume that the Position Report Manager application is running and that the Accounts Data Window has been opened with the sub-menu displayed. If the Accounts Data Window is not open, refer to section 4.1, Opening the Accounts Data Window.

4.2.1 Creating New Account Records

STEPS	DESCRIPT	ION					
1	With the sul	With the sub-menu displayed within the Data Window, do either of the following:					
	Select Ne	ew					
	• Use the S	Shortcut Key: Ins	5				
		Manager - Workspace: Not de	efined				_O×
	I di sul sul s	Tools Window Help	- 111	=1			
		Y Y B T SA					
	Accounts 1		Cash				
	0wnerl	d Name Acc Western Horizon Ltd. 345	Sort Filter		+	Address (8400 St. Jacques 1	City
	2 29750	Loyalist Trade Co. 386	Hide Edit Column Properi	ties	► Ctrl+Alt+C	x 3695 Bay Street 1	
	3 31895	Invest Action Inc. 397	Edit Window Title		Ctrl+Alt+W	5675 Queen Stre (
			Grid Options New		Ctrl+Alt+N Ins		
		i	Copy	w.	Ctrl+C		
		-	Edit Row		Ctrl+Alt+R		
			Create a Master Ad Create new Master	count from Account Account			
			Link to a Master Ac	count • a Master Account			
			Unlink from Master	Account			
			Unlink All Displayed	from Master Account		-	Þ
	The Create	Account Profile fo	rm is displa	yed as show	n below.		
	Create Account Profil	e					×
	<u>N</u> ame	ļ	×	Affiliated Company Nam	ne 🗌		
	Account						
	Number		×	Address		_	×
	<u>0</u> wner ID		×	City Country Canada	· •	Pro <u>v</u> ince/State	×
	O <u>w</u> ner Type	CanadianBank	× ×	Country		Po <u>s</u> tal Code	
	<u>R</u> isk Account Type	Speculator Client	×	P <u>h</u> one		<u>F</u> ax	
	Heccark (The			<u>E</u> mail			
							D <u>K</u> Cancel
		rm fields as indica					
		anation on the forr		er to Chapte	r 6, Field	Types.	
	Note: Field	s with a red '*' mu	st be filled.				
2	 Enter the 	account owner na	ame in the N	lame field			

STEPS	DESCRIPTION
3	Enter an Affiliated Company Name (optional)
4	Enter an Account Number in the Number field
5	Enter a unique identification for the owner in the Owner ID field
6	Select the type of owner from the Owner Type drop-down menu
7	Select either Hedger or Speculator from the Risk drop-down menu
8	Select the type of account from the Account Type drop-down menu
9	Enter the address of the account owner in the Address field
10	Enter the Province or State of the account owner in the Province/State field
11	Select the country of the account owner in the Country field
12	Enter the postal code of the account owner in the Postal Code field
13	The next three fields are optional:
	 Enter the phone number of the account owner in the Phone field
	 Enter the fax number of the account owner in the Fax field
	 Enter the email address of the account owner in the Email field

Cri	eate Account Profil	e						
	<u>N</u> ame	Barters & Watterson Inc.	×	Affiliated Comp	pany Name FTD Trust Lt	±.		
	Account	386772	x	Address	8789 Landsdown Blvd.			*
	<u>O</u> wner ID O <u>w</u> ner Type	36590 FundManager	×	Cjty Coun <u>t</u> ry	Ottawa Canada	* Pro <u>v</u> ince/State * Po <u>s</u> tal Code	Ontario G7K 9S5	×
	<u>R</u> isk	Speculator Client	× ×	-	613-986-3456	<u>F</u> ax	613-986-3458	
	Account Type	Luent		E il	16 modes/Other astronomy attended and an	-		
				<u>E</u> mail	funds@barterswatterson.c	J		
					Junus@barterswatterson.c		0 <u>K</u>	incel
_	ick OK				,			incel
_	ick OK	red incorrect data, an erro			,			incel
_	ick OK	red incorrect data, an err		e displayed	l as indicated in th			incel
_	ick OK you have enter Account Number	ed incorrect data, an err		e displayed	,	e snippet belo	ow:	incel
_	ick OK you have enter Account Number <u>O</u> wner ID	ed incorrect data, an erro	or message will be	e displayed	I as indicated in th		ow:	incel
_	ick OK you have enter Account Number	ed incorrect data, an err		e displayed	as indicated in th 8789 Landsdown Blvd. Ottawa	e snippet belo * Pro <u>v</u> ince/State	DW:	incel

STEPS	DESCRIPTIO	N						
16	Correct the	error indicat	ed and c	lick OK				
	Note: In this	example the	account	Number	was change	ed to 399	925	
17	The following	confirmation	window	should o	display as fo	llows:		
	0							
	Create Accou	int Profile			×			
		u are about to o ess OK button to			eation			
		ОК	Cance		cadon.			
	Click OK							
	The resulting	new Accoun	t record i	s display	ed in the A	ccount D	ata Windo	ow below.
		anager - Workspace: Iols Window Help		□ i Ⅲ				
	Accounts 1 - Filt	er applied						
	Ownerld	Name	AccountNumber	AccountType	AccountOwnerType	AffiliatedCie	Address	City
	1 27500	Western Horizon Ltd.	345015	Client	FundManager	GWL Inc.	8400 St. Jacque:	Montreal
	2 29750	Loyalist Trade Co.	386772	Firm	CanadianBroker	CTA Group Inc.	3695 Bay Street	Toronto
	3 31895	Invest Action Inc.	397855	Client	CanadianBank	HPC Ltd.	5675 Queen Stre	Ottawa
	4 34750	Central Traders Ltd.	398955	Client	CanadianBroker		14901 Bloor Stree	
	5 36590	Barters & Watterson Ir	399925	Client	FundManager	FTD Trust Ltd.	8789 Landsdowr	Ottawa
	T		•					T
								-

4.2.2 Copying Account Records

This procedure is used as a quick way to create a new Account. When an existing record is copied, all field information is displayed. Key fields must be changed before submitting the new record. Those fields which contain data that is the same as the new record can be left as is, therefore saving some time.

To copy an existing record to create a new record, follow the steps below:

STEPS	DESC	RIPTIO	N				
1	SeleSele	ect the <i>l</i> ect Cop	Account rec	ord	within the Data Window to be copied rl+C	, do eithe	er of the following:
		-	anager - Workspace:	Not d	efined		
		AL A	ols Window Help	44			
	1 2 3 4 5	Ourse 1 - Fill 0wmerld 27500 29750 31895 34750 36590	ter applied Name Western Horizon Ltd. Loyalist Trade Co. Invest Action Inc. Central Traders Ltd. Barters & Watterson In	Acc 345 386 397 398	Sort Filter Hide Edit Column Properties Edit Window Title Grid Options New Copy Edit Row Create a Master Account from Account Create new Master Account Link to a Master Account Link All Displayed to a Master Account Unlink All Displayed from Master Account Unlink All Displayed from Master Account	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+N Ins Ctrl+C Ctrl+Alt+R	Address City 8400 St. Jacques 5 Montreal 3695 Bay Street Toronto 5675 Queen Street Ottawa st 14901 Bloor Street Toronto 8789 Landsdown E Ottawa
					Delete Delete All Displayed	Ctrl+Del	
					Import Export to Clipboard Export to CSV File Copy Row Copy Cell Copy Column Values	Ctrl+I Ctrl+Ins Ctrl+B Ctrl+R Ctrl+F7 Ctrl+F8	
					Search Search Column Print	Ctrl+F Ctrl+F3	

	<u>N</u> ame	Barters & Watterson Inc.		×	Affiliated Company Name	FTD Trust Ltd.		
N 0 6	ccount winer ID winer Type isk ccount Type	399925 36590 FundManager Speculator Client			City Ottawa Country Canada Phone 613-986-3	dsdown Blvd. * * 3456 arterswatterson.ca		Dintario 67K 955 113-986-3458
Pos	ition Report M	ount record w lanager - Workspace ools Window Help			n the Accou	nts Data	vvindow a	as show
File E		7 7 8 8 4 4	46 B	m j m				
~		Y 😿 🗷 👯 🙆 ter applied	MBB	<u>i III</u>				
~			AccountNumber		AccountOwnerType	AffiliatedCie	Address	 City
	2 2 2 2 ccounts 1 - Fil 0wnerld 27500	ter applied Name Western Horizon Ltd.	AccountNumber 345015	AccountType Client	FundManager	GWL Inc.	8400 St. Jacques	City S Montreal
	2 2 2 ccounts 1 - Fil 0wnerld 27500 29750 29750 29750	ter applied Name Western Horizon Ltd. Loyalist Trade Co.	AccountNumber 345015 386772	AccountType Client Firm	FundManager CanadianBroker	GWL Inc. CTA Group Inc.	8400 St. Jacques 3695 Bay Street	City S Montreal Toronto
	Image: Compare the second se	ter applied Name Western Horizon Ltd. Loyalist Trade Co. Invest Action Inc.	AccountNumber 345015 386772 397855	AccountType Client Firm Client	FundManager CanadianBroker CanadianBank	GWL Inc. CTA Group Inc. HPC Ltd.	8400 St. Jacques 3695 Bay Street 5675 Queen Stre	City S Montreal Toronto et Ottawa
	2 2 2 ccounts 1 - Fil 0wnerld 27500 29750 29750 29750	ter applied Name Western Horizon Ltd. Loyalist Trade Co.	AccountNumber 345015 386772 397855 398955	AccountType Client Firm	FundManager CanadianBroker	GWL Inc. CTA Group Inc. HPC Ltd.	8400 St. Jacques 3695 Bay Street	City s S Montreal Toronto et Ottawa et Toronto
	A A	ter applied Name Western Horizon Ltd. Loyalist Trade Co. Invest Action Inc. Central Traders Ltd.	AccountNumber 345015 386772 397855 398955 398955 399925	AccountType Client Firm Client Client	FundManager CanadianBroker CanadianBank CanadianBroker	GWL Inc. CTA Group Inc. HPC Ltd. Newtown Invest FTD Trust Ltd.	8400 St. Jacques 3695 Bay Street 5675 Queen Stree 14901 Bloor Stree	City Montreal Toronto et Ottawa et Toronto E Ottawa
4.2.3 Editing an Account Record

This function enables the Approved Participant to modify an Account record if necessary. The process is the same as if a record was being copied, the exception being no new record will be created, only the existing record will be modified.

Note: All fields, with the exception of the Account Number can be modified.

To edit an existing record, follow the steps as outlined below.

STEPS	DESC	RIPTIO	N				
1	 With the sub-menu displayed within the Data Window, do either of the following: Select the Account record to be modified Select Edit Row Use the Shortcut Key: Ctrl+Alt+R 						
		-	nager - Workspace: ols Window Help	Not defined			
	∼∣≜↓		v V B ∓ S	MBE			
	Acco 1 2 3 4 5 6	Ultradiant Filt Ownerld 27500 29750 31895 34750 36590 37895 37895	er applied Name Western Horizon Ltd. Loyalist Trade Co. Invest Action Inc. Central Traders Ltd. Barters & Watterson Ir Smith & Loyds Investri	386772 397855 398955 399925	Sort Filter Hide Edit Column Properties Edit Window Title Grid Options New Copy Edit Row Create a Master Account from Account Create new Master Account Link All Displayed to a Master Account Unlink All Displayed from Master Account Unlink All Displayed from Master Account	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+N Ctrl+Alt+R Ctrl+Alt+R	City acques § Montreal Street Toronto en Street Ottawa or Street Toronto dsdown E Ottawa rge Stree Kingston
					Delete	Ctrl+Del	
					Delete All Displayed Import Export to Clipboard Export to CSV File Copy Row Copy Cell Copy Column Values Search Search Column Print	Ctrl+I Ctrl+Ins Ctrl+B Ctrl+R Ctrl+F7 Ctrl+F8 Ctrl+F8 Ctrl+F3	

STEPS	DESCRIPT	ION						
UILI U	The Create Account Profile form is displayed as shown below with full details from the							
	copied recc		le form is	aispiay	ed as snowr	n below v	vith full det	alls from the
		iu.						
	Modify Account Pro	ile						×
	Name	Central Traders Ltd.		×	Affiliated Company Name	Newtown Inves	tments Inc.	
						1		
	Account Number	398955		×	Address 14901 Blo	or Street		x
	<u>O</u> wner ID	34750			City Toronto	*	Province/State On	
	0 <u>w</u> ner Type	CanadianBroker			Country Canada	• *	Po <u>s</u> tal Code J6J	J 9K0
	<u>R</u> isk Account Type	Speculator		×	Phone 905-897-0		<u>F</u> ax 90	5-897-0445
	Account Type				Email trades@c	entraltraders.ca		
							(D <u>K</u> <u>C</u> ancel
	A		:	4	anting of Ar			
2		ed earlier, all f						n be modified.
		Step 17 for inf					y al Slep 2	c, Step 5 and
					•	•	Window a	s shown below.
		modification to						
		from Canadiar		•			lange the	Owner Type
	nord	oundula			lanagen			
	Position Report	: Manager - Workspace	• Not defined					
		Tools Window Help	and defined					
		Y Y 🛛 🕎 🎒	MBB	<u>i</u> 📰				
	Accounts 1 -	Filter applied						
	Ownerlo	I Name	AccountNumber	AccountType	AccountOwnerType	AffiliatedCie	Address	City
	1 27500	Western Horizon Ltd.	345015	Client	FundManager	GWL Inc.	8400 St. Jacques 9	Montreal
	2 29750	Loyalist Trade Co.	386772	Firm	CanadianBroker		3695 Bay Street	Toronto
	3 31895 4 34750	Invest Action Inc. Central Traders Ltd.	397855 398955	Client	CanadianBank FundManager	HPC Ltd.	5675 Queen Street 14901 Bloor Street	
	5 36590	Barters & Watterson Ir		Client	FundManager	FTD Trust Ltd.	8789 Landsdown E	
	6 37895	Smith & Loyds Investr	r 399999	Firm	MutualFunds	LTE Investment	1575 George Stree	Kingston
						$\overline{}$		
								li.

4.3 Deleting an Account Record

On occasion it may be necessary to delete an Account Record. This feature enables the Approved Participant to delete Account records when called for.

To delete an Account Record, follow the steps as outlined below.

STEPS	DESCRIPTION					
1	With the sub-menu displayed within the Data Window, do either of the following:					
	Select the Account record to be deleted					
	Select Delete					
		rl+Del				
	Position Report Manager - Workspace: Not d File Business Item Tools Window Help	efined			- 🗆 🗵	
	Accounts 1 - Filter applied	Sort Filter		Address City	×	
	1 27500 Western Horizon Ltd. 345	Hide		8400 St. Jacques § Montreal		
	2 29750 Loyalist Trade Co. 386	Edit Column Properties Edit Window Title	Ctrl+Alt+C Ctrl+Alt+W	c. 3695 Bay Street Toronto		
	3 31895 Invest Action Inc. 397	Grid Options	Ctrl+Alt+N	5675 Queen Street Ottawa		
	4 34750 Central Traders Ltd. 398	New	Ins Ctrl+C	est 14901 Bloor Street Toronto		
	5 36590 Barters & Watterson Ir 399	Copy Edit Row	Ctrl+Alt+R	. 8789 Landsdown E Ottawa		
	6 37895 Smith & Loyds Investr 399	Create a Master Account from Account		nt: 1575 George Stree Kingston		
		Create new Master Account Link to a Master Account				
		Link All Displayed to a Master Account Unlink from Master Account				
		Unlink All Displayed from Master Account				
		Delete	Ctrl+Del			
		Delete All Displayed		_		
	The Single Record Deletion c	onfirmation window in di	ionlovod -			
			ispiayeu	as shown below.		
	Single Record Deletion			X		
	Action Details					
	Accounts: Selected					
	You are about to delete 1 accounts.					
	Enter total number of records and pre	ss OK button to proceed with the deletion	n.			
	Total number of records : 1					
	Total number of records					
			1			
		<u> </u>	<u>C</u> ance			

STEPS	DESCR	RIPTION	I							
2	Enter th	ne Total	number of r	ecords to	be dele	ted as indic	ated in th	ne following	g illustra	ation.
		Enter total nu			n to proceed	with the deletion.				
	<u>T</u> ot	al number of	records		_					
	Click	01				0 <u>K</u>	<u>C</u> ancel]		
	Ionger	Dresent Report Man ss Item Tools	Data Windov as indicated ager - Workspace: N Window Help	l in the ill	ustration					
	Acc	ounts 1 - Filte	er applied							xI
		Ownerld	Name	AccountNumber	AccountType	AccountOwnerType	AffiliatedCie	Address	City	-
	1	27500	Western Horizon Ltd.	345015	Client	FundManager	GWL Inc.	8400 St. Jacques :	Montreal	
	2	29750	Loyalist Trade Co.	386772	Firm	CanadianBroker	CTA Group Inc.	3695 Bay Street	Toronto	
	3	34750	Central Traders Ltd.	398955	Client	FundManager	Newtown Inves	14901 Bloor Street	Toronto	
	4	36590	Barters & Watterson Ir	399925	Client	SundManager	FTD Trust Ltd.	8789 Landsdown B	Ottawa	
	5	37895	Smith & Loyds Investr	399999	Firm	MutonFunds	LTE Investment	1575 George Stree	: Kingston	
	1							4		Þ

4.4 Deleting All Displayed Records

The Delete feature enables the deletion of one record at a time. Depending on the number of records there are to delete, this could be time consuming. The Delete All Displayed feature enables the Approved Participant to display a group of records that will be deleted by using the 'Filter' function in either the sub-menu, or within the main menu item 'Tools'.

For information on how to use the Filter on Data Window records, refer to section 8.3, Filter, in Chapter 8, Data Window Customization.

To delete multiple records at the same time, follow the steps as outlined below.

STEPS	DESCRIPTION
1	 From the active Data Window, do either of the following: Right-click to display the sub-menu and select Filter > Filter Selection From the Main Menu, select Tools > Filter > Filter Selection Use the Shortcut Key: Ctrl+Alt+F The Filter Definition Form is displayed. At this point refer to section 8.3, Filter for details on how to fill out the Filter Definition Form. Note: In this example, all 'Firms' within Account Type have been filtered out. The completed Filter Definition Form is shown below.
	Filter Definition Form Image: Construction of the constructio

STEPS	DESCRIPTION								
	The se	lected A	Account Re	cords fo	r the Ac	count Typ	e 'Firm' a	are now dis	played below.
	1 0								
			ager - Workspace: s Window Help	Not defined					
	∩ Z↓	Z A	V B T S		ī <u>i</u> III				
	Acco	unts 1 - Filte			1			1	
		Ownerld 29750	Name	AccountNumbe 386772	r AccountType Firm	AccountOwnerTyp		Address	City
	2	37895	Loyalist Trade Co. Smith & Loyds Investm		Firm	CanadianBroker MutualFunds	CTA Group In	c. 3695 Bay Street Inti 1575 George Stre	Toronto e Kingston
	The ab	ove two	o (2) records	will now	v be delet	ted.			
2		N. Report Man	ager - Workspace:		Window	and select	Delete A	\II Displaye	ed as shown
		ss Item Tool	s Window Help						
				ا تعا يظل لنن					
	1 2	unts 1 - Filte Ownerld 29750 37895	r applied Name Loyalist Trade Co. Smith & Loyds Investri	35 Edit Wind Grid Opti New Copy Edit Row Create a Create m Link to a		from Account	Ctrl+Alt+C	Address c. 3695 Bay Street mt 1575 George Stre	LIDX
	1			Unlink All Delete Delete Al Import	Displayed OClipboard OCV File	/laster Account	Ctrl+Del Ctrl+I Ctrl+Ins Ctrl+B Ctrl+R		J

STEPS	DESCRIPTION
3	The All Displayed Record Deletion confirmation window is displayed as shown below. As a precaution to verifying that these two (2) records are to be deleted, the Approved Participant is requested to enter the actual number of records in the Total number of records area.
	All Displayed Record Deletion Action Details Accounts: All Displayed You are about to delete 2 accounts. Enter total number of records and press DK button to proceed with the deletion. Total number of records : 2 Iotal number of records I
	Click Yes The two (2) records have been deleted from the Accounts Data Window.

Chapter 5 Business Item - Positions

5.1 **Opening the Positions Data Window**

The Positions Business item enables the Approved Participant to create, modify, and delete Position records. To open the Business Item Positions Data Window, follow the steps below:

STEPS	DESCRIPTION	
1	From the Main Menu, select Business Item > Positions as indicated below:	
	Position Report Manager - Workspace: Not defined File Business Item Accounts Positions No Position to report	

STEPS	DESCRIPTION	
	The following Data Window titled Positions X is displayed, where X is the sequer number of the Data Window that has been accessed in the current session:	ntial
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Place Provide	
	Positions(03082011) ExpirationDate CallPutCode StrikePrice LongQuantity Shi 1 20110308 00011 XIU 110319P19 01950020110319XU ZR2P3000 Call 23	
2	From within the active Data Window, right-click the mouse to display the followin menu:	g sub-
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Image: State	
	Positions(03082011)	
	ReportDate AccountNumber ExternalSymbol ClassSymbol ExpirationDate CallPutCode StrikePrice LongQuantity Shot 1 20110308 00011 XU Sort Image: Control of the strike in the strike	

STEPS	DESCRIPTION
	The sub-menu above displays all the available functions that can be performed on
	Positions records.

5.1.1 **Positions Sub-Menu Functionality**

After right-clicking the mouse button, a sub-menu with multiple functionality is displayed as shown in the previous section. Available functions are explained as follows:

The top section contains items that can be used to customize Data Windows. They are:

- Sort sort single or multiple columns
- Filter filter for specific data
- Hide hide single or multiple columns
- Edit Column Properties customize individual columns for heading and layout
- Edit Window Title change the title of a Data Window
- Grid Options change overall appearance of the Data Window

For detail information on how to use the above features for customizing the Data Window, refer to Chapter 8, Data Window Customization.

Note: Some of the above items can also be found on the Toolbar for quicker access.

The next section consists of the following items:

- New Creating a new Position
- Copy Copy of an existing Position for the purpose of creating a new Account with similar information
- Edit Row The ability to modify existing information within a previously entered Position
- Delete Used to delete an existing Position record
- Delete All Displayed...- used to delete multiple records displayed as a result of using the filter

The above functions will all be covered in the following section.

The next section of the sub-menu contains the following functions which are useful not so much in the customization of the Data Window, but more so in working with the contents:

- Import import .csv data (for more information on this, refer to Chapter 7, Importing CSV Files)
- Export to Clipboard copy data to the clipboard for other uses
- Export to CSV File export to a .csv file to be used in a spreadsheet
- Copy Row copy the contents of a specific row

- Copy Cell copy the contents of a specific cell
- Copy Column Values copy the contents of an entire column

For detail information on how to use the above features, refer to Chapter 8, Data Window Customization.

The last section contains the following functions:

- Search... search for data within a column
- search Column... search for a specific column
- Print...- print the contents of a Data Window

For detail information on how to use the above features, refer to Chapter 8, Data Window Customization

5.2 Working with Positions

This section will presume that the Position Report Manager application is running and that the Positions Data Window has been opened with the sub-menu displayed. If the Positions Data Window is not open, refer to section 5.1, Opening the Positions Data Window.

5.2.1 Creating New Position Records

STEPS	DESCRIPTION					
1	With the sub-menu displayed within the Data Window, do either of the following:					
	Select New					
	Use the Shortcut Key: Ins					
	Position Report Manager - Workspace: Not defined					
	File Business Item Tools Window Help	les let				
	Positions 1 - No data found	Sort	•			
	ReportDate AccountNumber Group Instr	Filter Hide	• •	Code StrikePrice ExpirationDa		
		Edit Column Properties				
		Edit Window Title Grid Options	Ctrl+Alt+W Ctrl+Alt+N			
		New	Ins			
		Copy Edit Row	Ctrl+C Ctrl+Alt+R			
		Delete	Ctrl+Del			
		Delete All Displayed				
		Import	Ctrl+I			
		Export to Clipboard Export to CSV File	Ctrl+Ins Ctrl+B			
		Copy Row	Ctrl+R			
		Copy Cell Copy Column Values	Ctrl+F7 Ctrl+F8			
	-					

STEPS	DESCRIPTION
	The Create a position form is displayed as shown below.
	Create a position
	Account Number * Report Date Friday March 25, 2011 * External Symbol * Expiration Date Thursday July 15, 2010 * Class Symbol * Quantities * Short * Strike Price * * Short *
	0 <u>K</u> Cancel
	Fill in the form fields as indicated below. For an explanation on the form fields, refer to Chapter 6, Field Types. Note: Fields with a red '*' must be filled.
2	Enter an account number in the Account Number field
3	 Enter an External Symbol by selecting from the External Symbol drop-down list as indicated below. Note: Double click the External Symbol so that it fills the External Symbol field External Symbol AAV 110416C4.00 AAV 110416C5.00 AAV 110416C5.00 AAV 110416C7.00 AAV 110416C7.00 AAV 110416C8.00 AAV 110416C9.00 AAV 110416C9.00 AAV 110416C4.00 AEX 110416C4.
	Note: After entering the External Symbol, if a change is required, delete the existing data in the External Symbol field, and click the External Symbol drop-down button to see a refreshed list.

	DESCRIPTION						
	Once the External Symbol is entered, the following three fields are automatically filled:						
	Class Symbol						
	Call Put Code Strike Price						
-	Enter a quantity in the Short (Quantity) field if required ¹						
	Enter a quantity in the Long (Quantity) field if required ¹						
	 The completed Create a position form should resemble the one below. Click OK 						
	Create a position	<					
	Account Number 000175 * Report Date Thursday , March 24, 2011						
	Account Number 000175 Report Date Thursday March 24, 2011 External Symbol ABX 110416C38.00 * Expiration Date Saturday April 16, 2011 •						
	Class Symbol ABX Quantities *						
	Call Short						
	Strike Price 38.000 Long						
	O <u>K</u>						
_	If you have entered incorrect data, an error message will be displayed as indicated in the	٥					
	in you have entered meened data, an ener meedage will be dieplayed de maleaded in an	<u> </u>					
	snippet below:	0					
	snippet below:	-					
	Create a position	-					
	Create a position X Account Number 000175 * Report Date Thursday March 24, 2011 *	-					
	Create a position Image: Create a position Account Number 000175 External Symbol ABX 110416C38.00 Image: Create a position Image: Create a position External Symbol ABX 110416C38.00	-					
	Create a position Image: Create a position Account Number 000175 External Symbol ABX Image: Class Symbol ABX Image: ABX Quantities	-					
	Create a position Image: Create a position Account Number 000175 External Symbol ABX Class Symbol ABX Call Put Code Call Short Image: Class Symbol	-					
	Create a position Image: Create a position Account Number 000175 External Symbol ABX Image: Class Symbol ABX Image: ABX Quantities						
	Create a position Image: Create a position Account Number 000175 External Symbol ABX Class Symbol ABX Call Put Code Call Short Image: Class Symbol	-					
	Snippet below: Create a position Account Number 000175 External Symbol ABX Class Symbol ABX Call Put Code Call Strike Price 38.000 A position must be defined OK Cancel						
	Create a position Image: Create a position Account Number 000175 External Symbol ABX Class Symbol ABX Call Put Code Call Strike Price 38.000	-					

STEPS	DESCRIPTION
8	The following Create a position confirmation window is displayed as indicated below.
	Create a position
	Press OK button to proceed with this action OK Cancel
	The Positions Data Window shows the result of adding a new record below.
	File Business Item Tools Window Help
	ReportDate AccountNur Group Instrument LongQuantity ShortQuantity CallPutCode StrikePrice ExpirationDa Class 1 20110324 000175 Q0 AFX1 1500 Call 38.000 20110416 AEX

1. Quantity must be positive, and Long and/or Short Quantity must be filled. If both are empty, Position will be rejected

5.2.2 Copying Position Records

This procedure is used as a quick way to create a new position. When an existing record is copied, all field information is displayed. Key fields must be changed before submitting the new record. Those fields which contain data that is the same as the new record can be left as is, therefore saving some time.

To copy an existing record to create a new record, follow the steps below:

STEPS	DESCRIPTION				
1	 With the sub-menu displayed v Select the Position record t Select Copy Use the Shortcut Key: Ctrl 	o be copied	a Window	, do either of the following:	
	Position Report Manager - Workspace: Not def File Business Item Tools Window Help Prive Apple Appple Apple Appple Apple Apple Apple Apple Apple Apple App				
	Positions 3 ReportDate AccountNum Group 20110324 000175 00	Sort Filter Hide Edit Column Properties Edit Window Title Grid Options New Edit Row Edit Row Delete Delete. All Displayed Delete. All Displayed Delete All Displayed Export to Clipboard Export to CSV File Copy Column Values Search Search Column Print	•	#Code StrikePrice ExpirationDa Class 38.000 20110416 ABX	

STEPS	DESCRIPTION				
	The Create a po record.	sition form is disp	played as shown be	elow with full details	from the copied
	Create a position				×
	Account Number	000175	* Report Date	Thursday , Marcl	
	<u>E</u> xternal Symbol	ABX 110416C38.00	Expiration Da	ate Thursday , July	15, 2010 💌
	Class Symbol Call Put Code	ABX Call	Quantities	1500	×
	Strike Price	38.000		1300	_
	0.000		2003	,	
				0 <u>K</u>	
			<u> </u>		·
		Refer to section		same process as cre w Position Records,	
	The new Positio	n record will be di	splayed in the Pos	itions Data Window	as shown below.
	Decition Deport Manag	er - Workspace: Not defined			
	File Business Item Tools	Window Help			
					_
	ReportDate Acc	countNum Group Instrumen	t LongQuantit ShortQuantit Callf	PutCode StrikePrice ExpirationDa C	
		1175 QO AFX1	1500 Call		BX
	2 20110324 000	1175 QO AJX1	2000 Call	42.000 20110416 A	BX
	•				Þ
					1.

5.2.3 Editing a Position Record

This function enables the Approved Participant to modify a Position record if necessary. The process is the same as if a record were being copied, the exception being no new record will be created, only the existing record will be modified.

Note: The only fields that can be modified are Short and Long Quantities.

To edit an existing record, follow the steps as outlined below.

the sub-menu displayed				
lect the Position record lect Edit Row	to be modified	a Window	v, do either of the following:	
siness Item Tools Window Help				
ReportDate AccountNum Group 20110324 000175 Q0 20110324 000175 Q0	Sort Filter Hide Edit Column Properties Edit Window Title Grid Options New Copy Edit Row Delete All Displayed Delete All Displayed Import Export to CSV File Copy Row Copy Column Values Search Search Column Print	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+W Ctrl+Alt+N Ctrl+Alt+R Ctrl+Del Ctrl+Ins Ctrl+Ins Ctrl+F Ctrl+F Ctrl+F Ctrl+F Ctrl+F	ICode StrikePrice ExpirationDa Class 38.000 20110416 ABX 42.000 20110416 ABX	
	tion Report Manager - Workspace: Not of siness Item Tools Window Help	e the Shortcut Key: Ctrl+Alt+R ion Report Manager - Workspace: Not defined siness Item Tools Window Help Solutions 3 ReportDate AccountNun Group 20110324 000175 Q0 Sort Edit Column Properties Edit Row Delete Delete Delete Delete Delete Delete All Displayed Import Export to CSV File Copy Row Copy Column Values Search Search Column	e the Shortcut Key: Ctrl+Alt+R inneport Manager - Workspace: Not defined siness Item Tools Window Help Solutions 3 ReportDate AccountNui Group 20110324 000175 Q0 Sort Hide Edit Column Properties Ctrl+Alt+C Edit Row Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Search to Clipboard Ctrl+Ins Export to Clipboard Ctrl+Ins Export to CSV File Ctrl+B Copy Column Values Ctrl+F8 Search Ctrl+F3	e the Shortcut Key: Ctrl+Alt+R sinses item Tools Window Help

STEPS	DESCRIPTION
	The Modify a position form is displayed as shown below with full details.
	Modify a position
	Account Number 000175 * Report Date Thursday , March 24, 2011 * External Symbol ABX 110416C42.00 * Expiration Date Thursday , July 15, 2010 * Class Symbol ABX Quantities * Short * Strike Price 42.000 2000 2000 *
	<u> </u>
2	 As mentioned earlier, the only fields that can be modified are the Short and Long Quantity fields. Enter a correct quantity in either the Short or Long Quantity field. Note: In this example the Long Quantity was changed from 2000 to 2500 Click OK to submit the modification
3	The Positions Data Window now displays the modified Long Quantity as indicated below.
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Place Item Tools Window Help
	Positions 3 Image: Control of the second secon

5.3 Deleting a Position Record

On occasion it may be necessary to delete an Position Record. This feature enables the Approved Participant to delete Position records when called for.

To delete an Position Record, follow the steps as outlined below.

STEPS	DESCRIPTION	
1	 With the sub-menu displayed within the Data Window, do either of the following: Select the Position record to be deleted Select Delete Use the Shortcut Key: Ctrl+Del 	
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Position Report Manager - Workspace: Not defined Image: Position Report Manager - Workspace: Not defined Position Report Manager - Wo	
	Positions 3 Sort ReportDate AccountNur 1 20110324 000175 2 20110324 000175 0 Edit Column Properties Ctrl+Alt+C Edit Column Properties Ctrl+Alt+W 4 42:000 20110416 ABX Grid Options Ctrl+Alt+W New Ins Copy Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Delete Ctrl+Alt+R Copy Row Ctrl+Ins Export to Clipboard Ctrl+R Copy Cell Ctrl+F8 Search Ctrl+F8 Search Ctrl+F3 Print Print	
2	The Position Deletion confirmation window is displayed as shown below. Position Deletion Image: Second	
	Click Yes	



5.4 Deleting All Displayed Records

The Delete feature enables the deletion of one record at a time. Depending on the number of records there are to delete, this could be time consuming. The Delete All Displayed feature enables the Approved Participant to display a group of records that will be deleted by using the 'Filter' function in either the sub-menu, or within the main menu item 'Tools'.

For information on how to use the Filter on Data Window records, refer to section 8.3, Filter, in Chapter 8, Data Window Customization.

Do delete multiple records at the same time, follow the steps as outlined below.

STEPS	DESCRIPTION
1	 From the active Data Window, do either of the following: Right-click to display the sub-menu and select Filter > Filter Selection From the Main Menu, select Tools > Filter > Filter Selection Use the Shortcut Key: Ctrl+Alt+F The Filter Definition Form is displayed. At this point refer to section 8.3, Filter for details on how to fill out the Filter Definition Form. Note: In this example, all 'Q0' within Groups have been filtered out. The completed Filter Definition Form is shown below.
	Filter Definition Form Cglumns Cglumns Accountil umber Accountil umber Call All Code Call All Essisymbol Essisymbol Exercal Symbol Exercal Symbol Exercal Symbol Endurity Between Compare with other colugn's value Eler Negation Clear All OK

The se	elected l	Positic	on Rec	ords fo	r the Gr	oup 'Q	0' are r	iow disj	olayed	belo	w.
	n Report Ma		-	ot defined							
	ess Item Too				all : [m]						
	itions 3 - Filt										-
Ler Ost		AccountNu	un Group	Instrument	LongQuantit	ShortQuanti	t CallPutCode	StrikePrice	ExpirationD a		
1	20110324	00007	QO	AFX1		1500	Call	38.000	20110416	ABX	
2	20110324	000175	QO	AFX1	3000	1500	Call	38.000	20110416	ABX	
3	20110324	000180	QO	AFX1		1500	Call	38.000	20110416	ABX	
The at	pove thr	ee (3)	records	s will no	w be de	leted.					
							elect De	lete Al	Displa	avec	<u>، ا</u>
	nt-click i				w be de Window		elect De	lete Al	Displa	ayec	d 8
Righ belo	nt-click i w.	n the A	Account	ts Data V			elect De	lete Al	Displa	ayec	J 8
Righ belo	nt-click i	n the A	ACCOUN	ts Data V			elect De	lete Al	Displa	ayec	3
Righ belo File Busin	nt-CliCk i DW. n Report Ma ess Item Too	n the A nager - Wo	CCOUN	ts Data V	Window		elect De	lete Al	Displa	ayec	J a
Righ belo Delo File Busin	nt-Click i pw. n Report Ma ess Item Too I	n the A	Account	ts Data \ ot defined	Window		elect De	lete All			3ƙ
Righ belo File Busin C	nt-Click i)W. n Report Ma ess Item Too ZI 22 Too Notes 1 - Filt	n the A	Account orkspace: No Help	ts Data \ ot defined	Window		•				3 ƙ
Righ belo File Busin C	n Report Ma ess Item Too ZII A ounts 1 - Filt	n the A	Account Prkspace: No Help Umber Acco	ts Data	Window	and se	▶ JgeSpec Iner	Name	 Address		; t
Righ belo File Busin C	n Report Ma ess Item Too ZI A filiatedCie NHL	n the A	Account orkspace: No Help Umber Acco Firm	ts Data	Window	and se	igeSpec	Name Oilers	 Address 444 street	□ × City Edm	; k
Righ belo	n Report Ma ess Item Too ZII A ounts 1 - Filt	n the A	Account Prkspace: No Help F	ts Data	Mindow	and se	▶ dgeSpec dger V dger	Name	 Address	City Calg	; t
Righ belo Desitio File Busin C Desitio T Desitio T Desitio T Desitio T T T T T T	n Report Ma ess Item Too AffiliatedCie NHL NHL	n the A	Account Help W C Acco Firm Firm	ts Data ot defined	Mindow	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+V	↓ jgeSpec - jger V jger	Name Dilers Flames	Address 444 street 555 street	□ × City Edm	; k
Righ belo Desitio File Busin Accc 1 2 3	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Mindow	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+V Ins Ctrl+C	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	;k
Righ belo Desitio File Busin Desitio Desitio	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data ot defined	Mindow	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+V	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	5 k
Righ belo Delo File Busin O Delo	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Mindow	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+R Ctrl+Alt+R Ctrl+Alt+R	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	; k
Righ belo Desitio File Busin O Desitio The Content of th	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Mindow	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+V Ctrl+Alt+R Ctrl+Alt+R Ctrl+Alt+R	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	; k
Righ belo Desitio File Busin O Desitio The Content of th	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Window	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+W Ctrl+Alt+W Ctrl+Alt+R Ctrl+Del	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	;k
Righ belo Positio File Busin Accc 1 2 3	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Window	Ctrl+Alt+C Ctrl+Alt+V Ctrl+Alt+W Ctrl+Alt+W Ctrl+Alt+R Ctrl+Alt+R Ctrl+Alt+R Ctrl+Del	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	City City Calg Calg	;k
Righ belo Delo File Busin Delo Acco 1 2 3 4	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Window	Ctrl+Alt+C Ctrl+Alt+K Ctrl+Alt+W Ctrl+Alt+R Ctrl+Del Ctrl+Del Ctrl+Del	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	□] ×] City Edm Calg Calg Edm	5 k
Righ belo Delo File Busin Accc 1 2 3 4	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Window	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+W Ctrl+Alt+W Ctrl+Alt+R Ctrl+Del Ctrl+Ins Ctrl+B Ctrl+F7 Ctrl+F7 Ctrl+F8	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	□] ×] City Edm Calg Calg Edm	;k
Righ belo Delo File Busin Accc 1 2 3 4	n Report Ma ess Item Too AffiliatedCie NHL NHL Flames	n the A	Account Help W C Acco Firm Firm Firm	ts Data	Window	Ctrl+Alt+C Ctrl+Alt+K Ctrl+Alt+W Ctrl+Alt+R Ctrl+Del Ctrl+Del Ctrl+Del	V Jger Jger Jger	Name Dilers Plames Dalmatiens	 Address 444 street 555 street 555 street	□] ×] City Edm Calg Calg Edm	;k

STEPS	DESCRIPTION
3	The All Displayed Record Deletion confirmation window is displayed as shown below. As a precaution to verifying that these three (3) records are to be deleted, the Approved Participant is requested to enter the actual number of records in the Total number of records area.
	All Displayed Record Deletion Action Details Positions: All Displayed You are about to delete 3 currently displayed positions. Enter total number of records and press OK button to proceed with the deletion. Total number of records : 3 Iotal number of records 3 OK Cancel
	Click Yes
	The four (4) records have been deleted from the Accounts Data Window.

5.5 No Positions to Report

Should an Approved Participant have no positions to report on a given day, they must still submit this fact to MX-R. To do this, follow the steps as outlined below.

	n the Main Menu, do the following:
• Se	elect Business Items > No Position to report as shown below.
Pos	ition Report Manager - Workspace: Not defined
File B	usiness Item Tools Window Help
	Accounts Positions No Position to report
The	End of positions confirmation window is now displayed below
The	End of positions confirmation window is now displayed below.
	End of positions confirmation window is now displayed below.
	End of positions
	End of positions
	End of positions Image: Constraint of the second
	End of positions
	End of positions Image: Constraint of the second

STEPS	DESCRIPTION
2	To view the result of declaring no positions, the Command History Data Window can be displayed below by selecting the:
	Command History icon
	The Command History Data Window is displayed indicating an EndOfPositionDeclaration as follows:
	Position Report Manager - Workspace: Not defined
	LemmandHistory2 SequenceN ExecutionTir CommandAc BusinessIter CommandState ErrorCode ErrorMessag Description 1 1 2011/03/25 Update Position Done EndOiPositionDeclaration

Chapter 6 Field Types

The following tables display the format, length, and description for each field type. value lists (Enum) are also listed within the Description column.

Under the Format column note that:

- A = Alphabetic
- N = Numeric
- X = Alphanumeric

6.1 Account Data Fields

FIELD NAME	FORMAT	ГСТН	DESCRIPTION	
Affiliated Cie	Х	24	If the Account Owner has affiliations to a company, the company name is indicated.	
Account Number	Х	16	Account number of the owner at the Approved Partic- ipant system.	
Account Type	х	1	Type of account (for Account Type definitions, refer to B.3, Account Types on page 104 Acceptable values are: 1 = Client 2 = Firm 8 = Market Maker 3 = Omnibus 4 = Professional	

FIELD NAME	Format	LGTH	DESCRIPTION
Account Owner Type	A	1	Type of owner (for Owner Type definitions, refer to B.2, Account Owner Types on page 103 Allowable Values are: A = Canadian Bank B = Foreign Bank C = Canadian Broker D = Foreign Broker E = Fund Manager F = Pension Fund G = Government and State Owned Companies H = Retail Client I = Insurance Company J = Miscellaneous K = Hedge Funds L = Mutual Funds M = Commodity Trading Advisor (CTA) N = Corporate O = Proprietary Trading Firms Primarily Algorithmic P = Proprietary Trading Firms Local
Owner Id	Х	24	Account Owner's unique identification. Refer to B.5, Account Owner ID on page 105
Hedge Spec	A	1	Acceptable values are: H = Hedger S = Speculator Note: Default value is 'S'.
Name	А	25	Account Owner Name Refer to B.4, Account Ownership on page 105
Address	Х	48	Account Owner Address
City	А	24	Account Owner City
State	А	24	Account Owner State
Zip Postal Code	Х	12	Account Owner Zip or Postal Code
Phone	Ν	24	Account Owner Phone Number
Fax	Ν	24	Account Owner Fax Number
Email	Х	48	Account Owner Email Address
Country Code	Х	2	Account Owner Country Code

6.2 Position Data Fields

FIELD NAME	FORMAT	Сстн	DESCRIPTION
Report Date	N	8	Acceptable format:
	IN I		YYYYMMDD (year, month, day)
Submission Date	N	8	Acceptable format:
			YYYYMMDD (year, month, day)
Submission Time	N	6	Acceptable format:
			HHMMSS (Hour, Minutes, Seconds)
Account Number	Х	16	Account number of the owner at the Approved Partic- ipant system.
External Symbol ¹	x	30	Identification of a SOLA Instrument by MX.
External Symbol		50	Optional - Can be filled if known
Class Symbol ²	Х	20	Symbol for all series of an Option or Ticker Symbol for a Future
Expiration Date ²	N	8	Acceptable format:
Expiration Date		Ŭ	YYYYMMDD (year, month, day)
			Acceptable values are:
2		4	C or Call
Call Put Code ² , ³	A		P or Put
			Note: Either a single letter or the full word will be accepted.
Strike Price ^{2,3}	х	10	Price format up to 3 decimals.
			Example : 12.875
Long Quantity ⁴	Ν	8	Number of contracts or shares.
Short Quantity ⁴	Ν	8	Number of contracts or shares.

 If External Symbol is known and filled, it takes precedence over the detailed description of the instrument (ClassSymbol, Expiration Date, CallPutCode, and Strike Price). In other words, the detailed description is ignored.

2. If ExternalSymbol is filled, ClassSymbol, ExpirationDate, CallPutCode, and StrikePrice do not need to be filled.

3. Required for Options, optional for Futures.

4. Quantity must be positive, Long and/or Short Quantity must be filled. If both are empty, Position will be rejected

When there are a large number of entries to be entered, it is possible to import a file in the Comma Separated Value (CSV) format, which contains all necessary data fields in their correct order, instead of entering individual entries one at a time using the 'New' or 'Copy' functions from the sub-menu of the respective **Positions** and **Accounts** Data Window.

7.1 Viewing Import Formats

It is possible to view the format of the import file which will contain the data fields and their correct order for either the Position or Account records.

For detail information on how to create a .csv file for either Positions or Accounts, refer to section 7.3, CSV Record Layouts.

To view the data fields in the Position	.csv file, do the following.
--	------------------------------

STEPS	DESCRIPTION	
1	From the Main Menu, select Help > Position import format as shown below:	
	Position Report Manager - Workspace: Not defined	
	File Business Item Tools Window Help	
	Position import format Account import format About	
	Displays the information needed for a position import	
		//_

STEPS	DESCRIPTION
2	 The Position Import File Fields window appears displaying all the data fields and their correct order in the Position .csv file. Review and click Exit.
	Position Import File Fields ReportDate AccountNumber External Symbol ClassSymbol ExpirationDate CallPutCode StrikePrice LongQuantity ShortQuantity

To view the data fields in the Account .csv file, do the following.

STEPS	DESCRIPTION	
1	From the Main Menu, select Help > Account import format as shown below:	
	Position Report Manager - Workspace: Not defined	
	File Business Item Tools Window Help Position import format Account import format About	

STEPS	DESCRIPTION
2	 The Account Import File Fields window appears displaying all the data fields and their correct order in the Accounts.csv file. Review and click Exit.
	Account Import File Fields

7.2 Importing Files in .csv Format

To import a text file in .csv format into the Position Report Manager for Accounts and Positions, follow the instructions given below.

Note: In this example, Accounts records will be imported.

STEPS	DESCRIPTION					
1	In the Accounts or Pos • Right-click and select			ng:		
	Position Report Manager - Workspa File Business Item Tools Window Help Image: Colspan="2">A A A A A A A A A A A A A A A A A A A					
	Accounts 1 - Filter applied - No	b data found Sort Filter Hide Edit Column Properties Edit Window Title Grid Options	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+N	Address	City State	
		New Copy Edit Row	Ins Ctrl+C Ctrl+Alt+R			
		Create a Master Account from Account Create new Master Account Link to a Master Account Link All Displayed to a Master Account Unlink from Master Account Unlink All Displayed from Master Account			F	
		Delete Delete All Displayed	Ctrl+Del			
		Import Accounts Export to Clipboard Export to CSV File Copy Row Copy Cell Copy Column Values	Ctrl+I Ctrl+Ins Ctrl+B Ctrl+R Ctrl+F7 Ctrl+F8			
		Search Search Column Print	Ctrl+F Ctrl+F3			
2	The Import Data window import file you want to in Do the following:		low, enab	ling you	u to select the	e.csv
	 Navigate to the folder Select the file Click Open 	in which the file is store	d			

EPS	DESCRIPTION
	Import Data
	Look in: 🗁 LOPR Accts CSV File 🔽 🖛 🗈 📸 🎫
	UOPR Accounts Profile File 2
	File name: LOPR Accounts Profile File 2 Open
	Files of type: Import files (*.csv) Cancel
	Open as read-only
3	During the import process, if errors are detected, the following Import Summary Error
3	During the import process, if errors are detected, the following Import Summary Error window is displayed:
3	window is displayed: Import Summary Errors
3	window is displayed:
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors X 6;GeneralError;Hedge/Speculator is filled with an invalid value A Number of total errors: 1 A
3	window is displayed: Import Summary Errors 6;GeneralError;Hedge/Speculator is filled with an invalid value Number of total errors: 1 Number of total records: 8
3	window is displayed: Import Summary Errors G.GeneralError;Hedge/Speculator is filled with an invalid value Number of total errors: 1 Number of total records: 8

STEPS	DESCRIPTION				
	Note: Correct the records in error and re-import (depending on number of errors), or enter directly as a New record				
	Do either of the following:				
	 Click Clear and Exit to remove error details and close the window 				
	 Click Cancel to close the window 				
4	Once the application has completed the import process, a log window called				
	Importation Status appears displaying the results of the import. If the import contained				
	records in error, a message is displayed similar to the one shown below.				
	Click OK				
	Importation status				
	The import file has been processed with some problems. There were 7 records that have been sent for process.				
	For more details please consult Communication Status Window and/or importation log file:				
	C:\apps\mxqa9\PositionReportManagerParticipant\WorkDir\LOPR Accounts Profile File 2_20110621_092630.log				
	ОК				
5	As a result of the import process, seven records have been processed to the Accounts 1				
Ū	data window as indicated in the following illustration:				
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help				
	Accounts 1 - Filter applied				
	AffiliatedCie AccountNur AccountTyp AccountOwr OwnerId HedgeSpec Name Address City State				
	1 GWL Inc. 345015 Client FundManage 27500 Speculator Western Hor 8400 St. Jac Montreal Quebec				
	2 CTA Group Ii 386772 Firm CanadianBro 29750 Hedger Loyalist Trad 3695 Bay Str Toronto Ontario				
	3 Lomar Invest 398955 Client FundManage 29000 Speculator Invest Expert 5665 Elgin S Ottawa Ontario				
	4 FTD Trust Lt 399925 Client FundManage 36590 Speculator Barters & We 8789 Landsc Ottawa Ontario				
	5 HBC Inc. 408750 Firm CanadianBro 28788 Hedger Western Tra 1600 Ivision Montreal Quebec				
	6 PFF Funds Ir 429000 Firm MutualFunds 41235 Speculator BraceBridge 8976 George Kingston Ontario				
	न । ज				
7.3 CSV Record Layouts

The following tables define the Comma Separated Values (CSV) that are required for import into the Position Report Manager for both the Account Record and the Position Record.

Note: Fields must be separated by the semi-colon (;) character.

Not all fields are mandatory. That being the case, the following legend will be used for the Req./Opt. column:

- R = Required
- O = Optional

For the FMT column, the following legend will be used:

- A = Alphabetic
- N = Numeric (digits 0 thru 9)
- X = Alphanumeric
- **Note:** The header line is mandatory, and must appear as the first line in the .csv file(s) for import of both the accounts and positions records. Refer to section 7.4, Header Samples for examples of the header line.

ACCOUNT DATA	FMT	MAX.LGTH	REQ/OPT
AffiliatedCie	Х	24	0
AccountNumber	Х	16	R
AccountType	N	1	R
AccountOwnerType	A	1	R
Ownerld	Х	24	R
HedgeSpec	A	1	R
Name	A	25	R
Address	Х	48	R
City	A	24	R
State	A	24	R
ZipPostalCode	Х	12	R
Phone	N	24	0
Fax	N	24	0
Email	Х	48	0
CountryCode	Х	2	R

7.3.1 Account Record

7.3.2 Position Record

POSITION DATA	FMT	MAX.LGTH	REQ/OPT
ReportDate	N	8	R
AccountNumber	Х	16	R
ExternalSymbol	Х	30	O ¹
ClassSymbol	Х	20	O ²
ExpirationDate	N	8	O ²
CallPutCode	A	4	O ² , ³
StrikePrice	Х	10	O ² , ³
LongQuantity	N	8	R ⁴
ShortQuantity	N	8	R ⁴

1. If External Symbol is known and filled, it takes precedence over the detailed description of the instrument (ClassSymbol, Expiration Date, CallPutCode, and Strike Price). In other words, the detailed description is ignored.

2. If ExternalSymbol is filled, ClassSymbol, ExpirationDate, CallPutCode, and StrikePrice do not need to be filled.

3. Required for Options, optional for Futures

4. Quantity must be positive, and Long and/or Short Quantity must be filled. If both are empty, Position will be rejected.

7.4 Header Samples

7.4.1 Account Record Header

The following is an example of the Account Record Header:

7.4.2 Position Record Header

The following is an example of the Position Record Header:

ReportDate;AccountNumber;ExternalSymbol;ClassSymbol;ExpirationDate;CallPutCode;StrikePrice;LongQuantity;ShortQuantity; 20110228;BG1002003;;ABX;20110122;Call;38.00;275;;

Chapter 8 Data Window Customization

8.1 Introduction

This section explains the various functions that are available to a user for the purpose of customizing a Data Window in an effort to facilitate information tracking.

When viewing the contents of a Data Window, the user uses the horizontal scroll bar at the bottom of the window to scroll across the columns searching for specific information. With the amount of information being viewed, it is not uncommon for specific information to leave the window, resulting in the user having to scroll again to find it. The user uses the vertical scroll bar on the right side of the window to search for and view information within a specific column.

The Main Menu item 'Tools' contains a number of functions that will enable users to customize a Data Window to their own specific requirements. These functions along with additional functions are also available by:

- Right-clicking from within an active Data Window to display the sub-menu
- Selecting the appropriate 'Icon' from the ToolBar

The table below lists the functions along with a brief description, that are available from within the Main Menu item **Tools**, as an Icon on the **ToolBar**, or from the Data Window **sub-menu**:

Note: The description for some features are self contained within the table and do not have further detail. Those features in 'blue' contain a link to a more detailed description.

FEATURE	DESCRIPTION
Sort	Enables the user to sort a single column in either ascending or descending order, or perform a complex sort using multiple columns.
Filter	Enables the user to filter information pertaining to the selected cell. For example, clicking within a cell under the column Product Type, with the contents indicating 'Bond', then by selecting the Filter option, only data for Bond records will be displayed. The Filter Crite- ria selection enables the user to use more than one field type to select specific filter criteria.
Hide	Enables the user to quickly 'Hide' a column by not displaying it, or to hide multiple columns as required.

FEATURE	DESCRIPTION
	Column titles that appear on the data window are quite often trun- cated to minimize space. In some cases the user must 'lock onto' the cell border and stretch the column to display the full title.
Edit Column Properties	To alleviate this, the user can change the name of the column title to a more meaningful name. Additionally, both the colour of the column background and the font colour can be changed, to either bring attention to new data as the window is updated, or to make search- ing for a particular column easier.
Editing Window Title	Enables the user to change the title of a Data window from the sequential number that is assigned to the window to a more mean-ingful name.
Grid Options	Note: This feature is not available to the Position Report Manager.
Import	Enables the user to import a .csv file directly into the Data Window. For more information on this topic, refer to Chapter 7 Importing CSV Files
Exporting to Clipboard	Enables the user to export the contents of the Data Window to the clipboard, where it can be pasted into another application for further use.
Export to CSV File	Enables the user to export the contents of the Data Window in a CSV (Comma Separator Value) format, where it can be opened within another application such as Excel, for further use. The file is exported to the working directory set up for the Approved Participant
Copy Row	Copies the contents of an entire row.
Copy Cell	Copies the contents of a single cell.
Copy Column Values	Copies the values within a column.
Search	Enable the user to search specific content within a selected column.
Search Column	Enable the user to search for a specific column.
Print	Enables users to print the contents of a Data window.

8.2 Sort

Sorting allows you to sort information within a Business Item window. This option can be used for locating specific Accounts or Positions, or Positions within a specific Account.

To sort data within a Business Item window, follow the instructions given below.

STEPS	DESCRIPTION	
1	From within an active Data Window, do either of the following:	
	 Right-click the mouse button and select Sort > Sort Criteria as shown below. 	
	 From the Main Menu item Tools, select Sort > Sort Criteria 	
	Use the Shortcut Keys: Ctrl+Alt+S	

STEPS	DESCRIPTION				
	Position Report Manager - Workspace: Not of File Business Item Tools Window Help Place Place				
	Positions 3 ReportDate AccountNum Group 1 20110324 000175 Q0	Sort Filter Hide Edit Column Properties Edit Window Title Grid Options	Ctrl+Alt+C Ctrl+Alt+W Ctrl+Alt+N	Sort Criteria Ctrl+Alt+5 Set Quick Sort Ascending Shift+F7 Set Quick Sort Descending Shift+F8 Remove Column Sort Shift+Ctrl+F7	
		New Copy Edit Row Delete Delete All Displayed	Ins Ctrl+C Ctrl+Alt+R Ctrl+Del		
		Import Export to Clipboard Export to CSV File Copy Row Copy Cell Copy Column Values Search	Ctrl+I Ctrl+Ins Ctrl+B Ctrl+R Ctrl+F7 Ctrl+F7 Ctrl+F8		
2	The following Sort Selection	Search Column Print	Ctrl+F Ctrl+F3		
	Sort Selection Form				×
	Fields: AccountNumber ApprovedParticipantId CallPutCode ClassSymbol ExpirationDate ExternalSymbol Filler1 FirmUnitMember Group Instrument LongQuantity MasterAccountId		> > < <	v Fields:	_
				<u>Up</u> <u>Down</u> O <u>K</u> <u>C</u> ancel	

STEPS	DESCRIPTION
3	Select the fields according to which one you want to sort, by clicking on the field name in the Fields box and then clicking the > arrow to copy it to the Sort By Fields box.
	Repeat this for each field you wish to sort by.
	Clicking on >> arrows move all fields to the Sort by Fields box.
	Note: All field names are displayed in alphabetical order in the Fields list. To sort by one or many fields, the fields need to be copied from the Fields list to the Sort by Fields list by clicking on the field and pressing the > arrow.
	To remove a field from the Sort by Fields list, click on the field name and then click on the < arrow.
	Clicking on << arrows removes all fields from the Sort by Fields box.
4	Select items in the Sort By Fields box to include them in the sort (ascending only), by clicking on the check box beside each field.
	Note: To deselect an item, click on the check box to remove the check mark. This will remove it from the sort process.
5	Use the Up and Down buttons to change the position of a field name from the order in which it appears in the sort list.
6	Click OK when the sort criteria selection is completed.

8.3 Filter

Filtering allows you to filter information within a **Business Item** window so that only the records that contain the data you are interested in are displayed.

The filtering option allows you to select specific data in order to record data or print reports.

To filter data within an open Business Item window, follow the instructions given below.

STEPS	DESCRIPTION	
1	From within an active Data Window, do either of the following:	
	 Right-click the mouse button and select Filter > Filter Selection as shown below. 	
	 From the Main Menu item Tools, select Filter > Filter Selection 	
	 Use the Shortcut Keys: Ctrl+Alt+F 	

STEPS		
	Image: Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Image: Position Report Manager - Workspace: Not defined Image: Position Report Manager - Workspace: Position Report Position Image: Position Report Position Report Position Image: Position Reposition	_ _ _ _
		CallPutCode StrikePrice ExpirationDa Clas Filter Selection Ctrl+Alt+F Set Quick Filter Remove Column Filter Ctrl+Alt+Q
2	The Filter Definition Form is displayed as follows.	×
	Filter Definition Form Columns AccountNumber AccountNumber CallPutCode CallSymbol ExpirationDate Filter Condition C < C allPutCode	
	Cigar Ali	0 <u>K</u> _ancel

STEPS	DESCRIPTION			
3	All column (field) names are displayed in alphabetical order in the Columns list. To set filters for a column; click on the box beside the column name to select it.			
	Note: Filter se individu	e .	can be set, but each one must be	set
	Under the Col value of multip		ayed which will allow the user to	compare the
		ilter negation box will be ava Il of the filters set for each co	ilable which will enable the user to blumn.	o put a global
4	becomes activ		Iter Condition in the center of th ta values in the column are displa le of the screen.	
5	Select your fil	ter criteria.		
6		e the filter criteria negative by ation on the column selected	y clicking on the box beside Nega	tion and this
	Note: The tab	le below explains this.		
	Filter Meaning Meaning			
	<	Less than	Greater than	
	<=	Less than or equal to	Greater than or equal to	
	=	Equal to	Not equal to	
	>=	Greater than or equal to	Less than or equal to	
	>	Greater than	Less than	
	Between	Between two values	Outside of two values	
	Having Including this value Not including this value			
7	Select options viewed on the right side of the filter condition.			
8	Repeat for other columns as necessary.			
9	When all the fields that you want to filter by have been set,			
	Click OK to perform the filter process			
10	To cancel the filter process,			
	Click Cance	-		

8.4 Hide

The Hide Column(s) function enables you to temporarily remove the selected column(s) from the display on your screen.

There are two formats for hiding columns:

- Hide one column
- Hide multiple columns

They can be accessed from the Main Menu Tools item, as icons on the Toolbar, or from the sub-menu displayed by right-clicking the mouse button in the Data Window.

To **hide a single column**, simply position the cursor in the column on the Data window that is to be hidden and then select the appropriate feature from any of the above mentioned sources.

• For example, the Ψ icon from the **Toolbar**.

To hide multiple columns, follow the instructions given below.

1	From within an active Data W	Nindow, do either of the following:	
	Right-click the mouse butto	ton and select Hide > Hide Columns as shown below.	
	•	Tools, select Hide > Hide Columns	
	• Use the Shortcut Keys: Cti		
	• Select the from the	Toolbar	
	Position Report Manager - Workspace: Not o	efined	I
	File Business Item Tools Window Help		
	Positions 3		
	ReportDate AccountNum Group	Instrument LongQuantit ShortQuantit CallPutCode StrikePrice ExpirationDa Clas:	
	1 20110324 000175 Q0	Sort ABX	
		Filter Hide Columns Chrl+Alt+H	
		Edit Column Properties Ctrl+Alt+C	
		Edit Window Title Ctrl+Alt+W Hide One Column Čtrl+H Grid Options Ctrl+Alt+N	
		New Ins	
		Copy Ctrl+C	
		Edit Row Ctrl+Alt+R	
		Delete Ctrl+Del	
		Delete All Displayed Import Ctrl+I	
		Export to Clipboard Ctrl+Ins	
		Export to CSV File Ctrl+B Copy Row Ctrl+R	
		Copy Cell Ctrl+F7	

	The Column Hiding Selection form is displayed as shown below.
	Column Hiding Selection
	Check columns in order to hide them AccountId AccountNumber ApprovedParticipantId CallPutCode ClassSymbol ExpirationDate
	ExternalSymbol Filler1 Hide All Reset All OK Cancel
2	Click the box next to the column name that you wish to hide. Note: Multiple columns can be hidden at the same time.
3	Click OK.
	The selected columns will not appear on the screen.
4	Note: To re-display the hidden columns, do the following.
	 Right click and select Hide Columns from the sub-menu. Remove checkmarks from boxes by clicking on the boxes next to the column names to be re-displayed Click OK Note: Re-displayed columns are not displayed where they originally were, but are
	displayed at the far right of the Data Window.

8.5 Edit Column Properties

This function enables you to change the text of a column title to a more meaningful name, or to change the background or font color of a column.

To edit column properties within an open Business Item file, follow the instructions given below.

TEPS	DESCRIPTION									
1	To edit column properties, do either of the following:									
	• From the Main Menu choose Tools > Edit Column Properties , as shown below									
	• From within an active Data Window, right-click the mouse to display the sub-menu,									
	and click Edit Column Properties									
	Use the Shortcut Keys: Ctrl+Alt+C									
	Position Report Manager - Workspace: Not defined									
	File Business Item Tools Window Help									
	Sort Julier Julier									
	Hide									
	Edit Column Properties Ctrl+Alt+C									
	Affilia									
	1 GWL Export to Clipboard Ctrl+Ins e 27500 Speculator Western Hot 8400 St. Jac Montreal Que									
	2 CTA Print o 29750 Hedger Loyalist Trad 3695 Bay Str Toronto Onta									
	3 Loma Grid Options Ctrl+Alt+N Grid Options									
	4 FTD music States Circles Contraction Contraction France States Contraction C									
	5 HBC Inc. 408750 Firm CanadianBro 28788 Hedger Western Trai 1600 Iviston Montreal Quel 6 PFF Funds Ir 429000 Firm MutualFunds 41235 Speculator BraceBridge 8976 George Kingston Onta									
	I									
	The Titles Edit Form is displayed with default titles for all columns.									
	In this example we will change the name of the column AccountNumber to Acct-Nbr, th font will be red on a green background.									
	• Click in the second row under AccountNumber (this becomes the active column)									
	The name appears in the User Title area.									
	Change the name to Acct-Nbr									
	Click Set									
	The text Acct-Nbr now appears in the AccountNumber column of the Edit Titles Form.									

STEPS	DESCRIPTION					
2	To change the background color of the selected column, do the following:					
	Click the Background Color button					
	The Color palette is displayed showing the default color (white) for the background color.					
	Select the color of choice (green)					
	The Color palette now shows the selected color as indicated below.					
	Color ? X					
	Basic colors:					
	Custom colors:					
	Hue: 80 Red: 0					
	Sat: 240 Green: 255					
	Define Custom Colors >> Color/Solid Lum: 120 Blue: 0					
	OK Cancel Add to Custom Colors					
	Click OK					
3	To change the Foreground or font color, do the following;					
	Click the Foreground Color button					
	The Color palette appears showing the default color of the font.					
	Select the color of choice (Red)					
	Click OK					
	The final Titles Edit Form is displayed as follows.					

Titles Edit Form										
Tit	les									
Ī		ccountNumber	AccountOwner	ype AccountTy	pe Addre:	ss Affilia	tedCie Ci	ity	CountryCode	E
	4	cetNbr	AccountOwner	ype AccountTy	pe Addre:	ss Affilia	tedCie Ci	ity	CountryCode	E
	A	(cetNbr	AccountOwner1	ype AccountTy	pe Addre:	ss Affilia	tedCie Ci	ity	CountryCode	E
	A	(cetNbr	AccountOwner1	ype AccountTy	pe Addre:	ss Affilia	tedCie Ci	ity	CountryCode	E
	A	.cetNbr	AccountOwner1	ype AccountTy	pe Addre:	ss Affilia	tedCie Ci	ity	CountryCode	E
			•							
		nn: AccountN	lumber		_		obal Setti	ings		
Us	er Title Acc	tNbr			Set		<u>D</u> efault Ti	tles		
		[Default Co	olors		
Da	ickground Col		Default Color	s						
Fo	reground Cold	or								
								C	K	<u>C</u> a
	will retu default Under t	ırn both tł value. he Globa	ors button ne font and al Settings	l backgrou	nd colo ult Titl	ors of th es butto	e sele on retu	cted co rns all	olumn to titles to	th the
Note:	The De will retu default Under t default colors t esult of t	Irn both th value. he Globa value. Th o their de he above	ne font and al Settings ne Default efault value e changes i	l backgroun , the Defau Colors but for all colu	nd cold ult Titl ton wil imns.	ors of th es butto Il return	e sele on retu	cted co rns all	olumn to titles to	th th
Note: The re	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above	ne font and al Settings ne Default afault value changes i pace: Not defined	l backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil imns.	ors of th es butto Il return	e sele on retu	cted co rns all	olumn to titles to	th th
Note: The re	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above	ne font and al Settings ne Default efault value e changes i pace: Not defined	l backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil imns.	ors of th es butto Il return	e sele on retu	cted co rns all	olumn to titles to	th th
	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above he above	ne font and al Settings ne Default afault value changes i pace: Not defined	l backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil imns.	ors of th es butto Il return	e sele on retu	cted course all he fon	olumn to titles to	th th
	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above he above	ne font and al Settings ne Default afault value changes i pace: Not defined	I backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil imns. d belov	es butto ll return v.	e sele on retu both t	cted co rrns all he fon	olumn to titles to t and bad	th th
Note: The re File Busi	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above nager - Worksp als Window He W W W W W W W W W W W W W W W W W W W	AccountTyp Accou	I backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil imns. d belov	es butto ll return v.	e sele on retu both t	cted co rns all he fon	titles to t and bad	th th
	The De will retu default Under t default colors t esult of t	Irn both th value. the Globa value. Th o their de he above he above <u>nager - Works</u> window He <u>W Window He</u> <u>S W</u>	AccountTyp Accou	I backgroun , the Defau Colors but for all colu s displayed	nd cold ult Titl ton wil umns. d belov	es butto ll return v.	e sele on retu both t Address 8400 St. Ja	cted co rns all he fon City c Montreal	titles to t and bac	th th
Note: The re Position File Busi 2 1 2 3	The De will retu default Under t default colors t esult of t con Report Man ness Item Too Counts 2 - Fi AffiliatedC GWL Inc. CTA Grou Lomar Inv	Irn both th value. the Globa value. Th o their de he above he above inter applied ie AcctNbr 145015 ph 386772 est 338355	he font and al Settings he Default efault value e changes i bace: Not defined op Changes AccountTyp Accou Client FundM Client FundM	I backgroun , the Defau Colors but for all colu s displayed itowr 0wnerld anage 27500 anage 29000	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Hedger Speculator	Name Name V.	e sele on retu both t Address 8400 St. Ja 3695 Bay S 5665 Elgin	cted co rns all he fon City c Montreal t Toronto S Ottawa	clumn to titles to t and bac	th th
hote:	The De will retu default Under t default colors t esult of t esult of t con Report Ma ness Item Tor I Z I I I I COUNTS 2 - Fr Affiliated GWL Inc. CTA Grou Lomar Inv FTD Trus	Inn both th value. the Globa value. Th o their de he above he above inter applied ie AcctNbr s45015 iel 386772 est 398955 tut 399325	AccountTyp Account Client FundM Finn Canad Client FundM Client FundM	I backgroun , the Defau Colors but for all colu s displayed is display	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Speculator Speculator	Name V. Name Vestern Hor Loyalist Trad Invest Expert Barters & Wa	e sele on retu both t Address 8400 St Ja 3695 Bay S 5665 Elgin 8789 Lands	cted co rns all he fon City c Montreal tr Toronto S Ottawa c Ottawa	titles to t and bac	th th
Note:	The De will retu default Under t default colors t esult of t esult of t counts 2 - Fi Affiliated GWL Inc. CTA Grou Lomar Inv HBC Inc.	Irn both th value. the Globa value. Th o their de he above he above is Window He W W W W W W W W W W W W W W W W	AccountTyp Account Client FundM Firm Canad	I backgroun , the Defau Colors but for all colu s displayed is display	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Speculator Speculator Hedger	Name V. Name Western Hor Loyalist Trad Invest Expert Barters & Wa Western Tra	e sele on retu both t Address 8400 St. Ja 3635 Bay S 5665 Elgin 8789 Lands 1600 Ivistor	cted co rns all he fon City City Coltawa Sottawa Sottawa Montreal	clumn to titles to t and bac	th th
Note: The re File Busi C 2 3 4	The De will retu default Under t default colors t esult of t esult of t counts 2 - Fi Affiliated GWL Inc. CTA Grou Lomar Inv HBC Inc.	Irn both th value. the Globa value. Th o their de he above he above is Window He V W W W W W W W W W W W W W W W W W W	AccountTyp Accou Client FundM Firm Canad	I backgroun , the Defau Colors but for all colu s displayed is display	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Speculator Speculator	Name V. Name Vestern Hor Loyalist Trad Invest Expert Barters & Wa	e sele on retu both t Address 8400 St. Ja 3635 Bay S 5665 Elgin 8789 Lands 1600 Ivistor	cted co rns all he fon City City Coltawa Sottawa Sottawa Montreal	titles to t and bac	tł th
Note: The re File Busi 2 1 2 3 4 5	The De will retu default Under t default colors t esult of t esult of t counts 2 - Fi Affiliated GWL Inc. CTA Grou Lomar Inv HBC Inc.	Irn both th value. the Globa value. Th o their de he above he above is Window He W W W W W W W W W W W W W W W W	AccountTyp Account Client FundM Firm Canad	I backgroun , the Defau Colors but for all colu s displayed is display	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Speculator Speculator Hedger	Name V. Name Western Hor Loyalist Trad Invest Expert Barters & Wa Western Tra	e sele on retu both t Address 8400 St. Ja 3635 Bay S 5665 Elgin 8789 Lands 1600 Ivistor	cted co rns all he fon City City Coltawa Sottawa Sottawa Montreal	clumn to titles to t and bac	th th
Positi Positi Busi 1 2 3 4 5	The De will retu default Under t default colors t esult of t esult of t counts 2 - Fi Affiliated GWL Inc. CTA Grou Lomar Inv HBC Inc.	Irn both th value. the Globa value. Th o their de he above he above is Window He W W W W W W W W W W W W W W W W	AccountTyp Account Client FundM Firm Canad	I backgroun , the Defau Colors but for all colu s displayed is display	nd cold ult Titl ton wil imns. d belov HedgeSpec Speculator Speculator Speculator Hedger	Name V. Name Western Hor Loyalist Trad Invest Expert Barters & Wa Western Tra	e sele on retu both t Address 8400 St. Ja 3635 Bay S 5665 Elgin 8789 Lands 1600 Ivistor	cted co rns all he fon City City Coltawa Sottawa Sottawa Montreal	clumn to titles to t and bac	t th

8.6 Editing Window Title

The Edit Window Title function allows you to change the names of any Business Item window.

To edit the window title of an open Business Item file, follow the instructions given below.

STEPS	DESCRIPTION
1	To edit the Data Window Title, do either of the following:
	• From the Main Menu choose Tools > Edit Window Title , as shown below
	• From within an active Data Window, right-click the mouse to display the sub-menu,
	and click Edit Window Title
	Use the Shortcut Keys: Ctrl+Alt+W
	Position Report Manager - Workspace: Not defined
	ALZIA Sort I
	Filter Hide
	Positions 1 - N Edit Column Properties Ctrl+Alt+C
	ReportDr Edit Window Title Ctrl+Alt+W ongQuantity ShortQuantity CallPutCode StrikePrice ExpirationDa
	A Search Ctrl+F
	Grid Options Ctrl+Alt+N
2	The Window Title - Editing dialog box appears displaying the current title:
	 Enter the new window title as shown below.
	Window Title - Editing
	Title
	Positions Tracking
	OK Cancel
3	Click OK .
5	

STEPS	De	SCRI	PTION								
	The	title	of the D	ata Wir	ndow h	as char	nged.				
	Pine	cition D	eport Manage	Worker	nco. Not dof	ined					_ 🗆 ×
			Item Tools \			ined					
	2			5 🛛 🖤	6 m 5		i				
		Posi	itions Trackin								
			ReportDate			ShortQuantit		-	-		
		1	20110325	000175	AHX1	1000	20110416	ABX	ABX 11041	QO	

8.7 Rearranging Columns

Rearrange columns by dragging and dropping the column heading to the desired location.

To move a column within a file, follow the instructions given below.

STEPS	DESCRIPTION
1	Click on the heading of the column you want to move and hold the mouse button down.
	While continuing to hold down the mouse button, move the cursor with the mouse along the column heading line to the location where you would like to place the column.
3	Release the mouse button.

8.8 Exporting to Clipboard

8.8.1 When to export data to the clipboard?

The following option allows the user to copy the current screen to a clipboard for copying to another program. It is most often used to cut and paste information from a Business Item window into an Excel spreadsheet so that the user can view, manipulate, and print the data outside of LOPR. Prior to exporting to a clipboard, the Business Item window can be filtered or columns hidden/displayed so that only the desired information is exported. This option is frequently used to generate customized reports.

Windows can be set up for:

- Executed Reports
- Cleared All Report
- Unallocated Screen

8.8.2 How to Export to Clipboard

To export data from a window to the clipboard, follow the instructions given below.

STEPS	DESCRIPTION
1	Sort; filter the selected window, and/or display/hide columns to display what you want to export on the monitor. Refer to the relevant sections in this document for details.
2	Click Tools on the menu bar at the top of the LOPR application window.
3	Click Export to Clipboard on the drop-down menu.
	or
	Shortcut Key: Ctrl + Ins
	Note: The information is copied to the clipboard.
4	Use the clipboard function under Edit in Excel (or another program) to paste the infor- mation into another file.
	or
	Shortcut Key : Ctrl + V

8.9 Search

The Search option enables the user to search for specific data within a column. This function can be found in:

- The Main Menu **Tools** sub-menu
- By right-clicking in an active Data Window to display the sub-menu
- The **Toolbar** as an icon

Once the Search item has been selected, the following **Find** dailog box is displayed.

Find		? ×
Find what: 156 Street		Find Next
🔲 Match whole word only	Direction	Cancel
Match case	○ Up ⊙ Down	

- Enter the search criteria in the **Find what:** area (can be a partial entry)
- Select the box to match on a whole word only
- Select the box to match the case (upper/lower)
- Select the direction the search will take
- Click Find Next

8.10 Search Column

This Search Column function enables the user to search for a specific column, not the contents. The dialog box is identical to the Search function and functions in the same manner.

8.11 Print

The Print option allows you to print the contents of the current file.

8.11.1 **Printing a Business Item**

To print data from a Business Item window, follow the instructions given below.

Note: The Print option in will only be available if a printer is linked to the LOPR PC.

STEPS	DESCRIPTION
1	Sort; filter the file, and/or display/hide columns to display what you want to export on the monitor. Refer to the relevant sections in this document for details.
2	To print the displayed data, do either of the following:
	 From the Main Menu select Tools > Print
	 From within the active Data Window, right-click the mouse to display the sub-menu, then click Print
	Click the icon on the Toolbar
3	The Print dialog box will be displayed.
	Click OK on the print management window.

This section explains the functionality of the Workspace and Data Windows within the Position Report Manager application.

A.1 The Workspace

As mentioned in Chapter 3, Getting Started, When you first log into Position Report Manager, the Workspace is empty and unnamed, unless you have previously set up a named Workspace to be the default Workspace.

A.1.1 Opening a Workspace

Once you have logged in to the Position Report Manager, you can either open Data Windows in the current Workspace, or you can open a pre-saved Workspace from an earlier session, or that has been created by someone else. For information on how to save and name a current Workspace, refer to section A.1.2, Saving the Workspace.

STEPS	DESCRIPTION		
1		space, do either of the following:	
	From the Main Menu, sUse the Shortcut Key:	select File > Open Workspace as indicated below. Ctrl+F11	
	Position Report Manager - Workspace File Business Item Tools Window Help	2: Not defined	
	Login F9 Logout Ctrl+F9		
	Open Window F11 Open Workspace Ctrl+F11		
	Save Window As Ctrl+F12 Save Window As Template Ctrl+Alt+T		
	Save Workspace F12 Save Workspace As Shift+F12 Save Workspace As Default F6		
	Exit		

STEPS	DESCRIPTION
	The Open Workspace dialog window is displayed as shown below.
	Open Workspace
	Look in: 🗁 PositionReportManagerParticipant 🛛 🖛 🗈 💣 🏢+
	🚰 APL Dir 🦳 LogDir 🍋 WorkDir
	File name: Open Files of type: Workspace files (*.wrk) Cancel Open as read-only Open as read-only
2	In the Open Workspace dialog window, do either of the following:Double-click the directory that contains the Workspace
	 Select the directory that contains the Workspace and click Open.
3	When you have located the Workspace:Select it and click Open as illustrated below
	Open Workspace ? × Look in: APL Dir Account-Position Tracking.WRK
	File name: Account-Position Tracking Ope
	Files of type: Workspace files (*.wrk) Cancel

STEPS	DESCRIPTION					
	A new Workspace named Account-Position Tracking is displayed below.					
	Note: The Workspace contains a Positions Data Window which has also been renamed. For information on how to edit the title of a Data Window, refer to section 8.6, Editing Window Title.					
	Position Report Manager - Workspace: Account-Position Tracking					
	File Business Item Tools Window Help					
	Positions(03082011) - No data found					
	ReportDate AccountNumber ExternalSymbol ClassSymbol ExpirationDate CallPutCode StrikePrice Long					

A.1.2 Saving the Workspace

To save a 'Not defined' Workspace or the initial Workspace, after you have opened Data Windows for one or more Business Items, you will be required to use the **Save Workspace As...** option within the **File** menu. This function will also be used when it is necessary to rename an existing Workspace. The next time this Workspace is opened, the same settings will be displayed.

Note: More than one Workspace can be named and saved, however, only one can be the 'Default' Workspace, and only one Workspace at a time can be accessed.

Once a Workspace has been named and is in use, to save the Workspace, use **Save Workspace** within the File menu. the Workspace will be saved with no dialog window intervention necessary.

In this example, a 'Not defined' Workspace containing a renamed Data Window for the Business Item 'Positions' is to be saved. Follow the steps as outlined below:

STEPS	DESCRIPTION
1	 To save the current Workspace with a new name, do either of the following: From the Main Menu, select File > Save Workspace As as indicated below. Use the Shortcut Key: Shift+F12
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help Open Window Open Window File Open Window File Open Window File Open Window File Open Workspace Ctrl+File Seve Window As Templete Ctrl+File Seve Window As Templete
	option is not available. The Save Workspace As dialog window is displayed prompting the user to enter a name for the Workspace. Save Workspace As Save in: PositionReportManagerParticipant T + E * III+ APL Dir APL Dir WorkDir
	File name: Save Save as type: Workspace files (*.wrk) Cancel

STEPS	DESCRIPTION
2	Do the following:
	Navigate to the directory where the Workspace will be stored
	Enter the name of the Workspace (i.e. Account-Position Tracking) The Dislog using days should accomplet the following illustration
	The Dialog window should resemble the following illustration.
	Save Workspace As
	Save in: 🗁 APL Dir 🔽 🗢 🖻 📸 🎫
	File name: Account-Position Tracking Save
	Save as type: Workspace files (*.wrk) Cancel
	Click Save
	The Workspace now displays the new name as shown below.
	Position Report Manager - Workspare: Account-Position Tracking
	File Business Item Tools Window Help
	ReportDate AccountNumber ExternalSymbol ClassSymbol ExpirationDate CallPutCode StrikePrice Long

A.1.3 Saving the Workspace As...

In the situation where a Workspace has been previously named and opened, the user may have altered the contents by opening new windows, modified content in one of the fields, or added records, yet would like to retain the original Workspace, as well as saving the current content. To do this, you would have to save the Workspace as a new 'named' Workspace. This would leave the original Workspace untouched in the directory. Refer to section A.1.2, Saving the Workspace, for information on how to name or rename a Workspace.

A.1.4 Saving a Workspace as the Default

As you work within a Workspace, you may decide that the Workspace should be the default Workspace once it has been set up to your preference with specific Data Windows. By setting up a specific Workspace as the default, the next time you log into Position Report Manager, the default Workspace is displayed.

To use the **Save Workspace As Default** option, the Workspace must be a named.

STEPS	DESCRIPTION								
1	To save the currer	nt Works	space as t	he Default W	orkspace	e , do ei	ither of	the fol	lowing:
	From the Main IUse the Shortcu			> Save Work	space A	s Defa	ult as i	ndicate	ed below.
	File Business Item Tools Wir	-	: Account-Positi	on Tracking					<u>_ </u>
	CH Login Logout			1 III					
	Open Window Open Workspace	F11 Ctrl+F11	1						
	Save Window As Save Window As Template	Ctrl+F12 Ctrl+Alt+T	- +rnalSymbol	ClassSymbol	ExpirationDate	CallPutCode	StrikePrice	Long	
	Save Workspace Save Workspace As	F12 Shift+F12							
	Save Workspace As Default	- 16							
	4								

STEPS	DESCRIPT	ION
	Note:	There is no display of a dialog box. The workspace must be a named workspace and therefore was previously saved to a location.

A.2 Data Windows

A Data window displays information pertaining to a Business Item and is presented in a multi column format. Each column has a title that relates to a data field. Users are able to open Data windows for one or several Business Items to track specific information such as their positions or assets within the Workspace. When you first open a Data Window, it is unnamed and contains only a number. This number simply indicates the number of times the Business Item has been accessed within the current session. You are able to rename this Data Window with a more meaningful name by using the **Edit Window Title** feature within the Main Menu item '**Tools**'. Refer to section **8.6**, Editing Window Title.

A.2.1 Open a Saved Data Window

To open an existing Business Item Data Window, follow the steps as outlined below.

DESCRIPTION		
From within the current W	orkspace, do either of the following:	
• From the Main Menu, s	elect File > Open Window as indicated below	
	-	
	: Not defined	
C™ Login F9		
Open Window F11 Open Workspace Ctrl+F11		
Save Window As Ctrl+F12 Save Window As Template Ctrl+Alt+T		
Save Workspace F12 Save Workspace As Shift+F12 Save Workspace As Default F6		
Exit		
	From within the current W From the Main Menu, s Use the Shortcut Key: Position Report Manager - Workspace File Business Item Tools Window Help C Login F9 Logout Ctrl+F9 Open Window F11 Open Window Ctrl+F11 Save Window As Ctrl+F11 Save Window As Template Ctrl+Alt+T1 Save Workspace F12 Save Workspace As Shift+F12 Save Workspace As Shift+F13 Save Work	From within the current Workspace, do either of the following: • From the Main Menu, select File > Open Window as indicated below • Use the Shortcut Key: F11 Position Report Manager - Workspace: Not defined File Business Item Tools Window Help C Logout Ctrl+F9 Open Workspace Ctrl+F11 Save Window As Ctrl+F12 Save Window As Template Ctrl+At+T Save Workspace As Shift+F12 Save Workspace As Shift+F13 Save Workspace As Shift+F14 Save Workspace As Shift+F15 Save Workspace As Shift+F14 Save Workspace As Shift+F15 Save Workspace As Sh

STEPS	DESCRIPTION
2	The Load Configuration dialog box is displayed. Do either of the following:
	 Double-click the directory that contains the Data Window Select the directory that contains the Data Window and click Open.
	Look in: Configuration ? X Look in: ConfigurationReportManagerParticipant V (Configuration)
	🔁 LogDir
	C WorkDir
	File name: Open
	Files of type: Configuration files (*.cfg)
	Open as read-only
3	In the selected directory (APL Dir), do either of the following:
	 Double-click the Data Window file Select the Data Window file and click Open.
	Load Configuration ? X Look in: 🗁 APL Dir 🗸 🖨 🗈 🎬 🎟 -
	File name: APL Positions Open
	Files of type: Configuration files (*.cfg) Cancel

STEPS	DESCRIPTION
	The selected Data window is displayed below.
	Note: The filename of the Data Window is APL Positions , however the title of the Data Window is Positions (03082011) . To change the title of a Data Window, refer to section 8.6, Editing Window Title.
	Position Report Manager - Workspace: Not defined
	File Business Item Tools Window Help
	ReportDate AccountNumber ExpirationDate

A.2.2 Saving a Data Window As...

To save a current Business Item Data window, follow the steps as outlined below.

STEPS	DESCRIPTION	
1	From within the current Workspace above, do either of the following:	
	 From the main menu, select File > Save Window As, as indicated below Use the Shortcut key: Ctrl+F12 	
	Position Report Manager - Workspace: Not defined File Business Item Tools Window Help	
	Logout Ctrl+F9	
	Open Window F11 Open Workspace Ctrl+F11 p Instrument LongQuantity ShortQuantity CallPutCode StrikePrice ExpirationDa	
	Save Window As Ctrl+F12 Save Window As Templated Ctrl+Alt+T	
	Save Workspace F12 Save Workspace As Shift+F12 Save Workspace As Default F6	
	Exit	
	T. F	

STEPS	DESCRIPTION
	The Save Window dialog box is displayed.
	Save Configuration As
	APL Dir
	CogDir
	File name: Save
	Save as type: Configuration files (*.cfg)
2	 Navigate to the directory (APL Dir) where you will save the Data Window Enter a name for the Data Window Click Save
	Save Configuration As
	Save in: 🗁 APL Dir 🔽 🖛 🖻 📸 🎫
	File name: APL Positions Save Save as type: Configuration files (*.cfg) Cancel
	Note: Although you are asked to name the Data Window, in fact you are naming the file that will be stored. This name has nothing to do with the actual name of the Data Window. To change or edit the Data Window title, refer to section 8.6, Editing Window Title

A.3 Window Functions within the Workspace.

As mentioned above, more than one Data window for multiple Business Items can be opened within a Workspace. To track or monitor a specific window within many windows in a Workspace, the Main Menu item '**Window**' contains a number of functions that will facilitate this.

Functions such as:

- Cascade
- Tile Horizontally
- Tile Vertically
- Minimizing All
- Arranging All
- Active Window Listing

A.3.1 Cascade

The following table illustrates the **Cascade** function on a Workspace containing four (4) Data windows opened at random.

PS	DI	SC	RIPTION	I										
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	Ī		AffiliatedCie	AcctNbr	AccountTyp	AccountOwr	Ownerld	HedgeSpec	Name	Address	City	State	q	
		1	GWL Inc.	345015	Client	FundManage	27500	Speculator	Western Hor	8400 St. Jac	Montreal	Quel	_	미지
		2	CTA Group II	386772	Firm	CanadianBro	29750	Hedger	Loyalist Trad	3695 Bay Str	Toronto	Onta		State
		3	Lomar Invest	398955	Client	FundManage	29000	Speculator	Invest Experi	5665 Elgin S	Ottawa	Onta	seSt.	Quel
		4	FTD Trust Lt	399925	Client	FundManage	36590	Speculator	Barters & Wa	8789 Landso	Ottawa	Onta	cess	Onta
		5	HBC Inc.	408750	Firm	CanadianBro	28788	Hedger	Western Tra	1600 Iviston	Montreal	Quel	cessi	Onta
		6	PFF Funds Ir	429000	Firm	MutualFunds	41235	Speculator	BraceBridge	8976 George	Kingston	Onta	pdat	Onta
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		AffiliatedCie		sitions(03082	:011) - No da	ta found	HedgeSpe	c Name	Address	City	State	
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2		CTA Group II		counts 4 counts 5			Hedger	Loyalist Tra	ad 3695 Bay S	tr Toronto	Onte	ъ.
3		Lomar Invest		Client	FundMana	age 29000	Speculator	Invest Exp	erl 5665 Elgin :	5 Ottawa	Onta	. 🗆 :
4		FTD Trust Lt	399925	Client	FundMana	age 36590	Speculator	Barters & W	/a 8789 Lands	c Ottawa	Onta	225
5		HBC Inc.	408750	Firm	Canadian	3ro 28788	Hedger	Western Tr	rai 1600 Evistor	n Montreal	Quel	essi
6		PFF Funds Ir	429000	Firm	MutualFur	nds 41235	Speculator	BraceBridg	e 8976 Geor <u>o</u>	e Kingston	Onta	dat
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A.3.2 Tile Horizontally

The following illustrates the **Tile Horizontally** function on two Data windows.

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A.3.3 Tile Vertically

The following illustrates the **Tile Vertically** function on two Data Windows.

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Note: The **Tile Horizontally** and **Tile Vertically** can sometimes display the same result when arranging open windows, depending on the number of windows that are 'open'. Initially, the Tile Horizontally will attempt to display open windows from top to bottom of the Workspace, while the Tile Vertically displays the windows from left to right. If enough windows are open, both features display the windows from top to bottom and from left to right. The top leftmost window in both cases is the last window opened, while the window in the bottom lower right of the Workspace is the first window opened.

A.3.4 Minimizing Windows

The following table illustrates the **Minimize All** function on four (4) Data Windows.

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STEPS	DESCRIPTION										
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A.3.5 Arranging all Windows

This feature will simply arrange 'minimized windows' in the same fashion that the Minimize All function does. Open windows are not affected by this feature. Only minimized windows will be re-arranged in the event thay have been dragged to another location within the Workspace

A.3.6 Active Window Selection

This feature enables you to select a specific window among many windows within a workspace. From the main menu select **Window**. Open window names are listed at the bottom of the sub-menu, with a ✓ next to the active window in the workspace. Click on the required Data Window, and it becomes the active window.

STEPS	DESC	CRIP	TION										
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Appendix B Acronyms and Definitions

B.1 Acronyms

The following table defines some of the acronyms that are used in this document.

ACRONYM	DEFINITION
CSV	Comma Separated Value
ETX	End-of-Text
ID	Identification
LOPR	Large Open Position Reporting
MX	Montréal Exchange Inc.
MX-R	Montréal Exchange Inc Regulatory
SAIL	SOLA [®] Access Information Language

B.2 Account Owner Types

ACCOUNT OWNER TYPE	DEFINITION						
Canadian Bank	A Schedule 'A' Bank or Credit Union.						
Foreign Bank	A Schedule 'B' Bank or a bank based outside Canada.						
Canadian Broker	A Broker based in Canada that is a member of IIROC.						
Foreign Broker	A Broker based outside Canada.						
Fund Manager	A professional who manages various securities and assets to meet his or her clients' specified investment goals (e.g., pool operator, options advisor).						
Pension Fund	Any plan, fund (including pension fund of government-owned corpo- ration or State-owned enterprise), or program that provides retire- ment income to employees or that includes schemes that result in a deferral of income by employees.						
Government and State Owned Companies	A Government Ministry or a legal entity created by a government to undertake commercial activities for an owner government.						
Retail Client	Generally refers to individuals, families and small businesses.						
Insurance Company	A company that provides insurance coverage to a person or entity that buys an insurance policy.						
Miscellaneous	Refers to all other client types.						
Hedge Funds	An investment fund open to a limited number of investors, and that takes on investments that carry a higher degree of risk than the risk taken by traditional investment funds.						

ACCOUNT OWNER TYPE	DEFINITION
Mutual Funds	A professionally managed investment scheme that pools money from investors and that invests it in various investment securities.
Commodity Trading Advisor (CTA)	An asset manager or a firm that invests in the futures market.
Corporate	An entity that is engaged in a commercial activity (other than portfo- lio management and other than Financial institutions, brokers and Government - owned corporation) that is granted a charter recogniz- ing it as a separate legal entity which has its own rights, privileges, and liabilities and which are distinct from those of its shareholders.
Proprietary Trading Firms Primarily Algorithmic	A Trader who trades primarily for his or her own account using a computer programmed with an algorithm.
Proprietary Trading Firms Local	A Trader who trades primarily for his or her own account.

B.3 Account Types

ACCOUNT TYPE	DEFINITION
Client	Means an order for a security or a derivative instrument entered for the account of a customer of any Approved Participant, or of a cus- tomer of a related firm of an Approved Participant, but does not include an order entered for an account in which an Approved Par- ticipant, a related firm of an Approved Participant, a person approved by the Bourse or a restricted trading permit holder has a direct or indirect interest, other than an interest in a commission charged.
Firm	Means an order for a security or a derivative instrument for an account in which the Approved Participant or a related firm of the Approved Participant has a direct or indirect interest, other than an interest in a commission charged.
Market Maker	An account established by an Approved Participant that is confined to transactions executed by and positions carried by the Approved Participant on behalf of a Market-Maker.
Omnibus	An account held in the name of an entity or person which may be uti- lized for recording and clearing the trades of two or more undis- closed customers of the account holder.
Professional	Means an order for a security or a derivative instrument for an account in which a director, officer, partner, employee or agent of an Approved Participant or of a related firm of the Approved Participant, a person approved by the Bourse or a restricted trading permit holder has a direct or indirect interest, other than an interest in a commission charged. The Bourse may designate any order as being an order for the account of a professional if, in its opinion, circum- stances justify it.

B.4 Account Ownership

For the purposes of the LOPR project, the account ownership shall be determined by applying the following subsequent steps:

- A. Person or entity that has more than 50% ownership interest in the account
- B. Name of the account (e.g. Mr. and Mrs. Smith, ABC Investment club),

It is the approved participants' responsibility to determine account ownership based on the information that has been or can be provided by the account owner(s). In case of doubt, approved participants should not hesitate to communicate with the Division to assist them in determining whether or not accounts should be considered as having the same owner(s).

Note: The Account Owner "Name" field can accommodate up to 25 characters. If the full account owner name should exceed 25 characters, use abbreviations which best describes the entity. (Do not hesitate to contact the Regulatory division for guidance).

B.5 Account Owner ID

The Account Owner ID field will allow the Division to assign a unique identifier to a **Beneficial Account Owner** in order to aggregate positions through different account numbers across all approved participants for each said account owner. For more information on aggregating positions, refer to B.6, Account Aggregation on page 107.

The following guidelines are to be used when populating the Account Owner ID field for LOPR with possible escalation when there is a legitimate unavailability of the required information:

A. For an account in the name of an individual or of a registered¹ or corporate entity owned exclusively² by this individual:

The Account Owner ID unique identifier that must be used are:

- For Canadian residents: last 4 digits of the Social Insurance Number (SIN)
- For U.S. residents : Social Security Number (SSN)
- For other countries residents: similar number such as, for example, tax identification number

If, and only if, the above identifiers are unavailable, approved participants will be allowed to use one of the following identifiers:

- 1. Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm.
- 2. Account owner's last name

^{1.} The term " registered " means a business name that has been registered by an individual in order to reserve that name. A registered entity is not a corporation.

^{2.} An example of a corporation exclusively owned by an individual is a personal holding corporation created for tax or estate planning purposes.

- B. For an account belonging to multiple individuals (partnerships, joint accounts, investment clubs, registered entities other than corporations, etc) :
 - 1. If one of the account owners holds an ownership interest of more than 50% in the account, then use the succession of identifiers found in A) above related to this account owner.
 - 2. For all other circumstances populate field with account's name (e.g. Mr. & Mrs. Smith, ABC Investment club etc..). Please note that the Account Owner ID field can accommodate up to 24 characters. If the full account name should exceed 24 characters, create an acronym from the entity's legal name. (Do not hesitate to contact the Regulatory division for guidance).
- C. For an account belonging to a Corporation other than a Corporation 100% owned by one individual (see A) above:
 - 1. If the corporation is more than 50% owned by an individual, then use the succession of identifiers found in A) above related to this account owner.
 - 2. If the corporation is more than 50% owned by another corporation, then use the incorporation number of the controlling corporation.
 - 3. For other cases, the Account Owner unique identifier that must be used is the incorporation number of the corporation in whose name the account is opened.

If, and only if, the above identifiers are not available, approved participants will be allowed to use one of the following identifiers:

- 1. Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm.
- 2. Account owner corporate legal name. Please note that the Account Owner ID field can accommodate up to 24 characters. If the full account owner corporate legal name should exceed 24 characters create an acronym from the legal name. (Do not hesitate to contact the Regulatory division for guidance).
- D. For any account not covered in sections A) B) or C)
 - 1. Registration number (e.g.:: charitable organization)
 - 2. Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm.
 - 3. Account owner legal name. Please note that the Account Owner ID field can accommodate up to 24 characters. If the full account owner legal name should exceed 24 characters create an acronym from the legal name. (Do not hesitate to contact the Regulatory division for guidance).

B.6 Account Aggregation

In order to determine if the reporting threshold is attained, approved participants must aggregate positions belonging to the same beneficial account owner as previously defined in sections B.4 and B.5 above.

The following guidelines are to be used when aggregating by beneficial Account Owner for LOPR:

- A. Aggregate positions for all accounts in the name of an individual and for all registered or corporate entities owned exclusively by that single individual.
- B. For accounts belonging to multiple individuals (partnerships, joint accounts, investment clubs, registered entities other than corporations, etc), aggregate positions to the account owner who holds an ownership interest of more than 50% in the account.
- C. For accounts belonging to a corporation, other than 100% owned by one individual, or any other entity, aggregation of position shall be done by beneficial ownership of the account.

In all cases, aggregation of positions shall be done by beneficial account owner as determined by the approved participant and/or its clients and/or its account owners directly. Accounts traded by registered persons pursuant to some discretionary trading authorization such as managed accounts and discretionary (carte blanche) accounts must not be aggregated except for those accounts that have a common beneficial owner.

Once it has been determined that the reporting threshold has been attained for a beneficial account owner after aggregating all positions held in his accounts, each of these accounts containing positions must be reported separately in LOPR.

Example: same account owner (Mr. X) may have multiple accounts

RRSP: Long 50 CALL RIM @ 50 JUN 11

TFSA : Long 200 PUT RIM @ 52 SEP 11

Margin CDN: Long 50 CALL RIM @ 60 JAN 12

Although the accounts taken individually do not meet the reporting threshold, once aggregated by account owner (Mr. X) the cumulative open position exceeds the reporting threshold (300 total open contracts on same underlying). Therefore, each of the three accounts above must be reported and this in a separate manner.



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