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## Table of Contents

<b>Using the Pre-Trade Compliance Tool</b> .....	<b>3</b>
Common Tasks .....	4
<b>Open the Pre-Trade Compliance Tool</b> .....	<b>5</b>
<b>Manage Restrictions</b> .....	<b>7</b>
<b>Create a Restriction</b> .....	<b>8</b>
<b>Apply Activate and Deactivate a Restriction</b> .....	<b>11</b>
<b>Edit or Delete a Restriction</b> .....	<b>13</b>
<b>Remove Restrictions</b> .....	<b>14</b>
<b>Restrictions History</b> .....	<b>18</b>
<b>Manage Accounts</b> .....	<b>21</b>
Common Tasks .....	22
<b>Accounts Page - Restrictions</b> .....	<b>23</b>
<b>Manage Users</b> .....	<b>27</b>
Common Tasks .....	28
<b>Users Page - Restrictions</b> .....	<b>29</b>
<b>Restriction Rules</b> .....	<b>31</b>
<b>Index</b> .....	<b>33</b>











## Using the Pre-Trade Compliance Tool

Use the Pre-Trade Compliance tool to apply trade-related restrictions to an account or user, all of your employees, or to an entire account family, including all client/sub-accounts. Restrictions applied by the Master user at the family level are inherited by all current *and all future* client and sub-accounts.

Pre-Trade Compliance Restrictions Accounts Users









Restrictions New Restriction

Restriction	Description	Accounts	Users	Date Created	
Closing trades only	Restrict to only closing or liquidating tra...	1	-	Feb 14, 2017	 
Net Long	Keep net long positions to under 60% of...	1	-	Feb 14, 2017	 
No day time trading	Restrict to after-hours trading	0	1	Feb 10, 2017	 
Product restriction	Do not allow trading futures	0	0	Feb 14, 2017	 

Pre-Trade Compliance Restrictions History

**EmployeeTrack Mode**

Restrictions  New Restriction

Restriction	Description	Active	Date Created	
AS Test		Active	Apr 7, 2017	 
HD restriction	Restrict trading on symbol HD	Active	Mar 1, 2017	 
Oh Snap!	Restricted trading on SNAP	Active	Mar 6, 2017	 
RESTRICTEDASSETCLASS_1		Active	Feb 13, 2017	 

## Common Tasks

- [Open the Pre-Trade Compliance tool](#)
- [Create a Restriction](#)
- [Apply a restriction](#) to an account or user.

### **Who can access the Pre-Trade Compliance Tool?**

You can use this tool if you are a(n):

- Advisor Master User
  - Proprietary Trading Group Master User
  - Broker Master User
  - Investment Manager Master User
  - Single Hedge Funds
  - EmployeeTrack Compliance Officer
-

## Open the Pre-Trade Compliance Tool

Open the Pre-Trade Compliance tool from within Account Management.

### To open Pre-Trade Compliance

1. Log into Account Management
2. From the **Manage Account Employees** menu, select *Trade Configuration* and then select *Trading Restrictions*.

**You can also access this feature via the Manage Clients/Funds/Traders menu by selecting Trading and then Restrictions.**

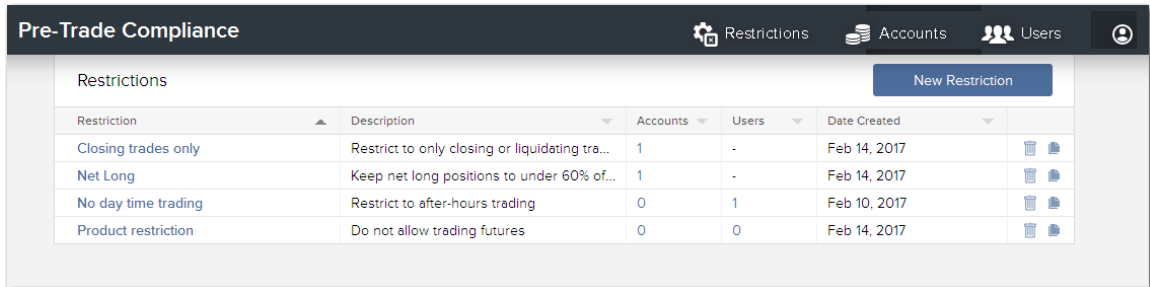
3. Click "Launch Pre-Trade Compliance."

If you don't see the Restrictions command in the Trade Configuration menu, this means that you are not eligible to set restrictions.



## Manage Restrictions

The Pre-Trade Compliance tool is designed to create, store and then apply trade-related restrictions to accounts or users. Restrictions are created using one or multiple “rules,” and reside in the Restrictions Library.



The screenshot shows the 'Pre-Trade Compliance' interface. At the top, there are navigation tabs for 'Restrictions', 'Accounts', and 'Users'. Below the tabs is a 'Restrictions' section with a 'New Restriction' button. A table lists several restrictions with columns for 'Restriction', 'Description', 'Accounts', 'Users', and 'Date Created'. Each row also has a trash icon and a refresh icon.

Restriction	Description	Accounts	Users	Date Created		
Closing trades only	Restrict to only closing or liquidating tra...	1	-	Feb 14, 2017		
Net Long	Keep net long positions to under 60% of...	1	-	Feb 14, 2017		
No day time trading	Restrict to after-hours trading	0	1	Feb 10, 2017		
Product restriction	Do not allow trading futures	0	0	Feb 14, 2017		

Restrictions can be applied individually to accounts or users, or at the global level as “Family” restrictions that are inherited by all sub-accounts, both current and future.

Restrictions at the account level are applied simultaneously with those that are inherited. If two restrictions overlap, they are “netted.” For example, if an account level restriction called "Limited Hours" dictates trading hours between 10:00 am and 1:00 pm, and an inherited family restriction called "Restricted Hours" limits trading hours from 11:00 am to 3:00 pm, that account will have restricted trading hours that run from 10:00 am to 3:00 pm.

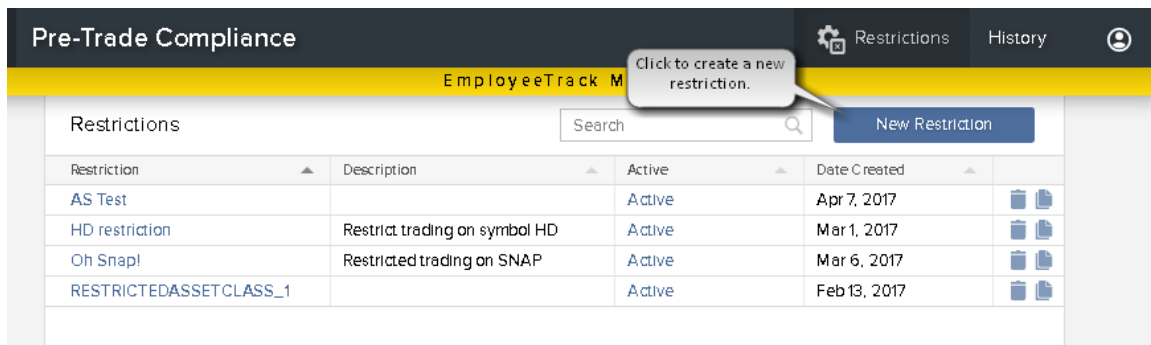
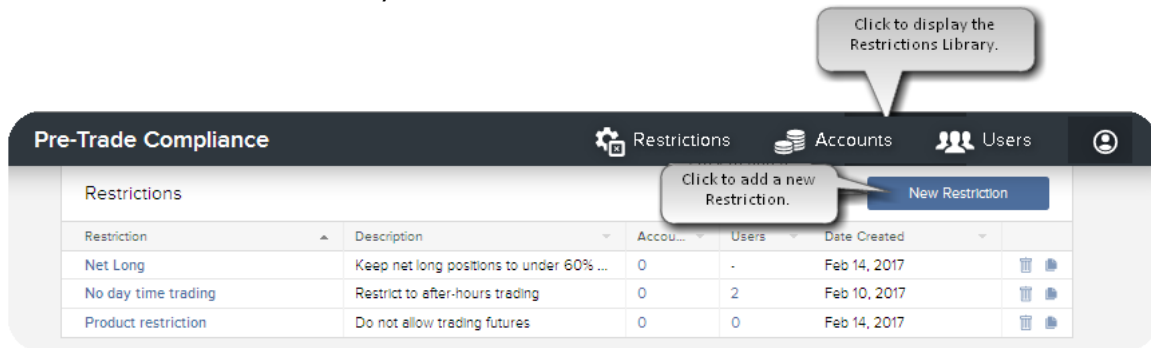
See the history of a restriction by selecting the restriction in the **Restrictions Library** and then selecting *History* in the upper right corner of the Settings page.

## Create a Restriction

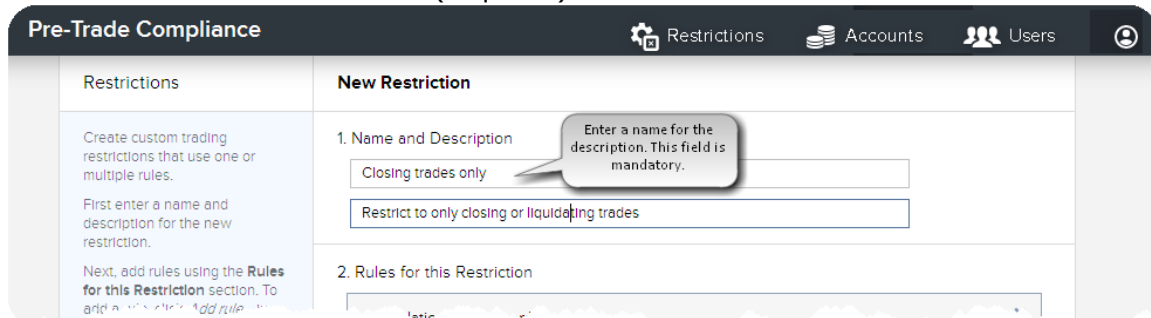
Restrictions are composed of one or more rules, and each rule specifies some kind of threshold or boundary that will trigger an order rejection when breached. If a restriction includes multiple rules, violation of any rule will result in the order being rejected.

### To create a restriction

1. In the main menu click Restrictions to open the **Restrictions Library**.
2. From the Restrictions Library click *New Restriction*.



3. Enter a name for the restriction (required).



4. Enter a description (optional).



5. Add one or more rules to the restriction. See the [list of available rules](#).

**Pre-Trade Compliance** | Restrictions | Accounts | Users

**Restrictions**

Create custom trading restrictions that use one or multiple rules.

First enter a name and description for the new restriction.

Next, add rules using the **Rules for this Restriction** section. To add a rule, click *Add rule...* in the drop down list. Select a rule to add it. Continue to add rules until the restriction is complete. When finished, click **Add Restriction** to save to the Restrictions Library.

To edit a restriction, select it from the library.

To apply a restriction, from the Account or Users column in the library, click the current number of accounts or users and then use checkboxes in the popup window to apply the restriction to more accounts or users.

The time-in-force (Good Till Cancel or Good Till Date) specifies how long the restriction will remain active.

**New Restriction**

1. Name and Description

Closing trades and/or restricted hours

Description

2. Rules for this Restriction

Apply Restriction if **ANY** of the following conditions are met.

Liquidation/Closing-only

Restrict trading to include liquidation or close-position trades only. Any result in establishing a new position will be rejected. [Hide Description](#)

Good Till Cancelled

Add rule...

- Net Margin
- Net Portfolio
- Liquidation/Closing-only
- Restricted Issuer
- Concentration Restrictions by Issuer
- Concentration Restrictions by Security or Product Type
- Restricted Products
- Restricted Hours

Add multiple rules to a restriction using the drop-down list. Note that the order will be rejected if ANY one of the multiple rule conditions are violated.

**Pre-Trade Compliance** | Restrictions | History

**EmployeeTrack Mode**

**Restrictions**

Enter a name and description, then define the restriction by adding one, or more rules from the *Add rule...* drop down list.

Click **Add Restriction** when all rules have been added. The restriction will automatically become active for all employees.

To deactivate a restriction, click the Active field for that restriction. The text will change to *Not Active*. Click again to activate.

**New Restriction**

Restriction Settings

1. Name and Description

No bonds

Restrict trading of bond products

2. Rules for this Restriction

Apply restriction if **ANY** of the following are met:

Restricted Products

Select security or product type to be restricted. Any order that uses the specified type will be rejected. [Hide Description](#)

Select a product or security...

- Security Types
- Bill
- Bond
- Forex
- Contract for Difference
- Commodity (Metals)
- Futures Option
- Mutual Fund
- Future
- Forward Contract
- Structured Product (IOPT)
- Option

Cancel | Save Restriction

- a. Select *Add rule...* and choose a rule.
  - b. Specify parameters.
6. When you have added all rules, click **Save Restriction**. The restriction is saved to the Restrictions Library and automatically becomes active for all employees.

**Pre-Trade Compliance** Restrictions Accounts Users

**Restrictions**

Create custom trading restrictions that use one or multiple rules.

First enter a name and description for the new restriction.

Next, add rules using the **Rules for this Restriction** section. To add a rule, click *Add rule...* in the drop down list. Select a rule to add it. Continue to add rules until the restriction is complete. When finished, click **Add Restriction** to save to the Restrictions Library.

To edit a restriction, select it from the library.

To apply a restriction, from the Account or Users column in the library, click the current number of accounts or users and then use checkboxes in the popup window to apply the restriction to more

**New Restriction**

1. Name and Description

Closing trades and/or restricted hours

Allows closing or liquidating trades only and has restricted hours

2. Rules for this Restriction

Apply Restriction if **ANY** of the following conditions are met.

Liquidation/Closing-only

Restrict trading to include liquidation or close-position trades only. Any order that will result in establishing a new position will be rejected.

Hide Description

Good Till Cancelled

Add rule...

Net Margin

Net Portfolio

Liquidation/Closing-only

Restricted Issuer

Concentration Restrictions by Issuer

Concentration Restrictions by Security or Product Type

Restricted Products

Restricted Hours

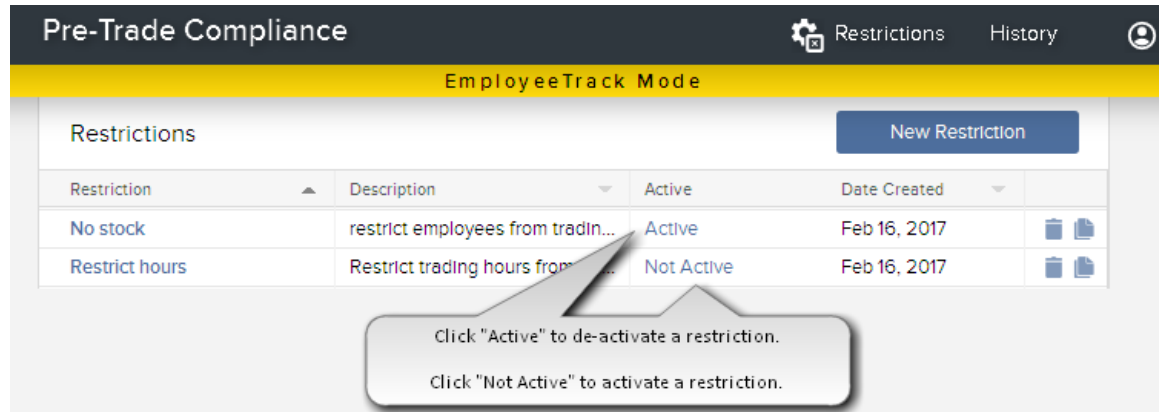
Cancel Add Restriction

When all rules have been added, click to save the restriction and add it to the Restrictions Library.

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## Apply Activate and Deactivate a Restriction

You can apply restrictions per account at the account level, or to all sub-accounts at the Family level. Restrictions applied at the Family level are inherited by all current and future sub-accounts. New restrictions are applied automatically to all employees. They are tagged as "Active" in the Restrictions Library.



Pre-Trade Compliance

Restrictions History

EmployeeTrack Mode

Restrictions

New Restriction

Restriction	Description	Active	Date Created
No stock	restrict employees from tradin...	Active	Feb 16, 2017
Restrict hours	Restrict trading hours from ...	Not Active	Feb 16, 2017

Click "Active" to de-activate a restriction.  
Click "Not Active" to activate a restriction.

To deactivate a restriction, simply click the **Active** field for that restriction and Save. The restriction will now be tagged as "Not Active." Click again to activate.

To delete a restriction, click the **Delete** icon at the end of the restriction line.



### Apply a Restriction using the Restrictions Library

1. Open the Restrictions Library by clicking **Restrictions** from the top menu.
2. From the table, find the restriction you want to apply.
3. Apply to accounts (or users) by clicking the **Accounts** (or **Users**) column for that restriction.
4. In the *Assign Accounts* (or *Assign Users*) list, select those to which you want to apply the restriction.
5. Save.



### Apply Restrictions from the Accounts list

1. From the main menu select **Accounts**.
2. From the table, select the account to which you want to apply a restriction.

- In the table of **Account Restrictions**, select the restriction(s) you want to apply to the selected account.

**The list of Inherited Restrictions shows the family restrictions that were applied at the Master account level and have been inherited by this and all other sub-accounts. If a restriction is applied at the family level it will not be available to be applied at the account level (and vice versa).**

- Apply Changes.

### Apply Restrictions from the Users list

The image shows two screenshots of the Pre-Trade Compliance interface. The top screenshot displays the 'Users' list with columns for Username, Name, and Restrictions. A callout box with a red '1' points to the 'hatty597' user, with the text: 'From the Username list click the user to which you want to apply restrictions.' The bottom screenshot shows the 'User Restrictions' for user 'zamar760'. It has a table with columns for Restriction, Description, and Date Created. A callout box with a red '2' points to the 'No day time trading' restriction, with the text: 'Select a restriction to apply it to the specified user.' Another callout box with a red '3' points to the 'Apply Changes' button, with the text: 'Apply changes to save.'

Note that some restrictions may not be applicable to users as indicated by a dash in the *Users* column of the **Restrictions Library**.

- Open the Users list by clicking **Users** from the top menu.
- From the table, click the user to which you want to apply a restriction.
- In the list of User Restrictions, select the restrictions you want to apply to the selected user.
- Apply Changes.

---

## Edit or Delete a Restriction

Edit a restriction by adding, removing or modifying the restriction's rules.

### To edit a restriction

1. From the main menu select Restrictions to open the **Restrictions Library**.
2. Select the restriction you want to edit.
3. Modify restriction settings, including changing the name or description, and adding, editing and removing rules.
4. Click *Save Restriction*.

Alternatively, click **Delete Restriction** to remove it.

## Remove Restrictions

When you remove a restriction from an account or user, it remains available in the Restrictions Library and can be re-applied at any time.

When you remove an inherited restriction from an account, it will no longer be inherited by this account or any other current or future sub-accounts. You can re-apply the restriction at any time.

### Remove restriction from Accounts or Users using the Restrictions Library

The screenshot shows the 'Pre-Trade Compliance' interface. At the top, there are navigation tabs for 'Restrictions', 'Accounts', and 'Users'. The 'Restrictions' tab is active, displaying a table of restrictions. A callout bubble labeled '1' points to the 'Restrictions' tab. The table has columns for 'Restriction', 'Description', 'Accounts', 'Users', and 'Date Created'. The 'Net Long' restriction is selected. A callout bubble labeled '2' points to the 'Accounts' column for the 'Net Long' restriction. Below the table, the 'Assign Accounts: Net Long' dialog box is open, showing a list of accounts with checkboxes. A callout bubble labeled '2' points to the checkboxes, and another callout bubble labeled '3' points to the 'Save' button. A third callout bubble explains that a dash in the 'Users' column indicates that a restriction cannot be applied to users.

Restriction	Description	Accounts	Users	Date Created
Closing trades only	Restrict to only closing or liquidating tra...	1	-	
Net Long	Keep net long positions to under 60% ...	1	-	
No day time trading	Restrict to after-hours trading	0	1	Feb 10, 2017
Product restriction	Do not allow trading futures	0	0	Feb 14, 2017

Account	Title
<input checked="" type="checkbox"/> U1387263	Applicant 2140011
<input type="checkbox"/> U1431054	Applicant 620417
<input checked="" type="checkbox"/> U1606279	Applicant 2386716
<input type="checkbox"/> U1644180	Applicant 2444830
<input type="checkbox"/> U1655368	Applicant 2461615
<input checked="" type="checkbox"/> U1884595	Applicant 2789427
<input type="checkbox"/> U1894786	Applicant 2805233
<input type="checkbox"/> U966567	Applicant 1604946

1. Open the Restrictions Library by clicking **Restrictions** from the top menu.
2. Within the table, find the restriction you want to remove and click the **Accounts** column for that restriction.
3. In the displayed list of accounts, deselect the account(s) from which you want to remove the restriction.
4. Save.

## Remove restriction from an account using the Accounts list

The image shows two overlapping screenshots of the Pre-Trade Compliance interface. The top screenshot displays the 'Accounts' list with a callout box indicating step 1: 'From the Accounts list, click the Account(s) from which you want to remove a restriction.' The bottom screenshot shows the 'Account Restrictions' view for account U1644180, with callout boxes for steps 2 and 3. Step 2: 'Deselect restrictions to remove them from the specified account(s)'. Step 3: 'Apply changes to save.' A warning callout states: 'If you remove a restriction from an Inherited Restriction, it will no longer be inherited by any current or future sub-accounts.'

**Accounts List (Top Screenshot):**

Account	Alias	Restrictions
U1387263	2140011	0
U1431054	620417	0
U1606279	Applicant 2386716	1
U1644180	Applicant 2444830	1
U1655368	Applicant 2461615	0

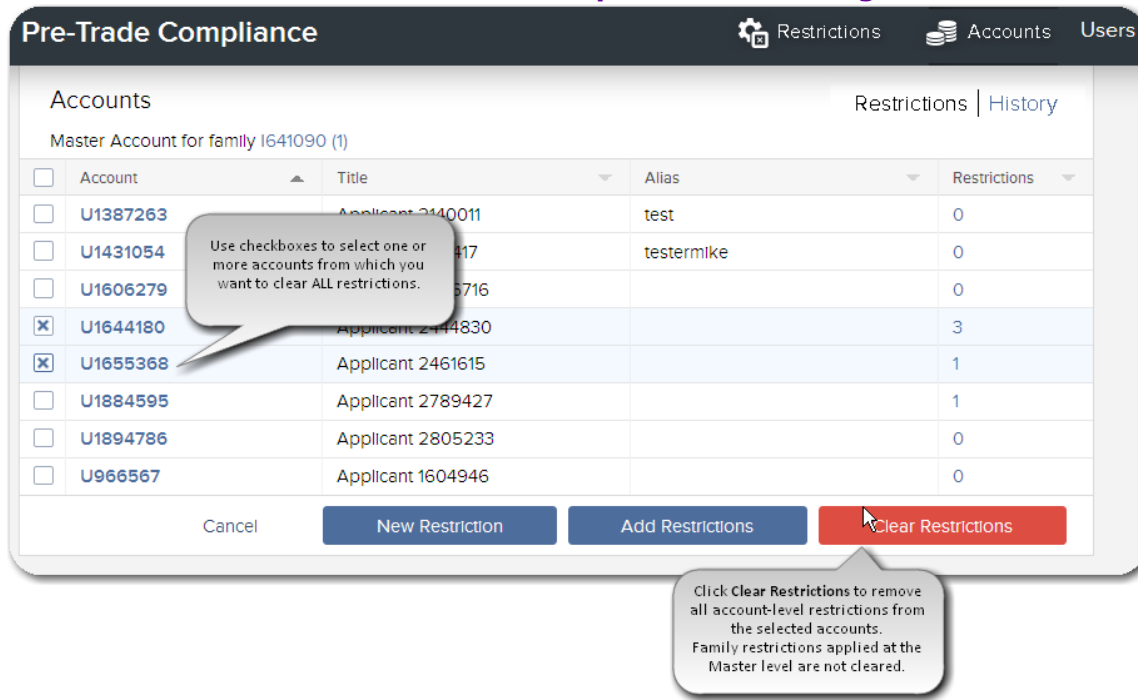
**Account Restrictions View (Bottom Screenshot):**

Account: U1644180 | Applicant 2444830

Account	Inherited Restrictions	Description	Date Created
I641090	<input checked="" type="checkbox"/>	Restriction	
U1387263	<input checked="" type="checkbox"/>	Product restriction	
U1431054	<input checked="" type="checkbox"/>	No day time trading	Feb 10, 2017
U1606279	<input type="checkbox"/>		
U1644180	<input checked="" type="checkbox"/>		
U1655368	<input type="checkbox"/>		
U1884595	<input type="checkbox"/>		
U1894786	<input checked="" type="checkbox"/>	Closing trades only	Feb 14, 2017
U966567	<input type="checkbox"/>	Net Long	Feb 14, 2017

1. Open the Accounts list by clicking **Accounts** from the top menu.
2. Within the table, click the account from which you want to remove a restriction.
3. In the list of Account Restrictions, deselect the restriction(s) you want to remove from the selected account.
4. Apply Changes.

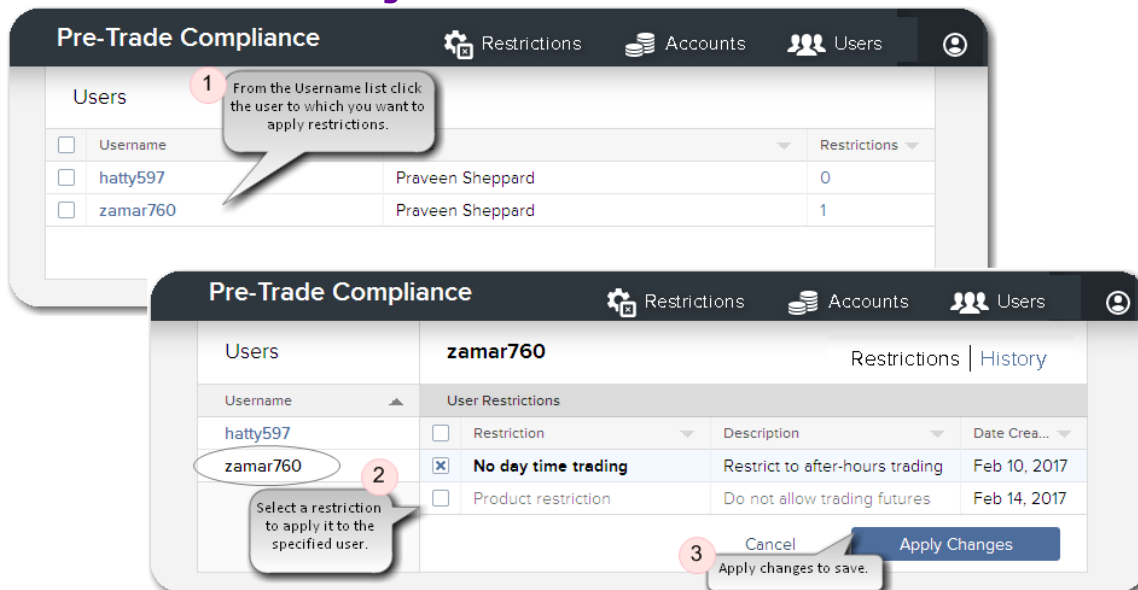
### Clear all restrictions from one or multiple accounts using the Accounts list



This allows you to clear all account-level restrictions from one or more accounts. Inherited restrictions will not be removed with the "Clear" feature.

1. Open the Accounts list by clicking **Accounts** from the top menu.
2. Within the table, use the check boxes to select accounts from which you want to remove all restrictions.
3. Click *Clear Restrictions* to remove all restrictions from the selected accounts.

### Remove restrictions using the Users list





- 
1. Open the Users list by clicking **Users** from the top menu.
  2. Within the table, click the user from which you want to remove a restriction.
  3. In the list of **User Restrictions**, deselect the restriction(s) you want to remove for the selected user.
  4. Apply Changes.

You can delete restrictions from the Restrictions Library by clicking the "Delete" icon for a specific restriction.

## Restrictions History

Click the **History** link from the Restrictions Library, Accounts or Users page to see the history of all specific restrictions, (including the date and time created, when rules were added and more). or of the relationship history between restrictions and a selected account/user (i.e. if and when the restriction was applied to or removed from an account or user).

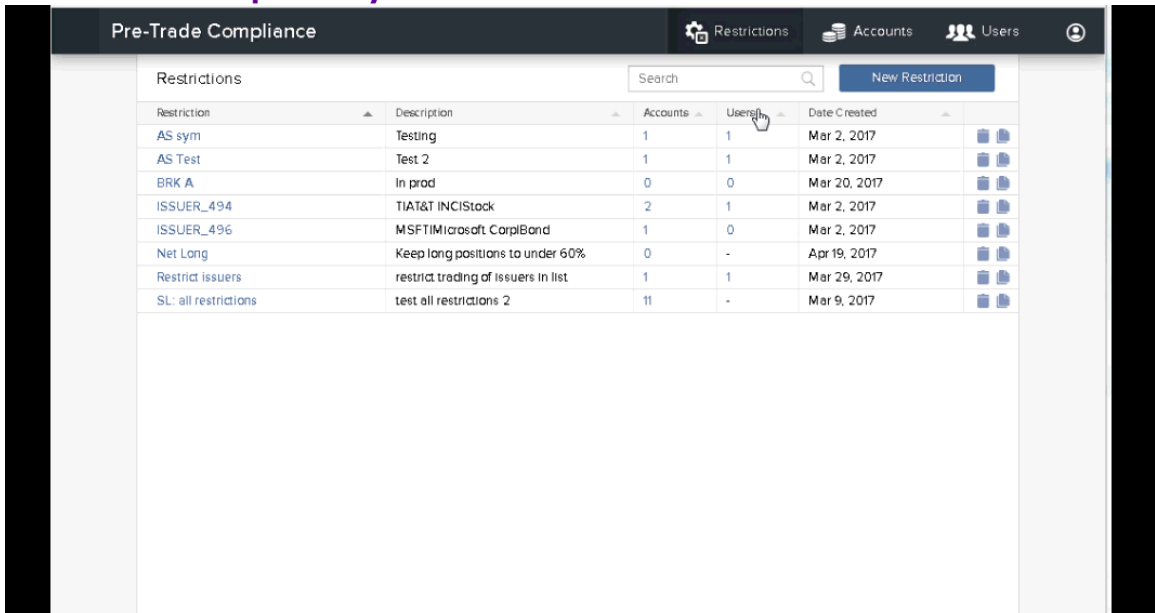
### View the history of a restrictions

The screenshot shows the 'Pre-Trade Compliance' interface. At the top, there are navigation tabs for 'Restrictions', 'Accounts', and 'Users'. Below the navigation is a search bar and a 'New Restriction' button. The main content is a table with the following data:

Restriction	Description	Accounts	Users	Date Created	
AS sym	Testing	1	1	Mar 2, 2017	
AS Test	Test 2	1	1	Mar 2, 2017	
BRK A	In prod	0	0	Mar 20, 2017	
ISSUER_494	TIAT&T INCIStock	2	1	Mar 2, 2017	
ISSUER_496	MSFTIMicrosoft CorplBond	1	0	Mar 2, 2017	
Net Long	Keep long positions to under 60%	0	-	Apr 19, 2017	
Restrict issuers	restrict trading of Issuers in list	1	1	Mar 29, 2017	
SL: all restrictions	test all restrictions 2	11	-	Mar 9, 2017	

1. From the main menu select **RestrictionsHistory**.
2. Choose a restriction for which you want to see the history.
3. In the upper right corner of the **Restriction Setting** page, click *History*.
4. Scroll down as needed to see the full history of the all selected restrictions.

## View relationship history between restrictions and account



The screenshot shows the 'Pre-Trade Compliance' interface. At the top, there are navigation tabs for 'Restrictions', 'Accounts', and 'Users'. Below the navigation is a search bar and a 'New Restriction' button. The main content is a table with the following data:

Restriction	Description	Accounts	Users	Date Created
AS sym	Testing	1	1	Mar 2, 2017
AS Test	Test 2	1	1	Mar 2, 2017
BRK A	In prod	0	0	Mar 20, 2017
ISSUER_494	TIA&T INCIStock	2	1	Mar 2, 2017
ISSUER_496	MSFTIMicrosoft CorpBond	1	0	Mar 2, 2017
Net Long	Keep long positions to under 60%	0	-	Apr 19, 2017
Restrict issuers	restrict trading of issuers in list	1	1	Mar 29, 2017
SL: all restrictions	test all restrictions 2	11	-	Mar 9, 2017

1. From the main menu select **Accounts**.
2. From the list of sub-accounts on the left side of the page, select the account for which you want to see the restrictions relationship history.
3. In the upper right corner of the **Account** page, click *History*.
4. Scroll down as needed to see the full history of when restrictions were added to or removed from the selected account.



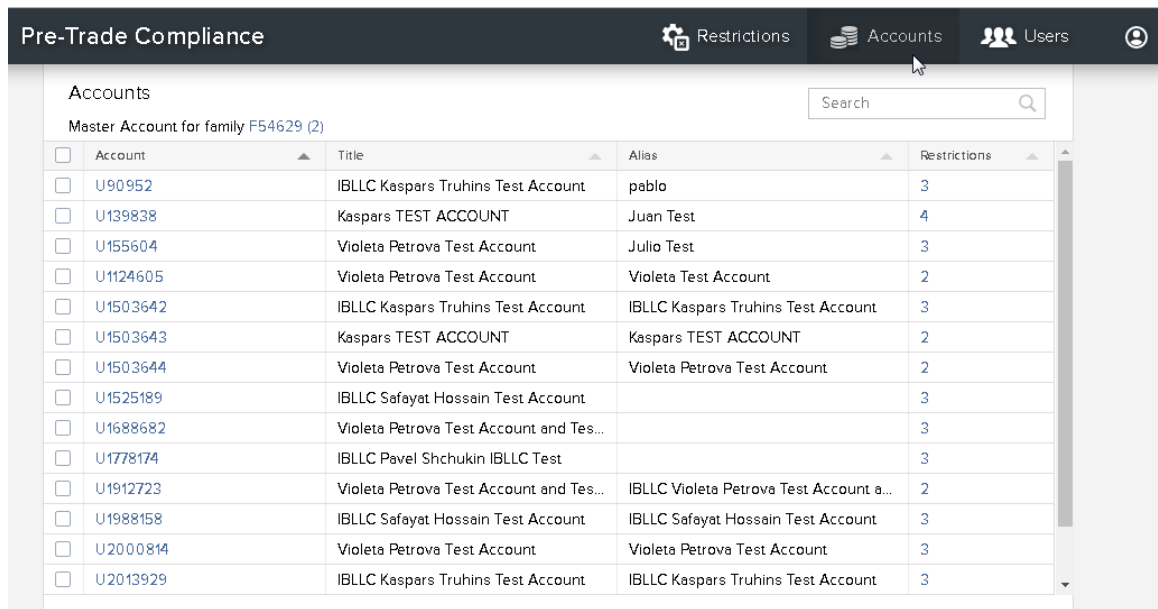
## View relationship history between restrictions and user

1. From the main menu select **Users**.
2. In the Username column select the user for which you want to see the restrictions relationship history.
3. In the upper right corner of the Users page, click History.
4. Scroll down as needed to see the full history of when restrictions were added to or removed from the user.



## Manage Accounts

Select "Accounts" from the menu to view the list of sub-accounts for the named Master Account. Drill down further on a single sub-account to see current inherited and account-level restrictions that are applied, and to view the relationship history of all associated restrictions to the account.



Pre-Trade Compliance

Restrictions Accounts Users

Accounts

Master Account for family F54629 (2)

Search

<input type="checkbox"/>	Account	Title	Alias	Restrictions
<input type="checkbox"/>	U90952	IBLLC Kaspars Truhins Test Account	pablo	3
<input type="checkbox"/>	U139838	Kaspars TEST ACCOUNT	Juan Test	4
<input type="checkbox"/>	U155604	Violeta Petrova Test Account	Julio Test	3
<input type="checkbox"/>	U1124605	Violeta Petrova Test Account	Violeta Test Account	2
<input type="checkbox"/>	U1503642	IBLLC Kaspars Truhins Test Account	IBLLC Kaspars Truhins Test Account	3
<input type="checkbox"/>	U1503643	Kaspars TEST ACCOUNT	Kaspars TEST ACCOUNT	2
<input type="checkbox"/>	U1503644	Violeta Petrova Test Account	Violeta Petrova Test Account	2
<input type="checkbox"/>	U1525189	IBLLC Safayat Hossain Test Account		3
<input type="checkbox"/>	U1688682	Violeta Petrova Test Account and Tes...		3
<input type="checkbox"/>	U1778174	IBLLC Pavel Shchukin IBLLC Test		3
<input type="checkbox"/>	U1912723	Violeta Petrova Test Account and Tes...	IBLLC Violeta Petrova Test Account a...	2
<input type="checkbox"/>	U1988158	IBLLC Safayat Hossain Test Account	IBLLC Safayat Hossain Test Account	3
<input type="checkbox"/>	U2000814	Violeta Petrova Test Account	Violeta Petrova Test Account	3
<input type="checkbox"/>	U2013929	IBLLC Kaspars Truhins Test Account	IBLLC Kaspars Truhins Test Account	3

## Common Tasks

- [View restrictions on an account.](#)
- [Apply or remove a restriction from an account.](#)
- [Apply a restriction to multiple accounts.](#)
- [See the history of restrictions added to and removed from an account.](#)

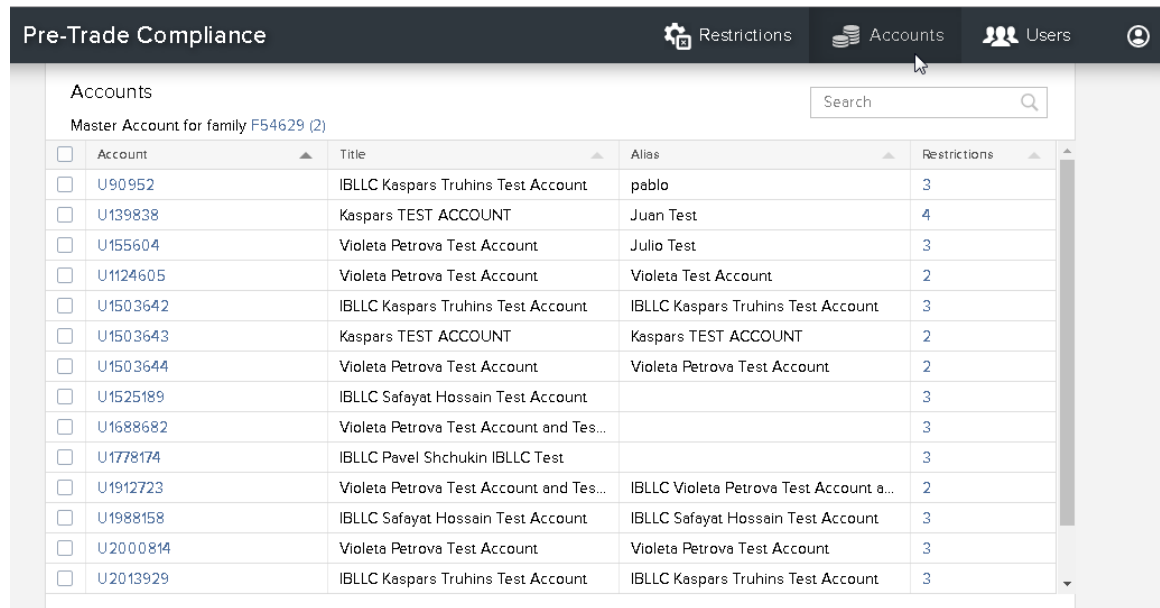
## Accounts Page - Restrictions

You can select an account and apply or remove restrictions for that account, and see the Restrictions history for that account.

### To access account information

1. From the main menu select **Accounts**.

The Accounts page shows a table of all sub-accounts, with the Master Account at the top along with the current number of family inherited restrictions that have been applied to all sub-accounts in the family.



The screenshot shows the 'Accounts' page in a Pre-Trade Compliance system. The page has a dark header with navigation icons for 'Restrictions', 'Accounts', and 'Users'. Below the header, there is a search bar and a table of accounts. The table has columns for 'Account', 'Title', 'Alias', and 'Restrictions'. The first row is the 'Master Account for family F54629 (2)'. The following rows list various sub-accounts with their respective titles, aliases, and the number of restrictions applied.

Account	Title	Alias	Restrictions
U90952	IBLLC Kaspars Truhins Test Account	pablo	3
U139838	Kaspars TEST ACCOUNT	Juan Test	4
U155604	Violeta Petrova Test Account	Julio Test	3
U1124605	Violeta Petrova Test Account	Violeta Test Account	2
U1503642	IBLLC Kaspars Truhins Test Account	IBLLC Kaspars Truhins Test Account	3
U1503643	Kaspars TEST ACCOUNT	Kaspars TEST ACCOUNT	2
U1503644	Violeta Petrova Test Account	Violeta Petrova Test Account	2
U1525189	IBLLC Safayat Hossain Test Account		3
U1688682	Violeta Petrova Test Account and Tes...		3
U1778174	IBLLC Pavel Shchukin IBLLC Test		3
U1912723	Violeta Petrova Test Account and Tes...	IBLLC Violeta Petrova Test Account a...	2
U1988158	IBLLC Safayat Hossain Test Account	IBLLC Safayat Hossain Test Account	3
U2000814	Violeta Petrova Test Account	Violeta Petrova Test Account	3
U2013929	IBLLC Kaspars Truhins Test Account	IBLLC Kaspars Truhins Test Account	3

The table of sub-accounts lists the account number, full account title, account alias and the number of restrictions currently applied, either at the family level (where it's applied at the Master Account level and inherited by all sub-accounts) or at the account level.



### To view restrictions on an account

1. Click the sub-account number in the Account column of the table, or click the Restrictions number in the last column.
2. See Inherited Restrictions in the top section of the table, and account-level restrictions in the bottom section.

## To apply or remove a restriction from an account

Pre-Trade Compliance

Inherited restrictions are applied at the Master Account level and apply to all sub-accounts.

Accounts | Accounts | Users

U1503643 | Kaspara... | Restrictions | History

Account	Inherited Restrictions			
Account	Restriction	Description	Created	Assigned
F54629	<input checked="" type="checkbox"/>			
U90952	<input checked="" type="checkbox"/>	ISSUER_494	TIAT&T INCISStock	Mar 2, 2017
U139838	<input checked="" type="checkbox"/>	Restrict twitter	restrict trading of twtr from all ...	Mar 2, 2017
U155604				
U1124605				
U1503642				
U1503643				
U1503644				
U1503645				
U1503646				
U1503647				
U1503648				
U1503649				
U1503650				
U1503651				
U1503652				
U1503653				
U1503654				
U1503655				
U1503656				
U1503657				
U1503658				
U1503659				
U1503660				

Account Restrictions

Restriction	Description	Created	Assigned
<input type="checkbox"/>	ISSUER_496	MSFTIMicrosoft CorplBond	Mar 2, 2017
<input type="checkbox"/>	SL: all restrictions	test all restrictions 2	Mar 9, 2017
<input type="checkbox"/>	BRK A	restrict issuer	Mar 20, 2017
<input type="checkbox"/>	Restrict Issuers	restrict trading of issuers in list	Mar 29, 2017
<input checked="" type="checkbox"/>	Net Long	Keep long positions to under 60...	Apr 19, 2017
<input type="checkbox"/>	ASSymbolSearchTest		Apr 20, 2017
<input type="checkbox"/>	TestMktCapFix	Add descr	Apr 20, 2017
<input type="checkbox"/>	Mkt Cap		Apr 20, 2017
<input type="checkbox"/>	mktcap 2		Apr 20, 2017

Select or de-select a restriction to apply or remove it from the selected account.

Apply Changes to save.

Cancel Apply Changes

New Restriction Cancel Apply Changes

1. Click the sub-account number in the Account column of the table, or click the Restrictions number in the last column.
2. See Inherited Restrictions in the top section of the table, and account-level restrictions in the bottom section.
3. Apply a restriction by putting an "x" in the check box by selecting it. Remove a restriction by clicking the "x" in a check box to remove it.
4. Click **Apply Changes**.

**If you remove an inherited restriction, it will no longer apply to the selected account or to any new sub-accounts. It will still apply to all other current sub-accounts.**



## To apply a restriction to multiple accounts

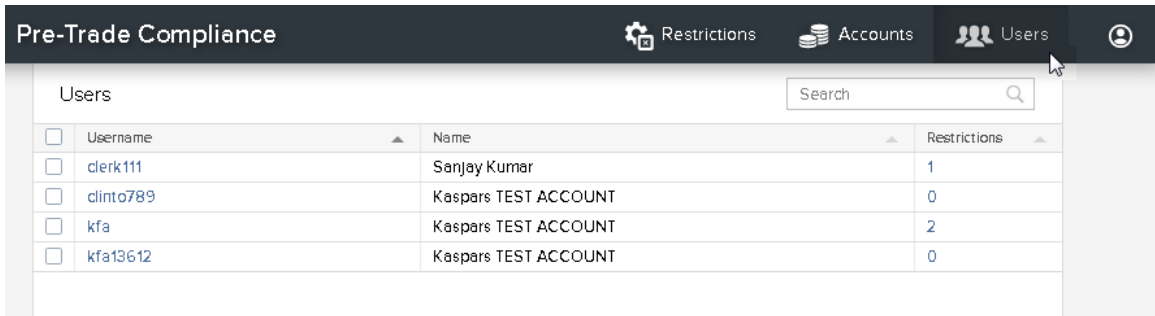
The screenshot shows the 'Pre-Trade Compliance' interface. On the left, a list of accounts is displayed under the heading 'Accounts'. Several accounts are selected with checkboxes. A callout labeled '1' points to this list with the text: 'Select the accounts to which you want to apply restrictions.' In the center, an 'Append Restrictions' dialog box is open, showing a list of restrictions. Callout '3' points to this list with the text: 'Select the restrictions to apply to selected accounts, and click Save.' At the bottom of the dialog, a callout labeled '2' points to the 'Add Restrictions' button with the text: 'Click Add Restrictions.' The dialog also shows a 'Save' button and a 'Cancel' button. At the bottom of the main interface, there are buttons for 'Cancel', 'New Restriction', 'Add Restrictions', and 'Clear Restrictions'.

1. Check all of the sub-accounts to which you want to apply restrictions.
2. Click **Add Restrictions**.
3. In the Append Restrictions box, select all of the restrictions you want to apply to the selected account (shown along the top of the box).
4. Click **Save**.



## Manage Users

Select "Users" from the menu to view the list of users who have permissions to log into Account Management and make changes to restrictions. Drill down further on a single user to see current restrictions, and to view the history of all associated restrictions.



The screenshot shows a web application interface for "Pre-Trade Compliance". At the top, there is a dark navigation bar with the title "Pre-Trade Compliance" on the left and three menu items: "Restrictions" (with a gear icon), "Accounts" (with a stack of coins icon), and "Users" (with a group of people icon). A mouse cursor is hovering over the "Users" menu item. Below the navigation bar, the main content area is titled "Users" and contains a search bar with the placeholder text "Search" and a magnifying glass icon. Below the search bar is a table with the following data:

<input type="checkbox"/>	Username	Name	Restrictions
<input type="checkbox"/>	clerk111	Sanjay Kumar	1
<input type="checkbox"/>	clinto789	Kaspers TEST ACCOUNT	0
<input type="checkbox"/>	kfa	Kaspers TEST ACCOUNT	2
<input type="checkbox"/>	kfa13612	Kaspers TEST ACCOUNT	0

## Common Tasks

- [View restrictions applied to a user.](#)
- [Apply or remove a restriction from a user.](#)
- [Apply a restriction to multiple users.](#)
- [See the history of restrictions added to and removed from a user.](#)

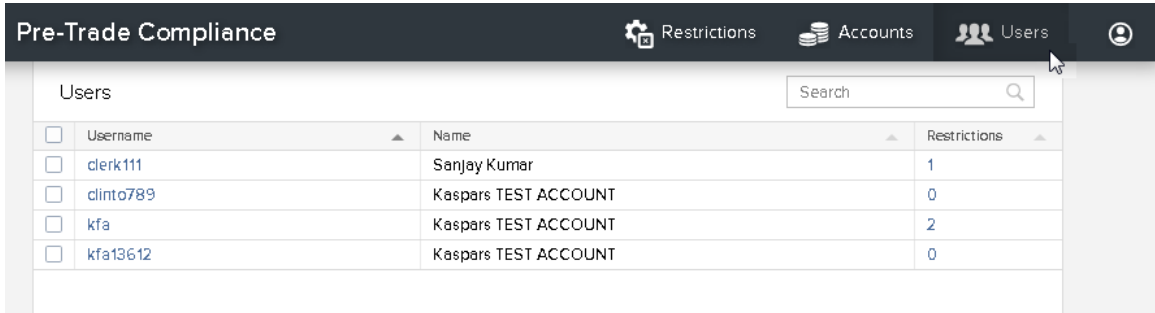
## Users Page - Restrictions

You can select a user and apply or remove restrictions for that user, and see the Restrictions history for that user.

### To access user information

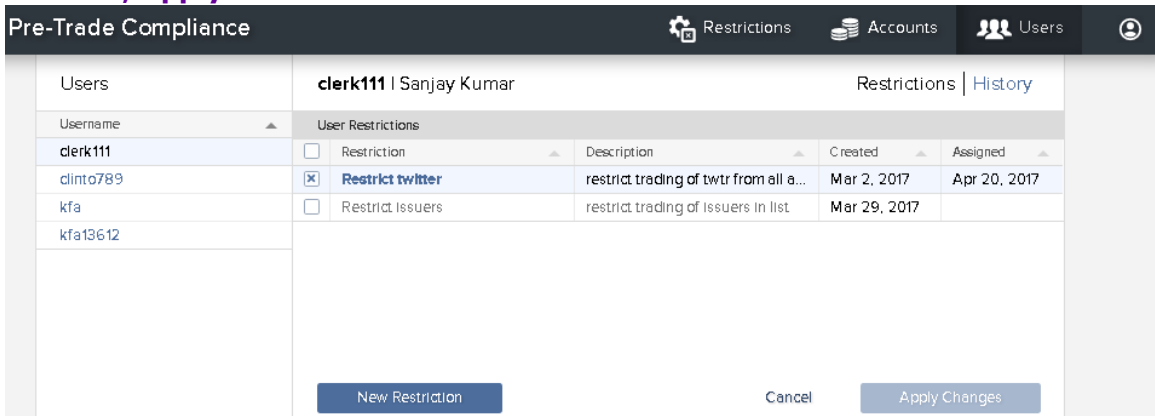
1. From the main menu select **Users**.

The Users page shows a table of all users who have permissions to trade the account.



<input type="checkbox"/>	Username	Name	Restrictions
<input type="checkbox"/>	clerk111	Sanjay Kumar	1
<input type="checkbox"/>	clinto789	Kaspars TEST ACCOUNT	0
<input type="checkbox"/>	kfa	Kaspars TEST ACCOUNT	2
<input type="checkbox"/>	kfa13612	Kaspars TEST ACCOUNT	0

### To view, apply or remove restrictions on a user



Username	Restriction	Description	Created	Assigned
clerk111	<input type="checkbox"/>			
clinto789	<input checked="" type="checkbox"/>	Restrict twitter	restrict trading of twtr from all a...	Mar 2, 2017 Apr 20, 2017
kfa	<input type="checkbox"/>	Restrict Issuers	restrict trading of issuers in list	Mar 29, 2017
kfa13612				

New Restriction      Cancel      Apply Changes

1. Click the username, or click the Restrictions number in the last column. All valid restrictions are displayed, with active restrictions showing an "x" in the check box.
2. To apply a restriction, select to put an "x" in the check box.
3. To remove a restriction, click the "x" in a check box to remove the restriction.

## To apply a restriction to multiple users

The screenshot shows the 'Pre-Trade Compliance' interface. At the top, there are navigation tabs for 'Restrictions', 'Accounts', and 'Users'. The 'Users' tab is active. On the left, a table lists users with checkboxes for selection. The 'Append Restrictions' dialog box is open, showing a list of restrictions to be applied to the selected users: kfa13612, kfa, and clinto789. The dialog box has a 'Cancel' button and a 'Save' button. At the bottom of the interface, there are buttons for 'Cancel', 'New Restriction', 'Add Restrictions', and 'Clear Restrictions'.

Username	Name	Description
<input type="checkbox"/> clerk111	<input type="checkbox"/> Restrict issuers	restrict trading of Issuers in list
<input checked="" type="checkbox"/> clinto789	<input type="checkbox"/> Restrict twitter	restrict trading of twtr from all accounts
<input checked="" type="checkbox"/> kfa		
<input checked="" type="checkbox"/> kfa13612		

1. Check to select the users to which you want to apply restrictions.
2. Click **Add Restrictions**.
3. In the Append Restrictions box, select all of the restrictions you want to apply to the selected users (shown along the top of the box).
4. Click **Save**.

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## Restriction Rules

Each rule presents metrics and settings used to define the threshold at which an order will be rejected. If a restriction includes multiple rules, violation of any rule will result in the order being rejected. The associated time in force specifies how long the restriction will remain active. Add rules in the second step of creating a restriction. You can add the following rules to a restriction:

### Net Margin

Choose to set a threshold for Excess Liquidity or Margin (via the Margin Cushion metric). Any order that would cause the selected metric to fall below the specified threshold will be rejected.

### Net Portfolio

Enter a net amount or percentage limit that will be assessed against all long or all short positions. Any order that would cause the net amount or net percentage of all positions (either Long or all Short) to exceed the specified threshold will be rejected. The associated time in force specifies how long the restriction will remain active.

### Liquidation/Closing Only

Restricts trades to either liquidating or position-closing trades only. Any order that would result in a new position being created will be rejected. The associated time in force specifies how long the restriction will remain active.

### Restricted Issuer

Restrict trades on the issuer of a symbol. If you select a stock or index, all of its derivatives are also restricted (options, futures, etc). For bonds, the ISIN listed may be just one of many matches.

### Concentration Restrictions by Issuer

Restricts trades that would result in too high a long or short concentration in a specific symbol. Specify the limiting amount or percentage of concentration. Any order that would cause the long or short position concentration to exceed the specified threshold will be rejected. If you select a stock or index, all of its derivatives are also restricted (options, futures, etc). For bonds, the ISIN listed may be just one of many matches. The associated time in force specifies how long the restriction will remain active.

### Concentration Restrictions by Security or Product Type

Restricts trades that would result in too high a long or short concentration in a specific product or security type. Specify the limiting amount or percentage of concentration. Any order that would cause the long or short position concentration to exceed the specified threshold will be rejected. If you select a stock or index, all of its derivatives are

also restricted (options, futures, etc). For bonds, the ISIN listed may be just one of many matches. The associated time in force specifies how long the restriction will remain active.

### **Restricted Products**

Restricts trading on a specific security type or product type. Any order that uses the specified type will be rejected. Security types to restrict include: Bills, Bonds, Forex, CFDs, Commodities(Metals), Futures, Futures Options, Mutual Funds, Forwards, Structured Products (IOPT), Options, Stocks and Warrants. Product types to restrict include: Corporate bonds, EFPs, ETFs, Index options, High Yield (Junk) Bonds, Leveraged ETFs, Muni Bonds, Single Stock Options and Uncovered Options.

The associated time in force specifies how long the restriction will remain active.

### **Restricted Hours**

Restricts trades made in a specified time range. Any order placed during restricted hours will be rejected. The associated time in force specifies how long the restriction will remain active



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## Index

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### A

About restrictions 7

add rules to a restriction 9

Apply a restriction 11

### C

Create a restriction 8

### D

Delete a restriction 13

### E

Edit a restriction 13

### H

History of account restrictions 19

History of restrictions 18

History of user restrictions 19

### L

list of rules 31

### O

Open Pre-Trade Compliance 5

### P

Pre-Trade Compliance 3

### R

remove restrictions 14

### T

Trade Restrictions 3

