TRADEcho Web Portal User Guide for Clients

1.1.16.0

TABLE OF CONTENTS

1 Introduction

1.1 About this document

This document provides an overview of TRADEcho's web portal features and functions available to clients. This document should be read in conjunction with the following documents for detailed information on EOD Reports, Connectivity and SRR Rules:

- TRADEcho EOD Reports User Guide
- TRADEcho Connectivity Guide
- SRR Rules Guide

This User Guidecontains multiple screenshots and different colored fonts for ease of understanding. The name of screens and controls (like buttons etc.) are written in **turquoise bold font** and fields, their values and validations are in **brown font**.

1.2 Revision History

This document has been revised according to the following table:

Revision State	Comment
1.1.13.0	Document created
1.1.14.0	Introduced 'Held' Trades Functionality Update on capacity on a single CSV trade file upload Update regarding the history of trades maintained in the GUI Updated details in Trade Report Fields settings table Update regarding truncated values during submission via CSV Added Trading Date, Time and Settlement fields in the Trade Report Fields settings table Added a note about intraday deletion for Designated Firms Added two new fields to New, Edit submission forms and in the grid in the DR window
1.1.15.0	Changes from ESMA introduced to the Designated Firm Entity in section 7.9
1.1.16.0	Introduce LEI Reference Data Window to Web Portal in section 7.10

1.3 Terms and acronyms

Term/Acronym	Description
ADT	Average Daily Turnover
APA	Approved Publication Arrangement
Client	Investment firms subscribing to the APA/ SRR service
DR	Designated Reporter
DPE	Designated Publishing Entity
ESMA	European Securities and Market Authority
EU	European Union

ISIN	International Securities Identification Number
LIS	Large-in-Scale
LSE	London Stock Exchange
MiFID	Markets in Financial Instruments Directive
MIFIR	Markets in Financial Instruments Regulation
MTF	Multilateral Trading Facility
MMT	Market Model Typology
NCA	National Competent Authorities
OTC	Over-the-Counter
SI	Systematic Internaliser
SRR	Smart Report Router

2 Login to TRADEcho

2.1 Activating your LSEG Identity account

TRADEcho utilizes LSEG's **LSEG Identity** services for user authentication. LSEG Identity is a centrally managed authentication mechanism facilitated by Okta. LSEG Identity uses your email address as a unique User ID which allows us to enroll users for multi-factor authentication, while providing usability features such as single sign-on.

The LSEG Identity account gets activated when the client logs in for the first time.

CDS web portal can be accessed here - https://tradechocds.lseg.com/login

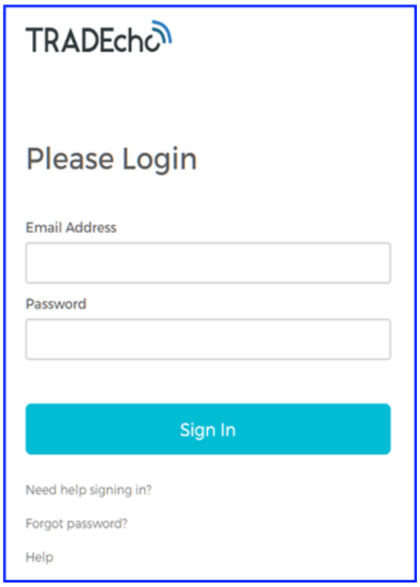
Production web portal can be accessed here – tradechoprod.lseg.com

2.2 First Time Login

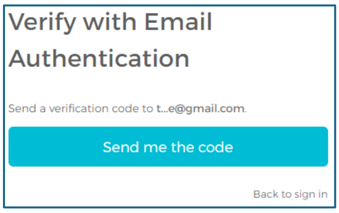
At a first-time login into the TRADEcho web portal, the user needs to perform a Reset Password action and a Two Factor Authentication Set-Up. In order to do this, the user can click the **need help signing in?** option to reset the password and refer to section 8.3 for Reset Password instructions, including Okta instructions.

After following the steps in section 8.3, the user must follow the steps below for the First Time Login Two Factor access.

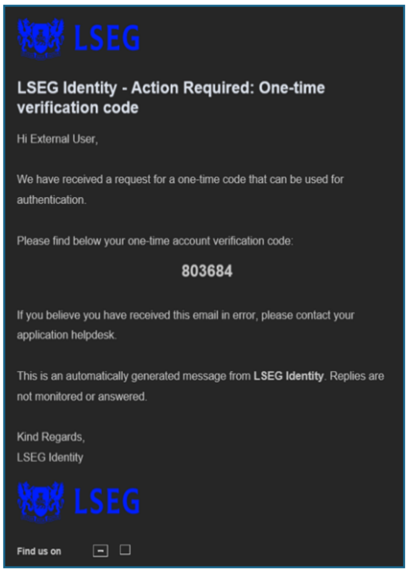
Log into the web portal.



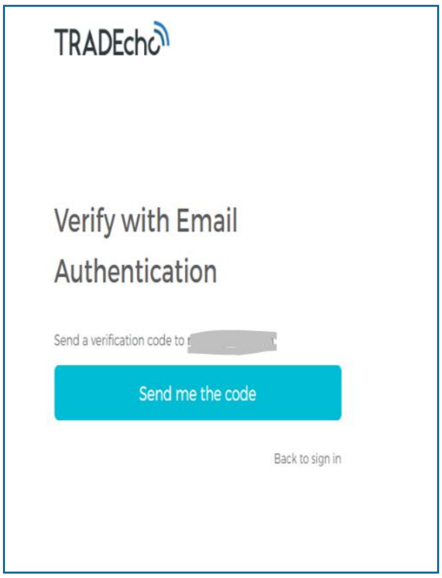
A new window opens requesting for authentication as displayed below. Click **Send me the code**.



An email with the OTP (6-digit one-time verification code) will be sent to the registered address from noreply@identity.lseg.com.

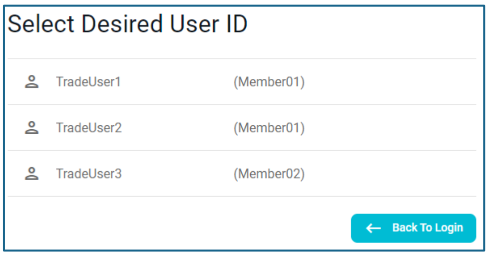


Enter the onetime verification code as mentioned and click **Verify**.



Note: A single email address can be associated with multiple User IDs across member firms in TRADEcho.

The user will be directed to the below window. Click on the desired **User ID** to login to the TRADEcho web portal.



2.3 Subsequent Logins

On the web browser enter the link to the TRADEcho web portal. The **Login** page opens. Enter the email address registered with TRADEcho along with the password and click **Sign In**.

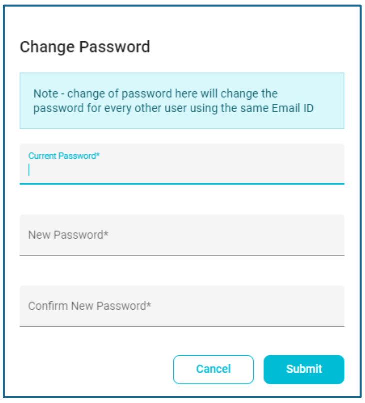
2.4 Change Password

Changing passwords is a mandatory step for new users.

Once the user has successfully logged into the TRADEcho web portal, it can change the password.

Passwords can be changed through one of the following:

1. Click **your username** on the top right of the window and click **Change Password**, or;
2. Click ⌄ on the top right of the window and click **Change Password**.
3. **Change Password** window will open.
4. Enter information in mandatory fields and click **Submit** to reset password.


Change Password
Note - change of password here will change the password for every other user using the same Email ID
Current Password*
New Password*
Confirm New Password*
Cancel
Submit

3 APA Trade reporting

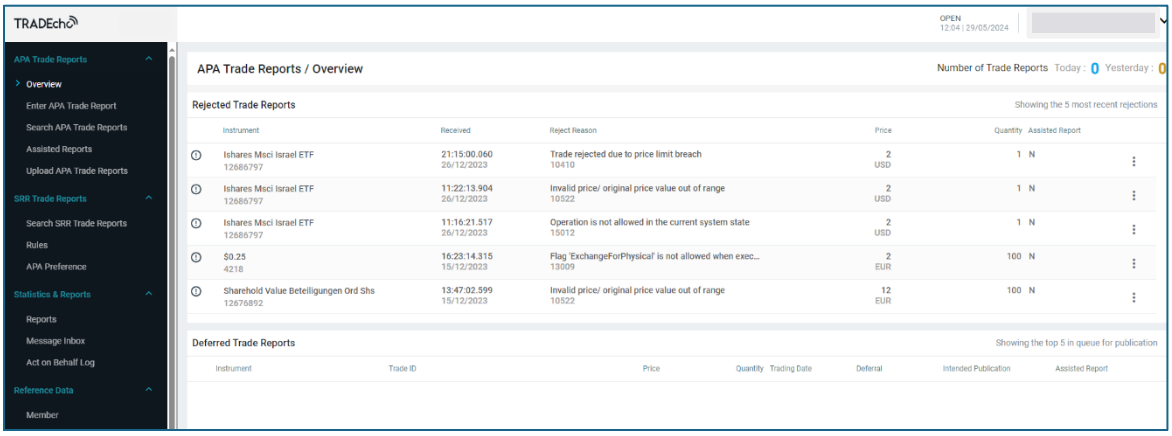
Trade reporting is handled from the pages under **APA Trade Reports** on the side menu. Users can enter, amend, and cancel trade reports from the web portal and view your recent, deferred, and rejected trade reports. Users can also search for trade reports reported by your own member or reported on behalf of you by another client if your member supports assisted reporting.

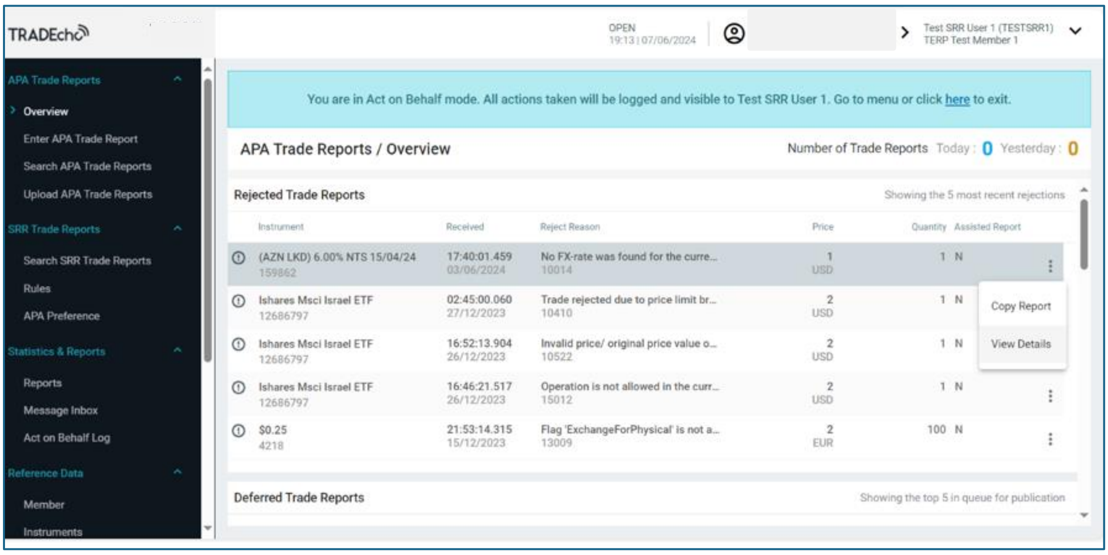
3.1 Overview

The **APA Trade Reports / Overview** screen provides the summary of trade reporting activity of the user. It shows:

- Total Number of Trade Reports for the day
- Total Number of Trade Reports for yesterday
- 5 most recently rejected, deferred, assisted, held and successfully submitted trade reports reported from the GUI and from FIX, for your access group.

The details for any of the individual trades can be found by clicking on menu button ( )at the end as displayed in below screen shot:

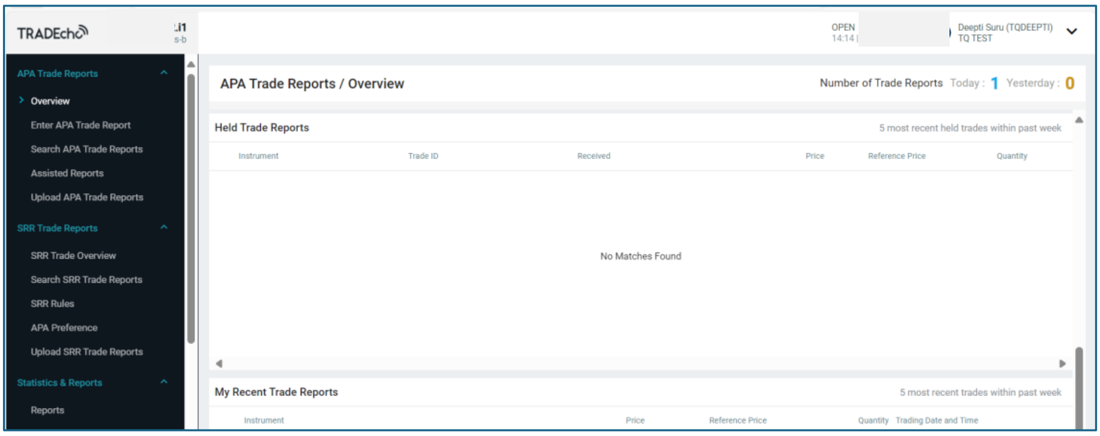




3.1.1 *Held Trades*

TRADEcho has introduced a new functionality to manage trades with abnormal prices that bypass the price and quantity validations. *(For further information on HELD trades please refer TRADEcho APA User Guide)*

These trades can be viewed in the 'Held Trade Reports' widget in the **APA Trade Reports / Overview** screen.



3.2 Enter APA trade reports

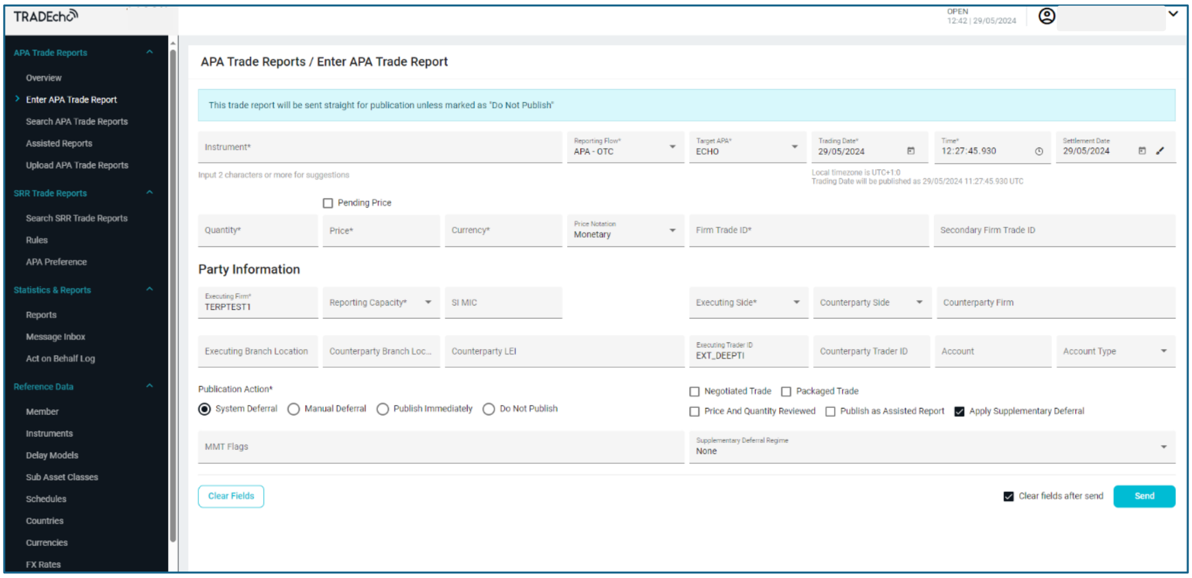
The TRADEcho Web Portal allows the user to enter, amend, cancel, and submit trades via 2 routes:

- GUI Route: Through the **Enter APA Trade Report** screen.
- CSV Route: Through the **Upload APA Trade Report** screen

Both single-sided and double-sided APA trade reports can be entered from the TRADEcho web portal. Deferred trade reports can also be released.

3.2.1 Enter APA Trade Report (GUI Option)

When the user clicks **Enter APA Trade Report** on the left-hand menu, the following screen appears:



To enter a trade report, the user needs to enter details as per the Trade Report Fields/ Setting described below and click **Send.**

3.2.2 Trade Report Fields/ Setting

Field	Description
Instrument	Enter and select ISIN.
Reporting Flow	The reporting flow. Valid values: • **APA—OTC**—**Default** • **APA—SI** • **Off-Book On-Exchange** • **Venue—MTF** • **Venue—OTF**
Target APA	Select publication venue by setting Target APA to ECHO for the UK APA, or to ECEU for the EU APA. Default values – ECHO
Firm Trade ID	The ID assigned to a trade by the Firm to track a trade within the Firm system. This ID can be assigned either before or after submission to the exchange or central counterparty.
Secondary Firm Trade ID	

Pending Price/Not Applicable Price	Select to indicate that the price is pending or not applicable. If selected, **Publication Action Manual Deferral** is not allowed.
Trading Date	Date when the trade was executed.
Time	Timestamp on the trade.
Settlement Date	The date the trade will be settled. This date cannot be earlier than the **Trading Date.**
Quantity	Quantity of the trade
Price	Price of the trade
Currency	Currency for the trade. Populated when Instrument is entered
Notional Currency	Available if the instrument selected in non-equity
Notional Amount	Available if the instrument selected in non-equity. If the Notional Amount =< 0, trade will be rejected.
Price Notation	Valid values: • **Monetary (Per Unit)**—**Default*** • **Percentage** • **Basis Points** • **Yield** * if not specified, this field will remain blank in case of trade entry with PNDG/NOAP flag.
Reporting Capacity	The capacity in which the transaction was executed. Valid values: • **Deal (Principal)** • **Deal (Riskless Principal)** • **MTCH (Cross as Principal)** • **AOTC (Agent)** • **AOTC (Cross as Agent)**
Counterparty LEI	The counterparty's Legal Entity Identifier. Available under additional party attributes for **APA—OTC** and **APA—SI** reporting flow.
Executing Side	Buy/Sell side for the Executing Firm. This is a mandatory field.
Counterparty Side	Buy/Sell side for the Counterparty
Counterparty Firm	Reference for the Counterparty. Mandatory if Counterparty Firm Side value selected, and counterparty LEI not entered.
Counterparty Branch Location	Location of the Counterparty.
Counterparty Trader ID	TraderID for Counterparty.
Venue Of Execution	Available if **Reporting Flow** is **Venue—MTF** or **Venue—OTF**. Four-character MIC code for the venue of execution.

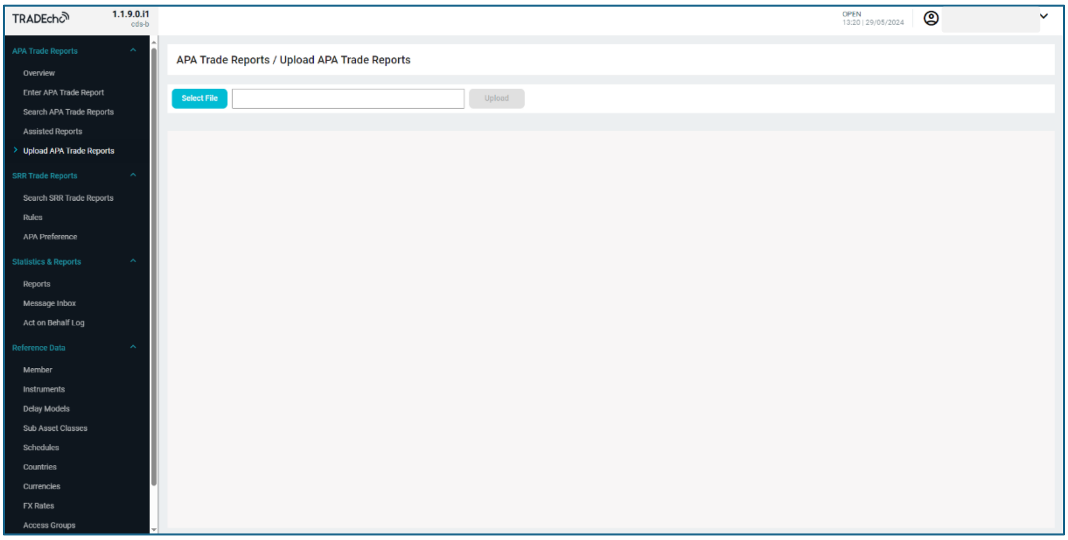
Market Mechanism	Available if **Reporting Flow** is **Venue—MTF** or **Venue—OTF**. The market mechanism that has facilitated the trade (MMT Level 1). Valid values: • **Central Limit Order Book** • **Quote driven market** • **Dark order book** • **Off Book** • **Periodic Auction** • **Request for Quotes** • **Hybrid Market**
On Book Trading Mode	Available if **Reporting Flow** is **Venue—MTF** or **Venue—OTF**. Valid values: • **Undefined Auction** • **Scheduled Opening Auction** • **Scheduled Closing Auction** • **Scheduled Intraday Auction** • **Unscheduled Auction** • **Continuous Trading** • **At Market Close Trading** • **Out of Main Session Trading**
Negotiated Trade	Select if the trade is negotiated.
Package Trade	**Package ID**, **Trade Number** and **Total Number of Trades** required for package trades.
Intend To Clear	Available if selected instrument is non-equity. Select if intend to clear.
Dark Trade	Available if **Reporting Flow** is **Venue—MTF** or **Venue—OTF**. Select if the trade is a dark trade.
Publication Action	Publication options: • **System Deferral**—Select this option to let the system logic decide which deferral rule applies. • **Manual Deferral**—Select this option to manually defer the trade report to a selected deferral date and deferral time. If the system is closed at the entered deferral date, the trade report will be published the next opening day. • **Publish Immediately**—Select this option to publish the trade report immediately. • **Do not publish**—Select this option if you do not want the trade report to be published.

MMT Flags	Market Model Typology (MMT) flags. Users can select more than one. Valid values: • **ACTX**—Agency Cross Trade • **BENC**—Benchmark Trade • **DUPL**—Duplicative Trade Report • **NLIQ**—Negotiated Trade in Liquid Financial Instruments • **NPFT**—Non-Price Forming Trade • **OILQ**—Negotiated Trade in Illiquid Financial Instruments • **PRIC**—Negotiated Trade Subject to Conditions Other Than the Current Market Price • **RFPT**—Reference Price Trade • **RPRI**—Price Improvement • **SDIV**—Special Dividend Trade • **TNCP**—Trade not Contributing to the Price Discovery Process • **ALGO**—Algorithmic Trade • **PORT**-Portfolio Trade • **CONT**-Contingent Trade • **Pre-trade ILQD**—Pre-trade Transparency Waiver for Illiquid Instrument on an SI (Equities and Equity likes only) • **Pre-trade SIZE**—Pre-trade Transparency Waiver for Above Standard Market Size on an SI (Equities and Equity likes only) • **Deferral Reason ILQD**—Publication Deferral for Illiquid Instrument • **Deferral Reason LRGS**—Publication Deferral for Large In Scale • **Deferral Reason SIZE**—Publication Deferral for Size Specific • **CLSE** - Market closing price • **NETW** - Negotiated transaction • **NTLS** – Pre-trade large in scale trade • **GIVE** – Give up trade • **XBDT** - Cross-Border Duplicative Trade • **IGRP -** Intra Group Trade Indicator
Supplementary Deferral Regime	The supplementary deferral regime. Valid values: • **None**—**Default** • **DATF/FULA** • **FWAF/FULJ** • **IDAF** • **LMTF/FULF** • **VOLO/FULV** • **VOLW/COAF** • **Extended DATF**

Flags	Users can flag the trade report to let the system know that certain rules should apply. The following flags can be selected: • **Price And Quantity Reviewed**—Select this option to override the price and quantity validations. • **Publish as Assisted Report**—Available when **Reporting Flow** is **APA—OTC** or **APA—SI**. Select this option if the reported trade is an assisted report. • **Apply Supplementary Deferral**—Specifies if supplementary deferral should be applied to the trade report. Default is yes.
Last Market	Third Country Trading Venue MIC can be supplied for EU APA

3.2.3 Upload APA Trade Reports (CSV Option)

The Portal allows the user to input multiple trades at once through the CSV upload option. When the user clicks **Upload APA Trade Report** on the left-hand menu, the following screen appears:



To upload a trade report, the user needs to click **Select file,** browse and pull the CSV file containing the trade reports and click **Upload**.

APA trade reports can be bulk uploaded from the TRADEcho web portal through a .csv file. The file may not have more than 1000 rows.

Please note: When uploading trade reports via CSV, the system will truncate value submitted for Executing Trader, Executing Salesperson and Counterparty Trader if maximum allowed length is exceeded.

3.3 This change has been implemented to avoid unnecessary rejects. Amend APA trade reports

If any of the attributes of an entered trade report was reported incorrectly, an amendment of the trade report can be made. If the amendment is made one business day or more after the original trade report is submitted, it is regarded as a late amendment.

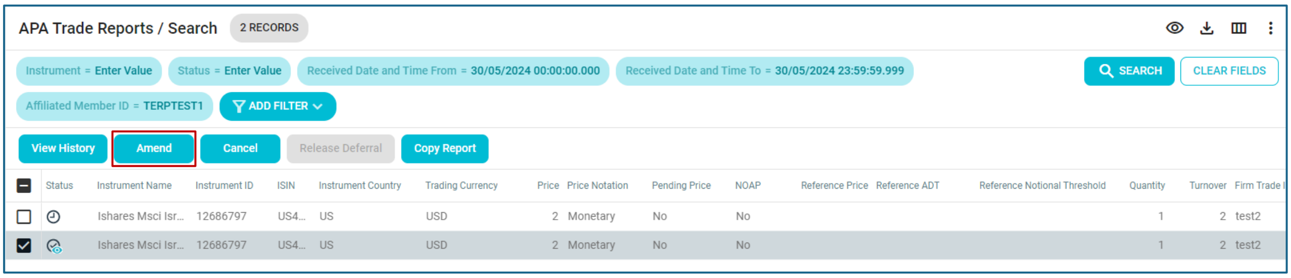
Note: Users will have an option to amend only published, deferred and held trades.

To amend a trade report:

1. On the **Overview** page for trade reports, on any table with trade reports, click the menu button (⋮) of the trade report you want to amend.
2. Click **Amend Report**. The **APA Trade Reports / Amend APA Trade Report** screen opens.
3. Make the corrections to the trade report.
4. Click **Send**.

If the amendment is in sync with the system rules, the trade report is amended.

Alternatively:
On the **APA Trade Reports / Search** page for trade reports on table with trade reports, select the check box to the left of a row and click **Amend.**



3.4 Cancel APA trade reports

To cancel a trade report:

1. On the **Overview** page for trade reports, or any table with trade reports, click the menu button (⋮) of the trade report you want to cancel.
2. Click **Cancel report**. A confirmation window appears.
3. Type a comment (optional).
4. Click **Yes**.

If the cancellation is in sync with the system rules, the trade report is canceled, and the **Cancel Trade Report** is published if required.

Alternatively:
On the **APA Trade Reports/Search** page, select the trades that need to be cancelled and click **Cancel**.

If the cancellation is in sync with the system rules, the trade report is canceled, and the **Cancel Trade Report** is published if required.

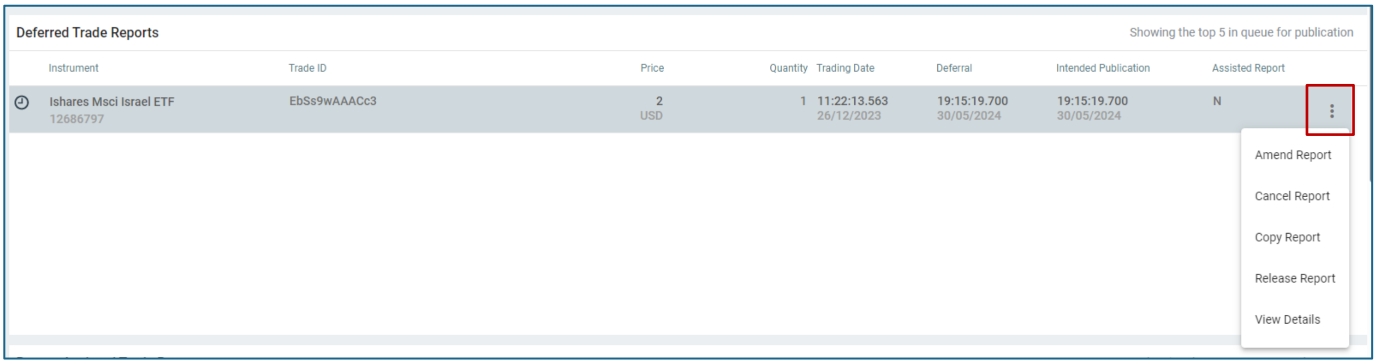
3.5 Release Deferred APA trade reports

The users can choose to override the deferral time to immediately publish a deferred trade report.

To release a deferred trade report:

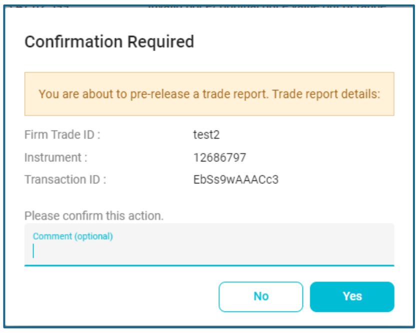
1. On the **Overview** page for trade reports, on the **Deferred Trade Reports** table, click the menu button (⋮) of the deferred trade report you want to release.
2. Click **Release report**. A confirmation window appears.
3. Type a comment (optional).
4. Click **Yes**.

The trade report is immediately published by the system. Please refer screenshots below



Alternatively:

1. On the **Search** page for trade reports, on the table with trade reports, select the check box to the left of a row.
    1. Click **Release deferral**.
    2. On the confirmation window that appears, click **Yes**.



3.6 View trade reports

From the **Search** page for trade reports, users can search for and perform actions on trade reports. Users of members who allow assisted trade reporting can search and view trade reports published on their behalf on the **Assisted Reports** page.

3.6.1 Searching for trade reports

The users can search for specific trade reports up to 365 days of history from the current date, from the **Search** page for trade reports. They can also perform actions on the trade reports from this page. For details on what can be performed, see If their member allows for assisted reporting, they can search for trade reports published on their behalf on the **Assisted Reports** page.

To search for a trade report:

1. On the **Search** page for trade reports, select attributes to search for.
2. Click **Search**.

If the search attributes match any trade reports, they are shown in a table. Select the check box to the left of a row to perform actions on the trade report.

To search for an Assisted Trade Report:

1. On the **Assisted Reports** page for trade reports, select attributes to search for.
2. Click **Search**.

If the search attributes match any trade reports published on your behalf, they are shown in a table. Only the reporting client is allowed to perform actions such as cancels and amendments of the trade report.

3.6.2 Viewing trade report details

The user can view details of a trade report from the **Overview** page for trade reports.

1. On the **Overview** page for trade reports, click the menu button (⋮) of the trade report that needs to be viewed It expands into a pop up that shows the actions that can be performed on the trade report.
2. Click **View Details**. A scroll dialog box appears which displays the details of the trade chosen.

IMPORTANT: A **HELD** Trade can **only** be cancelled by the user. HELD Trades cannot be amended. The menu button (⋮) of the held trade report will only have 'Cancel Report' option. If 'Cancel Report' is actioned, the same trade will be marked as '**HELD CANCELLED'** and no further action can be performed on it.

When a trade is **HELD**, clients are expected to contact LSEG Market Supervision via mktsrvsmarketmonitoring@lseg.com. Following client discussion, the trade will be either accepted or rejected by LSEG Market Supervision. Any trade that remains in the HELD state by the end of the day (pre-close) without being actioned upon will be rejected by the system.

Note: For further information on HELD trades please refer TRADEcho APA User Guide

3.6.3 Viewing trade report states

On the **Overview** page for trade reports the users can view the status of trade reports by looking at the symbol to the left of a trade report entry in a table.

The following states are available:

Symbol	State
	Accepted. Has been published.
	Deferred. Has not been published.
	Deferred. Has been published with limited information.
	Canceled. Has not been published.
	Canceled. Has been published.
	Rejected. Has not been published.
	Accepted Has not been published.
	Closed A rejected Trade Report has been amended/fixed
	Held
	Held Cancelled

4 Smart Report Router (SRR)

Note: SRR functionality is only applicable for SRR eligible members of TRADEcho. SRR users can also use the APA Reporting functionality in the GUI successfully.

The SRR is a service where firms can drop-copy their trades to a repository, where configurable rules determine if the trade needs to be reported by the firm, in which case the trade gets reported to an APA.

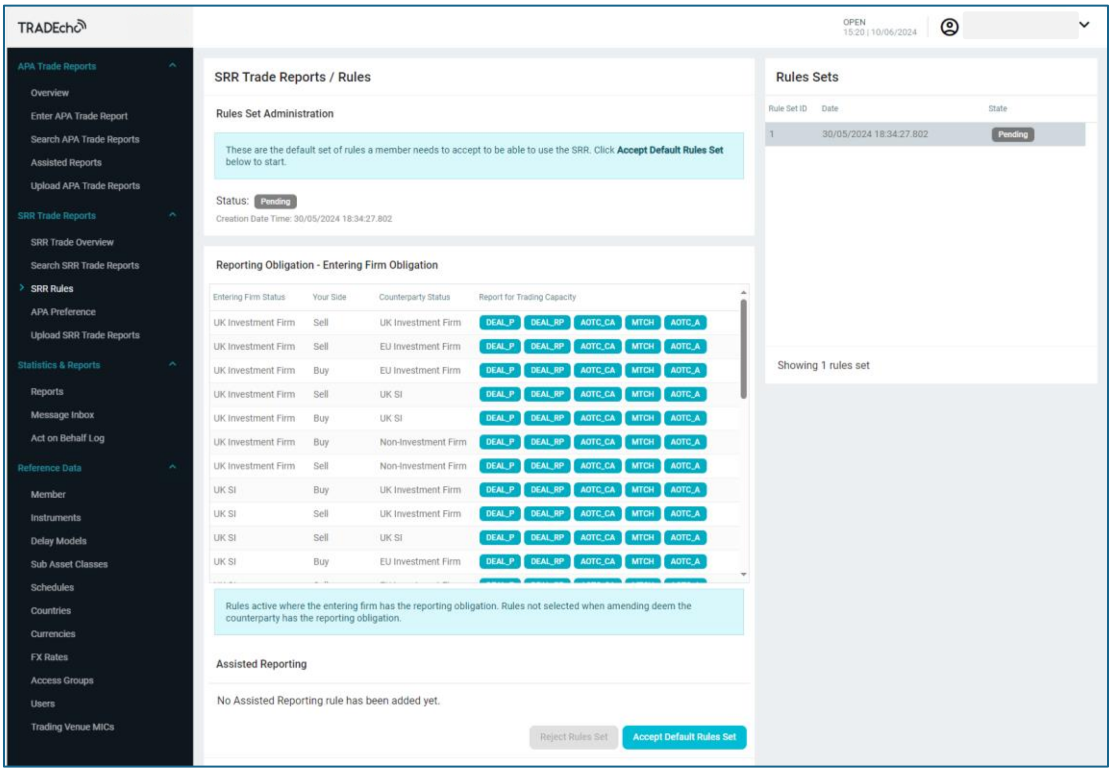
Subscribers of the SRR service can upload the SRR trades via CSV file and view the uploaded trades on the TRADEcho web portal.

The **SRR Rules Administrator**, can view, accept and amend the rules set. The SRR functionality is located from the pages under **SRR Trade Report** on the side menu of the TRADEcho web portal.

4.1 SRR rules

SRR rules are viewed and managed on the **SRR Rules** page, located under **SRR Trade Reports** on the side menu.

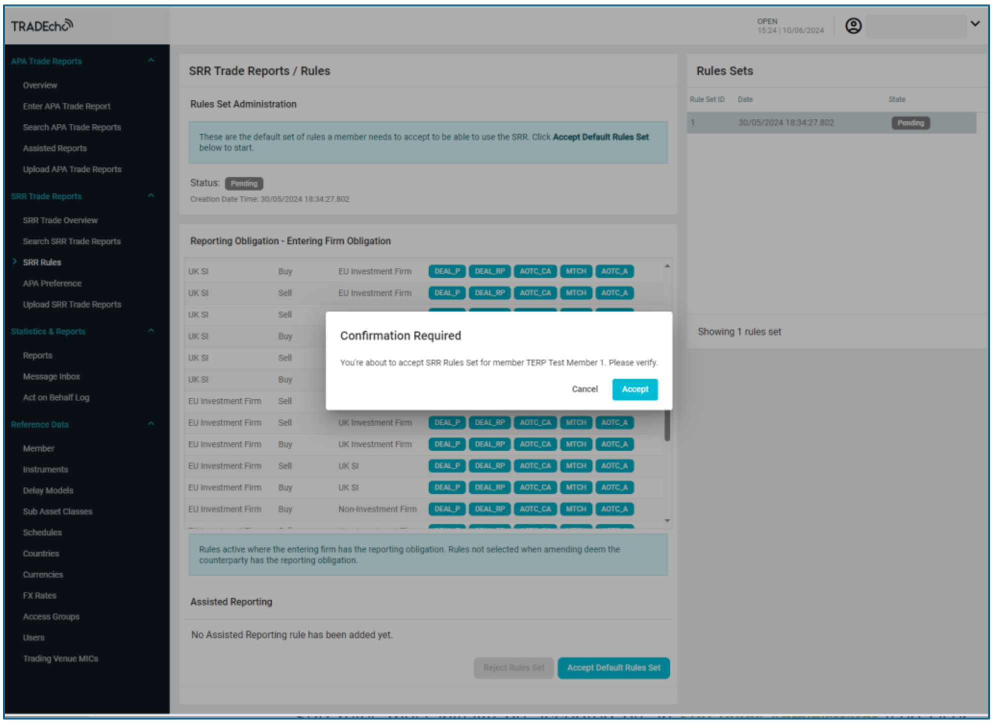
SRR users of TRADEcho can view the active SRR rules set for UK and EU. A user with the **SRR Rules Administrator** user role can amend reporting obligation rules, add assisted reporting rules, and save the amendments of the entire rules set.

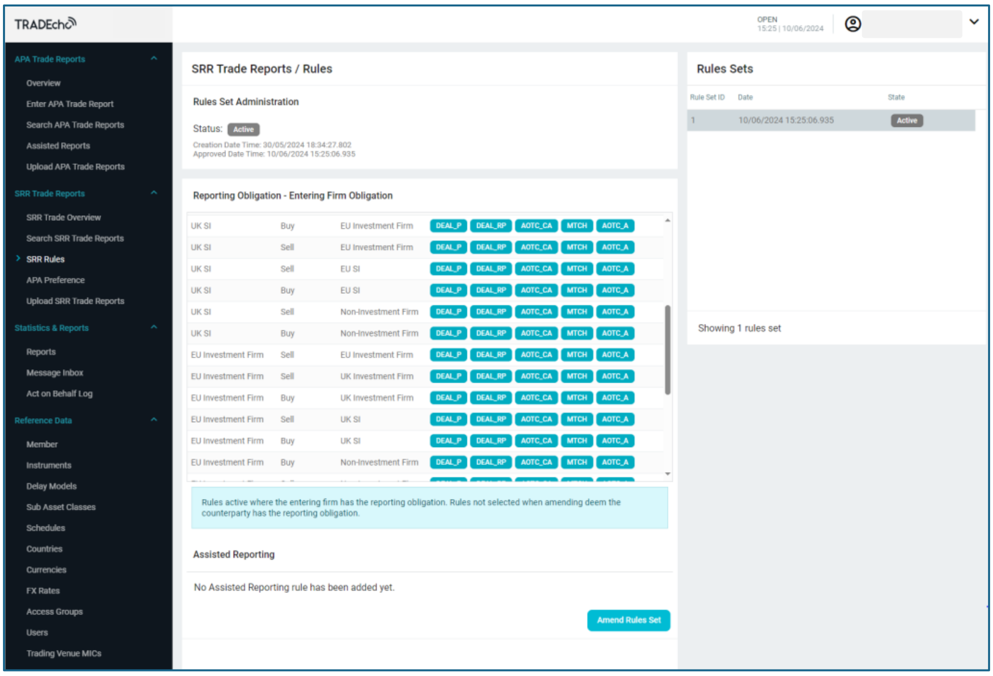


4.1.1 *Accepting the default rules set*

SRR rules must initially be accepted by an **SRR Rules Administrator** before the SRR service can be used to report trades. The rules can later be amended. The rules will have a status of 'Pending' against them before approval. To accept the default rules set:

3. On the **SRR Trade Reports /Rules** page, click **Accept Default Rules Set** A confirmation window appears.
4. Click **Accept**.





Once the rules are accepted, the user would see all the accepted rules in 'a single page and the status will change to 'Active'.

Note: Though the ESMA DPE Regime and the reporting obligation change will be available from the announced DPE GoLive date, the SRR Rule will display EU SI as EU Designated Firm and EU Investment Firm as EU Non-Designated Firm. The logic for reporting obligation determination however will still work as EU SI or EU Investment Firm.

4.1.2 Amending the SRR rules set

SRR Rules Administrator can amend reporting obligation rules and assisted reporting rules for your member. The amended rules must be accepted by a second **SRR Rules Administrator** user.

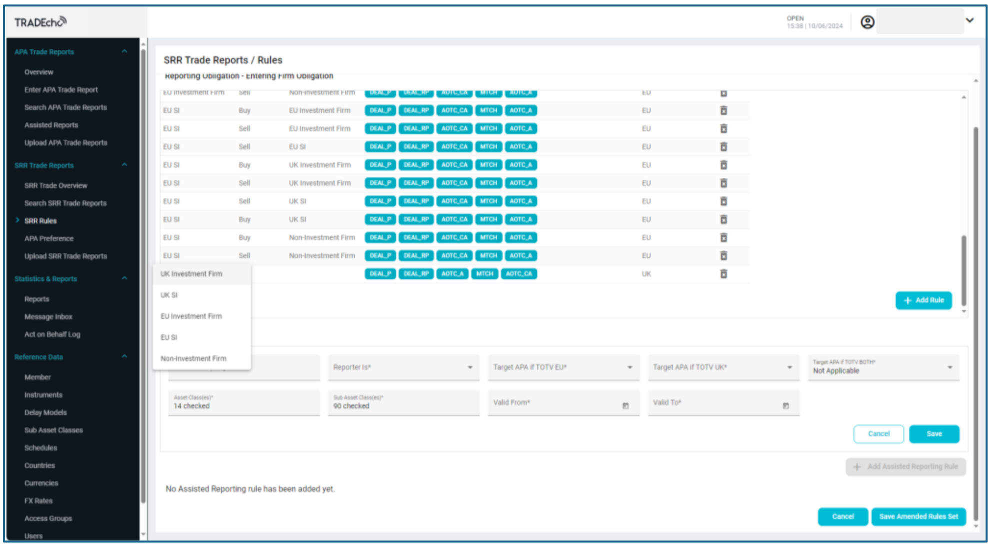
To amend Reporting Obligations:

1. On the **SRR Rules** page, click **Amend Rules Set**. The form becomes editable.
2. Enter appropriate values.
3. (Optional) Add assisted reporting rules, see *To add an assisted reporting rule* below.
4. Click **Save amended Rules Set**. A confirmation window appears.
5. Click **Amend**.

The amended rule will be added with **Pending** state. It must be accepted by another **SRR rules administrator** before it will become the active SRR rules set.

To add an assisted reporting rule:

1. On the **SRR Trade Reports/ Rules** page, click **Amend Rules Set**.
2. Click **Add Assisted Reporting Rule**. A form appears:



3. Enter appropriate values:
   - For Counterparty: LEI of Counterparty
   - Reporter is (Me/Ctpy): The Firm that is deemed to send the SRR Trade Report as an Assisted Report

- Target APA if TOTV EU: APA to receive the trade report if the Instrument is EEA TOTV (default to ECEU)
- Target APA if TOTVUK: APA to receive the trade report if the Instrument is UK TOTV.
- Target APA if TOTV BOTH: APA to receive the trade report if the Instrument is UK and EEA TOTV.
- Asset Class(es) and Sub asset class(es): list of all valid Asset and Sub-asset classes that the rule should apply to
- Valid From and Valid To: to specify a valid timeframe for the rule.

4. Click **Amend**.
5. Click **Save Amended Rules Set**. A confirmation window appears.
6. Click **Amend**.

The amended rule will be added with **Pending** state. It must be accepted by another **SRR rules administrator** before it will become the active SRR rules set.

To accept the amended rules:

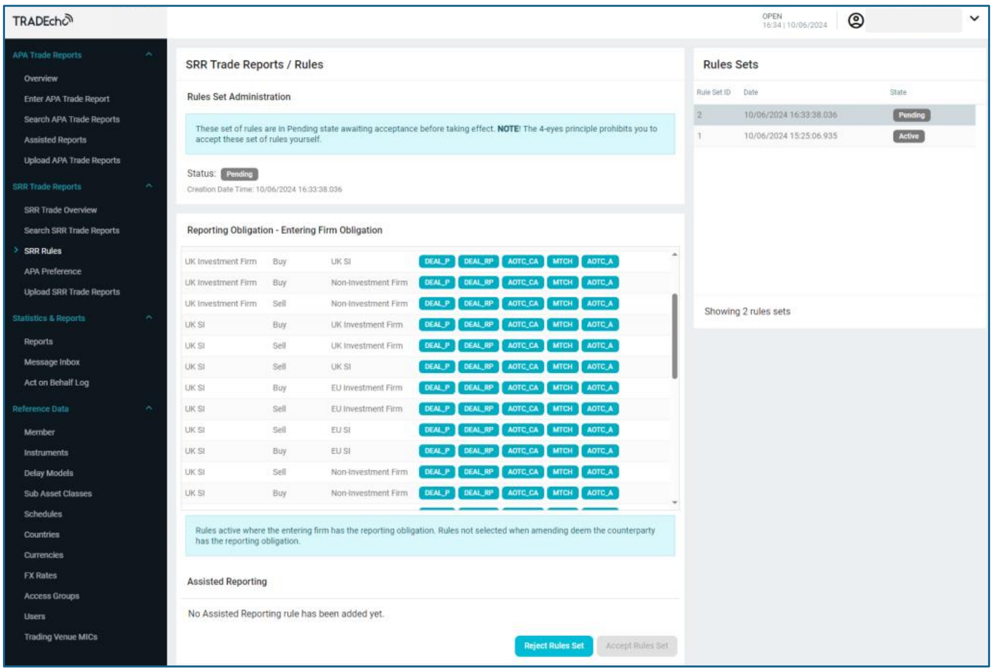
Note: Users cannot accept changes they made for themselves. A second **SRR Rules administrator** needs to accept amended rules.

1. On the **SRR Rules** page, under **Rules Sets**, click on the rules set with state **Pending**.
2. Click **Accept Rules Set**. A confirmation window appears.
3. Click **Accept**.

The amended rules become **Active**.

To reject the amended rules:

1. On the **SRR Rules** page, under **Rules Sets**, click on the rules set with state **Pending**.
2. Click **Reject Rules Set**. A confirmation window appears.
3. Click **Reject**.



The amended rules are rejected.

4.2 Upload SRR trade reports

SRR trade reports can be uploaded, amended, or canceled from the TRADEcho web portal.

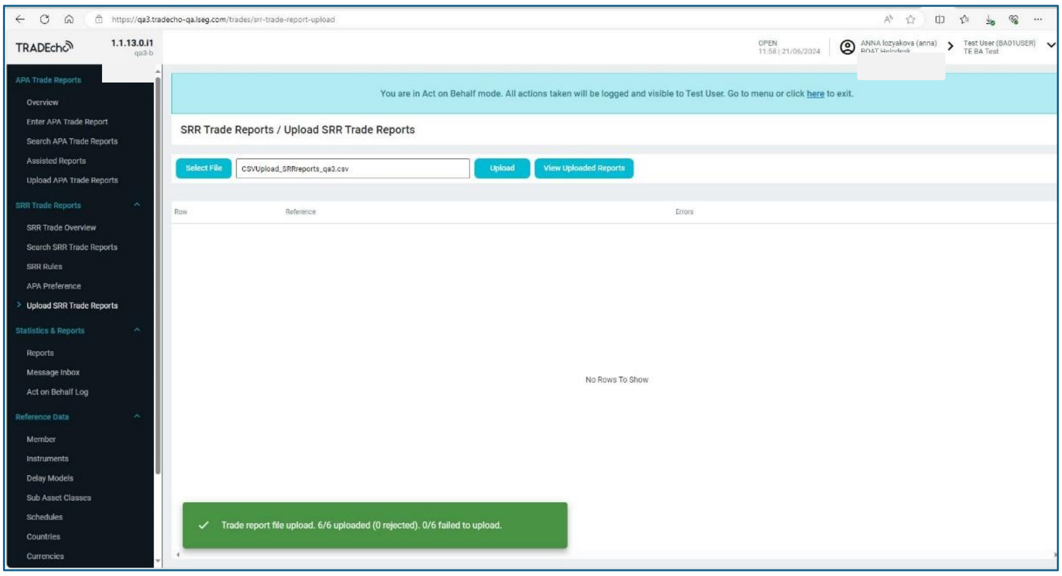
SRR trade reports can be bulk uploaded from the TRADEcho web portal through a .csv file. The file may not have more than 1000 rows.

Please note: When uploading trade reports via CSV, the system will truncate value submitted for Executing Trader, Executing Salesperson and Counterparty Trader if maximum allowed length is exceeded.

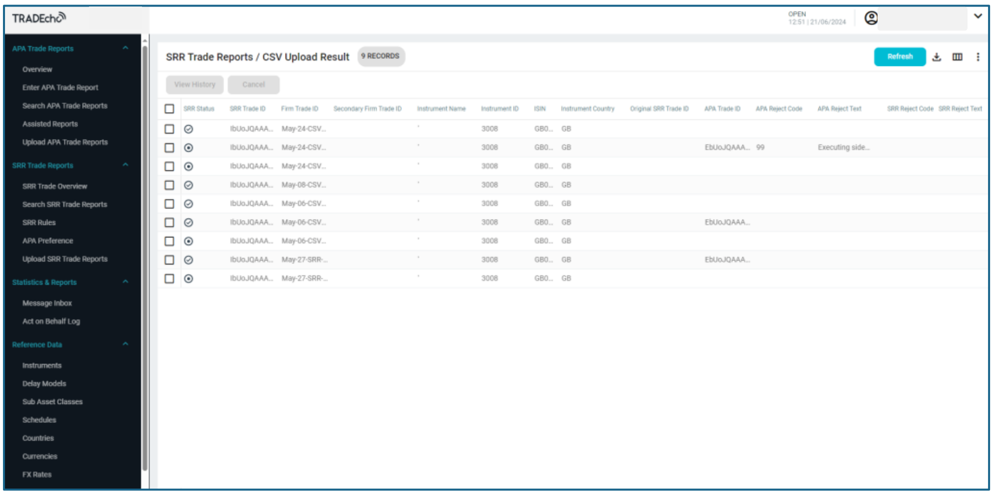
This change has been implemented to avoid unnecessary rejections.

To upload an SRR Trade report:

1. On the side menu, under **SRR Trade Reports**, click **Upload SRR Trade Reports**.
2. Click **Select file** and browse to a .csv file containing SRR trade reports to be uploaded.
3. Click **Upload**.

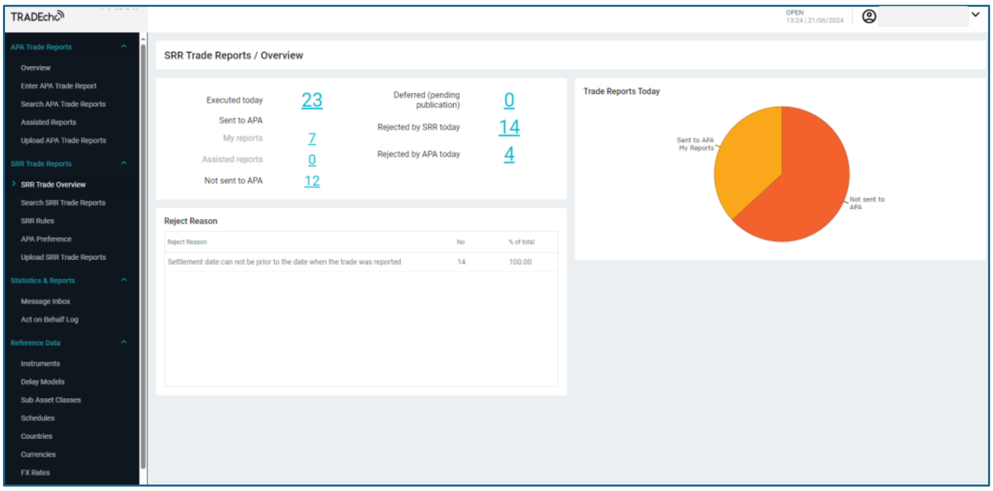


A click on the View Uploaded Reports will show the trades uploaded:



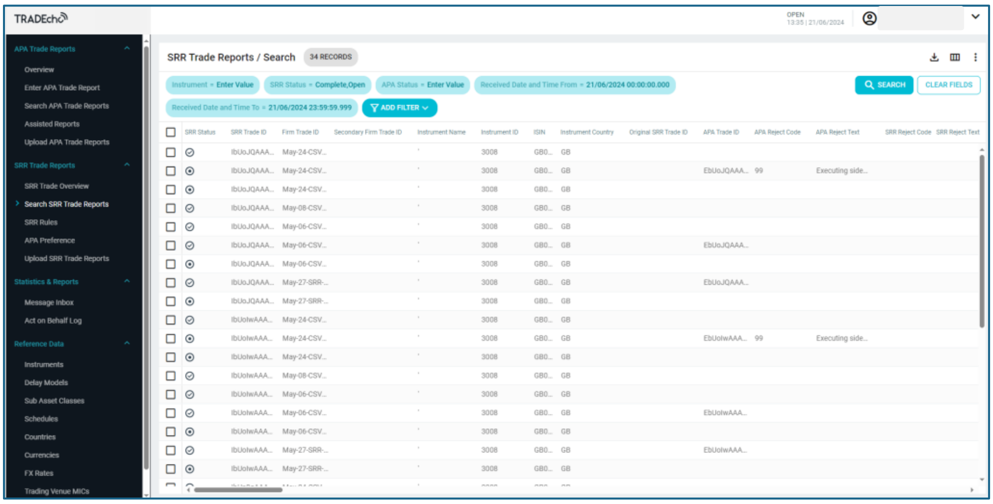
4.3 View SRR trade reports

The user can view information on SRR trade reports through the **SRR Trade Overview** page. The page shows the bifurcation of the number of SRR trades reported into published, deferred, rejected along with reasons for rejected trades.



To search for SRR Trade Report:

1. On the **SRR Trade Overview** page, click on the statistic/ number displayed.
2. Search **SRR Trade Reports** page will be displayed with trades shown in a tabular format:



Alternatively,

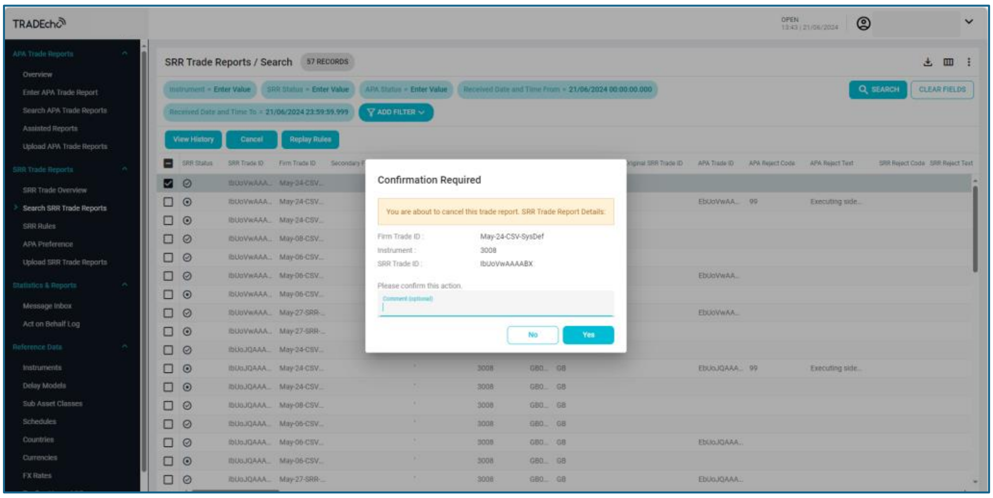
1. On the **Search SRR Trade Reports** page, enter search parameters for the SRR trades.
2. Click **Search**.

   If the search attributes match any trade reports, they are shown in a table.

4.4 Cancel SRR trade reports

A trade report can be canceled from the TRADEcho web portal. The cancellation will be flagged as late if the trade report already has been published prior to the current trading day. To cancel an SRR Trade Report:

1. On the side menu, under SRR, click **Search SRR Trade Reports.**
2. Define any search criteria and click the **Search** button. The search results are displayed.
3. Select the trade report that needs cancelling. If the trade is allowed to be cancelled, the Cancel button gets activated.
4. Click **Cancel.** A confirmation window appears.
5. Type a comment (optional) and click **Yes**.

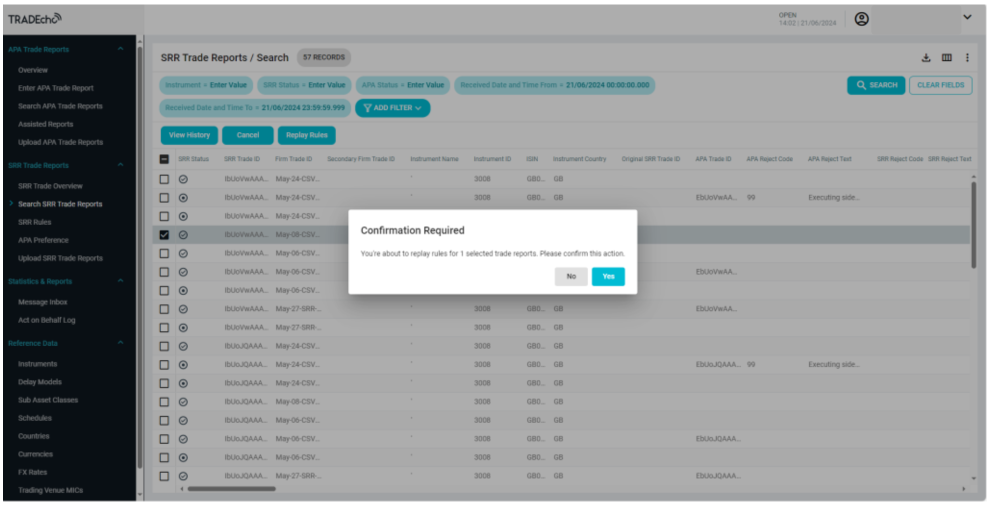


The SRR trade report is canceled.

4.5 SRR replay

Users can apply the active set of SRR rules on historical SRR trade reports by performing an SRR replay. This leads to the trade reports being assessed anew, which may result in trade reports being sent through to the APA for publication or cancellation. If the replay is performed on a trade report from today, it will be treated as an amendment. If the trade report is from yesterday or older, it will be treated as a late amendment. To replay SRR rules on a trade report:

1. Search a trade through the **Search SRR Trade Reports** page.
2. Select the trades that need to go through new/updated SRR rules.
3. Click **Replay Rules**. A confirmation window appears.
4. Click **Yes**.



A result page is shown with information about the actions taken on the report(s):

SRR Trade Reports / Replay Result 1 RECORD

Trade ID	Replay Result	Reject Reason
IbUoVwAAAABT	Updated in SRR. Amended as an effect of Rules Replay	

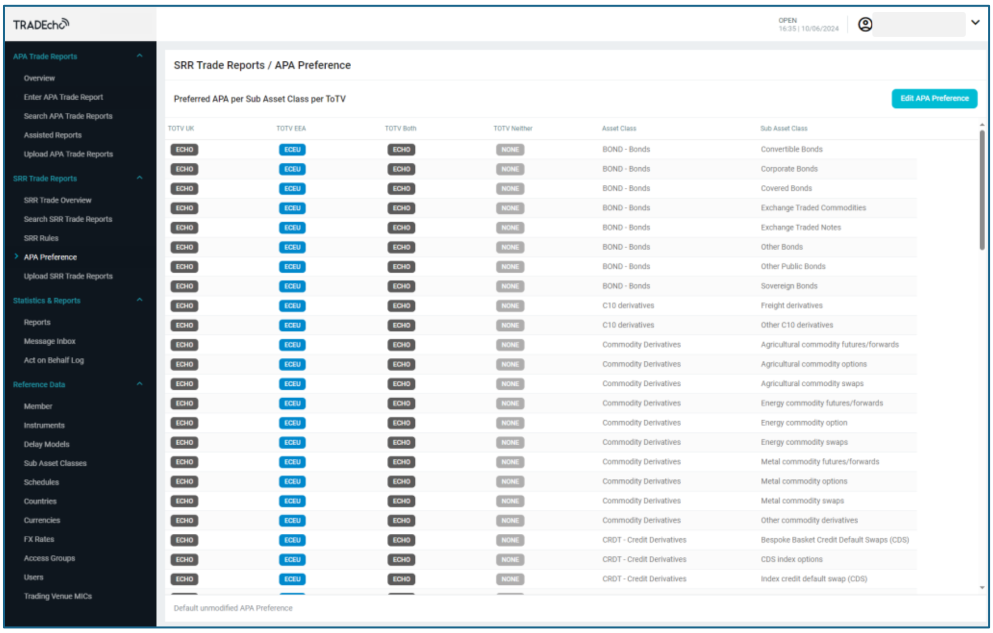
4.6 SRR APA preference

To be able to send messages through the CBOE Europe APA or Tradeweb gateway, APA preferences and login settings need to be configured. The preferred APA settings per sub asset class and APA login settings for CBOE Europe APA and Tradeweb can be viewed and managed on the **APA Preference** page, located under **SRR Trade Reports** on the side menu.

MICs for configuration:

- ECHO – TRADEcho UK APA
- ECEU – TRADEcho EU APA
- BOTC – CBOE Europe APA (valid for both UK and EU)
- TREA – Tradeweb UK APA
- TWEA – Tradeweb EU APA

SRR users can view the preferred APA settings per sub asset class for their member and the login settings for CBOE Europe APA and Tradeweb. If a user has **SRR Rules Administrator** privileges, they can edit the preferred APA per sub asset class plus TOTV and enter APA login information.



4.6.1 Viewing SRR APA preference

Users can view the preferred APA per sub asset class for the SRR service for your member. To view APA preference:

1. Under **SRR Trade Reports** in the side menu, click **APA Preference**.

The preferred APA preference per sub asset class and ToTV is displayed.

4.6.2 Editing APA preference

The APA preference is configured on a sub-asset class level and is used as a default setting for routing trade reports to an APA.

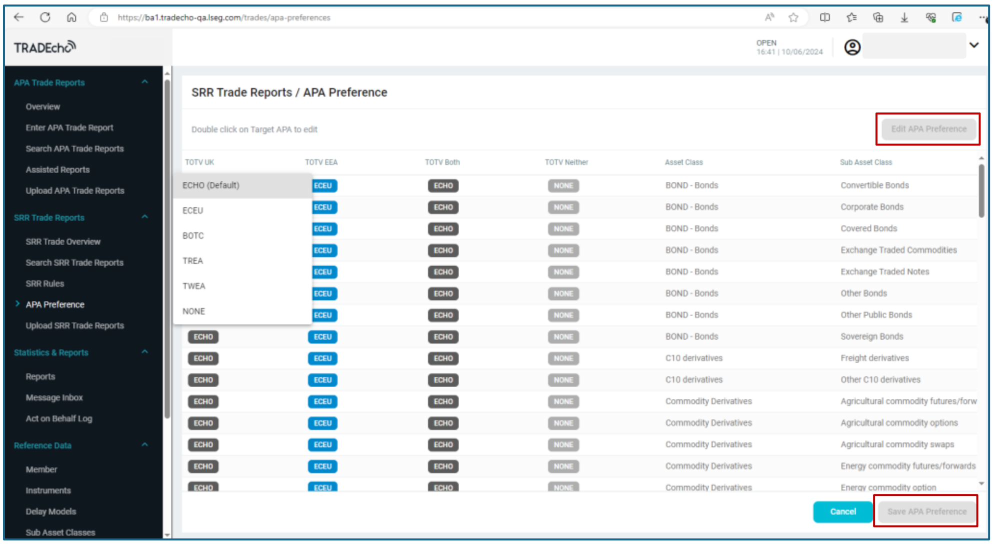
An **SRR Rules Administrator** can change the preferred APA per sub asset class. For example, if all trade reports for Sovereign Bonds should be sent to Tradeweb, you select **TREA** or **TWEA** for the sub-asset class Sovereign Bond in the APA Preference table. This preferred APA will be used if no preferred APA is set (using Target APA) on the trade report. If no preferred APA is set on the trade report or on the sub asset class/TOTV, the preferred APA will be:

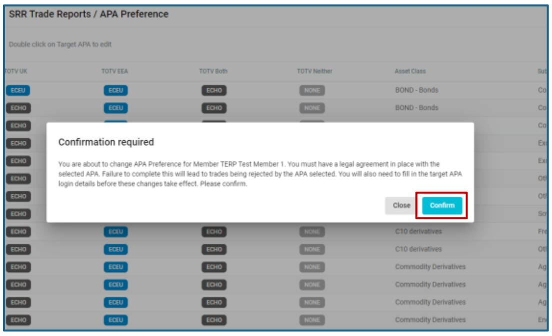
INSTRUMENT ToTV	DEFAULT APA
UK ToTV only	ECHO
EU ToTV only	ECEU
Both UK/EU ToTV	ECHO
Neither	NONE

To edit an APA preference

1. On the **APA Preference** page, click **Edit APA Preference**. The form becomes editable.

2. Double click on a row to edit.
3. Click **Save APA Preference**. A confirmation window appears.
4. Click **Confirm**.





Close and **Cancel** to reject changes.

5 Statistics and Reports

The Statistics and Reports functionality helps the users to extract usage (trade reporting activity) related stats from the TRADEcho portal. The functionality requires the users to first subscribe to the reports.

To subscribe for reports on behalf of clients and SFTP setups, please contact the Technical Account Management Team on londontam@lseg.com. Also, please refer the *TRADEcho EOD Reports User Guide* on Technical library Equities trading resources | London Stock Exchange.

5.1 Available Report Types

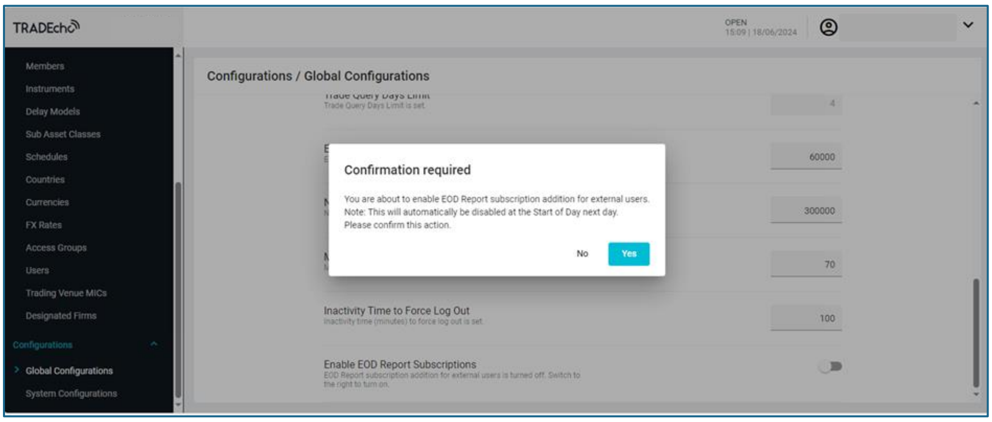
These are the available report types:

Name	Frequency	Description
Data Quality Report	End of Business Week	APA data quality summary report.
EOD Full report SRR	End of Day	Client report showing full trade report details for APA
EOD Full Report APA	End of Day	Client report showing full trade report details for APA.
EOD Summary Report SRR	End of Day	Client report showing trade report details for SRR.
EOD Summary Report APA	End of Day	Client report showing trade report details for APA.
EOD Full Report Counterparty SRR	End of Day	Client report showing counterparty trade report details for SRR
EOD Full Report Counterparty APA	End of Day	Client report showing counterparty trade report details for APA
EOD Summary Report Counterparty SRR	End of Day	Client report showing summary of counterparty trade report details for SRR
EOD Summary Report Counterparty APA	End of Day	Client report showing summary of counterparty trade report details for APA

Only **internal** users will be able to fully manage EOD Report subscription for all members via Global Configuration form Web portal as displayed below (Enable/ disable EOD Report subscription addition privilege to external users via a global config)

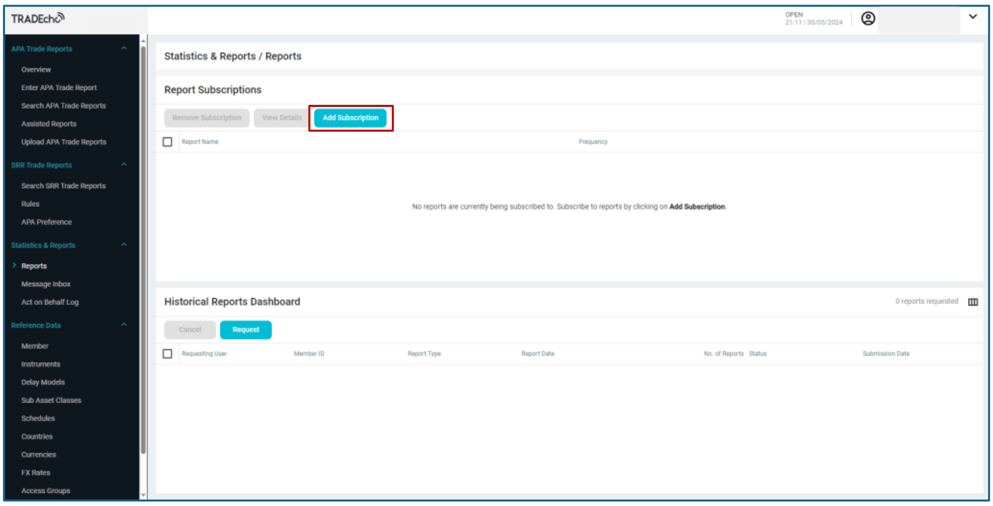
Configuration Name; Enable EOD Report Subscription

This configuration determines if external users can add EOD Report subscriptions.



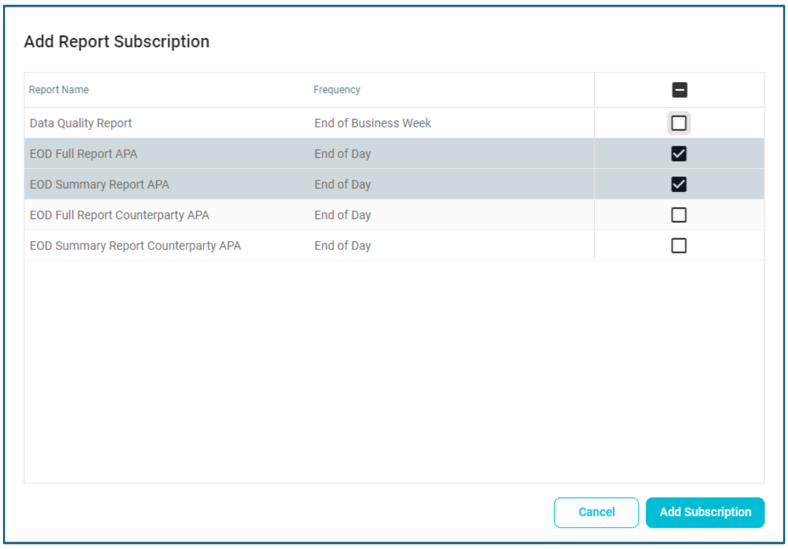
5.2 Add Report Subscription

When the user clicks on **Reports** on the left-hand menu, The **Statistics and Reports / Reports** page opens.



1. On the **Statistics and Reports / Reports** page, click **Add Subscription**. A dialog box appears.
2. Select the check box next to the report(s) you want to subscribe to.
3. Click **Add Subscription**.

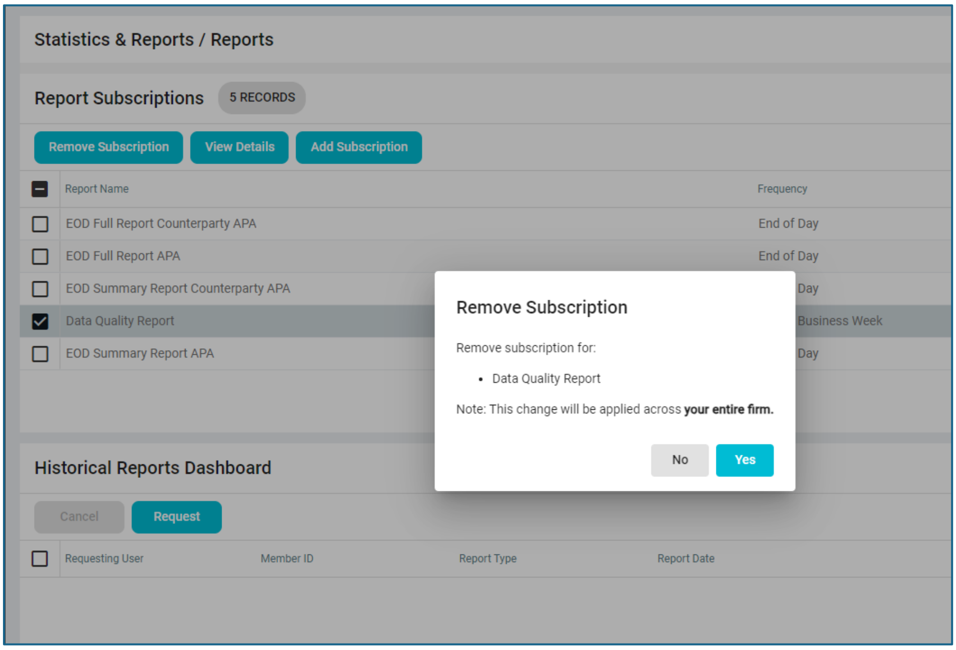
   Please refer the screenshot below:



5.3 Remove Report Subscriptions

To cancel a report subscription:

1. On the **Statistics and Reports / Reports** page, select the check box next to the report(s) for which you want to remove a subscription.
2. Click **Remove Subscription**. A confirmation window appears.
3. Click **Yes**.

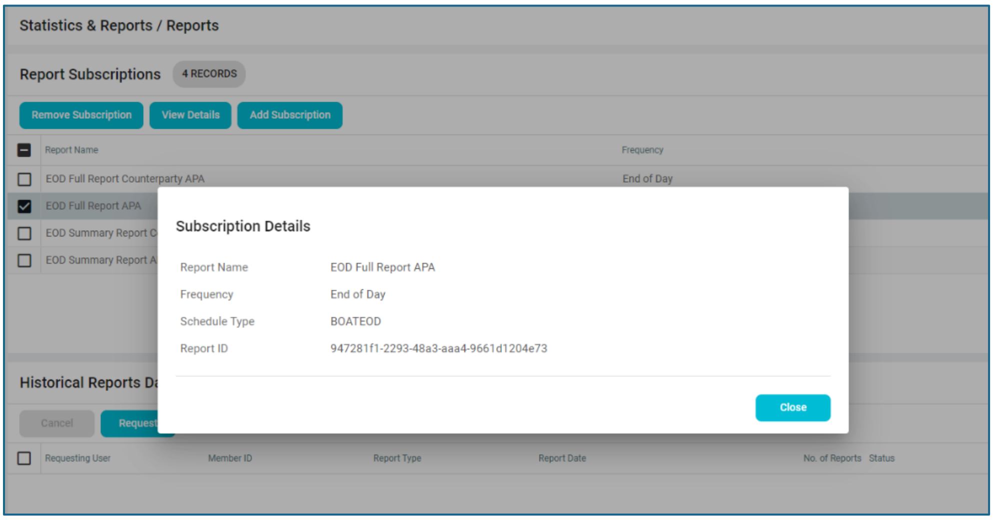


5.4 View Report Subscription details

To view the details of your report subscription:

1. On the **Statistics and Reports / Reports** page, select the report that needs to be viewed.
2. Click **View Details**. A dialog box showing the details appears. Please refer screenshot below:

remove



5.4.1 *Requesting past date reports*

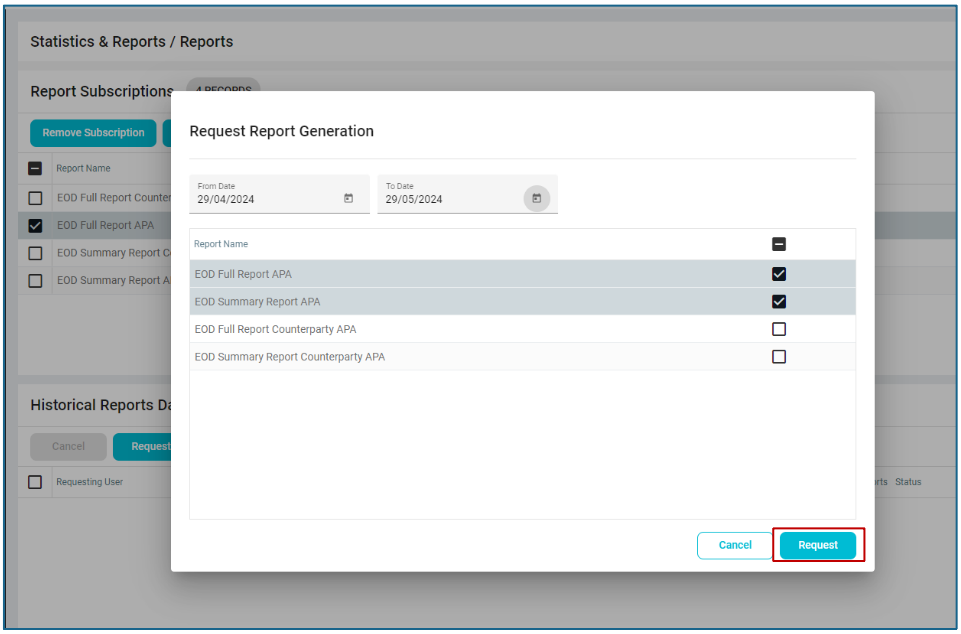
Users can request the generation of any of the reports for the past month, subject to having a valid subscription in place for the selected period.

For older reports or in absence of a valid subscription for the selected period, users can contact your technical account manager or LondonTAM@lseg.com.

Reports will be available on the following business day at the same time and location as the daily EOD (or weekly) reports.

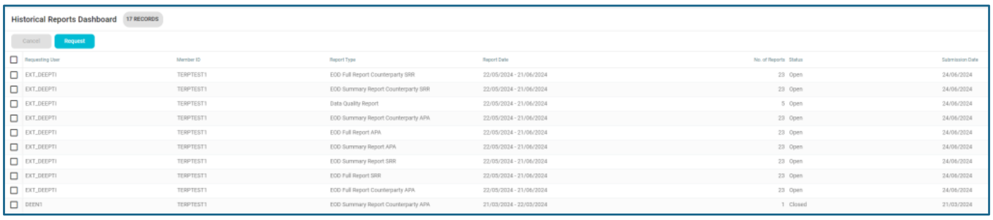
To request past reports:

1. On the **Statistics and Reports / Reports** page, under the Historical Reports Dashboard section, click **Request**. A dialog box appears.
2. Select the check box next to the report(s) you want to request for.
3. Select the Date Range.
4. Click **Request**.



To view the pending requests:

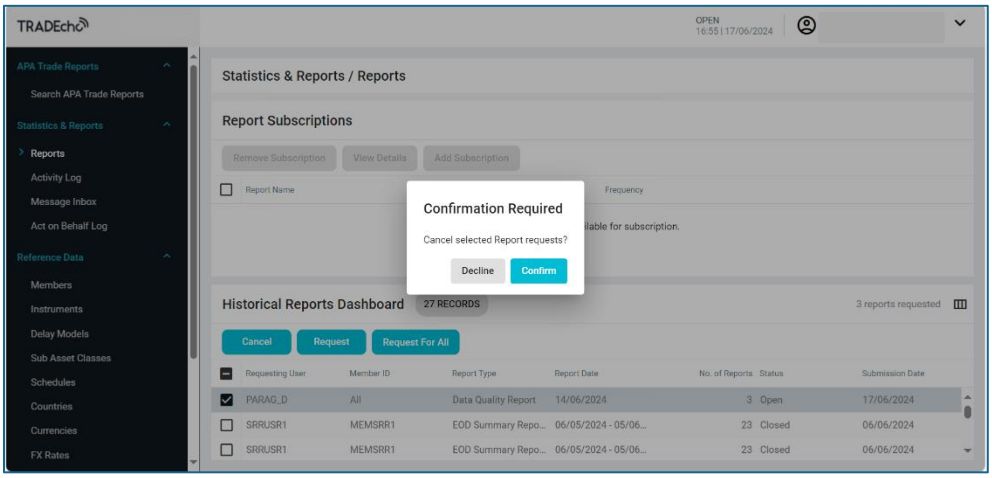
From the **Reports** page, the user can see the list of reports requested and not yet generated in the Historical Reports Dashboard. Requests of reports already executed are not visible in this dashboard:



To cancel pending requests:

1. In the Historical Reports Dashboard select the check box next to the report request(s) you want to cancel
2. Click **Cancel.**

Requests already cancelled cannot be resumed. A new request with same details must be submitted instead.



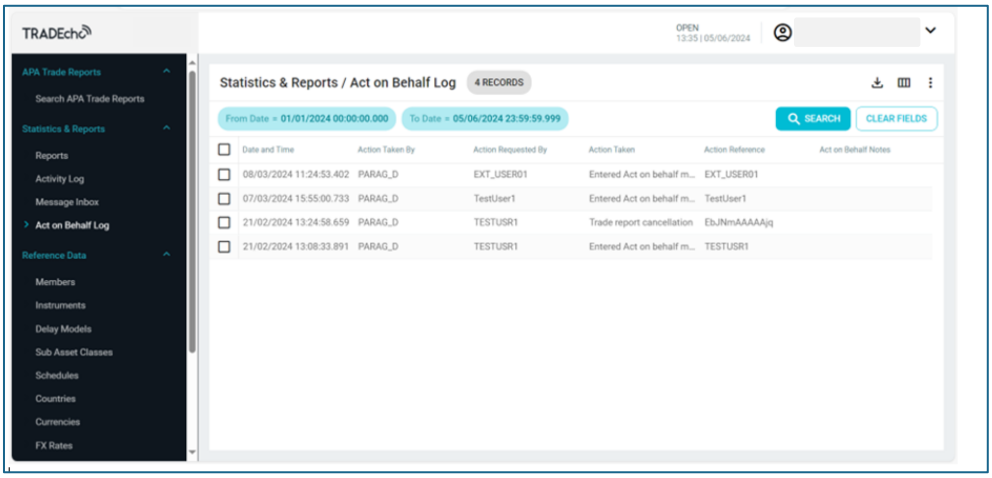
5.5 Act on Behalf Log

All actions taken when an administrator is acting on behalf of another user is logged and saved in TRADEcho. Both the administrator and the user that the administrator is acting on behalf of can see the actions that have been taken in act on behalf mode.

To view the act on behalf of log:

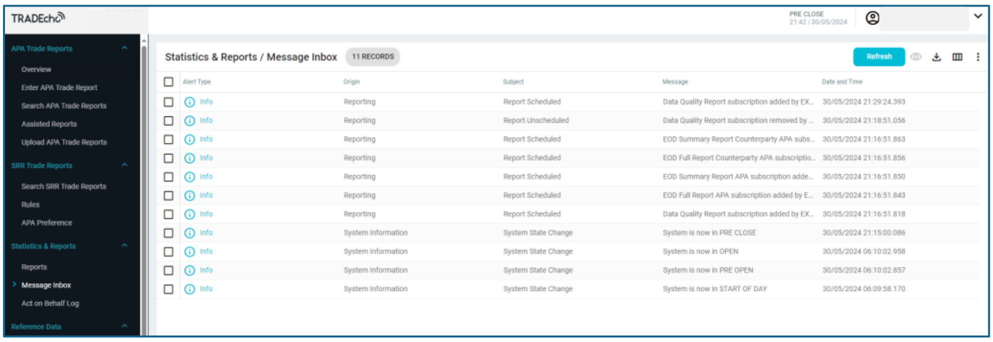
1. On the **Act on Behalf Log** page, select the date of the log you want to view.
2. Click **Search**.

The log is displayed in a table, showing the actions made in act on behalf mode.

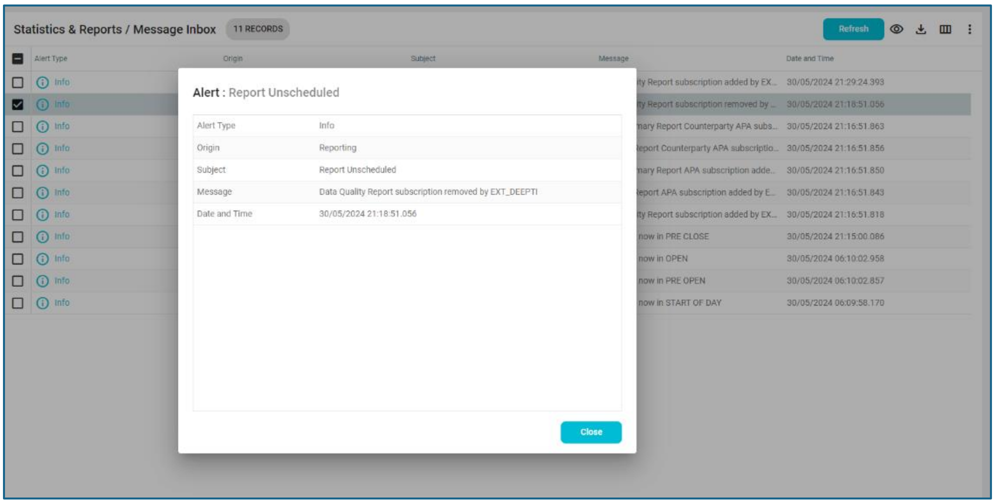


5.6 Message Inbox

On the Statistics and Reports / Message Inbox screen, the users can view alerts from the current business day regarding business or system events. The message type can be **Info**, **Error**, or **Warning**. The messages are generated from events in the system and you see those relevant for the access group you belong to.



1. To refresh the screen, click **Refresh.** The inbox is updated.
2. To view the details of a message, double click the message. A dialog box with the details appears.

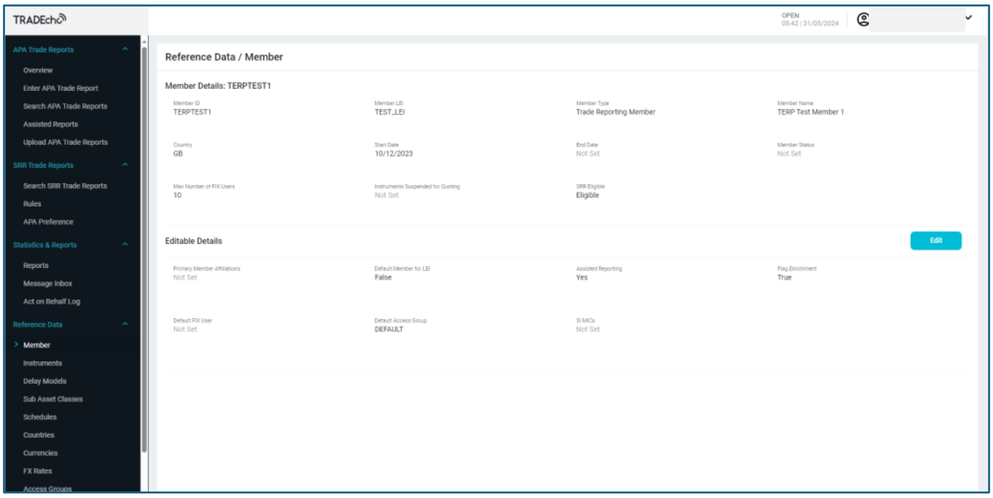


6 Administration

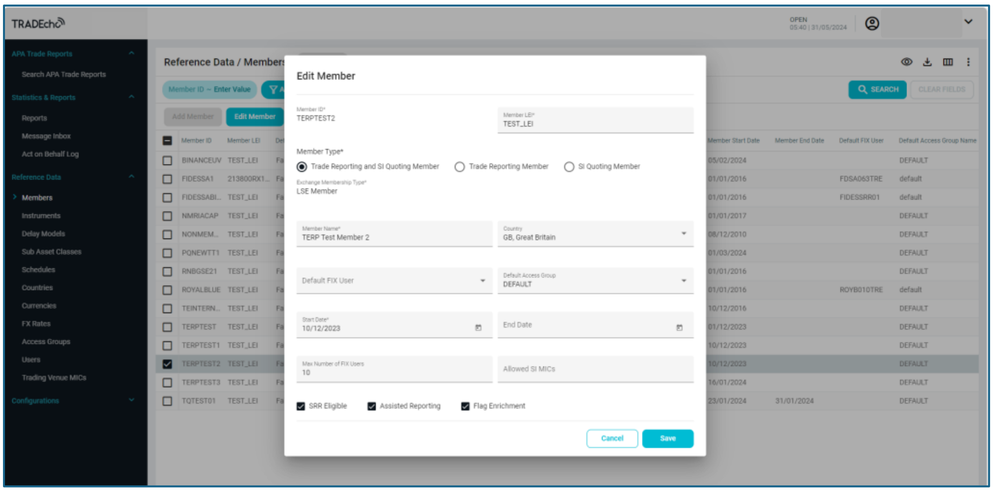
Some features in TRADEcho Trade Reporting System are accessible for administrative user role only. Depending on your administrative role some of these features might be restricted.

On the **Member** page, the user can see your member details and edit settings.

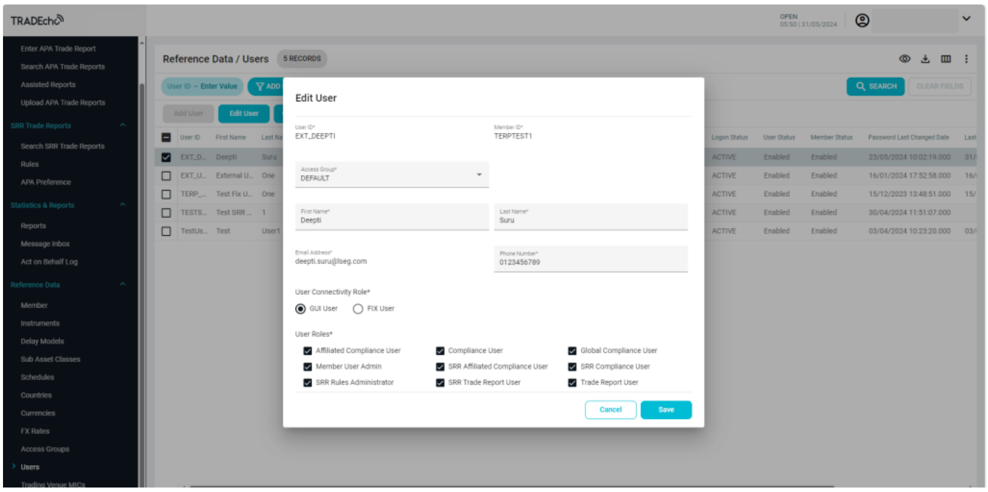
For Admin Users – Members View



For Internal Admin Users – Members View



For Internal Admin Users – Users View



6.1 Edit Member

A member admin can edit primary member ID for affiliations, set default member for LEI, allow assisted reporting for its member, enable flag enrichment and update LSE Non-Member value to Yes/No.

To edit member details:

1. On the **Members** page, under **Editable details**, click **Edit**.
2. Enter appropriate values. For details, see Member detail fields / settings on page 42
3. Click **Save**.

6.1.1 Member detail fields / settings

Field	Description
Member ID	The name of the member.
Legal Entity Identifier	The member LEI. Not unique.
Member Type	Used to determine which parts of the system the member should be able to access. Valid values: • **Trade and SI Quoting Member**—used for members signed up to both trade and quote reporting service. • **Trade Reporting Member**—used for members signed up for trade reporting service. • **SI Quoting Member**—used for members signed up for quote reporting service.
Number of allowed FIX users	The maximum number of FIX users that can be created on a member. Disabled users are included in the number. If it is not set, a default value will be applied.
SRR Eligible	Select the check box for members that should have access to the SRR service.
Allow Assisted Reporting	Select this option for members that allow assisted reporting.

Default For LEI	Select this option if the member should be the default member for its LEI. This member will be used if a trade report is entered through FIX with the corresponding LEI set as counterparty.
Flag Enrichment	Select this option in order for the member to get enriched deferral flags on trades which are eligible for reporting, either by the counterparty of the submitting firm, or by neither firm. This ensures the submitting firm will be in possession of the details to perform accurate transaction reporting.
Primary Member ID for Affiliations	Enter the name of the primary member to use for affiliation. Users can use a FIX account for this member to enter trade reports for your member.
SI MICs	Enter the Systematic Internaliser MICs associated with the Member ID. The MICs are validated for SI Trade submission.
LSE Non-Member	Select this option in order to change the current setup of LSE Non Member if the member is supposed to be modified as LSE Non Member Y/N from N/Y.

6.2 Add User

The Admin user can add, edit, enable and disable users through the **Users** page. The clients can also change the password for their users through this page.

To add a user for a member:

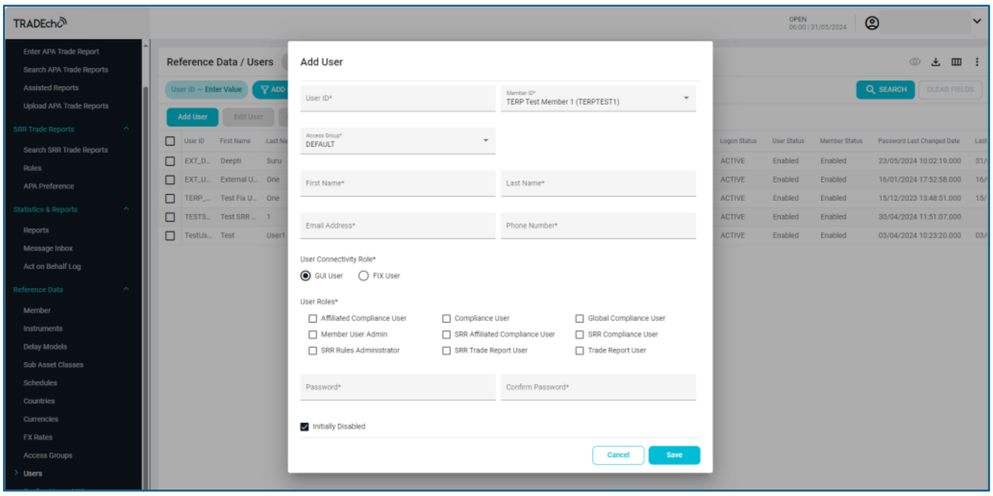
1. On the **Users** page, click **Add user**. A dialog box appears.
2. Enter appropriate values. For details, see On exchange holidays and on exchange half days

To the right on the **Schedules** page is a list of on exchange holiday and on exchange half day dates.

The functionality allows the user to view holidays within the selected date range. The default date range is 1/1 – 31/12. The on-exchange holiday dates are displayed as 'CLOSED' and the on exchange half day dates are displayed as a 'HALF_DAY'

On these dates (afternoons for on exchange half days), actions on on-exchange trade reports (submit, amend, cancel, or release) are forbidden and no on-exchange trade reports will be scheduled for publication.

3. User settings on page 44
4. Click **Add User**.

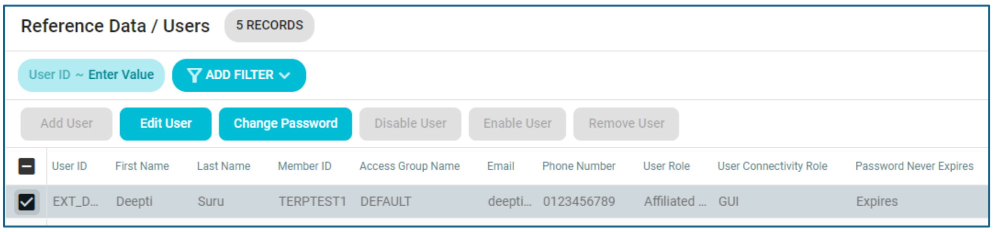


6.3 Edit User

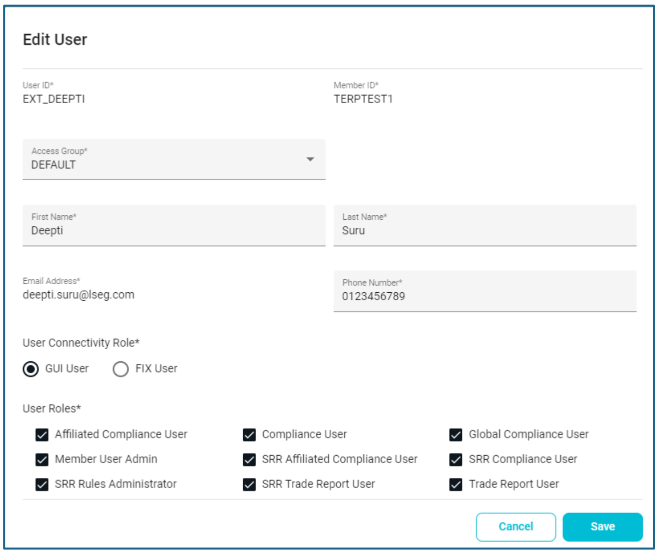
You can change user information for a user, such as name, phone number, connectivity role, and user role.

To edit User information:

1. On the **Users** page, select the check box next to the user you want to edit.



2. Click **Edit User**. A dialog box appears.



3. Edit the information and click **Save**.

6.3.1 On exchange holidays and on exchange half days

To the right on the **Schedules** page is a list of on exchange holiday and on exchange half day dates.

The functionality allows the user to view holidays within the selected date range. The default date range is 1/1 – 31/12. The on-exchange holiday dates are displayed as 'CLOSED' and the on exchange half day dates are displayed as a 'HALF_DAY'

On these dates (afternoons for on exchange half days), actions on on-exchange trade reports (submit, amend, cancel, or release) are forbidden and no on-exchange trade reports will be scheduled for publication.

6.3.2 User settings

The following fields can be viewed and edited for a user:

Field	Description
User ID	The name of the user.
Member ID	The name of the member. Must match a member connected to TRADEcho.
Access Group	Access groups are used to limit access to trade reports and quotes to a subset of users within a member. A user can only belong to one access group.
Connectivity Role	The following connectivity roles are available: • **GUI User**—a user connecting through the TRADEcho web portal. • **FIX User**—a user connecting through FIX. ○ **Default FIX User for Member**—Visible if **FIX User** is selected. Setting this will override previous default user. TCR-S confirmations will be sent to the default FIX user when no user is specified as counterparty.

User Roles

User roles for member users. There are different roles a user can have. These roles decide what part of the system, and which features a user has access to. A user can have more than one role.

The following roles are available:

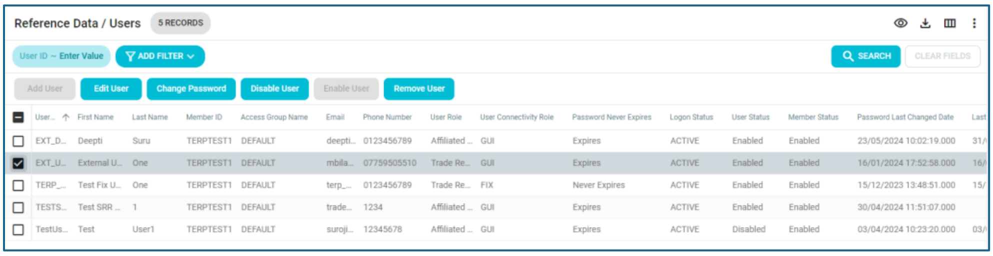
- **Member User Admin**—a user administrator for a member. Can manage its member's users.
- **Access Group Password Admin**—can change passwords for users within the own access group.
- **Trade Report User**—can enter, view, review, cancel, amend, and search trade reports within the own member and access group.
- **Quote User**—can enter, view, cancel, suspend and release quoting on an instrument for the own member, and search quotes within the own member and access group.
- **Compliance User**—can view and search trade reports and quotes that are alerted within the own member and access group. Can also run and view reports within the own member and access group.
- **Global Compliance User**—can view and search trade reports and quotes across access groups within the own member. Can also run and view reports within the own member across access groups within the own member.
- **Affiliated Compliance User**—can view and search trade reports across access groups within the own member and affiliate members.

6.4 Disable User

The Admin can disable specific users of a member. Disabled users do not have access to TRADEcho.

To disable a user:

1. On the **Users** page, select the check box next to the user(s) you want to disable.

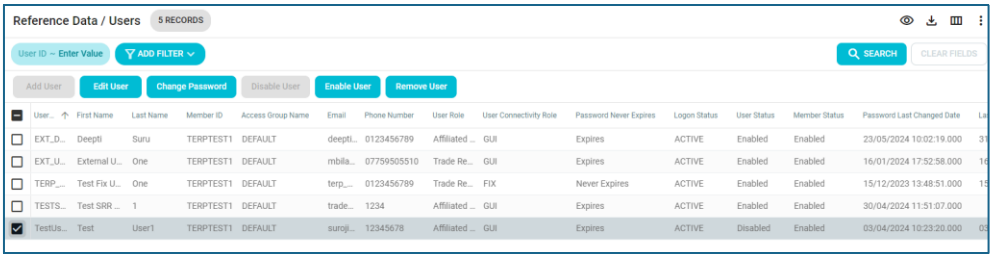


2. Click **Disable User(s)**. A confirmation window appears.
3. Click **Disable**.

6.5 Enable User

You can enable disabled users. Once enabled a user can access TRADEcho immediately. The following steps to be followed:

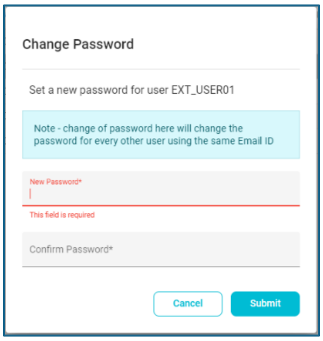
1. On the **Users** page, select the check box next to the user(s) you want to enable.



2. Click **Enable User(s)**. A confirmation window appears.
3. Click **Enable**.

6.6 Change Password for User

1. On the **Users** page, select the check box next to the user you want to change the password for.
2. Click **Change Password**. A dialog box appears.



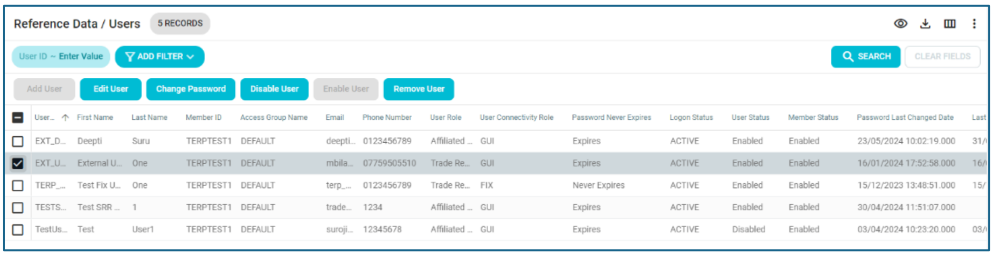
3. Enter the new password.
4. Click **Submit**.

6.7 Remove User

You can remove a user. Removed users are immediately disabled from using the system. If the user is logged on when removed, the system logs off the user.

To remove a user:

1. On the **Users** page, select the check box next to the user you want to remove.

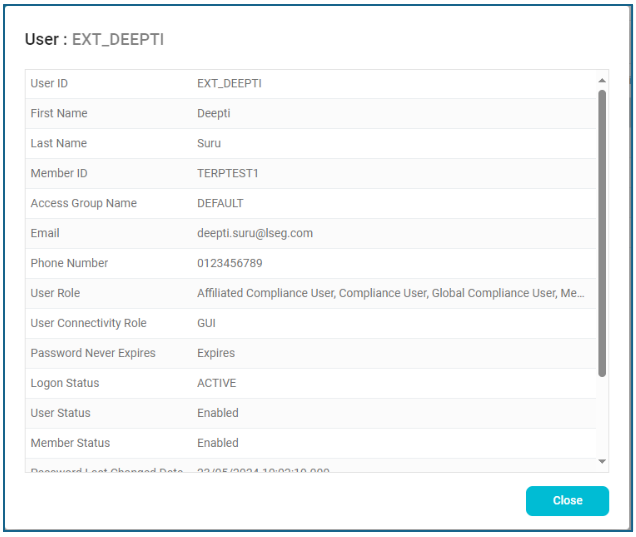


2. Click **Remove User**. A confirmation window appears.
3. Click **Remove**.

6.7.1 *View User details*

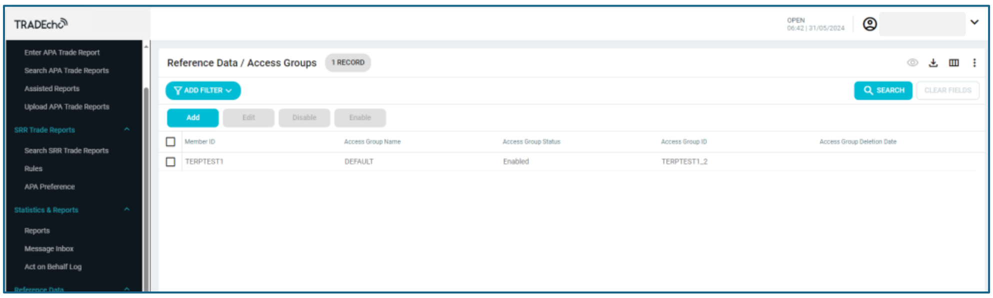
To view details of a user

4. On the **Users** page, select the check box next to the user you want to view details of.
5. Click.  A dialog box appears.



6.8 Access Groups

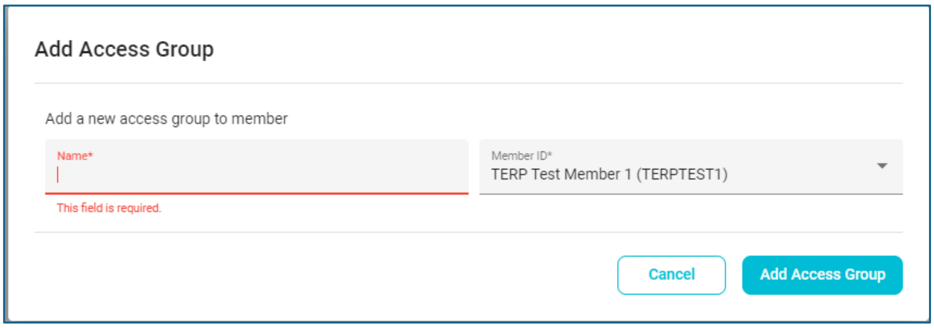
Access groups are used to limit access to trade reports and quotes to a subset of users within a member. From the TRADEcho web portal users can add new access groups to members, set which access group should be the default for the member, enable and disable access groups, and view details of access groups.



The Add, Edit, Enable and Disable controls for the Access Group work the same as controls for Users.

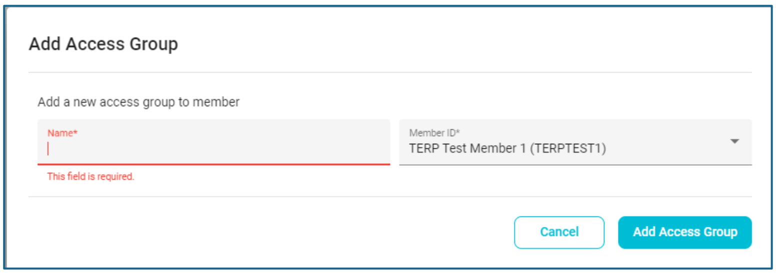
To view details of an Access Group:

1. On the **Access Groups** page, select the check box next to the row of the access group you want to view details of.
2. Click **View Details**. A dialog box appears.



To add an Access Group:

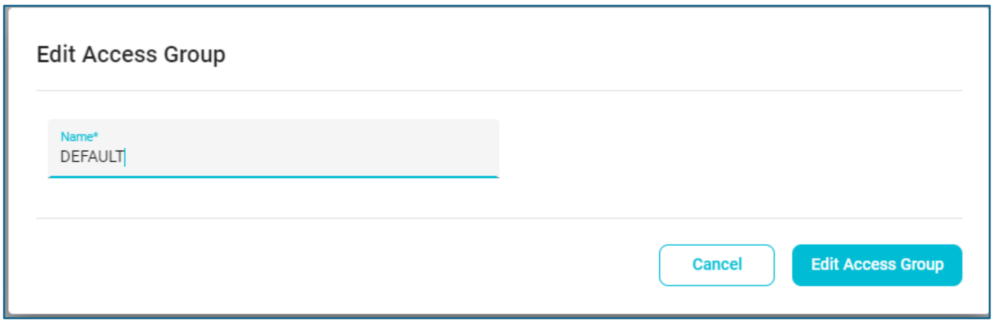
1. On the **Access Groups** page, click **Add**. A dialog box appears.



2. Enter appropriate values.
3. Click **Add Access Group**.

To edit an Access Group:

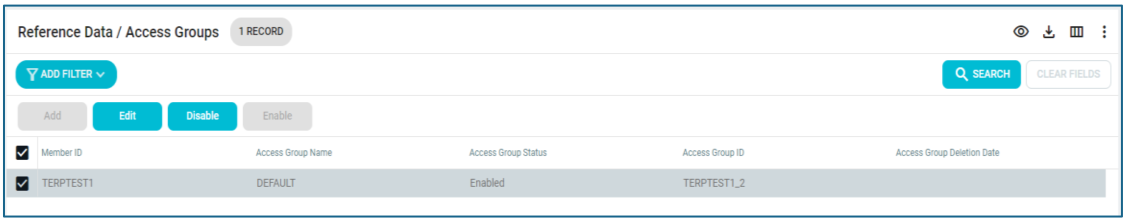
1. On the **Access Groups** page, select the check box next to the row of the access group you want to edit.
2. Click **Edit**. A dialog box appears.



3. Enter appropriate values.
4. Click **Save**.

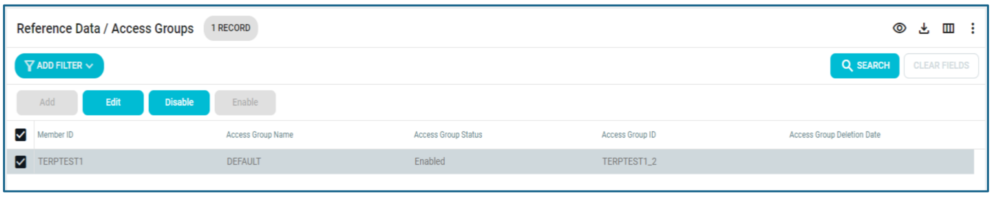
To enable an Access Group:

1. On the **Access Groups** page, select one or more access groups (with Status Disabled) by selecting the check box next to their row.
2. Click **Enable**. A confirmation window appears.
3. Click **Yes**.



To disable an Access Group:

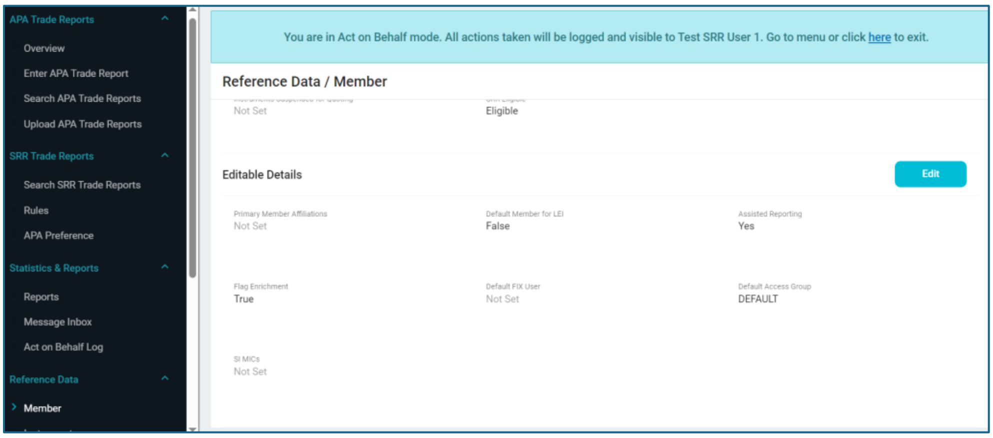
1. On the **Access Groups** page, select one or more access groups (with Status Enabled) by selecting the check box next to their row.
2. Click **Disable**. A confirmation window appears.
3. Click **Yes**.

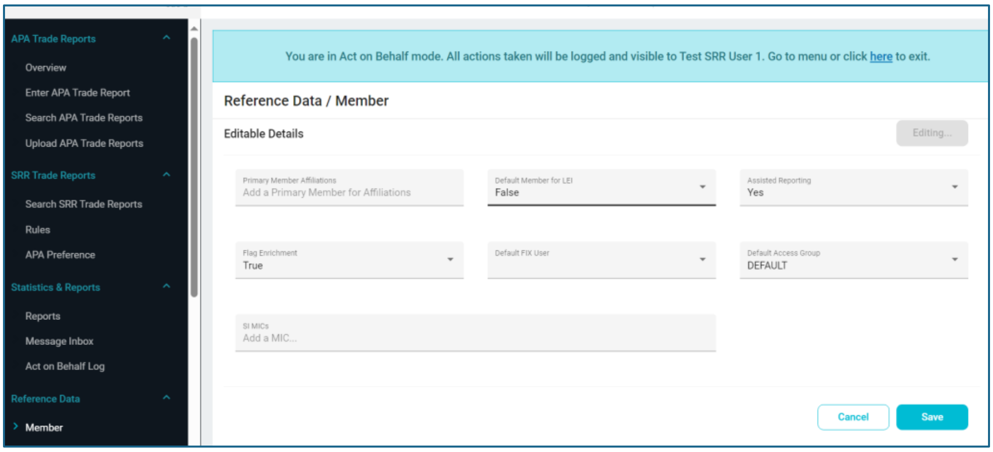


To set an Access Group as Member Default:

Users can set a default access group for a member via the Member details page. To set a default access group:

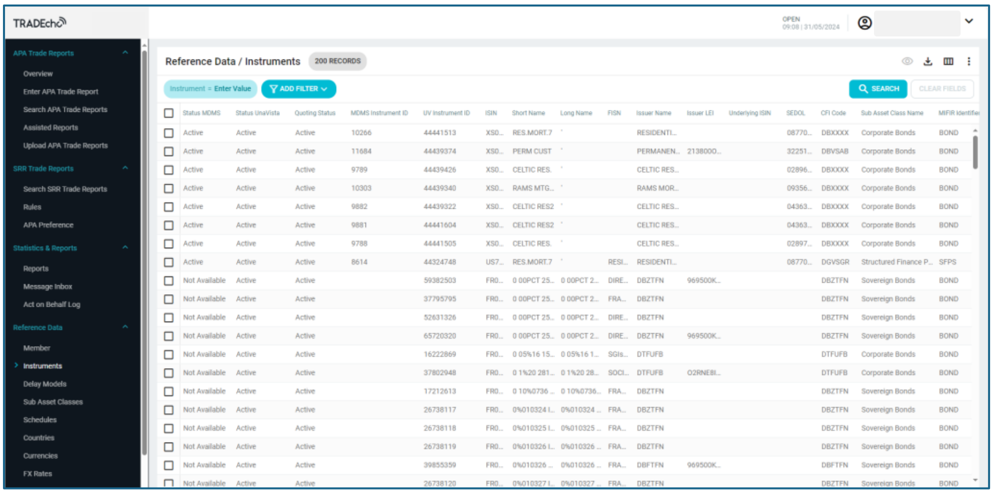
1. Navigate to **Member** page to view member details.
2. Click **Edit.**
3. Select the intended **Default Access Group.**
4. Click **Save.**


APA Trade Reports
Overview
Enter APA Trade Report
Search APA Trade Reports
Upload APA Trade Reports
SRR Trade Reports
Search SRR Trade Reports
Rules
APA Preference
Statistics & Reports
Reports
Message Inbox
Act on Behalf Log
Reference Data
Member
You are in Act on Behalf mode. All actions taken will be logged and visible to Test SRR User 1. Go to menu or click here to exit.
Reference Data / Member
Not Set
Eligible
Editable Details
Edit
Primary Member Affiliations
Not Set
Default Member for LEI
False
Assisted Reporting
Yes
Flag Enrichment
True
Default FIX User
Not Set
Default Access Group
DEFAULT
SI MICs
Not Set


APA Trade Reports
Overview
Enter APA Trade Report
Search APA Trade Reports
Upload APA Trade Reports
SRR Trade Reports
Search SRR Trade Reports
Rules
APA Preference
Statistics & Reports
Reports
Message Inbox
Act on Behalf Log
Reference Data
Member
You are in Act on Behalf mode. All actions taken will be logged and visible to Test SRR User 1. Go to menu or click here to exit.
Reference Data / Member
Editable Details
Editing...
Primary Member Affiliations
Add a Primary Member for Affiliations
Default Member for LEI
False
Assisted Reporting
Yes
Flag Enrichment
True
Default FIX User
Default Access Group
DEFAULT
SI MICs
Add a MIC...
Cancel
Save

7 Reference Data

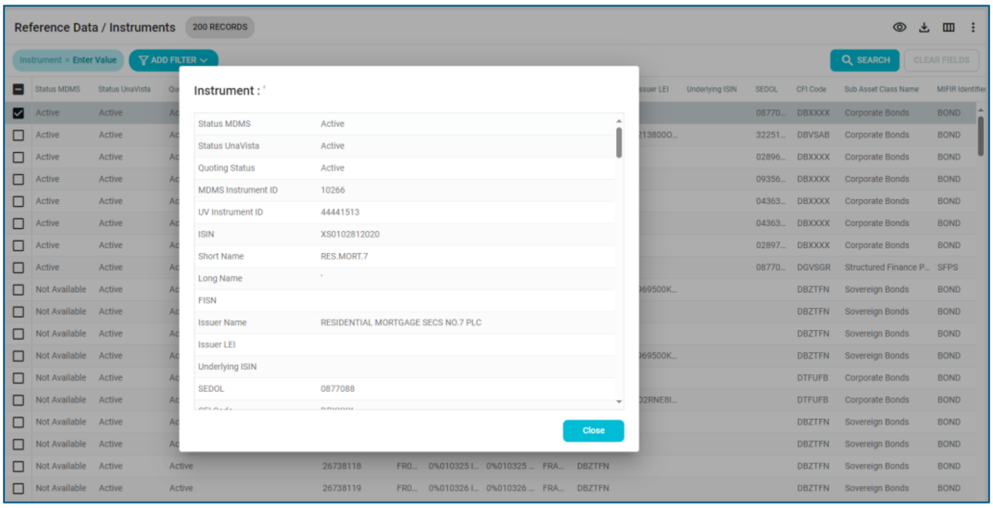
Reference data is managed from the pages under **Reference Data** on the side menu.



7.1 Instruments

The user can view instruments from the **Instruments** page. To view the details of the instruments:

1. On the **Instruments** page, search for instruments
2. In the table showing instruments, select a check box to the left of a row.
3. Click **View Details**. A dialog box appears.



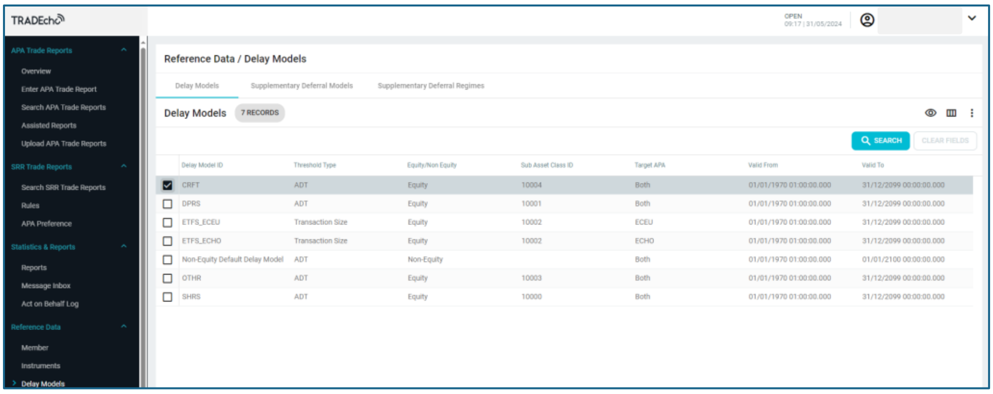
7.2 Delay Models

7.2.1 Delay models

On the **Delay Models** page, users can find information about the delay models that decide the deferral rules. To view Delay models details:

1. On the **Reference Data / Delay Models** page, in **Delay Models** tab, the table showing delay models, select the check box for the model.

2. Click A dialog box with details appears.

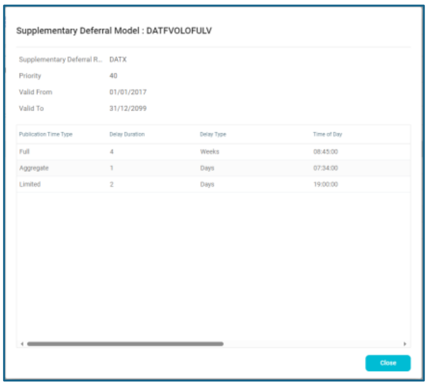


7.2.2 Supplementary deferral models

The supplementary deferral models can be viewed from the **Delay Models** page, on the **Supplementary Deferral Models** tab. To view the supplementary deferral model details:

1. On the **Delay Models** page, on the **Supplementary Deferral Models** tab, in the table showing supplementary deferral models, select a check box for the model.

2. Click . A dialog box with the details appears.

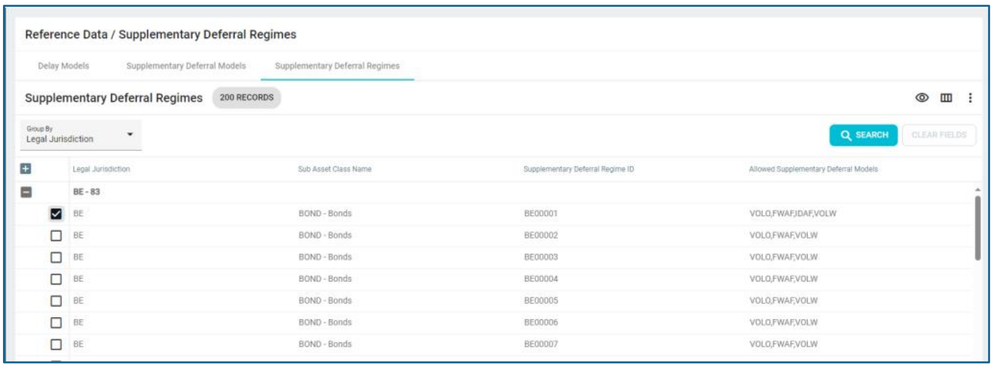


7.2.3 Supplementary deferral regimes

The supplementary deferral regimes can be viewed from the **Delay Models** page, on the **Supplementary Deferral Regimes** tab. To view the Supplementary Deferral Regimes details:

1. On the **Delay Models** page, on the **Supplementary Deferral Regimes** tab, in the table showing supplementary deferral regimes, select a check box to the left side of a row.

2. Click A dialog box appears.

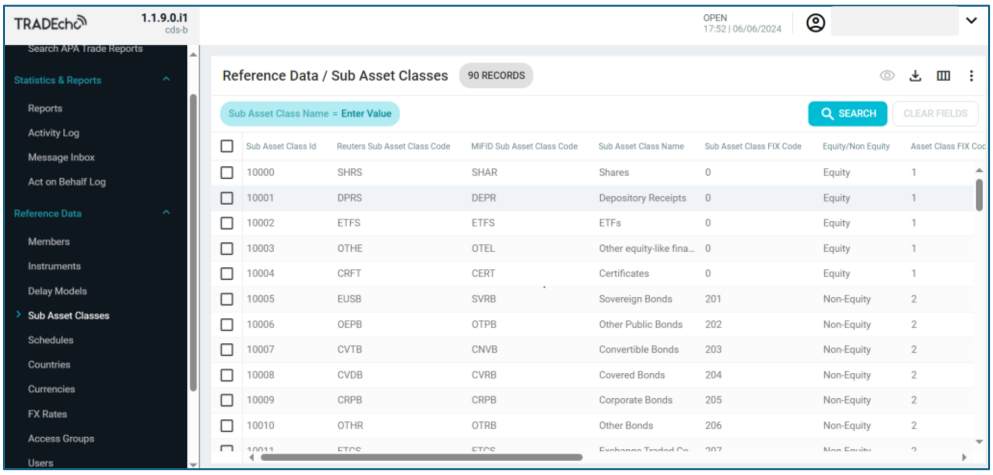


Note: Users can group the regimes by different attributes. By default, they are grouped by country. Click **Grouping by Country** and select another attribute to change the grouping in the table.

7.3 Sub Asset Classes

Users can view details on sub asset classes from the TRADEcho web portal. Sub Asset Class entity is associated with the instruments, and it provides further information about the asset class of the instrument. To view sub asset classes:

1. On the **Sub Asset Class** page, perform a search for Sub Asset classes.

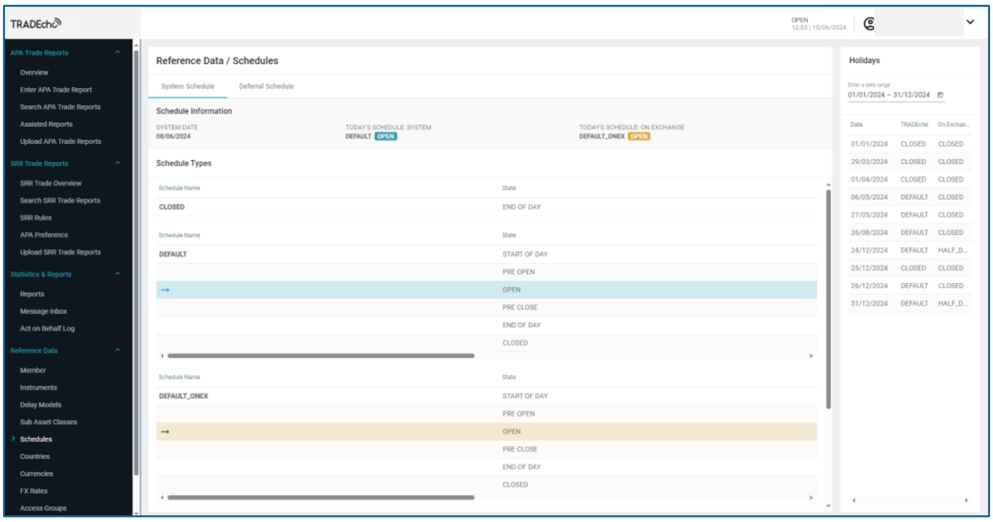


7.4 Schedules

Information on schedules of system and On Exchange, TRADEcho holidays and system states can be viewed on the **Reference Data / Schedules** page.

7.4.1 System Schedule

The client can see today's schedule for the OTC/SI and On Exchange venue in a quick-look table. It also shows all other schedules that exist in the system and their states presented in a table and highlighted with two color-coded arrows. The state transition is auto refreshed on the page to align with current time.



The following schedules/ states exist:

State	Description
START OF DAY	No users can access the system. No quotes or trade reports are accepted.
PRE OPEN	System admins can enter the system.
OPEN	All users can access the system.
PRE CLOSE	System is available for quoting. System is **not** available for trade reporting. All users can access the system.
END OF DAY	No users can access the system.
CLOSED	No users can access the system. No quotes or trade reports are accepted.

7.4.2 Deferral schedules

Deferral information for specific countries or markets can be viewed from the **Deferral Schedule** tab. To view deferral schedules:

1. On the **Schedules** page, on the **Deferral Schedule** tab, type a country or a market to search for.
2. Click on the name of the country or market, or press **Enter**.

The schedule times for the selected country and market are shown.

7.5 Countries

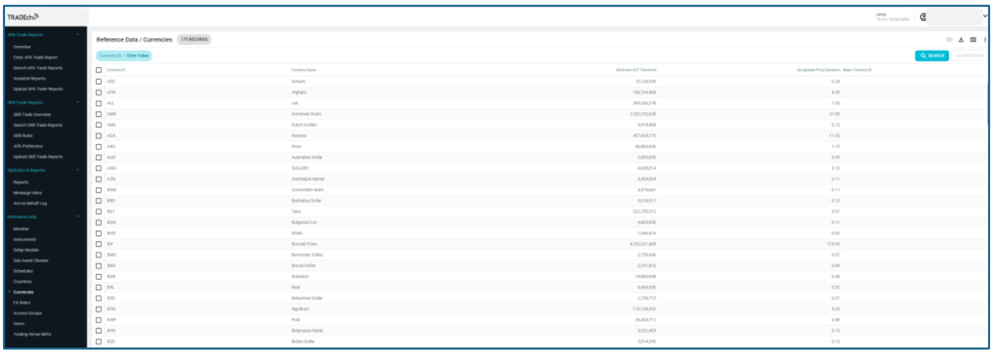
The countries available in TRADEcho can be viewed from the **Countries** page. To view countries:

1. In the **Countries** page, perform a search for countries. The countries are displayed in a table with IDs and names of the country.

7.6 Currencies

The currencies used in TRADEcho can be viewed from the **Currencies** page. To view currencies:

1. On the **Currencies** page, perform a search for currencies. The currencies are displayed in a table with IDs and names of the currency with Minimum ADT Threshold and Acceptable Price Deviation.

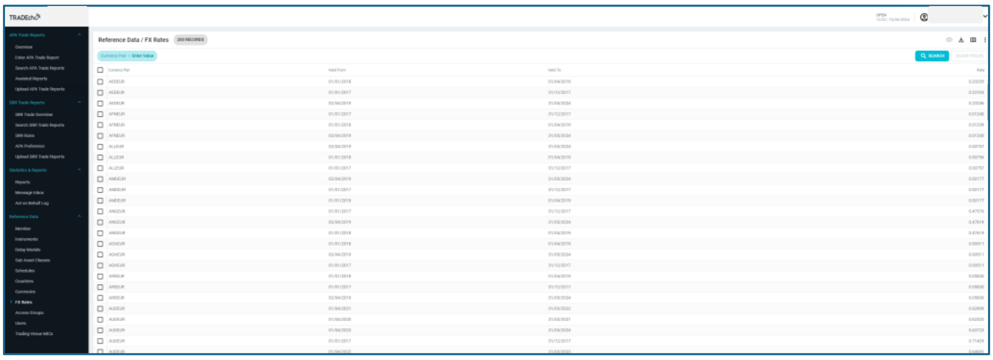


7.7 FX rates

Users can view FX rates (used for price validation) and ESMA FX rates (used for deferral validation) from the TRADEcho web portal.

To view FX rates:

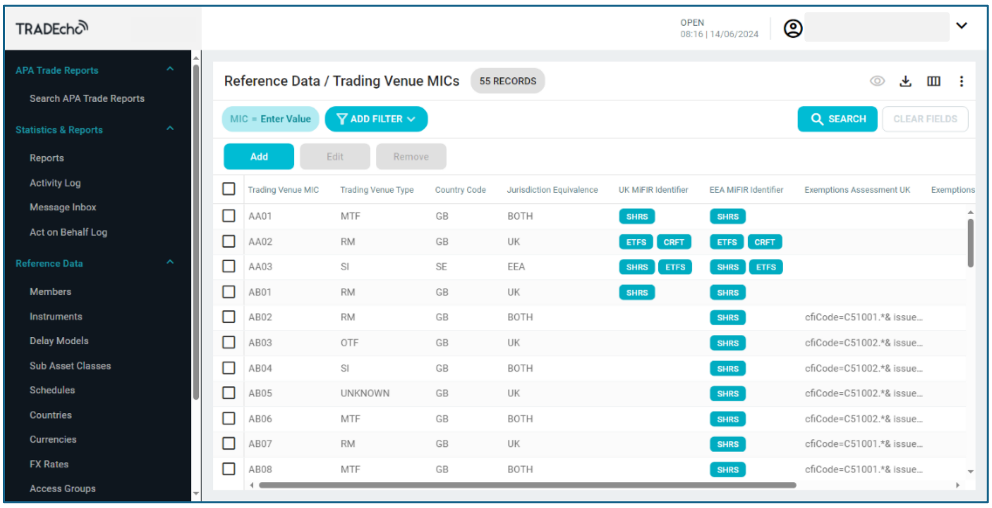
1. On the **FX Rates** page, perform FX search. The FX rates will get displayed in a table.



7.8 Trading Venues MICs

The user can view Trading Venues MICs from the TRADEcho web portal:

1. On the **Trading Venues MICs** page, perform a search



7.9 Designated Firms

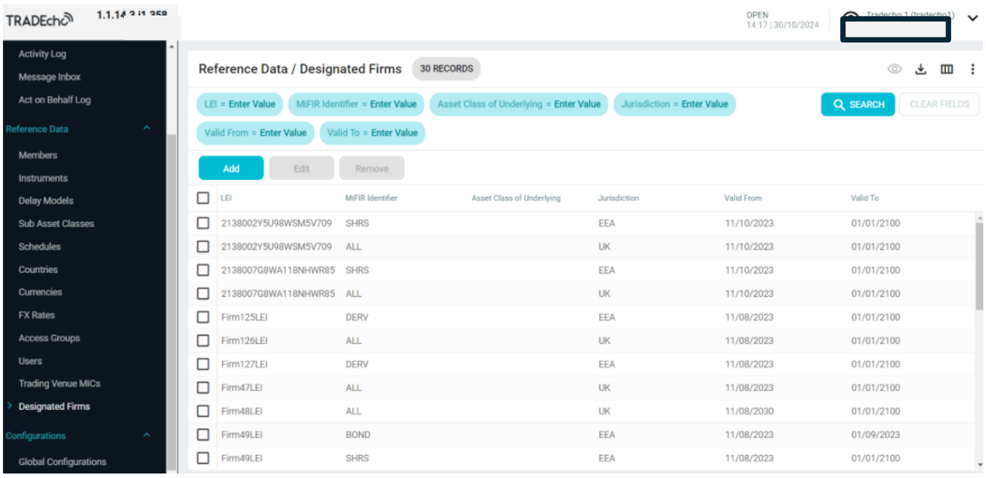
This functionality will allow users to view and manage (add, edit and delete) the designated reporters available in the system.

7.9.1 View Designated Firms

Users can search and view the Designated Firms using the **Reference Data / Designated Firms**.

1. Enter search criteria.
2. Click **Search**.

Only the fields marked as "Y" in the 'Available by Default' column will be available to filter by default. Other fields can be added using the 'Add Filter' feature:

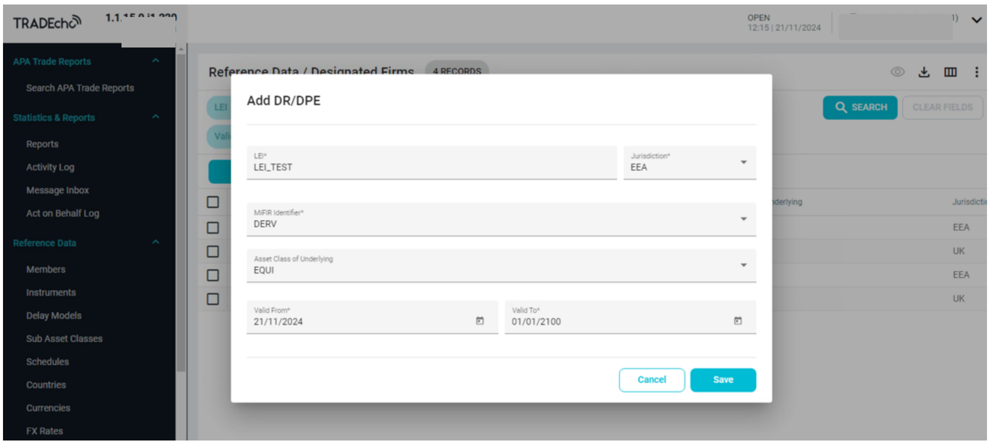


Access privilege to perform **Add**, **Edit** and **Remove** Designated Firms will be given to the following user roles (Add, Edit and Remove button will only be visible to users in these user roles)

- System Admin
- Equity Ops

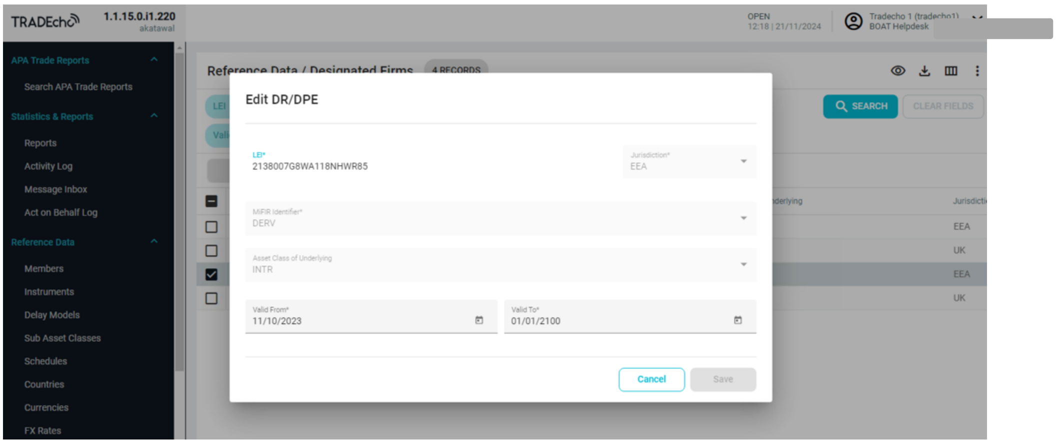
7.9.2 Add Designated Firms

1. On the **Reference Data / Designated Firms** page, click **Add.** A pop-up window opens.
2. Enter correct information in all mandatory fields (*) and click **Save.**



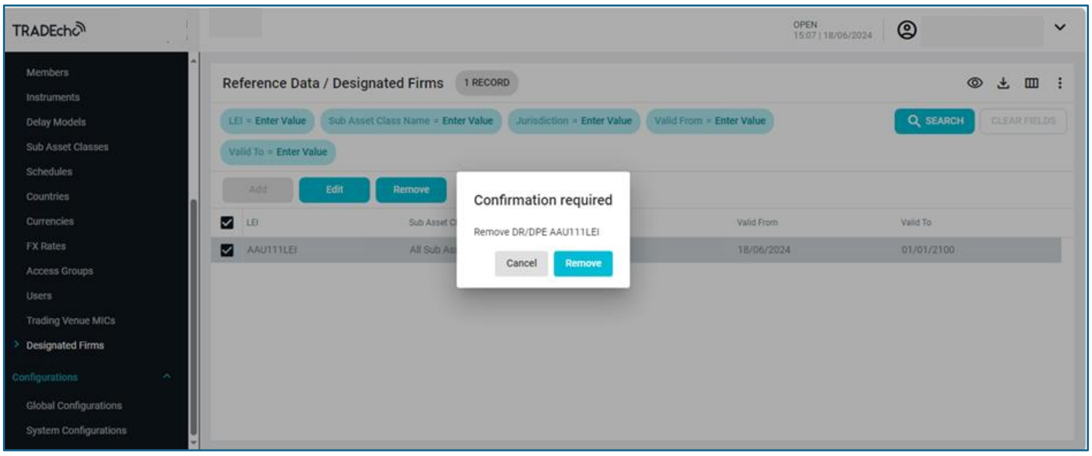
7.9.3 Edit Designated Firms

1. On the **Reference Data / Designated Firms** page, select a DR/DPE and click **Edit.** A pop-up window opens.
2. Edit correct information in all mandatory fields (*) and click **Save.**



7.9.4 Remove Designated Firms

1. On the **Reference Data / Designated Firms** page, select a DR/DPE and click **Remove.** A confirmation window opens.
2. Click **Save.** To discard changes, **click Cancel.**

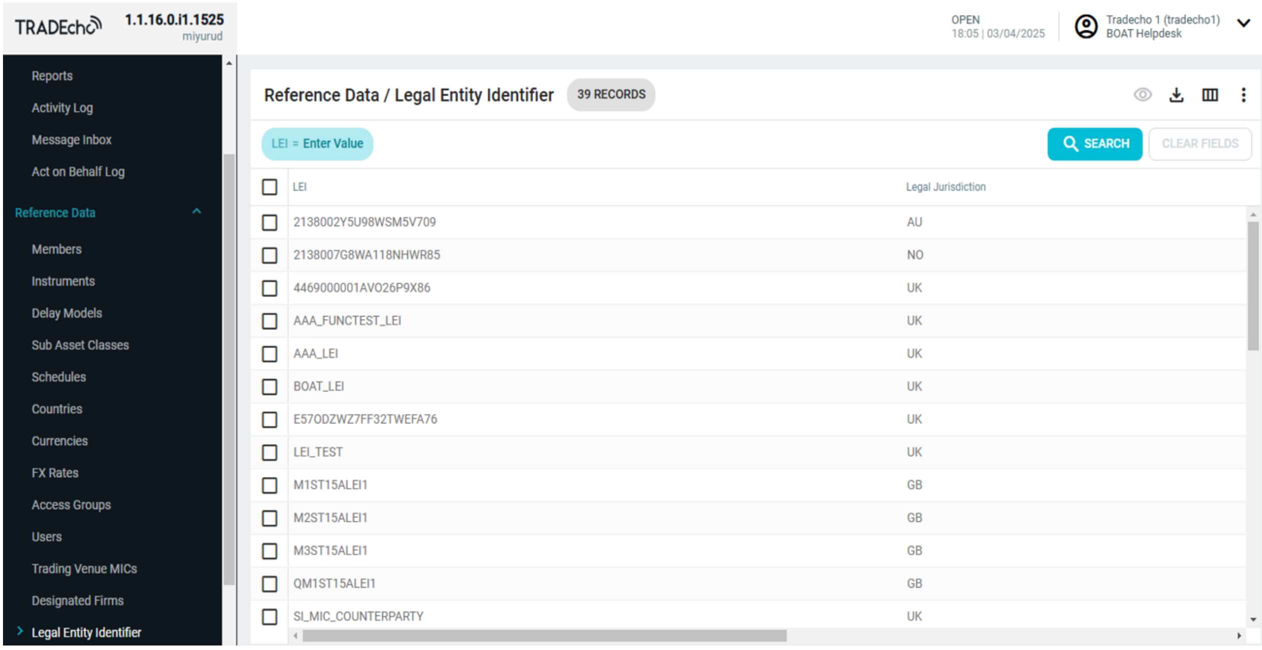


It is not possible to remove Designated Firms from the reference data intraday. When the user clicks on the 'Remove' button in the confirmation window, there will be a pop-up window with the following message; **Failed to remove DR/DPE**.

7.10 Legal Entity Identifier

This functionality will allow users to view Legal Entity Identifies (LEIs) available in the system.

When navigating to new Legal Entity Identifier, upon pressing the Search button, system will query for all LEIs :



8 General features

Some features of TRADEcho Trade Reporting System can be performed from most pages. These features include managing user preferences, changing passwords, searching, and exporting data.

8.1 User preferences

The user can manage their own preferences, such as changing name, phone number and password through the **User Details** screen.

To change user preferences:

1. On the top menu, do one of the following:
   - Hover on your username.
   - Next to username, click the menu button (⌄) and click **Preferences**. The **User Details** page appears.
2. Click **Edit** and make your changes.
3. Click **Save**.

8.2 Data Search

8.2.1 Search Screens

TRADEcho allows users to search for data on the following screens:

1. APA Trade Reports: **Search APA Trade Reports**, **Assisted Reports**
2. SRR Trade Reports: **Search SRR Trade Reports** *(for SRR Users only)*, **Rules** *(for SRR Users only)*
3. Act on Behalf Log
4. Reference Data – **Instruments**, **Sub Asset Classes**, **Countries**, **Currencies**, **FX Rates**, **Access Groups**, **Users**, **Trading Venue MICs**.

8.2.2 Search Controls

Every Search Screen has the following layout:

1. Attributes:
   The screens allow users to enter attributes for their data search. The search parameters available to select varies on every screen. The user will be able to select the search parameters via 

2. Controls:

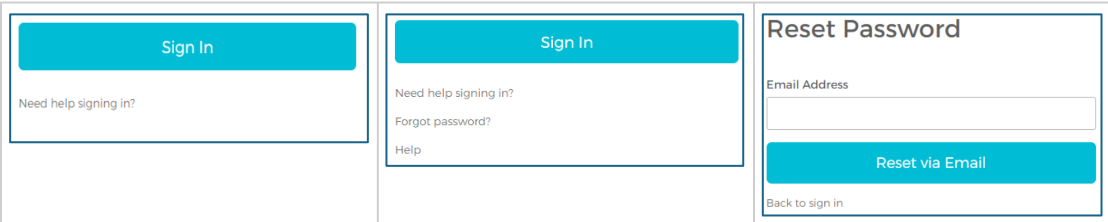
Symbol/Button	Label	Description/ Function

	View Details	Clicking on this control would open a window displaying details of the row chosen.
	Export	Clicking on this control would export details of the selected rows in the csv format.
	Columns Visibility	Clicking on this control allows the user to select the columns to be displayed on the main display.
	User Preferences	Clicking on this control allows the user to save/clear the display preferences for the search function.
SEARCH	Search	Clicking on this control would display search results as per the parameters chosen.
CLEAR FIELDS	Clear Fields	Clicking on this control would clear the search parameters chosen.

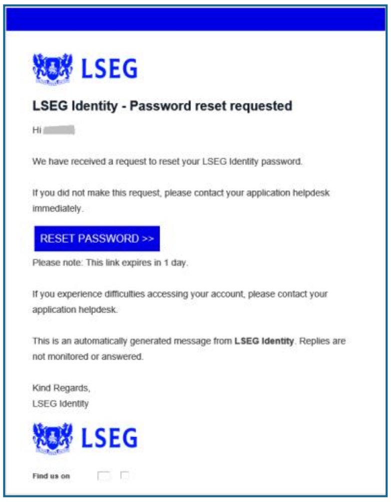
8.3 Reset Password

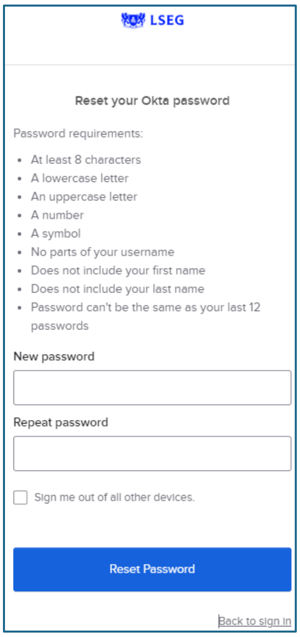
If you have forgotten your password, have been locked out of the TRADEcho web portal or are a first-time login user, click **Need help signing in?** on the **Login Page**.

The page will give you additional options. Click **Forgot Password?** and the Reset Password window will be opened. Enter your registered email address and click **Reset via Email**. You will receive an email from *noreply@identity.lseg.com* to your registered email address.



Click the RESET PASSWORD >> button on the email to be directed to the Okta LSEG Identity page where users can enter a new password to reset your LSEG Identity password. An email will be sent to you by *noreply@identity.lseg.com* confirm that your password has been changed.





Alternatively, to resetting your password by your own, you could request your member administrator user to do it for you. See Reset Password by Member Administrator for how a member admin can do this.

8.4 Reset Password by Member Administrator

To reset the password of a user in your firm, navigate to the Users window.

Note: Any password resets done on TRADEcho will change your LSEG Identity password which means that your new password will apply to all LSEG applications that utilize LSEG Identity. This is the concept of single sign on that allows you to use a single email address and password to login to multiple LSEG applications.

Password settings

Description	Value
Minimum password length	**8**
Maximum password length	**14**
Minimum number of numeric characters	**1**
Minimum number of letters (A-Z or a-z)	**1**
Minimum number of special characters	**1**
Allowed special characters	**!"#$%&'()*+,-./:;<=>?@[\]^_`{|}~**
Number of calendar days that a password is valid	**60**
Number of days before a password is set to expired that the system notifies the user	**5**

Number of password changes before the same password can be reused	**5**
Number of failed logon attempts before a user is locked	**5**