

Trade Processor

User Guide

Worldwide Technical Support and Product Information

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Introduction to Trade Processor

Welcome to the Trade Processor! The Trade Processor is Nirvana Systems' powerful tool for total automation of your OmniVest Account.

The Trade Processor has the following goals:

- **Automation of OmniVest Trades**—Connect the Trade Processor to the OmniVest account you want to trade and directly to your brokerage account and leave it running. Set the Trade Processor for Automatic Trading and it will send opening and closing orders between the times you designate.
- **Monitor your Positions**—View and manage your orders and positions using the Trade Processor.

This guidebook is designed to help you set up the Trade Processor and fully understand the functionality with each supported broker. Nirvana Systems strongly recommends that you study the complete information in this document before using Trade Processor. Once you have a thorough understanding of the power of this program, you will be ready to use it to trade your OmniVest account.

Getting Started with Trade Processor

Installing the Trade Processor

Before you can begin using the Trade Processor, you must install it.

Installing the Trade Processor

To install Trade Processor, you will need to be connected to the internet.

1. Go to <http://myomninvest.com/Trades/TPUpdate.aspx>
2. Click on the download link.
3. You will have the choices **Run** and **Save this program to disk**. (The program does not have to be saved to install but if you choose to save the file prior to installation, navigate to the folder on your computer you would like to save the installation to and click **Download**.) Otherwise, select the **Run** option.
4. Follow the on-screen instructions for installation.

Brokerage Client Installations

Interactive Brokers requires that a separate connection is active in addition to the Trade Processor. You may need a specific version of the client software.

Please visit <https://www.nirvanasystems.com/intbrokerclientinstalls/> and install the most recent client version.

Gxtrader and the Trade Processor

The Trade Processor can be set up to send trades directly from your selected OmniVest account to your funded Gxtrader account in one of two ways. The Trade Processor can be run as a client version from your machine or from the OmniVest Trade Processor servers. This chapters describes configuring the Trade Processor to run as the client version. Please refer to Chapter 9 for information on running the server version.

This chapter provides information on configuring the Trade Processor to connect to and trade your Gxtrader account. This chapter also includes special instructions and limitations you may experience using your Trade Processor with Gxtrader.



Note This chapter is specific to Gxtrader and does not provide information on connecting to other supported brokers.

Connection Settings for GXT

Follow these instructions to connect the Trade Processor to your Gxtrader account:

1. On initial startup, the Connection Settings form will automatically display in two separate forms - one for the OmniVest Account settings and another for the Gxtrader Account settings.

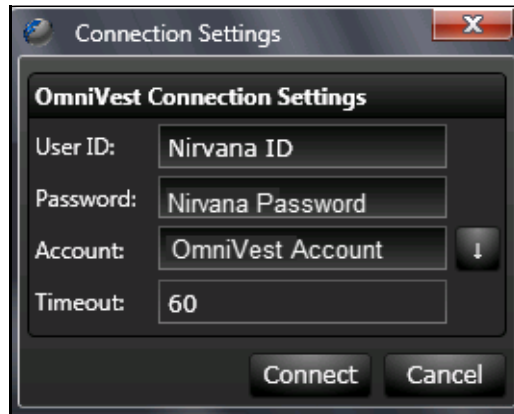


Figure 3-1. OmniVest Connection Settings Window

2. Enter your OmniVest User ID & Password (This should be the same as your Nirvana User ID and password.).
3. Click the down arrow button to download your OmniVest account names or type in the OmniVest account name exactly as it appears on the website.
4. Select the OmniVest account you want to connect to for trading. If none exist, an OmniVest account will need to be created on the OmniVest web site.
5. Click **Connect**.

Next, the connection settings dialog box for the broker will appear on the screen.

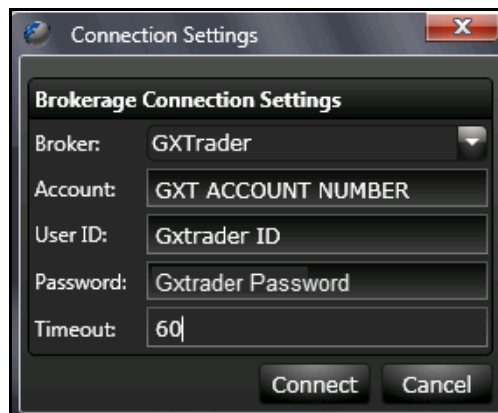


Figure 3-2. Broker Connect Settings Window

1. Select Gxtrader as the broker.
2. Enter the Gxtrader account number.
3. Enter the Gxtrader user ID.
4. Enter the Gxtrader password.
5. Click Connect.

When the Trade Processor makes the connection to both OmniVest and the brokerage account, it is indicated in the bottom right corner of the Trade Processor. The OmniVest account name and Gxtrader account number for the accounts you are connected to will be displayed on the active bar at the top of the Trade Processor.

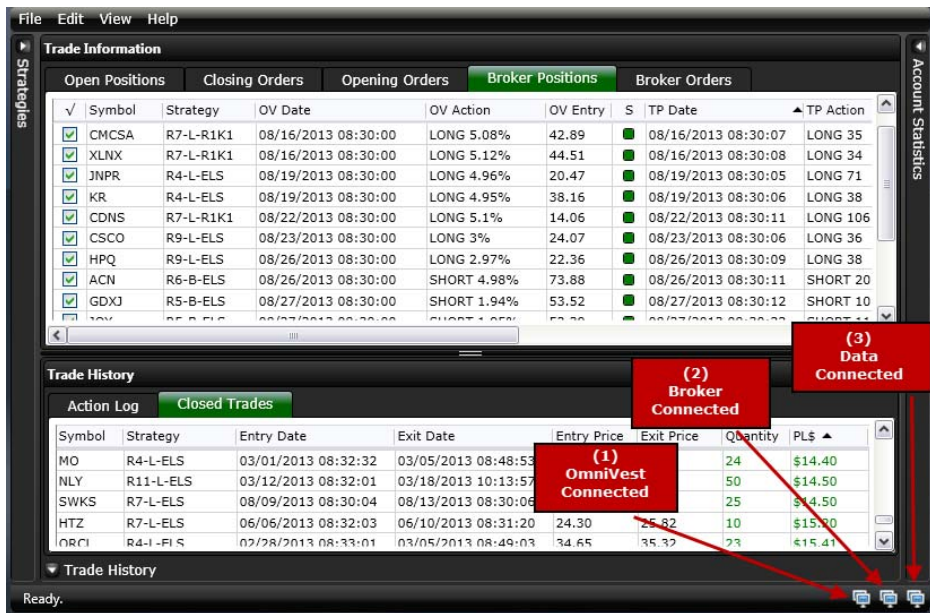


Figure 3-3. Trade Processor Connection Made to OmniVest and Gxtrader.

If the connection cannot be made, the Trade Processor will display a red X in place of the computer.

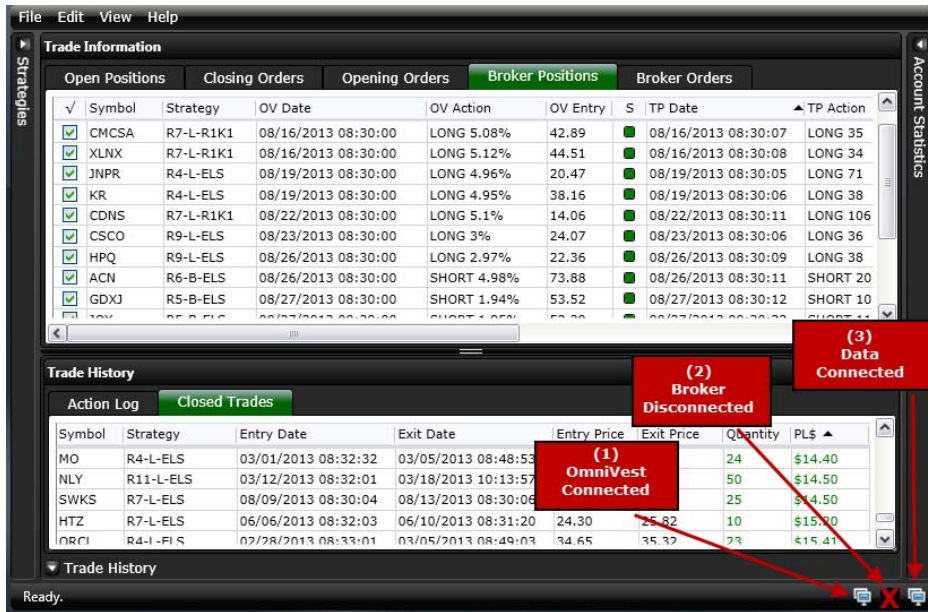


Figure 3-4. Trade Processor Connected to OmniVest but Disconnected from the Broker

If one or both connections cannot be made, click **Edit>Connection Settings** and reenter your login credentials.

Trade Settings

The function of Trade Settings is to determine when and how trading will occur. Configure the times for trading, whether it will trade manually or automatically, order types, maximum exposure and more.

To load the Trade Settings window click **Edit>Trade Settings**.

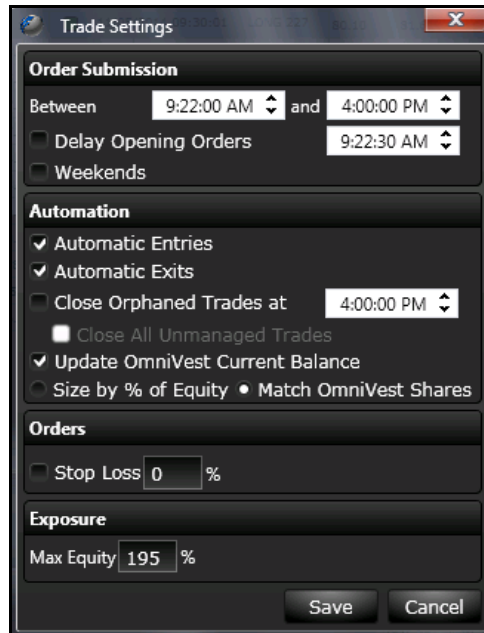


Figure 3-5. Trade Settings Window

The Trade Settings options and related information are as follows. Some settings are broker specific.

Order Submission

The Order Submission times are the times during which the Trade Processor will submit automatic or manual orders. The times used are always based on the Eastern time zone.

While between the order submission times, any checking or unchecking of orders will be processed immediately.

While outside the order submission times, checking or unchecking orders will appear not to do anything. This is intended. Once the order submission times are hit, the Trade Processor will process the manually checked or unchecked orders.

Leave the Weekends option unchecked for Gxtrader. As of this publication, GXT rejects all orders placed on the weekends.

Order Submission Settings

- **Between**—Set the trading start time using the Eastern time zone.
- **And**—Set the trading end time fusing the Eastern time zone.
- **Weekends**— When the Weekends option is selected, users may submit orders to the broker on Saturday and Sunday to be held until the designated trading times. This option should not be checked when using Gxtrader.

Delay Opening Orders—Allows the opening orders to be submitted as soon as equity is freed from the execution of closing orders. It will do so up to the specified time. Ultimately you will see the same executed orders (closing and opening), but with an improved execution time on opening orders. Make sure that your Max Equity setting under **Edit>Trade Settings** is less than or equal to your broker account's buying power. For example, a cash account that is dedicated only to OmniVest should be set no higher than 100%.

Automation

The Automation settings determine if entry and exit orders are to be processed automatically or not. If the automatic option(s) are not selected, only manual orders will be processed.

Automation Settings

- **Automatic Entries**—Opening orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.
- **Automatic Exits**—Closing orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.
- **Close Orphaned Trades at**—Enable this option to close any orphaned positions on the Broker Positions tab at the time you designate each day. An orphaned trade is a trade that has missed its closing order. The OmniVest Strategy will still be shown, but under the OmniVest Action column the words "No Position" will be displayed. This may benefit those that are trading into the same broker account outside the Trade Processor so as not to close Unmanaged Positions, but still close a trade that has missed a closing order.
- **Close All Unmanaged Trades**—Enable this option to close all "Unmanaged" Positions as well as orphaned positions on the Broker Positions tab at the time you

designate each day. This option is greyed out unless Close Orphaned Trades is enabled.

- **Update OmniVest Current Balance**—Enable this option to send current account equity to the account in OmniVest.
- **Size by % of Equity**—Allows trade size to scale according to account equity.
- **Match OmniVest Shares**—Instead of using QTY% to determine the share size, it uses the exact number of shares from OmniVest.

Orders

Orders on the Opening and Closing Orders tabs are automatically converted to the correct order type according to the time they are submitted to the broker. Gxtrader accepts Market on Open orders between 9:00 am and 9:28 am Eastern. Orders placed after that time, within market hours are automatically converted to Market Orders.

- **Stop Loss**—When enabled, all new trades will also submit a stop loss broker order for the percentage set from the entry price. If that level is hit at the broker, the position will exit rather than waiting for an OmniVest closing order. Stop loss orders may be viewed in the Broker Orders tab or in the Stop Loss column.

Exposure

Max Equity is a fail-safe. The Trade Processor calculates the exposure as the total equity of open broker positions minus the equity that is expected to be freed by closing orders. It will only allow new opening orders on symbols where the expected investment will not exceed the specified Max Equity setting.

- **Max Equity%**—Specify the maximum equity that can be used by the Trade Processor.

Ordering Methods with Gxtrader

There are two methods for setting up the Trade Settings window when using Gxtrader. You should determine which method to use according to when you plan to run the Trade Processor.

Method 1: Market on Open Orders

Use method one when the orders will be submitted prior to market open.

1. Set the order submission start time between 9:00 and 9:28am Eastern time. GXTrader only accepts Market on Open orders between 9:00am & 9:28am Eastern.



Note GXTrader does not receive easy to borrow lists for shorts until 9:15am ET. So if you are trading shorts, we recommend setting your order submission start time to 9:20am ET.

2. GXTrader cannot receive any orders after market close, so set your order submission end time to no later than 4:00pm ET.
3. Start the Trade Processor prior to the time set in step 2.

Method 2: Market Orders

Use method two for submitting market orders.

1. Set Order Submission start (Between) time to a time within 9:00am ET and 10:00am ET. Market orders can be submitted anytime after 9:00am ET.



Note It is typical to set the order submission start time to occur after market open, for example 9:30am or 9:31am ET.



Note GXTrader does not receive easy to borrow lists for shorts until 9:15am ET. So if you are trading shorts, we recommend setting your order submission start time to 9:20am ET.

2. GXTrader cannot receive any orders after market close, so set your order submission end time to no later than 4:00pm ET.
3. Start the Trade Processor prior to the time set in step 2.

Things You Should Know About Using Gxtrader

- Market on Open orders can only be placed between 9:00am & 9:28am Eastern. "Fill prices vary based on conditions that are not always reflected."
- Demo accounts are not currently available with Gxtrader.
- GXTrader does not receive hard to borrow lists for shorts until 9:15am ET, so short orders submitted before this time will be rejected.

Holding Company Depository Receipts or HOLDRs:

This is a type of ETF marketed by Merrill Lynch. Unlike other ETFs, HOLDRs can only be bought & sold in 100 share increments. Additional information may be found Here (http://www.amex.com/holders/eductn/Hr_Edu_Faq_Static.html).

Here is a list of HOLDRs symbols:

BBH
BDH
BHH
EKH
HHH
IAH
IIH
MKH
OIH
PPH
RKH
RTH
SMH
SWH
TTH
UTH
WMH

Interactive Brokers and the Trade Processor

The Trade Processor can send trades directly from your selected OmniVest account to your funded Interactive Brokers account.

This chapter provides information on configuring the Trade Processor to connect to and trade your IB account. This chapter also includes special instructions and limitations you may experience using your Trade Processor with Interactive Brokers.



Note This chapter is specific to Interactive Brokers and does not provide information on connecting to other supported brokers.

Getting Started

Interactive Brokers requires that a separate connection is active in addition to the Trade Processor. There are two platforms that will maintain this connection with IB while using the Trade Processor: Trader Workstation (TWS) or IB Gateway. This section details both, so you can decide which will work best for you.

Trader Workstation

Running the Interactive Brokers Trader Workstation is one way to maintain the connection. The Trader Workstation or TWS as we will refer to it here, is IB's desktop trading application.

Please visit <https://www.nirvanasystems.com/intbrokerclientinstalls/> to install the correct client version of TWS.

In order to run the TWS with the Trade Processor, you will need to make some slight adjustments to the TWS application.

Configuring the Trader Workstation

1. Open Trader Workstation.
2. Select **Edit>>Configuration** (or click the **Configure** button).
3. Select **API>>Settings**.
4. Check **Enable ActiveX** and **Socket Clients**.
5. Uncheck **Read-Only API**.
6. Set the **Socket Port** to 7496. (Or any number that matches the Socket Port setting in the Trade Processor Connection Settings window.
7. Under Trusted IP Addresses, click **Create** and add 127.0.0.1 if it isn't already listed.
8. Select **API>>Precautions**.
9. Check **Bypass Order Precautions for API Orders**.
10. Click **OK** to save.

IB Gateway

The IB Gateway method is necessary if you plan to leave the Trade Processor running and connected to IB overnight.

The IB Gateway provides a low-resource alternative to TWS for connecting to the IB trading system via the API. The gateway uses approximately 40% fewer system resources than TWS. However, the gateway is GUI-less, which means that you cannot view the API activity as you can when running TWS. The other benefit of using IB Gateway is that it does not close and will remain connected during IB's nightly server resets. It installs with TWS and is available in the Interactive Brokers Start Menu.

Configuring the IB Gateway

1. Open IB Gateway.
2. Select **IB API** and enter your login settings.
3. Click **Configure>>Settings**.
4. Select **API>>Settings**.
5. Uncheck **Read-Only API**.
6. Set the **Socket Port** to 7496. (Or any number that matches the Socket Port setting in the Trade Processor Connection Settings window.

7. Under Trusted IP Addresses, click **Create** and add 127.0.0.1 if it isn't already listed.
8. Select **API>>Precautions**
9. Check **Bypass Order Precautions for API Orders**.
10. Click **OK** to save.

Connection Settings for Interactive Brokers

Once the TWS or IB Gateway is properly configured to connect to IB, you will need to set up the Trade Processor.

Follow these instructions to connect the Trade Processor to your IB account:

1. On initial startup, the Connection Settings form will automatically display in two separate forms - one for the OmniVest Account settings and another for the IB Account settings.



Figure 4-1. OmniVest Connection Settings Window

2. Enter your OmniVest User ID & Password (This should be the same as your Nirvana User ID and password.).
3. Click the down arrow button to download your OmniVest account names or type in the OmniVest account name exactly as it appears on the website.
4. Select the OmniVest account you want to connect to for trading. If none exist, an OmniVest account will need to be created on the OmniVest web site.
5. Click **Connect**.

Next, the connection settings dialog box for the broker will appear on the screen.

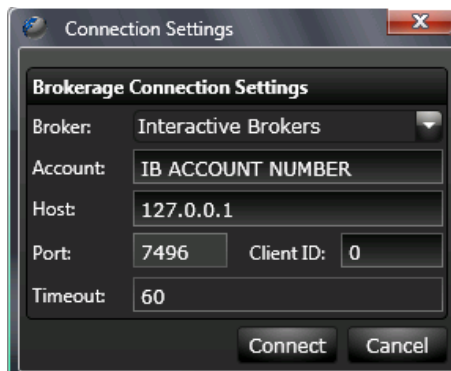


Figure 4-2. Broker Connect Settings Window

1. Select Interactive Brokers as the broker.
2. Enter the IB account number.
3. Click Connect.

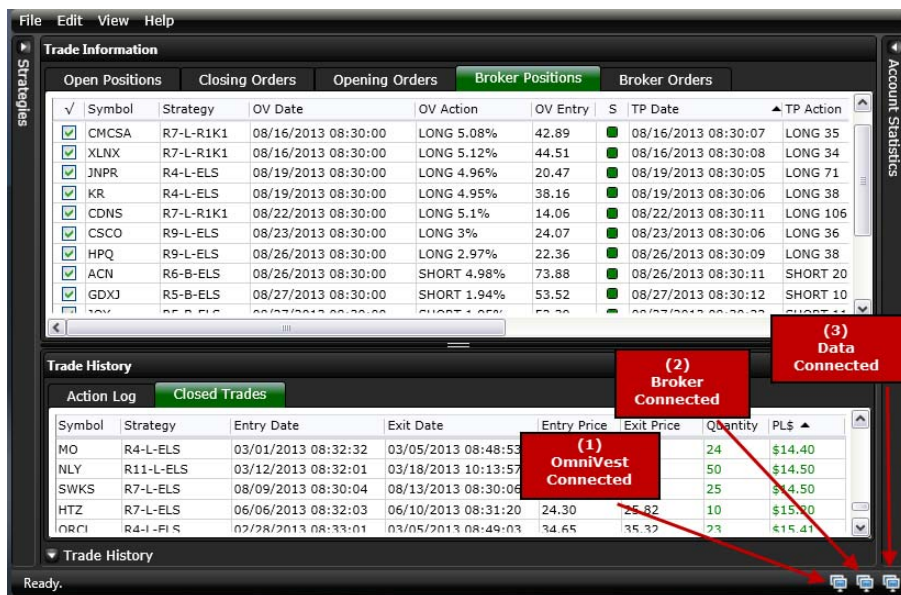


Figure 4-3. Trade Processor Connection Made to OmniVest and IB.

If the connection cannot be made, the Trade Processor will display a red X in place of the computer.

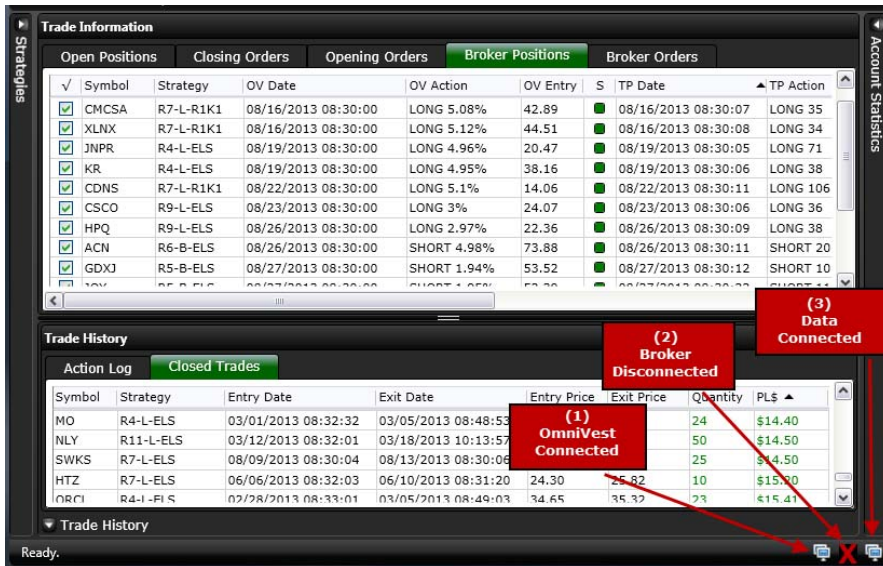


Figure 4-4. Trade Processor Connected to OmniVest but Disconnected from the Broker

If one or both connections cannot be made, click **Edit>>Connection Settings** and reenter your login credentials or account number.

Trade Settings

The function of Trade Settings is to determine when and how trading will occur. Configure the times for trading, whether it will trade manually or automatically, order types, maximum exposure and more.

To load the Trade Settings window click **Edit>>Trade Settings**.

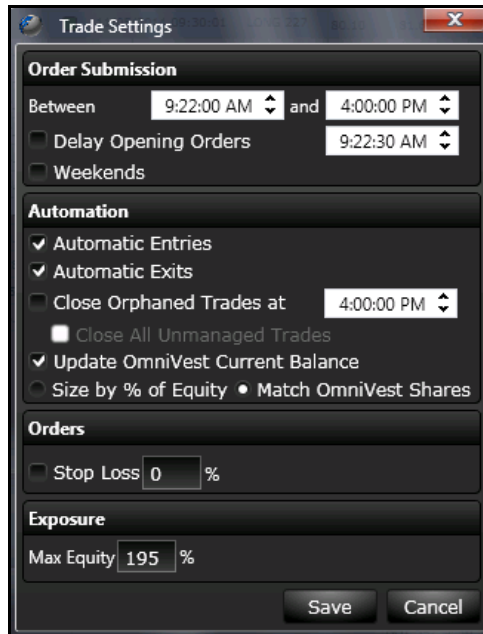


Figure 4-5. Trade Settings Window

The Trade Settings options and related information are as follows. Some settings are broker specific.

Order Submission

The Order Submission times are the times during which the Trade Processor will submit automatic or manual orders. The times used are always based on the Eastern time zone.

While between the order submission times, any checking or unchecking of orders will be processed immediately.

While outside the order submission times, checking or unchecking orders will appear to not do anything. This is intended. Once the order submission times are hit, the Trade Processor will process the manually checked or unchecked orders.

Order Submission Settings

- **Between**—Set the trading start time using the Eastern time zone.

- **And**—Set the trading end time using the Eastern time zone.
- **Weekends**—When the Weekends option is selected, users may submit orders to the broker on Saturday and Sunday to be held until the designated trading times.
- **Delay Opening Orders**—Allows the opening orders to be submitted as soon as equity is freed from the execution of closing orders. It will do so up to the specified time. Ultimately you will see the same executed orders (closing and opening), but with an improved execution time on opening orders. Make sure that your Max Equity setting under **Edit>Trade Settings** is less than or equal to your broker account's buying power. For example, a cash account that is dedicated only to OmniVest should be set no higher than 100%.

Automation

The Automation settings determine if entry and exit orders are to be processed automatically or not. If the automatic option(s) are not selected, only manual orders will be processed.

Automation Settings

- **Automatic Entries**—Opening orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.
- **Automatic Exits**—Closing orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.
- **Close Orphaned Trades at**—Enable this option to close any orphaned positions on the Broker Positions tab at the time you designate each day. An orphaned trade is a trade that has missed its closing order. The OmniVest Strategy will still be shown, but under the OmniVest Action column the words "No Position" will be displayed. This may benefit those that are trading into the same broker account outside the Trade Processor so as not to close Unmanaged Positions, but still close a trade that has missed a closing order.
- **Close All Unmanaged Trades**—Enable this option to close all "Unmanaged" Positions as well as orphaned positions on the Broker Positions tab at the time you designate each day. This option is greyed out unless Close Orphaned Trades is enabled.

- **Update OmniVest Current Balance**—Enable this option to send current account equity to the account in OmniVest.
- **Size by % of Equity**—Allows trade size to scale according to account equity.
- **Match OmniVest Shares**—Instead of using QTY% to determine the share size, it uses the exact number of shares from OmniVest.

Orders

Orders on the Opening and Closing Orders tabs are automatically converted to the correct order type according to the time they are submitted to the broker. Interactive Brokers accepts Market on Open orders anytime before 9:28 am Eastern. Orders placed after that time, within market hours are automatically converted to Market Orders.

- **Stop Loss**—When enabled, all new trades will also submit a stop loss broker order for the percentage set from the entry price. If that level is hit at the broker, the position will exit rather than waiting for an OmniVest closing order. Stop loss orders may be viewed in the Broker Orders tab or in the Stop Loss column.

Exposure

The Trade Processor calculates the exposure as the total equity of open broker positions minus the equity that is expected to be freed by closing orders. It will only allow new opening orders on symbols where the expected investment will not exceed the specified Max Equity setting.

- **Max Equity%**—Specify the maximum equity that can be used by the Trade Processor.

Ordering Methods with Interactive Brokers

There are two methods for setting up the Trade Settings window when using IB. You should determine which method to use according to when you plan to run the Trade Processor.

Method 1: Market on Open Orders

Use method one when the orders will be submitted prior to market open. (Do not use this method on IB Demo accounts.)

1. Set the order submission start time to a time that is prior to market open. Market on Open orders are accepted after 8:00 pm the night before and before 9:28am Eastern time.
2. Set the order submission end time. Market on Open orders are not accepted until after 8:00pm ET, so your order submission end time should not be set between 4:00pm ET and 8:00pm ET.
3. Start the Trade Processor prior to the time set in step 1.

Method 2: Market Orders

Use method two when orders will be submitted inside of market hours.

1. Set Order Submission start time to the desired time for order submission using the Eastern time zone.
2. Start the Trade Processor prior to the time set in step 1.

IB Demo Account

1. Set the Order Submission start time to whatever time is desired to submit orders.
2. Start the Trade Processor prior to the time set in step 1.

Things You Should Know About Using Interactive Brokers

Live Account:

- Market on Open orders are accepted after 8:00 pm and before 9:28 am eastern time.
- Short orders are dependent on availability at the broker. Please check here: (http://www.interactivebrokers.com/en/trading/ViewShortableStocks.php?cntry=usa&tag=United%20States&ib_entity=llc&ln=&asset).

Demo Account:

- Market on Open orders are not accepted in Demo accounts.

- Short orders are dependent on availability at the broker. Please check here:
(http://www.interactivebrokers.com/en/trading/ViewShortableStocks.php?cntry=usa&tag=United%20States&ib_entity=llc&ln=&asset).

Holding Company Depository Receipts:

This is a type of ETF marketed by Merrill Lynch. Unlike other ETFs, HOLDRs can only be bought and sold in 100 share increments. Additional information may be found here (http://www.amex.com/holdrs/eductn/Hr_Edu_Faq_Static.html).

Here is a list of HOLDRs symbols:

BBH
BDH
BHH
EKH
HHH
IAH
IIH
MKH
OIH
PPH
RKH
RTH
SMH
SWH
TTH
UTH
WMH

MB Trading and the Trade Processor

The Trade Processor can be set up to send trades directly from your selected OmniVest account to your funded MB Trading account in one of two ways. The Trade Processor can be run as a client version from your machine or from the OmniVest Trade Processor servers. This chapters describes configuring the Trade Processor to run as the client version. Please refer to Chapter 9 for information on running the server version.

This chapter provides information on configuring the Trade Processor to connect to and trade your MB Trading account. This chapter also includes special instructions and limitations you may experience using your Trade Processor with MB Trading.



Note This chapter is specific to MB Trading and does not provide information on connecting to other supported brokers.

Connection Settings for MB Trading

Follow these instructions to connect the Trade Processor to your MB Trading account:

1. On initial startup, the Connection Settings form will automatically display in two separate forms - one for the OmniVest Account settings and another for the MB Trading Account settings.



Figure 5-1. OmniVest Connection Settings

2. Enter your OmniVest User ID and password.
3. Click the down arrow button to download your OmniVest account names.
4. Select the OmniVest account you want to connect to for trading. If none exist, a OmniVest account will need to be created on the OmniVest web site.
5. Click Connect.

Next, the connection settings dialog box for the broker will appear on the screen.

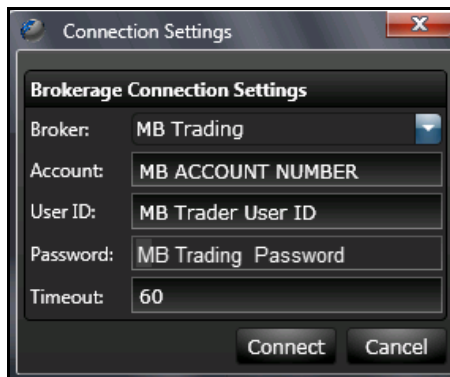


Figure 5-2. MB Trading Connection Settings

1. Enter the MB Trading account number.
2. Enter the MB Trading User ID.
3. Enter the MB Trading password.
4. Click **Connect**.

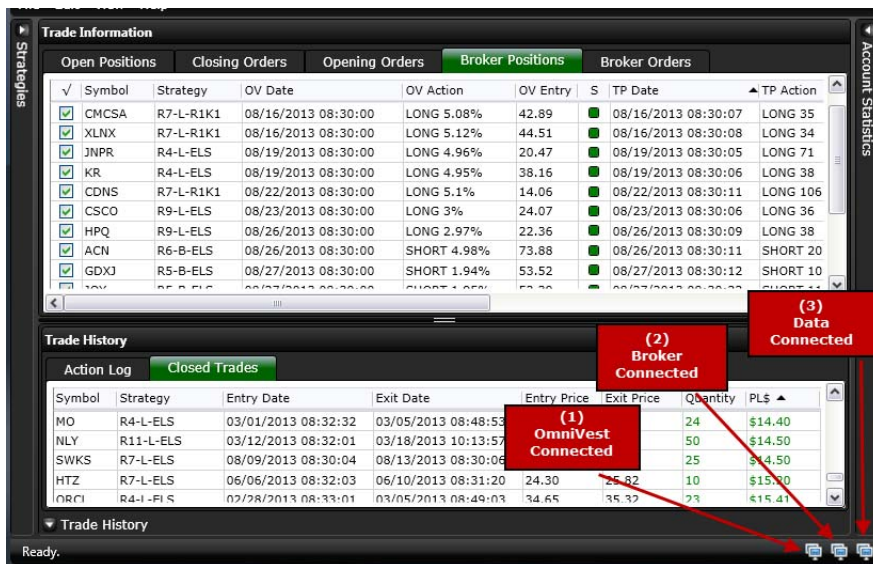


Figure 5-3. Trade Processor Connection Made to OmniVest and MB.

If the connection cannot be made, the Trade Processor will display a red X in place of the computer.

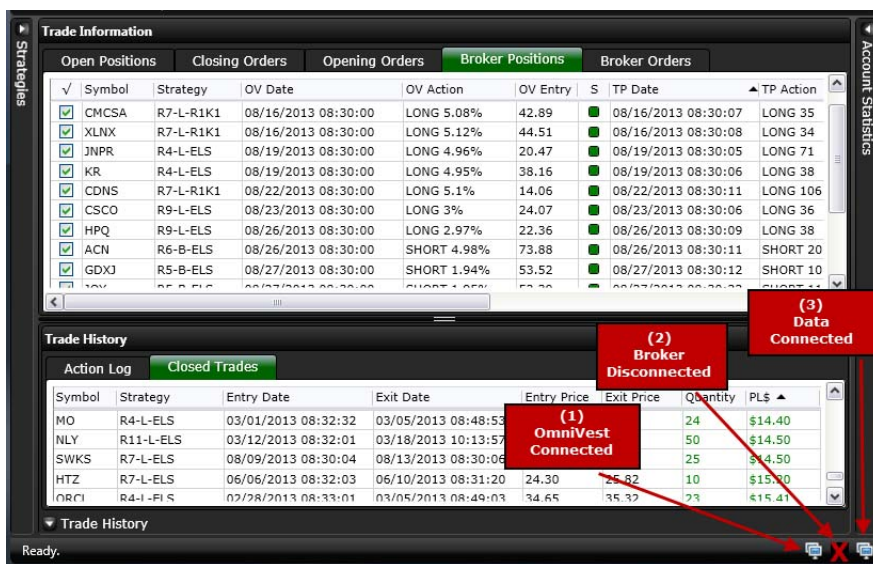


Figure 5-4. Trade Processor Connected to OmniVest but Disconnected from the Broker

If one or both connections cannot be made, click **Edit>>Connection Settings** and reenter your login credentials or account number.

Trade Settings

The function of Trade Settings is to determine when and how trading will occur. Configure the times for trading, whether it will trade manually or automatically, order types, maximum exposure and more.

To load the Trade Settings window click **Edit>>Trade Settings**.

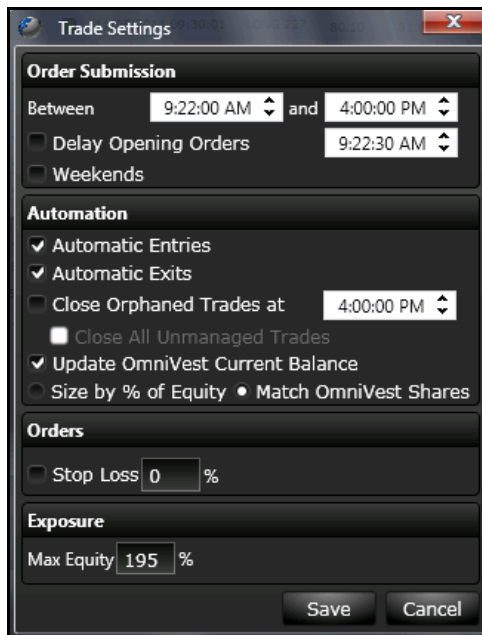


Figure 5-5. Trade Settings Window

The Trade Settings options and related information are as follows. Some settings are broker specific.

Order Submission

The Order Submission times are the times during which the Trade Processor will submit automatic or manual orders. The times used are always based on the Eastern time zone.

While between the order submission times, any checking or unchecking of orders will be processed immediately.

While outside the order submission times, checking or unchecking orders will appear to not do anything. This is intended. Once the order submission times are hit, the Trade Processor will process the manually checked or unchecked orders.

Order Submission Settings

- **Between**—Set the trading start time using the Eastern time zone.
- **And**—Set the trading end time using the Eastern time zone.
- **Delay Opening Orders**—Allows the opening orders to be submitted as soon as equity is freed from the execution of closing orders. It will do so up to the specified time. Ultimately you will see the same executed orders (closing and opening), but with an improved execution time on opening orders. Make sure that your Max Equity setting under **Edit>>Trade Settings** is less than or equal to your broker account's buying power. For example, a cash account that is dedicated only to OmniVest should be set no higher than 100%.

Automation

The Automation settings determine if entry and exit orders are to be processed automatically or not. If the automatic option(s) are not selected, only manual orders will be processed.

Automation Settings

- **Automatic Entries**—Opening orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.
- **Automatic Exits**—Closing orders from the OmniVest account will be checked and sent to the broker during the designated times specified in the Order Submission Settings.

- **Close Orphaned Trades at**—Enable this option to close any orphaned positions on the Broker Positions tab at the time you designate each day. An orphaned trade is a trade that has missed its closing order. The OmniVest Strategy will still be shown, but under the OmniVest Action column the words "No Position" will be displayed. This may benefit those that are trading into the same broker account outside the Trade Processor so as not to close Unmanaged Positions, but still close a trade that has missed a closing order.
- **Close All Unmanaged Trades**—Enable this option to close all "Unmanaged" Positions as well as orphaned positions on the Broker Positions tab at the time you designate each day. This option is greyed out unless Close Orphaned Trades is enabled.
- **Update OmniVest Current Balance**—Enable this option to send current account equity to the account in OmniVest.
- **Size by % of Equity**—Allows trade size to scale according to account equity.
- **Match OmniVest Shares**—Instead of using QTY% to determine the share size, it uses the exact number of shares from OmniVest.

Orders

Orders on the Opening and Closing Orders tabs are automatically converted to the correct order type according to the time they are submitted to the broker. MB Trading accepts Market on Open orders between 8:00 am and 9:28 am Eastern. Orders placed after that time, within market hours are automatically converted to Market Orders.

- **Stop Loss**—When enabled, all new trades will also submit a stop loss broker order for the percentage set from the entry price. If that level is hit at the broker, the position will exit rather than waiting for an OmniVest closing order. Stop loss orders may be viewed in the Broker Orders tab or in the Stop Loss column.

Exposure

The Trade Processor calculates the exposure as the total equity of open broker positions minus the equity that is expected to be freed by closing orders. It will only allow new opening orders on symbols where the expected investment will not exceed the specified Max Equity setting.

- **Max Equity%**—Specify the maximum equity that can be used by the Trade Processor.

Ordering Methods with MB Trading

There are two methods for setting up the Trade Settings window when using MB Trading. You should determine which method to use according to when you plan to run the Trade Processor.

Method 1: Market on Open Orders

Use method one when the orders will be submitted prior to market open.

1. Set the order submission start time to any time that is prior to market open. MB Trading only accepts MOO orders between 8:00am and 9:28am Eastern. So the Order Submission start time must be in this range to submit MOO orders.
2. MB Trading does not receive any orders after the market close. Set order submission end time no later than 4:00pm Eastern time.
3. Start the Trade Processor prior to the time set in step 2.

Method 2: Market Orders

Use method two when orders will be submitted inside of market hours.

1. Set Order Submission start (Between) time to a time within 9:30am ET and 10:00am ET. Market orders can be submitted anytime after 9:30am ET.



Note It is typical to set the order submission start time to occur after market open, for example 9:30am or 9:31am ET.

2. MB trading cannot receive any orders after market close, so set your order submission end time to no later than 4:00pm ET.
3. Start the Trade Processor prior to the time set in step 2.

Things You Should Know About Using MB Trading

Live Account:

- Market on Open orders can only be placed between 8:00am & 9:28am Eastern. "Fill prices vary based on conditions that are not always reflected."
- MB Trading converts NASDAQ Market on Open orders to Market orders and submits them at Market Open. "Fill prices vary based on conditions that are not always reflected."
- Short orders are dependent on availability at the broker. Please check here: (<http://www.mbtrading.com/easyToBorrow.aspx>).

Demo Account:

- Market on Open orders are not accepted on Demo accounts.
- MB Trading converts NASDAQ Market on Open orders to Market orders and submits them at Market Open. "Fill prices vary based on conditions that are not always reflected."
- Short orders are dependent on availability at the broker. Please check here (<http://www.mbtrading.com/easyToBorrow.aspx>).
- Expired demo accounts will have reduced functionality & may exhibit connection & performance problems. If you suspect your demo account has expired please contact MB Trading.
- Prices are simulated.

Holding Company Depository Receipts:

This is a type of ETF marketed by Merrill Lynch. Unlike other ETFs, HOLDRs can only be bought and sold in 100 share increments. Additional information may be found here (http://www.amex.com/holdrs/eductn/Hr_Edu_Faq_Static.html).

Here is a list of HOLDRs symbols:

BBH
BDH
BHH
EKH
HHH
IAH
IIH
MKH
OIH
PPH
RKH
RTH
SMH
SWH
TTH
UTH
WMH

Trade Processor Interface

The Trade Processor Interface is configured to mirror your OmniVest account, giving you all the information in your selected OmniVest account in one easy to use tabbed window. The Trade Processor is divided into four main sections: Strategies, Trade Information, Trade History and Statistics but also includes a file menu and status bar for your connections.



Note You can increase the font size for your Trade Processor grid using the (+) and (-) keys on your keyboard.

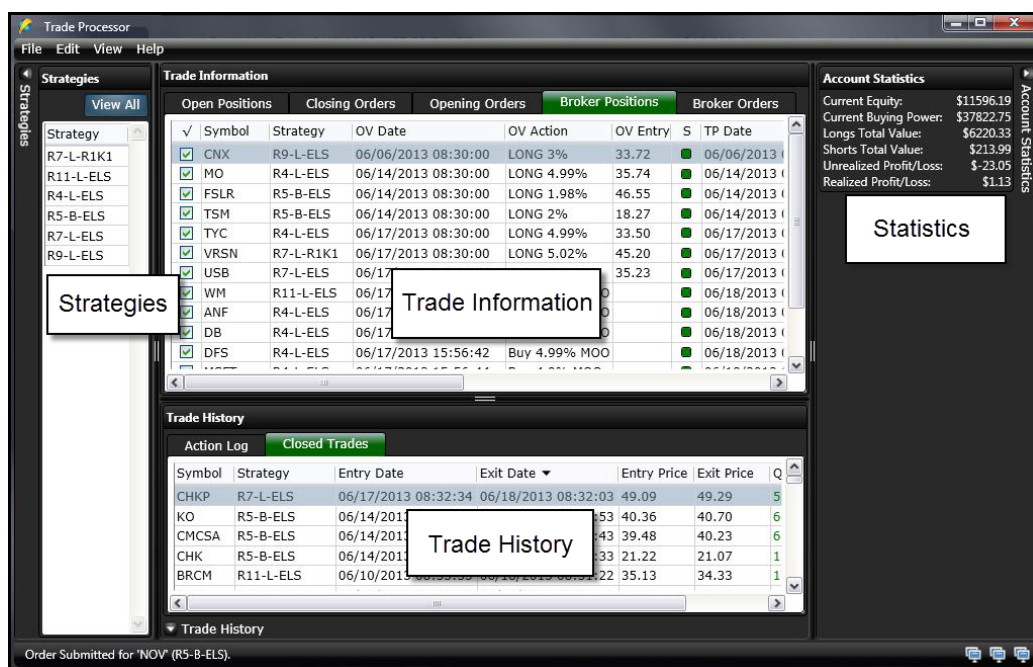


Figure 6-1. The Trade Processor Interface

Strategies Section

The Strategies section displays the strategies that have been enabled in the selected OmniVest account.

OmniVest strategies that have no open orders or positions will not be displayed.

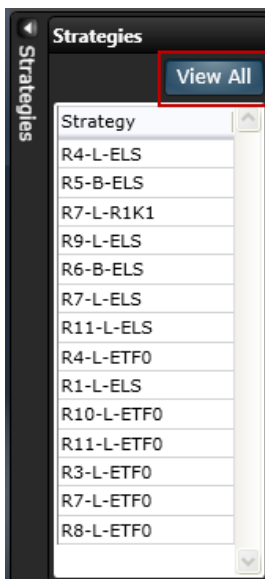


Figure 6-2. Strategies Section

The Trade Processor will display the positions or orders for the selected strategy on the tab that is selected in your Trade Processor window. For example, selecting R5-B-ELS with the Broker Positions tab selected will show only the positions that were submitted using that strategy. Click **View All** to see the entire list of Broker Positions.

Trade Information

The Trade Information section provides a tabbed view of all trading activity in the selected OmniVest account.

✓	Symbol	Strategy	OV Date	OV Action	OV Entry	S	TP Date	TP Action	TP Entry
<input checked="" type="checkbox"/>	CNX	R9-L-ELS	06/06/2013 08:30:00	LONG 3%	33.72	<input checked="" type="checkbox"/>	06/06/2013 08:32:34	LONG 11	33.5
<input checked="" type="checkbox"/>	MO	R4-L-ELS	06/14/2013 08:30:00	LONG 4.99%	35.74	<input checked="" type="checkbox"/>	06/14/2013 08:31:42	LONG 16	35.6
<input checked="" type="checkbox"/>	FSLR	R5-B-ELS	06/14/2013 08:30:00	LONG 1.98%	46.55	<input checked="" type="checkbox"/>	06/14/2013 08:32:13	LONG 5	46.4
<input checked="" type="checkbox"/>	TSM	R5-B-ELS	06/14/2013 08:30:00	LONG 2%	18.27	<input checked="" type="checkbox"/>	06/14/2013 08:32:33	LONG 13	18.3
<input checked="" type="checkbox"/>	TYC	R4-L-ELS	06/17/2013 08:30:00	LONG 4.99%	33.50	<input checked="" type="checkbox"/>	06/17/2013 08:31:53	LONG 17	33.4
<input checked="" type="checkbox"/>	VRSN	R7-L-R1K1	06/17/2013 08:30:00	LONG 5.02%	45.20	<input checked="" type="checkbox"/>	06/17/2013 08:32:24	LONG 13	45.5
<input checked="" type="checkbox"/>	USB	R7-L-ELS	06/17/2013 08:30:00	LONG 2.02%	35.23	<input checked="" type="checkbox"/>	06/17/2013 08:32:44	LONG 7	35.2
<input checked="" type="checkbox"/>	WM	R11-L-ELS	06/17/2013 15:50:17	Buy 4.88% MOO		<input checked="" type="checkbox"/>	06/18/2013 08:32:13	LONG 14	40.6
<input checked="" type="checkbox"/>	ANF	R4-L-ELS	06/17/2013 15:56:40	Buy 4.94% MOO		<input checked="" type="checkbox"/>	06/18/2013 08:32:24	LONG 12	49.3
<input checked="" type="checkbox"/>	DB	R4-L-ELS	06/17/2013 15:56:41	Buy 4.97% MOO		<input checked="" type="checkbox"/>	06/18/2013 08:32:35	LONG 12	46.5
<input checked="" type="checkbox"/>	DFS	R4-L-ELS	06/17/2013 15:56:42	Buy 4.99% MOO		<input checked="" type="checkbox"/>	06/18/2013 08:32:45	LONG 12	47.6

Figure 6-3. Trade Information Window

Each tab in the Trade Information section of the Trade Processor mirrors a section of the selected OmniVest account. Each column of the Trade Information section presents similar information on each tab provided the column is relevant and the information is available. Columns may vary slightly due to where the order/position is in the process. In cases where the information is not relevant, the column will remain blank.

Open Positions Tab

The Open Positions tab mirrors the Open Positions that are displayed in the selected OmniVest account.

The Trade Information columns are as follows for the Open Positions tab:

- **Enable**—On the Open Positions tab, the checkbox will be enabled when the trade is live with the broker. Within the Trade Processor order submission times, removing the check on this tab will send a closing order to your broker and will remove the symbol from Broker Positions. Placing a check in an unchecked box will send an order to the broker. Outside the Trade Processor submission times, placing a check or removing a check on this tab will open or close the order when the next trade window comes.
- **Symbol**—Symbol being traded in the OmniVest account.
- **Strategy**—The strategy that generated the signal in the OmniVest account.
- **OV Date**—Date of last OmniVest action (order placed or position entered).

- **OV Action**—Last OmniVest action (order placed or position entered).
- **OV Entry**—Displays the OmniVest position entry price.
- **S**—Status of position. This field is indicated with a color code.
 - **Yellow**—Not trading. No order and no position at the broker.
 - **Green**—Order submitted at the broker or in position.
 - **Red**—Could not enter trade: order was filtered out by the Trade Processor's settings or rejected by the broker.
 - **Black**—Not applicable to Open Positions tab.
- **TP Date**—Displays the date and time of the last Trade Processor action or attempted action with the broker.
- **TP Action**—Displays the last Trade Processor action with the broker (order placed, or when executed, direction and quantity for the position). Column is blank if no corresponding order or position is at the broker.
- **TP Entry**—Executed entry price.
- **Last**—Last price for the symbol. Real time OmniData subscribers will receive updates in real time, all other customers will get last price updates with a 20 minute delay.
- **PL\$**—Profit or loss for the trade. This price is calculated using Last.
- **Message**—Reports messages from the broker or special actions taken by the Trade Processor.

Closing Orders Tab

The Closing Orders tab mirrors the Closing Orders section of the selected OmniVest account.

Closing Orders can be disabled from being sent to the broker using the Enable column checkbox. Orders that do not have a corresponding open position to close with the broker will be disabled automatically and displayed with a dark grey highlight and black status in the Status column.

The Trade Information columns are as follows for the Closing Orders tab:

- **Enable**—On the Closing Orders tab, the checkbox will be enabled when the position is queued to send to the broker. Removing the check on this tab will cancel the order with the broker unless the order has been executed. When the

order is executed, it will not be allowed again unless the corresponding open position is opened.

- **Symbol**—Symbol the order will be placed on from the OmniVest account, Closing Orders section.
- **Strategy**—The strategy that generated the closing order in the OmniVest account
- **OV Date**—Date of last OmniVest action (order placed or position entered).
- **OV Action**—Last OmniVest action (order placed or position entered).
- **OV Entry**—Displays the OmniVest position entry price.
- **S**—Status of position. This field is indicated with a color code.
 - **Yellow**—Order not placed.
 - **Green**—Order submitted at the broker or in position.
 - **Red**—Closing order was rejected.
 - **Black**—Not allowed: closing orders for which a position was not entered.
- **TP Date**—Displays the date and time of the last Trade Processor action or attempted action with the broker.
- **TP Action**—Displays the last Trade Processor action with the broker (order placed, or executed).
- **TP Entry**—Entry price for the corresponding position.
- **Last**—Last price for the symbol. Real time OmniData subscribers will receive updates in real time, all other customers will get last price updates with a 20 minute delay.
- **PL\$**—Profit or loss for the trade. This price is calculated using Last.
- **Message**—Reports messages from the broker or special actions taken by the Trade Processor.

Opening Orders Tab

The Opening Orders tab mirrors the Opening Orders section of the selected OmniVest account.

Opening Orders can be disabled from being sent to the broker by removing the check from the Enable column checkbox. If there is not enough buying power in the brokerage account to place the order, it will be unchecked, show red in the Status column and display a message.

The Trade Information columns are as follows for the Opening Orders tab:

- **Enable**—On the Opening Orders tab, the checkbox will be enabled when the position is queued to send to the broker. Removing the check on this tab will cancel the order with the broker unless the order has been executed. When the order is executed, it will not be allowed again unless the corresponding open position is opened.
- **Symbol**—Symbol the order will be placed on from the OmniVest account, Closing Orders section.
- **Strategy**—The strategy that generated the signal in the OmniVest account
- **OV Date**—Date of last OmniVest action (order placed).
- **OV Action**—Last OmniVest action (order placed or position entered).
- **OV Entry**—Displays the OmniVest position entry price.
- **S**—Status of position. This field is indicated with a color code.
 - **Yellow**—Not trading. No order and no position at the broker.
 - **Green**—Order submitted at the broker or in position.
 - **Red**—Could not enter trade: order was filtered out by the Trade Processors settings or rejected by the broker.
 - **Black**—Not applicable to the opening orders tab.
- **TP Date**—Displays the date and time of the last Trade Processor action or attempted action with the broker.
- **TP Action**—Displays the last Trade Processor action with the broker (order placed, or when executed, direction and quantity for the position). Column is blank if no corresponding order or position is at the broker.
- **TP Entry**—Executed entry price.
- **Last**—Last price for the symbol. Real time OmniData subscribers will receive updates in real time, all other customers will get last price updates with a 20 minute delay.
- **PL\$**—Profit or loss for the trade. This price is calculated using Last.
- **Message**—Reports messages from the broker or special actions taken by the Trade Processor.

Broker Positions Tab

The Broker Positions tab mirrors the positions that are live with the broker.

The Broker Positions tab will display any positions in the brokerage account that were made whether they were made from the Trade Processor or by using other methods of trading. Trades made into the account using other means will display here with “Unmanaged” in the Strategy column and “No Position” in the OmniVest Action column.

The Trade Information columns are as follows for the Broker Positions tab:

- **Enable**—On the Broker Positions tab, the checkbox will be enabled when the position is live with the broker. Removing the check on this tab will send a closing order to the broker.
- **Symbol**—Symbol in position with the broker.
- **Strategy**—The strategy that generated the signal in the OmniVest account
- **OV Date**—Date of last OmniVest action (order placed or position entered).
- **OV Action**—Last OmniVest action (order placed or position entered).
- **OV Entry**—Displays the OmniVest position entry price.
- **S**—Status of position. This field is indicated with a color code.
 - **Yellow**—Not applicable to the broker positions tab.
 - **Green**—Position at the broker.
 - **Red**—Not applicable to the broker positions tab.
 - **Black**—Not applicable to the broker positions tab.
- **TP Date**—Displays the date and time of the last Trade Processor action with the broker.
- **TP Action**—Displays the last Trade Processor action with the broker.
- **TP Entry**—Executed entry price.
- **Last**—Last price for the symbol. Real time OmniData subscribers will receive updates in real time, all other customers will get last price updates with a 20 minute delay.
- **PL\$**—Profit or loss for the trade. This price is calculated using Last.
- **Stop Loss**—Displays the stop loss prices. When the stop loss is enabled in Trade Settings, users are able to right click a stock on the Broker Positions tab to add or

remove a stop loss. When adding stop losses this way it still uses the percentage set from the Stop Loss Trade Setting, it does not permit typing a value.

- **Message**—Reports messages from the broker or special actions taken by the Trade Processor.

Broker Orders

The Broker Orders tab will display any orders in the brokerage account that were made whether they were made from the Trade Processor or by using other methods of trading. As opposed to the Broker Positions tab, where shares for each symbol are organized by OmniVest Trades, Broker Orders shows aggregated orders when multiple orders for the same symbol are placed by different strategies.

The Trade Information columns are as follows for the Broker Positions tab:

- **Enable**—On the Broker Orders tab, the checkbox will be enabled when the order is live with the broker. Removing the check on this tab will cancel to order with the broker.
- **Symbol**—Symbol in position with the broker.
- **Strategy**—The OmniVest strategy, or strategies associated with that order.
- **TP Date**—Displays the date and time the order was submitted.
- **TP Action**—Displays a description of the order.
- **Last**—Last price for the symbol. Real time OmniData subscribers will receive updates in real time, all other customers will get last price updates with a 20 minute delay.

Trade History

The Trade History provides a complete record of all of the trades that have been placed with the broker for the selected account using the Trade Processor.



Note The Trade Processor must be connected for trade history to be recorded.

There are two tabs in the Trade History section: the Action Log and Closed Trades.

Action Log

The columns for the Actions Log display the following information:

- **Date**—Action date and time.
- **Symbol**—Symbol the execution occurred on.
- **Strategy**—Strategy for executed action.
- **OmniVest Action**—OmniVest Actions taken.
- **Processor Action**—Action taken (order placed or position entered).

Closed Trades

The columns for Closed Trades display the following information:

- **Symbol**—Symbol that was traded.
- **Strategy**—The strategy from the OmniVest site that generated the signal.
- **Entry Date**—Date the position was entered at the broker.
- **Exit Date**—Date the position was exited at the broker.
- **Entry Price**—Execution price for entry.
- **Exit Price**—Execution price for exit.
- **Quantity**—Number of shares traded.
- **PL\$**—Profit/Loss (before commissions).

Trade History Right Click Menu

Right click in the Trade History grid to display the menu options.

- **Remove**—Deletes the selected record.
- **Clear**—Deletes all records.

Statistics

The Trade Processor displays account statistics on the right side of the window.

Statistics can be viewed and then collapsed using the arrow to the right of the Account Statistics label to allow for more room for trade information.

These statistics are provided by the broker:

- **Current Equity**—The total amount of funds in the broker account including the value of current investments.
- **Buying Power**—The money in the broker account available to purchase securities.
- **Realized Profit/Loss**—The profits or losses resulting from the current session's completed transactions.

These statistics are calculated by the Trade Processor:

- **Longs Total Value**—The total value of all long trades currently invested.
- **Shorts Total Value**—The total value of all short trades currently invested.
- **Unrealized Profit/Loss**—The current profits or losses resulting from all open broker positions.

Running Multiple Trade Processors

Users may run multiple Trade Processors on one Windows instance. To do so, launch it repeatedly from the icon.

When running multiple Trade Processors, each OmniVest account should be used by one Trade Processor instance. When running a second Trade Processor, select a different OmniVest account and connect that account to a broker that is not being used in any other Trade processor instances. Connecting two OmniVest accounts to the same broker account will result in unmanaged positions in each Trade Processor instance.



Note Note for MB Trading & Interactive brokers: A broker account may not be connected by two TPs at the same time using the same or any linked/affiliated account even on the same Windows instance.

Trading with the Trade Processor

The Trade Processor is designed to fully automate trading your OmniVest account. However, manual trades can also be easily placed using the Trade Processor.

This chapter provides details on general trading, trading manually, and also some situations to avoid while using the Trade Processor.

Automatic Trading

It is most common to allow the Trade Processor to run in automatic mode. In order to do this, it is necessary to configure the desired trading times under **Edit>>Trade Settings** and make sure the Trade Processor is running prior to the designated time. Orders will not be placed automatically if the Trade Processor is not running during the trading window.

The Trade Processor can run continuously. It is recommended that you check the connection daily prior to the trading window you specify. If you do not want to run the Trade Processor constantly, you can start the Trade Processor at any time prior to the trading window and then close it once the orders are submitted.

Trading

You may find that you want to add or remove orders and positions in addition to the ones that are being handled automatically. Orders can be placed manually using the Trade Processor from any of the Trade Information tabs. Add or remove the check in the enable box on the selected tab next to the symbol according to what action you want the trade processor to take.

Manual trades may be handled differently on each trading tab. Orders are also subject to the Trade Settings trade times.

Trading from the Open Positions Tab

The Open Positions tab mirrors the Open Positions section of the OmniVest website. Symbols that are in trade with the broker will display a check in the Enable checkbox.

If automatic trading is enabled, you may find that some symbols displayed on the open positions tab are not actively trading with the broker. This could be due to the following:

- The account did not have enough buying power to place the trade.
- Trade Processor was not running when the initial order was sent through.
- The trade was rejected by the broker.
- The trade was not taken by the Trade Processor.

OmniVest Orders on the Open Positions tab will execute as Market Day orders.

- Checking a symbol submits a Market Day order.
- Unchecking a symbol submits a Market Day order or cancels the order if not yet executed.

Open Positions Right Click Menu

Right click anywhere inside of the Open Positions tab to display the right click menu. The following options are available:

Enable All—All symbols will be enabled and an opening order will be placed for each symbol in the list. If the symbol is already enabled, no action will be taken.

Disable All—All symbols will be disabled and a closing order will be submitted for each symbol in the list. If the symbol is already disabled, no action will be taken.

Trading from the Closing Orders Tab

The Closing Orders tab mirrors the Closing Orders section of the OmniVest website. Symbols that are queued to execute with the broker will display a check in the Enable checkbox.

If automatic trading is enabled, you may find that some symbols displayed on the Closing Orders tab are not checked to be sent to the broker. This could occur for the following reasons:

- There is no corresponding open position at the broker.
- The brokerage account was not available when the order was submitted.
- Automatic exits are not enabled.

Orders on the Closing Orders tabs are automatically sent as the correct order type according to the time they are submitted to the broker.

Closing Orders Right Click Options

Right click anywhere inside of the Closing Orders tab to display the right click menu. There following options are available:

- **Enable All**—All symbols will be enabled and a closing order will be placed for each symbol in the list that was not previously enabled.
- **Disable All**—All symbols will be disabled. Closing orders will be cancelled for each symbol in the list.



Note Closing orders that do not have open positions will be greyed out and not selectable.

Trading from the Opening Orders Tab

The Opening Orders tab mirrors the Opening Orders section of the OmniVest website. Symbols that are queued to execute with the broker will display a check in the Enable checkbox.

You may find that some symbols displayed on the Opening Orders tab are not checked to be sent to the broker. This could occur for the following reasons:

- Automatic entries are not enabled.

Orders on the Closing Orders tabs are automatically sent as the correct order type according to the time they are submitted to the broker. Checking a symbol submits a Market Day order.

Opening Orders Right Click Options

Right click anywhere inside of the Opening Orders tab to display the right click menu. There following options are available:

- **Enable All**—All symbols will be enabled and an opening order will be placed for each symbol in the list that was not previously enabled.
- **Disable All**—All symbols will be disabled. Closing orders will be placed for each symbol in the list.

Trading from the Broker Positions Tab

The Broker Positions tab mirrors the brokerage account. Symbols that are in trade with the broker will display a check in the Enable checkbox.

OmniVest Orders on the Open Positions tab will execute as Market Day orders.

- Unchecking a symbol submits a Market Day order to close the trade.

Broker Positions Right Click Menu

Right click inside of the Broker Positions tab to display the right click menu. The options in the right click menu will be displayed according to whether the position is managed or unmanaged.

- **Mark as Unmanaged**—Sets the position to unmanaged status and the position will not be handled automatically.
- **Close All Trades for the Symbol**—Submits a closing order for all positions on the selected symbol.
- **Close All Trades**—Submits one closing Market Day order for each symbol in the list.
- **Close All OmniVest Trades**—Submits one closing Market Day order for each symbol that has trades that were initiated by OmniVest.
- **Close All Unmanaged Trades**—Submits one closing Market Day order for each symbol that is marked as unmanaged.
- **Add/Remove Stop Loss**—When the stop loss is enabled in the Trade Settings, users are able to right-click a stock in the Broker Positions tab to add or remove a stop loss.

- **Add/Remove Stop Loss to All OmniVest Trades**—When the stop loss is enabled in the Trade Settings, users are able to right-click in the Broker Positions tab to add or remove stop losses for all managed positions

Trading from the Broker Orders Tab

The Broker Orders tab mirrors the brokerage account. Symbols that have a live order with the broker will display on this tab with a check in the Enable checkbox. You can remove the check from the enable column to cancel the order.

Broker Orders Right Click Menu

Right click inside of the Broker Orders tab to display the right click menu.

- **Cancel All Orders**—Cancels all orders with the broker.

OmniVest Updating Times

The Trade Processor receives information from OmniVest on the symbols that are being traded in the selected account. The Trade Processor must be active and show that it is connected to the OmniVest account to receive updates. The OmniVest website is updated twice daily for end of day strategies, once at approximately 10:00 am and again at 6:00 pm Eastern.

Opening and closing orders are generated and posted to the OmniVest website at approximately 6:00 pm Eastern time.

Opening Orders													
Flagged	Strategy	Symbol	Action	QTY %	QTY	Type	TIF	Limit Price	Stop Price	Event	Order Date	Last Price	Style
<input type="checkbox"/>	R11-L-R1K1	BRCM	Buy	9.98 %	850	Market on Open	GTC			Live	6/7/2013 4:49:28 PM	\$35.20	Paper
<input type="checkbox"/>	R4-L-R1K1	ESRX	Buy	10.34 %	500	Market on Open	GTC			Live	6/7/2013 4:58:02 PM	\$63.15	Paper
<input type="checkbox"/>	R4-L-R1K1	WMS	Buy	9.78 %	1150	Market on Open	GTC			Live	6/7/2013 4:58:04 PM	\$25.52	Paper

Closing Orders													
Flagged	Strategy	Symbol	Action	QTY %	QTY	Type	TIF	Limit Price	Stop Price	Event	Order Date	Last Price	Style
<input type="checkbox"/>	R7-L-NAS	ADSK	Sell	10.25 %	850	Market on Open	GTC			Live	6/7/2013 4:27:14 PM	\$36.41	Paper
<input type="checkbox"/>	R5-B-NAS	AKAM	Sell	9.81 %	650	Market on Open	GTC			Live	6/7/2013 4:27:17 PM	\$44.83	Paper
<input type="checkbox"/>	R5-B-NAS	AMGN	Sell	9.90 %	300	Market on Open	GTC			Live	6/7/2013 4:27:21 PM	\$98.50	Paper
<input type="checkbox"/>	R4-L-R1K1	APOL	Sell	9.95 %	1450	Market on Open	GTC			Live	6/7/2013 4:37:10 PM	\$22.22	Paper

Figure 7-1. Opening and Closing Orders on the OmniVest Website

Once the OmniVest website is updated, the opening and closing orders from the selected account should be reflected in the opening and closing orders tabs of the Trade Information in the Trade Processor.

Orders are executed on the OmniVest website at approximately 10:00 am Eastern. Once the OmniVest morning update is complete, the opening and closing orders on the web site will display as executed and the opening and closing orders tabs in the Trade Information of the Trade Processor should be blank.

Aggregate Orders

Multiple orders (opening & closing) for the same symbol are aggregated and transmitted to the broker as one order. The Trade processor will continue to display them separately as managed by OmniVest. For aggregated orders to occur, the orders must be the same order type, the same Trade in Force (tif) and placed at the same time. Placing an order manually, then placing another order for the same symbol will not aggregate since they were not placed at the same time.

Monitoring the Trade Processor

In general, when the Trade Processor is left to run in Automatic mode (Automatic Entries and Exits enabled) or Semi-Automatic mode (manual Entries and Automatic Exits), Unmanaged Positions should not occur. There are cases, however, where an Unmanaged Position can happen even with Automatic Exits enabled. Therefore, users should periodically check their Trade Processor for Unmanaged positions and consider closing them if they occur.

Unmanaged Positions

Certain events can occur that cause a position to become “Unmanaged” or display “No Position” in the trade processor.

An Unmanaged Position is an open position at the broker that the Trade Processor is not managing and **WILL NEVER SUBMIT AN EXIT FOR.**

All unmanaged trades in the Broker Orders or Broker Positions tabs are displayed in red text. The user can easily place a market order (during the times allowed by the broker) to close trades that become unmanaged by unchecking them in the Broker Positions tab.

The following situations will result in Unmanaged Positions:

- **Opening trades directly through the broker.**

Users can open trades in an account that is being managed by the Trade Processor. This is useful if the user wants to trade in the account in parallel to the Trade Processor. Any trades placed outside of the Trade Processor will show as Unmanaged Positions.

- **Switching brokers or broker accounts in the Trade Processor Connection Settings.**

Switching brokers or broker accounts when connected to the same OmniVest account will cause the Trade processor to cease managing positions that were opened in the previous brokerage account.

- **Changing the Broker Account that was Previously Connected to an OmniVest Account.**

Once the Trade Processor is connected, the selected OmniVest account and broker account are then linked. If that specific OmniVest account is later connected to a different broker account, the original OmniVest account & broker account link will be severed which will result in unmanaged trades on the first broker account.

- **Switching OmniVest Accounts**

The Trade Processor is configured to connect to one OmniVest account and one brokerage account. Switching OmniVest accounts while connected to the brokerage account that the trades were taken in will result in all positions being unmanaged. Switching back to the original OmniVest account will result in the trades being properly managed again, provided no changes were made to the account.

- **Deleting OmniVest Accounts**

Deleting an OmniVest account that the Trade processor has placed trades for will result in the Trade Processor no longer being able to connect to that OmniVest account, therefore resulting in Unmanaged Positions.

- **Partial Fills by the Broker**

Temporary Unmanaged Positions will occur when an order is partially filled. Once the order has completely filled the unmanaged entry should disappear. Normally this state only lasts 5-10 seconds while the broker completes the fill for the trade.

Note: Partial fills are common with Interactive Brokers.

No Position (Orphaned)

There are additional cases that result in OmniVest trades that are no longer managed where the trades will not be marked as "Unmanaged." The OmniVest Strategy will

still be shown, but under the OmniVest Action column the words "No Position" will be displayed. We refer to these as Orphaned Trades.

Here are the cases in which this can occur:

- The Trade Processor is not running when a Closing Order is sent by OmniVest.
- The Automatic Exits option is disabled and the closing order is not checked by the user.
- The Closing Order was not submitted to the broker before it was removed from the OmniVest account.
- The broker rejected a Closing Order and the user failed to resubmit it.

Synchronizing Unmanaged Trades

If an Unmanaged position exists in the Broker Positions tab, users may be able to synchronize the position with an OmniVest strategy allowing it to be managed. There are two conditions necessary for a user to sync a trade:

- A symbol in the Strategy column of the Broker Positions tab must display "Unmanaged."
- There must be an OmniVest strategy in the OmniVest account with the associated symbol showing as an OmniVest Opening Order or an OmniVest Opening Position.

When these conditions occur, you may sync an Unmanaged position from the Opening Orders or Open Positions tab by left-clicking the Enable checkbox for the corresponding symbol.



Follow these instructions to synchronize an unmanaged position:

1. Identify the "Unmanaged" position on the Broker Positions tab.
2. Find the desired trade on the symbol on either the Opening Orders or Open Positions tab.



Note If the symbol does not appear on either tab, you will not be able to sync it.

3. Place a check in the Enable check box for the trade.

4. Select the desired option from the menu that appears.

Note This menu will only display for symbols meeting all synchronization criteria.

Synchronization Menu

There are three options that will appear when the symbol is available for syncing.

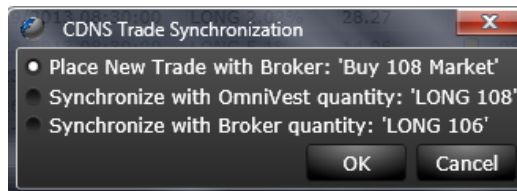


Figure 8-1. Synchronization Menu

- **Place New Trade with Broker**—A check will be placed in the box and a new order will be sent to the broker. (For more information see the Open Positions tab in Chapter 6).
- **Synchronize with OmniVest quantity**—Synchronizes the unmanaged broker position with an OmniVest strategy using the OmniVest QTY% to determine the share size based on the current equity. This is particularly useful when you want to synchronize more than one OmniVest strategy managing separate positions for the same symbol.

Synchronize with OmniVest Quantity Example: - An unmanaged long position for 75 shares exists for AAPL. There are two strategies in the OmniVest account that are currently in open positions. AAPL will be unchecked in the Open Positions tab for both strategies. Left-click the checkbox for the strategy that you want. Select "Synchronize with OmniVest quantity: LONG 50". The share size will be determined by the QTY% from the strategy according to the broker account's current equity. This will allow the OmniVest strategy to manage the position for 50 shares. An unmanaged position for 25 shares will remain. Left-click the checkbox for the second strategy for AAPL. Select "Synchronize with OmniVest quantity: LONG 25". If the share size is different than the remaining shares for the unmanaged position, you will likely want to select the "Synchronize with Broker quantity" option instead. The reason for this is because if the remaining unmanaged shares are different than the shares calculated

by OmniVest QTY%, then you will be left with an unmanaged position for the remaining share size.

- **Synchronize with Broker quantity**—Synchronizes the unmanaged broker position with an OmniVest strategy using the exact number of shares that are entered at the broker to determine the share size. This is useful when you only want one OmniVest strategy to manage the entire unmanaged trade.

Synchronize with Broker Quantity Example: An unmanaged long position for 50 shares exists for AAPL. There is a strategy in the OmniVest account that currently is in an open position. AAPL will be unchecked in the Open Positions tab. Left-click the checkbox for it. Select "Synchronize with Broker quantity: LONG 50". This will allow the OmniVest strategy to manage the position for 50 shares.

Enabling and Disabling Strategies on OmniVest

It is permissible to switch Strategies in an active OmniVest Account that the Trade Processor is managing. The Trade Processor will start receiving new Opening Orders for the newly-enabled strategies, while also receiving Closing Orders for the strategies that were disabled in order to properly close the corresponding OmniVest trade as dictated by the strategy.

Closing Positions Outside of the Trade Processor

You can close positions at the broker that have been placed by the Trade processor and they will be handled properly by the Trade Processor. If a position is partially closed, for example, the resulting quantity is different than zero, the original OmniVest trade will show as managed and an additional broker position trade will be added to reflect the shares resulting from the unmanaged order marked Unmanaged. The Trade Processor must be connected for positions to appear under Closed Trades.

Trade Processor Reports

The Trade Processor provides an option to send a once daily email report of Trade Processor activity to the email address you specify. The Trade Processor must be running to send the report.

The report displays your Connection Status, Account Statistics, Broker Positions, Broker Orders and Closed Trades for the day the report is generated.

The report displays the status of all broker positions and orders at the time the email was generated and this serves as notification if any of your trades have become unmanaged or out of synch with the OmniVest website.

CONNECTION STATUS

OmniVest Account: Winners

Broker: GXTrader

Brokerage Account ending in: 0001

ACCOUNT STATISTICS

Current Equity: \$31052.41

Current Buying Power: \$2053.25

Longs Total Value: \$18294.76

Shorts Total Value: \$0

Unrealized Profit/Loss: \$38.75

Realized Profit/Loss: \$ 87.12

BROKER POSITIONS

Symbol	Strategy	OV Date	OV Action	OV Entry	TP Date	TP Action	TP Entry	Last	PLS
CMCSA	R10-L-SP	8/19/2013 8:30:00 AM	LONG 9.89%	42.58	8/22/2013 8:17:50 AM	LONG 72	42.37	41.92	-32.4
MMM	Unmanaged		No Position		8/27/2013 8:32:21 AM	LONG 26	113.43	113	-11.18
PG	Unmanaged		No Position		8/28/2013 8:30:11 AM	LONG 39	77.75	76.85	-35.1
HPQ	R22-L-SP	8/26/2013 8:30:00 AM	LONG 9.97%	22.36	8/26/2013 8:30:19 AM	LONG 138	22.38	22.61	31.74
SINA	R16-L-ELS	8/28/2013 8:30:00 AM	LONG 9.92%	76.25	8/28/2013 8:30:02 AM	LONG 40	76.25	78.16	76.4
SYMC	R16-L-ELS	8/28/2013 8:30:00 AM	LONG 9.96%	25.5	8/28/2013 8:30:02 AM	LONG 121	25.5	25.69	22.99

NO BROKER ORDERS

CLOSED TRADES

Symbol	Strategy	Entry Date	Exit Date	Entry Price	Exit Price	Quantity	PLS
NOV	R5-B-ELS	6/18/2013 8:33:16 AM	6/20/2013 2:25:55 PM	71	68.59	-3	7.22
CNX	R9-L-ELS	6/6/2013 8:32:34 AM	6/21/2013 8:31:12 AM	33.55	30.36	11	-35.09

Figure 8-2. Trade Processor Report

If your Trade Processor is disconnected at the time the report is generated, a message will be displayed stating that the OmniVest, broker, or both connections have been interrupted.

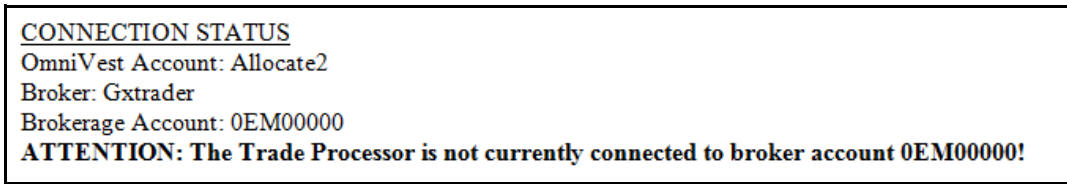


Figure 8-3. Trade Processor Report Showing OmniVest Connected and the Broker Disconnected

Configuring Trade Processor Reports

Trade Processor reports can be configured to send one email each day to the account you specify at the time you designate. The email will be sent from your email address to your email address, so you will need to configure your reports using your email account credentials.

Follow these instructions to configure the reports:

1. Click **Edit>Preferences**.

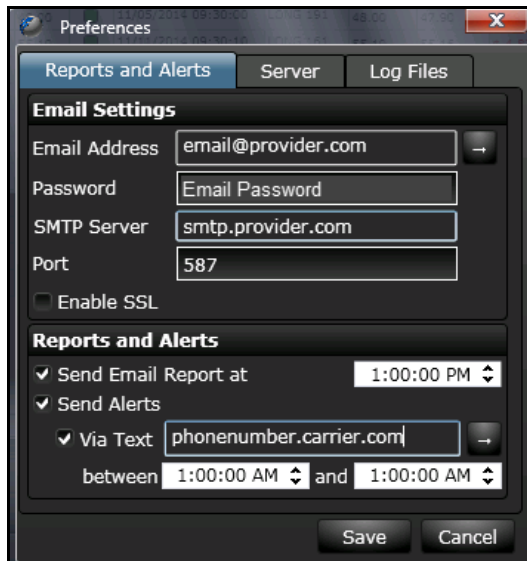


Figure 8-4. Reports and Alerts Window

2. Enter the email address that you want the report sent to.
3. Enter the password for the email account you are using.

4. Enter the SMTP Server information, Port and Enable SSL according to your email provider. Settings for the most common email providers are listed at the end of this document.
5. Enable the check box to Send Email Report.
6. Specify the time for the report to be sent.
7. Test the email report by clicking the right arrow button located to the right of the email address field.

Trade Processor Alerts

The Trade Processor can be configured to send an email or text alert when either of the following events occur:

- The Trade Processor is disconnected from the broker for five minutes.
- The Trade Processor disconnects from OmniVest.
- A trade or order is found to be unmanaged without user interaction.

Follow these instructions to set up Trade Processor Alerts:

1. Click **Edit>>Preferences**.
2. Enter the email address, email password and SMTP server as described in the above section, Configuring the Trade Processor Reports.
3. Enable Send Alerts to receive an email alert.
4. If you would prefer to receive the alert as a text message to your phone, enable Via Text and enter your phone number and carrier.
5. Set the start and end time for alerts to be sent, text alerts will not be sent outside of these designated hours.
6. Test the alert by clicking the right arrow button located to the right of the text phone number field.

SMTP Settings for Common Email Providers

The following list of settings for each email provider are in the following format:

- Provider Name
- SMTP Server Address
- Port

- SSL

Hotmail

smtp.live.com

Port 587

Enable SSL

Outlook

smtp.live.com

Port 587

Enable SSL

Yahoo

smtp.mail.yahoo.com

Port 587

Disable SSL

Gmail

smtp.gmail.com

Port 587

Enable SSL

MSN

smtp.email.msn.com

Port 587

Enable SSL

Roadrunner

smtp-server.austin.rr.com (change austin to your location)

Port 587

Disable SSL

Comcast

smtp.comcast.net

Port 465

Enable SSL

Lycos

smtp.mail.lycos.com

Port 25
Disable SSL

AOL
smtp.aol.com
Port 587
Enable SSL

Mail.com
smtp.mail.com
Port 465
Enable SSL

Popular provider SMS formats for texts

phonenumber = your 10 digit phone number.

Sprint: phonenumber@messaging.sprintpcs.com

Verizon: phonenumber@vtext.com

T-Mobile: phonenumber@tmomail.net

AT&T: phonenumber@txt.att.net

Virgin Mobile: phonenumber@vmobl.com

US Cellular: phonenumber@email.uscc.net

Cricket: phonenumber@sms.mycricket.com

SunCom: phonenumber@tms.suncom.com

Alltel: phonenumber@message.alltel.com

Metro PCS: phonenumber@MyMetroPcs.com

Trade Processor Logs

The Trade Processor creates activity logs that show a record of trading history, connectivity and errors when generated. The Trade Processor can be configured to automatically delete older log files. This may be particularly useful if the Trade Processor is running on a Windows instance with limited space, such as on a cloud service.

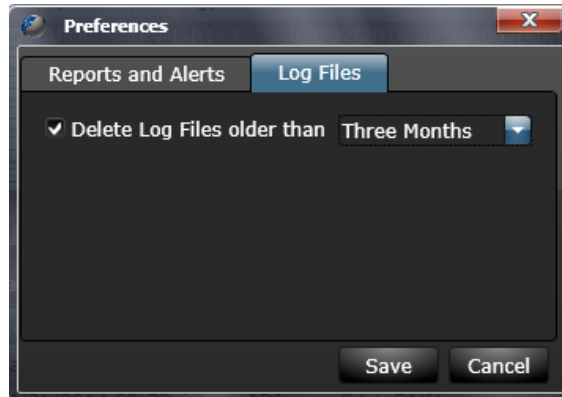


Figure 8-5. Log File Options Under Preferences

To automatically delete log files, follow these instructions:

1. Click **Edit>Preferences**.
2. Select the **Log Files** tab.
3. Enable the option to "**Delete log files older than**" and click the drop down to specify the time.

With this setting enabled, log files older than the specified time will be automatically deleted at startup, when the setting is changed and once per day.

Trade Processor Server Version

The Trade Processor can be run continuously on the Nirvana servers for uninterrupted trading with Gxtrader or MB Trading as your broker. Interactive Brokers will not run in Server Mode. You will continue to monitor trading and enter manual trades using the Trade Processor application; however, it does not need to be running for automatic trading to occur.

The Trade Processor will display “Server Mode” at the bottom of the window when it is running in server mode.

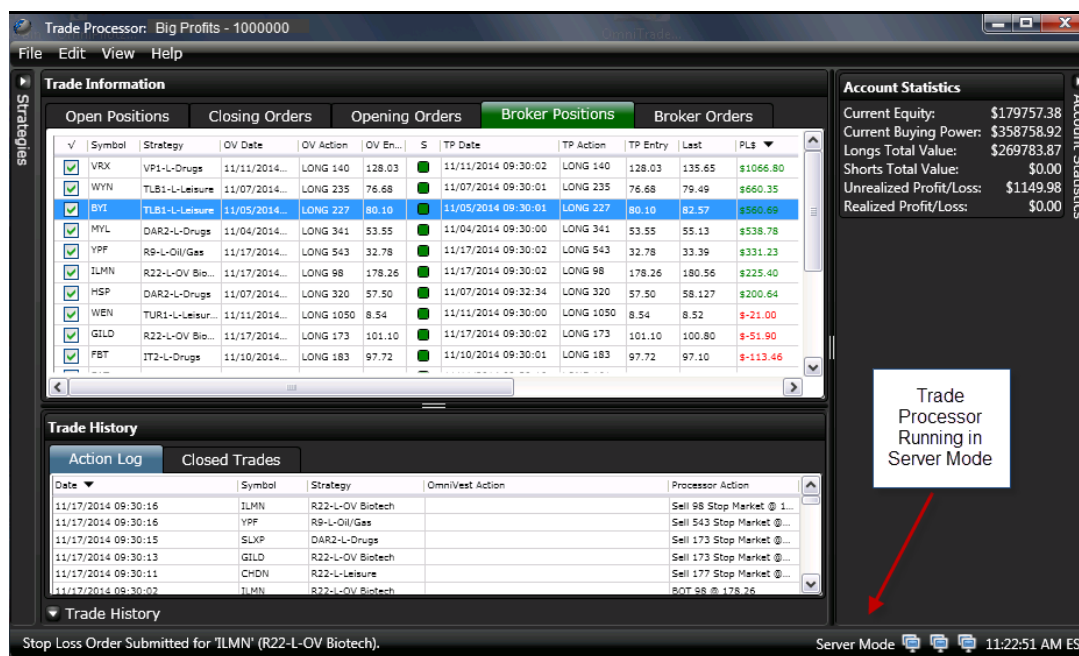


Figure 9-1. Trade Processor Showing that is Running in Server Mode

Enabling the Trade Processor for Server Mode

The Trade Processor client needs to be installed and configured for trading prior to enabling Server Mode.

1. When the TP starts, click **Edit>>Preferences>>Reports and Alerts**.
2. Enter your email address and enable ‘Send Alerts’



Note You will not be able run server mode without these reports and alert settings.

3. Click the **Server** tab and enable the option to **Run Trade Processor continuously on Server**.
4. When this is activated, all settings, open trades and trade history will be moved to a Trade Processor running on OmniVests’ servers will and connect to the selected broker.



Note You may view the connection status of the account in the Trade Processor column of the Accounts page of MyOmniVest.com.

Closing the Trade Processing in Server Mode

The Trade Processor client does not need to be running in order for automatic trading to occur. Closing the Trade Processor in server mode will display a message notifying you that trading will continue with the client application closed.

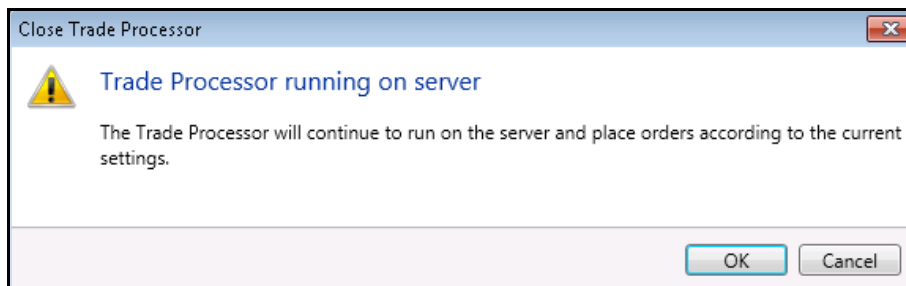


Figure 9-2. Server Notification Message

Monitoring the Trade Processor Connection on the OmniVest Web Page

The OmniVest web page includes a TP column on the Accounts page that indicates which of your OmniVest accounts are connected to the Server Version of the Trade Processor.






Subscription: Unlimited Strategies. Selected: 23 Custom Strategies.												Create New
Account	Trade	TP	# Str	% Wins	TPM	CAR	MDD	Avg Ann MDD	Alloc %/Trade	Avg % Invested	Ending Equity	
Allocate2	Yes		45	58.4 %	75	159.4	10.1 %	10.1 %	4.5 %	144.2 %	\$95,158	Delete
Compare1	Yes		32	55.6 %	116.1	14.8 %	21.1 %	21.1 %	6.2 %	170.1 %	\$94,824	Delete
My Account	Yes		35	64.9 %	156.1	45.2 %	34.1 %	21.6 %	5.0 %	284.2 %	\$287,242	Delete
NewPort	Yes		45	69.0 %	53.0	90.4 %	8.8 %	7.1 %	7.2 %	130.9 %	\$191,112	Delete
QuickTest	Yes		1	50.4 %	310.7	11.0 %	17.0 %	14.1 %	4.9 %	159.1 %	\$129,500	Delete
StratLab	No		26	64.1 %	65.5	48.1 %	27.2 %	16.9 %	13.2 %	136.7 %	\$800,499	Delete
TestMe	Yes		4	60.9 %	47.3	-8.7 %	24.8 %	12.4 %	4.9 %	108.8 %	\$89,267	Delete

Figure 9-3. Accounts Page of the OmniVest Web Site

The symbols found in the TP column on the OmniVest web page are as follows:

A blank Trade Processor column indicates there is no server version of the Trade Processor running on that account.



- Indicates a non-traded/demo account.



- Indicates the Trade Processor is running on the server and connected to both OmniVest and the Broker.



- Disconnect icon showing there is a Trade Processor running on the server but either OmniVest, the broker or both connections have been interrupted.



- Unplugged icon indicating there should be a Trade Processor running on the server but it's not running. This could be an indication of a Trade Processor unintended termination or intentional server maintenance at OmniVest.

Disconnecting from Server Mode

1. Click **Edit>>Preferences>>Server**.
2. Disable the option to **Run Trade Processor continuously on Server**. Server Mode will disappear from the bottom of the Trade Processor.

If you have not configured your email settings you will need to do so before saving this form or you may disable Send Email Report & Send Alerts as an alternative.



Note After the TP is no longer running on the server, you will need to have the TP running if the TP is to continue trading your OmniVest account.

Conclusion

Thank you for using the Trade Processor with OmniVest. We know you will enjoy the seamless automation of your OmniVest account through this easy-to-use program.

We wish you the best of luck in your trading.