ASX Genium

CW1 Client Installation Guide

July 2022

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1   Introduction

ASX Genium Clearing - Clearing Workstation (CW) captures deals executed by ASX Trade24 and off-market trades, such as EFPs and Block Trades, for on-line allocation by Participants. Genium Clearing provides the mechanism for these trades to be updated with information indicating the Participant or account for which the trade has been executed.

The purpose of the CW application is to address the need for clearing member back office personnel to access information in Genium through an application which is sufficiently intuitive. Furthermore, the application enables users to issue requests via CW, e.g. request exercise on a particular position.

2   Clearing Workstation 1 Pre-installation

To begin using CW you will need to install the latest Clearing Workstation Software kit on Windows 10 and configure the application software.

1. Uninstall any previous CW1 software version that is currently located on your machine.

2. Obtain and unpack the Genium CW1 software kit from ASX e.g. CW1_2.0.0604_6__r143631.zip

3. Obtain CW1 login accounts e.g. XYZ_CS_SMITH_J or XYZ_CN_JONES_S from ASX.

4. Supported Windows version is Win 10. Set UAC to the lowest setting (Never notify) or else log files will not be created.

5. Verify TCP ports 2121, 2122 for Production and CDE+ Environments and 2131, 2132 for CDE are not currently in use on the client PC (open a CMD box and run the command netstat –an. Check that nothing is listening on those ports).

6. Configure the name or IP address of the CWS server managed by ASX.

7. Permit TCP access through ports 2121, 2122, 2131 and 2132 between the client PC and the CW server.

3 Installation

The screenshots below show an example of installing the Genium CW1 Client application for SY exchange for participant XYZ. The steps are similar for the NZ exchange.

Double-click the install file, for example, CW1_2.0.0604_6__r143631.exe

Follow the prompts as shown in the screens below:
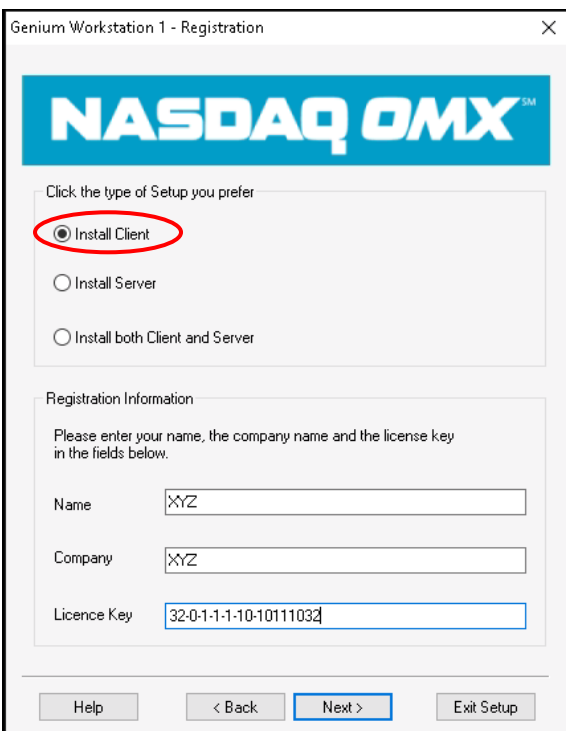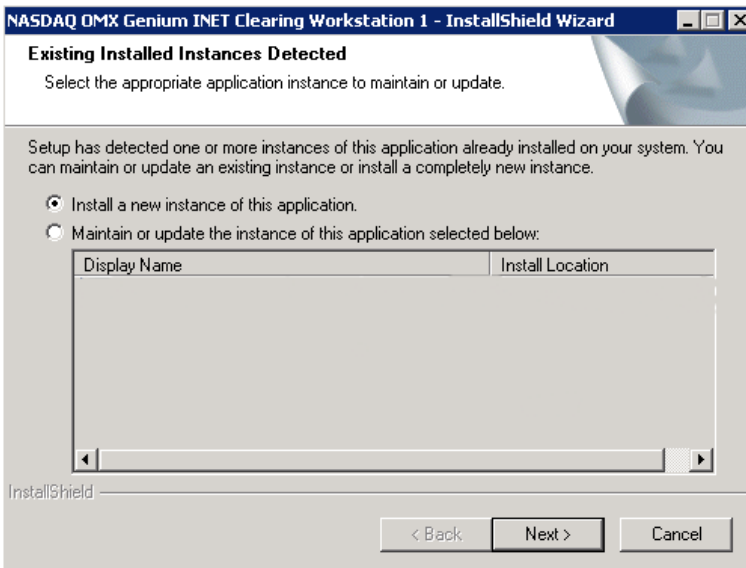
(Substitute participant code for XYZ)

Enter the License Key according to the exchange that the CW1 client is being installed for:

For **Production** and **CDE+** Environments
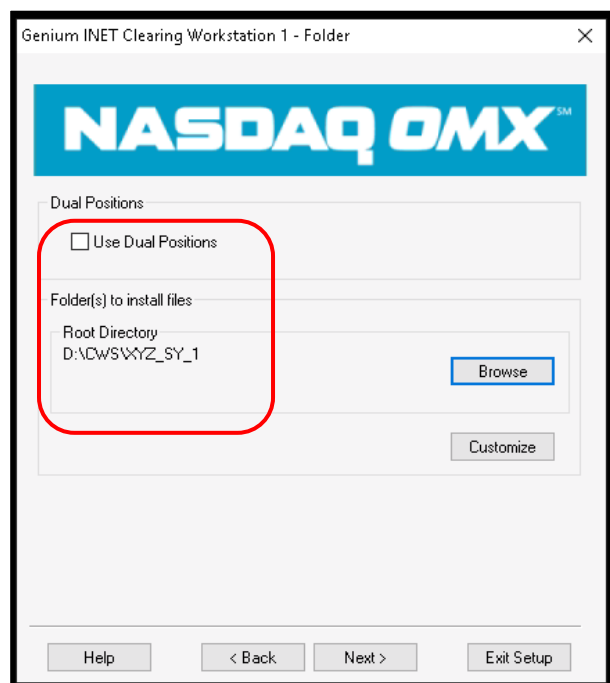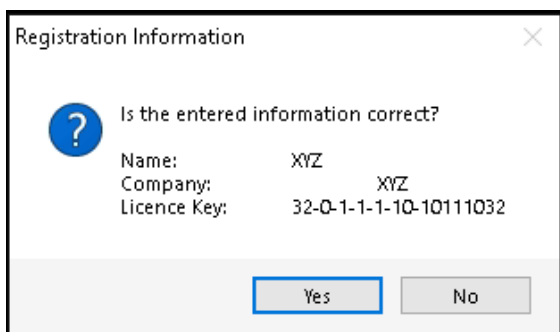
 SY   32-0-1-1-1-10-10111032

NZ   32-0-1-2-1-10-10121032

For **CDE** Environment

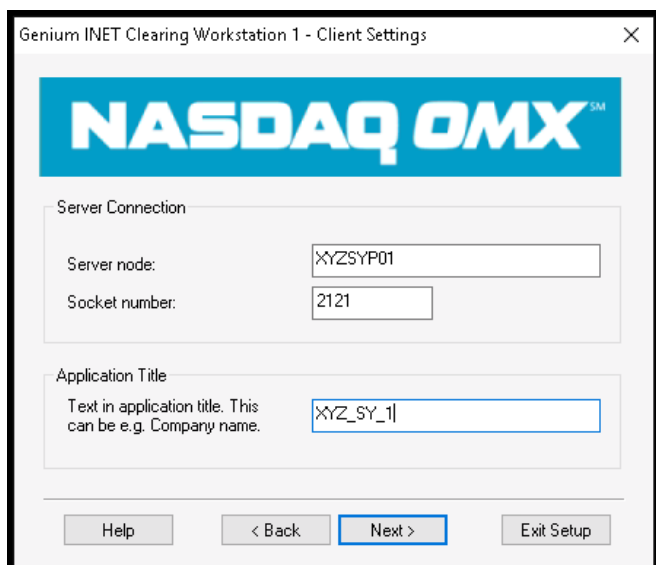SY   32-0-1-3-1-10-10131032

NZ   32-0-1-4-1-10-10141032

UNTICK Use Dual Positions.

Click on the Browse button and specify the folder according to the exchange that CW1 client is being installed for. In this example, CW1 is installed into D:\CWS\XYZ_SY_1.

SY   XYZ_SY_1

NZ   XYZ_NZ_2

The Server node is the name or IP address of the CWS server managed by ASX. You will need to contact ASX for this information.

Enter the Socket number according to the exchange that CW1 client is being installed for:

For **Production** and **CDE+** Environments

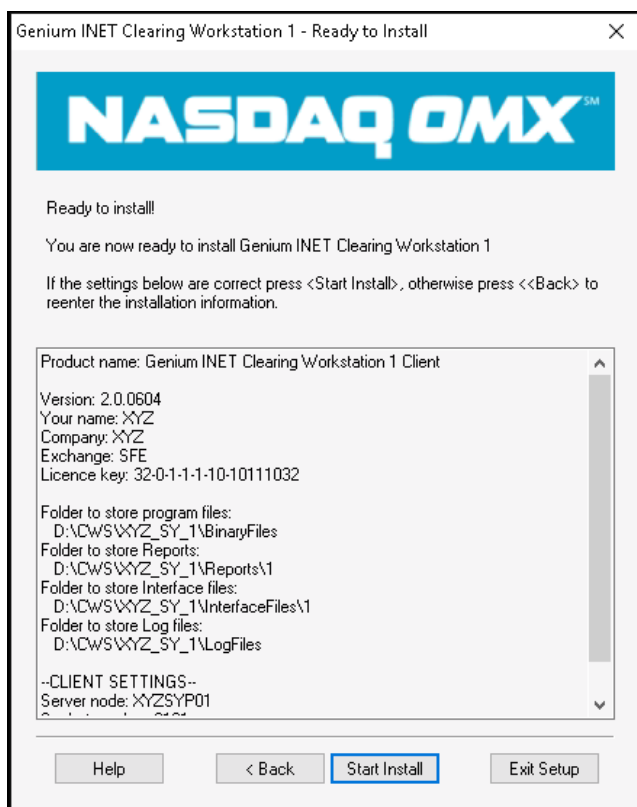SY   2121

NZ   2122

For **CDE** Environment

SY   2131

NZ   2132

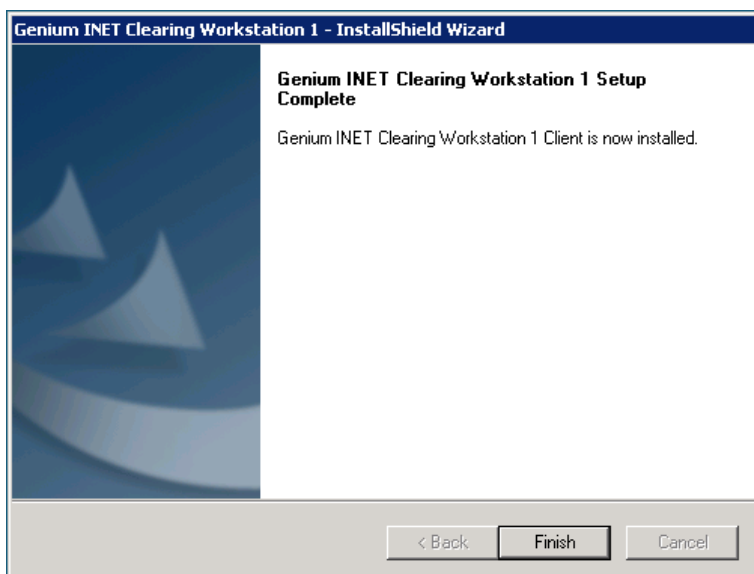The Application Title should be populated as per below:

For SY markets: XYZ_SY_1

For NZ markets: XYZ_NZ_2

Confirm the information provided above is correct before clicking Start Install.

Once the installation process has been completed the below will be displayed:

Genium INET Clearing Workstation 1 - InstallShield Wizard

Genium INET Clearing Workstation 1 Setup Complete

Genium INET Clearing Workstation 1 Client is now installed.

[< Back] [Finish] [Cancel]

4 Post Installation

After the CW1 client is installed, verify the folders are set up as shown below. The LogFiles folder should contain a log file called cw1_client_1_<node>.log when you run the CW1 client.
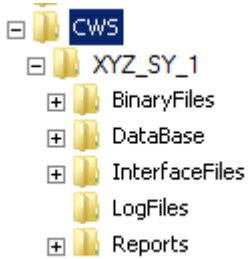
To install an icon on the user's desktop, navigate to the menu where the new CW1 application is found.

Create a shortcut on the desktop (Right-click on an item, Drag-drop onto desktop, Create Shortcut here).
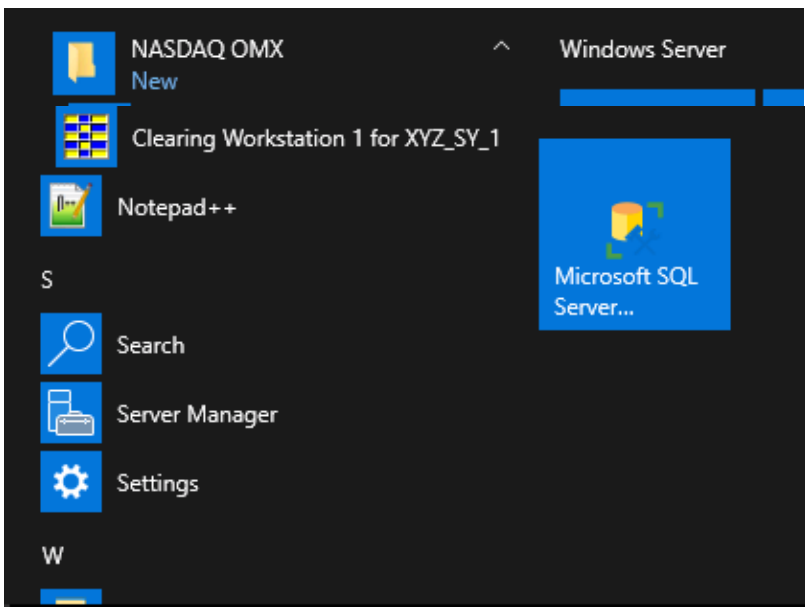
5   CW1 Client and Server Connectivity Tests

Perform the following connectivity tests between the CW1 Client and the CW Server.

The CW1 client accesses the CWS through ports 2121 for **Production** and **CDE+** (SY), 2122 **Production** and **CDE+** (NZ), 2131 **CDE** (SY) and 2132 **CDE** (NZ) depending on which exchange is installed on the PC. If, for example, SY and NZ are installed, then perform the tests for ports 2121, 2122, 2131 and 2132.

5.1   PORTQRY TEST

Download PortQry Command Line Port Scanner from Microsoft.

Perform a basic network connectivity test with portqry example below. LISTENING means pass.
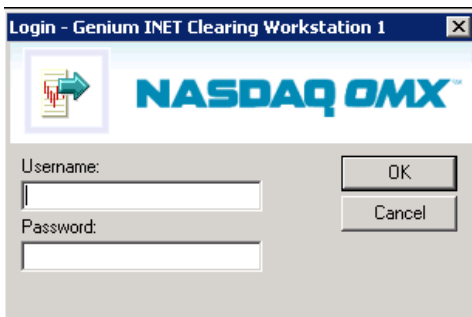
D:\temp>**portqry.exe -n <ASX CWS server> -e 2121 -p TCP**

```
Querying target system called:

<ASX CWS server>

Attempting to resolve name to IP address...

Name resolved to nn.nn.nn.nn

querying...
TCP port 2121 (unknown service): LISTENING
```
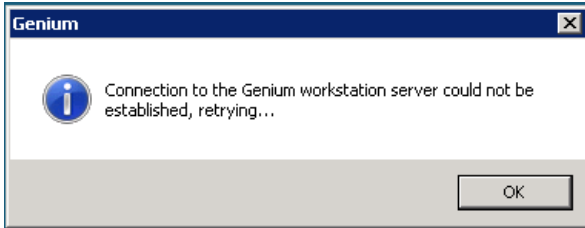
5.2   CW1 CONNECTION AND LOGIN TEST

Run the newly installed CW1 client on a workstation for the specific exchange.

A successful connection to the CW server will show the following screen.

But if the screenshot below is encountered, the CW1 Client failed to connect to the CW server.

This is typically due to a network issue such as a firewall block, incorrect routing, incorrect IP address, wrong port settings, etc.

1. Check with your IT support regarding your network setup or firewall.

2. Confirm that the CW1 application is installed with the correct server node and socket values in the registry.

HKEY_LOCAL_MACHINE\SOFTWARE\Wow6432Node\NASDAQ OMX\Genium INET\Clearing Workstation1\

1 - SY

2 - NZ

CL_PIC_SERVER_NODE can be an IP address e.g. 172.30.82.56 as well as a name.

CL_PIC_SERVER_SOCKET value should be 2121 (SY), 2122 for NZ

CL_PIC_SERVER_NODE	REG_SZ	XYZSYP01
CL_PIC_SERVER_SOCKET	REG_SZ	2121
CL_PIC_SHOW_CDCC_STATUS	REG_SZ	FALSE

3. Check the CW1 client log file found in:

D:\CWS\XYZ_SY_1\LogFiles\ cw1_client_1_pcname.log

4. Contact ASX for assistance with testing.

Customer Technical Support

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