

# CME Clearing Firm Contact System (FCS) User Manual

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Global Operations Education

## Introduction to CME Group Firm Contact System

**CME Group Firm Contact System (FCS)** is a contact management tool that enables Clearing Member Firms to maintain and review their firm's contact information. The **FCS** is a simple, easy-to-use application for clearing firms to view other clearing firm contact information.

With **FCS** the firm's administrator can easily enter and manage your firms' contact information. This information is used by CME staff and Clearing Firms when they need to contact someone at your firm.

**FCS** offers several features:

- **Accessible via CME Group Portal**  
The tool allows users to access the application using the same entry point as other CME Group applications via the CME Group Portal.
- **Quick access to *all* Clearing Member Firms' Contact Information**  
Retrieving a firm's contact number has never been easier; displays on-line all clearing firms' up-to-date contact information in one location.
- **Self-Management of Clearing Firm Contact Information**  
FCS allows clearing firms to spend less time looking for Contact Information, which can sometimes be time consuming. User information is entered ***one time*** in ***one place*** and can be updated by a firm administrator at their convenience.
- **Scalable contact information**  
Contact information from CEO to staff members. Only certain contacts will be listed for public viewing.
- **Reports**

The user guide has two sections:

- *Public* - instructs users on how to view and print contact information for all firms.
- *Administration* - instructs the administrator on how to search, view, edit and confirm information; only for the firms you are authorized to access.

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## Accessing CME Firm Contacts

To access the CME Firm Contact System, complete the following steps:

1. First log on to CME Group Connect by entering the following address in your Internet browser <http://connect.cme.com>. If you do not have access, reference page 18.

2. Enter your **User Name** and **Password**, and then click **Login**. Product is set to *CME Portal*.

Upon successful login, you will be redirected to the CME Applications menu.

3. Select the icon or the “**CME Firm Contacts**” link.

## Firm Contacts – Main Menu

The FCS main menu window displays the following options:

- Contacts
- Firms
- Maintain Contacts
- Contact Us

## Searching for Contacts by Firm Type

The Contacts section allows the user to search for contact information by firm type, firm name and contact type. The user can filter the search by exchange.

1. To access firm contact information, click **Contacts**.

2. Select the following information:

### Firm Type

- Trading Firm - displays a list of trading firm names
  - Clearing Firm – displays a list of clearing firm names
- Firm type can be sorted by Firm Number (000 – 999) or Firm Name (A – Z)

### Firm Name

- All Firms or click the drop-down and select a firm
- When selecting a firm from the drop-down list; the Related Clearing Firm name and number will display if the Firm Type is Trading Firm.

Firm Name	006-Dowd Wescott Group	Related Clearing Firm	287 (MF Global Inc.)
-----------	------------------------	-----------------------	----------------------

### Contact Type

- Trading Firm
  - All Contact Types
- Clearing Firm
  - Back Office Manager
  - Brokerage Payment System (BPS) Contact
  - Clearing / Trade Processing Contact
  - Deliveries Operations Contact
  - Give-Up Payment System (GPS) Contact

### Exchange Covered

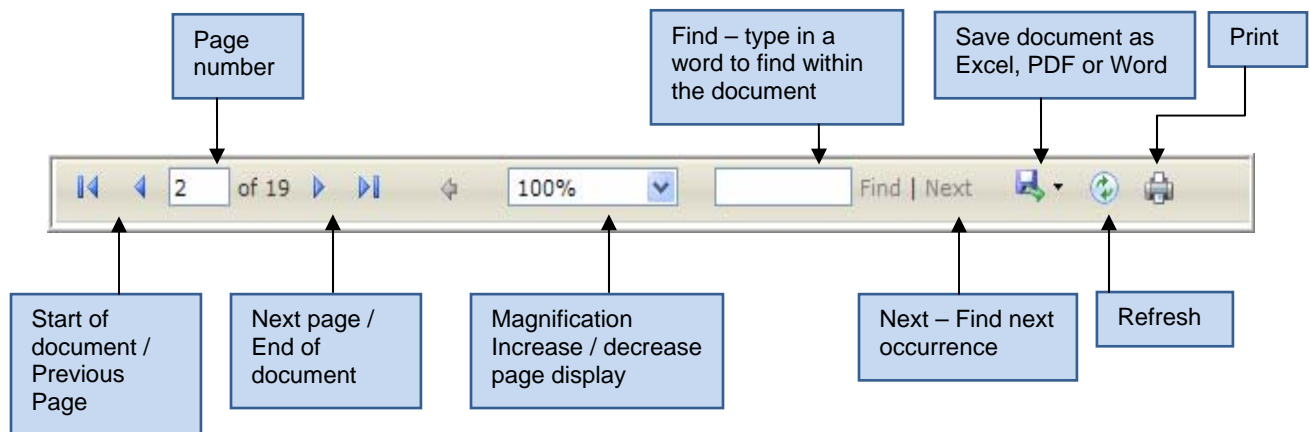
- Chicago Board of Trade
- Chicago Mercantile Exchange Inc
- New York Mercantile Exchange
- Commodities Exchange Inc

### 3. Select the View or View as PDF button.

The **View** button will display the following report:

Firm	Contact	Name	Office	Email	Fax
A.G. Edwards & Sons, Inc.	Back Office Manager	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Brokerage Payment System (BPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Clearing / Trade Processing Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Deliveries Operations Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Give-Up Payment System (GPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
Aardvark Trading LLC	Back Office Manager	[Redacted]	(312) [Redacted]	[Redacted]	
	Brokerage Payment System (BPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	
	Clearing / Trade Processing Contact	[Redacted]	(312) [Redacted]	[Redacted]	
	Deliveries Operations Contact	[Redacted]	(312) [Redacted]	[Redacted]	
	Give-Up Payment System (GPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	
ABN AMRO Incorporated	Back Office Manager	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Brokerage Payment System (BPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Clearing / Trade Processing Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Deliveries Operations Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
	Give-Up Payment System (GPS) Contact	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]
ACG Trading	Back Office Manager	[Redacted]	(312) [Redacted]	[Redacted]	
	Back Office Manager	[Redacted]	(312) [Redacted]	[Redacted]	(312) [Redacted]

When the **View as PDF** button is selected, the above report will display in a .PDF format allowing the user to save the document for future reference or for emailing.



**Note:** To go directly to a page, enter page number and press 'Enter'.

### 4. To **Exit**, close the browser or navigate to a different web site.

## Searching for Firm Contacts by Exchange

The Firms section allows the user to search for contact information by exchange. The user can sort the search by Firm Name or Firm Number.

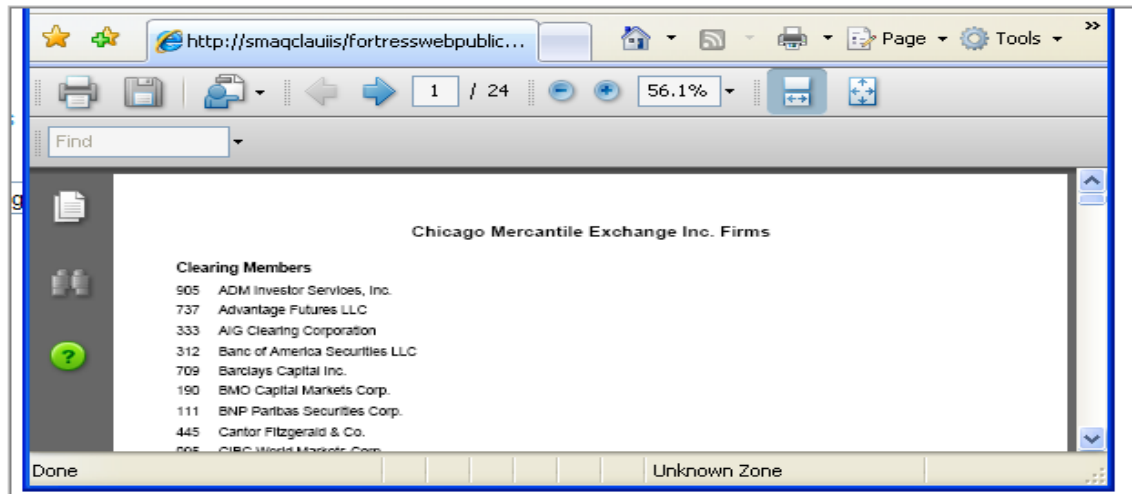
1. Select **Firms** from the main menu.



2. Select an **Exchange** to view from the drop-down list.
  - Chicago Mercantile Exchange Inc
  - Chicago Board of Trade
  - New York Mercantile Exchange
  - Commodities Exchange Inc
3. Select the **Sort By** type:
  - Name (A - Z)
  - Number (000 - 999)
4. Click the **View** or **View As PDF** button.



'View as PDF' the file will open in a pop-up window.



## Maintain Contacts – Accessing Administrator’s View

The Maintain Contacts section allows the administrator to maintain and review *their* firm's locations and contact information. The Maintain Contacts link redirects the user to the administrator's login screen (access to this area is restricted to administrators).

1. To access the administrator's view, click **Maintain Contacts**.

The user will be redirected to an administrative login screen.

ccs@cmegroup.com'." data-bbox="167 253 882 476"/>

2. Enter your **User Name** and **Password**, and then click **Login**.

Review your office locations', 'Step 2: [Review your list of employees](#)', 'Step 3: [Review your association of employees and CME contact types](#)', and 'Step 4: [Sign-off on the data](#)'. At the bottom is a link: '[Request Access for Additional Users](#)'." data-bbox="167 545 882 795"/>

**Note:** Request Access for Additional Users - - reference page 18.

## Administrative - Main Menu

The administrative functions of the FCS are to review and sign-off on the completeness and accuracy of the firm's contact information. CME Group has recommended four steps to accomplish this task:

- Review Firm Office Locations
- Review Firm List of Employees
- Review Firm Association of Employees and CME Contact Types
- Sign-Off on the Firm's Information

The Firm Contact administrative main menu displays the following options:

- Home
- Data (Top-Down Navigation)
  - Locations
  - Employees
  - Contacts
  - Review/Sign Off
- Reports (Top-Down Navigation)
  - Locations
  - Employees
  - Contacts
  - Sign-Off History
- Contact Us
- Public Site
- Log Out

## Administrative - Review / Add Office Information

**Step 1:** Review your office locations

1. Click **Step 1** hyperlink to display your firm's locations **or** click *Location* located under Data.

Step 1: [Review your office locations](#)

2. To add a new location, click the **Add New** button.

**Firm Locations**

Note: As a CME Clearing Firm you must enter a disaster recovery site location.

CME Test Firm ▼

**Add New**

		Description	Main Location	Disaster Recovery Site
<a href="#">Edit</a>	<a href="#">Delete</a>	Disaster Recovery	No	Yes
<a href="#">Edit</a>	<a href="#">Delete</a>	Main Office	Yes	No

3. Enter the following information:

- Description\*
- Check as needed:
  - Main Location
  - Disaster Recovery Site
  - Foreign Address (Reference Appendix A)
- Address Line 1\*
- Address Line 2
- City\*
- State
- Zip Code\*
- Country (*enabled for Foreign Address only*)
- Phone Number\*
- Comments (Optional)

4. Click Save after entering the firm information.

Asterisk (\*) indicates required.

[Home](#) | [Data](#) | [Reports](#) | [Contact Us](#) | [Public Site](#) | [Log Off](#)

**New Firm Location for CME Firm Test**

Description

Main Location

Disaster Recovery Site

Foreign Address

Address Line 1

Address Line 2

City

State ▼ Illinois

Zip Code

Country ▼ United States

Phone Number

Comments

**Save** **Cancel**

The user will be redirected to the Firm Locations listing with the new location added to the list.



**Firm Locations**

Note: As a CME Clearing Firm you must enter a disaster recovery site location.

CME Test Firm ▼

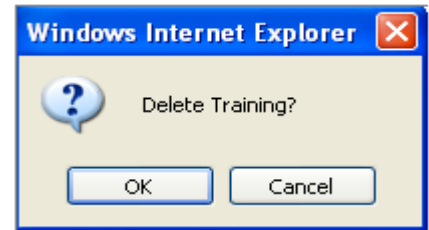
Add New

		Description	Main Location	Disaster Recovery Site
<a href="#">Edit</a>	<a href="#">Delete</a>	Disaster Recovery	No	Yes
<a href="#">Edit</a>	<a href="#">Delete</a>	Main Office	Yes	No
<a href="#">Edit</a>	<a href="#">Delete</a>	Training	No	No

**Note:** Location 'Main Office' can only be designated once per firm.

## Edit and Delete Options

- To edit a firm location, click the **Edit** link. Enter the updated information and click **Save**.
- To delete a firm location, click **Delete**. A confirmation dialog box will display, click **OK**.



**Note:** Cannot delete a location assigned to an employee.

- To return to the home page, click the **Home** link.

[Home](#) | [Data](#) ▶ | [Reports](#) ▶ | [Contact Us](#) | [Public Site](#) | [Log Off](#)  
Firm Locations

## Administrative – Review / Add Employees

**Step 2:** Review your list of employees

- Click **Step 2** hyperlink to display a list of employees associated with your firm **or** Click *Employees* located under Data.

Step 2: [Review your list of employees](#)

- To add a new employee, click the **Add New** button.

**Firm Employees**

Employees who are contact types for the CME.

CME Firm Test ▼

Add New

		Last Name	First Name	Title
<a href="#">Edit</a>	<a href="#">Delete</a>	Doe	John	Out-Trades
<a href="#">Edit</a>	<a href="#">Delete</a>	Smith	Jack	VP-Administration & Regulatory Affairs

3. Enter the follow information:

- Courtesy Title
- First Name\*
- Middle Initial
- Last Name\*
- Informal Name
- Name Suffix
- Title
- Physical Location
- Mail Location
- Floor, Suite, etc.

### Phone Numbers and Email Address

- Office\*
- Mobile
- FAX
- Home
- Email
- Comments

#### Note:

Foreign *Phone Numbers*, uncheck domestic the field will expand.

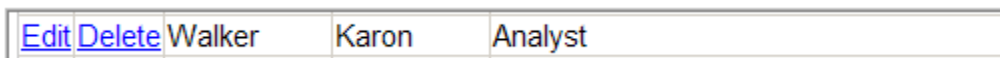
If marked as *Private*, the data will not be viewable by other firms.

4. Click **Save** after entering the employee information.

A confirmation message will appear “*Employee changes were saved*”.

## Edit and Delete an Employee Information

To edit an employee’s information, click the **Edit** hyperlink.

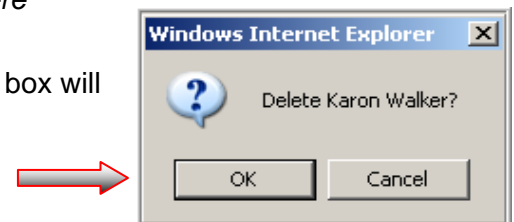


The Update Firm Employee screen will display, enter the updated information for the selected employee and then click **Save**.

A confirmation message will appear “*Employee changes were saved*”.

To delete an employee, click the **Delete** hyperlink. A dialog box will display confirming the deletion.

- Click the **OK** button.



## Association of Employees

### Step 3: Review your Association of Employees and CME Contact Types

This step allows you to indicate which employees are associated with specific contact types.

1. Click **Step 3** hyperlink to display a list of your firm's employees **or** click *Contacts* located under Data.

Step 3: [Review your association of employees and CME contact types.](#)

Contacts can be viewed by Contact Type or Employee Name. If a contact is marked as Private, only the CME will be able to view contact information for that employee.

**Contacts**

Entity:

View contacts by:

Contact Type

Employee

Employees who are 1FR / FOCUS Statement Contact

ADD	Last	First	Title	CME	CBOT	NYMEX	Comments
<input type="checkbox"/>	Doe	John	Out-Trades	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Smith	Jack	VP-Administration & Regulatory Affairs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Brown	William	President	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Jones	Sally	Assistant Operations Manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Doe	Ann	Bank Settlement	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>

2. Select the contact type you want to display. A **check** next to the employees who fall in the selected 'Contact Type' will display. [i.e. Contact Type = Back Office Manager]

**Contacts**

Entity:

View contacts by:

Contact Type

Employee

Employees who are Back Office Manager

ADD	Last	First	Title	CME	CBOT	NYMEX	Comments
<input checked="" type="checkbox"/>	Doe	John	Out-Trades	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Smith	Jack	VP-Administration & Regulatory Affairs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Brown	William	President	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Jones	Sally	Assistant Operations Manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Doe	Ann	Bank Settlement	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>

All employees who are classified as a Back Office Manager will be displayed with a checkmark.

**Note:** To associate employees with a 'Contact Type' click on the checkbox under ADD and then click Save (located at the bottom of screen).

To view contacts by Employee Name, select an employee from the drop-down list. The associated contact types for that employee will display.

**Contacts**

Entity

View contacts by:

Contact Type

Employee

Contact types associated with Jones, Sally

ADD	Contact Type	CME	CBOT	NYMEX	Comments
<input type="checkbox"/>	1FR / FOCUS Statement Contact	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Designated Spokesperson	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	CME Group Main Contact - Audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Audit / Joint Audit Committee Mailings Contact	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Back Office Manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Brokerage Payment System (BPS) Contact	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Chief Executive Officer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Chief Financial Officer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Chief Operating Officer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input checked="" type="checkbox"/>	Clearing / Trade Processing Contact	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	Collateral Management Contact	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="text"/>

Jones, Sally is associated with a number of contact types as displayed above.

## Sign-Off

### Step 4: Sign-off on the data

The administrator is required to review and sign-off on the accuracy of the firm's information as required by CME Group.

1. Click **Step 4** hyperlink **or** click *Sign Off* located under Data.

Step 4: [Sign-off on the data](#).

2. Click the **Sign Off** button. A confirmation message will display – “*Signoff Has Been Saved*”.

Home | Data ▶ | Reports ▶ | Contact Us | Public Site | Log Off

**Review/Sign Off**

CME Firm Test ▼

Refresh Errors and Warnings

Click below to indicate that you have reviewed the contact information and attest to its accuracy and completeness.

**Sign Off**

Last Signoff: 6/16/2010 by Karon Walker

**Note:** The last administrator who signed off on the firm contact information will be displayed along with the signoff date.

### Review and Sign Off – Errors and Warnings

There are two types of messages that may display - - Errors or Warnings.

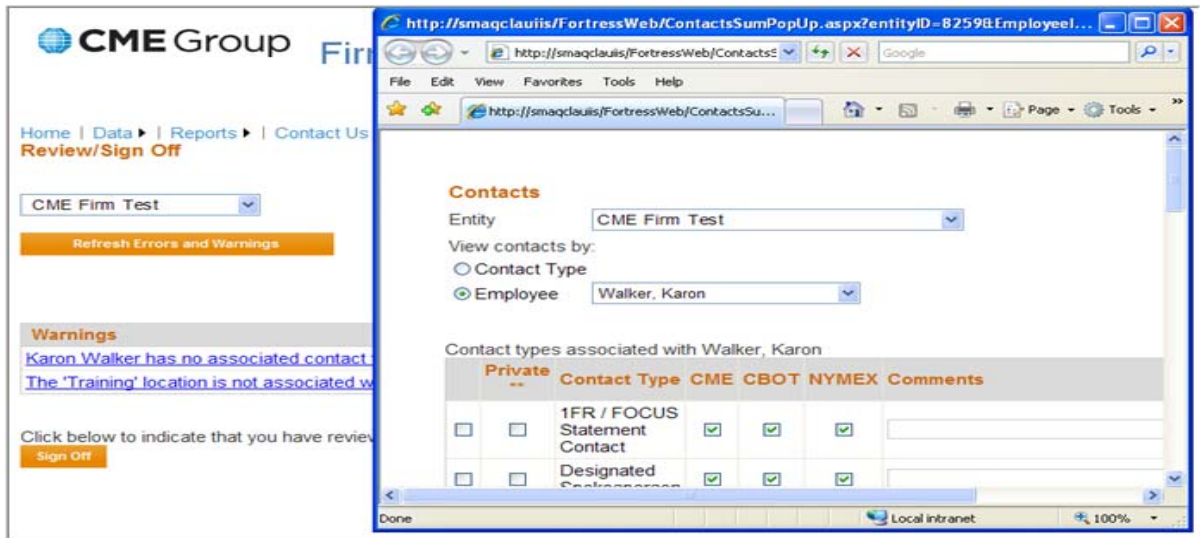
An error will not allow you to sign off, it must be corrected.

A warning will allow you to sign off however; if you can correct the warning then do so.

In the screen shot on the next page, there are two messages listed in the Warnings section:

- **Error Message:** Karon Walker has no associated contact type.
  - **Warning Message:** The 'Training' location is not associated with a contact type.
- If a message is indicated click the **warning message** link located in the Warning section of the Sign Off screen.

After clicking the warning / error a pop-up screen will display.



### To correct an associated contact error

1. Click on the checkbox(s) to the left of the Contact Type that the employee is associated with.
2. Scroll to the bottom of the list and click **Save**.
3. Close the pop-up window.

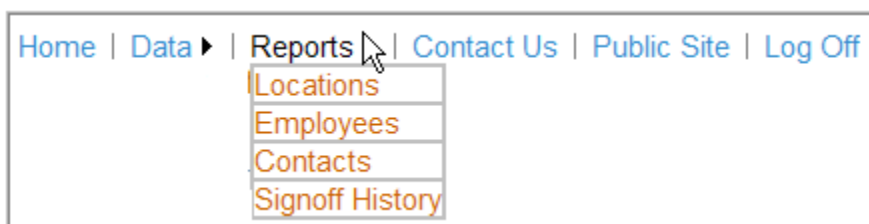
### Multiple warnings

1. Click on each warning link for details on how to clear the warning message(s).
  2. After you have corrected the warning messages, click the **Refresh Errors and Warning** button.
- Click the **Sign Off** button after refreshing the errors and warnings.

## Reports

The Firm Contact System has pre-defined reports to choose. The report types are:

- **Contacts** – This report displays the association between employees of the selected firm and CME contact types.
  - **Employees** – This report displays detailed information about all of the employees for the selected firm.
  - **Locations** – This report displays detailed information about all of your firm locations.
  - **Sign-Off History** – This report displays a summary of your sign-off activity. It includes the approver's name and date signed-off.
1. To select a report, hover the mouse over **Reports** and click on a report type.



2. Select a firm. Only the firms you are authorized to view will display.
3. Select the report format and then click **View** or **View as PDF**.

**Contacts Report**

This report displays the association between employees of the selected firm and CME contact types.

CME Test Firm

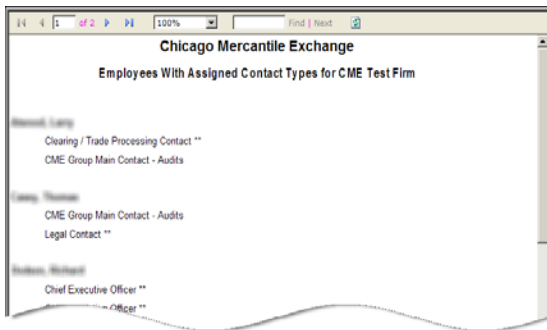
Report Format:

Show employees and their associated CME contact types

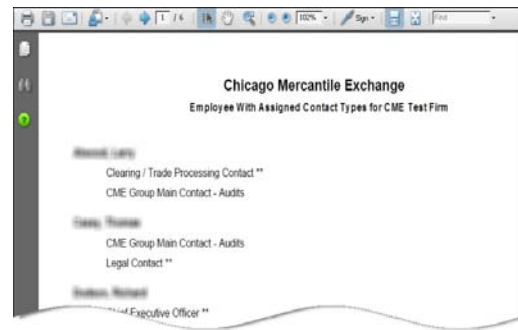
Show CME contact types and the employees associated with them

The View modes options:

View



View as PDF



4. To exit the View mode click the internet back button.



## Contact Us

The **Contact Us** link will display contact information for content or website concerns.

- CME Clearing Services – [ccs@cmegroup.com](mailto:ccs@cmegroup.com) - 1-312-207-2525


## Public Site

Click the **Public Site** button to exit the administrative module.

## Log Out

Click the **Log Off** button to exit FCS.

## Request Access for Additional Users

 **CME Group** Firm Contacts

[Home](#) | [Data](#) ▶ | [Reports](#) ▶ | [Contact Us](#) | [Public Site](#) | [Log Off](#)

In order to access our site, you need to have an ID and password to access the CME Portal and you need to be given access to the Contacts Web site.

**Obtain an ID for the CME Portal**

If you do not already have an ID for the portal, you need to fill out a form to request access. Go to [www.cmegroup.com/clearing/files/onlineaccess.pdf](http://www.cmegroup.com/clearing/files/onlineaccess.pdf) and print a copy of the request form. Fill it out and fax it back to the number printed on the form.

**Access to the Contacts Web Site**

After you receive your portal login ID and password from the CME, please contact the CME Audit Department at 312-930-3230 so that they can provide you access to the Firm Contacts Web site. Once you have been given access to the site, you will receive a separate E-mail message containing instructions for using the site.

## Appendix A – Location with Foreign Address

Description	<input type="text"/>	*
Main Location	<input type="checkbox"/>	
Disaster Recovery Site	<input type="checkbox"/>	
Foreign Address	<input checked="" type="checkbox"/>	
		Foreign Address (Full address, include country)*
		<input type="text"/>
Country	<input type="text" value="India"/>	▼
Phone Number	<input type="text"/>	*
Comments	<input type="text"/>	
	<input type="button" value="Save"/>	<input type="button" value="Cancel"/>

## Appendix B – Employee with Foreign Phone Number

Click the **Domestic** checkbox to expand the phone number field.

Phone Numbers and Email Address	
Office*	<input type="checkbox"/> Domestic <input type="text"/>
Mobile	<input type="checkbox"/> Domestic <input type="checkbox"/> Private (Viewable by CME only) <input type="text"/>
FAX	<input type="checkbox"/> Domestic <input type="checkbox"/> Private (Viewable by CME only) <input type="text"/>
Home	<input type="checkbox"/> Domestic <input type="checkbox"/> Private (Viewable by CME only) <input type="text"/>



20 South Wacker Drive  
Chicago, Illinois 60606-7499  
Tel: 1 312 930 1000  
Fax: 1 312 466 4410  
E-mail: [info@cmegroup.com](mailto:info@cmegroup.com)

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