

# CFS

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## **Combined Exchange Fee System User Manual**

*July 2009*

# Combined Exchange Fee System (CFS)

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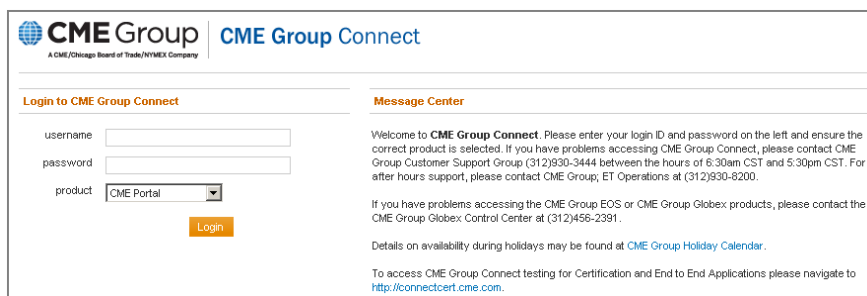
## 1. Combined Exchange Fee System (CFS)

The Combined Exchange Fee System (CFS) is a browser-based tool that enables clearing firm fee administrators to search, view and edit transactions, maintain account and electronic User ID information and execute reports that identify exchange fees charged to their clearing firm.

### 1.1 How do I Access CFS?

To access the fee application, customers must first log on to CME Group Connect by entering the following address in your internet browser: <http://connect.cme.com>.

In the username and password fields, enter the CME Group Connect access credentials issued to you by CME Group's Firm Support Team. If you do not have this information, please refer to the Message Center on the CME Group Connect homepage for assistance. Once the username and password have been entered, the product selection should be set to "CME Portal". After entering the appropriate information, click the "Login" button.



CME Group Connect Login

Upon successful login, you will be directed to the CME Applications menu. Here, you should be able to view the Fee System Portal Icon (Refer to the screen shot to the right). This is the icon that will allow you access to the Fee System. Simply select the icon or the "Fee System Portal" link to enter the fee application.



Fee System Portal Icon

If you do not have access to CME Group Connect or this icon, please contact CME Group's Firm Support Hotline at 312.930.3444 between the hours of 6:30am CST and 5:30pm CST.

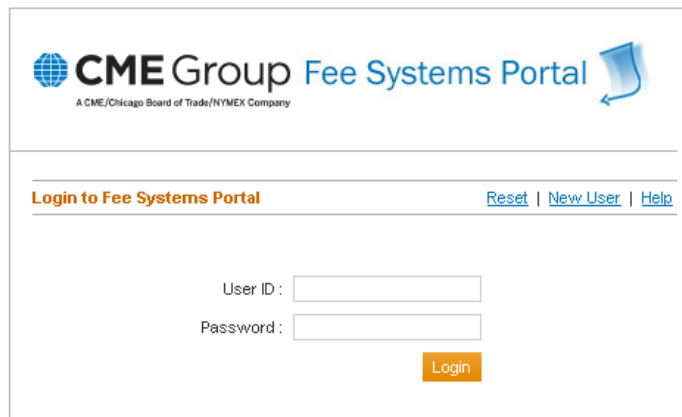
### 1.2 The Fee Systems Portal Login

The Fee Systems Portal Login page provides access to the CME Group's fee systems.

To gain access to the Fee Systems Portal, refer to the following instructions:

1. Complete the **System Access Request Form** (<http://www.cmegroup.com/clearing/files/onlineaccess.pdf>)
2. Fax the completed form to:  
**312.338.2626**

*Average processing time is 24 hours.*



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Fee Systems Portal Login

If the User can access the Fee System Portal (seen above) but does not yet have a User ID or Password:

# Combined Exchange Fee System (CFS)

1. **Select the New User** link for these same system access instructions.
2. This screen will appear.
3. Follow the instructions and Firm Support will issue new User IDs and Passwords.



[Login to Fee Systems Portal](#)

[Reset](#) | [New User](#) | [Help](#)

### Access to the Online Fee Applications


Chicago Mercantile Exchange Inc. provides fee administrators with an online interface to view and maintain fees charged to their clearing firm or related entity. After successfully logging in to the Fee Systems Portal page, you will be directed to the menu page that will display the fee system(s) (CME - Exchange Fee System, CBOT - Clearing Fee System and FXMarketSpace Fee System) to which you have been granted access.

To gain access to these online systems please fill out the [System Access Request Form](#). Then fax it to: **312-338-2626** (average processing time is 24 hours)

If you have any additional questions or need further assistance please contact the Fee System Hotline at: **312-648-5470**

[New User Instruction Page \(To Get New User ID & Password\)](#)

Once the User can access the Fee Systems Portal:

1. **Enter** the User ID and Password issued by Firm Support.
2. **Click** the  button.

The **Fee System's Menu** will appear.

If the assigned password and ID does not work, follow the instructions in the Appendix, [Login Troubleshooting](#).

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Fee Systems Portal Login Page

If the User ID continues to fail or becomes disabled after three failed attempts,  
telephone: CME Group Firm Support at 312.930.3444  
or e-mail: [FirmSupport@cmegroup.com](mailto:FirmSupport@cmegroup.com).

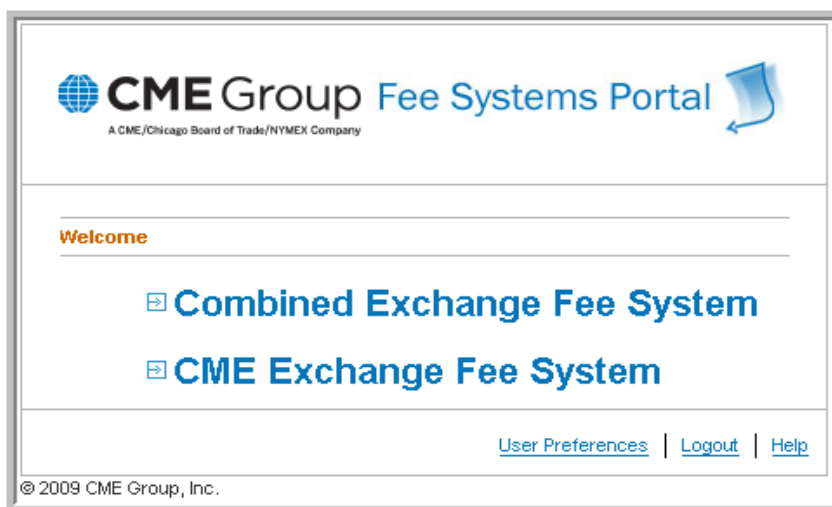
## 1.3 Fee Systems Menu

After successfully logging in to the Fee Systems Portal, the User will be directed to the **Fee Systems Menu page**.

The Fee Systems Menu page will display links to all of the fee systems to which the User has been granted access. Each Fee System maintains billing for the CME Group. The current fee systems are:

- **CME Exchange Fee System:** View and maintain CME exchange and clearing fees.
- **Combined Exchange Fee System:** View and maintain CBOT, NYMEX, COMEX and DME exchange and clearing fees.

*This System Menu shows the profile for a User who has access to both Fee Systems.*



- **Click** on a **System Title** to go to the respective homepage of that system.
- **Click** the **User Preferences** link to go to the change password screen.
- **Click** the **Logout** link to logout of the Fee Systems Portal and return to its login page.

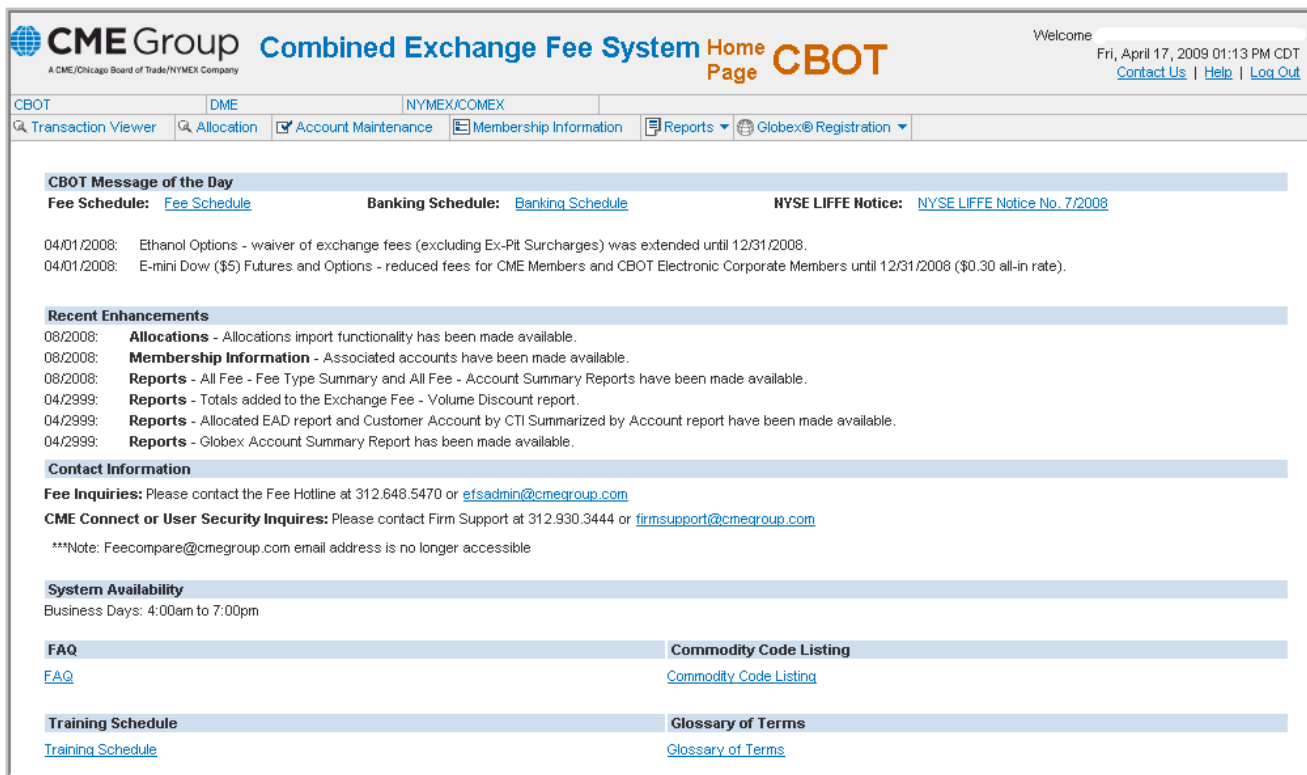
**NOTE:** If a system is unavailable due to system maintenance, the link for that system will be grayed out and the User will not be able to click on it. A message will display below the system image to notify the User that maintenance is in progress.

*For Password Tips and Features, please refer to the Appendix, [Password/Tips Features](#).*

# Combined Exchange Fee System (CFS)

## 2. CFS HOMEPAGE

Once successfully logged into the CFS application the CFS Homepage will appear.



The screenshot shows the CFS Homepage interface. At the top left is the CME Group logo and the text 'A CME/Chicago Board of Trade/NYMEX Company'. To the right of the logo is the text 'Combined Exchange Fee System Home Page CBOT'. Further right is a 'Welcome' message with the date and time 'Fri, April 17, 2009 01:13 PM CDT' and links for 'Contact Us', 'Help', and 'Log Out'. Below the header is a navigation bar with tabs for 'CBOT', 'DME', and 'NYMEX/COMEX'. Underneath are icons for 'Transaction Viewer', 'Allocation', 'Account Maintenance', 'Membership Information', 'Reports', and 'Globex® Registration'. The main content area is divided into several sections: 'CBOT Message of the Day' with links for 'Fee Schedule', 'Banking Schedule', and 'NYSE LIFFE Notice'; a list of messages dated 04/01/2008 regarding fee waivers and reductions; 'Recent Enhancements' with dates and descriptions of new features like 'Allocations', 'Membership Information', and 'Reports'; 'Contact Information' with 'Fee Inquiries' and 'CME Connect or User Security Inquiries' contact details; 'System Availability' with business hours; and a grid of links for 'FAQ', 'Commodity Code Listing', 'Training Schedule', and 'Glossary of Terms'.

CFS Homepage

The main body of the homepage includes:

- **Multi-Exchange Accessible** – Firms will be able to access CBOT, NYMEX/COMEX, and DME.
- **Home Page** – This page is important to view as CME Group’s fee team will utilize this screen to communicate messages to the Users. Information on this page is subject to change, but will display such items as Fee Schedule, Banking Schedule, Recent Enhancements, Contact Information, System Availability, FAQ, Commodity Code Listing, Training Schedule, Glossary of Terms, Allocation Import Instructions and Allocation Import Template.
- **CFS Help** – click on the **Help** link on the top right corner of the page (on any screen) to be directed to the CFS User Manual. If the information is unavailable or further detail is needed, please call the EFS Hotline at 312-648-5470.

Navigation within the CFS site is driven by the top menu bar, logically separated by the main functions to be performed within the application after selecting the exchange. The CFS homepage also includes links directing the User from the CFS homepage to the CME Group website and from other areas within CFS back to the homepage. These features are identified below:



Select the CME Group logo in the top left corner of the homepage to be re-directed to the **CME Group’s website**.



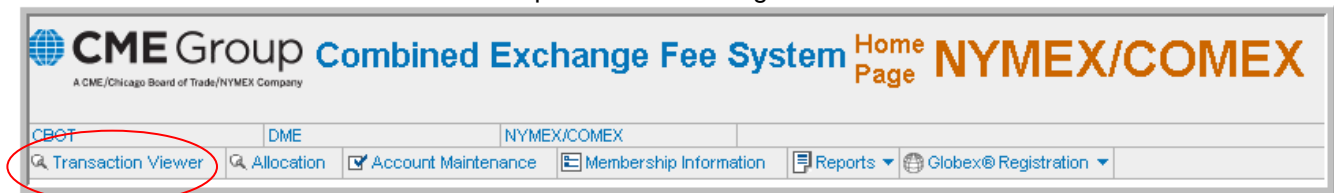
Select the Combined Exchange Fee System logo at the top of any page to be re-directed to the **homepage** of that exchange.

## 3. Transaction Viewer

The **Transaction Viewer** screen offers both basic and advanced search options to View Trades, Edit Trades, Edit Trader ID, and View E/A/D's (Exercises, Assignments and Deliveries, which includes Expired Options, Cash Settlements and Futures from Exercise and Assignment).

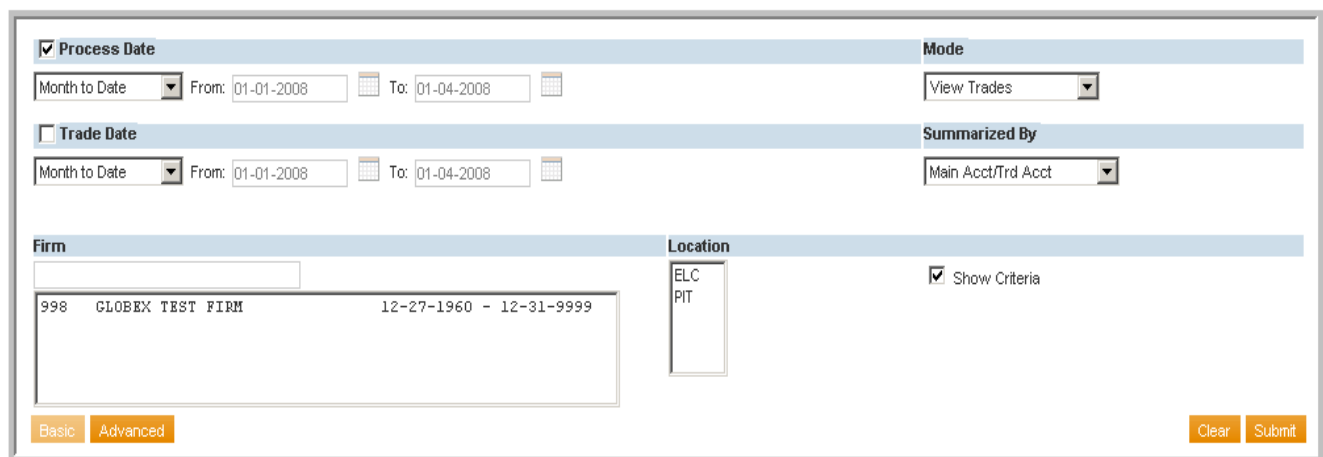
### 3.1 Accessing Transaction Viewer

To access **Transaction Viewer** select the option from the navigation menu.



### 3.2 Performing a Basic Search for Trades or E/A/D's

When the Transaction Viewer link is chosen from the CFS Homepage, the Transaction Viewer's basic search page appears.



The screenshot shows the Transaction Viewer Main Page/Basic Search Page. The form includes search criteria for Process Date, Trade Date, Mode, Summarized By, Firm, and Location. The 'Process Date' and 'Trade Date' sections have 'Month to Date' dropdowns and 'From' and 'To' date pickers. The 'Mode' dropdown is set to 'View Trades'. The 'Summarized By' dropdown is set to 'Main Acct/Trd Acct'. The 'Firm' field contains '998 GLOBEX TEST FIRM' and '12-27-1960 - 12-31-9999'. The 'Location' dropdown is set to 'ELC PIT'. There is a 'Show Criteria' checkbox checked. At the bottom, there are 'Basic' and 'Advanced' tabs, and 'Clear' and 'Submit' buttons.

Transaction Viewer Main Page/Basic Search Page

#### A Basic Search Consists of:

- Selecting a check box for **Process Date** or **Trade Date** identifying the date search criteria.
- Selecting the **Mode** – or the action to be taken.
- Identifying the criteria by which the results should be organized in the **Summarized By** field.
- Selecting a **Firm**.
- Selecting the **Location** of the transaction.
- Clicking the **Show Criteria** box to view the search criteria on the results page.

Two fields are **required** in order to complete a basic search: The **Date Range** and a **Firm**. If one or more of these fields are left blank, an error message will appear. For the best search results, all fields should be completed, however, if unmodified, the default fields will be used for the Date, Mode, and Summarized By selections. The **Location** field is mandatory only when editing a Trader ID.

**NOTE:** Refer to the [Errors in Selecting Search Criteria](#) for more information about Error Messages.

### 3.2.1 Transaction Viewer Basic Search Field Descriptions

FIELD NAME	DESCRIPTION
Process Date	The date that the trade was processed in CFS.
Mode	The action to be taken (e.g. View Trades, Edit Trades, etc.).
Trade Date	The date that the trade was executed.
Summarized By	How the data should be grouped/viewed by (e.g. Main Account/Trade Account)
Firm	Represents the filling firm (executing firm) of the transaction
Location	The location in where the trade was executed (Pit or Electronic)

The following sections describe these Basic Search Fields in detail.

### 3.2.2 Date Selection

A date selection is required to execute a search. Limit the search using Process Date or Trade Date by checking the box in front of one or both of the date selections.

#### A. Transaction Viewer Basic Date Operator Definitions

OPERATOR NAME	DESCRIPTION
Month to Date	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day.  <i>NOTE: Dates cannot be changed while in the Month-To-Date mode.</i>
Equals	Equals specifies only one day. The system default displays the prior trading day.
Between	Between specifies the beginning and end dates for a date range.  <i>NOTE: With a "Between" search criteria, it is only possible to view a maximum of one calendar month at a time.</i>
Last Month	Last Month defaults the beginning and end dates to the first and last days of the previous month.
Two Months Ago	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
Three Months Ago	Three Months Ago defaults the beginning and end dates to three months prior to the current month.  <i>NOTE: Data viewed outside the rebate period cannot be edited.</i>

When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and typing in the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field. Click on the calendar icon to have the calendar window appear.



<<	April 2009							>>
Sun	Mon	Tue	Wed	Thu	Fri	Sat		
29	30	31	1	2	3	4		
5	6	7	8	9	10	11		
12	13	14	15	16	17	18		
19	20	21	22	23	24	25		
26	27	28	29	30	1	2		
3	4	5	6	7	8	9		
close								

# Combined Exchange Fee System (CFS)

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## 3.2.3 Mode Selection

Select the Mode using the drop-down menu.

- **View Trades** allows the User to view all transactions as read-only.
- **Edit Trades** allows the User to view and submit trades for recalculation, plus change trading accounts.
- **Edit Trader ID** allows the User to view transactions made by a specific trader and change the Trader ID based on a specific location. **NOTE:** With this mode you can only summarize your data by Trader ID or Trader ID/Trade Account.
- **View E/A/D's** allows the User to view all unallocated Exercises, Assignments, Deliveries, as well as Expirations, Cash Settlements and Futures from Exercise/Assignment.

## 3.2.4 Summarized By Selection

Select how to sort the data by choosing an option from the drop-down menu in the Summarized By field.

- **Main Account/Trade Account** summarizes data by Main Account and then by Trade Account.
- **Trade Account** summarizes data by Trade Account.
- **Trader ID/Trade Account** summarizes data by Trader ID and then by Trade Account.
- **Commodity** summarizes data by commodity code.
- **Trader ID** summarizes data by Trader ID. (**NOTE:** Trader ID contains user's broker symbol (for location "PIT") or electronic user ID (for location "ELC") in one column.)

## 3.2.5 Firm Selection

The firm list displays all of the firms the User is authorized to view.

- To select a firm, click on a firm (the firm will then be highlighted).
- To select multiple firms, hold down the **CTRL** key on the keyboard and click all desired firms and assure that they are highlighted before submitting the search. (Note: a maximum of five firms may be selected at one time).

## 3.2.6 Location

Select the location where the transaction took place:

- **ELC** is for electronic trades/transactions.
- **PIT** is for any transaction that took place on the floor/open outcry.
- No selection defaults to both locations.

## 3.2.7 Show Criteria

The **Show Criteria** box is automatically checked so that the search criterion displays above the search results.

- The Show Criteria box default is to show all the search criteria along with the search results.
- Uncheck the Show Criteria box to show results only.

## 3.2.8 Obtaining Basic Search Results

- Once the search criteria are defined, select the **Submit** button to execute the search and retrieve the data.
- Search results will be displayed according to the Mode selected. Please refer back to the [Mode Selection](#) section, for information detailing available Modes.

# Combined Exchange Fee System (CFS)

## 3.3 Performing an Advanced Search

In order to perform a more specific search, choose an **Advanced Search** by selecting the **Advanced** button at the bottom left side of the search form. The basic search selections will remain at the top of the page and must be completed, and advanced fields will appear beneath them. Below are examples of a Basic Search as well as NYMEX and CBOT Advanced Search screens.

BASIC SEARCH

Process Date	Mode
Month to Date <span style="font-size: 0.8em;">▼</span> From: <input style="width: 100px;" type="text" value="01-01-2009"/> <input style="width: 20px;" type="text" value=""/> To: <input style="width: 100px;" type="text" value="01-07-2009"/> <input style="width: 20px;" type="text" value=""/>	View Trades <span style="font-size: 0.8em;">▼</span>
Trade Date	Summarized By
Month to Date <span style="font-size: 0.8em;">▼</span> From: <input style="width: 100px;" type="text" value="01-01-2009"/> <input style="width: 20px;" type="text" value=""/> To: <input style="width: 100px;" type="text" value="01-07-2009"/> <input style="width: 20px;" type="text" value=""/>	Main Acct/Trd Acct <span style="font-size: 0.8em;">▼</span>

Firm	Location							
<table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"> <tr><td style="width: 10%;">011</td><td style="width: 60%;">AIG CLEARING CORPORATION</td><td style="width: 30%;">09-17-1991 - 12-31-9999</td></tr> <tr><td>013</td><td>JUMP TRADING, LLC</td><td>07-11-2008 - 12-31-9999</td></tr> </table>	011	AIG CLEARING CORPORATION	09-17-1991 - 12-31-9999	013	JUMP TRADING, LLC	07-11-2008 - 12-31-9999	<input style="width: 100%;" type="text" value="ELC"/> <input style="width: 100%;" type="text" value="PIT"/>	<input checked="" type="checkbox"/> Show Criteria
011	AIG CLEARING CORPORATION	09-17-1991 - 12-31-9999						
013	JUMP TRADING, LLC	07-11-2008 - 12-31-9999						

Basic
Advanced

Clear
Submit

NYMEX ADVANCED

Product Venue	Commodity	Fut/Opt	Venue
<input style="width: 100%;" type="text" value="ALL"/> <input style="width: 100%;" type="text" value="COMEX"/> <input style="width: 100%;" type="text" value="NYMEX"/>	<input style="width: 100%;" type="text" value="1A ARGUS BIODIESEL RME FOB RDAM SWAP C"/> <input style="width: 100%;" type="text" value="1C BRENT CFD (PLATTS) VS. FRONT MONTH"/> <input style="width: 100%;" type="text" value="1D RBOB GASOLINE BALMO CALENDAR SWAP"/> <input style="width: 100%;" type="text" value="1E RBOB CRACK SPREAD BALMO SWAP"/>	<input style="width: 100%;" type="text" value="FUT"/> <input style="width: 100%;" type="text" value="OPT"/>	<input style="width: 100%;" type="text" value="CXPIT"/> <input style="width: 100%;" type="text" value="NYPIT"/> <input style="width: 100%;" type="text" value="CPT"/> <input style="width: 100%;" type="text" value="CPC"/> <input style="width: 100%;" type="text" value="GLBX"/>

Basic
Advanced

Clear
Submit

CBOT ADVANCED

Quadrant	Commodity	Fut/Opt
<input style="width: 100%;" type="text" value="ALL"/> <input style="width: 100%;" type="text" value="AG"/> <input style="width: 100%;" type="text" value="FIN"/> <input style="width: 100%;" type="text" value="INDEX"/> <input style="width: 100%;" type="text" value="METAL"/>	<input style="width: 100%;" type="text" value="06 SOYBEAN MEAL"/> <input style="width: 100%;" type="text" value="07 SOYBEAN OIL"/> <input style="width: 100%;" type="text" value="08 BINARY SYNTHETIC"/> <input style="width: 100%;" type="text" value="11 DOW JONES"/>	<input style="width: 100%;" type="text" value="FUT"/> <input style="width: 100%;" type="text" value="OPT"/>

Basic
Advanced

Clear
Submit

Transaction Viewer Advanced Search Screens

# Combined Exchange Fee System (CFS)

## 3.3.1 Transaction Viewer Advanced Search Field Definitions

FIELD NAME	DEFINITION	
Product Venue (NYMEX only)	<b>ALL</b> NYMEX and COMEX products	
	<b>COMEX</b> COMEX products only	
	<b>NYMEX</b> NYMEX products only	
Quadrant (CBOT/DME)	For CBOT, each commodity (product) can be identified by one of the following classifications: Agriculture (AG), Financial (FIN), Equity Index (INDEX), and Metals (METAL). For DME, there are no Quadrant classifications, so the selection criterion is ALL.	
Commodity	Indicator code (usually a two to five character code) that identifies the contract traded.	
Fut/Opt	Trading activity may be isolated by either the Futures or Option indicator.	
Venue (NYMEX/DME)	<b>NYMEX</b> NYMEX Floor Trading (Open Outcry)	
	<b>COMEX</b> COMEX Floor Trading (Open Outcry)	
	<b>CPC</b> ClearPort Clearing	
	<b>CPT</b> ClearPort Trading – Electronic trading venue for NYMEX and DME; not a valid venue for COMEX products.	
	<b>GLBX</b> Globex – CME Group electronic trading platform for NYMEX, COMEX and DME products.	
Main Account	This is the Grouping Account (or Account Alias) created by firms via the account maintenance screen in which all trading accounts are associated (roll up) to.	
Trading Account	This is the actual trading account number that was listed on the transaction.	
Broker	Field identifies the member's acronym, typically referred to as Broker Symbol. This field should be predominately utilized for isolating PIT trading activity.	
Trader ID	Field identifies the executor's user ID, typically referred to as an operator ID or TAG 50. This field should be predominately utilized for isolating Electronic trading activity.	
Order Number	Field identifies the customer's order. This number is internally generated by the order routing software that uniquely identifies an order instruction.	
Transaction Type	Field identifies the specific type of transaction executed, below are the descriptions:	
	<b>PIT</b>	PIT SPRD, PIT TRD
	<b>Ex-PIT</b>	BLOCK, BLOCK SPREAD, EFP, EFR, EFS
	<b>Electronic</b>	ELC SPRD, ELC TRD
	<b>Non-Trades</b>	CASH SETTLE, DELIVERY, EXERCISE, ASSIGNMENT, EXPIRED OPTION, FUTURE FROM ASN, FUTURE FROM EXE
<b>Other Trading Activity</b>	GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI, EXCHANGE OPTIONS FOR OPTIONS	
Fee Type	Allows a user to narrow the search by the fees charged to the transaction(s):	
	<b>Clearing Fees (CBOT)</b>	Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee
	<b>Exchange Fees (CBOT)</b>	Exchange Fee, and Exchange Fee-NonTrd
	<b>Ex-Pit Surcharges (CBOT)*</b>	EFP Surcharge and Fung Surcharge <i>*NOTE: Surcharges are associated with Exchange Fees for billing purposes.</i>

# Combined Exchange Fee System (CFS)

FIELD NAME	DEFINITION
	<p><b>Brokerage Fees (CBOT)</b> Brokerage, 106F Brokerage and 106F Brokerage Individual (<i>Brokerage Fees are billed to Broker</i>)</p> <p><b>Exchange Fees (NYMEX)</b> Exchange Fee – PIT, Exchange Fee – GBX, Exchange Fee – CPC, Exchange Fee – CPT, Day Credit, Cash Settlement, E/A/D Notice, Exchange Fee-NonTrd, Ex-Pit Movement, Lessee Surcharge</p> <p><b>Ex-Pit Surcharges (NYMEX)*</b> Block Surcharge, EFS Surcharge  <i>*NOTE: Surcharges are associated with Exchange Fees for billing purposes.</i></p> <p><b>Exchange Fees (DME)</b> Exchange Fee – CPC, Exchange Fee – CPT, Exchange Fee-NonTrd, Exchange Fee – GBX, Cash Settlement, E/A/D Notice</p> <p><b>Ex-Pit Surcharges (DME)</b> Block Surcharge</p>
<b>Applied Fee Indicator (CBOT)</b>	<p>Applied Fee Indicator corresponds to the respective levels on the fee schedule.</p> <p><b>L1</b> Individual Equity Member trading for own account.</p> <p><b>L1D</b> Individual Lessee (Delegate/106.D) trading for own account.</p> <p><b>L1F</b> Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).</p> <p><b>L2</b> Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.</p> <p><b>L3</b> Individual Non-Equity Members (where another individual is executing the trade) and Non-Equity Member Firms that have the trading rights but do not have share minimum for the product traded.</p> <p><b>L3D</b> Individual Delegate Members where another individual is executing the trade.</p> <p><b>L3F</b> Individual Clearing Firm Employee where another individual is executing the trade.</p> <p><b>L4</b> e-cbot Member Firms</p> <p><b>L5</b> Non-Member (Customer)</p> <p><b>L6</b> Mini-sized Contract Permit Holders (also known as a CMACE Permit)</p> <p><b>L6D</b> Individual Lessee (Delegate/106.D) whom is also holding a CMACE permit.</p> <p><b>L6F</b> Individual Clearing Firm Employee (Firm Appointee/106.F) whom is also holding a CMACE permit.</p> <p><b>L7</b> CME Members eligible for discounted rates on selected CBOT products, such as Mini-Dow.</p>
<b>Applied Fee Indicator (NYMEX)</b>	<p>Applied Fee Indicator corresponds to the respective levels on the fee schedule.</p> <p><b>C</b> Non-Member (Customer)</p> <p><b>E</b> Equity (Firm or Individual)</p> <p><b>F</b> 106.F Member</p> <p><b>L</b> Lessee Member (Rule106.D) (<i>Formerly referred to as Licensee</i>)</p> <p><b>X</b> Blended - Member Trading Outside Division but eligible for blended rates</p>

# Combined Exchange Fee System (CFS)

<b>Applied Fee Indicator (DME)</b>	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	<b>DFF</b> DME Floor Member
	<b>DOF</b> Off-Floor Member
	<b>DCM</b> DME Clearing Member
	<b>DMM</b> DME Market Maker
	<b>DNM</b> NYMEX Member
	<b>DCU</b> Non-Member (Customer)
<b>Fee Incentive Indicator (CBOT and NYMEX)</b>	Fee Incentive Indicator corresponds to the respective incentive program. Note: Blanks (or spaces) in this field means no incentive program status applies.
	<b>AIP</b> Asian Incentive Program
	<b>IIP</b> International Incentive Program
	<b>SAIP</b> South American Incentive Program

## 3.3.2 Transaction Viewer Advanced Search Criteria Descriptions

FIELD NAME	DESCRIPTION
<b>Quadrant (CBOT) (DME)</b>  <b>Product Venue (NYMEX)</b>	<p>It is not mandatory to choose a selection from the Quadrant or Product Venue fields. The default setting will search <b>all</b> quadrants or product venues. It is possible to narrow a search to a single quadrant or product venue, however, by clicking on the specific quadrant or product venue in the list to highlight it.</p> <p><b>NOTE:</b> Any time a specific quadrant or product venue is chosen, the Commodity list will automatically update to reflect only the products available within that quadrant or product venue. To narrow the search to a particular product, select the desired products identified in the Commodity field for the chosen quadrant.</p>
<b>Commodity</b>	<p>It is not mandatory to choose a selection from the Commodity field. The <b>default</b> setting will search <b>all</b> Commodities. To narrow a search by commodity, select a single commodity either by scrolling through the list OR type the commodity code in the text field above the commodity list. The system will automatically locate the first item in the list that matches what the entry.</p> <ul style="list-style-type: none"> <li>• To <b>Add a commodity</b> from the commodity list: <ul style="list-style-type: none"> <li>○ <b>Highlight</b> a commodity in the commodity list.</li> <li>○ Click the <b>Add</b> hyperlink or press the enter key.</li> <li>○ The commodity's code will then populate the box to the right of the commodity list.</li> </ul> </li> <li>• To <b>Select multiple commodities:</b> <ul style="list-style-type: none"> <li>○ Repeat the steps above for each commodity. OR hold down the <b>CTRL</b> key on the keyboard.</li> <li>○ Click each commodity to <b>highlight</b> it.</li> <li>○ Click the <b>Add</b> hyperlink to add all of the commodities at once.</li> </ul> </li> <li>• To <b>Delete a commodity</b> from the search list: <ul style="list-style-type: none"> <li>○ Click and <b>highlight</b> that commodity code in the search list box.</li> <li>○ Click the <b>Delete</b> hyperlink.</li> </ul> </li> <li>• To <b>De-Select multiple commodities</b> from the search list: <ul style="list-style-type: none"> <li>○ Click and <b>highlight</b> more than one commodity code in the search list box.</li> <li>○ Click the <b>Delete</b> hyperlink.</li> </ul> </li> </ul>
<b>Fut/Opt</b>	Choose to search for either a Future or an Option to narrow the search.
<b>Venue (NYMEX/DME)</b>	This field allows the User to search by a specific Venue.
<b>Main Account</b>	This field specifies the grouping account.
<b>Trading Account</b>	This field identifies a specific trading account or sub account of the Main Account indicated in the previous field or can be used alone to search for a specific trading account where the main account is unknown.
<b>Broker</b>	This field allows the User to search for a trade transacted by a specific broker.
<b>Trader ID</b>	This field allows the User to search for a trade by the Trader ID being passed through on the trade.
<b>Order Number</b>	This field allows the User to search by the system generated order number.
<b>Transaction Type</b>	This field specifies the type of transaction executed.
<b>Fee Type</b>	This field allows the User to search by the fees charged to the transaction.
<b>Applied Fee Indicator</b>	This field identifies the fee level that corresponds to the fee schedule.
<b>Fee Incentive Indicator</b>	This field indicates the fee incentive program associated to the transaction.

### 3.3.3 Transaction Viewer Advanced Search Operator Descriptions

Several of the Advanced Transaction Viewer Fields offer a drop-down list with operators or functions that allow the User to sort or narrow the search criteria within that field. The definitions for those operators or functions are:

OPERATOR NAME	DESCRIPTION
<b>Any</b>	Allows the User to search for <b>all</b> items and is the <b>default selection</b> .
<b>Begins With</b>	Allows the User to enter the first few numbers and/or letters of the desired search item(s).
<b>Contains</b>	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
<b>Ends With</b>	Allows the User to enter the last few number and/or letters of the desired search item(s).
<b>Equals</b>	Allows the User to enter the exact search item. "Equals" may also be used to enter multiple accounts so that it works as an "is in" option.

### 3.3.4 How to Use the Transaction Viewer Advanced Search

#### To Add a Search Item

1. For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
2. Click the **Add** hyperlink to add that item to the search list.

**NOTE:** The Add hyperlink must be selected in order for inputted text to be captured.

#### To Delete a Search Item

1. Find the item to be deleted in the search list.
2. Click to highlight the item.
3. Click the **Delete** hyperlink.

### 3.3.5 Additional Features

- To clear **all** selected search criteria; select the **Clear** button at the bottom of the search form.
- To switch back to the Basic Search form, select the **Basic** button at the bottom of the search form.

### 3.3.6 Obtaining Advanced Search Results

Once all search criteria have been defined, select the **Search** button to execute the search and retrieve the data.

## 3.4 Search Results Sorted by Mode

The results of all searches are sorted based upon the **Mode** selected in the basic search. The below explanation of search results is organized based on each of the possible mode choices, View Trades, Edit Trades, Edit Trader ID and View E/A/D's.

---

**NOTE:** See [Mode Selection](#) section above for a summary of each mode or continue below to identify the detailed results returned from each Mode option.

After being sorted by mode, a secondary sort is executed and organized by the **Summarized By** field located just below the Mode field in the basic search.

The **Main Account/Trade Account** option is the **default** selection for organizing information from this field within the Transaction Summary results view.

---

**NOTE:** See [Summarized By Selection](#) section above for further details.

Once sorted by Mode and then by Summarized By, the data is returned in a first level view called the **Transaction Summary**, where a summary of all trades or E/A/D's is visible. Each returned record can then be chosen individually and displayed at the **Transaction Details** level. **Fee Details** is the third level, where basic fee information can be identified for each transaction. This drill-down pattern from general summary to specific fee detail is used throughout the fee application.

## 3.4.1 View Trades Mode

The View Trades Mode provides the User a read only view of any trade results returned from the search criteria entered.

### A. Transaction Summary

After executing a search in the View Trades mode, the Transaction Summary screen will be displayed.

[Show Search Criteria](#)

**Search Criteria**

Field Name	Operand	Criteria
Firm	Equal	999
Process Date	Month to Date	04-01-2009 and 04-16-2009
Summarize By	Equals	Main Acct/Trd Acct
Mode	Equals	View Trades

**Transaction Summary**

**Search Results** Page: 1 of 180 | 1799 Rows | [Show All](#) | [Extract](#)

◀ Prev      Go to Page:        Set Page Length:        Next ▶

1 2 3 4 5 6 7 8 ...

Main Acct ▶	Trading Acct ▶	Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
		999	27	248	\$279.50	N
		999	1	10	\$11.50	S
\$DJFGPLUSC	\$DJFGPLUSC	999	19	30	\$43.50	N

**Transaction Summary Defined**

- **Show Search Criteria** hyperlink will redisplay the search criterion fields utilized to obtain the result set.
- **Go to Page** indicates the page number to navigate through the results.
- **Set Page Length** indicates the number of records displayed on the screen.
- **Show All** hyperlink will show all records on one screen.
- **Extract** hyperlink converts the results into a Tab Delimited format that enables users to import into any machine readable format.

#### 1. Viewing or Modifying Search Criteria

- a. To view the search criteria previously selected, click on the **Show Search Criteria** hyperlink located just below the Transaction Viewer title, refer to the image above for reference.
- b. After selecting the **Show Search Criteria** hyperlink, your screen will either bring you to the Basic or Advance Search mode based on the previous search criterion items selected.
- c. To modify the search criterion simply change the input values and then select the **Submit** button.
- d. You will note that upon viewing the actual criterion, that the **Show Search Criteria** hyperlink now displays as **Hide Search Criteria**. If you no longer wish to view the actual criterion, simply select **Hide Search Criteria** hyperlink. Refer to the following image for reference.

# Combined Exchange Fee System (CFS)

[Hide Search Criteria](#)

**Process Date**      **Mode**  
 Between From: 01-01-2008 To: 01-04-2008      View Trades

**Trade Date**      **Summarized By**  
 Month to Date From: 01-01-2008 To: 01-04-2008      Main Acct/Trd Acct

**Firm**      **Location**       Show Criteria

998 GLOBEX TEST FIRM 12-27-1960 - 12-31-9999      ELC  
 PIT

Basic    Advanced      Clear    Submit

**Search Criteria**

Field Name	Operand	Criteria
Firm	Equal	998
Process Date	Between	01-01-2008 and 01-04-2008
Summarize By	Equals	Main Acct/Trd Acct
Mode	Equals	View Trades

Show Search Criteria Chosen in the Transaction Summary View

## B. Transaction Details and Fee Details

To view the **Transaction Details** and **Fee Details** for a line item viewed within the Transaction Summary screen, simply click on that line item.

As mentioned above, the fee system drills down from a general summary to the specific detail of a trade. The below image shows the general Transaction Summary followed by the Transaction Details. Select a line item within the Transaction Detail level and the Fee Details for that trade will be returned.

[Show Search Criteria](#)

**Transaction Summary**

Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
ABR75883	ABR75883	998	1	1	\$0.36	N

[Back to Summary](#)

**Transaction Detail**

Main Acct	Trading Acct	Process Date	Trade Date	CBT Fill Firm	Tran Type Name	Commodity	Fut/Opt Ind	Exec Code	Bus Code	Fee Program Name	Trade Quantity	Applied Fees	Trader Id	Location	Aps Ind	Orig Process Date
ABR75883	ABR75883	01-04-2008	01-04-2008	998	PIT TRD	11	FUT	A	NMO		1	\$0.38	FX	PIT		01-04-2008

[Back to Details](#)

**Fee Details**

Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Armt
CLEARING FEE	\$0.06	\$0.06	L5	\$0.06
EXCHANGE FEE	\$0.30	\$0.30	L5	\$0.30
BROKERAGE	\$0.02	\$0.02	L1	\$0.02

[New Search](#)

Trade Details and Fee Details

### 1. Additional Navigation Features

- To go back to the Transaction Summary screen, select **Back to Summary** button.
- To go back to the Transaction Details screen, select **Back to Details** button.
- To start a brand new search, select **New Search** button. Please note that selecting this button will clear all search criteria selected in the previous search.

## 3.4.2 Edit Trades Mode

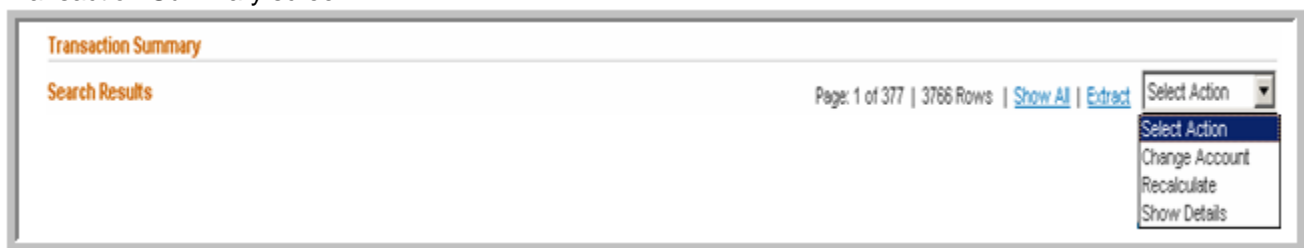
The **Edit Trades Mode** allows the User to view, adjust and submit transactions for recalculation. This mode also allows the User to change the trading account. Recalculation of trades and changing of the trading account can occur at the **Transaction Summary** and **Transaction Details** levels. **Fee Details** can also be viewed from this area. Note that the User must return to the **Transaction Viewer** and choose the **Edit Trades Mode** from the mode drop down menu, in order to execute these respective processes.

- NOTE:**
1. If you have executed a same day change to an account within the Account Maintenance screen, the system will automatically submit those transactions for recalculation during the open adjustment period. Therefore, if you are unable to view trades in the edit mode they may have already been adjusted. Select “View Trades” mode in your search criteria and denote in your search results whether the Adjusted column contains a “Y” or “N”.
  2. There is a Rebate Period for these changes. Trades may only be EDITED during the current month and two months back. User may only view trades three months back.
  3. The User will still need to submit transactions for recalculation for which the User has added or modified Operator IDs in the Globex Registration screen.

### A. Transaction Summary

After executing a search in the **Edit Trades Mode**, the User will be re-directed to the **Transaction Summary** screen.

The Edit Trades Mode has an added function of **Select Action** displayed in the top right corner of the Transaction Summary screen.



Using the Edit Trades Mode within the Transaction Summary Screen of Transaction Viewer

### B. Select Action

This feature allows the User to choose the action to be performed, whether it is to view the transactions, change the trading account number or submit transactions for recalculation.

At the **Trade Details level**, the User may select from the **Select Action** drop-down list:

- **Change Account**
- **Recalculate**
- or **Show Details**

The **Select Action** drop-down list has the following options to choose from:

- **Change Account** allows the User to change the trading account number on transactions that cleared under incorrect account numbers. An account change can be performed at the Transaction Summary level or at the Trade Details level.
- **Recalculate** allows the User to submit transactions for recalculation. Trades may be recalculated at the Transaction Summary level or at the Trade Details level.
- **Show Details** allows the User to select a specific line item from the Transaction Summary in order to view the Trade Details and Fee Details for that item (similar to the View Trades Mode). The User may also change a record and recalculate a transaction from the detail level.



# Combined Exchange Fee System (CFS)

5. Select the **Submit** button.

### b. To Change Multiple Accounts

1. Select **Change Account** from the **Select Action** drop-down list.
2. Click the check boxes in the rows of all of the accounts to be changed.

Transaction Summary

Search Results Page: 1 of 538 | 3766 Rows | [Show All](#) | [Extract](#) | [Change Account](#) ▾

◀ Prev Go to Page:  [GO](#) Set Page Length:  [SET](#) [Next](#) ▶

1 2 3 4 5 6 7 8 ...

Check All	Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
<input checked="" type="checkbox"/>	AAD22222	AAD22222	998	4	40	\$26.40	N
<input type="checkbox"/>	ABR75883	ABR75883	998	1	1	\$0.36	N
<input checked="" type="checkbox"/>	ABR88449	ABR88449	998	8	15	\$27.15	N
<input type="checkbox"/>	AKA	SABRO	998	3	10	\$4.60	N
<input type="checkbox"/>	AKA	SADPB	998	18	40	\$72.40	N
<input checked="" type="checkbox"/>	ASR29351	ASR29351	998	5	6	\$10.86	N
<input type="checkbox"/>	ASR61792	ASR61792	998	5	5	\$9.05	N

[Continue](#) [New Search](#)

Selecting Multiple Accounts to Change into a Single Account within the Edit Trades Mode of Transaction Summary

3. To select all accounts displayed, click the **Check All** box in the column header.

**NOTE:** The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists, select the accounts on all pages by first clicking the Show All hyperlinks next to the Select Action drop-down box and then click on the Check All box.

4. After selecting the appropriate account(s), select the **Continue** button.
5. A **Change Account** section will be displayed, with the selected line item(s) displayed above.
6. Locate the **New Trading Account Number** by utilizing the AutoComplete feature that suggests possible trading account matches as you input text within the text box or the user may scroll through the drop-down box to find their respective account.
7. Select the **Submit** button or use the Enter key on the keyboard to process the change.

The **Adj** column at the right will also change from **N** to **Y** to indicate that this item has been submitted for reprocessing during that night's batch cycle.

The records shown in the image below are being assigned the new trading account number.

Transaction Summary

Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
AAD22222	AAD22222	998	4	40	\$26.40	N
ABR88449	ABR88449	998	8	15	\$27.15	N
ASR29351	ASR29351	998	5	6	\$10.86	N

[Back to Summary](#)

**Change Account Summary**

**New Trading Account Number**

Select Account ▾ [Submit](#)

Changing Accounts by Creating a New Account to Encompass Multiple Accounts within the Edit Trades Mode of Transaction Summary

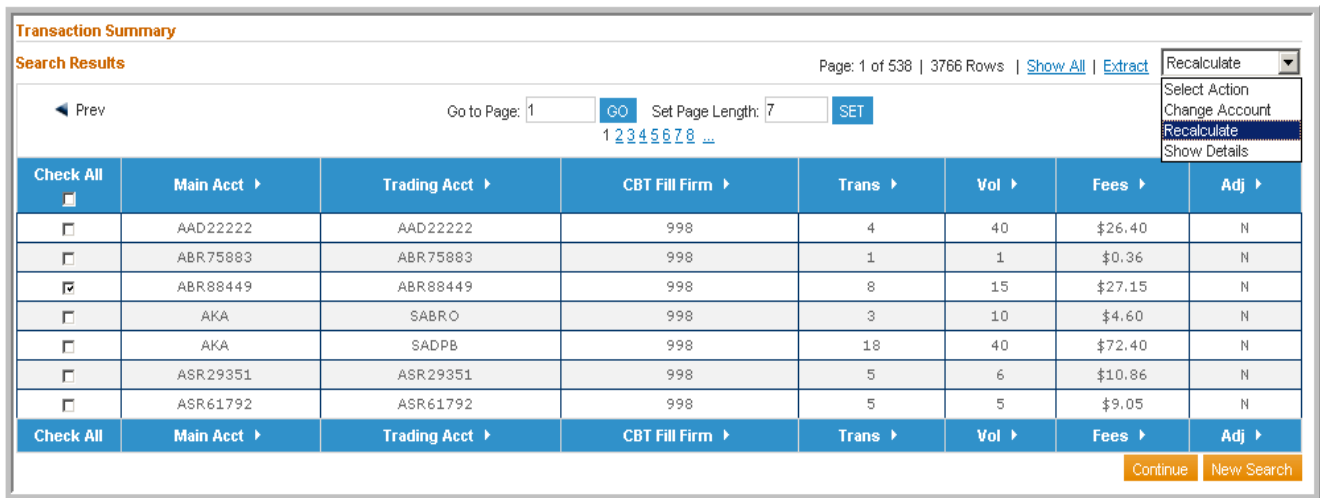
# Combined Exchange Fee System (CFS)

## 2. Recalculate

In the **Edit Trades Mode** of **Transaction Viewer**, the User can recalculate a single item, or a group of items, at one time.

### a. To Submit an Item for Recalculation

1. Select **Recalculate** from the Select Action drop-down list.
2. Click the check box in the row of the line item that is to be recalculated.



The screenshot shows the 'Transaction Summary' interface. At the top, it says 'Search Results' and 'Page: 1 of 538 | 3766 Rows | Show All | Extract'. Below this is a navigation bar with 'Prev', 'Go to Page: 1 GO', and 'Set Page Length: 7 SET'. A dropdown menu is open, showing options: 'Recalculate', 'Select Action', 'Change Account', 'Recalculate', and 'Show Details'. The main table has columns: 'Check All', 'Main Acct', 'Trading Acct', 'CBT Fill Firm', 'Trans', 'Vol', 'Fees', and 'Adj'. The table contains several rows of trade data. The third row is selected, and the 'Recalculate' option is highlighted in the dropdown menu.

Check All	Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
<input type="checkbox"/>	AAD22222	AAD22222	998	4	40	\$26.40	N
<input type="checkbox"/>	ABR75883	ABR75883	998	1	1	\$0.36	N
<input checked="" type="checkbox"/>	ABR88449	ABR88449	998	8	15	\$27.15	N
<input type="checkbox"/>	AKA	SABRO	998	3	10	\$4.60	N
<input type="checkbox"/>	AKA	SADPB	998	18	40	\$72.40	N
<input type="checkbox"/>	ASR29351	ASR29351	998	5	6	\$10.86	N
<input type="checkbox"/>	ASR61792	ASR61792	998	5	5	\$9.05	N

Recalculating a Trade within Edit Trades Mode of the Transaction Summary

### b(1). To Select Multiple Items for Recalculation

1. Click the check boxes in front of all line items to be submitted for recalculation.

### b(2) To Select All Items on the Screen for Recalculation

1. Click the **Check All** box in the column header to highlight all the items displayed on the screen.

**NOTE:** The Check All option will only select the accounts that are displayed on the current screen. If more than one screen of data exists, select the accounts on all pages by first clicking the Show All hyperlinks next to the Select Action drop-down list and then click on the Check All box.

2. After selecting the appropriate item(s), select the **Continue** button.
3. A message window will appear asking for confirmation to recalculate the trades - click **Yes** to confirm or **No** to cancel.
4. If **Yes**, a confirmation message will be displayed stating that the request has been submitted for recalculation.
5. The **Adj** column at the right will also change from **N** to **Y** to indicate that this item has been submitted to be reprocessed during that night's batch cycle.

## 3. Show Details

### a. To view the Trade Details for a particular item at the Transaction Summary level:

1. Select **Show Details** from the **Select Action** drop-down list.
2. Click the check box in the row of one line item in order to view the details of that transaction.

# Combined Exchange Fee System (CFS)

**Transaction Summary**

Search Results Page: 1 of 538 | 3766 Rows | [Show All](#) | [Extract](#) Show Details ▾

◀ Prev Go to Page: 1  GO Set Page Length: 7  SET  
1 2 3 4 5 6 7 8 ...

Check All	Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
<input type="checkbox"/>	AAD22222	AAD22222	998	4	40	\$26.40	N
<input type="checkbox"/>	ABR75883	ABR75883	998	1	1	\$0.36	N
<input checked="" type="checkbox"/>	ABR88449	ABR88449	998	8	15	\$27.15	N
<input type="checkbox"/>	AKA	SABRO	998	3	10	\$4.60	N
<input type="checkbox"/>	AKA	SADPB	998	18	40	\$72.40	N
<input type="checkbox"/>	ASR29351	ASR29351	998	5	6	\$10.86	N
<input type="checkbox"/>	ASR61792	ASR61792	998	5	5	\$9.05	N
Check All	Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶

[Continue](#) [New Search](#)

Show Details of a Trade within Edit Trades Mode of the Transaction Summary

3. After selecting the appropriate item, select the **Continue** button.

**NOTE:** Only one line item can be selected at a time. If more than one account check box has been selected, the User will receive an error message.

**Transaction Summary**

Search Results Page: 1 of 538 | 3766 Rows | [Show All](#) | [Extract](#) Show Details ▾

◀ Prev Go to Page: 1  GO Set Page Length: 7  SET [Next](#) ▶  
1 2 3 4 5 6 7 8 ...

Check All	Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
<input type="checkbox"/>	AAD22222				40	\$26.40	N
<input type="checkbox"/>	ABR75883				1	\$0.36	N
<input checked="" type="checkbox"/>	ABR88449				15	\$27.15	N
<input checked="" type="checkbox"/>	AKA				10	\$4.60	N
<input type="checkbox"/>	AKA	SADPB	998	18	40	\$72.40	N
<input checked="" type="checkbox"/>	ASR29351	ASR29351	998	5	6	\$10.86	N
<input type="checkbox"/>	ASR61792	ASR61792	998	5	5	\$9.05	N
Check All	Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶

[Continue](#) [New Search](#)

Show Details - Error - Only One Item May be Viewed at a Time

At the **Trade Details level**, the User may again select from the **Select Action** drop-down list:

- **Change Account**
- **Recalculate**
- or **Show Details**

# Combined Exchange Fee System (CFS)

**Transaction Summary**

Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
ABR88449	ABR88449	998	8	15	\$27.15	N

[Back to Summary](#)

**Transaction Detail**

**Search Results** Page: 1 of 1 | 8 Rows | [Show All](#) | [Extract](#) | [Select Action](#)

◀ Prev Go to Page:  [GO](#) Set Page Length:  [SET](#)

Check All	Main Acct	Trading Acct	Process Date	Trade Date	CBT Fill Firm	Tran Type Name	Product	Fut/Opt Ind	Exec Code	Bus Code	Fee Program Name	Trade Quantity	Applied Fees	Trader Id	Location
<input type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		1	\$1.81	99ABR88449	ELC
<input checked="" type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		1	\$1.81	99ABR88449	ELC
<input type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		1	\$1.81	99ABR88449	ELC
<input checked="" type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		1	\$1.81	99ABR88449	ELC
<input type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		2	\$3.62	99ABR88449	ELC
<input checked="" type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		2	\$3.62	99ABR88449	ELC
<input type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		2	\$3.62	99ABR88449	ELC
<input type="checkbox"/>	ABR88449	ABR88449	01-04-2008	01-04-2008	998	ELEC TRD	W	FUT	A	NMO		5	\$9.05	99ABR88449	ELC

[Continue](#) [New Search](#)

Transaction Detail Screen in the Edit Trades Mode of the Transaction Viewer

### Also at the Trade Details level

- To [Change an Account](#) or to [Recalculate Transactions](#), follow the same steps outlined above.
- To view **Fee Details** for a particular trade, select **Show Details** in the **Select Action** drop-down menu.

### 3.4.3 Edit Trader ID Mode

**Trader ID** is a single field in CFS, used to identify an individual executing either a PIT or Electronic transaction. The field contains the “Broker Symbol” for PIT transactions and the “TAG 50” for Electronic transactions.

If it has been determined that a Trader ID has been passed through incorrectly for either a PIT or Electronic transaction, you may update the ID through the **Edit Trader ID Mode**, utilizing the instructions below:

1. Access the **Transaction Viewer** screen.
2. Choose a **Process** or **Trade Date**, as in any standard search.
3. From the **Mode** field, Choose **Edit Trader ID**.
4. From the **Summarized By** field, choose either **Trader ID/Trd Acct** or **Trader ID**.
5. Select the **Filling Firm**.
6. In the **Location** field, select **ELC** (if you want to update the “TAG 50”), select **PIT** (if you want to update the “Broker Symbol”).
7. **Submit** the search.

**NOTE:** All these fields **MUST** be selected to Edit Trader ID. If any of these fields are not selected, an Error message will be displayed.

# Combined Exchange Fee System (CFS)

## Transaction Summary Results

Transaction Summary							
Search Results							
◀ Prev		Go to Page: <input type="text" value="1"/> <input type="button" value="GO"/>		Set Page Length: <input type="text" value="10"/> <input type="button" value="SET"/>		<input type="button" value="1"/> <input type="button" value="2"/> <input type="button" value="3"/> <input type="button" value="4"/> <input type="button" value="5"/> <input type="button" value="6"/> <input type="button" value="7"/> <input type="button" value="8"/> ...	
Check All	Trader Id ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
<input type="checkbox"/>	ABRHAMMOND	1501206	998	1	24	\$43.44	N
<input type="checkbox"/>	AHM	SAJUD	998	8	10	\$18.10	N
<input checked="" type="checkbox"/>	AHOOTEN	B5049353	998	2	2	\$3.62	N
<input type="checkbox"/>	AHOOTEN	M2932842	998	1	1	\$0.91	N
<input type="checkbox"/>	AHOOTEN	M2953470	998	3	3	\$5.43	N
<input type="checkbox"/>	AHOOTEN	M2955512	998	3	5	\$9.05	N
<input type="checkbox"/>	AHOOTEN	M2970787	998	1	1	\$1.81	N
<input type="checkbox"/>	AHOOTEN	M2983419	998	1	1	\$1.81	N
<input type="checkbox"/>	AHOOTEN	M3628198	998	2	2	\$3.62	N
<input type="checkbox"/>	AHOOTEN	M3642170	998	2	2	\$2.72	N
Check All	Trader Id ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶

### Edit Trader ID Summary Results

8. Select an option from the **Select Action** drop menu:
  - **Change Trader ID**
  - **Show Details**
9. Then indicate which record(s) are to be reviewed by marking the checkbox feature with your mouse.
10. Select the **Continue** button.

### A. To Change the Trader ID

1. Select **Change Trader ID** from the **Select Action** drop menu.
2. Select the check box in front of the Trader ID to be edited.
3. Select the **Continue** button.
4. The **Change Trader ID** screen will be returned. This screen identifies the Trader ID and the Summary of the chosen Transaction and allows the user to enter a new Trader ID for this record.

Transaction Summary							
Trader Id	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj	
AHOOTEN	B5049353	998	2	2	\$3.62	N	<input type="button" value="Back to Summary"/>
Change Trader Id Summary							
New Trader Id							<input type="button" value="Submit"/>

### New/Change Trader ID Entry Screen

5. In the **New Trader ID** box, enter the correct Trader ID.
6. Select the **Submit** button.

# Combined Exchange Fee System (CFS)

A notification line above the summary will appear identifying that the record has been updated.

[Show Search Criteria](#)

**The records have been updated**

**Transaction Summary**

Trader Id	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
AHOOTEN	B5049353	998	2	2	\$3.62	Y

[Back to Summary](#)

Auto Response Identifying Trader ID Updated

## B. To Show Details

1. Select **Show Details** from the **Select Action** drop menu.
2. Check the box in front of the Trader ID and transaction to be reviewed.
3. Select the **Continue** button.
4. The **Transaction Detail** screen will be returned. This screen shows all the transactions made by the chosen Trader within the parameters of the search.
5. The **Select Action** drop menu will again offer the same two options, to **Change the Trader ID** or **Show Details** for one of the identified transactions.

**Transaction Summary**

**Search Results** Page: 1 of 570 | 3989 Rows | [Show All](#) | [Extract](#) | [Show Details](#)

◀ Prev Go to Page:  [GO](#) Set Page Length:  [SET](#)

1 2 3 4 5 6 7 8 ...

Check All	Trader Id	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
<input type="checkbox"/>	ABRHAMMOND	1501206	998	1	24	\$43.44	N
<input type="checkbox"/>	AHM	SAJUD	998	8	10	\$18.10	N
<input type="checkbox"/>	AHOOTEN	M2932842	998	1	1	\$0.91	N
<input type="checkbox"/>	AHOOTEN	M2953470	998	3	3	\$5.43	N
<input type="checkbox"/>	AHOOTEN	M2955512	998	3	5	\$9.05	N
<input type="checkbox"/>	AHOOTEN	M2970787	998	1	1	\$1.81	N
<input type="checkbox"/>	AHOOTEN	M2983419	998	1	1	\$1.81	N

[Continue](#) [New Search](#)

Detailed Transactions by Trader ID

### 1. To Change Trader ID (From the Transaction Detail screen)

- a. Select **Change Trader ID** from the **Select Action** drop down menu
- b. Check the box in front of the Trader ID to be edited.
- c. Select the **Continue** button.
- d. The **Change Trader ID** screen will be displayed.
- e. Input a new Trader ID for this record in the **New Trader ID**.
- f. Select the **Submit** button.
- g. Then a one line notification will return stating that the record has been updated.

### 2. To Show Details (From the Transaction Detail screen)

- a. Select **Show Details** from the **Select Action** drop menu.
- b. Check the box in front of the Trader ID to be reviewed.
- c. Select the **Continue** button.
- d. The returned screen identifies the **Transaction Detail**, and the specific **Fee Detail** for that transaction.

# Combined Exchange Fee System (CFS)

Transaction Detail																
Trader Id	Trading Acct	Process Date	Trade Date	CBT Fill Firm	Tran Type Name	Commodity	Fut/Opt Ind	Exec Code	Bus Code	Fee Program Name	Trade Quantity	Applied Fees	Location	Aps Ind	Orig Process Date	Adjusted
AHOOTEN	M2932842	01-04-2008	01-04-2008	998	ELEC TRD	YM	FUT	A	NMO		1	\$0.91	ELC		01-04-2008	N

[Back to Details](#)

Fee Details				
Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Amt
CLEARING FEE	\$0.06	\$0.06	L5	\$0.06
EXCHANGE FEE	\$0.85	\$0.85	L5	\$0.85

[New Search](#)

Fee Details for the Specified Trade made by the Identified Trader

To exit out of **Show Details** or **Change Trader ID**, you may select one of the following:

- Select **Back to Summary** to return to the Transaction Summary for this search.
- Select **Back to Details** to return to the Transaction Detail screen for this search.
- Select **New Search** to exit this search entirely and return to a clear Transaction Viewer screen.

### 3.4.4 View E/A/D's Mode

The View E/A/D's mode allows the User to view allocated and unallocated Exercises, Assignments and Deliveries, plus other non trade activity such as Cash Settlements, Future from Exercises, Future from Assignments and Expirations.

**NOTE:** Account numbers are not attached to these transaction types and as a result, non-trade exchange fees are applied at the **NON-MEMBER RATE**. Therefore, it is important to utilize this mode to determine which activity should be allocated to member accounts in order to receive the reduced non-trade exchange fee rate.

### A. Transaction Summary – Returned Results

After executing a search in the View E/A/D's Mode, the **Transaction Summary** will be displayed. There will be non-trade activity summarized to either a blank account (denoting unallocated activity) or to previously allocated accounts. Simply click on one of the summary line items in order to obtain the details.

Search Criteria		
Field Name	Operand	Criteria
Firm	Equal	998
Process Date	Month to Date	01-01-2008 and 01-04-2008
Summarize By	Equals	Main Acct/Trd Acct
Mode	Equals	View E/A/D's

**Transaction Summary**

Search Results Page: 1 of 1 | 1 Rows | [Show All](#) | [Extract](#)

◀ Prev      Go to Page:  [GO](#)      Set Page Length:  [SET](#)      Next ▶

Main Acct ▶	Trading Acct ▶	CBT Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
		998	72	2,527	\$1,389.85	N

[New Search](#)

View E/A/D's Transaction Summary Screen

# Combined Exchange Fee System (CFS)

## B. Transaction Details of Non-Trade Activity

After you have selected one of the summary line items from the **Transaction Summary** screen, your screen will display all the associated non-trade activity. From the **Transaction Detail** screen you may execute the following select action items:

1. **Reallocate** – This feature will redirect the User to the Allocation screen with the fields pre-populated based on the line item selected in the Transaction viewer.
  - For instance if a user selects a single transaction of Firm ID = **999**, Transaction Type = **Assignment**, Commodity = **C**, then upon redirection to the allocation screen the user will have those fields pre-populated. Plus, within the allocation screen, the month will automatically obtain month-to-date activity (even though one-date may have been selected in the transaction viewer)
  - For CBOT, this feature is not available on transaction types Future from Exercises and Future from Assignments as the associations for these transactions are systematically performed when the corresponding Exercise and Assignment has been allocated.

**Transaction Summary**

Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj
		998	72	2,527	\$1,389.85	N

[Back to Summary](#)

**Transaction Detail**

Search Results Page: 1 of 11 | 72 Rows | [Show All](#) | [Extract](#)

Go to Page:  
Set Page Length:

1 2 3 4 5 6 7 8 ...

Main Acct	Trading Acct	Process Date	Trade Date	CBT Fill Firm	Tran Type Name	Product	Fut/Opt Ind	Exec Code	Bus Code	Fee Program Name	Trade Quantity	Applied Fees	Trader Id	Location	Aps Ind	Orig Process Date
		01-04-2008	01-04-2008	998	FUTURE FROM EXE	C	OPT	A	NMO		12	\$6.00		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM EXE	C	OPT	A	NMO		19	\$9.50		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM EXE	W	OPT	A	NMO		27	\$13.50		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM EXE	17	OPT	A	NMO		10	\$5.00		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM EXE	52	OPT	A	NMO		98	\$49.00		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM ASN	C	OPT	A	NMO		1	\$0.50		PIT		01-04-20
		01-04-2008	01-04-2008	998	FUTURE FROM ASN	C	OPT	A	NMO		2	\$1.00		PIT		01-04-20

View E/A/D's Transaction Detail Screen

**NOTE:** If you go to the Allocation Screen and back to the Transaction Viewer, the search results will be in the same state, therefore in order to refresh your result set you must re-perform the search. To do this, select the **NEW SEARCH** button below the transaction detail result set.

# Combined Exchange Fee System (CFS)

2. **Show Details** – Display the associated fees charged based a single transaction selected; refer to the figure below for reference.

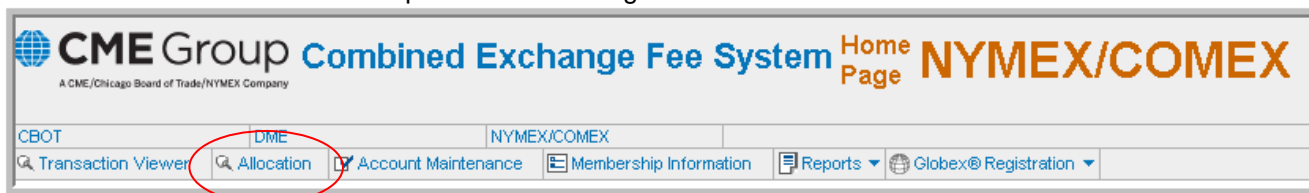
Transaction Summary																	
Main Acct	Trading Acct	CBT Fill Firm	Trans	Vol	Fees	Adj											
		998	2	34	\$18.70	S											
<a href="#">Back to Summary</a>																	
Transaction Detail																	
Main Acct	Trading Acct	Process Date	Trade Date	CBT Fill Firm	Tran Type Name	Commodity	Fut/Opt Ind	Exec Code	Bus Code	Fee Program Name	Trade Quantity	Applied Fees	Trader Id	Location	Aps Ind	Orig Process Date	Adjust
		01-04-2008	01-04-2008	998	ASSIGNMENT	W	FUT	A	NMO		17	\$10.20		PIT		01-04-2008	S
<a href="#">Back to Details</a>																	
Fee Details																	
Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Amt													
CLEARING FEE	\$0.05	\$0.05	L5	\$0.85													
E/A SURCHARGE	\$0.05	\$0.05	L5	\$0.85													
EXCHANGE FEE-NONTRD	\$0.50	\$0.50	L5	\$8.50													
Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Applied Amt													
<a href="#">New Search</a>																	

Detail Shown for E/A/D Transaction

## 4. Allocation

### 4.1 Accessing Allocation

To access **Allocation** select the option from the navigation menu.



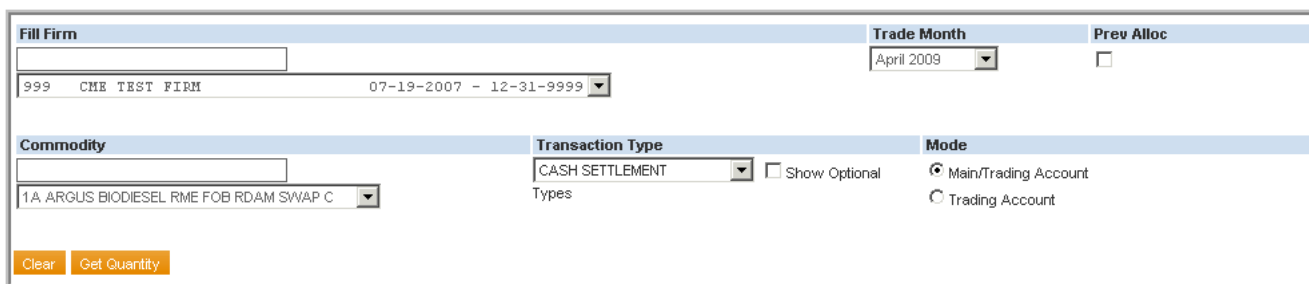
### 4.2 Searching for Transactions to Allocate

After the User selects the Allocation menu option from the CFS navigation bar, the allocation search form will be displayed.

For CBOT, this section allows Users to allocate exercise, assignment, delivery or expired option transactions to the respective main and/or trading account or edit previously allocated transactions. Future from Exercise and Future from Assignment transactions do not need to be allocated separately. These transaction types will systematically be allocated to the same main and/or trading account that is performed for an Exercise or an Assignment.

Position Adjustments and Transfer transactions are also available for allocation purposes, at the User's option.

For NYMEX, this section allows Users to allocate Cash Settlement, Future from Exercise and Future from Assignment transactions to the respective main and/or trading account or edit previously allocated transaction. Exercise, Assignment and Delivery transactions are also available to be allocated, at the User's option, by selecting the "Show Optional Types" check box. The fees for these optional transaction types are not based on membership status, therefore, they are not required to be allocated.



The screenshot shows the Allocation Search Form. It has several fields and buttons:

- Fill Firm:** A text input field containing '999 CHE TEST FIRM' and a dropdown menu with '07-19-2007 - 12-31-9999'.
- Trade Month:** A dropdown menu with 'April 2009' selected.
- Prev Alloc:** A checkbox that is currently unchecked.
- Commodity:** A dropdown menu with '1A ARGUS BIODIESEL RME FOB RDAM SWAP C' selected.
- Transaction Type:** A dropdown menu with 'CASH SETTLEMENT' selected.
- Show Optional:** A checkbox that is currently unchecked.
- Mode:** Two radio buttons: 'Main/Trading Account' (selected) and 'Trading Account'.
- Buttons:** 'Clear' and 'Get Quantity'.

Allocation Search Form

To execute the search for **unallocated** transactions the User must select the following fields:

- Fill Firm
- Trade Month
- Commodity
- Transaction Type
- Mode (By Main/Trading Account or Trading Account)

Upon completion of selecting the required criterion, select the **Get Quantity** button.

# Combined Exchange Fee System (CFS)

## 4.3 Allocation Field Descriptions

See the below table for more detailed descriptions of each Allocation field.

FIELD NAME	DESCRIPTION						
<b>Firm</b>	This is equivalent to the trading member firm or also known as the executing firm. The User will be given authority to view specific firms and should choose the fill firm from their customized list.						
<b>Commodity</b>	From the drop-down list, select the specific commodity associated with the transaction to be allocated. Allocations must be done one commodity at a time.						
<b>Prev Alloc</b>	Select this box to choose a specific account containing Previously Allocated items. From here, the User can edit those transactions. See <b>Previously Allocated Trades</b> for further details.						
<b>Trade Month</b>	Select the month in which the transaction took place. <b>Users are able to allocate transactions for the current month and the previous two months.</b>  <i><b>NOTE:</b> During the first two business days of the month, the month field will default to the previous month. Thereafter, the Month field will default to the current month.</i>						
<b>Process Month</b>	The month that the trade was processed by the Clearing firm.						
<b>Mode</b>	Feature allows the User to perform allocations by the following options: <table border="1" data-bbox="506 1010 1458 1776"> <thead> <tr> <th>Selection Criterion</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Main/Trading Account</td> <td>This feature allows the User to allocate by the Main Account only. However, it is strongly encouraged by the CME Group Auditors to do allocations by Main Account and Trading Account, as this information is required in reviewing allocations during fee audit examinations.  Also, this feature provides only those accounts that have been registered in the account maintenance section of the CFS application. This feature ensures the User will not input an account in error. This is a crucial component since once you allocate a transaction; the User will have to wait till the next business day to correct those transactions if done in error due to an account typo.</td> </tr> <tr> <td>Trading Account</td> <td>This feature allows the User to input the respective trading account without restricting the User to what has been registered within the CFS application.  This feature may also be utilized for allocating transactions to non-member accounts.  <i><b>NOTE:</b> CFS will automatically correlate the inputted trading account to a main account if one exists.</i></td> </tr> </tbody> </table>	Selection Criterion	Description	Main/Trading Account	This feature allows the User to allocate by the Main Account only. However, it is strongly encouraged by the CME Group Auditors to do allocations by Main Account and Trading Account, as this information is required in reviewing allocations during fee audit examinations.  Also, this feature provides only those accounts that have been registered in the account maintenance section of the CFS application. This feature ensures the User will not input an account in error. This is a crucial component since once you allocate a transaction; the User will have to wait till the next business day to correct those transactions if done in error due to an account typo.	Trading Account	This feature allows the User to input the respective trading account without restricting the User to what has been registered within the CFS application.  This feature may also be utilized for allocating transactions to non-member accounts.  <i><b>NOTE:</b> CFS will automatically correlate the inputted trading account to a main account if one exists.</i>
Selection Criterion	Description						
Main/Trading Account	This feature allows the User to allocate by the Main Account only. However, it is strongly encouraged by the CME Group Auditors to do allocations by Main Account and Trading Account, as this information is required in reviewing allocations during fee audit examinations.  Also, this feature provides only those accounts that have been registered in the account maintenance section of the CFS application. This feature ensures the User will not input an account in error. This is a crucial component since once you allocate a transaction; the User will have to wait till the next business day to correct those transactions if done in error due to an account typo.						
Trading Account	This feature allows the User to input the respective trading account without restricting the User to what has been registered within the CFS application.  This feature may also be utilized for allocating transactions to non-member accounts.  <i><b>NOTE:</b> CFS will automatically correlate the inputted trading account to a main account if one exists.</i>						
<b>Transaction Type</b>	Allocations must be completed for one transaction type at a time. The types of transactions are: <table border="1" data-bbox="506 1850 1469 1992"> <tbody> <tr> <td><b>Exercise</b></td> <td>The process of exchanging an option for the underlying Futures contract.</td> </tr> <tr> <td><b>Delivery</b></td> <td>The tender and receipt of an actual commodity or financial instrument, or cash in settlement of a futures contract.</td> </tr> </tbody> </table>	<b>Exercise</b>	The process of exchanging an option for the underlying Futures contract.	<b>Delivery</b>	The tender and receipt of an actual commodity or financial instrument, or cash in settlement of a futures contract.		
<b>Exercise</b>	The process of exchanging an option for the underlying Futures contract.						
<b>Delivery</b>	The tender and receipt of an actual commodity or financial instrument, or cash in settlement of a futures contract.						

# Combined Exchange Fee System (CFS)

FIELD NAME	DESCRIPTION																											
	<p><b>Assignment</b> The designation of an option writer for fulfillment of his obligation to sell the underlying futures contract (call options writer) or buy the underlying futures contract (put option writer) upon notice from the Clearing House. Notice to the seller of an option that has been exercised by the buyer.</p>																											
	<p><b>Expired Options</b> When the expiration date for an option passes without the option being exercised or offset.</p>																											
	<p><b>Position Adjustments</b> The adjustment is made to reconcile out of balance trade conditions between clearing records and book records.</p>																											
	<p><b>Transfers</b> A transaction to transfer a position or positions from one account to another, within one clearing firm or across several clearing firms.</p>																											
	<p><b>Cash Settlement</b> Cash Settlement is the transfer of the associated cash position.</p>																											
	<p><b>Future from Assignment</b> The future created upon option exercise or assignment.</p> <p><b>Or</b> For CBOT Only: Future from Assignment or Future From Exercise transactions will systematically be allocated when the corresponding assignment or exercised is allocated. These transaction types will be systematically be allocated to the same main and/or trading account that is performed for an Exercise or an Assignment.</p> <p><b>Future from Exercise</b> Typically the Future from Assignment and the Future from Exercised is a one to one transaction for the same commodity code. The exception to this process is Flex and Crush Option transactions. The translation table for these exceptions is listed below:</p> <p><b>Flex Options Translation</b></p> <table border="1"> <thead> <tr> <th>Commodity</th> <th>Underlying Future</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>17</td> <td>53</td> <td>Treasury Bond Flex Options</td> </tr> <tr> <td>17</td> <td>52</td> <td>Treasury Bond Flex Options</td> </tr> <tr> <td>21</td> <td>54</td> <td>Ten-Year Note Flex Options</td> </tr> <tr> <td>21</td> <td>55</td> <td>Ten-Year Note Flex Options</td> </tr> <tr> <td>25</td> <td>60</td> <td>Five-Year Note Flex Options</td> </tr> <tr> <td>25</td> <td>57</td> <td>Five-Year Note Flex Options</td> </tr> <tr> <td>26</td> <td>58</td> <td>Two-Year Note Flex Options</td> </tr> <tr> <td>26</td> <td>59</td> <td>Two-Year Note Flex Options</td> </tr> </tbody> </table> <p><b>Crush Options Translation</b> Crush Options are reflected as Commodity Code 31. The Fee System will convert commodity code 31 into their equivalent commodity code transactions and will have an indicator for the Users to isolate this activity as well. Refer to Crush Option indicator section.</p> <ul style="list-style-type: none"> <li>• Commodity code <b>S</b> → 10 Soybean Futures</li> <li>• Commodity code <b>06</b> → 11 Soybean Meal</li> <li>• Commodity code <b>07</b> → 9 Soybean Oil</li> </ul>	Commodity	Underlying Future	Description	17	53	Treasury Bond Flex Options	17	52	Treasury Bond Flex Options	21	54	Ten-Year Note Flex Options	21	55	Ten-Year Note Flex Options	25	60	Five-Year Note Flex Options	25	57	Five-Year Note Flex Options	26	58	Two-Year Note Flex Options	26	59	Two-Year Note Flex Options
Commodity	Underlying Future	Description																										
17	53	Treasury Bond Flex Options																										
17	52	Treasury Bond Flex Options																										
21	54	Ten-Year Note Flex Options																										
21	55	Ten-Year Note Flex Options																										
25	60	Five-Year Note Flex Options																										
25	57	Five-Year Note Flex Options																										
26	58	Two-Year Note Flex Options																										
26	59	Two-Year Note Flex Options																										

FIELD NAME	DESCRIPTION								
<b>Crush Option (CBOT Only)</b>	<p>Soybean crush is based on CBOT Soybean (<b>S</b>), Soybean Meal (<b>06</b>), and Soybean Oil (<b>07</b>) futures prices. The crush spread options will use the value <b>31</b> as their clearing code. A typical crush spread option will translate into 10 Soybean Futures, 11 Soybean Meal futures, and 9 Soybean Oil futures.</p> <p>To isolate this crush option activity from standard Soybean transactions, the User has the following selection criterion <b>only</b> when performing an exercise or assignment for <b>S</b>, <b>06</b>, and <b>07</b> transactions:</p> <table border="1"> <thead> <tr> <th>Selection Criterion</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Include Crush Options</td> <td>This option will include crush activity into your unallocated quantity when assigning accounts</td> </tr> <tr> <td>Exclude Crush Options</td> <td>This option will exclude crush activity from your unallocated quantity when assigning accounts.</td> </tr> <tr> <td>Include All</td> <td>This is the same as including crush options in your unallocated quantity when assigning accounts.</td> </tr> </tbody> </table>	Selection Criterion	Description	Include Crush Options	This option will include crush activity into your unallocated quantity when assigning accounts	Exclude Crush Options	This option will exclude crush activity from your unallocated quantity when assigning accounts.	Include All	This is the same as including crush options in your unallocated quantity when assigning accounts.
Selection Criterion	Description								
Include Crush Options	This option will include crush activity into your unallocated quantity when assigning accounts								
Exclude Crush Options	This option will exclude crush activity from your unallocated quantity when assigning accounts.								
Include All	This is the same as including crush options in your unallocated quantity when assigning accounts.								

## 4.4 Allocation Import

The ability to import allocations from a CME Group provided Excel spreadsheet template. Refer to the instructions below for how to utilize this new feature. (This feature is not available in other instances of the fee applications).

Please note to activate the **Import** feature you must adhere to the following navigational processes:

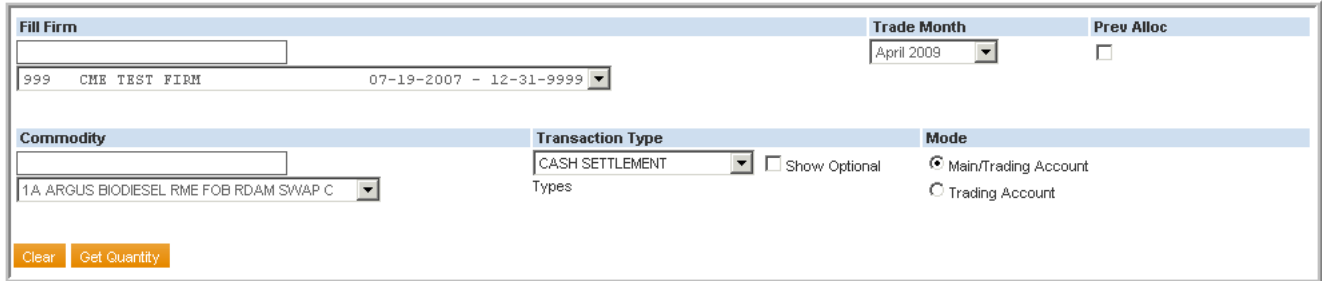
- If you have selected mode “Main/Trading Account”, Main account is required when populating your spreadsheet. Trading account is not required. This will follow the same rules as if doing the allocations manually.
- If you have selected mode “Trading Account”, Trading Account is required when populating your spreadsheet. Main Account may NOT be populated. If the Main account is populated the validation will fail. This will follow the same rules as if doing the allocations via the online application.

Once data has been imported into the screen you will still be able to “**Add**” additional allocations through the online. You will also be able to “**Remove**”, “**Clear**”, and “**Extract**” any of the data on the screen. The import function only affects the population of the data.

# Combined Exchange Fee System (CFS)

## 4.4.1 Import Instructions

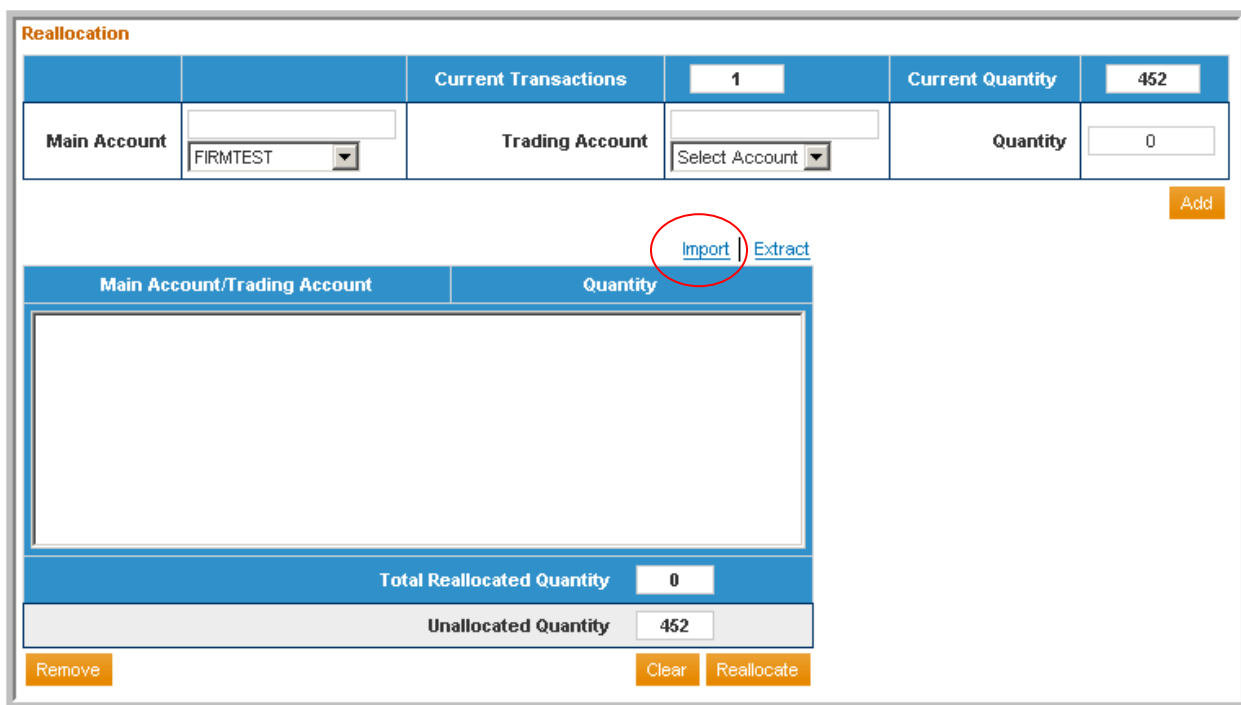
The end user will continue to execute the search feature for allocations based on the Trade Month, Commodity, Transaction Type, and Mode, prior to selecting the “**Get Quantity**” feature.



The screenshot shows a search form with the following fields and values:

- Fill Firm:** 999 CME TEST FIRM, 07-19-2007 - 12-31-9999
- Trade Month:** April 2009
- Prev Alloc:**
- Commodity:** 1A ARGUS BIODIESEL RME FOB RDAM SWAP C
- Transaction Type:** CASH SETTLEMENT
- Mode:**  Main/Trading Account,  Trading Account
- Buttons:** Clear, Get Quantity

After the search has been executed, the “Import” feature will now be made available. If the provided CME Group spreadsheet (located on the CFS homepage) is complete, the end user may select the “Import” hyperlink. Refer to the image below for reference.



The screenshot shows the Reallocation interface with the following data and controls:

Current Transactions		1	Current Quantity		452
Main Account	FIRMTEST	Trading Account	Select Account	Quantity	0

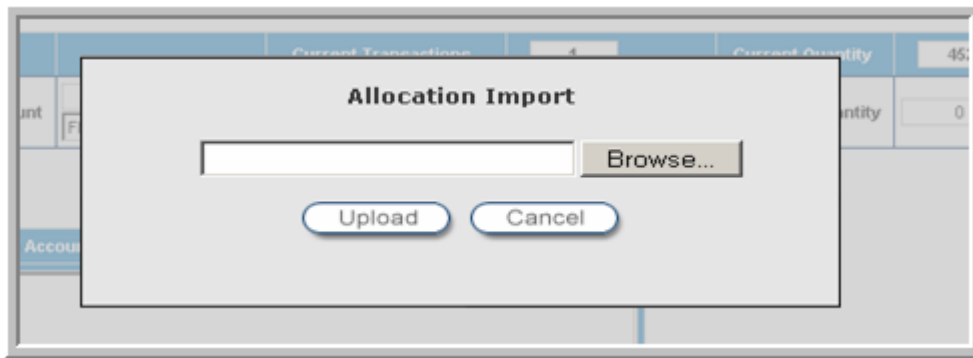
Buttons: Add, Import (circled in red), Extract

Main Account/Trading Account	Quantity	
Total Reallocated Quantity		0
Unallocated Quantity		452

Buttons: Remove, Clear, Reallocate

Once the “**Import**” hyperlink has been selected, the end user will need to locate the Excel spreadsheet that has been saved/created using the “**Browse**” button. Once the file has been located, select the file utilizing the standard window prompts. You will be able to view the filename in the Allocation Import Window’s textbox, to denote whether the file selected is accurate. If the file selected is accurate, select the “**Upload**” button. If the selected is not accurate, re-execute the “Browse” button to find your file.

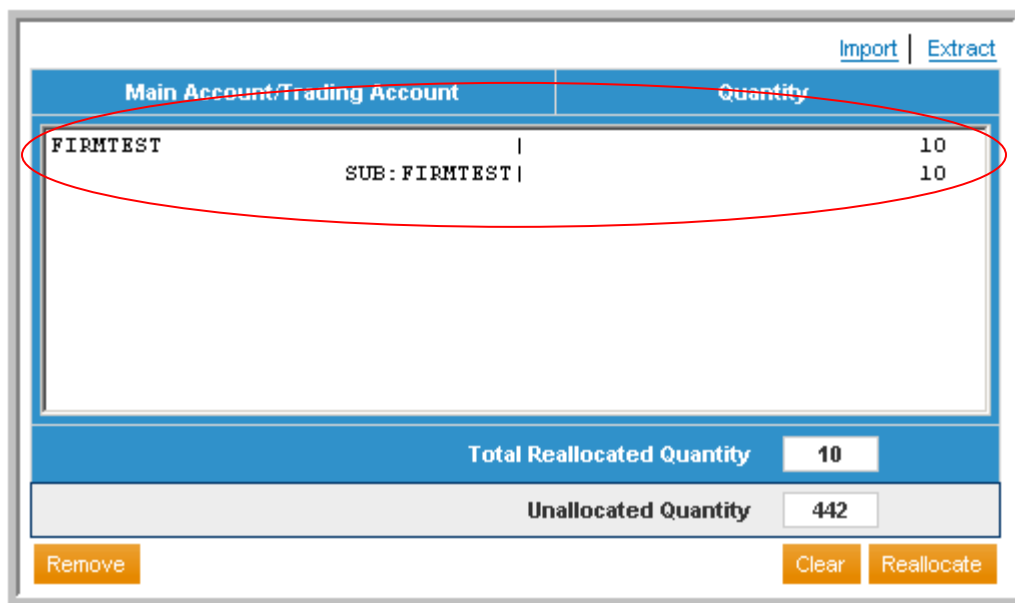
# Combined Exchange Fee System (CFS)



After the **“Upload”** button has been selected, the system will process your file to ensure the content is valid prior to populating the screen. If there are errors noted, the system will display them to denote what needs to be corrected; if the data is valid the screen will be populated as if you utilized the online application.

### To Complete the Allocation

To complete your allocation process you must select the **“Reallocate”** button. This will finalize the allocation process. If this is not done, your allocations will not be processed. Please validate the data before reallocating to ensure the data is correct.



## 4.5 Performing Unallocated Allocations

Allocations will be performed based on the mode selected in the allocation search form:

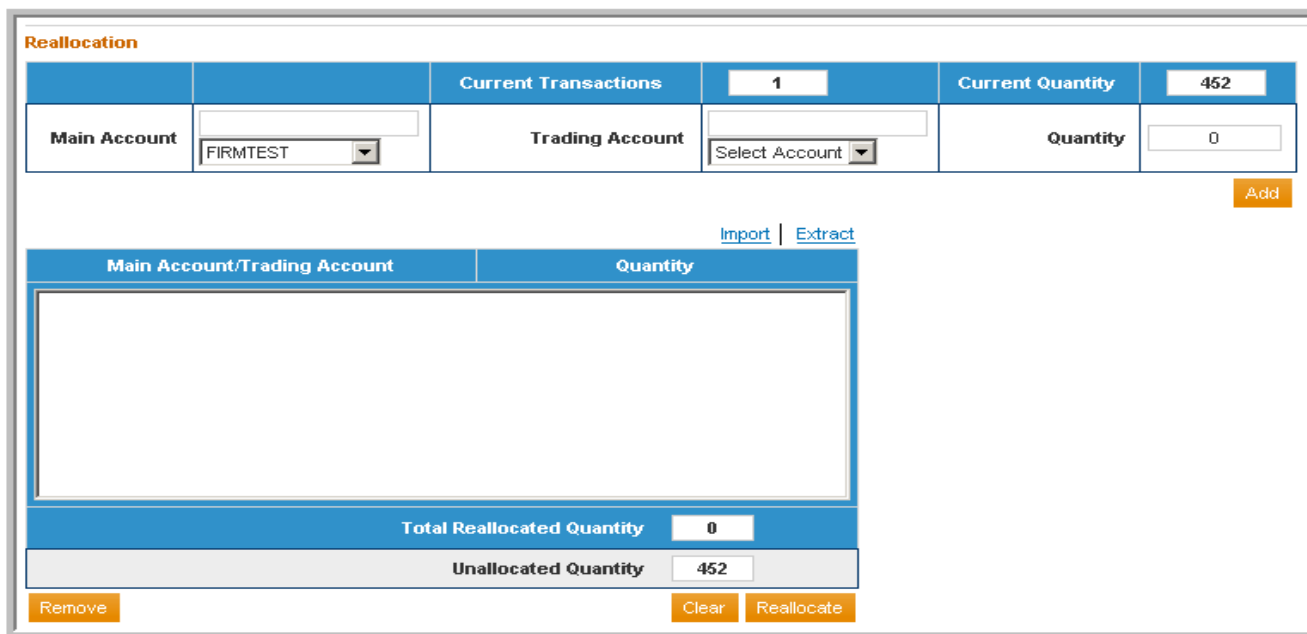
- Perform Allocations by Main/Trading Account
- Perform Allocations by Trading Account

Each mode will display at the top of the form the **Current transactions** (current unallocated transaction count) and the **Current Quantity** (current number of available contracts to be allocated) at the top of the allocation form. These numbers can not be edited.

## 4.5.1 Perform Allocations by Main/Trading Account

The following screen will be displayed when selecting the **Main/Trading Account** Mode in the search criterion form.

This feature provides only those accounts that have been registered in the account maintenance section of the CFS application. This feature ensures the User will not input an account in error. This is crucial component since once you allocate a transaction; the User will have to wait till the next business day to correct those transactions if done in error due to an account typo.

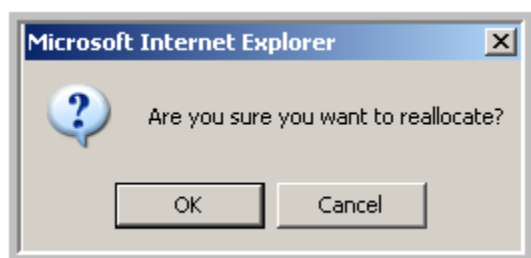


The screenshot shows a web application window titled "Reallocation". At the top, there are two summary rows: "Current Transactions" with a value of 1 and "Current Quantity" with a value of 452. Below this is a form with two main sections: "Main Account" and "Trading Account". The "Main Account" section has a dropdown menu currently showing "FIRMTEST". The "Trading Account" section has a dropdown menu showing "Select Account". To the right of these sections is a "Quantity" input field with the value 0. An orange "Add" button is located to the right of the "Quantity" field. Below the form is a table with two columns: "Main Account/Trading Account" and "Quantity". The table is currently empty. At the bottom of the table area, there are two summary rows: "Total Reallocated Quantity" with a value of 0 and "Unallocated Quantity" with a value of 452. At the bottom of the form, there are three buttons: "Remove", "Clear", and "Reallocate".

Allocating Transactions by Main Account/Trading Account

### To Allocate Transactions to a Main Account/Trading Account Number

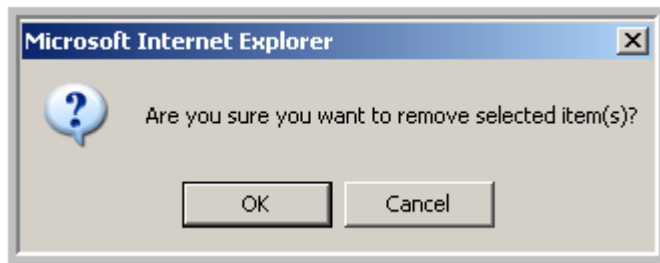
1. In the **Account** field, select the **Main Account** number to which the transactions will be allocated.
2. In the **Trading Account** field, select the **Trading Account** or sub account to which the transactions will be allocated.
3. Go to the **Quantity** text field and enter the number of contracts to be allocated to that account.
4. To **Allocate** this entry, select the **Add** button (or tab to the **Add** button and select **Enter** on the keyboard)
5. **To Allocate Items to More than One Main/Trading Account**, simply repeat steps #1 through #4.
6. By selecting the **Add** button, your transaction is not yet complete. To submit your allocations, you must select the **Reallocate** button. At that time, you will be promoted to confirm your submission, select **OK** to confirm, select **Cancel** to exit out of the confirmation process.
7. If you selected **OK**, you will receive a confirmation message.



Alert Message for Submitting Allocations

## To Remove an Allocated Account

1. Highlight the line to which the allocated account is located
2. Select the **Remove** button. At that time, you will be promoted to confirm your removal request, select **OK** to confirm, select **Cancel** to exit out of the removing the highlighted record.
3. If you selected **OK**, you receive a confirmation message and the unallocated transaction count will be updated as well.



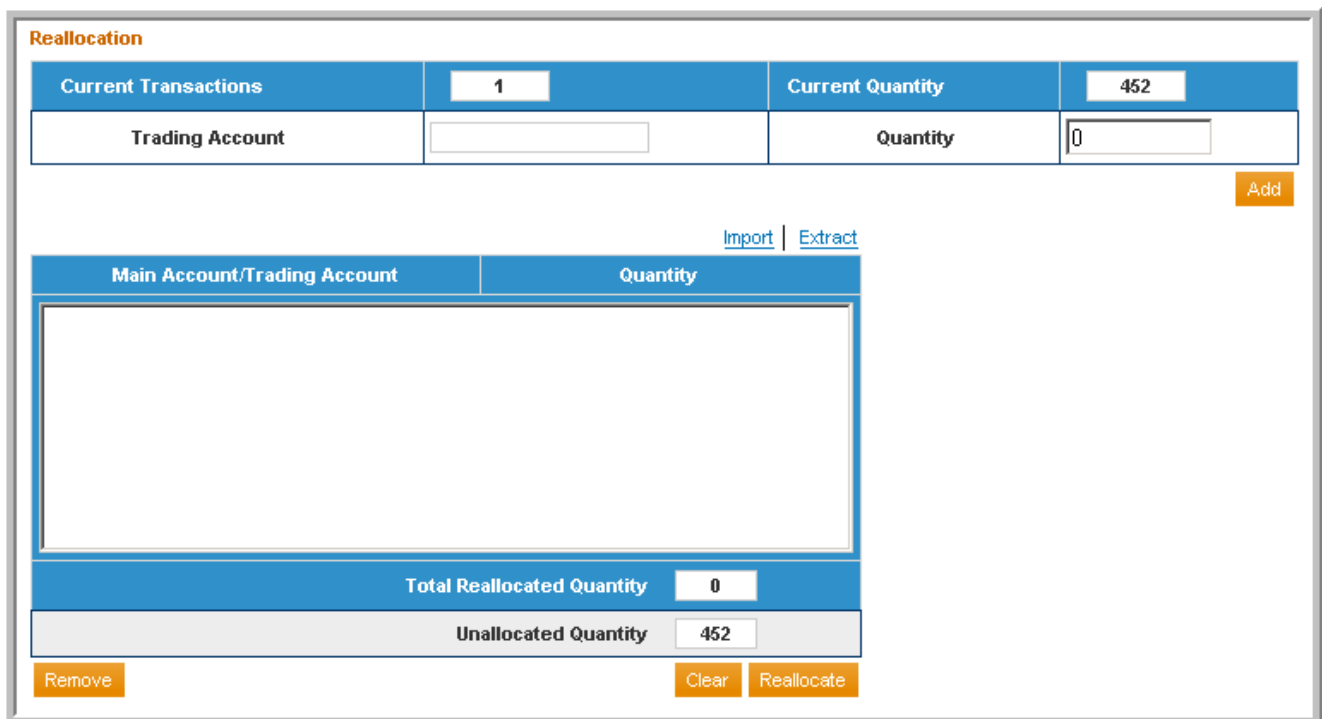
Alert Message for Removing Allocated Transaction

## 4.5.2 Perform Allocations by Trading Account

The following screen will be displayed when selecting the **Trading Account** Mode in the search criterion form.

The Trading Account mode, allows the User to input the respective trading account without restricting the User to what has been registered within the CFS application. This feature may also be utilized for allocating transactions to non-member accounts.

CFS will automatically correlate the inputted trading account to a main account if one exists in the CFS account registration database.

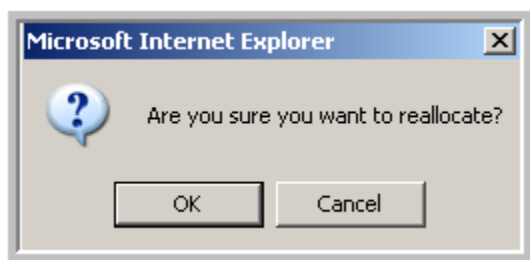


Reallocation			
Current Transactions	1	Current Quantity	452
Trading Account	<input type="text"/>	Quantity	<input type="text" value="0"/>
<a href="#">Add</a>			
<a href="#">Import</a>   <a href="#">Extract</a>			
Main Account/Trading Account		Quantity	
<input type="text"/>		<input type="text"/>	
Total Reallocated Quantity		0	
Unallocated Quantity		452	
<a href="#">Remove</a>	<a href="#">Clear</a>	<a href="#">Reallocate</a>	

Allocating Transactions by Trading Account

## To Allocate Transactions to a Trading Account Number

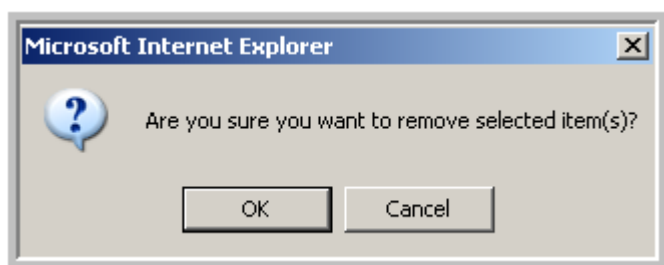
1. In the **Trading Account** field, input the **Trading Account** to which the transactions will be allocated. The trading account can be a max of 15 characters.
2. Go to the **Quantity** text field and enter the number of contracts to be allocated to that account.
3. To **Allocate** this entry, select the **Add** button (or tab to the **Add** button and select **Enter** on the keyboard)
4. **To Allocate Items to More than Trading Account**, simply repeat steps #1 through #4.
5. By selecting the **Add** button, your transaction is not yet complete. To submit your allocations, you must select the **Reallocate** button. At that time, you will be promoted to confirm your submission, select **OK** to confirm, select **Cancel** to exit out of the confirmation process.
6. If you selected **OK**, you will receive a confirmation message.



Alert Message for Submitting Allocations

## To Remove an Allocated Trading Account

1. Highlight the line to which the allocated account is located
2. Select the **Remove** button. At that time, you will be promoted to confirm your removal request, select **OK** to confirm, select **Cancel** to exit out of the removing the highlighted record.
3. If you selected **OK**, you receive a confirmation message and the unallocated transaction count will be updated as well.

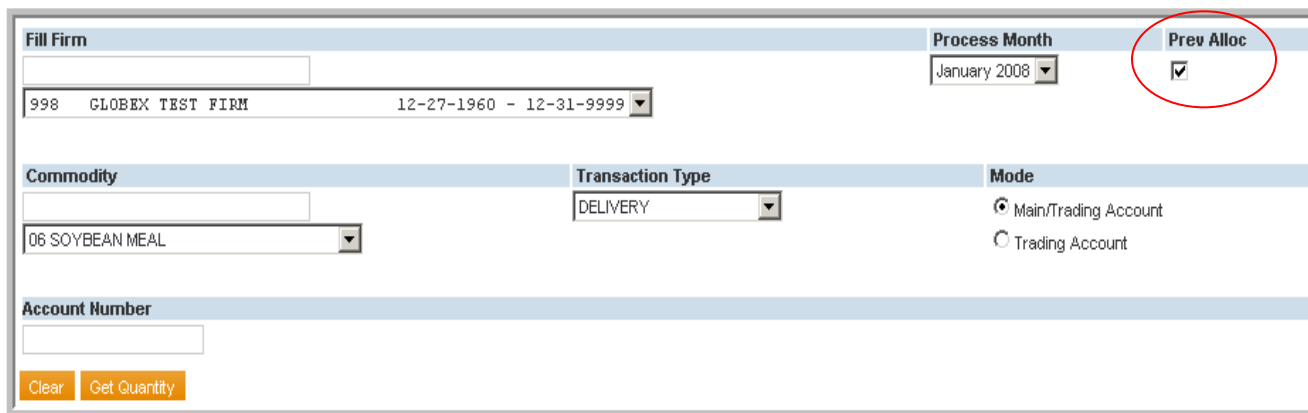


Alert Message for Removing Allocated Transaction

**NOTE:** Once the allocations have been submitted, they can **NOT** be changed the same day. The allocated submissions will be processed by the system overnight and will not be able to be revised until the next day.

## 4.6 Previously Allocated Trades

The significance of the **Prev Alloc** checkbox on the search criterion will allow the User to correct/update a previously allocated transaction, refer to the image below for reference.



The screenshot shows a web form titled "Reallocation Screen with Misallocations". It contains several sections: "Fill Firm" with a dropdown menu showing "998 GLOBEX TEST FIRM" and a date range "12-27-1960 - 12-31-9999"; "Process Month" with a dropdown menu showing "January 2008"; "Prev Alloc" with a checked checkbox, which is circled in red; "Commodity" with a dropdown menu showing "06 SOYBEAN MEAL"; "Transaction Type" with a dropdown menu showing "DELIVERY"; "Mode" with radio buttons for "Main/Trading Account" (selected) and "Trading Account"; and "Account Number" with an empty text input field. At the bottom left, there are two buttons: "Clear" and "Get Quantity".

Reallocation Screen with Misallocations

### Search Criterion for a Previously Allocated Transaction

1. Select the **Fill Firm**
2. Select the **Prev Alloc** checkbox.
3. After selecting the **Prev Alloc** checkbox, the **Trade Month** will switch to **Process Month**. The process month denotes when the original allocation was processed. For instance, if a January 2008 Exercise was processed in February 2008, the User must select February 2008 as the process month.
4. Continue to select the **Commodity**, **Transaction Type** and **Mode** (By Main/Trading Account or Trading Account).
5. Enter an **Account Number** (also known as the trading account) that was utilized previously to do the allocations.
6. Select the **Get Quantity** button to obtain the results based on the criterion selected from Steps 1-5.
7. The results will display in the same format as if the transaction has never been allocated.
8. To complete the reallocation, refer to the above section: **Performing Unallocated Transactions**.

## 4.7 Allocation Screen Key Concepts

### What does the term “Reallocate” signify?

Non Trade transactions are initially directed to a “blank” account for the firm, any allocation the User performs is known as **Reallocation**.

### May I correct an allocation after submitting the records for allocation?

The User may only allocate transactions ONE time per business day. If any mistake is made, and submitted, it cannot be corrected until the next business day.

### If I allocate more than ten trading accounts how am I able to view them in the allocation screen?

If the scroll bar is not sufficient with the allocation list box, the User may select the **Extract** hyperlink to view all Main/Trading Accounts to be submitted for reallocation. Refer to the image below for reference.

After selecting the **Extract** the hyperlink you will be prompted to **Open** or **Save** the main/trading accounts to be allocated. To obtain a quick view of all the accounts, select **Open**, to review at a later time what is to be allocated select **Save**.

# Combined Exchange Fee System (CFS)

Main Account/Trading Account		Quantity
FIRMTEST		56
	SUB: FIRMTEST	56
TEST10		30
	SUB: TEST10	30
TEST3		12.5
	SUB: TEST3	12.5
<b>Total Reallocated Quantity</b>		<b>211</b>
<b>Unallocated Quantity</b>		<b>241</b>

Remove Clear Reallocate

Allocation Search Extract Feature

What happens if the allocated and the current available quantities do not match as referenced in the image below?

**Reallocation**


Current Transactions	1	Current Quantity	452
Main Account	TEST11	Trading Account	Select Account
		Quantity	325

Add

Main Account/Trading Account		Quantity
FIRMTEST		156
<b>Total Reallocated Quantity</b>		<b>156</b>
<b>Unallocated Quantity</b>		<b>296</b>

Remove Clear Reallocate

**Microsoft Internet Explorer**

 The new reallocated quantity exceeds the available unallocated quantity of 296.

OK

Reallocation Screen with Misallocations Quantity

Below are sample scenarios the User should follow if allocated quantities do not match the current available quantity.

## 1. Reallocated Quantity Exceeds Available Unallocated Quantity

**Problem:** If an entered quantity causes the Total Reallocated Quantity to exceed the number of contracts available for allocation, an error message will appear in a pop-up window.

**Resolution:** Click **OK** to remove the error message, return to that section and revise the quantity.

## 2. Incorrect Account Number or Quantity Entered

**Problem:** An incorrect account number and/or quantity have been entered in the Reallocation form but the User has **NOT** yet selected the **Reallocate** button.

**Resolution:** Rather than starting the process from the beginning, simply remove the incorrect line item from the allocation summary table.

### **What if I don't know what specific transactions are unallocated?**

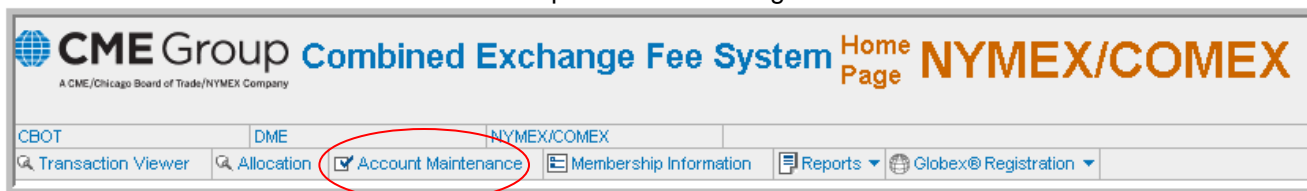
The User may execute the **Unallocated EAD Report** in the **Reports** screen, to determine what transactions may need to be reallocated or the User may utilize the **Transaction Viewer's "View EAD"** mode to determine which transactions may need to be reallocated as well.

**NOTE:** Allocations made at the summary level will be viewed at the detail level.

## 5. Account Maintenance

### 5.1 Accessing Account Maintenance

To access **Account Maintenance** select the option from the navigation menu.



### 5.2 Account Maintenance Overview

Account Maintenance screen allows the User to add accounts and associate owners and controllers (trading with discretion) to the respective trading account. Without registered account information, the CFS application will default to the non-member rate. Therefore, it is important to ensure that accounts are registered on a timely and accurate basis.

Within the CFS application, the account creation is done at a main account level (also known as an account alias, grouping account or roll-up account). All trading accounts are then associated to the main account. This allows the User to enter the account owner/controller association once rather than several times for each individual trading account.

**NOTE:** For any modifications made within the Account Maintenance screen the system will automatically submit associated transactions for recalculation for the open adjustment period.

Upon accessing the screen, the User will be able to perform the following functions:

- **View Existing Main Account** – This function allows the User to search by Main Account or Trading Account and also allows the User to perform any associated maintenance to the respective main account as well.
- **Create Main Account** – This function allows the User to create new Main Accounts, which entails associating the Trading Accounts and the account owners/controllers to the respective main account.

**\*\*Fee system will automatically recalculate trades modified in the Account Maintenance screen, for the entire open adjustment period. The process for which this will be done will be as follows:**

**a.** If a user adds a trading account to existing main account then the associated trade activity for that specific trading account (regardless of it's current main account association) will be resubmitted. **b.** If a user maintains more than the just the trading account relationship, the resubmissions of trades will be done at the main account level.

**Firm**

Show Expired

Main Account List	Main Account ID	Trading Account
<input type="text"/>	<input type="text"/>	<input type="text"/>

Select Account

Account Maintenance – Initial Screen

# Combined Exchange Fee System (CFS)

Each field within this initial screen is described in the below table.

FIELD NAME	DESCRIPTION
<b>Firm</b>	Firm the Main/Trading Account clear under
<b>Main Account List</b>	<p>This drop down list is automatically pre-populated with all the Main Account IDs registered under the Firm selected.</p> <p>To locate the Main Account Number the User may utilize the AutoComplete feature that suggests possible main account matches as you input text within the textbox or the User may scroll through the drop-down box to find their respective Main Account Number as well.</p>
<b>Main Account ID</b>	This field box is automatically filled with the Main Account ID once the User chooses it from the Main Account List. The User may also choose the Firm and then type the Main Account number directly into the Main Account ID field.
<b>Trading Account</b>	<p>The User may search for a current Trading Account from this screen by entering a Trading Account and clicking Submit.</p> <p><b>NOTE:</b> Trading account number inputted must be an exact match, otherwise no results will be returned.</p>

## 5.3 View Existing Main Accounts

To view an existing account registered within CFS, the User will need to do the following:

### 1. Select Firm

There are two ways to find the desired Firm.

- If the firm number is known, type it in the **Firm** box **or**:
- If the firm number is not known, click the down arrow from the **Firm** drop box, scroll through the list and highlight the desired firm.

### 2. Select the Main Account

- Click the down arrow in the **Account List** drop-down box. The User will then be able to scroll through the list of main account numbers for that firm until the desired account is located **or**;
- The User may utilize the AutoComplete feature that suggests possible main account matches as you input text within the textbox. Select the desired account with the mouse, if the AutoComplete feature suggests more than one Main Account.

### 3. Select the Trading Account (*Optional Field*)

- The User may input with the textbox the Trading Account Number. The data inputted into this field must be an exact match or no results will be returned. The user may choose to search accounts using only the trading account number.

### 4. Select the Submit button.

The associated account details will return to the screen after selecting the **Submit** button.

**NOTE:** To view expired account information, check the box labeled “Show Expired” prior to selecting the Submit button.

# Combined Exchange Fee System (CFS)

**Firm**

Show Expired

Main Account List	Main Account ID	Trading Account	
<input type="text"/>	<input type="text" value="TEST10"/>	<input type="text"/>	<input type="button" value="Create Main Account"/> <input type="button" value="Clear"/> <input type="button" value="Submit"/>
<input type="text" value="TEST10"/>			

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
TEST10	JOINT	11-23-2007	12-31-9999		N	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 2 Rows | [Show All](#)

◀ Prev
Go to Page:  
Set Page Length:  
Next ▶

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="TEST10"/>	<input type="text" value="11-23-2007"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="TRADINGACCT1"/>	<input type="text" value="11-23-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Owners Individuals** View ▾

Name	ID	Effective Date	Expiration Date	Actions
ADAMS, BRUCE A.		<input type="text" value="11-25-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Controllers** View ▾

Name	ID	Effective Date	Expiration Date	Actions
ADAMS, BRUCE A.		<input type="text" value="11-25-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
ADDUCCI, MARK A.		<input type="text" value="11-23-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

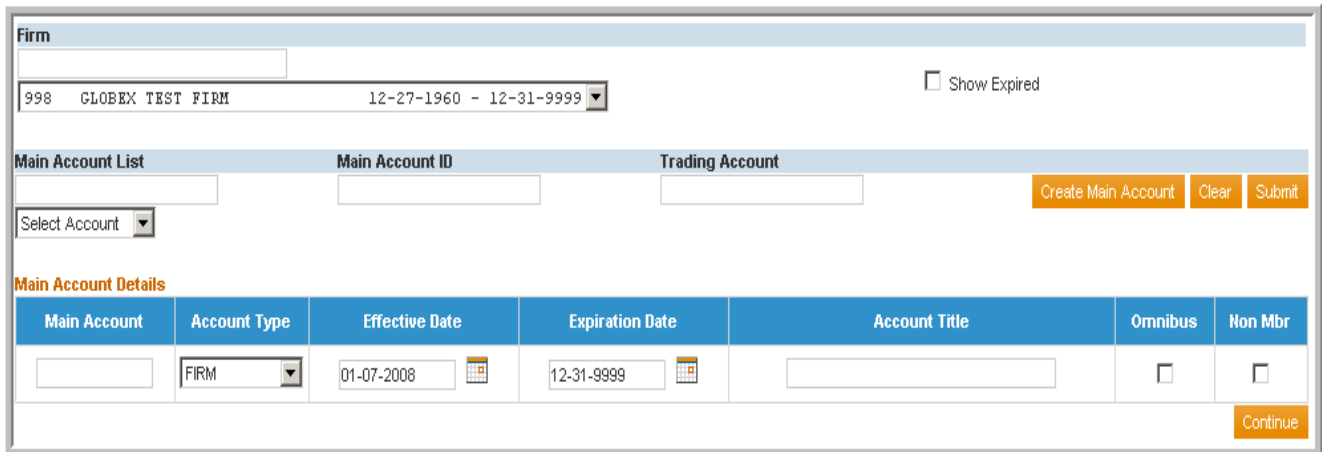
Account Maintenance – Results after Search Performed

## 5.4 Create A New Main Account

On the top portion of the **Account Maintenance** screen:

1. Select the **Firm** to which the main account will be associated with.
2. Select the **Create Main Account** button.
  - After the Create Account button has been selected, additional fields (Main Account, Account Type, Effective and Expiration Date, Account Title, Omnibus and Non Mbr Indicators) will appear for the User to populate.

# Combined Exchange Fee System (CFS)



**Firm**

998 GLOBEX TEST FIRM 12-27-1960 - 12-31-9999  Show Expired

**Main Account List**      **Main Account ID**      **Trading Account**

Select Account

**Main Account Details**

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
<input type="text"/>	FIRM	01-07-2008 <input type="calendar"/>	12-31-9999 <input type="calendar"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Creating a New Main Account and Associated Fields to be Populated

### 3. Complete the **Main Account Details**

- Input the Main Account Number in the **Main Account** field.
- Select the **Account Type** from the Drop list.
- Input the Main Account's **Effective Date** by either:
  - Typing in the date (in the format of MM-DD-YYYY) or;
  - Select the calendar to the right of the Effective Date text field and select the appropriate date.
- The **Expiration Date** will default to 12-31-9999. To select a different Expiration Date either:
  - Type in the date (in the format of MM-DD-YYYY) or;
  - Select the calendar to the right of the Expiration Date text field and click on the appropriate date.
- Input a title in the **Account Title** field.
- Select the check box if this is an **Omnibus** account.
- Select the check box if a **Non-Member** jointly owns the account.
- After completing each field select the **Continue** button, to create the main account details. You will then receive a confirmation message that the main account record has been created.

**NOTE:** Selecting Continue only creates the main account record. The User must continue to add the respective trading accounts and associate account owners/controllers in order to be eligible to receive reduced rates. Refer to the screen below noting the remaining fields that need to be completed.

# Combined Exchange Fee System (CFS)

**Firm**

998 GLOBEX TEST FIRM 12-27-1960 - 12-31-9999  Show Expired

**Main Account List**      **Main Account ID**      **Trading Account**

Select Account      USER GUIDE

The following account was successfully created: USER GUIDE

**Main Account Details** Select Action

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	N	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

Go to Page:  
Set Page Length:

1

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/> <input type="button" value="Calendar"/>	<input type="text" value="12-31-9999"/> <input type="button" value="Calendar"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/> <input type="button" value="Calendar"/>	<input type="text" value="12-31-9999"/> <input type="button" value="Calendar"/>	<a href="#">Add</a>

**Owners Individuals** View

Name	ID	Effective Date	Expiration Date	Actions
No records found matching the search criteria.				

**Controllers** View

Name	ID	Effective Date	Expiration Date	Actions
No records found matching the search criteria.				

New Main Account Number Record Successfully Created

## 5.4.1 Field Descriptions of the Main Account Details

FIELD NAME	DESCRIPTION
<b>Main Account</b>	This is the main account number (roll up account, account alias or grouping account) the User wishes to associate the trading account numbers to.
<b>Account Type</b>	Account Type drives which list will be available for the account owner selection: <ul style="list-style-type: none"> <li>Firm – Firm/Entities may only be the account owner</li> <li>Individual – Individuals may only be the account owner</li> <li>Joint – Two or more individuals listed as the account owner</li> <li>Non-Member – This is to signify that a non member is a joint owner of the account.</li> </ul>
<b>Effective Date</b>	The date the main account became effective.
<b>Expiration Date</b>	The date the main account is no longer active. If the account is active, the expiration date should be left as the default date of 12-31-9999.
<b>Account Title</b>	This field serves as an audit trail of the underlying account owner when the account owner itself does not hold any membership. Whenever the account owner identified in the clearing member's equity system (i.e. account statement) does not exactly

# Combined Exchange Fee System (CFS)

FIELD NAME	DESCRIPTION
	match that of the account owner registered in CFS, the account title field should be completed.
<b>Omnibus</b>	This indicator represents that the account is held in the name of an entity or person that may be utilized for placing and clearing the trades of one or more undisclosed customers of the account holder. This field is used for clearing fee audits only.
<b>Non Mbr</b>	This indicates the account is a jointly owned by a Non-Member. This indicator will automatically be populated when an Account Type of Non Member is selected.

## 5.5 Adding Trading Accounts

The Trading Account must be associated to the Main Account if the trading account is eligible to receive reduced rates. If no association is made then on the respective trade activity the trading account will also be the main account. The Main Account record is what is utilized for applying the associated Exchange Fees, so it's important that the trading account relationships are set-up correctly.

**NOTE:** The trading account may only exist under one main account/clearing firm for a specific date range. Also the Main Account inputted will automatically become a trading account therefore, this will not need to be re-entered. The User may add several trading accounts to one main account.

### 1. Adding Trading Accounts

Either on a Create New or View Existing the following will be displayed for the Trading Accounts section.

**Main Account Details**
Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
TUESDAY	FIRM	12-01-2007	12-31-9999	TEST ACCOUNT	N	N

**Trading Accounts**

Search Results
Page: 1 of 3 | 11 Rows | [Show All](#)

◀ Prev
Go to Page:  GO
Set Page Length:  SET
Next ▶

1 2 3

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="TUESDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="WEDNESDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="THURSDAY"/>	<input type="text" value="12-10-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="FRIDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="SUNDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

Trading Account: View Existing or Create New

- a. To add a new Trading Account input in the account number (which could be up to 20 characters) into the **blank textbox** under the trading account column
- b. Input the associated **Effective** and **Expiration** dates (dates should be equal to or between the Main Account's effective and expiration date).
- c. Select the **Add** hyperlink under the action column.
- d. A banner will appear above the Account Details row stating that the new Trading Account has been added. Continue to add as many trading accounts as needed repeating the steps above.

**NOTE:** If the number of trading accounts exceeds 10, then the system will automatically paginate the list. Therefore, if you don't see the account you just added, it will be at the end of the paginated list, as seen in the example below. To display this trading account just added, select the last page in this list or select the Show All hyperlink.

Trading Account SUNDAY1 has been added.

**Main Account Details**
Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
TUESDAYY	FIRM	12-01-2007	12-31-9999	TEST ACCOUNT	N	N

**Trading Accounts**
Page: 1 of 3 | 12 Rows | [Show All](#)

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Go to Page:   Set Page Length:  
Next ▶

1 2 3

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="TUESDAYY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="WEDNESDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="THURSDAY"/>	<input type="text" value="12-10-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="FRIDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text" value="SUNDAY"/>	<input type="text" value="12-01-2007"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Trading Account: Confirmation Trading Account Successfully Added**

## 5.6 Adding Owners/Controllers to the Main Account

After creating a new main account or modifying an existing main account, to add an owner/controller the User will need to do the following:

### A. Adding Owners

1. From the section labeled Owners, select **Add** from the drop-down list above the actions column.

**Owners Individuals**
View ▾

Name	ID	Effective Date	Expiration Date	Actions
No records found matching the search criteria.				

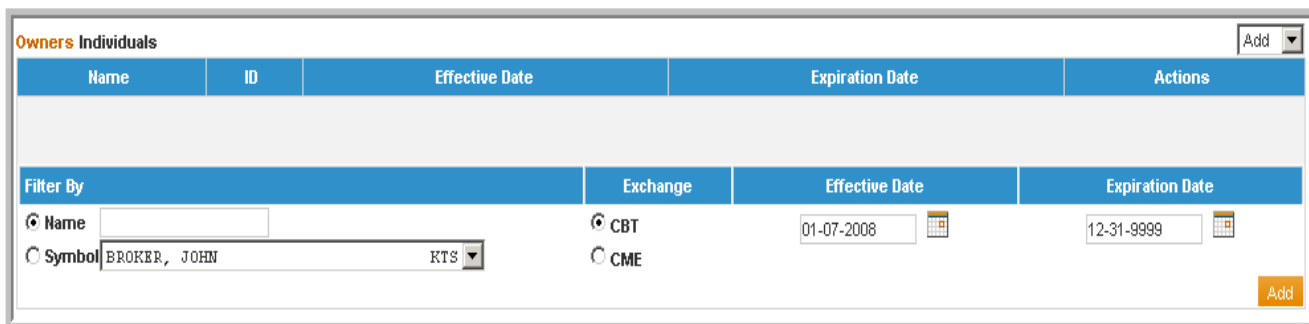
View ▾  
Add

**Add an Account Owner**

2. After selecting **Add**, the search form will appear.
3. Select the Account Owner by utilizing the **Filter By** feature.
  - For Account Type **Individual** the User will have the following **Filter By** features to locate the respective account owner:
    - **Name:** Select the **Name** radio button and type the first few characters of the individual's last name in the text field. The drop-down contains individual members and will automatically narrow the User's search to the name that matches what was entered. If the User name does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the name of the appropriate individual.

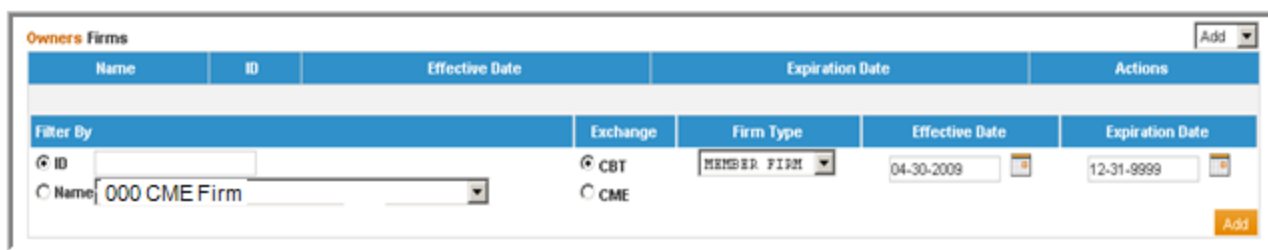
# Combined Exchange Fee System (CFS)

- **Symbol:** Select the **Symbol** radio button and type the first few characters of the individual's member acronym in the text field. The drop-down menu will automatically narrow the User's search to the acronym that matches what was entered. If the acronym does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the name of the appropriate individual you wish to add as the account owner.



Adding Account Owner: Filter By Individual

- For Account Type **Firm** the User will have the following **Filter By** features to locate the respective account owner:
  - **ID:** Select the **ID** radio button and type the firm ID in the text field. The drop-down menu will automatically narrow the User's search to the information that what was entered. If the ID does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the firm/entity you wish to add as an account owner.
  - **Name:** Select the **Name** radio button and type the firm/entity's name in the text field. The drop-down menu will automatically narrow the User's search to the information that what was entered. If the name does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the firm/entity you wish to add as an account owner.



Adding Account Owner: Filter By Firm

4. Select an Exchange.
5. Select the Firm Type (Member or Incentive Program category).
6. Input the **Effective** and **Expiration Date** of the Account Owner. Note that dates must be equal to or between the Main Account's date range.
7. Select the **Add** button as the final step. Once complete you will receive a confirmation message. Note that only one owner is allowed at a time unless the account type is specified as a joint account. If it is a joint account then you may continue to add as many owners to the accounts as needed.

# Combined Exchange Fee System (CFS)

**Account Owner BROKER, JOHN has been added.**

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	N	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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1

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Owners Individuals** Add ▾

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Filter By**

<input type="radio"/> Name <input type="text"/>	<input checked="" type="radio"/> CBT	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>
<input checked="" type="radio"/> Symbol <input type="text" value="KTS"/> <input type="text" value="BROKER, JOHN"/>	<input type="radio"/> CME		

Adding Account Owner: Confirmation Owner Successful Added

## B. Adding Controllers

Controllers should be added if the individual is trading with discretion. Note that if an individual is listed as an account owner they will automatically be listed as a controller.

1. From the section labeled **Controllers**, select **Add** from the drop-down list above the actions column.
2. After selecting **Add**, the **search form** will appear.
3. Use the **Filter By** fields to find the desired Controller.

**Controllers** Add ▾

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Filter By**

<input checked="" type="radio"/> Name <input type="text"/>	<input type="radio"/> CBT	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>
<input type="radio"/> Symbol <input type="text" value="BROKER, JOHN"/> <input type="text" value="KTS"/>	<input type="radio"/> CME		

Adding Account Controller: Filter By Individual

- As noted above, controllers can only be Individuals therefore, the User will have the following **Filter By** features to locate the respective account owner:
  - **Name:** Select the **Name** radio button and type the first few characters of the individual's last name in the text field. The drop-down menu will automatically narrow

the User's search to the name that matches what was entered. If the User name does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the name of the appropriate individual.

- **Symbol:** Select the **Symbol** radio button and type the first few characters of the individual's member acronym in the text field. The drop-down menu will automatically narrow the User's search to the acronym that matches what was entered. If the acronym does not appear first, in the drop-down list window, simply scroll through the list and select with your mouse on the name of the appropriate individual you wish to add as the account owner.
4. Input the **Effective** and **Expiration Date** of the Account Controller. Note that dates must be equal to or between the Main Account's and the Account Owner's date range.
  5. Select the **Add** button as the final step. Once complete you will receive a confirmation message. You may continue to add as many account controllers as deemed necessary.

## 5.7 Editing Main Accounts/Trading Accounts/Account Owners/Controllers

This section reviews the following functions:

- Modify **Main Accounts**
- Modify **Trading Accounts**
- Modify **Account Owners**
- Modify **Account Controllers**

### A. Modifying Main Accounts

After the User locates an existing main account, the following action items will be made available:

Main Account Details							Select Action
Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr	Select Action
TEST	INDIVIDUAL	07-15-2009	12-31-9999		N		Delete Edit Expire Re-Create

Editing Main Account: Select Action Items

- **Re-Create** – Allows a User to copy the Main Account details to create another Main Account
- **Delete** - Allows the main account (and the related trading accounts) to be removed from CFS. **NOTE: An account should only be deleted if it was created in error; otherwise, accounts should only be expired when they become inactive so that the account history is maintained and the fees for the open adjustment period remain intact.**
- **Edit** - Allows all fields within the account details section to be edited. Exception to this is the Account Type column. This Account Type field cannot be modified once created.
- **Expire** - Allows the Main account and all the associations (e.g. trading and owners/controllers) to be expired. The record will become completely inactive but will remain viewable for record keeping purposes.

#### 1. Re-Create Account Details

- a. Select the **Select Action** Drop Box.
- b. Select **Re-Create** from the Action options. The **Copy Account Details** section will display.
- c. Copy Account Details section will now appear, allowing the User to edit the following:
  - Account Type
  - Effective or Expiration Date
  - Account Title
  - Omnibus and Non-Member Indicators
- d. Click Submit.

Copy Account Details							
Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr	Submit
TEST	FIRM	07-15-2009	12-31-9999		<input type="checkbox"/>	<input type="checkbox"/>	Submit

# Combined Exchange Fee System (CFS)

## 2. Edit Main Account Details

- a. Select the **Select Action** Drop Box.
- b. Select **Edit** of the Action options.
- c. Change Account Details section will now appear, allowing the User to edit the following:
  - Main Account Number
  - Effective or Expiration Date
  - Account Title
  - Omnibus and Non-Member Indicators

**Main Account Details** Edit ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	N	N

---

**Change Account Details**

Main Account	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	01-07-2008 <input type="text"/>	12-31-9999 <input type="text"/>	USER GUIDE ACCOUNT	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Editing Main Account: Change Account Details

- d. When the respective fields have been updated, to complete the transaction the User must select the **Submit** button.
- e. A banner will return above the Account Details table stating that the account has been updated.

**NOTE:** The Account Type column may not be edited. The only way to modify this column is to either expire or delete the main account, and then recreate the main account record.

**USER GUIDE has been updated.**

**Main Account Details** Edit ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

---

**Change Account Details**

Main Account	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	01-07-2008 <input type="text"/>	12-31-9999 <input type="text"/>	USER GUIDE ACCOUNT	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Editing Main Account: Change Account Details

## 3. Expire Main Account Details

- a. Select the **Select Action** Drop Box.
- b. Select **Expire** of the Action options.
- c. An **Expire Account** section will now appear, refer to the screen shot below.


# Combined Exchange Fee System (CFS)

**Main Account Details** Expire ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Expire Account**

Expiration Date



Editing Main Account: Expire Account Screen


- d. Enter the **Expiration Date** (MM-DD-YYYY) manually or you may select the calendar icon to obtain the desired expiration date.
- e. To complete the transaction the User must select the **Submit** button.
- f. An Alert Message Box will return asking the User to confirm the expiration of this account. Select the **OK** option to continue, else select **Cancel**.

**Main Account Details** Expire ▾

Main Account	Account Type	Effective Date	Account Title	Omnibus	Non Mbr
USER GUIDE2	FIRM	01-07-2008		N	N

**Expire Account**

Expiration Date

09-10-2008 

Microsoft Internet Explorer

Are you sure you want to expire this Account?

- g. If the **OK** option was selected then a confirmation banner will return above the Account Details section noting that the account has been expired.

**NOTE:** Once the main account has been expired, the only way to view this account and all its associated trading accounts is to click the "SHOW EXPIRED" box when submitting a search for the accounts related to this firm.


USER GUIDE2 has been expired.

**Main Account Details** Expire ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE2	FIRM	01-07-2008	09-10-2008		N	N

**Expire Account**





Expiration Date

09-10-2008 

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE2"/>	<input type="text" value="01-07-2008"/> 	<input type="text" value="09-10-2008"/> 	
<input type="text"/>	<input type="text" value="01-07-2008"/> 	<input type="text" value="12-31-9999"/> 	<a href="#">Add</a>

Editing Main Account: Expire Confirmation

# Combined Exchange Fee System (CFS)

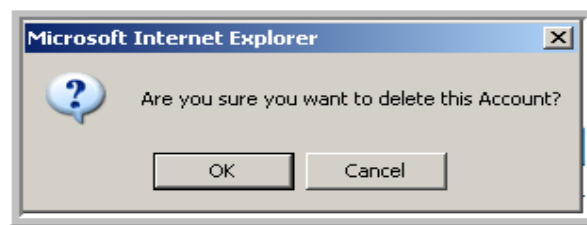
## 4. Delete Main Account Details

- Select the **Select Action** Drop Box.
- Select **Delete** of the Action options.
- Select the Main Account Detail line item with your mouse; refer to the image below.

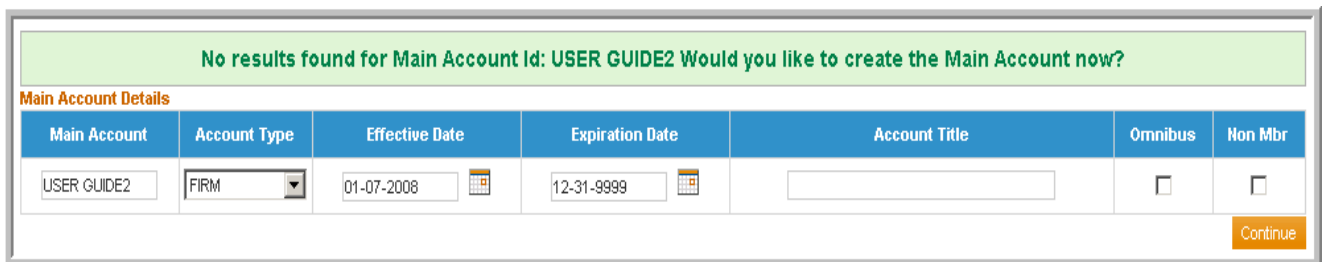


Deleting Main Account: Highlight the main account record to be deleted

- You will then be prompted with an Alert Message Box confirming the deletion of the account. To continue select **OK**, else select **Cancel**.



- If the **OK** option was selected then a confirmation banner will return above the Account Details section noting that the account is no longer found and if you would like to create the main account.



Editing Main Account: Delete Main Account Confirmation

## B. Modifying Trade Accounts

After the User locates an existing main account, the associated trading accounts will be displayed under the **Trading Account Section**. Under this section, the User may execute the following action items:

- **Update** Trading Account Number or Effective and Expiration Dates
- **Delete** existing Trading Accounts

# Combined Exchange Fee System (CFS)

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

Search Results Page: 1 of 1 | 2 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="ACCTABC"/>	<input type="text" value="09-01-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

Modifying Trading Account: Action Items

## 1. Update Trading Account Number or Dates

- a. Determine which trading account needs to be updated.
- b. There are three items which could be updated: Trading Account Number, Effective Date and/or Expiration Date.
  - If an existing **Trading Account Number** needs to be updated, simply overwrite what's listed in the textbox under the Trading Account column.
  - If the **Effective Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or select the calendar icon to obtain the desired effective date. Note that the effective date must be equal to or greater than the main account's effective date.
  - If the **Expiration Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or may select the calendar icon to obtain the desired expiration date. Note that the expiration date must be equal to or less than the main account's expiration date.
- c. To complete the transaction the User must select the **Update** hyperlink.
- d. An Alert Message Box will return asking the User to confirm whether they wanted to modify the trading account, select the **OK** option to continue, else select **Cancel**.

**Trading Accounts** Page: 1 of 1 | 2 Rows | [Show All](#)

Search Results

◀ Prev      Next ▶

Trading Account	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="-31-9999"/>	
<input type="text" value="ACCTABC2"/>	<input type="text" value="-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<a href="#">Add</a>

Microsoft Internet Explorer

Are you sure you want to modify this Trading Account?

- e. If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the modification of the trading account.

# Combined Exchange Fee System (CFS)

**Trading Account ACCTABC2 has been updated.**

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 2 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="ACCTABC2"/>	<input type="text" value="09-01-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Modifying Trading Account: Confirmation Message**

## 2. Delete Trading Account Number

- a. Determine which trading account needs to be deleted.
- b. Select the **Delete** hyperlink in the Actions column.
- c. An Alert Message Box will return asking the User to confirm whether they wanted to delete the trading account. Select the **OK** option to continue, or **Cancel** to terminate the request.

**Trading Accounts**

**Search Results** Page: 1 of 1 | 2 Rows | [Show All](#)

◀ Prev      Next ▶

Microsoft Internet Explorer

? Are you sure you want to remove this Trading Account?

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text" value="ACCTABC2"/>	<input type="text" value="09-01-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

- d. If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the deletion of the trading account.

**Trading Account ACCTABC2 has been deleted**

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Deleting Trading Account: Confirmation Message**

## C. Modifying Account Owners

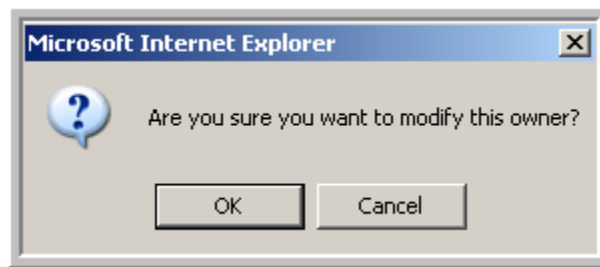
After the User locates an existing main account, the associated account owners will be displayed. The User will then be able to perform the following:

# Combined Exchange Fee System (CFS)

- **Update** Account Owner(s) Effective and/or Expiration Dates
- **Delete** Account Owners

## 1. Update Account Owner Effective and/or Expiration Dates

- Determine the account owner record that should be updated.
- Make any desired changes to the Effective or Expiration Date fields.
  - If the **Effective Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or select the calendar icon to obtain the desired effective date. Note that the effective date must be equal to or greater than the main account's effective date.
  - If the **Expiration Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or may select the calendar icon to obtain the desired expiration date. Note that the expiration date must be equal to or less than the main account's expiration date.
- Select **Update** hyperlink in the "Action column" to apply the updates to the Owners' Effective and/or Expiration Dates. An Alert Message Box will return asking the User to confirm whether they wanted to modify the owner's dates, select the **OK** option to continue, else select **Cancel**.



- If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the deletion of the trading account.

**Account Owner BROKER, JOHN has been updated.**

**Main Account Details** Select Action ▾

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

◀ Prev      Go to Page:        Set Page Length:        Next ▶

1

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Owners Individuals** View ▾

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="09-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Controllers** View ▾

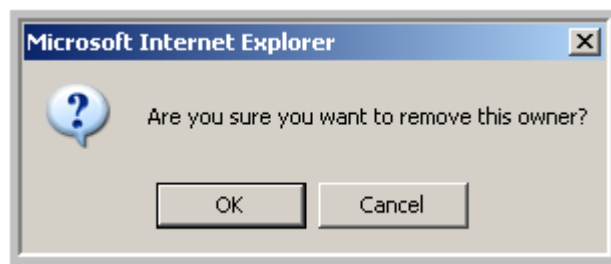
Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="09-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

Updating Account Owner: Confirmation Message

**NOTE:** If you are updating an individual as the account owner, the system will automatically update the individual as a controller.

## 2. Deleting Account Owners

- a. Determine the account owner record that should be deleted.
- b. Select **Delete** hyperlink in the “Action column” in order to delete the respective account owner. An Alert Message Box will return asking the User to confirm whether they wanted to remove the owner, select the **OK** option to continue, else select **Cancel**.



- c. If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the deletion of the trading account.

**Account Owner has been deleted.**

**Main Account Details** Select Action ▼

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/> <input type="button" value="Calendar"/>	<input type="text" value="12-31-9999"/> <input type="button" value="Calendar"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/> <input type="button" value="Calendar"/>	<input type="text" value="12-31-9999"/> <input type="button" value="Calendar"/>	<a href="#">Add</a>

**Owners Individuals** View ▼

Name	ID	Effective Date	Expiration Date	Actions
No records found matching the search criteria.				

**Controllers** View ▼

Name	ID	Effective Date	Expiration Date	Actions
No records found matching the search criteria.				

Deleting Account Owner: Confirmation Message

**NOTE:** If you are deleting an individual as the account owner, the system will automatically delete the individual as a controller.

## D. Modifying Account Controllers

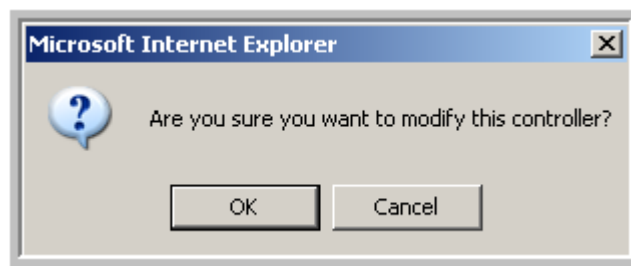
After the User locates an existing main account, the associated account owners will be displayed. The User will then be able to perform the following:

# Combined Exchange Fee System (CFS)

- **Update** Account Controller(s) Effective and/or Expiration Dates
- **Delete** Account Controllers

## 1. Update Account Controller's Effective and/or Expiration Dates

- Determine the account controller record that should be updated.
- Make any desired changes to the Effective or Expiration Date fields.
  - If the **Effective Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or select the calendar icon to obtain the desired effective date. Note that the effective date must be equal to or greater than the main account's effective date.
  - If the **Expiration Date** needs to be updated, the User may manually overwrite the date (MM-DD-YYYY) or may select the calendar icon to obtain the desired expiration date. Note that the expiration date must be equal to or less than the main account's expiration date.
- Select **Update** hyperlink in the "Action column" to apply the updates to the Controllers' Effective and/or Expiration Dates. An Alert Message Box will return asking the User to confirm whether they wanted to modify the controller's dates, select the **OK** option to continue, else select **Cancel**.



- If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the deletion of the trading account.

Account Controller BROKER, SCOTT has been updated.

**Main Account Details** Select Action ▼

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Owners Individuals** View ▼

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Controllers** Add ▼

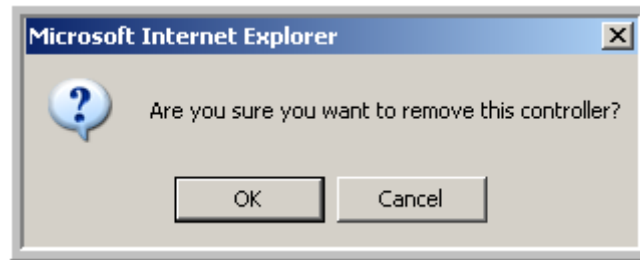
Name	ID	Effective Date	Expiration Date	Actions
BROKER, SCOTT	ROE	<input type="text" value="09-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

Updating Account Owner: Confirmation Message

**NOTE:** If you are updating an individual as the account controller of which is also listed as an account owner, then the system will automatically update the individual's owner record as well.

## 2. Deleting Account Controllers

- a. Determine the account controller record that should be deleted.
- b. Select the **Delete** hyperlink in the "Action" column in order to delete the respective account controller. An Alert Message Box will return asking the User to confirm whether they wanted to remove the controller, select the **OK** option to continue, else select **Cancel**.



- c. If **OK**, was selected then a confirmation message will appear above the Account Details section confirming the deletion of the trading account.

**Account Controller has been deleted.**

**Main Account Details** Select Action ▼

Main Account	Account Type	Effective Date	Expiration Date	Account Title	Omnibus	Non Mbr
USER GUIDE	INDIVIDUAL	01-07-2008	12-31-9999	USER GUIDE ACCOUNT	Y	N

**Trading Accounts**

**Search Results** Page: 1 of 1 | 1 Rows | [Show All](#)

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1

Trading Account	Effective Date	Expiration Date	Actions
<input type="text" value="USER GUIDE"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	
<input type="text"/>	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Add</a>

**Owners Individuals** View ▼

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

**Controllers** Add ▼

Name	ID	Effective Date	Expiration Date	Actions
BROKER, JOHN	KTS	<input type="text" value="01-07-2008"/>	<input type="text" value="12-31-9999"/>	<a href="#">Delete</a> <a href="#">Update</a>

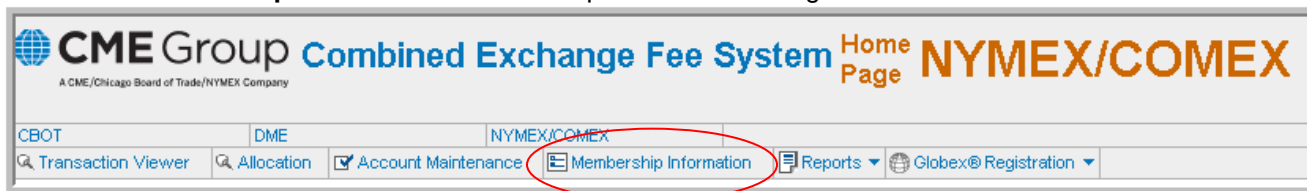
Deleting Account Controller: Confirmation Message

## 6. Membership Information

The **Membership Information** screen displays membership information for both individual members and member firms. This information is interpreted from the CME Group membership database. Below are examples of CBOT and NYMEX membership information.

### 6.1 Accessing Membership Information

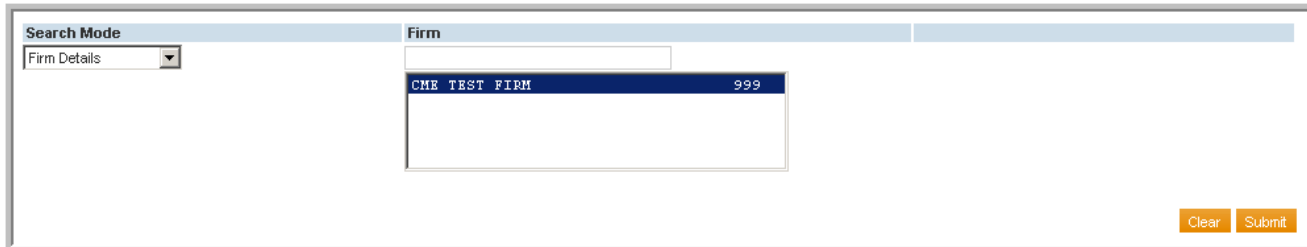
To access **Membership Information** select the option from the navigation menu.



### 6.2 Searching for a Firm or Member

To search by Firm or Member the User must perform the following steps:

- Select **Firm or Member Details** from the Search Mode drop-down menu and type in the string of characters that best represents the Firm or Member name that is to be retrieved. The string of characters inputted does **not** have to be an exact match
- Select the **Submit** button to retrieve the details.



### 6.3 Search Results - CBOT

The search results will be displayed in a section below the Membership Information Search form.

If **Firm Details** was selected, the Search Results will return the: Name, Business Code, Price Code, Effective and Expiration Dates.



The screenshot shows the search results for 'Firm Details'. The results are displayed in a table with the following columns: Name, Business Code, Price Code, Effective Date, and Expiration Date. The data row shows 'Test Firm', '1BB1', 'FAB', '05-01-2006', and '12-31-9999'. There is an 'Extract' button in the top right corner.

Name	Business Code	Price Code	Effective Date	Expiration Date
Test Firm	1BB1	FAB	05-01-2006	12-31-9999

# Combined Exchange Fee System (CFS)

If **Member Details** was selected, the Search Results will return the: Name, Broker Symbol, Seat, Business Code, Effective and Expiration Dates, Seat Division, Seat Relationship, Qualifying Firm ID and Name, Badge Firm ID and Name.

Member Details <span style="float: right;"><a href="#">Extract</a></span>													
Name	Broker Symbol	Seat	Business Code	Effective Date	Expiration Date	FULL	AM	GIM	COM	IDEM	Qualifying FirmId	Qualifying Firm Name	Badge FirmId
Broker, John	XXX	IDEM	MVO	10-01-2007	11-18-2007	N/A	N/A	N/A	N/A	HOLDS IDEM SEAT	998	Globex Test Firm	998
Broker, John	XXX	IDEM	IDN	11-19-2007	12-31-9999	N/A	N/A	N/A	N/A	FIRM APPOINTED (106F) IDEM SEAT	998	Globex Test Firm	998

## Search Results - NYMEX

The search results will be displayed in a section below the Membership Information Search form.

If **Firm Details** was selected, the Search Results will return the: Name, Product Exchange, Effective and Expiration Dates.

Firm Details <span style="float: right;"><a href="#">Extract</a></span>					
Name	NYMEX	COMEX	COMEX Option	Effective Date	Expiration Date
CME Test Firm	E	E	E	01-01-2008	12-31-9999

If **Member Details** was selected, the Search Results will return the: Name, Seat, Effective and Expiration Dates, Product Exchange, Qualifying Firm ID and Name, Badge Firm ID and Name.

Member Details <span style="float: right;"><a href="#">Extract</a></span>										
Name	Seat	Effective Date	Expiration Date	NYMEX	COMEX	COMEX Options	Qualifying FirmId	Qualifying Firm Name	Badge FirmId	Badge Firm Name
	NYMEX	02-02-2009	12-31-9999	L	C	E				

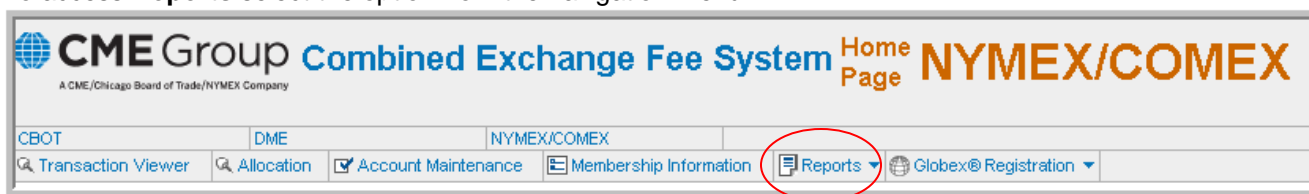
## 7. Reports

**Reports** offer both basic and advanced search options to generate customize and retrieve reports displaying fees and fee discount programs. Other reports are also available to assist in determining how fees were applied and to whom the fees will be billed to.

Data available for the report retrieval is the current plus the three prior months. All reports are viewable in PDF format and may be extracted into any machine readable format. The exception to this is the Trade Detail Extract report, which is an extract report only.

### 7.1 Accessing Reports

To access **Reports** select the option from the navigation menu.

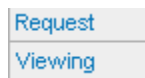


### 7.2 Report Request

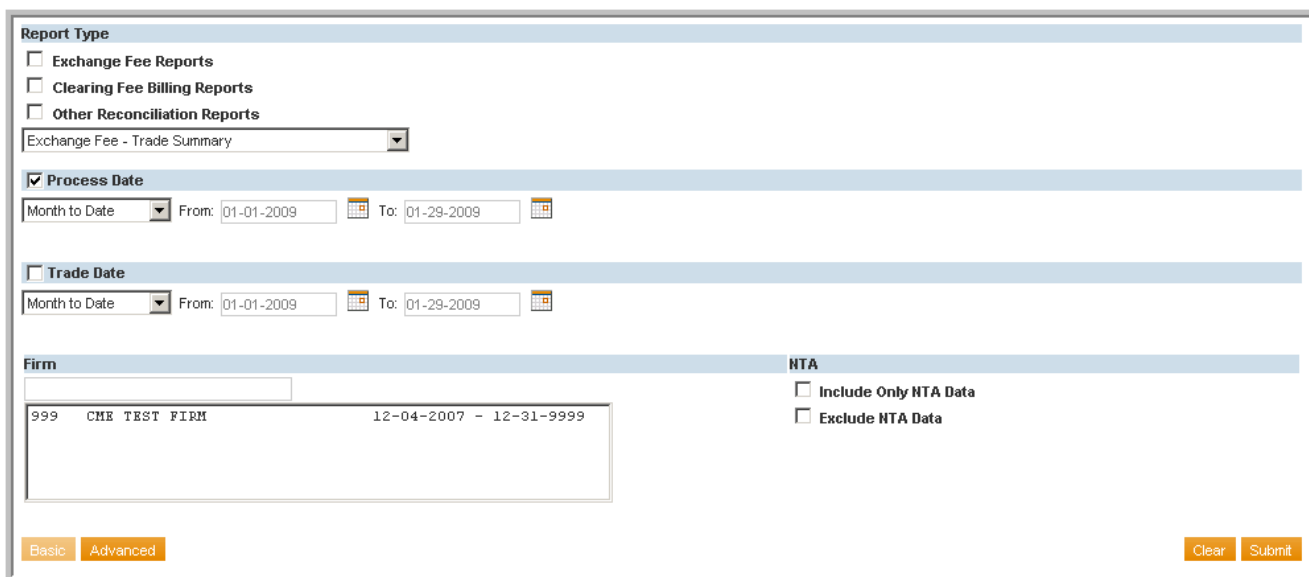
When Reports is selected, two sub-menu options appear.

Request – Select this option to request a report.

Viewing – Select this option to view, extract, or delete a report.



To request a report, select the **Request** tab from the Reports sub-menu. When this tab is chosen, the Report Request page appears.



The screenshot shows the 'Report Request' form. It has several sections:

- Report Type:** Three checkboxes for 'Exchange Fee Reports', 'Clearing Fee Billing Reports', and 'Other Reconciliation Reports'. A dropdown menu shows 'Exchange Fee - Trade Summary'.
- Process Date:** A checked checkbox. A dropdown menu shows 'Month to Date'. Two date input fields are present, both with '01-01-2009' and '01-29-2009' and calendar icons.
- Trade Date:** An unchecked checkbox. Similar to Process Date, it has a dropdown menu and two date input fields.
- Firm:** A text input field containing '999 CME TEST FIRM' and a date range '12-04-2007 - 12-31-9999'.
- NTA:** Two checkboxes: 'Include Only NTA Data' and 'Exclude NTA Data'.
- Buttons:** 'Basic' and 'Advanced' (orange) on the left; 'Clear' and 'Submit' (orange) on the right.

Report Request: CBOT Search Screen

# Combined Exchange Fee System (CFS)

## 7.2.1 Report Types

There are several predefined reports to choose from the Report drop-down list. To limit the Report list, the User may select the **Report Type** that closely reflects the reports the User wants to execute. The Report Type contains the following filters:

CBOT Report Type	NYMEX/DME Report Type	DESCRIPTION
<b>Exchange Fee Reports</b>		Filter limits those reports that apply to Exchange Fees for both trades and non trade activity and applicable EFP Surcharges. This report filter also includes any "Exchange Fee" discount programs such as volume discount and fee caps.
<b>Clearing Fee Billing Reports</b>		Filter limits those reports that apply to Clearing Fees. Under the Clearing Fee umbrella, this also includes such surcharges as Give-Up Surcharge, E/A Surcharge, Position Adjustment and Transfer fees.
	<b>Fee Reconciliation</b>	Filter contains reports that assist the user in viewing fees charged, allocations, and accounts and Operator IDs not registered.
	<b>Legacy Reports</b>	Filter contains reports based on format from the legacy E-billing system.
<b>Other Reconciliation Reports</b>		Filter contains reports that include assisting the User decipher individual membership status, registered accounts, unregistered operator ids, and determining the firm in which the invoice statement will be sent to.

To select a **Report Type**, select the checkbox next the report type description. The screen will then immediately reflect the report type filter selected. Refer to the screen shot below for reference.

CBOT Report Type Filter

**Report Type**

Exchange Fee Reports

Clearing Fee Billing Reports

Other Reconciliation Reports

Clearing Fee - Account Summary

Exchange Fee - Globex Account Summary

Exchange Fee - Fee Cap Firm

Exchange Fee - Volume Discount

Exchange Fee - Tran Type Summary

Exchange Fee - Trade Summary

Exchange Fee - Unallocated EAD Report

Exchange Fee - Allocated EAD Report

Exchange Fee - Customer Accounts By CTI

Exchange Fee - Customer Accounts By CTI By Account

Trade Detail Extract

Account Summary

NYMEX Report Type Filter

**Report Type**

Fee Reconciliation

Legacy NYMEX Report

Trade Detail Extract

Trade Detail Extract

Account Summary

Account Detail

Prior Period Adjustment

Current Day Allocation

Fee Type Summary

Customer Accounts By CTI

Unallocated EAD Report

Unregistered Operator Ids

Unregistered Trading Account

Commodity Fee Type Summary

DME Report Type Filter

**Report Type**

Fee Reconciliation

Legacy DME Report

Trade Detail Extract

Trade Detail Extract

Account Summary

Prior Period Adjustment

Current Day Allocation

Fee Type Summary

Customer Accounts By CTI

Unallocated EAD Report

Unregistered Operator Ids

Unregistered Trading Account

Commodity Fee Type Summary

# Combined Exchange Fee System (CFS)

## 7.2.2 Report Descriptions

There are several predefined reports to choose from the Report drop-down list. Following are descriptions of the various reports available:

### CBOT

REPORT TYPE	REPORT NAME	REPORT DESCRIPTION
Exchange Fee Reports	Allocated EAD Report	Report displays all non-trade activity (e.g. Exercise, Assignment, Deliveries) that has been allocated to the associated accounts. The report includes the Commodity Code, Future/Option Indicator, Crush Option Indicator, Fee Type, Tran Type, Rate and Quantity.
	Clerk for Member Participant	Report displays a list of participants registered in the Clerk for Member program along with their associated user IDs and effective and expiration dates.
	Customer Account by CTI	Report summarizes the trading volumes and fees for accounts receiving customer rates when the Customer Type indicator (CTI) indicates that the trade is for a member or clearing firm proprietary account. The report includes CTI Indicator, Trade Date, Main/Trading Account, and Trade Location.
	Customer Accounts by CTI by Account	Report summarizes the trading volumes and fees for accounts receiving customer rates when the Customer Type indicator (CTI) indicates that the trade is for a member or clearing firm proprietary account. The report is grouped by Main Account. The report includes CTI Indicator, Trade Date, Main/Trading Account and Trade Location.
	Fee Cap Firm	Report displays the Exchange Fees for qualified individual members eligible to receive the fee cap.
	Fee Type Summary	Summarizes the fees charged by Fee Type (e.g. Exchange Fee, EFP Surcharge, etc.). Report includes the Fee Type, Quantity, and Total Fees.
	Globex Account Summary	Report isolates electronic activity only, same format as the standard Account Summary Report.
	Tran Type Summary	Summarizes fees charged by Transaction Type (e.g. trades, non-trades, give-ups, etc). Report includes the Main/Trading Account, Quantity, and Total Fees.
	Trade Summary	Similar to the Account Summary report however this report helps decipher the key components utilized to calculate Exchange Fees which include the Executor, Commodity, Price Group and Trade Location.
	Unallocated EAD Report	Report displays all non-trade activity (e.g. Exercise, Assignment, Deliveries) that has been unallocated. The report includes the Commodity Code, Future/Option Indicator, Crush Option Indicator, Fee Type, and Quantity.
Volume Discount	Report displays the U.S. Treasury volume discounts for qualified participants who have reached the 15,000 volume threshold. This report includes the Trade Location, Main Account, Price Code, Broker/User ID, Quad, Fut/Opt, Rate, Quantity, and the Volume Discount.	
Clearing Fee Billing Reports	Account Summary	Summarizes fees charged by Main Account. Report includes the Main/Trading Account, Quantity, and Total Fees.
	Fee Type Summary	Summarizes the fees charged by Fee Type (e.g. Clearing Fee, Give-up Surcharge, etc.). Report includes the Fee Type, Quantity, and Total Fees.
	Trade Detail Extract	Report displays all relevant trade and fee details a tab delimited format. This report is an extract format only due to the size of the report.
	Tran Type Summary	Summarizes fees charged by Transaction Type (e.g. trades, non-trades, give-ups, etc). Report includes the Main/Trading Account, Quantity, and Total Fees.

# Combined Exchange Fee System (CFS)

REPORT TYPE	REPORT NAME	REPORT DESCRIPTION
<b>Other Reconciliation Reports</b>	Trade Detail Extract	Report displays all relevant trade and fee details a tab delimited format. This report is an extract format only due to the size of the report.
	Account Summary	Summarizes fees charged by Main Account. Report includes the Main/Trading Account, Quantity, and Total Fees.
	Account Detail	This report displays all main/trading accounts that have been registered within CFS. The report includes the Main Account and Title, Effective Date, Expiration Date, and the Account Affiliations (the person(s) or firm(s) registered as having affiliations with the account)
	Unregistered Operator Ids	This report displays trades for which the operator ID has NOT been registered in CFS, resulting in trades getting charged a non-member rate for the date range and firm selected. The report includes the Main Account, CTI code, Quantity, and Total Fees.
	Invoice Firm	This report displays the CME equivalent billing firm in which fees will roll up to for the invoice statement.
	Individual Membership Status	This report displays the membership status of an individual member registered to a particular firm. The status displays the Broker name and Symbol, Seat Type, Price Group*, Membership Levels, Effective date, and Expiration dates.  Price Group *IWO – Individual Without Shares *IWI – Individual With Shares
	Prior Period Adjustment Report	This report displays all trades that were originally processed in a prior month and have been adjusted and recalculated. The report includes Original Process Month, Main/Trading Account, Change Code, Trader ID, Trade Location, and Price Code.
	Current Day Allocation Report	This report summarizes non-trade volume that was allocated to main/trading accounts during the current business day. The report includes Main/Trading account, Commodity Code, Tran Type and Quantity.
	Unregistered Trading Accounts	All trading accounts for firm that are not registered and therefore could be billing incorrectly; summarized by Account Number, Quadrant, Tran Type, and Total Fees.
	Globex Trading Accounts by Operator ID	Report displays electronic activity by trading account with the associated operator ID and CTI code.
	Brokerage Fee	Report summarizes brokerage fees billed directly to brokers for transactions cleared at selected firm.
	Clerk for Member	Report displays operator IDs registered as Clerk for Member participants with the associated members and their effective and expiration dates.
	Unregistered Clerk for Member	Report displays a list of participants in the Clerk for Member program who have not been registered in the fee system.
	All Fee – Fee Type Summary	Fee Type Summary Report format that includes all fees (Exchange and Clearing).
	EMIP Participant	Report summarizes quantity and applied fees for participants in the Emerging Markets Incentive Program (EMIP). Summarized by operator ID, trading firm, location, main account, commodity, future/option indicator, and fee type.
All Fee – Account Summary	Account Summary Report format that includes all fees (Exchange and Clearing).	

# Combined Exchange Fee System (CFS)

## NYMEX

REPORT TYPE	REPORT NAME	REPORT DESCRIPTION
<b>Fee Reconciliation</b>	Trade Detail Extract	Report displays all relevant trade and fee details a tab delimited format. This report is an extract format only due to the size of the report.
	Account Summary	Summarizes fees charged by Main Account. Report includes the Main/Trading Account, Quantity, and Total Fees.
	Account Detail	This report displays all main/trading accounts that have been registered within CFS. The report includes the Main Account and Title, Effective Date, Expiration Date, and the Account Affiliations (the person(s) or firm(s) registered as having affiliations with the account)
	Prior Period Adjustment	This report displays all trades that were originally processed in a prior month and have been adjusted and recalculated. The report includes Original Process Month, Main/Trading Account, Change Code, Trader ID, Trade Location, and Price Code.
	Current Day Allocation	This report summarizes non-trade volume that was allocated to main/trading accounts during the current business day. The report includes Main/Trading account, Commodity Code, Tran Type and Quantity.
	Fee Type Summary	Summarizes the fees charged by Fee Type (Exchange Fee, EFP Surcharge, etc.). Report includes the Fee Type, Quantity, and Total Fees.
	Customer Accounts by CTI	Report summarizes the trading volumes and fees for accounts receiving customer rates when the Customer Type indicator (CTI) indicates that the trade is for a member or clearing firm proprietary account. The report includes CTI Indicator, Trade Date, Main/Trading Account, and Trade Location.
	Unallocated EAD Report	Report displays all non-trade activity (e.g. Exercise, Assignment, Deliveries) that has not been allocated to the associated accounts. The report includes the Commodity Code, Future/Option Indicator, Crush Option Indicator, Fee Type, and Quantity.
	Unregistered Operator Ids	This report displays trades for which the operator ID has NOT been registered in CFS, resulting in trades getting charged a non-member rate for the date range and firm selected. The report includes the Main Account, CTI code, Quantity, and Total Fees.
	Commodity Fee Type Summary	Report summarizes fees charged by commodity.
<b>Legacy NYMEX Reports</b>	Unregistered Trading Accounts	All trading accounts for firm that are not registered and therefore could be billing incorrectly.
	Summary Bill by Account	Summarizes fees charged by Trading Account. Report includes Commodity, Product Exchange, Future/Option Indicator, Venue, Fee Type, Tran Type, Rate Type, Rate, Quantity and Total Fees.
	Day Credit	Summarizes fee credits associated with day trades, summarized by Main Account, Trade Date, Product, and Contract Month.
	Licensee Billing Report	Report summarizes licensee/lessee surcharge fees for transactions cleared at selected firm, by broker, for their own account and for others' accounts.

# Combined Exchange Fee System (CFS)

## DME

REPORT TYPE	REPORT NAME	REPORT DESCRIPTION
<b>Fee Reconciliation</b>	Trade Detail Extract	Report displays all relevant trade and fee details a tab delimited format. This report is an extract format only due to the size of the report.
	Account Summary	Summarizes fees charged by Main Account. Report includes the Main/Trading Account, Quantity, and Total Fees.
	Prior Period Adjustment	This report displays all trades that were originally processed in a prior month and have been adjusted and recalculated. The report includes Original Process Month, Main/Trading Account, Change Code, Trader ID, Trade Location, and Price Code.
	Current Day Allocation	This report summarizes non-trade volume that was allocated to main/trading accounts during the current business day. The report includes Main/Trading account, Commodity Code, Tran Type and Quantity.
	Fee Type Summary	Summarizes the fees charged by Fee Type (Exchange Fee, EFP Surcharge, etc.). Report includes the Fee Type, Quantity, and Total Fees.
	Customer Accounts by CTI	Report summarizes the trading volumes and fees for accounts receiving customer rates when the Customer Type indicator (CTI) indicates that the trade is for a member or clearing firm proprietary account. The report includes CTI Indicator, Trade Date, Main/Trading Account, and Trade Location.
	Unallocated EAD Report	Report displays all non-trade activity (e.g. Exercise, Assignment, Deliveries) that has <u>not</u> been allocated to the associated accounts. The report includes the Commodity Code, Future/Option Indicator, Crush Option Indicator, Fee Type, and Quantity.
	Unregistered Operator Ids	This report displays trades for which the operator ID has NOT been registered in CFS, resulting in trades getting charged a non-member rate for the date range and firm selected. The report includes the Main Account, CTI code, Quantity, and Total Fees.
	Commodity Fee Type Summary	Report summarizes fees charged by commodity.
<b>Legacy DME Reports</b>	Unregistered Trading Account	All trading accounts for firm that are not registered and therefore could be billing incorrectly.

# Combined Exchange Fee System (CFS)

## 7.2.3 Report Basic Search Criteria

The basic search requires the User to select a date selection by either **Process Date** or **Trade Date** by checking the box in front of one or both of the date selections. The User must also select the corresponding **Firm**, prior to submitting a report.

FIELD NAME	DESCRIPTION
<b>Process Date</b>	The date that the trade was processed CFS. Refer to selection below for the Date Selection Operands.
<b>Trade Date</b>	The date that the trade was executed. Refer to selection below for the Date Selection Operands.
<b>Firm</b>	Represents the filling firm (executing firm) of the transaction.
<b>NTA</b>	This is an optional field that allows a User to include or exclude Non-Trade activity from Exchange Fee reports. To include or exclude this data, simply select the checkbox under the NTA column.

### Basic Search Criterion - Date Selection Operands

DATE SELECTION	DESCRIPTION
<b>Month to Date</b>	Month to Date automatically sets the beginning date to the first day of the current month and the end date to the prior trading day.  <i><b>NOTE:</b> Dates cannot be changed while in the Month-To-Date mode.</i>
<b>Equals</b>	Equals specifies only one day. The system default displays the prior trading day.  <i><b>NOTE:</b> With a "Between" search criteria, it is only possible to view a maximum of 30 days at a time.</i>
<b>Between</b>	Between specifies the beginning and end dates for a date range.  <i><b>NOTE:</b> With a "Between" search criteria, it is only possible to view a maximum of one month at a time.</i>
<b>Last Month</b>	Last Month defaults the beginning and end dates to the first and last days of the previous month.
<b>Two Months Ago</b>	Two Months Ago defaults the beginning and end dates to two months prior to the current month.
<b>Three Months Ago</b>	Three Months Ago defaults the beginning and end dates to three months prior to the current month.

When using the **Between** and **Equals** selections, specific dates must be entered either by clicking in the date fields and typing in the date in the MM-DD-YYYY format, or by choosing a date using the calendar to the right of the date field. Click on the calendar icon to have the calendar window appear.




April 2009						
Sun	Mon	Tue	Wed	Thu	Fri	Sat
29	30	31	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	1	2
3	4	5	6	7	8	9

close

# Combined Exchange Fee System (CFS)

## 7.2.4 Report Advanced Search Criteria

There are dynamic search features available depending on the report selected. Not all reports will have the advanced search criterion. When advanced options are available the User will be able to select the **Advanced** button at the bottom left side of the form.

The basic search selections will remain at the top of the page and must be completed and new advanced fields will appear beneath them. The advanced search criterion available to select from will again vary per report; below describes a list of fields that may be available:

FIELD NAME	DEFINITION
<b>Product Venue (NYMEX only)</b>	<b>ALL</b> NYMEX and COMEX products
	<b>COMEX</b> COMEX products only
	<b>NYMEX</b> NYMEX products only
<b>Quadrant (CBOT/DME)</b>	For CBOT, each commodity (product) can be identified by one of the following classifications: Agriculture (AG), Financial (FIN), Equity Index (INDEX), and Metals (METAL). For DME, there are no Quadrant classifications, so the selection criterion is ALL.
<b>Commodity</b>	Indicator code (usually a two to five character code) that identifies the contract traded. The <b>default</b> setting will search <b>all</b> Commodities. To narrow a search by commodity, select a single commodity either by scrolling through the list OR type the commodity code in the text field above the commodity list. The system will automatically locate the first item in the list that matches what the entry. <ul style="list-style-type: none"> <li>• <b>To Add a commodity</b> from the commodity list: <ul style="list-style-type: none"> <li>○ <b>Highlight</b> a commodity in the commodity list.</li> <li>○ Click the <b>Add</b> hyperlink or press the enter key.</li> <li>○ The commodity's code will then populate the box to the right of the commodity list.</li> </ul> </li> <li>• <b>To Select multiple commodities:</b> <ul style="list-style-type: none"> <li>○ Repeat the steps above for each commodity. OR hold down the <b>CTRL</b> key on the keyboard.</li> <li>○ Click each commodity to <b>highlight</b> it.</li> <li>○ Click the <b>Add</b> hyperlink to add all of the commodities at once.</li> </ul> </li> <li>• <b>To Delete a commodity</b> from the search list: <ul style="list-style-type: none"> <li>○ Click and <b>highlight</b> that commodity code in the search list box.</li> <li>○ Click the <b>Delete</b> hyperlink.</li> </ul> </li> <li>• <b>To De-Select multiple commodities</b> from the search list: <ul style="list-style-type: none"> <li>○ Click and <b>highlight</b> more than one commodity code in the search list box.</li> <li>○ Click the <b>Delete</b> hyperlink.</li> </ul> </li> </ul>
<b>Fut/Opt</b>	Trading activity may be isolated by either the Futures or Option indicator.
<b>Venue (NYMEX/DME)</b>	<b>NYMEX</b> NYMEX Floor Trading (Open Outcry)
	<b>COMEX</b> COMEX Floor Trading (Open Outcry)
	<b>CPC</b> ClearPort Clearing
	<b>CPT</b> ClearPort Trading – Electronic trading venue for NYMEX; not a valid venue for COMEX products.
	<b>GLBX</b> Globex – CME Group electronic trading platform for NYMEX and COMEX products.
<b>Main Account</b>	This is the Grouping Account (or Account Alias) created by firms via the account maintenance screen in which all trading accounts are associated (roll up) to.
<b>Trading Account</b>	This is the actual trading account number that was listed on the transaction.
<b>Broker</b>	Field identifies the member's acronym, typically referred to as Broker Symbol. This field should be predominately utilized for isolating PIT trading activity.

# Combined Exchange Fee System (CFS)

FIELD NAME	DEFINITION																
<b>Trader ID</b>	Field identifies the executor's user ID, typically referred to as an Operator ID or TAG 50. This field should be predominately utilized for isolating Electronic trading activity.																
<b>Order Number</b>	Field identifies the customer's order. This number is internally generated by the order routing software that uniquely identifies an order instruction.																
<b>Transaction Type</b>	Field identifies the specific transaction executed, below are the following descriptions: <table border="1" data-bbox="397 483 1356 777"> <tr> <td><b>PIT</b></td> <td>PIT SPRD, PIT TRD</td> </tr> <tr> <td><b>Ex-PIT</b></td> <td>BLOCK, BLOCK SPREAD, EFP, EFR, EFS</td> </tr> <tr> <td><b>Electronic</b></td> <td>ELEC SPRD, ELEC TRD</td> </tr> <tr> <td><b>Non-Trades</b></td> <td>CASH SETTLE, DELIVERY, EXERCISE, ASSIGNMENT, EXPIRED OPTION, FUTURE FROM ASN, FUTURE FROM EXE</td> </tr> <tr> <td><b>Other Trading Activity</b></td> <td>GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI, EXCHANGE OPTIONS FOR OPTIONS</td> </tr> </table>	<b>PIT</b>	PIT SPRD, PIT TRD	<b>Ex-PIT</b>	BLOCK, BLOCK SPREAD, EFP, EFR, EFS	<b>Electronic</b>	ELEC SPRD, ELEC TRD	<b>Non-Trades</b>	CASH SETTLE, DELIVERY, EXERCISE, ASSIGNMENT, EXPIRED OPTION, FUTURE FROM ASN, FUTURE FROM EXE	<b>Other Trading Activity</b>	GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI, EXCHANGE OPTIONS FOR OPTIONS						
<b>PIT</b>	PIT SPRD, PIT TRD																
<b>Ex-PIT</b>	BLOCK, BLOCK SPREAD, EFP, EFR, EFS																
<b>Electronic</b>	ELEC SPRD, ELEC TRD																
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<b>Other Trading Activity</b>	GIVE UP, POS ADJ, TRANSFER, TRANSFER RFO, EXCHANGE FOR MINI, EXCHANGE OPTIONS FOR OPTIONS																
<b>Fee Type</b>	Allows a user to narrow the search by the fees charged to the transaction(s): <table border="1" data-bbox="397 808 1356 1459"> <tr> <td><b>Clearing Fees (CBOT)</b></td> <td>Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee</td> </tr> <tr> <td><b>Exchange Fees (CBOT)</b></td> <td>Exchange Fee, and Exchange Fee-NonTrd</td> </tr> <tr> <td><b>Ex-Pit Surcharges (CBOT)*</b></td> <td>EFP Surcharge and Fung Surcharge <i>*NOTE: Surcharges are associated with Exchange Fees for billing purposes.</i></td> </tr> <tr> <td><b>Brokerage Fees (CBOT)</b></td> <td>Brokerage, 106F Brokerage and 106F Brokerage Individual (<i>Brokerage Fees are billed to Broker</i>)</td> </tr> <tr> <td><b>Exchange Fees (NYMEX)</b></td> <td>Exchange Fee – PIT, Exchange Fee – GBX, Exchange Fee – CPC, Exchange Fee – CPT, Day Credit, Cash Settlement, E/A/D Notice, Exchange Fee-NonTrd, Ex-Pit Movement, Lessee Surcharge</td> </tr> <tr> <td><b>Ex-Pit Surcharges (NYMEX)</b></td> <td>Block Surcharge, EFS Surcharge</td> </tr> <tr> <td><b>Exchange Fees (DME)</b></td> <td>Exchange Fee – CPC, Exchange Fee – CPT, Exchange Fee-NonTrd, Exchange Fee – GBX, Cash Settlement, E/A/D Notice</td> </tr> <tr> <td><b>Ex-Pit Surcharges (DME)</b></td> <td>Block Surcharge</td> </tr> </table>	<b>Clearing Fees (CBOT)</b>	Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee	<b>Exchange Fees (CBOT)</b>	Exchange Fee, and Exchange Fee-NonTrd	<b>Ex-Pit Surcharges (CBOT)*</b>	EFP Surcharge and Fung Surcharge <i>*NOTE: Surcharges are associated with Exchange Fees for billing purposes.</i>	<b>Brokerage Fees (CBOT)</b>	Brokerage, 106F Brokerage and 106F Brokerage Individual ( <i>Brokerage Fees are billed to Broker</i> )	<b>Exchange Fees (NYMEX)</b>	Exchange Fee – PIT, Exchange Fee – GBX, Exchange Fee – CPC, Exchange Fee – CPT, Day Credit, Cash Settlement, E/A/D Notice, Exchange Fee-NonTrd, Ex-Pit Movement, Lessee Surcharge	<b>Ex-Pit Surcharges (NYMEX)</b>	Block Surcharge, EFS Surcharge	<b>Exchange Fees (DME)</b>	Exchange Fee – CPC, Exchange Fee – CPT, Exchange Fee-NonTrd, Exchange Fee – GBX, Cash Settlement, E/A/D Notice	<b>Ex-Pit Surcharges (DME)</b>	Block Surcharge
<b>Clearing Fees (CBOT)</b>	Clearing Fee, Give-Up Surcharge, E/A Surcharge, Delivery Surcharge, Position Transfer, Position Adjustment, and Expired Option Fee																
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<b>Ex-Pit Surcharges (DME)</b>	Block Surcharge																
<b>Applied Fee Indicator (CBOT)</b>	Applied Fee Indicator corresponds to the respective levels on the fee schedule. <table border="1" data-bbox="397 1533 1356 1984"> <tr> <td><b>L1</b></td> <td>Individual Equity Member trading for own account.</td> </tr> <tr> <td><b>L1D</b></td> <td>Individual Lessee (Delegate/106.D) trading for own account.</td> </tr> <tr> <td><b>L1F</b></td> <td>Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).</td> </tr> <tr> <td><b>L2</b></td> <td>Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.</td> </tr> <tr> <td><b>L3</b></td> <td>Individual Non-Equity Members (where another individual is executing the trade) and Non-Equity Member Firms that have the trading rights but do not have share minimum for the product traded.</td> </tr> <tr> <td><b>L3D</b></td> <td>Individual Delegate Members where another individual is executing the trade.</td> </tr> <tr> <td><b>L3F</b></td> <td>Individual Clearing Firm Employee where another individual is executing the trade.</td> </tr> </table>	<b>L1</b>	Individual Equity Member trading for own account.	<b>L1D</b>	Individual Lessee (Delegate/106.D) trading for own account.	<b>L1F</b>	Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).	<b>L2</b>	Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.	<b>L3</b>	Individual Non-Equity Members (where another individual is executing the trade) and Non-Equity Member Firms that have the trading rights but do not have share minimum for the product traded.	<b>L3D</b>	Individual Delegate Members where another individual is executing the trade.	<b>L3F</b>	Individual Clearing Firm Employee where another individual is executing the trade.		
<b>L1</b>	Individual Equity Member trading for own account.																
<b>L1D</b>	Individual Lessee (Delegate/106.D) trading for own account.																
<b>L1F</b>	Individual Clearing Firm Employee (Firm Appointee/106.F) trading for own account (delegate rates will apply).																
<b>L2</b>	Individual Equity Members (where another individual is executing the trade) and Equity Firms that have the trading rights and share minimum for the product traded.																
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<b>L3D</b>	Individual Delegate Members where another individual is executing the trade.																
<b>L3F</b>	Individual Clearing Firm Employee where another individual is executing the trade.																

# Combined Exchange Fee System (CFS)

FIELD NAME	DEFINITION
	<b>L4</b> e-CBOT Member Firms
	<b>L5</b> Non-Members
	<b>L6</b> Mini-sized Contract Permit Holders (also known as a CMACE Permit)
	<b>L6D</b> Individual Lessee (Delegate/106.D) whom is also holding a CMACE permit.
	<b>L6F</b> Individual Clearing Firm Employee (Firm Appointee/106.F) whom is also holding a CMACE permit.
	<b>L7</b> CME Members eligible for discounted rates on selected CBOT products, such as Mini-Dow.
<b>Applied Fee Indicator (NYMEX)</b>	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	<b>C</b> Non-Member (Customer)
	<b>E</b> Equity (Firm or Individual)
	<b>F</b> 106.F Member
	<b>L</b> Lessee Member (Rule106.D) ( <i>Formerly referred to as Licensee</i> )
	<b>X</b> Blended - Member Trading Outside Division but eligible for blended rates
<b>Applied Fee Indicator (DME)</b>	Applied Fee Indicator corresponds to the respective levels on the fee schedule.
	<b>DFF</b> DME Floor Member
	<b>DOF</b> Off-Floor Member
	<b>DCM</b> DME Clearing Member
	<b>DMM</b> DME Market Maker
	<b>DNM</b> NYMEX Member
	<b>DCU</b> Non-Member (Customer)
<b>Fee Incentive Indicator (CBOT and NYMEX)</b>	Fee Incentive Indicator corresponds to the respective incentive program. If blank or spaced no incentive applies.
	<b>AIP</b> Asian Incentive Program
	<b>IIP</b> International Incentive Program
	<b>SAIP</b> South American Incentive Program

## Advanced Search Criterion Operands

OPERATOR NAME	DESCRIPTION
<b>Any</b>	Allows the User to search for <b>all</b> items and is the <b>default selection</b> .
<b>Begins With</b>	Allows the User to enter the first few numbers and/or letters of the desired search item(s).
<b>Contains</b>	Allows the User to enter a string of numbers and/or letters and search for all items that contain that string.
<b>Ends With</b>	Allows the User to enter the last few number and/or letters of the desired search item(s).
<b>Equals</b>	Allows the User to enter the exact search item. "Equals" may also be used to enter multiple accounts so that it works as an "is in" option.

### To Add a Search Item

- For all selections except **Any**, type the desired search item in the text field below the drop-down menu.
- Click the **Add** hyperlink to add that item to the search list.

**NOTE:** The Add hyperlink must be selected in order for inputted text to be captured.

### To Delete a Search Item

- Find the item to be deleted in the search list.
- Click to highlight the item.
- Click the **Delete** hyperlink.

### 7.2.5 Submit a Report

- Once the search criterion has been defined, select the **Submit** button to generate the report.
- A confirmation message will be displayed stating that the report has been submitted.
- To view your report select the sub-menu **Report Viewing**

## 7.3 Report Viewing

Select the **Report Viewing** tab from the Reports sub-menu. The Report Viewer window will appear displaying all the reports that have been submitted during the current day. From the Report Viewer, the User may execute the following action items:

- View Report
- View Report Criteria
- Delete Report
- Extract Report



Report Status ▾	Requested By ▾	Report Pos ▾	Report Type ▾	Time Requested ▾
Ready	KWALKER2		Exchange Fee - Customer Accounts By CTI	Wed Sep 10 15:12:58 CDT 2008
Ready	KWALKER2		Clearing Fee - Trade Detail Extract	Wed Sep 10 15:13:36 CDT 2008
Ready	KWALKER2		Exchange Fee - Unallocated EAD	Wed Sep 10 15:14:22 CDT 2008
Ready	KWALKER2		Unregistered Operator Ids	Wed Sep 10 15:15:30 CDT 2008
Report Status ▾	Requested By ▾	Report Pos ▾	Report Type ▾	Time Requested ▾

Report Viewing: Report Viewer Screen

### Report Viewer Column Descriptions

The columns can be sorted in ascending or descending order by clicking the sorting arrow to the right of the column header. Data can only be sorted by one column at a time.

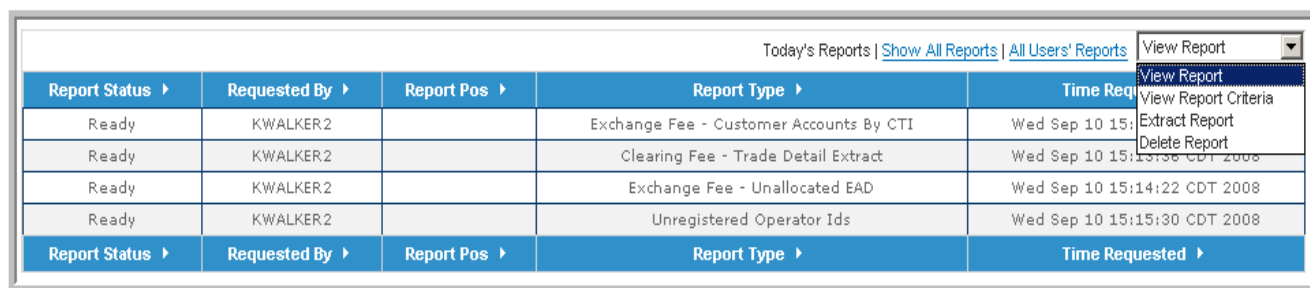
OPERATOR NAME	DESCRIPTION
<b>Report Status</b>	Displays the status of the reports submitted: <ul style="list-style-type: none"> <li>• <b>Requested</b> – Report has been submitted for processing.</li> <li>• <b>Running</b> – Report is currently being processed by the Report Server.</li> <li>• <b>Ready</b> – Report has completed processing and is ready to be viewed.</li> <li>• <b>No Data</b> – There was no data matching the submitted criteria.</li> <li>• <b>Reviewed</b> – Report has been viewed, printed and/or extracted.</li> </ul>
<b>Requested By</b>	Displays the User ID of the individual who requested the report.
<b>Report Pos</b>	(If applicable) This will display the order in which the report will be

# Combined Exchange Fee System (CFS)

	submitted in the queue if there are several report submissions.
<b>Report Type</b>	Displays the Report Name that was submitted
<b>Time Requested</b>	Displays the data and time the report was requested.

## 7.3.1 View Report

In order to view a report, select **View Report** from the drop-down list in the top right-hand corner of the Report Viewer and then select the line item corresponding to the report to view the data. Note that the report will not be viewable in "Running" status mode.



Today's Reports | [Show All Reports](#) | [All Users' Reports](#) | View Report

Report Status	Requested By	Report Pos	Report Type	Time Requested
Ready	KWALKER2		Exchange Fee - Customer Accounts By CTI	Wed Sep 10 15:15:30 CDT 2008
Ready	KWALKER2		Clearing Fee - Trade Detail Extract	Wed Sep 10 15:15:30 CDT 2008
Ready	KWALKER2		Exchange Fee - Unallocated EAD	Wed Sep 10 15:14:22 CDT 2008
Ready	KWALKER2		Unregistered Operator Ids	Wed Sep 10 15:15:30 CDT 2008

View Report  
View Report Criteria  
Extract Report  
Delete Report

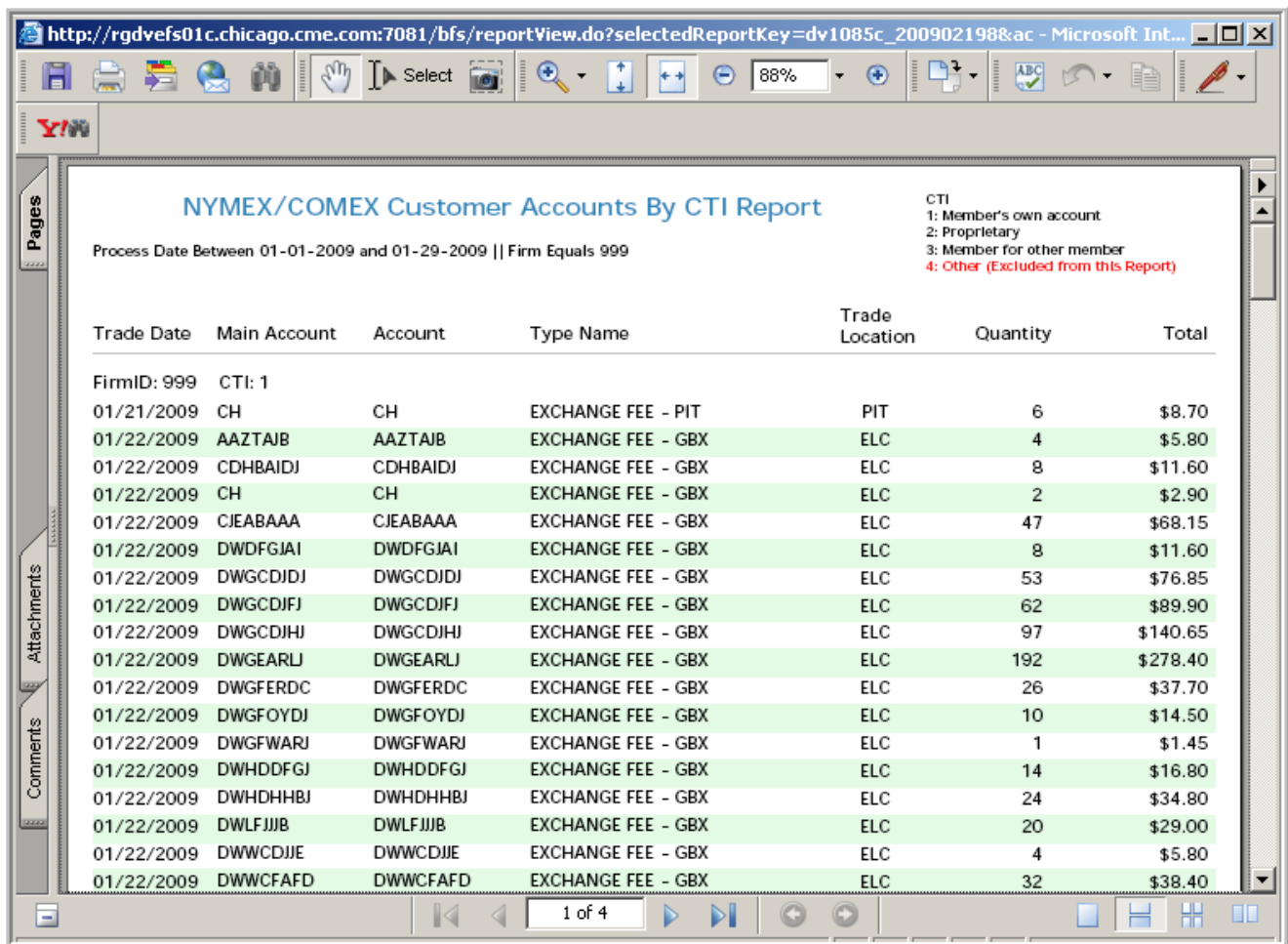
Report Viewer: Report Action Items

After selecting the line item to the corresponding report, a new window will open to display the report. There will also be a status bar at the bottom of the browser showing the transfer rate of the report. Note that each green bar represents the percentage of how much has been transferred to the web browser.



Once Adobe Acrobat has loaded into the PDF format, the report will be displayed. If the report is not being displayed, make sure that the most recent version of Adobe Acrobat is loaded.

# Combined Exchange Fee System (CFS)



http://rgdvefs01c.chicago.cme.com:7081/bfs/reportView.do?selectedReportKey=dv1085c\_200902198&ac - Microsoft Int...

**NYMEX/COMEX Customer Accounts By CTI Report**

Process Date Between 01-01-2009 and 01-29-2009 || Firm Equals 999








CTI  
1: Member's own account  
2: Proprietary  
3: Member for other member  
4: Other (Excluded from this Report)

Trade Date	Main Account	Account	Type Name	Trade Location	Quantity	Total
FirmID: 999 CTI: 1						
01/21/2009	CH	CH	EXCHANGE FEE - PIT	PIT	6	\$8.70
01/22/2009	AAZTAJB	AAZTAJB	EXCHANGE FEE - GBX	ELC	4	\$5.80
01/22/2009	CDHBAIDJ	CDHBAIDJ	EXCHANGE FEE - GBX	ELC	8	\$11.60
01/22/2009	CH	CH	EXCHANGE FEE - GBX	ELC	2	\$2.90
01/22/2009	CJEABAAA	CJEABAAA	EXCHANGE FEE - GBX	ELC	47	\$68.15
01/22/2009	DWDFGJAI	DWDFGJAI	EXCHANGE FEE - GBX	ELC	8	\$11.60
01/22/2009	DWGCDJDJ	DWGCDJDJ	EXCHANGE FEE - GBX	ELC	53	\$76.85
01/22/2009	DWGCDJFJ	DWGCDJFJ	EXCHANGE FEE - GBX	ELC	62	\$89.90
01/22/2009	DWGCDJHJ	DWGCDJHJ	EXCHANGE FEE - GBX	ELC	97	\$140.65
01/22/2009	DWGEARLJ	DWGEARLJ	EXCHANGE FEE - GBX	ELC	192	\$278.40
01/22/2009	DWGFERDC	DWGFERDC	EXCHANGE FEE - GBX	ELC	26	\$37.70
01/22/2009	DWGFOYDJ	DWGFOYDJ	EXCHANGE FEE - GBX	ELC	10	\$14.50
01/22/2009	DWGFWARJ	DWGFWARJ	EXCHANGE FEE - GBX	ELC	1	\$1.45
01/22/2009	DWHDDFGJ	DWHDDFGJ	EXCHANGE FEE - GBX	ELC	14	\$16.80
01/22/2009	DWHDHBJ	DWHDHBJ	EXCHANGE FEE - GBX	ELC	24	\$34.80
01/22/2009	DWLFJJJB	DWLFJJJB	EXCHANGE FEE - GBX	ELC	20	\$29.00
01/22/2009	DWWCDJJE	DWWCDJJE	EXCHANGE FEE - GBX	ELC	4	\$5.80
01/22/2009	DWWCFAFD	DWWCFAFD	EXCHANGE FEE - GBX	ELC	32	\$38.40

Report Viewer: PDF Report Sample


## Adobe Functions

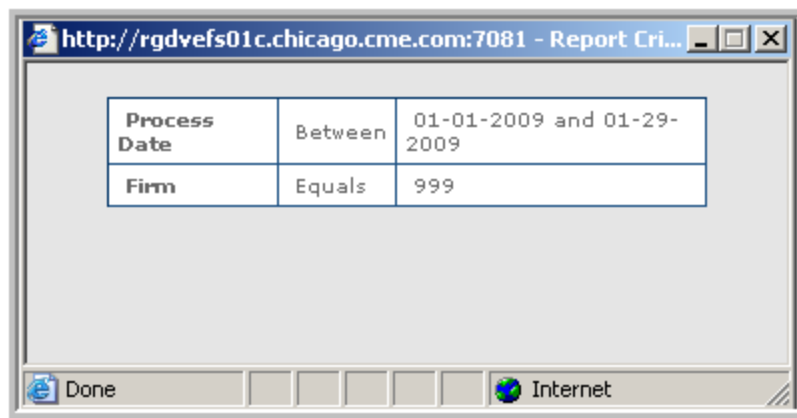
The following functions can be accessed by clicking the associated icon.

Functions that can be accessed ABOVE the report	Functions that can be accessed BELOW the report
 Save the report as a .pdf file	 View the <b>first page</b> of the report
 Print the report	 View the <b>previous page</b> of the report
 Search for items within the report	 View the <b>next page</b> of the report
	 View the <b>last page</b> of the report

## 7.3.2 View Report Criteria

To view the criteria entered for a report requested

1. Select **View Report Criteria** from the drop-down list in the top right-hand corner of the Report Viewer.
2. Click on the line item corresponding to the report to view the criteria.
3. The **Report Criteria** window will appear, displaying the criteria submitted for that report.
4. To close the Report Criteria window, select the close icon. 

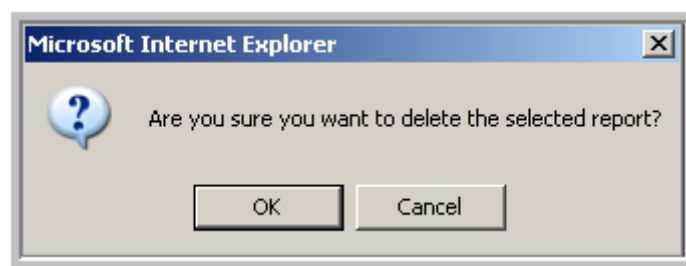


Report Viewer: View Report Criterion

### 7.3.3 Delete Report

To delete a report from the Report Viewer

1. Select **Delete Report** from the drop-down list in the top right-hand corner of the Report Viewer.
2. Click on the line item corresponding to the report to delete.
3. A confirmation message will be displayed stating that the report has been submitted - click **OK** to confirm or **Cancel** to exit out deleting a report.

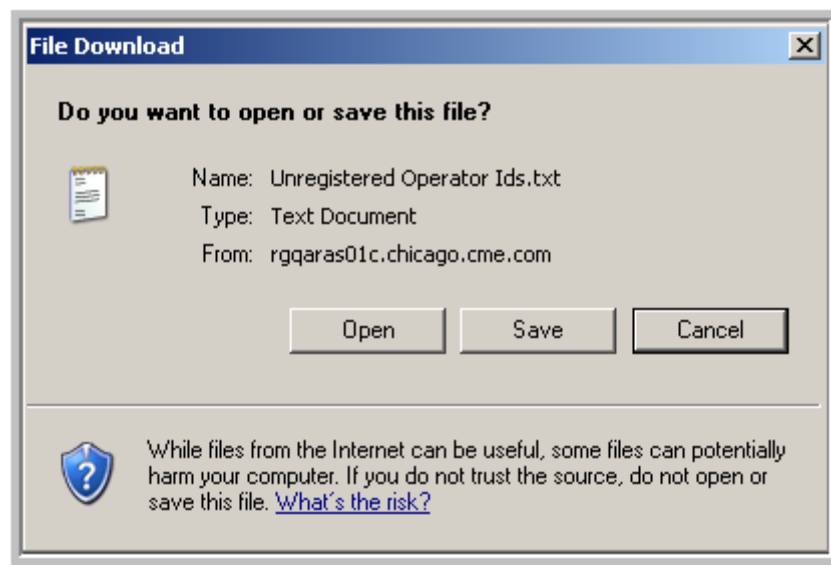


Report Viewer: Delete Report Alert Message

## 7.3.4 Extract Report

To extract a report from the Report Viewer

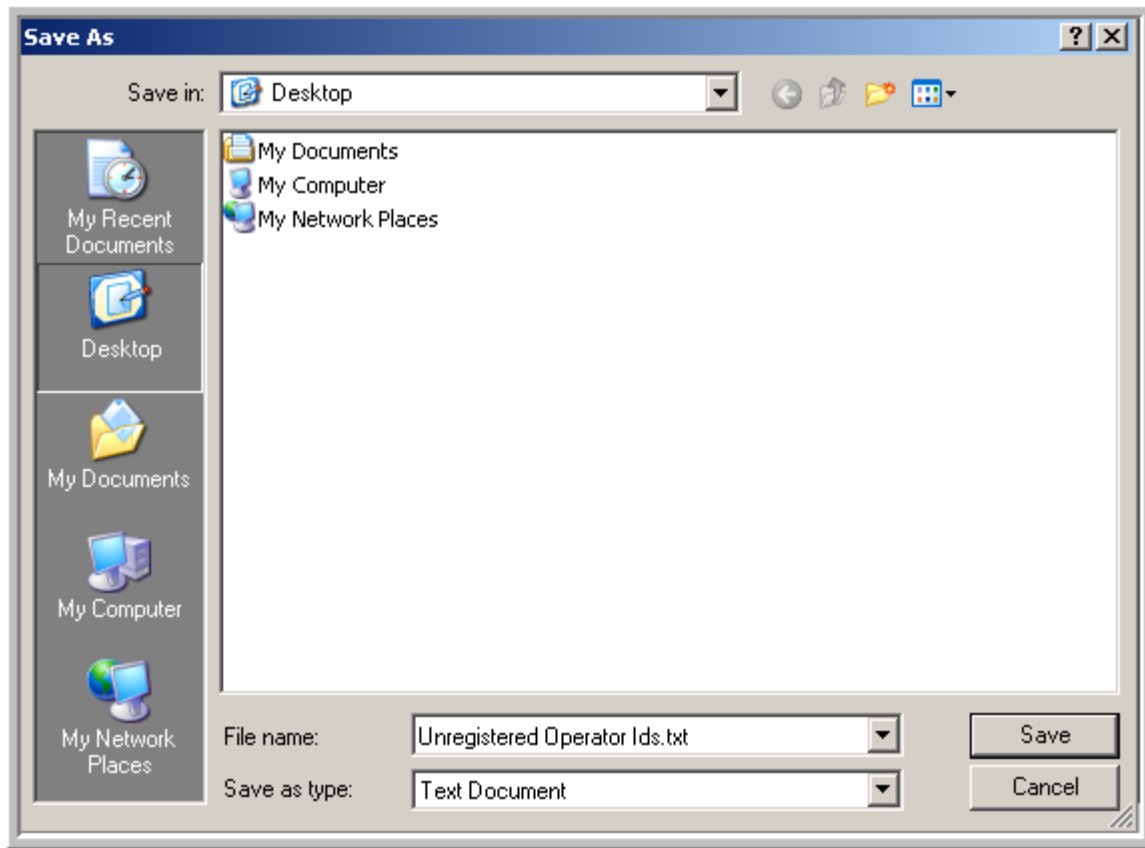
1. Select **Extract Report** from the drop-down list in the top right-hand corner of the Report Viewer.
2. Click on the line item corresponding to the report to be extracted.
3. A File Download message dialog box will appear, to **OPEN** the file select open and the data will appear in Notepad, to **SAVE** the report select the save button, to exit out of this windows dialog box, select **CANCEL**.



Report Viewer: File Download Message Dialog Box

4. If you selected **SAVE**, you will be prompted for more options. Indicate where you want to save the file, and click **Save**. The file to be saved is in a tab delimited format and may be imported into any machine readable format such as MS Excel or MS Access.

# Combined Exchange Fee System (CFS)



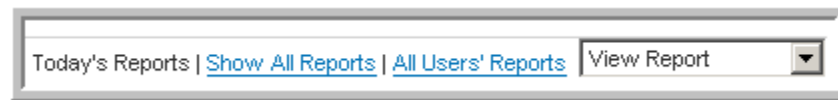
Report Viewer: Save As Message Dialog Box

## 7.3.5 Other Report Viewing Features

### Report Display

The Report Viewer will default to showing only reports requested during the current day. To view reports requested prior to the current day, click the **Show All Reports** hyperlink in the upper right corner of the Report Viewer.

To go back to only viewing the current day's report requests click the **Today's Reports** hyperlink.



Other Report Features: Report Display

### Refresh Reports

When the report is in the **Requested** status, to refresh the Report Viewer to see if the Report Status has changed the user may:

- Select the Refresh Icon button  at the top of the browser or
- Select the **F5** key on from the keyboard.

The Report Status will automatically refresh every 45 seconds.

### New Report

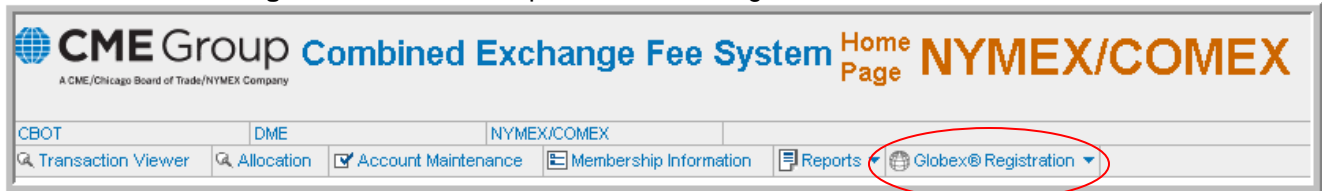
To submit a new report request when still in the Report Viewer window, click **Reports** and select Request.

## 8. Globex® Registration

The **Globex® Registration** screen allows Users to register Globex Operator IDs and also view details for registered users.

### 8.1 Accessing Globex Registration

To access **Globex Registration** select the option from the navigation menu.



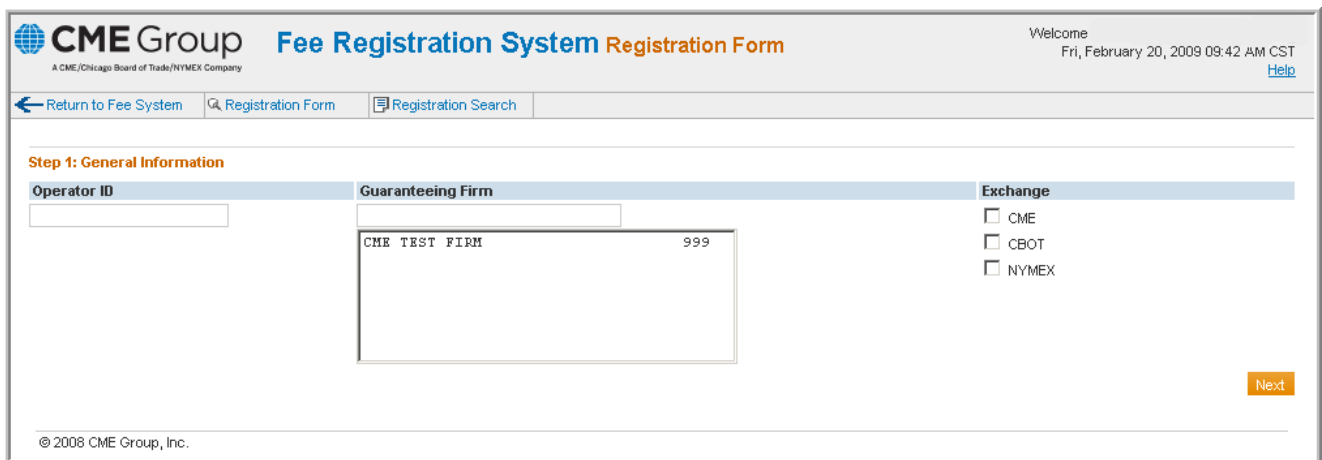
When Globex Registration is selected, two sub-menu options appear.

**Form** - Select this option to register Operator IDs

**Search** - Select this option to view Operator IDs that are registered. This feature also enables you to edit an Operator ID as well.

**NOTE:** All market Users should be aware that CME Group Rule 576 (“Identification of Globex Terminal Operators”) requires that terminal operators be identified to the Exchange in the manner prescribed by the Exchange.” CME Group Clearing Member Firms/Entities are reminded that the rule also makes it “the duty of the clearing member to ensure that registration is current and accurate at all times.”

After selecting Globex Registration you will be redirected to the Fee Registration System (FRS).



The screenshot shows the CME Group Fee Registration System Registration Form. The form is titled 'Step 1: General Information' and includes fields for Operator ID, Guaranteeing Firm, and Exchange. The Guaranteeing Firm field is populated with 'CME TEST FIRM' and '999'. The Exchange field has three radio button options: CME, CBOT, and NYMEX. The form also includes a 'Next' button and a copyright notice for 2008 CME Group, Inc.

The Fee Registration System has the following tabs:

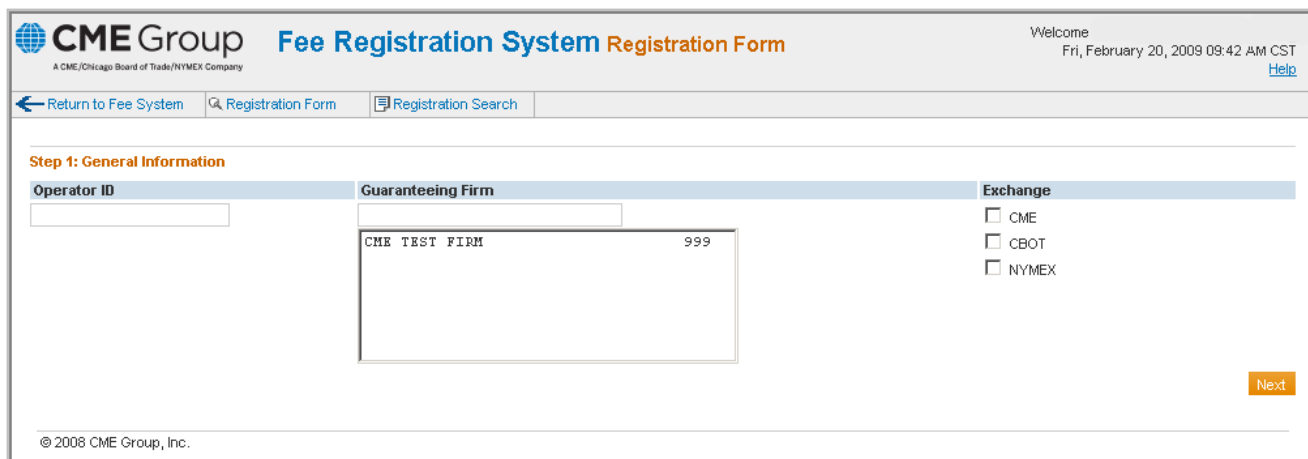
**Return to Fee System** - Select this tab to return to the Combined Exchange Fee System (CFS).

**Registration Form** - Select this tab to register Operator IDs for CME, CBOT and NYMEX trading activity.

**Registration Search** – Select this tab to view or edit registered Operator IDs.

## 8.2 Registration Form - Step 1: General Information

To register an Operator ID, select the **Form** tab from the Globex Registration sub-menu. The Registration Form will appear, refer to the screen shot below for reference.



The screenshot shows the 'Registration Form Step 1: General Information' interface. At the top, there is a navigation bar with 'Return to Fee System', 'Registration Form', and 'Registration Search'. The main content area is titled 'Step 1: General Information' and contains three sections: 'Operator ID' (a text input field), 'Guaranteeing Firm' (a dropdown menu currently showing 'CME TEST FIRM' and '999'), and 'Exchange' (checkboxes for CME, CBOT, and NYMEX). A 'Next' button is located at the bottom right of the form area. The footer of the page reads '© 2008 CME Group, Inc.'.

Registration Form Step 1: General Information

To complete Step 1 of the registration form perform the following steps:

1. Type the **Operator ID** in the Operator ID text field (maximum of 18 characters).
2. Highlight the **Guaranteeing Firm**.
3. Choose the **Exchange(s)** for this Operator ID (Multiple exchanges can be selected): CME, CBOT and NYMEX.
4. Click **Next** to continue to Step 2: Incentive Information.

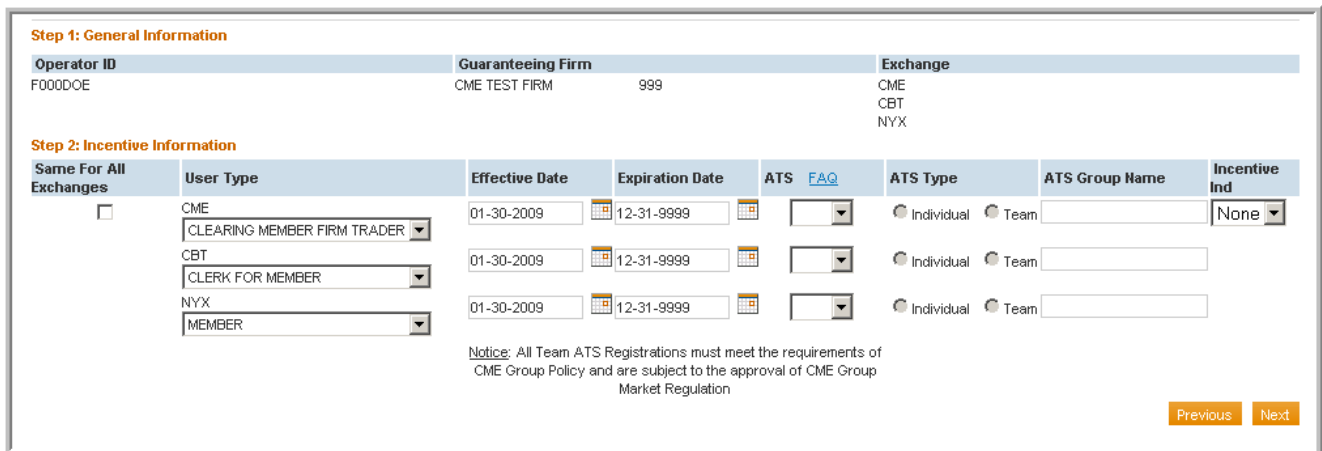
Step 1 General Information will display as read-only text.

**Below are the associated definitions of the Step 1: Required Fields**

FIELD NAME	DESCRIPTION
<b>Operator ID</b>	The operator identifier (also known as TAG 50) is required on all orders entered through CME Group's iLink connections. The ID registered must be unique for each individual operator at the clearing firm level across exchanges, and may only be a maximum length of 18 characters.
<b>Guaranteeing Firm</b>	This is the firm that guarantees the trades for a particular ID (This is equivalent to the Class A Clearing Firm under which the User's trades clear).
<b>Exchange</b>	The exchange indicator determines the required fields to complete the registration form. The following are the indicators that the User may chose from: <ul style="list-style-type: none"> <li>• <b>CME</b> - If the Operator ID to be registered will only be trading CME products, select "CME".</li> <li>• <b>CBOT</b> - If the Operator ID to be registered will only be trading CBOT products, select "CBOT".</li> <li>• <b>NYMEX</b> - If the Operator ID to be registered will only be trading NYMEX/COMEX products, select "NYMEX".</li> </ul> If the Operator ID to be registered will be the Operator ID for <b>multiple or all</b> exchanges, select the appropriate exchange check boxes.

## 8.3 Registration Form - Step 2: Incentive Information

After selecting next from the Step 1 process, the User will now need to fill out the respective incentive information that applies to the Operator ID being registered, refer to the screen shot below for reference:



Step 1: General Information							
Operator ID	Guaranteeing Firm			Exchange			
F000DOE	CME TEST FIRM 999			CME	CBT	NYX	
Step 2: Incentive Information							
Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	ATS Type	ATS Group Name	Incentive Ind
<input type="checkbox"/>	CME CLEARING MEMBER FIRM TRADER	01-30-2009	12-31-9999		Individual Team		None
	CBT CLERK FOR MEMBER	01-30-2009	12-31-9999		Individual Team		
	NYX MEMBER	01-30-2009	12-31-9999		Individual Team		
<p>Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation</p>							
							Previous Next

Registration Form Step 2: Incentive Information

To complete Step 2 of the registration form perform the following steps:

1. Select the **Same For All Exchanges** checkbox when the Operator ID has multiple exchanges and the User Type, Effective and Expiration Date, ATS information and Incentive program are the same for each exchange. Otherwise, leave this check box blank.
2. Select **User Type** from the drop down list for each Exchange (one selection if the Same For All Exchanges checkbox was selected in the previous step).
3. Enter the **Effective Date** to indicate when this Operator ID should be effective for the specific user type and exchange. The effective date defaults to the current business day; to select a different date, type in the date (MM-DD-YYYY) or click the calendar next to the Effective Date text field.
4. The **Expiration Date** defaults to 12-31-9999, which represents no expiration date. To select a different date, type in the date (MM-DD-YYYY) or click the calendar next to the Expiration Date text field.
5. Select "Yes" from the **ATS** (Automated Trading System) dropdown if the Operator ID represents an ATS operation; otherwise select "No". If you are unsure what qualifies a user to be an ATS, select the [ATS FAQ](#) hyperlink.
  - o **Individual:** If the Operator ID represents only one individual person operating the ATS, select Individual.
  - o **Team:** If the Operator ID represents an ATS being operated by a team of individuals, select Team and enter the team's name in the **ATS Group Name** field.
6. Select **Incentive Indicator** if the Operator ID is associated with a listed CME Group Fee Incentive Program, otherwise leave as the default selection "None".
7. Click **Next** to continue. Step 1 and 2 display as read-only text.

If something was listed in error from the Step 1 process, to go back, select **Previous**. To start completely over, simply click Registration Form on the menu bar.

# Combined Exchange Fee System (CFS)

Below are the associated definitions of Step 2: Incentive Information

FIELD NAME	DESCRIPTION																
<p><b>Same For All Exchanges</b></p>	<p>This box should be checked if the ID has the same user type across all exchanges selected in Step 1. The valid user types for this selection are:</p> <ul style="list-style-type: none"> <li>• Asia-Pacific Entity</li> <li>• Clearing Member Firm Trader</li> <li>• Clerk for Member</li> <li>• IIP Participant</li> <li>• Member</li> <li>• Non-Member/Customer</li> <li>• SAIP Participant</li> </ul> <p>If the check box is not selected the User may separately select the respective user types that apply to each exchange.</p>																
<p><b>User Type</b></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 25%;"><b>Asia-Pacific Entity</b></td> <td>An individual trading for a firm that is a registered participant in the Asian Incentive Program.</td> </tr> <tr> <td><b>Clearing Member Firm Trader</b></td> <td>An individual trading on behalf of an Exchange Member Entity.  When the User selects this user type, a Trader Type sub-category will also need to be chosen. The trader types that an individual may be classified under are as follows:                             <ul style="list-style-type: none"> <li>• a registered Commodity Trading Advisor (CTA)</li> <li>• an Independent Contractor receiving a 1099-MISC</li> <li>• an owner of the firm with at least \$250,000 invested in the firm</li> <li>• a Rule 106.F trader</li> <li>• a Trader with acceptable holdback</li> <li>• a W-2 employee of that clearing firm</li> </ul> </td> </tr> <tr> <td><b>Clerk for Member</b></td> <td>A clerk who acts in an order filling capacity for an individual member. The Clerk must be registered with the CME Group Membership department.  <i><b>NOTE:</b> If a Member is also a Clerk, they should be registered under this category. The appropriate rates will be applied when the individual is trading for his/her own account.</i></td> </tr> <tr> <td><b>EIP Participant</b></td> <td>(CME Only – valid only until 01/31/2009) An individual trading for a firm that is a registered participant in the European Incentive Program (EIP).</td> </tr> <tr> <td><b>Electronic Corp Member (106R)</b></td> <td>(CME Only) An individual trading for a firm that is registered as an Electronic Corporate Member (ECM-H/ECM-W -- Holding/Waiver).</td> </tr> <tr> <td><b>EOS Market Maker</b></td> <td>(CME Only) An individual who is registered as a participant in the EOS Market Maker program, and does not qualify for any of the other registration categories.</td> </tr> <tr> <td><b>FX Bank Incentive</b></td> <td>(CME Only) An individual trading for a firm that is registered as a participant in the eFX Bank Incentive Program.</td> </tr> <tr> <td><b>IIP Participant</b></td> <td>An individual trading for a firm that is a registered participant in the International Incentive Program (IIP).</td> </tr> </tbody> </table>	<b>Asia-Pacific Entity</b>	An individual trading for a firm that is a registered participant in the Asian Incentive Program.	<b>Clearing Member Firm Trader</b>	An individual trading on behalf of an Exchange Member Entity.  When the User selects this user type, a Trader Type sub-category will also need to be chosen. The trader types that an individual may be classified under are as follows: <ul style="list-style-type: none"> <li>• a registered Commodity Trading Advisor (CTA)</li> <li>• an Independent Contractor receiving a 1099-MISC</li> <li>• an owner of the firm with at least \$250,000 invested in the firm</li> <li>• a Rule 106.F trader</li> <li>• a Trader with acceptable holdback</li> <li>• a W-2 employee of that clearing firm</li> </ul>	<b>Clerk for Member</b>	A clerk who acts in an order filling capacity for an individual member. The Clerk must be registered with the CME Group Membership department.  <i><b>NOTE:</b> If a Member is also a Clerk, they should be registered under this category. The appropriate rates will be applied when the individual is trading for his/her own account.</i>	<b>EIP Participant</b>	(CME Only – valid only until 01/31/2009) An individual trading for a firm that is a registered participant in the European Incentive Program (EIP).	<b>Electronic Corp Member (106R)</b>	(CME Only) An individual trading for a firm that is registered as an Electronic Corporate Member (ECM-H/ECM-W -- Holding/Waiver).	<b>EOS Market Maker</b>	(CME Only) An individual who is registered as a participant in the EOS Market Maker program, and does not qualify for any of the other registration categories.	<b>FX Bank Incentive</b>	(CME Only) An individual trading for a firm that is registered as a participant in the eFX Bank Incentive Program.	<b>IIP Participant</b>	An individual trading for a firm that is a registered participant in the International Incentive Program (IIP).
<b>Asia-Pacific Entity</b>	An individual trading for a firm that is a registered participant in the Asian Incentive Program.																
<b>Clearing Member Firm Trader</b>	An individual trading on behalf of an Exchange Member Entity.  When the User selects this user type, a Trader Type sub-category will also need to be chosen. The trader types that an individual may be classified under are as follows: <ul style="list-style-type: none"> <li>• a registered Commodity Trading Advisor (CTA)</li> <li>• an Independent Contractor receiving a 1099-MISC</li> <li>• an owner of the firm with at least \$250,000 invested in the firm</li> <li>• a Rule 106.F trader</li> <li>• a Trader with acceptable holdback</li> <li>• a W-2 employee of that clearing firm</li> </ul>																
<b>Clerk for Member</b>	A clerk who acts in an order filling capacity for an individual member. The Clerk must be registered with the CME Group Membership department.  <i><b>NOTE:</b> If a Member is also a Clerk, they should be registered under this category. The appropriate rates will be applied when the individual is trading for his/her own account.</i>																
<b>EIP Participant</b>	(CME Only – valid only until 01/31/2009) An individual trading for a firm that is a registered participant in the European Incentive Program (EIP).																
<b>Electronic Corp Member (106R)</b>	(CME Only) An individual trading for a firm that is registered as an Electronic Corporate Member (ECM-H/ECM-W -- Holding/Waiver).																
<b>EOS Market Maker</b>	(CME Only) An individual who is registered as a participant in the EOS Market Maker program, and does not qualify for any of the other registration categories.																
<b>FX Bank Incentive</b>	(CME Only) An individual trading for a firm that is registered as a participant in the eFX Bank Incentive Program.																
<b>IIP Participant</b>	An individual trading for a firm that is a registered participant in the International Incentive Program (IIP).																

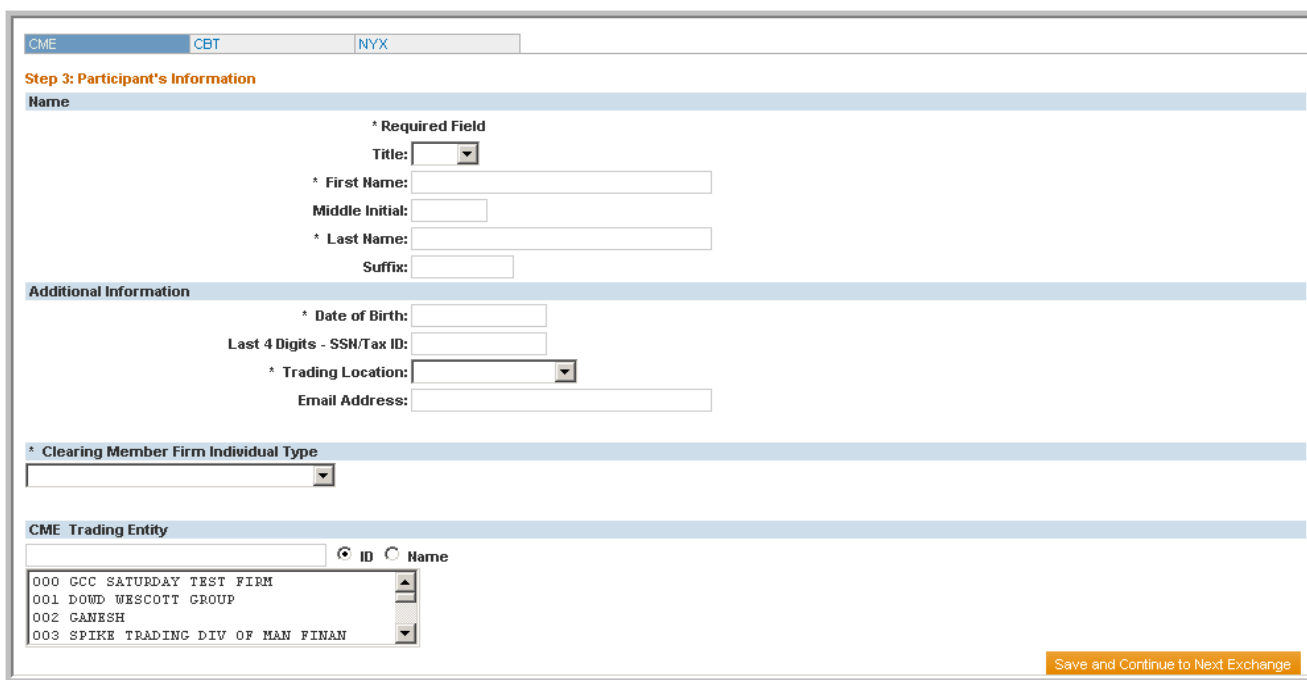
# Combined Exchange Fee System (CFS)

	<p><b>KIP Participant</b> (CME Only) An individual trading for a firm that is a registered participant in the Korean Bank Incentive Program.</p> <p><b>Member</b> The individual is a CME Group member whom is currently holding a membership.</p> <p><b>Non-Member/ Customer</b> The individual does not qualify for any of the other registration categories and therefore, receives non-member rates.</p> <p><b>SAIP Participant</b> An individual trading for a firm that is a registered participant in the South American Incentive Program (SAIP).</p> <p><b>106.H Entity</b> (CME Only) An individual trading for a firm registered as a 106.H corporate member.</p>
<b>Incentive Indicator</b>	<p>This indicates whether the Operator ID is associated with one of the CME Fee Incentive Programs:</p> <p><b>None (default)</b> Operator ID is not associated with an incentive program.</p> <p><b>EMIP (Emerging Markets Incentive Program)</b> Operator ID is participating in EMIP which allows fee discounts to <u>new</u> traders associated with proprietary trading firms and trading arcades located in approved emerging markets. EMIP is targeted to the development of new traders trading from countries not traditionally or actively involved in global futures markets and evolves from the previous CBOT Global Developing Markets (GDM) Program and CME Emerging Markets Partnership Program (EMPP)</p>
<b>ATS (Automated Trading System)</b>	<p>This is used to indicate whether the individual or team is operating an automated trading system.</p>
<b>Effective Date</b>	<p>This is the date the Operator ID for the specific user type and the exchange became effective.</p> <p><b>NOTE:</b> The default date will be the current business day when registering a new User ID.</p>
<b>Expiration Date</b>	<p>This is the date the Operator ID for the specific user type, exchange was expired.</p> <p><b>NOTE:</b> The expiration date will default to 12-31-9999 when registering a new User ID. This date just means that this will be the active Operator ID. There is no set expiration date at the time of registration.</p>

## 8.4 Registration Form - Step 3: Participant's Information

After selecting 'Next' from the Step 2 process, the user now needs to fill out the respective participant's information that applies to the Operator ID being registered, refer to the screen shot below for reference:

# Combined Exchange Fee System (CFS)



The screenshot shows the 'Step 3: Participant's Information' registration form. It is divided into several sections:

- Name Section:** Includes a 'Title' dropdown menu, and text input fields for 'First Name', 'Middle Initial', 'Last Name', and 'Suffix'. All fields are marked as required.
- Additional Information Section:** Includes text input fields for 'Date of Birth', 'Last 4 Digits - SSN/Tax ID', and 'Email Address'. It also features a 'Trading Location' dropdown menu.
- Clearing Member Firm Individual Type Section:** A dropdown menu for selecting the clearing member firm type.
- CME Trading Entity Section:** A search box with radio buttons for 'ID' and 'Name'. Below it is a list of trading entities: '000 GCC SATURDAY TEST FIRM', '001 DOWD WESCOTT GROUP', '002 GANESH', and '003 SPIKE TRADING DIV OF MAN FINAN'. A dropdown arrow is visible next to the list.

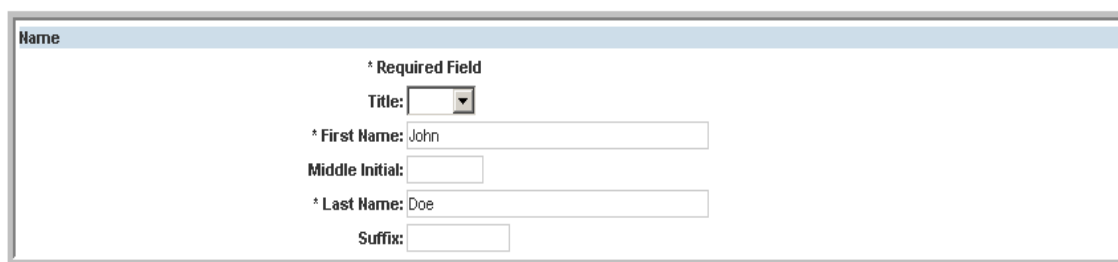
A 'Save and Continue to Next Exchange' button is located at the bottom right of the form.

Registration Form Step 3: Participant's Information

## 8.4.1 Registering Participant Information of a Non-ATS or an ATS Individual Operator ID

To complete Step 3 of the registration process the user must complete the following:

1. In the **Name** Section, fill out the following when a user type other than Member or Clerk for Member is selected:
  - Select the **Title** and then enter the **First Name**, **Middle Initial**, **Last Name** and **Suffix** in the appropriate text fields. The Title, Middle Initial and Suffix are optional.



This screenshot shows a close-up of the 'Name' section of the registration form. It includes a 'Title' dropdown menu and text input fields for 'First Name', 'Middle Initial', 'Last Name', and 'Suffix'. The 'First Name' field contains the text 'John' and the 'Last Name' field contains 'Doe'. All fields are marked as required.

Registration Form Step 3: Name Section

2. In the **Name** Section, fill out the following when user type is **Member**:
  - Select the respective **Member** by either scrolling through the list or inputting a string of characters of the member's last name in the text field. Once found select the member with your mouse.



This screenshot shows a close-up of the 'Name' section of the registration form, specifically the 'Member' dropdown menu. The dropdown is open, showing a list of members. The 'Member' field is marked as required.

Registration Form Step 3: Name Section – Member

# Combined Exchange Fee System (CFS)

- In the **Name** Section, fill out the following when user type is **Clerk for Member**:
  - Select the respective **Clerk for Member** from the drop down list. To select the associated clerk, scroll through the list. Once found select the clerk with your mouse. If the anticipated clerk is not found, then contact CME Group’s membership department to ensure the appropriate paperwork has been submitted.



Registration Form Step 3: Name Section – Clerk for Member

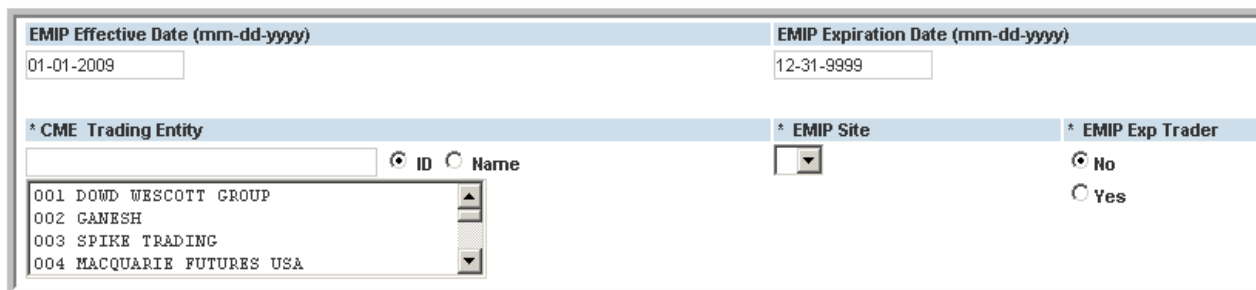
- In the **Additional Information** Section, fill out the following:
  - Date of Birth** (Required) – In the Date of Birth text field, type in the birth date (in the format of MM-DD-YYYY) or click on the calendar to the right of the Date of Birth text field and click on the appropriate date. The Date of Birth must represent a user that is at least 18 years or older.
  - Last 4 digits - SSN/Tax ID** (Optional) – In the SSN/Tax ID text field, type in the last 4 digits of the participant’s social security number or the Tax ID. For foreign traders, type the last 4 characters of the unique government issued tax code or insurance number.
  - Trading Location** (Required) – Select the appropriate country that represents where the trader is located.
  - Email Address** (Optional) – Enter the participant’s email address.
- If the user type selected was **Clearing Member Firm Trader** then an additional field will be required, **Clearing Member Firm Individual Type**. Select from the drop-down list the appropriate status of the trader:
  - Commodity Trading Advisor (CTA)
  - Independent Contractor receiving a 1099-MISC
  - Owner of the firm with at least \$250,000 invested in the firm
  - Rule 106.F trader
  - Trader with acceptable holdback
  - W-2 employee of that clearing firm
- Select the **Trading Entity** to which the participant is associated by highlighting the entity in the Trading Entity list. You may utilize the auto-text feature by inputting a string of characters to represent the name in the text field to avoid scrolling through the list.
- If in Step 2, the **Incentive Indicator** was selected then before you can select the **trading entity** the user will be prompted to do the following based on incentive program.

## EMIP

- Enter the **EMIP Effective Date** for when the participant will begin trading under this program. Type in the date in MM-DD-YYYY format.
- The **EMIP Expiration Date** will default to 12-31-9999. To select a different date, type in the date in MM-DD-YYYY format.
- Select the **Trading Entity** that is part of the EMIP program. Once selected, the associated EMIP eligible sites will appear in the **EMIP Site** drop down list. Select the appropriate site from the list.
- If the trader is trading for the EMIP Site, but is an experienced trader, they are not eligible for the discounts, and therefore **Experienced Trader indicator** should reflect “Yes”. Otherwise, the **Experienced Trader Indicator** will default to “No” so that the discounts will apply.

**NOTE:** Trading Entity must be approved and registered with the CME Group Membership department as a participant in EMIP. Lack of this registration process will become evident if there are no EMIP

sites that appear in the Site drop down list. If this is the situation that occurs, please contact the CME Group Membership department for further assistance.



The screenshot shows a registration form with the following fields and options:

- EMIP Effective Date (mm-dd-yyyy):** 01-01-2009
- EMIP Expiration Date (mm-dd-yyyy):** 12-31-9999
- \* CME Trading Entity:** A list box with radio buttons for **ID** (selected) and **Name**. The list contains:
  - 001 DOWD WESCOTT GROUP
  - 002 GANESH
  - 003 SPIKE TRADING
  - 004 MACQUARIE FUTURES USA
- \* EMIP Site:** A dropdown menu.
- \* EMIP Exp Trader:** Radio buttons for **No** (selected) and **Yes**.

Registration Form Step 3: EMIP Registration

8. Once all of this information has been entered, you will have **one** of the following buttons to choose from, depending on your selection criterion from Step 1:
- If you are only registering an Operator ID for one exchange, then click **Save** to complete the registration process.
  - If you are registering an Operator ID for multiple exchanges, and the User Type represented “Same For All Exchanges” click **Save and Continue to Next Exchange** to complete the next exchange information.
  - If you are registering an Operator ID for all exchanges, but the user type indicator represented different User Types; then click **Save and Continue to Next Exchange** to complete the registration process for the other exchanges.

If registration was successfully completed the user will receive a confirmation message “Your Information has been saved”.

If something was done in error from the Step 2 process, to go back, select the **Previous** hyperlink.

To start over, simply click Registration Form located at the top of the page.

**NOTE:** Upon completion of registering the Operator ID, trades will need to be submitted for recalculation manually in the Transaction Viewer when the Operator ID’s effective date is earlier than the current business date.

## 8.4.2 Registering an ATS Team Operator ID

If in Step 2, it was identified that the Operator ID was associated with an ATS, the following details will need to be completed in Step 3 of the registration process, refer to the screen shot below for reference.

**NOTE:** Clerk for member user type cannot be associated with ATS Teams.  
Refer to [Section 1.4.1: Registering Participant Information of a Non-ATS or an ATS Individual Operator ID](#), for completion of Step 3. Participation Information process for the Clerk for Member user type.

# Combined Exchange Fee System (CFS)

**Step 3: Participant's Information**

**Name**

\* Required Field

Member:

Title:

\* First Name:

Middle Initial:

\* Last Name:

Suffix:

---

**Additional Information**

\* Date of Birth:

Last 4 Digits - SSN/Tax ID:

\* Trading Location:

Email Address:

\* ATS Role:

\* ATS Effective Date:

\* ATS Expiration Date:

ATS Team												
#	Title	First Name	Middle Initial	Last Name	Suffix	ATS Role	Date of Birth	Tax ID	Location	Email	Effective Date	Expiration Date
No Team Members Assigned												

---

**CME Trading Entity**

ID  Name

001 DOWD WESCOTT GROUP	<input type="button" value="▲"/>
002 GANESH	<input type="button" value="▼"/>
003 SPIKE TRADING	<input type="button" value="▲"/>
004 MACQUARIE FUTURES USA	<input type="button" value="▼"/>

Registration Form Step 3: Participant's Information – ATS Team

- In the **Name** Section, fill out the following for when user types are as follows:
  - Select the **Title** and then enter the **First Name**, **Middle Initial**, **Last Name** and **Suffix** in the appropriate text fields. The Title, Middle Initial and Suffix are optional.

**Name**

\* Required Field

Member:

Title:

\* First Name:

Middle Initial:

\* Last Name:

Suffix:

Registration Form Step 3: Name Section

If the user Type is **Member**, then select the respective Member by scrolling through the list and highlighting the member with your mouse once found. You will note that the other fields (Title, First Name, Middle Initial, Last Name and Suffix) in the name section will become disabled after the selecting the member via the drop down list.

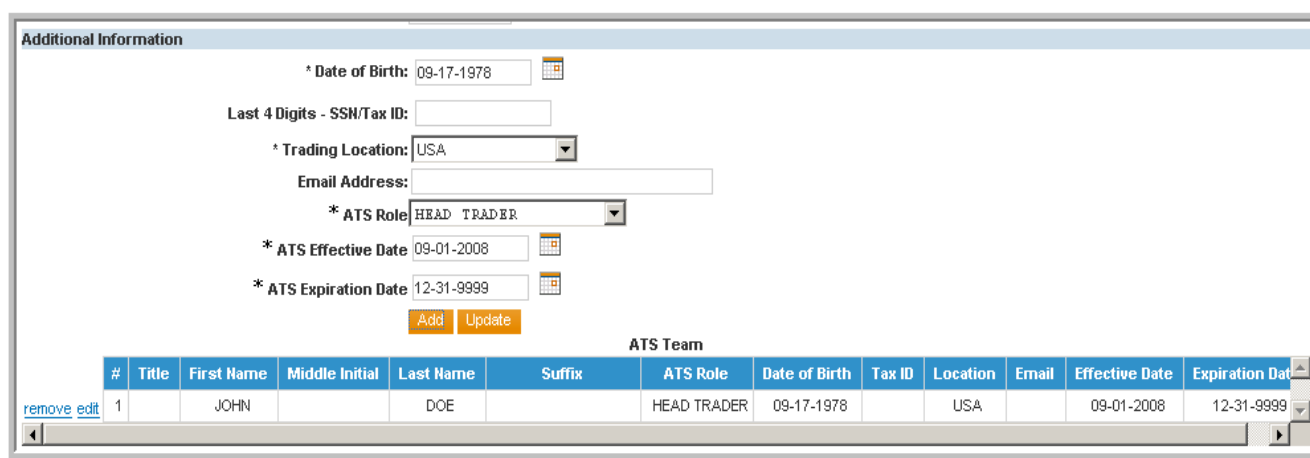
- In the **Additional Information** section, fill out the following:
  - Date of Birth** (Required) – In the Date of Birth text field, type in the birth date (in the format of MM-DD-YYYY) or click on the calendar to the right of the Date of Birth text field and click on the appropriate date.
  - Last 4 digits - SSN/Tax ID** (Optional) – In the SSN/Tax ID text field, type in the last 4 digits of the participant's social security number or the Tax ID. For foreign traders, type the last 4 characters of the unique government issued tax code or insurance number.
  - Trading Location** (Required) – Select the appropriate country that represents where the trader is located.

# Combined Exchange Fee System (CFS)

- **Email Address** (Optional) – Enter the participant’s email address.
- **ATS Role** (Required) – Select the role (Head Trader, Trader, Risk Monitor, Trading Monitor, Technical/Programmer, Other) from the drop-down list. There **must** be one Head Trader role.
- Enter the **ATS Effective Date** (Required) for the respective team member. The system will default to the current business day, to select a different date, type in the date (in MM-DD-YYYY format) or click on the calendar to the right of the Effective Date text field and click on the appropriate date.
- The **ATS Expiration Date** (Required) will default to 12-31-9999. To select a different date, type in the date (in MM-DD-YYYY format) or click on the calendar to the right of the Expiration Date text field and click on the appropriate date.
- Once all the required information for an individual team member has been entered, select the **ADD** button and the user will be added to the ATS Team list.

To submit the information for another individual team member, repeat steps above.

**NOTE:** Each ATS group must have a Head Trader. Also, if the user type is a “Member” then the User must designate the “Head Trader” as a member to ensure the appropriate fee discounts are applied.



**Additional Information**

\* Date of Birth: 09-17-1978

Last 4 Digits - SSN/Tax ID:

\* Trading Location: USA

Email Address:

\* ATS Role: HEAD TRADER

\* ATS Effective Date: 09-01-2008

\* ATS Expiration Date: 12-31-9999

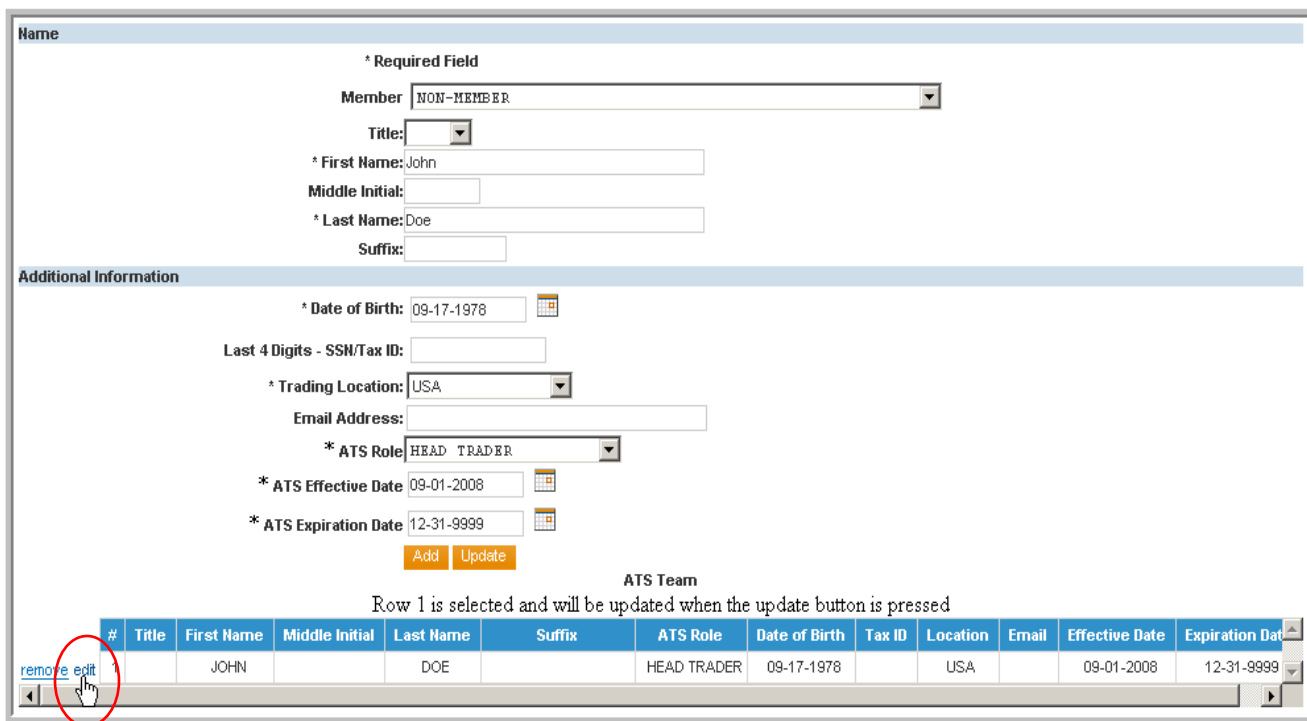
**ATS Team**

#	Title	First Name	Middle Initial	Last Name	Suffix	ATS Role	Date of Birth	Tax ID	Location	Email	Effective Date	Expiration Date
1		JOHN		DOE		HEAD TRADER	09-17-1978		USA		09-01-2008	12-31-9999

Registration Form Step 3: ATS Team List

# Combined Exchange Fee System (CFS)

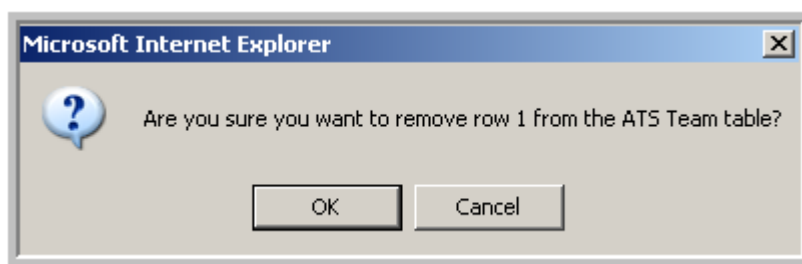
To edit an ATS participant, select **Edit** next to the participants name. The information will be inputted back into the form and the screen will denote which row has been selected for updating. When done editing the record select the **Update** button and the message banner will disappear and the record will be updated.



Registration Form Step 3: EDIT an ATS Team List

Registration Form Step 3: EDIT an ATS Team List

To remove an ATS participant, select **Remove** next to the participants name. An alert message will appear, select **OK** to continue or **Cancel**. If **OK** was selected, the user will be removed from the list.



- If the user type selected was **Clearing Member Firm Trader** then an additional field will be required, **Clearing Member Firm Individual Type**. Select from the drop-down list the appropriate status of the trader which will be as follows:
  - Commodity Trading Advisor (CTA)
  - Independent Contractor receiving a 1099-MISC
  - Owner of the firm with at least \$250,000 invested in the firm
  - Rule 106.F trader
  - Trader with acceptable holdback
  - W-2 employee of that clearing firm
- Select the **Trading Entity** to which the participant is associated by highlighting the entity in the Trading Entity list. You may utilize the auto-text feature by inputting a string of characters to represent the name in the text field to avoid scrolling through the list.

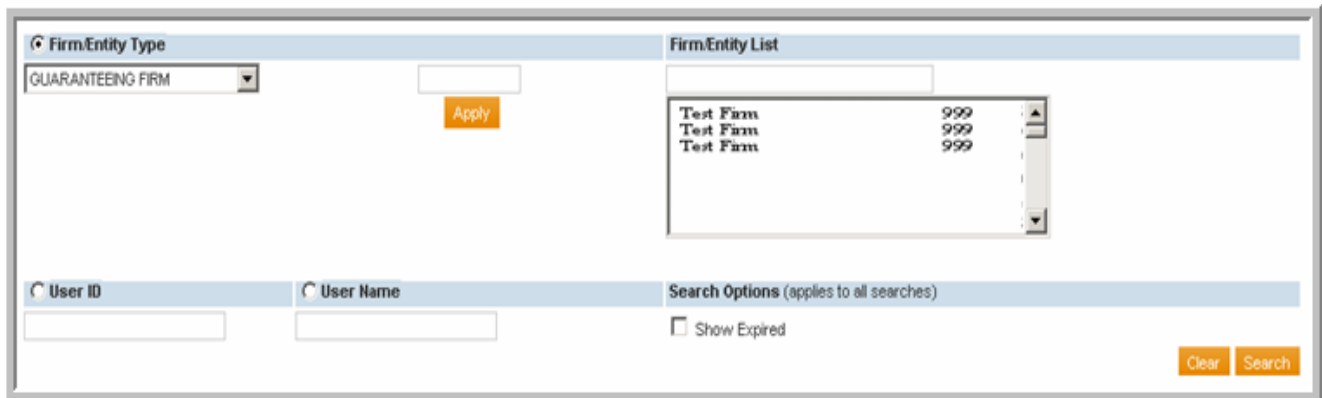
## 8.5 CME Globex Registration Search

To view the details for registered Operator IDs for either exchange, select **Search** from the Registration sub-menu. The User will be redirected to the search screen as seen in the screen shot below.

There are three different methods by which the Operator IDs may be retrieved:

- By Firm/Entity Type
- By User ID
- By User Name

Simply select the radio button in front of the preferred search option. For detailed descriptions on these search types refer to the sections below.



CME Globex Registration Search, Details Form

### 8.5.1 Searching by Firm/Entity Type

To search by Firm/Entity Type the User must perform the following steps:

- Select the Firm/Entity Type radio button.
- Select the type of **Firm/Entity Type** within the drop down list.
- Select the **Apply** button so that you can filter your search by the firm/entity selected.
  - If you leave the textbox blank above the Apply button, it will bring back all the items for the firm/entity type selected. If you enter a string of characters in the textbox it will narrow your search **within** that firm/entity type selected.
- Select the desired Firm/Entity from the **Firm/Entity List** box to the right of the Apply button.
  - You may search either by scrolling through the list utilizing the scroll bar or you may enter a string of characters in the textbox above the list firms/entities. Once the firm/entity is found, highlight the entity with your mouse.
- To include expired Operator IDs in the search, check the **Show Expired** box under **Search Options**.
- Select the '**Search**' button to retrieve the Operator IDs.

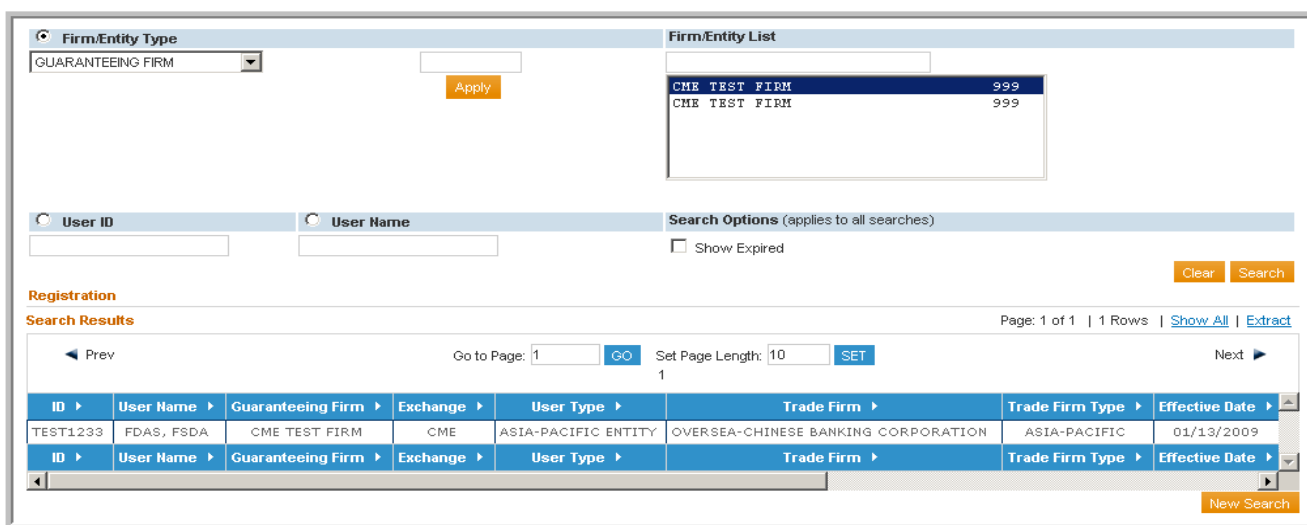
## 8.5.2 Searching by User ID or User Name

To search by User ID or User Name the User must perform the following steps:

- Select the **User ID or User Name** radio button and type in the string of characters contained in the User ID or User Name that is to be retrieved. The string of characters inputted does **not** have to be an exact match; it will pull back all items that contain that string.
- Select the **Search** button to retrieve the Operator IDs.

## 8.5.3 Search Results

The search results will be displayed in a section below the CME Globex Registration Search form. The Search Results will return all of the field values associated with the ID. Refer to the image below.



The screenshot shows the 'Firm/Entity Type' search form. The 'Firm/Entity Type' dropdown is set to 'GUARANTEERING FIRM'. The 'Firm/Entity List' shows two entries: 'CME TEST FIRM' with ID '999'. Below the search form, the 'Search Results' section displays a table with one row of results.

ID	User Name	Guaranteeing Firm	Exchange	User Type	Trade Firm	Trade Firm Type	Effective Date
TEST1233	FDAS, FSDA	CME TEST FIRM	CME	ASIA-PACIFIC ENTITY	OVERSEA-CHINESE BANKING CORPORATION	ASIA-PACIFIC	01/13/2009

Registration Search Results

To start a new search:

- Go back to the search form at the top of the page, apply a new filter Type, if needed, select another firm or User ID and then click the **Submit** button.

OR

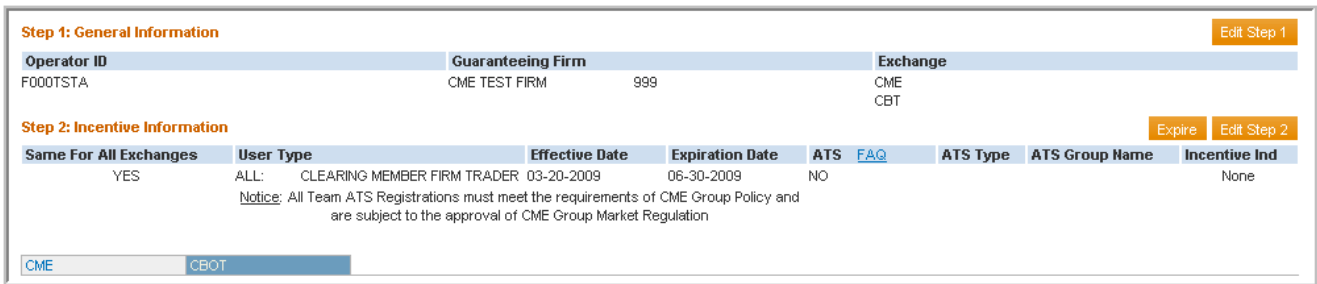
- Select the **New Search** button at the bottom right-hand side of the page. This action will completely clear the form and the initial CME Globex Registration Details screen will appear.

# Combined Exchange Fee System (CFS)

## 8.6 Editing Operator IDs

To **edit** an Operator ID, select the line item that will be modified within the **search results** list. The User will be redirected to the registration form with the fields pre-populated with what was previously registered.

1. To modify the Operator ID, click **Edit Step 1** and walk through the registration steps and update any data that has been previously captured within the registration database.
2. To edit information in Step 2 Incentive Information, click **Edit Step 2** and walk through the registration steps for Step 2 and Step 3.
3. To edit information in Step 3 Participant's Information, click **Edit Step 3** and update the participant's information. Click Complete Registration when finished.



**Step 1: General Information** Edit Step 1

Operator ID	Guaranteeing Firm	Exchange
F000TSTA	CME TEST FIRM 999	CME CBT

**Step 2: Incentive Information** Expire Edit Step 2

Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	FAQ	ATS Type	ATS Group Name	Incentive Ind
YES	ALL: CLEARING MEMBER FIRM TRADER	03-20-2009	06-30-2009	NO				None

Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation

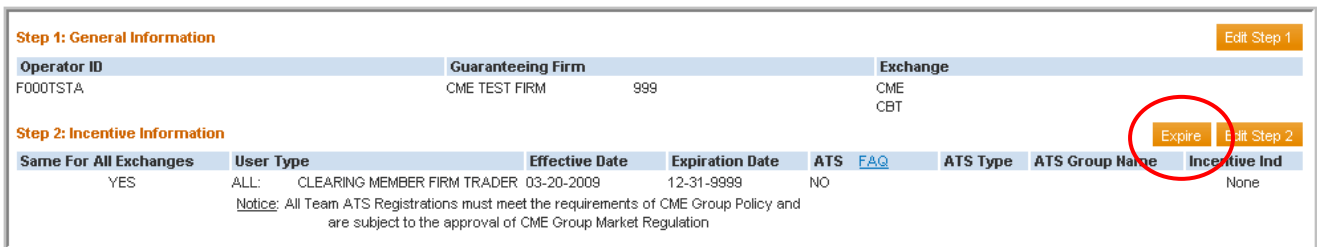
CME    CBT

Editing an Operator ID

### 8.6.1 Expire Registered Operator IDs

To **expire** an Operator ID, select the line item that will be modified within the **search results** list. The User will be redirected to the registration form edit mode with the fields pre-populated with what was previously registered.

1. To modify the Operator ID's Expiration Date, click **Expire (Step 2)**.



**Step 1: General Information** Edit Step 1

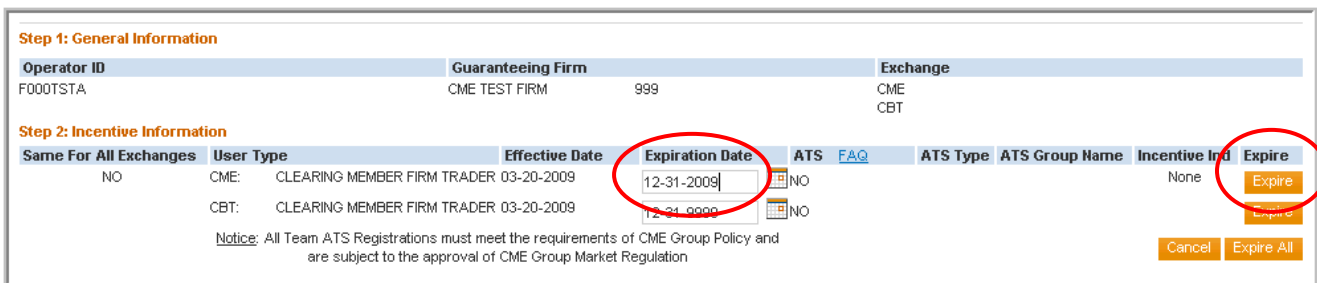
Operator ID	Guaranteeing Firm	Exchange
F000TSTA	CME TEST FIRM 999	CME CBT

**Step 2: Incentive Information** Expire Edit Step 2

Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	FAQ	ATS Type	ATS Group Name	Incentive Ind
YES	ALL: CLEARING MEMBER FIRM TRADER	03-20-2009	12-31-9999	NO				None

Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation

2. Enter the new **Expiration Date** and click the **Expire** button that matches up with the row to be updated.



**Step 1: General Information**

Operator ID	Guaranteeing Firm	Exchange
F000TSTA	CME TEST FIRM 999	CME CBT

**Step 2: Incentive Information**

Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	FAQ	ATS Type	ATS Group Name	Incentive Ind	Expire
NO	CME: CLEARING MEMBER FIRM TRADER	03-20-2009	12-31-2009	NO				None	Expire
	CBT: CLEARING MEMBER FIRM TRADER	03-20-2009	12-31-9999	NO					Expire

Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation

Cancel    Expire All

3. After clicking Expire, a confirmation will display saving the updated information.

# Combined Exchange Fee System (CFS)

Your information has been saved.

**Step 1: General Information**

Operator ID	Guaranteeing Firm	Exchange
F000TSTA	CME TEST FIRM 999	CME CBT

**Step 2: Incentive Information**

Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	FAQ	ATS Type	ATS Group Name	Incentive Ind	Expire
NO	CME: CLEARING MEMBER FIRM TRADER	03-20-2009	12-31-2009	NO				None	Expire
	CBT: CLEARING MEMBER FIRM TRADER	03-20-2009	12-31-2009	NO					Expire

Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation

To update **all** of the associated exchanges' Expiration Date, click the **Expire All** button after entering the new expiration date in all rows.

Your information has been saved.

**Step 1: General Information**

Operator ID	Guaranteeing Firm	Exchange
F000TSTA	CME TEST FIRM 999	CME CBT

**Step 2: Incentive Information**

Same For All Exchanges	User Type	Effective Date	Expiration Date	ATS	FAQ	ATS Type	ATS Group Name	Incentive Ind	Expire
NO	CME: CLEARING MEMBER FIRM TRADER	03-20-2009	06-30-2009	NO				None	Expire
	CBT: CLEARING MEMBER FIRM TRADER	03-20-2009	06-30-2009	NO					Expire

Notice: All Team ATS Registrations must meet the requirements of CME Group Policy and are subject to the approval of CME Group Market Regulation

## 8.7 Extracting Operator IDs

To **extract** the Operator IDs click the **Extract** link located on the top right hand corner of the search results screen.

**Search Results** Page: 1 of 1 | 2 Rows | [Show All](#) | [Extract](#)

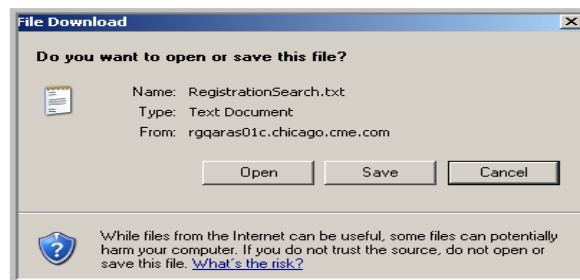
Prev Go to Page: 1  Set Page Length: 10  Next

ID	User Name	Guaranteeing Firm	Exchange	User Type	Trade Firm	Trade Firm Type	Effective Date	Expiration Date
F000TSTA	GREEN, JAME	CME TEST FIRM	CBT	CLEARING MEMBER FIRM TRADER		AFFILIATE	01/30/2009	12/31/99
			CME	CLEARING MEMBER FIRM TRADER		SUBACCOUNT	01/30/2009	12/31/99

Extract Hyperlink

After selecting the **Extract** hyperlink, a windows dialog box will appear requesting the User to **Open** or **Save** the tab delimited file. If the User does not want to extract the file, simply select **Cancel**.

The **tab delimited file** will contain all of the field values displayed on the search results screen.



## 9. Contact Information

Contact information is available on the CFS homepage.

For assistance with any Fee related issues,  
Please contact the Fee Support Hotline at: 312.648.5470 or [efsadmin@cmegroup.com](mailto:efsadmin@cmegroup.com).

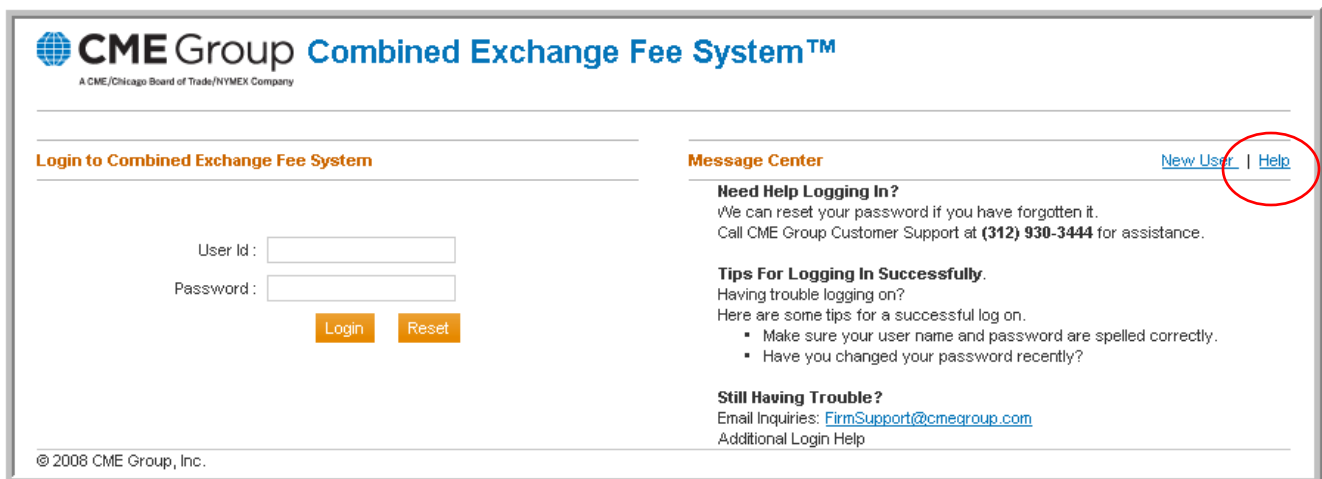
## 10. Appendix

### 10.1 Login Troubleshooting

If unable to login, follow these instructions:

From the **Fee Systems Portal** login page:

- **Click the Reset button.** The login page will reset so that the password and User ID can be re-entered.
- If the problem does not resolve, **click the Help link.**
- The below screen will then appear:



The screenshot shows the login page for the CME Group Combined Exchange Fee System. The page header includes the CME Group logo and the text "A CME/Chicago Board of Trade/NYMEX Company". Below the header, there is a "Login to Combined Exchange Fee System" section with input fields for "User Id:" and "Password:", and "Login" and "Reset" buttons. To the right, there is a "Message Center" section with a "New User" link and a "Help" link (circled in red). The "Help" link is underlined and blue. Below the "Message Center" section, there is a "Need Help Logging In?" section with text: "We can reset your password if you have forgotten it. Call CME Group Customer Support at (312) 930-3444 for assistance." Below that is a "Tips For Logging In Successfully." section with text: "Having trouble logging on? Here are some tips for a successful log on." followed by two bullet points: "Make sure your user name and password are spelled correctly." and "Have you changed your password recently?". Below that is a "Still Having Trouble?" section with text: "Email Inquiries: [FirmSupport@cmegroup.com](mailto:FirmSupport@cmegroup.com)" and "Additional Login Help". At the bottom left of the page, there is a copyright notice: "© 2008 CME Group, Inc."

#### Login Help Page

Follow the instructions. If the login continues to fail, contact CME Group Customer Support at 312.930.3444 or e-mail [FirmSupport@cmegroup.com](mailto:FirmSupport@cmegroup.com) .

## 10.2 Password Tips/Features

All CME Fee System passwords must:

- Be at least eight characters or longer.
- Not contain any part of the User ID (or the User ID reversed).
- Not contain any part of the following words:
  - cme
  - mercantile
  - chicago
  - password
- Not be a password used within the last calendar year.
- Not contain three of the same characters in a row.
- Not be a finger walk across the keyboard, e.g. “12345678” or “asdfghjk”.
- Not be the same password as another employee in the firm with which the User is associated.

Other Fee System User ID/password features include:

- Password expirations are set to ninety days, at which time the password **must** be changed.
- There will be a ten-day advance notification that the User’s password will expire. This notice will appear every day until the password is changed. During the ten-day notification period the password change is optional; however, on or past the ten day notification period, access to any fee system will be denied until the password is changed.
- The account will become disabled if there have been three failed login attempts; the User will be prompted to call CME Group’s Customer Support Group at **312.930.3444** to reset the password. Access to all CME fee systems will be disabled until the account password is reset.
- The User will have the ability to change the password at any time, even while the current password is still active.
- As a new User, the first time login will prompt the User to change the password. The User will not be able to enter the system until the password has been updated.

## 10.3 Navigating the Fee System

There are multiple ways to navigate through the data. If there is only one page of data, some of these options will not be available. (See image below.)

- **Show All** – selecting this hyperlink (located in the upper right-hand corner above the Transaction Summary screen) will change the display to show all transactions on one page. Use the scroll bar on the right of the browser window to scroll through the data.
- **Reset** – this hyperlink will appear after the **Show All** hyperlink has been selected. Use this to change the display back to show one page of data at a time.
- **Extract** – selecting this hyperlink will extract the data into a text format. Then, open the file in other applications such as Microsoft Excel or Access.
- **Prev and Next** – selecting the previous or next hyperlinks will bring the User to the previous or next page of data.
- **Go to Page** – allows the User to enter a specific page number to view. To use this feature, type in a page number and click the “Go” button.
- **Set Page Length** – allows the User to select the number of rows of data to see per page. To use this feature, type in a number and click the “Set” button.
- **1 2 3 4 ...** - selecting one of these hyperlinks will bring the User to that specific page. To view the next page, click the link displayed as three dots.
- **Sorting Columns** – To sort the column data in ascending or descending order. Select the arrow next to the header of the column to sort. Data can only be sorted by one column at a time.

# Combined Exchange Fee System (CFS)

**Transaction Summary**

**Search Results** Page: 1 of 1 | 2 Rows | [Show All](#) | [Extract](#)

Go to Page:   Set Page Length:   Next ▶

Main Acct ▶	Trading Acct ▶	Fill Firm ▶	Trans ▶	Vol ▶	Fees ▶	Adj ▶
CAJAEJHJ	CAJAEJHJ	999	66	66	\$60.06	N
CAJAEJJJ	CAJAEJJJ	999	6	6	\$7.26	Y

To view all the columns in the search results, use the left/right scroll bar at the bottom of the search results.

Main Acct ▶	Trading Acct ▶	Process Date ▶	Trade Date ▶	Fill Firm ▶	Tran Type Name ▶	Product ▶	Fut/Opt Ind ▶	Exec Code ▶	Bus Code ▶	Fee Program Name ▶	Trade Quantity ▶	Applied Fees ▶	Trader Id ▶	Location ▶	Aps Ind ▶	Orig Process Date ▶
-------------	----------------	----------------	--------------	-------------	------------------	-----------	---------------	-------------	------------	--------------------	------------------	----------------	-------------	------------	-----------	---------------------

## 10.4 Errors in Selecting Search Criteria

- When executing a search, if there were any errors made in selecting search criteria, a message will appear at the top of the page stating the number of errors identified.
- A red flag will also display next to the field(s) containing the error(s).
- To see detailed information about the error(s), click the **Show Errors** hyperlink at the top of the Transaction Viewer.

**There is 1 error on this page.** [Show Errors](#)

**Process Date** Mode

Month to Date ▼ From:

**Trade Date** Summarized By

Month to Date ▼ From:

**Firm** ! Location

	ELC PIT
998 GLOBEX TEST FIRM 12-27-1960 - 12-31-9999	<input checked="" type="checkbox"/> Show Criteria

- The details of the error(s) will then be displayed at the top of the page, and changes can be made to the search screen to correct the error(s).
- To hide the error details, click the **Hide Errors** hyperlink.

# Combined Exchange Fee System (CFS)

**There is 1 error on this page.** [Hide Errors](#)

**Firm:** *at least one must be selected*

<input checked="" type="checkbox"/> Process Date		Mode	
Month to Date	From: 01-01-2008 To: 01-04-2008	View Trades	
<input type="checkbox"/> Trade Date		Summarized By	
Month to Date	From: 01-01-2008 To: 01-04-2008	Main Acct/Trd Acct	
Firm <sup>1</sup>		Location	
998 GLOBEX TEST FIRM 12-27-1960 - 12-31-9999		ELC PIT	
		<input checked="" type="checkbox"/> Show Criteria	

Basic Advanced Clear Submit