CME Group

Exchange Fee System
Tutorial Training Guide

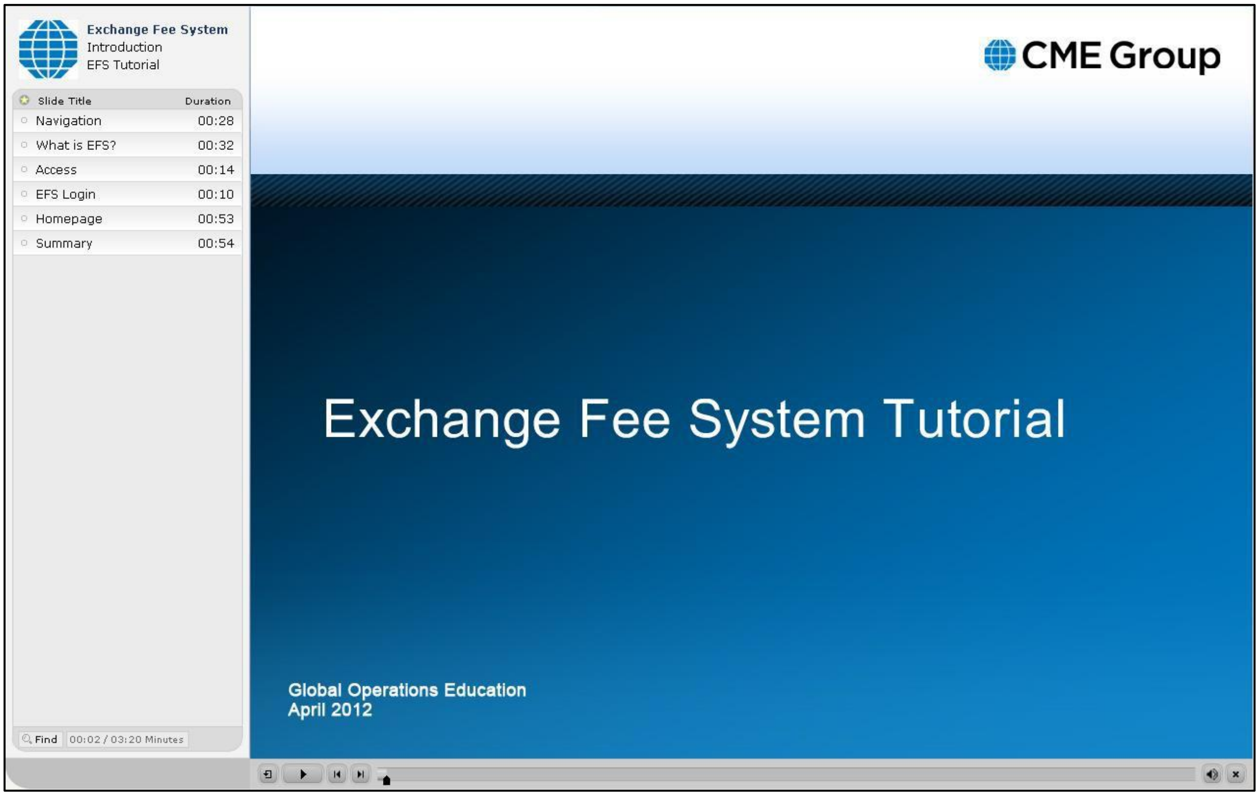
June, 2015

Contents

Introduction

The Exchange Fee System (EFS) tutorial is approximately 100 minutes in length. It contains eight different sections and is best viewed using the audio feature throughout the tutorial.

1. Introduction
2. Account Maintenance
3. Transaction Viewer
4. Allocation
5. Globex Registration
6. Reports
7. Membership Information
8. Adjustment



The Exchange Fee System is a fee application that is multi-Exchange accessible. Firms will be able to access each of CME Group's Exchanges from the same access point.

EFS enables Clearing Firm fee administrators to:

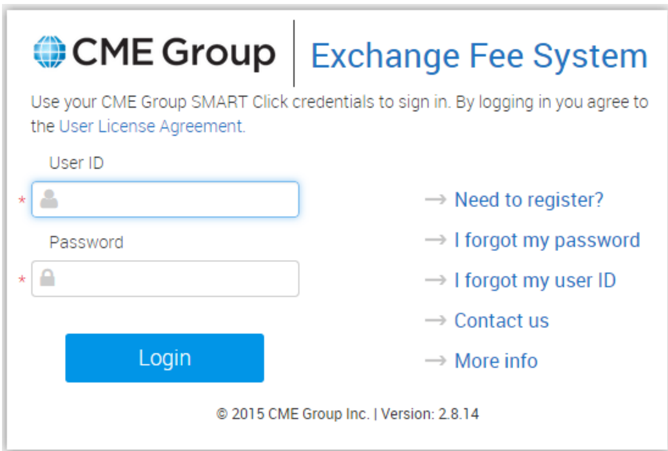
Search, view and edit transactions;
Maintain account and electronic Trader ID information; and
Execute reports to confirm and reconcile transaction fees charged.

Accessing EFS

EFS authentication has transitioned to SMART Click, which allows access to all SMART Click integrated systems, to which the User has assigned privileges, with one user ID and password.

To access the EFS application:

1. Open an internet browser and navigate to https://efs.cmegroup.com.
2. Enter your CME Group SMART Click ID and Password.
3. Click Login.
4. Upon successful login, the EFS Homepage appears.

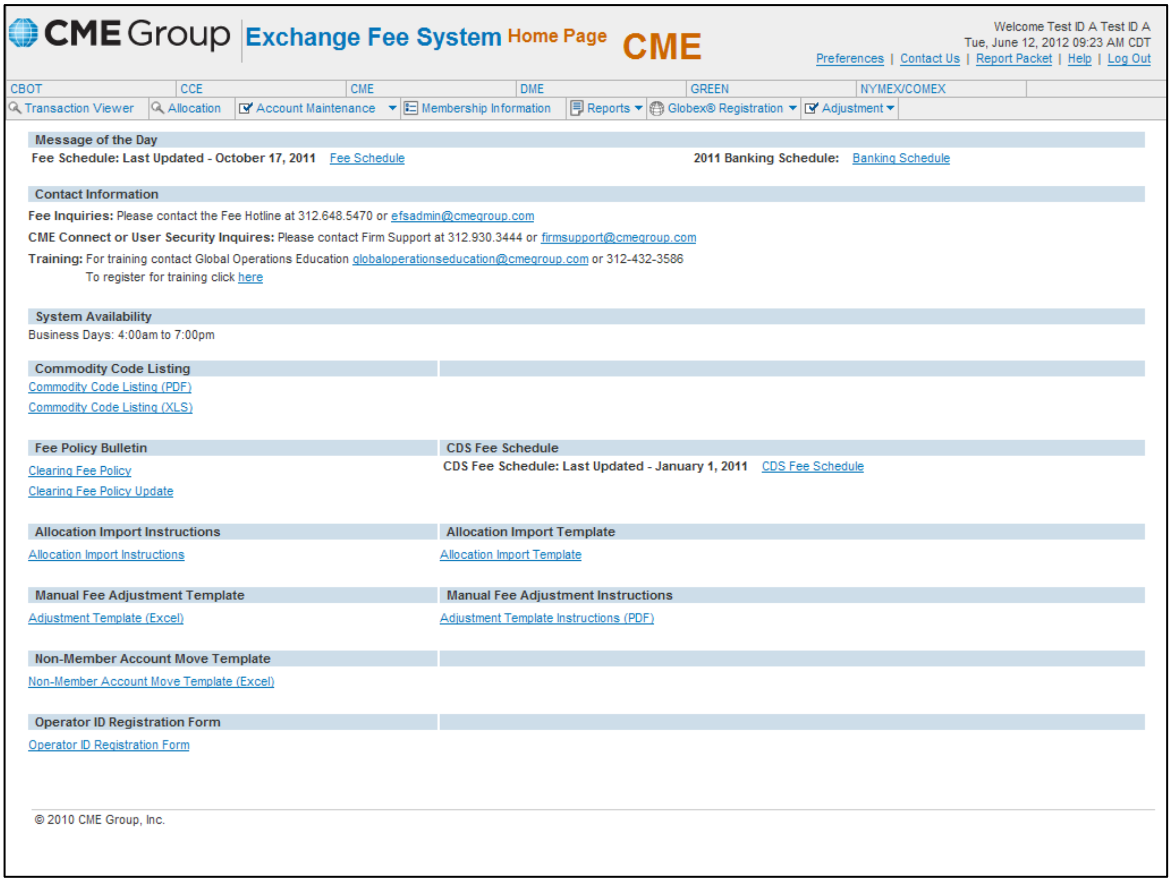


Security Requirements

To request access to the Exchange Fee System, fax a completed System Access Request Form to the CME Group EASE Team at (312) 930-3444. (Form is available at https://cmeg.co1.qualtrics.com/jfe/form/SV_8ldphHpdEwmCNfg.) Please allow 48 hours for processing.

EFS Homepage

Once successfully logged in to the application, the EFS Homepage will appear.



EFS Homepage Features:

Multi-Exchange Accessible – Firms will be able to access CBOT, CCE, CME, CMEEL, DME, and/or NYMEX/COMEX. However, EFS will only display Exchanges based on your security access. Navigate by selecting the Exchange, then the function to be performed.

Homepage Information – The CME Group fee team utilizes this screen to communicate important messages. Information on this page is subject to change but will display items such as the Fee Schedule, Banking Schedule, Contact Information, System Availability, Glossary of Terms, etc.

Help – Click on the Help link in the top right corner of any EFS screen to be directed to the EFS User Manual. If further assistance is needed, please call the EFS Hotline at (312) 648-5470 or email EFSAdmin@cmegroup.com.

The EFS homepage also includes a link to the CME Group website. Select the CME Group logo in the top left corner to be redirected to the CME Group website (www.cmegroup.com). Select the Exchange Fee System logo at the top of any page to be redirected to the homepage of that Exchange.

Account Maintenance

The Account Maintenance screen allows you to add, edit, move and view accounts within the Fee System. It is important to note if an account is not properly registered within EFS, non-Member rates will apply by default. Therefore, it is important to ensure that accounts are registered timely and accurately.

The Account Maintenance menu tab has three sub options.

- **View** – Create a new account or to view or update an existing account.
- **Search** – Search and view accounts across Exchanges.
- **Mass Expire** – Expire multiple accounts at once, at the Main Account level when the accounts have not traded for the past four months or more.

There are several available functions from the Account Maintenance – View screen.

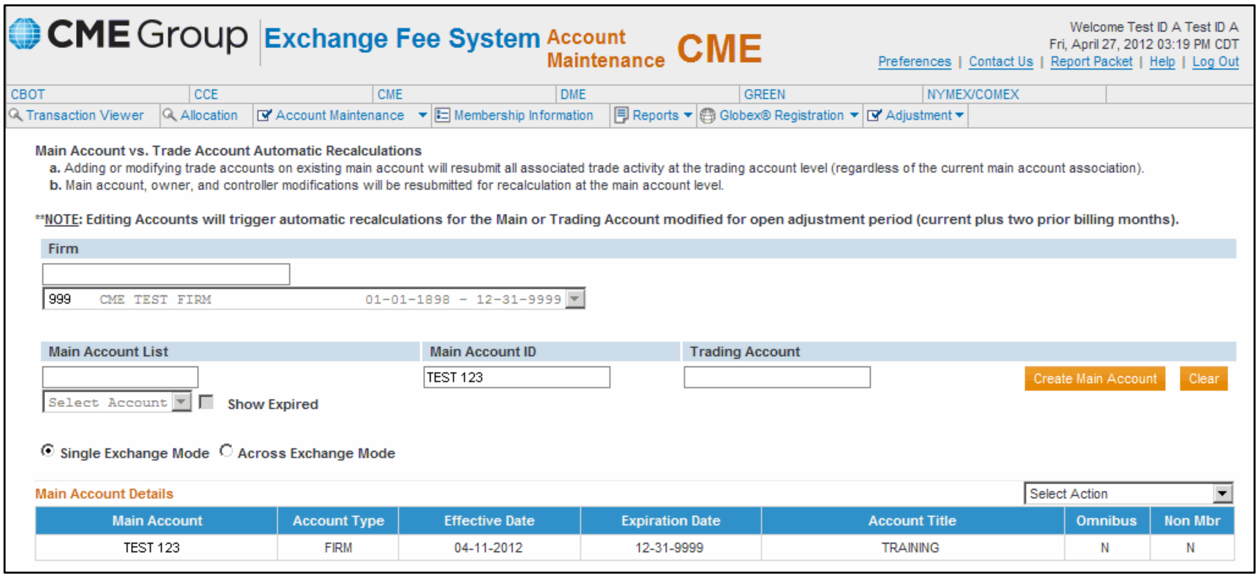
- **Create a New Main Account** – This function allows you to create/register new Main Accounts, which entails associating the underlying Trading Accounts and the Account Owners/Controllers.
- **Edit Existing Main Accounts/Trading Accounts/Account Owners/Account Controllers** – These functions allow you to modify the details for existing Main Accounts, including the associated Trading Accounts and the Account Owners/Controllers.

Account Maintenance Field Descriptions

FIELD NAME	DESCRIPTION
Firm	Firm that the Main/Trading Account clears under.
Main Account List	Drop down list that is automatically pre-populated with all the Main Accounts registered under the Firm selected.
Main Account ID	Field that is automatically filled with the Main Account ID once you choose it from the Main Account List. You may also choose the Firm and then type the Main Account number directly into the Main Account ID field.
Trading Account	You may search for a registered Trading Account by entering a Trading Account number in this field and clicking Submit.

Viewing a Registered Main Account

To access a registered account for a Firm, you can scroll through the list of Main Account numbers or use the auto-complete feature, which suggests possible Main Account matches. Corresponding details for the Main Account and subsequent Trading Accounts will be visible.



Main Account Field Descriptions

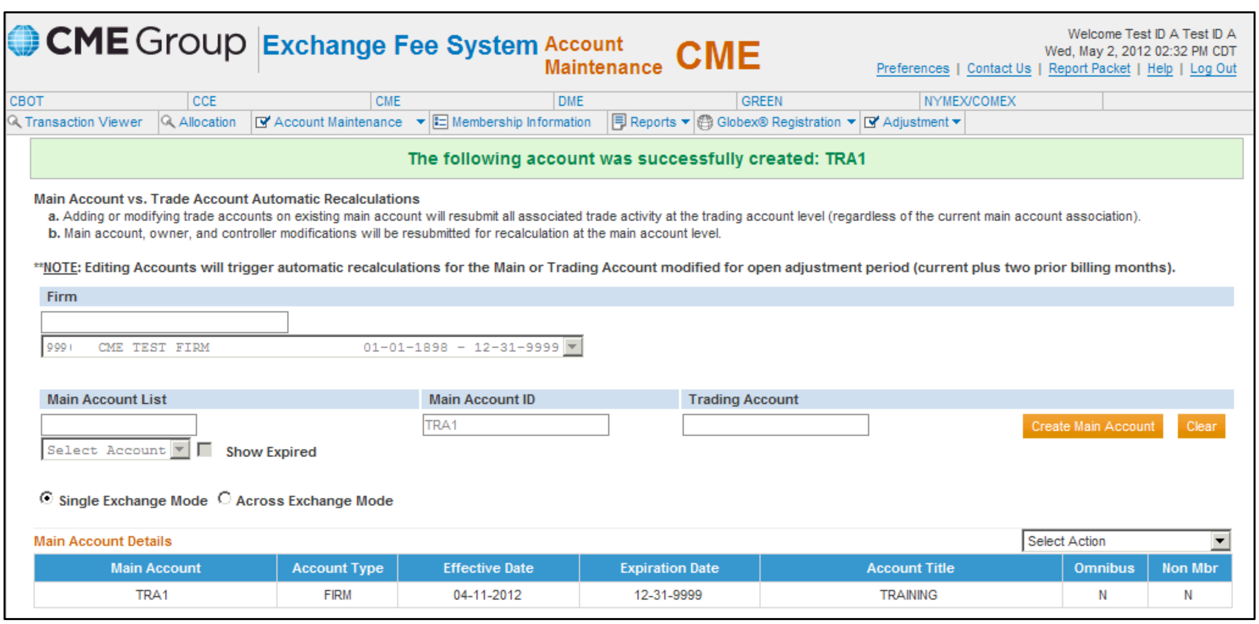
FIELD NAME	DESCRIPTION
Main Account	This is the Main Account (roll up account, account alias or grouping account) to which you wish to associate the Trading Account(s).
Account Type	Account Type selection determines the list available for the account Owner selection: Firm – Only Firm/Entities may be the Account Owner Individual – Only Individual Members may be the Account Owner Joint – Two or more Individual Members may be listed as the Account Owner Non-Member – An account that is jointly owned by a Member and a Non-Member can be registered under this account type.
Effective Date	The date the Main Account became effective.
Expiration Date	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.
Account Title	This field is required as an audit trail of the underlying Account Owner whenever the Account Owner identified in the Clearing Member"s equity system (i.e. account statement) does not exactly match the Account Owner registered in EFS. Otherwise, this field is optional for you to add a description for tracking purposes.
Omnibus	This indicator is used to identify an omnibus account for audit purposes only.

Create a Main Account

Account creation is done at the Main Account level (also known as the grouping account or roll-up account). Any account number format may be used when creating the Main Account. Trading Accounts that have the same Owner(s) and Controller(s) can be grouped together under a single Main Account. Trading Account numbers registered must be an exact match to the account number passed through CME Group Clearing. After creating the Main and Trading Accounts, you can enter the Account Owner/Controller association(s) once for the Main Account rather than several times for each individual Trading Account.

To create a new Main Account:

1. Select the Firm under which the Main Account will clear.
2. Select the Create Main Account button.
3. Complete the Main Account Details
    a. Enter the Main Account Number in the Main Account field.
    b. Select the Account Type from the drop-down list.
    c. The Main Account‟s Effective Date will default to the current day and can be updated by selecting the calendar icon or entering a date.
    d. The Expiration Date will default to 12-31-9999 to indicate that the account will be active until a further update is made.
    e. Enter a title in the Account Title field.
    f. Select the check box if this is an Omnibus account.
    g. Select the check box if a Non-Member jointly owns the account.
4. After completing each field, select the Submit button to create the Main Account details.
5. It is important to note there can only be one active instance of each Main Account, and Trading Account, per Firm at each Exchange. Also, performing the preceding steps only created the main and Trading Account records. You must also add the respective Account Owners and Controllers for the account to be eligible to receive reduced rates.



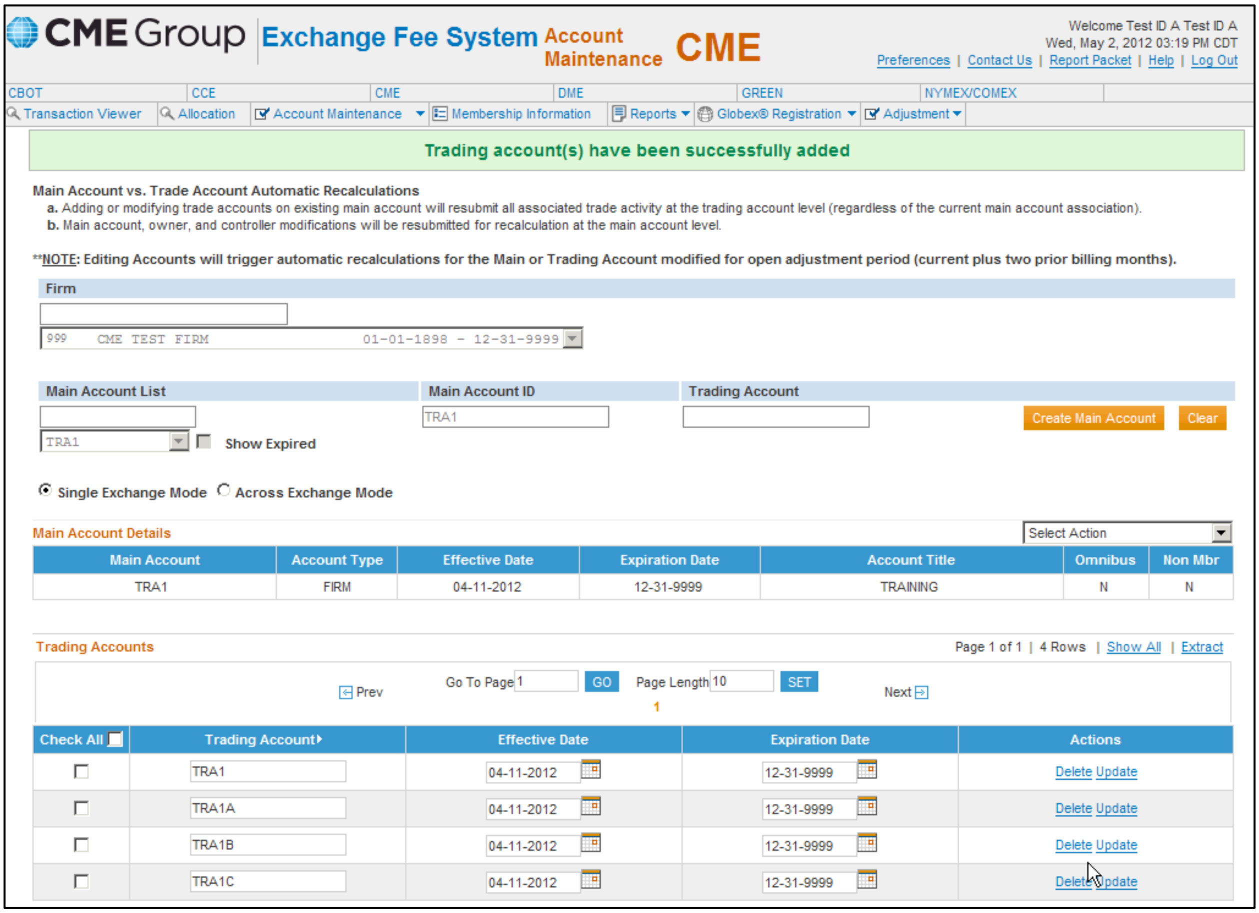
Add Trading Accounts

Trading Accounts that have the same Owner(s) and Controller(s) can be grouped together under a single Main Account. The Main Account automatically becomes the first Trading Account, therefore, this does not need to be re-entered.

To add a new Trading Account:

1. Enter the account number in the first row under Add Trading Account(s).
2. Enter the associated Effective and Expiration Dates.

   Should be equal to or between the Main Account"s Effective and Expiration Dates.
3. Click the Add or Add All (when more than one Trading Account has been added) link under the Actions column.



Add Owners/Controllers

The Account Owners and Controllers must be added to the Main Account in order to ensure that the appropriate fees will be applied.

To add an Owner to a Main Account:

1. From the section labeled Account Owners, select Add from the drop-down list above the Actions column.
2. Select the Account Owner.
3. Select an Exchange (CME and CBT Only).
4. Select the Firm Type (Member or Incentive Program category).
5. Enter the Effective and Expiration Date of the Account Owner.

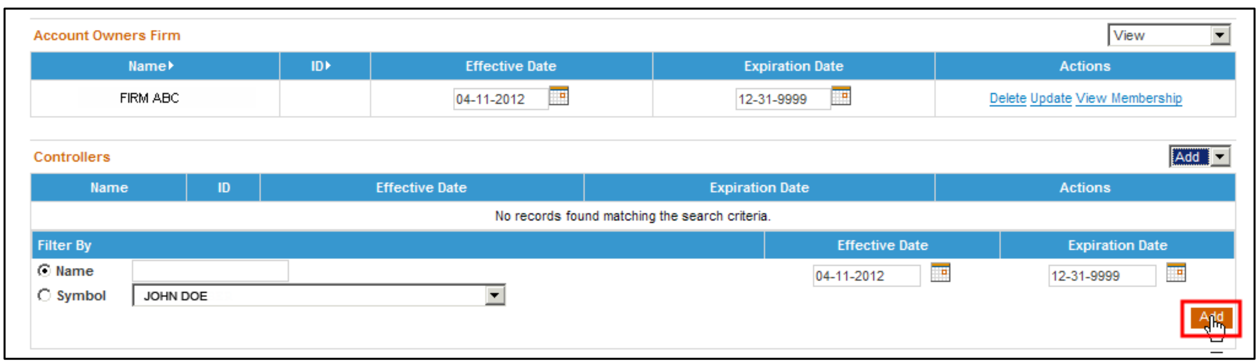
   Dates must be equal to or between the Main Account"s date range.
6. Select the Add button.

Controllers should be added if an individual Member is trading the account with discretion. Note that for an individual account the Member listed as the Account Owner will automatically be listed as a Controller.

To add a Controller to a Main Account:

1. From the section labeled Controllers, select Add from the drop-down list above the Actions column.
2. Enter the Effective and Expiration Date of the Account Controller.

   Dates must be equal to or between the Main Account date range.
3. Select the Add button.



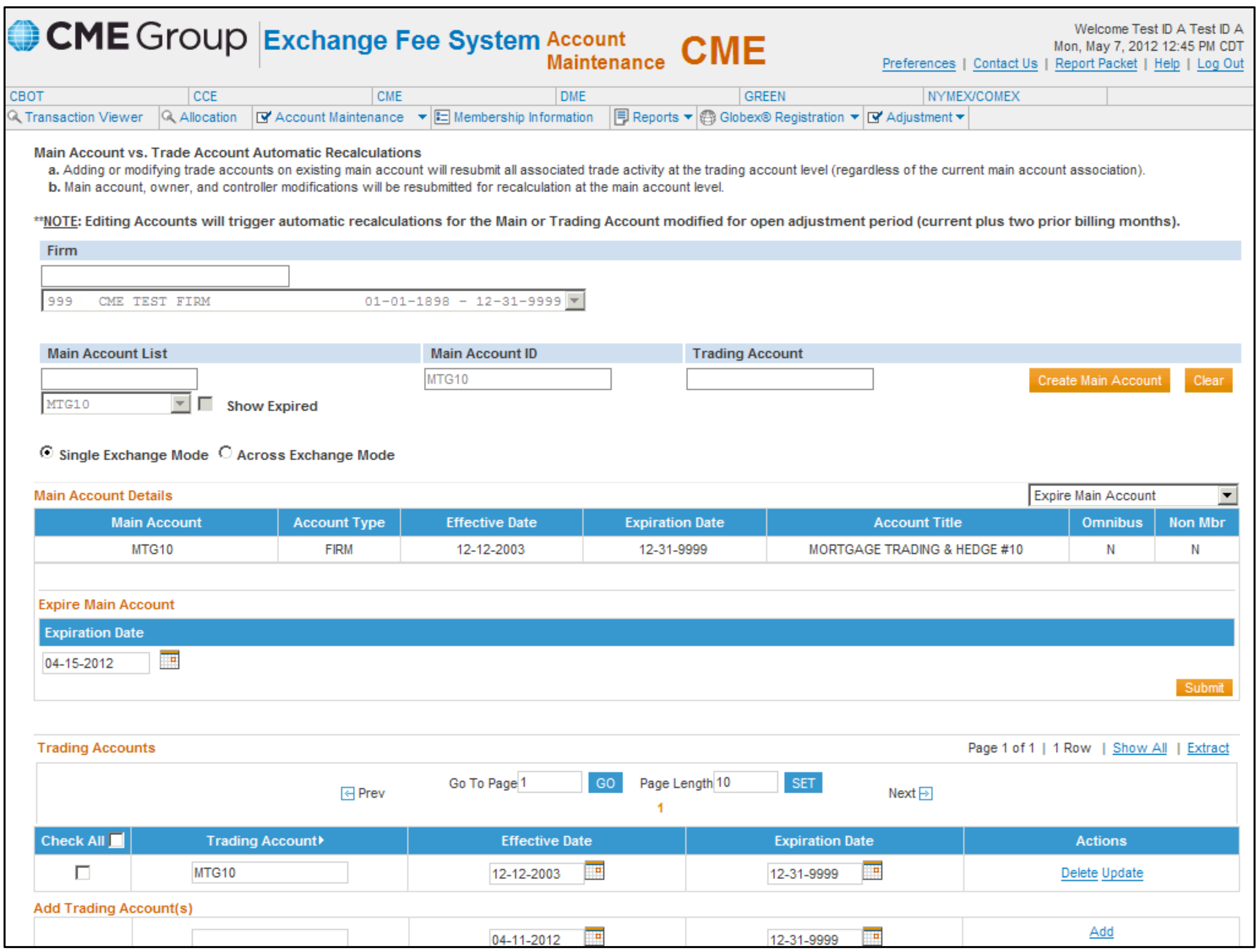
Edit Existing Accounts

Within the Account Maintenance View Screen, you can use the edit mode to modify the details for existing Main Accounts, associated Trading Accounts, and the Owners and Controllers. Edit allows you to change each field in a registered Main Account, except for Account Type. Individual Trading Accounts can be edited, or mass updates can be performed on many Trading Accounts. **It is very important to note that any modifications made within the Account Maintenance Screen will automatically resubmit the associated transactions for recalculation within the open adjustment period.**

To expire a Main Account and all associated Trading Accounts and Owners/Controllers:

1. Select Expire Main Account from the action menu.
2. Enter the Expiration Date.
3. Click the Submit button.

   A message box will ask for confirmation of the expiration of this account.
4. Select OK to continue the expiration, or select Cancel.



To copy a Main Account:

1. Select Copy Main/Trading Account(s).
2. Modify available fields as needed.
3. Click the Submit button.

The most common use of the Copy Main/Trading Account(s) feature is when the Account Type is changing for an existing Main Account. The Main/Trading Account to be copied must be expired prior to executing the Copy Main/Trading Account(s) functionality because two active instances of the same Main/Trading Account(s) cannot exist.

To edit a Trading Account:

1. Identify the appropriate row containing the Trading Account to be updated.

   If multiple accounts need to be updated, utilize the Mass Update fields in conjunction with the select account checkboxes to modify several accounts at the same time.
2. Modify the Trading Account Number, Effective Date and/or Expiration Date.
3. Click on the Update hyperlink in the Actions column for that row.
4. Select OK to continue in the pop-up message box,or select Cancel.

Trading Accounts and their Effective and Expiration Dates can be updated individually or as a group. Designate individual Trading Accounts to be udpated by selecting the box in front of each account. The check all box will select, or deselect all accounts currently displayed on the page. Use the arrow buttons to navigate additional pages of results, or use the show all link to display every Trading Account related to this Main Account.

To update Account Controller(s), Effective, and/or Expiration Dates:

1. Identify the appropriate row containing the Controller to be updated.
2. Modify the Effective Date or Expiration Date as necessary,
3. Select the Update hyperlink in the Actions column.
4. Select OK in the pop-up message box, or select Cancel.

To copy Account Owners:

1. Select Copy Owner(s) from the drop-down list above the Actions column.
2. Select the registered Main Account from the drop-down list to copy the Owner(s) to.
3. After selecting an account, click Copy.

To copy Account Controllers:

1. From the section labeled Controllers, select Copy Controller(s) from the drop-down list above the Actions column. The Copy To Main Account field will display.
2. Select the registered Main Account from the drop-down list to which the Controller(s) will be copied.
3. After selecting an account, click Copy.

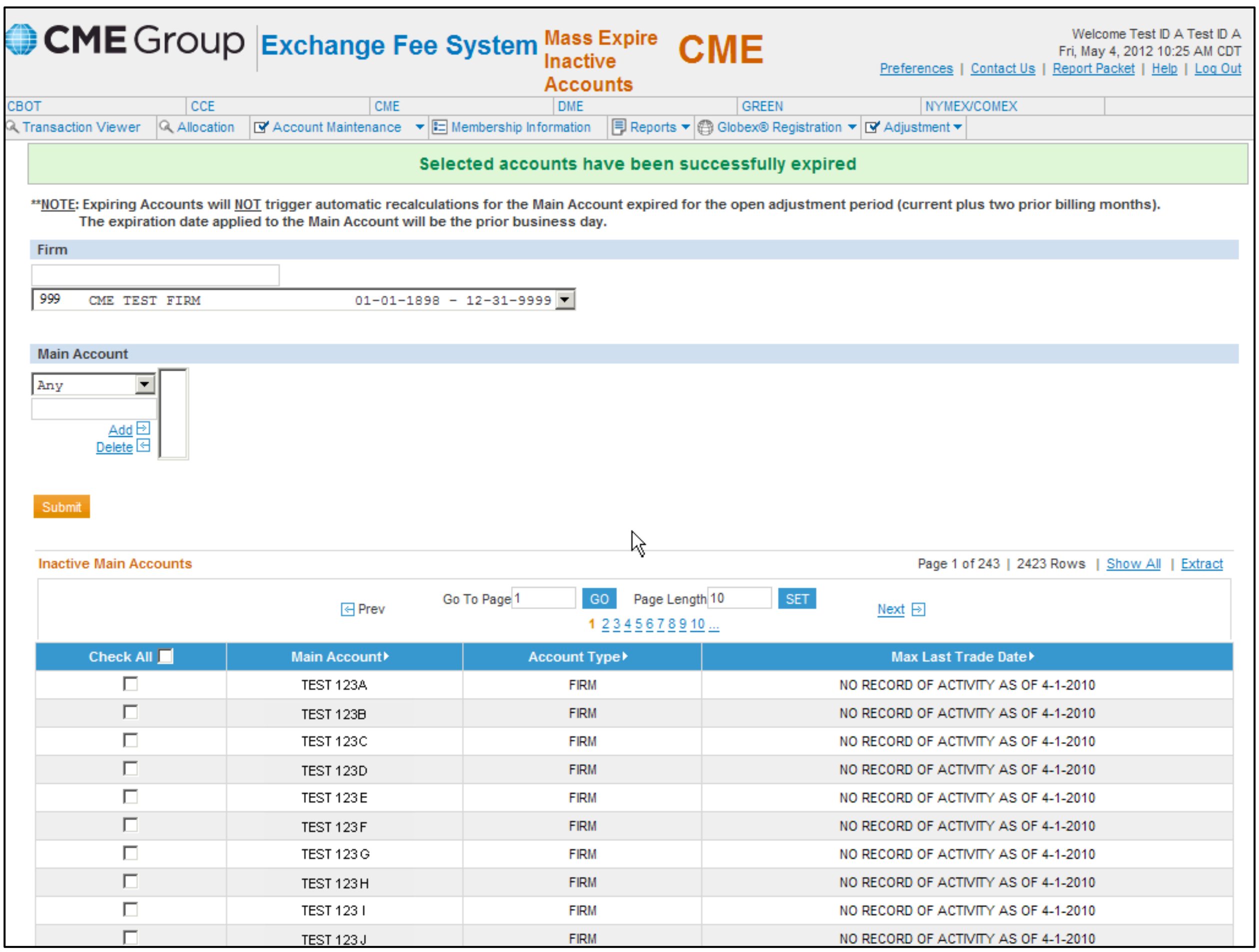
Mass Expiration

The Mass Expire screen allows you to expire multiple accounts at once at the Main Account Level. Main Accounts available to be expired will only be those where all of the associated Trading Accounts have not traded for the past four months or more. A „Max Last Trade Date" will be displayed on the screen for reference and will identify the most recent Trade Date for which any of the underlying registered Trading Accounts had trading activity.Therefore, it is helpful in identifying groups of inactive accounts you may want to expire in EFS.

To Mass Expire inactive accounts:

1. Within the Mass Expire screen, select a Firm.
2. If desired, filter the results by Main Account.
3. Click Submit.

   The Inactive Main Accounts window will display all inactive accounts matching the criteria entered.
4. Click the checkbox of the Main Account(s) to expire or select Check All to expire all of the accounts displayed on the current page.
5. After selecting the account(s) to expire, click the Submit button.
6. To confirm the expire request, click the Continue button.



Search

The Account Maintenance - Search screen is a read-only screen that allows all accounts (regardless of Exchange) and the respective details to be viewed in one centralized place. It is useful when searching and viewing Accounts across all three Exchanges.

Searches can be executed by:

One or More Main Accounts; or
Single Trading Accounts; or One
or More Account Owners

Searches within selected Exchange(s)/Firm(s) can be further refined by the following criteria:

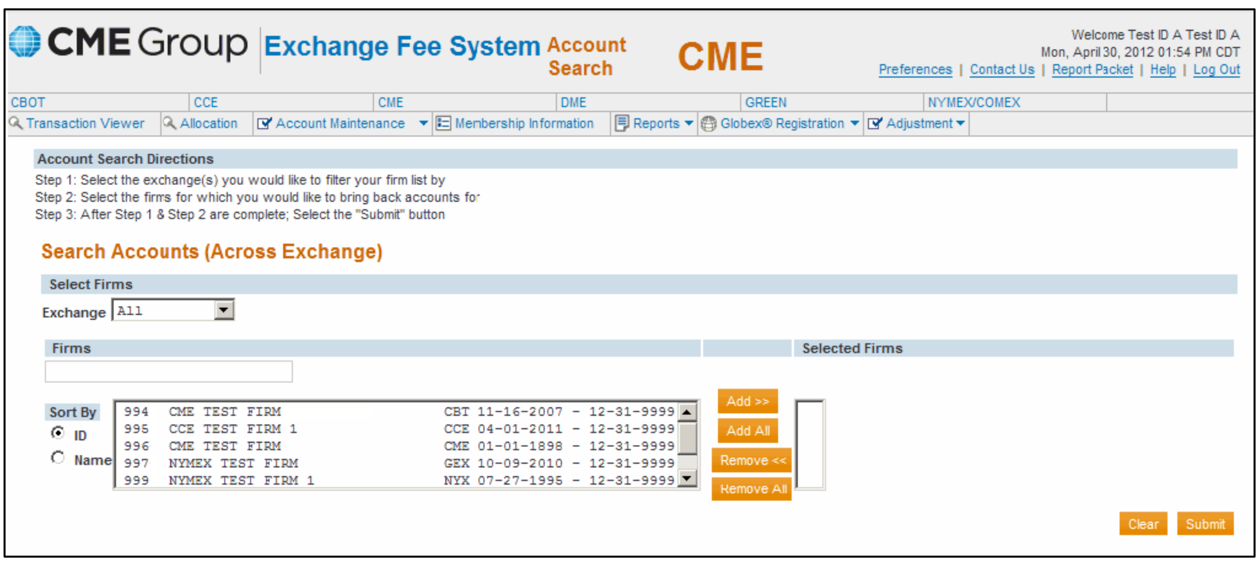
Search by Main Account (default); or
Search by Trading Account; or
Search by Account Owner

To execute a search:

1. Select the Exchange(s) to search.
2. From the Firms list, select the Firm(s) to search. The Firm list will default to ALL Firms to which you have security access.

   To select multiple Firms, hold the Ctrl key and click on each Firm name.
3. After selecting the Firm(s), click the Add button.
4. Click the Submit button.

   The search criteria results will display the Firm(s) and Exchange(s) selected. Click the Extract Account Details button below the Search Criteria section to extract the information.

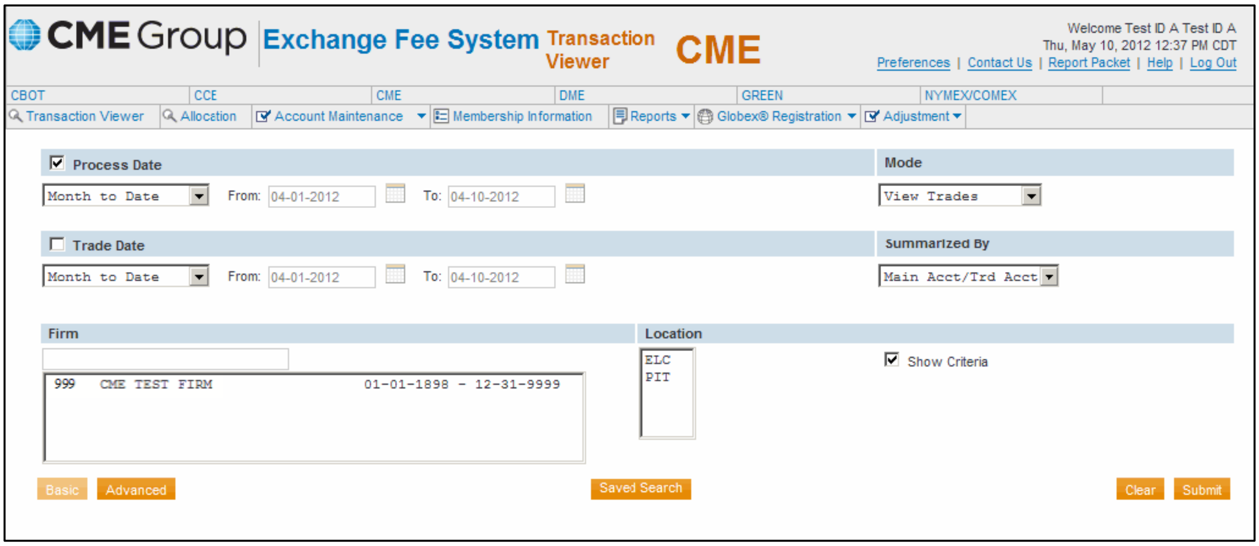


Transaction Viewer

The Transaction Viewer screen provides the ability to search and view trades, edit trades and edit Trader IDs, as well as view non-trade activity. This screen offers both basic and Advanced Search options to access trade activity, and drill down to view very specific fee details. Using the information you can access in transaction viewer is essential in the fee reconciliation process.

Basic Search

Basic Search criteria appears by default. Two fields are required in order to complete a Basic Search: Date and Firm. Default fields will be used for Mode, Summarized By, and Location selections.



Basic Search Field Descriptions

FIELD NAME	DESCRIPTION
Firm	Represents the filling Firm (executing Firm) of the transaction.
Location	The location in where the trade was executed (Pit or Electronic).
Mode	The action to be taken (e.g. Edit Trader ID, Edit Trades, View Non-Trades, View Trades).
Process Date	The date that the trade was processed in EFS.
Summarized By	How the data will be grouped (e.g. Main Account/Trading Account, Product, Trader ID, Trader ID/Trading Account, Trading Account).
Trade Date	The date that the trade was executed.

Date Selection

A date selection is required to execute a search. You may choose Process Date or Trade Date individually or select both.

Date Selection Filter Descriptions

SELECTION	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.
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.
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.

Mode Selection

The Mode selected identifies the action to be taken and determines whether you will be able to edit or view information.

Mode Selection Descriptions

SELECTION	DESCRIPTION
View Trades	Allows you to view all transactions as read-only.
Edit Trades	Allows you to view and submit trades for recalculation, or to change Trading Accounts.
Edit Trader ID	Allows you to view transactions by a specific Trader ID and change the Trader ID for both pit and electronic trades. In this mode, you can only summarize the data by Trader ID or by Trader ID/Trade Account.
View Non-Trades	Allows you to view all non-trade activity such as Exercises, Assignments, Deliveries, Expirations, Cash Settlements and Futures from Exercise/Assignment.

Summarized By Selection

The Summarized By selection chooses how your data is sorted in the result set.

Summarized By Descriptions

SELECTION	DESCRIPTION
Main Account/Trade Account	Summarizes data by Main Account and then by Trading Account.
Trading Account	Summarizes data by Trading Account.
Trader ID/Trade Account	Summarizes data by Trader ID and then by Trading Account.
Product	Summarizes data by commodity code.
Trader ID	Summarizes data by Trader ID (broker symbol for pit and Operator ID for electronic.

Firm Selection, Location, & Show Criteria

The Firm list displays all of the Firms you are authorized to view.

1. To select a Firm, click on a Firm (the Firm will then be highlighted).
2. To select multiple Firms, hold down the CTRL key on the keyboard and click to highlight all desired Firms. (Note: a maximum of five Firms may be selected at one time).
3. To deselect a Firm, hold down the CTRL key on the keyboard and click to highlight all desired Firms.

The Location field is used to denote where the transaction took place.

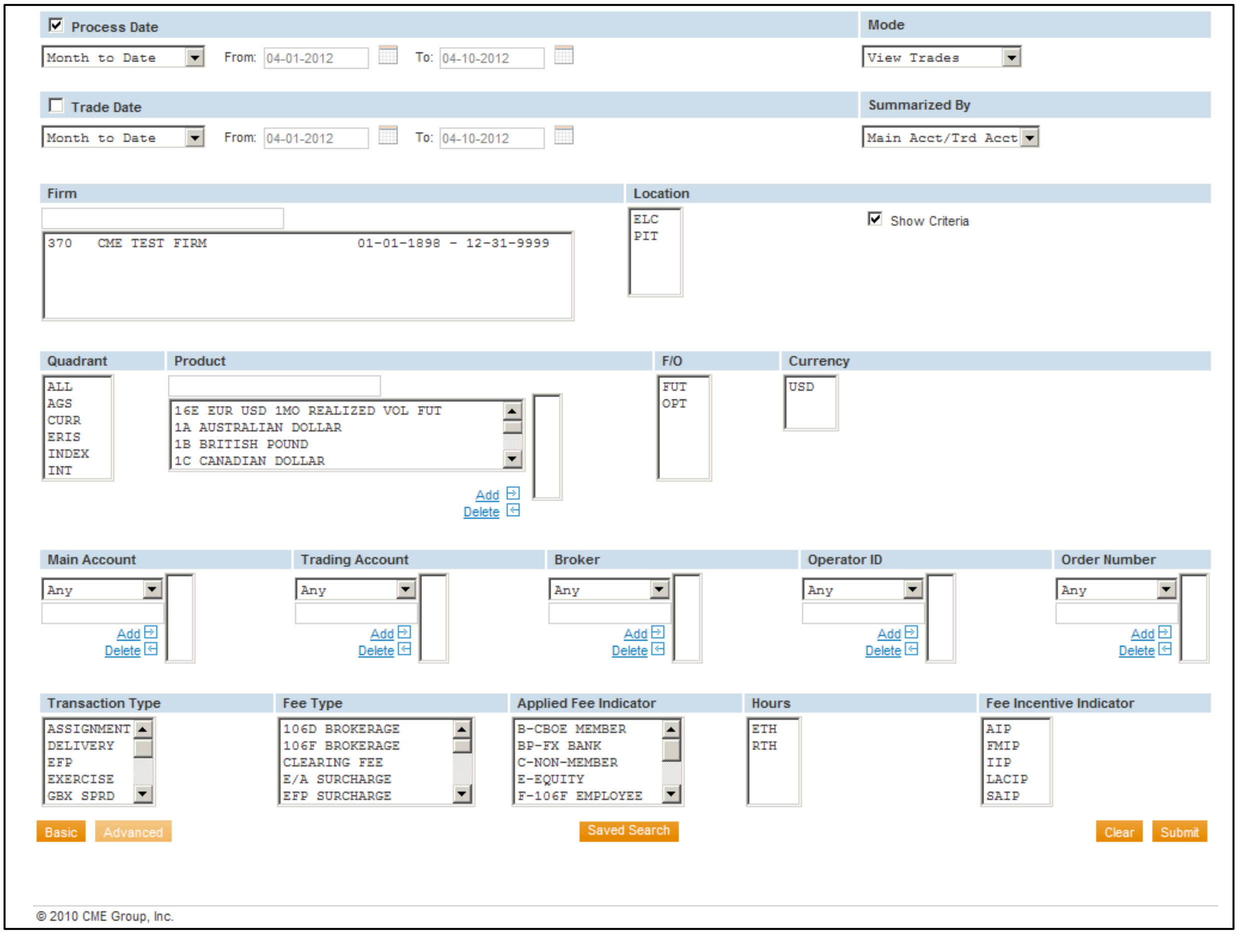
ELC is for electronic trades/transactions.
PIT is for any transaction that took place on the floor/open outcry.
No selection defaults to both locations.

The default setting is for the Show Criteria box to be checked.

This displays a summary of all of the search criteria above the search results.
Uncheck the Show Criteria box to display the results only.

Advanced Search

In order to perform a more specific search, choose an Advanced Search by selecting the Advanced button at the bottom left of the search screen. The Basic Search selections will remain at the top of the page above the advanced fields.



Advanced Search Operator Descriptions

Several of the Advanced Transaction Viewer fields offer a drop-down list with Operators or functions that allow you to sort or narrow the search criteria within that field.

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

Saved Search

The Saved Search function provides the ability to save and load frequently used Transaction Viewer and Report search parameters. Reference the User Manual for additional information regarding Saved Search.

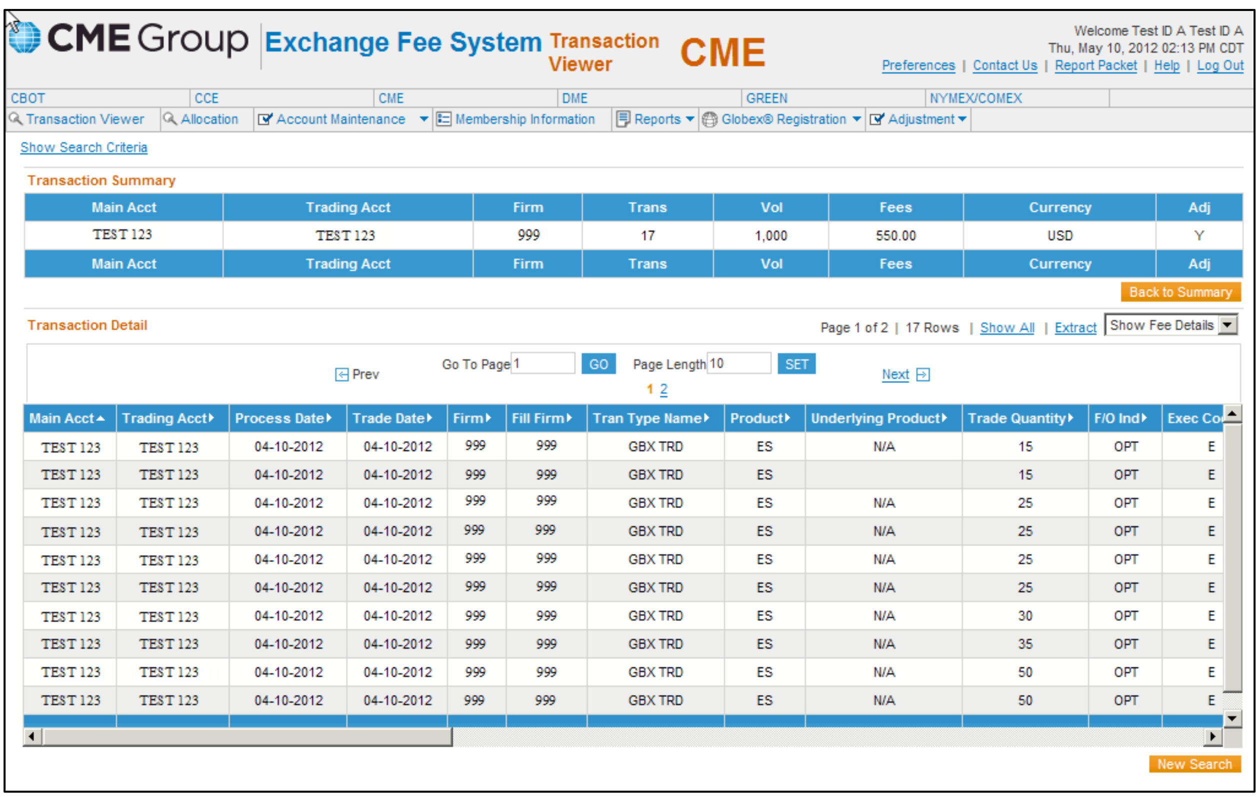
View Trades

The View Trades Mode provides a read-only overview of trades based on the search criteria entered. The results can be viewed at a Summary or Detail level.

To view trades in Transaction Viewer:

1. Choose a Process and/or Trade Date(s).
2. Select View Trades from the Mode drop-down menu.
3. Select a secondary sort from the Summarized By field.
4. If desired, select a Firm & Location to narrow the result set.
5. Select Show Criteria to display the search criteria entered.
6. Click theSubmit button.

Data is returned in a first level view called the Transaction Summary, where a summary of all trades or non-trades 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.



Edit Trades

The Edit Trades Mode provides the ability to view, adjust and submit transactions for recalculation. This mode is useful for changing the Trading Account when a transaction has cleared with an incorrect account number. Account changes and fee recalculations can occur at the Transaction Summary and Transaction Details levels.

Editing Action Descriptions

ACTION	DESCRIPTION
View Details	Allows you to select a specific line item from the Transaction Summary in order to view the Trade Details for that item (similar to the View Trades Mode). You may also select View Details from the Trade Details level in order to view the associated Fee Details.
Change Account	Allows you to change the Trading Account number on transactions that cleared under incorrect account numbers, or to modify the account number associated to position transfer and adjustments records. An account change can be performed at the Transaction Summary level or at the Trade Details level.
Recalculate	Allows you to submit transactions for recalculation. Trades may be recalculated at the Transaction Summary level or at the Trade Details level.

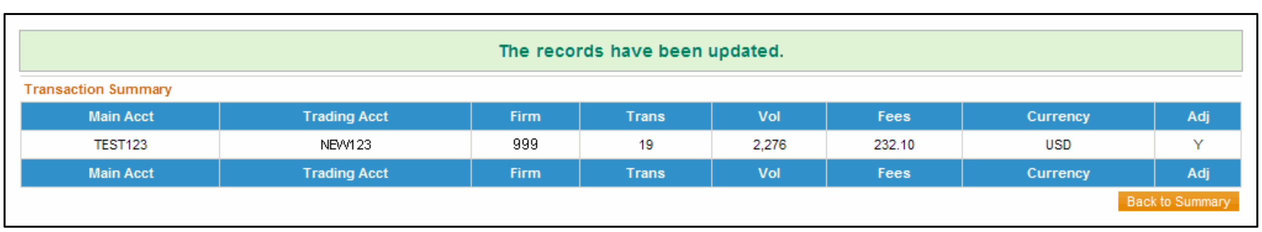
Change Account

Changing an account in EFS allows trades to be moved from one account to another.

To change an account number:

1. Select Change Account from the Select Action drop-down list.
2. Click the check box(es) in the row(s) of the line item(s) to be changed.
3. Select the Continue button.
4. Enter the new Trading Account number.
5. Select the Continue button.

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



The records have been updated.

Transaction Summary

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj
TEST123	NEW123	999	19	2,276	232.10	USD	Y
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj

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Recalculation of Fees

In Transaction Viewer, you can submit transactions for recalculation. This feature should be used to manually submit trades for recalculation when the associated Operator ID has been added or modified in the Globex Registration screen.

To submit an item for Recalculation:

1. Select Recalculate from the Select Action drop-down list.
2. Click the check box(es) in the row(s) of the line item(s) to be changed.
3. Select the Continue button. A message window will appear asking for confirmation to recalculate the trades.
4. Click OK to confirm or Cancel.

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

19 Transaction(s) have been submitted for Recalculation.

Transaction Summary

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj
TEST123	TEST123	999	19	2,276	232.10	USD	Y
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj

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Edit Trader ID

In Transaction Viewer, you can update the Trader ID associated with a trade. Trader ID is a single field 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” Operator ID for Electronic transactions. It may be necessary to update the Trader ID if it has been determined that a Trader ID has been passed through incorrectly for a transaction.

To submit an item for Recalculation:

1. Choose Edit Trader ID from the Mode drop-down list.
2. Choose a Firm and define other applicable criteria.
3. Click the Submit button.
4. Select the Change Trader ID option from the Select Action drop-down menu.
5. Enter the New Trader ID.
6. Click the Continue button.

The adjustment status has changed to “Y”. The old Trader ID is still displayed at this time, but will be updated in that night‟s processing cycle.

The records have been updated

Transaction Summary

Trader Id	Firm	Trans	Vol	Fees	Currency	Adj
JDOE	999	19	2,276	232.10	USD	Y
Trader Id	Firm	Trans	Vol	Fees	Currency	Adj

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View Non-Trades

The View Non-Trades mode allows you to view allocated and unallocated Exercises, Assignments and Deliveries, plus other non trade activity such as Cash Settlements, Futures from Exercise, Futures from Assignments and Expirations. It is important to note this is just a search mode to find non trade activity.

The non-trade activity will be 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.

Transaction Summary

Search Results

Page 1 of 1 | 1 Row | Show All | Extract | View Details

Prev Go To Page 1 GO Page Length 10 SET Next

1

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj
		999	3	17	11.73	USD	N
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj

New Search

Selecting one of the line items from the Transaction Summary screen will allow EFS to drill down on the associated non-trade activity Transaction Details. Selecting Reallocate from the Select Action drop-down list will redirect to the Allocation screen with the fields pre-populated based on the line item selected in the Transaction viewer.

Transaction Summary

Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj
		999	3	17	11.73	USD	N
Main Acct	Trading Acct	Firm	Trans	Vol	Fees	Currency	Adj

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Transaction Detail

Main Acct	Trading Acct	Process Date	Trade Date	Firm	Fill Firm	Tran Type Name	Product	Underlying Product	Trade Quantity	F/O Ind	Exec Code	CBT Bus Code	Venue	Tra
		04-10-2012	04-10-2012	999	999	ASSIGNMENT	DA	N/A	5	OPT	N			
Main Acct	Trading Acct	Process Date	Trade Date	Firm	Fill Firm	Tran Type Name	Product	Underlying Product	Trade Quantity	F/O Ind	Exec Code	CBT Bus Code	Venue	Tra

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Fee Detail

Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Currency	Applied Amt
CLEARING FEE	0.64	0.64	C	USD	3.20
E/A SURCHARGE	0.05	0.05	C	USD	0.25
Fee Type	Base Fee	Applied Fee	Applied Fee Ind	Currency	Applied Amt

New Search

Allocation

The Allocation screen allows the allocation of non-trade transactions to the appropriate Main and/or Trading Account, as well as the ability to edit previously allocated transactions. These non-trade transaction types do not have account numbers associated to them when the records are received from CME Group Clearing. They must be manually allocated in the Exchange Fee System within the open billing period, or they will be charged non-Member rates.

You will need to define the Firm, the trade month in which the transaction took place, the product, type of transaction and whether to allocate by Main/Trading Account or solely by Trading Account.

Allocation Field Descriptions

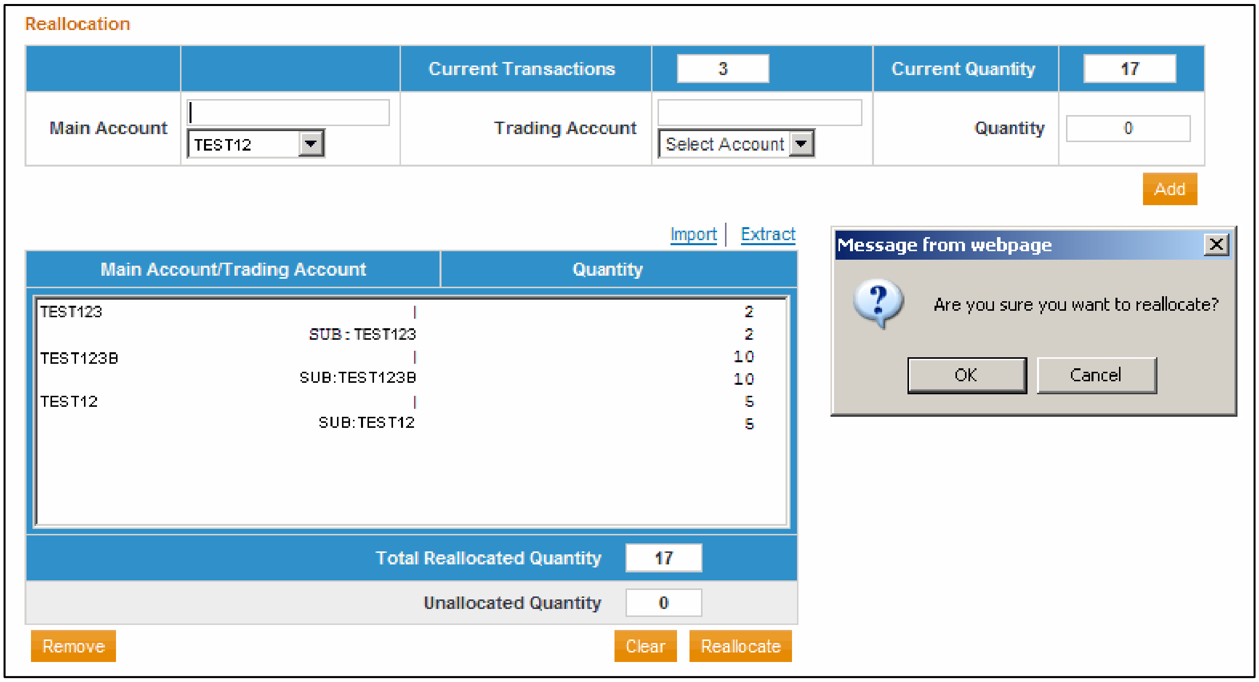
FIELD NAME	DESCRIPTION
Firm	This is equivalent to the Trading Member Firm or also known as the executing Firm. You have authority to view specific Firms and should choose the appropriate Firm from their customized list.
Product	From the drop-down list, select the specific product associated with the transaction to be allocated. Allocations must be done one product at a time. The Product list can be sorted using „Filter By" Code or Name.
Prev Alloc	(Optional) Select this box to edit transactions that were previously allocated. You will need to enter the specific Trading Account to which the items were previously allocated.
Trade Month	Select the month in which the transaction took place. You are able to allocate transactions for the current month and the prior two months.
Mode	This feature allows you to allocate by the Main Account or Main/Trading Account. 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. The Trading Account feature allows you to enter the respective Trading Account without restricting you to what has been registered within the EFS application.
Transaction Type	Allocations can only be completed for one transaction type at a time. Transaction types include Exercise, Delivery, Assignment, Expired Options, Cash Settlement and Future from Assignment or Exercise. Not all transaction types are available for allocation for every Exchange. Reference the User Manual to verify transaction types which are eligible for allocation by Exchange.

After completing the applicable search fields, select the Get Quantity button. Depending on the Mode selected, transactions may be allocated by Main Account and/or Trading Account. Each mode will display 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.

To Allocate Transactions by Main/Trading Account:

1. Select the Main Account number to which the transactions will be allocated.
2. Select the Trading Account to which the transactions will be allocated (optional).
3. Enter the number of contracts to be allocated to that account in the Quantity field.
4. Click the Add button.
5. Click the Reallocate button.
6. Select OK in the confirmation window to complete the allocation.

Be sure to verify the accuracy of all data prior to confirming the allocation. You can only allocate a transaction once per day. If a mistake is made, you will have to wait until the next business day to correct the error.



Previously Allocated Trades

The Prev Alloc checkbox on the search form will allow you to correct/update a previously allocated transaction.

Upon clicking the Previous Allocation checkbox, two new entry fields will display:

You must choose the process month from the three preceding available months.

This denotes when the original allocation was processed.

The account number to which the transactions were initially allocated is also required.

The account number entered here must be an exact match.

Globex Registration

The Globex Registration screen allows you to register Globex Operator IDs (also known as Trader IDs or "Tag 50" IDs), as well as search, edit and view details for previously registered IDs. An Operator ID is required on all orders entered through CME Globex. Registering an Operator ID is an important component in the calculation of fees for electronic activity.

Globex Registration has three sub-menu options:

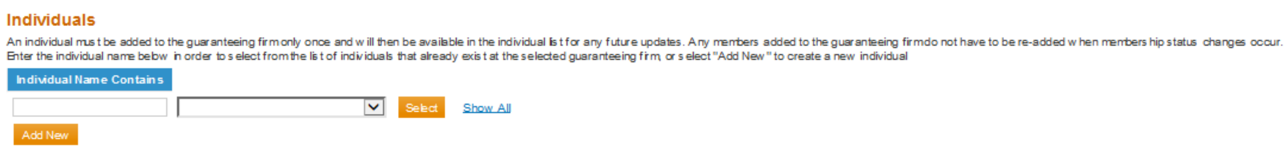
Search – Select this option to view Operator IDs that are already registered. This option enables you to work in Basic or Advanced Search. After completing a search, edit or copy functions can be completed, or search results can be extracted.

Individuals – Select this option to store information for individuals in lists that are unique to your firm as well as to create, edit or view Operator IDs for individuals.

ATS Teams – Select this option to manage ATS Teams in lists that are unique to your firm as well as to create, edit or view Operator IDs for ATS Teams.

Adding Individuals

To register an Individual Operator ID, Select **Individuals** from the Globex Registration sub-menu. The Individuals Page appears.



Before registering the Operator ID, you will register all of the required personal information for an electronic trader in the **Individuals** screen. This list is unique to your firm and the individual must be added only once. To enter information for an Individual:

1. Select a guaranteeing firm from the list.
2. Input the First and/or Last Name in the field **Individual Name Contains**.
3. The system will suggest possible matches from the list of individuals that already exist at the firm.
    - The **Show All** hyperlink may be used to display all individuals in the list at the selected guaranteeing firm.
    - Select the hyperlink for **Name** to be directed to **Individual Details**, use the **Extract** hyperlink to extract all individuals listed, or select **Cancel Show All** to return to the previous screen.
4. If the Individual name appears in the drop-down, highlight that name and choose **Select**. The screen will refresh to display the **Individual Details** and you can continue the process of registering an ID.
5. If no match is found select **Add New** to associate a new individual with your firm.

Membership System Matches

Based on your entry, the screen will display potential **Membership System Matches** for individuals that already exist in the CME Membership System (Members, CME and CBT Clerk for Members and NYMEX Power of Attorney).

- If there is a match, click **Add** to associate the individual with your firm list and proceed to register an Operator ID for this individual.
- Use **View Details** to view member details for the selected individual.
- If no match exists, proceed to **Manual Entry**.

Membership System Matches

If individual is in this list, click the "Add" button next to the corresponding row. Then you will be able to enter operator IDs and/or ATS Team assignments for this individual.

Name	Country	Email Address	CBT	CME	NYX	NTIP	
TRADER, JAMES G.	USA	james.g.trader@trader.com	N/A	View Details	N/A	N/A	Add
TRADER, SCOTT E	USA	scott.e.trader@trader.com	N/A	N/A	View Details	N/A	Add

Manual Entry

If individual is not listed in Membership System Matches, personal information should be entered in the Manual Entry section. (Required Fields are marked by an asterisk). When manual entry is complete click **Add** to continue and proceed to register an Operator ID for this individual.

Manual Entry

If individual is not in the above list you can specify his details below. Please note that manually-entered individuals cannot be registered as members.

First	Middle	Last	Suffix

Country	Birth Date	Email Address	
USA			Add

Cancel

Individual Details

The Individual Details page displays information for the electronic trader.

- For Membership System Matches, personal information is taken from the CME Group membership system and cannot be edited.
- **Registered Operator IDs** and **Assigned ATS Teams** with which this individual is associated will be displayed. (When no IDs or ATS Teams are currently associated with this trader the screen will display **Individual is not directly associated with any Operator IDS or ATS Teams**).
- To view Expired Operator IDs or Expired ATS Team assignments, check the corresponding box to include expired information.

Individual Details

First	Middle	Last	Suffix
THOMAS	A	TRADER	

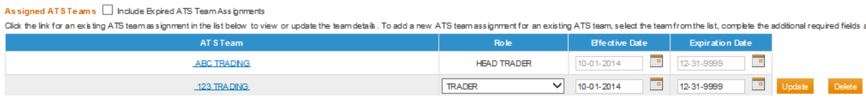
Country	Email Address		
USA	ttrader@aol.com	Update	Delete

Find in Membership

Registered Operator IDs ☐ Include Expired Operator IDs

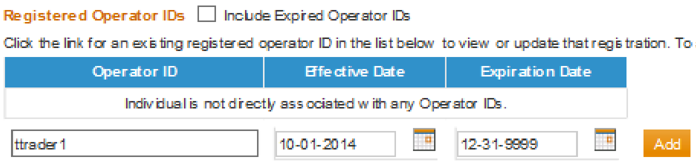
Click the link for an existing registered operator ID in the list below to view or update that registration. To add a new operator id, enter the ID in the blank field below and click the "Add" button.

Operator ID	Effective Date	Expiration Date
TTRADER1	10-01-2014	12-31-9999
TTRADER2	10-01-2014	12-31-9999



Registering an Individual Operator ID

1. Input the Operator ID (maximum of 18 characters).
2. Enter the Effective date, which defaults to the current date. The expiration date defaults to 12-31-9999 which reflects no expiration date.
3. Click **Add** to continue



4. The screen will refresh to display **Operator Details** as read-only text.
5. Proceed to the Registrations section to complete the fields for each applicable Exchange.
   - Select the Exchange, Registration Type and Associated Entity.
     - See the User Manual for a complete list of Registration Types.
     - For Individuals who have been identified as Membership System Matches the Registration Type may be pre-populated but can be changed.
     - The lists available for selection will vary based on the Exchange or Registration Type selected.
6. Select **Register** to add information for the selected Exchange.
7. To add additional Exchanges, proceed to the next row, submit the required information and select **Register**.

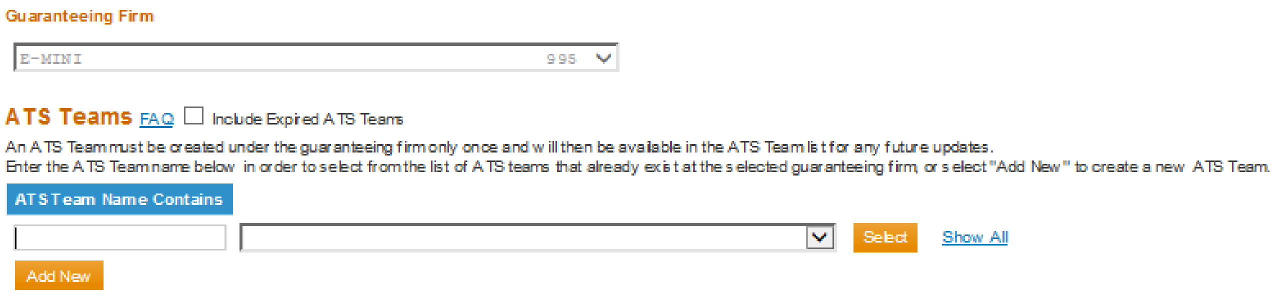
Adding ATS Teams

An Automated Trading System (ATS) is a system that automates the generation and routing of orders to Globex. ATS Teams are comprised of a Head Trader and at least one additional team member. To register an ATS Team ID, Select **ATS Teams** from the Globex Registration sub-menu.

Creating Team Name

Before registering an ATS Team ID, the team must first be identified with the team name along with information for the Head Trader and other team members. This list is unique to your firm and the ATS Team must be added only once. To create an ATS Team:

1. Select a Guaranteeing Firm from the list.
2. Input the ATS Team name in the field **ATS Team Name Contains**.
3. The system will suggest possible matches from the list of ATS Teams that already exist at the firm.



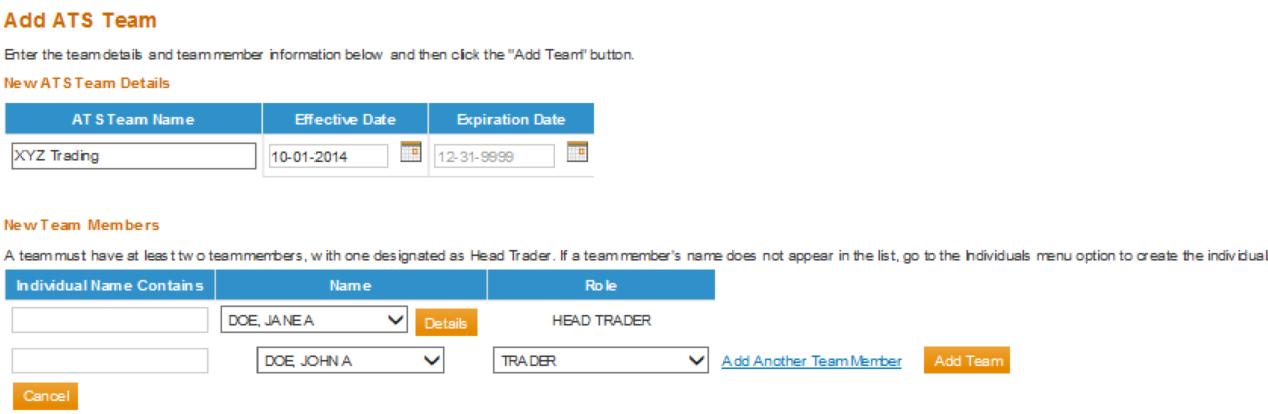
- The **Show All** hyperlink may be used to display all ATS Teams in the list at the selected guaranteeing firm.
- Select the hyperlink for **Name** to be redirected to the ATS Team Details Page for that ATS Team. Select the hyperlink for **Head Trader** to be redirected to the Individual Details for that ATS Team's Head Trader. Use the **Extract** hyperlink to extract all ATS Teams listed or select **Cancel Show All** to return to the previous screen.

4. If the ATS Team name appears in the drop-down, highlight that name and choose **Select**. The screen will refresh to display the ATS Team Details and you can continue the process of registering an ATS Team ID.
5. If no match is found select **Add New** to associate a new ATS Team with your firm.

Adding ATS Team Members

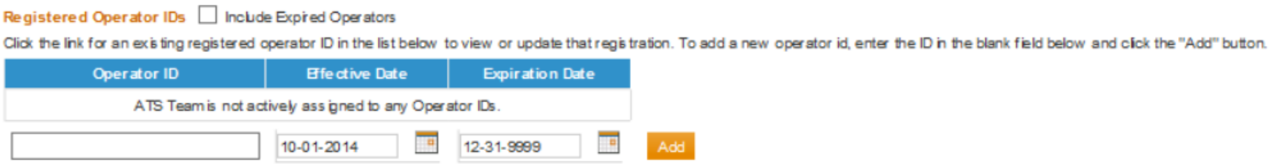
After adding a new ATS Team name, the screen will refresh to the **Add ATS Team** page with the ATS Team name pre-populated.

1. Enter the effective date, which defaults to the current date. The expiration date defaults to 12-31-9999 which reflects no expiration date.
2. In the **New Team Members** section, enter information for the team members.
   - A team must have at least two members with one designated as the Head Trader.
   - Starting with the Head Trader, input the first and/or last name in the field **Individual Name Contains**. You will not be required to enter a role for the Head Trader.
   - Select **Add Another Team Member** to create additional rows, or select **Add Team** when the team is complete.
   - If a team member's name does not appear in the dropdown, go to the **Individuals** menu to create the Individual.



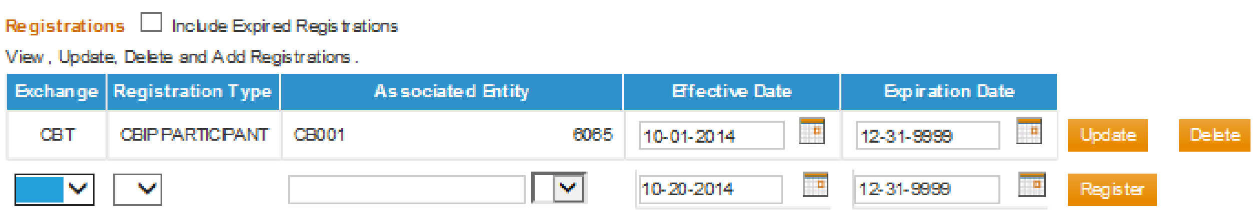
Registering an ATS Team Operator ID

1. Input the Operator ID (maximum of 18 characters).
2. Enter the Effective Date, which defaults to the current date. The expiration date defaults to 12-31-9999 which reflects no expiration date.
3. Click **Add** to continue.



4. The screen will refresh to display **Operator Details** as read-only text.

5. Proceed to the Registrations section to complete the fields for each applicable Exchange.
    - Select the Exchange, Registration Type and Associated Entity.
    - Use the status of the ATS Team Head Trader to determine the Registration Type.
        - See the User Manual for a complete list of Registration Types.
        - For ATS Team Head Traders who have been identified as Membership System Matches the Registration Type may be pre-populated but can be changed.
        - The lists available for selection will vary based on the Exchange or Registration Type selected.
6. Select **Register** to add information for the selected Exchange.
7. To add additional Exchanges, proceed to the next row, submit the required information and select **Register**.



Reports

The Reports Screen allows you to generate, customize, and retrieve a variety of reports for fees and fee discount programs. The reports run in EFS will help reconcile to a Firm"s CME Group monthly invoice.

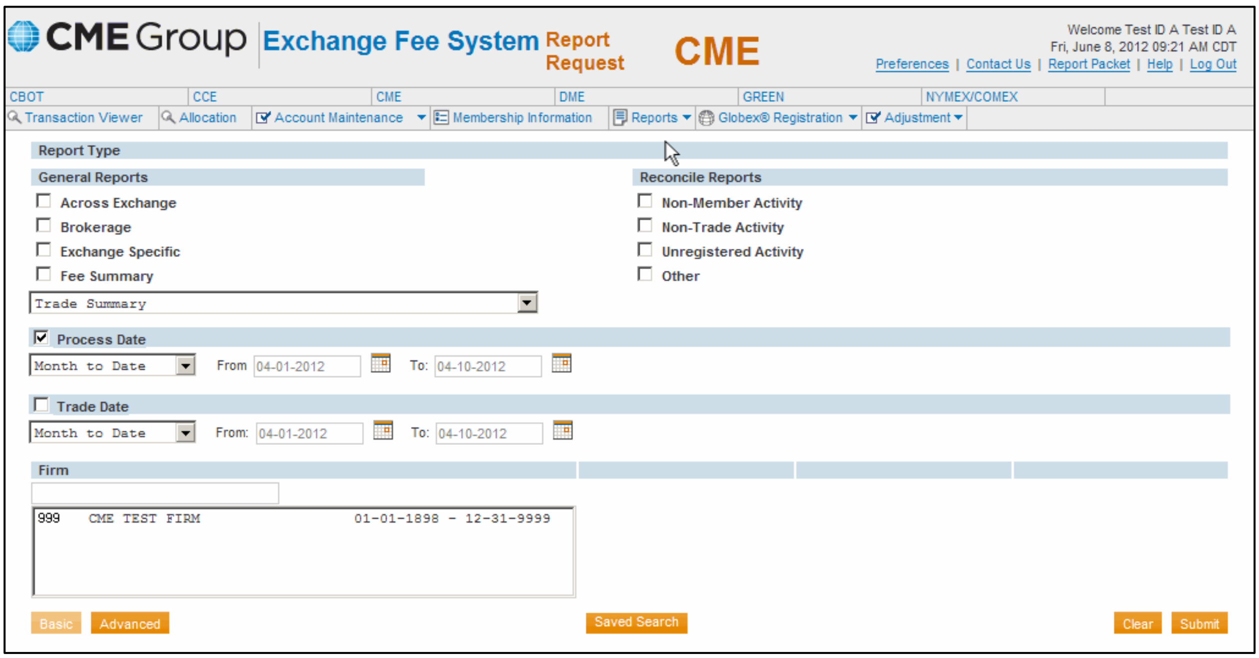
When Reports is selected, two sub-menu options appear.

Request – Select this option to request a report.

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

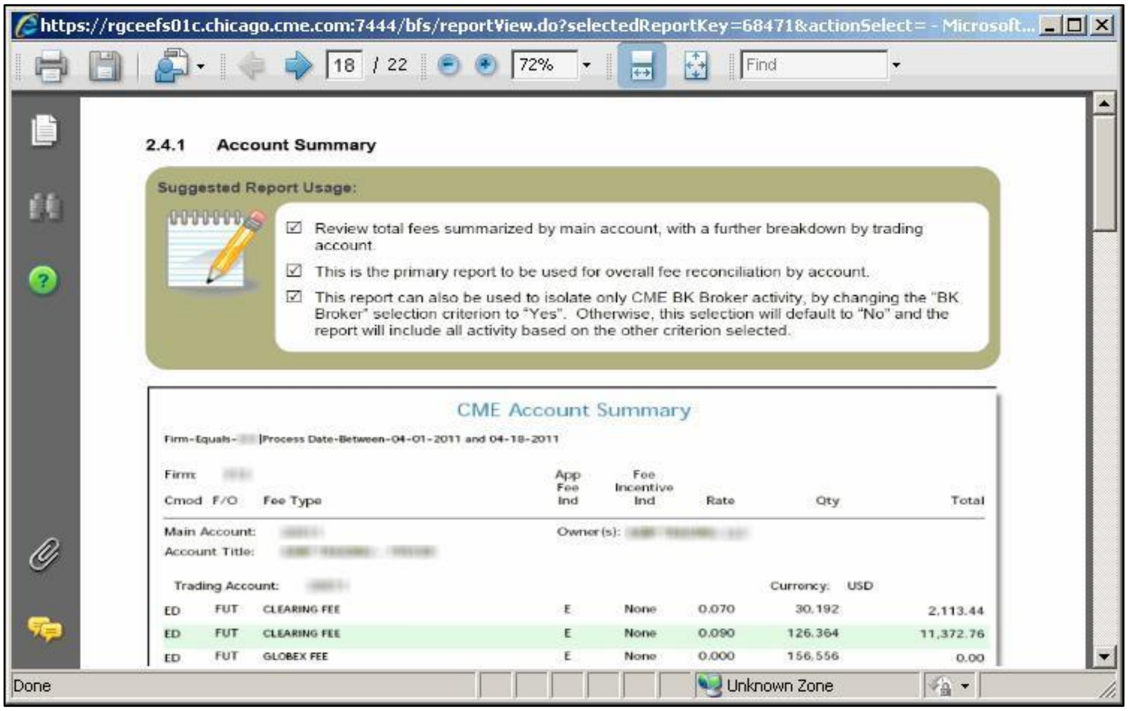
There are many pre-defined reports to choose from. Some reports offer Advanced Search options which allow you to customize reports.

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



Report Packet

The Report Packet provides an „*overview'* of the report suite available to assist in fee reconciliation. To access the Report Packet, click the Report Packet hyperlink in the top right corner of the screen. The Report Packet provides detailed descriptions of all the reports available, as well as key items to note when using the various reports.

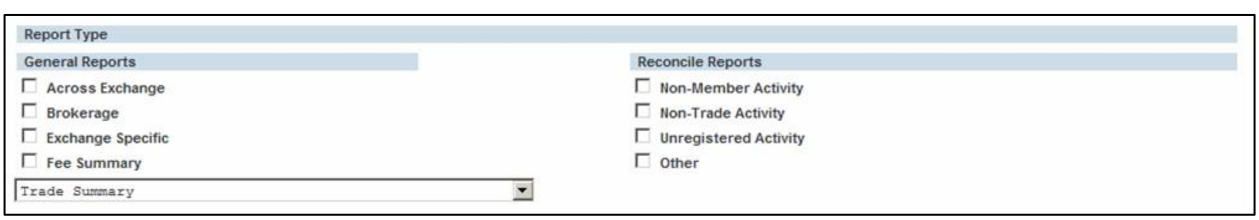


Report Types

There are several pre-defined reports to choose from the Report drop-down list. To limit the Report list, you may select the Report Type that contains the type of report you want to execute.

The main Report Type categories are:

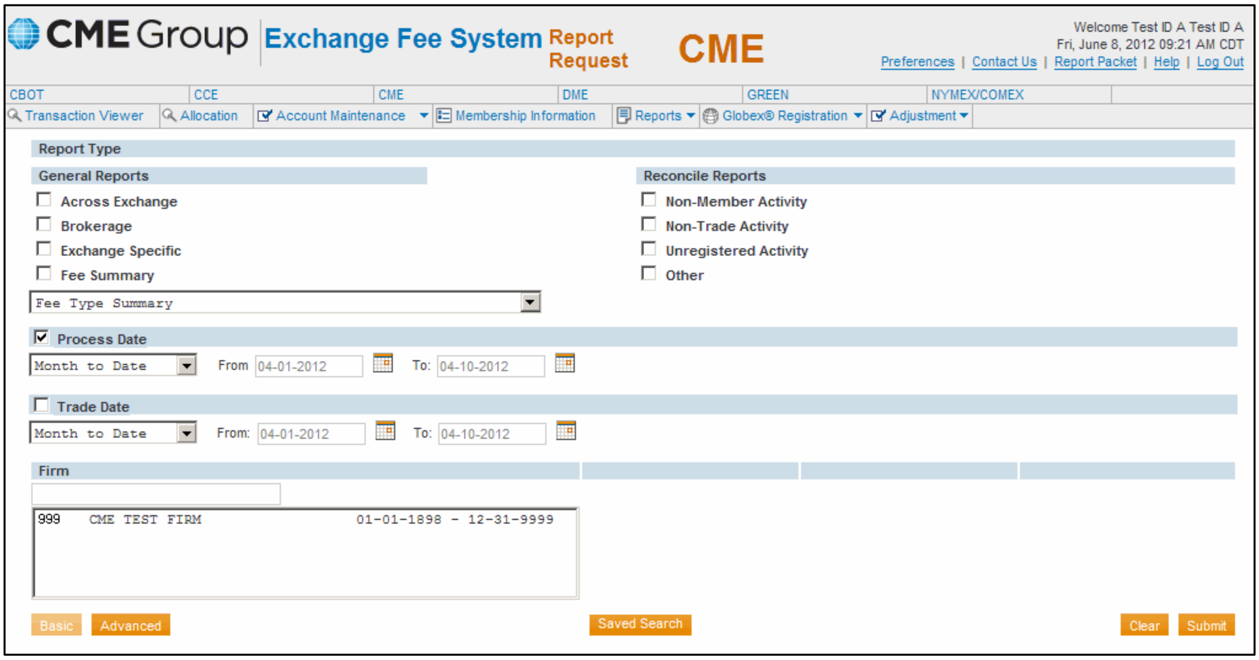
General Reports
Reconcile Reports



Request a Report

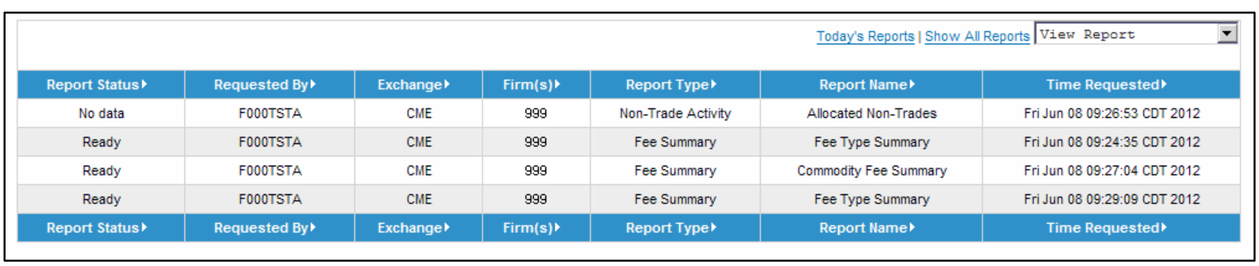
To request a report:

1. Select the checkbox next to the desired Report Type filter.
   When a Report Type filter is selected, the report drop-down list will immediately update to reflect only the reports within that Report Type.
2. Choose the report name from the report drop-down list.
3. Select the Process and/or Trade Date.
4. Click the Submit button to request the report.



Report Viewing

To access a submitted report, select Viewing from the Reports sub-menu. The Report Viewer window will appear displaying all the reports that have been submitted during the current day.



Today's Reports | Show All Reports | View Report

Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested
No data	F000TSTA	CME	999	Non-Trade Activity	Allocated Non-Trades	Fri Jun 08 09:26:53 CDT 2012
Ready	F000TSTA	CME	999	Fee Summary	Fee Type Summary	Fri Jun 08 09:24:35 CDT 2012
Ready	F000TSTA	CME	999	Fee Summary	Commodity Fee Summary	Fri Jun 08 09:27:04 CDT 2012
Ready	F000TSTA	CME	999	Fee Summary	Fee Type Summary	Fri Jun 08 09:29:09 CDT 2012
Report Status	Requested By	Exchange	Firm(s)	Report Type	Report Name	Time Requested

View Report

After selecting the line item for the appropriate report, a new window will open to display the report. Once Adobe Acrobat has completed loading 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 available.

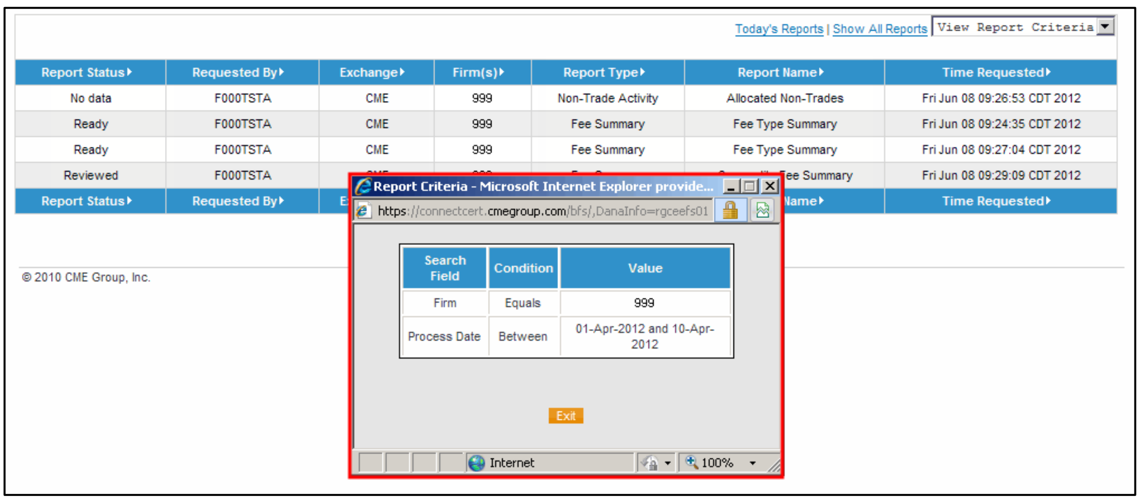
To view a report in the Report Viewer:

1. Select View Report from the action drop-down list.
2. Select the line item corresponding to the report to be viewed. A report will not be viewable unless the Report Status is "Ready" or "Reviewed".

View Report Criteria

To view the criteria entered for a report in the Report Viewer:

1. Select View Report Criteria from the action drop-down list.
2. Select the line item corresponding to the report to view the criteria. The Report Criteria window will display the criteria submitted for that report.
3. Close the Report Criteria window by selecting the Exit button or the close icon.



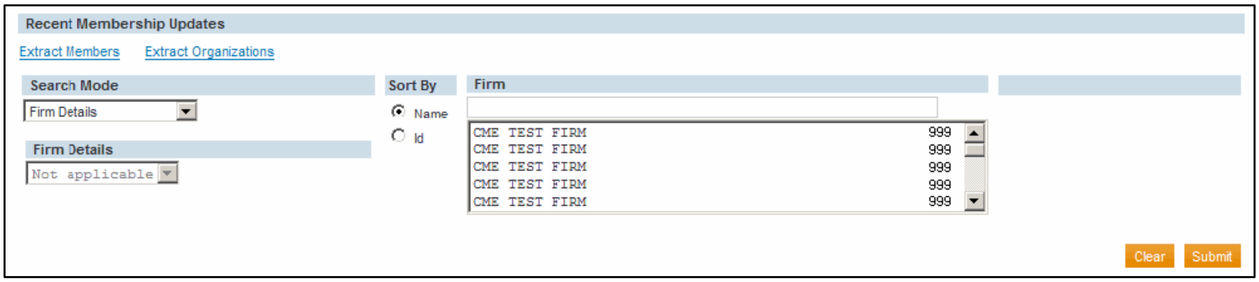
Extract Report

To extract a report from the Report Viewer:

1. Select Extract Report from the action drop-down list.
2. Select the line item corresponding to the report to be extracted.
3. A File Download message box will appear - click OPEN to open the file and the data will display in Notepad; click SAVE to save the report; or click CANCEL to exit.
4. If you select SAVE, a Save As box will appear to indicate where to save the file. Once indicating the location and File name, click Save. The file is saved in a tab delimited format and may be imported into any machine readable format such as MS Excel or MS Access.

Membership Information

The Membership Information screen displays Membership information for individual Members, Member Frms and incentive or corporate Membership programs. This screen displays the Membership status in each of the Membership divisions, the Effective and Expiration Dates associated with each change in Membership status, and all the Main Accounts for which the selected entity or individual is registered as the Account Owner, with the associated dates.



Search Mode

The first step is to select a search mode. You can search on all types by choosing the All selection, or search by categories. Categories may differ by Exchange as shown below, but the functionality is the same. In some cases there is a secondary filter available to streamline the search process. For example, if you select Incentive Programs a secondary filter will be available with the various incentive program categories.

To search for Membership Information:

1. Select a Search Mode from drop-down menu.
2. Where applicable, choose a secondary search filter.
3. Click the Submit button to retrieve the details.

Firm Details search results will return the following information:

Firm Details - Firm Name, Membership Status (details vary by Exchange), Effective and Expiration Dates.
Account Owners - Firm Name, Main Account ID, Effective and Expiration Dates.

Member Details search results will return the following information:

Broker Details - Broker Name, Broker Symbol, Effective and Expiration Dates, Membership Details (details vary by Exchange), Qualifying Firm ID and Name, Badge Firm ID and Name.
Account Owners - Firm Name, Main Account ID, Effective and Expiration Dates.
Account Controllers - Firm Name, Main Account ID, Effective and Expiration Dates.

Incentive Programs search results will return the following information:

Firm Details - Firm Name, Membership Details (details vary by Exchange), Effective and Expiration Dates.
Account Owners - Firm Name, Main Account ID, Effective and Expiration Dates.

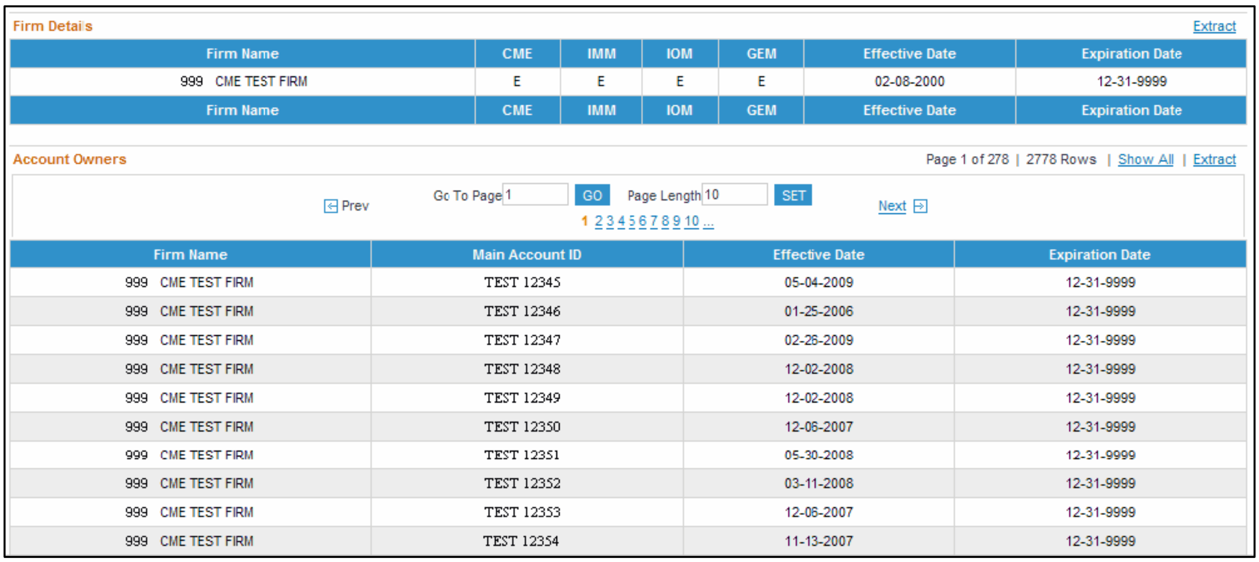
Corporate Membership search results will return the following information:

Firm Details - Firm Name, Membership Details, Effective and Expiration Dates.
Account Owners - Firm Name, Main Account ID, Effective and Expiration Dates

Search Results

The search results will be displayed below the Membership Information Search form with the following information:

- The Membership status in each of the Membership divisions;
- The Effective and Expiration Dates associated with each change in Membership status;
- The Account Owners section, reflecting all Main Accounts for which the selected entity or individual is registered as the Account Owner, with the associated Effective and Expiration Dates; and
- For individuals only, the Account Controllers section, reflecting all Main Accounts for which the selected individual is registered as the Account Controller, with the associated Effective and Expiration Dates.



Firm Details — Extract

Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date
999 CME TEST FIRM	E	E	E	E	02-08-2000	12-31-9999
Firm Name	CME	IMM	IOM	GEM	Effective Date	Expiration Date

Account Owners — Page 1 of 278 | 2778 Rows | Show All | Extract

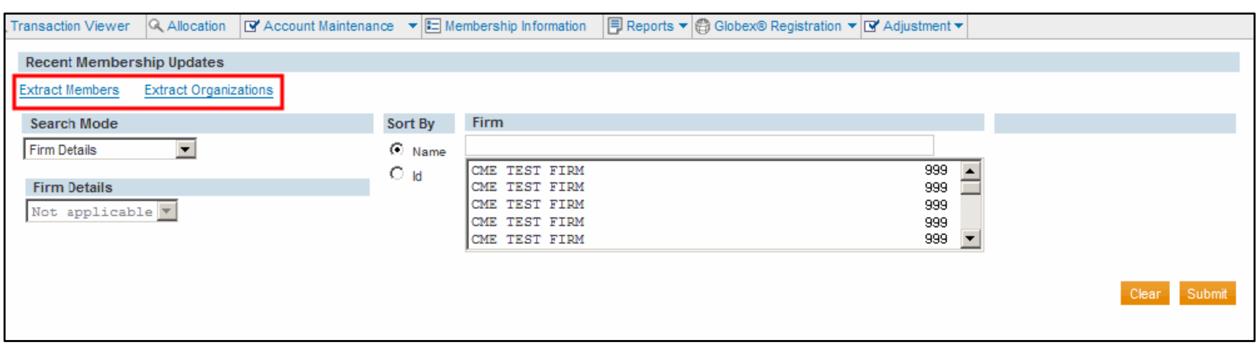
Prev — Go To Page 1 GO — Page Length 10 SET — Next

1 2 3 4 5 6 7 8 9 10 ...

Firm Name	Main Account ID	Effective Date	Expiration Date
999 CME TEST FIRM	TEST 12345	05-04-2009	12-31-9999
999 CME TEST FIRM	TEST 12346	01-25-2006	12-31-9999
999 CME TEST FIRM	TEST 12347	02-26-2009	12-31-9999
999 CME TEST FIRM	TEST 12348	12-02-2008	12-31-9999
999 CME TEST FIRM	TEST 12349	12-02-2008	12-31-9999
999 CME TEST FIRM	TEST 12350	12-06-2007	12-31-9999
999 CME TEST FIRM	TEST 12351	05-30-2008	12-31-9999
999 CME TEST FIRM	TEST 12352	03-11-2008	12-31-9999
999 CME TEST FIRM	TEST 12353	12-06-2007	12-31-9999
999 CME TEST FIRM	TEST 12354	11-13-2007	12-31-9999

Recent Membership Updates

For an extract of recent Membership updates (within the past 30 days), click on either the Extract Members or Extract Organizations hyperlink. The Extract Members link will provide an extract of recent updates for Individual Members, while the Extract Organizations link will provide an extract of recent updates for Member Firms and Incentive Program Participants. The extract provides the current and historical status for any individual/Firm whose status changed within the last 30 days.



Adjustment

The Adjustment screen allows you to add, edit and view manual fee adjustment requests. Manual fee adjustment requests are used only for scenarios that cannot be updated automatically within EFS. Any adjustment that CAN be processed through EFS MUST be processed through EFS. This section is for the exception cases only.

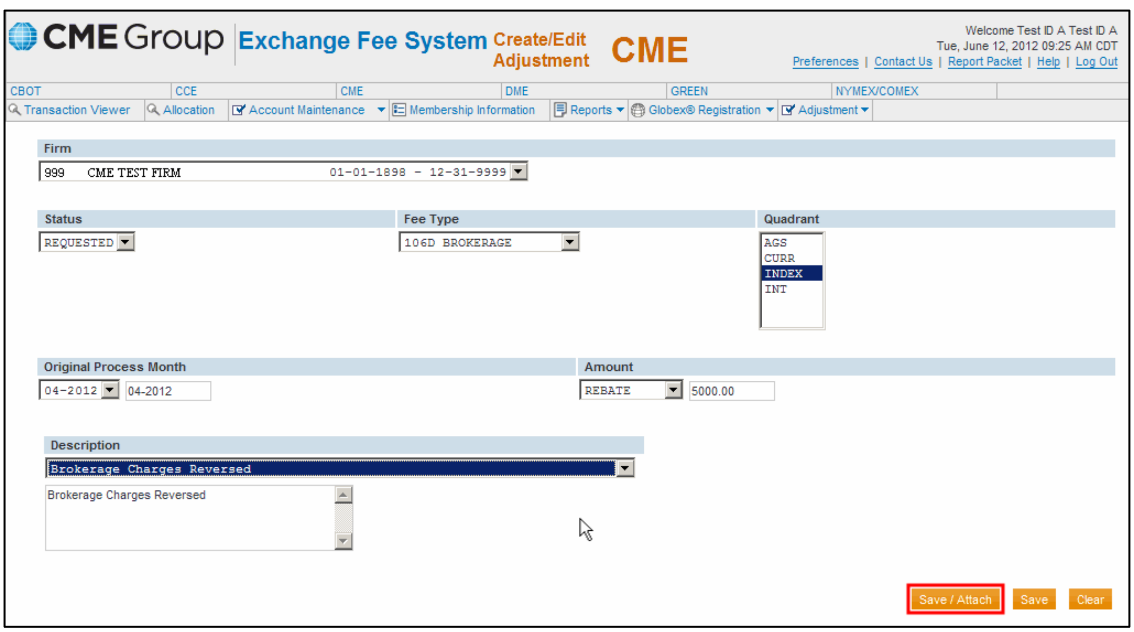
All adjustment requests are subject to the Adjustment Deadlines/Banking Schedule posted on the EFS Homepage and can only be submitted for the open adjustment period.

You are encouraged to complete the Adjustment template, located on each Exchange‟s Homepage, in order to provide the necessary supporting calculation for the adjustment request. Refer to the Adjustment Template Instructions, also located on each Exchange‟s Homepage, for assistance with completing the template.

Creating an Adjustment

To create an adjustment:

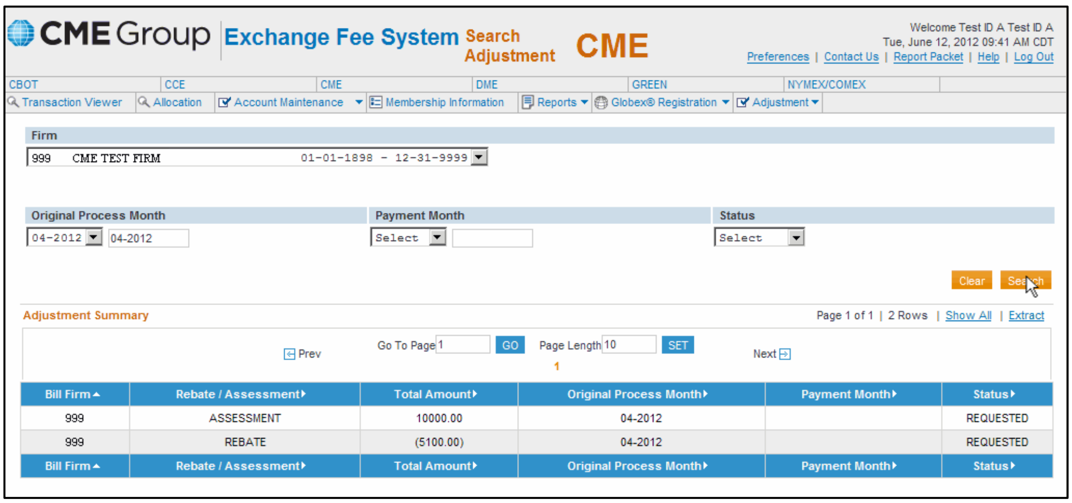
1. Select Create from the Adjustment sub menu.
2. Select the Firm.
3. Status will default to Requested.
4. Select the Fee Type.
5. Select the product Quadrant.
6. Select the Original Process Month (MM - YYYY).
7. Enter an Amount after selecting whether the adjustment represents a Rebate or Assessment.
8. Select a reason for the adjustment from the pre-populated drop-down list or type the reason in the Description text box.
9. To add an attachment click Save/Attach.



Searching for Fee Adjustments

To complete a search for an adjustment:

1. Select Search from the Adjustment sub menu.
2. Select the Firm.
3. Select the Original Process Month (MM - YYYY).
4. Select the Payment Month (YYYY-MM) (optional).
5. Select the Status (optional).
6. Click the Search button.
7. Select the Adjustment Summary line item to view the details of that adjustment.



Editing an Adjustment

To edit an adjustment:

1. Click the line item to edit.
2. Select Edit from the Select Action drop-down list.
3. Click the line item to edit in the Adjustment Detail section.
4. Upon being directed to the Create/Edit Adjustment screen, enter the updated information.
5. Click the Update button.
6. To add an attachment click the Attach button.