

## SCHEDULE 6

### CLEARING FIRM GUARANTEE AND ACKNOWLEDGEMENT

This Schedule 6 is being executed pursuant to the Customer Connection Agreement (the “Agreement”) between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. (“CME”) and \_\_\_\_\_ (“Clearing Firm”). Any capitalized terms not defined herein shall have the meaning set forth in Schedule 1 of the Agreement.

This Schedule contains the following Exhibits and Appendices:

Exhibit A:	CME Clearing Firm Guarantee and Acknowledgement
Exhibit B:	Participating Exchange Clearing Firm Guarantee and Acknowledgement (to be completed only if Customer seeks access to Products of a Participating Exchange)
Appendix 1:	CME Globex Interface Credit Control Certification Requirements
Exhibit C:	Globex Credit Control Service
Exhibit D:	Risk Management Interface Service (API access)
Exhibit E:	Risk Management Interface Service (GUI access)
Exhibit F:	CME Front-end Systems Pre-trade Risk Control Service

A customer of Clearing Firm (“Customer”) will be denied access to the CME Access Method and the CME Interfaces unless Clearing Firm has delivered to CME the applicable Exhibit containing the authorized signature of an officer of Clearing Firm. CME may restrict, suspend or terminate Customer’s access to the CME Access Method and the CME Interfaces at the direction of Clearing Firm.

**EXHIBIT A**  
**CME CLEARING FIRM GUARANTEE AND ACKNOWLEDGEMENT**

This Exhibit A is being executed pursuant to Schedule 6 of the Customer Connection Agreement (the "Agreement") between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. ("CME") and Clearing Firm. Any capitalized terms not defined herein shall have the meaning set forth in Schedules 1 and 6 of the Agreement.

Any information required to be provided in this Exhibit A shall be treated by CME in accordance with the CME privacy statement, which may be found at [www.cmegroup.com](http://www.cmegroup.com)

**Section I: Class A Clearing Firm Number Authorization**

CME Class A Firm Number(s): \_\_\_\_\_

Clearing Firm authorizes the CME to generate and distribute use of these Firm Number(s) to (i) establish software-logical connectivity with CME over all CME Access Methods, (ii) associate orders submitted over the CME Access Method for this Class A number and any Firm Numbers associated with this Class A number, and (iii) clear trades resulting from orders submitted over any CME Access Method with the Firm Numbers.

**Section II: Clearing Firm Authorization and Guarantee**

**A. The Clearing Firm authorizes (or removes authorization for) CME to grant requests for software connections, as outlined in Section I, for the individuals listed below. If you are authorizing individuals, please list at least two.**

ADD Authorizer  REMOVE Authorizer

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Country: \_\_\_\_\_ Zip/Postal Code : \_\_\_\_\_

Email: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Date of Birth : \_\_\_\_\_

Optional: Authorized Access for the following firm number(s): \_\_\_\_\_

\_\_\_\_\_

ADD Authorizer  REMOVE Authorizer

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Country: \_\_\_\_\_ Zip/Postal Code : \_\_\_\_\_

Email: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Date of Birth : \_\_\_\_\_

Optional: Authorized Access for the following firm number(s): \_\_\_\_\_

\_\_\_\_\_

ADD Authorizer

REMOVE Authorizer

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Country: \_\_\_\_\_ Zip/Postal Code : \_\_\_\_\_

Email: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Date of Birth : \_\_\_\_\_

*Optional:* Authorized Access for the following firm number(s): \_\_\_\_\_

\_\_\_\_\_

**B. Credit Controls and Security (CME Globex Interface Customers Only)**

Clearing Firm understands and agrees to implement the CME Globex Credit Control Certification Requirements set forth in Appendix 1 to this Schedule 6.

**C. Audit Trail and Record Retention (CME Globex Interface Customers Only)**

By authorizing connections via any CME Access Method, the Clearing Firm acknowledges that it is responsible for maintaining or causing to be maintained the order routing/front-end audit trail for all electronic orders, including order entry, modification, cancellation and responses to such messages (referred to as the “electronic audit trail”), entered into the Globex Platform through the CME iLink® gateway. This electronic audit trail must be maintained for a minimum of 5 years, and clearing members must have the ability to produce this data in a standard format.

This electronic audit trail must contain all order receipt, order entry, order modification, and response receipt times to the highest level of precision achievable by the operating system, but at least to the hundredth of a second. The times captured must not be able to be modified by the person entering the order. The data must also contain all Fix Tag information and fields which should include, but is not limited to the following:

A record of all fields relating to order entry, including transaction date, product, Exchange code, expiration month, quantity, order type, order qualifier, price, buy/sell indicator, stop/trigger price, order number, unique transaction number, account number, session ID, Tag 50 ID, host order number, trader order number, clearing member, type of action, action status code, customer type indicator, origin, and timestamps. For executed orders the audit trail must record the execution time of the trade along with all fill information.

In the case where the Guaranteeing Clearing Firm has a direct connect client that is another Clearing Firm or a Corporate Equity Member, the Clearing Firm may notify the client Clearing Firm or Corporate Equity Member that it is their obligation to maintain the electronic audit trail. Upon execution of this written notice, it shall be the duty of the client Clearing Firm or Corporate Equity Member to maintain an electronic audit trail pursuant to this rule.

**D. Clearing Firm Guarantee**

In addition to its obligations under the CME Rules, Clearing Firm agrees that it will be financially responsible for all Customer orders sent to the CME Interfaces via any CME approved Access Method (including via CME Globex Interface Direct, CME Globex Interface Data Center, CME Globex Trader – Direct or Internet, or CME EOS Trader) that contains the Firm Numbers and for clearing any trades that are matched as a result of such orders. Clearing Firm will be responsible to clear such trades even if the orders received via the CME Globex Interface Direct (i) were entered as a result of a failure in the security controls and/or credit controls, (ii) were entered by an unknown or unauthorized user, or (iii) exceeded Clearing Firm’s credit parameters.

**Clearing Firm and CME have caused this Exhibit A to be executed by their authorized representatives, to be effective as of the date executed by CME.**

<b>Clearing Firm</b>  By: _____ Name: _____ Title: _____ (Must be an authorized signatory) Date: _____	<b>Chicago Mercantile Exchange Inc.</b>  By: _____ Name: _____ Title: _____ (Must be an authorized signatory) Date: _____
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**Please return completed documentation to:**

**CME Global Account Management—North American Customers**  
20 S. Wacker Dr., 20 South  
Chicago, IL 60606  
Phone: (312) 634-8700  
Fax: (312) 634-1568  
globalaccountmanagement@cmegroup.com

**CME Global Account Management – European Customers**  
One New Change  
4<sup>th</sup> Floor  
London EC4M 9AF  
Phone: +44.20.3379.3754  
Fax: +44.20.3379.3888  
gamemea@cmegroup.com

**CME Global Account Management – Asian Customers**  
Singapore Land Tower  
50 Raffles Place #47-01  
Singapore 048623  
Fax: +65 6593 5575  
gamasia@cmegroup.com

**EXHIBIT B**

**PARTICIPATING EXCHANGE CLEARING FIRM  
GUARANTEE AND ACKNOWLEDGEMENT**

This Exhibit B is being executed pursuant to Schedule 6 of the Customer Connection Agreement (the "Agreement") between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. ("CME") and Clearing Firm. Any capitalized terms not defined herein shall have the meaning set forth in Schedules 1 and 6 of the Agreement.

<b>Section I: Class A Clearing Firm Number Authorization</b>
The Clearing Firm and Participating Exchange Clearing Firm Agree to the following cross-mapping of clearing numbers for trading products on Participating Exchanges.
ADD Mapping <input type="checkbox"/> REMOVE Mapping <input type="checkbox"/>

**Participating Exchange Clearing Numbers**

CME Globex Executing Number	BMD	CBOT	CME	COMEX	DME	GreenX	KCBT	MGEX	NYMEX

<b>Section II: Clearing Firm Authorization and Guarantee</b>
<b>A. Credit Controls and Security (CME Globex Interface Customers Only)</b>
Clearing Firm understands and agrees to implement the CME Globex Credit Control Certification Requirements set forth in Appendix 1 to this Schedule 6 for Products that are cleared by CME. For any Product that is cleared by a Participating Exchange, Clearing Firm shall implement the credit control certification requirements of such Participating Exchange, if any.

**B. Audit Trail and Record Retention (*Globex Interface Customers Only*)**

By authorizing connections via any CME Access Method, the Clearing Firm acknowledges that it is responsible for maintaining or causing to be maintained the order routing/front-end audit trail for all electronic orders, including order entry, modification, cancellation and responses to such messages (referred to as the “electronic audit trail”), entered into the Globex platform through the CME iLink® gateway. This electronic audit trail must be maintained for a minimum of 5 years, and clearing members must have the ability to produce this data in a standard format.

This electronic audit trail must contain all order receipt, order entry, order modification, and response receipt times to the highest level of precision achievable by the operating system, but at least to the hundredth of a second. The times captured must not be able to be modified by the person entering the order. The data must also contain all Fix Tag information and fields which should include, but is not limited to the following:

A record of all fields relating to order entry, including transaction date, product, Exchange code, expiration month, quantity, order type, order qualifier, price, buy/sell indicator, stop/trigger price, order number, unique transaction number, account number, session ID, Tag 50 ID, host order number, trader order number, clearing member, type of action, action status code, customer type indicator, origin, and timestamps. For executed orders the audit trail must record the execution time of the trade along with all fill information.

In the case where the Guaranteeing Clearing Firm has a direct connect client that is another Clearing Firm or a Corporate Equity Member, the Clearing Firm may notify the client Clearing Firm or Corporate Equity Member that it is their obligation to maintain the electronic audit trail. Upon execution of this written notice, it shall be the duty of the client Clearing Firm or Corporate Equity Member to maintain an electronic audit trail pursuant to this rule.

**C. Clearing Firm Guarantee**

In addition to its obligations under the CME Rules, Clearing Firm agrees that it will be financially responsible for all Customer orders sent to the CME Interfaces via any CME approved CME Access Method (including via CME Globex Interface Direct, CME Globex Interface Data Center, or CME EOS Trader) that contains the Firm Numbers and for clearing any trades that are matched as a result of such orders. Clearing Firm will be responsible to clear such trades even if the orders received via the CME Globex Interface Direct (i) were entered as a result of a failure in the security controls and/or credit controls, (ii) were entered by an unknown or unauthorized user, or (iii) exceeded Clearing Firm’s credit parameters.

**Clearing Firm, CME and Participating Exchange have caused this Exhibit B to be executed by their authorized representatives, to be effective as of the date executed by CME.**

**CME Clearing Firm**

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
(Must be an authorized Signatory)  
Date: \_\_\_\_\_

**Participating Exchange Clearing Firm**

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
(Must be an authorized Signatory)  
Date: \_\_\_\_\_

**Chicago Mercantile Exchange Inc.**

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

**Participating Exchange**

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

**Please return completed documentation to:**

**CME Global Account Management—North American Customers**  
20 S. Wacker Dr., 20 South  
Chicago, IL 60606  
Phone: (312) 634-8700  
Fax: (312) 634-1568  
globalaccountmanagement@cmegroup.com

**CME Global Account Management – European Customers**  
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London EC4M 9AF  
Phone: +44.20.3379.3754  
Fax: +44.20.3379.3888  
gamemea@cmegroup.com

**CME Global Account Management – Asian Customers**  
Singapore Land Tower  
50 Raffles Place #47-01  
Singapore 048623  
Fax: +65 6593 5575  
gamasia@cmegroup.com

**APPENDIX 1  
TO SCHEDULE 6**

**CME GLOBEX INTERFACE  
CREDIT CONTROL CERTIFICATION REQUIREMENTS**

The credit controls for systems routing orders to the CME Globex Platform via CME Globex Interface Direct or CME Globex Interface Data Center must satisfy all four of the following major criteria.

**1. Separation Between Trading and Credit Control Functions**

The system must support strict separation between trading and credit control functions. The credit control function must reside with an authorized administrator that is separate from the traders. Traders must not be able to adjust or control the credit control parameters and they must not be able to adjust calculated gains, losses, exposures, or position size amounts (except through trading activity).

**2. Clearing Firm Control -** The Clearing Firm must be able to control the credit control system:

- The Clearing Firm must be able to set the credit control parameters, such as trade quantity limits, position limits, exposure limits, loss limits, and eligible products and instruments.
- The Clearing Firm must either be able to set these credit control parameters directly through its own terminals, or it must be able to monitor these parameters in detail, in real time, and on demand through its own terminals.
- The Clearing Firm must be able to adjust credit control values and parameters in real time during a trading session.

**3. Pre-Execution Controls**

- The Clearing Firm must be able to set controls to accept or reject a trader's or account's orders before the API passes those orders to the matching engine, either through automated credit controls or by requiring a Clearing Firm employee to take action to accept such orders.

**4. Control Access to Order Routing**

The Clearing Firm must be able to revoke a trader's access to the electronic order routing technology.

If you have questions about the Credit Control Certification Requirements, please call [\(312\) 648-3888](tel:3126483888).

**EXHIBIT C**  
**GLOBEX CREDIT CONTROL SERVICE**

This Exhibit C is being executed pursuant to Schedule 6 of the Customer Connection Agreement (the “Agreement”) between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. (“CME”) and \_\_\_\_\_ (“Clearing Firm”). Any capitalized terms not defined herein shall have the meaning set forth in Schedules 1 and 6 of the Agreement.

“Globex Credit Control Service” means Clearing Firm’s use of Globex functionality to reject inbound orders and cancel resting day orders and quotes that increase risk at a Globex executing firm level from the time at which a Clearing Firm-defined risk threshold has been reached. Clearing Firm shall define a maximum dollar value credit limit for both futures and options by means of a CME-sponsored interface. Clearing Firm may change the risk threshold value for one or more Globex executing firms. If a Clearing Firm defined risk threshold is triggered, all resting orders and quotes for that Globex executing firm that are deemed to increase risk, as determined solely by CME, shall be cancelled and all new orders for that Globex executing firm that are interpreted as increasing risk shall be rejected. Clearing Firm must define the risk threshold value as provided by the CME-sponsored interface. Clearing Firm is responsible to manually reset threshold levels if they manually trigger risk thresholds.

Globex Credit Control Service is available to Clearing Members for Globex listed products for the following exchanges: CME, CBOT, NYMEX, COMEX, MGEX, KCBT, DME, Bursa Malaysia and Green Exchange.

Globex Credit Control Service is intended to be used only as a back-up system to Clearing Firm’s internal risk monitoring and credit control procedures. Globex Credit Control Service may reject or cancel orders submitted for Globex executing firms that have not exceeded credit limits if multiple Session IDs are associated with a single Globex executing firm ID.

Limitation of Liability for Credit Control Service

NOTWITHSTANDING SECTION 9 OF THE AGREEMENT, CME AND PARTICIPATING EXCHANGES, INCLUDING DIRECTORS, OFFICERS AND EMPLOYEES OF CME AND PARTICIPATING EXCHANGES, SHALL NOT BE LIABLE TO ANY PERSON FOR ANY LOSSES, DAMAGES, COSTS OR EXPENSES, INCLUDING, BUT NOT LIMITED TO, LOSS OF PROFITS, LOSS OF USE, AND DIRECT, INDIRECT, INCIDENTAL, CONSEQUENTIAL OR PUNITIVE DAMAGES, ARISING FROM OR IN ANY WAY RELATING TO CUSTOMER’S USE OF GLOBEX CREDIT CONTROL SERVICE.

**Clearing Firm hereby authorizes CME to grant (or remove) the following individuals access to the Globex Credit Controls GUI using the following Clearing Firm Number(s). Please indicate your Clearing Firm Number(s) and, if you are authorizing individuals, list at least two.**

**Clearing Firm:** \_\_\_\_\_

ADD  REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

ADD  REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

**Clearing Firm has caused this Exhibit C to be executed by its authorized representative, to be effective as of the date received by CME.**

**Clearing Firm**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

(Must be an authorized Signatory)

Date: \_\_\_\_\_

**Please return completed documentation to:**

**CME Global Account Management—North American Customers**

20 S. Wacker Dr., 20 South  
Chicago, IL 60606  
Phone: (312) 634-8700  
Fax: (312) 634-1568  
globalaccountmanagement@cmegroup.com

**CME Global Account Management – European Customers**

One New Change  
4<sup>th</sup> Floor  
London EC4M 9AF  
Phone: +44.20.3379.3754  
Fax: +44.20.3379.3888  
gamemea@cmegroup.com

**CME Global Account Management – Asian Customers**

Singapore Land Tower  
50 Raffles Place #47-01  
Singapore 048623  
Fax: +65 6593 5575  
gamasia@cmegroup.com

**EXHIBIT D**  
**RISK MANAGEMENT INTERFACE SERVICE**  
**(API access request form)**

This Exhibit D of Schedule 6 is being executed pursuant to the Customer Connection Agreement (the “Agreement”) between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. (“CME”) and \_\_\_\_\_ (“Clearing Firm”). Any capitalized terms not defined herein shall have the meaning set forth in Schedule 1 of the Agreement.

“Risk Management Interface” or “RMI Service” is an interface that allows Customer Authorized Users and systems to submit access management messages to the CME Globex Platform. In the future, RMI Service will allow Customer Authorized Users and systems to submit order cancellations to the CME Globex Platform. RMI Service is available to Clearing Firms who provide clearing services for customers trading on the CME Globex Platform.

**Limitation of Liability for RMI Service**

NOTWITHSTANDING SECTION 9 OF THE AGREEMENT, CME SHALL NOT BE LIABLE TO ANY PERSON FOR ANY LOSSES, DAMAGES, COSTS OR EXPENSES, INCLUDING, BUT NOT LIMITED TO, LOSS OF PROFITS, LOSS OF USE, AND DIRECT, INDIRECT, INCIDENTAL, CONSEQUENTIAL OR PUNITIVE DAMAGES, ARISING FROM CUSTOMER’S USE OF RMI.

Clearing Firms who wish to order RMI must review this entire Schedule and provide all applicable information where requested. Any changes to this Schedule after execution by Clearing Firm must be completed on a new Schedule executed by Clearing Firm.

**Clearing Firm hereby authorizes CME to create a login that will allow Clearing Firm, or a third-party designated by Clearing Firm, access to the Risk Management Interface API using the following Clearing Firm Number(s). Please indicate your Clearing Firm Number(s) and indicate at least one person responsible for the login ID (“Responsible Party”). CME will distribute RMI API login ID and password to the Responsible Party(s).**

**ADD NEW API SERVICE AND ASSOCIATED CONTACTS**

**Clearing Firm Number:** \_\_\_\_\_

**Company :** \_\_\_\_\_

**Responsible Party(s)**

**First Name:** \_\_\_\_\_

**Last Name:** \_\_\_\_\_

**Smart Click ID:** \_\_\_\_\_

**Token:** \_\_\_\_\_

**First Name:** \_\_\_\_\_

**Last Name:** \_\_\_\_\_

**Smart Click ID:** \_\_\_\_\_

**Token:** \_\_\_\_\_

**REMOVE API SERVICE AND ASSOCIATED CONTACTS**

**RMI API ID:** \_\_\_\_\_

**ADD/REMOVE CONTACTS FOR EXISTING API ID:**

**RMI API ID:** \_\_\_\_\_

**ADD**       **REMOVE**

**Responsible Party**

**First Name:** \_\_\_\_\_

**Last Name:** \_\_\_\_\_

**Smart Click ID:** \_\_\_\_\_

**Token (not required for removal):** \_\_\_\_\_

**Clearing Firm has caused this Exhibit D to be executed by its authorized representative, to be effective as of the date received by CME.**

**Clearing Firm**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_  
(Must be an authorized signatory)

Date: \_\_\_\_\_

**Please return completed documentation to:**

**CME Global Account Management—North American Customers**

20 S. Wacker Dr., 20 South  
Chicago, IL 60606  
Phone: (312) 634-8700  
Fax: (312) 634-1568  
[globalaccountmanagement@cmegroup.com](mailto:globalaccountmanagement@cmegroup.com)

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London EC4M 9AF  
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Fax: +44.20.3379.3888  
[gamemea@cmegroup.com](mailto:gamemea@cmegroup.com)

**CME Global Account Management – Asian Customers**

Singapore Land Tower  
50 Raffles Place #47-01  
Singapore 048623  
Fax: +65 6593 5575  
[gamasia@cmegroup.com](mailto:gamasia@cmegroup.com)

**EXHIBIT E**  
**RISK MANAGEMENT INTERFACE SERVICE**  
**(GUI access request form)**

This Exhibit E of Schedule 6 is being executed pursuant to the Customer Connection Agreement (the “Agreement”) between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. (“CME”) and \_\_\_\_\_ (“Clearing Firm”). Any capitalized terms not defined herein shall have the meaning set forth in Schedule 1 of the Agreement.

“Risk Management Interface” or “RMI Service” is an interface that allows Customer Authorized Users and systems to submit access management messages to the CME Globex Platform. In the future, RMI Service will allow Customer Authorized Users and systems to submit order cancellations to the CME Globex Platform. RMI Service is available to Clearing Firms who provide clearing services for customers trading on the CME Globex Platform.

Limitation of Liability for RMI Service

NOTWITHSTANDING SECTION 9 OF THE AGREEMENT, CME SHALL NOT BE LIABLE TO ANY PERSON FOR ANY LOSSES, DAMAGES, COSTS OR EXPENSES, INCLUDING, BUT NOT LIMITED TO, LOSS OF PROFITS, LOSS OF USE, AND DIRECT, INDIRECT, INCIDENTAL, CONSEQUENTIAL OR PUNITIVE DAMAGES, ARISING FROM CUSTOMER’S USE OF RMI.

Clearing Firms who wish to order RMI must review this entire Schedule and provide all applicable information where requested. Any changes to this Schedule after execution by Clearing Firm must be completed on a new Schedule executed by Clearing Firm.

**Clearing Firm hereby authorizes CME to grant (or remove) the following individuals access to the Risk Management Interface GUI using the following Clearing Firm Number(s). Please indicate your Clearing Firm Number(s) and if you are authorizing individuals, list at least two.**

**Clearing Firm:** \_\_\_\_\_

ADD

REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

ADD

REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

**Clearing Firm has caused this Exhibit E to be executed by its authorized representative, to be effective as of the date received by CME.**

**Clearing Firm**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

(Must be an authorized Signatory)

Date: \_\_\_\_\_

**Please return completed documentation to:**

**CME Global Account Management—North American Customers**

20 S. Wacker Dr., 20 South  
Chicago, IL 60606  
Phone: (312) 634-8700  
Fax: (312) 634-1568  
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50 Raffles Place #47-01  
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Fax: +65 6593 5575  
gamasia@cmegroup.com

**EXHIBIT F**  
**CME FRONT-END SYSTEMS PRE-TRADE RISK CONTROL SERVICE**

This Exhibit F of Schedule 6 is being executed pursuant to the Customer Connection Agreement (the “Agreement”) between CHICAGO MERCANTILE EXCHANGE INC., a Delaware corporation with its principal place of business at 20 South Wacker Drive, Chicago, Illinois 60606, U.S.A. (“CME”) and \_\_\_\_\_ (“Clearing Firm”). Any capitalized terms not defined herein shall have the meaning set forth in Schedule 1 of the Agreement.

“CME Front-end Systems Pre-trade Risk Control Service” or “Pre-trade Risk Control Service” is an interface that allows Customer Authorized Users to set and manage risk controls on accounts registered in CME Account Manager to trade on the CME Globex Platform via CME Direct software. Pre-trade Risk Control Service is only available to Clearing Firms who provide clearing services for the CME Globex platform via CME Direct.

Limitation of Liability for Pre-trade Risk Control Service

NOTWITHSTANDING SECTION 9 OF THE AGREEMENT, CME SHALL NOT BE LIABLE TO ANY PERSON FOR ANY LOSSES, DAMAGES, COSTS OR EXPENSES, INCLUDING, BUT NOT LIMITED TO, LOSS OF PROFITS, LOSS OF USE, AND DIRECT, INDIRECT, INCIDENTAL, CONSEQUENTIAL OR PUNITIVE DAMAGES, ARISING FROM CUSTOMER’S USE OF THE PRE-TRADE RISK CONTROL SERVICE.

Clearing Firms who wish to enable Pre-trade Credit Controls for CME Direct must review this entire Schedule and provide all applicable information where requested. Any changes to this Schedule after execution by Clearing Firm must be completed on a new Schedule executed by Clearing Firm.

**Clearing Firm hereby authorizes CME to grant (or remove) the following individuals access to the Pre-trade Credit Control Service using the following Clearing Firm Number(s). Please indicate your Clearing Firm Number(s) and if you are authorizing individuals, list at least two.**

**Clearing Firm:** \_\_\_\_\_

ADD

REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

ADD

REMOVE

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Smart Click User ID: \_\_\_\_\_ Smart Click Token: \_\_\_\_\_

**Clearing Firm has caused this Exhibit F to be executed by its authorized representative, to be effective as of the date received by CME.**

**Clearing Firm**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

(Must be an authorized Signatory)

Date: \_\_\_\_\_

**Please return completed documentation to:**

**CME Global Account Management—North American Customers**

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