CME Group

Market Data Scope of Use

Please complete this Scope of Use to enable CME Group to understand your licensing requirements.

Send all documentation via email to the Global Account Manager (GAM) in your region; or for questions, contact:

- **CME Americas GAM Team:** marketdata@cmegroup.com+1 312 634 8395
- **CME EMEAGAM Team:** marketdataEMEA@cmegroup.com +44 20 3379 3754
- **CME APAC GAM Team:** marketdataapac@cmegroup.com +65 6593 5505

Be aware of the following classifications when completing this form:

- Distributor**:** The entity wishing to enter into the Market Data License Agreement to receive and use Information for internal purposes and to distribute Information, as applicable.
- Subscriber**:** Any party (other than a Sub-Vendor or Service Facilitator) receiving Information from any member of Distributor's Group under the terms of a Subscriber Agreement.

Refer to the MDLA for further clarification of any terms contained herein.

Customer Contact Information – Preparer of the Scope	
Distributor Name:	
Contact Name:	
Contact Title:	
Email:	
Phone:	
Distributor's Website:	

Identify the business activities of the Distributor: (check all that apply)	
Asset Manager	Exchange
Hedge Fund/ Commodity Trading Advisor	News/Media
Bank	Commercial
Intermediary (Brokerage, FCM, IB)	Independent Software Vendor (ISV)/Quote Vendor
Data Center/Network Service Provider	Proprietary Trading Firm
Other (please describe)	

Provide a **general description of your firm** including:

- number of employees
- business locations
- business activities
- type of customers and the services provided.

1. Receipt of Information

Connectivity/Method of Access (Check all that apply)
Direct From CME Group
From a Vendor

Please provide details:

Name of Vendor:	
Name of Vendor Service:	
Vendor contact:	
Vendor phone:	
Vendor email address:	

For each Vendor identified above, list the destination address(es) for each connection (Street, City/Providence, Country).

2. Use of Information

Describe how market data is distributed within your firm or externally upon receipt of data. Include all components (feed handlers, servers, entitlement systems, directories, etc.) that receive, route and/or control the information including the applications/systems that eventually consume the information. These applications/systems, once licensed, are referred to as "Services" in the MDLA.

In the grid below, identify each "Service" that consumes market data. Complete all columns for each Service (examples are provided within the grid):

- Globex Certified: application has completed certification through AutoCert+(CME Globex Certification Platform).
- Internal – use of market data by employees of the Distributor/Distributor's Group.
- External – use of market data by non-employees of the Distributor/Distributor's Group.
- Display/Non-Display/Both – visual human access to market data vs. machine access. If you have a system with components in both categories, please list each as separate Service. See Schedule 4 for definitions, details and restrictions.
- How is data used within the Service – charting, analytics, point and click trading, automated trading, risk management, P&L calculations, portfolio valuations, etc.
- Real Time/Delayed/Historical/EOD – see definitions in the MDLA.
- Information Product – select each Information Product; Exchange (CME, CBOT, NYMEX, COMEX, DME) or Index data (S&P Cash Indices) used within the Service.

Vendor/Distributor	Name of Service (MD Application)	Certified	Timing	Device Type	Exchange	Distribution Type	Usage	Entitlement System Name & Version

Vendor/Distributor	Name of Service (MD Application)	Certified	Data Type	Device Type	Exchange	Distribution	Usage	Entitlement System Name & Version

Vendor/Distributor	Name of Service (MD Application)	Certified	Data Type	Device Type	Exchange	Distribution	Usage	Entitlement System Name & Version

Vendor/Distributor	Name of Service (MD Application)	Certified	Data Type	Device Type	Exchange	Distribution	Usage	Entitlement System Name & Version

Screen-shots

Please attach screen shots showing market data in all display Services listed above.

Check this box to confirm that you have included these screen shots.

Data Flow Architecture Overview

On a separate page, please attach a detailed diagram of the market data architecture, including all components identified above, and Services described in the grid above. This should include the flow of data from the source—through your internal components—and delivery to the Services. It should include entitlement system and any other mechanism used for internal controls.

Please select which subscribers will have access to the data:

Internal Users	External Subscribers
Analysts	Analysts
Developers	Developers
Operations/Support	Operations/Support
Risk Managers	Risk Managers
Sales/Client Services	Sales/Client Services
Traders	Traders
Other (please describe below)	Other (please describe below)

3. Entitlements & Controls

The MDLA requires Distributors to have effective Internal Controls that administer market data access.

Access to Information within Distributor's Service(s) must be identified, recorded, and controlled by Unit of Count as outlined in Schedule 4 Market Data Policies, Section 6: The appropriate Unit(s) of Count is(are) applicable based on the Service(s) provided by the Distributor. Any unit with an entitlement, that is enabled for access to Information at any time during the relevant month, must be recorded (regardless of actual use/login). Examples include Device, Site Access, Web Sites, Wallboard, Information Board. Fees are calculated on the basis of the number of applicable Units of Count.

Please complete this section by describing the systems, rules, procedures, authorizations, and policies used by your firm to control access to market data.

Do you have a proprietary or third party market data entitlement system?

Proprietary

Third Party

Both Proprietary and Third Party

For each entitlement system listed for Services categorized as Display in the grid in [Section 2](#), answer questions 1-10 and 16.

For Services categorized as Non-Display, answer questions 13-15; answer these questions for each entitlement system.

1. How is market data access configured within your entitlement system, by Exchange, Product, Asset Class, Market Data Multicast Channel, other? Reporting is required at the Information Product level; exchange or index data level. Therefore, if market data is not configured by exchange, how do you map/consolidate to identify exchange level?

2. How are User ID/Password created for each Service; provide the steps taken to create the User ID?

3. Once the User ID is created, how is the Information Product enabled to the new User ID? Are market data access and order entry access permissioned together or separately?

4. If you indicated external distribution in Section 2 of this document, how do you administer Subscriber Agreements?

5. If you indicated external distribution in Section 2 of this document, how do you administer the Non-Professional Self Certification forms?

6. How is access/permission to Information Products modified? Please describe the process and steps taken within your entitlement system to modify access.

7. How is access/permission to Information Products removed for terminated users? Please describe the process and steps taken within your entitlement system to modify access.

8. Is simultaneous access permitted on the Service?   Yes   No

   Simultaneous access means the same user can login to the same Service multiple times simultaneously using the same User ID from multiple devices; e.g. Mobile and Desktop.

9. If yes, how is *each* access accounted for (entitled, reported and recorded) in your system?

10. The following data elements are required elements, please provide detail on what elements are captured by your system (related to user and the Subscriber):

    i.   Subscriber Information must be reported in English

    ii. Subscriber Name must be included

    iii. Location IDs must be provided (unique identifier for each Subscriber Location)

    iv.   Location information includes full address, number, street name, city, state/province, postal code and country. Fields are validated for accuracy:

11. Are you using an inventory management system? An inventory management system is a software application that aggregates market data entitlement information from different entitlement systems, e.g. where customers use different ISV solutions with their own entitlements.

12. Explain the relationship between the entitlement system and the inventory management system.

13. In support of your Non-Display application, if market data is accessible by users, how do users access market data? Also complete questions 1-9.

14. How is the Non-Display Service monitored, supported and operated?

15. Do these users supporting the Non-Display application have access to market data? If yes, explain?

16. As defined in the MDLA, effective Internal Controls are required, and Distributor must maintain auditable evidence of the operation of those Internal Controls. For audit purposes you are required to maintain records of the operational activities and data points described above. Please describe how you are able to meet these requirements.

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4. Reporting

All use and/or distribution of Information within the Distributor's approved Service(s) is subject to reporting requirements as specified in Schedule 4, *Section 10 of the MDLA, Distributor will be required to report their market data monthly.* Any unit with an entitlement, that is enabled for access to Information at any time during the relevant month, must be reported (regardless of actual use/login).

Please check the following boxes to acknowledge your requirements related to reporting:

> All reporting is in the English language. Comply with policy subscriber information (name, address, city/state/province/country).

How are you able to generate reports from each entitlement system identified in the grid above, and including the data elements described in Section 3, question 10 above?

Please indicate which accepted format you will use to submit these reports to CME Group on a monthly basis. All formats are accepted through the Data Services Platform.

	Data Services Platform	FTP
Manual Entry Through WEB FORM		N/A
CME Provided Excel Template		
VARS		
VRXML		

For additional information about CME Group's reporting requirements, please reference Schedule 4 Section 10 of the MDLA, or visit Manage Your Account on cmegroup.com for details on the reporting system.