Procedure to Submit Clearing Exception Documents

Step 1:

Select "Submit Document" under Submit tab.

Step 2:

Browse and select the document to be uploaded and enter the required information as detailed below.

Description of the fields:

Document Type

Click on the drop down to select the type of document to be uploaded. CME SDR provides for following clearing exception documents –

- End-user exception (For Swap by Swap End-user Exception document)
- Inter-affiliate exception (For Swap by Swap Inter-affiliate document)
- Annual End-user exception (For Annual End-user exception document)

Other document types supported are –

- Confirmation
- Bespoke

Submit Exception/Other Document

Click on Browse to select the document to be uploaded for the selected document type

Enter USI|Enter USI Namespace

In case of Swap by Swap exception document enter the USI and the USI Namespace for which the exception has been opted for

In case of Confirmation or Bespoke enter the USI and the USI Namespace for which confirmation document or a bespoke file is being uploaded

In case of Annual End-user exception these fields will be greyed out as only the LEI is required for the upload

Enter LEI

This will be auto populated as the LEI of the logged in user

In case of Annual End-user exception the document will be uploaded in reference to the auto populated LEI

On Behalf of CP

In case of Swap by Swap exception documents, specify whether the exception document being uploaded is for the reporting or non- reporting or both parties

This will be greyed out for Annual End-user exception, Confirmation and bespoke document types
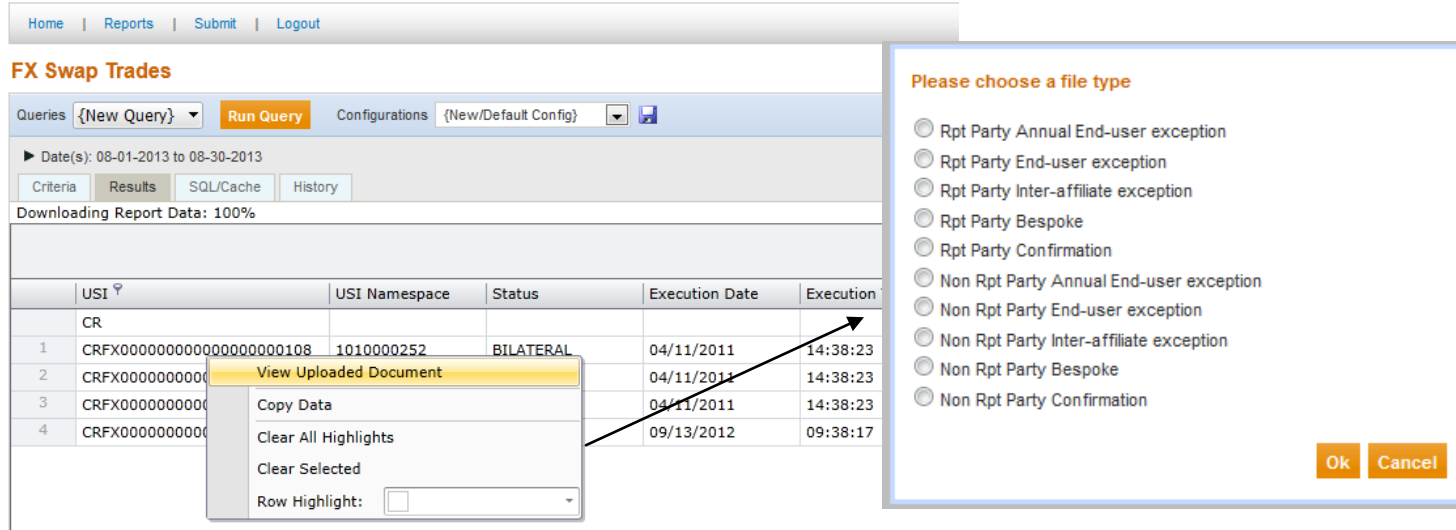
Upload Data

Click on Upload Data to upload the file in SDR records

Step 3:

View document by right clicking on the trade grid and selecting the document type to be viewed