SCHEDULE 6

<u>CLEARING FIRM GUARANTEE AND ACKNOWLEDGEMENT</u>

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)
Exhibit C:	CME Risk Tool User Access/Deletion Request Form
Exhibit D:	Risk Management Interface Service (API access)
Exhibit E:	CME Front-end Systems Pre-trade Risk Control Service
Appendix 1:	CME Globex Interface Credit Control Certification Requirements

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.

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: _____   Postal Code: _____

E-mail: _____   Phone Number: _____   Date of Birth: _____

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

All personal information provided under this form will be used, distributed, and maintained in accordance with CME Group's Privacy Policy. If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

☐ ADD Authorizer   ☐ REMOVE Authorizer

Full Name: _____

Address: _____

City: _____ State: _____ Country: _____ Postal Code: _____

E-mail: _____ Phone Number: _____ Date of Birth: _____

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

All personal information provided under this form will be used, distributed, and maintained in accordance with CME Group's Privacy Policy. If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

☐ ADD Authorizer   ☐ REMOVE Authorizer

Full Name: _____

Address: _____

City: _____ State: _____ Country: _____ Postal Code: _____

E-mail: _____ Phone Number: _____ Date of Birth: _____

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

All personal information provided under this form will be used, distributed, and maintained in accordance with CME Group's Privacy Policy. If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

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 upon request of the Market Regulation Department of CME.

Each such electronic audit trail must be complete and accurate and account for every electronic communication such system receives or generates, including any electronic communication such system receives from the Globex Platform.

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 millisecond.   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, Operator ID, automated or manual indicator (Tag 1028), self-match prevention ID (Tag 7928) where applicable, 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 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 received by CME.

Clearing Firm

Signature: _____

Print Name: _____

Title: _____
               (Must be an authorized Officer)

Date: _____

Contact GAM

For questions, assistance or upon completion, contact CME Global Account Management.

All personal information provided under this form will be used, distributed, and maintained in accordance with CME Group's Privacy Policy. If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

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.

Section I: Class A Clearing Firm Number Authorization
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 ☐ REMOVE Mapping

Participating Exchange Clearing Numbers

CME Globex Executing Number*	BMD	CBOT	CME	COMEX	GME	NYMEX

*If clearing mapping listed above will be used for CME Direct purposes, please refer to pages B-2, Section D.

Section II: Clearing Firm Authorization and Guarantee
A. 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 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 upon request of the Market Regulation Department of CME.

Each such electronic audit trail must be complete and accurate and account for every electronic communication such system receives or generates, including any electronic communication such system receives from the Globex Platform.

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 millisecond. 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, Operator ID, automated or manual indicator (Tag 1028), self-match prevention ID (Tag 7928) where applicable, 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 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.

D.   CME Direct Controlling Firm

The CME Direct "Controlling Firm" (only 1 allowed) will have the ability to set credit limits for the executing firm.

The CME Account Manager application (also known as "RAV") is used to enable access to Globex and OTC products at the account level. CME Direct "Controlling Firm" Risk Administrators will have the ability to set credit limits, for all products under a particular firm number regardless of the clearing mappings listed on page B-1, Section I.

For CME Direct ONLY: Please list the Controlling Firm name, number and Exchange below.

Controlling Firm Name: _____

Controlling Firm Number: _____   Controlling Firm Affiliated Exchange: _____

For CME Account Manager access, please contact the following:
CME ClearPort Market Operations
212-299-2670
ClearPort@cmegroup.com
http://www.cmegroup.com/clearport/registration.html

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

CME Clearing Firm   **Participating Exchange Clearing Firm**

Signature: _____   Signature: _____

Print Name: _____   Print Name: _____

Title: _____   Title: _____
      (Must be an authorized Officer)   (Must be an authorized Officer)

Date: _____   Date: _____

Participating Exchange

Signature: _____

Print Name: _____

Title: _____
      (Must be an authorized Officer)

Date: _____

Contact GAM

For questions, assistance or upon completion, contact [CME Global Account Management](#).

All personal information provided under this form will be used, distributed, and maintained in accordance with [CME Group's Privacy Policy](#). If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

EXHIBIT C

CME RISK TOOL USER ACCESS/DELETION REQUEST FORM

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" or "Customer").   Any capitalized terms not defined herein shall have the meaning set forth in Schedules 1 and 6 of the Agreement.

Section I: Risk Tool User Information
(***Attach additional copies of this section as required***)

Last Name: _____

First Name: _____

CME Group Login: _____

CME Group Login Token: _____

Section II: Add/Delete Individual at the Clearing Firm

Please refer to the Globex Roles & Entitlements guide for a description of this role and associated entitlements.

Clearing Firm Number /Name: _____

☐ ADD Clearing Firm Level Access   ☐ DELETE Clearing Firm Level Access

Select all that apply:

☐ Risk Management Tools (RMT)

☐ Mass Quote Protection (MQP) Admin

☐ Mass Quote Protection (MQP) View-Only

☐ Account Manager ICC Clearing Member Firm Account Admin

☐ Account Manager ICC Sub Clearing Member Firm Account Admin

All personal information provided under this form will be used, distributed, and maintained in accordance with CME Group's Privacy Policy. If completing this form on behalf of another individual, you will ensure that you have the required consent from those individuals to whom the personal information relates, or you satisfy an applicable legal basis for doing so, in compliance with all applicable laws, to enable CME Group to process such personal information.

Section III: Add/Delete Individual at the Execution Firm

Please refer to the Globex Roles & Entitlements guide for a description of this role and associated entitlements.

Executing Firm Number /Name: _____

☐ ADD Executing Firm Level Access   ☐ DELETE Executing Firm Level Access

Select all that apply:

☐ Risk Management Tools (RMT)

☐ Mass Quote Protection (MQP)

☐ Account Manager ICC Execution Firm Account Admin

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 CME RISK CONTROLS.

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

Signature: _____

Print Name: _____

Title: _____
            (Must be an authorized Officer)

Date: _____

Contact GAM

For questions, assistance or upon completion, contact CME Global Account Management.

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. 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.

☐ ADD NEW API Service

Clearing Firm Number: _____

Company: _____

RMI API ID: _____

☐ REMOVE API Service

RMI API ID: _____

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

Signature: _____

Print Name: _____

Title: _____
(Must be an authorized Officer)

Date: _____

<u>Contact GAM</u>

For questions, assistance or upon completion, contact <u>CME Global Account Management</u>.

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EXHIBIT E
CME FRONT-END SYSTEMS PRE-TRADE RISK CONTROL SERVICE

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.

"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 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

Signature: _____

Print Name: _____

Title: _____
(Must be an authorized Officer)

Date: _____

Contact GAM

For questions, assistance or upon completion, contact CME Global Account Management.

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.