

TO: Clearing Member Firms; Back Office Managers

FROM: CME Clearing

ADVISORY #: 21-214

DATE: June 21st, 2021

SUBJECT: New CGM Client Contact Information Report Available June 28th

Pursuant to advisories 20-428; 15-144; 15-049 and 14-127, CME Clearing will release a new report to assist firms in reporting client contact information for their CGM accounts. The report name is CGM_Contacts_Exception_###_YYYYMMDD.csv and it will be available daily from June 28th via the firm's Outgoing folder of their SFTP connection.

CME Clearing requires firms to submit the client account name and LEI for customer accounts within their CGM file that they submit daily (please see [Client Name and LEI required in CGM submissions 20-428](#)). Furthermore, CME Clearing requires firms to report additional client contact information for their customer accounts for the purposes of risk and default management (please see [Updated: Additional Client Master Data for Margin Accounts 14-127](#)). Besides the client account name and LEI, the additional contact information comprises of (a) the client account's country of domicile, (b) the office or department code and CFTC Report Number of the client account in the FCM's books, if this is a concept that the firm uses, and (c) the name, telephone, email and mailing address of a person (whether of the client or of its asset manager) to be contacted in the event of a default by the FCM. This information must be submitted at least once per business day and can be submitted via any of the following (a) the CGM file, (b) the separate "Margin Accounts Master" ("MAM") file, or (c) the FIA Tech solution. For fully and partially disclosed omnibus accounts, clearing firms should report client account contact information for each disclosed sub account as well as the owner of the omnibus account. For undisclosed omnibus accounts, clearing firms should report the client account contact information for the owner of the undisclosed omnibus account.

The new CGM_Contacts_Exception_###_YYYYMMDD.csv report lists the clearing firm's customer accounts for which CME Clearing has incomplete contact information. The purpose of the report is to assist the firm in reporting complete and accurate client contact information via the firm's chosen method of submission: (a) the CGM file, (b) the separate "Margin Accounts Master" ("MAM") file, or (c) the FIA Tech solution.

Should firms have any questions about anything detailed in this advisory or the new report, they can reach out at ccs@cmegroup.com or +1 312 207 2525.

Prior advisories:

Client Name and LEI required in CGM submissions 20-428

<https://www.cmegroup.com/content/dam/cmegroup/notices/clearing/2020/11/Chadv20-428.pdf>

Using FIA Tech OCR system for submitting additional client data, and Final September 30 compliance date 15-144

<https://www.cmegroup.com/tools-information/lookups/advisories/clearing/files/Chadv15-144.pdf>

New June 26 Date for Submission of Additional Client Master Data 15-049

<https://www.cmegroup.com/tools-information/lookups/advisories/clearing/files/Chadv15-049.pdf>

Updated: Additional Client Master Data for Margin Accounts 14-127

<https://www.cmegroup.com/tools-information/lookups/advisories/clearing/files/Chadv14-127a.pdf>

CGM Contacts Exception ### YYYYMMDD.csv Specification

CMF – Clearing Member Firm ID e.g. 123

Firm Exch – CME, CBT or NYMEX

TMF – Trading Member Firm e.g. 321

CGM Account – Account Number for the CGM Account e.g. 123456

Account Name – Name of the CGM Account e.g. ABC Corp

LEI – Legal Entity Identifier e.g. 123456789

Email – abc@abc.com

Phone Number +1 312 314 5678

Address – 123 ABC Street, Chicago, Illinois

Contact Person – Mr ABC

Country of Domicile – US

Office Code – 123

CFTC RPT Number - 123