

## Advisory Notice

Clearing House

---

11-314

TO: Clearing Member Firms  
Back Office Managers

FROM: Clearing House Financial  
Global Operations Education

SUBJECT: **Revised: Asset Management and Banking Upgrade  
Settlement System**

DATE: September 23, 2011

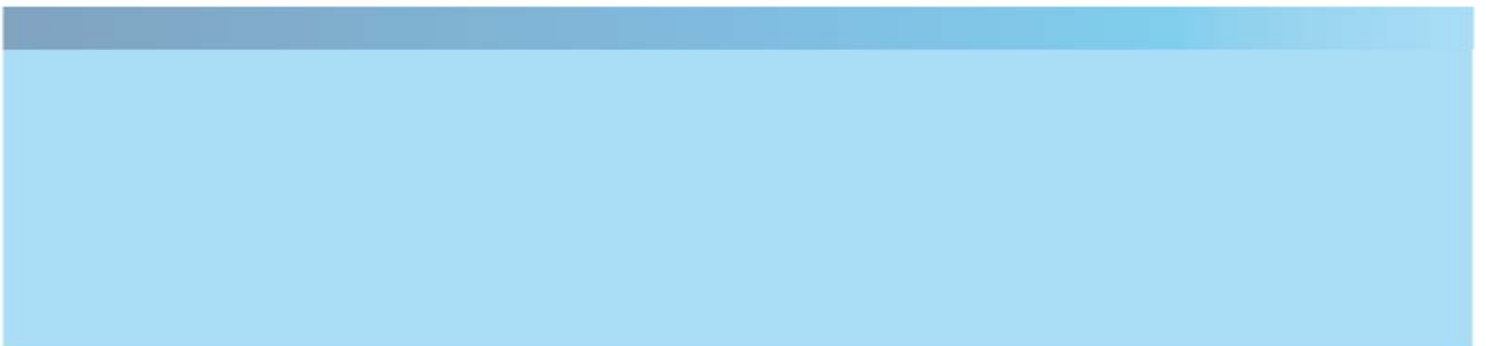
The Asset Management system and Settlement system will be upgraded to a web based application with a new look and feel. The functionality of Asset Management will remain the same as in today's world. Firms will access their settlement figures from the enhanced Settlement module in the portal.

This attached document will take you through the new look and feel of the Upgraded Asset Management System.

- Key Milestone Dates
- Accessing the Asset Management System
- Production Parallel: Key Items
- What features will remain the same in Asset Management and Settlement
- What features will change in the Asset Management and Settlement system
- Contact

# C21 Asset Management and Settlement Systems Upgrade

## Release Notes



## C21 Asset Management and Settlement Upgrade

---

The Asset Management and Settlement systems; will be upgraded to a web based application with a new look and feel. The functionality will remain the same as in today's world.

**Internet Explorer 8** is the preferred internet version to use, but Asset Management and Settlements will work on any version of Internet Explorer 8 or below.

***This document will take you through the new look and feel of the Upgraded Asset Management and Settlement Systems.***

# C21 Asset Management and Settlement Upgrade

---

## Table of Contents – Asset Management System

<b>1</b>	<b>KEY MILESTONE DATES .....</b>	<b>5</b>
<b>2</b>	<b>ACCESSING THE ASSET MANAGEMENT SYSTEM.....</b>	<b>5</b>
2.1	LOGIN PROCESS.....	5
<b>3</b>	<b>PRODUCTION PARALLEL: KEY ITEMS .....</b>	<b>6</b>
3.1	DATA AND SYSTEM AVAILABILITY .....	6
<b>4</b>	<b>WHAT FEATURES WILL REMAIN THE SAME IN ASSET MANAGEMENT?.....</b>	<b>7</b>
4.1	ENTERING PLEDGES AND WITHDRAWAL INSTRUCTIONS .....	7
4.2	COLLATERAL TRANSACTION TIMELINE .....	7
4.3	REPORTS.....	7
4.4	USER SECURITY/ENTITLEMENTS .....	7
<b>5</b>	<b>WHAT FEATURES WILL CHANGE IN THE ASSET MANAGEMENT SYSTEM? .....</b>	<b>7</b>
5.1	LOGIN PROCESS.....	7
5.2	MAIN MENU.....	7
5.3	HOT KEYS.....	8
5.4	ACTION BUTTONS .....	9
5.5	SCROLL BAR .....	9
5.6	REPLACEMENT OF BUTTONS.....	10
5.7	CHECK BOX .....	10
5.8	LOG OFF.....	11
5.9	CALENDAR .....	11
<b>6</b>	<b>CONTACT .....</b>	<b>11</b>

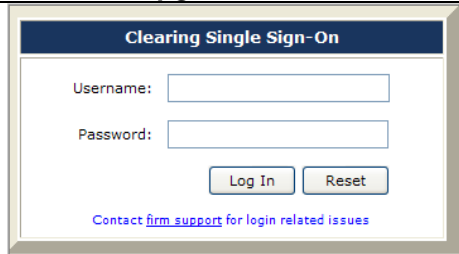

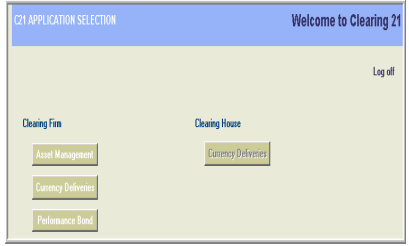

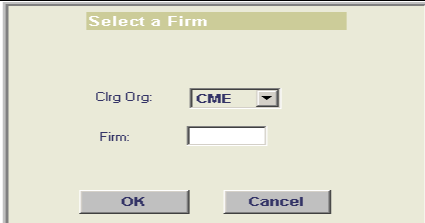


## 1. Key Milestone Dates

- Production Live (cutover): October 24, 2011

## 2. Accessing the Asset Management System

Please utilize the following link: <https://connectcert.cme.com> . Use your same login ID as for the production portal website.

### 2.1 Login Process

Accessing the Asset Management System			
<b>Step 1</b>	To access the Asset Management System: <ul style="list-style-type: none"> <li>• Go to CME Group Portal</li> <li>• Click Asset Management NEW RELEASE</li> </ul>		
<b>Step 2</b>	<b>Clearing Single Sign-On</b> Enter User Name and Password.	<i>Upgrade Model</i>	<i>Legacy Model</i>
			
	<b>C21 Application Selection</b> This screen is eliminated from the upgraded system.		
<b>Step 3</b>	<b>Firm Selection</b> Select Clearing Organization and enter a Firm number.		
<b>Step 4</b>	<b>Asset Management Main Menu</b> Select an option from the sub-menu.		

<p><b>Step 5</b></p> <p><b>Daily Transactions List</b></p> <p>No, change - - will function the same as today.</p>		
---	--	--

**NOTE:** If you do not have access to the Asset Management System, please fill out the Online System Access Request Form: <http://www.cmegroup.com/clearing/files/onlineaccess.pdf>

Contact CME Group Customer Support for assistance in regards to online access at 312-930-3444 or [firmsupport@cmegroup.com](mailto:firmsupport@cmegroup.com).

## 3. Production Parallel: Key Items

### 3.1 Data and System Availability

- a) **Daily Processing during New Release:** The New Release environment is for validation purposes only. Users should continue daily processing tasks in the production environment.
- b) **New Release Availability:** The New Release environment will be available daily from 8:00 a.m. to 11:00 a.m. CST and from 2 p.m. to 5 p.m. CST.

## 4. What features will remain the same in Asset Management?

### 4.1 Entering pledges and withdrawal instructions

The business rules for entering pledges and withdrawal instruction are the same as today. Firms will still be able to submit Treasury Securities, Letters of Credit, Stock, IEF, Foreign Currency, US Dollars and other approved collateral.

### 4.2 Collateral Transaction Timeline

There will be no changes to the collateral transaction timeline. Reference the following web site: <http://www.cmegroup.com/clearing/financial-and-collateral-management/collateral-transaction-timeline.html>

### 4.3 Reports

There will be no changes to firm reports in connection with this upgrade.

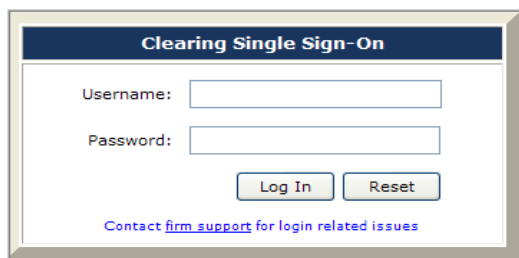
### 4.4 User Security/Entitlements

All user security and permissions will be retained in the upgraded system as they are in production today.

## 5. What features will change in the Asset Management system?

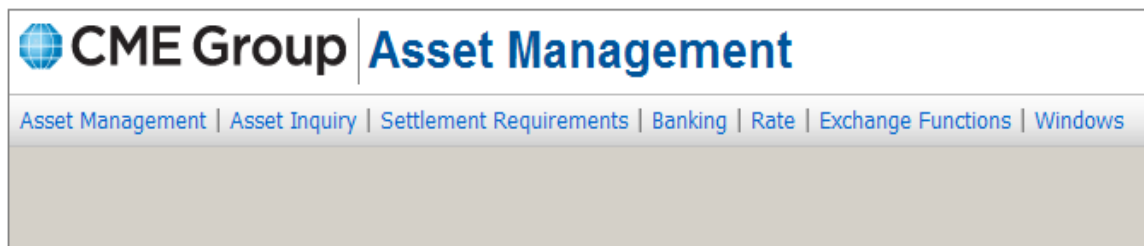
### 5.1 Login Process

- A Clearing Single Sign-On window will appear; asking you for your Clearing 21 Username and Password.



### 5.2 Main Menu

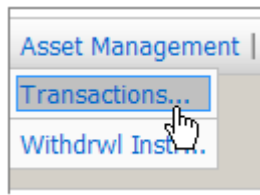
- **New:** The Main Menu is now located across the top of the screen, just below the Asset Management title, replacing the old look of the main menu on the left side of the Welcome screen.



- **Main Menu Layout:**

Asset Management Main Menu		
Main Menu Section	Sub-Menu	Accessible
Asset Management	Transactions	Yes
	Withdrawal Instructions	Yes
Asset Inquiry	Assets on Deposit	Yes
	Asset Summary	Yes
	Currency Summary	Yes
Settlement Requirements	Currency Requirements	Yes
	Settlement Variation	Yes
Banking	Banking Requirements	Yes
	Banking Instruction List	Yes
Rate	Interest Rate Maintenance	Yes
	IEF Interest Election Maintenance	No
Exchange Functions	Clr Org Confirm/Reject	No
Windows	Close Active Screens	Yes

- **Sub-Menus:** To access the sub-menus, move the mouse over the main menu title and click, the selected sub-menu title.



## 5.3 Hot Keys

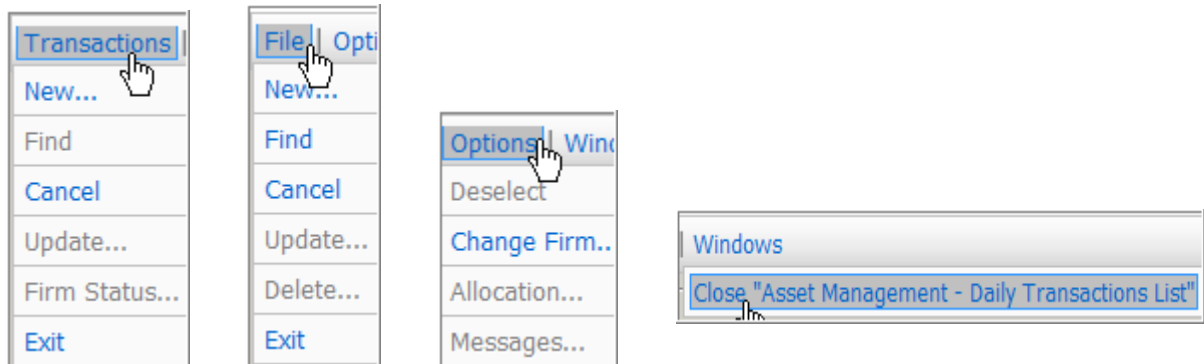
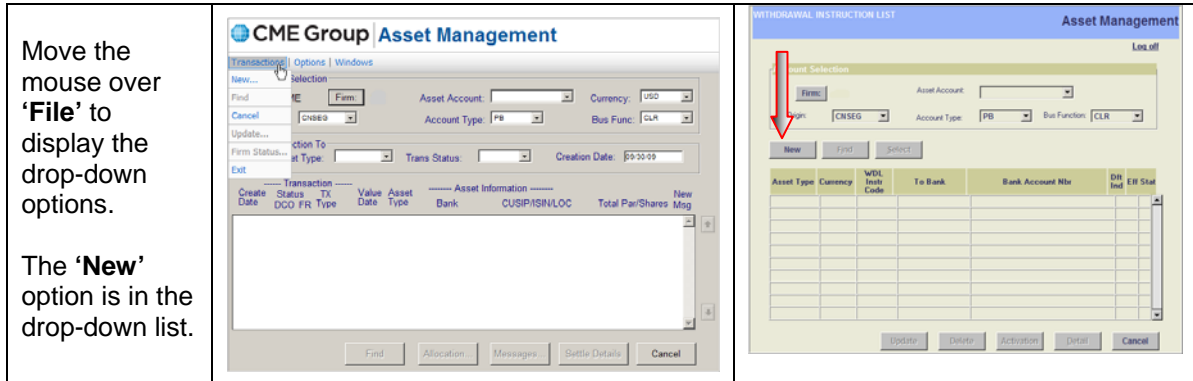
- **Hot Keys:** The functionality of hot keys is not fully compatible to the upgraded version of Asset Management.



## 5.4 Action Buttons

- **Action Buttons:** Some action buttons are move and relocated to the title row, as a drop-down list on various screens. Below is an example of a couple of the drop-down listings.

For example, the 'New' function is now located under 'File'; the old layout there was a 'New' button.



## 5.5 Scroll Bar

- **Scroll Bar:** There will be horizontal and vertical scroll bars located on some of the screens.

## 5.6 Replacement of Buttons

- **Rate (Interest Rate Maintenance Screen):** The Previous and Next buttons have been replaced with the Up and Down arrows allowing for page advance.

The outside arrows will advance by page.

## 5.7 Check Box

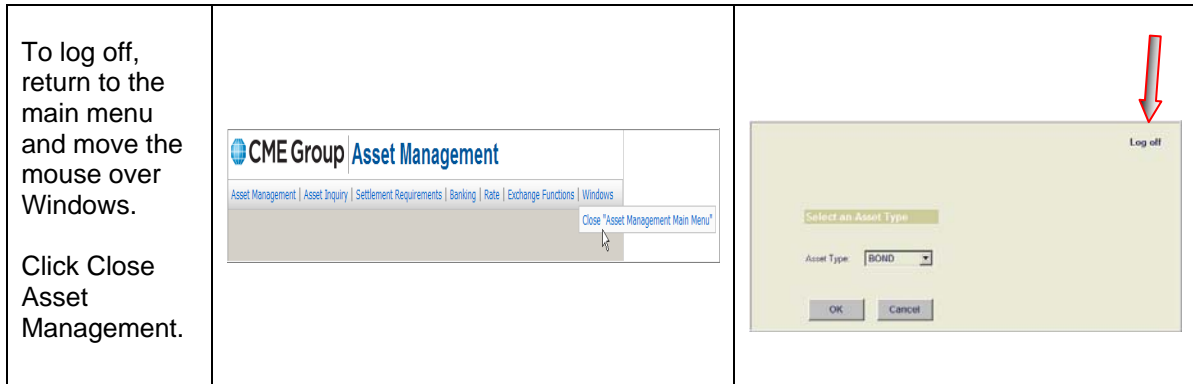
- **Check Boxes:** There are check boxes located on some of the screens.

To select a line item and enable a button, click the check box.

The need to highlight a line item is eliminated.

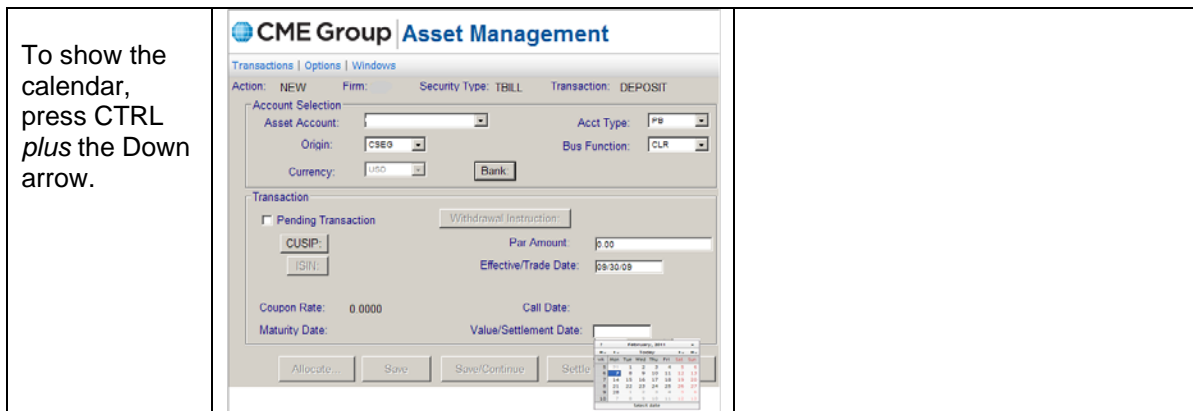
## 5.8 Log Off

- **Log Off:** Removed the Log Off link.



## 5.9 Calendar

- **Calendar:** In the Value/Settlement Date field, on the Securities Transaction Maintenance screen you can now display a calendar.



## Contact

- For general inquiries, please contact Clearing House Financial Unit at 312-207-2594 or email [clearinghousefinancial@cmegroup.com](mailto:clearinghousefinancial@cmegroup.com).

The Asset Management System has a new look and feel. However, the new and old systems are very similar in functionality. This overview will guide you through the upgraded Asset Management system.

- If hands-on training is needed contact 312-435-3526 or email [globaloperationseducation@cmegroup.com](mailto:globaloperationseducation@cmegroup.com).

## **Settlement System Upgrade**

**Table of Contents – Settlement System**

- 1. KEY MILESTONE DATES ..... 14**
- 2. DATA AND SYSTEM AVAILABILITY ..... 14**
- 3. WHAT FEATURES WILL REMAIN THE SAME IN THE SETTLEMENT SYSTEM? .... 14**
- 4. WHAT FEATURES HAVE CHANGED IN THE SETTLEMENT SYSTEM? ..... 15**
  - 5.1 ACCESSING THE SETTLEMENT SYSTEM..... 15
  - 5.2 NEW LOOK AND FEEL..... 16
  - 5.3 MAIN MENU..... 17
  - 5.4 CLEARING MEMBER SETTLEMENT MENU WINDOW ..... 18
  - 5.5 SETTLEMENT ACCOUNT LIST WINDOW ..... 18
  - 5.6 CLEARING MEMBER ORIGIN LEVEL RECAP LIST..... 18
  - 5.7 CLEARING MEMBER SETTLEMENT ACCOUNT RECAP LIST..... 18
  - 5.8 REPORT..... 18
  - 5.9 LOGGING OFF ..... 18
- 5. SUPPORT & TRAINING..... 18**

## 1. Key Milestone Dates

- New Release: Ongoing
- Production Live (cutover): October 24, 2011

## 2. Data and System Availability

- a) **Daily Processing during New Release:** The New Release environment is for validation purposes only. Users should continue daily processing tasks in the production environment.
- b) **New Release Availability:** The New Release environment will be available daily from 8:00 a.m. to 11:00 a.m. CST and from 2 p.m. to 5 p.m. CST.

## 3. What features will remain the same in the Settlement System?

- **Business Rules**  
The business rules for the Settlement System will not change. They will remain the same as today.
- **Settlement Cycles**  
The two daily settlement cycles, end-of-day settlement cycle (RTH) and the intra-day settlement cycle (ITD) will not change.

## 4. What features have changed in the Settlement System?

### 5.1 Accessing the Settlement System

Accessing the Settlement System			
<b>Step 1</b>	To access the Asset Management System: <ul style="list-style-type: none"> <li>Go to CME Group Portal (Certification)</li> <li>Click Settlement NEW RELEASE</li> </ul>		
<b>Step 2</b>	<b>Clearing Single Sign-On</b> Enter your User Name and Password.	<p><i>Upgraded Model</i></p>	<p><i>Legacy Model</i></p>
<b>Step 3</b>	<b>Firm Selection</b> Enter a Clearing Member and click OK.		

**NOTE:** If you do not have access to the Settlement System, please fill out the Online System Access Request Form located at <http://www.cmegroup.com/clearing/files/onlineaccess.pdf>.

Contact CME Group Customer Support for assistance regarding online access at 312-930-3444 or [firmsupport@cmegroup.com](mailto:firmsupport@cmegroup.com).

## 5.2 New Look and Feel

Differences			
	Window Name	Upgraded Model	Legacy Model
1	Clearing Member Settlement Menu		
2	Settlement Account List		
3	Clearing Member Origin Level Recap List		
4	Clearing Member Settlement Account Recap List		

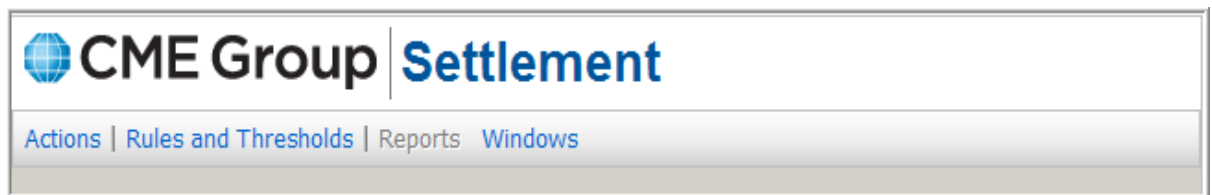
*Note:  
The 'Most Recent Excess/Deficit' and 'Return To Batch Data' buttons are unavailable same as in the old system.*



<p>5</p>	<p><b>Exit the Settlement System</b></p>		
----------	--	--	--

## 5.3 Main Menu

- The Main Menu is now located across the top of the screen, just below the Settlement title. The Welcome screen will no longer exist.



- Main Menu Layout:**

Settlement Main Menu		
Main Menu Section	Sub-Menu	Accessible
Actions	Clearing Member Origin Level Recap List	Yes
	Clearing Member Settlement Account Recap List	Yes
	Cancel	Yes
Rules and Thresholds	Interest Earning Facility Maintenance	No
Reports	N/A	No
Windows	Close	Yes

- Sub-Menus:** To access the sub-menu, move the mouse over the main menu title and click the selected sub-menu title.



## 5.4 Clearing Member Settlement Menu window

- The Settlement Cycle selections are to the left of the Clearing Member settlement account selections.
- Use the sub-menu selection to execute an action. The enter button was removed.
- The screen has an Account button, as opposed to the account hyperlink.
- The Clearing Member (Clrg Mbr) button is unavailable after entering the firm number in the Firm Selection window.
- To select an item use the check boxes, as opposed to the radio buttons.

## 5.5 Settlement Account List window

- The screen has an OK button, as opposed to the account hyperlink.
- To select an item use the check boxes, as opposed to the hyperlinks.
- The Settlement Account list will only display one Segregation code at a time.
- The Settlement Account list will only display one Business Function code at a time.

## 5.6 Clearing Member Origin Level Recap List

- Scroll bar will appear in the following sections if more than two rows exist in the display window.
  - Settlement Requirements
  - Excess/Deficit
  - Call/Releases

## 5.7 Clearing Member Settlement Account Recap List

- The screen has an OK button, as opposed to the account hyperlink.

## 5.8 Report

- October 4, 2010, you will see a value COTC for the Funds Segregation type, replacing the value of CNSEG that today means 30.7 Secured.

## 5.9 Logging Off

- Select Close, from the Windows sub-menu bar to exit the system.

## 5. Support & Training

For general inquiries, please contact Clearing House Financial Unit at 312-207-2594 or email [clearinghousefinancial@cmegroup.com](mailto:clearinghousefinancial@cmegroup.com).

If training is required, contact 312-435-3526 or email [globaloperationseducation@cmegroup.com](mailto:globaloperationseducation@cmegroup.com).