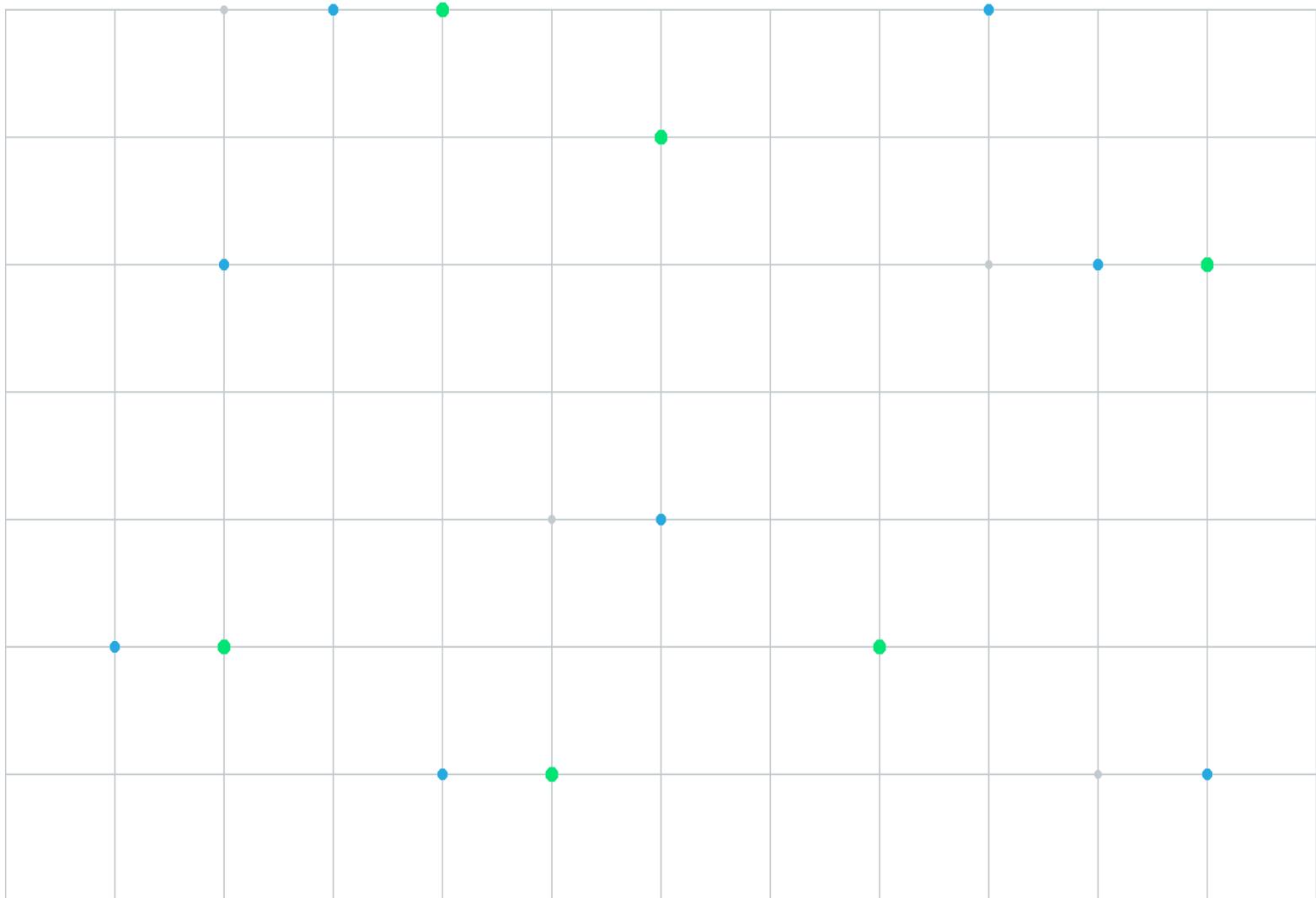


# Entity Risk Management User Guide

12 December 2025



## Disclaimer

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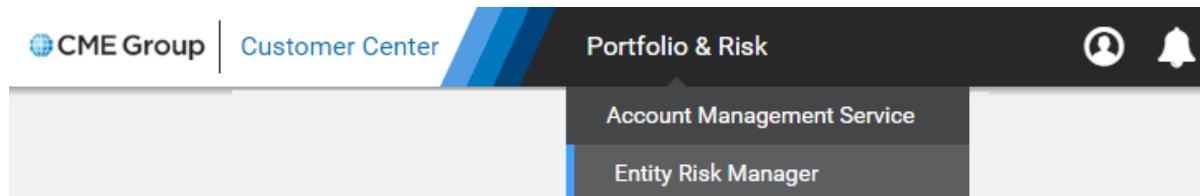
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# Getting Started

CME Entity Risk Management Service is used to manage user, firm and product-level risk for trading CME Group products electronically on the Central Limit Order Book and pre-negotiated trades, including:

- CME ClearPort
- CME Direct and CME Direct App
- CME Globex



## Entity Risk Management Functions

### Policy & Threshold

View and manage policies and alerts on an execution firm level.

- CME Globex ICC Policy: ICC Clearing firm account administrators can set policies on an execution firm level.
- CME Globex ICC Alerts: Set threshold alerts to notify recipients, by email, when a specified percentage of limits have been breached.
- CME Globex ICC Product Restriction Policy: Restrict execution firms from trading certain products.

### Spot FX

Manage Prime Broker, Trading, Execution firm relationships and limits (notional reference limit and products) for submitting Spot FX basis spread orders, which are comprised of OTC FX and FX Futures legs.

### User Max Qty Limits

For CME Direct users, view and manage maximum allowable product quantity limits for the following order types: outright, commodity spreads, strips and inter-commodity spreads.

### Trade Type Restriction by Firm

Restrict the ability of CME ClearPort enabled firms to submit block trades.

Trade type restriction, by account, is managed with [Account Management Service](#).

### CM Settings

Use the opt-out status to prevent trading firms from viewing account details.

## Related Functionality

[Account Management Service](#): Create, view and manage accounts, including Spot FX account associations with execution firms.

# What's New

The list below illustrates the updates made to the Entity Risk Management Help system.

Date	Topic	Description
December 12, 2025	<a href="#">CME Globex ICC Policy</a>	Added ICC Policy Setting instructions for newly created GFIDs
November 26, 2025	<a href="#">CME Globex Product Restriction Policy</a>	Added a function to manage execution firms entitled to trade event contract products.
November 26, 2025	<a href="#">CME Globex ICC Policy</a>	Added a function to manage event swap product restrictions.
February 14, 2025	<a href="#">FX Link and FX Spot+</a>	FX Spot+ includes a Net Open Position Limit to manage long/short limits for FX Link and FX Spot+ products for a given firm. For information and instructions, view the <a href="#">FX Link / FX Spot+ Credit Management</a> <a href="#">FX Link / FX Spot+ Credit Management User Guide</a> .
February 14, 2025	<a href="#">FX Link and FX Spot+</a>	ERM allows Credit Risk Administrators to set and manage credit limits and monitor Credit Group utilization for both FX Link and FX Spot+.
October 21, 2022	<a href="#">CME Globex ICC Product Restriction Policy</a>	Product Restriction Policy function enables restriction of multiple execution firms and products via upload process
January 13, 2020	<a href="#">CME Globex Product Restriction Policy</a>	Clarification of CME Globex Product Restriction Policy and exception for Mass Quote messages
July 18, 2019	<a href="#">User Max Qty Limits</a>	Updated description for Activate / Deactivate function; Prevent / Allow CME Globex trades.
April 11, 2019	<a href="#">CM Settings</a>	Added options to manage trading firm access: Opt-in, opt-out, view-only.
March 21, 2019	<a href="#">FX Link / Spot FX Quick Start</a>	Summarizes the FX Link / Spot FX onboarding and setup process.
February 26, 2019	<a href="#">CME Globex ICC Product Restriction Policy</a>	Permitting accounts trade restricted products.
December 18, 2018	CME Globex Product Restriction Policy	Updated available details available from the downloadable product restriction spreadsheet, to include all restricted products and accounts.
November 15, 2018	Spot FX	Updated Prime Broker and Trading Firm functions.
August 15, 2018	All	Initial release.

## Logging In

After confirming CME Group Login registration and association with an authorized firm, review the following login instructions.

### CME Group Login

CME Group Login is a self-managed, centralized user profile service that authenticates access to Entity Risk Management and other applications and services.

- [Create a new CME Group Login user ID and profile](#): Prior to accessing, all users must have an active login profile.
- [Review the CME Group Login User Guide](#): Access guidance and instructions: register, retrieve forgotten user ID, reset password, update profile and manage other services.
- [Update a CME Group Login User ID and profile](#): Login privileges are retained even if users change firms, email address, registration information, User ID or password. Some instances may require access and entitlements update.

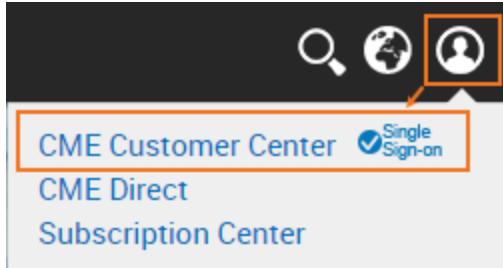
For additional registration or login assistance, including forgotten user ID and password, contact [EASE](#).

To request application access, contact [Global Account Management](#).

### Log In

#### ► [To login to Entity Risk Management:](#)

1. Navigate to [cmeigroup.com](http://cmeigroup.com), select the **Login / Profile icon**(), then select **CME Customer Center** (single sign on).

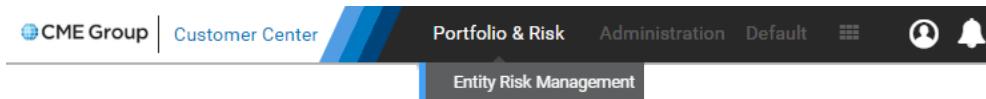


2. On the page that appears, enter the **CME Group Login ID and Password**, then select **Login**.



**Note:** To register for a CME Group Login ID, view CME Group Login Registration.

3. From the **Portfolio & Risk** tab, select **Entity Risk Management**.



 **Note:** For login or access issues, contact [Enterprise Application & System Entitlements \(EASE\)](#) or go to the [CME Group Login](#) page.

## Roles and Entitlements

Entity Risk Management application functions are available to clearing and executing firm users with the following selectable role / entitlements; to which users can be assigned multiple.

- Role requests are coordinated with [Global Account Management](#) (GAM).
- Access issues are managed by [Enterprise Application & System Entitlements](#) (EASE).

	<b>Example:</b> To authorize a clearing firm administrator, for CME Globex and CME ClearPort, select: - Globex Clearing Firm Account Admin - CPC Clearing Firm Account Admin
---	--

Role	Firm Type	Entitlement Description
Clearing Firm Account Administrator	Clearing Firm	<p><b>CME ClearPort / CME Globex / ICC (CME Globex)</b></p> <ul style="list-style-type: none"> <li>• View and manage firm, user and product risk settings; CME Direct user / product limits, trading firm access.</li> </ul> <p><b>ICC (CME Globex):</b> Set policies, alerts and product restrictions at the Execution firm level.</p> <p><b>Spot FX</b></p> <ul style="list-style-type: none"> <li>• View and manage Trading / Prime Broker / Execution firm / Accounts associations (links).</li> <li>• View and manage notional reference limits, thresholds and alerts.</li> <li>• Set credit and thresholds on a trading firm level</li> </ul> <p><b>CME ClearPort:</b> Manage trade type restrictions.</p>
Sub Clearing Member Firm Account Administrator	Sub-Clearing Firm	<p><b>CME ClearPort / CME Direct (CME Globex)</b></p> <ul style="list-style-type: none"> <li>• Manage credit controls at the user level for trading on CME Direct.</li> <li>• Restrict trading firms eligible for pre-negotiated trade submissions by trade type.</li> </ul>
Clearing Org Risk Manager	Clearing Firm	View and manage clearing firm credit controls.
Spot FX Clearing Org Risk Manager, also known as Central Clearing Counterparty (CCP)	Primary Broker Firm	<ul style="list-style-type: none"> <li>• Manage thresholds, alerts and limits; such as position limits and notional reference limits for all prime brokers.</li> <li>• Suspend / Allow order entry on a prime broker level.</li> </ul>
Spot FX Clearing Org Risk Viewer	Primary Broker Firm	View thresholds, alerts and limits; such as position limits and notional reference limits for all Prime Brokers.
Execution Firm Account Administrator	Execution Firm	<p><b>CME ClearPort / CME Globex / ICC (CME Globex)</b></p> <ul style="list-style-type: none"> <li>• View policies, thresholds, alerts and user / trade type restrictions for their firm.</li> </ul> <p><b>Spot FX</b></p> <ul style="list-style-type: none"> <li>• View limits on assigned trading firms for Spot FX.</li> </ul>

## Dashboard

The Dashboard provides an overview of Entity Risk Management functions, a link to the User Manual / WebHelp and support contacts.

Available functions:

- [Policy & Threshold](#)
- [FX Link and Spot FX+ Credit Management](#)
- [User Max Qty Limits](#)
- [Trade Type Restriction](#)
- [CM Settings](#)
-  - **Info**: View the current user and system version.
-  - **Phone**: Opens a dialog to contact the CME Global Command Center (GCC).
-  - **Email**: Opens the default email program to send a support request.
-  - **Help**: Opens the User Manual / WebHelp.

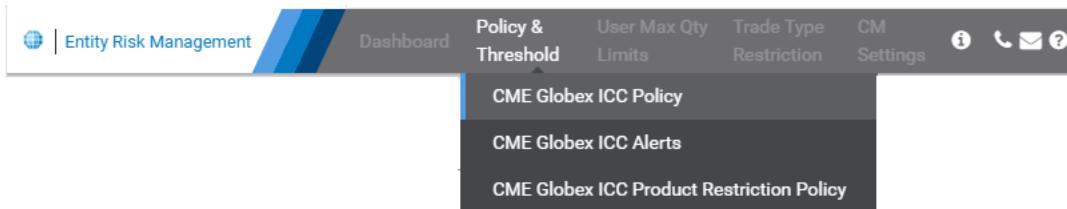
# Policy & Threshold

ICC Clearing Firm Account Administrators use the Policy and Threshold functions to set limit policies and thresholds on an Execution Firm level. Policies are set and enforced for ICC service. Designated individuals will receive an email notification if thresholds are breached.

Authorized execution firms can view policies and threshold that have been assigned to their firm

► **To access Policy & Threshold:**

From the Entity Risk Management menu, select **Policy & Threshold**, then proceed to the following:



- **CME Globex ICC Policy:** Manage execution firm(s) policy settings.
- **CME Globex ICC Alerts:** Specify or upload notification thresholds and alert settings. When submitted trades exceed a given threshold an email notification is sent.
- **CME Globex Product Restriction Policy:** Restrict execution firms from trading specific products.

# CME Globex ICC Policy

Authorized *clearing* firm administrators can use the CME Globex ICC Policy to manage policies on an Execution Firm level, including the ability to submit orders for [event swap](#) contracts.

Authorized *execution* firm account administrators can view policy settings for their firm.

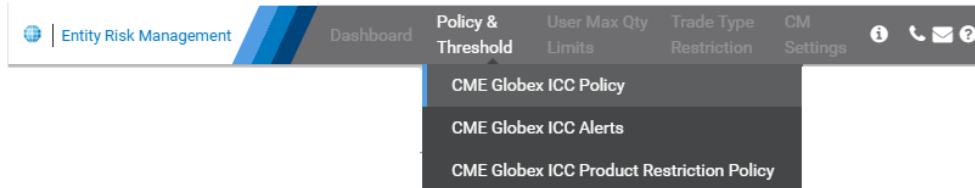
Available functions:

- **Unregistered Accounts:** Default handling of orders from unregistered accounts. Policy setting updates are effective immediately.
- **Unset Limits:** Default handling of orders for products that do not have a specified limit. Policy setting updates are effective immediately. For the specified execution firm, if limits have not been set, product limits can be [set to unlimited or zero](#).
- **Covered Strategies:** Specify whether to block or ignore Covered strategies (futures) or Covereds (futures with options) strategy. Policy setting updates are effective immediately.
- **Event Swap contracts:** Manage event swap contract product restrictions on the execution firm and product-code level. Event Swap Policy updates must be submitted prior to 2:00 PM CT to be effective for the subsequent trading session.
  - **Manage Weekend Trading permissions:** To manage firm permissions for weekend trading, use the [Risk Management Tools - Globex Credit Controls](#) function.
  - **Globex Firm ID (GFID) Policy (Required for new GFIDs):** New GFIDs do not have a default ICC Policy setting selected.

A Clearing Member/FCM administrative user *must* specify a policy setting ([view instructions below](#)).

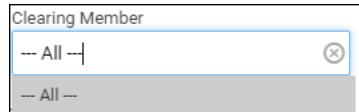
## ► To manage Globex ICC Policy:

1. From the **Policy & Threshold** menu, select **CME Globex ICC Policy**.



A list of all execution firms appears.

2. (optional) If you have access to more than one clearing firm, clear the current selection (⊗), then select another firm.



From the list of execution firms, the following information is available:

- **Execution Firm:** Firm ID and Name.
- **Clearing Member**

Policy Settings: The current policy status appears (below).

- **Unregistered Accounts**
- **Unset Limits**
- **Covered Strategies**
- **Event Contracts:** see [settings](#) (below)

**CME Globex ICC Policy**

Clearing Member  

Total settings found: 129

Show 10 entries Search:

Execution Firm ▲	Clearing Member ▲	Unregistered Accounts ▲	Unset Limits ▲	Event Swaps ▲
111 / Firm1	CME / 888 / Clearing1	Accept	Reject	Reject
222 / Firm2	CME / 555 / Clearing2	Accept	Accept	Reject
333 / Firm3	CME / 444 / Clearing3	Accept	Accept	Reject

 \*\* Indicates policy settings are no longer valid due to invalid firm relationship.  
 \* Indicates policy is not yet effective (pending).

3. To manage settings, select the **blue** linked execution firm.
4. On the *Edit Policy Settings* screen, select default account order handling:

**Edit policy settings**

Clearing Member      Execution Firm  
Clearing1      111 / Trading Firm1

Rule	Policy		
Unregistered Account	<input type="radio"/> Accept	<input type="radio"/> Reject	
Unset Limit	<input type="radio"/> Accept	<input type="radio"/> Reject	
Cover Strategy Handling	<input type="radio"/> Accept	<input type="radio"/> Reject	<input type="radio"/> Enforce Option Leg Only
Event Swap	<input type="radio"/> Accept 	<input type="radio"/> Reject 	<input type="radio"/> Reject Sports 

**Cancel** **Save**

- **Unregistered Account:** Specify how orders from unregistered accounts are handled (Accept / Reject). Unregistered accounts are not available or active from [Account Management Service](#).
- **Unset Limits:** Specify default handling of orders for products without quantity limits.
  - Accept: Default setting. If limits have not been set, accounts are permitted to submit orders that are within the overall firm credit control limit.
  - Reject: If ICC product limits have not been set, orders will be rejected.
- **Covered Strategies:** If an order is submitted for Covereds (futures with options) strategies, the enabled thresholds will be evaluated to generate threshold events which may be used to send alert emails.
  - Accept: Default setting. Provide no credit controls enforcement for Covered User Defined Spreads (UDS), ICC serves as a pass through for all covered strategy orders.

- **Reject:** Reject all orders for covered User Defined Spreads.
- **Enforce Option Leg Only:** Perform position limit checks on option legs only.
- **Event Swaps:** By default all firms are restricted from trading event swaps and must be actively permissioned with this ICC Policy setting.

Available options:

- **Reject:** (Default selection) Blocks **All** Event Swap orders, including sports.
- **Accept:** Allows All Event Swap orders, including sports.
- **Reject Sports:** Blocks Sports Event Swaps, *allows all other event swaps*.

 Event Swap Policy updates must be submitted prior to 2:00 PM CT to be effective for the subsequent trading session.

5. To finalize, select **Save**.

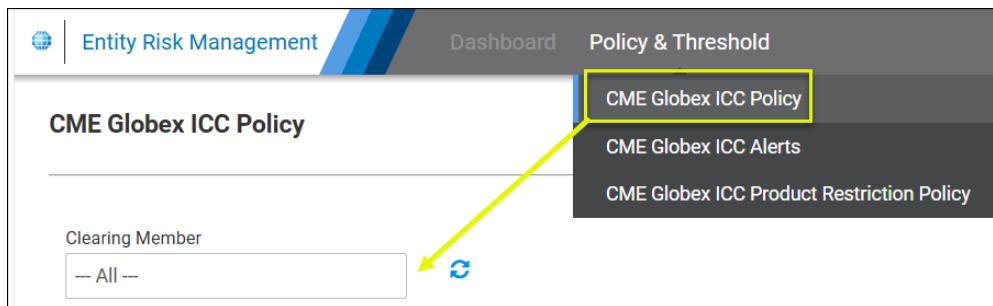
## New GFID Event Swap Policy

New GFIDs do not have a default ICC Policy setting selected.

Review the following instructions to specify a policy setting ([view instructions below](#)).

 **To manage Globex ICC Policy:**

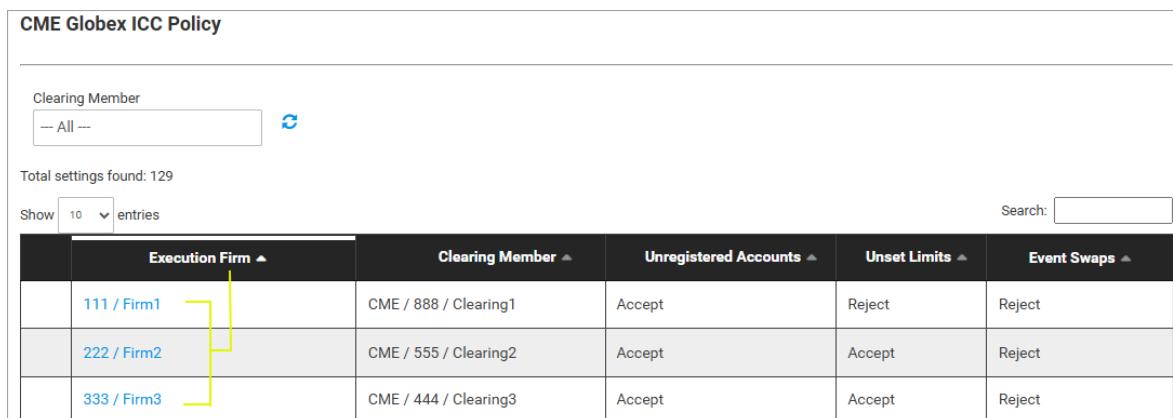
1. From the Entity Risk Manager menu, select **Policy & Threshold > CME Globex ICC Policy**, then select a **Clearing Member** from the drop-down menu.



The screenshot shows the Entity Risk Management interface. The top navigation bar has 'Entity Risk Management' on the left, 'Dashboard' in the center, and 'Policy & Threshold' on the right. A sidebar on the left is titled 'CME Globex ICC Policy'. The main content area has a 'Clearing Member' dropdown menu with 'All' selected. A yellow arrow points from the 'Clearing Member' dropdown to the 'CME Globex ICC Policy' link in the sidebar menu.

Selected automatically for users with permissions to manage only one entity.

2. Select the blue (linked) **Execution Firm (GFID / Firm Name)** to manage.



The screenshot shows the 'CME Globex ICC Policy' page with a table of execution firms. The table has columns: Execution Firm, Clearing Member, Unregistered Accounts, Unset Limits, and Event Swaps. The first row, '111 / Firm1', is highlighted with a yellow box and a yellow arrow pointing to it from the 'Execution Firm' column header. The 'Clearing Member' column shows 'CME / 888 / Clearing1'. The 'Event Swaps' column shows 'Reject'. The 'Unset Limits' column shows 'Reject'. The 'Unregistered Accounts' column shows 'Accept'. The 'Execution Firm' column shows '111 / Firm1'. The 'Clearing Member' column shows 'CME / 888 / Clearing1'. The 'Event Swaps' column shows 'Reject'. The 'Unset Limits' column shows 'Reject'. The 'Unregistered Accounts' column shows 'Accept'. The 'Execution Firm' column shows '222 / Firm2'. The 'Clearing Member' column shows 'CME / 555 / Clearing2'. The 'Event Swaps' column shows 'Reject'. The 'Unset Limits' column shows 'Accept'. The 'Unregistered Accounts' column shows 'Accept'. The 'Execution Firm' column shows '333 / Firm3'. The 'Clearing Member' column shows 'CME / 444 / Clearing3'. The 'Event Swaps' column shows 'Reject'. The 'Unset Limits' column shows 'Accept'. The 'Unregistered Accounts' column shows 'Accept'.

3. Select an Event Swap policy setting (for the newly created GFID) and **Save**.

**Note:** If the **Save** button is not enabled, momentarily select another value, then select the desired **ICC Policy** setting (Accept / Reject / Reject Sports) and **Save**.

**Edit policy settings**

Clearing Member	Execution Firm
Clearing1	111 / Trading Firm1

Rule	Policy		
Unregistered Account	<input type="radio"/> Accept	<input type="radio"/> Reject	
Unset Limit	<input type="radio"/> Accept	<input type="radio"/> Reject	
Cover Strategy Handling	<input type="radio"/> Accept	<input type="radio"/> Reject	<input type="radio"/> Enforce Option Leg Only
Event Swap	<input type="radio"/> Accept	<input type="radio"/> Reject	<input type="radio"/> Reject Sports

**Save**

## CME Globex ICC Alerts

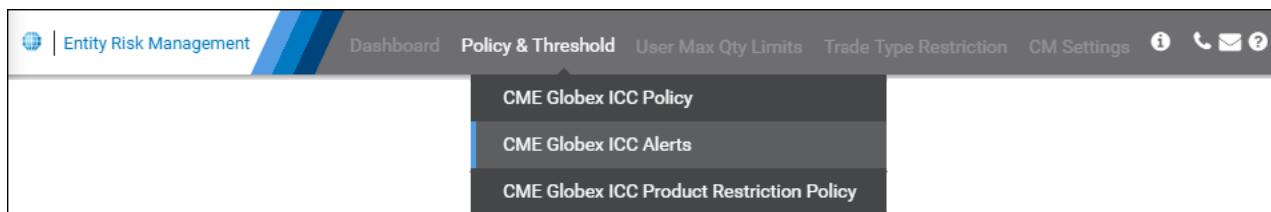
Authorized clearing firm administrators use CME Globex ICC Alerts to set up thresholds and email alerts, on an Execution Firm level, to notify up to 20 recipients when a threshold has been breached. Authorized execution firm administrators can view alert settings for their firm.

Available functions:

- View a list of execution firm alert thresholds and email recipients.
- Use the responsive search field to find an execution firm.
- Select column headings to sort results in ascending / descending order.
- Manage Alerts, by select an Execution Firm from the list.

### ► To manage Globex ICC Alerts:

1. From the **Policy & Threshold** menu, select **CME Globex ICC Alerts**.



A list of all execution firms appears.

2. If you have access to more than one clearing firm, clear the current selection (⊗), then select another firm.



From the list of execution firms, the following information is available:

- **Execution Firm:** Firm ID and Name.
- **Clearing Member**
- **Thresholds**
- **Email Recipients**

\* Alert settings are not yet effective. Please note - if the CME Globex markets are currently closed, the changes will become effective once the markets are open.  
 \*\* Alert settings are no longer valid due to invalid firm relationship.

Clearing Member  
-- All --

Total settings found: 59

Show 10 entries Search: [ ]

		Thresholds							Email Recipients
Execution Firm ▲		Clearing Member ▲	50%	60%	70%	80%	90%	100%	
*	CME / [REDACTED] / [REDACTED]	X		X		X	X	a@b.com	
*	CME / [REDACTED] / [REDACTED]		X	X	X			[REDACTED] Show More	

i \* Alert settings are not yet effective. If CME Globex markets are closed, updates are effective at the market open.  
 \*\* Alert settings are no longer valid due to invalid firm relationship.

3. To manage settings, select the **blue** linked execution firm.
4. On the **Edit alert threshold settings** screen, specify the following:
  - **Enabled thresholds:** Select thresholds between 50% to 100%.
  - **Alert Email Recipients:** Type email address, then press **<Enter>** (keyboard).

Edit alert threshold settings ×

Clearing Member Execution Firm

Enabled Thresholds

50%  60%  70%  80%  90%  100%

Alert Email Recipients

a@b.com x enter an email

Cancel Save

5. To finalize, select **Save**.

During CME Globex market hours, policy settings are effective immediately. If markets are closed, updates are effective at the market open.

## Multiple Execution Firm Alerts - Upload

Manage multiple execution firm alert settings by downloading alert settings on a spreadsheet, updating thresholds and email recipients, then uploading.

► **To update multiple threshold alert settings:**

1. From the **Policy & Threshold** menu, select **CME Globex ICC Alerts**.
2. From the list of execution firms, select **Download**.

CME Globex ICC Alerts										 Download	 Upload																												
* Alert settings are not yet effective. Please note - if the CME Globex markets are currently closed, the changes will become effective once the markets are open.																																							
** Alert settings are no longer valid due to invalid firm relationship.																																							
Clearing Member																																							
-- All --																																							
Total settings found: 59																																							
Show 10 entries										Search: <input type="text"/>																													
<table border="1"> <thead> <tr> <th colspan="2">Execution Firm ▲</th> <th colspan="2">Clearing Member ▲</th> <th colspan="2">Thresholds</th> <th colspan="4">Email Recipients ▲</th> </tr> <tr> <th>50%</th><th>60%</th><th>70%</th><th>80%</th><th>90%</th><th>100%</th><th colspan="4"></th> </tr> </thead> <tbody> <tr> <td>X</td><td></td><td>X</td><td></td><td>X</td><td></td><td>X</td><td>X</td><td></td><td>a@b.com</td> </tr> </tbody> </table>										Execution Firm ▲		Clearing Member ▲		Thresholds		Email Recipients ▲				50%	60%	70%	80%	90%	100%					X		X		X		X	X		a@b.com
Execution Firm ▲		Clearing Member ▲		Thresholds		Email Recipients ▲																																	
50%	60%	70%	80%	90%	100%																																		
X		X		X		X	X		a@b.com																														
*	 / 	CME / 																																					

3. Open the spreadsheet, then enter **thresholds** (PCT50 to PCT100) and **email** recipients (up to 20, one per ).

A	B	C	D	E	F	G	H	I	J	K	L
CLEARING_ME MBER_FIRM_ID	CLEARING_MEM BER_CLEAR_ORG	EXECUTION_ FIRM_ID	PCT50	PCT60	PCT70	PCT80	PCT90	PCT100	EMAIL_1	EMAIL_2	EMAIL_3
1 123	CME		X	X	X	X			a@b.com		
2 123	CME		X	X	X						
3 123	CME										
4 123	CME		X					X	a@b.com		
5 123	CME		X	X	X			X	X		
6 123	CME			X	X	X	X	X	a@b.com		
7 123	CME										
8 123	CME			X	X	X	X	X	a@b.com		
9 123	CME			X	X	X	X	X	a@b.com		
10 123	CME										
11 123	CME										
12 123	CME			X		X	X				

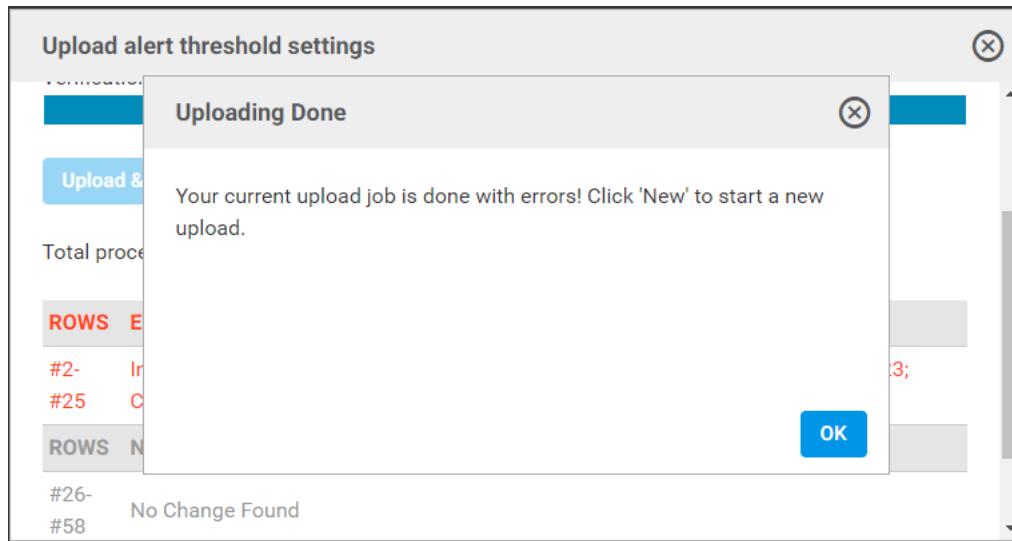
4. On the **CME Globex ICC Alerts** pane, select **Upload**, then **Choose / Browse to** the file.

5. Select **Upload & Verify**.

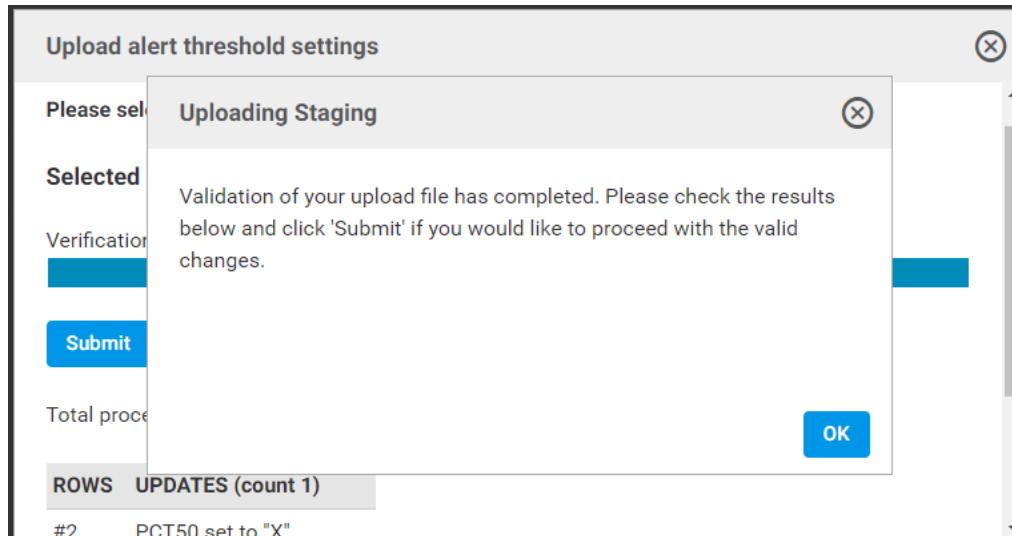
The system validates submissions and an error / process message indicates validation results; including the updated rows and updated details.

- **Error:** When an error is detected a message appears and indicates a recommended resolution.

Select **New**, then choose an updated spreadsheet.



- **Success:** After validation, a message indicates the updated rows and details.  
Select **OK**; repeat as necessary.



6. To finalize, select **Submit**.

# CME Globex ICC Product Restriction Policy

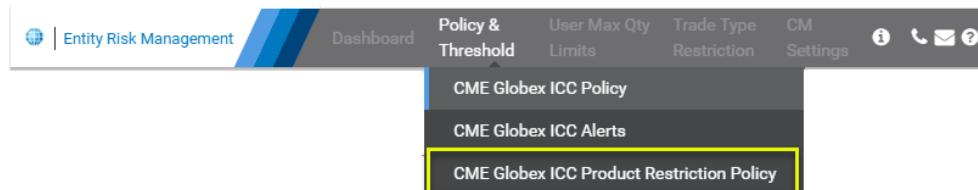
Using the CME Globex ICC Product Restriction Policy authorized clearing firm administrators can:

- View a list of restricted products, including execution firms restricted from submitting orders for the listed product.
- Restrict the ability for execution firms to submit trades for a selected product, including restricting a product for all execution firms.
- Manage execution firm access to trade swap-based event contracts.
- **View Event Swap Restrictions:** View a list of event swap product restrictions as a reference. To manage order entry permissions, use the CME Globex ICC Policy function.
- Remove non-zero limits for restricted products.
- Using the download/upload function to restrict multiple execution firms from submitting trades for multiple products.
- Download accounts: View accounts and product limit details as a spreadsheet.

 **Note:** The product restriction policy does not apply to Mass Quote messages.  
ICC Product Restrictions apply to new orders, order modifications, requests for quote, and cross orders.

## To manage execution firm / product restrictions:

1. Select the **Policy & Threshold** menu, then select **CME Globex ICC Product Restriction Policy**.



2. Find a particular product or firm, by selecting the **Clearing Member** (automatically selected for users with access to one firm), **Product**, **Search** fields.  
Restricted products appear in a list, with the execution firms that have been restricted.
3. To view and manage restrictions for additional products, select **show all products**.

4. To manage product restrictions (a, b) or account limits (c), select the **blue** linked product.

**Note:** Event Swap products are available for view-only. To manage order entry permissions, use the [CME Globex ICC Policy](#) function.

CME Globex ICC Product Restriction Policy		<a href="#">Back to restriction list</a>
Clearing Member	Product	
Clearing1	Event Contracts on Federal Open Market Committee (FOMC) Meetings (ECFD)	
<a href="#">Download accounts with limits</a>		<a href="#">Products Restrictions by Execution Firm</a>
		<a href="#">Restrict Products by Execution Firm</a>
Event Swap firm restrictions are listed as a reference. To manage order entry permissions, use the <a href="#">CME Globex ICC Policy</a> .		
Execution Firm	Restrict Product	Last Limit Removal Date
111 / Firm1	<input type="checkbox"/>	
222 / Firm2	<input type="checkbox"/>	
333 / Firm3	<input type="checkbox"/>	

CME Globex ICC Product Restriction Policy			Back to restriction list
Clearing Member	Product		
CLEARING1	GSCI ER FUTURES (GIE.FUT)	<a href="#">Download accounts with non-zero limits</a>	
<a href="#">Edit</a>			
Execution Firm	Restrict Product	Last Limit Removal Date	
000 / EXEC FIRM1	<input type="checkbox"/>		
111 / EXEC FIRM2	<input checked="" type="checkbox"/>	18-Oct-2018 15:00:48 PM CDT	
222 / EXEC FIRM3	<input type="checkbox"/>		
333 / EXEC FIRM4	<input type="checkbox"/>		

5. Select **Edit** then:

CME Globex ICC Product Restriction Policy				<a href="#">Back to restriction list</a>
Clearing Member	Product			
CLEARING1	GSCI ER FUTURES (GIE.FUT)			<a href="#">Download accounts with non-zero limits</a>
<a href="#">Restrict all</a>				<a href="#">Cancel</a> <a href="#">Save</a>
Execution Firm	Restrict Product	Remove non-zero Limits	Last Limit Removal Date	
000 / EXEC FIRM1	<input type="checkbox"/>	<input type="checkbox"/>		
111 / EXEC FIRM2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	18-Oct-2018 15:00:48 PM CDT	
222 / EXEC FIRM3	<input type="checkbox"/>	<input type="checkbox"/>		
333 / EXEC FIRM4	<input type="checkbox"/>	<input type="checkbox"/>		

- a. **Restrict Product:** Restrict the ability to submit trades. Also restricts unregistered execution firm accounts from submitting orders.
- b. **Remove non-zero limits:** To restrict accounts with specific product limits to submit orders, select this checkbox. For a given execution firm, individual product limits will be set to zero; restricting the ability to submit trades.

 Event Swap Products are not available to manage with Product Restriction Policy functions. To manage execution firm order entry permissions, use the [CME Globex ICC Policy](#) function.

CME Globex ICC Product Restriction Policy				<a href="#">Back to restriction list</a>
Clearing Member	Product			
CLEARING1	GSCI ER FUTURES (GIE.FUT)			<a href="#">Download accounts with non-zero limits</a>
<a href="#">Edit</a>				
Execution Firm	Restrict Product	Last Limit Removal Date		
000 / EXEC FIRM1	<input type="checkbox"/>			
111 / EXEC FIRM2	<input checked="" type="checkbox"/>	18-Oct-2018 15:00:48 PM CDT		
222 / EXEC FIRM3	<input type="checkbox"/>			
333 / EXEC FIRM4	<input type="checkbox"/>			

- c. **Download accounts with limits:** For a given Clearing Member firm, download a spreadsheet of all ICC accounts with individually specified product limits.

6. To finalize, select **Save**.

 **To Restrict multiple execution firms / products via upload:**

1. Select the **Policy & Threshold** menu, then select **CME Globex ICC Product Restriction Policy**.

2. Find a particular product or firm, by selecting the **Clearing Member** (automatically selected for users with access to one firm),  
Restricted products and restricted execution firms, appears as a list.
3. Select (download) **Product Restrictions by Execution Firm**.

**CME Globex ICC Product Restriction Policy**

Clearing Member: CLEARING1      Product: Search Product      Product Restrictions by Execution Firm      Restrict Products by Execution Firm

Total Restricted Products: 10      Total Available Products: 2112 [show all products](#)

Product	Restricted Execution Firms
1 MONTH EURODOLLAR FUTURES (GLB.FUT)	000 / EXEC FIRM1 111 / EXEC FIRM2
1% FOil Cargoes FOB NWE (Platts) vs. 3.5% FOil Barges FOB Rdam (Platts) Fut (FSS.FUT)	111 / EXEC FIRM2
1% Fuel Oil Cargoes CIF MED (Platts) Futures (A1W.FUT)	333 / EXEC FIRM4
AUD/USD Weekly Premium Quoted European Style Option 2pmFix Week 4 (4AD.OOF)	222 / EXEC FIRM3

4. On the dialog that appears, select an **Execution Firm** to restrict, then select **Download**.

**Products Restrictions by Execution Firm Download**

Clearing Member: Select a clearing firm      Select an Execution Firm: Select an execution firm

**Cancel**      **Download**

A MS Excel file is downloaded to the default browser folder (e.g. This PC > Downloads).  
The file contains a list of eligible products for the selected Execution Firm.

5. Open the downloaded MS Excel spreadsheet, then update:

	A	B	C	D	E	F	G	H	I
1	ACTION	RESTRICTED	CLEARING_FIRM	CLEARING_MEMBER_FIRM_ID	EXECUTION_FIRM_ID	PRODUCT_SYMBOL	PRODUCT_TYPE	PRODUCT_EXCHANGE	PRODUCT_LONG_NAME
2	N	N	000	333	444	00C	FUT	CBT	TEST CORN FUTURE
3	Y	Y	000	333	444	00N	FUT	CBT	TEST 10-YEAR U.S. TREASU
4	N	N	000	333	444	00S	FUT	CBT	TEST SOYBEANS FUT
5	N	N	000	333	444	06E	FUT	CME	TEST EUR/USD AMERICAN
6	N	N	000	333	444	0A	FUT	NYMEX	Mini European 1% Fuel O
7	N	N	000	333	444	0AU	FUT	CME	TEST PRODUCT AUSTRALI
8	N	N	000	333	444	0B	FUT	NYMEX	Mini European 1% Fuel O
9	N	N	000	333	444	0C	FUT	NYMEX	Mini European 1% Fuel O
10	N	N	000	333	444	0CA	00F	NYMEX	TEST IN DELIVERY MONTH
11	N	N	000	333	444	0CJ	FUT	NYMEX	TEST PLATINUM FUTURE

- **ACTION:** Mark updated rows with "X".

The system processes only marked rows.

- **RESTRICTED:** Mark updated rows with "Y".

The system processes only marked rows.

**Info:** Marking (RESTRICTED column) rows with "N" will remove restrictions and allow the product to be traded.

- **CLEARING\_FIRM:** *update if applicable*
- **CLEARING\_MEMBER\_FIRM\_ID:** *update if applicable*
- **EXECUTION\_FIRM\_ID:** *If applicable. Enter the Execution Firm(s) to restrict.*

For the selected Clearing Firm, additional Execution Firm(s) and products can be entered.

**Info:** **Example:** The following example illustrates example clearing firm 000, execution firm 444 AND 555 with restrictions for Product 00C -  
Test Corn Futures

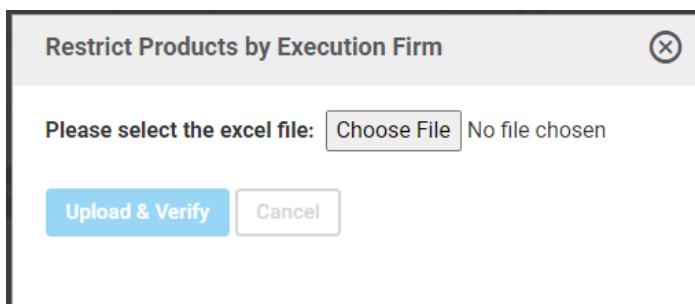
ACTION	RESTRICTED	CLEARING_FIRM	CLEARING_MEMBER_FIRM_ID	EXECUTION_FIRM_ID	PRODUCT_SYMBOL	PRODUCT_TYPE	PRODUCT_EXCHANGE	PRODUCT_LONG_NAME
X	Y	000	333	444	00C	FUT	CBT	TEST CORN FUTURE
X	Y	000	333	555	00C	FUT	CBT	TEST CORN FUTURE

Ensure the products to be restricted are designated before uploading:

- PRODUCT\_SYMBOL
- PRODUCT\_TYPE
- PRODUCT\_EXCHANGE
- PRODUCT\_LONG\_NAME

6. Select (upload) **Restrict Products by Execution Firm**.

On the dialog that appears, **Browse** to the file, then select **Upload & Verify**.



The system validates the file and a message indicates results; including rows and details to update (if applicable) before submitting.

- **Error:** When an error is detected a message appears and indicates a recommended resolution. Select **New**, then choose an updated spreadsheet.
- **Success:** After validation, a message indicates the updated rows and details.

7. To finalize, select **Submit**.

## Allowing an account to trade restricted products

For execution firms with a restricted product policy, an authorized ICC clearing firm ICC or sub-clearing firm [administrator](#) can set product limits to allow a specified account to submit trades.

The following procedure applies to ICC authorized accounts associated with a restricted execution firm.

 **To allow an account to submit orders for restricted products:**

1. Go to Account Management Service (AMS), [search](#) for an account, then enable [product permissions](#).
2. Go to AMS - [Credit Controls](#), then specify Max Qty / Max Qty Short product / position limits.



**Note:** For submitted orders, the more restrictive account or clearing firm limit applies.

# FX Link and FX Spot+ Credit Management

CME FX Link and FX Spot+ credit is managed through the Entity Risk Management (ERM) application. ERM allows Credit Risk Administrators to set and manage credit limits and monitor Credit Group utilization for both FX Link and FX Spot+ at the entity and firm level by product or Net Open Position (NOP).

NOP controls the aggregate net long and net short currency pair positions. It is applied to each currency pair, but enforced separately for each currency.

This guide describes features and functions used by Credit [Administrators](#) to navigate ERM and perform functions necessary for credit risk management, including:

- [Accessing Spot FX Firm settings](#)
- Spot FX and Trading Firm limits: At the [Spot FX](#) and/or [Trading](#) Firm (including [execution](#) firms associated with a trading firm) set product level ([Long/Short](#)) and/or [NOP](#) limits.

 **Note:** Product level ([Long/Short](#)) and [NOP](#) limits are optional, however, at least one must be set to permit trading.

- [Managing Thresholds and Alerts](#): Specify email addresses to receive a notification when a percentage (50-100%) of Spot FX, trading firm NOP and/or product limits have been breached.
- [Account Setup](#)

## Support Resources

### Related Resources

- [Account Management Service](#) (AMS): Create, view and manage accounts, including Spot FX firm associations with trading firms/account owners and execution firms (GFIDs).
- [Risk Monitor](#): View daily account and Spot FX firm activity summary, view activated threshold alerts, audit trail of account / firm activity, list of rejected trades, account and Spot FX firm limit usage, as a chart or table.

### Support

- For login or access issues, contact [Enterprise Application & System Entitlements \(EASE\)](#) or go to the [CME Group Login](#) page.
- For onboarding assistance and application functionality, contact [Global Account Management](#).
- For credit questions or issues contact [FX Spot Credit](#).
- For more details about credit functionality on CME FX Link and FX Spot+, refer to the [CME FX Link and FX Spot+ Credit Overview](#).

## Spot FX Onboarding, Registration, and Support

Prior to requesting access and using the application, the following is required:

- A. [CME Group Login ID](#): including [multi-factor authentication](#)
  - Authenticates user access and application entitlements to ERM, AMS, Risk Monitor
  - Submitted on onboarding/access forms to identify Primary FX and Spot FX firms and users
- B. For security purposes, a Middle Office Admin Manager is required to submit an [access request form](#).

If the firm does not have a Middle Office Manager, contact [CME Global Account Management](#).

After completion of onboarding, admins and users will receive email notification and Spot FX firms will be available for [management](#).

## User Roles

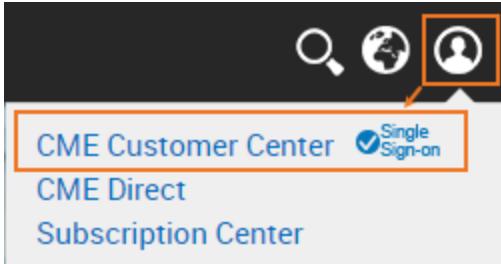
Users will be assigned permission for roles that are suitable for their business function. The following roles are available:

- **Primary FX Firm Admin:** The Primary FX Firm, also known as Central FX Prime Broker (CFXPB), to manage bilateral FX physical settlement. A Primary FX Firm is the principal to all transactions. This model supports an all-to-all marketplace. The Primary FX Firm Admin users have full view and modification capabilities to set limits on each Spot FX Firm [Prime Broker (PB) or Direct Trading Participant].
- **Primary FX Firm Viewer:** The Primary FX Firm Viewer users have full view information capabilities to view limits on each Spot FX Firm (PB or Direct Trading Participant).
- **Spot FX Firm Admin:** The Spot FX Firm (PB or Direct Trading Participant) settles their transactions with the Primary FX Firm and their Trading Firms. The Spot FX Firm Admins are assigned limits from the Primary FX firm and in turn set limits on their Trading Firms. The Spot FX Firm are assigned limits from the Primary FX firm and in turn set limits on their Prime Clients.  
The Spot FX Firm Admin users have full view and modification capabilities to set and view credit limits from their Spot FX Firm to related Trading Firms and to view limits assigned to their Spot FX Firm from the Primary FX Firm.
- **Spot FX Firm Viewer:** The Spot FX Firm Viewer users have full view information capabilities to view credit limits from their Spot FX Firm to related Trading Firms and to view limits assigned to their Spot FX Firm from the Primary FX Firm.

## Log In

### ► To login to Entity Risk Management:

1. Navigate to [cmegroup.com](http://cmegroup.com), select the **Login / Profile icon**(), then select **CME Customer Center** (single sign on).

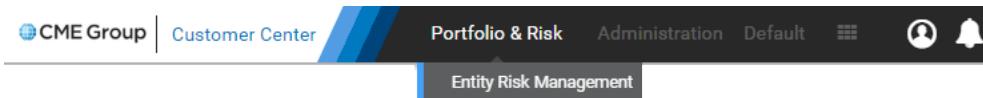


2. On the page that appears, enter the **CME Group Login ID** and **Password**, then select **Login**.



**Note:** To register for a CME Group Login ID, view CME Group Login Registration.

3. From the **Portfolio & Risk** tab, select **Entity Risk Management**.



# Managing Trading Firm Limits

Primary FX Firm and Spot FX Firm Administrators and can set the following FX Spot+ credit limits at the firm level:

- **Net Open Position (NOP):** Controls the aggregate net long and short exposures with a counterparty.
- **Max Qty Long and Max Qty Short:** Limits the net long and short exposures in a currency pair.



Note: [Long/Short](#) and [NOP](#) limits are optional, however, at least one must be set to permit trading.

On entry, each order is credit checked against all applicable limits: Long/Short, NOP, or both.

For credit utilization examples using the **Net Open Position**, **Max Qty Long** and **Max Qty Short** settings, refer to the [CME FX Link and FX Spot+ Credit Overview](#).

## Setting Spot FX Credit Limits

When setting the **Net Open Position (NOP)** and **Max Qty Long** and **Max Qty Short** credit limits for FX Spot+ products, consider the following:



To allow trading **NOP** or **Max Qty Long** and **Max Qty Short** must be set.

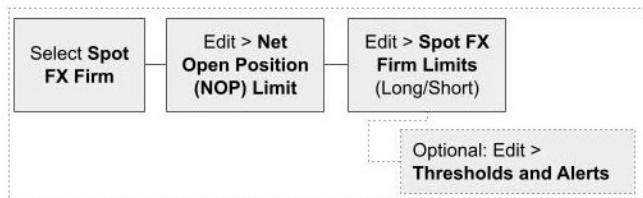
- A **NOP** value of "0" blocks all trading.
- A **Max Qty Long** and **Max Qty Short** value of "0" blocks trading in the currency pair.
- If a **NOP** credit limit is set for the firm and the **Max Qty Long** and **Max Qty Short** credit limits are "Not Set" for currency pairs, trading in each currency pair is limited by the **NOP** setting.
- Conversely, if limits are set for currency pairs and the **NOP** limit is "Not Set", trading in each currency pair is limited by their **Max Qty Long** and **Max Qty Short** limits.
- If both **NOP** and the **Max Qty Long** and **Max Qty Short** limits are set, trading in each currency pair is limited by the most restrictive setting.
- If the **NOP** setting is reduced to "0" after a position is established, only risk-reducing orders are allowed. If both the **Max Qty Long** and **Max Qty Short** limits are reduced to "0" for a currency pair after a position is established, only risk-reducing orders for the currency pair are allowed.

The Primary FX Firm Administrator sets limits for each Spot FX Firm or Direct Trading Participant, which in turn sets limits for Trading Firms and [Execution](#) Firms and accounts. A Trading Firm is a collection of Execution Firms (GFIDs) to which a Spot FX Firm allocates credit; this could be a Prime Client or a Direct Trading Participant.

- [Managing Spot FX Firm](#)
- [Managing Trading Firm](#)

## Setting Credit Limits for Spot FX Firms

As a Primary FX Firm Administrator, use the following procedure to select a Spot FX Firm (Prime Broker or Direct Trading Participant), set thresholds and alerts, and set credit limits for the firm.



### ► To set credit limits for a Spot FX Firm:

1. From the Entity Risk Management menu, select **Spot FX**.
2. From the Spot FX page, select the **Spot FX Firm** to view / manage.

If you are entitled for one Spot FX firm, it is automatically selected.

3. In the **Thresholds and Alerts** pane, set email alerts for up to 20 email recipients when the Spot FX firm uses a select percentage of its limit thresholds (settings from 50% to 100%) , then select **Save**.

4. Select **Edit** in the **Spot FX Firm Limits** pane.

5. Enter a **Net Open Position (NOP) Limit**.

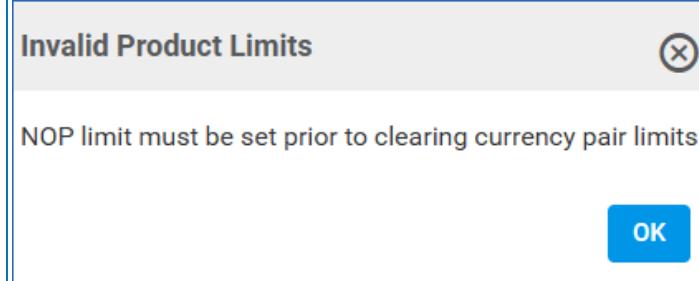
**Note:** Limits are set in USD thousands equivalent.

In the above NOP Limit example: 5455 = \$5,455,000 USD

If you set a NOP limit, it will be applied to all selected product groups and products (currency pairs).

**Note:** If you select **Clear Limits**, all currency pair values for the **Max Qty Long** and **Max Qty Short** are cleared (the NOP value is not cleared).

The NOP limit must be set before clearing any currency pair limits. When attempting to clear Product limits, if NOP limit is not set, a dialog will appear.



## 6. Select Spot FX product groups and currency pairs.

In the **Product Group** field, select a one or more Product Groups or select **ALL**.

Product Symbol	Max Qty Long	Max Qty Short
FXSPOT.AUD/USD (AUDUSD.FXSPOT)	2000	1000

In the **Product** field, select one or more Spot FX currency pairs or select **ALL**.

Product Symbol	Max Qty Long	Max Qty Short
FXSPOT.AUD/USD (AUDUSD.FXSPOT)	2000	1000
FXSPOT.EUR/USD (EURUSD.FXSPOT)	25000	55
FXSPOT.GBP/USD (GBPUKD.FXSPOT)		
FXSPOT.NZD/USD (NZDUSD.FXSPOT)		
FXSPOT.USD/CAD (USDCAD.FXSPOT)		
FXSPOT.USD/CHF (USDCHF.FXSPOT)		
FXSPOT.USD/CNH (USDCN.FXSPOT)		
FXSPOT.USD/JPY (USDJPY.FXSPOT)		

7. To set a credit limit per currency pair, enter a **Max Qty Long** and **Max Qty Short** value for each pair.

**Note:**  
 -Limits are set in USD thousands equivalent.  
 -In the below Spot FX Firm Limits example: 25000 = \$25,000,000 USD  
 -Pending updates appear in green.  
 -Limits updated when the markets are closed are effective at the next market open.

Spot FX Firm Limits

Net Open Position (NOP) Limit (In USD thousands)		Clear Limits	
Product Group	Product	Download	
ALL	ALL		
		Spot FX Firm Limits (In USD Thousands)	
Product Group	Product Symbol	Max Qty Long	Max Qty Short
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FXSPOT)	2000	1000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.EUR/USD (EURUSD.FXSPOT)	25000	55
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.GBP/USD (GBPUUSD.FXSPOT)	5555	20000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.NZD/USD (NZDUSD.FXSPOT)	1000	1000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/CAD (USDCAD.FXSPOT)	1000	1000

**Note:** When attempting to save Firm Limits, if limits are not set, a dialog will appear.

**Invalid Product Limits**

At least one of the currency pairs or the NOP must have limits set.

**OK**

To permit trading, at least one limit (NOP and/or Product) must be set.

8. To finalize, select **Save**.

The NOP and Max Qty Long/Short credit limits are set for all selected currency pairs for the Spot FX firm.

## Setting Credit Limits for Trading Firms

As a Spot FX Firm (Prime Broker or Direct Trading Participant) administrator, use this procedure to access the Spot FX Firm page to link Trading Firms, set up the relationship with Execution Firm(s), create an account if needed, and set credit limits for the Trading Firm.

**Tip:** To set credit limits for a Trading Firm, you must first link the Trading Firm and its accounts.



### To set credit limits for Trading Firms:

1. From the Entity Risk Management menu, select **Spot FX**.
2. From the Spot FX page, select the **Spot FX Firm** to view / manage.

If you are entitled for one Spot FX firm, it is automatically selected.

3. In the **Link a Trading Firms** field select / link a trading firm, then select **Link**.

Remove Trading Firm	Linked Trading Firms	Number of Execution Firms	Number of Accounts	Action
⊗	TEST FIRM	0	0	
⊗		0	0	

As you type, trading firms appear in a list; select from available options.

A confirmation message indicates successful linking and the Trading firm is added to the list of linked firms.

The screenshot shows a 'Link Trading Firms' page. On the left, there is a text input field with placeholder text 'Associate a New Trading Firm' and a button labeled 'Link a trading firm'. On the right, a green success message box displays a checkmark icon and the text 'Trading Firm has been linked.' with a close (X) button.

4. Select the linked Trading Firm.

The screenshot shows a 'Link Trading Firms' page with a table listing linked trading firms. The columns are: Remove Trading Firm, Linked Trading Firms, Number of Execution Firms, Number of Accounts, and Action. The first row shows 'TEST FIRM' with 0 execution firms and 0 accounts. A yellow arrow points to the 'TEST FIRM' entry.

5. To add or change the Execution Firm pane, select **Edit**, then specify **Execution Firm(s)** to link, then select **Save**.

The screenshot shows a 'Spot FX' page for 'TEST Firm'. It includes a 'Execution Firm' pane with a 'Choose an EF' input field, a 'Thresholds and Alerts' pane with checkboxes for 50%, 60%, 70%, 80%, 90%, and 100%, and an 'Email Recipients' section with an input field containing 'r@cmegroup.com'.

6. If the linked Trading Firm does not have an account, [create the account](#) in the **Account Management Service**. A registered account that is linked to a Trading firm, Executing Firm and Spot FX Firm is required on every order.

7. In the **Thresholds and Alerts** pane, set email alerts for up to 20 email recipients when the firm uses a select percentage of its limit thresholds (settings from 50% to 100%).

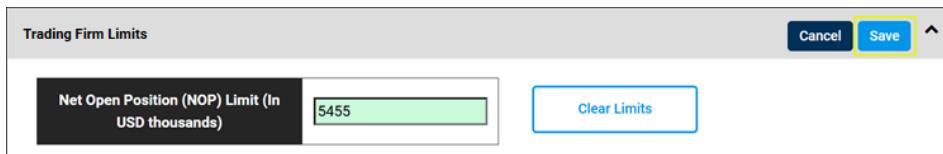
The screenshot shows a 'Spot FX' page for 'TEST Firm' with the same structure as the previous screenshot, but with the 'Thresholds and Alerts' pane highlighted. The checkboxes for 50%, 80%, and 90% are checked. The 'Email Recipients' section remains the same.

8. Select **Edit** in the **Spot FX Firm Limits** pane.



The screenshot shows a 'Trading Firm Limits' pane with a 'Net Open Position (NOP) Limit (In USD thousands)' field set to 'Not Set'. The 'Edit' button is highlighted with a yellow box.

9. Enter a **Net Open Position (NOP) Limit**.



The screenshot shows the 'Trading Firm Limits' pane with the 'Net Open Position (NOP) Limit (In USD thousands)' field set to '5455'. The 'Save' button is highlighted with a yellow box.

**Note:** Limits are set in USD thousands equivalent.

In the above NOP Limit example:  $5455 = \$5,455,000$  USD

If you set a NOP limit, it will be applied to all selected product groups and products (currency pairs).

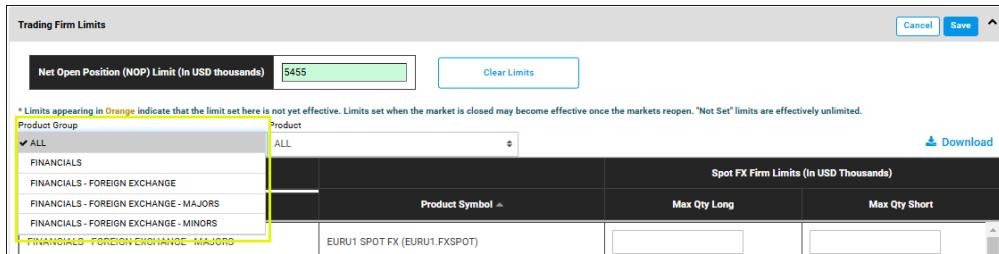
**Note:** If you select **Clear Limits**, all currency pair values for the **Max Qty Long** and **Max Qty Short** are cleared and updated to **Not Set** (the NOP value is not cleared).

		Spot FX Firm Limits (In USD Thousands)	
Product Group	Product Symbol	Max Qty Long	Max Qty Short
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FXSPOT)	Not Set	Not Set

The NOP limit must be set before clearing any currency pair limits.

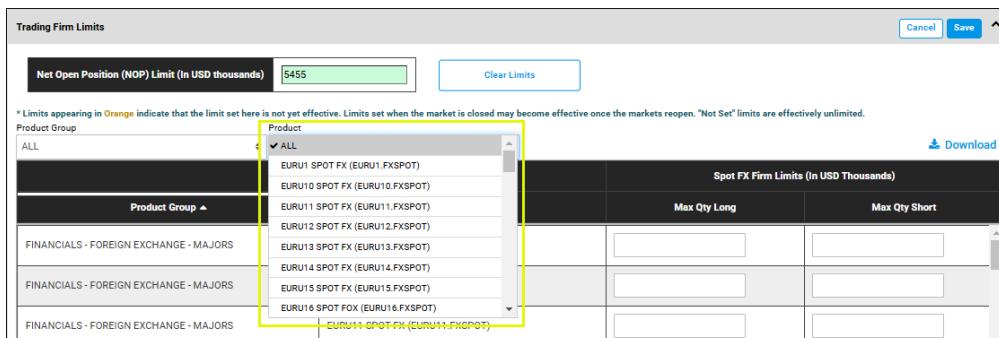
10. Select product groups and currency pairs.

In the **Product Group** field, select a one or more Product Groups or select **ALL**.



The screenshot shows the 'Trading Firm Limits' pane with the 'Net Open Position (NOP) Limit (In USD thousands)' field set to '5455'. The 'Product Group' dropdown menu is open, showing 'ALL' selected. The 'Save' button is highlighted with a yellow box.

In the **Product** field, select one or more currency pairs or select **ALL**.



The screenshot shows the 'Trading Firm Limits' pane with the 'Net Open Position (NOP) Limit (In USD thousands)' field set to '5455'. The 'Product' dropdown menu is open, showing 'ALL' selected. The 'Save' button is highlighted with a yellow box.

11. To set a credit limit per currency pair, set a **Max Qty Long** and **Max Qty Short** value for each pair.

**Note:**  
 -Limits are set in USD thousands equivalent.  
 -In the below Spot FX Firm Limits example: 25000 = \$25,000,000 USD  
 -Pending updates appear in green.  
 -Limits updated when the markets are closed are effective at the next market open.

Trading Firm Limits

Net Open Position (NOP) Limit (In USD thousands)		Clear Limits	
Product Group	Product	Download	
ALL	ALL		
Spot FX Firm Limits (In USD Thousands)			
Product Group ▲	Product Symbol ▲	Max Qty Long	Max Qty Short
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FXSPOT)	2000	1000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.EUR/USD (EURUSD.FXSPOT)	25000	55
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.GBP/USD (GBPUUSD.FXSPOT)	5555	20000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.NZD/USD (NZDUSD.FXSPOT)	1000	1000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/CAD (USDCAD.FXSPOT)	1000	1000

**Note:** Pending updates appear in green.  
 Limits updated when the markets are closed are effective at the next market open.

12. To finalize, select **Save**.

The NOP credit limit is set and will be applied to all selected product groups and currency pairs for the Trading Firm and associated Execution Firm and account.

# Managing Trading/Executing Firms

Primary FX and Spot FX Firm administrators can perform the following tasks to manage their clients:

- [Download credit limits](#)
- [Suspend order entry](#)
- [Remove a linked Trading Firm](#) (FX Spot Firm Administrator)
- [Monitor credit usage](#)

## Downloading Credit Limits

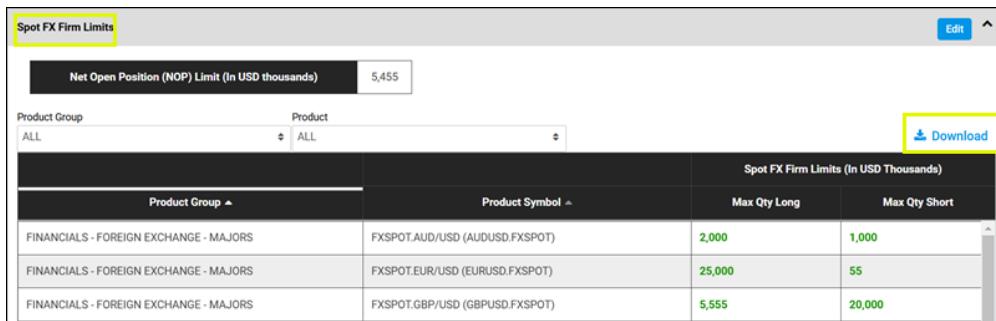
The following administrators can download credit limits set for a FX Spot Firm or Trading Firm:

- Primary FX Firm administrators can download credit limits for each individual FX Spot Firm (Prime Broker/Direct Trading Participant).
- FX Spot Firm administrators can download credit limits for each individual linked Trading Firm.

### ► **To download credit limits:**

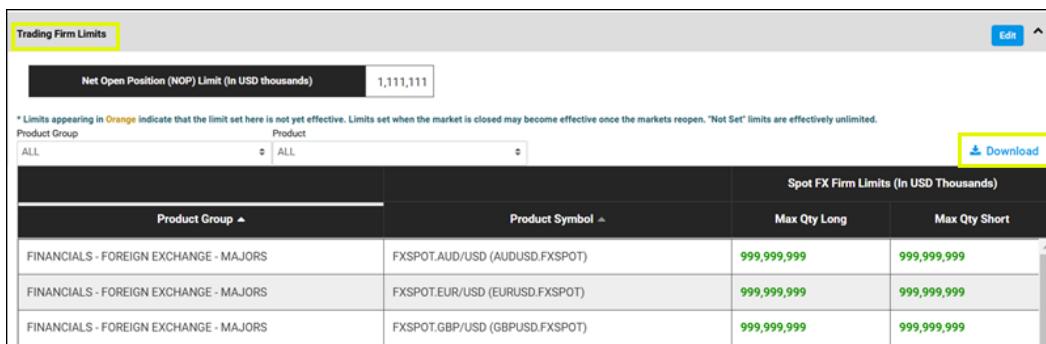
1. From the Entity Risk Management menu, select **Spot FX**.
2. From the Spot FX page, select the **Spot FX Firm** to view / manage.
3. Download the credit limits set for the selected firm.

As a Primary FX Firm Administrator, select **Download** in the **Spot FX Firm Limits** pane.



Product Group		Product	Spot FX Firm Limits (In USD Thousands)	
Product Group ▾	Product Symbol ▾		Max Qty Long	Max Qty Short
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FXSPOT)		2,000	1,000
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.EUR/USD (EURUSD.FXSPOT)		25,000	55
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.GBP/USD (GBPUUSD.FXSPOT)		5,555	20,000

As a FX Spot Firm Administrator, select **Download** in the **Trading Firm Limits** pane.



Product Group		Product	Spot FX Firm Limits (In USD Thousands)	
Product Group ▾	Product Symbol ▾		Max Qty Long	Max Qty Short
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FXSPOT)		999,999,999	999,999,999
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.EUR/USD (EURUSD.FXSPOT)		999,999,999	999,999,999
FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.GBP/USD (GBPUUSD.FXSPOT)		999,999,999	999,999,999

The FXSpot.csv file containing the credit limits is downloaded to your local drive.

For example, the following CSV file shows credit limits set for a FX Spot Firm set by the Primary FX Firm.

Clearing Org	Service	FX Spot Firm	Product Group	Product Symbol	#	Max Long	#	Max Short	NOP
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.AUD/USD (AUDUSD.FWD)	2000	1000			5455
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.EUR/USD (EURUSD.FWD)	25000	55			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.GBP/USD (GBPUED.FWD)	5555	20000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.NZD/USD (NZDUSD.FWD)	55	55			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/CAD (USDCAD.FWD)	150000	250000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/CHF (USDCHF.FWD)	1000	1000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/CNH (USDCNH.FWD)	1000	1000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	FXSPOT.USD/JPY (USDJPY.FWD)	2500000	3500000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MAJORS	TEST AUD/USD SPOT FX (00USD.FWD)	1000	1000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MINORS	FXSPOT.USD/MXN (USDMXN.FWD)	350000	380000			
FXS	ICC	PB Firm 1	FINANCIALS - FOREIGN EXCHANGE - MINORS	FXSPOT.USD/ZAR (USDZAR.FWD)	200	300			

## Suspending Order Entry

Primary FX and Spot FX Firm administrators can suspend new order entry for FX Spot+ products:

- Primary FX Firm administrators can suspend/allow trading for a Spot FX Firm. Trading Firms is still permitted, but order entry will be suspended.
- FX Spot Firm administrators can suspend/allow order entry for linked Trading firms, associated Execution Firms, and accounts.

### To suspend order entry:

1. From the Entity Risk Management menu, select **Spot FX**.
2. From the Spot FX page, select the **Firm** to view / manage.
3. Suspend order entry for the FX Spot Firm or Trading Firm.

As a Primary Firm Administrator, select **Suspend Order Entry** for the Spot FX firm selected in the **Manage Spot FX Firm Limits and Thresholds** pane.

**Manage Spot FX Firm Limits and Thresholds**

---

Clearing Org: **FXS** Service: **ICC** Spot FX Firm: **PB Firm 1**

**PB Firm 1**

**Thresholds and Alerts**

**Spot FX Firm Limits**

As a FX Spot Firm Administrator, select **Suspend Order Entry** for the Trading Firm(s) displayed in the **Link Trading Firms** pane as needed.

**Link Trading Firms**

---

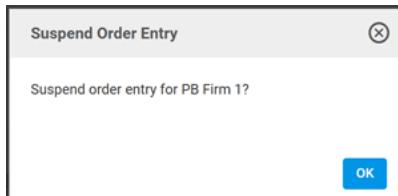
Associate a New Trading Firm  
Link a trading firm

Show **10** entries

Search:

Remove Trading Firm	Linked Trading Firms	Number of Execution Firms	Number of Accounts	Action
		1	1	<input style="border: 2px solid #0070C0; padding: 2px 10px; border-radius: 5px;" type="button" value="Suspend Order Entry"/>
		1	1	<input style="border: 2px solid #0070C0; padding: 2px 10px; border-radius: 5px;" type="button" value="Suspend Order Entry"/>
		1	1	<input style="border: 2px solid #0070C0; padding: 2px 10px; border-radius: 5px;" type="button" value="Suspend Order Entry"/>

4. Select **OK** to confirm.



Order entry is suspended for the firm. Select **Allow Order Entry** to restore trading as needed.



When trading is suspended, new Globex orders will be rejected.

To cancel working / resting orders, an authorized Spot FX user must contact the [GCC](#).

## Removing (Unlinking) a Trading Firm

Spot FX Firm administrators can unlink Trading Firms and their associated Execution Firms and accounts to remove the trading relationship with a firm.

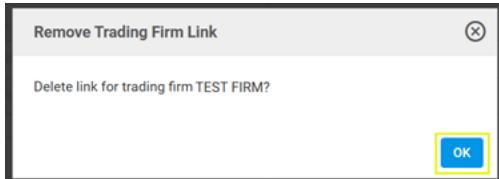
### ► To remove (unlink) a Trading Firm:

1. From the Entity Risk Management menu, select **Spot FX**.
2. From the Spot FX page, select the **Firm** to view / manage.
3. In the **Link Trading Firms** pane, select the delete icon "⊗" to remove a linked Trading Firm.

Link Trading Firms				
Associate a New Trading Firm				
<input type="text" value="Link a trading firm"/> <span>Show 10 entries</span> <span>Search: <input type="text"/></span>				
Remove Trading Firm	Linked Trading Firms	Number of Execution Firms	Number of Accounts	Action
⊗		0	0	
⊗		1	0	<a href="#">Suspend Order Entry</a>
⊗		0	0	
⊗		0	0	

Trading firms with a delete icon are not linked to execution firms with accounts and can be removed.

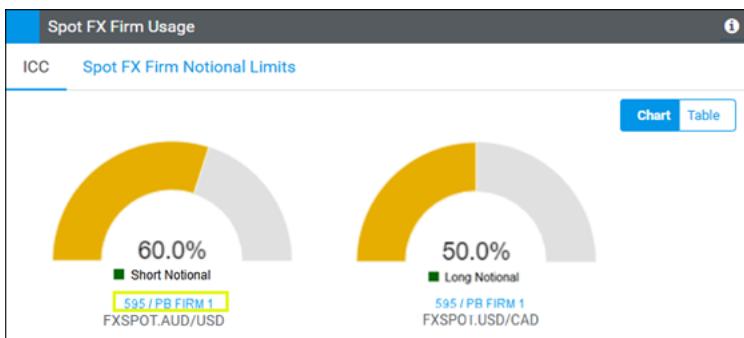
In the **Remove Trading Firm Link** popup, select **OK** to confirm.



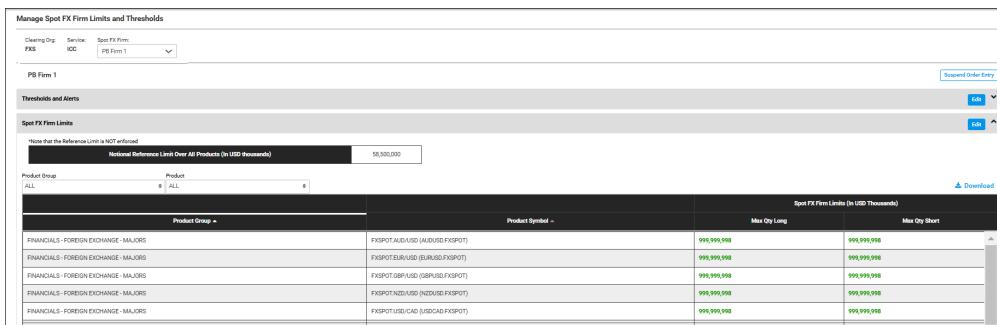
The Trading Firm is unlinked from the Spot FX Firm.

## Monitoring FX Spot Credit Usage

Primary FX and Spot FX Firm administrators can monitor account and firm trading activity, including usage against maximum permissible limits. In [Risk Monitor](#), the **Spot FX Firm Usage** pane on the Dashboard shows the amount of credit used per FX Spot Firm or Trading Firm. The following example shows the percentage of credit used by FX Spot Firms managed by a Primary FX Firm.



Selecting the Clearing ID/Firm name below the chart will link you back to Entity Risk Manager to view or adjust credit limits for the Spot FX Firm as shown.



In the **Spot FX Firm Usage** pane in Risk Monitor, selecting **Spot FX Firm Notional Limits** displays the firm credit usage in notional terms.

Spot FX Firm	Clearing ID	Reference Limit (USD Thousands)	Max Limits Across Products (USD Thousands)	Total Exposure (USD Thousands)	Total Long Exposure (USD Thousands)	Total Short Exposure (USD Thousands)	% Reference Limit Usage	% Max Actual Limit Usage
PB FIRM 1	595	58,500,000	8,111,171,103	62,309	0	62,309	0	60

# Managing Thresholds and Alerts

Authorized Spot FX users can set thresholds to receive an email alert when a percentage (50-100%) of Spot FX and trading firm NOP and product limits have been breached.

## Spot FX Firm Thresholds and Alerts

### ► To manage Spot FX firm thresholds:

1. Select the **Spot FX** menu, then select a **firm** from the drop-down menu.
2. On the Thresholds and Alerts pane, select **Edit**.

Entity Risk Management

Dashboard Policy & Threshold Spot FX

Manage Spot FX Firm Limits and Thresholds

Clearing Org: Service: Spot FX Firm:  
FXS ICC PB Firm1

PB Firm1 Suspend Order Entry

Thresholds and Alerts

50%	60%	70%	80%	90%	100%
<input type="checkbox"/>					

Email Recipients

3. On the edit dialog that appears, select **thresholds** at which to be notified.
4. Enter individual email addresses, followed by the **ENTER** key.

Up to 20 email addresses can be added.

Manage Spot FX Firm Limits and Thresholds

Clearing Org: Service: Spot FX Firm:  
FXS ICC PB Firm1

PB Firm1 Suspend Order Entry

Thresholds and Alerts

50%	60%	70%	80%	90%	100%
<input type="checkbox"/>					

Email Recipients

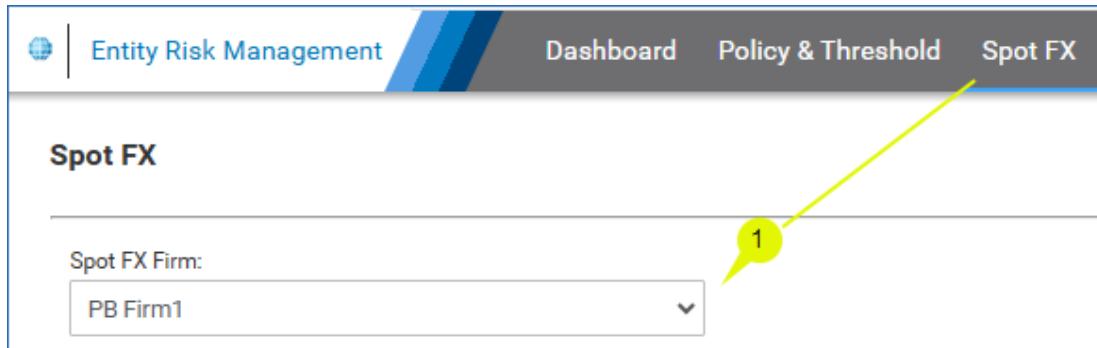
2@a.com ✖ 1@a.com ✖ Enter an Email

5. After completing threshold and alert entry, select **Save**.

## Trading Firm Thresholds and Alerts

### ► To manage trading firm thresholds:

1. Select the **Spot FX** menu, then select a firm from the drop-down menu.



**Entity Risk Management**      Dashboard      Policy & Threshold      **Spot FX**

**Spot FX**

Spot FX Firm: **PB Firm1**

2. On the *Link Trading Firms* pane, select a blue linked trading **firm** to manage.



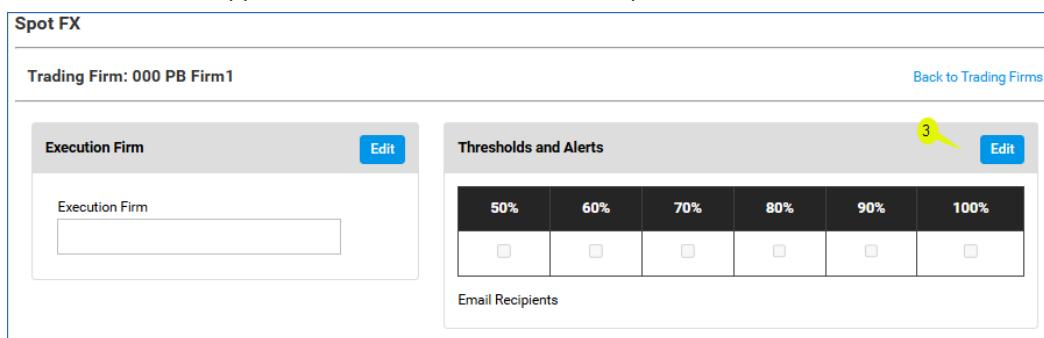
**Link Trading Firms**

Associate a New Trading Firm  
Link a trading firm

Show 10 entries      Search:

Remove Trading Firm	Linked Trading Firms	Number of Execution Firms	Number of Accounts	Action
	Trading Firm1	1	1	<b>Suspend Order Entry</b>
	Trading Firm2	2	1	<b>Suspend Order Entry</b>

3. On the screen that appears, on the *Thresholds and Alerts* pane, select the **Edit** button .



**Spot FX**

Trading Firm: 000 PB Firm1      [Back to Trading Firms](#)

**Execution Firm**      **Edit**

Execution Firm

**Thresholds and Alerts**      **Edit**

50%	60%	70%	80%	90%	100%
<input type="checkbox"/>					

Email Recipients

4. On the edit dialog that appears, select **thresholds** at which to be notified.

5. Enter individual email addresses, followed by the **ENTER** key.

Up to 20 email addresses can be added.

**Thresholds and Alerts**

**Cancel** **Save**

50%	60%	70%	80%	90%	100%
<input type="checkbox"/>					

**Email Recipients**

Enter an Email

6

4

5

6. After completing threshold and alert entry, select **Save**.

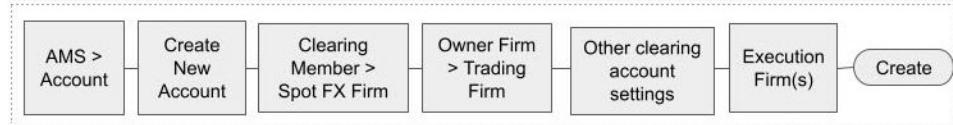


# Account Setup

## Creating a FX Spot Account

Following [Trading and Execution](#) Firm and [limits](#) setup, before the entity is authorized to submit orders, use Account Management Service to create an account associated with the Execution Firm.

The following instructions illustrate the process to create a clearing account, entitled for Inline Credit Controls (ICC) and used for FX Spot+.



After creating a ICC enabled account, FX Spot requires a Central FX Prime Broker to use Entity Risk Manager to [associate a trading firm](#) with the CME Globex Executing firm(s).

### To create a trading account:

1. From [Account Management Service](#), perform an account search.

If the account does not exist, select **Create New**.

2. On the page that appears, enter account details.

### Account Details

**Clearing Account Settings**

- a: Spot FX Firm: TEST\_PB
- b: Account Number: Enter Account Number
- c: Description: Enter Description
- d: Owner Firm: TEST FIRM ABC
- e: Margin Account Owner Firm: SELF
- f: CTI Code: 4
- g: Services: ICC (CME Globex)
- h: Execution Firms: FX-ecution firm (432) x Choose an EF

**Execution Firms**

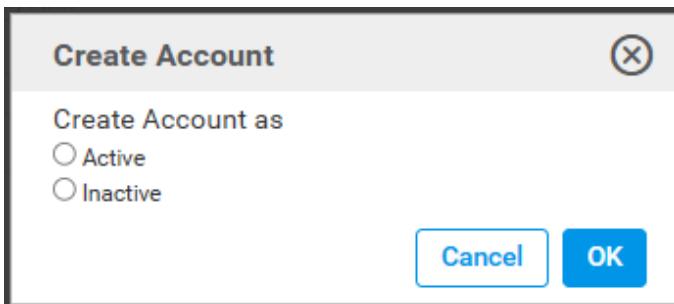
Cancel Create

- a. **Clearing Member:** Enter the name of the **FX Spot Firm** submitted on the onboarding form.  
The field name updates to *FX Spot Firm*.
- b. **Account Number:** Unique and existing account numbers not linked to the GFID/Execution firm may be used.  
This account **must** be present on every order.  
For EBS GFIDs, use the recommended name format: "GFIDFXSpot".
- c. **Description:** Specify details to identify the firm or its purpose.
- d. **Owner Firm:** Refers to the *Trading Firm* associated with the FX Spot Firm, as submitted on [onboarding](#) forms.
- e. **Customer/House:** (default is Customer) Indicates whether the account represents customer segregated funds or house funds.
- f. **CTI Code:** **CTI1** - An individual member trading for her or her own account, **CTI2** - A member firm trading for its proprietary account, **CTI3** - A member firm trading for another member, **CTI4** (default) - All other individuals.
- g. **Service:** For FX Spot, the only available option is ICC (CME Globex).
- h. **Execution Firms:** Select the execution firm that was submitted on onboarding forms and setup by CME Group to be selectable from the list.

Available options and required details [indicated by a red asterisk (\*)] are dependent on selected firm and service.

 **Example:** ICC (CME Globex)/Spot FX enabled accounts do not require [Market / Product / Broker](#) permissions.

3. After entering account details, select **Create**, then select to create **Active** or **Inactive** (to activate later).

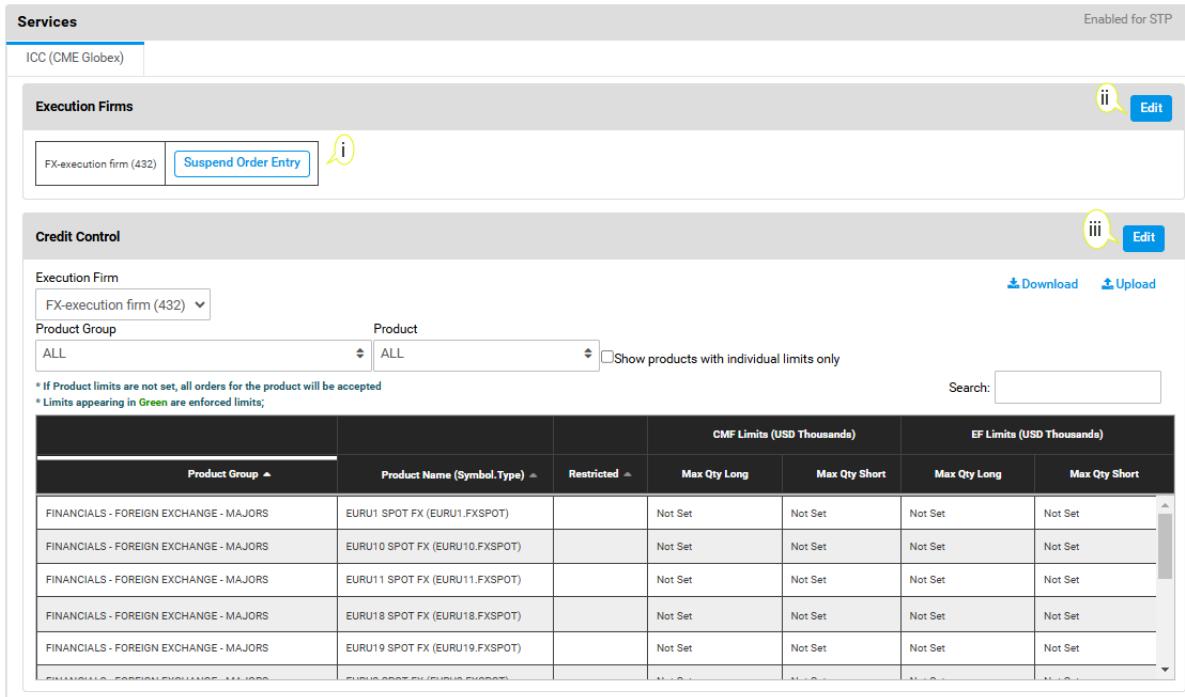


ERM includes additional functions to suspend order entry and manage long/short firm [limits](#) at the Spot FX firm level.

## Additional Account Functions

From the AMS > Services screen, authorized admin users can also manage account-level settings, including:

- i. Suspending Execution Firm order entry,
- ii. Editing Account details or
- iii. Managing account-level credit controls (long/short quantity limits).



The screenshot shows the 'Services' section of the AMS interface. At the top, a banner indicates 'Enabled for STP'. Below this, the 'Execution Firms' section is shown, with a sub-section for 'FX-execution firm (432)'. A 'Suspend Order Entry' button is highlighted with a yellow callout 'i'. The 'Credit Control' section follows, featuring a 'Download' and 'Upload' button, and a table for managing 'CMF Limits (USD Thousands)' and 'EF Limits (USD Thousands)'. The table includes columns for Product Group, Product Name (Symbol.Type), Restricted status, and various quantity limit fields. A note at the top of the table states: '\* If Product limits are not set, all orders for the product will be accepted' and '\* Limits appearing in Green are enforced limits;'. A search bar is also present.

## Support Resources

- For login or access issues, contact [Enterprise Application & System Entitlements \(EASE\)](#) or go to the [CME Group Login](#) page.
- For onboarding assistance and application functionality, contact [Global Account Management](#).  
For credit questions or issues contact [FX Spot Credit](#).

# User Max Qty Limits

Use User Max Qty Limits to view and manage maximum allowable CME Direct order limits for the following order types: outright, intra-commodity spreads, strips and inter-commodity spreads. Orders in excess of set limits will be rejected.

► **To view and manage User Max Qty Limits:**

1. Select the **User Max Qty Limits** menu, then perform a **search**.

Available criteria:

- **Clearing Member**
- **User Name**
- **Firm Name**

The screenshot shows the Entity Risk Management interface with the 'User Max Qty Limits' menu selected. The search interface includes fields for 'Clearing Member' (dropdown), 'User Name' (text input), 'Firm Name' (text input), and a 'Search' button. The background shows the 'CME Direct - User Max Qty Limits' section.

Search results include the following:

- **User:** User name (Account Number).
- **Role:** Trader or Broker.
- **Limits Status:** Indicates if limits are active / inactive.
- **Firm:** User's firm.
- **Clearing Member:** Clearing firm that clears the user's trades.
- **# of Products Set:** Products with limits.

The screenshot shows the Entity Risk Management interface with the 'User Max Qty Limits' menu selected for CMED. The search interface includes fields for 'Clearing Member' (dropdown), 'User Name' (text input), 'Firm Name' (text input), and a 'Search' button. A message below the fields states: 'Not all records are returned due to the size of search results. Please narrow down search using search criteria.' Below the message is a table with columns: User, Role(s), Limits Status, Firm, Clearing Member, and # of Products Set. The table contains three rows of data.

User	Role(s)	Limits Status	Firm	Clearing Member	# of Products Set
[REDACTED]	broker	Active	ATS_BROKER1	[REDACTED]	Not Set
[REDACTED]	trader	Active	Broker1api INC.	[REDACTED]	12
[REDACTED]	broker	Active	CME Group Inc. GCC	[REDACTED]	1

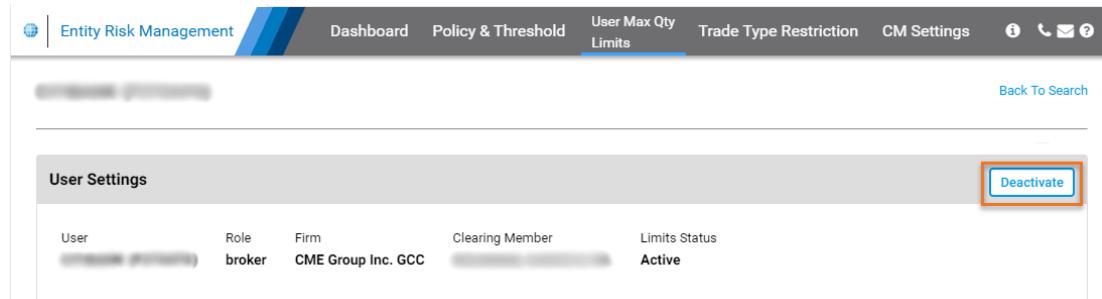
2. To edit user information **select the blue** hyperlink user name.

3. Select from the following functions:

## User Settings

- **Deactivate:** From the User Settings pane, select to **Deactivate / Activate**.

Prevent or Allow the selected user from submitting trades to the CME Globex platform.

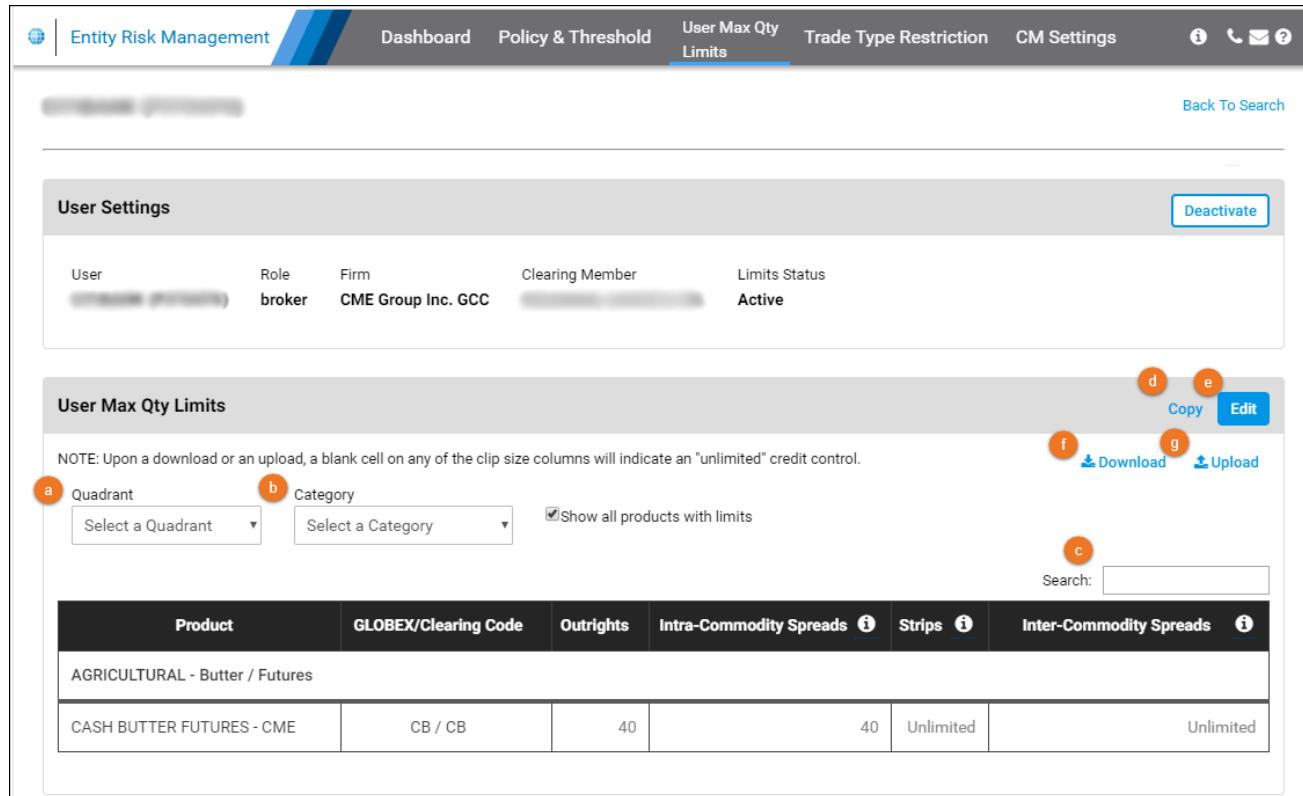


User Settings

User: [REDACTED] Role: broker Firm: CME Group Inc. GCC Clearing Member: [REDACTED] Limits Status: Active

Deactivate

**User Max Qty Limits** - Specify or copy product limits from an existing user, to another user or update multiple via the upload process.



User Settings

User: [REDACTED] Role: broker Firm: CME Group Inc. GCC Clearing Member: [REDACTED] Limits Status: Active

Deactivate

User Max Qty Limits

NOTE: Upon a download or an upload, a blank cell on any of the clip size columns will indicate an "unlimited" credit control.

**a** Quadrant **b** Category **c** Search:  **d** **e** **f** Download **g** Upload **Copy** **Edit**

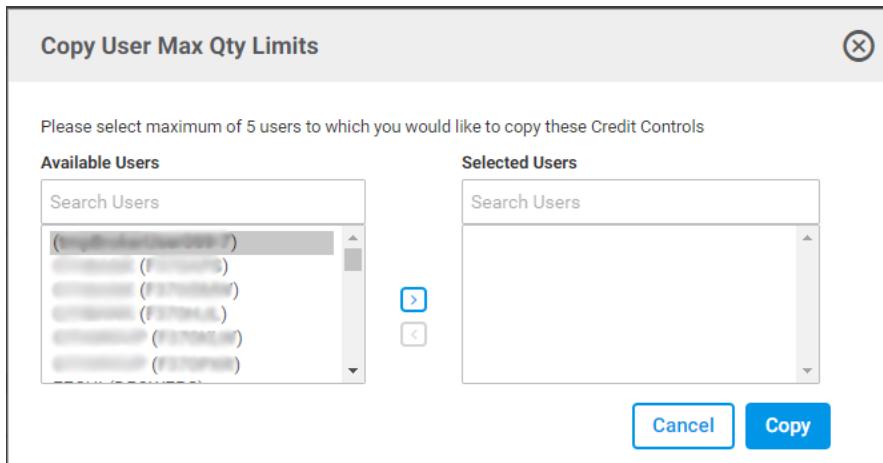
Product	GLOBEX/Clearing Code	Outrights	Intra-Commodity Spreads <i>?</i>	Strips <i>?</i>	Inter-Commodity Spreads <i>?</i>
AGRICULTURAL - Butter / Futures	CB / CB	40	40	Unlimited	Unlimited
CASH BUTTER FUTURES - CME					

## Filter

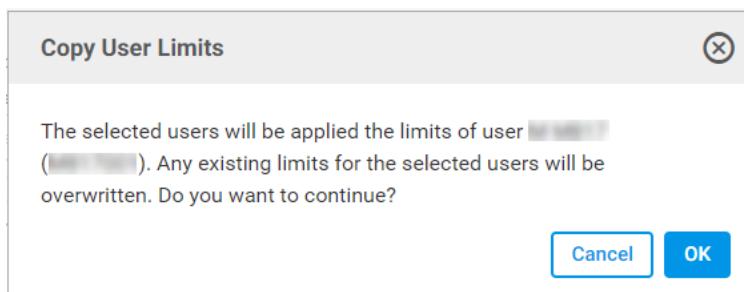
- Quadrant:** Filter by product quadrant, filters available Category selections.
- Category:** Filter by product category, automatically selects the Quadrant.
- Show all products with limits:** Limit the product list only to products with limits. only these products.

## User Max Qty Limit functions

- Copy:** Copy product limit settings for the current user, then apply to a maximum of five selected users.



After selecting and copying to the selected user(s), select the confirmation dialog to continue.



e. **Edit:** Set maximum quantity per order limits, then select **Submit** to finalize.

To prevent order entry for the specified product and order type, enter a limit of zero (0).

Orders in excess of the set limits will be rejected.

User Max Qty Limits						Cancel	Submit																
NOTE: Upon a download or an upload, a blank cell on any of the clip size columns will indicate an "unlimited" credit control.																							
Quadrant	Category	<input checked="" type="checkbox"/> Show all products with limits <input type="button" value="Set All Unset Limits to Zero"/>																					
Select a Quadrant	Select a Category																						
<table border="1"> <thead> <tr> <th>Product</th> <th>GLOBEX/Clearing Code</th> <th>Outrights</th> <th>Intra-Commodity Spreads <small>i</small></th> <th>Strips <small>i</small></th> <th>Inter-Commodity Spreads <small>i</small></th> <th> </th> <th> </th> </tr> </thead> <tbody> <tr> <td>AGRICULTURAL - Butter / Futures</td> <td>CASH BUTTER FUTURES - CME</td> <td>CB / CB</td> <td>40</td> <td>40</td> <td>Unlimited</td> <td>Unlimited</td> <td>Unlimited</td> </tr> </tbody> </table>								Product	GLOBEX/Clearing Code	Outrights	Intra-Commodity Spreads <small>i</small>	Strips <small>i</small>	Inter-Commodity Spreads <small>i</small>			AGRICULTURAL - Butter / Futures	CASH BUTTER FUTURES - CME	CB / CB	40	40	Unlimited	Unlimited	Unlimited
Product	GLOBEX/Clearing Code	Outrights	Intra-Commodity Spreads <small>i</small>	Strips <small>i</small>	Inter-Commodity Spreads <small>i</small>																		
AGRICULTURAL - Butter / Futures	CASH BUTTER FUTURES - CME	CB / CB	40	40	Unlimited	Unlimited	Unlimited																
Search: <input type="text"/>																							

**Spreads:** Spread limits apply only to spread orders, not the component legs. If only Outright limits are set, limits will impact spread orders by extending the limit to each component leg of a strategy.

**Example:** If Crude Oil / Futures have an Outright limit of 100 and all spread limits are "unlimited", any attempts to submit a 100-lot butterfly in Crude Oil / Futures would fail because the component legs would be treated as an individual order and validated against the Maximum Order Quantity limit. Leg 1 has a quantity of 100; Leg 2 has a quantity of 200 and Leg 3 has a quantity of 100. Leg 2 violates the limit, so the order may not be submitted.

f. **Download:** View a single user's limits by downloading product settings in a spreadsheet.

g. **Upload:** After downloading and updating the product limits spreadsheet, upload to update multiple user limits.

## Multiple User Limits - Upload

Manage multiple user limits by [downloading](#) product settings as a spreadsheet, [updating](#) product limits, then [uploading](#).

### ► To update multiple user limits:

1. Select the **User Max Qty Limits** menu, then perform a [search](#).

User	Role(s)	Limits Status	Firm	Clearing Member	# of Products Set
[REDACTED]	broker	Active	ATS_BROKER1	[REDACTED]	Not Set
[REDACTED]	trader	Active	BrokerTapi INC.	[REDACTED]	12
[REDACTED]	broker	Active	CME Group Inc. GCC	[REDACTED]	1

2. From the search results, select a [User](#).
3. From the **User Max Qty Limits** pane, select [Download](#).

User Settings					Deactivate
User (tmpBrokerUser069-7)	Role broker	Firm ATS_BROKER1	Clearing Member [REDACTED]	Limits Status Active	
User Max Qty Limits					
NOTE: Upon a download or an upload, a blank cell on any of the clip size columns will indicate an "unlimited" credit control. Quadrant: Select a Quadrant Category: Select a Category <input type="checkbox"/> Show all products with limits Search: [REDACTED]					
Product	GLOBEX/Clearing Code	Outrights	Intra-Commodity Spreads <small>i</small>	Strips <small>i</small>	Inter-Commodity Spreads <small>i</small>
AGRICULTURAL - Butter / Futures					
CASH BUTTER FUTURES - CME	CB / CB	Unlimited	Unlimited	Unlimited	Unlimited
BUTTER FUTURES - CME	DB / DB	Unlimited	Unlimited	Unlimited	Unlimited

Default User settings are filtered to show only products with individual limits, but the downloaded spreadsheet includes all available [products](#).

## Entity Risk Management

4. Open the spreadsheet, enter necessary product limits updates; Outrights, Intra-Commodity Spreads, Strips, Inter-Commodity Spreads.



**Note:** To add users, copy and paste a row, then update the differences.

5. For updated rows, enter **X** in the **ACTION** column, then **Save**.

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	CLEARING	FIRMANAME	USERNAME	FIRMANAME_CODE	CLEARING	PRODUCT_TYPE	PRODUCT_EXCHANGE	OUTRIGHTS	INTRA_COMMODITY_SPRADS	INTER_COMMODITY_SPRADS	PRODUCT_NAME	GLOBEX_SYMBOL	QUADRANT	CATEGORY
2 x	123	tmpBrokerUsATS		BROKEFCB	FUT	CME		10			CASH BUTTER FUTLCB		AGRICULTUR	Butter
3 x	123	tmpBrokerUsATS		BROKEFDB	FUT	CME			10		BUTTER FUTURES DB		AGRICULTUR	Butter
4	123	tmpBrokerUsATS		BROKEFCB	OOF	CME			n/a	n/a	CASH BUTTER OPTICB		AGRICULTUR	Butter
5	123	tmpBrokerUsATS		BROKEFDB	OOF	CME			n/a	n/a	BUTTER OPTIONS DB		AGRICULTUR	Butter
6 x	123	tmpBrokerUsATS		BROKEFCSC	FUT	CME			10		Cash-Settled Chees CSC		AGRICULTUR	Cheese
7	123	tmpBrokerUsATS		BROKEFCSC	OOF	CME			n/a	n/a	Cash-Settled Chees CSC		AGRICULTUR	Cheese
8	123	tmpBrokerUsATS		BROKEFCCC	FUT	CCE				10	Cocoa Financial Fut CCC		AGRICULTUR	Cocoa

6. From the **User Max Qty Limits** pane, select **Upload**, then **Choose / Browse to** the file.

(tmpBrokerUser069-7)

Back To Search

**User Settings**

User (tmpBrokerUser069-7) Role broker Firm ATS\_BROKER1 Clearing Member Limits Status Active [Deactivate](#)

**User Max Qty Limits**

NOTE: Upon a download or an upload, a blank cell on any of the clip size columns will indicate an "unlimited" credit control.

[Download](#) [Upload](#)

**Upload User Limits**

Please select the excel file: [Choose File](#) User\_tmpBroke...9-7 (1).xlsx

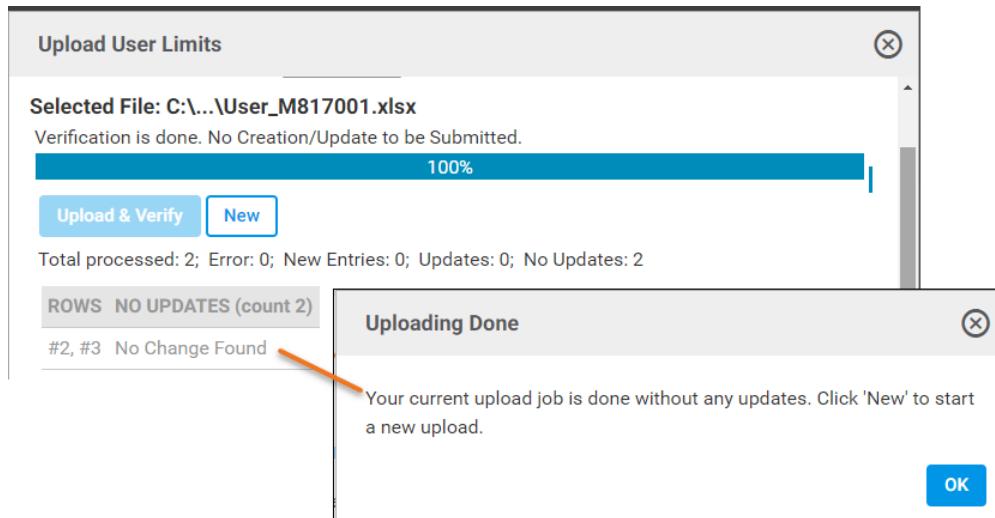
Selected File: C:\...\User\_tmpBrokerUser069-7 (1).xlsx

[Upload & Verify](#) [Cancel](#)

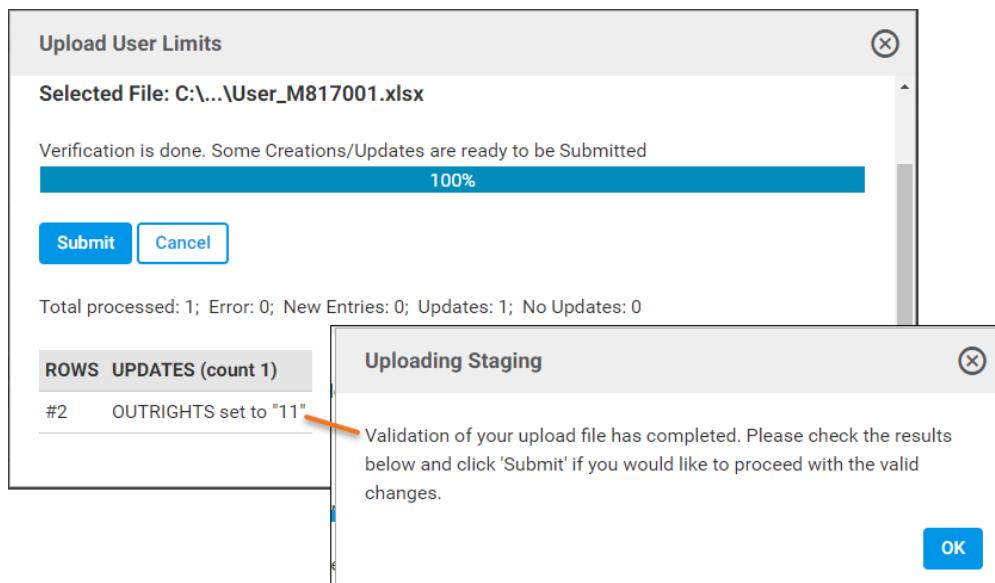
7. Select **Upload & Verify**

The system validates submissions and a message indicates validation results; including rows and details to update (if applicable) before submitting.

- Error:** When an error is detected a message appears and indicates a recommended resolution. Select **New**, then choose an updated spreadsheet.



- **Success:** After validation, a message indicates the updated rows and details.



9. To finalize, select **Submit**.

# Trade Type Restriction

Use Trade Type Restriction to view trading firm trade type restrictions and restrict CME ClearPort enabled trading firms from submitting block trades.



**Note:** Account based trade type restriction is managed with [Account Management Service](#).



## To manage Trade Type Restrictions:

1. Select the **Trade Type Restriction** menu, then perform a **search**.

Available criteria:

- **Clearing Member:** Available selections are based on Clearing Firm entitlements.  
For the selected Clearing Member, view trading firms that have been restricted from block trade type.
- **Trade Type:** Block is the default selection.

For the selected Clearing Member Firm, a total of available firms is indicated and restricted trading firms appear in a list.

2. Select **Edit**.

Trade Type Restriction By Firm

Clearing Member   1 Trade Type BLOCK 2

Search Edit

Total Restricted Firms: 12  
Total Available Firms: 176

Show 10 entries Search:

Trading Firm
trading0
trading1
trading2
trading3
trading4

3. Select and add from **Available Firm(s)**.

Clearing Member: trading1 | Trade Type: BLOCK | **Cancel** | **Save**

Selecting a trading firm will restrict all current and new accounts for that firm.

Available Firms	Selected Firms
Search Firms	Search Firms
trading1	trading5
trading2	trading6
trading3	trading7
trading4	

- : Add selected
- : Add All
- : Remove selected (from Selected Firms pane)
- : Remove All (From Selected Firms pane)

4. To finalize, select **Save**.

# CM Settings

Use the CM Settings to manage trading firm entitlements to view account credentials.

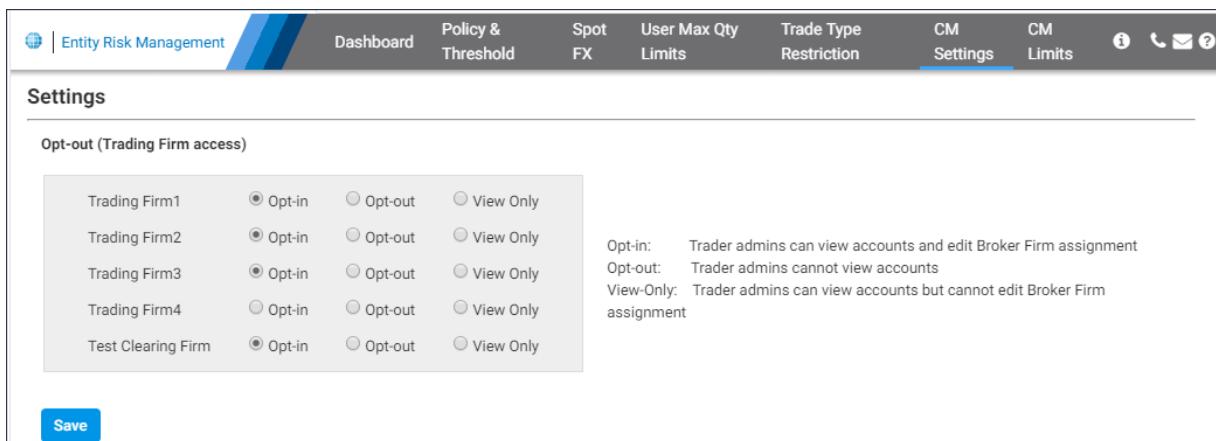
► **To manage CM Settings:**

1. Select the **CM Settings** menu.

On this page, view a list of Clearing member firms for which you are entitled, for CME ClearPort / CME Globex clearing firm admins.

2. Select a clearing firm to manage trading firm access:

- **Opt-in:** Default, Trader admin can view account and manage broker firm assignment.
- **Opt-out:** Trader admin cannot view account or manage broker firm assignment.
- **View-only:** Trader admin can view accounts, but cannot manage broker or firm assignment



**Settings**

Opt-out (Trading Firm access)

Trading Firm	Opt-in	Opt-out	View Only
Trading Firm1	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trading Firm2	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trading Firm3	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Trading Firm4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Test Clearing Firm	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opt-in: Trader admins can view accounts and edit Broker Firm assignment  
 Opt-out: Trader admins cannot view accounts  
 View-Only: Trader admins can view accounts but cannot edit Broker Firm assignment

**Save**

3. To finalize, select **Save**.

