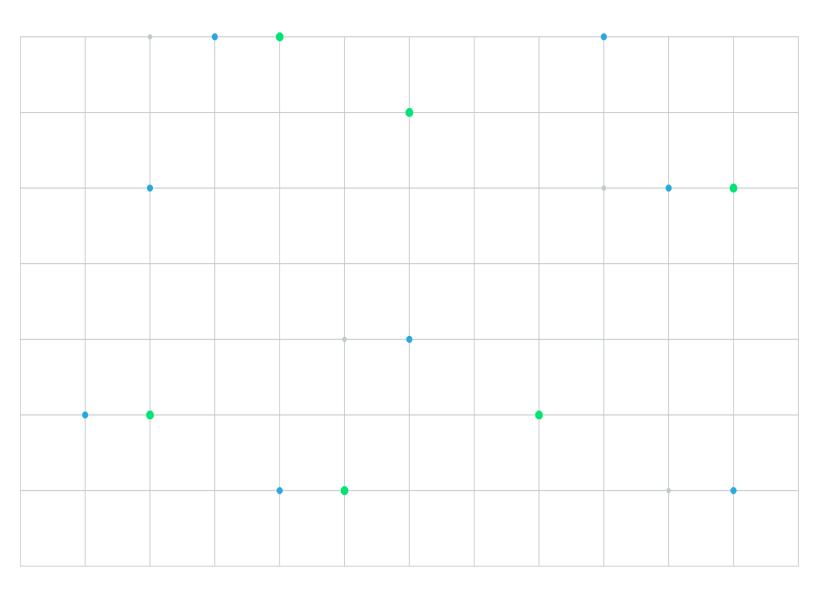


Firm Administrator Dashboard

22 May 2025



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Getting Started

The Firm Administrator Dashboard (FADB) offers registered clearing and Globex firm users the ability to view user details and entitlements for a variety of clearing and Globex firm applications. Available applications lists include:

- GCC Outbound contacts
- Messaging Efficiency Program
- Contacts (by Executing Firm / Individual)
 - Trader
 - Session
 - Firm Contacts
- Statistics
 - Messaging
 - Sessions
- · Clearing Firm Mapping
- Self-Match Prevention
- iLink Session ID connectivity and volume

FADB adopted CME User Administration, for Registered Entities to manage user entitlements. In order to manage FADB entitlements, please contact <u>Global Account Management</u>, to become a Registered Entity. Each Registered Entity will have designated Admin Managers who will have access to User Administration. Within this tool you will be able to onboard and off board users at your convenience. You will not be able to manage FADB entitlements within the FADB application as all entitlements for FADB are performed via CME Customer Center - <u>User Administration</u>.

Assigned Roles and Capabilities

FADB Update - All: role is authorized for the following:

- View specialized reports in the Firm Administrator Dashboard (FADB), which contains information for all Executing firms cleared. This includes: clearing mapping, iLink session IDs, Firm Registered Contacts, Cancel On Disconnect, Firm Admin Dashboard Users, Messaging Efficiency Contacts and GCC Outbound Contacts.
- View iLink session passwords in the Firm Administrator Dashboard (FADB).
- Enable / Disable Cancel on Disconnect (COD) functionality via the FADB.
- Add, modify, and delete Clearing and Executing Firm Messaging Efficiency Program (MEP) contacts via the FADB.
- View messaging metrics for CME Globex Messaging Efficiency Program.
- Submit CME Globex Messaging Efficiency Program Request for Waivers (RFW).
- Request Self-Match Prevention IDs.
- View iLink session stats.

FADB Update - Partial: role is authorized for the following:

- Enable / Disable Cancel on Disconnect (COD) functionality via the FADB.
- View messaging metrics for CME Globex Messaging Efficiency Program.
- Submit CME Globex Messaging Efficiency Program Request for Waivers (RFW).
- Request Self-Match Prevention IDs.
- · View iLink session stats.

FADB View - SOX (Sarbanes Oxley): role is authorized for the following:

• View users' system entitlements.

What's New

The list below illustrates the updates made to the Firm Admin Dashboard Help system.

Date	Торіс	Description
22 May 2025	Footer on web pages	Corrected footer section's links of online web help.
19 Dec 2024	Messaging Stats	Added instructions for viewing messaging statistics, including EMT and monthly surcharges.
31 May 2024	Self-Match	Modified instructions for Upload SMS Configuration.
5 Apr 2024	Messaging Stats	Added Excessive Messaging Threshold (EMT) statistics.
16 Dec 2022	Footer	Online version: modified footer's links to Contact Us and Survey.
26 Apr 2022	Format only	Re-format to comply with new standards.
18 Feb 2022	Self-Match Prevention	Updated introductory description to reference buy / sell order that contain the same SMP ID and GFID.
12 Oct 2021	Login	Logging In and Out topic in its own menu item under Getting Started.
8 Oct 2021	Format only	Re-format to comply with new standards
15 May 2021	Format only	Re-format to comply with new standards
25 Mar 2021	Self-Match Prevention	Added references to iLink 3 Binary Order Entry
22 Feb 2021	Various	Updated references of Tag 50 to Operator ID
18 Jun 2019	Format	Modified format for online webhelp.
21 May 2019	Format	Modified format to comply with new CME standards.
19 Oct 2018	Getting Started	Elimination of user reports in the Firm Admin Dashboard. Self-Match Prevention (SMP) fields for Operator ID and Account Number are now optional.
20 Dec 2017	Format	Changed format to comply with new CME standards. Content is the same.

Date	Topic	Description
17 Oct 2017	Self-Match Prevention	Redirect client systems wiki url, from Client Impact to CME Globex resources.
8 Sep 2017	Messaging Program Administration > CME Application Reports Search Executing Firm	Closure of CME Europe and removal of field selection options.
8 Sep 2017		Self-Match Prevention: Authorized users can specify executing firm relationships, via a CME Globex generated SMP ID to mitigate the risk of trading against accounts with the same beneficial ownership / relationship.
14 Jul 2017	Getting Started CME Group Login Registration	Removed video links: Outbound contacts CME Group Login Registration
24 May 2016	Various	 Various changes: Converted online Webhelp to HTML5. Replaced 'Executing Firm' with 'Globex Firm' throughout and replaced visuals as needed. Used 'CME Group Login' throughout (per CME re-branding in June 2016). Session ID Tab added columns: Session Feature and MSGW. These features were migrated to the User Administration application in CME Customer Center and hence removed from this manual: Grant iLink Session Password Permission (under Search) Set iLink Session ID Password Entitlement (under Search) User Administration (under Administration) User Administration (under Change Log).
2 Nov 2015	Various	EOS Trader has been decommissioned. All related EOS Trader features and options have been removed.
11 Sep 2015	Session Stats tab	Session Stats functionality displays and provides users with the ability to view volume figures applicable to iLink Session ID Policy administration.
1 Apr 2015	Firm Contacts	Inbound Contacts changed to Firm Contacts.
18 Sep 2014	Outbound Contacts	Outbound Contacts are used to contact clearing and Globex firm users regarding error trades or technical issues.
8 Sep 2014	Registering for CME Group ID	Registration is required to access Firm Administrator Dashboard (FADB).
29 May	Various	Clearing and Globex firm users can view and modify CME Europe registration information. CME Europe firms are designated by the CMEEL prefix.

Date	Topic	Description
2014		Example:
		Search Reports User Administration (this is now managed by CME Customer Center) CME Application Contact Management
14 Apr 2014	All	Updated links and edited to meet Help standards.
14 Apr 2014	Search	Common navigation toolbar and single login added.
4 Apr 2014	Reports	New report displays Outbound Contacts details.
4 Apr 2014	Outbound Contacts Tab	New tab displays outbound contact information.
4 Apr 2014	Inbound Contacts Tab	Contacts tab renamed to Inbound Contacts. <i>Note: superseded by Firm Contacts on 4/1/15</i> .
28 Feb 2014	Various	 Contact information. Session ID Tab field definitions. Contacts Tab field definitions. Self-Match Prevention - Functionality description has been updated.
18 Oct 2013	Set Session Password Entitlements	Entitle all or specific users at an Globex firm to unmask session passwords. Effective 4 June 2016, this feature is not a component of the CME Customer Center-iLink Sessions.
18 Oct 2013	Unmask Session ID Password	Enables authorized users to unmask iLink session passwords.
20 Aug 2013	Self Match Prevention Bulk User Upload	Enables upload of a file that specifies account and Operator ID relationships to common owners.
30 May 2013	All	This is the initial release of the Firm Administrator Dashboard (FADB) user manual.

Logging In and Out

Firm Administrator Dashboard uses CME Group Login to manage application authentication. This is a self-managed, centralized user profile service that authenticates access to CME Group applications and services.

Prior to logging in, users should ensure the registration procedures are completed.



Note: For issues logging in, contact Enterprise Application & Systems Entitlements (EASE).



To login to FADB:

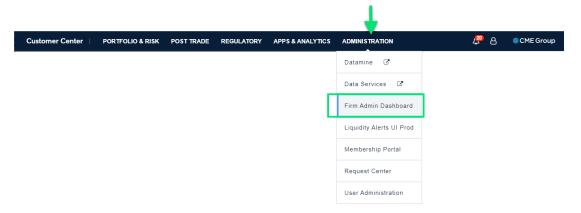
- 1. Navigate to the CME Group Login page.
- 2. If you are not logged in, enter login credentials and select Log In.
- 3. Authenticate your ID:

Via Duo.

OR

Enter the code that was sent to your mobile device or voice code from an automated call to your primary phone number (US only).

4. From the CME Customer Center menu, select Administration > Firm Admin Dashboard.



Note: For additional information about creating or managing a CME Group Login, or using multi-factor authentication, please review the CME Group Login User Help System.

To close the FADB application:

- 1. Complete any and all current tasks in FADB.
- 2. Select the ${\bf X}$ of the Firm Admin Dashboard application tab.



To log out of all CME Group applications:

Select My Profile > Logout.



Contact Information

For questions regarding this and other CME applications, please refer to the <u>Contact Information</u> directory on CME Group's Client Systems Wiki .

CME Group Login Token

A Token is required to set up your account (referenced in the CME Group Login User Guide).

Your FADB Administrator may need to establish permissions for you in FADB. Contact your FADB Administrator and provide your assigned **CME Group Login User ID** and generated **Token** to complete permissions set up.



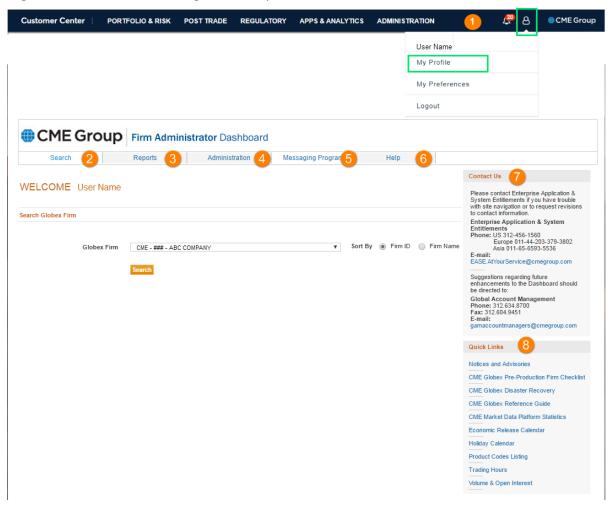
Note: The FADB Administrator will notify you when your permissions are established.

FADB Roles

CME Clearing Firm Administrators gain access to the Firm Administrator Dashboard after registering for a CME Group Login ID, then completing the Schedule 3, Exhibit A form. Contact Global Account Management (GAM) to request an Exhibit A form or to suggest future enhancements.

Search

The Main Menu shows functional tabs for searching Firms, Users, Contacts and Quick lists. The available tabs are based on assigned entitlements. The following functionality is available:



- 1. Navigation Bar Access CME Group enabled applications from the **Portfolio & Risk, Post Trade, Regulatory, Apps & Analytics, and Administration** drop-down menus; modify your profile from the Profile icon and select **My Profile**.
- 2. Search
 - by CME Globex Firm Search by Globex firm and perform tasks related to:
 - Traders
 - Sessions
 - Firm Contacts
 - Outbound Contacts
 - System Entitlements
 - Messaging activity
 - by Individual Search for individual application and firm users, to view profile and system entitlements.

- 3. Reports View system activity in a variety of reports. Available to clearing firm administrators only.
- 4. Administration
 - <u>Change Log</u> Audit cancel on disconnect. Available to <u>clearing firm administrators</u> with <u>Update all</u> or <u>Update partial</u> entitlements.
 - CME Application View Globex firm entitlements for other CME Group applications.
 - <u>Self-Match Prevention</u> Enables a Globex firm to prevent buy and sell orders for the same account or common beneficial ownership from matching.
 - <u>Contact Management</u> Add or delete MEP contacts to or from a Globex firm. Available to clearing and Globex firm administrators only.
- 5. Messaging Program
 - Request for Waiver (RFW) A clearing firm administrator or a Globex firm representative may submit a Request for Waiver (RFW) if they believe there is a justification for exceeding the messaging threshold.
- 6. User Manual / Webhelp Access the online webhelp system or a printable user manual.
- 7. Contact Us Lists contact information for application assistance or Global Account Management (GAM).
- 8. Quick Links Links to related systems and information resources.

Search CME Globex Executing Firm

The Search Globex Firm window appears after a successful login. Users can perform a variety of Globex firm tasks related to traders, sessions, contacts, user entitlements, and messaging.



To search for information relating to an Globex Firm:

1. From the Search menu, select Globex Firm.



2. Select an executing firm from the drop-down menu.



- 3. Select a Sort option:
 - Firm ID
 - Firm Name
- 4. Select Search.

Matching results appear on the Trader IDs tab.



Additional tabs are available:

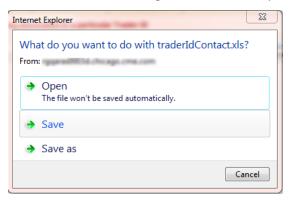
- Session IDs
- Firm Contacts
- Outbound Contacts
- CME Application
- Messaging Stats
- Session Stats
- To export search details:

Globex firm details can be exported to an Excel spreadsheet.

1. On the listed results, select **Export to Excel**.



2. On the File Download dialog, select **Save**, then specify the location.



3. To finalize, select Save.

Trader IDs Tab

The **Trader IDs** functionality displays <u>Globex Firm</u> Globex Trader IDs.

Result can be sorted in ascending or descending order by selecting the arrow icon to the right of the Trader ID, Type, and Effective Date column headings (\$\display\$).



Column	Description
Trader ID	Identifies the firm to the GCC
Туре	FIX APICME DirectMass Quote
Clearing Mapping	The Clearing Mapping identifies the Clearing Exchange and Clearing Member affiliated with a particular Trader ID
Effective Date	The date the trader ID was created.

To view clearing mapping information, select **Details**.

aring mapping for Tra	der ID Firm1			▼ Export to	Excel
Exchange \$	Firm ID 💠	Firm Name	\$	Effective Date	\$
COMEX	123	A Clearing Firm LLC		2006-11-17	
NYMEX	456	Clearing Express		2006-05-26	
CBT	789	Clear Financial Enterprises		2007-11-30	
CME	012	Clear the Air		2004-06-26	

Column	Description
Exchange	The exchange on which clearing mapping exists
Firm ID	Identifies the associated firm
Firm Name	The corresponding firm name
Effective Date	The date that the mapping was established

Session IDs Tab

The Session IDs functionality displays a session ID report summary. The following features are available, based on assigned system privileges:

- View Globex Firm Session IDs Search for a Globex firm.
- Enable or Disable Cancel on Disconnect
- Unmask Session ID Password

The following information is available on the Session IDs pane.



Note: To sort column data by ascending or descending order, select the sort arrows \$\\$.

Column	Description	Clearing Firm Admin	Globex Firm User
Select / Deselect All	Checkboxes to select a session ID to perform additional actions.	Х	
Connecting Entity	Identifies the connecting entity, based on information gathered when the Session ID was created.	Х	Х
Trading	The name of the customer trading through a given iLink	Χ	Х

Column	Description	Clearing Firm Admin	Globex Firm User
Customer	session ID as disclosed by the clearing firm.		
Globex Firm ID	The three-character alpha-numeric value transmitted in positions 4 through 6 of iLink tag 49-SenderCompID on the message to CME Globex and iLink tag 56-TargetCompID on the message from CME Globex that identifies the Globex firm.	Х	X
Trader ID	The alphanumeric ID associated with the iLink session and derived from the Globex firm ID.	Х	X
Session Feature	This identifies 2 distinct types of iLink sessions that are used for the following: • CME Direct • CME Direct Cross Session	Х	X
Session ID	The first three characters of the iLink SenderCompID (Tag49). It is the logical connection to CME Globex for order entry based on the FIX protocol. It is the logical connection to CME Globex for order entry based on the FIX protocol.	Х	Х
Sender Comp	A combination of the Session ID and the Globex Firm ID sent by a market participant in iLink Tag $\underline{49}$.	Х	Х
MSGW	Market Segment Gateway (Yes or No)		
Status	 Live - iLink session was created less than 6 months ago, or had more than 100 messages in the past three months. Idle - No activity (order, cancel, modify, mass quote or 100 minimum messaging threshold) in the past three months. Idle Warning - iLink session that is in-scope for deletion during the Auto-Delete process. Password Changed - As part of the iLink session Auto Delete process, one week prior to deletion, the password associated with the iLink session ID is changed and the associated iLink port is closed. Queued for Delete - System generated request to change the password for a specific iLink session. After the request has been successfully processed, the Status changes to "Password Changed". 	X	X
iLink Session Password	Displays a user's iLink order routing interface password.	X	X

Column	Description	Clearing Firm Admin	Globex Firm User
Live Date	Specifies the close of business date that the iLink session went live.	Х	X
Last Login	The last date the Session ID logged in.	Χ	X
Last Transaction	The last date the Session ID entered a new order, order modification, order cancellation or recorded volume.	Х	X
COD (Cancel on Disconnect)	 Clearing firm administrators can enable or disable this feature. If COD (Cancel on Disconnect) is <i>Enabled</i> and an ungraceful disconnect occurs, all non GTC / GTD orders for the iLink Session ID will be canceled. If COD (Cancel on Disconnect) status is <i>Disabled</i> and an ungraceful disconnect occurs, non GTC / GTD orders for the iLink Session ID will not be canceled. 	X	X
Drop Copy Group	Lists Drop Copy groups in which this session is included.	Х	Х
Primary IP	The primary internet protocol address of the iLink session.	X	X
Backup IP	Alternate internet protocol address of the iLink session.	Х	Х
Port	The port number associated with the host IP address.	Χ	X
Connectivity Type	Type of connectivity used to connect to the CME Group network and FADB. Available choices: • CME DirectLink • Metropolitan Area Network • Client INTERNETLink • CME Globex Hub • CME EConnect • CME GLink • Jackson Direct • Local Network - LNET • CME NYDC VPN	X	X
Front End System	Certified front end application affiliated with a Session ID.	Х	X

Enable/Disable Cancel on Disconnect

Cancel on Disconnect (COD) automatically cancels in-progress non GTC / GTD orders for a Session ID if an ungraceful disconnect occurs. COD cannot be used for GTC and GTD orders. This function is available to clearing firm administrators only.



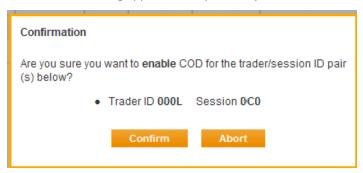
To enable Cancel on Disconnect:

- 1. Select the **Session IDs** tab.
- 2. Select the checkbox for the Session / Trader ID to update.

To update all Session / Trader IDs, Select / Deselect All.

3. Select Enable / Disable COD.

A confirmation dialog appears. "Are you sure you want to enable COD for the Session / Trader ID(s) below."

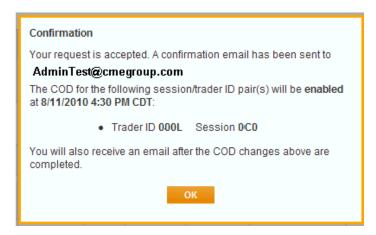


4. Select Confirm.

An email is sent to the registered CME Group Login address after the COD changes are completed.

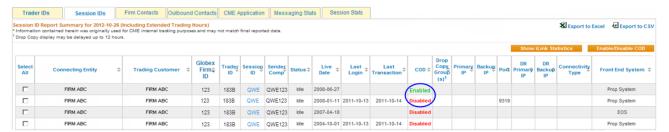
5. Select OK.

COD will become effective as of the date and time in the confirmation message.



After selecting OK, results appear with the updated COD status.

6. To enable a disabled Session / Trader ID, repeat the process and select **Disable**.



Enable COD for a Route through Session ID

A route through Session ID is a Session ID assigned to multiple Trader IDs. This function is available to clearing firm administrators only.



To Enable Cancel on Disconnect for a Route through Session ID:

- 1. Search for a Globex Firm.
- 2. Select the Session IDs tab.
- 3. Select the checkbox for the Session / Trader ID to update.

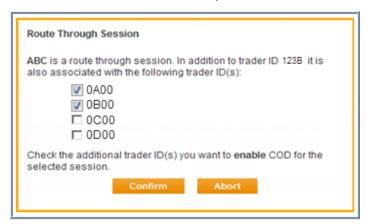
To update all Session / Trader IDs, select Select / Deselect All.

4. Select Enable/Disable COD.

A confirmation dialog informs the user that the selection is a route through Session ID.

Note: A Route through Session ID can have multiple Trader IDs associated to it. Confirm the Trader IDs prior to enabling.

5. Select additional Trader IDs to enable / disable COD.



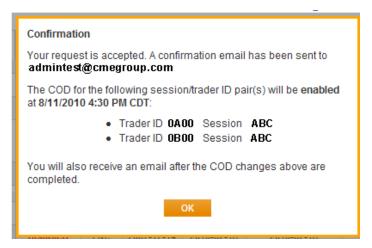
6. Select Confirm.

A confirmation dialog asks to confirm the selected Trader ID / Session ID pairs.

7. Select Confirm.

An email is sent to the registered CME Group Login address after the COD changes are completed.

8. Select OK.



After selecting OK, results appear with updated COD status.



Note: Only the last 10 days of COD changes are available for search.

9. Repeat the process to enable a disabled route through Session / Trader ID.

Cancel a Pending COD Change

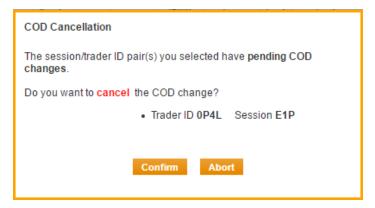
This function is available to clearing firm administrators only. Any clearing firm administrator can cancel a pending COD change.



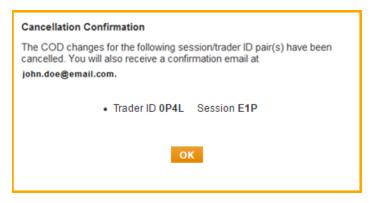
To cancel a pending COD change:

- 1. Search for a Globex Firm.
- 2. Select the **Session IDs** tab.
- 3. Select the checkbox for the Session / Trader ID to update.
- 4. Select Enable/Disable COD.

A confirmation dialog appears.



5. To cancel the pending COD changes, select **Confirm**.



6. Select OK.

A cancellation email is sent to the registered CME Group Login ID address.

Unmask Session ID Password

Clearing firm administrators and Globex firm users use this function to unmask iLink session passwords for iLink sessions.

- 1. Search for a Globex Firm.
- 2. Select the Session IDs tab.
- 3. Move the mouse pointer over iLink Session Password.

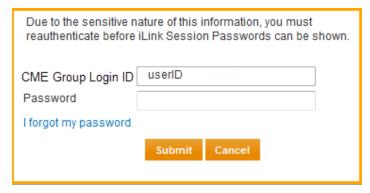


4. Select Unmask Session Password.

A login dialog appears.

△ **Note**: User re-authentication is required to access this highly sensitive functionality.

5. Enter your CME Group Login ID and password, then select Submit.

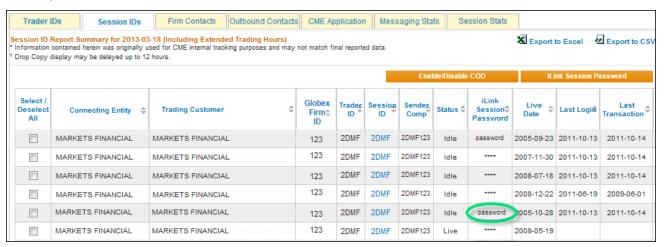


Upon re-authentication, active session passwords that you are authorized to view are unmasked.

iLink session passwords are masked when any of the following occurs:

- User is not authorized to view session ID password for a particular Globex firm
- Session is not active
- Browser is refreshed

- · User logs out and logs in again
- · System timeout



Firm Contacts

The firm contacts functionality is used to view clearing firm contacts.

To view a Globex Firm's assigned clearing firm contacts:

1. Search for an Globex Firm.

The Search Globex Firm screen appears.

2. Select the Firm Contacts tab.

The following information appears on the page:

Column	Description
Name	Name of the registered contact.
CME Group Login Contact	Profile information as registered in CME Group Login.
Firm Contact Type	 Specifies the type of contact: Primary Secondary Clearing Firm Risk Administrator Globex Firm Risk Administrator Note: For additional information see Globex Customer Roles and Entitlements.

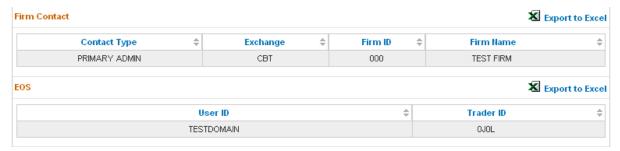
3. To view a user's profile, select their name.

Note: Globex Firm users can only view their own profile. Links to other user profiles are disabled.

Selecting a user's profile displays GCC and CME Login ID contact information and registration details.



• **Firm Contact** - System entitlements for firms for which the individual is a clearing firm primary, secondary or risk admin. is included on this page.



4. To view privileges for a particular system, select a **Trader ID**.



Note: The ability to view trader ID details is determined by assigned system privileges.

Information appears in a new tab.

Outbound Contacts

The *Outbound GCC Contact* functionality is used to view contact information, which is used to contact clearing and Globex firm users regarding error trades or technical issues, including:

- Improper numbering sequence
- Runaway Automated Trading System (ATS)

Outbound contact onboarding and maintenance is handled by CME Group Global Account Management.

The Firm contacts functionality is used to view Globex firm user profiles.



To view Outbound GCC Contacts:

1. From the Search menu, select Globex Firm.

The Search Globex Firm screen appears.

2. From the Globex Firm drop-down menu, select a Firm, then select Search.



3. Select the Outbound Contacts tab.

Outbound Contact details appear in a list.



CME Application

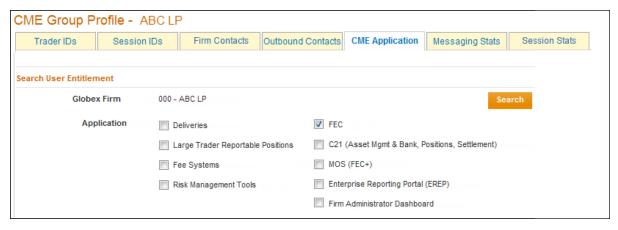
This CME Application functionality is used to search for a list of users entitlements by system.

This functionality is also accessible from the Administration > CME Application.



To view other applications and entitlements:

- 1. Select the CME Application tab.
- 2. Select an Application.
- 3. Select Search.



A list of users with application access appear in a list.



4. To view a user profile, select the **User ID** link.

User's entitlements by specific application appear.



Globex Firm View

The Globex Firm user's view has fewer choices.

• Firm Administrator Dashboard

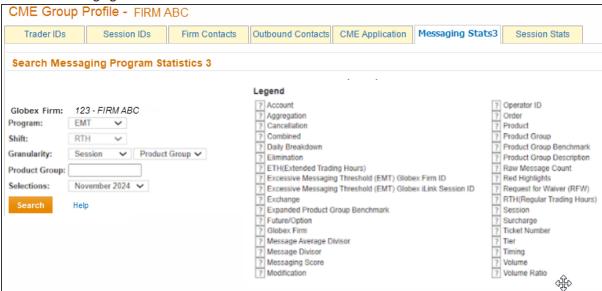
Messaging Stats

The Messaging Stats functionality is used to search for Excessive Messaging Threshold (EMT) and Messaging Efficiency Program (MEP) statistics as well as related monthly surcharges. The EMT, while part of the MEP, has different application parameters and is measured at the Globex Firm ID and iLink Session ID levels. Please refer to the MEP online document for specific EMT details.



To view EMT messaging statistics:

1. Select the Messaging Stats 3 tab.



- 2. From the Search Messaging Program Statistics 3 page, enter or select the <search criteria>.
- 3. From the **Program** option, select **EMT**.
- 4. From the Granularity option, choose either Firm or Session and either Product Group or Product.
 - The EMT is measured at the Product Group.
 - Selecting the Product provides the instruments for which a client submitted messages.
- 5. From the **Selections** option, choose the desired date range.
- 6. Select Search.

Results appear in a list:



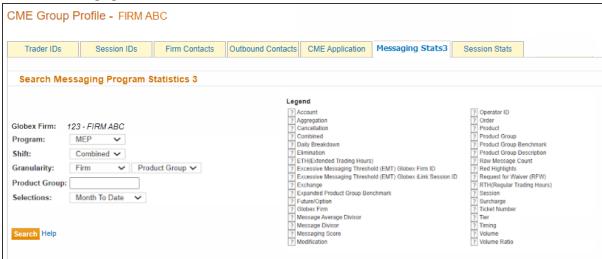
Note: Hovering the mouse pointer over the symbol, on the Search Messaging Program Statistics screen, displays descriptions of results data columns.

7. Select the **Daily Breakdown** links to view additional details.



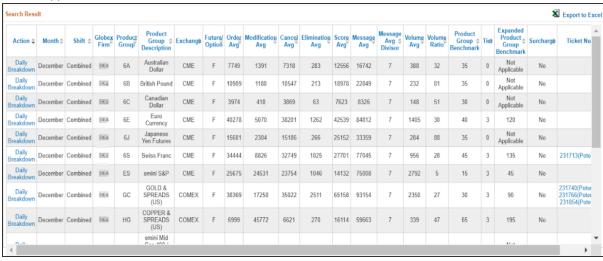
To view MEP messaging statistics:

1. Select the Messaging Stats 3 tab.



- 2. From the Search Messaging Program Statistics 3 page, enter or select the <search criteria>.
- 3. From the **Program** option, select **MEP**.
- 4. From the **Shift** option, select **RTH**, **ETH**, or **Combined**.
- 5. From the Granularity option, select Firm, Session, Operator ID, or Account.
- 6. If desired, from the **Product Group** option, enter a specific **Product Group** to view or leave blank, which will result in all Product Groups appearing.
- 7. From the **Selections** option, enter a **Single Day**, **Month to Date**, **Custom**, or a specific month to view.
- 8. Select Search.

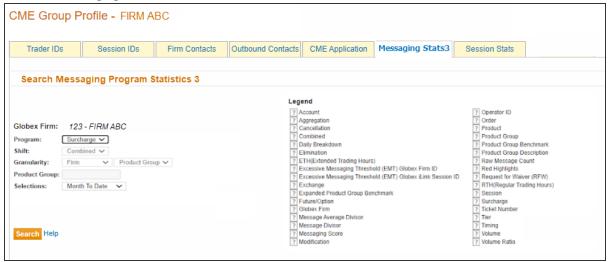
Results appear in a list:



Note: Moving the mouse pointer over the symbol, on the Search Messaging Program Statistics screen, displays descriptions of results data columns.

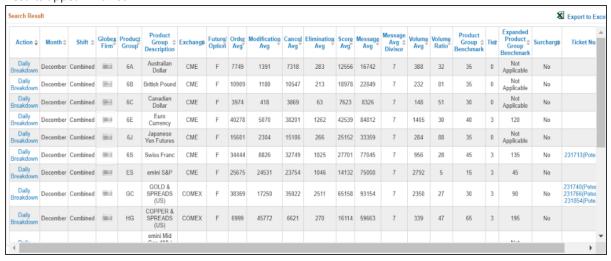
9. Select the Daily Breakdown link to view additional details.

- To view messaging monthly surcharges:
 - 1. Select the Messaging Stats 3 tab.



- 2. From the Search Messaging Program Statistics 3 page, enter or select the <search criteria>.
- 3. From the **Program** option, select **Surcharge**.
- 4. From the **Selections** option, select a specific month.
- 5. Select Search.

Results appear in a list:



Session Stats

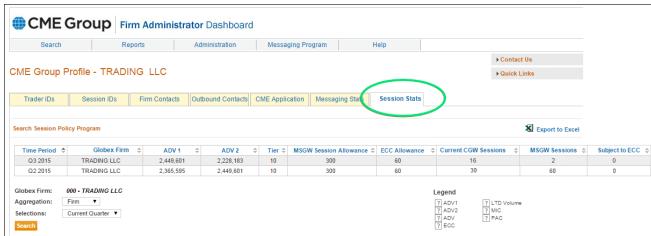
The Session Stats functionality displays and provides users with the ability to view volume figures applicable to <u>iLink Session</u>

<u>ID Policy</u> administration.

To view iLink session ID statistics:

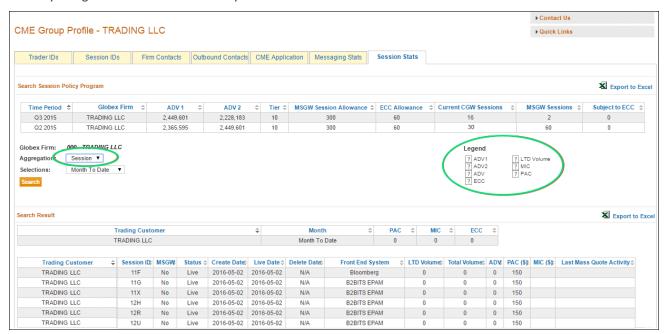
1. Select the Session Stats tab. This automatically displays the Globex Firm ID's Average Daily Volume (ADV) for the last 2 quarters, corresponding MSGW iLink Session Allowance and MSGW iLink Session ID Excess Capacity (ECC) Allowance. Please note that as documented in the iLink Session ID Policy and Operational Guidelines documentation, starting September 11, all Globex Firm IDs will default in the FADB to display only 2 MSGW sessions as that is the maximum allocation customers deploying a front end system which has certified to MSGW functionality may request.

Effective Thursday, **October 1**, the Phase 1 launch period of the iLink Session Policy is scheduled to begin and expected to last through **February 2016** (subject to change). During Phase 1, a 30% MSGW iLink session ID allocation limitation will be in effect.

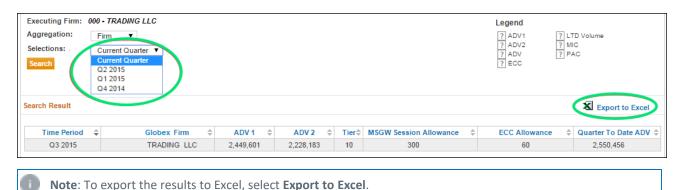


Note: Moving the mouse pointer over the symbol, on the Session Stats Legend, displays descriptions of iLink session IDs as tooltips.

2. Selecting the **Session** and **Month to Date** criteria displays a breakdown of historical monthly activity and iLink Session ID Policy charges for the last 12 months by individual iLink session ID.



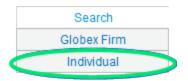
3. Selecting the Firm and <quarter> criteria displays a breakdown of tier allocation per quarter:





To search for a registered user:

1. From the **Search** tab, select **Individual**.



2. Enter the Last Name, Globex Firm, and/or Contact Type.





3. Select Search.

Results appear in a list below.



Registered User's Profile

This function is available to clearing firm administrators only.



To view the registered user's profile:

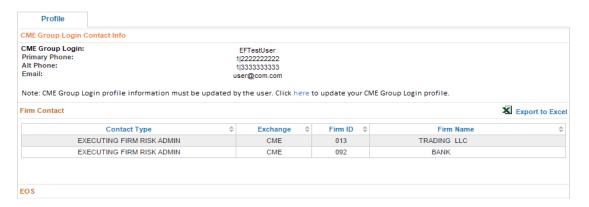
From the Search > Individual results, select the contact's name.

User profiles are available to Clearing Firm Administrators only.

Individual Profile

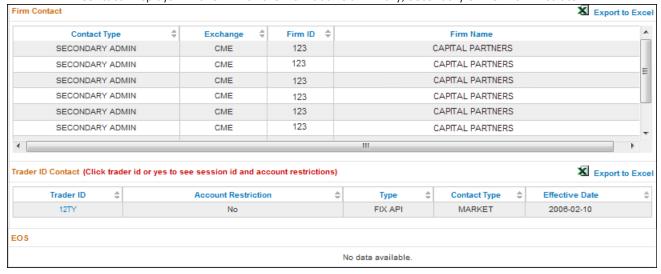
Column	Description
Profile Pane	CME Group Login Contact Information / Registration Details

CME Group Profile - tester, QA



Individual System Entitlements

• Firm Contact: Displays firms for which the individual is a Primary, Secondary or Risk Administrator.



Reports

Clearing firm administrators use report features to search for registration, system entitlements, and system details for their clearing firm.

- Clearing Firm Mapping Identifies the Clearing Exchange and Clearing Member affiliated with a particular Globex firm.
- Session IDs A three-character alpha numeric string identifier. It is the logical connection to CME Globex for order entry based on the FIX protocol.
- Firm Registered Contacts A registered primary or secondary firm administrator or risk administrator.
- Cancel on Disconnect Lists Session / Trader ID pairs for which Cancel on Disconnect (COD) is enabled.
- Firm Admin Dashboard User Lists FADB users.
- Messaging Surcharge Contacts Lists clearing or Globex firm contacts authorized to receive emailed MEP related surcharge notifications.
- Outbound Contacts Lists outbound GCC contacts (categorized by error trade or technical contacts) for the selected firm.

To request a report:

1. Select the Reports tab.



2. Select a **Report** from the drop-down list.



3. Select Submit.

The report appears on the Report Manager tab.

After the report status changes from requested to ready, select the Report Name or Status link.

4. Select **Open** to open the file, or **Save** to specify a location to store the file.



The report displays in a Microsoft Excel workbook.



To view previously requested reports:

1. To view previously requested reports, select the **Report Manager** tab.

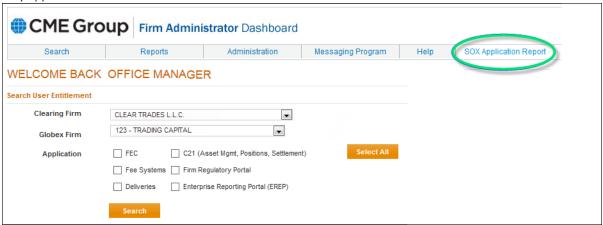


2. The list is automatically updated every ten seconds. To manually refresh the list, select the Refresh button.

Reports can be accessed for up to two weeks from the requested date. The in progress icon ($\frac{2}{3}$) indicates the report query is still processing.

Clearing Back Office

The SOX (Sarbanes Oxley) Application functionality is used by back office managers to view users' system entitlements. This tab only appears for SOX-authorized users.



To generate a SOX report:

- 1. Click the SOX Application Report tab.
- 2. Select the Clearing Firm and Globex Firm from the drop down list.
- 3. Select one more applications.
- 4. Click Search.

User IDs associated with each application appear in a list.

5. To view the user's application entitlement, click the **User ID** link.



Note: To generate an entitlement profile report for all users, click Download Excel Report.



Messaging Efficiency Program

This functionality is used to submit Messaging Efficient Program requests for waivers if a customer feels there is justification for exceeding the messaging threshold.

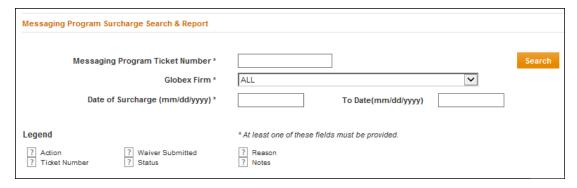


To search messaging program surcharge reports:

1. From the Messaging Program tab, select Request for Waiver.



2. Enter at least one search criteria:



- Messaging Program Ticket Number The ticket number is in the surcharge notification email.
- Globex Firm
- Date of Surcharge (To / From)

Note: Moving the mouse pointer over the symbol, on the Messaging Program page, displays descriptions of search results columns as tooltips.

3. Select Search.

Results appear in a list below.

Request a Waiver



To submit a Request for Waiver:

- 1. Search for a Messaging Program Ticket.
- 2. From the Search Results, select Create.

Search Result Export											Export to Excel
Action	Surcharge 🛊 Ticket#	Globex Firm \$	Firm Name \$	Exchange	Producit	Surcharge 🛊 Date	RFW Submitted	Reason	Note\$	Email	\$ Status \$
Create	123456	123	CAP PARTNERS	CBT	\$5	02/28/2013	02/28/2013			sl@capart.com	Active
Create	123457	123	CAP PARTNERS	CME	КЗ	01/09/2013	01/09/2013			sl@capart.com	Active
Create	123458	123	CAP PARTNERS	CME	ZC	02/28/2013	02/28/2013			sl@capart.com	Active

- 3. Complete the following fields:
 - · Reason for Waiver Request
 - E-Mail address
 - Steps to prevent future events

Request for Waiver Request for Waiver If you believe that there are extenuating circumstances related to an event that warrant consideration for a CME Globex Message Efficiency Program waiver, please complete and submit the requested information below. We will use your answers on this form to decide if your waiver request can be granted. For waiver request(s) which are not approved, your clearing firm is responsible for the administration of any associated surcharges. Please answer the questions on this form as completely as you can. Should you need assistance in filling out the form, please contact the Global Command Center (GCC) at 312.456.2391. Messaging Program Ticket Number 123456 FIRM ADMINISTRATOR Name of Individual Date of Surcharge 2013-02-28 **Executing Firm Executing Firm Name** CAPITAL PARTNERS Product Group(s) violated Clearing Firm E-mail Address for Notification sl@cappart.com Reason for Waiver Requests* CC E-Mail Address for Notification (Multiple e-mail addresses must be separated by commas or semicolons. Example: abc@example.com, 123@example.com) Specific Circumstances and steps taken to Prevent Future Additional Events* In the event an RFW is denied or not applicable, the surcharge(s) will be billed at the end of the second calendar month following the date the Volume Ratio was exceeded. All request for waivers must be received within 10 business days from the last calendar day of the month for the previous month's activity. Thank you for your cooperation in addressing this messaging issue. If you have any questions, please refer to the CME Globex Message Efficiency Program or contact CME Globex Control Center Management at 312.454.3030 or your Global Account Manager at 312.634.8700.

4. Select Submit.

Administration

Administration functions are available to the following:

Functionality	Description	Clearing Firm Admin	Globex Firm User
Change Log	View a record of administrative updates.	X	
CME Application	View user entitlements for CME Group applications.	Х	Х
MEP Contact Management	Assign a contact to a Globex firm, or delete a contact.	Х	
Self-Match Prevention	To optionally prevent orders with the same owner from trading with each other, configure self-match prevention firm, account, Operator ID, account owner associations.	Х	Х

Change Log

The change log functionality is available to clearing firm administrators to view Globex firm activity.



1. From the Administration tab, select Change Log.



2. Select the type of change to search:

Cancel on Disconnect - Displays Globex firm Cancel on Disconnect activity.



MEP Contact Change - Displays Messaging Efficiency Program activity.



- 3. Select the Globex Firm from the drop-down list.
- 4. To narrow the search, enter the user's last name.
- Select Search.

Results appear in a list, below the search criteria.

Cancel on Disconnect results



Messaging Efficiency Program results



CME Application

The CME Application functionality is used by Clearing Firm Administrators to view Globex Firm's users for other CME Group applications.

This information can be viewed after selecting a Globex Firm or Individual profile and an Application. This functionality is also accessible from the Search > Globex Firm > CME Application tab.

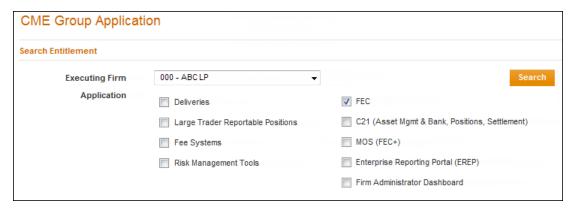


To View a User's Application Entitlements:

1. From the Administration tab, select CME Application.



- 2. Select a Globex Firm.
- 3. Select at least one **Application**.
- 4. Select Search.



A list of users with application access appear in a list.



5. To view a user profile, select the **User ID** link.

User's entitlements by specific application appear.



MEP Contact Management

The contact management functionality is used to add or delete MEP contacts for a clearing or Globex firm. This feature is available to clearing firm and FADB administrators only.

To assign a Contact to a Globex Firm:

1. From the Administration tab, select MEP Contact Management.



The Assign Contact page appears.

Note: Moving the mouse pointer over the symbol, on the Assign Contact page, displays descriptions of MEP contacts as tooltips.

All fields are required.



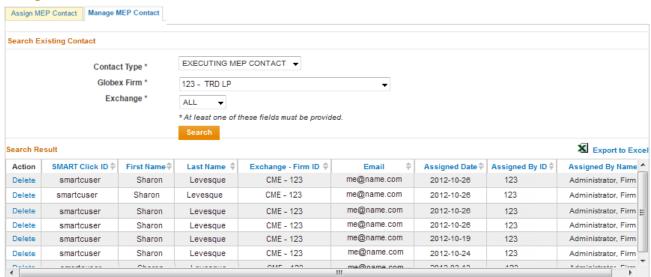
- 2. Select the Contact Type.
- 3. Select a Globex Firm.
- 4. Select an Exchange.
- 5. Enter the user's CME Group Login ID.
- 6. Enter the user's CME Group Login Token.
- 7. Select Submit.

To delete a contact:

- 1. From the Administration tab, select Contact Management.
- 2. Select the Manage MEP Contact tab.
- 3. To find a user, select filter options:
 - Contact Type
 - Globex Firm
 - Exchange
- 4. Select Search.

Results appear in a list.

Manage Contact



5. To delete the user from the Globex Firm, select **Delete**.

Self-Match Prevention

CME Globex Self-Match Prevention is optional functionality that allows a CME Globex authorized firm to prevent the matching of orders for accounts with a common beneficial owner¹; if buy and sell orders contain the same Self Match Prevention Identifier (SMP ID) and Globex Firm ID (GFID).

Customers who choose to use Self Match Prevention functionality must register via the Firm Administrator Dashboard and use the SMP ID(s) in FIX tag 7928²-Self MatchPrevention ID.

Note: The combination of SMP ID and Globex Firm ID must be present on buy and sell orders, to prevent a match from occurring.

For additional details and message guidance, refer to <u>CME Globex Self-Match Prevention</u> or <u>Self-Match Prevention</u> or <u>Frequently Asked Questions</u>

With these enhancements, iLink customers can configure SMP functionality across multiple Globex Firm IDs within or across clearing firms.

Using the Administration > Self-Match Prevention authorized users can view and specify commonly beneficial relationships among CME Globex firms, Accounts and Operator ID; that uniquely identifies a party that accesses and/or submits messages to Globex.

For more guidance refer to Market Regulation Advisory Notice concerning CME Globex Operator ID Requirements IDs.

FADB SMP Functions

Search SMP IDs / View Associations



To search Self-Match Prevention IDs:

The initial stage of registering for Self-Match prevention is to search and view existing associations between CME Globex firms, clearing firms, and beneficial owners of accounts.

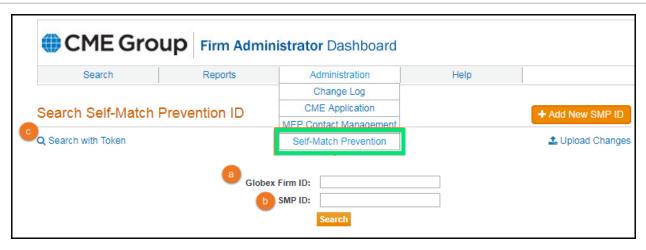
- 1. From the Administration tab, select Self-Match Prevention.
- 2. Perform a search, using one of the following methods:
 - a. **CME Globex Firm ID**: For a given CME Globex authorized firm, view associations with other entities, accounts and users.
 - b. **SMP ID**: For a given SMP ID, view and specify associations among related entities with common beneficial ownership.

Note: SMP IDs are randomly generated and universally unique 7-digit number with no blanks generated by CME Group. Non-CME generated SMP IDs entered into Tag 7928 will result in rejected messages.

c. **Search with Token**: Generate a token to share SMP IDs with other firms, via email or Skype. Tokens are valid for seven days.

To view an unknown token or generate a new token, search by SMP ID then generate a new token.

¹The individual or trading entity that is directly using the registered SMP ID to utilize SMP functionality ²Use of tag 7928 indicates that you do not wish to trade against yourself on Globex.



- 3. Review search results to determine if updates or are necessary, then select Add New SMP ID, Upload Changes.
 - From search results SMP IDs can have one of the following states (Not available until October 1, 2017):
 - Active: A successful maintenance period has run subsequent to the SMP ID request and that the SMP ID is available for use.
 - **Expired**: A request to expire an SMP ID has been entered and successfully processed during the maintenance period. Utilization of expired SMP IDs that have not been reactivated following a successful maintenance period will result in reject messages.
 - **Pending**: A SMP ID was requested prior to 4 pm CT and is not available for use until a successful maintenance period has occurred.
 - **Pending Expiration**: A request to expire an SMP ID for a Globex Firm has been entered prior to 4 pm CT and is scheduled to be expired during the next successful maintenance period.

Maintenance Period: End of day processing which is scheduled to occur at 16:30 (CT) Monday through Friday and at 09:30 (CT) on Sunday. Orders submitted with new or modified SMP IDs before end of day processing is completed will be rejected.

Expired SMP IDs, Firms, Accounts and Operator ID do not appear in default search results. To view, select **Show Expired**.

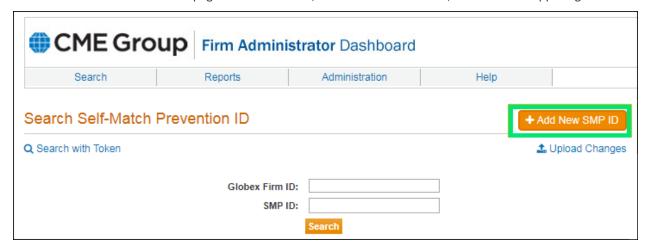


Add New SMP ID

To Add a New SMP ID:

Users can directly specify new and update associations between CME Globex firms¹, clearing firms, accounts, *and* Operator IDs; including Beneficial Owners, Account Controllers and Account Owners.

1. From the **Self-Match Prevention** page or search results, select **Add New SMP ID**, located in the upper right area.

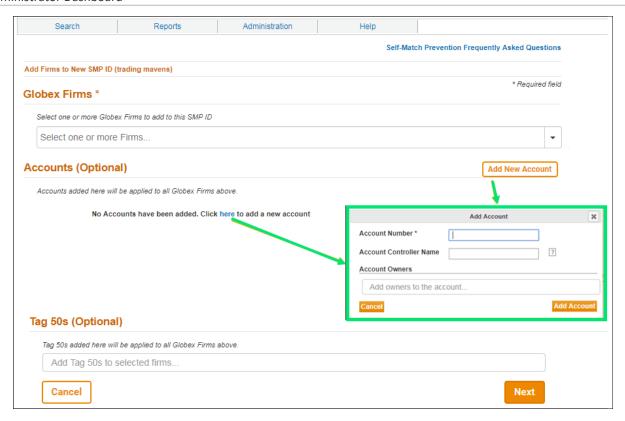


2. On the page that appears, enter the **Self Match Prevention (SMP) Beneficial Owner**, the individual or trading entity requesting and intending to use this SMP ID.



- 3. Select Add Firms, then specify optional Account and Operator ID information for related entities.
 - CME Globex Firm ID: Three-character alpha-numeric value transmitted in positions 4 through 6 of iLink tag 49-SenderCompID on the message to CME Globex and iLink tag 56-TargetCompID on the message from CME Globex.
 - Account Number: The alphanumeric identifier for Globex accounts assigned by a clearing firm that is listed on a transaction. (Optional, not required.)
 - Account Controller Name: A natural person who by power of attorney or otherwise actually directs the trading of a trading account. Person(s) whose authority in the hierarchy of an organization would permit them to direct the trading of an account.
 - Account Owners: Any individual or legal entity who holds a direct ownership interest in the trading account. For
 more guidance regarding "Account Owner" for the purposes of SMP, please refer to Market Regulation Advisory
 Notice concerning "Wash Trades Prohibited".
 - Oprator ID: The individual that submitted an electronic order or quote message. (Optional, not required.)

¹CME clearing firm assigned name to the Globex Firm ID.



4. To finalize, select Submit.

A banner appears, confirming updates and an email confirmation is sent to the email address of record, confirming SMP ID enablement and association with listed entities.

Example:

Request for CME Globex Self Match Prevention ID ###### has been successfully received! Starting Sunday, September 10, the Firm Administrator Dashboard (FADB) interface will be enhanced to allow SMP IDs to be registered for one or more Globex Firm IDs. Before Sunday, October 1, SMP will continue to function within a single Globex Firm ID as it does today.

Please note: New or modified SMP IDs will be activated at 16:30 CT Monday-Thursday and 09:30 CT Sunday. Orders submitted with new or modified SMP IDs before activation will be rejected.

Upon submission, the SMP ID is created and must be submitted for all quote and order messages <u>iLink Binary Order Entry</u>, to prevent trading against orders with the same SMP ID (FIX tag 7928-SelfMatchPrevention ID), CME Globex Firm ID and SenderCompID (FIX tag 49-SenderCompID).

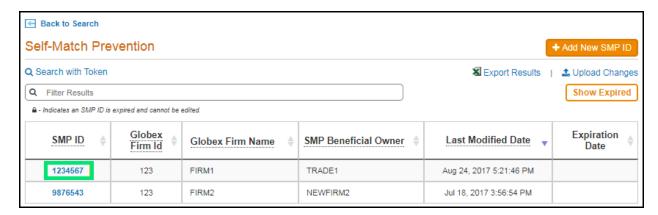
View / Generate SMP Token



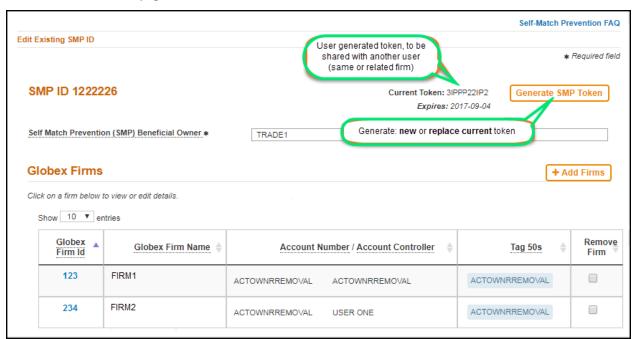
To view and / or generate SMP Token:

From the SMP search results page, users can view and generate SMP tokens to send to related entity users, within seven days; supporting recipients' ability to manage additional SMP ID associations.

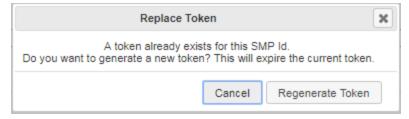
- 1. From the Administration tab, select Self-Match Prevention.
- 2. Perform a GFID or SMP ID search.
- 3. From search results, select a SMP ID.



4. From the SMP ID details page, select **Generate SMP Token**.



For SMP IDs with an existing token, a confirmation dialog appears.



- 5. For SMP IDs with an existing token, select **Regenerate Token**, which replaces the current token.
 - or, select Cancel to exit.

System generated tokens are valid for seven days.

A banner appears, confirming updates and an email confirmation is sent to the email address of record, confirming the newly created token.

Manage existing SMP IDs

For a given firm, authorized users can subsequently manage SMP ID associations, with Globex Firms, Accounts (including Owner and Controller) and Operator IDs.

Once removed / expired SMP IDs cannot be edited further and do not appear in default search results.

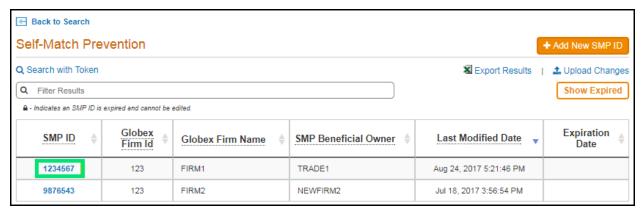


To remove / expire SMP IDs:

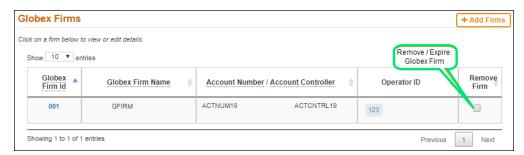
1. From the Self-Match Prevention page, perform a search.; Globex Firm, SMP ID, SMP ID Token.



2. From the SMP ID / Token search results, select the SMP ID, then select a Globex Firm.

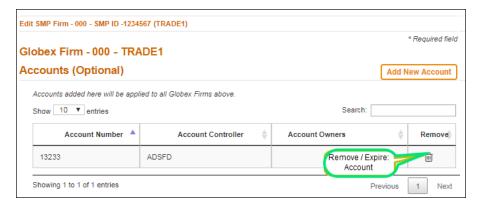


3. From *Globex Firm* search results or *SMP ID* selection, to remove the entire Globex Firm association, select **Remove Firm**.



Additional removal / expiry options:

• Remove Account(s).



Remove Operator ID, then select Next.



4. To finalize updates, select Submit.

An email confirmation is sent to the email address of record, confirming updates.

Upload SMP Configuration

Using a Microsoft Excel template, multiple new SMP IDs can be requested by submitting a formatted template with the Beneficial Owner, Firm ID, Account Number/Account Controller filled-out and leaving the SMP ID column blank. Including the Tag 50 in the formatted template is optional.

Multiple updates that specify the SMP ID and its relationship with Firms--including Accounts, Controllers, Owners, Operator IDs--can also be processed by submitting a formatted template.

The process requires an authorized user to:

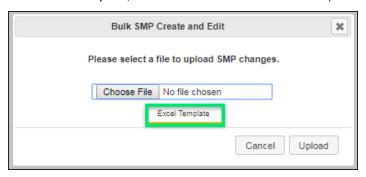
- a. Download a formatted template by selecting **Upload Changes**.
- b. Specify applicable information, via a Microsoft Excel spreadsheet.
- c. Upload to FADB.

To perform bulk updates:

1. From the Administration > Self-Match Prevention page, select **Upload Changes**.



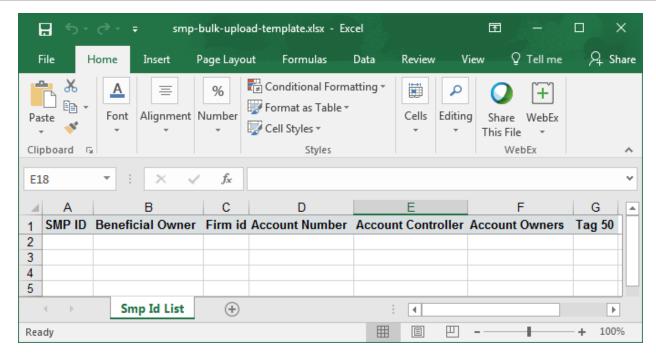
2. Select **Excel Template**, then choose a location to save the spreadsheet.



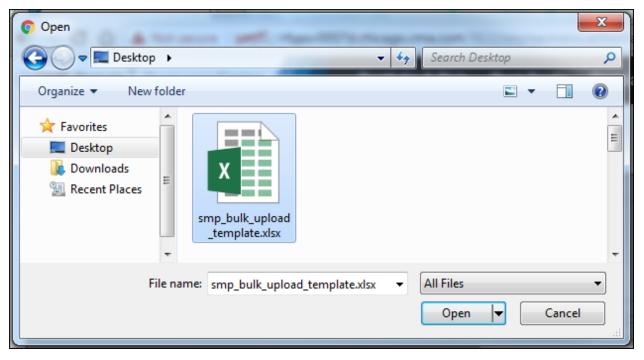
Downloads **smp-bulk-upload-template.xlsx** to default or user selected location.

Updating the spreadsheet

- 3. Using the following format, enter SMP ID, entity and user details.
- 4. For data entry guidance, refer to
 - **SMP ID**: Randomly generated and universally unique 7-digit number with no blanks generated by CME Group. Non-CME generated SMP IDs entered into Tag 7928 will result in rejected messages.
 - **Beneficial Owner**: The individual or trading entity that is directly using the registered SMP ID to utilize SMP functionality.
 - **Firm id**: Three-character alpha-numeric value transmitted in positions 4 through 6 of iLink tag 49-Sender-CompID on the message to CME Globex and iLink tag 56-TargetCompID on the message from CME Globex.
 - Account Number: The alphanumeric identifier for Globex accounts assigned by a clearing firm that is listed on a transaction.
 - Account Controller: A natural person who by power of attorney or otherwise actually directs the trading of a trading account. Person(s) whose authority in the hierarchy of an organization would permit them to direct the trading of an account.
 - Account Owners: Any individual or legal entity who holds a direct ownership interest in the trading account. For more guidance regarding "Account Owner" for the purposes of SMP, please refer to Market Regulation Advisory Notice concerning "Wash Trades Prohibited".
 - Operator ID: Uniquely identifies a party that accesses and/or submits messages to Globex.



5. If not already viewing the upload dialog, select **Upload Changes**, then **Choose File** to navigate to the updated spread-sheet.



6. To validate the submission, select Upload.

Results appear on the upload dialog results appear, including success or failure indicators, which are useful for resolving errors