

Firm Administrator Dashboard User Manual

11/2/2015

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Please submit user experience [feedback](#) about this user manual system.

Getting Started

The Firm Administrator Dashboard (FADB) offers registered clearing and executing firm users access to user lists for a variety of clearing and executing firm applications. Available applications lists include:

- FirmSoft
- GCC Outbound contacts
- Messaging Efficiency Program Contacts and statistics
- Clearing firm mapping
- iLink session ID connectivity and volume

Clearing Firm Administrators with FADB access can:

- Enable / Disable iLink session ID Cancel on Disconnect - View and Assign iLink session password viewing rights
- Administer access to FADB
- Add / Modify / Delete Messaging Efficiency Program Contacts
- Request Self Match Prevention (SMP) IDs

Clearing firm back office managers assign privileges, at their discretion, to their staff to [View](#) :

- Users' applications entitlements
- Clearing activity
- Sarbanes Oxley (SOx) report

For an overview of customer roles and permitted activities, refer to the [CME Globex Customer Roles and Entitlement](#).

What's New

| Date | Author | Topic | Description |
|---------|--------|-----------------------------------|---|
| 11/2/15 | MR | Various | EOS Trader has been decommissioned. All related EOS Trader features and options have been removed. |
| 9/11/15 | EE | Session Stats tab | Session Stats functionality displays and provides users with the ability to view volume figures applicable to iLink Session ID Policy administration. |
| 4/1/15 | EE | Firm Contacts | Inbound Contacts changed to Firm Contacts. |
| 9/18/14 | MR | Outbound Contacts | Outbound Contacts are used to contact clearing and executing firm users regarding error trades or technical issues. |
| 9/8/14 | MR | Registering for SMART Click ID | SMART Click registration is required to access Firm Administrator Dashboard (FADB). |
| 5/29/14 | MR | Various | Clearing and executing firm users can view and modify CME Europe registration information. CME Europe firms are designated by the CMEEL prefix. |

Example: Executing Firm CMEEL - 3W8 - CME EUROPE TEST FIRM ▼

| Date | Author | Topic | Description |
|----------|--------|--|---|
| | | | Search Reports User Administration CME Application Contact Management |
| 4/14/14 | MR | All | Updated links and edited to meet Help standards. |
| 4/14/14 | MR | Search | Common navigation toolbar and single login added. |
| 4/4/14 | MR | Reports | New report displays Outbound Contacts details. |
| 4/4/14 | MR | Outbound Contacts Tab | New tab displays outbound contact information. |
| 4/4/14 | MR | Inbound Contacts Tab | Contacts tab renamed to Inbound Contacts. <i>Note: superseded by Firm Contacts on 4/1/15.</i> |
| 2/28/14 | MR | Various | <ul style="list-style-type: none"> • Contact information. • Session ID Tab field definitions. • Contacts Tab field definitions. • Self-Match Prevention - Functionality description has been updated. |
| 10/18/13 | MR | Set Session Password Entitlements | Entitle all or specific users at an executing firm to unmask session passwords. |
| 10/18/13 | MR | Unmask Session ID Password | Enables authorized users to unmask iLink session passwords. |
| 8/20/13 | MR | Self Match Prevention Bulk User Upload | Enables upload of a file that specifies account and tag 50 relationships to common owners. |
| 5/30/13 | MR | All | This is the initial release of the Firm Administrator Dashboard (FADB) user manual. |

Obtaining Access

CME Clearing Firm Administrators gain access to the Firm Administrator Dashboard after registering for SMART Click, then completing the [Schedule 3 & 4](#), Exhibit A form. Contact Global Account Management (GAM) to request an exhibit A form or to suggest future enhancements.

Executing Firm access is granted by CME Clearing Firm Administrators, which use the [administration](#) process to [add new users](#), [update a users list of executing firms](#), [edit a users status](#), or enable [self-match](#) prevention.

For support or questions, refer to the [Contact Information page](#).

- [Global Account Management](#)
 - [North America](#)
 - [Europe](#)

- [Asia](#)
- [Enterprise Application & System Entitlements \(EASE\)](#)
- [General Customer and Back Office Support](#)
- [SMART Click Support](#)

Logging In and Out

Firm Administrator Dashboard uses [SMART Click](#) to manage application authentication. SMART Click 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 SMART Click [registration](#) procedures are completed.

▶ To log in to the Dashboard:

1. Enter the following address in the browser address bar: <https://login.cmegroup.com>

The SMART Click login page appears.

Note: Bookmark the URL address by pressing **CTRL + D**.

2. Enter the SMART Click ID and Password and click **Login**.



Use your CME Group SMART Click credentials to sign in. By logging in you agree to the [User License Agreement](#).

User ID

Password

[Need to register?](#)
[I forgot my password](#)
[I forgot my user ID](#)

Login

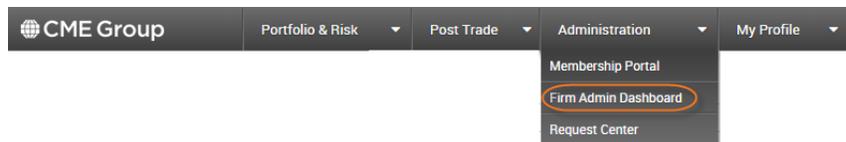
© 2014 CME Group Inc. | Version: 1.0.22

3. Click **Login**.

For the initial login and from new devices, users may be required to enter a security code, which is sent to their registered mobile device.

The login enables single login access to other SMART Click enabled applications, via the common [navigation menu](#).

4. From the **Administration** menu, select **Firm Admin Dashboard**.



After a successful login, the [Search Executing Firm](#) window appears

▶ To log out:

To log out of all SMART Click enabled applications, use the navigation menu.

1. Finalize the current task.
2. From the My Profile drop-down menu, click **Logout**.

Note: A session will automatically log out if no activity is detected for one hour.

For issues with logging in, site navigation, or to update information, contact [Enterprise Application & System Entitlements \(EASE\)](#).

Webhelp/User Manual

To access the webhelp system that provides instructional topics on FADB features, click the **Webhelp User Manual** tab.

Search

The Main Menu refers to the list of tabs at the top of the window. The available tabs are based on your assigned system privileges. The following functionality is available:

The screenshot displays the Firm Administrator Dashboard interface. At the top, there is a navigation bar with tabs for Search, Reports, Administration, Messaging Program, Help, and Logout. The Search tab is highlighted. Below the navigation bar, the dashboard content includes a search form for 'Executing Firm' with a dropdown menu and a 'Search' button. To the right, there is a 'Contact Us' section with contact information for Enterprise Application & System Entitlements and Global Account Management. A 'Quick Links' section is also visible at the bottom right.

1. Navigation Bar

- Access other SMART Click enabled applications from the **Admin Center** drop-down menu.
- [Logout](#) - Log out of all SMART Click enabled applications.

2. Search

- by [Executing Firm](#) - Search by executing firm and perform tasks related to:
 - [Traders](#)
 - [Sessions](#)
 - [Firm Contacts](#)
 - [Outbound Contacts](#)
 - System [Entitlements](#)
 - [Messaging](#) activity
- by [Individual](#) - Search for individuals to view profile and system entitlements.

3. [Reports](#) - View system activity in a variety of reports. Available to clearing firm administrators only.

4. Administration

- [User Administration](#) - Perform user maintenance. Administration features are available to certain users only.
- [Change Log](#) - Audit [cancel on disconnect](#) or [user administration](#) activity. Available to clearing firm administrators only.
- [CME Application](#) - View executing firm entitlements for other CME Group applications.
- [Self-Match Prevention](#) - Enables an executing firm to prevent buy and sell orders for the same account or

common beneficial ownership from matching.

- [Contact Management](#) - Add or delete MEP contacts to or from an executing firm. Available to clearing and executing firm administrators only.
5. [Messaging Program](#)
 - [Request for Waiver](#) (RFW) - A clearing firm administrator or an executing 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. [Logout](#) - Log out of Firm Administrator Dashboard only.
 8. Contact Us - Lists [contact information](#) for application assistance or Global Account Management (GAM).
 9. Quick Links - Links to related systems and information resources.

Search Executing Firm

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

▶ **To search for information relating to an Executing Firm:**

1. From the **Search** menu, select **Executing Firm**.



2. Select an **Executing Firm**.

Search Executing Firm

Executing Firm: 000 - ABC TEST FIRM [v] Sort By: Firm ID Firm Name

[Search]

CME Europe executing firms are indicated by **CMEEL** prefix prior to the firm name.

Search Executing Firm

Executing Firm: CMEEL-3W8 - CME EUROPE TEST FIRM [v] Sort By: Firm ID Firm Name

[Search]

3. Select a Sort option:

- Firm ID
- Firm Name

4. Click **Search**.

Matching results appear on the [Trader IDs](#) tab.

CME Group Profile - Firm1

| Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | Messaging Stats | Session Stats |
|---|-------------|-------------------------|-------------------|-----------------|-----------------|---------------------------------|
| Click Details under Clearing Mapping to view the assigned clearing mapping associated to a particular Trader ID | | | | | | Export to Excel |
| Trader ID | Type | Clearing Mapping | | Effective Date | | |
| TRADER1 | FIX API | Details | | 2004-04-27 | | |

Additional tabs are available:

- [Session IDs](#)
- [Firm Contacts](#)
- [Outbound Contacts](#)
- [CME Application](#)
- [Messaging Stats](#)
- [Session Stats](#)

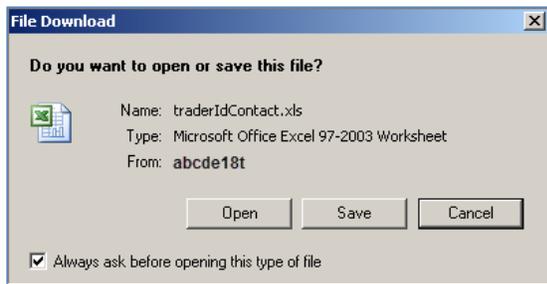
▶ **To export search details:**

Executing firm details can be exported to an Excel spreadsheet.

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



2. On the File Download dialog, click **Save**.



3. Select a location (Save As dialog).
4. Click **Save**.

Trader IDs Tab

The **Trader IDs** functionality displays [Executing Firm](#) Globex Trader IDs.

Result can be sorted in ascending or descending order by clicking the arrow icon to the right of the Trader ID, Type, and Effective Date column headers (↕).

CME Group Profile - Firm1

| Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | Messaging Stats | Session Stats |
|--|-------------|------------------|-------------------|-----------------|-----------------|---------------|
| Click Details under Clearing Mapping to view the assigned clearing mapping associated to a particular Trader ID Export to Excel | | | | | | |
| Trader ID | Type | Clearing Mapping | | Effective Date | | |
| TRADER1 | FIX API | Details | | 2004-04-27 | | |

| Column | Description |
|------------------|--|
| Trader ID | Identifies the firm to the GCC |
| Type | <ul style="list-style-type: none"> • FIX API • CME Direct • Mass 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, click **Details**.

| Clearing mapping for Trader 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 Executing Firm Session IDs - [Search for an executing firm](#).
- [Enable or Disable Cancel on Disconnect](#)
- [Unmask Session ID Password](#)
- [Set Session Password Entitlements](#)

The following information is available on the Session IDs pane.

Note: To sort column data by ascending or descending order, click ↕.

| Column | Description | Clearing Firm Admin | Executing Firm User |
|---------------------|---|---------------------|---------------------|
| Select/Deselect All | Checkboxes to select a session ID to perform additional actions. | X | |
| Connecting Entity | Identifies the connecting entity, based on information gathered when the Session ID was created. | X | X |
| Trading Customer | The name of the customer trading through a given iLink session ID as disclosed by the clearing firm. | X | X |
| Executing 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 executing firm. | X | X |
| Trader ID | The alphanumeric ID associated with the iLink session and derived from the execution firm ID. | X | 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. | X | X |
| Sender Comp | A combination of the Session ID and the Executing Firm ID sent by a market participant in iLink Tag 49 . | X | X |
| Status | The existing state for an iLink session: <ul style="list-style-type: none"> • Live - iLink session was created less than 6 months | X | X |

| Column | Description | Clearing Firm Admin | Executing Firm User |
|----------------------------|---|---------------------|---------------------|
| | <p>ago, or had more than 100 messages in the past three months.</p> <ul style="list-style-type: none"> • 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". | | |
| iLink Session Password | Displays a user's iLink order routing interface password. | X | X |
| Live Date | Specifies the close of business date that the iLink session went live. | X | X |
| Last Login | The last date the Session ID logged in. | X | X |
| Last Transaction | The last date the Session ID entered a new order, order modification, order cancellation or recorded volume. | X | X |
| COD (Cancel on Disconnect) | <p>Clearing firm administrators can enable or disable this feature.</p> <ul style="list-style-type: none"> • 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. | X | X |
| Primary IP | The primary internet protocol address of the iLink session. | X | X |
| Backup IP | Alternate internet protocol address of the iLink session. | X | X |
| Port | The port number associated with the host IP address. | X | X |
| Connectivity Type | <p>Type of connectivity used to connect to the CME Group network and FADB. Available choices:</p> <ul style="list-style-type: none"> • CME DirectLink • Metropolitan Area Network • Client INTERNETLink | X | X |

| Column | Description | Clearing Firm Admin | Executing Firm User |
|------------------|---|---------------------|---------------------|
| | <ul style="list-style-type: none"> • CME Globex Hub • CME EConnect • CME GLink • Jackson Direct • Local Network - LNET • CME NYDC VPN | | |
| Front End System | Certified front end application affiliated with a Session ID. | X | X |

Enable Cancel on Disconnect (COD)

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.

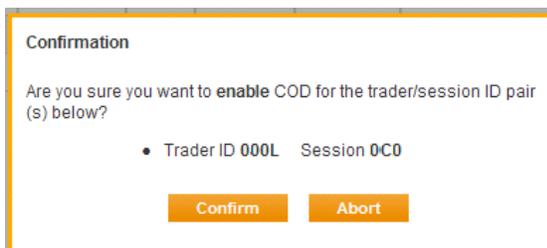
▶ To enable Cancel on Disconnect:

1. Select the **Session IDs** tab.
2. Select a Session/Trader ID to update.

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

3. Click **Enable/Disable COD**.

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

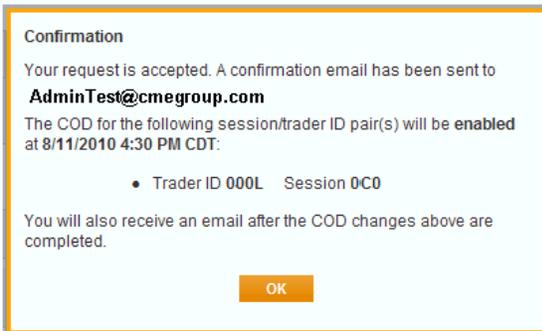


4. Click **Confirm**.

An email is sent to the registered SMART Click address after the COD changes are completed.

5. Click **OK**.

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



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

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

| Trader IDs | | Session IDs | | Firm Contacts | | Outbound Contacts | | CME Application | | Messaging Stats | | Session Stats | | | | | | | |
|--------------------------|------------------|------------------|-------------------|---------------|------------|-------------------|--------|-----------------|------------|------------------|----------|--------------------|------------|-----------|------|---------------|--------------|-------------------|------------------|
| Select All | Connecting Entry | Trading Customer | Executing Firm ID | Trader ID | Session ID | Sender Comp | Status | Live Date | Last Login | Last Transaction | COD | Drop Copy Group(s) | Primary IP | Backup IP | Port | DR Primary IP | DR Backup IP | Connectivity Type | Front End System |
| <input type="checkbox"/> | FIRM ABC | FIRM ABC | 123 | 183B | QWE | QWE123 | Idle | 2008-06-27 | | | Enabled | | | | | | | | Prop System |
| <input type="checkbox"/> | FIRM ABC | FIRM ABC | 123 | 183B | QWE | QWE123 | Idle | 2008-01-11 | 2011-10-13 | 2011-10-14 | Disabled | | | 9319 | | | | | Prop System |
| <input type="checkbox"/> | FIRM ABC | FIRM ABC | 123 | 183B | QWE | QWE123 | Idle | 2007-04-18 | | | Disabled | | | | | | | | EOS |
| <input type="checkbox"/> | FIRM ABC | FIRM ABC | 123 | 183B | QWE | QWE123 | Idle | 2004-10-01 | 2011-10-13 | 2011-10-14 | Disabled | | | | | | | | Prop System |

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:

- [Search](#) for an Executing Firm.
- Select the Session IDs tab.
- Select a Session/Trader ID to update.

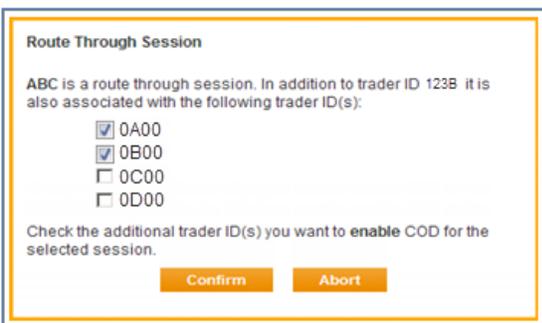
To update all Session/Trader IDs, click **Select/Deselect All**.

- Click **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.

- Select additional Trader IDs to enable/disable COD.

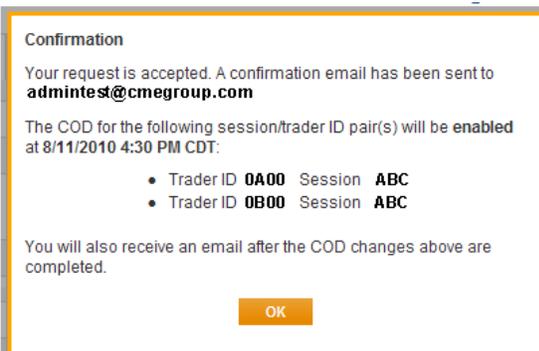


- Click **Confirm**.

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

7. Click **Confirm**.

An email is sent to the registered SMART Click address after the COD changes are completed.

8. Click **OK**.

After clicking OK, results appear with the 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.

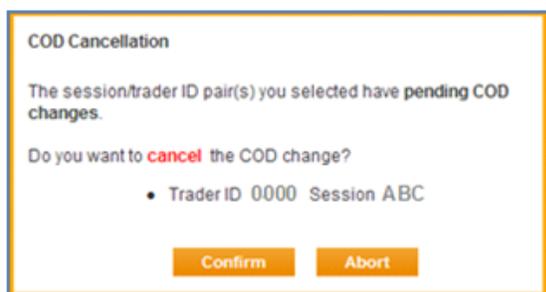
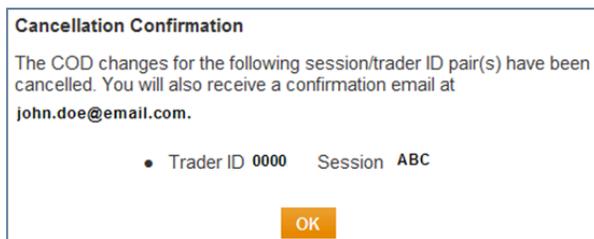
Cancel a Pending COD Change

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 an Executing Firm.
2. Select the **Session IDs** tab.
3. Select a Session/Trader ID.
4. Click **Enable/Disable COD**.

A confirmation dialog appears.

5. To cancel the pending COD changes, click **Confirm**.6. Click **OK**.

A cancellation email is sent to the registered SMART Click ID address.

Unmask Session ID Password

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

1. [Search](#) for an Executing Firm.
2. Select the **Session IDs** tab.
3. Move the mouse pointer over **iLink Session Password**.



4. Click **Unmask Session Password**.

A login dialog appears.

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

5. Enter the **SMART Click ID** and **password**, then click **Submit**.

Due to the sensitive nature of this information, you must reauthenticate before iLink Session Passwords can be shown.

SMART Click ID

Password

[I forgot my password](#)

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 executing firm
- Session is not active
- Browser is refreshed
- User logs out and logs in again
- System timeout

| Select / Deselect All | Connecting Entity | Trading Customer | Executing Firm ID | Trader ID | Session ID | Sender Comp | Status | iLink Session Password | Live Date | Last Login | Last Transaction |
|--------------------------|-------------------|-------------------|-------------------|-----------|------------|-------------|--------|------------------------|------------|------------|------------------|
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Idle | password | 2005-09-23 | 2011-10-13 | 2011-10-14 |
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Idle | **** | 2007-11-30 | 2011-10-13 | 2011-10-14 |
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Idle | **** | 2008-07-18 | 2011-10-13 | 2011-10-14 |
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Idle | **** | 2008-12-22 | 2011-06-19 | 2009-06-01 |
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Idle | password | 2005-10-28 | 2011-10-13 | 2011-10-14 |
| <input type="checkbox"/> | MARKETS FINANCIAL | MARKETS FINANCIAL | 123 | 2DMF | 2DMF | 2DMF123 | Live | **** | 2008-05-19 | | |

Grant iLink Session Password Permission

Entitlement to unmask iLink sessions passwords is assigned by clearing firm administrators to clearing or executing firm users. To modify existing assignments on an individual user basis, refer to: [Set iLink Session ID Password Entitlement](#).

▶ **To enable or disable user permission to unmask passwords:**

1. From the **Administration** menu, select **User Administration**.
2. In the Action column, click **Edit**.

The Edit Executing Firm User screen, for the selected user, appears.

Edit Executing Firm User

Name: User Ulysses
 SMART Click ID: fadb123
 Email: user@domain.com

Select Executing Firm

| | |
|-------------------------------------|--------------|
| <input checked="" type="checkbox"/> | 001 - Firm 1 |
| <input type="checkbox"/> | 002 - Firm 2 |
| <input type="checkbox"/> | 003 - Firm 3 |
| <input type="checkbox"/> | 004 - Firm 4 |
| <input checked="" type="checkbox"/> | 005 - Firm 5 |
| <input type="checkbox"/> | 006 - Firm 6 |

Select iLink Session Password Firm Entitlement

| | |
|--------------------------|--------------|
| <input type="checkbox"/> | 007 - Firm 7 |
| <input type="checkbox"/> | 008 - Firm 8 |

Sort By: Firm ID Firm Name

Save Changes **Back**

3. To enable the firm's users to unmask iLink session passwords, select the checkbox on the right side pane.
4. To confirm the selection, click **Save Changes**.

All users at the selected executing firm are granted permission to unmask passwords.

Set iLink Session ID Password Entitlement

The iLink Session Password Entitlement enables clearing firm administrators to enable or disable clearing or executing firm user access to specific iLink Session passwords.

1. [Search](#) for an Executing Firm.
2. Select the **Session IDs** tab.
3. Move the mouse pointer over **iLink Session Password**.
4. Click **Update Session Password Entitlements**.



The Entitlement page appears.

Update iLink Session Password Entitlement

Exchange firm users with firm-wide password entitlement.
Individual session password entitlements must be edited on the individual user's profile below.

| SMART Click ID | Name | Email |
|----------------|-----------------|------------------|
| smrtclktest1 | Sharon Levesque | sl@trader.com |
| smrtclktest2 | Clark Cooper | clark@trader.com |

Exchange firm users without firm-wide password entitlement.
Users selected here will be entitled to all sessions added or removed in their column.

| Session | SMART Click ID | |
|------------------------------|---------------------------------------|---------------------------------------|
| | <input type="checkbox"/> smrtclktest1 | <input type="checkbox"/> smrtclktest2 |
| <input type="checkbox"/> 12A | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> 13B | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> 14C | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> 41D | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> 53F | <input type="checkbox"/> | <input type="checkbox"/> |

5. Entitlement assignment options are available:
 - a. Grant the SMART Click ID password entitlements for all iLink session IDs - Select the SMART Click ID check box in the heading
 - b. Grant entitlements for the iLink session ID to all SMART Click IDs - Select the check box in the Session column
 - c. Grant entitlements to the SMART Click ID to selected iLink session IDs - Select the individual SMART Click check box

Firm Contacts Tab

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

To view an Executing Firm's assigned clearing firm contacts:

1. From the **Search** menu, then select **Executing Firm**.
The Search Executing Firm screen appears.
2. Select a Firm, then click **Search**.
3. Select the **Firm Contacts** tab.

The following information appears on the page:

| Column | Description |
|---------------------|--|
| Name | Name of the registered contact. |
| SMART Click Contact | Profile information as registered in SMART Click. |
| Firm Contact Type | Specifies the type of contact: <ul style="list-style-type: none"> • Primary • Secondary • Clearing Firm Risk Administrator • Executing Firm Risk Administrator |

Note: For additional information see [Globex Customer Roles and Entitlements](#).

4. To view a user's profile, click their **name**.

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

Selecting a user's profile displays GCC and SMART Click contact information and registration details.

Profile

SMART Click Contact Info

| | |
|-----------------|--------------|
| SMART Click ID: | EFTestUser |
| Primary Phone: | 1 2222222222 |
| Alt Phone: | 1 3333333333 |
| Email: | user@com.com |

Note: SMART Click profile information must be updated by the user. Click [here](#) to update your SMART Click profile.

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

Firm Contact Export to Excel

| Contact Type | Exchange | Firm ID | Firm Name |
|---------------|----------|---------|-----------|
| PRIMARY ADMIN | CBT | 000 | TEST FIRM |

EOS Export to Excel

| User ID | Trader ID |
|------------|-----------|
| TESTDOMAIN | OJDL |

- To view privileges for a particular system, click 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 Tab

The *Outbound GCC Contact* functionality is used to view contact information, which is used to contact clearing and executing 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 executing firm user profiles.

▶ **To view Outbound GCC Contacts:**

1. From the **Search** menu, select **Executing Firm**.
The Search Executing Firm screen appears.
2. From the Executing Firm drop-down menu, select a Firm, then click **Search**.

WELCOME FADB USER

Search Executing Firm

Executing Firm Sort By Firm ID Firm Name

3. Click the **Outbound Contacts** tab.

Outbound Contact details appear in a list.

| Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | Messaging Stats | Session Stats |
|-------------------|---------------------|-----------------------|------------------------------------|-----------------|-----------------|---------------|
| Export to Excel | | | | | | |
| Executing Firm ID | Executing Firm Name | Outbound Contact Name | Contact Type | PHONE NUMBER | | EMAIL |
| 020 | TRADES PLUS LLC | test16 | GCC Outbound Error Trade Contact | | | |
| 020 | TRADES PLUS LLC | test16 | GCC Outbound iLink Session Contact | | | |
| 020 | TRADES PLUS LLC | Garrett Smith | GCC Outbound Error Trade Contact | ETH-Europe | 44.207.811.1181 | |
| | | | | ETH-Asia | 44-207-811.1181 | |
| 020 | TRADES PLUS LLC | Garrett Smith | GCC Outbound iLink Session Contact | ETH-Europe | 44.207.848.4881 | |
| | | | | ETH-Asia | 44-207-848-4881 | |

CME Application Tab

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

Note: This functionality is also accessible from the [Administration > CME Application](#).

▶ **To view other applications and entitlements:**

1. Click the **CME Application** tab.
2. Select an **Application**.
3. Click **Search**.

CME Group Profile - ABC LP

Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | **CME Application** | Messaging Stats | Session Stats

Search User Entitlement

Executing Firm: 000 - ABC LP [Search](#)

Application

- FirmSoft FEC
- Deliveries C21 (Asset Mgmt & Bank, Positions, Settlement)
- Large Trader Reportable Positions MOS (FEC+)
- Fee Systems Enterprise Reporting Portal (EREP)
- Risk Management Tools Firm Administrator Dashboard

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

Search Result [Export to Excel](#)

| User ID | User Name | Application |
|---------------------------|--------------|-------------|
| AndyAdmin | Andrew Admin | FEC |

- To view a user profile, click the **User ID** link.
User's entitlements by specific application appear.

Entitlement Profile - Andrew Admin [Export to Excel](#) | [Back](#)

FEC, MOS (FEC+)

| User ID | Firms | Roles |
|---------------------------|---|----------------|
| AndyAdmin | CBT_123, CBT_234, CBT_345, CBT_456, CBT_567, CBT_678, CBT_789 | FirmUpdateUser |

Executing Firm View

The Executing Firm user's view has fewer choices.

- Firm Administrator Dashboard
- FirmSoft (*Note: FirmSoft users have inherent GCC Inbound Contact rights.*)

CME Group Application

Search Entitlement

Executing Firm: [Search](#)

Application

- Firm Administrator Dashboard
- FirmSoft

Messaging Stats Tab

The Messaging Stats functionality is used to search for [Messaging Efficiency Program](#) statistics.

To view messaging statistics:

- Click the **Messaging Stats** tab.
- From the **Search Messaging Program Statistics** page, **select** the search criteria.

CME Group Profile - FIRM ABC

Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | **Messaging Stats** | Session Stats

Search Messaging Program Statistics

Executing Firm: 123 - FIRM ABC

Aggregation: Firm | Product Group

Product Group:

Selections: Single Day | Trade Date(RTH): 04/18/2013

Search Help

Legend

- RTH
- Ticket Number
- Red Highlights
- Volume Ratio
- Product Group Benchmark
- Tier
- Surcharge
- Expanded Product Group Benchmark
- Daily Breakdown
- Product
- Timing
- Monthly Average Qualifier
- Score
- Executing Firm
- Product Group
- Product Group Description
- Exchange
- Future/Option
- Order
- Modification
- Cancellation
- Elimination
- Volume

3. Click **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.

4. Click the **Daily Breakdown** link to view additional details.

Session Stats Tab

The Session Stats functionality displays and provides users with the ability to view volume figures applicable to [iLink Session ID Policy](#) administration.

 **To view iLink session ID statistics:**

1. Click 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.

CME Group Firm Administrator Dashboard

Search | Reports | Administration | Messaging Program | Help

CME Group Profile - TRADING LLC

Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | Messaging Stats | **Session Stats**

Search Session Policy Program 

| Time Period | Executing Firm | ADV 1 | ADV 2 | Tier | MSGW Session Allowance | ECC Allowance |
|-------------|----------------|-----------|-----------|------|------------------------|---------------|
| Q3 2015 | TRADING LLC | 2,449,601 | 2,228,183 | 10 | 300 | 60 |
| Q2 2015 | TRADING LLC | 2,365,595 | 2,449,601 | 10 | 300 | 60 |

Executing Firm: 000 - TRADING LLC

Aggregation: Firm

Selections: Current Quarter

Search

Legend

- ADV1
- ADV2
- ADV
- ECC
- LTD Volume
- MIC
- PAC

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.

CME Group Profile - TRADING LLC
[Contact Us](#)
[Quick Links](#)

Trader IDs | Session IDs | Firm Contacts | Outbound Contacts | CME Application | Messaging Stats | **Session Stats**

Search Session Policy Program [Export to Excel](#)

| Time Period | Executing Firm | ADV 1 | ADV 2 | Tier | MSGW Session Allowance | ECC Allowance |
|-------------|----------------|-----------|-----------|------|------------------------|---------------|
| Q3 2015 | TRADING LLC | 2,449,601 | 2,228,183 | 10 | 300 | 60 |
| Q2 2015 | TRADING LLC | 2,365,595 | 2,449,601 | 10 | 300 | 60 |

Executing Firm: 000 - TRADING LLC
 Aggregation: **Session**
 Selections: Month To Date
[Search](#)

Legend
 [?] ADV1 [?] LTD Volume
 [?] ADV2 [?] MIC
 [?] ADV [?] PAC
 [?] ECC

Search Result [Export to Excel](#)

| Trading Customer | Month | PAC | MIC | ECC |
|------------------|---------------|-----|-----|-----|
| TRADING LLC | Month To Date | 0 | 0 | 0 |

| Trading Customer | Session ID | MSGW | Status | Create Date | Live Date | Delete Date | Front End System | LTD Volume | Total Volume | ADV | PAC | MIC | Last Mass Quote Activity |
|------------------|------------|------|--------------|-------------|------------|-------------|------------------|------------|--------------|-----|-----|-----|--------------------------|
| TRADING LLC | 11H | No | Live | 2009-07-28 | 2009-07-31 | N/A | Prop System | 0 | 0 | 0 | | | |
| TRADING LLC | 12A | No | Idle Warning | 2008-09-11 | 2008-09-12 | N/A | Prop System | 0 | 0 | 0 | | | |
| TRADING LLC | 13R | No | Live | 2008-11-07 | 2008-11-07 | N/A | Prop System | 0 | 0 | 0 | | | |
| TRADING LLC | 14C | No | Live | 2009-07-08 | 2009-07-10 | N/A | Prop System | 0 | 0 | 0 | | | |
| TRADING LLC | 14H | No | Live | 2008-10-10 | 2008-10-17 | N/A | Prop System | 0 | 0 | 0 | | | |
| TRADING LLC | 14K | No | Live | 2008-09-18 | 2008-09-19 | N/A | Prop System | 0 | 0 | 0 | | | |

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

Executing Firm: 000 - TRADING LLC

Aggregation: **Firm**
 Selections: **Current Quarter**
[Search](#)

Legend
 [?] ADV1 [?] LTD Volume
 [?] ADV2 [?] MIC
 [?] ADV [?] PAC
 [?] ECC

Search Result [Export to Excel](#)

| Time Period | Executing Firm | ADV 1 | ADV 2 | Tier | MSGW Session Allowance | ECC Allowance | Quarter To Date ADV |
|-------------|----------------|-----------|-----------|------|------------------------|---------------|---------------------|
| Q3 2015 | TRADING LLC | 2,449,601 | 2,228,183 | 10 | 300 | 60 | 2,550,456 |

Note: To export the results to Excel, click **Export to Excel**.

Search Individual

▶ To search for a registered user:

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



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

Search Individual

Last Name

Executing Firm Search

Contact Type

Note: Executing Firm and contact type defaults to ALL.

3. Click **Search**.

Results appear in a list below.

Search Result
 Click on name to see individual's profile information.
 * SMART Click profile information must be updated by the user.

Export to Excel

| Name | GCC Contact | SMART Click Contact * | Firm | Firm Contact Type | Trader ID Contact Type |
|----------------------------------|--|-----------------------|------------------|---|------------------------|
| LEVESQUE, SHARON | Work Phone 1: 123-456-7890 Work Phone 2: 123-456-7890 Home Phone: 123-456-7890 | | CAP2 Z CAP2 Z | SECONDARY ADMIN, RISK ADMIN (GC2) SECONDARY ADMIN | |

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, click the contact's name.

User profiles are available to Clearing Firm Administrators only.

Individual Profile

| Column | Description |
|--------------|--|
| Profile Pane | SMART Click Contact Information/Registration Details |

CME Group Profile - tester, QA

Profile

SMART Click Contact Info

SMART Click ID: EFTestUser
 Primary Phone: 1|2222222222
 Alt Phone: 1|3333333333
 Email: user@com.com

Note: SMART Click profile information must be updated by the user. [Click here](#) to update your SMART Click profile.

Export to Excel

Firm Contact

| Contact Type | Exchange | Firm ID | Firm Name |
|---------------------------|----------|---------|-------------|
| EXECUTING FIRM RISK ADMIN | CME | 013 | TRADING LLC |
| EXECUTING FIRM RISK ADMIN | CME | 092 | BANK |

EOS

Individual System Privileges

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

Firm Contact

 Export to Excel

| Contact Type | Exchange | Firm ID | Firm Name |
|-----------------|----------|---------|------------------|
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |
| SECONDARY ADMIN | CME | 123 | CAPITAL PARTNERS |

Trader ID Contact (Click trader id or yes to see session id and account restrictions)

 Export to Excel

| Trader ID | Account Restriction | Type | Contact Type | Effective Date |
|-----------|---------------------|---------|--------------|----------------|
| 12TY | No | FIX API | MARKET | 2008-02-10 |

EOS

No data available.

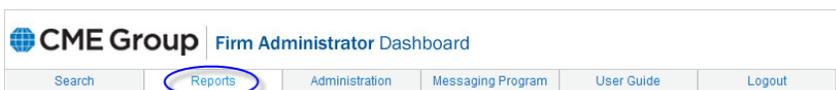
Reports

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 executing 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.
- FirmSoft User - Lists authorized FirmSoft users. *(Note: FirmSoft users have inherent GCC Inbound Contact rights.)*
- FirmSoft Entitlement - Lists authorized FirmSoft user specific entitlements.
- 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 executing 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. Click the **Reports** tab.



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

The screenshot shows the 'Request Report' form. It has two tabs: 'Request Report' and 'Report Manager'. Under 'Request Report', there are two dropdown menus. The first is labeled 'Report *' and is set to 'Clearing Firm Mapping'. The second is labeled 'Clearing Firm *' and is set to '000 TEST FIRM'. Below the second dropdown is the text '* Required field'. At the bottom right of the form is an orange 'Submit' button.

CME Europe clearing firm reports are indicated by **CMEEL** prefix prior to report name.

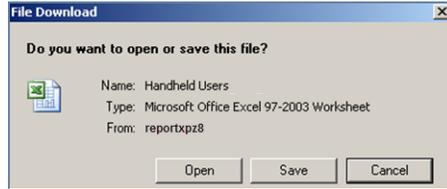
This screenshot shows the same 'Request Report' form as above, but with the 'Clearing Firm *' dropdown menu open. The dropdown list contains three options: 'CME -000 - TEST FIRM', 'CME -000 - TEST FIRM', and 'CMEEL-001 - CME EUROPE TEST FIRM'. The 'CMEEL-001 - CME EUROPE TEST FIRM' option is highlighted in blue and circled in blue.

3. Click **Submit**.

The report appears on the Report Manager tab.

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

- Click **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:

- To view previously requested reports, click the **Report Manager** tab.

Request Report
Report Manager

The report list is automatically updated every 10 seconds. You can also click Refresh button to refresh the list. Click report name when ready to access the report.
 Note: The time required to download the Session IDs report varies. A large number of iLink Sessions and/or heavy utilization of Drop Copy can cause significant delays. We apologize for any inconvenience.

Refresh

| Report | Report Criteria | Requested Time | Time To Complete | Status |
|-----------------------|--|---------------------|------------------|--------|
| Session IDs | Clearing Firm ID Is Equal To 'XYZ'; Clearing Firm Exchange Is Equal To 'CME' | 2013-03-18 12:47:48 | | |
| Session IDs | Clearing Firm ID Is Equal To 'XYZ'; Clearing Firm Exchange Is Equal To 'CME' | 2013-03-15 11:05:39 | | Failed |
| Clearing Firm Mapping | Clearing Firm ID Is Equal To 'XYZ'; Clearing Firm Exchange Is Equal To 'CME' | 2011-09-19 11:56:18 | 24 sec | Ready |

- The list is automatically updated every ten seconds. To manually refresh the list, click the **Refresh** button.
- Reports can be accessed for up to two weeks from the requested date. The in progress icon () indicates the report query is still processing.

Clearing Back Office

The SOx Application functionality is used by back office managers to view users' system entitlements.

SOx Application Report
Logout

WELCOME BACK OFFICE MANAGER

Search User Entitlement

Clearing Firm

CLEAR TRADES L.L.C.

Executing Firm

123 - TRADING CAPITAL

FEC
 Deliveries
 Fee Systems
 Enterprise Reporting Portal (EREP)

C21 (Asset Mgmt & Bank, Positions, Settlement)
 MOS (FEC+)
 Large Trader Reportable Positions

Select All

Search

▶ To run a SOx report:

- Click the **SOx Application Report** tab.
- Select the **Clearing Firm** and **Executing Firm** from the drop down list.
- Select one more **applications**.
- Click **Search**.
User IDs associated with each application appear in a list.
- 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](#).

Search Result

 [Download Excel Report](#)

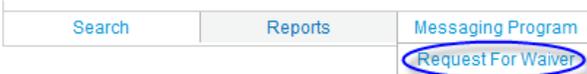
| User ID | User Name | Application |
|--------------|-----------|-------------|
| TEST USER ID | TEST USER | TEST APP |

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

Messaging Program Surcharge Search & Report

Messaging Program Ticket Number * Search
 Executing Firm *
 Date of Surcharge (mm/dd/yyyy) * To Date(mm/dd/yyyy)

Legend * At least one of these fields must be provided.

| | | |
|--|---|---------------------------------------|
| <input type="text" value="?"/> Action | <input type="text" value="?"/> RFW Submitted Date | <input type="text" value="?"/> Reason |
| <input type="text" value="?"/> Ticket Number | <input type="text" value="?"/> Status | <input type="text" value="?"/> Notes |

- Messaging Program Ticket Number - The ticket number is in the surcharge notification email.
- Executing 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. Click **Search**.

Results appear in a list below.

To submit a Request for Waiver:

1. Search for a Messaging Program Ticket.
2. From the Search Results, click **Create**.

Search Result Export to Excel

| Action | Surcharge Ticket# | Executing Firm | Firm Name | Exchange | Product | Surcharge Date | RFW Submitted Date | Reason | Note | Email | Status |
|--------|-------------------|----------------|--------------|----------|---------|----------------|--------------------|--------|------|---------------|--------|
| Create | 123456 | 123 | CAP PARTNERS | CBT | S5 | 02/28/2013 | 02/28/2013 | | | sl@capart.com | Active |
| Create | 123457 | 123 | CAP PARTNERS | CME | K3 | 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 |
| Name of Individual | FIRM ADMINISTRATOR |
| Date of Surcharge | 2013-02-28 |
| Executing Firm | 123 |
| Executing Firm Name | CAPITAL PARTNERS |
| Product Group(s) violated | YM |
| Clearing Firm E-mail Address for Notification | sl@cappart.com |
| Reason for Waiver Requests* | <input type="text"/> |
| CC E-Mail Address for Notification (Multiple e-mail addresses must be separated by commas or semicolons. Example: abc@example.com, 123@example.com) | <input type="text"/> |
| Specific Circumstances and steps taken to Prevent Future Additional Events* | <input type="text"/> |

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.

Submit

4. Click **Submit**.

Administration

Administration functions are available to the following:

| Functionality | Description | Clearing Firm Admin | Executing Firm User |
|---------------------------------------|---|---------------------|---------------------|
| User Administration | Add new users, activate user status. | X | |
| Change Log | View a record of administrative updates. | X | |
| CME Application | View user entitlements for CME Group applications. | X | X |
| Contact Management | Assign a contact to an executing firm, or delete a contact. | X | |
| Self-Match Prevention | Optionally prevent orders with the same owner from trading with each other. | X | X |

User Administration

The user administration functionality is available to clearing firm administrators to search for executing firms by their Smart Click ID.

The following functions can be performed:

- Add new users
- Edit a user's executing firm
- Activate a pending user

▶ To Access User Administration:

Select the **Administration** drop down menu, then select **User Administration**.



A list of Executing Firm Users appears.

Executing Firm User List

| SMART Click ID | Name | Executing Firm | Status | Action |
|----------------|------------|---|--------------------------------------|--------|
| smartcid | Clark Cook | 123 - TRADING LIMITED 234 - CAPITAL PARTNERS 345 - FINANCE GLOBAL 456 - INVESTMENTS L.L.P. | Active Active Active Active | Edit |

The Executing Firm User List contains the following information:

- SMART Click ID
- Name
- [Executing Firm](#)
- [Status](#)

▶ **To Add a New User:**

1. From the Executing Firm User list, click **Add New User**.

The User Administration screen for adding a new user appears.

User Administration

Add Executing Firm User

* Required field

SMART Click ID *

SMART Click Token *

Executing Firm * CME- 123 - TRADING LIMITED
 CME- 234 - CAPITAL PARTNERS
 CMEEL- 345 - FINANCE GLOBAL
 CME- 456 - INVESTMENTS L.L.P.

Select iLink Session Password Firm Entitlement

Sort By Firm ID Firm Name

Beta User Select this user as beta user for the following feature(s):

- User can view iLink Session Password Entitlement
- User with feature can use CME Application
- User can edit iLink Session Password Entitlement
- User can access Inbound Contact

- CME Europe firms are indicated by the CMEEL prefix.

2. Enter the user's **SMART Click ID** and **Token**.
3. Select the **Executing Firm** to assign.

CME Europe firms are indicated by the CMEEL prefix.

4. Select a **Sort** option:
5. Click **Submit**.
6. **Confirm** the assignment.

An acknowledgment dialog appears.

Confirmation

Are you sure you want to assign the following firm(s) to this user?

Name: Jane Doe
 SMART Click ID: TestFirmUser
 Email: jane.doe@email.com
 Executing Firm:
 999 - XYZ FIRM

7. On the confirmation dialog, click **OK**.

Confirmation

Your request is complete. A confirmation email has been sent to **Jane Doe** at **jane.doe@email.com**.

OK

The Executing Firm User List is updated with the user information.

To Edit a User’s Executing Firms List:

Only a Clearing Firm Administrator can remove an Executing Firm user’s access.

1. On the Executing Firm User List > **Action** column, click **Edit**.

| SMART Click ID | Name | Executing Firm | Status | Action |
|----------------|----------|----------------------------------|------------------|--------|
| TestFirmUser | Jane Doe | 999 - XYZ FIRM 000 - ABC FIRM | Active Active | Edit |

2. Modify the user’s **Executing Firm** and iLink Session/Trader ID selections by selecting or deselecting checkboxes.

User Administration

Edit Executing Firm User

Name Sharon Levesque
 SMART Click ID sclickuser
 Email sl@capitalpartners

Select Executing Firm

- 999 - XYZ FIRM
- 000 - ABC FIRM
- 123 - FIRM ABC
- 222 - DEF FIRM

Select iLink Session Password Firm Entitlement

- 987 - ROTH EXAMPLE
- 876 - GEM EXAMPLE
- 765 - AIRES EXAMPLE
- 654 - CIRCLE EXAMPLE

Sort By Firm ID Firm Name

Save Changes **Back**

Beta User Select this user as beta user for the following feature(s):

- Manage contact for CME Globex Messaging Efficiency Program
 - User can view iLink Session Password Entitlement
 - User can edit iLink Session Password Entitlement
- View messaging metrics for CME Globex Messaging Efficiency Program

3. Click **Save Changes**.
4. On the confirmation dialog, click **Confirm**.
5. On the acknowledgement dialog,click **OK**.

To Edit a Firm User’s Status:

A user’s access changes to **Pending** when the original firm changes its clearing firm. The new clearing firm’s administrator must enable the user account.

1. On the Executing Firm User List > **Action** column, click **Edit**.

| Executing Firm User List | | | | |
|--------------------------|----------|--|---------------------------------------|--------|
| SMART Click ID | Name | Executing Firm | Status | Action |
| TestFirmUser | Jane Doe | 999 - XYZ FIRM 000 - ABC FIRM 222 - DEF FIRM 888 - GHI FIRM | Active Active Active Pending | Edit |

[Add New User](#)

- Locate the Pending firm and click **Enable**.

Select Executing Firm

123 - TRADING UP LLP

234 - CAPITAL PARTNERS

345 - ZONE LIMITED [Enable](#)

The Executing Firm is enabled immediately.

| Executing Firm User List | | | | |
|--------------------------|----------|--|--------------------------------------|--------|
| SMART Click ID | Name | Executing Firm | Status | Action |
| TestFirmUser | Jane Doe | 999 - XYZ FIRM 000 - ABC FIRM 222 - DEF FIRM 888 - GHI FIRM | Active Active Active Active | Edit |

[Add New User](#)

- To return to Executing Firm User List, click the **Back** button.
The user's status for the Executing Firm's is set to **Active**.

Note: User status cannot be changed from Active to Pending.

Change Log

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

▶ To View the Change Log:

- From the Administration tab, select **Change Log**.



- Select the type of change to search:

Cancel on Disconnect - Displays executing firm [Cancel on Disconnect](#) activity.

Change Type: [Search](#)

Last Name:

Executing Firm:

Session ID:

User Administration - Displays a list of [user administration](#) activity.

Change Type

SMART Click ID **

Last Name **

Executing Firm **

From Date (mm/dd/yyyy) * To Date (mm/dd/yyyy) *

* Required field
** At least one of these fields must be provided.

MEP Contact Change - Displays Messaging Efficiency Program activity.

Change Type

Executing Firm *

From Date (mm/dd/yyyy) * To Date (mm/dd/yyyy) *

* Required field

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

Results appear in a list, below the search criteria.

Cancel on Disconnect results

Search Result - COD changes requested since 09/09/2011

[Export to Excel](#)

| Session ID | Trader ID | Change | Requested By ID | Requested By Name | Requested Date & Time |
|------------|-----------|------------------------------|-----------------|---------------------|-----------------------|
| ABC | 123A | CANCEL REQUEST TO ENABLE COD | fadb001 | Administrator, Firm | 09-16-2011 15:46:37 |
| DEF | 234B | REQUEST TO ENABLE COD | fadb002 | Administrator, Firm | 09-09-2011 11:02:48 |
| GHI | 345C | REQUEST TO ENABLE COD | fadb003 | Administrator, Firm | 09-09-2011 11:02:48 |

User administration results

User Administration Change Log

[Export to Excel](#)

| Date and Time | Name | SMART Click ID | Log | Assigned By |
|---------------------|--------------------|----------------|--|--------------------------------|
| 2013-03-12 16:32:06 | Firm Administrator | smartclktst1 | Granted iLink session password access to session ABC in firm 100 | Firm Administrator (ID: user1) |
| 2013-03-12 16:32:06 | Firm Administrator | smartclktst2 | Granted iLink session password access to session BCD in firm 200 | Firm Administrator (ID: user1) |

Messaging Efficiency Program results

MEP Contact Change Log

[Export to Excel](#)

| Date and Time | Name | SMART Click ID | Log | Executed By |
|---------------------|--------------------|----------------|-------------------------------|--------------------------------|
| 2013-03-13 14:01:22 | Firm Administrator | smartclktst1 | Contact Assigned for Firm 123 | Firm Administrator (ID: user1) |
| 2013-03-13 14:01:22 | Firm Administrator | smartclktst2 | Contact Assigned for Firm 123 | Firm Administrator (ID: user1) |

CME Application

The CME Application functionality is used by Clearing Firm Administrators to view Executing Firm's users for other CME Group applications. This information can be viewed after selecting an Executing Firm or Individual profile and an Application.

Note: This functionality is also accessible from the Search > Executing Firm > [CME Application tab](#).

To View a User's Application Entitlements:

1. From the **Administration** tab, select **CME Application**.



2. Select an **Executing Firm**.
CME Europe firms are indicated by the CMEEL prefix.
3. Select at least one **Application**.
4. Click **Search**.

CME Group Application

Search Entitlement

Executing Firm: 000 - ABC LP [Search](#)

Application

| | |
|--|---|
| <input type="checkbox"/> FirmSoft | <input checked="" type="checkbox"/> FEC |
| <input type="checkbox"/> Deliveries | <input type="checkbox"/> C21 (Asset Mgmt & Bank, Positions, Settlement) |
| <input type="checkbox"/> Large Trader Reportable Positions | <input type="checkbox"/> MOS (FEC+) |
| <input type="checkbox"/> Fee Systems | <input type="checkbox"/> Enterprise Reporting Portal (EREP) |
| <input type="checkbox"/> Risk Management Tools | <input type="checkbox"/> Firm Administrator Dashboard |

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

Search Result [Export to Excel](#)

| User ID | User Name | Application |
|-----------|--------------|-------------|
| AndyAdmin | Andrew Admin | FEC |

5. To view a user profile, click the **User ID** link.
User's entitlements by specific application appear.

Entitlement Profile - Andrew Admin [Export to Excel](#) | [Back](#)

FEC, MOS (FEC+)

| User ID | Firms | Roles |
|-----------|---|----------------|
| AndyAdmin | CBT_123, CBT_234, CBT_345, CBT_456, CBT_567, CBT_678, CBT_789 | FirmUpdateUser |

MEP Contact Management

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

To assign a Contact to an Executing Firm:

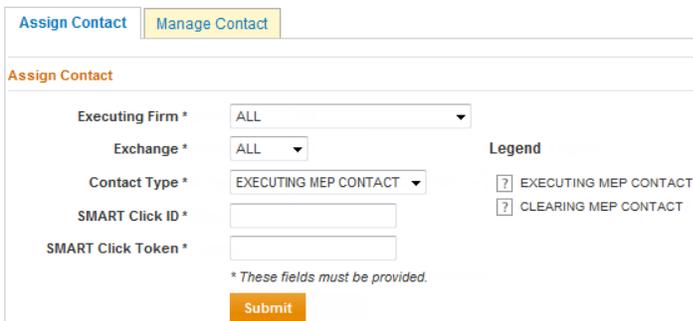
1. From the Administration tab, select **Contact Management**.



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 an **Executing Firm**.

3. Select an **Exchange**.

To assign a contact to a CME Europe firm, select CMEEL from the list.

4. Select the **Contact Type**.

5. Enter the user's **SMART Click ID**.

6. Enter the user's **SMART Click Token**.

7. Click **Submit**.

 **To delete a contact:**

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

2. Select the **Manage Contact** tab.

3. To find a user, select filter options:

- Executing Firm
- Exchange
- Contact Type

4. Click **Search**.

Results appear in a list.

Manage Contact

Assign Contact | Manage Contact

Search Existing Contact

Executing Firm * 123 - TRD LP
 Exchange * ALL
 Contact Type * EXECUTING MEP CONTACT

* At least one of these fields must be provided.

Search

Search Result Export to Excel

| Action | SMART Click ID | First Name | Last Name | Exchange - Firm ID | Email | Assigned Date | Assigned By ID | Assigned By Name |
|--------|----------------|------------|-----------|--------------------|-------------|---------------|----------------|---------------------|
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-26 | 123 | Administrator, Firm |
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-26 | 123 | Administrator, Firm |
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-26 | 123 | Administrator, Firm |
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-26 | 123 | Administrator, Firm |
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-19 | 123 | Administrator, Firm |
| Delete | smartcuser | Sharon | Levesque | CME - 123 | me@name.com | 2012-10-24 | 123 | Administrator, Firm |

- To delete the user from the Executing Firm, click **Delete**.

Self-Match Prevention

CME Globex Self-Match Prevention is optional functionality that allows an executing firm to prevent the matching of orders for accounts with common ownership if both the buy and sell orders contain the same Self Match Prevention Identifier (SMP ID) and Executing Firm ID. Customers who opt to leverage Self Match Prevention functionality must register via the Firm Administrator Dashboard to receive an SMP ID(s). The SMP ID(s) are then submitted in FIX tag 7928¹-Self MatchPrevention ID on each quote and order message to prevent an executing firm from trading against its own opposite side order with the same SMP ID and Executing Firm ID (subcomponent of tag 49- SenderCompID).

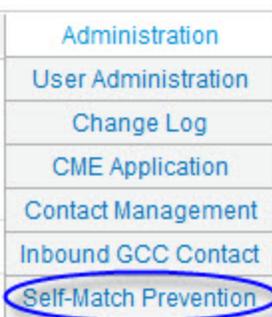
Note: The combination of SMP ID and Executing FirmID must be present on both the buy and sell orders in order to prevent a match from occurring and to effect the quote or order cancel.

To Enable Self-Match Prevention:

The initial stage of registering for Self-Match prevention is to specify the executing firm, clearing firm, and beneficial owner of the account. An account, or account *and* tag 50 can be specified.

Note: For additional information click the [Self-Match Prevention Frequently Asked Questions](#) link.

- From the **Administration** tab, select **Self-Match Prevention**.



- Select an **Executing Firm**.
- In the upper right corner, click **Add New SMP ID**.

¹Use of tag 7928 indicates that you do not wish to trade against yourself on Globex.

Firm Name - TRADING UNLIMITED

Add New SMP ID

No SMP IDs are currently affiliated with this firm.

The **Add New SMP ID** page appears.

Add New SMP ID * Required field

Executive Firm: TRADING UNLIMITED

Clearing Firm: QUICK CLEARING, INC.

Identity of the Legal Entity that is the Beneficial owner of the account(s) that will employ the SMP functionality. (You may not enter more than one Legal Entity). *

Add New Account

| Account Number | In EFS(?) | Account Owner | Account Controller |
|----------------|-----------|---------------|--------------------|
| | | | |

Do you plan to use the same SMP ID for all tag 50's that trade these accounts? Yes No

Tags50 * Add

| TAG 50 | Action |
|--------|--------|
| | |

Submit
Back
Remove

- In the **Identity of the Legal Entity** field, enter the legal entity/ beneficial owner that will employ SMP functionality.
- Specify the Account or Account *and* Tag 50. Then click **Submit**.

Refer to the instructions below for additional setup information.

Upon customer submission, a SMP ID is created for the Executing Firm and must be submitted for every order on which SMP will be enabled. Once created the SMP ID cannot be modified.

To link an account:

The following procedure describes the process to add an account to a new SMP ID, specify the account controller, and account owner.

- On the Add New SMP ID page, click **Add New Account**.

Add New SMP ID * Required field

Executive Firm: TRADING UNLIMITED

Clearing Firm: QUICK CLEARING, INC.

Identity of the Legal Entity that is the Beneficial owner of the account(s) that will employ the SMP functionality. (You may not enter more than one Legal Entity). *

Add New Account

| Account Number | In EFS(?) | Account Owner | Account Controller |
|----------------|-----------|---------------|--------------------|
| | | | |

- Enter an **Account Number** and specify whether the account is registered in **EFIS**.

Account Number *

Is this account registered in EFS? Yes No

- If the account is not registered in EFS, enter the **Account Controller Name**.

Account Number *

Is this account registered in EFS? Yes No

Account Controller Name

| Account Owner Name |
|--------------------|
| Account Owner 2 |
| Account Owner 1 |

- Click **Add Account Owner**.
- Enter the **Account Owner Name**.

Account Owner Name

- Click **Submit**.
- The account number is added to the list.

To link a tag 50:

The following procedure describes the process to enable SMP functionality for all or specific tag 50's that trade the accounts.

- On the Add New SMP ID page, Specify whether the SMP ID will be used for all Tag 50's that trade for the account (S).

Do you plan to use the same SMP ID for all tag 50's that trade these accounts? Yes No ¹

Tags50 * ²

| TAG 50 | Action |
|--------|--------|
|--------|--------|

If Yes, proceed to step 4.

- If the SMP ID will not be used for all tag 50's, enter a specific **Tag 50**.
- Click **Add**.

The specified tag 50 appears in the list.

Do you plan to use the same SMP ID for all tag 50's that trade these accounts? Yes No

TAG 50 *

| TAG 50 | Action |
|--------|------------------------|
| 111 | Delete |
| 444 | Delete |
| 777 | Delete |

Repeat to add additional Tag 50's.

- Click **Submit**.

To edit account information:

- From the **Administration** tab, select **Self-Match Prevention**.
- Select an **Executing Firm**.
- From the list, select an **SMP**.
- Click an **Account Number**.

Edit Existing SMP ID

* Required field

Executive Firm: TRADING UNLIMITED

Clearing Firm: QUICK CLEARING, INC.

Identity of the Legal Entity that is the Beneficial owner of the account(s) that will employ the SMP functionality. (You may not enter more than one Legal Entity). *

| Account Number | In EFS(?) | Account Owner | Account Controller |
|----------------|-----------|---------------|--------------------|
| 123 | N | ADDACCAWN | TESTADD |

- Update account information.

Account Number *

Is this account registered in EFS? Yes No

Account Controller Name

| Account Owner Name |
|--------------------|
| ADDACCAWN |

Tag 50's can be added or deleted.

Do you plan to use the same SMP ID for all tag 50's that trade these accounts? Yes No

TAG 50 *

| TAG 50 | Action |
|--------|--------|
| 111 | Delete |
| 444 | Delete |
| 777 | Delete |

6. Click **Submit**.

Self-Match Prevention Bulk User Upload

The Firm Administration Dashboard supports uploading MS Excel files that specify the relationship of accounts and tag 50s to common account owners or controllers. This data is used by the [self-match prevention](#) functionality.

The file must be in the following format:

| Account Number | Registered in EFS | Account Controller Name | Account Owner |
|---|---|---|--|
| <ul style="list-style-type: none"> Required Alphanumeric UPPER CASE text Maximum of 100 characters | <ul style="list-style-type: none"> Required Y - for Yes N - for No | <ul style="list-style-type: none"> Required, when the account is not registered in EFS and the controller has power of attorney Maximum of 100 characters | <ul style="list-style-type: none"> Required, when the account is not registered in EFS. Alphanumeric text Maximum of 100 characters |

Uploaded File Processing

- Only one file may be uploaded at a time.
- The first row and additional columns will be ignored by the system.
- Data is processed automatically beginning with the upper left corner and will stop when a blank row is encountered.

Example

| Account Number | Registered in EFS | Account Controller Name | Account Owner |
|----------------|-------------------|-------------------------|---------------|
| 25624 | N | Controller | Owner1 |
| NEWACCOUNT | N | | Owner2 |
| 12345 | Y | | |

Click [here](#) to view a spreadsheet that can be used to enter and upload account information.