Firm Administrator Dashboard
User Manual

11/2/2015

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Table of Contents

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:

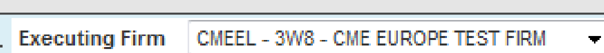
- Enable / Disable iLink session ID Cancel on Disconnect - View and Assign iLink session password viewing rights
- Administer access to FADB
- Add / Modify / Delete Messaging Efficiency Program Contacts
- Request Self Match Prevention (SMP) IDs

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**: 

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. *Note: superseded by Firm Contacts on 4/1/15*.
2/28/14	MR	Various	• 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.

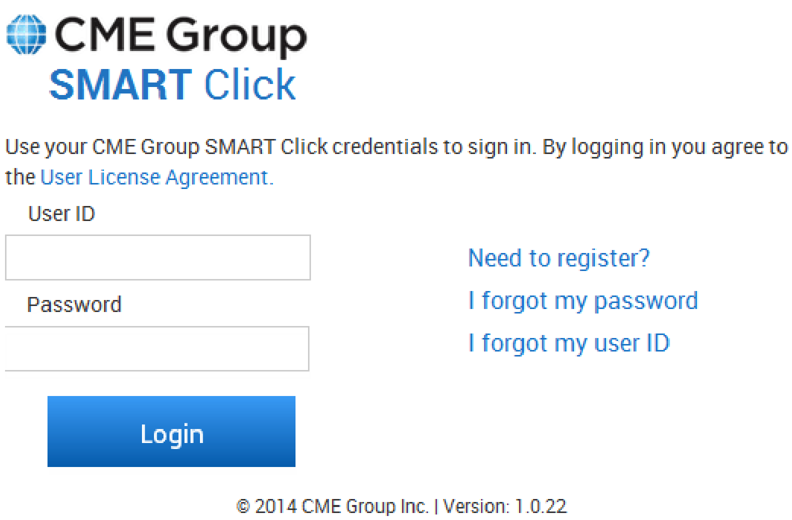
To log in to the Dashboard:

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**.

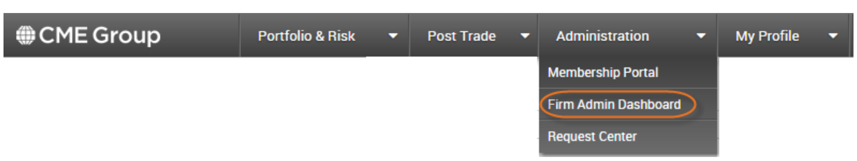


3. Click **Login**.

   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.

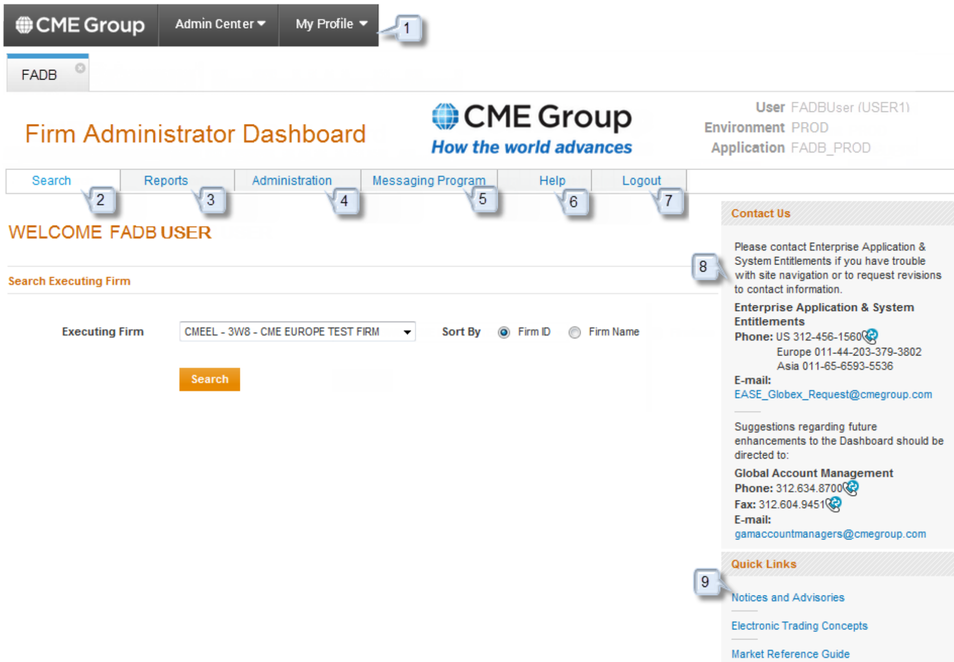
For issues with logging in, site navigation, or to update information, contact Enterprise Application & System Entitlements (EASE).

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:



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.

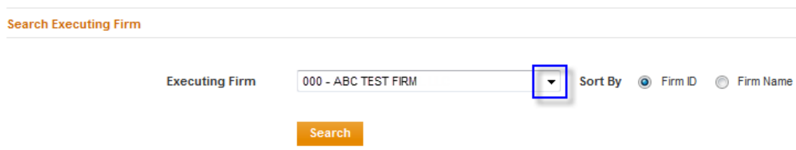
Search Executing Firm

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.

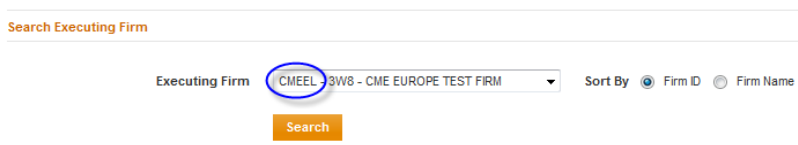
To search for information relating to an Executing Firm:

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

2. Select an **Executing Firm**.

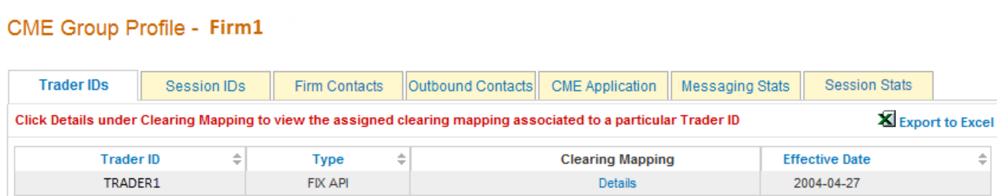


CME Europe executing firms are indicated by **CMEEL** prefix prior to the firm name.



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

   Matching results appear on the Trader IDs tab.



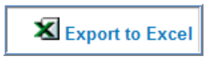
Additional tabs are available:

- Session IDs
- Firm Contacts
- Outbound Contacts
- CME Application
- Messaging Stats
- Session Stats

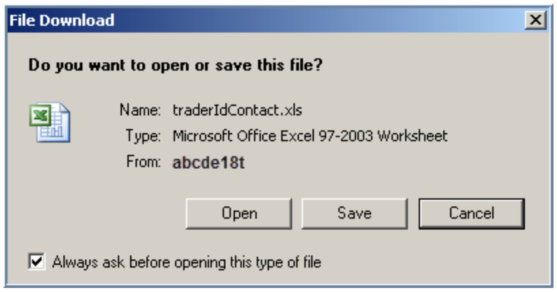
To export search details:

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**.

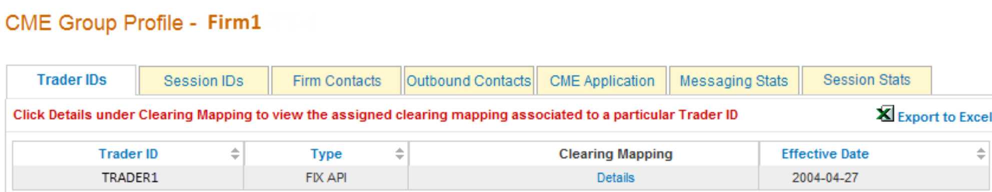


3. Select a location (Save As dialog).
4. Click **Save**.

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 ( ).



Column	Description
Trader ID	Identifies the firm to the GCC
Type	• 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**.

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: • Live - iLink session was created less than 6 months	X	X

Column	Description	Clearing Firm Admin	Executing Firm User
	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".		
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)	Clearing firm administrators can enable or disable this feature. • If COD (Cancel on Disconnect) is *Enabled* 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 *Disabled* 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	Type of connectivity used to connect to the CME Group network and FADB. Available choices: • CME DirectLink • Metropolitan Area Network • Client INTERNETLink	X	X

Column	Description	Clearing Firm Admin	Executing Firm User
	• [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)

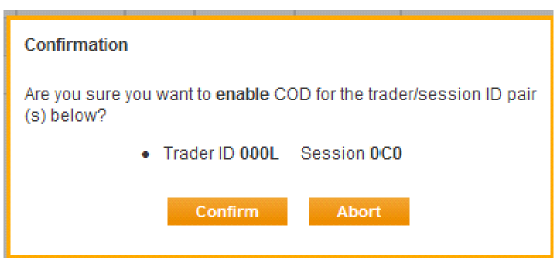
COD automatically cancels in-progress non GTC/GTD orders for a Session ID if an ungraceful disconnect occurs. COD cannot be used for GTC and GTD orders. This function is available to clearing firm administrators only.

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**.

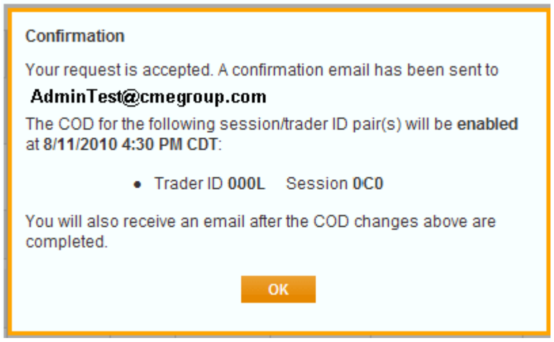
   A confirmation dialog appears. "Are you sure you want to enable COD for the Session/Trader ID(s) below."

4. Click **Confirm**.

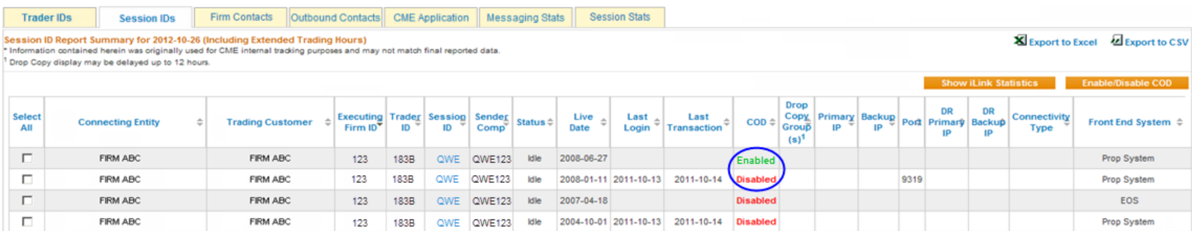
   An email is sent to the registered SMART Click address after the COD changes are completed.
5. Click **OK**.

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



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

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.

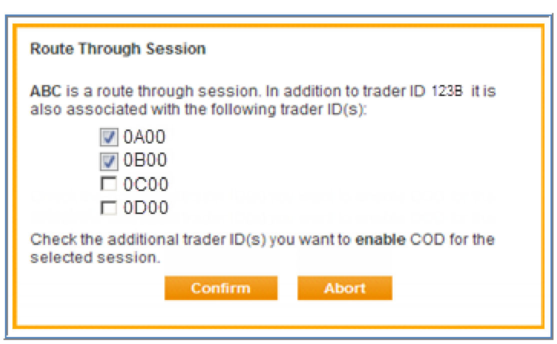
To Enable Cancel on Disconnect for a Route through Session ID:

1. Search for an Executing Firm.
2. Select the Session IDs tab.
3. Select a Session/Trader ID to update.

   To update all Session/Trader IDs, click **Select/Deselect All**.
4. 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.
5. Select additional Trader IDs to enable/disable COD.



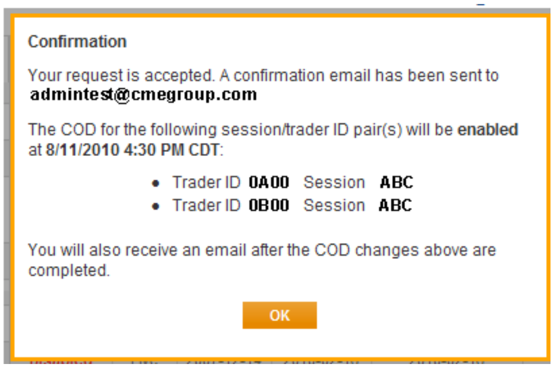
6. Click **Confirm**.

   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.

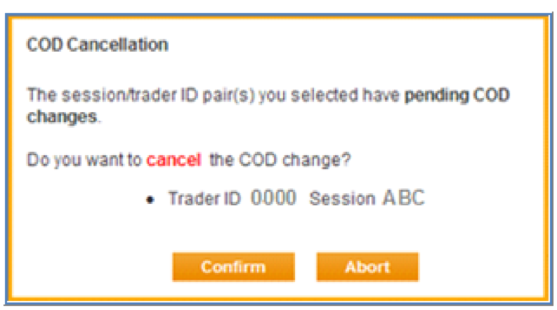
Cancel a Pending COD Change

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

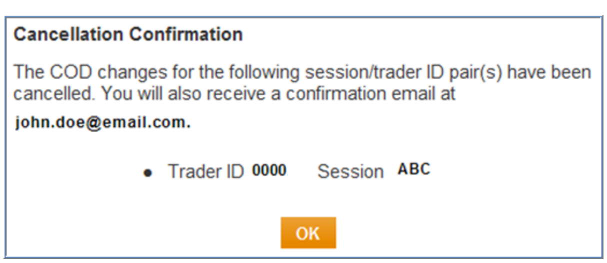
To cancel a pending COD change:

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.

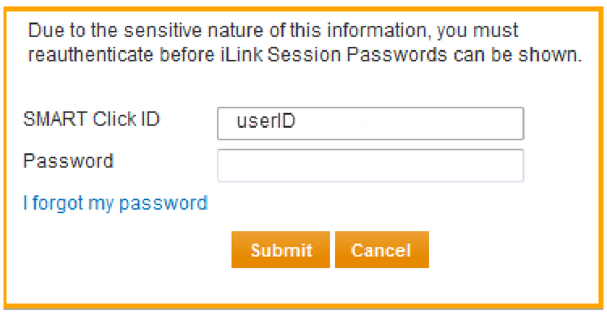
1. Search for an Executing Firm.
2. Select the **Session IDs** tab.
3. Move the mouse pointer over **iLink Session Password**.

4. Click **Unmask Session Password**.

   A login dialog appears.

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

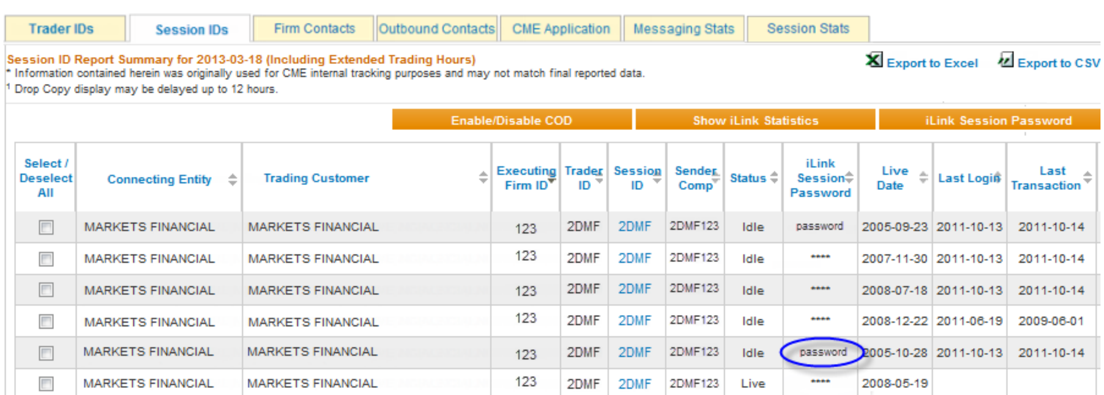
5. Enter the **SMART Click ID** and **password**, then click **Submit**.



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
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Idle	password	2005-09-23	2011-10-13	2011-10-14
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Idle	****	2007-11-30	2011-10-13	2011-10-14
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Idle	****	2008-07-18	2011-10-13	2011-10-14
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Idle	****	2008-12-22	2011-06-19	2009-06-01
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Idle	password	2005-10-28	2011-10-13	2011-10-14
	MARKETS FINANCIAL	MARKETS FINANCIAL	123	2DMF	2DMF	2DMF123	Live	****	2008-05-19		

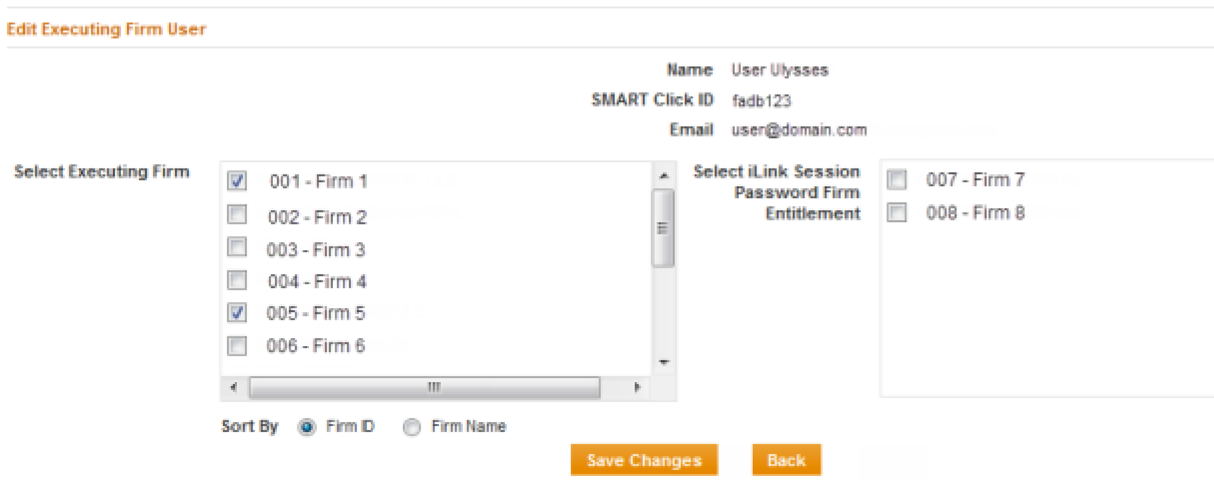
Grant iLink Session Password Permission

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.



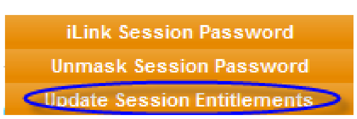
3. To enable the firm's users to unmask iLink session passwords, select the checkbox on the right side pane.
4. To confirm the selection, click **Save Changes**.

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

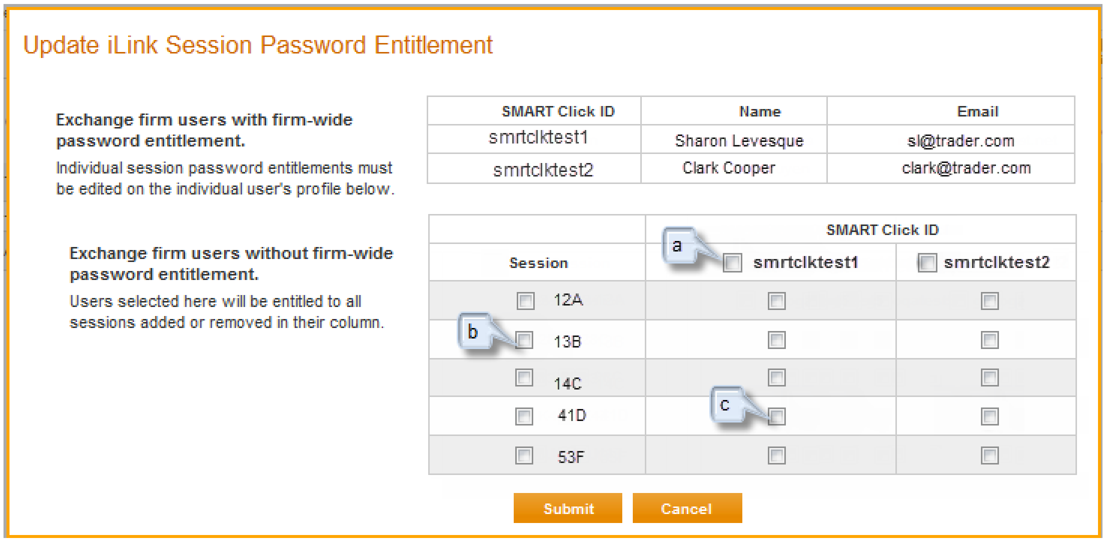
Set iLink Session ID Password Entitlement

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.



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.

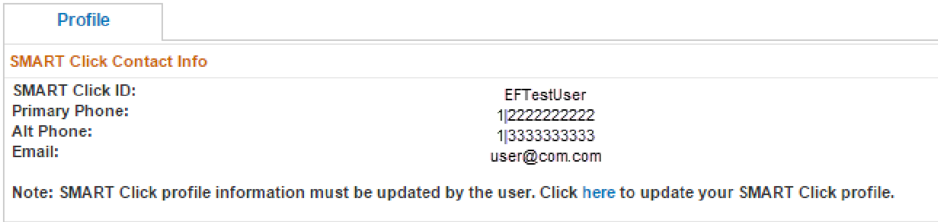
    The following information appears on the page:

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: • Primary • Secondary • Clearing Firm Risk Administrator • Executing Firm Risk Administrator **Note**: For additional information see Globex Customer Roles and Entitlements.

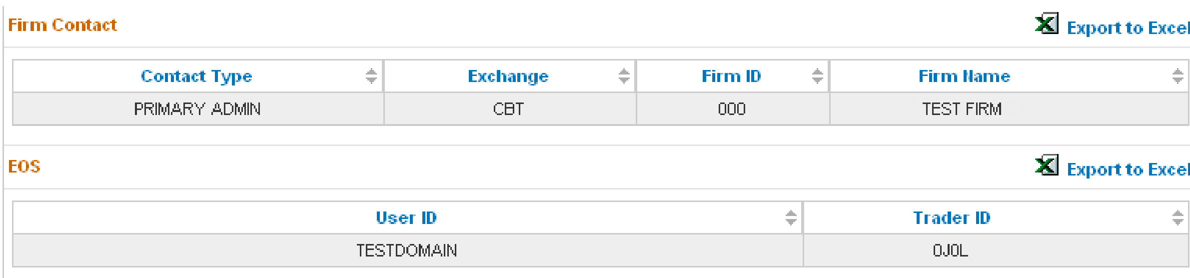
4. To view a user's profile, click their **name**.

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.



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



5. 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:

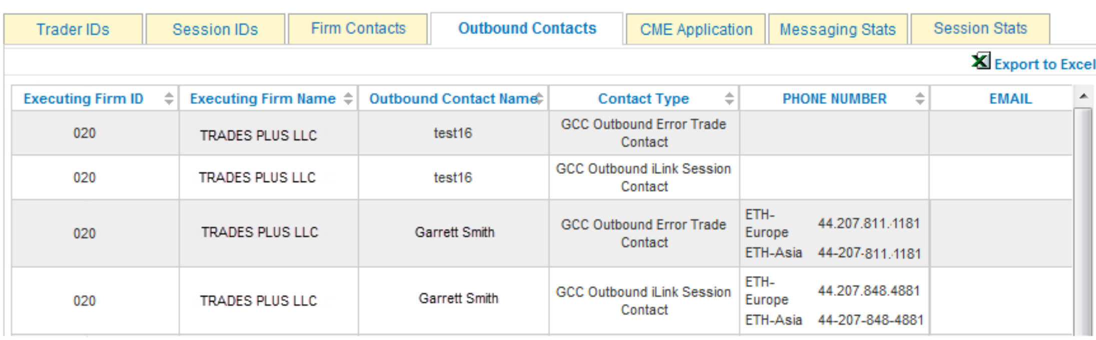
1. From the **Search** menu, select **Executing Firm**.

   The Search Executing Firm screen appears.

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

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

   Outbound Contact details appear in a list.



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	

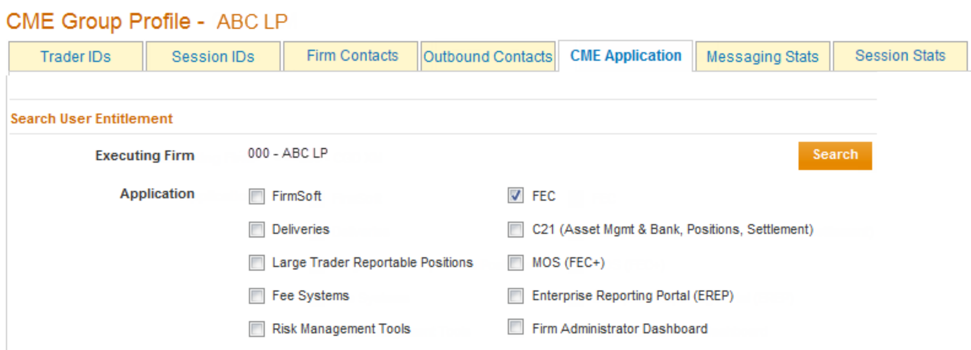
CME Application Tab

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

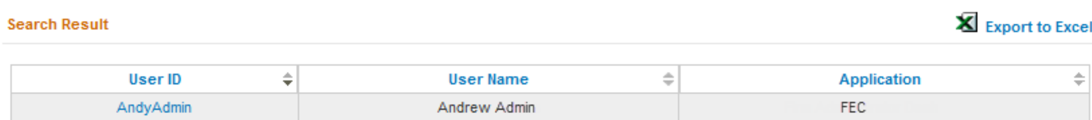
Note: This functionality is also accessible from the Administration > CME Application.

To view other applications and entitlements:

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

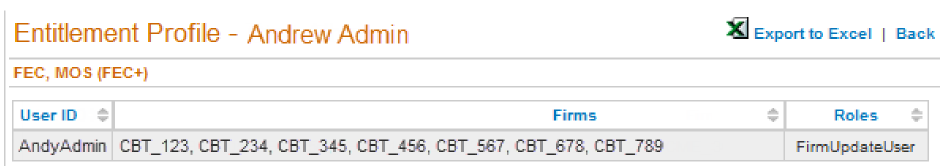


A list of users with application access appear in a list.



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

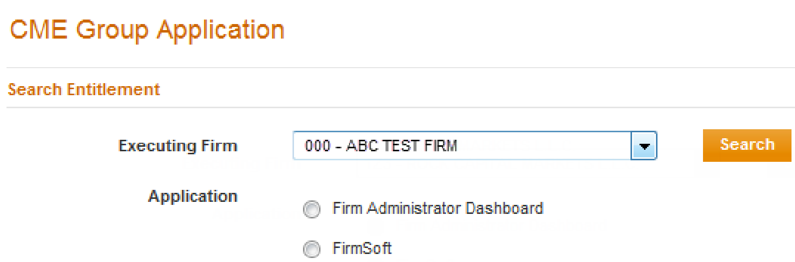
   User's entitlements by specific application appear.



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.*)

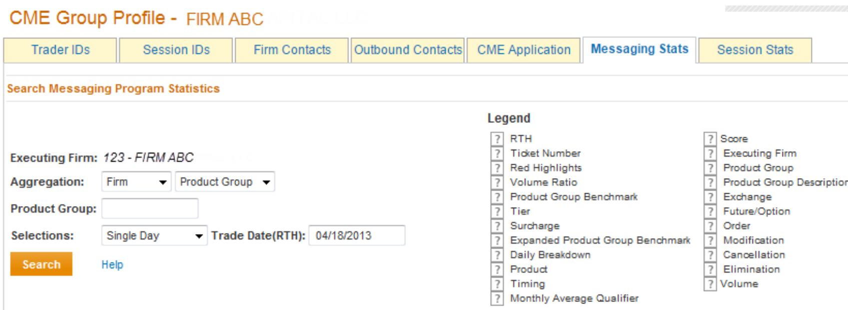


Messaging Stats Tab

The Messaging Stats functionality is used to search for Messaging Efficiency Program statistics.

To view messaging statistics:

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



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.

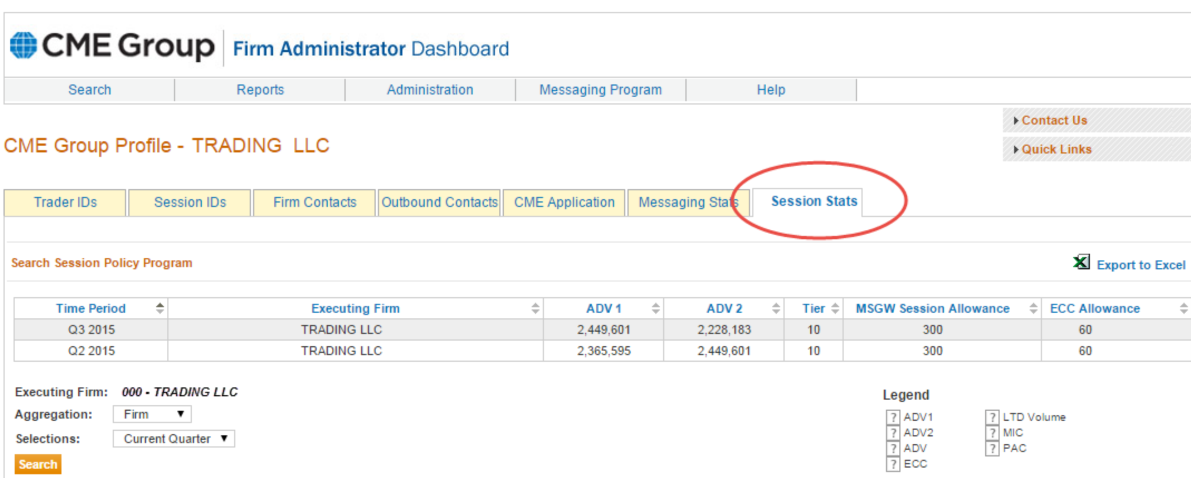
Session Stats Tab

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:

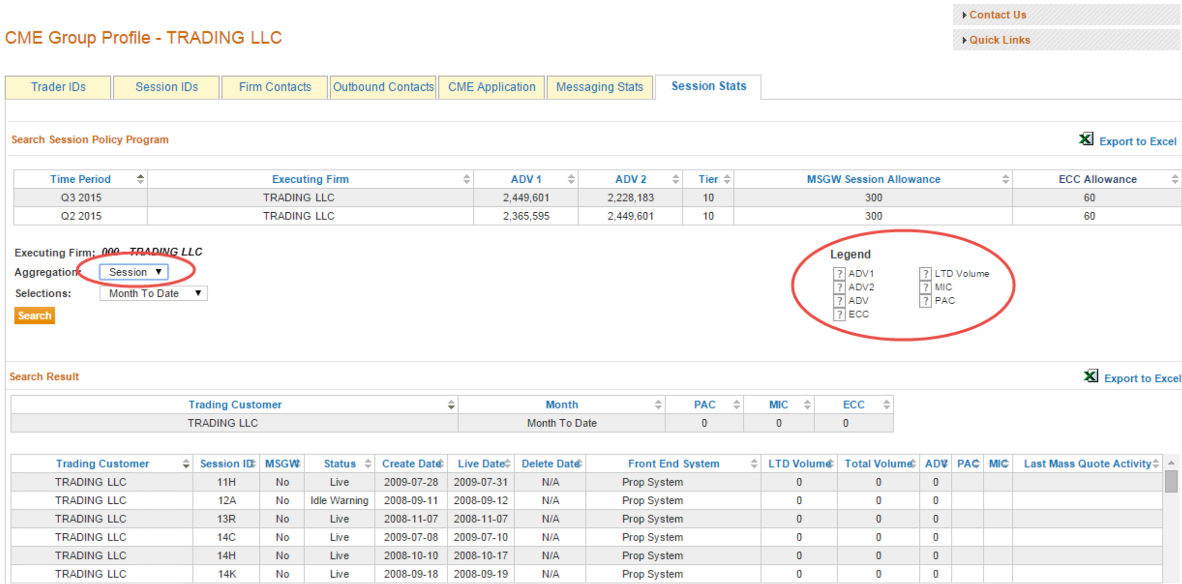
1. Click the **Session Stats** tab. This automatically displays the Globex Firm ID's Average Daily Volume (ADV) for the last 2 quarters, corresponding MSGW iLink Session Allowance and MSGW iLink Session ID Excess Capacity (ECC) Allowance. Please note that as documented in the iLink Session ID Policy 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.

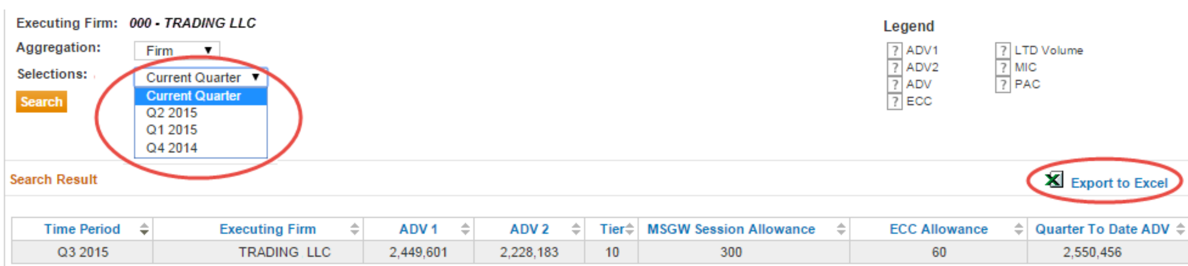


Note: Moving the mouse pointer over the ? symbol, on the Session Stats **Legend**, displays descriptions of iLink session IDs as tooltips.

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:



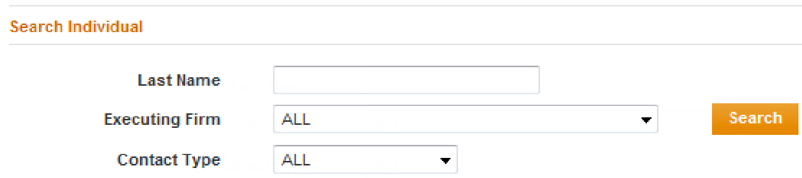
Note: To export the results to Excel, click **Export to Excel**.

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**.



Note: Executing Firm and contact type defaults to ALL.

3. Click **Search**.

   Results appear in a list below.

Registered User's Profile

This function is available to clearing firm administrators only.

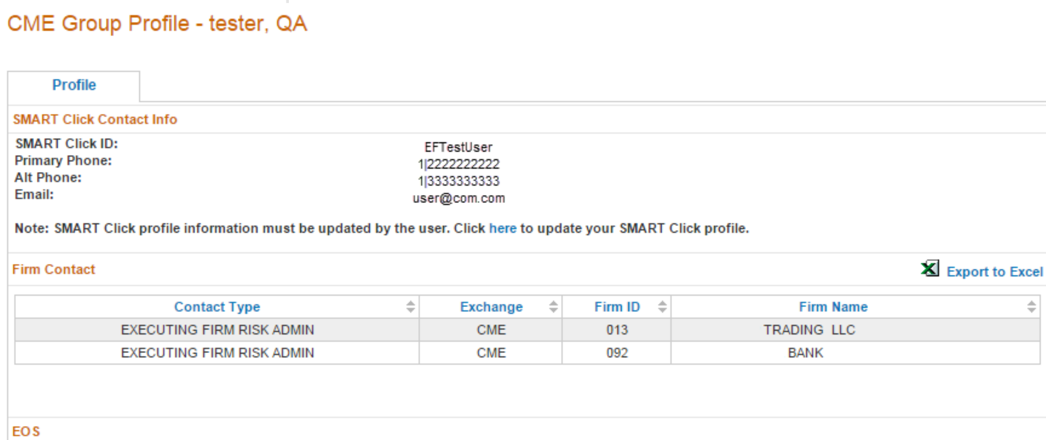
To view the registered user's profile:

From the Search > Individual results, 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



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	2006-02-10

EOS

No data available.

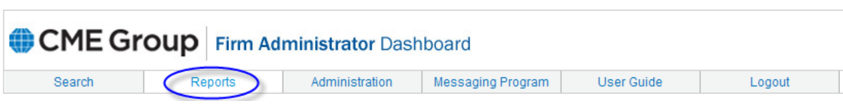
Reports

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

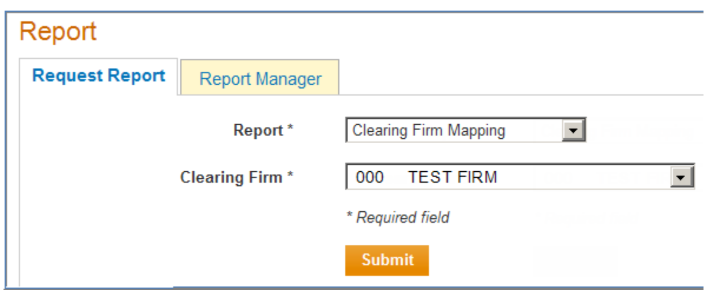
- Clearing Firm Mapping - Identifies the Clearing Exchange and Clearing Member affiliated with a particular executing firm.
- Session IDs - A three-character alpha numeric string identifier. It is the logical connection to CME Globex for order entry based on the FIX protocol.
- Firm Registered Contacts - 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:

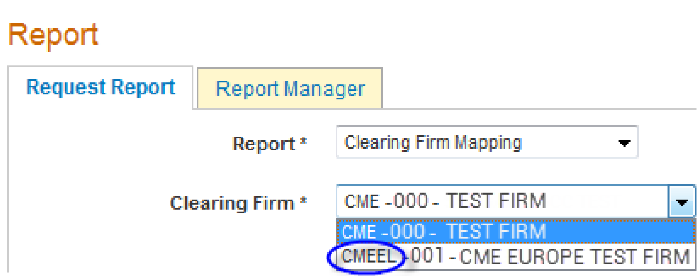
1. Click the **Reports** tab.



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



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

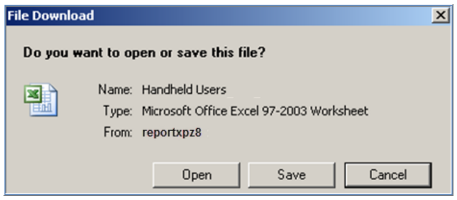


3. Click **Submit**.

The report appears on the Report Manager tab.

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

4. 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:

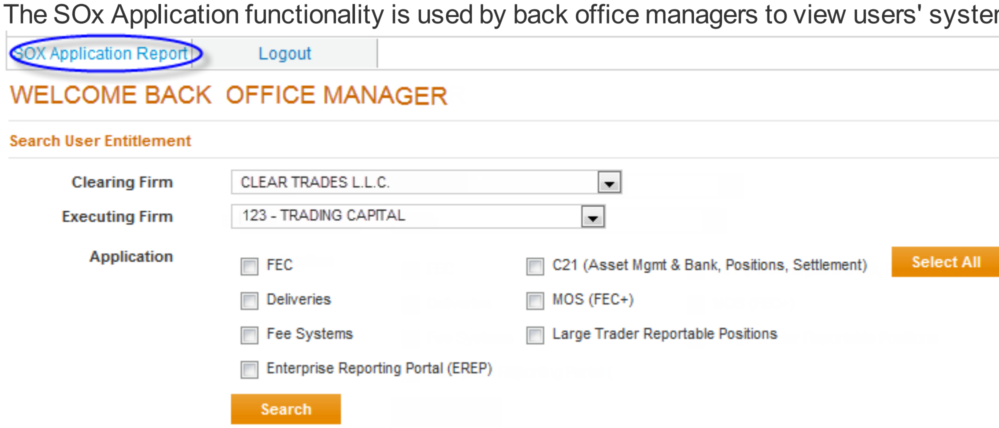
1. To view previously requested reports, click the **Report Manager** tab.

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

3. 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.



To run a SOx report:

1. Click the **SOx Application Report** tab.
2. Select the **Clearing Firm** and **Executing 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**.

Search Result

Download Excel Report

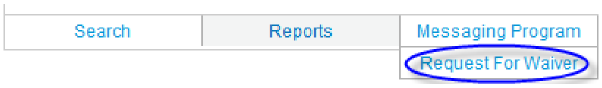
User ID	User Name	Application
TEST USER ID	TEST USER	TEST APP

Messaging Efficiency Program

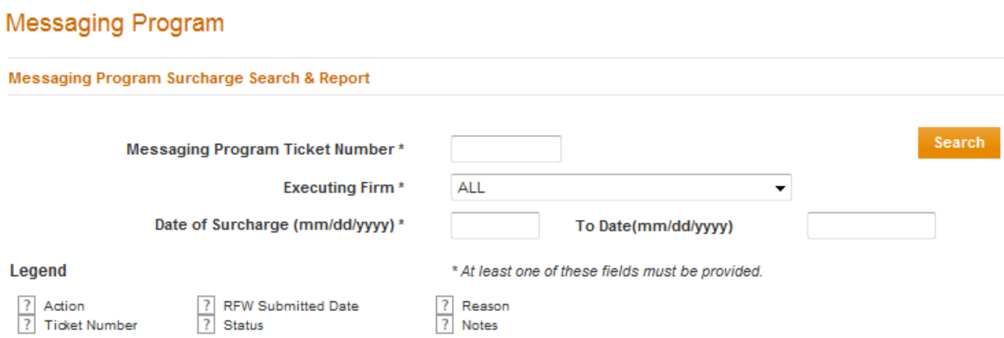
This functionality is used to submit Messaging Efficient Program requests for waivers if a customer feels there is justification for exceeding the messaging threshold.

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 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	Notes	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	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*	
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.

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

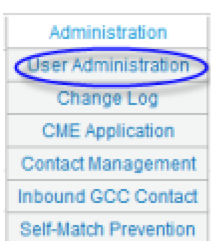
The user administration functionality is available to clearing firm administrators to search for executing firms by their Smart Click ID.

The following functions can be performed:

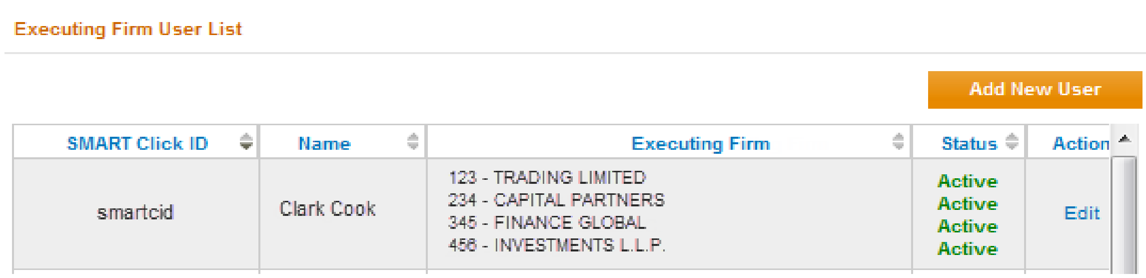
- Add new users
- Edit a user's executing firm
- Activate a pending user

To Access User Administration:

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



A list of Executing Firm Users appears.



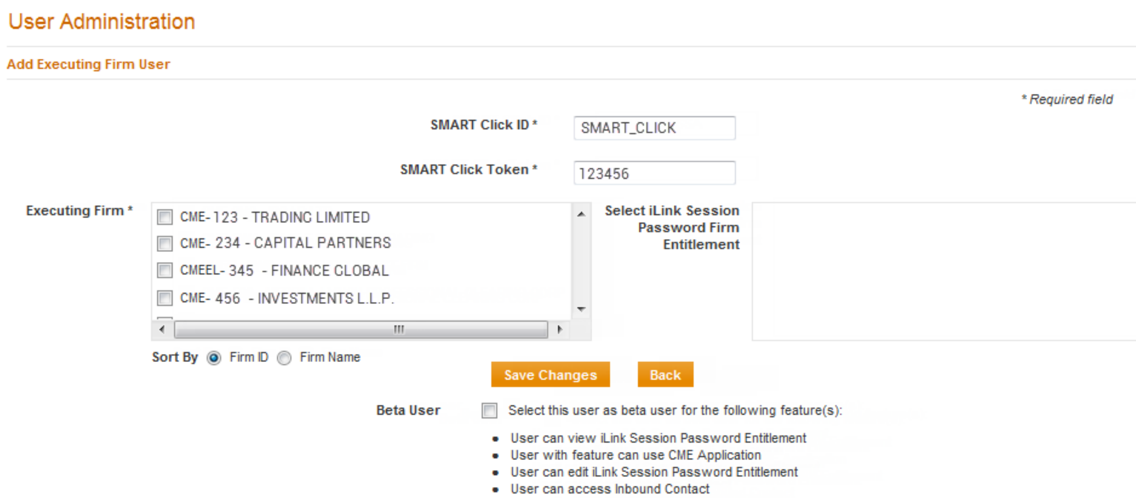
The Executing Firm User List contains the following information:

- 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.



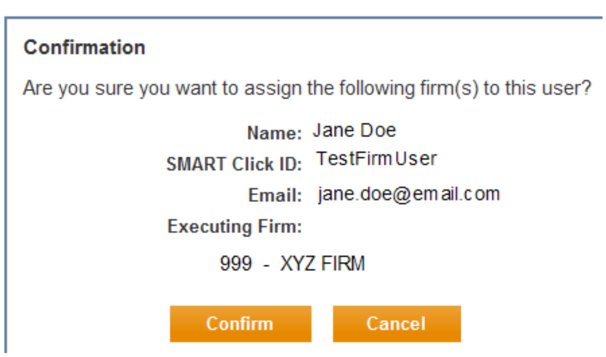
   - CME Europe firms are indicated by the CMEEL prefix.

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

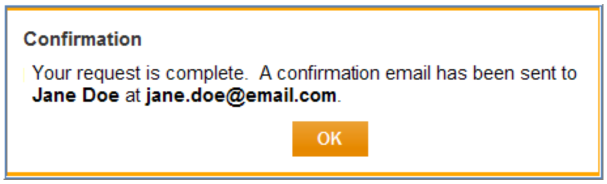
   CME Europe firms are indicated by the CMEEL prefix.

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

   An acknowledgment dialog appears.



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

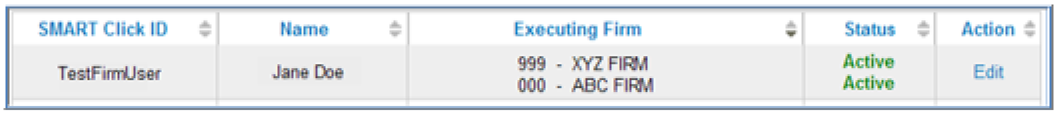


The Executing Firm User List is updated with the user information.

To Edit a User's Executing Firms List:

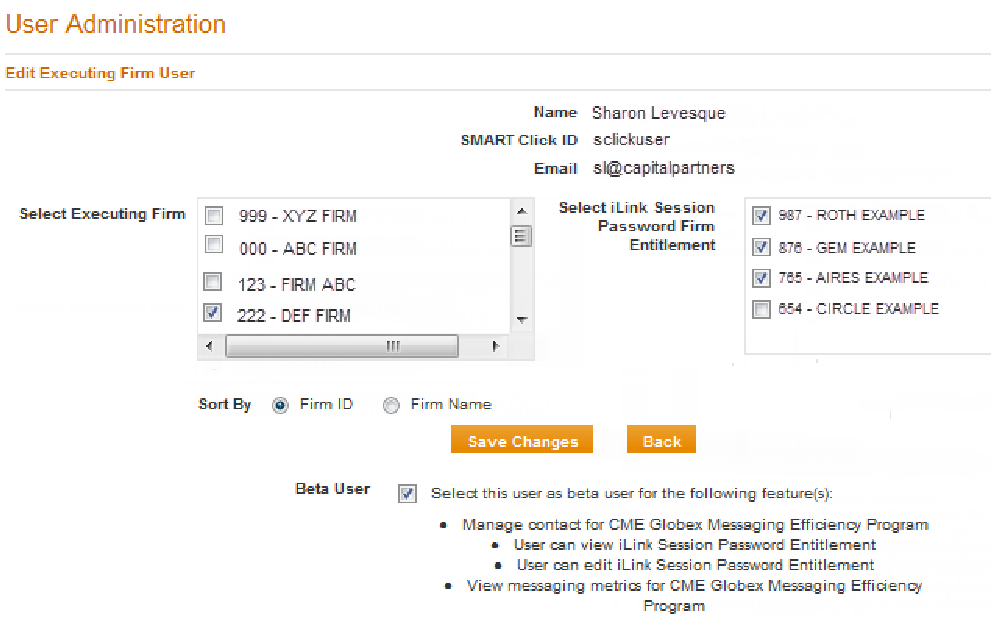
Only a Clearing Firm Administrator can remove an Executing Firm user's access.

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.

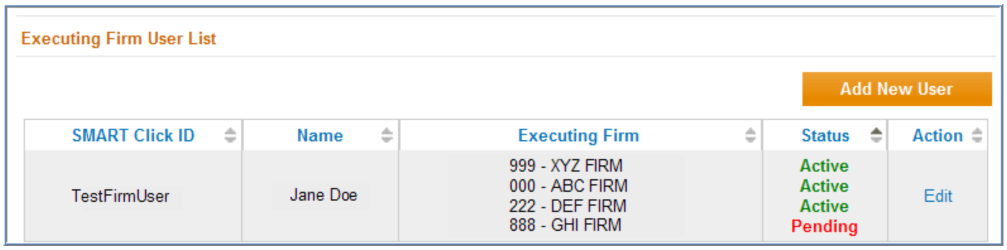


3. Click **Save Changes**.
4. On the confirmation dialog, click **Confirm**.
5. On the acknowledgement dialog,click **OK**.

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**.



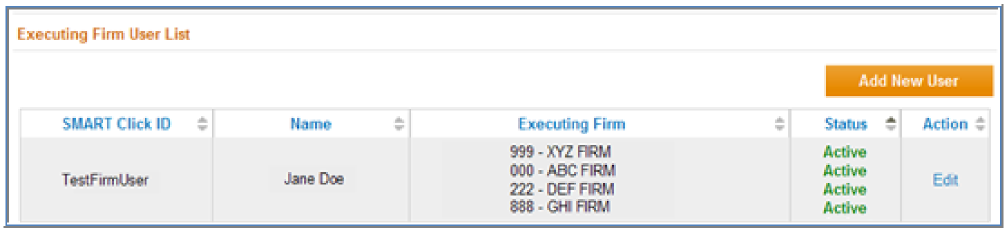
Executing Firm User List

Add New User

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

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

The Executing Firm is enabled immediately.



Executing Firm User List

Add New User

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

3. To return to Executing Firm User List, click the **Back** button.

The user's status for the Executing Firm’s is set to **Active**.

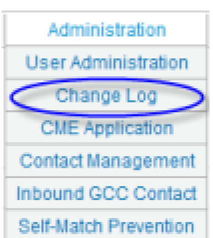
Note: User status cannot be changed from Active to Pending.

Change Log

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

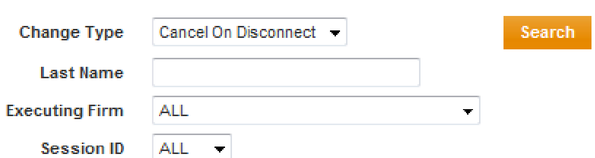
To View the Change Log:

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



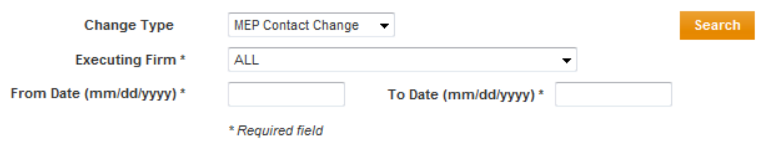
2. Select the type of change to search:

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



User Administration - Displays a list of user administration activity.

MEP Contact Change - Displays Messaging Efficiency Program activity.



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 Chane Log — Export to Excel

Date and Time	Name	SMART Click ID	Log	Assigned By
2013-03-12 16:32:06	Firm Administrator	smartclktest1	Granted iLink session password access to session ABC in firm 100	Firm Administrator (ID: user1)
2013-03-12 16:32:06	Firm Administrator	smartclktest2	Granted iLink session password access to session BCD in firm 200	Firm Administrator (ID: user1)

Messaging Efficiency Programresults

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	smartclktest1	Contact Assigned for Firm 123	Firm Administrator (ID: user1)
2013-03-13 14:01:22	Firm Administrator	smartclktest2	Contact Assigned for Firm 123	Firm Administrator (ID: user1)

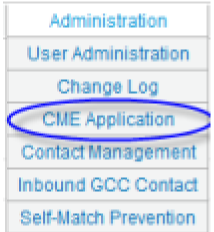
CME Application

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:

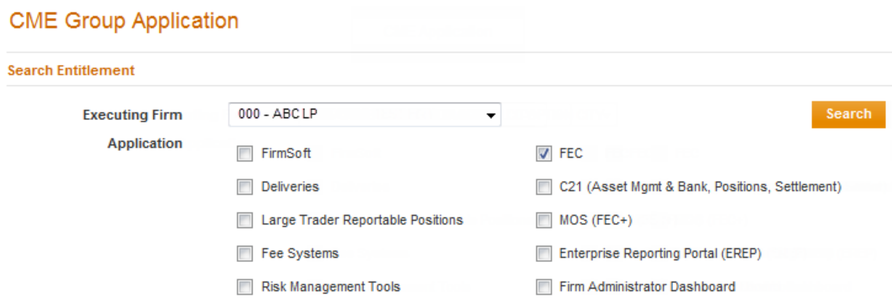
1. From the **Administration** tab, select **CME Application**.



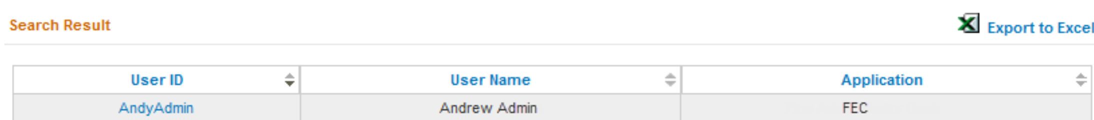
2. Select an **Executing Firm**.

   CME Europe firms are indicated by the CMEEL prefix.

3. Select at least one **Application**.
4. Click **Search**.

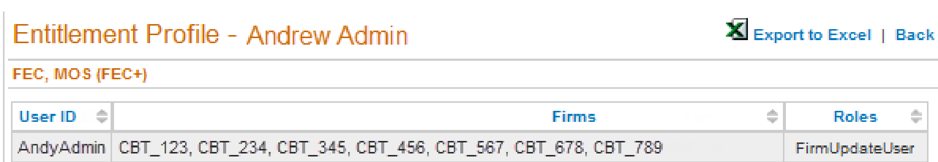


A list of users with application access appear in a list.



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

   User's entitlements by specific application appear.

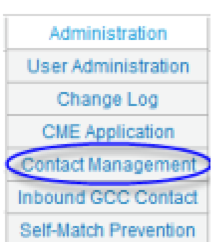


MEP Contact Management

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

To assign a Contact to an Executing Firm:

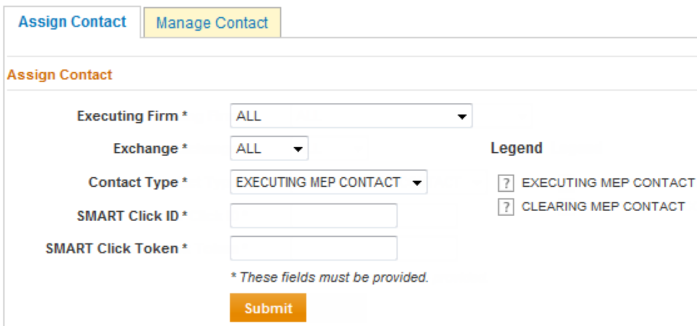
1. From the Administration tab, select **Contact Management**.



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.



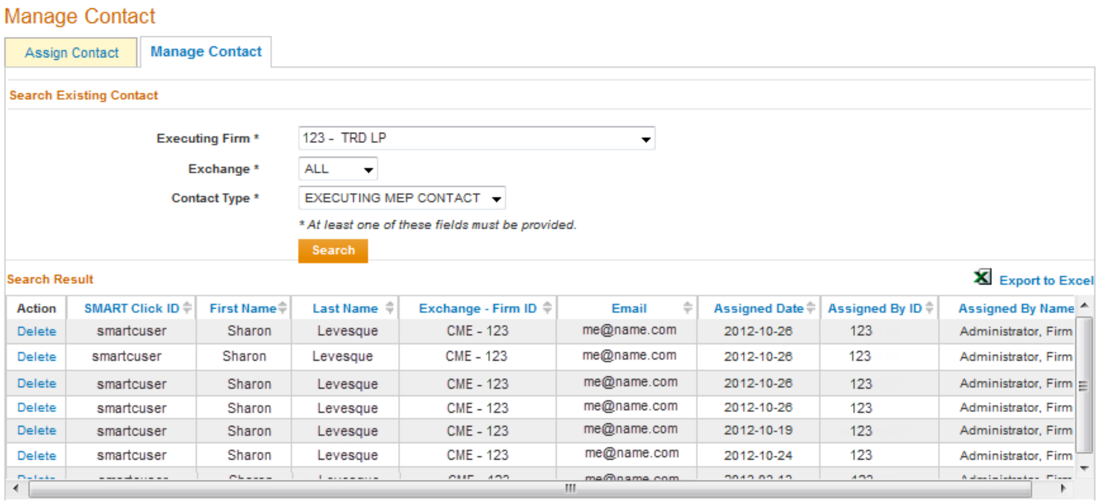
2. Select an **Executing Firm**.
3. Select an **Exchange**.

   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.



5. 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 7928[1]-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:

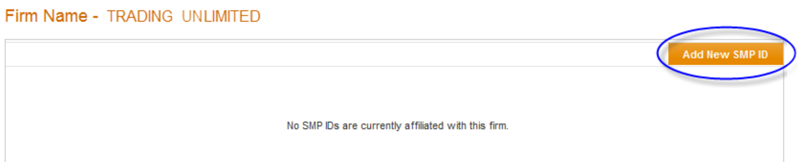
The initial stage of registering for Self-Match prevention is to specify the executing firm, clearing firm, and beneficial owner of the account. An account, or account *and* tag 50 can be specified.

Note: For additional information click the **Self-Match Prevention Frequently Asked Questions** link.

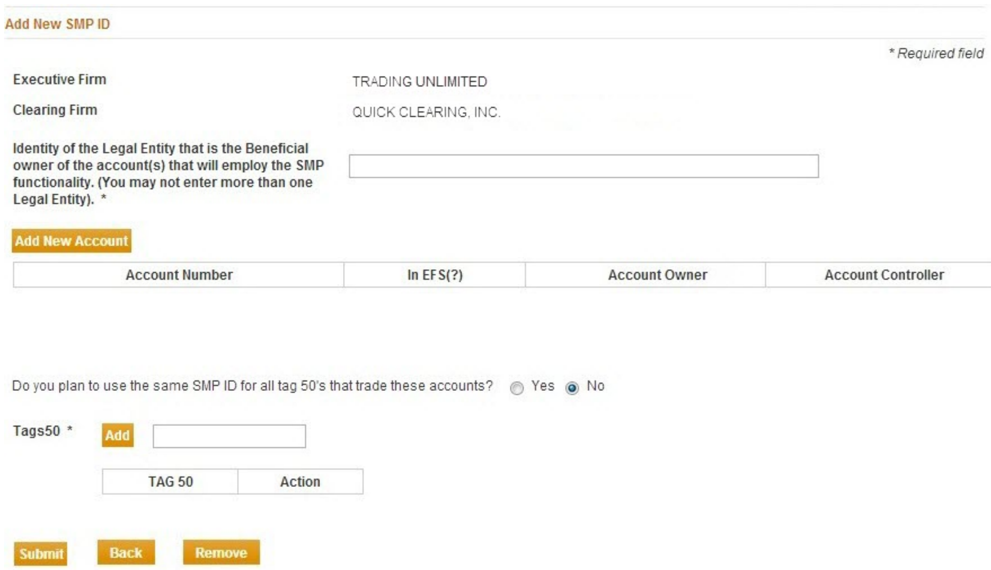
1. From the **Administration** tab, select **Self-Match Prevention**.

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

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



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



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

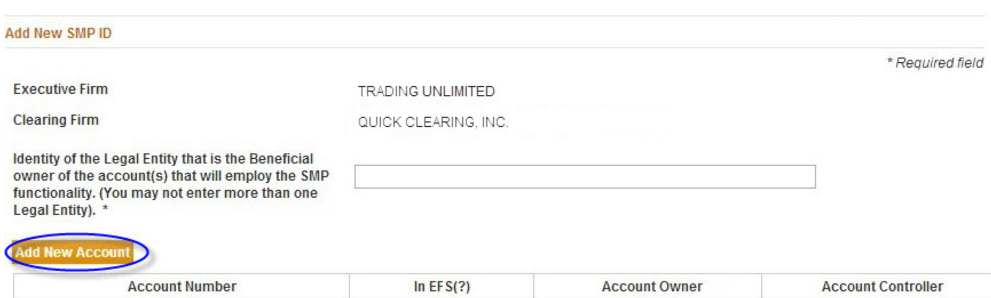
   Refer to the instructions below for additional setup information.

   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.

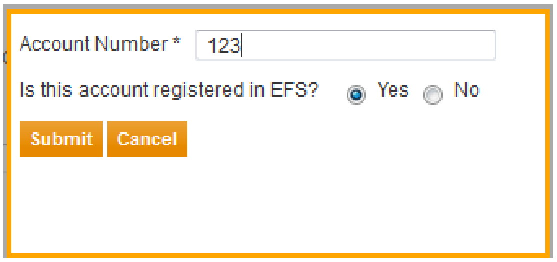
To link an account:

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

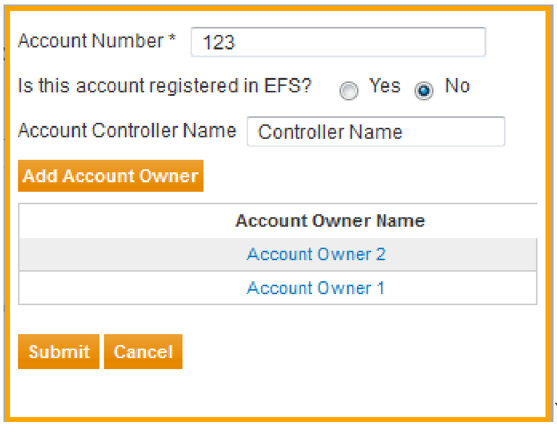
1. On the Add New SMP ID page, click **Add New Account**.



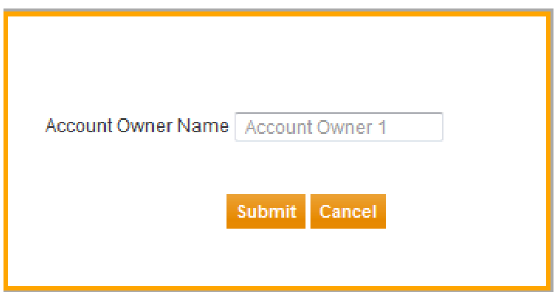
2. Enter an **Account Number** and specify whether the account is registered in **EFS**.



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



4. Click **Add Account Owner**.
5. Enter the **Account Owner Name**.



6. 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.

1. 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).

   If Yes, proceed to step 4.

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

   The specified tag 50 appears in the list.

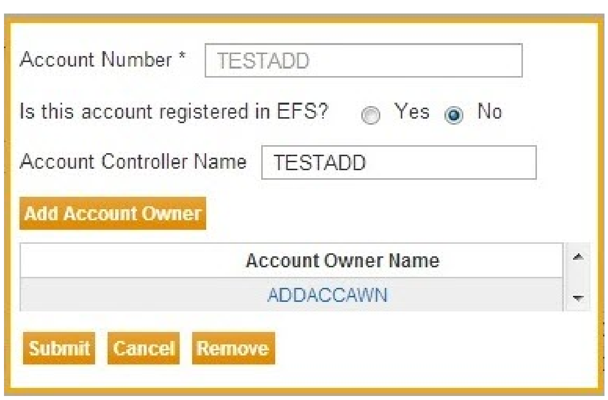
   Repeat to add additional Tag 50's.

4. Click **Submit**.

To edit account information:

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

5. Update account information.



   Tag 50's can be added or deleted.

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
• Required • Alphanumeric UPPER CASE text • Maximum of 100 characters	• Required • Y - for Yes • N - for No	• Required, when the account is not registered in EFS and the controller has power of attorney • Maximum of 100 characters	• 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 used to enter and upload account information.