

Brokerage Payment System (BPS) User Manual

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Global Operations Education

Table of Contents

1.0	ACCESSING BPS	5
2.0	LOGGING INTO BPS	6
3.0	BPS HOME PAGE	7
4.0	FIRMS	8
5.0	BROKERS	10
6.0	RATES	12
6.1	RATE SEARCH	13
6.1.1	<i>Edit Rate</i>	14
6.1.2	<i>Copy Rate</i>	15
6.1.3	<i>Delete Rate</i>	15
6.2	CREATING A RATE	16
6.2.1	<i>Retroactive Rates</i>	18
6.3	RATE GROUP	19
6.3.1	<i>Searching</i>	19
6.3.2	<i>Creating a Rate Group</i>	20
6.3.3	<i>Creating a Rate Using a Rate Group ID</i>	22
6.3.4	<i>Rate Group Business Rules</i>	22
7.0	EBROKER	24
7.1	SEARCHING	24
7.2	ADMINISTRATIVE EBROKER USERS	25
7.2.1	<i>Edit</i>	25
7.2.2	<i>Delete</i>	25
7.2.3	<i>Create</i>	26
8.0	TRADES	27
8.1	SEARCHING	27
8.2	ADVANCED SEARCH (SUMMARIZED OR DETAILED MODE)	29
8.3	REJECTED TRADES	30
8.3.1	<i>Resubmitting Rejected Trades</i>	30
9.0	PAYMENT REVIEW	31
9.1	SEARCHING FOR AN ADJUSTMENT	31
9.1.1	<i>Edit an Adjustment</i>	32
9.1.2	<i>Delete an Adjustment</i>	33
9.1.3	<i>Create an Adjustments</i>	33
9.2	PAYMENT HOLDS	36
9.2.1	<i>Searching</i>	36
9.2.2	<i>Editing a Hold Record</i>	37
9.2.3	<i>Deleting a Hold Record</i>	37
9.2.4	<i>Creating a Payment Hold</i>	38

10.0	REPORTS.....	40
10.1	REPORT REQUEST SCREEN.....	40
10.2	REPORT VIEWER	41
10.3	VIEW BATCH REPORTS.....	42
11.0	APPENDIX I – ERRORS IN SELECTING CRITERIA	43
12.0	APPENDIX II – FIELD DESCRIPTIONS	44
13.0	APPENDIX III - REPORT DESCRIPTIONS	47
14.0	APPENDIX IV – LOAD CRITERIA AND SAVE CRITERIA BUTTONS	49
15.0	APPENDIX V - NAVIGATION	50

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All matters pertaining to rules and specifications herein are made subject to and are superseded by official CME, CBOT, NYMEX, and CME Group rules. Current rules should be consulted in all cases.

Introduction

CME Group's *Brokerage Payment System (BPS)* is a web-based application accessed via the CME Group portal. BPS facilitates brokerage payments to filling brokers by member firms via automatic debits to member firms' bank accounts. All members and member firms are required to use BPS for broker billing and payment. The system eliminates the costly labor-intensive task of preparing and distributing monthly checks to brokers and assures timely brokerage payments.

Daily and monthly reports and data files produced for each firm detail executed trades, volume, and rate applied to each trade. Monthly banking reports are produced for brokers and firms.

BPS is designed to calculate, disburse, and report broker payments for trades executed on behalf of a trading firm or its customers. Member firms are able to access their CME, CBOT, NYMEX and COMEX trades, along with applied rates and detailed brokerage payment information, from one application, regardless of original venue.

BPS provides the following features:

- Web-based and accessible via the CME Group portal
- Tiered and retroactive rate entry
- Creation of daily and monthly ad hoc reports
- Differentiation between electronic and pit executions
- Ability to search and view summarized or detailed trades, including rejected trades
- Payment adjustment and hold functions
- Ability to resubmit resolved rejected trades for reprocessing
- Ability to search and view Electronic Broker (eBroker) Tag 50 ID and Symbol

1.0 Accessing BPS

To access the Broker Payment System (BPS), users must first log into the portal (CME Group Connect) by entering the following address in your internet browser address section: <http://connect.cmegroup.com>.

1. Enter your CME Group Connect 'username' and 'password'.
2. Ensure the **product** drop-down list displays **CME Portal**.
3. Click **Login** to display **CME Applications** tab.

The **CME Applications**' tab will display.

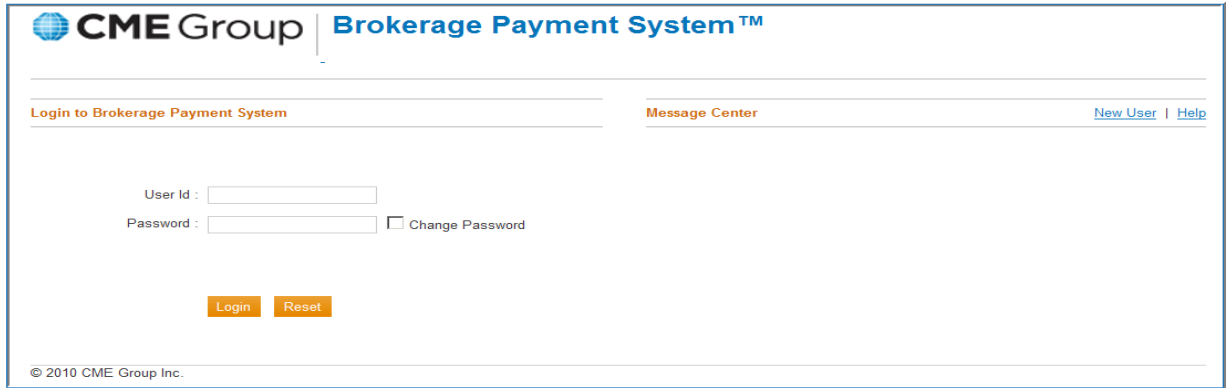
4. Click the **Broker Payment System** link or the icon.

The user will be directed to the BPS login window.

2.0 Logging into BPS

The BPS Login screen provides access to the application.

1. Enter your **User ID** and **Password**, and then click **Login**.



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Other functions available on the login screen include:

- **Change Password** check box to change your BPS password.
- **Reset** button to clear the entered values for User ID and Password.
- **New User** link for information on how to gain access to the system.
- **Help** link for tips on how to login.

3.0 BPS Home Page

The BPS Home Page displays the following information:

- **CME Group** icon – is a link to www.cmegroup.com
- **Brokerage Payment System** text – is a link to the Home Page
- **Main Menu Tabs**



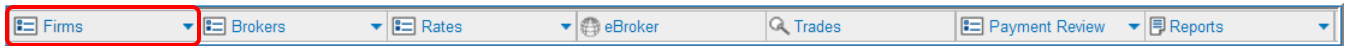
- Firms
- Brokers
- Rates
- eBroker
- Trades
- Payment Review
- Reports

- **Processing Dates**
 - Current Date
 - Current Business Day
 - Processing Period
 - Adjustment Period
- **Contact Us** – Creates an email to ccs@cmegroup.com (CME Clearing Services)
- **User Manual** – Displays an online version of the BPS User Manual
- **Log Out** – Closes the application



- **For Help with BPS** – CME Clearing Services email link and contact number
- **System Availability** – Contains important messages regarding system availability
- **New BPS Features** – Contains messages regarding new functionality
- **BPS ClearPort FAQ** – Displays an online ClearPort FAQ
- **BPS End-of-Cycle/Banking Calendar** – Provides a PDF of the Broker Report and Fee Deposits schedule and activity list
- **Commodity Code Listing** – Contains a list of commodity codes

4.0 Firms



The **Firms** tab lets the user search and views a list of Trading Firm IDs. This screen will display detailed information for firms and sub-firms that you are authorized to view. A search consists of selecting:

- Exchange
- Firm
- Firm Name (Optional)

1. Select an **Exchange** and **Firm**, and then click **Search**.

After clicking search, the **Firm Review Details** section is displayed.

2. To view the firm's detail, **click on the line item**.

Firm Review Details Page 1 of 1 | 1 Row | [Show All](#) | [View](#)

Prev Go to Page: [GO](#) Set Page Length: [SET](#) Next

Exchange ID	Firm	Firm Name	Effective Date	Expiry Date	Leading Zero Ind	Trade Extract Ind	Last Updated	Last Updated By
CME	999	TEST FIRM	2004-12-01	9999-12-31	N	Y	2007-03-02	KWA

Note: When the Search Results list displays; the View action is activated. 

Leading Zero Indicator (Yes or No)

This field contains the account numbers as formatted in BPS, which *left justifies* the numbers by stripping off leading zeros.

To ensure that leading zeros remain in an account number for BPS display purposes, firms must submit a written request to CME Group Clearing Services (ccs@cmegroup.com). If a request is not submitted, leading zeros will be stripped from the account number. The *Leading Zero Indicator* defaults to N (No) which implies that leading zeroes will be excluded.

After selecting the line item, the **Billing Group Review Details** screen will display.

Firm Review Details Firm ID Page 1 of 1 | 1 Row

Prev Go to Page: GO Next

Firm	Exchange ID	Firm Name	Effective Date	Expiry Date	Leading Zero Ind
999	CME	TEST FIRM	2004-12-01	9999-12-31	N

Back to List

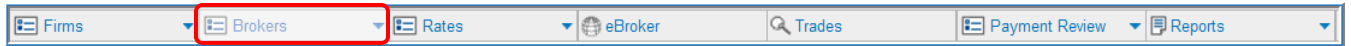
Billing Group Review Details Firm ID Page 1 of 5 | 5 Rows

Prev Go to Page: GO Set Page Length: SET Next

Billing Group ID	Name	Relationship Effective Date	Relationship Expiration Date
999	TEST FIRM	2004-12-01	2005-11-25

To exit, click the **Back to List** button.

5.0 Brokers



After clicking **Brokers** from the BPS main menu, the **Broker Search** screen will display, which allow the users to search all active Broker IDs for the selected exchange. A search consists of selecting:

- Exchange
- Broker ID
- Last Name (Optional)

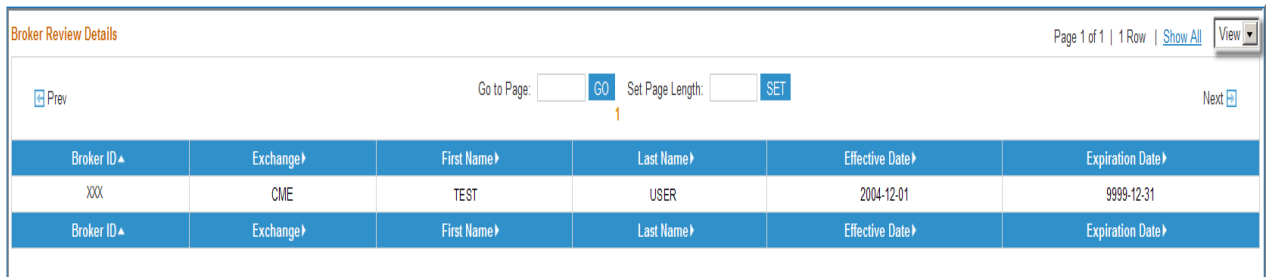
1. Select an **Exchange** and **Broker ID**, and then click **Search**.



Exchange	Broker ID	Last Name
CME	<input type="text"/> --Select--	<input type="text"/>

After clicking search, the **Broker Review Details** section is displayed.

2. To view the broker's detail, click on the **line item**.



Broker Review Details Page 1 of 1 | 1 Row | [Show All](#)

Go to Page: Set Page Length:

Broker ID	Exchange	First Name	Last Name	Effective Date	Expiration Date
XXX	CME	TEST	USER	2004-12-01	9999-12-31

Note: When the Search Results list displays; the View action is activated.

After selecting the line item, the **Broker Group Review Details** screen will display.

3. Click on the **line item** to view details.

Broker Review Details Broker ID XXX Page 1 of 1 | 1 Row

Prev Go to Page: GO Next

Broker ID	Exchange	First Name	Last Name	Effective Date	Expiration Date
XXX	CME	TEST	USER	2004-12-01	9999-12-31
Broker ID	Exchange	First Name	Last Name	Effective Date	Expiration Date

Back to List

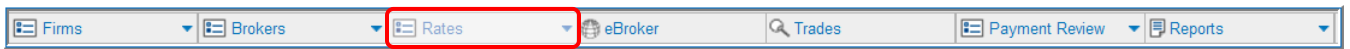
Broker Group Review Details Broker ID AACE Page 5 of 5 | 5 Rows

Prev Go to Page: GO Set Page Length: SET Next

Broker Group ID	Name	Relationship Effective Date	Relationship Expiration Date
XXX	TEST USER	2009-10-01	9999-12-31
Broker Group ID	Name	Relationship Effective Date	Relationship Expiration Date

To exit, click the **Back to List** button.

6.0 Rates



The Rate screen allows users to Search and Create rates. Rates are used to price trades and determine the correct brokerage to be paid by a trading firm to the executing Broker.

When Rates is selected, the sub-menu options appear:

- Rates
- Rate Group

The search option consists of *three* views:

- Current Rates
- Adjustment Period Rates
- Historical Rates

You can use either the **basic search** or **advanced search** buttons to request data. The *advanced search* consists of additional fields that allow the user to narrow the search results list. The default is Basic search.

The Basic Search View interface includes the following fields and controls:

- Exchange:** A dropdown menu currently set to 'CME'.
- Firm:** A text input field above a dropdown menu showing '--Select--'.
- View:** A dropdown menu currently set to 'Current Rates'.
- Buttons:** 'Basic', 'Advanced', and 'Create' buttons are on the left. 'Load Criteria' and 'Save Criteria' buttons are in the center. 'Clear' and 'Search' buttons are on the right.

Basic Search View

The Advanced Search View interface includes the following fields and controls:

- Exchange:** A dropdown menu currently set to 'CME'.
- Firm:** A text input field above a dropdown menu showing '--Select--'.
- Account:** A text input field above a dropdown menu, with 'Add' and 'Delete' buttons below it.
- Broker ID:** A text input field above a dropdown menu showing '--All--'.
- Commodity:** A dropdown menu currently set to 'All'.
- CTI:** A dropdown menu currently set to 'All'.
- Classification:** A dropdown menu currently set to 'All'.
- Fut/Opt:** A dropdown menu currently set to 'All'.
- Contract Date(mm/yyyy):** A text input field above a dropdown menu, with 'Add' and 'Delete' buttons below it.
- Rate Type:** A dropdown menu currently set to 'All'.
- Tier Indicator:** A dropdown menu currently set to 'All'.
- View:** A dropdown menu currently set to 'Current Rates'.
- Buttons:** 'Basic', 'Advanced', and 'Create' buttons are on the left. 'Load Criteria' and 'Save Criteria' buttons are in the center. 'Clear' and 'Search' buttons are on the right.

Advanced Search View

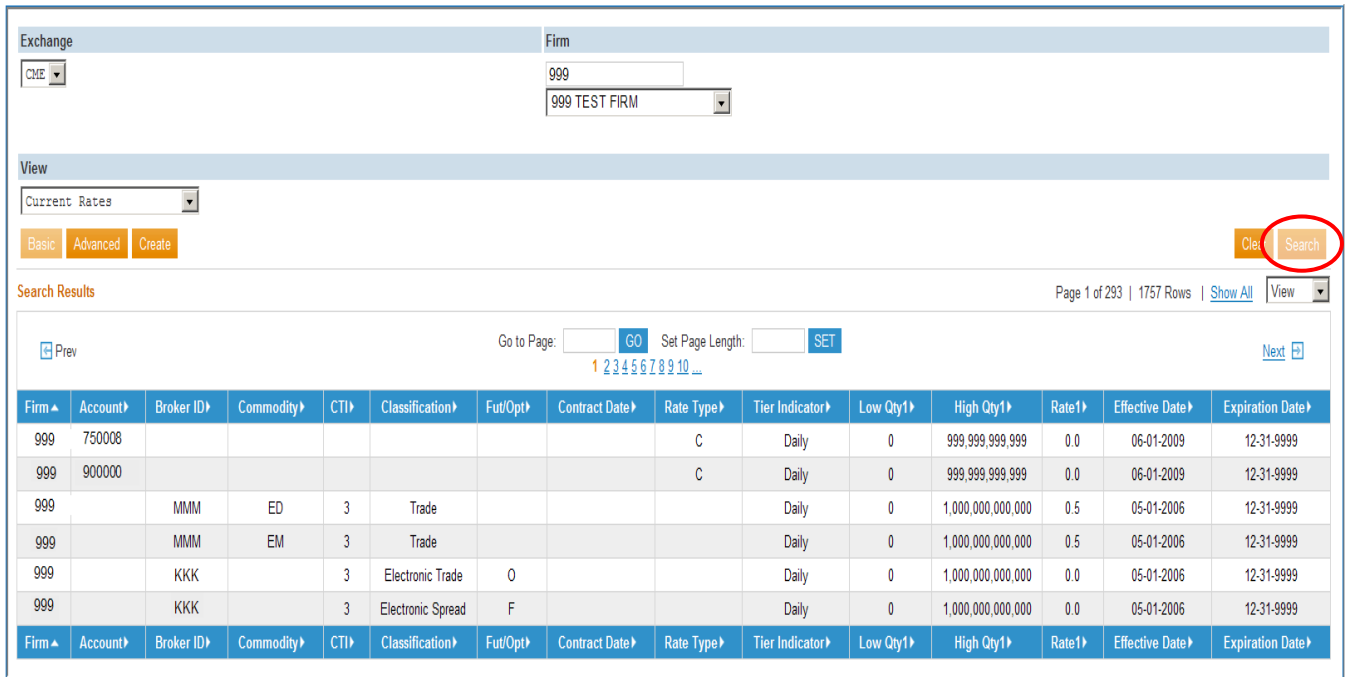
6.1 Rate Search

The basic search consists of selecting:

- Exchange
- Firm
- View
 - Current Rates
 - Adjustment Period Rates
 - Historical Rates

1. Select an **Exchange**.
2. Select a **Firm**.
3. View defaults to Current Rates.
4. Click **Search**.

The **Search Results** section will display below the Rates Search screen.



Exchange: CME | Firm: 999 TEST FIRM

View: Current Rates

Buttons: Basic, Advanced, Create, Search

Search Results: Page 1 of 293 | 1757 Rows | Show All | View

Firm	Account	Broker ID	Commodity	CTI	Classification	Fut/Opt	Contract Date	Rate Type	Tier Indicator	Low Qty	High Qty	Rate	Effective Date	Expiration Date
999	750008							C	Daily	0	999,999,999,999	0.0	06-01-2009	12-31-9999
999	900000							C	Daily	0	999,999,999,999	0.0	06-01-2009	12-31-9999
999		MMM	ED	3	Trade				Daily	0	1,000,000,000,000	0.5	05-01-2006	12-31-9999
999		MMM	EM	3	Trade				Daily	0	1,000,000,000,000	0.5	05-01-2006	12-31-9999
999		KKK		3	Electronic Trade	O			Daily	0	1,000,000,000,000	0.0	05-01-2006	12-31-9999
999		KKK		3	Electronic Spread	F			Daily	0	1,000,000,000,000	0.0	05-01-2006	12-31-9999

Select Actions

The following actions can be selected upon display of the rate search results.

- **View** – displays the detail information of the rate in read-only format.
- **Edit** – displays the detail information of the rate and allows modifications to select fields.
- **Copy** – displays the Create Rate screen with the selected rate information populated.
- **Delete** – deletes the rate.

6.1.1 Edit Rate

1. After completing a search, select the **Edit** action.
2. Click on the **line item** to edit.

Search Results Page 3 of 1757 | 1757 Rows | [Show All](#) [View](#)

Go to Page: GO Set Page Length: SET

1 2 3 4 5 6 7 8 9 10 ...

Firm	Account	Broker ID	Commodity	CTI	Classification	Fut/Opt	Contract Date	Rate Type	Tier Indicator	Low Qty1	High Qty1	Rate1	Effective Date	Expiration Date
999		MMM	ED	3	Trade				Daily	0	1,000,000,000,000	0.5	05-01-2006	12-31-9999

View
Edit
Copy
Remove

The Rate Edit screen is displayed, this screen allows users to modify the following fields:

- Effective Dates
- Expiration Dates
- Rate Values

3. Enter the **changes** and then click **Submit**.

Exchange CME	Firm 999 999 TEST FIRM	Account <input type="text"/>	Broker ID MMM MMM MOUSE 2009-08-01
Commodity ED	CTI 3	Classification Trade	Fut/Opt <input type="text"/>
Contract Date(mm/yyyy) <input type="text"/>	Rate Type <input type="text"/>	Tier Indicator Daily	
Effective Date 08-01-2011	Expiration Date 09-30-2011		
Rates *use tab to enter more rates.			
0.75 for the first	999,999,999,999		
Back to Search			Submit

Confirmation:

The Rate has been updated.

6.1.2 Copy Rate

The copy rate action allows the users to copy the attributes of an existing rate and modify as needed.

1. Complete a search.
2. Select action **Copy**.
3. Click on the rate to copy, you will be directed to the Rate Create screen.
4. Update rate as needed.
5. Click **Submit**.

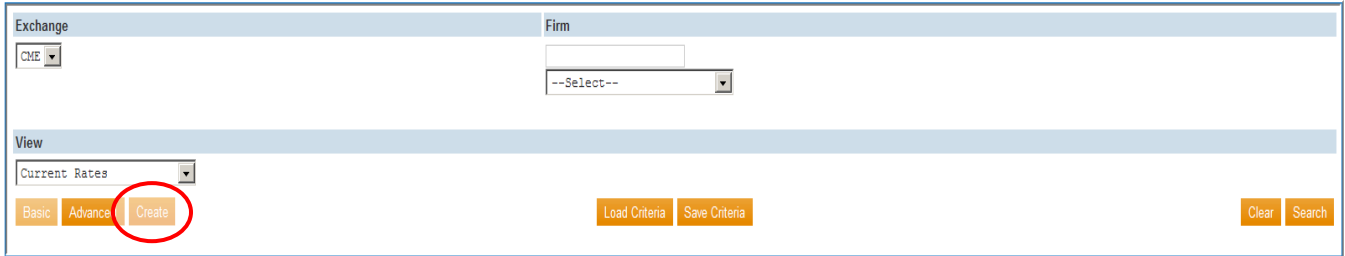
6.1.3 Delete Rate

The delete rate option allows the users to:

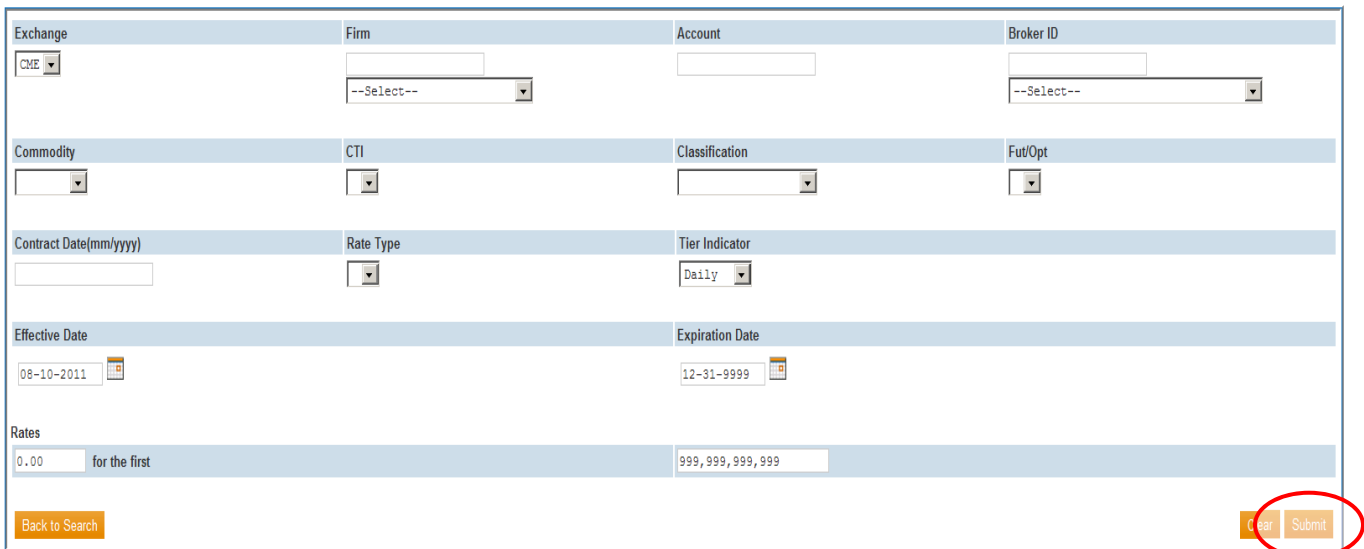
- Delete any rate that has an effective *date greater than or equal to* current date.
 - Expire any rate as of today, if the effective date is *earlier* than current date.
1. Complete a search.
 2. Select action **Delete**.
 3. Click on the rate to delete.
 4. Click **Submit**.
- Once a rate has been deleted it is consider a historical rate.

6.2 Creating a Rate

This screen allows the users to create broker rates.

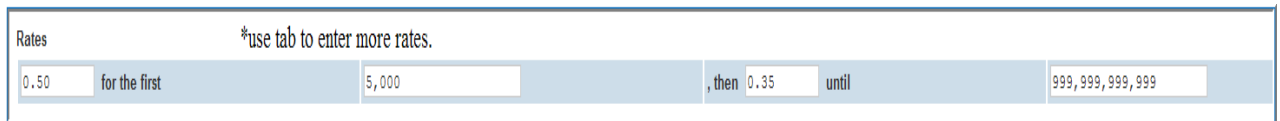


1. Click the **Create** button.
2. Enter the data as needed.
Exchange and Firm are required fields
3. Click **Submit**.



Note:

- To remove data from any field, click the **Clear** button.
- To enter tiered rates use the keyboard TAB key.



Note: After a rate is created, previously entered data is saved on the screen (i.e. entry fields are not reset to default settings). This is to avoid redundant data entry.

Dates

- **Effective Date**
 - Represents the date the rate is effective from.
 - Must be a date from current month or future month.
 - If in the adjustment period, can be a date from prior month.

- **Expiration Date**
 - Represents the date through which the rate is effective.
 - Must be a date from current month or future month, but greater than current date.
 - If in the adjustment period, can be a date from the prior month.

Rate Values

- For non-tiered rates
 - Rate Price – The rate at which all trades matching the rate criterion will be priced.

Quantity – Always defaults to 999,999,999,999.

Rates		
0.00	for the first	999,999,999,999

- For *tiered* rates
 - First Rate – The rate at which all trades matching the rate criterion will be priced.
 - Quantity - having quantity between 1 - 999999999999.9999
 - Quantity - having quantity between 2 - 999999999999.9999
 - Quantity - having quantity between 3 - 999999999999.9999
 - Quantity - having quantity between 4 - 999999999999.9999
 - Quantity - having quantity between 5 - 999999999999.9999

Each quantity should be greater than the prior quantity per the following example:

Rates				
0.57	for the first	5,000	, then 0.95	until 11,000
	, then 1.10	until 16,000	, then 1.60	until 999999999999

6.2.1 Retroactive Rates

The **Create Rate Screen** lets you create *retroactive rates* by Firm. Retroactive rates are rates with an effective or expiry date *earlier* than the current business date.

- The effective date and expiration date of the new or modified rate cannot be earlier than the start of the adjustment period – the first of the prior month for business days 1 through 3, then the first of the current month.
- There cannot be an existing identical rate that is effective for any part of rate's effective date range.
- Rates with monthly tier levels must have an effective date that is the first day of a month and an expiration date that is the last day of a month.
- The effective date, expiration date, rate amount, and tier levels can all be modified.
- Any price changes caused by the new or modified rates are applied immediately. Any reports or queries done after the rate is added, deleted, or changed will reflect the new rates.
- The only restriction is that the effective date of the revised rate is within the adjustment period.
- When editing an existing rate set the effective date to the date you want the new rate to become effective. The old rate will automatically be expired on the day prior to the modified rate's effective date.
- If a rate is deleted, the system will completely remove it if its effective date was within the adjustment period, or will expire the rate as of the day prior to the start of the adjustment period if its effective date was outside the adjustment period.

6.3 Rate Group

The Rate Group screen allows users to Search and Create rate groups (similar to the Rate Screen). Creation of a Rate Group allows the user to also create a Group ID name. *Rates are used to price trades and determine the correct brokerage to be paid by a trading firm to the executing Broker.*

The search option consists of *three* views:

- Current Rates
- Adjustment Period Rates
- Historical Rates

Using Rate Groups

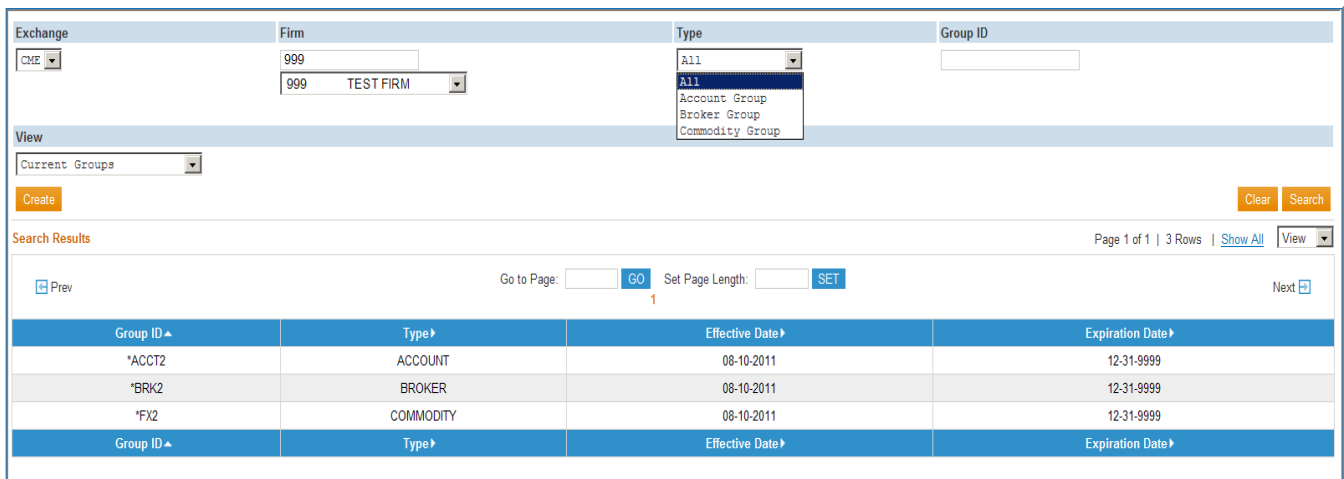
Rate groups can be used for accounts, brokers, or commodities that pay at the **same rate**; you can alleviate duplicate work by creating **one** rate group with a **single rate**, rather than having several line items with the same individual rate.

For example, if you pay foreign exchange trades at the same rate, you can create a Commodity Group containing commodities AC, AD, AJ, AN, BF, BP, BR, BY and etc. and name it *FX. You can then create a single rate for *FX that will be used for all FX commodities in the group. If this rate later changes you only have **one** rate to change.

6.3.1 Searching

The **Rate Group Screen** allows the users to search or create groups by Accounts, Broker, or Commodity.

1. Select an **Exchange**.
2. Select a **Firm**.
3. Select **Type**.
4. Select Group ID (optional).
5. View defaults to Current Groups.
6. Click **Search**, the search results list will display below the search criteria.



Exchange	Firm	Type	Group ID
CME	999 TEST FIRM	All	

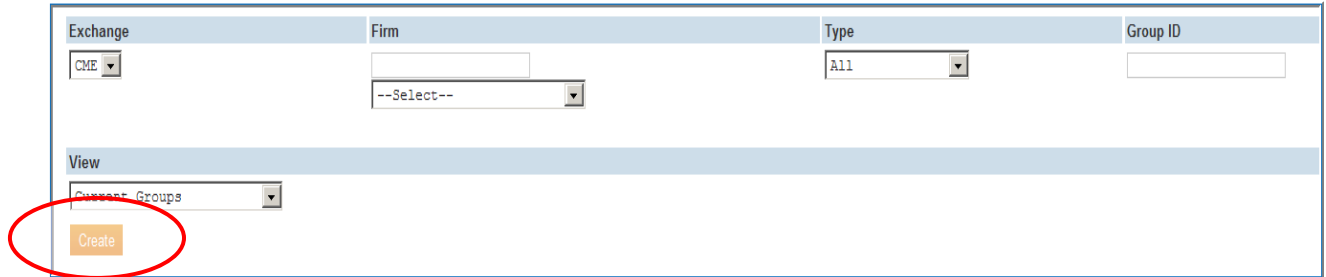
Group ID	Type	Effective Date	Expiration Date
*ACCT2	ACCOUNT	08-10-2011	12-31-9999
*BRK2	BROKER	08-10-2011	12-31-9999
*FX2	COMMODITY	08-10-2011	12-31-9999

Action options: **View**, **Edit** or **Delete**

- Select a line item to execute the selected action.

6.3.2 Creating a Rate Group

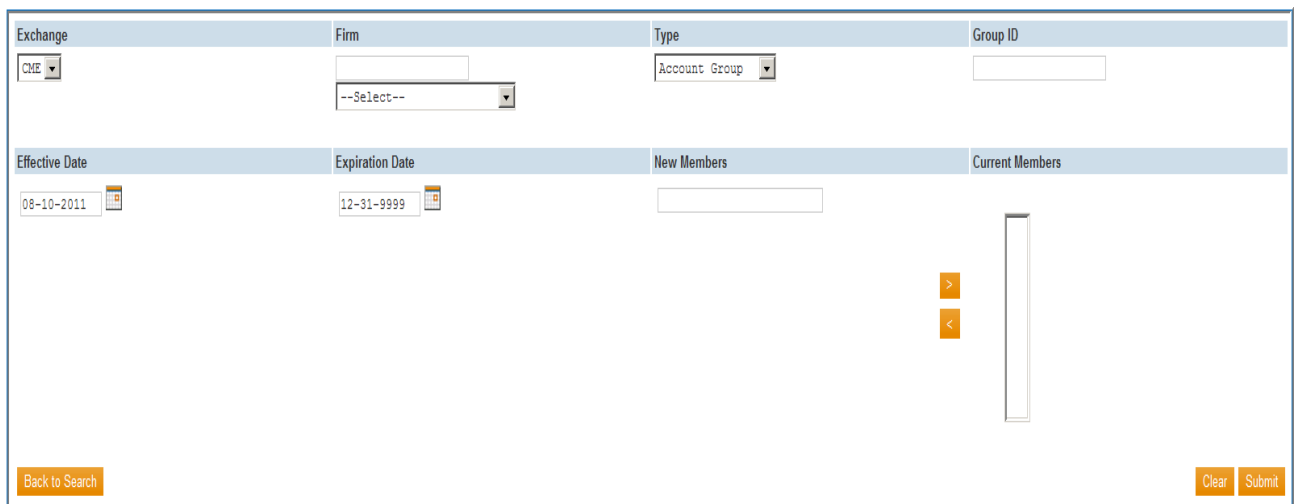
1. Click **Create**.



The screenshot shows a search form with the following fields:

- Exchange:** CME (dropdown)
- Firm:** (text input) and --Select-- (dropdown)
- Type:** All (dropdown)
- Group ID:** (text input)
- View:** Current Groups (dropdown)
- Create:** (button, circled in red)


After clicking Create from the search screen, the Rate Groups Create screen is displayed.



The screenshot shows the Rate Groups Create screen with the following fields:

- Exchange:** CME (dropdown)
- Firm:** (text input) and --Select-- (dropdown)
- Type:** Account Group (dropdown)
- Group ID:** (text input)
- Effective Date:** 08-10-2011 (calendar icon)
- Expiration Date:** 12-31-9999 (calendar icon)
- New Members:** (text input)
- Current Members:** (vertical list box)
- Navigation:** > and < buttons
- Buttons:** Back to Search, Clear, Submit

2. Select an **Exchange**.
3. Select a **Firm**.
4. Select a Type
 - Account
 - Broker
 - Commodity
5. Give the group a **Group ID** name. All Group ID names must start with an asterisk (*) and limited to 9 alpha or numeric characters. (Example: *BRK2)
6. Enter an **Effective Date** the **Expiration Date** will default to 12-31-9999.

7. Select the **Members** to be added to the group located in the New Member field.
 - o If the type is **Account Group**, enter an account number in the New Member field. Then click the arrow. 
 - o If the type is **Broker Group**, highlight the broker name from the New Member field. Then click the arrow.
 - o If the type is **Commodity Group**, highlight the commodities from the New Member field. Then click the arrow.

Repeat steps until all the members are added. If a member was added in error, highlight that member and click the arrow.



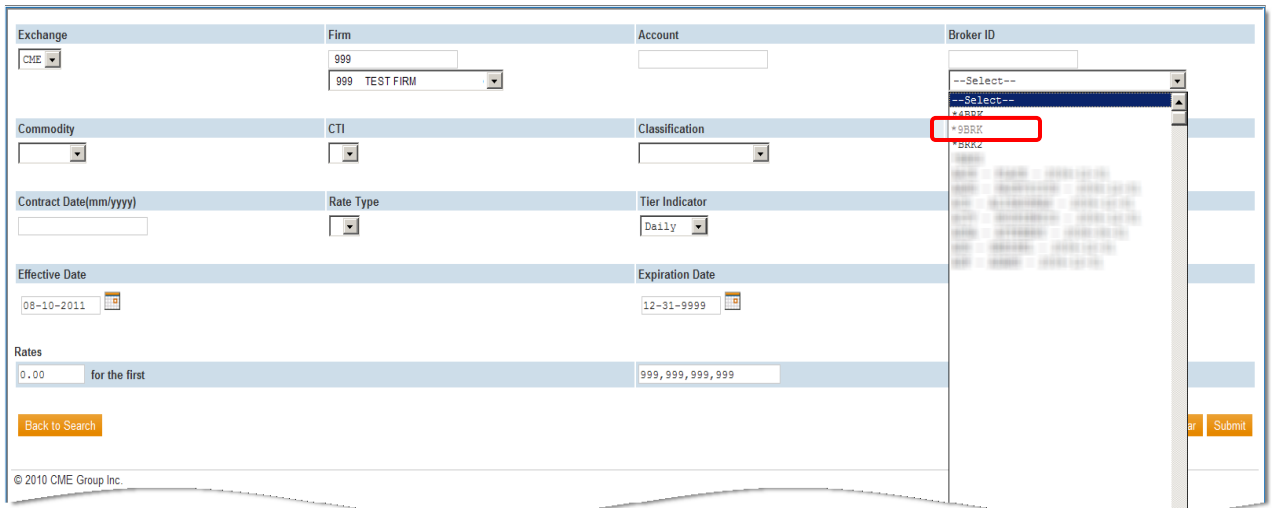
8. Click **Submit**. A confirmation message will display: The Rate Group has been created.

Exchange	Firm	Type	Group ID
CME	--Select--	Commodity Group	
Effective Date	Expiration Date	New Members	Current Members
	12-31-9999	OP2 OX2 16E 1A 1B 1C 1CD 1D 1E 1H	
<input type="button" value="Back to Search"/>		<input type="button" value="Clear"/> <input type="button" value="Submit"/>	

After creating a Rate Group (e.g. *BRK2) you can add this Rate Group to the applicable rates. This will price all trades in the Rate Group that match the rate key.

6.3.3 Creating a Rate Using a Rate Group ID

1. Click **Rate** from the menu selections.
2. Click **Create**.
3. Select **Firm**.
4. Select the **Rate Group ID** you previously created:
 - Account, enter the created account Group ID name (e.g. *ACCT2)
 - Commodity, click the dropdown arrow to locate the Group ID name (e.g. *FX2)
 - Broker ID, click the dropdown arrow to locate the Group ID name (e.g. *BRK2)
5. Continue to create the rate as described in the [Create Rate](#) section (page 16).



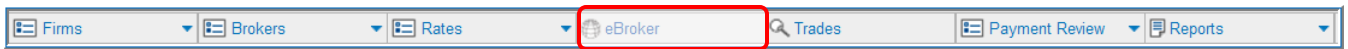
6.3.4 Rate Group Business Rules

- The Group ID name (which you assign) must always begin with an * (asterisk).
- There cannot be an existing identical group that is effective for any part of group's effective date range.
- Groups cannot be deleted or expired until all of the rates containing the group are deleted or expired.
- If a "member" (account, broker, or commodity) is added to a group the member must not have an existing rate that is a duplicate of an existing rate for the group.
- If a group is created or modified, the effective date of the group cannot be prior to the start of the adjustment period (the prior month up to business day 3, otherwise the current month).

- Once a group is defined, it can be used wherever its members can be used. The appropriate groups will appear in the broker and commodity drop-down lists. If an account group is specified the system will check that the group exists. **Note: Re-pricing will be done as with any rate.**
- The Effective Date of the group is the date that the group is effective **including the current membership date**. If you add or remove member(s) to/from the group, the effective date is the date the new membership is effective. Re-pricing will be done for this membership based on the group's effective date **for all rates** which specify the group.

EXAMPLE: If you add commodity AD to the existing Group ID (*FX), and set the group's effective date to 7/1/2011, all of the *FX's rates will be used to re-price all AD transactions as of 7/1/2011.

7.0 eBroker



The eBroker tab allows BPS administrative users to manage the registration of the electronic broker IDs. Within the eBroker screen the administrative user will be able to view, edit and create new electronic broker records. The administrator will maintain the association between a broker tag 50 ID and broker symbol. This will allow BPS to recognize all of the transactions and associated firms that a broker has represented.

A non-administrative user has a read-only authority.

Note: Currently only CME exchange is available in eBroker.

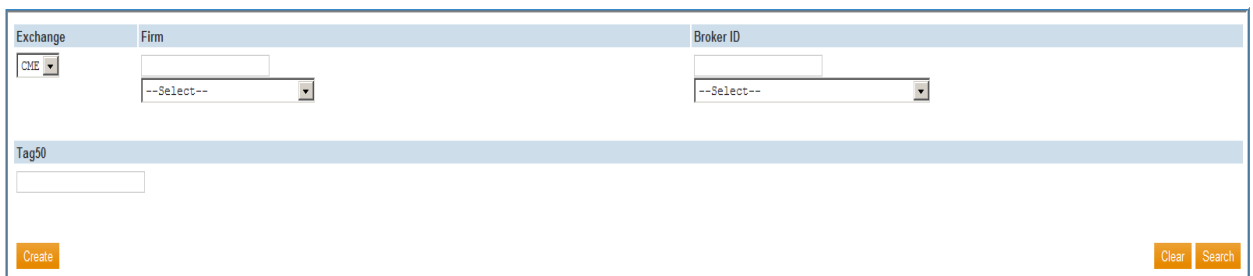
7.1 Searching

An eBroker search consists of the following fields:

- Exchange
- Firm
- Broker ID (Optional)
- Tag 50 (Optional)

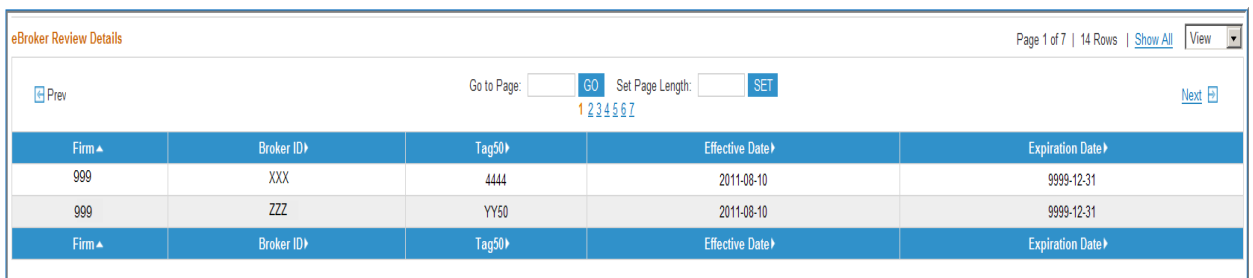
To complete a search:

1. Select an **Exchange**.
2. Select a **Firm**. Only the firms you are authorized to view will display.



Note: The **Create option** is only for administrators. The Create button will not displayed to non-administrative users.

3. Click **Search**. The eBroker Review Details list will display.



Firm	Broker ID	Tag50	Effective Date	Expiration Date
999	XXX	4444	2011-08-10	9999-12-31
999	ZZZ	YY50	2011-08-10	9999-12-31

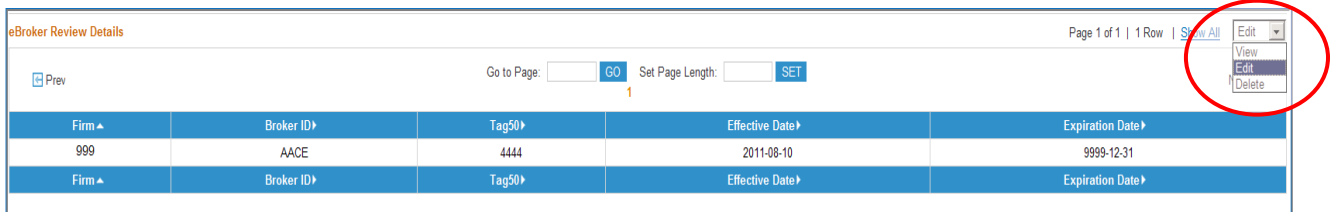
7.2 Administrative eBroker Users

Administrative Users can edit and create electronic broker registration records.

7.2.1 Edit

The Edit action allows Administrative Users to update the Effective Date and/or Expiration Date.

1. Complete a [search](#). (Reference page 24)
2. Select **Edit** from the drop-down action list.
3. Click on the **line item** to edit.

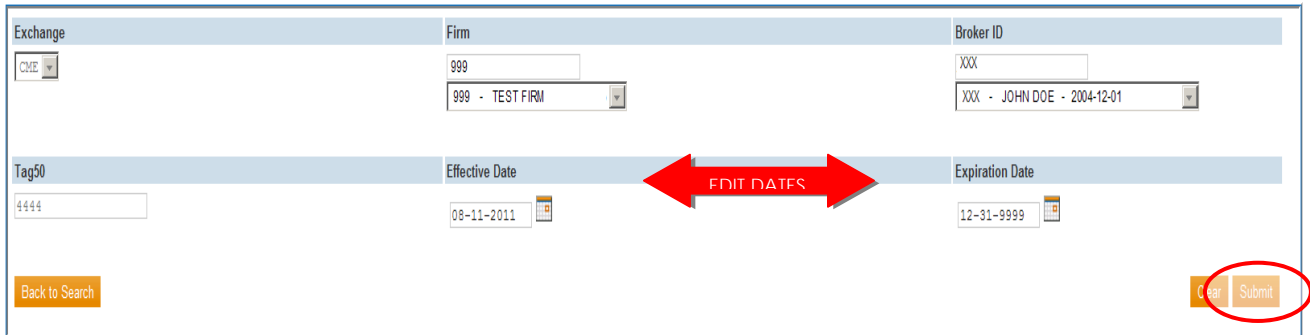


eBroker Review Details Page 1 of 1 | 1 Row | Show All

Prev Go to Page: GO Set Page Length: SET

Firm	Broker ID	Tag50	Effective Date	Expiration Date
999	AACE	4444	2011-08-10	9999-12-31

4. Enter the updated information, click **Submit**.



Exchange: CME | Firm: 999 - TEST FIRM | Broker ID: XXX - JOHN DOE - 2004-12-01

Tag50: 4444 | Effective Date: 08-11-2011 | Expiration Date: 12-31-9999

Buttons: Back to Search, Clear, Submit

Confirmation will display:

E-Broker has been successfully updated.

Note: eBroker effective date cannot be before the current business date.

7.2.2 Delete

The Delete action allows Administrative Users to delete the eBroker record.

1. Complete a [search](#). (Reference page 24)
2. Select **Delete**.
3. Click on the eBroker to be deleted.
4. A confirmation dialog box will display, click **OK**.

Confirmation will display:

E-Broker has been successfully deleted.

7.2.3 Create

The Create option allows Administrative Users to enter the broker's Tag 50 ID.

1. Click **Create**.

Exchange	Firm	Broker ID
CME	999 --Select--	XXX --Select--
Tag50		
Create	Clear	Search

2. Select the following fields:

- Firm
- Broker ID

3. Enter the following information:

- Tag 50 ID
- Effective Date (current day or later)
- Expiration Date (defaults to 12-31-9999)

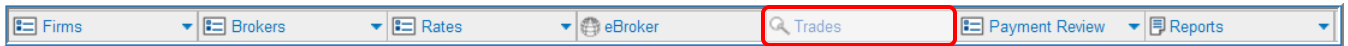
Exchange	Firm	Broker ID
CME	999 --Select--	XXX --Select--
Tag50	Effective Date	Expiration Date
	08-10-2011	12-31-9999
Back to Search	Clear	Submit

4. Click **Submit**. A confirmation will display.

5. To exit, click **Back to Search**. If the eBroker was entered incorrectly, click the *Delete* button.

E-Broker has been successfully created.		
Exchange	Firm	Broker ID
CME	999 999 TEST FIRM	XXX XXX BROKER - 2009-01-25
Tag50	Effective Date	Expiration Date
CJ50XXX	08-10-2011	12-31-9999
Back to Search	Delete	Clear Submit

8.0 Trades



The **Trades** tab will display the Trade View search screen; within the search screen there are three mode search types:

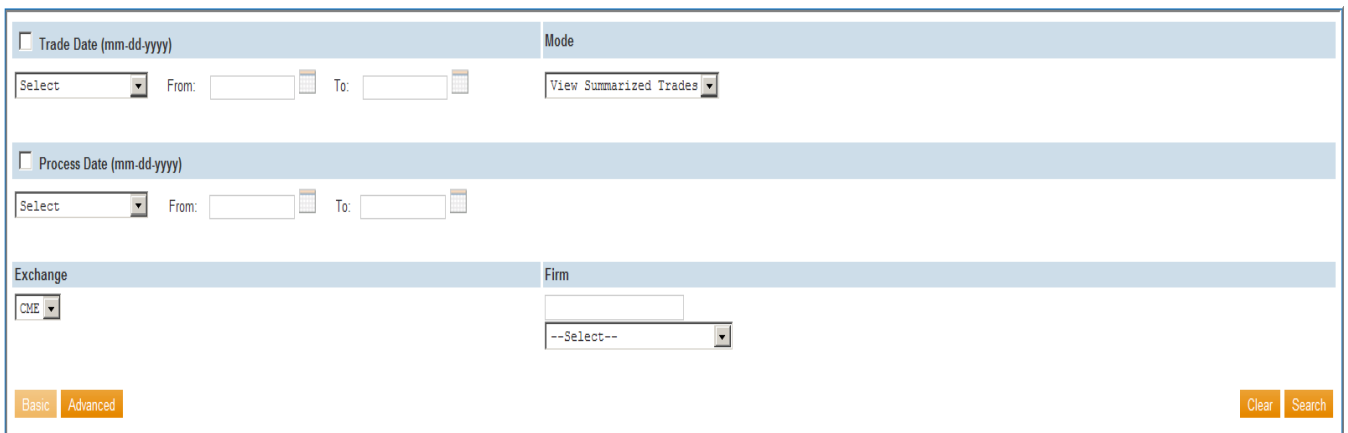
- **View Summarized Trades** – Trades are displayed with a limited amount of information.
- **View Detailed Trades** – Complete details of each trade are displayed.
- **View Rejected Trades** – All rejected trades are listed along with the rejected reason code.

In all three views, you can use the *basic search* or *advanced search* option to request data. To narrow your searches use the advance option.

8.1 Searching

A basic search consists of the fields listed below; an advance search will list a variety of fields allowing you to filter the search in more detail. [Advance Search](#) fields, reference page 29.

- Trade Date and/or Process Date
- Exchange
- Firm



The screenshot shows a search interface with the following fields:

- Trade Date (mm-dd-yyyy)**: A check-box, a "Select" dropdown menu, and "From:" and "To:" date input fields with calendar icons.
- Process Date (mm-dd-yyyy)**: A check-box, a "Select" dropdown menu, and "From:" and "To:" date input fields with calendar icons.
- Exchange**: A dropdown menu currently showing "CME".
- Firm**: A text input field and a dropdown menu currently showing "--Select--".
- Mode**: A dropdown menu currently showing "View Summarized Trades".
- At the bottom left are "Basic" and "Advanced" buttons.
- At the bottom right are "Clear" and "Search" buttons.

Date Selection

- To search by Trade Date or Process Date, select one of the search values listed in either of the drop-down boxes.
 - Note:** You do **not** have to click the Trade Date or Process Date check-box; this will automatically populate once you make a selection from the drop-down list.
 - **Trade Date** is the date on which the transaction took place.
 - **Process Date** is the date on which BPS processed the transaction.

- Select the criteria for your date range by using the drop-down arrow.
 - **Equals** - allows you to specify one particular day.
 - **Between** - allows you to specify beginning and end dates.
 - Note:** For the **Between** and **Equals** selections, you can specify the dates by clicking the field and typing the date in MM-DD-YYYY format, or by using the calendar to the right of the field. *Make sure the dates represent the period you want to view.*
 - **Month to Date** - automatically sets the first and last business day of the current month.
 - **Last Month** - automatically sets the first and last business day of the previous month.
 - **Two Months Prior** - automatically sets the first and last business days of the two months prior to the current business month.

Exchange Selection

- The exchange list box displays the trading exchanges you have authority to view.

Firm Selection

- The firm list box displays all the firms for the exchange selected.

To complete a search:

1. Select a date range, **Trade Date** and/or **Process Date**.
2. Select an **Exchange**.
3. Select Search **Mode**:
 - View Summarized Trades
 - View Detailed Trades
 - View Rejected Trades
4. Select a **Firm**.
5. Click **Search**.

If you do not select a value for each search criteria, an error message will appear. Refer to [Appendix I](#) for more information on Error Messages.

Trading Firm ID	Broker ID	Commodity Code	Quadrant	Sector	Trade Date	Contract Date	Fut/Opt Indicator	Account Number	Classification Code	CTI	Rate Type	Total Qty	Rate	Total Brokerage	Process Date	Buy Qty	Sell Qty	Vol Quote
999	XXX	LN	AGS	AGS	08-09-2011	201206	F		TRD	4	C	31	0	0	08-09-2011	23	8	11
999	XXX	LN	AGS	AGS	08-09-2011	201207	F		TRD	4	C	3	0	0	08-09-2011	3	0	11

8.2 Advanced Search (Summarized or Detailed Mode)

The advanced search consists of additional fields to narrow your search criteria. To view the advanced search features, select the **Advanced** button. The basic search selections remain at the top of the screen, and the advanced search fields appear below. See [Appendix II](#) for a list of field descriptions.

B
A
S
I
C

A
D
V
A
N
C
E
D

Trade Date (mm-dd-yyyy)
 Equals From: To:

Mode
 View Summarized Trades

Process Date (mm-dd-yyyy)
 Equals From: To:

Exchange
 CME

Firm
 --Select--

Classification Code
 All

CTI
 All

Rate Type
 All

Account

[Add](#) [Delete](#)

Broker ID

Quadrant
 ALL

Sector
 ALL

Commodity

[Add](#) [Delete](#)

Fut/Opt Indicator
 All

Contract Date (mm/yyyy)

Quantity
 All

Total Brokerage

[Add](#) [Delete](#)

[Basic](#) [Advanced](#)

[Clear](#) [Search](#)

Example: Search Detailed Trades View

Detailed Trades: CME Page 1 of 557 | 557 Rows | [Show All](#) | [Extract](#)

Go to Page:
 Set Page Length:

1 2 3 4 5 6 7 8 9 10 ...

Trading Firm ID	Operator ID	Broker ID	Original Broker ID	Commodity Code	Quadrant	Sector	Process Date	Trade Date	Contract Date	Put/Call Indicator	Fut/Opt Indicator	Account Number	Classification Code	CTI	Origin	Rate Type	Buy/Sell Indicator	Quantity	Order Number	Strike Price	Trade Price	Vol Quote
999		XXX		SP	INDX	INDX	08-09-2011	08-09-2011	201109		F		GUFM	4	1	C	2	5	810	0.00	1,125.00	N

[New Search](#)

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29

8.3 Rejected Trades

There are three reasons a trade may be rejected:

- 1 – Firm not found
- 2 – Broker not found
- 3 – Customer Type Indicator 1 (CTI 1)

Rejected Trades: CME - Page 5 of 955 | 955 Rows | [Show All](#) | [Extract](#)

Go to Page: GO Set Page Length: SET

12345678910...

Resubmit Indicator	Trading Firm ID	Operator ID	Broker ID	Original Broker ID	Commodity Code	Process Date	Trade Date	Contract Date	Put/Call Indicator	Fut/Opt Indicator	Account Number	Classification Code	CTI	Origin	Rate Type	Buy/Sell Indicator	Quantity	Order Number	Strike Price	Trade Price	Rejected Reason Code	Vol Quote
<input type="checkbox"/>	N	999		XXX	ED	08-09-2011	08-09-2011	201112	P	O		SPRD	1	1	M	1	50	412	9,950.00	0.12	3	N

Resub Selected Resub All New Search

8.3.1 Resubmitting Rejected Trades

To resubmit rejected trade(s) perform the following actions:

- Resubmit** – resubmits a trade for re-processing during the nightly run
 - Resubmit All** – resubmits all of the rejected trades listed for re-processing during the nightly run
- Complete a search** for rejected trades.
 - Click the **check box** of the trade to resubmit.

Rejected Trades: CME - Page 1 of 955 | 955 Rows | [Show All](#) | [Extract](#)

Go to Page: GO Set Page Length: SET

12345678910...

Resubmit Indicator	Trading Firm ID	Operator ID	Broker ID	Original Broker ID	Commodity Code	Process Date	Trade Date	Contract Date	Put/Call Indicator	Fut/Opt Indicator	Account Number	Classification Code	CTI	Origin	Rate Type	Buy/Sell Indicator	Quantity	Order Number	Strike Price	Trade Price	Rejected Reason Code	Vol Quote
<input checked="" type="checkbox"/>	N				E0	08-09-2011	08-09-2011	201112	P	O		SPRD	1	1	M	1	125		9,800.00	0.00	3	N

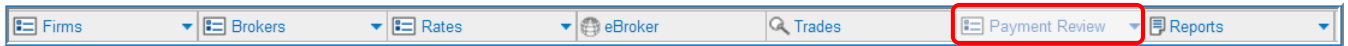
Resub Selected Resub All New Search

- Click the **Resub Selected** button.

- After clicking the Resubmit button; the **Resubmit Indicator** status is set to 'Y' (Yes).
- To resubmit all the trades shown in Search Results, select the **Resubmit All** button.

Resubmit Indicator	Trading Firm ID	Operator ID	Broker ID	Original Broker ID	Commodity Code	Process Date	Trade Date	Contract Date	Put/Call Indicator	Fut/Opt Indicator	Account Number	Classification Code	CTI	Origin	Rate Type	Buy/Sell Indicator	Quantity	Order Number	Strike Price	Trade Price	Rejected Reason Code	Vol Quote
<input checked="" type="checkbox"/>	Y				E0	08-09-2011	08-09-2011	201112	P	O		SPRD	1	1	M	1	125	409	9,800.00	0.00	3	N

9.0 Payment Review



The **Payment Review** tab has a sub-menu, Adjustments and Hold. The **Adjustments** and **Hold** options allows the users to search or create an Adjustment or Hold record per broker.

9.1 Searching for an Adjustment

An Adjustment search consists of selecting:

- Perspective
 - View Firm Adjustments – create, edit and search.
 - View Broker Adjustments – search only.
- Exchange
- Firm

Process Month (Optional)

- Restricts the search to the month specified.

Type of Adjustment (Optional)

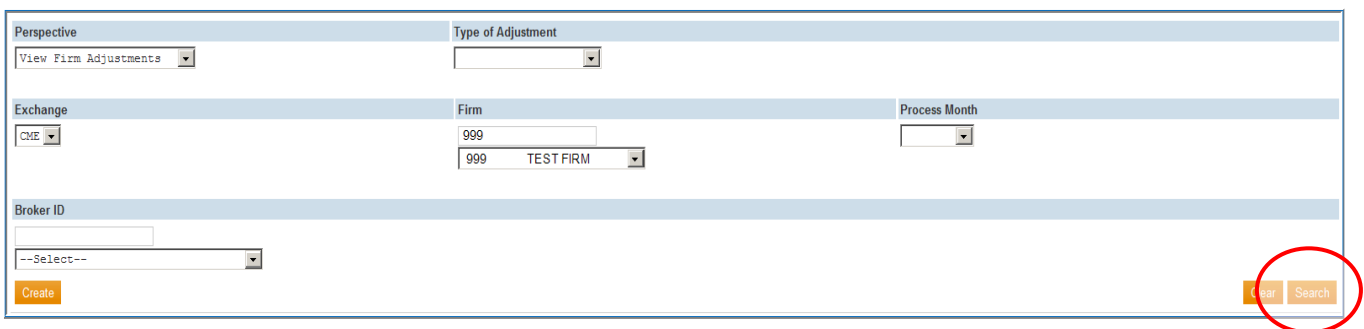
- Search by either Payment or Tax adjustments.

Broker ID

- Broker ID is optional if perspective is View Firm Adjustment
- Broker ID is required if perspective is View Broker Adjustment

To perform a search:

1. Select **Perspective**.
2. Select **Exchange**.
3. Select **Firm**.
4. Click the **Search** button.



Perspective		Type of Adjustment	
View Firm Adjustments			
Exchange	Firm	Process Month	
CME	999		
	999 TEST FIRM		
Broker ID			
--Select--			
Create		Clear Search	

The search results list will display below the search criteria.

Search Results					
Page 1 of 2 3 Rows Show All View					
Prev Go to Page: <input type="text"/> GO Set Page Length: <input type="text"/> SET Next Next					
Firm ▲	Broker ID ▶	Type of Adjustment ▶	Process Date ▶	Amount ▶	Comment ▶
999	XXXX	PMTADJ	12-31-2010	-15.00	
999	XXXX	PMTADJ	03-31-2011	-37.50	
Firm ▲	Broker ID ▶	Type of Adjustment ▶	Process Date ▶	Amount ▶	Comment ▶

Select Actions

Choose an action from the drop-down action list, and then select the line item for which you want to invoke the action. Available actions:

- **View** – displays the detail information of the adjustment in read-only format.
- **Edit** – displays the detail information of the adjustment and allows modifications to the Amount and Comment fields.
 - Edits to Payments Adjustment are only allowed for records with a process date within the current month, or the prior month (adjustment period only).
 - Edits to Tax Adjustment are only allowed for records with process dates within the current fiscal year.
- **Delete** – deletes the adjustment.
 - Deletion of a Payment Adjustment is only allowed for records with a process date within the current month or future month.
 - Deletion of a Tax Adjustment is only allowed for records with process dates within the current fiscal year or a future fiscal year.

9.1.1 Edit an Adjustment

- Allows the user to modify the amount and/or comment fields.
 1. Complete a search.
 2. Select **Edit** from the action list.
 3. Click on the **line item** to edit.
 4. Update the **amount** and/or the **comment** field.
 5. Click **Submit**.

Confirmation message:

The Adjustment has been updated.

9.1.2 Delete an Adjustment

1. Complete a search.
2. Select **Delete** from the action list.
3. Click on the **line item** to delete.
A confirmation pop-up window will appear.
4. Click **OK** to remove the adjustment.

Confirmation message:

The Adjustment has been deleted.

9.1.3 Create an Adjustments

The **Create** button allows the users to create either a Payment Adjustment or Tax Adjustment record. A **payment adjustment** is used to either increase or decrease the brokerage amount due to a broker for a specific process month. A **tax adjustment** is used to either increase or decrease the brokerage amount that will be reported to the IRS. Only the perspective of *View Firm Adjustments* can create an adjustment.

Perspective		Type of Adjustment	
View Firm Adjustments ▼		▼	
Exchange	Firm	Process Month	
CME ▼	▼	▼	
	--Select-- ▼		
Broker ID			
▼			
--Select-- ▼			
Create		Clear Search	

Multiple adjustments can be entered on a single screen provided they are the same:

- Exchange
- Firm
- Adjustment Type
- Process Month

To create multiple adjustments, press the **Tab** key while in the *Comment* field. A new empty row will display. This feature allow up to five rows of data.

Exchange		Firm	
CME		999	
		999 TEST FIRM	
Type of Adjustment		Process Month	
Payment adjustment		08-2011	
Broker ID	Amount	Comment	
XXXX	145.00	Incorrect rate	
XXXX BROKER ID 2004-12-01			
Broker ID	Amount	Comment	
YYY	-250.00	Over payment	
YYY BROKER ID 2004-12-01			
Broker ID	Amount	Comment	
--Select--			
--Select--			
Back to Search		Clear Submit	

- To remove changes made to the adjustment fields, click the **Clear** button.

Field Descriptions

- Type of Adjustment**
 - Payment -- increase or decrease in a broker's monthly brokerage.
 - Tax -- increase or decrease in a broker's annual brokerage reported to the IRS.
- Process Month** – is the month when the adjustment will be applied
 - Payment Adjustment -- Must be the current month or future month; if within the adjustment period, can be the prior month.
 - Tax Adjustment -- represents the fiscal tax year when the adjustment will be applied; must be a month with the current or future fiscal year.
- Amount** – is the value of the adjustment; can be positive or negative.
- Comment** – allows the user to describe the reason for the adjustment using up to 120 characters, maximum.

To create an adjustment, complete the following steps:

1. Click **Create** located on the Payment Adjustment Search screen.
2. Select **Exchange**.
3. Select:
 - Type of Adjustment
 - Firm
 - Process Month
 - Broker ID
4. Enter **Amount**:
 - 500.00
 - -500.00
5. Enter **Comment**.
To enter multiple adjustments use the Tab key.
6. Click **Submit**.

The Adjustment has been created.

Exchange		Firm	
CME		999 999 TEST FIRM	
Type of Adjustment		Process Month	
Payment adjustment		08-2011	
Broker ID	Amount	Comment	
XXXX XXXX TEST USER	-500.00	Over payment.	
Back to Search		Clear Submit	

Single Adjustment

Exchange		Firm	
CME		--Select--	
Type of Adjustment		Process Month	
Payment adjustment		08-2011	
*Create up to 5 adjustments by pressing a Tab key on the Comment box after selecting a Broker ID			
Broker ID	Amount	Comment	
Broker ID	Amount	Comment	
Broker ID	Amount	Comment	
Back to Search		Clear Submit	

Multiple Adjustments

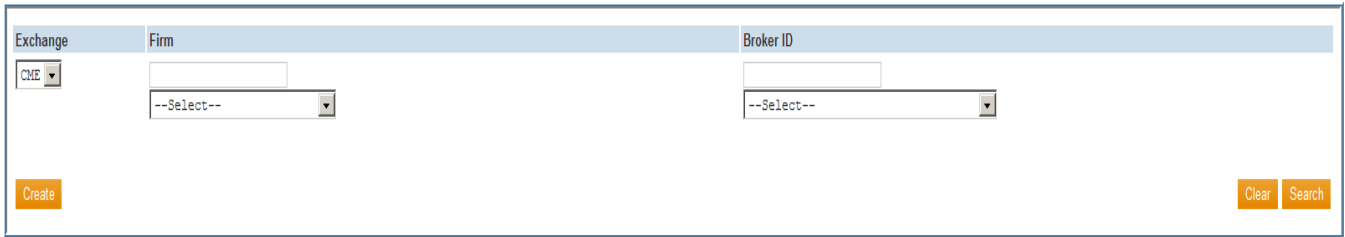
9.2 Payment Holds

The Payment Hold screen is very similar to the Adjustment screen. It works in the same manner - - users can search and create Payment Hold records. The Hold screen has an option to hold a broker's entire payment. Also, the Hold screen requires an Effective Date and Expiration Date.

9.2.1 Searching

A search consists of selecting:

- Exchange
- Firm
- Broker ID (Optional)



To perform a search

1. Select **Exchange**.
2. Select:
 - Firm
 - Broker (optional)
3. Click **Search**. The search results list will display below the search criteria.
4. Click the **line item** to view (default action is View).

Payment Hold Review Details Page 1 of 3 | 3 Rows | [Show All](#) [View](#)

[Prev](#)
Go to Page: [GO](#) Set Page Length: [SET](#)
[Next](#)

Firm	Broker ID	Hold Entire Payment	Amount	Effective Date	Expiration Date	Comment
999	XXX	N	500.00	2011-09-01	2011-12-31	Document #23568
Firm	Broker ID	Hold Entire Payment	Amount	Effective Date	Expiration Date	Comment

Action options: View, Edit or Delete

- Click on a line item to execute the action.

9.2.2 Editing a Hold Record

- Allows the users to modify the following fields:
 - Remove the Hold on Entire Payment
 - Amount
 - Effective Date
 - Expiration Date
 - Comment

1. Complete a search.
2. Select **Edit** from the action list.
3. Click on the **line item** to edit.
4. Enter the update(s).
5. Click **Submit**.

Confirmation message:

The Payment Hold has been updated.

9.2.3 Deleting a Hold Record

1. Complete a search.
2. Select **Delete** from the action list.
3. Click on the **line item** to delete.
A confirmation pop-up window will appear.
4. Select **OK** to delete the payment hold.

Confirmation message:

The Payment Hold has been successfully deleted.

9.2.4 Creating a Payment Hold

The **Create** button allows the users to create a payment hold, which is used to garnish brokerage. The payment hold can be set up for a specific amount or the broker's entire brokerage amount due within a specified time period.

Exchange	Firm	Broker ID	
CME	--Select--	--Select--	
<input type="checkbox"/> Hold Entire Payment	Amount	Effective Date	Expiration Date
	0.00		12-31-9999
Comment			
<input type="text"/>			
Back to Search		Clear Submit	

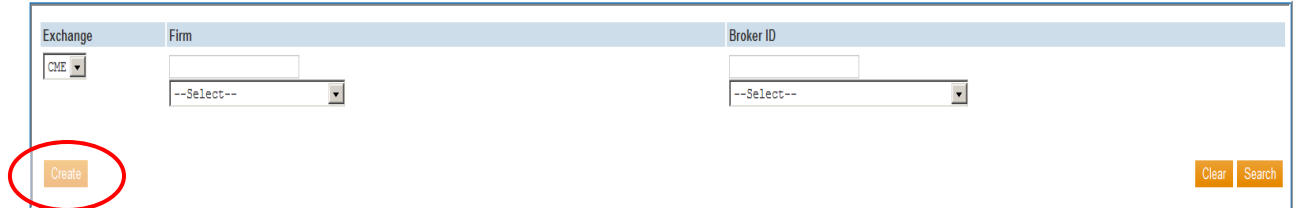
Field Descriptions

- **Hold Entire Payment** – withholds the *entire payment due* the broker, for the time period specified within the Effective and Expiration Date range.
- **Hold Amount** – contains the dollar value of the hold; the value must be *positive*.
- **Effective Date** – the date from which the payment hold is effective
 - Must be the current month or future month.
 - If within the adjustment period, can be the prior month.
- **Expiration Date** – represents the month to which the payment hold is effective.
 - Must be the current month or future month.
 - If within the adjustment period, can be the prior month.
- **Comment** – describe the details of the payment hold; 80 character maximum.

Note: When creating a hold record the BPS system does not compute a running total of amount being held.

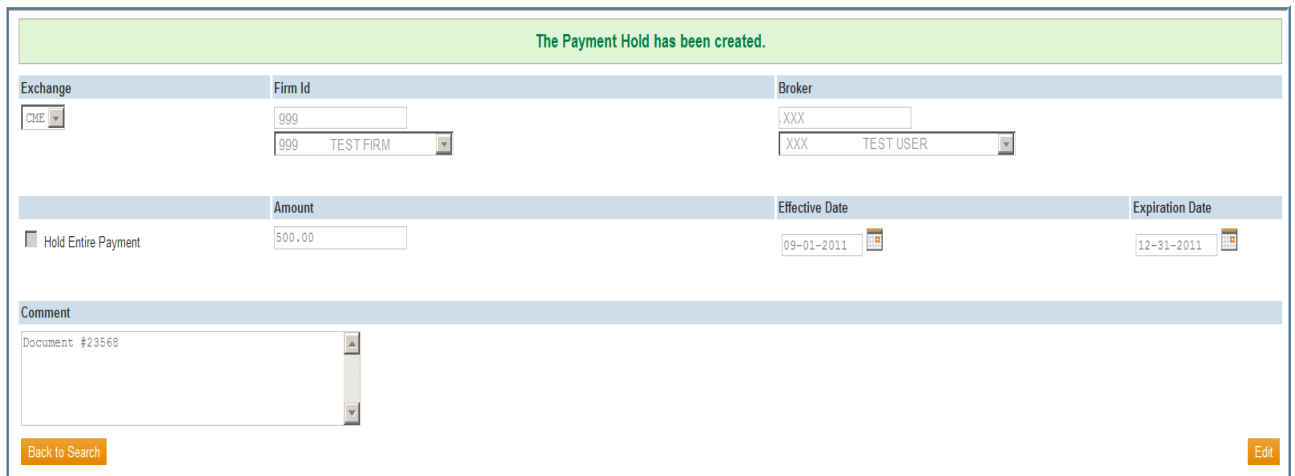
Creating a Hold Record

1. Click **Create** located on the Payment Hold screen.



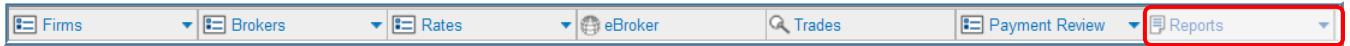
The screenshot shows the top portion of the Payment Hold screen. It features three dropdown menus: 'Exchange' (set to 'CME'), 'Firm' (set to '--Select--'), and 'Broker ID' (set to '--Select--'). Below these menus is a 'Create' button, which is circled in red. To the right of the 'Create' button are 'Clear' and 'Search' buttons.

2. Select **Exchange**.
3. Select:
 - Firm
 - Broker ID
4. Enter **Amount** or click the **Hold Entire Payment** check box.
 - The value must be a *positive value*.
5. Enter **Effective Date**.
6. Update **Expiration Date**.
7. Enter **Comment**.
8. Click **Submit**.



The screenshot shows the completed Payment Hold form. At the top, a green banner displays the message: "The Payment Hold has been created." Below this, the form fields are populated: 'Exchange' is 'CME', 'Firm Id' is '999 TEST FIRM', and 'Broker' is 'XXX TEST USER'. The 'Amount' field contains '500.00', and the 'Hold Entire Payment' checkbox is checked. The 'Effective Date' is '09-01-2011' and the 'Expiration Date' is '12-31-2011'. A 'Comment' field contains the text 'Document #23568'. At the bottom left is a 'Back to Search' button and at the bottom right is an 'Edit' button.

10.0 Reports



When you select **Reports** from the BPS main menu, three options will display:

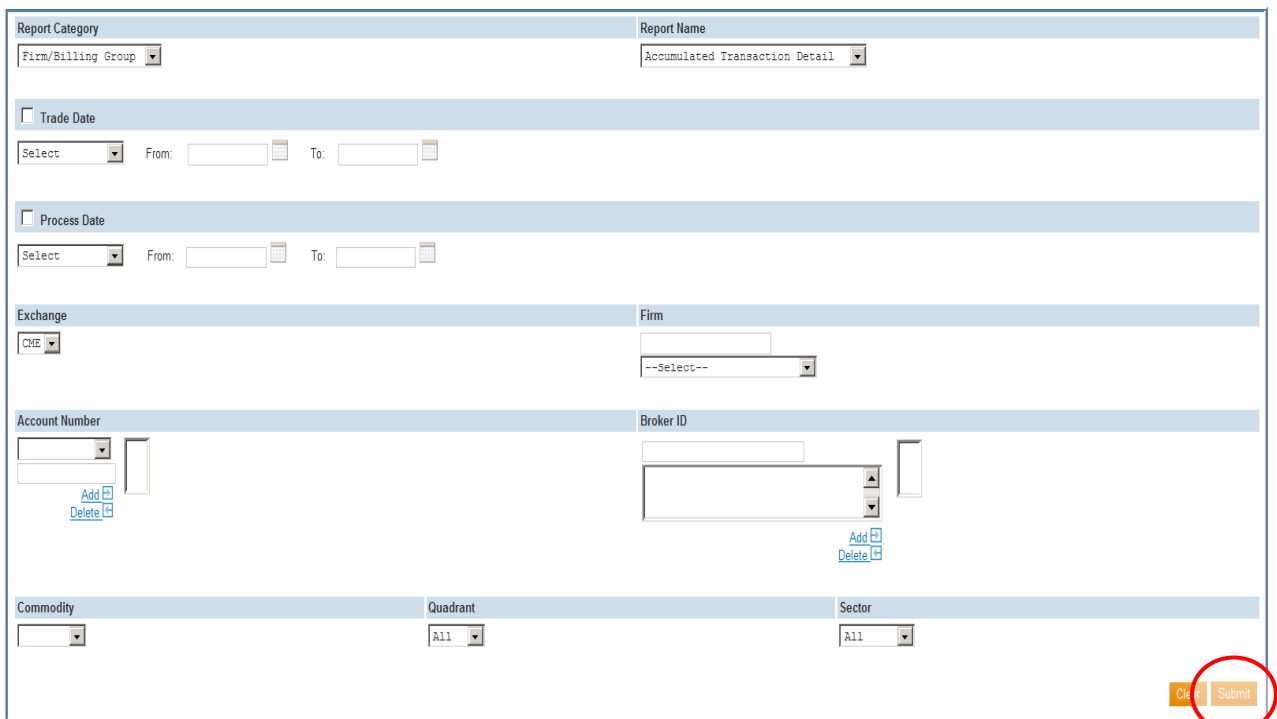
- Request Reports
- View Report Request
- View Batch Reports

The **Report Request** screen allows users to run reports. The selected report will be generated and is viewable through the **View Report Request** tab. The **View Batch Reports** will display the system generated batch reports.

10.1 Report Request Screen

To request a report:

1. Select **Request Report**.
2. Select a **Report Category** (Firm/Billing Group or Broker/Broker Group). Report Category will filter the available reports; the **Report Name** drop-down list will immediately update to reflect only the reports within that Report Category.
3. Select a **Report Name** and enter the **criteria** for the selected report.
4. Click **Submit**.



- **Clear** – to clear the criteria, click the **Clear** button.

Date Selection

- Select a Trade Date and/or Process Date or Banking Cycle. *Note you don't have to click on the checkbox; this will automatically be done after a value has been selected.*
 - **Trade Date** is the date on which the transaction took place.
 - **Process Date** is the date on which the transaction was processed.
 - **Banking Cycle** is the period in which the transaction was processed.

10.2 Report Viewer

The **View Report Request** tab requires *Adobe Acrobat Reader* to be installed on your computer. All reports are in PDF format.

The report viewing options are:

- View Report
- Extract Report
- View Report Criteria
- Delete Report

There are two view options that can be selected within the report viewer:

- Today's Reports
- Show All Reports

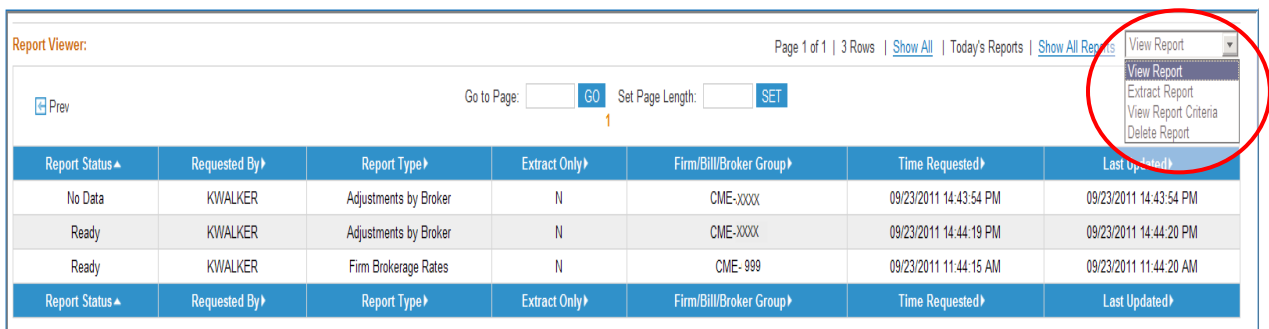
The Report Viewer Screen is shown below. This screen allows the user to select one of the four report viewing functions from the drop-down list.

Select Actions

Choose an action from the drop-down list, and then select the report you would like to invoke the action for.

- **View Report** – opens the report detail information in PDF format.
- **View Report Criteria** – displays the selection criteria used to run the report.
- **Extract Report** – transfers the report to be extracted into a database or spreadsheet application.
- **Delete Report** – permanently removes the selected report from the system.
Reports are automatically deleted after a two week period.

1. Select an **action**.
2. Click a **line item**.



Report Viewer: Page 1 of 1 | 3 Rows | [Show All](#) | Today's Reports | [Show All Reports](#)

Go to Page: Set Page Length:

Report Status ▲	Requested By ▶	Report Type ▶	Extract Only ▶	Firm/Bill/Broker Group ▶	Time Requested ▶	Last Updated ▶
No Data	KWALKER	Adjustments by Broker	N	CME-XXXX	09/23/2011 14:43:54 PM	09/23/2011 14:43:54 PM
Ready	KWALKER	Adjustments by Broker	N	CME-XXXX	09/23/2011 14:44:19 PM	09/23/2011 14:44:20 PM
Ready	KWALKER	Firm Brokerage Rates	N	CME-999	09/23/2011 11:44:15 AM	09/23/2011 11:44:20 AM
Report Status ▲	Requested By ▶	Report Type ▶	Extract Only ▶	Firm/Bill/Broker Group ▶	Time Requested ▶	Last Updated ▶

See **Appendix III** for a list of BPS Report names.

Note:

If a report is extract only then the View action will not be available.

Report Viewer: Page 1 of 1 | 2 Rows | [Show All](#) | Today's Reports | [Show All Reports](#) | View Report

Go to Page: **GO** Set Page Length: **SET**

Report Status	Requested By	Report Type	Extract Only	Firm/Bill/Broker Group	Time Requested	Last Updated
Reviewed	KWALKER	Firm Brokerage Rates	N	CME-999	10/28/2011 09:36:01 AM	10/28/2011 09:36:56 AM
Ready	KWALKER	Broker Trade Detail Extract	Y	CME:XXX	10/28/2011 09:55:04 AM	10/28/2011 09:55:06 AM

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Message from webpage

Report is for extract only not for view

OK

10.3 View Batch Reports

1. To view the batch reports, select a **report name** and complete the report criteria.
2. Click the **Submit** button.

The report can be viewed in a PDF or Text format.

Report Category: Firm/Billing Group | Report Name: Firm Brokerage Detail

Report Date: From: 08-01-2011 To: 10-28-2011

Exchange: CME | Firm: 999 TEST FIRM

Clear **Submit**

Search Results: Page 1 of 1 | 1 Row | [Show All](#)

Go to Page: **GO** Set Page Length: **SET**

Firm	Report Type	Run Status	Report Date
999	BPS710	M	08-03-2011

PDF report

PDF report

Text report

Next

11.0 Appendix I – Errors in Selecting Criteria

- If there were any errors made in selecting your criteria, you will see a red flag displayed next to the field(s) containing the error(s).
- To see detailed information about the error(s), click the **Show Errors** hyperlink at the top of the page.
- The details of the error(s) will then be displayed at the top of the page, and you can make changes to your criteria to correct the error(s).
- To hide the error details, click the **Hide Errors** hyperlink.

There are 3 errors on this page. [Show Errors](#)

<input type="checkbox"/> Trade Date (mm-dd-yyyy) !	Mode
Equals <input type="text"/> From: 08-09-2011 <input type="text"/> To: <input type="text"/>	View Summarized Trades <input type="text"/>
<input type="checkbox"/> Process Date (mm-dd-yyyy) !	
Equals <input type="text"/> From: 08-09-2011 <input type="text"/> To: <input type="text"/>	
Exchange	Firm !
CME <input type="text"/>	<input type="text"/> --Select-- <input type="text"/>

Basic Clear

There are 3 errors on this page. [Hide Errors](#)

Trade Date: Either Trade Date or the Process Date must be selected.

Process Date: Either Trade Date or the Process Date must be selected.

Firm: Firm must be selected.

<input type="checkbox"/> Trade Date (mm-dd-yyyy) !	Mode
Equals <input type="text"/> From: 08-09-2011 <input type="text"/> To: <input type="text"/>	View Summarized Trades <input type="text"/>
<input type="checkbox"/> Process Date (mm-dd-yyyy) !	
Equals <input type="text"/> From: 08-09-2011 <input type="text"/> To: <input type="text"/>	
Exchange	Firm !
CME <input type="text"/>	<input type="text"/> --Select-- <input type="text"/>

Basic Clear

12.0 Appendix II – Field Descriptions

This table provides a description of the fields on the **basic** and **advanced** search option.

Field	Basic Search	Advanced Search	Description
Trade Date	√	√	<p>Date on which the transaction took place. Options you can chose from include:</p> <p>Equals -- allows you to specify one particular day. Between -- allows you to specify beginning and end dates.</p> <p>Note: For the Between and Equals selections, you can specify the dates by clicking the field and typing the date in MM-DD-YYYY format, or by using the calendar to the right of the field. Make sure the dates represent the period you want to view.</p> <p>Month to Date -- automatically sets the first and last business day of the current month. Last Month -- automatically sets the first and last business day of the previous month. Two Months Prior -- automatically sets the first and last business days of the two months prior to the current business month.</p>
Process Date	√	√	Date on which BPS processed the transaction. The options listed for Trade Date, described above, are the same.
Mode	√	√	<p>View Summarized Trades – Displays trades at a summarized level View Detailed Trades – Displays the complete details of each trade View Rejected Trades – Displays all rejected trades</p>
Exchange	√	√	Displays the trading exchanges you have authority to view.
Firm	√	√	Displays the firms for the trading exchange selected.
Classification Code		√	<ul style="list-style-type: none"> • Block Trade, Block Trade Give-Up From, Block Trade Give-Up To • CPC Trade, CPC Trade Give-Up To, CPC Trade Give-Up From, CPC Spread, CPC Spread Give-Up To, CPC Spread Give-Up From • CPC Block Trade, CPC Block Trade Give-Up From, CPC Block Trade Give-Up To, CPC EFP, CPC Give-Up From, CPC Give-Up To • EFP, EFP Give-Up From, EFP Give-Up To • Electronic Spread, Electronic Spread Give-Up From, Electronic Spread Give-Up To • Electronic Trade, Electronic Trade Give-Up From, Electronic Trade Give-Up To • SUB Give-Up From, SUB Give-Up To • Spread, Spread Give-Up From, Spread Give-Up To • Substitution of Future for Forward

Field	Basic Search	Advanced Search	Description
			<ul style="list-style-type: none"> Trade, Trade Give-Up From, Trade Give-Up To
Customer Type Indicator (CTI)		√	<ul style="list-style-type: none"> CTI = Member trading for his/her own account. CTI 2 = Proprietary or house trading. CTI 3 = Member trading an account of another member. CTI 4 = Individual Trading for a customer account.
Type		√	<ul style="list-style-type: none"> M = Member F = Firm C = Customer
Account Number		√	<p>All – is the default selections which lets you search for <u>all</u> items.</p> <p>Equals – lets you enter the exact item that you want to search.</p> <p>Contains – lets you enter a string of numbers and/or letters and search for all items that contain that string.</p> <p>Ends With – lets you enter the last few numbers and/or letters of the item(s) that you want to search.</p> <p>Begins With – lets you enter the first few numbers and/or letters of the item(s) that you want to search.</p>
Broker ID		√	<p>Displays a listing of all the brokers for the trading exchange selected.</p> <p>All – lets you search for <u>all</u> items and is the default selection.</p> <p>Equals – lets you select the exact item you want to search for; the list is built based on the Trading Exchange ID selected.</p>
Commodity Code		√	Displays a listing of all the commodity codes for the trading exchange selected.
Fut/Opt Indicator		√	Futures or Options
Contract Date		√	<p>Year and Month in which the futures contract will expire.</p> <p>All – lets you search for <u>all</u> items and is the default selection.</p> <p>Equals – lets you select the exact item you want to search for.</p>
Quantity		√	<p>All – lets you search for <u>all</u> items and is the default selection.</p> <p>Equals – lets you select the exact item you want to search for.</p> <p>Greater Than – lets you enter a value and search for all items greater than that value.</p> <p>Less Than – lets you enter a value and search for all items less than that value.</p> <p>In Between – lets you enter a low and high number value, and search for all items between the values.</p>
Total Brokerage		√	<p>All – lets you search for <u>all</u> items and is the default selection.</p> <p>Equals – lets you select the exact item you want to</p>

Field	Basic Search	Advanced Search	Description
			search for. Greater Than – lets you enter a value and search for all items greater than that value. Less Than – lets you enter a value and search for all items less than that value. In Between – lets you enter a low and high number value, and search for all items between the values.
Date Range			
View	√	√	Rate types: <ul style="list-style-type: none"> • Current Rates • Adjustment Period Rates • Historical Rates
Rate Type		√	<ul style="list-style-type: none"> • M = Member • F = Firm • C = Customer
Tier Indicator		√	<ul style="list-style-type: none"> • Daily – Rate applied to all trades for a single trade day. • Monthly – Rate applied to all trades for the entire processing month.

13.0 Appendix III - Report Descriptions

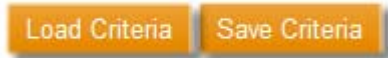
The main Reports are then broken down to further assist the User in identifying the best report to utilize. Following are descriptions of the Reports:

Report Category	Report Name	DESCRIPTION
Firm/Billing Group	Accumulated Transaction Detail	Trading firm report containing daily buy, sell and total quantities and resulting fee data aggregated to the Broker, Product, Account, CTI, Transaction Type, Rate Type, Trade Date, and Process date level. Grouped by broker.
	Broker Account Detail	Trading firm report containing daily total quantities and resulting brokerage, aggregated to the Account, Broker level. Grouped by broker.
	Account Broker Detail	Trading firm report containing daily total quantities and resulting brokerage, aggregated to the Broker, Account level. Grouped by account.
	Firm Monthly Broker Summary	Trading firm report containing daily total quantities and resulting brokerage. Grouped by payment month and Broker.
	Firm Brokerage Rates	Trading firm report containing all the firm's current rates, ordered from most-specific to least-specific. Note: When reading down the table the first match will be the rate charged.
	Firm Daily Trade Fee Calculation	Trading firm report containing the details of the Accumulated Transaction Detail report and indicating the specific rate key used to determine the brokerage. Grouped by broker within rate key.
	Firm Monthly Brokerage	Trading firm report containing the brokerage due and brokerage withheld for each broker who has brokerage due from the firm. Listed in broker order. It includes the firm total brokerage service charge.
	Firm Negative Brokerage	Trading firm report containing the Calculated Brokerage and Adjustments by Trading Firm or Broker. Grouped by banking cycle.
	Rejected Transaction	Trading firm report containing rejected transaction details and reason for rejection.
	Adjustments by Firm	Trading firm report containing detailed Adjustment information. Grouped by Trading Firm.
	Adjustments by Broker	Trading firm report containing detailed Adjustment information. Grouped by Broker ID.
	Tax Details by Billing Group	Trading Firm and Broker Group report containing Total Brokerage and Tax Adjustment information by Transaction Month. Group by Broker ID, Broker Group, Firm and Billing Group.
	Firm Monthly Broker Detail	Trading firm report containing Prior Balance, Calculated Brokerage, Adjustments and Total Brokerage for each banking cycle.
Broker/Broker Group	Broker Accumulated Transaction Detail	Broker group report containing detailed transaction data and rates applied. Grouped by Broker Group.
	Brokerage Details by Firm	Broker group report containing Total Brokerage, Service Charges, Lessee Brokerage, New Brokerage, Misc. Withholding & bank transfer amount. Grouped by Broker ID.

Report Category	Report Name	DESCRIPTION
	Broker Group Banking Details	Broker group report containing Total Brokerage, Non-Bank Amounts, Negative Brokerage and Withholding. Grouped by Trading Firm.
	Adjustments by Broker	Broker group report containing detailed Adjustment information. Grouped by Trading Firm and Broker ID.
	Broker Accumulated Transaction Summary	Broker group report containing summary transaction data and rates applied. Grouped by Broker Group.
	Broker Trade Detail Extract	Broker group report containing detail transaction data.

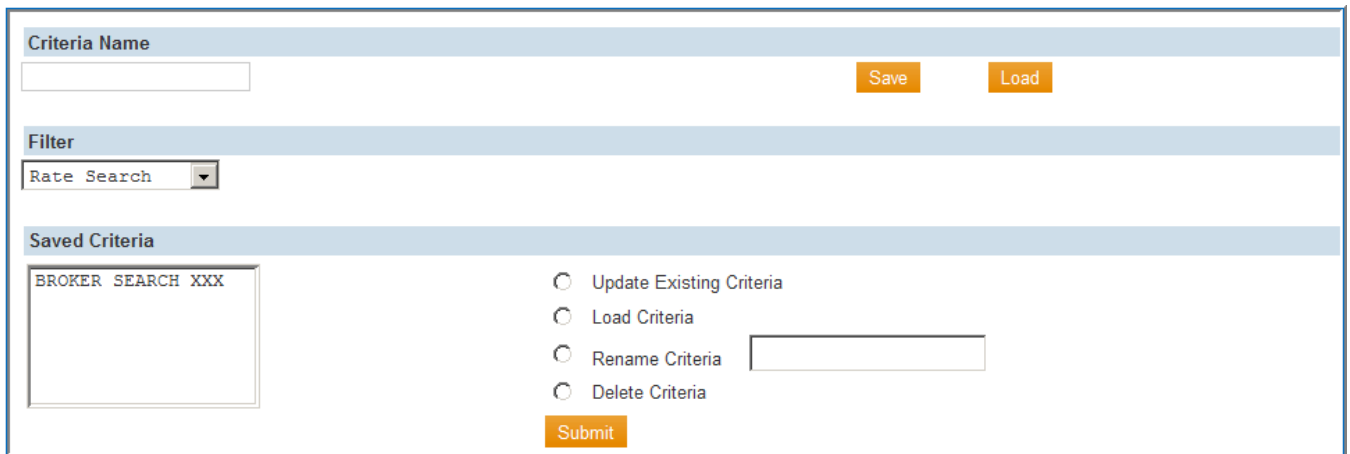
14.0 Appendix IV – Load Criteria and Save Criteria Buttons

The Search and Report screens have two additional buttons displayed allowing users to create and save predefined searches; then load the defined search for future usage.



- **Save Criteria**

1. Enter criteria information.
2. Click the **Save Criteria** button.
3. Enter a **criteria name** for the saved criteria.
4. Select filter **Rate Search** or **Report**.
5. Click the **Save** button. Confirmation message: Search Criteria has been created. The new criteria name will display in the Saved Criteria section.



- **Load Criteria**

1. Click **Load Criteria**. The 'My Criteria' screen will display.
2. Select a criteria name from the **Save Criteria** list.
3. Click the **Load Criteria** radio button.
4. Click the **Submit** button. Clicking the submit button will redirect you to the search screen with the saved criteria information populated.
5. Click **Search** to execute the loaded criteria information.

Note: The 'Saved Criteria' listings will change depending on the selected tab (Rates or Reports).

15.0 Appendix V - Navigation

There are multiple ways to navigate through your data. If you do not have more than one page of data, some of these options will not be available.

- **Show All** – selecting this hyperlink (located in the upper right-hand corner above the Search Results window) will change the display to show all transactions on one page. Use the scroll bar on the right of the browser window to scroll through the data.
- **Reset** – this hyperlink will appear after the **Show All** hyperlink has been selected. Use this to change the display back to show one page of data at a time.
- **Prev and Next** – selecting the previous or next hyperlinks displays the previous or next page of data.
- **Go to Page** – lets you enter a specific page number to view. To use this feature, type in a page number and click the “Go” button.
- **Set Page Length** – lets you select the number of rows of data you would like to see per page. To use this feature, type in a number and click the “Set” button.
- **1 2 3 4...** - selecting one of these hyperlinks will bring you to that specific page.
- **Sorting Columns** – You can sort the column data in ascending or descending order. Select the arrow next to the header of the column you would like to sort. Data can only be sorted by one column at a time.

Summarized Trades: CME Page 1 of 975 | 975 Rows | [Show All](#) | [Extract](#)

Go to Page:
Set Page Length:

1 2 3 4 5 6 7 8 9 10 ...

Trading Firm ID▲	Broker ID▶	Commodity Code▶	Quadrant▶	Sector▶	Trade Date▶	Contract Date▶	Fut/Opt Indicator▶	Account Number▶	Classification Code▶	CTI▶	Rate Type▶	Total Qty▶	Rate▶	Total Brokerage▶	Process Date▶	Buy Qty▶	Sell Qty▶	Vol Quote▶
999	XXX	SP	INDX	INDX	08-02-2011	201108	O		GUFM	4	C	-100	1.5	-150	08-02-2011	0	100	N



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