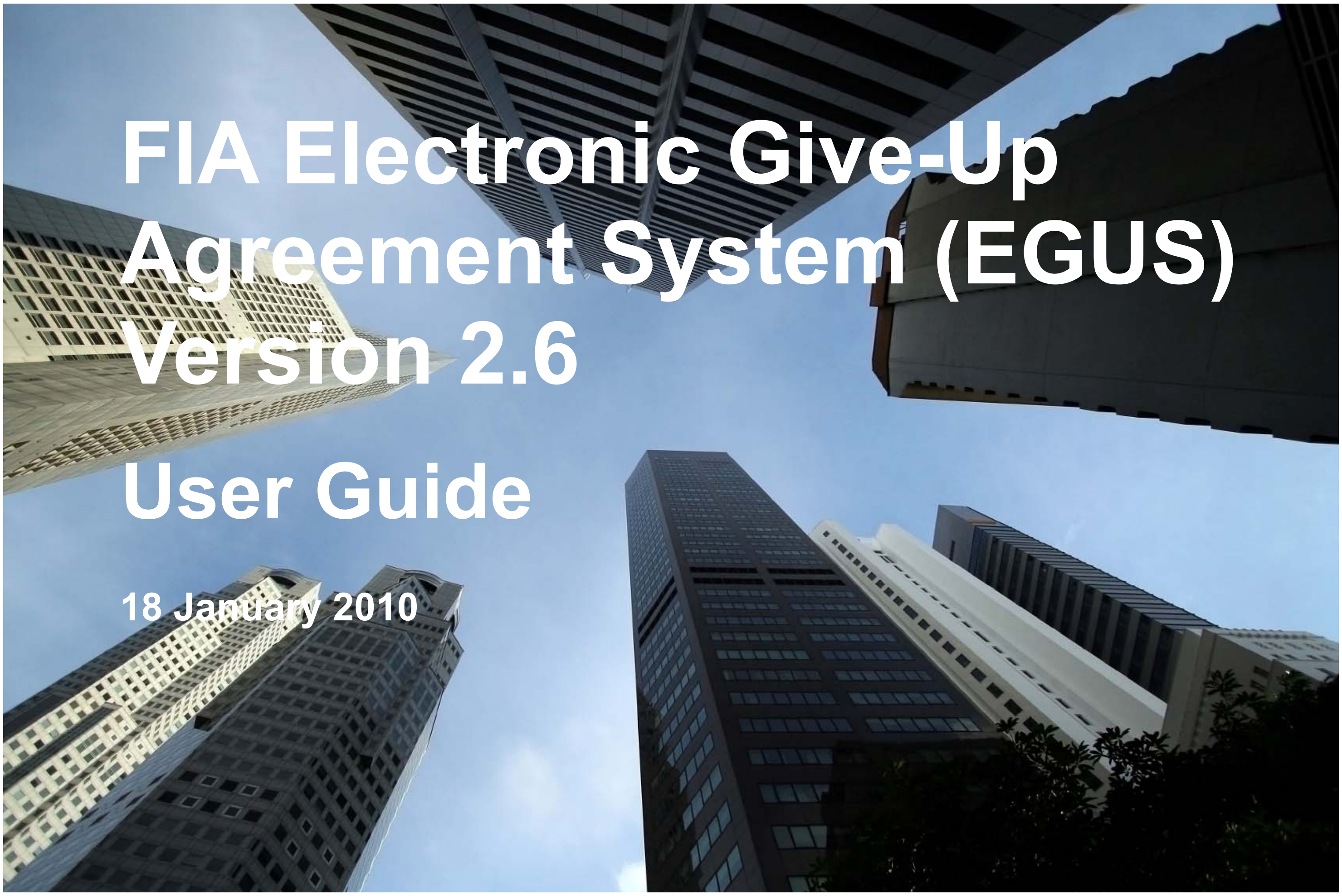

FIA Electronic Give-Up Agreement System (EGUS) Version 2.6

User Guide

18 January 2010

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Table of Contents

Chapter 1 Overview

Welcome to the FIA Electronic Give-Up Agreement System (EGUS). This section provides an overview of the system and the primary functions.

1.1 System Overview

The Electronic Give-Up Agreement System or EGUS provides participating Futures Industry institutions with the ability to electronically initiate, execute, and store executed Futures Industry Association (FIA) uniform standard give-up agreements for their institutions. Only institutions who have signed the FIA Tech User Agreement can use EGUS. The User Agreement, signed by participating institutions on behalf of the underlying entities (parties), provides EGUS the ability for electronic approvals to replace actually signing each agreement.

EGUS users can initiate an agreement, select from a list of standard agreements, and route the agreement to the designated counterparties for review and approval. Users can monitor the progress of the agreement as the counterparties review the agreement. EGUS sends agreement workflow alerts to users via Markit Connex (or email for non-Connex users). These alerts are sent to the relevant users at each party at key points in the workflow process (e.g. when an agreement is ready to review, ready for approval, approved by a party, executed, terminated, amended/versioned, etc.) A Connex Forum is opened for each agreement when the initiating party sends the agreement to all parties on the agreement for review. Forums allow users to track the progress of an agreement, e.g. from initiation to execution, and any subsequent actions including amendment/versioning and termination.

Each party has access to contact information for the counterparties on an agreement. Each party can search the EGUS database for agreements on which they are a named counterparty.

1.2 Primary User Functions

The primary user functions in EGUS include the following:

- Initiate an Agreement
- Initiate a New Version of an Existing Agreement
- Copy an Agreement
- Customize Agreement Text
- Manage Accounts and Rates for an Agreement
- View / Manage an Agreement
- View Actions for an Agreement
- Manage My Queue
- Search Agreements
- Review an Agreement
- Approve an Agreement (and Recall Approval)
- Maintain Rate Schedules for your Institution / Party Library
- Upload a Legacy Agreement

Instructions for how to use these functions are provided in the EGUS online help and user documentation.

1.3 Terminology

It is helpful to understand the following terms when using the FIA Electronic Give-Up Agreement System (EGUS):

Agreement – An electronic give-up agreement that can be initiated in EGUS or uploaded in a PDF file (aka, legacy agreement) and tagged for saving and easy retrieval in EGUS.

Rate Schedule – A set of rates that can be defined and saved in EGUS using the Maintain Rate Schedule Library option. In EGUS, you define rates using a structure of Exchange, Product Type, and Product – you can also set up blanket rate schedules for all Exchanges, selected Exchanges, and selected Product Types for an Exchange. You can attach rate schedules to an EGUS-generated agreement or an uploaded legacy agreement, and you can attach them by copying from an existing agreement, attaching an EGUS-generated rate schedule from your library, or attaching a rate schedule in a PDF file.

Institution – An entity or organization with associated parties and contacts in EGUS.

Party – A Broker, Trader, or Customer organization that can be added to an EGUS Agreement. Each party is associated with an institution. This term is equivalent to counterparty on a Give-Up Agreement.

Contact – A person who is a associated with an EGUS institution and can be assigned as a Documentation Contact, Billing Contact, and an EGUS user with permissions to perform workflow actions on behalf of various parties within an institution. Contacts log in to EGUS to review Agreements and assign parties to Agreements.

User (i.e. Contact) Roles:

Approver – An EGUS user with permission to approve Agreements that have been submitted for designated parties.

Processor – An EGUS user with permission for designated parties to create and modify Agreements for those parties in preparation for approval and execution.

Reader – An EGUS user with read-only privileges for designated parties. Readers can not create, modify, or approve Agreements.

Maintain Rate Schedules – An EGUS user who can add, update, and delete rate schedule for designated parties.

➲ **NOTE**: A user can have more than one role. See section 3.2 for a description of all user permissions. At least one user is also designated as the Institution Administrator for EGUS at your firm; this person is referred to as your EGUS Firm Administrator.

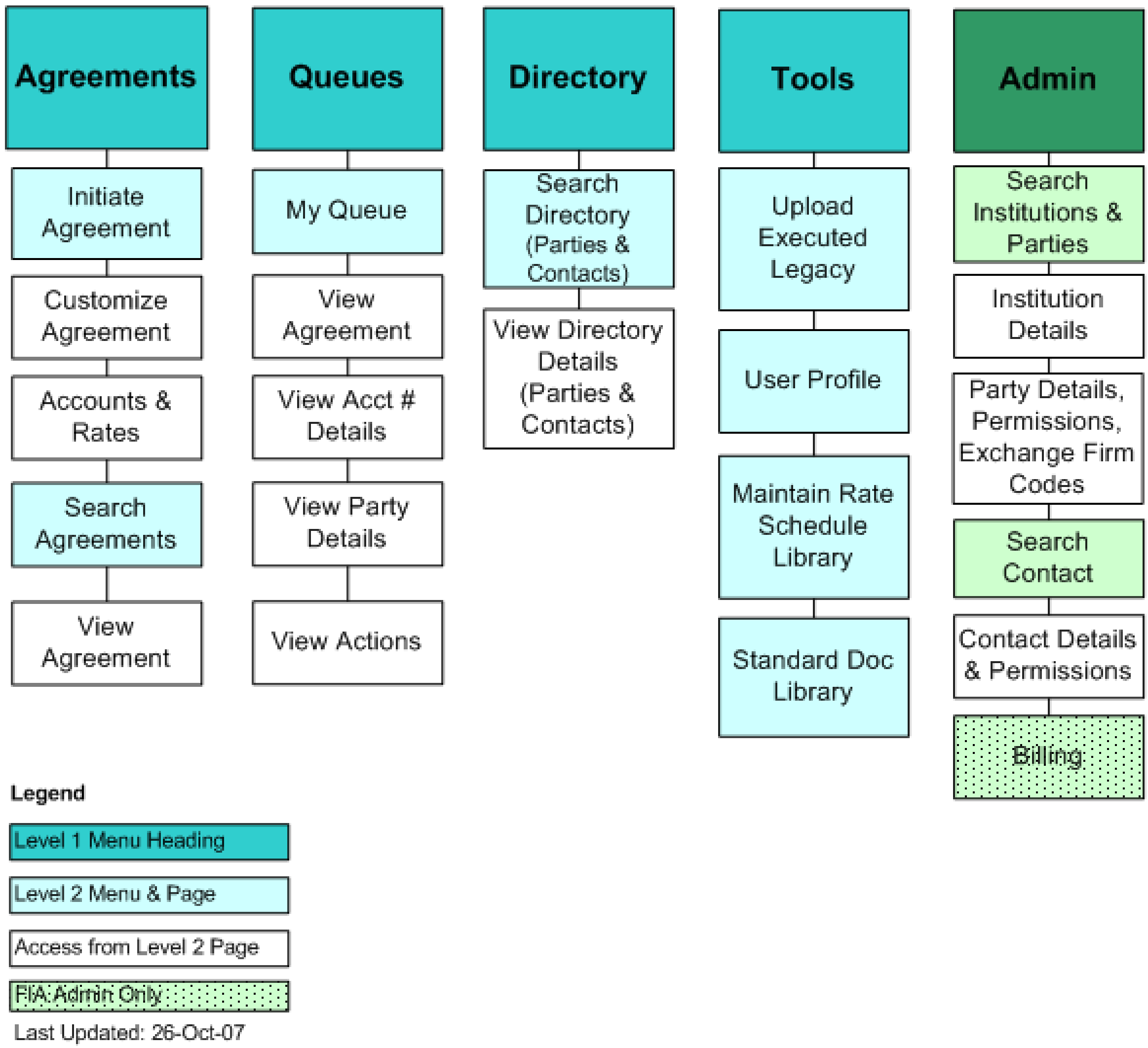
Queue – A collection of Agreements waiting for reviewer action. EGUS queues include: All, In Progress, Review, Approval, Executed, Stale, and Terminated.

Directory – A permission-based search function allowing users to look up institutions, parties, and contacts and their information in EGUS.

Visibility – Refers to whether brokers can view customer or trader parties and their information and add them to agreements.

Chapter 2 Site Map

The following diagram provides a map to the pages in EGUS.



Chapter 3 Get Started

The Get Started section tells you what you need to know to start using FIA EGUS for managing and executing Give-Up Agreements and using Markit Connex for EGUS Agreement Forums, instant alerts, and instant messaging, and includes the following topics:

- EGUS / Connex User Account
- EGUS Permissions
- Get Connex
- Log in to Connex
- Log in to EGUS

3.1 EGUS / Connex User Account

You request user accounts (i.e. username and password) and permissions from your EGUS Firm Administrator.

3.1.1 Connex - EGUS Users

If your firm already uses Markit Connex, your username and password will be the same as your Connex username and password – allowing you to only log in once to Connex and then log in to EGUS with just a click from Connex.

3.1.2 EGUS Only Users

If your firm does not use Markit Connex and you do not plan to use it, your EGUS username will be your firm email address. Your EGUS Firm Administrator will give you a temporary password that you must then change to a password of your choice when you log in to EGUS for the first time.

3.1.3 Forgot Username or Password

If you forget your username, contact your EGUS Firm Administrator or Markit Support for assistance.

If you forget your password, use the Forgot Password option on the EGUS Login page or contact your EGUS Firm Administrator and request a temporary password.

3.1.4 Reset Password

You can reset your password anytime using the **Reset Password** button on the EGUS **Tools** > **User Profile** page.

3.2 EGUS Permissions

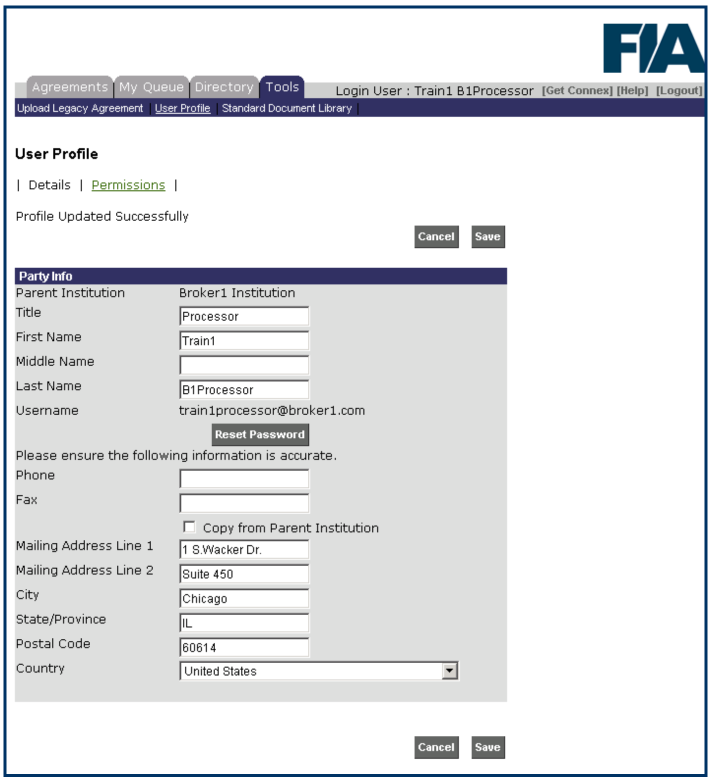
EGUS Firm Administrators assign EGUS users permissions or roles to view or perform workflow actions for each party at their institution. Permissions also include setting whether a user receives or does not receive alerts. The following table describes each EGUS permission or role.

Permission / Role	Description
Readers	Only view (as restricted by visibility rules) Give-Up Agreements and use the Directory for parties where the user is assigned this permission
Processors	Initiate, view, and manage the workflow for Give-Up Agreements and use the Directory – they can perform all EGUS actions, except approving and terminating agreements for parties where the user is assigned this permission

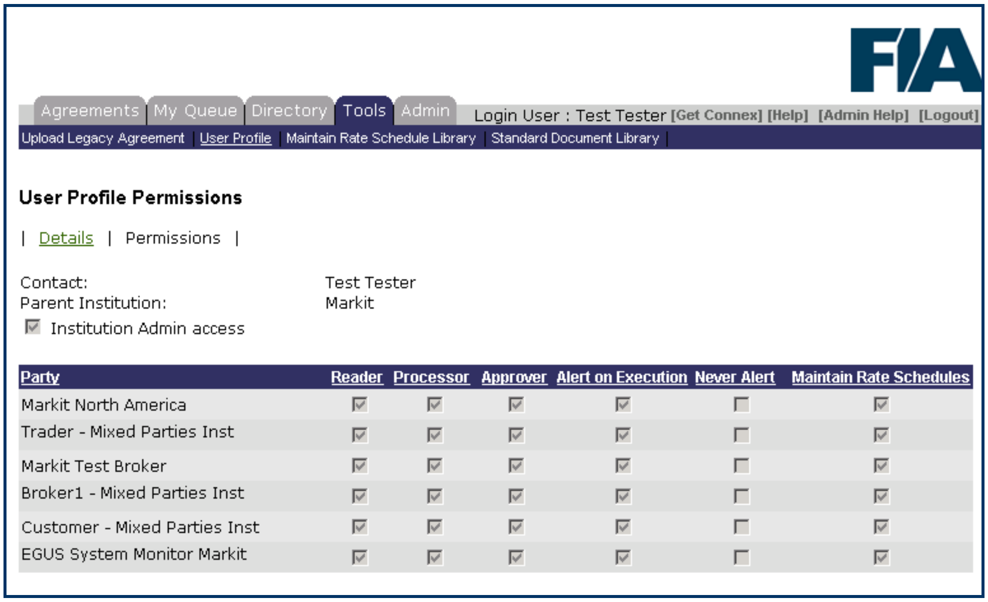
Permission / Role	Description
Approvers	View, approve, and terminate Give-Up Agreements and use the Directory for parties where the user is assigned this permission
Alert on Execution	Alert when an agreement is executed for parties where the user is assigned this permission
Never Alert	Never alert for parties where the user is assigned this permission. Note that this permission ensures that this contact / user is not added to any new forums, does not receive any email messages, and is removed from all existing forums even for agreements in progress for indicated parties
Maintain Rate Schedules	View, update, and delete Rate Schedules for parties where the user is assigned this permission

3.2.1 View Your Permissions

☑ Select **Tools** > **User Profile**. The User Profile page displays as follows.



☑ Select **Permissions**. The User Profile Permissions page displays as view only, as shown below. Each permission is represented by a checkbox in a Permission column for each party in your institution. If you are an EGUS Firm Administrator for your organization, the Institution Admin Access checkbox is selected.



➲ **NOTE**: Only your EGUS Firm Administrator can change your permissions.

3.3 About Connex

If your firm does not already use Markit Connex for instant alerts and instant messaging and you are an EGUS user, you can download and use Markit Connex—it is bundled free of charge for EGUS users. As an EGUS user, you get all of the traditional features of Connex and the built-in EGUS workflow features, such as:

- Automatic Forums created when an agreement is sent to review.
- Instant alerts for all major agreement workflow actions, such as when an agreement is sent to review, rates are modified, agreement text is modified, agreement comments are added, agreements are executed or terminated, etc.
- Ability to look up and send instant messages to over 160,000 finance professionals at firms across the globe.
- Ability to create your own Forums and invite other Connex and EGUS users to join them.
- Ability to invite other financial professionals to use Connex so you can expand your messaging circle.

3.3.1 Get Connex

To download and install Connex for EGUS users:

☑ Log in to EGUS and click **Get Connex** on the EGUS main menu bar

-OR-

Access https://www.markit.com/connex/directDownload and then enter your EGUS username and password.

☑ Follow instructions to download and install Connex.

3.4 Log In to Markit Connex

To log in to Markit Connex:

☑ Open **Markit Connex** on your desktop. The Markit Connex Login pop-up window displays, as shown below.

☑ Enter your Connex or EGUS username in the **User name** field.

☑ Enter your Connex or EGUS password in the **Password** field.

☑ Click **Login**. Your Markit Connex pop-up window displays and you are logged in to Connex.

☑ Log in to EGUS quickly from Connex with just two clicks – select **FIA EGUS** in the panel on the left side of the Connex window, and then click the **Click here to automatically log in to FIA EGUS** link (see full instructions in the Log in to EGUS from Connex topic).

3.4.1 Download the Markit Connex Quick Start Guide

For a quick overview to help you get started using Markit Connex, download and read the *Markit Connex Quick Start* guide.

To download the *Markit Connex Quick Start*:

☑ Log in to Connex (see instructions in the Log in to Markit Connex topic).

☑ Select **Support** > **Quick Start**. A Windows File Download dialog box opens.

☑ Click **Open**. The *Markit Connex Quick Start* guide opens in an Adobe PDF window. You can read, print, or save it from this window.

3.5 Log In to EGUS

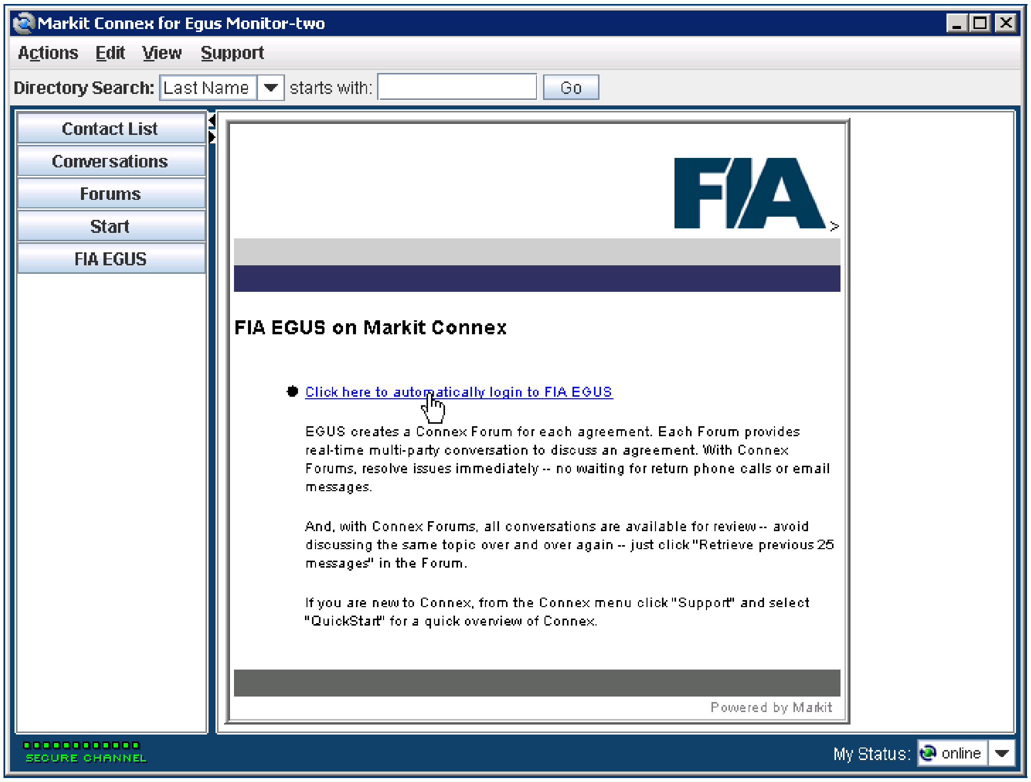
You can log in to EGUS directly from Markit Connex. If you are not using Markit Connex or have not installed it yet, you can log in to EGUS from the FIA EGUS home page on the Internet.

3.5.1 Log in to EGUS from Markit Connex

Once you log in to Connex, you can log in to EGUS with just two clicks. This time-saving feature allows you to log in only once—to Connex (and you do not need to log in to both Connex and EGUS).

☑ Log in to Connex (see instructions in the Log in to Markit Connex topic).

☑ Click the FIA EGUS button on the lower left side of the Markit Connex window. The *FIA EGUS on Markit Connex* panel displays, as shown in the following example.



☑ Click the link labeled **Click here to automatically login to FIA EGUS**. The FIA EGUS system window opens to the My Queue page for your agreements, and you are logged in to EGUS, ready to view and manage agreements (based on your permissions). Note that the My Queue page is the default home page for EGUS workflow users (to find out more about the My Queue page, see the My Queue topic).

3.5.2 Log in to EGUS from the FIA EGUS Home Page

➲ **TIP**: If you use Markit Connex and EGUS, you can log in to Connex first and then automatically log into EGUS from Connex using just two clicks. For instructions, see the *Log in to EGUS from Markit Connex* topic.

To log in to EGUS from the FIA EGUS home page:

☑ Access FIA EGUS at https://fiaegus.markit.com/. The FIA EGUS Login page displays, as shown below.

☑ Enter your Connex / EGUS username in the **Username** field.

☑ Enter your Connex / EGUS password in the **Password** field.

☑ Click **Login**. The FIA EGUS My Queue page displays. The My Queue page is the default home page for EGUS workflow users (find out more about the My Queue page in Chapter 13).

Chapter 4 Initiate a New Agreement

Use the Initiate Agreements option to create a new agreement. You can initiate a new agreement using a standard agreement or copy a saved agreement, or you can create a new version of an existing agreement. This section describes how to create a new agreement; see the instructions below to version an existing executed agreement.

➲ **NOTE**: You can also view or modify the information on this page for a saved agreement (based on permissions and agreement status).

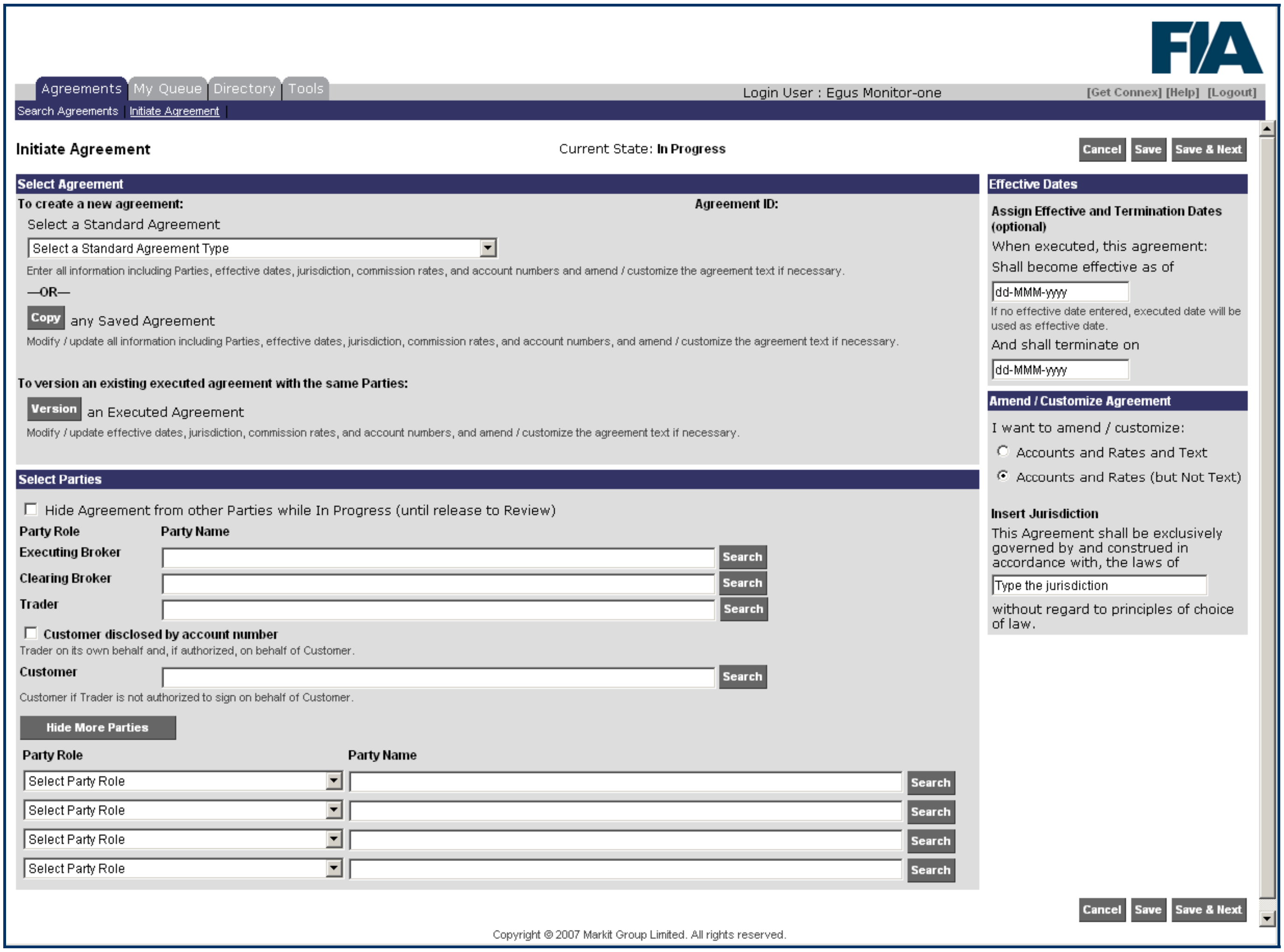
The Agreement creation process comprises the following steps:

1. Create the agreement by selecting an agreement type and the names of the parties involved. Insert effective and termination dates.
2. Edit any desired text or paragraphs.
3. Set the account and rate information.
4. Submit the Agreement for review by the other parties named.

4.1 Access Initiate Agreements Page

☑ Click **Agreements**, **Initiate Agreements**. The Initiate Agreement page displays as follows.

➲ **HINT**: To access this page for a saved agreement, look up the agreement you want on the My Queue page (or the Search Agreements page). Click **Agreement ID**. The View / Manage Agreement page displays. Under **ID and Dates**, click **Edit**. The Initiate Agreement page displays.



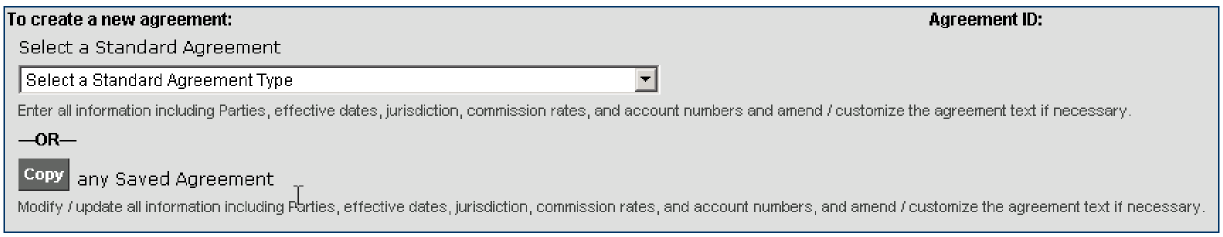
4.2 Select Starting Agreement

Select Parties in the Select Parties panel at the top of the Initiate Agreement page. You can start a new agreement based on a standard agreement or you can copy a customized saved agreement.

➲ **NOTE**: To initiate a new version of an *existing* agreement, e.g. to update the terms of the agreement, change the rates, etc., use the version option (i.e. the third option in the Select Parties panel).

☑ Select one of the following from which to start your new agreement:

- A standard agreement – As shown the following graphic, under **Select a Standard Agreement**, select a standard agreement type from the drop-down list.
- An already saved agreement – Click **Copy** any Saved Agreement (see below for example). The Search Agreement page displays. Search for and select the agreement you want to use to start this new agreement. The data for the agreement displays including the Agreement Type, and if applicable, the agreement Parties, Effective and/or Termination Dates, and Jurisdiction.



4.3 Select Parties

Next, select parties in the Select Parties panel below the Select Agreement area on the Initiate Agreement page. You can select the standard parties and up to four additional parties using the More Parties button. If you started with an already saved agreement, the existing parties display. You can change or accept any existing parties or add new parties (up to eight total parties).

4.3.1 Select Your "Acting As" Party for Agreement

☑ If you have permission to initiate agreements (i.e. Processor permission) for more than one party on this agreement, you must select the **Clearing Broker**, **Executing Broker**, **Trader**, or **Custome**r radio button to indicate which party you are acting as for this agreement.

4.3.2 Switch Party Type for Visibility

☑ If you have Processor permission for Broker and Customer/Trader parties, click **Switch to Broker** or **Switch to Customer/Trader** button at the top of the page to indicate which party type you want EGUS to use as your current party type.

4.3.3 Hide an Agreement while In Progress

Initiating Processors can hide an agreement from users at other parties on the agreement while it is in progress.

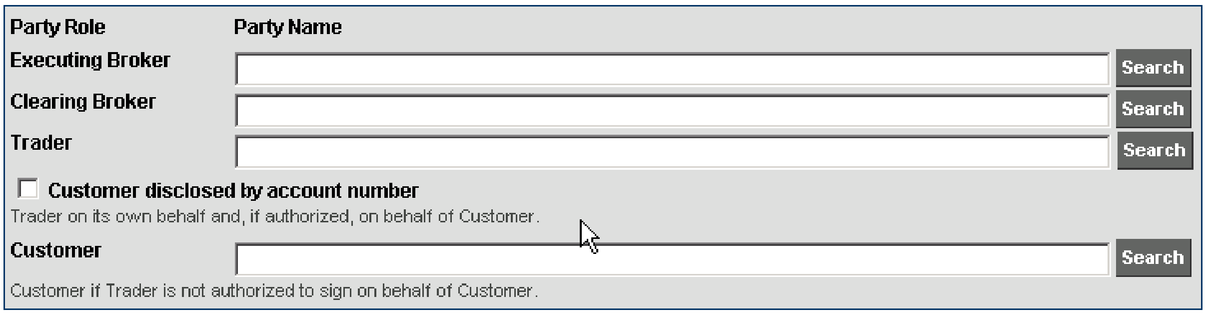
☑ Select the **Hide agreement while In Progress (until release to Review)** checkbox.

➲ **NOTE**: Initiating Processors can de-select this checkbox at any time so all parties can view the agreement while it is In Progress.

4.3.4 Select Standard Parties (Executing Broker / Dlr, Clearing Broker, Trader, Customer)

➲ **IMPORTANT NOTE**: Party Type is a key attribute for EGUS Parties (i.e. counterparties on EGUS Agreements. The valid Party Types are Customer, Trader, or Broker. A party can either be a Customer, a Trader, a Broker, or both a Customer and a Trader. When you search in EGUS for a party in a particular Party Role (e.g. Executing Broker, Clearing Broker, Trader, or Customer) to add the party to an agreement, only the parties of the relevant type are retrieved for that Party Role on the Select Party window. So, if you are adding an Executing Broker to an agreement, only the Broker Parties display for all searches; if you are adding a Customer, only Customer Parties (for which your party has been granted visibility) display; etc.

The following graphic shows the standard party fields – an agreement must include at least an Executing Broker, a Clearing Broker, and a Trader or a Customer.



☑ Click **Search** for the Party Role you want to enter. The **Select Party** pop-up window opens as shown below.

➲ **HINT**: Type a start of your search criteria in the Party Name field for the Party Role you are entering and then click the Search button. (EGUS performs a party search automatically using the search criteria you entered and you do not have to select the Party radio button or click Search on the pop-up.)

☑ Search for the party you want to add to this agreement. You may also search by institution and view its parties by clicking the institution's ▶▶ button. The search results display in the Party table at the right.

☑ Scroll through the list to find the party you want.

☑ Select a Party by clicking the **Select Party** radio button to the right of the Party Name you want as shown in the following example.

☑ Click **Add Selected Party to Agreement**.

➲ **NOTE**: You can also select **Cancel** to return to the Agreement without adding a Party. If you can not find the party you want, select **Party Not Found** to send a request to the FIA administrator to add the party—you must provide a complete description of the party for which you are looking.

☑ The Party Name displays in the selected **Party Name** field on the Initiate Agreement page.

☑ Repeat for each standard party you want to add (Executing Broker, Clearing Broker, Trader, and Customer).

➲ **NOTE**: If the Trader is disclosing the Customer by account number, select the **Customer disclosed by account number** checkbox. The text "Customer disclosed by account number" displays in the Customer Party Name field. (Deselect the checkbox to remove the text and enter a Customer name.)

4.3.5 Select More Parties (e.g. LME Executing Broker, Carrying Broker, etc.)

☑ If additional Party fields do not already display, click **Show More Parties**.

☑ Click in a **Party Role** drop-down and select the additional party role you want to add to this agreement.

☑ Click the **Search** button corresponding to the selected party role. The **Select Party** pop-up window opens as shown on the previous page.

☑ Search for the party you want to add to this agreement. You can also search by institution and view its parties by clicking the institution's ▶▶ button. The search results display in the Party table at the right.

☑ Scroll through the list to find the party you want.

☑ Select a Party by clicking the **Select Party** radio button to the right of the Party Name as shown in the following graphic.

☑ Click **Add Selected Party to Agreement**.

➲ **NOTE**: You can also select **Cancel** to return to the Agreement without adding a Party. If you can not find the party you want, select **Party Not Found** to send a request to the FIA administrator to add the party—you must provide a complete description of the party for which you are looking.

☑ The party name you selected displays in the appropriate **Party Name** field on the Initiate Agreement page.

☑ Repeat for each additional non-standard party you want to add.

➲ **NOTE**: To change a non-standard party, click in the **Party Role** drop-down list box and select the new desired party role. To remove an additional party, select the “Select Party Role” option.

➲ **NOTE**: To delete party names you want to remove from this agreement, click in and delete the name from the **Party Name** field.

4.4 Assign Effective and Termination Dates

Optionally, you can enter an agreement effective and/or termination date or change or remove existing effective and/or termination dates as desired. In the **Effective Dates** panel at the top right side of the page (as shown in the example below), do the following:

☑ Click in the **Effective Date** field and type effective date for this agreement using the standard format, e.g. 02-Feb-2007. (Or, click in the field and delete the existing date.)

☑ Click in the **Termination Date** field and type termination date for this agreement using the standard format. (Or, click in the field and delete the existing date.)

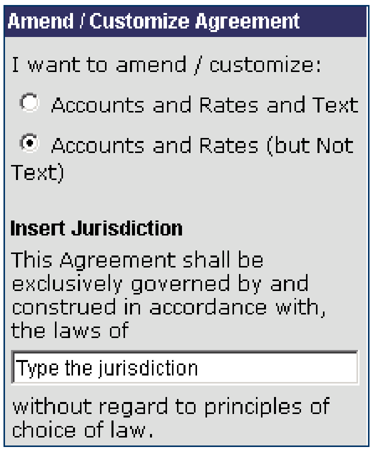
➲ **NOTE**: If you do not enter an Effective Date for an agreement, the system automatically uses the date the final party approves the agreement as the agreement Effective and Execution Dates. If you do not enter a Termination Date for an agreement, the system automatically leaves the Termination Date blank so the agreement is open-ended. EGUS automatically assigns a Termination Date to an executed agreement when it is amended (i.e. a new version is initiated).

4.5 Amend / Customize Agreement

The options in the Amend / Customize Agreement panel on the Initiate Agreement page (as shown in the example below), allow you to choose:

- Not to customize the agreement text (i.e. skip the Customize Agreement Text page / step) and go directly to the Accounts & Rates page to add rates, or
- To customize the agreement text on the Customize Agreement Text page first, and then add rates on the Accounts & Rates page.

You can also enter the agreement jurisdiction in this panel. This option allows you to skip the customize agreement text step if jurisdiction is the only amendment you need to make to the agreement text.



4.5.1 Customize Agreement Text and Accounts and Rates

☑ Select the **Accounts and Rates and Text** radio button.

4.5.2 Customize Only Accounts and Rates (but Not Text)

☑ Select the **Accounts and Rates (but not Text)** radio button.

4.5.3 Amend the Agreement Jurisdiction

☑ In the **Insert Jurisdiction** field, type the jurisdiction exactly as you want it to be inserted in the agreement text.

4.6 Save the Agreement

☑ Click **Save** to save your In Progress agreement and stay on this page. You can then move to another page and return to this agreement with all current information saved. The Agreement ID displays.

☑ Click **Save & Next** to save your In Progress agreement and move to the next page of the Initiate Agreement process. If you selected to amend / customize:

- Accounts and Rates and Text, the Customize Agreement page displays. See Customize Agreement Text for details.
- Accounts and Rates (but not Text), the Accounts and Rates page displays. See Manage Accounts and Rates for details.

➲ **NOTE**: Click **Cancel** to not save (any information entered since the last save on this page) and display the previous page.

Chapter 5 Initiate a New Version of an Existing Agreement

Create a new version of an existing agreement if you want to modify or update an executed agreement's effective dates, jurisdiction, commission rates, and/or account numbers, and/or amend / customize the agreement text as necessary. The steps for versioning an agreement are similar to those for initiating a new agreement (see the Initiate a New Agreement section); however, you can modify only selected information.

To create a new version of an existing executed agreement, follow these steps:

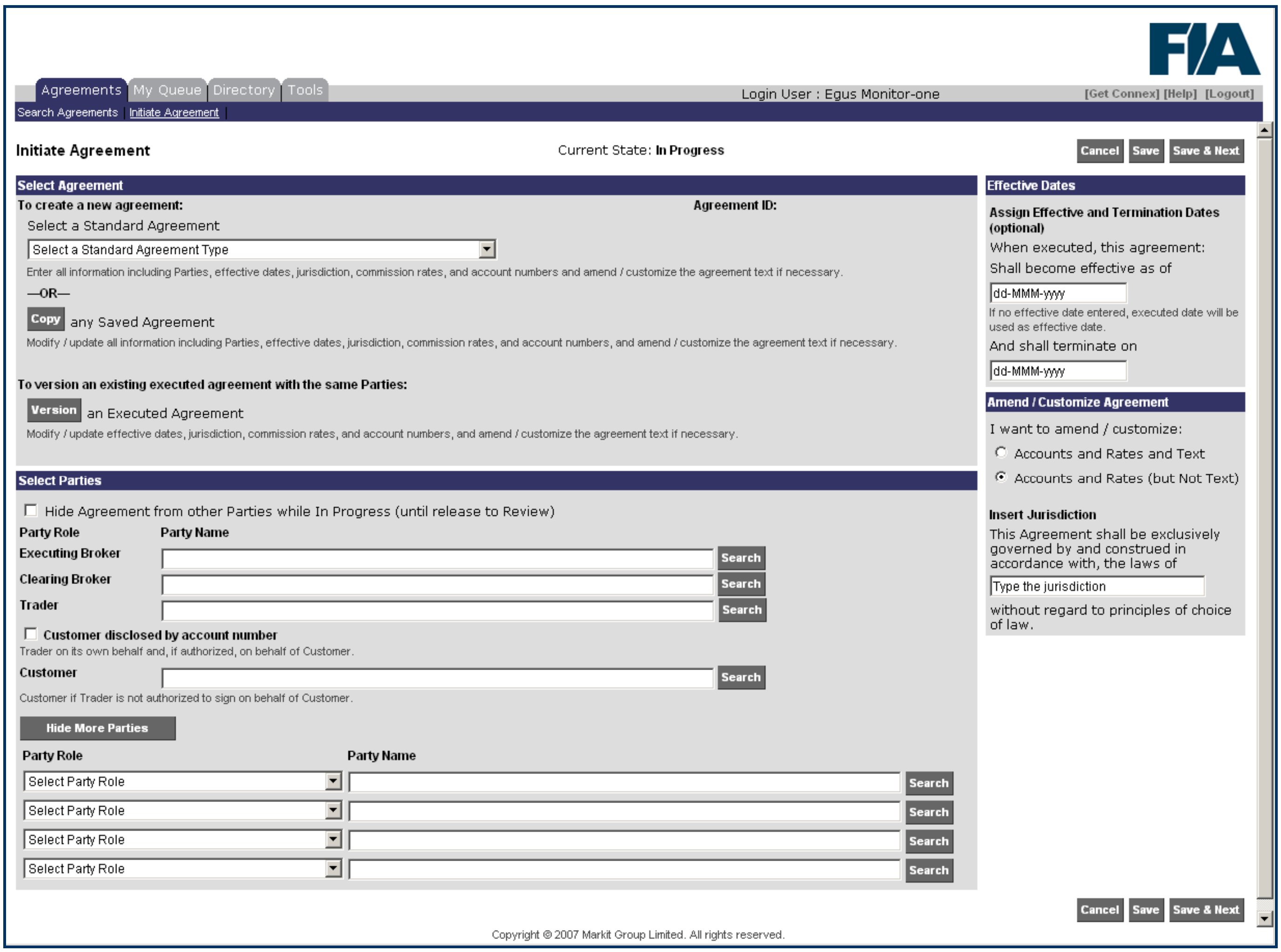
5.1 Access the Initiate Agreements Page to Version an Agreement

☑ Click **Agreements**, **Initiate Agreement** on the EGUS menu bar.

-OR-

Look up and select the agreement you want to version on the My Queue or Search Agreements page, and then, on the View / Manage Agreements page, click **Initiate New Version**.

The Initiate Agreement page displays, as shown below. If you accessed this page from the View / Manage Agreement page, the information from the agreement you selected displays here and you can skip the next topic – Select an Executed Agreement to Version.



5.2 Select an Executed Agreement to Version

➲ **NOTE**: If you accessed the Initiate Agreement page by clicking **Initiate New Version** for a selected agreement on the View / Manage Agreements page, this information already displays so you can skip this step.

In the Select Agreement panel at the top of the Initiate Agreement page:

☑ Under **To version an executed agreement with the same parties**, click **Version** an Executed Agreement. The Search Agreement pop-up window displays.

☑ Search for and select the executed agreement you want to version. The Agreement ID and type you selected and (as applicable) the agreement Parties, Effective and/or Termination Dates, and Jurisdiction display on the Initiate Agreement page.

5.3 Select Parties

When versioning an agreement, you can not change or add parties or change party roles for parties.

5.4 Assign Effective and Termination Dates

When versioning an agreement:

- If the previous agreement does not have a termination date already entered, the system automatically terminates the previous agreement as of yesterday's date and enters today's date as the effective date for the new agreement.
- If the previous agreement already has a termination date entered, the system retains that date and uses that date plus one day as the effective date for the new agreement.

5.5 Amend / Customize Agreement

The options in the Amend / Customize Agreement panel on the Initiate Agreement page, allow you to choose:

- Not to customize the agreement text (i.e. skip the Customize Agreement Text page / step) and go directly to the Accounts & Rates page to add rates, or
- To customize the agreement text on the Customize Agreement Text page first, and then add rates on the Accounts & Rates page.

You can also enter the jurisdiction in this panel. This option allows you to skip the customize agreement text step if jurisdiction is the only amendment you need to make to the agreement text.

5.5.1 Customize Agreement Text, Accounts, and Rates

☑ Access the Initiate Agreement page – either by clicking on **Agreements** > **Initiate Agreement** or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page

☑ Select the **Accounts and Rates and Text** radio button on the Initiate Agreement page.

5.5.2 Customize Only Accounts and Rates

☑ Select the **Accounts and Rates (but not Text)** radio button on the Initiate Agreement page.

5.5.3 Amend the Agreement Jurisdiction

☑ In the **Insert Jurisdiction** field, type the jurisdiction you want to be automatically inserted in the appropriate paragraph of the agreement.

5.6 Save the Versioned Agreement

☑ Click **Save** to save your In Progress agreement and stay on this page. You can then move to another page and return to this agreement with all current information saved. The Agreement ID displays.

☑ Click **Save & Next** to save your In Progress agreement and move to the next page of the Initiate Agreement process.

If you selected the following amend / customize in the last panel on the page:

- **Accounts and Rates and Text**, the Customize Agreement page displays. See Customize Agreement Text for details.
- **Accounts and Rates (but not Text)**, the Accounts and Rates page displays. See Manage Accounts and Rates for details.

➲ **NOTE**: Click **Cancel** to not save (any information entered since the last save on this page) and display the previous page.

Chapter 6 Customize Agreement Text

Once an agreement is In Progress, only Processors for the Party that initiated or created the Agreement, i.e. Initiating Party Processors, can customize text using the Customize Agreement Text page. The Customize Agreement Text page is accessed either as part of the Initiate Agreement workflow or using the Agreement panel **Edit** button on the View / Manage Agreement page.

Users at other parties, i.e. non-Initiating Party Processors, can review the text and request changes using the following methods:

- Use the Add Paragraph Comments button to submit comments or requested changes for specific paragraphs on the Review & Comment on Agreement Text page (to access this page, select the Review & Comment on Agreement Text button on the View / Manage Agreement page).
- Use the Add Comments button on the View / Manage Agreement page.
- Use the Request Changes button on the View / Manage Agreement page.
- Send requests or discuss change requests using the Connex Forum for an agreement.

The Initiating Party Processor reviews the comments and text change requests from all parties and implements any agreed upon changes. This process continues back and forth between the Initiating Party Processor and the other parties' users until all parties are satisfied with the agreement text and are ready to send to their reviewers.

On the Customize Agreement Text page, the Initiating Party Processors for the Agreement can perform the following actions for each paragraph in the agreement:

- Substitute a custom paragraph from their institution's private library or the public library for any paragraph in the agreement
- Edit standard agreement text or previously customized text
- Save a customized paragraph to their institution's private library or the public library
- Add a new paragraph at the end of the agreement
- Delete a paragraph
- Restore a deleted paragraph
- Review comments or requests for revisions from other parties regarding the agreement text

➲ **NOTE**: Only the party that created the agreement, i.e. the initiating party Processors, can edit an agreement. Processors for all other parties can *request* that the initiating party customize the text using the **Review Agreement Text** button on the View/Manage Agreement page.

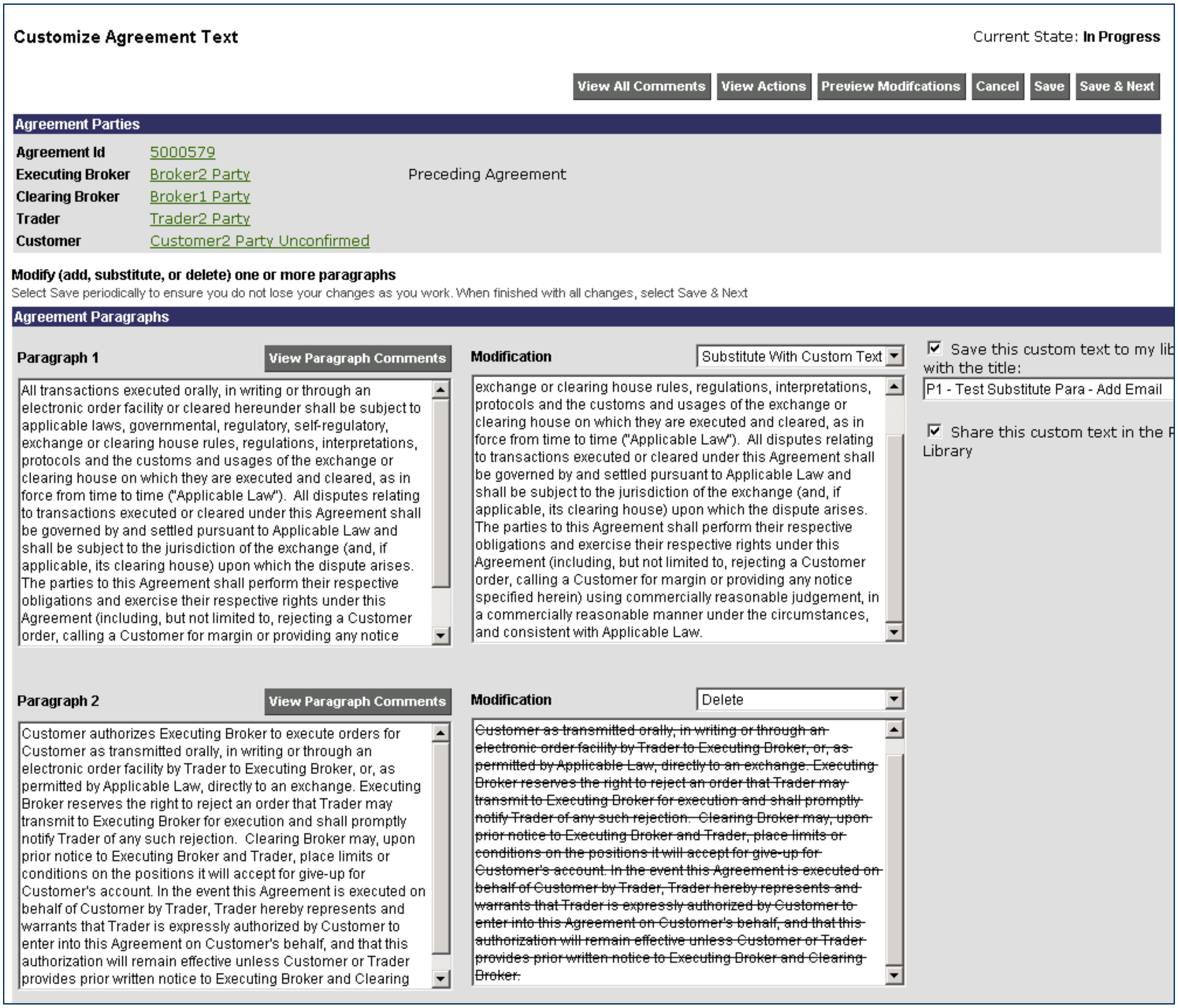
6.1 Access the Customize Agreement Text Page

For only Processors for the Initiating Party for the agreement, to access the Customize Agreement Text page, use one of the following methods:

☑ Access the page automatically as part of the Initiate Agreement process.

☑ On the main menu, select **My Queue** or **Agreements**, **Search Agreements**. The My Queue or Search Agreements page displays. Search for the desired agreement and click the **Agreement ID** in the results list. The View / Manage Agreement page displays with the information for that agreement. On the View Agreement panel, click **Edit.**

The Customize Agreement Text page displays as follows.



All Parties for the current agreement display at the top of the page, followed by the Agreement paragraphs. Use the **Modification** drop-down list options and text box to make changes. The Customize Agreement Text topics provide instructions for how to use the Modification options.

6.2 Customize Agreement Text

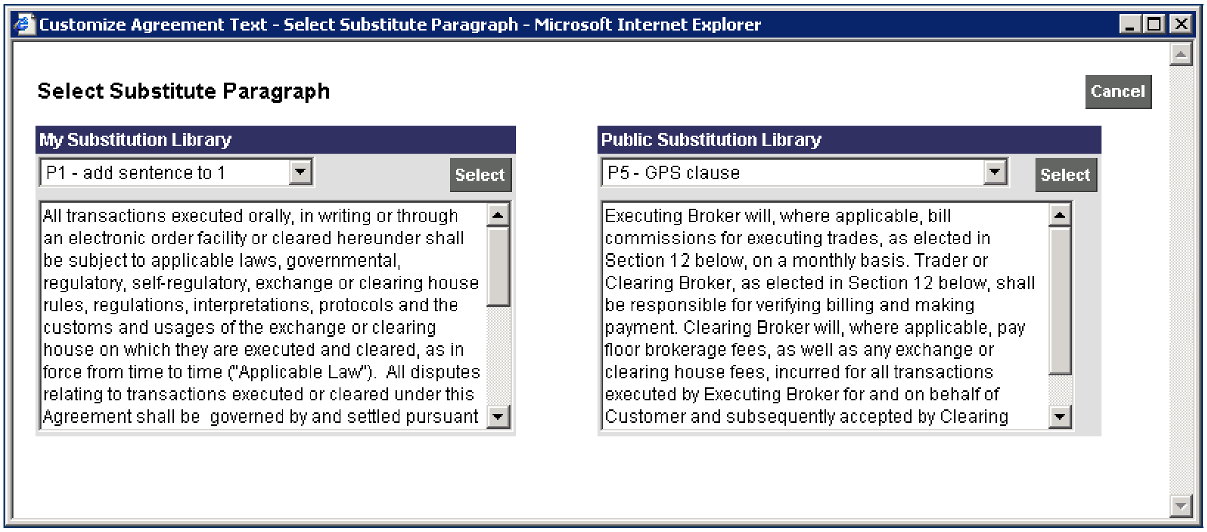
On the Customize Agreement Text page, the following **Modification** options are available for customizing each individual paragraph of the agreement text:

- Substitute from Library
- Substitute with Custom Text
- Insert at End
- Delete / Restore

6.2.1 Substitute from Library

The Modification > Substitute from Library option on the Customize Agreement Text is available only to Initiating Party Processors. This option allows Initiating Party Processors to substitute a custom paragraph from their institution's private library or the public library for any selected paragraph in the agreement. Once a paragraph has been substituted, if desired, you can edit it (and save it as a new customized paragraph to a library for future use).

☑ Choose the **Substitute from Library** option from the **Modification** drop-down list for the paragraph you want to substitute. The Select Substitute Paragraph pop-up window opens as follows.



☑ To select the paragraph you want to insert from one of the following libraries:

- Your institution's library – Click in and select the Substitute Paragraph from the **My Substitution Library** drop-down list on the left.
- The public library – Click in and select the Substitute Paragraph from the **Public Substitution Library** drop-down list on the right.

To help you select the correct paragraph, the paragraph text displays in the scrolling text box below the respective drop-down list.

☑ Click **Select** when you have found and selected the title for the paragraph you want. The Select Substitute Paragraph pop-up window closes and the text of the substitute paragraph you selected displays in the correct Modification text box on the Customize Agreement Text page.

☑ Optionally, you can edit the substitute paragraph and save it as a newly customized paragraph to the Substitution Library.

6.2.2 Edit Text

On the Customize Agreement Text page, the Modification > Substitute with Custom Text option allows only Initiating Party Processors to edit standard agreement text or previously customized text for any paragraph in the agreement. Once a paragraph has been edited, if desired, you can save it as a new customized paragraph to a library for future use.

☑ Choose the **Substitute with Custom Text** option from the **Modification** drop-down list for the paragraph you want to edit. The paragraph **Modification** text box is now enabled for editing.

☑ Click in the box and edit the text as desired.

- ☑ Select the **Save this custom text to my library with the title** checkbox to save the customized text to your library if desired, and then type a name for the custom paragraph in the [**Title**] field.
- ☑ Select the **Share this custom text in the Public Library** checkbox to share the custom text in the Public library if desired.

6.2.3 Insert New Paragraph at End

On the Customize Agreement Text page, the Modification > Insert New at End option allows only Initiating Party Processors to add a new paragraph at the end of the agreement. Once a paragraph has been added, if desired, you can edit it (and save it as a new customized paragraph to a library for future use).

- ☑ Choose the **Insert New at End** option from the **Modification** drop-down list for ***any*** paragraph. A new paragraph displays at the end of the agreement and the **Modification** text box is enabled.
- ☑ Click in the **Modification** text box and type the text you want to add.

> ➲ **HINT**: You can Copy and Paste the text from another electronic application, e.g. MS-Word, into this text box.

- ☑ Select the **Save this custom text to my library with the title:** checkbox to save the customized text to your library if desired, and then type a name for the custom paragraph.
- ☑ Select the **Share this custom text in the Public Library** checkbox to share the custom text in the Public library if desired.

6.2.4 Delete Paragraph

On the Customize Agreement Text page, the Modification > Delete option allows only Initiating Party Processors to delete a paragraph of the agreement. Deleting a paragraph that is available in either the institution or public library from an agreement only deletes it from the agreement; it does not delete it from either library.

- ☑ Choose the **Delete** option from the **Modification** drop-down list for the paragraph you want to delete.

6.3 Preview Modifications

The Preview Modifications option on the Customize Agreement Text page allows only Initiating Party Processors to view the current agreement text with all *saved* customizations (i.e. modifications).

- ☑ Click **Preview Modifications**. The Preview Modified Agreement Text pop-up window opens, as follows.

6.4 View Paragraph Comments

The View Paragraph Comments option on the Customize Agreement Text page allows only Initiating Party Processors to view comments or requests for revisions for a specific paragraph in the agreement. These comments were added by Processors for other parties on this agreement.

> ➲ **NOTE**: These comments do not include the *overall* agreement comments (added from the View / Manage Agreement page). Use the **View All Comments** button at the top of the page to view all comments including all paragraph comments and overall agreement comments.

☑ Click **View Paragraph Comments** for the desired paragraph. The View Paragraph Comments pop-up window opens with the comments for the selected paragraph, as shown in the following example.

☑ Click the **left** and **right arrow** slider buttons to view comments for other paragraphs in this agreement. The Paragraph counter indicates the current paragraph so you can match the comments to the correct agreement paragraph.

➲ **HINT**: Keep this pop-up window open as you customize the agreement. For easy comparison and review, you can move it by clicking and dragging on the window title bar.

☑ Click **Ok** to close the pop-up window.

6.5 View All Agreement Comments

The View All Comments option on the Customize Agreement Text page allows only Initiating Party Processors to view all comments or requests for revisions from other parties for each paragraph in the agreement and for the overall agreement.

☑ Click **View All Comments** for the desired paragraph. The View Comments pop-up window opens with all comments for agreement, including all paragraph comments.

6.6 Save Customized Agreement Text

Only Initiating Party Processors can customize and then save the customized agreement text on the Customize Agreement Text page.

☑ Click **Save** to save your changes to the agreement text and stay on this page to continue working or move to any page of your choice and return to this agreement with all information changed on the Customize Agreement Text page saved.

☑ If you are initiating an agreement, click **Save & Next** to save your changes to the agreement text and display the next page in the process: the Accounts and Rates page.

➲ **NOTE**: Click **Cancel** to not save (any information entered or changes made since the last save on this page) and display the previous page.

Chapter 7 Manage Accounts and Rates

Use the Accounts & Rates page to add and update Billing Information, Clearing Accounts, Commission Rates / Rate Schedules, and Executing Accounts.

➲ **IMPORTANT NOTE**: For all Executed agreements, except LME agreements, users do not have to initiate a new version of an agreement to expire or add new Clearing Accounts and/or Executing Accounts, i.e. approval is not required. For LME Executed agreements, users must initiate a new version of an agreement to update Clearing or Executing Accounts, i.e. approval is required.

7.1 Access the Accounts & Rates Page

Access the Accounts & Rates page automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page. The following two topics provide more detail about these two options.

7.1.1 Access the Accounts & Rates Page Automatically

☑ Access the page automatically as part of the Initiate Agreement, Version Agreement, or Upload Legacy Agreement processes. See the specific sections for details.

7.1.2 Access the Accounts & Rates Page via the Main Menu

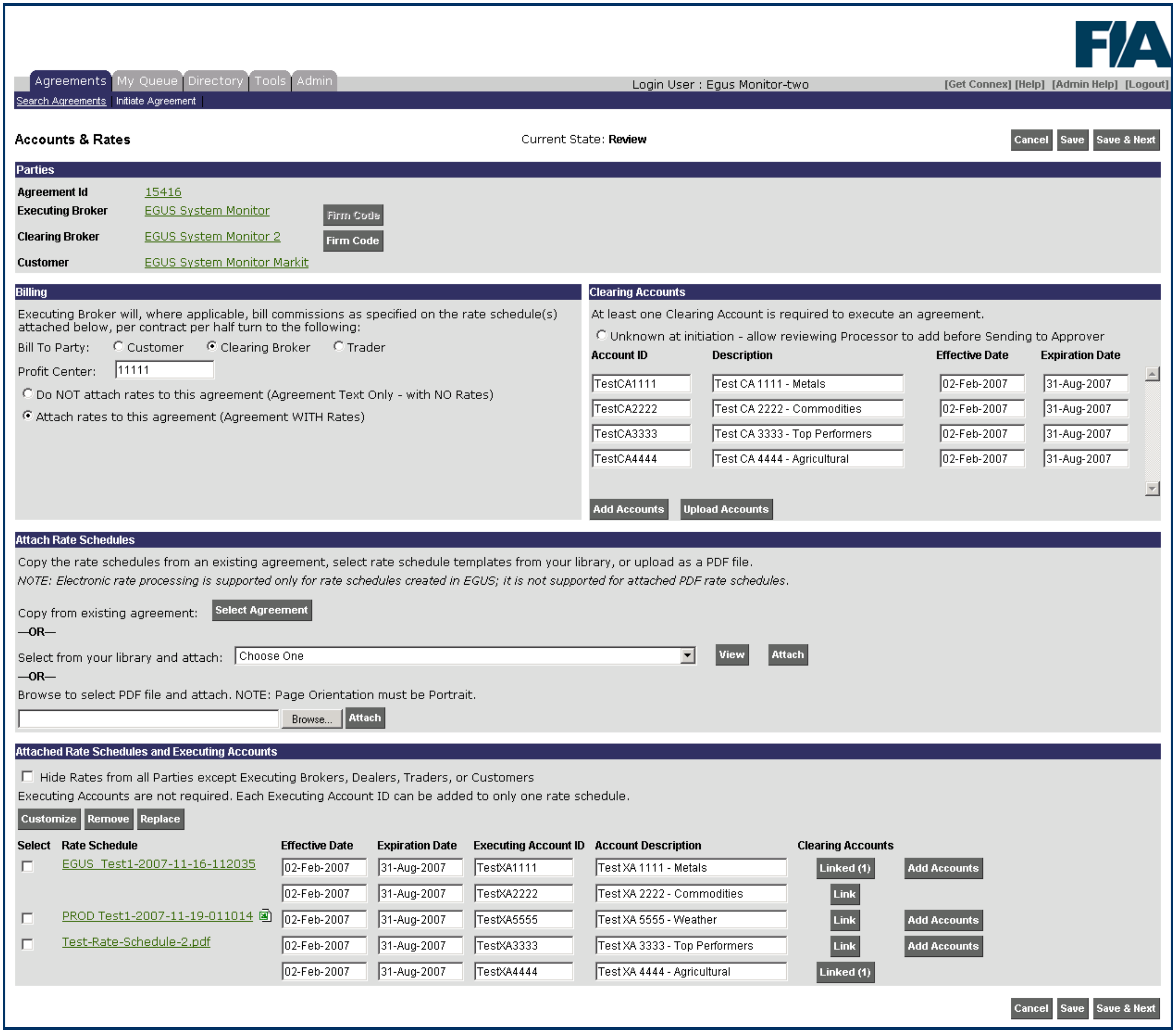
☑ Select one of the following options from the EGUS main menu:

- **My Queue** - The My Queue page (see) displays.
- **Agreements**, **Search Agreements** - The Search Agreements (see Search Agreements) page displays.

☑ Search for the agreement you want.

☑ Click the hyperlinked **Agreement ID** to select and view / manage the agreement. The View / Manage Agreement page displays.

☑ On the Accounts and Rates panel, click **Edit**. The Accounts and Rates page displays as follows.



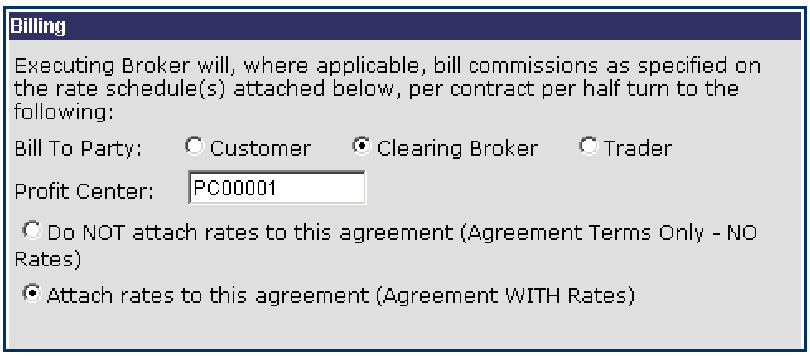
7.2 Add Billing Information

On the Accounts & Rates page, you can enter one billing commission rate or indicate that rates are specified in attached rate schedule(s) in the Billing panel. You also must indicate whether the Bill To party is the Customer, Clearing Broker, or Trader. The default is the Clearing Broker.

Optionally, you can choose to hide rates from all parties except Executing Broker, Dealer, Customer, and Trader. For example, if your party is initiating an agreement as the Executing Broker and you do not want the Clearing Broker to be able to view the rates, select this option. See topic 7.7 for details.

To add agreement billing information:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page. The Billing panel displays near the top left portion of the page, as shown below.



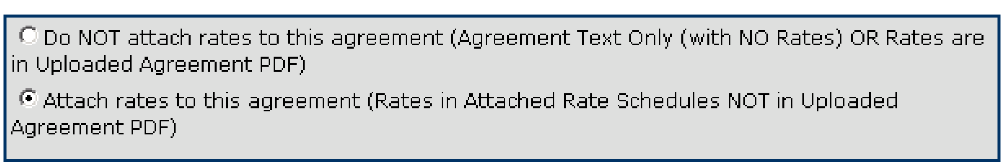
☑ Select the radio button for **Customer**, **Clearing Broke**r, or **Trader** to indicate the Bill To party for commissions.

☑ Enter a profit center in the **Profit Center** field if desired. Note that profit centers are client-specific; they are not validated by EGUS.

☑ Select one of the following two radio buttons to indicate whether you want to attach rate schedule(s) or not attach rate schedules and use this agreement as a text only agreement for terms:

- **Do NOT attach rates to this agreement (Agreement Terms Only – NO Rates)** – allows you to create an agreement with text only.
- **Attach Rates to this agreement (Agreement WITH Rates)** – allows you to create an agreement with attached rate schedules. Note that you attach rate schedules and associated Executing Accounts in the next steps.

➲ **NOTE**: When uploading legacy agreements, the label text for the buttons changes (see example below) and indicates that you can either: 1) attach no rates because you are uploading an agreement that has no rates (i.e. agreement is text (terms) only) or the rates are in the uploaded legacy agreement PDF so are not attached in separate PDF files; or 2) attach rates in separate PDF files (i.e. rates are not included in uploaded legacy agreement PDF).



➲ NOTE: Attach rate schedules and enter associated Executing Accounts, as well as Clearing Accounts, in the remaining panels on this page.

☑ Click **Save & Next i**f you are done entering / updating information on the Accounts & Rates page.

7.3 Attach Rate Schedule(s)

On the Accounts & Rates page, to attach rate schedules to an agreement, you can copy them from a saved agreement, select them from your party's library (or from shared libraries of other parties within your institution) and customize them for this agreement, or you can upload them as PDF files—or use any combination of these three methods.

➲ **NOTE**: Electronic rate feed is supported only for rate schedules created in EGUS (i.e. EGUS-generated rate schedules); it is not supported for attached PDF rate schedules.

➲ **HINT**: If multiple rate schedules are attached to a saved agreement and you want to attach only one or some of the schedules but not all, you can remove any unwanted schedules from the current agreement until only the schedules you want are attached.

Uploaded PDF rate schedules must be in Adobe Acrobat PDF file format and page orientation must be Portrait. EGUS accepts both U.S. 8.5" x 11" and European A4 paper size attachments.

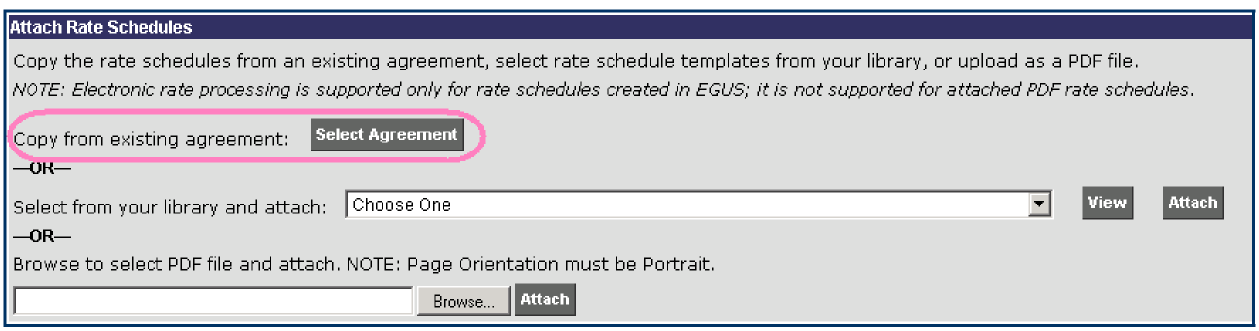
You must add at least one Executing Account for each rate schedule attached to execute an agreement.

7.3.1 Copy Rate Schedule(s) from a Saved Agreement

On the Accounts & Rates page, to copy rate schedules from a saved agreement to the current agreement using the options in the Select Rate Schedule panel:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ In the Attach Rate Schedules panel after the heading **Copy from existing agreement**, click **Select Agreement** (as shown circled in pink below). The Search Agreements page displays.



☑ Search for the agreement from which you want to copy the attached rate schedule(s).

☑ Click **Attach Rate Schedule**. All rate schedules attached to the selected agreement are now attached to the current agreement and the filenames display below in the Attached Rate Schedules and Executing Accounts panel on the Accounts & Rates page.

☑ Validate / update the data copied into the Attached Rate Schedules and Executing Accounts panel at the bottom of the page.

☑ Repeat for each agreement from which you want to copy rate schedules for this agreement.

➲ **NOTE**: If necessary, to remove an unwanted rate schedule from the list, in the Attached Rate Schedules and Executing Accounts panel, select the rate schedule(s) you want to remove and click **Remove**.

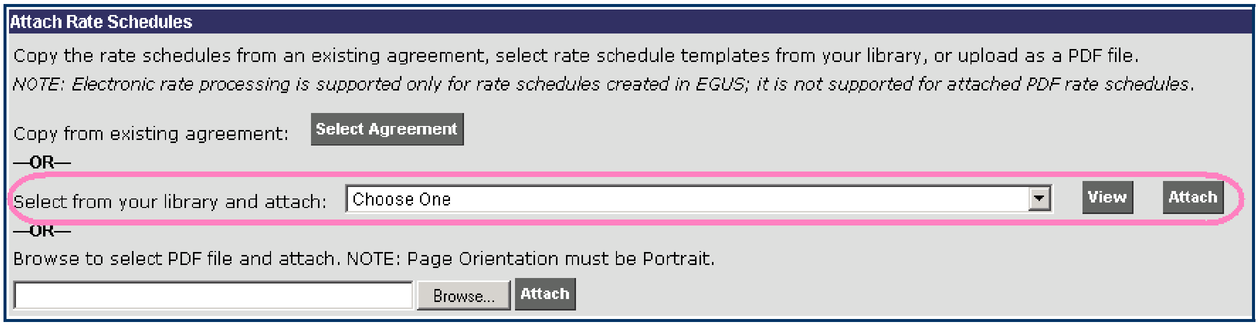
☑ Click **Save & Next i**f you are done entering / updating information on the Accounts & Rates page.

7.3.2 Attach EGUS-Generated Rate Schedule(s)

On the Accounts & Rates page, to attach EGUS-generated rate schedule(s):

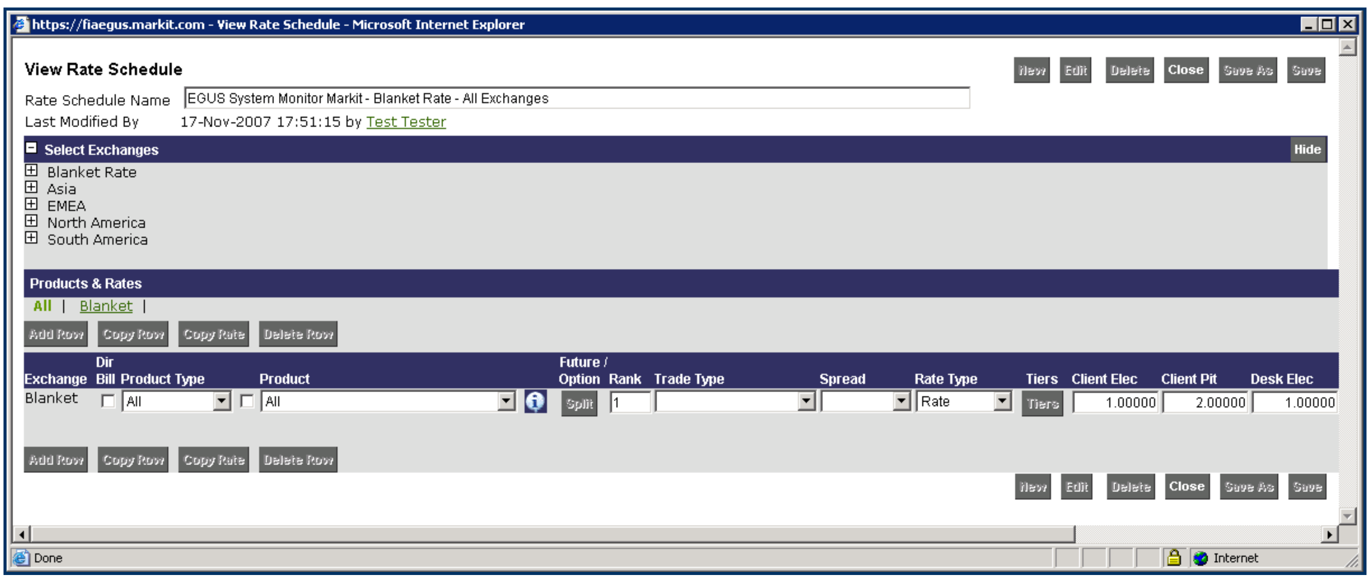
☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ In the Attach Rate Schedules panel after the heading **Select from your library and attach** (as shown circled in pink below), click the **Choose One** option in the drop-down list box.



☑ Select the rate schedule you want to attach.

☑ Click **View** to view the rate schedule to ensure it is the one you want. The View Rate Schedule page displays as shown below.



☑ Click **Close** to return to the Accounts & Rates page.

☑ Click **Attach**. The rate schedule is attached and the name displays below in the **Rate Schedule** column in the Attached Rate Schedules and Executing Accounts panel on the Accounts & Rates page.

➲ **NOTE**: Upon attach, the current date and time is added at the end of each attached EGUS-generated Rate Schedule name to help track rate updates for an agreement.

☑ Add at least one Executing Account for each newly attached Rate Schedule.

☑ Repeat for each EGUS-generated rate schedule you want to attach.

☑ Click **Save & Next if** you are done entering / updating information on the Accounts & Rates page.

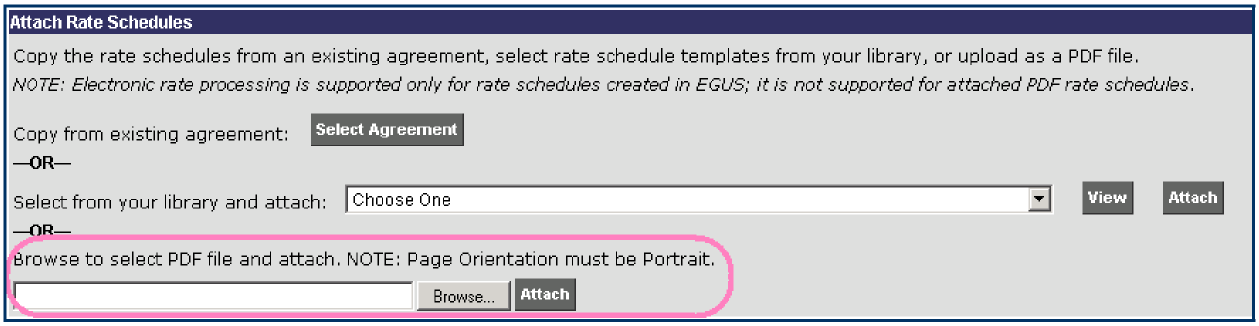
7.3.3 Upload PDF Rate Schedule(s)

On the Accounts & Rates page, to upload rate schedule PDF file(s):

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

> ➲ **CAUTION**: Electronic rate feed is supported only for rate schedules created in EGUS; it is not supported for attached PDF rate schedules.

☑ In the Attach Rate Schedules panel under the heading **Browse to select PDF file and attach. NOTE: Page Orientation must be Portrait** (as shown circled in pink below), click **Browse**.



☑ Navigate to and select the rate schedule file you want to attach and click **Open**. The name of the selected file displays in Rate Schedule Filename field in this panel.

☑ Click **Attach**. The rate schedule is attached and the filename displays below in the **Rate Schedule** column in the Attached Rate Schedules and Executing Accounts panel.

☑ Add at least one Executing Account for each newly attached Rate Schedule.

☑ Repeat for each rate schedule PDF file you want to attach.

☑ Click **Save & Next i**f you are done entering / updating information on the Accounts & Rates page.

7.4 Customize an EGUS-Generated Rate Schedule for an Agreement

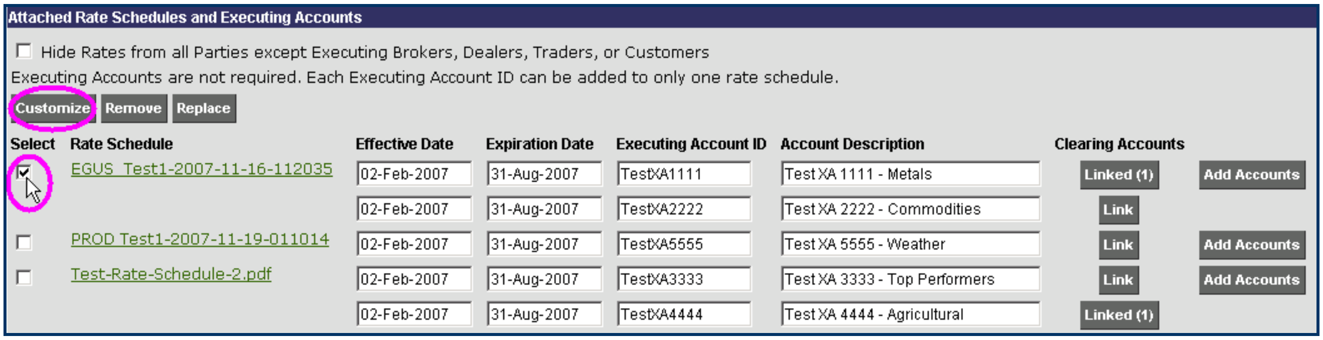
On the Accounts & Rates page, you can customize EGUS-generated rate schedules using the Customize option in the Attached Rate Schedules and Executing Accounts panel. When you customize an EGUS-generated rate schedule that is attached to an agreement, the updates are saved only for the rate schedule attached to the agreement, not to the original rate schedule in your library.

To customize a rate schedule:

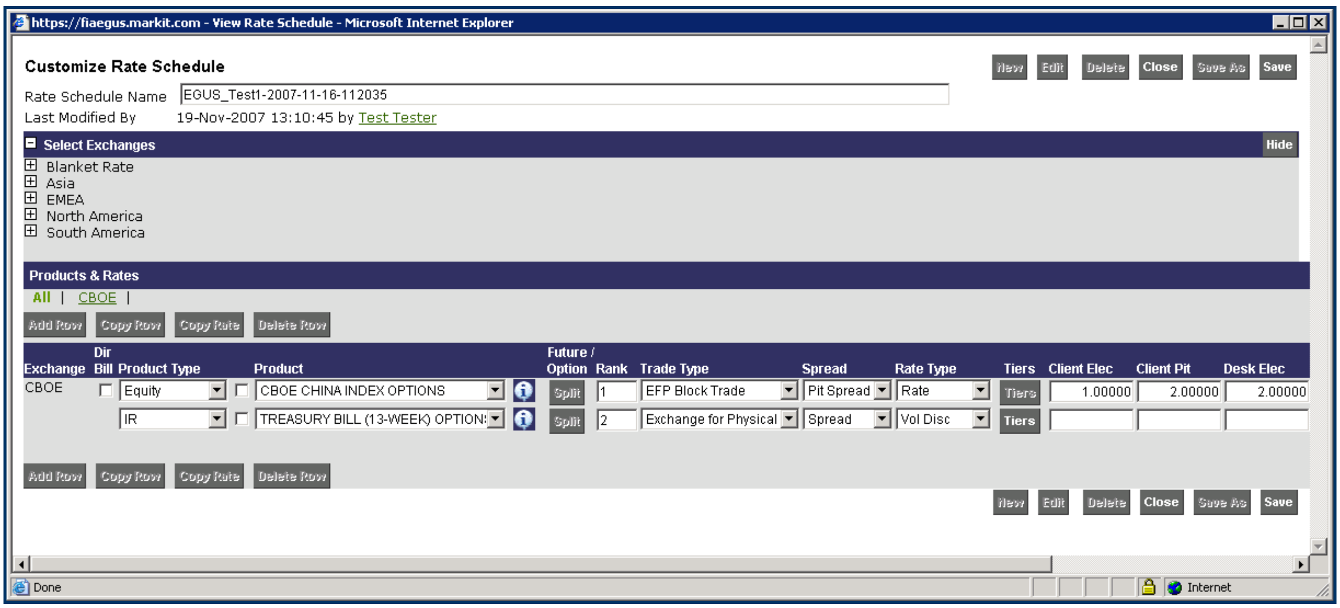
☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ If you made any changes on the Accounts & Rates page, click **Save** now.

☑ Under the **Select** column heading on the left side of the panel (as shown in the following graphic), select the checkbox for the EGUS-generated rate schedule you want to customize.



☑ Click **Customize** (see button circled in pink above). (If you made any changes on this page before clicking **Customize**, you must save or discard the changes before you can customize.) The Customize Rate Schedule pop-up window displays, as follows.



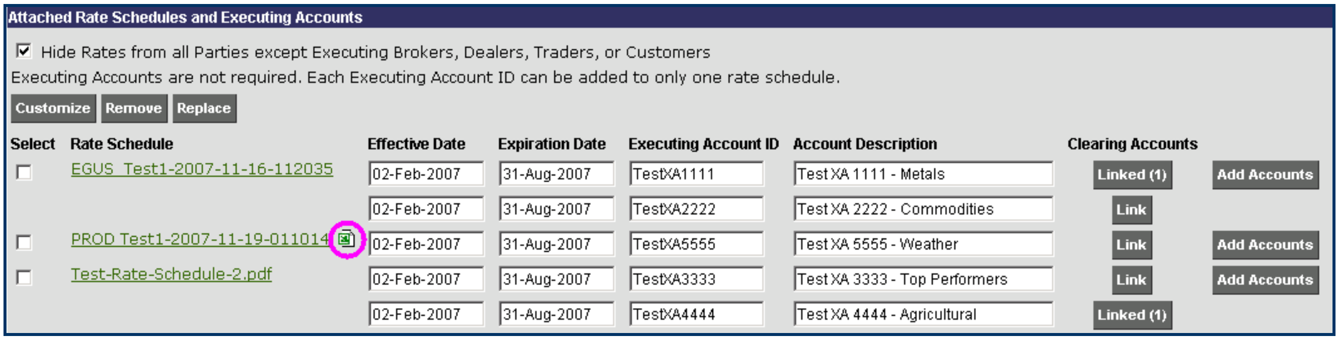
☑ Customize the schedule and rates as desired. See the Maintain Rate Schedule option for instructions. You can not rename the schedule.

☑ Click **Save** to save your changes to the rate schedule attached to this agreement.

➲ **NOTE**: Changes made to EGUS-generated rate schedules using the Customize option on the Accounts & Rates page are saved with the agreement; they do not affect the original rate schedules saved in your library.

➲ **NOTE**: An alert is sent to the Connex forum for this agreement (if it is already in the Review state) updating all parties that rates have been customized and an action recorded for this agreement.

☑ Click **Close** to close this window and return to the Accounts and Rates page. The "Rate Schedule has been changed since attached from library" alert icon displays next to the name of the EGUS-generated rate schedule just customized. See pink circled icon below.



➲ **NOTE**: The alert icon also displays on the View / Manage Agreement, My Queue, and Search Agreements pages for agreements where EGUS-generated rate schedules have been customized since they were attached to the agreement.

☑ Click **Save & Next i**f you are done entering / updating information on the Accounts & Rates page.

7.5 Remove (or Expire) Rate Schedules

On the Accounts & Rates page, you can remove multiple rate schedules at one time using the Remove option in the Attached Rate Schedules and Executing Accounts panel.

Until an agreement is Executed, you can remove attached rate schedules with no consequences (except that all associated Executing Accounts for the selected rate schedules are removed as well).

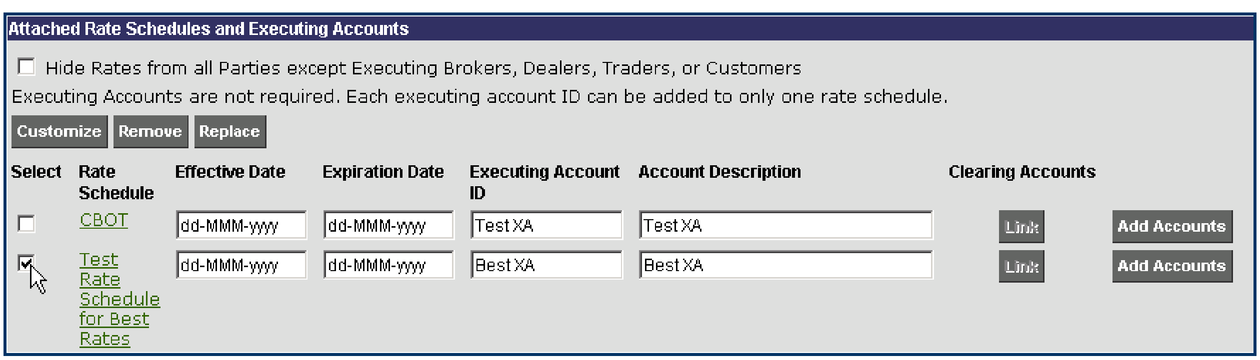
Once an agreement is Executed, removing an attached rate schedule expires the rate schedule and all associated Executing Accounts. To remove a rate schedule for an Executed agreement, you must initiate a new version of the agreement.

➲ **HINT!** Use the **Replace** function to replace an existing rate schedule and its associated Executing Accounts with a new rate schedule with the same—or nearly the same—associated Executing Accounts (versus the method of using the Remove function to expire a rate schedule and its associated Executing Accounts and then adding the new, replacement rate schedule and all associated accounts, i.e. if you use Remove, you must re-add all associated Executing Accounts when you attach the replacement schedule).

To remove rate schedules:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ Under the **Select** column heading on the left side of the panel (as shown in the following graphic), select the checkbox(es) for the rate schedule(s) you want to remove (or expire).



☑ Click **Remove**.

- If the agreement has not yet been Executed, the selected rate schedules are deleted from the agreement along with any associated Executing Accounts.
- If the agreement has been Executed and you are initiating a new version of the agreement, you are prompted to enter the date on which you want to expire the selected rate schedule(s). Click in the **Expiration Date** field and type the date. Click **Remove**. The system asks you if you are sure. Click **Yes**. All current Executing Accounts associated with the selected rate schedule(s) are expired as of the date you entered.

➲ **NOTE**: A rate schedule with all expired Executing Accounts is considered expired, i.e. the effective / expiration dates of the Executing Accounts associated to a rate schedule are used as the effective / expiration dates of the rate schedule itself.

☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

7.6 Replace a Rate Schedule

Using the Replace option in the Accounts & Rates page Attached Rate Schedules and Executing Accounts panel, you can replace only one rate schedule at a time.

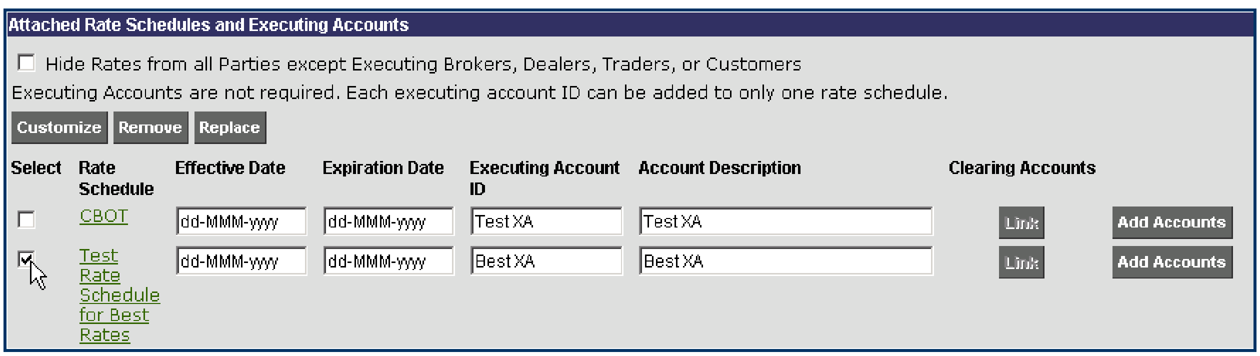
When you replace a rate schedule, the replaced rate schedule and all associated Executing Accounts are expired as of the effective date for the new rate schedule minus one day and all associated Executing Accounts for that rate schedule are associated to the new rate schedule as of the new effective date you enter. This step requires you to upload the new rate schedule file.

Replacing a rate schedule for an Executed agreement creates a new version of the agreement.

To replace a rate schedule:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ Under the **Select** column heading on the left side of the panel (as shown in the following graphic), select the checkbox for the rate schedule you want to replace.



☑ Click **Replace**.

☑ When the system asks if you are sure, click **Yes**. All current Executing Accounts associated with the rate schedule being replaced are expired as of the Effective Date you entered minus one day and the new replacement rate schedule displays with all associated Executing Accounts using the Effective Date you entered.

➲ **HINT**: Once you have replaced the rate schedule, you can expire any unwanted Executing Accounts and add additional Executing Accounts, as necessary.

☑ In the Select Rate Schedule panel, click **Browse** and select the new replacement Rate Schedule file.

☑ In the Attached Rate Schedules and Executing Accounts panel, type the desired **Effective Date** for the new rate schedule.

☑ Click **Save & Next if** you are done entering / updating information on the Accounts & Rates page.

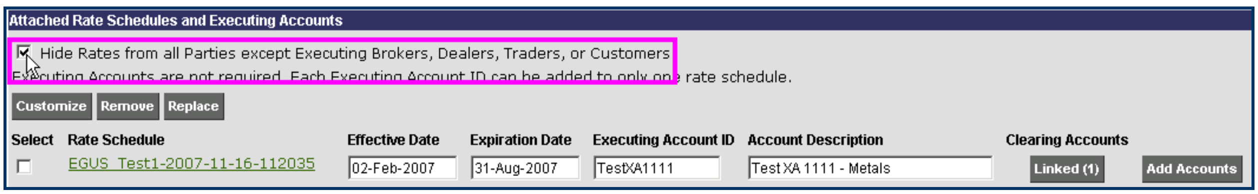
7.7 Hide Rates from All Parties except Executing Brokers, Dealers, Traders, or Customers

You can hide rates from all parties, except Executing Brokers, Dealers, Traders, or Customers, on an agreement. For example, if your party is initiating an agreement as the Executing Broker and you do not want the Clearing Broker to be able to view the rates on the agreement, select this option.

To hide rates from all parties, except the Executing Broker, Dealers, Traders, and Customer, on an agreement:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ Optionally, in the Attached Rate Schedules and Executing Accounts panel, select the **Hide Rates from all Parties except Executing Brokers, Dealers, Traders, or Customers** checkbox (see pink circled checkbox and text label below) to hide rate information from all parties except the Executing Broker, Dealer, Traders, and Customer on an agreement.



☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

To show rates to all parties on an agreement:

☑ Deselect the **Hide Rates from all Parties except Executing Brokers, Dealers, Traders, or Customers** checkbox (at any time) until an agreement is executed.

➲ **NOTE**: Only Executing Brokers, Dealers, or Customers can deselect this checkbox once the agreement has been initiated or executed.

☑ Click **Save & Next if** you are done entering / updating information on the Accounts & Rates page.

7.8 Add Executing Accounts

On the Accounts & Rates page, you must add at least one Executing Account for each attached rate schedule. Alternatively, if instead of attached rate schedules, you selected to indicate a **Specified amount** for the commission rate, i.e. a blanket rate, in the Billing panel above (i.e. the text 'specified amount' displays in the **Rate Schedule** column in the Attached Rate Schedules and Executing Accounts panel), you must enter at least one Executing Account for that rate.

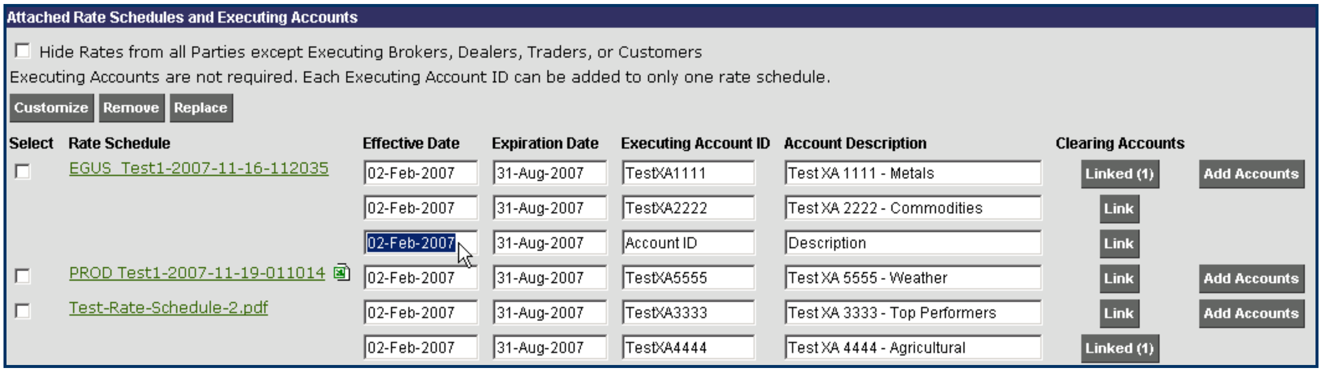
You can add as many Executing Accounts as needed for the blanket rate or for each rate schedule.

➲ **NOTE**: The effective / expiration dates of the Executing Accounts associated to a rate schedule are used to determine the overall effective / expiration dates of the rate schedule itself.

To add Executing Accounts for a rate (blanket rate or rate schedule):

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ Click in the **Effective Date** field for the desired rate (as shown in the following graphic) and type the effective date for this Executing Account.



☑ Click in the **Expiration Date** field for the desired rate and type the expiration date for this Executing Account. This field is optional. If the agreement has a termination date entered, the agreement Termination Date is used as the Expiration Date for all Executing Accounts unless a different Expiration Date is entered for an account.

☑ Click in the **Executing Account ID** field for the desired rate and type the ID for this Executing Account. EGUS does not validate this ID. You can only add an Executing Account ID once on an agreement, i.e. Executing Account numbers can be added to only one rate schedule on an agreement.

☑ Click in the **Account Description** field for the desired rate and type the description for this Executing Account. This field is for your reference only and is not required.

☑ To add an additional account for a rate, click **Add Accounts** for the rate. A new Executing Account row displays for the selected rate. The standard format (dd-Mmm-yyyy) for dates and the text 'Account ID' and 'Description' display in the appropriate fields. The text is not saved as part of the agreement – it is provided only to provide data entry guidelines. If a default date applies (e.g. the Effective Date of the agreement or the new version of the agreement), the date displays instead of the standard format.

➲ **NOTE**: You can add as many Executing Accounts as needed for each rate schedule.

☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

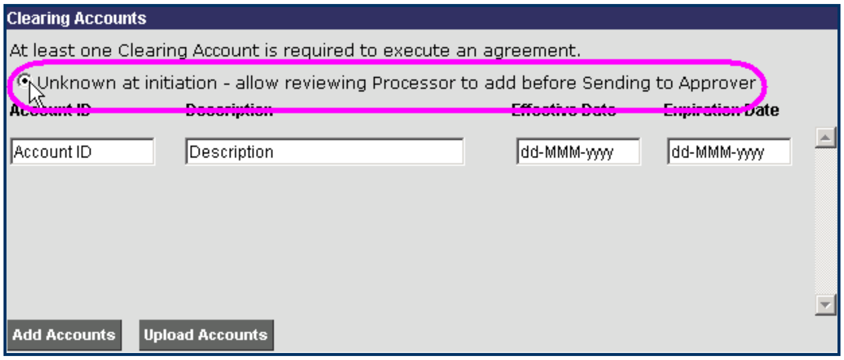
7.9 Clearing Accounts Unknown at Initiation

You must add at least one Clearing Account to execute an agreement; however, if you are initiating an agreement and do not know the Clearing Accounts, you can indicate that Clearing Accounts are unknown at initiation and still be able to send to Review to allow another party to add the Clearing Accounts later. For example, the Executing Broker can initiate an agreement and send it to Review, so another reviewing Processor, e.g. for the Clearing Broker on the agreement, can add the Clearing Accounts (before Sending to Approver).

To indicate Clearing Accounts are unknown at initiation, in the Clearing Accounts panel:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ Select the **Unknown at initiation - allow reviewing Processor to add before Sending to Approver** checkbox (as shown below).



☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

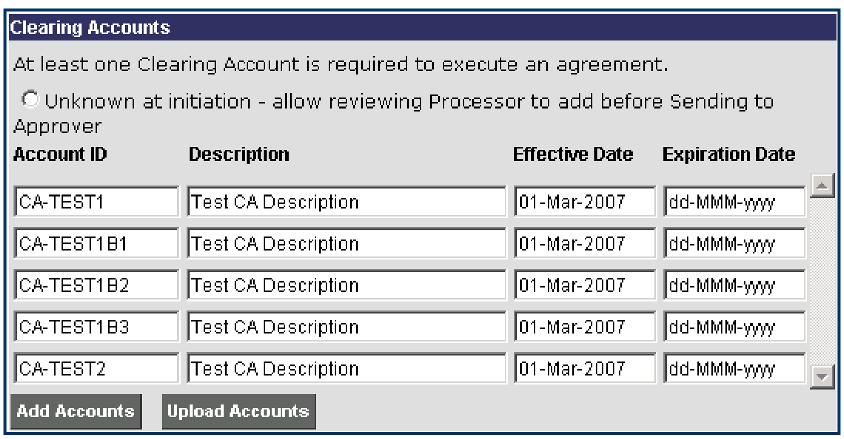
7.10 Add Individual Clearing Accounts

You must add at least one Clearing Account to execute an agreement and you can add as many Clearing Accounts as needed for each agreement. Use the Upload Accounts feature to add many accounts at one time. See the Upload Clearing Accounts in Bulk for more information.

To add Clearing Accounts to an agreement, in the Clearing Accounts panel:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ Click in the **Account ID** field (as shown at left in the following example) and type the ID for this Clearing Account. EGUS does not validate this ID.



➲ **NOTE**: If you are initiating an agreement and a different party needs to enter the Clearing Accounts, see the Clearing Accounts Unknown at Initiation topic for instructions.

☑ Click in the **Account Description** field and type the description for this Clearing Account. This field is for your reference only and is not required.

☑ Click in the **Effective Date** field and type the effective date for this Clearing Account.

☑ Click in the **Expiration Date** field and type the expiration date for this Clearing Account. This field is optional. If the agreement has a termination date entered, this date is used as the expiration date for all Clearing Accounts unless a new date is entered.

☑ To add additional Clearing Accounts, click **Add Accounts**. A new Clearing Account row displays. Add as many Clearing Accounts as needed for the agreement.

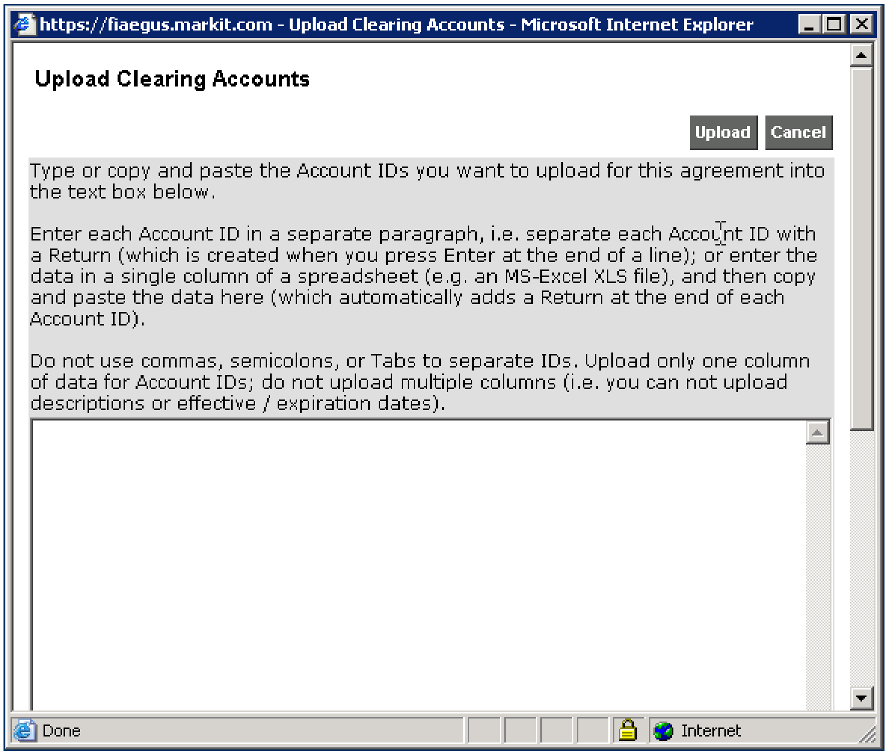
☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

7.11 Upload Clearing Accounts in Bulk

On the Accounts & Rates page, to add a large number of Clearing Accounts to an agreement at one time:

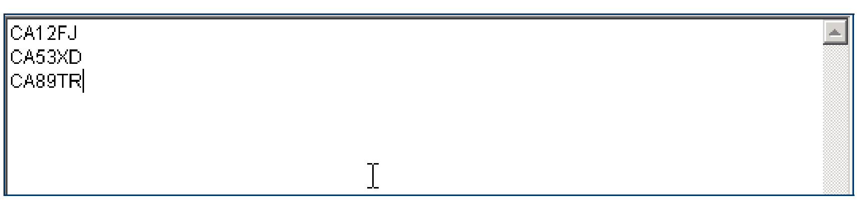
☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel Edit button on the View / Manage Agreement page.

☑ In the Clearing Accounts panel, click **Upload Accounts**. The Upload Accounts pop-up window displays as shown in the following example.



☑ Type or copy and paste the Account IDs you want to upload for this agreement into the text box. See example data below.

➲ **NOTE**: Enter each Account ID in a separate paragraph, i.e. separate each Account ID with a Return (which is created when you press Enter at the end of a line); or enter the data in a single column of a spreadsheet (e.g. an MS-Excel XLS file), and then copy and paste the data here (which automatically adds a Return at the end of each Account ID). Do not use commas, semicolons, or Tabs to separate IDs. Upload only one column of data for Account IDs; do not upload multiple columns (i.e. you can not upload descriptions or effective / expiration dates).



☑ Click **Upload**. The Upload Clearing Accounts pop-up window closes and the Clearing Accounts you entered are inserted in the Clearing Accounts panel on the Accounts & Rates page.

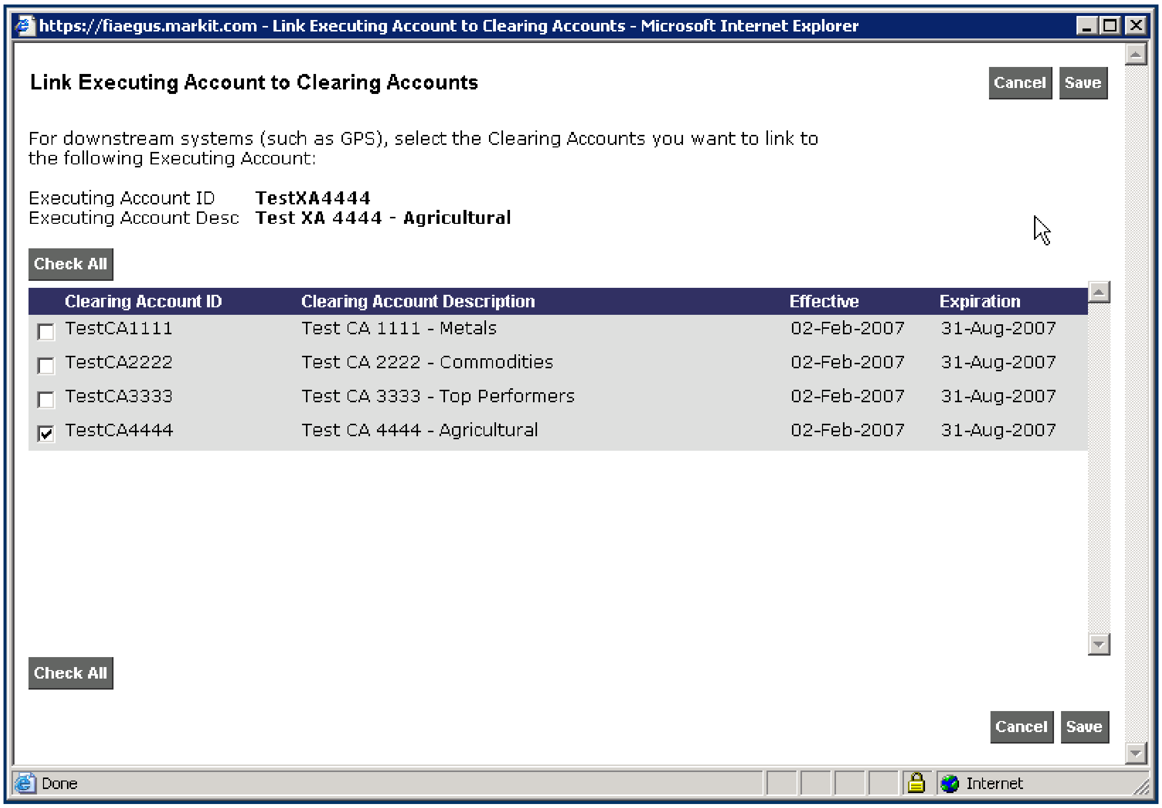
☑ Click Save & Next if you are done entering / updating information on the Accounts & Rates page.

7.12 Link an Executing Account to Clearing Accounts

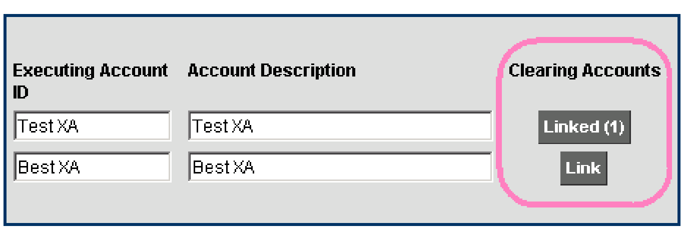
Once you have added Clearing Accounts to an agreement, you can link (i.e. associate) one or more Clearing Accounts to an Executing Account for external systems, e.g. GPS.

To link an Executing Account to one or more Clearing Accounts:

- ☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.
- ☑ In the Attached Rate Schedules and Executing Accounts panel, click **Link** next to the Executing Account you want to link to Clearing Accounts. The Link Executing Account to Clearing Accounts pop-up window opens, as shown in the following example.



- ☑ Click the checkbox next to each Clearing Account you want to link to this Executing Account; or click **Check All** if you want to link all Clearing Accounts in the list to this Executing Account.
- ☑ Click **Save**. The selected accounts are linked and a confirmation message displays. Click **Ok**.
- ☑ Click **Cancel** to close the pop-up window and return to the Accounts & Rates page. Note that when you link Clearing Accounts to an Executing Account, the button text changes from Link to **Linked** with the number of Clearing Accounts linked to the Executing Account shown in parentheses, as shown in the example below.



- ☑ Click Save & Next if you are done entering / updating information on the Accounts & Rates page.

7.13 Expire an Account

Once an agreement has been Executed, you can not remove or delete Clearing or Executing accounts, you must expire them on the Accounts & Rates page. (If an agreement has not yet been Executed and you want to remove or delete an account, just delete the information from each field in that row.)

➲ **HINT**: To expire all associated Executing Accounts for one or more rate schedules, use the **Remove** function. See also the **Replace** function.

To expire a Clearing or Executing Account:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ Click in the **Expiration Date** field for the account you want to expire.

➲ **NOTE**: An agreement must have at least one Clearing Account that is unexpired throughout the dates of effectiveness of the agreement. For example, an agreement has an effective date of 1-Jan-2008 and no expiration date and one Clearing Account with an effective date of 1-Jan-2008 and no expiration date. If you expire the Clearing Account as of 30-Jun-2008, you must add another Clearing Account that is effective as of 1-Jul-2008 and has no expiration date.

➲ **NOTE**: An attached rate schedule with all expired Executing Accounts is considered expired, i.e. the effective / expiration dates of the Executing Accounts associated to a rate schedule are used as the effective / expiration dates of the rate schedule itself.

☑ Type the desired expiration date.

☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

7.14 Override Primary Exchange Firm Code

On the Accounts & Rates page, if you can override the primary Exchange Firm Codes assigned to exchanges that are included in any of the EGUS-generated rate schedules already attached to this agreement.

This action applies to the current agreement only; it does not change the primary Exchange Firm Code for any other agreement or in the EGUS database. To permanently change a Primary Exchange Firm Code for a party or add a new alternate Firm Code, contact your EGUS Firm Administrator for that party.

To override primary exchange firm codes for an agreement:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ In the Parties panel, click the **Firm Code** button to the right of the party for which you want to override exchange firm codes for this agreement. The Select Firm Code pop-up window opens, as shown below.

☑ Click on the drop-down for exchange for which you want to override the primary firm code for this agreement, as shown in the example above.

☑ Select the new firm code you want to use for the exchange for this agreement.

☑ Repeat for each exchange firm code you want to override.

☑ Click **Save**. The pop-up window closes and the new exchange firm code(s) you selected are used for this agreement.

☑ Click **Save & Next** if you are done entering / updating information on the Accounts & Rates page.

7.15 Save Accounts and Rates Information

To save accounts and rates information on the Accounts & Rates page:

☑ Access the Accounts & Rates page – either automatically as part of the Initiate Agreement process or by looking up an Agreement on the My Queue or Search Agreements page, and then selecting the Accounts and Rates panel **Edit** button on the View / Manage Agreement page.

☑ Click **Save** to save your agreement and stay on this page to continue working or move to any page of your choice and return to this agreement with all information entered on this Accounts and Rates page saved.

☑ Click **Save & Next** to save your agreement and move to the next page of the Initiate Agreement process, the View / Manage Agreement page.

➲ **NOTE**: Click **Cancel** to not save (any information entered since the last save on this page) and display the previous page.

Chapter 8 Maintain Rate Schedule Libraries

This section tells you how to access the EGUS Maintain Rate Schedule Library option and how to use the main functions on the Maintain Rate Schedule page:

- Add a new rate schedule to your library
- Edit an existing (i.e. saved) rate schedule in your library
- Save an existing rate schedule under a new name to copy an existing rate schedule (i.e. create a new rate schedule based on an existing rate schedule) / save an existing rate schedule under a new name
- Delete an existing rate schedule from your library

➲ **NOTE**: For a user to access the Maintain Rate Schedule page to create, update, and delete rate schedules for designated parties, an EGUS Firm Admin for your institution must first assign the Maintain Rate Schedule permission for designated parties.

When creating a rate schedule, you can add rates, copy rates, delete rates, etc. You can easily and quickly create a rate schedule with rates for all exchanges (Blanket Rate), all product types and products at an exchange, or all products within a product type. You can also easily add a rate for a specific product at a specific exchange and you can add rates for more than one exchange on one rate schedule. Rates can be customized in several ways: you can select the Trade Type, Spread, Rate Type (Flat, Percent Notional or Premium, etc.), Tiered Rates for Discounted Rates, Minimum and Maximum Rates, etc.; and you must rank rates as applicable.

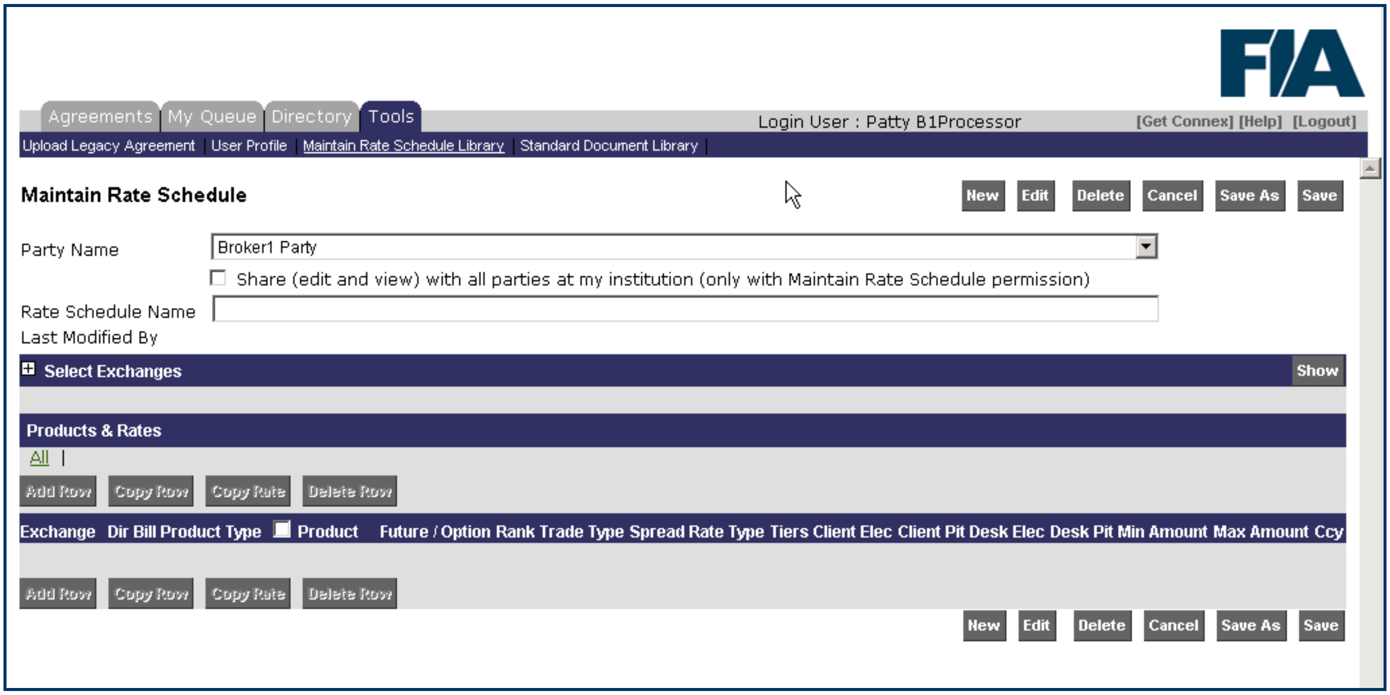
A rate schedule is associated with one party within an institution. Once you create a rate schedule, users at your institution (with the Processor permission for the associated party) can attach the schedule to agreements for that party. Also, you can choose to share a rate schedule with all parties at your institution. Sharing a rate schedule means that all other users at your institution who have the correct permissions can view the schedule and attach it to agreements.

Once an agreement is executed with one or more EGUS-generated rate schedules (i.e. rate schedules created and saved in your institution's EGUS Rate Schedule Library) attached, external systems can download your agreement and rate data and use the data to process your agreements in their systems. Before an external system can download your agreement and rate data, you must permission the external system on the Admin Maintain Party Permissions page.

8.1 Access the Rate Schedule Page

☑ Select **Tools** on the EGUS main menu.

☑ Select **Maintain Rate Schedule Library** on the sub menu. The Maintain Rate Schedule Page displays as shown below with all panels collapsed / blank.



8.2 Add a New Rate Schedule

To set up a new rate schedule for your party:

☑ Access the Maintain Rate Schedule page.

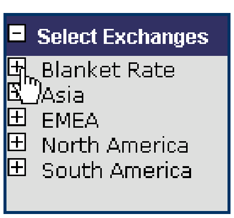
☑ Select the party for which you want to add this rate schedule from the **Party Name** drop-down list.

☑ Enter the rate schedule name in the **Rate Schedule Name** field.

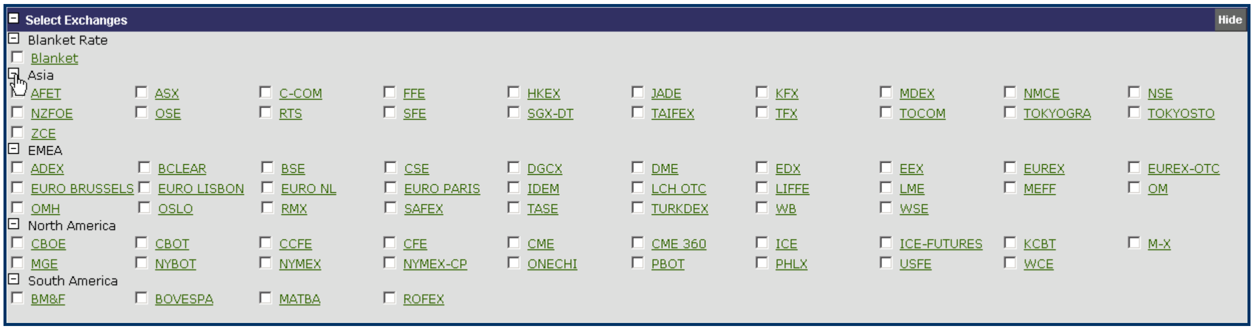
☑ Select the **Share (edit and view) with all parties at my institution (only with Maintain Rate Schedule permission)** to share this rate schedule with users at other parties at your institution.

☑ Under **Select Exchanges**, select one or more exchanges and/or All Exchanges (Blanket Rate). To select exchanges:

– Click the + icon next to **Select Exchanges** or click the **Show** button on the far right of the label. The Select Exchanges panel expands, as shown in the following example, and displays each region and the Blanket Rate (All Exchanges) option in the upper left corner.



– Click the **+** icon next to **Blanket Rate** or a **region** to expand the selected option. The Blanket Rate or selected region option expands, as shown in the following example.

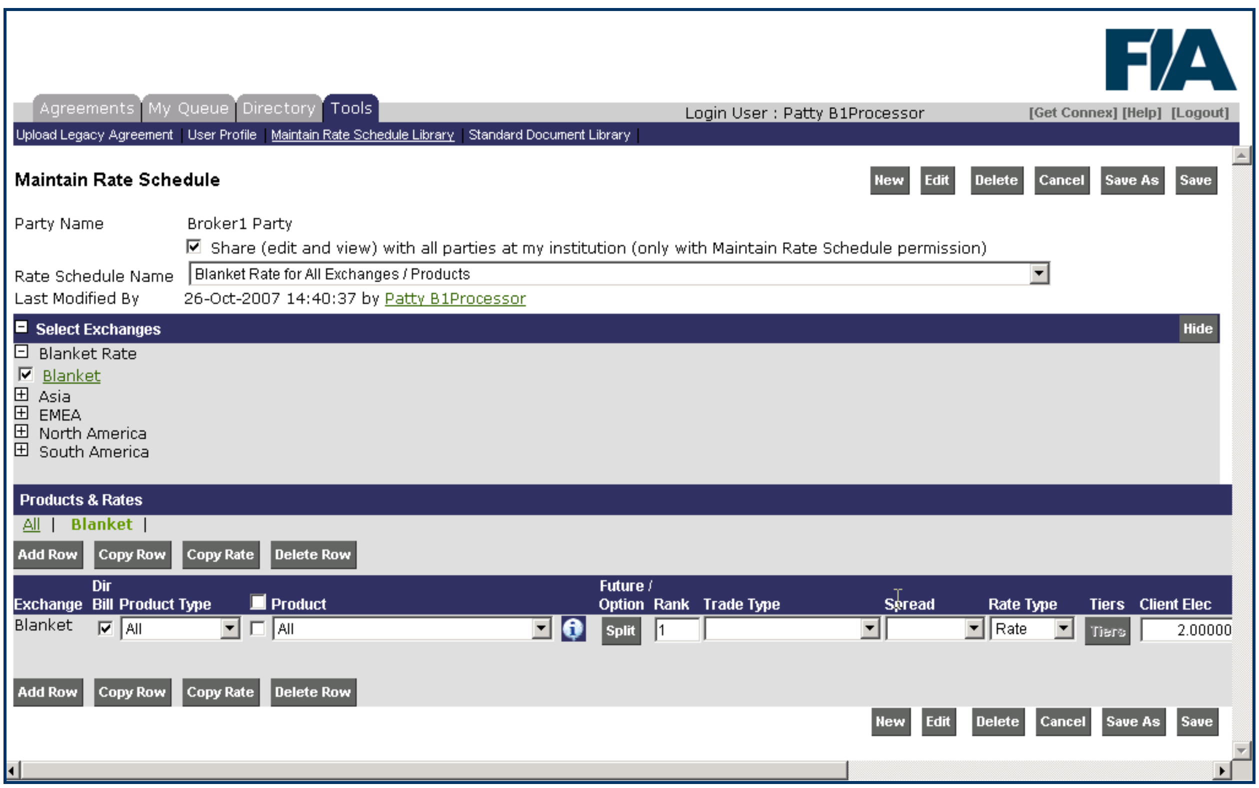


– Find and select the checkbox(es) for the exchange(s) for which you want to add rates on this schedule.

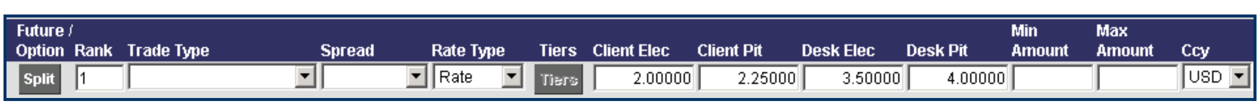
➲ **NOTE**: You must select at least one exchange or Blanket Rate to save a rate schedule.

➲ **TIP**: You can remove exchanges (deselect an exchange and confirm your intent to remove the exchange and any associated rates already added) or add additional exchanges (open this panel and select the additional exchanges and add rates) anytime.

Below is an example of a 'Blanket Rate' rate schedule that covers all Exchanges and all Products.



☑ If necessary (depends on your monitor's display settings), scroll to the right to view all of the rates fields, as shown in the following example.



☑ Click **Save**. The following message displays to tell you that your rate schedule has been added successfully to the selected party's library.

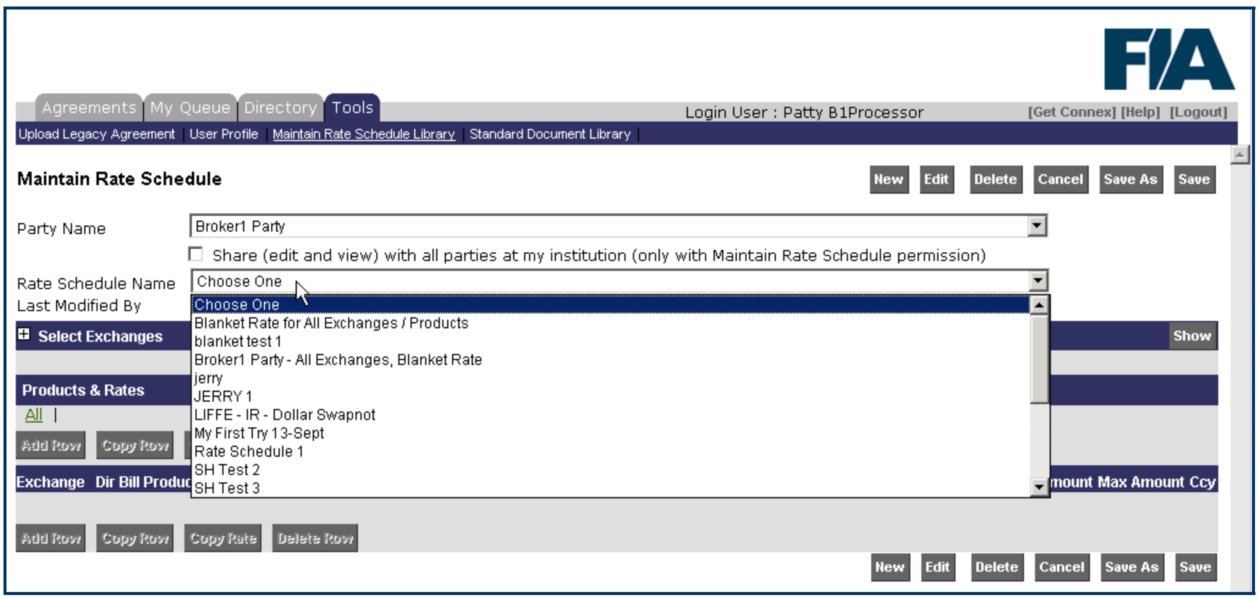
8.3 Retrieve an Existing Rate Schedule to View or Edit

To retrieve an existing rate schedule for a selected party:

☑ Access the Maintain Rate Schedule page.

☑ Select the party for which you want to retrieve a rate schedule from the **Party Name** drop-down list.

☑ Click **Edit**. The Rate Schedule Name field changes from a data entry field to a drop-down list, as shown in the example below.

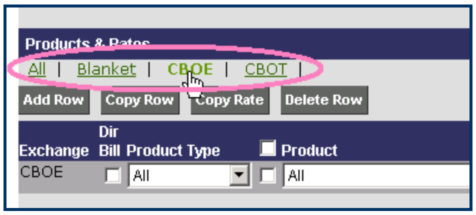


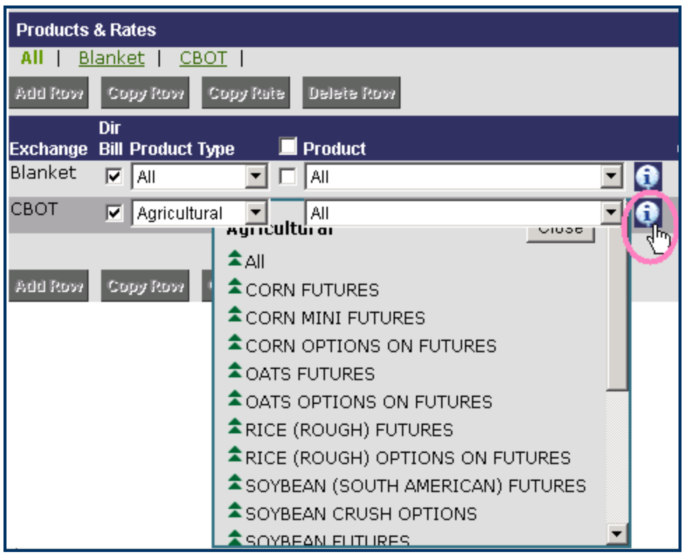
☑ Select rate schedule you want from the **Rate Schedule Name** drop-down list.

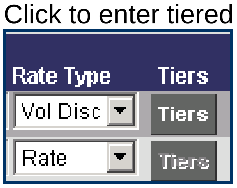
☑ Select **Edit / Copy** if you want to edit or copy the rate schedule.

8.4 Maintain Rates on a Rate Schedule

On the Tools > Maintain Rate Schedule page, to add rates for an exchange or for all exchanges (Blanket Rate), use the following options:

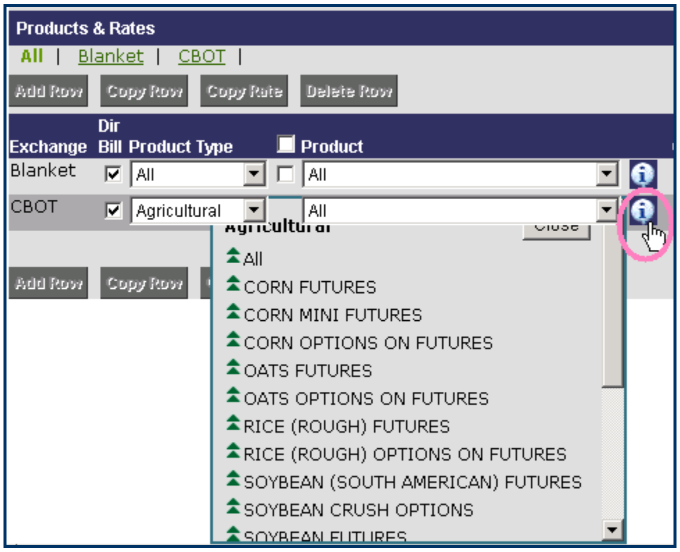
Button	Description
All / [Exchange Acronym]	Displays the rates for all exchanges or a selected exchange for this rate schedule: - Select the **All** tab link to view the rates for all exchanges on this rate schedule at one time. You can update rates but you can not perform row functions in this view. - Select a **[specific exchange acronym (CBOT, EUREX, etc.)]** tab link to view and maintain rates and perform row functions for that exchange. The following example shows the tab links on a rate schedule. The All link is available once you select an exchange, Blanket or a specific exchange tab link display when you select Blanket or the corresponding exchange, respectively. 
Product / Row Level Functions – Not Available in All View	
Add Row	Add a new blank row to enter additional rates at the end of the Products & Rates data table.
Copy Row	Copy a row / Product – Tip: use when you want to create a similar row but with a few differences, e.g. change the Product but leave all else the same, change to a different Trade Type, etc. - Select the Product row you want to copy by selecting the checkbox to the left of the desired Product drop-down (do not select the Dir Bil checkbox). - Click **Copy Row**. The row is copied to a new row directly below the Product row you just copied.
Copy Rate	Copy rates from one Product row to another Product Row: - Select the Product row from which you want to copy just the rates by selecting the checkbox to the left of the desired Product drop-down (do not select the Dir Bil checkbox). - Click **Copy Rate**. The button label changes to **Paste Rate**. - Select the rate row to which you want to copy the rate. - Click **Paste Rate**.
Delete Row	Delete an existing row: - Select the row you want to delete by selecting the checkbox to the left of the desired Product drop-down (do not select the Dir Bil checkbox). - Click **Delete Row**.
Rate Fields / Functions	
Exchange	Display the selected exchange or 'Blanket' if you selected Blanket as the exchange (Blanket includes all exchanges). (To view all exchanges and their associated rates at one time—and update rates, select the **All** tab link above the Products & Rates data table. To view rates for a selected exchange and update rows and rates, select a specific exchange (e.g. CBOT, EUREX, etc.) tab link above the Products & Rates data table.)

Button	Description
Direct Bill	Select to indicate you want to direct bill for this agreement (and not use the exchange payment/settle system).
Product Type	Select the type of product (e.g. Equity, etc.) for which you want to add rates. Select **All** to add rates that apply to all products at the selected exchange (or for all exchanges if you select **Blanket Rate** as the Exchange).
Product checkbox	Select the checkbox to the left of a Product to use the Copy Row, Copy Rates, or Delete Row option.
Product	Select the specific product for which you want to add rates. Select **All** to add rates that apply to all products at the selected exchange and for the selected product type (or for all product types if **Product Type** is also **All**).
i icon	Click to view a complete list of full product names (i.e. if the names are very long, they wrap so you can view the entire names). Click **Close** to close the drop-down list. Here is an example:  See next topic "View Full Product Name" for more information.
Future / Option Split	Click to enter both Future rate and Option rate for the selected Product (i.e. for the selected row). The product row is split into two rows and shows Future and Option in the two new rows: **Future** on the top and **Option** on the bottom. ➲ **IMPORTANT USAGE NOTE**: By default, each rate row applies to both Futures and Options, i.e., if you select a specific Product (or All), the rates entered on the row apply to both Futures and Options for the specific Product (or All Products). To enter rates for only Futures and/or only Options for a Product (or All Products), use the **Split** option and enter the correct Product (or All Products) and rates in each correct row – i.e. the Future row and/or the Option row.

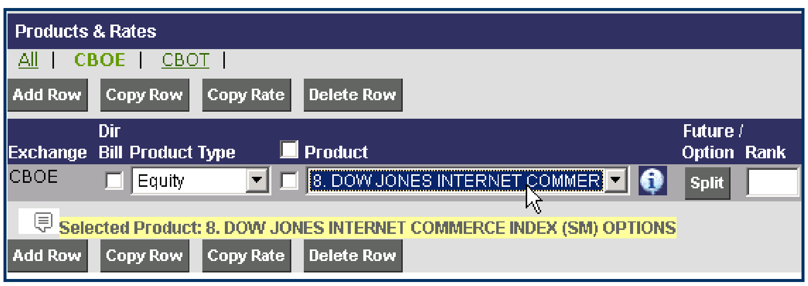
Button	Description
Rank	Enter the rank or sequence in which you want this row considered (vs. all other rows for this exchange, product type, and product) by the downstream processing system as the rates from an agreement are applied. Rank numbers must be whole numbers. Numbers are applied lowest first, so if one rate row is ranked 10 and another is ranked 20, the rate row ranked 10 takes precedence over the product ranked 20. This field is required if more than one overlapping rate is entered for an Exchange, Product Type, and Product.
Trade Type	Select the Trade Type for this rate row: EFP Block Trade, Exchange for Physical, Exchange for Risk, or Exchange for Swap. This field is optional and can be left blank.
Spread	Select the Trade Type for this rate row: Pit Spread or Spread. This field is optional and can be left blank.
Rate Type	Select the Rate Type for this rate row: % %Notion[al] %Premium Flat Rate (default) Vol Disc[ount] This field is required. If you select Volume Discount, click **Tiers** and enter the tiers and rates on the Tiers pop-up window. Otherwise, enter the rates on the Maintain Rate Schedule page for the row.
Default Rate Indicator	Select the default Rate Indicator to identify the rate value that will be used by eGAINS in calculating the give-up payment. The drop-down list of values for this field are the following: CE – Client Electronic Rate CP – Client Pit Rate DE – Desk Electronic Rate DP – Desk Pit Rate This is a mandatory field, that cannot be blank. Also, the value in this field must correspond to a non-zero (non-blank) rate value; i.e. if CE is selected, then the Client Electronic Rate value cannot be zero or blank.
Tiers	Click to enter tiered (i.e. banded) rates for **Volume Discount Rate Type**:  I.e. The **Tiers** button is enabled only when **Volume Discount** is selected as the Rate Type. See the Define Tiers for Volume Discount Rates topic for details.

8.5 View Full Product Name

On the Tools > Maintain Rate Schedule page, click on the button to view an expanded version of the items in the **Product** drop-down, as shown in the example below. Click on a product in the list to insert it into the **Product** field. Click **Close** to close the drop-down list.



In the **Product** drop-down list and once you select a product and it displays in the **Product** field, only partial product names display. Click on a [**product name**] in the **Product** drop-down list to display the full name of the Product below, as shown in the following example.



In this example, the user clicked and selected **DOW JONES INTERNET COMMERCE INDEX (SM) OPTIONS** from the **Product** drop-down list to view the full name highlighted in yellow below.

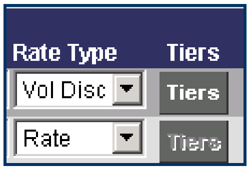
8.6 Define Tiers for Volume Discount Rates

On the Tools > Maintain Rate Schedule page, to add tiered rates for volume discounts:

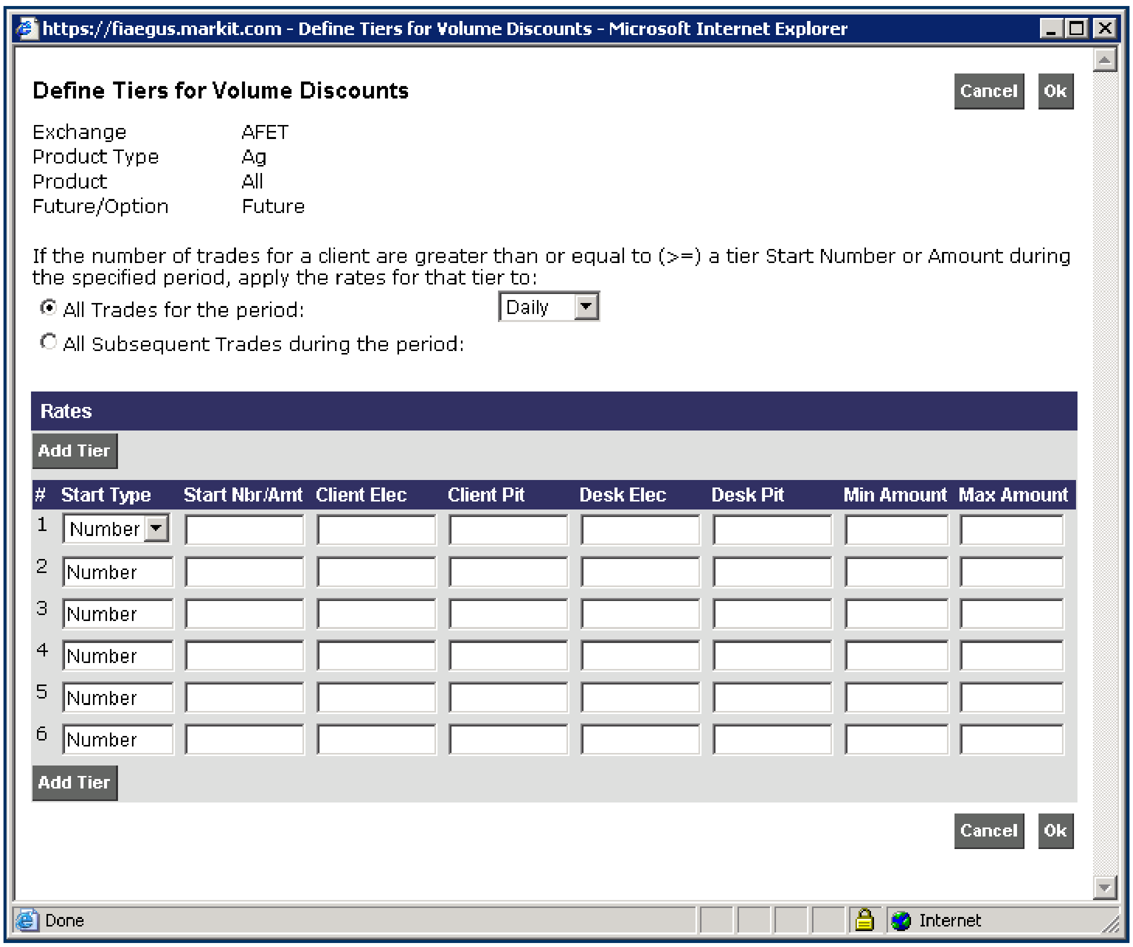
➲ **NOTE**: Set the currency for Volume Discount / Tiered Rates on the Maintain Rate Schedule page.

☑ Add all information for a Product / row, stopping at the Rate Type field.

☑ Select **Volume Disc** as the **Rate Type**. The **Tiers** button is enabled, as shown in the first row of the following example. (Note that the **Tiers** button for a **Rate Type** of **Rate** in the second row is disabled or grayed out.)



☑ Click the **Tiers** button. The Define Tiers for Volume Discounts pop-up window opens, as shown in the following example.



☑ Select the correct checkbox corresponding to whether you want the rate to apply to **All trades for the selected period** or **All subsequent trades during the selected period**.

☑ Select **Daily** or **Monthly** from the period drop-down list.

☑ Choose the **Start Type**:

- **Amount -** volume discount based on amount
- **Number** - volume discount based on number of contracts

➲ **NOTE**: You can only use one start type for Volume Discount tiered rates, i.e., when you choose a Start Type, the same Type displays for all rows on this window.

☑ Enter the rates for each Tier.

☑ Optionally, enter Minimum and/or Maximum.

☑ Click **Add Tier** to add a new Tier row at the end of the list.

☑ Click **Save** when you are done defining the Volume Discount Tiers for this rate.

8.7 Save a Rate Schedule

On the Tools > Maintain Rate Schedule page, to save a rate schedule using the current name or under a new name:

☑ Click **Save** to save your in progress Rate Schedule and stay on this page. You can then move to another page and return to this Rate Schedule with all current information saved.

☑ Click **Save As** to save your Rate Schedule with a new name. Enter the **New Rate Sch. Name** and then click **Save**.

➲ **NOTE**: Click **Cancel** to not save (any information entered since the last save on this page) and display the previous page.

8.8 Copy a Rate Schedule

On the Tools > Maintain Rate Schedule page, to copy a rate schedule and use it as the basis for a new rate schedule:

☑ Access the Maintain Rate Schedule page.

☑ Select the party from which you want to copy a rate schedule from the **Party Name** drop-down list.

☑ Click **Edit**. The Rate Schedule Name field changes from a data entry field to a drop-down list.

☑ Select the rate schedule you want to copy from the **Rate Schedule Name** drop-down list.

☑ Click **Save As** to save the selected rate schedule with a new name.

☑ Enter the **New Rate Sch. Name**.

☑ Click **Save**. A confirmation message displays.

8.9 Delete a Rate Schedule

On the Tools > Maintain Rate Schedule page, to delete a rate schedule from your library:

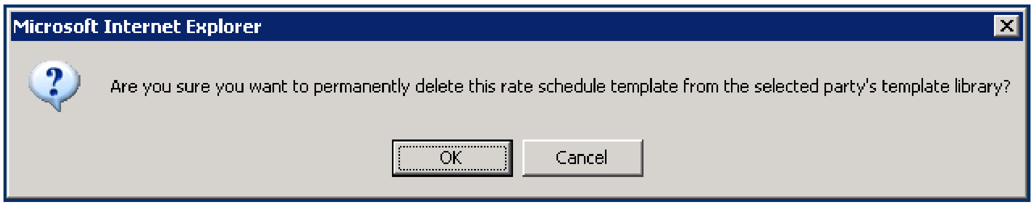
☑ Access the Maintain Rate Schedule page.

☑ Select the party for which you want to retrieve a rate schedule from the **Party Name** drop-down list.

☑ Click **Edit**. The Rate Schedule Name field changes from a data entry field to a drop-down list.

☑ Select the rate schedule you want to delete from the **Rate Schedule Name** drop-down list.

☑ Click **Delete**.



☑ Click **OK** to confirm the delete. The rate schedule is deleted from the selected party's library and the following alert message displays.

☑ Click **OK**.

Chapter 9 View / Manage Agreement

Use this function to view and manage agreements through the workflow process. This page allows you to view all agreement information on one page. The following manage agreement options vary based on the user's permissions and the agreement status:

- Edit ID and Dates
- Edit Parties
- Edit Accounts and Rates
- Edit (Customize) Agreement Text (Initiating Party Processors)
- Review and Comment on Agreement Text (Non-Initiating Party Processors)
- View and Add Comments
- View Actions
- Send to Review
- Send to Approver
- Recall Send to Approver
- Approve
- Recall Approval
- Delete (Initiating Party Processors)
- Move to Stale (Non-Initiating Party Processors)
- Recall from Stale
- Initiate New Version

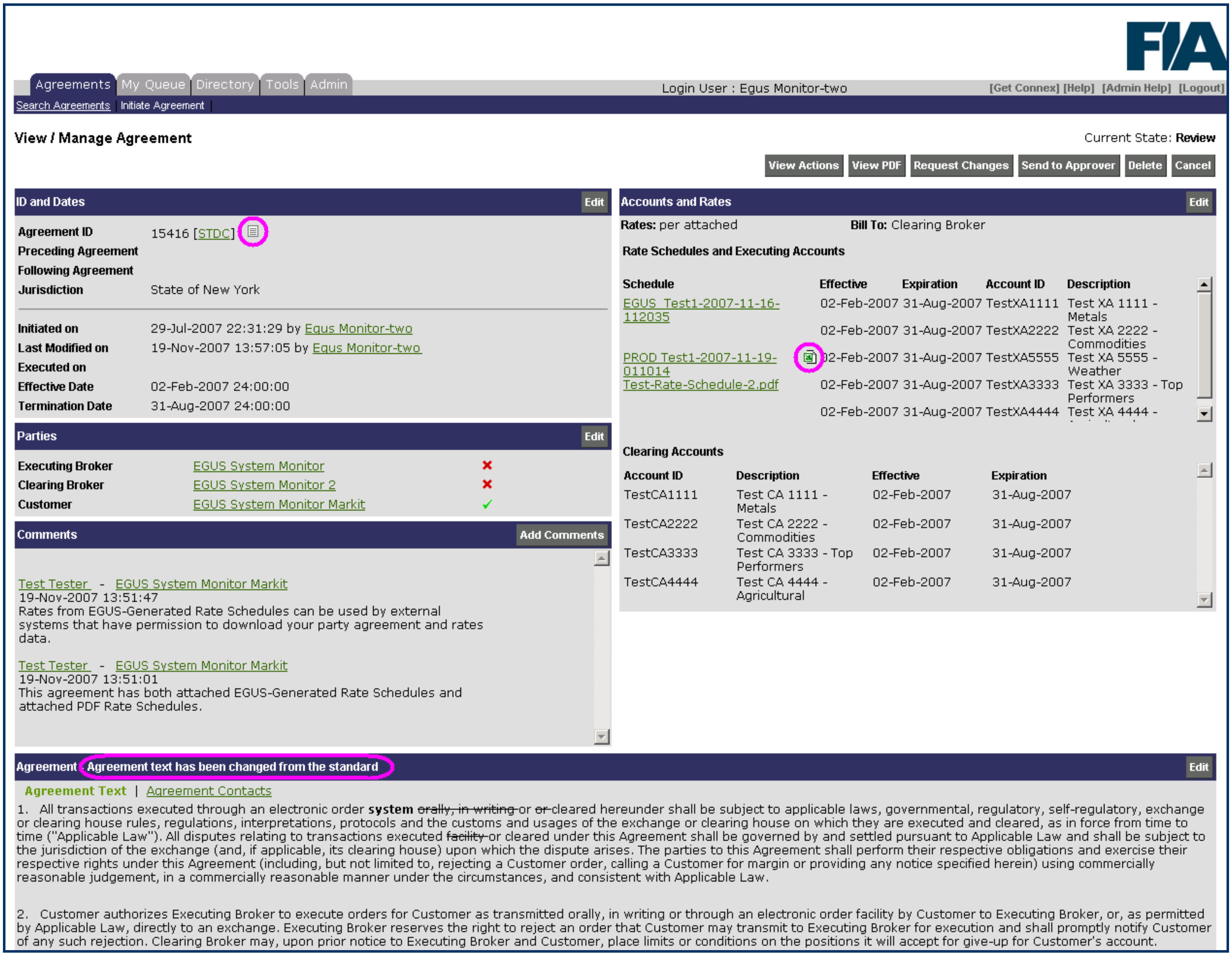
9.1 Access the View / Manage Agreement Page

To access the View / Manage Agreement page:

☑ Access the page automatically as part of the Initiate Agreement process. See the Initiate Agreement page for details.

☑ On the main menu, select **My Queue** or **Agreements**, **Search Agreements**. The My Queue or the Search Agreements page (respectively) displays. Look up the agreement you want. Click the desired **Agreement ID**.

The View / Manage Agreement page displays as follows:



You can view Agreement IDs & Dates, Parties, Comments, Agreement Text, and Accounts & Rates on this page. You can not directly edit or change information on this page; instead, use the following functions available on this page to manage agreements:

- Use the **Edit** buttons that display on the page to access and manage the Agreement IDs & Dates, Agreement Text (only Initiating Party Processors), and Accounts & Rates information.
- Use the Manage function buttons, e.g. the **Request Changes**, **Send to Review**, **Send to Approver**, **Recall Send to Approver**, **Approve**, **Recall Approval**, etc. buttons, shown at the top and bottom of the View / Manage page to manage the agreement.

> ➲ **NOTE**: See Appendix F. View / Manage Agreement Functions by EGUS Queue & User Role / Permissions for a table listing all of the options and the queues in which they appear and the permissions you must have to use them.

- Use the **Review & Comment on Text** button (only non-Initiating Party Processors) to review the Agreement text paragraph by paragraph, view paragraph comments added by all Processors, and send comments for viewing by all Processors to request or comment on changes to the text.
- Use the **Add Comments** button to add overall Agreement comments (vs. the paragraph comments added on the Review & Comment on Agreement Text page).

9.1.1 Agreement Text Changed from Standard Alerts

Note that, in addition to tracking text changes in the Agreement Text panel at the bottom of the page, two additional elements on the View / Manage Agreement page help alert you when the text has changed from the standard Agreement template for this Agreement Type:

- A page icon next to the Agreement ID and Type in the ID and Dates panel at the top left of the page.
- The text "Agreement text has been changed from the standard" next to the Agreement Text title in the title bar of the panel at the bottom of the page.

See pink highlighted areas for examples in the graphic on the previous page.

9.1.2 Attached EGUS-Generated Rate Schedule Changed Alerts

Note that, in addition to tracking text changes from standard, an additional element on the View / Manage Agreement page alerts you when an attached EGUS-generated rate schedule has been changed since it was attached from the library:

- A spreadsheet icon next to the Rate Schedule name of each Customized Rate Schedule listed in Accounts and Rates panel at the top right of the page.
- Place your mouse pointer over the icon to display the text "Rate Schedule has been changed since attached from library".

See pink highlighted areas for example in the graphic on the previous page.

9.2 Edit Agreement IDs, Dates, and Parties

The Agreement IDs and Dates and Parties Edit options open the Initiate Agreement page where you can view or edit the information on that page including agreement identification information, dates, and parties (based on the agreement status and your role).

☑ On the ID and Dates panel or on the Parties panel, click **Edit**. The Initiate Agreement page displays.

9.3 Edit Agreement Accounts and Rates

This option allows you to access the Accounts and Rates page to view or edit the agreement account and rate information on that page (based on the agreement status and your role).

☑ On the My Queue page or Search Agreements page, look up and find the agreement in the In Progress, Review, or Approval queue for which you want to Edit Agreement Accounts & Rates.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ On the Accounts and Rates panel, click **Edit**. The Accounts and Rates page displays.

➲ **NOTE**: To edit rates for non-LME Executed agreements, you must initiate a new version. To edit accounts and/or rates for LME Executed agreements, you must initiate a new version.

9.4 View Agreement Text, PDF, & Contacts

The Agreement panel provides two options for viewing agreements based on visibility:

- ☑ Click the hyperlinked **Agreement Text** option. The agreement with NO rates displays in the panel scrolling area.

  ➲ **NOTE**: Modifications to the agreement text from the original are indicated. Bold indicates added text and text with strikeout indicates deleted text.

- ☑ Click the hyperlinked **Agreement Contacts** option. The Agreement Contact Sheet page displays in a separate window with a list of all designated Documentation and Billing contacts for all parties this agreement.

At the top of the View / Manage Agreement page, you can also choose to view the entire agreement in PDF form:

- ☑ Click the **View PDF** button to view the agreement PDF generated by EGUS or an uploaded legacy PDF file, depending on the type of agreement.

  ➲ **NOTE**: Modifications to the agreement text from the original are indicated. Bold indicates added text and text with strikeout indicates deleted text.

- ☑ Use this PDF to email, save, or print agreements using your desktop.
- ☑ Rates are included in PDF only with correct user permissions / visibility.

9.5 Edit (Customize) Agreement Text

The Edit Agreement Text option allows Initiating Party Processors to review comments from other party Processors and customize the agreement text (based on the agreement status).

- ☑ On the My Queue page or Search Agreements page, look up and find the agreement in the In Progress, Review, or Approval queue for which you want to Edit or Customize Agreement Text.
- ☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.
- ☑ On the View Agreement panel, click **Edit**. The Customize Agreement Text page displays.

  ➲ **TIP**: If the Edit button does not display for an agreement, the Initiating party Processor did not select the **Amend / Customize Agreement: Accounts and Rates and Text** option on the Initiate Agreement page. To select it now, click the Edit button on the ID & Dates panel on the View / Manage Agreement page. The Initiate Agreement page displays. Select the **Amend / Customize Agreement: Accounts and Rates and Text** option and then click **Save & Next**. The Customize Agreement Text page displays.

9.6 Review & Comment on Agreement Text

The Review and Comment on Agreement Text option allows Processors for all non-initiating parties on an agreement to review the agreement text and add comments regarding the agreement text (based on the agreement status) to be reviewed by the Initiating Party Processors. Only the Initiating Party Processors can edit the text of an agreement.

- ☑ On the My Queue page or Search Agreements page, look up and find the agreement in the Review or Approval queue for which you want to Review & Comment on Agreement Text.
- ☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.
- ☑ On the View Agreement panel, click **Review & Comment on Text**. The Review and Comment on Agreement Text page displays.

9.7 Add Comments

This option allows you to add comments for this agreement (based on the agreement status and your role).

☑ On the My Queue page or Search Agreements page, look up and find the agreement in any queue for which you want to Add Comments.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ In the Comments panel, click **Add**. The Add Comments pop-up window opens as follows.

☑ Click in the **Type Your Comments** text box on the left and type the comments you want users for other parties on this agreement to view.

☑ Scroll through the **View All Comments** text box to view all comments for this agreement, including overall comments and any paragraph text-specific comments.

☑ Click **Cancel** to close the pop-up window and not add any comments.

☑ Click **Add** to save your comments and close the pop-up window. Your comments display at the top of the Comments panel on the View / Manage Agreement page. Comments are attributed with your name, party, and date and time added.

9.8 View Actions

The View Actions option allows all users for all parties on the agreement to view the workflow actions for an agreement. Each action includes the user's email address, party, name, date and time action performed, brief description of action, and who receives alerts for each action (see Alerts for more information).

To view actions:

☑ On the My Queue page or Search Agreements page, look up and find the agreement in any queue for which you want to View Actions.

➲ **HINT**: You can click the Status (In Progress, Review, Approval, Executed, etc.) to view actions for an agreement from the My Queue and Search Agreements pages.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ Click **View Actions**. The View Actions pop-up window opens (as shown in the following graphic) with all workflow actions for this agreement.

➲ **NOTE**: The most recent actions display first; oldest display last.


https://fiaegus.markit.com - View Actions - Microsoft Internet Explorer

View Actions

Close

Agreement ID

Agreement Type:	EFPC
Agreement ID:	14760

Parties

Dealer	EGUS System Monitor 2
Clearing Broker	EGUS System Monitor 1
Trader	EGUS System Monitor 3
Customer	Customer Disclosed By Account Number

Username	Party	First Name	Last Name	Action Date	Time	Action	Notification
egusmonitor2@markit.com	EGUS System Monitor 2	Egus	Monitor-two	05-Aug-2007	23:26:19	Executed agreement	All Processors and Approvers
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:26:07	Approved by subscribed party	All Processors and same Party Approver
egusmonitor1@markit.com	EGUS System Monitor 1	Egus	Monitor-one	05-Aug-2007	23:25:57	Approved by subscribed party	All Processors and same Party Approver
egusmonitor1@markit.com	EGUS System Monitor 1	Egus	Monitor-one	05-Aug-2007	23:25:40	Sent to approver	All Processors and same Party Approver
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:25:21	Sent to approver	All Processors and same Party Approver
egusmonitor2@markit.com	EGUS System Monitor 2	Egus	Monitor-two	05-Aug-2007	23:24:02	Sent to approver	All Processors and same Party Approver
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:01:40	Sent to review	All Processors
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:00:57	Updated rates and/or Bill To party	No Notification

Done Internet

➲ **HINT**: You can copy and paste the data from this page into a document or spreadsheet for audit purposes.

9.9 Send to Review

On the View / Manage Agreement page, Initiating Party Processors can use the Send to Review option to move an agreement from the In Progress queue to the Review queue. EGUS sends an alert via Connex (or email) to the other party Processors telling them that the agreement is ready to be reviewed.

To send an agreement to review:

☑ On the My Queue page or Search Agreements page, look up and find the agreement in the In Progress queue that you want to Send to Review for all parties on the agreement.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ Click **Send to Review**. The Processors for all parties on the agreement are notified that this agreement is ready for their review and this agreement displays in the agreement party Processor Review queues.

9.10 Request Changes

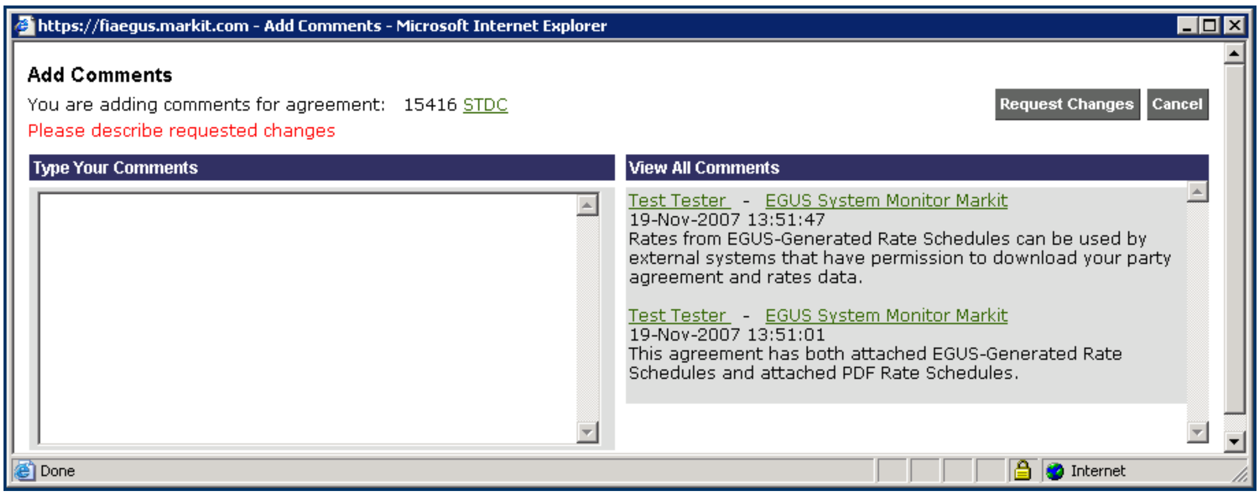
On the View / Manage Agreement page, non-Initiating Party Processors (in the Review queue) and Approvers (in the Approval queue) can use the Request Changes option to request changes to an agreement by the Initiating Party Processors or all/any Processors, respectively. If an Approver Request Changes when an agreement is in the Approval queue, all approvals are removed and the agreement is moved back to the Review queue. If Processor Request Changes in Review queue, the agreement remains in the Review queue. EGUS sends an alert via Connex (or email) to party Processors telling them that the agreement needs to be reviewed.

To request changes to an agreement:

☑ On the My Queue page or Search Agreements page, look up and find the agreement in the Review or Approval queue for which you want to request changes.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ Click **Request Changes**. The Request Changes pop-up window displays as shown below.



☑ Add comments in the **Type Your Comments** box that describe your requested changes.

☑ Click **Request Changes**. The pop-up window closes, the comments you entered display in the Comments panel on the View / Manage Agreement page, and the Processors for all parties on the agreement are notified that you requested changes and to check Comments.

9.11 Send to Approver

This option allows agreement party Processors to send an agreement to their respective party Approvers. Any Processor for a party can send the agreement to that party's approver(s). Once the last party on the agreement sends the agreement to his/her same-party Approver(s), the agreement moves from the Review queue to the Approval queue.

To send to approver:

☑ On the My Queue page or Search Agreements page, look up and find the agreement in the Review queue that you want to Send to Approver for your party.

☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.

☑ Click **Send to Approver**.

- The party approver(s) for your party are notified that this agreement is ready for their review and approval.

9.12 Recall Send to Approver

This option allows agreement party Processors to recall their Send to Approver action for their party. Once the last party sends the agreement to the same-party Approver(s), the agreement moves from the Review queue to the Approval queue.

To recall send to approver:

- ☑ On the My Queue page or Search Agreements page, look up and find the agreement in the Review or Approval queue for which you want to Recall Send to Approver.
- ☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.
- ☑ Click **Recall Send to Approver**. The party Processor(s) for this agreement are notified of this action and that this agreement needs their review.

9.13 Approve

Only agreements in Approval status can be approved and only users with Approver permission can approve agreements. Parties may require one or two approvals for an agreement. Any Approver assigned to party can approve an agreement for that party.

To approve an agreement:

- ☑ On the My Queue page or Search Agreements page, look up and find the agreement in the Approval queue that you want to approve.
- ☑ Click the **Agreement ID** for the agreement. The View / Manage Agreement page displays with the selected agreement.
- ☑ Review the agreement to ensure all components meet your party's approval.
- ☑ Click **Approve**. The agreement is now approved for your party. If your party is the last party on the agreement to approve, the status of the agreement changes from Approval to Executed. If no Effective Date was previously entered for this agreement, today's date is assigned.
  - All parties are notified of your approval, and if your approval is the last approval, all parties are also notified that the agreement has been Executed.

9.14 Recall Approval

Only users with Approver permission can recall approval—and they can only recall their own approval. If an agreement is still in the Approval state and you approved the agreement, you can recall your approval for your party. Once the last party Approver has Approved and an agreement is Executed, you can not recall approval.

When recalling approval, an approver may add comments to explain the recall but they are not required for Recall Approval.

To recall your approval of an agreement:

- ☑ On the My Queue page or Search Agreements page, look up the agreement in the Approval queue for which you want to recall approval, and then click the **Agreement ID**. The View / Manage Agreement page displays with the selected agreement.
- ☑ Click **Recall Approval**. A confirmation message displays.
- ☑ Click **Ok**. Your approval has been recalled and the **Recall Approval** button changes back to the **Approve** button.
  - All parties are alerted to the recalled approval for your party.

9.15 Delete

Only Initiating Party Processors can delete agreements and only agreements in the In Progress, Review, or Approval queues can be deleted; Executed agreements can not be deleted. Deleting an agreement permanently deletes it from the system and you can no longer look up or view the agreement.

➲ **NOTE**: Non-initiating Party Processors can use the Move to Stale feature to remove an agreement from their active workflow queues, e.g. Review and Approval. See the Move to Stale topic.

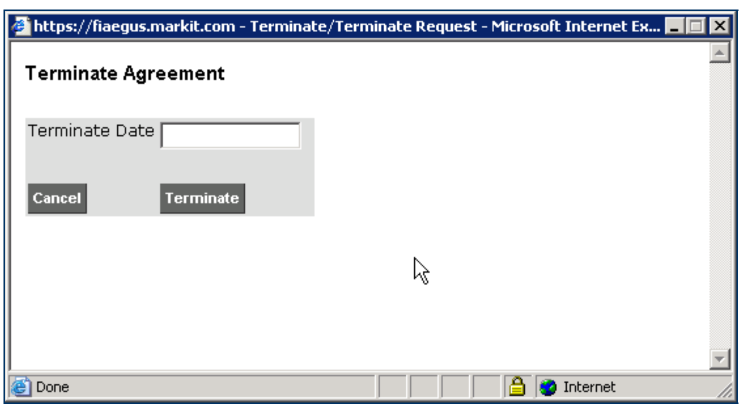
To delete an agreement:

- ☑ On the My Queue page or Search Agreements page, look up the agreement in the In Progress or Review queue that you want to delete, and then click the **Agreement ID**. The View / Manage Agreement page displays with the selected agreement.
- ☑ Review the agreement to ensure you are deleting the correct agreement.
- ☑ Click **Delete**.
- ☑ Click **OK** to confirm the deletion. The agreement is now deleted and other party processors are notified.

9.16 Terminate

An Approver for a party on an agreement can review, and, if necessary, terminate an agreement using the Terminate option on the View / Manage Agreement page:

- ☑ On the My Queue page or Search Agreements page, look up the executed agreement you want to terminate (i.e. cancel), and then click the **Agreement ID**. The View / Manage Agreement page displays with the selected agreement.
- ☑ Ensure this is the agreement you want to terminate (and/or version).
- ☑ Click **Terminate**. The Terminate Agreement pop-up window displays as shown in the following example.



- ☑ Type the **Termination Date** using DD-Mmm-YYYY standard date format.
- ☑ Click **Terminate**. The system asks you if you are sure and asks if you would like to terminate the agreement or create a new version of the agreement.
- ☑ Click **Yes**. This executed agreement is terminated as of the date you entered. If you selected to create a new version, the Initiate Agreement page displays with this agreement as the preceding agreement. Proceed with creating the new version as if you were initiating a new agreement.

9.17 Move to Stale

Processors from non-initiating parties on an agreement can move an agreement from the In Progress, Review, or Approval queue to the Stale queue anytime using the Move to Stale feature. (Initiating party Processors can always delete agreements to rid their queues of unwanted agreements, and now that the Move to Stale feature was introduced, non-initiating party Processors can use it to rid their queues of unwanted agreements.)

For example, if a Processor for the Clearing Broker party on an agreement sends a message (e.g. a Connex IM) to the initiating party Processor for the Executing Broker requesting that the initiating party Processor delete an unwanted agreement and the initiating party Processor does not respond in a timely fashion, the non-initiating party Processor can use the Move to Stale option on the View / Manage Agreement page.

The Move to Stale option moves the agreement to the Stale queue immediately. When an agreement is in the Stale queue, a Processor for any party on the agreement can use the Recall from Stale feature to move the agreement back to their In Progress queue and their party would become the initiating party for the agreement.

➲ **NOTE**: EGUS automatically moves to the Stale queue agreements that have been in the In Progress, Review, or Approval queue with no activity (i.e. have not been commented on, edited, approved, etc.) for 90 days.

To move an agreement to the Stale queue (on the View / Manage Agreement page):

- ☑ Go to the My Queue page or Search Agreements page.
- ☑ Look up and find the agreement in the In Progress, Review, or Approval queue that you want to move to the Stale queue.
- ☑ Click the **Agreement ID**. The agreement displays on the View / Manage Agreement page.
- ☑ Click **Move to Stale**. The agreement is moved from its current queue to the Stale queue and an alert is sent to the Connex forum and an action recorded for this agreement.

9.18 Recall from Stale

Agreements in the In Progress, Review, or Approval queue that have been inactive (i.e. have not been commented on, edited, approved, etc.) for 90 days are automatically moved to the Stale queue, and users can move agreements in the In Progress, Review, or Approval queue to the Stale queue anytime. Recalling an agreement from the Stale queue moves the agreement to the In Progress queue and the current user's party is assigned as the Initiating Party for the agreement (regardless of the original Initiating Party).

To recall an agreement from the Stale queue, on the View / Manage Agreement page:

- ☑ Go to the My Queue page or Search Agreements page.
- ☑ Look up and find the agreement in the Stale queue that you want to Recall from Stale.
- ☑ Click the **Agreement ID**. The agreement displays on the View / Manage Agreement page.
- ☑ Click **Recall from Stale**. The agreement is moved from the Stale queue to the In Progress queue and you can continue processing the agreement as the Initiating Party Processor.

9.19 Initiate New Version

If you have the appropriate permissions, you can select the **Initiate New Version** button for an Executed agreement on the View / Manage Agreement page. See the Initiate New Version section for details.

Chapter 10 Review and Comment on Agreement Text

Processors who are not Initiating Party Processors use the Review and Comment on Agreement Text page to review any changes the Initiating Party Processors may have made to an agreement and add comments to request that an Initiating Party Processor change the agreement text. The Processors can also review and comment on the paragraph comments made by Processors for the other parties on the agreement.

10.1 Access the Review and Comment on Agreement Text Page

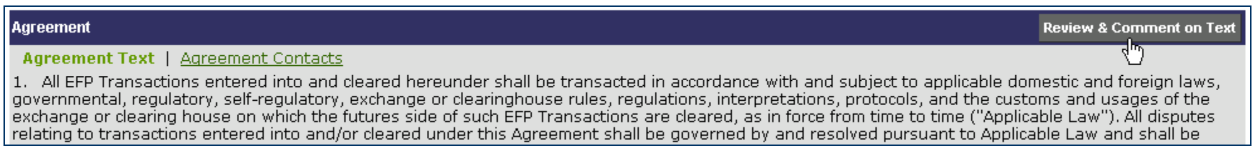
To access the Review and Comment on Agreement Text page:

☑ On the main menu, select **Queues** or **Agreements**, **Search Agreements**. The My Queue page displays.

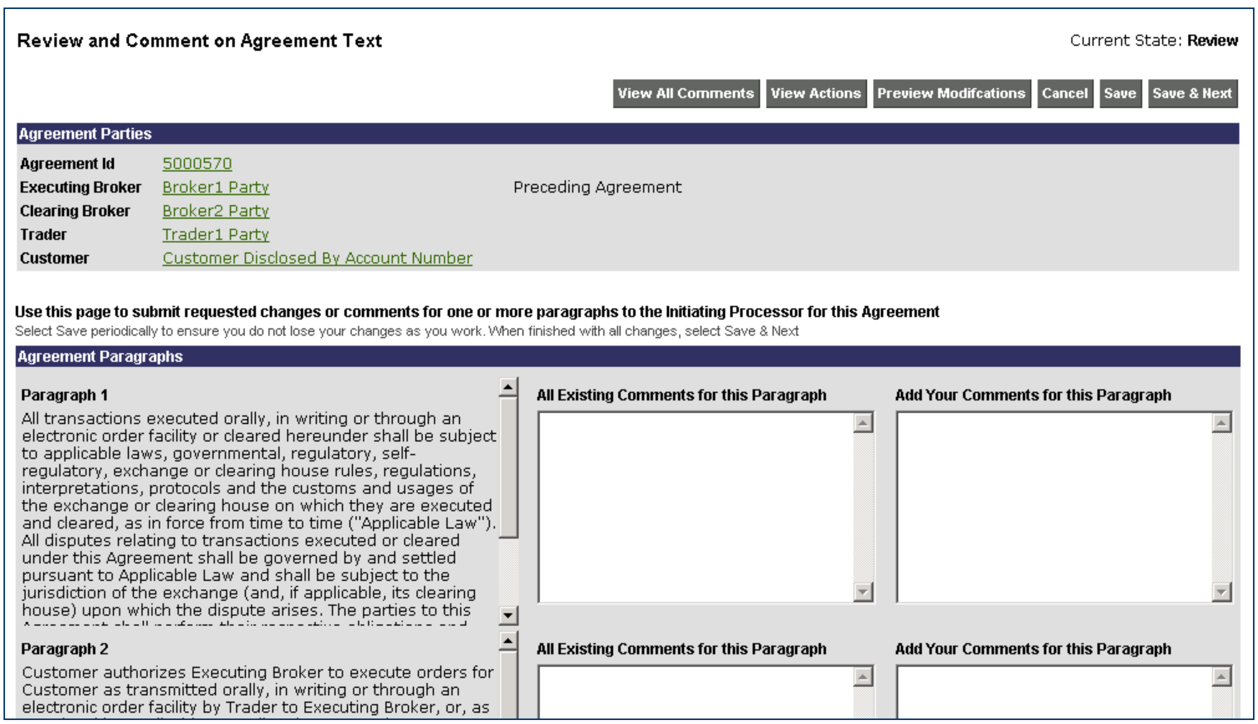
☑ Search for the agreement for which you want to review or customize the agreement text.

☑ Click the **Agreement ID**. The View / Manage Agreement page displays.

☑ On the **Agreement** panel at the bottom of the page, click **Review & Comment on Text** (see example below).



The Review and Comment on Agreement Text page displays as follows.



10.2 View All Comments

This option allows Processors to view all comments or requests for revisions from other parties for each paragraph in the agreement and for the overall agreement.

☑ Click **View All Comments** for the desired paragraph. The View Comments pop-up window opens with all comments for agreement, including all paragraph comments. See View Comments pop-up window for details.

10.3 View Actions

This option allows all users for all parties on an agreement to view the all workflow actions performed to date for this agreement.

☑ Click **View Actions**. The View Actions pop-up window opens.

10.4 Preview Modifications

This option allows Processors to view the current agreement text with all *saved* customizations (i.e. modifications).

☑ Click **Preview Modifications** for the desired paragraph. The View / Manage Agreement page opens with the current text inserted in the Agreement area.

10.5 Add Paragraph Comments

This option allows Processors for all non-initiating parties on this agreement to add comments for selected paragraphs on this agreement (based on the agreement status).

☑ Click in the desired **Add Your Comments for this Paragraph** text box and type your comments for this paragraph.

10.6 Save Paragraph Comments

Select **Save** periodically to ensure you do not lose your comments as you work. When finished with comments, **Save & Next** (depending on where you are in the workflow). Note that once you save a comment, you can not change it

☑ Click **Save** to save your comments and stay on this page to continue working or move to any page of your choice and return to this agreement with all of the paragraph comments you entered saved.

☑ Click **Save & Next** to save your comments and display the next agreement workflow page: Accounts & Rates.

➲ **NOTE**: Click **Cancel** to not save (any comments entered since the last time you saved on this page) and re-display the previous page.

Chapter 11 View Actions

Use the View Actions page to view all workflow actions for a selected agreement. By default, the most recent actions display first.

11.1 Access the View Actions Page

To access the View Actions page:

☑ On the main menu, select **My Queue** or **Agreements**, **Search Agreements**. The My Queue or Search Agreements page (respectively) displays.

☑ Look up the agreement you want.

☑ Either:

- Under the **Status** column heading, Click the [**Status**] (i.e. In Progress, Review, Approval, Executed, Terminated, or Stale) for the desired agreement, OR
- Click the **Agmt ID** for the desired agreement. The View / Manage Agreement page displays. Click **View Actions**.

➲ **NOTE**: The **View Actions** button is also available on the View / Manage Agreement page and the Review & Comment on Agreement Text page.

The View Actions pop-up window displays as follows.


https://fiaegus.markit.com - View Actions - Microsoft Internet Explorer

View Actions

Close

Agreement ID

Agreement Type: EFPC
Agreement ID: 14760

Parties

Dealer: EGUS System Monitor 2
Clearing Broker: EGUS System Monitor 1
Trader: EGUS System Monitor 3
Customer: Customer Disclosed By Account Number

Username	Party	First Name	Last Name	Action Date	Time	Action	Notification
egusmonitor2@markit.com	EGUS System Monitor 2	Egus	Monitor-two	05-Aug-2007	23:26:19	Executed agreement	All Processors and Approvers
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:26:07	Approved by subscribed party	All Processors and same Party Approver
egusmonitor1@markit.com	EGUS System Monitor 1	Egus	Monitor-one	05-Aug-2007	23:25:57	Approved by subscribed party	All Processors and same Party Approver
egusmonitor1@markit.com	EGUS System Monitor 1	Egus	Monitor-one	05-Aug-2007	23:25:40	Sent to approver	All Processors and same Party Approver
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:25:21	Sent to approver	All Processors and same Party Approver
egusmonitor2@markit.com	EGUS System Monitor 2	Egus	Monitor-two	05-Aug-2007	23:24:02	Sent to approver	All Processors and same Party Approver
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:01:40	Sent to review	All Processors
egusmonitor3@markit.com	EGUS System Monitor 3	Egus	Monitor-three	05-Aug-2007	23:00:57	Updated rates and/or Bill To party	No Notification

Done | Internet

11.2 View Actions

The most recent actions display first. Actions or various information may not display based on visibility rules, e.g. if you are logged in as a Broker party and a Customer or Trader party has not granted you visibility, that Customer or Trader party name does not display.

☑ Use the scroll bar to view all actions for this agreement.

Chapter 12 Alerts via Markit Connex IM

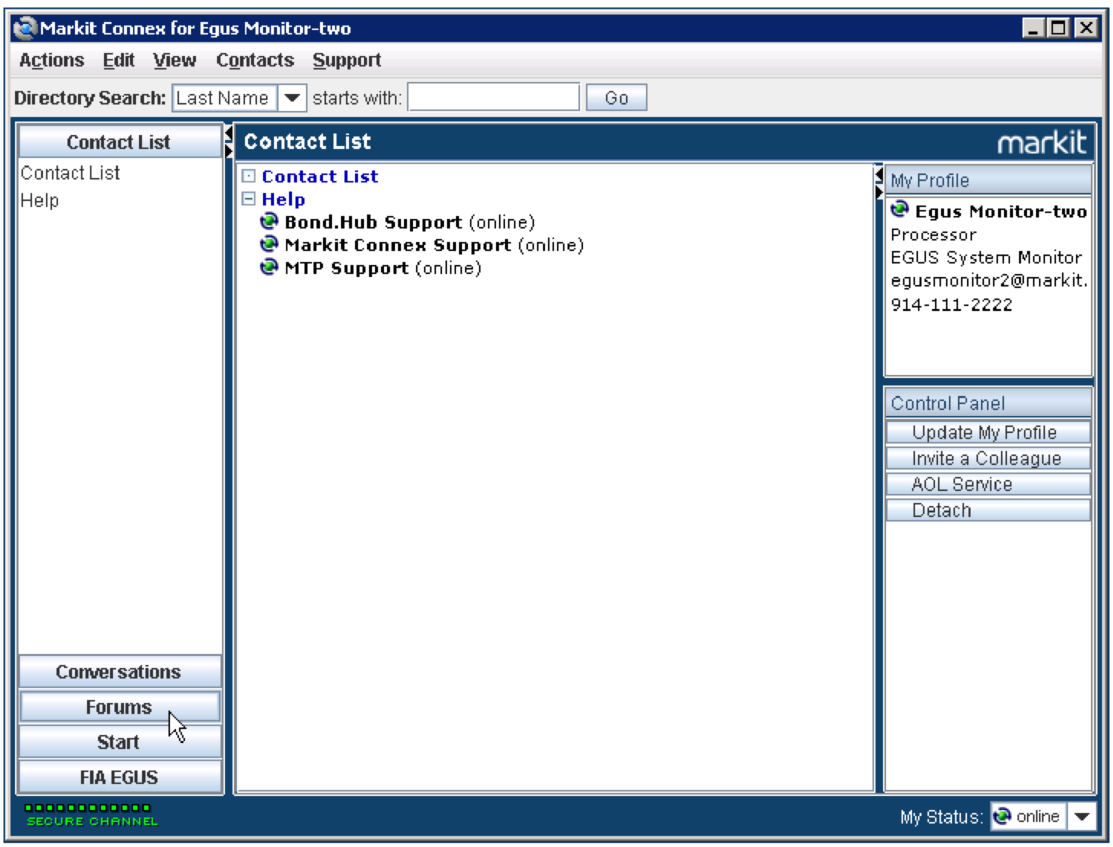
EGUS offers a unique system of alerts to highlight immediately to users when an agreement workflow action is required for an agreement. EGUS alerts are provided via the Markit Connex IM tool, which is provided free to FIA EGUS users. Note that if you do not have Connex, EGUS alerts are sent as email messages to your work email address.

In Connex, a new Connex Forum—or discussion group—is automatically opened for each new agreement when it is sent to review by an Initiating Party Processor. A Forum is identified by an Agreement ID and users for the parties on the agreement are added to the Forum as they are required in the workflow process. For example, Approvers (who are not also Processors) are not added until the agreement moves to the Approver queue.

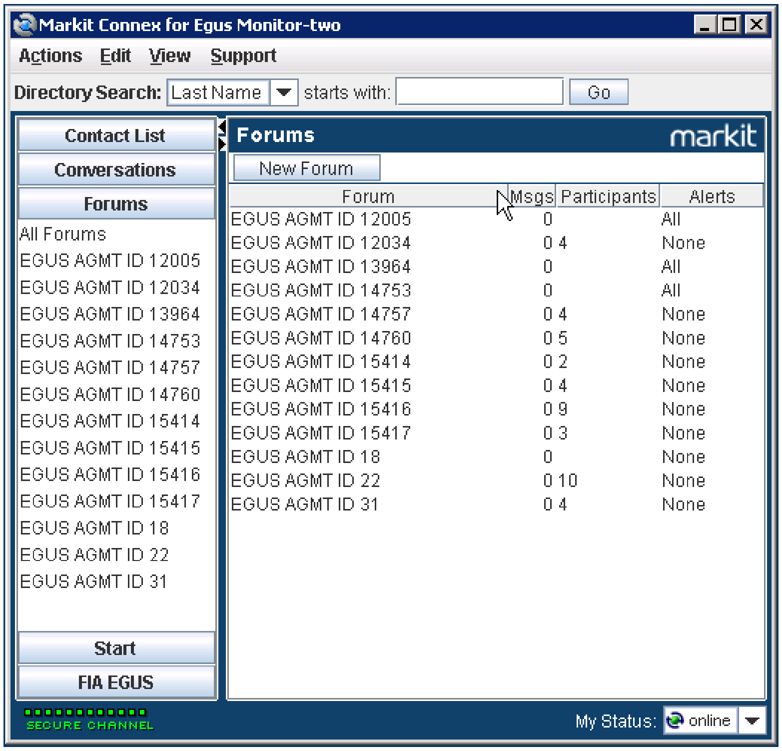
12.1 To Access Agreement Forums

To access a Forum for a selected Agreement:

☑ Select the **Forums** button on the bottom left of the Markit Connex window as shown in the following example.



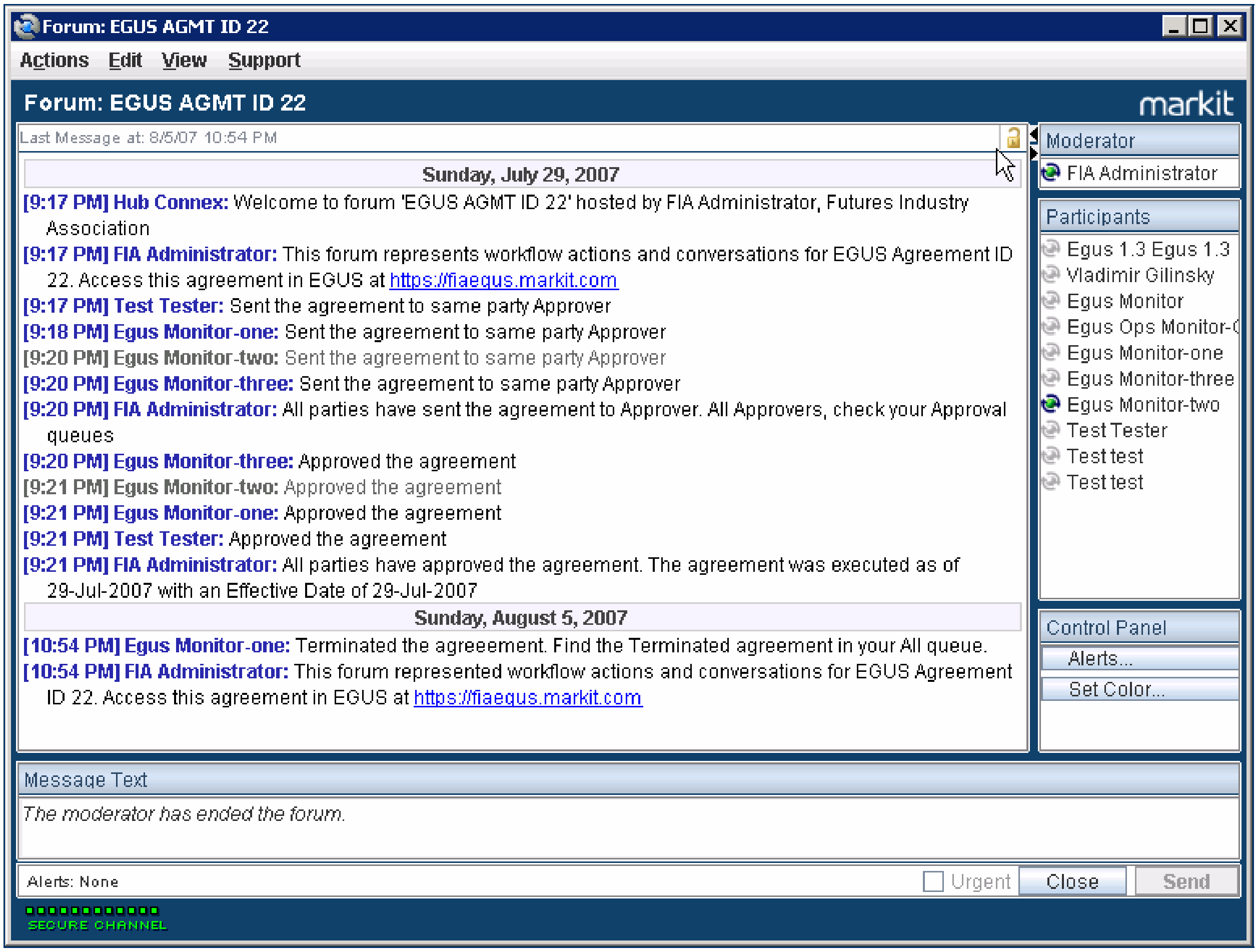
The Forums list displays as shown in the following example.



☑ Single-click a Forum name (e.g. EGUS AGMT ID 15417) in the list at left, or double-click a Forum name in the list at right. The Forum displays in a pop-up window, as shown in the following example.

➲ **TIP**: You can create your own Connex Forums to discuss other topics with people at your firm, at other firms, or a combination of the two. Forums can have as few as two people or as many people as you like.

The example shows a Forum for an agreement that was Executed and then was Terminated after Execution. Note that the Forum in the example is closed because the agreement was Terminated. Forums display alerts when users add comments, request changes, update rates, accounts, text, parties, etc. so you know when you need to check any specific information on an agreement.



12.2 Instant Message Connex Forum Participants

You can also send instant messages to the current participants of agreement Forum anytime:

☑ Click in the **Message Text** area of the Markit Connex window.

☑ Type your comments.

☑ Click **Send**. Your comments are added to the Forum and all Forum participants can read them.

Chapter 13 My Queue

The My Queue page is used to search for and view the Agreements in your queues. Search criteria include:

- Parties
- Executing and/or Clearing Account IDs
- Agreement ID
- Agreement Type
- Effective, Termination, or Modified Dates

You can also view the Agreements in your queue by status:

- All
- In Progress
- Review
- Approval
- Executed
- Terminated
- Stale

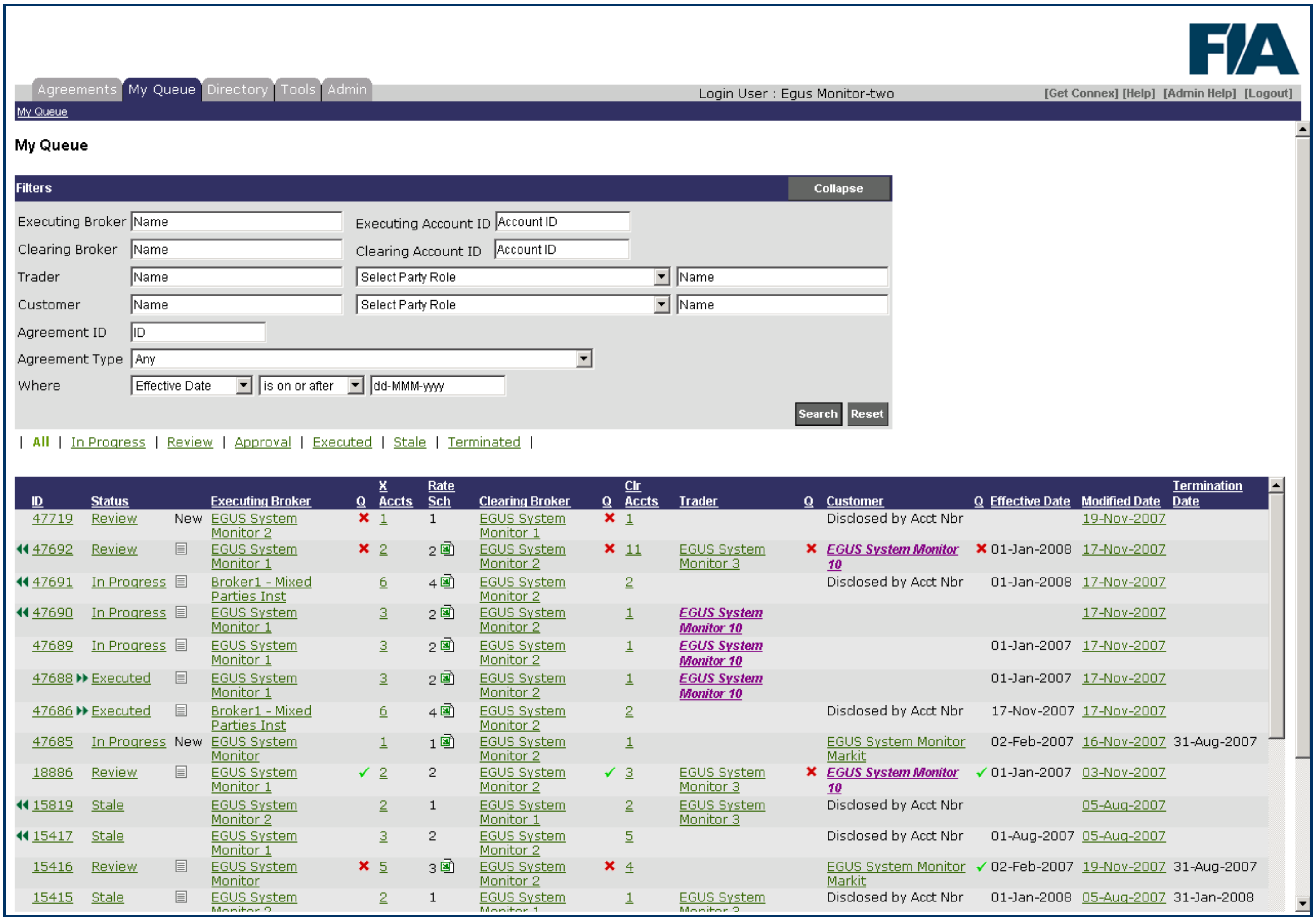
➲ **NOTE**: This page displays only the four standard / primary parties, i.e. **Executing Broker** (or Dealer), **Clearing Broker**, **Trader**, and **Customer**, and each party's current workflow status for an agreement in a particular queue. To view current workflow status for all other parties, e.g. Carrying Broker, for an agreement, click the **Agreement ID** to display the View / Manage Agreement page and the Parties panel—or click the current **Status**, e.g. Review, to display the View Actions pop-up window.

➲ **HINT**: You can copy and paste the data from the My Queue search results list into a document or spreadsheet for audit purposes.

13.1 Access the My Queue Page

To access the My Queue page:

☑ On the main menu, select **My Queue**. The My Queue page displays as follows.



13.2 Finding Agreements

Enter any desired search criteria, and then click **Search**. To search by status, click one of the status links below the search fields: All, In Progress, Review, Approval, Executed, or Stale.

13.3 Reading My Queue Alerts

Several indicators are used on this page to aid EGUS users in determining the current workflow step requiring attention for each agreement in your queue.

☑ **EGUS-Generated / Upload & Agreement Type** indicator:

- Place the mouse pointer over an [**Agreement ID**] to display text that tells you if this agreement was created in EGUS or uploaded as a PDF along with the Agreement Type (includes long name and short code).

☑ **[Preceding / Following Agreement]** indicators:

- A double left arrow icon (**<<**) on the left side of the **Agreement ID** indicates that this agreement has been versioned and has one or more preceding agreements(s) (also referred to as parent agreements). Click the icon to view the preceding agreement.
- A double right arrow icon (**>>**) on the right side of the **Agreement ID** indicates that this agreement has been versioned and has one or more following agreement(s) (also referred to as child agreements). Click the icon to view the following agreement.

➲ **NOTE**: An agreement can have both preceding and following agreements.

➲ **NOTE**: You can not edit an Executed agreement with a new version in progress.

☑ **Status** indicators:

- The text **New** indicates that this agreement is a new agreement and has not yet been versioned and the text has not been changed from the standard.
- A piece of paper icon indicates that the text for this agreement has been changed from the standard for this Agreement Type. (Note that this indicator supersedes the NEW indicator, so if an agreement is both NEW and changed from the standard, this icon displays.) Place the mouse pointer over the paper icon to view text "Agreement has been changed from standard".
- A spreadsheet icon next to the number of rate schedules attached indicates that an attached rate schedule created in EGUS and stored in your library has been customized since it was attached to this agreement. Place the mouse pointer over the paper icon to view text "Agreement has been changed from standard".

☑ **Q** (i.e. **Queue**) indicators by party:

- A red x icon (X) indicates that this party has not yet completed the current workflow action.
- A green checkmark icon (√) indicates that this party has completed the current workflow action, i.e. the party has sent this agreement to the next queue. For example, if an agreement is in the Review queue and a party Processor has Sent to Approver, the green checkmark displays in the **Q** field for that party.
- **NOTE**: If a party requires two approvers and an agreement is in the Approval state, the x and checkmark icons only display when both approvers have not approved or have approved the agreement, respectively. To view two checkmarks or x icons for agreements requiring two approvals, you must access the agreement on the View / Manage Agreement page.

☑ **X Accts**, **Rate**, and **Clr Accts** indicators:

- These fields indicate the number of Executing Accounts, Rate Schedules, and Clearing Accounts for this agreement. Click the [**hyperlinked number**] to view a summary of the selected items.
- A red zero (**0**) indicates that this type of account or rate has not yet been entered for the agreement.

13.4 View All Agreements in Your Queues

The My Queue page includes a default All option that allows you to view all agreements in the In Progress, Review, Approval, Executed, Terminated, and Stale queues where any of your assigned parties are a party on the agreement.

To view all agreements in your queues:

☑ Click **All**. All agreements for all of your assigned parties in all queues display in the list below.

13.5 View Agreements for a Selected Workflow Queue

The My Queue page allows you to automatically view your assigned party's or parties' (i.e. if you are assigned to more than one party for your institution) agreements by workflow queue, including the following:

- In Progress
- Review
- Approval
- Executed
- Terminated
- Stale

To view agreements for a selected queue:

☑ Click the hyperlinked queue name (e.g. **In Progress**, **Review**, etc.). Your parties' agreements in the selected queue display in the list below.

➲ **NOTE**: Use the Search Agreements page to look up agreements that are not available on the My Queue page.

13.6 Select Filters and Search

To search for a particular agreement or set of agreements in a queue for your assigned parties:

☑ Enter the filter criteria you want.

☑ Click **Search** to perform the search using the filter criteria you entered. The results display in the list below.

☑ Click **Reset** to clear the existing Filters and start over.

☑ Click **Next Page** and **Previous Page** to move the next set of results in the list if applicable.

Chapter 14 Search Agreements

Use the Search Agreements page to look up and view agreements matching your search criteria. Criteria include:

- Parties
- Executing and/or Clearing Account IDs
- Agreement ID
- Agreement Status
- Agreement Type
- Effective, Termination, or Modified Dates

On this page, you can select an agreement to:

- Initiate a new version of the agreement
- Access the agreement PDF to download / email / print it

From this page you can use hyperlinks to access an agreement on the View / Manage Agreements page, a pop-up window with a summary of Executing and Clearing Accounts, or a pop-up window with all the actions for this agreement.

➲ **TIP**: See the My Queue page topic for additional information about reading alerts, etc.

You can also view the Agreements in your queue by status, including All, In Progress, Review, Approval, Executed, Terminated, or Stale.

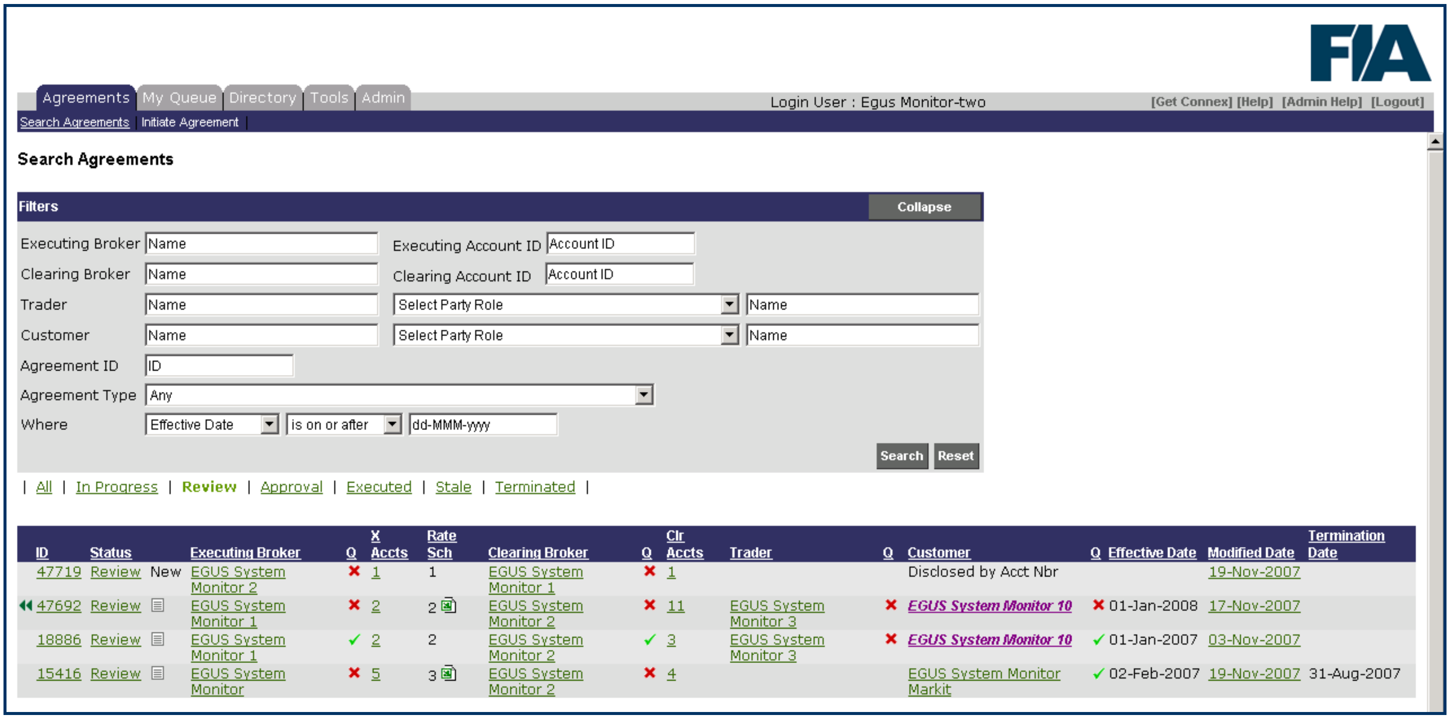
➲ **NOTE**: This page displays only the four standard / primary parties, i.e. **Executing Broker** (or Dealer), **Clearing Broker**, **Trader**, and **Customer**, and each party's current workflow status for an agreement in a particular queue. To view current workflow status for all other parties, e.g. Carrying Broker, for an agreement, click the **Agreement ID** to display the View / Manage Agreement page and the Parties panel—or click the current **Status**, e.g. Review, to display the View Actions pop-up window.

➲ **HINT**: You can copy and paste the data from the Search Agreements page search results list into a document or spreadsheet for audit purposes.

14.1 Access the Search Agreements Page

To access the Search Agreements page:

☑ On the main menu, select **Agreements**, **Search Agreements**. The Search Agreements page displays as follows.



14.2 Select Filters and Search

☑ Enter the filter criteria you want.

☑ Click **Search** to perform the search using the filter criteria you entered. The results display in the list below.

☑ Click **Reset** to clear the existing Filters and start over.

☑ Click **Next Page** and **Previous Page** to move the next set of results in the list if applicable.

Chapter 15 Upload a Legacy Agreement

Use the Upload Legacy Agreement function to upload already executed legacy agreements. You must complete all information when you upload a legacy agreement—you can not save and return to an uploaded legacy agreement to complete it. Ensure you have the following information before you begin:

- Original agreement in PDF format (required)
- Exact Party Names (required)
- Executed Date (required), Effective Date and Termination Date (optional)
- Clearing Reference Account Number(s)
- Executing Reference Account Number(s)
- Rate Schedule(s) in PDF format or saved in your EGUS Rate Schedule library

➲ **CAUTION!** Rate schedule(s) must be uploaded as separate file(s) from the agreement PDF to hide rates from parties other than Executing Broker, Dealer, Trader, and Customer. If rate schedule(s) are uploaded as part of the uploaded legacy agreement PDF, EGUS cannot support hiding rates for this agreement from these parties.

To upload a legacy agreement, follow these basic steps – see individual topics for detailed instructions:

➲ Access the Upload Legacy Agreement page.

➲ Upload the agreement PDF file (on the Upload Legacy Agreement page) (see note above about Rate Schedules and hiding rates).

➲ Select the **Agreement Type** (on the Upload Legacy Agreement page).

➲ Select the standard parties for the agreement (on the Upload Legacy Agreement page).

➲ Select up to four additional parties for the agreement using the **More Parties** button (on the Upload Legacy Agreement page).

➲ Enter Executed, Effective, and Termination Dates for the agreement (on the Upload Legacy Agreement page).

➲ Add accounts and rates information for the agreement on the Accounts & Rates page. This step includes attaching rate schedules if necessary.

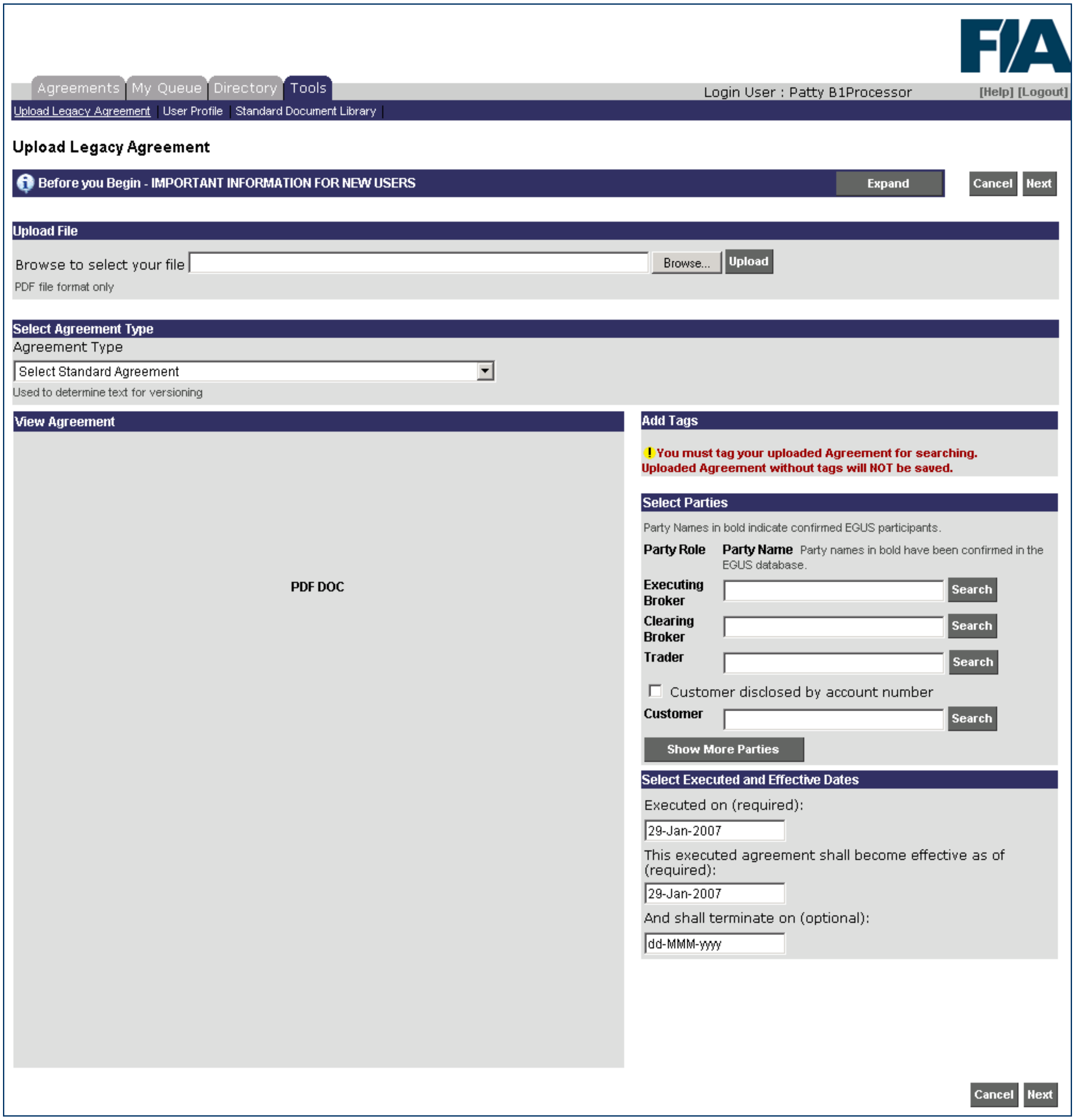
➲ Review and execute the agreement from the View / Manage Agreement page.

The Upload Legacy Agreement process moves you from page to page during the process and you can not interrupt the process until you are on the View / Manage Agreement page.

15.1 Access Upload Legacy Agreement Page

To access the Upload Legacy Agreement page:

☑ Click **Tools**, **Upload Legacy Agreement**. The Upload Legacy Agreement page displays as follows.



15.2 Step 1: Upload File

When uploading a legacy agreement on the Upload Legacy Agreement page, the first step is to upload the agreement PDF file:

☑ Click **Browse**.

☑ Navigate to the file you want and click **OK**. The path and filename display on the Upload Legacy Agreement page in the **Browse to select your file** field.

> ➲ **NOTE**: The file must be in PDF file format.

☑ Click **Upload** to upload the legacy agreement. The agreement displays in the View Agreement panel below.

> ➲ **HINT**: Use the View Agreement panel to help you select the correct tags.

15.3 Step 2: Select Agreement Type

When uploading an agreement on the Upload Legacy Agreement page, the second step is to select the agreement type:

☑ Under **Agreement Type**, click in and select the corresponding agreement type for this uploaded legacy agreement.

15.4 Step 3: Select Parties

When uploading an agreement on the Upload Legacy Agreement page, the third step is to select the standard parties and up to four additional parties using the **More Parties** button.

To select Standard Parties (Executing Broker / Dlr, Clearing Broker, Trader, Customer):

☑ In the appropriate Party Name field, click **Search**. The **Select Parties** pop-up window opens.

☑ Search for and select the party you want to add to this agreement. The Party Name displays in the selected **Party Name** field on the Initiate Agreement page.

☑ Repeat for each standard party you want to add.

> ➲ **NOTE**: If the Trader is disclosing the Customer by account number only, select the **Customer disclosed by account number** checkbox. The text "Customer disclosed by account number" displays in the Customer Party Name field.

To select More Parties (LME Executing Broker, Carrying Broker, etc.):

☑ If only the four standard party fields display, click the **More Parties** button.

☑ Click in a blank **Party Role** drop-down and select the additional party role you want to add to this agreement.

☑ Click the **Search** button corresponding to the party role. The **Select Parties** pop-up window opens.

☑ Search for and select the party you want to add to this agreement. The party name you selected displays in the appropriate **Party Name** field on the Initiate Agreement page.

☑ Repeat for each additional non-standard party you want to add.

15.5 Step 4: Enter Executed, Effective, and Termination Dates for a Legacy Agreement

When uploading an agreement on the Upload Legacy Agreement page, the fourth step is to enter the relevant agreement dates:

- ☑ Click in the **Executed on** field and type the date this agreement was executed using the standard format. If you do not enter a date, today's date is used.
- ☑ Click in the **Effective Date** field and type effective date for this agreement using the standard format. If you do not enter a date, today's date is used.
- ☑ Click in the **Termination Date** field and type termination date for this agreement using the standard format. This field is optional.

15.6 Amend / Customize an Uploaded Legacy Agreement

You can not customize agreement text when uploading a legacy agreement (because the text is in PDF format and can not be modified in EGUS or compared to the standard for the agreement type). Note that when you version an uploaded legacy agreement, you can amend / customize the text then, as necessary.

15.7 Step 5: Add Accounts and Rates when Uploading a Legacy Agreement

When uploading a legacy agreement, the fifth step is to add accounts and rates information:

- ☑ Click **Next**. The Accounts and Rates page displays.
- ☑ Add Accounts and Rates information for this uploaded legacy agreement. See the Manage Accounts and Rates topic for details.
- ☑ Click **Save & Next**. A summary of all information you added for this legacy agreement displays on the View / Manage Agreement page.

15.8 Step 6: Confirm Accuracy and Execute an Uploaded Legacy Agreement

When uploading a legacy agreement on the Upload Legacy Agreement page, the sixth and final step is to review and execute the agreement. The agreement remains in the 'In Progress' queue until you execute it.

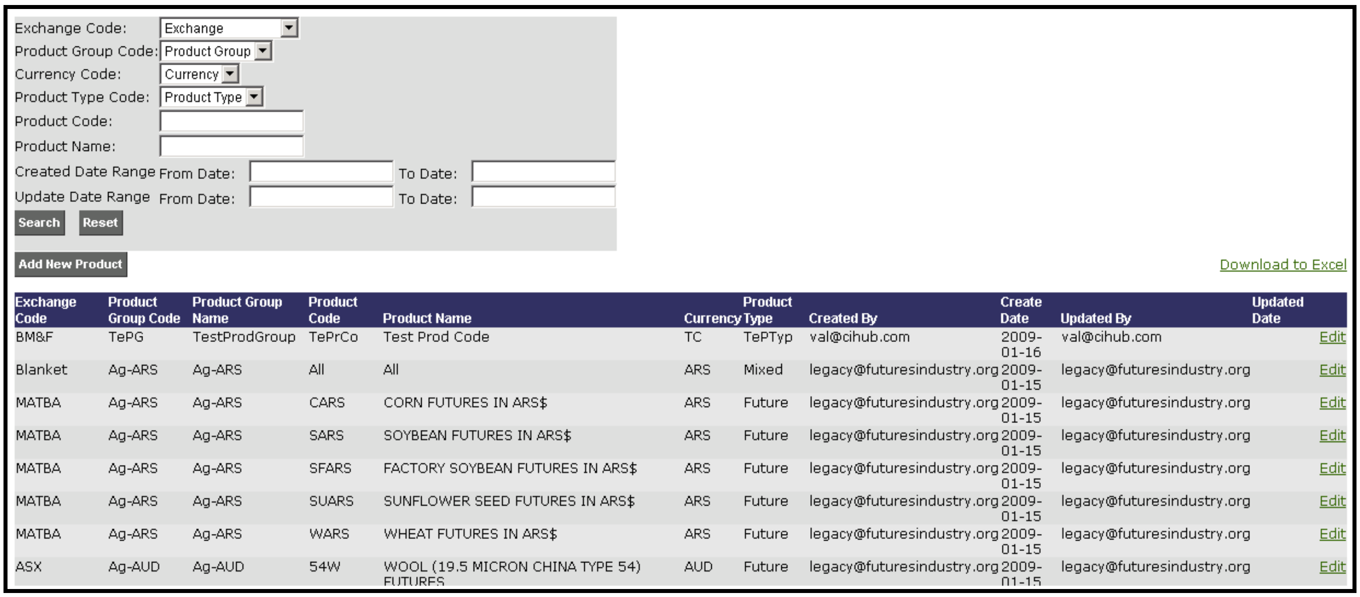
On the View / Manage Agreement page:

- ☑ Review all information for the uploaded legacy agreement to ensure accuracy.
- ☑ Click the appropriate **Edit** to update any incorrect information.
- ☑ Once you are satisfied that all information is correct, click **Execute**. The agreement is uploaded and tagged and can be searched.

Chapter 16 Product Reference Data Report

An option in the Tools Menu is the Product Report. The screen is shown below. It allows authorized users to search, view, and download product data. The search criteria is a set of drop down lists to provide for very finely-filtered searches. Criteria for exchange, product group, currency, product type, product code, product name, creation date range , and last update date range are available. In addition, the Product Name field allows a partial text string search, i.e. a wild card search without having to specify a "%" or "*" character.

To download the report displayed on the screen, click the download to Excel button. The user is prompted to either open the Excel file or save it.



Exchange Code: Exchange
Product Group Code: Product Group
Currency Code: Currency
Product Type Code: Product Type
Product Code:
Product Name:
Created Date Range From Date: To Date:
Update Date Range From Date: To Date:
Search Reset
Add New Product
Download to Excel

Exchange Code	Product Group Code	Product Group Name	Product Code	Product Name	Currency	Product Type	Created By	Create Date	Updated By	Updated Date	
BM&F	TePG	TestProdGroup	TePrCo	Test Prod Code	TC	TePTyp	val@cihub.com	2009-01-16	val@cihub.com		Edit
Blanket	Ag-ARS	Ag-ARS	All	All	ARS	Mixed	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
MATBA	Ag-ARS	Ag-ARS	CARS	CORN FUTURES IN ARS$	ARS	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
MATBA	Ag-ARS	Ag-ARS	SARS	SOYBEAN FUTURES IN ARS$	ARS	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
MATBA	Ag-ARS	Ag-ARS	SFARS	FACTORY SOYBEAN FUTURES IN ARS$	ARS	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
MATBA	Ag-ARS	Ag-ARS	SUARS	SUNFLOWER SEED FUTURES IN ARS$	ARS	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
MATBA	Ag-ARS	Ag-ARS	WARS	WHEAT FUTURES IN ARS$	ARS	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit
ASX	Ag-AUD	Ag-AUD	54W	WOOL (19.5 MICRON CHINA TYPE 54) FUTURES	AUD	Future	legacy@futuresindustry.org	2009-01-15	legacy@futuresindustry.org		Edit

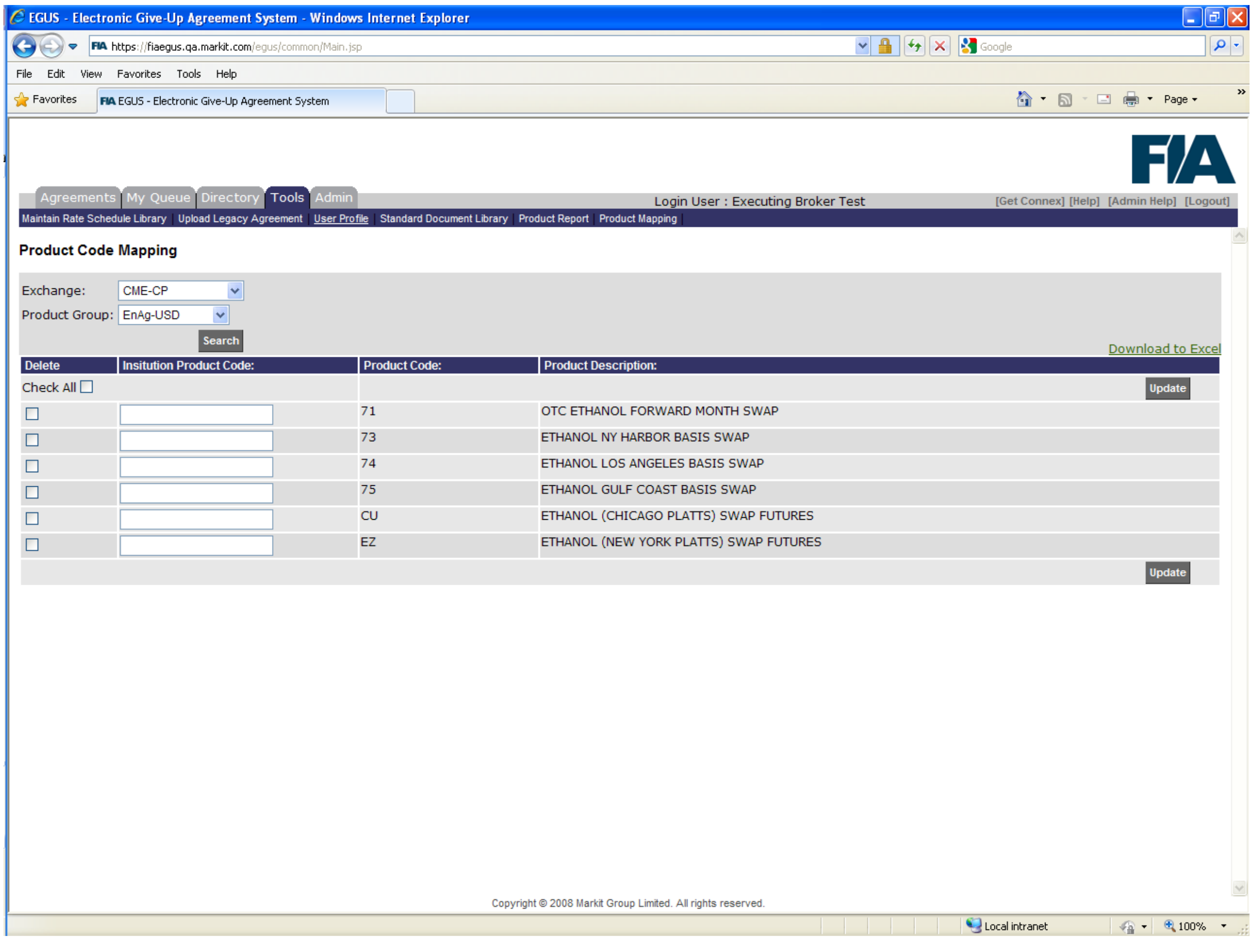
Chapter 17 Product Mapping Function

The Product Mapping Function is a data maintenance function for an institution to create a defined translation between product identifiers used in its internal rate schedule system and the EGUS Product Codes.

Only EGUS institutions that plan to use the Rate Schedule Upload API should use this function.

To access the Product Mapping Function page:

☑ Click **Tools Tab**, **Product Mapping**. The Product Mapping page displays as follows.



The Product Mapping Function consists of one window with two sections.

The top section is where the Exchange and Product Group are identified. The user is able to select the Exchange and Product Group using a drop-down list.

The bottom portion of the window displays a list of product codes and descriptions for all the products in the selected Exchange and Product Group. An additional column titled "Institution Product Code" is a column of free-form text entry fields. **The field size is a maximum of 20 characters.** The value entered in each of these fields must be unique and should represent the institution's internal product identifier that corresponds to the EGUS Product Code. To ensure that the value is unique may require that the identifier include the internal exchange ID as a prefix to the product ID. This is illustrated by the example below.

In EGUS there is a product code for the **NYMEX** exchange and ALL Futures Product Group, with the value "**ALL-F**". Similarly, in EGUS there is a product code for the **LME** exchange and All Futures Product Group, with the value "**ALL-F**".

To map the product codes correctly, the internal product codes must contain the prefix **NYMEX** and **LME** respectively. The entries would look as follows:

Exchange: **LME**

Product Group: **All-F**

Institution Product Code	**Product Code**	**Product Description**
LME-ALL-F	ALL-F	All Futures

Exchange: **NYMEX**

Product Group: **All-F**

Institution Product Code	**Product Code**	**Product Description**
NYMEX-ALL-F	ALL-F	All Futures

If the exchange prefixes were not used then only one ALL-F product code could be entered and mapped to only one exchange's product group and product code.

Note that there is no text validation for the entered value. The only check made during the update process is for a duplicate product code value.

Note that there is no distinction between upper and lower case alpha characters. A value of **ABC** is considered identical to **abc**.

Any errors in data entry such as a typo will not be detected until a rate schedule XML message containing this product code is uploaded to the Rate Schedule API. The API attempts to translate the product code value in the XML Message using this Product Mapping Data. If the value cannot be found, then an error occurs. Until this is tested, there is no way to validate the mapping of internal product codes to EGUS product codes.

To Add product mappings:

1. Select the Exchange and Product Group;
2. Enter the unique values to map to the listed EGUS product code(s);
3. Click SAVE;

To Modify product mapping:

1. Select the Exchange and Product Group;
2. Overwrite the existing product values to be changed;
3. Click SAVE;

To Delete product mapping:

4. Select the Exchange and Product Group;
5. Check the box in the Delete Column on all the rows where product codes are to be deleted;

6. Click SAVE;

Download To Excel

In the top right area of the screen is the "Download To Excel" hypertext. By clicking on it, the entire set of product mappings for the institution is extracted and loaded into an Excel worksheet. The user can display and/or print the Excel list as needed.

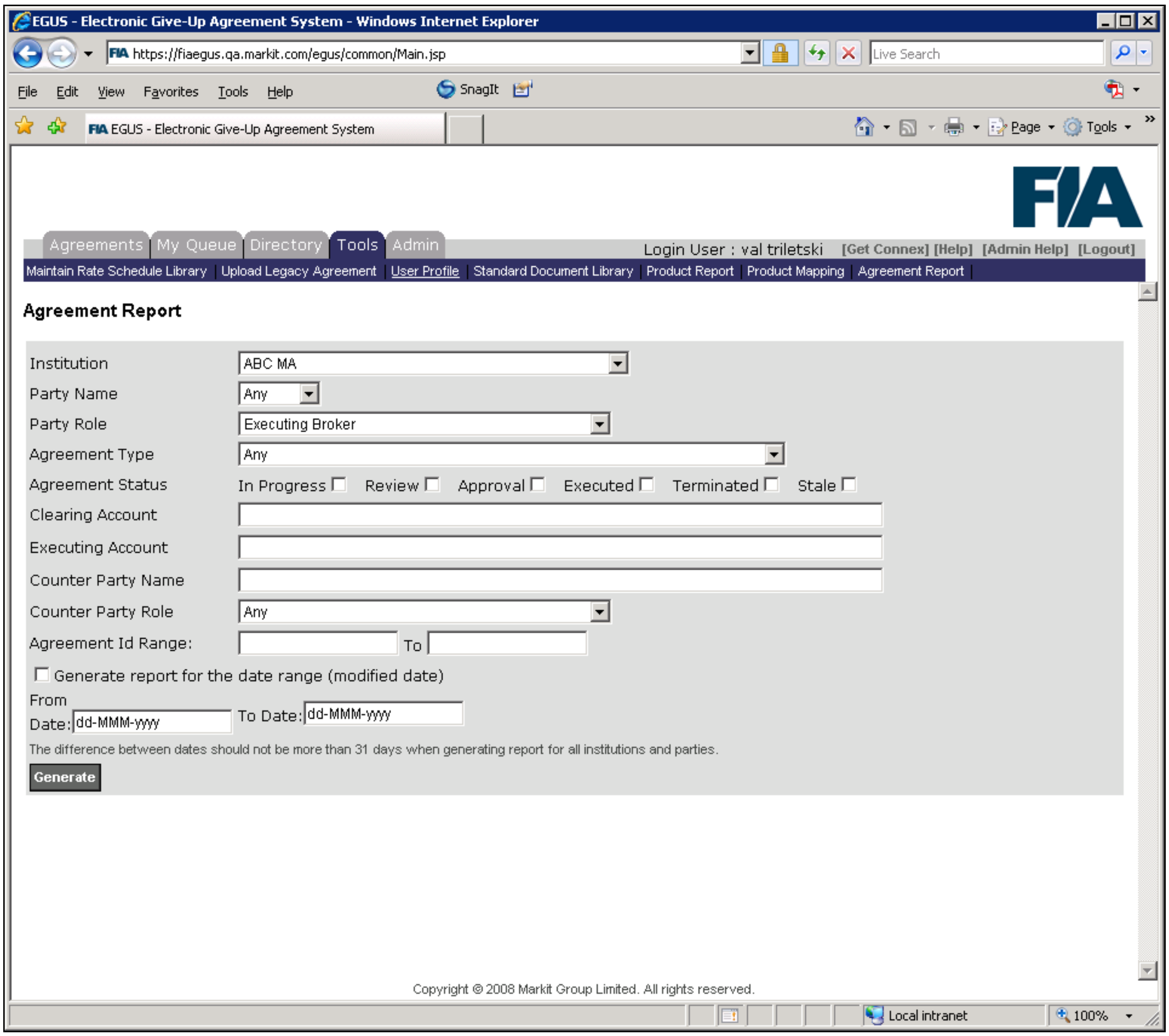
Chapter 18 Agreement Report

An option tab in the Tools Menu and in the Admin Menu is the Agreement Report. The selection screen is shown below. It allows authorized users to search, view, and download agreement data. The search criteria are a set of drop down lists and free-form text fields to provide for very finely-filtered searches. The filter criteria are described in the table.

Once the Generate button is clicked, EGUS begins to process the user's request. This occurs immediately as the user waits. If the report is created successfully, a pop-up window is displayed. The user has the option to Open the report file in Excel, SAVE it as a flat file, or Cancel the report. If Opened in Excel, the user has the option to save it from Excel also. The columns displayed for each agreement row are shown in the table below.

An error can occur if the filter criteria are too broad causing the creation of the report to exceed pre-defined limits set by the data base administrator. These limits prevent any major performance impact from occurring in EGUS that would affect all users. In this case, the user is advised to narrow the filter criteria so that the report can be produced.

PLEASE NOTE: It may be necessary to run a series of requests to produce a report that includes a very large number of agreements spanning multiple years.



Search Window Filter Criteria

Filter	Usage	Valid Values
Institution	Drop-down list of institution names, only available to FIA Admins.	***EGUS users will not have access to any institutions but their own.***
Party Name	Use to filter agreements that include the selected party.	List of parties within the selected institution.
Party Role	Use to filter agreements that include the selected party in the selected role only.	Drop-down list of party roles.
Agreement Type	Use to filter agreements by Type.	Drop-down list of agreement types.
Agreement Status	Use to filter agreements by status.	Check boxes next to each status name to select that status.
Clearing Account	Use to filter by Clearing Account Number.	Free-form text.
Executing Account	Use to filter by Executing Account Number.	Free-form text.
CounterParty Name	Use to filter agreements that include the selected party.	Free-form text.
CounterParty Role	Use to filter agreements that include the selected party in the selected role only.	Drop-down list of party roles.
Agreement Id Range	Use to select agreements by ID within a range. For a specific Agreement, its ID can be entered in the From field and the To field can be left blank.	Numeric ID values from 000000 through 999999.
Generate Report for Date Range	Use to indicate that a date selection will be used in to filter agreements by Executed Date.	Check Box.
From Date	Use to select agreements with an executed date not less than this date.	Valid date in format dd-mmm-yyyy. Cannot be greater than To Date value.
To Date	Use to select agreements with an executed date not greater than this date.	Valid date in format dd-mmm-yyyy. Cannot be less than From Date value.

Report Columns

Column Heading Caption	Data Field Name
Inst. Name	Institution Name
ID	Agreement ID
Initiated Date	Initiated Date
Type	Agreement Type
Status	Agreement Status
XB	Executing Broker Name
Is Conf	XB is Conformed Party
XB Status	XB Agreement Status
CB	Clearing Broker Name
Is Conf	XB is Conformed Party
CB Status	CB Agreement Status
Trader	Trader Party Name
Is Conf	Trader is Conformed Party

Trader Status	Trader Agreement Status
Customer	Customer Party Name
Is Conf	Customer is Conformed Party
Customer Status	Customer Agreement Status
XA	Executing Account
CA	Clearing Account
Rate Sch	Number of Rate Schedules Attached
Effective	Effective Date of Agreement
Modifed	Last Modifed Date of Agreement
Terminated	Terminated Date
Uploaded	Date Agreement was uploaded
Uploaded	Agreement Uploaded (Y/N)
Elec. Rate Inst.	Institution attaching electronic rate schedule

Chapter 19 Contact Us & Help

Help is available online when you click the **Help** link in the FIA EGUS header. From the Help, you can access the contents of this User Guide.

For questions not answered in this guide, please contact Markit Client Relations by:

- Live instant help via Markit Connex, or
- email at support@markit.com
- phone in North America at +1 877-7-Markit (i.e. +1 877-762-7548).

For information about Markit's other services, please contact a Markit sales representative by:

- email at sales@markit.com, or
- phone in:

  London +44 (0) 207 260 2345

  Madrid +34 91 185 2659

  New York +1 (212) 931 4910

  Singapore +65 6823 1370

  Tokyo +813 4360 8280

  Toronto +1 (416) 481 4923

Chapter 20 Appendices

This Appendix contains additional relevant information for using EGUS.

20.1 Appendix A. Standard Data Formats

20.1.1 Standard Date Format

Use internationally understood date format of DD-Mmm-YYYY for all dates.

20.2 Appendix B. Non-Compliant Parties (Parties without an EGUS User Agreement)

For Parties that do not have User Agreements in place, i.e. non-compliant Parties, display the Party name in italics (or other distinctive style) and in a contrasting color, e.g. purple. Include hyperlink to view Party Contact Details pop-up window (FIA to maintain for parties that have not signed User Agreement).

20.3 Appendix C. Party Visibility

In all cases when retrieving Parties, only Active parties are shown in result lists.

In all cases when retrieving Parties, Customers and Traders can see only Brokers, i.e.:

- Customers can not see other Customers; they can only see their own data.
- Traders can not see other Traders; they can only see their own data.
- Customers and Traders can not see each other.

In all cases when retrieving Parties, Brokers can see only those Customers and Traders who have granted them visibility on the Maintain Party Permissions page, and can see other Brokers.

20.4 Appendix D. Rate Visibility (Hide Rates)

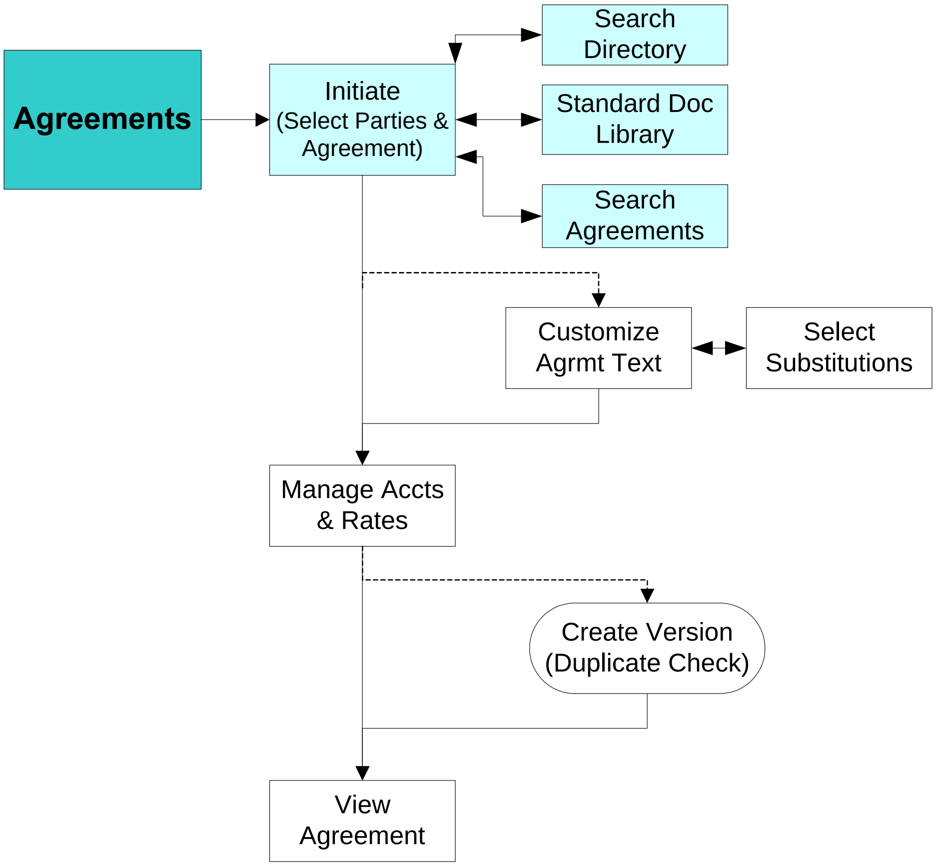
When the "Hide Rates from all Parties except XB / Dealer, Trader, or Customer" checkbox on the Manage Accounts and Rates page is selected, rates are hidden from users at all Parties on an agreement except users from the Executing Broker, Dealer, Trader, or Customer Parties.

20.5 Appendix E. Major Workflows

This appendix describes the major workflows of EGUS:

- Initiate New Agreement
- Review and Edit from My Queue
- Upload Executed Legacy (pre-existing) Agreement

20.5.1 Initiate New Agreement



The workflow diagram above shows the Initiate New Agreement process. Each rectangle on the diagram represents a page (screen) in EGUS.

The user selects Agreements > Initiate Agreement from the menu, and the system displays the Initiate Agreement page. The user:

- selects the desired agreement type from the supplied list or searches for existing agreement to copy from,
- searches and selects each party of the agreement
- enters the effective (and if desired the expiration) date of the agreement, and
- enters the jurisdiction of the agreement.

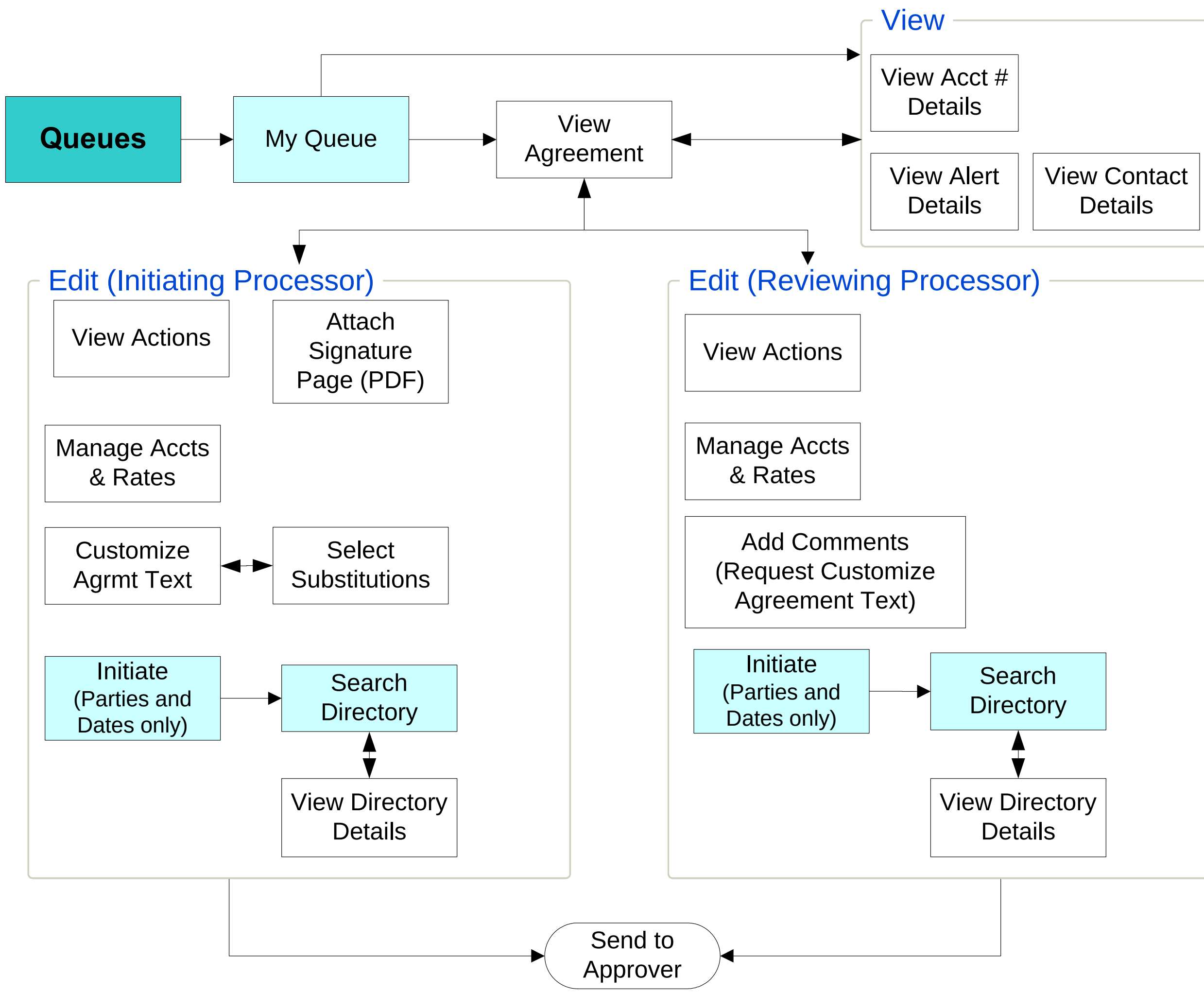
The user has the option to customize the text of the agreement. To customize the text, the user indicates which paragraph to change or where to enter new text (i.e. when adding a paragraph). After customizing the text of an agreement paragraph, the user can optionally save the text to library of standard substitutions for re-use later in other agreements.

The user then enters accounts and rates information, if known at initiation, e.g. clearing and executing account numbers. If appropriate for this agreement, the user can attach commission rate schedules in EGUS-generated rate schedules or in a PDF file.

The system performs a duplicate agreement check (as described in Initiate Agreement), looking for the potential to link this agreement to past agreements. Linking agreements creates a preceding version and superseding version.

The user can then review the agreement and, if satisfied, release the agreement for review and approval by the counterparties on the agreement. The system sends an alert to all the counterparty document processors on the agreement to notify them of new agreement to process. See 20.5.2 Review and Edit from My Queue for next steps.

20.5.2 Review and Edit from My Queue



The workflow diagram above shows the Review and Edit from My Queue process. Each rectangle on the diagram represents a page (screen) in EGUS.

The user selects My Queue from the menu, and the system displays the My Queue page. The user can select a particular queue (including All or specific workflow queues, such as, In Progress, Review, and Approval) for further review. The My Queue page provides links to pop-up pages to review Account number details and View (workflow) Actions—and to main workflow page: View / Manage Agreement. From the View / Manage Agreement page, document processors can access the pages where they can edit the agreement effective dates, text, account numbers, and commission schedules.

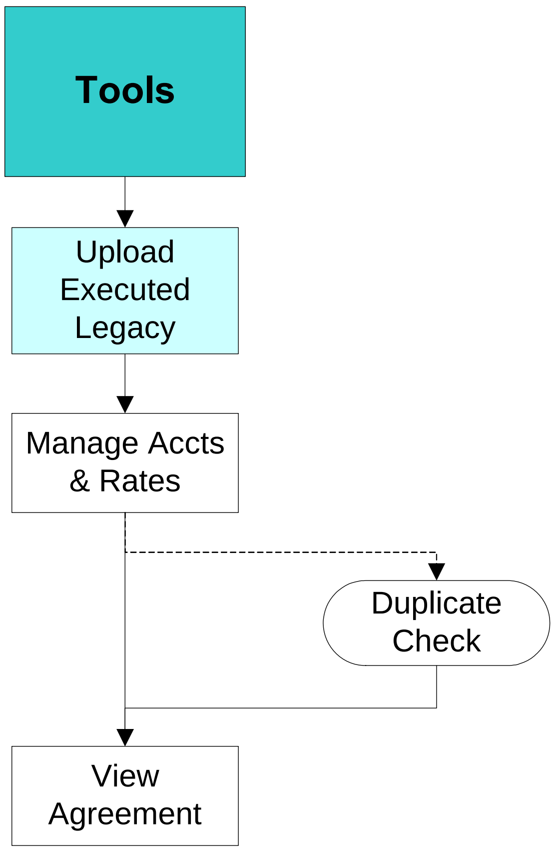
Generally, if the user is a "document processor", the user reviews new agreements in the queue received from the initiator of the agreement. The "document processor" reviews / edits agreements for proper accounts and commission schedules. The "document processor" can also comment on specific textual revisions made to the agreement. The system sends an alert when the "document processor" changes or comments on the agreement. For example, if the initiator modified the agreement, the document processor might comment on the change to indicate a further change or refinement. Once the user saves the comment, the system sends an alert.

Generally, if the user is an "approver", the user would review agreements in the queue received from their (same party) document processor(s). The approver could:

- Send the document back to their document processor by requesting changes
- Approve the agreement, or
- Recall Approval of the agreement (if previously approved).

When an agreement is approved or rejected, the system generates an alert to all parties.

20.5.3 Upload Executed Legacy Agreement



The workflow diagram above shows the Upload Executed Legacy (pre-existing) Agreement process. Each rectangle on the diagram represents a page (screen) in EGUS.

When the user selects Upload Executed Legacy Agreement from the menu, the system displays the Upload Agreement page. This page provides the user the ability to upload PDF files with pre-existing executed agreements. This page bypasses the "My Queue" process as these agreements are already executed and approved by all counterparties.

This page provides the user the ability to upload a PDF (scanned) agreement and then "tag" the uploaded file with attributes that can later be searched by any party named on the agreement. The user must provide the following attributes:

- Agreement Type (selected from the standard list)
- All counterparties selected from the EGUS contact list
- Executed date
- Effective date
- Termination date (optional)

The user then has the option of adding additional tags / data:

- Executing account numbers
- Clearing account numbers
- Commission Rate Schedule(s), and
- Indication of whether to hide the Commission Rate Schedules from the all users except the Executing Broker, Dealer, Trader, or Customer (e.g. hide from the Clearing Broker).

Note that if the user uploads a single legacy agreement PDF that includes Commission Rate Schedule(s), the system can not hide rates. Users must upload Rate Schedules as separate files for the system to support, based on user preference, hiding the Rate Schedule.

After tagging the agreement and saving, the system completes the duplicate agreement check (as described in Initiate Agreement) to prevent multiple parties from uploading the same agreement.

20.6 Appendix F. View / Manage Agreement Functions by EGUS Queue & User Role / Permissions

The following table lists the functions available on the View / Manage page for each queue and user role / permission.

20.6.1 Queues: All, In Progress, and Review

Queue(s):	All		In Progress					Review									
Workflow Steps / Functions:	View Actions	View PDF[5]	Delete	Edit - All[7]	Add Agmt Cmts	Send to Review	Move to Stale	Delete	Edit (Customize) Agmt Text	Review & Cmt on Agmt Text	Edit ID & Dates & Parties	Edit Accts & Rates	Request Changes[4]	Add Agmt Cmts	Move to Stale	Send to Approver at Same Party	Recall Send to Approver[1]
User Role / Permissions*																	
Processors - Initiating Party ONLY			•	•				•	•								
Processors - NON Initiating Parties ONLY							•			•					•		
Processors - All Parties	•	•			•	•					•	•	•	•		•	•
Approvers - All Parties	•	•			•	•								•			
Readers - All Parties	•	•															

20.6.2 Queues: Approval Executed, Stale, and Terminated

Queue(s):	Approval						Executed					Stale	Terminated
Workflow Steps / Functions:	Request Changes[4]	Add Agmt Cmts	Recall from Approver at Same Party[1]	Move to Stale	Approve	Recall Approval	Add / Expire Rates[2]	Add / Exp Accts[3]	Initiate New Version	Add Agmt Cmts	Term	Recall from Stale to In Progress[6]	n/a
User Role / Permissions*													
Processors - Initiating Party ONLY													
Processors - NON Initiating Parties ONLY				•									
Processors - All Parties		•	•			•	•	•	•	•		•	
Approvers - All Parties	•	•			•	•				•	•		
Readers - All Parties													

➲ * **IMPORTANT NOTE**: EGUS users can perform only the functions for which they have the assigned user roles / permissions. Access to and display of objects are governed first by roles & visibility rules, and then by the information in View / Manage Agreement Functions by EGUS queue and user role / permissions table.

[1] Regardless of whether same party approver has approved or not; if agreement is in Approval state, it is moved back to Review state when this option selected.
[2] A Party must initiate new version to update rates, i.e. requires send agreement through workflow process and approval.
[3] Accts = Clearing and Executing Accts. Approval is not required to update accts (however, parties are alerted).
Exception: LME agreements require approval for all changes (any change for LME agreements requires approval).
[4] Request Changes function requires the user to enter comments explaining the requested changes.
If changes are requested by an Approver for an agreement in Approval queue, the agreement automatically moves back to the Review queue and any existing approvals are automatically removed.
[5] If the Initiating Party hides an agreement from other Parties while the agreement is In Progress, only Initiating Party Processors can view the agreement or agreement PDF (i.e. until the Initiating Party Sends to Review—once an agreement is in the Review queue, all Parties on the agreement can view)
If rates are hidden from all parties other than Executing Broker, Dealer, Trader, and Customer and your party is a Clearing Broker or other party not excepted,

rates do not display on the screen or on the agreement PDF.

[6] The Party recalling an agreement becomes the Initiating Party for the agreement even if the recalling Party is not the original Initiating Party.

[7] If the Agreement Text - Edit button does not display on the View / Manage Agreement page, to edit the agreement text: click the ID and Dates - Edit button, ensure the **Amend / Customize Accounts and Rates and Text** radio button is selected, and choose **Save & Next**.