

# **Eurex Clearing C7**

Derivatives Clearing GUI 3.0 - User Manual

Version 3.2



# **Change History**

Date	Ver.	Change
10 June 2014	1.1.0	Production version for C7 Release 1.0
29 October 2014	2.0	<ul> <li>Added export for Margin Calculator</li> <li>Support for current Firefox ESR version</li> </ul>
	2.1	Updates for Production version of C7 Release 2.0
2 July 2015	3.0	Simulation version of C7 Release 3.0
28 September 2015	3.1	Updates for Simulation version of C7 Release 3.0
1 December 2015	3.2	<ul> <li>Further updates for Simulation version of C7 Release 3.0</li> <li>Added samples to all upload window descriptions</li> </ul>

# eurex clearing

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# **Table of Contents**

1	Introduction	. 8
1.1	Purpose	. 8
1.2	Prerequisites	. 8
1.3	System requirements	. 9
1.4	System access	. 9
1.4.1	Initial authorization	. 9
1.4.2	Session timeout.	. 9
1.4.3	Connection failures	10
2	Common window elements	11
21	Application header	11
2.1	Filter function	11
221	Multinle values	12
2.2.1	Wildcard filter	12
2.2.2		12
2.2.5	Drop down list	12
2.2.7	Multi selection list	12
2.2.5	Nalli Selection list	12
2.2.0		12
2.2.1		12
2.2.0		1/
<b>2.3</b>	Display of results	14
2.3.1		14
2.3.2	Sorting functionality	15
2.3.3 <b>2</b> <i>1</i>	Export functionality	16
2.4		10
2.0		
•		40
3	Window overview	18
3	Window overview       Window layouts and descriptions	18 20
3 4 4.1	Window overview          Window layouts and descriptions          Login	18 20 20
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1	Window overview	18 20 20 20
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2	Window overview	18 20 20 20
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3	Window overview	18 20 20 20 21
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> <b>4.2</b>	Window overview	18 20 20 20 21 21
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1	Window overview	<b>18</b> <b>20</b> 20 21 <b>21</b> 21 21
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2	Window overview	<b>18</b> <b>20</b> 20 21 <b>21</b> 21 21 22
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3	Window overview Window layouts and descriptions Login Description Functionality Screen elements Position Overview Description Functionality Screen elements	<b>18</b> <b>20</b> 20 21 <b>21</b> 21 22 22 24
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b>	Window overview	<b>18</b> <b>20</b> 20 21 <b>21</b> 21 22 24 <b>26</b>
<b>3</b> <b>4</b> <b>4.1.1</b> 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> .1 4.3.1	Window overview	18 20 20 21 21 21 22 24 26 26
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> <b>4.3</b> .1 4.3.2	Window overview	18 20 20 20 21 21 21 22 24 26 26 27
<b>3</b> <b>4</b> <b>4.1.1</b> <b>4.1.2</b> <b>4.1.3</b> <b>4.2</b> <b>4.2.1</b> <b>4.2.2</b> <b>4.2.3</b> <b>4.3</b> <b>4.3.1</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.4</b> <b>4.3.5</b> <b>4.3.5</b> <b>4.3.6</b> <b>4.3.6</b> <b>4.3.6</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.3.7</b> <b>4.5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b>5.7</b> <b></b>	Window overview	<ol> <li>18</li> <li>20</li> <li>20</li> <li>21</li> <li>21</li> <li>22</li> <li>24</li> <li>26</li> <li>27</li> <li>28</li> </ol>
<b>3</b> <b>4</b> <b>4.1.1</b> <b>4.1.2</b> <b>4.1.3</b> <b>4.2</b> <b>4.2.1</b> <b>4.2.2</b> <b>4.2.3</b> <b>4.3</b> <b>4.3.1</b> <b>4.3.2</b> <b>4.3.3</b> <b>4.3.4</b> <b>4.3.3</b> <b>4.4</b>	Window overview	<ol> <li>18</li> <li>20</li> <li>20</li> <li>21</li> <li>21</li> <li>22</li> <li>24</li> <li>26</li> <li>27</li> <li>28</li> <li>28</li> <li>28</li> </ol>
<b>3</b> <b>4</b> <b>4.1.1</b> 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> .1 4.3.2 4.3.3 <b>4.4</b> 4.4.1 4.4.1	Window overview	18 20 20 20 21 21 21 22 24 26 27 28 28 28
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<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>5.5</b> <b>4.5</b> <b>5.5</b> <b>4.5</b> <b>5.5</b> <b>4.5</b> <b>5.5</b> <b>4.5</b> <b>5.5</b> <b>4.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b> <b>5.5</b>	Window overview . Window layouts and descriptions . Login . Description . Functionality . Screen elements . Position Overview . Description . Functionality . Screen elements . Position Close Out / Re-open . Description . Functionality . Screen elements . Position Transfer Entry . Description . Functionality . Screen elements . Position Transfer Entry . Description . Functionality . Screen elements . Position Transfer Cverview . Position Transfer Overview . Description .	<b>18</b> <b>20</b> 2020 21 21 22 24 <b>26</b> 27 28 <b>28</b> 29 31 <b>32</b> 32
<b>3</b> <b>4</b> <b>4.1.1</b> <b>4.1.2</b> <b>4.1.3</b> <b>4.2</b> <b>4.2.1</b> <b>4.2.2</b> <b>4.2.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.4</b> <b>4.4</b> <b>4.4</b> <b>4.4</b> <b>5.1</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>4.5</b> <b>1.5</b> <b>4.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b>1.5</b> <b></b>	Window overview         Window layouts and descriptions         Login         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Close Out / Re-open         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Overview         Description         Functionality	<b>18</b> <b>20</b> 20221 <b>21</b> 21222 <b>26</b> 2728 <b>28</b> 293 <b>32</b> 322 32
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<b>3</b> <b>4</b> <b>4.1.1</b> 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.5</b> <b>4.5</b> <b>1.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>1.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>1.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>1.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.2</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>2.5</b> <b>1</b> <b>4.5</b> <b>1</b> <b>1</b> <b>1</b> <b>1</b> <b>1</b> <b>1</b> <b>1</b> <b>1</b>	Window overview         Window layouts and descriptions         Login         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Close Out / Re-open         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Overview         Description         Functionality         Screen elements         Position Transfer Overview         Description         Functionality         Send tab         Receive tab	<b>18</b> <b>20</b> 2022 21 <b>21</b> 222 <b>26</b> 272 <b>28</b> <b>28</b> 293 32 324 34 34 34 34
<b>3</b> <b>4</b> <b>4.1</b> 4.1.1 4.1.2 4.1.3 <b>4.2</b> 4.2.1 4.2.2 4.2.3 <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.3</b> <b>4.4</b> <b>4.4</b> .1 <b>4.4</b> .2 <b>4.4</b> .3 <b>4.5</b> <b>4.5</b> .1 <b>4.5</b> .2 <b>4.5</b> .2.1 <b>4.5</b> .2.1 <b>4.5</b> .2.1 <b>4.5</b> .2.2 <b>4.5</b> .3	Window overview         Window layouts and descriptions         Login         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Close Out / Re-open         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Overview         Description         Functionality         Send tab         Receive tab         Screen elements	<b>18</b> <b>20</b> 20221 <b>21</b> 2222 <b>26</b> 2272 <b>28</b> 2293 <b>32</b> 324 34 34 34 36
3 4 4.1.1 4.1.2 4.1.3 4.2 4.2.1 4.2.2 4.2.3 4.3 4.3 4.3 4.3 4.3 4.3 4.3 4	Window overview         Window layouts and descriptions         Login         Description         Functionality         Screen elements         Position Overview         Description         Functionality         Screen elements         Position Close Out / Re-open         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Entry         Description         Functionality         Screen elements         Position Transfer Overview.         Description         Functionality         Screen elements         Position Transfer Overview.         Description         Functionality         Send tab         Receive tab         Screen elements         Position Transfer Claim.	<b>18</b> <b>20</b> 2022 <b>21</b> 2222 <b>26</b> 2272 <b>28</b> 2292 <b>27</b> 228 2293 <b>32</b> 324 34 34 35 39 30 39

4.6.2	Functionality
4.6.3	Screen elements
4.7	Transaction Overview41
4.7.1	Description
4.7.2	Functionality
4.7.3	Screen elements
4.8	Transaction Separation
4.8.1	Description
4.8.2	Functionality
4.8.3	Screen elements
4.9	Transaction Account Transfer
4.9.1	Description
4.9.2	Functionality
4.9.3	Screen elements
4.10	Transaction O/C Adjustment
4.10.1	Description
4.10.2	Functionality
4.10.3	Screen elements
4.11	Transaction Adjustment
4.11.1	Description
4.11.2	Functionality
4.11.3	Screen elements
4.12	Give-up Overview
4.12.1	Description
4.12.2	Functionality
4.12.3	Screen elements
4.13	Give-up Maintenance
4.13.1	Description
4.13.2	Functionality
4.13.3	Screen elements
4.14	Take-up Overview
4.14.1	Description
4.14.2	Functionality
4.14.3	Screen elements
4.15	Take-up Maintenance
4.15.1	Description
4.15.2	Functionality
4.15.3	Screen elements
4.16	Exercise Overview
4.16.1	Description
4.16.2	Functionality
4.16.3	Screen elements
4.17	Exercise Assignment Overview
4.17.1	Description
4.17.2	Functionality
4.17.3	Screen elements
4.18	Deliverable Position Overview
4.18.1	Description
4.18.2	Functionality
4.18.3	Screen elements
4.19	Notification Overview.
4.19.1	Description
4.19.2	Functionality
4.19.3	Screen elements
4.20	Notification Detail Overview
-	

4.20.1	Description
4.20.2	Functionality
4.20.3	Screen elements
4.21	ITM Config for Auto Exercise
4.21.1	Description
4.21.2	Functionality
4.21.3	Screen elements
4.22	ITM Config Maintenance
4.22.1	Description
4.22.2	Functionality
4.22.3	Screen elements
4.23	Account Overview
4.23.1	Description
4.23.2	Functionality
4.23.3	Screen elements
4.24	Upload Position Close Out92
4.24.1	Description
4.24.2	Functionality
4.24.3	Screen elements
4.25	Upload Internal Position Transfer
4.25.1	Description
4.25.2	Functionality
4.25.3	Screen elements
4.26	Upload External Position Transfer
4.26.1	Description
4.26.2	Functionality
4.26.3	Screen elements
4.27	Upload ITM Configurations 101
4.27.1	Description
4.27.2	Functionality
4.27.3	Screen elements
4.28	User Entitlement Maintenance
4.28.1	Description
4.28.2	Functionality
4.28.3	Screen elements
4.29	(De-)Assign User Role
4.29.1	Description
4.29.2	Functionality
4.29.3	Screen elements
4.30	Modify User Privileges108
4.30.1	Description
4.30.2	Functionality
4.30.3	Screen elements
4.31	Four Eye Principle - Entitlement109
4.31.1	Description
4.31.2	Functionality
4.31.3	Screen elements
4.32	(De-)Assign User Role - Approve
4.32.1	Description
4.32.2	Functionality
4.32.3	Screen elements
4.33	Modify User Privileges - Approve
4.33.1	Description
4.33.2	Functionality
4.33.3	Screen elements

Version 3.2

4.34	(De-)Assign User Role - Approve Copy	. 114
4.34.1	Description	. 114
4.34.2	Functionality	. 115
4.34.3	Screen elements	. 115
4.35	Downloads	. 116
4.35.1	Description	. 116
4.35.2	Functionality	. 116
4.35.3	Screen elements	. 117
4.36	Reset Password	. 117
4.36.1	Description	. 117
4.36.2	Functionality	. 117
4.36.3	Screen elements	. 118
5	Appendix	. 119
5 1	Supported ASCII characters	119
5.2	Supported Automatic short-cuts	110
53	Gloceany	110
5.5	Giossai y	

### Introduction

# 1 Introduction

I

This document provides a detailed description of Eurex Clearing's Derivatives Clearing GUI, which supports clearing functions through its web based graphical user interface.

**Note:** Data contained in the screenshots and samples in this publication are for illustrative purposes only and should not be relied upon as a true representation of the actual clearing house.

Cross references to other chapters within this document are always clickable, but not marked separately.

Changes applied to this document after the last version has been published (other than grammar/ spelling corrections) are marked with a change bar in the left margin as demonstrated in this paragraph. Old change bars will be removed from version to version.

# 1.1 Purpose

This document is intended for Member clearing personnel using the system.

The purpose of the "Derivatives Clearing GUI 3.0 - User Manual" is to identify the supported business functions, explain the structure and the content of the windows, and familiarize the user with the "look and feel" of the Derivatives Clearing GUI and its features.

This user guide is intended to be a reference guide, where information about GUI windows can be quickly retrieved. It focuses on giving detailed descriptions of all windows and related functions.

The user guide consists of 4 chapters and an appendix:

- Chapter 1 "Introduction" introduces the user guide and how to access the application.
- Chapter 2 "Common window elements" describes generic functions of the application.
- Chapter 3 "Window overview" gives an overview of the Derivatives Clearing GUI and window flow.
- Chapter 4 "Window layouts and descriptions" describes the Derivatives Clearing GUI windows in detail.
- The Appendix provides additional information.

# 1.2 Prerequisites

To ensure that each user can run the Derivatives Clearing GUI, the following prerequisites need to be met:

- A certificate signed by "Gruppe Deutsche Boerse CA" needs to be installed in the browser (Please refer to the "Clearing GUIs - Access Guide" available on the Eurex Clearing website for further information on how to request and install this certificate).
- Working access to the Derivatives Clearing GUI. The user should check with his network and system administrators that all network, hardware and Eurex Clearing frontend software configuration requirements have been met.
- A valid user ID for the Eurex backend.
- A login identification and password for the Derivatives Clearing GUI.

#### Introduction

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# 1.3 System requirements

The Derivatives Clearing GUI is a web based application which is accessed via a web browser. To run the GUI the following requirements have to be fulfilled:

- One of the following supported web browsers must be installed:
  - Microsoft Internet Explorer 9 or higher,
  - Mozilla Firefox Extended Support Release (v31 or higher),
  - Google Chrome v29 or higher.
  - Other web browsers may work as well, but are not explicitly supported by Eurex Clearing.
- SSL transport and JavaScript must be enabled (for further information refer to the "Clearing GUIs - Access Guide" available on the Eurex Clearing website).

## 1.4 System access

If the user meets the described prerequisites, the Derivatives Clearing GUI can be accessed via the following URLs:

- Simulation: <u>https://simulation.eurexclearing.com:9443/C7\_GUI/</u>
- Production: <u>https://production.eurexclearing.com:8443/C7\_GUI/</u>

## 1.4.1 Initial authorization

In order to gain access to the Derivatives Clearing GUI a Member must be authorized by Eurex Clearing. Therefore, the following steps have to be taken:

- In the first step, the Member must provide the user ID and contact details of a service administrator to Member Services & Admission. This person is granted C7 access by setting the RAL 102 "C7 GUI Access" to 1.
- (2) On the following business day the service administrator receives a randomly created password via email.
- (3) With this initial password the service administrator can log in to the Derivatives Clearing GUI. On the first successful login a password change is required.
- (4) In the next step, the Member's service administrator can set RAL 102 to 1 on user level to provide C7 access for the individual users. This has to be done on the Eurex Classic GUI.
- (5) On the following business day the user's initial passwords can be created. This is done by resetting the password for each user. Please refer to the description of the *Reset Password* window for further information.
- (6) The new passwords have to be communicated to the respective users. They can log in to the Derivatives Clearing GUI with their existing Eurex user ID as a user name and their initial password which they received from the service administrator. On the first successful login a password change is required.

For further information refer to the "Member and User Maintenance Guide" available on the Eurex Clearing website.

# 1.4.2 Session timeout

Once the user has successfully logged in to the Derivatives Clearing GUI a "session" is established. In case of inactivity, the session expires after a certain time, currently 60 minutes.

### Introduction

Activity, in this context, is assumed as long as requests are exchanged with the backend at Eurex Clearing. Hence, scrolling up and down in a list of already inquired records may be considered as inactivity and the session might expire after the timeout period.

If the user tries to send a request after the session has expired, he is asked to login again and a new session is started. Furthermore, the session is closed when the end-of-day processing starts. During this time, no requests can be exchanged with the Eurex Clearing backend.

# 1.4.3 Connection failures

The Derivatives Clearing GUI is a web based application in which all functions are triggered by user requests. Hence, no automatic notifications inform the user in case of a connection failure. Depending on the reason for a failure, different kinds of behavior may occur:

## • Backend failure

In case the connection to the backend at Eurex Clearing is interrupted, every attempt to send a request to the backend results in an error message displayed. Only data which has been received prior to the interruption can be viewed in the GUI.

## Web server failure

If the web server which hosts the Derivatives Clearing GUI happens to be unavailable, the browser will display an error page informing the user that the web server is unable to show the requested page. In this case, no interaction with the GUI is possible.

## Missing Member certificate

If a user attempts to access the Derivatives Clearing GUI without a valid certificate, an SSL connection error will be shown.

## Network failure

Since the Derivatives Clearing GUI is a web based application, no interaction is possible if the network connection is faulty. Should the connection via leased line be interrupted, the user can use the URL for Internet access to the Derivatives Clearing GUI with the same certificate as used for leased line access. In case the Internet connection is interrupted, Eurex Clearing is not responsible for the failover concept.

With the exception of network failures all connection failures have the same effect as a logout, i.e. the user session is terminated. To access the GUI after the problem has been solved, the user needs to login again.

# 2 Common window elements

The following section provides an overview of the standard window components and introduces specific terms that are used in this document.

The screenshots shown in this user guide only serve as examples. The look and feel of the Derivatives Clearing GUI may differ slightly depending on the used operating system and web browser.

# 2.1 Application header

Regardless of the currently displayed window, the application header is always displayed in the top area of the Derivatives Clearing GUI. On the left hand side it provides a menu bar to navigate quickly through the different windows of the application. The left most menu item is the *Menu Switch* which allows to toggle between clearing related windows and entitlement related windows.



Application header

On the right hand side various functions can be accessed. First, the number of export files which are ready for download is displayed. Clicking on this information opens the *Downloads* window. Furthermore, the currently logged-in user is displayed in the application header. Next to the user ID there is the *Password Reset* button if the logged-in user is entitled to use the *Reset Password* function and the *Logout* button to log off from the current user session.

Every window provides access to the online help via the *Help* link. Clicking this link opens the respective online help page for the currently displayed window.

# 2.2 Filter function

Every window that is capable of displaying a larger set of data provides a filter function. This makes it easier to inquire on data of interest. It is possible to make an inquiry without specifying any filter criteria. However, it is very likely that such an inquiry results in a data set which is too large to be displayed in the GUI (as detailed in section 2.3.1). To reduce the amount of information to a feasible extent, different filter criteria can be entered. Different filter fields are logically "AND" connected, i.e. an element is only included in the inquiry result if all the entered filter criteria apply.

The filter function supports various kinds of fields, each of which offers different features to support the user in entering filter criteria. These fields are grouped into individual sections which can be extended and collapsed separately. The most important filters can be found in the *Main Filter* section, whereas additional fields for a more detailed filtering are contained in further sections, e.g. in the *Advanced Filter* section.

At the bottom of each filter area there is the *Inquire* button to start the inquiry and the *Clear* button to empty all the filter fields at once. The inquiry result is displayed in a table (as detailed in section 2.3). It contains the data valid at the time of inquiry. The table is not updated automatically if the data changes.

▼ Main Filter		
Cleared Instrument		
Product Line	C/P 🔹	Curr
Product equals V	Flex Contract ID equals 🔻	] [
Maturity From	Maturity To	Listed Instruments
Expiration From	Expiration To	Flexible Instruments
Strike From	Strike To	Version
Exercise Style	Settlement Method	
Party		
Clg Mbr NCM/RC	Account Name equals V	
Inquire Clear   <u>xml</u>   <u>xls</u>   <u>csv</u>   mc		

Sample filter area

# 2.2.1 Multiple values

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The filters for *Product*, *Clg Mbr*, *NCM/RC* and *Account Name* support the inquiry of multiple values at once. The different values have to be entered into the filter field, separated by a comma. They are logically "OR" connected, i.e. the inquiry result contains all elements that match any of the entered values for that particular filter and the values of the other criteria, respectively.

## 2.2.2 Wildcard filter

For some filters an additional drop-down list is provided to select how the entered filter criterion is supposed to be used. By default, the "*equals*" filter is preselected. Hence, the inquiry returns elements that match exactly the entered value in the respective criterion. The user can also filter for content that "*begins with*", "*ends with*", "*contains*", "*does not equal*" or "*does not contain*" a certain text string.

# 2.2.3 Range filter

Some criteria (such as dates or prices) offer the possibility to filter explicitly for a certain range. In this case, two entry fields are provided for one criterion to enter the lower boundary (*From* value) and the upper boundary (*To* value). In order to inquire on exactly one specific value, both the lower and the upper boundary need to be filled with the same value. After entering the lower boundary and selecting another entry field, the upper boundary is filled in with the same value automatically.

If only the lower boundary is filled in and the upper one is removed again, the inquiry returns all elements that have a value greater or equal to the entered criterion and vice versa. If both boundaries are filled with different values, the inquiry returns elements in between those boundaries, including the borders.

While entering ranges it is automatically validated that the upper boundary is greater than or equal to the lower boundary. If this is not the case, the invalid entry is highlighted and a respective tooltip is displayed.

# 2.2.4 Drop-down list

If there is only a limited number of input values for a criterion (e.g. filter for call or put), a dropdown list with possibilities to choose from is offered. The list can be accessed by clicking the downwards arrow at the right side of the filter field.

# 2.2.5 Multi selection list

For some criteria it is possible to include multiple values in the inquiry (e.g. different currencies). In that case, a multi selection list is offered by clicking the  $\square$  button next to the filter field. One or more items can be selected to be included in the filter result. After confirming the selection by clicking the *Ok* button, they are automatically filled in into the respective filter field.

Selected: 2 <u>Clear selection</u>			
	CHF - SWISS FRANCS		
	EUR - EURO		
	GBP - GB POUND		
	GBX - GB PENCE		
	KRW - S.KOREAN WON		
	TWD - TAIWAN DOLLAR		
	USD - US DOLLAR		
Ok Cancel			

Sample multi selection list

# 2.2.6 Date and time picker

Filter fields which are supposed to be filled with a date provide a date picker. When the respective filter field is accessed, a small calendar opens. The date can be selected by clicking on the desired day. The arrows pointing to the left and the right can be used to navigate between the months.

A similar feature is available for time filters. When such a field is accessed, the time picker opens below it and allows to select a time using the mouse. Filtering for times always requires to fill in the date filter as well. If the date is left blank, the respective time filter field is highlighted and a tooltip explains that a date must be entered.



Date and time picker

# 2.2.7 Check box

A filter check box specifies whether a certain element should be included in the inquiry result or not. If a filter check box is selected, the respective criterion is contained in the inquiry result.

# 2.2.8 Radio buttons

Radio buttons give the opportunity to select one out of several mutually exclusive options. Usually, it is mandatory to choose an option. In this case, one radio button will always be preselected when the window is opened.

# 2.3 Display tables

In the Derivatives Clearing GUI inquiry results and datasets alike are presented in form of spreadsheets. These display tables are the main part of a window. They are filled upon inquiry or automatically when a window is called from another window to display detailed information.

S	elected: 3	Displaying items f	from 9 to 31 of 31	<u> 2</u>			
	Exchange	Clg Mbr	NCM/RC	Account Name	Curr	Instrument Symbol	Tran Date
	XEUR	GCMFR	NCMFR	AAA	CHF	C SBVN JUN14 450.000000	2013-12-18
Z	XEUR	GCMFR	NCMFR	ААА	CHF	P SBVN MAR14 475.000000	2013-12-18
Z	XEUR	GCMFR	NCMFR	ААА	CHF	P SBVN JUN14 450.000000	2013-12-18
	XEUR	GCMFR	NCMFR	EXZ	CHF	C SBVN JUN14 450.000000	2013-12-18
Z	XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN MAR14 475.000000	2013-12-18
	XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN JUN14 450.000000	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	FDAX JUN14	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	C FIA5 JUN15 14.000000	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	FIAF DEC13	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	FIAF MAR14	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	FIAF APR14	2013-12-18
	XEUR	GCMFR	NCMFR	AAA	EUR	FIAF SEP14	2013-12-18

Sample display table

Directly above the table additional meta information regarding the displayed data is provided. The total number of items is given along with an information about which items are currently displayed. It depends on the size of the browser window how many items can be displayed at a time. The display table automatically occupies the maximum available space to display as much data as possible, but it might not always be possible to display all entries. In this case the table can be scrolled vertically and horizontally.

To use the whole table in a different application, a separate export function is provided (see section 2.4 "Export functionality").

To further process certain records, they can be selected either by clicking the check box in the very first column or by clicking anywhere in the respective row. Selected records are marked with an activated check box and a different background color. Multiple items can be selected by clicking on one row after the other. Holding the Shift key while selecting two records automatically selects all the rows in between as well. Moreover, all rows can be selected at once by clicking the "Select All" check box. The number of currently selected items is displayed above the table.

# 2.3.1 Display of results

An inquiry with only a few or even no filter criteria filled in can result in a very large number of records. To prevent potential performance issues the number of displayed items is limited. If the system limit of displayable items has been exceeded, the user gets to choose between three options:

- View only the first 1,000 items from the result
- Download the results as an exported file (up to 10,000 items)
- Refine the filter criteria to further limit the number of results.

If the number of results is even too large to prepare a downloadable file, the filter criteria need to be refined to get a result.

Data records which are currently displayed are not updated automatically if something has changed in the background. To see the latest data, the records needs to be re-inquired.

# 2.3.2 Customization

Display tables can be configured to the user's individual needs. The column width can be changed by dragging the border of the column header to enlarge or reduce the width. Clicking the is button opens the column selection window. There, the column width can be reset to the default. Furthermore, the order of the columns can be changed and columns that are not needed can be hidden from the table.



Column selection window

# 2.3.3 Sorting functionality

The items displayed in tables can be sorted in ascending or descending order. Clicking on the column header arranges the table content in ascending order according to that column. Another click on the same header reverses the sorting order. The column which is currently selected for sorting is indicated by an up- or downward arrow showing the sorting direction. It is possible to select further columns as sorting criteria by holding down the Control key while

clicking on one column header after the other in the desired order.

A sorting scheme invoked by clicking on the column headers is only valid for the current session or until a browser refresh. To save the sorting settings permanently, open the column sorting window by clicking the 🗵 button. In this window, the sortable columns are listed. They can be added to the sorting scheme. For each column, the sorting direction and the rank in the sorting order can be defined.

Modify Table Column Sorting				close 🗙
Available Columns		С	Current Sorting	
Exchange Tran Date C/P Maturity Product Strike Version Instrument Type Exercise Style Flex Contract ID Settlement Method Exercised Qty Assigned Qty Tick Size Tick Value Expiration Date	*		Clg Mbr† NCM/RC† Durr∱ Account Name† nstrument Symbol†	*
Save Settings Reset To Default				

Column sorting window

Generally, the sorting function is available for every column. Certain attributes, however, might be excluded from sorting. Clicking on their column header does not have any effect on the order of the displayed items. Sorting is always applied to all items that meet the entered filter criteria, even if only a part of the inquiry result is currently visible in the display table.

# 2.4 Export functionality

All main windows provide an option to export data in different file formats. To export the data as specified in the filter section, click on one of the export file types at the bottom of the filter area. The data is inquired based on the filter criteria at the moment the export is requested. Up to 10,000 records can be downloaded in one file. If this limit is exceeded, the user is asked to refine the filter criteria. The following file types are supported:

- XML
- XLS (Microsoft Excel 2003 and newer)
- CSV (comma separated values)

In addition to these file types, the *Position Overview* window provides an option to download the table content in a file which can be uploaded to the Margin Calculator. If the *mc* export is clicked, a CSV file is prepared that contains the necessary columns for an upload to the Margin Calculator. This function is only available if the *Clg Mbr* and the *NCM/RC* filter fields are filled and the *Include expired positions* check box is unchecked.

Independent from the format all exported files contain a CET timestamp of their creation time, the current filter settings and the number of exported records. The export time is contained in the file name as well.

The files are prepared in the background. When they are ready for download, all exports are listed in the *Downloads* window. From there, they can be downloaded as long as the user is logged in. Files which are not needed any longer can be removed manually from this list.

# 2.5 Message log

The message log is part of every window that features any user action. It is located at the bottom of each window. The message log informs the user about all relevant messages, such as details about performed processing steps or what the result of a submitted request was (success/failure including reason).

The message log only shows information regarding the current window. Hence, it is empty if the window has just been opened.

#### Window overview

Window overview

# 3

Transaction Management
Position Overview
Position Close Out / Re-open
Position Transfer Entry
Exercise Overview
Transaction Overview
Transaction Separation
Transaction Account Transfer
Transaction O/C Adjustment
Transaction Adjustment
Give-up Maintenance
Position Transfer Overview
Position Transfer Claim
Give-up Overview
Give-up Maintenance
Take-up Overview
Take-up Maintenance

Settlement		
Exercise Assignment Overview		
Exercise Overview		
Deliverable Position Overview		
Notification Overview		
Notification Detail Overview		

# Automatic Processing

ITM Config for Auto Exercise ITM Config Maintenance

# Account Management

Account Overview

# File Upload

Upload Position Close Out

#### Window overview

Upload Internal Position Transfer

Upload External Position Transfer

Upload ITM Configurations

# Participant Management

User Entitlement Maintenance

(De-)Assign User Role

(De-)Assign User Role - Approve

(De-)Assign User Role - Approve Copy

Modify User Privileges

Modify User Privileges - Approve

Four Eye Principle - Entitlement

(De-)Assign User Role - Approve

Modify User Privileges - Approve

(De-)Assign User Role - Approve Copy

# Auxiliary Windows

Downloads

Reset Password

# 4 Window layouts and descriptions

This section describes the layout and functionality of individual GUI windows.

# 4.1 Login

T

# 4.1.1 Description

The *Login* window is the first view that is presented when accessing the Derivatives Clearing GUI. It is used to log in to the application and to change the user password.

Login Change Password	Login Change Password
Username	Username
Password	Old password
Login	New password
	Repeat new password
	Change password

Login and Change Password window

# 4.1.2 Functionality

## Login

To login to the Derivatives Clearing GUI enter the user credentials into the *Username* and *Password* fields and click the *Login* button.

## **Change Password**

In general, the password to login to the application is valid for 90 days. 10 days before expiry the user is asked to enter a new password. Initially, this is optional. When the password has expired, the user is automatically redirected to the *Change Password* tab after the login and must enter a new password. After three unsuccessful attempts to set a new password, the user account is locked and the user must request a password reset from his service administrator. A password change is also mandatory if an initial or reset password is used for login. In addition to these cases, a password can be changed manually at any time via the *Change Password* tab. The user name and the current password have to be entered to authenticate the user. Then, the

The user name and the current password have to be entered to authenticate the user. Then, th new password must be entered twice to prevent typos in the spelling. The new password must comply with the following rules:

- between 8 and 16 characters long
- use at least one character from each of the following 4 categories: numeric characters (0-9), uppercase letters (A-Z), lowercase letters (a-z), special characters
- differ from the last 10 passwords

The password change is effective immediately.

# 4.1.3 Screen elements

Login - Fields	
Field	Description
Username	User ID of the user who is supposed to be logged in.
Password	Password that belongs to the entered user ID.

Change Password - Fields					
Field	Description				
Username	User ID of the user whose password is supposed to be changed.				
Old Password	Current password that belongs to the entered user ID.				
New Password	The new password has to comply with the complexity requirements.				
Repeat New Password	To prevent typos in the password, the new password must be entered a second time.				

# 4.2 **Position Overview**

# 4.2.1 Description

The *Position Overview* window can be accessed from the *Transaction Management* menu in the main menu or via the *Overview* button in the *Transaction Overview* window. It displays the summary of position movements and the up-to-date position balances by contract. Certain types of position adjustments can be initiated from this window. Further details about these functions can be found in the "Functionality" section of this window.

The *Position Overview* window shows a summary of the up-to-date positions. In order to list only positions of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all positions matching the selected filter criteria are listed in the table.

Version 3.2

#### Window layouts and descriptions

E	urex cle	aring				Position Overview				Downlos	ads: 0 Logged in: GC	MFRCLR001	Logout
Menu Switch	Transaction Man	agement Se	ettlement Accou	nt Management	File Upload Automatic F	rocessing							
Main Filter													
Cleared Instrum	ient-												
Product Line	•	C/F	•		Curr								
Product	equals 🔻	Fie	× Contract ID equals	•									
Maturity From		Ma	turity To	_	Listed Instrument	•							
Expiration From	۰ <u>ــــــــــــــــــــــــــــــــــــ</u>	Eq	piration To		Flexible Instrume	nts							
Strike From		Stri	ke To	-	Version								
Exercise style	· ·	56	mement method	•									
- Party						Position	Expired		1				
Cig Mbr	NCM	RC	Account Name	equals 🔻		Tran Date 2013-12-18	Includ	e expired positions					
miles Clear									-				
duite Close	Tame are cave me	Donition Tran	efer Exercis	0									
Selected: 1	Displaying itom	r from 43 to 64	of 229 mm a										
	Displaying Kem	3 1011 45 10 04	Account				Exercise	Flex	Settlement		Long Oty Start	Short Oty Start	t Da
Exchange	Clg Mbr	NCM/RC	Name	Curr	Instrument Symbol	Instrument Type	Style	Contract ID	Method	Tran Date	of Day	of Day	
XEUR	GCMFR	NCMFR	EXZ	CHF	C SBVN JAN 2014 450 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	0	0	
XEUR	GCMFR	NCMFR	EXZ	CHF	C SBVN MAR 2014 475 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	0	0	1
XEUR	GCMFR	NCMFR	EXZ	CHF	CONF DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	
XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN JAN 2014 450 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	0	0	6
XEUR	GCMFR	NCMFR	EXZ	CHF	P SBVN MAR 2014 475 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	0	0	1
XEUR	GCMFR	NCMFR	EXZ	CHF	CONF MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	1
XEUR	GCMFR	NCMER	605	EUR	FGBS DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	1
XEUR	GCMFR	NCMFR	605	EUR	FGBS MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	1
XEUR	GCMFR	NCMER	605	EUR	FGBS JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	
VEUR	GCMFR	NOMER	605	EUR	FIAF DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE	514.2	PHYSICAL	2013-12-18	0	0	
VEUR	GCMER	NOMER	605	EUR	FIAF JAN 2014 0	STANDARD CONTRACT	NO_EXERCISE	1962	PHYSICAL	2013-12-10	0	0	
YEUR	GCMER	NOMER	605	FUR	C ALV DEC 2013 190.0	FLEX CONTRACT	AMERICAN	ALV6	PHYSICAL	2013-12-10	0	0	
XEUR	GCMER	NCMER	605	EUR	P ALV DEC 2013 310.0	STANDARD CONTRACT	AMERICAN	1210	PHYSICAL	2013-12-18	0	0	
XEUR	GCMFR	NCMER	605	EUR	P BAS DEC 2013 44 0	STANDARD CONTRACT	AMERICAN		PHYSICAL	2013-12-18	0	0	
XEUR	GCMFR	NCMFR	A8	EUR	FDAX DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	2013-12-18	0	0	,
XEUR	GCMFR	NCMFR	A8	EUR	FDAX MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	2013-12-18	0	0	
XEUR	GCMFR	NCMER	A8	EUR	FDAX JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	2013-12-18	0	0	
XEUR	GCMFR	NCMFR	A8	EUR	C ODAX DEC 2013 5400 0	STANDARD_CONTRACT	EUROPEAN		CASH	2013-12-18	0	0	j .
XEUR	GCMFR	NCMER	A8	EUR	P ODAX DEC 2013 5400 0	STANDARD_CONTRACT	EUROPEAN		CASH	2013-12-18	0	0	J
XEUR	GCMFR	NCMFR	D5	EUR	FGBS DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	j.
XEUR	GCMFR	NCMER	D5	EUR	FGBS MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	0	0	1
15.09.02 - 09:10:2	3 - Operation performe	ed successfully.								*			,

Position Overview window

# 4.2.2 Functionality

Below the filter area there is a number of buttons to perform certain position adjustments or initiate further functionality.

#### Detail

The *Detail* button is enabled if a single position is selected from the display table. When this button is clicked, the *Transaction Overview* window is opened with detailed transaction information for the selected position and account on the specified transaction date. Alternatively, a double click on a position opens the respective transaction details as well.

#### Close Out / Re-opening

The *Close Out / Re-open* button is enabled if a single not-expired position with transaction date (*Tran Date*) equal to the current business day is selected from the display table. Moreover, positions held in net accounts are not eligible for close out or re-opening. Hence, the button remains inactive if such a position is selected.

When this button is clicked, the *Position Close Out / Re-open* window is displayed as an overlay window with the details of the selected position prefilled.

To close out multiple positions at once, a file upload function is provided. The *Upload Position Close Out* window can be accessed by selecting *Position Close Out - Upload* from the *File Upload* menu. In this window, a CSV file containing the respective adjustment parameters can be uploaded.

## **Position Transfer**

The *Position Transfer* button is enabled if a single not-expired position with an open long or short quantity is selected from the display table whose transaction date (*Tran Date*) equals the current business day. When this button is clicked, the *Position Transfer Entry* window is displayed as an overlay window with the details of the selected position prefilled.

To transfer multiple positions at once, a file upload function is provided. The *Upload Internal Position Transfer* window can be accessed by selecting *Internal Position Transfer - Upload* from the *File Upload* menu. The *Upload External Position Transfer* window can be accessed by selecting *External Position Transfer - Upload*. In these windows, a CSV file containing the respective transfer parameters can be uploaded.

## Exercise

The *Exercise* button is enabled if one or more eligible not-expired positions are selected from the display table. Only option positions are eligible for exercise, i.e. if a position in a futures contract is selected, the *Exercise* button remains disabled.

When this button is clicked, the *Exercise Overview* window is displayed as an overlay window with the selected positions listed in the display table.

# 4.2.3 Screen elements

Position Overview	w - Filter criteria
Filter	Description
Product Line	Select a product line to filter for options or futures positions.
C/P	Filter for call or put contracts.
Curr	Filter for positions in certain currencies.
Product	Filter for positions in certain products.
Flex Contract ID	Filter for positions in a certain flexible instrument.
Maturity From	Filter for positions in listed instruments with a maturity of or later than the specified date.
Maturity To	Filter for positions in listed instruments with a maturity of or earlier than the specified date.
Expiration From	Filter for positions in instruments which expire on or after the specified date.
Expiration To	Filter for positions in instruments which expire on or before the specified date.
Listed Instruments	If this check box is selected, positions in listed instruments are shown.
Flexible Instruments	If this check box is selected, positions in flexible instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Exercise Style	Filter for positions of a certain exercise style (American or European).
Settlement Method	Filter for positions of a certain settlement method (Cash or Physical).
Clg Mbr	Filter for positions of a certain Clearing Member.
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for positions booked on certain accounts.
Tran Date	Filter for a certain transaction date. This field is prefilled with the current business day. It is required to enter a date. If no date is entered, the <i>Inquire</i> button is disabled.
Include expired positions	Include positions into the inquiry result which have already expired. This check box is selected by default.
Position ID	Filter for positions with a certain Position ID.

Position Overview - Buttons					
Button	Description				
Detail	This button is only active if a single position is selected. It opens the <i>Transaction Overview</i> window with the detailed transaction information for the selected position and account on the specified transaction date.				
Close Out / Re- open	This button is only active if a single position is selected whose transaction date ( <i>Tran Date</i> ) equals the current business day. It opens the <i>Position Close Out / Re-open</i> window to close or re-open the selected position.				
Position Transfer	This button is only active if a single position is selected which has a sufficient open quantity. It opens the <i>Position Transfer Entry</i> window to transfer the selected position to a different account.				
Exercise	This button is only active if one or more option positions are selected. It opens the <i>Exercise Overview</i> window to exercise the selected positions.				

Position Overview - Table columns						
Column	Description					
Exchange	Exchange ID.					
Clg Mbr	Member ID of the Clearing Member.					
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.					
Account Name	Account on which the position is booked.					
Curr	Product currency.					
C/P	Indicates a call or a put option.					
Maturity	Maturity date of the contract.					
Product	Product ID.					
Strike	Strike price of the contract.					
Version	Version of the contract.					
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.					
Instrument Type	Listed or flexible instrument.					
Exercise Style	Exercise style of option positions (American or European).					
Flexible Contract ID	Flexible Contract ID.					
Settlement Method	Settlement method (Cash or Physical).					
Tran Date	Transaction date.					
Business Date	Business date for which the positions were inquired.					
Long Qty Start of Day	Open long position at start of day.					

Position Overview - Table columns						
Column	Description					
Short Qty Start of Day	Open short position at start of day.					
Daily Long Qty	Net movements in the long position for the inquired business day.					
Daily Short Qty	Net movements in the short position for the inquired business day.					
Open Long	Up-to-date open long position.					
Open Short	Up-to-date open short position.					
Designated GU Long	Long quantity that has been designated for give-up.					
Designated GU Short	Short quantity that has been designated for give-up.					
Designated PosTrans Long	Long quantity that has been designated for position transfer.					
Designated PosTrans Short	Short quantity that has been designated for position transfer.					
Total Designated Long	Total designated long quantity.					
Total Designated Short	Total designated short quantity.					
Exer/Alloc Qty	Quantity that has been exercised or allocated.					
Asgn/Noti Qty	Quantity that has been assigned for exercise or notified for delivery.					
Abandoned Qty	Quantity that has been excluded from automatic exercise.					
Prev ZCQ	Previous zero cost quantity.					
Current ZCQ	Current zero cost quantity.					
Position ID	Position identifier.					
Expiration Date	Expiration date of the flexible contract.					

# 4.3 Position Close Out / Re-open

# 4.3.1 Description

The *Position Close Out / Re-open* window is accessed from the *Position Overview* window via the *Close Out / Re-open* button. It serves to close an open position or re-open a closed one. Only positions of the current business day can be closed out. The maximum amount available for re-opening cannot exceed the amount of previously closed-out positions. Note that the re-opening of positions is not available indefinitely. The period for re-opening is currently configured to 4 business days by Eurex Clearing. Any changes to the configuration will be communicated via circular with ample lead time.

The *Position Close Out / Re-open* window summarizes the details of the position to be adjusted in a table. Below this table there are various fields to enter the adjustment.

osition Clos	e Out / Re-open						clo
Position	Details						H
)isplaying ite	ms from 1 to 1 of 1						
Exchanç	je Clg Mb	or NCM/RC	Account Name	Curr	Instrument Symbol	Open Long	Open Short
XEUR	GCMFR	NCMFR	605	CHF	FROG DEC13	100	50
Update	Details						
Jpdate	Details						
Jpdate • Close Ou	Details t <sup>○</sup> Re-open	Quantity	30				
Close Ou     Text 1	Details t <sup>O</sup> Re-open	Quantity Text 2	30 T	ext 3			
Opdate Close Ou Text 1 Submit	Details t © Re-open	Quantity Text 2	30 T	ext 3			
Close Ou     Text 1     Submit	Details t ORe-open Cancel	Quantity Text 2	30 T	iext 3			
Close Ou Close Ou Text 1 Submit	Details t ORe-open Cancel	Quantity Text 2	30	ext 3			

Position Close Out / Re-Open window

# 4.3.2 Functionality

T

The *Position Close Out / Re-open* window supports both closing and re-opening of a position. Two radio buttons allow to toggle between these two adjustment types. The quantity to be closed out or re-opened needs to be entered into the *Quantity* field.

## **Close Out**

To perform a position close out, the *Close Out* radio button must be selected. In a close out adjustment long and short quantities are set off against each other. Hence, only a position with quantities greater than zero on both the long and the short side can be closed out. Furthermore, the desired amount entered into the *Quantity* field must not exceed the available amount on either side, i.e. *Quantity*  $\leq$  (*Open Long* - *Dsgn Long*) and *Quantity*  $\leq$  (*Open Short* - *Dsgn Short*). If the entered quantity is larger than the amount that can be closed out without closing fees, i.e. larger than the zero cost quantity (ZCQ), a warning is displayed which has to be confirmed by the user to process the close out request.

The provided text fields are optional and can be used to enter further information. The *Submit* button is only active if all the mandatory fields are filled according to the conditions.

### **Re-open**

To re-open a previously closed out position, the *Re-open* radio button must be selected. The desired amount entered in the *Quantity* field must not exceed the previously closed-out quantity. The provided text fields are optional and can be used to enter further information.

If an error occurs, a message is displayed in the message log.

# 4.3.3 Screen elements

Position Close Out / Re-open - Fields					
Field	Description				
Close Out	Select this radio button to close out a certain quantity.				
Re-open	Select this radio button to re-open a certain quantity.				
Quantity	Desired quantity to be closed out or re-opened. This field is mandatory and must fulfill the conditions explained above.				
Previous ZCQ	Previous Zero Cost Quantity.				
Current ZCQ	Current Zero Cost Quantity.				
Text 1	This is an optional free text field.				
Text 2	This is an optional free text field.				
Text 3	This is an optional free text field.				

Position Close Out / Re-open - Buttons					
Button	Description				
Submit	This button is only active if the <i>Quantity</i> field has been filled according to the conditions. Clicking the <i>Submit</i> button submits a request to perform the position adjustment and closes the overlay window.				
Cancel	Cancels the adjustment without any changes and closes the overlay window.				

# 4.4 Position Transfer Entry

# 4.4.1 Description

The *Position Transfer Entry* window is accessed from the *Position Overview* window via the *Position Transfer* button. It allows to transfer a position to a different account. This account can be an own account (internal transfer) or an account at a different exchange member (external transfer).

The *Position Transfer Entry* window summarizes the details of the position to be transferred in a table. Below this table there are various fields to enter the transfer.

Version 3.2

#### Window layouts and descriptions

Position Transfe	er Entry									close X
Position D	Details									<u>Help</u>
Displaying item	s from 1 to 1 of 1									
Clg Mbr	NCM/RC	Account Name	Curr		Instrument Symbol		Open Long	Open Short	Total Designated L	.ong De
GCMFR	NCMFR	605	CHF	CONF	DEC 2013 0		50	300		0
4										۱.
UpdateDe	tails									
Internal	External									
Long Qty	20		Short Qty		30	]				
To Exch Mbr			To Account Name		ABC					
Text 1			Text 2				Text 3			
Destinatio Text 1			Destination Text 2				Destination Text 3			
Cash Transfer Amount			● Send ⊝ Rece	ive						
Cash Adjustme Price	ent		Position Transfer	Price						
Total Cash Am	ount		Calculate							
Ref Text 1			Ref Text 2				Ref Text 3			
Approver ID			Password							
Submit	Revert	incel								
								¢ clear	log	

Position Transfer Entry window

# 4.4.2 Functionality

Positions can be transferred to a different account entirely or just partially. To specify the quantity to be transferred, the fields *Long Qty* and/or *Short Qty* have to be filled in. The entered quantities must not exceed the available quantity on the respective side, i.e. *Long Qty*  $\leq$  (*Open Long - Total Designated Long*) and *Short Qty*  $\leq$  (*Open Short - Total Designated Short*).

A partial position transfer is not allowed for newly created future-styled contracts, because no previous settlement price is available.

Furthermore, the transfer target needs to be defined. Two radio buttons allow to toggle between *Internal* and *External* position transfers. Depending on the transfer type, certain entry fields are enabled.

## **Internal Position Transfer**

If the position should be transferred internally, the *To Exchange Member* field and the cash related entry fields are disabled. In this case, only the *To Account Name* field is mandatory. For an internal position transfer the user can fill in various text fields. The information entered into the free text fields (*Text 1, Text 2, Text 3*) is stored in the transaction which books the transferred quantity out of the source account. Information entered into the destination text fields (*Destination Text 1, Destination Text 2, Destination Text 3*) is stored in the transaction which books the transferred quantity in to the target account.

## **External Position Transfer**

If the position should be transferred externally, the *To Exchange Member* field is mandatory. Optionally, the *To Account Name* can be entered and the content of the free text fields can be proposed by filling in the *Ref* ... entry fields. The receiving participant can either use these values

or enter an own text when he claims the transferred position. The information entered into the free text fields (*Text 1*, *Text 2*, *Text 3*) is stored in the transaction which books the transferred quantity out of the source account.

In case of an external transfer, the user can also transfer cash. This is possible in two ways. The user can fill in the *Cash Transfer Amount* field and select the cash flow direction via the *Send* or *Receive* radio buttons. Alternatively, the user can enter a *Cash Adjustment Price*. Then, the cash amount is automatically calculated as the difference between the *Cash Adjustment Price* and the position transfer price. However, this is only possible if either long or short positions are transferred. Both *Cash Transfer Amount* and *Cash Adjustment Price* can be combined as well. The external position transfer also allows to transfer cash alone. Therefore, the transfer quantity fields (*Long Qty, Short Qty*) have to be filled with zero and a *Cash Transfer Amount* must be entered.

In case the entering user is only entitled to enter external position transfers with cash with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields.

The Submit button is only active if all mandatory fields are filled in according to the conditions.

If an error occurs, a message is displayed in the message log.

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## 4.4.3 Screen elements

<b>Position Transfer</b>	Entry - Fields
Field	Description
Internal	If this radio button is selected, the entry fields relevant for an internal position transfer are enabled.
External	If this radio button is selected, the entry fields relevant for an external position transfer are enabled.
Long Qty	Long quantity to be transferred. To transfer a position, the entered value has to be greater than zero and must not exceed the available quantity on the long side of the position, i.e. <i>Long</i> $Qty \leq (Open Long - Total Designated Long)$ . It must be zero if only cash is transferred.
Short Qty	Short quantity to be transferred. To transfer a position, the entered value has to be greater than zero and must not exceed the available quantity on the short side of the position, i.e. <i>Short Qty</i> $\leq$ ( <i>Open Short</i> - <i>Total Designated Short</i> ). It must be zero if only cash is transferred.
To Exchange Member	Target exchange member for the position/cash transfer. This field is mandatory for an external position transfer. It is disabled for internal position transfers.
To Account Name	Target account for the position transfer. It is mandatory for internal position transfers.
Text 1	This is an optional free text field for the transaction on the source account.
Text 2	This is an optional free text field for the transaction on the source account.
Text 3	This is an optional free text field for the transaction on the source account.
Destination Text 1	This is an optional free text field for the transaction on the target account.
Destination Text 2	This is an optional free text field for the transaction on the target account.
Destination Text 3	This is an optional free text field for the transaction on the target account.
Cash Transfer Amount	Cash amount entered by the initiating exchange member. If any amount is entered, the transfer direction must be defined via the <i>Send</i> and <i>Receive</i> radio buttons. This field is mandatory if the entered transfer quantities are zero (solely cash transfer).
Send	If this radio button is selected, the entered <i>Cash Transfer Amount</i> is credited to the <i>To Exchange Member</i> .
Receive	If this radio button is selected, the entered <i>Cash Transfer Amount</i> is debited from the <i>To Exchange Member</i> .
Cash Adjustment Price	The price used as a basis to calculate the cash adjustment for the position transfer. This field is optional and is enabled only if either a short or a long position is selected for transfer.
Position Transfer Price	This field displays the previous day's settlement price for future style products and zero for premium style product.
Total Cash Amount	This field displays the sum of the <i>Cash Transfer Amount</i> field and the calculated cash adjustment. A positive amount indicates a credit of the corresponding amount to the inquiring participant; a negative amount indicates a debit.

Position Transfer Entry - Fields					
Field	Description				
Ref Text 1	Proposal for the free text field.				
Ref Text 2	Proposal for the free text field.				
Ref Text 3	Proposal for the free text field.				
Approver ID	User ID of the approving user. This filed must be filled if the Four Eye Principle is required.				
Password	Password of the approving user.				

Position Transfer Entry - Buttons				
Button	Description			
Calculate	This button is only active if a Cash Adjustment Price has been entered.			
Submit	This button is only active if all mandatory fields have been filled according to the conditions. Clicking the <i>Submit</i> button submits a request to perform the position adjustment and closes the overlay window.			
Revert	Reverts all changes entered since the window was opened.			
Cancel	Cancels the adjustment without any changes and closes the overlay window.			

# 4.5 Position Transfer Overview

## 4.5.1 Description

The *Position Transfer Overview* window can be accessed from the *Transaction Management* menu in the main menu. It displays external position transfer requests. A Non-Clearing Member can inquire own transfer requests. A Clearing Member can inquire own transfer requests as well as requests entered by his NCMs and RCs.

The window consists of two separate tabs to inquire for position transfers in which the user is on the sending or receiving side. In order to list only transfer requests of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all requests matching the selected filter criteria are listed in the table.

Version 3.2

# Window layouts and descriptions

enu Switch	Transaction Mana	gement Settlement Acco	ount Managemen	t File Upload	Automatic Pr	rocessing		crvicw			Downloads:	0 Logged in: GCMFRCLR001	Logout
Send	Receive												
Aain Filter - Cleared Instru Product Line Product Maturity From Expiration Fro	ment	C/P Flex Contract ID eq Maturity To Expiration To	¥ Jals ¥	Curr ✓ Listed ✓ Fiexit	I Instruments	Allocation	ID Claimed	Pending Cancelle	d 🗌 Refused				
Strike From Exercise Style -Party Clg Mbr	, T	Strike To Settlement Method	T me equals T	Version		Position Tran Date 2	013-12-18	Expired	positions				
cept Can acted: 1 Dis	cel By NCM/RC	Cancel By Clg. Mbr Copy to 3 of 3 2											
		Allocation Status			From Account Name		From Clg Mbr Conf	From NCM/RC Conf	To Clg Mbr Conf	To NCM/RC Conf		Expiration Flex Date Contract If	
XEUR	1	ALLOCATION_PENDING	GCMFR	NCMFR	605	TSTFR	PENDING	AUTO	PENDING	PENDING	CHF	2014-03-21	CONFIN
XEUR	3	ALLOCATION_PENDING	GCMFR	NCMER	605	GCMFR	PENDING	AUTO	PENDING	PENDING	CHF	2014-06-20	CONF

#### Position Transfer Overview - Send tab

Position Transfer Overview	Downloads 0 Logged in: GCMFRCLR001 Logout Help
send Receive	
Kan Pier      Cor     Cor	
Claim Confirm Reject By NCM/RC. Roject By Cl3. Mbr	
Selected. Desplaying items from 11.0 T of T	Curre Expiration Flex Instrume
KEURING AUTO PENDING NORF     GOMPR     G	2014-06-20 CONF JUN 2014
2015 09 02 - 15 17 24 - Operation performed successfully.	*
	- clear log

Position Transfer Overview - Receive tab

# 4.5.2 Functionality

## 4.5.2.1 Send tab

Below the filter area there is a number of buttons to accept, cancel or copy a pending transfer request. These buttons are active if all selected transfer requests are in pending state. Requests that have successfully been claimed or that have been cancelled/refused cannot be accepted or cancelled again.

**Note:** Clicking a button to cancel a transfer request immediately triggers the cancellation. There is no warning dialogue to confirm the action again.

In case the logged-in user is only entitled to accept external position transfers with cash with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields after clicking the *Accept* or *Cancel* button.

## Accept

This button is available if one or more pending requests have been selected. It is used by the Clearing Member to confirm the transfer of the selected positions from his NCM/RC. After a position transfer request has been confirmed, the *Accept* button becomes inactive since the request cannot be confirmed again.

## **Cancel By NCM/RC**

This button is available if one or more pending requests have been selected. It is used by the initiating NCM/RC to cancel the transfer of the selected positions.

## **Cancel By Clg Mbr**

This button is available if one or more pending requests have been selected. It is used by the Clearing Member to cancel the transfer of the selected positions from his NCM/RC.

## Сору

This button is only active if a single position transfer request has been selected. Clicking the *Copy* button opens the *Position Transfer Entry* window prefilled with the information of the selected transfer request. In this window the user can modify the prefilled data. Clicking the *Submit* button on the *Position Transfer Entry* window will initiate a new position transfer process with the entered information.

## 4.5.2.2 Receive tab

Below the filter area there is a number of buttons to claim, confirm or reject a pending transfer request. These buttons are active if all selected transfer requests are in pending state. Requests that have successfully been claimed or that have been cancelled/refused cannot be claimed, confirmed or rejected again.

**Note:** Clicking a button to confirm or reject a transfer request immediately triggers the respective function. There is no warning dialogue to confirm the action again.

In case the logged-in user is only entitled to approve external position transfers with cash with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields after clicking the *Confirm* or *Reject* button.

## Claim

This button is available if one or more pending requests have been selected. It is used by the target exchange member to claim the position transfers. Clicking the *Claim* button opens the *Position Transfer Claim* window in which the user can enter the necessary information to claim the allocated positions.

## Confirm

This button is available if one or more pending requests have been selected for which the target NCM/RC has already specified the target account and the associated Clearing Member. It is used by the Clearing Member who is the sponsor of the entered target account to confirm the selected position transfers to his NCM/RC. After a transfer has been confirmed, the *Confirm* button becomes inactive since the request cannot be confirmed again.

## **Reject By NCM/RC**

This button is available if one or more pending requests have been selected. It is used by the target NCM/RC to reject the selected position transfers.

## **Reject By Clg Mbr**

This button is available if one or more pending requests have been selected. It is used by the Clearing Member who is the sponsor of the entered target account to reject the selected position transfers to his NCM/RC.

# 4.5.3 Screen elements

<b>Position Transfer</b>	· Overview - Filter criteria	
Filter	Description	
Clg Mbr	Filter for position transfers from/to a certain Clearing Member.	
NCM/RC	Filter for position transfers from/to a certain Non Clearing Member or Registered Customer.	
Account Name	Filter for position transfers from/to a certain account.	
Product Line	Select a product line to filter for transfers of options or futures positions.	
C/P	Filter for call or put contracts.	
Product	Filter for transfers of positions in certain products.	
Flexible Contract ID	Filter for transfers of positions in a certain flexible instrument.	
Curr	Filter for transfers of positions in certain currencies.	
Maturity From	Filter for transfers of positions in listed instruments with a maturity of or later than the specified date.	
Maturity To	Filter for transfers of positions in listed instruments with a maturity of or earlier than the specified date.	
Expiration From	Filter for transfers of positions in instruments which expire on or after the specified date.	
Expiration To	Filter for transfers of positions in instruments which expire on or before the specified date.	
Listed Instruments	If this check box is selected, transfers of positions in listed instruments are shown.	
Flexible Instruments	If this check box is selected, transfers of positions in flexible instruments are shown.	
Strike From	Filter for transfers of contracts with a strike price equal to or higher than the specified price.	
Strike To	Filter for transfers of contracts with a strike price equal to or lower than the specified price.	
Version	Filter for transfers of a certain contract version.	
Exercise Style	Filter for transfers of positions of a certain settlement method (Cash or Physical).	
Settlement Method	Filter for transfers of positions of a certain exercise style (American or European).	
Clg Mbr	Filter for transfers of a certain Clearing Member.	
NCM/RC	Filter for transfers of a certain Non Clearing Member or Registered Customer.	
Account Name	Filter for transfers from/to certain accounts.	
Allocation ID	Filter for position transfers with a certain allocation ID.	
Transaction ID	Filter for position transfers with a certain transaction ID.	
Position Transfer Overview - Filter criteria		
--	--	--
Filter	Description	
Alloc Status	Filter for position transfers with a certain status by selecting any combination of the <i>Claimed</i> , <i>Pending</i> , <i>Cancelled</i> and <i>Refused</i> check boxes.	
Tran Date	Filter for position transfers initiated on a certain date.	
Include expired positions	Include positions into the inquiry result which have already expired. This check box is selected by default.	

<b>Position Transfer</b>	Overview - Buttons
Button	Description
Accept	This button is available if one or more pending requests have been selected. It is used by the Clearing Member to confirm the transfer of the selected positions from his NCM/RC.
Cancel By Clg Mbr	This button is available if one or more pending requests have been selected. It is used by the Clearing Member to cancel the transfer of the selected positions from his NCM/RC.
Cancel By NCM/ RC	This button is available if one or more pending requests have been selected. It is used by the initiating NCM/RC to cancel the transfer process of the selected positions.
Сору	This button is only active if a single transfer request has been selected. It opens the <i>Position Transfer Entry</i> window prefilled with the information of the selected position transfer request.
Claim	This button is available if one or more pending requests have been selected. It is used by the target exchange member to claim the transferred positions. Clicking the <i>Claim</i> button opens the <i>Position Transfer Claim</i> window in which the user can enter the necessary information to claim the allocated positions.
Confirm	This button is available if one or more pending requests have been selected for which the target NCM/RC has already specified the target account and the associated Clearing Member. It is used by the Clearing Member who is the sponsor of the entered target account to confirm the selected position transfers to his NCM/RC.
Reject By Clg Mbr	This button is available if one or more pending requests have been selected. It is used by the Clearing Member who is the sponsor of the entered target account to reject the selected position transfers to his NCM/RC.
Reject By NCM/ RC	This button is available if one or more pending requests have been selected. It is used by the target NCM/RC to reject the selected position transfers.

Position Transfer	Overview - Table columns
Column	Description
Exchange	Exchange ID.
Alloc ID	Allocation ID of the position transfer request. This is only available for external position transfers.
Alloc Status	Status of the position transfer.
From Clg Mbr	Member ID of the sending Clearing Member.
From NCM/RC	Member ID of the sending Non Clearing Member or Registered Customer.
From Account Name	Source account.
To Clg Mbr	Member ID of the receiving Clearing Member.
To NCM/RC	Member ID of the receiving Non Clearing Member/Registered Customer.
To Account Name	Target account.
From Clg Mbr Conf	Confirmation status of the sending CM.
From NCM/RC Conf	Confirmation status of the sending NCM/RC.
To Clg Mbr Conf	Confirmation status of the receiving CM.
To NCM/RC Conf Conf	Confirmation status of the receiving NCM/RC.
Curr	Product currency.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Expiration Date	Expiration date of the flexible contract.
Product	Product ID.
Flexible Contract	Flexible Contract ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Exercise Style	Exercise style of option positions (American or European).
Settlement Method	Settlement method (Cash or Physical).
Long Qty	Long quantity to be transferred.
Short Qty	Short quantity to be transferred.
Text 1	Free text field for additional information.
Text 2	Free text field for additional information.
Text 3	Free text field for additional information.

Position Transfer	Overview - Table columns
Column	Description
Ref Text 1	Optional field entered by the initiating member to propose a free text.
Ref Text 2	Optional field entered by the initiating member to propose a free text.
Ref Text 3	Optional field entered by the initiating member to propose a free text.
Ref Account Name	Optional field entered by the initiating member to propose an account.
Tran Date	Date on which the position transfer has been initiated.
Processing Mode	Processing mode of the transfer.
Cash Amount	Optional cash amount to be transferred, entered by the initiating exchange member.
Transfer Price	Transfer price of the position transfer.
Cash Adjustment Price	Optional trade price entered by the initiating exchange member used to calculate the <i>Total Cash Amount</i> .
Total Cash Amount	Total cash amount calculated by the system. It is the sum of the entered <i>Cash Amount</i> and the calculated difference between the <i>Cash Adjustment Price</i> and the <i>Transfer Price</i> .
Transaction ID	Transaction ID of the booked position transfer.
Position ID	Position ID of the transferred position.

# 4.6 Position Transfer Claim

## 4.6.1 Description

The *Position Transfer Claim* window can be accessed from the *Position Transfer Overview* window via the *Claim* button. It allows the receiving exchange member to claim pending position transfers.

	close 🔀
Position Transfers	Help
Displaying items from 1 to 1 of 1	
ID Exchange Allocation ID Alloc Status From NCM/RC To Cig Mbr To NCM/RC To Account Name From Cig Mbr	From Ncm Rc Curr Exp
2 XEUR 1 ALLOCATION_PENDING TSTFR GCMFR NCMFR EXY MANUAL A	AUTO CHF 2013
4	Þ
To Clg Mbr GCMFR To Account Name EXY	
Text 1 No Change Text 2 No Change Text 3 No Change	
Submit Revert Cancel	
	clear log

Position Transfer Claim window

# 4.6.2 Functionality

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The *Position Transfer Claim* window is used by the receiving exchange member to claim pending position transfers. To claim a pending position transfer, the *To Account Name* and the *To Clg Mbr* have to be entered. The provided text fields can be used to enter additional information. Initially, the value proposed by the sending exchange member is used. If the text fields should be filled with a different text, it must be entered into the respective fields. To remove the proposed content from the text fields, there is a *Delete* check box in front of each field.

The *To Account Name* is prefilled with the value contained in the selected position transfers if it is the same for all of the records. If this is not the case, the entry field is blank.

The updated information can be previewed in the particular fields in the list of the pending transfers before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the pending position transfers until the request is actually submitted. The original transfer details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The *Submit* button is active if the *To Clg Mbr* and the *To Account Name* are entered for each of the selected position transfers.

In case the logged-in user is only entitled to claim external position transfers with cash with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields.

After submitting the confirmation request, the *Position Transfer Claim* window is closed automatically and the *Position Transfer Overview* window is inquired again to show the updated information. If an error occurs, the *Position Transfer Claim* window remains open and an error message is displayed in the message log.

### 4.6.3 Screen elements

Position Transfer Claim - Fields		
Field	Description	
To Clg Mbr	Clearing Member who is the sponsor of the target account.	
To Account Name	Target account for the position transfer.	
Text 1	This is an optional free text field.	
Text 2	This is an optional free text field.	
Text 3	This is an optional free text field.	
Approver ID	User ID of the approving user. This filed must be filled if the Four Eye Principle is required.	
Password	Password of the approving user.	

Position Transfer Claim - Buttons		
Button	Description	
Submit	This button is active if the target account has been entered for all selected position transfers.	
Revert	Reverts all changes entered since the window was opened.	
Cancel	Cancels the adjustment without any changes and closes the overlay window.	

## 4.7 Transaction Overview

## 4.7.1 Description

The *Transaction Overview* window can be accessed from the *Transaction Management* menu in the main menu or by opening the position details via the *Details* button or via double click on a position in the *Position Overview* window. The *Transaction Overview* window displays detailed information of transactions. Certain types of transaction adjustments can be initiated from this window. Further details about these functions can be found in the "Functionality" section of this window.

The *Transaction Overview* window shows detailed transaction information. In order to list only transactions of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all transactions matching the selected filter criteria are listed in the table.

Version 3.2

#### Window layouts and descriptions

E	eurex cl	e a r i n g				Transaction Ove	erview			Down	loads: 0 Logged i	n: GCMFRCLR001	Logout <u>H</u>
Menu Swite	h Transaction Ma	inagement S	ettlement A	ccount Management	File Upload Automatic	Processing							
Main Filter													
Cleared In	strument					Transaction							
Product Li	ne 🔽	C/I	P [	٣	Curr	Tran Date From		Tran Time From	n	]			
Product	equals 🔻	Fie	x Contract ID	equals 🔻		Tran Date To		Tran Time To		]			
Maturity F	rom	Ma	iturity To		Clisted Instrume	ents Tran Type							
Expiration	From	Ex	piration To		Flexible Instrum	nents B/S	<b>_</b>	0/C	•				
Strike Fro	m	Str	ike To		Version	Price From		Price To		-1			
Exercise :	style	56	thement Method	•		Business Date From		Buriners Date	To				
Party						Dustiess Date From		DUSITIESS Date					
Cig Mbr	NC	WRC	Account	Name equals 🔻									
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	In maine Clean I.	and the data to a second											
Full C Acts	Econoration Act 1	mi XIS CSY	Adjust Tra	anaction Adjustment	Give up Calculate Static	tion							
Selected:	1 Displaying iter	ns from 1 to 18 c	of 804 🔤 R		Calculate Statis	ucs							
Excha	ange Clg Mbr	NCM/RC	Accou	unt Curr	Instrument Symbol	Instrument Type	Exercise Style	Flex Contract ID	Settlement Method	Order ID	Tran ID	Suffix ID	Parn Suffix ID
XEUR	GCMFR	NCMFR	605	CHF	CONFIDEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3345	C0	0	
XEUR	GCMFR	NCMER	605	CHF	CONFIDEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3346	D9	0	
XEUR	GCMFR	NCMFR	605	CHF	CONF MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3405	22D	0	
XEUR	GCMFR	NCMFR	605	CHF	CONF MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3406	235	0	
XEUR	GCMFR	NCMFR	605	CHF	CONF JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3465	350	0	
C XEUR	GCMFR	NCMFR	605	CHF	CONF JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3466	3T3	0	
XEUR	GCMFR	NCMFR	605	CHF	FROG DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	3885	FS2	0	
C XEUR	GCMFR	NCMFR	605	CHF	FROG DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	3886	FTC	0	
XEUR	GCMFR	NCMFR	605	CHF	FROG MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	3945	HHC	0	
XEUR	GCMFR	NCMFR	605	CHF	FROG MAR 2014 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	3946	нув	0	
XEUR	GCMER	NCMER	605	CHE	FROG JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		CASH	4005	K/4	0	
YEUR	GCMER	NOMER	605	CHE	C SB/M MAD 2014 475 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	4000	048	0	
XEUR	GCMER	NCMER	605	CHE	C SBVN MAR 2014 475 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	4298	SL1	0	
XEUR	GCMFR	NCMFR	605	CHF	P SBVN MAR 2014 475 0	STANDARD CONTRACT	AMERICAN		PHYSICAL	4258	RFA	0	
XEUR	GCMFR	NCMER	605	CHF	P SBVN MAR 2014 475 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	4338	TQ1	0	
XEUR	GCMFR	NCMER	605	EUR	C ALV DEC 2013 190 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	4138	008	0	
XEUR	GCMFR	NCMER	605	EUR	P ALV DEC 2013 310 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	4178	P5C	0	
Acc Buy Qty	A	c Sell Qty		Avg Buy Prc	Avg Sell Prc								×
Current Long	Ci	irrent Short											
2015.09.02 - 15	25:02 - Operation perform	ned successfully.								-			

Transaction Overview window

If the window is opened via the *Details* button or a double click on a position in the *Position Overview* window, certain filter fields of the *Transaction Overview* window are prefilled according to the selected position and only transactions belonging to that position are displayed in the table.

Below the display table, there are some additional fields which provide statistical information on selected transactions. The calculation of the accumulated buy and sell quantities (*Acc Buy Qty*, *Acc Sell Qty*) along with the respective average prices (*Avg Buy Prc*, *Avg Sell Prc*) can be initiated by clicking the *Calculate Statistics* button.

Furthermore, information on the current position (*Curr Long, Curr Short*) are displayed automatically if the filter inquiry only returns transactions that all belong to the same position. Even if historic transactions were inquired, the position displayed in these two fields is the actual position at the time of inquiry.

## 4.7.2 Functionality

Below the filter area there is a number of buttons to perform certain transaction adjustments or initiate further functionality. The following functions are only available for active transactions.

### Overview

If one or more transactions are selected which belong to the same position, the *Overview* button is enabled. It opens the *Position Overview* window to show the respective position information. The *Overview* button is not available if transactions with different instruments or accounts are selected.

### **Transaction Separation**

Active transactions can be separated into two or more parts. This function can be invoked with the *Separation* button. Since only one transaction can be separated at a time, the button is only active if a single transaction is selected from the table. Clicking the *Separation* button opens the *Transaction Separation* window as an overlay window with the details of the selected transaction prefilled.

#### **Transaction Account Transfer**

Active transactions can be transferred to a different account. Therefore, all the transactions to be transferred must be selected from the table in the *Transaction Overview* window. Multiple transactions can be transferred at once. Clicking the *Act Transfer* button opens the *Transaction Account Transfer* window as an overlay window with the details of the selected transactions prefilled.

#### **Transaction Open/Close Adjustment**

The open/close status of active transactions can be changed. Therefore, all the transactions to be adjusted must be selected from the table in the *Transaction Overview* window. Multiple transactions can be adjusted at once. Clicking the *O/C Adjust* button opens the *Transaction O/C Adjustment* window as an overlay window with the details of the selected transactions prefilled.

#### **Transaction Adjustment**

The custom information contained in the text fields of active transactions can be changed. Therefore, all the transactions to be adjusted must be selected from the table in the *Transaction Overview* window. Multiple transactions can be adjusted at once. Clicking the *Transaction Adjustment* button opens the *Transaction Adjustment* window as an overlay window with the details of the selected transactions prefilled.

Furthermore, this adjustment can be used to modify the *Link Member ID* and *Link Beneficiary* fields as well as the eGAINS *Rate ID* field.

#### Give-up

Active transactions can be given up to another exchange member. Therefore, all the transactions to be given up must be selected from the table in the *Transaction Overview* window. Multiple transactions can be given up at once. Clicking the *Give-up* button opens the *Give-up Maintenance* window as an overlay window with the details of the selected transactions prefilled.

#### **Calculate Statistics**

For selected transactions, statistical information can be calculated. Below the display table in the *Transaction Overview* window various information fields show the accumulated buy and sell quantities (*Acc Buy Qty, Acc Sell Qty*) as well as the average buy and sell prices (*Avg Buy Prc, Avg Sell Prc*). These figures can be calculated for the selected transactions by clicking the *Calculate Statistics* button. This function is only available if transactions with the same instrument and maturity are selected from the table.

## 4.7.3 Screen elements

Transaction Over	view - Filter criteria
Filter	Description
Product Line	Filter for options or futures transactions.
C/P	Filter for call or put contracts.
Curr	Filter for transactions with certain currencies.
Product	Filter for transactions with certain products.
Flex Contract ID	Filter for transactions with a certain flexible instrument.
Maturity From	Filter for transactions with listed instruments with a maturity of or later than the specified date.
Maturity To	Filter for transactions with listed instruments with a maturity of or earlier than the specified date.
Expiration From	Filter for transactions with instruments which expire on or after the specified date.
Expiration To	Filter for transactions with instruments which expire on or before the specified date.
Listed Instruments	If this check box is selected, transactions with listed instruments are shown.
Flexible Instruments	If this check box is selected, transactions with flexible instruments are shown.
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.
Version	Filter for a certain contract version.
Exercise Style	Filter for transactions of a certain exercise style (American or European).
Settlement Method	Filter for transactions of a certain settlement method (Cash or Physical).
Clg Mbr	Filter for transactions of a certain Clearing Member.
Position ID	Filter for transactions which belong to a certain Position ID.
NCM/RC	Filter for transactions of a certain Non Clearing Member or Registered Customer.
Account Name	Filter for transactions booked on certain accounts.
Tran Date From	Filter for transactions with a transaction date equal or later than the specified date.
Tran Time From	Filter for transactions with a transaction time equal to or later than the specified time.
Tran Date To	Filter for transactions with a transaction date equal to or earlier than the specified date.
Tran Time To	Filter for transactions with a transaction time equal to or earlier than the specified time.
Tran Type	Filter for a specific transaction type.

Transaction Over	view - Filter criteria
Filter	Description
B/S	Filter for buy or sell transactions.
Price From	Filter for transactions in contracts with a price equal to or higher than the specified price.
Price To	Filter for transactions in contracts with a price equal to or lower than the specified price.
O/C	Filter for open or close transactions.
Tran Qty From	Filter for transactions with a transaction quantity equal to or higher than the specified value.
Tran Qty To	Filter for transactions with a transaction quantity equal to or lower than the specified value.
Order ID From	Specify the lower boundary of order IDs to filter for.
Order ID To	Specify the upper boundary of order IDs to filter for.
Orig Order ID From	Specify the lower boundary of original order IDs to filter for.
Orig Order ID To	Specify the upper boundary of original order IDs to filter for.
Text 1	Filter for specific values entered into the text field.
Text 2	Filter for specific values entered into the text field.
Text 3	Filter for specific values entered into the text field.
Orig Trade ID From	Specify the lower boundary of original trade IDs to filter for.
Orig Trade ID To	Specify the upper boundary of original trade IDs to filter for.
Orig Trade Type	Filter for a specific original trade type.
Trade ID From	Specify the lower boundary of trade IDs to filter for.
Trade ID To	Specify the upper boundary of trade IDs to filter for.
Orig Trade Date From	Filter for transactions with an original trade date equal to or later than the specified date.
Orig Trade Time From	Filter for transactions with an original trade time equal to or later than the specified time.
Orig Trade Date To	Filter for transactions with an original trade date equal to or earlier than the specified date.
Orig Trade Time To	Filter for transactions with an original trade time equal to or earlier than the specified time.
Entering Participant	Filter for transactions that have been entered by a specific participant.

Transaction Overview - Filter criteria		
Filter	Description	
Entering User	Filter for transactions that have been entered by a specific user.	
Full	If the <i>Full</i> inquiry mode is selected, all transactions which meet the filter criteria are displayed in the table.	
Active	The <i>Active</i> mode is the default inquiry mode. If it is selected, only those transactions are displayed in the table which meet the filter criteria and can still be modified. Reverted or transferred transactions are not listed in this mode.	

Transaction Overview - Buttons				
Button	Description			
Overview	This button is only active if one or more transactions are selected from the display table which belong to the same position, i.e. have the same instrument and are booked to the same account. It opens the <i>Position Overview</i> window to show the respective position information.			
Separation	This button is only active if a single transaction is selected. It opens the <i>Transaction Separation</i> window to enter the separation details.			
Act Transfer	This button is active if one or more transactions are selected. It opens the <i>Transaction Account Transfer</i> window to transfer the selected transactions.			
O/C Adjust	This button is active if one or more transactions are selected which are in the same open/close state. It opens the <i>Transaction O/C Adjustment</i> window to change the open/close state of the selected transactions.			
Transaction Adjustment	This button is active if one or more transactions are selected. It opens the <i>Transaction Adjustment</i> window to change the text fields of the selected transactions.			
Give-up	This button is active if one or more transactions are selected. It opens the <i>Give-up Maintenance</i> window to initiate give-up processes for the selected transactions.			
Calculate Statistics	This button is only active if multiple transactions with the same instrument and maturity are selected from the display table. It calculates the accumulated buy and sell quantities ( <i>Acc Buy Qty, Acc Sell Qty</i> ) as well as the average buy and sell prices ( <i>Avg Buy Prc, Avg Sell Prc</i> ) based on the selected transactions.			

Transaction Overview - Table columns					
Column	Description				
Exchange	Exchange ID.				
Clg Mbr	Member ID of the Clearing Member.				
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.				
Account Name	Account on which the transaction is booked.				
Curr	Product currency.				

Transaction Over	view - Table columns
Column	Description
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Instrument Type	Listed or flexible instrument.
Exercise Style	Exercise style of option positions (American or European).
Flexible Contract	Flexible Contract ID.
Settlement Method	Settlement method (Cash or Physical).
Order ID	Order number of the transaction.
Tran ID	Transaction identifier.
Suffix ID	Counter which is incremented with every modification of the transaction.
Parn Suffix ID	Reference to the parent suffix identifier.
Tran Type	Transaction type code.
Tran Type Description	Description of the transaction type.
Tran Date	Transaction date.
Tran Time	Transaction time.
Trader ID	Indicates who entered the original trade.
Tran Status	Current transaction status.
B/S	Indicates the buy or sell side.
O/C	Indicates a transaction to open or to close a position.
Orig Tran Type	Original transaction type.
Long	Position effect on the long side.
Short	Position effect on the short side.
Tran Qty	Transaction quantity.
Tran Price	Transaction price.
Premium	Transaction based premium to be paid or received.
Text 1	Free text field for additional information.
Text 2	Free text field for additional information.
Text 3	Free text field for additional information.
Orig Exch	Indicates at which exchange the trade was initiated originally.
Orig Contract ID	Original contract identifier.

Transaction Overview - Table columns					
Column	Description				
Orig Trade ID	Original trade identifier.				
Orig Trade Date	Original trade date.				
Orig Trade Time	Original trade time.				
Orig Order ID	Original order identifier.				
Entering Participant	Indicates which participant entered the transaction.				
Entering User ID	Indicates which user entered the transaction.				
Current Long	Current open long position.				
Current Short	Current open short position.				
Expiration Date	Expiration date of the flexible contract.				
Position ID	Position identifier related to the transaction.				
Allocation ID	Unique identifier of a give-up request entered for a transaction.				
Position Effect	Indicates whether a closing error occurred for the transaction.				
Prelim Tag	Indicates whether a transaction has a preliminary price.				
Rate ID	This is an optional free text field (eGAINS Rate identifier).				
Link Member ID	Member ID of the participant at the partner exchange.				
Link Beneficiary	Beneficiary ID at the partner exchange.				
Strat Link	Strategy Link ID.				
Strat Type	Strategy type.				

# 4.8 Transaction Separation

## 4.8.1 Description

The *Transaction Separation* window is an overlay window accessed from the *Transaction Overview* window which allows to split one transaction into several new transactions.

It summarizes the details of the transaction to be split in a table. Below this table there are various fields to enter the separation.

Version 3.2

#### Window layouts and descriptions

Transaction	Separation									close 🔀
Origina	I Transaction	1								<u>Help</u>
Displaying it	tems from 1 to 1 of 1									_
Exchang	ge Clg Mbr	NCM/RC	Account Name	Curr	Instrument Symbol	Order ID	Tran ID	Suffix ID	Parn Suffix ID	A
XEUR	GCMFR	NCMFR	EXY	EUR	C FIA5 JUN15 14.000000	3336	00A39X	00000	٩	
•										•
New Tr	ansaction De	tails								
Add row	Add row(s)	Remove row(s	)							
Selected	Tran Quantity		Text 1		Text 2		Text	3		
	Trail quality	44	TOALT		TONE		TOAL			
		50								
		160								
		190								
Quantit	ty remaining: 0									
Submit	Cancel									
										-

Transaction Separation window

### 4.8.2 Functionality

Initially, two rows of entry fields are provided to separate the original transaction into two new transactions. In each row the details for a new transaction can be entered. If the original transaction is supposed to be split into more than two parts, additional rows can be added by clicking the *Add row* or the *Add row(s)* button.

For each new transaction, the transaction quantity (*Tran Quantity*) can be defined along with three text fields (*Text 1, Text 2, Text 3*). The text fields are optional. They can be filled with additional information for the new transactions. The quantity field, however, is mandatory. This field needs to be filled with a positive number between 1 and the remaining quantity displayed at the bottom of the list of new transactions. All of the original transaction quantity has to be distributed amongst the new transactions, i.e. the separation can only be processed if the remaining quantity is zero. The *Submit* button stays inactive as long as this is not fulfilled.

Redundant rows can be selected and then removed with the *Remove row(s)* button. At least two rows need to remain in the list of new transactions. They cannot be removed since a separation into less than two transactions is not feasible.

If there is only one empty row left and still a remaining quantity left to be distributed, the last empty transaction quantity field is automatically filled with the remaining amount.

After successfully submitting the separation request by clicking the *Submit* button, the *Transaction Separation* window is closed automatically. If an error occurs, a message is displayed in the message log.

Version 3.2

### 4.8.3 Screen elements

Transaction Separation - Fields					
Field	Description				
Tran Quantity	This field is mandatory. It defines the respective quantity of the new transaction and must be filled with positive numbers between 1 and the remaining quantity displayed at the bottom of the list of new transactions.				
Text 1	This is an optional free text field.				
Text 2	This is an optional free text field.				
Text 3	This is an optional free text field.				

Transaction Separation - Buttons					
Button	Description				
Add row	Adds a new row of entry fields to enter new transaction details.				
Add row(s)	Adds a certain number of new rows of entry fields to enter new transaction details. The user is prompted for the number of new rows to be added.				
Remove row(s)	Removes a row of editable cells for new transaction details.				
Submit	This button is only available if the remaining quantity equals zero. Clicking the <i>Submit</i> button submits a request to perform the transaction separation and closes the overlay window.				
Cancel	Cancels the adjustment without any changes and closes the overlay window.				

# 4.9 Transaction Account Transfer

## 4.9.1 Description

The *Transaction Account Transfer* window is an overlay window accessed from the *Transaction Overview* window which allows to transfer transactions to another account.

It summarizes the details of the transactions to be transferred in a table. Below this table there are various fields to enter the account transfer.

Transactio	n Account Transfer								close 🗙
Origin	al Transactio	'n							<u>Help</u>
Displaying	items from 1 to 1 of	1							
Exchar	nge Clg Mbr	NCM/RC	Account Name		Instrument Symbol	Instrument Type	Exercise Style	Flex Contract ID	Settlement Method
XEUR	GCMFR	NCMFR	EXY	CHF	FROG DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE	FR05	PHYSICAL
4									Þ
Transa	action Accou	nt Transfer							
To Exch I	Member T	o Account Name	D	Text 1	D	Text 2 D	Text 3		
No Change	EXY		No Ch	ange	No Change	Deleted	i		
Submit	Revert	Cancel							
									-
									-

#### Transaction Account Transfer window

### 4.9.2 Functionality

T

Any number of transactions listed in the *Transaction Overview* window can be selected for an account transfer. Their details are displayed in the *Transaction Account Transfer* window. All of the transactions can be transferred at once by filling in the provided entry fields. It is mandatory to enter the destination account into the *To Account Name* field. The *Submit* button is only active if a destination account has been entered which is different from the source account. Clearing Members can transfer transactions between their own and their RCs accounts. Therefore, the *To Exch Member* field has to be filled with the respective member ID.

The provided text fields (*Text 1, Text 2, Text 3*) can optionally be used to change the original text fields of the transactions. Initially, they are not filled with any text, i.e. the individual text fields of the original transactions remain unchanged. If an alternative text is entered into one of the text fields, this new text is applied to the respective text field in every transferred transaction.

The changed account as well as the updated text fields can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the transfer request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a check box is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction to be transferred. Again, this can be previewed in the details of the original transactions.

**Note:** Both the destination account and the text field changes apply to all of the transactions listed in the display table in the same way.

After submitting the transfer request by clicking the *Submit* button, all successfully transferred transactions are removed from the display table. If all transfers are successful, the *Transaction Account Transfer* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be transferred. In this case, an error message is displayed in the message log.

### 4.9.3 Screen elements

Transaction Account Transfer - Fields						
Field	Description					
To Exch Member	This field can only be used by Clearing Members to transfer transactions between their own accounts and their RCs accounts.					
To Account Name	This field is mandatory. It defines the destination account of the transaction transfer.					
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the account transfer.					
Text 1	This is an optional free text field.					
Text 2	This is an optional free text field.					
Text 3	This is an optional free text field.					

Transaction Account Transfer - Buttons						
Button	Description					
Submit	This button is only active if a destination account is entered. Clicking the <i>Submit</i> button submits a request to perform the transaction account transfer and closes the overlay window if all the transactions could successfully be transferred.					
Revert	Reverts all changes entered since the window was opened.					
Cancel	Cancels the adjustment without any changes and closes the overlay window.					

# 4.10 Transaction O/C Adjustment

## 4.10.1 Description

The *Transaction O/C Adjustment* window is an overlay window accessed from the *Transaction Overview* window which allows to adjust the open/close status of transactions.

It summarizes the details of the transactions to be adjusted in a table. Below this table there are various fields to enter the open/close adjustment.

Transaction O/0	Adjustment									close 🗙
Original T	ransaction	ı								<u>Help</u>
Displaying item	ns from 1 to 1 of	1								
Exchange	Clg Mbr	NCM/RC	Account Name	Curr	Instrument Symbol	Instrument Type	Exercise Style	Flex Contract ID	Settlement Method	¢
XEUR	GCMFR	NCMFR	605	CHF	CONF JUN 2014 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	3465
Transacti	on O/C Adj	ustment								
O/C D		Text 1		D	Text 2		D	Text 3		
c 🗌	No Change				No Change		No Change			
Submit	Revert	ancel								
								clear log		
								<b>~</b>		

Transaction O/C Adjustment window

## 4.10.2 Functionality

Any number of transactions listed in the *Transaction Overview* window that have the same open (*O*) or close (*C*) status can be selected for an O/C adjustment. Their details are displayed in the *Transaction O/C Adjustment* window. All of the transactions can be adjusted at once by filling in the provided entry fields. Depending on the current open/close status of the transactions, the appropriate new open/close status is displayed in the *O/C* field, i.e. if the transactions are currently "to open" (open/close status *O*), the new status "to close" (*C*) is displayed and vice versa.

The provided text fields (*Text 1, Text 2, Text 3*) can optionally be used to change the original text fields of the transactions. Initially, they are not filled with any text, i.e. the individual text fields of the original transactions remain unchanged. If an alternative text is entered into one of the text fields, this new text is applied to the respective text field in every adjusted transaction.

The new open/close status as well as the updated text fields can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the adjustment request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a check box is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction to be adjusted. Again, this can be previewed in the details of the original transactions.

**Note:** Both the new open/close status and the text field changes apply to all of the transactions listed in the display table in the same way.

After submitting the adjustment request by clicking the *Submit* button, all successfully adjusted transactions are removed from the display table. If all adjustments are successful, the *Transaction O/C Adjustment* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be updated. In this case, an error message is displayed in the message log.

T

### 4.10.3 Screen elements

Transaction O/C Adjustment - Fields					
Field	Description				
O/C	Depending on the current open/close status of the transactions, the appropriate new status is displayed.				
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the adjustment.				
Text 1	This is an optional free text field.				
Text 2	This is an optional free text field.				
Text 3	This is an optional free text field.				

Transaction O/C Adjustment - Buttons					
Button	Description				
Submit	Clicking the <i>Submit</i> button submits a request to perform the adjustment and closes the overlay window if all the transactions could successfully be updated.				
Revert	Reverts all changes entered since the window was opened.				
Cancel	Cancels the adjustment without any changes and closes the overlay window.				

## 4.11 Transaction Adjustment

## 4.11.1 Description

The *Transaction Adjustment* window is an overlay window accessible from the *Transaction Overview* window which allows to update the content of the text fields of transactions. It summarizes the details of the transactions to be adjusted in a table. Below this table there are various fields to update the individual fields.

Transaction	Adjustment										close 🚺
Origina	al Transactio	n(s)									<u>Help</u>
Displaying i	items from 1 to 1 of	2									
Exchan	ge Clg Mbr	NCM/RC	Accou Nam	nt Curr	Instrument Syr	nbol Ins	trument Type	Exercise Style	Flex Contract ID	Settlement Method	c
XEUR	GCMFR	NCMFR	605	CHF	FROG MAR 2014 0	STANDARD	_CONTRACT	NO_EXERCISE		CASH	0004L
XEUR	GCMFR	NCMER	605	CHF	C SBVN MAR 2014 47	0 STANDARD	_CONTRACT	AMERICAN		PHYSICAL	0004L
4											×.
Transa	ction Adjust	ment									
D	Text 1	D	Text 2	D	Text 3 D	Link Member ID	D	Link Beneficiary	D	Rate ID	
Dele	eted	new text2	2	No Chang	e 🔲 🛛	lo Change	No C	hange	No Change	e	
Submit	Revert	Cancel									
											*
											-
-											

#### Transaction Adjustment window

## 4.11.2 Functionality

Any number of transactions listed in the *Transaction Overview* window can be selected for a transaction adjustment. Their details are displayed in the *Transaction Adjustment* window. All of

the transactions can be adjusted at once by filling in the provided entry fields. The provided fields can be used to change the original free text fields of the transactions as well as the *Link Member ID*, *Link Beneficiary* and the eGAINS *Rate ID* fields. Initially, they are not filled with any text, i.e. the individual information of the original transactions remain unchanged. If an alternative text is entered into one of the fields, this entry is applied to the respective field in every transaction listed in the window.

The updated information can be previewed in the list of original transactions before they are actually submitted. The respective details are updated as they are entered into the fields. However, this is only a preview of the transaction details. No changes are applied to the transactions until the adjustment request is actually submitted. The original transaction details are shown as a tooltip by hovering with the mouse over the respective entry in the details table.

The text fields cannot only be updated to a new text but the original text can also be deleted. Therefore, a check box is provided in front of each text field. If this check box is selected, the content of the respective text field is deleted in each transaction. Again, this can be previewed in the details of the original transactions.

Note: The changes apply to all of the transactions listed in the display table in the same way.

The *Submit* button is always active, even if no change has been entered. In this case, the transaction information will not be changed by the adjustment request. Only the values in *Tran Date* and *Tran Time* are updated and the *Suffix ID* is incremented.

After submitting the adjustment request by clicking the *Submit* button, all successfully adjusted transactions are removed from the display table. If all adjustments are successful, the *Transaction Adjustment* window is closed automatically. Otherwise, it remains open with the transactions listed which failed to be updated. In this case, an error message is displayed in the message log.

## 4.11.3 Screen elements

Transaction Adju	Fransaction Adjustment - Fields							
Field	Description							
D	If this check box in front of a text field is selected, the original content of the respective text field is deleted in the adjustment.							
Text 1	This is a free text field.							
Text 2	This is a free text field.							
Text 3	This is a free text field.							
Link Member ID	This is a free text field for the participant at the partner exchange.							
Link Beneficiary	This is a free text field for the beneficiary ID at the partner exchange.							
Rate ID	This is a free text field for the eGAINS Rate Identifier.							

Transaction Adjustment - Buttons							
Button	Description						
Submit	Clicking the <i>Submit</i> button submits a request to perform the adjustment and closes the overlay window if all the transactions could successfully be updated.						
Revert	Reverts all changes entered since the window was opened.						
Cancel	Cancels the adjustment without any changes and closes the overlay window.						

# 4.12 Give-up Overview

## 4.12.1 Description

The *Give-up Overview* window can be accessed from the *Transaction Management* menu in the main menu. It displays pending, confirmed and cancelled/rejected give-up requests. A Non-Clearing Member can inquire own give-up requests. A Clearing Member can inquire own give-up requests as well as requests entered by his NCMs and RCs.

In order to list only give-up requests of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all requests matching the selected filter criteria are listed in the table.

Version 3.2

#### Window layouts and descriptions

M	EC enu Switch Tu	<b>rex cle</b> a	<b>a r i n g</b> gement Settle	ment Accourt	nt Management	File Upload	G Automatic Pro	ive-up Ove	erview			Downle	o <u>ads: 0</u> Logged ir	GCMFRCLR00	1 Logout <u>Help</u>
w r	Main Filter														
ſ	- Cleared Instrument	t						Transaction							
	Product Line	•	C/P		C	urr		Trade Date From	1	rade Date To					
	Product	equals 🔻	Flex Contr	act ID equals 🔻				Business Date From	m E	lusiness Date To					
	Maturity From		Maturity To			Listed Ins	truments	Transaction ID							
	Expiration From		Expiration	Го		🗹 Flexible I	nstruments	Allocation							
	Strike From		Strike To		Ve	ersion		To NCM/RC							
	Exercise Style	٣	Settlement Method	۲				Allocation ID							
L								Alloc Status 📃 🔘	:laimed 📃 Pend	ing 🔲 Cancelled	Refused				
Г	- Party														
	Clg Mbr	NCM/RC	A	count Name equal	s <b>T</b>										
Inq	uire Clear   xm	nli xls i csv.													
Ac	cept Cancel E	By NCM/RC Ca	ncel By Clg Mbr	Cancel + Nev	<i>(</i>										
	Selected: 1 D	isplaying items fro	om 1 to 7 of 7	₫⁄2											
	Exchange	From Clg Mbr	From NCM/RC	From Account	To NCM/RC	From Clg Mbr Conf	From Nem Re Conf	: To Clg Mbr Conf	To Ncm Rc Conf	Allocation ID	Alloc Status	Curr	Expiration Date	Flex Contract ID	Instrume
	ECAG	GCMFR	GCMFR	605	NCMER	PENDING	AUTO	PENDING	PENDING	6	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201
	ECAG	GCMFR	GCMFR	605	NCMFR	PENDING	AUTO	PENDING	REJECTED	5	REFUSED	CHF	2013-12-20	FR05	FROG DEC 201
	ECAG	GCMFR	GCMFR	605	NCMFR	REJECTED	AUTO	PENDING	PENDING	2	CANCELLED	CHF	2013-12-20	FR05	FROG DEC 201
R	ECAG	GCMFR	GCMFR	605	NCMER	PENDING	AUTO	PENDING	PENDING	1	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201
	ECAG	GCMFR	GCMFR	D5	NCMER	PENDING	AUTO	PENDING	PENDING	7	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201
	ECAG	GCMFR	GCMFR	D5	NCMFR	MANUAL	AUTO	MANUAL	MANUAL	3	CLAIMED	CHF	2013-12-20	FR05	FROG DEC 201
	ECAG	GCMER	GCMER	E	NCMER	PENDING	AUTO	PENDING	REJECTED	4	REFUSED	CHE	2013-12-20	FR05	EROG DEC 201

		•
2015.04.22 - 08:34:13 - Operation performed successfully.	·	
	· clear log	

Give-up Overview window

## 4.12.2 Functionality

Below the filter area there is a number of buttons to accept or cancel a pending give-up request. These buttons are active if all selected give-up requests are in pending state. Requests that have successfully been claimed or that have been cancelled/refused cannot be cancelled or confirmed again.

**Note:** Clicking a button to confirm or cancel a give-up request immediately triggers the respective function. There is no warning dialogue to confirm the action again.

### Accept

This button is available if one or more pending requests have been selected. It is used by the Clearing Member to confirm the give-up of the selected transactions from his NCM/RC. After a give-up request has been confirmed, the *Accept* button becomes inactive since the request cannot be confirmed again.

### **Cancel By NCM/RC**

This button is available if one or more pending requests have been selected. It is used by the initiating NCM/RC to cancel the give-up process of the selected transactions.

### Cancel By Clg Mbr

This button is available if one or more pending requests have been selected. It is used by the Clearing Member to cancel the give-up of the selected transactions from his NCM/RC.

## Cancel + New

This button is only active if a single give-up request has been selected. Clicking the *Cancel* + *New* button opens the *Give-up Maintenance* window prefilled with the information of the original give-up request. In this window the user can modify the prefilled data. Clicking the *Submit* button on the *Give-up Maintenance* window will cancel the previously selected give-up request and start a new give-up process with the entered information.

## 4.12.3 Screen elements

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Give-up Overview - Filter criteria									
Filter	Description								
Product Line	Filter for allocations in options or futures transactions.								
C/P	Filter for allocations in call or put contracts.								
Curr	Filter for allocations in transactions with certain currencies.								
Product	Filter for allocations in transactions with certain products.								
Flex Contract ID	Filter for allocations in transactions with a certain flexible instrument.								
Maturity From	Filter for allocations in transactions with listed instruments with a maturity of or later than the specified date.								
Maturity To	Filter for allocations in transactions with listed instruments with a maturity of or earlier than the specified date.								
Expiration From	Filter for allocations in transactions with instruments which expire on or after the specified date.								
Expiration To	Filter for allocations in transactions with instruments which expire on or before the specified date.								
Listed Instruments	If this check box is selected, allocations in transactions with listed instruments are shown.								
Flexible Instruments	If this check box is selected, allocations in transactions with flexible instruments are shown.								
Strike From	Filter for allocations in contracts with a strike price equal to or higher than the specified price.								
Strike To	Filter for allocations in contracts with a strike price equal to or lower than the specified price.								
Version	Filter for allocations in a certain contract version.								
Exercise Style	Filter for allocations in transactions of a certain exercise style (American or European).								
Settlement Method	Filter for allocations in transactions of a certain settlement method (Cash or Physical).								
Clg Mbr	Filter for allocations in transactions of a certain Clearing Member.								
NCM/RC	Filter for allocations in transactions of a certain Non Clearing Member or Registered Customer.								
Account Name	Filter for allocations in transactions booked on certain accounts.								
Trade Date From	Filter for allocations in transactions with a trade date greater or equal the entered date.								
Trade Date To	Filter for allocations in transactions with a trade date earlier or equal the entered date.								
Business Date From	Filter for allocations generated on or after a certain business date.								
Business Date To	Filter for allocations generated on or before a certain business date.								
Tran ID	Filter for allocations in a transaction with a certain transaction ID.								

Give-up Overview - Filter criteria							
Filter	Description						
To NCM/RC	Filter for give-up transactions that have been allocated to a specific participant.						
Allocation ID	Filter for an allocation with a certain allocation ID.						
Alloc Status	Filter for allocations with a certain status by selecting any combination of the <i>Claimed</i> , <i>Pending</i> , <i>Cancelled</i> and <i>Refused</i> check boxes.						

Give-up Overview	/ - Buttons
Button	Description
Accept	This button is available if one or more pending requests have been selected. It is used by the Clearing Member to confirm the give-up of the selected transactions from his NCM/RC.
Cancel By NCM/ RC	This button is available if one or more pending requests have been selected. It is used by the initiating NCM/RC to cancel the give-up process of the selected transactions.
Cancel By Clg Mbr	This button is available if one or more pending requests have been selected. It is used by the Clearing Member to cancel the give-up of the selected transactions from his NCM/RC.
Cancel + New	This button is only active if a single give-up request has been selected. It opens the <i>Give-up Maintenance</i> window prefilled with the information of the original give-up request. In this window the user can modify the prefilled data. Clicking the <i>Submit</i> button on the <i>Give-up Maintenance</i> window will cancel the previously selected give-up request and start a new give-up process with the entered information.

Give-up Overview - Table columns								
Column	Description							
Exchange	Exchange ID.							
From Clg Mbr	Clearing Member of the initiating NCM/RC.							
From NCM/RC	Initiating Non Clearing Member or Registered Customer.							
From Account Name	Account on which the transaction is booked.							
To NCM/RC	Exchange member to whom the transaction was given-up to (take-up member).							
From Clg Mbr Conf	Confirmation status of the give-up CM.							
From NCM/RC Conf	Confirmation status of the give-up NCM/RC.							
To Clg Mbr Conf	Confirmation status of the take-up CM.							
To NCM/RC Conf	Confirmation status of the take-up NCM/RC.							

Give-up Overview - Table columns										
Column	Description									
Allocation ID	Unique identifier of the give-up request.									
Alloc Status	Status of the give-up request.									
Curr	Product currency.									
C/P	Indicates a call or a put option.									
Maturity	Maturity date of the contract.									
Product	Product ID.									
Strike	Strike price of the contract.									
Version	Version of the contract.									
Expiration Date	Expiration date of the flexible contract.									
Flexible Contract	Flexible Contract ID.									
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.									
Instrument Type	Listed or flexible instrument.									
Exercise Style	Exercise style of option positions (American or European).									
Settlement Method	Settlement method (Cash or Physical).									
Tran ID	Transaction identifier.									
Suffix ID	Counter which is incremented with every modification of the transaction.									
Trade Date	Trade date of the given-up transaction.									
Business Date	Date the give-up request was generated.									
Tran Date	Transaction date.									
Tran Time	Transaction time.									
B/S	Indicates the buy or sell side.									
Orig Trade Type	Original trade type.									
Tran Qty	Transaction quantity.									
Tran Price	Transaction price.									
Rate ID	This is an optional free text field (eGAINS Rate identifier).									
Ref Account Name	Optional field entered by the give-up member to propose a take-up account.									
Ref Link Member ID	Optional field entered by the give-up member to propose a Link Member ID.									
Ref Link Beneficiary	Optional field entered by the give-up member to propose a Link Beneficiary.									
Ref Text 1	Optional field entered by the give-up member to propose a free text.									

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Give-up Overview - Table columns						
Column	Description					
Ref Text 2	Optional field entered by the give-up member to propose a free text.					
Ref Text 3	Optional field entered by the give-up member to propose a free text.					
Ref O/C	Optional field entered by the give-up member to propose a take-up to open or to close.					

## 4.13 Give-up Maintenance

### 4.13.1 Description

The *Give-up Maintenance* window is an overlay window accessed from the *Transaction Overview* window which allows to give up transactions to another exchange member.

It summarizes the details of the transactions to be given up in a table. Below this table there are various fields to enter the give-up information.

Give-up Mainte	nance										close 🗙
Transacti	ions										Help
Disalautas itas											
Displaying iter	ns from 1 to 3 of .	3 🔤 🖄									
Exchange	Clg Mbr		Account Name		Instrument Sym	Instrument Type	Exercise Style	Flex Contract ID	Settlement Method		Tran ID
XEUR	GCMFR	GCMFR	605	CHF	P SBVN JAN 20	STANDARD_C	AMERICAN		PHYSICAL	0004L0P0G	TD8
XEUR	GCMFR	GCMFR	605	EUR	P ALV DEC 201	STANDARD_C	AMERICAN		PHYSICAL	0004L00V0	OHD
XEUR	GCMFR	GCMFR	605	EUR	C BAS DEC 20	STANDARD_C	AMERICAN		PHYSICAL	0004L0P1K	UJD
4											
Give-up											
_											
To NCM/RC	NCMFR		To Accour	nt Name							
Ref Text 1	O No	Change	Ref Text 2		Delete	Ref Te	kt 3 🔲 🛛 No Cł	lange			
Ref Link Mem	ber ID 🔲 No	Change	Ref Link B	eneficiary	No Change						
Ref O/C	No	Change 🔻									
Submit	Revert	ancel									
									A		
									cle	ear log	
									*		

Give-up Maintenance window

### 4.13.2 Functionality

Any number of transactions listed in the *Transaction Overview* window can be selected for a giveup. Their details are displayed in the *Give-up Maintenance* window. All of the transactions can be given up at once by filling in the provided entry fields.

To give up transactions to another exchange member, the target member must be entered in the *To NCM/RC* field. This field is mandatory. All the other entry fields can be filled optionally and will be shown to the take-up member as a proposal.

By default, all the reference fields (*Ref*...) show "No Change", i.e. the individual entries of the original transactions will be suggested to the take-up member. If text is entered into a reference field, it applies to all of the transactions selected for give-up. The respective *Ref*... column in the transactions table is updated accordingly for preview.

If the give-up member doesn't want to send any text proposals, the delete check box in front of each entry field must be selected. In this case, the respective *Ref*... columns in the transactions table are empty and no proposals are contained in the give-up request for the deleted fields.

The *Submit* button is only active if the *To NCM/RC* field is filled with a target Member ID. Clicking this button initiates individual give-up processes for the selected transactions. After submitting successfully, the window is closed automatically.

As long as the give-up process is not completed the allocated transactions are still visible in the *Transaction Overview* window but they are not adjustable.

#### Cancel + New

If the *Give-up Maintenance* window has been opened via the *Cancel + New* button of the *Give-up Overview* window, all entry fields are prefilled with the information of the original give-up request. The user can modify these entries. Clicking the *Submit* button will cancel the original give-up request and submit a new request with the updated information. After submitting successfully, the window is closed automatically.

If an error occurs, a message is displayed in the message log.

### 4.13.3 Screen elements

Give-up Maintena	Give-up Maintenance - Fields					
Field	Description					
To NCM/RC	This field is mandatory. It defines the target member to whom the transactions are given up to (take-up member).					
To Account Name	Proposal for the take-up account.					
Ref Text 1	Proposal for the free text field.					
Ref Text 2	Proposal for the free text field.					
Ref Text 3	Proposal for the free text field.					
Ref Link Member ID	Proposal for the Link Member ID.					
Ref Link Beneficiary	Proposal for the Link Beneficiary.					
Ref O/C	Proposal for the open/close indicator.					

Give-up Maintenance - Buttons						
Button	Description					
Submit	This button is only active if a target member ID is entered. Clicking the <i>Submit</i> button submits a request to give up the transactions and closes the overlay window if all give-up requests could successfully be initiated.					
Revert	Reverts all changes entered since the window was opened.					
Cancel	Closes the overlay window without any changes.					

## 4.14 Take-up Overview

### 4.14.1 Description

The *Take-up Overview* window can be accessed from the *Transaction Management* menu in the main menu. It displays pending, confirmed and cancelled/rejected give-up requests. A Non-Clearing Member can inquire give-up requests allocated to himself. A Clearing Member can inquire give-up requests allocated to himself as well as give-ups allocated to his NCMs and RCs to confirm them after they have been claimed.

In order to list only give-up requests of interest, a filter function is provided. At the top of the window there are various filter fields. Upon inquiry, all requests matching the selected filter criteria are listed in the table.

	urex clea	aring	ament Account	nt Management	File Unload	Ta Automatic Proc	ike-up Ove	erview			Down	loads: 0 Logged i	n: NCMFRCLR0	01 Logout <u>Help</u>
-	Transaction manu	gement betti	Account	management	The opioud	Automate i rot	cooring							
Main Filter Cleared Instrume Product Line Product Intel Maturity From Expration From Style Party Cig Max	et equals V v	C/P Flex Contr Maturity Tr Expiration Strike To Settlement Method	act ID equals V To	C 	Uisted Inst Uisted Inst Flexible Ir Irsion	ruments	Transaction — Trade Date From Tran ID Allocation — From NCM/RC _ Alloc Status _	Claimed Pend	ade Date To	Refused				
Take un	mi xis csv Reject By N	CM/RC Reject	By Cla Mbr											
Selected: 1	Displaying items fro	om 1 to 9 of 9 😁	2											
Exchange	From NCM/RC	To Clg Mbr	To NCM/RC	To Account N	From Clg Mbr Conf	From Ncm Rc Conf	To Clg Mbr Conf	To Ncm Rc Conf	Allocation ID	Alloc Status	Curr	Expiration Date	Flex Contract ID	Instrume
ECAG	TSTFR	GCMFR	NCMFR	ААА	PENDING	AUTO	PENDING	REJECTED	5	REFUSED	CHF	2013-12-20	FROS	FROG DEC 201
ECAG	TSTFR	GCMFR	NCMER	AAA	MANUAL	AUTO	MANUAL	MANUAL	3	CLAIMED	CHF	2013-12-20	FR05	FROG DEC 201
ECAG	TSTFR		NCMER		PENDING	AUTO	PENDING	PENDING	7	ALLOCATION_PENDING	CHF	2013-12-20	FRO5	FROG DEC 201
ECAG	TSTFR		NCMFR		PENDING	REJECTED	PENDING	PENDING	6	CANCELLED	CHF	2013-12-20	FROS	FROG DEC 201
ECAG	TSTFR		NCMER		PENDING	AUTO	PENDING	REJECTED	4	REFUSED	CHF	2013-12-20	FR05	FROG DEC 201
ECAG	TSTFR		NCMER		REJECTED	AUTO	PENDING	PENDING	2	CANCELLED	CHF	2013-12-20	FRO5	FROG DEC 201
ECAG	TSTFR		NCMFR		PENDING	AUTO	PENDING	PENDING	102	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201
ECAG	TSTFR		NCMFR		PENDING	AUTO	PENDING	PENDING	101	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201
ECAG	TSTFR		NCMER		PENDING	AUTO	PENDING	PENDING	1	ALLOCATION_PENDING	CHF	2013-12-20	FR05	FROG DEC 201

4	•
2815.84.23 - 19.24.84 - Operation performed successfully 2815.84.23 - 19.43.07 - Operation performed successfully.	clear log



## 4.14.2 Functionality

Below the filter area there is a number of buttons to take-up, confirm or cancel a pending give-up request. These buttons are active if all selected give-up requests are in pending state. Requests that have successfully been claimed or that have been cancelled/refused cannot be taken-up, confirmed or rejected again.

**Note:** Clicking a button to confirm or reject a give-up request immediately triggers the respective function. There is no warning dialogue to confirm the action again.

#### Take-up

This button is available if one or more pending requests have been selected. It is used by the target exchange member to take up the transactions. Clicking the *Take-up* button opens the

*Take-up Maintenance* window in which the user can enter the necessary information to claim the allocated transactions.

### Confirm

This button is available if one or more pending requests have been selected for which the target NCM/RC has already specified the take-up account and the associated Clearing Member. It is used by the Clearing Member who is the sponsor of the entered take-up account to confirm the take-up of the selected transactions by his NCM/RC. After a take-up has been confirmed, the *Confirm* button becomes inactive since the request cannot be confirmed again.

### **Reject By NCM/RC**

This button is available if one or more pending requests have been selected. It is used by the target NCM/RC to reject the take-up of the selected transactions.

### Reject By Clg Mbr

This button is available if one or more pending requests have been selected. It is used by the Clearing Member who is the sponsor of the entered take-up account to reject the take-up of the selected transactions by his NCM/RC.

## 4.14.3 Screen elements

Take-up Overview - Filter criteria							
Filter	Description						
Product Line	Filter for allocations in options or futures transactions.						
C/P	Filter for allocations in call or put contracts.						
Curr	Filter for allocations in transactions with certain currencies.						
Product	Filter for allocations in transactions with certain products.						
Flex Contract ID	Filter for allocations in transactions with a certain flexible instrument.						
Maturity From	Filter for allocations in transactions with listed instruments with a maturity of or later than the specified date.						
Maturity To	Filter for allocations in transactions with listed instruments with a maturity of or earlier than the specified date.						
Expiration From	Filter for allocations in transactions with instruments which expire on or after the specified date.						
Expiration To	Filter for allocations in transactions with instruments which expire on or before the specified date.						
Listed Instruments	If this check box is selected, allocations in transactions with listed instruments are shown.						
Flexible Instruments	If this check box is selected, allocations in transactions with flexible instruments are shown.						
Strike From	Filter for allocations in contracts with a strike price equal to or higher than the specified price.						
Strike To	Filter for allocations in contracts with a strike price equal to or lower than the specified price.						
Version	Filter for allocations in a certain contract version.						
Exercise Style	Filter for allocations in transactions of a certain exercise style (American or European).						
Settlement Method	Filter for allocations in transactions of a certain settlement method (Cash or Physical).						
Clg Mbr	Filter for allocations in transactions of a certain Clearing Member.						
NCM/RC	Filter for allocations in transactions of a certain Non Clearing Member or Registered Customer.						
Account Name	Filter for allocations in transactions booked on certain accounts.						
Trade Date From	Filter for allocations in transactions with a trade date greater or equal the entered date.						
Trade Date To	Filter for allocations in transactions with a trade date earlier or equal the entered date.						
Business Date From	Filter for allocations generated on or after a certain business date.						
Business Date To	Filter for allocations generated on or before a certain business date.						
Tran ID	Filter for allocations in a transaction with a certain transaction ID.						

Take-up Overview - Filter criteria					
Filter	Description				
From NCM/RC	Filter for give-up transactions that have been entered by a specific participant.				
Allocation ID	Filter for an allocation with a certain allocation ID.				
Alloc Status	Filter for allocations with a certain status by selecting any combination of the <i>Claimed</i> , <i>Pending</i> , <i>Cancelled</i> and <i>Refused</i> check boxes.				

Take-up Overview	/ - Buttons
Button	Description
Take-up	This button is available if one or more pending requests have been selected. It is used by the target exchange member to take up the transactions. Clicking the <i>Take-up</i> button opens the <i>Take-up Maintenance</i> window in which the user can enter the necessary information to claim the allocated transactions.
Confirm	This button is available if one or more pending requests have been selected for which the target NCM/RC has already specified the take-up account and the associated Clearing Member. It is used by the Clearing Member who is the sponsor of the entered take-up account to confirm the take-up of the selected transactions by his NCM/RC.
Reject By NCM/ RC	This button is available if one or more pending requests have been selected. It is used by the target NCM/RC to reject the take-up of the selected transactions.
Reject By Clg Mbr	This button is available if one or more pending requests have been selected. It is used by the Clearing Member who is the sponsor of the entered take-up account to reject the take-up of the selected transactions by his NCM/RC.

Take-up Overview	Take-up Overview - Table columns					
Column	Description					
Exchange	Exchange ID.					
From NCM/RC	Initiating Non Clearing Member or Registered Customer.					
To Clg Mbr	Clearing Member who is the sponsor of the entered take-up account.					
To NCM/RC	Exchange member to whom the transaction was given-up to (take-up member).					
To Account Name	Take-up account entered by the target NCM/RC.					
From Clg Mbr Conf	Confirmation status of the give-up CM.					
From NCM/RC Conf	Confirmation status of the give-up NCM/RC.					
To Clg Mbr Conf	Confirmation status of the take-up CM.					
To NCM/RC Conf	Confirmation status of the take-up NCM/RC.					

Take-up Overview	/ - Table columns
Column	Description
Allocation ID	Unique identifier of the give-up request.
Alloc Status	Status of the give-up request.
Curr	Product currency.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Expiration Date	Expiration date of the flexible contract.
Flexible Contract ID	Flexible Contract ID.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Instrument Type	Listed or flexible instrument.
Exercise Style	Exercise style of option positions (American or European).
Settlement Method	Settlement method (Cash or Physical).
Tran ID	Transaction identifier.
Suffix ID	Counter which is incremented with every modification of the transaction.
Trade Date	Trade date of the given-up transaction.
Business Date	Date the give-up request was generated.
Tran Date	Transaction date.
Tran Time	Transaction time.
B/S	Indicates the buy or sell side.
O/C	Indicates whether the transaction is taken up to open or to close.
Orig Trade Type	Original trade type.
Tran Qty	Transaction quantity.
Tran Price	Transaction price.
Text 1	This is an optional free text field entered by the take-up member.
Text 2	This is an optional free text field entered by the take-up member.
Text 3	This is an optional free text field entered by the take-up member.
Rate ID	This is an optional free text field (eGAINS Rate identifier)
Link Member ID	This is an optional free text field entered by the take-up member.
Link Beneficiary	This is an optional free text field entered by the take-up member.
Ref Account Name	Optional field entered by the give-up member to propose a take-up account.

Take-up Overview	Take-up Overview - Table columns					
Column	Description					
Ref Link Member ID	Optional field entered by the give-up member to propose a Link Member ID.					
Ref Link Beneficiary	Optional field entered by the give-up member to propose a Link Beneficiary.					
Ref Text 1	Optional field entered by the give-up member to propose a free text.					
Ref Text 2	Optional field entered by the give-up member to propose a free text.					
Ref Text 3	Optional field entered by the give-up member to propose a free text.					
Ref O/C	Optional field entered by the give-up member to propose a take-up to open or to close.					

## 4.15 Take-up Maintenance

### 4.15.1 Description

The *Take-up Maintenance* window is an overlay window accessed from the *Take-up Overview* window which allows to claim transactions given up by another exchange member.

It summarizes the details of the transactions to be taken up in a table. Below this table there are various fields to enter the take-up information.

Take-u	p Maintena	ance											close X
Trai	nsactio	ns											<u>Help</u>
Displa	wing items	from 1 to 1 of 1	a/										
						From Cla Mbr	From Ncm Rc	To Cla Mbr	To Ncm Rc				
B	change	From NCM/RC	To Cig Mbr	To NCM/RC	To Account Name	Conf	Conf	Conf	Conf	Allocation ID	Alloc Status	Ci	JIT
XEUR		GCMFR	GCMFR	NCMFR	A5	PENDING	AUTO	PENDING	PENDING	6	ALLOCATION	CHF	
۰.													۱.
Tak	e-up												
To CI	g Mbr	GCMFR		To Account Nan	ne A5								
l ext	1 Momber ID	No Chan	ige	Text 2	No Chi	ange	Text 3	No Change					
O/C	viember ID	No Change T	ige	синк Бененстату	U No Cha	ange							
Subn	nit F	Revert Ca	incel										
										cle	ar log		
										Ψ			

#### Take-up Maintenance window

## 4.15.2 Functionality

One or multiple transactions listed in the *Take-up Overview* window can be selected for take-up. Their details are displayed in the *Take-up Overview* window. All of the transactions can be taken up at once by filling in the provided entry fields.

To take up transactions from another exchange member, the take-up account must be entered in the *To Account Name* field and the Clearing Member who is the sponsor of this take-up account must be entered in the *To Clg Mbr* field. These fields are mandatory. All the other entry fields can be filled optionally. The entered Clearing Member has to confirm the take-up.

By default, all the optional text fields show "No Change", i.e. the individual proposals entered by the give-up member into the *Ref*... fields are accepted. If text is entered into a text field, it applies to all of the transactions selected for take-up. The respective column in the transactions table is updated accordingly for preview.

If the take-up member wants to leave the text fields of the taken up transactions empty, the delete check box in front of each entry field must be selected. In this case, the respective columns in the transactions table are empty.

The *O/C* indicator must be selected as well. By default, "No Change" is selected, i.e. the proposals entered by the give-up member are taken. If the give-up member has not proposed an open/close indicator, the transactions are taken up "to open".

The *Submit* button is only active if the *To Clg Mbr* and the *To Account Name* fields are filled. Clicking this button submits a request to take up the selected transactions. After submitting successfully, the window is closed automatically.

If an error occurs, a message is displayed in the message log.

### 4.15.3 Screen elements

Take-up Maintena	ince - Fields
Field	Description
To Clg Mbr	This field is mandatory. It defines the Clearing Member who is the sponsor of the take-up account. This Clearing Member has to confirm the take-up.
To Account Name	This field is mandatory if no account has been proposed by the give-up member. It is the account to which the transactions are taken up to.
Text 1	This is an optional free text field. If it is left blank, the proposal entered by the give-up member is taken.
Text 2	This is an optional free text field. If it is left blank, the proposal entered by the give-up member is taken.
Text 3	This is an optional free text field. If it is left blank, the proposal entered by the give-up member is taken.
Link Member ID	This is an optional free text field. If it is left blank, the proposal entered by the give-up member is taken.
Link Beneficiary	This is an optional free text field. If it is left blank, the proposal entered by the give-up member is taken.
O/C	Defines whether the transactions are taken up "to open" or "to close". By default, "No Change" is selected, i.e. the proposals entered by the give-up member are taken. If the give-up member has not proposed an open/close indicator, the transactions are taken up "to open".

Take-up Maintenance - Buttons									
Button	Description								
Submit	This button is only active if the <i>To Clg Mbr</i> and the <i>To Account Name</i> are entered. Clicking the <i>Submit</i> button submits a request to take up the transactions and closes the overlay window if all take-up requests could successfully be processed.								
Revert	Reverts all changes entered since the window was opened.								
Cancel	Closes the overlay window without any changes.								

## 4.16 Exercise Overview

### 4.16.1 Description

The *Exercise Overview* window can be accessed from the *Settlement* menu in the main menu or via the *Exercise* button in the *Position Overview* window. It displays the user's option positions and allows to manually exercise positions or abandon positions from automatic exercise.

The *Exercise Overview* window shows current options positions. In order to list only positions of interest, a filter function is provided. At the top of the window there are various fields which can be filled with criteria to filter for. Upon inquiry, all positions matching the selected filter criteria are listed in the table. Below the display table, there are two separate tabs. One for position exercise and one for abandoning.

Version 3.2

#### Window layouts and descriptions

EC	urex cle	aring	dinne,			Exercise Ove	erview			Download	<u>ls: 0</u> Logged in:	GCMFRCLR001	Logout Hel		
Menu Switch	Menu Switch Iransaction Management Settlement Account Management File Upload Automatic Processing														
Main Filter															
Cleared Instrum	ient														
Product Line	0 •		C/P	•	Curr										
Product	equals •		Flex Contract ID	equals	•										
Maturity From			Maturity To			Listed Instruments									
Expiration From	۰		Expiration To			Flexible Instruments									
Strike From			Strike To		Version										
Exercise Style	•		Settlement Method												
Clg Mbr	NCM/F	RC	Account Name	equals	¥										
Advanced Filter							_								
Inquire Clear															
▶ ITM Amounts															
Selected: 1	Displaying items fr	rom 1 to 9 of 9 🚆	2												
Exchang	je Clg Mbr	NCM/RC	Account Name	Curr	Instrument Symbol	Instrument T	ype Exercise Style	Flex S Contract ID	Settlement Method	Exercised Qty	Open Long	Trading Unit	Abandone Qty		
XEUR	GCMFR	NCMFR	AAA	EUR	C OGBL JAN14 100.500000	STANDARD_CONTRAC	T AMERICAN	PH	IVSICAL	0	100	1			
XEUR	GCMFR	NCMER	ААА	EUR	P OGBS FEB14 103.500000	STANDARD_CONTRAC	T AMERICAN	PH	IVSICAL	0	33	100			
XEUR	GCMFR	NCMER	AAA	EUR	P OGBS MAR14 104.000000	STANDARD_CONTRAC	T AMERICAN	PH	IYSICAL	0	100	100			
XEUR	GCMFR	GCMFR	AAA	CHF	P SBVN JUN14 450.000000	STANDARD_CONTRAC	T AMERICAN	PH	IVSICAL	321	0	10			
XEUR	GCMFR	GCMFR	EXY	CHF	P SBVN JUN14 450.000000	STANDARD_CONTRAC	T AMERICAN	PH	IVSICAL	0	0	10			
XEUR	GCMFR	GCMFR	AAA	EUR	C ODAX DEC13 5,500.000000	STANDARD_CONTRAC	T EUROPEAN	CA	SH	0	70	1			
XEUR	GCMFR	GCMFR	AAA	EUR	P OGBS FEB14 103.500000	STANDARD_CONTRAC	T AMERICAN	PH	IVSICAL	0	70	100			
XEUR	GCMFR	GCMFR	EX	EUR	C ODAX DEC13 5,500.000000	STANDARD_CONTRAC	T EUROPEAN	CA	NSH .	0	0	1			
XEUR	GCMFR	GCMFR	EXY	EUR	C ODAX DEC13 5,500.000000	STANDARD_CONTRAC	T EUROPEAN	CA	ASH	0	0	1			
4													•		
Exercise Manu	ally Abandon A	uto Exer													
Exercise Oty C	hange														
Text 1	in ingo		Text 2		Text 3										
Approver ID			Password												
Exercise			Password												
LAUGISU															
2015.04.09 - 10:25:1	18 Operation performe	ed successfully.								Å	teestee				
										•	iear iog				

Exercise Overview window

If the window is opened via the *Exercise* button in the *Position Overview* window, certain filter fields of the *Exercise Overview* window are prefilled according to the selected positions.

## 4.16.2 Functionality

Unlike the filter function in the *Position Overview* window a filter inquiry in the *Exercise Overview* window only returns options positions which have not expired yet. Only those positions can be exercised manually or abandoned from automatic exercise.

By default, the advanced filter is set in a way that the inquiry returns all option positions which have not expired yet (*All* check box selected). To filter for positions with an *Exercised Qty* greater zero, only the *Exercised* check box must be selected. To filter for positions with an *Open Long* quantity greater zero, only the *Unexercised* check box must be checked. And to filter for positions with an *Abandoned Qty* greater zero, only the *Abandoned* check box must be selected. These check boxes can be selected in various combinations to inquire the desired positions.

#### Filter by ITM amount

To narrow down the list of filter results even further, the filter area of the *Exercise Overview* window provides an option to display only positions that are currently in-the-money or out-of-the-money by checking the respective check box on inquiry.

The filtering is done based on the available underlying price. The *Price Flag* column indicates which price is used for the calculation of the *ITM Per Contract* and *ITM Total* columns. If the user enters an own price into the *Reference Price* field, this price is used to calculate simulated ITM amounts.

In this case, the ITM Per Contract and ITM Total columns in the display table are filled with the
simulated ITM amounts and the *Price Flag* column indicates that a user defined price was used for the calculation.

Below the list of positions there are individual tabs for manual exercise and for abandoning.

#### Manual Exercise

To exercise positions manually, one or more positions need to be selected from the display table. The exercised quantity of the selected positions can be adjusted with the fields provided in the *Exercise Manually* tab. It can be increased or decreased by entering a positive or a negative value into the *Exercise Qty Change* field. However, the entered value must not exceed the open long quantity of any selected position. A negative value (unexercise) must not exceed the previously exercised quantity of any selected position. If the entered quantity exceeds one of the boundaries, the *Exercise* button is disabled.

If the user tries to exercise positions that are currently out-of-the-money, a warning message is displayed. Only if this warning is confirmed, the position is exercised.

In case the entering user is only entitled to exercise positions with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields.

The provided text fields (*Text 1*, *Text 2*, *Text 3*) can be used to assign further information to the exercise transaction.

#### Abandon from Automatic Exercise

It might be necessary to exclude certain positions from the automatic exercise process. This can be done via the *Abandon Auto Exer* tab. The quantity to be abandoned can be adjusted by filling in the *Abandon Qty Change* field. It can be increased or decreased by entering a positive or a negative value. If a positive value is entered, it may exceed the current open long position. However, a negative value must not exceed the previously abandoned quantity (*Abandoned Qty*).

The abandoned quantity can only be entered on the last trading day.

In case the entering user is only entitled to abandon positions with a Four Eye approval, a second user must enter his credentials into the *Approver ID* and *Password* fields.

If an error occurs, a message is displayed in the message log.

## 4.16.3 Screen elements

Exercise Overview - Filter criteria							
Filter	Description						
Product Line	Since only options can be exercised, the product line is fixed to <i>O</i> in this window.						
C/P	Filter for call or put contracts.						
Curr	Filter for positions in certain currencies.						
Product	Filter for positions in certain products.						
Flex Contract ID	Filter for positions in a certain flexible instrument.						
Maturity From	Filter for positions in listed instruments with a maturity of or later than the specified date.						
Maturity To	Filter for positions in listed instruments with a maturity of or earlier than the specified date.						
Expiration From	Filter for positions in instruments which expire on or after the specified date.						
Expiration To	Filter for positions in instruments which expire on or before the specified date.						
Listed Instruments	If this check box is selected, positions in listed instruments are shown.						
Flexible Instruments	If this check box is selected, positions in flexible instruments are shown.						
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.						
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.						
Version	Filter for a certain contract version.						
Exercise Style	Filter for positions of a certain exercise style (American or European).						
Settlement Method	Filter for positions of a certain settlement method (Cash or Physical).						
Clg Mbr	Filter for positions of a certain Clearing Member.						
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.						
Account Name	Filter for positions booked on certain accounts.						
All	If this check box is selected, exercised, unexercised and abandoned positions are shown, as well as positions without any long quantity.						
Exercised	If this check box is selected, exercised positions are shown.						
Unexercised	If this check box is selected, unexercised positions are shown.						
Abandoned	If this check box is selected, positions which are (partially) excluded from the automatic exercise process are shown.						
Reference Price	If a single product is filled in the <i>Product</i> filter, a user defined reference price can be entered. It is used for the calculation of the ITM amounts.						

Exercise Overview - Filter criteria					
Filter	Description				
In-the-money	Select this check box to show positions which are in-the-money based on the user defined reference price or the underlying price.				
Out-of-the-money	Select this check box to show positions which are out-of-the-money based on the user defined reference price or the underlying price.				
Position ID	Filter for transactions which belong to a certain Position ID.				

Exercise Overview - Fields						
Field	Description					
Exercise Qty Change	Increase or decrease the amount to exercise for the selected positions by filling in positive or negative values into this field.					
Text 1	Provide further information to the exercise transaction in this text field.					
Text 2	Provide further information to the exercise transaction in this text field.					
Text 3	Provide further information to the exercise transaction in this text field.					
Abandon Qty Change	Increase or decrease the amount to exclude from automatic exercise for the selected position.					
Approver ID	User ID of the approving user. This filed must be filled if the Four Eye Principle is required.					
Password	Password of the approving user.					

Exercise Overview - Buttons						
Button	Description					
Exercise	This button is only active if the conditions described above are fulfilled. Clicking the button exercises/un-exercises the entered amount for the selected positions.					
Abandon	This button is only active if the conditions described above are fulfilled. Clicking the button excludes/includes the entered amount from automatic exercise for the selected position.					

Exercise Overview - Table columns						
Column	Description					
Exchange	Exchange ID.					
Clg Mbr	Member ID of the Clearing Member.					
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.					
Account Name	Account on which the position is booked.					
Curr	Product currency.					
C/P	Indicates a call or a put option.					
Maturity	Maturity date of the contract.					

Exercise Overvie	w - Table columns
Column	Description
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Instrument Type	Listed or flexible instrument.
Exercise Style	Exercise style of option positions (American or European).
Flexible Contract	Flexible Contract ID.
Settlement Method	Settlement method (Cash or Physical).
Exercised Qty	Quantity that has been exercised.
Open Long	Up-to-date open long position.
Trading Unit	Contract size.
Reference Price	Price used to calculate the ITM amounts. It can either be provided by the system or entered manually by the user.
Price Flag	Indicates whether the underlying price is preliminary, final or user defined.
Abandoned Qty	Quantity that has been excluded from automatic exercise.
Tick Size	Smallest increment in which the price of a contract may change.
Tick Value	Monetary value represented by a one-tick movement in the contract price.
TM Per Contract	In-the-money amount on a contract basis.
ITM Total	Accumulated in-the-money amount.
Designated GU Long	Long quantity that has been designated for give-up.
Designated PosTrans Long	Long quantity that has been designated for position transfer.
Total Designated Long	Total designated long quantity.
Position ID	Position identifier.
Expiration Date	Expiration date of the flexible contract.

## 4.17 Exercise Assignment Overview

## 4.17.1 Description

The *Exercise Assignment Overview* window can be accessed from the *Settlement* menu in the main menu. It displays the user's exercised long positions and assigned short positions.

In order to list only positions of interest, a filter function is provided. At the top of the window there are various fields which can be filled with criteria to filter for. Upon inquiry, all positions matching the selected filter criteria are listed in the table.

Version 3.2

#### Window layouts and descriptions

Menu Switch Transaction Management Settle	ement Account Management	File Upload	Exercise A	ssignment Overv	view	Downlo:	a <u>ds: 0</u> Logged in:	GCMFRCLR00	1 Logout <u>Help</u>
V Main Filter									
Cleared Instrument									
Product Line O V	C/P 💌		Curr						
Product equals V	Flex Contract ID equals	•							
Maturity From	Maturity To		C Listed Instrument	\$					
Expiration From	Expiration To		Elexible Instrume	nts					
Strike From	Strike To		Version	]					
Exercise Style	Settlement Method								
Party			Position						
Cig Mbr NCM/RC	Account Name equals	•	Tran Date 2013-12-18						
Advanced Filter									
Inquire Clear   xml   xls   csv									
Selected: 0 Displaying items from 1 to 1 of 1	2								
Exchange Clg Mbr NCM/RC	Account Name Curr	Tran Date	Instrument Symbol	Instrument Type	Exercise Style	Flex Settlement Contract ID Method	Exercised Otv	Assigned Otv	Expiration Date
E VEUD COMED COMED	AAA CHE	2012 12 18	D CRUBI UNI 2014 450.0	STANDARD CONTRACT	AMEDICAN	DHVPICAL	221	280	2014 06 10

4	•
2015 04 09 - 10 50 40 Operation performed successfully.	clear log

Exercise Assignment Overview window

## 4.17.2 Functionality

The assignments for the current business day can only be inquired after the assignments have been processed by the Eurex® System. Exercised positions are displayed immediately after the manual exercise request has been processed.

If an error occurs, a message is displayed in the message log.

## 4.17.3 Screen elements

Exercise Assignment Overview - Filter criteria						
Filter	Description					
Product Line	Since only options can be exercised, the product line is fixed to <i>O</i> in this window.					
C/P	Filter for call or put contracts.					
Curr	Filter for positions in certain currencies.					
Product	Filter for positions in certain products.					
Flex Contract ID	Filter for positions in a certain flexible instrument.					
Maturity From	Filter for positions in listed instruments with a maturity of or later than the specified date.					
Maturity To	Filter for positions in listed instruments with a maturity of or earlier than the specified date.					
Expiration From	Filter for positions in instruments which expire on or after the specified date.					
Expiration To	Filter for positions in instruments which expire on or before the specified date.					
Listed Instruments	If this check box is selected, positions in listed instruments are shown.					
Flexible Instruments	If this check box is selected, positions in flexible instruments are shown.					
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.					
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.					
Version	Filter for a certain contract version.					
Exercise Style	Filter for positions of a certain exercise style (American or European).					
Settlement Method	Filter for positions of a certain settlement method (Cash or Physical).					
Clg Mbr	Filter for positions of a certain Clearing Member.					
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.					
Account Name	Filter for positions booked on certain accounts.					
Tran Date	Filter for a certain transaction date.					
Exercised	Select this check box to include exercised positions in the inquiry result.					
Assigned	Select this check box to include assigned positions in the inquiry result.					
Position ID	Filter for transactions which belong to a certain Position ID.					

Exercise Assignn	nent Overview - Table columns
Column	Description
Exchange	Exchange ID.
Clg Mbr	Member ID of the Clearing Member.
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.
Account Name	Account on which the position is booked.
Curr	Product currency.
Tran Date	Transaction date.
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.
Instrument Type	Listed or flexible instrument.
Exercise Style	Exercise style of option positions (American or European).
Flexible Contract ID	Flexible Contract ID.
Settlement Method	Settlement method (Cash or Physical).
Exercised Qty	Quantity that has been exercised.
Assigned Qty	Quantity that has been assigned for exercise to the Member.
C/P	Indicates a call or a put option.
Maturity	Maturity date of the contract.
Product	Product ID.
Strike	Strike price of the contract.
Version	Version of the contract.
Tick Size	Smallest increment in which the price of a contract may change.
Tick Value	Monetary value represented by a one-tick movement in the contract price.
Position ID	Position identifier.
Expiration Date	Expiration date of the flexible contract.

## 4.18 Deliverable Position Overview

#### 4.18.1 Description

The *Deliverable Position Overview* window can be accessed from the *Settlement* menu in the main menu. It displays settlement related information for exercised/assigned (notified/allocated) positions with physical delivery.

In order to list only positions of interest, a filter function is provided. At the top of the window there are various fields which can be filled with criteria to filter for. Upon inquiry, all positions matching the selected filter criteria are listed in the table.

Version 3.2

#### Window layouts and descriptions

Me		urex cle Transaction Mana	<b>aring</b> agement Sett	lement Accou	nt Management File Up	Deli Ioad Automatic Proces	iverable Po	sition Ove	erview		D	<u>ownloads: 0</u> Log	ged in: GCMFR	CLR001 Logo	out <u>Help</u>
₩ N	▼ Man Fiter														
_	Cleared Instrument														
	Product Line	•		C/P	•		Settl Curr								
	Product	equals		Flex Co	ntract ID equals •	-									
	Maturity From			Maturity	То		🗹 Liste	d Instruments							
	Expiration From			Expirati	on To		I Flex	ble Instruments							
	Strike From			Strike T	•		Version								
	Exercise Style	<b>T</b>		Settlem	ent Method										
	Delivery ID			Deliver	Reason 🔻										
	Party						Posit	ion	_						
	Clg Mbr		NCM/RC		Account Name equals	Ŧ	Tran	Date							
L	-						Valu	e Date							
Inqu	ire Clear	xml   xls   csv													
5	Selected: 0	Displaying items f	rom 1 to 6 of 6	₫/2											
	Exchange			Account Name			Exercise Style	Flex Contract ID	Settlement Method			Exer/Alloc Qty	Asgn/Noti Qty		
	XEUR	GCMFR	GCMFR	605	C ALV DEC 2013 190 0	FLEX_CONTRACT	AMERICAN	ALV6	PHYSICAL	2013-12-18	2013-12-18		140.00	35.000000	51
	XEUR	GCMFR	NCMER	D5	C BTE DEC 2013 240 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	2013-12-18	150.00		75.000000	21
	XEUR	GCMFR	GCMFR	D5	C BTE DEC 2013 240 0	STANDARD_CONTRACT	AMERICAN		PHYSICAL	2013-12-18	2013-12-18	155.00		25.000000	2
	XEUR	GCMFR	NCMFR	EX	C ALV DEC 2013 190 0	FLEX_CONTRACT	AMERICAN	ALV6	PHYSICAL	2013-12-18	2013-12-18	130.00		25.000000	54
	XEUR	GCMFR	GCMFR	EXY	FGBS DEC 2013 0	STANDARD_CONTRACT	NO_EXERCISE		PHYSICAL	2013-12-18	2013-12-18	310.00		50.000000	35
- E -	VEHID	GOMER	GOMER	EXV	P BAS DEC 2013 44.0	STANDARD CONTRACT	AMERICAN		DHYSICAL	2013 12 18	2013 12 18	250.00		10.000000	

4	>
2015 09 03 - 19 10 50 - Operation performed successfully.	↓ clear log

Deliverable Position Overview window

## 4.18.2 Functionality

On the expiration day of futures contracts C7 randomly allocates holders of short positions to the holders of long positions requiring physical delivery of the underlying securities. Similarly, when a long position in options is exercised, C7 randomly selects an option seller from among all open short positions of the same options series who will be assigned the exercise and thus is obliged to deliver or receive the underlying securities.

As soon as the allocation process for futures and the assignment process for options has been completed, the deliverable positions can be inquired in the *Deliverable Position Overview* window. The display table shows which underlying has to be delivered or will be received. Historical data can be inquired for 5 business days.

If an error occurs, a message is displayed in the message log.

## 4.18.3 Screen elements

Deliverable Position Overview - Filter criteria					
Filter	Description				
Product Line	Select a product line to filter for options or futures positions.				
C/P	Filter for call or put contracts.				
Settl Curr	Filter for positions in certain settlement currencies.				
Product	Filter for positions in certain products.				
Flex Contract ID	Filter for positions in a certain flexible instrument.				
Maturity From	Filter for positions which expire on or after the specified date.				
Maturity To	Filter for positions which expire on or before the specified date.				
Expiration From	Filter for positions in instruments which expire on or after the specified date.				
Expiration To	Filter for positions in instruments which expire on or before the specified date.				
Listed Instruments	If this check box is selected, positions in listed instruments are shown.				
Flexible Instruments	If this check box is selected, positions in flexible instruments are shown.				
Strike From	Filter for contracts with a strike price equal to or higher than the specified price.				
Strike To	Filter for contracts with a strike price equal to or lower than the specified price.				
Version	Filter for a certain contract version.				
Exercise Style	Filter for positions of a certain exercise style (American or European).				
Settlement Method	Filter for positions of a certain settlement method (Cash or Physical).				
Delivery ID	Filter for a certain Delivery ID.				
Delivery Reason	Filter for exercised, assigned, notified or allocated positions only.				
Clg Mbr	Filter for positions of a certain Clearing Member.				
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.				
Account Name	Filter for positions booked on certain accounts.				
Tran Date	Filter for a certain transaction date.				
Value Date	Filter for deliveries with a certain value date.				

Deliverable Position Overview - Table columns				
Column	Description			
Exchange	Exchange ID.			
Clg Mbr	Member ID of the Clearing Member.			
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.			
Account Name	Account on which the position is booked.			

Deliverable Position Overview - Table columns						
Column	Description					
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the call/put indicator, the product name, its maturity, the strike price and the version of the contract.					
Instrument Type	Listed or flexible instrument.					
Exercise Style	Exercise style of option positions (American or European).					
Flex Contract ID	Flexible Contract ID.					
Settlement Method	Settlement method (Cash or Physical).					
Tran Date	Transaction date.					
Exer/Alloc Qty	Quantity that has been exercised or allocated.					
Asgn/Noti Qty	Quantity that has been assigned to an exercise or notified to the Member.					
Trd. Unit	Relevant contract size to create the delivery instruction.					
Units	Number of shares or nominal amount of the delivery instruction.					
Settl Curr	Settlement currency.					
CurrRec (Pay)	Settlement amount (without cash settlement) calculated for the deliverable position.					
Cash Settl	Cash adjustment calculated for the deliverable position (if applicable).					
ISIN	ISIN of the delivery component.					
Delivery ID	Delivery ID.					
Expiration Date	Expiration date of the flexible contract.					
Value Date	Value date of the delivery.					
Face Value	Face value.					
Sec Name	Security name.					
Conv Factor	Conversion factor.					
Accr Interest	Accrued interest.					
Position ID	Position ID.					
C/P	Indicates a call or a put option.					
Maturity	Maturity date of the contract.					
Product	Product ID.					
Strike	Strike price of the contract.					
Version	Version of the contract.					

## 4.19 Notification Overview

## 4.19.1 Description

The *Notification Overview* window can be accessed from the *Settlement* menu in the main menu. It displays open, notified and designated short positions.

Version 3.2

#### Window layouts and descriptions

Mer	Ecures u Switch Transac	x clearing	Settlement Accou	Int Management F	ile Upload Autom	Notification Ov	verview			Downloads:	0 Logged in: GCMFF	RCLR001 Logo	xut <u>Help</u>
▼ Mi	V Mar Før Carded britsmand Product lee r Product equals Carr Poston D Valandy To Valandy To Valandy To Valandy To Valandy V												
s	elected: 1 Displayi	ng items from 1 to 25 Cla Mbr	of 150	Account	Curr	Instrument Symbol Oc	pen Short	Notified Otv	Dsan Short Oty GU	Dsan Short Oty Tr	Total	Position ID	
	YEUD	CONER	NOMED	Name	CHE	CONFIDER 2012 0	200.0000000.0	00000	0.00000	0.00000	Designated Short	E0	*
	XEUR	GCMFR	NCMER	605	CHF	CONF JUN 2014 0	300.00000000 0.	00000	0.00000	10.00000	10.00000	205	
	XEUR	GCMFR	NCMER	605	CHF	CONF MAR 2014 0	250.0000000 0	.00000	0.00000	0.00000	0.00000	176	
	XEUR	GCMFR	NCMER	605	CHF	FROG DEC 2013 0	300.00000000 0.	.00000	0.00000	0.00000	0.00000	7146	
R	XEUR	GCMFR	NCMFR	605	CHF	FROG JUN 2014 0	300.0000000 0.	.00000	0.00000	0.00000	0.00000	97A	
	XEUR	GCMFR	NCMFR	605	EUR	FGBS DEC 2013 0	300.00000000 0	.00000	0.00000	0.00000	0.00000	2TA	
	XEUR	GCMFR	NCMER	605	EUR	FGBS JUN 2014 0	300.0000000 0.	.00000	0.00000	0.00000	0.00000	4EE	
	XEUR	GCMFR	NCMER	605	EUR	FGBS MAR 2014 0	300.0000000 0	.00000	0.00000	0.00000	0.00000	3MC	
	XEUR	GCMFR	NCMFR	605	EUR	FIAF DEC 2013 0	300.0000000 0.	.00000	0.00000	0.00000	0.00000	579	
	XEUR	GCMFR	NCMER	605	EUR	FIAF JAN 2014 0	300.0000000 0.	.00000	0.00000	0.00000	0.00000	607	
	XEUR	GCMFR	NCMER	605	EUR	FIAF JUN 2014 0	300.0000000 0.	.00000	0.00000	0.00000	0.00000	6T8	
0	XEUR	GCMFR	NCMFR	AAA	EUR	FDAX DEC 2013 0	150.00000000 0.	.00000	0.00000	0.00000	0.00000	9QB	
	XEUR	GCMFR	NCMFR	AAA	EUR	FDAX JUN 2014 0	550.00000000 0.	.00000	0.00000	0.00000	0.00000	952	
	XEUR	GCMFR	NCMER	AAA	EUR	FDAX MAR 2014 0	350.0000000 0.	.00000	0.00000	0.00000	0.00000	9RE	
	YEUR	GCMER	NUMER	DS	CHF	CONFIDED 2013 0	50.00000000 0.	00000	0.00000	0.00000	0.00000	40	
	YEUR	GCMER	NOMER	DS	CHE	CONF MAR 2014 0	50.00000000 0	00000	0.00000	0.00000	0.00000	74	
	XEUR	GCMFR	NCMER	DS	CHF	FROG DEC 2013 0	50.00000000 0.	.00000	0.00000	10.00000	10.00000	788	
	XEUR	GCMER	NCMER	D5	CHF	FROG JUN 2014 0	50.00000000 0.	.00000	0.00000	0.00000	0.00000	8X9	
	XEUR	GCMFR	NCMFR	D5	CHF	FROG MAR 2014 0	50.00000000 0.	.00000	0.00000	0.00000	0.00000	847	
	XEUR	GCMFR	NCMER	D5	EUR	FGBS DEC 2013 0	50.00000000 0.	.00000	0.00000	0.00000	0.00000	2J0	
	XEUR	GCMFR	NCMER	D5	EUR	FGBS JUN 2014 0	50.0000000 0.	.00000	0.00000	0.00000	0.00000	446	
	XEUR	GCMFR	NCMFR	D5	EUR	FGBS MAR 2014 0	50.0000000 0.	00000	0.00000	0.00000	0.00000	38F	
	XEUR	GCMFR	NCMFR	D5	EUR	FIAF DEC 2013 0	50.00000000 0.	.00000	0.00000	0.00000	0.00000	4XE	
	XEUR	GCMFR	NCMER	D5	EUR	FIAF JAN 2014 0	50.0000000 0.	.00000	0.00000	0.00000	0.00000	5Q7	
2015.	07.28 - 09:30:23 - Operatio	on performed successfully								- - clea	ır log		

Notification Overview window

## 4.19.2 Functionality

At the top of the window there are various filter fields. Upon inquiry, all positions matching the selected filter criteria are listed in a table below the filter area. The user can filter for "Notified" and "Un-notified" positions. By default, the filters are set in a way that the inquiry returns all positions which have an *Open Short* or *Notified Quantity* greater zero, i.e. all check boxes are checked.

After selecting one position record from the display table, the *Details* button is enabled. Clicking this button opens the *Notification Detail Overview* window for the selected position.

## 4.19.3 Screen elements

Notification Overview - Filter criteria				
Filter	Description			
Product Line	Since only futures positions can be notified, the product line is fixed to $F$ in this window.			
Product	Filter for positions in certain products.			
Curr	Filter for positions in certain currencies.			
Maturity From	Filter for positions which expire on or after the specified date.			
Maturity To	Filter for positions which expire on or before the specified date.			
Clg Mbr	Filter for positions of a certain Clearing Member.			
NCM/RC	Filter for positions of a certain Non Clearing Member or Registered Customer.			
Account Name	Filter for positions booked on certain accounts.			
Position ID	Filter for positions with a certain Position ID.			
Notified	If this check box is selected, positions with a notified quantity greater zero are shown.			
Un-notified	If this check box is selected, positions with an open short quantity greater zero are shown.			

Notification Overview - Buttons			
Button	Description		
Details	This button is only active if one position is selected from the display table. Clicking this button opens the <i>Notification Detail Overview</i> window.		

Notification Overview - Table columns				
Column	Description			
Exchange	Exchange ID.			
Clg Mbr	Member ID of the Clearing Member.			
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.			
Account Name	Account on which the position is booked.			
Curr	Product currency.			
Product	Product ID.			
Maturity	Maturity date of the contract.			
Instrument Symbol	The instrument symbol summarizes the contract parameters. It consists of the product name, its maturity, the strike price and the version of the contract.			
Open Short	Up-to-date open short position.			
Notified Qty	Quantity that has been notified.			
Designated GU Short	Short quantity that has been designated for give-up.			

Notification Overview - Table columns				
Column	Description			
Designated PosTrans Short	Short quantity that has been designated for an external position transfer.			
Total Designated Short	Total designated short quantity.			
Cleared Instrument ID	Technical ID of the contract.			
Position ID	Position ID.			

## 4.20 Notification Detail Overview

### 4.20.1 Description

The *Notification Detail Overview* window can be accessed via the *Details* button of the Notification Overview window. It displays details about the notification of a futures position and allows to submit a notification or notification adjustment for the selected position.

ail Overview										close 🗙
Position										
is from 1 to 1 of 1	1									
Clg Mbr	NCM/RC	Account	Curr	Instrument Sym	Open Short	Notified Qty	Dsgn Short Qty	. Dsgn Short Qty	Total Designated Short	Position ID
GCMFR	NCMFR	A3	EUR	FGBS DEC 201	496		4 0	) 0	0	33
										×.
les										
<ol> <li>Displaying ite</li> </ol>	ems from 1 to 1 of	f 1 🔤								
	ISI	N		Secu Name			Notif	Notified Qty		
GB0002215225			99	6 GBP BOND			1.00			
on Qtv Cha	nge									
	5									
Notification Qty Change     50       Text 1     Text 2										
Cancel	ormed successfully.							¢ clea	ar log	
	s from 1 to 1 of 1 GCMFR GCMFR I Displaying its GB0002215225 On Qty Cha GB0002215225 Cancel 49 - Operation perf	sil Overview  s from 1 to 1 of 1  Cg Mbr GGMFR NCMFR  Cg Mbr GGMFR NCMFR  I Displaying items from 1 to 1 o  GB0002215225  Change 50 Cancel 49 - Operation performed successfully.	si l Overview  s from 1 to 1 of 1  Cog Mar  GCMFR NCMFR A  Cog Mar  GCM Cog Mar	s fom 1 to 1 of 1 cg Mtr NCM/RC Account Curr GCMFR NCMFR A3 EUR	s fom 1 to 1 of 1	s fom 1 to 1 of 1 C g Mer NCMRC Account Cur Instrument Sym. Open Shott GCMFR NCMFR A3 EUR FGBS DEC 201 496	s fom 1 to 1 of 1 Co Mor NOMER A3 EUR FGBS DEC 201 496 Curr Instrument Sym Open Short Notified Of/ GCMFR NCMFR A3 EUR FGBS DEC 201 496 Curr Instrument Sym Open Short Notified Of/ BES Comparison of the state of	s fom 1 to 1 of 1 CQ MPr NCMRC Account Rame Cur Instrument Sym. Open Short Noteed Cly Degn Short Cly GCMFR NCMFR A3 EUR FGBS DEC 201 496 4 CO ECS I Displaying items from 1 to 1 of 1 GB0002215225 9% GBP BOND 100 NOTE Company Security	si form 1 to 1 of 1 s form 1 to 1 of 1 Cuy Mare ACCOUNT Name Curr Instrument Sym. Open Short Notfied Oty Dagn Short Oty Dagn Short Oty GCMFR NCMFR A3 EUR FGBS DEC 201 496 4 0 0 I Displaying items from 1 to 1 of 1 SN Security Sec	sil Overview  s fom 1 to 1 of 1  Count Name Our instances Sym. Open Short Noted Oly Orgn Short Cly

Notification Detail Overview

Only one futures position can be notified at a time. Details like the notified, un-notified and designated quantities of the selected position are displayed at the top of the window. Below these information, the *Notification Detail Overview* window contains a table with the underlying deliverable securities (delivery components) and their respective notified quantities.

## 4.20.2 Functionality

The notified quantity of a position in a particular underlying security (delivery component) can be adjusted by selecting one underlying from the display table. This enables the *Notification Qty* 

Change entry field and the optional text fields.

The notified quantity in the selected delivery component can be increased or decreased by entering a positive or a negative value into the *Notification Qty Change* field. The entered value must not exceed the remaining short quantity available (*Open Short - Dsgn Short*) of the selected position. A negative value (decrease of notified quantity) must not exceed the previously notified quantity. If the entered quantity exceeds one of the boundaries, the *Notify* button is disabled. The text fields (*Text 1, Text 2, Text 3*) are optional. They can be filled with additional information for the notification transactions.

After successfully submitting the notification request by clicking the *Notify* button, the *Notification Detail Overview* window is closed automatically. If an error occurs, a message is displayed in the message log.

### 4.20.3 Screen elements

Notification Details Overview - Fields				
Field	Description			
Notification Qty Change	Increase or decrease the notified quantity of the selected position in the particular security by filling in a positive or negative value.			
Text 1	This is a free text field.			
Text 2	This is a free text field.			
Text 3	This is a free text field.			

Notification Details Overview - Buttons				
Button	Description			
Notify	This button is only active if the <i>Notification Qty Change</i> field is filled according to the conditions described above. Clicking the <i>Submit</i> button submits a request to perform the notification/notification adjustment and closes the overlay window if the request was successfully processed.			
Cancel	Cancels the notification or notification adjustment without any changes and closes the overlay window.			

Notification Details Overview - Table columns				
Column	Description			
ISIN	Underlying ISIN (delivery component).			
Secu Name	Security long name.			
Notified Qty	Currently notified quantity of the selected position in the particular security.			

## 4.21 ITM Config for Auto Exercise

## 4.21.1 Description

The *ITM Config for Auto Exercise* window is accessible from the *Automatic Processing* menu in the main menu. It shows the minimum amount that an options position must be in-the-money to

Version 3.2

#### Window layouts and descriptions

be automatically exercised. This configuration is done per product/account combination. Clearing Members can inquire ITM configurations of their NCM/RCs, but not edit them.

Menu S	e	urex clearing Transaction Management Se	ettlement Account Managem	ent File Upload Automatic P	ITM Config for Auto E	xercise	Downloads: 0 Logged in: GC	MFRCLR001 Logout Help
🔻 Main Fi	ter							
Filter	Details							
Clg N	lbr GCMF	R NCM/RC						
Prode	uct							
Inquire	Clear   🛛	mii xis i csv						
Add Con	figuration	Modify Configuration Dele	ete Configuration					
Selec	ted: 1	Displaying items from 1 to 7 of 7						
		Exch	Clg Mbr	NCM/RC	Account Name	Product	Min ITM Amount	Curr
	ECAG	ECA	G	ECAG	Root		0.01	
	ECAG	GCN	MFR	GCMFR	At	ALV	0.03 EUR	
	ECAG	GCN	MFR	GCMFR	At	ODAX	1.06 EUR	
R	ECAG	GCN	MFR	GCMFR	A2	ODAX	1.04 EUR	
	ECAG	GCN	MFR	GCMFR	A5	ALV	1.05 EUR	
	ECAG	GCN	MFR	GCMFR	A5	ODAX	1.04 EUR	
	ECAG	GCM	MFR	GCMFR	A6	ODAX	1.04 EUR	



ITM Config for Auto Exercise window

If there is no ITM amount configured for a particular product/account combination, the standard amount configured by Eurex Clearing applies. This standard amount is always shown in the display table for the "Root" account. It cannot be deleted or modified by the user.

#### 4.21.2 Functionality

The *ITM Config for Auto Exercise* window allows to maintain the minimum in-the-money amount from which an option position is automatically exercised. A configuration can be maintained per product/account combination.

The Add Configuration button is always available to add a new configuration. Clicking this button opens the *ITM Config Maintenance* window to enter the necessary information. Existing configurations can be modified by clicking the *Modify Configuration* button. This button is only active if a single configuration has been selected from the display table. It opens the *ITM Config Maintenance* window prefilled with the parameters of the selected configuration. Configurations can be deleted using the *Delete Configuration* button.

## 4.21.3 Screen elements

TM Config for Auto Exercise - Filter criteria				
Filter	Description			
Clg Mbr	Filter for configurations of a certain Clearing Member.			
NCM/RC	Filter for configurations of a certain Non Clearing Member or Registered Customer.			
Product	Filter for configurations for a certain product.			

TM Config for Auto Exercise - Buttons						
Button	Description					
Add Configuration	Clicking this button opens the <i>ITM Config Maintenance</i> window to add a new configuration.					
Modify Configuration	This button is only active if a single configuration has been selected from the display table. Clicking this button opens the <i>ITM Config Maintenance</i> window to modify the selected configuration.					
Delete Configuration	This button is only active if one or more configurations have been selected from the display table. Clicking this button deletes the selected configuration.					

TM Config for Auto Exercise - Table columns					
Column	Description				
Exchange	Exchange ID.				
Clg Mbr	Member ID of the Clearing Member.				
NCM/RC	Member ID of the Non Clearing Member or Registered Customer.				
Account Name	Account to which the configuration applies.				
Product	Product to which the configuration applies.				
Min ITM Amount	Minimum in-the-money amount necessary to automatically exercise positions.				
Curr	Product currency.				

# 4.22 ITM Config Maintenance

## 4.22.1 Description

The *ITM Config Maintenance* window is an overlay window accessed from the *ITM Config for Auto Exercise* window via the *Add* or *Modify Configuration* buttons. It allows to enter or modify individual ITM configurations for automatic exercise per product/account combination.

Exch     Clg Mbr     NCM/RC     Account     Product     Min ITM Amount     CC       ECAG     GCMFR     NCMFR     A2     ODAX     1.04     EUR       Submit     Cancel									
CAG GCMFR NCMFR A2 ODAX 1.04 EUR	Curr		Min ITM Amount	Product	nt	Ac	NCM/RC	Clg Mbr	Exch
Submit Cancel		EUR	1.04 E		0	A2	ICMFR	GCMFR	٨G
Submit Cancel		EUR	1.04 E		0	A2	ICMFR	GCMFR	AG
ubmit Cancel									
									0
A									Cance

ITM Config Maintenance - Add window

M Config Maint	enance - Modify Config	uration					close
							Help
Exch	Clg Mbr	NCM/RC	Account	Product	Min ITM Amount	Curr	
ECAG	GCMFR	NCMFR	A2	ODAX	1.04	EUR	
Submit C:	ancel						
Submit Ca	ancel						
					*		
					⊤ clear	rlog	

#### ITM Config Maintenance - Modify window

## 4.22.2 Functionality

If the window is opened by clicking the *Add Configuration* button, the *Clg Mbr, NCM/RC, Account*, *Product* and *Min ITM Amount* entry fields are editable. All fields are mandatory to add a new configuration.

If the window is opened by clicking the *Modify Configuration* button, the information of the selected configuration are prefilled and only the *Min ITM Amount* field must be filled in.

Version 3.2

#### 4.22.3 Screen elements

ITM Config Maint	ITM Config Maintenance - Fields					
Field	Description					
Clg Mbr	This field is only editable if a new configuration should be added. It defines the account sponsor of the account for which the Minimum ITM configuration should apply.					
NCM/RC	This field is only editable if a new configuration should be added. It defines the NCM/RC of the account for which the Minimum ITM configuration should apply.					
Account Name	This field is only editable if a new configuration should be added. It defines the account for which the Minimum ITM configuration should apply.					
Product	This field is only editable if a new configuration should be added. It defines the product for which the Minimum ITM configuration should apply.					
Min ITM Amount	Minimum in-the-money amount necessary to automatically exercise positions.					

ITM Config Mainte	TM Config Maintenance - Buttons				
Button	Description				
Submit	This button is only active if all entry fields are filled in. Clicking the <i>Submit</i> button submits a request to add a new or modify the selected configuration and closes the overlay window if the request was successfully processed.				
Cancel	Cancels the modification without any changes and closes the overlay window.				

## 4.23 Account Overview

## 4.23.1 Description

The *Account Overview* window can be accessed from the *Account Management* menu in the main menu. It displays the accounts for a Member.

Version 3.2

#### Window layouts and descriptions

Menu Switch Transaction M.	earing	Management File Upload Aut	Account Overvie	ew	<u>Downloads: 0</u> Lo	gged in: GCMFRCLR001 Logout
Account Sponsor GCMFR	Account Owner NCMFR	Account Name equals V	Collateral Pool equals 🔻	Risk Netting Unit		
Displaying items from 1 to 5 of 5						
Account Sponsor	Account Owner	Account Name	Account Description	Collateral Pool	Risk Netting Unit	Clearing House
GCMFR	NCMFR	CLIENT	NCMFR: Client Main Account	GCMFRXSTANDARD	CLIENT	ECAG
GCMFR	NCMER	EXY	NCMFR - EXY	GCMFRXSTANDARD	EXY	ECAG
GCMFR	NCMFR	EXZ	NCMFR - EXZ	GCMFRXSTANDARD	EXZ	ECAG
GCMFR	NCMFR	E	NCMFR - E	GCMFRXSTANDARD	E	ECAG
001150						

2014.05.12 - 08.58.14 - Operation performed successfully.		
2014 65 12 - 085747 - Operation performed successfully. 2014 65 12 - 085747 - Operation performed successfully.		
	w	clear log

#### Account Overview window

## 4.23.2 Functionality

The logged in user can inquire a list of currently set-up Member accounts. For every account, detailed information are displayed.

Currently, this window only supports sorting for one column at a time. Multi-column sorting is not available. To sort the result table for a certain criterion, click on the respective column header.

## 4.23.3 Screen elements

Account Overvie	Account Overview - Filter criteria				
Filter	Description				
Account Sponsor	Filter for a certain account sponsor.				
Account Owner	Filter for a certain account owner.				
Account Name	Filter for a certain account name.				
Collateral Pool	Filter for a certain collateral pool.				
Risk Netting Unit	Filter for a certain risk netting unit.				

Account Overview - Table columns					
Column	Description				
Account Sponsor	Sponsor of the account.				
Account Owner	Owner of the account.				
Account Name	Name of the account.				

Account Overview - Table columns	
Column	Description
Account Description	Description of the account.
Collateral Pool	Unique ID of the collateral pool.
Risk Netting Unit	The margin requirements are calculated per risk netting unit.
Clearing House	Clearing house.

## 4.24 Upload Position Close Out

### 4.24.1 Description

The *Upload Position Close Out* window can be accessed from the *File Upload* menu in the main menu. It allows to close out multiple positions at once by uploading a file in CSV format.

Upload Position Close Out c	lose 🔀
	Help
1 Select file for Unload	
Upload File Datei auswählen CloseOut Upload csv	
2 Process unloaded Position Close Out	
z. Process uploaded roshion close out	
Position Transfer Status	
Ø INVALID Ø VALID Ø PROCESSED Ø REJECTED Filter Reset   say   template	
Selected: 1 Displaying items from 1 to 1 of 1	
Z         Cig Mer         NCMRC         Account         CP         Product         Pick Contract ID         Malurity         Date         Strike         Version         Settlement         Exercise         Quantity         Text11	
p         GCMFR         NCMFR         EXY         P         OGBS         FEB14         103.5         C         A         10         CloseOut Upload	
<	۶.
Submit Cancel	
	*

Upload Position Close Out window

#### 4.24.2 Functionality

Clicking the *Browse* button opens a selection window to import a file into the system. The uploaded file must contain the close out parameters as a list of comma separated values. Each line represents one position close out and must follow a certain pattern:

```
"AccountSponsor", "AccountOwner", "AccountName", "CallPut", "ProductSymbol", "FlipID",
"Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"TransactionQuantity", "Text1", "Text2", "Text3"
```

#### Sample close out upload file:

```
"AccountSponsor", "AccountOwner", "AccountName", "CallPut", "ProductSymbol", "FlipID",
"Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"TransactionQuantity", "Text1", "Text2", "Text3"
"GCMFR", "NCMFR", "A1", "C", "OGBS", "", "DEC15", "", "475.000000", "0", "", "", "10",
"Text1", "Text2", "Text3"
"GCMFR", "NCMFR", "A1", "", "FIAF", "FIA2", "", "2015-01-17", "", "", "P", "", "15",
"Text1", "Text2", "Text3"
```

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one position close out are filled with valid data, the status of that row is "VALID". Only close out transactions with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload Position Close Out* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

**Note:** When closing a position via file upload, the ZCQ is not checked.

#### 4.24.3 Screen elements

Upload Position Close Out - Filter criteria	
Filter	Description
INVALID	If this check box is selected, the list of close out transactions parsed from the uploaded file contains all records with status "INVALID".
VALID	If this check box is selected, the list of close out transactions parsed from the uploaded file contains all records with status "VALID".
PROCESSED	If this check box is selected, the list of close out transactions parsed from the uploaded file contains all records with status "PROCESSED".
REJECTED	If this check box is selected, the list of close out transactions parsed from the uploaded file contains all records with status "REJECTED".

Upload Position Close Out - Fields	
Field	Description
Clg Mbr	Displays the information parsed from the uploaded file. This field can be edited before submission.
NCM/RC	Displays the information parsed from the uploaded file. This field can be edited before submission.
Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.
C/P	Displays the information parsed from the uploaded file. This field can be edited before submission.
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.
Flex Contract ID	Displays the information parsed from the uploaded file. This field can be edited before submission.
Maturity	Displays the information parsed from the uploaded file. This field can be edited before submission.
Expiration Date	Displays the information parsed from the uploaded file. This field can be edited before submission.
Strike	Displays the information parsed from the uploaded file. This field can be edited before submission.

Upload Position Close Out - Fields	
Field	Description
Version	Displays the information parsed from the uploaded file. This field can be edited before submission.
Settlement Method	Displays the information parsed from the uploaded file. This field can be edited before submission.
Exercise Style	Displays the information parsed from the uploaded file. This field can be edited before submission.
Quantity	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.
Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.
Status	Displays the import status of each close out transaction. Only transactions marked "VALID" can be selected for import.
Status Information	After submitting the selected close out transactions to be imported into the system, this field displays further information on the upload status of each transaction.

Upload Position Close Out - Buttons	
Button	Description
Browse	Opens the file selection window to choose the file to be uploaded.
Filter	Filters the list of uploaded transactions according to the selected check boxes.
Reset	Resets the filter check boxes to the default selection (all checked).
Submit	This button is only active if at least one record is selected. Clicking the <i>Submit</i> button submits a request to import the selected transactions.
Cancel	Cancels the upload and closes the overlay window.

# 4.25 Upload Internal Position Transfer

## 4.25.1 Description

The *Upload Internal Position Transfer* window can be accessed from the *File Upload* menu in the main menu. It allows to transfer multiple positions at once by uploading a file in CSV format.



Upload Internal Position Transfer window

### 4.25.2 Functionality

Clicking the *Browse* button opens a selection window to import a file into the system. The uploaded file must contain the transfer parameters as a list of comma separated values. Each line represents one position transfer and must follow a certain pattern:

```
"FromAccountSponsor", "FromAccountOwner", "FromAccountName", "CallPut", "ProductSymbol",
"FlipID", "Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"LongQty", "ShortQty", "ToAccountName", "SourceText1", "SourceText2", "SourceText3",
"TargetText1", "TargetText2", "TargetText3"
```

#### Sample transfer upload file:

```
"FromAccountSponsor", "FromAccountOwner", "FromAccountName", "CallPut", "ProductSymbol",
"FlipID", "Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"LongQty", "ShortQty", "ToAccountName", "SourceText1", "SourceText2", "SourceText3",
"TargetText1", "TargetText2", "TargetText3"
"GCMFR", "NCMFR", "A1", "C", "SBVN", "", "MAR14", "", "475.000000", "0", "", "", "10",
"20", "A2", "SourceText1", "SourceText2", "SourceText3", "TargetText1", "TargetText2",
"TargetText3"
"GCMFR", "NCMFR", "A1", "C", "FIAF", "FIA2", ", "2015-01-17", "", "", "P", "", "15", "",
"A2", "SourceText1", "SourceText2", "SourceText3", "TargetText1", "TargetText2",
"A2", "SourceText1", "SourceText2", "SourceText3", "TargetText1", "TargetText2",
"A2", "SourceText1", "SourceText2", "SourceText3", "TargetText1", "TargetText2",
"TargetText3"
```

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one record are filled with valid data, the status of that row is "VALID". Only records with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload Internal Position Transfer* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

#### 4.25.3 Screen elements

I

Upload Internal Position Transfer - Filter criteria	
Filter	Description
INVALID	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "INVALID".
VALID	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "VALID".
PROCESSED	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "PROCESSED".
REJECTED	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "REJECTED".

Upload Internal Position Transfer - Fields		
Field	Description	
Clg Mbr	Displays the information parsed from the uploaded file. This field can be edited before submission.	
NCM/RC	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.	
C/P	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Flex Contract ID	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Maturity	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Expiration	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Strike	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Version	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Settlement Method	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Exercise Style	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Long Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Short Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.	

Upload Internal Position Transfer - Fields		
Field	Description	
To Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Destination Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Destination Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Destination Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Status	Displays the import status of each position transfer. Only transactions marked "VALID" can be selected for import.	
Status Information	After submitting the selected position transfer transactions to be imported into the system, this field displays further information on the upload status of each transaction.	

Upload Internal Position Transfer - Buttons	
Button	Description
Browse	Opens the file selection window to choose the file to be uploaded.
Filter	Filters the list of uploaded transactions according to the selected check boxes.
Reset	Resets the filter check boxes to the default selection (all checked).
Submit	This button is only active if at least one record is selected. Clicking the <i>Submit</i> button submits a request to import the selected transactions.
Cancel	Cancels the upload and closes the overlay window.

# 4.26 Upload External Position Transfer

## 4.26.1 Description

The *Upload External Position Transfer* window can be accessed from the *File Upload* menu in the main menu. It allows to transfer multiple positions at once by uploading a file in CSV format.



Upload External Position Transfer window

### 4.26.2 Functionality

Clicking the *Browse* button opens a selection window to import a file into the system. The uploaded file must contain the transfer parameters as a list of comma separated values. Each line represents one position transfer and must follow a certain pattern:

```
"FromAccountSponsor", "FromAccountOwner", "FromAccountName", "CallPut", "ProductSymbol",
"FlipID", "Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"LongQty", "ShortQty", "ToAccountOwner", "ToAccountName", "Text1", "Text2", "Text3",
"RefText1", "RefText2", "RefText3", "TransferDirection", "CashTransferAmount",
"CashAdjustmentPrice"
```

#### Sample transfer upload file:

```
"FromAccountSponsor", "FromAccountOwner", "FromAccountName", "CallPut", "ProductSymbol",
"FlipID", "Maturity", "ExpirationDate", "Strike", "Version", "SettlMethod", "ExerStyle",
"LongQty", "ShortQty", "ToAccountOwner", "ToAccountName", "Text1", "Text2", "Text3",
"RefText1", "RefText2", "RefText3", "TransferDirection", "CashTransferAmount",
"CashAdjustmentPrice"
"GCMFR", "NCMFR", "A1", "C", "SBVN", "", "MAR14", "", "475.000000", "0", "", "", "10",
"20", "TSTFR", "A2", "Text1", "Text2", "Text3", "RefText1", "RefText2", "RefText3", "S",
"5", ""
```

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one record are filled with valid data, the status of that row is "VALID". Only records with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload External Position Transfer* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

#### 4.26.3 Screen elements

Upload External Position Transfer - Filter criteria	
Filter	Description
INVALID	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "INVALID".
VALID	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "VALID".
PROCESSED	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "PROCESSED".
REJECTED	If this check box is selected, the list of position transfer transactions parsed from the uploaded file contains all records with status "REJECTED".

Upload External Position Transfer - Fields		
Field	Description	
From Account Sponsor	Displays the information parsed from the uploaded file. This field can be edited before submission.	
From Account Owner	Displays the information parsed from the uploaded file. This field can be edited before submission.	
From Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.	
C/P	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Flex Contract ID	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Maturity	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Expiration	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Strike	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Version	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Settlement Method	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Exercise Style	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Long Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.	
Short Qty	Displays the information parsed from the uploaded file. This field can be edited before submission.	

Upload External Position Transfer - Fields			
Field	Description		
To Account Owner	Displays the information parsed from the uploaded file. This field can be edited before submission.		
To Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Ref Text 1	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Ref Text 2	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Ref Text 3	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Transfer Direction	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Cash Transfer Amount	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Cash Adjustment Price	Displays the information parsed from the uploaded file. This field can be edited before submission.		
Status	Displays the import status of each position transfer. Only transactions marked "VALID" can be selected for import.		
Status Information	After submitting the selected position transfer transactions to be imported into the system, this field displays further information on the upload status of each transaction		

Upload External Position Transfer - Buttons		
Button	Description	
Browse	Opens the file selection window to choose the file to be uploaded.	
Filter	Filters the list of uploaded transactions according to the selected check boxes.	
Reset	Resets the filter check boxes to the default selection (all checked).	
Submit	This button is only active if at least one record is selected. Clicking the <i>Submit</i> button submits a request to import the selected transactions.	
Cancel	Cancels the upload and closes the overlay window.	

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## 4.27 Upload ITM Configurations

### 4.27.1 Description

The *Upload ITM Configurations* window can be accessed from the *File Upload* menu in the main menu. It allows to add ITM configurations for multiple product/account combinations at once by uploading a file in CSV format.

Upload	ITM Configurations						c	lose 🗙
								<u>Help</u>
1. S	elect file for U	pload						
Upload	File Datei auswähle	n Min ITM Amount U	pload.csv					
2.0								
Z. P	rocess upload	ed I IM Config	uration					
	Configuration Status -							
<b>V</b>	VALID 🗹 INVALID 🗹	UPDATED 🗹 ADDEI	0   ✓ NONE Filter Reset	csv template				
Sel	ected: 2 Displaying	items from 1 to 2 of 2						
2			Account Name			Status	Status Information	
R	NCMER	NCMFR	A1	ALV	0.3	VALID		
Z	NCMER	NCMFR	A5	OGBS	1.0	VALID		
Subm	it Cancel							
								~

#### Upload ITM Configuration window

### 4.27.2 Functionality

Clicking the *Browse* button opens a selection window to import a file into the system. The uploaded file must contain the configuration parameters as a list of comma separated values. Each line represents one product/account combination and must follow a certain pattern:

"AccountSponsor", "AccountOwner", "AccountName", "Product", "MinItmAmount"

Sample ITM Config upload file: "AccountSponsor", "AccountOwner", "AccountName", "Product", "MinItmAmount" "GCMFR", "NCMFR", "A1", "SBVN", "0.50"

If the file does not comply with this format, an error message is displayed. Upon successful upload, the content of the file is displayed in the table. All the entered values are checked for valid syntax. Fields with invalid input are specially highlighted. In that case, an error message is displayed by hovering the mouse over the icon next to the erroneous field.

If all entry fields for one product/account combination are filled with valid data, the status of that row is "VALID". Only configurations with this status can be selected for import into the system.

Clicking the *Submit* button imports the selected records into the system. The *Upload ITM Configurations* window is updated to display the new status of the uploaded records. If the import was successful the status is changed to "PROCESSED".

In case of a failed import attempt, the *Status Information* field gives further explanations on the failure reason and an error message is displayed in the message log.

#### Version 3.2

#### 4.27.3 Screen elements

Upload ITM Configuration - Filter criteria		
Filter	Description	
VALID	If this check box is selected, the list of configurations parsed from the uploaded file contains all records with status "VALID".	
INVALID	If this check box is selected, the list of configurations parsed from the uploaded file contains all records with status "INVALID".	
UPDATED	If this check box is selected, the list of configurations parsed from the uploaded file contains all records with status "UPDATED".	
ADDED	If this check box is selected, the list of configurations parsed from the uploaded file contains all records with status "ADDED".	
NONE	If this check box is selected, the list of configurations parsed from the uploaded file contains all records with status "NONE".	

Upload ITM Confi	guration - Fields
Field	Description
Clg Mbr	Displays the information parsed from the uploaded file. This field can be edited before submission.
NCM/RC	Displays the information parsed from the uploaded file. This field can be edited before submission.
Account Name	Displays the information parsed from the uploaded file. This field can be edited before submission.
Product	Displays the information parsed from the uploaded file. This field can be edited before submission.
Min ITM Amount	Displays the information parsed from the uploaded file. This field can be edited before submission.
Status	Displays the import status of each product/account combination. Only configurations marked "VALID" can be selected for import.
Status Information	After submitting the selected configurations to be imported into the system, this field displays further information on the upload status of each configuration.

Upload ITM Configuration - Buttons		
Button	Description	
Browse	Opens the file selection window to choose the file to be uploaded.	
Filter	Filters the list of uploaded configurations according to the selected check boxes.	

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Upload ITM Configuration - Buttons		
Button	Description	
Reset	Resets the filter check boxes to the default selection (all checked).	
Submit	This button is only active if at least one record is selected. Clicking the <i>Submit</i> button submits a request to import the selected configurations.	
Cancel	Cancels the upload and closes the overlay window.	

## 4.28 User Entitlement Maintenance

#### 4.28.1 Description

The User Entitlement Maintenance window can be accessed from the Participant Management menu in the main menu. It allows to assign and de-assign user roles and to modify user privileges.

- Г	eurex cle	aring	User Entitleme	nt Maintenance		
_		The contraction of the second	KAN COLUMN		Downloads: 0 Logged in: GCMFRCLR001	Password Reset Logout Help
Menu	Switch Participant Manag	jement				
▼ Main	Filter					
Partic	pant GCMFR	User Role	٣			
	Users w/o assigned role					
Inquire	Clear   xml   xls   csv					
Role A:	Modify Privilege	S Copy From Paste To				
Sele	cted: 1 Displaying items fr	om 1 to 20 of 20 🔤 🏂				
	User	Qualified Clearer Last Modifier	Last Modified Date and Time	Pending Request		
	GCMFRBATRAA	N		No approval pending		
	GCMFRBATRAX	N		No approval pending		
R	GCMFRCLR001	N	2015-09-07 10:47:34.732	No approval pending		
	GCMFRCLR002	N	2015-09-07 10:47:53.193	No approval pending		
	GCMFRCLR003	N		Four-Eye Request		
	GCMFRCLR007	N		No approval pending		
	GCMFRFEX001	N		No approval pending		
	GCMFRFIX999	N		No approval pending		
	GCMFRLDAP09	N		No approval pending		
	GCMFRLTR001	N		No approval pending		
	GCMFRLTR002	N		No approval pending		
	GCMFRLTR003	N		No approval pending		
	GCMFRMBRSPV	N		No approval pending		
	GCMPRSECOUT	N		No approval pending		
	COMERCECCOD2	N		No approval pending		
	GCMERTRD001	N		No approval pending		
	GCMERTRD002	N		No approval pending		
	GCMERTRD003	N		No approval pending		
	GCMFRURD001	N		No approval pending		

2015.09.07 - 11:03:39 - Inquiry Successfully Processed	
	- clear log



## 4.28.2 Functionality

The list of users is populated based on the filter criteria. One of these users can be selected via a check box. Each of the users with a pending Four Eye request has a button called *Pending Four Eye Request* in the *Pending Request* column. Clicking on this button opens a window showing the pending Four Eye request related to entitlement maintenance for this user. Based on the type of activity pending, the corresponding detail window is opened.

### **Role Assignment**

The *Role Assignment* button is only active if exactly one user has been selected from the display table. Clicking the button opens the *(De-)Assign User Role* window where the user can assign and de-assign roles to the selected user.

### **Modify Privileges**

The *Modify Privileges* button is only active if exactly one user has been selected from the display table. Clicking the button opens the *Modify User Privileges* window where the user can modify the entitlement settings of the various privileges assigned to the user.

#### **Copy Entitlement Settings**

The User Entitlement Maintenance window allows to copy all entitlement settings from one user to one or more other users. If exactly one user without pending Four Eye request is selected from the display table, the *Copy From...* button is active. Clicking this button saves the selected user as the source user for the copy function.

Then, one or more other users can be selected from the display table as target users for the copy function. Only users without a pending Four Eye request can be target users. If this is done, the *Paste To...* button becomes active. If this button is clicked, all role assignments and entitlement settings are copied from the source user to the target user(s). Existing settings are overwritten. If this process is interrupted by using any other function on the *User Entitlement Maintenance* window (e.g. inquiry), the copy function is cancelled and has to be started at the beginning by selecting a source user again.

### 4.28.3 Screen elements

User Entitlement Maintenance - Filter criteria		
Filter	Description	
Participant	Filter for a certain participant. This field is pre-filled with the Member ID of the logged-in user.	
User	Filter for a certain user.	
Role	Filter for a certain role.	
All users w/o assigned role	Filter for all users who don't have any roles assigned.	

User Entitlement Maintenance - Buttons		
Button	Description	
Role Assignment	This button is only active if exactly one user has been selected from the display table. Clicking this button opens the <i>(De-)Assign User Role</i> window where the user can assign and de-assign roles.	
Modify Privileges	This button is only active if exactly one user has been selected from the display table. Clicking the button opens the <i>Modify User Privileges</i> window where the user can modify entitlement settings.	

User Entitlement Maintenance - Buttons		
Button	Description	
Copy From	This button is only active if exactly one user has been selected from the display table. Clicking the button saves the selected user as the source user for the copy function.	
Paste To	This button is only active after a source user has been saved by clicking the <i>Copy From</i> button and one or more other users are selected as target users. Clicking this button, copies all role assignments and entitlement settings from the source user to the target user(s).	
Four-Eye Request	This button is only active if a Four Eye request is pending for a user. Clicking the button opens the respective approval window.	

User Entitlement	Maintenance - Table columns
Column	Description
User	Member ID of the user.
Qualified Clearer	Qualified Clearer indicator.
Last Modifier	User ID of the last modifier.
Last Modified Date and Time	Date and time of the last modification.
Pending Request	Contains a button to open a Four Eye approval window if a request is pending.

# 4.29 (De-)Assign User Role

## 4.29.1 Description

The (*De-*)Assign User Role window can be accessed via the Role Assignment button on the User Entitlement Maintenance window. This window allows to assign and de-assign roles to a user.

Version 3.2

#### Window layouts and descriptions

(De-)Assign	User Role							close X
								<u>Help</u>
GCMFR	CLR001							
Download Se	ettings Upload Settings Datei auswählen Ko	eine ausgewählt						
Assigned Rol	les	and daugerraint	Available Roles					
Clearing Mar	nager - CMA		Clearing Manag	ger View	only - View CMA	ι.	4	•
Position and	Transaction Manager - PTM		Position and Tr	ransactio	n Manager View	only - View PTM		
		=>	Service Admini	istrator - istrator V	iew only - View /	ADM		
		<=	1					
		-						~
Entitlement	Details							
Displaying ite	ems from 1 to 5 of 41							
Privilege ID	Privilege Description	Privilege Type	4EP Applicability	Level	Max Level	Act Range	в	
A010MOD	Simplified Outsourcing Capability	Account Independent	N	3 ▼	3		<u> </u>	
B002INQ	Account Inquire	Account Independent	N	3 ▼	3			
B003ADD	Automatic Processing Rules - Close Out Add	Account Dependent	N	3 🔻	3	ALL		
B003DEL	Automatic Processing Rules - Close Out Delete	Account Dependent	N	3 ▼	3	ALL		
B003INQ	Automatic Processing Rules - Close Out Inquire	Account Independent	N	3 🔻	3			
							•	
Submit	Cancel							
2015 00 07 1	1:21:12 Inquiry Suspendidly Dreeseed							
2015.09.07 - 1	1:21:02 - Inquiry Successfully Processed							
2015.09.07 - 1 2015.09.07 - 1	1:20:58 - Inquiry Successfully Processed 1:20:58 - No Role Assigned to User							-
clear log								

(De-)Assign User Role window

### 4.29.2 Functionality

When the window is opened, the list of *Assigned Roles* contains all roles that are currently assigned to the selected user. The list of *Available Roles* contains all the roles that can be assigned to this user.

Below the role lists, there is a section to display the entitlement settings of the selected roles. It is filled by clicking the *Entitlement Details* button. This button is only active if at least one role from the *Assigned Roles* list is selected.

If already assigned roles are selected, clicking the *Entitlement Details* button populates the display table with the current entitlement settings of privileges contained in the selected roles. If newly assigned roles are selected, clicking the *Entitlement Details* button populates the display table with the default entitlement settings of privileges contained in the selected roles. The button is disabled if a combination of already assigned and newly assigned roles are selected. The newly assigned roles are highlighted in the *Assigned Roles* list.

#### **Custom Entitlement Levels**

In the table of entitlement details, the entitlement level as well as the effective account range can be changed for each privilege. The entitlement level can be changed by selecting a value from the *Level* dropdown list. The selected value must not exceed the maximum level assignable for the privilege.

Custom entitlement settings for a privilege can be limited to an account. Therefore, the *Act Range* field must be filled with the account name for which the setting should be effective. For all accounts outside the specified account range, the default entitlement level of the respective privilege applies. To apply the level to all accounts of the user, "ALL" must be entered into the *Act Range* field. This is the default setting.

#### **Download Entitlement Settings**

The *(De-)Assign User Role* window allows to download the current entitlement profile of the selected user. Clicking the *Download* button saves the complete entitlement profile of the user in CSV format. It includes the role assignments and all entitlement settings.

### **Upload Entitlement Settings**

Previously downloaded entitlement settings can be uploaded for a different user. The file selection button is only active if the *Assigned Roles* list is empty when the *(De-)Assign User Role* window is opened.

Clicking the *Browse* button opens a selection window to import a file into the system. After successful upload, the *Assigned Roles* list is updated based on the file content. Entitlement details contained in the file can be viewed by clicking the *Entitlement Details* button. The uploaded settings can be modified before they are finally applied.

After successfully submitting the changes by clicking the *Submit* button, the *(De-)Assign User Role* window is closed automatically. If an error occurs, a message is displayed in the message log.

## 4.29.3 Screen elements

(De-)Assign User	Role - Buttons
Button	Description
Download	Downloads the current entitlement profile in CSV format.
Browse	Opens the file selection window to choose the file to be uploaded.
Entitlement Details	This button is only active if at least one role from the <i>Assigned Roles</i> list is selected. Clicking the button populates the display table with the entitlement settings of the selected roles.
Submit	This button is only active if any role assignment was changed. Clicking the <i>Submit</i> button submits a request to change the role assignments and closes the overlay window.
Cancel	Cancels the adjustment without any changes and closes the overlay window.

(De-)Assign User	Role - Table columns
Column	Description
Privilege ID	Privilege identifier.
Privilege Description	Description of the privilege.
Privilege Type	Type of the privilege.
Level	Entitlement level assigned to the privilege.
Max Level	Maximum entitlement level that can be assigned to the privilege.
Act Range	Account range or individual account name for which the privilege is effective.

## 4.30 Modify User Privileges

### 4.30.1 Description

The *Modify User Privileges* window can be accessed via the *Modify Privileges* button on the *User Entitlement Maintenance* window. It allows the user to modify the entitlement settings of other users. This window lists all privileges assigned to the user via the various roles. Own privileges of the logged-in user can only be viewed, but not modified.

A010MOD       Simplified Outsourcing Capability       Account Indepen       N       3 •       3       Independention         B002INQ       Account Inquire       Account Indepen       N       3 •       3       Independention         B003IND       Automatic Processing Rules - Close Out Add       Account Dependention       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Detele       Account Indepen       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Inquire       Account Indepen       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 •       3       ALL         B003IND       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 •       3       ALL         D001IND       Clearing Transaction Inquire       Account Dependent       N       3 •       3       ALL </th <th>A010MOD       Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Dependent       N       3 v       3       ALL         B003DED       Automatic Processing Rules - Close Out Delete       Account Indepen       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Inquire       Account Indepen       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 v       3       ALL         D001INQ       Clearing Transaction Inquire       Account Indepen       N       3 v       3       ALL         D003ADD       Transaction Acdd       Account Dependent       N       3 v       3       ALL         Delete       Add Using</th> <th>Ad10MOD     Smplified Outsourcing Capability     Account Indepen     N     3 •     3     Independention       B003ADD     Automatic Processing Rules - Close Out Add     Account Independention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Rules     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Inquire     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       D001INO     Clearing Transaction Inquire     Account Dependention     N</th> <th></th> <th>Privilege ID</th> <th>Privilege Description</th> <th>Privilege Type 4EP Applica</th> <th>abiity Level Max Level</th> <th>Act Range</th>	A010MOD       Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Indepen       N       3 v       3       Image: Simplified Outsourcing Capability       Account Dependent       N       3 v       3       ALL         B003DED       Automatic Processing Rules - Close Out Delete       Account Indepen       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Inquire       Account Indepen       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 v       3       ALL         B003MOD       Automatic Processing Rules - Close Out Modify       Account Dependent       N       3 v       3       ALL         D001INQ       Clearing Transaction Inquire       Account Indepen       N       3 v       3       ALL         D003ADD       Transaction Acdd       Account Dependent       N       3 v       3       ALL         Delete       Add Using	Ad10MOD     Smplified Outsourcing Capability     Account Indepen     N     3 •     3     Independention       B003ADD     Automatic Processing Rules - Close Out Add     Account Independention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Rules     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Inquire     Account Dependention     N     3 •     3     ALL       B003ADD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3 •     3     ALL       D001INO     Clearing Transaction Inquire     Account Dependention     N		Privilege ID	Privilege Description	Privilege Type 4EP Applica	abiity Level Max Level	Act Range
B0021NQ     Account Inquire     Account Indepen     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Add     Account Indepen     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Inquire     Account Dependent     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     S ▼     3       B003ADD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     S ▼     3       B003ADD     Clearing Transaction Inquire     Account Indepen     N     S ▼     3       D001ADD     Clearing Transaction Account Transfer Add     Account Dependent     N     S ▼     3       D003ADD     Transaction Separation Add     Account Dependent     N     S ▼     3     ALL	B002INQ     Account Inquire     Account Indepen     N     3 • 3     ALL       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     3 • 3     ALL       B003DEL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 • 3     ALL       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 • 3     ALL       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 • 3     ALL       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 • 3     ALL       B003INQ     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       B003INQ     Clearing Transaction Inquire     Account Indepen     N     3 • 3     ALL       D001INQ     Clearing Transaction Inquire     Account Dependent     N     3 • 3     ALL       D002ADD     Transaction Separation Add     Account Dependent     N     3 • 3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 • 3     ALL	B002INQ     Account Inquire     Account Indepen     N     3     3     Independention       B003ADD     Automatic Processing Rules - Close Out Add     Account Dependention     N     3     3     ALL       B003DEL     Automatic Processing Rules - Close Out Delete     Account Ingenention     N     3     3     ALL       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Ingenention     N     3     3     Independention       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Dependention     N     3     3     ALL       B003INQ     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3     3     ALL       B003INQ     Automatic Processing Rules - Close Out Modify     Account Dependention     N     3     3     ALL       B003INQ     Clearing Transaction Inquire     Account Indepen     N     3     3     ALL       D001INQ     Clearing Transaction Account Transfer Add     Account Dependention     N     3     3     ALL       D003ADD     Transaction Separation Add     Account Dependention     N     3     3     ALL		A010MOD	Simplified Outsourcing Capability	Account Indepen N	3 🔻 3	
B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     3 •     3     ALL       B003BDE     Automatic Processing Rules - Close Out Debete     Account Dependent     N     3 •     3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Independent     N     3 •     3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 •     3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 •     3     ALL       D001INO     Clearing Transaction Inquire     Account Dependent     N     3 •     3     ALL       D002INO     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL	B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     3 • 3     ALL       B003DDL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 • 3     ALL       B003INO     Automatic Processing Rules - Close Out Inquire     Account Dependent     N     3 • 3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 • 3     Alt       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 • 3     Alt       D003INO     Clearing Transaction Inquire     Account Dependent     N     3 • 3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 • 3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 • 3     ALL	B003ADD     Automatic Processing Rules - Close Out Add     Account Dependent     N     3 v     3     ALL       B003DEL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 v     3     ALL       B003INO     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 v     3     ALL       B003INO     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 v     3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 v     3     ALL       B003INO     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 v     3     ALL       B003INO     Clearing Transaction Inquire     Account Dependent     N     3 v     3     ALL       D001INO     Clearing Transaction Inquire     Account Dependent     N     3 v     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 v     3     ALL		B002INQ	Account Inquire	Account Indepen N	3 🔻 3	
B003DEL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 • 3     ALL       B003NOD     Automatic Processing Rules - Close Out Induje     Account Dependent     N     3 • 3     ALL       B003NOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       B003NOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       B003NOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       D001NO     Clearing Transaction Inquire     Account Dependent     N     3 • 3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 • 3     ALL	B003DEL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 v     3     ALL       B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 v     3     ALL       B003MOD     Automatic Processing Rules - Close Out Inquire     Account Dependent     N     3 v     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 v     3     ALL       B003MOD     Clearing Transaction Inquire     Account Indepen     N     3 v     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 v     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 v     3     ALL	B003DEL     Automatic Processing Rules - Close Out Delete     Account Dependent     N     3 • 3     ALL       B003INO     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 • 3     ALL       B003MOD     Automatic Processing Rules - Close Out Inquire     Account Dependent     N     3 • 3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 • 3     ALL       D001NO     Clearing Transaction Inquire     Account Dependent     N     3 • 3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 • 3     ALL       D003ADD     Transaction Account Transfer Add     Account Dependent     N     3 • 3     ALL		B003ADD	Automatic Processing Rules - Close Out Add	Account Dependent N	3 🔻 3	ALL
B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 v     3       B003INQ     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 v     3       B003INQ     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 v     3       B003INQ     Clearing Transaction Inquire     Account Dependent     N     3 v     3     ALL       D001INQ     Clearing Transaction Account Transfer Add     Account Dependent     N     3 v     3     ALL       D002ADD     Transaction Separation Add     Account Dependent     N     3 v     3     ALL	B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3     3       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0     3     3     ALL       D001NO     Clearing Transaction Inquire     Account Indepen     N     3     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3     3     ALL	B003INQ     Automatic Processing Rules - Close Out Inquire     Account Indepen     N     3 •     3       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 •     3       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 •     3       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 •     3       D001MO     Clearing Transaction Inquire     Account Indepen     N     3 •     3       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3       D003ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3		B003DEL	Automatic Processing Rules - Close Out Delete	Account Dependent N	3 🔻 3	ALL
B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 •     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 •     3     A5       D001NO     Clearing Transaction Inquire     Account Independent     N     3 •     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL	B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     3 v     3     ALL       B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 v     3     A5       D001INQ     Clearing Transaction Inquire     Account Medpen     N     3 v     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 v     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 v     3     ALL	B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     Image: Close Out Modify     Image: Close Out Modi		B003INQ	Automatic Processing Rules - Close Out Inquire	Account Indepen N	3 🔻 3	
B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0 •     3     A5       D001INO     Clearing Transaction Inquire     Account Indepen     N     3 •     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL	B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     0     3     AS       D001INQ     Clearing Transaction Inquire     Account Indegen     N     3     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3     3     ALL	B003MOD     Automatic Processing Rules - Close Out Modify     Account Dependent     N     D     3     A5       D001INQ     Clearing Transaction Inquire     Account Indepen     N     3     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3     3     ALL       D003ADD     Transaction Add     Account Dependent     N     3     3     ALL		B003MOD	Automatic Processing Rules - Close Out Modify	Account Dependent N	3 🔻 3	ALL
D001INQ     Clearing Transaction Inquire     Account Indepen     N     3 •     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL	D0011NQ     Clearing Transaction Inquire     Account Indepen     N     3 v     3     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 v     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 v     3     ALL	D001INQ     Clearing Transaction Inquire     Account Independent     N     Image: Clearing Transaction Inquire     ALL       D002ADD     Transaction Account Transfer Add     Account Dependent     N     Image: Clearing Transaction Add     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     Image: Clearing Transaction Add     ALL		B003MOD	Automatic Processing Rules - Close Out Modify	Account Dependent N	0 🔻 3	A5
D002ADD     Transaction Account Transfer Add     Account Dependent     N     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3     ALL	D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL	D002ADD     Transaction Account Transfer Add     Account Dependent     N     3 •     3     ALL       D003ADD     Transaction Separation Add     Account Dependent     N     3 •     3     ALL		D001INQ	Clearing Transaction Inquire	Account Indepen N	3 🔻 3	ALL
D003ADD Transaction Separation Add Account Dependent N 3  ALL Add Using	D003ADD     Transaction Separation Add     Account Dependent     N     3 •     ALL	D003ADD     Transaction Separation Add     Account Dependent     N     3 v     3       elete     Add Using		D002ADD	Transaction Account Transfer Add	Account Dependent N	3 🔻 3	ALL
Add Using	elete Add Using	Add Using		D003ADD	Transaction Separation Add	Account Dependent N	3 🔻 3	ALL
			Delete	D003ADD Add Using	Transaction Separation Add	Account Dependent N	3 7 3	ALL

Modify User Privileges window

### 4.30.2 Functionality

The *Modify User Privileges* window allows to change the entitlement levels as well as the account range for every privilege that is assigned to the user via the various roles. The level cannot exceed the maximum possible entitlement level based on the assigned roles.

### Add Privilege Configurations

A privilege can be configured differently for multiple accounts. Therefore, a new privilege configuration has to be added. If exactly one existing configuration is selected, the *Add Using* button is activated. Clicking this button creates an additional entry for the selected privilege. In this entry, an entitlement level and an account range can be specified. Both fields are mandatory and the *Submit* button is only active if they are filled.

### **Delete Privilege Configurations**

The *Delete* button is activated if one or more privilege configurations are selected. Clicking the button marks the selected entries for deletion. The last entry for a privilege cannot be deleted. That's why the *Delete* button is disabled if the last entry of a privilege is selected.
## 4.30.3 Screen elements

Modify User Privileges - Buttons		
Button	Description	
Add Using	This button is only active if exactly one privilege configuration has been selected from the display table. Clicking this button adds a new entry for the selected privilege.	
Delete	Clicking this button removes the selected privilege configurations. It is deactivated if the last entry for a privilege has been selected.	
Submit	This button is only active if any privilege configuration was added, changed or deleted. Clicking the <i>Submit</i> button submits a request to apply all the changes and closes the overlay window.	
Cancel	Cancels the adjustment without any changes and closes the overlay window.	

Modify User Privileges - Table columns		
Column	Description	
Privilege ID	Privilege identifier.	
Privilege Description	Description of the privilege.	
Privilege Type	Type of the privilege.	
Level	Entitlement level assigned to the privilege.	
Max Level	Maximum entitlement level that can be assigned to the privilege.	
Act Range	Account range or individual account name for which the privilege is effective.	

## 4.31 Four Eye Principle - Entitlement

## 4.31.1 Description

The *Four Eye Principle - Entitlement* window can be accessed from the *Participant Maintenance* menu in the main menu. It displays an overview of all pending Four Eye principle requests.

Version 3.2

#### Window layouts and descriptions

	_				Deinsiels - Estitland			
	<b>_</b> (e	urex clearing		Four Eye	Principle - Entitleme	nt	Downloads: 0 Logged in: 0	GCMFRCLR001 Lo
Menu	Switch	Participant Management						
▼ Mak	Filter							
Initia	ng Participan	t GCMFR						
Inquire	Clear	xml   xls   csv						
Detail	5							
Sel	ected: 1	Displaying items from 1 to 4 of 4						
		Initiating Participant	Initiating User	Affected Participant	Affected User	Action Type	Timestamp	4EP Indicator
	GCMFR		GCMFRCLR001	GCMFR	GCMFRLDAP09	User Role Assignment Maintenance	2015-06-03 12:15:42.133	1
	GCMFR		GCMFRCLR001	GCMFR	GCMFRCLR003	User Entitlement Modification	2015-06-03 12:31:48.313	2
R	GCMFR		GCMFRCLR001	GCMFR	GCMFRCLR002	User Role Assignment Maintenance	2015-06-03 12:14:58.082	3
	COMED		OCMERCI ROOM	OCMER	COMEDMEDISDV	Laser Bole Assistement Maintenance	2016 06 02 12:16:42 141	4

2015 96 03 - 12.23.01 - Inquiry Successfully Processed 2015 96 03 - 12.23.59 - Inquiry Successfully Processed	↓ clear log

Four Eye Principle - Entitlement window

## 4.31.2 Functionality

The *Initiating Participant* filter is prefilled with the user's participant ID and the pending requests are inquired automatically when the window is opened.

If exactly one of the requests has been selected from the display table, the *Details* button becomes active. Clicking this button opens the respective approval window to view the pending changes and approve or reject them.

Depending on the type of the pending request, one of the following windows is opened:

Pending Request Type	Approval Window
Modify User Role Assignment	(De-)Assign User Role - Approve
Modify User Entitlement	Modify User Privileges - Approve
Copy User Entitlements	(De-)Assign User Role - Approve Copy

## 4.31.3 Screen elements

Four Eye Principle - Entitlement - Filter criteria		
Filter	Description	
Initiating	This filter is prefilled with the participant ID of the logged-in user.	
Participant		

Four Eye Principle - Entitlement - Buttons		
Button	Description	
Details	This button is only active if exactly one user has been selected from the display table. Clicking this button, opens the respective approval window to view the pending changes and approve or reject them.	

Four Eye Principle - Entitlement - Table columns			
Column	Description		
Initiating Participant	Member ID of the initiating participant.		
Initiating User	User name of the initiating user.		
Affected Participant	Member ID of the affected participant.		
Affected User	User name of the affected user.		
Action Type	Type of pending Four Eye request.		
Timestamp	Time when the change was submitted which triggered the Four Eye request.		
4EP Indicator	Unique ID for the pending Four Eye request.		

## 4.32 (De-)Assign User Role - Approve

## 4.32.1 Description

The *(De-)Assign User Role - Approve* window is accessed via the *Details* button on the *Four Eye Principle - Entitlement* window or via the *Pending Four-Eye Request* buttons on the overview windows. It allows to approve or reject pending user role assignments.

Version 3.2

#### Window layouts and descriptions

(De-)Assign User F	Role - Approve							close 🖸
GCMFRCLR	8001					Initiating User : GC 4EP	MFRCLR007 Indicator :10	<u>Hel</u>
Roles to be assign	ed		Roles to be de-as	signed				
Roles to be assigned Service Administrator View only - View ADM		* *	Service Adminis	trator - A	DM		•	
Displaying items fr	rom 1 to 3 of 3 🚞 💆							
Privilege ID	Privilege Description	P	rivilege Type		Level	Max Value	Act Range	
A001INQ	Internal User Inquire	Account In	dependent	3		3		
A002INQ	Internal User Entitlement Inquire	Account In	dependent	3		3		
A011INQ	Internal Pending Four-Eye Inquire - Service Admini	Account In	dependent	3		3		
Approve R 2015.11.04 - 09:09:08 2015.11.04 - 09:09:08	eject Cancel 3- Inquiry Successfully Processed 3- Inquiry Successfully Processed							*
clear log								~

(De-)Assign User Role - Approve window

## 4.32.2 Functionality

The *(De-)Assign User Role - Approve* window lists all roles that are supposed to be assigned to or de-assigned from a user. These role (de-)assignments require the approval of a second user to be processed. In this window, the second user can approve or reject the changes by clicking either the *Approve* or the *Reject* button.

Below the roles that are supposed to be (de-)assigned, a list of entitlement details shows which privileges are contained in the roles to be assigned.

## 4.32.3 Screen elements

(De-)Assign User Role - Approve - Buttons		
Button	Description	
Approve	Clicking this button approves the pending Four Eye request.	
Reject	Clicking this button rejects the pending Four Eye request.	
Cancel	Closes the overlay window without any change.	

(De-)Assign User Role - Approve - Table columns		
Column	Description	
Privilege ID	Privilege identifier.	
Privilege Description	Description of the privilege.	
Privilege Type	Type of the privilege.	

(De-)Assign User Role - Approve - Table columns		
Column	Description	
Level	Entitlement level assigned to the privilege.	
Max Level	Maximum entitlement level that can be assigned to the privilege.	
Act Range	Account range or individual account name for which the privilege is effective.	

#### 4.33 Modify User Privileges - Approve

## 4.33.1 Description

The *Modify User Privileges - Approve* window is accessed via the *Details* button on the *Four Eye Principle - Entitlement* window or via the *Pending Four-Eye Request* buttons on the overview windows. It allows to approve or reject pending changes to user privileges.

Modify User I	Privileges - Approve					close 🚺
COME						<u>Help</u>
GCMF	CLR001					
Selecte	d: 0 Displaying items from 1	to 1 of 1				
	Privilege ID	Privilege Description	Privilege Type	Level Max V	/alue Act Range	
E	A002UPD	Internal User Entitlement Update	Account Independent	1 🔻 3		
Internal Text	t					
Approve	Reject Cancel					
2015.09.09 -	12:59:28 - Inquiry Successfully Proce	essed				
						~
clear log						

Modify User Privileges - Approve window

## 4.33.2 Functionality

The *Modify User Privileges - Approve* window lists all privileges that are supposed to be changed for a user. These modifications require the approval of a second user to be processed. In this window, the second user can approve or reject the changes by clicking either the *Approve* or the *Reject* button.

# As of December 1, 2015

## Window layouts and descriptions

#### Version 3.2

## 4.33.3 Screen elements

Modify User Privileges - Approve - Buttons		
Button	Description	
Approve	Clicking this button approves the pending Four Eye request.	
Reject	Clicking this button rejects the pending Four Eye request.	
Cancel	Closes the overlay window without any change.	

Modify User Privileges - Approve - Table columns			
Column	Description		
Privilege ID	Privilege identifier.		
Privilege Description	Description of the privilege.		
Privilege Type	Type of the privilege.		
Level	Entitlement level assigned to the privilege.		
Max Level	Maximum entitlement level that can be assigned to the privilege.		
Act Range	Account range or individual account name for which the privilege is effective.		

## 4.34 (De-)Assign User Role - Approve Copy

## 4.34.1 Description

The (*De-*)*Assign User Role - Approve Copy* window is accessed via the *Details* button on the *Four Eye Principle - Entitlement* window or via the *Pending Four-Eye Request* buttons on the overview windows. It allows to approve or reject pending user role assignments which were initiated via the "Copy Entitlement Settings" function.

Version 3.2

#### Window layouts and descriptions

(De-)Assign User	Role - Approve Copy						close 🗙
GCMFRCL	R001						<u>Help</u>
Roles to be assign	ed	Roles to be de-ass	igned				
Service Administi Position and Tran Clearing Manager	ator - ADM saction Manager - PTM - CMA					*	
Displaying items f	rom 1 to 5 of 53 📰 🧏						
Privilege ID	Privilege Description	Privilege Type	Level	Max Value	Act Range		
A001INQ	Internal User Inquire	Account Independent	3 🔻	3		<b>A</b>	
A002INQ	Internal User Entitlement Inquire	Account Independent	3 ▼	3			
A002UPD	Internal User Entitlement Update	Account Independent	1 🔻	3			
A010MOD	Simplified Outsourcing Capability	Account Independent	3 🔻	3			
A011INQ	Internal Pending Four-Eye Inquire - Service Administ	Account Independent	3 🔻	3			
Approve F 2015.09.09 - 13.04:4 2015.09.09 - 13.04:4 clear log	Leject Cancel D - Inquiry Successfully Processed O - Inquiry Successfully Processed						Å. V

(De-)Assign User Role - Approve Copy window

## 4.34.2 Functionality

The *(De-)Assign User Role - Approve Copy* window lists all roles that are supposed to be assigned to a user via the "Copy Entitlement Settings" function. These role assignments require the approval of a second user to be processed. In this window, the second user can approve or reject the changes by clicking either the *Approve* or the *Reject* button.

Below the roles that are supposed to be assigned, a list of entitlement details shows which privileges are contained in the roles to be assigned.

## 4.34.3 Screen elements

(De-)Assign User Role - Approve Copy - Buttons		
Button	Description	
Approve	Clicking this button approves the pending Four Eye request.	
Reject	Clicking this button rejects the pending Four Eye request.	
Cancel	Closes the overlay window without any change.	

(De-)Assign User Role - Approve Copy - Table columns		
Column	Description	
Privilege ID	Privilege identifier.	
Privilege Description	Description of the privilege.	
Privilege Type	Type of the privilege.	

Derivatives Clearing GUI - User Manual

(De-)Assign User Role - Approve Copy - Table columns		
Column	Description	
Level	Entitlement level assigned to the privilege.	
Max Level	Maximum entitlement level that can be assigned to the privilege.	
Act Range	Account range or individual account name for which the privilege is effective.	

#### 4.35 Downloads

## 4.35.1 Description

The *Downloads* window can be accessed by clicking the *Downloads* link in the application header. It displays the requested export files which are ready for download in a table. Various meta information is provided for every export file, e.g. the time when the export has been requested in CET format and the filter criteria which were applied for the display table contained in the export.

Downl	Downloads close 🛛				
Sel	Filename		Download timestamp	Rows	Filter
	clear-export-2014-May-27-104219.xml	26 KB	2014-05-27 10:42:19	33	TranDate = 2013-12-18, ListedInstruments = true, IncludeExpired = true, currentBusinessDate = 2013-
	clear-export-2014-May-27-104254.xls	7 KB	2014-05-27 10:42:54	5	ListedInstruments = true, MaturityFrom = 201312, ProductSymbol:filteringOption = EQUALS, TranDat
	clear-export-2014-May-27-104348.csv	772 bytes	2014-05-27 10:43:48	6	ListedInstruments = true, Exercised = true, AccountSponsor = GCMFR, Unexercised = true, AccountOw
4					•
Refres	h Clear selected Clea	r all 🛛 🗍	ancel		
- Kelles	li oldar solected		Junioon		

Downloads window

#### 4.35.2 Functionality

A click on the file name starts the download of an export file. After the download all export files remain available in the download list until the user logs out of his session or removes the files from the list manually.

Files which are not needed any longer can be removed from the download list by selecting the respective files and clicking the *Clear selected* button. Alternatively, all files can be removed at once by clicking the *Clear all* button.

## 4.35.3 Screen elements

Downloads - Buttons		
Button	Description	
Refresh	Reloads the list of requested exports which are ready for download.	
Clear selected	Deletes the selected export files from the list. Hence, they cannot be downloaded any longer.	
Clear all	Deletes all export files from the list. Hence, they cannot be downloaded any longer.	
Cancel	Closes the overlay window.	

## 4.36 Reset Password

## 4.36.1 Description

The *Reset Password* window can be accessed by clicking the *Reset Password* button in the application header if the currently logged-in user is entitled to use this function. Otherwise, the *Reset Password* button is not visible to the user.

The *Reset Password* window allows to change or reset the current password of the logged-in user or on behalf of another user.

Reset Password		close 🗙
UserId	NCMFRCLR001	
Generate Password		
New Password		
Repeat New Password		
Submit Cancel		

Reset Password window

#### 4.36.2 Functionality

To reset the password for a user, the respective user ID has to be entered. There are two options to set a new password: It can either be generated randomly or entered manually. If the *Generate Password* check box is selected, the new password is displayed after clicking the *Submit* button. Alternatively, this check box can be unchecked to enter a self chosen password. In this case, the entered password is not displayed after clicking the *Submit* button. The entered password must comply with the complexity requirements that are applicable to all new passwords. Please refer to the description of the *Change Password* functionality for further details.

The reset password is valid immediately and can be used to login for 48 hours. If the reset password is not used within this time frame, it expires and has to be reset again. During the first login with the reset password, the user is requested to set a new personal password.

## 4.36.3 Screen elements

I

Reset Password - Fields			
Field	Description		
Userld	ID of the user whose password is supposed to be reset.		
Generate Password	If this check box is selected, a random password is generated and displayed upon clicking the <i>Submit</i> button.		
New Password	This field is active if the <i>Generate Password</i> check box is not selected. The new password must comply with the complexity requirements.		
Repeat New Password	To prevent typos in the password, the new password must be entered a second time.		

Reset Password - Buttons		
Button	Description	
Submit	This button is only active if the <i>Generate Password</i> check box is selected or if both the <i>New Password</i> and the <i>Repeat New Password</i> fields are filled. Clicking the <i>Submit</i> button submits a request to reset the password for the entered user.	
Cancel	Closes the overlay window.	

## Appendix

Version 3.2

# 5 Appendix

# 5.1 Supported ASCII characters

Index	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47
Character		! <sup>1</sup>	"	#	\$	%	&	"	(	)	*	+	,	-	•	1
Index	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63
Character	0	1	2	3	4	5	6	7	8	9	:	;	<	=	>	?
Index	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79
Character	@	А	В	С	D	Е	F	G	Н	Ι	J	Κ	L	Μ	Ν	0
Index	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95
Character	Ρ	Q	R	S	Т	U	V	W	Х	Y	Ζ	[	١	]	۸	_
Index	96	97	98	99	100	101	102	103	104	105	106	107	108	109	110	111
Character	`	а	b	С	d	е	f	g	h	i	j	k	Ι	m	n	0
Index	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	
Character	р	q	r	s	t	u	v	W	х	у	z	{	<sup>1</sup>	}	~	

1. The exclamation mark '!' (33) and the pipe 'l' (124) are not supported in text fields.

# 5.2 Supported keyboard short-cuts

Ctrl + C	Copy selected contents to the clipboard.
Ctrl + V	Paste the contents of the clipboard.
Ctrl + A	Select all elements from the element where the focus is currently, e.g. if focus is in a text field all characters in the text field are selected.
Ctrl + P	Open print menu of browser.
Tab	Switch to next focusable element.

# 5.3 Glossary

API	The <b>A</b> pplication <b>P</b> rogramming Interface defines the communication between different software components.
ATM	An option position is <b>A</b> t- <b>T</b> he- <b>M</b> oney if its exercise price is equal to the price of the underlying product.
CET	Central European Time.
CSV	A file in CSV ( <b>C</b> omma- <b>S</b> eparated <b>V</b> alues) format contains different values separated by a delimiter. Those files can be imported into and exported from the system.
DCM	Direct Clearing Member.
GCM	General Clearing Member.
GUI	A <b>G</b> raphical <b>U</b> ser Interface is the application frontend that is presented to the user to interact with the system.
ISIN	International Securities Identification Number.
ITM	An option position is In-The-Money if its intrinsic value is greater than zero.

	Version 3.2
Appendix	
NCM	A <b>N</b> on <b>C</b> learing <b>M</b> ember is an exchange participant that does not hold a clearing license. Such a participant must have a clearing agreement in effect with a General Clearing Member or a company-affiliated Direct Clearing Member.
ОТМ	An option position is <b>O</b> ut-of- <b>T</b> he- <b>M</b> oney if its intrinsic value is less than zero.
RAL	Various Resource Access Levels define access rights for certain functions.
RC	A <b>R</b> egistered <b>C</b> ustomer is an individually segregated client of a Clearing Member who has no access to the trading or clearing environment. The respective GCM has to fulfill all necessary back-office functions.
XLS	XLS is the proprietary file format for Microsoft Excel spreadsheets.
ZCQ	The <b>Z</b> ero <b>C</b> ost <b>Q</b> uantity is the potential number of contracts that can be closed out without late closing fees being charged.