



ICE FRONT-END CLEARING

USER INTERFACE GUIDE

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ABOUT THIS GUIDE

Questions or comments about the ICE® Front-End Clearing™ User Interface Guide or system features can be directed to the relevant ICE Clearing House Operations team.

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This Guide describes the functionality of the system as of a particular ICE Clearing Platform release. Changes from release to release are described below.

ICE Clear Platform Release	ICE FEC Guide Version	Description
8.3	1.00	Initial version
8.3	1.01	<ul style="list-style-type: none"> Added Appendix B, mapping legacy-ACT export fields to available ACT 2.0 columns Noted that Multi-Row Entry/Edit via <Ctrl+Sh+DownArrow> is not fully supported in Internet Explorer
8.3.5 / 8.3.6	1.02	Functional changes: <ul style="list-style-type: none"> Added Sub-Status column to Groups grid; moved RRV and REJ Status values to Sub-Status; deprecated CRV as Groups Status Added RRV Ct, REJ Ct and A Ct columns to the Groups grid, to reflect the number of Related Allocations in RRV, REJ and A Status, respectively Disabled Clear Filters button when no filters are applied; enabled with mouse-over list when grid filters are applied Added sections re: error/failure behaviors to Group Management, Allocation Management and Claim Management Added SSO password change/reset links to Login popup Added headers, Related Allocations and Related Spits, to respective grids

		<p>Non-functional updates:</p> <ul style="list-style-type: none"> • Added instruction for Group Details popup to Group Management • Added instruction of Allocation Audit Trail, Group Details and Linked Trade Details popups to Allocation Management • Added instruction for Claim Audit Trail popup to Claim Management • Added instruction for Viewing Row Details to Functions Panel • Updated Accessing ACT 2.0 to include ICUS and ICCA contact information • Clarified notation concerning Editing Accepted Claims in prior-day views • Added ICNL system address and Operations contact detail
8.5	1.03	<p>Functional changes:</p> <ul style="list-style-type: none"> • Migrated average-price-group management to ACT 2.0, on Groups screen/grid <ul style="list-style-type: none"> ○ Added “in progress” average-price groups to the grid, with Status of IP ○ Added Close Group button and function, to close/submit “in progress” groups ○ Relabeled Re-Open button as Re-Open Group ○ Grp Px and Cust Acct made editable for “in progress” AP groups ○ Added CTI, Trader Memo and User Memo columns, editable for “in progress” AP groups ○ Group Details enhanced to include AP group price values, and additional trade attributes not common among averaged trades • Added support for mark/unmark a claim or split for average pricing <ul style="list-style-type: none"> ○ New column Alloc Avg Px Grp ID added to Claims and Related Splits ○ Existing Avg Px Grp ID column relabeled as Orig Avg Px Grp ID ○ New value of A (average price) made available in Claims and Related Splits grids’ Alloc Meth dropdown ○ Added Alloc Avg Px Grp ID column to Claim Audit Trail • Added support to Claims screen to unmark a prior-day claim given-up, to facilitate claim Reversal • Added Clear Filter feature to Message Replay screen
8.6	1.04	<ul style="list-style-type: none"> • Updated system name from ACT 2.0 to ICE FEC <p>Functional changes:</p> <ul style="list-style-type: none"> • Migrated PTMS functions to the combined ICE FEC interface <ul style="list-style-type: none"> ○ Added new Trades and Transfers screens under Post Trade Management menu ○ Added popup notification of system Alerts, and enhanced display on the Dashboard ○ Added Unresolved Activity and Reports to Dashboard ○ Added system Open/Close indicator • New Help menu, linking User Guide, instructional videos, etc.

		<ul style="list-style-type: none"> • Enhanced filtering, adding 'contains' and 'ends with' operators • Added background Export of up to 500,000 transactions
	1.05	<ul style="list-style-type: none"> • Added instruction for saving frequently used Trade and Transfer column settings; see Post Trade Management/Column Controls/Saved Layouts • Added instruction to Cancel a Transfer • Added sections describing Trades and Transfers error behaviors • Added instructions to view Trade or Transfer Audit Trail • Added instruction, in Data Grids, to view Grid Editing Hints panel
	1.06	<ul style="list-style-type: none"> • Added Appendix C, Unresolved Activity Filters • Updated recommended minimum Chrome browser version to 64
8.6.1 - 8.7.1	1.07	<ul style="list-style-type: none"> • Updated Post Trade Management Search and Filters sections, to reflect new fields and behaviors on the Trades screen • Updated Trade Management section, to reflect new Search and Filter features • Updated Appendix C, Unresolved Activity Filters, to incorporate new Search fields
8.8.X	1.08	<ul style="list-style-type: none"> • Updated Appendix B, Export Mappings, to reflect additional fields added to the Trades/Related Allocations sub-grid
	1.09	<ul style="list-style-type: none"> • Added new Appendix, Available Fields by Grid, beginning with Trades grid; other grids to be added in future versions • Added Reference Field Values (for fields in addition to Status) to Appendix • Reordered Appendices by relevance, as follows: <ul style="list-style-type: none"> ○ Appendix A: Available Fields by Grid ○ Appendix B: Reference Field Values ○ Appendix C: Unresolved Activity Filters ○ Appendix D: Export Mappings
9.1.X	1.10	<ul style="list-style-type: none"> • Updated Dashboard and Search to reflect addition of T+4 and T+5 data to the system
9.2.0	1.11	<ul style="list-style-type: none"> • Updated to reflect that Trading Member users are now able to manage Firm Contacts • Updated Supported Browsers
9.2.2	1.12	<ul style="list-style-type: none"> • Updated to reflect availability of additional Search criteria on Claims, and increase in the number of Claims which may be actioned at once
9.3.X	1.13	<ul style="list-style-type: none"> • Updated Processing Summary with additional detail and reference links to relevant sections of this Guide • Updated rules for unmarking trades from GU or AP when Trade Management is displaying a prior clearing day; also updated rules for unmarking claims from GU or AP

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ICE FRONT-END CLEARING

1. INTRODUCTION

ICE® Front-End Clearing (ICE FEC) is a web-based application used to support post-trade processing of derivatives trades cleared by an ICE Clearing House.

The system's functions include the trade and transfer management, and allocation/claim functions previously supported by ICE's legacy PTMS and ACT systems, whose interfaces are decommissioned.

This Guide provides instruction to a User wanting to perform these functions in the ICE FEC User Interface. Additional features of the legacy interfaces, including viewing unresolved activity, receiving system alerts, exporting data, and capabilities such as FIXML-message replay, are also supported and described in this Guide.

2. DEFINITIONS

Please note that the term Member is used throughout the remainder of this document to refer to both Clearing Members (CMs), and Trading Members (TMs) that access the ICE Clearing Systems.

Furthermore, the term User will be used generally to refer to any authorized ICE FEC user.

Either term will be prefaced accordingly where a specific member or user type is intended.

3. PROCESSING SUMMARY

3.1. TRADE MANAGEMENT

Trades which are executed on an ICE trading venue are processed into the appropriate ICE clearing house, and made available in ICE Front-End Clearing. Once in the clearing system, trades may be modified, split, marked for give-up, or marked for average pricing. These updates may be performed by the user in the ICE FEC interface, or via FIXML API message submitted from the Member's back-office / middleware system.

See related sections, below, for instructions.

Editing a Trade

3.2. TRADE SPLITS

A trade split sub-divides a single trade into multiple trades (split legs), each with a portion of the original quantity. Each split leg may be given different account attributes, and may optionally be marked for give-up or average pricing like any other trade, independent of its related split legs.

See related sections, below, for instructions.

Splitting a Trade

3.3. GIVE-UP GROUPS

When a trade (or a trade-split leg) is marked for give-up it will become part of a give-up group (a GU Group), from which the Allocating Member can create allocations and manage existing allocations at the group level. Marked trades will be grouped together if their following attributes are the same:

Member (CM and TM), Trade Type, Contract (incl. Put/Call and Strike Price for options), Trade Price, Trade Date, Buy/Sell, Trader, Customer Account, Position Account, Clearing Account (aka SMA), Spread Indicator, Open/Close and Rate ID.

Once marked for give-up, the Member is able to unmark the original trade, in order to remove it from the GU Group and process the record in a different manner. Unmark may be restricted, however, depending upon the status of any related GU allocations and claims.

See related sections, below, for instructions.

Editing a Trade

Finding a Related Group

Group Management

3.4. AVERAGE-PRICE GROUPS

Alternatively, a Member may mark a trade (or a trade-split leg) for price averaging, then manage the related “in progress” average-price group (AP Group). Trades marked for AP will be grouped together if their following attributes are the same:

Member-assigned AP Group ID, Member (CM and TM), Trade Type[^], Contract (incl. Put/Call and Strike Price for options), Trade Date, Buy/Sell, Position Account and Clearing Account (aka SMA).

[^]Block trades, EFPs, and most other non-marker trade types are eligible for averaging, but *only* with trades of the same trade type. The exception is that regular screen, error cross and broker cross trade types can be comingled for averaging. For removal of doubt, marker trade types, i.e. TAS, etc., are not averageable; nor are stock-contingent trades or position transfers/trade adjustments. Note that the ability to comingle additional/alternate trade types in an average-price group is subject to change in the future.

Averaging of the below Trade Types is supported. Please also refer to the [ICE Clear - Reference Data Definitions](#) for the full list of ICE Trade Types and their AP eligibility.

Trade Type	FIXML TrdCaptRpt or AllocRpt @TrdTyp	FEC UI Trade Type	May be comingled with...
Regular Trade	0	REG	24/ECR, 58/BRX
Error Cross	24	ECR	0/REG, 58/BRX
Broker Cross	58	BRX	0/REG, 24/ECR
Block Trade	1	BLK	
Exchange for Physical	2	EFP	
Exchange for Swap	12	EFS	
EFM	13	EFM	
Exchange of Options for Options	14	EOO	
Substitution of futures for OTC	23	SWP	
Exchange Basis Facility	55	EBF	
Asset Allocation	101	AAL	
Guaranteed Cross	102	GDX	
Volatility Contingent Trade	104	VCT	
Traded at Market (TAM)	106	SBK	
Exchange for Benchmark	110	EFB	

After marking all trades the user wishes to average, he or she may close the AP Group to finalize the average price. Once closed, the Group is eligible for the Allocating Member to create and manage allocations against. The user has two options to set the final AP Group price:

- Use the system-calculated average price: The system will calculate the actual-average price (to 7 decimal places) and residual price per lot (to 2 dps), plus the rounded-average price. The rounded-average price is the actual-average price rounded to the nearest tick with buys rounded up and sells rounded down.
- Enter an override price: The system will allow the user to override the average price; however, the entered price must be at a valid tick for the product. Rounded-average price and residual price will not be calculated in this case.

Closed AP Groups which are not allocated may be reopened to add (mark) or remove (unmark) trades, change the override price, and/or to update the Group's editable non-grouping fields.

See related sections, below, for instructions.

Editing a Trade

Finding a Related Group

Group Management

3.5. ALLOCATIONS AND CLAIMS

A User may generally allocate a GU Group at any time after its creation, or an AP Group once it has been closed. All or part of the Group may be allocated at the same time, to one or more distinct destinations.

Once a GU or AP Group (generically, a Group) has been allocated, the opposite member (the Claiming Member) can review the transaction in detail, and then accept or reject each allocation. The Claiming Member may also then mark an accepted allocation for further give-up or averaging, similar to a trade, and reallocate accordingly.

Additional actions, such as modification, deletion, reversal or claim split, can also be performed on an allocation by the Allocating or Claiming Member, depending upon the allocation status.

See related sections, below, for instructions.

Allocation Management

Claim Management

3.6. TRANSFERS AND ADJUSTMENTS

After a trade is cleared through the ICE Clear end-of-day process it may be adjusted, to correct mis-clears within the same Member firm. A transfer may also be created in the ICE FEC interface, independent of a single original trade, to move all or part of an existing position from one Member to another.

See related sections, below, for instructions.

Adjusting to a Single Destination

Adjusting to Multiple Destinations

Transfer Management

4. ACCESSING ICE FEC

4.1. USERS

4.1.1. USER ROLES

Two User Roles are supported by ICE FEC:

1. **Trading Member User** – A Trading Member User will have the ability to view and take action on transactions related to the Member firm(s) to which he or she is authorized. This includes the all **Post Trade Management** functions:

Trades

- Viewing and updating an exchange trade
- Marking or unmarking an exchange trade for give-up or average pricing
- Splitting an exchange trade
- Updating or Adjusting a trade cleared on a prior day

Transfers

- Creating a new position transfer via entry or file upload
- Modifying or Cancelling an unaccepted position transfer
- Accepting an unaccepted position transfer
- Challenging an unaccepted or accepted position transfer

Groups & Allocations

- Closing (aka submitting) an “in progress” average-price group
- Updating average-price-group attributes at time of close, such as entering an override group price
- Re-opening a “closed” (aka submitted) average-price group
- Allocating a regular give-up group
- Allocating a “closed” (aka submitted) average-price group
- Modifying or Deleting unclaimed allocations
- Reversing accepted allocations

Claims

- Accepting or Rejecting unclaimed allocations
- Modifying accepted allocations
- Splitting accepted allocations
- Giving-up accepted allocations at original trade price
- Averaging and giving-up accepted allocations at an average price

In addition, in the **Tools** section of the system, a Trading Member User will be able to view contact detail of all Member firms, and add, edit and delete contact detail for the Member firm(s) to which the User is authorized. The system **Dashboard** will also be available.

2. **Trading Member Admin User** – A Trading Member Admin User will have all of the rights of a Trading Member User, plus the following **Tools** permission:

- Initiating replay of ICE Clear FIXML API messages related to the Member firm(s) to which the User is authorized

4.1.2. USERNAME & PASSWORD

Each ICE FEC User will use a unique Username and password to access the system. Each ICE Clearing House maintains independent systems; therefore, separate access per Clearing House is required.

A User of the legacy PTMS or ACT interfaces, or of prior versions of this interface (previously called ACT 2.0), may use his or her existing ICE Global ID/SSO login to access the ICE FEC interface.

To request a Username, contact the relevant ICE Clearing House Operations team.

ICE Clear Europe (ICEU)	ICEUOps@theice.com +44 (0)20 065 7600
ICE Clear Netherlands (ICNL)	ICEClearNetherlandsOperations@theice.com +31 (0) 20 305 5155
ICE Clear Singapore (ICSG)	ICEClearSingaporeOperations@theice.com +65-65050463
ICE Clear U.S. (ICUS)	ICEClearUS@theice.com +1 (312) 836-6718 or +1 (770) 738-2101

4.2. SYSTEM ADDRESS

Once a Username and password are obtained, the production version of ICE FEC can be accessed via the following URL:

ICEU - <https://fec.euclearing.theice.com>

ICNL - <https://fec.nlclearing.theice.com>

ICSG - <https://fec.sgclearing.theice.com>

ICUS - <https://fec.usclearing.theice.com>

The link also can be accessed through the respective ICE Clearing House technology page on www.theice.com, or by clicking the applicable link below:

ICEU - <https://www.theice.com/clear-europe/technology>

ICNL - <https://www.theice.com/clear-netherlands/technology>

ICUS - <https://www.theice.com/clear-us/technology>

For ICSG, use the direct URL provided in the prior section.

Contact ICE Clear Operations for addresses of non-production environments, as applicable.

4.3. SUPPORTED BROWSERS

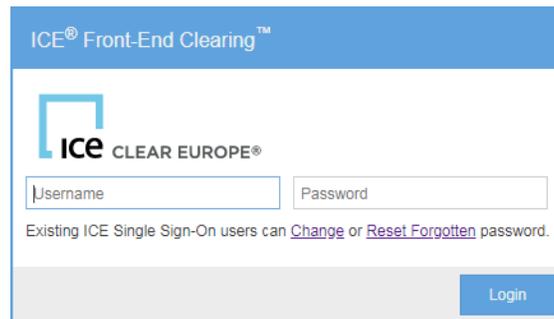
Use of Google Chrome™ version 93 or higher is recommended. Use of earlier versions or other browsers is not recommended.

4.4. LOGGING IN

New Users to ICE FEC should refer to Username & Password, above, to request login credentials.

To log into ICE FEC:

1. Navigate to the System Address associated with the ICE Clearing House you wish to access. The Login panel will display the appropriate clearing-house logo and name



ICE® Front-End Clearing™

ICE CLEAR EUROPE®

Username Password

Existing ICE Single Sign-On users can [Change](#) or [Reset Forgotten](#) password.

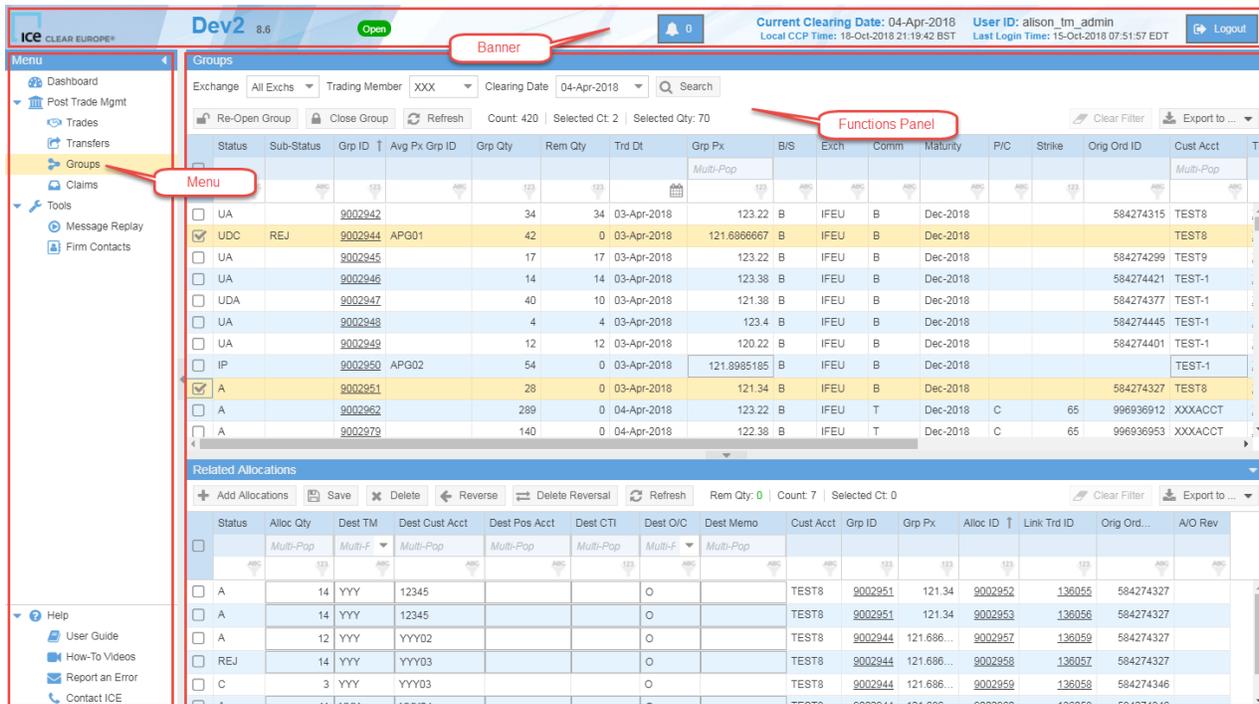
Login

2. Enter your Username and Password on the login screen, and click Login.

Once the Username and Password are successfully authenticated, the User will be taken to the system *Dashboard*, described later in this Interface Guide.

To change or reset an ICE SSO password, use the appropriate link on the Login panel, then follow the instructions of the ICE SSO system.

5. INTERFACE COMPONENTS



5.1. BANNER

The Banner is visible at the top of all screens, and includes the following elements:

- **Logo** - Identifies the relevant ICE Clear clearing house
- **Environment** - Displays the environment to which the User is logged in, such as Production, UAT, etc.
- **Version** - The major ICE Platform Release number supported by the ICE FEC interface version
- **Current Clearing Date** - The current business date of the ICE Clear clearing house
- **System State** - Whether the system is currently Open or Closed; when Closed, the system will be in a read-only state and will not support new post-trade actions to be applied
- **Local CCP Time** - The current time and time zone of the ICE Clear clearing house
- **Alert Bubble and Count** - A drop-in bubble displaying new and/or unacknowledged system Alerts, and a count of Alerts which remain unacknowledged by the User; see *Alert Bubble and Count*, below, for details
- **User ID** - The username of the User logged into the system
- **Last Login Time** - The date and time at which the User last logged into the system, *not including* the current session login; in the time zone specified in the User's computer settings
- **Logout** - Logs the User out of ICE FEC

5.1.1. ALERT BUBBLE AND COUNT

When an ICE FEC alert is created, such as for upcoming contract expiries or system broadcast message, a “bubble” Alert will drop down into the center of the Banner.

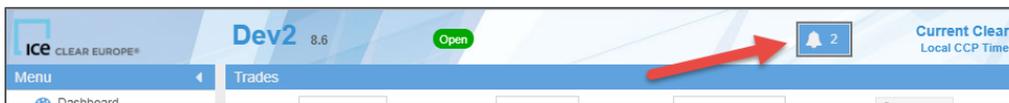
- **Critical Alerts** – These will be bordered in red, and must be acknowledged by the User. The Alert will grey out and lock the entire ICE FEC interface from any other action, until it is acknowledged by clicking within the Alert bubble. After being acknowledged, the Alert will clear, the screen will again become active, and the next Alert (if any) will display.



- **Informational Alerts** – These will be bordered in yellow and may be acknowledged, but will fade automatically if the User does not acknowledge the Alert, and the next new Alert (if any) will be displayed. Hovering over an Informational Alert with your mouse will keep the Alert open, giving more time to read the message. Informational Alerts will not lock the interface to prevent other actions.



The Alerts Indicator will show the count of unacknowledged Alerts. Unacknowledged Alerts may be replayed by clicking on this Indicator. A replayed Alert may again be ignored, or acknowledged in order to show the next unacknowledged Alert on the list.



All Alerts displayed to the User in this manner will also be listed on the system Dashboard, for future reference; see *Alerts*, below.

5.2. MENU

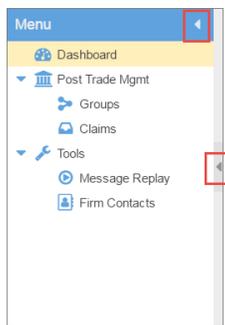
The ICE FEC Menu includes the following headings and screen hyperlinks, each of which is described in the detailed screen sections which follow in this Interface Guide:

- **Dashboard** – [hyperlink] Displays system alerts; also the system landing page after login
- **Post Trade Mgmt**
 - **Trades** – [hyperlink] Displays all trades currently in the system, and supports trade modifications and management
 - **Transfers** – [hyperlink] Supports creation and management of position transfers, and modifications to trade adjustments
 - **Groups** – [hyperlink] Shows all regular GU and AP Groups, and supports outbound allocation management (give-ups)
 - **Claims** – [hyperlink] Supports inbound allocation management (take-ups)
- **Tools** [visible only to Trading Member Admin Users]

- **Message Replay** – [hyperlink] Supports FIXML message replay for select Users
- **Firm Contacts** – [hyperlink] Displays contact details for Member firms
- **Help**
 - **User Guide** – [hyperlink] Opens a separate web page, displaying the ICE FEC User Interface Guide (pdf)
 - **How-To Videos** – [hyperlink] Opens a separate web page, listing short videos which instruct the User how to perform the most common functions in the ICE FEC interface
 - **Report an Error** – Auto-generates an email to the respective ICE Production Support team, with reference data for ICE to troubleshoot a problem the User is having with the system
 - **Contact ICE** – Opens a dialog with ICE Production and Test Support email addresses, phone numbers, and support hours for the relevant ICE Clearing House

The Menu may be collapsed or expanded by clicking either left or right arrow, respectively,

Collapse



Expand



5.3. FUNCTIONS PANEL

The primary functionality of each screen will occur in its Functions Panel. Please refer to the detailed screen sections which follow in this Interface Guide for available data, actions and controls.

6. DASHBOARD

The Dashboard provides summarized information and resources related to the system.

6.1. ALERTS

The Alerts panel displays critical and informational alerts generated by ICE FEC. Alerts created during the current clearing date will be displayed first, followed by alerts from the three prior clearing dates. Alerts which are expired will display in italic, for quick visual differentiation.

For example, advance notice of Daily Product close times (such as for equity products), and system close times will be displayed. When Contracts expire during the day, the Alerts pane will detail those contracts and their expiry time. Custom messages entered for ICE FEC Users by ICE Operations will also be listed here.

When no alerts are available the panel will show the message, “There are no alerts to display.”

Circ Dt	Alert TS	Type	Content
19-Oct-2018	19-Oct-2018 10:58:18 BST	Info	NBD-F-IFEU 20181021 has expired or closed.
19-Oct-2018	19-Oct-2018 10:58:01 BST	Info	TFE -F-NDEX 20181021 has expired or closed.
18-Oct-2018	18-Oct-2018 16:44:27 BST	Info	TFE -F-NDEX 20181019 has expired or closed.
18-Oct-2018	18-Oct-2018 16:44:18 BST	Info	NBD-F-IFEU 20181019 has expired or closed.
17-Oct-2018	17-Oct-2018 17:04:26 BST	Info	TFE -F-NDEX 20181018 has expired or closed.
17-Oct-2018	17-Oct-2018 17:04:17 BST	Info	T-O-IFEU 201811 has expired or closed.
17-Oct-2018	17-Oct-2018 17:04:09 BST	Info	NBD-F-IFEU 20181018 has expired or closed.
17-Oct-2018	17-Oct-2018 13:15:00 BST	Info	RC1-O-IFLX 201811 has expired or closed.
17-Oct-2018	17-Oct-2018 13:15:00 BST	Info	RC2-O-IFLX 201811 has expired or closed.
17-Oct-2018	17-Oct-2018 13:15:00 BST	Info	RC-O-IFLX 201811 has expired or closed.
16-Oct-2018	16-Oct-2018 15:05:34 BST	Info	NBD-F-IFEU 20181017 has expired or closed.
16-Oct-2018	16-Oct-2018 15:05:16 BST	Info	TFE -F-NDEX 20181017 has expired or closed.

To easily locate an alert, for example one specific to a particular product expiry, you can enter a value to be in the Highlight field, and that value will be highlighted on each row where it exists.

The Alerts listed here will be the same as those which are shown individually to the User in the system Banner (see *Alert Bubble and Count*, above). They will remain listed in the Alerts panel for future reference, even after they are acknowledged in an Alert Bubble.

6.2. REPORTS

The Reports panel lists the standard reports that are available from ICE FEC. Clicking on a report's name will download the selected report to the User's default download folder.

Currently only the Daily Give-Up Activity report is available.

6.3. UNRESOLVED ACTIVITY

The Unresolved Activity panel displays the number of records in a number of functional categories which are considered to be unresolved and may require User intervention. The record count per category, as well as a total, is given for each Member to which the User has ICE FEC access. The total per category across all displayed Members is indicated at the top of each column.

Unresolved Activity - Last Updated: 18-Oct-2016 21:44:10 BST																				
TM ↑	Trades					Transfers			Groups			Allocations			Claims		SCT			
	Unresolved	T Unreg	T-1 Unreg	T-2 Unreg	T-3 Unreg	Unacc/Challgd	Pending	Rejected	In Progress	Unalloc	Under Alloc	Unacc	Rejected	Pend Rev	Unacc	Pend Rev	Unreg Trades	Unalloc Grps	Under Alloc Grps	Una
Totals:	676	0	3	0	3	0	0	0	0	0	0	646	0	0	23	0	0	0	0	0
XXX	357	0	2	0	2	0	0	0	0	0	0	352	0	0	1	0	0	0	0	0
YYY	318	0	1	0	1	0	0	0	0	0	0	294	0	0	22	0	0	0	0	0

Clicking on any category count will take the User to the **Post Trade Management** screen that is relevant, with filters and selections applied as needed to display the records represented by the record count. This feature does not apply to the totals by category or Member.

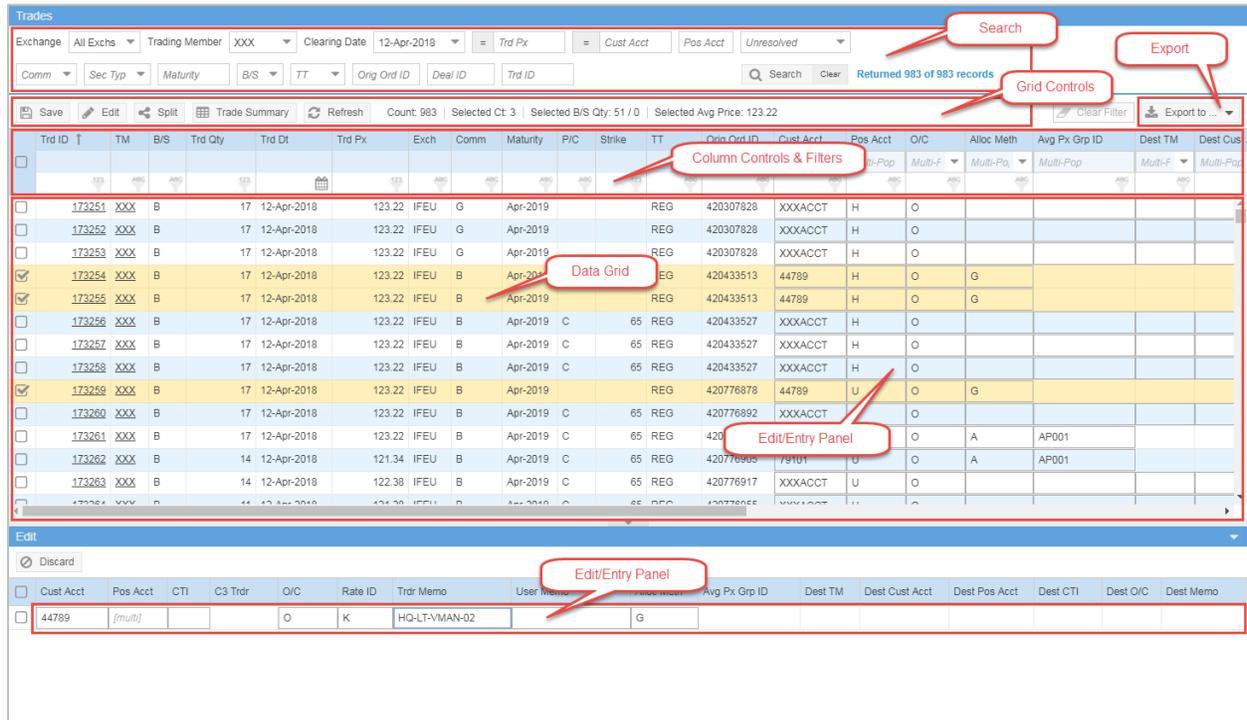
Standard row sorting and filtering are supported on the Unresolved Activity panel. In addition, a user may hide unused columns, or reorder columns within each of the category groupings, to customize the view. Total record counts per Member will exclude counts in hidden columns; similarly, totals per category will only include counts from Member rows that are displayed.

See *Appendix C: Unresolved Activity Filters*, for instruction if you wish to apply any of the related filters manually to the relevant Post Trade Management screen.

7. POST TRADE MANAGEMENT

7.1. FUNCTIONS PANEL

Generally speaking, the Functions Panel for each screen listed in the **Post Trade Management** section of the ICE FEC Menu contains the following elements. Specific data and available functions may differ by screen, and are described in detail later in this Interface Guide.



7.1.1. SEARCH

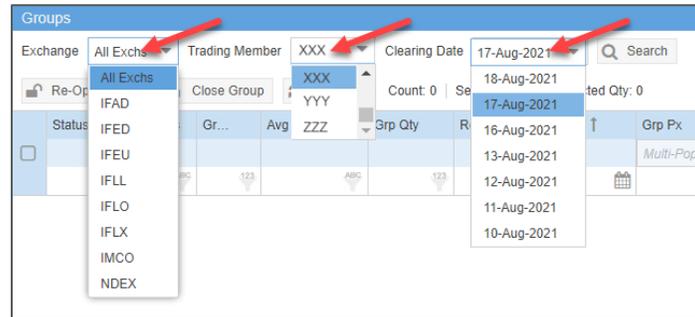
The Search bar allows a User to select a limited array of data to retrieve from the ICE FEC database. The data returned by the Search can then be sorted and filtered by the User, as needed.

Note: An initial Search is required before data will be displayed on any **Post Trade Management** screen, *before* applying Filter criteria in the grid headers.

All screens under this section of the Menu will share the following primary Search criteria, which will be retained as you navigate between ICE FEC screens.

- **Exchange** - A list of the individual exchange MICs/mnemonics applicable to the ICE Clear clearing house; an All Exchs (all exchanges) choice is also available, and is the default setting upon first accessing the system
- **Trading Member** - A list of trading members to which the User is authorized; on the Trades and Transfers screens, an All TMs (all trading members) choice is also available, while only a single mnemonic may be selected on Groups or Claims

- If the user has a single mnemonic selected on Trades or Transfers, that single mnemonic will be auto-selected as Search criteria if the User navigates to the Groups or Claims screen; the same is true when navigating from Groups or Claims to Trades or Transfers
- If the User has All TMs selected on Trades or Transfers, the last-searched-for single mnemonic will be auto-selected as Search criteria if the User navigates to the Groups or Claims screen; returning to Trades or Transfers, the All TMs selection will be reapplied
- **Clearing Date** - Use this dropdown to select the Clearing Date for which you want to manage transactions; the current Clearing Date is highlighted, by default; other choices include the next Clearing Date (for use in ICSG only), and five prior Clearing Dates



Note: Transactions which will clear on the next (T+1) or current (T) Clearing Date, and transactions of the same type (trades, groups/allocations or claims) which cleared on a prior (T-1 through T-5) Clearing Date, are all managed on a common ICE FEC screen. The Clearing Date Search allows the User to switch between these dates. Also note that Search for Clearing Date four or five days in arrears (T-4 or T-5) may be slower than for T+1 through T-3, and is subject to timeout; including additional Search criteria will shorten the response time.

On Trades, Transfers and Claims (on Release 9.2.2 and later), except where specified, additional Search criteria may also be set to help the user reduce the number of records to be displayed. One or more of these fields may be populated, as needed, to narrow the results.

- **Trd Px** - Entry field for the trade price; not available on Transfers or Claims; supports numeric values only, including zero (0) and negatives, indicated by a preceding minus sign (-), such as -1.3875

By default, the operator is equals (=), but can be changed to greater-than-or-equals (>=) or less-than-or-equals (<=), by clicking on the operator icon and selecting that operator



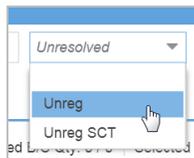
- **Cust Acct** - Entry field for the customer account; not available on Transfers or Claims

By default, the operator is equals (=), but can be changed to return any customer account containing the entered value, by clicking on the operator icon and selecting the 'like' operator



- **Pos Acct** - Entry field for the position account; not available on Transfers
- **Unresolved** - Entry field with dropdown selection of “Unresolved Activity” categories; not available on Transfers or Claims

After choosing All Exch(anges), a single Trading Member, the desired Clearing Date and an Unresolved selection, clicking Search will return the same records as reflected in the Dashboard’s “Unresolved Activity” count for that member and date



Note: Making an Unresolved selection will automatically set and disable other Search fields, when those fields are required to execute the Unresolved Search correctly. Change Unresolved back to blank to reactivate any Search fields which were disabled.

- **Comm** - Entry field with dropdown selection of ICE commodity codes/symbols
- **Sec Typ** - Entry field with dropdown selection of security types; choices are FUT (futures), OOF (options on futures), OPT (options), CMB (combos) and OOC (options on combos)
- **Maturity** - Entry field for the maturity date; entry must be in format MMM-YYYY, or DD-MMM-YYYY for daily contracts
- **B/S** - Entry field with dropdown to select Buy (B) or Sell (S) records
- **TT** - Entry field with dropdown of ICE trade types
- **Status** - Dropdown of available Status codes; not available on Trades or Transfers
- **Orig Ord ID** - Entry field for an original (client-assigned) order identifier; not available on Claims
- **Deal ID** - Entry field for an exchange-assigned deal or match ID; not available on Claims
- **Trd ID** - Entry field for a unique clearing-assigned trade ID; not available on Claims

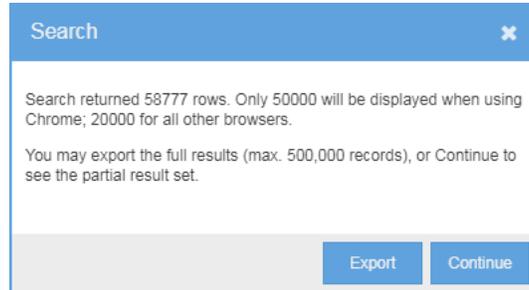
To execute a Search on Trades:

1. Enter or select a value in each required Search field (Exchange, Trading Member and Clearing Date); all are single-select only, and all are required.
2. Optionally set additional Search criteria.
3. Click [Search], or hit <Enter> while in one of the Search fields.

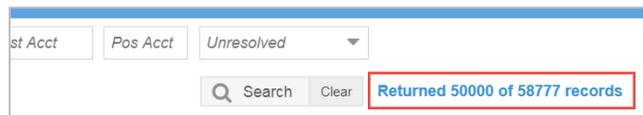
Note: Due to limitations of the browsers themselves, a maximum number of 50,000 records can be displayed on the Trades screen to a Google Chrome™ user at any one time, or 20,000 records to a user of Microsoft Edge™ or other browser. Where the requested Trades screen

Search matches more than the allowed maximum, the system will display as many rows as possible, allowing you to work with the partial result set, or to add more criteria and Search again.

- On the Trades screen, if too many rows would be displayed by the Search, an alert will appear, giving the User the option to Export the full result set (see *Background Export*, below) before continuing to display the partial results in the grid.



4. The grid will update to display the records matching the Search criteria, up to the browser's display limit.
 - On the Trades screen, the total number of rows returned to the grid, and the total number that matched the Search criteria, will be shown next to the Search button.



To execute a Search on any other screen:

1. Enter or select a value in each required Search field (Exchange, Trading Member and Clearing Date); all are single-select only, and all are required.
2. On Transfers or Claims, optionally set additional Search criteria.
3. Click [Search], or hit <Enter> while in one of the Search fields.

Note: A maximum of 200,000 records can be retrieved for display in a single Search.

To clear your Search criteria:

1. For a single, non-required Search field, delete the entered value or set the dropdown to blank.
2. To clear all non-required Search fields, including resetting Trd Px and Cust Acct operators to equals (=), click the Clear button, adjacent to Search.

Note: After changing your Search values manually or by using the Clear feature, you must explicitly click Search again to update the data grid to match your new criteria.

Upon logout, the User's Search last-used values will be stored, and will be pre-populated as Search criteria during the next login. Clearing Date will always default to the current business date each time the User logs in.

Any Search values which are set will be ignored as the User navigates to a screen which does not support that Search field.

7.1.2. GRID CONTROLS

Grid Controls includes the available Action Buttons and summary counts and/or quantities related to the related Data Grid. See the individual screen sections later in this Interface Guide for details.

7.1.3. COLUMN CONTROLS

Column Controls allow a User to customize the Data Grid to suit his or her needs. The User's last-used column settings, per grid, will be stored and restored the next time the User accesses the system. The User can also name and save multiple grid settings, to easily switch between commonly used Data Grid configurations.

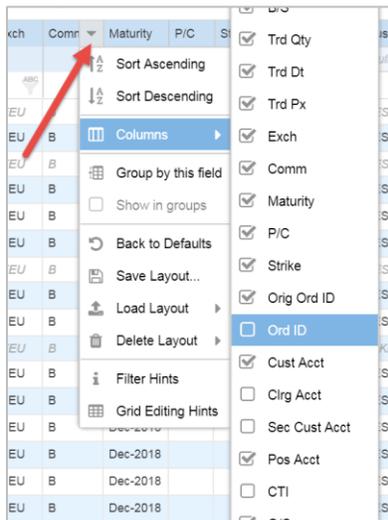
7.1.3.1. COLUMNS SELECTION

Each grid supports a comprehensive list of available columns, which may be displayed or hidden individually by the User. A subset of these columns is selected for display by default.

Note: As an alternative to changing your column selection, the full list of field values for an individual record may be viewed by the User; refer to *Viewing Row Details*, below.

To change your column selection:

1. Open any column dropdown menu; all available columns are listed under each dropdown.
2. Uncheck a column to hide it; check a column to display it.



7.1.3.2. COLUMN ORDER

Columns may be rearranged by drag-and-drop.

To rearrange your columns:

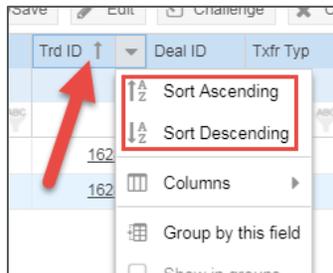
1. Click and hold the mouse on the header of the column you wish to move.
2. Drag the column until the green arrows appear between the columns between which you want the column moved.
3. Release the mouse, and the column will be moved.

Trd Qty	Trd Dt	Grp Px	B/S
123	Grp Px	123	
0	03-May-2017	120.22	B
0	03-May-2017	120.22	B

7.1.3.3. COLUMN SORT

Each Data Grid may be sorted by a single column of data. An upward arrow in the column header indicates it is being sorted by in ascending order; a downward arrow indicates descending.

A sort order is pre-assigned to each grid, and may be changed by the User in one of two ways.



To change your sort order:

1. Click once on the column header to sort by that column in ascending order. Click again to change to descending order.

OR

2. Open the related column dropdown menu, and choose either *Sort Ascending* or *Sort Descending*.

7.1.3.4. COLUMN WIDTH

Each column may be widened or narrowed by dragging the column border left or right, as needed.



7.1.3.5. SAVED LAYOUTS

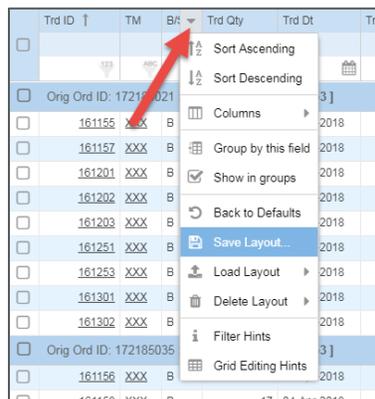
On the main Trades and Transfers grids, a User can customize their column Layout, then name, save and reload the Layout to perform a regular, repeated business action. A User can create as many custom Layouts as he or she needs; saved Layouts are User specific.

- **Saving a Layout** - When saving a custom grid Layout, the following settings will be stored for convenient re-use:
 - Column Selection
 - Column Order
 - Column Width
 - Column Sort
 - Grid Filters, if applied (see *Filters*, below, for details)
 - Grouped Mode setting, if applied (see *Grouped Mode*, below, for details)

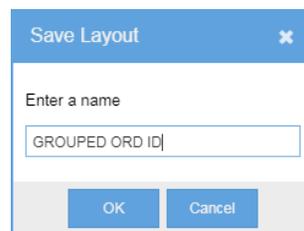
Important! If the User has already customized his or her columns, it is recommended to *Save the current settings **before** modifying column settings* for any additional custom Layouts; otherwise, *the original customizations will be lost.*

To save a grid Layout:

1. After customizing your columns, filters and/or field grouping, open any column dropdown menu, and choose *Save Layout*.



2. Enter a Layout name. If you are already using a named Layout, its name will appear automatically. Layout names must be unique.
 - To update the current Layout, do not modify the displayed name
 - To create a new custom Layout, enter a new name



3. Click [OK] to confirm save.

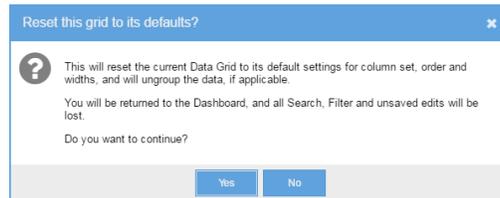
- **Loading a previously saved Layout** - Once saved, a Layout will be available for reload to the grid.

To load a saved grid Layout:

Important! Restoring a grid's default column set will return the User to the Dashboard, and all Search, Filter and entered/unsaved edits on all Data Grids will be lost.

To restore your columns for a Data Grid to their default state:

1. Open any column dropdown menu.
2. Choose Back to Defaults.
3. Select [Yes] or [No] from the confirmation popup:



7.1.4. FILTERS

Each Data Grid may be filtered to narrow the array of data displayed. Filters may be applied to one column, or to multiple columns, to suit the User's needs.

ICE FEC supports one or more filter operators per column, based on the data type of the column, identified by the icon in the respective filter field:

- Alphabetic -
- Numeric -
- Date or Date/Time -

The following Filter operators are available on all alphabetic and numeric columns.

none	Starts With; to filter for blank values, use [space]
*[value]	Ends With
[value]	Contains
=	Equal To; to filter for blank values, use =[space]
!=	Not Equal To; to filter for non-blanks, use !=[space]
>	Greater Than
<	Less Than
>=	Greater Than or Equal To
<=	Less Than or Equal To
in[space]	In List; separate values with a comma and no space, such as: in B,AB,C

To add an Alphabetic or Numeric Filter:

1. Enter the desired operator and value into the filter field of the column you wish to filter.
2. The filter will be applied automatically.

To add a Date or Date/Time Filter:

1. Enter the date for which you wish to filter, in format DD-MMM-YYYY only. Date/Time fields may be filtered by the date portion of their value only.

2. The filter will be applied automatically.

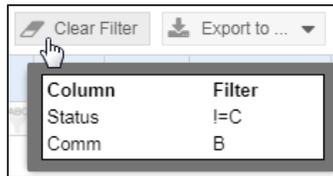
OR

3. Click the calendar icon, and select the desired date from the calendar popup.
4. The selected date will display in the entry field, and the filter will be applied automatically.
Date/Time fields may be filtered by the date portion of their value only.

The filter-field background will be highlighted on any column to which a Filter is applied. Note that a filter for a blank value may be created by entering a space in a filter field, so even a field which appears to be empty may have a filter applied.

Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Tr
<input type="checkbox"/>	in U.A.A.	123		>100	123	
<input type="checkbox"/>	UA				240	04
<input type="checkbox"/>	UA				260	04

When no filters are applied to a grid, its Clear Filter button will be disabled. When filters are applied, the button will be enabled, and a mouse-over tool-tip will list all filters currently applied. This list may include filters against columns which are not in the User's column preferences, but were applied by a pass-through filter from different screen, such as from the ICE FEC Dashboard.



On the Trades screen, notation of "(Filtered)" and a highlighted Clear Filter button are displayed, to further emphasize when the data returned by the Search is being Filtered further.

Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Clrg Acct	Pos Acct	CTI	Clear Filter	Export to ...
123	123	ABC	ABC	ABC	ABC	123	ABC	Multi-Pop	ABC	Multi-Pop	Multi-P	Column	Filter
17	11-Apr-2018	123.22	IFEU	T	May-2019		660169830	XXXACCT		U	O	Trd Px	123

To clear Filters:

1. Manually delete the value from the individual filter field you wish to clear.

OR

2. Click the [Clear Filter] button related to the Data Grid on which you wish to clear all Filter values.

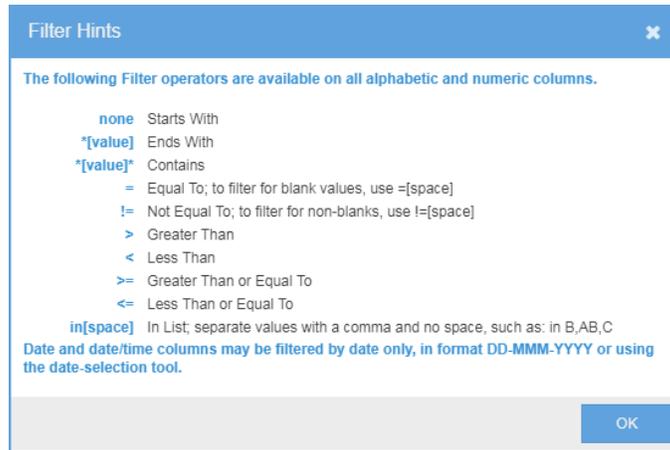


7.1.4.1. FILTER HINTS

Filter Hints are also available in the ICE FEC Interface at any time.

To open Filter Hints:

1. Open any column dropdown menu.
2. Choose *Filter Hints*, to open the following popup.



7.1.5. EXPORT

ICE FEC offers two types of data export: Grid and Background.

7.1.5.1. GRID EXPORT

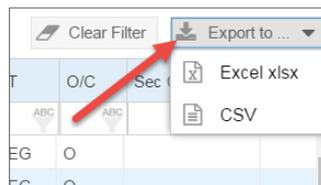
Grid Export will export all rows currently displayed on a specific data grid. The User may limit which data rows to export (by applying Search, and optionally applying Filters to the grid), and the data columns to export (by choosing and/or ordering the Data Grid's columns). The User may also select whether to export in Excel (xlsx) or comma-separated (CSV) format.

This export is limited to the maximum number of rows the User's browser can return to the grid during Search (see *Search*, above, for details).

Note that each Data Grid has its own export function, which will export all the data matching the grid's Filter criteria, including additional data rows which are not currently visible to the User (i.e. off the screen due to scrolling). Any related data in an associated Data Grid must be exported independently.

To Export a Data Grid's records:

1. Select [Export to...] on the Data Grid from which you wish to export.



2. Choose the desired export format. The generated file automatically will be stored to your computer's Downloads folder, for retrieval.

7.1.5.2. BACKGROUND EXPORT

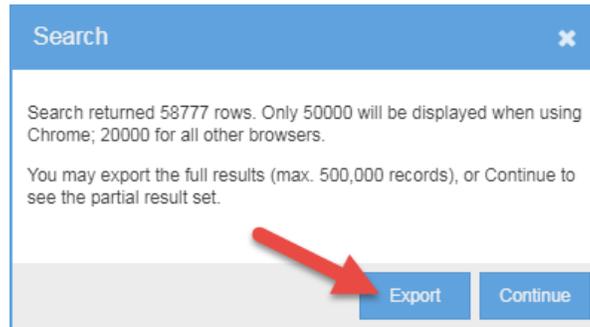
When the User's Search would return more rows than the User's browser can return (see *Search*, above, for details), a Background Export can be initiated.

This export will include all records matching the entered Search criteria, up to 500,000 records. Any Filter values currently entered on the screen's main grid will not be applied.

The resulting file will be in comma-separate (CSV) format, and will include only those columns which are shown on the grid on which the Search was executed, in the order they are displayed.

To initiate a Background Export:

1. Execute a Search which returns more than the maximum number of records displayable by your browser. A warning popup will be displayed.



2. Choose Export. The generated file automatically will be stored to your computer's Downloads folder, for retrieval, and the data grid will update to show the maximum number of rows supported by your browser. You may continue to perform additional actions in the ICE FEC interface while the file is being created.

Note: Export for Clearing Date four or five days in arrears (T-4 or T-5) may be subject to timeout if more than 50,000 records match the Search criteria; including additional Search criteria will shorten the response time.

7.1.6. DATA GRIDS

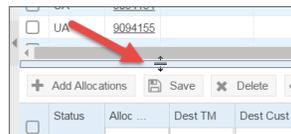
Each Functions Panel includes one or two Data Grids, in which the data matching the screen's Search criteria, and any applied Filter(s), is displayed.

7.1.6.1. GRID RESIZING

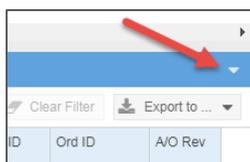
If two grids are displayed, the lower grid may be resized or collapsed/expanded, as needed.

To resize the lower Data Grid:

1. Hover over the top border of the lower grid, then click and drag to manually resize the grid, or double click to collapse it completely.



2. Collapse the lower grid by clicking the collapse arrow at the far right of the grid header.



- If it is already collapsed, expand the lower grid by clicking the expansion arrow in the lower right-hand corner of the screen.



7.1.6.2. ROW SELECTION

Row selection (i.e. checking a row) controls much of the functionality of the Data Grid:

- Where two Data Grids are provided, the second or lower grid may show data related to the row(s) selected in the upper grid, such as the Allocations related to the selected Group.

Groups

Exchange | IFEU | Trading Member | XXX | Clearing Date | 26-Oct-2017 | Search

Re-Open Group | Close Group | Refresh | Count: 1 | Selected Ct: 1 | Selected Qty: 24

Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch
<input checked="" type="checkbox"/>	UDC	REJ	9003396	24	0	24-Oct-2017	120.58	B	IFEU		

Related Allocations

+ Add Allocations | Save | Delete | Reverse | Delete Reversal | Refresh | Rem Qty: 0 | Count: 12 | Selected Ct: 0

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px
<input type="checkbox"/>	2	YYY	YYY8662			O	XXXACCT	9003396	120.58	
<input type="checkbox"/>	2	YYY				O	XXXACCT	9003396	120.58	
<input type="checkbox"/>	2	YYY	44567			O	XXXACCT	9003396	120.58	

- Where the Data Grid provides Action Buttons in its Grid Controls, the following rules apply:
 - An action will be applied only to those records which are selected.
 - At least one eligible row must be selected, or an appropriate alert will display.
 - Any selected row which is not eligible for the action will be skipped.

Related Allocations

+ Add Allocations | Save | Delete | Reverse | Delete Reversal | Refresh | Rem Qty: 5 | Count: 4 | Selected Ct: 1

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px
<input type="checkbox"/>	1	XXX	DV701	H		1	O	XXXACCT	113051	
<input type="checkbox"/>	1	XXX	DV702	H		1	O	XXXACCT	113051	
<input checked="" type="checkbox"/>	5	YYY				O		XXXACCT	113051	
<input type="checkbox"/>	3	YYY	ABD02			O		XXXACCT	113051	

- When a row is edited, or a value is entered on a new row (see *Data Entry and Edit*, below), the row is automatically selected, indicating the next-clicked Action Button will be applied to that row. Manually unselecting a “dirty” row will cause it to be skipped by the requested Action.

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest M
<input type="checkbox"/>							
<input type="checkbox"/>	C	1 XXX	DV701	H		1 O	
<input type="checkbox"/>	C	1 XXX	DV702	H		1 O	
<input checked="" type="checkbox"/>	A	5 YYY	EDITED			O	
<input type="checkbox"/>	A	3 YYY	ABD02			O	
<input checked="" type="checkbox"/>	A	2 YYY	ADDED				
<input type="checkbox"/>		0					

- Data Grids support Select All and Deselect All, by checking and unchecking the check-box at the top of the row-selection column. On some Data Grids, the number of rows allowed for Select All is limited; an alert will appear in the Banner when this limit is surpassed on an applicable screen.

<input checked="" type="checkbox"/>	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	G
<input checked="" type="checkbox"/>	C	1 XXX	DV701	H		1 O			XXXACCT	113051	
<input checked="" type="checkbox"/>	C	1 XXX	DV702	H		1 O			XXXACCT	113051	
<input checked="" type="checkbox"/>	A	5 YYY	EDITED			O			XXXACCT	113051	
<input checked="" type="checkbox"/>	A	3 YYY	ABD02			O			XXXACCT	113051	
<input checked="" type="checkbox"/>	A	2 YYY	ADDED								
<input checked="" type="checkbox"/>		0									

- If a transaction is inactive and is not actionable because its contract is expired, or because of another business state, the entire row will be in grey, italic text. Fields which would be editable if the record was active will be deactivated. The row will be selectable, but any attempted action will bypass that row.

Status	Cl	Pos Acct	...	O/C	Alloc Meth	Claim ID	Link Trd ID	Avg Px Grp
<input type="checkbox"/>								
<input type="checkbox"/>	C	1 TKJP1	U	O		9000286	587107	
<input type="checkbox"/>	C	10 TKJP1	U	2 O		9000307	110054	
<input type="checkbox"/>	C	10 TKJP2	H	2 O		9000311	110202	
<input type="checkbox"/>	C	1 TUP08	U	2 O	G	9000317	110203	
<input type="checkbox"/>	C	1 TUP08	H	2 O	G	9000319	110208	
<input type="checkbox"/>	C	1 TUP08	U	2 O	G	9000356	110171	
<input type="checkbox"/>	C	1 TUP08	U	1 O		9000367	110175	

Additional information regarding Data Grids is provided in the action-specific sections, later in this Interface Guide.

7.1.6.3. GROUPED MODE

Note: This feature currently is supported only on the Trades, Transfers and Claims grids.

To assist Users who want to apply the same action to multiple records which, for example, relate to the same Ord ID or same Link Trd ID, certain grids support grouping records for display purposes if they have the same value in a single available column in the grid.

For example, the User can Filter the Claims grid by a single value (Ord ID in this example), then Select All to see the total quantity and count of Claims with that value in the Grid Controls. A common action can then be applied to all Claims related to this value, if desired.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd
<input checked="" type="checkbox"/>	20	GIV04	H		O			9654357	4377059		64621082		04-M
<input checked="" type="checkbox"/>	10	GIV04	H		O			9654358	4377055		64621082		04-M
<input checked="" type="checkbox"/>	20	GIV01			O			9654359	4377057		64621082		04-M
<input checked="" type="checkbox"/>	20	GIV01			O			9654360	4377054		64621082		04-M
<input checked="" type="checkbox"/>	20	GIV02			O			9654361	4377051		64621082		04-M
<input checked="" type="checkbox"/>	10	CHANGE	H		O			9654362	4377055		64621082		04-M
<input checked="" type="checkbox"/>	20	MODIFY	U		O	G		9654363	4377013		64621082		04-M
<input checked="" type="checkbox"/>	20	CHANGE	H		O			9654364	4377065		64621082		04-M
<input checked="" type="checkbox"/>	20	CHANGE	H		O			9654365	4377068		64621082		04-M
<input checked="" type="checkbox"/>	20	GIV03	H		O			9654366	4377066		64621082		04-M

Alternatively, the User can view the grid's data in Grouped Mode, to organize the Claims by a particular field, and always show total quantity and counts for each different value in that field.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd
Ord ID: 64621067 : [Count: 4 Quantity: 20]													
<input type="checkbox"/>	2	GUP03			O			9654367	4377010		64621067		04-M
<input type="checkbox"/>	3	GUP01			O			9654368	4377010		64621067		04-M
<input type="checkbox"/>	7	GUP02			O			9654369	4377010		64621067		04-M
<input type="checkbox"/>	8	GUP04			O			9654370	4377010		64621067		04-M
Ord ID: 64621082 : [Count: 10 Quantity: 180]													
<input type="checkbox"/>	20	GIV04	H		O			9654357	4377059		64621082		04-M
<input type="checkbox"/>	10	GIV04	H		O			9654358	4377055		64621082		04-M
<input type="checkbox"/>	20	GIV01			O			9654359	4377057		64621082		04-M
<input type="checkbox"/>	20	GIV01			O			9654360	4377054		64621082		04-M
<input type="checkbox"/>	20	GIV02			O			9654361	4377051		64621082		04-M
<input type="checkbox"/>	10	CHANGE	H		O			9654362	4377055		64621082		04-M
<input type="checkbox"/>	20	MODIFY	U		O	G		9654363	4377013		64621082		04-M
<input type="checkbox"/>	20	CHANGE	H		O			9654364	4377065		64621082		04-M

Each Grouped Mode header has its own Select All, which can be used to quickly select and act on only those Claims included in the grouping. Additional Grouped Mode features include:

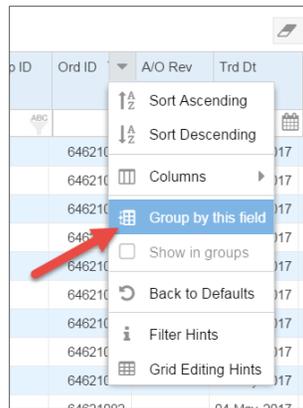
- The grid's available actions can be performed while in Grouped Mode, except where noted.
- Select All may be utilized on multiple groupings at the same time.
- Individual rows within a grouped array may be deselected, and rows outside of an array selected.
- Deselect All is similarly supported at the grouping level.

- Sorting, Filtering and all other Function Panel features are fully supported while in Grouped Mode.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	OIC	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	B/S	Exch	Comm	Maturity
UC	8	GUP04			O			9554370	4377010		64621067		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/> Ord ID: 64621082 [Count: 10 Quantity: 180]																	
<input checked="" type="checkbox"/>	UC	20	GIV04	H		O		9554357	4377059		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	UC	10	GIV04	H		O		9554358	4377055		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	REJ	20	GIV01			O		9554359	4377057		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	REJ	20	GIV01			O		9554360	4377054		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	UC	20	GIV02			O		9554361	4377051		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	C	10	CHANGE	H		O		9554362	4377055		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	C	20	MODIFY	U		O	G	9554363	4377013		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	C	20	CHANGE	H		O		9554364	4377065		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	C	20	CHANGE	H		O		9554365	4377068		64621082		04-May-2017	B	IFEU	T	Oct-2
<input checked="" type="checkbox"/>	UC	20	GIV03	H		O		9554366	4377066		64621082		04-May-2017	B	IFEU	T	Oct-2
<input type="checkbox"/> Ord ID: 64621101 [Count: 3 Quantity: 60]																	

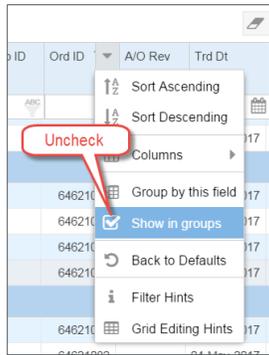
To put the grid into Grouped Mode:

1. Open the column dropdown menu for the column by which you want to group the Claims grid.
2. Choose *Group by this field*, to enter Grouped Mode, grouped by this column.



To turn off Grouped Mode:

1. Open the column dropdown menu for the column by which your Claims screen is currently grouped.
2. Uncheck *Show in groups*, to exit Grouped Mode.



7.1.6.4. DATA ENTRY AND EDIT

Where a Data Grid supports new-row entry or includes modifiable fields, the editable columns will typically be displayed toward the left side of the grid. A User may reorder and/or hide editable columns as normal, to suit his or her workflow.

- Editable fields are bordered on all sides, whereas non-editable fields and/or rows have borders only top and bottom.

Status	Alloc Qty	Dest	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID
<input type="checkbox"/>	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop		
<input type="checkbox"/>		XXX	DV701	H	1	O	XXXACCT	11
<input type="checkbox"/>		XXX	DV702	H	1	O	XXXACCT	11
<input type="checkbox"/>	5	YYY				O	XXXACCT	11
<input type="checkbox"/>	3	YYY	AB002			O	XXXACCT	11

- Fields which are edited, or in which a new value is entered, will be marked by a small “dirty” flag in the upper left-hand corner.

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest M
<input type="checkbox"/>	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-P
<input type="checkbox"/>	1	XXX	DV701	H		1	O
<input type="checkbox"/>	1	XXX	DV702	H		1	O
<input checked="" type="checkbox"/>	5	YYY	EDITED				O
<input type="checkbox"/>	3	YYY	ADDED				O
<input checked="" type="checkbox"/>	2	YYY	ADDED				
<input type="checkbox"/>	0						

- When a row is edited, or a value is entered on a new row, the row is automatically selected (see *Row Selection*, above), indicating the next-clicked Action Button will be applied to that row. Manually unselecting a “dirty” row will cause it to be skipped by the requested Action.

Related Allocations								
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Dest M
	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-P	Multi-P
<input type="checkbox"/>	C	1	XXX	DV701	H	1	O	
<input type="checkbox"/>	C	1	XXX	DV702	H	1	O	
<input checked="" type="checkbox"/>	A	5	YYY	UPDATE			O	
<input type="checkbox"/>	A	3	YYY	CHANGE			O	
<input checked="" type="checkbox"/>		2	YYY	NEW				
<input type="checkbox"/>		0						

7.1.6.4.1. EDITABLE FIELD NAVIGATION

Navigation between editable fields utilizes the following key combinations:

Use the following to navigate *within* an editable field:

- <UpArrow> moves to the beginning of the value within an editable field
- <DownArrow> moves to the end of the value within an editable field
- <LeftArrow> or <RightArrow> moves left or right within an editable field, one character at a time

Use the following to navigate to a different editable field:

- <Tab> moves to the next editable field to the right; if the edited field is the last on that row, will move to the first field on the next editable row
- <Shift+Tab> moves to the next editable field to the left; if the edited field is the first on that row, will move to the last field on the prior editable row
- <Ctrl+any Arrow> moves to the next editable field in the direction of the arrow; if the field is the last editable field in that direction, exits edit mode

7.1.6.4.2. MULTI-ROW ENTRY/EDITS

Two methods are available to quickly apply the same value to multiple editable rows:

To apply the same value to a field on multiple, consecutive rows:

1. Single click on the field you wish to edit, and enter the desired value
2. Use the key combination <Ctrl+Shift+DownArrow> to move to the next editable field below, and copy the value from the field above to the field below

Note: This method is not fully supported in MS Edge.

Related Allocations										
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 0 Count: 7 Selected Ct: 3										
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop			
<input type="checkbox"/>	C	1	XXX	DV701	H	1	O	XXXACCT	113051	
<input type="checkbox"/>	C	1	XXX	DV702	H	1	O	XXXACCT	113051	
<input type="checkbox"/>	A	5	YYY					XXXACCT	113051	
<input type="checkbox"/>	A	3	YYY	ABD02				XXXACCT	113051	
<input checked="" type="checkbox"/>		2		EDIT						
<input checked="" type="checkbox"/>		2		EDIT						
<input checked="" type="checkbox"/>		1		EDIT						

To edit the same field on *all* selected, editable rows (Multi-Populate feature):

1. Select the rows you wish to Multi-Populate; note that Multi-Populate will apply only to selected, editable rows
2. Click in the Multi-Populate field for the first column you wish to edit, and enter the desired value
3. Repeat step 2 for all fields you wish to edit

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
<input type="checkbox"/>			MULTI	H						
<input type="checkbox"/>	C	1	XXX	DV701	H	1	O	XXXACCT	113051	
<input type="checkbox"/>	C	1	XXX	DV702	H	1	O	XXXACCT	113051	
<input checked="" type="checkbox"/>	A	5	YYY			O		XXXACCT	113051	
<input type="checkbox"/>	A	3	YYY	ABD02		O		XXXACCT	113051	
<input checked="" type="checkbox"/>		2								
<input checked="" type="checkbox"/>		2								
<input checked="" type="checkbox"/>		1								
<input type="checkbox"/>		0								

4. Hit the <Enter> key to copy the value(s) to all selected, editable rows

Important! You must hit <Enter> to copy the Multi-Populate value(s) to the selected rows, before clicking [Save], or your desired changes **will not be applied**.

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
<input type="checkbox"/>			MULTI	H					
<input type="checkbox"/>	C	1	XXX	DV701	H	1	O	XXXACCT	113051
<input type="checkbox"/>	C	1	XXX	DV702	H	1	O	XXXACCT	113051
<input checked="" type="checkbox"/>	A	5	YYY	MULTI	H	O		XXXACCT	113051
<input type="checkbox"/>	A	3	YYY	ABD02		O		XXXACCT	113051
<input checked="" type="checkbox"/>		2		MULTI	H				
<input checked="" type="checkbox"/>		2		MULTI	H				
<input checked="" type="checkbox"/>		1		MULTI	H				
<input type="checkbox"/>		0							

5. Continue making any other edits, as needed, before saving all your changes; see screen-specific instructions for details.

7.1.6.5. GRID EDITING HINTS

Grid Editing Hints, with navigation shortcuts and quick instructions for multi-row entry/edits, are also available in the ICE FEC Interface at any time.

To open Grid Editing Hints:

1. Open any column dropdown menu.
2. Choose *Grid Editing Hints*, to open the following popup.

Grid Editing Hints

To edit an editable field:
Click into the field or hit **<Enter>** while focus is on an editable field; hit **<Enter>** again to exit edit mode.

To navigate among editable fields:

- <UpArrow>** Moves to the beginning of the value within an editable field.
- <DownArrow>** Moves to the end of the value within an editable field.
- <LeftArrow>** Moves left within an editable field, one character at a time.
- <RightArrow>** Moves right within an editable field, one character at a time.
- <Ctrl+any Arrow>** Moves to the next editable field in the direction of the arrow; if the field is the last editable field in that direction, exits edit mode.
- <Tab>** Moves to the next editable field to the right; if the edited field is the last on that row, moves to the first field on the next editable row.
- <Shift+Tab>** Moves to the next editable field to the left; if the edited field is the first on that row, moves to the last field on the prior editable row.

To apply the same value to a field on multiple, consecutive rows:
<Ctrl+Shift+DownArrow> Move to the next editable field below, and copy the value from the field above to the field below.

To edit the same field on all selected, editable rows (Multi-Populate feature):

- Select the rows you wish to Multi-Populate; note that Multi-Populate will apply only to selected, editable rows.
- Click in the Multi-Populate field for the first column you wish to edit, and enter the desired value.
- Repeat step 2 for all fields you wish to edit.
- Hit the **<Enter>** key to populate the entered value(s) to all selected, editable rows.

To save entered new rows and/or edits:
<Ctrl+Enter> while in edit mode, i.e. in an editable field.

OK

7.1.7. VIEWING ROW DETAILS

As an alternative to changing column selections (refer to *Column Controls*, above), a User may view the full list of field values for any specific record, by double clicking in a non-editable field on the row in the data grid. Fields are listed in alphabetical order by field name.

The screenshot shows a 'Claims' data grid with a details popup window. The popup window is titled 'Claim ID: 9000837' and contains the following data:

Name	Value
A/O Rev	
Alloc Meth	
Avg Px Grp ID	
B/S	B
Brkr Comp ID	2345
Cab	
CI App Sub Type	ISV1
CI App Type	WEBICE
Claim ID	9000837
Claim Px	122.22
Claim Qty	2
Claim TS	24-Jan-2018 20:30:15 GMT
Clrg Acct	
Comm	FNO
CTI	2
Cust Acct	ABC03
Deal ID	779696923

The popup window also includes an 'OK' button at the bottom right.

7.2. TRADE MANAGEMENT

The Trades screen supports management of trades executed on an ICE Exchange, as well as correction trades entered directly into ICE Clearing, trade adjustments and previously cleared position transfers.

The screenshot shows the Trades screen interface. At the top, there are filters for Exchange (All Exchs), Trading Member (XXX), Clearing Date (12-Apr-2018), and Trd Px (= Cust Acct, Pos Acct, Unresolved). Below the filters are search and filter options, including a search bar and a 'Returned 983 of 983 records' indicator. The main area contains a table with columns: Trd ID, TM, B/S, Trd Qty, Trd Dt, Trd Px, Exch, Comm, Maturity, P/C, Strike, TT, Orig Ord ID, Cust Acct, Pos Acct, O/C, Alloc Meth, Avg Px Grp ID, Dest TM, and Dest Cust. The table lists several trade records, with some highlighted in yellow. Below the main table is an 'Edit' sub-grid with columns: Cust Acct, Pos Acct, CTI, C3 Trdr, O/C, Rate ID, Trdr Memo, User Memo, Alloc Meth, Avg Px Grp ID, Dest TM, Dest Cust Acct, Dest Pos Acct, Dest CTI, Dest O/C, and Dest Memo. The edit sub-grid shows a single record with values like 44789, [multi], O, K, HQ-LT-VMAN-02, and G.

The screen is divided into two Data Grids:

1. **Trades** - The top grid lists all trades, including trade split legs, which match the Search and Filter criteria.

This screenshot shows the Trades screen with a filtered view. The filters at the top are the same as in the previous screenshot. The main table now shows a filtered list of trade records, with a 'Count: 75 (Filtered)' and 'Selected Ct: 3' indicator. The table columns are the same as in the previous screenshot. The table lists several trade records, with some highlighted in yellow. Below the main table is an 'Edit' sub-grid with columns: Cust Acct, Pos Acct, CTI, C3 Trdr, O/C, Rate ID, Trdr Memo, User Memo, Alloc Meth, Avg Px Grp ID, Dest TM, Dest Cust Acct, Dest Pos Acct, Dest CTI, Dest O/C, and Dest Memo. The edit sub-grid shows a single record with values like 44789, [multi], O, K, HQ-LT-VMAN-02, and G.

Grid Controls for the Trades grid include the following action buttons:

- **Save** - Saves updates or new records entered on the Trades grid, or any of its sub-grids
- **Edit** - Opens a sub-grid, in which to enter update values for all selected Trades

- **Split** - Opens a sub-grid, in which to enter trade-split instructions for a single selected Trade
- **Adjust** - [prior-day views only] Opens a sub-grid, in which to enter adjustment details for a trade cleared on a prior clearing date
- **Trade Summary** - Opens a sub-grid, displaying summary statistics regarding the Trades grid's displayed records

It also includes the following summarization details:

- **Count** - The number of Groups matching the Search and Filter criteria; on Trades, a "(Filtered)" indicator will display when filters are applied to the grid
- **Selected Ct** - The number of Groups selected in the grid
- **Selected B/S Qty** - The total quantity of buy and sell trades, respectively, selected in the grid (i.e. sum of their Trd Qty)
- **Selected Avg Price** - The weighted-average price, calculated for the selected trades

2. The content of the lower grid will vary, based on the function the User is performing.

- **Edit** - This sub-grid will contain a single row containing all fields which are eligible to be modified on a trade; the values entered in this row will be applied to all eligible trades selected in the upper grid

Grid Controls for the Edit grid include the following action buttons:

- **Discard** - Discards any update values entered by the User but not Saved

Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	Rate ID	Trdr Memo	User Memo	Alloc Meth	Avg Px Grp ID	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo
79101	[multi]	2		D	E	HQ-LT-VMAN-02		[multi]		[multi]	[multi]			[multi]	

- **Split** - This sub-grid will display in either of two scenarios:
 - the User selected a single trade in the Trades grid and clicked the Split button, in order to enter new trade-split detail; or
 - the User selected one or more rows in the Trades grid which were previously split (i.e. selected the original/parent trade), to view the existing split legs

Grid Controls for the Split grid include the following action buttons:

- **Discard** - Discards any new Splits entered by the User but not Saved

The Split grid also includes the following summarization details:

- **Rem Qty** - The total unsplit quantity of all Trades selected in the upper grid (i.e. sum of their Trd Qty, less any Trd Qty entered in the Splits grid)
- **Count** - The number of Splits matching the Search and Filter criteria
- **Selected Ct** - The number of Splits selected in the grid

Status	Trd ID	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Clrg Acct	Pos Acct	O/C	User Memo	Alt
		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop						

- **Adjust** - [prior-day views only] The Adjust sub-grid will allow a User to enter one or multiple adjustment trades, to be created based on and to offset a prior-day trade in order to correct an initial misclear

Grid Controls for the Adjust grid include the following action buttons:

- **Discard** - Discards any new Adjustments entered by the User but not Saved

The Split grid also includes the following summarization details:

- **Rem Qty** - The total unadjusted quantity of the Trades selected in the upper grid (i.e. sum of their Trd Qty, less any Trd Qty entered in the Adjust grid)
- **Count** - The number of Adjustment rows entered in the grid
- **Selected Ct** - The number of adjustments selected in the Adjust grid

User Memo	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo
Multi-Pop	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop
	0						

- **Trade Summary** - Trade Summary shows the total buy quantity and total sell quantity for all trades in the Trades grid, as summarized by the values in the displayed columns; this grid is for reference only, and does not support any entry or update functions

Grid Controls for the Edit grid include the following action buttons:

- **Close** - Collapses the Trade Summary sub-grid

Buy Qty	Sell Qty	TM	Comm	Maturity	P/C	Strike
0	56,485	YYY	B	Dec-2018		
0	37,642	YYY	B	Jan-2019		
0	18,883	YYY	B	Jan-2019	C	65
56,485	0	XXX	B	Dec-2018		
0	37,627	YYY	T	Feb-2018		

7.2.1. EDITING A TRADE

A Trade which is not split (Status=MAS), cancelled (Status=CNL) or expired (Expired=Y), may be modified. Two methods are available.

7.2.1.1. IN-LINE TRADE EDITS

Trades may be edited by changing values in-line on each row. One or multiple Trades may be modified in this manner, and Saved in a single action.

To edit Trade(s) in-line:

1. In the Trades grid, modify value(s) on the Trade(s) you wish to edit; editing a row will automatically select it.
 - Cust Acct, Pos Acct, CTI (where applicable) and O/C are required
 - Alloc Meth, Rate ID, Trdr Memo and User Memo are optional
 - certain Destination fields may be required based on the Alloc Meth value

Note: When Clearing Date is set to a prior business date, only Alloc Meth may be changed. The following additional rules apply.

- Alloc Meth may be changed from “G” (give-up) only if none of the trade’s original quantity was allocated and claimed on a prior day
- Alloc Meth may be changed from “A” (average price) only if the related Average Price Group Status is “IP” (in progress); if the related AP Group is “closed”, then the user must reopen the AP Group before unmarking the Trade; see *Re-Opening an Average Price Group* for instructions and additional rules

Status	Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Avg Px Grp ID	Dest TM	Dest
<input checked="" type="checkbox"/>	MAA 142751	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	H	2	O	G		XXX	
<input checked="" type="checkbox"/>	MAA 142752	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	H	2	O	G		XXX	
<input type="checkbox"/>	MAA 142753	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	O	G			
<input type="checkbox"/>	MAA 142754	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	O	G			
<input type="checkbox"/>	MAA 142755	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	O	A	AER01		
<input type="checkbox"/>	MAA 142756	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	O	A	AER01		
<input type="checkbox"/>	MAA 142757	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	O				
<input type="checkbox"/>	MAA 142758	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	O				
<input checked="" type="checkbox"/>	MAA 142762	YYY	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	3XZ45	H	2	O				
<input type="checkbox"/>	MAA 142765	YYY	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	555XXX02	U	2	O				

2. Repeat until all Trades are updated, as necessary.
3. Click [Save], or hit <Ctrl+Enter> to save the edited Trade(s). The grid will refresh to show all updated values (Status=MAA).

7.2.1.2. BULK TRADE EDITS

Multiple Trades to which the same change needs to be made can be edited by selecting the Trades, and entering the modifications on a single entry row. One or multiple Trades may be modified in this manner, and Saved in a single action.

To edit Trade(s) in bulk:

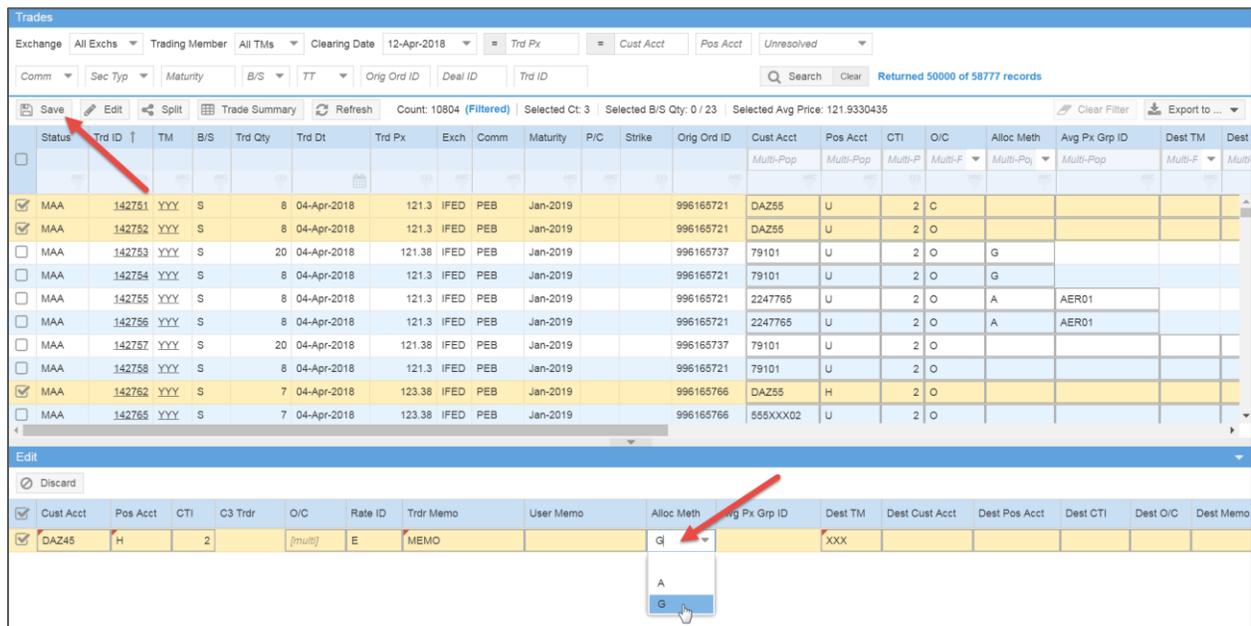
1. In the Trades grid, select the Trade(s) you wish to update.
2. In the Trades grid, click [Edit]; a single entry row will be displayed in the lower Edit grid.
 - If a field is empty or blank on all selected Trades, then the related Edit grid field will also be empty/blank
 - If all selected Trades have the same non-blank value in a field, then the related Edit grid field will show the common value
 - If any of the selected Trades have differing values in a field, then the related Edit grid field will show the common value “[multi]”
3. Modify the desired field(s) as necessary, to be applied to all selected trades; if you do not modify a field’s displayed value, then each Trade will retain its current value in that field.
 - Cust Acct, Pos Acct, CTI (where applicable) and O/C may not be blanked
 - Alloc Meth, Rate ID, Trdr Memo and User Memo are optional
 - Certain Destination fields may be required based on the Alloc Meth value

To remove an existing value from a field, enter a space in that field; the value “[remove]” will display when you exit the field to differentiate it from a field which already has no value; any related fields will also update to “[remove]”.

To revert an edited field to its original value or to “[multi]”, delete the new value from the field; note that related fields will *not* be reverted.

Note: When Clearing Date is set to a prior business date, only Alloc Meth may be changed. The following additional rules apply.

- Alloc Meth may be changed from “G” (give-up) only if none of the trade’s original quantity was allocated and claimed on a prior day
- Alloc Meth may be changed from “A” (average price) only if the related Average Price Group Status is “IP” (in progress); if the related AP Group is “closed”, then the user must reopen the AP Group before unmarking the Trade; see *Re-Opening an Average Price Group* for instructions and additional rules



4. Click [Save], or hit <Ctrl+Enter> to apply the changes to the selected Trade(s). The Edit grid will collapse, and the Trades grid will refresh to show all updated values (Status=MAA).

7.2.2. SPLITTING A TRADE

A Trade may be Split if it was not previously split (Status=MAS), cancelled (Status=CNL), expired (Expired=Y), or marked for give-up or averaging pricing (Alloc Meth=G or A).

Note: This function is not available when Clearing Date is set to a prior business date.

To Split a Trade:

1. In the Trades grid, select the Trade you wish to Split; only one Trade may be Split at a time.

- In the Trades grid, click [Split]; a blank entry row will be displayed in the lower Split grid, with Trd Qty defaulted to zero (0).

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The screenshot displays the 'Trades' and 'Split' sections of the ICE FEC interface. The 'Trades' section includes a toolbar with 'Save', 'Edit', 'Split', 'Trade Summary', and 'Refresh' buttons. Below the toolbar is a table of trades with columns: Status, Trd ID, TM, S, Trd Qty, Trd Dt, Trd Px, Exch, Comm, Maturity, P/C, Strike, Orig Ord ID, Cust Acct, Pos Acct, and CTI. A red arrow points to the 'Split' button. The 'Split' section includes a toolbar with 'Discard' and 'Rem Qty: 20' buttons. Below the toolbar is a table with columns: Status, Trd ID, Trd Qty, Dest TM, Dest Cust Acct, Dest Pos Acct, Dest CTI, Dest C3 Trdr, Dest O/C, Dest Memo, Cust Acct, and Ctrg Acct. A red arrow points to the '0' in the Trd Qty column of the first row in the Split grid.

- Enter the values for each Split you wish to create.
 - Trd Qty (non-zero) and Dest TM are required
 - When the selected Trade's TM=Split Dest TM, Dest Cust Acct and Dest Pos Acct are required
 - When Dest CTI=3 (where applicable), Dest C3 Trader is required; otherwise, Dest CTI, Dest C3 Trader, Dest O/C and Dest Memo may be left blank

Editing the row will automatically select it. Notice that a new entry row is added below, when you begin populating a new row. Repeat until all Splits are entered.

(continues on next page)

Trades																
Exchange		All Exchs	Trading Member		XXX	Clearing Date		12-Apr-2018	=	Trd Px	=	Cust Acct	Pos Acct	Unresolved		
Comm	Sec Typ	Maturity		B/S	TT	Orig Ord ID	Deal ID	Trd ID		Search		Clear	Return			
<input type="button" value="Save"/> <input type="button" value="Edit"/> <input type="button" value="Split"/> <input type="button" value="Trade Summary"/> <input type="button" value="Refresh"/> Count: 14120 Selected Ct: 1 Selected B/S Qty: 0 / 20 Selected Avg Price: 121.38																
Status	Trd ID ↑	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI	
<input type="checkbox"/>	ABC	123	ABC	ABC	123								Multi-Pop	Multi-Pop	Multi-Pop	
<input type="checkbox"/>	MAA	142751	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	DAZ45	H		
<input type="checkbox"/>	MAA	142752	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	DAZ45	H		
<input type="checkbox"/>	MAA	142753	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019		996165737	79101	U		
<input type="checkbox"/>	MAA	142754	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	79101	U		
<input type="checkbox"/>	MAA	142755	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	2247765	U		
<input type="checkbox"/>	MAA	142756	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	2247765	U		
<input checked="" type="checkbox"/>	MAA	142757	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019		996165737	79101	U		
<input type="checkbox"/>	MAA	142758	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019		996165721	79101	U		
<input type="checkbox"/>	MAA	142759	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019		996165737	79101	H		

Split												
<input checked="" type="button" value="Discard"/> Rem Qty: 0 Count: 3 Selected Ct: 3												
Status	Trd ID	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Cirg Acct	
<input type="checkbox"/>	ABC	123	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop		
<input checked="" type="checkbox"/>		10	YYY	79101	H							
<input checked="" type="checkbox"/>		3	XXX									
<input checked="" type="checkbox"/>		7	YYY	DAZ45	H							
<input type="checkbox"/>		0										

- Click [Save], or hit <Ctrl+Enter> to save the Split(s). The Split grid will collapse, and the Trades grid will refresh. The original Trade which was split will remain in the grid, but will be disabled and will update to Status=MAS.

The Split legs which were created will be displayed in the Trades grid (Status=MAA), with Orig Trd ID populated with the Trd ID of the original Trade. They will be editable in the grid, according to standard Trade-edit rules.

Alternatively, the Split legs can be viewed by reselecting the original Trade, and manually re-expanding the Split grid. The legs will not be editable in the Split grid, but their detail will be displayed.

(continues on next page)

The screenshot shows the 'Trades' application interface. At the top, there are filters for Exchange, Trading Member, Clearing Date, and other parameters. Below the filters is a grid of trade data with columns for Status, Trd ID, Orig Trade ID, TM, B/S, Trd Qty, Trd Dt, Trd Px, Exch, Comm, Maturity, P/C, Strike, Orig Ord ID, Cust Acct, Pos Acct, CTI, O/C, and Alloc Meth. A red box highlights a row with Trd ID 142757 and another row with Trd ID 150202. A callout 'Editable' points to the 'Cust Acct' field in the row with Trd ID 150202. Below the main grid is a 'Split' view with columns for Status, Trd ID, Trd Qty, Dest TM, Dest Cust Acct, Dest Pos Acct, Dest CTI, Dest C3 Trdr, Dest O/C, Dest Memo, Cust Acct, Crg Acct, Pos Acct, O/C, and User Memo. A red box highlights a row in the split view with Trd ID 150203 and Trd Qty 7. A callout 'Display only' points to the 'Dest TM' field in this row.

7.2.3. ADJUSTING TO A SINGLE DESTINATION

A Trade which was cleared on a prior business date may be adjusted to correct clearing errors. It will be eligible for adjustment only if it was not previously adjusted (Alloc Meth=J), marked for give-up or averaging pricing (Alloc Meth=G or A), cancelled (Status=CNL), or expired (Expired=Y). In addition, if the Trade is a previously cleared transfer, only the receiving side of the transfer (Txfr Fm/To=To) may be adjusted.

More than one Trade may be adjusted at once, provided the User adjusts the full quantity of each Trade to the same destination Member. Restated, the User may adjust several trades at the same time, and the full Trd Qty of each will be adjusted to the same Dest TM.

Note: Alternatively, a single Trade may be adjusted to more than one destination. See *Adjusting to Multiple Destinations*, below.

Note: This function is available only when Clearing Date is set to a prior business date.

To adjust more than one Trade to a single destination:

1. In the Trades grid, with Clearing Date Search applied for a prior clearing date, select the Trades you wish to adjust.
2. In the Trades grid, click [Adjust]; a blank entry row will be displayed in the lower Adjust grid, with Trd Qty defaulted to zero (0). Notice that the Trd Qty field is disabled, indicating the full quantity of each selected Trade will be adjusted.

Trades

Exchange: All Exchs | Trading Member: XXX | Clearing Date: 12-Apr-2018 | Trd Px | Cust Acct | Pos Acct | Unresolved

Comm | Sec Typ | Maturity | B/S | TT | Orig Ord ID | Deal ID | Trd ID | Search | Clear | Returned 50000 of 58777 records

Save | Edit | Adjust | Trade Summary | Refresh | Count: 14595 (Filtered) | Selected Ct: 2 | Selected B/S Qty: 34 / 0 | Selected Avg Price: 123.22

Status	Trd ID ↑	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Avg Px
<input checked="" type="checkbox"/>	MAA 136051	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274299	TEST9	H	O			
<input type="checkbox"/>	MAA 136052	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274299	TEST9	H	O	G		
<input checked="" type="checkbox"/>	MAA 136053	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274315	TEST8	H	O			
<input type="checkbox"/>	MAA 136054	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274315	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136055	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136056	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136057	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	A	APG01	

Adjust

Discard | Rem Qty: 34 | Count: 0 | Selected Ct: 0

User Memo	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo
Multi-Pop	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop

3. Enter the Dest TM (required), and any additional destination detail you wish.

Trades

Exchange: All Exchs | Trading Member: XXX | Clearing Date: 12-Apr-2018 | Trd Px | Cust Acct | Pos Acct | Unresolved

Comm | Sec Typ | Maturity | B/S | TT | Orig Ord ID | Deal ID | Trd ID | Search | Clear | Returned 50000 of 58777 records

Save | Edit | Adjust | Trade Summary | Refresh | Count: 14595 (Filtered) | Selected Ct: 2 | Selected B/S Qty: 34 / 0 | Selected Avg Price: 123.22

Status	Trd ID ↑	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Avg Px
<input checked="" type="checkbox"/>	MAA 136051	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274299	TEST9	H	O			
<input type="checkbox"/>	MAA 136052	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274299	TEST9	H	O	G		
<input checked="" type="checkbox"/>	MAA 136053	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274315	TEST8	H	O			
<input type="checkbox"/>	MAA 136054	XXX	B	17	03-Apr-2018	123.22	IFEU	B	Dec-2018			584274315	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136055	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136056	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	G		
<input type="checkbox"/>	MAA 136057	XXX	B	14	03-Apr-2018	121.34	IFEU	B	Dec-2018			584274327	TEST8	H	O	A	AP	

Adjust

Discard | Rem Qty: 34 | Count: 0 | Selected Ct: 1

User Memo	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo
Multi-Pop	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop
		YYY	YYY46690				

4. Click [Save], or hit <Ctrl+Enter> to save the adjustment(s). The Adjust grid will collapse, and the Trades grid will refresh. The Trades which were selected for adjustment will remain in the Trades grid, but will be disabled and will update to show Alloc Meth=J. The new adjustments themselves will appear on the Transfers screen with Txfr Typ=ADJ, and each will reference its related original trade in the Orig Trd ID field (see

5. *Transfer Management*, below).

7.2.4. ADJUSTING TO MULTIPLE DESTINATIONS

A Trade which was cleared on a prior business date may be Adjusted to correct clearing errors. It will be eligible for adjustment only if it was not previously adjusted (Alloc Meth=J), marked for give-up or averaging pricing (Alloc Meth=G or A), cancelled (Status=CNL), expired (Expired=Y). In addition, if the Trade is a previously cleared transfer, it must be the receiving side of the transfer (Txfr Fm/To=To).

To adjust a Trade to more than one destination Member, or to adjust the Trade among different accounts at the same destination Member, the User must adjust the individual Trade, by itself. A single adjustment may also be added for a Trade using this method.

Note: Alternatively, Multiple Trades may be adjusted in a single action to one destination. See *Adjusting to a Single Destination*, above.

Note: This function is available only when Clearing Date is set to a prior business date.

To adjust an individual Trade to one or more destination(s):

1. In the Trades grid, with Clearing Date Search applied for a prior clearing date, select the Trade you wish to adjust.
2. In the Trades grid, click [Adjust]; a blank entry row will be displayed in the lower Adjust grid, with Trd Qty defaulted to zero (0).

3. Enter the Trd Qty and Dest TM (both required), and any additional destination detail you wish. Notice that a new entry row is added below, when you begin populating a row.

Also note that the User Memo (optional) field is editable only on the first row; any entered value will be applied to the “From” side of all adjustments being created. The Dest Memo (optional) is editable on each row individually, and will be applied to the “To” side of the respective adjustment.

4. Repeat until all Adjustments are entered.

The screenshot displays the 'Trades' and 'Adjust' sections of the ICE interface. The 'Trades' section includes a header with filters for Exchange, Trading Member, Clearing Date, Trd Px, Cust Acct, Pos Acct, and Unresolved. Below this is a table of trades with columns: Status, Trd ID, TM, B/S, Trd Qty, Trd Dt, Trd Px, Exch, Comm, Maturity, P/C, Strike, Orig Ord ID, Cust Acct, Pos Acct, CTI, O/C, and Alloc Meth. The 'Adjust' section has a header with 'Discard', 'Rem Qty: 0', and 'Count: 2 | Selected Ct: 2'. It contains a table with columns: User Memo, Trd ID, Dest TM, Dest Cust Acct, Dest Pos Acct, Dest CTI, Dest O/C, and Dest Memo. Red arrows highlight the 'Save' button in the Trades section and the 'MISCLEAR' entries in the Adjust section.

5. Click [Save], or hit <Ctrl+Enter> to save the adjustment(s). The Adjust grid will collapse, and the Trades grid will refresh. The Trade which was selected for adjustment will remain in the Trades grid, but will be disabled and will update to show Alloc Meth=J. The new adjustments themselves will appear on the Transfers screen with Txfr Typ=ADJ, and each will reference the related original trade in the Orig Trd ID field (see

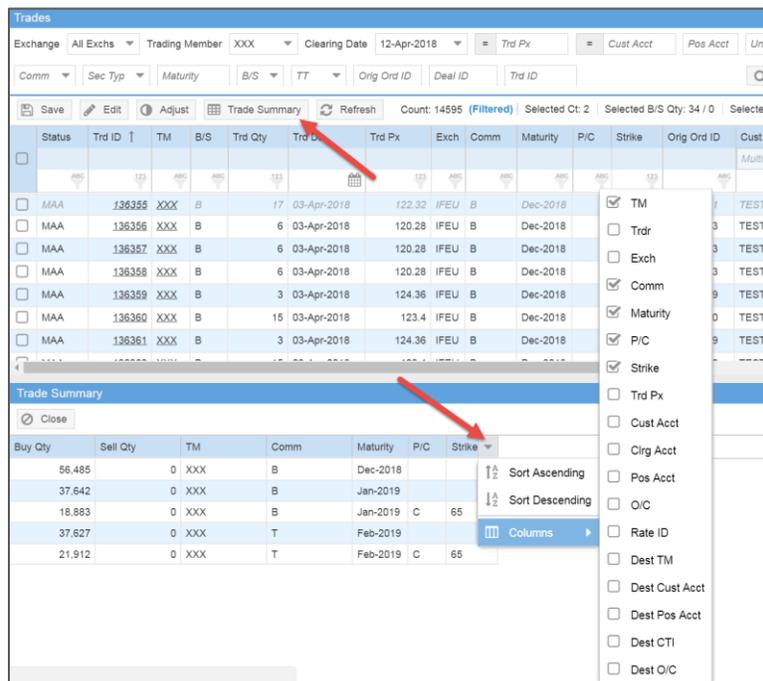
6. *Transfer Management*, below).

7.2.5. TRADE SUMMARY

The Trade Summary grid will display a summarized view of Trades which have the same value across a selection of fields, and the total quantity of buys and sells in each summarization.

To display the Trade Summary detail:

1. In the Trades grid, click [Trade Summary]; the Trade Summary grid will open in the lower portion of the screen.
2. By default the Buy Qty and Sell Qty columns will display, showing the total number of buys and sells across all matching the Search and Filter criteria applied to the Trades grid.
3. Add columns to the grid to summarize by a more granular selection of field values (see *Column Controls*, above).



The Buy and Sell Qty will automatically update as you add or remove columns. Similarly, the quantities will update as Trades grid Filters are changed, or when a new Search or Refresh is applied.

The data displayed on the Trade Summary grid may be exported for reference (see *Grid Export*, above).

7.2.6. FINDING A RELATED GROUP

If a Trade is marked for give-up or for average pricing, the User may use the “Go To Group” feature, to automatically view Group to which the Trade was assigned. This feature is available for both current and prior-day Trades, with some limitations, as described below.

To see a Trade’s related Group:

1. In the Trades grid, locate the Trade for which you wish to see the related Group. The Trade must contain Alloc Meth=G, or Alloc Meth=A and a non-blank Avg Px Grp ID.
2. Using the mouse, right click on the Trade row, then left click on the “Go To Group” option.

Status	Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Avg Px Grp ID
MAA	142751	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019	=	=	996165721	DAZ45	H	2	O	G	
MAA	142752	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019	=	=	996165721	DAZ45	H	2	O	G	
MAA	142753	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019	=	=	79101	79101	U	2	O	G	
MAA	142754	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019	=	=	996165721	79101	U	2	O	G	

3. The Groups screen will open automatically, with Search and Filters applied in order to display the related Group. The Trade’s Trd ID will also be applied as a Link Trd ID Filter in the Related Allocations grid, in order to show allocations which are specifically associated to the Trade.

Note: When using “Go To Group” from a prior-day Trades view, the Clearing Date Search on the Groups screen will be set to the same date. However, if the Trade’s related Group was not fully allocated and claimed on that date, the Group and/or the Trade’s linked allocations may not be displayed. This is because the unclaimed portion of the Group will have been rolled over to a later clearing date during evening processing.

Status	Sub-Status	Grp ID	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	B/S	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	TM
UDC		9004141	121.3	16	0	04-Apr-2018	121.3	S	IFED	PEB	Jan-2019	=	=	996165721	DAZ45	YYY

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link Trd ID	Orig Ord...	A/O Rev
A	3	XXX				O		DAZ45	9004141	121.3	9004142	142752	996165721	
C	5	YYY	76621	H		O		DAZ45	9004141	121.3	9004150	142752	996165721	

4. If the Group is not displayed, or if no Related Allocations are displayed, change the Clearing Date Search value to the next-most-recent date, and click [Search]. Repeat this until the Group and linked allocations are displayed. If the Group is displayed on the current- or next-clearing-date view, but no Related Allocations are shown, then the Trade is not yet allocated.

7.2.7. TRADE ERRORS

While certain invalid actions are prevented by the ICE FEC interface itself, others are allowed but may fail to be processed for one reason or another.

In the latter case, when a requested action on a Trade cannot be completed by ICE FEC, the User will be alerted in the Trades grid.

7.2.7.1. ERRORS ON IN-LINE TRADE EDITS

When the User is acting on a Trade or existing Split in the Trades grid, the requested action will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Trades screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Trades grid on each existing Trade or Split which failed. The User can mouse over the indicator to view the row's error reason.
3. Any actioned Trade or Split for which there are no errors will be processed successfully.
4. The Trades grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, five Trades are edited and selected, below. Three have a valid Position Account, while two are invalid (Trade IDs 161155 and 161157).

Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Clrg Acct	Pos Acct	CTI
161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXX12256		Z	
161156	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639		H	
161157	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXX12256		Z	
161158	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639		H	
161159	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX56639		H	

After Save, Trade IDs 161155 and 161157 will each display an error indicator and reason, as pictured below, while the remaining Trades will be deselected and reflect the expected update, signifying their Save action was successful.

Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Clrg Acct	Pos Acct	CTI
161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXX12256		Z	
161156	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639		H	
161157	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXX12256		Z	
161158	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639		H	
161159	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX56639		H	

7.2.7.2. ERRORS ON BULK TRADE EDITS

When the User is updating Trades using the bulk trade Edit function, the requested update will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Trades screen, indicating the number of Trades which failed.
2. An error indicator (!) will display at the left side of the Trades grid on the trade for which Edit failed. The User can mouse over the indicator to view the row's error reason.
3. The entry row in the Edit grid will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Trades grid will scroll, if necessary, to display the row which failed; additional errored rows may be off the screen and require scroll to view.

For example, four Trades are selected, below, with the Edit sub-grid open and populated with a new Customer Account and Position Account to be applied to all four. Note that Trade ID 161157 is marked for give-up and has been claimed by the take-up firm; thus the trade update will fail.

The screenshot displays the 'Trades' application interface. At the top, there are filters for Exchange, Trading Member, Clearing Date, Trd Px, Cust Acct, and Pos Acct. Below these are search and filter options. The main area is a table of trades with columns: Trd ID, TM, B/S, Trd Qty, Trd Dt, Trd Px, Exch, Comm, Maturity, PIC, Strike, Orig Ord ID, Cust Acct, Clrg Acct, Pos Acct, and CTI. Trade ID 161157 is highlighted in yellow and has an error indicator (!) in the left margin. Below the trades table is an 'Edit' sub-grid with a 'Discard' button and fields for Cust Acct, Pos Acct, CTI, C3 Trdr, O/C, Rate ID, Trdr Memo, User Memo, Alloc Meth, Avg Px, Grp ID, Dest TM, and Dest Cust Acct. The 'Cust Acct' field is populated with 'XXX44498' and 'H'.

After Save, Trade ID 161157 displays an error indicator and reason, as pictured below, while the remaining Trades are deselected and reflect the expected update, signifying their Save action was successful. The Edit grid row remains selected and in an edited state ("dirty"), and will need to be resaved after the user corrects the noted error, or Discards the change.

Trades																	
Exchange		All Exchs	Trading Member		All TMs	Clearing Date		12-Apr-2018	=	Trd Px	=	Cust Acct	Pos Acct	Unresolved			
Comm	Sec Typ	Maturity		B/S	TT	Orig Ord ID	Deal ID	Trd ID		Search		Clear	Return				
Save	Edit	Split	Correction Trade	Trade Summary		Refresh		Count: 1682		Selected Ct: 1		Selected B/S Qty: 17 / 0		Selected Avg Price: 123.22			
Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Clrg Acct	Pos Acct	CTI		
<input type="checkbox"/>	161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019		172185021	XXX44488		H			
<input type="checkbox"/>	161156	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639	H			
<input checked="" type="checkbox"/>	161157	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019		172185021	XXXACCT		U			
<input type="checkbox"/>					04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639	H			
<input type="checkbox"/>					04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX56639	H			
<input type="checkbox"/>	161160	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172214018	XXX44488	H			
<input type="checkbox"/>	161161	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX44488	H			
<input type="checkbox"/>	161162	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXXACCT	U			
<input type="checkbox"/>	161163	XXX	B	14	04-Apr-2018	122.38	IFEU	B	Jan-2019	C	65	172214046	XXXACCT	U			
<input type="checkbox"/>	161164	XXX	B	8	04-Apr-2018	121.3	IFEU	B	Jan-2019		172214068	XXXACCT		U			

1005-group action not allowed

Edit													
Discard													
✓	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	Rate ID	Trdr Memo	User Memo	Alloc Meth	Avg Px Grp ID	Dest TM	Dest Cust Acct	Dest Pos
✓	XXX44488	H			O	K	HQ-LT-VMAN-02		[multi]		[multi]	[multi]	[multi]

7.2.7.3. ERRORS ON NEW TRADE SPLITS

When the User is creating new Trade Splits, if *any* requested Split fails to be created against the selected Trade, then *no* new Splits will be created for that Trade.

1. A temporary alert will appear at the top of the Trades screen, indicating the action failed.
2. An error indicator (!) will display at the left side of the Trades grid on the Trade for which Split failed. The User can mouse over the indicator to view the row's error reason.
3. Each row in the Splits grid will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Trades grid will scroll, if necessary, to display the row which failed.

For example, the Trade below shows three newly entered Splits against it. Two of the new Splits are valid, while one is invalid.

Trades														
Exchange		All Exchs	Trading Member		All TMs	Clearing Date		12-Apr-2018	=	Trd Px	=	Cust Acct	Pos Acct	Unres
Comm	Sec Typ	Maturity	B/S	TT	Orig Ord ID	Deal ID	Trd ID							
<input type="button" value="Save"/> <input type="button" value="Edit"/> <input type="button" value="Split"/> <input type="button" value="Correction Trade"/> <input type="button" value="Trade Summary"/> <input type="button" value="Refresh"/> Count: 1682 Selected Ct: 1 Selected B/S Qty: 17 / 0 Selected Avg														
Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	
<input type="checkbox"/>												Multi-Pop		
<input checked="" type="checkbox"/>	161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019		172185021	XXX44488		
<input type="checkbox"/>	161156	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639	
<input type="checkbox"/>	161157	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019		172185021	XXXACCT		
<input type="checkbox"/>	161158	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639	
<input type="checkbox"/>	161159	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX56639	
<input type="checkbox"/>	161160	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172214018	XXX44488	

Split											
<input type="button" value="Discard"/> Rem Qty: 0 Count: 3 Selected Ct: 3											
Status	Trd ID	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Ct
<input type="checkbox"/>			Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop	
<input checked="" type="checkbox"/>		6	XXX	78512	Z						
<input checked="" type="checkbox"/>		8	XXX	XXX44488	H						
<input checked="" type="checkbox"/>		3	YYY								
<input type="checkbox"/>		0									

After Save, the Trades row shows an error indicator and reason. All three Splits rows remain selected and in an edited state ("dirty"), and will need to be resaved after the user corrects the noted error.

Trades														
Exchange		All Exchs	Trading Member		All TMs	Clearing Date		12-Apr-2018	=	Trd Px	=	Cust Acct	Pos Acct	Unres
Comm	Sec Typ	Maturity	B/S	TT	Orig Ord ID	Deal ID	Trd ID							
<input type="button" value="Save"/> <input type="button" value="Edit"/> <input type="button" value="Split"/> <input type="button" value="Correction Trade"/> <input type="button" value="Trade Summary"/> <input type="button" value="Refresh"/> Count: 1682 Selected Ct: 1 Selected B/S Qty: 17 / 0 Sel														
Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	
<input type="checkbox"/>												Multi-Pop		
<input checked="" type="checkbox"/>	161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019		172185021	XXX44488		
<input type="checkbox"/>									Jan-2019	C	65	172185035	XXX56639	
<input type="checkbox"/>									Jan-2019		172185021	XXXACCT		
<input type="checkbox"/>									Jan-2019	C	65	172185035	XXX56639	
<input type="checkbox"/>	161159	XXX	B	14	04-Apr-2018	121.34	IFEU	B	Jan-2019	C	65	172214032	XXX56639	
<input type="checkbox"/>	161160	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172214018	XXX44488	

Split											
<input type="button" value="Discard"/> Rem Qty: 0 Count: 3 Selected Ct: 3											
Status	Trd ID	Trd Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Ct
<input type="checkbox"/>			Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop	
<input checked="" type="checkbox"/>		6	XXX	78512	Z						
<input checked="" type="checkbox"/>		8	XXX	XXX44488	H						
<input checked="" type="checkbox"/>		3	YYY								
<input type="checkbox"/>		0									

7.2.7.4. ERRORS WHEN ADJUSTING TO A SINGLE DESTINATION

When the User is Adjusting multiple prior-day Trades to a single destination, the requested adjustment will fail or be successful per selected Trade, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Trades screen, indicating the number of Trades which failed.
2. An error indicator (!) will display at the left side of the Trades grid on the Trade for which Adjust failed. The User can mouse over the indicator to view the row's error reason.
3. The entry row in the Adjust grid will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Trades grid will scroll, if necessary, to display the row which failed; additional errored rows may be off the screen and require scroll to view.

This behavior is very similar to error handling when updating multiple Trades using the Edit function; see the screenshots in *Errors on Bulk Trade Edits* for examples.

7.2.7.5. ERRORS WHEN ADJUSTING TO MULTIPLE DESTINATIONS

When the User is Adjusting a single prior-day trade to multiple destinations, if *any* requested Adjustment row fails to be created, then *no* new Adjustments will be created for that Trade.

1. A temporary alert will appear at the top of the Trades screen, indicating the action failed.
2. An error indicator (!) will display at the left side of the Trades grid on the Trade for which Adjust failed. The User can mouse over the indicator to view the row's error reason.
3. Each row in the Adjust grid will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Trades grid will scroll, if necessary, to display the row which failed.

This behavior is very similar to error handling when creating Trade Splits; see the screenshots in *Errors on New Trade Splits* for examples.

7.2.8. TRADE AUDIT TRAIL

The audit trail or history for a specific Trade may be viewed by clicking on its hyperlinked Trade ID. Audit-trail entries will be listed in chronological order, with the most recent action at the bottom. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.

Trades

Exchange: All Exchs | Trading Member: All TMs | Clearing Date: 12-Apr-2018 | Trd Px: like S | Pos Acct: Unresolved | Returned 6778 of 6778 records

Count: 630 (Filtered) | Selected Cnt: 0 | Selected B/S Qty: 0 / 0 | Selected Avg Price: 0

Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	Pos Acct	CTI	O/C
161155	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXX44488		H		O
161156	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019	C	65	172185035	XXX56639		H		O
161157	XXX	B	17	04-Apr-2018	123.22	IFEU	B	Jan-2019			172185021	XXXACCT		U		O

Audit Trail for Trade ID 161157

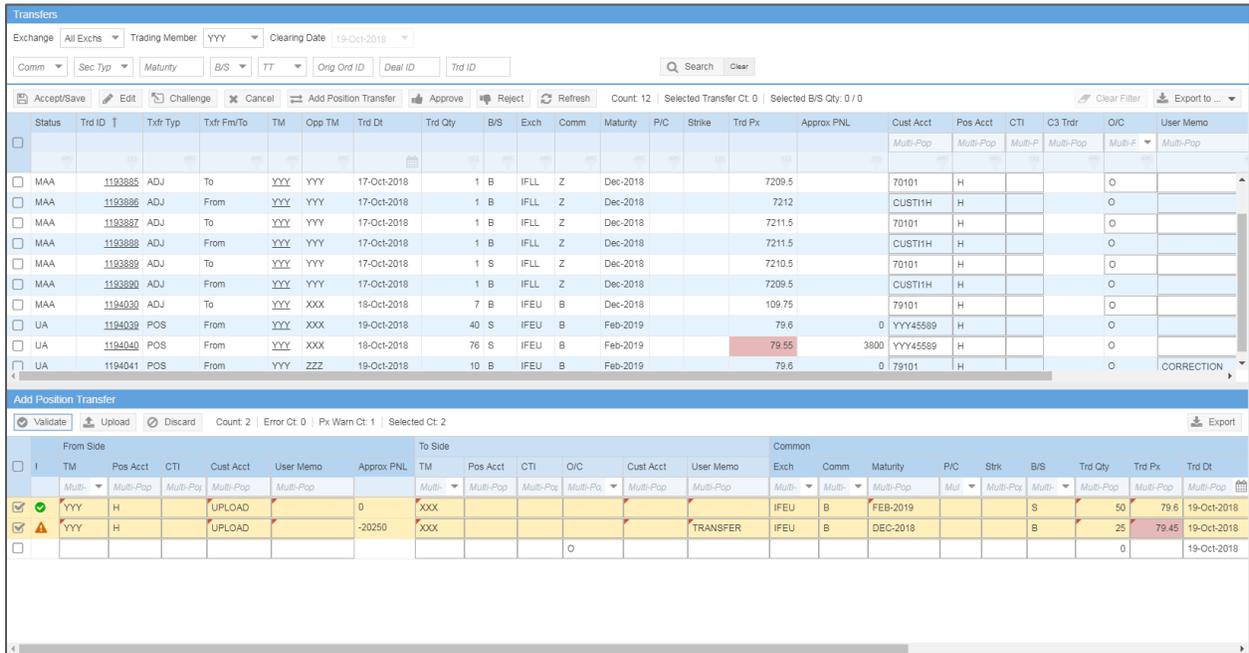
Update User	Update TS	Status	Trd Px	Px Typ	Cust Acct	Cirg Acct	Pos Acct	CTI	C3 Trdr	O/C	Rate ID	T
tradeimporteruser	02-Nov-2018 15:23:05 GMT	MAA	123.22		XXXACCT		H			O	K	H
alison_podium	02-Nov-2018 19:26:15 GMT	MAA	123.22		XXXACCT		U			O	K	H
alison_podium	02-Nov-2018 19:36:28 GMT	MAA	123.22		XXXACCT		U			O	K	H
alison_podium	02-Nov-2018 19:40:10 GMT	MAA	123.22		XXX44488		H			O	K	H
actuser	02-Nov-2018 19:40:14 GMT	MAA	123.22		XXXACCT		U			O	K	H

OK

(continues on next page)

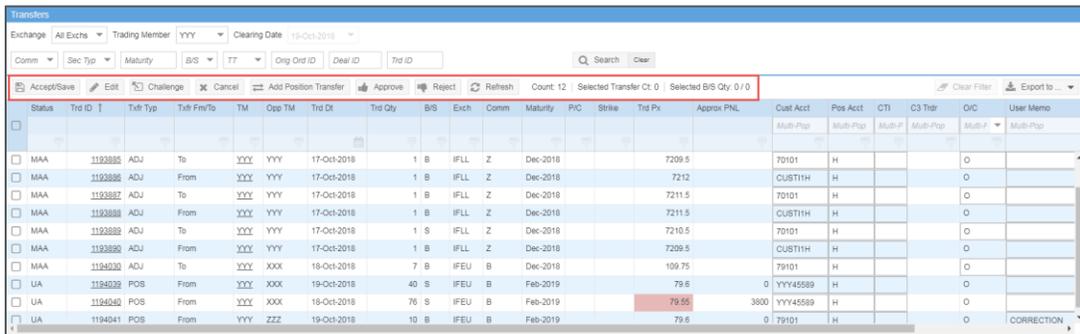
7.3. TRANSFER MANAGEMENT

The Transfers screen supports the creation and management of position transfers, as well as the management of trade adjustments created from previously cleared trades.



The screen is divided into two Data Grids:

1. **Transfers** - The top grid lists all transfers, including position transfers and trade adjustments, which match the Search and Filter criteria.



Grid Controls for the Transfers grid include the following action buttons:

- **Accept/Save** - Accepts unaccepted, alleged transfers, and/or saves edits made to rows in the Transfers grid or any of its sub-grids
- **Edit** - Opens a sub-grid, in which to enter update values for all selected Transfers
- **Challenge** - Challenges an unaccepted or accepted position transfer or adjustment
- **Cancel** - Cancels an unaccepted position transfer
- **Add Position Transfer** - Opens a sub-grid, allowing the User to enter or upload new position transfers

It also includes the following summarization details:

- **Count** - The number of Transfers matching the Search and Filter criteria

- **Selected Ct** - The number of Transfers selected in the grid
- **Selected B/S Qty** - The total quantity of buy and sell Transfers, respectively, selected in the grid (i.e. sum of their Trd Qty)

2. The content of the lower grid will vary, based on the function the User is performing.

- **Edit** - This sub-grid will contain a single row containing all fields which are eligible to be modified on a transfer; the values entered in this row will be applied to all eligible transfers selected in the upper grid

Grid Controls for the Edit grid include the following action buttons:

- **Discard** - Discards any update values entered by the User but not Saved

Edit							
<input type="checkbox"/> Discard							
Txfr Typ	Txfr Fm/To	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	User Memo
<input type="checkbox"/> ADJ	To	70101	H			O	

- **Add Position Transfer** - This sub-grid will allow the User to manually enter or to upload new position transfers, to be saved to the system

Grid Controls for the Add Position Transfer grid include the following action buttons:

- **Validate** - Performs preliminary validation of newly entered or updated, unsaved position transfers
- **Upload** - Uploads a file in the defined format, typically to populate the grid with the details of a large number of new position transfers
- **Discard** - Discards any new position transfers entered by the User but not Saved

The Add Position Transfers grid also includes the following summarization details:

- **Count** - The number of new position transfers matching the Search and Filter criteria
- **Error Ct** - The number of new position transfers with hard errors found during preliminary validation
- **Px Warn Ct** - The number of new position transfers with soft price-related warnings found during preliminary validation
- **Selected Ct** - The number of new position transfers selected in the grid

Add Position Transfer																				
<input type="checkbox"/> Validate <input type="checkbox"/> Upload <input type="checkbox"/> Discard Count: 2 Error Ct: 0 Px Warn Ct: 1 Selected Ct: 2																				
From Side						To Side						Common								
TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	TM	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity	PIC	Stk	B/S	Trd Qty	Trd Px	Trd Dt
YYY	H		UPLOAD		0	XXX						IFEU	B	FEB-2019			S	50	79.6	19-Oct-2018
YYY	H		UPLOAD		-20200	XXX					TRANSFER	IFEU	B	DEC-2018			B	25	79.45	19-Oct-2018

7.3.1. ACCEPTING A TRANSFER

Transfers which have not been accepted (Status = UA), or which have been challenged (Status=UAC or MAC) may be accepted. Only the receiving Member (Txfr Fm/To=To) may accept a Transfer. Multiple Transfers may be accepted at the same time.

Note: Unaccepted Transfers may be accepted, and accepted Transfers edited, at the same time, to be saved in a single Accept/Save action.

For easy reference by the receiving Member, the Trd Px value will be highlighted on a Position Transfer if (a) it was entered at a price which is not a multiple of the tick size of the entered contract; (b) it was entered with a Trd Px which is not the prior-day settlement price or zero for an equity/premium-paid-up-front option; or (c) if the prior-day settlement price could not be found.

In addition, the Approx PNL column will show the approximate difference between the Position Transfer at the entered Trd Px, and the same Position Transfer if it had been priced at the prior-day settlement price (or at zero for an equity/premium-paid-up-front option).

To accept a Transfer(s):

1. If the Transfer(s) you wish to accept have complete and valid values, select them in the Transfers grid.

OR

If the Transfer(s) you wish to accept are incomplete or incorrect, modify the value(s) you wish to edit (see *Editing a Transfer*, below, for single-row and bulk-edit options).

Cust Acct, Pos Acct, CTI (where applicable) and O/C are required; if CTI=3, then C3 Trdr is required; User memo may be left blank.

Status	Trd ID	Txfr Typ	Txfr Frm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI	C3 Trdr
<input type="checkbox"/>	MAA 6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	UA 6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75					
<input type="checkbox"/>	UA 6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input checked="" type="checkbox"/>	UA 6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225			
<input type="checkbox"/>	UA 6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input checked="" type="checkbox"/>	UA 6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX7652	U		
<input type="checkbox"/>	UA 6187362	POS	To	XXX	YYY	18-Oct-2018	76	S	IFEU	B	Feb-2019			79.55	-3800				
<input type="checkbox"/>	UA 6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250				
<input type="checkbox"/>	UA 6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0				

2. Repeat until all Transfers are edited and/or selected, as necessary.
3. Click [Accept/Save], or hit <Ctrl+Enter> to save and update/accept the selected Position Transfer(s). The grid will refresh to show adjustment Transfers as accepted (Status=MAA), or position Transfers as inactive (grey italic) and pending ICE approval (Status=PEND).

Status	Trd ID	Txfr Typ	Txfr Frm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI	C3 Trdr
<input type="checkbox"/>	MAA 6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	UA 6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75					
<input type="checkbox"/>	UA 6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	MAA 6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225	U		
<input type="checkbox"/>	MAA 6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	PEND 6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX7652	U		
<input type="checkbox"/>	UA 6187362	POS	To	XXX	YYY	18-Oct-2018	76	S	IFEU	B	Feb-2019			79.55	-3800				
<input type="checkbox"/>	UA 6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250				
<input type="checkbox"/>	UA 6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0				

7.3.2. EDITING A TRANSFER

A Transfer may be modified if it is not yet accepted or it has been challenged by the receiving firm (Status=UA, UAC or MAC), or if it was accepted then approved by ICE (Status=MAA). If the receiving Member edits an unaccepted or challenged Transfer, saving the updates will also accept the Transfer. Each Member may edit only its side of the Transfer.

Two edit methods are available.

7.3.2.1. IN-LINE TRANSFER EDITS

Transfers may be edited by changing values in-line on each row. One or multiple Transfers may be modified in this manner, and Saved in a single action.

To edit Transfer(s) in-line:

1. In the Transfers grid, modify value(s) on the Transfer(s) you wish to edit; editing a row will automatically select it.
 - o Cust Acct, Pos Acct, CTI (where applicable) and O/C are required
 - o If CTI=3, then C3 Trader is required
 - o User Memo is optional

Status	Trd ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		48773	H	
UA	6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75				
UA	6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		XXX51167	H	
MAA	6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225	U	
MAA	6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H	
PEND	6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX77652	U	
UA	6187362	POS	To	XXX	YYY	18-Oct-2018	78	S	IFEU	B	Feb-2019			79.55	-3800			
UA	6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250			
UA	6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0			

2. Repeat until all Transfers are updated, as necessary.
3. Click [Save], or hit <Ctrl+Enter> to save the edited Transfer(s). The grid will refresh to show all updated values (Status=MAA). If the opposite side a Transfer is also displayed to the User, manual [Refresh] will be needed to show the updated Status on the opposite side.

Status	Trd ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		48773	H	
UA	6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75				
UA	6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		XXX51167	H	
MAA	6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225	U	
MAA	6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H	
PEND	6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX77652	U	
UA	6187362	POS	To	XXX	YYY	18-Oct-2018	78	S	IFEU	B	Feb-2019			79.55	-3800			
UA	6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250			
UA	6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0			

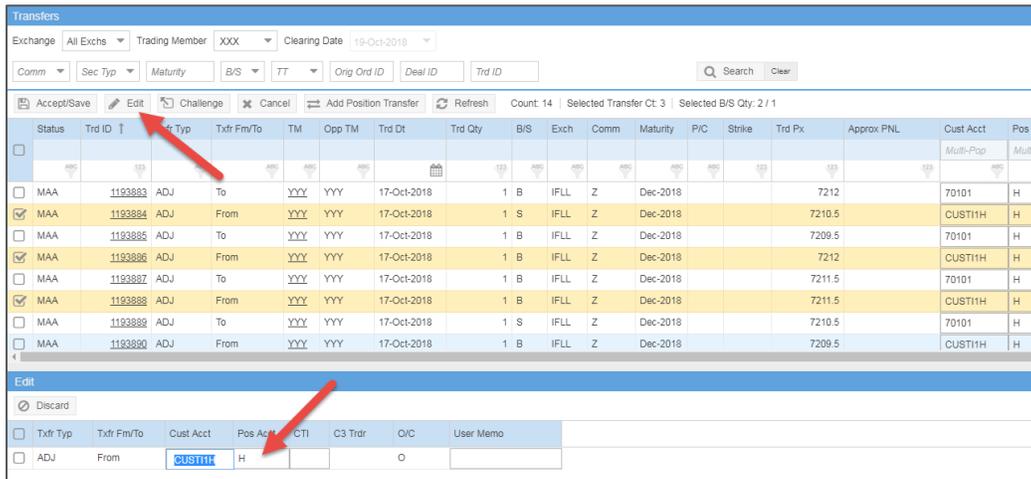
7.3.2.2. BULK TRANSFER EDITS

Multiple Transfers to which the same change needs to be made can be edited by selecting the Transfers, and entering the modifications on a single entry row.

One or multiple Transfers may be modified in this manner, and Saved in a single action.

To edit Transfer(s) in bulk:

1. In the Transfers grid, select the Transfer(s) you wish to update; all selected records must have the same type (Txfr Typ) and direction (Txfr Fm/To)
2. In the Transfers grid, click [Edit]; a single entry row will be displayed in the lower Edit grid.
 - o If a field is empty or blank on all selected Transfers, then the related Edit grid field will also be empty/blank
 - o If all selected Transfers have the same non-blank value in a field, then the related Edit grid field will show the common value
 - o If any of the selected Transfers have differing values in a field, then the related Edit grid field will show the common value “[multi]”



3. Modify the desired field(s) as necessary, to be applied to all selected Transfers; if you do not modify a field's displayed value, then each Trade will retain its current value in that field.
 - o Cust Acct, Pos Acct, CTI (where applicable) and O/C may not be blanked
 - o If CTI=3, then C3 Trader may not be blanked
 - o User Memo is optional

Status	ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx. PNL	Cust Acct	Pos
<input type="checkbox"/>	MAA 1193883	ADJ	To	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7212		70101	H
<input checked="" type="checkbox"/>	MAA 1193884	ADJ	From	YYY	YYY	17-Oct-2018	1	S	IFLL	Z	Dec-2018			7210.5		CUST11H	H
<input type="checkbox"/>	MAA 1193885	ADJ	To	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7209.5		70101	H
<input checked="" type="checkbox"/>	MAA 1193886	ADJ	From	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7212		CUST11H	H
<input type="checkbox"/>	MAA 1193887	ADJ	To	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7211.5		70101	H
<input checked="" type="checkbox"/>	MAA 1193888	ADJ	From	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7211.5		CUST11H	H
<input type="checkbox"/>	MAA 1193889	ADJ	To	YYY	YYY	17-Oct-2018	1	S	IFLL	Z	Dec-2018			7210.5		70101	H
<input type="checkbox"/>	MAA 1193890	ADJ	From	YYY	YYY	17-Oct-2018	1	B	IFLL	Z	Dec-2018			7209.5		CUST11H	H

Txfr Typ	Txfr Fm/To	Cust Acct	Pos Acct	C/TI	C3 Trdr	O/C	User Memo
<input checked="" type="checkbox"/>	ADJ	From	ACCT207	H		O	

To remove an existing value from a field, enter a space in that field; the value “[remove]” will display when you exit the field to differentiate it from a field which already has no value; any related fields will also update to “[remove]”.

To revert an edited field to its original value or to “[multi]”, delete the new value from the field; note that related fields will *not* be reverted.

4. Click [Save], or hit <Ctrl+Enter> to apply the changes to the selected Transfer(s). The Edit grid will collapse, and the Transfers grid will refresh to show all updated values (Status=MAA). If the opposite side a Transfer is also displayed to the User, manual [Refresh] will be needed to show the updated Status on the opposite side.

7.3.3. CHALLENGING A TRANSFER

A Transfer may be challenged if it is not yet accepted (Status=UA) or has already been accepted and (if applicable) approved by ICE (Status=MAA). Only the receiving Member (Txfr Fm/To=To) may challenge a Transfer.

For easy reference by the receiving Member, the Trd Px value will be highlighted on a Position Transfer if (a) it was entered at a price which is not a multiple of the tick size of the entered contract; (b) it was entered with a Trd Px which is not the prior-day settlement price or zero for an equity/premium-paid-up-front option; or (c) if the prior-day settlement price could not be found.

In addition, the Approx PNL column will show the approximate difference between the Position Transfer at the entered Trd Px, and the same Position Transfer if it had been priced at the prior-day settlement price (or at zero for an equity/premium-paid-up-front option).

To challenge a Transfer(s):

1. In the Transfers grid, select the Transfer(s) you wish to challenge, and click [Challenge].

Transfers																			
Exchange		All Exchs		Trading Member		XXX		Clearing Date		19-Oct-2018									
Comm		Sec Typ		Maturity		B/S		TT		Orig Ord ID		Deal ID		Trd ID		Q Search		Clear	
Accept/Save		Edit		Challenge		Cancel		Add Position Transfer		Refresh		Count: 9		Selected Transfer Ct: 2		Selected B/S Qty: 14 / 76			
Status	Trd ID ↑	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct		
<input type="checkbox"/>																Multi-Pop	Multi-P		
<input type="checkbox"/>	MAA 6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		48773	H		
<input checked="" type="checkbox"/>	UA 6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75					
<input type="checkbox"/>	UA 6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		XXX51167	H		
<input type="checkbox"/>	MAA 6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225	U		
<input type="checkbox"/>	MAA 6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	PEND 6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX77852	U		
<input checked="" type="checkbox"/>	UA 6187362	POS	To	XXX	YYY	18-Oct-2018	76	S	IFEU	B	Feb-2019			79.55	-3800				
<input type="checkbox"/>	UA 6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250				
<input type="checkbox"/>	UA 6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0				

- The grid will refresh to show the Transfer(s) in a challenged state (Status=UAC or MAC). If the opposite side a Transfer is also displayed to the User, manual [Refresh] will be needed to show the updated Status on the opposite side.

Transfers																			
Exchange		All Exchs		Trading Member		XXX		Clearing Date		19-Oct-2018									
Comm		Sec Typ		Maturity		B/S		TT		Orig Ord ID		Deal ID		Trd ID		Q Search		Clear	
Accept/Save		Edit		Challenge		Cancel		Add Position Transfer		Refresh		Count: 9		Selected Transfer Ct: 0		Selected B/S Qty: 0 / 0			
Status	Trd ID ↑	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct		
<input type="checkbox"/>																Multi-Pop	Multi-P		
<input type="checkbox"/>	MAA 6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018			109.75		48773	H		
<input type="checkbox"/>	UAC 6187354	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75					
<input type="checkbox"/>	UA 6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018			109.75		XXX51167	H		
<input type="checkbox"/>	MAA 6187356	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		XXXAC225	U		
<input type="checkbox"/>	MAA 6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018			109.75		ALPHA	H		
<input type="checkbox"/>	PEND 6187361	POS	To	XXX	YYY	19-Oct-2018	40	S	IFEU	B	Feb-2019			79.6	0	XXX77852	U		
<input type="checkbox"/>	UAC 6187362	POS	To	XXX	YYY	18-Oct-2018	76	S	IFEU	B	Feb-2019			79.55	-3800				
<input type="checkbox"/>	UA 6187363	POS	To	XXX	YYY	19-Oct-2018	25	B	IFEU	B	Dec-2018			79.45	20250				
<input type="checkbox"/>	UA 6187364	POS	To	XXX	YYY	19-Oct-2018	50	S	IFEU	B	Feb-2019			79.6	0				

7.3.4. CANCELLING A TRANSFER

A Transfer may be cancelled if it is not accepted (Status=UA) or has been challenged (Status=UAC or MAC). Only the initiating Member (Txfr Fm/To=From) may cancel a Transfer.

To cancel a Transfer(s):

- In the Transfers grid, select the Transfer(s) you wish to cancel, and click [Cancel].

Status	Trd ID ↑	Deal ID	Txfr Typ	Txfr Fm To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm
u		123	ABC	ABC	ABC	ABC		123	ABC	ABC	ABC
<input type="checkbox"/>	UA	158055	1941983	POS	From	XXX	EUT	20-Aug-2013	59	B	IFEU B
<input type="checkbox"/>	UA	158056	1941984	POS	From	XXX	EUT	20-Aug-2013	100	B	IFEU B
<input checked="" type="checkbox"/>	UA	158057	1941985	POS	From	XXX	EUT	20-Aug-2013	59	B	IFEU B
<input checked="" type="checkbox"/>	UAC	158109	1942012	ADJ	From	XXX	YYY	03-Apr-2018	2	B	IFEU B
<input type="checkbox"/>	UAC	158155	1942017	ADJ	From	XXX	YYY	03-Apr-2018	1	B	IFEU B
<input type="checkbox"/>	UA	158157	1942019	POS	From	XXX	EUT	20-Aug-2013	100	B	IFEU B
<input type="checkbox"/>	UA	158158	1942020	POS	From	XXX	EUT	20-Aug-2013	59	B	IFEU B

- The grid will refresh to show the Transfer(s) in a cancelled state (Status=CNL, and in grey italic). If the opposite side a Transfer is also displayed to the User, manual [Refresh] will be needed to show the updated Status on the opposite side.

7.3.5. ADDING POSITION TRANSFERS

New position Transfers may be added to the system by a User, to move all or part of a cleared position from one account to another for the same Member, or from one Member to another. Position Transfers are typically created when the original Trades are no longer available for Adjustment in the ICE FEC interface.

Two entry methods are available: entering and uploading.

7.3.5.1. ENTER POSITION TRANSFERS

Position Transfers may be entered manually into the ICE FEC interface by a User.

To enter new Position Transfer(s):

- In the Transfers grid, click [Add Position Transfer]; the Add Position Transfer grid will open in the lower portion of the screen.

Status	Trd ID ↑	Txfr Typ	Txfr Fm To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	PIC	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI	C3 Trdr	OIC	User Memo
<input type="checkbox"/>	MAA	6187253	ADJ	From	XXX	YYY	18-Oct-2018	7	B	IFEU	B	Dec-2018		109.75		48773	H			O	
<input type="checkbox"/>	UAC	6187254	ADJ	To	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018		109.75						O	
<input type="checkbox"/>	UA	6187255	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	B	Dec-2018		109.75		XXX51167	H			O	
<input type="checkbox"/>	MAA	6187256	ADJ	To	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018		109.75		XXXAC225	U			O	
<input type="checkbox"/>	MAA	6187257	ADJ	From	XXX	XXX	18-Oct-2018	9	B	IFEU	B	Dec-2018		109.75		ALPHA	H			O	
<input type="checkbox"/>	PEND	6187261	POS	To	XXX	YYY	18-Oct-2018	40	S	IFEU	B	Feb-2019		79.6		0	XXX7852	U		O	TRANSFER
<input type="checkbox"/>	UAC	6187262	POS	To	XXX	YYY	18-Oct-2018	76	S	IFEU	B	Feb-2019		79.55		-3800				O	TRANSFER
<input type="checkbox"/>	UA	6187263	POS	To	XXX	YYY	18-Oct-2018	34	B	IFEU	B	Feb-2018		76.4		30745				O	TRANSFER

From Side	To Side	Common													
I	TM	Pos Acct	CTI	OIC	Cust Acct	User Memo	Exch	Comm	Maturity	PIC	Strk	B/S	Trd Qty	Trd Px	Trd Dt
Multi-Pop															
													0		

- Enter the detail of each Position Transfer you wish to create. Notice that a new entry row is added below, when you begin populating each row.

- “From” TM, Cust Acct and Pos Acct are required
- “To” TM is required
- “Common” Exch, Comm, Maturity, B/S and Trd Qty are required; P/C and Strike are also required for options
- “Common” Trd Dt may be populated or left blank; if populated, the value must be a current or past clearing date; if left blank, the system will default the value to the current clearing date
- “Common” Trd Px may be populated with a positive or negative number, with zero (0), or left blank; if left blank, the system will default the value on an equity or premium-paid-up-front option to zero (0), and on any other contract type to its prior-day settlement price
- All other fields are optional

3. Repeat until all desired Position Transfers are entered.
4. Pre-validate the entered values, by clicking [Validate] in the Add Position Transfers grid.

Any validation failures will be indicated as follows; mouse-over the relevant indicator or review the Validation Errors column for specific error and/or warning reasons:

- If the row contains no errors or warnings, a green checkmark will appear in the grid's first column.

		Multi-	Multi
✓	✓	XXX	U
✓	⚠	XXX	U

- If the row contains a price warning, a gold caution triangle will appear in the grid's first column. A price warning will be shown if (a) the entered price is not a multiple of the tick size of the entered contract; (b) the entered Trd Px is *not* the prior-day settlement price or zero for an equity/premium-paid-up-front option; or (c) if the prior-day settlement price could not be found.

From Side							To Side
I	TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	TM
	Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop		Multi-
✓	✓	XXX	U	XXXAC225		0	YYY
✓	⚠	XXX	U	XXXAC225		-5640	YYY
✓	⚠						YYY

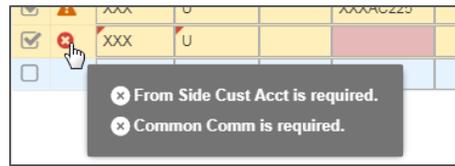
⚠ Non-standard Trd Px.

In addition, the Approx PNL column will show the approximate difference between the Position Transfer at the entered Trd Px, and the same Position Transfer if it was priced at the prior-day settlement price (or at zero for an equity/premium-paid-up-front option).

Price warnings are not required to be cleared before the Position Transfer can be saved. They are to alert the User of a non-standard price, in case it was entered in error.

- If the row contains validation errors which the User must correct, a red 'x' will appear in the grid's first column. Note that price warnings may also exist, and will be listed upon mouse-over together with the hard error reasons.

Validation errors must be corrected before the Position Transfer can be saved.



5. Correct any errors in-line in the Add Position Transfers grid. Price warnings do *not* need to be resolved.

Note: Alternatively, the user may Export the grid content (see *Grid Export*, above), make corrections in the exported file, then import the updated file using the Upload function (see *Upload Position Transfers*, below).

6. After making all necessary changes, repeat steps 4 and 5, as necessary, until all validation errors are corrected.

Add Position Transfer									
<input type="button" value="Validate"/> <input type="button" value="Upload"/> <input type="button" value="Discard"/> Count: 3 Error Ct: 0 Px Warn Ct: 1 Selected Ct: 3									
	From Side						To Side		
<input type="checkbox"/>	I	TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	TM	Pos Ac
		Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop		Multi-	Multi-P
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	XXX	U		XXXAC225		0	YYY	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	XXX	U		XXXAC225		-5640	YYY	H
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	XXX	U		49661		0	YYY	H
<input type="checkbox"/>									

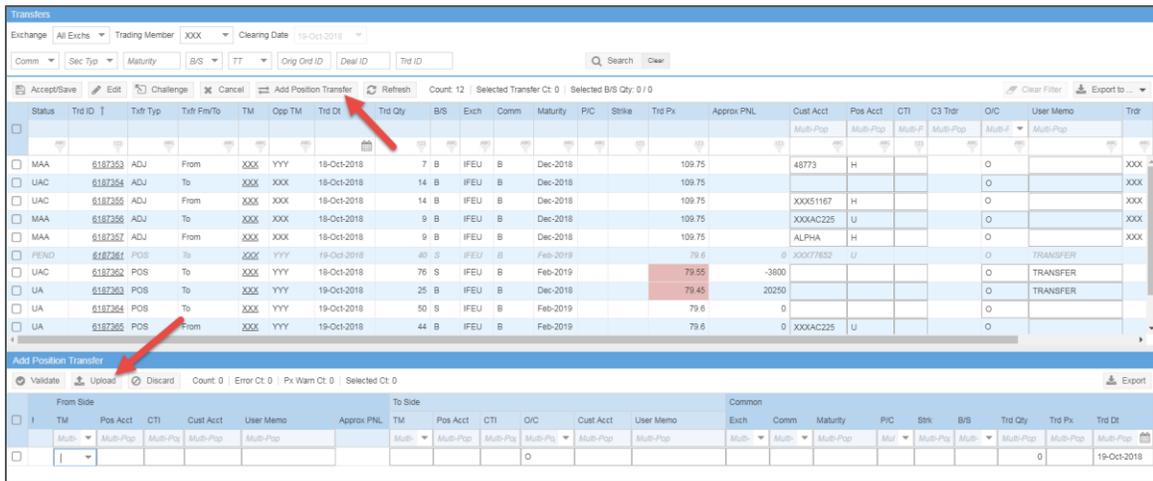
7. Click [Accept/Save], or hit <Ctrl+Enter> to save the new Position Transfer(s). The Add Position Transfers grid will collapse, and the Transfers grid will refresh to show the newly created records (Status=UA or PEND).

7.3.5.2. UPLOAD POSITION TRANSFERS

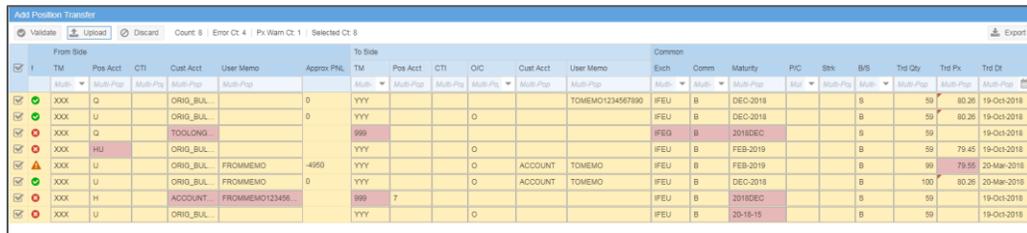
Position Transfers may be uploaded into the ICE FEC interface by a User. Two file layouts are supported; see *Position Transfers, Upload Layout*, below.

To upload new Position Transfer(s):

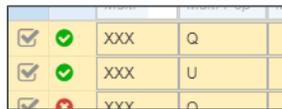
1. In the Transfers grid, click [Add Position Transfer]; the Add Position Transfer grid will open in the lower portion of the screen.



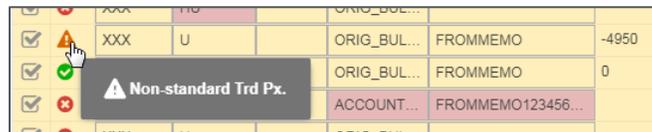
2. In the Add Position Transfer grid, click [Upload]; navigate to and select the file which you wish to load.
3. The file will be pre-validated automatically during upload. Any validation failures will be indicated as below; mouse-over the relevant indicator or review the Validation Errors column for specific error and/or warning reasons. Invalid values will be displayed as they were on the uploaded file, and the field will be shaded.



- If the row contains no errors or warnings, a green checkmark will appear in the grid's first column.



- If the row contains a price warning, a gold caution triangle will appear in the grid's first column. A price warning will be shown if (a) the entered price is not a multiple of the tick size of the entered contract; (b) the entered Trd Px is *not* the prior-day settlement price or zero for an equity/premium-paid-up-front option; or (c) if the prior-day settlement price could not be found.

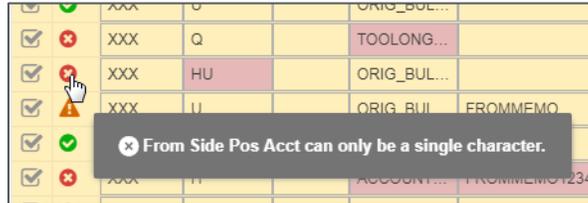


In addition, the Approx PNL column will show the approximate difference between the Position Transfer at the entered Trd Px, and the same Position Transfer if it was priced at the prior-day settlement price (or at zero for an equity/premium-paid-up-front option).

Price warnings are not required to be cleared before the Position Transfer can be saved. They are to alert the User of a non-standard price, in case it was entered in error.

- If the row contains validation errors which the User must correct, a red 'x' will appear in the grid's first column. Note that price warnings may also exist, and will be listed upon mouse-over together with the hard error reasons.

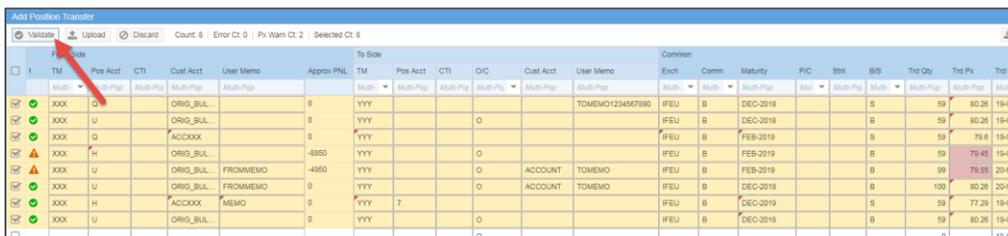
Validation errors must be corrected before the Position Transfer can be saved.



4. Correct any errors in-line in the Add Position Transfers grid. Price warnings do *not* need to be resolved.

Note: Alternatively, the user may Export the grid content (see *Grid Export*, above), make corrections in the exported file, then import the updated file using the Upload function again.

5. After making all necessary changes, click the [Validate] button to confirm your corrections. Repeat steps 4 and 5, as necessary, until all validation errors are corrected.



6. Click [Accept/Save], or hit <Ctrl+Enter> to save the new Position Transfer(s). The Add Position Transfers grid will collapse, and the Transfers grid will refresh to show the newly created records (Status=UA or PEND).

7.3.5.3. POSITION TRANSFERS, UPLOAD LAYOUTS

Two file layouts are supported for Upload of new Position Transfers.

- The file layout previously supported by the legacy PTMS GUI will continue to be supported in ICE FEC.
- A new layout, which matches the Add Position Transfers grid's field order, will also be supported. This layout will facilitate Export of previously loaded or entered transfers which contained validation errors, in order to correct them in the file and re-upload them to the system.

Legacy PTMS Layout	8.6 Export/Import Layout	Data Format/Validations
From Member	From Side TM	TM mnemonic; must be valid for the User; required
From Pos Acct	From Side Pos Acct	Single character; required
From CTI	From Side CTI	1, 2, 4 or blank

From Acct	From Side Cust Acct	Max 20 characters; required
From User Txt	From Side User Memo	Max 20 characters
N/A	From Side Approx PNL	<i>Value will be ignored</i>
To Member	To Side TM	Valid TM mnemonic; required
To Pos Acct	To Side Pos Acct	Single character
To CTI	To Side CTI	1, 2, 4 or blank
To O/C	To Side O/C	O, C or blank
To Acct	To Side Cust Acct	Max 20 characters
To User Txt	To Side User Memo	Max 20 characters
Exch	Common Exch	Valid Exch for the clearing house; required
Comm	Common Comm	Valid Comm for Exch; required
Cont Period	Common Maturity	GUI: format YYYYMMDD, with DD portion optional; required
Put Call	Common P/C	P, C or blank; required (non-blank) if Strike / Common Strk is not blank
Strike	Common Strk	Numeric up to 18 characters (incl. decimal point), max 7 decimal places, or blank; required (non-blank) if P/C / Common P/C is not blank
Long Short	Common B/S	If column name is Long Sort, L or S; if column name is Common B/S, B or S; required
Qty	Common Trd Qty	Whole number up to 12 digits; required
Price	Common Trd Px	Numeric up to 18 characters (including decimal point), max 7 decimal places, or blank <i>if blank:</i> - if the contract can be identified from the loaded detail, 1. if the product is an equity or premium-paid-up-front option, field will be set to zero 2. otherwise, field will be set to the contract's prior-day's settlement price - if the contract cannot be identified, or prior-day settlement price is not available, a validation error will occur
Trade Date	Common Trd Dt	Valid date, in format YYYYMMDD, or blank; if blank, will be set to current clearing date
N/A	Error Reason	<i>Value will be ignored</i>

7.3.6. TRANSFER ERRORS

While certain invalid actions are prevented by the ICE FEC interface itself, others are allowed but may fail to be processed for one reason or another.

In the latter case, when a requested transfer action cannot be completed by ICE FEC, the User will be alerted in the Transfers grid or relevant sub-grid.

7.3.6.1. ERRORS ON TRANSFER ACCEPT AND IN-LINE EDITS

When the User is accepting or editing Transfers in the Transfers grid, the requested action will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Transfers screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Transfers grid on each Transfer which failed. The User can mouse over the indicator to view the row's error reason.
3. Any actioned Transfer for which there are no errors will be processed successfully.
4. The Transfers grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, three unaccepted Transfers are edited and selected, below. One has a valid Position Account, while two are invalid (Trade IDs 150155 and 150204).

Status	Trade ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
✓	150155	POS	To	YYY	XXX	20-Aug-2013	59	B	IFEU	B	Dec-2021	P	89	27.18	0	YYY47789		
✓	150204	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY47789		
✓	150205	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY46691	H	
□	150206	ADJ	To	YYY	XXX	03-Apr-2018	11	B	IFEU	B	Dec-2018			122.32		79101		
□	PEND	151101	POS	To	YYY	XXX	04-Apr-2018	10	B	IFEU	B	Dec-2018		73.6	0	TOYYY	U	
□	PEND	151102	POS	To	YYY	XXX	04-Apr-2018	3103	B	IFEU	B	Dec-2018		73.6	0	TOACCT	U	

After Save, Trade IDs 150155 and 150204 will each display an error indicator and reason, as pictured below, while the remaining Transfers will be deselected and reflect the expected Status update, signifying their Accept/Save action was successful.

Status	Trade ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
✓	150155	POS	To	YYY	XXX	20-Aug-2013	59	B	IFEU	B	Dec-2021	P	89	27.18	0	YYY47789		
✓	150204	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY47789		
□				YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY46691	H	
□				YYY	XXX	03-Apr-2018	11	B	IFEU	B	Dec-2018			122.32		79101		
□	PEND	151101	POS	To	YYY	XXX	04-Apr-2018	10	B	IFEU	B	Dec-2018		73.6	0	TOYYY	U	
□	PEND	151102	POS	To	YYY	XXX	04-Apr-2018	3103	B	IFEU	B	Dec-2018		73.6	0	TOACCT	U	

7.3.6.2. ERRORS ON BULK TRANSFER EDITS

When the User is updating Transfers using the bulk Transfer Edit function, the requested update will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Transfers screen, indicating the number of Transfers which failed.
2. An error indicator (!) will display at the left side of the Transfers grid on the transfer for which Edit and/or acceptance failed. The User can mouse over the indicator to view the row's error reason.
3. The entry row in the Edit grid will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Transfers grid will scroll, if necessary, to display the row which failed; additional errored rows may be off the screen and require scroll to view.

For example, two Transfers are selected, below, with the Edit sub-grid open and populated with a new Customer Account to be applied to all three. Note that Trade ID 150204 has been cancelled in the background; thus, accept/update will fail.

The screenshot displays the 'Transfers' application interface. At the top, there are filters for Exchange (All Exchs), Trading Member (YYY), and Clearing Date (04-Apr-2018). Below the filters is a toolbar with buttons for 'Accept/Save', 'Edit', 'Challenge', 'Cancel', 'Add Position Transfer', and 'Refresh'. The main grid shows a list of transfer records with columns for Status, Txfr Typ, Txfr Fm/To, TM, Opp TM, Trd Dt, Trd Qty, B/S, Exch, Comm, Maturity, P/C, Strike, Trd Px, Approx PNL, Cust Acct, and Pos Ac. A red arrow points to the 'Accept/Save' button. The grid shows several records, with Trade ID 150204 highlighted in yellow. Below the grid is an 'Edit' sub-grid with a 'Discard' button and a table for editing the selected record. The Edit sub-grid shows the selected record with a new Customer Account (YYY55601) applied.

Status	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Ac
<input type="checkbox"/>	UA	150155	POS	To	YYY XXX	20-Aug-2013	59	B	IFEU B	Dec-2021	P	89	27.18	0	OPP_BUL...	
<input checked="" type="checkbox"/>	UA	150204	ADJ	To	YYY XXX	03-Apr-2018	17	B	IFEU B	Dec-2018			123.22	0	YYY46690	
<input type="checkbox"/>	MAA	150205	ADJ	To	YYY XXX	03-Apr-2018	17	B	IFEU B	Dec-2018			123.22	0	YYY46691	H
<input checked="" type="checkbox"/>	UA	150206	ADJ	To	YYY XXX	03-Apr-2018	11	B	IFEU B	Dec-2018			122.32	0	79101	
<input type="checkbox"/>	PEND	151101	POS	To	YYY XXX	04-Apr-2018	10	B	IFEU B	Dec-2018			73.6	0	TOYYY	U
<input type="checkbox"/>	PEND	151102	POS	To	YYY XXX	04-Apr-2018	3103	B	IFEU B	Dec-2018			73.6	0	TOACCT	U
<input type="checkbox"/>	PEND	151103	POS	To	YYY XXX	04-Apr-2018	45	S	IFEU B	Dec-2018			73.6	0	TOACCT	U
<input type="checkbox"/>	PEND	151104	POS	To	YYY XXX	04-Apr-2018	2033	B	IFEU B	Dec-2018			73.6	0	TOACCT	U
<input type="checkbox"/>	PEND	151105	POS	To	YYY XXX	04-Apr-2018	1754	S	IFEU B	Dec-2018			73.6	0	TOACCT	U
<input type="checkbox"/>	PEND	151106	POS	To	YYY XXX	04-Apr-2018	4000	S	IFEU B	Dec-2018			73.6	0	TOACCT	U

Txfr Typ	Txfr Fm/To	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	User Memo
<input checked="" type="checkbox"/>	ADJ	To	YYY55601	H		O	

After Save, Trade ID 150204 displays an error indicator and reason, as pictured below, while the other is deselected and reflects the expected Status update, signifying their Save action was successful. The Edit grid row remains selected and in an edited state ("dirty"), and will need to be resaved after the user corrects the noted error, or Discards the change.

Status	Trd ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos
UA	150156	POS	To	YYY	XXX	20-Aug-2013	59	B	IFEU	B	Dec-2021	P	89	27.18	0	OPP_BUL...	MU
✓	150204	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY46690	H
						03-Apr-2018	17	B	IFEU	B	Dec-2018			123.22		YYY46691	H
						03-Apr-2018	11	B	IFEU	B	Dec-2018			122.32		YYY55601	H
PEND	151101	POS	To	YYY	XXX	04-Apr-2018	10	B	IFEU	B	Dec-2018			73.6	0	TOYYY	U
PEND	151102	POS	To	YYY	XXX	04-Apr-2018	3103	B	IFEU	B	Dec-2018			73.6	0	TOACCT	U
PEND	151103	POS	To	YYY	XXX	04-Apr-2018	45	S	IFEU	B	Dec-2018			73.6	0	TOACCT	U
PEND	151104	POS	To	YYY	XXX	04-Apr-2018	2053	B	IFEU	B	Dec-2018			73.6	0	TOACCT	U
PEND	151105	POS	To	YYY	XXX	04-Apr-2018	1754	S	IFEU	B	Dec-2018			73.6	0	TOACCT	U
PEND	151106	POS	To	YYY	XXX	04-Apr-2018	4000	S	IFEU	B	Dec-2018			73.6	0	TOACCT	U

Txfr Typ	Txfr Fm/To	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	User Memo
ADJ	To	YYY55601	H			O	

7.3.6.3. ERRORS ON TRANSFER CHALLENGE OR CANCEL

When the User is challenging or cancelling Transfers in the Transfers grid, the requested action will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Transfers screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Transfers grid on each Transfer which failed. The User can mouse over the indicator to view the row's error reason.
3. Any actioned Transfer for which there are no errors will be processed successfully.
4. The Transfers grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

This behavior is very similar to error handling when updating and/or accepting multiple Transfers in the Transfers grid; see the screenshots in *Errors on Transfer Accept and In-Line Edits* for examples.

7.3.6.4. ERRORS ON NEW POSITION TRANSFERS

When the User is entering new position Transfers using manual entry or the Upload function, the requested transfer creation will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Transfers screen, indicating the number of Transfers which failed.
2. An error indicator (!) will display at the left side of the Add Position Transfers grid on each Transfer for which addition failed. The User can mouse over the indicator to view the row's error reason.
3. The Add Position Transfers grid will scroll, if necessary, to display the row which failed; additional errored rows may be off the screen and require scroll to view.

For example, two new position Transfers are entered and pre-validated in the Add Position Transfer sub-grid, as shown below. Note that the Position Account, while a valid length, is not valid for the From Side TM; thus, creation of the new Transfer will fail.

Transfers																	
Exchange		All Exchs		Trading Member		YYY		Clearing Date		04-Apr-2018							
Comm		Sec Typ		Maturity		B/S		TT		Orig Ord ID		Deal ID		Trd ID		Search Clear	
<input type="button" value="Accept/Save"/> <input type="button" value="Edit"/> <input type="button" value="Challenge"/> <input type="button" value="Cancel"/> <input type="button" value="Add Position Transfer"/> <input type="button" value="Refresh"/> Count: 2036 Selected Transfer Ct: 0 Selected B/S Qty: 0 / 0																	
Status	Trd ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos A
<input type="checkbox"/>	MAA	150051	ADJ	To	YYY	XXX	03-Apr-2018	2	B	IFEU	B	Dec-2018		123.4		XXXAD	
<input type="checkbox"/>	CNL	150054	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018		123.22		ALISON	
<input type="checkbox"/>	CNL	150055	ADJ	To	YYY	XXX	03-Apr-2018	17	B	IFEU	B	Dec-2018		123.22		UPDAT	
<input type="checkbox"/>	REJ	150056	POS	To	YYY	XXX	04-Apr-2018	5	B	IFEU	B	Dec-2018		73.6		ALISON	

Add Position Transfer																	
<input type="button" value="Validate"/> <input type="button" value="Upload"/> <input type="button" value="Discard"/> Count: 2 Error Ct: 0 Px Warn Ct: 1 Selected Ct: 2																	
From Side							To Side							Common			
TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL		TM	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity		
Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop			Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-	Multi-	Multi-Pop		
<input checked="" type="checkbox"/>	YYY	H		ACCTYYY	MEMO	0	XXX				TOACCT		IFEU	B			
<input checked="" type="checkbox"/>	YYY	Z		ACCTYYY	FROM	11400	XXX				TOXXX		IFEU	B			
<input type="checkbox"/>										O							

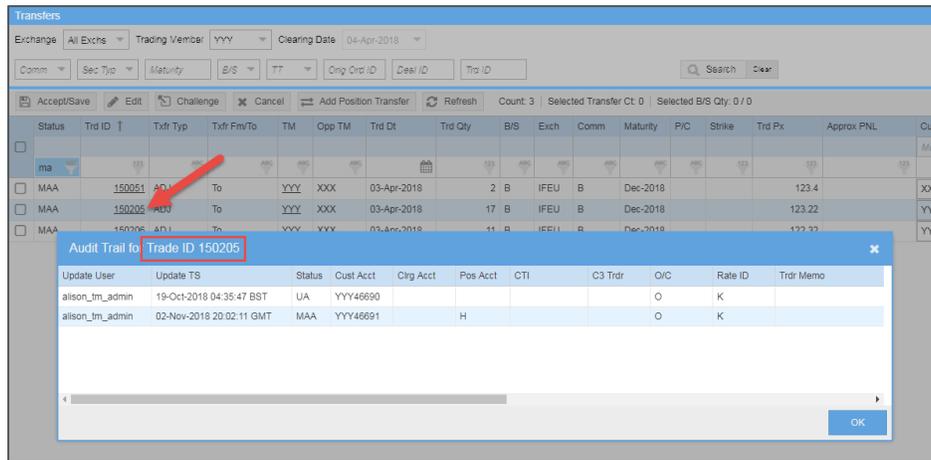
After Save, the failed sub-grid row displays an error indicator and reason, as pictured below, while the other new row has been removed from the sub-grid and is displayed instead in the main Transfers grid, signifying its Save action was successful. The Add Position Transfer grid row remains selected and in an edited state ("dirty"), and will need to be resaved after the user corrects the noted error, or Discards.

Transfers																	
Exchange		All Exchs		Trading Member		YYY		Clearing Date		04-Apr-2018							
Comm		Sec Typ		Maturity		B/S		TT		Orig Ord ID		Deal ID		Trd ID		Search Clear	
<input type="button" value="Accept/Save"/> <input type="button" value="Edit"/> <input type="button" value="Challenge"/> <input type="button" value="Cancel"/> <input type="button" value="Add Position Transfer"/> <input type="button" value="Refresh"/> Count: 2038 Selected Transfer Ct: 0 Selected B/S Qty: 0 / 0																	
Status	Trd ID	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos A
<input type="checkbox"/>	UA	153159	ADJ	From	YYY	YYY	03-Apr-2018	2	S	IFEU	B	Dec-2018		123.4		DWAPTEST5	H
<input type="checkbox"/>	UA	153160	ADJ	To	YYY	YYY	03-Apr-2018	2	S	IFEU	B	Dec-2018		123.4			Z
<input type="checkbox"/>	UA	154846	POS	From	YYY	XXX	03-Nov-2017	75	S	IFEU	B	Dec-2018		73.6	0	ACCTYYY	H

Add Position Transfer																	
<input type="button" value="Validate"/> <input type="button" value="Upload"/> <input type="button" value="Discard"/> Count: 1 Error Ct: 1 Px Warn Ct: 1 Selected Ct: 1																	
From Side							To Side							Common			
TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL		TM	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity		
Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop			Multi-	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-	Multi-	Multi-Pop		
<input checked="" type="checkbox"/>	YYY	Z		ACCTYYY	FROM	11400	XXX				TOXXX		IFEU	B	DEC-2018		
<input type="button" value="Position account Z, Customer Account ACCTYYY is not valid for trading member YYY and exchange IFEU."/> <input type="button" value="Non-standard Trd Px."/>																	

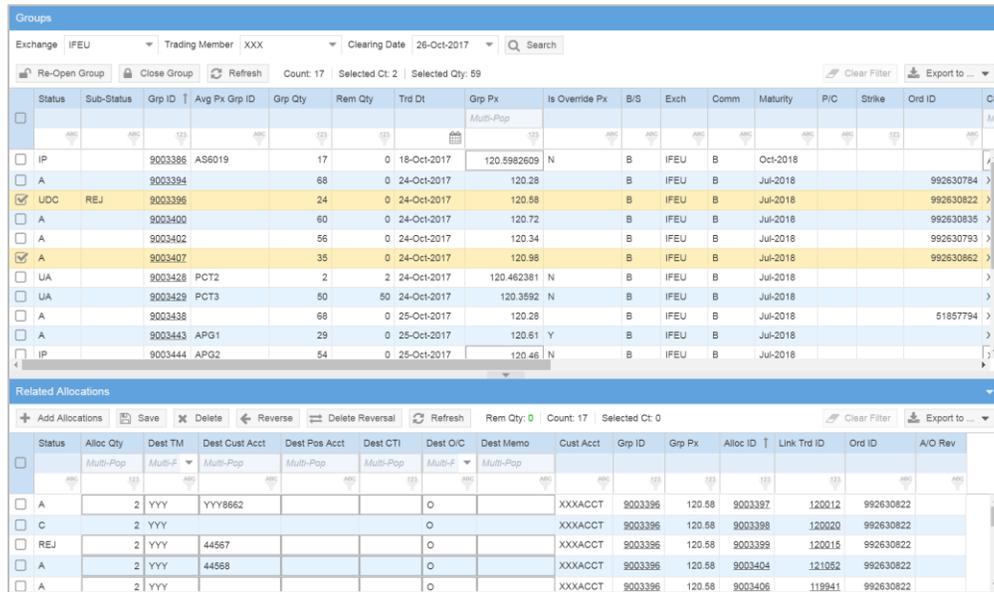
7.3.7. TRANSFER AUDIT TRAIL

The audit trail or history for a specific Transfer may be viewed by clicking on its hyperlinked Trade ID. Audit-trail entries will be listed in chronological order, with the most recent action at the bottom. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.



7.4. GROUP MANAGEMENT

The Groups screen supports management of both regular GU Groups and AP Groups.



The screen is divided into two Data Grids:

- Groups** - The top grid lists all GU and AP Groups which match the Search and Filter criteria.

Groups													
Exchange		IFEU		Trading Member		XXX		Clearing Date		26-Oct-2017		Search	
Re-Open Group		Close Group		Refresh		Count: 17		Selected Ct: 2		Selected Qty: 59			
Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity
Multi-Pop													
<input type="checkbox"/>		9003386	AS6019		17	0	18-Oct-2017	120.5982609	N	B	IFEU	B	Oct-20
<input type="checkbox"/>	A	9003394			68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-20
<input checked="" type="checkbox"/>	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-20
<input type="checkbox"/>	A	9003400			60	0	24-Oct-2017	120.72		B	IFEU	B	Jul-20
<input type="checkbox"/>	A	9003402			56	0	24-Oct-2017	120.34		B	IFEU	B	Jul-20
<input checked="" type="checkbox"/>	A	9003407			35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003428	PCT2		2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003429	PCT3		50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-20

Grid Controls for the Groups grid includes the following action button:

- **Re-Open Group** - Allows the User to re-open an unallocated AP Group
- **Close Group** - Allows the User to close an AP Group, making it eligible for allocation

It also includes the following summarization details:

- **Count** - The number of Groups matching the Search and Filter criteria
- **Selected Ct** - The number of Groups selected in the grid
- **Selected Qty** - The total quantity of all selected Groups in the grid (i.e. sum of their Grp Qty)

2. **Related Allocations** - The lower grid lists all Allocations related to the Group(s) selected in the upper grid. (See *Allocation Management*, below, for details and instructions.)

Related Allocations													
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 0 Count: 17 Selected Ct: 1	
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest OIC	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link	
Multi-Pop													
<input type="checkbox"/>	A	2	YYY	YYY8862				XXXACCT	9003396	120.58	9003397		
<input type="checkbox"/>	C	2	YYY					XXXACCT	9003396	120.58	9003398		
<input type="checkbox"/>	REJ	2	YYY	44567				XXXACCT	9003396	120.58	9003399		
<input checked="" type="checkbox"/>	A	2	YYY	44568				XXXACCT	9003396	120.58	9003404		
<input type="checkbox"/>	A	2	YYY					XXXACCT	9003396	120.58	9003406		
<input type="checkbox"/>	A	7	YYY					XXXACCT	9003407	120.98	9003408		

7.4.1. RE-OPENING AN AVERAGE PRICE GROUP

An AP Group which is not allocated (Status=UA) may be re-opened, in order to add transactions to, or remove them from the Group, or to recalculate the Group's average price. If the Group is already allocated, any unaccepted Allocation(s) (Status=A or REJ) must be deleted, and any accepted allocations (Status=C or RRV) must be confirmed as reversed (Status=CRV), prior to performing Re-Open Group.

Note: This function is not available when Clearing Date is set to a prior business date.

To Re-Open AP Group(s):

1. In the Groups grid, select the AP Group(s) you wish to re-open. Note in the example below that Grp Qty=Rem Qty, indicating there are no outstanding allocations still associated with the Group.

Groups												
Exchange		IFEU		Trading Member		XXX		Clearing Date		26-Oct-2017		Search
Re-Open Group		Close Group		Refresh		Count: 17		Selected Ct: 1		Selected Qty: 29		
Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm
								Multi-Pop				
<input type="checkbox"/>												
<input type="checkbox"/>	A	9003438			68	0	25-Oct-2017	120.28		B	IFEU	B
<input checked="" type="checkbox"/>	UA	9003443	APG1		29	29	25-Oct-2017	120.61	Y	B	IFEU	B
<input type="checkbox"/>	IP	9003444	APG2		54	0	25-Oct-2017	120.46	N	B	IFEU	B
<input type="checkbox"/>	UA	9003445	APG3		82	82	25-Oct-2017	120.53	Y	B	IFEU	B
<input type="checkbox"/>	IP	9003456	PCT4		11	0	24-Oct-2017	120.9	N	B	IFEU	B
<input type="checkbox"/>	A	9003458			11	0	24-Oct-2017	120.9		B	IFEU	B
<input type="checkbox"/>	UA	9003461	PCT2		14	14	24-Oct-2017	120.462381	N	B	IFEU	B

Related Allocations																	
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 29		Count: 3		Selected Ct: 0	
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Comm							
		Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F										
<input type="checkbox"/>																	
<input type="checkbox"/>	CRV	8	YYY	12889	H			XXXAPO...	9003443								
<input type="checkbox"/>	CRV	8	YYY	45109				XXXAPO...	9003443								
<input type="checkbox"/>	CRV	7	YYY	63345				XXXAPO...	9003443								

- Click [Re-Open] to re-open the selected AP Group(s). The grid will refresh, and the re-opened AP Group(s) will update to Status=IP, and any reversed allocations (Status=CRV) will be removed from the Related Allocations grid.

7.4.2. CLOSING AN AVERAGE PRICE GROUP

An AP Group which is “in progress” (Status=IP) must be closed in order to finalize the Group’s average price, and make it eligible for allocation. ICE FEC will calculate an actual average price, a price rounded to the nearest tick for the Group’s product, and a residual price per contract relative to the rounded price. At the time of AP Group close, the User may assign an alternate, or override price to the Group, which will be applied to allocations instead of the ICE FEC-calculated prices. Other select Group attributes may also be modified at the time an AP Group is closed.

To Close AP Group(s), without modification:

- In the Groups grid, select the AP Group(s) you wish to close.
- Click [Close Group]; the grid will refresh to show the Group in a “closed” allocable state (Status=UA).

Groups												
Exchange		IFEU		Trading Member		XXX		Clearing Date		26-Oct-2017		Search
Re-Open Group		Close Group		Refresh		Count: 17		Selected Ct: 1		Selected Qty: 17		
Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm
								Multi-Pop				
<input checked="" type="checkbox"/>	IP	9003386	AS6019		17	0	18-Oct-2017	120.5982609	N	B	IFEU	B
<input type="checkbox"/>	A	9003394			68	0	24-Oct-2017	120.28		B	IFEU	B
<input type="checkbox"/>	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		B	IFEU	B
<input type="checkbox"/>	A	9003400			60	0	24-Oct-2017	120.72		B	IFEU	B

To Close AP Group(s) with modifications, including override price:

1. In the Groups grid, modify value(s) on the Groups(s) you wish to close; Cust Acct, Cust LEI, CTI (where applicable) and/or User Memo are optionally editable; note that Cust Acct is not editable for ISOC accounts; editing the row will automatically select it.

Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Cor
<input checked="" type="checkbox"/>	IP	9003386	AS6019	17	0	18-Oct-2017	120.6	N	B	IFEU	B	
<input type="checkbox"/>	A	9003394		68	0	24-Oct-2017	120.28		B	IFEU	B	
<input type="checkbox"/>	UDC	REJ	9003396	24	0	24-Oct-2017	120.58		B	IFEU	B	
<input type="checkbox"/>	A	9003400		60	0	24-Oct-2017	120.72		B	IFEU	B	
<input type="checkbox"/>	A	9003402		56	0	24-Oct-2017	120.34		B	IFEU	B	

2. If you wish to enter an override price, modify the Group's Grp Px.
 - If the entered override price is not a valid tick size, then the Grp Px cell will be shaded and a mouse-over error will display. Closing the group with an invalid Grp Px will not be allowed.

Grp Px	Is Override Px	B/S	Exch	Comm	Ma
Multi-Pop					
120.7375	N	B	IFEU	B	Oct

- If the entered override price is more than 10 ticks from the calculated Rnd Px, then the Grp Px cell will be shaded and a mouse-over alert will display the notional impact the override price will have. Closing the group with an override price that is out of range is allowed.

Grp Px	Is Override Px	B/S	Exch	Comm	Maturity	P/C	Strike	C
Multi-Pop								
120.73	N	B	IFEU	B	Oct-2018			

3. Repeat until all Groups are edited, as necessary.
4. Click [Close Group] to save the edited Group(s); the grid will refresh to show all updated values and the Group in a "closed" and allocable state (Status=UA).

Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Cor
<input type="checkbox"/>	UA	9003386	AS6019	17	17	18-Oct-2017	120.6	Y	B	IFEU	B	
<input type="checkbox"/>	A	9003394		68	0	24-Oct-2017	120.28		B	IFEU	B	
<input type="checkbox"/>	UDC	REJ	9003396	24	0	24-Oct-2017	120.58		B	IFEU	B	

7.4.3. GROUP ERRORS

While certain invalid actions are prevented by the ICE FEC interface itself, others are allowed but may fail to be processed for one reason or another.

In the latter case, when a requested action on a Group cannot be completed by ICE FEC, the User will be alerted in the Groups grid.

1. A temporary alert will appear at the top of the Groups screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Groups grid on each row which failed. The User can mouse over the indicator to view the row's error reason.
3. The Groups grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, two Groups (Avg Px Grp IDs APG20 and APG21) are selected by a User for Re-Open.

Status	Sub-Status	Gr...	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Com
<input type="checkbox"/>											
<input checked="" type="checkbox"/>	UA		9003483 APG20	42	42	26-Oct-2017	120.34	N	B	IFEU	B
<input checked="" type="checkbox"/>	UA		9003484 APG21	34	34	26-Oct-2017	120.28	N	B	IFEU	B
<input type="checkbox"/>	A		9003438	68	0	25-Oct-2017	120.28		B	IFEU	B
<input type="checkbox"/>	UA		9003443 APG1	29	29	25-Oct-2017	120.61	Y	B	IFEU	B
<input type="checkbox"/>	IP		9003444 APG2	54	0	25-Oct-2017	120.46	N	B	IFEU	B

Suppose Group APG20 is allocated by another User or via FIXML before the above Re-Open request is completed. In this case, Group APG20 will display an error indicator, as pictured below. Note that Group APG21 now shows Status=IP, signifying its Re-Open action was successful.

Status	Sub-Status	Gr...	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Com
<input type="checkbox"/>	IP		9003444 APG2	54	0	25-Oct-2017	120.46	N	B	IFEU	B
<input checked="" type="checkbox"/>	UA		9003483 APG20	42	42	26-Oct-2017	120.34	N	B	IFEU	B
<input type="checkbox"/>	IP		9003484 APG21	34	0	26-Oct-2017	120.28	N	B	IFEU	B
<input type="checkbox"/>	UA		9003445 APG3	82	82	25-Oct-2017	120.53	Y	B	IFEU	B
<input type="checkbox"/>	UA		9003386 AS6019	17	17	18-Oct-2017	120.6	Y	B	IFEU	B

7.4.4. GROUP DETAILS

The list of trades and/or claims which make up a Group may be viewed by clicking on its hyperlinked Grp ID. This feature is available for either a regular give-up or an average-price Group. Note that the same information is available from the Grp ID hyperlink in the Related Allocations grid. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.

AP Grp ID:	Grp Px:	Calc Px:	Rnd Px:	Override Px:	Unit Resid:	Total Resid:
APG1	120.61	120.6103448	120.62	120.61	9.66	280.14

Trd/Claim ID	Grouped Qty	Link Trd ID	Link Trd Price	Deal ID	Ord ID	Cust Acct
119988	8	119988	8	120.46	518578322	51857829 XXXACCT
120039	2	120039	2	120.58	518578392	51857838 XXXACCT
119993	7	119993	7	120.58	518578572	51857856 XXXACCT
121061	8	121061	8	120.46	518578372	51857829 XXXACCT
121068	2	121068	2	120.58	518578422	51857838 XXXACCT

For an AP Group, the Group's pricing detail will also be displayed, including the Group's current price (Grp Px), the system-calculated average (Calc Px), rounded price (Rnd Px), residual per contract (Unit Resid) and residual for the Group (Total Resid). If an override price was entered during close it will also be displayed (Override Px).

7.5. ALLOCATION MANAGEMENT

The Groups screen supports allocation of GU Groups and "closed" AP Groups. It also supports management of allocations after they are created.

Status	Sub-Status	Grp ID	Avg Px	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity	PIC	Strike	Ord ID	Cust Acct
IP		9003386	A56019	17	0	18-Oct-2017	120.5982609	N	B	IFEU	B	Oct-2018				
A		9003394		68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-2018			992630784	
UDC	REJ	9003395		24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-2018			992630822	
A		9003400		60	0	24-Oct-2017	120.72		B	IFEU	B	Jul-2018			992630835	
A		9003402		56	0	24-Oct-2017	120.34		B	IFEU	B	Jul-2018			992630793	
A		9003407		35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-2018			992630862	
UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-2018				
UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-2018				
A		9003438		68	0	25-Oct-2017	120.28		B	IFEU	B	Jul-2018			51857794	
A		9003443	APG1	29	0	25-Oct-2017	120.61	Y	B	IFEU	B	Jul-2018				
IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	B	IFEU	B	Jul-2018				

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link Trd ID	Ord ID	A/O Rev
A	2	YYY	YYY8662			O		XXXACCT	9003396	120.58	9003397	120012	992630822	
C	2	YYY				O		XXXACCT	9003396	120.58	9003398	120020	992630822	
REJ	2	YYY	44567			O		XXXACCT	9003396	120.58	9003399	120015	992630822	
A	2	YYY	44568			O		XXXACCT	9003396	120.58	9003404	121052	992630822	
A	2	YYY				O		XXXACCT	9003396	120.58	9003406	119941	992630822	

The screen is divided into two Data Grids:

- Groups** - The top grid lists all GU and AP Groups which match the Search and Filter criteria.

Groups													
Exchange		IFEU		Trading Member		XXX		Clearing Date		26-Oct-2017		Search	
Re-Open Group		Close Group		Refresh		Count: 17		Selected Ct: 2		Selected Qty: 59			
Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity
	IP	9003386	AS6019		17	0	18-Oct-2017	120.5982609	N	B	IFEU	B	Oct-20
	A	9003394			68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-201
<input checked="" type="checkbox"/>	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-201
	A	9003400			60	0	24-Oct-2017	120.72		B	IFEU	B	Jul-201
	A	9003402			56	0	24-Oct-2017	120.34		B	IFEU	B	Jul-201
<input checked="" type="checkbox"/>	A	9003407			35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-201
	UA	9003428	PCT2		2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-201
	UA	9003429	PCT3		50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-201

Grid Controls for the Groups grid includes the following action button:

- **Re-Open** - Allows the User to re-open an unallocated AP Group (see *Group Management*, above, for details and instructions)
- **Close Group** - Allows the User to close an AP Group, making it eligible for allocation

It also includes the following summarization details:

- **Count** - The number of Groups matching the Search and Filter criteria
- **Selected Ct** - The number of Groups selected in the grid
- **Selected Qty** - The total quantity of all selected Groups in the grid (i.e. sum of their Grp Qty)

2. **Related Allocations** - The lower grid lists all Allocations related to the Group(s) selected in the upper grid.

Related Allocations													
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 0 Count: 17 Selected Ct: 1	
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest OIC	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Li	
	A	2	YYY	YYY8662			O	XXXACCT	9003396	120.58	9003397		
	C	2	YYY				O	XXXACCT	9003396	120.58	9003398		
	REJ	2	YYY	44567			O	XXXACCT	9003396	120.58	9003399		
<input checked="" type="checkbox"/>	A	2	YYY	44568			O	XXXACCT	9003396	120.58	9003404		
	A	2	YYY				O	XXXACCT	9003396	120.58	9003406		
	A	7	YYY				O	XXXACCT	9003407	120.98	9003408		

Grid Controls for the Related Allocations grid include the following action buttons:

- **Add Allocations** - Allows the User to add additional Allocations to the selected Group or Groups
- **Save** - Saves new Allocations entered by the User and/or edits made to existing Allocations
- **Delete** - Deletes or cancels unaccepted Allocations
- **Reverse** - Initiates reversal of accepted Allocations
- **Delete Reversal** - Cancels unconfirmed reversal requests
- **Refresh** - Discards any unsaved new allocations or edits, deselects all rows, and updates the grid's data from the server

It also includes the following summarization details:

- **Rem Qty** - The total unallocated quantity of all selected Groups in the upper grid (i.e. the sum of their Rem Qty)

- **Count** - The number of Allocations matching the Search and Filter criteria
- **Selected Ct** - The number of Allocations selected in the grid

7.5.1. ALLOCATING TO A SINGLE DESTINATION

More than one Group may be allocated at once, provided the User allocates the unallocated quantity of each Group to the same destination Member. For example, the User may allocate an unallocated Group (Status=UA) and an under-allocated Group (Status=UDA) at the same time, and the Rem Qty of each Group will be allocated to the same Dest TM.

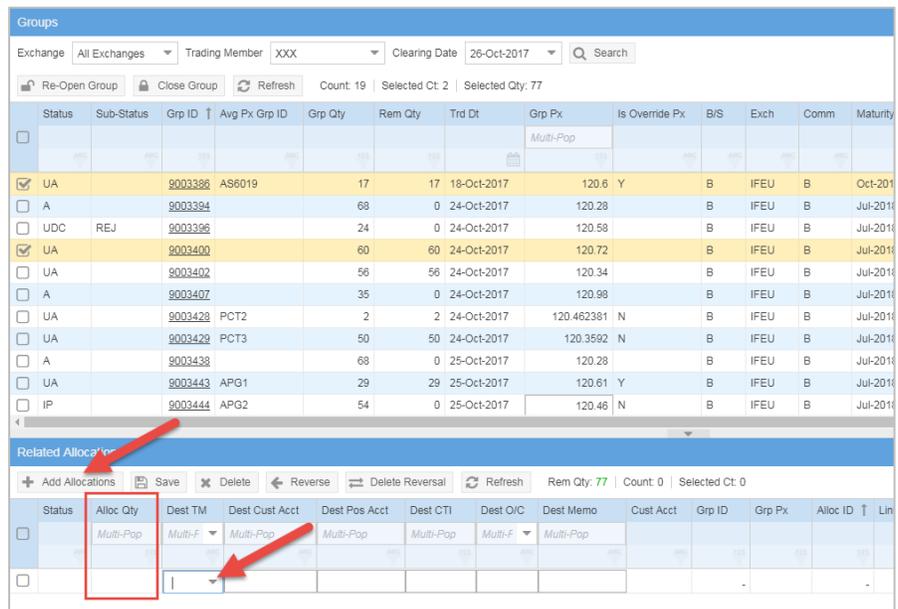
Note: Alternatively, Groups may be allocated separately to different destinations, or to more than one destination. See *Allocating to Multiple Destinations*, below.

Note: Existing Allocations may be edited and new Allocations added at the same time, to be saved in a single Save action. To ensure Alloc Qty is calculated properly for the new Allocations, we recommend completing all edits before adding new Allocations.

Note: This function is not available when Clearing Date is set to a prior business date.

To allocate more than one Group to a single destination:

1. In the Groups grid, select the Groups you wish to allocate.
2. In the Related Allocations grid, click [Add Allocations]; a blank entry row will be displayed in the grid. Notice that the Alloc Qty field is disabled, indicating the full Rem Qty of each selected Group will be allocated.



3. Enter the Dest TM (required), and any additional destination detail you wish.

Groups													
Exchange		All Exchanges		Trading Member		XXX		Clearing Date		26-Oct-2017		Search	
Re-Open Group		Close Group		Refresh		Count: 19		Selected Ct: 2		Selected Qty: 77			
Status	Sub-Status	Grp ID ↑	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Matur
<input checked="" type="checkbox"/>	UA	9003386		AS6019	17	17	18-Oct-2017	120.6	Y	B	IFEU	B	Oct-2
<input type="checkbox"/>	A	9003394			68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-20
<input type="checkbox"/>	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-20
<input checked="" type="checkbox"/>	UA	9003400			60	60	24-Oct-2017	120.72		B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003402			56	56	24-Oct-2017	120.34		B	IFEU	B	Jul-20
<input type="checkbox"/>	A	9003407			35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003428	PCT2		2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003429	PCT3		50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-20
<input type="checkbox"/>	A	9003438			68	0	25-Oct-2017	120.28		B	IFEU	B	Jul-20
<input type="checkbox"/>	UA	9003443	APG1		29	29	25-Oct-2017	120.61	Y	B	IFEU	B	Jul-20
<input type="checkbox"/>	IP	9003444	APG2		54	0	25-Oct-2017	120.46	N	B	IFEU	B	Jul-20

Related Allocations													
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 77 Count: 0 Selected Ct: 1	
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID ↑	Link Trd ID	Ord ID
<input checked="" type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop					
<input checked="" type="checkbox"/>		YYY	MULTI										

- Click [Save], or hit <Ctrl+Enter> to save the allocation. The grid will refresh to show all Allocation(s) generated from the entered information (Status=A), with additional details such as Grp ID, Alloc ID and Link Trd ID also populated. If a Group was made up of multiple trades, the Rem Qty per Group will be split into at least one Allocation per trade.

Related Allocations													
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 0 Count: 4 Selected Ct: 0	
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID ↑	Link Trd ID	Ord ID
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop						
<input type="checkbox"/>	20	YYY	MULTI			O	XXXACCT		9003400	120.72	9003488	120016	992630835
<input type="checkbox"/>	20	YYY	MULTI			O	XXXACCT		9003400	120.72	9003489	120069	992630835
<input type="checkbox"/>	20	YYY	MULTI			O	XXXACCT		9003400	120.72	9003490	119563	992630835
<input type="checkbox"/>	17	YYY	MULTI			O	ACS6019		9003386	120.6	9003491	119904	459028328

7.5.2. ALLOCATING TO MULTIPLE DESTINATIONS

To allocate a Group to more than one destination Member, or to divide the Grp Qty among different accounts at the same destination Member, the User must allocate the individual Group, by itself. A single Allocation may also be added for the Group using this method. For example, the User may allocate an unallocated Group (Status=UA) OR an under-allocated Group (Status=UDA), and the Rem Qty of the Group may be allocated to one or more Dest TMs.

Note: Alternatively, Multiple Groups may be allocated in a single action to one destination. See *Allocating to a Single Destination*, above.

Note: Existing Allocations may be edited and new Allocations added at the same time, to be saved in a single Save action. To ensure Alloc Qty is calculated properly for the new Allocations, we recommend completing all edits before adding new Allocations.

Note: This function is not available when Clearing Date is set to a prior business date.

To allocate an individual Group to one or more destination(s):

1. In the Groups grid, select the single Group you wish to allocate.
2. In the Related Allocations grid, click [Add Allocations]; a blank entry row will be displayed in the grid, with Alloc Qty defaulted to zero (0).

Groups

Exchange: All Exchanges | Trading Member: XXX | Clearing Date: 26-Oct-2017 | Search

Re-Open Group | Close Group | Refresh | Count: 19 | Selected Ct: 1 | Selected Qty: 56

Status	Sub-Status	Grp ID	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity
<input type="checkbox"/>							Multi-Pop					
<input type="checkbox"/>	A	9003396	AS6019	17	0	18-Oct-2017	120.6	Y	B	IFEU	B	Oct-2017
<input type="checkbox"/>	A	9003394		68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UDC	REJ	9003396	24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003400		60	0	24-Oct-2017	120.72		B	IFEU	B	Jul-2016
<input checked="" type="checkbox"/>	UA	9003402		56	56	24-Oct-2017	120.34		B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003407		35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003428	PCT2	2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003429	PCT3	50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003438		68	0	25-Oct-2017	120.28		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003443	APG1	29	29	25-Oct-2017	120.61	Y	B	IFEU	B	Jul-2016
<input type="checkbox"/>	IP	9003444	APG2	54	0	25-Oct-2017	120.46	N	B	IFEU	B	Jul-2016

Related Allocations

+ Add Allocations | Save | Delete | Reverse | Delete Reversal | Refresh | Rem Qty: 56 | Count: 0 | Selected Ct: 0

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop				
<input type="checkbox"/>												

3. Enter the Alloc Qty (required) and Dest TM (required), and any additional destination detail you wish. Notice that a new entry row is added below, when you begin populating a row. Repeat until all Allocations are entered.

Groups

Exchange: All Exchanges | Trading Member: XXX | Clearing Date: 26-Oct-2017 | Search

Re-Open Group | Close Group | Refresh | Count: 19 | Selected Ct: 1 | Selected Qty: 56

Status	Sub-Status	Grp ID	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity
<input type="checkbox"/>							Multi-Pop					
<input type="checkbox"/>	A	9003396	AS6019	17	0	18-Oct-2017	120.6	Y	B	IFEU	B	Oct-2017
<input type="checkbox"/>	A	9003394		68	0	24-Oct-2017	120.28		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UDC	REJ	9003396	24	0	24-Oct-2017	120.58		B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003400		60	0	24-Oct-2017	120.72		B	IFEU	B	Jul-2016
<input checked="" type="checkbox"/>	UA	9003402		56	56	24-Oct-2017	120.34		B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003407		35	0	24-Oct-2017	120.98		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003428	PCT2	2	2	24-Oct-2017	120.462381	N	B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003429	PCT3	50	50	24-Oct-2017	120.3592	N	B	IFEU	B	Jul-2016
<input type="checkbox"/>	A	9003438		68	0	25-Oct-2017	120.28		B	IFEU	B	Jul-2016
<input type="checkbox"/>	UA	9003443	APG1	29	29	25-Oct-2017	120.61	Y	B	IFEU	B	Jul-2016
<input type="checkbox"/>	IP	9003444	APG2	54	0	25-Oct-2017	120.46	N	B	IFEU	B	Jul-2016

Related Allocations

+ Add Allocations | Save | Delete | Reverse | Delete Reversal | Refresh | Rem Qty: 7 | Count: 4 | Selected Ct: 4

Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop				
<input checked="" type="checkbox"/>	7	YYY	ONETRD1									
<input checked="" type="checkbox"/>	14	YYY	ONETRD2									
<input checked="" type="checkbox"/>	18	YYY	ONETRD3									
<input checked="" type="checkbox"/>	10	YYY	ONETRD4									
<input type="checkbox"/>	0											

4. Click [Save], or hit <Ctrl+Enter> to save the allocation(s). The grid will refresh to show all Allocation(s) generated from the entered information (Status=A), with additional details such as Grp ID, Alloc ID and Link Trd ID also populated. If a Group was made up of multiple trades, each Alloc Qty you entered may be split across trades.

Related Allocations														
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 7 Count: 5 Selected Ct: 0														
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CT1	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID ↑	Link Trd ID	Ord ID	A/O Rev
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop						
<input type="checkbox"/>	A	7	YYY	ONETRD1			O	XXXACCT	9003402	120.34	9003494	120018	992630793	
<input type="checkbox"/>	A	14	YYY	ONETRD2			O	XXXACCT	9003402	120.34	9003495	120054	992630793	
<input type="checkbox"/>	A	14	YYY	ONETRD3			O	XXXACCT	9003402	120.34	9003496	119942	992630793	
<input type="checkbox"/>	A	4	YYY	ONETRD3			O	XXXACCT	9003402	120.34	9003497	120018	992630793	
<input type="checkbox"/>	A	10	YYY	ONETRD4			O	XXXACCT	9003402	120.34	9003498	119954	992630793	

7.5.3. EDITING EXISTING ALLOCATIONS

Existing Allocations which have not been accepted by the Dest TM (Status = A or REJ) may be modified. Further, Allocations related to more than one Group may be edited at the same time.

Note: Existing Allocations may be edited and new Allocations added, to be saved in a single Save action. To ensure Alloc Qty is calculated properly for the new Allocations, we recommend completing all edits before adding new Allocations.

Note: This function is not available when Clearing Date is set to a prior business date.

To edit existing, unaccepted Allocation(s):

1. In the Groups grid, select the Group(s) for which you wish to edit Allocation(s).
2. In the Related Allocations grid, modify value(s) on the Allocation you wish to edit; Alloc Qty and Dest Firm are required; any additional destination detail may be left blank.

Related Allocations														
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 7 Count: 5 Selected Ct: 3														
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CT1	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID ↑	Link Trd ID	Ord ID	A/O Rev
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop						
<input type="checkbox"/>	A	7	YYY	ONETRD1			O	XXXACCT	9003402	120.34	9003494	120018	992630793	
<input checked="" type="checkbox"/>	A	14	ZZZ	CHANGE1			O	XXXACCT	9003402	120.34	9003495	120054	992630793	
<input checked="" type="checkbox"/>	A	14	ZZZ	CHANGE2			O	XXXACCT	9003402	120.34	9003496	119942	992630793	
<input type="checkbox"/>	A	4	YYY	ONETRD3			O	XXXACCT	9003402	120.34	9003497	120018	992630793	
<input checked="" type="checkbox"/>	A	10	ZZZ	ONETRD4			O	XXXACCT	9003402	120.34	9003498	119954	992630793	

3. Repeat until all Allocations are edited, as necessary.
4. Click [Save], or hit <Ctrl+Enter> to save the edited allocation(s). The grid will refresh to show all updated values (Status=A).

7.5.4. DELETING ALLOCATIONS

An allocation which has not been accepted by the Dest TM (Status = A or REJ) may be deleted by the User. Further, Allocations related to more than one Group may be deleted at the same time.

Note: This function is not available when Clearing Date is set to a prior business date.

To delete an existing, unaccepted Allocation(s):

1. In the Groups grid, select the Group(s) for which you wish to delete Allocation(s).
2. In the Related Allocations grid, select the Allocation(s) which you wish to delete.

Related Allocations										
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 0 Count: 6 Selected Ct: 2										
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop			
<input type="checkbox"/>		123				123			123	
<input type="checkbox"/>	C	3	YYY	MULT11			O	XXXACCT	9002769	
<input checked="" type="checkbox"/>	A	3	YYY	GIVUP1			O	XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP2			O	XXXACCT	9002769	
<input checked="" type="checkbox"/>	REJ	3	YYY	GIVUP3			O	XXXACCT	9002769	
<input type="checkbox"/>	C	3	YYY	MULT11			O	XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP4			O	XXXACCT	9002769	

3. Click [Delete] to delete the selected Allocation(s). The grid will refresh, and the deleted records will no longer appear.

7.5.5. REQUESTING AN ALLOCATION REVERSAL

Reversal of an allocation which has been accepted by the Dest TM (Status = C) may be requested by the User. Further, Allocations related to more than one Group may be reversed at the same time.

To reverse an existing, accepted Allocation(s):

1. In the Groups grid, select the Group(s) for which you wish to reverse Allocation(s).
2. In the Related Allocations grid, select the Allocation(s) which you wish to reverse.

Related Allocations										
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 0 Count: 6 Selected Ct: 2										
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
	Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop			
<input checked="" type="checkbox"/>	C	3	YYY	MULT11			O	XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP1			O	XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP2			O	XXXACCT	9002769	
<input type="checkbox"/>	REJ	3	YYY	GIVUP3			O	XXXACCT	9002769	
<input checked="" type="checkbox"/>	C	3	YYY	MULT11			O	XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP4			O	XXXACCT	9002769	

3. Click [Reverse] to request reversal of the selected Allocation(s). The grid will refresh to show the requested-reversal records (Status=RRV). An RRV Allocation will show blank A/O Rev if the Allocation was accepted on the current clearing date, or A/O Rev=Y if it represents reversal requested against an Allocation which was accepted on a prior clearing day.

7.5.6. DELETING A REVERSAL REQUEST

A reversal request which has not been confirmed by the Dest TM (Status = RRV) may be deleted by the User. Further, requested reversal of Allocations related to more than one Group may be deleted at the same time.

Note: This function is not available when Clearing Date is set to a prior business date. Instead, set Clearing Date to the current business date, to delete reversal requested against either current-day or prior-day Allocation(s).

To delete an unconfirmed reversal request of an existing Allocation(s):

1. In the Groups grid, select the Group(s) for which you wish to delete reversal request(s).
2. In the Related Allocations grid, select the Allocation(s) for which you wish to delete reversal request(s). Those with blank A/O Rev are current-day reversal requests; A/O Rev=Y indicates a reversal request against a prior-day Allocation.

Related Allocations											
<input type="button" value="+ Add Allocations"/> <input type="button" value="Save"/> <input type="button" value="Delete"/> <input type="button" value="Reverse"/> <input type="button" value="Delete Reversal"/> <input type="button" value="Refresh"/> Rem Qty: 0 Count: 6 Selected Ct: 1											
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest C/T	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp
			Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop			
		ABC	113	ABC	ABC	ABC	113	ABC	ABC	ABC	113
<input checked="" type="checkbox"/>	RRV	3	YYY	MULTI1			O		XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP1			O		XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP2			O		XXXACCT	9002769	
<input type="checkbox"/>	REJ	3	YYY	GIVUP3			O		XXXACCT	9002769	
<input type="checkbox"/>	RRV	3	YYY	MULTI1			O		XXXACCT	9002769	
<input type="checkbox"/>	A	3	YYY	GIVUP4			O		XXXACCT	9002769	

3. Click [Delete Reversal] to delete the reversal request for the selected Allocation(s). The grid will refresh to show Allocations, which were accepted on the current clearing date, reverted to their claimed state (Status=C). If the reversal was initiated against a prior-day cleared Allocation, then the rows will be removed from the Related Allocations grid.

7.5.7. ALLOCATION ERRORS

While certain invalid actions are prevented by the ICE FEC interface itself, others are allowed but may fail to be processed for one reason or another.

In the latter case, when a requested action on an Allocation cannot be completed by ICE FEC, the User will be alerted in the Related Allocations grid.

7.5.7.1. ERRORS ON NEW ALLOCATIONS

When the User is creating new Allocations, if *any* requested Allocation fails to be created against a selected Group, then *no* new Allocations will be created for that Group.

1. A temporary alert will appear at the top of the Groups screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Related Allocations grid on each row which failed. The User can mouse over the indicator to view the row's error reason.
3. Any new row which did not itself fail but which is related to the same Group will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. Any new row related to a different Group for which there are no errors, will be processed successfully.
5. The Related Allocations grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, the Group below shows three newly entered Allocations against it. Two of the new Allocations are valid, while one is invalid.

Groups												
Exchange		All Exchanges		Trading Member		YYY		Clearing Date		26-Oct-2017		Q Search
Re-Open Group		Close Group		Refresh		Count: 5		Selected Ct: 1		Selected Qty: 492		
Status	Sub-Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exc	
<input checked="" type="checkbox"/>	UA	9000971	AP67		492	492	24-Oct-2017	120.5358943	N	S	IFE	
<input type="checkbox"/>	IP	9000952	YYYPCT		28	0	24-Oct-2017	120.6326191	N	B	IFE	
<input type="checkbox"/>	UA	9000953			34	34	24-Oct-2017	120.8957143		B	IFE	
<input type="checkbox"/>	IP	9000971	TEST		17	0	26-Oct-2017	120.28	N	S	IFE	
<input type="checkbox"/>	A	9000988			12	0	26-Oct-2017	120.88		S	IFE	

Related Allocations												
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 347 Count: 3 Selected Ct: 3
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp		
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop					
<input checked="" type="checkbox"/>	50	ZZZ	VALID									
<input checked="" type="checkbox"/>	35	ZZZ	VALID2									
<input checked="" type="checkbox"/>	60		INVALID									
<input type="checkbox"/>	0											

After Save, the one invalid row shows an error indicator and reason, while the two valid rows do not. All three rows remain selected and in an edited state (“dirty”), and will need to be resaved after the user corrects the noted error.

Related Allocations												
Add Allocations		Save		Delete		Reverse		Delete Reversal		Refresh		Rem Qty: 347 Count: 3 Selected Ct: 3
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp		
<input checked="" type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop					
<input checked="" type="checkbox"/>	50	ZZZ	VALID									
<input checked="" type="checkbox"/>	35	ZZZ	VALID2									
<input checked="" type="checkbox"/>	60		INVALID									

invalid opposing firm

7.5.7.2. ERRORS ON EXISTING ALLOCATIONS

When the User is acting on existing Allocations, the requested action will fail or be successful per record, independent of any other failures that occur.

1. A temporary alert will appear at the top of the Groups screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Related Allocations grid on each existing Allocation which failed. The User can mouse over the indicator to view the row’s error reason.
3. Any actioned Allocation for which there are no errors will be processed successfully.
4. The Related Allocations grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, this Group (Grp ID 113051) has four existing Allocations against it, with two of them selected for reversal.

Related Allocations													
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 8 Count: 4 Selected Ct: 2													
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link	Ord ID
<input type="checkbox"/>		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F	Multi-Pop					
<input checked="" type="checkbox"/>	C	1	XXX	DV701	H	1	O	XXXACCT	113051	121.25	9003402		
<input checked="" type="checkbox"/>	C	1	XXX	DV702	H	1	O	XXXACCT	113051	121.25	9003404		
<input type="checkbox"/>	C	5	YYY				O	XXXACCT	113051	121.25	9003425		
<input type="checkbox"/>	CRV	3	YYY	ABD02			O	XXXACCT	113051	121.25	9003426		

Suppose one of the selected Allocations (Alloc ID 9003404) is reversed by another User or via FIXML before the above Reverse request is completed. In this case, Allocation 9003404 will display an error indicator and reason, as pictured below, while Allocation 9003402 will be deselected and reflect the expected Status update, signifying its Reverse action was successful.

Related Allocations													
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 8 Count: 4 Selected Ct: 1													
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link	Ord ID
<input type="checkbox"/>	RRV	1	XXX	DV701	H	1	O	XXXACCT	113051	121.25	9003402		
<input checked="" type="checkbox"/>	C	1	XXX	DV702	H	1	O	XXXACCT	113051	121.25	9003404		
<input type="checkbox"/>	C	5	YYY				O	XXXACCT	113051	121.25	9003425		
<input type="checkbox"/>	CRV	3	YYY	ABD02			O	XXXACCT	113051	121.25	9003426		

reversal request invalid - allocation already requested for reversal.

7.5.8. ALLOCATION AUDIT TRAIL

The audit trail or history for a specific Allocation may be viewed by clicking on its hyperlinked Alloc ID. Audit-trail entries will be listed in chronological order, with the most recent action at the bottom. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.

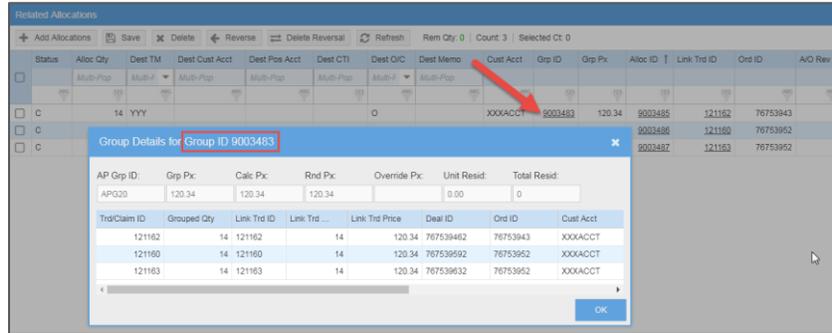
Related Allocations														
+ Add Allocations Save Delete Reverse Delete Reversal Refresh Rem Qty: 0 Count: 4 Selected Ct: 0														
Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID	Link	Trd ID	Ord ID
<input type="checkbox"/>	C	19	YYY				O	XXXACCT	110426	122.2901	9003386	110290	7709281	
<input type="checkbox"/>	RRV	2	YYY				O	XXXACCT	110426	122.2901	9003387	110286	7709281	
<input type="checkbox"/>	C	2	YYY				O	XXXACCT	110426	122.2901	9003387	110286	7709281	
<input type="checkbox"/>	C	2	YYY				O	XXXACCT	110426	122.2901	9003387	110286	7709281	

Audit Trail for Alloc ID 9003387

Update User	Update TS	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo
alison_podium	24-Jan-2018 13:47:54 GMT	A	2	YYY				O	
alison_podium	24-Jan-2018 13:49:12 GMT	C	2	YYY				O	
alison_podium	24-Jan-2018 13:49:31 GMT	RRV	2	YYY				O	

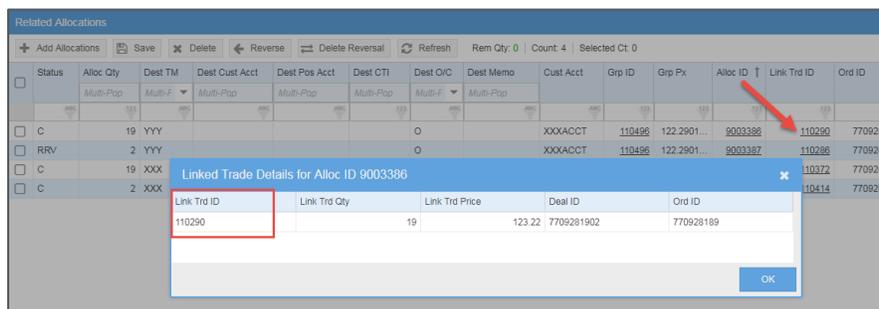
7.5.9. GROUP DETAILS

The list of trades and/or claims which make up the Group from which an Allocation was created may be viewed by clicking on its hyperlinked Grp ID. This feature is available for either a regular GU or an AP Group, with the AP Group version also displaying the Group's pricing detail. Note that the same information is available from the Grp ID hyperlink in the Groups grid. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.



7.5.10. LINKED TRADE DETAILS

The details of the specific trade or claim to which an Allocation was linked during Intelligent Allocation may be viewed by clicking on its hyperlinked Link Trd ID.



7.6. CLAIM MANAGEMENT

The Claims screen supports accepting and rejecting allocations submitted to your Member firm as Dest TM. It also supports management of claims after they have been accepted.

Claims																					
Exchange		All Exchanges		Trading Member		YYY		Clearing Date		25-Jul-2017		Pos Acct									
Comm		Sec Typ		Maturity		B/S		TT		Status											
<input type="checkbox"/> Accept/Save <input type="checkbox"/> Reject <input type="checkbox"/> Confirm Reversal <input type="checkbox"/> Split <input type="checkbox"/> Refresh Count: 49 Selected Ct: 1 Selected Qty: 19 Clear Filter Export to ...																					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	B/S	Exch	Comm	Maturity	P/C	Strike	Claim Px	Opp TM
<input type="checkbox"/>	UC	2	BALANCE		O			9000850	110062		770686960		20-Jul-2017	B	IFED	FNO	Dec-2018			122.22	XXX
<input type="checkbox"/>	UC	6	BALANCE		O			9000851	110112		770686960		20-Jul-2017	B	IFED	FNO	Dec-2018			122.22	XXX
<input type="checkbox"/>	CRV	19	BALANCE	H	2	O		9000852	110111	AP1024	770686931		20-Jul-2017	B	IFED	FNO	Dec-2018			120.6618605	XXX
<input type="checkbox"/>	CRV	6	DECREA...	H	2	O		9000853	110242	AP1024	770928014		20-Jul-2017	B	IFED	FNO	Dec-2018			120.6618605	XXX
<input type="checkbox"/>	CRV	12	NOCHA...	H	2	O		9000854	110238	AP1024	770928014		20-Jul-2017	B	IFED	FNO	Dec-2018			120.6618605	XXX
<input type="checkbox"/>	UC	4	NO CHA...		O			9000947	7783671		345585151		19-Jul-2017	S	IFEU	B	Dec-2017			121.22	GSE
<input type="checkbox"/>	UC	3	REDUCE		O			9000948	7783671		345585151		19-Jul-2017	S	IFEU	B	Dec-2017			121.22	GSE
<input checked="" type="checkbox"/>	CA	19	AER02	H	2	O		9000974	110290	AP1002	770928189		20-Jul-2017	B	IFED	FNO	Dec-2018			122.2901754	XXX
<input type="checkbox"/>	RRV	2	AER02	H	2	O		9000975	110296	AP1002	770928172		20-Jul-2017	B	IFED	FNO	Dec-2018			122.2901754	XXX
<input type="checkbox"/>	C	100	AP2GU	H		O	G	9000886	113053	AP2GU	223808832		25-Jul-2017	B	IFEU	B	Apr-2018			4.4700000	XXX
<input type="checkbox"/>	C	135	AP2GU	H		O	G	9000987	113052	AP2GU	223808832		25-Jul-2017	B	IFEU	B	Apr-2018			4.4700000	XXX

Related Splits																					
<input type="checkbox"/> Save <input type="checkbox"/> Delete <input type="checkbox"/> Refresh Rem Qty: 0 Count: 2 Selected Ct: 0 Clear Filter Export to ...																					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	B/S	Exch	Comm	Maturity	P/C	Strike	Claim Px	Opp TM	
<input type="checkbox"/>	C	10	SPL01	U	2	O	G	9001045	110290	AP1002	770928189		20-Jul-2017	B	IFED	FNO	Dec-2018			122.2901754	XXX
<input type="checkbox"/>	C	9	SPL02	U	2	O		9001046	110290	AP1002	770928189		20-Jul-2017	B	IFED	FNO	Dec-2018			122.2901754	XXX

The screen will display one or two Data Grids:

- Claims** - The top grid lists all Claim records which match the Search and Filter criteria. Will also include claim Split records, when Search criteria includes a prior Clearing Date.

Note: Up to 5,000 Claim records may be selected for action in a single request. Advanced Search fields (Pos Acct, Comm, Sec Typ, Maturity, B/S, TT and Status) are available only in Releases 9.2.2 and later.

Claims																					
Exchange		All Exchanges		Trading Member		YYY		Clearing Date		25-Jul-2017		Pos Acct									
Comm		Sec Typ		Maturity		B/S		TT		Status											
<input type="checkbox"/> Accept/Save <input type="checkbox"/> Reject <input type="checkbox"/> Confirm Reversal <input type="checkbox"/> Split <input type="checkbox"/> Refresh Count: 49 Selected Ct: 2 Selected Qty: 6 Clear Filter Export to ...																					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	B/S	Exch	Comm	Maturity	P/C	Strike	Claim Px	Opp TM
<input type="checkbox"/>	REJ	1	GIV05		O			9000308	110055												
<input checked="" type="checkbox"/>	C	2	AER01	H	2	O		9000837	110052												
<input type="checkbox"/>	UC	5			O			9000838	110201												
<input type="checkbox"/>	UC	3			O			9000839	110052												
<input checked="" type="checkbox"/>	C	4	AER01	H	2	O		9000840	110062												
<input type="checkbox"/>	C	4	AER01	H	2	O		9000841	110212												

Grid Controls for the Claims grid include the following action buttons:

- **Accept/Save** - Accepts unaccepted Claims and/or saves edits made to accepted Claims
- **Reject** - Rejects unaccepted Claims
- **Confirm Reversal** - Confirms requested allocation reversals
- **Split** - Allows the User to split (aka sub-claim) accepted Claims
- **Refresh** - Discards any unsaved claim edits, deselects all rows, and updates the grid's data from the server; any related Splits will also be cleared from the lower grid

It also includes the following summarization details:

- **Count** - The number of Claims matching the Search and Filter criteria

- **Selected Ct** - The number of Claims selected in the grid
- **Selected Qty** - The total quantity of all selected Claims in the grid (i.e. sum of their Claim Qty)

2. **Related Splits** - The lower grid lists all Splits (aka sub-claims) related to the Claim(s) selected in the upper grid.

Note: This grid is not available/applicable when Search criteria include a prior Clearing Date. Split legs which cleared on a previous clearing day will be integrated into the Claims grid when viewing that prior Clearing Date.

Related Splits										
Save		Delete		Refresh		Rem Qty: 0		Count: 2		Selected Ct: 0
<input type="checkbox"/>	Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Claim ID ↑	Link Trd ID	Avg P...
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-H	I/	Multi-Po			
<input type="checkbox"/>	C	10	SPL01	U		2 O	G	9001045	110290	AP100
<input type="checkbox"/>	C	9	SPL02	U		2 O		9001046	110290	AP100

Grid Controls for the Related Splits grid include the following action buttons:

- **Save** - Saves new Splits entered by the User and/or edits made to existing Splits
- **Delete** - Deletes unsaved Splits
- **Refresh** - Discards any unsaved new Splits or edits, deselects all rows, and updates the grid's data from the server

It also includes the following summarization details:

- **Rem Qty** - The total unsplit quantity of all selected Claims in the upper grid (i.e. sum of their Claim Qty, less any Claim Qty entered in the Related Splits grid)
- **Count** - The number of Splits matching the Search and Filter criteria
- **Selected Ct** - The number of Splits selected in the grid

7.6.1. ACCEPTING CLAIMS

Claims which have not been accepted by the Dest TM (Status = UC or REJ) may be accepted. Multiple Claims may be accepted at the same time.

Note: Unaccepted Claims may be accepted, and accepted Claims edited, at the same time, to be saved in a single Accept/Save action.

Note: This function is not available when Clearing Date is set to a prior business date.

To accept unaccepted Claim(s):

1. If the Claim(s) you wish to accept have complete and valid values, select them in the Claims grid; Cust Acct, Pos Acct, CTI (where applicable) and O/C are required; Alloc Meth may be left blank.

- If the Claim(s) you wish to accept are incomplete or incorrect, modify the value(s) you wish to edit; Cust Acct, Pos Acct, CTI (where applicable) and O/C are required; Alloc Meth may be left blank; editing the row will automatically select it.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID	Ord ID
<input type="checkbox"/>	ABC	123	ABC	ABC							
<input checked="" type="checkbox"/>	UC	10	GIV02	U				9654362	4377055		64621082
<input checked="" type="checkbox"/>	UC	20	MODIFY	U		G		9654363	4377013		64621082
<input checked="" type="checkbox"/>	UC	20	GIV03	H				9654364	4377065		64621082
<input checked="" type="checkbox"/>	UC	20	GIV03	H				9654365	4377068		64621082
<input type="checkbox"/>	UC	20	GIV03	H				9654366	4377066		64621082
<input type="checkbox"/>	UC	2	GUP03					9654367	4377010		64621067
<input type="checkbox"/>	UC	3	GUP01					9654368	4377010		64621067
<input type="checkbox"/>	UC	7	GUP02					9654369	4377010		64621067

- Repeat until all Claims are edited and/or selected, as necessary.
- Click [Accept/Save], or hit <Ctrl+Enter> to save and accept the selected Claim(s). The grid will refresh to show all accepted Claims (Status=C).

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID
<input type="checkbox"/>	ABC	123	ABC	ABC	123	ABC	ABC	123
<input type="checkbox"/>	C	10	GIV02	U				9654362
<input type="checkbox"/>	C	20	MODIFY	U		G		9654363
<input type="checkbox"/>	C	20	GIV03	H				9654364
<input type="checkbox"/>	C	20	GIV03	H				9654365
<input type="checkbox"/>	UC	20	GIV03	H				9654366
<input type="checkbox"/>	UC	2	GUP03					9654367

7.6.2. EDITING ACCEPTED CLAIMS

Accepted Claims which have not been confirmed as reversed (Status=CRV) may be modified. Further, multiple Claims may be edited at the same time.

Note: Accepted Claims may be edited and unaccepted Claims accepted at the same time, to be saved in a single Accept/Save action.

Note: This function is limited when Clearing Date is set to a prior business date, to only allow change of Alloc Meth; see *Marking a Claim or Split for Give-Up*, below, for details.

To edit existing, accepted Claim(s):

- In the Claims grid, modify value(s) on the Claim(s) you wish to edit; Cust Acct, Pos Acct, CTI (where applicable) and O/C are required; Alloc Meth is optional; editing the row will automatically select it.

Claims

Exchange: All Exchanges | Trading Member: YYY | Clearing Date: 25-Jul-2017 | Pos Acct

Comm: | Sec Typ: | Maturity: | B/S: | TT: | Status: |

Accept/Save | Reject | Confirm Reversal | Split | Refresh | Count: 33 | Selected Ct: 3 | Selected

	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID ↑	Lin
<input type="checkbox"/>										
<input checked="" type="checkbox"/>	C	10	CHANGE	H		O			9654362	
<input type="checkbox"/>	C	20	MODIFY	U		O	G		9654363	
<input checked="" type="checkbox"/>	C	20	CHANGE	H		O			9654364	
<input checked="" type="checkbox"/>	C	20	CHANGE	H		O			9654365	
<input type="checkbox"/>	UC	20	GIV03	H		O			9654366	
<input type="checkbox"/>	UC	2	GUR02			O			9654367	

- Repeat until all Claims are edited, as necessary.
- Click [Accept/Save], or hit <Ctrl+Enter> to save the edited Claim(s). The grid will refresh to show all updated values (Status=C).

	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID ↑	Lin
<input type="checkbox"/>										
<input type="checkbox"/>	C	10	CHANGE	H		O			9654362	
<input type="checkbox"/>	C	20	MODIFY	U		O	G		9654363	
<input type="checkbox"/>	C	20	CHANGE	H		O			9654364	
<input type="checkbox"/>	C	20	CHANGE	H		O			9654365	
<input type="checkbox"/>	UC	20	GIV03	H		O			9654366	
<input type="checkbox"/>	UC	2	GUR02			O			9654367	

7.6.3. SPLITTING AN ACCEPTED CLAIM

A Claim may be Split (aka sub-claimed) after it is accepted (Status=C or RRV). Split is not supported on a Claim which is unaccepted, rejected or reversal confirmed Claim (Status=UC, REJ or CRV).

Note: This function is not available when Clearing Date is set to a prior business date.

To Split an accepted Claim:

- In the Claims grid, select the Claim you wish to Split; only one Claim may be Split at a time.
- In the Claims grid, click [Split]; a blank entry row will be displayed in the lower Related Splits grid, with Claim Qty defaulted to zero (0).

Claims										
Exchange		All Exchanges		Trading Member		YYY		Clearing Date		25-Jul-2017
Comm	Sec Typ	Maturity	B/S	TT	Status					
Accept/Save	Reject	Confirm Reversal	Split	Refresh	Count: 50	Selected Ct: 1				
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop				
<input type="checkbox"/>	C	2	ABC03	H	2	O		9000837		110
<input type="checkbox"/>	UC	5				O		9000838		110
<input type="checkbox"/>	UC	3				O		9000839		110
<input checked="" type="checkbox"/>	C	4	GIV01	H	2	O		9000840		110
<input type="checkbox"/>	C	4	GIV01	H	2	O		9000841		110
<input type="checkbox"/>	C	4	GIV02	H	2	O		9000842		110

Related Splits										
Save	Delete	Refresh	Rem Qty: 4	Count: 0	Selected Ct: 0					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Claim ID	Link Trd ID	Avg Px Grp ID	
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop				
<input type="checkbox"/>										
<input type="checkbox"/>										

- Enter the values for each Split you wish to create; Cust Acct, Pos Acct and CTI (where applicable) are required; O/C and Alloc Meth may be left blank; editing the row will automatically select it. Notice that a new entry row is added below, when you begin populating a new row. Repeat until all Splits are entered.

Related Splits										
Save	Delete	Refresh	Rem Qty: 0	Count: 2	Selected Ct: 2					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Claim ID	Link Trd ID	Avg Px Grp ID	
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop				
<input checked="" type="checkbox"/>	3	SPLIT1	H			O				
<input checked="" type="checkbox"/>	1	SPLIT2	H							
<input type="checkbox"/>	0									

- Click [Save], or hit <Ctrl+Enter> to save the Split(s). The grid will refresh to show all Splits generated from the entered information (Status=C), with additional details such as Orig Claim ID, Claim ID and Link Trd ID also populated.

Related Splits										
Save	Delete	Refresh	Rem Qty: 0	Count: 2	Selected Ct: 0					
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px Grp ID
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop				
<input type="checkbox"/>										
<input type="checkbox"/>	C	1	SPLIT2	H	2	O	9000840	9001050	110062	
<input type="checkbox"/>	C	3	SPLIT1	H	2	O	9000840	9001049	110062	

7.6.4. EDITING SPLITS

Saved Splits which have not been confirmed as reversed (Status=CRV) may be modified. Further, multiple Splits may be edited at the same time.

Note: Claims (top grid) and Splits may not be edited at the same time.

Please refer to *Editing Accepted Claims*, above, as Splits may be edited in a similar fashion in the Related Splits grid.

7.6.5. MARKING A CLAIM OR SPLIT FOR GIVE-UP

A Claim or a Split which has not been reversed (Status=CRV) may be marked for give-up, in order to re-allocate its quantity to another Member. Note that marking an unaccepted Claim for give-up will automatically accept it as well.

To mark Claim(s) for give-up:

1. In the Claims grid, set the Alloc Meth=G on the Claim you wish to give-up. Other editable fields on the Claim may also be updated, if necessary; editing the row will automatically select it.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID
CA	5	GIVUP2	U		O		
RRV	7	GIVUP1	H		O	G	
C	8	CLAIMGU	H		O	G	
UC	10				O		

2. Repeat until all Claims are updated and/or marked, as necessary.
3. Click [Accept/Save], or hit <Ctrl+Enter> to accept and/or save the marked Claim (s). The grid will refresh to show all updated values (Status=C).

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID
CA	5	GIVUP2	U		O		
RRV	7	GIVUP1	H		O	G	
C	8	CLAIMGU	H		O	G	
UC	10				O		

4. In addition, a related Group will be available on the Groups screen, which the User may allocate following the instructions in *Group Management* and *Allocation Management*, above.

Status	Grp ID	Avg Px	Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	B/S	Exch	Comm	Maturity	P/C	Strike	Ord ID	Cust Acct
UA	9054394			8	8	04-May-2017	120.22	B	IFEU	T	Oct-2017			64821057	CLAIMGU

To mark Split(s) for give-up, follow the above instructions in the Related Splits grid, as Splits may be marked for give-up in a similar fashion.

7.6.6. UNMARKING A CLAIM OR SPLIT FOR GIVE-UP

Whether a Claim or Split is eligible for unmark from give-up, and the behavior after unmark, will depend upon when the record was originally marked for GU.

- If the record was marked for GU on the current business day:
 - it must not be reversed (Status=CRV);
 - any accepted sub-allocations must be separately/manually reversed, using existing functionality, before the Claim/Split can be unmarked;
 - any unaccepted sub-allocations will be auto-cancelled when the Claim/Split is unmarked; and
 - the quantity of the Claim's/Split's new give-up group will be reduced by the quantity of the unmarked Claim/Split

- If the record was marked for GU on a previous business day:
 - it may be unmarked for give-up only if none of the claim's original quantity was re-allocated and claimed on a prior day

To unmark Claim(s) for give-up:

1. In the Claims grid, remove the existing Alloc Meth=G value, by deleting it or replacing it with a space. On a Next or Current Clearing Date view, the User can instead replace the G value with an A, and populate Alloc Avg Px Grp ID, to change the Claim from marked for give-up to marked for averaging.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID	Claim ID	Link Trd
UC	17				O				9000870	12
C	2	YYY8662	H		O				9000872	12
CRV	2	ALISON	H		O				9000873	12
REJ	2	44567			O				9000874	12
C	2	44568	H		O				9000877	12
C	17	YYY57793	H		O				9000878	12
C	2	YYY57793	H		O	A			9000879	11
UC	7				O	G			9000880	12

2. Repeat until all Claims are unmarked, as necessary.
3. Click [Accept/Save], or hit <Ctrl+Enter> to save the unmarked Claim(s). The grid will refresh to show the updated Alloc Meth.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID	Claim ID	Link Trd
UC	17				O				9000870	12
C	2	YYY8662	H		O				9000872	12
CRV	2	ALISON	H		O				9000873	12
REJ	2	44567			O				9000874	12
C	2	44568	H		O				9000877	12
C	17	YYY57793	H		O	G			9000878	12
C	2	YYY57793	H		O				9000879	11
UC	7				O				9000880	12

To unmark Split(s) for give-up, follow the above instructions in the Related Splits grid, as Splits may be unmarked for give-up in a similar fashion.

7.6.7. MARKING A CLAIM OR SPLIT FOR AVERAGE PRICING

A Claim or a Split which has not been reversed (Status=CRV) may be marked for average pricing, in order to re-allocate it and other claims to another Member at the average price of those claims. Note that marking an unaccepted Claim for average pricing will automatically accept it as well.

To mark Claim(s) for averaging:

1. In the Claims grid, on the Claim you wish to average, set Alloc Meth=A and enter an Alloc Avg Px Grp ID value (required). A different or the same Alloc Avg Px Grp ID value may be assigned to each Claim, as needed. Other editable fields on the Claim may also be updated; editing the row will automatically select it.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID	Claim ID	Link Trd ID	Orig Avg Px Grp ID	Ord ID
RRV	17	YYYAPGAPCT2	H		O				9001008	120022	PCT2	99263
<input checked="" type="checkbox"/>	C	YYY57911	H		O	A	CLMAP2		9001006	121162	APG20	76753
<input type="checkbox"/>	C	22359	H		O				9001007	121163	APG20	76753
<input type="checkbox"/>	C	33386	H		O				9001008	121160	APG20	76753
<input checked="" type="checkbox"/>	UC	YYY57911	H		O	A	CLMAP1		9001009	120016		99263
<input checked="" type="checkbox"/>	UC	YYY57911	H		O	A	CLMAP1		9001010	119963		99263
<input type="checkbox"/>	UC	MULTI			O				9001011	120069		99263
<input type="checkbox"/>	UC	MULTI			O				9001012	119904	AS6019	45602
<input type="checkbox"/>	UC	ONETRD1			O				9001015	120018		99263
<input type="checkbox"/>	UC	ONETRD2			O				9001016	120064		99263
<input type="checkbox"/>	UC	ONETRD3			O				9001017	119942		99263

2. Repeat until all Claims are updated and/or marked, as necessary.
3. Click [Accept/Save], or hit <Ctrl+Enter> to accept and/or save the marked Claim(s). The grid will refresh to show all updated values (Status=C).

Status	Claim Qty	Cust Acct	Pos Acct	CTI	OIC	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID
		Multi-Pop	Multi-Pop	Multi-P	Mu	Multi-Po	Multi-Pop	
<input type="checkbox"/>	RRV	17	YYYAGPACT2	H	O			
<input type="checkbox"/>	C	14	YYY57911	H	O	A	CLMAP2	
<input type="checkbox"/>	C	14	22359	H	O			
<input type="checkbox"/>	C	14	33396	H	O			
<input type="checkbox"/>	C	20	YYY57911	H	O	A	CLMAP1	
<input type="checkbox"/>	C	20	YYY57911	H	O	A	CLMAP1	
<input type="checkbox"/>	UC	20	MULTI		O			

- In addition, a related “in progress” AP Group (Status=IP) will be available on the Groups screen for the current Clearing Date, with the entered Alloc Avg Px Grp ID value in the Avg Px Grp ID column. The User may close this Group, and then allocate it following the instructions in the *Group Management and Allocation Management* sections, above.

Status	Sub-Status	Grp ID	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Con
			CLMAP1					Multi-Pop			
<input type="checkbox"/>	IP	9001029	CLMAP2	14	0	26-Oct-2017	120.34	N	B	IFEU	B
<input type="checkbox"/>	IP	9001030	CLMAP1	40	0	24-Oct-2017	120.72	N	B	IFEU	B

To mark Split(s) for average pricing, follow the above instructions in the Related Splits grid, as Splits may be marked for averaging in a similar fashion.

7.6.8. UNMARKING A CLAIM OR SPLIT FOR AVERAGE PRICING

A Claim which is marked for average pricing, including a Claim which is pending reversal confirmation (Status=CRV) may be unmarked for average pricing. Whether a Claim is eligible for unmark from average pricing, and the behavior after unmark, will depend upon when it was accepted, and whether its related AP Group is “closed”.

- If the Claim was accepted on the current or next business day:
 - it must not be reversed (Status=CRV)
 - its related AP Group must be “in progress”
 - it will be removed from the AP Group and the Group’s pricing detail will be recalculated
- If the Claim was accepted on a previous business day:
 - its related AP Group must be “in progress”, in which case it will be removed from the AP Group and Group’s pricing detail will be recalculated
 - if the related AP Group is “closed” (aka submitted), then the user must reopen the AP Group before unmarking the Claim; see *Re-Opening an Average Price Group* for instructions and additional rules

To unmark Claim(s) for average pricing:

- In the Claims grid, remove the existing Alloc Meth=A value, by deleting it or replacing it with a space. On a Next or Current Clearing Date view, the User can instead replace the A value with a

G, to change the Claim from marked for averaging to marked for give-up. Note that the Claim's Alloc Avg Px Grp ID value will be cleared automatically upon exiting the updated Alloc Meth field.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Clair
<input type="checkbox"/>		Multi-Pop	Multi-Pop	Multi-P	Mu.	Multi-Po	Multi-Pop	
<input type="checkbox"/>	RRV	17	YYYAPGAPCT2	H				
<input checked="" type="checkbox"/>	C	14	YYY57911	H				
<input type="checkbox"/>	C	14	22359	H				
<input type="checkbox"/>	C	14	33386	H				
<input type="checkbox"/>	C	20	YYY57911	H		A	CLMA	
<input type="checkbox"/>	C	20	YYY57911	H			CLMA	
<input type="checkbox"/>	UC	20	MULTI					
<input type="checkbox"/>	UC	17	MULTI			A		
<input type="checkbox"/>	UC	7	ONETRD1					
<input type="checkbox"/>	UC	14	ONETRD2					

- Repeat until all Claims are unmarked, as necessary.
- Click [Accept/Save], or hit <Ctrl+Enter> to save the unmarked Claim(s). The grid will refresh to show the updated Alloc Meth.

Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Clair
<input type="checkbox"/>		Multi-Pop	Multi-Pop	Multi-P	Mu.	Multi-Po	Multi-Pop	
<input type="checkbox"/>	RRV	17	YYYAPGAPCT2	H				
<input type="checkbox"/>	C	14	YYY57911	H				
<input type="checkbox"/>	C	14	22359	H				
<input type="checkbox"/>	C	14	33386	H				
<input type="checkbox"/>	C	20	YYY57911	H		A	CLMA	
<input type="checkbox"/>	C	20	YYY57911	H				
<input type="checkbox"/>	UC	20	MULTI					
<input type="checkbox"/>	UC	17	MULTI					
<input type="checkbox"/>	UC	7	ONETRD1					

To unmark Split(s) for average pricing, follow the above instructions in the Related Splits grid, as Splits may be unmarked for averaging in a similar fashion.

7.6.9. CONFIRMING AN ALLOCATION REVERSAL

When reversal of an accepted allocation is requested by the give-up TM, the reversal must be confirmed by the claim Member in order to be completed. One or more requested reversals (Status=RRV) may be confirmed at the same time.

Note: If a Claim in Status=RRV was accepted today (A/O Rev is blank), and is marked for give-up or average pricing, the User must unmark the Claim before it will be eligible for confirming reversal. If the Claim in Status=RRV relates to reversal of a prior-day Claim (A/O Rev=Y), then the prior-day

Claim must be unmarked on the prior Clearing Date view. Refer to *Unmarking a Claim or Split for Give-Up or Unmarking a Claim or Split for Average Pricing*, above, for instructions.

Note: This function is not available when Clearing Date is set to a prior business date. Confirming reversal of a prior-day Claim must be performed on the current Clearing Date view.

To confirm reversal of accepted Claim(s):

1. In the Claims grid, select the Claim(s) for which you wish to confirm reversal.

Note: If a Claim was Split prior to reversal request, both the original Claim and the child Splits will show Status=RRV. The Confirm Reversal action must be taken against the original Claim, and will be applied against the Splits as well.

The screenshot shows two tables. The top table, 'Claims', has columns: Status, Claim Qty, Cust Acct, Pos Acct, O/C, Alloc Meth, Orig Claim ID, Claim ID, Link Trd ID, and Avg F. It lists several rows, with two RRV rows selected. The bottom table, 'Related Splits', has columns: Status, Claim Qty, Cust Acct, Pos Acct, O/C, Alloc Meth, Orig Claim ID, Claim ID, Link Trd ID, and Avg F. It lists two RRV rows, both with Orig Claim ID 9000840.

2. Click [Confirm Reversal] to confirm reversal of the selected Claim(s). The grid will refresh to show the confirmed reversals (Status=CRV).

7.6.10. DELETING UNSAVED SPLITS

Unsaved Splits may be deleted from the grid, while preserving other new Splits in their unsaved state.

Note: This function is not available when Clearing Date is set to a prior business date.

To Delete unsaved Split(s):

1. In the Related Splits grid, select the Split(s) you wish to delete. Ensure that any Splits you do NOT wish to delete are *deselected*.

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID
	2	SPLIT4	H	O		9000842	-
<input checked="" type="checkbox"/>	1	SPLIT5	H	O		9000842	-
	1	SPLIT6	H	O		9000842	-
	0					9000842	-

- Click [Delete]. The deleted Split(s) will be removed from the grid.

Important! Be sure to *reselect* the remaining Split(s) before continuing, to avoid losing these unsaved records.

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID
	2	SPLIT4	H	O		9000842	-
<input type="checkbox"/>	1	SPLIT6	H	O		9000842	-
	0					9000842	-

7.6.11. CLAIM AND SPLIT ERRORS

While certain invalid actions are prevented by the ICE FEC interface itself, others are allowed but may fail to be processed for one reason or another.

In the latter case, when a requested action on a Claim or Split cannot be completed by ICE FEC, the User will be alerted in the Claims or Related Splits grid.

7.6.11.1. ERRORS ON CLAIMS AND EXISTING SPLITS

When the User is acting on existing Claims or Splits, the requested action will fail or be successful per record, independent of any other failures that occur.

- A temporary alert will appear at the top of the Claims screen, indicating the number of rows which failed.
- An error indicator (!) will display at the left side of the Claims or Related Splits grid on each existing Claim or Split which failed. The User can mouse over the indicator to view the row's error reason.
- Any actioned Claim or Split for which there are no errors will be processed successfully.
- The Claims or Related Splits grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, five Claims are selected below, for acceptance. Three have valid/complete take-up details, while two are invalid/incomplete (Claim IDs 104057 and 104059).

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg
UC	19	CLM02	H	O			9002782	104053	
UC	19	CLM02	H	O			9002784	104056	
UC	15		H	O			9002787	104057	
UC	13	CLM05	H	O			9002790	104060	
UC	7	CLM06	K	O			9002792	104059	
UC	19			O			9002796	104207	
UC	19			O			9002798	104208	

After Accept/Save, Claim IDs 104057 and 104059 will each display an error indicator and reason, as pictured below, while the remaining Claims will be deselected and reflect the expected Status update, signifying their Accept/Save action was successful.

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID
C	19	CLM02	H	2	O		9002782	10405
C	19	CLM02	H	2	O		9002784	10405
UC	15		H	O			9002787	10405
C	13	CLM05	H	2	O		9002790	10406
UC	7	CLM06	K	O			9002792	10405
							9002796	10420
							9002798	10420
							9002800	10421
							9002801	10421

7.6.11.2. ERRORS ON NEW CLAIM SPLITS

When the User is creating new Splits, if *any* requested Split fails to be created against a selected Claim, then *no* new Splits will be created for that Claim.

1. A temporary alert will appear at the top of the Claims screen, indicating the number of rows which failed.
2. An error indicator (!) will display at the left side of the Related Splits grid on each row which failed. The User can mouse over the indicator to view the row's error reason.
3. Any new row which did not itself fail will remain selected and in an edited state ("dirty"), but will not display an error indicator.
4. The Related Splits grid will scroll to display the first row which failed; additional errored rows may be off the screen and require scroll to view.

For example, the Claim below shows three newly entered Splits against it. Two of the new Splits are valid, while one is invalid.

Claims											
Exchange		All Exchanges		Trading Member		YYY		Clearing Date		25-Jul-2017	
Comm		Sec Typ		Maturity		B/S		TT		Status	
Accept/Save		Reject		Confirm Reversal		Split		Refresh		Count: 227 Selected Ct: 1 Selected Qty: 19	
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID		
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop					
<input checked="" type="checkbox"/>	C	19	CLM02	H	2	O		9002782		104053	
<input type="checkbox"/>	C	19	CLM02	H	2	O		9002784		104056	
<input type="checkbox"/>	UC	15				O		9002787		104057	
<input type="checkbox"/>	C	13	CLM05	H	2	O		9002790		104060	
<input type="checkbox"/>	UC	7				O		9002792		104059	
<input type="checkbox"/>	UC	19				O		9002796		104207	

Related Splits											
Save		Delete		Refresh		Rem Qty: 0		Count: 3		Selected Ct: 3	
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID		
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop					
<input checked="" type="checkbox"/>		4	VALID1	H	1		9002782				
<input checked="" type="checkbox"/>		6	VALID2	H	1		9002782				
<input checked="" type="checkbox"/>		9	INVALID				9002782				
<input type="checkbox"/>		0					9002782				

After Save, the one invalid row shows an error indicator and reason, while the two valid rows do not. All three rows remain selected and in an edited state (“dirty”), and will need to be resaved after the user corrects the noted error.

Related Splits											
Save		Delete		Refresh		Rem Qty: 0		Count: 3		Selected Ct: 3	
Status	Claim Qty	Cust Acct	Pos Acct	...	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID		
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop					
<input checked="" type="checkbox"/>		4	VALID1	H	1		9002782				
<input checked="" type="checkbox"/>		6	VALID2	H	1		9002782				
<input checked="" type="checkbox"/>		9	INVALID				9002782				

! position account information is missing/invalid
! invalid cti code

7.6.12. CLAIM AUDIT TRAIL

The audit trail or history for a specific Claim may be viewed by clicking on its hyperlinked Claim ID. Audit-trail entries will be listed in chronological order, with the most recent action at the bottom. The list may be re-sorted by the User by clicking on any of the column headers: once for ascending, twice for descending.

Claims

Exchange: All Exchanges | Trading Member: YYY | Clearing Date: 25-Jul-2017 | Pos Acct

Comm: | Sec Typ: | Maturity: | B/S: | TT: | Status: | Search: | Clear

Accept/Save | Reject | Confirm Reversal | Split | Refresh | Count: 15 | Selected Ct: 1 | Selected Qty: 4

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px	Grp ID	Ord
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop						
<input type="checkbox"/>	UC	3		O			9000839	110052			77
<input type="checkbox"/>	CA	4	GIV01	H	2	O	9000840	110062			77
<input checked="" type="checkbox"/>	C	4	GIV01	H	2	O	9000841	110212			77

Audit Trail for Claim ID 9000841

Update User	Update TS	Status	Cust Acct	Orig Acct	Pos Acct	CTI	O/C	Memo	Alloc Meth
tm_admin	15-Feb-2018 13:03:03 GMT	UC	AER01				O		
alison_tm_admin	15-Feb-2018 13:13:58 GMT	C	AER01		H	2	O		
alison_tm_admin	15-Feb-2018 13:30:03 GMT	C	GIV01		H	2	O		
alison_tm_admin	15-Feb-2018 13:39:58 GMT	RRV	GIV01		H	2	O		
alison_tm_admin	15-Feb-2018 13:46:45 GMT	C	GIV01		H	2	O		

OK

The audit trail for a Split may be viewed in the same manner.

Related Splits

Save | Delete | Refresh | Rem Qty: 0 | Count: 2 | Selected Ct: 0

Status	Claim Qty	Cust Acct	Pos Acct	O/C	Alloc Meth	Orig Claim ID	Claim ID	Link Trd ID	Avg Px	Grp ID	Ord
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop						
<input type="checkbox"/>	C	1	SPLIT2	H	2	O	9000840	9001050	110062		770
<input type="checkbox"/>	C	3	SPLIT1	H	2	O	9000840	9001048	110062		770

Audit Trail for Claim ID 9001050

Update User	Update TS	Status	Cust Acct	Orig Acct	Pos Acct	C	O/C	Memo	Alloc Meth
alison_tm_admin	15-Feb-2018 13:34:56 GMT	C	SPLIT2		H	2	O		
alison_tm_admin	15-Feb-2018 13:39:58 GMT	RRV	SPLIT2		H	2	O		
alison_tm_admin	15-Feb-2018 13:46:45 GMT	C	SPLIT2		H	2	O		

OK

8. TOOLS

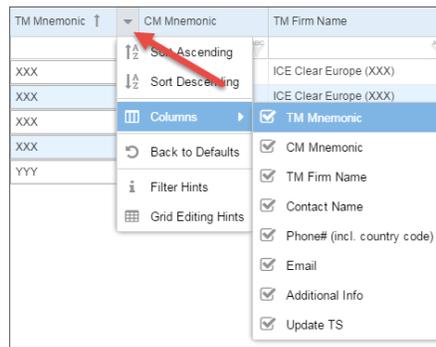
The Tools section includes independent screens, in which a User with the Trading Member Admin role can perform certain administrator-level functions.

8.1. FUNCTIONS PANEL

The following functions are typically common to all **Tools** screens. Exceptions will be noted in the screen-specific sections that follow, as will other Functions Panel instructions and details.

8.1.1. COLUMN CONTROLS

Column Controls allow a User to customize the Data Grid to suit his or her needs. The User's column changes, per grid, will be stored and restored the next time the User accesses the system.



- **Columns Selection** - Each grid supports a comprehensive list of available columns, which may be displayed or hidden individually by the User. A subset of these columns may be selected for display by default.

To change your column selection:

1. Open any column dropdown menu; all available columns are listed under each dropdown.
2. Uncheck a column to hide it; check a column to display it.

- **Column Order** - Columns may be rearranged by drag-and-drop.

To rearrange your columns:

1. Click and hold the mouse on the header of the column you wish to move.
2. Drag the column until the green arrows appear between the columns between which you want the column moved.
3. Release the mouse, and the column will be moved.



- **Column Sort** - Each Data Grid may be sorted by a single column of data. An upward arrow in the column header indicates it is being sorted by in ascending order; a downward arrow indicates descending.

A sort order is pre-assigned to each grid, and may be changed by the User in one of two ways.

To change your sort order:

1. Click once on the column header to sort by that column in ascending order. Click again to change to descending order.

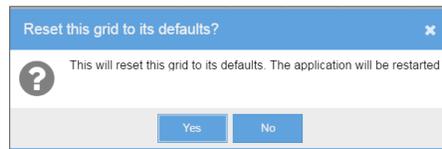
OR

2. Open the related column dropdown menu, and choose either *Sort Ascending* or *Sort Descending*.

- **Column Width** - Each column may be widened or narrowed by dragging the column border left or right, as needed.
- **Back to Defaults** - After a User changes his or her column preferences, he or she may restore the ICE FEC default settings for a Data Grid. Note that each Data Grid must be restored individually.

To restore your columns for a Data Grid to their default state:

1. Open any column dropdown menu.
2. Choose Back to Defaults.
3. Select [Yes] or [No] from the confirmation popup:



Important! Choosing [Yes] will return the User to the Dashboard, and all Search, Filter and entered/unsaved edits on all Data Grids will be lost.

8.1.2. FILTERS

Each Data Grid may be filtered to narrow the array of data displayed. Filters may be applied to one column, or to multiple columns, to suit the User's needs.

ICE FEC supports one or more filter operators per column, based on the data type of the column, identified by the icon in the respective filter field:

- Alphabetic - 
- Numeric - 
- Date or Date/Time - 

The following Filter operators are available on all alphabetic and numeric columns.

none	Starts With; to filter for blank values, use [space]
*[value]	Ends with
[value]	Contains
=	Equal To; to filter for blank values, use =[space]

!=	Not Equal To; to filter for non-blanks, use !=[space]
>	Greater Than
<	Less Than
>=	Greater Than or Equal To
<=	Less Than or Equal To
in[space]	In List; separate values with a comma and no space, such as: in B,AB,C

To add an Alphabetic or Numeric Filter:

1. Enter the desired operator and value into the filter field of the column you wish to filter.
2. The filter will be applied automatically.

To add a Date or Date/Time Filter:

1. Enter the date for which you wish to filter, in format DD-MMM-YYYY only. Date/Time fields may be filtered by the date portion of their value only.
2. The filter will be applied automatically.

OR

3. Click the calendar icon, and select the desired date from the calendar popup.
4. The selected date will display in the entry field, and the filter will be applied automatically. Date/Time fields may be filtered by the date portion of their value only.

The filter-field background will be highlighted on any column to which a Filter is applied. Note that a filter for a blank value may be created by entering a space in a filter field, so even a field which appears to be empty may have a filter applied.

Status	Grp ID	Avg Px Grp ID	Grp Qty	Rem Qty	Tr
in UA,A	123		>100	123	
UA				240	04
UA				260	04

To clear Filters:

1. Manually delete the value from the individual filter field you wish to clear.

OR

2. Click the [Clear Filters] button related to the Data Grid on which you wish to clear all Filter values (not supported on all screens).

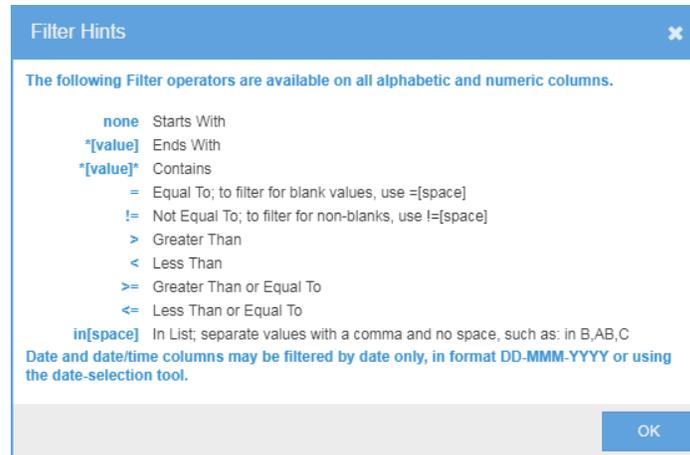


Filter Hints are also available in the ICE FEC Interface at any time.

To open Filter Hints:

1. Open any column dropdown menu.

2. Choose *Filter Hints*, to open the following popup.



8.2. MESSAGE REPLAY

Message Replay screen allows a Trading Member Admin User to initiate FIXML message replay for the Member firm(s) to which the User is authorized. For assistance using this feature, or to request authorization, please contact the relevant ICE Clearing House Operations team.

ICE Clear Europe (ICEU)	ICEUOps@theice.com +44 (0)20 065 7600
ICE Clear Netherlands (ICNL)	ICEClearNetherlandsOperations@theice.com +31 (0) 20 305 5155
ICE Clear Singapore (ICSG)	ICEClearSingaporeOperations@theice.com +65-65050463
ICE Clear U.S. (ICUS)	ICEClearUS@theice.com +1 (312) 836-6718 or +1 (770) 738-2101

Important! ICE highly recommends that a User contact ICE Clear Operations if any errors occur while using this Message Replay function, or if multiple Replay requests must be initiated.

Important! ICE highly recommends that the Message Replay functionality is used **only** following liaison and agreement with your internal IT support group(s) and/or your middleware Vendor support group.

The screenshot shows the 'Message Replay' interface. At the top, there are search filters for Exchange (IFEU, IFLL, IFLO), Clearing Member (XXX), Trading Member (XXX, YYY), Clearing Date (04-May-2017), and Message Type (TCR, AR). Below these are fields for Start Time, End Time, Start ID, and End ID. A 'Search' button is highlighted with a red callout. Below the filters, there are buttons for 'Clear Filter', 'Clear Search', 'Search', and 'Replay'. A 'Status' button is also highlighted. Below the buttons is a table with columns for Trading Member, Target Count, Replayed Count, Min Report ID, Max Report ID, and a 'Status' column. A 'Data Grid' callout points to the table. A 'Column Controls & Filters' callout points to the table headers.

Trading Member	Target Count	Replayed Count	Min Report ID	Max Report ID	Status
XXX:IFEU	0	0	0	0	true
XXX:IFLL	0	0	0	0	true
XXX:IFLO	0	0	0	0	true
YYY:IFEU	12	0	3739	3751	false
YYY:IFLL	2320	0	13	3722	false
YYY:IFLO	0	0	0	0	false

8.2.1. SEARCH

The Search bar allows a User to identify and preview the array of FIXML messages he or she wishes to replay, *before* the actual replay begins.

Search fields include:

- **Exchange** - A list of the individual exchange MICs/mnemonics applicable to the ICE Clear clearing house; more than one Exchange may be selected (required)
- **Clearing Member** - A list of Clearing Members for the Trading Members to which the User is authorized; only one Clearing Member may be selected (required)
- **Trading Member** - A list of Trading Members related to the selected Clearing Member; more than one Trading Member may be selected (required)
- **Clearing Date** - A list of business dates for which data is available for replay; the current business date is highlighted, by default; other choice is one prior business date; only one Clearing Date may be selected (required)
- **Message Type** - A list of FIXML message types which are available for replay; more than one Message Type may be selected (required)
- **Start Time** - The original message time from which the User wishes to begin message replay; must be in format YYYY-MM-DDThh:mm:ssZ or YYYY-MM-DDThh:mm:ss±hh:mm (required if End Time is populated; either Start Time/End Time or Start ID/End ID are required)

The value will be set to 00:00:00 on the selected Clearing Date when the User opens the screen, and again any time the Clearing Date selection is changed; it will be blanked automatically if the User populates Start ID or End ID

- **End Time** - The original message time at which the User wishes to end message replay; must be in format YYYY-MM-DDThh:mm:ssZ or YYYY-MM-DDThh:mm:ss±hh:mm (required if Start Time is populated; either Start Time/End Time or Start ID/End ID are required)

The value will be set to 23:59:59 on the selected Clearing Date when the User opens the screen, and again any time the Clearing Date selection is changed; it will be blanked automatically if the User populates Start ID or End ID

- **Start ID** - The transaction identifier from which the User wishes to begin message replay (inclusive) (required if End ID is populated; either Start ID/End ID or Start Time/End Time are required)

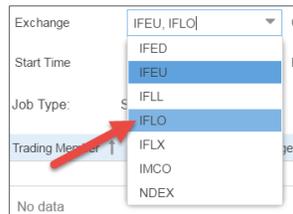
It will be blanked automatically if the User changes the Clearing Date, or if the User populates Start Time or End Time

- **End ID** - The transaction identifier at which the User wishes to end message replay (inclusive) (required if Start ID is populated; either Start ID/End ID or Start Time/End Time are required)

It will be blanked automatically if the User changes the Clearing Date, or if the User populates Start Time or End Time

To execute a Search:

1. Enter or select a value in each required Search field; enter optional fields, as desired. Multi-select fields may be populated by typing directly into the entry field, or by expanding the dropdown and clicking on each desired value; <Ctrl+A> key combination with the dropdown expanded will select all on the list.



2. [Tab] to exit the Search field and move to the next.
3. Click [Search]. Search results will display in the Data Grid; see *Replaying Searched Records*, below, for details.

To clear the Search criteria:

1. Click the [Clear Search] button.

To clear Filters applied to Search results:

1. Click the [Clear Filter] button.

8.2.2. STATUS

The Status section indicates the state of the last-executed Search or Replay action.

Job Type:	REPLAY	State:	COMPLETE	Start time:	Aug 27 14:33:29	Update time:	Aug 27 14:33:34	End time:	Aug 27 14:33:34
-----------	--------	--------	----------	-------------	-----------------	--------------	-----------------	-----------	-----------------

- **Job Type** - Indicates whether the last action was SEARCH or REPLAY
- **State** - The disposition of the last action: values are SUBMITTED, IN_PROGRESS, COMPLETE, FAILED
- **Start time** - The time at which the Job was initiated
- **Update time** - The last time at which the job was active; will continue to increment while the Job's State is IN_PROGRESS
- **End time** - The time at which the Job ended

8.2.3. REPLAYING SEARCHED RECORDS

The Data Grid will display the Search results, for each TM/Exchange combination specified, including:

- **Target Count** - The number of records matching the Search criteria

- **Replayed Count** - Will be zero until Replay is requested and completed
- **Min Report ID** - The minimum ID found, matching the Search criteria
- **Max Report ID** - The maximum ID found, matching the Search criteria
- **Sender Paused** - Whether the MQ sender for *new* messages is currently paused

Trading Member	Target Count	Replayed Count	Min Report ID	Max Report ID	Sender paused
XXX,IFEU	0	0	0	0	true
XXX,IFLL	0	0	0	0	true
XXX,IFLO	0	0	0	0	true
YYY,IFEU	12	0	3739	3751	false
YYY,IFLL	2320	0	13	3722	false
YYY,IFLO	0	0	0	0	false

To Replay the records indicated by the Search results:

1. Click [Replay]. The following alert will display, describing the impacts of continuing with Replay:

Confirm FIXML message replay

You have requested to replay 2332 FIXML messages for Trading Member/s XXX, YYY

Continuing will:

- Stop the flow of new messages from ICE to all destinations for the Trading Member, if not already stopped manually by ICE Operations;
- Resend the specified message(s) to all destinations currently receiving FIXML messages for the Trading Member;
- Restart the flow of new messages from ICE, except if the flow was manually stopped by ICE Operations, in which case manual restart will be required.

Continue Cancel

2. Click [Continue] to initiate Replay of the indicated records, or [Cancel] to return to the Search results.
3. After [Continue], note that the Job Type updates to REPLAY; other Status fields and the Replay Count column will update accordingly.
4. Upon successful completion of the Replay, a confirmation popup will display:

- If the related Sender was not paused when Replay started:

Replay completed

Message replay is complete. Flow of new messages has resumed.

OK

- If the related Sender was already paused when Replay started:

Replay completed

Message replay is complete. Contact ICE Operations to restart the flow of new messages

OK

Important! ICE strongly recommends that a User contact ICE Clear Operations if any errors occur while using this Replay function, or if multiple Replay requests must be initiated.

8.3. FIRM CONTACTS

The Firm Contacts screen lists contact information for Members who have added this information to the system.

This screen is viewable by all Trading Member and Trading Member Admin Users, who may see the contact details of all Members who have submitted information into the system. In addition, they may add, edit and delete contact information for the TMs to which his or her User ID is authorized. Information cannot be added for TMs to which the User does not have rights.

Important! Submission of information in this screen is **optional**, but ICE recommends completion, and regular review, so that Members may easily contact each other in the event of allocation or claim queries.

Firm Contacts							
<input type="checkbox"/> Add Contact <input type="checkbox"/> Save <input type="checkbox"/> Delete <input type="checkbox"/> Refresh				<input type="text"/> Clear Filter <input type="button" value="Export to ..."/>			
<input type="checkbox"/>	TM Mnemonic ↑	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
<input type="checkbox"/>	YYY	YYY	ICE Clear Europe (YYY)	Other User	312-555-5555	ouser@yyy.com	

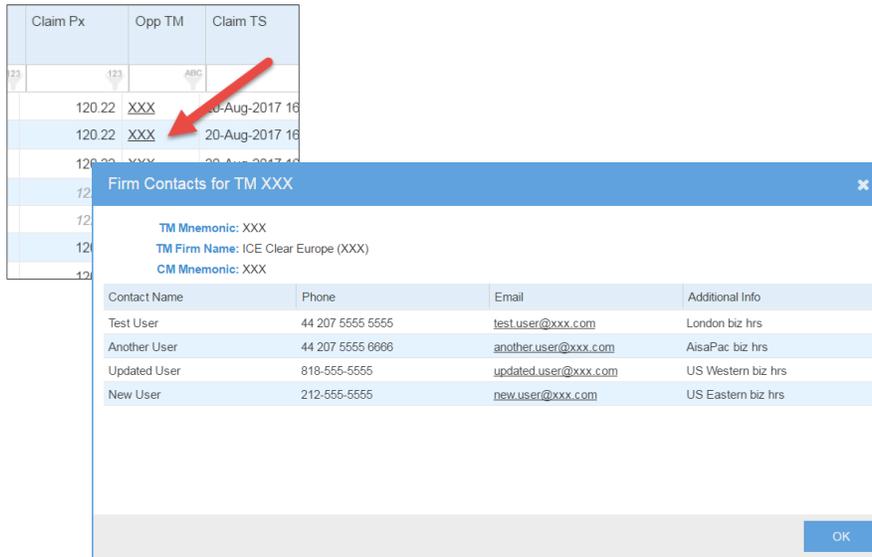
Grid Controls for the Firm Contacts grid include the following action buttons:

- **Add Contact** - Allows the User (if authorized) to add a new Firm Contact; a Member may add as many contacts as are needed to support queries about its ICE FEC activity
- **Save** - Saves new Firm Contact(s) entered by the User and/or edits made to existing Contact(s) (if authorized)
- **Delete** - Deletes an existing Firm Contact (if authorized)
- **Refresh** - Discards any unsaved new Contact(s) or edits, deselects all rows, and updates the grid's data from the server

8.3.1. VIEWING FIRM CONTACTS

All Users may view the information in the Firm Contacts screen, for all Members for which information has been entered.

In addition, **Post Trade Management** grids offer hyperlinks on select fields (TM, Dest TM, Opp TM), which can be used to view contact information related to the specified Member. Note that editable TM fields are not hyperlinked.



8.3.2. ADDING FIRM CONTACTS

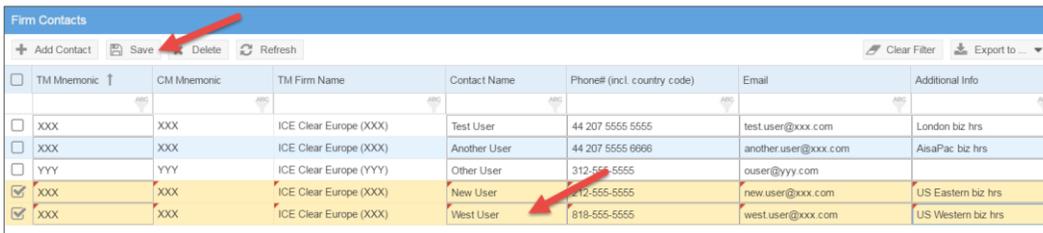
Trading Member and Trading Member Admin Users can manage the Firm Contacts for TMs to which the User is authorized.

To add one or more Firm Contacts:

1. In the Firm Contacts grid, click [Add Contact]; a blank entry row will be displayed in the grid.



2. Enter a valid TM Mnemonic; the related CM Mnemonic and TM Firm Name will be populated automatically
3. Continue to enter Contact Name, Phone#, Email and any relevant Additional Info, such as special instructions regarding business hours, markets, etc.
4. Repeat steps 1 through 3 until all Contacts to be added are entered.

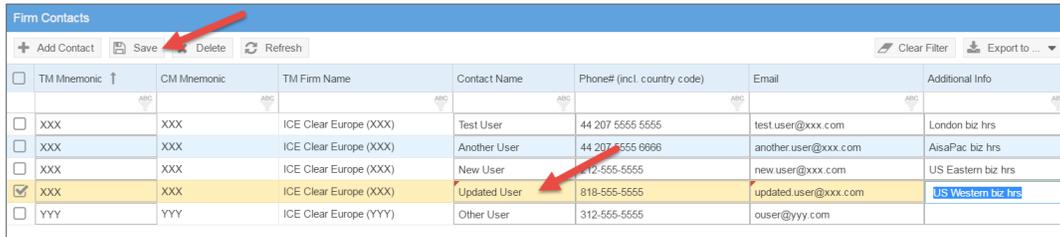


5. Click [Save], or hit <Ctrl+Enter> to save the new Firm Contact(s).
6. The grid will refresh to show all the new entries, which will be immediately viewable by all Trading Member and Trading Member Admin Users.

8.3.3. EDITING EXISTING CONTACTS

To edit one or more existing Firm Contacts:

1. In the Firm Contacts grid, modify value(s) on the Contact(s) you wish to edit.
2. Repeat until all Firm Contacts are edited, as necessary.



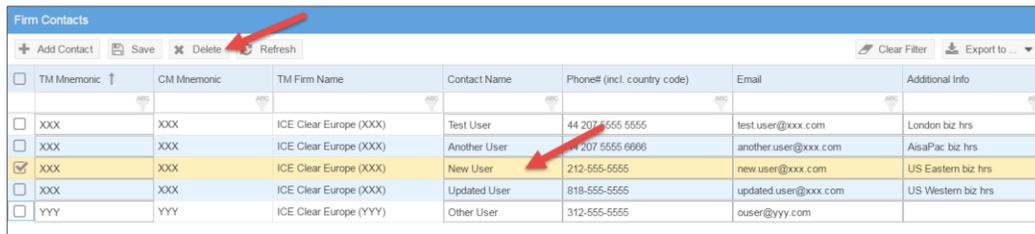
Firm Contacts							
+ Add Contact Save Delete Refresh Clear Filter Export to ...							
<input type="checkbox"/>	TM Mnemonic ↑	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	New User	212-555-5555	new.user@xxx.com	US Eastern biz hrs
<input checked="" type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Updated User	818-555-5555	updated.user@xxx.com	US Western biz hrs
<input type="checkbox"/>	YYY	YYY	ICE Clear Europe (YYY)	Other User	312-555-5555	ouser@yyy.com	

3. Click [Save], or hit <Ctrl+Enter> to save the edited Firm Contact(s).
4. The grid will refresh to show all updated values entries, which will be immediately viewable by all Trading Member and Trading Member Admin Users.

8.3.4. DELETING FIRM CONTACTS

To delete one or more existing Firm Contacts:

1. In the Firm Contacts grid, select the Contact(s) you wish to delete.



Firm Contacts							
+ Add Contact Save Delete Refresh Clear Filter Export to ...							
<input type="checkbox"/>	TM Mnemonic ↑	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
<input checked="" type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	New User	212-555-5555	new.user@xxx.com	US Eastern biz hrs
<input type="checkbox"/>	XXX	XXX	ICE Clear Europe (XXX)	Updated User	818-555-5555	updated.user@xxx.com	US Western biz hrs
<input type="checkbox"/>	YYY	YYY	ICE Clear Europe (YYY)	Other User	312-555-5555	ouser@yyy.com	

2. Click [Delete] to delete the selected Firm Contact(s).
3. The grid will refresh, and the deleted records will no longer appear. They will no longer be viewable by any ICE FEC User.

9. HELP

The Menu's Help section offers the following reference and support information to the User.

- **User Guide** – [hyperlink] Opens a separate web page, displaying the ICE FEC User Interface Guide (pdf)
- **How-To Videos** – [hyperlink] Opens a separate web page, listing short videos which instruct the User how to perform the most common functions in the ICE FEC interface
- **Report an Error** – Opens a new email using the User's default email application, addressed to the respective ICE Production Support team; reference data to help ICE troubleshoot the User's problem will be printed in the email body automatically; the User should also include a description and/or screenshots to the email (as supported by the email application), to provide additional detail to ICE
- **Contact ICE** – Opens a dialog with ICE Production and Test Support email addresses, phone numbers, and support hours for the relevant ICE Clearing House

10. APPENDIX A: AVAILABLE FIELDS BY GRID

The following sections list the columns that are available on each grid.

- Columns are listed in the default order per grid, prior to any customization the User may make. See *Column Controls* for customization options.
- Where a column's value is editable, *Required?* will be populated with 'Y' (required) or 'N' (not required); conditional requirements will be noted; non-editable fields will be blank in this field.
- *Default Column* indicates whether the column is displayed in the grid automatically, prior to customizations by the User: 'Y' (default) or 'N' (not default). A User may remove any default column from the grid, or add any non-default column to the grid, as needed; see *Columns Selection* for instructions to customize your column selection.

10.1. TRADES

10.1.1. TRADES GRID

<i>Trades Grid</i> Column Header	Description / Notes	Required?	Default Column
Status	Trade Status Values: see <i>Appendix B: Reference Field Values</i> for the list of values		N
Trd ID	ICE Clearing transaction identifier ID hyperlinks to open related Trade Audit popup		Y
TM	Trading Member mnemonic		Y
B/S	Buy/Sell indicator		Y
Trd Qty	Trade Quantity		Y
Trd Dt	Trade Date Format: DD-MMM-YYYY		Y
Trd Px	Trade Price		Y
Exch	Exchange MIC Values: see <i>Appendix B: Reference Field Values</i> for the list of values		Y
Comm	Commodity Code		Y
Maturity	Contract Maturity Format: YYYYMMDD or YYYYMM		Y
P/C	Put/Call indicator		Y
Strike	Strike Price		Y
Orig Ord ID	Original Order ID		Y
Ord ID	Order ID		N
Cust Acct	Customer Account Format: up to 20 alphanumeric characters	Y	Y
Clrg Acct	ISOC Clearing Account		Y
Sec Cust Acct	Secondary Customer Account		N
Cust LEI	Customer Legal Entity Identifier Format: exactly 20 alphanumeric characters	N	Y
Pos Acct	Position Account Values: see <i>Appendix B: Reference Field Values</i> for the list of values	Y	Y

Trades Grid Column Header	Description / Notes	Required?	Dafault Column
CTI	CTI Code Values: 1, 2, 3, 4, or space to blank the field	N	Y
O/C	Open/Close Values: O, C, or space to blank the field	N	Y
Alloc Meth	Allocation Method Values: G (give-up), A (average price), or space to blank the field <ul style="list-style-type: none">• Will be set to G if any Dest field is or becomes populated• Will be set to A if Avg Px Grp ID is or becomes populated• Not editable when value is J (adjusted)	N	Y
Avg Px Grp ID	Average Price Group ID Format: up to 6 alphanumeric characters	N	Y
Dest TM	Destination Trading Member Values: a valid Trading Member mnemonic, or space to blank the field	Y, if any other Dest field is populated	Y
Dest Cust Acct	Destination Customer Account Format: up to 20 alphanumeric characters, or space to blank the field	N	Y
Dest Cust LEI	Destination Customer Legal Entity Identifier Format: exactly 20 alphanumeric characters, or space to blank the field	N	Y
Dest Pos Acct	Destination Position Account Values: see <i>Appendix B: Reference Field Values</i> for the list of values; or space to blank the field	N	Y
Dest CTI	Destination CTI Code Values: 1, 2, 3, 4, or space to blank the field	N	Y
Dest O/C	Destination Open/Close Values: O, C, or space to blank the field	N	Y
Dest Memo	Destination Memo Format: up to 20 alphanumeric characters, or space to blank the field	N	Y
Trdr	Trader		Y
C3 Trdr	CTI=3 Trader Values: a valid Trader acronym, or space to blank the field	Y, when CTI=3	Y
Txfr Typ	Transfer Type Values: POS (position transfer) or ADJ (adjustment)		Y
Txfr Fm/To	Transfer From/To		N
Txfr Offset	Transfer Offset Values: Y (record offsets a prior-day transfer), or blank (not an offset)		N

Trades Grid Column Header	Description / Notes	Required?	Dafault Column
TT	Trade Type Values: see <i>Appendix B: Reference Field Values</i> for the list of values		Y
Rate ID	Rate ID (aka aka Execution Source Code or Customer Order Handling Instruction) Values: see <i>Appendix B: Reference Field Values</i> for the list of values; will be blank if the value on the executed trade was invalid	Y	Y
Spread	Spread Indicator		Y
Cross	Cross Trade		N
Opp TM	Opposite Trading Member		N
Opp Trdr	Opposite Trader		N
Deal ID	Exchange Deal ID		N
Px Typ	Price Type Values: Prelim (preliminary) or Final		N
Strat Link ID	Strategy Link ID		N
Strat TS	Strategy Creation Timestamp		N
Strat Code	Strategy Type Code		N
Comp Code	Composite Type Code		N
Pub	Trade Publish Indicator		N
Src	Source		N
Exec Venue	Execution Venue		N
Aggr	Aggressor		N
Orig Trd ID	Original Trade ID		N
Trdr Memo	Trader Memo Format: up to 20 alphanumeric characters, or space to blank the field	N	Y
User Memo	Clearing User Member Format: up to 20 alphanumeric characters, or space to blank the field	N	Y
Oper ID	Operator ID		N
Trdr Sessn ID	Trader Session ID		N
Exec TS	Execution Timestamp		N
Cab	Cabinet		N
Brkr ID	Broker ID		N
Brkr Comp ID	Broker Company ID		N
Brkr Comp Name	Broker Company Name		N
Trdr Comp ID	Trader Company ID		N
CI App Type	Client Application Type		N
CI App Sub Type	Client Application Sub Type		N
Deliv Acct	Delivery Account		N
UTI	Trade Unique Transaction Identifier		N
Exch Comm	Exchange Commodity		N
Expired	Contract Expired or Closed Values: Y (contract expired/closed) or N (not expired/closed)		N
Locked	Transaction Locked Values: Y (locked) or N (not locked)		N

11. APPENDIX B: REFERENCE FIELD VALUES

11.1. STATUS CODES (STATUS)

Status	Sub-Status	Description	Screen>Grid Usage
A		Allocated: Allocated; not accepted	Groups>Groups; Groups>Allocations
C		Claimed: Allocated and accepted	Groups>Groups; Groups>Allocations; Claims>Claims; Claims>Splits
CA		Claim Split: Allocated and accepted, then split	Claims>Claims
CNL		Cancelled: Trade or Transfer busted/cancelled	Trades; Transfers
CRV		Confirmed Reversal: Reversal requested and confirmed	Groups>Groups; Groups>Allocations; Claims/Claims; Claims/Splits
MAA		Accepted: Trade matched; or Transfer accepted and approved	Trades; Transfers
MAC		Challenged: Transfer accepted, then challenged	Transfers
MAS		Trade Split: Trade matched, then split	Trades
PEND		Pending: Transfer accepted, pending ICE approval	Transfers
REJ		Rejected: Allocated and rejected	Groups>Allocations; Claims>Claims; Claims>Splits
	REJ	Rejected: Allocated and rejected	Groups>Groups
REJ		Rejected: Transfer rejected by ICE, insufficient quantity; see Reject Reason	Transfers
REJ		Rejected: Transfer rejected by ICE; contact Clearing House Operations	Transfers
RRV		Requested Reversal: Reversal requested; not confirmed	Groups>Allocations; Claims>Claims; Claims>Splits
	RRV	Requested Reversal: Reversal requested; not confirmed	Groups>Groups
UA		Unallocated/Unaccepted: Group not allocated; or Transfer requested, not accepted	Groups>Groups; Transfers
UAC		Challenged: Transfer requested, challenged	Transfers
UC		Unclaimed: Allocated; not accepted	Claims>Claims
UDA		Under Allocated: Partially allocated	Groups>Groups
UDC		Under Claimed: Allocated; partially accepted	Groups>Groups

11.2. EXCHANGE CODES (EXCH)

EXCH	Market Identifier Code (MIC)/Exchange Code
Jurisdiction	
ICE Clear Europe	IFEU - ICE Futures Europe IFED - ICE Futures Energy Division NDEX - ICE ENDEX Futures EU IFLL - Financial Products Division IFLO - Equity Products Division IFLX - Agricultural Products Division IMCO - ICE ENDEX Physical Forwards IFAD - ICE Futures Abu Dhabi (for future use)
ICE Clear US	IFUS - ICE Futures US
ICE Clear Singapore	IFSG - ICE Futures Singapore
ICE Clear Netherlands	IMEQ - ICE ENDEX Equity Markets

11.3. POSITION ACCOUNT CODES (POS ACCT)

Pos Acct Jurisdiction	Position Account Code
ICE Clear Europe	H - House G - House - G M - Individual Segregated (ISOC) - M N - Non-Segregated customer S - Segregated customer L - Local F - Segregated - F W - FCM Customer Seg Futures Z - FCM Customer Seg Swaps T - Segregated - T I - Individual Client Segregated (ISOC) - I J - Individual Client Segregated (ISOC) - J E - Segregated - E K - Segregated - K R - Segregated - R U - Unassigned O - Segregated - O P - Segregated - P X - Segregated - X Y - Segregated - Y A - Individual Client Segregated (ISOC) - A B - Individual Client Segregated (ISOC) - B D - Individual Client Segregated (ISOC) - D V - Individual Client Segregated (ISOC) - V
ICE Clear US	C - Customer H - House
ICE Clear Singapore	S - Customer H - House T - Segregated - T U - Unassigned
ICE Clear Netherlands	H - House N - Non-Segregated customer S - Segregated customer I - Individual Client Segregated (ISOC) - I E - Segregated - E K - Segregated - K R - Segregated - R U - Unassigned X - Segregated - X A - Individual Client Segregated (ISOC) - A

11.4. TRADE TYPES (TT)

TT Jurisdiction	Trade Type (with FIXML Equivalent)
All Jurisdictions	REG - Regular trade (0) BLK - Block trade (1) EFP - Exchange for Physical (2) EFS - Exchange for Swap (12) EFM - Exchange for Market (13) EEO - Exchange of Options for Options (14) TAS - Trade at Settlement/TAS; Trade at Index Close/TIC (15) TASB - TAS Block; TIC Block (21) ECR - Error Cross; Correction Trade (24) EBF - Exchange Basis Facility (55) MMK - 8.30/Singapore Marker (56) AMK - 4.30/Floating/Expiry-Only Marker (57) BRX - Broker Cross Trade (58)

<i>TT</i> Jurisdiction	Trade Type (with FIXML Equivalent)
	AAL - Asset Allocation (101) GDX - Guaranteed Cross (102) VCT - Volatility Contingent Trade (104) SCT - Stock Contingent Trade (105) SBK - Super Block (106) SCB - Stock Contingent Block (107) TAP - Trade at Platts Settlement (108) TAK - Trade at Platts Settlement Block (109) EFB - Exchange of Benchmark (110)

11.5. RATE IDENTIFIERS (RATE ID)

<i>Rate ID</i> Jurisdiction	Rate Identifier
All Jurisdictions	C - FCM provided screen D - Other provided screen G - FCM API or FIX H - Algo Engine W - Desk Electronic Y - Client Electronic

12. APPENDIX C: UNRESOLVED ACTIVITY FILTERS

As an alternative to using the Dashboard's Unresolved Activity links, a User may apply the following Search and Filter criteria manually to replicate the results. Where a User's base Search results in more than the allowable number of rows being returned, additional Search criteria may need to be applied as well, which may result in fewer records displaying than were counted on the Dashboard.

- **Trades / T Unreg:**
On the Trades screen, Search for Trading Member=[selected TM], Exchange='All Exchs', Clearing Date=[current clearing date], and Unresolved='Unreg'
- **Trades / T-1 Unreg, T-2 Unreg or T-3 Unreg:**
On the Trades screen, Search for Trading Member=[selected TM], Exchange='All Exchs', Clearing Date=[the appropriate prior clearing date], and Unresolved='Unreg'
- **Transfers / Unacc/Challgd:**
On the Transfers screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], Filter for Status 'in UA,UAC,MAC'
- **Transfers / Pending:**
On the Transfers screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=PEND'
- **Transfers / Rejected:**
On the Transfers screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=REJ'
- **Groups / In Progress:**
On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=IP'
- **Groups / Unalloc:**
On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UA'
- **Groups / Under Alloc:**
On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UDA'
- **Allocations / Unacc:**
On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for A Ct '>0'
Select the Groups, then Filter on the Related Allocations grid for Status '=A'
- **Allocations / Rejected:**
On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for REJ Ct '>0'
Select the Groups, then Filter on the Related Allocations grid for Status '=REJ'
- **Allocations / Pend Rev:**

On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for RRV Ct '>0'

Select the Groups, then Filter on the Related Allocations grid for Status '=RRV'

- Claims / Unacc:

On the Claims screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UC'

- Claims / Pend Rev:

On the Claims screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=RRV'

- SCT / Unreg Trades:

On the Trades screen, Search for Trading Member=[selected TM], Exchange='All Exchs', Clearing Date=[current clearing date], and Unresolved='Unreg SCT'

- SCT / Unalloc Grps:

On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UA', TT 'in SCT,SCB'

- SCT / Under Alloc Grps:

On the Groups screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UDA', TT 'in SCT,SCB'

- SCT / Unacc Claims:

On the Claims screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status '=UC', TT 'in SCT, SCB' and Trd Dt=[current clearing date]

- SCT / Unreg Claims:

On the Claims screen, Search for Trading Member=[selected TM], Exchange='All Exchs' and Clearing Date=[current clearing date], then Filter for Status 'in C,RRV', TT 'in SCT, SCB', Pos Acct='U' and Trd Dt=[current clearing date]

13. APPENDIX D: EXPORT MAPPINGS

To approximate the legacy ACT Allocations export, perform both a Groups grid export and a Related Allocations grid export, and then cross-reference the two results by Grp ID.

Legacy ACT Allocation Export Field	ICE FEC Groups Grid Field	ICE FEC Related Allocations Grid Field	ICE FEC Notes
Group Status	Status	requires Groups export	UA, UDA, A, UDC and C only
N/A	Sub-Status	requires Groups export	REJ and RRV only
Group ID	Grp ID	Grp ID	
A/O Rev	A/O Rev	A/O Rev	Y or blank
Executing Member	TM	requires Groups export	
Order ID	Ord ID	Ord ID	
Trader	Trdr	Trdr	
Executing Account	Cust Acct	Cust Acct	
Secondary Customer Account	Sec Cust Acct	requires Groups export	
Executing Clearing Acct	Clrg Acct	requires Groups export	
Executing Pos Acct	Pos Acct	requires Groups export	
AP Group ID	Avg Px Grp ID	Avg Px Group ID	
TT	TT	TT	
O/C	O/C	requires Groups export	
Rate ID	Rate ID	Rate ID	
Cab Ind	Cab	requires Groups export	
Trade Date	Trd Dt	Trd Dt	
B/S	B/S	B/S	
Product Exchange	Exch	Exch	
Comm	Comm	Comm	
Contract Period	Maturity	Maturity	
P/C	P/C	P/C	
Strike Price	Strike	Strike	
Trade Price	Grp Px	Grp Px	
Average Price	N/A	N/A	Combined into Grp Px
Rnded Price	Rnd Px	requires Groups export	
Residual	Resid	requires Groups export	
Group Qty	Grp Qty	requires Groups export	
Alloc Qty	requires Allocations export	Alloc Qty	
Alloc Status	requires Allocations export	Status	
Take-up Member	requires Allocations export	Dest TM	
Take-up Account	requires Allocations export	Dest Cust Acct	
Take-up Pos Acct	requires Allocations export	Dest Pos Acct	
Take-up CTI	requires Allocations export	Dest CTI	
Take-up O/C	requires Allocations export	Dest O/C	
Claim Date	N/A	N/A	
Claim Time	N/A	N/A	
Alloc Record ID	requires Allocations export	Alloc ID	
Alloc Date	N/A	N/A	
Alloc Time	N/A	N/A	

To approximate the legacy ACT Claims export, perform both a Claims grid export and a Related Splits grid export, if applicable, and then combine the two results.

Legacy ACT Claim Export Field	ICE FEC Claims or Related Splits Grid Field	ICE FEC Notes
Claim Status	Status	
A/O Rev	A/O Rev	Y or blank
Executing Member	Opp TM	

Legacy ACT Claim Export Field	ICE FEC Claims or Related Splits Grid Field	ICE FEC Notes
Order ID	Ord ID	Populated on both regular claims and average-price claims
Trader	Trdr	Populated on both regular claims and average-price claims
Executing Account	Opp Cust Acct	
Secondary Customer Account	Opp Sec Cust Acct	
Executing Clearing Acct	Opp Clrg Acct	
Executing Pos Acct	Opp Pos Acct	
AP Group ID	Orig Avg Px Grp ID	
TT	TT	
O/C	Opp O/C	
Rate ID	Rate ID	
Cab Ind	Cab	
Trade Date	Trd Dt	
B/S	B/S	
Product Exchange	Exch	
Comm	Comm	
Contract Period	Maturity	
P/C	P/C	
Strike Price	Strike	
Trade Price	Claim Px	Populated on both regular claims and average-price claims
Average Price	N/A	Combined into Claim Px
Rnded Price	Rnd Px	
Residual	Resid	
Alloc Qty	Claim Qty	Quantity of the allocation and its associated claim; <i>not</i> the quantity which has been claimed
Claim Qty	N/A	Use Status to determine whether record is claimed
Take-up Member	TM	
Take-up Account	Cust Acct	
Take-up Clearing Acct	Clrg Acct	
Take-up Pos Acct	Pos Acct	
Take-up CTI	CTI	
Take-up O/C	O/C	
Claim Date	Claim TS	DD-MMM-YY hh:mm:ss TZ; TZ will be clearing house time zone applicable on the date of claim
Claim Time	N/A	Combined into Claim TS
Claim Record ID	Claim ID	
Alloc Date	N/A	
Alloc Time	N/A	