

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	 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</ctrl+sh+downarrow>
8.3.5 / 8.3.6	1.02	 Functional changes: 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

8.5	1.03	 Added Instruction of Allocation Addit 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 Functional changes: Migrated average-price-group management to ACT 2.0, on Groups screen/arid
		 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 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 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	 Updated system name from ACT 2.0 to ICE FEC Functional changes: Migrated PTMS functions to the combined ICE FEC interface 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

		 Enhanced filtering, adding 'contains' and 'ends with' operators Added background Export of up to 500,000 transactions
	1.05	 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	 Added Appendix C, Unresolved Activity Filters Updated recommended minimum Chrome browser version to 64
8.6.1 - 8.7.1	1.07	 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	Updated Appendix B, Export Mappings, to reflect additional fields added to the Trades/Related Allocations sub-grid
	1.09	 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: 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	Updated Dashboard and Search to reflect addition of T+4 and T+5 data to the system
9.2.0	1.11	 Updated to reflect that Trading Member users are now able to manage Firm Contacts Updated Supported Browsers
9.2.2	1.12	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	 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 giveup 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 <u>ICE Clear - Reference Data</u> <u>Definitions</u> for the full list of ICE Trade Types and their AP eligibility.

Trade Type	FIXML TrdCaptRpt or	FEC UI	May be			
	AllocRpt @TrdTyp	Trade Type	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:

 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.

 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 <u>https://fec.euclearing.theice.com</u>
- ICNL <u>https://fec.nlclearing.theice.com</u>
- ICSG <u>https://fec.sgclearing.theice.com</u>
- 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

ICE CLEAR EUROPE®	D	ev2 ®	.6	Open		Banner	-	A (Cu	rrent Cle cal CCP Ti	earing Da ime: 18-Oct	ite: 04-Ap	pr-2018 9:42 BST	User ID: Last Logir	alison_tm_a	Idmin 2018 07:51:57 EDT	🕞 Lo	gout
Menu 4	Gro	oups				Janner												
Dashboard	Exc	hange All	Exchs T	rading Memb	er xxx 👻	Clearing Date	04-Apr-201		arch									
🔻 🏦 Post Trade Mgmt				-		2		~	_									
Trades	•	Re-Open	Group 🔒 🤇	Close Group	C Refresh	Count 420	Selected Ct 2	2 Selected Qty	: 70		Func	tions Pa	nel			Clear Filter	Export to	💌
C Transfers		Status	Sub-Status	Grp ID 🕇 /	Avg Px Grp ID	Brp Qty F	Rem Qty	Trd Dt	Grp Px	B/S	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	TI
> Groups									Multi-Pop								Multi-Pop	
Claims	Mer	nu	ABC		ABC		123	Ê	123	ABC	ABC	ABC		485 4	BG (123	ABC		ABC
🔻 🎤 Tools		UA		9002942		34	34	03-Apr-2018	123.22	в	IFEU	в	Dec-201	8		584274315	TEST8	
Message Replay	M	UDC	REJ	9002944	APGD1	42	0	03-Apr-2018	121.6866667	в	IFEU	в	Dec-201	8			TEST8	
Firm Contacts		UA		9002945		17	17	03-Apr-2018	123.22	в	IFEU	в	Dec-201	8		584274299	TEST9	
		UA		9002946		14	14	03-Apr-2018	123.38	в	IFEU	в	Dec-201	8		584274421	TEST-1	
		UDA		9002947		40	10	03-Apr-2018	121.38	В	IFEU	в	Dec-201	8		584274377	TEST-1	
		UA		9002948		4	4	03-Apr-2018	123.4	в	IFEU	в	Dec-201	8		584274445	TEST-1	
		UA		9002949		12	12	03-Apr-2018	120.22	в	IFEU	в	Dec-201	8		584274401	TEST-1	
		IP		9002950	APG02	54	0	03-Apr-2018	121.8985185	В	IFEU	в	Dec-201	8			TEST-1	
		A		9002951		28	0	03-Apr-2018	121.34	в	IFEU	в	Dec-201	8		584274327	TEST8	
		A		9002962		289	0	04-Apr-2018	123.22	в	IFEU	т	Dec-201	8 C	65	996936912	XXXACCT	
		A		9002979		140	0	04-Apr-2018	122.38	в	IFEU	T	Dec-201	8 C	65	996936953	XXXACCT	
	۹ 🛍								T									→1
	Rel	ated Alloc	ations															-
	+	Add Alloca	ations 🖺 S	ave 🗶 I	Delete 🗲 Reve	rse ≓ De	elete Reversal	C Refresh	Rem Qty: 0	Count 7	Selecter	d Ct: 0			2	Clear Filter	Export to	
		Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Aco	ct Dest CT	Dest O/C	Dest Memo	Cust A	Acct Grp I	ID Grj	p Px	Alloc ID 🏌	Link Trd ID	Orig Ord	A/O Rev	
			Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Po	p Multi-F	Multi-Pop									
		ABC	123	ABC	ABC		ABC	123 A	4	BC	ABC	123	123	123	.12	3 480	ABC	
		A	14	YYY	12345			0		TEST	8 900	2951	121.34	9002952	13605	5 584274327		-
🔻 😧 Help		A	14	YYY	12345			0		TEST	8 <u>900</u>	02951	121.34	9002953	13605	6 584274327		
User Guide		А	12	YYY	YYY02			0		TEST	8 900	2944 12	1.686	9002957	13605	9 584274327		1
How-To Videos		REJ	14	YYY	YYY03			0		TEST	8 900	2944 12	1.686	9002958	13605	7 584274327		
Neport an Error		с	3	YYY	YYY03			0		TEST	8 900	2944 12	1.686	9002959	13605	8 584274346		1.1
📞 Contact ICE				100/	10000					TEOT		10044 40	4.000	0000000	40005	504074040		

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,



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.

ICE CLEAR EUROPE*	Dev2	8.6		Open	~									1		4 0	Cur	rent Clearing al CCP Time: 18-	Date: 19-Oct-21 Det-2018 21:46:06	018 User ID BST Last Log	I: vijaya_podium in Time: 28-Sep-2018 07:49	31 EDT 🕞 Lo	agout
Menu 📢	Alerts																		Highlight	🗶 Repo	rts		
Bashboard	Cirg Dt	Alert TS		Type	Content															Daily_G	ive-Up Activity		
👻 🏦 Post Trade Mgmt	18-Oct-2018	18-Oct-20	18 16:44:27 BS	T Info	TFE-F-NDED	C 20181019 ha	s expired or	closed.												A			
C Trades	18-Oct-2018	18-Oct-20	18 16:44:18 BS	T Info	NBD-F-IFEU	20181019 he	s expired or (closed.															
C Transfers	17-Oct-2018	17-Oct-20	18 17:04:26 BS	T Info	TFE-F-NDE	(20181018 he	s expired or	closed.															
> Groups	17-Oct-2018	17-Oct-20	18 17:04:17 BS	T Info	T-O-IFEU 20	1811 has expi	ed or closed																
Claims	17-Oct-2018	17-Oct-20	18 17:04:09 BS	T Info	NBD-F-IFEU	20181018 ha	s expired or (closed.															
- Je Tools	17-Oct-2018	17-Oct-20	18 13:15:00 BS	T Info	RC1-O-IFLX	201811 has e	pired or clos	sed.															
Message Replay	17-Oct-2018	17-Oct-20	18 13:15:00 BS	T Info	RC2-O-IFLX	201811 has e	pired or clos	sed.															
Firm Contacts	17-Oct-2018	17-Oct-20	18 13:15:00 BS	T Info	RC-O-IFLX 2	01811 has exp	aired or close	rd.															
	16-Oct-2018	16-Oct-20	18 15:05:34 BS	r Info	NBD-F-IFEU	20181017 ha	s expired or a	closed.															
	16-Oct-2018	16-Oct-20	18 15:05:16 BS	T Info	TFE-F-NDED	C 20181017 ha	s expired or	closed.															
	15-Oct-2018	15-Oct-20	18 16:51:21 BS	T Info	CA7-O-IFED	201810 has e	xpired or clo	sed.															
	15-Oct-2018	15-Oct-20	18 16:51:12 BS	T Info	CA8-O-IFED	201810 has e	xpired or clo	sed.															
	15-Oct-2018	15-Oct-20	18 16:51:04 BS	T Info	CA9-O-IFED	201810 has e	xpired or clo	sed.															
	15-Oct-2018	15-Oct-20	18 16:50:55 BS	T Info	CAO-O-IFED	201810 has e	expired or clo	ised.															
	15-Oct-2018	15-Oct-20	18 16:50:46 BS	T Info	CAP-O-IFED	201810 has e	upired or clo	sed.															
	15-Oct-2018	15-Oct-20	18 16:50:38 BS	T Info	CAW-O-IFED	0 201810 has (expired or cla	osed.												-			
	Unresolve	d Activity - L																					
			Trades					Transfers			Groups			Allocation	15		Claims		SCT				
	TM † U	Inresolved	T Unreg T-1	Unreg T-2 Unre	T-3 Unreg	T-4 Unreg	T-5 Unreg	Unacc/Challgd	Pending	Rejected	In Progres	s Unalloc	Under Alloc	Unacc	Rejected	Pend Rev	Unacc	Pend Rev	Unreg Trades	Unalloc Grps	Under Alloc Grps Uns	acc Claims Unreg	Claims
	Totals:	675	0	8	. 8	0		C	0	0		0 0			546	0		23	0	0	0	0	0
	1 🖤	9		1	9 19									2	P 1		2	Ψ	1				- P
	XXX	357	0	0	. 2	0	0		0	0) 0	0		352	0		0) () 0	0	0	0
	YYY	318	0	0	0	0	0		0	0		0 0	0		294	0		22) () 0	0	0	0
🔻 🚱 Help																							
User Guide																							
How-To Videos																							
Neport an Error																							
Contast ICE																							

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."

Alerts				tfe	×.
Cirg Dt	Alert TS	Туре	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	TILD-F-NDEX 2 81019 has expired or closed.		
18-Oct-2018	18-Oct-2018 16:44:18 BST	Info	NBD-F-IF(1) v v181019 has expired or closed.		
17-Oct-2018	17-Oct-2018 17:04:26 BST	Info	The ANDEX 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	1.0 -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.

Unreso	lved Activity -	Last Update	ad: 18-Oct-201	8 21:44:10 BS																
		Trades				Transfers			Groups			Allocations			Claims		SCT			
TM Î	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:	675	0	3	0	3	0	0	0	0	0	0	646	0	0	23	0	0	0	0	
1	323	12	.123	423	423	423	423	423	49	423	47	423	47	Ψ.	323	423	423	12	423	
XXX	357	0	2	0	2	0	0	0	0	0	0	352	0	0	0	0	0	0	0	
YYY	318	0	0	0	0	0	0	0	0	0	0	294	0	0	22	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.

Tra																		Search				
Exc	nange All	Exchs 🔻	Trading	Member	XXX	▼ Cleari	ng Date 12-/	pr-2018	▼ =	Trd Px	=	Cust Acc	t	Pos Acct Unres	olved -			ocurcii	-	\bigcap	Export	
Co	mm 🔻	Sec Typ	Mat	lurity	B/S	ττ · ·	▼ Orig Ord	ID Dei	al ID	Trd ID				Q	Search Clear	Returned	983 of 983 r	records	rid Controls	<u>`</u>		
B	Save	Edit	🔩 Split	III III	ade Su	mmary 📿 F	Refresh Co	ount: 983	Selected (Ct: 3 Selec	ted B/S	Qty: 51 / 0	Select	ed Avg Price: 123.2	2		/		/ Clear	Filter	🛓 Export	to 👻
	Trd ID 1	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	1	Dest TM	Dest Cus
													\checkmark	Column Contr	ols & Filters	lti-Pop	Multi-F 💌	Multi-Po, 💌	Multi-Pop		Multi-F 💌	Multi-Pop
		123 A	ic AB	9	.123	Ê	4	3 ABC	ABC	ABC	ABC	- 10		180 480	450	499	ABC	ABC		ABC	ABC	
	<u>17</u>	251 <u>XXX</u>	В		17	12-Apr-2018	123.2	2 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0					
	<u>17</u>	252 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0					
	17	253 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0					
☑	17	254 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-20+	Dat	a Grid	EG	420433513	44789	н	0	G				
☑	17	255 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	в 🥖	Apr-2019			REG	420433513	44789	н	0	G				
	17	256 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019	С	65	REG	420433527	XXXACCT	н	0					
	17	257 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019	С	65	REG	420433527	XXXACCT	н	0					
	<u>17</u>	258 <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019	С	65	REG	420433527	XXXACCT	н	0					
☑	<u>17</u>	<u>259</u> <u>XXX</u>	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019			REG	420776878	44789	U	0	G				
	<u>17</u>	260 XXX	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019	С	65	REG	420776892	XXXACCT		0					
	<u>17</u>	261 XXX	в		17	12-Apr-2018	123.2	2 IFEU	В	Apr-2019	С	65	REG	420 Ec	dit/Entry Pan	el]	0	A	AP001			
	<u>17</u>	262 XXX	в		14	12-Apr-2018	121.3	4 IFEU	В	Apr-2019	С	65	REG	420776905	/9101	0	0	A	AP001			
	<u>17</u>	263 <u>XXX</u>	В		14	12-Apr-2018	122.3	8 IFEU	В	Apr-2019	С	65	REG	420776917	XXXACCT	U	0					
C	47	nex vvv	n		44	40 Apr 2040	404.5	0 15511	P	Apr 2040	<u>^</u>	05	050	100770055	VVVLOOT	L.,		1				
Edi	1																					-
0	Discard									0				>								
	Cust Acct	Pos A	cct C	TI C3	3 Trdr	O/C	Rate ID	Trdr Memo		User Me	Ed	t/Entry Pa	anel oc mem	Avg Px Grp ID	Dest TM	Dest Cu	st Acct D	est Pos Acct	Dest CTI	Dest O/	C Dest N	lemo
	44789	[multi	1		_	0	к	HQ-LT-VM	AN-02	-		G								_		
										_												

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.

st Acct	Pos Acct	Unresolved	Ŧ	
		Q Search	Clear	Returned 50000 of 58777 records

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 lastused 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.

						-	0/0	
kch	Comr	-	Maturity	P/C	S	8	Trd Qty	ist /
ABC	1	Â	Sort Asc	ending		V	Trd Dt	ulti-
EU	/	↓A	Sort Des	cendin	9	V	Trd Px	ST
EU	в					V	Exch	ST
ΈIJ	В	÷⊞	Group by	/ this fie	eld		Comm	ST
EU	В		Show in	aroups			Maturity	ST
EU	В				-		P/C	ST
EU	В	C	Back to [Default	5			ST
ΈU	В	B	Save Lay	out			Strike	ST
EU	В	+	Load La	/out			Orig Ord ID	ST
EU	В	_					Ord ID	ST
ΈU	В	Ü	Delete La	ayout				KE
EU	в	;	Filter Hin	its			Cust Acct	ST
EU	в	_	Grid Edit	ina Hin	**		Cirg Acct	ST
EU	в		BIG Edit	ing hin	15		Sec Cust Acct	ST
EU	в		Dec-2018				Pos Acct	ST
EU	в		Dec-2018				CTI	ST
EU	в		Dec-2018				0.0	ST

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.

n Qty		Trd	Dt		-	Grp Px		B/S
	123		0	Grp	Px		(123)	
	0	03-	May	-2017			120.22	В
	0	02	Mau	2017			100.00	D

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.
 - o To update the current Layout, do not modify the displayed name
 - o To create a new custom Layout, enter a new name

Save Layout	×	
Enter a name		
GROUPED ORD ID		
ОК	Cancel	

- 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:

1. Open any column dropdown menu, and hover your mouse pointer over *Load Layout*, to expand the list of available Layouts.



- 2. Click on the desired Layout; the grid will refresh to display the Layout's defined grid preferences.
- Deleting a previously saved Layout When a saved Layout is no longer needed, it may be deleted by the User.

Important! Clicking on a saved Layout in the *Delete Layout* menu will *immediately* cause it to be deleted, *without a confirmation popup*, and its related customizations will be lost.

To delete a saved grid Layout:

1. Open any column dropdown menu, and hover your mouse pointer over *Delete Layout*, to expand the list of available Layouts.



2. Locate and click on the Layout you wish to Delete; *the layout will be deleted immediately, without confirmation*.

7.1.3.6. 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.

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:

8	This will reset the current Data Grid to its default settings for column set, order and widths, and will ungroup the data, if applicable.	
	You will be returned to the Dashboard, and all Search, Filter and unsaved edits will be lost.	
	Do you want to continue?	
	Yes No	

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	Tre
in UA,A	123	ABC	>100	123	
UA F	iltered	Not	Filtered	240	04
	0004450		000	000	~ 1

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.

8	Clear Filter	🛓 Export to 🔻
	Column	Filter
ABC	Status	I=C
1	Comm	В

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.

rade Image: Trade Summary Image: Count: 330 (Filtered) Selected Ct: 0 Selected B/S Qty: 0 / 0 Selected Avg Price: 0 Trd Dt Trd Px Exch Comm Maturity P/C Strike Orig Ord ID Cust Acct Cirg Acct Pos Acct CTI Image: Query Count 123 Image: Query Count Maturity P/C Strike Orig Ord ID Cust Acct Cirg Acct Pos Acct CTI Image: Query Count 123 Image: Query Count Maturity P/C Strike Orig Ord ID Cust Acct Cirg Acct Pos Acct CTI Image: Query Count Column Trd Px Image: Query Count Column Trd Px Image: Query Count Column Trd Px Image: Query Count Column Column Column Column Trd Px Image: Query Count Column Colum																	
Trd Dt Trd Px Exch Comm Maturity P/C Strike Orig Ord ID Cust Acct Cirg Acct Pos Acct CT 42 123 455 455 455 455 455 455 123 124 123 123 455	rade	I Trade Sum	mary	C Ref	resh	Count: 330	(Filtered)	Select	ed Ct: 0	Selected B/S Qt	y: 0 / 0 Selec	ted Avg Price: 0			2	Clear Filter	🛓 Export to .
Image: Non-Point Control in the state of the st	V	Trd Dt	Trd Px		Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	Pos Acct	СТІ	c	Column	Filter
123 123 445 <th></th> <th>Multi-Pop</th> <th></th> <th>Multi-Pop</th> <th>Mult-P</th> <th>P A</th> <th>Trd Px</th> <th>123</th>											Multi-Pop		Multi-Pop	Mult-P	P A	Trd Px	123
17 11-Apr-2018 123-22 IFEU T May-2019 660169830 XXXACCT U O	123	m	123		ABC	ABC	ABC	ABC	.123	ABC	ABC	ABC	ABC	12	3	ABC	ABG
	17	11-Apr-2018		123.22	IFEU	т	May-2019			660169830	XXXACCT		U		0		

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.

	′Clear Fi	lter	🛓 Export to 🔻						
т	O/C	Sec (x	Exce	l xlsx				
ABC	ABC		₽	CSV					
EG	0								
EG	0								

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.



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

04021190	XXXACCT		RE(
64621263	XXXACCT	XXX	RE(🔻
			•
			-

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														
Excl	Exchange IFEU Trading Member XXX Clearing Date 26-Oct-2017 Clearch													
	Re-Open (Group	Close Group	C 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			
								Multi-Pop						
		ABC	123	ABC	123	(123)		(123)	AB	ABC	ABC			
	UDC	REJ	<u>9003396</u>		24	0	24-Oct-2017	120.58		в	IFEU			
4														
								_						
Rel	ated Alloc	ations												
+	Add Alloca	ations 🖺 S	Save 🗶	Delete 🗲 Rev	erse \rightleftharpoons D	elete Reversa	I Refresh	Rem Qty: 0	Count: 12 Sel	ected Ct: 0	-			
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	cct Dest C	TI Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px			
		Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	Multin						
	ABC	123	ABC	AB		ABC	123	BC	ABC	123	12			
	A	2	YYY	YYY8662			0		XXXACU	<u>9003396</u>	120.58			
	С	2	YYY				0		XXXACCT	9003396	120.58			
	REJ	2	YYY	44567			0		XXXACCT	9003396	120.58			
		-	2002	44500					VVVACCT	0003306	120.50			

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

Rel	Related Allocations													
+	+ Add Allocations 🖺 Save			Delete < Reverse 🔁 Delete Reversal 🖉 Refresh 🛛 Rem Qty: 5 Count: 4 Se										
	Status	Alloc Qty	Dest TM	Dest Cust Acc	t De	est Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Gr		
		Multi-Pop	Multi-F 💌	Multi-Pop	M	ulti-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
	ABC	123	ABC		ABC	ABC		AD	ABC	ABC				
	С	1	XXX	DV701	н		1	0		XXXACCT	<u>113051</u>			
	С	1	XXX	DV702	н		1	0		XXXACCT	<u>113051</u>			
	А 🥌	5	YYY					0		XXXACCT	<u>113051</u>			
	A	3	YYY	ABD02				0		XXXACCT	<u>113051</u>			

• 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.

Rel	Related Allocations													
+	+ Add Allocations 🖺 Save 🗴 Delete 🗲 Reverse 🛱 Delete Reversal 📿 Refresh													
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Me						
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-P						
	С	1	XXX	DV701	н	1	0							
	ę	1	XXX	DV702	н	1	0							
	A	5	YYY	EDITED			0							
	A	3	YYY	ABD02			0							
	-	2	YYY	ADDED										
		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.

Rel	Related Allocations													
÷	Add Alloca	ition 🖺 S	ave 🗶	Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 3 C	ount: 5 Selec	ted Ct: 6				
	St.us	Alloc Qty Dest TM		Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID G				
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 🔻	Multi-Pop						
\checkmark	С	1	XXX	DV701	н	1	0		XXXACCT	<u>113051</u>				
\checkmark	С	1	XXX	DV702	н	1	0		XXXACCT	<u>113051</u>				
	A	5	YYY	EDITED			0		XXXACCT	<u>113051</u>				
☑	A	3	YYY	ABD02			0		XXXACCT	<u>113051</u>				
		2	YYY	ADDED						-				
		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.

Claims													
Exch	Exchange All Exchanges Trading Member YYY TClearing Date 20-Jul-2017 T												
	Accept/Sa	ve 🕤 Reje	ct ≓ C	onfirm Reversa	i 🧠	Split	\mathcal{C} Refresh	Count: 23	8 Selected Ct:	0 Selected			
	Status Cla			Pos Acct		O/C	Alloc Meth	Claim ID 1	Link Trd ID	Avg Px Grp			
				Multi-Pop	Multi-I	<u>k</u> =	Multi-Po, 💌						
	ABC	.123		ABC	123	ABC	ABC	.123	.123				
	С	1	TKUP1	U		0		9000286	587107				
	С	10	TKUP1	U	2	0		9000307	110054				
	С	10	TKUP2	н	2	0		9000311	110202				
	С	1	TUP08	U	2	0	G	<u>9000317</u>	110203				
	С	1	TUP08	н	2	0	G	<u>9000319</u>	110208				
	С	Inac	tive	13	2	0	G	<u>9000356</u>	110171				
	С			U	1	0		9000367	110175				
	0	4	450			~		0000070	440400				

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.

Cla	Claims													
Exc	hange All	Exchanges 🔻	Trading Me	mber YYY		-	Clearing Dat	te 04-May-2017	▼ Q Sear	rch				
8	Accept/Se	Reject	≓ Confi	rm Reversal	€ <mark>8</mark> S	split 🛔	C Refresh	Count: 10 Select	ed Ct: 10 Se	elected Qty: 180				
	atus	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Avg Px Grp ID	Ord ID	0 Rev	Trd
						-						_		
	ABC	.123	ANG	ABC	-123	400	A00	123	.123	(123		64621082	ARG	
\blacksquare	UC	20	GIV04	н		0			9654357	4377059		64621082		04-N
	UC	10	GIV04	н		0			9654358	4377055		64621082		04-N
	REJ	20	GIV01			0			9654359	4377057		64621082		04-N
	REJ	20	GIV01			0			9654360	4377054		64621082		04-N
	UC	20	GIV02			0			9654361	4377051		64621082		04-N
	С	10	CHANGE	н		0			9654362	4377055		64621082		04-N
	С	20	MODIFY	U		0	G		9654363	4377013		64621082		04-N
	С	20	CHANGE	н		0			9654364	4377065		64621082		04-N
	С	20	CHANGE	н		0			9654365	4377068		64621082		04-N
	UC	20	GIV03	н		0			9654366	4377066		64621082		04-N

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.

Cla	Claims													
Exc	hange All	Exchanges 🔻	Trading Me	mber YYY		Ŧ	Clearing Dat	e 04-May-2017	 Q Sear 	sh				
	Accept/Sav	ve 🖺 Reject	⇔ Confi	rm Reversal	e ¢ S	plit 🕵	3 Refresh	Count: 31 Select	ed Ct: 0 Sele	cted Qty: 0				
	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd (
							-							
	ABG	123	ABG	ABC	(123)	ABC	ABC	123	123	123	ABC	ABG	ABG	
	Ord ID: 6	4621067 : [Co	unt: 4 Quai	ntity: 20]										
	UC	2	GUP03			0			9654367	4377010		64621067		04-M
	UC	3	GUP01			0			9654368	4377010		64621067		04-M
	UC	7	GUP02			0			9654369	4377010		64621067		04-M
	UC	8	GUP04			0			9654370	4377010		64621067		04-M
	Ord ID: 6	4621082 : [Co	unt: 10 Qua	antity: 180]										
	UC	20	GIV04	н		0			<u>9654357</u>	4377059		64621082		04-M
	UC	10	GIV04	н		0			9654358	4377055		64621082		04-M
	REJ	20	GIV01			0			<u>9654359</u>	4377057		64621082		04-M
	REJ	20	GIV01			0			<u>9654360</u>	4377054		64621082		04-M
	UC	20	GIV02			0			<u>9654361</u>	4377051		64621082		04-M
	С	10	CHANGE	н		0			<u>9654362</u>	4377055		64621082		04-M
	С	20	MODIFY	U		0	G		<u>9654363</u>	4377013		64621082		04-M
	С	20	CHANGE	Н		0			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.

Cla																		
Exc	hange All	Exchanges *	 Trading Me 	ember YYY		Ŧ	Clearing Dat	e 04-May-2017	▼ Q Sear	ch								
B	Accept/Sa	we 🖏 Rejec	t 🔁 Confi	irm Reversal	K S	plit 🐇	Refresh	Count: 31 Select	ed Ct: 10 Se	lected Qty: 180				8	Clear F	ilter 🚽	Export to	· •
_	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	B/S	Exch	Comm	Maturity
						Ŧ	-											
	A00	123	GURIT?	ABC	423	400	ABG	(12)	(12)	43771111	ADO	AND CILIDA	ADC		1 1	Meet M	ADC	LICIA
	UÇ	8	GUP04			0			9654370	4377010		64621067		04-May-2017	в	IFEU	т	Oct-2
	Und ID: 6	64621082 : [Co	unt: 10 Qua	antity: 180]														
	UC	20	GIV04	н		0			9654357	4377059		64621082		04-May-2017	В	IFEU	т	Oct-2
	UC	10	GIV04	н		0			9654358	4377055		64621082		04-May-2017	в	IFEU	т	Oct-2
	REJ	20	GIV01			0			<u>9654359</u>	4377057		64621082		04-May-2017	В	IFEU	т	Oct-2
	REJ	20	GIV01			0			<u>9654360</u>	4377054		64621082		04-May-2017	В	IFEU	т	Oct-2
	UC	20	GIV02			0			<u>9654361</u>	4377051		64621082		04-May-2017	В	IFEU	т	Oct-2
	С	10	CHANGE	н		0			<u>9654362</u>	4377055		64621082		04-May-2017	В	IFEU	т	Oct-2
	С	20	MODIFY	U		0	G		<u>9654363</u>	4377013		64621082		04-May-2017	В	IFEU	т	Oct-2
	С	20	CHANGE	н		0			<u>9654364</u>	4377065		64621082		04-May-2017	В	IFEU	т	Oct-2
\checkmark	С	20	CHANGE	н		0			<u>9654365</u>	4377068		64621082		04-May-2017	В	IFEU	т	Oct-2
	UC	20	GIV03	н		0			<u>9654366</u>	4377066		64621082		04-May-2017	В	IFEU	т	Oct-2
	Ord ID: 6	64621101 : [Co	unt: 3 Quar	ntity: 60]														
Ģ	110	20	K.01.11.71.4			0			QR5/1271	/377015		R/R21101		04 May 2017	R	IEELI	т	045

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.

					Ø	(
p ID	Ord ID	•	A/O Rev	Trd Dt		
		1ª	Sort Asce	ending		
ABC			Sort Desc	ending		
	646210	4.2		, i i)17	E
	646210		Columns	•)17	E
	646210	Ð	Group by	this field)17	E
	646		Show in c	TOUDS)17	E
	646210		Showing	jioups)17	E
	646210	ŋ	Back to D	efaults))17	E
	646210	÷	Filter Hint	ts)17	E
	646210	_)17	E
	646210	#	Grid Editi	ng Hints)17	E
	646040	102		04 May 2	017	,

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.

					Ø	C
D	Ord ID	*	A/O Rev	Trd Dt		
		1ª	Sort Asce	nding		
ABC		↓ A Z	Sort Desc	ending		
	Unchec	k	Columna)17	E
		L.	Columns	P		
	646210	■	Group by	this field)17	E
	646210	Ċ)17	E
	646210	5	Back to D	efaults)17	E
	646210		Duck to D	oradito)17	E
		i	Filter Hint	s		
	646210	⊞	Grid Editir	ng Hints)17	E
	040040	00		04 14-00	047	-

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.

	ated Alloc									
+	Add Alloca	ations 🖺 S	ave 🗶	Delete 🗲 Reve	rse	Reversal 🖉	Refresh	Rem Qty: 5 C	ount: 4 Select	ted Ct:
	Status	Alloc Qty	Dest	ot Editable	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp II
	Multi-Pop		Multi-		Multi-Pop	Multi-Pop	Multi-F 🔻	Multi-Pop		
	EC	ditable	ABC		ABC	423	ABC	ABC	ABC	
	<u> </u>		XXX	DV701	н	1	0		XXXACCT	<u>11</u>
	С		XXX	DV702	н	1	0		XXXACCT	<u>11</u>
	A	5	YYY				0		XXXACCT	<u>11</u>
	А	3	YYY	ABD02			0		XXXACCT	<u>11</u>
				·						

• 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.

Rel	ated Alloc							
+	Add Alloca	ations 🖺 S	ave 🗶 [Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem 0
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest M
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-P
	С	1	XXX	DV701	Н	1	0	
	С	1	XXX	DY TZ	н	1	0	
	A	5	YYY	EDITED			0	
	A	3	YYY	AFT J2			0	
		2	YYY	ADDED				
		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.

Rel	ated Alloc	ations												
+	Add Alloca	tions) S	ave	×	Delete	← Rever	rse	\rightleftharpoons Delete	Reversal	0	# Refres	h	Rem C
_	Status	Alloc Qty		Dest TN	Λ	Dest C	ust Acct	Dest	Pos Acct	Dest CTI		Dest O/	С	Dest Me
		Multi-Pop		Multi-F	-	Multi-F	Pop	Mult	i-Pop	Multi-Pop		Multi-F	-	Multi-P
	С		1	XXX		DV701		н			1	0		
	С		1	XXX		DV702		н			1	0		
$\mathbf{\nabla}$	A		5	YYY		UPD	ιE					0		
	A		3	YYY		CHAN	GE					0		
☑			2	YYY		NEW								
			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.

Rel	ated Alloca	ations									
+	Add Alloca	tions 🖺 S	ave 🗶 [Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 7 Selec	ted 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			
	С	1	XXX	DV701	н	1	0		XXXACCT	113051	
	С	1	XXX	DV702	Н	1	0		XXXACCT	<u>113051</u>	1
	A	5	YYY				0		XXXACCT	<u>113051</u>	1
	A	3	YYY	ABD02	Ctrl	+Shift+Dowr	n]		XXXACCT	<u>113051</u>	1
\checkmark		2		EDIT						-	
		2		EDIT						-	
		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

Rel	ated Alloc										
+	Add Alloca	tions 🖺 S	ave 🗶 [Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 7 Selec	ted Ct: 4	
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Jest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp P
		Multi-Pop	Multi-F 💌	MULTI	н 🥌	Multi-Pop	Multi-F 💌	Multi-Pop			
	С	1	XXX	DV701	н	1	0		XXXACCT	<u>113051</u>	
	С	1	XXX	DV702	н	1	0		XXXACCT	<u>113051</u>	-
	A	5	YYY				0		XXXACCT	<u>113051</u>	
	A	3	YYY	ABD02			0		XXXACCT	<u>113051</u>	
		2								-	
		2								-	
		1								-	
		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**.

Re	lated Alloc	ations										
+	Add Alloca	itions 🖺 S	ave 🗶	Delete 🗲 Reve	erse	≓ Delete	Reversal	, Refresh	Rem Qty: 0 C	ount: 7 Selec	ted Ct. 4	
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest	Pos Acct	Enter	est O/C	Dest Memo	Cust Acct	Grp ID	Grp P
		Multi-Pop	Multi-F 💌	MULTI	н		Multi-Pop	Multi-F 🔻	Multi-Pop			
	С	1	XXX	DV701	н		1	0		XXXACCT	113051	
	С	1	XXX	DV702	н		1	0		XXXACCT	<u>113051</u>	
\checkmark	A	5	YYY	MULTI	н			0		XXXACCT	<u>113051</u>	
	A	3	YYY	ABD02				0		XXXACCT	<u>113051</u>	
\checkmark		2		MULTI	н						-	
		2		MULTI	н	1					-	
		1		MULTI	н	•					-	
		0									-	

5. Continue making any other edits, as needed, before saving all your changes; see screenspecific 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.



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.

Cla	ims			Claim ID: 9000837			
Excl	hange All	Exchanges	▼ Tra	Name 1	Value		٦
B	Accept/Sa	ve 「 Reje	ect 두	A/O Rev		-	
_	Status	Claim Qty	Cust A	Alloc Meth			
J				Avg Px Grp ID		Ш	
				B/S	В		
כ	REJ	1	GIV05	Brkr Comp ID	2345		
כ	С	2	ABCO	Cab			
ר	UC	5		CI App Sub Type	ISV1		
ר	UC	3		СІ Арр Туре	WEBICE		
- -	CA	4	GIV01	Claim ID	9000837		
ר	C	4	GIV01	Claim Px	122.22		
			CIVUI	Claim Qty	2		
Rel	ated Splits			Claim TS	24-Jan-2018 20:30:15 GMT		
				Cirg Acct			
B	Save 3	Collete	Refre	Comm	FNO		
_	Status	Claim Qty	Cust A	СТІ	2		
				Cust Acct	ABC03		
	ABC			Deal ID	7706060600	-	đ
					ок		

INTERCONTINENTAL EXCHANGE ICE FEC, U

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.

Tra	des																					
Exc	hange A	I Exchs	5 V	Trading I	Vember X	XXX	▼ Clearin	ng Date 12-	Apr-2018	Ψ =	Trd Px	=	Cust Acc	et Poi	s Acct Unres	solved 🔻						
Co	mm 🔻	Sec 1	Тур 🔻	Matu	rity	B/S	▼ 77	 Orig Ori 	1 ID D	eal ID	Trd ID				Q	Search Clear	Returned	983 of 983 r	records			
B	Save	🔊 Ec	iit 📢	Split	III Trade	e Sum	nmary 🥲 R	lefresh C	ount: 983	Selected (Ct 3 Selec	ted B/S	Qty: 51 / 0	Selected	Avg Price: 123.2	2				🥒 Clear Filte	er 🛓 Exp	ort to 🔻
	Trd ID 1		TM	B/S	Trd Qty	Т	Frd 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	Dest Cust .
																Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Po, 💌	Multi-Pop	Multi-F	Multi-Pop
		123	ABC	ABC		123	Ê		23 A	C ABC	ABC	ABC	423	ABC	ABC	ABC	ABC	ABC	ABC		6 4	ř.
	<u>17</u>	3251	XXX	В		17 1	12-Apr-2018	123.	22 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0				<u></u>
	<u>17</u>	3252	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0				
	<u>17</u>	3253	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0				
☑	<u>17</u>	3254	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019			REG	420433513	44789	н	0	G			
☑	<u>17</u>	3255	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019			REG	420433513	44789	н	0	G			
	<u>17</u>	3256	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019	С	65	REG	420433527	XXXACCT	н	0				
	17	3257	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019	С	65	REG	420433527	XXXACCT	н	0				
	<u>17</u>	3258	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019	С	65	REG	420433527	XXXACCT	н	0				
☑	17	3259	<u>XXX</u>	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019			REG	420776878	44789	U	0	G			
	17	3260	XXX	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019	С	65	REG	420776892	XXXACCT	U	0				
	17	3261	XXX	в		17 1	12-Apr-2018	123.	22 IFEU	в	Apr-2019	С	65	REG	420776892	79101	U	0	A	AP001		
	17	3262	XXX	в		14 1	12-Apr-2018	121.	34 IFEU	в	Apr-2019	С	65	REG	420776905	79101	U	0	A	AP001		
	17	3263	XXX	в		14 1	12-Apr-2018	122	38 IFEU	в	Apr-2019	С	65	REG	420776917	XXXACCT	U	0				
÷.	47	2264	~~~	n		44 4	10 Apr 2010	104		P	Apr 2040	^	00	DEC	100770055	VOVAGOT	L.,					•
Edi	t												Ŧ									-
0	Discard																					
	Cust Acc	:	Pos Aco	ct CTI	C3 Tr	rdr	O/C	Rate ID	Trdr Mem	0	User Me	mo	A	lloc Meth	Avg Px Grp ID	Dest TM	Dest Cu	st Acct D	lest Pos Acct	Dest CTI De	st O/C Des	: Memo
□ 44789 (mult) 0 K HOLT-YMAN-02 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.

Tra	des																
Exc	hange All E	chs 🔻	Trading	Member XXX	▼ Clear	ing Date 12-Ap	r-2018	₩ =	Trd Px	=	Cust Acc	t Pos	s Acct Unres	olved 🔻	r		
Co	mm 🔻 S	ес Тур	▼ Matu	urity B/S	S 🔻 TT	▼ Orig Ord IL	Dea	al ID	Trd ID				Q	Search Clear	Returned	983 of 983 r	ecords
	🖺 Save 🖋 Edit 🥰 Split 🌐 Trade Summary 😂 Refresh Count: 75 (Filtered) Selected Ct: 3 Selected B/S Qty: 51 / 0 Selected Avg Price: 123.22																
	Trd ID 🏌	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	тт	Orig Ord ID	Cust Acct	Pos Acct	O/C	Alloc Met
														Multi-Pop	Multi-Pop	Multi-F 🔻	Multi-Po
		2	abc ABC	17 423	#	123	ABC	ABC	ABC	ABC	123	ABC	ABC	ABC	ABC	ABC	
	1732	1 <u>XXX</u>	в	17	12-Apr-2018	123.22	IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0	
	1732	<u>2 XXX</u>	в	17	12-Apr-2018	123.22	IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0	
	1732	<u>3 XXX</u>	в	17	12-Apr-2018	123.22	IFEU	G	Apr-2019			REG	420307828	XXXACCT	н	0	
	1732	<u>4</u> XXX	в	17	12-Apr-2018	123.22	IFEU	В	Apr-2019			REG	420433513	44789	н	0	G
	1732	<u>5 XXX</u>	в	17	12-Apr-2018	123.22	IFEU	в	Apr-2019			REG	420433513	44789	н	0	G
	1732	<u>6 XXX</u>	в	17	12-Apr-2018	123.22	IFEU	в	Apr-2019	С	65	REG	420433527	XXXACCT	н	0	
	1732	7 <u>XXX</u>	в	17	12-Apr-2018	123.22	IFEU	В	Apr-2019	С	65	REG	420433527	XXXACCT	н	0	
	1732	8 <u>XXX</u>	в	17	12-Apr-2018	123.22	IFEU	в	Apr-2019	С	65	REG	420433527	XXXACCT	н	0	
	<u>1732</u>	<u>9 XXX</u>	в	17	12-Apr-2018	123.22	IFEU	в	Apr-2019			REG	420776878	44789	U	0	G
	1732	0 XXX	в	17	12-Apr-2018	123.22	IFEU	в	Apr-2019	С	65	REG	420776892	XXXACCT	U	0	
	1732	1 YYY	B	17	12-Apr-2018	123.22	IFFU	в	Apr-2019	C	65	REG	420776892	70101			

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

E																
Q	Discard															
	Cust Acct	Pos Acct	СТІ	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		0	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)
- o Count The number of Splits matching the Search and Filter criteria
- o Selected Ct The number of Splits selected in the grid

Sp																
0) Discard	Rem Qty: 20	Count: 0 S	elected Ct: 0											/ Clear Filter	
	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	Pos Acct	O/C	User Memo	Alk
			Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 🔫	Multi-Pop						
	9	423	323	ADG			123	ADG	1		ABG	400	10	1		12
											1					

• 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:

o 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)
- o Count The number of Adjustment rows entered in the grid
- Selected Ct The number of adjustments selected in the Adjust grid

Jst							
Discard Rem	Qty: 17 Cour	nt: 0 Selec	ted 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
1	0						
Adjust Discard Ren User Memo Multi-Pop	User Rem Qty: 17 Cou User Memo Trd Qty Multi-Pop Multi-Pop I 0	Usst Rem Qty: 17 Count: 0 Select User Memo Trd Qty Dest TM Multi-Pop Multi-Pop Multi-F \notice I 0 0	Instant Rem City: 17 Count: 0 Selected Ct: 0 User Memo Trd City Dest TM Dest Cust Acct Multi-Pop Multi-Pop Multi-Fit Multi-Pop I 0 Image: 100 million Image: 100 million	Instant Rem City: 17 Count: 0 Selected Cit: 0 User Memo Trd City Dest TM Dest Cust Acct Dest Pos Acct Multi-Pop Multi-Pop Multi-Pop Multi-Pop Multi-Pop I 0 Image: Count of the count of	User Trd Gty Dest TM Dest Cut Act: Dest Act: <thdest act:<="" th=""> <thdest ac<="" td=""><td>User Trd Cty Dest TM Dest Cut Act Dest Cot Act Dest Cit User Memo Trd Cty Dest TM Dest Cut Act Dest Pos Act Dest Cit Multi-Pop Multi-For Multi-Pop Multi-Pop</td></thdest></thdest>	User Trd Cty Dest TM Dest Cut Act Dest Cot Act Dest Cit User Memo Trd Cty Dest TM Dest Cut Act Dest Pos Act Dest Cit Multi-Pop Multi-For Multi-Pop Multi-Pop	

• **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:

o Close - Collapses the Trade Summary sub-grid

⊘ Close						
Buy Qty	Sell Qty	TM	Comm	Maturity	P/C	Strike
0	56,485	YYY	в	Dec-2018		
0	37,642	YYY	в	Jan-2019		
0	18,883	YYY	в	Jan-2019	С	65
56,485	0	XXX	в	Dec-2018		
0	37.627	XXX	т	Eeb-2019		

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
 - o 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

Tra	les																				
Exc	ange A	dl Exchs 🔻	Trading	Member	All TMs	 Clearing Dat 	e 12-Apr-20	18 👻	= Tra	d Px	=	Cust Acct	Pos Acct	Unresolved	Ψ.						
Co	nm 🔻	Sec Тур 🔻	Matu	irity	B/S 🔻	77	Drig Ord ID	Deal I	D	Trd ID				Q Search	n Clear	Returned	50000 of 58	777 records			
	Save	🖋 Edit 🤘	Split	ШТ	rade Summar	ry 🧭 Refrest	n Count: 1	0804 (Filtered)	Selected Ct	3 Se	elected B/S	Qty: 0 / 23 Se	lected Avg Price	e: 121.93304	35			/ Clear Filter	🛓 Export to	v
	Status	Trd ID 1	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	СТІ	O/C	Alloc Meth	Avg Px Grp ID	Dest TM	Dest
														Multi-Pop	Multi-Pop	i diti-P	Multi-F 🔻	Multi-Poj 🔻	Multi-Pop	Multi-F	▼ Multi-
		9														(P)					
☑	MAA	142751	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	н 🦰	2	0	G		XXX	-
	MAA	142752	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	н	2	0	G		XXX	
	MAA	142753	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0	G			
	MAA	142754	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	0	G			
	MAA	142755	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	0	A	AER01		
	MAA	142756	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	0	A	AER01		
	MAA	142757	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0				
	MAA	142758	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	0				
	MAA	142762	YYY	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	DAZ45	н	2	0				
	MAA	142765	YYY	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	555XXX02	U	2	0				
\square	1/40	440700	1000			04 4 0040	(00.00	1000	050	100 0010			000405700	KIDADTOLE			~				

- 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
 - o 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

Trac	les																					
Exch	ange A	II Exchs 🔻	Trading	Membe	r All TMs		Date 12-Apr-2	018 🤜	r = Tr	rd Px	=	Cust Acct	Pos Acct	Unresolved	·							
Cor	nm 🔻	Sec Typ 🦷	Mat	urity	B/S ▼	TT 👻	Orig Ord ID	Deal	ID	Trd ID				Q Searc	h Clear	Returned	1 50000 of 58	3777 records				
B	Save	de Edit	🗳 Split		Trade Summa	ry 📿 Refr	esh Count:	10804 (Filtered)	Selected Ct	3 Se	elected B/S	Qty: 0 / 23 Se	elected Avg Price	e: 121.93304	35			/ Clear Filter	± E	xport to	. •
	Status	Trd ID 1	ТМ	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	D	est TM	Dest
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 🔻	Multi-Poj 🔻	Multi-Pop	M	luiti-F 💌	Multi
			1																			
	MAA	142751	I YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ55	U	2	с					Ê
	MAA	142752	2 YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ55	U	2	0					
	MAA	142753	3 YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0	G]			
	MAA	142754	1 YYY	s	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	0	G				
	MAA	142755	5 <u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	0	A	AER01			
	MAA	142756	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2	0	A	AER01			
	MAA	14275	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0					
	MAA	142758	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	0					
	MAA	142763	<u>2 YYY</u>	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	DAZ55	н	2	0					
	MAA	14276	5 YYY	S	7	04-Apr-2018	123.38	IFED	PEB	Jan-2019			996165766	555XXX02	U	2	0					-
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Edit																						•
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	Cust Ac	ct Pos Ad	ct C	ті с	C3 Trdr	O/C F	Rate ID Trdr	Memo		User Memo)	Allo	oc Meth	Px Grp ID	Dest TM	Dest Cu	ust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest	Memo
	DAZ45	н		2		[multi] E	E MEN	10				G			XXX							
												A										
												G										

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.

2. 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).

Tra	des															
Exc	nange All	Exchs 💌	Trading	Member	XXX	 Clearing Date 	e 12-Apr-20	18 🔻	= Tro	d Px	=	Cust Acct	Pos Acct	Unresolved	•	
Co	mm 🔻	Sec Typ 🔻	Matu	irity	B/S ▼	77 🔻 🗸	Drig Ord ID	Deal I	D	Trd ID				Q Search	Clear	Returned
Ð	Save	🖍 Edit	Split	Ш Т	rade Summar	y 🕃 Refresh	n Count: 1	4120	Selected (Ct: 1 Sele	ected B/S	Qty: 0 / 20	Selected Avg	Price: 121.38		
	Status	Trd ID 🏌	тм	1.15	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	CTI
														Multi-Pop	Multi-Pop	Multi-P
	ABC	123	ABC	ABC	123		123	ABC	ABC	ABC	ABC	123	ABC	ABC	ABC	123
	MAA	<u>142751</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	н	2
	MAA	MAA <u>142752</u> <u>YYY</u> S MAA <u>142753</u> <u>YYY</u> S				04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	н	2
	MAA	<u>142753</u>	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2
	MAA	<u>142754</u>	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2
	MAA	<u>142755</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2
	MAA	<u>142756</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	2247765	U	2
	MAA	<u>142757</u>	<u>YYY</u>	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2
	MAA	<u>142758</u>	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2
	MAA	<u>142759</u>	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	н	2
												-				
Spl	it															
\oslash	Discard	Rem Qty: 2	0 Coi	unt: 0	Selected Ct: (D										
	Status	Trd ID	Trd	Qty	De CTM	Dest Cust Acc	t Dest Pos	Acct	Dest CTI	Dest	C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Cirg Ac	ct
			Mul	ti-Pop	Multi-F 🔫	Multi-Pop	Multi-Po	2	Multi-Po	o Multi-	-Рор	Multi-F 🔻	Multi-Pop			
			23		ABC									ABC		

- 3. 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.

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Tra	des															
Exc	nange Al	I Exchs 🔻 🏾	Frading I	Member	XXX	 Clearing Dat 	e 12-Apr-20	18 🔻	= Tr	d Px	=	Cust Acct	Pos Acct	Unresolved	-	
Co	mm 🔻	Sec Typ 💌	Matu	rity	B/S 🔻	<i>TT</i> v	Drig Ord ID	Deal I	D	Trd ID				Q Searc	h Clear	Returne
	Save	🖋 Edit 🧠	Split	III Tra	ade Summar	/ C Refresh	n Count: 1	4120	Selected (Ct: 1 Se	elected B/S	6 Qty: 0 / 20	Selected Avg	g Price: 121.38		
	Status	Trd ID 🏌	ТМ	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	СТІ
														Multi-Pop	Multi-Pop	Multi-I
	ABC	(123)												ABC		
	MAA	<u>142751</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	DAZ45	н	:
	MAA	<u>142752</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	DAZ45	н	:
	MAA	<u>142753</u>	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-201	9		996165737	79101	U	:
	MAA	<u>142754</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	79101	U	:
	MAA	<u>142755</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	2247765	U	
	MAA	<u>142756</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	2247765	U	:
	MAA	<u>142757</u>	<u>YYY</u>	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-201	9		996165737	79101	U	:
	MAA	<u>142758</u>	<u>YYY</u>	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-201	9		996165721	79101	U	:
	MAA	<u>142759</u>	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-201	9		996165737	79101	н	:
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Spl	t															
\oslash	Discard	Rem Qty: 0	Cour	nt: 3 Se	elected Ct: 3											
	Status	Trd ID	Trd (Qty	Dest TM	Dest Cust Acc	t Dest Pos	Acct	Dest CT	De	st C3 Trdr	Dest O/C	Dest Memo	Cust Acct	Cirg A	cct
			Mult	i-Pop	Multi-F 🔻	Multi-Pop	Mut Pop	2	Multi-Po	p Mu	lti-Pop	Multi-F	Multi-Pop			
			3		ABC					123		AB	9	ABC		
				10	YYY	79101	н									
				3	XXX											
				7	YYY	DAZ45	н									
				0												

4. 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 reexpanding the Split grid. The legs will not be editable in the Split grid, but their detail will be displayed.

(continues on next page)

Tra	ides																		
Exc	hange A	ll Exchs 🔻 Ti	rading Member	XXX	-	learing Date	12-Apr-2018	▼ = Trd	Px	=	Cust Acct	P	Pos Acct	Unresolved	~				
0	mm ¥	Sec Tvn 💌	Maturity	B/S T	77	T Orle	Dea		ind ID					O Search	Clear Retur	ned 983 of 98	3 record	s.	
100		out typ	maturity	2.0	11	0.13		10						Q Oblach	ondar Teorem				
B	Save	🖋 Edit 🗠	Split 🌐 Trae	de Summ	ary	C Refresh	Count: 6 (Filt	ered) Selec	ted Ct:	1 Selecte	d B/S Qty: 0	/ 20	Selected Av	/g Price: 121.38					/ Clear Filt
	Status	Trd ID 1	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	Alloc Me
															Multi-Pop	Multi-Pop	Multi-P	Multi-F	▼ Multi-Po
	1	123	123	- M	ADC	423	Ê	123	49	- MG	A00	49	123	*5737 🤎	ADC	ABC .	123		ABC
	MAA	142753		YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0	G
☑ MAS 142757 YYY S 20 04-Apr-2018 121.38 IFED PEB Jan-2019 998165737 79101 U 2 O																			
	MAA	142759		YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	н	2	0	G
	MAA	A <u>150201</u> 142757 <u>YYY</u> S				10	04-Apr-2018	121.38	IFED	PEB	Jan-2019		Editat	ole 37	79101	н	2	0	
	MAA	150202	142757	YYY	s	3	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	79101	U	2	0	G
	MAA	150203	142757	YYY	s	7	04-Apr-2018	121.38	IFED	PEB	Jan-2019			996165737	DAZ45	н	2	0	
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Sel	i#									_	Ŧ								
Sp	iit.																		
0	Discard	Rem Qty: 0	Count: 3 Sel	ected Ct:	0														/ Clear Filt
	Status	Trd ID	Trd Qty	Dest TM	De	st Cust Acct	Dest Pos Acct	Dest CTI	D	est C3 Trdr	Dest O/C	Dest	Memo	Cust Acct	Cirg Acct	Pos Acct	O/C	ι	Jser Memo
			Multi-Pop	Multi-F	▼ Mu	ılti-Pop	Multi-Pop	Multi-Pop	M	lulti-Pop	Multi-F 🔻	Multi-	Pop						
	1	3 (12)			ABC.			19	123	49	ABG		499	ABC .		MBG (BC .	1	
	MAA	150203	3 7			Displa	ay only							DAZ45		н	0		
	MAA	150202	3 3	XXX							0			79101		U	0		
	MAA	150201	L 10											79101		н	0		

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.
- 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.

Tra	des																		
Exc	hange Al	Exchs 👻	Trading I	Member	XXX	The Clearing Da	ite 12-Apr-20	18 🔻	= Tri	d Px	=	Cust Acct	Pos Acct	Unresolved	~				
Co	omm 🔻	Sec Тур 🔻	Matu	rity	B/S ▼	TT 📼	Orig Ord ID	Deal I	D	Trd ID				Q Search	h Clear	Returned	50000 of 58	777 records	
<u> </u>																			
	Save	P Edit	Adjust		Trade Summ	ary 🤁 Refr	esh Count	14595	(Filtered)	Selected	Ct: 2 5	elected B/S	8 Qty: 34 / 0 S	elected Avg Pri	ce: 123.22				/ Clear
	Status	Trd ID 1	тм	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	СТІ	O/C	Alloc Meth	Avg Px G
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 🔻	Multi-Poj 🔻	Multi-Pop
	ABC	123	ABC	ABC	123	Ê	123	ABC	ABC	AB	ABC	123	ABC	ABC	ABC	123	ABC	ABC	
	MAA	136051	XXX	в	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274299	TEST9	н		0		
	MAA	136052	XXX	в	17	03-Apr-2018	123.22	IFEU	В	Dec-2018			584274299	TEST9	н		0	G	
	MAA	136053	XXX	в	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274315	TEST8	н		0		
	MAA	136054	XXX	в	17	03-Apr-2018	123.22	IFEU	В	Dec-2018			584274315	TEST8	н		0	G	
	MAA	136055	XXX	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	G	
	MAA	136056	XXX	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	G	
	MAA	136057	XXX	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	A	APG01
Ţ																	-		
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	User Mer	no Trd (λty	D.st T	M Dest C	Cust Acct De	st Pos Acct	Dest C	TI De	st O/C	Dest Mem	0							
	Multi-Pop	Mult	-Pop	Multi-I	F 🔻 Multi-i	Рор Ми	ilti-Pop	Multi-F	гор Ми	Ilti-F 🔻 I	Multi-Pop								
			_																

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

Tra	des																		
Excl	nange Al	Exchs 🔻	Trading	Member	XXX	 Clearing Date 	te 12-Apr-20	18 👻	= 7	ird Px	=	Cust Acct	Pos Acct	Unresolved	~				
Co	mm 🔻	Sec Typ	▼ Matu	irity	B/S ▼	77 -	Orig Ord ID	Deal I	D	Trd ID				Q Search	1 Clear	Returned	50000 of 58	777 records	
B	Save	🖋 Edit	Adjus	t	Trade Summ	ary 🥃 Refr	esh Count	14595	(Filtered) Selected	Ct: 2 5	Selected B/	/S Qty: 34 / 0 S	elected Avg Pri	ce: 123.22				Ø
	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	Avç
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 💌	Multi-Poj 🔻	Ми
																		49	
	MAA	<u>1360</u>	51 XXX	в	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274299	TEST9	н		0		
	MAA	<u>1360</u>	5 <u>2</u> XXX	В	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274299	TEST9	н		0	G	
	MAA	<u>1360</u>	53 <u>XXX</u>	в	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274315	TEST8	н		0		
	MAA	<u>1360</u>	54 <u>XXX</u>	в	17	03-Apr-2018	123.22	IFEU	в	Dec-2018			584274315	TEST8	н		0	G	
	MAA	1360	55 <u>XXX</u>	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	G	
	MAA	<u>1360</u>	56 <u>XXX</u>	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	G	
	MAA	1360	57 <u>XXX</u>	в	14	03-Apr-2018	121.34	IFEU	в	Dec-2018			584274327	TEST8	н		0	A	AP
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Adj	ust																		
0	Discard	Rem Qt	: 34 Co	unt: 0	Selected Ct:	1													
	User Mer	no Tr	d Qty	Dest 1	M Dest	Cust Acct De	st Pos lect	Dest C	ті 🛛	est O/C	Dest Mem	0							
	Multi-Pop	M	ulti-Pop	Multi-I	- Multi-	Pop N	л-Рор	Multi-P	Pop A	lulti-F 🔻 I	Multi-Pop								
				YYY	YYY	46690													

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).

Trac	es																	
Exch	ange All I	Exchs 🔻 T	Trading N	/lember	XXX	Clearing D	ate 12-Apr-201	8 🔻	= Trd	Px	= (Cust Acct	Pos Acct	Unresolved	Ψ.			
Cor	nm 💌	Sec Typ 🔻	Matur	ity	B/S ▼	77 v	Orig Ord ID	Deal ID	7	rd ID				Q Search	Clear	Returned	50000 of 587	777 rec
B	Save	🖻 Edit	Adjust		Trade Summ	ary 🤁 Re	fresh Count	: 14595	(Filtered)	Selected	i Ct: 1	Selected B/	'S Qty: 17 / 0	Selected Avg Pr	rice: 122.32			
	Status	Trd ID 🏌	тм	n is	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Pos Acct	СТІ	O/C	Alloc I
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 🔻	Multi-
	ABC	123	ABC	ABC	123	l.	123	ABC	ABC	1	ABC		ABC	ABC	ABC		ABC	
\checkmark	MAA	<u>136355</u>	XXX	в	17	03-Apr-2018	122.32	IFEU	В	Dec-2018			584274591	TEST-2	н		0	
	MAA	<u>136356</u>	XXX	в	6	03-Apr-2018	120.28	IFEU	В	Dec-2018			584274613	TEST-2	н		0	
	MAA	136357	XXX	в	6	03-Apr-2018	120.28	IFEU	В	Dec-2018			584274613	TEST-2	н		0	
	MAA	136358	XXX	в	6	03-Apr-2018	120.28	IFEU	В	Dec-2018			584274613	TEST-2	н		0	
	MAA	<u>136359</u>	XXX	в	3	03-Apr-2018	124.36	IFEU	В	Dec-2018			584274629	TEST-2	н		0	
	MAA	136360	XXX	в	15	03-Apr-2018	123.4	IFEU	В	Dec-2018			584274650	TEST-2	н		0	
	MAA	136361	XXX	в	3	03-Apr-2018	124.36	IFEU	В	Dec-2018			584274629	TEST-2	н		0	
•																		
Adj	ust											¥						
0	Discard	Rem Qty: 1	7 Cou	unt: 0 s	Selected Ct:	D												
	User Merr	o Trd C	⊇ty	Dest T	M est C	Cust Acct D	est Pos Acct	Dest C	TI De	st O/C	Dest Mem	o						
	Multi-Pop	Multi	-Pop	Multi-F	Multi-I	Pop A	1ulti-Pop	Multi-P	ор Ми	ılti-F 💌 I	Multi-Pop							
	1		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.

Trad	les																	
Exch	ange All E	Exchs 🔻	Trading 1	Nember	XXX T	Clearing Dat	e 12-Apr-201	8 🔻	= Tra	1 Px	=	Cust Acct	Pos Acct	Unresolved	~			
Con	nm 🔻 S	Sec Тур 🔻	Matur	ity	B/S 🔻	77 💌	Drig Ord ID	Deal II	2	Trd ID				Q Search	1 Clear	Returned	50000 of 58	3777 reco
B	Save	🖻 Edit	Adjust		Trade Summ	ary 🦪 Refre	esh Count:	14595	(Filtered)	Selecter	1 Ct: 1	Selected B/	S Qty: 17 / 0 🕴	Selected Avg Pri	ce: 122.32			
	Status	rd ID 1	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 N
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 👻	Multi-P
																		1
	MAA	136355	XXX	в	17	03-Apr-2018	122.32	IFEU	в	Dec-201	3		584274591	TEST-2	н		0	
	MAA	136356	XXX	в	6	03-Apr-2018	120.28	IFEU	в	Dec-201	3		584274613	TEST-2	н		0	
	MAA	136357	XXX	в	6	03-Apr-2018	120.28	IFEU	в	Dec-201	3		584274613	TEST-2	н		0	
	MAA	136358	XXX	в	6	03-Apr-2018	120.28	IFEU	в	Dec-201	6		584274613	TEST-2	н		0	
	MAA	136359	XXX	в	3	03-Apr-2018	124.36	IFEU	в	Dec-201	3		584274629	TEST-2	н		0	
	MAA	136360	XXX	в	15	03-Apr-2018	123.4	IFEU	в	Dec-201	8		584274650	TEST-2	н		0	
	MAA	136361	XXX	В	3	03-Apr-2018	124.36	IFEU	в	Dec-201	8		584274629	TEST-2	н		0	
•												1						
Adji	ust																	
\oslash	Discard	Rem Qty: 0	Cour	nt: 2 Si	elected Ct: 2													
	User Memo	o Trd (Dest T	'M Dest C	ust Acct De	st Pos Acct	Dest C	TI De	est O/C	Dest Men	no						
	Multi-Pop	ortit	i-Pop	Multi-F	Multi-F	рор Ми	W-Pop	Multi-P	op M	ulti-F 🔻	Multi-Pop	>						
	MISCLEAF	२ 🛑	6	XXX														
	MISCLEAF	२ 🚺	11	YYY	7910	1 📕 📗												
	MISCLEAF	२	0															
1																		

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.

Tra	des																		
Exch	ange All	Exchs 🔻	Trading	Member	All TMs	 Clearing Dat 	e 12-Apr-20	18 👻	= Th	d Px	=	Cust Acct	Pos Acct	Unresolved	~				
Co	nm 🔻	Sec Typ 🔻	Matu	rity	B/S ▼	TT = =	Drig Ord ID	Deal I	D	Trd ID				Q Search	Clear	Returned	1 50000 of 58	777 records	
	Save	🖻 Edit 🤞	Split	III III	rade Summar	y 📿 Refrest	Count: 7	067 (F	iltered) S	Selected Ct: () Sele	cted B/S Q	ty: 0 / 0 Selec	ted Avg Price: 0					/ Clear Fil
	Status	Trd ID 1	тм	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
														Multi-Pop	Multi-Pop	Multi-P	Multi-F 🔻	Multi-Poj 🔻	Multi-Pop
	ABC	.123	ABC	ABC	123	<u> </u>	123	ABC	ABC	ABG	ABC	.123	ABC	ABC	ABC	123	ABC	ABC	
	MAA	142751	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	DAZ45	н	2	0	G	
	MAA	142752	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			006165721	DAZ45	н	2	0	G	
	MAA	142753	YYY	S	20	04-Apr-2018	121.38	IFED	PEB	Jan-2019	1	GoloG	5737	79101	U	2	0	G	
	MAA	142754	YYY	S	8	04-Apr-2018	121.3	IFED	PEB	Jan-2019			996165721	79101	U	2	0	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.

Gro	ups																													
Exch	ange All	I Exchs 🔻 T	Frading Memb	ber YYY 📼	Clearing Date	04-Apr-2018	V Q Sea	arch																						
_	Re-Open	Group	Close Group	🖉 Refresh	Count: 1 Sele	cted Ct: 1 Se	elected Qty: 1	6							ß	Clea														
	Status	Sub-Status	Grp ID 1	Avg Px Grp ID	Grp Qty Ren	n Qty Trd	D. (Grp Px	B/S	Exch Co	mm Maturi	ty P/C	Strike	Orig Ord ID	Cust Acct	τN														
								Multi-Pop							Multi-Pop															
	ABG	ABC	(123)	ANG .	423	123	Ê	=121.3	=S 🍟	=IFED	EB 📅 =Jan-3	2019 =	4BC = 423	=996165721 🖤	=DAZ45	2														
	UDC		9004141		16	0 04-A	Apr-2018	121.3	S	FED PE	B Jan-20)19		996165721	DAZ45	YY														
														_																
									Ŧ					_																
Rela	ated Alloc	cations																												
+	Add Alloci	ations 💾 S	Save 🗶	Delete 🗲 Rev	verse	e Reversal	C Refresh	Rem Qty: 0	Count: 2	Selected C	: 0				8	Clear														
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust A	cct Grp ID	Grp Px	Alloc ID 1	Link Trd ID	orig Ord	A/O Rev	stated Allocations Add Allocations Add Allocations Save X Delete Reverse Delete Reversal Refresh Rem Oty: 0 Count: 2 Selected Ct: 0 Clea														
		Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 🔻	Multi-Pop																						
			ABC		ABL ABL		ABS	1 8					-440750																	
_				1									=142702	ABC	ABC															
	A	3	XXX				0		DAZ45	90041	1 121.3	9004142	=142752 <u>14275</u>	2 996165721	ABC															

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 and161157).

Tra	des															
Exc	hange All E	kchs	Tradir	ng Member 🛛	All TMs 🔻 C	learing Date	2-Apr-2	018 👻	= Trd	Px	=	Cust Acct	Pos Acct	Unresolved	~	
Co	omm 🔻 S	өс Тур	▼ M	aturity	B/S ▼ TT	▼ Orig	Ord ID	Deal ID	Tr	d ID				Q Search	Clear R	eturneo
6	Save 🧳	Edit	🔩 Split	\star Correcti	on Trade 🏢	Trade Summary	₿ R	efresh	Count: 1682	2 Sele	cted Ct: 5	Selected B/S (Qty: 82 / 0 Se	lected Avg Price: 12	22.8990244	
	Trd ID	ТМ	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	Pos Acct	CTI
													Multi-Pop		Multi-Pop	Multi-
		2			<u></u>											
	<u>1611</u>	<u>5 XXX</u>	в	17	04-Apr-2018	123.22	IFEU	в	Jan-2019			172185021	XXX12256		z	
	1611	6 <u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	в	Jan-2019	С	65	172185035	XXX56639		н	
	1611	7 <u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	в	Jan-2019			172185021	XXX12256		z	
	1611	8 <u>xxx</u>	в	17	04-Apr-2018	123.22	IFEU	В	Jan-2019	С	65	172185035	XXX56639		н	
	1611	9 <u>xxx</u>	в	14	04-Apr-2018	121.34	IFEU	в	Jan-2019	С	65	172214032	XXX56639		н	
	<u>1611</u>	<u>0 xxx</u>	В	17	04-Apr-2018	123.22	IFEU	В	Jan-2019	С	65	172214018	XXXACCT		U	
	16110	1 <u>XXX</u>	в	14	04-Apr-2018	121.34	IFEU	в	Jan-2019	С	65	172214032	XXXACCT		U	
	1611		P	14	04 Apr 2010	101.04		D	lon 2010	0	65	170014000	VVVACOT			1

After Save, Trade IDs 161155 and161157 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.

Tra	des															
Exc	hange	All Exchs	✓ Tra	ding Me	mber All TM:	s 🔻 Clearin	ig Date 12-Apr	r-2018	* =	Trd Px		= Cust	Acct Po	s Acct Unr	esolved .	r
Co	mm	▼ Sec Typ	•	Maturity	B/S	▼ 77 ▼	Orig Ord IE	De	al ID	Trd ID				Q	Search Clear	Returned
	Save	e 🧬 Edit	ek∰ Sp	lit 🔺	Correction Tra	de 🌐 Trade	Summary	Refrest	Coun	t: 1682 S	elected (Ct: 2 Sele	cted B/S Qty: 34	4 / 0 Selected	Avg Price: 123.22	
		Trd ID 🏌	ТМ	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acct	Cirg Acct	Pos Acct
														Multi-Pop		Multi-Pop
																ABG
	0	<u>161155</u>	<u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	В	Jan-2019			172185021	XXX12256		z
		<u>161156</u>	<u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	В	Jan-2019	С	65	172185035	XXX56639		н
\mathbf{V}	9	<u>161157</u>	<u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	В	Jan-2019			172185021	XXX12256		z
	0	• • •				. 100/10050				Jan-2019	С	65	172185035	XXX56639		н
		Position trading me	n accou mber X	int Z, Ci XX and	ustomer Acco exchange IFE	unt XXX12256 EU.	is not valid for		8	Jan-2019	С	65	172214032	XXX56639		н
									в	Jan-2019	С	65	172214018	XXXACCT		U
		161161	<u>XXX</u>	в	14	04-Apr-2018	121.34	IFEU	в	Jan-2019	С	65	172214032	XXXACCT		U
		161162	<u>XXX</u>	в	14	04-Apr-2018	121.34	IFEU	В	Jan-2019	С	65	172214032	XXXACCT		U
		404400	NAMA.			04.4== 2040	400.00	15511		1 2040	0	05	470044040	10041007	1	

INTERCONTINENTAL EXCHANGE

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.

Trac	des															
Exch	ange All Exc	:hs ▼	Tradin	g Member	xxx	learing Date	12-Apr-2	018 👻	= Trd	Px	=	Cust Acct	Pos Acct	Unresolved	-	
Cor	nm y So		Me	aturitu	B/S - TT	T Orig	Ord ID	Deal ID	T						Clear	oturnor
001		c typ -	1010	lany		Olig	OIU ID	Dearib	- <i>"</i>	010				Q Gearci		Aurrier
B	Save 🖋 E	dit 🖏	Split	★ Correctio	on Trade 🌐 🗄	Trade Summary	C R	efresh	Count: 1682	Sele	cted Ct: 4	Selected E	/S Qty: 65 / 0 Se	lected Avg Price	122.8150769	
	Trd ID	TM	B/S	Trd Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord I	O Cust Acct	Cirg Acct	Pos Acct	CTI
													Multi-Pop		Multi-Pop	Multi-I
					m											4
	161155 XXX B 17 04-Apr-2018 123.22 IFEU B Jan-2019 172185021 XXXACCT U 161156 XXX B 17 04-Apr-2018 123.22 IFEU B Jan-2019 C 65 172185035 XXX66639 H Image: Control of the control of t															
	Initial construction Initial c															
	<u>161157</u>	<u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	В	Jan-2019			17218502	XXXACCT		U	
	<u>161158</u>	XXX	в	17	04-Apr-2018	123.22	IFEU	в	Jan-2019	С	65	5 17218503	XXX56639		н	
	<u>161159</u>	XXX	в	14	04-Apr-2018	121.34	IFEU	В	Jan-2019	С	65	5 172214032	2 XXX56639		н	
	<u>161160</u>	<u>XXX</u>	в	17	04-Apr-2018	123.22	IFEU	в	Jan-2019	С	65	5 172214018	3 XXXACCT		U	
	<u>161161</u>	XXX	в	14	04-Apr-2018	121.34	IFEU	в	Jan-2019	С	6	5 172214032	2 XXXACCT		U	
	<u>161162</u>	<u>XXX</u>	В	14	04-Apr-2018	121.34	IFEU	В	Jan-2019	С	65	5 172214032	2 XXXACCT		U	
	<u>161163</u>	XXX	В	14	04-Apr-2018	122.38	IFEU	В	Jan-2019	С	65	172214046	XXXACCT		U	
	161164	XXX	R	8	በ4-Anr-2018	121 3	IFFU	R	.lan-2019			172214055	XXXACCT		11	
Edit												-				
0	Discard															
	Cust Acct	Pos Acct	СТ	I C3 Trdr	O/C	Rate ID T	rdr Memo		User Me	mo	A	Noc Meth	Avg Px Grp ID	Dest TM	Dest Cust Acct	De
	XXX44488	н			0	к н	IQ-LT-VMA	AN-02			l	multi]		[multi]	[multi]	[mi

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.

Tra	des																			
Exc	hange	e All Ex	chs	▼ Tr	ading N	lember All	TMs 👻	Clearing D	ate 12	-Apr-201	8 -	= Trd P	c	=	Cust Acct	Pos A	cct Un	resolved	~	
Co	mm	▼ .Se		~	Maturi	ity B		r –	Oria Or	d ID	Deal ID	Trd	D				0	Search	Clear	Returner
					matan	.,			ong or	u ib	Dearib	110					U	Cocurent	oldar	
	Save	e 🖉 E	dit	🔩 Sp	lit ★	Correction Tr	rade 🌐 T	rade Sumn	nary 🕄	# Refres	h Co	unt: 1682 S	elected C	t 1 Sele	ected B/S Q	ty: 17 / 0 Se	lected Avg	Price: 123.22	2	
		Trd ID 🏌		ТМ	B/S	Trd Qty	Trd Dt	Trd P	х	Exch	Comm	Maturity	P/C	Strike	Orig Ord	ID Cust Acc	t Cirg	Acct	Pos Acct	CTI
																Multi-Po			Multi-Pop	Multi-A
	161155 XXX B 17 04-Apr-2018 123.22 IFEU B Jan-2019 172185021 XXX4488 H 161156 XXX B 17 04-Apr-2018 123.22 IFEU B Jan-2019 C 65 172185035 XXX64683 H 161156 XXX B 17 04-Apr-2018 123.22 IFEU B Jan-2019 C 65 172185035 XXX56639 H																			
	Image: Normal Section (Normal Section (н				
\checkmark	Q h	<u>16</u>	1157	XXX	В	17	7 04-Apr-201	8	123.22	IFEU	в	Jan-2019			17218502	1 XXXACO	т		U	
							04-Apr-201	8	123.22	IFEU	В	Jan-2019	С	65	17218503	5 XXX566	39		н	
		9 10)05=g	roup a	ction no	ot allowed	04-Apr-201	8	121.34	IFEU	в	Jan-2019	С	65	17221403	32 XXX566	39		н	
		<u>16</u>	1160	<u>XXX</u>	В	17	04-Apr-201	8	123.22	IFEU	В	Jan-2019	С	65	17221401	8 XXX444	88		н	
		<u>16</u>	1161	XXX	в	14	4 04-Apr-201	8	121.34	IFEU	в	Jan-2019	С	65	17221403	32 XXX444	88		н	
		<u>16</u>	1162	XXX	В	14	4 04-Apr-201	8	121.34	IFEU	В	Jan-2019	С	65	17221403	2 XXXACO	ст		U	
		<u>16</u>	1163	XXX	в	14	4 04-Apr-201	8	122.38	IFEU	в	Jan-2019	С	65	17221404	6 XXXACC	т		U	
		16	1164	XXX	R	\$	8 04-Anr-201	8	121 3	IFFU	R	.lan-2019			1722140P	58 YYYACC	T		11	
Edi														Ŧ						
Eu																				
0	Disca	ard																		
	Cust	Acct	Pos A	Acct	CTI	C3 Trdr	O/C	Rate ID	Trdr Me	mo		User Memo		Alloc M	eth Avg	Px Grp ID	Dest TM	1 Dest C	ust Acct	Dest Pos
	XXX	44488	н				0	к	HQ-LT-	VMAN-02	2			[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.

Trac	des																					
Exch	nange	All Exc	hs 📼	Tradir	ng Membe	r Al	II TMs	– C	learing D	ate	12-Apr-2	018 🔻	=	Trd F	X	=	Cust Ac	ct	Po	os Acct	Un	res
Col	mm 🔻	Sec	: Тур	▼ Ma	aturity		B/S ▼	TT	~	Orig	Ord ID	Deal I	D	Tra	ID						0	2
	Save	J E	dit <	Split	★ Cor	rectio	n Trade	⊞	Trade Sur	nmary	₿ R	efresh	Count	1682	Selec	ted Ct: 1	Selected	B/S Q1	ty: 17	/0 Sele	ected /	Avç
	Trd ID		ТМ	B/S	Trd Qty		Trd Dt		Trd Px		Exch	Comm	Matu	rity	P/C	Strike	Orig Ord	ID	Cust	Acct	Cirg /	Acc
																			Multi	Рор		
				19														499		<u> </u>		
	1	61155	XXX	В		17	04-Apr-	2018	1	123.22	IFEU	В	Jan-2	019			1721850	21	XXX4	4488		
	1	<u>61156</u>	XXX	В		17	04-Apr-	2018	1	123.22	IFEU	В	Jan-2	019	С	65	1721850	35	XXX	6639		
	1	61157	XXX	В		17	04-Apr-	2018	1	123.22	IFEU	В	Jan-2	2019	0	05	1721850	21	XXXX	ACCT		_
	1	61158	XXX	в		1/	04-Apr-	2018	1	23.22	IFEU	в	Jan-2	2019	C	65	1721850	35	XXX	6639		
	1	61159	<u>XXX</u>	в		14	04-Apr-	2018	1	121.34	IFEU	в	Jan-2	019	0	05	1722140	32	XXX	6639		_
	-	<u> </u>		-				2016		23.22	IFEU	-	Jan-2	.019	-		1722140		XXX4	4488		
																_	Ŧ			_		
Spli	t																					
0	Discard	Re	m Qty: (Cour	nt: 3 Sel	ected	Ct 3															
	Status	Trd	ID	Trd	Qty	Dest	ТМ	Dest Cu	ist Acct	Dest	Pos Acct	Dest	СТІ	Dest	C3 Trdr	Dest O/0	Dest	Memo		Cust Acct		CI
				Mul	ti-Pop	Multi	-F 🔻	Multi-Po	op	Multi	-Pop	Multi-	Pop	Multi	-Pop	Multi-F	 Multi- 	Рор				
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				-	6	XXX		78512		2		_					_					
				-	8		_	777444	188	н	_	_			_		_	_	_			
					3	TYY		1										_				
					U																	

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.

Tra	des														
Exc	hange A	II Exchs	▼ Tr	ading Me	embe	er All TN	is 🔻 Clear	ing Date 12-A	pr-201	8 🐨 =	Trd Px		= C(ist Acct	Pos Acct
Co	mm 🔻	Sec Typ	-	Maturit	/	B/S	▼ <i>TT</i>	▼ Orig Ord	ID	Deal ID	Trd ID				
B	Save	🖋 Edit	🔩 Sj	olit ★	Cor	rection Tra	de 🌐 Trade	e Summary	Refre	esh Coun	t: 1682 Se	elected (Ct: 1 Sel	ected B/S Qty: 1	17/0 Se
	Trd	ID 🕇	ТМ	B/S	Trd	Qty	Trd Dt	Trd Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord ID	Cust Acc
															Multi-Po
							Ê								
	9	<u>161155</u>	<u>XXX</u>	в		17	04-Apr-2018	123.22	IFEU	в	Jan-2019			172185021	XXX444
	Image: Construction account Z, Customer Account 78512 is not valid for trading member XXX and exchange IFEU. Jan-2019 C 65 172185035 XXX5 Jan-2019 Jan-2019 Jan-2019 Image: Construction of the second sec														
	Position account Z, Customer Account 78512 is not valid for trading member XXX and exchange IFEU. Jan-2019 C 65 172185035 XXX Jan-2019 Jan-2019 C 172185031 XXX Jan-2019 Jan-2019 C 172185031 XXX														
	Operation account Z, Customer Account 78512 is not valid for trading member XXX and exchange IFEU. Jan-2019 172185021 XXX Jan-2019 Jan-2019 172185021 XXX Jan-2019 C 65 172185035 XXX Jan-2019 C 65 172185035 XXX Jan-2019 C 65 172185035 XXX														
	Jan-2019 Jan-2019 172185021 XXX Jan-2019 C 65 172185035 XXX Jan-1019 XXX B 14 04-Apr-2018 121.34 IFEU B Jan-2019 C 65 172185035 XXX														
		<u>161160</u>	<u>XXX</u>	в		17	04-Apr-2018	123.22	IFEU	в	Jan-2019	С	65	172214018	XXX444
-				-						-		-			
Spl	it														
0	Discard	Rem Qty	/:0 (Count: 3	Sel	ected Ct: 3	1								
	Status	Trd ID		Trd Qty		Dest TM	Dest Cust Ac	ct Dest Pos A	Acct	Dest CTI	Dest C3 T	rdr De	est O/C	Dest Memo	Cust Acc
				Multi-Pop		Multi-F	Multi-Pop	Multi-Pop		Multi-Pop	Multi-Pop	M	ulti-F 🔻	Multi-Pop	
					6	XXX	78512	z							
					8	XXX	XXX44488	н							
					3	YYY									
					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 🔻 Tra	ading M	ember All TM	ls 🔻 Cle	aring Da	ate 12-Apr-	2018	-	Trd Px	like	S	P	os Acci	t Unresoli	ved 🔻				
Comm	▼ Ѕвс Тур ▼	Maturi	ty B/S	▼ 77	•	Orig Ord ID		eal ID	Trd ID					Q Se	arch Clear	Retu	ımed 6778 o	f 6778 re	cords
🖺 Sav	re 🖋 Edit 🤞	Split	* Correctio	n Trade	Trad	le Summary	3	Refresh	Count: 630	(Filter	ed) Selec	cted Ct: 0	Sele	cted B/S Qty:	0/0 Selec	cted Av	g Price: 0		
Tro	ID Î TM E	B/S	Trd Qty	Trd Dt	Trd	I Px	Exch	Comm	Maturity	P/C	Strike	Orig Ord	I ID	Cust Acct	Cirg Acct		Pos Acct	CTI	O/C
	323 ABC	105	123		**			ABC A	BC ABC	ABC			ABC	4	BC.	ABC	ABC		
	<u>161155 XXX</u>		17	04-Apr-2018	3	123.22	IFEU	в	Jan-2019			1721850)21	XXX44488			Н		0
	<u>161156</u>	З	17	04-Apr-2018	3	123.22	IFEL	в	Jan-2019	С	65	1721850)35	XXX56639			н		0
	<u>161157 XXX</u> E	3	17	04-Apr-2018	3	123.22	IFEU	в	Jan-2019			1721850)21	XXXACCT			U		0
		-				100.00		-		^	~~								-
	Audit Trail for	Irade	ID 161157																
	Update User	Upda	te TS		Status	Trd Px		Рх Тур	Cust Acct	Cirg	Acct P	os Acct	CTI		C3 Trdr	O/C	Rat	e ID	т
	tradeimporteruser	02-No	ov-2018 15:23:0	5 GMT	MAA	12	3.22		XXXACCT		Н	1				0	к		н
	alison_podium	02-No	ov-2018 19:26:1	5 GMT	MAA	12	3.22		XXXACCT		U	J				0	К		H
	alison_podium	02-No	ov-2018 19:36:2	28 GMT	MAA	12	3.22		XXXACCT		U					0	К		н
	alison_podium	02-No	ov-2018 19:40:1	0 GMT	MAA	12	3.22		XXX44488		н					0	К		н
	actuser	02-No	ov-2018 19:40:1	4 GMT	MAA	12	3.22		XXXACCT		U					0	к		
	4																		•
																		OK	
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	<u>161170 XXX</u> E	З	12	04-Apr-2018	3	120.22	IFEL	в	Jan-2019	С	65	1722140)94	XXXACCT			U		0
	101121 1001 1		10			100.00				0		1700110							

(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.

Tra	nsfers																								
Excl	nange	All Exchs	▼ Tra	iding Member	YYY 👻	Clearin	g Date 19-	Oct-2018 💌																	
Co	nm 🦷	Sec Tv	n v	Maturity	B/S 🔻	77	P Orig Or	d ID Deal ID	Trd	ID				Q	Search	Clear									
B	Accep	/Save d	🖉 Edit	" Challe	nge 🗶 Can	cel ∓	2 Add Positi	on Transfer	Approve	🖷 Reje	ct C	Refresh	Count 1	2 Sele	cted Trans	fer Ct. 0 Sele	ected B/S	Gty: 0 / 0					/ Clear F	ilter 🛓 E	Export to 🔻
	Status	Trd ID) T	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm I	Maturity	P/C	Strike	Trd Px	Appro	ox PNL	Cust Acct	Pos A	cct CT	1 C3 Tr	dr O/C	Use	r Memo
																			Multi-Pop	Multi-	Pop M	ilti-P Multi-	Pop Mul	1-F 🔻 Mul	1-Pop
		Ϋ́		*	Ŷ	10.01	1001			W		Y					2		Y	7	~~		(Y)		
	MAA	-	1193885	ADJ	10	YYY	YYY	17-Oct-2018		1 8	IFLL	2	Dec-2018			7209	.5		70101	н			0		
	MAA	-	1193000	ADJ	To	111	111	17-001-2010		1 0	IFLL	7	Dec-2018			7211	2		CUSTINH	H			0		
	маа		1103888	ADJ	Erom	111 VVV	YYY	17-Oct-2018		1 B	IFLL	7	Dec-2018			7211	5		CURTIN	н			0		
	MAA	-	1193889	ADJ	То	<u> </u>	YYY	17-Oct-2018		1 8	IFU	7	Dec-2018			7210	5		70101	н			0		
	MAA		1193890	ADJ	From	YYY	YYY	17-Oct-2018		1 B	IFLL	Z I	Dec-2018			7209	.5		CUSTI1H	н			0		
	MAA	-	1194030	ADJ	То	YYY	XXX	18-Oct-2018		7 B	IFEU	B	Dec-2018			109.7	'5		79101	н			0		
	UA		1194039	POS	From	YYY	XXX	19-Oct-2018		40 S	IFEU	B I	Feb-2019			79	.6		0 YYY45589	н			0	_	
	UA		1194040	POS	From	YYY	XXX	18-Oct-2018		76 S	IFEU	B I	Feb-2019			79.5	15	36	00 YYY45589	н			0		
	UA		1194041	POS	From	YYY	ZZZ	19-Oct-2018		10 B	IFEU	B	Feb-2019			79	.6		0 79101	н			0	CO	
4				_			_		_	_		_						_				_			,
Ado	l Posit	on Transf	fer																						
0	Valida	e 🏦 U	Jpload	Ø Discard	Count: 2	Error Ct	0 Px War	n Ct: 1 Select	ed Ct 2																🛓 Export
		From Side							To Side							Co	mmon								
	1	TM	Pos Aco	t CTI	Cust Acct	User	Memo	Approx PNL	тм	Pos Acct	CTI	O/C	Cust	Acct	User Me	emo Exc	:h	Comm	Maturity	P/C	Strk	B/S	Trd Qty	Trd Px	Trd Dt
-		Multi-	Multi-Po	op Multi-Pi	Multi-Pop	Multi-	Рор		Multi-	Multi-Pop	Multi-Po	(Multi-Po,	Mult	i-Pop	Multi-Po	op Mu	iti- 🔻	Multi-	Multi-Pop	Mul 🔻	Multi-Po	: Multi- 🔻	Multi-Pop	Multi-Pop	Multi-Pop 🏢
	•	YYY	н	_	UPLOAD			0	XXX						-	IFE	U	B	FEB-2019			S	50	79.6	19-Oct-2018
	#	YYY	н		UPLOAD			-20250	XXX						TRANS	FER IFE	.0	в	DEC-2018			в	25	79.45	19-Oct-2018
												0													19-001-2018
4																									•

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.

Exch	ange Al	Exchs 🔻 Tra	ding Member	۳ ۲۲۲	Clearing	Date 19-0	Dct-2018 💌															
Cor	nm 💌	Sec Typ 💌	Maturity	B/S ¥ 1	7 *	Orig Ord	I ID Deal ID	Trd ID					Q	Search	Ciear							
8	Accept/Sa	we 🥒 Edit	Challer	nge 🕱 Cano	cel 💳	Add Positi	on Transfer	Approve	🧌 Re	ject 🕄	Refresh	Count: 12	Sele	cted Transf	fer Ct: 0 Select	ed B/S Qty: 0 / 0				<u>_</u> 0	lear Filter	🛓 Export to 💌
	Status	Trd ID 1	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	C3 Trdr	O/C	User Memo
																	Multi-Pop	Multi-Pop	Multi-P	Multi-Pop	Muti-F 💌	Multi-Pop
	MAA	1193885	ADJ	То	YYY	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7209.5		70101	н			0	-
	MAA	1193886	ADJ	From	m	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7212		CUSTI1H	н			0	
	MAA	1193887	ADJ	То	YYYY	YYY	17-Oct-2018		в	IFLL	z	Dec-2018			7211.5		70101	н			0	
	MAA	1193888	ADJ	From	YYY	YYY	17-Oct-2018		В	IFLL	Z	Dec-2018			7211.5		CUSTI1H	н			0	
	MAA	1193889	ADJ	То	<u> </u>	YYY	17-Oct-2018		s	IFLL	Z	Dec-2018			7210.5		70101	н			0	
	MAA	1193890	ADJ	From	YYY	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7209.5		CUSTI1H	н			0	
	MAA	1194030	ADJ	То	YYY	XXX	18-Oct-2018		в	IFEU	В	Dec-2018			109.75		79101	н			0	
	UA	1194039	POS	From	<u>YYYY</u>	XXX	19-Oct-2018	40	s	IFEU	В	Feb-2019			79.6	0	YYY45589	н			0	
	UA	1194040	POS	From	YYY	XXX	18-Oct-2018	76	s	IFEU	в	Feb-2019			79.55	3800	YYY45589	н			0	
P	UA	1194041	POS	From	YYY	ZZZ	19-Oct-2018	10	в	IFEU	В	Feb-2019			79.6	0	79101	н			0	CORRECTION

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

\oslash	Discard							
	Txfr Typ	Txfr Fm/To	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	User Memo
	ADJ	То	70101	н			0	

 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
- o Discard Discards any new position transfers entered by the User but not Saved

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

- o 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	1 Posi	tion Transfe	H.																			
۲	Valida	ate 🟦 U	pload Ø	Discard	Count 2 E	rror Ct: 0 Px Warn	Ct: 1 Select	ed Ct: 2														🛓 Export
		From Side						To Side						Common								
	t -	тм	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	TM	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity	P/C	Strk	B/S	Trd Qty	Trd Px	Trd Dt
		Multi- 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-Pop		Multi- 💌	Multi-Pop	Multi-Pos	Multi-Po, 💌	Multi-Pop	Multi-Pop	Multi- 💌	Multi- 💌	Multi-Pop	Mul 🔻	Multi-Pop	Multi- 💌	Multi-Pop	Multi-Pop	Multi-Pop 🏥
${\bf r}$	٢	YYY	н		UPLOAD		0	XXXX					·	IFEU	В	FEB-2019			S	50	79.6	19-Oct-2018
${\bf r}$	A	YYY	н		UPLOAD		-20250	XXXX				·	TRANSFER	IFEU	В	DEC-2018			В	25	79.45	19-Oct-2018
											0									0		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.

Tra																				
Exc	hange All	Exchs 🔻 Tra	iding Member	XXX -	Clearing	g Date 19-0	Oct-2018 💌													
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S 🔻	TT -	Orig Ora	ID Deal ID	Trd ID					Q	Search	Clear					
B	Accept/Sa	ve 🖋 Edit	5 Challe	nge 🗶 Can	cel 💳	Add Positi	on Transfer	Approve	🖷 Reje	ect C	Refresh	Count 9	Selec	ted Transfe	er Ct: 2 Selecte	d B/S Qty: 9 / 40				
	Status	t o t	Txfr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI	C3 Trd
																	Multi-Pop	Multi-Pop	Multi-P	Multi-P
							<u> </u>													
	MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	в	IFEU	В	Dec-2018			109.75		ALPHA	н		
	UA	6187354	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	14	в	IFEU	В	Dec-2018			109.75			ĺ		
	UA	6187355	ADJ	From	<u>XXX</u>	XXX	18-0 Selec	t and Accep	ot	IFEU	в	Dec-2018			109.75		ALPHA	н		
\checkmark	UA	6187356	ADJ	То	XXX	XXX	18-Oct-2018	9	в	IFEU	в	Dec-2018			109.75		XXXAC225			
	UA	6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	в	IFEU	в	Dec-2018			109.75		ALPHA	н		
\checkmark	UA	6187361	POS	То	<u>XXX</u>	YYY	19-Oct-2018	40	S	IFEU	в	Feb-2019		1	79.6	0	XXX77652	U		
	UA	6187362	POS	То	XXX	YYY	18-Oct-2018	76	S	IFEU	Modify	and Accep	ot 🍸		79.55	-3800		1		
	UA	6187363	POS	То	XXX	YYY	19-Oct-2018	25	в	IFEU	в	Dec-2018			79.45	20250		Ì		
	UA	6187364	POS	То	XXX	YYY	19-Oct-2018	50	S	IFEU	в	Feb-2019			79.6	0		1		

- 2. Repeat until all Transfers are edited and/or selected, as necessary.
- 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).

Excl	nange Al	Exchs 🔻 Tra	ding Member	XXX =	Clearing	g Date 19-0	Dct-2018 💌													
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S 🔻 1	7 -	Orig Ord	ID Deal ID	Trd ID					Q	Search	Clear					
B	Accept/S	ave 🖋 Edit	Challe	nge 🗶 Can	cel 🗧	2 Add Positi	on Transfer	Refresh	Count:	9 Selec	ted Transfe	er Ct: 0 Se	lected B	'S Qty: 0 / 0)					
	Status	Trd ID 1	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	C3 Trd
																	Multi-Pop	Multi-Pop	Multi-P	Multi-P
	4	423	ABC	ABC	400	ABC	Ê		1	ABC	Ý	ABC	ABC	123	423	423	49	ABC	123	
	MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018		7 В	IFEU	в	Dec-2018			109.75		ALPHA	н		
	UA	6187354	ADJ	То	XXX	XXX	18-Oct-2018	1-	4 B	IFEU	В	Dec-2018			109.75			1		
	UA	6187355	ADJ	From	XXX	XXX	18-Oct-2018	1	4 В	IFEU	в	Dec-2018			109.75		ALPHA	н		
	MAA	6187356	ADJ	То	XXX	XXX	18-Oct-2018		в	IFEU	в	Dec-2018			109.75		XXXAC225	U		
	MAA	6187357	ADJ	From	XXX	XXX	18-Oct-2018		в	IFEU	в	Dec-2018			109.75		ALPHA	н		
	PEND	6187361	POS	То	XXX	YYY	19-Oct-2018	4) S	IFEU	В	Feb-2019			79.6	0	XXX77652	U		
	UA	6187362	POS	То	<u>XXX</u>	YYY	18-Oct-2018	7	5 S	IFEU	в	Feb-2019			79.55	-3800				
	UA	6187363	POS	То	<u>XXX</u>	YYY	19-Oct-2018	2	5 В	IFEU	в	Dec-2018			79.45	20250				
	UA	6187364	POS	То	XXX	YYY	19-Oct-2018	5) S	IFEU	В	Feb-2019			79.6	0				

INTERCONTINENTAL EXCHANGE

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
 - If CTI=3, then C3 Trader is required
 - User Memo is optional

Tra	nsfers																		
Exc	hange /	All Exchs 🔻 Tra	iding Member	XXX =	Clearin	g Date 19-0	Oct-2018 💌												
Co	mm 💌	Sec Typ 💌	Maturity	B/S ▼	7	 Orig Ora 	ID Deal ID	Trd ID					Q	Search	Clear				
	Accept/s	Bave 🖋 Edit	Challe	nge 🗶 Can	el 🗧	Add Positie	on Transfer	# Refresh	Count	9 Selec	ted Transfe	r Ct: 2 Se	lected B	/S Qty: 21 /	0				
	Status	1.1	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
																	Multi-Pop	Multi-Pop	Multi-
		9																	4
	MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018	1	в	IFEU	в	Dec-2018			109.75		48773	н	
	UA	6187354	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	14	в	IFEU	в	Dec-2018			109.75				
	UA	6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	B	IFEU	В	Dec-2018			109.75		XXX51167	н	
	MAA	<u>6187356</u>	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	9	в	IFEU	в	Dec-2018			109.75		XXXAC225	U	
	MAA	6187357	ADJ	From	XXX	XXX	18-Oct-2018	5	в	IFEU	В	Dec-2018			109.75		ALPHA	н	
	PEND	6187361	POS	To	<u>XXX</u>	YYY	19-Oct-2018	41) S	IFEU	В	Feb-2019			79.6	0	XXX77652	U	
	UA	6187362	POS	То	XXX	YYYY	18-Oct-2018	76	S	IFEU	В	Feb-2019			79.55	-3800			
	UA	<u>6187363</u>	POS	То	<u>XXX</u>	YYY	19-Oct-2018	2	Б	IFEU	В	Dec-2018			79.45	20250			
	UA	6187364	POS	То	XXX	YYYY	19-Oct-2018	50	S	IFEU	В	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.

Trar	isfers																		
Exch	ange All	Exchs 🔻 Tra	ding Member	XXX =	Clearing	Date 19-0	oct-2018 📼												
Cor	nm 🔻	Sec Typ 🔻	Maturity	B/S ▼ 7	τ -	Orig Ord	ID Deal ID	Trd ID					Q	Search	Clear				
8	Accept/Sa	ve 🥒 Edit	Challer	nge 🕱 Cano	el 🕳	Add Positi	on Transfer	# Refresh	Count: 9	Selec	ted Transfe	r Ct: 0 Se	lected B/	S Qty: 0 / 0					
	Status	Trd ID 1	Txfr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
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	Ŷ	423	ABC	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	ABC	ABC	Ê	423	ABC	ANG	ABC	ABC	Ŷ	423	423		ABC	ABC	42
	MAA	6187353	ADJ	From	<u>XXX</u>	YYY	18-Oct-2018	7	в	IFEU	В	Dec-2018			109.75		48773	н	
	UA	6187354	ADJ	То	XXX	XXX	18-Oct-2018	14	в	IFEU	в	Dec-2018			109.75				
	UA	6187355	ADJ	From	XXX	XXX	18-Oct-2018	14	в	IFEU	В	Dec-2018			109.75		XXX51167	н	
0	144.4	8407258	ADI	To	VVV	×××	40 Oct 2010			1001	0	Dec 2010			400.75		XXXA 00005	1	1

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.
 - If a field is empty or blank on all selected Transfers, then the related Edit grid field will also be empty/blank
 - If all selected Transfers 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 Transfers have differing values in a field, then the related Edit grid field will show the common value "[multi]"

Тга	nsfers																	
Exc	nange All	Exchs 🔻 Tra	ding Member	XXX =	Clearing	Date 19-C	oct-2018 💌											
0		Sec Time w	Maturity			Oria Ord	ID Deal ID	Ted ID					0	Search	Clear			
00		Sec typ -	maturny	6/3 .	, .	Ong Oru	Dearro	Indib					4	ocaren	0.00			
	Accept/Sa	ve 🥒 Edit	Challer	nge 🗶 Cano	el 📛	Add Positio	on Transfer 🛛 🕄	Refresh	Count	14 Sele	ected Transf	fer Ct: 3 S	elected E	3/S Qty: 2 /	1			
	Status	Trd ID 1	fr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Ar
																	Multi-Pop	Multi-R
	Ŷ	123		<u>۳</u>	Ŷ	400	Ê	-12		Ŷ	ABC	490	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	123	123	123	A90	
	MAA	<u>1193883</u>	ADJ	То	<u>YYY</u>	YYY	17-Oct-2018		в	IFLL	z	Dec-2018			7212		70101	Н
☑	MAA	<u>1193884</u>	ADJ	From	<u>YYY</u>	YYY	17-Oct-2018		s	IFLL	Z	Dec-2018			7210.5		CUSTI1H	н
	MAA	<u>1193885</u>	ADJ	То	<u>YYY</u>	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7209.5		70101	н
	MAA	<u>1193886</u>	ADJ	From	<u>YYY</u>	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7212		CUSTI1H	н
	MAA	<u>1193887</u>	ADJ	То	<u>YYY</u>	YYY	17-Oct-2018		в	IFLL	Z	Dec-2018			7211.5		70101	Н
☑	MAA	<u>1193888</u>	ADJ	From	<u>YYY</u>	YYY	17-Oct-2018		в	IFLL	z	Dec-2018			7211.5		CUSTI1H	н
	MAA	<u>1193889</u>	ADJ	То	<u>YYY</u>	YYY	17-Oct-2018		S	IFLL	Z	Dec-2018			7210.5		70101	н
	MAA	<u>1193890</u>	ADJ	From	YYY	YYY	17-Oct-2018		В	IFLL	Z	Dec-2018			7209.5		CUSTI1H	н
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0	Discard																	
	Txfr Typ	Txfr Fm/To	Cust Acc	t Pos Act	СТІ	C3 Trdr	O/C	User Memo										
	ADJ	From	CUST11	н			0											

- 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
 - If CTI=3, then C3 Trader may not be blanked
 - User Memo is optional

Tra	nsfers																	
Excl	ange All	Exchs 🔻 Tra	iding Member	XXX =	Clearin	g Date 19-0	oct-2018 💌											
Co	nm 🔻	Sec Typ 🔻	Maturity	B/S 💌 7	τ -	Orig Ord	ID Deal ID	Trd ID					Q	Search	Clear			
8	Accept/Sa	ve 🖋 Edit	Challer	nge 🗶 Cano	el 🖶	Add Position	on Transfer	Refresh	Count:	14 Sele	cted Trans	fer Ct: 3 S	elected I	3/S Qty: 2 /	1			
	Status	, vp ↑	Txfr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos
																	Multi-Pop	Muh
	MAA	<u>1193883</u>	ADJ	To	YYYY	YYY	17-Oct-2018	1	В	IFLL	Z	Dec-2018			7212		70101	н
\mathbf{V}	MAA	<u>1193884</u>	ADJ	From	YYY	YYY	17-Oct-2018	1	S	IFLL	Z	Dec-2018			7210.5		CUSTI1H	н
	MAA	<u>1193885</u>	ADJ	То	<u> </u>	YYY	17-Oct-2018	1	в	IFLL	Z	Dec-2018			7209.5		70101	н
\checkmark	MAA	<u>1193886</u>	ADJ	From	<u>YYY</u>	YYY	17-Oct-2018	1	в	IFLL	Z	Dec-2018			7212		CUSTI1H	н
	MAA	<u>1193887</u>	ADJ	То	<u> </u>	YYY	17-Oct-2018	1	в	IFLL	Z	Dec-2018			7211.5		70101	н
\checkmark	MAA	<u>1193888</u>	ADJ	From	YYY	YYY	17-Oct-2018	1	В	IFLL	Z	Dec-2018			7211.5		CUSTI1H	н
	MAA	<u>1193889</u>	ADJ	То	<u> </u>	YYY	17-Oct-2018	1	s	IFLL	Z	Dec-2018			7210.5		70101	н
	MAA	<u>1193890</u>	ADJ	From	YYY	YYY	17-Oct-2018	1	в	IFLL	z	Dec-2018			7209.5		CUSTI1H	н
4																		
Edi	ł																	
\oslash	Discard																	
	Txfr Typ	Txfr Fm/To	Cust Acc	t Pos Acht	СТІ	C3 Trdr	O/C	User Memo										
	ADJ	From	ACCT20	7 Н			0											

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].

Tra	nsfers																	
Excl	nange All	Exchs 🔻 Tra	ding Membe	r XXX -	Clearing	g Date 19-0	oct-2018 💌											
													0	Orersh	0			
Co	mm 💌	Sec iyp ♥	waturity	B/S *		Orig Ora	ID Deal ID	Ira ID					ά	Search	Clear			
B	Accept/Sa	ive 🥒 Edit	5 Chall	enge 🗶 Car	icel 🕳	2 Add Positio	on Transfer	Refresh	Count: 9	Selec	ted Transfe	r Ct: 2 Se	lected B/	S Qty: 14 /	76			
	Status	Trd ID 1	Txfr Typ	T, Tm/To	TM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Aco
																	Multi-Pop	Multi-Po
	ANC .	423	4	9	ABC	ABG	Ê	123	ABC .	ABC	ABC	ABC	ABC	123	423	423	ABC	
	MAA	6187353	ADJ	From	XXX	YYY	18-Oct-2018	7	в	IFEU	в	Dec-2018			109.75		48773	н
\checkmark	UA	<u>6187354</u>	ADJ	То	XXX	XXX	18-Oct-2018	14	в	IFEU	В	Dec-2018			109.75			
	UA	<u>6187355</u>	ADJ	From	<u>XXX</u>	XXX	18-Oct-2018	14	в	IFEU	в	Dec-2018			109.75		XXX51167	н
	MAA	6187356	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	9	в	IFEU	В	Dec-2018			109.75		XXXAC225	U
	MAA	6187357	ADJ	From	XXX	XXX	18-Oct-2018	9	в	IFEU	В	Dec-2018			109.75		ALPHA	н
	PEND	<u>6187361</u>	POS	То	XXX	YYY	19-Oct-2018	40	S	IFEU	В	Feb-2019			79.6	0	XXX77652	U
	UA	<u>6187362</u>	POS	То	XXX	YYY	18-Oct-2018	76	S	IFEU	В	Feb-2019			79.55	-3800		
	UA	6187363	POS	То	XXX	YYY	19-Oct-2018	25	в	IFEU	В	Dec-2018			79.45	20250		
	UA	6187364	POS	То	XXX	YYY	19-Oct-2018	50	S	IFEU	В	Feb-2019			79.6	0		

2. 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.

Tra																		
Exc	hange All	Exchs 💌 Tra	ading Member	XXX 👻	Clearin	g Date 19-0	oct-2018 💌											
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S ▼ 1	7 -	" Orig Ord	ID Deal ID	Trd ID					Q	Search	Clear			
B	Accept/Sa	ve 🖋 Edit	5 Challer	nge 💥 Cano	el 듣	Add Positio	on Transfer	Refresh	Count: 9	Selec	ted Transfe	r Ct: 0 Se	lected B/	S Qty: 0 / 0				
	Status	Trd ID 1	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
																	Multi-Pop	Multi-
	ABC	123	ABC	ABC	ABC	ABC	Ê	123	ABC	ABC	ABC	ABC	ABC	323	423	123.	ABC	
	MAA	<u>6187353</u>	ADJ	From	<u>XXX</u>	YYY	18-Oct-2018	7	в	IFEU	В	Dec-2018			109.75		48773	н
	UAC	<u>6187354</u>	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	14	в	IFEU	В	Dec-2018			109.75			
	UA	6187355	ADJ	From	<u>XXX</u>	XXX	18-Oct-2018	14	в	IFEU	в	Dec-2018			109.75		XXX51167	н
	MAA	6187356	ADJ	То	<u>XXX</u>	XXX	18-Oct-2018	9	в	IFEU	В	Dec-2018			109.75		XXXAC225	U
	MAA	6187357	ADJ	From	<u>XXX</u>	XXXX	18-Oct-2018	9	в	IFEU	В	Dec-2018			109.75		ALPHA	н
	PEND	<u>6187361</u>	POS	То	XXX	YYY	19-Oct-2018	40	S	IFEU	В	Feb-2019			79.6	0	XXX77652	U
	UAC	<u>6187362</u>	POS	То	<u>XXX</u>	YYY	18-Oct-2018	76	S	IFEU	В	Feb-2019			79.55	-3800		
	UA	6187363	POS	То	XXX	YYY	19-Oct-2018	25	в	IFEU	В	Dec-2018			79.45	20250		
	UA	6187364	POS	То	\underline{XXX}	YYY	19-Oct-2018	50	S	IFEU	В	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):

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

Trar	nsfers											
Exch	ange All	Exchs 💌 Tra	ding Member	XXX -	Clearing Date	19-00	:t-2018 💌					
Col	mm 🔻	Sec Typ 🔻	Maturity	B/S 🔻	TT 🔻 O	rig Ord I	D Deal II	D Trd ID				
8	Accept/Sa	ve 💉 Edit	5 Challer	ige 🗙 Ca	ancel 😅 Add	Position	n Transfer	Approve	📭 Reject	C Ref	iresh	Count: 16
	Status	Trd ID 1	Deal ID	Txfr Typ	Txfr h.m. To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm
	u ABC	123	ABC	ABC	ABC	100	ABC		123	ABC	ABC	AB
	UA	158055	1941983	POS	From	<u>XXX</u>	EUT	20-Aug-2013	59	В	IFEU	В
	UA	158056	1941984	POS	From	<u>XXX</u>	EUT	20-Aug-2013	100	В	IFEU	В
☑	UA	<u>158057</u>	1941985	POS	From	<u>XXX</u>	EUT	20-Aug-2013	59	в	IFEU	в
V	UAC	<u>158109</u>	1942012	ADJ	From	<u>XXX</u>	YYY	03-Apr-2018	2	в	IFEU	в
	UAC	158155	1942017	ADJ	From	XXX	YYY	03-Apr-2018	1	в	IFEU	в
	UA	<u>158157</u>	1942019	POS	From	<u>XXX</u>	EUT	20-Aug-2013	100	в	IFEU	в
		450450	40.40000	200	E	1000	FUT	00.4	50	-		

 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):

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

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2. 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.

- o "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-upfront option to zero (0), and on any other contract type to its prior-day settlement price
- o 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.

Ac	id Posil	ion Trans	fer																				
C) Valida	te 👲 L	Jpioad Ø	Discard	Count: 3 E	irror Ct: 1 Px Warn Ct: 1	Selected Ct	3														🛓 Export	
	Francisco								To Side							Common							
	1	тм	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	тм	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity	P/C	Strk	B/S	Trd Qty	Trd Px	Trd Dt	
		Matti- 💌	Me. Pop					Mutti- 💌			Multi-Po, 💌			Mutt- 💌	Multi- 💌		Mal 🔻		Mutti- 💌		Multi-Pop	Multi-Pop 🛗	
V	۲	XXXX	U		XXXAC225		0	m			0			IFEU	в	FEB-2019			в	44	79.6	19-Oct-2018	
V	A	XXX	U		XXXAC225		-5640	m	н		0	79101		IFEU	В	JAN-2019			8	12	79.4	19-Oct-2018	
V	0	XXXX	U					m	н		0	79101		IFEU		FEB-2019			s	35	79.5	19-Oct-2018	
											0									0		19-Oct-2018	

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
\checkmark	0	XXX		U
	A	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 Sid
	1	TM	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	TM
		Multi- 💌	Multi-Pop	Multi-Poj.	Multi-Pop	Multi-Pop		Multi-
	٢	XXX	U		XXXAC225		0	YYY
	4	XXX	U		XXXAC225		-5640	YYY
	0							YYY
		A Non	-standard T	rd 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.



 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.

Tra	nsfers	n																					
Exc	hange	All Exchs 🔻 Tra	iding Member	XXX =	Clearing	Date 19-00	ct-2018 💌																
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S 🔻 1	π •	Orig Ord I	ID Deal ID	Trd ID				Q	Search	Clear									
E	Accept	Save 🥒 Edit	Challen	ge 🕱 Cano	cel 💳	2 Add Position	n Transfer 📿	Refresh 0	ount: 12	Selected 1	ransfer Ct: 0	Selected E	3/S Qty: 0	/ 0						E.	Clear Filter	Export to	
	Status	Trd ID 1	Txfr Typ	Txfr Fm/To	тм	Opp TM	Trd Dt	Frd Qity	B/S Ex	th Com	m Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI	C3 Trdr	O/C	User Memo	1	Trdr
																Multi-Pop	Multi-Pop	Multi-P	Multi-Pop	Multi-F 🔻	Multi-Pop		
	1	7 9			- 17		m	9	Ψ.	10	9 1	9 - M9		323/ T		1	9. 1		1	2 4		- 10	- 19
	MAA	<u>6187353</u>	ADJ	From	XXX	YYYY	18-Oct-2018	7	B IFE	U B	Dec-2018			109.75		48773	н			0		2	XXX ^
	UAC	<u>6187354</u>	ADJ	То	XXX	XXXX	18-Oct-2018	14	B IFE	U B	Dec-2018			109.75						0)	XXX
	UAC	6187355	ADJ	From	XXX	XXXX	18-Oct-2018	14	B IFE	U B	Dec-2018			109.75		XXX51167	н			0		2	XXX
	MAA	<u>6187356</u>	ADJ	То	XXX	XXXX	18-Oct-2018	9	B IFE	EU B	Dec-2018			109.75		XXXAC225	U			0		2	XXX
	MAA	<u>6187357</u>	ADJ	From	XXX	XXXX	18-Oct-2018	9	B IFE	U B	Dec-2018			109.75		ALPHA	н			0		2	XXX
	PEND	<u>6187361</u>	POS	To	XXX	YYY	19-Oct-2018	40	S IFE	EU B	Feb-2019			79.6		D XXX77652					TRANSFER		
	UAC	6187362	POS	То	XXX	YYY	18-Oct-2018	76	S IFE	U B	Feb-2019			79.55	-380					0	TRANSFER		
	UA	6187363	POS	То	XXX	1111	19-Oct-2018	25	B IFE	U B	Dec-2018			79.45	2025					0	TRANSFER		
	UA	<u>6187364</u>	POS	То	XXX	YYY	19-Oct-2018	50	S IFE	U B	Feb-2019			79.6						0			
	UA	6187365	POS	From	XXX	YYYY	19-Oct-2018	44	B IFE	U B	Feb-2019			79.6		XXXAC225	U			0			-
																				_			<u> </u>
Ad	d Positio	on Transfer																					
O	Validate	1 Upload	Ø Discard	Count: 0	Error Ct:	0 Px Warn	Ct: 0 Selected (Ct 0														± 8	xport
	1	From Side						To Side							Common								
	1	TM Pos Ac	ct CTI	Cust Acct	User I	Memo	Approx PNL	. TM	Pos Acct	CTI	O/C	Cust Act	ct Us	ier Memo	Exch Co	mm Maturi	ty P	C S	trk B/S	Trd Qf	/ Trd Px	Trd Dt	
		Multi- 💌 Multi-P	op Multi-Po	(Multi-Pop	Multi-	Рор		Muti- 💌	Multi-Pop	Multi-Po	(Multi-Po _l 💌	Multi-Po	p M	ulti-Pop	Mutti- 💌 M	iti- 🔻 Multi-I	Pop A	lul 💌 h	luiti-Poj Mu	i- 💌 Multi-	Pop Multi-Pop	Multi-Po	e 🛍
		-									0										0	19-Oct-2	2018

- 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.

		Position Transfer																				
0	Valida	ite 🔔 U	load Ø	Discard	Count 8 E	mor Ct. 4 Px Warn Ct. 1	Selected Ct	8												🛓 Export		
		From Side						To Side						Common								
ø	1	TM	Pos Acct	СП	Cust Acct	User Memo	Approx PNL	TM	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity	P/C	Strk	B/S	Trd Qty	Trd Px	Trd Dt
		Muti- 🔻						Muti- 🔻			Multi-Po, 🔻	Multi-Pop		Muti- 💌	Matti- 👻		Mat 💌		Multi- 🔻			Multi-Pop 🛗
S	٢	XXX	Q		ORIG_BUL		0	1111					TOMEMO1234567890	IFEU	в	DEC-2018			S	59	80.26	19-Oct-2018
Ø	۲	XXXX	U		ORIG_BUL		0	YYY			0			IFEU	в	DEC-2018			в	59	80.26	19-Oct-2018
Ø	0	XXX	Q		TOOLONG			999						IFEG	в	2018DEC			S	59		19-Oct-2018
Ø	0	XXXX	HU		ORIG_BUL			YYY			0			IFEU	в	FEB-2019			в	59	79.45	19-Oct-2018
Ø	A	XXX	U		ORIG_BUL	FROMMEMO	-4950	m			0	ACCOUNT	TOMEMO	IFEU	В	FEB-2019			В	99	79.55	20-Mar-2018
Ø	۲	XXXX	U		ORIG_BUL	FROMMEMO	0	1111			0	ACCOUNT	TOMEMO	IFEU	в	DEC-2018			в	100	80.26	20-Mar-2018
Ø	0	XXX	н		ACCOUNT	FROMMEMO123456		999	7					IFEU	В	2018DEC			8	59		19-Oct-2018
8	0	XXX	U		ORIG_BUL			1111			0			IFEU	в	20-18-15			В	59		19-Oct-2018

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

	mont	montrop	
0	XXX	Q	
0	XXX	U	
0	XXX	0	

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.

ſ		•	~~~	110		ONO_BOL		
		A	XXX	U		ORIG_BUL	FROMMEMO	-4950
		0		tandard Tra	i De	ORIG_BUL	FROMMEMO	0
		0	A NOII-S		FX.	ACCOUNT	FROMMEMO123456	
I	5	•	2000					

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.

C) Valida	te 🟦 U	picad Ø	Discard	Count: 8 E	irror Ct: 0 Px Warn Ct: 2	Selected Ct	8														*
		Fr. Side						To Side						Common								
	1	тм	Pos Acct	CTI	Cust Acct	User Memo	Approx PNL	тм	Pos Acct	CTI	O/C	Cust Acct	User Memo	Exch	Comm	Maturity	P/C	Strk	B/S	Trd Qty	Trd Px	Trd Dt
		Multi- 💌	(UNI-Pop	Multi-Pop	Multi-Pop	Multi-Pop		Mutti- 💌	Multi-Pop	Multi-Pop	Mutt-Po, 💌	Multi-Pop	Multi-Pop	Matti- 💌	Mutti- 💌	Multi-Pop	Mul 💌		Multi- 💌	Multi-Pop	Multi-Pop	Multi-P
Ø	۲	XXXX	a		ORIG_BUL		0	YYY					TOMEMO1234567890	IFEU	в	DEC-2018			S	59	80.26	19-Oct-
Ø	۲	XXXX	U		ORIG_BUL		0	YYY			0			IFEU	в	DEC-2018			в	59	80.26	19-Oct-
Ø	۲	XXX	Q		ACCXXX		0	YYY						IFEU	8	FEB-2019			8	59	79.6	19-Oct-
Ø	A	XXXX	н		ORIG_BUL		-8850	1111			0			IFEU	в	FEB-2019			в	59	79.45	19-Oct-
Ø	A	XXX	U		ORIG_BUL	FROMMEMO	-4950	YYY			0	ACCOUNT	TOMEMO	IFEU	в	FEB-2019			В	99	79.55	20-Mar
Ø	۲	XXXX	U		ORIG_BUL	FROMMEMO	0	1111			0	ACCOUNT	TOMEMO	IFEU	в	DEC-2018			В	100	80.26	20-Mar
Ø	۲	XXXX	н		ACCIOX	MEMO	0	YYY	7					IFEU	в	DEC-2019			S	59	77.29	19-Oct-
Ø	۲	XXX	U		ORIG_BUL		0	YYY			0			IFEU	8	DEC-2018			в	59	80.26	19-Oct-
											0									0		10.04

 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	Value will be ignored
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
Trado Data	Common Trd Dt	<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
		or blank; if blank, will be set to current clearing date
N/A	Error Reason	Value will be ignored

INTERCONTINENTAL EXCHANGE

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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).

Tra	nsfers																		
Exc	nange All	Exchs 💌 Tra	iding Member	YYY ==	Clearing	Date 04-A	pr-2018 💌												
Co	mm 💌	Sec Typ 🔻	Maturity	B/S ▼ 1	77 -	Orig Ora	ID Deal ID	Trd ID					Q	Search	Clear				
B	Accept/Sa	ve 🖋 Edit	Challer	nge 💥 Cano	el 🖶	2 Add Positi	on Transfer	Refresh	Count: 2	2036 S	elected Tra	nsfer Ct: 3	Selecte	d B/S Qty: 9	93/0			2	Ø CK
	Status	TRAN 1	Txfr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Acct	CTI
																	Multi-Pop	Multi-Pop	Mult
			49																
☑	UA	<u>150155</u>	POS	То	<u>YYY</u>	XXX	20-Aug-2013	59	в	IFEU	в	Dec-2021	Р	89	27.18	C	YYY47789		
☑	UA	150204	ADJ	То	<u>YYY</u>	XXX	03-Apr-2018	17	в	IFEU	в	Dec-2018			123.22		YYY47789		
☑	UA	150205	ADJ	То	<u>YYY</u>	XXX	03-Apr-2018	17	в	IFEU	в	Dec-2018			123.22		YYY46691	н	
	UA	150206	ADJ	То	YYY	XXX	03-Apr-2018	11	в	IFEU	в	Dec-2018			122.32		79101		
	PEND	151101	POS	То	YYY	XXX	04-Apr-2018	10	в	IFEU	В	Dec-2018			73.6	0	ΤΟΥΥΥ	U	
	PEND	151102	POS	To	<u> </u>	XXX	04-Apr-2018	3103	В	IFEU	В	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.

Тга	Transfers Exchange All Exchs Trading Member YYY Clearing Date 04 Apr-2018 Comm Sec Typ Maturity B/S TT Ong Ord ID Deal ID Trd ID Q Sect Typ Maturity B/S TT Ong Ord ID Deal ID Trd ID Q Search Olear End Accept/Save Edit Challenge x Cancel at Add Position Transfer C Refresh Count 2036 Selected Transfer Ct: 2 Selected B/S Qb; 76 / 0 Status Trd ID Txdr Typ Txdr Typ Txdr Fm/To TM Opp TM Trd Dt Trd Qb; B/S Exch Comm Maturity P/C Strike Trd Px Approx PNL Cust Acct P																		
Exc	hange	All Exchs	s 🔻 Trading I	Vember YY	Y ▼ Clea	ring Date		18 💌											
Co	mm	▼ Sec 1	Typ 🔻 Matu	nity B.	/S 🔻 77	v 0	rig Ord ID	Deal ID	Trd ID				C	λ Searc	h Clear				
	Acce	ept/Save	🖋 Edit	Challenge	🗶 Cancel	≓ Ado	Position Tra	nsfer 🥃 Ref	resh Count	t 2036	Selecte	d Transfer (Ct. 2 Sele	cted B/S	Qty: 76 / 0				Ø
		Status	Trd ID 1	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
																		Multi-Pop	Multi-Poj
																			9 4
	0	UA	150155	POS	То	YYY	XXX	20-Aug-2013	59	в	IFEU	В	Dec-2021	P	89	27.18		0 YYY47789	
	0	UA	150204	ADJ	То	YYY	XXX	03-Apr-2018	17	в	IFEU	в	Dec-2018			123.22		YYY47789	
	C					YYY	XXX	03-Apr-2018	17	в	IFEU	В	Dec-2018			123.22		YYY46691	н
		l Pos	sition Account	Role 38 is in	nvalid	YYY	XXX	03-Apr-2018	11	в	IFEU	в	Dec-2018			122.32		79101	
		PEND	151101	POS	То	YYY	XXX	04-Apr-2018	10	В	IFEU	В	Dec-2018			73.6		0 ΤΟΥΥΥ	U
		DEND	454400	808	To	vvv	ww	0.4 Apr 2048	2402		ICCU	0	Dec 2048			70.6		A TOACCT	11

INTERCONTINENTAL EXCHANGE

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.

Tra	isfers																	
Exch	ange All I	Exchs 🔻 Tra	ading Member	YYY -	Clearing	Date 04-/	Apr-2018 💌											
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S ▼ 1	TT 🔻	r Orig Ord	1 ID Deal ID	Trd ID					Q	Search	Clear			
Ð	Accept/Sav	re 💉 Edit	Challer	nge 🗶 Cano	el 💳	Add Positie	on Transfer	Refresh	Count: 2	2036 S	elected Tra	nsfer Ct: 2	Selecte	d B/S Qty:	28 / 0			
	Status	t o t	Txfr Typ	Txfr Fm/To	ТМ	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	Cust Acct	Pos Ac
																	Multi-Pop	Multi-P
	UA	<u>150155</u>	POS	То	<u> </u>	XXXX	20-Aug-2013	59	в	IFEU	В	Dec-2021	Ρ	89	27.18	0	OPP_BUL	
	UA	<u>150204</u>	ADJ	То	<u>YYY</u>	XXX	03-Apr-2018	17	в	IFEU	В	Dec-2018			123.22		YYY46690	
	MAA	<u>150205</u>	ADJ	То	<u>YYY</u>	XXX	03-Apr-2018	17	в	IFEU	В	Dec-2018			123.22		YYY46691	н
	UA	<u>150206</u>	ADJ	То	YYY	XXX	03-Apr-2018	11	в	IFEU	В	Dec-2018			122.32		79101	
	PEND	<u>151101</u>	POS	То	YYY	XXX	04-Apr-2018	10	В	IFEU	В	Dec-2018			73.6	0	ΤΟΥΥΥ	U
	PEND	<u>151102</u>	POS	То	YYY	XXXX	04-Apr-2018	3103	В	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	PEND	<u>151103</u>	POS	То	YYY	XXX	04-Apr-2018	45	S	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	PEND	<u>151104</u>	POS	To	YYY	XXXX	04-Apr-2018	2053	В	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	PEND	<u>151105</u>	POS	То	YYY	XXXX	04-Apr-2018	1754	S	IFEU	B	Dec-2018			73.6	0	TOACCT	U
•	DEKIN	40,44716	brie		000		114 AAF 9048	470.91		I ILLEIT		104 9/148			79 K			
Edi																		
0	Discard																	
	Txfr Typ	Txfr Fm/To	Cust Acc	t Pos Acct	CTI	C3 Trdr	O/C	User Memo										
	ADJ	То	YYY5560)1 н			0											

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.

Tra	nsfers																		
Exch	nange	All Exch	s 🔻 Trading	Member YY	Y 🔻 Ci	earing Dat	e 04-Apr-20	18 🔻											
0		Sec	Tvo 🔻 Mot	uritu	70 TT	-	Orig Ord ID	Deel ID	Trd ID				6	Sear	ch Clear				
	11111 -	000	iyp ·		·• ·		ong ora ib	Dearid	Indib					2 000					
	Accept	Save	P Edit	Challenge	🗶 Cancel	⇒ Ad	ld Position Tra	insfer 📿	Refresh Coun	t: 2036	Selecte	d Transfer	Ct 1 Sele	cted B/S	Qty: 17 / 0				
	S	atus	Trd ID 1	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
																		Multi-Pop	Mul
	U	۹.	150155	5 POS	То	YYY	XXX	20-Aug-201	3 59	в	IFEU	в	Dec-2021	Р	89	27.18	0	OPP_BUL	
	Q _ U	4	150204	4 ADJ	То	YYY	XXX	03-Apr-2018	3 17	в	IFEU	в	Dec-2018			123.22		YYY46690	
								03-Apr-2018	3 17	В	IFEU	в	Dec-2018			123.22		YYY46691	н
		() AI	location 2018	0403-150204	YYY is inact	ive or car	nceled.	03-Apr-2018	3 11	в	IFEU	в	Dec-2018			122.32		YYY55601	н
	P	END	<u>15110</u>	<u>1</u> POS	То	<u> </u>	XXXX	04-Apr-2018	3 10	В	IFEU	В	Dec-2018			73.6	0	ΤΟΥΥΥ	U
	P	END	<u>15110</u> 2	POS	To	<u> </u>	XXXX	04-Apr-2018	3 3103	В	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	P	END	<u>151103</u>	POS	To	<u> </u>	X00X	04-Apr-2018	3 45	S	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	P	END	<u>15110</u> 4	4 POS	To	<u> </u>	3000	04-Apr-2018	3 2053	В	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	P	END	<u>151103</u>	5 POS	То	<u>YYY</u>	XXXX	04-Apr-2018	3 1754	S	IFEU	В	Dec-2018			73.6	0	TOACCT	U
	D	=1/0	454404	e prie	To	vvv	~~~	0.4 Apr 2048	2 4000	c	ICCII	D	Dec 2048			70 £	0	TOACCT	
Edi	1																		
0	Discore																		
0	Discard																		
	Txfr Ty	T	xfr Fm/To	Cust Acct	Pos Acct	CTI (C3 Trdr	O/C	User Memo										
	ADJ	т	o	YYY55601	н			0											

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.

Tra	nsfers																		
Excl	nange	All Exchs	▼ Trac	ding Member	үүү 💌	Clearing	Date 04-A	Apr-2018 💌											
Co	mm	Sec Typ	o 🔻 I	Maturity	B/S 🔻 7	T -	Orig Ord	ID Deal ID	Trd ID					Q	Search	Clear			
	Accep	t/Save	🖻 Edit	Challen	ge 🗶 Canc	el 💳	Add Positio	on Transfer 🛛 🕄	Refresh	Count:	2036	Selected 1	Fransfer Ct: 0	Selecte	d B/S Qty:	0/0			
	Status	10	1	Txfr Typ	Txfr Fm/To	ΤM	Opp TM	Trd Dt	Trd Qty	B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	Approx PNL	C	ust Ac
																		٨	Iulti-P
	MAA		150051	ADJ	То	YYY	XXX	03-Apr-2018	2	в	IFEU	в	Dec-2018			123.4		X	XXAD
	CNL		<u>150054</u>	ADJ	То	<u> </u>	XXXX	03-Apr-2018	17	в	IFEU	В	Dec-2018			123.22		A	LISON
	CNL		<u>150055</u>	ADJ	To	<u> </u>	XXX	03-Apr-2018	17	В	IFEU	В	Dec-2018			123.22		L	IPDAT
			150056	POS	То	YYY	XXX	04-Apr-2018	ł	В	IFEU	В	Dec-2018			73.6		0 A	LISON
																		_	
Add	1 Posi	Ion Transf	er	0															
0	Valida	te 🔝 U	pload	Ø Discard	Count: 2 E	Error Ct:	0 Px Warr	n Ct: 1 Selected	Ct: 2										
		From Side							To Side								Common		
	1	TM	Pos Acc	t CTI	Cust Acct	User I	/lemo	Approx PNI	TM	Pos	Acct	CTI	O/C	Cust Ac	ct Us	ser Memo	Exch	Comm	Ν
		Multi- 💌	Multi-Po	p Multi-Pop	Multi-Pop	Multi-	Pop		Multi-	Multi	-Pop	Multi-Poț	Multi-Poi 💌	Multi-Po	op M	ulti-Pop	Multi-	Multi-	▼ /
\blacksquare	٢	YYY	н		ACCTYYY	MEMO	C	0	XXX					TOACC	т		IFEU	В	ſ
\checkmark	A	YYY	z		ACCTYYY	FROM	1	11400	XXX					тоххх			IFEU	в	0
													0						

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.

Trar	nsfers																				
Exch	ange /	All Exchs 💌 Tra	ading Member	YYY 🔍 🔻	Clearing	Date 04-A	vpr-2018 💌														
Co	mm 💌	Sec Typ 🔻	Maturity	B/S 🔻	TT -	Orig Ord	ID Deal ID	7	rd ID					Q	Search	Clear					
B	Accept/	Save 🥒 Edit	1 Challer	nge 🗶 Can	el 🛱	Add Position	on Transfer	# Refres	:h	Count: 2	2038 \$	Selected '	Fransfer Ct: 0	Selecte	d B/S Qty:	0/0					
	Status	Trd ID 1	Txfr Typ	Txfr Fm/To	TM	Opp TM	Trd Dt	Trd Qty		B/S	Exch	Comm	Maturity	P/C	Strike	Trd Px	A	pprox PNL		Cust Acct	Pos A
																				Multi-Pop	Multi-
							Ê														
	UA	153159	ADJ	From	YYY	YYY	03-Apr-2018		2	s	IFEU	в	Dec-2018			123	4			DWAPTEST5	БН
	UA	<u>153160</u>	ADJ	То	YYY	YYY	03-Apr-2018		2	s	IFEU	в	Dec-2018			123	4				z
	UA	<u>154846</u>	POS	From	YYY	XXX	03-Nov-2017		75	s	IFEU	в	Dec-2018			73	6		0	ACCTYYY	н
-																					
Ado	I Positio	n Transfer																			
۲	Validate	1 Upload	Ø Discard	Count: 1	Error Ct:	1 Px Warr	Ct: 1 Selecte	d Ct 1													
	F	rom Side						To :	Side									Common			
	! 1	M Pos Ac	ct CTI	Cust Acct	User I	Vemo	Approx Pl	NL TM		Pos A	veet 0	сті	O/C	Cust Ac	ct Us	er Memo		Exch	Com	m Maturit	у
		Aulti- 🔻 Multi-F	Pop Multi-Po	n Multi-Pop	Multi-	Pop		Mu	lti 🔻	Multi-	Pop 1	Vlulti-Poț	Multi-Po, 🔻	Multi-Po	p Mi	ılti-Pop		Multi- 💌	Multi	- 🔻 Multi-P	op
☑	9 (*	rrr Z		ACCTYYY	FROM	4	11400	XX	Х					TOXXX				IFEU	В	DEC-2	018
		• D 141			ACCTN	00/:	-124.6						0								
		trading membe	r YYY and ex	change IFEU.	ALLIT	TT IS NOL V	and for														
		🛕 Non-standa	rd 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.

Tra	nsfers																
Excl	nange A	I Exchs 👻 Tra	ding Member	YYY	Clearing	Date 04-/	Apr-2018 💌										
Co	1111 T	Sec Typ 🐨	Maturity	E/S = 7	7	Orig Ord	I D Desi ID	Tra ID					Q	Search	Clear		
	Accent/S	ave 🥒 Edit	5 Challer	nne 👻 Canc	al 🖵	Add Positir	on Transfor	Refresh	Count:	3 Solor	tori Transfo	r Ct: 0 Se	lected B	/S Ofv: 0 / 0	1		
	Status	Trilip 1	Tyfr Typ	Tyfr Em/To	TM	Opp TM	Trd Dt	Trd Otv	B/S	Evch	Comm	Maturity	PIC	Strike	Trd Py	Approx PNI	Cust
		india 1	TAIL I'P	TXII TII III II		opp m	ind by	ind day	0.0	EXCIT	Comm	matarity	170	Ounce	INGT A	Approx Fitz	
	ma 💜			- 10	ABG	ABG	Ê		480	ABC	ABC	ABC	ABC				
	MAA	<u>150051</u>	AD.I	То	<u> </u>	XXX	03-Apr-2018	2	в	IFEU	в	Dec-2018			123.4		XXX
	MAA	150205	ADJ	То	<u> </u>	XXX	03-Apr-2018	17	в	IFEU	В	Dec-2018			123.22		YYY
	MAA	150206	AD I	To	~~~	YYY	03-4pr-2019	11	R	IFELL	R	Dec-2018			177 27		YYY
		udit Trail fo	Trade ID 1	50205													
	Up	date User	Update TS		Stat	us Cust A	cct Cirg Acc	t Pos Acc	t CTI		C3 Tro	dr O/O	C	Rate ID	Trdr Mem	þ	
	alis	on_tm_admin	19-Oct-2018	8 04:35:47 BST	UA	YYY46	690					0		к			
	alis	on_tm_admin	02-Nov-201	8 20:02:11 GMT	MA	A YYY46	691	н				0		к			
	!</th <th></th> <th>•</th> <th></th>															•	
																ОК	

7.4. GROUP MANAGEMENT

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

Gro																
Exc	hange IF	ΈU	▼ Tradin	g Member XXX	Ψ.	Clearing Dat	26-Oct-201	V Q Sear	rch							
-	Re-Open	Group	Close Group	💭 Refresh	Count: 17 Se	lected Ct: 2	Selected Qty	59					A	🔊 Clear Filter	🛓 Export to	•
	Status	Sub-Status	Grp ID 1	Avg Px Grp ID	Grp Qty Rei	n Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm Ma	aturity P/0	C Strike	Ord ID	Cus
								Multi-Pop								Mul
	Ý	ABC	123	ABC	123	123	#	(22)	4	9 ABG	48C	ABC .	ABC	ABG (23)	9	P.
	IP		9003386	AS6019	17	0	18-Oct-2017	120.5982609	N	В	IFEU	B Oc	t-2018			/^
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	B Jul	-2018		992630784	1 >
V	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	B Jul	-2018		992630822	2 >
	A		9003400		60	0	24-Oct-2017	120.72		в	IFEU	B Jul	I-2018		992630835	3 >
	A		9003402		56	0	24-Oct-2017	120.34		в	IFEU	B Jul	-2018		992630793	3 >
\checkmark	A		9003407		35	0	24-Oct-2017	120.98		в	IFEU	B Jul	-2018		992630862	2 >
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	N	В	IFEU	B Jul	-2018			>
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	в	IFEU	B Jul	I-2018			>
	A		9003438		68	0	25-Oct-2017	120.28		в	IFEU	B Jul	-2018		51857794	
	A		9003443	APG1	29	0	25-Oct-2017	120.61	Y	в	IFEU	B Jul	-2018			>
Π	IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	B Jul	-2018			5*
								v	_						_	·
Re	lated Allo	cations														
+	Add Alloc	ations 🖺 :	Save 🗶	Delete 🔶 Rev	rerse	e Reversal	C Refresh	Rem Qty: 0	Count: 17 Sel	ected Ct: 0			E	🛡 Clear Filter	🛓 Export to	-
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CT	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID	Ord ID	A/O Rev	
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Po	p Multi-F	Multi-Pop								
	4	423	4	9 4	9 4	2		10 A	19 (M)	49		2 12		12 A	9 49	
	A	2	YYY	YYY8662			0		XXXACCT	9003396	120.58	9003397	12001	12 99263082	2	^
	С	2	YYY				0		XXXACCT	9003396	120.58	9003398	12002	20 99263082	2	
	REJ	2	YYY	44567			0		XXXACCT	9003396	120.58	9003399	12001	15 99263082	2	
	A	2	YYY	44568			0		XXXACCT	9003396	120.58	9003404	12105	52 99263082	2	
	A	2	YYY		İ	1	0	İ	XXXACCT	9003396	120.58	9003406	11994	41 99263082	2	*

The screen is divided into two Data Grids:

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

Gro	oups												
Exc	hange IFE	EU	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	arch				
_	Re-Open (Group	Close Group	C 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	Maturit
								Multi-Pop					
	ABC	ABC	123	ABC	(123)	123	Ê	123	ABC	ABC	ABC	ABC	
	IP		9003386	AS6019	17	0	18-Oct-2017	120.5982609	N	в	IFEU	в	Oct-20
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	в	Jul-20
	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	в	Jul-20
	A		<u>9003400</u>		60	0	24-Oct-2017	120.72		в	IFEU	в	Jul-20
	A		9003402		56	0	24-Oct-2017	120.34		в	IFEU	в	Jul-201
	A		9003407		35	0	24-Oct-2017	120.98		в	IFEU	в	Jul-20
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	Ν	в	IFEU	в	Jul-201
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	Ν	в	IFEU	в	Jul-201
			0002420		69	0	25 Oct 2017	100.00		D	IEEU	D	Jul 204

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.)

Rel	ated Alloc	ations											
+	Add Alloca	itions 🖺 S	iave 🗶 (Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 17 Se	lected 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 1	Lir
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
	ABC	323	ABC	ABG	ABC	.123	ABC	ABC	ABC	323	423	423	
	A	2	YYY	YYY8662			0		XXXACCT	<u>9003396</u>	120.58	<u>9003397</u>	
	С	2	YYY				0		XXXACCT	9003396	120.58	9003398	
	REJ	2	YYY	44567			0		XXXACCT	9003396	120.58	9003399	
V	A	2	YYY	44568			0		XXXACCT	<u>9003396</u>	120.58	<u>9003404</u>	
	A	2	YYY				0		XXXACCT	<u>9003396</u>	120.58	9003406	
	A	7	YYY				0		XXXACCT	9003407	120.98	9003408	
		-	12001				0		VVVAGOT	0002407	400.00	0002400	

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.

INTERCONTINENTAL EXCHANGE ICE FEC, User Interface Guide | v 1.13 | 5 September 2024

Exc	hange IFE	EU	▼ Trading	Member XXX		Clearing Date	ate 26-Oct-2	017 🔻 🤇	λ Sear	ch		
-	Re-Open (Group	Close Group	C Refresh	Count: 17	Selected Ct:	1 Selected 0	2ty: 29				
	Status	Sub-Status	Cro ID 1	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px		Is Override Px	B/S	
								Multi-Pop				
	490	\$		ABC			Ê	1		19	9 ABC	
	A		9003438		68	0	25-Oct-2017		20.28		в	Ì
2	UA		9003443	APG1	29	29	25-Oct-2017		20.61	Y	в	
	IP		9003444	APG2	54	0	25-Oct-2017		20.46	N	в	
	UA		9003445	APG3	82	82	25-Oct-2017		20.53	Y	в	
	IP		9003456	PCT4	11	0	24-Oct-2017		120.9	N	в	
	A		9003458		11	0	24-Oct-2017		120.9		в	1
	UA		9003461	PCT2	14	14	24-Oct-2017	120.4	62381	N	в	D
Rel	ated Alloc	ations										
+	Add Alloca	ations 🖺 S	ave 🗙	Delete 🗲 Re	verse 🛱 C	elete Reversal	C Refre	sh Rem C	aty: 29	Count: 3 Sel	ected Ct: (D
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	cct Dest C	TI Dest C	/C Dest M	emo	Cust Acct	Grp ID	
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	▼ Multi-P	op			
	ABG	122	49	4	8 <u>9</u>	ABC .	123	ABG	4	ABC		
	CRV	8	YYY	12889	Н		0			XXXAPO	900344	3
	CRV	8	YYY	45109			0			XXXAPO	900344	3
	CRV	7	YYY	63345			0			XXXAPO	900344	3

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:

- 1. 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).

Gro												
Exc	hange IFE	EU	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	irch			
	Re-Open	Group	Close Group	C Refresh	Count: 17	Selected Ct:	1 Selected Qty	s 1 7				
	Status	Sub-Status	Grp ID	vg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comn
								Multi-Pop				
	ABC	ABC	123	ABC	123	123	<u></u>	123	ABC	ABC	ABC	
\checkmark	IP		9003386	AS6019	17	0	18-Oct-2017	120.5982609	Ν	в	IFEU	в
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	в
	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	в
	A		9003400		60	0	24-Oct-2017	120.72		в	IFEU	в
			0002400		50	0	04 0+ 0047	400.24			IEEI I	

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

 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.

Excl	hange IFE	EU	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	rch				
	Re-Open (Group	Close Group	C Refresh	Count: 17	Selected Ct:	1 Selected Qty	: 17					
	Status Sub-Status Grp ID T vyg Px Grp ID Grp Qty Rem Qty Trd Dt Grp Px Is Override Px B/S Exch Comm												
								Multi-Pop					
				49C				(23)					
	IP		<u>9003386</u>	AS6019	17	0	18-Oct-2017	120.6	N	в	IFEU	в	
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	в	
	UDC	REJ	<u>9003396</u>		24	0	24-Oct-2017	120.58		В	IFEU	в	
	A		<u>9003400</u>		60	0	24-Oct-2017	120.72		в	IFEU	в	
	Δ.		9003402		56	0	24-Oct-2017	120.34		R	IFFU	R	

- 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	Ма
Multi-Pop					
120.7375	N	в	IFEU	В	00
Overrid	e Price is not a m	ultiple of	tick size ((01)	Ju
					Ju
100.70		D	IFFII	P	had

• 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	¢
	Multi-Pop								
*									
	120.73	N	в	IFEU	В	Oct-2018			
	100.00		D	IEEU	D	Jul 2019			
	Overrid	le Price is more the limpact of 2210.	nan 10 tio 00 USD	ks from th	e calculate	d Rounded P	rice with	a	
	120.72		В	IFEU	В	Jul-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).

Gro	ups											
Excl	hange IFE	U	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	arch			
	Re-Open	Group	Close Group	C Refresh	Count: 17	Selected Ct:	0 Selected Qty	: 0				
	Status	Sub-Status	Grp ID 🏌	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Cor
								Multi-Pop				
	ABC	ABC	123	ABC	123	123	Ê	123	ABC	ABC	ABC	
	UA		9003386	AS6019	17	17	18-Oct-2017	120.6	Y	в	IFEU	в
	A		<u>9003394</u>		68	0	24-Oct-2017	120.28		в	IFEU	в
	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	в

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.

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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.

Exc	hange All	Exchanges	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	irch			
	Re-Open	Group 🔒 🤇	Close Group	C Refresh	Count: 19	Selected Ct:	2 Selected Qty	: 76				
	Status	Sub-Status	Gr	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt ↓	Grp Px	Is Override Px	B/S	Exch	Com
								Multi-Pop				
	- M	49		ABG	123	323	Ê	323	490	- 49G		
\mathbf{V}	UA		9003483	APG20	42	42	26-Oct-2017	120.34	Ν	в	IFEU	в
\checkmark	UA		9003484	APG21	34	34	26-Oct-2017	120.28	N	в	IFEU	в
	A		9003438		68	0	25-Oct-2017	120.28		в	IFEU	в
	UA		9003443	APG1	29	29	25-Oct-2017	120.61	Υ	в	IFEU	в
	ID		9003444	4802	54	0	25-Oct-2017	100.46	N	B	IFFII	

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.

Gro													
Excl	hange	All Excha	nges 👻 Ti	rading Mem	iber XXX		aring Date 2	6-Oct-2017 -	Q Search				
-	Re-O	pen Group	Close G	Group	Refresh Co	unt: 19 Selec	ted Ct: 1 Se	lected Qty: 42					
		Status	Sub-Status	Gr	Avg Px Grp ID 1	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Com
									Multi-Pop				
		ABG	\$	122	ABC	122	.123	<u> </u>	423	49	ABG		
		IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	В
\checkmark	0	UA		9003483	APG20	42	42	26-Oct-2017	120.34	N	в	IFEU	в
		IP		9003484	APG21	34	0	26-Oct-2017	120.28	N	в	IFEU	в
		UA		9003445	APG3	82	82	25-Oct-2017	120.53	Y	в	IFEU	в
		UA		9003386	AS6019	17	17	18-Oct-2017	120.6	Y	в	IFEU	в

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.

Exch	hange All	Exchanges	▼ Tradin	ig Men	nber XXX	✓ Clearin	ng Date 26-0	ct-2017 🔻	Q Search				
•	Re-Open	Group	Close Group	-	Refresh Co	unt: 19 Selected	Ct: 0 Select	ed Otv: 0					
	Status	Sub-Status	Gr	Avg									
		. 105			AP Grp ID:	Grp Px:	Calc Px:	Rnd Px:	Override P	c: Unit Resid	Total Res	id:	
	A		9003394		APG1	120.61	120.610344	8 120.62	120.61	9.66	280.14		
	UA		9003443	APG	Trd/Claim ID	Grouped Qty	Link Trd ID	Link Trd	Link Trd Price	Deal ID	Ord ID	Cust Acct	
	IP		9003444	APG	119988	8	119988	8	120.46	518578322	51857829	XXXACCT	^
	С		9003483	APG	120039	2	120039	2	120.58	518578392	51857838	XXXACCT	
	IP		9003484	APG	119993	7	119993	7	120.98	518578572	51857856	XXXACCT	Т
	UA		9003445	APG	121061	8	121061	8	120.46	518578372	51857829	XXXACCT	
	UA.		9003386	AS6	121068	2	121068	2	120.58	518578422	51857838	XXXACCT	
	UA		9003428	PCT	120042	2	120042	2	120.58	518578432	51857838	XXXACCT	٣
	С	RRV	9003465	PCT									
	UA		9003461	PCT								ок	
	C	RRV	9003467	PCT	2	17	0 24-Oct-20	120	462381 N	B B	FII B	Jul-2018	

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.

Gr																	
Exc	hange IF	EU	▼ Tradin	g Member XXX	~	Clearing Da	ate 26-Oct-201	7 🔻 Q Sea	rch								
-	Re-Open	Group	Close Group	C Refresh	Count: 17 S	elected Ct: 2	2 Selected Qt	y: 59						<i>8</i> 0	lear Filter	🛓 Export to	•
	Status	Sub-Status	Grp ID 1	Avg Px Grp ID	Grp Qty Re	m Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm M	laturity	P/C	Strike	Ord ID	Cu
								Multi-Pop									Mu
	Ý	÷	123	ABG	123	122	Ê	123	4	6 A90	ABC .	ABG	490	49	123	ABC	
	IP		9003386	AS6019	17	0	18-Oct-2017	120.5982609	N	в	IFEU	в о	ct-2018				1^
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	B Ji	J-2018			992630784	>
V	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	B Ji	JI-2018			992630822	>
	A		9003400		60	0	24-Oct-2017	120.72		В	IFEU	B Ji	ul-2018			992630835	>
	A		9003402		56	0	24-Oct-2017	120.34		в	IFEU	B Ji	JI-2018			992630793	>
\blacksquare	A		9003407		35	0	24-Oct-2017	120.98		в	IFEU	B Ji	ul-2018			992630862	>
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	N	В	IFEU	B Ji	ul-2018				>
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	В	IFEU	B Ji	ul-2018				>
	A		9003438		68	0	25-Oct-2017	120.28		в	IFEU	B Ji	ul-2018			51857794	>
	A		9003443	APG1	29	0	25-Oct-2017	120.61	Y	в	IFEU	B Ji	ul-2018				>
Π	IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	B Ji	J-2018				5.
								Ŧ								_	
Re	lated Allo	cations															•
+	Add Alloc	ations	Save 🗶	Delete 🔶 Rev	erse 🛱 Dele	te Reversal	C Refrest	Rem Qty: 0	Count: 17 Sel	lected Ct: 0				<i>I</i> 0	lear Filter	Ł Export to	Ŧ
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest C1	TI Dest O/0	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd I	D	Ord ID	A/O Rev	
		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	 Multi-Pop 									
	1	423	4	2 4	9	12	423	APC (PC 480	- 123	4	9 9	2	-123	4	9 490	
	A	2	YYY	YYY8662	1		0		XXXACCT	9003396	120.5	B 900339	Z 12	0012	99263082	2	-
	С	2	YYY				0		XXXACCT	9003396	120.5	B <u>900339</u>	8 12	0020	99263082	2	
	REJ	2	YYY	44567			0		XXXACCT	9003396	120.5	B 900339	9 12	0015	99263082	2	
	A	2	YYY	44568	1		0		XXXACCT	9003396	120.5	B 900340-	4 12	1052	99263082	2	
	A	2	YYY		1		0		XXXACCT	9003396	120.5	8 900340	6 11	9941	99263082	2	*

The screen is divided into two Data Grids:

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

Gro	oups												
Exc	hange IFE	EU	▼ Tradir	ig Member XXX	,	Clearing D	ate 26-Oct-201	7 🔻 Q Sea	arch				
_	Re-Open (Group	Close Grou	p 🧭 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	Maturit
								Multi-Pop					
	ABC	ABC	123	ABC	.123	123	#	123	ABC	ABC	ABC	ABC	
	IP		9003386	AS6019	17	0	18-Oct-2017	120.5982609	N	в	IFEU	в	Oct-20
	А		9003394		68	0	24-Oct-2017	120.28		в	IFEU	в	Jul-201
	UDC	REJ	<u>9003396</u>		24	0	24-Oct-2017	120.58		в	IFEU	в	Jul-201
	A		<u>9003400</u>		60	0	24-Oct-2017	120.72		в	IFEU	в	Jul-201
	A		9003402		56	0	24-Oct-2017	120.34		в	IFEU	в	Jul-201
	A		9003407		35	0	24-Oct-2017	120.98		в	IFEU	в	Jul-201
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	Ν	в	IFEU	в	Jul-201
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	в	IFEU	в	Jul-201
			0002420		c 0	0	25 Oct 2017	100.00			1001	D	1.0.004

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.

Rel	ated Alloc	ations									_		
+	Add Alloca	itions 🖺 S	iave 🗶 I	Delete 🗲 Reve	rse 🔁 Delete	Reversal 🕄	# Refresh	Rem Qty: 0 C	ount: 17 Se	lected 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 1	Lii
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
	ABC	123	ABC	ABC	ABC	.123	ABC	ABC	ABC	123	123	.123	
	A	2	YYY	YYY8662			0		XXXACCT	<u>9003396</u>	120.58	<u>9003397</u>	
	С	2	YYY				0		XXXACCT	<u>9003396</u>	120.58	<u>9003398</u>	
	REJ	2	YYY	44567			0		XXXACCT	<u>9003396</u>	120.58	<u>9003399</u>	
\checkmark	A	2	YYY	44568			0		XXXACCT	<u>9003396</u>	120.58	<u>9003404</u>	
	A	2	YYY				0		XXXACCT	<u>9003396</u>	120.58	<u>9003406</u>	
	A	7	YYY				0		XXXACCT	9003407	120.98	<u>9003408</u>	
\Box	Δ.		1000/						VVVACOT	0002407	100.00	0003400	

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.
- 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.

Gro	ups													
Excl	nange All	Exchanges	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 Q Sea	arch					٦
-	Re-Onen	Group A	Close Group	Refresh	Count 19	Selected Ct	2 Selected Ob	r: 77						
-	ite-open-			o remost	Oddine 13							-		
	Status	Sub-Status	Grp ID T	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Comm	Matu	irity
								Multi-Pop						
	UA		9003386	AS6019	17	17	18-Oct-2017	120.6	Y	В	IFEU	В	Oct-2	201
	A		<u>9003394</u>		68	0	24-Oct-2017	120.28		В	IFEU	В	Jul-2	018
	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		В	IFEU	В	Jul-2	018
	UA		9003400		60	60	24-Oct-2017	120.72		В	IFEU	В	Jul-2	018
	UA		9003402		56	56	24-Oct-2017	120.34		В	IFEU	В	Jul-2	018
	A		<u>9003407</u>		35	0	24-Oct-2017	120.98		В	IFEU	в	Jul-2	018
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	N	В	IFEU	в	Jul-2	010
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	В	IFEU	В	Jul-2	018
	A		<u>9003438</u>		68	0	25-Oct-2017	120.28		В	IFEU	в	Jul-2	01
	UA		<u>9003443</u>	APG1	29	29	25-Oct-2017	120.61	Y	В	IFEU	В	Jul-2	018
	IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	В	Jul-2	01
4		_							v					
Rel	ated Alloc	9'10-												
+	Add Alloca	ations 🖺	Save 🗶	Delete 🗲 Re	everse ≓ 🛙	Delete Reversa	I 🕃 Refresh	Rem Qty: 77	Count: 0 Sel	ected Ct: ()			
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	.cct Dest C	TI Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc IE	1	Lin
		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	 Multi-Pop 						
	49		1											
			-											
-					1									-

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

Gro	ups												
Excl	hange All	Exchanges	▼ Tradin	g Member XXX	,	Clearing D	ate 26-Oct-201	7 🔻 🔍 Sea	rch				
	Re-Open	Group	Close Group	C 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
								Multi-Pop					
							<u></u>						
	UA		<u>9003386</u>	AS6019	17	17	18-Oct-2017	120.6	Y	в	IFEU	В	Oct-2
	A		<u>9003394</u>		68	0	24-Oct-2017	120.28		в	IFEU	в	Jul-20
	UDC	REJ	<u>9003396</u>		24	0	24-Oct-2017	120.58		в	IFEU	в	Jul-20
	UA		<u>9003400</u>		60	60	24-Oct-2017	120.72		в	IFEU	В	Jul-20
	UA		9003402		56	56	24-Oct-2017	120.34		в	IFEU	В	Jul-20
	A		<u>9003407</u>		35	0	24-Oct-2017	120.98		в	IFEU	в	Jul-20
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	Ν	В	IFEU	В	Jul-20
	UA		<u>9003429</u>	PCT3	50	50	24-Oct-2017	120.3592	Ν	в	IFEU	в	Jul-20
	A		<u>9003438</u>		68	0	25-Oct-2017	120.28		В	IFEU	В	Jul-20
	UA		9003443	APG1	29	29	25-Oct-2017	120.61	Y	В	IFEU	в	Jul-20
	IP		9003444	APG2	54	0	25-Oct-2017	120.46	Ν	В	IFEU	В	Jul-20
Rela	ated Alloc	ations							Ŧ				
+	Add Alloca	ations 🖺 S	Save 🗙	Delete 🗲 Re	verse 🛱 [Delete Reversa	C Refresh	Rem Qty: 77	Count: 0 Sele	ected Ct: 1	1		
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	cct Dest C	TI Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc II	D 🕇 L
		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	Multi-Pop					
						ABG							
			YYY	MULTI	6						-		-

4. 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.

R															
н	 Add Alloca 	ations 🖺 S	Save 🗶 🛙	Delete 🗲 Reve	rse	Reversal	# Refresh	Rem Qty: 0 C	ount: 4 Sele	ected 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 1	Link Trd ID	Ord ID	A/O Rev
		Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 🔻	Multi-Pop							
	1	123	400	490	ABG	123	A00	<u>/**</u>	ADC	123	123	123	.123	ADC	A00
	A	20	YYY	MULTI			0		XXXACCT	9003400	120.72	9003488	<u>120016</u>	992630835	
	A	20	YYY	MULTI			0		XXXACCT	9003400	120.72	9003489	<u>120069</u>	992630835	
	A	20	YYY	MULTI			0		XXXACCT	9003400	120.72	9003490	119963	992630835	
	A	17	YYY	MULTI			0		ACS6019	9003386	120.6	9003491	<u>119904</u>	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).

Gro	ups												
Excl	nange All	Exchanges	▼ Tradin	g Member XXX		Clearing Da	ate 26-Oct-201	7 🔻 Q Sea	rch				
-	Re-Open (Group	Close Group	Refresh	Count: 19	Selected Ct	1 Selected Qtv	56					
	04-4-4-		0		0	Down Othe	T-4 D4	0	In Ourselide Du	0.00	Truck	0	h dark selle s
	Status	Sub-Status	GID I	Avg Px Grp ID	Grp Qty	Rem Qty	Tra Di	Grp Px	Is Override Px	B/S	Exch	Comm	Maturity
										_		-	
	A		9003386	AS6019	17	0	18-Oct-2017	120.6	Ŷ	в	IFEU	в	Oct-201
	A		9003394		68	0	24-Oct-2017	120.28		в	IFEU	в	Jul-2018
	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		в	IFEU	в	Jul-2018
U	A		<u>9003400</u>		60	0	24-Oct-2017	120.72		в	IFEU	в	Jul-2018
	UA		9003402		56	56	24-Oct-2017	120.34		В	IFEU	В	Jul-2018
	A		9003407		35	0	24-Oct-2017	120.98		В	IFEU	В	Jul-2018
	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	N	В	IFEU	В	Jul-2018
	UA		<u>9003429</u>	PCT3	50	50	24-Oct-2017	120.3592	N	В	IFEU	В	Jul-2018
	A		9003438		68	0	25-Oct-2017	120.28		В	IFEU	В	Jul-2018
	UA		<u>9003443</u>	APG1	29	29	25-Oct-2017	120.61	Y	в	IFEU	в	Jul-2018
	IP		<u>9003444</u>	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	В	Jul-2018
1									Ŧ				_
Rel	ated Alloc												
÷	Add Alloca	ations 🖪 :	Save 🗶	Delete 🗲 Re	verse 🔁 🛙	elete Reversa	C Refresh	Rem Qty: 56	Count: 0 Sel	ected Ct: 0			
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	cct Dest C	TI Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc IE) † Lini
		Multi-Pop	Multi-F 🔻	Pop	Multi-Pop	Multi-P	op Multi-F	 Multi-Pop 					
								99 (423
0		R											
<u> </u>		L 8			1		1						

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.

Excl	hange All	Exchanges	▼ Tradin	g Member XXX		Clearing D	ate 26-Oct-201	7 🔻 🔍 Sea	irch				
	Re-Open (Group	Close Group	p 🖁 Refresh	Count: 19	Selected Ct:	1 Selected Qty	r: 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	Maturi
								Multi-Pop					
\Box	A		9003386	AS6019	17	0	18-Oct-2017	120.6	Υ	в	IFEU	В	Oct-20
	A		<u>9003394</u>		68	0	24-Oct-2017	120.28		в	IFEU	в	Jul-20
\Box	UDC	REJ	9003396		24	0	24-Oct-2017	120.58		В	IFEU	В	Jul-20
	A		9003400		60	0	24-Oct-2017	120.72		в	IFEU	в	Jul-20
☑	UA		9003402		56	56	24-Oct-2017	120.34		в	IFEU	В	Jul-20
	A		<u>9003407</u>		35	0	24-Oct-2017	120.98		В	IFEU	В	Jul-20
\Box	UA		9003428	PCT2	2	2	24-Oct-2017	120.462381	Ν	в	IFEU	В	Jul-20
	UA		9003429	PCT3	50	50	24-Oct-2017	120.3592	N	в	IFEU	в	Jul-20
	A		9003438		68	0	25-Oct-2017	120.28		В	IFEU	В	Jul-20
	UA		<u>9003443</u>	APG1	29	29	25-Oct-2017	120.61	Υ	В	IFEU	В	Jul-20
\Box	IP		9003444	APG2	54	0	25-Oct-2017	120.46	N	В	IFEU	В	Jul-20
									v				
Rel	ated Alloc	ations											
÷	Add Alloca	ations	Save	Delete 🗲 Re	everse 🛱 🕻	Delete Reversa	C Refresh	Rem Qty: 7	Count: 4 Sele	cted Ct: 4			
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos A	.cct Dest C	TI Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc II	>↑ Li
		Multi-Pop	Multi-F	Multi-Pop	Multi-Pop	Multi-P	op Multi-F	 Multi-Pop 					
		7	YYY	ONETRD1									
		14	YYY	ONETRD2									
		18	YYY	ONETRD3									
		10	YYY	ONETRD4									
		0											
_								1					-

- 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 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.
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Rel	ated Alloc	ations														
+	Add Alloca	itions 🖺 S	Bave 🗶	Delete	← Reve	rse 🧮 Delete	Reversal	3 Refresh	Rem Qty: 7 C	ount: 5 Sel	ected Ct: 0					
	Status	Alloc Qty	Dest TM	Dest Cu	st Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID	Ord ID	A/O Rev
		Multi-Pop	Multi-F 💌	Multi-Po	p	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop							
	A90	123	ABC		ABC	ABC	123	A90	ABC	ABC	123	423	123	.123	ABG	ABG
	A	7	YYY	ONETR	D1			0		XXXACCT	9003402	120.34	9003494	120018	992630793	
	A	14	YYY	ONETR	D2			0		XXXACCT	9003402	120.34	9003495	120064	992630793	
	A	14	YYY	ONETR	D3			0		XXXACCT	9003402	120.34	9003496	<u>119942</u>	992630793	
	A	4	YYY	ONETR	D3			0		XXXACCT	9003402	120.34	9003497	<u>120018</u>	992630793	
	A	10	YYY	ONETR	D4			0		XXXACCT	<u>9003402</u>	120.34	9003498	<u>119964</u>	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.

Re													
+	Add Alloca	ations 🖺 S	ave 🗙 C	Delete 🗲 Rever	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 7 C	ount 5 Sele	ected Ct: 3			
	Status	Alloc Qty	Des	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID
		Multi-Pop	Multi-F 💌	uti-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
				- A90									
	A	7	YYY	ONETRD1			0		XXXACCT	9003402	120.34	9003494	<u>1200</u>
	A	14	ZZZ	CHANGE1			0		XXXACCT	9003402	120.34	9003495	<u>1200</u>
	А	14	ZZZ	CHANGE2			0		XXXACCT	9003402	120.34	9003496	<u>1199</u>
	A	4	YYY	ONETRD3			0		XXXACCT	9003402	120.34	9003497	<u>1200</u>
	A	10	ZZZ	ONETRD4			0		XXXACCT	9003402	120.34	9003498	<u>1199</u>

- 3. Repeat until all Allocations are edited, as necessary.
- 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.

Rel	ated Alloc	ations									
+	Add Alloca	tions 🖺 S	ave 🗙 [Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 6 Selec	ted Ct: 2	
	Status	Alloc Qty	Dest Tw.	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp F
		Multi-Pop	Multi-F 💌	In tti-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop			
	ABC	123	ABC	ABC	ABC	123	ABC	ABC	ABC	123	
	С	3	YYY	MULTI1			0		XXXACCT	9002769	
	A	3	YYY	GIVUP1			0		XXXACCT	9002769	
	A	3	YYY	GIVUP2			0		XXXACCT	9002769	
	REJ	3	YYY	GIVUP3			0		XXXACCT	9002769	
	С	3	YYY	MULTI1			0		XXXACCT	9002769	
	A	3	YYY	GIVUP4			0		XXXACCT	9002769	

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.

Rel	ated Alloc										
+	Add Alloca	ations 🖺 S	ave 🗶 I	Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 6 Selec	ted Ct: 2	
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Desi Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp F
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop			
	ABC	123	ABC	ABC	ABC	.123	ABC	ABC	ABC	.123	
	С	3	YYY	MULTI1			0		XXXACCT	<u>9002769</u>	
	A	3	YYY	GIVUP1			0		XXXACCT	<u>9002769</u>	
	A	3	YYY	GIVUP2			0		XXXACCT	<u>9002769</u>	
	REJ	3	YYY	GIVUP3			0		XXXACCT	9002769	
	С	3	YYY	MULTI1			0		XXXACCT	9002769	
	A	3	YYY	GIVUP4			0		XXXACCT	<u>9002769</u>	

 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).

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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).
- 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.

Rel	ated Alloc	ations									
+	Add Alloca	itions 🖺 S	ave 🗶 I	Delete 🗲 Reve	rse 🔁 Delete	Reversal	Refresh	Rem Qty: 0 C	ount: 6 Selec	ted 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
		Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	MittleF 📼	Multi-Pop			
	ABC	.123	ABC	ABC	ABC		ABC	ABC	ABC		
	RRV	3	YYY	MULTI1			0		XXXACCT	<u>9002769</u>	
	A	3	YYY	GIVUP1			0		XXXACCT	<u>9002769</u>	
	A	3	YYY	GIVUP2			0		XXXACCT	<u>9002769</u>	
	REJ	3	YYY	GIVUP3			0		XXXACCT	<u>9002769</u>	
	RR∨	3	YYY	MULTI1			0		XXXACCT	<u>9002769</u>	
	А	3	YYY	GIVUP4			0		XXXACCT	<u>9002769</u>	

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.

Gro	ups										
Exc	hange All	Exchanges	▼ Trading	Member YYY		 Clearing D 	ate 26-Oct-201	7 🔻 🔍 Sea	rch		
	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
								Multi-Pop			
	UA		<u>9000871</u>	AP667	492	492	24-Oct-2017	120.5358943	Ν	S	IFE
	IP		<u>9000952</u>	YYYPCT	28	0	24-Oct-2017	120.6326191	N	в	IFE
	UA		<u>9000953</u>		34	34	24-Oct-2017	120.8957143		В	IFE
	IP		<u>9000971</u>	TEST	17	0	26-Oct-2017	120.28	N	S	IFE
	A		9000988		12	0	26-Oct-2017	120.88		S	IFE
4											
Rel	ated Alloc	a' 🦂									
+	Add Alloca	ations 🖺 S	Save 🗙	Delete 🗲 Re	verse 🛱 🕻	Delete Reversa	C Refresh	n Rem Qty: 347	Count 3 S	elected Ct	3
	Status	Alloc Qty	Dest	Dest Cust Acct	Dest Pos A	acct Dest C	TI Dest O/O	Dest Memo	Cust Acct	Grp ID	Grj
		Multi-Pop	Multi-F 🔻	W. Pop	Multi-Pop	Multi-P	op Multi-F	 Multi-Pop 			
		50	zzz	VALID							-
		35	ZZZ	VALID2							-
		60		INVALID							-
		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.

Rel	ated A	llocations									
÷	Add A	llocations	🖺 Save	🗙 Delete	← Reverse	≓ Delete Revers	al 🥲 Refr	esh Rem	Qty: 347 Count	: 3 Selected	d Ct: 3
		Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID
			Multi-Pop	Multi-F 💌	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop		
			50	zzz	VALID						
			35	ZZZ	VALID2						
	0		60		INVALID						
		!) inva	lid 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.

Rel	ated Alloca	ations											
+	Add Alloca	ations 🖺 S	ave 🗶 I	Delete 🗲 Reve	rse _ ≓ Delete	Reversal	# Refresh	Rem Qty: 8 C	ount: 4 Select	ted Ct: 2			
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pun Acct	Dest CTI	Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	L
		Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
	ABC	123	ABC	ABC	ABC	423	ABC	ABC	ABC	123	123	123	
\checkmark	С	1	XXX	DV701	н	1	0		XXXACCT	<u>113051</u>	121.25	9003402	
	с	1	XXX	DV702	н	1	0		XXXACCT	113051	121.25	9003404	
	С	5	YYY				0		XXXACCT	<u>113051</u>	121.25	9003425	
	CRV	3	YYY	ABD02			0		XXXACCT	<u>113051</u>	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.

R	tela														
ŀ	÷	Add A	llocations	🖺 Save	🗶 Delete	← Reverse	≓ Delete Revers	al 🥲 Refr	esh Rem	Qty: 8 Count: 4	Selected Ct	1			
	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 1	Li
				Multi-Pop	Multi-F 🔻	Multi-Pop	Multi-Pop	Multi-Pop	Multi-F 💌	Multi-Pop					
			ABC		ABC	ABC	ABC		ABC	ABC	ABC				
	כ		RRV	1	XXX	DV701	н	1	0		XXXACCT	113051	121.25	9003402	
	8	0	С	1	XXX	DV702	н	1	0		XXXACCT	<u>113051</u>	121.25	9003404	
	כ	5	C	5	VVV				0		XXXACCT	<u>113051</u>	121.25	9003425	
C	כ		🕛 reve	rsal request	invalid - al	location already n	equested for revo	ersal.			XXXACCT	<u>113051</u>	121.25	<u>9003426</u>	

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.

Rela	ated Allo	cations														
+	Add Alloc	ations 🖺 S	Save 🗶	Delete 🗲 Reve	rse 🔁 Del	ete Reversal	3	Refresh	Rem Qty: 0 C	ount 4 Selec	ted Ct: 0					
	Status	Alloc Qty	Dest TM	Dest Cust Acct	Dest Pos Acc	t Dest CTI		Dest O/C	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID	Ord I	D
			Multi-F 🔻					Multi-F 💌								
				400				ANG ST	APC .			40				
	С	19	YYY					0		XXXACCT	<u>110498</u>	122.290	9003386	<u>110290</u>	7	70928
	RRV	2	YYY					0		XXXACCT	11049	122.2901	9003387	<u>110286</u>	7	70928 [.]
	С			LIQUAT				^		VINADOT		400.0004		440070	-	' 0928'
	С	Audit Trail	for Alloc I	D 9003387)928
		Update User	Updat	e TS	Status	Alloc Qty	D	est TM	Dest Cust Acct	Dest Pos Ar	ct I	Dest CTI	Dest O/C	Dest Memo		1
		alison_podium	24-Jar	n-2018 13:47:54 GM	T A	2	Y	YY					0			
		alison_podium	24-Jar	1-2018 13:49:12 GM	т с	2	Υ	mr					0			
		alison_podium	24-Jar	1-2018 13:49:31 GM	T RRV	2	Y	YY					0			
														0		

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.

+	Add Alloc	ations		save 🗙	Delete	• •	leverse	≓ Delete	e Reversal	2	Refresh	Rem C	xty:0	ount: 3	Sele	cted Ct: 0					
	Status	Allo	c Qty	Dest TM	Des	t Cust Acc	t Dest	Pos Acct	Dest CTI	C	Dest O/C	Dest Me	emo 💧	Cust A	cct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID	Ord ID	A/O Rev
					• Mul						Multi-F 💌		2p								
	ANG N												÷								1
	С		14	YYY						0	C			XXXXA	CCT	9003483	120.34	9003485	<u>121162</u>	76753943	
	С						000240	-										9003486	<u>121160</u>	76753952	
	С					roup ID	900340	3										9003487	<u>121163</u>	76753952	
			AP Gro	ID:	Gro Pa		Calc Px		Rod Px:		Override P	x I	Init Resid	÷	Total I	Resid:					
			APG20	1	120.3	4	120.34		120.34				0.00		0						
			Trd/Cla	im ID	Groupe	ed Qty	Link Trd	ID Link	Trd	Link Ti	rd Price	Deal I	D	Ord	ID	Cus	t Acct				
				121162		14	121162		14		120.34	76753	9462	7675	3943	X00	ACCT				
				121160		14	121160		14		120.34	76753	9592	7675	3952	X00	ACCT				
				121163		14	121163		14		120.34	76753	9632	7675	3952	X00	ACCT				
			4														•				

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.

Rel	ated Alloc	ations														
+	Add Alloca	ations 🖺 S	ave	ж	Delete 🗲 Reve	rse 🤁 Dele	te Reversal 🧲	Refres	h	Rem Qty: 0 Co	ount: 4 Selec	ted Ct: 0				
	Status	Alloc Qty	Dest 7	M	Dest Cust Acct	Dest Pos Acct	Dest CTI	Dest O/	С	Dest Memo	Cust Acct	Grp ID	Grp Px	Alloc ID 1	Link Trd ID	Ord ID
				•					Ŧ							
	ABC			ABC	ABC	\$			485	ABG	ABC					
	С	19	YYY					0			XXXACCT	<u>110496</u>	122.2901	<u>9003386</u>	<u>11029</u>	<u>0</u> 7709281
	RR∨	2	YYY					0			XXXACCT	<u>110496</u>	122.2901	<u>9003387</u>	11028	<u>6</u> 7709281
	С	19	XXX		nked Trade De	tails for Alloo	: ID 9003386								× 1103	2 7709281
	С	2	XXX			l									104	<u>4</u> 7709281
				LINK	Traito	Link Ird G	aty	LINK	I ra i	Price	Deal ID		Ord ID			
				110	290			19		123.22	7709281902		7709281	89		
															_	
														c	ж	
				-										_	_	

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.

Cla	ims																						
Exc	hange Al	I Exchanges	▼ Trading	Member YY	Y		✓ Clearing [Date 25-Jul-20	17 🔻 Po	is Acct													
Co	nm 💌	Sec Typ 💌	Maturity	B/S 🔻	TT	▼ Ste	itus 💌				Q Search	Clear											
B	Accept/Sa	ave 🐁 Rej	ect ≓ Co	onfirm Reversa	e e	Split	C 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 II	Ord I	ID A/	0 Rev	Trd Dt	B/S	Exch	Comm	Maturity	P/C	Strike	Claim Px	Opp TM
			Multi-Pop	Multi-Pop	Multi-I	k =	Multi-Po, 💌																
	ABS		AB	ABC		ABC	ABC			423		ABC	ABC	49	Ê	1	ABC	ABG	ABC	ABC	123		
	UC	2	BALANCE			0			9000850	110062		7706	686960		20-Jul-2017	в	IFED	FNO	Dec-2018			122.2	2 <u>XXX</u> ^
	UC	6	BALANCE			0			<u>900085</u>	110112		7706	686960		20-Jul-2017	в	IFED	FNO	Dec-2018			122.2	2 <u>XXX</u>
	CRV	19	BALANCE	Н	2	0			9000852	110111	AP1024	770	686931		20-Jul-2017	В	IFED	FNO	Dec-2018			120.661860	5 <u>XXX</u>
	CRV	6	DECREA	Н	2	0			900085	110242	AP1024	770	928014		20-Jul-2017	В	IFED	FNO	Dec-2018			120.661860	5 XXX
	CRV	12	NOCHA	Н	2	0			900085-	110238	AP1024	770	928014		20-Jul-2017	В	IFED	FNO	Dec-2018			120.661860	5 XXX
	UC	4	NO CHA			0			900094	7783671		3458	585151		19-Jul-2017	S	IFEU	В	Dec-2017			121.2	2 <u>GSF</u>
	UC	3	REDUCE			0			9000948	7783671		3458	585151		19-Jul-2017	s	IFEU	В	Dec-2017			121.2	2 <u>GSF</u>
	CA	19	AER02	н	2	0			9000974	110290	AP1002	770	928189		20-Jul-2017	В	IFED	FNO	Dec-2018			122.290175	4 <u>XXX</u>
	RRV	2	AER02	н	2	0			9000975	110286	AP1002	7709	928172		20-Jul-2017	В	IFED	FNO	Dec-2018			122.290175	4 <u>XXX</u>
	С	100	AP2GU	н		0	G		9000986	113053	AP2GU	223	808832		25-Jul-2017	В	IFEU	8	Apr-2018			4.470000	
	С	135	AP2GU	н		0	G		9000983	113052	AP2GU	223	808832		25-Jul-2017	В	IFEU	В	Apr-2018			4.470000	• XXX -
4 📖											Ŧ							-					•
Rel																							
	Save	🗶 Delete ;	C Refresh	Rem Qty	:0 Co	ount 2	Selected Ct: 0													_	Clear Filter	🛓 Export	to 🔻
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Claim ID 1 Li	nk Trd ID	Avg Px Grp ID	Ord ID	A/O Rev	Trd Dt	E	B/S Exch	Comm	Maturity	P/C	Strike	Claim F	× c	ipp TM	
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	h. 🔻	Multi-Po, 💌																
	49		AD	ABC		ABG	ABC			ABC	ABG	4	6	Ê	ABC ABC	4	9 3	ec At				ABC	
	С	10	SPL01	U	2	0	G	9001045	110290	AP1002	770928189		20-Jul-20)17 B	B IFED	FNO	Dec-201	8		122.2	901754 <u>X</u>	XX	
	С	9	SPL02	U	2	0		9001046	110290	AP1002	770928189		20-Jul-20	017 B	B IFED	FNO	Dec-201	8		122.2	901754 <u>X</u>	XX	

The screen will display one or two Data Grids:

1. **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.

Cla	ims										
Excl	hange All	Exchanges	 Trading N 	fember YY	ſ		 Clearing D 	25-Jul-2017	▼ Pos	Acct	
Cor	nm 🔻	Sec Typ 💌	Maturity	B/S 🔻	TT .	Sta	tus 💌				Q
B	Accept/Sa	ve 「 Reje	ct 🧮 Cor	nfirm Reversa		Split	🖁 Refresh	Count: 49 Se	lected Ct: 2	Selected Qty:	ô
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Av
			Multi-Pop	Multi-Pop	Multi-I	№ ▼	Multi-Po, 💌				
	ABC		ABC	ABC		ABC	ABC	123		123	
	REJ	1	GIV05			0			<u>9000308</u>	110055	
☑	С	2	AER01	н	2	0			<u>9000837</u>	110052	
	UC	5				0			<u>9000838</u>	110201	
	UC	3				0			<u>9000839</u>	110052	
\checkmark	С	4	AER01	н	2	0			<u>9000840</u>	110062	
	C	4	AER01	LL LL	2	0			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.

Rel	ated Splits	5								
B	Save	🗴 Delete 🥻	C Refresh	Rem Qty	0 Co	unt: 2	Selected Ct: 0			
_	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Claim ID 1	Link Trd ID	Avg P
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	₽ ▼	Multi-Po, 💌			
	ABC	123	ABC	ABC	123	ABC	ABC	123	.123	
	С	10	SPL01	U	2	0	G	<u>9001045</u>	110290	AP100
	С	9	SPL02	U	2	0		<u>9001046</u>	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. 2. 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.

Cla	ims										
Excl	hange All 8	Exchanges 💌	Trading Me	mber YYY		Clearing Date	e 25-Jul-2017 *	Pos Acct			
Cor	mm 🔻 S	ec Typ 💌 🛛 Ma	aturity	B/S 🔻 🕅	T 💌 Stat	us 🖛			C	Clear	
B	Accept/Sav	re 🕤 Reject	t ⊂ Confi	rm Reversal	🔩 Split	C Refresh	Count: 33 Select	ed Ct: 4 Sele	ected Qty: 70		
	Status	o, im Qty	Cust Acct	Pos Acct	CTI O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Avg Px Grp ID	Ord ID
	ARC	.(25	ABC	ARC	Modif	v and Accept		+	123	APIC	ARC
			Y	Y			Y Y	1	Y		Y
	UC	10	GIV02	U	0			<u>9654362</u>	4377055		64621082
\mathbf{V}	UC	20	MODIFY	U	0	G		<u>9654363</u>	<u>4377013</u>		64621082
	UC	20	GIV03	н	0			9654364	<u>4377065</u>		64621082
	UC	20	GIV03	н	0			<u>9654365</u>	4377068		64621082
	UC	20	GIV03	н	0	Select and	Accept	9654366	<u>4377066</u>		64621082
	UC	2	GUP03		0			9654367	4377010		64621067
	UC	3	GUP01		0			9654368	<u>4377010</u>		64621067
	UC	7	GUP02		0			<u>9654369</u>	<u>4377010</u>		64621067
<											

- 3. Repeat until all Claims are edited and/or selected, as necessary.
- 4. 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 🕇
					-			
ABC	(123)	ABC	ABC	(123)	ABC	ABC	123	123
С	10	GIV02	U		0			<u>9654362</u>
С	20	MODIFY	U		0	G		<u>9654363</u>
С	20	GIV03	Н		0			<u>9654364</u>
С	20	GIV03	Н		0			9654365
UC	20	GIV03	Н		0			<u>9654366</u>
110	2	CLIDOO						0654267

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.

INTERCONTINENTAL EXCHANGE ICE FEC, User Interface Guide | v 1.13 | 5 September 2024

Cla										
Excl	hange All	Exchanges *	 Trading M 	ember YY	ſ		 Clearing D 	Date 25-Jul-2017	▼ Pos A	cct
Cor	mm 🔻	Sec Typ 🔻 🕅	laturity	B/S 🔻	77	Sta	tus 🔻			
B	Accept/Sa	ve 🕤 Reject	≓ Confi	rm Reversal	≪ <mark>0</mark> S	plit	C Refresh	Count: 33 Select	ted Ct: 3 Sele	ected
	Status	Claim Dry	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Orig Claim ID	Claim ID 🏌	Lin
						~	-			
	ABC	(123)	ABC	ABC		ABC	ABC	(123)	123	
	С	10	CHANGE	н		0			<u>9654362</u>	
	С	20	MODIFY	U		0	G		<u>9654363</u>	
	С	20	CHANGE	н		0			<u>9654364</u>	
	С	20	CHANGE			0			<u>9654365</u>	
	UC	20	GIV03	Н		0			<u>9654366</u>	
	LIC	2	CLIDO2			0			0654267	

- 2. Repeat until all Claims are edited, as necessary.
- 3. 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 🕇 I
					-	-		
ABC	(123)	ABC	ABC	(123)	ABC	ABC	123	(123)
С	10	CHANGE	н		0			9654362
С	20	MODIFY	U		0	G		<u>9654363</u>
С	20	CHANGE	Н		0			<u>9654364</u>
С	20	CHANGE	Н		0			<u>9654365</u>
UC	20	GIV03	Н		0			<u>9654366</u>
110	2	CLIDOO			~			0654267

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:

- 1. In the Claims grid, select the Claim you wish to Split; only one Claim may be Split at a time.
- 2. 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).

Cla	iims									
Exc	hange A	II Exchanges	▼ Tradir	ng Member	YYY		▼ 0	Clearing Date	25-Jul-2017	▼ Pos.
Co	mm 🔻	Sec Typ 💌	Maturity	B/S	• 77	-	Status 🔻	•		
B	Accept/Sa	ve 「 Reje	ct ≓ Cor	nfirm Reversa	•	Split	C Refresh	Count: 50	Selected Ct:	1 Selected
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim I	D Claim ID	1 Link Trd IC
			Multi-Pop	Multi-Pop	Multi-I	№ ▼	Multi To	-		
							A			123
	С	2	ABC03	н	2	0			90008	<u>37</u> 110
	UC	5				0			90008	38 110
	UC	3				0			90008	<u>39</u> 110
\checkmark	С	4	GIV01	н	2	0			900084	<u>40</u> 110
	С	4	GIV01	н	2	0			900084	<u>41</u> 110
	С	4	GIV02	н	2	0			900084	42 110
Rel	ated Splits									
	Save 3	Collete	3 Refresh	Rem Qty	4 Co	unt: 0	Selected Ct:	0		
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Claim ID 1	Link Trd ID	Avg Px Grp II
U		Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	₩ ▼	Multi-Po _i	-		
				ABC						
		0 1						-		

 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.

Rel									
Ð	Save	C Delete	7 Refresh	Rem Qty	0 Co	unt: 2	Selected Ct: 2		
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Claim ID 1	Li
		Multi-rop	Multi-Pop	Multi-Pop	Multi-I	<u>k</u> =	Multi-Po		
						ABG			
		3	SPLIT1	н		0		-	
		1	SPLIT2	н				-	
		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.

	ated Splits										
B	Save	Collete	C Refresh	Rem Qty:	0 Co	unt: 2	Selected Ct: 0)			
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID ↓	Link Trd ID	Avg
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	<u>k</u> =	Multi-Po, 💌				
	ABC	323	ABC	ABC	.123	ABC	ABC	123		123	
	С	1	SPLIT2	н	2	0		9000840	<u>9001050</u>	110062	
	С	3	SPLIT1	н	2	0		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.

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.



- 2. Repeat until all Claims are updated and/or marked, as necessary.
- 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 (
					-		
ABC	(123)	ABC	ABC	(123)	ABC	ABC	
CA	5	GIVUP2	U		0		
RRV	7	GIVUP1	Н		0	G	
С	8	CLAIMGU	H		0	G	
	10				-		

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.



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 reallocated 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.

Cla											
Exc	hange A	All Exchanges	▼ Trading Memb	er YYY		Ŧ	Clearing Date	25-Jul-2017	Pos Acct		
Co	mm 🔻	Sec Typ 🔻	Maturity	S 🔻 TT	-	Status	•		Qs	Search Clear	
	Accept/Sa	ve 🏷 Reje	ect ≓ Confirm Reve	rsal 🔩 S	plit 2	Refresh	Count: 43	Selected Ct: 1 S	elected Qty: 2		
	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID	Claim ID 1	Link Trd
			Multi-Pop	Multi-Pop	Multi-P	Mu. 🔻	Multi-Po, 💌	Multi-Pop			
	UC	17				0				9000870	1
\blacksquare	С	2	YYY8662	н		0				9000872	1
	CRV	2	ALISON	Н		0				<u>9000873</u>	1
	REJ	2	44567			0				9000874	1:
	С	2	44568	н		0	-			9000877	1
	С	17	YYY57793	н		0	واس			9000878	1
	С	2	YYY57793	н		0	A .			9000879	1
	UC	7				0	G			9000880	1:
	110	7						1		0000001	4

- 2. 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.

Exc	hange A	II Exchanges	 Trading Memb 	er YYY		~	Clearing Date	25-Jul-2017	▼ Pos Acct		
Co	mm 💌	Sec Typ 💌	Maturity BA	S 🔻 TT	-	Status	•		QS	Search Clear	
B	Accept/Sa	ve 🌇 Reje	ct 🔁 Confirm Reve	rsal 🔩 S	plit 📿	Refrest	Count: 43	Selected Ct: 0 S	elected Qty: 0		
	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID	Claim ID 🏌	Link Trd I
			Multi-Pop	Multi-Pop	Multi-P	Mu. 🔻	Multi-Po, 🔻	Multi-Pop			
	495	423	A#0	400	123	APC	ABC		123	423	
	UC	17				0				9000870	12
	С	2	YYY8662	н		0				9000872	12
	CRV	2	ALISON	Н		0				9000873	12
	REJ	2	44567			0				9000874	12
	С	2	44568	н		0				9000877	12
	С	17	YYY57793	н		0	G			9000878	12
	С	2	YYY57793	н		0				9000879	11
	UC	7				0				9000880	12
\Box		-					I		*/*		

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:

 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.

Cla												
Exc	hange A	II Exchanges	▼ Trading Member	YYY			earing Date	25-Jul-2017 💌	Pos Acct			
Co	mm 💌	Sec Typ 🔻	Maturity B/S	▼ 77	-	Status 💌			Q Search	rom" AP		
8	Accept/Sa	ve 🎦 Reje	ct 😅 Confirm Reve	rsal 🧠 S	iplit 😭	Refresh	Count: 4	3 Selected Ct: 3 S	Selected Qty: 54	Group		
	Status	on a Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID Claim ID	1 Link Trd ID	Orig Avg Px Grp ID	Ord ID
			Multi-Pop	Multi-Pop	Multi-P	Mu. 🔻	Multi-F	Search Clear	"To" AP			
		17					4		Group			£
	RRV	17	YYYAPGAPCT2	н		0			<u>900096</u>	<u>8</u> 120022	PCT2	99263
	С	14	YYY57911	н		0	A	CLMAP2	900100	121162	APG20	76753
	С	14	22359	н		0			<u>900100</u>	121163	APG20	76753
	С	14	33386	н		0			900100	121160	APG20	76753
	UC	20	YYY57911	н		0	A	CLMAP1	900100	2 120016		99263
	UC	20	YYY57911	н		0	A	CLMAP1	900101	119963		99263
	UC	20	MULTI			0			900101	1 120069		91,263
	UC	17	MULTI			0			<u>900101</u>	2 119904	AS6019	45902
	UC	7	ONETRD1			0		1	900101	5 120018		99263
	UC	14	ONETRD2			0			900101	120064		99263
	LIC	14	ONETRD3	Ì		0	Î.		900101	7 110042		99263

- 2. Repeat until all Claims are updated and/or marked, as necessary.
- 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).

Exc	hange Al	I Exchanges	▼ Trading Member	YYY		▼ Clea	aring Date 2	6-Oct-2017 💌 /	Pos Acct
Co	mm 🔻	Sec Typ 🔻	Maturity B/S	▼ <i>TT</i>	▼ Sta	atus 💌			C
	Accept/Sa	ve 🏷 Reje	ct 🔁 Confirm Reve	rsal 🔩 S	iplit 2	Refresh	Count: 43	Selected Ct: 0 S	elected Qty: 0
	Status	Claim Qty	Cust Acct	Pos Acct	СТІ	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Claim ID
			Multi-Pop	Multi-Pop	Multi-P	Mu. 🔻	Multi-Po, 💌	Multi-Pop	
	ABC	423	ABC	ABC	123	ABC	ABC	ABC	
	RRV	17	YYYAPGAPCT2	н		0			
	С	14	YYY57911	н		0	A	CLMAP2	
	С	14	22359	н		0			
	С	14	33386	н		0			
	С	20	YYY57911	н		0	A	CLMAP1	
	С	20	YYY57911	н		0	A	CLMAP1	
					i				

4. 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.

Gro												
Exc	hange All	Exchanges	▼ Tradin	g Member YYY		 Clearing D 	ate 26-Oct-201	7 🔻 Q Sea	irch			
_	Re-Open	Group 🔒	Close Group	C Refresh	Count: 2	Selected Ct: 0	Selected Qty:	0				
	Status	Sub-Status	Grp ID 🏌	Avg Px Grp ID	Grp Qty	Rem Qty	Trd Dt	Grp Px	Is Override Px	B/S	Exch	Con
								Multi-Pop				
	ABC	ABC	.123	CLMAP 🌱	Ŷ	.123	Ê	323	ABC	ABC	ABC	
	IP		9001029	CLMAP2	14	0	26-Oct-2017	120.34	N	в	IFEU	в
	IP		9001030	CLMAP1	40	0	24-Oct-2017	120.72	N	в	IFEU	в

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)
 - o its related AP Group must be "in progress"
 - o 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:

1. 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.

Clai	ims								
Excl	nange All	Exchanges	 Trading Member 	YYY	Ŧ	Clearing	p Date 26-Oc	et-2017 💌 Pos A	Acct
Cor	nm 🔻	Sec Typ 🔻	Maturity B/S 🔻	77 -	Status	. •			
B	Accept/Sa	ve 「 Reje	ct 🔁 Confirm Rever	rsal 🥰 S	plit 🕄	Refresh	Count: 43	Selected Ct: 1 S	elected Qt
	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Clai
			Multi-Pop	Multi-Pop	Multi-P	Mu. 🔻	Multi-Po, 🔻	Multi-Pop	
	RRV	17	YYYAPGAPCT2	н		0			
	С	14	YYY57911	н		0			
	С	14	22359	н		0			
	С	14	33386	н		0			
	С	20	YYY57911	н		0	A	CLMAR	
	С	20	YYY57911	н		0	-	CEWIAP1	
	UC	20	MULTI			0	, dhy		
	UC 17 MULTI		MULTI			0	A		
	UC	7	ONETRD1			0	G		
	UC	14	ONETRD2			0			
0	110		ONETODA					1	

- 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.

Clai	ims								
Exch	nange All	Exchanges "	Trading Member YY	Ŷ		Clearing Da	ate 26-Oct-20	17 💌 Pos Acct	
Con	nm 💌 🖇	Sec Typ 💌 🐧	laturity B/S 🔻	TT 💌	Status	r			
8	Accept/Sa	ve 🌇 Reje	ct 🔁 Confirm Rever	rsal 🧠 S	iplit 2	Refresh	Count: 43	Selected Ct: 0 S	elected Qty
	Status	Claim Qty	Cust Acct	Pos Acct	CTI	O/C	Alloc Meth	Alloc Avg Px Grp ID	Orig Clair
			Multi-Pop	Multi-Pop	Multi-P	MU, 💌	Multi-Po, 💌	Multi-Pop	
	ABC	423	A ∰	ABG	123	ABC	ABC	- M	
	RRV	17	YYYAPGAPCT2	н		0		-	
	С	14	YYY57911	н		0			
	С	14	22359	н		0			
	С	14	33386	н		0			
	С	20	YYY57911	н		0	A	CLMA	
	С	20	YYY57911	н		0			
	UC	20	MULTI			0			
	UC	17	MULTI			0			
	LIC	7	ONETRD1			0			

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.

Clai	ims													
Excl	hange All	Exchanges	 Trading N 	lember YY	Y		✓ Clearing [Date 25-Jul-2017	▼ Pos	Acct				
Cor	nm 🔻	Sec Typ 🔻	Maturity	B/S 🔻	77 .	 Sta 	itus 🔻				Q Se			
B	Accept/Sa	ve 🕤 Reje	ect ≓ Cor	nfirm Reversa		Split	2 Refresh	Count: 15 Se	lected Ct: 2	Selected Qty: 8	в			
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID	Avg F			
			Multi-Pop	Multi-Pop	Multi-I	<i>Ik</i>	Multi-Po, 💌							
	ABC		ABC	ABC		ABC	ABC			323				
	RRv 4 GIVD1 H 2 0 9000840 110062 2 RRv 4 GIVD1 H 2 0 9000840 110062													
	RRV 4 GIV01 H 2 O 900840 110062 RRV 4 GIV01 H 2 O 9000841 110212													
	С	4	GIV02	н	2	0			<u>9000842</u>	110173				
	С	4	GIV03	н	2	0			<u>9000843</u>	110181				
	UC	6	BALANCE			0		1	9000844	110106				
•											-			
Rel	ated Split													
B	Save	🗙 Delete 🥻	🖰 Refresh	Rem Qty:	4 Co	unt: 2	Selected Ct: 0		_					
	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 🗍	Link Trd ID	Avg F			
		Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	<u>k</u> =	Multi-Po, 💌							
	ABC		ABC	ABC		ABC	ABC		123					
	RRV	1	SPLIT2	н	2	0		9000840	<u>9001050</u>	110062				
	RRV	3	SPLIT1	н	2	0		9000840	<u>9001049</u>	110062				

 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 *de*selected.

	ated Splits									
B	Save 3	Colete	3 Refresh	Rem Qty:	0 Co	unt: 3	Selected Ct: 1			
	Status	Claim Qty	Sust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID	Ļι
		Multi-Pop	Multi-rop	Multi-Pop	Multi-I	№ ▼	Multi-Po, 🔻			
		2	SPLIT4	н				9000842		
\checkmark		1	SPLIT5	н		0		9000842	-	
		1	SPLIT6	н		0		9000842	-	
		0						9000842	-	

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

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

Related Splits												
Save 3	C Delete	3 Refresh	Rem Qty:									
Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID ↓	Li			
	Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	№ -	Multi-Po, 💌						
	2	SPLIT4	н		0		9000842					
	1	SPLIT6	н		0		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.

- 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 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.
- 3. Any actioned Claim or Split for which there are no errors will be processed successfully.
- 4. 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).

Cla											
Exc	hange All	Exchanges	▼ Trading !	Member YY	γ		▼ Clearing	Date 25-Jul-2017	▼ Po	is Acct	
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S 🔻	TT	▼ St	atus 🔻				Q
8	Accept/Sa	ive 🕤 Reje	ct ≓ Cor	nfirm Reversa	ei ei	Split	C Refresh	Count: 227 S	elected Ct: 5	Selected Qty:	73
	Status	Cia m Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 🏌	Link Trd ID	Avg
			Multi-Pop	Multi-Pop	Multi-I	<u>k</u> –	Multi-Po, 🔻				
	UC	19	CLM02	н		0			9002782	104053	
☑	UC	19	CLM02	н		0			9002784	104056	
\checkmark	UC	15		н		0			9002787	104057	
	UC	13	CLM05	н		0			9002790	104060	
	UC	7	CLM06	к		0			9002792	104059	
	UC	19				0			9002796	104207	
	110	10				0			0002709	10/209	

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.

Clai											
Exch	nange	All Excha	nges 🔻 Tr	ading Member	YYY		₹ C	learing Date	25-Jul-2017 🔻	Pos Acct	
Con	nm 📑	Sec Ty	o 🔻 Maturit	/ B/S	▼ 77	▼ S	tatus 🔻				Q
8	Acces	pt/Save	🕤 Reject	兰 Confirm R	eversal «	Split	C F	Refresh Co	unt: 227 Selecter	d Ct: 2 Sele	ected Qty: 22
_		Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID
U				Multi-Pop	Multi-Pop	Multi-i	h 🔻	Multi-Po, 💌			
		С	19	CLM02	н	2	0			9002782	10405
		С	19	CLM02	н	2	0			9002784	10405
	0	UC	15		н		0			9002787	10405
		С	13	CLM05	н	2	0			9002790	10406
	0	UC	7	CLM06	к		0	Ì		9002792	10405
	0)		P	Ì		9002796	10420
		e pos	ition account	information	is missing/	invalid	5			9002798	10420
		() inva	ilid cti code				>			9002800	10421
		UC	12				0	ĺ		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.

Clai	ims													
Excl	nange	All Exch	anges 🔻	Trading Mem	nber YYY			Clearing D	Date 25-Jul-2017	▼ P	os Acct			
Cor	Comm Vert Sec Typ Vert Maturity B/S TT Vert Status Vert C													
	🖺 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 1	Link Trd ID			
				Multi-Pop	Multi-Pop	Multi-I	₽. ▼	Multi-Po, 💌						
		С	19	CLM02	н	2	0			<u>9002782</u>	104053			
		С	19	CLM02	н	2	0			<u>9002784</u>	104056			
		UC	15				0	\$* \$*		9002787	104057			
		С	13	CLM05	н	2	0			9002790	104060			
		UC	7				0		1	9002792	104059			
		UC	19		1		0	1		9002796	104207			
Rela	ated S	plits												
B	Save	💥 Del	ete 🥲 Refi	resh Re	m Qty: 0 C	ount: 3	Select	ted Ct: 3						
_		Staur	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 1	Link Trd ID			
U			Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	<u>k</u> •	Multi-Po, 💌						
			4	VALID1	н	1			9002782	-				
			6	VALID2	н	1			9002782	-				
			9	INVALID					9002782	-				
			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.

Rela	ated S	plits									
Ð	Save	🗶 Del	ete 🦪 Refi	resh Re	m Qty: 0 C	ount: 3	Select	ted Ct: 3			
		Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Claim ID	Claim ID 1	
			Multi-Pop	Multi-Pop	Multi-Pop	Multi-I	₽ ▼	Multi-Po, 🔻			
			4	VALID1	н	1			9002782	-	
			6	VALID2	н	1			9002782	-	
	0		9	INVALID					9002782	-	
		() posi () inva	ition account lid cti code	information	is missing/	invalid					

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.

Exc	hange A	II Exchanges	▼ Tradin	g Member	YYY		The Clea	aring D	ate 25-Ju	1-2017	*	Pos Acct		
Co	mm 🔻	Sec Typ 🔻	Maturity	B/S *	TT	-	Status 🔻						Q Search Cle	ar
B	Accept/Sa	ve 🌇 Reje	ect 🔁 Cor	nfirm Revers	al 🖏	Split	C Refresh	Co	unt: 15 Se	elected (た1	Selected Qty: 4	1	
_	Status	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig (Orig Claim ID		ID 1	Link Trd ID	Avg Px Grp ID	0
						<u>k</u> =	Multi-Po, 🔻							
	ABG		ABC	ABC		ANG							AK	
	UC	3				0			N	9000	0839	110052		
	CA	4	GIV01	н	2	0				9000840		110062		
3	С	4	GIV01	н	2	0		3		9000	0841	110212		
	<u>_</u>		011/02		2	_				000	1040	110170		
	Audit Tra	il foi Claim	ID 900084											
Up	odate User	Updat	e TS		Status	Cust Ac	ct Cirg /	Acct F	Pos Acct	СТІ	O/C	Memo	Alloc Meth	П
tm	_admin	15-Fe	b-2018 13:03:0	3 GMT	UC	AER01					0			
ali	son_tm_ad	min 15-Fe	b-2018 13:13:	58 GMT	С	AER01		ŀ	+	2	0			
ali	son_tm_ad	min 15-Fe	b-2018 13:30:0	3 GMT	С	GIV01		ŀ	H	2	0			
ali	son_tm_ad	min 15-Fe	b-2018 13:39:5	8 GMT	RRV	GIV01		ŀ	H	2	0			
alison_tm_admin		min 15-Fe	b-2018 13:46:4	I5 GMT	С	GIV01		ŀ	4	2	0			
								_			_			

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

Rel															
B	Si	ave 3	C Delete	C Refresh	Rem Qty	0 0	ount: 2	Selected Ct	0						
	S	tatus	Claim Qty	Cust Acct	Pos Acct		O/C	Alloc Meth	Orig Cla	Orig Claim ID		↓ Lin	k Trd ID	Avg Px Grp ID	Ord
							12 -		-						
									95 I	423					
	С		1	SPLIT2	н	2	0			9000840	900105	0	110062		770
	С		3	SPLIT1	н	2	0			9000840	900104	9	110062		770
		Au	dit Trail for	Claim ID 90	01050									•	٤.
		Updat	te User	Update TS			Status	Cust Acct	Cirg Acct	Pos Acc	t C	O/C	Memo	Alloc Met	1
		alison	_tm_admin	15-Feb-2018	13:34:56 GN	ſΤ	С	SPLIT2		н	2	0			
		alison	_tm_admin	15-Feb-2018	13:39:58 GN	IT	RRV	SPLIT2		н	2	0			
		alison	_tm_admin	15-Feb-2018	13:46:45 GN	T	С	SPLIT2		н	2	0			
		•													
														ОК	
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 screenspecific 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.

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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 III

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]

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!=	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	Tre
in UA,A	123	ABC	>100	123	
UA	Filtered	Not	Filtered	240	04
110	0004450		000	200	0.4

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).

		Clear Fil	ter
lev	-	O/C	Sec Cu
ABC	ABC	ABC	
	PEG	0	

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

To open Filter Hints:

1. Open any column dropdown menu.

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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.

Message Repla	Ŋ				
Exchange	IFEU, IFLL, IFLO The Clearing Men	nber XXX Search Trading Me	ember XXX, YYY 🔻 Clearing 🛙	Date 04-May-2017 The Me	essage Type TCR, AR 👻
Start Time	2017-05-04T00:00:00Z End Time	2017-05-04T23:59:59Z Start ID	End ID		Clear Filter Q Clear Search Search Replay
Job Type:	SEARCH State: C	OMPLETE Start time: May 04	15:52:34 Update time: May 04 15:52:3	5 End time: May 04 15:52:35	Status
Trading Member 1	Target Count	Replayed Count	Min Report ID	Max Report ID	Sender paused
	ABG	423	(123)	(123)	423 485
XXX.IFEU	0	0	0	0	true
XXX.IFLL	0	0	0 Data Grid	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:

 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

Message Repla	зу											
Exchange	IFEU, IFLL, IFLO 🛛 👻	Clearing Member	XXX "	Trading Member	XXX, YYY		04-May-	2017 -	Message Type TC	R, AR	*	
Start Time	2017-05-04T00:00:00Z	End Time	2017-05-04T23:59:59Z	Start ID		End ID			/ Clear Filter	Q Clear Search	Search F	Replay
Job Type:	SEARCH State:	COMPLE	TE Start time:	May 04 15:52:34	Update time:	May 04 15:52:35	End time:	May 04 15:5	2:35			/
Trading Member 1	t Tar	get Count	Repla	ed Count	Min	Report ID		Max Report ID		Sender paused	-	
	ABC		423		423		423					1
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	23	20	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:



- 2. Click [Continue] to initiate Replay of the indicated records, or [Cancel] to return to the Search results.
- 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:



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



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.

Fim	n Contacts						
+	Add Contact 🖺 Save	e 🗶 Delete 📿 R	efresh			🖉 Clear	Filter 🛓 Export to 💌
	TM Mnemonic 🗍	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
	ABC	ABC	ABG	ABC	ABC	ABC	ABC
	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
	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.

aim Px Opp TM Claim TS 120 22 XXX 0-Aug-2017 16 120 22 XXX 20-Aug-2017 16 120 24 XXX 20-Aug-2017 16 120 25 XXX 20-Aug-2017 16 120 120 20 XXX 20-Aug-2017 16 120 120 20 20 20 20 20 20 20 20 20 20 20 20 2	aim Px Opp TM Claim TS 130 490 130 120 22 XXX 0-Aug-2017 16 120 22 XXX 20-Aug-2017 16 120 XXX 20-Aug-2017 16 120 XXX 20-Aug-2017 16 120 XXX 20-Aug-2017 16 121 TM Immonic: XXX 20-Aug-2017 16 121 TM Immonic: XXX XXX 121 Contact Name : CE Clear Europe (XXX) CM Mmemonic: XXX 121 Contact Name : 44 207 5555 5555 testuser@xxx.com London biz hrs Another User 44 207 5555 5656 updated user@xxx.com US Western biz hrs Vubated User 212-555-5555 new user@xxx.com US Eastern biz hrs						
120 22 XXX 10-Aug-2017 16 120 22 XXX 20-Aug-2017 16 120 22 XXX 20-Aug-2017 16 121 7 Firm Contacts for TM XXX 122 TM Mnemonia: XXX TM Firm Name: ICE Clear Europe (XXX) 121 Contact Name Phone 122 Contact Name Phone 123 Contact Name Phone 124 Test User 44 207 5555 5655 125 Moder User 488-555-5555 126 Updated User 818-555-5555 127 New User 212-555-5555	Image: Provide the state of the st	Claim Px	Opp TM	Claim TS			
120.22 XX 0-Aug-2017 16 120.22 XXX 20-Aug-2017 16 120 XXX 20-Aug-2017 16 120 XXX 20-Aug-2017 16 121 Firm Contacts for TM XXX 122 TM Mnemonis: XXX 123 TM Firm Name: ICE Clear Europe (XXX) CM Mnemonis: XXX CM Aug-2017 16 124 Contact Name 125 Contact Name 126 Contact Name 127 Fast User 128 Contact Name 129 Contact Name 120 VXX 121 Contact Name 122 VX 123 Contact Name 124 Phone Email 125 Another User 44 207 5555 6866 129 Updated User 818-555-5555 120 User@xxx.com US Bastern biz hrs 121 New User 212-55-5555 Dew.user@xxx.com	120.22 XXX 0-Aug-2017 16 120.22 XXX 20-Aug-2017 16 120 12 12 12 Tim Contacts for TM XXX 12 TM Mnemonic: XXX 12 TM Firm Name: ICE Clear Europe (XXX) 12 Contact Name 12 Contact Name 12 Fast User 44 207 5555 5555 test user@xxx.com 12 London biz hrs Another User 44 207 5555 6066 another User 418-55-5555 Updated User 818-555-555 New User 212-555-5555 12 User@xxx.com US Western biz hrs New User 212-555-5555 12 Descri@xxx.com US Eastern biz hrs		(123) ABC				
120 22 XXX 20-Aug-2017 16 121 Firm Contacts for TM XXX 122 TM Mnemonic: XXX 122 TM Firm Name: ICE Clear Europe (XXX) 121 Contact Name 122 Contact Name 124 Contact Name 125 London biz hrs Another User 44 207 5555 5555 125 Iest user@xxx.com 126 Updated User 127 New User 128 new.user@xxx.com 129 User	120.22 XXX 20-Aug-2017 16 120 20 XVX 20 Aug-2017 16 121 Firm Contacts for TM XXX 122 TM Mnemonic: XXX 123 TM Firm Name: ICE Clear Europe (XXX) 124 Contact Name 125 Contact Name 126 Contact Name 127 Test User 128 44 207 5555 5555 129 Another User 120 100 files 121 Updated User 1255-5555 nother user@xxx.com 129 Updated User 120 212-555-5555 121 New User 122 122-555-5555 123 New User 124 125-55-5555 125 New User 125 New User@xxx.com 125 New User@xxx.com 124 US Eastern biz hrs	120.	22 <u>XXX</u>	J-Aug-2017 16			
12000 XXX 12 Firm Contacts for TM XXX 12 TM Memonic: XXX 12 TM Firm Name: ICE Clear Europe (XXX) 12 Contact Name 12 Contact Name 12 Contact Name 12 Test User 13 Variable 14 207 5555 15 test user@xxx.com 15 Another User 16 44 207 5555 6666 17 Updated User 18<655-5655	12 a) XXX 100 Aur 2043 do 12 Firm Contacts for TM XXX 12 TM Mnemonic: XXX 12 TM Firm Name: ICE Clear Europe (XXX) 13 Contact Name Phone Email Additional Info 14 Test User 44 207 5555 lest user@xxx.com London biz hrs 15 Another User 44 207 5555 6686 another.user@xxx.com AisaPac biz hrs 15 Updated User 818-555-555 updated.user@xxx.com US Western biz hrs 16 Vester 212-555-5555 new.user@xxx.com US Eastern biz hrs	120.	.22 <u>XXX</u> 🌽	20-Aug-2017 16			
12 TM Mnemonic: XXX 12 TM Firm Mame: ICE Clear Europe (XXX) 12 CM Mnemonic: XXX 12 Contact Name 12 Phone Test User 44 207 5555 5555 12 London biz hrs Another User 44 207 5555 68686 12 Updated User 13 818-555-5555 14 207 5555 15 Mpdated User@xxx.com 16 Stastern biz hrs 17 New User 12 12-555-5555 12 new.user@xxx.com	12 TM Mnemonic: XXX 12 TM Firm Name: ICE Clear Europe (XXX) 13 Contact Name Phone Email Additional Info 14 Contact Name 44 207 5555 5555 Iest user@xxx.com London biz hrs 15 Another User 44 207 5555 66866 another.user@xxx.com AisaPac biz hrs 15 Updated User 818-565-5555 updated.user@xxx.com US Western biz hrs 16 New User 212-555-5555 new.user@xxx.com US Eastern biz hrs	120 12	Firm Contacts	s for TM XXX			
Contact Name Phone Email Additional Info Test User 44 207 5555 5555 test user@xxx.com London biz hrs Another User 44 207 5555 6666 another.user@xxx.com AisaPac biz hrs Updated User 818-555-5555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs	Contact NamePhoneEmailAdditional InfoTest User44 207 5555 5555test user@xxx.comLondon biz hrsAnother User44 207 5555 68686another user@xxx.comAisaPac biz hrsUpdated User818-55-5555updated user@xxx.comUS Western biz hrsNew User212-555-5555new.user@xxx.comUS Eastern biz hrs	12. 12! 12!	TM Mner TM Firm CM Mner	monic: XXX Name: ICE Clear Er monic: XXX	urope (XXX)		
Test User 44 207 5555 5555 test user@xxx.com London biz hrs Another User 44 207 5555 6666 another.user@xxx.com AisaPac biz hrs Updated User 818-555-5555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs	Test User 44 207 5555 5555 test user@xxx.com London biz hrs Another User 44 207 5555 68686 another user@xxx.com AisaPac biz hrs Updated User 818-55-5555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs		Contact Name	F	Phone	Email	Additional Info
Another User 44 207 5555 66668 another user@xxx.com AisaPac biz hrs Updated User 818-555-555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs	Another User 44 207 5555 6888 another user@xxx.com AisaPac biz hrs Updated User 818-55-555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs		Test User	4	14 207 5555 5555	test.user@xxx.com	London biz hrs
Updated User 818-555-5555 updated user@xxx.com US Western biz hrs New User 212-555-5555 new.user@xxx.com US Eastern biz hrs	Updated User 818-555-5555 <u>updated user@xxx.com</u> US Western biz hrs New User 212-555-5555 <u>new user@xxx.com</u> US Eastern biz hrs		Another User	4	14 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
New User 212-555-5555 <u>new.user@xxx.com</u> US Eastern biz hrs	New User 212-555-5555 <u>new user@xxx.com</u> US Eastern biz hrs		Updated User	8	318-555-5555	updated.user@xxx.com	US Western biz hrs
			New User	2	12-555-5555	new.user@xxx.com	US Eastern biz hrs

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.

÷	Add Contact 🔛 Save	🗶 Delete 🧘 Re	fresh			/ Clear	Filter 🛓 Export to 🔻
	TM Mnemonic 1	Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
	ABC	ABC	A&C	ABC	ABC	ABC .	ABC
	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
	YYY	YYY	ICE Clear Europe (YYY)	Other User	312-555-5555	ouser@yyy.com	

- 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.

Fir	m Contacts						
÷	Add Contact 🖺 Save	Delete 📿 Re	fresh			🖉 Clear	Filter 🛓 Export to 🔻
	TM Mnemonic 1	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
	ANG	APC .	A80	ADC .			A90
	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
	YYY	YYY	ICE Clear Europe (YYY)	Other User	312-555-5555	ouser@yyy.com	
	XXX	XXX	ICE Clear Europe (XXX)	New User	z12-555-5555	new.user@xxx.com	US Eastern biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	West User	818-555-5555	west.user@xxx.com	US Western biz hrs

- 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.

Firr	n Contacts						
+	Add Contact 🖺 Save	Delete 📿 Re	efresh			🖉 Clear	Filter 🛓 Export to 💌
	TM Mnemonic 🏌	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
	ABC	ABC	ABC	ABC	ABC	ABC	ABC
	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Another User	44 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	New User	×12-555-5555	new.user@xxx.com	US Eastern biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Updated User	818-555-5555	updated.user@xxx.com	US Western biz hrs
	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.

Fin	Firm Contacts						
÷	🕂 Add Contact 📳 Save 🗶 Delete 🕑 Refresh						
	TM Mnemonic 1	CM Mnemonic	TM Firm Name	Contact Name	Phone# (incl. country code)	Email	Additional Info
	APC .		400 1	ANG	A00	400 	APC -
	XXX	XXX	ICE Clear Europe (XXX)	Test User	44 207 5555 5555	test.user@xxx.com	London biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Another User	14 207 5555 6666	another.user@xxx.com	AisaPac biz hrs
\checkmark	XXX	XXX	ICE Clear Europe (XXX)	New User	212-555-5555	new.user@xxx.com	US Eastern biz hrs
	XXX	XXX	ICE Clear Europe (XXX)	Updated User	818-555-5555	updated.user@xxx.com	US Western biz hrs
	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

Column N
N
Y
V
Y
Y
Y
Y
V
Y
Y
Y
Y
Y
Y
Y
Ν
Y
Y
N
Y
Y

10.1.1. TRADES GRID

Trades Grid			Dafault
Column Header	Description / Notes	Required?	Column
СТІ	CTI Code	Ν	Y
	Makana 4, 0, 0, 4, an angle at ta blands the field		
0/0	Values: 1, 2, 3, 4, or space to blank the field	N	V
0/0	Open/Close	N	Y
	Values: O. C. or space to blank the field		
Alloc Meth	Allocation Method	N	Y
	Values: G (give-up), A (average price), or space to		
	blank the field		
	• 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) 		
Avg Px Grp ID	Average Price Group ID	N	Y
	Format: up to 6 alphanumeric characters	V if such a the su	X
Dest TW	Destination Trading Member	Y, If any other	Y
	Values: a valid Trading Member mnemonic, or	populated	
	space to blank the field	populatou	
Dest Cust Acct	Destination Customer Account	Ν	Y
	Format: up to 20 alphanumeric characters, or		
Dest Over 1 El	space to blank the field	N	
Dest Cust LEI	Destination Customer Legal Entity Identifier	N	Y
	Format: exactly 20 alphanumeric characters, or		
	space to blank the field		
Dest Pos Acct	Destination Position Account	N	Y
	Values: see Appendix B: Reference Field Values		
Doct CTI	Destination CTL Code	N	v
DesiGH	Destination CTT Code		1
	Values: 1, 2, 3, 4, or space to blank the field		
Dest O/C	Destination Open/Close	N	Y
Deat Mama	Values: U, C, or space to blank the field	N	V
Dest Memo	Destination Memo	IN	ř
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11. APPENDIX B: REFERENCE FIELD VALUES

11.1. STATUS CODES (STATUS)

	Sub-		
Status	Status	Description	Screen>Grid Usage
А		Allocated: Allocated; not accepted	Groups>Groups; Groups>Allocations
С		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	
Jurisdiction	Market Identifier Code (MIC)/Exchange Code
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
	I - Segregated - I
	U - Unassigned
ICE Clear Netherlands	H - House
	N - Non-Segregated customer
	5 - Seyreyaled Customer
	F Segregated E
	E - Segregated - E
	K - Seglegaled - K
	D Cogregated D
	R - Segregated - R
	R - Segregated - R U - Unassigned X - Segregated - X

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)
	EOO - 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)

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<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)

Rate ID 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:

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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.

		ICE FEC	
Legacy ACT	ICE FEC	Related Allocations Grid	
Allocation Export Field	Groups Grid Field	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	ТМ	requires Groups export	
Order ID	Ord ID	Ord ID	
Trader	Trdr	Trdr	
Executing Account	Cust Acct	Cust Acct	
Secondary Customer	Sec Cust Acct	requires Groups export	
Account			
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	
ТТ	ТТ	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	ICE FEC	
Claim Export Fleid	Claims of Related Splits Grid Field	ICE FEC NOLES
Claim Status	Status	
A/O Rev	A/O Rev	Y or blank
Executing Member	Opp TM	

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Legacy ACT	ICE FEC	
Claim Export Field	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 Qtv	Claim Qtv	Quantity of the allocation and its
		associated claim; not 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	