CME Group

CME SDR and CME CTR User Interface User Manual

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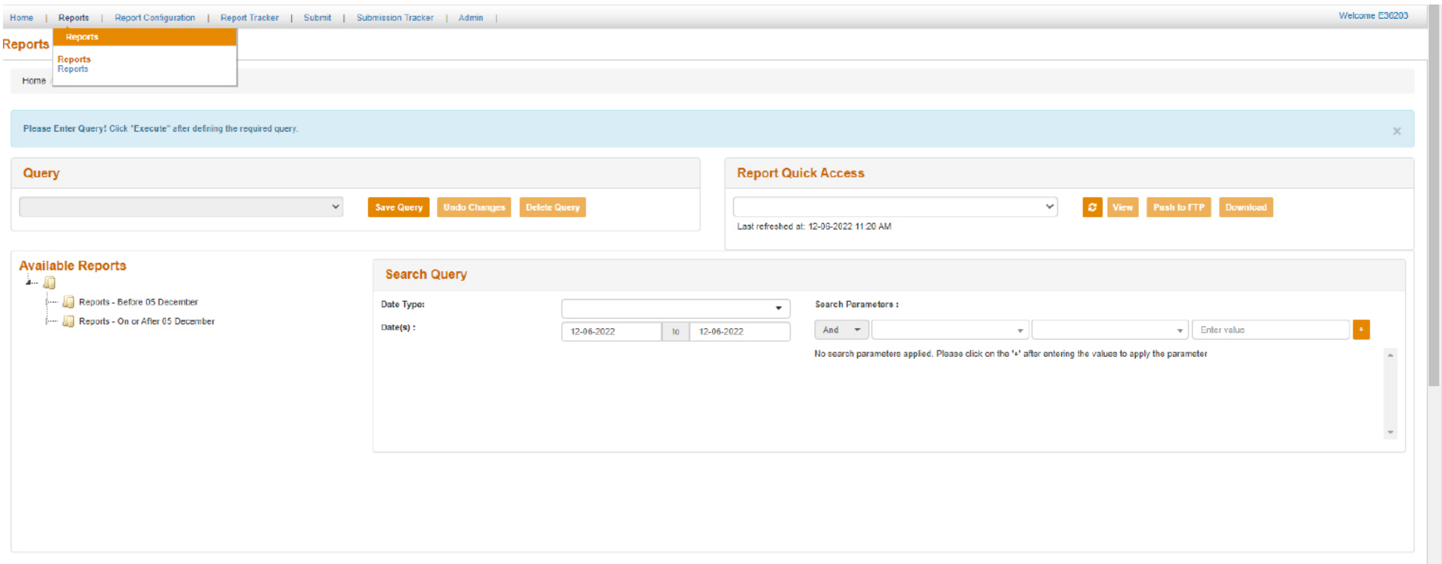
Contents

1. Introduction

This document is a manual to introduce users to the new key features and modifications to existing features within the User Interface.

- New Reports – Outstanding reports (by asset class) and Billing Activity Report
- Report Tracker – Portal to view report requests and view/download previously executed reports.
- Execute/Schedule Report – Schedule a recurring report with customizable parameters such as file name, layout, hide/show fields, etc.
- Access to prior reports – Quick access to reports that were executed previously.

Figure 1: Screenshot of the new available reports and how to access



2. New Reports

Now available under the ***Reports*** menu tab

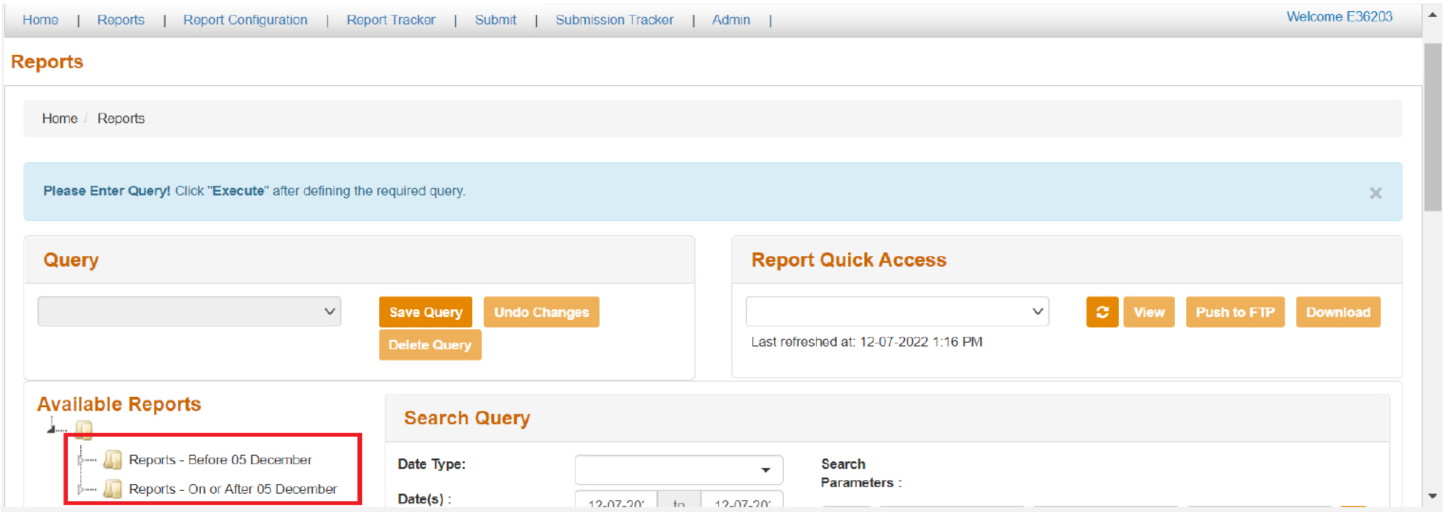
The report function is used to view comprehensive reports for all entities registered with CME Trade Repository.

Below are the new reports that are made available via the User Interface:

A. Outstanding Reports

- A report by asset class showing open trades and positions as of a selected date.
- Accessed via *Reports > Outstanding Reports* menu and select the Asset Class specific report.

- User can run the outstanding report for a "As of date", which is the snapshot of all open trades/ positions as the end of the selected date.
  Note: User can run outstanding report for up to 90 days prior.
  Note: Reports have been divided into pre and post December 5th 2022.



- User can select primary or advanced search parameters and 'Execute' or 'Schedule' Outstanding reports.
- Please refer to *Schedule Report/Execute Report/Report* Retrieval features sections.

B. Billing Report

- Accessed via Reports > *Billing Reports > Billing*.
- Billing report provides transactions eligible for billing for the selected month.
- User must select a Billing Month date to view the report.
- User can enter other granular filter criteria in the Search Query and *Execute* or *Schedule* the Billing report.
- Please refer to *Schedule Report/Execute Report/Report Retrieval* features sections.

3. Execute a Report

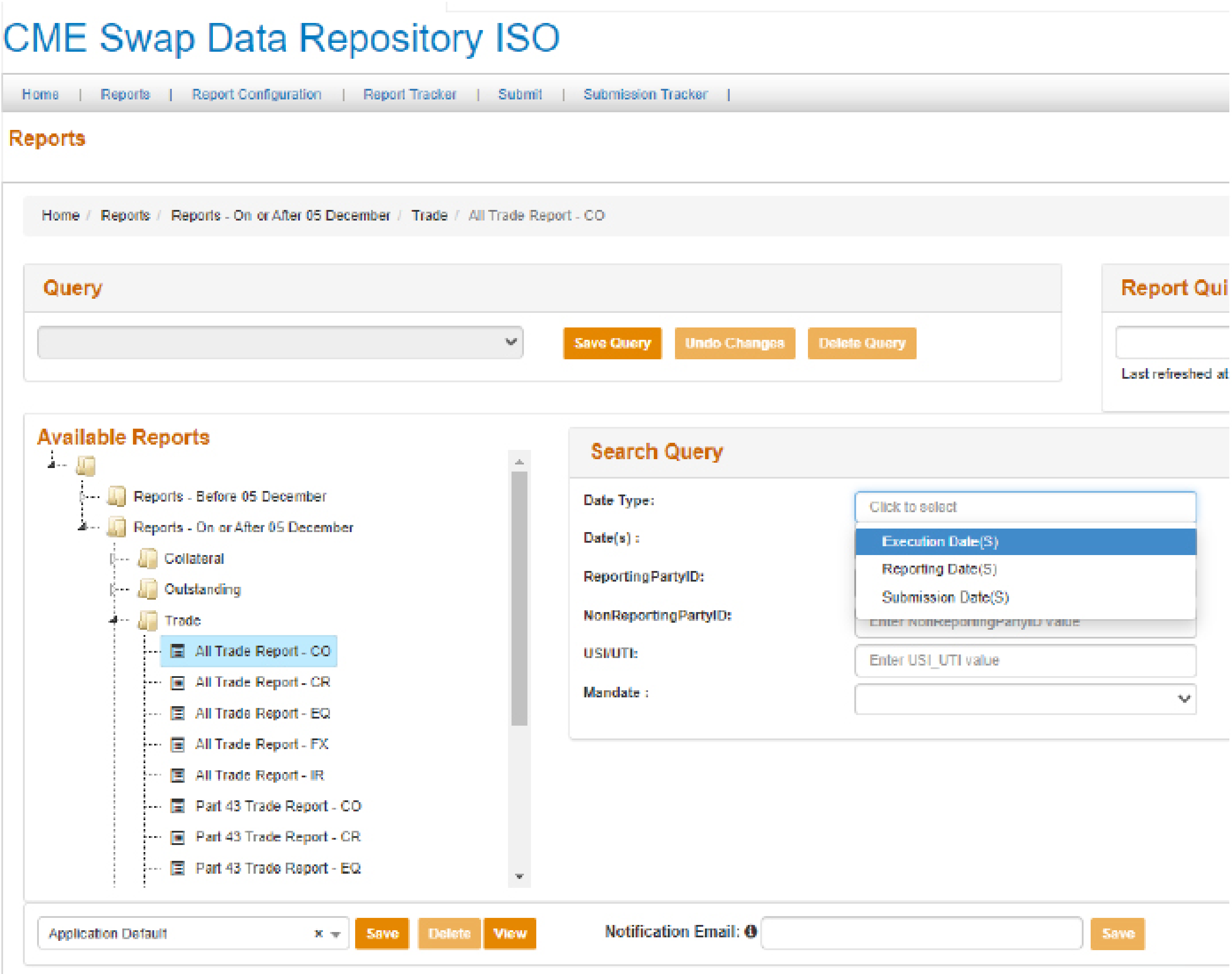
Executing a report can be done in two ways.

Note: Currently, the date range is limited to 365 days. If a report is needed for a date range exceeding 365 days, then multiple queries will need to be executed for the desired range.

A. Execute Immediately (High priority)

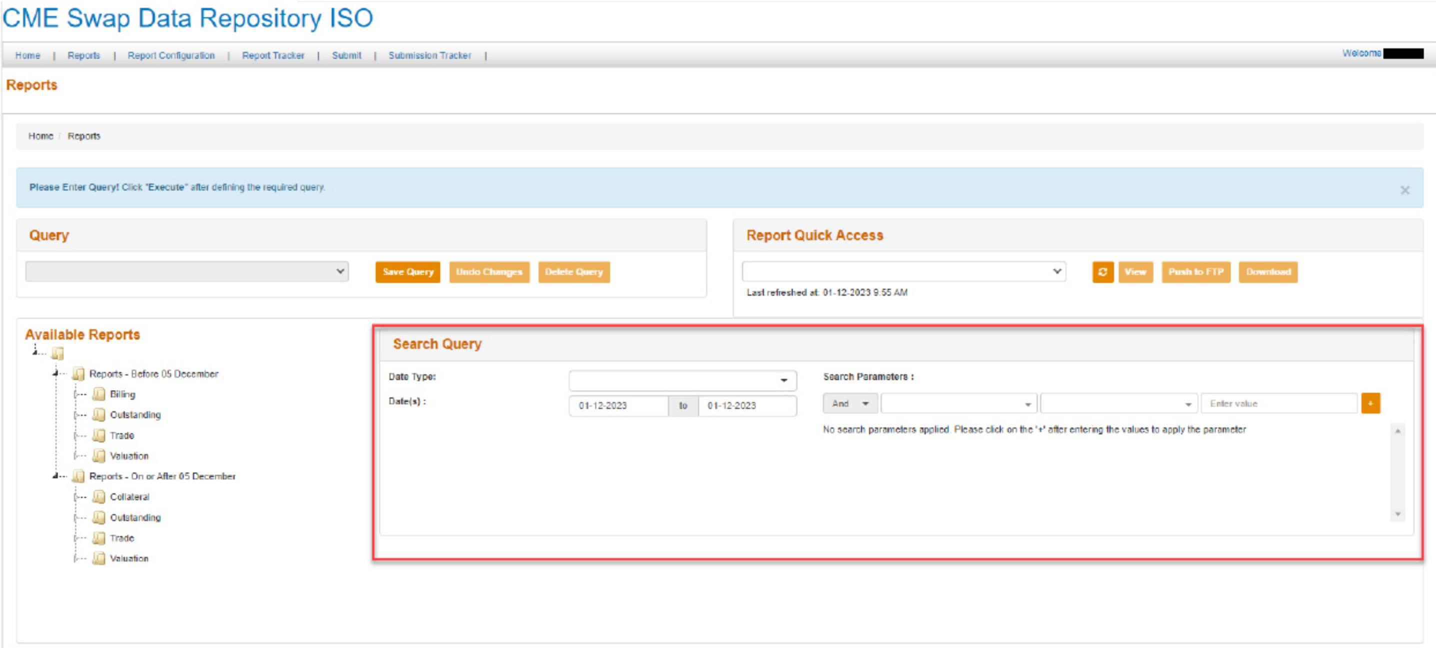
- A USI/UTI **must** be specified to be eligible to execute a report under high priority
- Upon selecting a report, if a Date Type field is available in the search query, it is a mandatory field and a value must be selected from the drop down as shown below in the screenshot and date range provided.

Figure 2: Sample screenshot from Commodity Trade Report displaying the values under the Date Type field.



- Additional filters on ReportingPartyID ***may*** also be applied under the primary search query.
- To perform an advanced search, additional criteria under the *Search Parameters* to the right of Search Query may also be selected as shown in the screenshot below.

Figure 3: Screenshot showing the Search Query section with available fields to query



- Click on *Execute*.
- Furthermore, the user has the *Export All, Grid Options and Column Chooser* options as previously available to customize the report view.

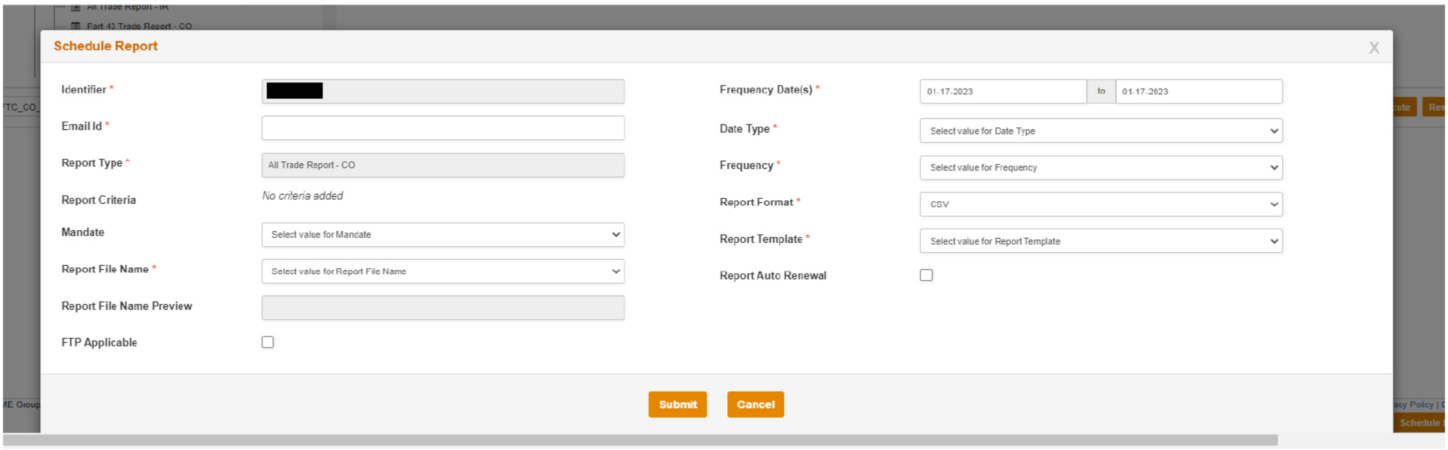
A. Execute in the background (Low priority)

- When the ***USI/UTI*** field is not populated in the Search Query, the report automatically runs in the background.
- Follow steps similar to above and click Execute. This prompts the user to provide an email address for notification when the report is complete and available for viewing.
- Once *Executed*, a Tracking ID will be displayed to the top left corner of the screen in a blue status bar, which can be used to track the progress of the report under the new *Report Tracker* page. To track the report, please refer to *Report Tracker* section.

4. Schedule a Report

- This feature may be used to schedule a recurring report that will be ready for viewing or if an FTP folder has been established for the User and it is requested, delivered by a specific date and time as selected by the user.
- Follow steps similar to Executing a Report above, except click on ***Schedule*** Report. This will open a pop-up window with the selected query criteria as ReportQuery Criteria.
- User must provide additional detail to schedule the report. Please refer below screenshot.

Figure 4: Screenshot of the pop-up screen when Schedule Report is clicked



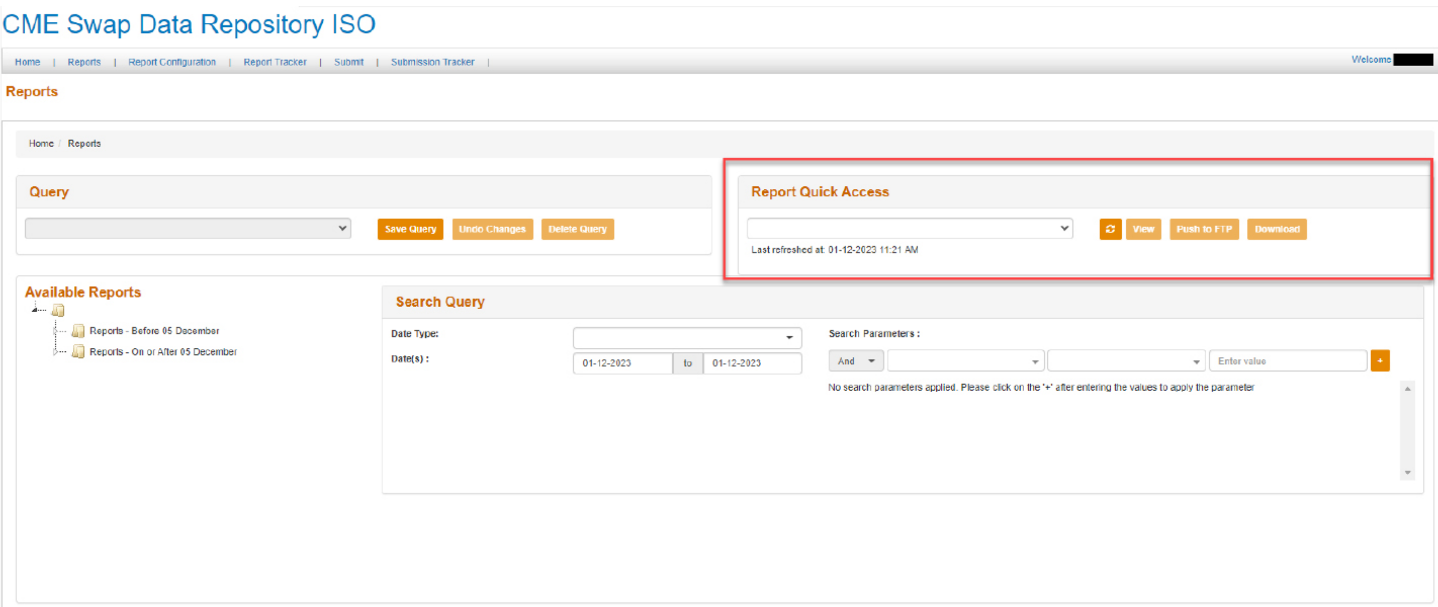
- If an sFTP folder has previously been created for the user's firm, the user may choose to check the Via FTP to receive the report at the FTP folder location as shown.
  Note: This does not mean that the report will only be sent to FTP. The report can still be viewed on the UI when it is available.
- Provide an email address where a notification will be sent when the report is available for viewing.
- Current supported file format is CSV only, and thus user does not need to take any further action.
- If a customized *Report Template* is created for the selected report, user may choose to select the template they would like applied to the report being scheduled. To create a customizable template, refer to Report Template section.
- A customized filename can also be applied to the reports being delivered via FTP. If a customized File Name Template was created for the selected report, user may choose to select the template they would like applied to the report being scheduled. To create a customizable template, refer to Report Name Convention section.
- Apply the *Frequency* at which the report is needed. Current available frequencies include Daily, Weekly, and Monthly.
- Select the *Frequency Date(s)* range for the above selected Frequency.
  Note: The dates referenced here are the report generation date. For a Daily frequency, the contents of the report will be T-1, where is the report generation date. Similarly, for a Weekly frequency, the report is for prior calendar week Sunday - Saturday, and for a Monthly frequency, the report is for prior calendar month.

- Click Submit. User will receive report on the scheduled frequency date at the FTP location (if selected) or available for viewing on the *Report Tracker*.

5. Quick Access to previously executed reports

- Navigate to report of choice from the Reports menu.
- At the right corner of the report screen, user can retrieve the requested reports by selecting a Request ID from the drop down.
- Various options are available for user once a Request ID is selected:
  - *View* the report now.
  - *Push to FTP*, that will send the report to the FTP folder if previously defined.
  - *Download* the report to desktop in CSV format.

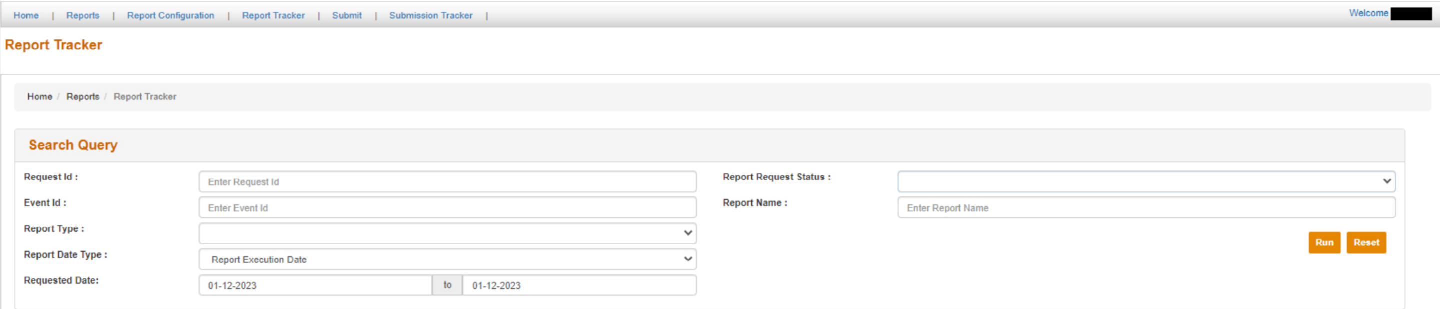
Figure 5: Screenshot of the Quick Access section showing available options for accessing a previously executed report



6. Report Tracker

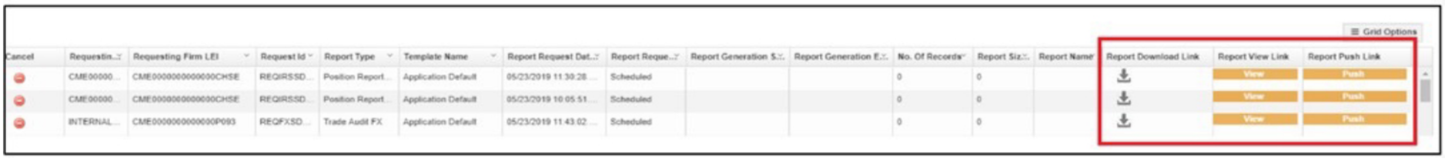
- The Report Tracker is used to check status, view, and download previously executed reports.
  Note: The user is able to view all report requests initiated by all users of the firm.
- Navigate to *Reports > Report Tracker*
- Optional search criteria shown in the screenshot below may be provided for a quick search. The *Requested Date* may be altered the user to view reports across a wider date range if desired.

Figure 6: Screenshot of the Report Tracker filter criteria section showing available options for accessing a previously executed report



- Click on Run and the reports executed previously are visible in the results section that a user is able to *Download, View or Push* (to respective FTP).

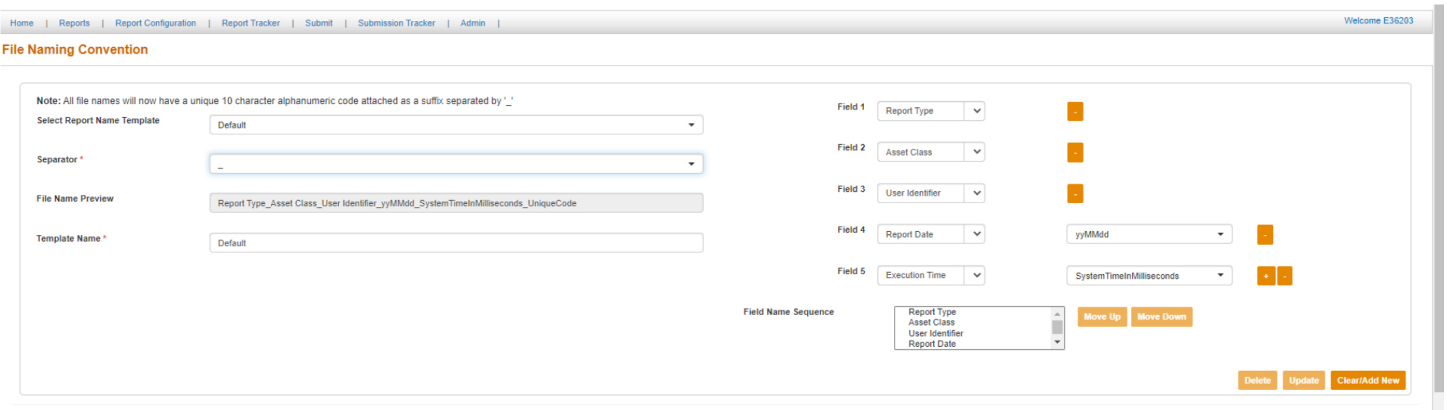
Figure 7: Screenshot of the Report Tracker results showing available options to view, download, or push report to FTP.



7. Report Naming Convention

- The Report Name Convention gives the user the ability to customize a report name that will be delivered via the FTP.
- Navigate to ***Reports > Report Setup > Report Name Convention***
- Once on the *Report Name Convention* page, users can choose a default template or create their own using the available options as shown in the screenshot below.

Figure 8: Screenshot of the Report Name Convention page showing customizable options to create a new file name.



- If creating a new template, keep *Select Report Name Template as Default*.
- Choose a *Separator*, also commonly known as a delimiter, if the report name requires certain attributes to be separated out.
- The *File Name Preview* shows the file name in real-time as it gets customized. This is for view only to validate to perceive how the file name will look.
- We suggest you choose a Template Name that is easily recognizable. For example, FX_Outstanding_USIs_only.
- The right-hand side of the screen allows the user to enter static values or choose one of the pre-defined values in each of the *Fields* that will be separated by the Separator chose above. Separately, for certain pre-defined values, such as dates and timestamps, user can further define the format of the date and timestamp.

8. Report Template

- A Report Template allows the user to create a customizable template for a scheduled report.
- Navigate to ***Reports > Report Setup > Report Template***
- User has the option to choose from one of the following pre-defined templates and further customize it, if needed:
  - *Application Default* – This template is the default template that would be returned and includes all fields that were previously available via the User Interface.
  - *Submission Specification Default* – This template is similar to the default template, except field headers are as per TR's CSV submission specification.
  - *Push Report* – This template is similar to the current reports that are pushed to the user's FTP folder, if previously requested and subscribed.

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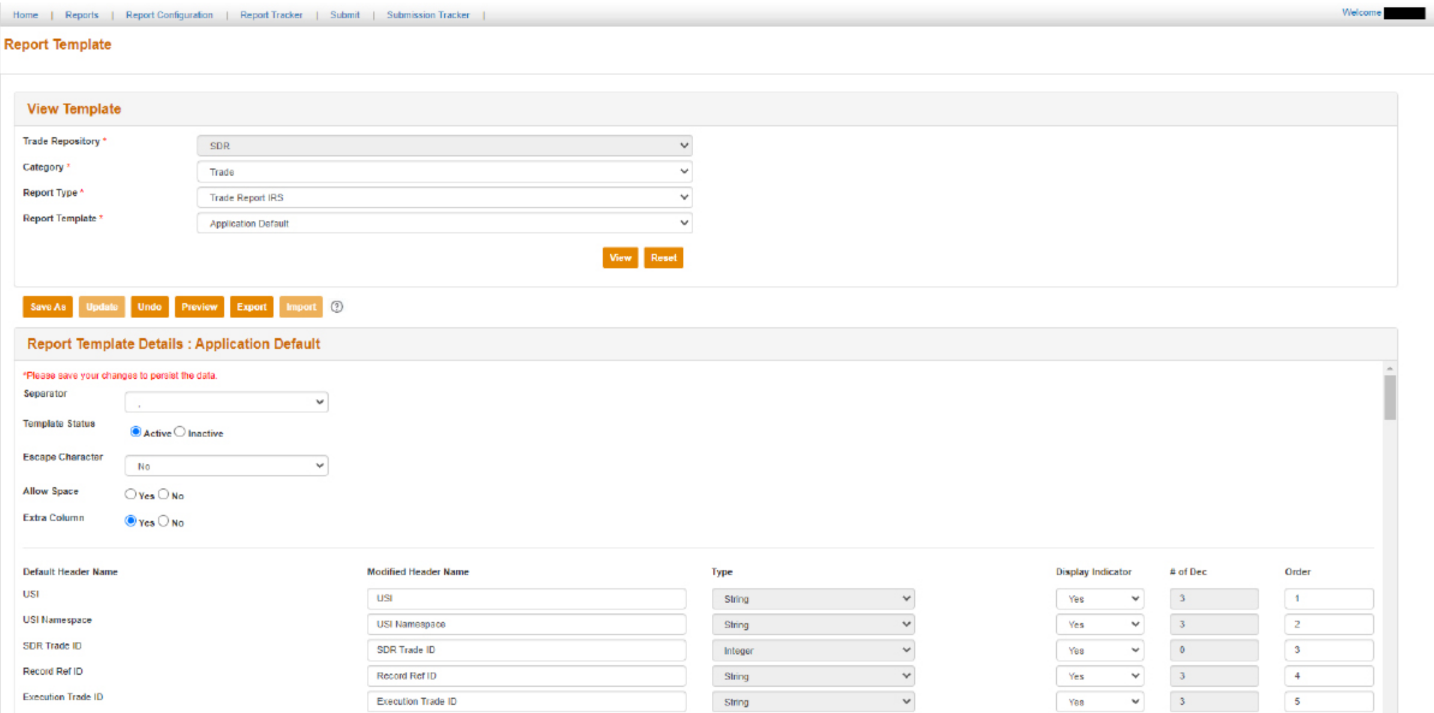
Figure 9: Screenshot of the Report Template page showing customizable options to create a new report view template.



- Under the *Report Template Details*, user can input custom field names that will be displayed as headers on the report, choose whether to display or hide a specific field, and the field sequence in which they will appear on the report.

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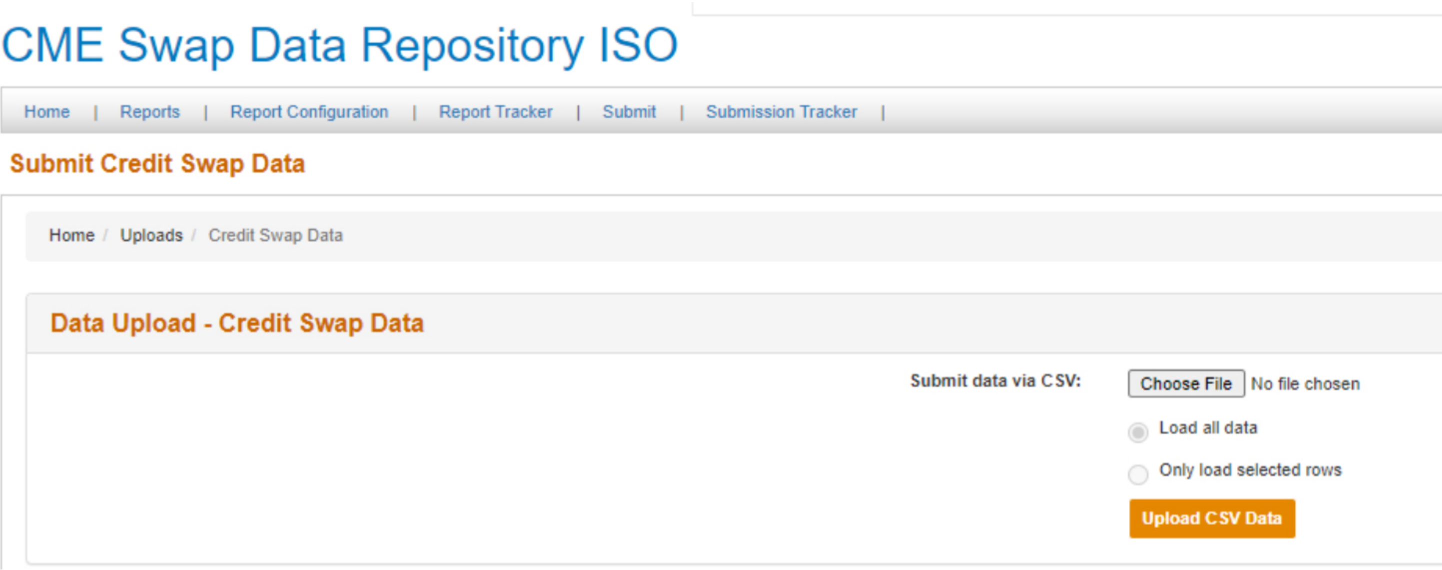
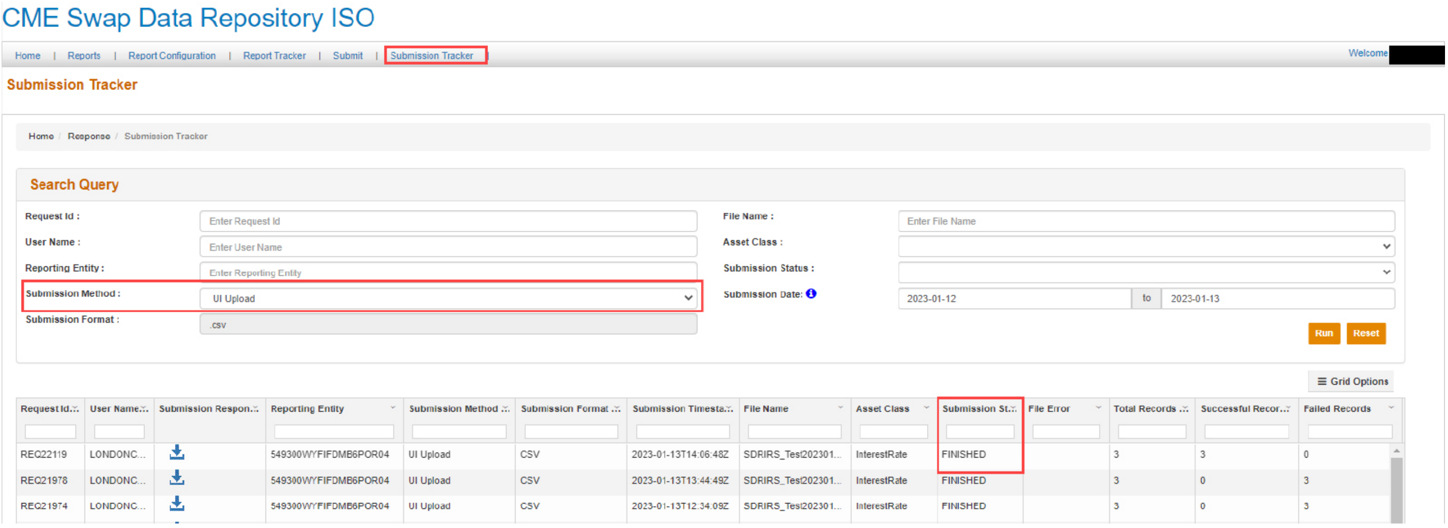
9. Submissions

• 9a – User Interface Submissions

- Step 1: Navigate to the option corresponding to the asset class you wish to submit under the *Submit* option in the top set of navigation options
- Step 2: Click *Choose File* and select the submission file you would like to submit
- Step 3: Select a data quantity option
- Step 4: Click *Upload CSV Data*



- Step 5: Navigate to Submission Tracker screen to access ACK/NACK



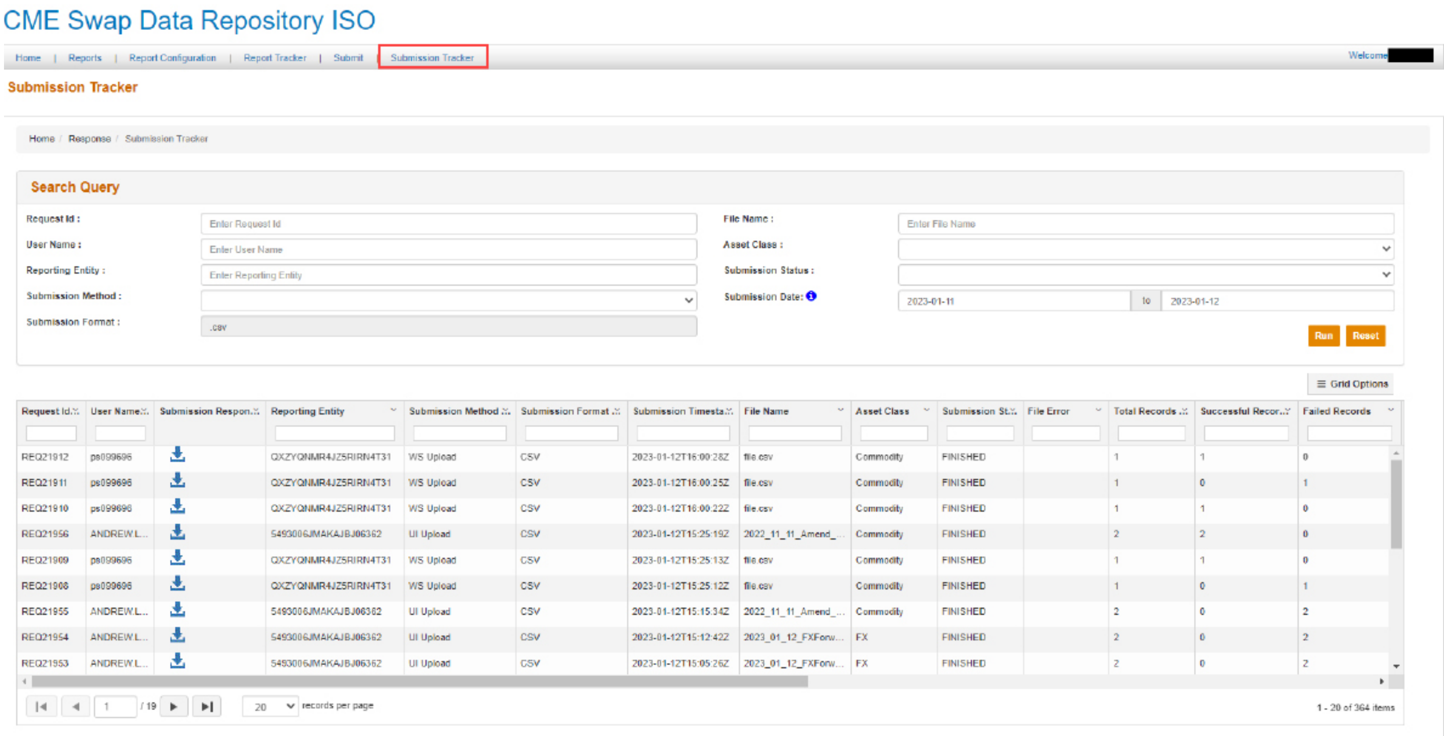
- **9b – Web Services**
  - Web services instructions available upon request at repositorysupport@cmegroup.com
- **9c – FTP**
  - To request FTP folder please reach out to repositorysupport@cmegroup.com
    - Step 1: Connect to FTP
    - Step 2: Enter credentials
    - Step 3: Navigate to Incoming Directory
    - Step 4: Add desired file to Incoming Directory (either drop or upload)

10. Submission Tracker

- The submission tracker allows users to monitor the status of submissions they have made
- Navigate to the *Submission Tracker* option in the top set of navigation options
- User has multiple search query options for filtering search results. These options are:
  - Request Id
  - User Name
  - Reporting Entity
  - Submission Method
  - File Name
  - Asset Class
  - Submission Status
  - Submission Date(Date Range)
- Once the user has selected their desired criteria, they then click the "Run" button to generate results
- If the user would like to run another query, they can use the "Reset" button to clear their search criteria
- Once search results have been populated there will be a set of fields which describe each entry that matches the search. Some fields to note are:
  - Submission Response - This field allows the user to download the response that was generated for their submission

- Submission Status - This tells a user where the particular submission is in the submission workflow process. Values that can be populated here are:
  - Finished – the upload has completed
  - Queuing – the submission file is in line to be uploaded, but the process has not begun
  - Upload In Progress – the specified submission is currently being uploaded
  - In Progress
  - Failed
  - Upload Failed – the submission file had an error that must be fixed by the user
  - Invalid – the upload has been rejected because it is not in the correct format
  - Blocked – the user did not have permission to upload

Figure 10: Screenshot of the Submission Tracker Page with highlighted box around the Submission Tracker Top Navigation Bar option selected



11. Web Services Submissions

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