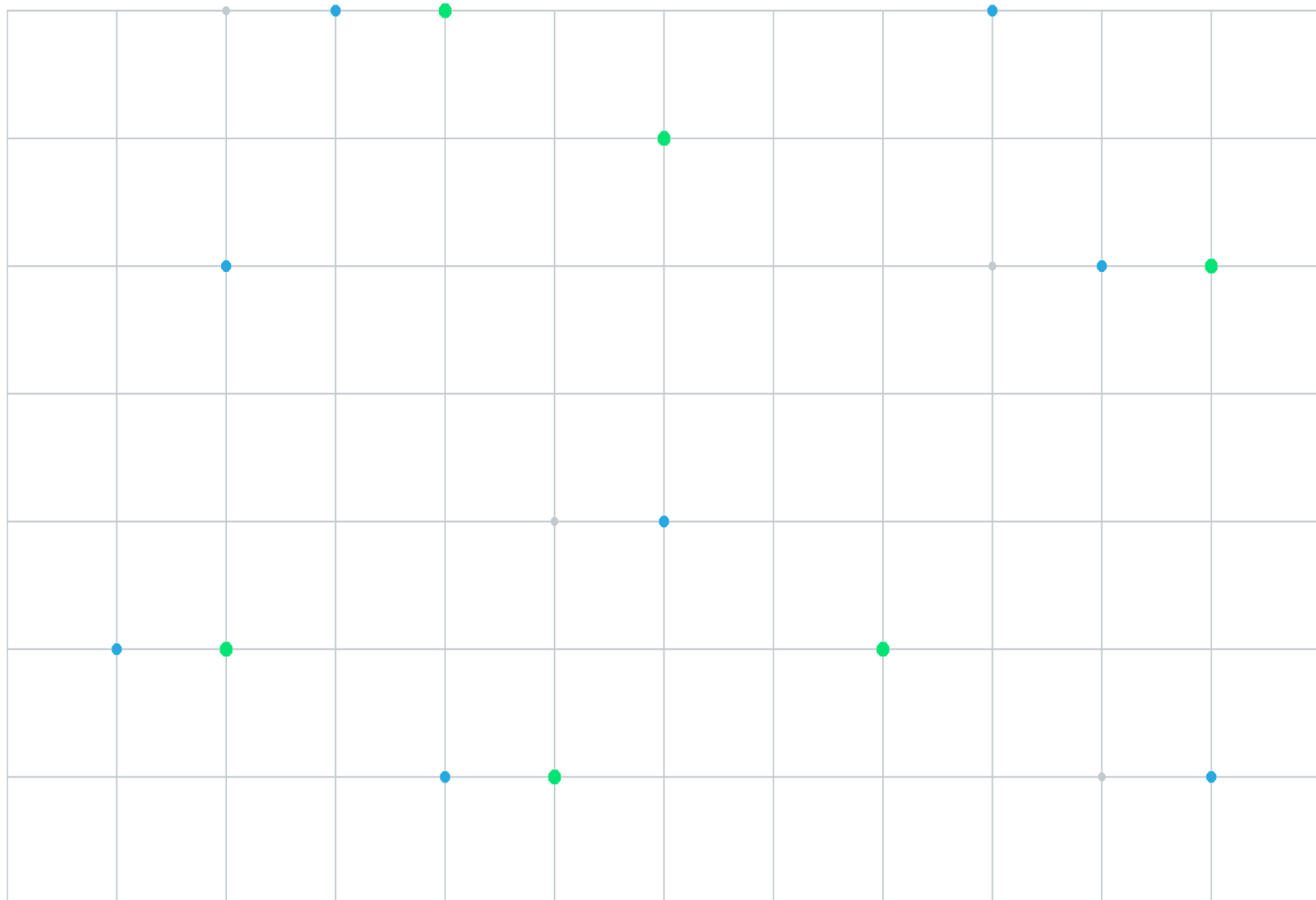


# AutoCert+ Risk Management Interface (RMI) API User Manual

20 October 2022



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# Getting Started

The AutoCert+ tool is an automated testing tool for validating application functionality. It provides an easy-to-use web interface for walking through CME Group certification scenarios.


To facilitate the process of connecting a customer application to CME Globex, CME Group provides a dedicated certification environment to allow customers to test their systems before they complete certification.

The AutoCert+ Risk Management Interface (RMI) API tests focus on verifying that client systems can connect to the RMI API using session-based and session-less connectivity.


 **Note:** RMI API testing includes two sets of test cases. One is for client systems that support session-based connectivity, and the other applies to client systems that support session-less connectivity.

## To run and navigate AutoCert+:

1. [Log into](#) the automated certification tool.
2. Review general AutoCert+ test suite [navigation](#) and [general interview](#) information.
3. Navigate to the AutoCert+ Risk Management Interface (RMI) API test suite.

Current Testing Configuration			
Tester:	Tom Tester	Type:	Semi-Automated Trading System
Company Profile:	Trading Firm	Category:	Prop System
Market:	Futures & Options	1603:	System1
Purpose:	RMI	1604:	1
Application System:	System1 	1605:	System3
Test Suite:	RMI API		
NOTE: This test suite utilizes the NEWRELEASE environment.			
Sendercomp: BDL12JA UNASSIGN		Test Suite Status:	
		Pre-Certification Interview: <span style="color: green; font-weight: bold;">✔ Complete</span>	
		Test Suite Status: <span style="color: blue; font-weight: bold;">In Progress</span>	

- a. Select a **Company Name**.
- b. For Market, select **Futures & Options**.
- c. For Purpose, select **RMI**.
- d. Select an **Application System**.
 

Use the refresh () button to update the list to include recently created Application Systems.
- e. For Test Suite, select **RMI API**.
4. Complete the [Interview](#) for this test suite.
5. Complete applicable test cases.
6. Complete the [Post Certification](#) questionnaire.

## What's New

The list below illustrates the updates made to the AutoCert+ Risk Management Interface (RMI) API Help system.

Date	Topic	Description
Oct 20, 2022	Format	Website and PDF format changes only.
April 16, 2014	All	Updated links and edited to meet Help standards.
July 20, 2012	All <a href="#">Order Mass Action Request</a> <a href="#">Order Mass Action Request (Session-less)</a>	Updated all existing content. Formatted according to new ACP Help system standards. Included new test cases.
February 2, 2012	All	Original draft.

## RMI API Interview

The interview consists of a series of questions about your application. Based on your responses, certain tests are required and others are optional. You must complete the pre-certification interview before running the test cases.

To complete the interview, select **Yes** or **No** to the questions regarding whether or not your system supports Order Routing Permissioning, Product Reference Requests, Current Prevent Instructions Requests, and Cancel Instruction Requests.

In addition, you must determine if your system supports session-based or session-less RMI API connectivity.



**Note:** Session-based tests require a client system to perform Logon and Logout functions.

After answering the Interview questions, click the **Complete** button.

The screenshot shows the 'Interview' tab of the RMI API Interview form. The form contains the following questions and options:

- What type of connectivity does your system support?**
  - ☒ Session Based RMI API connectivity
  - ☐ Session Less RMI API connectivity
- Does your system support Order Routing Permissioning via the RMI API?**
  - ☒ Yes
  - ☐ No
- Does your system support Product Reference Requests via the RMI API?**
  - ☒ Yes
  - ☐ No
- Does your system support Current Prevent Instructions Requests via the RMI API?**
  - ☒ Yes
  - ☐ No
- Does your system support cancel instruction requests via the RMI API?**
  - ☒ Yes
  - ☐ No

At the bottom of the form, there is an orange **Complete** button.

# Session Based/Order Routing/Product Reference Tests

# RMI API Session-Based Connectivity

## 1. Session-Based Connectivity

This test verifies that you can connect to the RMI API using session based connectivity, and that your system maintains the correct request number.

This test is mandatory if the [interview](#) response is:

- What types of connectivity does your system support: **Session-based RMI API connectivity**

Interview
Test Suite
**Test Case**
Post Certification
Help

### Steps of the test: RMI API Session-Based Connectivity

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
The purpose of this test is to verify that the client systems can connect to the RMI API using session based connectivity. The test also verifies that the system maintains the correct request number. Here the client system is asked to perform Logon and Logout functionality.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
START TEST

	Description	Status
1	Over an RMI API connection, submit a User Request - Logon message. [Ensure SiD in the message is same as the assigned SenderComp ID]	
2	Receive and process a User Response - Logon Confirmation message	
3	Submit a Logout message	
4	Receive and process a User Response - Logout Confirmation message	

REFRESH
Key: not tested complete pending failed

### To test session-based connectivity:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, submit and receive the following messages:

1. Submit [User Request - Logon](#)

**Note:** Submit the Logon message over the RMI API.

2. Receive [User Request - Logon Confirmation](#)
3. Submit [Logout](#)
4. Receive User Request - Logout Confirmation



# RMI API Order Routing Permissioning

## 2. Order Routing Permissioning

This test verifies that clearing members (CMs) are able to route the entitlement definition request over the RMI API, and checks the capability of those CMs to block and unblock the order entry for a trading firm.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-based RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

[Interview](#)
[Test Suite](#)
[Test Case](#)
[Post Certification](#)
[Help](#)

### Steps of the test: RMI API Order Routing Permissioning - Session Based

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
 The purpose of this test is to verify that the Clearing Members (CMs) are able to route the entitlement definition request over the RMI API. This test checks the capability of the CMs to block and unblock the order entry for a trading firm.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
 START TEST

Description	Status
1 Over an RMI API connection, submit a User Request - Logon message. [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process a User Response - Logon Confirmation message	
3 Submit a Party Entitlement Definition Request to prevent order entry	
4 Receive and process the Party Entitlement Definition Request Acknowledgement	
5 Submit a Party Entitlement Definition Request to allow order entry	
6 Receive and process the Party Entitlement Definition Request Acknowledgement	
7 Submit a Logout message	
8 Receive and process a User Response - Logout Confirmation message	

REFRESH

Key: not tested complete pending failed

### To test order routing permissioning:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, submit and receive the following messages:

1. Submit [User Request - Logon](#)

**Note:** In the message, ensure SID is the same as the assigned SenderCompID.

2. Receive [User Request - Logon Confirmation](#)
3. Submit [Party Entitlement Definition Request](#) to prevent order entry
4. Receive [Party Entitlement Definition Request Acknowledgement](#)
5. Submit [Party Entitlement Definition Request](#) to allow order entry
6. Receive [Party Entitlement Definition Request Acknowledgement](#)

7. Submit [Logout](#)
8. Receive [User Request - Logout Confirmation](#)

## Order Routing Permissioning (Session-less)

This test verifies that clearing members (CMs) are able to route the entitlement definition request over the RMI API, and checks the capability of those CMs to block and unblock the order entry for a trading firm.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-less RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

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[Help](#)

### Steps of the test: RMI API Order Routing Permissioning - Session Less

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step 1.

**Purpose**  
 The purpose of this test is to verify that the Clearing Members (CMs) are able to route the entitlement definition request over the RMI API. This test checks the capability of the CMs to block and unblock the order entry for a trading firm.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
 [START TEST](#)

Description	Status
1 Over an RMI API connection, submit a Party Entitlement Definition Request to prevent order entry (Ensure SID in the message is same as the assigned SenderComp ID)	
2 Receive and process the Party Entitlement Definition Request Acknowledgement	
3 Submit a Party Entitlement Definition Request to allow order entry	
4 Receive and process the Party Entitlement Definition Request Acknowledgement	

Key: not tested complete pending failed

[REFRESH](#)

### ▶ To test session-less order routing permissioning:

Click **START TEST** to begin.

For the RMI API Session-Less Connectivity test, submit and receive the following messages:

1. Submit [Party Entitlement Definition Request](#) to prevent order entry
2. Receive [Party Entitlement Definition Request Acknowledgement](#)
3. Submit [Party Entitlement Definition Request](#) to allow order entry
4. Receive [Party Entitlement Definition Request Acknowledgement](#)

# RMI API Product Reference Requests

## Product Reference Requests

This test verifies that a client system can request the RMI API to get product references. These references can be made with respect to the following:

- All product groups
- CME product groups (products grouped by exchange)
- CME futures (product groups within the specific exchange by security type)

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-based RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

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[Help](#)

### Steps of the test: RMI API Product Reference Requests - Session Based

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step 1.

**Purpose**  
 The purpose of this test is to verify that the client system can request the RMI API to get the product references. The references can be made with respect to all product groups, product groups by exchange and product groups within the specific exchange by security type.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
 START TEST

Description	Status
1 Over an RMI API connection, submit a User Request - Logon message. [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process a User Response - Logon Confirmation message	
3 Submit a Security List Request message for all product groups	
4 Receive and process the Security List message	
5 Submit a Security List Request message for CME product groups	
6 Receive and process the Security List message	
7 Submit a Security List Request message for CME futures	
8 Receive and process the Security List message	
9 Submit a Logout message	
10 Receive and process a User Response - Logout Confirmation message	

Key: not tested complete pending failed

### To test product reference requests:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, submit and receive the following messages:

1. Submit [User Request - Logon](#)
2. Receive [User Request - Logon Confirmation](#)
3. In steps 3-7, submit [Security List Requests](#) then receive corresponding [Security List responses](#) for all product groups, CME product groups, and CME futures, respectively.

4. Submit [Logout](#)
5. Receive [User Request - Logout Confirmation](#)

## Product Reference Requests (Session-less)

This test verifies that a client system can request the RMI API to get product references. These references can be made with respect to the following:

- All product groups
- CME product groups (products grouped by exchange)
- CME futures (product groups within the specific exchange by security type)

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-based RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

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### Steps of the test: RMI API Product Reference Requests - Session Less

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
 The purpose of this test is to verify that the client system can request the RMI API to get the product references. The references can be made with respect to all product groups, product groups by exchange and product groups within the specific exchange by security type.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
 [START TEST](#)

Description	Status
1 Over an RMI API connection, submit a Security List Request message for all product groups [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process the Security List message	
3 Submit a Security List Request message for CME product groups	
4 Receive and process the Security List message	
5 Submit a Security List Request message for CME futures	
6 Receive and process the Security List message	

[REFRESH](#)

Key: not tested complete pending failed

### To test session-less product reference requests:

Click **START TEST** to begin.

- In steps 1-6, submit [Security List Requests](#) then receive corresponding [Security List responses](#) for all product groups, CME product groups, and CME futures, respectively.

# Prevent / Reject / Order Mass Action Tests

# RMI API Current Prevent Instructions

## Current Prevent Instructions

This test determines which customer accounts are currently blocked from trading.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-based RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

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### Steps of the test: RMI API Current Prevent Instructions - Session Based

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step 1.

**Purpose**  
The purpose of this test is to determine which of their customer accounts is currently blocked from trading at that particular point of time.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
START TEST

Description	Status
1 Over an RMI API connection, submit a User Request - Logon message. [Ensure SiD in the message is same as the assigned SenderComp ID]	
2 Receive and process a User Response - Logon Confirmation message	
3 Submit a Party Entitlement Definition Request to prevent order entry	
4 Receive and process the Party Entitlement Definition Request Acknowledgement	
5 Submit a Party Entitlements Request to determine current prevent instructions	
6 Receive and process the Party Entitlements Report	
7 Submit a Logout message	
8 Receive and process a User Response - Logout Confirmation message	

REFRESH

Key: not tested complete pending failed

### To test current prevent instructions:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, submit and receive the following messages:

1. Submit [User Request - Logon](#)
2. Receive [User Request - Logon Confirmation](#)
3. Submit [Party Entitlement Definition Request](#) to prevent order entry
4. Receive [Party Entitlement Definition Request Acknowledgement](#)
5. Submit [Party Entitlement Definition Request](#) to determine prevent instructions
6. Receive [Party Entitlements Report](#)
7. Submit [Logout](#)
8. Receive User Request - Logout Confirmation

## Current Prevent Instructions (Session-less)

This test determines which customer accounts are currently blocked from trading.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-less RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

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### Steps of the test: RMI API Current Prevent Instructions - Session Less

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step 1.

**Purpose**  
The purpose of this test is to determine which of their customer accounts is currently blocked from trading at that particular point of time.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
START TEST

	Description	Status
1	Over an RMI API connection, submit a Party Entitlement Definition Request to prevent order entry [Ensure SID in the message is same as the assigned SenderComp ID]	
2	Receive and process the Party Entitlement Definition Request Acknowledgement	
3	Submit a Party Entitlements Request to determine current prevent instructions	
4	Receive and process the Party Entitlements Report	

Key: not tested complete pending failed

REFRESH

### To test session-less current prevent instructions:

Click **START TEST** to begin.

For the RMI API Session-Less Connectivity test, submit and receive the following messages:

1. Submit [Party Entitlement Definition Request](#)
2. Receive [Party Entitlement Definition Request Acknowledgement](#)
3. Submit [Party Entitlement Definition Request](#) to determine prevent instructions
4. Receive [Party Entitlements Report](#)

# RMI API Rejection Scenario

## Rejection Scenario

This test verifies that for instances when a client system does not send messages in proper format, the API generates a business reject message. In addition, the test verifies that a client system can process the business reject message.

This test is mandatory if the [interview](#) response is:

- What types of connectivity does your system support: **Session-less RMI API connectivity**

Interview
Test Suite
**Test Case**
Post Certification
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### Steps of the test: RMI API Rejection Scenario - Session Based

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
The purpose of this test is to verify that, when the client system does not send messages in proper format, the API generates the business reject message. Also, the client systems should be able to process the business reject message.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
START TEST

Description	Status
1 Over an RMI API connection, submit a User Request - Logon message. [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process a User Response - Logon Confirmation message	
3 Submit a Party Entitlement Definition Request to prevent order entry	
4 Receive and process the Business Message Reject	
5 Submit a Party Entitlement Definition Request to prevent order entry	
6 Receive and process the Party Entitlement Definition Request Acknowledgement	
7 Submit a Logout message	
8 Receive and process a User Response - Logout Confirmation message	

Key: not tested complete pending failed

REFRESH

### To run a rejection scenario test:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, receive and submit the following messages:

1. Submit [User Request - Logon](#)
2. Receive [User Request - Logon Confirmation](#)
3. Submit [Party Entitlement Definition Request](#) to prevent order entry
4. Receive [Business Message Reject](#)
5. Submit [Party Entitlement Definition Request](#) to prevent order entry
6. Receive [Party Entitlements Definition Request Acknowledgement](#)
7. Submit [Logout](#)
8. Receive [User Request - Logout Confirmation](#)



## Rejection Scenario (Session-less)

This test verifies that for instances when a client system does not send messages in proper format, the API generates a business reject message. In addition, the test verifies that a client system can process the business reject message.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-less RMI API connectivity**

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### Steps of the test: RMI API Rejection Scenario - Session Less

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
The purpose of this test is to verify that, when the client system does not send messages in proper format, the API generates the business reject message. Also, the client systems should be able to process the business reject message.

**Note:** Press the Start Test button to start or restart a Test. Please do not press the Start Test button again if you are currently running this test.
START TEST

Description	Status
1 Over an RMI API connection, submit a Party Entitlement Definition Request to prevent order entry [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process the Business Message Reject	
3 Submit a Party Entitlement Definition Request to prevent order entry	
4 Receive and process the Party Entitlement Definition Request Acknowledgement	

REFRESH

Key: not tested complete pending failed

### ▶ To run a session-less rejection scenario test:

Click **START TEST** to begin.

For the RMI API Session-Less Connectivity test, receive and submit the following messages:

1. Submit [Party Entitlement Definition Request](#) to prevent order entry
2. Receive [Business Message Reject](#)
3. Submit [Party Entitlement Definition Request](#) to prevent order entry
4. Receive [Party Entitlements Definition Request Acknowledgement](#)

# RMI API Order Mass Action Request

## Order Mass Action Request

This test verifies that a client system allows a Clearing Member Firm (CMF) to submit instructions to cancel working orders, including Good Till Cancel and Good Till Date order types at the Execution Firm, Account and Exchange levels.

This test is mandatory if the [interview](#) responses are:

- What types of connectivity does your system support: **Session-based RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**

[Interview](#)
[Test Suite](#)
[Test Case](#)
[Post Certification](#)
[Help](#)

### Steps of the test: RMI API Order Mass Action Request - Session Based

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step 1.

**Purpose**  
 The purpose of this test is to verify that Client system will allow CMF to submit instructions to cancel working orders, including Good Till Cancel and Good Till Date order types at the Execution Firm, Account and Exchange levels.

Description	Status
1 Over an RMI API connection, submit a User Request - Logon message. [Ensure SID in the message is same as the assigned SenderComp ID]	
2 Receive and process a User Response - Logon Confirmation message	
3 Submit Order Mass Action Request	
4 Receive and process the Order Mass Action Report	
5 Submit a Logout message	
6 Receive and process a User Response - Logout Confirmation message	

Key: not tested complete pending failed

[REFRESH](#)

### ▶ To run an order mass action request test:

Click **START TEST** to begin.

For the RMI API Session-Based Connectivity test, submit and receive the following messages:

1. Submit [User Request - Logon](#)
2. Receive [User Request - Logon Confirmation](#)
3. Submit [Order Mass Action Request](#)
4. Receive [Order Mass Action Report](#)
5. Submit [Logout](#)
6. Receive [User Request - Logout Confirmation](#)

## Order Mass Action Request (Session-less)

This test verifies that a client system allows a Clearing Member Firm (CMF) to submit instructions to cancel working orders, including Good Till Cancel and Good Till Date order types at the Execution Firm, Account and Exchange levels.

This test is mandatory if the [interview](#) responses are:



- What types of connectivity does your system support: **Session-less RMI API connectivity**
- Does your system support order routing permissioning via the RMI API: **Yes**





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### Steps of the test: RMI API Order Mass Action Request - Session Less

This test could take up to several minutes. Please do not close the window during the test. Closing window/stopping test requires to rerun the test from step1.

**Purpose**  
The purpose of this test is to verify that Client system will allow CMF to submit instructions to cancel working orders, including Good Till Cancel and Good Till Date order types at the Execution Firm, Account and Exchange levels.

Description	Status
1 Submit Order Mass Action Request	
2 Receive and process the Order Mass Action Report	

 not tested
 complete
 pending
 failed

**REFRESH**

▶ **To run a session-less order mass action request test:**

Click **START TEST** to begin.

For the RMI API Session-Less Connectivity test, submit and receive the following messages:

1. Submit [Order Mass Action Request](#)
2. Receive [Order Mass Action Report](#)