

AGREEMENT

Requesting firm acknowledges and agrees that it has executed and delivered to OneChicago, concurrently with its signature below, a “Session Request Form”.

This Session Request Form must be signed by (1) an authorized representative of the Clearing Firm or (2) a Responsible Administrator as defined in OneChicago Rule 153, hereby authorizing the action outlined in this document for the designated “Requesting Firm”. Pursuant to this Session Request Form Agreement, the Clearing Firm agrees to pay all fees as a result of this Session Request.

Any changes to existing sessions may be made only by completing a Session Request Form and delivering a completed form to OneChicago.

An Authorized Representative of the Clearing Firm or a Responsible Administrator should return this document to operations@onechicago.com.

REQUESTING FIRM

Firm Name _____

EXCHANGE USE ONLY

Customer ID _____

SO-Number _____

SESSION REQUEST FORM



FIRM DESIGNATION

REQUESTING FIRM IS

A Clearing Firm

Executing business through
an authorized Clearing Firm



Clearing Firm Name

.....

Clearing Firm Number

.....

Customer ID¹

.....

SESSION REQUEST

REQUEST ACTION

Add

Remove

PLEASE SELECT THE FOLLOWING ITEMS

For each item selected please complete the appropriate supplement section.

FIX API Access



FIX API SESSION SUPPLEMENT

Front-End Platform Access



FRONT-END LOGIN SUPPLEMENT

Risk Group Designation



RISK GROUP SUPPLEMENT

¹For information regarding obtaining a Customer ID please contact the exchange operations.

FIX API SESSION SUPPLEMENT

ENVIRONMENT

FIX API sessions are only accessible via a direct connection to the exchange. Access is granted upon the completion of a “Connectivity Request Form” and a “Connectivity Services Agreement” (CSA). Please contact operations@onechicago.com for more information regarding these documents. Production and User Acceptance Testing (UAT) environments are located in separate geographical locations.

Production

User Acceptance Testing

SESSION INFORMATION

Upon the successful processing of this request, the exchange will provide the FIX session IDs, target IPs and ports for the number of requested sessions. The developer specification for the FIX Order Entry API is located on the public FTP site, [Delta1 FIX 4.4 Messages and Content](#). More information regarding the self-trade prevention feature is located in the FIX Order Entry API Specification Document. If self-trade prevention is selected, all users from this supplement will share a self-trade prevention group.

Self-Trade Prevention

Number of Requested FIX Sessions _____

Number of Sessions per FIX Gateway _____

Anticipated Message Rate Per Gateway _____

RISK MANAGEMENT

All trading sessions must be linked to a risk group. Risk groups are managed by designated members of the clearing firm. More information regarding risk groups and access is located on the “Risk Group Supplement”. If the fix session IDs on this request require a new risk group, please fill out the attached “Risk Group Supplement”.

Existing Risk Group Name: _____

New Risk Group

FIX API SESSION SUPPLEMENT (CONTINUED)

FOR SESSION REMOVAL ONLY

Please list the FIX sessions to be removed. Note if the removal of the listed sessions leaves 0 remaining on a fix gateway, the gateway will be decommissioned.

-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----

SESSION REQUEST FORM

FRONT-END LOGIN SUPPLEMENT

ENVIRONMENT

Front-end logins can access the exchange via a site-to-site VPN or a direct connection. Access is granted upon the completion of a "Connectivity Request Form" and a "Connectivity Services Agreement" ("CSA"). Please contact operations@onechicago.com for more information regarding these documents. Production and User Acceptance Testing (UAT) environments are located in separate geographical locations.

Production

User Acceptance Testing

LOGIN INFORMATION

Upon the successful processing of this request, the exchange will provide the front-end logins, target IPs and connection IDs for the logins requested. Each login is placed into a trading group. Logins in the same group will receive acknowledgments for all orders and bilaterally reported trades submitted to the exchange by each member of the group. Group members can update and cancel orders, as well as cancel, accept, and decline bilaterally negotiated trade invitations. To eliminate this level of shared access between logins, please request that each login be appropriated to separate groups.

Please use the spaces below to indicate the number of desired logins per trading group, where each space represents a separate group. Cells left empty are 0.

Group 1	Group 5	Group 5
Group 2	Group 6	Group 6
Group 3	Group 7	Group 7
Group 4	Group 8	Group 8

RISK MANAGEMENT

All front-end logins must be linked to a risk group. Risk groups are managed by designated members of the clearing firm. More information regarding risk groups and access is located on the "Risk Group Supplement". If the front-end logins require a new risk group, please fill out the attached "Risk Group Supplement".

Existing Risk Group Name:

New Risk Group

FRONT-END LOGIN SUPPLEMENT (CONTINUED)

FOR SESSION REMOVAL ONLY

Please list the specific front-end logins to be removed by this request. Note that if the removal leaves a trading group with 0 remaining logins, the trading group will be removed.

-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----
-----	-----	-----	-----

RISK GROUP SUPPLEMENT

INFORMATION

Risk groups are managed by designated representatives of the clearing firm. The risk group is designed to mitigate the overall risk to the clearing firm by restricting the levels of the following items:

- ✓ Number of contracts per order or bilaterally reported transaction
- ✓ Notional value per order or bilaterally reported transaction
- ✓ Daily notional value of all executed transactions + working orders
- ✓ Restricted securities list
- ✓ Upper and lower limit price banding

The above risk limits can be modified intra-day. For more information regarding gaining access to the risk management front-end please have the designated risk managers contact operations@onechicago.com. Note that a site-to-site VPN or a direct connect to the exchange is required for access to this platform.

Existing Risk Group Name:

New Risk Group

ENVIRONMENT

Production

User Acceptance Testing

TRADING PERMISSIONS

Trading permissions limit the types of access to the market place for all front-end logins and FIX sessions registered to the risk group. Only a clearing firm may update the following limits:

CENTRAL LIMIT ORDER BOOK (CLOB)

Single Stock Future (SSF)

Calendar Spreads (SSF)

BILATERAL TRADE REPORTING

Block

Exchange Future for Physical (EFP)

RISK GROUP SUPPLEMENT (CONTINUED)

WHITELIST NETWORKS

Access to both production and user acceptance testing (UAT) Risk Control applications are restricted by network. Please provide source networks to be whitelisted for access under the desired application URL. Please note that this service is available over general internet. A VPN or Direct Connect to Delta1 is not required for access to Risk Control applications.

Add
Remove

RISK MANAGERS

Below are the risk managers authorized to access the Risk Management Front-end and update risk limits as described in this document for the listed or requested risk group.

Name	
Title	Add
Email	Remove
Phone	

Name	
Title	Add
Email	Remove
Phone	

Name	
Title	Add
Email	Remove
Phone	

RISK GROUP SUPPLEMENT (CONTINUED)

RISK MANAGERS (CONT.)

Name	
Title	Add
Email	Remove
Phone	

SIGNATURE

Name
Title
Signature
Date