EGUS
Give-Up Screening Agreement

EGUS: Give-Up Screening Agreement

- New 2 Party Agreement (Executing Broker / Clearing Broker)

- Agreements initiated, approved, and stored electronically

- Effective and termination dates specified by the firms

- Agreement text modified as needed

- Risk Limits PDF uploaded via browse and attach feature

- Comments tracked, and changes requested electronically

FIATECH

Initiate Give-Up Agreement

Current State: **In Progress**

[Switch to Customer/Trader] [Cancel] [Save] [Save & Next]

Select Agreement

To create a new agreement:

Select a Standard Agreement   **Agreement ID:**

[Select a Standard Agreement Type ▼]

Enter all information including Parties, effective dates, jurisdiction, commission rates, and account numbers and amend / customize the agreement text if necessary.

—OR—

[Copy] any Saved Agreement

Modify / update all information including Parties, effective dates, jurisdiction, commission rates, and account numbers, and amend / customize the agreement text if necessary.

To version an existing executed agreement with the same Parties:

[Version] an Executed Agreement

Modify / update effective dates, jurisdiction, commission rates, and account numbers, and amend / customize the agreement text if necessary.

Select Parties

☐ Hide Agreement from other Parties while In Progress (until release to Review)

Party Role	Party Name	
Executing Broker		[Search]
Clearing Broker		[Search]
Trader		[Search]

Effective Dates

Assign Effective and Termination Dates (optional)

When executed, this agreement:

Shall become effective as of

[dd-MMM-yyyy]

If no effective date entered, executed date will be used as effective date.

And shall terminate on

[dd-MMM-yyyy]

Amend / Customize Agreement

I want to amend / customize:

○ Accounts and Rates and Text

◉ Accounts and Rates (but Not Text)

Insert Jurisdiction

This Agreement shall be exclusively governed by and construed in accordance with, the laws of

[Type the jurisdiction]

without regard to principles of choice of law.

FIA TECH

Agreements | My Queue | Directory | Tools | Admin

Login User : Train1 B1Processor   [Help] [Admin Help] [Logout]

Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement |

Initiate Give-Up Agreement   Current State: **In Progress**   Switch to Customer/Trader | Cancel | Save | Save & Next

Select Agreement

To create a new agreement: **Agreement ID:**

Select a Standard Agreement

Select a Standard Agreement Type ▼
Select a Standard Agreement Type
Standard Agreement - Customer (STDC)
Standard Agreement - Trader (STDT)
EFP Agreement - Customer (EFPC)
EFP Agreement - Trader (EFPT)
LME Agreement - Customer, Carrying Broker (LMECCB)
LME Agreement - Customer, Executing Member (LMECXM)
LME Agreement - Customer, Executing Member, Carrying Broker (LMECXMCB)
LME Agreement - Trader, Carrying Broker (LMETCB)
LME Agreement - Trader, Executing Member (LMETXM)
LME Agreement - Trader, Executing Member, Carrying Broker (LMETXMCB)
Give-Up Screening Agreement - Executing Broker, Clearing Broker (GUSA)

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Select Parties

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Party Role	Party Name	
Executing Broker		Search
Clearing Broker		Search
Trader		Search

FIA TECH

Initiate Give-Up Agreement

Current State: In Progress   Cancel | Save | Save & Next

Select Agreement

To create a new agreement: **Agreement ID:**

Select a Standard Agreement

| Give-Up Screening Agreement - Executing Broker, Clearing Broker (GUSA) ▼ |

Enter all information including Parties, effective dates, jurisdiction, commission rates, and account numbers and amend / customize the agreement text if necessary.

—OR—

[Copy] any Saved Agreement

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[Version] an Executed Agreement

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☐ Hide Agreement from other Parties while In Progress (until release to Review)

Party Role	Party Name	
Executing Broker		Search
Clearing Broker		Search

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Assign Effective and Termination Dates (optional)

When executed, this agreement:

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I want to amend / customize:

☐ Agreement Text

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FIA TECH

Initiate Give-Up Agreement

Current State: In Progress

Cancel | Save | Save & Next

Select Agreement

To create a new agreement: **Agreement ID:**

Select a Standard Agreement

Give-Up Screening Agreement - Executing Broker, Clearing Broker (GUSA)   ▼

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Select Parties

☐ Hide Agreement from other Parties while In Progress (until release to Review)

Party Role	Party Name	
Executing Broker	Broker1 Party	Search
Clearing Broker	Broker1b Institution	Search

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dd-MMM-yyyy

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And shall terminate on

dd-MMM-yyyy

Amend / Customize Agreement

I want to amend / customize:

☑ Agreement Text

Insert Jurisdiction

This Agreement shall be exclusively governed by and construed in accordance with, the laws of

New York

without regard to principles of choice of law.

FIA TECH

Login User : Train1 B1Processor   [Help] [Admin Help] [Logout]

Customize Agreement Text

Current State: **In Progress**

[View All Comments] [View Actions] [Preview Modifications] [Cancel] [Save] [Save & Next]

Agreement Parties

Agreement Id	40043713
Executing Broker	Broker1 Party Preceding Agreement
Clearing Broker	Broker1b Institution

Modify (add, substitute, or delete) one or more paragraphs

Select Save periodically to ensure you do not lose your changes as you work. When finished with all changes, select Save & Next

Agreement Paragraphs

Paragraph 1   [View Paragraph Comments]

Modification   Choose One ▼

Executing Broker and Clearing Broker have entered into, and intend, from time to time subsequent to the date hereof, to enter into, various agreements in the form of the International Uniform Brokerage Execution Services ("Give-Up") Agreement: Customer Version (each such agreement, an "FIA GUA"), as published by the Futures Industry Association ("FIA") and without material modification in the respective capacities of Executing Broker and Clearing Broker with respect to Customers that execute orders through Executing Broker to be given up to Customer's respective account(s) at Clearing Broker for clearing (each a "Customer").

Executing Broker and Clearing Broker have entered into, and intend, from time to time subsequent to the date hereof, to enter into, various agreements in the form of the International Uniform Brokerage Execution Services ("Give-Up") Agreement: Customer Version (each such agreement, an "FIA GUA"), as published by the Futures Industry Association ("FIA") and without material modification in the respective capacities of Executing Broker and Clearing Broker with respect to Customers that execute orders through Executing Broker to be given up to Customer's respective account(s) at Clearing Broker for clearing (each a "Customer").

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Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement |

Customize Agreement Text

Current State: **In Progress**

[View All Comments] [View Actions] [Preview Modifications] [Cancel] [Save] [Save & Next]

Agreement Parties

Agreement Id	40043713
Executing Broker	Broker1 Party	Preceding Agreement
Clearing Broker	Broker1b Institution

Modify (add, substitute, or delete) one or more paragraphs

Select Save periodically to ensure you do not lose your changes as you work. When finished with all changes, select Save & Next

Agreement Paragraphs

Paragraph 1   [View Paragraph Comments]

Executing Broker and Clearing Broker have entered into, and intend, from time to time subsequent to the date hereof, to enter into, various agreements in the form of the International Uniform Brokerage Execution Services ("Give-Up") Agreement: Customer Version (each such agreement, an "FIA GUA"), as published by the Futures Industry Association ("FIA") and without material modification in the respective capacities of Executing Broker and Clearing Broker with respect to Customers that execute orders through Executing Broker to be given up to Customer's respective account(s) at Clearing Broker for clearing (each a "Customer").

Modification   Choose One ▼

Choose One
Delete
Substitute from library
Insert new at end
Substitute With Custom Text

Executing Broker and Clearing Broker h from time to time subsequent to the da various agreements in the form of the I Brokerage Execution Services ("Give-U Version (each such agreement, an "FIA GUA"), as published by the Futures Industry Association ("FIA") and without material modification in the respective capacities of Executing Broker and Clearing Broker with respect to Customers that execute orders through Executing Broker to be given up to Customer's respective account(s) at Clearing Broker for clearing (each a "Customer").

FIA TECH

Login User : Train1 B1Processor   [Help] [Admin Help] [Logout]

Risk Limits

Current State: **In Progress**

   Cancel   Save   Save & Next

Parties

Agreement Id	40043713
Executing Broker	Broker1 Party
Clearing Broker	Broker1b Institution

Attach Risk Limits (Exhibit A)

Browse to select PDF file and attach. NOTE: Page Orientation must be Portrait.

[   ] Browse... **Attach**

Attached Risk Limits (Exhibit A)

   Cancel   Save   Save & Next

FIA TECH

Risk Limits

Current State: **In Progress**

Cancel | Save | Save & Next

Parties

Agreement Id	40043713
Executing Broker	Broker1 Party
Clearing Broker	Broker1b Institution

Attach Risk Limits (Exhibit A)

Browse to select PDF file and attach. NOTE: Page Orientation must be Portrait.

[   ] Browse... Attach

Attached Risk Limits (Exhibit A)

Remove | Replace

☐ Risk Limits PDF Template 2013.pdf

Cancel | Save | Save & Next

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Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement

View / Manage Agreement

Current State: **In Progress**

Acting as Party / Role: Broker1 Party (Executing Broker)

[View Actions] [Switch Party] [View PDF] [Send to Review] [Delete] [Cancel]

ID and Dates   [Edit]

Agreement ID	40043713 [GUSA]
Preceding Agreement	
Following Agreement	
Jurisdiction	New York
Initiated on	04-Apr-2013 12:36:23 by Train1 B1Processor
Last Modified on	04-Apr-2013 12:43:30 by Train1 B1Processor
Executed on	
Effective Date	
Termination Date	

Parties   [Edit]

Executing Broker	Broker1 Party
Clearing Broker	Broker1b Institution

Comments   [Add Comments]

Risk Limits   [Edit]

Attached Risk Limits (Exhibit A)

Risk Limits PDF Template 2013.pdf

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Comments

AGREEMENT FOR EXECUTING BROKER TO SCREEN FOR CLEARING BROKER LIMITS[1]

This Agreement for Executing Broker to Screen for Clearing Broker Limits (the "Give-Up Screening Agreement") is made this ____ day of _____, _____ by and between Broker1 Party("Executing Broker") and Broker1b Institution("Clearing Broker"). This Give-Up Screening Agreement shall constitute an agreement within the meaning of CFTC Rule 1.73(a)(2)(iv) between the Executing Broker and Clearing Broker.

1. Executing Broker and Clearing Broker have entered into,and intend,from time to time subsequent to the date hereof,to enter into,various agreements in the form of the International Uniform Brokerage Execution Services ("Give-Up") Agreement: Customer Version (each such agreement,an "FIA GUA"),as published by the Futures Industry Association ("FIA") and without material modification in the respective capacities of Executing Broker and Clearing Broker with respect to Customers that execute orders through Executing Broker to be given up to Customer's respective account(s) at Clearing Broker for clearing (each a "Customer"). **TEXT CAN BE ADDED OR DELETED WITHIN EACH PARAGRAPH OF THE AGREEMENT. ALL CHANGES WILL SHOW ON FINAL AGREEMENT PDF.**

2. **Risk Limits.** Clearing Broker and Executing Broker hereby agree that the risk-based limits set forth in Exhibit A ("Risk Limits") shall apply to each Customer that executes an order through Executing Broker that is given up to Clearing Broker for clearing. The Risk Limits may be modified from time to time upon the agreement of Executing Broker and Clearing Broker. Nothing herein shall prevent the Executing Broker from applying a limit more stringent than the Risk Limits to a particular Customer.

3. **Screening Requirement.** Executing Broker agrees that it shall screen orders executed by a Customer to be given up to Clearing Broker for clearing for compliance with the Risk Limits, or a more stringent limit imposed by the Executing Broker on a particular Customer, in accordance with CFTC Rule 1.73(a)(2)(i) and (ii) (the "Screening Requirement").

4. If Executing Broker appoints an agent or other entity to screen for such orders in accordance with the Screening Requirement, Executing Broker shall cause such agent or entity to comply with the Screening Requirement.

5. **Waiver.** All waivers must be in writing signed by the party against whom it is to be enforced. The rights and remedies of Clearing Broker under this Give-Up Screening Agreement are cumulative and no waiver of any such right or remedy may be inferred from any failure by Clearing Broker to exercise such right or remedy, including, as an example, but without limitation, clearing a transaction that exceeds the Risk Limit.

6. **Termination.** This Give-Up Screening Agreement may be terminated by either of the parties hereto upon prior written notice to the other party. Any such termination notice by Executing Broker shall be accompanied by notice of termination of all applicable FIA GUAs pursuant to the terms of such agreements. Any termination of this Give-Up Screening Agreement shall have no effect upon any party's rights and obligations arising out of transactions executed prior to such termination.

Done | Unknown Zone | Protected Mode: On

Agreement   n Help] [Logout]

Search Give-Up Ag

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View / Manag   In Progress

Acting as Part   ete Cancel

Exhibit A
Risk Limits

ID and Dates   Edit

FIA TECH

Agreement ID

Preceding Agr

Following Agre

Jurisdiction   Risk Limits template represents the documentation between the Executing Broker and
                                    the Clearing Broker listed on the EGUS Agreement.

Initiated on   Customer specific details to be included as needed:

Last Modified

Executed on   • Item A
                                         • Item B
Effective Date   • Item C
Termination Da   • Item D

Parties   ** Risk Limits PDF must be loaded in the Portrait format. **

Executing Brok

Clearing Broke

Comments

Done   Unknown Zone | Protected Mode: On

Agreements | My Queue | Directory | Tools | Admin

Login User : Train1 B1Processor   [Help] [Admin Help] [Logout]

Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement

View / Manage Agreement

Current State: **In Progress**

Acting as Party / Role: Broker1 Party (Executing Broker)

[View Actions] [Switch Party] [View PDF] [Send to Review] [Delete] [Cancel]

ID and Dates		Edit

Agreement ID	40043713 [GUSA]
Preceding Agreement	
Following Agreement	
Jurisdiction	New York

Initiated on	04-Apr-2013 12:36:23 by Train1 B1Processor
Last Modified on	04-Apr-2013 12:43:30 by Train1 B1Processor
Executed on	
Effective Date	
Termination Date	

Parties		Edit

Executing Broker	Broker1 Party
Clearing Broker	Broker1b Institution

Comments	Add Comments

Risk Limits   Edit

Attached Risk Limits (Exhibit A)

Risk Limits PDF Template 2013.pdf

Agreements | My Queue | Directory | Tools | Admin

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[Help] [Admin Help] [Logout]

Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement

View / Manage Agreement

Current State: **In Progress**

Acting as Party / Role: Broker1 Party (Executing Broker)

View Actions | Switch Party | View PDF | Send to Review | Delete | Cancel

ID and Dates   Edit | **Risk Limits**   Edit

Agreement ID	40043713 [GUSA]
Preceding Agreement	
Following Agreement	
Jurisdiction	New York

Message from webpage ✕

⚠ All Processors have been notified that this Agreement is ready for review.

OK

Initiated on	04-Apr-2013 12:36:23 by Train1 B1Pr...
Last Modified on	04-Apr-2013 12:43:30 by Train1 B1Pr...
Executed on	
Effective Date	
Termination Date	

Parties   Edit

Executing Broker	Broker1 Party
Clearing Broker	Broker1b Institution

Comments   Add Comments

FIA TECH

| Agreements | My Queue | Directory | Tools | Admin |

Login User : Train1 B1Processor   [Help] [Admin Help] [Logout]

Search Give-Up Agreements | Initiate Give-Up Agreement | Search CDE Agreements | Initiate CDE Agreement |

My Give-Up Queue

Filters   Collapse

| Executing Broker | Name | Executing Account ID | Account ID |

| Clearing Broker | Name | Clearing Account ID | Account ID |

| Trader | Name | Select Party Role ▼ | Name |

| Customer | Name | Select Party Role ▼ | Name |

| Agreement ID | 40043713 |

| Agreement Type | Any ▼ |

| Where | Effective Date ▼ | is on or after ▼ | dd-MMM-yyyy |

Search   Reset

| All | In Progress | Review | Approval | Executed | Stale | Terminated |

ID	Status	Executing Broker	Q	X Accts	Rate Sch	Clearing Broker	Q	Clr Accts	Trader	Q	Customer	Q	Effective	Modified
40043713	Review	Broker1 Party	✗	0	0	Broker1b Institution	✗	0						04-Apr-2013