

ClearPort Registration Procedures

Clearing block trades, EFP's and other OTC products via Broker, CME ClearPort Facilitation Desk or Third-Party Matching.

TO BE COMPLETED BY CUSTOMER

1. Eligible Contract Participant ("ECP") Acknowledgment
If publically traded company, proof of financials can be provided in lieu of ECP acknowledgement
2. Register with CFTC
Counterparties to a swap transaction must register with CFTC and be issued a CFTC Interim Compliant Identifier (CICI). Registration must be completed through the following link:

<http://www.ciciutility.org>
3. Register with CME ClearPort
Applicant must read and agree to legal documents then submit registration information through the following link:

<http://www.cmegroup.com/clearport/registration.html>
4. Once the customer receives user name and password confirmation please provide ADMIS with the following information:
 - Account Number(s)
 - Name of at least one OTC broker allowed to enter trades on your behalf
 - ClearPort products and commodity codes to be cleared for the corresponding account number(s)
e.g. CL Light Crude

A full list of products and codes are located through the following link:
<http://www.cmegroup.com/trading/otc/index.html#sortKey=7&sortOrder=descending&SortType=number&FilterOn=//lcpcProductTO&PageStart=1&vertindex=0>
5. Please contact ADMIS to make edits to ClearPort registrations

TO BE COMPLETED BY ADMIS

1. Set up customer in ClearPort with the following parameters:
 - RAV Limit (intraday margin)
 - Selected OTC
 - Broker Firm(s)
 - Exchange (CBT, CME COMEX, DME, NYMEX)
 - Permissible Products selected within each exchange
 - Intraday Position Limit for each Product (Worst Long Position/Worst Short Position)
2. Notify Customer when set up is complete
3. New Accounts files completed ECP forms



ADM Investor Services, Inc.
1600A Board of Trade Building
141 W. Jackson Boulevard
Chicago, IL 60604
T 312.242.7000 F. 312.242.7045

ELIGIBLE CONTRACT PARTICIPANT

Customer Name _____

Customer Account Number _____

In order for you to qualify as an “Eligible Contract Participant” as defined by the Commodity Exchange Act Section 1a (18) you must represent to ADM Investor Services, Inc. that the above named Customer falls under one of the following categories noted. Please review the categories below and place an “X” in the applicable box for which the above named Customer qualifies:

The term “eligible contract participant” means:

(A) Acting for its own account—

- (i) a financial institution;
- (ii) an insurance company that is regulated by a State, or that is regulated by a foreign government and is subject to comparable regulation as determined by the Commission, including a regulated subsidiary or affiliate of such an insurance company;
- (iii) an investment company subject to regulation under the Investment Company Act of 1940 (15 U.S.C. 80a–1 et seq.) or a foreign person performing a similar role or function subject as such to foreign regulation (regardless of whether each investor in the investment company or the foreign person is itself an eligible contract participant);
- (iv) a commodity pool that—
 - (I) has total assets exceeding \$5,000,000; and
 - (II) is formed and operated by a person subject to regulation under this chapter or a foreign person performing a similar role or function subject as such to foreign regulation (regardless of whether each investor in the commodity pool or the foreign person is itself an eligible contract participant) provided, however, that for purposes of section 2 (c)(2)(B)(vi) of this title and section 2 (c)(2)(C)(vii) of this title, the term “eligible

contract participant” shall not include a commodity pool in which any participant is not otherwise an eligible contract participant;

(v) a corporation, partnership, proprietorship, organization, trust, or other entity—

(I) that has total assets exceeding \$10,000,000;

(II) the obligations of which under an agreement, contract, or transaction are guaranteed or otherwise supported by a letter of credit or keepwell, support, or other agreement by an entity described in subclause (I), in clause (i), (ii), (iii), (iv), or (vii), or in subparagraph (C); or

(III) that—

(aa) has a net worth exceeding \$1,000,000; and

(bb) enters into an agreement, contract, or transaction in connection with the conduct of the entity’s business or to manage the risk associated with an asset or liability owned or incurred or reasonably likely to be owned or incurred by the entity in the conduct of the entity’s business;

(vi) an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (29 U.S.C. 1001 et seq.), a governmental employee benefit plan, or a foreign person performing a similar role or function subject as such to foreign regulation—

(I) that has total assets exceeding \$5,000,000; or.

(II) the investment decisions of which are made by—

(aa) an investment adviser or commodity trading advisor subject to regulation under the Investment Advisers Act of 1940 (15 U.S.C. 80b–1 et seq.) or this chapter;

(bb) a foreign person performing a similar role or function subject as such to foreign regulation;.

(cc) a financial institution; or.

(dd) an insurance company described in clause (ii), or a regulated subsidiary or affiliate of such an insurance company;

(vii)

- (I)** a governmental entity (including the United States, a State, or a foreign government) or political subdivision of a governmental entity;.
- (II)** a multinational or supranational government entity; or.
- (III)** an instrumentality, agency, or department of an entity described in subclause (I) or (II); except that such term does not include an entity, instrumentality, agency, or department referred to in subclause (I) or (III) of this clause unless (aa) the entity, instrumentality, agency, or department is a person described in clause (i), (ii), or (iii) of paragraph (17)(A); (bb) the entity, instrumentality, agency, or department owns and invests on a discretionary basis \$50,000,000 or more in investments; or (cc) the agreement, contract, or transaction is offered by, and entered into with, an entity that is listed in any of subclauses (I) through (VI) of section 2 (c)(2)(B)(ii) of this title;.

(viii)

- (I)** a broker or dealer subject to regulation under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.) or a foreign person performing a similar role or function subject as such to foreign regulation, except that, if the broker or dealer or foreign person is a natural person or proprietorship, the broker or dealer or foreign person shall not be considered to be an eligible contract participant unless the broker or dealer or foreign person also meets the requirements of clause (v) or (xi);
- (II)** an associated person of a registered broker or dealer concerning the financial or securities activities of which the registered person makes and keeps records under section 15C(b) or 17(h) of the Securities Exchange Act of 1934 (15 U.S.C. 78o–5 (b), 78q (h));.
- (III)** an investment bank holding company (as defined in section 17(i) [2] of the Securities Exchange Act of 1934 (15 U.S.C. 78q (i));.

(ix)

a futures commission merchant subject to regulation under this chapter or a foreign person performing a similar role or function subject as such to foreign regulation, except that, if the futures commission merchant or foreign person is a natural person or proprietorship, the futures commission merchant or foreign person shall not be considered to be an eligible contract participant unless the futures commission merchant or foreign person also meets the requirements of clause (v) or (xi);.

(x)

a floor broker or floor trader subject to regulation under this chapter in connection with any transaction that takes place on or through the facilities of a registered entity (other than an electronic trading facility with respect to a significant price discovery contract) or an exempt board of trade, or any

affiliate thereof, on which such person regularly trades; or.

(xi) an individual who has amounts invested on a discretionary basis, the aggregate of which is in excess of—

(I) \$10,000,000; or

(II) \$5,000,000 and who enters into the agreement, contract, or transaction in order to manage the risk associated with an asset owned or liability incurred, or reasonably likely to be owned or incurred, by the individual;

(B) Acting as a broker or performing an equivalent agency function on behalf of another person —

(i) a person described in clause (i), (ii), (iv), (v), (viii), (ix), or (x) of subparagraph (A) or in subparagraph (C), acting as broker or performing an equivalent agency function on behalf of another person described in subparagraph (A) or (C); or.

(ii) an investment adviser subject to regulation under the Investment Advisers Act of 1940 [15 U.S.C. 80b–1 et seq.], a commodity trading advisor subject to regulation under this chapter, a foreign person performing a similar role or function subject as such to foreign regulation, or a person described in clause (i), (ii), (iv), (v), (viii), (ix), or (x) of subparagraph (A) or in subparagraph (C), in any such case acting as investment manager or fiduciary (but excluding a person acting as broker or performing an equivalent agency function) for another person described in subparagraph (A) or (C) and who is authorized by such person to commit such person to the transaction; or.

(C) Other

Any other person that the Commission determines to be eligible in light of the financial or other qualifications of the person.

By signing below, Customer hereby represents and warrants that it is now, and will remain an eligible contract participant within the meaning of section 1(a)(18)(A), (B) or (C) of the Commodity Exchange Act during the term of this authorization. Customer will provide immediate notification to ADMIS should Customer cease to meet the qualifications of an ECP at any time during Customer’s relationship with ADMIS. In addition, Customer understands that financials or similar documentation establishing itself as an ECP may be requested.

Customer shall indemnify, defend and hold ADMIS, its affiliates, directors, officers, stockholders, employees, agents, successors and assigns harmless from and against any and all liabilities, claims, losses, damages, costs and expenses, including reasonable attorneys' fees and expenses, incurred by ADMIS, arising from Customer's failure to fully and timely comply with CFTC Rules and Regulations.

Customer Name: _____ Date: _____

Signature: _____

Name & Title (print): _____