



**FIA TECH**

**EGUS**  
**Give-Up Screening Agreement**

# FIA TECH

## 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

## 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

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	<input type="text"/>	Search
Clearing Broker	<input type="text"/>	Search
Trader	<input type="text"/>	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.

## 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

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)

Agreement ID:

...ent numbers and amend / customize the agreement text if necessary.

...and account numbers, and amend / customize the agreement text if necessary.

...and / customize the agreement text if necessary.

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Party Role

Party Name

Executing Broker

Search

Clearing Broker

Search

Trader

Search

## 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

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

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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)

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dd-MMM-yyyy

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And shall terminate on

dd-MMM-yyyy

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I want to amend / customize:

Agreement Text

### Insert Jurisdiction

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Type the jurisdiction

without regard to principles of choice of law.

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Current State: In Progress

Cancel Save Save & Next

### Select Agreement

To create a new agreement:

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	<input type="text"/> Search
Clearing Broker	Broker1b Institution	<input type="text"/> 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:

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.

## 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

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").

## 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

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### Agreement Paragraphs

#### Paragraph 1

[View Paragraph Comments](#)

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#### Modification

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

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").



## 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](#)

## 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.

### Attached Risk Limits (Exhibit A)

[Risk Limits PDF Template 2013.pdf](#)

Cancel Save Save & Next

## 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](#)

<b>ID and Dates</b> <a href="#">Edit</a>	<b>Risk Limits</b> <a href="#">Edit</a>
Agreement ID 40043713 <a href="#">[GUSA]</a>	Attached Risk Limits (Exhibit A)
Preceding Agreement	<a href="#">Risk Limits PDF Template 2013.pdf</a>
Following Agreement	
Jurisdiction New York	
<hr/>	
Initiated on 04-Apr-2013 12:36:23 by <a href="#">Train1 B1Processor</a>	
Last Modified on 04-Apr-2013 12:43:30 by <a href="#">Train1 B1Processor</a>	
Executed on	
Effective Date	
Termination Date	
<b>Parties</b> <a href="#">Edit</a>	
Executing Broker <a href="#">Broker1 Party</a>	
Clearing Broker <a href="#">Broker1b Institution</a>	
<b>Comments</b> <a href="#">Add Comments</a>	

# FIA TECH

FIA TECH

Agreement Search Give-Up Ag

View / Manage

Acting as Party

ID and Dates

Agreement ID

Preceding Agreement

Following Agreement

Jurisdiction

Initiated on

Last Modified on

Executed on

Effective Date

Termination Date

Parties

Executing Broker

Clearing Broker

Comments

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https://fiaegus.uat.markit.com/egus/agreement/ViewManageAgreement.do?target=ViewPdf&calledFrom=ViewManageAgre [Lock] [Help] [Logout]

In Progress

Cancel

Edit

## AGREEMENT FOR EXECUTING BROKER TO SCREEN FOR CLEARING BROKER LIMITS<sup>1</sup>

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

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# FIA TECH

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Agreement Search Give-Up Ag

View / Manage

Acting as Party

ID and Dates

Agreement ID

Preceding Agreement

Following Agreement

Jurisdiction

Initiated on

Last Modified on

Executed on

Effective Date

Termination Date

Parties

Executing Broker

Clearing Broker

Comments

Done

Unknown Zone | Protected Mode: On

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https://fiaegus.uat.markit.com/egus/agreement/ViewManageAgreement.do?target=ViewPdf&calledFrom= - Win...

https://fiaegus.uat.markit.com/egus/agreement/ViewManageAgreement.do?target=ViewPdf&calledFrom=ViewManageAgreement

In Progress

Cancel

Edit

Help] [Logout]

## Exhibit A Risk Limits

### FIA TECH

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

Customer specific details to be included as needed:

- Item A
- Item B
- Item C
- Item D

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

## 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 <a href="#">Edit</a>	Risk Limits <a href="#">Edit</a>
<p>Agreement ID 40043713 <a href="#">[GUSA]</a> </p> <p>Preceding Agreement</p> <p>Following Agreement</p> <p>Jurisdiction New York</p> <hr/> <p>Initiated on 04-Apr-2013 12:36:23 by <a href="#">Train1 B1Processor</a></p> <p>Last Modified on 04-Apr-2013 12:43:30 by <a href="#">Train1 B1Processor</a></p> <p>Executed on</p> <p>Effective Date</p> <p>Termination Date</p>	<p>Attached Risk Limits (Exhibit A)</p> <p><a href="#">Risk Limits PDF Template 2013.pdf</a></p>
Parties <a href="#">Edit</a>	
<p>Executing Broker <a href="#">Broker1 Party</a></p> <p>Clearing Broker <a href="#">Broker1b Institution</a></p>	
Comments <a href="#">Add Comments</a>	
<div style="border: 1px solid #ccc; height: 40px;"></div>	

## 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  
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

Message from webpage

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

[OK](#)

### Parties Edit

Executing Broker [Broker1 Party](#)  
Clearing Broker [Broker1b Institution](#)

### Comments Add Comments

## My Give-Up Queue

**Filters** Collapse

Executing Broker	<input type="text" value="Name"/>	Executing Account ID	<input type="text" value="Account ID"/>
Clearing Broker	<input type="text" value="Name"/>	Clearing Account ID	<input type="text" value="Account ID"/>
Trader	<input type="text" value="Name"/>	Select Party Role	<input type="text" value="Name"/>
Customer	<input type="text" value="Name"/>	Select Party Role	<input type="text" value="Name"/>
Agreement ID	<input type="text" value="40043713"/>		
Agreement Type	<input type="text" value="Any"/>		
Where	<input type="text" value="Effective Date"/>	<input type="text" value="is on or after"/>	<input type="text" value="dd-MMM-yyyy"/>

| [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
<a href="#">40043713</a>	<a href="#">Review</a>	<a href="#">Broker1 Party</a>	<b>X</b>	0	0	<a href="#">Broker1b Institution</a>	<b>X</b>	0					<a href="#">04-Apr-2013</a>