

The DTCC logo is displayed in a bold, white, sans-serif font. It is positioned in the upper left corner of a dark grey header area that features a repeating geometric pattern of small circles and lines.

Securing Today. Shaping Tomorrow.™

A low-angle, upward-looking photograph of several modern skyscrapers with glass facades, set against a bright blue sky with scattered white clouds. The buildings are arranged in a way that they appear to converge towards the top of the frame, creating a sense of height and scale.

Quick Reference Guide

CLEARING FUND MANAGEMENT (CFM) – QUICK REFERENCE GUIDE

Publication Date: 07/10/2015

Version #: 1.1

DTCC Controlled: Non-Confidential

About Clearing Fund Management (CFM)

Overview

The Clearing Fund Management (CFM) application allows you to view your clearing fund requirements and to calculate the effect on the fund of depositing a specific security.

GSD and MBSD customers can access real-time information. The benefits include:

- Real-time access to the Clearing Fund requirement and deposits
- Ability to calculate the Clearing Fund required deposit value based on various combinations of eligible securities
- Ability to initiate and submit on-line requests to change Clearing Fund composition (e.g. deposit/withdrawal/substitution). This eliminates the need to fax changes to composition requests to FICC.

Eligible instruments

- U.S. cash
- U.S. Treasury: bills, notes, bonds, TIPS, STRIPS (no TIPS STRIPS)
- U.S. agencies: notes, bonds, and zeros
- Pass-through securities (MBS)

Eligible securities

- Securities from the following agencies were approved as Clearing Fund eligible:
 - Fannie Mae (FNMA)
 - Farmer Mac
 - Federal Farm Credit Banks
 - Freddie Mac (FHLMC)
 - Federal Home Loan Banks (FHLB)
 - Financing Corporation
 - Tennessee Valley Authority (TVA)
 - Resolution Trust Funding Corporation (RTFC)
- All securities eligible for the Clearing Fund must be
 - DTC eligible
 - Highly rated by either Moody (AAA/Aaa) or S&P (AAA)
- All Treasuries and Agencies eligible for Clearing Fund must be fixed-rate, GSD-netting eligible.

FICC requires that a participant maintain

- Ten percent of required deposit in cash, with a maximum cash requirement of \$5,000,000 and a minimum cash requirement of \$100,000.
- A minimum of 40 percent of the required deposit in cash and Treasuries.
- The remaining required deposit in cash, U.S. Treasury securities, government agency securities, and mortgage-backed securities issued by government agencies or entities sponsored by the federal government, subject to applicable concentration limits and haircuts as contained in:

http://dtcc.com/~media/Files/Downloads/legal/rules/ficc_gov_rules.pdf

http://dtcc.com/~media/Files/Downloads/legal/rules/ficc_mbsd_rules.pdf

Viewing Clearing Fund Information

Use this procedure to view the current clearing fund status for a selected account.

1. On the Account List page select the account identification number of the account you want to find information for.

Enterprise Risk Management DTCC

Account List User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

Account ID	Account Name	Total Deposit	Total Requirement	Excess	Deficit
00009999	TEST COMPANY AAA INC.	10,859,523.40	1,558,112.74	9,301,410.66	
00099999	TEST CO. AAA INC.	5,961,489.04	250,000.00	5,711,489.04	

The Participant Overview page appears, displaying the collateral breakdown information and the available collateral amount, excess or deficit for that account.

Note: You can withdraw any amount greater than zero, but you must pay any amount less than zero.

2. Click on **Clearing Fund Deposit Breakdown** to view a breakdown of the deposit.
3. Click on **Current Day's Activity** to view the status of previous requests: Pending, Approved, or Rejected.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA INCORPORATED
Participant Number: 9999
Custodian Bank: 021000018 THE BANK OF NEW YORK

Print

Final 1
Your Clearing Fund Requirement has been finalized EXCESS: 9,301,410.66 USD

Description	Amount	CCY
GSD VAR	478,928.76	USD
MRD	756,755.24	USD
Coverage Component	322,428.74	USD
Cross Margining	0.00	USD
Total	1,558,112.74	USD

Description	Amount	CCY
No Parameter Breaks Found		

Type	Face Value	CCY	Collateral Value	CCY
Total Cash	500,000.00	USD	500,000.00	USD
Total Securities	8,000,000	USD	10,359,523.40	USD
Total Collateral Deposit	8,500,000.00	USD	10,859,523.40	USD



Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
There is Currently no Transaction Activity								

New Request
 Reject

The Participant Overview displays the detailed information.

Clearing Fund Deposit Breakdown

Current Day's Activity


Enterprise Risk Management


Account List > Participant Overview
User ID: TEST_USER

Clearing Fund Management
Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA INCORPORATED
Participant Number: 9999

[Print](#)

Final 1
Your Clearing Fund Requirement has been finalized

DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown

Description	Amount	CCY
Aggregate: 9999	250,000.00	USD
Total	250,000.00	USD

Parameter Breaks

Description	Amount	CCY
Cash	(100,000.00)	USD
Security	0.00	USD

Clearing Fund Deposit Breakdown

Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity

[New Request](#) [Reject](#)

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

Creating a Substitution

Use this procedure to create a collateral substitution or to obtain a system response to a hypothetical scenario for collateral substitution.

1. On the Participant Overview screen, click **New Request**.

The Asset Substitution page appears.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ GSD
 Participant Number: 9998
 Custodian Bank: 021000018 THE BANK OF NEW YORK Print

Final 1
 Your Clearing Fund Requirement has been finalized EXCESS: 9,301,410.66 USD

Description	Amount	CCY
GSD VAR	478,928.76	USD
MRD	756,755.24	USD
Coverage Component	322,428.74	USD
Cross Margining	0.00	USD
Total	1,558,112.74	USD

Description	Amount	CCY
No Parameter Breaks Found		

Type	Face Value	CCY	Collateral Value	CCY
Total Cash	500,000.00	USD	500,000.00	USD
Total Securities	8,000,000	USD	10,359,523.40	USD
Total Collateral Deposit	8,500,000.00	USD	10,859,523.40	USD

Current Day's Activity New Request Reject

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
There is Currently no Transaction Activity								

2. In the **Withdrawal** section, select the asset type in the **Asset Type** field.

3. Type the face value in the **Face Value** field.

Note: In the **Payment** field, the payment type is already selected for GSD and MBSD customers.

4. In the **Deposit** section select the asset type in the **Asset Type** field.

You can select one of the following:

- Cash
- Securities

Note: You can only select **Cash** in the case of a *what if* scenario. Cash to be applied to a collateral substitution request must be wired to the appropriate FICC account in order to obtain credit for that deposit.

5. Enter the asset identifier in the **Asset ID** field.

Note: When **Cash** is selected in the **Asset Type** field this field is pre-filled.

6. Type the face value in the **Face Value** field.

7. *Optional.* Click **Add** to add more asset types.

8. Click **Validate** at the top of the page.

Enterprise Risk Management DTCC

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ GSD
Participant Number: 9998

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	344,188.73	USD
Security	9,301,410.66	USD

Requirement: 1,558,112.74 USD
Net Excess: 9,301,410.66 USD

Validate Save Reset Print

Withdrawal

Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Cash	CASH	0.0	0.00	500,000.00	500,000.00	Select an option	USD
Securities	912810DY1	0.0	0.00	3,000,000.00	4,007,768.55		USD
Securities	912810EH7	0.0	0.00	5,000,000.00	6,351,754.85		USD
Total:			0.00	8,500,000.00	10,859,523.40		USD

Deposit

Asset Type	Asset ID	Face Value	Collateral Value	CCY
Cash	CASH	9500000.00		USD
Total:				USD

Add

9. The system calculates the collateral value, displays it in the **Collateral Value** field and returns a message validating or rejecting your request.
10. Click **Save** to process your substitution request.

Enterprise Risk Management DTCC

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	(100,000.00)	USD
Security	0.00	USD

Validation completed. Click on the Save button to submit requests

Requirement: 250,000.00 USD
Net Excess: 5,711,489.04 USD
New Net Excess: 12,642,374.07 USD

Validate | **Save** | Reset | Print

Withdrawal

Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Securities	912810EY0	0.00	0.00	5,000,000.00	5,961,489.04		USD
Total:		0.00	0.00	5,000,000.00	5,961,489.04		USD

Deposit

Asset Type	Asset ID	Face Value	Collateral Value	CCY
Securities	912810EY0	6,000,000.00	6,930,885.03	USD
Total:		6,000,000.00	6,930,885.03	USD

Add +

A message appears confirming your request and the Participant Overview page displays the request as **Pending**.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997 Print

Final 1
Your Clearing Fund Requirement has been finalized DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown Parameter Breaks

Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Clearing Fund Deposit Breakdown

Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity New Request

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

Making a Deposit

Use this procedure to create a deposit collateral transaction request or to obtain a system response to a hypothetical scenario for a cash deposit.

1. On the Participant Overview page, click **New Request**.

The Asset Substitution page appears.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997 Print

Final 1
Your Clearing Fund Requirement has been finalized DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown Parameter Breaks

Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Clearing Fund Deposit Breakdown

Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity New Request

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

- In the **Deposit** section select the asset type in the **Asset Type** field.

You can create deposit collateral transaction requests for:

- Cash
- Securities

Note: You can only select **Cash** for a *what if* scenario. Cash must be wired to the appropriate FICC account in order to obtain credit for a deposit.

- Enter the asset identifier in the **Asset ID** field.

Note: When **Cash** is selected in the **Asset Type** field, this field is already filled.

- Type the face value in the **Face Value** field.

- Optional.* Click the **Add** button to add more asset types.

- Click **Validate** at the top of the page.

Enterprise Risk Management

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ GSD
Participant Number: 9998

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	344,188.73	USD
Security	9,301,410.66	USD

Requirement: 1,558,112.74 USD
Net Excess: 9,301,410.66 USD

Validate Save Reset Print

Withdrawal

Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Cash	CASH	0.0	0.00	500,000.00	500,000.00	Select an option	USD
Securities	912810DY1	0.0	0.00	3,000,000.00	4,007,768.55		USD
Securities	912810EH7	0.0	0.00	5,000,000.00	6,351,754.85		USD
Total:			0.00	8,500,000.00	10,859,523.40		USD

Deposit

Asset Type	Asset ID	Face Value	Collateral Value	CCY
Cash	CASH	9500000.00		USD
Total:				USD

Add +

- The system calculates the collateral value and displays it in the **Collateral Value** field.

A message validating or rejecting your request appears.

- If your request is validated, click **Save** to process the deposit.

Enterprise Risk Management DTCC

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	(100,000.00)	USD
Security	0.00	USD

Validation completed. Click on the Save button to submit requests

Requirement: 250,000.00 USD
Net Excess: 5,711,489.04 USD
New Net Excess: 11,711,489.04 USD

Validate Save Reset Print

Withdrawal

Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Securities	912810EY0	0.0	0.00	5,000,000.00	5,961,489.04		USD
Total:		0.00	0.00	5,000,000.00	5,961,489.04		USD

Deposit

Asset Type	Asset ID	Face Value	Collateral Value	CCY
Cash	CASH	6,000,000.00	6,000,000.00	USD
Total:		6,000,000.00	6,000,000.00	USD

A message appears confirming your request and the Participant Overview page displays the request as **Pending**.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997 [Print](#)

Final 1
Your Clearing Fund Requirement has been finalized DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown Parameter Breaks

Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Clearing Fund Deposit Breakdown

Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity [New Request](#)

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

Requesting a Withdrawal

Use this procedure to create a withdrawal collateral transaction request or to obtain a system response to a hypothetical scenario for a cash withdrawal.

1. On the Participant Overview screen, click **New Request**.

The Asset Substitution page appears.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ GSD
 Participant Number: 9998
 Custodian Bank: 021000018 THE BANK OF NEW YORK Print

Final 1
 Your Clearing Fund Requirement has been finalized EXCESS: 9,301,410.66 USD

Clearing Fund Requirement Breakdown			Parameter Breaks		
Description	Amount	CCY	Description	Amount	CCY
GSD VAR	478,928.76	USD	No Parameter Breaks Found		
MRD	756,755.24	USD			
Coverage Component	322,428.74	USD			
Cross Margining	0.00	USD			
Total	1,558,112.74	USD			

Clearing Fund Deposit Breakdown				
Type	Face Value	CCY	Collateral Value	CCY
Total Cash	500,000.00	USD	500,000.00	USD
Total Securities	8,000,000	USD	10,359,523.40	USD
Total Collateral Deposit	8,500,000.00	USD	10,859,523.40	USD

Current Day's Activity New Request

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
There is Currently no Transaction Activity								

2. In the **Withdrawal** section, select the asset type in the **Asset Type** field.

3. Type the face value in the **Face Value** field.

Note: In the **Payment** field, the payment type is already selected for GSD and MBSD customers.

4. Click **Validate** at the top of the page.

Enterprise Risk Management DTCC

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ GSD
Participant Number: 9998

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	344,188.73	USD
Security	9,301,410.66	USD

Requirement: 1,558,112.74 USD
Net Excess: 9,301,410.66 USD

Validate
Save
Reset
Print

Withdrawal							
Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Cash	CASH	0.0	0.00	500,000.00	500,000.00	Select an option	USD
Securities	912810DY1	0.0	0.00	3,000,000.00	4,007,768.55		USD
Securities	912810EH7	0.0	0.00	5,000,000.00	6,351,754.85		USD
Total:			0.00	8,500,000.00	10,859,523.40		USD

Deposit				
Asset Type	Asset ID	Face Value	Collateral Value	CCY
Cash	CASH	9500000.00		USD
Total:				USD

Add

The system calculates the collateral value and returns a message validating or rejecting your request.

5. Click **Save** to process your request if it is validated.

Enterprise Risk Management DTCC

Account List > Participant Overview > Asset Substitution (Calculator) User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997

Parameter Breaks/Available Amount

Description	Amount	CCY
Cash	(100,000.00)	USD
Security	0.00	USD

Validation completed. Click on the Save button to submit requests

4
 Requirement: 250,000.00 USD
 Net Excess: 5,711,489.04 USD
 New Net Excess: 12,642,374.07 USD

Validate

Withdrawal

Asset Type	Asset ID	Face Value	Collateral Value	On Deposit Face Value	On Deposit Collateral Value	Payment	CCY
Securities	912810EY0	0.0	0.00	5,000,000.00	5,961,489.04		USD
Total:		0.00	0.00	5,000,000.00	5,961,489.04		USD

Deposit

Asset Type	Asset ID	Face Value	Collateral Value	CCY
Securities	912810EY0	6,000,000.00	6,930,885.03	USD
Total:		6,000,000.00	6,930,885.03	USD

A message appears confirming your withdrawal request and the Participant Overview page displays the request as **Pending**.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997 [Print](#)

Final 1
Your Clearing Fund Requirement has been finalized DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown Parameter Breaks

Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Clearing Fund Deposit Breakdown

Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity [New Request](#)

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

Rejecting a Request

Use this procedure to reject a previously submitted request.

- In the Current Day's Activity section on the Participant Overview page, check the box in the **Reject Pending Transaction** field next to the activity you want to reject.

- Click **Reject**.

The message "Are you sure you want to proceed with the Rejection?" appears.

Enterprise Risk Management DTCC

Account List > Participant Overview User ID: TEST_USER

Clearing Fund Management Wed Nov 14 13:05:19 EST 2014

TEST COMPANY AAA @ MBSD
Participant Number: 9997 Print

Final 1
Your Clearing Fund Requirement has been finalized DEFICIT: (100,000.00) USD

Clearing Fund Requirement Breakdown			Parameter Breaks		
Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Clearing Fund Deposit Breakdown				
Type	Face Value	CCY	Collateral Value	CCY
Total Securities	5,000,000	USD	5,961,489.04	USD
Total Collateral Deposit	5,000,000.00	USD	5,961,489.04	USD

Current Day's Activity New Request

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

- 8. Click **OK** to proceed with the rejection.

The screenshot shows the Enterprise Risk Management interface. At the top, it says "Enterprise Risk Management" and "DTCC". The user is logged in as "TEST_USER". The page title is "Participant Overview" and the date is "Wed Nov 14 13:05:19 EST 2014". The participant is "TEST COMPANY AAA @ MBSD" with "Participant Number: 9997".

The main content area shows "Final 1" and "Your Clearing Fund Requirement has been finalized". A yellow circle with the number "3" points to a "Reject" button. A "Microsoft Internet Explorer" dialog box is open, asking "Are you sure you want to proceed with the Rejection?". The "OK" button in the dialog is highlighted with a yellow box.

Below the dialog, there are two tables:

Description	Amount	CCY
Cash	(100,000.00)	USD
Security	0.00	USD

Type	Collateral Value	CCY
Total Securities	5,000,000	USD
Total Collateral Deposit	5,000,000.00	USD
	5,961,489.04	USD
	5,961,489.04	USD

Below these tables is a "Current Day's Activity" section with a "New Request" button and a "Reject" button. A table shows the activity:

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Pending	<input type="checkbox"/>

A message appears verifying that your request has been submitted and updated.

The Participant Overview page displays the transaction status as **Rejected** in the Status field.

The screenshot displays the 'Enterprise Risk Management' interface. At the top, it shows 'Account List > Participant Overview' and 'User ID: TEST_USER'. The page title is 'Clearing Fund Management' with a timestamp of 'Wed Nov 14 13:05:19 EST 2014'. The participant information is 'TEST COMPANY AAA @ MBSD' with 'Participant Number: 9997'. A success message is highlighted in yellow: 'Success: The reject of the request(s) have been updated.' Below this, it states 'Final 1' and 'Your Clearing Fund Requirement has been finalized' with a 'DEFICIT: (100,000.00) USD'. Two tables are shown: 'Clearing Fund Requirement Breakdown' and 'Parameter Breaks'. The 'Clearing Fund Requirement Breakdown' table has columns for Description, Amount, and CCY. The 'Parameter Breaks' table has columns for Description, Amount, and CCY. Below these are links for 'Clearing Fund Deposit' (5,961,489.04 USD) and 'Current Day's Activity'. At the bottom, there is a table with columns: Subject, Asset ID, Face Value, CCY, Collateral Value, CCY, Received, Status, and Reject Pending Transaction. The 'Status' column for the 'SecuritiesDeposit' row is highlighted in yellow and contains the value 'Rejected'.

Description	Amount	CCY	Description	Amount	CCY
Aggregate: 9997	250,000.00	USD	Cash	(100,000.00)	USD
Total	250,000.00	USD	Security	0.00	USD

Subject	Asset ID	Face Value	CCY	Collateral Value	CCY	Received	Status	Reject Pending Transaction
SecuritiesDeposit	912810EY0	6,000,000.00	USD	6,930,885.03	USD	13:39 EST	Rejected	

Looking Up Historical Data

Use this procedure to look up historical data for any deposit or withdrawal made to an account.

1. In the upper right corner of the Participant Overview page, click the **Historical Data** link.

The Historical Data page appears.

The screenshot shows the Enterprise Risk Management interface. At the top, there is a navigation bar with "Enterprise Risk Management" and "DTCC" logo. Below the navigation bar, the page title is "Clearing Fund Management". On the right side, there is a "User ID:" field and a timestamp "Fri Jul 31 09:00:43 EDT 2015". In the upper right corner, there is a "User Profile" dropdown menu with "Historical Data" highlighted. Below the navigation bar, there is a section for "@FICC" with fields for "Participant Number:", "Account Type: FICC Only", and "Custodian Bank:". The main content area displays a message: "Final 1 Your Clearing Fund Requirement has been finalized" and "NO ACTION REQUIRED: 0.00 USD". Below this, there are two tables: "Clearing Fund Requirement Breakdown" and "Parameter Breaks".

Description	Amount	CCY
Special Charge	3,000,000.00	USD
Implied Volatility Charge	826,361.37	USD
Allocated VaR	16,527,227.48	USD
Allocated Coverage Component	3,026,295.59	USD
Cross Margining	0.00	USD
Total	23,379,884.44	USD

Description	Amount	CCY
No Parameter Breaks Found		

At the bottom of the page, there are links for "Clearing Fund Deposit Breakdown" and "Current Day's Activity", and a "New Request" button.

- In the **Activity Section**, select a **From Date** and a **To Date** to establish your historical search parameters.

Note: You may search up to 10 years in the past for historical CFM deposit/withdrawals record data.

- Click **Search**.

Enterprise Risk Management

Participant Overview > Historical Data

Clearing Fund Management

User ID:
 Fri Jul 31 09:01:24 EDT 2015

@FICC
Participant Number:
Account Type: FICC Only
Custodian Bank:

Print

Current Clearing Fund Deposit 23,379,884.44 USD

Type	Face Value	CCY	Collateral Value	CCY
Cash	23,379,884.44	USD	23,379,884.44	USD
Total Collateral Deposit	23,379,884.44	USD	23,379,884.44	USD

Activity

From Date: 2015-07-27

To Date: 2015-07-31

Search

The **Collateral Activity Section** appears, displaying the record data for the historical period selected.

Enterprise Risk Management

Participant Overview > Historical Data

Clearing Fund Management

User ID:
 Fri Jul 31 09:02:18 EDT 2015

Participant Number:
Account Type: FICC Only
Custodian Bank:

Print

Current Clearing Fund Deposit 23,379,884.44 USD

Type	Face Value	CCY	Collateral Value	CCY
Cash	23,379,884.44	USD	23,379,884.44	USD
Total Collateral Deposit	23,379,884.44	USD	23,379,884.44	USD

Activity

From Date: 2015-07-27

To Date: 2015-07-31

Search

Requested Date & Time	Asset Type	Asset ID	Activity Type	Requester	Face Value	CCY	Collateral Value	Set/FLU	Status	Completed Date & Time
2015-07-30 13:22:11.0	Cash	CASH	Withdrawal		(7,590,196.80)	USD	(7,590,196.80)	F	Approved	2015-07-30 13:44:44.0
2015-07-27 13:16:18.0	Cash	CASH	Withdrawal		(2,255,772.03)	USD	(2,255,772.03)	F	Approved	2015-07-27 13:32:34.0
2015-07-29 08:49:48.0	Cash	CASH	Deposit	CFMMQEXT	5,933,187.02	USD	5,933,187.02		Completed	2015-07-29 08:49:48.0
2015-07-31 08:50:25.0	Cash	CASH	Deposit	CFMMQEXT	12,109,065.69	USD	12,109,065.69		Completed	2015-07-31 08:50:25.0
2015-07-29 13:33:40.0	Cash	CASH	Deposit	CFMMQEXT	1,346,178.79	USD	1,346,178.79		Completed	2015-07-29 13:33:40.0