



FMX Block/EFRP GUI User Guide

Doc Version 1.0

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1 Overview

The FMX Block/EFRP GUI is a web-based application that enables FMX participants of the FMX Futures Exchange to submit Block Trades, EFP (Exchange of Futures for Physical), and EFS (Exchange of Futures for Swap) transactions on the FMX Futures trading platform (EFPs and EFSs are collectively referred to as “EFRPs”). These transactions are usually large in size and negotiated privately between two parties, structured to minimize market impact and provide price certainty.

Block Trades are subject to the requirements contained in FMX Rule XI-7 (Block Trading), including Exchange-defined eligibility requirements, Minimum Threshold Quantities, and Reporting Windows. Block Trades are cleared in the same manner as standard futures trades. EFRPs are subject to the requirements contained in FMX Rule XI-6 (EFRP Transactions), including eligibility, account qualification, and related position component requirements.

Please familiarize yourself with FMX Rule XI-6 (EFRP Transactions), FMX Rule XI-7 (Block Trading), and the associated Block Trade and EFRP Transaction Compliance Notices to Participants (CNTPs) before using the FMX Block/EFRP GUI. Questions regarding the Rules of CNTPs should be directed to FMX Futures Compliance at futurescompliance@fmx.com.

The application supports both cross trades (or “Dual-sided entry” where the same party submits both the buy and sell sides of the trade) and non-cross trades (or “Single-sided entry” where buy or sell orders are submitted by each respective buy and sell side to the opposing party). Matched cross trades are submitted directly for clearing. Non-cross trades require confirmation from the opposing party before being matched and cleared.

Currently, only the Secured Overnight Financing Rate (SOFR) Futures Contract (Commodity Code: FS3) is eligible for Block and EFRPs.

For Block Trades, only outright futures contracts are eligible for Block Trade submission.

For EFRPs, futures positions may be exchanged for a cash instrument or OTC swap with a reasonable degree of price correlation to the commodity underlying the Exchange Contract. For example, the related position component of a SOFR EFS may be a SOFR-linked OTC swap.

1.1 User Interface Conventions

When using the application, take note of the following user interface (UI) conventions implemented in the application.

Table 1: Field Conventions

Convention	Meaning
Red asterisk next to a field	Field requires input.

1.2 Document Conventions

This document uses the following written conventions to help readers identify information and use it effectively:

Convention	Usage
Normal, Blue	Cross-references to sections, tables, or figures
Bold	UI element (such as buttons and fields) names
Italic	Window, dialog box, and window names
<i>Italic, Dark Red</i>	Window messages
<div style="border-left: 2px solid #ccc; padding-left: 10px;"> <p>Note: <i>This is a note.</i></p> </div>	Tips, suggestions, or notes
Conso1as	File path and filename

2 Accessing the Application

Before you begin, make sure you have:


- Your login credentials
- The application URL

If you need help or more information, please contact FMX Support.

1. Open your web browser and go to the application URL.
2. Enter your **USERNAME** and **PASSWORD**.
3. Click **Log In**.

If you want to get visual alerts from the application, click **Allow** when you see a pop-up asking to show notifications.

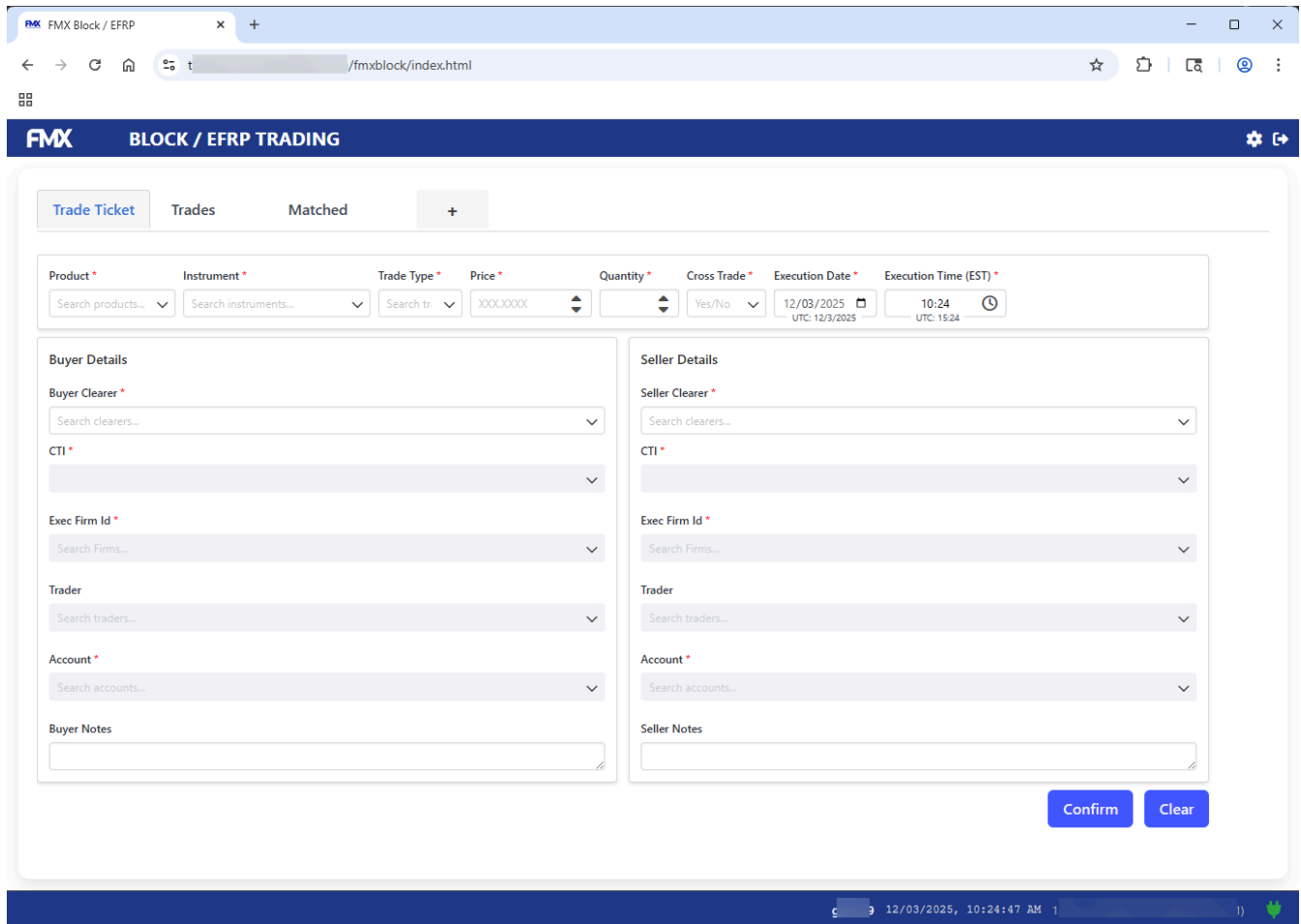
2.1 Logging Out from Application

1. Click the Log Out icon .
2. Confirm logout by clicking **Yes, proceed**.

3 The Block/EFRP Trading GUI

After you log in successfully, the application opens with the [Trade Ticket](#) displayed by default. The Trade Ticket is the primary workspace where you enter and submit transaction details.

Selecting the [Trades](#) tab displays a list of all trades you have entered into the system, allowing you to review, filter, and monitor their status. You can also create a new instance of the **Trades** view. This is useful when you want to set up a dedicated view for a specific subset of trades—for example, trades for a particular status or instrument.



At the bottom of the page, the current session details such as the logged in username, current date and time, the application server, and the overall health status of the application are displayed.

4 Trade Ticket

The **Trade Ticket** view allows users to capture and submit the details of a block or Exchange for Related Position (EFRP) trade. From this screen, users can initiate the following types of transactions:

- Block
- EFP (Exchange of Futures for Physical)
- EFS (Exchange of Futures for Swap)

The Trade Ticket supports both cross and non-cross trades:

- Cross trades enable users to enter *both* sides of the transaction (buy and sell) within a single ticket. This is useful when the user is acting pursuant to an agreement for, or matching, both counterparties and is authorized to book the entire deal in one Ticket.
- Non-cross trades allow users to enter *either* a buy or a sell side of the transaction. This is typically used when only one side of the trade is being recorded in the system, for example when trading with an external counterparty.

In addition, the **Trade Ticket** view may include fields such as instrument, price, quantity, and execution time, ensuring that all necessary information for trade capture is collected in a single interface.

Accessing Trade Ticket

- In the application, click the **Trade Ticket** tab (if not yet selected).

What You Can Do

From this view, users can:

- [Submit a trade](#)

Field Descriptions

Table 2: Trade Details Fields

Name	Description
Product	The type of futures contract that was traded. <ul style="list-style-type: none"> • Futures Test - Futures instruments used for testing • SOFR Futures - Secured Overnight Financing Rate Futures
Instrument	Traded instrument.
Trade Type	Type of trade. <ul style="list-style-type: none"> • Block – Select this option to execute a futures block trades. Currently, only outright contracts are supported. • EFP - Select this option to exchange a futures position for the equivalent cash instrument. • EFS - Select this option to exchange a futures OTC Swap.




Name	Description
Price	Agreed trade price.
Quantity	Agreed trade quantity. <ul style="list-style-type: none"> Block has minimum size requirement. EFP/EFS supports any size.
Cross Trade	Indicates whether the transaction is a cross trade. <ul style="list-style-type: none"> Yes - The transaction is a cross trade. You must provide both buyer and seller details. No - The transaction is not a cross trade. You only need to provide either buyer or seller details. An additional field, Are you a buyer or a seller?, will be displayed to capture this information.
Are you a buyer or seller?	Determines which party information must be provided. <ul style="list-style-type: none"> Buyer - The required buyer details must be entered. The transaction is a buy. Seller - The required seller details must be entered. The transaction is a sell.
Execution Date	The date the trade was trade was agreed upon "off-exchange." The date defaults to today's date but can be changed for the last three calendar days. Date is local date using the MM/DD/YYYY format. This field also displays the corresponding UTC date. <ul style="list-style-type: none"> Clicking the Calendar icon  opens a date picker. <i>Note that this field is not validated.</i>
Execution Time	The time the trade was agreed upon "off-exchange." The time defaults to the current local time in HH:SS 24-hour format. This field also displays the corresponding UTC time. <ul style="list-style-type: none"> Clicking the Time icon  opens a dropdown list where users can select the execution time, including both hour and minute. Clicking NOW populates the field with the current time. Clicking the X icon  clears the field.
Broker	Name of the broker who facilitated the trade on behalf of both buyer and seller. <i>Note: Available to Admin users only.</i>

Table 3: Buyer Details Fields

Name	Description
Buyer Clearer	Clearer for the buy-side transaction.
CTI	Customer Type Indicator for the buy-side transaction.

Name	Description
Exec Firm Id	Trading firm for the buy-side transaction.
Trader	Trader responsible for the buy-side transaction. It is a free-form text entry field, allowing you to manually type any trader name or identifier as needed. The system saves any text you enter here so you can easily select and reuse it later. <i>Note that this field is not validated.</i>
Account	Clearing account for the buy-side transaction.
Buyer Notes	Memo field for the buy-side transaction. <i>Note that this field is not validated.</i>

Table 4: Seller Details Fields

Name	Description
Seller Clearer	Clearer for the sell-side transaction.
CTI	Customer Type Indicator for the sell-side transaction.
Exec Firm Id	Trading firm for the sell-side transaction.
Trader	Trader responsible for the sell-side transaction. It is a free-form text entry field, allowing you to manually type any trader name or identifier as needed. The system saves any text you enter here so you can easily select and reuse it later. <i>Note that this field is not validated.</i>
Account	Clearing account for the sell-side transaction.
Seller Notes	Memo field for the sell-side transaction. <i>Note that this field is not validated.</i>

5 Trades

The Trades view provides an overview of transaction activity. It allows users to:

- Review all trades they have entered into the system, including their current status.
- View all incoming trades submitted by counterparties that are awaiting their review and confirmation.

From this view, users can typically filter, sort, and search transactions, as well as drill down into individual trade details to verify terms and identify discrepancies.

The top section of the page contains controls that let you filter the trades displayed in the grid below. You can choose criteria such as product, instrument, status, or other attributes to narrow down the results and focus on the trades that are most relevant to you. This filter panel can be expanded or collapsed, allowing you to hide it when you want more space for the grid and show it again whenever you need to adjust your filters. Search keys are not case sensitive, and matching trades appear dynamically as you type. To reset the filter fields, click the **Clear All Filters** button.

***Note:** Trades can also be filtered directly from the column headers in the grid. Simply click the filter icon in the desired column header, then specify your criteria. The grid will immediately update to display only the trades that match your selected filters.*

Actions	Trade Type	Ori...	Bro...	Status	Deal ID	Ins...	Matching D/T	Execution D/T	Elaps...	Price
👍 👎 ✕	BLOCK	BUY		MATCHED	41264610835	F02.OF.25Z	11/17/2025, 10:52 AM	11/7/2025, 9:50 AM		99-29 3/4
👍 👎 ✕	BLOCK	SELL		MATCHED	144343825939	F02.OF.25Z	11/17/2025, 10:53 AM	11/7/2025, 9:44 AM	241:09:17	99-29 3/4
👍 👎 ✕	EFS	BUY		CANCELED	384861994515	F02.OF.25Z		11/7/2025, 9:42 AM		99-29 3/4
👍 👎 ✕	BLOCK	SELL		ALLEGED	556660686355	F02.OF.26H		11/7/2025, 9:41 AM	241:14:28	99-29 3/4

You can create multiple instances of this view, allowing you to monitor different sets of filtered trades simultaneously. For example, you might configure separate views for specific statuses, e.g., Alleged, Submitted, Matched, etc. This makes it easier to track activity in parallel and focus quickly on the trades that are most relevant to your workflow. For the instructions, see [Creating Custom Trades View](#).

To download the trades currently displayed in the view as a CSV file, click the **Export to CSV** button.

Accessing Trades

- In the application, click the **Trades** tab.

What You Can Do

From this view, users can:

- [View trade details](#)
- [Accept a trade](#)
- [Decline a trade](#)
- [Cancel a trade](#)










Field Descriptions

Table 5: Filter Fields

Name	Description
Product	Display trades for the selected product. <ul style="list-style-type: none"> • Futures instruments used for testing • SOFR Futures - Secured Overnight Financing Rate Futures
Instrument	Display trades for the selected instrument.
Trade Type	Display trades for the selected trade type. <ul style="list-style-type: none"> • Block • EFP • EFS
Deal ID	Display trades for the given trade identifier.
Status	Display trades with the given status. <ul style="list-style-type: none"> • Alleged - Trade from contra clearer is awaiting acceptance. • Accepted - Trade is accepted by FMX. • Cancelled - Trade you have submitted and later cancelled. • Error - Trade failed validation. • Matched - Trade is matched by FMX. • Rejected - Trade you have submitted was declined by the contra clearer. • Submitted - Trade you have submitted is awaiting the contra clearer's acceptance.
Originator Side	Display trades submitted by the user for the selected side.
Broker	Display trades for the selected broker ID.
Trader	Display trades for the selected trader ID.
Account	Displays trades for the selected account ID.

Name	Description
Buyer Clearer	Displays buy-side trades for the given clearer ID.
Seller Clearer	Displays sell-side trades for the given clearer ID.
From (Execution D/T)	Displays trades executed within a specified date range, beginning on the provided start date (inclusive). In MM/DD/YYYY format.
To (Execution D/T)	Displays trades executed within a specified date range, ending on the provided end date (inclusive). In MM/DD/YYYY format.
Notes	Display trades with the given additional trade details.

Table 6: Grid Fields

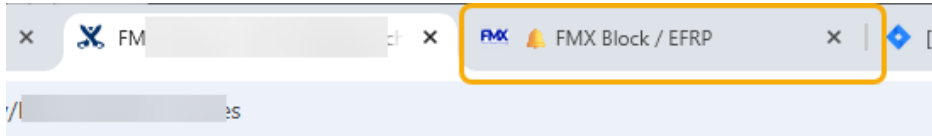
Name	Description								
Actions	<p>Actions that can be performed on the trade.</p> <p>Table 7:</p> <table border="1"> <thead> <tr> <th>Icon</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td></td> <td>Accept Alleged trade from a contra clearing firm. Icon is only available for trades in the <i>Alleged</i> status.</td> </tr> <tr> <td></td> <td>Reject Alleged trade from a contra clearing firm. Icon is only available for trades in the <i>Alleged</i> status.</td> </tr> <tr> <td></td> <td>Cancel Submitted trade. Icon is only available for trades in the <i>Submitted</i> status.</td> </tr> </tbody> </table>	Icon	Description		Accept Alleged trade from a contra clearing firm. Icon is only available for trades in the <i>Alleged</i> status.		Reject Alleged trade from a contra clearing firm. Icon is only available for trades in the <i>Alleged</i> status.		Cancel Submitted trade. Icon is only available for trades in the <i>Submitted</i> status.
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	Reject Alleged trade from a contra clearing firm. Icon is only available for trades in the <i>Alleged</i> status.								
	Cancel Submitted trade. Icon is only available for trades in the <i>Submitted</i> status.								
Trade Type	Type of transaction.								
Originator Side	Side that initiated the trade in the application.								
Broker Name	Broker name for the trade.								
Status	Status of the trade.								
Deal ID	Transaction ID for the trade assigned by FMX.								
Instrument	Instrument for the trade.								
Matching D/T	Date and time the trade was matched by FMX.								
Execution D/T	Date and time the trade was agreed on by the parties off-exchange.								
Elapsed Time	The time period that has passed since the Execution D/T . This is calculated as the difference between the current system time and the Execution D/T . The background color will indicate the length of the elapsed time, transitioning from green to yellow to red as the duration increases. In HH:MM:SS format.								
Price	Trade price.								

Name	Description
Buyer Clearer	Clearer ID for the buy-side of the trade.
Buyer Trader	Trader ID for the buy-side of the trade.
Buyer Account	Account ID for the buy-side of the trade.
Seller Account	Account ID for the sell-side of the trade.
Seller Trader	Trader ID for the sell-side of the trade.
Seller Clearer	Clearer ID for the sell-side of the trade.
Buyer Notes	Notes for the buy-side of the trade.
Seller Notes	Notes for the sell-side of the trade.
Product	Product type of the trade.
Buyer Submitter	Name of the user who submitted the buy-side of the trade.
Buyer Submitter ID	User ID of the user who submitted the buy-side of the trade.
Seller Submitter	Name of the user who submitted the sell-side of the trade.
Seller Submitter ID	User ID of the user who submitted the sell-side of the trade.
Seller Exec Firm	Trading firm ID for the sell-side of the trade.
Buyer Exec Firm	Trading firm ID for the buy-side of the trade.

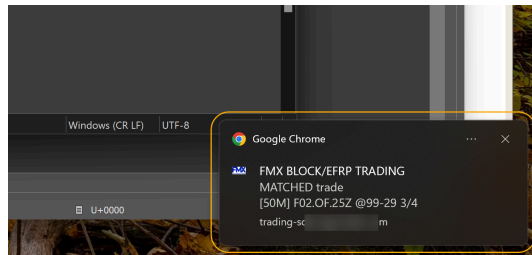
6 Screen Alerts

The application supports the following on-screen alerts, which can be enabled or disabled as needed:

- **Flashing Bell Notification for New and Updated Trades** - When the application is out of focus, a bell icon will flash on the application tab whenever a new trade is entered or the status of an existing trade is updated. This alert is enabled by default.



- **Pop-Up Messages for New and Updated Trades** - When this option is enabled, brief pop-up messages (notifications) will appear in the lower-right corner of the screen, providing real-time feedback on actions such as:
 - Trade submission
 - Order acceptance or rejection
 - Subsequent status changes



This feature helps users monitor their trading activity without needing to manually refresh or navigate away from their current view. To enable this alert, see [Enabling Pop-up Messages](#).

- **Trade Alerts in the Trades View** - Users can choose to receive alerts when new trades are added. Alerts are shown only for trades that match the filter criteria in the **Trades** view or any custom Trades view. When new trades are available, a badge on the Trades tab will show how many have been added since your last visit. To enable this alert, see [Enabling Trade Alerts in Trades View](#).

In the example below, a new Alleged trade has been added. As a result, a badge showing the count of new trades appears in both the main **Trades** view and in the **Alleged** view, each of which is configured to show trades with *Alleged* status.

FMX BLOCK / EFRP TRADING

Trade Ticket Trades **2** Alleged **1** Matched Submitted

Product *	Instrument *	Trade Type *	Price *	Quantity *	Cross Trade *	Exe
Search products... ▼	Search instruments... ▼	Search tr. ▼	XXX.XXXX ▲▼	▲▼	Yes/No ▼	1'

Buyer Details

Buyer Clearer *

Search clearers... ▼

CTI *

Seller Details

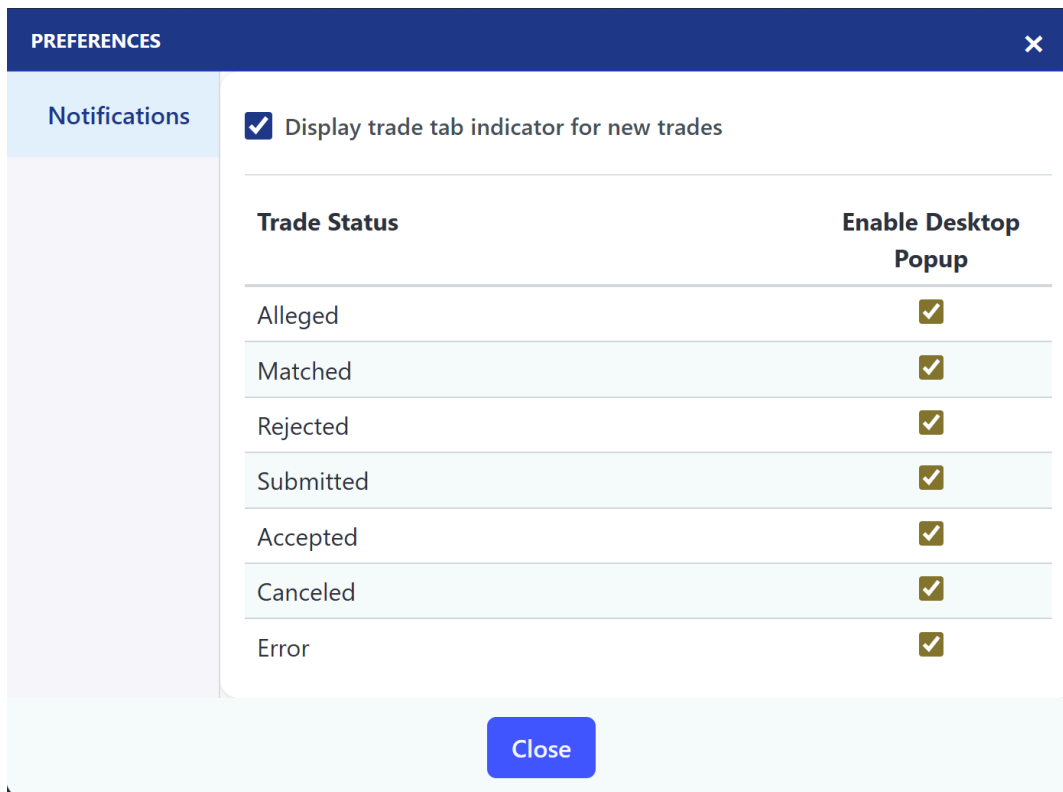
Seller Clearer *

Search clearers... ▼


CTI *

7 Preferences

PREFERENCES allow users to customize the application, including setting up notifications.



Accessing Preferences

1. In the application, click the Gear icon .

What You Can Do

From this window, users can:

- [Enable pop-up messages](#)
- [Enable trade alerts in Trades view](#)

8 Submitting a Trade

1. In the **Trade Ticket** view, enter the details of the transaction.

For the field descriptions, see [Trade Ticket](#).

2. Enter the details of the buyer and seller.

- If the transaction is a cross trade, enter the **Buyer Details** and **Seller Details** information.
- If the transaction is not a cross trade and it is a buy transaction, enter the **Buyer Details** and the **Seller Clearer** information.
- If the transaction is not a cross trade and it is a sell transaction, enter the **Seller Details** and the **Buyer Clearer** information.

3. Click **Confirm**.

The **SUBMITTED CONFIRMATION** dialog opens showing the details of the submitted trade.

4. Click **Close** to close the **SUBMITTED CONFIRMATION** dialog.

To view the trade, click the **Trades** tab.

9 Viewing Trade Details

Details of a trade can be accessed from both the default **Trades** view and any custom Trades view. This allows you to review the relevant trade details before deciding whether to accept, reject, or cancel a transaction.

TRADE DETAILS - FS3.OF.25U
✕

TRADE SUMMARY

Product	Instrument	Trade Type	
SOFR FUTURES	FS3.OF.25U	BLOCK	
Price	Quantity	Status	Originator Side
96.0000	100	MATCHED	

BUYER DETAILS

Clearer	Trader
EVAL BANK, BETA	CG
Executing Firm	Account
EVAL BANK, BETA	DMZCG1A

SELLER DETAILS

Clearer	Trader
EVAL BANK, BETA	CG
Executing Firm	Account
EVAL BANK, BETA	DMZCG1A

EXECUTION DETAILS


Deal ID	Execution Date/Time	Matched Date/Time
2377726819859	11/17/2025 16:13:00 EST	11/17/2025 16:16:06 EST

Buyer Notes

In the **Trades** view, locate the relevant trade and click its **Deal ID** to open and review the full trade details.


10 Accepting Trade

Non-cross trades with an *Alleged* status can be accepted.

1. In the **Trades** view, locate the trade to accept and click the Accept Trade icon .
2. In the **ACCEPT TRADE** dialog, enter the buyer's details (if you are on the buy-side) or the seller's details (if you are on the sell-side):
 - Trader
 - Exec Firm Id
 - Account
 - CTI
 - Notes
3. Click **Accept Trade**.
To disregard this action, click **No**.
4. In the **SUBMITTED CONFIRMATION** dialog, click **Close**.

11 Declining a Trade


In cases where the trade contains incorrect details, non-cross trades with an *Alleged* status can be declined.

1. In the **Trades** view, locate the trade to accept and click the Decline Trade icon .
2. In the **DECLINE TRADE** dialog, click **Decline Trade**.
To disregard this action, click **No**.
3. In the **REJECTED CONFIRMATION** dialog, click **Close**.

12 Cancelling a Trade

Cancelling Uncleared Non-Cross Trades

Non-cross trades (single-sided entry) that you have submitted in error (i.e., there was no intention to enter the trade) but have not yet been accepted by the contra clearing firm can still be cancelled.

1. In the **Trades** view, locate the trade to cancel and click the Cancel Trade icon .
2. In the **CANCEL TRADE** dialog, click **Cancel Trade**.

To disregard this action, click **No**.

3. In the **CANCELED CONFIRMATION** dialog, click **Close**.

Cancelling Cleared Non-Cross Trades or Cleared Cross Trades

In cases where the non-cross trade or cross-trade submitted in error has been accepted and cleared, parties involved in the placement of Block Trades, including broker firms or other representatives, should expeditiously submit an error correction request to the Exchange, upon discovery of the transaction submitted in error. In making such a request, please provide to the FMX Futures Control Desk details of the affected Block Trade, the nature of the error(s), and evidence that the counterparties to the Trade agree to cancellation request.

Parties to Block Trades, including broker firms or other representatives (where applicable), must contact the FMX Futures Control Desk at FMXFuturesControlDesk@FMX.com to request an error correction. Either party to the Trade may submit an error correction request to the Exchange within three business days. **All error correction requests are subject to review and approval by the Exchange.**

13 Amending a Submitted Trade

To amend any of the details for a cross trade or non-cross trade as a result of one or more errors in the terms in the Trade Ticket submitted, parties involved in the placement of the trades, including broker firms or other representatives, should expeditiously submit an error correction request to the Exchange, upon discovery of one or more errors in the Trade Ticket. In making such a request, please provide to the FMX Futures Control Desk details of the affected Block Trade, the nature of the error(s), and evidence that the counterparties to the trade agree to the correction request.

Parties to Block Trades, including broker firms or other representatives (where applicable), must contact the FMX Futures Control Desk at FMXFuturesControlDesk@FMX.com to request an error correction. Either party to the Trade may submit an error correction request to the Exchange within three business days. **All error correction requests are subject to review and approval by the Exchange.**

14 Creating Custom Trades View

1. Click the **Plus (+)** tab.
2. In the text field that appears, enter a name for the new tab, then click the Checkmark button to save it. A new tab is added and opens automatically in a new trade view.
3. In this new trade view, click **Show Filters** to display the available filter options.
4. Specify the desired filter criteria for this view.


The trades matching the specified filter criteria are displayed.

In the following example, a new **Trades** view named **Matched** was created to only display matched trades. The **MATCHED** status is specified in the **Status** filter field.


The screenshot shows the FMX BLOCK / EFRP TRADING interface. At the top, there are tabs for 'Trade Ticket', 'Trades', 'Alleged', 'Matched', and 'Submitted'. The 'Matched' tab is selected and highlighted with a yellow box. Below the tabs is a 'Hide Filters' button. The filter section contains several dropdown menus: Product (All Products), Instrument (All Instruments), Trade Type (All Types), Deal ID (Enter Deal ID), Status (MATCHED - highlighted with a yellow box), and Originator Side (All Sides). There are also input fields for Broker, Trader, Account, Buyer Clearer, and Seller Clearer, and date pickers for From (Execution D/T) and To (Execution D/T). A 'Notes' field is also present. At the bottom right of the filter section are 'Export CSV' and 'Clear All Filters' buttons. Below the filters is a table of trades. The table has columns for 'Acti...', 'Ex...', 'St...', 'Elap...', 'Tr...', 'In...', 'Pr...', 'Size', 'B...', 'B...', 'B...', 'Se...', 'Se...', 'Se...', and 'B...'. The 'St...' column is highlighted with a yellow box. The table contains three rows of trade data, all with 'MATCHED' status.

Acti...	Ex...	St...	Elap...	Tr...	In...	Pr...	Size	B...	B...	B...	Se...	Se...	Se...	B...
11/17/20...		MATCHED		BLOCK	FS3.OF.2...	97.0000	100	EVAL BA...	CG	DMZCG1A	DMZCG1A	CG	EVAL BA...	Block Cr...
11/17/20...		MATCHED		BLOCK	FS3.OF.2...	96.0000	452	EVAL BA...		FIVABC123	DMZCG1A		EVAL BA...	Local Bu...
11/17/20...		MATCHED		BLOCK	FS3.OF.2...	95.5000	100	EVAL BA...	CG	DMZCG1A	DMZCG1A	CG	EVAL BA...	Test buy...
11/17/20...		MATCHED		BLOCK	FS3.OF.2...	95.0000	100	EVAL BA...	ramon	FIVABC123	DMZCG1A	ramon	EVAL BA...	

15 Enabling Pop-up Messages

1. Click the Gear icon .
2. In the **Notifications** section of the **PREFERENCES** window, select the checkboxes for the statuses you want to receive notifications about. Leave any statuses you do not want to be notified about unchecked.
3. Click **Close** to save.

16 Enabling Trade Alerts in Trades View

1. Click the Gear icon .
2. In the **Notifications** section of the **PREFERENCES** window, select the **Display trade tab indicator for new trades** checkbox.
3. Click **Close** to save.

Document History

The following table lists the document revision history:

Doc Version	Date	Summary of Change
1.0	03-Dec-2025	Initial release.

Legal Notices

Property Notices

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