



Eurex Clearing

Clearing Web GUI Access Guide

Access to Clearing Web GUI Systems

C7 Clearing GUI EurexOTC Clear GUI Prisma Margin Calculator GUI Securities Clearing GUI

Version 3.5

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Introduction

1. Introduction

This document describes the required technical measures to be able to login and use the Eurex Clearing GUIs.

- C7 Clearing GUI
- EurexOTC Clear GUI
- Prisma Margin Calculator GUI
- Securities Clearing GUI

1.1 Intended Audience

For a successful setup the Member's IT department should take note of this document.

1.2 Connectivity

Basically, access to the Eurex Clearing GUIs is available via

- Internet
- GUI channel on leased lines

To access the C7 Clearing GUI it is necessary to request access to C7 beforehand.

All details (Technical access / Interfaces to Eurex Clearing / Clearing system usage fees) can be found on the Eurex Clearing webpage: <u>http://www.eurexclearing.com</u> > Tech > Connectivity alternatives

1.3 Enhanced security features

For the Clearing Web GUI a two factor authentication is implemented:

- 1st factor: Certificate authentication used to secure the connection between the Member and Eurex Clearing on a Business Unit level (MemberID level). The certificates are also used to distinguish between the simulation and production environments.
- 2nd factor: Username and password authentication used to login to the Eurex Clearing Web GUI Services (**UserID level**).

For the C7 Service, a third factor is implemented as well, which is based on network addresses.

1.3.1 Network security

The feature is currently completely configurable and activated only for the C7 Clearing GUI.

For the connection via Internet the Member can choose one of the following options:

- Allow Internet access without restrictions (default)
- Completely disable Internet access
- Allow Internet access for certain IP addresses given by the Member

Internet access: Per default any user of the given Member is permitted to access the application from any IP address. If the Member wants to restrict the default access, a list of IP addresses can be entered in the Member Section. Then it will only be possible to access the

| Eurex Clearing | Clearing | GUIs |
|----------------|------------------------------|------|
|----------------|------------------------------|------|

Introduction

application from these explicitly stated IP addresses. Internet access for the given Member can be completely blocked by setting the corresponding radio-button.

| Network Configuration User ID Configuration | | | | |
|---|--|--|--|--|
| Eurex Clearing GUIs Network Configuration | | | | |
| Internet Access: enabled O disabled | | | | |
| | | | | |
| Network Data | | | | |
| Add Row Remove Row | | | | |
| IP Address | | | | |
| 10.131.8.137 | | | | |
| 10.239.13.52 | | | | |
| 10.239.14.38 | | | | |

Leased Line access: Eurex Clearing allows access from the Member leased line networks and from any associated Service Provider respectively.

For the connection via leased line the GUI is checking the incoming IP address against the known network information for the corresponding Member.

In case a Member connects through a Service Provider, the IP address is also checked against the known networks of the Service Provider.

This implies that any Service Provider relationship needs to be maintained correctly in the Member Section if the Member is accessing any of the Eurex Clearing GUIs via the network of a Service Provider.

The relationships can be registered via "Technical Connection / Requests & Configuration / New Request / Provider / New Provider / GUI Channel".

1.4 Browser requirements

In order to connect successfully to the Eurex Clearing GUIs and to ensure a smooth service it is recommended to use one of the following web browsers to connect to the GUI:

- Firefox Latest ESR (extended support release). Usage of Firefox is strongly recommended.
- MS Internet Explorer 11 or higher
- Google Chrome

The required browser settings are:

- Enable session cookie handling
- Allow JavaScript execution
- Support security protocol TLS 1.2
- IT-Security Patches are highly recommended.

Note: See "Appendix D – Browser setup details" for further information about browser settings.

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Note: The network proxy settings must be configured according to the local network rules given at the Member-side.

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|-------|----------|------------------------------|------|

Ordering Certificates

2. Ordering Certificates

On the Member Section, go to Technical Connection / Requests & Configuration / New Request / New Connection:

| | | | | My Profile |
|--|--------------------------|--------------------------|---------------------------|-------------------------------|
| ECurex clearing | Technical Connection | Admissions & User IDs | Invoices & Fee Reports | Risk & Collater Management |
| Technical Connection Membership Incident Tickets Requests & Configuration | Overview New New New req | v Request Request B | Basket Request Ov | erview Current Cont |
| Monitors and Statistics Connection Monitors | New Connection | New Session Change | Session Cancel Sess | ion Reset Connectivity |
| Roundtrip Statistics Values | Location/Selection | on: Please select | | ▼ Search |
| Roundtrip Statistics | Installations | | | Components |

Choose option "Certificates" and click on "Next Step":

| Variant |
|---|
| Consolidated connections Consolidated connections are available with different bandwidths. This bandwidth can be partitioned for different service Broadcast Solution and Enhanced Transaction Solution). |
| Dedicated Leased Line Connections Dedicated Leased Line Connections are not partitioned, but consist of only one bandwidth. Multi-Interface channels are also dedicated leased lines. All Eurex Multi-Interface channels and GUI channels can be ordered here. |
| O 10 GBit/s cross-connects in co-location Dedicated cross-connects for Enhanced Broadcast Solution, Enhanced Transaction Solution, Eurex Market Data and E |
| Certificates Internet- and leased line based access to Deutsche Börse Group's trading and clearing systems from any location by m web browser using display technology. |
| Open Internet |
| Back Cancel Save Next step |

Choose option "Clearing GUI" and click on "Next Step":

| Variant | |
|--|-------|
| Clearing GUI Order access to the C7 Derivatives Clearing GUI, the Eurex OTC Clear GUI, the Margin Calculator GUI and Securities Clearing GUI. | |
| O Web Trading | |
| | rrent |

Ordering Certificates

Select the contact, MemberID, and environment and then click on "Next":

| Select Clearing GUI Certificate Contact |
|---|
| Name: |
| Phone: Email: |
| Reset contact information Select contact |
| Select member ID |
| Member ID: |
| Select environment |
| Note: If you click both environments, you will get a separate certificate for each environment. Market/Service Member ID Production Simulation Eurex Clearing GUI Image: Clearing GUI Certificates will expire after two years. |
| Back Cancel Save Next Current Configuration |

Check the overview and click on "Add to request basket". Please note that this creates only a "draft request". Your request will still need to be approved by someone with approval rights. All Central Coordinators automatically have this right. It can also be assigned to other Member Section users.

Once the certificate has been created by Eurex Clearing, an e-mail notification will be sent. The e-mail will include the password for the certificate, which is needed when you upload the certificate into your user's browser.

On the Member Section, go to Technical Connection / Requests & Configuration / Current Configuration and select "GUI Certificates" from the drop down menu in the Location/Selection area, to view the Eurex Clearing GUI certificate(s):

| ECeurex clearing | Technical Connection | Admissions & User IDs | Invoices & Fee Reports | Risk & Collateral Management | Technology | Clearing Resources |
|---|-------------------------|--------------------------|---------------------------|---------------------------------|--------------------|-----------------------|
| Technical Connection Overview New Request Basket Request Overview Current Configuration Membership Incident Ticket Current configuration Requests & Configuration Current configuration | | | | | | |
| Connection Monitors Roundtrip Statistics | Location/Selection | n: GUI Certificates | | Search | | |
| Values Roundtrip Statistics - Sen GUI Certificates - Clearing GUI - Certificates - Clearing GUI | | | | • 😿 CERTIFICA | TE: 1064859-PAKFR_ | CLEARPROD_001 |

In order to find a particular certificate, please click on the actual certificate name in the right-side window. You will then find the "Download" button for the certificate, just like in the screenshot below:

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| Eurex Clearing - Clearing GUIs | |
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|--------------------------------|--|

| Eurex | Clearing | Clearing | GUIs |
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Ordering Certificates

| Location/Selection: GUI • 🎥 GUI Certificates • 😿 Eurex Clearing G | | ; | × | Search CERTIFICATE: | 1064859-PAKFR_CLEARPROD_001 |
|---|------------|--------------------|-----------|------------------------------|---|
| Reset Session Password | | | | | |
| Details Clearing GUI | | | | | |
| Create incident ticket | | | | | |
| User ID: | | | | | |
| Certificate Type: | Clearing G | JUI | \ \ | /alid to: | 26.09.2018 |
| Environment: | EUREX P | roduction | h | Member ID: | PAKFR |
| Please note that the validity performed according to the | | | matically | affect the validity of an ac | count. The invoicing for accounts continues to be |
| Certificate | | | | | |
| Date of Upload | | Name of Certifica | te | | |
| 26.09.2016 | | ł | | | Download |
| LSM | | _ | - | _ | |
| Connection Type | | Market | | Member ID | Line ID (Billing ID) |
| Certificate | | Eurex Clearing GUI | | PAKFR | 170332 |

Download and save the certificate at a secure location.

Upload the certificate into the browser of the GUI user. For example, if you are using Internet Explorer, you would go to Settings / Internet options / Content / Certificates / Import. Please note that you will be prompted to enter the password that you have received in the beforementioned e-mail.

Once you have uploaded the certificate into the browser, you can log into the respective GUI.

3. Appendix A – URL overview

| Service | Internet | Leased Line |
|--------------------------|---|--|
| C7 Clearing GUI | https://simulation.eurexclearing.com:94 | https://simulation.vpn.eurexclearing.com:9 |
| Simulation | 43/C7_GUI/ | 443/C7_GUI/ |
| C7 Clearing GUI | https://production.eurexclearing.com:84 | https://production.vpn.eurexclearing.com:8 |
| Production | 43/C7_GUI/ | 443/C7_GUI/ |
| EurexOTC Clear GUI | https://simulation.eurexclearing.com:94 | https://simulation.vpn.eurexclearing.com:9 |
| Simulation | 43/OTC_GUI/ | 443/OTC_GUI/ |
| EurexOTC Clear GUI | https://production.eurexclearing.com:84 | https://production.vpn.eurexclearing.com:8 |
| Production | 43/OTC_GUI/ | 443/OTC_GUI/ |
| Prisma Margin Calculator | https://simulation.eurexclearing.com:94 | https://simulation.vpn.eurexclearing.com:9 |
| GUI Simulation | 43/Margin_Calculator/ | 443/Margin_Calculator/ |
| Prisma Margin Calculator | https://production.eurexclearing.com:84 | https://production.vpn.eurexclearing.com:8 |
| GUI Production | 43/Margin_Calculator/ | 443/Margin_Calculator/ |
| Securities Clearing GUI | https://simulation.eurexclearing.com:94 | https://simulation.vpn.eurexclearing.com:9 |
| Simulation | 43/LOGIN_GUI/ | 443/LOGIN_GUI/ |
| Securities Clearing GUI | https://production.eurexclearing.com:84 | https://production.vpn.eurexclearing.com:8 |
| Production | 43/LOGIN_GUI/ | 443/LOGIN_GUI/ |

Note: IP-addresses

- Production/Leased Line access IP-address 193.29.93.171
- Simulation/Leased Line access IP-address 193.29.93.172
- Production/Internet Line access IP-address 193.29.90.161
- Simulation/Internet Line access IP-address 193.29.90.162

More details about the networks and the IP-addresses is to be found in "Eurex Exchange and Eurex Clearing Network Access Manual". The corresponding manual for C7 can be found at www.eurexclearing.com \rightarrow Tech \rightarrow C7 \rightarrow System documentation.

Appendix B – Support information

4. Appendix B – Support information

Member Section

Technical support is available under: Phone: +49 (0) 69- 21 1 –1 78 88 E-Mail: <u>member.section@eurex.com</u>

Customer Technical Support

Support for all technical issues is available under: Phone: +49 (0) 69- 21 1 – <TKAM VIP Number per Client> Fax: +49 (0) 69- 21 1 11201 E-Mail: <u>cts@deutsche-boerse.com</u>

• C7 Clearing GUI

For C7 Clearing GUI related questions a hotline is available under: Phone: +49(0)69-211-1 12 50 Fax: +49 (0) 69-211- 1 43 34 E-Mail: <u>clearing@eurex.com</u>

• EurexOTC Clear GUI

For general OTC IRS related questions the EurexOTC Clear Hotline is available under: Phone: +49(0)69-211-1 28 28 Fax: +49 (0) 69-211-61 28 28

E-Mail: OTCClear@eurex.com

For General Simulation related questions the OTCClear Simulation Hotline is available. OTCClear Hotline (Simulation) Service times: 8:00 - 18:00 CET (Monday - Friday). Phone: +49(0)69-211-1 25 25 Fax: +49 (0) 69-211-61 25 25

E-Mail: OTCClear.simulation@eurex.com

Prisma Margin Calculator GUI

For general Margin Calculator related questions the EurexOTC Clear Hotline is available. EurexOTC Clear Hotline (**Production**) Service times: 08:00 - 22:00 CET (Monday – Friday) Phone: +49 (0) 69-211-1 28 28 Fax: +49 (0) 69-211-61 28 28 E-Mail: OTCClear@eurex.com For General Simulation related questions the OTCClear Simulation Hotline is available.

OTCClear Hotline (Simulation) Service times: 8:00 - 18:00 CET (Monday - Friday).

Phone: +49 (0) 69-211-1 25 25

Fax: +49 (0) 69-211-61 25 25

E-Mail: OTCClear.simulation@eurex.com

Appendix D – Browser setup details

5. Appendix D – Browser setup details

5.1 Internet Explorer

The provided examples are relevant for Microsoft Internet Explorer 11.

- Enable session cookie handling:
- 1. Click on the Tools menu.
- 2. Select Internet Options in the menu a new window opens.
- 3. Click on the **Privacy** tab near the top of the window.
- 4. Click on the Advanced button of the window.
- 5. Select the Option **Override automatic cookie handling** and choose **Accept** for First- and Third-party Cookies.
- 6. Save changes by clicking OK.

| Advanced Privacy Settings | X | | | | | |
|--|---------------------|--|--|--|--|--|
| You can choose how cookies are handled in the Internet zone. This overrides automatic cookie handling. | | | | | | |
| Cookies | | | | | | |
| Verride automatic cookie | handling | | | | | |
| First-party Cookies | Third-party Cookies | | | | | |
| Accept | Accept | | | | | |
| Block | Block | | | | | |
| Prompt | Prompt | | | | | |
| Always allow session c | ookies | | | | | |
| | OK Cancel | | | | | |

Figure 1: Advanced Privacy Settings (Cookie handling) for Internet Explorer

- Allow Javascript execution
- 1. In Tools, click Internet Options, and then click on Security tab.
- 2. Click the Internet zone and choose Custom Level.
- 3. Set the corresponding settings as shown below and click **OK**.

Appendix D – Browser setup details

| Security Settings - Internet Zone | | x |
|---|----|---|
| Settings | | |
| Scripting | * | |
| Active scripting Disable | | |
| Disable Disable | | |
| Prompt | | |
| Allow Programmatic clipboard access | | |
| Disable | | |
| Enable | | |
| Prompt | | |
| Allow status bar updates via script | | |
| Disable Enable | | |
| Allow websites to prompt for information using scripted windows | | |
| Disable | | |
| Enable | | |
| Enable VSC filter | - | |
| 4 m > 1 | | |
| *Takes effect after you restart your computer | | |
| Reset custom settings | | _ |
| Reset to: Medium-high (default) | | |
| | | |
| | | |
| OK Cano | el | |
| | | |
| | | |

Figure 2: Configuration of Security Settings for Internet Explorer

Note: To allow scripting on one special website only and to leave scripting disabled in the Internet zone, add this one website to the trusted sites zone.

• Support security protocol TLS 1.2

The below settings can be set as follows.

- 1. On the **Tools** menu, click **Internet Options**.
- 2. On the Advanced tab under Security the following box must be ticked:
 - Use TLS 1.2
- 3. Click Apply, and then click OK.

| Internet Options |
|---|
| General Security Privacy Content Connections Programs Advanced |
| Settings |
| Enable Integrated Windows Authentication* Enable native XMLHTTP support Enable SmartScreen Filter Enable Strict P3P Validation* Send Do Not Track requests to sites you visit in Internet E Use SSL 2.0 Use SSL 3.0 Use TLS 1.0 Use TLS 1.1 V Use TLS 1.2 Warn about certificate address mismatch* Warn if changing between secure and not secure mode Warn if POST submittal is redirected to a zone that does n |
| → |
| *Takes effect after you restart your computer |
| <u>R</u> estore advanced settings |
| Reset Internet Explorer settings |
| Resets Internet Explorer's settings to their default Reset |
| You should only use this if your browser is in an unusable state. |
| Some <u>settings</u> are managed by your system administrator. |
| OK Cancel Apply |

Figure 3: Enabling secured transport protocols for Internet Explorer

5.2 Firefox

• Enable session cookie handling

Cookies are enabled by default in Firefox.

- 1. At the top of the Firefox window, click on the Firefox button and then click Options.
- 2. Select the Privacy panel.
- 3. Under History: Select Use custom settings for history from dropdown menu.
- 4. Tick Accept cookies from sites to enable Cookies and untick it to disable them.

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Appendix D – Browser setup details

| Options | | | | | | | × |
|---------------------------------|-----------------------------------|--|-----------------|------------|----------|-----------|---------------|
| General | Tabs | 页 Content | Applications | Privacy | Security | C Sync | k Advanced |
| | | o <u>n</u> ot want t vant to be tra | o be tracked | | | | |
| Do not Learn Mor | | anything ab | out my tracking | preference | 5 | | |
| History Firefox <u>w</u> ill | : Use cu | istom settin | gs for history | • | | | |
| | Remem | | wsing and down | | у | | |
| | Accept | cookies fror | | | | Exce | eptions |
| | A <u>c</u> cept <u>K</u> eep u | third-party ntil: they e | | ys · | • | Show C | ookies |
| | | istory when | Firefox closes | | | Se | ttings |
| Location B When <u>u</u> sin | | ition bar, su | ggest: History | and Bookr | narks 🔻 | | |
| | | | | OK | Cance | ! | <u>H</u> elp |

Figure 4: Cookie handling for Firefox

Choose how long cookies are allowed to be stored:

- Keep until: *they expire*: Each cookie will be removed when it reaches its expiration date, which is set by the site that sent the cookie.
- Keep until: I close Firefox: The cookies that are stored will be removed when Firefox is closed.

Allow JavaScript execution

JavaScript execution must be enabled in the Firefox Browser. This is a default setting in newer Firefox versions. It can be checked by entering about:config directly into the Firefox browser as shown below.

Appendix D – Browser setup details

| Firefox ▼ about:config + | | | | | | | | |
|--|-------------------|-----------------|-----------------|---|---|---|---|---|
| Firefox about:config ☆ ▼ C S - t | oe careful i | f you change | something here! | ٩ | • | Ŧ | ⋒ | * |
| | | | | | | | | |
| Sea <u>r</u> ch: *javascript.enabled | | | | | | | | > |
| Sea <u>r</u> ch: *javascript.enabled Preference Name | Status | Туре | Value | | | | | × |
| | Status default | Type boolean | Value true | | | | | |

Figure 5: Checking if JavaScript execution is enabled for Firefox

In some older Firefox versions JavaScript execution must be enabled manually (see the example below).

- 1. In the Options window, select the Content tab.
- 2. Check box Enable JavaScript: Select this option to permit the execution of JavaScripts.

| General | Tabs | 页 Content | Applications | Privacy | Security | k Advanced |
|----------|------------------------|-----------------------|--------------|---------|----------|------------------|
| | pop-up w images aut | indows tomatically | | | | ceptions |
| 🔽 Enable | e <u>J</u> avaScrip | t | | | A | d <u>v</u> anced |

Figure 6: Enabling of JavaScript for Firefox

• Support security protocol TLS 1.2

In newer Firefox versions TLS protocols are being used per default.

5.3 Google Chrome

• Enable session cookie handling

Cookies are usually enabled per default in Google Chrome. This can be checked by entering chrome://settings/content directly into the browser as shown below.

| Furex | Clearing | - Clearing | GUIs |
|-------|----------|------------|------|
| Luick | oleaning | - Olcanny | 0013 |

Appendix D – Browser setup details

| Settings - Content setting: × | |
|--|-------|
| ← → C C chrome://settings/content | ☆ = |
| Content settings | × |
| Cookies | 0 |
| Allow local data to be set (recommended) Keep local data only until I quit my browser | |
| Block sites from setting any data | |
| Block third-party cookies and site data Manage exceptions All cookies and site data | |
| | Done |
| Font size: Medium 🗸 Customize | fonts |

Figure 7: Enabling cookies for Google Chrome

Allow JavaScript execution

JavaScript is usually enabled per default in Google Chrome. This can be checked by entering chrome://settings/content directly into the browser as shown below.

| Settings - Content setting: × | |
|---|--------|
| ← → C C chrome://settings/content | ය ස |
| | |
| Content settings | × |
| JavaScript | |
| Allow all sites to run JavaScript (recommended) | |
| Do not allow any site to run JavaScript | |
| Manage exceptions | |
| | Done |
| | |

Figure 8: Enabling of JavaScript for Google Chrome

- Support security protocol TLS 1.2
- 1. On the Control Panel click Internet Options.
- 2. On the Advanced tab under Security, make sure that the following box is ticked:

Appendix D – Browser setup details

- Use TLS 1.2
- 3. Click Apply, and then click **OK**.

| Internet Options | 2 × | |
|---|--------------------------------------|--|
| General Security Privacy Co | ontent Connections Programs Advanced | |
| Settings | | |
| Enable Integrated Windows Authentication* Enable native XMLHTTP support Enable SmartScreen Filter Enable Strict P3P Validation* Send Do Not Track requests to sites you visit in Internet E Use SSL 2.0 Use SSL 3.0 Use TLS 1.0 Use TLS 1.1 Use TLS 1.1 Varn about certificate address mismatch* Warn if changing between secure and not secure mode Warn if POST submittal is redirected to a zone that does n | | |
| < III | 4 | |
| *Takes effect after you restart your computer | | |
| | Restore advanced settings | |
| Reset Internet Explorer settings | | |
| Resets Internet Explorer's settings to their default Reset | | |
| You should only use this if your browser is in an unusable state. | | |
| Some <u>settings</u> are managed by your system administrator. | | |
| | OK Cancel Apply | |

Figure 9: Enabling secured transport protocols for Google Chrome

6. Change log

Major changes applied to this document after the last version has been published.

| Version | Date | Change |
|---------|------------|---|
| 3.2 | 21.03.2016 | IP Address web application |
| 3.3 | 26.06.2017 | C7 release 4.0 update |
| 3.4 | 28.05.2019 | Updated list of browsers |
| 3.5 | 09.02.2021 | Updated document paths on the Eurex website and supported TLS version |