Trading Admin

Authorized Trader Management System (ATMS)

User Guide
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1 Overview

ICE’s Authorized Trader Management System (ATMS) is provided to allow ICE trading entities to register and manage the details of the individuals placing orders on the ICE trading system via FIX User IDs. Information about individuals using the Authorized Trader IDs shall be entered into ATMS, and the Authorized Trader IDs shall be submitted on FIX Orders’ Tag 116 Right. Note there are Trader Identification requirements for certain ICE markets, and these should be consulted alongside this User Guide:

ICE Futures Europe https://www.theice.com/publicdocs/circulars/17023%20attach.pdf

1.1 Terminology Used in this Document

User ID: The login ID assigned to a person or entity assigned by the ICE Helpdesk when a firm or individual has been approved for trading.

Authorized Trader ID: An ID that identifies an individual or Automated Trading System team entering orders on the ICE trading system via a FIX User ID.

Contact: An individual associated with an Authorized Trader ID.

ATS: An Automated Trading System.
2 Logging in to the Authorized Trader Management System
Individuals who are User Administrators for ICE trading companies will have access to the Authorized Trader Management System.

2.1 Logging in via ICE Identifier Admin (IIA)
You may access ATMS via ICE Identifier Admin from www.theice.com - Click “Login” in right corner of page and then select ICE Identifier Admin

Or click the ATMS link on the credit management page

2.2 User will be prompted to enter user ID and password and then will be navigated to the ICE Identifier Admin site
To access ATMS click on the ATMS tab on top left (if user does not have access to MIFID then the default for the user will be ATMS)

2.3 ATMS Main screen
At the top-right-hand side of the ATMS main screen, your user name and a drop-down list of all companies for which you are an administrator will appear, sorted alphabetically.
3 Viewing User IDs
The default view for ATMS is the Users tab.

The User IDs displayed on the left-hand side of the screen are those with trading privileges at the selected company, listed alphabetically by User ID. The columns in this display can be reordered by left-clicking on the column headers and dragging them to a different location on the screen.

Please note that ATMS provides an interface for assigning Authorized Trader IDs to FIX User IDs and editing the details about the individuals associated with the Authorized Trader IDs. The details about User IDs themselves are not editable in ATMS. Please contact the ICE Helpdesk at +1 770 738 2101 (US), or +44 (0) 20 7488 5100 (UK) to update User ID information.
3.1  User ID Status

User IDs listed in red are FIX User IDs that have no Authorized Trader IDs registered to them. In addition the number of authorized Trader IDs registered to them is displayed. Please see Adding an Authorized Trader ID to a User ID for details on creating Authorized Trader IDs.

3.2  Hiding WebICE User IDs

By default, all User IDs with permissions at the company will be displayed, regardless of their access type (WebICE or FIX). Only FIX-enabled User IDs will have corresponding Authorized Trader IDs. To hide WebICE-only User IDs, uncheck Show WebICE Users.
3.3 **Shared User IDs**

The *Shared* field indicates whether a FIX User ID is used by more than one individual or Authorized Trader. Update the shared flag by clicking on the check box on the user row.

---

4 **Viewing Authorized Trader IDs and Contacts**

4.1 **Viewing Authorized Trader IDs assigned to Users**

To view the Authorized Trader ID or IDs associated with a User ID, click on that User ID. The corresponding authorized trader IDs will be displayed for the user in the right pane.

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The Authorized Trader IDs’ Contacts’ details will also display in this view. You may rearrange the columns displayed here by clicking and holding down the left mouse button, then dragging and dropping them to a new location.

4.2 **Viewing all Authorized Trader IDs**

To view a list of all Authorized Traders assigned to the Company, click on the *Authorized Trader IDs* tab.
All Authorized Trader IDs belonging to the Company will be displayed here. In addition, some of the Authorized Trader IDs’ Contacts’ details will also display in this view. The list of User IDs to which the Authorized Trader ID is assigned is listed in the Associated Users column. You may rearrange the columns displayed here by clicking and holding down the left mouse button, then dragging and dropping them to a new location.

4.3 Emailing Authorized Trader Contacts

Clicking on an email address in the Authorized Trader List within both the Users tab and the Authorized Trader IDs tab will launch your default email client application.

4.4 Viewing Contacts for Automated Trading Systems (ATSs)
Authorized Trader IDs that are used by Automated Trading Systems (ATSs) are marked with a checkbox in the ATS column.

An ATS Authorized Trader ID may have more than one Contact associated with it, indicating that a team of individuals is responsible for its operation. The Contact viewable by default on an ATS Authorized Trader ID is its Primary Contact. To view all contacts registered to an ATS Authorized Trader ID, toggle the ID by clicking the arrow next to the Authorized Trader ID. All the ATS Contacts will be displayed; the Primary Contact will be shown in blue text.

4.5 Viewing All Contacts assigned to Authorized Traders

To view all contacts assigned to Authorized Traders, check Expand All in either the Users or Authorized Trader IDs tab. On the Users tab, this will display all Authorized Trader contacts (including secondary contacts for Automated Trading Systems) assigned to the selected user.
On the Authorized Trader IDs tab, this will display all contacts assigned to all Authorized Trader IDs registered to the company.
4.6 Viewing Contact Details

To open a view-only window containing all details of a given Contact, from the Users or the Authorized Trader IDs tab, click on an Authorized Trader ID.

From there, double click the Contact to open the Contact window.
5 Managing Authorized Trader IDs and User IDs

5.1 Adding an Authorized Trader ID to a User ID
To add an Authorized Trader ID to a User ID, click on the authorized trader count on the user row. The Add/Remove Trader IDs will be displayed. Authorized traders can be assigned/removed from the user ID using the arrows. Checking Include Inactive will also display those Authorized Trader IDs that are not currently assigned to any User IDs.

5.2 Assigning Existing Authorized Trader IDs to a User ID
You may assign an existing Authorized Trader ID (and with it, all of its contacts) to a User ID (s) by selecting the Authorized Trader ID and then click on the Users tab and assign to a user or multiple users by using the arrows.
5.3 Creating a New Authorized Trader ID record in ATMS

To create a new Authorized Trader ID click on the user and then click on the new authorized trader button. The new authorized trader pop-up window will be displayed.
Enter the Authorized Trader ID and then select an existing contact or create a new contact - A contact must be selected to save the new Authorized trader ID

Authorized Trader IDs may be comprised of up to 20 alphanumeric characters. Special characters are permitted, but spaces are not. Remember, it is important that the Authorized Trader ID in ATMS matches the actual FIX Tag 116 Right being used. ATMS does not perform any validation against the trading system to ensure there is an Authorized Trader ID that matches the entry in ATMS.

6 Adding a Contact to an Authorized Trader ID

When a new Authorized Trader ID is created in ATMS, a primary contact must be associated with it prior to saving. To add a contact to the Authorized Trader ID click on the Authorized Trader and the Edit Authorized Trader ID will be displayed.
6.1 Assigning an existing Contact to an Authorized Trader ID

The list of existing Contacts within a company will be displayed in the Contacts list on the left-hand side of the Edit authorized Trader ID window. Checking Include Inactive will also display Contacts that are not currently assigned to any Authorized Trader IDs.

To assign an existing Contact to the Authorized Trader ID by highlight contact it and then clicking the -> button(s).

6.2 Assigning a New Contact to an Authorized Trader ID

You may create a new Contact by clicking +Contact in the Edit Authorized Trader ID window.
Fill out each field – specific requirements for each field may be specified in exchange rules or other exchange communications:

**Employing Company:** The individual’s Employer. See the next section of this document for further details.

**First Name:** The individual’s first name.

**Middle Initial:** The individual’s middle initial.

**Last Name:** The individual’s last name.

**Phone:** The individual’s business phone number. Please include the country code for countries outside the US and Canada.

**Alternate Phone:** An alternate phone for contacting the individual. Please include the country code for countries outside the US and Canada.

**Email:** The individual's business email address.

**Country:** The country in which the individual will be trading.

**Date of Birth:** The individual’s date of birth, where the provision of this information is permissible by law.

**Role:** The individual’s Role. Valid values include Head Trader, Trader, Trade Monitor, Risk Monitor, Technical/Programmer, and Other.

**NFA ID:** The individual’s National Futures Association ID, if any.

### 6.3 **Modifying a Contact’s Employing Company**

If a Contact is not employed by the associated User ID’s company, you may either assign one of the other companies for which you are a User Administrator (if appropriate), or create a new Company. You will not be able to save a contact until it has been assigned a valid Employing Company. As noted below, independent traders are assigned their own name as their Employing Company.

To select from the list of other companies already created and available for assignment in the system, delete the text in the Company field and start typing in the name of a Company for which you would like to search. Select from the dropdown that will appear.
To create a new Company, type in the Company Name you would like to create, and click “…”. The *Edit Employing Company* window will open.

Fill out the Company’s information, including: Address 1, Address 2, City, State, Postal Code, and Country. The first address line, city and country are required fields.

For self-employed individuals, please enter the individual’s name in the Company field, and complete the additional information on the *Add Employing Company* screen appropriately.

After this information has been completed, click *Save*. 
Editing an Existing Contact’s Details

There are two ways to access the Edit Contact screen, each from within the Users or Authorized Trader IDs tab.

The first method is to click on an Authorized Trader ID. The Edit Authorized Trader ID window will open. You can then view and edit the contact details by clicking on the contact name.

Alternately, toggle the Authorized Trader ID’s contact list by clicking the arrow to the left of the Authorized Trader ID. Then click on the contact.

Update the fields that you would like to change, then click Save.

Note that Exchange Rules may dictate what information may be changed on a Contact; for example, updating a Contact’s phone number or email address is acceptable, but if the actual individual represented by the contact is changing, then creating a new Authorized Trader ID is normally required.
8 Creating an ATS Authorized Trader ID

8.1 Designating an Authorized Trader ID as an ATS

To create an ATS Authorized Trader ID, first check the Automated Trading System check box when creating the Authorized Trader ID.

Alternately, you may check the ATS box in the Authorized Trader ID list view:

8.2 Assigning ATS Contacts and Primary Contact

After marking the Authorized Trader ID as an ATS, create and/or assign one Contact for each member of the ATS team. This can be accomplished in the same manner as adding Contacts to non-ATS Authorized Trader IDs. Multiple Contacts may be assigned at once by holding down the Ctrl key while highlighting Contacts in the Edit Authorized Trader ID window. The first Contact you add to the ATS Authorized Trader ID will be designated as its Primary Contact by default. If another individual is to serve as the Primary Contact, please select the appropriate person from the Primary Contact drop-down.
9 Removing an Authorized Trader ID from a User ID

To remove an Authorized Trader ID from a User ID, use the arrows between panels to remove authorized trader ID from the user ID.

10 Deactivating an Authorized trader ID

To completely deactivate an Authorized Trader ID, that is, remove it from its associations with ALL its User IDs; uncheck the Active box when viewing that Authorized Trader ID from one of its User IDs.
The system will warn you when making this choice to avoid inadvertent deactivation of Authorized Trader IDs.

11 Removing a Contact from an Authorized Trader ID
To remove a Contact from an Authorized Trader ID, click on the Authorized Trader ID to open the Edit Authorized Trade ID window. In the right contacts pane, highlight the Contact you would like to remove, and click the < button.

Note that the ATS Primary Contact may not be removed using this method; a new Primary Contact must be assigned in the Edit Authorized Trader ID window before a Primary Contact can be removed.

12 Searching User IDs, Authorized Trader IDs, and Contacts

12.1 Searching User ID Information
To search User ID details, click on the search tab and then enter the search criteria and click the Search button.
The user list will be filtered dynamically as you type; displaying matches in the User ID, First Name, Last Name, Phone, email, and Access Type (FIX or WebICE) fields.

Click the x icon in search box to reset the search

12.2 Searching Authorized Trader ID and Contact Information
To search Authorized Trader ID and Contact details, type a search string into the Search table... box. Results can be displayed by type by clicking on the corresponding tab.

The user list will be filtered dynamically as you type; displaying the Authorized Trader IDs and associated contacts where one or more of the contacts’ Authorized Trader ID, First Name, Last Name, Phone and Email fields match the search string.

13 Bulk Upload of Authorized Trader IDs
You may use the File Upload feature to upload all Authorized Traders to ATMS from one csv file.

First, click the File Upload tab. Then, you can download a template for uploading data by clicking Download Current Data. Click OK when prompted, and then select the location on your computer where you would like to save the comma-delimited file. The file will also contain all active Authorized Traders data that are already entered into the system, or it will contain a header row only if no data is yet entered in the system.
13.1 Editing the File to Upload

You may open and edit the file in a spreadsheet application, but be sure to save the file with its original ".csv" extension.

The fields/columns contained in the csv file format are described in the appendix. The following sections contain instructions for uploading, updating, or deleting data.

Any user IDs or Authorized Trader IDs that are not contained in a given file upload will not be modified.

13.2 Adding an Authorized Trader to a User ID via Bulk Upload

To add new Authorized Trader IDs, add one new line for each combination of User ID + Authorized Trader ID + Contact to the csv file.

13.3 Assigning Authorized Trader IDs to more than one User ID via Bulk Upload

To assign an authorized Trader ID to more than one User ID, create one line for that Authorized Trader ID and contact info, and enter each user ID in the user_id field, separating each value with a pipe and no spaces (|). Example: In the following file excerpt, Authorized Trader ID jdoe is being assigned to 3 logins: jdoe-fx1|jsmith-fx2|rsmith-fx3.

13.4 Adding a new contact to an Authorized Trader ID via Bulk Upload

To add a new contact to an Authorized Trader ID that already exists in the ATMS system, create a line for that the User ID + Authorized Trader ID + Contact information in the upload file. If the Authorized Trader ID is not an Automated Trading System (is_ats = "N"), then the existing contact will be replaced by the new information, and the old contact will be removed from the Authorized Trader, and deactivated if the contact is no longer associated with any Authorized Trader IDs. Please note: Exchange guidelines may prohibit the reuse of authorized trader IDs, so be cautious when using this option.

13.5 Assigning an existing contact to an Authorized Trader ID via Bulk Upload

To add a contact that already exists in the ATMS system to an Authorized Trader ID, create a line in the file for that User ID + Authorized Trader ID + Contact information in the upload file. You will need to supply all of the contact details as specified in the template.

13.6 Editing an existing contact's details via Bulk Upload

To change a contact's details, modify the contact details field(s) that have changed in each line of the file in which the contact appears, taking care that each row contains identical information for the contact.
13.7 Removing an Authorized Trader ID from a User ID via Bulk Upload
To deactivate an Authorized Trader ID, create a line in the file that has only the auth_trader_id field populated.

13.8 Uploading the file
Once you have finished updating the data in the csv file, click Upload File and then navigate to the file you want to upload in the dialog box. Be sure the file is saved with its original "csv" extension.

A summary of the changes that will be processed will be displayed. Click Proceed or Cancel.

13.9 Viewing bulk upload change history
You may view the history of the changes made via bulk upload at any time in the File Upload tab. Click a Download link underneath File to see the actual file you uploaded, or a Download link underneath Snapshot to see the state of the data in the system prior to the file being uploaded.

14 Exporting Authorized Trader IDs to a File - alternate format
To export a list of all Authorized Trader IDs and their associated Contacts and User IDs, even those that are deactivated, click the Export icon at the top right-hand side of the application.

Click OK when prompted, and then select the location on your computer where you would like to save the comma-delimited file.

Please note, the format of files downloaded in this manner is not compatible with the bulk upload process described in the previous section.
# Appendix I: Bulk Upload CSV File

The spreadsheet or file shall be set up with the following columns. One record/row per each combination of User Id, Authorized Trader ID, and contact must be included.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Definition and usage</th>
<th>Required?</th>
<th>Data Type</th>
<th>Max Size</th>
<th>Sample Value</th>
<th>Format/Usage Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>user_id</td>
<td>The User ID or IDs used to log in to the Exchange.</td>
<td>Y</td>
<td>Alpha</td>
<td>30</td>
<td>jdoe1-fx1</td>
<td>To associate one authorized trader ID with multiple login IDs, enter them all in this one field, with each value separated by a pipe. For example: jdoe-fx1</td>
</tr>
<tr>
<td>auth_trader_id</td>
<td>The identifier of the individual entering orders into the Exchange.</td>
<td>Y</td>
<td>Alpha</td>
<td>20</td>
<td>johnjohnson</td>
<td>No spaces allowed in this field.</td>
</tr>
<tr>
<td>is_ats</td>
<td>A flag identifying whether the Authorized Trader ID is for use by an Automated Trading System.</td>
<td>Y</td>
<td>Alpha</td>
<td>1</td>
<td>N</td>
<td>Must be Y or N.</td>
</tr>
<tr>
<td>first_name</td>
<td>The first name of the individual associated with the Authorized Trader ID.</td>
<td>Y</td>
<td>Alpha</td>
<td>30</td>
<td>John</td>
<td></td>
</tr>
<tr>
<td>last_name</td>
<td>The last name of the individual associated with the Authorized Trader ID.</td>
<td>Y</td>
<td>Alpha</td>
<td>100</td>
<td>Johnson</td>
<td></td>
</tr>
<tr>
<td>middle_initial</td>
<td>The middle initial of the individual associated with the Authorized Trader ID.</td>
<td>N</td>
<td>Alpha</td>
<td>1</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>phone</td>
<td>The individual’s business phone number.</td>
<td>Y</td>
<td>Number</td>
<td>30</td>
<td>3125551212</td>
<td>Please include the country code for countries outside the US and Canada. Do not include any formatting characters such as +, () or -.</td>
</tr>
<tr>
<td>email</td>
<td>The individuals’ business email address</td>
<td>Y</td>
<td>Alpha</td>
<td></td>
<td><a href="mailto:johnj@eml.com">johnj@eml.com</a></td>
<td></td>
</tr>
<tr>
<td>country</td>
<td>The country in which the individual will be trading. Must be from the list of country codes provided below.</td>
<td>Y</td>
<td>Alpha</td>
<td>3</td>
<td>USA</td>
<td>Must be from the list of country codes provided in the Appendix.</td>
</tr>
<tr>
<td>date_of_birth</td>
<td>The individual’s Date of Birth. Not required for residents of Canada.</td>
<td>Required if available and not restricted by privacy laws or other legal barriers</td>
<td>Number</td>
<td>8</td>
<td>19650101</td>
<td>YYYYMMDD</td>
</tr>
<tr>
<td>Field Name</td>
<td>Field Definition and usage</td>
<td>Required?</td>
<td>Data Type</td>
<td>Max Size</td>
<td>Sample Value</td>
<td>Format/Usage Notes</td>
</tr>
<tr>
<td>--------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
<td>-----------</td>
<td>-----------</td>
<td>----------</td>
<td>--------------</td>
<td>-----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>role_name</td>
<td>The individual’s role in trading. Must be one of: Head Trader, Trader, Risk Monitor, Trading Monitor, Technical/Programmer, or Other</td>
<td>Y</td>
<td>Alpha</td>
<td>20</td>
<td>Head Trader</td>
<td>Must be one of the following: Head Trader, Trader, Risk Monitor, Trade Monitor, Technical/Programmer, Other</td>
</tr>
<tr>
<td>is_primary</td>
<td>Indicates that the individual is the primary contacted for the Authorized Trader ID. Will be Y for single-user Authorized Trader IDs; for ATS Authorized Trader IDs will be set to Y for the ATS primary contact only.</td>
<td>Y</td>
<td>Alpha</td>
<td>1</td>
<td>Y</td>
<td>Must be Y or N.</td>
</tr>
<tr>
<td>employedByCompany</td>
<td>Indicates whether the individual is employed by the company ID specified in the file. If &quot;N&quot; then additional Employing Company information must be provided.</td>
<td>Y</td>
<td>Alpha</td>
<td>1</td>
<td>N</td>
<td>Must be Y or N.</td>
</tr>
<tr>
<td>emp_company_name</td>
<td>If employedByCompany = N, the name of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>150</td>
<td>Company A</td>
<td>Required if employedByCompany = N</td>
</tr>
<tr>
<td>emp_company_address</td>
<td>If employedByCompany = N, the first address line of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>100</td>
<td>10 Main St.</td>
<td>Required if employedByCompany = N</td>
</tr>
<tr>
<td>emp_company_address</td>
<td>If employedByCompany = N, the second address line of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>100</td>
<td>Suite 200</td>
<td></td>
</tr>
<tr>
<td>emp_company_city</td>
<td>If employedByCompany = N, the city of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>25</td>
<td>Chicago</td>
<td>Required if employedByCompany = N</td>
</tr>
<tr>
<td>emp_company_state</td>
<td>If employedByCompany = N, the state of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>50</td>
<td>IL</td>
<td></td>
</tr>
<tr>
<td>emp_company_zip</td>
<td>If employedByCompany = N, the postal code of the individual’s employer.</td>
<td>N</td>
<td>Alpha</td>
<td>10</td>
<td>60601</td>
<td>Required if employedByCompany = N</td>
</tr>
<tr>
<td>emp_company_country</td>
<td>If employedByCompany = N, the country code of the individual’s employer. Must be from the list of country codes provided below.</td>
<td>N</td>
<td>Alpha</td>
<td>10</td>
<td>USA</td>
<td>Must be from the list of country codes provided in the Appendix. If the company has multiple offices, then list the one from which the employee is working, or is closest to the employee.</td>
</tr>
<tr>
<td>nfa_id</td>
<td>The individual’s NFA ID, if applicable.</td>
<td>N</td>
<td>Number</td>
<td>10</td>
<td>1234567890</td>
<td></td>
</tr>
</tbody>
</table>

**Appendix II: Country Codes**

<table>
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