



Reporting Entity Setup Form for OCR Portal

This form should be completed to provide FIA Tech with the information necessary to create your Reporting Entity in the OCR Portal. Please complete a separate form for each of your reporting entities (FCMs, Swap Dealers, Clearing Members and Foreign Brokers). The primary admin that you provide in this form will be able to add additional users and admins in the OCR Portal.

Reporting Entity Legal Entity Name: _____

CFTC ID: _____ OCR Ops Email: _____

Primary Participant Administrator Name: _____

Primary Participant Email Address: _____ Phone number: _____

The following information will be used to create your firm's Reporting Entity Profile in the OCR Portal. This reporting entity information will be used when OCR files are sent to the CFTC.

Reporting Entity Legal Entity Name: _____

LEI: _____ NFA ID: _____ Website: _____

Legal Entity Main Email: _____ Legal Entity Phone: _____

Legal Entity Street Address: _____ Legal Entity Suite: _____

Legal Entity City: _____ Legal Entity State: _____ Legal Entity Zip: _____

Legal Entity Country: _____

Reporting Entity Main Contact information:

First Name: _____ Middle: _____

Last: _____ Suffix: _____

Street Address: _____ Suite: _____

City: _____ State: _____ Zip: _____ Country: _____

Email Address: _____ Phone number: _____

Contact's Relationship to Legal Entity: _____ Title: _____

Roles

FCM Clearing Member Swap Dealer Foreign Broker Other

Please complete form and send to ocr.support@fia-tech.com