

OCR Lockbox

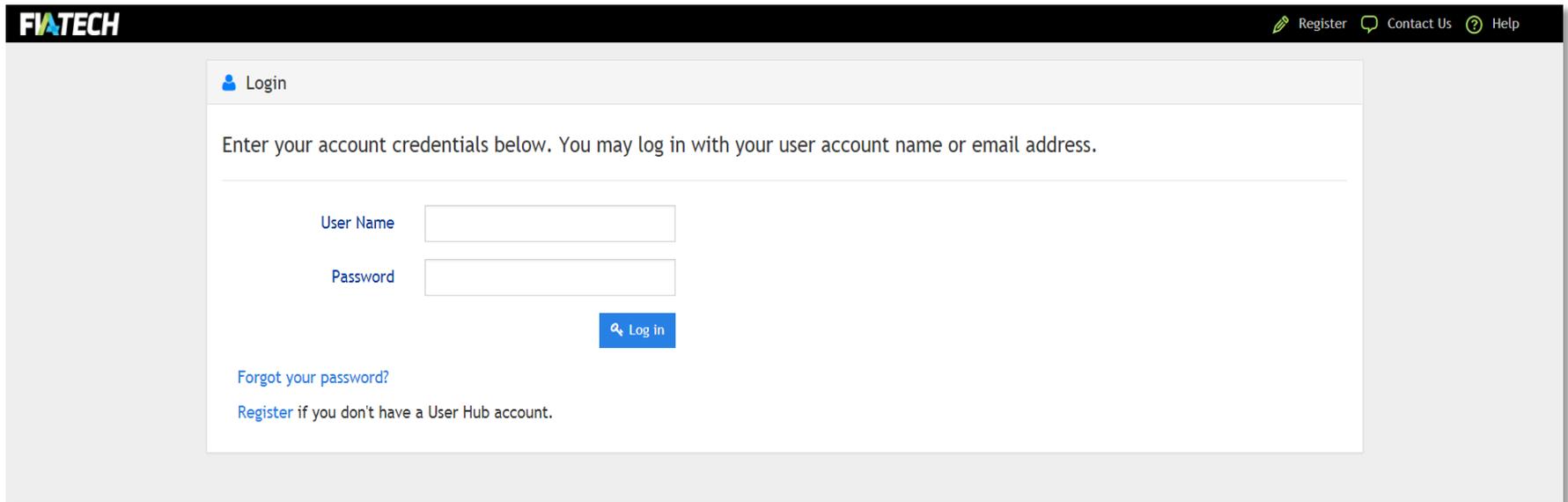
User Guide for
Direct Clients

Lockbox Info

- The FIA Tech OCR Indirect Clearing Lockbox capability allows indirect clearers to store their client account data securely to be accessed by their clearing member only in a default scenario, ensuring clients have the full protection of new segregated clearing models provided for under MIFID II.
- To bolster client protections, MiFID II established a new category of omnibus clearing; the Gross Omnibus Segregated Account (GOSA). GOSA accounts may be used by market participants in an indirect clearing arrangement where they clear through an Indirect Clearer (Direct Client of Clearing Member) which accesses the clearinghouse via a third-party Clearing Member which services the Indirect Clearer and, by extension, all their Indirect Clients.
- In this new clearing model, Indirect Client positions and collateral are held separately at the Clearing Member to insulate those assets from financial instability with the Indirect Clearer. In addition to these financial protections, Indirect Clients are given an assurance of anonymity, which has created the need for a trusted third party to store Indirect Client information to be accessed by the Clearing Member only in the event of a default of the Indirect Clearer.
- To facilitate compliance with these new requirements, FIA Tech's Indirect Clearing Lockbox allows for the secure, confidential storage of indirect client information including contact information, account ownership information and other data needed to aid indirect clients in the event of a default between the Clearing Member and Indirect Clearer. Once the Lockbox is opened in a default, the Clearing Member may then work with the Indirect Client to make or receive margin payments, liquidate positions or port positions to another clearing firm.
- FIA Tech's Owner & Controller Repository is used for secure client data storage for regulatory reporting, client gross margin compliance and indirect clearing lockbox, securely storing account data on over 470,000 accounts across 45 clearing members globally.

Register as a User

- Go to myapps.fia-tech.com to register as a user
- If your firm is already setup as a Lockbox Direct Client please reach out to your firm admin to be added to the system as a user



The screenshot shows the FIA TECH login interface. At the top left is the FIA TECH logo. At the top right are links for Register, Contact Us, and Help. The main content area is titled "Login" and contains the following text: "Enter your account credentials below. You may log in with your user account name or email address." Below this text are two input fields: "User Name" and "Password". A blue "Log in" button is positioned below the password field. At the bottom left of the login area, there are links for "Forgot your password?" and "Register if you don't have a User Hub account."

Logging into OCR Lockbox

Accept the terms of the user agreement

OCR - Lockbox Agreement

TERMS & CONDITIONS FOR THE INDIRECT CLEARING LOCKBOX SERVICE

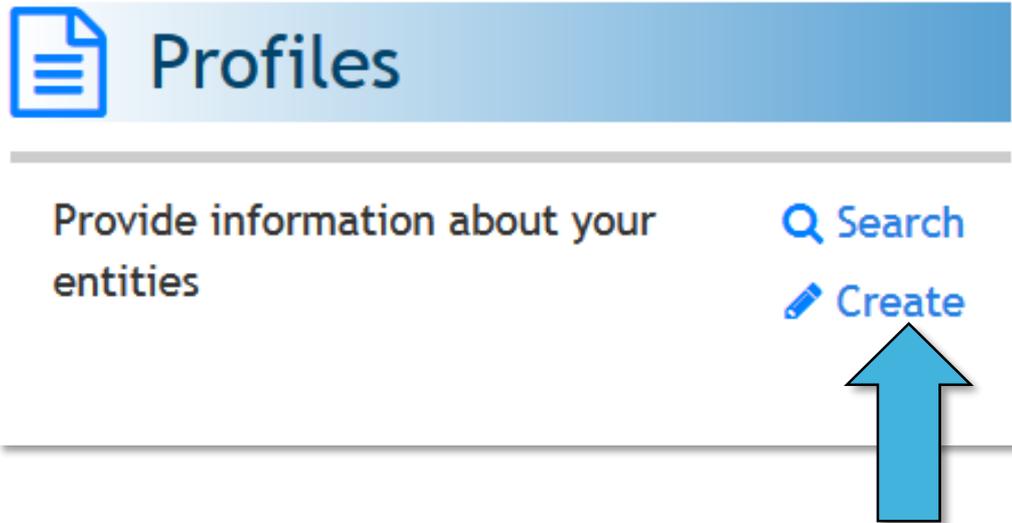
By clicking "accept" at the end of these Terms & Conditions ("Terms") you are creating a legal agreement between the Client ("Application User" or "You") and FIA Technology Services, Inc. ("FIA Tech").

Capitalized terms not specifically defined below shall be given their ordinary meaning as used under the Markets in Financial Instruments Regulation ("MiFIR") and the Markets in Financial Instruments Directive II ("MiFID II") and respective final Regulatory Technical Standards ("RTS").

- Provision of Services
 - Subject to these Terms, FIA Tech will give Application User access to the Indirect Clearing Lockbox Service ("Lockbox"). The Lockbox allows Clearing Members and their Clients to collect, store, and escrow the name, legal identification, address, and contact information of Application User and/or any organization or natural person that has authorized Application User to act on its behalf ("Indirect Client Data") for the purpose of providing a means for a Clearing Member to identify and communicate with Application User in the event of a Trigger Event, as defined below (the "Purpose"). Indirect Client Data will be made available to a Clearing Member upon FIA Tech's receipt of a notice from the Clearing Member of the occurrence of a Trigger Event.
 - It is strictly prohibited to share or provide unauthorized access to the Lockbox.
 - Indirect Client Data will be used only for the Purpose, as defined above.
 - Application User agrees and acknowledges that FIA Tech shall have no liability for an act, or failure to act, in connection with the processing or release of Indirect Client Data, except where FIA Tech's acts or omissions are the result of its own direct gross negligence or malfeasance.
- Data Permission & Confidentiality
 - Any Indirect Client Data Application User provides to FIA Tech shall be considered Application User's Data vis-a-vis FIA Tech, subject to any counterparty or Indirect Client interest in the same information.

I accept the terms of this agreement

Create Direct Client Profile



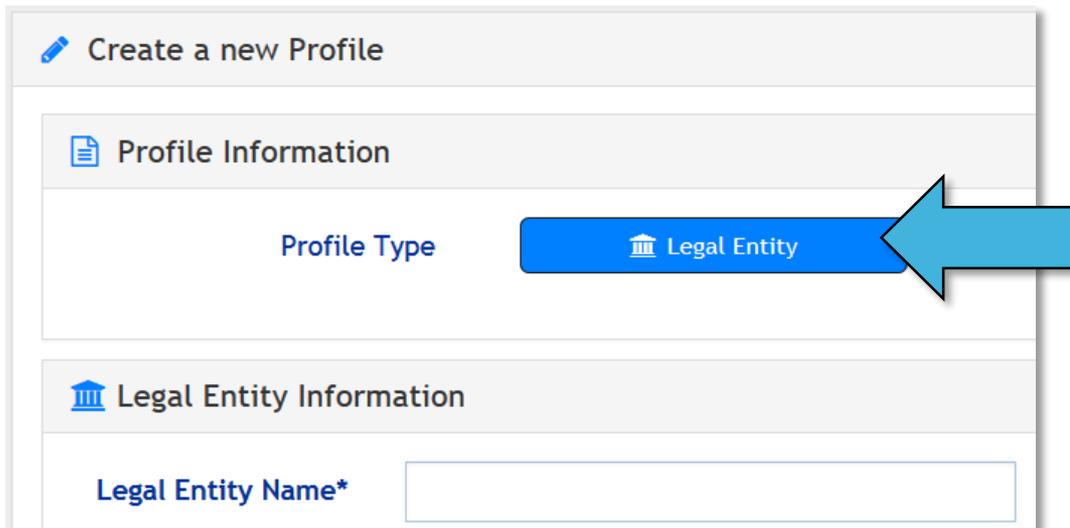
Profiles

Provide information about your entities

Search

Create

- First, create a Direct Client profile to represent your firm
- Go to OCR, Profiles, Create



Create a new Profile

Profile Information

Profile Type

Legal Entity

Legal Entity Information

Legal Entity Name*

- Choose Legal Entity

Permission Clearing Members

- Fill in the required legal entity and main contact info
- Permission your Clearing Members to view your Direct Client profile and to assign it to GOSA accounts

Profile Permissions 

 Edit

Lockbox Clearing Members

- Winthorpe & Valentine (WVALLBCM)

Reach out to FIA Tech

- Once your Direct Client profile has been created please reach out to FIA Tech for further set up
- Once your firm is fully setup you can begin creating Indirect Client profiles in the next section

OCR Support

OCR.Support@fiatech.com

202-772-3088



Create Indirect Client Profiles

Dashboard | Profiles | Accounts | Participant Firms | Reports

Lockbox Account Queue

Provide information about your entities

Search Create

Accounts

Review your lockbox account queue, and provide your client information on accounts assigned to you by your clearing members

Queue

Notifications

Status	Message	Part	User	Cre
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- Check for GOSA accounts that have been assigned to your firm by your Clearing Member
- Go to: Accounts, Lockbox Account Queue
- Click the Edit button to add an Indirect Client Profile

Lockbox Account Queue

Num...	Clearing Member Na...	DC OCR Profil...	Direct Client Name	IC OCR Profil...	Indirect Client Name	Porting Inten...	Agreement File Name
	FIA Tech LBCM Test Profile	OCR260386	DC Test Profile Name				 

1 10 Accounts per page 1 - 1 of 1 Accounts

Include complete accounts

Assign the Indirect Client

Profile...	Direct Client Name	IC OCR Profile ID	Indirect Client Name	Porting Intenti...	Agreement File Name
60386	DC Test Profile Name	Select			Save Cancel

- Select the Indirect Client profile

- Select port or liquidate

IC OCR Profile ID	Indirect Client Name	Porting Inten...	Agreement File Name
		Port	  

- If you choose port, upload the proper porting agreement as a word or pdf file

Assign the Indirect Client

Q Search Profiles

Search profiles... Search Show Profiles managed by me Create Profile

OCR Profile ID	Profile Name	Profile Type	Email	Participant Firms	Address
OCR260385	Test NP Profile Name	Natural Person	mberndt@futuresindustry.org	FIALBCM	2001 Pennsylvania Ave. NW, S...
OCR260386	DC Test Profile Name	Legal Entity	mberndt@futuresindustry.org	FIALBCM	2001 Pennsylvania Ave. NW, S...
OCR260389	NP Profile Name	Natural Person	mberndt@futuresindustry.org	None	123 Fake Street Washington,
OCR260390	IC Test Profile Name	Legal Entity	mberndt@futuresindustry.org	None	123 Fake Street Washington,

- Click to assign a profile as the indirect client
 - Note: Profiles that are permissioned to the Clearing Member can NOT be assigned as the indirect client

- Or Create a new Profile to act as the indirect client

OCR Lockbox Support

- Once the Indirect Client profile has been created and saved the setup is complete.
- OCR Support
 - OCR.Support@fiatech.com
 - 202-772-3088

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