OCR
Quick Start Guide
for Clients

(102 Forms)

Owner

Controller

Employer

Main
Contact

Use this **OCR Portal Quick Start Guide for Clients** to:

Register in the FIA Tech User Hub

Create Profiles in the FIA Tech OCR Portal

Obtain OCR profile ID’s

OCR Intro & FIA Tech Support

The CFTC's OCR Final Rule, published on November 18, 2013, (http://www.cftc.gov/Forms/OCR/index.htm) expanded Ownership and Control Reporting and introduced automation of the reporting process.

The FIA Tech OCR Data Service was developed as an industry solution in response to the CFTC's expanded reporting requirements.

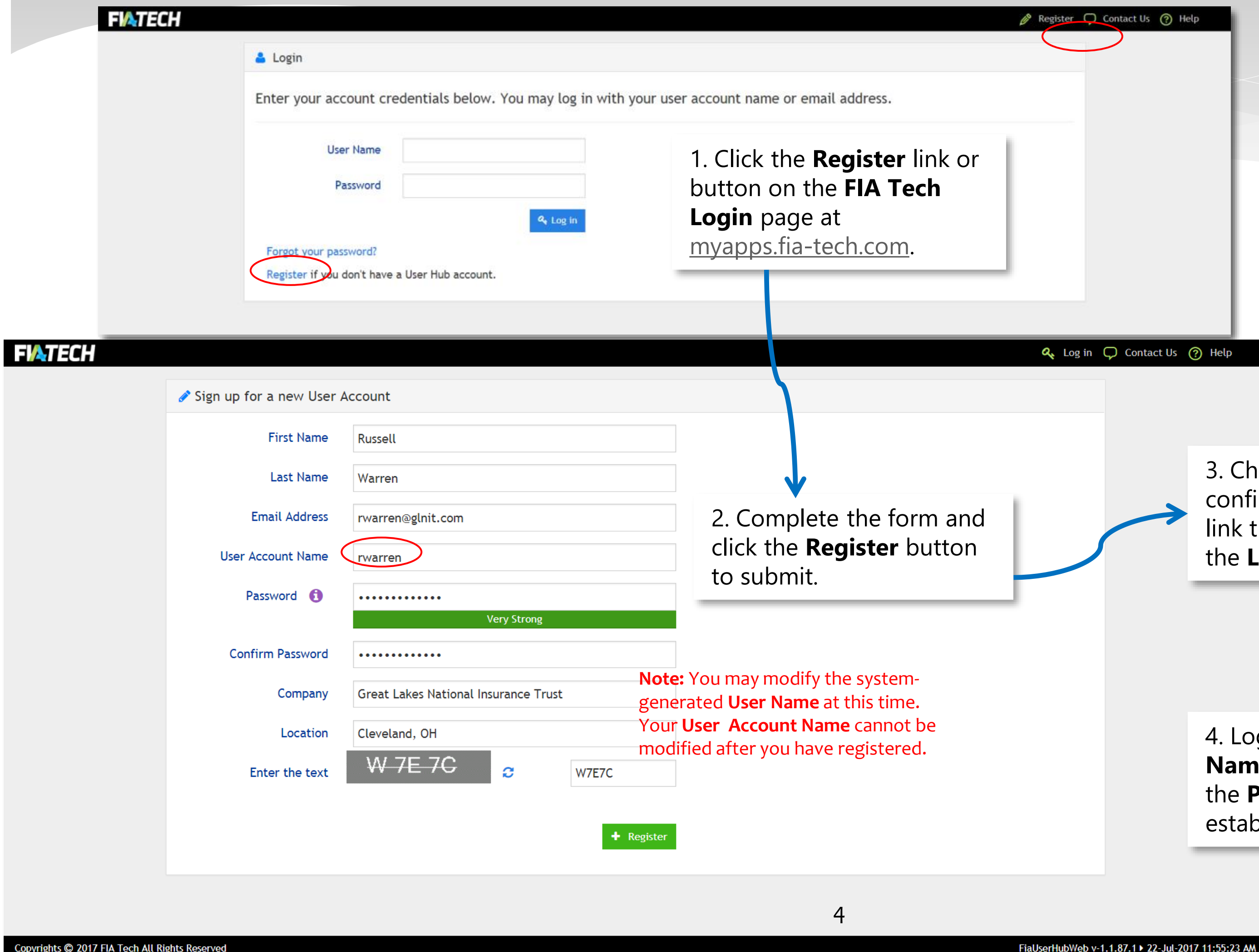
Use of the FIA Tech OCR Data Service is free of charge to Clients.

Contact FIA Tech if you require assistance or have questions about the
FIA Tech OCR Data Service.

FIA Tech Support:
Phone: 202.772.3088
ocr.support@fia-tech.com

See also:
www.fia-tech.com/resources/ocr/

Register in the FIA Tech User Hub



1. Click the **Register** link or button on the **FIA Tech Login** page at myapps.fia-tech.com.

2. Complete the form and click the **Register** button to submit.

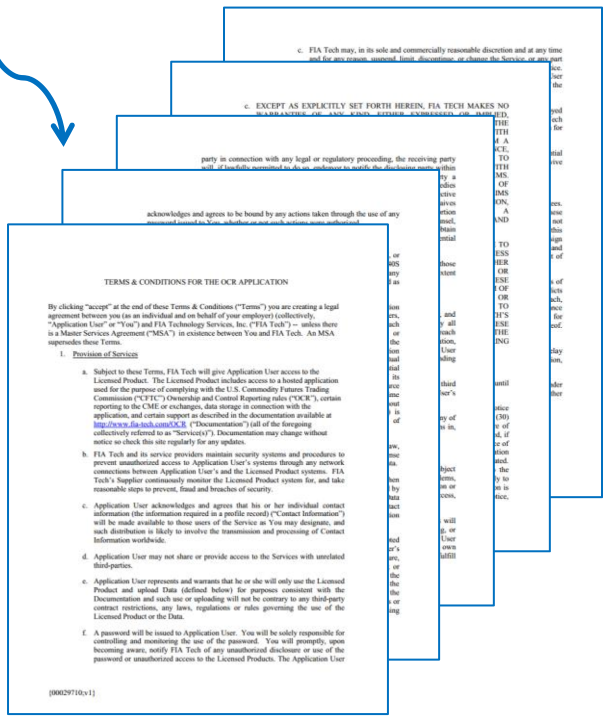
3. Check your email for a confirmation message with a link that will take you back to the **Login** page.

4. Log in with your **User Name** or **Email Address** and the **Password** that you established when registering.

Note: You may modify the system-generated **User Name** at this time. Your **User Account Name** cannot be modified after you have registered.

Accept Terms & Conditions

1. After you log in, you will be prompted to agree to the **Terms & Conditions for the OCR Application**.



TERMS & CONDITIONS FOR THE OCR APPLICATION

By clicking "accept" at the end of these Terms & Conditions ("Terms") you are creating a legal agreement between you (as an individual and on behalf of your employer) (collectively, "Application User" or "You") and FIA Technology Services, Inc. ("FIA Tech") -- unless there is a Master Services Agreement ("MSA") in existence between You and FIA Tech. An MSA supersedes these Terms.

1. Provision of Services

   a. Subject to these Terms, FIA Tech will give Application User access to the Licensed Product. The Licensed Product includes access to a hosted application used for the purpose of complying with the U.S. Commodity Futures Trading Commission ("CFTC") Ownership and Control Reporting rules ("OCR"), certain reporting to the CME or exchanges, data storage in connection with the application, and certain support as described in the documentation available at http://www.fia-tech.com/OCR ("Documentation") (all of the foregoing collectively referred to as "Service(s)"). Documentation may change without notice so check this site regularly for any updates.

   b. FIA Tech and its service providers maintain security systems and procedures to prevent unauthorized access to Application User's systems through any network connections between Application User's and the Licensed Product systems. FIA Tech's Supplier continuously monitor the Licensed Product system for, and take reasonable steps to prevent, fraud and breaches of security.

   c. Application User acknowledges and agrees that his or her individual contact information (the information required in a profile record) ("Contact Information") will be made available to those users of the Service as You may designate, and such distribution is likely to involve the transmission and processing of Contact Information worldwide.

   d. Application User may not share or provide access to the Services with unrelated third-parties.

   e. Application User represents and warrants that he or she will only use the Licensed Product and upload Data (defined below) for purposes consistent with the Documentation and such use or uploading will not be contrary to any third-party contract restrictions, any laws, regulations or rules governing the use of the Licensed Product or the Data.

   f. A password will be issued to Application User. You will be solely responsible for controlling and monitoring the use of the password. You will promptly, upon becoming aware, notify FIA Tech of any unauthorized disclosure or use of the password or unauthorized access to the Licensed Products. The Application User

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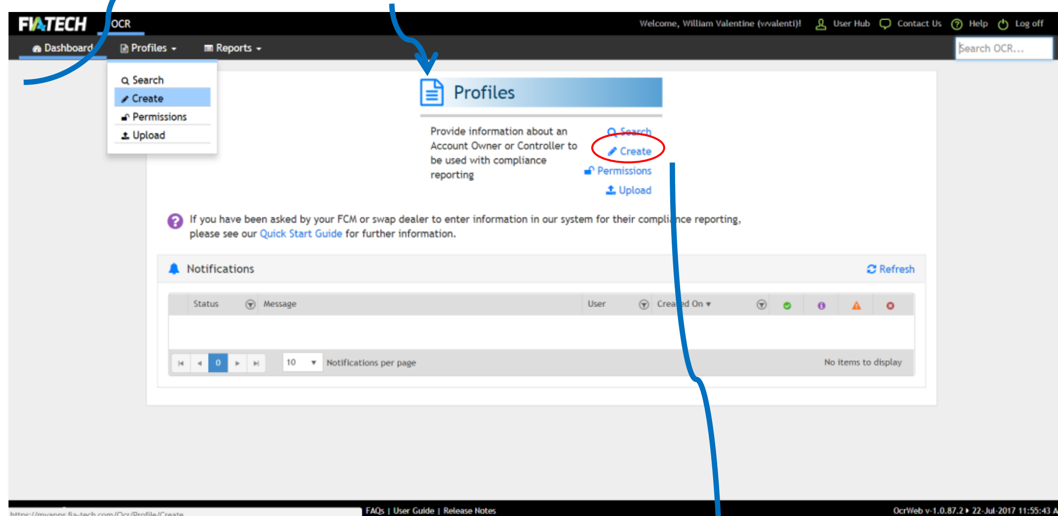
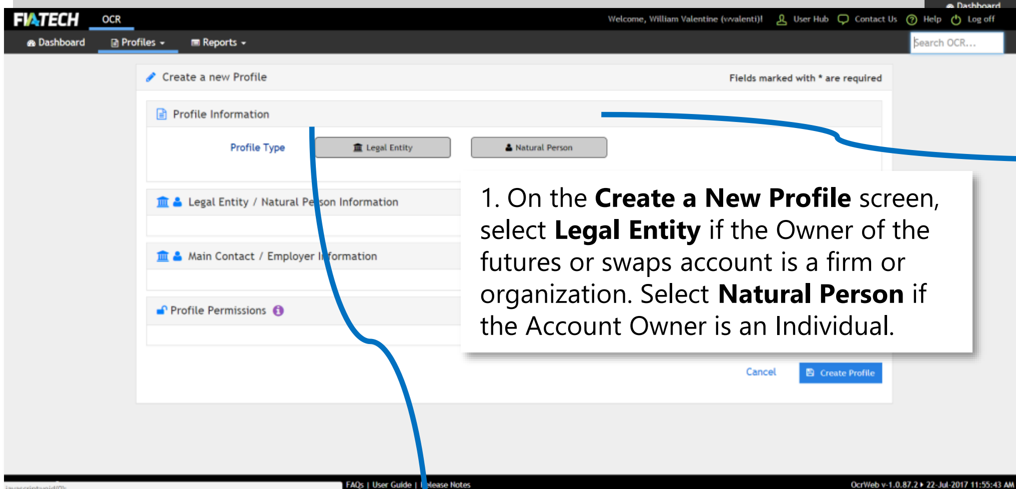
2. After you accept the **Terms & Conditions**, you will be directed to the the OCR Portal, where you can enter and manage owner and controller information in Profiles. You will be able to permit specific Reporting Firms to use your Profiles for their compliance reporting.

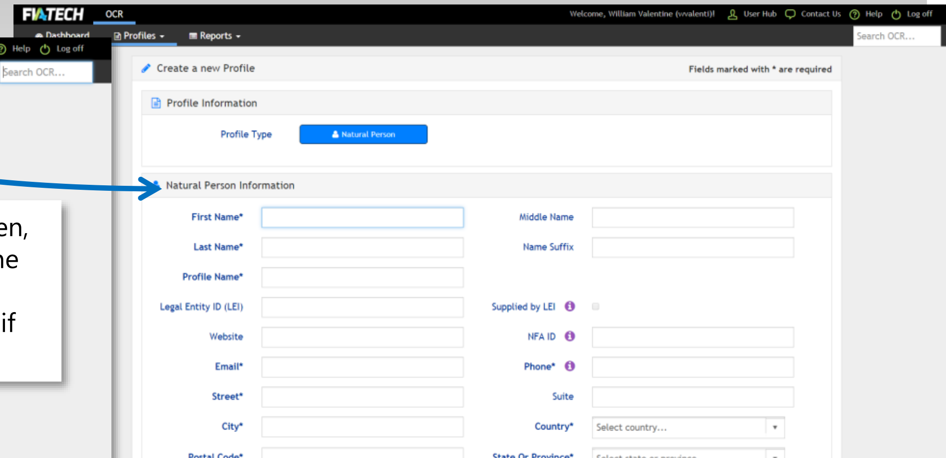


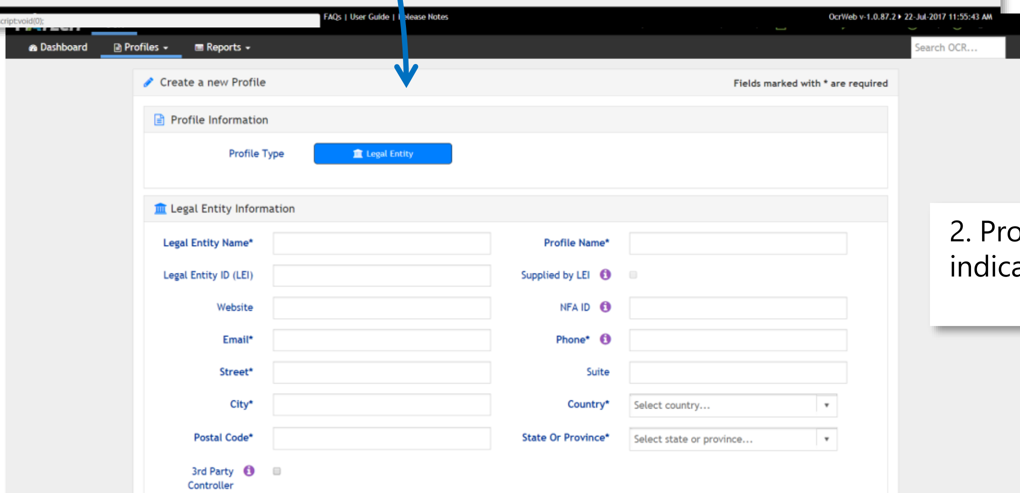
3. Click on **Create** in the **Profiles** menu to begin creating your Profiles.

Enter Account Owner Information



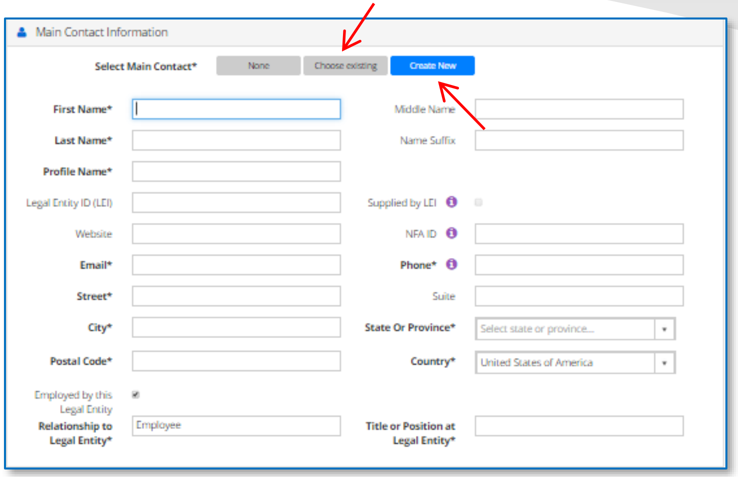
1. On the **Create a New Profile** screen, select **Legal Entity** if the Owner of the futures or swaps account is a firm or organization. Select **Natural Person** if the Account Owner is an Individual.





2. Provide information about the Account Owner in the fields indicated on the form you have selected.

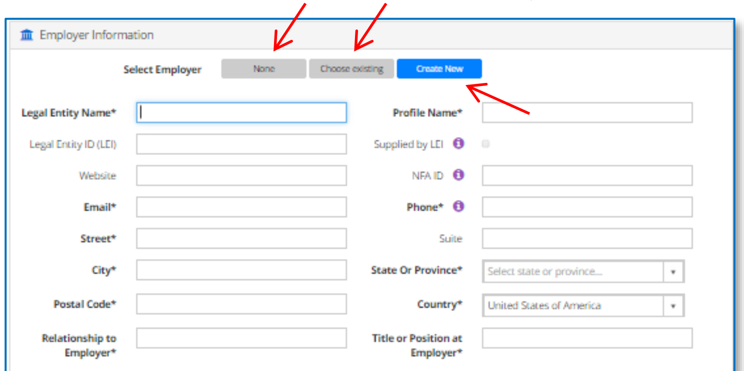
Add Main Contact or Employer



Enter **Main Contact Information** or **Employer Information** for the Owner. This information will be stored in a linked Profile for the contact or entity.

Note: Certain Main Contact and Employer information may be auto filled by the system based on the owner information you have entered.

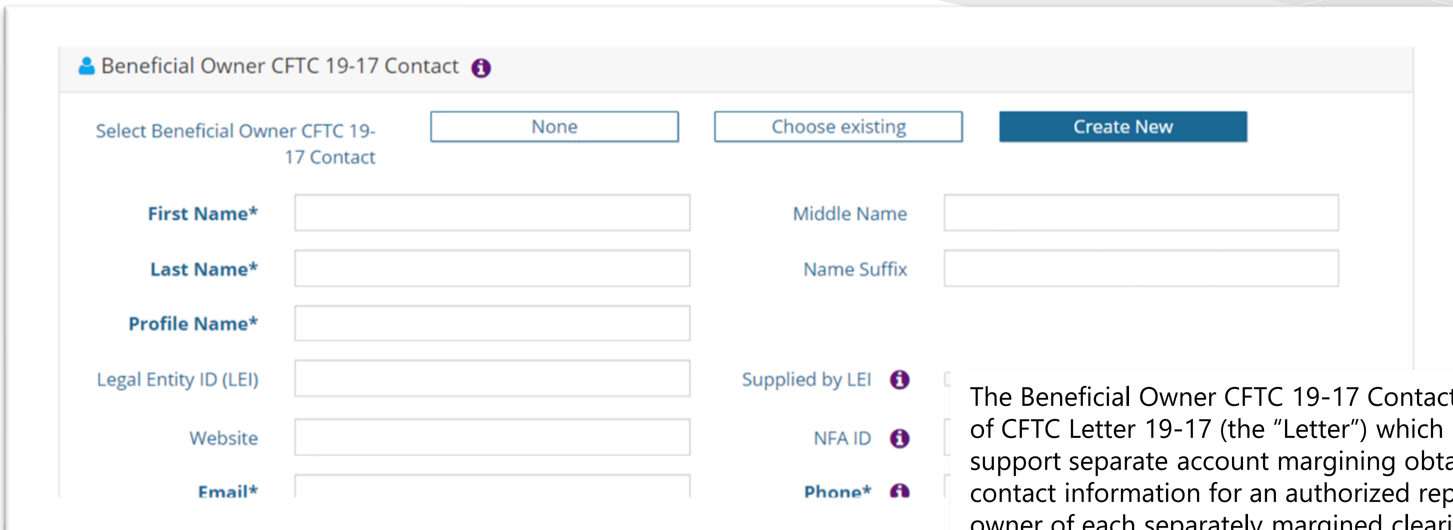
Be sure to review any auto filled data to ensure that it is correct!



Note: Have you already established a Profile for the Main Contact or Employer? If so, use the **Choose Existing** button to locate the **Profile** and access the information that you already entered.

If you do not know the Employer information for an Owner who is a Natural Person, click **None.**

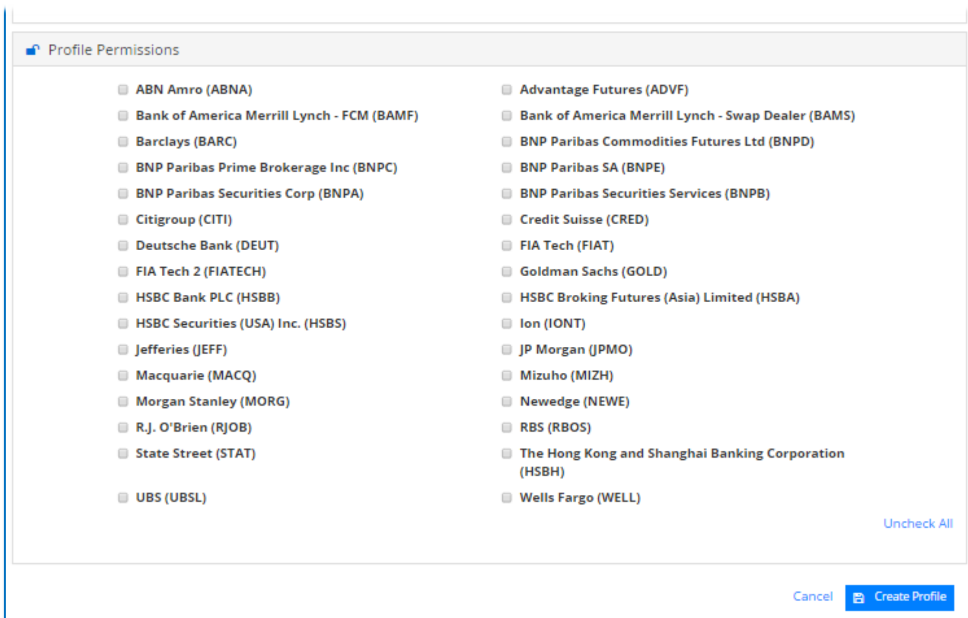
Add Beneficial Owner CFTC 19-17 Contact



The Beneficial Owner CFTC 19-17 Contact addresses the requirement of CFTC Letter 19-17 (the "Letter") which mandates that US FCMs that support separate account margining obtain and maintain current contact information for an authorized representative of the beneficial owner of each separately margined clearing account at the US FCM. CFTC oral guidance permissible, and that the designated Beneficial Owner CFTC 19-17 Contact should be a natural person at or within the structure of the Beneficial Owner, with sufficient authority to receive and address an FCM's notice is that designation of a representative at the asset manager is not that an account of the Beneficial Owner has failed to timely pay margin.

To add a Natural Person profile as the Beneficial Owner CFTC 19-17 Contact just click Edit and then click Choose Existing to use one of your already existing Natural Person profiles or click Create New to create a new Natural Person profile to fill this role.

Set Reporting Firm Permissions



1. Grant Permission to Reporting Firms to use your Profiles by placing check marks in the appropriate boxes. FCM's, Swap Dealers, and other Reporting Firms will tag the profile info you create to form 102 submissions to the CFTC and exchanges.

Remember:

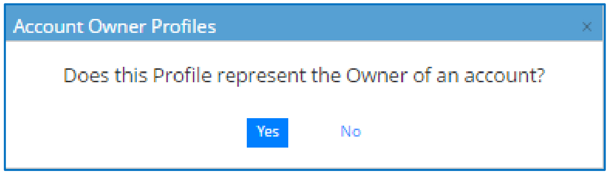
Only those Reporting Firms to which you grant Permission can see your Profiles.

Reporting Firms cannot see information about Permissions granted to any other firm.

2. Click on the **Create Profile** button to save your Profile.

Controller Minimum Requirements

After you click on the **Create Profile** button, you will be prompted to indicate whether the Profile that you created was for an Owner.



Your Profile becomes an owner Profile only when you add the Account Controllers.

The Controllers are the individuals and entities who actually direct the trading of the account.

If you answer **Yes**, you should add an Account Controller to your Owner Profile.

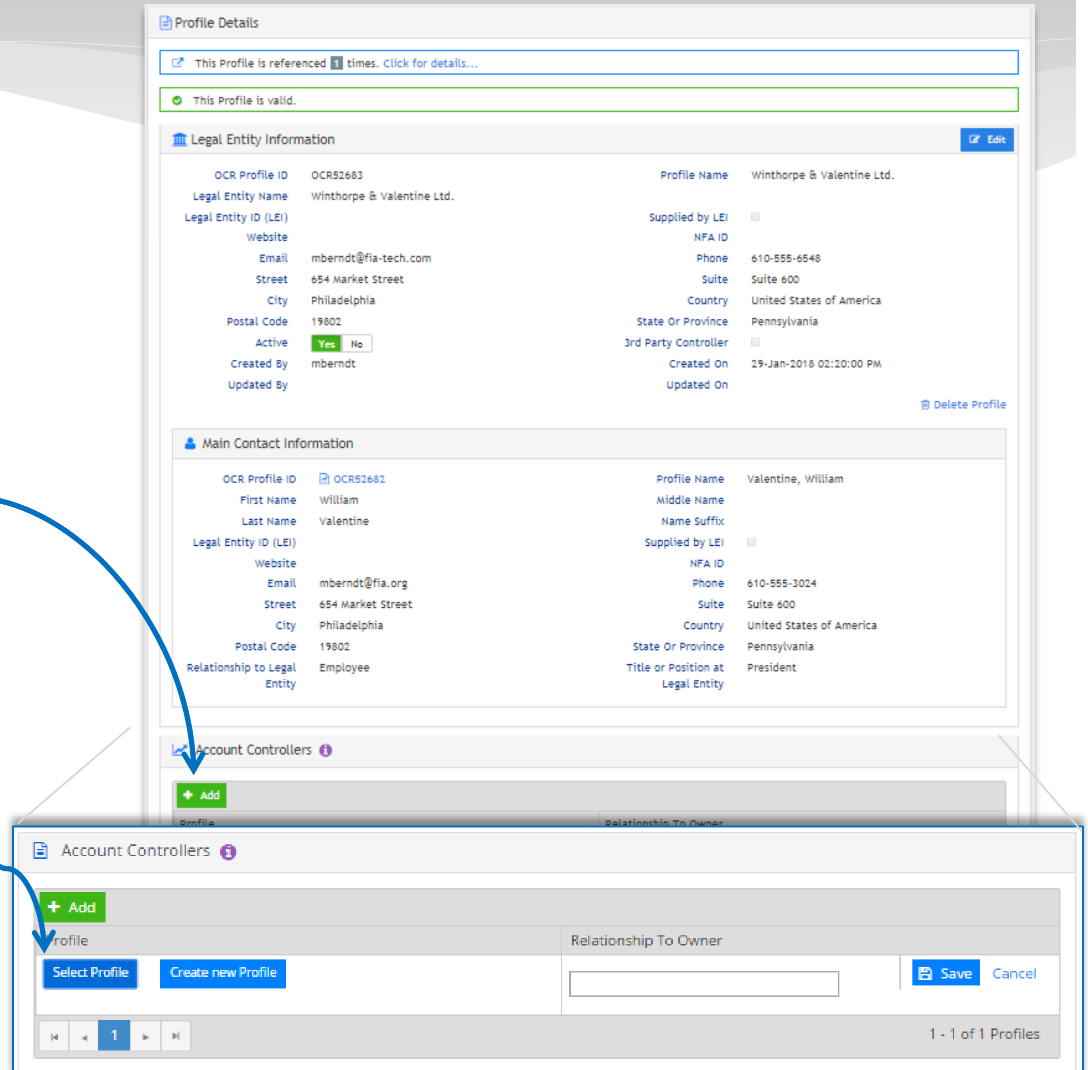
For futures and swap accounts:

Add at least one Natural Person or Legal Entity Controller to the owner Profiles for your futures or swaps accounts.

Futures account Owner ----- Natural Person Controller or Legal Entity Controller

Add Account Controllers

1. After creating your Profile, click on the **+ Add** button in the **Account Controller** box to add one or more Controllers.

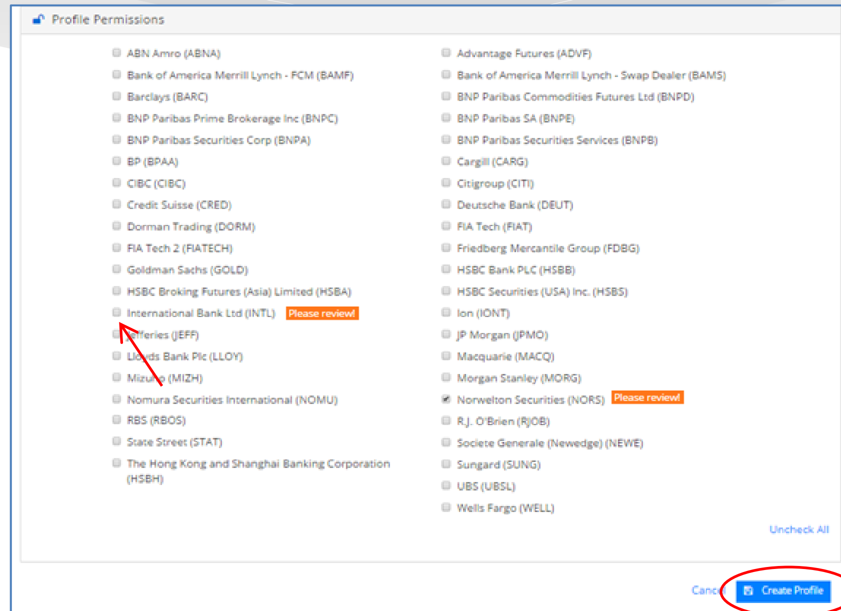


2. Click on **Create new Profile** and choose the **Legal Entity** or **Natural Person** format for the Controller. Complete all required fields and provide information for the optional fields if you can.

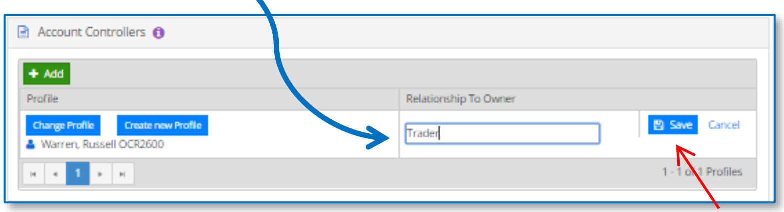
Or, if you have already created a Profile for the Controller, use the **Select Profile** button to locate the Controller's **Profile**.

Controller Permissions – New Profile

1. If you have created a new Profile for the Controller, review the Owner's Permissions marked Please review! and remove any check marks for Permissions that the Controller does not require. Then click **Create Profile**.



2. Indicate the **Relationship to Owner** for the new controller Profile.



3. Click **Save** to save the Account Controller information in your Owner Profile with the correct permissioning assigned.

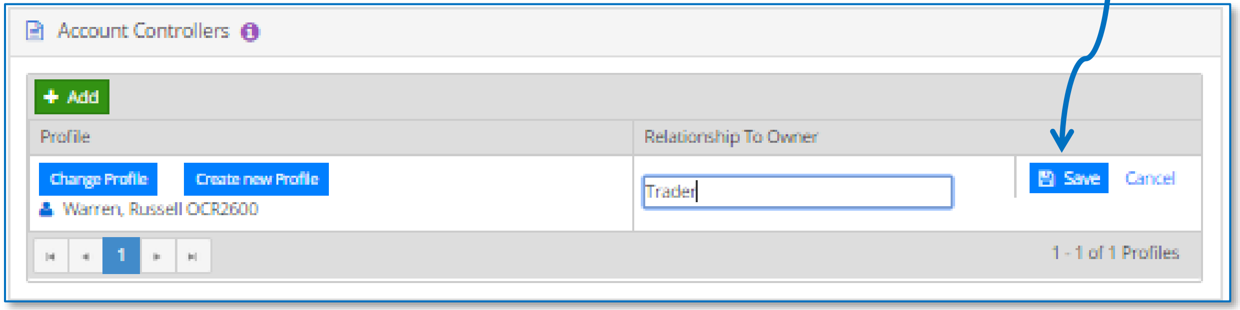
Controller Permissions – Existing Profile

1. If you are using an existing Profile to designate the Controller, after you have located and selected the Controller's Profile, you will immediately see an **Assign Controller Permissions** pop-up box. You will be asked to verify whether the Controller should have all of the permissions that have been established for the Owner.

Then click **Continue**.

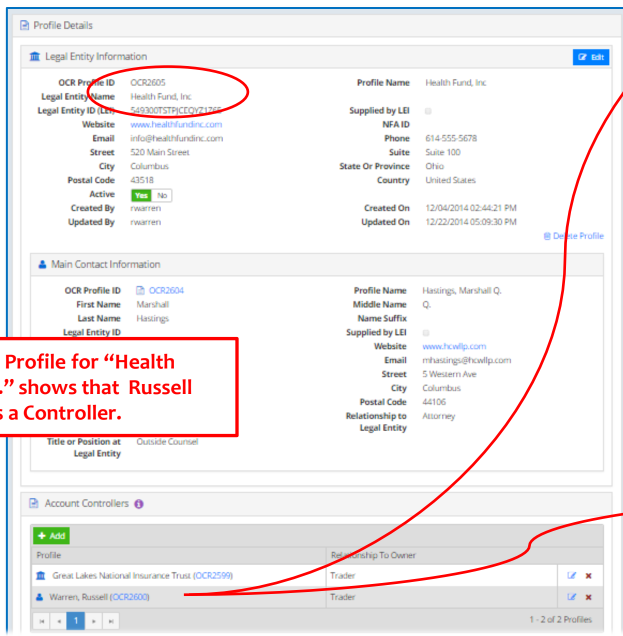
2. Indicate the **Relationship to Owner** for the controller Profile that you selected.

3. Click **Save** to save the Account Controller information in your Owner Profile with the correct permissioning assigned.

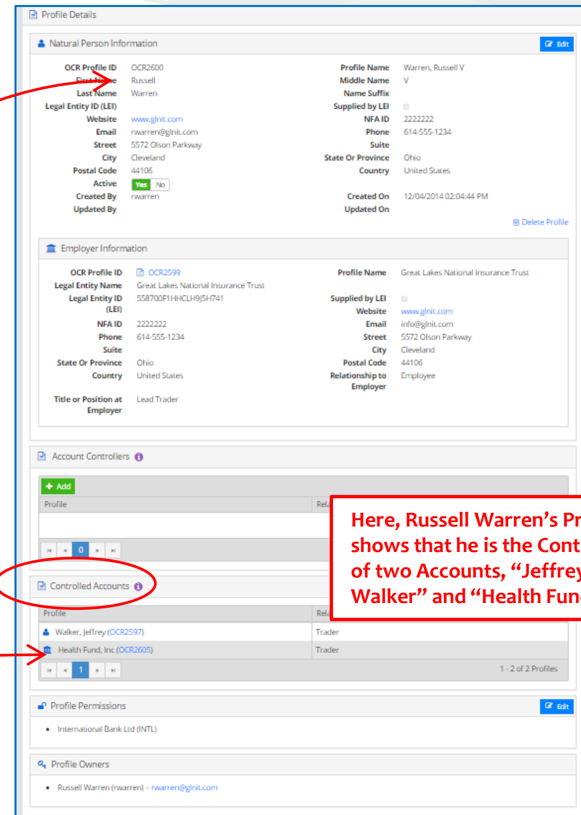


Verify Controlled Accounts

After you have added Account Controllers to your Owner Profile, you may verify that information from the Owner's Profile is also appearing in the Profiles of the Controllers.



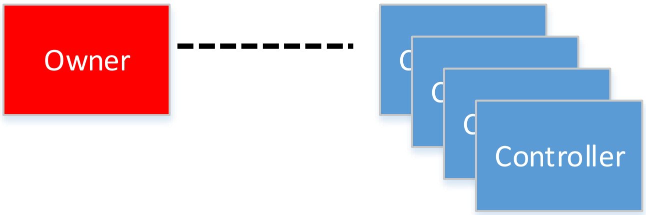
Here, the Profile for "Health Fund, Inc." shows that Russell Warren is a Controller.



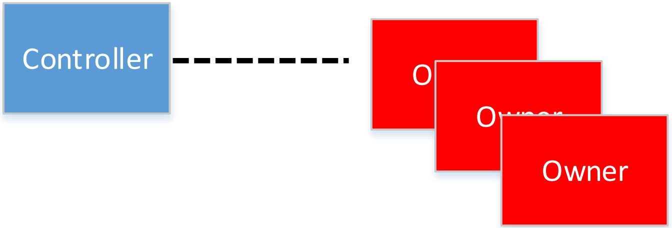
Here, Russell Warren's Profile shows that he is the Controller of two Accounts, "Jeffrey Walker" and "Health Fund, Inc."

Remember …

- Profiles of Owners include the Account Controllers that you added in the **Account Controllers** box



- Profiles of Controllers show the Accounts controlled in the **Controlled Accounts** box

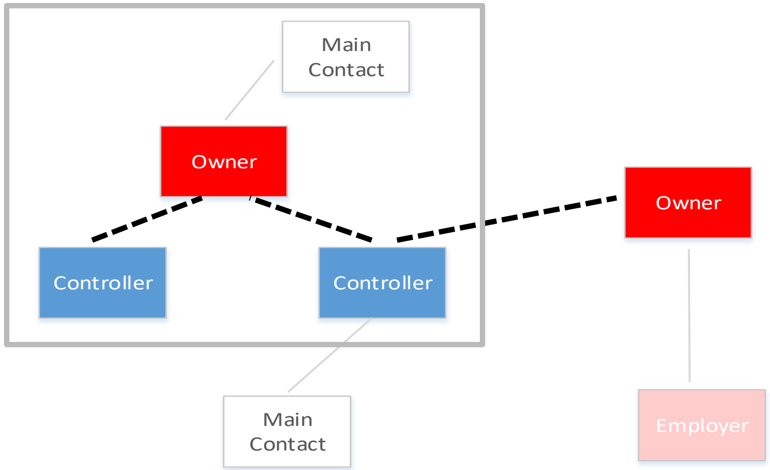


Profile Creation Guidelines

- Create your owner Profiles first, then add the Employer or Main Contact for the Owner.

- Before creating any Profile, regardless of whether it is for an Owner, Controller, Main Contact, or Employer, review your existing Profiles to see if the Profile has already been created. To view already created profiles go to Profiles, Search, Managed by Me, leave the search field blank and click Search.

- For large quantities of data, contact FIA Tech to discuss file-based upload options.



Profile Check List

- After setting up your profiles they should read as valid
- The profile should not have any validation warnings
- The appropriate reporting entities should be permissioned
- The owner profile should have a profile designated as the account controller