



## Market Surveillance

**DATE:** September 24, 2015

**NOTICE #:** MSN09-24-15

**SUBJECT:** Ownership and Control Report Production and Test Files

---

The Commodity Futures Trading Commission (“CFTC”) has announced that no action relief will be issued on the OCR regulations to extend the current September 30, 2015 effective date. CME will issue a separate Market Regulation Advisory announcing that the mandated compliance date of CME Exchanges Rule 561 will be delayed in accord with the new effective date for the CFTC’s OCR requirements.

However, effective immediately, any reporting firms that wish to submit their Form 102s to CME Exchanges via the new XML process, may do so. CME Exchanges will also continue to support the submission of OCR test files. The following discusses the particular naming convention for OCR files depending on whether they are for Production or Testing:

### **Production Files**

For **production** data, the file name must follow this convention:

PFTP\_OCR\_XCME\_[FIRMID]\_[YYMMDD]\_[HHMMSS].xml or  
PFTP\_OCR\_XCME\_[FIRMID]\_[YYMMDD]\_[HHMMSS]\_[UNIQUEIFIER].xml

### **Test Files**

For **test** files, the file name must follow this convention:

TFTP\_OCR\_XCME\_[FIRMID]\_[YYMMDD]\_[HHMMSS].xml or  
TFTP\_OCR\_XCME\_[FIRMID]\_[YYMMDD]\_[HHMMSS]\_[UNIQUEIFIER].xml

***Please note that the “P” or “T” in at the beginning of the filename determines the environment the data is directed to.***

### **Firm Regulatory Portal Access**

As a reminder, CME Exchanges are providing clearing firms a new set of reports on the Firm Regulatory Portal which provide and inventory and other information on each clearing firm’s submission of 102A and 102B data. Firms may sign into the Firm Regulatory Portal, (“FRP”), here: <https://fltr.cmegroup.com/firmregulatoryportal/logon.jsp>

In order to access the Firm Regulatory Portal, users are required to have their Smartclick ID permissioned for OCR, if they have not done so yet. To request access, please provide the following information in an email to [MarketReqLTRAalerts@cmegroup.com](mailto:MarketReqLTRAalerts@cmegroup.com):

- SMART Click ID, name, and title
- Three-digit firm ID
- Reporting Manager’s name, title, and contact information
- Head of Compliance contact information
- For OCR access, please provide CFTC Firm ID

## **OCR Reports on the Firm Regulatory Portal**

Currently, the reports available are:

- Account Reports - Unidentified Special Accounts (Form 102A) and Unidentified Special Accounts (Form 102B) reports that allows firms to identify accounts where a Form 102A or Form 102B is required by the exchange;
- Form Submission – Submit OCR 102A (Special Account) and 102B (Volume Threshold Account) allows firms to manually submit or modify a 102A or 102B account;
- OCR Files – View Submitted OCR Files Report allows firms to view their submitted files via FTP and review any error messages. Please note Warning messages show records that are loaded but with a warning, however Error messages show records that failed to load due to required data.

Please note the Exchanges are aware of differences between the CFTC and the Exchanges' large trader reportable levels and recognize that in some cases these levels are lower than CFTC thresholds; therefore a Form 102A may be required by Market Regulation earlier than the CFTC would require. For products where the Exchanges' large trader reportable levels are higher than the CFTC levels, over-reporting of accounts to the Exchanges will be accepted.

Questions regarding this notification may be directed to the following individuals in Market Regulation:

Sandra Valtierra, Manager	312.347.4137	<a href="mailto:sandra.valtierra@cmegroup.com">sandra.valtierra@cmegroup.com</a>
Danyelle Franks, Sr. Database Integrity Admin	312.341.7646	<a href="mailto:danyelle.franks@cmegroup.com">danyelle.franks@cmegroup.com</a>

To subscribe to Market Surveillance emails, please follow the link:

<http://pages.cmegroup.com/subscription-center-sign-in.html>, log in with your email and check the Market Surveillance box.

THE INFORMATION CONTAINED IN THIS NOTIFICATION IS COMPILED FOR THE CONVENIENCE OF THE USER AND IS FURNISHED WITHOUT RESPONSIBILITY FOR ACCURACY OR CONTENT. IT IS ACCEPTED BY THE USER ON THE CONDITION THAT ERRORS OR OMISSIONS SHALL NOT BE MADE THE BASIS FOR ANY CLAIM, DEMAND, DEFENSE, OR CAUSE FOR ACTION.