Market Surveillance/Compliance

Email Address: [Compliance-OCR-Reporting@TheIce.com](mailto:Compliance-OCR-Reporting@TheIce.com)

The Ownership and Control Reporting (OCR) Portal allows authorized users to manually submit required OCR data to ICE exchanges for one or more reporting firms for which the user has been authorized. The access to the portal is through our website [www.theice.com](http://www.theice.com). To obtain access to the OCR Portal, please complete this form and return it to the email address above. Access is provided on an individual basis, only. We request the source IP of the host that will connect to the OCR application. We utilize a Whitelist at ICE and that IP will be required to be on this Whitelist to access the OCR application.

A.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Company Name** |  | | | | | **CFTC ID** |  |
| **Existing** [**www.theice.com**](http://www.theice.com) **User?** | | **YES  NO** |  |  | **Existing User ID** | |  |

\*\*\* If you have an existing ICE user id skip to Section D - List Report Firm(s), if you do not have an existing ICE user ID complete Sections B & C as well\*\*\*\*

B. **User to Setup for OCR Portal Access - Contact Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **First Name** | **Last Name** | **Job Title** | **Telephone** | **Email** |
|  |  |  |  |  |

\*\*\*Please note each new user request must be submitted on a separate form\*\*\*

C. **Please Choose a Security Question from Dropdown and Supply an Answer**

|  |  |
| --- | --- |
| **Security Question** | **Answer** |
| Who was your first employer? |  |

D. **List the Reporting Firm(s) you are Requesting Permission to submit for:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CFTC Reporting Firm ID** | **Reporting Firm Name** | **IFUS\*** | **IFED\*** | **IFEU\*** | **NDEX\*** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

\* Please check off the appropriate exchanges to which reports are being submitted.