



OCR PORTAL USER GUIDE

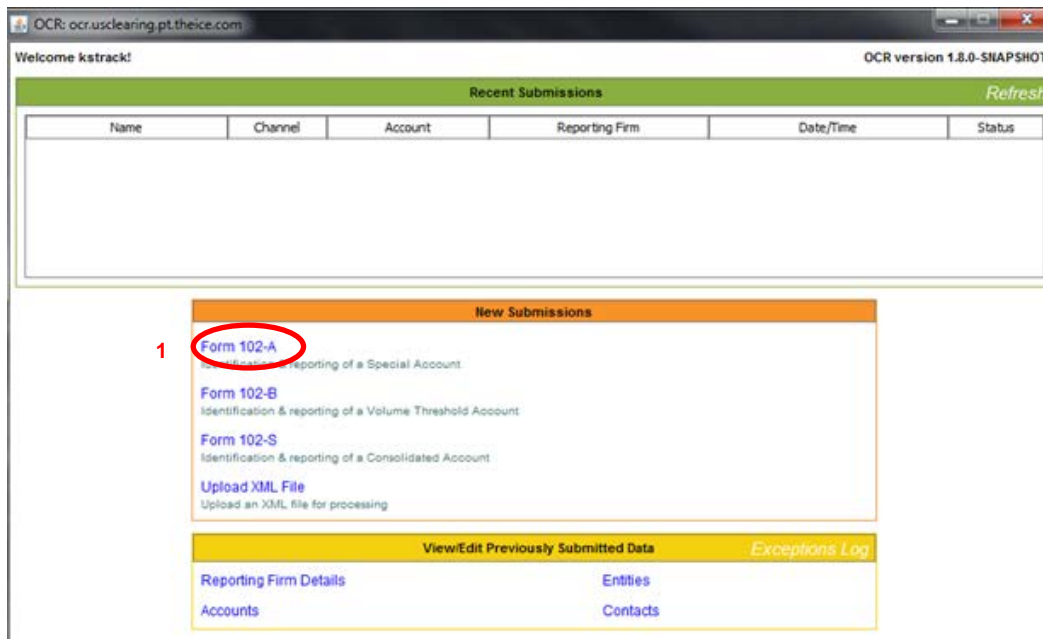
23 April 2018

Introduction

This guidance document will assist Reporting Firms to submit new OCR forms, add traders, companies, contacts, accounts, and other required information. The OCR Portal is accessible at <https://www.theice.com> by navigating to the “Login” link, and selecting “OCR” from the drop-down. A test version of the Portal (or UAT environment) is accessible in the same fashion at <https://uat1.theice.com>. Please ensure test submissions are submitted to the UAT environment only.

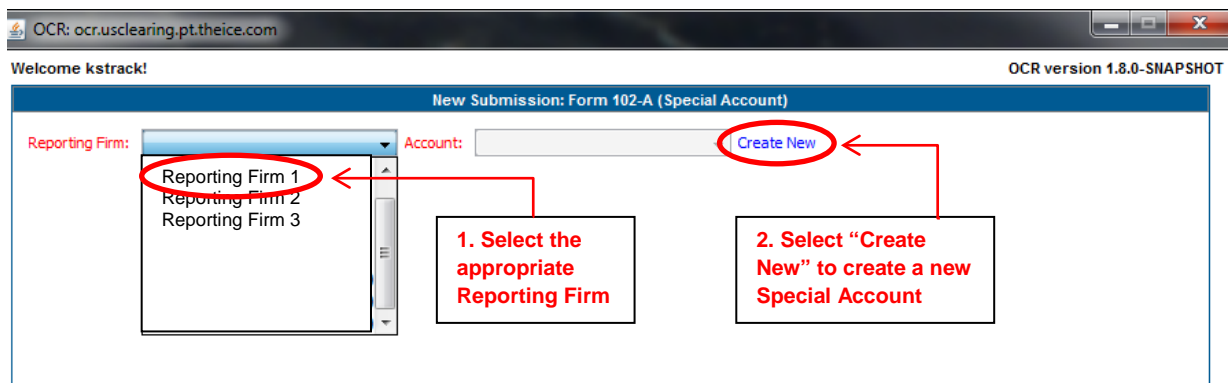
1. New Form 102-A Submission

Once logged into the OCR Portal, you will see the following screen:



1. In order to submit new or change previously entered identification information for position accounts (“Special Account”), please select the Form 102A link highlighted above.

1.1 Assign the Reporting Firm



1. Select the appropriate Reporting Firm from the list.
Note: Most users will see only one Reporting Firm listed, unless they have been permitted to submit on behalf of multiple Reporting Firms. The user should select the Reporting Firm which is holding the Special Account.
2. Once the Reporting Firm is chosen, select “Create New” to create a new Special Account.

2. New Special Account

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Add a New Account

1 Account Number: 12345 Omnibus Special 2

3 Account Class: Account Name: Trading Firm ABC 4 Account Type: special account

Pick an Entity Name: Add **Create New Entity** Origination: 6

5

Reporting Firm: Reporting Firm 1

Related Entities					
Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts

Save Back

1. Enter the Special Account which has been/will be submitted on the Large Trader file submission. (In this case, we have entered in an example of 12345.)
2. By default, Special Account is selected as the Account Type. See the Omnibus Account section for information on submitting Omnibus Accounts.
3. Select the Account Class of either House or Customer
4. Enter the Account Name (i.e. Trading Firm ABC)
5. If an owner or controller of the Account has previously been entered, select it from the “Pick an Entity Name” drop down. If a new entity is needed, select “Create New Entity” and follow the steps in the next section.
6. Select the appropriate Origination type from Control, Omnibus, Owner, Ownership and Control. (e.g. the most common is “Ownership and Control”)

2.1 Create a New Entity

OCR: ocr.usclearing.pt.theice.com

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Entity Details

1 Type: 2 Owner Controller Omnibus Originator Reporter

3 Legal Entity Name: *Select Owner, Controller, or Omnibus Originator

4 Street:

City: State:

Country: Postal Code:

5 NFA ID: LEI:

6 Website: *Enter a Legal Entity Name, NFA ID, or LEI

7 FCM CM FB Swap Dealer Other Other Description:

8 Client Reporting Issue: Foreign Privacy Exception

Select contacts for this account:

Available Contacts:		Selected Contacts:
	Add >>	
	Remove <<	

9 [Create a New Contact](#)

1. Select the Type of Entity (Legal Entity or Natural Person)
2. Select whether the Entity is an Owner, Controller or Omnibus Originator
3. Enter the Name of the Entity (e.g. Trading Firm ABC)
4. Enter the address of the Entity
5. Enter the NFA ID or LEI if applicable
6. Enter the website for the Entity if available
7. If the Entity is a firm, check the type of firm (FCM = Futures Commission Merchant; CM = Clearing Member; FB = Foreign Broker; Swap Dealer; Other). If the Entity is a Natural Person, select "Other".
8. Select whether the any of the requested information is unavailable due to a Foreign Privacy Exception.
9. Add a contact for the Entity. If a new contact is needed, select "Create a New Contact".

2.2 New Contact

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Create New Contact

1 First Name: Last Name:
Middle Name:

2 Job Title: Relationship:

3 Phone: Email:

4 Employer: Name Suffix:

5 Employer NFA Id: Employer LEI:

6

1. Enter a First and Last Name for the contact, Middle Name is optional.
2. Enter the Job Title and/or Relationship to the firm
3. Enter the phone number and email address
4. Enter the contact's Employer
5. Enter the individual's NFA ID (if applicable) and their Employer's LEI if available
6. Select Save once all required information is entered

2.3 Confirm Your Entries

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Entity Details

Type: Owner Controller Omnibus Originator Reporter

Legal Entity Name: *Select Owner, Controller, or Omnibus Originator

Street:

City: State:

Country: Postal Code:

NFA ID: LEI:

Website: *Enter a Legal Entity Name, NFA ID, or LEI

FCM CM FB Swap Dealer Other Other Description:

Client Reporting Issue: Foreign Privacy Exception

Select contacts for this account:

Available Contacts: Selected Contacts:

1

2

[Create a New Contact](#)

1. You will see your new contact has now been added to the Selected Contacts section of the New Entity screen.
2. Select "Save" to save the details for the New Entity

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Add a New Account

Account Number: 12345 Omnibus Special

Account Class: customer Account Name: Trading Firm ABC Account Type: special account

Pick an Entity Name: Trading Firm ABC [Create New Entity](#) Origination: ownership and control

Reporting Firm: Reporting Firm 1

Related Entities					
Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Trading Firm ABC	LE	✔	✔		John Smith

1

1. Then select "Save" again on the resulting New Account Screen.

2.4 Add New Reporting Firm Authorized Representatives

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Account Details

Account Number: 12345

Account Class: customer

Origin Reason: ownership and control

Omnibus Special Account

1 Reporting Firm Authorized Representative:

Related Entities					
Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Trading Firm ABC	LE	✔	✔		John Smith

Trading Accounts							
Account Number	Account Class	MIC	Omnibus	Trading	Special	Related Entities	Related Contacts

1. Once you have saved the entity information, Reporting Firms must assign a Reporting Firm Authorized Representative that will serve as primary contact for the Exchange when further questions or information is needed. If a Representative has already been entered, select it from the dropdown. If not, select "Create New Reporting Firm Authorized Representative".

2.5. Create New Reporting Firm Authorized Representatives

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Create New Contact

1 First Name: Robert Last Name: Johnson

Middle Name:

2 Job Title: Reporting Analyst Relationship:

3 Phone: 770-857-4700 Email: Robert.Johnson@ReportingFirm 1.com

4 Employer: Reporting Firm 1 Name Suffix:

5 Employer NFA Id: Employer LEI: 549300UF4R84F48NCH34

Reporting Firm Authorized Representative

6 Save Back

1. Enter a First and Last Name for the contact, Middle Name is optional.
2. Enter the Job Title and/or Relationship to the Reporting Firm
3. Enter the phone number and email address
4. Enter the contact's Employer
5. Enter the Employer NFA ID (if applicable) and Employer LEI (if available)
6. Select "Save" once all required information is entered

2.6 Confirm the Reporting Firm Authorized Representative

The screenshot displays the OCR portal interface for account management. At the top, the browser address bar shows "OCR: ocr.usclearing.pt.theice.com". The page header includes "Welcome kstrack!" and "OCR version 1.8.0-SNAPSHOT".

The main content area is titled "Account Details" and contains the following information:

- Account Number: 12345
- Account Class: customer
- Origin Reason: ownership and control
- Account Type: Omnibus Special Account
- Reporting Firm Authorized Representative: Robert Johnson (highlighted with a red oval)
- Link: Create New Reporting Firm Authorized Representative

Below the account details is a section titled "Related Entities" containing a table:

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Trading Firm ABC	LE	✓	✓		John Smith

At the bottom of the page is a section titled "Trading Accounts" with a table structure:

Account Number	Account Class	MIC	Omnibus	Trading	Special	Related Entities	Related Contacts
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At the bottom of the page, there are three buttons: "Add Trading Account" (highlighted with a red oval), "Save", and "Back".

1. You will see the newly created Reporting Firm Authorized Representative selected in the dropdown.
2. Next, select "Add Trading Account" to identify the trading accounts that aggregate into the Special Account.

2.7 New Trading Account

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Create New Trading Account

Account Number: Omnibus Trading

Account Class: Account Name:

Pick an Entity Name: [Create New Entity](#) Origination:

Reporting Markets:

- CREDITEX GROUP INCORPORATED
- CREDITEX SECURITIES CORPORATION
- ICE FUTURES EUROPE
- ICE FUTURES EUROPE - AGRICULTURAL PRODUCTS DIVISION
- ICE FUTURES EUROPE - EQUITY PRODUCTS DIVISION
- ICE FUTURES EUROPE - EUROPEAN UTILITIES DIVISION
- ICE FUTURES EUROPE - FINANCIAL PRODUCTS DIVISION
- ICE FUTURES EUROPE - OIL AND REFINED PRODUCTS DIVISION

Add >>
Remove <<

Selected Reporting Markets:

- ICE FUTURES EUROPE
- ICE FUTURES SINGAPORE
- ICE FUTURES U.S.
- ICE FUTURES U.S. ENERGY DIVISION

Account Short Codes:

ABC12345

Add >>
Remove <<

New Account Short Code:

*use Account Number if short codes are not available

Reporting Firm Reporting Firm 1

Related Entities					
Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts

1. Enter the Trading Account Number
2. Select the Account Class (House or Customer)
3. Enter the Trading Account Name
4. Ensure the correct Entity Name is selected in the dropdown. If not, select the appropriate entity or select "Create New Entity".
5. Select the Trading Account Origination (Owner, Omnibus, Control, Ownership and Control)
6. Select the all the appropriate Reporting Markets
7. Enter the Account Short Code (note: use Account Number if a short code is not used)
8. Select "Save"

2.8 Confirm Your Entries

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Account Details

Account Number: 12345
Account Class: customer
Origin Reason: ownership and control

Omnibus Special Account

Reporting Firm Authorized Representative: Robert Johnson [Create New Reporting Firm Authorized Representative](#)

Related Entities

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Trading Firm ABC	LE	✓	✓		John Smith

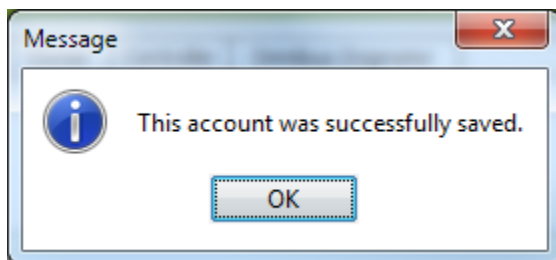
Trading Accounts

Account Number	Account Class	MIC	Omnibus	Trading	Special	Related Entities	Related Contacts
ABC12345	C			✓			

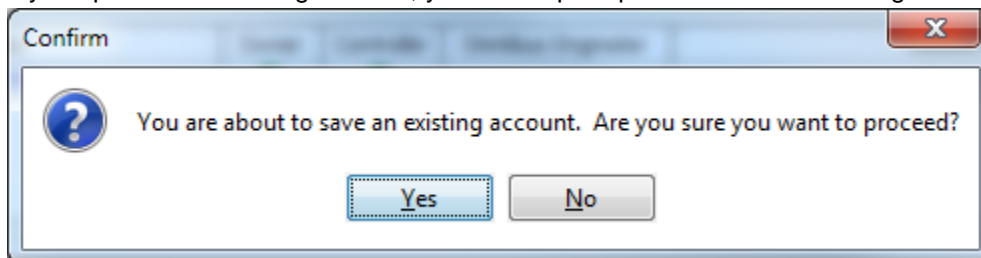
Confirm the addition of the Trading Account.

1. Continue adding all related Trading Accounts by selecting “Add Trading Account”.
2. Once complete, select “Save”.

If you have entered a new account, once you select “Save”, you will see a confirmation message that the account was successfully saved.



If you updated an existing account, you will be prompted to save the existing account.



Once complete, you will see the newly added 102-A form listed under the Recent Submissions. If any changes are needed to the recently entered account, select the corresponding Special Account number to edit the entry.

The screenshot shows the OCR portal interface. At the top, it says 'Welcome kstrack!' and 'OCR version 1.8.0-SNAPSHOT'. Below this is a green header for 'Recent Submissions' with a 'Refresh' button. A table lists a recent submission:

Name	Channel	Account	Reporting Firm	Date/Time	Status
Form 102-A	Web	12345	Reporting Firm 1	2018-04-19T07:31:25.281-05:00	✓

Below the table is a 'New Submissions' section with links for 'Form 102-A', 'Form 102-B', and 'Form 102-S', each with a brief description. There is also an 'Upload XML File' option. At the bottom, a yellow header for 'View/Edit Previously Submitted Data' includes links for 'Reporting Firm Details', 'Accounts', 'Entities', and 'Contacts', along with an 'Exceptions Log' link.

3. New Omnibus Account

The screenshot shows the 'Add a New Account' form in the OCR portal. The form includes the following fields and options:

- Account Number:** Omni5678
- Account Class:** customer
- Account Name:** Foreign Broker A - Customer Omni
- Account Type:** special account
- Pick an Entity Name:** Select... (dropdown menu)
- Add** button
- Create New Entity** button
- Origination:** omnibus (dropdown menu)
- Reporting Firm:** Reporting Firm 1

Below the form is a 'Related Entities' table:

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Foreign Broker A	LE			✓	Pierre Smith

At the bottom of the form are 'Save' and 'Back' buttons.

1. Enter the Omnibus Account which has been/will be submitted on the Large Trader file submission. (In this case, we have entered in an example of Omni5678)
2. By default, Special Account is selected as the Account Type. Change this by selecting "Omnibus Account".

3. Select the Account Class of either House or Customer
4. Enter the Account Name (i.e. Trading Firm ABC)
5. If an owner or controller of the Account has previously been entered, select it from the “Pick an Entity Name” drop down. If a new entity is needed, select “Create New Entity” and follow the steps in the next section.
6. Select the appropriate Origination type from Control, Omnibus, Owner, Ownership and Control. (e.g. the most common is “Ownership and Control”)

3.1 Create a New Entity

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Entity Details

1 Type: 2 Owner Controller Omnibus Originator Reporter

3 Legal Entity Name: *Select Owner, Controller, or Omnibus Originator

4 Street:

City: State:

Country: Postal Code:

5 NFA ID: LEI:

6 Website: *Enter a Legal Entity Name, NFA ID, or LEI

7 FCM CM FB Swap Dealer Other Other Description:

8 Client Reporting Issue: Foreign Privacy Exception

Select contacts for this account:

Available Contacts: Selected Contacts:

Add >> Remove <<

9 [Create a New Contact](#)

Save Back

1. Select the Type of Entity (Legal Entity or Natural Person)
2. Select the Entity as an Omnibus Originator
3. Enter the Name of the Entity (e.g. Foreign Broker A)
4. Enter the address of the Entity
5. Enter the NFA ID or LEI if applicable
6. Enter the website for the Entity if available
7. Check the type of firm (e.g. FB = Foreign Broker)
8. Select whether the any of the requested information is unavailable due to a Foreign Privacy Exception.
9. Add a contact for the Entity or if a new contact is needed, select “Create a New Contact”.

3.2 New Contact

OCR: ocr.usclearing.pt.theice.com

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Create New Contact

1	First Name:	<input type="text" value="Pierre"/>	Last Name:	<input type="text" value="Smith"/>
	Middle Name:	<input type="text"/>		
2	Job Title:	<input type="text" value="Account Executive"/>	Relationship:	<input type="text"/>
3	Phone:	<input type="text" value="4402074293003"/>	Email:	<input type="text" value="Pierre.Smith@foreignbrokera.com"/>
4	Employer:	<input type="text" value="Foreign Broker A"/>	Name Suffix:	<input type="text"/>
5	Employer NFA Id:	<input type="text"/>	Employer LEI:	<input type="text" value="549300UF4R84F48NCH34"/>

6

1. Enter a First and Last Name for the contact, Middle Name is optional.
2. Enter the Job Title and/or Relationship to the firm
3. Enter the phone number and email address
4. Enter the contact's Employer
5. Enter the individual's NFA ID (if applicable) and their Employer's LEI if available
6. Select "Save" once all required information is entered

3.3 Confirm Entries

Entity Details

Type: Owner Controller Omnibus Originator Reporter

Legal Entity Name: *Select Owner, Controller, or Omnibus Originator

Street:

City: State:

Country: Postal Code:

NFA ID: LEI:

Website: *Enter a Legal Entity Name, NFA ID, or LEI

FCM CM FB Swap Dealer Other Other Description:

Client Reporting Issue: Foreign Privacy Exception

Select contacts for this account:

Available Contacts: Selected Contacts:

Add >> Remove <<

[Create a New Contact](#)

2

1. You will see your new contact has now been added to the Selected Contacts section of the New Entity screen.
2. Select “Save” to save the details for the New Entity

Add a New Account

Account Number: Omnibus Special

Account Class: Account Name: Account Type:

Pick an Entity Name: Add [Create New Entity](#) Origination:

Reporting Firm:

Related Entities

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Foreign Broker A	LE			<input checked="" type="checkbox"/>	Pierre Smith

1

1. Then select “Save” again on the resulting New Account Screen.

3.4 Select the Reporting Firm Authorized Representative

The screenshot displays the 'Account Details' section of the OCR portal. The account information includes: Account Number: Omni5678, Account Class: customer, and Origin Reason: omnibus. There are checkboxes for 'Omnibus' and 'Special Account', both of which are checked. A dropdown menu for 'Reporting Firm Authorized Representative' is highlighted with a red circle and labeled with a red '1', showing 'Robert Johnson' as the selected option. To the right of the dropdown is a link for 'Create New Reporting Firm Authorized Representative'. Below this is the 'Related Entities' section, which contains a table with columns: Name, Type, Owner, Controller, Omnibus Originator, and Selected Contacts. One entry is visible: 'Foreign Broker A' with Type 'LE' and 'Omnibus Originator' checked. At the bottom of the form, the 'Add Trading Account' button is highlighted with a red circle and labeled with a red '2', along with 'Save' and 'Back' buttons.

Account Details

Account Number: Omni5678
Account Class: customer
Origin Reason: omnibus

Omnibus Special Account

Reporting Firm Authorized Representative: Robert Johnson [Create New Reporting Firm Authorized Representative](#)

Related Entities

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Foreign Broker A	LE			<input checked="" type="checkbox"/>	Pierre Smith

Trading Accounts

Account Number	Account Class	MIC	Omnibus	Trading	Special	Related Entities	Related Contacts
----------------	---------------	-----	---------	---------	---------	------------------	------------------

[Add Trading Account](#) [Save](#) [Back](#)

1. Select an existing Reporting Firm Authorized Representative from the dropdown, or create a new Reporting Firm Authorized Representative.
2. Next, select "Add Trading Account" to identify the trading accounts that aggregate into the Omnibus Account.

3.5 Add the Trading Account (“Child Omnibus Account”)

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Create New Trading Account

1 Account Number: 2 Omnibus Trading

3 Account Class: Account Name: 4

5 Pick an Entity Name: Origination: 6

7 Reporting Markets:

- CREDITEX SECURITIES CORPORATION
- ICE FUTURES EUROPE - AGRICULTURAL PRODUCTS DIVISION
- ICE FUTURES EUROPE - EQUITY PRODUCTS DIVISION
- ICE FUTURES EUROPE - EUROPEAN UTILITIES DIVISION
- ICE FUTURES EUROPE - FINANCIAL PRODUCTS DIVISION
- ICE FUTURES EUROPE - OIL AND REFINED PRODUCTS DIVISION
- ICE FUTURES U.S. ENERGY DIVISION
- ICE MARKETS AGRICULTURE

Add >> Remove <<

Selected Reporting Markets:

- ICE FUTURES EUROPE
- ICE FUTURES SINGAPORE
- ICE FUTURES U.S.
- ICE FUTURES U.S. ENERGY DIVISION

8 New Account Short Code:

*use Account Number if short codes are not available

Add >> Remove <<

Account Short Codes:

9876543

Reporting Firm Reporting Firm 1

Related Entities

Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts

9

1. Enter the Trading Account Number
2. Select “Omnibus”
3. Select the Account Class (House or Customer)
4. Enter the Trading Account Name (e.g. Omni Customer 1)
5. Ensure the correct Entity Name is selected in the dropdown. If not, select the appropriate entity or select “Create New Entity”.
6. Select the Trading Account Origination (e.g. Ownership and Control)
7. Select the all the appropriate Reporting Markets
8. Enter the Account Short Code (note: use Account Number if a short code is not used)
9. Select “Save”

3.6 Confirm Entries

OCR: ocr.usclearing.pt.theice.com

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Account Details

Account Number: Omni5678
Account Class: customer
Origin Reason: omnibus

Omnibus Special Account

Reporting Firm Authorized Representative: Robert Johnson [Create New Reporting Firm Authorized Representative](#)

Related Entities

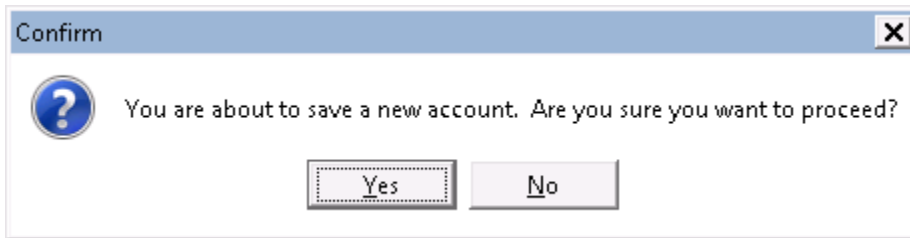
Name	Type	Owner	Controller	Omnibus Originator	Selected Contacts
Foreign Broker A	LE			✔	Pierre Smith

Trading Accounts

Account Number	Account Class	MIC	Omnibus	Trading	Special	Related Entities	Related Contacts
9876543	C		✔	✔			

Confirm the addition of the Trading Account (Omnibus Child Account).

1. Continue adding all related Trading Accounts by selecting “Add Trading Account”.
2. Once complete, select “Save”.



If you have entered a new account, once you select “Save”, you will see a message asking for you to confirm that you want to save a new account. Select “Yes” to proceed, otherwise select “No” to continue making edits.

3. Select “Submit” on the next screen to submit the new Omnibus Account.