

OCR Portal 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

FIA Tech Support Information

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

Register Contact Us Help

Login

Enter your account credentials below. You may log in with your user account name or email address.

User Name

Password

Log In

Forgot your password?

Register if you don't have a User Hub account.

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

Log In Contact Us Help

Sign up for a new User Account

First Name

Last Name

Email Address

User Account Name

Password **Very Strong**

Confirm Password

Company

Location

Enter the text

Register

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

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

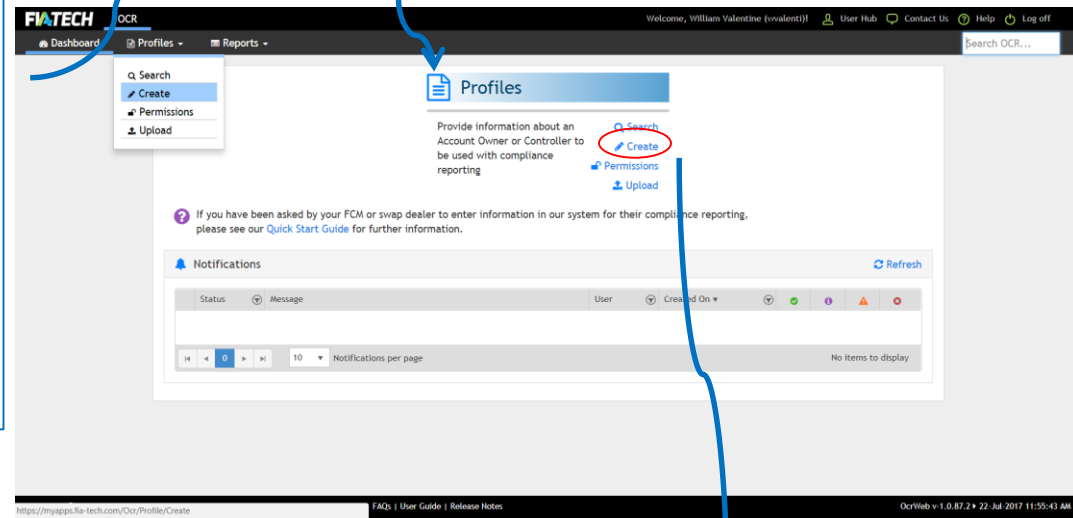
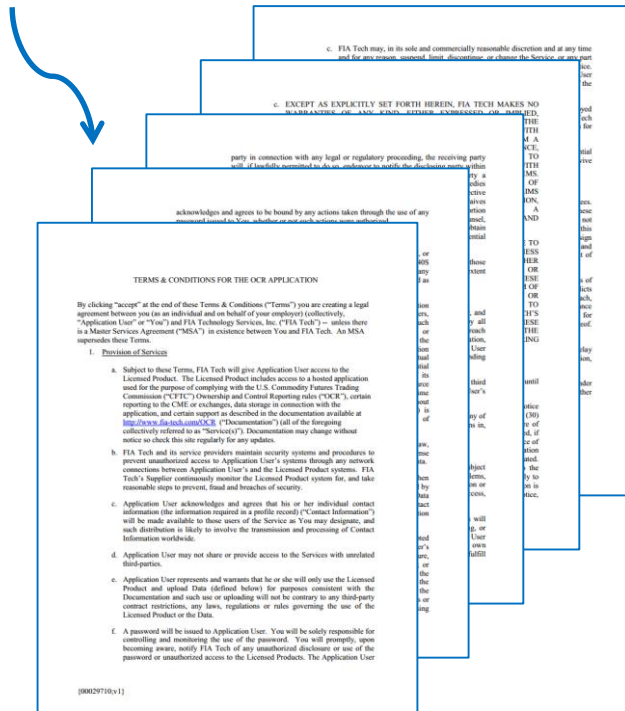
3. Check your email for a confirmation message with a link that will take you back to the **Login** page.

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

Accept Terms & Conditions

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

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

Fields marked with * are required

Profile Type

Legal Entity

Natural Person

Legal Entity / Natural Person Information

Main Contact / Employer Information

Profile Permissions

Cancel

Create Profile

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.

Fields marked with * are required

Profile Information

Profile Type

Natural Person

Natural Person Information

First Name*

Middle Name

Last Name*

Name Suffix

Profile Name*

Legal Entity ID (LEI)

Supplied by LEI

Website

NFA ID

Email*

Phone*

Street*

Suite

City*

Country*

Postal Code*

State Or Province*

Country* Select country...

State Or Province* Select state or province...

3rd Party Controller

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**.

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.

Profile Permissions

- ABN Amro (ABNA)
- Bank of America Merrill Lynch - FCM (BAMF)
- Barclays (BARC)
- BNP Paribas Prime Brokerage Inc (BNPC)
- BNP Paribas Securities Corp (BNPA)
- Citigroup (CITI)
- Deutsche Bank (DEUT)
- FIA Tech 2 (FIATECH)
- HSBC Bank PLC (HSBB)
- HSBC Securities (USA) Inc. (HSBS)
- Jefferies (JEFF)
- Macquarie (MACQ)
- Morgan Stanley (MORG)
- R.J. O'Brien (RJOB)
- State Street (STAT)
- UBS (UBSL)
- Advantage Futures (ADVF)
- Bank of America Merrill Lynch - Swap Dealer (BAMS)
- BNP Paribas Commodities Futures Ltd (BNPD)
- BNP Paribas SA (BNPE)
- BNP Paribas Securities Services (BNPB)
- Credit Suisse (CRED)
- FIA Tech (FIAT)
- Goldman Sachs (GOLD)
- HSBC Broking Futures (Asia) Limited (HSBA)
- Ion (IONT)
- JP Morgan (JPMO)
- Mizuho (MIZH)
- Newedge (NEWED)
- RBS (RBOS)
- The Hong Kong and Shanghai Banking Corporation (HSBH)
- Wells Fargo (WELL)

[Uncheck All](#)

Cancel **Create Profile**

Remember:

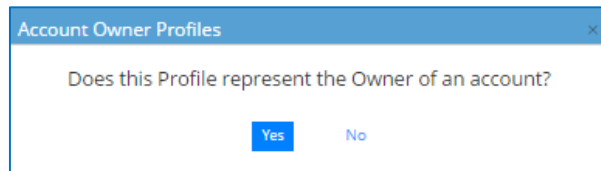
Only those Reporting Firms to which you grant Permission can see your Profiles.

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.



Account Owner Profiles

Does this Profile represent the Owner of an account?

Yes No

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.

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**.

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**.

Profile Details

This Profile is referenced 1 times. Click for details...

This Profile is valid.

Legal Entity Information Edit

OCR Profile ID	OCR52683	Profile Name	Winthorpe & Valentine Ltd.
Legal Entity Name	Winthorpe & Valentine Ltd.	Supplied by LEI	<input type="checkbox"/>
Legal Entity ID (LEI)		NFA ID	
Website		Phone	610-555-6548
Email	mberndt@fia-tech.com	Suite	Suite 600
Street	654 Market Street	Country	United States of America
City	Philadelphia	State Or Province	Pennsylvania
Postal Code	19802	3rd Party Controller	<input type="checkbox"/>
Active	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Created On	29-Jan-2018 02:20:00 PM
Created By	mberndt	Updated On	
Updated By			

[Delete Profile](#)

Main Contact Information

OCR Profile ID	OCR52682	Profile Name	Valentine, William
First Name	William	Middle Name	
Last Name	Valentine	Name Suffix	
Legal Entity ID (LEI)		Supplied by LEI	<input type="checkbox"/>
Website		NFA ID	
Email	mberndt@fia.org	Phone	610-555-3024
Street	654 Market Street	Suite	Suite 600
City	Philadelphia	Country	United States of America
Postal Code	19802	State Or Province	Pennsylvania
Relationship to Legal Entity	Employee	Title or Position at Legal Entity	President

Account Controllers ⓘ

+ Add

Profile

Select Profile **Create new Profile**

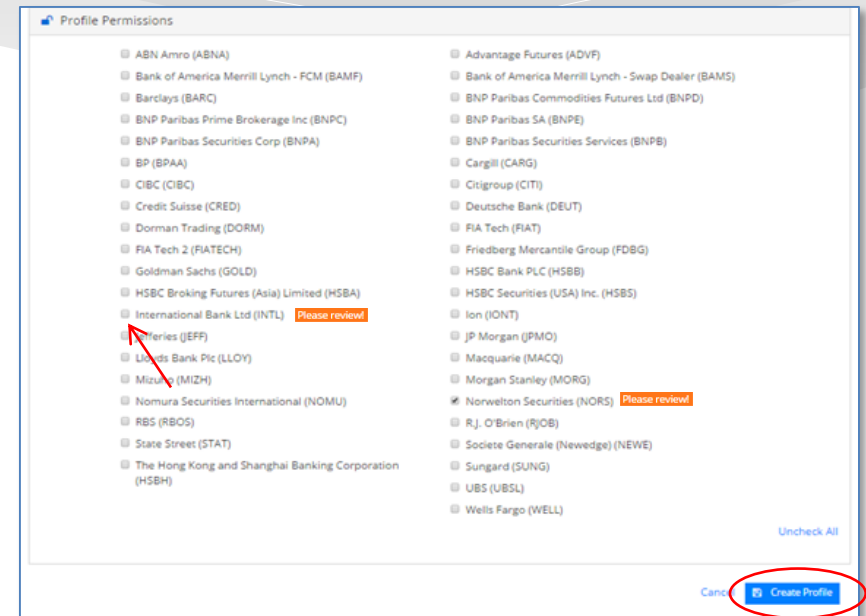
Relationship To Owner

Save **Cancel**

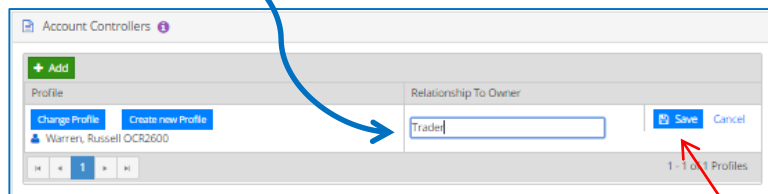
1 - 1 of 1 Profiles

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.

The screenshot shows the 'Account Controllers' interface. At the top left, there is a tab labeled 'Account Controllers' with an information icon. Below the tab is a '+ Add' button. The main area contains a table with two columns: 'Profile' and 'Relationship To Owner'. Under the 'Profile' column, there are buttons for 'Change Profile' and 'Create new Profile', and the text 'Warren, Russell OCR2600'. Under the 'Relationship To Owner' column, there is a text input field containing the word 'Trader'. To the right of the input field are 'Save' and 'Cancel' buttons. A blue arrow points from the 'Save' button to the text in the instruction box above. At the bottom left, there are navigation arrows and the number '1'. At the bottom right, it says '1 - 1 of 1 Profiles'.

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.

Legal Entity Information

OCR Profile ID	OCR2605	Profile Name	Health Fund, Inc.
Legal Entity Name	Health Fund, Inc.	Supplied by LEI	<input type="checkbox"/>
Legal Entity ID (LEI)	549300TSPHCCQV2727	NFA ID	
Website	www.healthfundinc.com	Phone	614-555-5678
Email	info@healthfundinc.com	Suite	Suite 100
Street	520 Main Street	State Or Province	Ohio
City	Columbus	Country	United States
Postal Code	43518	Created On	12/04/2014 02:44:21 PM
Active	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Updated On	12/22/2014 05:09:30 PM
Created By	rwarren		
Updated By	rwarren		

Main Contact Information

OCR Profile ID	OCR2604	Profile Name	Hastings, Marshall Q.
First Name	Marshall	Middle Name	Q.
Last Name	Hastings	Name Suffix	
Legal Entity ID		Supplied by LEI	<input type="checkbox"/>
Website	www.hwfp.com	NFA ID	
Email	mhastings@hwfp.com	Phone	614-555-5678
Street	5 Western Ave	Suite	Suite 100
City	Columbus	State Or Province	Ohio
Postal Code	44106	Country	United States
Relationship to Legal Entity	Attorney	Created On	
		Updated On	

Account Controllers

Profile	Relationship To Owner
Great Lakes National Insurance Trust (OCR2599)	Trader
Warren, Russell (OCR2600)	Trader

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

Natural Person Information

OCR Profile ID	OCR2600	Profile Name	Warren, Russell V
First Name	Russell	Middle Name	V
Last Name	Warren	Name Suffix	
Legal Entity ID (LEI)		Supplied by LEI	<input type="checkbox"/>
Website	www.gnl.com	NFA ID	2222222
Email	rwarren@gnl.com	Phone	614-555-1234
Street	5572 Olton Parkway	Suite	
City	Cleveland	State Or Province	Ohio
Postal Code	44106	Country	United States
Active	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Created On	12/04/2014 02:04:44 PM
Created By	rwarren	Updated On	

Employer Information

OCR Profile ID	OCR2599	Profile Name	Great Lakes National Insurance Trust
Legal Entity Name	Great Lakes National Insurance Trust	Supplied by LEI	<input type="checkbox"/>
Legal Entity ID (LEI)	558700F1H4CLR95H741	Website	www.gnl.com
NFA ID	2222222	Email	info@gnl.com
Phone	614-555-1234	Street	5572 Olton Parkway
Suite		City	Cleveland
State Or Province	Ohio	Postal Code	44106
Country	United States	Relationship to Employer	Employee
Title or Position at Employer	Lead Trader		

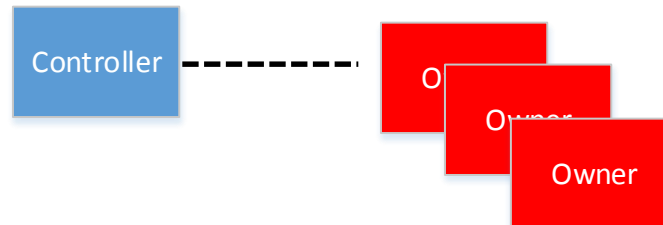
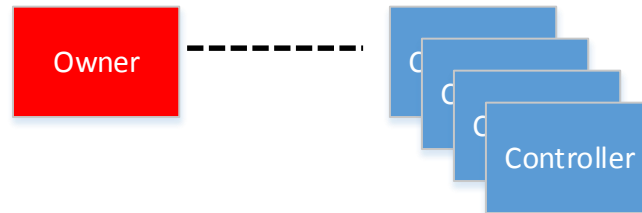
Controlled Accounts

Profile	Relationship To Owner
Walker, Jeffrey (OCR2597)	Trader
Health Fund, Inc (OCR2605)	Trader

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

