

## AGREEMENT

Requesting firm acknowledges and agrees that it has executed and delivered to OneChicago, concurrently with its signature below, a “SFTP Subscription Form”.

Any changes to existing SFTP relationships may be made only by completing a SFTP Subscription Form and delivering the completed form to the Exchange.

This SFTP Subscription Form must be signed and returned by an authorized representative of the requesting firm. Return this document to [operations@onechicago.com](mailto:operations@onechicago.com).

### REQUESTING FIRM

Firm Name \_\_\_\_\_

#### EXCHANGE USE ONLY

Customer ID \_\_\_\_\_

SO-Number \_\_\_\_\_

### SIGNATURE

Name \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

# SFTP SUBSCRIPTION FORM



## DESIGNATED CLEARING FIRM

Each Clearing Member, Exchange Member or Access Person with non-intermediated access to Delta1 shall maintain front-end audit trail information for all electronic orders entered into Delta1, including order modifications and cancellations and responses to such messages. Approval from the Clearing Firm is needed to give access to its audit trail to Exchange Members and/or Access Persons.

Firm Name .....

## SIGNATURE

Name .....

Title .....

Signature .....

Date .....

Questions regarding this document should be directed to [operations@onechicago.com](mailto:operations@onechicago.com) or by phone at 312.883.3411

# SFTP SUBSCRIPTION FORM



## SUBSCRIPTION CATEGORIES

For each item selected please complete the appropriate supplement section. All Requesting Firms must provide the appropriate Network Information.

- Billing Reports → SFTP BILLING SUPPLEMENT
- Audit Trail Files → SFTP AUDIT TRAIL SUPPLEMENT
- OCR Submissions → SFTP OCR SUPPLEMENT
- Restricted Securities List Submissions → SFTP RESTRICTED SECURITIES LIST SUPPLEMENT

## REQUEST ACTION

Modify Existing SFTP Username \_\_\_\_\_

Create new SFTP Remote Relationship

## NETWORK INFORMATION

|                                       |                            |                                       |                                |
|---------------------------------------|----------------------------|---------------------------------------|--------------------------------|
| Production Host                       | <u>sftp.onechicago.com</u> | User Acceptance Testing Host          | <u>sftp-uat.onechicago.com</u> |
| Host IP                               | <u>54.210.27.106</u>       | Host IP                               | <u>52.6.213.122</u>            |
| Port                                  | <u>22</u>                  | Port                                  | <u>22</u>                      |
| Firm Networks Advertised <sup>1</sup> | _____                      | Firm Networks Advertised <sup>1</sup> | _____                          |
|                                       | _____                      |                                       | _____                          |
|                                       | _____                      |                                       | _____                          |

<sup>1</sup> Advertised networks must be consistent with best practices in RFC 1918 and are required to be publicly registered

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# SFTP SUBSCRIPTION FORM



## CONTACT INFORMATION

For all new subscriptions, please complete the following.

### BUSINESS CONTACT

Name .....  
Title .....  
Phone .....  
Email .....

### COMPLIANCE CONTACT

Name .....  
Title .....  
Phone .....  
Email .....

### TECHNOLOGY CONTACT

Name .....  
Title .....  
Phone .....  
Email .....

### BILLING CONTACT

Name .....  
Title .....  
Phone .....  
Email .....

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## SFTP BILLING SUPPLEMENT

### BILLING CATEGORY SUBSCRIPTION

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The Exchange generates a monthly total summary reports for fees associated with services provided by and transactions entered on the exchange. This line item summary is delivered monthly to the designated secure FTP directory hosted by the Exchange. Additionally, the Exchange provides detailed daily and monthly summary reports for each fee category. Please select one or more of the following categories to receive billing files.

### SUBSCRIBE   UNSUBSCRIBE

**Execution Fees:** All fees associated with trades executed on or reported to Delta1. This includes exchange fees, OCC fees, and SEC fees.

**Carry Fees:** Positions are assessed daily, including weekends and holidays. Firms that subscribe to the Carry Fees report will also receive the two supplement files mentioned below:

- **Carry Supplement:** Includes a breakdown by position held by a clearing firm during a given month
- **Registered Tiered Carry Supplement:** Registered tiered carry fees are applied to positions reported through Large Trader that have registered their account with the exchange.

**Delivery Fees:** Fees are assessed one time and charged to the clearing firm taking a position to delivery via either physical or cash settlement.

**Gateway Audit (Port):** A gateway is a dedicated end-point for a FIX session. Gateways are assessed on a per-port basis.

**Delta1 User Fees:** Includes FIX sessions and Delta1 front end trading application logins.

**Connectivity Fees:** This includes direct-connects, internet VPNs, and an extranet audit for production, disaster recovery, and user acceptance testing networks.

#### Other Subscribed Services

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Unsubscribe to ALL Billing Reports and DELETE SFTP Directory

### ADDITIONAL INFORMATION

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- [Documentation Center](#)
- [Exchange Fees](#)
- [Developer Resources](#)

# SFTP AUDIT TRAIL SUPPLEMENT

## REQUEST ACTION

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SUBSCRIBE

UNSUBSCRIBE

## AUDIT TRAIL SUBSCRIPTION

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Audit trail reports are generated for each session username. Please list the specific session username(s) for which audit trail reports are being requested.

|       |       |       |       |
|-------|-------|-------|-------|
| ..... | ..... | ..... | ..... |
| ..... | ..... | ..... | ..... |
| ..... | ..... | ..... | ..... |
| ..... | ..... | ..... | ..... |

## ADDITIONAL INFORMATION

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→ [Audit Trail Technical Specifications](#)

## SFTP OCR SUPPLEMENT

### REQUEST ACTION

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ADD

REMOVE

### OCR SUBSCRIPTION

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Onboarding firms will first send Ownership and Control Reports (“OCR”) to the UAT environment. Upon receiving the file, OneChicago will validate submitted files for accuracy and provide feedback if necessary. Successful certification testing in UAT is required to submit files.

Firm Name

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Firm Alpha Code

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# SFTP RESTRICTED SECURITIES LIST SUPPLEMENT

## REQUEST ACTION

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ADD

REMOVE

## REQUESTING FIRM INFORMATION

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Only Clearing Firms may submit Restricted Securities Lists. For more information please contact [operations@onechicago.com](mailto:operations@onechicago.com).

Firm Name

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Clearing Firm Number

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Customer ID<sup>1</sup>

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## RESTRICTED LIST SUBSCRIPTION

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Restricted Securities List submissions are designated by Risk Group(s). Restricted Securities List submissions allow for firms to restrict trading on certain OneChicago products as deemed necessary by the firm. Successful certification testing in UAT is required to submit files.

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## ADDITIONAL INFORMATION

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→ [Restricted List Technical Specifications](#)

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<sup>1</sup> For information regarding obtaining a Customer ID please contact the exchange operations.

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