

Date: July 17, 2017
Re: OneChicago Ownership and Control Reports
Effective Date: July 31, 2017

OneChicago, LLC (“OneChicago”) is issuing this Regulatory Release (“RR”) 2017-8 to provide market participants with instructions on how to comply with Rule 516 (Ownership and Control Reports) (adopted April 6, 2015). Rule 516 requires that “Clearing Members report to the Exchange in a form and manner prescribed by the Exchange reportable positions and related information relating to Exchange Contracts that Clearing Members are required to report to the Commission pursuant to Commission regulations.”

OneChicago Ownership and Control Reports

On November 18, 2013, the Commodity Futures Trading Commission (“CFTC”) published its final OCR rules. OneChicago requires submission of Form 102 information in the same format as is required by the CFTC. For technical specifications, please refer to the CFTC Technical Guidance Document, available [here](#). OneChicago only accepts OCR in the CFTC format.

OCR submissions by market participants must be made electronically in one of two ways. For firms participating in FIA Technology Services, Inc.’s (“FIA Tech”) OCR solution, submissions will be sent from FIA Tech to OneChicago on behalf of those firms. For firms not participating in the FIA Tech OCR solution, OneChicago will establish a secure file transfer protocol (“SFTP”) directory to which the non-participating firms must submit Form 102 information in the same format as is required by the CFTC. Each OneChicago Clearing Member must notify OneChicago whether it will participate in the FIA Tech OCR solution or whether it will submit the Form 102 information to OneChicago electronically via SFTP.

Required Reporting to OneChicago

OneChicago requires electronic filing of the following forms:

- **Form 102A:** This form collects information with respect to position-based special accounts. A special account is any account with a reportable position. The OneChicago exchange level reportable position for Form 102A is one (1) contract in any security futures product (overlying either an individual equity security or narrow-based security index). Form 102A must be submitted to OneChicago by 9:00 a.m. CT on the business day following the date on which a special account becomes reportable.
- **Form 102B:** This form requires the transaction-based reporting of trading accounts that have daily trading volume that exceeds a specified level in a single trading day,

regardless of whether the accounts maintain positions at the end of the day. The OneChicago exchange level reportable position for Form 102B is fifty (50) contracts in any security futures product (overlying either an individual equity security or narrow-based security index) with the same product identifier, or any such other level as determined by the CFTC. Form 102B must be submitted to OneChicago by 9:00 a.m. CT on the business day following the date on which a volume threshold account becomes reportable.

Please note the following:

- OneChicago's reportable levels are lower than the CFTC's reportable levels and therefore a Form 102A may be required by OneChicago earlier than the CFTC would require.
- OneChicago requires Clearing Members and omnibus accounts to submit Form 102A and all related accounts as well as Form 102B accounts.
- All Clearing Members, including those that trade solely proprietarily for their own accounts, are required to submit OCR electronically.
- Reporting Firms must submit all change and refresh updates to OneChicago when required to submit such updates to the CFTC. These updates should be sent to OneChicago on the same day they are sent to the CFTC.

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Any questions regarding OCR can be directed to OneChicago Operations through phone at (312) 883-3411 or through e-mail at operations@onechicago.com.