



CFE Regulatory Circular RG21-002

Date: April 20, 2021

Exchanges: CFE

Markets: Futures

To: Trading Privilege Holders, Clearing Members, Futures Commission Merchants and Foreign Brokers

Re: New Ownership and Control Reporting Web-Based Platform Changes Effective April 26, 2021

This circular provides notice to Clearing Members, Futures Commission Merchants and Foreign Brokers (collectively “Reporting Firms”) regarding the upcoming Cboe Futures Exchange, LLC (“CFE”) migration of the web-based Ownership and Control Reporting (“OCR”) system to a new platform.

Effective **April 26, 2021**, the legacy OCR system will be decommissioned and replaced by a similar application on a different web platform. Users with accounts in the legacy OCR system will be required to set up a new OCR Account prior to submitting CFTC Forms 102A, 102B, and 71 in the new platform.¹ Please note that registered user accounts within the legacy OCR system will not be available in the new web platform. To register for an account in the new platform, please email cfeocrreg@cboe.com with the following information, indicating the email is for a new OCR account:

- Reporting Firm Legal Name
- CFTC Reporting ID(s)
- First and last name(s) of account user(s)
- Email address(es) from the legacy system

If a Reporting Firm has more than one registered user on the legacy OCR system, please include in the e-mail information for all registered users. If current OCR users would like historical filings from the legacy OCR system to be linked to their new accounts, please also indicate it in the registration email. Upon receipt of an e-mail request, user accounts will be created for the new OCR reporting platform and an automated email will be sent to each user with a link to setup new account passwords.

All new users of a Reporting Firm that do not have an account in the legacy OCR system can register for an account via a web-based form accessible at <https://www.cboe.com/ocr/>.

Additional Information

For questions, please contact CFE Regulatory Interpretations at CFERegInterps@cboe.com or 312.786.7229.

¹ XML-based OCR reporting is still available, and is not impacted by the web platform change.