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TO: Eris Exchange Market Participants

FROM: Market Regulation Department

ADVISORY: #15-M02

DATE: January 29, 2015

SUBJECT: Form 102 and 102A Submissions for Ownership and Control Reporting

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This Market Notice serves to notify Clearing Firms of Eris Exchange, LLC ("Eris Exchange" or "Exchange") that, effective February 11, 2015, a Clearing Firm may submit either Form 102 or Form 102A to fulfill its obligations under Eris Exchange Rule 532.

Eris Exchange Rule 532 requires the submission of an applicable Form 102 for each reportable account. A reportable account is any position at or above the reportable level in a discrete Commodity Code, as set forth in Eris Exchange Rule 533.

#### **Form 102**

There is no change to the current submission process for Form 102 and Clearing Firms may continue to submit Form 102 pursuant to Eris Exchange Rule 532, via electronic mail to [MarketReg@erisfutures.com](mailto:MarketReg@erisfutures.com).

#### **Form 102A**

The following requirements apply to Clearing Firms on days required to submit a Form 102A:

- Clearing Firms submit a single file per day containing records for all accounts applicable to Eris Exchange, following CFTC format specifications (<http://www.cftc.gov/Forms/OCR>) and naming convention:
  - OCRFORM\_102\_[IDENTIFIER]\_[YYYYMMDD]\_[SOURCE].xml
- Clearing Firms submit Form 102A information to the Eris Exchange sFTP folder. Firms that do not have an sFTP folder can request setup from [ErisControlCenter@erisfutures.com](mailto:ErisControlCenter@erisfutures.com). During this interim period, Clearing Firms may submit Form 102A via email to [MarketReg@erisfutures.com](mailto:MarketReg@erisfutures.com).

#### **Form 102A Submission Testing**

- Clearing Firms may test the Form 102A submission process by first contacting the Eris Control Center to coordinate testing times and credentials.
- Clearing Firms will utilize the following naming convention and submit test files via sFTP to the same folder used by each firm for daily LTR files:
  - OCRFORM\_102\_[IDENTIFIER]\_[YYYYMMDD]\_[SOURCE]\_TEST.xml

#### **More Information**

For products where the Exchange reportable levels are higher than the CFTC levels, the Exchange will accept over-reporting of accounts and will not reject files on the basis that the position reported is below the Exchange's reporting level. The Exchange does not currently have products where the Exchange reportable levels are lower than the CFTC levels.

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