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TO: Eris Exchange Market Participants

FROM: Market Regulation Department

ADVISORY: #15-M12

DATE: September 28, 2015

SUBJECT: Submissions for Ownership and Control Reporting

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This Market Notice supersedes [Market Notice #15-M10](#) and serves to notify Participants of Eris Exchange, LLC (“Eris Exchange” or “Exchange”) that the Exchange is withdrawing its self-certification of Ownership and Control Reporting (“OCR”) Rules and delaying the implementation of OCR submission requirements due to the CFTC no-action relief provided in [CFTC Letter No. 15-52](#).

**Form 102 and/or Form 102A Submissions**

There is no change to the current submission process for Form 102 and Clearing Firms may submit either Form 102 (email) to fulfill its obligations under Exchange Rule 532. As an accommodation to Participants, the Exchange will also accept Form 102A submitted via sFTP.

**Form 102A and Form 102B Testing**

- Clearing Firms may continue testing the Form 102A and Form 102B submission process by first contacting the Eris Control Center to coordinate testing times and credentials.
  - The Exchange supports the use of the FIA Tech OCR system for testing.
- 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 file:
  - OCRFORM\_102\_[IDENTIFIER]\_[YYYYMMDD]\_[SOURCE]\_TEST.xml.

**More Information**

For more information, please contact the Eris Control Center at [ErisControlCenter@erisfutures.com](mailto:ErisControlCenter@erisfutures.com).

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