Market Surveillance/Compliance

Email Address: Compliance-OCR-Reporting@TheIce.com

**Non Clearing Member**

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| **Firm Name** |  | **CFTC Reporting Firm ID** |  | **Exchange**  **(IFUS, IFEU, IFED, ICES,**  **or IFSG)** |  |

MFT allows automated or ad-hoc uploading of data files generated by firms, non-clearing members or vendors. ICE supports only public-key authenticated system accounts for SFTP for uploading file transfers. To make use of the SFTP file transfer, your systems administration or Information Security department will be required to submit a public key for use in authenticating this account. Please fill out the form and return it to the email address above.

**Access for Automated Download**

Where you intend/plan to automate the download of data files within a back office system you are required, for security reasons, to implement this according to the system to system (Service User) access Model. This employs use of a secure, system generated key as the means of authenticating access to the MFT. This approach avoids embedding passwords within the scripts and/or software applications that use it. Storing/embedding of passwords in plain text is contrary to ICE Security Policy. A Service User is not linked to an individual person but to your organization; therefore, it will not be deleted/removed when a particular individual leaves your organization. We request the source IP of the host that will connect to our SFTP server. We utilize a Whitelist at ICE and that IP will be required to be on this Whitelist to access the server.

**Access for Ownership and Control Reporting (OCR)**

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| **A new login is required, which will not be used for any other purpose.** | | |
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| **x** | **Upload of OCR Reporting** | **Source IP Address**: |
| **Please advise your public key below or attach it to your email correspondence** | | |
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**Contact Point for Set up of OCR Access**

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| --- | --- | --- | --- | --- |
| **First Name** | **Last Name** | **Job Title / Department** | **Telephone** | **Email** |
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