

EXCHANGE NOTICE

SEPTEMBER 27, 2017

OWNERSHIP AND CONTROL REPORTING (OCR) UPDATE

In an Exchange Notice dated April 26, 2016 ([Exchange Notice](#)), ICE Futures U.S. (“IFUS” or “Exchange”) set Volume Threshold Account reporting trigger levels and effective dates that mirrored the levels and effective dates set by the Commodity Futures Trading Commission (“CFTC”) in CFTC Letter 16-32 ([CFTC Letter 16-32](#)). On September 25, 2017, the CFTC issued CFTC Letter 17-45 ([CFTC Letter 17-45](#)), which extends the relief previously provided and provides additional relief. To provide consistency, IFUS will recognize all aspects of the relief provided in CFTC Letter 17-45 for reporting obligations related to Form 102A - *Identification of Special Accounts* and Form 102B - *Identification of Volume Threshold Accounts*. While this relief means that the Volume Threshold Account reporting trigger level remains at 250 contracts or more per day, IFUS will continue to accept voluntary submissions of Form 102Bs for accounts with a lower trigger level.

In addition, IFUS is adopting the CFTC’s guidance published on their website that by December 15, 2017, reporting firms (Clearing Members, Carrying Members and foreign brokers) should have submitted a Form 102A for all of their active special accounts. Exchange Rule 6.15(d)(1) provides that Form 102A must be provided by electronic submission via secure FTP or by manual entry through the Exchange OCR Portal.

FOR MORE INFORMATION:

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