

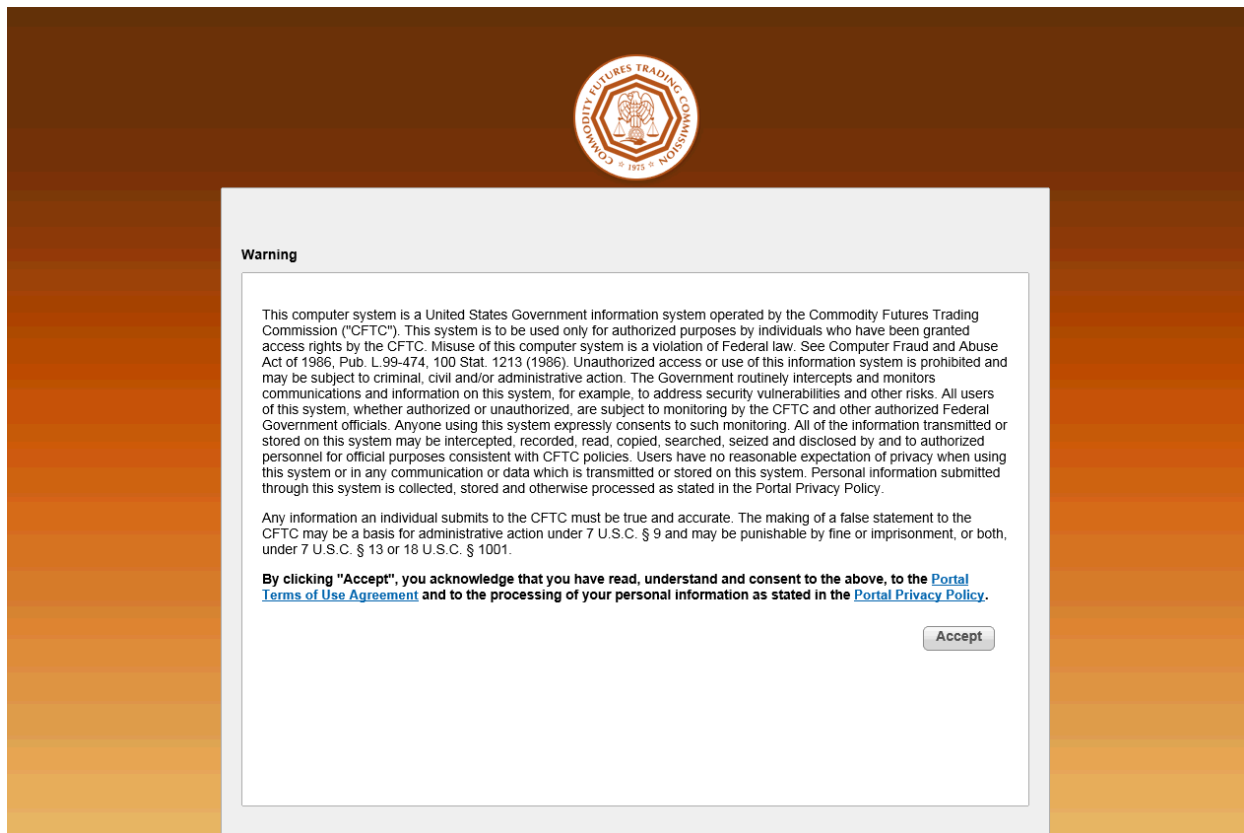
# CFTC Ownership and Control Reporting (OCR) Form 102 Portal and Contact Registration Process

This document provides an overview on how to register contact information to receive status notifications for the OCR Form 102 data submission process.

For additional information on the OCR Final Rule and submission procedures, please visit the OCR page on the CFTC website at: <http://www.cftc.gov/Forms/OCR>.

To visit the CFTC Portal in your browser, go to: <https://portal.cftc.gov>.

1. Read the CFTC Portal terms of use. You can accept the terms of use by pressing the “Accept” button.



2. Click the "Create Account" link.



The image shows the CFTC Portal login page. At the top center is the CFTC logo, a circular emblem with the text "COMMODITY FUTURES TRADING COMMISSION" and "1975" around a central eagle and scales. Below the logo, the text "CFTC PORTAL" is displayed in a large, white, sans-serif font. The main content area is a white box with a subtle gradient. It contains two input fields: "User name" and "Password". To the right of the password field is a "Log In" button. Below the input fields are two links: "Create Account" and "Forgot Password?". A warning message states: "After 5 unsuccessful login attempts your account will be locked. Please wait 30 minutes to login again or contact [CFTC Support](#) for any assistance." At the bottom of the box are three links: "Privacy Policy", "Terms of Use Agreement", and "CFTC Support", separated by vertical bars.

COMMODITY FUTURES TRADING COMMISSION  
1975

# CFTC PORTAL

User name

Password

[Log In](#)

[Create Account](#)      [Forgot Password?](#)

After 5 unsuccessful login attempts your account will be locked. Please wait 30 minutes to login again or contact [CFTC Support](#) for any assistance.

[Privacy Policy](#) | [Terms of Use Agreement](#) | [CFTC Support](#)

3. On the New User Request form, enter the registration information in the required fields. NOTE: The business phone and email address provided as the primary registration information will be used for account verification and you will need access to the phone number provided to complete registration.



The image shows the CFTC Portal New User Request Form. At the top center is the CFTC logo, a circular seal with an eagle and scales, surrounded by the text "COMMODITY FUTURES TRADING COMMISSION" and "1975". Below the logo, the text "CFTC PORTAL" is displayed in a large, white, serif font. The main content area is a white box with a light gray gradient background. It features the title "New User Request Form" and a note: "Fields marked with a red exclamation (!) are required". The form includes several input fields, each with a red exclamation mark icon to its left: "First Name", "Last Name", "Business Phone" (with a dropdown menu for country code, currently showing "+1"), "Email Address", and "Organization Type" (a dropdown menu with "Select a Organization Type" as the selected option). Below these is a "Validation Code" section with a red exclamation mark icon, a CAPTCHA image showing the characters "P G G G Q Z", and two links: "Generate New Image" and "Get Audio Code". A text input field is provided for entering the validation code. At the bottom right of the form is a "Submit" button. At the bottom of the white box are three links: "Privacy Policy", "Terms of Use Agreement", and "CFTC Support".

**New User Request Form**

Fields marked with a red exclamation (!) are required

First Name

Last Name

Business Phone

Email Address

Organization Type

Validation Code

[Generate New Image](#)  
[Get Audio Code](#)

[Privacy Policy](#) | [Terms of Use Agreement](#) | [CFTC Support](#)

Submit

4. For Organization Type, click on the drop down to the right and select FCM (Futures Commission Merchants/Reporting Firms).



The image shows the CFTC Portal's "New User Request Form". At the top center is the CFTC logo, a circular seal with an eagle and scales, surrounded by the text "COMMODITY FUTURES TRADING COMMISSION" and "1975". Below the logo, the text "CFTC PORTAL" is displayed in a large, bold, orange font. The form itself is a white box with a grey gradient at the bottom. It has a title "New User Request Form" and a note: "Fields marked with a red exclamation ( ! ) are required". The form contains several fields: "First Name", "Last Name", "Business Phone" (with a country code dropdown set to "+1"), "Email Address", "Organization Type" (a dropdown menu), and "Validation Code" (with links for "Generate New Image" and "Get Audio Code"). The "Organization Type" dropdown is open, showing options: "DCM (Designated Contract Markets)", "DCO (Derivatives Clearing Organizations)", "FCM (Futures Commission Merchants/Reporting Firms)", "SDR (Swap Data Repositories)", and "SEF (Swap Execution Facilities)". The "FCM" option is highlighted. At the bottom right of the form is a "Submit" button. At the bottom of the page are links for "Privacy Policy", "Terms of Use Agreement", and "CFTC Support".

**COMMODITY FUTURES TRADING COMMISSION**  
1975

# CFTC PORTAL

## New User Request Form

Fields marked with a red exclamation ( ! ) are required

**First Name** !

**Last Name** !

**Business Phone** !

**Email Address** !

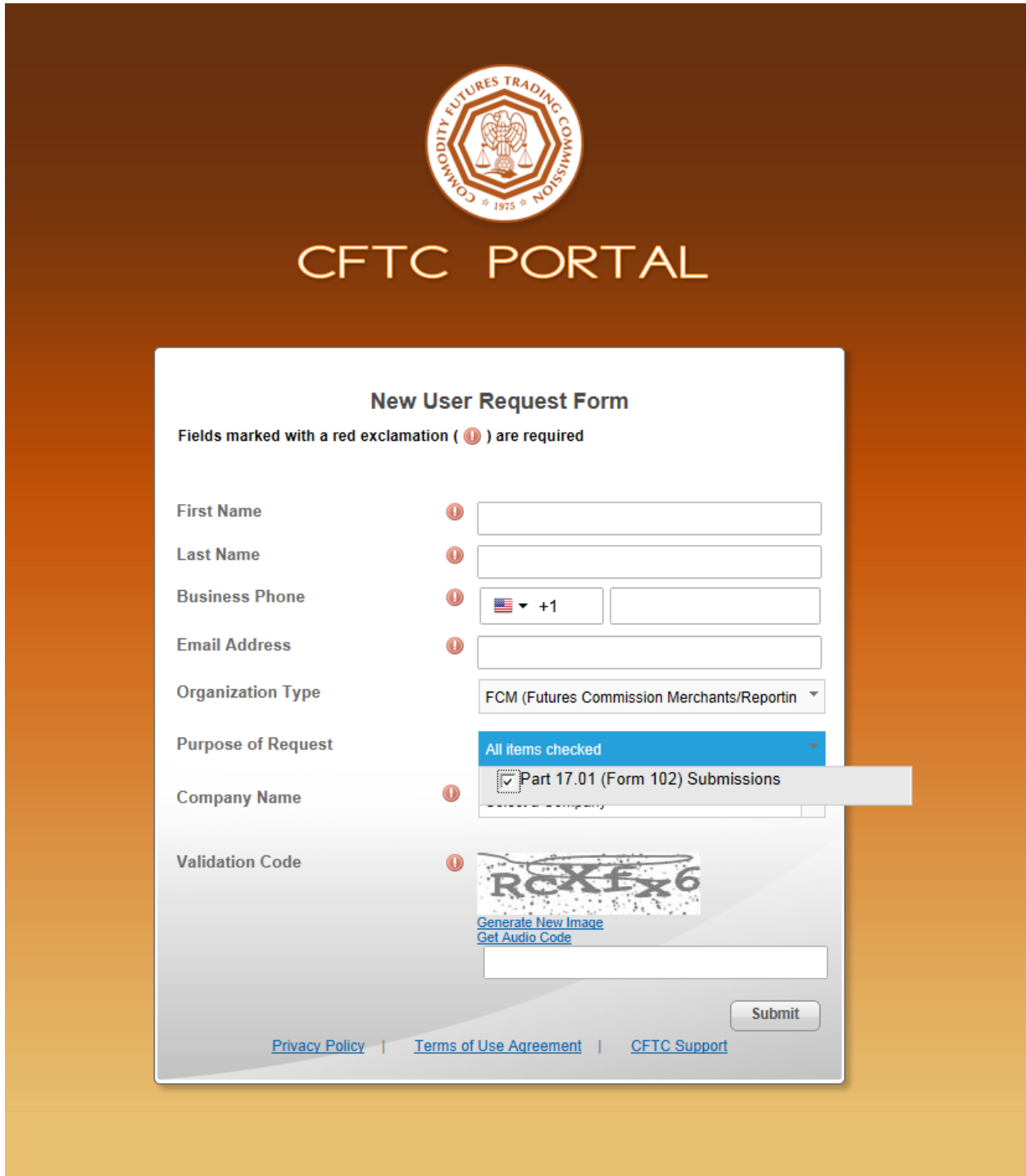
**Organization Type** ! **Select a Organization Type** ▼

- Select a Organization Type
- DCM (Designated Contract Markets)
- DCO (Derivatives Clearing Organizations)
- FCM (Futures Commission Merchants/Reporting Firms)**
- SDR (Swap Data Repositories)
- SEF (Swap Execution Facilities)

**Validation Code** ! [Generate New Image](#)  
[Get Audio Code](#)


[Privacy Policy](#) | [Terms of Use Agreement](#) | [CFTC Support](#)

5. For Purpose of Request, click on the drop down to the right and select the checkbox for Part 17.01 (Form 102) Submissions.



The image shows the CFTC Portal New User Request Form. At the top center is the CFTC logo, a circular seal with an eagle and scales, surrounded by the text "COMMODITY FUTURES TRADING COMMISSION" and "1975". Below the logo is the text "CFTC PORTAL". The form itself is titled "New User Request Form" and includes a note: "Fields marked with a red exclamation (!) are required". The form fields are: "First Name" (required), "Last Name" (required), "Business Phone" (required, with a country code dropdown set to "+1"), "Email Address" (required), "Organization Type" (dropdown menu with "FCM (Futures Commission Merchants/Reportin" selected), "Purpose of Request" (dropdown menu with "All items checked" selected), "Company Name" (required), and "Validation Code" (required, with a CAPTCHA image showing "RCXEx6" and links for "Generate New Image" and "Get Audio Code"). A "Submit" button is at the bottom right. At the bottom of the form are links for "Privacy Policy", "Terms of Use Agreement", and "CFTC Support". A grey tooltip is visible over the "Part 17.01 (Form 102) Submissions" checkbox in the Purpose of Request dropdown.

- For Company Name, click on the drop down to the right and select the associated FCM for which you are registering. Upon selection, an associated firm identifier will appear that cannot be changed.



## CFTC PORTAL

### New User Request Form

Fields marked with a red exclamation ( ! ) are required

First Name	<input type="text" value="John"/>
Last Name	<input type="text" value="Smith"/>
Business Phone	<input type="text" value="+1 2024185251"/>
Email Address	<input type="text" value="cmonlux@cftc.gov"/>
Organization Type	<input type="text" value="FCM (Futures Commission Merchants/Reportin"/>
Purpose of Request	<input type="text" value="All items checked"/>
Company Name	<input type="text" value="ABC TEST FCM"/>
Firm Identifier	<input type="text" value="TEST"/>

#### OCR Notification Email Addresses


For 102 submissions, CFTC will reply via email with the status of file submissions. The email will indicate whether the file was successfully processed, or provide information on errors encountered during processing.

Please provide the email addresses to which the status notifications should be sent. Multiple email addresses should be separated by semi-colons. Please add your own to the list below if you wish to receive notification emails.

The email addresses will be active within the CFTC OCR data loader within 2 business days after you have verified your account. Please send test submissions after the 2-day period is complete.

#### Validation Code



[Generate New Image](#)  
[Get Audio Code](#)

[Privacy Policy](#) | [Terms of Use Agreement](#) | [CFTC Support](#)

7. Below the Firm Identifier, you will be able to provide multiple email addresses that will be used in the notification process for 102 submissions. **NOTE:** The email address provided in this box will only be used for submission processing notifications related to 102 submissions and will not be able to log in to the CFTC Portal. The Portal does not currently provide the ability to modify these email addresses after the account creation.

## OCR Notification Email Addresses

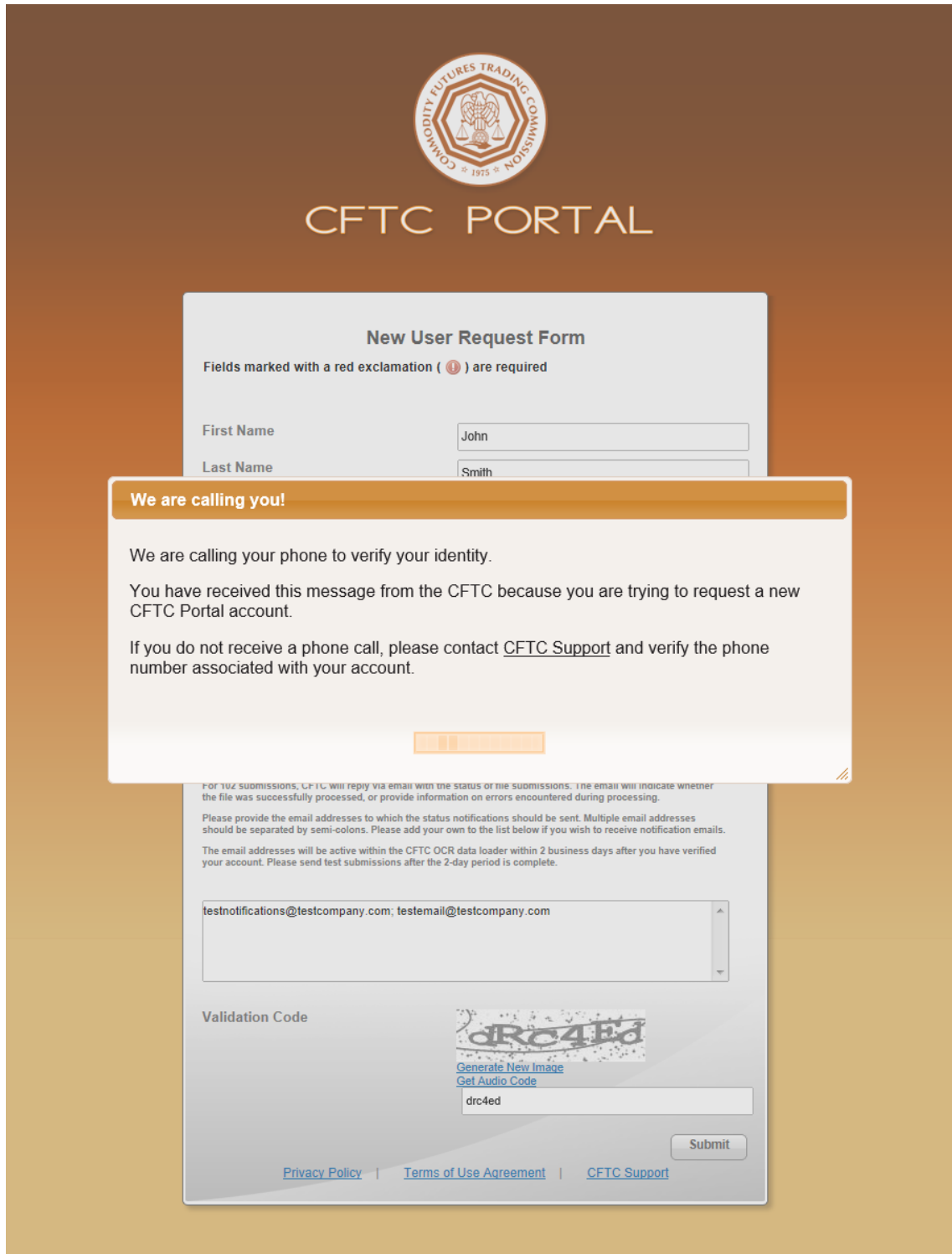
For 102 submissions, CFTC will reply via email with the status of file submissions. The email will indicate whether the file was successfully processed, or provide information on errors encountered during processing.

Please provide the email addresses to which the status notifications should be sent. Multiple email addresses should be separated by semi-colons. Please add your own to the list below if you wish to receive notification emails.

The email addresses will be active within the CFTC OCR data loader within 2 business days after you have verified your account. Please send test submissions after the 2-day period is complete.

testnotifications@testcompany.com; testemail@testcompany.com

8. After entering a successful form validation code and clicking the "Submit" button, the CFTC Portal will call the phone number entered on the form to verify your registration. Please answer your telephone and follow the instructions provided.



The screenshot displays the CFTC Portal's "New User Request Form". At the top center is the CFTC logo, a circular emblem with the text "COMMODITY FUTURES TRADING COMMISSION" and "1975". Below the logo, the text "CFTC PORTAL" is displayed in a large, light-colored font. The form itself is a light gray box with the title "New User Request Form" and a sub-header "Fields marked with a red exclamation ( ! ) are required". Two input fields are visible: "First Name" with the value "John" and "Last Name" with the value "Smith".

An orange notification box is overlaid on the form, containing the following text:

**We are calling you!**

We are calling your phone to verify your identity.

You have received this message from the CFTC because you are trying to request a new CFTC Portal account.

If you do not receive a phone call, please contact [CFTC Support](#) and verify the phone number associated with your account.

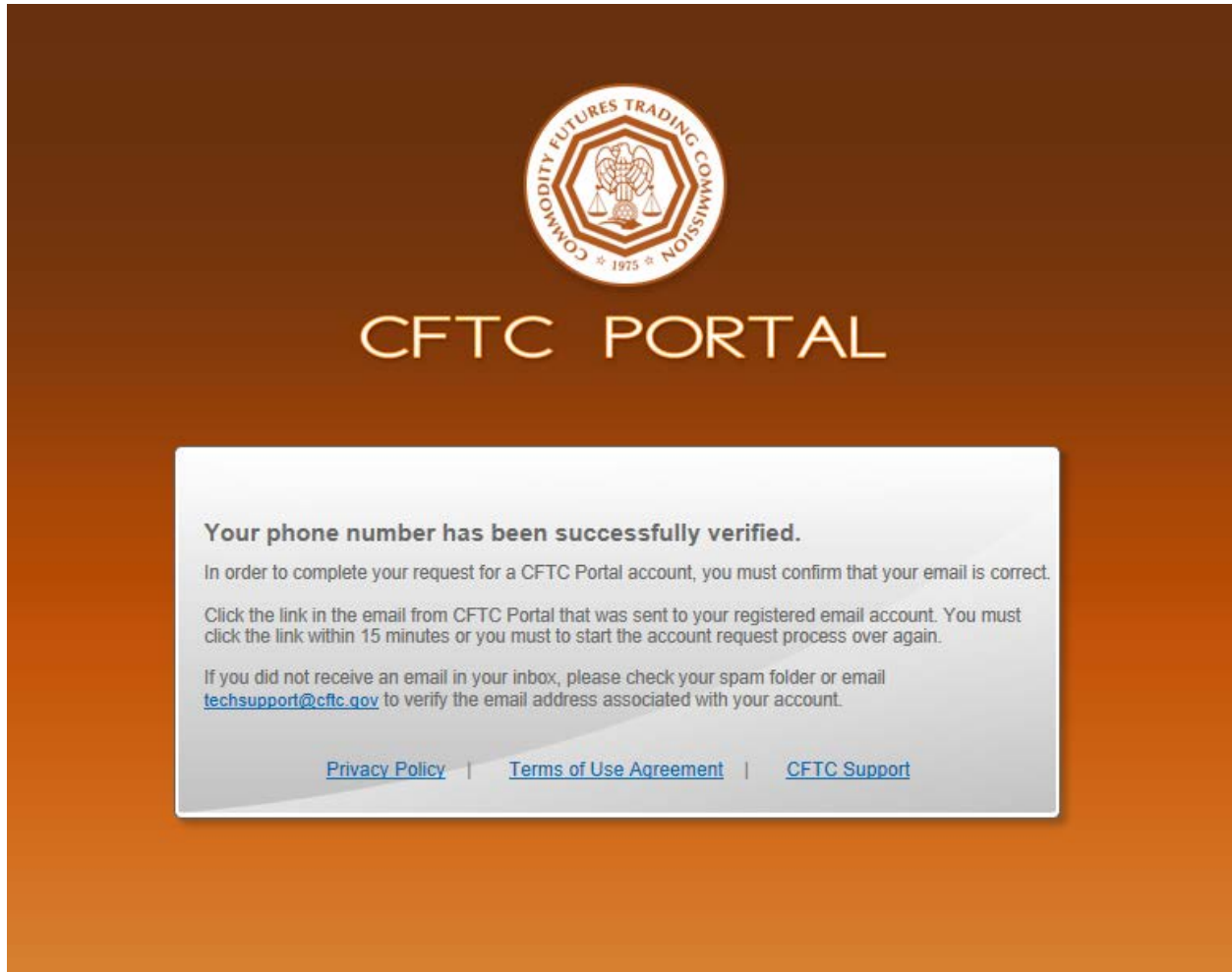
Below the notification box, the form continues with instructions: "For 102 submissions, CFTC will reply via email with the status of the submissions. The email will indicate whether the file was successfully processed, or provide information on errors encountered during processing. Please provide the email addresses to which the status notifications should be sent. Multiple email addresses should be separated by semi-colons. Please add your own to the list below if you wish to receive notification emails. The email addresses will be active within the CFTC OCR data loader within 2 business days after you have verified your account. Please send test submissions after the 2-day period is complete." A text area contains the email addresses "testnotifications@testcompany.com; testemail@testcompany.com".

Below the email addresses is a "Validation Code" section. It features a CAPTCHA image with the code "drc4ed" and two links: "Generate New Image" and "Get Audio Code". A text input field contains the code "drc4ed". A "Submit" button is located at the bottom right of the form.

At the bottom of the page, there are three links: "Privacy Policy", "Terms of Use Agreement", and "CFTC Support".



9. Upon verification of your phone number, you will receive the following confirmation page and an email requesting to verify your email address is correct.



10. In the account verification email, click on the link provided to verify your email address.

**Subject:** Your CFTC Account Verification

John Smith,

You have requested a FCM (Futures Commission Merchants/Reporting Firms) account for ABC TEST FCM in the CFTC Portal.

Click the link below to verify your email address so that we may process your request. You must click the link within 15 minutes of receiving this email message or you must start the account request process over again.

<https://portal.cftc.gov/ layouts/am/formsSignIn.aspx?PageFunction=8&iZtNA005e39BPtRzG4DjBGLp7CihgyAatHsQADFPmzUhgn5rkLfu%2fdrv24JmU43%2b>

Once you have verified your email address, your request will be sent to CFTC for approval.

If you did not request to create an account, delete this email. For more information or questions, contact [techsupport@cftc.gov](mailto:techsupport@cftc.gov).

**Note:** CFTC will never request that you provide your password through email or over the phone.



## CFTC PORTAL

Your phone number and email address have been successfully verified and your request for a new account has been sent to CFTC for approval.

Once your account is approved, you will receive an email.

[Privacy Policy](#) | [Terms of Use Agreement](#) | [CFTC Support](#)

11. Upon review and approval of your account request, you will receive the following email confirming the creation of your new account.

**Subject:** An account for the CFTC Portal has been created on your behalf

John Smith,

An account for the CFTC Portal has been created for you on behalf of ABC TEST FCM, the FCM (Futures Commission Merchants/Reporting Firms).

User name: J.Smith

Click the link below to reset your password. If the link does not work, copy and paste the address into a browser.

<https://portal.cftc.gov/ layouts/am/formsSignIn.aspx?PageFunction=2>

Once you have reset your password, the CFTC Portal will send you a confirmation email.

If you did not request to create account, delete this email. For more information or questions, contact [techsupport@cftc.gov](mailto:techsupport@cftc.gov)

**Note:** CFTC will never request that you provide your password through email or over the phone.