



KOR

Dispute Policy

2021-04-01

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History

| Date | Description of change | Sections Updated |
|------------|-----------------------|------------------|
| 2021-04-01 | Original document | |
| | | |
| | | |

Last Review Date

2021-090-1

1. Overview

Reference applicable KOR SDR and SBSDR Rule: “Dispute Resolution” as referenced below.

2. Dispute Resolution

KOR has established procedures and provides facilities for effectively resolving disputes over the accuracy of the TR¹ Data and positions that are recorded in the Trade Repository.

When the Reporting Counterparty² does not agree with the accuracy of the reporting of a swap in KOR TR, but are prevented from amending the swap to what they believe to be accurate, the Client must follow the following steps:

- a. Enter a ticket with KOR TR support with the details of the issue; and
- b. Submit an allowed value per the applicable KOR TR Technical Specifications for the KOR TR field “Reporting Counterparty Dispute”. The allowed values are a high-level indication of the issue. Sample values may include but are not limited to: “No accurate UPI available” or “KOR TR Technical Specifications do not allow for accurate representation”. Clients may contact KOR TR to add additional values, but these values will be at the discretion of KOR TR.

References: CFTC Rule(s) §49.10(f).

References SEC Rule(s) §240.13n-5(b)(6).

¹ Trade Repository (TR) is an all-encompassing term that includes Swap Data Repository (SDR) and Security Based Swap Data Repository (SBSDR) for which KOR Reporting Inc. is registered.

² Includes Reporting Side for SEC reporting.

3. Appendix A: Exhibits

| Regulator | Exhibit # | Exhibit Description |
|-----------|-----------|---|
| CFTC | JJ | Attach as Exhibit JJ procedures and a description of facilities of the Applicant for effectively resolving disputes over the accuracy of the transaction data and positions that are recorded in the swap data repository. |
| SEC | CC | Attach as Exhibit CC procedures and a description of facilities of the applicant for effectively resolving disputes over the accuracy of the transaction data and positions that are recorded in the security-based swap data repository. |