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.
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.
4. For Organization Type, click on the drop down to the right and select FCM (Futures Commission Merchants/Reporting Firms).
5. For Purpose of Request, click on the drop down to the right and select the checkbox for Part 17.01 (Form 102) Submissions.
6. 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.
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.
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/lnr/FormsSignIn.aspx?
PageFunction=8&iZipNA065e39RPsRzG4DfBGI.p7CihgvAtHsQADFPmzUhp55kL.Fu%2fdrv%24JmU43%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

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

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


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

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