



## **LARGE OPEN POSITION REPORTING - LOPR REGULATORY REQUIREMENTS GUIDE**

### **For Canadian and Foreign Approved Participants**

Regulatory Division  
Bourse de Montréal Inc.

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## TABLE OF CONTENTS

|  |           |
|--|-----------|
| <b>1 – LOPR</b>  | <b>3</b>  |
| <b>2 – LOPR ACCESS</b>   | <b>3</b>  |
| 2.1 – GRAPHICAL USER INTERFACE (GUI) CLIENT APPLICATION              | 3         |
| 2.2 – DIRECT COMMUNICATIONS USING THE SAIL PROTOCOL                  | 3         |
| <b>3 – LOPR REPORTING RESPONSIBILITY</b>                             | <b>4</b>  |
| 3.1 – LOPR EXEMPTIONS AND DELEGATIONS                                | 4         |
| 3.2 – POSITION AND ACCOUNT PROFILES SUBMISSION TIME                  | 5         |
| 3.3 – FAILURE TO SUBMIT OR ERRONEOUS SUBMISSIONS PENALTIES           | 6         |
| <b>4 – ACCOUNT OWNER IDENTIFICATION AND AGGREGATION REQUIREMENTS</b> | <b>6</b>  |
| 4.1 – ACCOUNT OWNERSHIP  | 6         |
| 4.2 – ACCOUNT OWNER ID   | 6         |
| <b>5 – OPEN POSITION REPORTING THRESHOLD</b>                         | <b>9</b>  |
| 5.1 – POSITIONS CALCULATION  | 9         |
| 5.2 – POSITIONS CALCULATION – MULTIPLE ACCOUNTS                      | 10        |
| 5.3 – APPROVED PARTICIPANTS ACCOUNTS (FIRM ACCOUNTS)                 | 10        |
| 5.4 – REPORTING THRESHOLDS   | 11        |
| 5.5 – POSITIONS BELOW THE REPORTING THRESHOLDS                       | 11        |
| 5.6 – ACCOUNT OWNER POSITIONS AGGREGATION                            | 11        |
| <b>6 – LOPR CONTACTS</b>   | <b>12</b> |
| <b>APPENDIX 1 – Legal Entity Identifier Project</b>                  | <b>13</b> |

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## **1 – LOPR**

The Regulatory Division of the Bourse (the Division), in collaboration with the Information Technology Solutions Department of the Bourse (the ITS Department), has developed and implemented an automatable and secure derivative instruments<sup>1</sup> positions reporting application known as LOPR (Large Open Position Report). This application aims to ensure confidentiality and security to the reporting process for large open positions in derivative instruments.

**Article 14102: Reports pertaining to the accumulation of Positions for Derivatives Instruments** ([http://m-x.ca/f\\_regles\\_en/14\\_en.pdf](http://m-x.ca/f_regles_en/14_en.pdf)) of the Rules of the Bourse describes the obligations of Canadian and foreign approved participants of the Bourse (approved participants) for reporting large open positions in derivative instruments listed on the Bourse.

The LOPR reporting tool will enable approved participants of the Bourse to electronically submit, on a daily basis, their clients' and proprietary accounts reportable open positions and account owner profiles directly to the Division.

This guide describes the various regulatory requirements which approved participants must comply with in order to satisfy the reporting requirements of the Bourse through the LOPR tool.

## **2 – LOPR ACCESS**

The LOPR tool will provide approved participants with two alternatives for submitting position data to the Division:

- Graphical User Interface (GUI) client application; or
- Direct communications using the SOLA® Access Information Language (SAIL) protocol.

### **2.1 – GRAPHICAL USER INTERFACE (GUI) CLIENT APPLICATION**

Approved participants who choose to submit their reportable open positions and account profiles using the GUI client application will be able to enter the data manually into the GUI and send it to the Bourse or, alternatively, export the data from their systems into an integrated delimited text file and send it to the Division via the GUI.

### **2.2 – DIRECT COMMUNICATIONS USING THE SAIL PROTOCOL**

Approved participants who are familiar with the SAIL protocol or those who wish to implement a messaging solution to submit their large open positions and account profiles will be able to communicate their position data to the Division by SAIL messaging through one of the existing Bourse's Points of Presence (POPs).

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<sup>1</sup> For the purpose of this document, the term "derivative instruments" means all options, futures contracts and futures contracts options that are listed and trading on the Bourse.

In order to facilitate access to LOPR and keep users abreast of the technical and regulatory requirements associated with this tool, the Regulatory Division website contains a LOPR section <http://reg.m-x.ca/en/lopr/> where approved participants and their IT support staff can find relevant circulars, technical notices and technical documents.

In addition, the Bourse's ITS Department offers support during business hours (Montreal time - ET). Support staff may be contacted by e-mail at [samsupport@m-x.ca](mailto:samsupport@m-x.ca).

The notices and technical documents found in the LOPR section of the Regulatory Division website are necessary for system installation and everyday LOPR use. More specifically, all LOPR related technical documents necessary for the certification, installation and operation of the LOPR tool may be found in the LOPR section of the Regulatory Division's website: [http://reg.m-x.ca/en/lopr/tech\\_documents](http://reg.m-x.ca/en/lopr/tech_documents)

Finally, in order to remain abreast of any regulatory news, approved participants are strongly invited to subscribe to the circulars of the Bourse at: [http://www.m-x.ca/profil\\_en.php](http://www.m-x.ca/profil_en.php). Alternatively they may subscribe to LOPR news and updates by sending a request by email to [lopr@mx.ca](mailto:lopr@mx.ca).

### **3 – LOPR REPORTING RESPONSIBILITY**

#### **3.1 – LOPR EXEMPTIONS AND DELEGATIONS**

According to the Rules of the Bourse, the responsibility of reporting open positions rests upon each approved participant. Positions must be reported on a fully disclosed basis. Exemptions may be granted under specific conditions and it is permitted, upon certain conditions, to delegate the reporting task to a third party such as, for example, a carrying or clearing broker or to a service provider.

**A) A LOPR Exemption** may be granted if an approved participant has not traded in the last calendar year and does not intend or plan to trade in the near future derivative instruments listed on the Bourse.

Such an exemption will relieve the inactive approved participant from the obligation of submitting a "no reportable positions" report on a daily basis. The exemption request must be in writing and must confirm that the applicant has been inactive on the Bourse's market during the last calendar year and that it does not have any intention of trading any of the Bourse's listed products in the near future.

Exemption requests must be sent to [LOPR@m-x.ca](mailto:LOPR@m-x.ca) and will be processed by the Division.

**B) A LOPR Delegation** of the reporting task may be granted to approved participants who wish to delegate this task to a third party (e.g.: carrying or clearing broker, another approved participant or Independent Service Vendor (ISV)). Such a delegation may be granted only if the delegatee is able to report accounts on a fully disclosed basis. The delegation request must be in writing and must confirm that reportable accounts will be fully disclosed (no undisclosed customer omnibus accounts in the name of the approved participant will be accepted) and must identify the third party delegatee and include a written confirmation from the delegatee that he agrees to undertake the LOPR

reporting task on behalf of the applicant. Delegation requests must be sent to LOPR@m-x.ca and will be processed by the Division.

The third party delegate will need to establish connectivity on behalf of the approved participant. Upon connection, the delegate will then have to request a UserID and password that belong to the delegating approved participant. Any positions reported by the delegate on behalf of the delegating approved participant shall be reported using that UserID and password. (Note: UserIDs and passwords will not be provided to approved participants that are delegating the task to a third party but to the delegate. Also, approved participants who delegate reporting will not have access to LOPR production environment.)

Delegates who will report on behalf of one or many approved participants shall do so on a per approved participant basis. A third party delegate must therefore obtain different UserIDs and passwords for each approved participant on whose behalf it reports positions. Additionally, it is important to mention that the delegation of the LOPR reporting task does not relieve the approved participant choosing to delegate this task to a third party from its responsibility to ensure that position reports filed on its behalf are filed in a timely manner and that they are accurate and complete. Approved participants who choose to delegate should therefore put in place process and procedures to ensure that they receive copies of the reports that are filed on their behalf and to ensure that the information contained in these reports is complete and accurate.

All LOPR exemptions and delegations discussed in sections A) and B) above will remain valid as long as all the conditions related to such exemptions or permissions to delegate are complied with.

### **3.2 – POSITION AND ACCOUNT PROFILES SUBMISSION TIME**

With the LOPR tool, approved participants will be required to submit their reports on positions for the Bourse's listed derivative instruments on a daily basis. Even if, for a given date, there are no positions to report, approved participants shall submit through the LOPR tool a message confirming that there are no reportable positions for the date in question. The positions of the end of a given trading day or, as the case may be, any message confirming that there are no positions to report must be submitted to the Division no later than 8:00 a.m. (Montreal time - ET) on the next business day.

For each trading day, the submission times available will be as follows:

- Current day submission – from 9:00 a.m. to 10:00 p.m. (ET);
- Restricted time – from 10:00 p.m. to 1:00 a.m. (systems closed - no submissions will be accepted);
- Extended Time – from 1:00am to 8:00am (for the previous trading day submission).

Example: The position report for July 25, which must include all open positions as of the close of the trading session for that day may be submitted either on July 25 before 10:00 p.m. (ET) or on July 26 between 1:00 a.m. and 8:00 a.m. (ET).

### **3.3 –FAILURE TO SUBMIT OR ERRONEOUS SUBMISSIONS PENALTIES**

Failure by an approved participant to submit positions report in a timely manner or erroneous submissions may result in the imposition of disciplinary sanctions. It is therefore very important that approved participants ensure that their position reports are submitted in time and that they are accurate.

Article **4002 - Notice of Non-Compliance** ([http://www.m-x.ca/f\\_regles\\_en/04\\_en.pdf](http://www.m-x.ca/f_regles_en/04_en.pdf)) provides that approved participants who fail to meet their obligations must give an immediate written notice to the Division of such failure. Failing to report positions as required by the Rules of the Bourse or reporting inaccurate or erroneous information must be considered as a failure to meet regulatory obligations and such situations should therefore be reported immediately to the Division through the Gatekeeper form found on the Division's website (<http://reg.m-x.ca/en/gatekeeper/login>). The report should state the reasons for the non-compliance and provide the accurate data.

## **4 – ACCOUNT OWNER IDENTIFICATION AND AGGREGATION REQUIREMENTS**

The following section addresses the regulatory requirements associated with the identification of account owners and ownership aggregation.

### **4.1 – ACCOUNT OWNERSHIP**

For the purposes of LOPR, the account ownership and name of the account owner must be determined by applying the following subsequent steps:

- A)** Person or entity with more than 50% ownership interest in the account;
- B)** Name of the account (e.g. Mr. and Mrs. Smith, ABC Investment club).

It is the approved participants' responsibility to determine account ownership based on the information that has been or can be provided by the account owner(s). In case of doubt, approved participants should not hesitate to communicate with the Division for assistance in determining whether or not accounts should be considered as having the same owner(s).

Please note that the LOPR Account Owner "Name" field can accommodate up to 25 characters. If the full account owner name exceeds 25 characters, use abbreviations which best describe the entity. In case of doubt, approved participants should not hesitate to communicate with the Division for more guidance.

### **4.2 – ACCOUNT OWNER ID**

The Account Owner ID field will help the Division in assigning a unique identifier to an account beneficial owner in order to aggregate positions through different account numbers across all approved participants for each such account owner.

The following guidelines are to be used when populating the Account Owner ID field for LOPR with possible escalation when there is a legitimate unavailability<sup>2</sup> of the required information:

**A)** For an account in the name of an individual or of a registered or corporate entity owned exclusively by this individual:

**1)** Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm;

If, and only if, the above identifier is unavailable, approved participants will be allowed to use the following identifier:

**2)** Account owner’s last name.

The Division will not prescribe any specific format for such unique identifier. Therefore, approved participants can design an identifier format that represents for them the most practical and adequate solution. It is important that the identifier, used for each particular account owner, be unique so that there is assurance that different account owners do not have the same identifier.

Example 1: John Doe has the following accounts with an approved participant:

| <b>John Doe Account Types</b>              | <b>Account #</b> | <b>Internal unique identifier used by approved participant to link accounts belonging to the same individual</b> |
|--|------------------|--|
| RRSP                                       | 123456           | ABC123   |
| CDN Margin                                 | 789101           | ABC123   |
| TFSA                                       | 121314           | ABC123   |
| JD Corp*<br>(Personal Holding Corporation) | 875149           | ABC123   |

\*Client has a beneficial ownership interest in excess of 50% in the account

Each approved participant will be responsible for providing this “unique internal identifier” that will link accounts belonging to the same individual within the firm. This “unique internal identifier” must remain permanent for the lifetime of all of the related accounts.

**B)** For an account belonging to multiple individuals (partnerships, joint accounts, investment clubs, registered entities other than corporations, etc.):

**1)** If one of the account owners holds an ownership interest of more than 50% in the account, then use the succession of identifiers found in A) above related to this account owner.

**2)** For all other circumstances, populate field with the account name (e.g. Mr. & Mrs. Smith, ABC Investment club etc.). Please note that the Account Owner ID field can accommodate up to 24

<sup>2</sup> For the purpose of this document, information is considered to be “unavailable” only if it cannot be created or obtained in any format, in any record available to the approved participant.

characters. Should the full account name exceed 24 characters, create an acronym from the entity's legal name. (Do not hesitate to contact the Division for guidance on this matter).

**C)** For an account belonging to a corporation that is 100% owned by an individual, see A above.

**D)** For all other corporate configurations the following is to be observed:

- 1)** If the corporation is more than 50% owned by an individual, use the succession of identifiers found in A) above related to this account owner;
- 2)** If the corporation is more than 50% owned by another corporation, use the following succession of steps to determine the account owner Id:
  - I)** The CICI/LEI<sup>3</sup> code belonging to the controlling corporation. The CICI code can be obtained or created by accessing the web portal at <https://www.ciciutility.org/> .
  - II)** The incorporation number of the controlling corporation
- 3)** For other cases, use the following succession of steps to determine the account owner Id:
  - I)** The CICI/LEI code belonging to the corporation in whose name the account is opened. The CICI code can be obtained or created by accessing the web portal at <https://www.ciciutility.org/> .
  - II)** The incorporation number of the corporation in whose name the account is opened.

If, and only if, the above identifiers are not available, approved participants will be allowed to use one of the following identifiers:

- 1)** Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm; or
- 2)** Account owner corporate legal name. Please note that the Account Owner ID field can accommodate up to 24 characters. If the full account owner corporate legal name exceeds 24 characters, create an acronym from the legal name. (Do not hesitate to contact the Division for guidance).

**E)** For any account not covered in sections A), B), C) or D)

- 1)** Registration number (e.g.: charitable organization);

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<sup>3</sup> See Appendix 1



- 2) Internal identifier used by the approved participant to link accounts belonging to the same beneficial account owner within the firm;
- 3) Account owner legal name. Please note that the Account Owner ID field can accommodate up to 24 characters. If the full account owner legal name exceeds 24 characters, create an acronym from the legal name. (Do not hesitate to contact the Division for guidance).

## **5 – OPEN POSITION REPORTING THRESHOLD**

### **5.1 – POSITIONS CALCULATION**

To determine if an account holds a number of open positions in derivative instruments listed on the Bourse that is equal to or greater than the prescribed reporting threshold, approved participants must take in consideration the **gross** open positions held in each class of derivative instrument by this account owner, not the net positions.

This means that if an account owner simultaneously holds long and short positions in a particular derivative instrument, these positions **must not** be netted together to determine if the reporting threshold has been reached or exceeded but must rather be added together.

In addition, for the purpose of such determination, all the expiries of a given derivative instrument must be combined. For options on futures contracts as well as other options, all options having a different strike price must also be combined. It is also important to mention that if an account simultaneously holds positions in futures contracts and positions in options on such futures contracts, all open positions in both types of derivative instruments must be combined.

If it appears, following such a determination, that the reporting threshold has been reached or exceeded, approved participants must then transmit to the Division, in the manner prescribed by the Division, the detail of all **gross** open positions, i.e. the information provided must allow the Division to know about all long and short open positions for each expiry and, in the case of options on futures contracts and other options, for each strike price.

**No netting of long (short) positions against short (long) positions must be made for the purposes of the report that must be transmitted to the Division.**

The following is an example of combined gross open positions that should be declared to the Division:

| <b>Account holder "A" positions</b> |             |              |
|-------------------------------------|-------------|--------------|
| <b>Instrument</b>                   | <b>Long</b> | <b>Short</b> |
| BAX Jun 10                          | 50 ctr.     |              |
| BAX Sep 10                          | 50 ctr.     | 100 ctr.     |
| OBX Jun 95,50 Put                   | 100 ctr.    |              |
| OBX Sep 95,25 Call                  |             | 100 ctr.     |

### **Total gross open positions for the BAX futures contract and the option on this future contract (OBX) for account holder "A": 400 contracts**

Since the total gross open position exceeds the reporting level for these derivative instruments (300 contracts), all long and short positions held by this account in this category of derivative instruments must be reported to the Division.

## **5.2 – POSITIONS CALCULATION – MULTIPLE ACCOUNTS**

If an account owner holds or controls more than one account as a beneficial owner, the determination of the reporting threshold must be made by taking in consideration all open positions held in all the accounts owned or controlled by this account owner. For example, if a client has a beneficial ownership interest exceeding 50% not only in an account opened under his own name but also in other accounts opened in the name of other physical or moral persons, the determination of whether or not the reporting threshold has been reached or exceeded must be made by taking in consideration all gross open positions held by all of the related accounts as a whole.

If it appears that on a combined basis the total number of gross positions held by all of the related accounts equals or is greater than the reporting threshold, all positions held by each of the related accounts must be reported and this regardless of the fact that one or many of them hold an open position that is lesser than the reporting threshold.

## **5.3 – APPROVED PARTICIPANTS ACCOUNTS (FIRM ACCOUNTS)**

Approved participants holding open positions for their own account in any derivative instrument listed on the Bourse must report these positions to the Division by applying the same principles as those explained above.

## 5.4 – REPORTING THRESHOLDS

As a reminder, here are the reporting thresholds for the futures contracts and options on futures contracts that are currently listed for trading on the Bourse.

| <b>FUTURES CONTRACTS AND OPTIONS ON FUTURES CONTRACTS</b>       | <b>REPORTING THRESHOLDS</b> |
|---|-----------------------------|
| BAX/OBX <sup>1</sup> - Three-month Canadian Bankers' Acceptance | 300 ctr.                    |
| LGB - Thirty-year Government of Canada Bonds                    | 250 ctr.                    |
| CGB/OGB <sup>1</sup> - Ten-year Government of Canada Bonds      | 250 ctr.                    |
| CGF – Five-year Government of Canada Bonds                      | 250 ctr.                    |
| CGZ - Two-year Government of Canada Bonds                       | 250 ctr.                    |
| SXF - S&P/TSX 60 Index  | 1,000 ctr.                  |
| SCF – S&P/TSX Composite Index (mini contract)                   | 1,000 ctr.                  |
| SXM - S&P/TSX 60 Mini Future Index                              | 1,000 ctr.                  |
| ONX – 30-Day Overnight Repo Rate                                | 300 ctr.                    |
| OIS – Overnight Index Swap Futures                              | 300 ctr.                    |
| SXA-SXB-SXH-SXY – S&P/TSX Capped Sectorial Indices              | 500 ctr.                    |

1. To determine if the reporting limit has been reached, positions in options on futures contracts must be aggregated with the underlying futures contract positions. For aggregation purposes, one option contract is equivalent to one futures contract.

| <b>STOCK, TRUST UNITS, EXCHANGE TRADED FUNDS, INDEX AND CURRENCY OPTIONS</b> | <b>REPORTING THRESHOLDS</b> |
|--|-----------------------------|
| Stock Options  | 250 ctr.                    |
| Trust Units Options  | 250 ctr.                    |
| Exchange Traded Funds Options  | 500 ctr.                    |
| Index Options (SXO)  | 15,000 ctr.                 |
| Currency Options   | 500 ctr.                    |

## 5.5 – POSITIONS BELOW THE REPORTING THRESHOLDS

The Division reminds approved participants that they should not submit positions reports, for options as well as for futures contracts and options on futures contracts, when positions held in all the accounts of a same owner are, for a specific derivative instrument, below the reporting thresholds set by the Bourse.

## 5.6 – ACCOUNT OWNER POSITIONS AGGREGATION

In order to determine if the reporting threshold is attained, approved participants must aggregate positions belonging to the same beneficial Account Owner as previously defined in sections 5.1 and 5.2 above.

The following guidelines are to be used when aggregating by beneficial Account Owner for LOPR:

**A)** Aggregate positions for all accounts in the name of an individual and for all registered or corporate entities owned exclusively by that single individual;

**B)** For accounts belonging to multiple individuals (partnerships, joint accounts, investment clubs, registered entities other than corporations, etc), aggregate positions to the account owner who holds an ownership interest of more than 50% in the account;

**C)** For accounts belonging to a corporation, other than 100% owned by one individual, or any other entity, aggregation of positions shall be done by beneficial ownership of the account.

In all cases, aggregation of positions shall be done by beneficial account owner as determined by the approved participant and/or its clients and/or its account owners directly. Accounts traded by registered persons pursuant to some discretionary trading authorization such as managed accounts and discretionary (carte blanche) accounts must not be aggregated except for those accounts that have a common beneficial owner.

Once it has been determined that the reporting threshold has been attained for a beneficial account owner after aggregating all positions held in his accounts, each of these accounts containing positions must be reported separately in LOPR.

Example: Same account owner (Mr. X) may have multiple accounts

RRSP: Long 50 CALL BB @ 50 JUN 11

TFSA: Long 200 PUT BB @ 52 SEP 11

Margin CDN: Long 50 CALL BB @ 60 JAN 12

Although the accounts taken individually do not meet the reporting threshold, once aggregated by account owner (Mr. X) the cumulative open position exceeds the reporting threshold (300 total open contracts on the same underlying). Therefore, each of the three accounts above must be reported and this in a separate manner.

## **6 – LOPR CONTACTS**

For support, questions and issues of a technical nature, approved participants are invited to contact the Bourse's Technical Help Desk: [samsupport@m-x.ca](mailto:samsupport@m-x.ca)

For questions and issues of a regulatory nature, approved participants must contact the Bourse's Regulatory Division: [LOPR@m-x.ca](mailto:LOPR@m-x.ca)

## **APPENDIX 1 – Legal Entity Identifier Project**

The Legal Entity Identifier (LEI) program is a global project, headed by the Financial Stability Board (FSB), designed to create and apply a single, universal standardized identifier to any organization or firm involved in a financial transaction. Such an identifier for each legal entity will allow regulators to conduct more accurate analysis of systemically important financial institutions and corporations and their transactions with all counterparties across markets, products and regions.

### **Interim identifier Launch**

The U.S. Commodity Futures Trading Commission (the CFTC) announced plans in early 2012 to designate a CFTC Interim Compliant Identifier utility (CICI) that would be able to issue identifiers to entities involved in derivatives trading and would ultimately fully comply with the global framework for a Legal Entity Identifier (LEI) as prescribed by the FSB and the G20.

Following a competitive proposal process, the CFTC released, on July 24, 2012, an Order designating The Depository Trust & Clearing Corporation (DTCC) and SWIFT as the providers of identifiers for swap data reporting purposes. The utility is designed to be fully compliant with the ISO 17442 LEI standard endorsed and recommended by the FSB. Although the first phase of the program targets OTC derivative instruments with a March 1, 2013 planned implementation date, it is the intent of the program sponsors and regulators to extend it as quickly as possible to exchange-traded instruments such as futures contracts and options.

### **CICI Utility Portal Launch**

As a result of this designation, DTCC and SWIFT announced, on August 21, 2012, that they had launched a Web portal at <http://www.ciciutility.org/> to begin assigning CICIs.

For more information, please see:

[http://www.dtcc.com/news/press/releases/2012/cftc\\_interim\\_compliant\\_identifier\\_utility.php](http://www.dtcc.com/news/press/releases/2012/cftc_interim_compliant_identifier_utility.php)  
[http://www.dtcc.com/downloads/news/CiCi\\_Report.pdf](http://www.dtcc.com/downloads/news/CiCi_Report.pdf)

At the moment, the portal already contains approximately 50,000 validated entity records that have been assigned CICIs that align with the ISO 17442 standard. It is also to be mentioned that the CICI portal allows entities to either self-register in the database or to be registered by a third-party (e.g.: a broker/dealer can register its clients). This registering facility has permitted to double the number of registered entities since the CICI website has been launched in August 2012 and it is expected that the number of registered entities will continue to grow rapidly in the coming months.

For more information regarding the creation and implementation of the Legal Entity Identifier (LEI) and CFTC Interim Compliant Identifiers (CICIs) programs please consult the following links:

<http://www.cftc.gov/PressRoom/PressReleases/pr6310-12>  
<http://www.dtcc.com/products/dataservices/lei.php>