CICIUtility.org – A Step by Step Guide

- Registrations – Primary and Assisted Party
- Certifications (Primary Party only)
- Challenges – Primary and Third Party
- Payment process guide (Payment Card & Wire transfer)

Service overview

<table>
<thead>
<tr>
<th>Service</th>
<th>Charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-Registration</td>
<td>$200</td>
</tr>
<tr>
<td>Assisted Registration</td>
<td>$200</td>
</tr>
<tr>
<td>Initial Certification of Third-party Registrations (prior to 16 Nov 2012)</td>
<td>$100</td>
</tr>
<tr>
<td>Annual Certification Maintenance</td>
<td>$100</td>
</tr>
<tr>
<td>Record Challenges</td>
<td>Free</td>
</tr>
</tbody>
</table>
Registration – A Step by Step Guide

• A CICI can be Registered by the Primary Party (PP) or an Assisting Party (AP)
• The registration process for Primary Party and Assisted Party is essentially the same
  • Both registration types will be deemed “Certified”
  • Exception: You may only add Ultimate Parent CICI’s during PP registration

○ Please ensure that the entity you’re registering does not already exist in the database. Any new CICI registered where one already exists will be marked as DUPLICATE and will not be valid for trading & reporting. We are unable to offer refunds for Duplicate registrations.
Create new account

- Select ‘Create New Account’
Create new account

- Complete form
- Agree to T&C before submitting
- You will receive an email from no-reply@ciciutility.org to verify your email address
- Check spam and junk mail if you don’t receive verification email
Duplicate search

- Log into account
- Use the search function to ensure the entity does not already exist in the Portal
  - If a CICI exists for your entity in the database, it **must be used**, and Certified if required
  - If an address used against your entity name looks unfamiliar, please don’t assume it’s a different entity, it may instead be the registered address of the entity (which could be care of an agent of service). Please contact customerservice@ciciutility.org to discuss any existing entities in the database if required
Register an entity

• Select ‘Register an Entity’, and then:
  o Select ‘Primary Party Registration’ if you are a current employee or you are authorized by your firm to register for a CICI
  o Select ‘Assisted Party Registration’ if you are not associated with the entity being assigned a CICI
Register an entity

- Complete form
- A CICI must be submitted with the address of incorporation (registered address) not principal office
- Agree to T&C before submitting
- Select ‘Save and Check for Duplicates’
- If you wish to add Ultimate Parent CICI, you can add this before proceeding:
  - Select ‘Add Ultimate Parent’ to add UP CICI (refer to “Adding Ultimate Parent CICI section for further details)
Potential duplicates found

- You will be presented with a list of possible duplicates. Please review carefully.
- Select ‘View Details’ or ‘Compare Records’
- You **must stop registration if a CICI already exists** for your entity.
  - Proceeding with registration will create a Duplicate CICI, which will be unusable.
Potential duplicates – “View Details”

- You will be presented with the details of the “potential” duplicate CICI
Potential duplicates – “Compare Records”

- The top section are details of the “potential duplicate”
- The bottom section are details of the entity being registered
- If record is a duplicate, select ‘The two records displayed are duplicates’
- Selecting ‘Return to registration form’ will take you back to the registration form
- Once back to the form, again, select ‘Save and Check for Duplicates’
Review Record

• You will again be presented with the details of the “potential” duplicate CICI

• Having previously established if the record is a duplicate or not; scroll to bottom of the page and select ‘Add to Pending Actions’
Pending Actions

• Your Registration is now in your Pending Actions basket (top right hand corner)
• You may continue registering or Certifying more entities, or select ‘Proceed to Checkout’ if all actions are complete
• You may then process payment. Please go to payment processing section if required
Registration - Resultant Outcome

- Once payment is complete, your CICI will be generated and your Registration will be sent to the Validation Team for checks against publically available, corroborative sources
  - If paying by wire: Please allow at least 5 days after a wire payment is made for it to be recognised and completed. **CICI code will not be generated** until payment is recognized.

- Once this process is complete, the “Record State” will update to reflect the findings by the Validation Team
  - Typically the turnaround is 72-96hrs

- The CICI is assigned and added to the CICI database, the CICI is now useable

- Two emails sent: A receipt of payment and CICIs assigned due to registration
Certification – A Step by Step Guide

• A Primary Party must Certify a record that was previously registered by a Third Party prior to Nov 16\textsuperscript{th}, 2012
  ○ All CICIs in the database seeded by the DTCC and SWIFT can be Certified, for example. These are currently in the database as NOT\_CERTIFIED
  ○ Cost: $100 USD

• Certified records must be re-certified after 12 months
  ○ Cost: $100 USD

• CFTC guidance regarding Certification can be found here
Certification

Select ‘Certify & Challenge’

CFTC Interim Compliant Identifier Utility

The CFTC Interim Compliant Identifier (CICI) Utility supports the CFTC’s named identifier, the CFTC Interim Compliant Identifier. The CFTC’s final swap data and recordkeeping rule, known as Part 45, requires swap counterparties to be identified by a CFTC Interim Compliant Identifier. This Utility has been designated by the CFTC as the provider of those identifiers. The CFTC Interim Compliant Identifier Utility has been built with the capabilities necessary to support a global CICI solution and is prepared to issue identifiers for other regulators as rulemaking is finalized. The Utility issues identifiers conforming to the recently finalized ISO 17442 Standard.

The CFTC Interim Compliant Identifier Utility offers access to the following functions:

- If you are interested in reviewing existing registered records, you can search the database by selecting Search. Customizable filtering criteria can be applied to make your search results more relevant to your interests.

- If you are looking to register an entity that you are affiliated with, you can do so by selecting Register. Your self-registered entity will be visible on the CFTC Interim Compliant Identifier Utility database immediately after registration is completed.

- If you are a financial institution interested in registering your client or another party, you can do so by selecting Register. Your third-party registered entity will be visible on the CFTC Interim Compliant Identifier Utility database immediately after registration is completed.

- If your firm has already been registered by a third party and you would like to certify your record, you can do so by selecting Certify and Challenge.

- If you believe that an existing registered record contains inaccurate information, we would like to hear from you. You can challenge the record by supplying updated information after selecting Certify and Challenge.
Search for an entity

- Enter your legal entity name
- Add filters if required

Search for an Entity to Certify or Challenge

To certify or challenge an existing record, locate the record you are interested in by using the search form below. View the entity details of a record and click on the Certify or Challenge this Entity Record link to continue certifying or challenging that record.

You may add filters to enhance the accuracy of your search results. Special characters may also be used in your query. Please see the FAQ for more information on using special characters.

Search Query

[Search]
Search for an entity

- Find your entity in the list of results
- Select ‘View Details’
Entity Details

- Select ‘Certify or Challenge this Entity Record’
Select an option

- Select ‘Certify this Entity Record’
Edit fields as required

- All fields are editable, if your entity has changed any of its details. You may add ultimate parent(s) at this stage also.
- Select ‘Certify’ when complete
Edit fields as required

• Please note, you **must not change the legal name assigned to a CICI to that of another distinct legal entity** during a Certification

• CICIs are assigned to a distinct legal entity which cannot change due to persistence rules in place (17 CFR 45.6(b)(6))

• Should you require a CICI for a legal entity not currently in the database, please use the Register an Entity function

• Please note we may not be able to offer refunds in the instances where a Certification has failed due to this

• Please contact customerservice@ciciutility.org if you are at all unsure about proceeding with a Certification due to Persistence rules, further guidance can be provided
Potential duplicates found

- You will be presented with a list of possible duplicates
- Compare details if you believe your entity may be a duplicate
Potential duplicates found

- If no duplicates found, scroll down to the bottom of the page
- Select ‘Add to Pending Actions’
Pending Actions

- Your Certification is now in your Pending Actions basket
- You may continue registering or Certifying more entities, or select Proceed to Checkout if all actions are complete
- See [payment processing section](#) for next steps
Certification - Resultant Outcome

- Once payment is complete, your Certification will be sent to the Validation Team for checks against publically available, corroborative sources.
- Any requested changes will not be live on the Portal until the Validation team have completed its checks.
- Once this process is complete, the Certification State will be changed to CERTIFIED.
  - Typically the turnaround is 72 - 96hrs
Challenges – A Step by Step Guide

• Primary Parties and Third Parties may advise us of corrections and updates to reference data held for all CICIs in the database
  o Cost: Free
Challenges

- Select ‘Certify & Challenge’

CFTC Interim Compliant Identifier Utility

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Search for an entity

- Enter your legal entity name
- Add filters if required
Search for an entity

- Find your entity in the list of results
- Select ‘View Details’
Entity Details

- Select ‘Certify or Challenge this Entity Record’
Select an option

- Select ‘Challenge This Entity Record’. Primary parties use top option, Third parties use bottom option.
Edit fields as required

• All fields are editable. Please change all fields that require corrections and updates

• A Primary Party may add ultimate parent(s) at this stage also.
Edit fields as required

- You may challenge a CICI record to indicate it is a duplicate of another CICI
  - Tick ‘This entity record is a duplicate of another entity record’
  - Select ‘Select Duplicate CICI Record’
  - Search for the correct CICI record, and select ‘Add Duplicate’
Edit fields as required

- One finished, please complete the captcha, and select ‘Challenge’
Resultant Outcome

• Once complete, your Challenge will be sent to the Validation team for checks against publically available, corroborative sources
• Any requested changes will not be live on the Portal until the Validation Team have completed its checks
• An email will be sent to the account used to challenge the record once the Validation Team has completed its process. This typically takes 72-96 hours.
• Two possible outcomes:
  o **Challenge accepted** – The changes supplied by the challenger have been confirmed via publically available, corroborative sources. Requested changes to the data have been accepted, and the CICI Utility Portal updated.
  o **Challenge not accepted** – The changes supplied by the challenger were not able to be corroborated via publically available sources. The requested changes will not be added to the portal.
Processing Payment – A Step by Step Guide

- Registrations and Certifications require payment
- All requested actions will show in your pending actions queue
- Select ‘Proceed to Checkout’ to commence payment

```
<table>
<thead>
<tr>
<th>Item Type</th>
<th>Legal Name</th>
<th>Country</th>
<th>Date Added to Pending Actions</th>
<th>Item Expiration Date</th>
<th>Price</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assisted Registration</td>
<td>Example Record</td>
<td>UNITED KINGDOM</td>
<td>Wed, Apr 03, 2013</td>
<td>Wed, Apr 10, 2013</td>
<td>200.00 USD</td>
<td></td>
</tr>
</tbody>
</table>
```

Proceed to Checkout  Return to Search
Billing Information

- Please fill in Billing details. These should match what is held by your payment account. Then select payment option:
  - Click here for Credit/Debit card payment guide
  - Click here for Wire transfer payment guide

  - **NOTE:** Wire transfers do not result in an immediate assignment of a CICI code. Codes are assigned once payment clears, which may take at least 5 days.
Wire Payment

• Please read the Payment Details section **very carefully**.
  
  o Important details regarding how to submit wire payment can be found in this section, as well as relevant payment instructions. A printer friendly PDF copy can be found at this link

• Once ready, click Terms and Conditions Box, enter Captcha, and select ‘Hold Order and Pay via Wire’

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**Order Submission Confirmation**

Please review the information below prior to order confirmation. By selecting “Hold Order and Pay via Wire”, you agree to the Website Terms and Conditions of Use and you consent to paying the amount billed below after you have been sent an invoice. Please note that Certification requests must undergo review by the Validation Team before the Certification status field is updated.

**Payment Details**

- Important Notice
- Payment Instructions
- Payment Timeliness Requirements

**Billing Information**

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Company Name</td>
<td>CICI Utility</td>
</tr>
<tr>
<td>First &amp; Last Name</td>
<td>First Name Last Name</td>
</tr>
<tr>
<td>Address Line 1</td>
<td>Address One</td>
</tr>
<tr>
<td>Address Line 2</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td>UNITED KINGDOM</td>
</tr>
<tr>
<td>State/Province</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td>City</td>
</tr>
<tr>
<td>Post Code</td>
<td></td>
</tr>
<tr>
<td>VAT Number</td>
<td>123456789</td>
</tr>
</tbody>
</table>

**Total**

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subtotal</td>
<td>200.00</td>
</tr>
<tr>
<td>VAT</td>
<td>0.00</td>
</tr>
<tr>
<td>Total</td>
<td>200.00</td>
</tr>
</tbody>
</table>

*By selecting this box, you agree to our Website Terms and Conditions of Use.*
Wire Payment

• You will be presented with your order number, which you **must** include in the memo field of your wire payment
• Payment Details as seen on p39 can also be found under the Payment section of the FAQs. A printer friendly copy can be found [at this link](#)
• You may now transfer the required payment using the order code and provided instructions
Wire Payment

- Your ‘Pending Actions’ page will show all pending orders made via wire transfer for which payment has not yet been received.
- It provides the order code to be used during payment (if not yet made), and the link will take you to the order details (as seen on page 38).

**Orders Pending Payment**

- The items listed below are awaiting payment before they can be processed. Wire amounts must be received for the total amount on a per-order basis. Please allow five business days after a wire is sent for processing to occur. You will receive an email that includes your invoice once processing has been initiated.

<table>
<thead>
<tr>
<th>Order Code</th>
<th>Order Total</th>
<th>Order Submission Date</th>
<th>Order Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>06-313064983656603072</td>
<td>200.00 USD</td>
<td>Wed, Apr 03, 2013</td>
<td>Sun, Jun 02, 2013</td>
</tr>
</tbody>
</table>
Wire Payment - Outcome

- **Bank information for wire payments** - Please follow instructions very carefully
- Once the transfer is made, please allow at least 5 days for the payment to be recognized
- If making a wire payment for a new Registration, please be aware that **your CICI code won’t be assigned until payment is recognised**.
- Once payment is recognised, your request will be sent to our Validation team to review the submitted data
- Please allow 72-96 hours for all the Validation team to complete its checks
- If you experience any issues with payment, please contact us at customerservice@ciciutility.org

- Return to Registration Section
- Return to Certification Section
Credit/Debit card Payment

- Enter credit card details, and select ‘Complete’
- Do not refresh page or press back button whilst payment is processing

- If payment hangs, contact CustomerService@ciciutility.org
Order Complete

- Transaction is complete
- Select ‘Print Invoice’
Credit/Debit card Payment

• Once complete, you will receive an invoice on screen, as well as an email confirmation.
• Your Registration or Certification will be sent to the Validation team to check the supplied reference data against publically available, corroborative sources
• Please allow 72-96 hours for all the Validation team to complete its checks
• If you experience any issues with payment, please contact us at customerservice@ciciutility.org

➤ Return to Registration Section
➤ Return to Certification Section
Ultimate Parent CICI

- Although not mandatory at this stage, it is desirable to add Ultimate Parent(s) CICI’s to subsidiary entities.
- It is recommended that if an Ultimate Parent(s) is not already registered on the Portal, this should be done before registering subsidiary entities. We suggest this as:
  - Ultimate Parent CICI’s can be added when registering, certifying, or challenging as the Primary Party.
- When the Ultimate Parent(s) has been registered, the UP CICI is immediately useable, it can then be added when registering or certifying subsidiary entities.
Adding Ultimate Parent CICI

- Select ‘Add Ultimate Parent CICI’ to add parent
- You will then be directed back to the registration form
Result of adding Ultimate Parent CICI

- You should now see the parent name in the ‘Ultimate Parent(s)’ box

- Back to Registering an entity
- Back to Certifying an entity