KOR

Dispute Policy | Version 1.2

Policy

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1.0 Overview

Reference applicable KOR Rule: "Dispute Resolution" as referenced below.

2.0 Dispute Resolution

KOR has established procedures and provides facilities for effectively resolving disputes over the accuracy of the TR^1 Data and positions that are recorded in the Trade Repository.

When the Reporting Counterparty^2 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).

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

Reporting Counterparty^2: Includes Reporting Side for SEC reporting.

3.0 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.
MAS		procedures and tools available to the trade repository for resolving disputes over the accuracy of the user information and transaction information recorded by the trade repository;