

TSWG Q&A - 10/10/19

1. When is an MEOJ required?
2. How should Industry Members report negotiated trades not executed through an IDQS to CAT?
3. Can an order be received or originated for a fractional quantity, but routed as a whole quantity? Can an order be received or originated for a whole quantity but routed as a fractional quantity?
4. In what instances should my firm populate the *accountHolderType* value of "F"? If the beneficial owner is an individual, should my firm still populate an *accountHolderType* value of "F"?
5. What feedback files should firms expect in April 2020?
6. What time will the daily EOD Options Symbol List be provided?
7. Will the Symbol Master Lists be published on weekends or holidays?
8. What *deptType* value should my firm populate if the department serves more than one function as outlined in the Data Dictionary?
9. What is the threshold for out of sequence events?
10. What functionality will be available on the CAT Reporter Portal for Testing?
11. Will FINRA CAT provide a list of expected CAT Reporters?