

# CAT Alert 2019-03

## May 13, 2019

### CAT Industry Member Reporting Scenarios Version 2.0

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#### Summary

On May 10, 2019 the Participants of the CAT NMS, LLC and FINRA CAT LLC published the Version 2.0 of the *CAT Reporting Industry Member Reporting Scenarios* document. This version incorporates industry feedback received since the publication Version 1.1 on March 29, 2019.

#### High Level Summary of Changes

A clean version and a red-lined version of changes incorporated since the March 29, 2019 version have been published along with a change log to reflect all changes made, including those listed below:

- ▶ Made conforming changes with v2.0 of the *CAT Reporting Technical Specifications for Industry Members*
- ▶ Reorganized the existing scenarios within the document and created new sections for:
  - Representative Order Scenarios
  - Internal Route Scenarios
  - Electronic Duplicate Scenarios
  - Child Order Scenarios
  - Clearing Firm Scenarios
  - Option Internal Route and Child Order Scenarios
  - Complex Option Order Scenarios
- ▶ Updated/Corrected JSON and CSV examples.
- ▶ Corrected additional minor errors within the document

- ▶ Removed Scenario 3.2.1 (an options representative order scenario)
- ▶ Updated/Added ATS Cross scenarios to reflect requirements for one to many and many to many crosses using an MEOTS event
- ▶ Added Agency Order Handling scenarios:
  - Customer Order Facilitated via a Firm Agency Account Where a Route can be Directly Associated with the Customer Order
  - Fill of a Single Customer Order with Multiple Executions Print for Print
- ▶ Updated Customer Order and Modification scenario to reflect multiple modifications

## CAT Reporting Technical Specifications for Industry Members

On May 10, 2019, the Participants and FINRA CAT, LLC also published clean and red-lined copies of Version 2.1 of the *CAT Reporting Technical Specifications for Industry Members*. This version of the document was published to correct and clarify items in Version 2.0 of the document published on April 29, 2019.