CAT Alert 2019-03
May 13, 2019

CAT Industry Member Reporting Scenarios Version 2.0

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.