Industry Test Release Status

February 18, 2020

Agenda

- Industry Test Release Update
- General Announcements & Reminders
- Upcoming Key Dates
- Q&A
- Industry Member Release 1.3 Demo
- Q&A

Industry Test Release Update

Industry Member 2a/2b – Release 1 (File & Data Integrity) Release Rollout

Live in Industry Test

11/18/2019
Industry Test Release 1.1

- CAT Reporter Portal: ATS Order Types
- CAT Reporter Portal: CAT Reporting Relationships
- Multi-Factor Authentication Enabled
- Publication of IMID & Conflict List to catnmsplan.com
- Publication of Issue/Option Symbol Reference Lists to catnmsplan.com

12/16/2019
Industry Test Release 1.2

- Industry Test Open for Machine-to-Machine File & Data Integrity Validations & Feedback
- CAT Reporter Portal: Basic File Statistics
- CAT Reporter Portal: Manual File Upload

2/24/2020
Industry Test Release 1.3

- CAT Reporter Portal: File Submission feedback
- CAT Reporter Portal: Reporting Statistics (i.e. number of records received, accepted, rejected and feedback summaries)
- CAT Reporter Portal: Error Rates
- CAT Reporter Portal: Direct data entry & corrections
- CAT Reporter Portal: Bulk Repair of applicable Syntax/Semantic Errors

03/23/2020
Industry Test Release 1.4

- Announcements
- System Status

4/20/2020 – 2a Go-Live
5/18/2020 – 2b Go-Live

- 2a Go-Live – Industry Member 2a Reporting Required on April 20
- 2b Go-Live – Industry Member 2b Reporting Required on May 18

4

Industry Test Status – As of February 14, 2020 Statistics

Item	Statistic – Last Week	Statistic – This Week	Increase/Decrease
Number of Firms operating under CAT Reporter Agreements	1035	1093	Increased by 58
Number of Reporting Relationships Entered	1,089 relationships from 635 firms	1,182 relationships from 695 firms	Increased by 93 across 60 firms
Number of ATS Order Types Entered	557 order types from 19 ATS firms	557 order types from 19 ATS firms	No change
Number of Total Submitters	101	108	Increased by 7
Number of IMIDs	410 from 291 firms	480 from 338 firms	Increased by 70 across 47 firms
Number of Files Received	249,601 • Reporter Portal: 11,409 • Private Line: 238,192	290,477 • Reporter Portal: 12,330 • Private Line: 278,147	Increased by 40,876 • Reporter Portal: 921 • Private Line: 39,955
Number of Files Rejected	85,873	86,259	Increased by 386
File Reject Rate	34.35%	29.70%	Decreased by 4.65%
Number of Records Processed in Ingestion Phase (Record level validations)	9,905,322,389	12,337,592,613	Increased by 2,432,270,224
Number of Processed Records Rejected	1,250,147,603	1,293,486,119	Increased by 43,338,516
Current Reject Rate Overall of Processed Data	12.62%	10.48%	Decreased by 2.14%

Industry Test Status – February 11– February 14, 2020 Statistics

CAT Processing Date	# Total Submitters	# of IMIDs	# of Files Received	# of Files Rejected	File Reject Rate	# of Validated Records	# of Validated Records Rejected	Validated Records Reject Rate
2/11/2020	41	214	15,012	123	0.82%	971,863,594	34,044,835	3.50%
2/12/2020	45	248	6,395	73	1.14%	388,258,680	3,115,435	0.80%
2/13/2020	44	214	10,642	54	0.51%	782,350,136	3,264,913	0.42%
2/14/2020	48	266	8,462	136	1.61%	289,797,814	2,913,333	1.01%

Known FINRA CAT Issues – Open

#	Status	Error Code	Summary	Resolution	Workaround	Targeted Release Date	Area
1	Open	Multiple	FINRA CAT is accepting the following scenario instead of rejecting – Future dates in some fields.	Under Review	None	To Be Scheduled	Validations
2	Open	2133	For Name/Value Pair Data type fields, providing a value that is not in allowable values list returns error code 2133 (Additional Field) instead of error code 2101 (Missing or Invalid timeInForce).	Under Review	None	To Be Scheduled	Validations
3	Open	N/A	Metadata File Rejection count does not correctly count all metadata rejection scenarios.	Code Release	None	2/24/2020	Statistics
4	Open	2098	Equity symbols expiration/addition intra day – Rejecting as symbol not effective.	Code Release	None	2/24/2020	Validations
5	Open	2036	handlingInstructions value of 'RAR' (optional 2a) rejecting as invalid.	Code Release	None	2/24/2020	Validations
6	Open	2122	Incorrect error code is generated when an array field (eg: clientDetails) is provided as a Name/Value pair.	Under Review	None	To Be Scheduled	Validations
7	Open	2142	Space in multi-dimensional array field not treated as blank. For E.g space in aggregatedOrders when representativeInd is populated as 'YF', 'YE' or 'N' – Rejecting as Invalid aggregatedOrders (Error Code 2142).	Code Release	None	To be Scheduled	Validations
8	Open	2043	*manualOrderID* (optional for 2a) blank – Rejecting as Invalid *manualOrderID* when *electronicDupFlag* is populated as true.	Code Release	None	2/24/2020	Validations
9	Open	2153	Isolated instances of data file not readable error for well-formed JSON data files.	Under Review	None	To Be Scheduled	Validations
10	Open	2048	For ATS firms, <BLANK> *nbboTimestamp* if *nbboSource* is NA rejecting as invalid.	Code Release	None	To Be Scheduled	Validations
11	Open	1116	Isolated issue where exceeding length in file version field in metadata file – Not generating integrity failed feedback	Under Review	None	To Be Scheduled	Validations

*** Known Issues List is published on www.catnmsplan.com under "Technical Specifications" ***

Known FINRA CAT Issues – Recently Closed

#	Status	Error Code	Summary	Resolution	Workaround	Release Date	Area
1	Closed	2099	Reference Data timing issue with equity symbols that became effective on the day of event submission.	Code Release	None	1/9/2020	Validations
2	Closed	2008	ATS Order Types created via the Reporter Portal are being capitalized. This will result in invalid ATS Order Type rejections as validations are case sensitive.	Code Release	None	1/12/2020	Validations
3	Closed	N/A	Intermittently missing a few feedback files.	Code Release	None	2/5/2020	Validations
4	Closed	N/A	FINRA CAT Network Team is assisting some firms with additional details related to their use of IP proxy based access. FINRA CAT is updating the Connectivity Supplement with additional firewall and URL information in support of Industry member's use of IP Proxy based access. These details are also provided in the Appendix of the 12/17 Industry Release Checkpoint Presentation.	Documentation Update	N/A	N/A	Network

FINRA CAT Observations

➢ Timestamps submitted in Coordinated Universal Time (UTC) must not be adjusted for Eastern Time. Timestamps submitted in STRING format must be in Eastern Time. The IM Technical Specifications will be clarified.

➢ Reporter Portal default perspective is Reporter. User needs to select the Submitter perspective to view all feedback files.

➢ routedOrderID field is defined as Text (64) and must NOT include delimiters such as comma, pipe, double quote, @.

➢ File Number in submissions file is just for uniqueness. File Number does not need not be in sequence of file submissions.

FINRA CAT Observations

File Submission – FINRA CAT Recommended Practice

➢ File Submissions should be one file per IMID within specified file maximums:
- CAT Reporter Portal: 1GB uncompressed/100,000 records
- Machine-to-Machine: 100GB uncompressed

➢ Benefit to Submitters:
- Fewer files for submitter to manage
- Expedited feedback response

Note: SFTP (Machine to Machine) is **not** limited by 1GB/100,000 record limits on the Reporter Portal. Files may be up to **100GB** uncompressed which can contain significantly more than 100,000 records. As stated above, feedback times will be faster with fewer files.

General Announcements & Reminders

Onboarding – Certification of Production Readiness Testing

Self Reporters	CAT Reporting Agents	Industry Members using a CAT Reporting Agent
• **Step 1:** Successfully connect to SFTP and/or login to the CAT Reporter Portal Test Environment	• **Step 1:** Successfully connect to SFTP and/or login to the CAT Reporter Portal Test Environment	• **Step 1:** Firm and CRA successfully connect to SFTP and/or login to the CAT Reporter Portal Test Environment
• **Step 2:** Successfully submit at least one data file and one metadata file to the Test Environment for each of its CAT Reporter IMIDs without error	• **Step 2:** Verify the CAT Reporting Agent Relationship in the Test Environment to ensure the CRA can transmit the data to CAT successfully	• **Step 2:** CAT Reporter defines one or more CAT Reporting Agent Relationships in the Test Environment
• **Step 3:** Successfully submit a single day of production data to the Test Environment with an error rate of less than 10% (must include all IMIDs with reportable activity on the chosen day)	• **Step 3:** Successfully submit at least one data file and one metadata file to the Test Environment for each CAT Reporter IMID for which it plans to report without error	• **Step 3:** Record the CAT Processing Date(s) on which each CRA has successfully submitted a single day of production to the Test Environment on the Industry Member's behalf. NOTE: Each CAT Reporting Agent reporting on behalf of the CAT Reporter must complete a production readiness test but do not have to do so on the same production day. The combined total error rate must be less than 10%
• **Step 4:** Record the CAT Processing Date on which the single day of production data was submitted to the Test Environment	• **Step 4:** Successfully submit a single day of production data to the Test Environment with an error rate of less than 10% (must include all IMIDs with reportable activity on the chosen day)	
	• **Step 5:** Record the CAT Processing Date on which the single day of production data was submitted to the Test Environment	

Onboarding –
Certification of Production Readiness Testing

➤ Once CAT Reporters have completed **all** onboarding steps, including the successful completion of the Production Readiness Testing, each IM and CRA must contact the FINRA CAT Helpdesk (888-696-3348 or help@finracat.com).

➤ The FINRA CAT Helpdesk will require the Processing Date(s) on which the testing occurred.

➤ Upon verification of the Production Readiness Testing and all other Onboarding Steps by FINRA CAT, CAT Reporters will be granted access to the CAT Production Environment, and a notification confirming access will be sent.

FINRA CAT Onboarding Guide is posted at https://catnmsplan.com/registration/

Upcoming Key Dates

Upcoming Key Dates for Release 2a/2b

Topic	Event	Date
Industry Call: Industry Testing Checkpoint	Weekly Industry Testing Checkpoint Calls – Every Tuesday at 4:15 pm (ET)	January 7 – March 20, 2020
Industry Webinar and Demo	Regularly Scheduled Weekly Industry Testing Checkpoint Call and CAT Reporter Portal Industry Webinar and Demo of Industry Test Release 1.3 functionality	February 18, 2020
Industry Test Release 1.3	Industry Test Release of: - CAT Reporter Portal Error Correction and Feedback	February 24, 2020
Industry Webinar and Demo	Industry Test Release 1.3 Go-Live Checkpoint and CAT Reporter Portal Demo of: - Submission, Error Correction & Feedback	February 25, 2020
Industry Test Release 1.4	Industry Test Release of: - CAT Reporter Portal Announcements & System Status	March 23, 2020
Industry Call: Industry Testing Checkpoint	Daily Industry Testing Checkpoint Calls at 4:15 pm (ET)	March 23, 2020 – April 3, 2020

The timeline of Phase 2a/2b Release 1 (File Validation & Data Integrity) can be found at https://catnmsplan.com/timelines/phase-2a-2b-release.html

Upcoming Key Dates for Release 2a/2b

Topic	Event	Date
Industry Test Certification	Industry Members and CAT Reporting Agents must complete production readiness testing for 2a reporting	April 6, 2020
Industry Call: Industry Testing Checkpoint	Weekly Industry Testing Checkpoint Calls - Every Tuesday at 4:15 pm (ET)	April 6, 2020 – May 1, 2020
Production Readiness	Production Environment Opens for Production Readiness	April 13, 2020
Production Go-Live	Production Go-Live for Equities 2a file submission and data integrity validations	April 20, 2020
Industry Call: Production Release Checkpoint	Industry Call - Status of 2a Go-Live	April 21, 2020
Industry Test Certification	Industry Members and CAT Reporting Agents must complete production readiness testing for 2b reporting	May 4, 2020
Industry Call: Industry Testing Checkpoint	Daily Industry Testing Checkpoint Calls at 4:15 pm (ET)	May 4, 2020 – May 15, 2020
Production Go-Live	Production Go-Live for Options 2b file submission and data integrity validations	May 18, 2020
Industry Call: Production Release Checkpoint	Industry Call - Status of 2b Go-Live	May 19, 2020
Industry Webinar and Demo	Industry Webinar and Demo of Compliance Report Card	June 2, 2020
Production Go-Live	Release of Industry Member Compliance Report Card for Equities ONLY	June 19, 2020
Production Go-Live	Release of Industry Member Compliance Report Card including Equities and Options	July 20, 2020

How to Ask a Question during Today's Call

- **For participants using computer audio:**
  - Click the "Participants" button at the bottom of the app window, then the "Raise Hand" button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.

- **For participants using phone audio:**
  - Enter *9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.

Industry Member Release 1.3 (February 24, 2020)

Key Features

- File Submissions feedback
- Comprehensive Statistics (i.e. number of records received, accepted, rejected and feedback summaries)
  - Aggregations by Trade Date and Process Date
  - Perspective and distinction for Submitter and CAT Reporter
  - Summaries by Equities and Options
  - Error Rates adjusted for corrections
- Create CAT Events
- View Errors (Summary and Detail)
- Correct Errors including Group Repair

Ongoing Enhancements

➢ Continuous enhancements to improve user experience across all screens

➢ Increasing volume limits for Group Repairs

➢ Enabling export functionality on additional screens

➢ Additional validations for Create Events and Error Corrections

➢ Addition of user preferences and ability to carry key fields on secondary events

Demo Use Case #1 – View Feedback

- Perspective of a user that has submitted data on behalf of his firm and on behalf of another firm that has authorized the user to submit data
- User now logging in to review feedback and statistics on Reporting Feedback
  - Aggregations by Trade Date and Process Date
  - Perspective and distinction for Submitter and CAT Reporter
  - Summaries by Equities and Options
  - Error Rates adjusted for corrections

Perspective | Reporter ▾

(99999999)
Namrata Sharma (portaltest99999999) 👤

Reporting Feedback

| Reporting Summary | Event Type Counts | File Status |

◉ Processing Date   ◯ Trade Date   Product Type   IMID

| 2/14/2020 📅 | ALL ▾ | ALL ▾ | **APPLY** | RESET |

⬇ Export

Adjusted Error Rate   **62.9310%**

File Submissions
Show Details

	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metadata Files Received	Metadata Files Rejected	Invalid Files
	16	8	8	0	8	0	0

Event Submissions
Hide Details

	Processed	Accepted	Accepted Warnings	Accepted Late	Accepted Corrections	Rejected	Repairable Rejections	Repaired	Initial Error Rate	Adjusted Error Rate
	116	25	0	4	14	91	91	22	81.8966%	62.9310%

IMID	Submitter Id	Processed	Accepted	Accepted Warnings	Accepted Late	Accepted Corrections	Rejected	Repairable Rejections	Repaired	Initial Error Rate	Adjusted Error Rate
CAT12	99999999	1	1	0	1	1	0	0	0	100.0000%	100.0000%
ZZZT1	99999999	115	24	0	3	13	91	91	22	81.7391%	62.6087%

Reporting Feedback

Error Corrections

Report to CAT

Reporting Relationships

ATS Order Types

CAT Reporter Portal

11:23 AM EST
02/19/2020

THIS IS A QAINT ENVIRONMENT
(not intended for production use)

Perspective   Reporter

(99999999)
Namrata Sharma (portaltest99999999)

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types

Reporting Feedback

Reporting Summary	**Event Type Counts**	File Status

◉ Processing Date   ○ Trade Date   Product Type   IMID

| 2/14/2020 📅 | ALL ▾ | ALL ▾ | **APPLY** | **RESET** |

⬇ Export

Event Submission By Type			Processed	Processed COR	Processed RPR	Processed DEL	Accepted	Accepted Late	Rejected
			116	2	10	2	25	4	91
IMID	Submitter ID	Event Type							
CAT12	99999999		1	0	1	0	1	1	0
ZZZT1	**99999999**		**115**	**2**	**9**	**2**	**24**	**3**	**91**
		MENO	34	2	5	0	9	2	25
		MEOA	4	0	0	0	0	0	4
		MEOC	2	0	0	0	0	0	2
		MEOM	4	0	2	0	2	0	2
		MEOR	37	0	2	0	4	1	33
		MOCO	3	0	0	0	1	0	2
		MOCOC	2	0	0	0	1	0	1
		MOCOM	3	0	0	0	1	0	2
		MOFA	4	0	0	0	0	0	4

* N/A indicates Event Type value was either not required (for DEL action) or invalid

CAT Reporter Portal

11:24 AM EST
02/19/2020

THIS IS A QAINT ENVIRONMENT
(not intended for production use)

Perspective | Reporter ▼

(99999999)
Namrata Sharma (portaltest99999999) 👤

Reporting Feedback

Reporting Summary	Event Type Counts	**File Status**

Processing Date

2/14/2020 📅

IMID

ALL ▼

APPLY   **RESET**

⬇ Export

Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	Paired Metadata Filename	Upload Timestamp	Upload Method
99999999	ZZZT1	portaltest99999…	99999999_ZZZT1_20200216_catweb_Order…	99999999_ZZZT1_20200216_catweb_Order…	02/16/2020 09:38:48	WEB
99999999	ZZZT1	portaltest99999…	99999999_ZZZT1_20200216_catweb_Order…		02/16/2020 09:38:48	WEB
99999999	ZZZT1	portaltest99999…	99999999_ZZZT1_20200214_Options_Order…	99999999_ZZZT1_20200214_Options_Order…	02/14/2020 20:33:50	WEB
99999999	ZZZT1	portaltest99999…	99999999_ZZZT1_20200214_Options_Order…		02/14/2020 20:33:50	WEB
99999999	ZZZT1	catdcftp99999999	99999999_ZZZT1_20200214_NS34SFTP_Or…		02/14/2020 19:50:31	SFTP
99999999	ZZZT1	catdcftp99999999	99999999_ZZZT1_20200214_NS34SFTP_Or…	99999999_ZZZT1_20200214_NS34SFTP_Or…	02/14/2020 19:50:04	SFTP
99999999	ZZZT1	portaltest99999…	99999999_ZZZT1_20200214_NS39Late_Ord…	99999999_ZZZT1_20200214_NS39Late_Ord…	02/14/2020 19:30:16	WEB

Demo Use Case #2 – Submission of CAT Events

➢ User submitting online via data entry
- Creating a CAT Event
- Verifying Pending Submission
- Final Submission

Perspective | Reporter ▼

(99999999)
Namrata Sharma (portaltest99999999) 👤

Reporting Feedback

Error Corrections

Report to CAT

Reporting Relationships

ATS Order Types

Report to CAT

File Upload	Download Feedback	Create CAT Events	Pending Submissions

1 actionType **2** errorROEID **3** firmROEID **4** type **5** CATReporterIMID

NEW ▼ | | 20200214_ZZZZ | New Order Supplement Event (MENOS) ▼ | ZZZT1 ▼ | CREATE

Instructions

9 originatingIMID

The Technical Specifications section of catnmsplan.com provides detailed guidance and validation requirements for creating new events in CAT.

After clicking Submit below, your event will be added to the **Pending Submissions** page. From there you may edit or delete the event and submit it to CAT for processing.

To clear the form and start over click Cancel or simply navigate away from the **Create CAT Events** tab.

10 eventTimestamp *

20200214 📅 T 000000 . CCCNNNNNN

11 aggregatedOrders

	orderID *	orderKeyDate *		quantity	originatingIMID
✕	OrderID_AAA	20200214 📅 T 000000 . CCCNNNNNN			
✕	OrderID_BBB	20200214 📅 T 000000 . CCCNNNNNN			

ADD

12 firmDesignatedID

CANCEL | SUBMIT

Perspective | Reporter ▼

(99999999)
Namrata Sharma (portaltest99999999)

Sidebar Navigation

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types

Report to CAT

| File Upload | Download Feedback | Create CAT Events | Pending Submissions |

ⓘ Creating and repairing CAT events via the Reporter Portal is a two-step process. First, users must create new CAT events or repair error records. Second, users must submit the pending events from this page to CAT for processing. Users will be given the option to download submitted files during the submission process. After the submission process is complete, events are no longer available for Download.

Pending submissions (3)

Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	Fulfillment ID	Event
✕	RPR	4121924488302	20200214_101-...	ZZZT1	OrdID_12345678...				2020(
✕	RPR	4121924488293	20200214_101-...	ZZZT1	OrdID_12345678...				2020(
✕	NEW		20200214_ZZZZ	ZZZT1	OrderID_789				2020(

SUBMIT

Demo Use Case # 3 – Reviewing/Correcting Errors

➢ User Reviewing, Analyzing and Making Error Corrections
- Review Error Summary
- Analyze Errors
- Correct via Error Correction
- Correct via Group Repair
- Verify Pending Submission
- Final Submission
- Review updated Error Status

CAT Reporter Portal

| 11:34 AM EST | THIS IS A QAINT ENVIRONMENT | Perspective | Reporter ▾ | (99999999) |
| 02/19/2020 | (not intended for production use) | | | Namrata Sharma (portaltest99999999) 👤 |

Error Corrections

Reporting Feedback

Error Corrections

Report to CAT

Reporting Relationships

ATS Order Types

Error Summary	Error Search

○ Processing Date ○ Trade Date   Product Type   IMID

2/14/2020 📅   ALL ▾   ALL ▾   **APPLY**   **RESET**

Error Summary (40)

IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
	99999999	REJECTION	U		2105	Missing or Invalid type		2
	99999999	REJECTION	U		2126	Missing or Invalid orderID in firmDetails		1
	99999999	REJECTION	U		2127	Missing or Invalid orderKeyDate in firm...		4
	99999999	REJECTION	U		2128	Missing or Invalid side in firmDetails		1
	99999999	REJECTION	U		2133	Additional fields are specified in the re...		2
	99999999	REJECTION	U		2134	Invalid JSON or CSV format		4
	99999999	REJECTION	U		2144	Invalid combination of electronicTime...		4
	99999999	REJECTION	U		2149	CATReporterIMID and senderIMID mus...		4
	99999999	REJECTION	U		2095	Missing or Invalid side	Y	5

* Sum of Error Count values may not match total Rejections; each submission may be rejected for more than one reason.

Perspective | Reporter

(99999999)
Namrata Sharma (portaltest99999999)

Reporting Feedback

Error Corrections

Report to CAT

Reporting Relationships

ATS Order Types

Error Corrections

Error Summary | Error Search

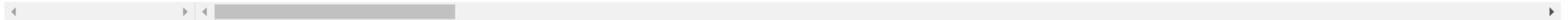◉ Processing Date   ○ Trade Date   Product Type   IMID

| 2/14/2020 📅 | ALL ▼ | ALL ▼ | **APPLY** | RESET |

Total Errors (4)

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID
4121924488211	20200212_dupROID3-100...		MULTIPLE ERRORS	REJECTION	U	99999999	ZZZT1
4121924488213	20200212_errROEID5-100...		MULTIPLE ERRORS	REJECTION	U	99999999	ZZZT1
4121924488250	20200213_dupROID3-100...		MULTIPLE ERRORS	REJECTION	U	99999999	ZZZT1
4121924488252	20200213_errROEID5-100...		MULTIPLE ERRORS	REJECTION	U	99999999	ZZZT1

CAT Reporter Portal | 11:37 AM EST
02/19/2020

THIS IS A QAINT ENVIRONMENT
(not intended for production use)

Perspective   Reporter ▼

(99999999)
Namrata Sharma (portaltest99999999)   👤

Reporting Feedback

❌ Error Corrections

💼 Report to CAT

🖧 Reporting Relationships

📄 ATS Order Types

Error Corrections

| Error Summary | Error Search | **Group Repair** |

Group Repair

Error Code	Error Reason	Error Count	Corrected Value*		
2095	Missing or Invalid side	5	B	REPAIR	CANCEL
			SL		
			SS		
			SX		

Perspective | Reporter ▼

(99999999)
Namrata Sharma (portaltest99999999) 👤

Error Corrections

Error Summary	Error Search	**Error Repair: 4121924488211**

① actionType   ② errorROEID   ③ firmROEID   ④ type   ⑤ CATReporterIMID

NEW ▼ | [ ] | 20200212_dupROID3-10000 | Order Route Event (MEOR) ▼ | ZZZT1 ▼

Errors (4)

⑭ **CATReporterIMID and senderIMID must be assigned to the same firm**
(error value: SGMT)

㉔ **Missing or Invalid timeInForce**
㉘ **Invalid handlingInstructions**
㉚ **Missing or Invalid dupROIDCond**
(error value: true)

㉔ timeInForce *

DAY ▼ | YYYYMMDD 📅

㉕ tradingSession *

PREPOST ▼

㉖ affiliateFlag *

◯ true ⦿ false

㉗ isoInd *

ISOI ▼

㉘ handlingInstructions

⊠ | DISQ ▼ | 1000

CANCEL | REPAIR

CAT Reporter Portal | 11:41 AM EST
02/19/2020

THIS IS A QAINT ENVIRONMENT
(not intended for production use)

Perspective | Reporter

(99999999)
Namrata Sharma (portaltest99999999)

Reporting
Feedback

Error
Corrections

Report to CAT

Reporting
Relationships

ATS Order
Types

Report to CAT

| File Upload | Download Feedback | Create CAT Events | Pending Submissions |

ⓘ Creating and repairing CAT events via the Reporter Portal is a two-step process. First, users must create new CAT events or repair error records. Second, users must submit the pending events from this page to CAT for processing. Users will be given the option to download submitted files during the submission process. After the submission process is complete, events are no longer available for Download.

Pending submissions (3)

Delete	Type	Error ROE ID			de ID	Quote ID	Fulfillment ID	Event
✕	RPR	4121924488302						2020(
✕	RPR	4121924488293						2020(
✕	NEW							2020(

Event Submission

3 Records have been submitted to CAT.

2 Files were created.

To download the files, click Download button below.

DOWNLOAD   CLOSE

SUBMIT

How to Ask a Question during Today's Call

- **For participants using computer audio:**
  - Click the "Participants" button at the bottom of the app window, then the "Raise Hand" button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.

- **For participants using phone audio:**
  - Enter *9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.

FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com