



Industry Member CAT Reporter Portal User Guide

11/04/2019

Version 1.0

Table of Contents

Change Log.....	3
Overview	4
Companion Documents	5
1. Entitlement and User Roles.....	6
2. Technical Requirements	7
3. Access Information	8
4. Data Perspectives.....	9
5. Landing Page	10
5.1. Announcements	10
6. Reporting Feedback	11
6.1. Reporting Summary	11
6.2. File Status.....	11
7. Error Corrections.....	12
7.1. Error Summary	12
7.2. Errors	12
7.3. Error Repair.....	12
8. Report to CAT	13
8.1. Upload Data File	13
8.2. Download Feedback File.....	13
9. Reporting Relationships	14
9.1. Usage of Reporting Relationships.....	14
9.2. Reporting Relationship Fields, Rules, and Validations	15
9.3. View and Export CAT Reporting Relationships	18
9.4. Add a CAT Reporting Relationship	20
9.5. Manage Existing Reporting Relationships	21
9.6. Invalidation of an IMID	23
10. ATS Order Types	24
10.1. Usage of ATS Order Types.....	24
10.2. ATS Order Type Fields, Rules, and Validations	24
10.3. View and Export ATS Order Types	25
10.4. Add an ATS Order Type	26
10.5. Manage Existing ATS Order Types.....	27
10.6. Invalidation of an IMID	29

Change Log

Version	Date Published	Description of Change(s)
1.0	11/04/2019	User Guide published to Industry Members.

Overview

The **Industry Member CAT Reporter Portal** (“Portal”) is a web-based tool that allows CAT Reporters to monitor and manage data submissions to CAT. The Portal includes end-to-end capability for providing complete and accurate data to CAT, including the ability to manually enter and upload data, monitor all submissions, and review and correct errors.

Additionally, the Portal provides access to reporting statistics including information on an Industry Member’s submissions and error rates as well as its performance compared to that of its peers. Users can also access other CAT related information including system announcements, system status, and additional resources.

Questions

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

IMPORTANT NOTE ABOUT THE CONTENT OF THIS USER GUIDE

The information provided in this version of the Industry Member CAT Reporter Portal User Guide corresponds to functionality delivered for the November 2019 Industry Test Release only.

This guide will be updated with further content in conjunction with each Industry Test cycle, per the following schedule:

Industry Test Release 1 (November 18, 2019): Reporting Relationships and ATS Order Types

Industry Test Release 2 (December 16, 2019): Basic Statistics, Data File Upload, and Feedback Download

Industry Test Release 3 (February 24, 2019): Reporting Statistics, Error Feedback, Error Corrections, and Announcements

Companion Documents

- CAT Reporting Technical Specifications for Industry Members, CAT Industry Member Reporting Scenarios, and Industry Member JSON Schema: <https://www.catnmsplan.com/technical-specifications/index.html>
- Connectivity Supplement for Industry Members: <https://www.catnmsplan.com/registration/>
- Frequently Asked Questions: <https://www.catnmsplan.com/faq/index.html>
- Industry Member Onboarding Guide: <https://www.catnmsplan.com/registration/>

1. Entitlement and User Roles

Prior to accessing the Portal, an individual must have a CAT user account with an assigned user role that provides access to the Portal. See the [Industry Member Onboarding Guide](#) for details on obtaining a user account and assigning user roles.

User roles for the Industry Member Portal include CAT Account Administrator, CAT User, and CAT Read-Only. The abilities for each user role are:

Task	CAT Account Admin	CAT User	CAT Read-Only
Create/Manage CAT Users <i>(via the FINRA Entitlement system)</i>	X		
View/Export Feedback <i>(including announcements, reporting statistics, and error feedback)</i>	X	X	X
View Reporting Relationships and ATS Order Types	X	X	X
Create/Edit Reporting Relationships	X	X	
Create/Edit ATS Order Types	X	X	
Create/Transmit data	X	X	
Repair CAT Errors <i>(including bulk repairs)</i>	X	X	
Create/Edit User Preferences	X	X	
Upload Data File <i>(via Portal)</i>	X	X	
Download Feedback	X	X	X
View Monthly Report Card	X	X	X

2. Technical Requirements

The CAT Reporter Portal supports HTML5-compatible browsers including Chrome, Firefox, and Safari. Using any other browser may result in the inability to access the Portal.

See the **FINRA CAT Connectivity Supplement for Industry Members** available at <https://www.catnmsplan.com/registration/> for the available connection methods and all corresponding technical requirements.

3. Access Information

For **web-based** users accessing the Portal directly through an internet browser:

Production URL	CT/Industry Test URL
https://srg.catnms.com	https://srg.ct.catnms.com

For **private line** users accessing the Portal through a third-party Managed Service Provider:

Production URL	CT/Industry Test URL
https://reporterportal.catnms.com	https://reporterportal.ct.catnms.com

For **AWS private link** users¹:

Production URL	CT/Industry Test URL
https://reporterportal-pl.catnms.com	https://reporterportal-pl.ct.catnms.com

¹ Connectivity via AWS Private Link will be available in February 2020.

4. Data Perspectives

The Portal provides the ability to view data via defined data perspectives. This allows users to view data for their organization aggregated in various ways.

The available perspectives are:

- The **Firm** perspective, which displays data applicable to the user's firm as a CAT Reporter. This includes all data provided by the firm as a CAT Reporter and all data provided by a Submitter on behalf of the firm. This perspective is available when the user's organization is a CAT Reporter.
- The **Submitter (Reporting Agent)** perspective, which displays data applicable to the user's organization as a CAT Reporting Agent. This includes all data submitted to CAT by the user's organization on behalf of a CAT Reporter. This perspective is available when the user's organization acts as a Submitter/CAT Reporting Agent.
- The **Third-Party Reporting Agent** perspective², which displays data applicable to the user's organization as a Third-Party Reporting Agent. This includes all data submitted where the user's organization was identified as the Third-Party Reporting Agent. This perspective is available when the user's organization acts as a Third-Party Reporting Agent.

² The Third-Party Reporting Agent perspective will be implemented at a future date.

5. Landing Page

February Industry Test Cycle: Announcements

5.1. Announcements

6. Reporting Feedback

December Industry Test Cycle: Basic Statistics

February Industry Test Cycle: Comprehensive Statistics

6.1. Reporting Summary

6.2. File Status

7. Error Corrections

February Industry Test Cycle: Syntax/Semantic Error Corrections

7.1. Error Summary

7.2. Errors

7.3. Error Repair

8. Report to CAT

December Industry Test Cycle: Upload Data File, Download Feedback File

8.1. Upload Data File

8.2. Download Feedback File

9. Reporting Relationships

A CAT Reporting Relationship establishes a link between a CAT Reporter and a Submitter for purposes of transmitting and viewing CAT data. A relationship is comprised of:

- **One CAT Reporter.** This identifies the firm that is required to submit data to CAT and for which data may be transmitted and viewed.
- **One IMID.** This identifies the IMID for the CAT Reporter for which data may be transmitted and viewed.
- **One Submitter.** This identifies the organization that may transmit and view data on behalf of the CAT Reporter/IMID.
- **One optional Third-Party Reporting Agent.** When provided, this identifies the organization that may view transmitted data and initiate corrections to that data on behalf of the CAT Reporter/IMID.

A reporting relationship must be manually created in CAT before a Submitter may transmit data on behalf of the CAT Reporter. **Only the CAT Reporter can create and manage Reporting Relationships.** A CAT Reporter may have multiple active relationships at any time. Self-reporting firms are not required or able to establish a self-reporting relationship.

Information regarding the creation, management, and use of CAT Reporting Relationships via the Portal is provided below.

9.1. Usage of Reporting Relationships

A reporting relationship allows the Submitter to transmit data on behalf of the CAT Reporter. This includes the ability to submit data and to view feedback for and make corrections to that data. **A Submitter may only view and make corrections data that was transmitted by the Submitter.**

A reporting relationship allows the Third-Party Reporting Agent to view transmitted data and initiate corrections to that data on behalf of the CAT Reporter.³ **A Third-Party Reporting Agent may only view and initiate corrections on data if the Third-Party Reporting Agent was designated upon submission of that data.**

³ A Third-Party Reporting Agent may initiate corrections; however, unless the Third-Party Reporting Agent also has a relationship with the CAT Reported IMID as a Submitter, it may not submit the corrections.

As an example, consider the following reporting relationships for Firm **999: ABC Securities**.

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Permissions
ABCD	123		123 can transmit data and view corresponding feedback on behalf of 999/ABCD .
ABCD	123	456	123 can transmit data and view corresponding feedback on behalf of 999/ABCD . 456 may <i>optionally</i> be identified as the Third-Party Reporting Agent. 456 can view feedback and initiate corrections on behalf of 999/ABCD for data transmitted where 456 was identified as the Third-Party Reporting Agent during submission.
ABCD	456		456 can transmit data and view corresponding feedback on behalf of 999/ABCD .

A CAT Reporting Relationship is valid from the effective date to the expiration date (if provided), inclusive of these dates. Any data provided by the Submitter on behalf of the CAT Reporter IMID prior to the effective date or after the expiration date is rejected. Similarly, any data provided by a Submitter on behalf of a CAT Reporter that designates a Third-Party Reporting Agent where an active reporting relationship does not exist for the CAT Reporter, Submitter, and Third-Party Reporting Agent at the time of submission is rejected.

When a relationship expires, the Submitter and Third-Party Reporting Agent may still view any data that was submitted while the relationship was active. However, they can no longer submit corrections to that data.

9.2. Reporting Relationship Fields, Rules, and Validations

Each CAT Reporting Relationship includes the following data:

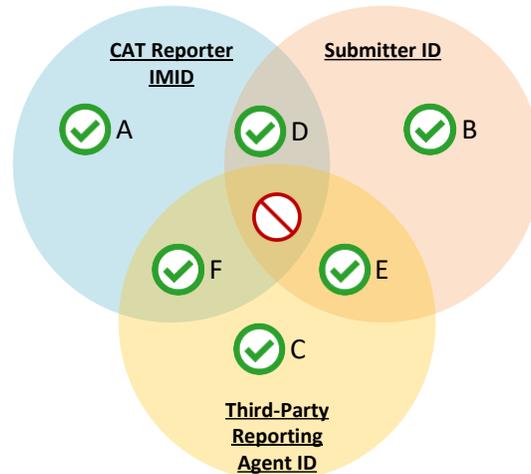
Field	Field Description	Required	Format	Rules/Validations
CAT Reporter IMID	The SRO-assigned identifier ⁴ that a Firm uses to report information to CAT.	Yes	Dropdown Selection	Selection includes all IMIDs for the CAT Reporter, per the IMID List.
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter, unless a Third-Party Reporting Agent is also identified. ⁵ Must not be the same as the Third-Party Reporting Agent.
Third-Party Reporting Agent	The CRD Number for the Third-Party Reporting Agent.	No	Dropdown Selection	Must not be the CRD Number of the CAT Reporter. Must not be the same as the Submitter.
Effective Date	The first date on which the Reporting Relationship is available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the Reporting Relationship is available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

⁴ Examples of SRO-assigned identifiers include FINRA MPIDs, Nasdaq MPIDs, NYSE Mnemonics, CBOE User Acronyms, and CHX Acronyms.

⁵ To allow a Third-Party Reporting Agent to act on behalf of a self-reporting firm, a relationship must be established listing the Firm as the Submitter and designating the Third-Party Reporting Agent. The system does NOT accept a relationship that lists the self-reporting Firm as the Submitter and does not designate a Third-Party Reporting Agent.

9.2.1. Duplicate and Overlapping Reporting Relationships

To ensure data integrity, CAT does not allow two relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter IMID, Submitter, and Third-Party Reporting Agent for the relationships as well as the Effective and Expiration Dates. The following diagram illustrates the possible scenarios when comparing two relationships:



✓ Relationships that share one or two of the three primary data points are not duplicative. Two relationships may have:

- A. The same CAT Reporter IMID but a different Submitter ID and Third-Party Reporting Agent ID.
- B. The same Submitter ID but a different CAT Reporter IMID and Third-Party Reporting Agent ID.
- C. The same Third-Party Reporting Agent ID but a different CAT Reporting IMID and Submitter ID.
- D. The same CAT Reporter IMID and Submitter ID but a different Third-Party Reporting Agent ID.⁶
- E. The same Submitter ID and Third-Party Reporting Agent ID but a different CAT Reporter IMID.
- F. The same CAT Reporter IMID and Third-Party Reporting Agent but a different Submitter ID.

✗ Relationships with the same CAT Reporter IMID and Submitter ID and Third-Party Reporting Agent require further review. In such cases, CAT uses the Effective and Expiration Dates to determine if the

⁶ When a relationship with a Third-Party Reporting Agent exists, the Submitter for the relationship has the ability to submit data on behalf of the CAT Reporter without designating the Third-Party Reporting Agent. This inherently gives the Submitter the ability to act on behalf of the CAT Reporter, thereby mimicking a relationship with the CAT Reporter IMID and Submitter without the Third-Party Reporting Agent being identified. The system prevents the creation of such relationships.

Specifically, if the relationship with the Third-Party Reporting Agent is created first, a user may not create a subsequent relationship with the same IMID and Submitter and no Third-Party Reporting Agent. However, if the relationship without the Third-Party Reporting agent is created first, a user may subsequently create other relationships with the same Submitter and a Third-Party Reporting Agent. The system permits the creation of two such relationships on the same day only.

relationships are duplicative. The user may proceed when the date ranges of the two relationships do not overlap or meet.

9.3. View and Export CAT Reporting Relationships

To view all Reporting Relationships for the Firm:

1. Click **Reporting Relationships** on the left-hand navigation panel.
2. All relationships for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.

CAT Reporting Relationships									
Reporter View									
CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59	
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48	

Submitter/Third-Party View									
Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

Reporting relationships are displayed in two categories:

- The **Reporter View** displays all relationships where the user's firm is the CAT Reporter. This is the list of Submitters and Third-Party Reporting Agents that have been authorized by the user's firm to act on its behalf. These relationships have been created by and must be managed by the user's Firm.
- The **Submitter/Third-Party View** displays all relationships where the user's organization has been named as a Submitter or Third-Party Reporting Agent. This is the list of CAT Reporters that have authorized the user's organization act on its behalf. All records are read-only; relationships must be edited by the CAT Reporter.

Users may optionally filter, sort, or export the Reporting Relationships. The *Reporter View* content and the *Submitter/Third-Party View* content must be filtered, sorted, and exported separately.

3. To filter a list, click ▼ for any column and make one or more selections.
4. To sort a list, click any Column Header to sort by that column.

- To **export** a list, click **Export** for the corresponding view. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported.

The screenshot shows the 'CAT Reporting Relationships' page in the FINRA CAT Reporter Portal. The page has a sidebar on the left with navigation options like 'Home', 'Report to CAT', 'Reporting Relationships', and 'ATT Order Types'. The main content area is titled 'CAT Reporting Relationships' and includes an 'Add New' button and an 'Export' button (circled in red). Below this is a 'Reporter View' table with columns: CAT Reporter IMID, Submitter, Third-Party Reporting Agent, Effective Date, Expiration Date, Created By, Created On, Updated By, and Updated On. The table contains two rows: one for 'BDQ' and one for 'CBLC'. Below the table is a 'Submitter/Third-Party View' section with an 'Export' button (circled in red) and a table with columns: Submitter, Third-Party Reporting Agent, CAT Reporter IMID, Firm, Effective Date, Expiration Date, Created By, Created On, Updated By, and Updated On. This table contains one row for the 'CBLC' relationship.

View or download the generated CSV file using the internet browser functionality.

The screenshot shows an Excel spreadsheet titled 'ReportingRelationships2019_10_18 - Excel'. The spreadsheet contains the following data:

CAT Reporter IMID	CAT Submitter Id	CAT Submitter Nam	Third Party Id	Third Party Name	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDQ	10	10			10/25/2019		portalimadmin	10/17/2019 15:42	portalimadmin	10/17/2019 3:42
CBLC	7059	7059	7560	7560	10/17/2019		portalmuser	10/17/2019 15:20	portalmuser	10/17/2019 3:20

9.4. Add a CAT Reporting Relationship

The CAT Reporter must create a CAT Reporting Relationship before the Submitter or Third-Party Reporting Agent is able to act on its behalf.

To **add** a new CAT Reporting Relationship:

1. Click **Add New**.

The screenshot shows the 'FINRA CAT CAT Reporter Portal' interface. The main heading is 'CAT Reporting Relationships'. There are two buttons at the top right: 'Add New' (highlighted with a red circle and a mouse cursor) and 'Export'. Below the heading, there are two sections: 'Reporter View' and 'Submitter/Third-Party View'. The 'Reporter View' section contains a table with the following data:

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

The 'Submitter/Third-Party View' section contains a table with the following data:

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

2. Enter the details for the relationship. See [Reporting Relationship Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.

The screenshot shows the 'Add New Reporting Relationship' modal form. The form contains the following fields and values:

- Reporting Relationships must be established between Industry Members and CAT Reporting Agents only. Self-reporting firms are not required or able to establish a reporting relationship with themselves.
- CAT Reporter IMID *: BDP
- Submitter *: 73 - [redacted]
- Contact your CAT Reporting Agent to verify the Submitter's Orig ID
- Third-Party Reporting Agent (Optional): 10 - [redacted]
- Effective Date *: 10/25/2019
- Expiration Date (Optional):

Buttons: Cancel, Save

3. Click **Save**. The new relationship is displayed on the *Reporter View* list.

FINraCAT™ CAT Reporter Portal

Reporter Portal IM Admin (portalimadmin)

CAT Reporting Relationships

Reporter View

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDP	73	10	10/25/2019		portalimadmin	10/18/2019 07:50:24	portalimadmin	10/18/2019 07:50:24
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

9.5. Manage Existing Reporting Relationships

A relationship may be edited as follows:

- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To edit a non-expired CAT Reporting Relationship:

1. Click  for the relationship on the *Reporter View* list.

FINra CAT™ CAT Reporter Portal

Reporter Portal IM Admin (portalimadmin)

CAT Reporting Relationships

[Add New](#) [Export](#)

Reporter View

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDP	73	10	10/25/2019		portalimadmin	10/18/2019 07:50:24	portalimadmin	10/18/2019 07:50:24
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

[Export](#)

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

2. Make the desired update(s). See [Reporting Relationship Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.

FINra CAT™ CAT Reporter Portal

Reporter Portal IM Admin (portalimadmin)

CAT Reporting Relationships

[Add New](#) [Export](#)

Reporter View

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDP	73	10	10/25/2019		portalimadmin	10/18/2019 07:50:24	portalimadmin	10/18/2019 07:50:24
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

[Export](#)

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

Edit Reporting Relationship

CAT Reporter IMID *
BDP

Submitter *
73 - [Redacted]

Contact your CAT Reporting Agent to verify the Submitter's Org ID

Third-Party Reporting Agent (Optional)
10 - [Redacted]

Effective Date *
10/25/2019

Expiration Date (Optional)
12/31/2019

[Cancel](#) [Update](#)

3. Click **Update**. The updated information is displayed on the *Reporter View* list.

FINRA CATSM CAT Reporter Portal

Reporter Portal IM Admin (portalimadmin)

CAT Reporting Relationships

Reporter View

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
BDP	73	10	10/25/2019	12/31/2019	portalimadmin	10/18/2019 07:50:24	portalimadmin	10/18/2019 07:54:46
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
7059	7560	CBLC	7059	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48

9.6. Invalidation of an IMID

A CAT Reporting Relationship is only valid as long as the corresponding CAT Reporter IMID is valid. When an IMID is no longer valid, all active CAT Reporting Relationships for that IMID are no longer valid. All organizations designated as a Submitter and/or Third-Party Reporting Agent for that IMID may no longer transmit data under that relationship. The Submitter and Third-Party Reporting Agent may continue to view data that was submitted while the IMID was valid; however, they can no longer submit corrections to that data.

10. ATS Order Types

The CAT [Industry Member Technical Specifications](#) require Industry Members operating an Alternative Trading System (ATS) to populate the *atsOrderType* field on the CAT Equity New Order and Order Accepted events. The Firm must register the order type with CAT prior to submitting events referencing that ATS Order Type. **Industry Members should register an ATS Order Type with CAT at least 20 days prior to the effective date.**

Information regarding the creation and management of ATS Order Types via the Portal is provided in the following sections.

10.1. Usage of ATS Order Types

When the *atsOrderType* is provided on an event, the value must match a valid ATS Order Type for the IMID. An ATS Order Type is valid from the effective date to the expiration date (if provided), inclusive of these dates. Any event submitted using the ATS Order Type prior to the effective date or after the expiration date is rejected.

10.2. ATS Order Type Fields, Rules, and Validations

Each ATS Order Type includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT Reporter IMID	The SRO-assigned identifier ⁷ that a Firm uses to report information to CAT for the ATS.	Yes	Dropdown Selection	Selection includes all ATS IMIDs for the CAT Reporter, per the IMID List.
ATS Order Type	The order type that is used when reporting events to CAT.	Yes	Text	Maximum of 40 characters.
Description	The user-provided description.	Yes	Text	Maximum of 500 characters.
Effective Date	The first date on which the ATS Order Type is accepted for submission.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.

⁷ Examples of SRO assigned identifiers include FINRA MPIDs, Nasdaq MPIDs, NYSE Mnemonics, CBOE User Acronyms, and CHX Acronyms.

Field	Field Description	Required	Format	Rules/Validations
Expiration Date	The last date on which the ATS Order Type is accepted for submission.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

10.2.1. Duplicate and Overlapping ATS Order Types

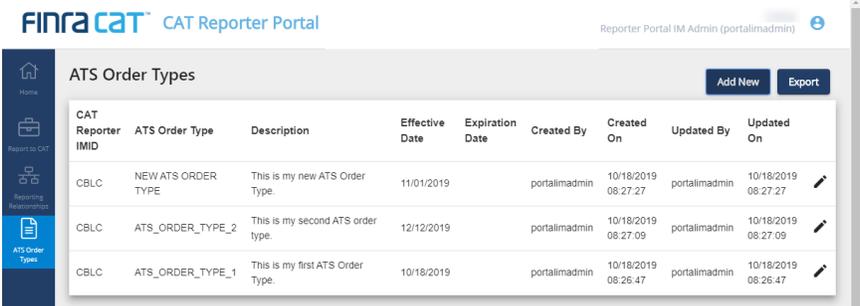
To ensure data integrity, CAT does not allow two order types to duplicate one another. When determining two order types would be duplicative, CAT considers the CAT Reporter IMID and the ATS Order Type as well as the Effective and Expiration Dates.

Order types that share one of the two primary data points are not duplicative. Two order types may have the same CAT Reporter IMID or the same ATS Order Type. However, order types with the same IMID and ATS Order Type require additional review. In these cases, CAT uses the Effective and Expiration Dates to determine if the order types are duplicative. The user may proceed when the date ranges of the order types do not overlap or meet.

10.3. View and Export ATS Order Types

To view all ATS Order Types for the Firm:

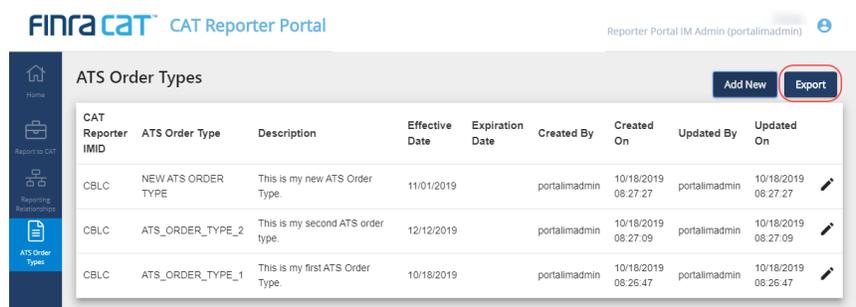
1. Click **ATS Order Types** on the left-hand navigation panel.
2. All ATS Order Types for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.



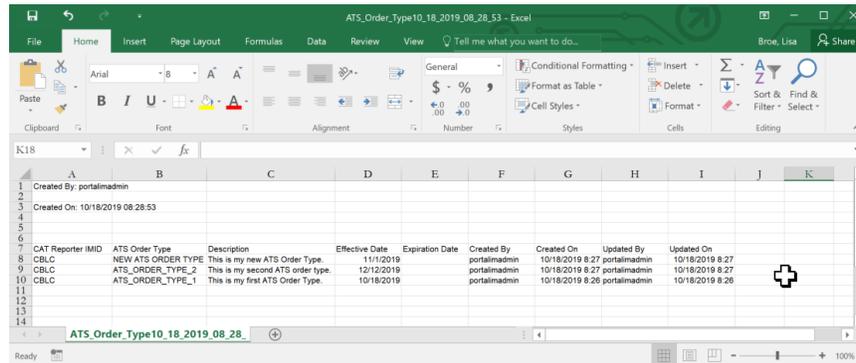
Users may optionally filter, sort, or export the ATS Order Types.

3. To filter the list, click  for any column and make one or more selections.

- To **sort** the list, click any Column Header to sort by that column.
- To **export** the, click **Export**. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported.



View or download the generated CSV file using the internet browser functionality.



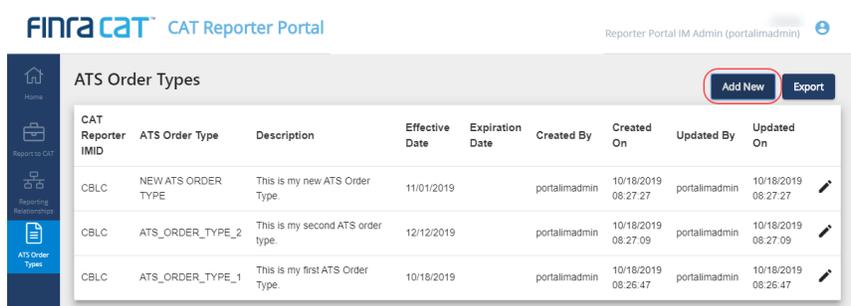
10.4. Add an ATS Order Type

An ATS Order Type must be entered into CAT at least 20 days prior to the effective date.⁸

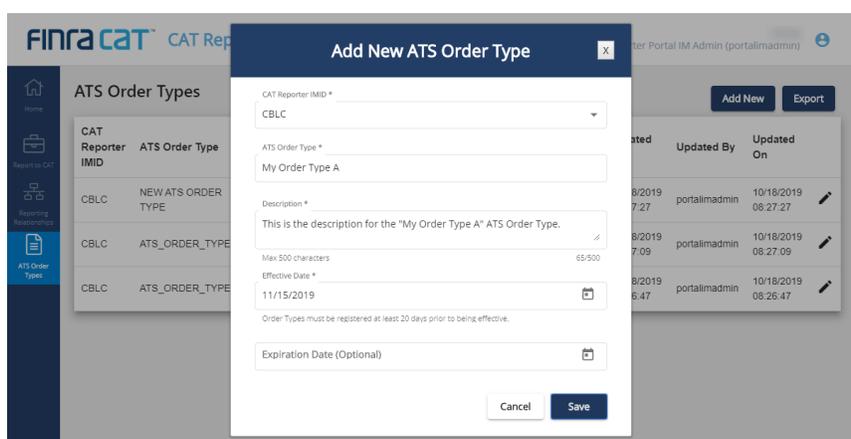
To **add** a new ATS Order Type:

- Click **Add New**.

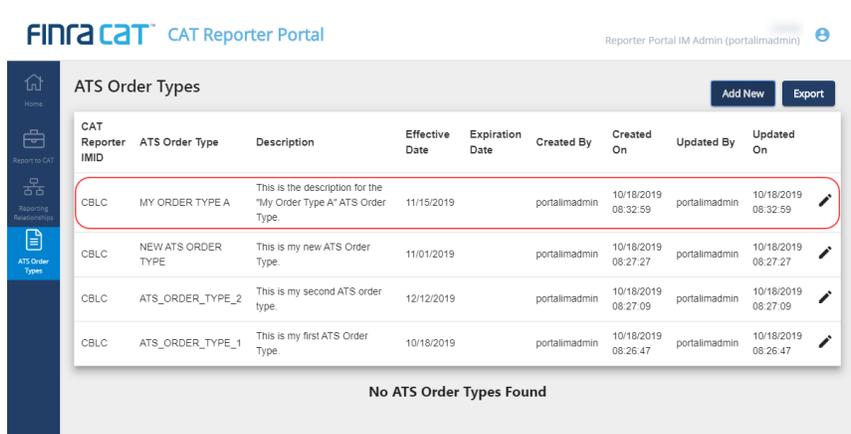
⁸ The ATS Order Type should be created at least 20 days prior to the Effective Date pursuant to FINRA rules. An ATS Order Type may be created with an Effective Date that is equal to or greater than the current date, even if it within the next 20 days.



2. Enter the details for the order type. See [ATS Order Type Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.



3. Click **Save**. The new order type is displayed on the list of ATS Order Types.



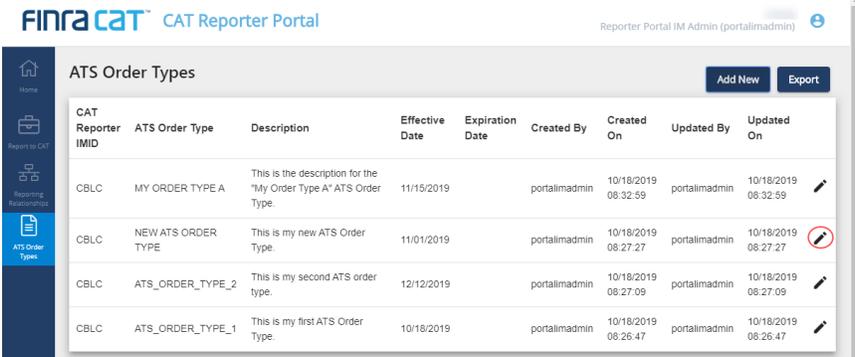
10.5. Manage Existing ATS Order Types

An order type may be edited as follows:

- For a **future-dated order type** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active order type** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), the *Expiration Date* and *Description* may be edited.
- For an **expired order type** (where the *Expiration Date* is before the current date), no fields may be edited.

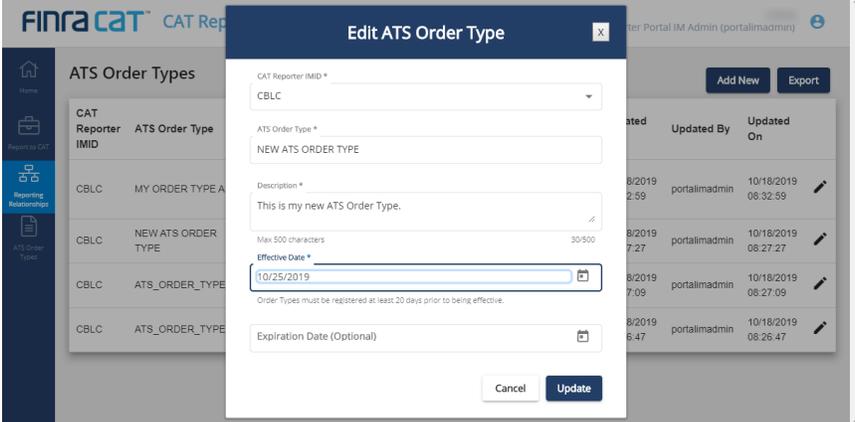
To edit a non-expired ATS Order Type:

1. Click  for the order type.



CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
CBLC	MY ORDER TYPE A	This is the description for the "My Order Type A" ATS Order Type.	11/15/2019		portalimadmin	10/18/2019 08:32:59	portalimadmin	10/18/2019 08:32:59
CBLC	NEW ATS ORDER TYPE	This is my new ATS Order Type.	11/01/2019		portalimadmin	10/18/2019 08:27:27	portalimadmin	10/18/2019 08:27:27
CBLC	ATS_ORDER_TYPE_2	This is my second ATS order type.	12/12/2019		portalimadmin	10/18/2019 08:27:09	portalimadmin	10/18/2019 08:27:09
CBLC	ATS_ORDER_TYPE_1	This is my first ATS Order Type.	10/18/2019		portalimadmin	10/18/2019 08:26:47	portalimadmin	10/18/2019 08:26:47

2. Make the desired update(s). See [ATS Order Type Fields, Rules, and Validations](#) above for details on field requirements, formats, and validations.



Edit ATS Order Type

CAT Reporter IMID *
CBLC

ATS Order Type *
NEW ATS ORDER TYPE

Description *
This is my new ATS Order Type.
Max 500 characters 30/500

Effective Date *
11/02/2019
Order Types must be registered at least 20 days prior to being effective.

Expiration Date (Optional)

Cancel Update

3. Click **Update**. The updated information is displayed on the ATS Order Types list.

ATS Order Types									Add New	Export
CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On		
CBLC	MY ORDER TYPE A	This is the description for the "My Order Type A" ATS Order Type.	11/15/2019		portalimadmin	10/18/2019 08:32:59	portalimadmin	10/18/2019 08:32:59		
CBLC	NEW ATS ORDER TYPE	This is my new ATS Order Type.	10/25/2019		PORTALIMADMIN	10/18/2019 08:27:27	portalimadmin	10/18/2019 08:40:53		
CBLC	ATS_ORDER_TYPE_2	This is my second ATS order type.	12/12/2019		portalimadmin	10/18/2019 08:27:09	portalimadmin	10/18/2019 08:27:09		
CBLC	ATS_ORDER_TYPE_1	This is my first ATS Order Type.	10/18/2019		portalimadmin	10/18/2019 08:26:47	portalimadmin	10/18/2019 08:26:47		

10.6. Invalidation of an IMID

An ATS Order Type is only valid as long as the corresponding CAT Reporter IMID is valid. When an IMID is no longer valid, all active ATS Order Types are no longer valid and all Equity New Order or Order Accepted events submitted with that ATS Order Type are rejected.