

FINRA CAT Open Issues List– As of 3/24/20

#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
1	Open	N/A	Reporter Portal is not accurately reflecting Repair Count and Adjusted Error Rate when corrections submitted for a single day per firm exceed 100,000. Additionally, Error Counts on Error Summary screen do not reflect errors in excess of 100,000.	Code Release	High	To be scheduled	Statistics
2	Open	2019	NYSE floor broker booth numbers are not included in reference data causing Route event rejections.	Reference Data Update	Medium	N/A	Reference Data
3	Open	1116	Isolated issue where exceeding length in file version field in metadata file – Not generating integrity failed feedback.	Code Release	Low	To be scheduled	Validations
4	Open	Multiple	FINRA CAT is accepting the following scenario instead of rejecting – Future dates in some fields.	Code Release	Low	To be scheduled	Validations
5	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).	Code Release	Low	To be scheduled	Validations
6	Open	2122	Incorrect error code is generated when an array field (e.g., clientDetails) is provided as a Name/Value pair.	Code Release	Low	To be scheduled	Validations
7	Open	2153	Isolated instances of data file not readable error for well-formed JSON data files.	Under Review	Low	To be determined	Validations
8	Open	N/A	Isolated issue with Timeout Warnings at Integrity phase resulting in missing File Integrity feedback.	Under Review	Low	To be determined	Feedback

FINRA CAT Closed Issues List– As of 3/24/20

#	Status	Error Code	Summary	Resolution	Priority	Release Date	Area
1	Closed	N/A	CAT Reporters were unable to upload files when they are east of the GMT time zone.	Code Release	Complete	12/16/2019	File Submission
2	Closed	2031	MEOT Records with <BLANK> Firm Designated ID rejecting as invalid.	Code Release	Complete	12/19/2019	Validations
3	Closed	1107	Metadata file rejecting as “Not Readable” when the last delimiter is missing in CSV.	Code Release	Complete	12/19/2019	Validations
4	Closed	Multiple	Allowable values included in latest Technical Specification 2.2.1 r2 need to be updated in Industry Test.	Code Release	Complete	12/19/2019	Validations
5	Closed	N/A	Acknowledgement Feedback Files only include base filename. Per specification, acknowledgements should include the full filename.	Code Release	Complete	12/19/2019	Validations
6	Closed	2156	FINRA CAT is accepting the following scenario instead of rejecting – Values populated in ‘Reserved for Future Use’ fields.	Configuration Change	Complete	12/19/2019	Validations
7	Closed	N/A	FINRA CAT experienced an SFTP connectivity issue on December 18, 2019 at 9:37 p.m. to December 19 at 11:05 a.m. CAT Reporters were unable to submit via SFTP during this time period; however, Manual File Upload via the CAT Reporter Portal was not impacted.	Code Release	Complete	N/A	File Submission
8	Closed	Multiple	FINRA CAT is accepting the following scenario instead of rejecting – Equity events where the representative indicator or the fulfillment link type value is ‘O’.	Code Release	Complete	1/7/2020	Validations

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9	Closed	2091	FINRA CAT is accepting the following scenario instead of rejecting - Route Event with Destination Type of 'E' or 'F' and Sender IMID of <BLANK>.	Code Release	Complete	1/7/2020	Validations
10	Closed	N/A	For Name/Value Pair Data type fields providing a null value for a required field such as timeInForce of 'GTD' with a value of null instead of expiration date causes ingestion processing issues.	Code Release	Complete	1/7/2020	Validations
11	Closed	1121	Metadata file having base file name of data file instead of the full file name does not generate time out error on data file.	Code Release	Complete	1/7/2020	Validations
12	Closed	2098	Reference Data timing issue with equity symbols that became effective on the day of event submission.	Code Release	Complete	1/9/2020	Validations
13	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	Complete	1/12/2020	Validations
14	Closed	N/A	Intermittently missing a few feedback files.	Code Release	Complete	2/5/2020	Validations

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#	Status	Error Code	Summary	Resolution	Priority	Release Date	Area
15	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	Complete	N/A	Network
16	Closed	N/A	Metadata File Rejection count does not correctly count all metadata rejection scenarios.	Code Release	Complete	2/24/2020	Statistics
17	Closed	2098	Equity symbols expiring intra-day rejecting as invalid.	Code Release	Complete	2/24/2020	Validations
18	Closed	2036	<i>handlingInstructions</i> value of 'RAR' (optional for 2a) rejecting as invalid.	Code Release	Complete	2/24/2020	Validations
19	Closed	2043	manualOrderID (optional for 2a) blank - Rejecting as Invalid manualOrderID when electronicDupFlag is populated as true.	Code Release	Complete	2/24/2020	Validations
20	Closed	2048	For ATS firms, <BLANK> <i>nbboTimestamp</i> if <i>nbboSource</i> = NA rejecting as invalid.	Code Release	Complete	2/24/2020	Validations

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21	Closed	N/A	Firms not getting credit for rejections corrected via a file delete instruction.	Code Release	Complete	3/23/2020	Statistics
22	Closed	N/A	Late flag determination is incorrect for events received after 4:15 PM and reported on time.	Code Release	Complete	3/23/2020	Statistics
23	Closed	N/A	Event Submissions count on Reporting Summary tab does not match the Event Submission by Type count in limited instances.	Code Release	Complete	3/23/2020	Portal
24	Closed	2060	Options test symbols are being rejected.	Code Release	Complete	3/23/2020	Validations
25	Closed	2081	receivedQuoteID (optional for 2a) blank – Rejecting as Invalid receivedQuoteID .	Code Release	Complete	3/23/2020	Validations/ Reporter Portal
26	Closed	2133	Multi-dimensional array fields in MEOTS, MOOF and MOFA events – Rejecting as invalid because portal includes additional fields (FDID and accountHolderType) that are not applicable to these specific events.	Code Release	Complete	3/23/2020	Reporter Portal
27	Closed	2142	Space in multi-dimensional array field not treated as blank. E.g space in aggregatedOrders when representativeInd is populated as 'YF', 'YE' or 'N' – Rejecting as Invalid aggregatedOrders (Error Code 2142).	Code Release	Complete	3/23/2020	Validations
28	Closed	N/A	FINRA CAT is accepting some timestamps with an invalid syntax.	Code Release	Complete	3/23/2020	Validations