

Industry Member CAT Reporter Portal

User Guide

03/10/2020

Version 1.3

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Change Log

Version	Date Published	Description of Change(s)
1.0	11/04/2019	User Guide published to Industry Members.
1.1	12/02/2019	Added content for December Industry Test cycle, including:
		Basic Statistics
		File Upload
		Feedback Download
1.2	02/10/2020	Added content for February Industry Test cycle, including:
		Reporting Summary
		Event Type Counts
		File Status
		Error Summary
		Error Search
		Group Repair
		Error Correction
		Create CAT Event
		Pending Submissions
1.3	03/10/2020	Updated existing content, including:
		Replacing screen shots throughout.
		Clarifying functionality in the Pending Submissions list with
		respect to the ability to submit, delete, and download records.
		Added content for March Industry Test cycle, including:
		Announcements

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 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 <u>help@finracat.com</u>.

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 through the March 2020 Industry Test cycle, including:

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, 2020): Reporting Feedback, Error Corrections, and Manual Event Creation

Industry Test Release 4 (March 23, 2020): Announcements and System Status

Companion Documents

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

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 <u>Industry Member Onboarding Guide</u> 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 (via the FINRA Entitlement system)	х		
View/Export Feedback (including announcements, reporting statistics, and error feedback)	х	Х	Х
View Reporting Relationships and ATS Order Types	Х	Х	Х
Create/Edit Reporting Relationships	Х	Х	
Create/Edit ATS Order Types	Х	Х	
Create/Transmit data	Х	Х	
Repair CAT Errors (including group repairs)	х	Х	
Create/Edit User Preferences	Х	Х	
Upload Data File (via Portal)	х	Х	
Download Feedback	Х	Х	Х
View Monthly Report Card	Х	Х	Х

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

<u>https://www.catnmsplan.com/registration</u> 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 PrivateLink** users¹:

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

¹ Connectivity via AWS PrivateLink will be available in January 2020.

4 Data Perspectives

The Portal provides the ability to view data via defined data perspectives, allowing users to view information though a particular point of view. The available perspectives are:

- The Reporter perspective, which displays information 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 perspective, which displays information applicable to the user's organization as a CAT Submitter. This includes all data submitted to CAT by the user's organization for itself as a CAT Reporter as well as data submitted on behalf of another CAT Reporter as a CAT Reporting Agent. 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 Reporting Feedback

5.1 Reporting Summary

The Portal provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view statistics for any single day within the previous 90 calendar days, including the current date.

To view reporting statistics for the organization:

1. Select Reporting Feedback.

CAT Repo	orter Portal	M EST 1020	Pers	Reporter	•	9
Reporting Feedback	porting Feedback					
Error Corrections	Reporting Summary	Event Type Counts	File Status			
8	● Processing Date ●	Trade Date Product Type	IMID			
Report to CAT	2/13/2020	All All			RESET	manun

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Re	eporter Portal	/ EST 020	Persp	Reporter	~	9
Reporting Feedback	Reporting Feedback					
Error	Reporting Summary	Event Type Counts	File Status			
8	Processing Date	Trade Date Product Type	IMID			
Report to CAT	2/13/2020	ALL	▼ ALL	- APPLY	RESET	
Reporting Poly	my have my	سهيست	\sim	m	~~~~~	man marker

3. Optionally edit the filter criteria and click Apply.

CAT R	Reporter Portal	Perspective Reporter
Reporting Feedback	Reporting Feedback	
Error Corrections	Reporting Summary Event Type Counts F	ile Status
	Processing Date O Trade Date Product Type	
Reporting	2/13/2020	ALL AFRY RESET

If the user has applied filter criteria within the Portal, statistics are displayed per that criteria by default. Otherwise, statistics are displayed for the most recently completed processing date and all IMIDs for the organization. Modify the date, specify a Product Type, and/or select an IMID³ to view the corresponding statistics.

4. Review the basic statistics.

AT Reporter Portal	I EST 20		Pers	Repo	rter	•			e
Reporting Feedback									
Reporting Summary ections	Event Type Co	ounts	File Status						
Processing Date O T 2/13/2020	rade Date Prod	uct Type	IMID -	•	APPLY	RESET			
onthips Onthips Order Adjusted Error Rate	20.10	39%							Ł Export
File Submissions Show Details	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metada Ri	ta Files eceived	Metadata Reji	Files ected	Invalid Files
	88	44	44	0		44		0	0
Event Submissions Show Details	Processed	Accepted	Accepted Accepte Warnings Lat	d Accepted Corrections	Rejected	Repairable Rejections	Repaired	Initial Error Rate	Adjusted Error Rate
	1348	1075	0	2 695	273	273	4	20.4006%	20.1039%
NAME OF									

CAT displays the following information for the specified filter criteria:

- The Adjusted Error Rate, which is the percentage of unrepaired rejected records and late records out of all processed records.
- Aggregated File Submissions statistics, which indicates the number of <u>files</u> received, accepted, and rejected. Note that any specified Trade Date and Product Type filter criteria do not apply to the File Submission statistics.
- Aggregated Event Submissions statistics, which indicates the number of <u>events</u> processed, accepted, rejected, and repaired as well as the initial and adjusted error rates. The *Initial Error Rate* is the percentage of rejected records and late records out of all processed records. The *Adjusted Error Rate* is the percentage of unrepaired rejected records and late records out of all processed records.

³ The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

5. To <u>view comprehensive statistics</u> displayed by IMID and Submitter ID, click Show Details for File Submissions or Event Submissions.

File Submission	15	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metadata Files Received	Metadata Files Rejected	Invalid Files	Perspec	tive	orter	*			
		88	44	44	0	44	0	0							
IMID	Submitter Id	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metadata Files Received	Metadata Files Rejected	Invalid Files							
ATDBX	7059	2	1	1	0	1	•	0							
BDO	7059	2	1	1	0	1	•	0	IMID						
CBLC	7059	84	42	42	0	42	0	0	ALL			DECET			
	A	rs Order Types	Ac	ljusted Erro	or Rate	20.1	039%								
			Fil	e Submissi	075	Valid Files Submitted	Data Fil Receiv	es Data ed Acce	Files I pted	Data Files Rejected	Metada Ri	ta Files eceived	Metadata Reje	Files ected	Invalid Files
			Fil	e Submissi ow Details	075	Valid Files Submitted 88	Data Fil Receiv	es Data ed Acce 44	Files I pted 44	Data Files Rejected O	Metada Ri	ta Files eceived 44	Metadata Reje	ected 0	Invalid Files
			Fil Sh Ev Sh	e Submiss ow Details ent Submis	ops ssions	Valid Files Submitted 88 Processed	Data Fil Receiv Accepted	es Data ed Acce 44 Accepted Warnings	Files I pted 44 Accepted Late	Data Files Rejected 0 Accepted Corrections	Metada Ri Rejected	ta Files eceived 44 Repairable Rejections	Metadata Reje Repaired	0 Initial Error Rate	Invalid Files 0 Adjusted Error Rate

6. To <u>export</u> the statistics, click **Export**. Two separate files are provided – one for File Submissions and one for Event Submissions. Download the generated CSV files using the internet browser functionality.

CAT Re	eporter Portal	T	Perspective Reporter	•	Θ
Reporting	Reporting Feedback				
Error	Reporting Summary	Event Type Counts	File Status		
Report to CAT	Processing Date Tra 2/13/2020	ALL	IMID	RESET	
Reporting Relationships					Export
ATS Order Types	Adjusted Error Rate	20.1039%			
	File Submissions	Valid Files Data Files	Data Files Data Files	Metadata Files Metadata Fi	iles Invalid Files

5.2 Event Type Counts

The Portal provides a breakdown of statistics by event type for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view event type counts for any single day within the previous 90 calendar days, including the current date.

To view event type counts for the organization:

1. Select **Reporting Feedback > Event Type Counts**.

CAT Rep	oorter Portal	1:00 AM EST 2/24/2020			Perspec	Reporter		·		Θ
Reporting	Reporting Feedback									
Error	Reporting Summa	Event Ty	/pe Counts	File Sta	tus					
Corrections	Processing Date	Trade Date	roduct Type		IMID					
Report to CAT	2/13/2020	Ē	ALL	•	ALL	APPLY	RESET			
뭅.									-	🛓 Export
Relati ins		~~~~	and part	\sim	\sim	$\sim \sim \sim$	\sim	\sim	and mind	\sim

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Re	porter Portal	M EST 020	Persp	Reporter	•	θ
Reporting Feedback	Reporting Feedback					
E mor	Reporting Summary	Event Type Counts	File Status			
Corrections	Processing Date O Tra	ade Date Product Type	IMID			
Report to CAT	2/13/2020	ALL	▼ ALL	- APPLY RESE	т	
문 동						🛓 Export
Relations	and the second	() - mar m	\sim	\sim	and the second s	-

3. Optionally edit the filter criteria and click **Apply**.



If the user has applied filter criteria within the Portal, counts are displayed per that criteria by default. Otherwise, counts are displayed for the most recently completed processing date and all IMIDs for the organization. Modify the date, specify a Product Type, and/or select an IMID⁴ to view the corresponding event type counts.

4. Review the event type counts.

⁴ The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

Reporting Feedb	ack								
Reporting Su	mmary Ev	ent Type Counts	File	Status					
Processing Date	e O Trade Dat	e Product Type		IMID					
2/13/2020	Ē	ALL	*	ALL +	APPLY	RESET			
Event Submission	ву Туре		Processed	Processed COR	Processed RPR	Processed DEL	Accepted	Accepted Late	
Event Submission	ву Туре		Processed 1,348	Processed COR 357	Processed RPR 338	Processed DEL 0	Accepted 1,075	Accepted Late 2	
Event Submission	By Type	Event Type	Processed 1,348	Processed COR 357	Processed RPR 338	Processed DEL 0	Accepted 1,075	Accepted Late	
Event Submission	By Type Submitter ID 7059	Event Type	Processed 1,348 2	Processed COR 357	Processed RPR 338	Processed DEL 0	Accepted 1,075	Accepted Late 2	
Event Submission	By Type Submitter ID 7059 7059	Event Type	Processed 1,348 2 2	Processed COR 357 0 0	Processed RPR 338 0 2	Processed DEL 0 0	Accepted 1,075 0 2	Accepted Late 2 0 2	

A summary of event processing statistics is displayed on the top row, followed by subtotal rows for each IMID/Submitter ID combination. Displayed statistics include the total number of processed events; the number of processed correction (COR), repair (RPR), and delete (DEL) events; and the number of events accepted, accepted late, and rejected.

5. To <u>view details</u> for a specific IMID/Submitter ID, click the corresponding subtotal row. Statistics are displayed by Event Type for the selected IMID/Submitter ID.

Event	event Submission By Type			Processed	Processed COR	Processed RPR	Processed DEL	Accepted	Accepted Late	Rej
				1,348	357	338	0	1,075	2	
	IMID	Submitter ID	Event Type							
(ATDBX	7059		2	0	0	0	0	0	
		4	MECOC	1	0	0	0	0	0	
		.0	MOOJ	1	0	0	0	0	0	
	BDO	7059		2	0	2	0	2	2	
	CBLC	7059		1,344	357	336	0	1,073	0	

6. To **export** the event type counts, click **Export**. Download the generated CSV file using the internet browser functionality.

CAT R	eporter Portal	11:00 AM EST 02/24/2020	Per	spective Reporter	•	θ
Reporting Feedback	Reporting Feedba	ck				
Error	Reporting Sum	mary Event Type Co	Ints File Status			
Corrections	Processing Date	O Trade Date Product	ype IMID			
Report to CAT	2/13/2020	ALL ALL	▼ ALL	- APPLY	RESET	
Reporting Relation ins			~~~~	m	_~~~	

5.3 File Status

The Portal provides a list of files submitted by the user's organization, including the file status and corresponding timestamp. This includes files submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view information for files submitted on any single day within the previous 90 calendar days, including the current date.

To view file statuses for the organization:

1. Select **Reporting Feedback > File Status**.

CAT Repo	orter Portal	5 AM EST 24/2020	Perspective	Reporter 👻	θ
Reporting Feedback	porting Feedback				A
Error Corrections	Reporting Summary	Event Type Counts	File Status		
8	Processing Date	IMID			
Report to CAT 문급 Reporting	2/13/2020	ALL -	PPLY RESET		

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Re	eporter Portal	M EST 020	Persp	Reporter	•		θ
Reporting Feedback	Reporting Feedback						
Error Corrections	Reporting Summary	Event Type Counts	File Status				
a	Processing Date	IMID					
Report to CAT	2/13/2020	🛱 ALL 👻	APPLY RESET			-	
Relational Relation	many many many	marine marine	\sim \sim	- A.A.	A A 77	many present	~~ ~

3. Optionally edit the filter criteria and click Apply.

CAT R	eporter Portal	11:15 AM EST 02/24/2020	Perspective	Reporter 💌	8
Reporting Feedback	Reporting Feedba	ack			
Error Corrections	Reporting Sun	nmary Event Type Counts	File Status		
8	Processing Date	IMID			
Report to CAT	2/13/2020	ALL 👻	APPLY RESET		
Reporting Relational ps	man	س بسب بسبر	$\sim \sim \sim$	min	many ment

If the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is displayed for the most recently completed processing date and all

IMIDs for the organization. Modify the date and/or select an IMID⁵ to view the corresponding file statuses.

4. Review the file status information.

eporting Feedback				
Reporting Summary	Event Type Cou	nts File Sta	tus	
Processing Date	IMID			
2/13/2020	ALL 👻	APPLY	RESET	
Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	🎿 Paired Metadata Filename
Submitter ID 7059	CAT Reporter IMID	User ID catdc_test_user	Uploaded Filename 7059_CBLC_20200213_DXG_OrderEvents_7	Aired Metadata Filename
Submitter ID 7059 7059	CAT Reporter IMID CBLC CBLC	User ID catdc_test_user catdc_test_user	Uploaded Filename 7059_CBLC_20200213_DXQ_OrderEvents_7_ 7059_CBLC_20200213_BNB_OrderEvents_61_	Paired Metadata Filename
Submitter ID 7059 7059 7059	CAT Reporter IMID CBLC CBLC CBLC	Uper ID catdc_test_user catdc_test_user catdc_test_user	Uploaded Filename 7059_C8LC_20200213_DX6_OrderEvents_7 7059_C8LC_20200213_BN6_OrderEvents_61 7059_C8LC_20200213_APFN_OrderEvents_9	Paired Metadata Filename
Submitter ID 7059 7059 7059 7059 7059	CAT Reporter IMID CBLC CBLC CBLC CBLC CBLC	Uper ID catdc_test_user catdc_test_user catdc_test_user catdc_test_user	Uploaded Filename 7059_CBLC_20200213_DX9_OrderEvents_7 7059_CBLC_20200213_BN9_OrderEvents_61 7059_CBLC_20200213_APFN_OrderEvents_9 7059_CBLC_20200213_BpHL_OrderEvents_7	Paired Metadata Filename 7059_CBLC_20200213_DXG_0rderEvent 7059_CBLC_20200213_JXFTN_C0rderEvent
Submitter ID 7059 7059 7059 7059 7059 7059	CAT Reporter IMID CBLC CBLC CBLC CBLC CBLC CBLC	Uper ID catdc_test_user catdc_test_user catdc_test_user catdc_test_user catdc_test_user	Uploaded Filename 7059_CBLC_20200213_DX9_OrderEvents_7 7059_CBLC_20200213_BN9_OrderEvents_61 7059_CBLC_20200213_AyFN_OrderEvents_9 7059_CBLC_20200213_ByHL_OrderEvents_7 7059_CBLC_20200213_pfEc_OrderEvents_2	Paired Metadata Filename 7059_CBLC_20200213_DXG_0rderEvent 7059_CBLC_20200213_AyFN_OrderEvent

The Portal displays basic information for all files submitted via machine-to-machine communication and files uploaded or generated via the Portal. Additionally, for each file that was successfully uploaded, information is displayed for each phase of file processing, including File Acknowledgement, File Integrity, and Data Ingestion. For details on these phases of file processing, see <u>§7.1.1 File</u> Processing.

5. To **export** the file status information, click **Export**. Download the generated CSV file using the internet browser functionality.

CAT Reporter	r Portal 11:15 AN 02/24/20	1 EST 20		Perspective	leporter	•	θ
eporting Report	ing Feedback						
Error rrections	porting Summary	Event Type Counts	File Stat	tus			
e Pros	cessing Date	IMID					
2/	13/2020	ALL 👻	APPLY R	ESET			
IS Order Types	Submitter ID CA	T Reporter IMID	User ID	Uploaded Filename		Paired Metadata File	Export ename
A man	7059 CB	LE	catdo, test user	7059_CBLC_202002	13_DXG_OrderEvents_7		mar the presence

⁵ The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

6 Error Corrections

The Portal allows users to review and manage rejected records. This includes the ability to view a highlevel summary, view rejection details, and repair the data. A user may view rejections for any single day within the previous 90 calendar days, including the current date.

High-level Overview of Error Correction Submission

Submission of a repair or correction is a two-step process. The user must first *create* the correction and then *submit* it, as shown in the following diagram.



6.1 Error Summary

The Error Summary provides a high-level overview of rejections for the organization. Review steps 3 and 4 below for details on the use of data perspectives and filter criteria if needed. Otherwise, proceed to Step 5 for details on the content of the Error Summary page. A user may view rejections for any single day in the previous 90 calendar days, including the current date.

To view the error summary for the organization:

1. Select Error Corrections > Error Summary.

CAT Reporter Portal	Perspective Reporter
Reporting Reporting	Í
Error Summary Error Search	
Processing Date Trade Date Product Type	IMID
Report to CAT 2/13/2020	ALL - APPLY RESET
Real and the second sec	minimum

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Rep	oorter Portal 11:28 AM EST 02/24/2020	Perspective Reporter
Reporting Feedback	Error Corrections	
Error Corrections	Error Summary Error Search	
8	Processing Date O Trade Date Product Type	IMID
	2/13/2020	

3. Optionally edit the filter criteria and click Apply.



If the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is displayed for the most recently completed processing date and all

IMIDs for the organization. Modify the date, specify a Product Type, and/or select an IMID⁶ to view the corresponding rejections.

4. Review the rejections.

CAT R	lepor	ter Portal	59 AM EST (24/2020							Perspective Reporter	×		θ
Reporting	Erro	r Corrections											Í
8 Error		Error Summary	Error Search										
Corrections Report to CAT		Processing Date	Trade Date Prod	ист Туре	IMID		ı						
Reporting Relationships		213/2020				REAL]						
ľ		Error Summary (6)										
ATS Order Types		Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Code	Error Reason	Group Repair Eligible	Error Count*	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2060	2060	optionID not effective on Event Date		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID	Y	1	
		02/13/2020	CBLC	7059	REJECTION	R	COR	2036	2036	Invalid handlingInstructions		4	
		02/13/2020	CBLC	7059	REJECTION	U		2036	2036	Invalid handlingInstructions		19	
		02/13/2020	CBLC	7059	REJECTION	U		2133	2133	Additional fields are specified in the re		14	
	FINTA	сат		Scroll r	ight to see all	data. ———						catn	msplan.com

OAT displays the following information for the specified filter effectia.

Column	Description
Date	The date of the rejected record. This is either the Processing Date or Trade
	Date, as selected in the filter criteria.
CAT Reporter	The unique CAT Reporter IMID associated to the rejected record.
IMID	
Submitter ID	The CAT-assigned unique ID for the organization that submitted the
	rejected record.
Error Type	The type of error.
	Values include: Rejection, Linkage, OOS
Repair Status	The repair status of the rejected record.
	Values include:
	(U)nrepaired: No repair action has been taken.
	(P)ending: Repair has been initiated and saved to Pending Submissions.
	(S)ubmitted: Repair has been submitted from Pending Submissions.
	(R)epaired: Repair has been processed by CAT.

⁶ The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

Column	Description
Repair Type	The method via which the record was repaired. This field is populated only
	when Repair Status is R .
	Values include:
	COR: Corrected
	DEL: Deleted
	RPR: Repaired
	REC: Reconciled
Error Code	The code identifying the error. See Industry Member Technical
	Specifications section E.2 Data Ingestion Errors for a list of error codes.
Error Reason	The description of the error. See Industry Member Technical Specifications
	section E.2 Data Ingestion Errors for a list of error reasons.
Group Repair	Indicates if the corresponding records are eligible for group repair. See $\S6.5$
Eligible	Group Repair for details.
Error Count	The number of rejected records for the corresponding error.

5. To <u>view details</u> for the corresponding error records, click the Error Count hyperlink. See <u>§6.3 Error</u> <u>Search</u> for details.

CAT R	epor	ter Portal	:59 AM EST 1/24/2020							Perspective Reporter	*		Θ
Reporting	Erro	or Corrections											^
Error	-	Error Summary	Error Search										
		Processing Date	O Trade Date	Product Type	IMID								
Report to CAT		2/13/2020	1	ALL	ALL +	APPLY RESET]						
Reporting Relationships													
B		Error Summary ((6)										、 II
ATS Order Types		Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Code	Error Reason	Group Repair Eligible	Error Count*	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2060	2060	optionID not effective on Event Date		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID	Y	1	
		02/13/2020	CBLC	7059	REJECTION	R	COR	2036	2036	Invalid handlingInstructions		4	
		02/13/2020	CBLC	7059	REJECTION	U		2036	2036	Invalid handling/nstructions		19	
		02/13/2020	CBLC	7059	REJECTION	U		2133	2133	Additional fields are specified in the re		14)
	FINCE	асат		Scroll	right to see a	all data. ———						ca	tnmsplan.com

6. To **initiate a group repair** for the corresponding error records, click the "Y" hyperlink in the Group Repair Eligible column. See <u>§6.5 Group Repair</u> for details.

CAT R	Repor	ter Portal	1:59 AM EST 2/24/2020							Perspective Reporter	¥		θ
Reporting	Erro	r Corrections											i i
Error	-	Error Summary	Error Search										
a		Processing Date	O Trade Date Prode	ict Type	IMID								
Report to CAT		2/13/2020	ALL		r ALL v	APPLY RESET]						
Relationships		Error Summary	(6)									4	Export
ATS Order Types		Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Code	Error Reason	Group Repair Eligible	Error Count*	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2060	2060	optionID not effective on Event Date		1	
		02/13/2020	ATDBX	7059	REJECTION	U		2011	2011	Invalid CATReporterIMID	Y	1	
		02/13/2020	CBLC	7059	REJECTION	R	COR	2036	2036	Invalid handlingInstructions		4	
		02/13/2020	CBLC	7059	REJECTION	U		2036	2036	Invalid handlingInstructions		19	
		02/13/2020	CBLC	7059	REJECTION	U		2133	2133	Additional fields are specified in the re		14	
	FINC	сат		Scroll	right to see a	ll data. ———							catnmspian.com

To <u>export</u> the error summary, click *seport*. Download the generated CSV file using the internet browser functionality.

AT Reporter Portal	Perspective	Reporter 👻	6
Error Corrections			
Bana Sama Sama Sama Sama Sama Sama Sama S			
(6) Processing Date O Trade Date Product Type IMID 2/15/2020 (2) ALL ALL			
Error Summary (6)			Export
ander geo Dana CAT Reporter MID Submitter ID Error Type Repair Status Repair Type Error Code Error Code Error Code	or Reason	Group Repair Eligib	le Error Count*

6.2 Action Summary

Placeholder for future release

6.3 Error Search

The Error Search provides a detailed view of rejected records for the organization. A user may access the Error Search page directly or by linking from the Error Summary page. When accessing the Error Search page directly from other pages, the filter criteria is inherited so that the corresponding records are displayed. Review steps 3 and 4 below for details on the use of data perspectives and filter criteria if needed. Otherwise, proceed to Step 5 for details on the content of the Error Search page. **A user may view rejections for any single day in the previous 90 calendar days, including the current date.**

To view the error search details for the organization:

1. Select Error Corrections > Error Search.

CAT R	Reporter Portal	Perspective Reporter	
Reporting	Error Corrections		
Feedback	Error Summary Error Search		
Corrections	Processing Date Trade Date Product Type	IMID	
Report to CAT	2/13/2020	ALL 👻 APPLY RESET	
Reporting Relationships			
<u></u>	Total Errors (39)	man	

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Rep	Dorter Portal 11:36 AM EST 02/24/2020	Perspective Reporter	· 8
Reporting Feedback	rror Corrections		
Error Corrections	Error Summary Error Search		
8	Processing Date O Trade Date Product Type	e IMID	
Report to CAT	2/13/2020 🛍 ALL	✓ ALL ✓ APPLY	RESET
Reporting Relationships			
	Total Errors (39)	~~~~	manner

3. Optionally edit the filter criteria and click **Apply**.

CAT R	eporter Portal 11:36 AM EST 02/24/2020	Perspective Reporter	
Reporting Feedback	Error Corrections		Í
Error Corrections	Error Summary Error Search		
Report to CAT	Processing Date Trade Date Product Type Z/13/2020 ALL	IMID ALL V APPLY RESET	
문금 Reporting Relationships	Jotal Errors (39)		

When accessing the page directly, if the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is displayed for the organization for the most recently completed processing date and all IMIDs for the organization. When accessing the page from the Error Summary, the corresponding rejections are displayed. Modify the date, specify a Product Type, and/or select an IMID⁷ to view the corresponding rejections.

⁷ The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

4. Review the error details.

CAT Reporter Portal	6 AM EST 4/2020		Perspective Reporter	¥		
Reporting Conducts						
Error Summary Corrections	Error Search					
Processing Date (Trade Date Product Type		IMID			
Report to CAT 2/13/2020	ALL ALL	•	ALL - APPLY	RESET		
훈급 Reporting Relationships 말 Total Errors (39)						
ATS Order Types Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CA
94073420008507148	20191109_33805177106	2011	Invalid CATReporterIMID	REJECTION	U	705
94073420008507149	20191109_41878394698		MULTIPLE ERRORS	REJECTION	U	70:
94073420008503648	20200213_14786937197	2036	Invalid handlingInstructio	REJECTION	R	705
94073420008503652	20200213_75954996719	2036	Invalid handlingInstructio	REJECTION	R	705
94073420008503654	20200213_68978375096	2036	Invalid handlingInstructio	REJECTION	R	705
94073420008503664	20200213 63897948137	2026	Invalid 57 - flingInstructio	RE IECTION		

In addition to the information submitted on the original record, CAT displays the following for each rejected record meeting the specified filter criteria:

Column	Description					
Error Code	The code identifying the error. See Industry Member Technical					
	Specifications section E.2 Data Ingestion Errors for a list of error					
	codes.					
Error Reason	The description of the error. See Industry Member Technical					
	Specifications section E.2 Data Ingestion Errors for a list of error					
	reasons.					
Error Type	The type of error.					
	Values include: Rejection, Linkage, OOS					
Repair Status	The repair status of the rejected record.					
	Values include:					
	(U)nrepaired: No repair action has been taken.					
	(P)ending: Repair has been initiated and saved to Pending					
	Submissions.					
	(S)ubmitted: Repair has been submitted from Pending Submissions.					
	(R)epaired: Repair has been processed by CAT.					
Renaired Timestamp	The date and time when the repair was submitted. This field is only					
	populated when Repair Status is R .					

Column	Description
Repaired By	The user id of the user who submitted the repair. This field is only
Repaired by	populated when Repair Status is R .
	The method via which the record was repaired. This field is populated
	only when Repair Status is R .
	Values include:
Repaired Type	COR: Corrected
	DEL: Deleted
	RPR: Repaired
	REC: Reconciled
Correction Due	The date and time by which the rejected record must be repaired.
The remaining fields displ	ayed are taken directly from the record submitted to CAT. For
additional details and defi	nitions, see the Industry Member Technical Specifications.

5. To **export** the error search, click **Export**. Download the generated CSV file using the internet browser functionality.

CAT Rep	oorter Portal	AM EST 1/2020		Perspective Reporter	Ŧ		Θ
Reporting Freedbark	Fror Corrections						Í
Error	Error Summary	Error Search					
Report to CAT	Processing Date 2/13/2020	Trade Date Product Typ	e 👻	IMID All - Apply	RESET		
Reporting Relationships							+ Frenet
ATS Order Types	Total Errors (39)	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Re
	94073420008507148	20191109_33805177106	2011	Invalid CATReporterIMID	REJECTION	U	705

6. To initiate a repair for a rejected record, click the Error ROE ID. See §6.4 Error Repair for details.

CAT Rep	orter Portal	6 AM EST 4/2020		Perspective Reporter	•		Θ
Reporting Feedback	ror Corrections						A
Error	Error Summary	Error Search					- 1
£	Processing Date	Trade Date Product Ty	/pe	IMID			- 1
Report to CAT	2/13/2020	ALL ALL	•	ALL - APPLY	RESET		
Reporting Relationships ATS Order	Total Errors (39)	5 005 ID	Sum Outs	5 0			017.0-
Types	Erfor NOE ID	PIRT ROE ID	Error Code	Error Reason	error type	Hepair Status	CATRE
	94073420008507148	20191109_33805177106	2011	Invalid CATReporterIMID	REJECTION	U	705
	94073420008507149	20191109_41878394698		MULTIPLE ERRORS	REJECTION	U	705
	94073420008503648	20200213_14786937197	2036	Invalid handlingInstructio	REJECTION	R	705
	94073420008503652	20200213_75954996719	2036	Invalid handlingInstructio	REJECTION	R	705
	94073420008503654	20200213_68978375096	2036	Invalid handlingInstructio	REJECTION	R	705
	94073420008503664	20200213_63897948137	2026	Invalid handlingInstructio	REJECTION	meny un	705

An Error ROE ID will not exist for some records. In these cases, the entire record may be resubmitted using the process for manually providing data to CAT. See <u>§7.2 Manually Report Data to CAT</u> for details.

6.4 Error Repair

The Portal allows users to initiate a repair to a single rejected record. This page can only be accessed by selecting an Error ROE ID from the Error Search page. See <u>§6.3 Error Search</u> for details.

To <u>repair</u> a rejected record:

1. Review the event detail screen and make any necessary updates.

CAT R	teporter Portal	Perspective Reporter	θ
Reporting Feedback	Error Corrections Error Summary Error Search	Error Repair: 94073420008507149	
Error Corrections	actionType errorROEID RPR 4120661036547	firmRQED firmRQED Q191109_41878394698541 Option Circler Adjusted Event (MOO))	CATReporterIMID
Reporting Relationships ATS Order Types	Errors (2) invite CATReporterIMID (error value: ATOBX) pitionID not effective on Event Date (error value: PGG 200320C00015000)	order:D* x*CTvL/ntyoSQL2MXL-m(-*) optionID *	
		Andrew Production Physics (Internet online, 1982) 2100011000012300.	CANCEL REPAIR
	FINTA CAT		catnmsplan.com

A list of errors for the record, including links to navigate directly to corresponding error field(s), are provided on the left side of the form.

Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validations are be performed, ensuring that the data provided meets the format requirements for each field. This includes checking for allowable values, required fields, data types, field lengths, and invalid characters. See the Industry Member Technical Specifications for details on each event type.

Some error codes cannot be parsed and therefore cannot repaired via Portal. When the Error ROE ID refers to a record with an unparsable error, the portal displays a warning that includes the full machine-readable text of the originally submitted record, as shown below.

The selecto To repair ti feature or	ed error record he record, you	is not parsable and ca	annot be repaired using the Error Repair fea	ture.
To repair t feature or	he record, you			
	via machine-to	may eitner use the Cr machine secure file ti	eate Order Event feature to manually enter ransfer.	an RPR event, or you may submit the repair event in a properly formatted machine-readable file by using the File Uploa
For your co	onvenience, the	full text of the origina	ally rejected record is provided below in CSV	format:
{"custDs rderID"]'T\$vHn/ ":"FOR", timeInFo	pIntrFlag":f "Lr-Z2b: Sa7 9urzTz}'ei@j "orderKeyDat prce":	alse,"nbbPrice":163 ESCaw5Q ~26uzts/Boo Di^c6n01BCp","firm e":1581544551385380	35324968.99965572,"symbol":"DVCR","or S{x ROEID":"20200213_4226184787006789632" 3800,"menuellag":false.usplayProc	erlype':'Cog','hoboSource':'NwC','info@arlerLD':'NwL;27;vUBUNET-ykC','senderLHLD':'914','routed0 'type':'NEO4', 'manwalorderKeyOsta':'LOBI007151100758.000000711','staDiplayDof':A','tradingiesion 187371188.80791865,'prica':427355140.83857811,'recelverNHD':'NMSC:COL','effilisterleg':false,'
OrderTyp ah*R~x1	"#ISE, GIT :" "e":["MY ORDE ',"side":"SS" "Ge9(F](.vinT	R TYPE A","ATS_ORDE "quantity":3658836 .kC=#\\"."seaNum":"	0800725","GTD :20200215,"GTC :Hales," ER_TYPE_1"],"manualOrderID":"02_8pbt& 044932.955933,"nboPrice":4656218903.7 "dOObgC1vig8XI27mX9x5w0W8pIUZadoAiD00	1X:'Hals,'LC':'true, 'LAY':2020011, 'LOY':Halse,'eventinestamp':'20200213/110-603.0000003/1';'ats 0/\Y'0'02697099':detty:YxxxX)JE[((ng)'9)'80x 488483,'order1D':'-4092101):c''40:00710?/4'Ygt/=D1T:p)\\

2. Click Repair.



The repair will be added to the list of Pending Submissions. Once all desired repairs have been entered, proceed to the Pending Submissions page to review and submit the repairs. REPAIRS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY. See §7.2.2 Manage Pending Submissions for details.

6.5 Group Repair

The Portal allows users to initiate a repair to a group of rejected records in certain circumstances. This page can only be accessed by selecting the Group Repair link from the Error Summary page. See <u>§6.1</u> <u>Error Summary</u> for details.

Group Repair Eligibility

An event is eligible for group repair when ALL of the following are true:

- The event has only <u>one</u> associated error.
- The error exists in:
 - Any field where the Data Type is Choice or Boolean and the error is for a missing or invalid field <u>OR</u>
 - Any field containing a Symbol or IMID OR
 - o Any field relating to Destination, Sender/Receiver IMID, Symbol, or Session
- The record is in an "Unrepaired" status.

To initiate a group repair:

1. Provide the Corrected Value.

ng E	rror Corrections						
	Error Summary	Error Search	Group Repair				
lons	Group Repair						
- CAT	Error Code	Error Reason	Err	or Count	Corrected Value*		
ing ships	2011	Invalid CATReporterIM	1ID 1		ATDAX 👻	REPAIR CANCE	L
ter							

2. Click Repair.

Report to CAT	Group Repair				
몲	Error Code	Error Reason	Error Count	Corrected Value*	
Reporting Relationships	2011	Invalid CATReporterIMID	1	ATDAX 👻	REPAIR CANCEL
ATS Order Types					

The repairs will be added to the list of Pending Submissions. Once all desired repairs have been entered, proceed to the Pending Submissions page to review and submit the repairs. REPAIRS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY. See §7.2.2 Manage Pending Submissions for details.

7 Report to CAT

7.1 Upload Data to CAT

7.1.1 File Processing

Data files uploaded to CAT via the Portal are processed in four distinct phases:



1. File Acknowledgement

Prior to uploading files via the Portal, CAT validates that:

- Each file name is in the defined format.
- Each file is individually compressed using BZip2.
- Each file is less than 1GB in size.
- The Submitter ID of each file is that of the logged-in user's organization.
- The entire submission does not exceed 10 files or 5GB.

Failure to meet the specified requirements prevents the user from uploading the file via the Portal.

Once a file is successfully uploaded, the file is processed through the following phases, with feedback being provided via the Portal at each stage. See <u>Download Feedback File</u> below for details on retrieving feedback via the Portal.

2. File Integrity

After the file has been uploaded via the Portal, CAT performs additional file-level validations. Failure to meet the specified requirements results in the rejection of the file. See **Appendix E: E.1 File Integrity Errors** in the CAT <u>Industry Member Technical Specifications</u> for a comprehensive list of file integrity validations.

3. Data Ingestion

For each file that passes file integrity validations, CAT performs record-level validations. Failure to meet the specified requirements results in the record being rejected. See **Appendix E: E.2 Data Ingestion Errors** in the CAT <u>Industry Member Technical Specifications</u> for a comprehensive list of data ingestion validations.

4. Linkage Discovery⁸

For each record that passes data ingestion validations, CAT performs comparisons to identify duplicate, out-of-sequence, and unlinked events. See **Appendix E: E.3 Linkage Discovery Errors** in the CAT Industry Member Technical Specifications for a comprehensive list of linkage discovery validations.

7.1.2 Upload Data File

Entitled users may provide CAT data via the Portal by manually uploading data and metadata files. The following information provides details on how to upload and submit files via the Portal. For details on the expected format and content of the files, see the CAT <u>Industry Member Technical Specifications</u>.

A single submission may not exceed 10 files or 5GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To <u>upload</u> one or more data files:

⁸ Linkage discovery will be implemented at a later time.

1. Select **Report to CAT > File Upload**.

CAT R	leporter l		2:30 PM EST 2/24/2020		Perspe	Reporter	*		θ
Ċ	Report to	o CAT							
Reporting Feedback	File	e Upload	Download Feedback	Create CAT	Events	Pending Submissions			
Error Corrections		💩 Dra	ag and drop files here or brows		File Re File Nar	quirements ing Convention			
Report to CAT	Tota	1 (0)	0.00 1	(B of 5.00 GB	• M D • D	etadata File Name : <cat submit<br="">te>_[<group>_]<file kind="">_<file ta File Name : <cat id<br="" submitter="">te>_[<group>_]<file kind="">_<file< th=""><th>ter ID>_<cat in<br="" reporter="">Number>.meta[.File Inst >>_<cat imid="" reporter="">_ Number>[.File Instructio</cat></cat></th><th>IID>_<file generation<br="">ruction].<format extension=""> <file generation<br="">n].<format extension="">.</format></file></format></file></th><th></th></file<></file></group></cat></file </file></group></cat>	ter ID>_ <cat in<br="" reporter="">Number>.meta[.File Inst >>_<cat imid="" reporter="">_ Number>[.File Instructio</cat></cat>	IID>_ <file generation<br="">ruction].<format extension=""> <file generation<br="">n].<format extension="">.</format></file></format></file>	
Relationships		n na	Clear All	Submit	· • // *	ompression Extension> ta files must be submitted prior to aporting an behalf of another fin	to or at the same time as m, the CAT Re	the Metadata file submission	سريد

2. Drag-and-drop or use the **browse** functionality to select the desired file(s).

CAT R	eporter Portal	Perspective Reporter
Reporting Feedback	Report to CAT File Upload Download Feedback Create CAT	File Requirements File Naming Convention • Metadata File Name : <cat id="" submitter="">_<cat imid="" reporter="">_<file generation<="" td=""> • Deta{COUP_}_ICHIE Ninds_File Number_meta[File Instruction] • DistICHINGROUP_ICHIE Number_meta[File Instruction]</file></cat></cat>
AFD CHINA	Total (0) Clear All Submit	Old a rie namie. "Ach i source INO-"CoA Reporter IND-"C-Vie Generation Deta-(activup-)-[File KindsFile Instruction]-(-Comatic-Internations, -Compression Extension Out if lies must be source from, the CAT Reporting Agent must be authorized to submit data on behalf of another film, the CAT Reporting Agent must be authorized to submit data on behalf of the CAT Reporter IMID via a reporting relationship in the CAT Reporter Portal Format All files for submission must be in json or car format Data files must be submitted uncompressed to bz2 format before submission Metadata files are limited to maximum uncompressed size of 1GB with a record limit of 100,000 records per file Maximum of 10 files per submission with a total size of 5GB * For additional information refer to section 6 of the CAT Reporting Technical Specifications for Industry Members
	FINTE CAT	catnmsplan.com

3. When all desired files have been selected, or when the upload limit has been reached, click Submit.

If any file acknowledgment errors are found, the corresponding error messages are displayed. Correct the error(s) and follow the steps above to upload the corrected file(s). See <u>File Upload Specifications</u> above for the list of file acknowledgement validations.

Once the files are successfully uploaded, each file goes through file integrity validation and data ingestion. Users may access any corresponding feedback via the Download Feedback File functionality.

7.1.3 Download Feedback File

Entitled users may download file feedback via the Portal. Feedback may only be downloaded for data files that were uploaded via the Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

Feedback files include:

File Extension	Description				
.integrity	Provides metadata about the file and indicates the success or failure of data				
	integrity validations for the file. If data integrity validation failed, each error is				
	provided, identified by an Error Code. See Appendix E: E.1 File Integrity				
	Errors in the CAT Industry Member Technical Specifications for a list of file				
	integrity validations, including the corresponding Error Codes.				
.ingestion	Provides metadata about the file and indicates the success or failure of data				
	ingestion validations for the file. If data ingestion validation failed, a				
	corresponding .ingestion.error file will exist.				
.ingestion.error	Provides the list of data ingestion errors for the file, identified by an Error Code.				
	See Appendix E: E.2 Data Ingestion Errors in the CAT Industry Member				
	Technical Specifications for a list of data ingestion validations, including the				
	corresponding Error Codes.				

To download a feedback file:

1. Select **Report to CAT > Download Feedback**.

CAT Repo	Drter Portal 12:38 PM EST 02/24/2020	Perspective Reporter	¥	θ
Reporting Re	eport to CAT			
Freedback	File Upload Download	d Feedback Create CAT Events Pending Submissio	ns	
Corrections	Feedback Time	File Name	Download	
Report to CAT	Feb 19, 2020 18:59:17	7059_AUTO_20200219_catweb_OrderEvents_048053.ingestion.csv		*
문금 Reporting	Feb 19, 2020 18:58:53	7059_AUTO_20200219_catweb_OrderEvents_048053.integrity.csv	٨	- 11
Relationships	Feb 19, 2020 18:25:48	7059_AUT0_20200219_catweb_OrderEvents_047485.ingestion.csv	&	- 11
ATS Order Types	Feb 19, 2020 18:25:47	7059_AUTO_20200219_catweb_OrderEvents_047485.ingestion.error.csv.bz	2	mm

2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT Re	porter Portal	12:38 PM EST 02/24/2020	Pers	Reporter	·		θ
Reporting	Report to CAT						
Error	File Upload	Download Feedback	Create CAT Events	Pending Submissions			
Corrections	Feedback Time	File Nar	ne		Down	load	
Report to CAT	Feb 19, 2020 18:59:17	7059_A	UTO_20200219_catweb_OrderEver	nts_048053.ingestion.csv	۵		-
문동 Reporting	Feb 19, 2020 18:58:53	7059_A	7059_AUTO_20200219_catweb_OrderEvents_048053.integrity.csv				- 1
Relationships	Feb 19, 2020 18:25:48	7059_A	UTO_20200219_catweb_OrderEver	nts_047485.ingestion.csv	A		- 1
ATS Order Types	Feb 19, 2020 18:25:47	7059_A	UT0_20200219_catweb_OrderEver	nts_047485.ingestion.error.csv.bz2	~~~~	- norther	m

3. Click ^Δ to download the corresponding file. Download the feedback file using the internet browser functionality. Each feedback file is provided in a format corresponding to the uploaded format (CSV or JSON).

CAT Re	eporter Portal	12:38 PM EST 02/24/2020	Pers	pective Reporter	•	θ
Reporting	Report to CAT					
Error	File Upload	Download Feedback	Create CAT Events	Pending Submissions		
Corrections	Feedback Time	File Nar	ne		Download	
Report to CAT	Feb 19, 2020 18:59:17	7059_A	UT0_20200219_catweb_OrderEven	ts_048053.ingestion.csv		A
문 Beporting	Feb 19, 2020 18:58:53	7059_A	UT0_20200219_catweb_OrderEven	ts_048053.integrity.csv	A	
Relationships	Feb 19, 2020 18:25:48	7059_A	UTO_20200219_catweb_OrderEven	ts_047485.ingestion.csv	۵	
ATS Order Types	Feb 19, 2020 18:25:47	7059_A	UT0_20200219_catweb_OrderEven	its_047485.ingestion.error.csv.bz2	ma -	from the the

7.2 Manually Report Data to CAT

The Portal allows users to manually generate events by using a data entry screen to provide the event information. Manual submission of a new event via the portal is a two-step process. The user must first *create* the event and then *submit* it, as shown in the following diagram.



7.2.1 Create CAT Event

The Portal allows users to manually report data to CAT using the Create CAT Event screen.

To create an order event:

1. Select **Report to CAT > Create CAT Events**.

CAT Reporter Portal	12/19 PM EST Perspective Reporter
Reporting Feedback	
File Upload	Download Feedback Create CAT Events Pending Submissions
actionarype	2 errorROEID 3 firmROEID 4 type
Reporting Redutionariators ATS offer Types	ID CREATE

2. Enter the primary event details and click **Create**.

CAT Re	porter Portal 12:51 PM EST 02/24/2020		Perspective Reporter +	9
Reporting	Report to CAT			
Error	File Upload Download Feedback	Create CAT Events	Pending Submissions	
Corrections	actionType 2 errorROEID	3 firmROEID	4 type	
Report to CAT	S CATReporterIMID	12345	New Order Event (MENO)	•
ATS Order Types				

Prior to entering the full details of the event, basic event information must be provided, including:

- Action Type: The type of event being created. This includes: New (NEW), Correct (COR), Delete (DEL), or Repair (RPR)
- Error ROE ID: The CAT-assigned unique identifier for an error record. This field is required only when Action Type is "Repair". Either this field or Firm ROE ID is required when Action Type is "Delete".
- **Firm ROE ID:** The CAT Reporter-assigned unique identifier for the event. Either this field or Error ROE ID is required when Action Type is "Delete".
- **Type:** The type of event.
- Reporter IMID: The CAT Reporter-IMID for the event. Note that available IMIDs depend on the selected data perspective. For details, see <u>§4 Data Perspectives</u>. IMIDs are available for up to 90 days after expiration.
- 3. Provide additional details for the event.

CAT R	eporter Portal 12:53 PM EST 02/24/2020	Perspective Reporter +	θ
Reporting	Report to CAT		Í
Error	File Upload Download Feedba	ck Create CAT Events Pending Submissions	
Corrections	actionType 2 errorROEID	3 firmROEID 4 type	
Report to CAT	NEW ¥	12345 New Order Event (MENO)	·
Reporting Relationships	CATReporterIMID ATDAX CRFATE		
ATS Order Types	ADDAY OF CREATE CARGENERS AND ADDA ADDA ADDA ADDA ADDA ADDA ADDA	Image: Symbol * Ima	CANCEL SUBMIT
	FINFACAT		catnmsplan.com

Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validations are performed, ensuring that the data provided meets the format requirements for each field. This includes checking for allowable values, required fields, data types, field lengths, and invalid characters. See the Industry Member Technical Specifications for details on each event type.

4. Click Submit.

The event will be added to the list of Pending Submissions. Once all desired events have been entered, proceed to the Pending Submissions page to review and submit the events. EVENTS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY. See §7.2.2 Manage Pending Submissions for details.

7.2.2 Manage Pending Submissions

All repair and event records initiated by the organization via the Portal are collected in Pending Submissions. This includes all records created via Error Repair, Group Repair, and Create CAT Event functionality. Note that records created by a submitter on behalf of the organization cannot be viewed in Pending Submissions for the organization.

ALL RECORDS AND EVENTS INITIATED VIA THE PORTAL MUST BE FULLY SUBMITTED VIA PENDING SUBMISSIONS BEFORE BEING PROCESSED BY CAT. RECORDS ARE AVAILABLE VIA PENDING SUBMISSION FOR 30 CALENDAR DAYS FROM THE DATE OF CREATION.

To view pending submissions:

1. Select **Report to CAT > Pending Submissions**.



2. Optionally select a data perspective. (See <u>§4 Data Perspectives</u> for details.)

CAT R	eporter Portal	1:00 PM EST 02/24/2020		Perspective Reporter	•		θ
Reporting	Report to CAT						
Feedback	File Upload	Download Feedbac	k Create CAT Events	Pending Submissions			
Corrections	Creating and submit the p submission	d repairing CAT events via the bending events from this page process is complete, events ar	Reporter Portal is a two-step pro to CAT for processing, Users wil e no longer available for Downlo	cess. First, users must create new be given the option to download : ad.	CAT events or repair er submitted files during t	rror records. Second, the submission proce	users must ss. After the
Reporting Relationships	Pending sub	missions (4)					
È	Delete	Type Error ROE I	D Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
ATS Order Typ	max man	RPR	0850	-ATDAX	#Uhh(8Xf7-P-16	many a	maria

3. Review the list of pending submissions.

File Uplo	ad Dow	nload Feedback	Create CAT Events	Pending Submissio	ins		
Creat	ng and repairing C	AT events via the Reporter	Portal is a two-step pro	cess. First, users must create	new CAT events or rep	air error records. Sec	ond, users must
subm	t the pending even Ission process is co	its from this page to CAT fo omplete, events are no long	or processing. Users will ger available for Downlo	be given the option to downl ad.	load submitted files du	iring the submission p	rocess. After the
Pending	submissions	(4)					
Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6		
×			20200212 4104	CBLC	T}To'}a#k(oaMfv		
×	RPR	9407342000850	20200213_4100	0000	.,,		
× × ×	RPR RPR	9407342000850 9407342000850	20200213_4100	CBLC	g[hVOKZ&~bThy		
× × × ×	RPR RPR RPR	9407342000850 9407342000850 9407342000850	20200213_4100 20200213_8024 20200213_1673	CBLC	g[hVOKZ&~bThy `]y#Vb;VZJ+&_w		

From this page, the user may edit, submit and download, delete, or export records. Once a pending record has been submitted or deleted, it will no longer be available in the Pending Submissions list.

4. To edit a pending record, click the Type hyperlink to open the CAT Event screen and make any necessary changes.

	Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
ler	×	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6		
	×	RPR	9407342000850	20200213_4186	CBLC	T}To}a#k(oaMfv		
	×	RPR	9407342000850	20200213_8024	CBLC	g[hVOKZ&~bThy		
	×	RPR	9407342000850	20200213_1673	CBLC	`]y#Vb;VZJ+&_w		

5. To submit pending records, click Submit. All currently displayed records will be submitted.

Reporting Relationships	Pendin	g submissions	(4)					
È	Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
ATS Order Types	×	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6		
	×	RPR	9407342000850	20200213_4186	CBLC	T}To'}a#k(oaMfv		
	×	RPR	9407342000850	20200213_8024	CBLC	g[hVOKZ&~bThy		
	×	RPR	9407342000850	20200213_1673	CBLC	`]y#Vb;VZJ+&_w		
	4		F 4		_) •
								SUBMIT

a. Click Confirm.

t to CAT		17.00					gootero
움 📕	×	RPR	41206	Event Submissio	n	n!yoSQ	
rting nships	×	RPR	41206			:AdS{2	
	×	RPR	41206	This action will submit selected pending events	to CAT for processing.	.N9%t8	
pes	×	RPR	41206	During submission, you will be given the optior resulting files for your records. If you decline th the data will no longer be available for downloa	n to download the ne option at that time, ad.	7-Pa_'6	
					IRM		

.....

b. Review the results of the submission.

	Penuings	ഡംപം					
Report to CAT	Delete	Туре	Error BOE	D Eirm DOE ID OVT. Reporter IMID Order II	•	Trade ID	Quote ID
몲	×	RPR	41206	Event Submission	i!yoSQ		
Reporting Relationships	×	RPR	41206		AdS{2		
E I	×	RPR	41206	4 Records have been submitted to CAT.	.N9%18		
ATS Order Types	×	RPR	41206	4 Files were created.	7-Pa_'6		
	~~~~~			To download the files, click Download button below.			A

CAT presents a confirmation message and indicates if any errors were encountered that prevented submission of one or more selected record. Records that were not able to be submitted remain on the Pending Submission list for further action.

- c. To <u>download</u> the submitted records, click **Download**. Download the generated file(s) using the internet browser functionality. All selected records will be downloaded in a format that matches the machine-to-machine file submission format. A maximum of 10,000 records may be downloaded at one time.
- d. Click Close.
- 6. To <u>delete</u> a pending record, click × and click **Delete**. The records is removed from pending submission and deleted from the system.

File Upload	Download Feedbac	k Create CAT Events	Pending Submissions			
Creating and	repairing CAT events via the i	Reporter Portal is a two-step proc	ess. First, users must create new C	AT events or re	pair error records. Sec	cond, users mus
submit the persistent	nding events from this page rocess is complete, events an	to CAT for processing, Users will b a no longer available for Downloa	d.			process. After th
		Delete Pe	ending Event			
Pending subm	issions (1)					
Delete T	ype Error ROE I	Note: This action only deletes t it from being submitted to CAT	the selected record and prevents T. To delete a previously submitted	ler ID	Trade ID	Quote ID
×	PR 412066103	event, you must create and sub	bmit a DEL event.	C·O{kEw{a·n~		
$\sim$		CANCEL				

 To <u>export</u> pending records, click *Export*. Download the generated CSV file using the internet browser functionality.

File U	Hie Opioad Download Feedback Create CAT Events Pending Submissions								
G Sub	ating and repairing mit the pending eve	CAT events via the Reporter	Portal is a two-step pro	cess. First, users must creat be given the option to down	e new CAT events or n aload submitted files o	epair error records. Se Juring the submission	cond, users must		
sub	mission process is o	complete, events are no lon	ger available for Downlo	ad.					
Pendin	g submission:	5 (4)					<b>≜</b> Exp		
Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID		
×	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6.				

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# 8 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 <u>optional</u> 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.

# 8.1 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.⁹ 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.

⁹ A Third-Party Reporting Agent may initiate corrections; however, unless the Third-Party Reporting Agent also has a relationship with the CAT Reporter IMID as a Submitter, it may not submit the corrections.

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

CAT	Submitter	Third-Party	Permissions
Reporter		Reporting	
IMID		Agent	
ABCD	123		<b>123</b> can transmit data and view corresponding feedback on behalf of <b>999/ABCD</b> .
ABCD	123	456	<ul> <li>123 can transmit data and view corresponding feedback on behalf of 999/ABCD. 456 may <u>optionally</u> be identified as the Third-Party Reporting Agent.</li> <li>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.</li> </ul>
ABCD	456		<b>456</b> can transmit data and view corresponding feedback on behalf of <b>999/ABCD</b> .

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.

# 8.2 Reporting Relationship Fields, Rules, and Validations

Each CAT Reporting Relationship includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT	The SRO-assigned	Yes	Dropdown	Selection includes all IMIDs
Reporter	identifier ¹⁰ that a Firm		Selection	for the CAT Reporter, per
IMID	uses to report information			the IMID List.
	to CAT.			
Submitter	The CRD Number for the	Yes	Dropdown	Must not be the CRD
	CAT Reporting		Selection	Number of the CAT
	Agent/Submitter.			Reporter, unless a Third-
				Party Reporting Agent is
				also identified. 11
				Must not be the same as the
				Third-Party Reporting Agent.
Third-Party	The CRD Number for the	No	Dropdown	Must not be the CRD
Reporting	Third-Party Reporting		Selection	Number of the CAT
Agent	Agent.			Reporter.
				Must not be the same as the
				Submitter.
Effective	The first date on which	Yes	Date	Must be on or after the
Date	the Reporting		(MM/DD/YYYY)	current date.
	Relationship is available			
	for submitting and			
	managing data.			
Expiration	The last date on which	No	Date	Must be on or after the
Date	the Reporting		(MM/DD/YYYY)	Effective Date.
	Relationship is available			Must be on or after the
	for submitting and			current date
	managing data.			

¹⁰ Examples of SRO-assigned identifiers include FINRA MPIDs, Nasdaq MPIDs, NYSE Mnemonics, CBOE User Acronyms, and CHX Acronyms.

¹¹ 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.

#### 8.3 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 <u>one or two</u> 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.¹²
- E. The same Submitter ID and Third-Party Reporting Agent ID but a different CAT Reporter IMID.
- F. The same CAT Reporter IMID <u>and</u> Third-Party Reporting Agent but a different Submitter ID.

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

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.

¹² 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.

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

# 8.4 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 Rep	orting Relati	onships							Add N	ew Exp
Reporter	View								_	
CAT Repor	ter Submitter	Third-Party Reporting Agent	Effectiv Date	e Expirat Date	ion (	Created By	Created On	Updat	ed By	Updated On
BDQ	10		10/25/20	19	p	oortalimadmin	10/17/20 15:42:59	19 portalir	nadmin	10/17/2019 15:42:59
CBLC	7059	7560	10/17/20	19	p	oortalimuser	10/17/20 15:20:48	19 portalir	nuser	10/17/2019 15:20:48
										Exp
Submitte	r/Third-Party Vi	ew							Undate	d Unda
Submitter	r/Third-Party Vi Third-Party Repo Agent	ew rting CAT Reporter IMID	Firm	Effective Date	Expiratio Date	on Crea By	ted (	Created On	By	o Opua On

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 <u>filter</u> a list, click **T** for any column and make one or more selections.
- 4. To **sort** a list, click any Column Header to sort by that column.

5. 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.

Π	raca	CAT Rep	orter Port	tal				Reporte	r Portal IM Ad	lmin (portal	imadmin) 🔒
	CAT Rep	orting Relati	onships							Add Ne	w Export
	Reporter \	/iew									
σ	CAT Report IMID	er Submitter	Third-Party R Agent	eporting Effect Date	ive	Expiration Date	Created B	Create On	ed Upda	ted By	Jpdated Dn
15	BDQ	10		10/25/	2019		portalimadn	in 10/17/2 15:42:5	2019 59 portali	madmin	10/17/2019
	CBLC	7059	7560	10/17/	2019		portalimuse	10/17/2 15:20:4	2019 portali 48	muser .	10/17/2019
	Submitter,	/Third-Party Vi	ew								Export
	Submitter	Third-Party Repo Agent	rting CAT IMID	Reporter Firm	Effecti Date	ve Expira Date	tion C E	reated y	Created On	Updated By	l Updated On
					4014710			stolimusor	10/17/2019		10/17/201

Download the generated CSV file using the internet browser functionality.

Ę.	a :	5	¢	•				Reporting	gRelation	iships2019	_10_18 - E	cel	~					Ð	- 1	•/	×
F	ile	Hon	ne	Insert	Page Layout	Formulas	Data	Review	View	🖓 Tel	I me what	you	want to do					Broe, I	.isa 🎖	우 Shar	e
Pas	te	-	Arial B	- ₈	A /	. = =		& •	<b>₽</b>	General \$ - % •.0 .00 .00 .00	• 5 9		Conditional Forma Format as Table * Cell Styles *	itting *	Por Por	ert - ete - mat -	∑ - ↓- ,	A Z Sort & Filter *	Find & Select *		
C	ipboard	- 6		Font		5	Alignr	ment	5	Numbe	er G		Styles		Cel	ls		Editing			^
I23		Ŧ		$\times \checkmark$	fx																Y
1 2 3 4 5 6 7	Created Created CAT Rep	A By: por On: 10	rtalimac /18/20 MID	B Imin 19 07:42:35 CAT Submitter I	C C	D Nam Third Party	v Id Tr	E	Effectiv	F	G Expiration D	Date	H Created By	Created	I	Updated	J	Updated	K On		
8 9 10 11 12 13 14	BDQ CBLC	Rep	ortin	70 aRelationsh	10 159	10 7059	7560	756	10	10/25/2019 10/17/2019			portalimadmin portalimuser	10/17/	2019 15:4	portalim portalim	admin user	10/17	/2019 3:4:	2	
Read	y 🛅																J	- 1		+ 1009	16

### 8.5 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.

	CAT Rep	orting Rela	tionsh	ips							$\left( \right)$	Add N	ew Exp	port
	Reporter	View											C	
ŧΤ	CAT Report	ter Submitte	Third- Agent	Party Reporting	Effectiv Date	ve Expira Date	tion	Created E	By Cre On	ated	Update	ed By	Updated On	
	BDQ	10			10/25/20	019		portalimad	min 10/	7/2019	portalim	nadmin	10/17/2019	
25									10.4	2.09			10.42.00	_
25	CBLC	7059	7560		10/17/2	019		portalimus	er 10/- 15:3	2:59 7/2019 0:48	portalim	nuser	10/17/2019 15:20:48	
	CBLC Submitter	7059 /Third-Party '	7560 /iew orting	CAT Reporter	10/17/20	Effective	Expira	portalimus	er 10/- 15:2	2:59 7/2019 0:48 Crea	portalim	Update	10/17/2019 15:20:48 Exp d Upda	port

2. Enter the details for the relationship. See <u>Reporting Relationship Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations</u>.

CAT Repo	orting Rela	,,,				Add Ne	ew Expo
Reporter V	/iew	Reporting Relationships must be established between Industry Members and C reporting firms are not required or able to establish a reporting relationship with	AT Reporting Agents only. S themselves.	elf-			
CAT Report IMID	er Submitte	CAT Reporter IMID * BDP	•	0	ad Upd	ated By	Updated On
BDQ	10	Submitter * 73 -		0	2019 59 porta	limadmin	10/17/2019 15:42:59
CBLC	7059	Contact your CAT Reporting Agent to verify the Submitter's Org ID Third-Party Reporting Agent (Optional)		0	2019 48 porta	limuser	10/17/2019 15:20:48
Submitter/	'Third-Party	Effective Date *					Expo
Submitter	Third-Party Re Agent	Expiration Date (Optional)	Ē		Created On	Updated By	d Updati On
7059	7560				10/17/2019 15:20:48	portalimu	iser 10/17/

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

1	CAT Rep	orting Relati	onships						Add Ne	w Expo
	Reporter \	/iew								
	CAT Report IMID	er Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Create On	d Upda	ted By	Updated On
	BDP	73	10	10/25/2019	9	portalimadm	n 10/18/2 07:50:2	019 portali 4	madmin (	10/18/2019 07:50:24
	BDQ	10		10/25/2019	9	portalimadm	n 10/17/2 15:42:5	019 9 portali	madmin	10/17/2019 15:42:59
	CBLC	7059	7560	10/17/2019	9	portalimuser	10/17/2 15:20:4	019 8 portali	muser	10/17/2019 15:20:48

#### 8.6 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 r for the relationship on the *Reporter View* list.

(	CAT Rep	orting Relat	ionships					A	dd New Ex	port
1	Reporter \	/iew								
	CAT Report IMID	er Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated B	Updated y On	
	BDP	73	10	10/25/2019		portalimadmin	10/18/2019 07:50:24	9 portalimadm	10/18/2019 07:50:24	(
	BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	9 portalimadm	10/17/2019 15:42:59	
	CBLC	7059	7560	10/17/2019		portalimuser	10/17/201 15:20:48	9 portalimuse	10/17/2019 15:20:48	

2. Make the desired update(s). See <u>Reporting Relationship Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations</u>.

CAT Repo	rting Rela	Edit Reporting Relationship		×		Add Ne	ew Export
Reporter Vi	ew	CAT Reporter IMID *		_			
CAT Reporter	Submitte	BDP	*	0	d Upda	ited By	Updated On
BDP	73	Submitter * 73 –	*	0	019 4 portal	imadmin	10/18/2019 07:50:24
BDQ	10	Context your CAT Reporting Agent to verify the Submitter's Org ID Third-Party Reporting Agent (Optional) 10 -	*	0	019 9 portal	imadmin	10/17/2019 15:42:59
CBLC	7059	Effective Date *			:019 I8 portal	Imuser	10/17/2019 15:20:48
_	_	10/25/2019	۲			-	_
Submitter/	Third-Party	Expiration Date (Optional)		]			Export
Submitter	Third-Party Re Agent	Cancel	Upo	date	Created On	Updated By	d Updated On
7059	7560	CBLC 7059 10/17/2019	DC	ortalimuser	10/17/2019	portalimu	10/17/20

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

CAT Rep	orting Relat	ionships						dd New E	kport
Reporter \	/iew						_		
CAT Report IMID	er Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated E	Updated By On	
BDP	73	10	10/25/2019	12/31/2019	portalimadmin	10/18/2019 07:50:24	9 portalimadr	nin 10/18/2019 07:54:46	
BDQ	10		10/25/2019		portalimadmin	10/17/2019 15:42:59	9 portalimadr	nin 10/17/2019 15:42:59	
CBLC	7059	7560	10/17/2019		portalimuser	10/17/201 15:20:48	9 portalimuse	r 10/17/2019 r 15:20:48	

# 8.7 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.

# 9 ATS Order Types

The CAT <u>Industry Member Technical Specifications</u> 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.

# 9.1 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.

# 9.2 ATS Order Type Fields, Rules, and Validations

Field	Field Description	Required	Format	Rules/Validations
CAT	The SRO-assigned	Yes	Dropdown	Selection includes all ATS
Reporter	identifier ¹³ that a Firm		Selection	IMIDs for the CAT Reporter,
IMID	uses to report information			per the IMID List.
	to CAT for the ATS.			
ATS Order	The order type that is	Yes	Text	Maximum of 40 characters.
Туре	used when reporting			
	events to CAT.			
Description	The user-provided	Yes	Text	Maximum of 500
	description.			characters.
Effective	The first date on which	Yes	Date	Must be on or after the
Date	the ATS Order Type is		(MM/DD/YYYY)	current date.
	accepted for submission.			

Each ATS Order Type includes the following data:

¹³ 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	The last date on which	No	Date	Must be on or after the
Date	the ATS Order Type is		(MM/DD/YYYY)	Effective Date.
	accepted for submission.			Must be on or after the current date.

#### 9.3 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 <u>one</u> of the two primary data points are not duplicative. Two order types may have the same CAT Reporter IMID <u>or</u> the same ATS Order Type. However, order types with the same IMID <u>and</u> 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.

#### 9.4 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.

FIN	raca	CAT Repor	Reporter Portal IM Admin (portalimadmin)						
G Home	ATS Ord	der Types						Add	New Export
Report to CAT	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
문동 Reporting	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
Readonships	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
Types	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

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

3. To <u>filter</u> the list, click  $\mathbf{T}$  for any column and make one or more selections.

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

FIN	ra ca	CAT Repo	rter Portal				Reporter Port	al IM Admin (por	talimadmin)	θ
G Home	ATS Ord	der Types						Add	New Exp	ort
Report to CAT	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
Reporting	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	1
All Order	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	1
Types	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	/

Download the generated CSV file using the internet browser functionality.

6	1	\$	¢	•						ATS	5_Order_	_Type1	0_18_20	19_08	_28_53 -	Excel			< (7		Δ	– 1	o /×
F	ile	Hor	ne	Inser	t Page I	ayout		ormulas	Data	Re	rview	Vie	w G	Tell	me what y	you v	want to do				Broe,	Lisa 🎾	र्¶ Share
Pas	te	5	Arial B	Ι	• 8 •	A A	Ă A ·		-	&/- •	• •	<b>₽</b>	Gener \$ •.0	ral % .00 .00	• 9	16 19 19	Conditional Form Format as Table Cell Styles ~	natting *	Pormat •	∑ - ↓-	AZ Sort &	Find & Select *	
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2 3 4 5	Created	On: 10	/18/20	19 08:28	:53																		
7	CAT Re	porter II	MID	ATS Ord	er Type	Des	cription		Orden Trans	Effecti	ive Date	Exp	ration Da	te C	Created By		Created On	Updated B	y Updated (	On			
9 10 11 12	CBLC CBLC CBLC			ATS_OR ATS_OR	DER_TYPE_2 DER_TYPE_1	This	is my n is my s is my fi	econd AT rst ATS C	Sorder Type. Sorder type. Order Type.		12/12/20 10/18/20	19		P	ortalimadm ortalimadm	in in	10/18/2019 8:27 10/18/2019 8:26	portalimad portalimad portalimad	min 10/18/20 min 10/18/20	19 8:27 19 8:27 19 8:26	C	2	
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Read	y to	AIS	ora	er_Typ	e10_18_20	19_08	0_28_	(+)									4			···	-		+ 100%

#### 9.5 Add an ATS Order Type

An ATS Order Type must be entered into CAT at least 20 days prior to the effective date.14

#### To <u>add</u> a new ATS Order Type:

1. Click Add New.

¹⁴ 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.

FIΠ	raca	CAT Repo	rter Portal				Reporter Port	al IM Admin (por	talimadmin)	θ
G Home	ATS Or	der Types						Add	New Exp	ort
Report to CAT	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
Reporting	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	1
Relationaritys	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	1
Types	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. Enter the details for the order type. See <u>ATS Order Type Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations.

raca	T CAT Rep	Add New ATS Order Type	x	ter Port	al IM Admin (por	
ATS Or	der Types	CAT Reporter INID *		1	Add	New Ex
CAT Reporter IMID	ATS Order Type	CBLC ATS Order Type * My Order Type A	•	ated	Updated By	Updated On
CBLC	NEW ATS ORDER TYPE	Description *		8/2019 7:27	portalimadmin	10/18/2019 08:27:27
CBLC	ATS_ORDER_TYPE	This is the description for the "My Order Type A" ATS Order Type.	<i>//</i> 65/500	8/2019 7:09	portalimadmin	10/18/2019 08:27:09
CBLC	ATS_ORDER_TYPE	Effective Date * 11/15/2019		8/2019 6:47	portalimadmin	10/18/2019 08:26:47
-		Order Types must be registered at least 20 days prior to being effective.			_	_
		Expiration Date (Optional)				
		Cancel	Save			

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

ATS Ord	der Types						Add	New
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	10/18/201 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

# 9.6 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.

FIN	raca	CAT Repor	rter Portal				Reporter Port	al IM Admin (por	talimadmin)
G Home	ATS Ord	der Types						Add	New Export
Report to CAT	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
Reporting Relationships	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
ATS Order Types	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 <u>ATS Order Type Fields, Rules, and Validations</u> above for details on field requirements, formats, and validations.

ATS Orc	ler Types	CAT Reporter IMID *	_	1	Add	New Expo
CAT Reporter IMID	ATS Order Type	ATS Order Type * NEW ATS ORDER TYPE	Ť	ated	Updated By	Updated On
CBLC	MY ORDER TYPE A	Description * This is my new ATS Order Type.		8/2019 2:59	portalimadmin	10/18/2019 08:32:59
CBLC	NEW ATS ORDER TYPE	Mex 500 characters	30/500	8/2019 7:27	portalimadmin	10/18/2019 08:27:27
CBLC	ATS_ORDER_TYPE	(10/25/2019 Order Types must be registered at least 20 days prior to being effective.		8/2019 7:09	portalimadmin	10/18/2019 08:27:09
CBLC	ATS_ORDER_TYPE	Expiration Date (Optional)	i	8/2019 6:47	portalimadmin	10/18/2019 08:26:47
	CAT Reporter IMID CBLC CBLC CBLC CBLC	TS Order Types       CAT Reporter     ATS Order Type       CBLC     MY ORDER TYPE A       CBLC     NEW ATS ORDER TYPE       CBLC     ATS_ORDER_TYPE       CBLC     ATS_ORDER_TYPE	CAT       CAT Reporter       ATS Order Type         CBLC       ATS Order Type       CBLC         ATS Order Type       ATS Order Type         CBLC       MY ORDER TYPE A         CBLC       NEW ATS ORDER TYPE A         CBLC       ATS_ORDER_TYPE         CBLC       ATS_ORDER_TYPE         Color Types must be registered at least 20 days prior to being effective.         Color Types must be registered at least 20 days prior to being effective.         CBLC       ATS_ORDER_TYPE	ATS Order Types       off Reporter MD*         CAT       ATS Order Type         Reporter       ATS Order Type         MID       ATS Order Type         CBLC       MY ORDER TYPE A         CBLC       NEW ATS ORDER         TYPE       Decryster **         CBLC       ATS_ORDER_TYPE A         CBLC       ATS_ORDER_TYPE         Expiration Date (Optional)	ATS Order Types       off Reporter MD*         CAT       CBLC       •         Reporter       ATS Order Type       •         MMD       ATS Order Type       •         CBLC       MY ORDER TYPE A       Description *         CBLC       NEW ATS ORDER TYPE A       Description *         CBLC       ATS_ORDER_TYPE       Ø000 Otwences       00000         CBLC       ATS_ORDER_TYPE       Drode Types must be registered at least 20 days prior to being effective.       82019         CBLC       ATS_ORDER_TYPE       Explication Date (Optional)       ©       82019	CAT       C

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

FIN	raca	CAT Repo	ter Portal				Reporter Port	al IM Admin (por	talimaamın) 🙁
fd Home	ATS Ord	der Types						Add	New Export
Report to CAT	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
Reporting Relationships	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
ATS Order Types	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

#### 9.7 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.

# **10** Administrative Information

The Portal provides access to announcements and system health information for all users.

#### **10.1** Announcements

#### To view announcements:

1. Click  $\triangle$ . The most recent announcements are displayed.

CAT Re	porter Portal 12:38 PM EST 02/28/2020	Perspective Reporter •	e
Reporting	Reporting Feedback		
Error	Reporting Summary Event Type Counts File Status		
Corrections	e e e		

2. To <u>view more details</u> for an announcement or <u>view additional announcements</u>, click ...more or See All Announcements

							System Status: NORMAL
Rep	porting Feedback						CAT Announcements
-	Reporting Summary  Processing Date  Z/27/2020  Adjusted Error Rate	Event Type Counts Trade Date Product Type  ALL  1.6550%	File Statu	IMD ALL V	APPLY	T	Exchange Route Match for February 25, 2020 Exchange Route Match Statistics for February 25, 2020 Exchange Route Match Statistics for February 25, 2020 Exchange and COOL 25 Cochange.     Exchange and COOL 25 Cochange.     Reminder - Final Weekend Testing     Opercruity - NYSE Change Pillar Migration     NYSE is providing the final weekend Testing     Chicago Pillar Technology. Migration on March 12, 2020. Ger elabet MYSE Trader.     Exchange Route Match for February 22, 2020 Exchange Route Match statistics for February 22, 2020 Exchange Route Match for February 22, 2020 Exchange. Route Match for February 22, 2020 Exchange. Route Match for February 22, 2020 Exchange. Route Batch Route Revision
	File Submissions	Valid Files	Data Files	Data Files	Data Files	Metadata Files	See All Announcements

3. Review the full CAT Announcements page.

CAT Repo	rter Portal	Perspective	Reporter	*	<b>e</b> A			
Reporting CA	T Announcements							
Feedback	Category All *				C < Showing 1 to 5 of 322 Announcements >>>			
Reporting Relationships ATS Order Types	System Announcement     2020-02-28 08:58:18     Exchange Route Match for February 25, 2020     Exchange Route Match statistics for February 25, 2020 are now available except for CBOE EDGA Exchange and CBOE BZX Exchange.     If you have any concerns regarding this matter, please contact the CAT Help Desk at 800-321-6273.							
	Hot Topics 2020-02-26 09:22:12 Reminder - Final Weekend Testing Opportunity - NYSE Chicago Pillar Migration NYSE is providing the final weekend testing opportunity with OATS support for the NYSE Chicago Pillar Technology Migration on October 12:2019. See related NYSE Trader Update. Firms participating in this weekend's testing may send related OATS data to the OATS Certification Testing (CT) Environment before the following Monday's OATS reporting deadline. OATS will then attempt to mach to the NYSE test data. Matching statistics for the weekend test will be provided to firms upon request and will not be published to the OATS Certification Testing (CT) Environment before the following Monday's OATS reporting deadline. OATS will then attempt to the OATS Report thilde "FilMs Register Deithed Test Schange Route Matching" for OATs reporting guidance for routes to NYSE Chicago on the Pillar Gateway (Destination Code of '3M'), Please refer to https://www.nyse.com/pillar for guidance on reporting to the NYSE Pillar. If you have any questions regarding this matter, please call 1-800-321-6273.							
	System Announcement	- And a	~~~~~	~ ~~	2020-02-25 06:20:19			

4. To <u>filter</u> the list of announcements, select a specific Category.

CAT Reporter Portal	Perspective Reporter
Reporting CAT Announcements	
Category Corrections Report to CAT	≪ < Showing 1 to 5 of 322 Announcements >>>
System incement	

By default, all announcements are displayed. To display announcements for a particular category only, select the Category from the dropdown.

#### 10.2 System Status

The system status provides an indication of the current state of the CAT Reporter Portal. The status is indicated as one of the following:

**GREEN**, indicating that the CAT Reporter Portal performance is as expected and is not currently experiencing any issues or delays.

AMBER, indicating that the CAT Reporter Portal may be experiencing minor issues or slowness.

#### To view the current system status:

1. Click  $\triangle$ .

CAT Reporter Portal 12:88 PM EST 02/28/2020			Perspective Report	er 👻	e		
	Reporting Feedback	Reporting Feedback					
	Brror	Reporting Summary E	vent Type Counts	File Status			
L	Corrections	· · · ·					

2. View the system status.

