

FINRA CAT Open Issues List – Last Updated 3/12/2020

| # | Status | Error Code | Summary | Resolution | Priority | Targeted Release Date | Area |
|---|--------|------------|---|--------------|----------|-----------------------|---------------------------------|
| 1 | Open | Multiple | FINRA CAT is accepting the following scenario instead of rejecting - Future dates in some fields. | Code Release | Low | To be Scheduled | Validations |
| 2 | Open | 2133 | For Name/Value Pair Data type fields, providing a value that is not in allowable values list returns error code 2133 (Additional Field) instead of error code 2101 (Missing or Invalid <i>timeInForce</i>) | Code Release | Low | To be Scheduled | Validations |
| 3 | Open | 2122 | Incorrect error code is generated when an array field (eg: clientDetails) is provided as a Name/Value pair. | Code Release | Low | To be Scheduled | Validations |
| 4 | Open | 2142 | Space in multi-dimensional array field not treated as blank. For E.g space in aggregatedOrders when representativeInd is populated as 'YF', 'YE' or 'N' - Rejecting as Invalid aggregatedOrders. | Code Release | Medium | 3/23/20 | Validations |
| 5 | Open | 2153 | Isolated instances of data file not readable error for well-formed JSON data files. | Under Review | Low | N/A | Validations |
| 6 | Open | 1116 | Isolated issue where exceeding length in file version field in metadata file – Not generating integrity failed feedback | Code Release | Low | To be Scheduled | Validations |
| 7 | Open | 2081 | receivedQuoteID (optional for 2a) blank – Rejecting as Invalid receivedQuoteID | Code Release | Medium | 3/23/20 | Validations/ Reporter Portal |
| 8 | Open | 2019 | Route event rejecting for invalid destination when destination is a NYSE floor broker booth number. | Under Review | Medium | N/A | Validations |

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| 9 | Open | 2133 | Multi-dimensional array fields in MEOTS, MOOF and MOFA events – Rejecting as invalid because portal includes additional fields (FDID and accountHolderType) that are not applicable to these specific events. | Code Release | Medium | 3/23/20 | Reporter Portal |
| 10 | Open | N/A | Reporter Portal is not accurately reflecting Repair Count and Adjusted Error Rate when corrections submitted for a single day per firm exceeds 100,000. Additionally, Error Counts on Error Summary screen do not reflect errors in excess of 100,000. | Code Release | High | To be Scheduled | Statistics |
| 11 | Open | N/A | Firms not getting credit for rejections corrected via a file delete instruction. | Code Release | High | 3/23/20 | Statistics |
| 12 | Open | N/A | Late flag determination is incorrect for events received after 4:15 PM and reported on-time. | Code Release | High | 3/23/20 | Statistics |
| 13 | Open | N/A | Isolated issue with Timeout Warnings at Integrity phase resulting in missing File Integrity feedback. | Under Review | Low | N/A | Feedback |
| 14 | Open | N/A | FINRA CAT is accepting some timestamps with an invalid syntax. | Code Release | Medium | To be scheduled | Validations |
| 15 | Open | 2060 | Options test symbols are being rejected. | Under Review | High | N/A | Validations |
| 16 | Open | N/A | Event Submissions count on Reporting Summary tab does not match the Event Submission by Type count in limited instances. | Code Release | High | 3/23/20 | Reporter Portal |

FINRA CAT Closed Issues List

| # | Status | Error Code | Summary | Resolution | Priority | Release Date | Area |
|---|--------|------------|---|----------------------|----------|--------------|-----------------|
| 1 | Closed | N/A | CAT Reporters were unable to upload files when they are east of the GMT time zone. | Code Release | None | 12/16/2019 | File Submission |
| 2 | Closed | 2031 | MEOT Records with <BLANK> Firm Designated ID rejecting as invalid. | Code Release | None | 12/19/2019 | Validations |
| 3 | Closed | 1107 | Metadata file rejecting as "Not Readable" when the last delimiter is missing in CSV. | Code Release | None | 12/19/2019 | Validations |
| 4 | Closed | Multiple | Allowable values included in latest Technical Specification 2.2.1 r2 need to be updated in Industry Test. | Code Release | None | 12/19/2019 | Validations |
| 5 | Closed | N/A | Acknowledgement Feedback Files only include base filename. Per specification, acknowledgements should include the full filename. | Code Release | None | 12/19/2019 | Validations |
| 6 | Closed | 2156 | FINRA CAT is accepting the following scenario instead of rejecting - Values populated in 'Reserved for Future Use' fields. | Code Release | None | 12/19/2019 | Validations |
| 7 | Closed | N/A | FINRA CAT experienced an SFTP connectivity issue on December 18, 2019 at 9:37 p.m. to December 19 at 11:05 a.m. CAT Reporters were unable to submit via SFTP during this time period; however, Manual File Upload via the CAT Reporter Portal was not impacted. | Configuration Change | None | N/A | File Submission |

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| 8 | Closed | Multiple | FINRA CAT is accepting the following scenario instead of rejecting - Equity events where the representative indicator or the fulfillment link type value is 'O'. | Code Release | None | 1/7/2020 | Validations |
| 9 | Closed | 2091 | FINRA CAT is accepting the following scenario instead of rejecting - Route Event with Destination Type of 'E' or 'F' and Sender IMID of <BLANK>. | Code Release | None | 1/7/2020 | Validations |
| 10 | Closed | N/A | For Name/Value Pair Data type fields providing a null value for a required field such as timeInForce of 'GTD' with a value of null instead of expiration date causes ingestion processing issues. | Code Release | None | 1/7/2020 | Validations |
| 11 | Closed | 1121 | Metadata file having base file name of data file instead of the full file name does not generate time out error on data file. | Code Release | None | 1/7/2020 | Validations |
| 12 | Closed | 2098 | Reference Data timing issue with equity symbols that became effective on the day of event submission. | Code Release | None | 1/9/2020 | Validations |
| 13 | Closed | 2008 | ATS Order Types created via the Reporter Portal are being capitalized. This will result in invalid ATS Order Type rejections as validations are case sensitive. | Code Release | None | 1/12/2020 | Reporter Portal |

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| 14 | Closed | N/A | Intermittently missing a few feedback files. | Code Release | None | 2/5/2020 | Validations |
| 15 | Closed | N/A | <p>FINRA CAT Network Team is assisting some firms with additional details related to their use of IP proxy-based access.</p> <p>FINRA CAT is updating the Connectivity Supplement with additional firewall and URL information in support of Industry member's use of IP Proxy based access. These details are also provided in the Appendix of the 12/17 Industry Release Checkpoint Presentation.</p> | Documentation Update | None | N/A | Network |
| 16 | Closed | N/A | Metadata File Rejection count does not correctly count all metadata rejection scenarios. | Code Release | None | 2/24/2020 | Statistics |
| 17 | Closed | 2098 | Equity symbols expiring intra-day rejecting as invalid. | Code Release | None | 2/24/2020 | Validations |
| 18 | Closed | 2036 | <i>handlingInstructions</i> value of 'RAR' (optional for 2a) rejecting as invalid. | Code Release | None | 2/24/2020 | Validations |
| 19 | Closed | 2043 | manualOrderID (optional for 2a) blank – Rejecting as Invalid manualOrderID when electronicDupFlag is populated as true. | Code Release | None | 2/24/2020 | Validations |
| 20 | Closed | 2048 | For ATS firms, <BLANK> <i>nbboTimestamp</i> if <i>nbboSource</i> = NA rejecting as invalid. | Code Release | None | 2/24/2020 | Validations |