

1. (A) CAT Reporter Name and Org ID: _____

(B) CAT Submitter ID: _____ (Are you a CAT Reporting Agent? __YES; __ NO)

(C) Are you a broker-dealer reporting on behalf of another broker-dealer __YES; __ NO

If you are a broker-dealer that is reporting on behalf of other broker-dealers, list the broker-dealers, including their Org ID, you are reporting on behalf of in your response to item 11.

2. Member of the following national securities exchange(s) and/or national securities association(s) (please select all that apply):

<input type="checkbox"/> BOX Exchange LLC	<input type="checkbox"/> MIAX Emerald, LLC
<input type="checkbox"/> Cboe BZX Exchange, Inc.	<input type="checkbox"/> NASDAQ BX, Inc.
<input type="checkbox"/> Cboe BYX Exchange, Inc.	<input type="checkbox"/> Nasdaq GEMX, LLC
<input type="checkbox"/> Cboe C2 Exchange, Inc.	<input type="checkbox"/> Nasdaq ISE, LLC
<input type="checkbox"/> Cboe Exchange, Inc.	<input type="checkbox"/> Nasdaq MRX, LLC
<input type="checkbox"/> Cboe EDGA Exchange, Inc.	<input type="checkbox"/> NASDAQ PHLX LLC
<input type="checkbox"/> Cboe EDGX Exchange, Inc.	<input type="checkbox"/> The NASDAQ Stock Market LLC
<input type="checkbox"/> Financial Industry Regulatory Authority, Inc.	<input type="checkbox"/> New York Stock Exchange LLC
<input type="checkbox"/> Investors' Exchange, LLC	<input type="checkbox"/> NYSE American LLC
<input type="checkbox"/> Long-Term Stock Exchange, Inc.	<input type="checkbox"/> NYSE Arca, Inc.
<input type="checkbox"/> Miami International Securities Exchange LLC	<input type="checkbox"/> NYSE Chicago, Inc.
<input type="checkbox"/> MIAX PEARL, LLC	<input type="checkbox"/> NYSE National, Inc.
<input type="checkbox"/> Other: _____	

3. Incident Type:

Industry Member Reporter Self-reporting Parameters (check applicable standard(s))

- Large Drift from Clock Synchronization Standards: An Industry Member is required to self-report a deviation if a given device or server handling CAT Reportable Events drifts out of compliance with the established standards by 2 times the standard. This is 100 milliseconds for all systems other than those used for Manual Order Events and 2 seconds for systems that process Manual Order Events.
- Persistent Drift from Clock Synchronization: An Industry Member is required to self-report a deviation if a given device or servers handling CAT Reportable Events drifts out of compliance with the established standards 10 times in one rolling 24-hour period when the system is recording a timestamp on an event that is reportable to CAT. (The 10 times standard also applies to systems that process Manual Order events.)

Plan Participant Reporter Self-reporting Parameters

- A Plan Participant is required to self-report if a given device or server handling CAT Reportable Events experiences a business clock drift outside of the CAT NMS Plan's required time frame (100 microseconds) for at least one second.

4. Device, Server or System Name: _____
5. Types of CAT Reportable Events Impacted (e.g., MENO, MEOT, MONO, MOOR, etc.): _____

6. Estimated Number of CAT Reportable Events Impacted (if known): _____

7. Indicate the increments at which the system's business clocks are synchronized (e.g., 2x per second, every second, every 10 minutes, every 15 minutes, 3 times each hour, hourly, at start and close): _____

8. Incident Date: _____ . Any additional dates, if necessary _____, _____, _____
(YYYYMMDD) (YYYYMMDD) (YYYYMMDD) (YYYYMMDD)
9. Specify each recorded time that the business clock drift exceeded the self-reporting threshold (if additional space is needed please append to this report):

Recorded Time	Duration, if known	Recorded Time	Duration, if known
(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)
(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)
(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)
(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)	(HHMMSS.CCCNNNNNN)

10. Indicate if the firm has submitted a self-reporting deviation event in the last 20-days by listing the prior report

Date(s): _____
(YYYYMMDD)

11. Any other details that the firm would like to provide regarding this incident (including if this issue has been resolved, any steps taken to remediate this issue, the exact time when the incident started and when it ended, etc.):

12. Name and contact information for the individual submitting this form on behalf of the CAT Reporter identified in item 1, above.

Name: _____

Email: _____

Phone: (_____) _____ — _____

SUBMISSION INSTRUCTIONS:

FORMS SHALL BE EMAILED TO THE FINRA CAT HELPDESK (HELP@FINRACAT.COM) AND MUST INCLUDE A REFERENCE TO “**CLOCK SYNC SELF-REPORT**” IN THE SUBJECT LINE.

SEE CATNMSPLAN.COM FOR ADDITIONAL INFORMATION, INCLUDING FAQs ABOUT CLOCK SYNCHRONIZATION.