

CAT LLC Shares Condolences in Passing of FINRA Executive and Market Regulation Veteran Thomas Gira

Recognition for body of work including supporting the Consolidated Audit Trail

NEW YORK, NY – Consolidated Audit Trail, LLC (CAT LLC) extends condolences to the family and FINRA colleagues of Thomas Gira upon his passing, which FINRA [announced last week](#).

Among his achievements and unwavering dedication to strengthening the integrity and transparency of the markets, Gira was at the forefront of leading FINRA's work in support of the Consolidated Audit Trail (CAT), which will facilitate regulatory surveillance by creating an extensive audit trail to capture customer and order event information in exchange-listed securities across all U.S. markets.

"We are deeply saddened by this loss, as Tom touched so many people and projects across many facets of our industry," said Soniya Shrivastav, CAT LLC Lead and Mike Simon, CAT LLC Chair, on behalf of the Operating Committee. "He was passionate and dedicated to the CAT's promise and building on his legacy we continue to work alongside our FINRA CAT counterparts to bring this important project to its fruition."

About Consolidated Audit Trail, LLC

Consolidated Audit Trail, LLC was formed by FINRA and the U.S. national securities exchanges (collectively, the SROs) to implement the requirements of SEC Rule 613 under the Securities Exchange Act of 1934. SEC Rule 613 required the SROs to jointly submit to the SEC the CAT NMS Plan to create, implement and maintain the CAT. The SEC approved the CAT NMS Plan on November 15, 2016. Once implemented, the CAT will facilitate regulatory surveillance by creating an extensive audit trail that will capture customer and order event information for orders in exchange-listed securities across all U.S. markets, from the time of order inception through routing, cancellation, modification or execution, in a single, consolidated source. More information can be found at www.catnmsplan.com.

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