Purpose: This form is for the reporting of erroneous events and CAT reporting errors that are not identified in data integrity validations, and that fall outside the scope of sections 7.6 (Corrections) and 6.4.3 (Deadline for Firm Initiated Corrections and Deletions) of the CAT Reporting Technical Specifications for Industry Members.[1] Corrections submitted within the T+3 time window should be submitted directly through the CAT Reporter Portal and not reported to FINRA CAT on this form.[2] CAT Reporters should file Part I of this form upon discovery of the erroneous reporting, and provide supplemental information in Part II of this form to FINRA CAT as it becomes available.

Part I. Erroneous Reporting Event Identification

1. CAT Reporter Name and Org ID:_____

    (please select from the following types of CAT Reporters):

    □   Self-Reporting Industry Member

    □   Industry Member Using CAT Reporting Agent

            CAT Reporting Agent(s) and Submitter ID(s):_____

            _____

    □   CAT Reporting Agent

            Is this form being filed on behalf of an Industry Member?   __YES __ NO

            If Yes was selected above, identify the CAT Reporter Name and Org ID:_____

            _____

    □   Initial Filing

    □   Subsequent Filing:

            Date of Initial Filing:_____

            FINRA CAT Helpdesk Case Number (If known):_____

2. Summary of Erroneous Reporting (provide a synopsis of the issue, including if systemic or manual error):_____

_____

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[1] https://www.catnmsplan.com/specifications/im.

[2] As outlined in Table 55, Industry Members should correct and delete events that did not produce an error during processing, and such corrections must be submitted prior to 8AM Eastern Time on T+3 (CAT Trading Day of event + three Trading Days).

Start Date:_____ Date Detected:_____

Start Time:_____ Time Detected:_____

Event Types Impacted:_____ Fields Impacted:_____

(e.g. MENO, MONO, MEOR) (e.g. timeInForce, capacity, handlingInstructions, etc.)

Approximate number of records and/or files impacted and basis for determination:_____

_____

_____

_____

3. How was the issue detected? (Supervisory systems, compliance reviews, etc.):_____

_____

_____

Part II. Resolution and Correction of Erroneous Reporting Event

4. If the issue identified above was corrected, describe how was it resolved:_____

_____

_____

Date Corrected:_____ Ongoing: □

Time Corrected:_____

5. Has the CAT Reporter incorporated enhancements aimed at preventing a reoccurrence of the issue? __YES __ NO

If applicable, provide a description of mitigation measures (e.g. enhanced procedures, additional reviews, etc.):_____

_____

_____

_____

_____

6. Any other details that the CAT Reporter would like to provide regarding this incident:

_____

_____

_____

_____

7. Has the CAT Reporter attempted to correct the erroneous reporting via the CAT Reporter Portal?:

_____

_____

_____

_____

_____

Part III. Contact Information

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

    Name:_____

    Email:_____

    Phone:_____

SUBMISSION INSTRUCTIONS:

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

THE INFORMATION PROVIDED MAY BE SHARED WITH ONE OR MORE OF YOUR CAT REPORTING REGULATORS.