

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 Repairs, Corrections and Deletions submitted by 8 am ET on T+3 should not be reported to FINRA CAT on this form. CAT Reporters can submit Part I of this form upon discovery of the erroneous reporting, and provide supplemental information in Part II of this form as it becomes available.²

Please refer to CAT Alert 2020-04 for more information on self-reporting erroneous events and CAT reporting errors.

Revision Summary

Version	Publish Date	Description
1.0	06/04/2020	Initial Publication
1.1	08/28/2020	Formatting updates and clarification of questions. Reference to CAT Alert 2020-04.

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 one or more Industry Members? YES NO

If Yes, identify the IMIDs affected in Item 2, below.

2. Summary of Erroneous Reporting (describe the issue, including if it the errors are systemic or an isolated event, and the IMIDs affected by the issue):

¹ <https://www.catnmsplan.com/specifications/im>.

² Reporting errors on this form is not an independent requirement under SRO rules; however, under SRO Rules Industry Members are required to report accurate information and regulators may consider a CAT Reporter’s self-reporting of errors and correcting such errors a mitigating factor in the event of any regulatory actions related to the firm’s CAT reporting. Information received through this process will be provided by FINRA CAT to the regulators on a periodic basis or as requested. For more information on this Form see CAT Alert 2020-04, *Standards for Self Reporting Erroneous Events To FINRA CAT* at <https://www.catnmsplan.com/cat-alerts>.

Start Date:

Start Time:

Date Detected:

Time Detected:

Event Types Impacted (e.g. MENO, MONO, MEOR):

Fields Impacted (e.g. timeInForce, capacity, handlingInstructions, etc.):

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

3. How was the issue detected?

Part II. Resolution and Correction of Erroneous Reporting Event

If Subsequent Filing:

Date of Initial Filing:

FINRA CAT Helpdesk Case Number (if known):

4. If the root cause of the issue identified above was corrected, describe how it was resolved:

Date Corrected:

Time Corrected (if known):

Ongoing:

5. Has the Industry Member or CAT Reporting Agent incorporated enhancements aimed at preventing a reoccurrence of the issue? YES NO

If applicable, provide a description of mitigation measures:

6. Any other details that the Industry Member or CAT Reporting Agent would like to provide regarding this incident:

7. Was the Industry Member or CAT Reporting Agent able to successfully submit the corrected or unreported data?

NO. If no, provide a detailed explanation as to why the corrected or unreported data cannot be submitted.

YES. If yes, provide details regarding the date(s) (and time(s)), the correct or unreported records/files were submitted, the submission method (machine-to-machine or CAT Reporter Portal) and file name(s).

Part III. Contact Information

8. If more information is needed regarding the erroneous events and CAT reporting errors described in this form, provide the following contact information:

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.