

CAT Reporting Technical Specifications for Industry Members

Archived Revision/Change Log

9/10/20

Applicable Version: 3.1.0 r6

Refer to [Archived Change Log – CAT Reporting Technical Specifications for Industry Members v2.2.1 r7](#) for an archived version of the change log for the Phase 2a/2b Spec.

Version	Date	Author	Description
3.0 Draft 1	11/4/19	Consolidated Audit Trail, LLC	<p>Initial publication for Phase 2c. Applicable Schema Version: 3.0.0</p> <p>Removed language regarding Phase 2a/2c reporting requirements. Ungreyed fields and values required to be reported in Phase 2c. Defined event specifications for MEIM and MEIC events. Deferred MEMR and MEICR events to Phase 2d.</p>
3.0 Draft 2	12/9/19	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.0.0</p> <p>Made conforming changes with v2.2.1 r2 Defined event specifications for MEPA and MEAA events, defined allocation keys, added new fields to Data Dictionary. Added new MEOCR and MEOMR events. Added <i>timeInForce</i> field to MEOJ. Added <i>handlingInstructions</i> value 'RQR'. Changed <i>orderID</i> uniqueness requirements on MEIR events. Changed <i>handlingInstructions</i> value 'STOP' to 'STOPP' and added 'STOPQ'. Changed the definition of <i>deptType</i> values 'A' and 'O'. Clarified the definition of <i>handlingInstructions</i> values 'ALG' and 'RAR'. Updated existing scenarios and added new scenarios in Appendix C. Updated the definition of Primary Event and Secondary Event in the Glossary to include newly defined events.</p>
3.0.0	1/31/2020	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.0.0</p> <p>Made conforming changes with v2.2.1 r3 Updated Table 1 Added MEORS event. Greyed out MEOCR and MEOMR, events for Phase 2d. Changed the definition of <i>eventTimestamp</i> for MEOC, MEOCR, MEOM and MEOMR events. Changed requirements for <i>quoteID</i> on MEOT event. Updated quote linkage keys and added IDQS linkage key. Added <i>quotingIDQS</i> field to MEOT event to support IDQS linkage. Greyed out <i>receivedQuoteID</i> on MEQR event for Phase 2d. Added <i>unpricedInd</i> on MEQR event. Reintroduced <i>reportingExceptionCode</i> value 'C' and updated requirements for use.</p>

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			<p>Added <i>clearingFirm</i> and <i>counterparty</i> fields to MEOT event.</p> <p>Clarified requirements for reporting allocation events in section 3.3.1.</p> <p>Changed the definition for the <i>eventTimestamp</i> and <i>newOrderFDID</i> fields in allocation events.</p> <p>Added <i>allocationInstructionTime</i> to allocation events and Data Dictionary.</p> <p>Added <i>allocationType</i> value 'FRM', removed <i>allocationType</i> values 'REG' and 'OTH'</p> <p>Greyed out the <i>custType</i> field for Phase 2d.</p> <p>Defined "Smart Order Router" in the Glossary.</p> <p>Updated definition of <i>handlingInstructions</i> value 'ALG'.</p> <p>Changed <i>orderID</i> uniqueness requirements on MEIR events.</p> <p>Ungreyed error codes that will become effective in Phase 2c.</p> <p>Removed <i>handlingInstructions</i> value 'RQR'.</p> <p>Updated section 4.11 noting requirements for reporting responses to RFQs.</p>
3.1.0	2/28/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Added section 3.4 Responses to RFQs and Solicitation.</p> <p>Added <i>solicitationFlag</i> to MENO and MEOA events to support responses to RFQs and solicitation.</p> <p>Added <i>RFQID</i> to MENO event to support responses to RFQs and solicitation.</p> <p>Removed <i>handlingInstructions</i> value of 'SR'.</p> <p>Corrected <i>unpricedInd</i> in MEQR event to a required field.</p> <p>Corrected <i>correspondentCRD</i> and <i>newOrderFDID</i> fields in MEPA and MEAA events to conditional fields.</p> <p>Updated intro language in Sections 4.7.1, 4.10.1, and 4.11.</p> <p>Updated intro language in Appendix E.</p>
3.1.0 r1	4/2/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Updated Appendix E with new error codes applicable to Phase 2c.</p> <p>Updated Appendix D with the definition of Allocation Key Date.</p> <p>Updated requirements in Table 80 of Appendix C.</p> <p>Clarified requirements for populating <i>quotingIDQS</i> and <i>RFQID</i> fields.</p> <p>Added <i>quotingIDQS</i> to data dictionary.</p> <p>Corrected a reference error in section 7.6.</p>
3.1.0 r2	4/21/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Made conforming changes with v2.2.1 r4.</p> <p>Corrected sequence numbers in MEOMR event.</p> <p>Corrected release date for v3.1.0 r1 in the change log.</p>
3.1.0 r3	5/18/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p>

Version	Date	Author	Description
			Made conforming changes with v2.2.1 r5.
3.1.0 r4	6/14/2020	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Made conforming changes with v2.2.1 r6</p> <p>Added MEOFS and MEOE events</p> <p>Removed <i>handlingInstructions</i> value 'OET'</p> <p>Removed <i>handlingInstructions</i> value 'STOPP' and 'STOPQ' and added 'STOP' (reverted changes from v3.0.0 Draft 2).</p> <p>Added <i>handlingInstructions</i> value 'SWQ'</p> <p>Updated requirements for MEORS event and added <i>manualFlag</i> field, updated field positions.</p> <p>Added <i>fulfillmentLinkType</i> value 'YS'</p> <p>Added <i>representativeInd</i> value 'OS'</p> <p>Added <i>allocationType</i> value 'OTH'</p> <p>Updated Appendix C to add new values and further clarify existing guidance.</p> <p>Updated guidance for reporting Amended Allocation events.</p> <p>Updated the <i>eventTimestamp</i> definition in other modification/cancellation events (e.g. MECOC, MEIM) to be consistent with the definition in the MEOC and MEOM events.</p>
3.1.0 r5	8/11/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Added back <i>handlingInstructions</i> value 'SR' for options only</p> <p>Changed requirements for <i>RFQID</i> field</p> <p>Updated error code 2187</p> <p>Added Table 11 to clarify reporting responsibilities of Responders and Solicitors</p>
3.1.0 r6	9/9/20	Consolidated Audit Trail, LLC	<p>Applicable Schema Version: 3.1.0</p> <p>Conforming changes with v2.2.1 r7</p> <p>Updated requirements for reporting an Allocation Amendment event</p> <p>Changed <i>orderType</i> field on MEOE event to Required.</p> <p>Added <i>allocationType</i> value DVF</p>