

FINRA CAT Open Issues List – As of 9/15/2020

Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area
1	Open	N/A	FINRA CAT is incorrectly marking New Order Supplements as late that were submitted on a subsequent date to update an FDID of 'PENDING'. DeMinimis impact to Daily Compliance Rate and Report Cards.	Code Release	Medium	4Q 2020	4Q 2020	Statistics
2	Open	N/A	Successful file delete submissions are incorrectly getting counted in the rejected files count in the statistics. Does not impact Compliance Error Rate.	Code Release	Low	To be scheduled	To be scheduled	Statistics
3	Open	N/A	FINRA CAT is incorrectly accepting timeInForce of GTD without a valid date.	Code Release	Medium	4Q 2020	4Q 2020	Ingestion Feedback & Statistics
4	Open	2007	Unable to group repair Error Code 2007 (Missing or Invalid atsDisplayInd) when the CAT Reporter IMID is a non ATS firm.	Code Release	High	9/21/2020	9/28/2020	Reporter Portal

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5	Open	N/A	Parent not found errors that are reconciled continue to be displayed as 'U' (Unrepaired) in Error Summary & Error Search screens. Feedback & Reporting Summary statistics are not impacted by this issue.	Code Release	High	Solution and/or Workaround to be provided no later than October 26, 2020	Solution and/or Workaround to be provided no later than October 26, 2020	Reporter Portal
6	Open	3601	Out of Sequence Errors that are caused by an incorrect Time Stamp on the parent event are not being properly reconciled when the parent Time Stamp is corrected. Repaired counts and Adjusted Unlinked Rate are impacted by this issue.	Code Release	High	4Q 2020	4Q 2020	Statistics
7	Open	Multiple	Parent not found errors are being generated for open option orders when the option symbol changes due to corporate action.	Code Release	Medium	4Q 2020	4Q 2020	Linker Feedback & Statistics

FINRA CAT Open Issues List – Planned Enhancements

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	Open	2133	For Name/Value Pair Data type fields, providing a value that is not in allowable values list returns error code 2133 (Additional Field) instead of error code 2101 (Missing or Invalid timeInForce).	Code Release	Low	To be scheduled	To be scheduled	Ingestion Validations
2	Open	2122	Incorrect error code is generated when an array field (e.g., clientDetails) is provided as a Name/Value pair.	Code Release	Low	To be scheduled	To be scheduled	Ingestion Validations
3	Open	2027	Incorrect error code is being generated when eventTimestamp is a future date (2027 – eventTimestamp must be in the correct format instead of 2139 – eventTimestamp is greater than the current date and time).	Code Release	Low	To be scheduled	To be scheduled	Ingestion Validations

FINRA CAT Closed Issues List– As of 9/15/2020

#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
1	Closed	N/A	CAT Reporters were unable to upload files when they are east of the GMT time zone.	Code Release	Complete	12/16/2019	File Submission
2	Closed	2031	MEOT Records with <BLANK> Firm Designated ID rejecting as invalid.	Code Release	Complete	12/19/2019	Validations
3	Closed	1107	Metadata file rejecting as “Not Readable” when the last delimiter is missing in CSV.	Code Release	Complete	12/19/2019	Validations
4	Closed	Multiple	Allowable values included in latest Technical Specification 2.2.1 r2 need to be updated in Industry Test.	Code Release	Complete	12/19/2019	Validations
5	Closed	N/A	Acknowledgement Feedback Files only include base filename. Per specification, acknowledgements should include the full filename.	Code Release	Complete	12/19/2019	Validations
6	Closed	2156	FINRA CAT is accepting the following scenario instead of rejecting – Values populated in ‘Reserved for Future Use’ fields.	Configuration Change	Complete	12/19/2019	Validations
7	Closed	N/A	FINRA CAT experienced an SFTP connectivity issue on December 18, 2019 at 9:37 p.m. to December 19 at 11:05 a.m. CAT Reporters were unable to submit via SFTP during this time period; however, Manual File Upload via the CAT Reporter Portal was not impacted.	Code Release	Complete	N/A	File Submission
8	Closed	Multiple	FINRA CAT is accepting the following scenario instead of rejecting – Equity events where the representative indicator or the fulfillment link type value is ‘O’.	Code Release	Complete	1/7/2020	Validations

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
9	Closed	2091	FINRA CAT is accepting the following scenario instead of rejecting – Route Event with Destination Type of 'E' or 'F' and Sender IMID of <BLANK>.	Code Release	Complete	1/7/2020	Validations
10	Closed	N/A	For Name/Value Pair Data type fields providing a null value for a required field such as timeInForce of 'GTD' with a value of null instead of expiration date causes ingestion processing issues.	Code Release	Complete	1/7/2020	Validations
11	Closed	1121	Metadata file having base file name of data file instead of the full file name does not generate time out error on data file.	Code Release	Complete	1/7/2020	Validations
12	Closed	2098	Reference Data timing issue with equity symbols that became effective on the day of event submission.	Code Release	Complete	1/9/2020	Validations
13	Closed	2008	ATS Order Types created via the Reporter Portal are being capitalized. This will result in invalid ATS Order Type rejections as validations are case sensitive.	Code Release	Complete	1/12/2020	Validations
14	Closed	N/A	Intermittently missing a few feedback files.	Code Release	Complete	2/5/2020	Validations

FINRA CAT Closed Issues List

#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
15	Closed	N/A	FINRA CAT Network Team is assisting some firms with additional details related to their use of IP proxy-based access. FINRA CAT is updating the Connectivity Supplement with additional firewall and URL information in support of Industry member's use of IP Proxy based access. These details are also provided in the Appendix of the 12/17 Industry Release Checkpoint Presentation.	Documentation Update	Complete	N/A	Network
16	Closed	N/A	Metadata File Rejection count does not correctly count all metadata rejection scenarios.	Code Release	Complete	2/24/2020	Statistics
17	Closed	2098	Equity symbols expiring intra-day rejecting as invalid.	Code Release	Complete	2/24/2020	Validations
18	Closed	2036	<i>handlingInstructions</i> value of 'RAR' (optional for 2a) rejecting as invalid.	Code Release	Complete	2/24/2020	Validations
19	Closed	2043	manualOrderID (optional for 2a) blank - Rejecting as Invalid manualOrderID when electronicDupFlag is populated as true.	Code Release	Complete	2/24/2020	Validations
20	Closed	2048	For ATS firms, <BLANK> <i>nbboTimestamp</i> if <i>nbboSource</i> = NA rejecting as invalid.	Code Release	Complete	2/24/2020	Validations

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
21	Closed	N/A	Firms not getting credit for rejections corrected via a file delete instruction.	Code Release	Complete	3/23/2020	Statistics
22	Closed	N/A	Late flag determination is incorrect for events received after 4:15 PM and reported on time.	Code Release	Complete	3/23/2020	Statistics
23	Closed	N/A	Event Submissions count on Reporting Summary tab does not match the Event Submission by Type count in limited instances.	Code Release	Complete	3/23/2020	Portal
24	Closed	2060	Options test symbols are being rejected.	Code Release	Complete	3/23/2020	Validations
25	Closed	2081	receivedQuoteID (optional for 2a) blank - Rejecting as Invalid receivedQuoteID .	Code Release	Complete	3/23/2020	Validations/ Reporter Portal
26	Closed	2133	Multi-dimensional array fields in MEOTS, MOOF and MOFA events - Rejecting as invalid because portal includes additional fields (FDID and accountHolderType) that are not applicable to these specific events.	Code Release	Complete	3/23/2020	Reporter Portal
27	Closed	2142	Space in multi-dimensional array field not treated as blank. E.g space in aggregatedOrders when representativeInd is populated as 'YF', 'YE' or 'N' - Rejecting as Invalid aggregatedOrders (Error Code 2142).	Code Release	Complete	3/23/2020	Validations
28	Closed	N/A	FINRA CAT is accepting some timestamps with an invalid syntax.	Code Release	Complete	3/23/2020	Validations
29	Closed	1116	Isolated issue where exceeding length in file version field in metadata file - Not generating integrity failed feedback.	Code Release	Complete	3/23/2020	Validations

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
30	Closed	N/A	Reporter portal is not always displaying all the processed files in the File status screen.	Code Release	Complete	4/1/2020	Reporter Portal
31	Closed	2153	Isolated instances of data file not readable error for well-formed JSON and CSV data files.	Code Release	Complete	4/13/2020	Validations
32	Closed	2019	NYSE floor broker booth numbers are not included in reference data causing Route event rejections.	Reference Data Update	Complete	4/17/2020	Reference Data
33	Closed	Multiple	Fulfillment events with a <i>fulfillmentLinkType</i> of YF and YE are incorrectly being included in feedback files.	Code Release	Complete	4/24/2020- Test 5/4/2020- Prod	Intrafirm Feedback
34	Closed	Multiple	FINRA CAT is incorrectly unlinking a two-sided event (trade and fulfillment) associated with a long lived order when the order originated prior to T-4. 'T' being the event date on the trade/fulfillment.	Code Release	Complete	5/4/2020- Test 5/4/2020- Prod	Intrafirm Feedback
35	Closed	N/A	Incorrect processing date on Linkage Feedback file for errors/warning generated for an event reported on a prior processing date.	Code Release	Complete	4/30/2020-Test 5/4/2020- Prod	Intrafirm Feedback

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
36	Closed	N/A	In Industry Test only, Intrafirm statistics beyond T+1 are not correctly displayed.	Code Release	Complete	In progress	Intrafirm Statistics
37	Closed	N/A	Isolated issue with Timeout Warnings at Integrity phase resulting in missing File Integrity feedback.	Monitoring for recurrence	Complete	N/A	Integrity Feedback
38	Closed	1121	Few firms are incorrectly receiving file integrity errors due to pairing issues between the meta and data files.	Monitoring for recurrence	Complete	N/A	Integrity Feedback
39	Closed	N/A	Firms are unable to edit a record in the Pending Submissions screen if they are using Firefox browser and have logged into the Portal via SRG. This issue does not impact creating or submitting an event via the Portal.	Monitoring for recurrence	Complete	N/A	Reporter Portal
40	Closed	N/A	Linkage Warning count in Intrafirm statistics does not include Error Code 397 (Late Reported Intrafirm Event).	Code Release	Complete	5/18/2020- Test 5/18/2020- Prod	Intrafirm Statistics
41	Closed	N/A	Few firms are experiencing isolated timeout issues errors when accessing the Error Summary Screen in the Portal.	Code Release	Complete	4/20/2020- Test 5/18/2020- Prod	Reporter Portal
42	Closed	3502	FINRA CAT is generating Unlinked Error instead of a Warning when the order referenced in the side details of the trade originated prior to go-live.	Code Release	Complete	5/12/2020- Test 5/18/2020- Prod	Intrafirm Feedback

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
43	Closed	2019	FINRA CAT is accepting the following scenario instead of rejecting – <i>destinationType</i> = F and <i>destination</i> not provided on Order Route.	Code Release	Complete	5/11/2020– Test 5/18/2020– Prod	Ingestion Validations
44	Closed	Multiple	FINRA CAT is accepting negative values in quantity fields.	Code Release	Complete	5/11/2020– Test 5/18/2020– Prod	Ingestion Validations
45	Closed	Multiple	FINRA CAT is accepting the following scenario instead of rejecting – Future dates in some fields.	Code Release	Complete	5/11/2020– Test 5/18/2020– Prod	Ingestion Validations
46	Closed	Multiple	Error Summary screen does not display the new Error Codes per IM Tech Spec version 2.2.1 r5.	Datafix	Complete	5/21/2020– Test 5/21/2020– Prod	Ingestion Reporter Portal
47	Closed	Multiple	FINRA CAT is incorrectly generating unlinked errors in instances when a DAY order originates after business hours on the Trade Date prior to TIF Expiration Date.	Code Release	Complete	5/29/2020– Test 5/29/2020– Prod	Intrafirm Feedback
48	Closed	N/A	Reporter portal is incorrectly displaying 'No Intrafirm Statistics Available' when a firm has no Intrafirm Errors	Code Release	Complete	6/1/2020– Test 6/1/2020– Prod	Reporter Portal
49	Closed	N/A	Due to processing issues in the Test Environment, users will not receive linkage feedback on IM equities submissions for the 6/12/2020 Processing Date. Options feedback was delayed but otherwise unaffected. An announcement has been posted to the CAT Reporter Portal.	Code Release	Complete	6/15/2020– Test 6/15/2020– Prod	Intrafirm Linkage Feedback
50	Closed	N/A	FINRA CAT is incorrectly accepting pipe () value in text fields within multi-dimensional array (e.g. <i>orderID</i> in aggregatedOrders).	Code Release	Complete	6/12/2020– Test 6/19/2020– Prod	Ingestion Validation
51	Closed	N/A	The CAT Reporter Portal allows users to successfully create events without all required fields populated if the user clicks the “Create” button more than once while populating the event. The record is then rejected upon submission as all required fields are not populated.	Code Release	Complete	6/22/2020– Test 6/22/2020– Prod	Reporter Portal Create Event

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52	Closed	2153	Receipt of improperly Bz2 compressed file results in no ingestion feedback being provided to the submitter. The file should fail ingestion as unreadable.	Code Release	Complete	6/22/2020- Test 6/22/2020- Prod	Integrity Validation
53	Closed	N/A	Reporter Portal is not displaying Intrafirm repaired counts in Reporting Summary in Industry Test Environment. This has not been observed in Production Environment.	Code Release	Complete	6/22/2020- Test 6/22/2020- Prod	Intrafirm Reporter Portal
54	Closed	N/A	Reporter Portal is not accurately reflecting Repair Count and Adjusted Error Rate when corrections submitted for a single day per firm exceed 100,000. Additionally, Error Counts on Error Summary screen do not reflect errors in excess of 100,000.	Code Release	Complete	6/22/2020- Test 6/29/2020- Prod	Events Statistics
55	Closed	N/A	FINRA CAT is incorrectly generating a parent not found error for certain secondary events where the parent originated on a non-business day.	Code Release	Complete	6/15/2020- Test 6/29/2020- Prod	Intrafirm Linkage Feedback
56	Closed	3501	FINRA CAT generated some incorrect unlinked errors (3501) due to a processing issue that impacted GTC orders that originated on 5/21, 5/22 and 6/8.	Code Release	Complete	Complete	Intrafirm Linkage Feedback
57	Closed	3501	Prior to go-live for warning error code 398 in Production is set to May 4, 2020 for Equities and Options and Industry Test is set to April 20, 2020. FINRA CAT will reset this date to June 22, 2020 for Equities and July 20, 2020 for Options.	Code Release	Complete	7/20/2020- Test (Equities/Options) 7/2/2020=Prod (Equities) 7/20/2020- Prod (Options)	Intrafirm Linkage Feedback

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
58	Closed	N/A	The Accepted Late on the Reporter Portal incorrectly includes rejections. Compliance Error Rate is accurate and is not impacted by this issue.	Code Release	Complete	7/27/2020- Test 7/27/2020- Prod	Reporter Portal
59	Closed	N/A	The Error Repair screen displays an incorrect date value for orders with timeInForce= DAY. This is display only.	Code Release	Complete	7/27/2020- Test 7/27/2020- Prod	Reporter Portal
60	Closed	2044	FINRA CAT is incorrectly accepting trade events when both marketCenterIDand reportingExceptionCodeare not populated. Beginning 7/27/20, this will result in an ingestion error.	Code Release	Complete	7/20/2020- Test 7/27/2020- Prod	Ingestion Feedback
61	Closed	3501	FINRA CAT is incorrectly generating parent not found errors for MONOS events that reference an orderID belonging to an MOOA event.	Code Release	Complete	7/15/2020- Test 7/27/2020- Prod	Intrafirm Linkage Feedback
62	Closed	2045	Remove minQty must be less than or equal to quantity validation.	Code Release	Complete	7/27/2020- Test 7/27/2020- Prod	Ingestion Validations
63	N/A	1103	In very limited instances, FINRA CAT is incorrectly providing duplicate file feedback when a file is only submitted once.	Code Release	Complete	N/A Under Monitoring	File Integrity Feedback
64	Closed	N/A	Error Code Count screen on the portal is not displaying the errors for firms that have 'Named Errors'. This issue only impacts the Industry Test Environment.	Code Release	Complete	8/10/2020- Test N/A- Prod	Statistics
65	Closed	N/A	Named Errors in linkage errors feedback file to include timestamps in STRING format (YYYYMMDD HHMMSS.CCCNNNNN), and size and quantity to exclude trailing zeroes. This issue only impacts the Industry Test Environment.	Code Release	Complete	8/5/2020- Test N/A- Prod	Interfirm Feedback

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#	Status	Error Code	Summary	Resolution	Priority	Targeted Release Date	Area
66	Closed	2060	Reporter Portal is missing a space in the <i>optionID</i> value displayed on the Error Value on the Error Correction screen. Copying and pasting the Error Value generates a 2060 rejection.	Code Release	Complete	8/17/2020-Test 8/17/2020- Prod	Reporter Portal
67	Closed	N/A	Error Search screen is displaying the repaired by file name in the file name column.	Code Release	Complete	8/17/2020-Test 8/17/2020- Prod	Reporter Portal
68	Closed	N/A	Reporter Portal is not displaying Named Error Counts on Reporting Summary screen if a firm has no submissions on a given day.	Code Release	Complete	8/17/2020-Test 8/17/2020- Prod	Statistics
69	Closed	N/A	For events unlinked for both Intrafirm and Interfirm, the error is only reflected in the Intrafirm Error count on the Reporting Summary page.	Code Release	Complete	8/17/2020-Test 8/17/2020- Prod	Statistics
70	Closed	N/A	Few firms were not receiving Named Errors in linkage feedback files in preferred format.	Code Release	Complete	8/17/2020-Test 8/17/2020- Prod	Interfirm Feedback