

Alternative Trading System (“ATS”) Order Type Identifier Registration

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1. Revisions Summary

Version	Publish Date	Description
1.0	03/26/2019	Initial publication.
1.1	05/07/2026	Updated to clarify that ATS Order Types must be registered in each environment in which the Industry Member plans to submit. Removed references related to the CAT Reporter Portal availability.

2. Summary

The CAT Technical Specifications for Industry Members require Industry Members operating ATSS (“Industry Member ATSS”) to populate the *atsOrderType* field on certain reportable events. This field shows the ATS-specific order type as selected from a list of order types defined by this Industry Member via the CAT Reporter Portal. The purpose of this CAT Alert is to provide additional information regarding the mechanism that CAT will use to collect information regarding these ATS Order Types. More information, including how to access the CAT Reporter Portal and register the ATS Order Types, can be found in the [Reporter Portal User Guide](#).

CAT provides an ATS Order Type Entry Screen on the CAT Reporter Portal that enables Industry Member ATSS to register ATS Order Types with CAT. Industry Member ATSS are required to register these ATS Order Types with CAT at least 20 days prior to the ATS Order Type becoming effective. Industry Member ATSS must register each ATS Order Type in each environment in which the Industry Member plans to submit. For example, if an Industry Member plans to submit to the Industry Test and Production environments, the Industry Member must register the ATS Order Type in both environments. If an ATS Order Type is not registered in the applicable environment(s), and the Industry Member ATS submits the ATS Order Type to that environment, the related records will be rejected.

3. Specific Requirements

Each Industry Member ATS must provide the following information for each ATS Order Type used by the ATS:

1. ATS Industry Member ID (“ATS IMID”) that will use the Order Type
2. Order Type Identifier assigned by the ATS to the Order Type¹
3. Description of how the Order Type operates within the ATS
4. Effective date of the Order Type Identifier
5. Optionally, expiration date of the Order Type Identifier

For ATSs that trade NMS stocks, it is expected that all order types reported in Part III, Item 7 of Form ATS-N will be included. Industry Member ATSs may not reuse Order Type Identifiers over time for the same ATS IMID.

Please note that ATS Order Types registered via the CAT Reporter Portal will be available within 24 hours.

Please contact the CAT Helpdesk at 888-696-3348 with any questions related to this functionality.

¹ An Order Type Identifier shall not be required for market and limit orders that have no other special handling instructions.