



Industry Member CAT Reporter Portal User Guide

10/2/2026

Version 1.7

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Change Log

Version	Date Published	Description of Change(s)
0.1	11/04/2019	User Guide published to Industry Members.
0.2	12/02/2019	Added content for December Industry Test cycle, including: • Basic Statistics • File Upload • Feedback Download
0.3	02/10/2020	Added content for February Industry Test cycle, including: • Reporting Summary • Event Type Counts • File Status • Error Summary • Error Search • Group Repair • Error Correction • Create CAT Event • Pending Submissions
0.4	03/10/2020	Updated existing content, including: • Replacing screen shots throughout. • Clarifying functionality in the Pending Submissions list with respect to the ability to submit, delete, and download records. Added content for March Industry Test cycle, including: • Announcements
1.0	04/20/2020	Updated existing content in preparation for production go-live, including: • Replaced outdated screen shots in Reporting Feedback and Error Corrections sections. • Removed export references from Error Summary screen. • Replaced outdated screen shots in Reporting Relationship and ATS Order Types sections. • Updated content in Reporting Relationships and ATS Order Types sections to better align with the format of the rest of the document. • Updated links to CAT NMS site with new URLs. • Update version number to align major versions of this user guide with production releases. <i>Changes are primarily cosmetic and do not impact the overall function of the CAT Reporter Portal.</i>

		Updated existing content for testing environment, including: • Provided intrafirm linkage statistics on the Reporting Summary.
1.1	06/05/2020	Updated content for June 1, 2020 release, including: • Replaced screen shots in Reporting Feedback section. • Added Error Code Counts content.
1.2	8/17/2020	Updated content for the introduction of the CAIS Reporter Portal, including Section 1, Section 3, Section 10 (NEW!), and Section 11 (NEW!). The CAIS Reporting Relationship functionality deployment dates are August 24, 2020 to Industry Test and December 2020 to the Production Environment.
1.3	12/21/2020	• Updated Section 3 Access Information to reflect availability of the Production Mirror environment. Also reformatted section (changes not tracked). • Updated URLs for Companion Documents to reflect changes to CAT NMS website.
1.4	7/1/2021	• Updated footnote on third-party perspective (Section 4) to reflect planned dates for availability of functionality (Industry Test environment on August 2, 2021 and Production on December 13, 2021). • Updated Section 11 to remove note that CAIS Reporter Portal related to “future availability” of CAIS Reporter Portal, which is now available.
1.5	10/12/2023	Updated Overview Section with additional functionality of Portal. Removed Metadata File submission references throughout document. Added entitlements associated with CAT Contact Management System and CAT Invoice Viewer to existing roles to Section 1.1 CAT Transaction Reporter Portal User Roles, and a new user CAT Portal IM View/Edit Contact User role. Clarified each user account with entitlement to one or more CAT applications must have their CAT access set to Test, Production Mirror, or both. Added Section 13: CAT Contact Management System (Effective October 9, 2023 in the Industry Test Environment and October 23, 2023 in the Production Environment) and Section 14: CAT Invoice Viewer. Updated guide throughout to remove references to “future dates” that have now passed.
1.6	12/22/2023	Added entitlements associated with download CAT Billing Trade Details and Create/Edit Firm Preferences for CAT Billing Trade Details file format to existing roles in Section 1.1 CAT Transaction Reporter Portal User Roles.

		Removed Sections 6.2: Action Summary and 6.3: Placeholder for future release. Added Section 12.3 Firm Preferences for File Format, with information on Named Feedback Format and CAT Billing Trade Details Format settings. Updated Section 13: Contact Management System with the following: • Added new Alternate Billing Contact role. • Removed reference to United States Postal Service address validations to U.S.-based addresses. • Removed reference to duplicate check validations for Email Address. Updated Section 14: CAT Invoice Viewer with the following: • Added overview on Invoice Viewer functionality and CAT Executing Brokers. • Clarified which information is available in the "Invoice Summary" tab. • Added Section 14.3: Download CAT Billing Trade Details Files. • Updated Invoice example in Section 14.5.1 Invoice, and clarified descriptions in the Overview chart. • Updated line item names in the Invoice Details Overview. • Added overview of the Executed Equivalent Share Volume by Product, Side, and Execution Venue chart on invoice.
1.7	10/2/2026	Added implementation of typeahead search for the "Reporter CRD" input box in Submitter View, enabling users to filter by partial CRD number or firm name and maintain the selected CRD view when navigating between tabs for improved workflow continuity. Updated document throughout to reflect current displays and functionalities in the CAT Reporter Portal. Added the following sections to include existing tools and features within the CAT Reporter Portal: • Section 5: Applying Filters • Section 6.4: Logout. • Section 7.5 Counterparty Statistics • Section 7.6 Late Statistics • Section 12: Monthly Report Cards • Section 14.2: Trade Details • Section 14.3: Documents • Section 14.4.2: CAT Billing Trade Details File • Section 14.4.3: Bank Letter

		• Section 14.4.4: Form W-9 • Section 14.4.5: IRS Tax Exempt Determination Letter Removed the following sections: • Section 8.7: Invalidation of an IMID • Section 9.7: Invalidation of an IMID • Section 10: CAIS Reporting Relationships • Section 11: Customer and Account (CAIS) Reporter Portal. Removed Section 8.2: CAT Transaction Reporting Relationship Fields, Rules, and Validations and integrated guidance throughout Section 10: Reporting Relationships. Removed Section 9.2: ATS Order Type Fields, Rules, and Validations and integrated guidance throughout Section 11: ATS Order Types. Removed Section 13.2: Export Contacts and added functionality under Other Contact Management Functionalities. Removed Section 14.2: Export Invoice and Late Notice Documents and added functionality to Section 14.1: Invoice Summary. Removed Section 14.3: Download CAT Billing Trade Details File(s) and added functionality to Section 14.2: CAT Billing Trade Details File. Removed Section 14.4: Additional Resources and integrated guidance throughout Section 14: Invoices. Renamed the following section titles to reflect what is stated in the CAT Reporter Portal: • Section 9.1.2: File Upload • Section 9.1.3: Download Feedback • Section 9.2.1: Create CAT Events • Section 9.2.2: Pending Submissions • Section 10: Reporting Relationships • Section 14: Invoices • Section 14.1: Invoice Summary • Section 14.2: Trade Details Renamed the following Section titles to more accurately summarize section information: • Section 9.1.1: File Processing Stages • Section 10.3: View CAT Transaction Reporting Relationships • Section 10.4: Add New CAT Transaction Reporting Relationship • Section 10.5: Edit Existing CAT Transaction Reporting Relationship • Section 11.3: View ATS Order Types
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		• Section 11.4: Add New ATS Order Types • Section 11.5: Edit Existing ATS Order Types • Section 13.8: Delete Contact Added the CAT Technical Specifications for Billing Trade Details to the Companion Documents section. Added screenshots of Document Types available in the Invoices tab of the Reporter Portal to Section 14.4 Document Type Overview. Updated the screenshots of the CAT Reporter Portal used to demonstrate its functionalities throughout. Removed outdated information related to Third-Party Reporters throughout. Updated Invoice Details Overview table to reflect current status of CAT Invoices. Renumbered sections as applicable. Other minor clarifications and typos. Updated references from CAIS to Reference Database
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Overview

The Industry Member CAT Reporter Portal (“Portal”) is a web-based tool that allows CAT Reporters to monitor and manage data submissions to CAT for Transaction reporting. It includes end-to-end capability for providing complete and accurate data to CAT, including the ability to manually enter and upload data, monitor submissions and review and correct errors.

The Portal is also used for creating and managing reporting relationships for both Transaction and Reference Database reporting, entry of ATS Order Types, viewing and downloading Transaction and Reference Database Monthly Report Cards, Contact Management and viewing and downloading Invoices and related documents.

Users can also access other CAT-related information including system announcements, system status, and additional resources.

Note: All screenshots and information included herein are purely fictional to demonstrate Portal functionality, and should not be construed as representative of actual relationships or CAT-related reporting.

Questions

Questions related to this document may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com.

IMPORTANT NOTE ABOUT THE CONTENT OF THIS USER GUIDE

This user guide is applicable to functionality available in the Industry Test, Production Mirror, and Production environments. At times, information may be provided for functionality available in Industry Test that has not yet been released into Production. Such information is clearly marked.

Companion Documents

- Reference Database Reporter Portal User Guide: <https://www.catnmsplan.com/cais-registration>
- CAT Reporting Technical Specifications for Industry Members and Industry Member JSON Schemas: <https://www.catnmsplan.com/specifications/im>
- CAT Industry Member Reporting Scenarios: <https://www.catnmsplan.com/specifications/imreportingscenarios>
- Connectivity Supplement for Industry Members: <https://www.catnmsplan.com/transaction-registration>
- Frequently Asked Questions: <https://www.catnmsplan.com/faq>
- Industry Member Onboarding Guide: <https://www.catnmsplan.com/transaction-registration>
- CAT Technical Specifications for Billing Trade Details: <https://catnmsplan.com/billing-trade-details-technical-specifications>

1 Entitlement and User Roles

Prior to accessing the CAT Transaction Reporter Portal or Reference Database Reporter Portal, an individual must have a CAT user account with an assigned user privilege that provides the corresponding access. See the Transaction [Industry Member Onboarding Guide](#) for additional information, including instructions for creating and maintaining a user account and descriptions of available user privileges.

2 Technical Requirements

The CAT Transaction Reporter Portal is accessible via the web using a secure, authenticated internet connection. No client software installation is required. To successfully access the Portal, users must:

- Use TLS 1.2 requiring at a minimum NIST compliant 128-bit ciphers
- Use an HTML5-compatible browser such as Chrome, Edge or Firefox
- Have established multi-factor authentication

Failure to satisfy these requirements may result in the inability to access the Portal.

See the [FINRA CAT Connectivity Supplement for Industry Members](#) for the available connection methods and all corresponding technical requirements.

3 Access Information

The following table provides the URLs for accessing each Transaction Portal environment (Production, Production Mirror and Industry Test) for web-based users.

For information on the content and intended use of each environment, see Section 4.1 CAT System Environments in the [Industry Member Onboarding Guide](#).

For information on the connectivity methods and accessing the Transaction Portal via private line or PrivateLink, see the [FINRA CAT Connectivity Supplement for Industry Members](#).

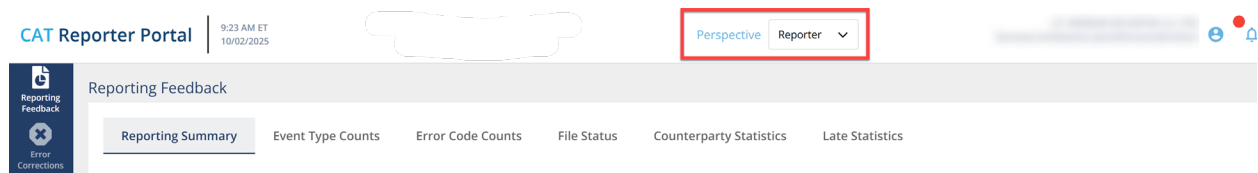
For **web-based** users accessing the Portal directly through an internet browser:

Production	https://srg.catnms.com
Production Mirror	https://srg.prodmirror.ct.catnms.com
Industry Test	https://srg.ct.catnms.com

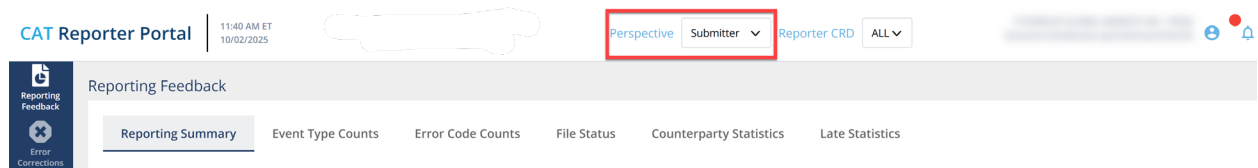
4 Data Perspectives

The CAT Transaction Reporter Portal provides the ability to view data from different perspectives, allowing users to view information through a particular point of view. The available Perspectives are:

- **Reporter:** available when the user's organization is an Industry Member. This perspective includes all data provided by the Industry Member and all data provided by a Submitter on behalf of the Industry Member.



- **Submitter:** available when the user's organization acts as a Submitter/CAT Reporting Agent. This includes all data submitted to CAT by the user's organization for itself as well as data submitted as a CAT Reporting Agent on behalf of another Industry Member.



- The **Submitter** perspective also allows the user to filter for a specific Reporter CRD with which the Submitter has a reporting relationship by using the dropdown or type ahead functionality. When the filter is applied, it will show only statistics, counts and status for that Submitter and Reporter CRD combination for the Reporting Feedback and Error Corrections screens. In addition, the Reporter CRD functionality allows the user to maintain the selected CRD filter value across all tabs in the Portal without resetting to the default value when navigating between tabs.

Reporting Feedback

Reporting Summary

Event Type Counts

Error Code Counts

File Status

Counterparty Statistics

Late Statistics

☒ Processing Date

☐ Trade Date

Product Type

IMID

10/1/2025



ALL

ALL

APPLY

RESET

Export

Compliance Error Rate®

1.5447%

The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics

[Show Details](#)

Files Received

Files Accepted

Files Rejected

Invalid Files

14

14

0

0

5 Applying Filters

Portal statistics, counts and status are displayed by the most recently completed Processing Date for ALL Product Types and ALL IMIDs by default. If the user has applied filter criteria on any screen in the Portal, statistics, counts and status are displayed per when switching to other screens in the Portal.

6 Administrative Information

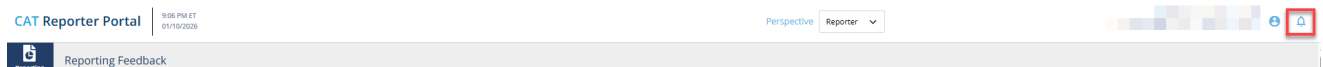
The Portal provides access to announcements and system health information for all users. The **Announcements** feature alerts the user to CAT Announcements published to the Portal and the **System Status** feature indicates the current system health status of the CAT Reporter Portal. It also allows users to set an organization-wide preference for Named Feedback file format and Billing Trade Details file format.

6.1 Announcements

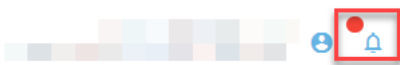
The **Announcements** feature alerts the user that new CAT announcements have been published to the Portal, provides a high-level overview of the latest announcements and allows the user to view all announcements that have been published to the Portal.

To view announcements:

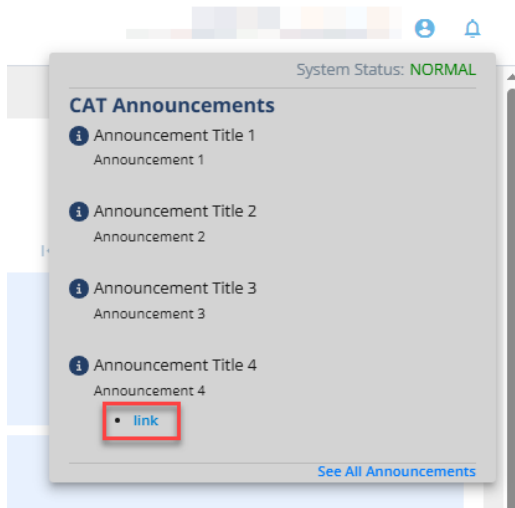
1. Select the notification bell on the top right side of the screen.



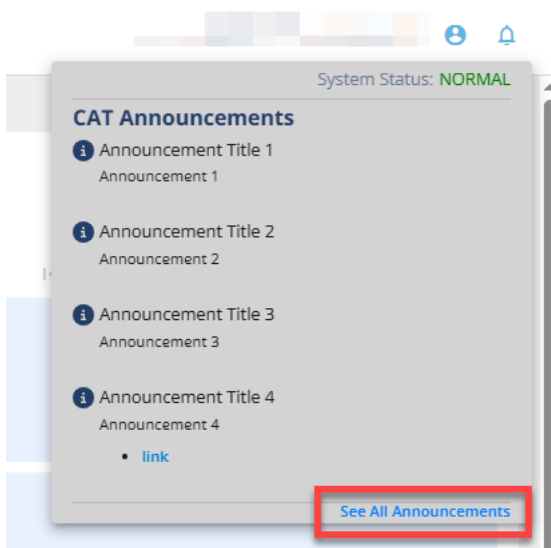
If applicable, the red dot located next to the notification bell informs the user of announcements not yet viewed.



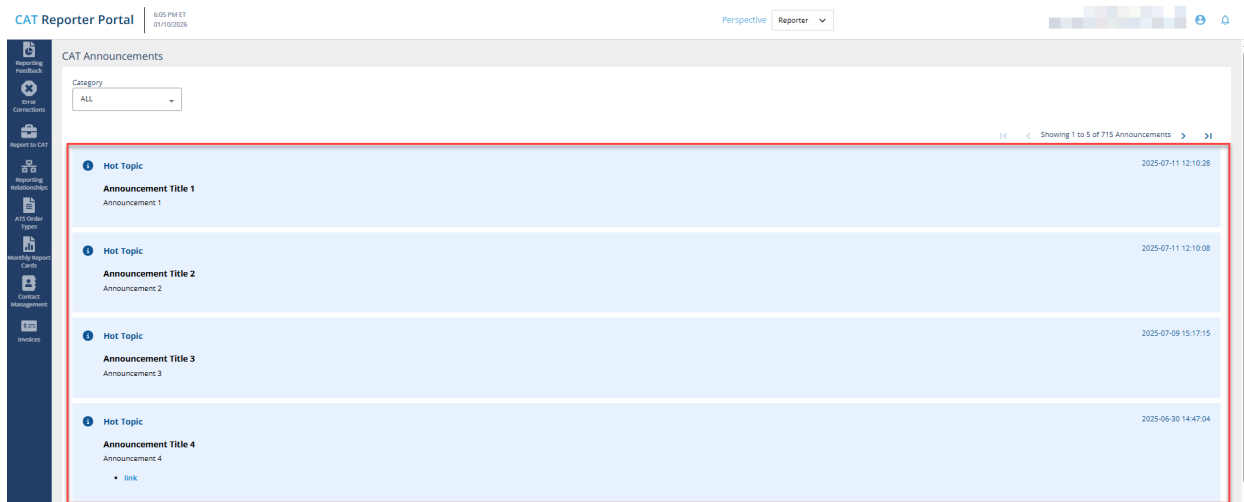
2. Review the announcements. The most recent announcements are displayed. If applicable, click the link associated with the announcement to view more information. The link will navigate the user to a new webpage on their internet browser.



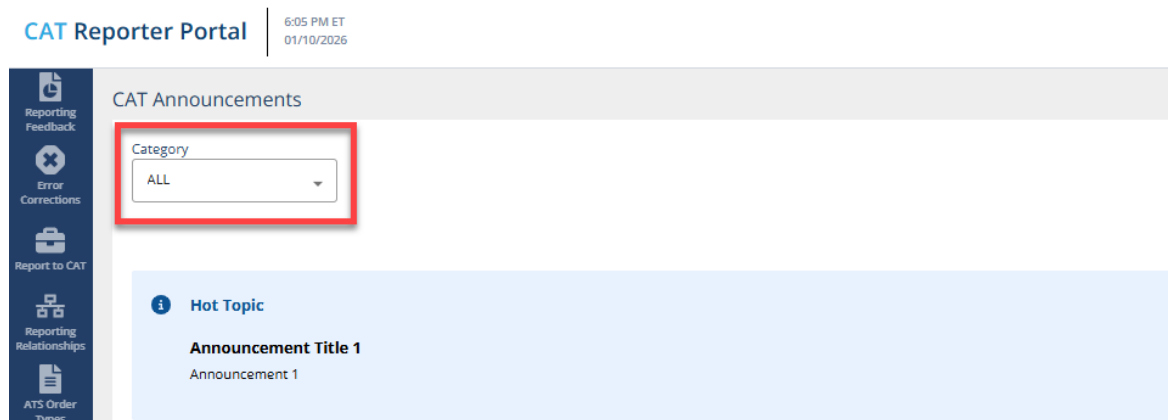
3. Optionally, select **See All Announcements** to view more details about a particular announcement or to see all announcements published to the Portal.



4. Review the CAT Announcements screen. Use scrollbar at the right of the display to view all available announcements on the page.



5. Optionally, filter the announcements by category by clicking the **Category** dropdown button.



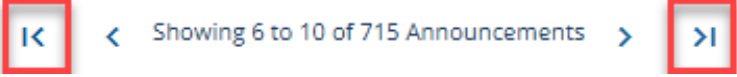
The available options under the Category dropdown include the following:

- ALL
- Hot Topic
- System Announcement

Other Announcement Functionality:

The chevron buttons, as shown in 1, below, allow the user to move to the next or previous Announcements page. The chevron-pipe icons, as shown in 2, below, allow the user to move to the first or last Announcements page. Each page displays five announcements.



2.  < Showing 6 to 10 of 715 Announcements >

6.2 System Status

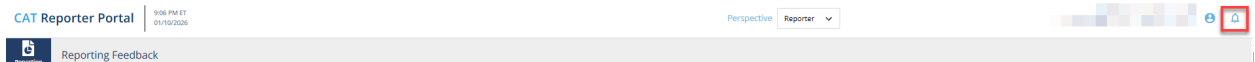
The **System Status** feature indicates the current system status of the CAT Reporter Portal. System status can be classified as one of the following:

- NORMAL
- OUTAGE

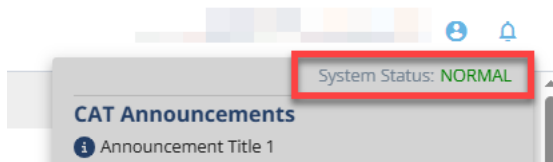
A “NORMAL” system status indicates that the CAT Reporter Portal is not currently experiencing any issues or delays. A “OUTAGE” system status indicates that the CAT Reporter Portal is experiencing a system outage and is temporarily unavailable; the user can only access the Announcements screen during this time.

To view the System Status:

1. Select the notification bell on the top right side of the screen.



2. View the System Status.



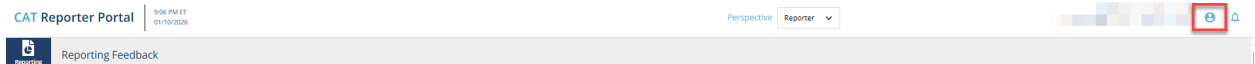
6.3 File Format Settings

The **Settings** feature allows the user to manage the organization’s file format preference for the Named Feedback and Billing Trade Details files. By default, the Named Feedback File is provided in a file format corresponding to the original submission file format (CSV or JSON). The Billing Trade Details File is provided in CSV format by default. The **Settings** feature allows the user to configure file format settings for both documents to either JSON or CSV format. The **Settings** feature establishes preferences at the CAT Reporter-level and are not configurable at the individual user level.

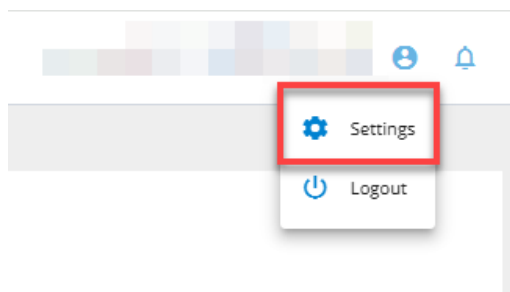
For Named Feedback Files, any change to firm preferences will change the file format of the firm's feedback on a go-forward basis and may take up to two business days prior to taking effect. Only Account Administrators for an Industry Member may change the file format for both Named Feedback Files and Billing Trade Details Files.

To view file format settings:

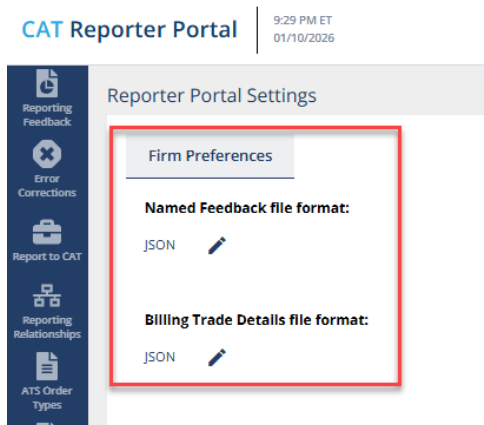
1. Select the user profile icon at the top right corner of the screen.



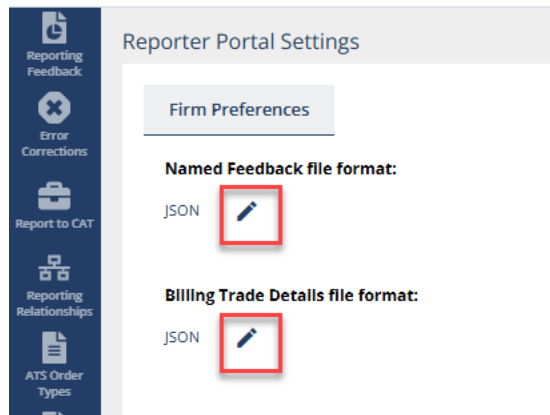
2. Select **Settings**.



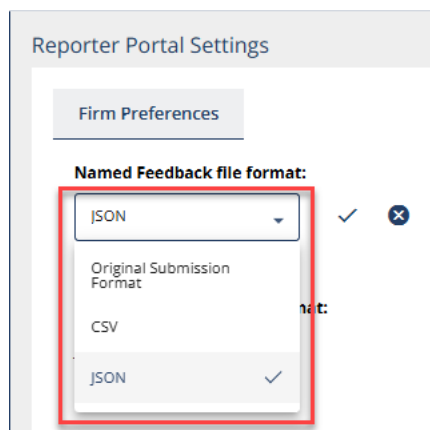
3. View the firm's file format preferences on the Reporter Portal Settings screen.



4. Optionally, click the pencil icon to edit the file format(s).

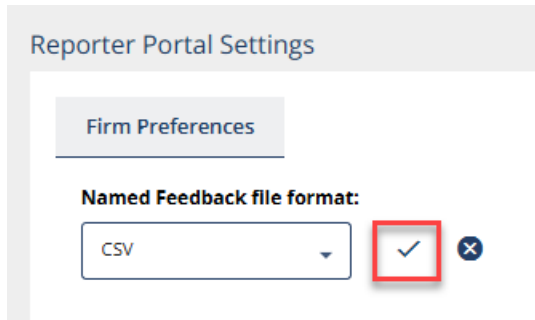


5. Click the dropdown menu to view the file format options.



The available options under the Named Feedback and Billing Trade Details File Format dropdown lists include the following:

- Original Submission Format (*only available for Named Feedback File*)
 - CSV
 - JSON
6. Select the preferred file format and click the checkmark button to confirm the selection. Once completed, the updated file format will be reflected on the Reporter Portal Settings screen. Click the cancel button ("X") to cancel the action.

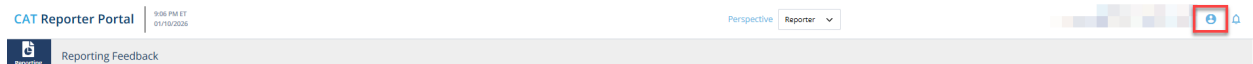


6.4 Logout

Users are encouraged to actively logout when not engaged in the Portal. After 50 minutes of inactivity, users receive a prompt and must select **YES** to remain logged in to the Portal. Selecting **NO**, closing ("X") the prompt or remaining inactive for 60 minutes results in the user being logged out.

To logout of the Portal:

1. Select the user profile icon at the top, right corner of the screen.



2. Select **Logout**.



3. Optionally, open a new session by selecting **click here** on the logout page.



7 Reporting Feedback

The **Reporting Feedback** tool provides six tabs that display various statistics and breakdowns for all data submitted by or on behalf of a user's organization through machine-to-machine communication or the Portal. The **Reporting Summary** tab provides an overview of statistics for all organization data submitted, including the organization's Compliance Error Rate. The **Event Type Counts** tab provides a breakdown of statistics by event type. The **Error Code Counts** tab provides a breakdown of statistics by error code. The **File Status** tab provides a list of files submitted by the user's organization and the status of each file. The **Counterparty Statistics** tab provides a summary of linkage errors. The **Late Statistics** tab provides a summary of records submitted after 8 a.m. Eastern Time on T+1. Users can access data for any single day within the previous 90 calendar days, including the current date, across all six tabs.

7.1 Reporting Summary

The **Reporting Summary** tab provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. It also shows the organization's Compliance Error Rate for the selected Processing Date or Trade Date. A user may view **Reporting Summary** statistics for any single day within the previous 90 calendar days, including the current date.

To view the Reporting Summary for the organization:

1. Select **Reporting Feedback**.

CAT Reporter Portal | 9:04 AM ET | 10/02/2025 | Perspective | Reporter

Reporting Feedback

- Reporting Summary (selected)
- Event Type Counts
- Error Code Counts
- File Status
- Counterparty Statistics
- Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Compliance Error Rate **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Total Processed Events	Total Accepted	Total Accepted FDD Events	Accepted Late	Late Rate

2. If applicable, select the **Reporting Summary** tab.

CAT Reporter Portal | 9:23 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date | Product Type | IMID

10/1/2025 | ALL | ALL | **APPLY** | RESET

[Export](#)

Compliance Error Rate[®] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics

[Show Details](#)

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events

[Show Details](#)

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [®]
------------------------	----------------	----------------------------	---------------	------------------------

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click **Apply**.

CAT Reporter Portal | 9:23 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date | Product Type | IMID

10/1/2025 | ALL | ALL | **APPLY** | RESET

[Export](#)

Compliance Error Rate[®] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics

[Show Details](#)

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events

[Show Details](#)

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [®]
------------------------	----------------	----------------------------	---------------	------------------------

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

- [illegible]

Column	Description
Compliance Error Rate	Rate calculation details can be found in the Compliance Glossary at https://www.catnmsplan.com/industry-member-compliance-glossary .
File Statistics	The number of files received, accepted, rejected and marked as invalid. Invalid files are files that did not pass the File Acknowledgement stage of processing. Note that any specified Trade Date and Product Type filter criteria do not apply to the File Statistics.
Submitted Events	The total number of events processed, accepted and accepted late, and the rate of late events. The total number of events with FDIDs (<i>firmDesignatedIDs</i>) is also displayed to provide the total number of accepted events that require the FDID field.
Rejections	The total number of rejections, rejections for full duplicates, repairable rejections and repaired rejections, and the initial rejection rate and adjusted rejection rate. The Adjusted Rejection Rate reflects rejections that were repaired by or before 8:00 a.m. Eastern Time on T+3.

Column	Description
Out of Sequence	The number of out of sequence (OOS) errors and repaired OOS errors, and the initial OOS rate and adjusted OOS rate. The Adjusted OOS Rate reflects OOS errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Firm Designated ID	The number of errors for invalid FDIDs, pending FDIDs and repaired FDID errors, and the initial FDID error rate and adjusted FDID error rate. Invalid FDID Errors includes the count of intrafirm linkage errors where the <i>firmDesignatedID</i> and/or <i>newOrderFDID</i> value reported was not found in the Reference Database. Pending FDID Errors includes the count of intrafirm linkage errors where the <i>firmDesignatedID</i> field was populated with a value of 'PENDING'. The Adjusted FDID Error Rate reflects FDID errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Intrafirm	The number of intrafirm warnings, events that are eligible for intrafirm linkage, unlinked intrafirm events and repaired intrafirm linkage events, and the initial unlinked rate and adjusted unlinked rate. The Adjusted Unlinked Rate reflects intrafirm linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Interfirm Routes	The total number of interfirm route events with route linkage key duplicates, that are eligible for linkage, that are unlinked and that were repaired, and the initial interfirm unlinked rate and adjusted interfirm unlinked rates. The Adjusted Unlinked Rate reflects interfirm route linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Interfirm Accept/Modify	The total number of interfirm accepted and modified events with route linkage key duplicates, that are linkage eligible, that are unlinked and that were repaired, and the initial interfirm unlinked rate and adjusted interfirm unlinked rate. The Adjusted Unlinked Rate reflects interfirm accepted and modified linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Exchange/ADF Routes	The number of exchange/ADF route events with route linkage key duplicates, that are eligible for linkage, that are unlinked and that were repaired, and the initial exchange/ADF unlinked rate and adjusted exchange/ADF unlinked rate. The Adjusted Unlinked Rate reflects exchange/ADF route linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.

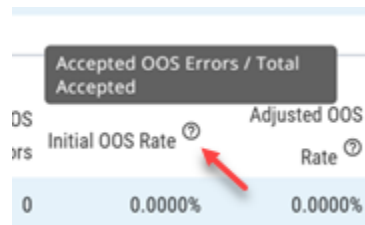
Column	Description
Outbound Router Accept/Modify	For Industry Members receiving orders from exchanges, the number of accepted and modified events with route linkage key duplicates, that are eligible for linkage, that are unlinked and that were repaired, and the initial exchange unlinked rate and adjusted exchange unlinked rates. The Adjusted Unlinked Rate reflects exchange accepted or modified linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Trades	The number of trade events with linkage key duplicates, that are eligible for linkage, that are unlinked and that were repaired, and the initial unlinked rate and adjusted unlinked rates. The Adjusted Unlinked Rate reflects trade linkage errors that were repaired by or before 8:00 a.m. Eastern Time on T+3.
Named Statistics	The number of unlinked events where the Industry Member was identified on CAT events reported by a counterparty.

Other Reporting Summary Functionality:

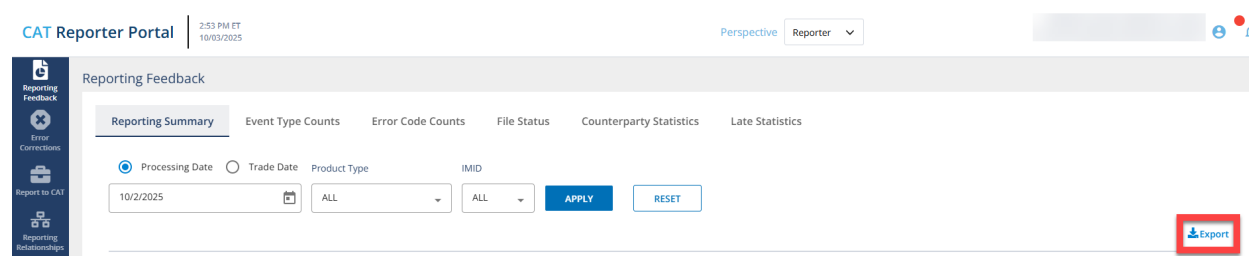
Each category of statistics can be displayed to show a breakdown by IMID and Submitter ID by clicking **Show Details**. If applicable, click **Hide Details** to display the statistics only at the aggregate level.

File Statistics		Files Received
Show Details		
		1
Submitted Events		Total Processed Events
Hide Details		
IMID	Submitter ID	10
ABCD	1111	10

Hover over the Question Mark icon to display additional information.



To export the statistics, click **Export**. Any filters applied to the **Reporting Summary** will also be applied to the export. Two separate files will be made available – one for file-level statistics and one for event-level statistics (including linkage information). Download the generated CSV files using the internet browser functionality.



7.2 Event Type Counts

The **Event Type Counts** tab provides a breakdown of statistics by event type for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view **Event Type Counts** for any single day within the previous 90 calendar days, including the current date.

To view Event Type Counts for the organization:

1. Select Reporting Feedback.

CAT Reporter Portal | 9:04 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Compliance Error Rate[Ⓢ] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics
[Show Details](#)

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events
[Show Details](#)

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [Ⓢ]
------------------------	----------------	----------------------------	---------------	------------------------

2. Select the Event Type Counts tab.

CAT Reporter Portal | 11:15 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | **Event Type Counts** | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Event Submission By Type

Event Type	Processed	Processed CDR	Processed BPR	Processed DDL	Accepted	Accepted Late	Rejected
1111	2,424	737	889	0	2,424	0	0
1112	200	0	0	0	200	0	0
1113	2,224	737	889	0	2,224	0	0

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click Apply.

CAT Reporter Portal | 11:15 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | **Event Type Counts** | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Event Submission By Type

Event Type	Processed	Processed CDR	Processed BPR	Processed DDL	Accepted	Accepted Late	Rejected
1111	2,424	737	889	0	2,424	0	0
1112	200	0	0	0	200	0	0
1113	2,224	737	889	0	2,224	0	0

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

- Optionally expand the **Event Submission By Type** table to display the event type counts for each IMID/Submitter combination by clicking on the row.

Event Submission By Type			Processed
			2,424
IMID	Submitter ID	Event Type	
ABCD	1111		200
		MBBO	2
		MEAA	2
		MECO	2
		MECOC	2
		MECOM	2
		MECR	2
		MECRS	2
		MEFA	2
		MEIC	2
		MEICR	2
		MEIM	2
		MEIMR	2
		MEIR	2
		MEMR	2
		MEMRS	2
		MENO	2
		MENOS	2
		MENQ	2
		MENQS	2
		MEOA	2
		MEOC	2
		MEOCR	2
		MEOE	2

- Review the **Event Type Counts**. If there are no records for the applied filter criteria, the Event Submission By Type table will be populated with zeros (0).

CAT Reporter Portal

11:16 AM ET
10/16/2025

PerspectiveReporter

Reporting Feedback

Reporting Summary

Event Type Counts

Error Code Counts

File Status

Counterparty Statistics

Late Statistics

Processing Date

Trade Date

Product Type

10/9/2025

ALL

ALL

APPLY

RESET

Event Submission By Type

	Processed	Processed COR	Processed BPS	Processed DEL	Accepted	Accepted Late	Rejected
	2,424	797	669	0	2,424	0	0
IMID	Submitter ID	Event Type					
ABCD	1111	200	0	0	200	0	0
2222	555	2,224	797	669	2,224	0	0

Click on the Event Type, then click on the Submitter ID, to get a list of events.

The **Event Type Counts** tab displays the following information for the specified filter criteria:

Column	Description
Processed	Total number of events processed.

Column	Description
Processed COR	Number of events processed with an <i>actionType</i> of 'COR'.
Processed RPR	Number of events processed with an <i>actionType</i> of 'RPR'.
Processed DEL	Number of events processed with an <i>actionType</i> of 'DEL'.
Accepted	Total number of events accepted without data validation errors.
Accepted Late	Total number of events submitted after 8:00 a.m. ET on T+1.
Rejected	Total number of events rejected.

Other Event Type Counts Functionality:

To export the statistics, click **Export**. Any filters applied to the **Event Type Counts** will also be applied to the export. Download the generated CSV file using the internet browser functionality.

CAT Reporter Portal | 11:44 AM ET 10/06/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | **Event Type Counts** | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

Processing Date: 10/3/2025 | Trade Date: | Product Type: ALL | IMID: ALL | **APPLY** | **RESET** | **Export**

7.3 Error Code Counts

The **Error Code Counts** tab provides a breakdown of statistics by error code for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view **Error Code Counts** for any single day within the previous 90 calendar days, including the current date.

To view Error Code Counts for the organization:

1. Select Reporting Feedback.

CAT Reporter Portal | 9:04 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | APPLY | RESET

Compliance Error Rate[Ⓢ] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics [Show Details](#)

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events [Show Details](#)

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [Ⓢ]
------------------------	----------------	----------------------------	---------------	------------------------

2. Select the Error Code Counts tab.

CAT Reporter Portal | 12:39 PM ET 10/06/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | **Error Code Counts** | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/3/2025 | ALL | ALL | APPLY | RESET

Error Code Counts (7) [Export](#)

Date	CAT Reporter IMID ↓	Submitter ID	Error Code	Error Type	Error Reason	Error Count*
10/03/2025	ABCD	1111	2002	REJECTION	Missing or invalid actionType	1
10/03/2025	ABCD	1111	2007	REJECTION	Missing or invalid atsDisplayInd	1
10/03/2025	ABCD	1111	2011	REJECTION	Invalid CATReporterIMID	1
10/03/2025	ABCD	1111	2092	REJECTION	Missing or invalid seqNum	1
10/03/2025	ABCD	1111	2105	REJECTION	Missing or invalid type	1
10/03/2025	ABCD	1111	2803	REJECTION	Missing or invalid askType	1
10/03/2025	ZZZZ	555	2011	REJECTION	Invalid CATReporterIMID	1

- Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click **Apply**.

CAT Reporter Portal | 12:39 PM ET 10/06/2025 Perspective Reporter

Reporting Feedback

Reporting Summary Event Type Counts **Error Code Counts** File Status Counterparty Statistics Late Statistics

☒ Processing Date ☐ Trade Date Product Type IMID

10/3/2025 ALL ALL **APPLY** RESET

Error Code Counts (7) [Export](#)

Date	CAT Reporter IMID ↓	Submitter ID	Error Code	Error Type	Error Reason	Error Count*
10/03/2025	ABCD	1111	2002	REJECTION	Missing or Invalid actionType	1
10/03/2025	ABCD	1111	2007	REJECTION	Missing or Invalid atsDisplayInd	1
10/03/2025	ABCD	1111	2011	REJECTION	Invalid CATReporterIMID	1
10/03/2025	ABCD	1111	2092	REJECTION	Missing or Invalid seqNum	1
10/03/2025	ABCD	1111	2105	REJECTION	Missing or Invalid type	1
10/03/2025	ABCD	1111	2803	REJECTION	Missing or Invalid askType	1
10/03/2025	ZZZZ	555	2011	REJECTION	Invalid CATReporterIMID	1

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

- Review the **Error Code Counts**. Use the scrollbar at the right and bottom of the display to view all available rows and columns. If there are no records for the applied filter criteria, the screen will display “No Rows To Show.”

CAT Reporter Portal | 12:39 PM ET 10/06/2025 Perspective Reporter

Reporting Feedback

Reporting Summary Event Type Counts **Error Code Counts** File Status Counterparty Statistics Late Statistics

☒ Processing Date ☐ Trade Date Product Type IMID

10/3/2025 ALL ALL **APPLY** RESET

Error Code Counts (7) [Export](#)

Date	CAT Reporter IMID ↓	Submitter ID	Error Code	Error Type	Error Reason	Error Count*
10/03/2025	ABCD	1111	2002	REJECTION	Missing or Invalid actionType	1
10/03/2025	ABCD	1111	2007	REJECTION	Missing or Invalid atsDisplayInd	1
10/03/2025	ABCD	1111	2011	REJECTION	Invalid CATReporterIMID	1
10/03/2025	ABCD	1111	2092	REJECTION	Missing or Invalid seqNum	1
10/03/2025	ABCD	1111	2105	REJECTION	Missing or Invalid type	1
10/03/2025	ABCD	1111	2803	REJECTION	Missing or Invalid askType	1
10/03/2025	ZZZZ	555	2011	REJECTION	Invalid CATReporterIMID	1

The **Error Code Counts** tab displays the following information for the specified filter criteria:

Column	Description
Date	The selected Processing Date or Trade Date.
CAT Reporter IMID	The IMID associated to the error code count.
Submitter ID	The CAT-assigned unique ID for the organization that submitted the record(s) with error(s).
Error Code	The code identifying the error. See the Industry Member Technical Specifications for a list of Error Codes, Descriptions and Explanations.
Error Type	The type of error, "REJECTION" or "LINKAGE".
Error Reason	A description of the corresponding Error Code.
Error Count	The total number of errors for the specified combination of Error Code, Submitter ID, CAT Reporter IMID and Date.

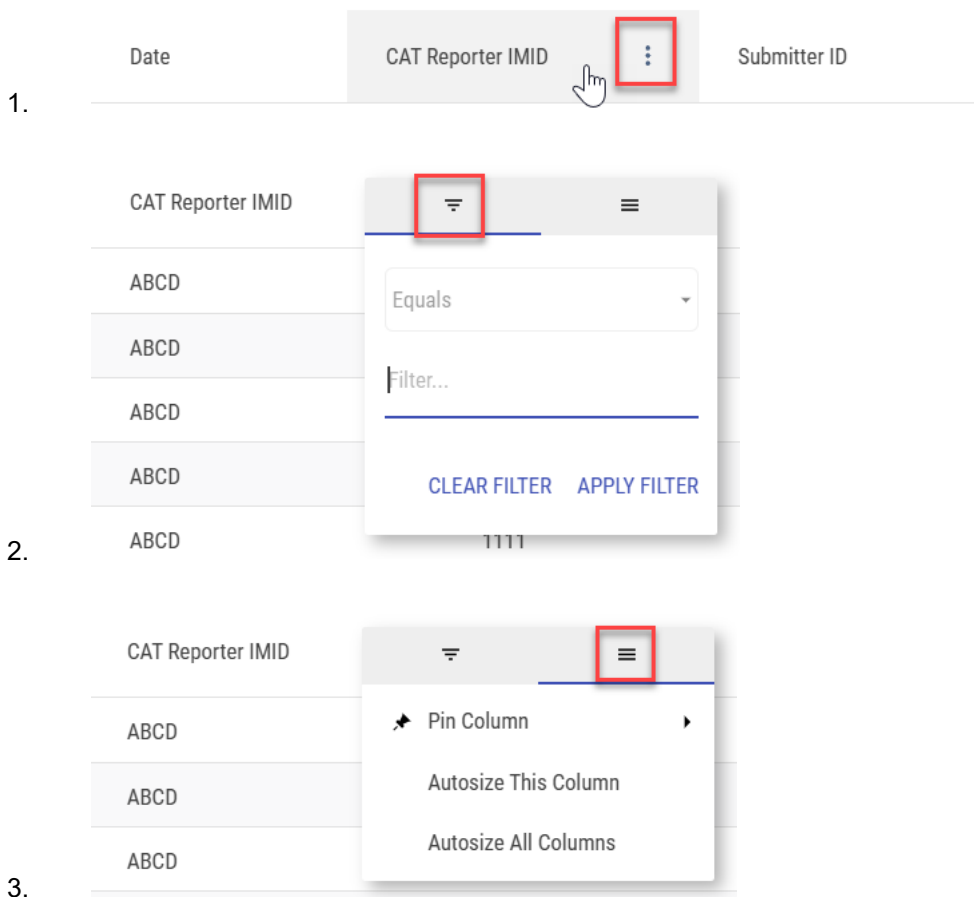
Other Error Code Counts Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

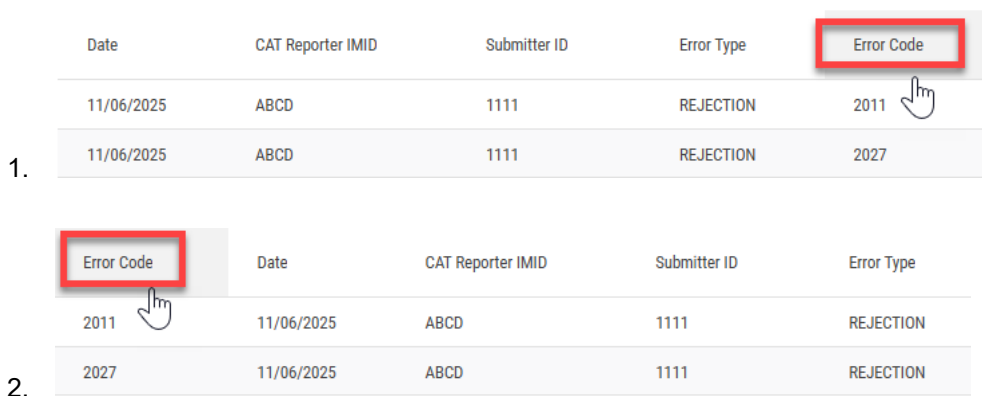


To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (☞) allows the user to filter for a specific value as shown in 2, below, while the

hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.



To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To export the statistics, click **Export**. Any filters applied to the **Error Code Counts** will also be applied to the export. Download the generated CSV file using the internet browser functionality.

CAT Reporter Portal
12:39 PM ET
10/06/2025

Perspective Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management

Reporting Feedback

Reporting Summary
Event Type Counts
Error Code Counts
File Status
Counterparty Statistics
Late Statistics

Processing Date
Trade Date
Product Type
IMID

10/3/2025
ALL
ALL
APPLY
RESET

Export

Date	CAT Reporter IMID ↓	Submitter ID	Error Code	Error Type	Error Reason	Error Count*
10/03/2025	ABCD	1111	2002	REJECTION	Missing or invalid actionType	1
10/03/2025	ABCD	1111	2007	REJECTION	Missing or invalid atsDisplayInd	1
10/03/2025	ABCD	1111	2011	REJECTION	Invalid CATReporterIMID	1
10/03/2025	ABCD	1111	2092	REJECTION	Missing or invalid seqNum	1
10/03/2025	ABCD	1111	2105	REJECTION	Missing or invalid type	1
10/03/2025	ABCD	1111	2803	REJECTION	Missing or invalid askType	1
10/03/2025	ZZZZ	555	2011	REJECTION	Invalid CATReporterIMID	1

7.4 File Status

The **File Status** tab provides a list of files submitted by the user's organization, and/or files submitted on behalf of the user's organization, including the file status and corresponding timestamp. This includes files submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view information for files submitted on any single day within the previous 90 calendar days, including the current date.

To view File Status for the organization:

1. Select **Reporting Feedback**.

CAT Reporter Portal
9:04 AM ET
10/02/2025

Perspective Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management
Invoices

Reporting Feedback

Reporting Summary
Event Type Counts
Error Code Counts
File Status
Counterparty Statistics
Late Statistics

Processing Date
Trade Date
Product Type
IMID

10/1/2025
ALL
ALL
APPLY
RESET

Export

Compliance Error Rate®
0.5097%
The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics
Show Details

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events
Show Details

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate ®

2. Select the **File Status** tab.

The screenshot shows the CAT Reporter Portal interface. The 'Reporting Feedback' section is active, and the 'File Status' tab is highlighted with a red box. The 'Processing Date' is set to 10/13/2025, and the 'IMID' dropdown is set to 'ALL'. The 'APPLY' button is also highlighted with a red box. Below the filters is a table with the following columns: Submitter ID, CAT Reporter IMID, User ID, Uploaded Filename, Upload Timestamp, Upload Method, Acknowledgement Timestamp, Acknowledgement File Status, Integrity Timestamp, and Integrity. The table contains several rows of data, with the first row highlighted in blue.

Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	Upload Timestamp	Upload Method	Acknowledgement Timestamp	Acknowledgement File Status	Integrity Timestamp	Integrity
1111	ABCD	catdc_test_user	1111_ABCD_20251014_23oPW_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:30	Success	10/14/2025 09:37:57	Failu
1111	ABCD	catdc_test_user	1111_ABCD_20251014_jwS4w_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:26	Success	10/14/2025 09:37:42	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_Htblm_OrderEvent...	10/13/2025 10:44:04	SFTP	10/13/2025 10:44:11	Success	10/13/2025 10:45:19	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_gdlEp_OrderEvents...	10/13/2025 10:41:15	SFTP	10/13/2025 10:41:23	Success	10/13/2025 10:42:30	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:44	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:46	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251010_3JfbJ_OrderEvents...	10/13/2025 10:33:56	SFTP	10/13/2025 05:34:02	Success	10/13/2025 05:35:10	Succ

3. Optionally filter by Processing Date and/or IMID and click **Apply**.

The screenshot shows the CAT Reporter Portal interface with the 'File Status' tab selected. The 'Processing Date' is set to 10/13/2025, and the 'IMID' dropdown is set to 'ALL'. The 'APPLY' button is highlighted with a red box. The table below shows the same data as the previous screenshot, but with the first row highlighted in blue.

Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	Upload Timestamp	Upload Method	Acknowledgement Timestamp	Acknowledgement File Status	Integrity Timestamp	Integrity
1111	ABCD	catdc_test_user	1111_ABCD_20251014_23oPW_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:30	Success	10/14/2025 09:37:57	Failu
1111	ABCD	catdc_test_user	1111_ABCD_20251014_jwS4w_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:26	Success	10/14/2025 09:37:42	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_Htblm_OrderEvent...	10/13/2025 10:44:04	SFTP	10/13/2025 10:44:11	Success	10/13/2025 10:45:19	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_gdlEp_OrderEvents...	10/13/2025 10:41:15	SFTP	10/13/2025 10:41:23	Success	10/13/2025 10:42:30	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:44	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:46	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251010_3JfbJ_OrderEvents...	10/13/2025 10:33:56	SFTP	10/13/2025 05:34:02	Success	10/13/2025 05:35:10	Succ

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

4. Review the **File Status**. Use the scrollbars at the bottom and right of the display to view all available columns and rows. If there are no records for the applied filter criteria, the screen will display “No Data Found.”

CAT Reporter Portal
11:56 AM ET
10/14/2025
Perspective
Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management
Invoices

Reporting Summary
Event Type Counts
Error Code Counts
File Status
Counterparty Statistics
Late Statistics

Processing Date
10/13/2025
IMID
ALL
APPLY
RESET

Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	Upload Timestamp	Upload Method	Acknowledgement Timestamp	Acknowledgement File Status	Integrity Timestamp	Integrity File Status
1111	ABCD	catdc_test_user	1111_ABCD_20251014_330PW_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:30	Success	10/14/2025 09:37:57	Failed
1111	ABCD	catdc_test_user	1111_ABCD_20251014_330PW_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:26	Success	10/14/2025 09:37:42	Success
1111	ABCD	catdc_test_user	1111_ABCD_20251013_Htmlm_OrderEvent...	10/13/2025 10:44:04	SFTP	10/13/2025 10:44:11	Success	10/13/2025 10:45:19	Success
1111	ABCD	catdc_test_user	1111_ABCD_20251013_gdEp_OrderEvents...	10/13/2025 10:41:15	SFTP	10/13/2025 10:41:23	Success	10/13/2025 10:42:30	Success
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:44	Success
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:46	Success
1111	ABCD	catdc_test_user	1111_ABCD_20251010_330PW_OrderEvents...	10/13/2025 10:33:56	SFTP	10/13/2025 05:34:02	Success	10/13/2025 05:35:10	Success

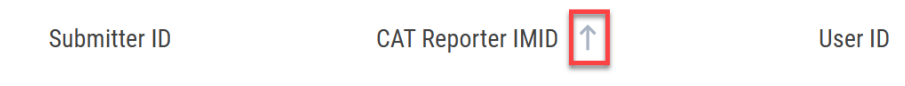
The **File Status** tab displays the following information for the specified filter criteria:

Column	Description
Submitter ID	The CAT-assigned unique ID for the organization that submitted the file.
CAT Reporter IMID	The unique CAT Reporter IMID associated to the file.
User ID	A unique account identifier associated to the user that submitted the file.
Uploaded Filename	The name of the file submitted by or on behalf of the Industry Member.
Uploaded Timestamp	The date and time that the file was successfully uploaded.
Upload Method	The method by which the file was uploaded, "WEB" or "SFTP".
Acknowledgement Timestamp	The date and time that File Acknowledgement feedback was generated.
Acknowledgement File Status	The result of the file upload, "Success" or "Failure".
Integrity Timestamp	The date and time that File Integrity feedback was generated. Note that files with an Integrity File Status of "Duplicate" will not be timestamped.
Integrity File Status	The result of file integrity processing, "Duplicate", "Success" or "Failure".

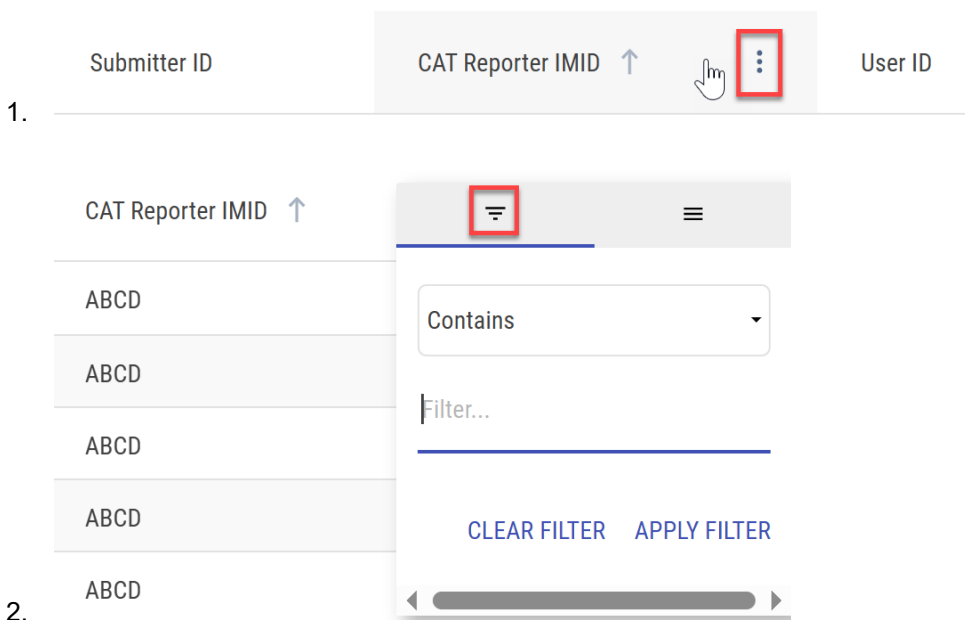
Column	Description
Ingestion Timestamp	The date and time that Data Ingestion processing was completed.
Processed	The number of records processed.
Accepted	The number of records accepted.
Rejected	The number of records rejected.

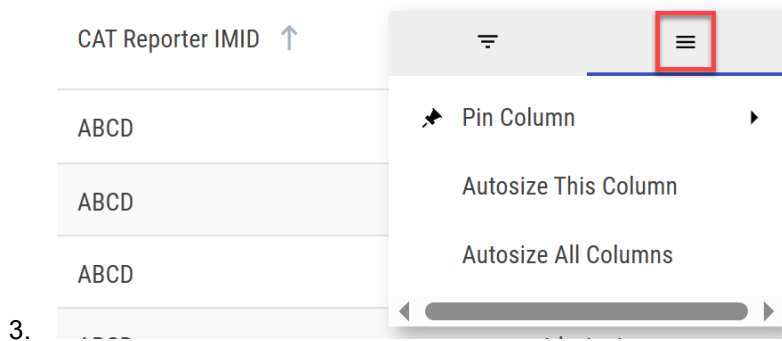
Other File Status Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

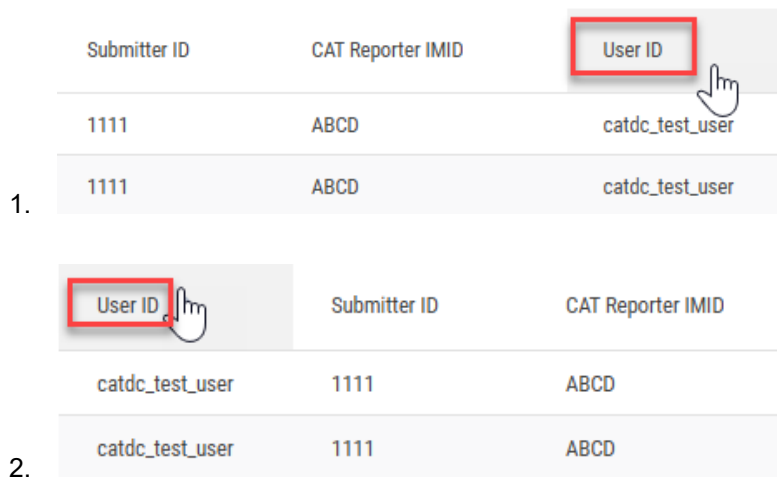


To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (≡) allows the user to filter for a specific value as shown in 2, below, while the hamburger (≡) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.





To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To export the data, click **Export**. Any filters applied to the **File Status** will also be applied to the export. Download the generated CSV file using the internet browser functionality.

CAT Reporter Portal | 11:56 AM ET 10/14/2025

Perspective Reporter

Reporting Feedback

Reporting Summary Event Type Counts Error Code Counts **File Status** Counterparty Statistics Late Statistics

Processing Date: 10/13/2025 IMID: ALL **APPLY** **RESET**

Submitter ID	CAT Reporter IMID	User ID	Uploaded Filename	Upload Timestamp	Upload Method	Acknowledgement Timestamp	Acknowledgement File Status	Integrity Timestamp	Integrity
1111	ABCD	catdc_test_user	1111_ABCD_20251014_c3oFW_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:30	Success	10/14/2025 09:37:57	Fail
1111	ABCD	catdc_test_user	1111_ABCD_20251014_jwG4w_OrderEvents...	10/14/2025 07:36:09	SFTP	10/14/2025 09:36:26	Success	10/14/2025 09:37:42	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_H7bLm_OrderEvent...	10/13/2025 10:44:04	SFTP	10/13/2025 10:44:11	Success	10/13/2025 10:45:19	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_gdEp_OrderEvents...	10/13/2025 10:41:15	SFTP	10/13/2025 10:41:23	Success	10/13/2025 10:42:30	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:44	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251013_testFilePair_OrderEv...	10/13/2025 10:34:28	SFTP	10/13/2025 10:34:35	Success	10/13/2025 10:35:46	Succ
1111	ABCD	catdc_test_user	1111_ABCD_20251010_3Jfb_OrderEvents...	10/13/2025 10:33:56	SFTP	10/13/2025 05:34:02	Success	10/13/2025 05:35:10	Succ

Export

7.5 Counterparty Statistics

The **Counterparty Statistics** tab provides an overview of linkage statistics for the user's organization. A user may view information for data submitted on any single day within the previous 90 calendar days, including the current date.

To view the Counterparty Statistics for the organization:

1. Select Reporting Feedback.

CAT Reporter Portal | 9:04 AM ET | 10/02/2025 | Perspective | Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

Processing Date | Trade Date | Product Type | IMID

10/1/2025 | ALL | ALL | APPLY | RESET

Export

Compliance Error Rate[®] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics

Show Details

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events

Show Details

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [®]
103	101	2	2	0.0000%

2. Select the Counterparty Statistics tab.

CAT Reporter Portal | 2:47 PM ET | 10/09/2025 | Perspective | ALL

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

Processing Date | Trade Date | Product Type

9/12/2025 | ALL | APPLY | RESET

Export

Date	Reporter MID *	Linkage Key MID	Linkage Type	Reported/Named	Counterparty ID	Counterparty CRD ID	Linkage Eligible *	Unlinked	Repaired	Initial Unlinked Rate *	Adjusted Unlinked Rate *
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	P	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Delivery Trade	J	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	K	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	J	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Delivery Trade	LT	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Delivery Trade	DC	N/A	1	0	0	0.0000%	0.0000%

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and click Apply.

CAT Reporter Portal 2:47 PM ET 10/09/2025 Perspective ALL

Reporting Feedback

Reporting Summary Event Type Counts Error Code Counts File Status Counterparty Statistics Late Statistics

Processing Date Trade Date Product Type

9/12/2025 ALL APPLY RESET

Date	Reporter IMID *	Linkage Key IMID	Linkage Type	Reported/Named	Counterparty ID	Counterparty CRD ID	Linkage Eligible *	Unlinked	Reported	Initial Unlinked Rate *	Adjusted Unlinked Rate *
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	P	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	J	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	K	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	J	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	LT	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	DC	N/A	1	0	0	0.0000%	0.0000%

Export

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

- Review the **Counterparty Statistics**. If there are no records for the applied filter criteria, the screen will display “No Rows To Show.”

CAT Reporter Portal 2:47 PM ET 10/09/2025 Perspective ALL

Reporting Feedback

Reporting Summary Event Type Counts Error Code Counts File Status Counterparty Statistics Late Statistics

Processing Date Trade Date Product Type

9/12/2025 ALL APPLY RESET

Date	Reporter IMID *	Linkage Key IMID	Linkage Type	Reported/Named	Counterparty ID	Counterparty CRD ID	Linkage Eligible *	Unlinked	Reported	Initial Unlinked Rate *	Adjusted Unlinked Rate *
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	P	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	J	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	K	N/A	1	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	TWP Trade	J	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	LT	N/A	2	0	0	0.0000%	0.0000%
09/12/2025	ZZZT1	ZZZT1	TBADE	Open Outcry Trade	DC	N/A	1	0	0	0.0000%	0.0000%

Export

The **Counterparty Statistics** tab displays the following information for the specified filter criteria:

Column	Description
Date	The selected Processing Date or Trade Date.
Reporter IMID	The IMID used to report the event to CAT. <i>Note: For Named events, Reporter IMID will show as blank.</i>
Linkage Key IMID	A combination of the CRD and IMID reported in the event, in “CRD:IMID” format.
Linkage Type	The type of linkage, “INTERFIRM”, “EXCHANGE”, or “TRADE”.

Column	Description
Reported/Named	The classification of the error type. Reported/Named values include: - Route - Named on Route - Exchange/ADF Route - Named on Exchange Route - TRF Trade - Named on TRF Trade - Open Outcry Trade - Named on Open Outcry Trade - Accept/Modify - Named on Accept/Modify - Named on Exchange Accept/Modify - Outbound Router Accept/Modify
Counterparty ID	Identity of the counterparty. May be an Industry Member, Exchange or TRF.
Counterparty CRD ID	The CRD of the counterparty, when the counterparty is an Industry Member. <i>Note: For all Exchange and Trade Linkages, Counterparty CRD ID is populated as N/A.</i>
Linkage Eligible	Number of events reported by the Industry Member that are eligible for linkage for the specific combination of Reporter IMID, Linkage Key IMID, Linkage Type, Reported/Named and Counterparty ID. <i>Note: For Named events, Linkage Eligible will show as blank.</i>
Unlinked	The total record count of unrepaid records for the specific combination of Reporter IMID, Linkage Key IMID, Linkage Type, Reported/Named and Counterparty ID.
Repaired	The total record count of repaired and reconciled records for the specific combination of Reporter IMID, Linkage Key IMID, Linkage Type, Reported/Named and Counterparty ID. Includes records repaired by the counterparty.

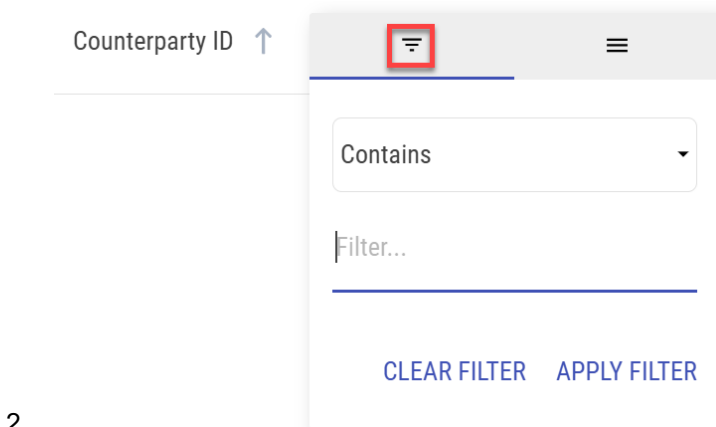
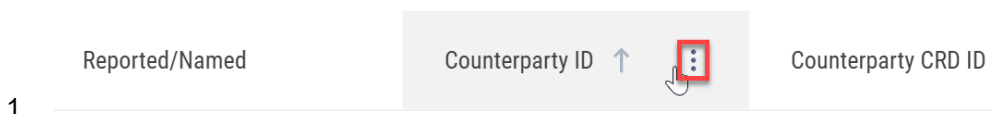
Column	Description
Initial Unlinked Rate	Unlinked / Linkage Eligible <i>Note: If the Linkage Eligible value is 0, the Initial Unlinked Rate will show blank.</i>
Adjusted Unlinked Rate	Unlinked - Repaired / Linkage Eligible <i>Note: If the Linkage Eligible value is 0, Adjusted Unlinked Rate will show as blank.</i>

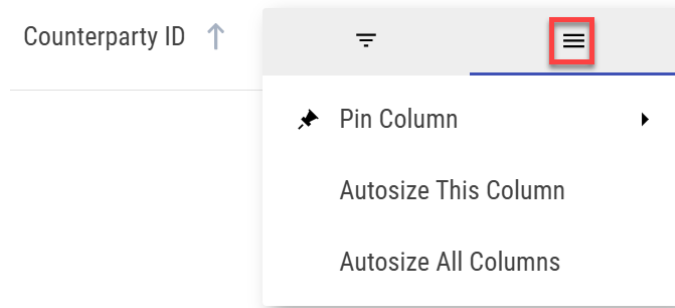
Other Counterparty Statistics Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.



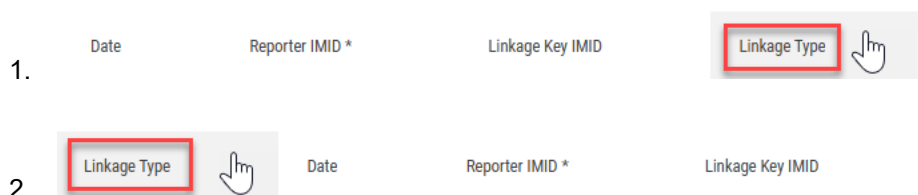
To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (🍓) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.



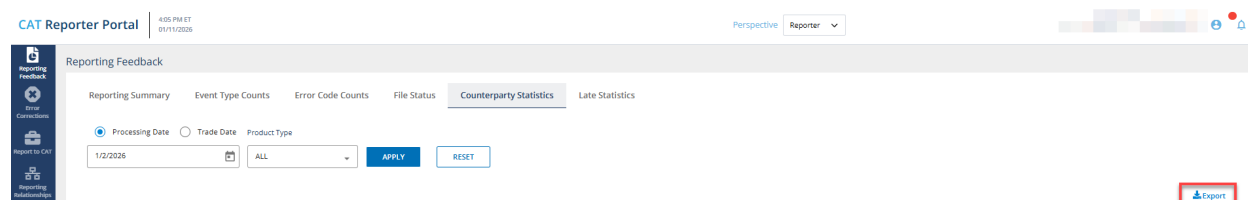


3.

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To export the statistics, click Export. Any filters applied to the **Counterparty Statistics** will also be applied to the export. Download the generated CSV files using the internet browser functionality.



7.6 Late Statistics

The **Late Statistics** tab provides a summary of records submitted by the user's organization and/or records submitted on behalf of the user's organization after 8 a.m. Eastern Time on T+1. This includes records submitted via machine-to-machine communication and data uploaded or entered via the Portal. A user may view information for records submitted on any single day within the previous 90 calendar days, including the current date.

To view the Late Statistics for the organization:

1. Select **Reporting Feedback**.

CAT Reporter Portal | 9:04 AM ET 10/02/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | Late Statistics

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/1/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Compliance Error Rate[Ⓢ] **0.5097%** The CAT NMS Plan has set the initial Maximum Compliance Error Rate at 5%. Please refer to [Compliance Glossary](#) for rate calculation details.

File Statistics [Show Details](#)

Files Received	Files Accepted	Files Rejected	Invalid Files
103	101	2	0

Submitted Events [Show Details](#)

Total Processed Events	Total Accepted	Total Accepted FDID Events	Accepted Late	Late Rate [Ⓢ]
103	101	2	2	0

2. Select the **Late Statistics** tab.

CAT Reporter Portal | 10:54 AM ET 10/28/2025 | Perspective Reporter

Reporting Feedback

Reporting Summary | Event Type Counts | Error Code Counts | File Status | Counterparty Statistics | **Late Statistics**

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

9/2/2025 | ALL | ALL | **APPLY** | **RESET** | [Export](#)

Submitter ID	CAT Reporter IMID	Processing Date	Trade Date	Late Accepted Records
11111	ABCD	09/02/2025	08/27/2025	160
11111	ABCD	09/02/2025	08/29/2025	96

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click **Apply**. If there are no records for the applied filter criteria, the screen will display “No Rows To Show.”

CAT Reporter Portal
10:54 AM ET
10/28/2025

Perspective
Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report

Reporting Summary
Event Type Counts
Error Code Counts
File Status
Counterparty Statistics
Late Statistics

☒ Processing Date
☐ Trade Date

Product Type
IMID

9/2/2025
ALL
ALL
APPLY
RESET

Export

Submitter ID	CAT Reporter IMID	Processing Date	Trade Date	Late Accepted Records
11111	ABCD	09/02/2025	08/27/2025	160
11111	ABCD	09/02/2025	08/29/2025	96

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

4. Review the **Late Statistics**.

CAT Reporter Portal
10:54 AM ET
10/28/2025

Perspective
Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report

Reporting Summary
Event Type Counts
Error Code Counts
File Status
Counterparty Statistics
Late Statistics

☒ Processing Date
☐ Trade Date

Product Type
IMID

9/2/2025
ALL
ALL
APPLY
RESET

Export

Submitter ID	CAT Reporter IMID	Processing Date	Trade Date	Late Accepted Records
11111	ABCD	09/02/2025	08/27/2025	160
11111	ABCD	09/02/2025	08/29/2025	96

The **Late Statistics** tab displays the following information for the specified filter criteria:

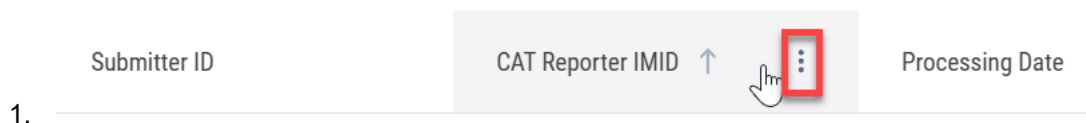
Column	Description
Submitter ID	The CAT-assigned unique ID for the organization that submitted the late event.
CAT Reporter IMID	The unique CAT Reporter IMID associated to the late event.
Processing Date	Events reported late to CAT will be assigned the Processing Date reflective of when they were reported. For example, an event that occurred on T at 2:00 p.m. Eastern Time that is reported to CAT after 8:00 a.m. Eastern Time on T+1 and prior to 8:00 a.m. Eastern Time on T+2 will be assigned a Processing Date of T+1.
Trade Date	The date portion of the event timestamp. For weekends and public holidays, the trade date is the next business date.
Late Accepted Records	The count of records submitted after 8 a.m. Eastern Time on T+1.

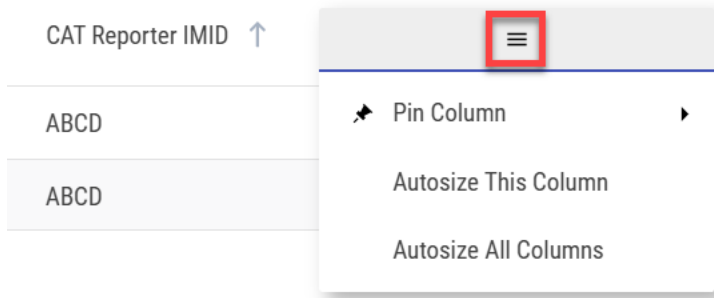
Other Late Statistics Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.



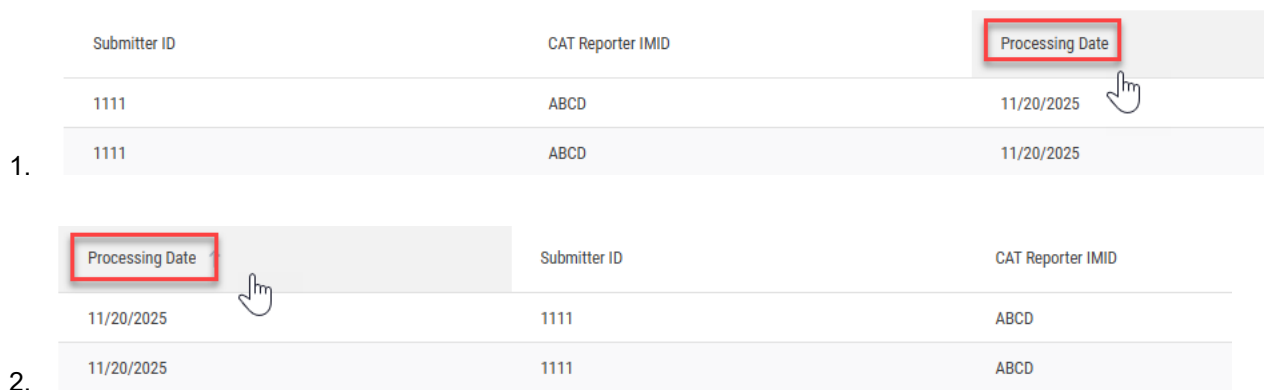
To adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 2, below.



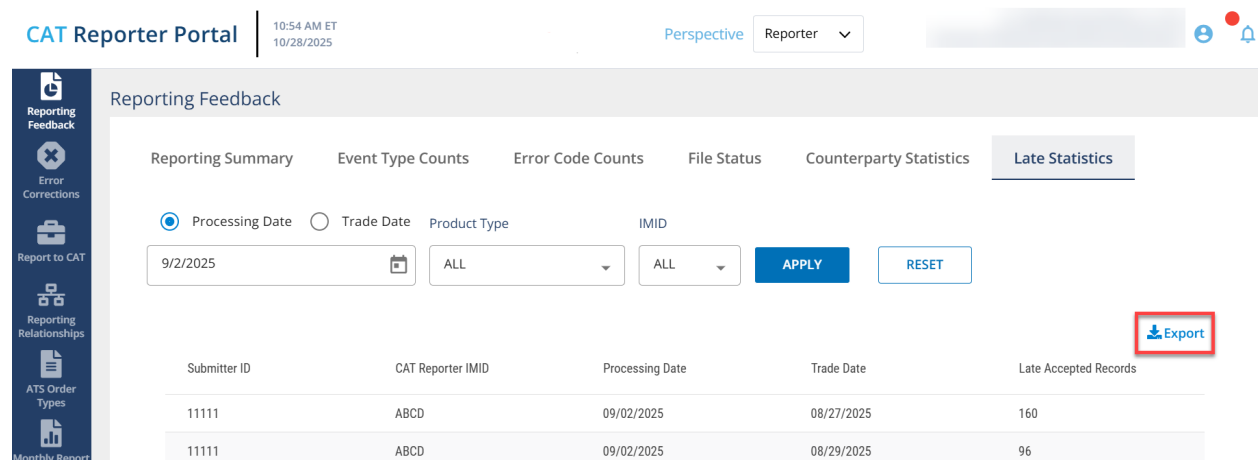


2.

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To export the statistics, click **Export**. Any filters applied to the **Late Statistics** will also be applied to the export. Download the generated CSV files using the internet browser functionality.



8 Error Corrections

The **Error Corrections** tool allows users to review repaired and unrepaired errors and to repair Rejected and Unlinked records. The **Error Summary** screen displays a summary of the errors. The **Error Search** screen displays details for each error. The **Error Repair** screen allows users to manually repair rejections with a Repair Status of “U” (Unrepaired). The **Group Repair** screen allows users to manually repair rejections that were identified for Group Repair. User may view errors for any single day within the previous 90 calendar days, including the current date.

Error Correction Submission Process:

Submission of a repair is a two-step process. The user must first *create* the repair and then *submit* it. Detailed instructions can be found in [Section 8.3: Error Repair](#).

8.1 Error Summary

The **Error Summary** tab provides a summary of errors for a specific Processing Date or Trade Date. The **Error Summary** tab defaults to display the list of errors for the most recently completed processing date and all IMIDs for the organization. A user may view the **Error Summary** for any single day in the previous 90 calendar days, including the current date.

To view the Error Summary for the organization:

1. Select **Error Corrections**.

CAT Reporter Portal | 2:15 PM ET 11/04/2025 | Perspective Reporter

Error Corrections

Error Summary | Error Search

☒ Processing Date ☐ Trade Date | Product Type: ALL | IMID: ALL | **APPLY** | **RESET**

10/20/2025

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6) | [Export](#)

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		3
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2
10/20/2025	ABCD	1111	REJECTION	U		2027	Missing or invalid eventTimestamp		1

2. If applicable, select the **Error Summary** tab.

Error Corrections

Error Summary Error Search

Processing Date Trade Date Product Type IMID

10/20/2025 ALL ALL APPLY RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6) Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		3
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click **Apply**.

Error Corrections

Error Summary Error Search

Processing Date Trade Date Product Type IMID

10/20/2025 ALL ALL APPLY RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6) Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		3
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

- Review the **Error Summary**. Use the scrollbars at the bottom and right of the display to view all available columns and rows. If there are no records for the applied filter criteria, the screen will display “No Rows To Show.”

CAT Reporter Portal | 4:08 PM ET 10/21/2025 Perspective Reporter

Error Corrections

Error Summary Error Search

☒ Processing Date
 ☐ Trade Date
 Product Type: ALL
 IMID: ALL
 APPLY **RESET**

10/20/2025

Display Limitations:
 Ingestion Errors: Up to 100,000 per IMID and Process Date.
 Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6)

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		2
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2

The **Error Summary** tab displays the following information for the specified filter criteria:

Column	Description
Date	The selected Processing Date or Trade Date.
CAT Reporter IMID	The unique CAT Reporter IMID associated to the record with the error.
Submitter ID	The CAT-assigned unique ID for the organization that submitted the record with the error.
Error Type	The type of error. Allowable values: Rejection, Linkage or OOS.
Repair Status	The repair status of the record. Allowable values : (U)nrepaired: No repair action has been taken or the record remains unrepaired. (P)ending: Repair has been initiated and saved to Pending Submissions. (S)ubmitted: Repair has been submitted from Pending Submissions. (R)epaired: Repair has been processed by CAT.

Column	Description
Repair Type	The <i>actionType</i> taken to repair the error. This field is populated only when Repair Status is R. Allowable values: COR: Correction of an event initiated by the firm. DEL: Record level delete instruction. RPR: Repair of events for which a CAT error was provided in feedback.
Error Code	The code identifying the error. See Industry Member Technical Specifications Sections E.2 Data Ingestion Errors and E.3 Linkage Discovery Errors for a list of error codes.
Error Reason	The description of the error. See Industry Member Technical Specifications Sections E.2 Data Ingestion Errors and E.3 Linkage Discovery Errors for a list of error reasons.
Group Repair Eligible	Indicates if the corresponding records are eligible for group repair. See Section 8.4: Group Repair for details.
Error Count	The count of records with the corresponding error. <i>Note: If the Total Rejections from the Reporting Summary tab does not match the total amount of rejections reflected in the Error Count column, it indicates that a record(s) rejected for multiple reasons.</i>

Other Error Summary Functionality:

To initiate a Group Repair for eligible records, click the “Y” hyperlink in the **Group Repair Eligible** column. See [Section 8.4: Group Repair](#) for details.

CAT Reporter Portal | 4:35 PM ET 10/21/2025 Perspective Reporter

Error Corrections

Error Summary Error Search

Processing Date Trade Date Product Type IMID

10/6/2025 ALL ALL APPLY RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (25) Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/06/2025	ABCD	1111	REJECTION	U		2041	Missing or invalid manualFlag	Y	10
10/06/2025	ABCD	1111	REJECTION	R	DEL	2011	Invalid CATReporterIMID		1
10/06/2025	ABCD	1111	REJECTION	R	DEL	2098	symbol not valid on Event Date		1
10/06/2025	ABCD	1111	REJECTION	R	DEL	2133	Additional fields are specified in the re...		3
10/06/2025	ABCD	1111	REJECTION	R	DEL	2184	Invalid combination of clearingFirm an...		1

To jump to the **Error Search** screen, click the **Error Count** hyperlink. The **Error Search** screen will display only the selected group of errors.

CAT Reporter Portal | 4:31 PM ET 10/21/2025 Perspective Reporter

Error Corrections

Error Summary Error Search

Processing Date Trade Date Product Type IMID

10/6/2025 ALL ALL APPLY RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

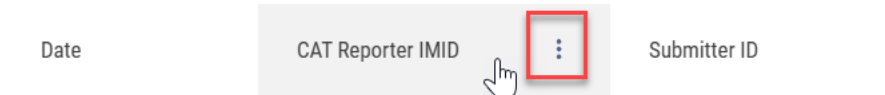
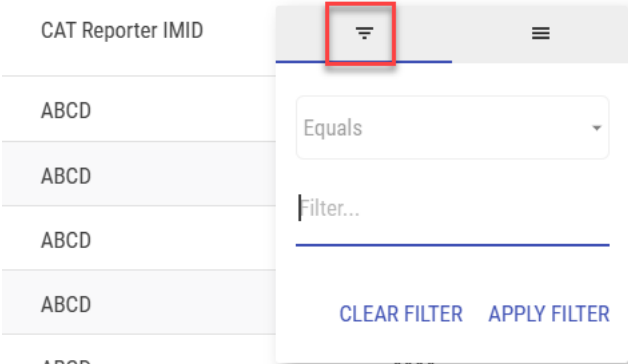
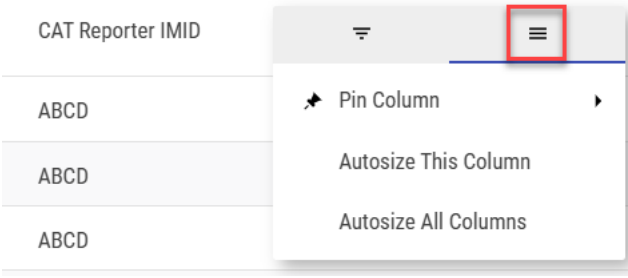
Error Summary (25) Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/06/2025	ABCD	1111	REJECTION	U		2041	Missing or invalid manualFlag	Y	10
10/06/2025	ABCD	1111	REJECTION	R	DEL	2011	Invalid CATReporterIMID		1
10/06/2025	ABCD	1111	REJECTION	R	DEL	2098	symbol not valid on Event Date		1
10/06/2025	ABCD	1111	REJECTION	R	DEL	2133	Additional fields are specified in the re...		3
10/06/2025	ABCD	1111	REJECTION	R	DEL	2184	Invalid combination of clearingFirm an...		1

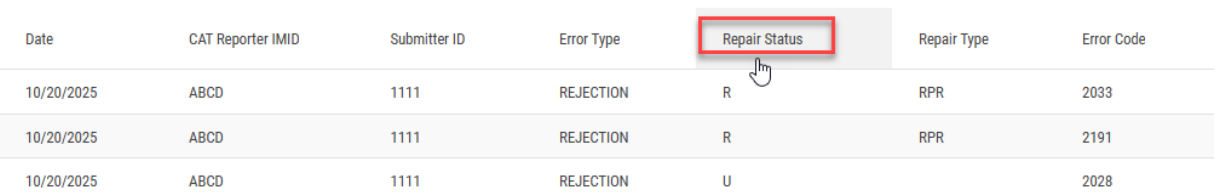
To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

Date CAT Reporter IMID Submitter ID

To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (🍓) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.

- 
- 
- 

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.

- 
- 

To export the statistics, click **Export**. Any filters applied to the **Error Summary** will also be applied to the export. Download the generated CSV file using the internet browser functionality.

CAT Reporter Portal
4:13 PM ET
10/21/2025

Perspective Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management
Invoices

Error Corrections

Error Summary
Error Search

☒ Processing Date
☐ Trade Date
Product Type
IMID

10/20/2025
ALL
ALL
APPLY
RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6)
Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		3
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2

8.2 Error Search

The **Error Search** tab provides a detailed view of each record summarized on the **Error Summary** tab. A user may view errors for any single day in the previous 90 calendar days, including the current date.

To view the Error Search details for the organization:

1. Select **Error Corrections**.

CAT Reporter Portal
2:15 PM ET
11/04/2025

Perspective Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management
Invoices

Error Corrections

Error Summary
Error Search

☒ Processing Date
☐ Trade Date
Product Type
IMID

10/20/2025
ALL
ALL
APPLY
RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6)
Export

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOriginCode and d...		3
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		3
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2
10/20/2025	ABCD	1111	REJECTION	U		2027	Missing or invalid eventTimestamp		1

2. Select the **Error Search** tab.

CAT Reporter Portal | 4:36 PM ET 10/22/2025 Perspective Reporter

Error Corrections

Error Summary **Error Search**

☒ Processing Date
 ☐ Trade Date
 Product Type
 IMID

10/21/2025
 ALL
 ALL
 APPLY
 RESET

Display Limitations:
 Ingestion Errors: Up to 100,000 per IMID and Process Date.
 Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (1044) [Export](#)

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7602160496308	20190415_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	LTov DrsOI
7602160496299	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	anWJnLdI
7602160496300	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	a%gF7>JL
7602160496297	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	.rMQDuLd

3. Optionally change the view to Processing Date or Trade Date, and/or filter by Product Type and/or IMID and click **Apply**.

CAT Reporter Portal | 4:36 PM ET 10/22/2025 Perspective Reporter

Error Corrections

Error Summary **Error Search**

☒ Processing Date
 ☐ Trade Date
 Product Type
 IMID

10/21/2025
 ALL
 ALL
 APPLY
 RESET

Display Limitations:
 Ingestion Errors: Up to 100,000 per IMID and Process Date.
 Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (1044) [Export](#)

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7602160496308	20190415_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	LTov DrsOI
7602160496299	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	anWJnLdI
7602160496300	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	a%gF7>JL
7602160496297	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	.rMQDuLd

The available options under the Product Type dropdown include the following:

- ALL
- EQUITIES
- OPTIONS

The IMID dropdown includes all active IMIDs for the organization. Under the Submitter perspective, it also includes all IMIDs with which the organization has a current reporting relationship.

- Review the error details. Use the scrollbars at the bottom and right of the display to view all available columns and rows. If there are no records for the applied filter criteria, the screen will display “No Rows To Show.”

CAT Reporter Portal | 2:31 PM ET 11/04/2025 | Perspective Reporter

Error Corrections

Error Summary | **Error Search**

☒ Processing Date
 ☐ Trade Date
 Product Type: ALL
 IMID: ALL

10/20/2025

Display Limitations:
 Ingestion Errors: Up to 100,000 per IMID and Process Date.
 Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (8) [Export](#)

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7802160447109	20251020_MENDS_FDID_...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	dghfret
7802160447111	20251020_MOMR_NoREDe...	2028	Combination of eachOrig...	REJECTION	U	1111	ABCD	1111	efddd
7802160447113	20251020_MOOR_NoREDe...	2028	Combination of eachOrig...	REJECTION	U	1111	ABCD	1111	efddd
7802160447112	20251020_MLMR_NoREDe...	2028	Combination of eachOrig...	REJECTION	U	1111	ABCD	1111	dfddg
7802160447107	20251020_MLOS_FDIDAp...	2033	Invalid Event Date in the fi...	REJECTION	U	1111	ABCD	1111	
7802160447110	20251020_MONOS_FDID_...		MULTIPLE ERRORS	REJECTION	U	1111	ABCD	1111	wrtwet
7802160447108	20251020_MLOS_FDIDAp...		MULTIPLE ERRORS	REJECTION	U	1111	ABCD	1111	wwrttw

The **Error Search** tab displays the following information for each record meeting the specified filter criteria:

Column	Description
Error ROE ID	The CAT-assigned unique identifier for an error record.
Firm ROE ID	The <i>firmROEID</i> , as reported on the record with the error.
Error Code	The code identifying the error. See Industry Member Technical Specifications Sections E.2 Data Ingestion Errors and E.3 Linkage Discovery Errors for a list of error codes.
Error Reason	The description of the error. See Industry Member Technical Specifications Sections E.2 Data Ingestion Errors and E.3 Linkage Discovery Errors for the error description.
Error Type	The type of error. Allowable values: Rejection, Linkage or OOS.

Column	Description
Repair Status	The repair status of the rejected record. <i>Values include:</i> (U)nrepaired: No repair action has been taken or the record remains unrepaired. (P)ending: Repair has been created and is pending submission. (S)ubmitted: Repair has been submitted from Pending Submissions. (R)epaired: Repair has been processed by CAT.
CAT Reporter CRD	The CAT Reporter CRD associated to the record with the error.
CAT Reporter IMID	The CAT Reporter IMID associated to the record with the error.
Submitter ID	The CAT-assigned unique ID for the organization that submitted the record.
Order ID	The <i>orderID</i> , as reported on the record with the error.
Order Key Date	The <i>orderKeyDate</i> , as reported on the record with the error.
Trade ID	The <i>tradeID</i> , as reported on the record with the error.
Trade Key Date	The <i>tradeKeyDate</i> , as reported on the record with the error.
Fulfillment ID	The <i>fulfillmentID</i> , as reported on the record with the error.
Fulfillment Key Date	The <i>fulfillmentKeyDate</i> , as reported on the record with the error.
Quote ID	The <i>quoteID</i> , as reported on the record with the error.
Quote Key Date	The <i>quoteKeyDate</i> , as reported on the record with the error.
Allocation ID	The <i>allocationID</i> , as reported on the record with the error.
Allocation Key Date	The <i>allocationKeyDate</i> , as reported on the record with the error.
Symbol	The <i>symbol</i> , as reported on the record with the error.
Option ID	The <i>optionID</i> , as reported on the record with the error.
Event Type	The <i>type</i> , as reported on the record with the error.
Event Timestamp	The <i>eventTimestamp</i> , as reported on the record with the error.

Column	Description
(Seq No) Sequence Number	The <i>seqNum</i> , as reported on the record with the error.
Side	The <i>side</i> , as reported on the record with the error.
Price	The <i>price</i> , as reported on the record with the error.
Quantity	The <i>quantity</i> , as reported on the record with the error.
Sender IMID	The <i>senderIMID</i> , as reported on the record with the error.
Receiver IMID	The <i>receiverIMID</i> , as reported on the record with the error.
Destination	The <i>destination</i> , as reported on the record with the error.
Routed Order ID	The <i>routedOrderID</i> , as reported on the record with the error.
Session	The <i>session</i> , as reported on the record with the error.
Tape Trade ID	The <i>tapeTradeID</i> , as reported on the record with the error.
Parent Order ID	The <i>parentOrderID</i> , as reported on the record with the error.
Parent Order Key Date	The <i>parentOrderKeyDate</i> , as reported on the record with the error.
Prior Order ID	The <i>priorOrderID</i> , as reported on the record with the error.
Prior Order Key Date	The <i>priorOrderKeyDate</i> , as reported on the record with the error.
Prior Fulfillment ID	The <i>priorFulfillmentID</i> , as reported on the record with the error.
Prior Fill Key Date	The <i>priorFillKeyDate</i> , as reported on the record with the error.
Prior Quote ID	The <i>priorQuoteID</i> , as reported on the record with the error.
Prior Quote Key Date	The <i>priorQuoteKeyDate</i> , as reported on the record with the error.
Prior Allocation ID	The <i>priorAllocationID</i> , as reported on the record with the error.
Prior Allocation Key Date	The <i>priorAllocationKeyDate</i> , as reported on the record with the error.

Column	Description
Routing Party	The routing party, as reported on the record with the error.
Exchange	The exchange, as reported on the record with the error.
Reporting Side Executing MPID	The <i>rptngExctgMPID</i> , as reported on the record with the error.
Reporting Side Trade ID	The <i>rptngSideTradeID</i> , as reported on the record with the error.
Contra Side Executing MPID	The <i>contraExctgMPID</i> , as reported on the record with the error.
Contra Side Trade ID	The <i>contraSideTradeID</i> , as reported on the record with the error.
Market Center ID	The <i>marketCenterID</i> , as reported on the record with the error.
Firm Designated ID	The <i>firmDesignatedID</i> , as reported on the record with the error.
Repair Timestamp	The date and time when the repair was submitted. Only populated when Repair Status is R .
Repaired By	The user ID of the user who submitted the repair. Only populated when Repair Status is R .
Repair Type	The method via which the record was repaired. Only populated when Repair Status is R. <i>Values include:</i> COR: Corrected DEL: Deleted RPR: Repaired REC: Reconciled
Repair Org. ID	The ID of the organization that repaired the error. Only populated when Repair Status is R .

Column	Description
Repair Source	The interface method used to make the repair. Only populated when Repair Status is R . <i>Values include:</i> WEB: The CAT Reporter Portal SFTP: SFTP
Correction Due	The date and time by which the rejected record must be repaired.
File Name	The file name of the CAT Reporter's data file submission.
<i>The remaining fields displayed are taken directly from the record submitted to CAT. For additional details and definitions, see the Industry Member Technical Specifications.</i>	

Other Error Search Functionality:

To initiate a repair for an unrepaired record, click the hyperlink under the **Error ROE ID** column. See [Section 8.3: Error Repair](#) for details.

Error Corrections

Error Summary | **Error Search**

Processing Date: 10/21/2025 | Trade Date: | Product Type: ALL | IMID: ALL | **APPLY** | **RESET**

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (1044) Export

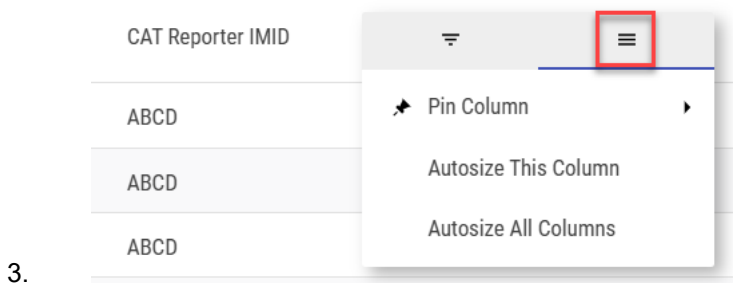
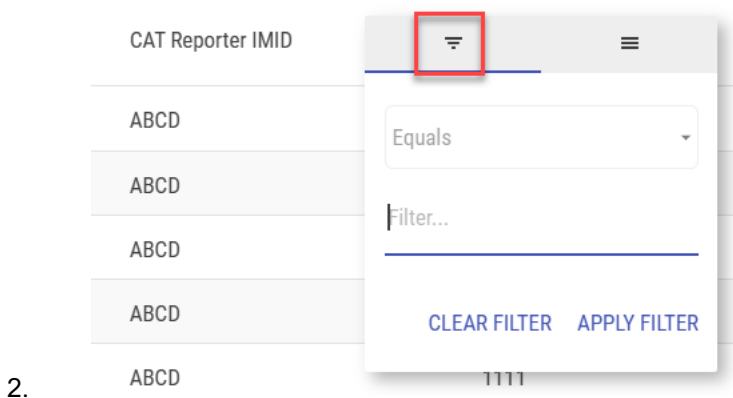
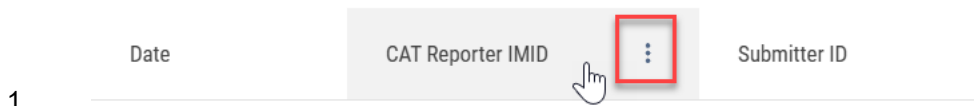
Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7602160495308	20190415_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	LTov DrsOl
7602160495299	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	anWJnLdH
7602160495300	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	aiHgF7+YJL
7602160495297	20190414_78348657916...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	J*MQDuLd

An Error ROE ID will not exist for some records. In these cases, the entire record may be resubmitted using the process for manually providing data to CAT. See [Section 9.2: Manually Report Data to CAT](#) for details.

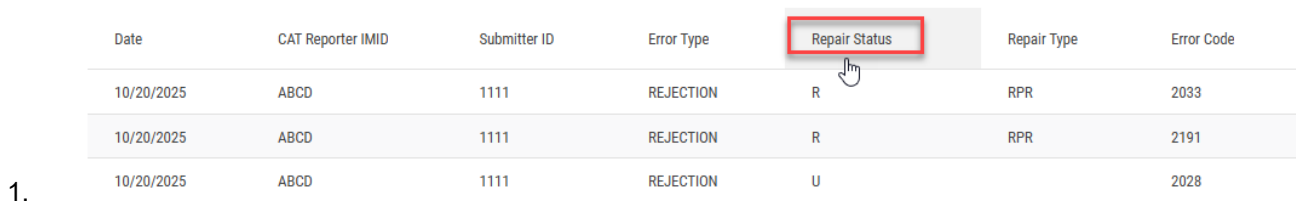
To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

Date	CAT Reporter IMID 	Submitter ID
------	---	--------------

To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (≡) allows the user to filter for a specific value as shown in 2, below, while the hamburger (≡) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.



To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



Repair Status	Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Type	Error Code
R	10/20/2025	ABCD	1111	REJECTION	RPR	2033
R	10/20/2025	ABCD	1111	REJECTION	RPR	2191
U	10/20/2025	ABCD	1111	REJECTION		2028

2.

To export the statistics, click **Export**. Any filters applied to the **Error Search** will also be applied to the export. Download the generated CSV file using the internet browser functionality.

CAT Reporter Portal | 3:06 PM ET 11/04/2025 | Perspective Reporter

Error Corrections

Error Search

Processing Date ☒ Trade Date ☐ Product Type ☐ IMID ☐

10/20/2025 ALL ALL **APPLY** **RESET**

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (8)

Error ROE ID	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID	Order Key Date	Trade ID	Trade Key Date	Fulfillment ID	Fulfillment
7692160447109	1111	ABCD	1111	dghfhret	202510177090500				
7692160447111	1111	ABCD	1111	efddd	20251020T090000.00...				
7692160447113	1111	ABCD	1111	efddd	20251020T090000.00...				

Export

8.3 Error Repair

The **Error Repair** tab allows users to initiate a repair to a single unrepaired record. The **Error Repair** tab can only be accessed by selecting an Error ROE ID hyperlink from the Error Search tab. Only errors that have a Repair Status of **U** can be repaired. See [Section 8.2: Error Search](#) for details.

To repair a record:

1. Select **Error Corrections**.

CAT Reporter Portal | 3:41 PM ET 10/21/2025 | Perspective Reporter

Error Corrections

Error Summary | Error Search

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/20/2025 | ALL | ALL | **APPLY** | **RESET**

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Error Summary (6) | [Export](#)

Date	CAT Reporter IMID	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
10/20/2025	ABCD	1111	REJECTION	R	RPR	2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	R	RPR	2191	Invalid combination of orderID and ord...		1
10/20/2025	ABCD	1111	REJECTION	U		2028	Combination of exchOrigCode and d...		1
10/20/2025	ABCD	1111	REJECTION	U		2033	Invalid Event Date in the firmROEID		1
10/20/2025	ABCD	1111	REJECTION	U		2191	Invalid combination of orderID and ord...		2

2. Select **Error Search**.

CAT Reporter Portal | 3:13 PM ET 11/04/2025 | Perspective Reporter

Error Corrections

Error Summary | **Error Search**

☒ Processing Date ☐ Trade Date ☐ Product Type ☐ IMID

10/20/2025 | ALL | ALL | **APPLY** | **RESET**

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (8) | [Export](#)

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7562160447109	20251020_MENOS_FDID...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	dghthret
7562160447111	20251020_MOMRL_NotED...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	efdd
7562160447113	20251020_MOOR_NotEDe...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	efdd
7562160447112	20251020_MLMR_NotEDe...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	dfdg
7562160447107	20251020_MLOS_FDIDAp...	2033	Invalid Event Date in the f...	REJECTION	U	1111	ABCD	1111	

3. Select the **Error ROE ID**.

CAT Reporter Portal 3:13 PM ET 11/04/2025 Perspective Reporter

Error Corrections

Error Summary Error Search

Processing Date Trade Date Product Type IMID

10/20/2025 ALL ALL APPLY RESET

Display Limitations:
Ingestion Errors: Up to 100,000 per IMID and Process Date.
Linkage Errors: If more than 10,000 FDID Validation errors per IMID and Process Date, none will be displayed. For all other linkage errors, if more than 10,000 errors per IMID and Process Date, none will be displayed.

Total Errors (8) Export

Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD	CAT Reporter IMID	Submitter ID	Order ID
7602160447109	20251020_MENOS_FOID...		MULTIPLE ERRORS	REJECTION	R	1111	ABCD	1111	dghfret
7602160447111	20251020_MOMR_NoteD...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	efddd
7602160447113	20251020_MOOR_NoteD...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	efdd
7602160447112	20251020_MLMR_NoteD...	2028	Combination of exchOrig...	REJECTION	U	1111	ABCD	1111	dfgg
7602160447107	20251020_MLOS_FOIDAp...	2033	Invalid Event Date in the fi...	REJECTION	U	1111	ABCD	1111	

4. Review the event details within the **Error Repair** tab and take action on the identified error.

CAT Reporter Portal 6:01 PM ET 10/22/2025 Perspective Reporter

Error Corrections

Error Summary Error Search Error Repair: 7602160623574

1 actionType 2 errorROEID 3 firmROEID 4 type 5 CATReporterIMID

NEW errorROEID 20251021_76883647343705 Order Effective (MEOE) CATReporterIMID

Errors (1)

Missing or Invalid atsDisplayInd (error value: <NULL>)

atsDisplayInd

displayPrice 9981962491.12435341

workingPrice 5037722029.75707436

displayQty 780055337148

CANCEL REPAIR

The error(s) associated with the record, including links to navigate directly to the corresponding error field(s), are provided on the left side of the form.

Available and required fields (identified in red font and with an asterisk) vary based on the event type. Basic syntax validations are performed, ensuring that the data provided meets the format requirements for each field. This includes checking for allowable values, required fields, data types, field lengths, and invalid characters. See the [Industry Member Technical Specifications](#) for details on each event type.

Some error codes cannot be parsed and therefore cannot be repaired via Portal. When the Error ROE ID refers to a record with an unparseable error, the portal displays a warning that includes the full machine-readable text of the originally submitted record, as shown below.

CAT Reporter Portal | 5:41 PM ET 10/22/2025 | Perspective Reporter

Error Corrections

Error Summary Error Search **Error Repair: 7602160495278**

The selected error record is not parsable and cannot be repaired using the Error Repair feature.

To repair the record, you may either use the Create Order Event feature to manually enter an RPR event, or you may submit the repair event in a properly formatted machine-readable file by using the File Upload feature or via machine-to-machine secure file transfer.

For your convenience, the full text of the originally rejected record is provided below in CSV format:

```
{ "custDispIntrFlag": false, "nbbsPrice": 1855395197.74562454, "symbol": "NRG", "orderType": "CAB", "nbbsSource": "H", "infoBarrierID": "str2=mlL-IRT/fgR+BK\\", "firmROEID": "20251021_6365446518880974848", "firmDesignatedID": "02PdlJ# 8 t'WdFaggyvnoexHlD/41\\vul", }
```

[CLOSE](#)

5. Click **Repair**.

CAT Reporter Portal | 6:01 PM ET 10/22/2025 | Perspective Reporter

Error Corrections

Error Summary Error Search **Error Repair: 7602160623574**

1 actionType 2 errorROEID 3 firmROEID 4 type 5 CATReporterMID

NEW [] 20251021_76883647343705 Order Effective (MEOE) []

Errors (1)

- Missing or Invalid atsDisplayInd (error value: <NULL>)

atsDisplayInd []

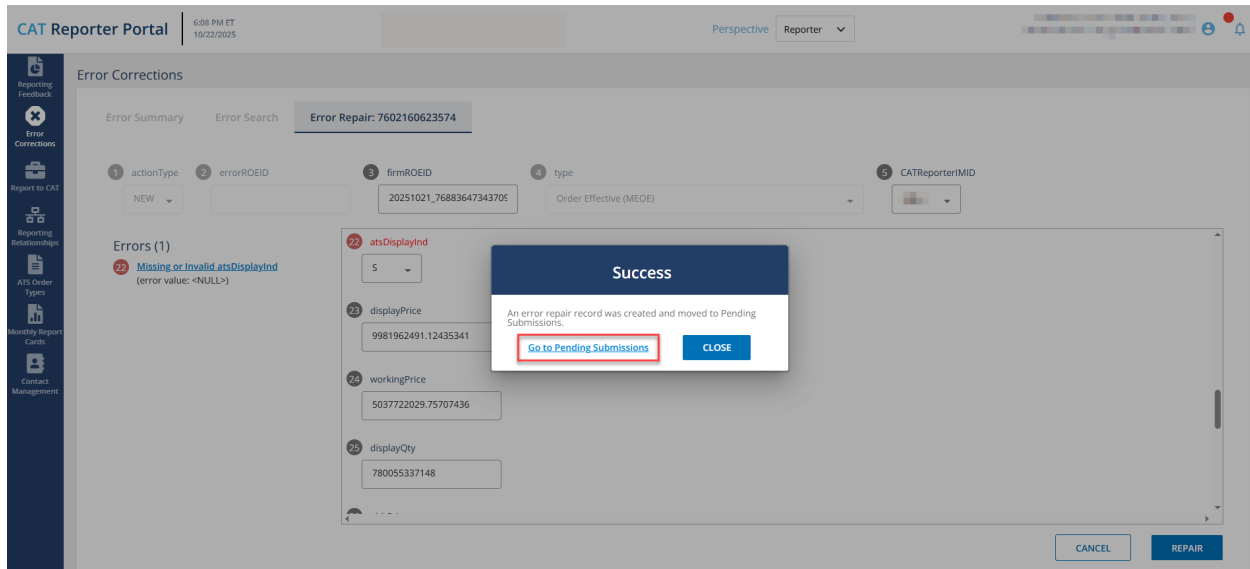
displayPrice 9981962491.12435341

workingPrice 5037722029.75707436

displayQty 780055337148

[CANCEL](#) [REPAIR](#)

6. Clicking on the **“Go to Pending Submissions”** hyperlink on the pop-up message will bring the user to the **Pending Submissions** tab where records pending review, edit and submission are staged. Repairs are not processed by CAT until they are fully submitted to the system using the **Pending Submissions** functionality. See [Section 9.2.2: Pending Submissions](#) for further details. Clicking the Close button on the pop-up message will bring the user back to the **Error Search** tab.



8.4 Group Repair

The **Group Repair** tab allows users to initiate a repair to a group of records in certain circumstances. The **Group Repair** tab can only be accessed by selecting the Group Repair link from the **Error Summary** tab. Only errors with a Group Repair Status of **Y** are eligible for Group Repair. See [Section 8.1: Error Summary](#) for details.

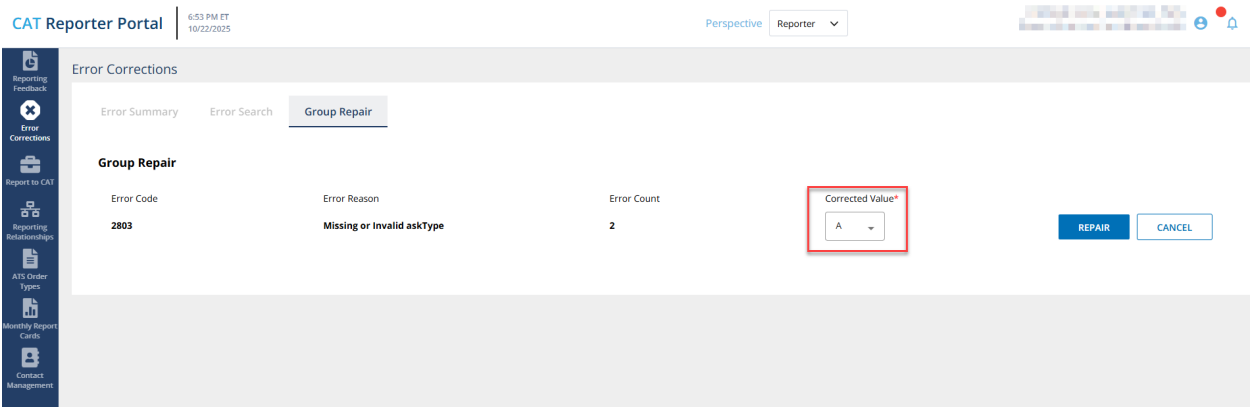
Group Repair Eligibility:

An event is eligible for Group Repair when all of the following are true:

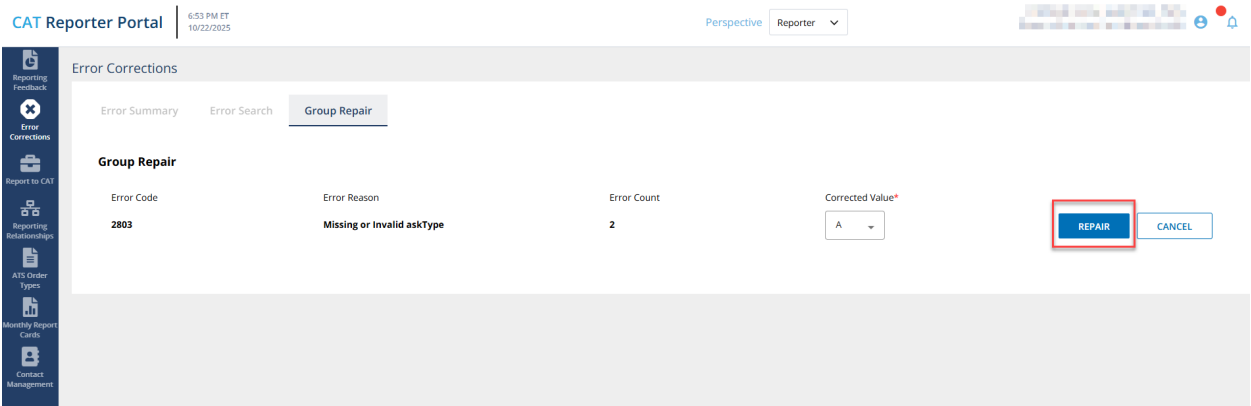
- The event has only one associated error.
- The error exists in:
 - Any field where the Data Type is Choice or Boolean and the error is for a missing or invalid field;
 - Any field containing a Symbol or IMID;
 - Any field relating to Destination, Sender/Receiver IMID, Symbol/Option ID or Session
- The record is in an “Unrepaired” status.

To initiate a Group Repair:

- 1. Provide the **Corrected Value**.



- 2. Click **Repair**.



- 3. Clicking on the **“Go to Pending Submissions”** hyperlink on the pop-up message will bring the user to the **Pending Submissions** tab where records pending review, edit and submission are staged. Repairs are not processed by CAT until they are fully submitted to the system using the **Pending Submissions** functionality. See [Section 9.2.2: Pending Submissions](#) for further details. Clicking the Close button on the pop-up message will bring the user back to the **Error Summary** tab.

CAT Reporter Portal7:08 PM ET10/22/2025PerspectiveReporter

Reporting Feedback

Error Corrections

Report to CAT

Reporting Relationships

ATS Order Types

Monthly Report Cards

Contact Management

Error Corrections

Error SummaryError SearchGroup Repair

Group Repair

Error Code	Error Reason	Error Count	Corrected Value*
2803	Missing or invalid askType	2	A

REPAIRCANCEL

SUCCESS

Group Repair is complete. 2 records were created and moved to Pending Submissions.

[Go to Pending Submissions](#)CLOSE

9 Report to CAT

The **Report to CAT** tool allows the user to report data to CAT by automated file upload or manual data entry. For file based submissions, the **File Upload** tab allows entitled users to upload data files directly to CAT. The **Download Feedback** tab allows the user to access feedback files across all four file processing stages. For manual reporting, the **Create CAT Events** tab allows users to manually generate CAT events through a guided data entry screen. The **Pending Submissions** tab allows the user to view, edit, delete and submit all manually created event records.

9.1 Upload Data to CAT

The **File Upload** tab allows users to upload data files to the Portal for submission. Upon submission, files will proceed through the stages of file processing.

9.1.1 File Processing Stages

CAT employs a four-stage validation process for file submissions. Feedback is provided via the Portal at each stage. See [Section 9.1.3: Download Feedback](#) for details on retrieving feedback via the Portal.

The following table details each file processing stage and the corresponding rules/validations when uploading data files to CAT:

Phase	File Processing Stage	Validation
1	File Acknowledgement	Prior to uploading files via the Portal, CAT validates that: • Each file name is in the defined format. • Each file is individually compressed using BZip2. • Each file is limited to a maximum uncompressed size of 1GB, with a record limit of 100,000 records per file. • The Submitter ID of each file is that of the logged-in user's organization. • The entire submission does not exceed 10 files with a total size of 5GB. <i>Failure to meet the specified requirements prevents the user from uploading the file via the Portal.</i>

Phase	File Processing Stage	Validation
2	File Integrity	After the file has been uploaded via the Portal, CAT performs additional file-level validations. Failure to meet the specified requirements results in the rejection of the file. See Appendix E: E.1 File Integrity Errors in the CAT Industry Member Technical Specifications for a comprehensive list of file integrity validations.
3	Data Ingestion	For each file that passes file integrity validations, CAT performs record-level validations. Failure to meet the specified requirements results in the record being rejected. See Appendix E: E.2 Data Ingestion Errors in the CAT Industry Member Technical Specifications for a comprehensive list of data ingestion validations.
4	Linkage Discovery	For each record that passes data ingestion validations, CAT performs comparisons to identify duplicate, out-of-sequence, and unlinked events. See Appendix E: E.3 Linkage Discovery Errors in the CAT Industry Member Technical Specifications for a comprehensive list of linkage discovery validations.

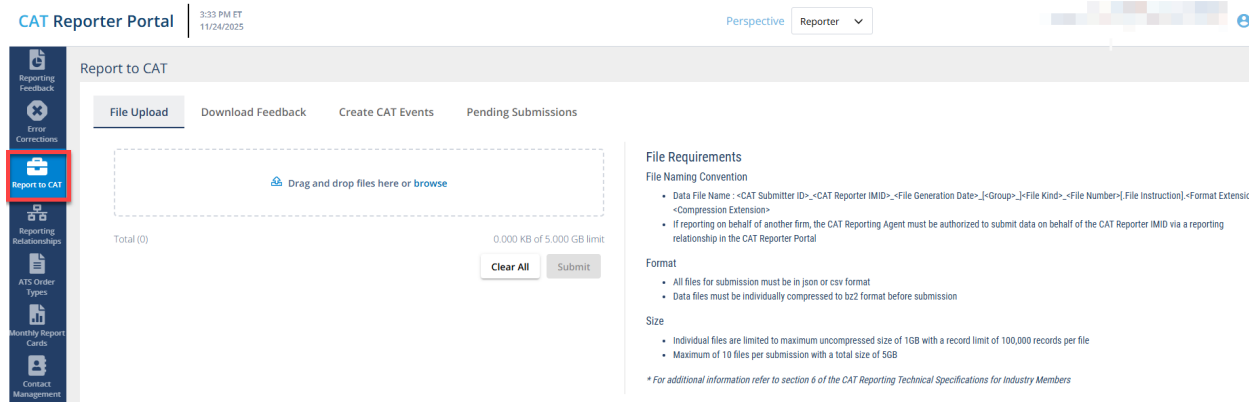
9.1.2 File Upload

The **File Upload** tab provides entitled users with the ability to upload and submit CAT data via the Portal. The user may either drag-and-drop files or use the browse functionality. Note the *File Requirements* on the **File Upload** tab. For additional information, see the CAT [Industry Member Technical Specifications](#).

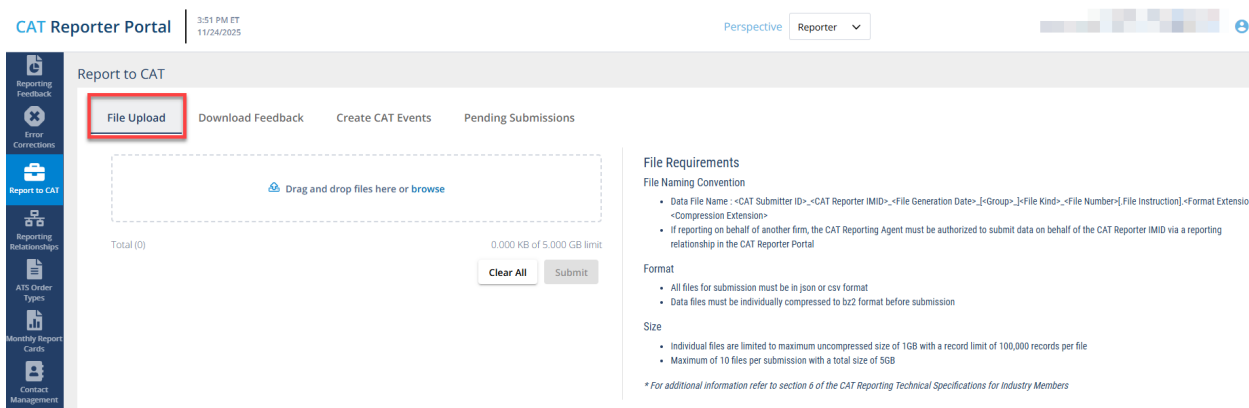
A single submission may not exceed 10 files with a total size of 5GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload and submit data file(s) via the Portal:

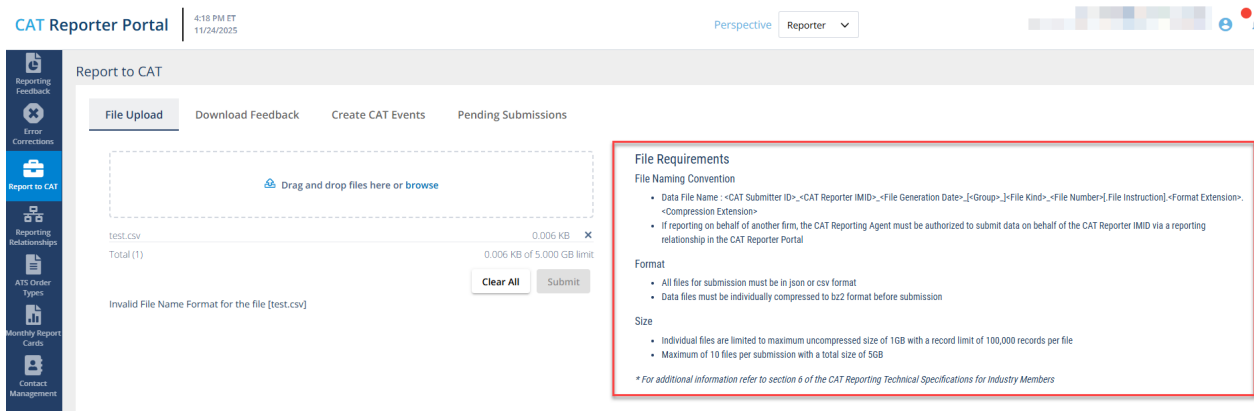
1. Select **Report to CAT**.



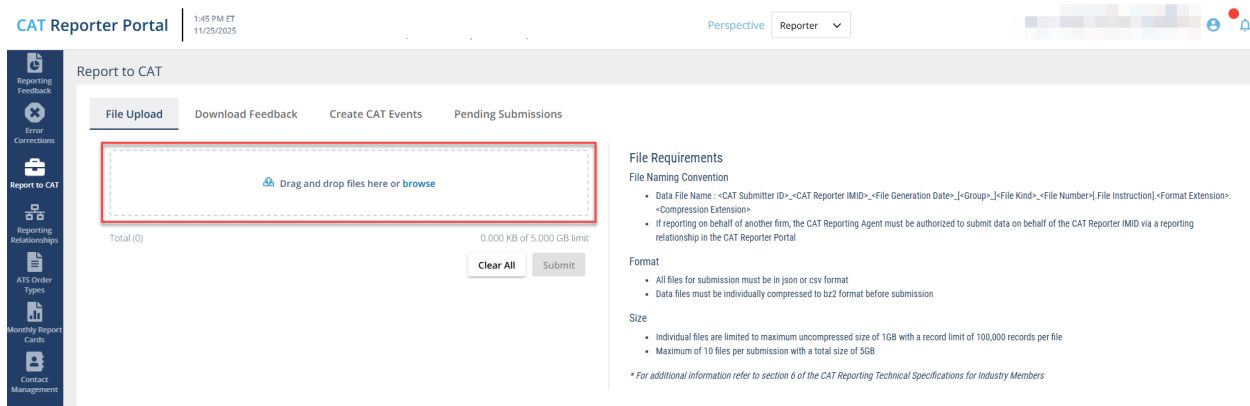
2. Select the **File Upload** tab.



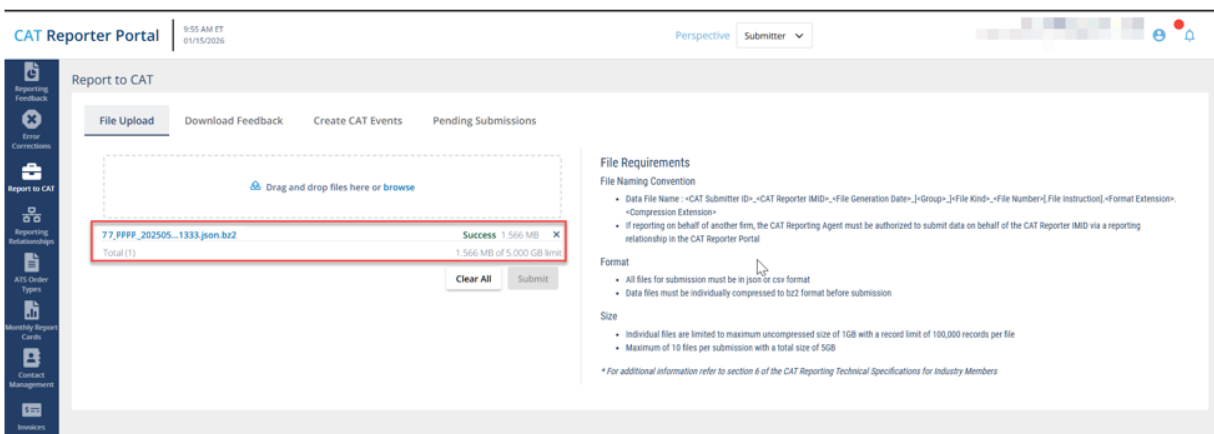
The *File Requirements*, listing the File Naming Convention, Format and Size guidelines, are listed on the right-hand side of the **File Upload** tab. The user must comply with all *File Requirements* to successfully upload and submit files.



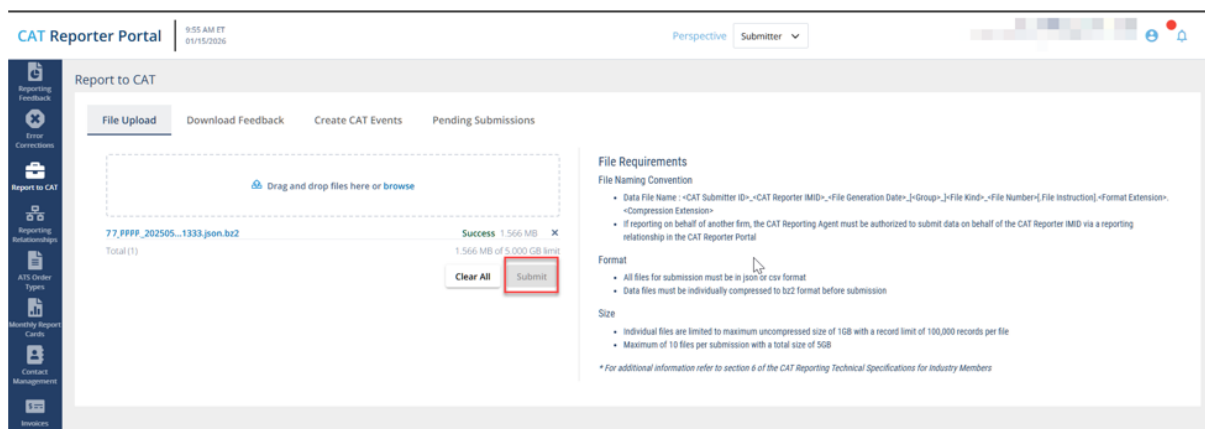
3. Upload the file(s). There are two methods to manually upload files. The user may either drag and drop the files into the **File Upload** tool or click **browse** to access their computer's file explorer and select the files to upload.



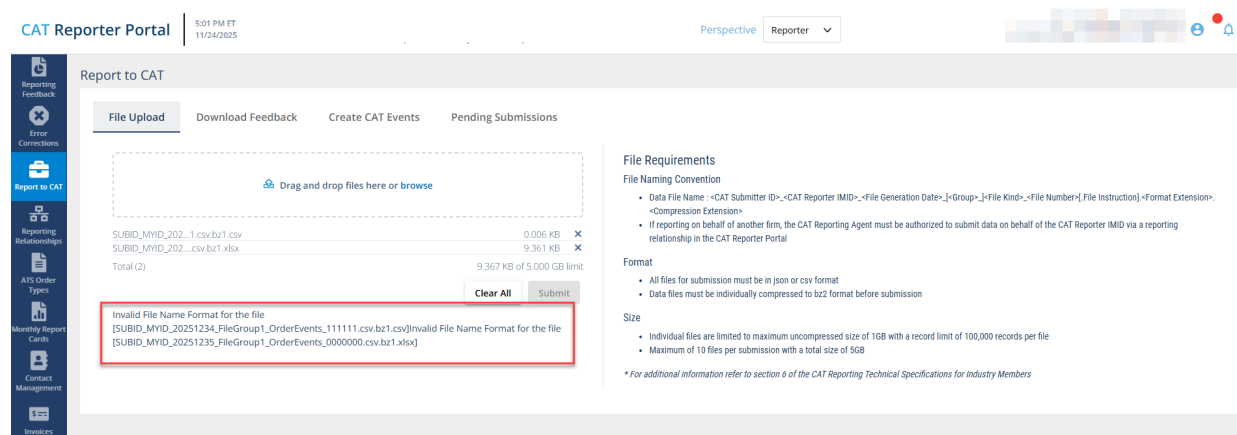
The **File Upload** tab displays the total number and total size of the file(s) uploaded.



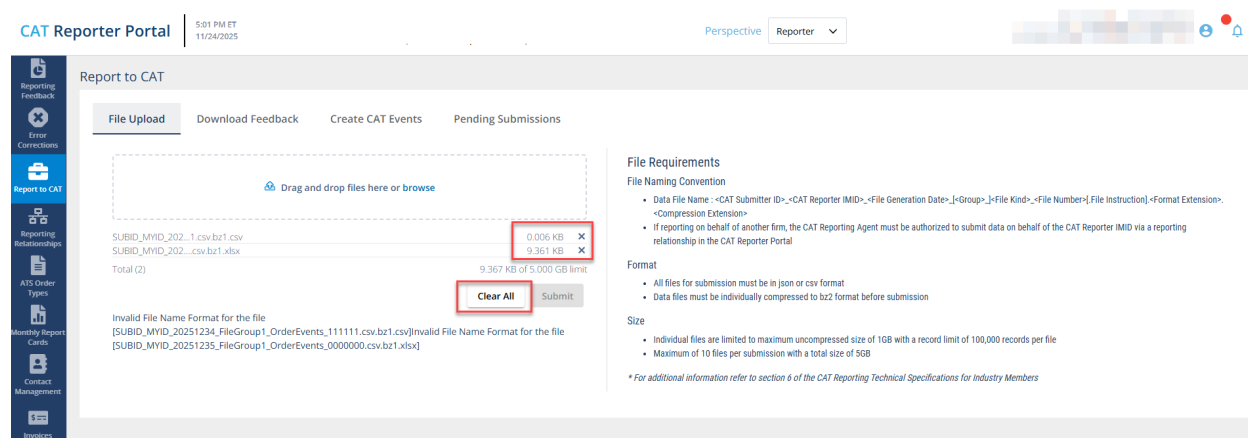
4. Once all desired files have been uploaded, or when the upload limit has been reached, click **Submit**.



If any file acknowledgment errors are found, the corresponding error messages are displayed on the screen and the user will be unable to submit the file(s) until all errors are corrected.



5. To remove uploaded files with file acknowledgement errors, click the “X” button (to remove specific files) or **Clear All** to remove all files. Once the necessary files have been removed, refer to Step 3 to upload the corrected file(s).



Once the files are successfully uploaded and submitted, each file goes through file integrity, data ingestion, and linkage discovery validations. Users may access any corresponding feedback via the **Download Feedback** functionality. See [Section 9.1.3: Download Feedback](#) for details on how to access the **Download Feedback** tab.

9.1.3 Download Feedback

The **Download Feedback** tab enables entitled users to download file feedback via the Portal. Linkage feedback files may be downloaded for data files that were submitted through both the Portal and SFTP submissions. File Ingestion and Data Integrity feedback files may be downloaded for data files that were submitted through the Portal via direct entry/repair and the **File Upload** functionality only. Feedback is

available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

The following table describes the various **File and Error Feedback Types**:

File Extension	Description
.ack	Provides metadata about the file and indicates if the file name of the file submitted was well-formed or malformed. If the file acknowledgment validation failed, a corresponding .ack.error file will be generated.
.integrity	Provides metadata about the file and indicates the success or failure of data integrity validations for the file. If data integrity validation failed, a corresponding .integrity.error file will be generated. Each error within the feedback file is identified by an Error Code. See Appendix E: E.1 File Integrity Errors in the CAT Industry Member Technical Specifications for a list of file integrity validations, including the corresponding Error Codes.
.ingestion	Provides metadata about the file and indicates the success or failure of data ingestion validations for the file. If data ingestion validation failed, a corresponding .ingestion.error file will be generated.
.ingestion.error	Provides the list of data ingestion errors for the file, identified by an Error Code. See Appendix E: E.2 Data Ingestion Errors in the CAT Industry Member Technical Specifications for a list of data ingestion validations, including the corresponding Error Codes.
.linkage	Provides metadata about the file and information for all linkage errors, including unlinked events reported by the CAT Reporter and unlinked events on which the CAT Reporter was named.

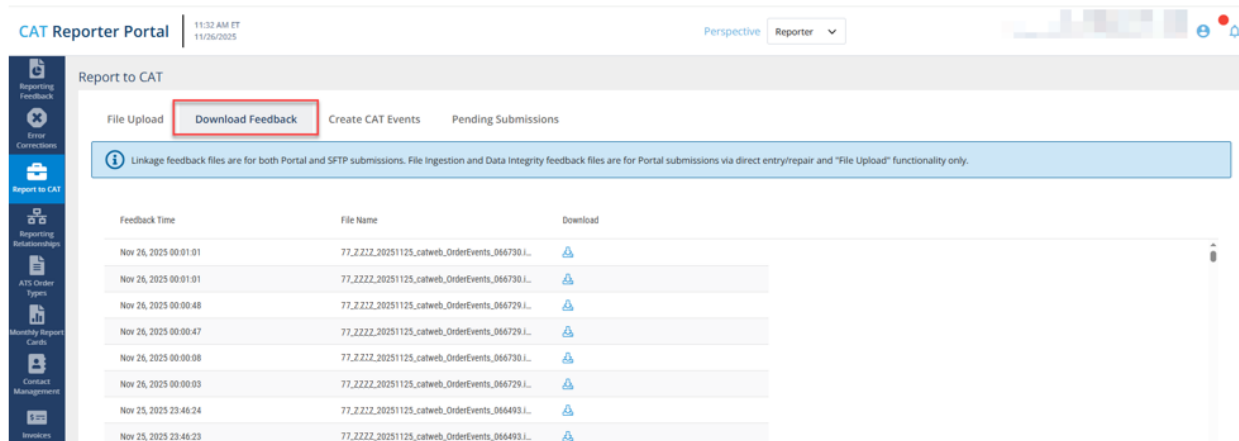
.linkage.error	Provides the list of linkage error feedback categorized by the following: Events Reported by CAT Reporter, Named on Unlinked Industry Member Order Event, Named on Unlinked Industry Member Quote Event, Named on Unlinked Exchange Event/Display-Only Facility Equity BBO Event, and Named on Unlinked Trade Report. If linkage discovery validation failed, each error is provided and identified by an Error Code. See Appendix E: E.3 Linkage Discovery Errors in the Industry Member Technical Specifications for a list of linkage discovery validations, including the corresponding Error Codes.
.linkage.error.summary	Provides a list of FDID validation errors categorized by processing date. If one or more FDID validation errors exist for a processing date, a corresponding .linkage.error.summary file will be generated.

To download a feedback file:

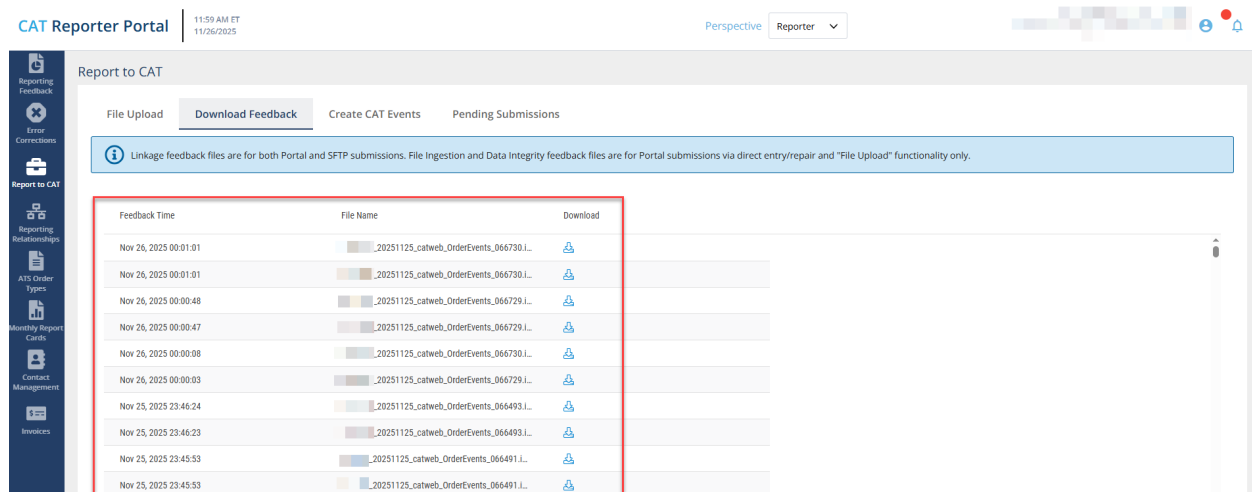
1. Select **Report to CAT**.

The screenshot displays the CAT Reporter Portal interface. At the top, the header includes 'CAT Reporter Portal', the time '3:33 PM ET 11/24/2025', and a user profile 'Perspective Reporter'. A left-hand navigation menu contains icons for 'Reporting Feedback', 'Error Corrections', 'Report to CAT' (highlighted with a red box), 'Reporting Relationships', 'ATS Order Types', 'Monthly Report Creds', and 'Contact Management'. The main content area is titled 'Report to CAT' and features tabs for 'File Upload', 'Download Feedback', 'Create CAT Events', and 'Pending Submissions'. The 'File Upload' tab is active, showing a dashed box for file upload with the text 'Drag and drop files here or browse'. Below this box, it indicates 'Total (0)' and '0.000 KB of 5,000 GB limit', with 'Clear All' and 'Submit' buttons. To the right, the 'File Requirements' section details naming conventions, format (JSON or CSV), and size limits (1GB per file, 10 files per submission, 5GB total). A footnote at the bottom states: '* For additional information refer to section 6 of the CAT Reporting Technical Specifications for Industry Members'.

2. Select the **Download Feedback** tab.



3. Review the **Download Feedback**. Use the scrollbar at the right of the display to view all available rows. If there is no feedback available within the 10 previous calendar days, the screen will display “No Rows To Show.”



The **Download Feedback** tab displays the following information:

Column	Description
Feedback Time	The month, day, year and time (HH:MM:SS) of when the feedback is generated.
File Name	The file name of the feedback file.
Download	The hyperlink to access the downloadable feedback file.

- Under the **Download** column, click the hyperlink corresponding to the feedback file wished to be downloaded. Feedback files must be downloaded one at a time. Download feedback file(s) using internet browser functionality. Each feedback file is provided in a format corresponding to the uploaded format (CSV or JSON).

CAT Reporter Portal | 12:02 PM ET 11/26/2025 | Perspective Reporter

Report to CAT

File Upload | **Download Feedback** | Create CAT Events | Pending Submissions

Linkage feedback files are for both Portal and SFTP submissions. File Ingestion and Data Integrity feedback files are for Portal submissions via direct entry/repair and "File Upload" functionality only.

Feedback Time	File Name	Download
Nov 26, 2025 00:01:01	_20251125_catweb_OrderEvents_066730.ingestion.csv	Download
Nov 26, 2025 00:01:01	_20251125_catweb_OrderEvents_066730.ingestion.error.csv.bz2	Download
Nov 26, 2025 00:00:48	_20251125_catweb_OrderEvents_066729.ingestion.csv	Download
Nov 26, 2025 00:00:47	_20251125_catweb_OrderEvents_066729.ingestion.error.csv.bz2	Download
Nov 26, 2025 00:00:08	_20251125_catweb_OrderEvents_066730.integrity.csv	Download
Nov 26, 2025 00:00:03	_20251125_catweb_OrderEvents_066729.integrity.csv	Download
Nov 25, 2025 23:46:24	_20251125_catweb_OrderEvents_066493.ingestion.csv	Download
Nov 25, 2025 23:46:23	_20251125_catweb_OrderEvents_066493.ingestion.error.csv.bz2	Download
Nov 25, 2025 23:45:53	_20251125_catweb_OrderEvents_066491.ingestion.csv	Download
Nov 25, 2025 23:45:53	_20251125_catweb_OrderEvents_066491.ingestion.error.csv.bz2	Download

Other Download Feedback Functionality:

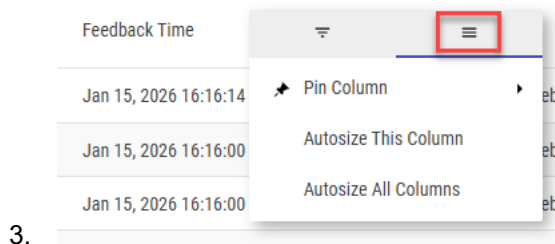
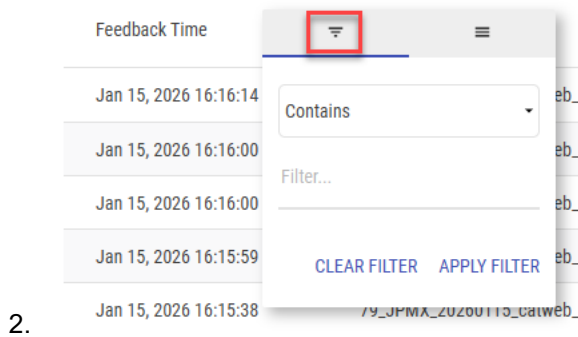
To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

Feedback Time 	File Name	Download
---	-----------	----------

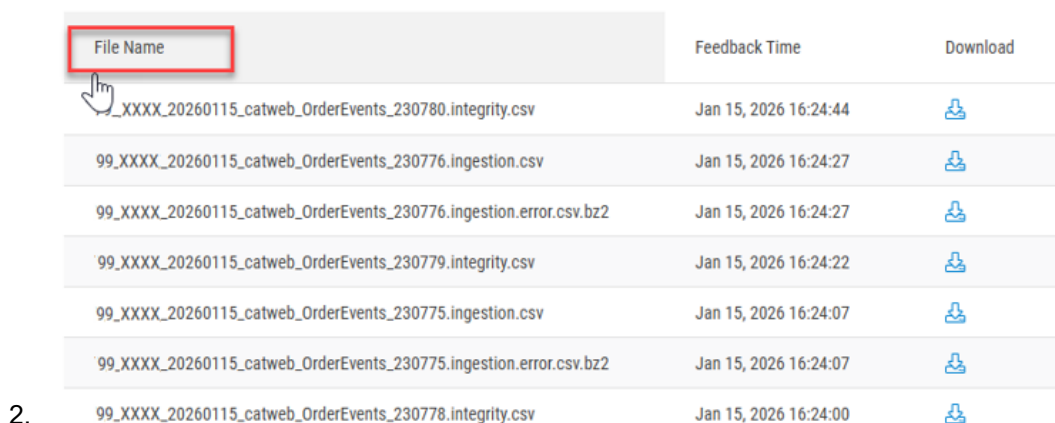
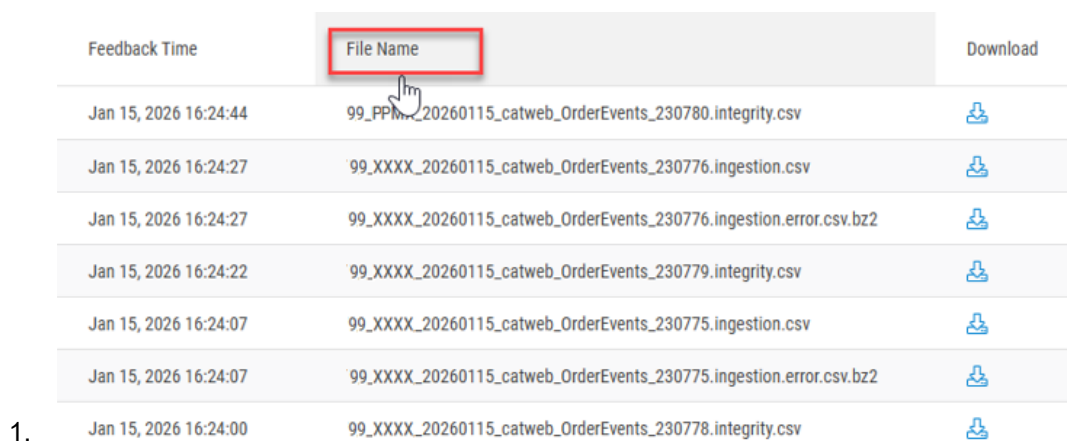
To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (☰) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.

1.

Feedback Time 	File Name	Download
---	-----------	----------



To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



9.2 Manually Report Data to CAT

The Portal provides two key functionalities for manually reporting and submitting data to CAT. The **Create CAT Events** tab enables users to manually generate CAT events by using a data entry screen to provide the event information. The **Pending Submissions** tab serves as a centralized workspace where the user can view, edit, delete, and submit event records initiated through the Create CAT Events tab, including event records sourced from the Error Repair and Group Repair features.

Creating and Repairing CAT Events Process:

Manual submission of a new CAT event via the Portal is a two step process. The user must first *create* the new CAT event (or *repair* the error record) and then *submit* the pending event. Detailed instructions can be found in Section 9.2.1: Create CAT Events and [Section 9.2.2: Pending Submissions](#).

9.2.1 Create CAT Events

The **Create CAT Events** tab allows the user to manually create a CAT event. The user must populate all applicable fields necessary to successfully create a CAT event. Instructions and additional resources are provided on the screen to assist in manually creating CAT events.

To create an event:

1. Select **Report to CAT**.

The screenshot shows the 'CAT Reporter Portal' interface. At the top, there's a header with the portal name, a clock showing 3:01 PM ET on 12/22/2025, a 'Perspective' view selector, a 'Reporter' dropdown, and a notification bell. A left sidebar contains navigation icons for 'Reporting Feedback', 'Error Corrections', 'Report to CAT' (highlighted with a red box), 'Reporting Relationships', 'ATS Order Types', 'Monthly Report Cards', and 'Contact Management'. The main content area is titled 'Report to CAT' and has four tabs: 'File Upload' (active), 'Download Feedback', 'Create CAT Events', and 'Pending Submissions'. The 'File Upload' tab shows a dashed box for dragging files, a 'browse' link, and a status bar indicating 'Total (0)' and '0.000 KB of 5,000 GB limit'. There are 'Clear All' and 'Submit' buttons. To the right, under 'File Requirements', there are sections for 'File Naming Convention' (with a bulleted list of naming rules), 'Format' (with a bulleted list of format requirements), and 'Size' (with a bulleted list of size limits).

2. Select the **Create CAT Events** tab.

CAT Reporter Portal | 3:09 PM ET 12/22/2025 | Perspective Reporter

Report to CAT

File Upload Download Feedback **Create CAT Events** Pending Submissions

1 actionType 2 errorROEID 3 firmROEID

4 type 5 CATReporterIMID

CREATE

3. Enter the primary event details and click **Create**.

CAT Reporter Portal | 4:26 PM ET 12/22/2025 | Perspective Reporter

Report to CAT

File Upload Download Feedback **Create CAT Events** Pending Submissions

1 actionType 2 errorROEID 3 firmROEID 4 type 5 CATReporterIMID

NEW 23456 New Order (MENO) ABCD

CREATE

Prior to entering the full details of the event, the primary event details must be provided. The following table describes the **primary event details**:

Column	Description
Action Type	The type of event being created. This includes: New (NEW), Correct (COR), Delete (DEL), or Repair (RPR).
Error ROE ID	The CAT-assigned unique identifier for an error record. This field is required only when Action Type is "Repair". Either this field or Firm ROE ID is required when Action Type is "Delete".

Column	Description
Firm ROE ID	The CAT Reporter-assigned unique identifier for the event. Either this field or Error ROE ID is required when Action Type is “Delete”.
Type	The type of event. This field is not required when Action Type is “Delete”.
CAT Reporter IMID	The CAT Reporter-IMID for the event. Note that available IMIDs depend on the selected data perspective. For details, see Section 4: Data Perspectives . IMIDs are available for up to 90 days after expiration.

4. Provide additional details for the event and click **Submit**.

The screenshot shows the 'Create CAT Events' form. The top navigation bar includes 'File Upload', 'Download Feedback', 'Create CAT Events', and 'Pending Submissions'. The form has five main sections: 1. actionType (NEW), 2. errorROEID, 3. firmROEID (23456), 4. type (New Order (MENO)), and 5. CATReporterIMID (ABCD). A 'CREATE' button is visible. Below these is the 'Instructions' section, which is highlighted with a red box. The instructions state that the Technical Specifications section of catrmsplan.com provides detailed guidance and validation requirements for creating new events in CAT. It also notes that after clicking Submit, the event will be added to the Pending Submissions page. The form fields are: 6. orderKeyDate * (20251219, 100000, 1000000000), 7. orderID * (12345), 8. symbol * (XYZ), 9. eventTimestamp * (20251219, 100000, 1000000000), and 10. manualFlag *. A 'SUBMIT' button is highlighted in blue at the bottom right of the form.

Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validations are performed, ensuring that the data provided meets the format requirements for each field. This includes checking for allowable values, required fields, data types, field lengths, and invalid characters. See the [Industry Member Technical Specifications](#) for details on each event type. Step 4 is not required if Action Type is “Delete”.

After the event has been submitted it will be added to the list of Pending Submissions. Once all desired events have been entered, proceed to the **Pending Submissions** tab to review and submit the events. Events are not processed by CAT until they are fully submitted to the system using the Pending Submissions functionality. See [Section 9.2.2 Pending Submissions](#) for further details.

9.2.2 Pending Submissions

The **Pending Submissions** tab houses all repair and event records initiated by the organization via the Portal. This includes all records created via Error Repair, Group Repair, and Create CAT Event functionality. Additionally, the **Pending Submissions** tab allows the user to edit or delete the repair and event records and submit records to CAT for processing. Records are available via the **Pending Submissions** tab for 30 calendar days from the date of creation. Records created by a submitter on behalf of the organization cannot be viewed in Pending Submissions for the organization.

To submit pending submissions:

1. Select **Report to CAT**.

CAT Reporter Portal | 3:01 PM ET 12/22/2025 | Perspective Reporter

Report to CAT

File Upload | Download Feedback | Create CAT Events | Pending Submissions

Drag and drop files here or [browse](#)

Total (0) 0.000 KB of 5.000 GB limit

[Clear All](#) [Submit](#)

File Requirements

File Naming Convention

- Data File Name : <CAT Submitter ID>_<CAT Reporter IMID>_<File Generation Date>_<Group>_<File Kind>_<File Number>_<File Instruction>_<Format Extension>_<Compression Extension>
- If reporting on behalf of another firm, the CAT Reporting Agent must be authorized to submit data on behalf of the CAT Reporter IMID via a reporting relationship in the CAT Reporter Portal

Format

- All files for submission must be in json or csv format
- Data files must be individually compressed to bz2 format before submission

Size

- Individual files are limited to maximum uncompressed size of 1GB with a record limit of 100,000 records per file
- Maximum of 10 files per submission with a total size of 5GB

2. Select the **Pending Submissions** tab.

CAT Reporter Portal | 4:13 PM ET 12/22/2025 | Perspective Reporter

Report to CAT

File Upload | Download Feedback | Create CAT Events | **Pending Submissions**

Creating and repairing CAT events via the Reporter Portal is a two-step process. First, users must create new CAT events or repair error records. Second, users must submit the pending events from this page to CAT for processing. Users will be given the option to download submitted files during the submission process. After the submission process is complete, events are no longer available for Download.

Pending submissions (4) [Export](#)

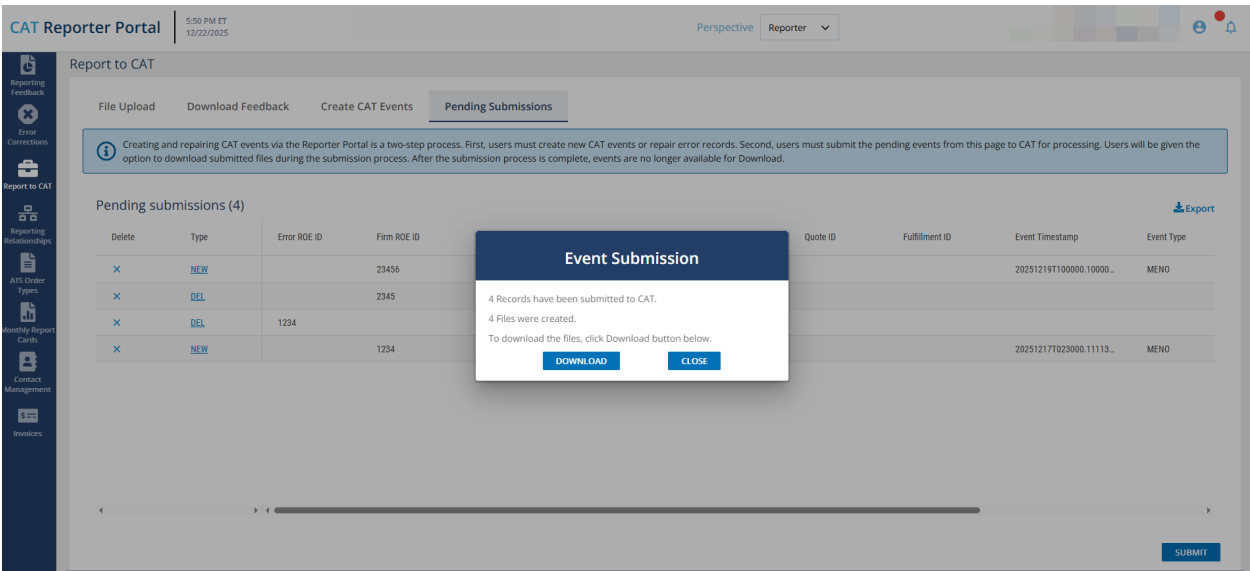
Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	Fulfillment ID	Event Timestamp	Event Type
X	NEW		23456	ABCD	12345				20251219T100000.10000...	MENO
X	DEL		2345	ZZZZ						
X	DEL	1234		ZZZZ						
X	NEW		1234	ABCD	12345				20251217T023000.11113...	MENO

The **Pending Submissions** tab may display the following information for the specified filter criteria:

Column	Description
Delete	Functionality that allows user to delete pending records.
Type	The type of pending submission. This includes: New (NEW), Correct (COR), Delete (DEL), or Repair (RPR).
Error ROE ID	The CAT-assigned unique identifier for an error record.
Firm ROE ID	The <i>firmROEID</i> , as reported on the record with the error.
CAT Reporter IMID	The CAT Reporter IMID associated to the record with the error.
Order ID	The <i>orderID</i> , as reported on the record with the error.
Trade ID	The <i>tradeID</i> , as reported on the record with the error.
Quote ID	The <i>quoteID</i> , as reported on the record with the error.
Fulfillment ID	The <i>fulfillmentID</i> , as reported on the record with the error.
Event Timestamp	The <i>eventTimestamp</i> , as reported on the record with the error.
Event Type	The <i>type</i> , as reported on the record with the error.
Symbol	The <i>symbol</i> , as reported on the record with the error.
Option ID	The <i>optionID</i> , as reported on the record with the error.
Quantity	The <i>quantity</i> , as reported on the record with the error.

- Review the pending submissions and click **Submit**. Use the scrollbar at the bottom of the display to view all available columns and rows. If a field is blank, it is because the field was not populated when the CAT Event was created. If there are no pending submissions, the screen will display "No Rows To Show."

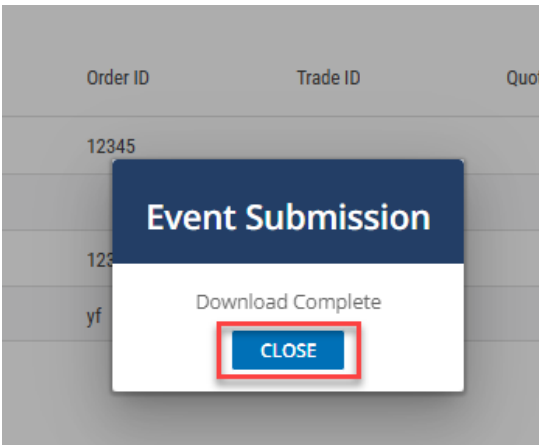
5. Review the results of the submission and click either **Download** or **Close**.



To download the resulting files, click **Download**. Download the generated CSV file(s) using the internet browser functionality. All selected records will be downloaded in a format that matches the machine-to-machine file submission format. The user can submit up to 10,000 records per single submission and all submitted records can be downloaded.

To decline downloading the files, click **Close**. If the user chooses to decline to download the file(s), the data will no longer be available for download.

6. If the user selected to download the CSV file(s), a pop-up message will appear notifying that the download is complete, click **Close**. If the user declined to download the file(s), the user will automatically be returned to the Pending Submissions tab.



CAT indicates if any errors were encountered that prevents submission of one or more selected records. Unsubmitted records remain on the Pending Submission list for further action.

Other Pending Submissions Functionality:

To edit a pending record:

1. Under the **Type** column, click the hyperlink associated with the pending CAT Event wished to be edited.

CAT Reporter Portal | 3:21 PM ET 12/23/2025

Perspective Reporter

Report to CAT

File Upload Download Feedback Create CAT Events Pending Submissions

Creating and repairing CAT events via the Reporter Portal is a two-step process. First, users must create new CAT events or repair error records. Second, users must submit the pending events from this page to CAT for processing. Users will be given the option to download submitted files during the submission process. After the submission process is complete, events are no longer available for Download.

Pending submissions (4)

Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMD	Order ID	Trade ID	Quote ID	Fulfillment ID	Event Timestamp	Event Type
X	NEW		12345	ABCD	12345				20251205T100000.30000...	MEOR
X	BPR	12345	23456	ABCD	123456				20251212T200000.20000...	MENO
X	COR		234567	ZZZZ	123457				20251217T100000.10000...	MENO
X	NEW		234568	ABCD	123458				20251216T100000.10000...	MENO

Export

SUBMIT

2. Next, the user will be brought to the **Edit Pending Event** tab. Edit all necessary fields and click **Update**.

CAT Reporter Portal | 3:53 PM ET 12/23/2025

Perspective Reporter

Report to CAT

File Upload Download Feedback Create CAT Events Pending Submissions Edit Pending Event

1 actionType 2 errorROEID 3 firmROEID 4 type 5 CATReporterIMD

NEW errorROEID 12345 Order Route (MEOR) ABCD

6 orderKeyDate * (entered value: 20251205T100000.300000000)

20251203 100000 200000000

7 orderID *

12345

8 symbol *

XYZ

9 originatingIMD

CANCEL UPDATE

For events with the action type New, Correct and Repair, all fields except actionType, errorROEID and type are able to be edited. For events with the action type Delete, only the firmROEID and

CATReporterIMID fields are able to be edited. If the user does not wish to edit the event, click Cancel. After the update(s) have been made the user will be brought back to the Pending Submissions tab.

To delete a pending record:

1. Under the **Delete** column, click the hyperlink associated with the pending CAT Event wished to be deleted.

The screenshot shows the 'CAT Reporter Portal' interface. The top navigation bar includes 'CAT Reporter Portal', the time '3:21 PM ET 12/23/2025', and a 'Perspective' dropdown set to 'Reporter'. The left sidebar contains various navigation icons. The main content area is titled 'Report to CAT' and has tabs for 'File Upload', 'Download Feedback', 'Create CAT Events', and 'Pending Submissions'. A blue information banner at the top of the 'Pending Submissions' tab explains the two-step process for creating and repairing CAT events. Below the banner, a table titled 'Pending submissions (4)' displays four rows of data. The first column, 'Delete', contains blue 'X' hyperlinks for each row. The other columns include 'Type', 'Error ROE ID', 'Firm ROE ID', 'CAT Reporter IMID', 'Order ID', 'Trade ID', 'Quote ID', 'Fulfillment ID', 'Event Timestamp', and 'Event Type'. The first row has a 'NEW' type and MEOR event type. The second row has a 'BPR' type and MENO event type. The third row has a 'COR' type and MENO event type. The fourth row has a 'NEW' type and MENO event type. A 'SUBMIT' button is located at the bottom right of the table area.

Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	Fulfillment ID	Event Timestamp	Event Type
X	NEW		12345	ABCD	12345				20251205T100000.30000...	MEOR
X	BPR	12345	23456	ABCD	123456				20251212T200000.20000...	MENO
X	COR		234567	ZZZZ	123457				20251217T100000.10000...	MENO
X	NEW		234568	ABCD	123458				20251216T100000.10000...	MENO

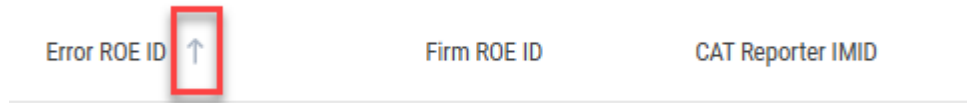
2. Click **Delete**. The pending record is removed from the Pending Submissions tab and deleted from the system. Alternatively, if the user does not wish to delete the event, click Cancel. After the event has been deleted the user will be brought back to the Pending Submissions tab. If a read-only user attempts to delete a pending submission they will receive an error message stating "Access Denied for Read-Only User."

This screenshot shows the same 'CAT Reporter Portal' interface as the previous one, but with a modal dialog box open over the table. The dialog is titled 'Delete Pending Event' and contains a note: 'Note: This action only deletes the selected record and prevents it from being submitted to CAT. To delete a previously submitted event, you must create and submit a DEL event.' At the bottom of the dialog are two buttons: 'CANCEL' and 'DELETE'. The table in the background now shows five rows, indicating that the first row from the previous screenshot has been removed. The 'Delete' column still contains blue 'X' hyperlinks for each row.

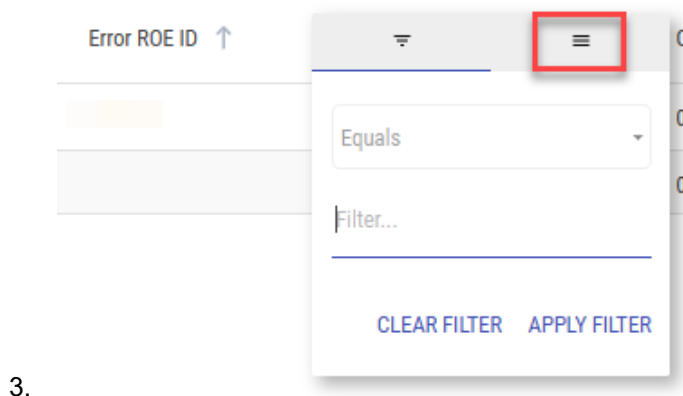
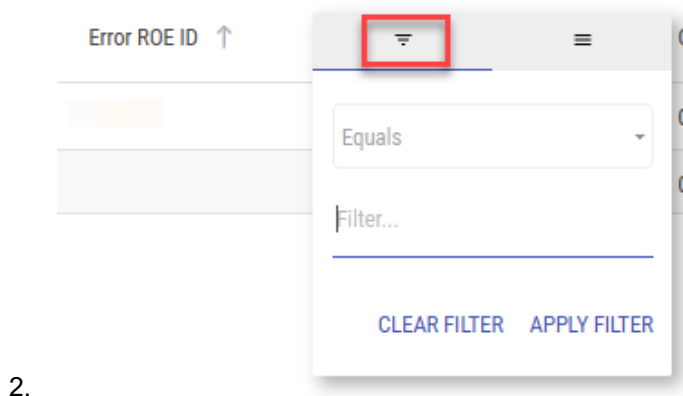
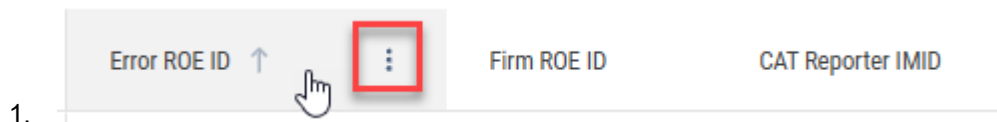
Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	Fulfillment ID	Event Timestamp	Event Type
X	DEL	12345	12345							
X	NEW		12345						20251205T100000.30000...	MEOR
X	BPR	12345	23456						20251212T200000.20000...	MENO
X	COR		23456						20251217T100000.10000...	MENO
X	NEW		23456		12345				20251216T100000.10000...	MENO

This action only deletes the selected record and prevents them from being submitted to CAT. To delete a previously submitted event, a Delete (DEL) event must be created and submitted.

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.



To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (☰) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.



To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.

Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID
×	NEW		123ABC	ABCD	22222
×	DEL	11111	123ZZZ	ABCD	

1.

Delete	Type	Order ID	Error ROE ID	Firm ROE ID	CAT Reporter IMID
×	NEW	22222		123ABC	ABCD
×	DEL		11111	123ZZZ	ABCD

2.

To export the pending records, click **Export**. Download the generated CSV file using the internet browser functionality.

Reporting Feedback
 Error Corrections
 Report to CAT
 Reporting Relationships
 ATS Order Types
 Monthly Report Cards

Report to CAT

File Upload
Download Feedback
Create CAT Events
Pending Submissions

Creating and repairing CAT events via the Reporter Portal is a two-step process. First, users must create new CAT events or repair error records. Second, users must submit the pending events from this page to CAT for processing. Users will be given the option to download submitted files during the submission process. After the submission process is complete, events are no longer available for Download.

Pending submissions (2)

Delete	Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	Fulfillment ID	Event Timestamp	Event Type	Symbol	Optio
×	NEW		23456	096	12345				20260102T111111.11111...	MEOC	XYZ	
×	DEL	12345	23457	096								

Export

10 Reporting Relationships

The **Reporting Relationships** tool allows the CAT Reporter to establish a link between a CAT Reporter and a Submitter for purposes of transmitting, viewing, and correcting CAT data. The **Transaction Reporting Relationships** tab also enables a CAT Reporter to manage and add new reporting relationships for their firm.

The following table describes the different roles that comprise a **reporting relationship**:

Role	Description
(1) CAT Reporter	This identifies the firm that is required to submit data to CAT and for which data may be transmitted, viewed, and corrected.
(1) IMID	This identifies the IMID for the CAT Reporter for which data may be transmitted, viewed, and corrected.
(1) Submitter	This identifies the organization that may transmit, view, and correct data on behalf of the CAT Reporter/IMID.

A reporting relationship must be manually created in CAT before a Submitter may transmit data on behalf of the CAT Reporter. Only the CAT Reporter can create and manage Reporting Relationships. A CAT Reporter may have multiple active relationships at any time. Self-reporting firms are not required nor able to establish a self-reporting relationship.

10.1 Usage of CAT Transaction Reporting Relationships

A reporting relationship allows the Submitter to transmit data on behalf of the CAT Reporter. This includes the ability to submit, view feedback and make corrections to data. A Submitter may only view and make corrections to data that was transmitted by the Submitter.

As an example, the following table demonstrates a reporting relationship for Firm **999: ABCD Securities**.

CAT Reporter IMID	Submitter	Permissions
ABCD	123	123 can transmit data, view corresponding feedback and initiate corrections on behalf of 999/ABCD .

ABCD	456	456 can transmit data, view corresponding feedback and initiate corrections on behalf of 999/ABCD .
------	-----	---

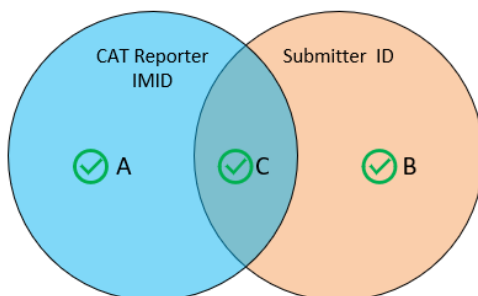
A CAT Transaction Reporting Relationship is valid from the effective date to the expiration date (if provided), inclusive of these dates. Any data provided by the Submitter on behalf of the CAT Reporter IMID prior to the effective date or after the expiration date is rejected.

Additionally, A CAT Transaction Reporting Relationship is only valid as long as the corresponding CAT Reporter IMID is valid. When an IMID is no longer valid, all active CAT Transaction Reporting Relationships for that IMID are no longer valid. All organizations designated as a Submitter for that IMID may no longer transmit data under that relationship.

When a relationship expires/the IMID is no longer valid, the Submitter may still view any data that was submitted while the relationship was active/the IMID was valid. However, they can no longer submit corrections to that data.

10.2 Duplicate and Overlapping CAT Transaction Reporting Relationships

To ensure data integrity, CAT does not allow two relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter IMID, and Submitter for the relationships as well as the Effective and Expiration Dates. The following diagram illustrates the possible scenarios when comparing two relationships:



Relationships that share one or two of the three primary data points are not duplicative. Two relationships may have:

- A. The same CAT Reporter IMID but a different Submitter ID.
- B. The same Submitter ID but a different CAT Reporter IMID.
- C. The same CAT Reporter IMID and Submitter

Relationships with the same CAT Reporter IMID, Submitter ID require further review. In such cases, CAT uses the Effective and Expiration Dates to determine if the relationships are duplicative. The user may proceed when the date ranges of the two relationships do not overlap or meet.

10.3 View CAT Transaction Reporting Relationships

The **Transaction Reporting Relationship** tab lists all reporting relationships established for a firm. Reporting relationships are displayed in two categories: (1) the Reporter View and (2) the Submitter. A CAT Reporter may have multiple active relationships at any time. A CAT Transaction Reporting Relationship is valid from the effective date to the expiration date (if provided), inclusive of these dates.

To view Transaction Reporting Relationships for the Firm:

1. Select Reporting Relationships.

Reporter View

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
			09/30/2025	10/30/2025	portalimuseradmetest	09/30/2025 14:13:42	portalimuseradmetest	10/01/2025 15:01:56
			10/01/2025		portalimuseradmetest	10/01/2025 11:52:57	portalimuseradmetest	10/01/2025 11:52:57
			10/01/2025	10/01/2025	portalimuseradmetest	10/01/2025 11:17:36	portalimuseradmetest	10/01/2025 11:17:36
			04/14/2020	09/22/2025	portalimtest88888888	04/14/2020 10:01:29	portalimuseradmetest	09/22/2025 15:11:20
			06/26/2025		portalimuseradmetest	06/26/2025 10:58:14	portalimuseradmetest	09/22/2025 14:23:15
			08/28/2025		portalimuseradmetest	08/28/2025 14:55:10	portalimuseradmetest	08/28/2025 14:55:10
			06/26/2025		portalimuseradmetest	06/26/2025 11:18:11	portalimuseradmetest	06/26/2025 11:18:11
			06/03/2025		portalimuseradmetest	06/03/2025 11:18:11	portalimuseradmetest	06/03/2025 11:18:11

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
				06/27/2022	06/30/2022	portalimuseradmetest	06/27/2022 11:35:19	portalimuseradmetest	
				06/27/2022	06/30/2022	portalimuseradmetest	06/27/2022 11:34:48	portalimuseradmetest	

2. Review the **Transaction Reporting Relationships**. Use the scrollbars at the bottom and right of the display to view all available columns and rows. The **Transaction Reporting Relationships** tab displays all reporting relationships for the firm, including those that are currently active, have a future effective date, are pending expiration, or have already expired. Greyed out rows indicate that the reporting relationship is inactive. If the firm has no reporting relationships, the screen will display “No Reporting Relationships Found.”

CAT Reporter Portal
3:33 PM ET
12/29/2025
Perspective
Reporter

Reporting Relationships
Transaction Reporting Relationships

Reporter View
Add New
Export

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
			09/30/2025	10/30/2025	portaluseradntest	09/30/2025 14:13:42	portaluseradntest	10/01/2025 15:01:56
			10/01/2025		portaluseradntest	10/01/2025 11:52:57	portaluseradntest	10/01/2025 11:52:57
			10/01/2025	10/01/2025	portaluseradntest	10/01/2025 11:17:36	portaluseradntest	10/01/2025 11:17:36
			04/14/2020	09/22/2025	portaltest88888888	04/14/2020 10:01:29	portaluseradntest	09/22/2025 15:11:20
			06/26/2025		portaluseradntest	06/26/2025 10:58:14	portaluseradntest	09/22/2025 14:23:15
			08/30/2025		portaluseradntest	08/28/2025 14:55:10	portaluseradntest	08/28/2025 14:55:10
			06/26/2025		portaluseradntest	06/26/2025 11:18:11	portaluseradntest	06/26/2025 11:18:11
			06/05/2021		portaluseradntest	06/05/2021 1:19:46:00	portaluseradntest	06/16/2025 09:56:48

Submitter/Third-Party View

Export

Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
				06/27/2022	06/30/2022	portaluseradntest	06/27/2022 11:35:19	portaluseradntest	06/27/2022 11:35:19
				06/27/2022	06/30/2022	portaluseradntest	06/27/2022 11:34:48	portaluseradntest	06/27/2022 11:34:48
				04/08/2021	08/13/2021	portaltest99999999	04/08/2021 10:58:49	portaltest99999999	04/08/2021 10:58:49
				12/17/2020		portaluseradntest	12/04/2020 13:07:05	portaluseradntest	12/04/2020 13:07:05
				04/21/2020		portaluseradntest	04/19/2020 12:05:21	portaluseradntest	04/19/2020 12:05:21

Reporting relationships are displayed in two categories:

- The **Reporter View** displays all relationships where the user's firm is the CAT Reporter. This is the list of Submitters that have been authorized by the user's firm to act on its behalf. These relationships have been created by and must be managed by the user's Firm.
- The **Submitter** displays all relationships where the user's organization has been named as a Submitter. This is the list of CAT Reporters that have been authorized by the user's organization to act on its behalf. All records are read-only; relationships must be edited by the CAT Reporter.

The **Transaction Reporting Relationships** tab displays the following information for each reporting relationship:

Column	Description
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.
Effective Date	The first date on which the Reporting Relationship is available for submitting and managing data.
Expiration Date	The last date on which the Reporting Relationship is available for submitting and managing data.

Version 1.7

96

Column	Description
Created By	The Portal username of the user who created the reporting relationship.
Created On	The date and time the reporting relationship was created.
Updated By	The Portal username of the user who updated the reporting relationship.
Updated On	The date and time (HH:MM:SS) the reporting relationship was updated.

10.4 Add New CAT Transaction Reporting Relationship

The **Transaction Reporting Relationship** tab lists all reporting relationships established for a firm. Reporting relationships are displayed in two categories: (1) the Reporter View and (2) the Submitter. Only the CAT Reporter can create new reporting relationships. The CAT Reporter must create a Reporting Relationship before the Submitter is able to act on its behalf.

To add a new Transaction Reporting Relationship:

1. Select **Reporting Relationships**.

CAT Reporter Portal | 3:15 PM ET 12/29/2025 | Perspective Reporter

Reporting Relationships

Transaction Reporting Relationships [Add New] [Export]

CAT Reporter IMD	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
			09/30/2025	10/30/2025	portaluseradmttest	09/30/2025 14:13:42	portaluseradmttest	10/01/2025 15:01:56
			10/01/2025		portaluseradmttest	10/01/2025 11:52:57	portaluseradmttest	10/01/2025 11:52:57
			10/01/2025	10/01/2025	portaluseradmttest	10/01/2025 11:17:36	portaluseradmttest	10/01/2025 11:17:36
			04/14/2020	09/22/2025	portaltest88888888	04/14/2020 10:01:29	portaluseradmttest	09/22/2025 15:11:20
			06/26/2025		portaluseradmttest	06/26/2025 10:58:14	portaluseradmttest	09/22/2025 14:23:15
			08/30/2025		portaluseradmttest	08/28/2025 14:55:10	portaluseradmttest	08/28/2025 14:55:10
			06/26/2025		portaluseradmttest	06/26/2025 11:18:11	portaluseradmttest	06/26/2025 11:18:11
			06/03/2021		portaluseradmttest	06/03/2021 1:10:26:10	portaluseradmttest	06/03/2021 1:10:26:10

Submitter/Third-Party View [Export]

Submitter	Third-Party Reporting Agent	CAT Reporter IMD	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
				06/27/2022	06/30/2022	portaluseradmttest	06/27/2022 11:35:19	portaluseradmttest	06/27/2022 11:35:19
				06/27/2022	06/30/2022	portaluseradmttest	06/27/2022 11:34:48	portaluseradmttest	06/27/2022 11:34:48

2. Click **Add New**.

CAT Reporter Portal | 3:33 PM ET 12/29/2025 Perspective Reporter

Reporting Relationships

Transaction Reporting Relationships

Reporter View

[Add New](#) [Export](#)

CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
			09/30/2025	10/30/2025	portaluseradntest	09/30/2025 14:13:42	portaluseradntest	10/01/2025 15:01:56
			10/01/2025		portaluseradntest	10/01/2025 11:52:57	portaluseradntest	10/01/2025 11:52:57
			10/01/2025	10/01/2025	portaluseradntest	10/01/2025 11:17:36	portaluseradntest	10/01/2025 11:17:36
			04/14/2020	09/22/2025	portaltest88888888	04/14/2020 10:01:29	portaluseradntest	09/22/2025 15:11:20
			06/26/2025		portaluseradntest	06/26/2025 10:58:14	portaluseradntest	09/22/2025 14:23:15

- Enter the details for the reporting relationship and click **Save**. All required fields are marked by an asterisk. Once this action has been completed, the new reporting relationship will be displayed on the Reporter View list.

Add New Reporting Relationship

Reporting Relationships must be established between Industry Members and CAT Reporting Agents only. Self-reporting firms are not required or able to establish a reporting relationship with themselves.

CAT Reporter IMID*
ABCD

Submitter*
1111

Contact your CAT Reporting Agent to verify the Submitter's Org ID

Third-Party Reporting Agent (Optional)

Effective Date*
12/30/2025

Expiration Date (Optional)

[Cancel](#) [Save](#)

The following fields are to be provided and comply with the associated **field requirements, formats, and validations**:

Field	Field Description	Rules/Validations
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.	Selection includes all IMIDs for the CAT Reporter, per the IMID drop-down list.
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.	Must not be the CRD Number of the CAT Reporter
Effective Date	The first date on which the Reporting Relationship is available for submitting and managing data.	Must be on or after the current date.
Expiration Date (Optional)	The last date on which the Reporting Relationship is available for submitting and managing data.	Must be on or after the Effective Date. Must be on or after the current date.

10.5 Edit Existing CAT Transaction Reporting Relationships

The **Transaction Reporting Relationship** tab lists all reporting relationships established for a firm. Reporting relationships are displayed in two categories: (1) the Reporter View and (2) the Submitter. Only the CAT Reporter can edit reporting relationships.

A **reporting relationship** may be edited as follows:

Reporting Relationship Status	Description	Edit Capabilities
Future-Dated Relationship	Where the Effective Date is after the current date.	All fields may be edited.

Reporting Relationship Status	Description	Edit Capabilities
Currently Active Relationship	Where the Effective Date is on or before the current date and the Expiration Date is blank or is on or after the current date.	Only the Expiration Date may be edited.
Expired Relationship	Where the Expiration Date is before the current date.	No fields may be edited.

To edit a Transaction Reporting Relationship:

1. Select Reporting Relationships.

CAT Reporter Portal | 3:15 PM ET 12/29/2025 | Perspective Reporter

Reporting Relationships

Transaction Reporting Relationships

Reporter View

CAT Reporter IMD	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
			09/30/2025	10/30/2025	portaluseradmetest	09/30/2025 14:13:42	portaluseradmetest	10/01/2025 15:01:56
			10/01/2025	10/01/2025	portaluseradmetest	10/01/2025 11:52:57	portaluseradmetest	10/01/2025 11:52:57
			10/01/2025	10/01/2025	portaluseradmetest	10/01/2025 11:17:36	portaluseradmetest	10/01/2025 11:17:36
			04/14/2020	09/22/2025	portaltest88888888	04/14/2020 10:01:29	portaluseradmetest	09/22/2025 15:11:20
			06/26/2025		portaluseradmetest	06/26/2025 10:58:14	portaluseradmetest	09/22/2025 14:23:15
			08/30/2025		portaluseradmetest	08/28/2025 14:55:10	portaluseradmetest	08/28/2025 14:55:10
			06/26/2025		portaluseradmetest	06/26/2025 11:18:11	portaluseradmetest	06/26/2025 11:18:11
			06/03/2021		portaluseradmetest	06/03/2021 11:26:48	portaluseradmetest	06/26/2025 10:50:40

Submitter/Third-Party View

Submitter	Third-Party Reporting Agent	CAT Reporter IMD	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
				06/27/2022	06/30/2022	portaluseradmetest	06/27/2022 11:35:19	portaluseradmetest	06/27/2022 11:35:19
				06/27/2022	06/30/2022	portaluseradmetest	06/27/2022 11:34:48	portaluseradmetest	06/27/2022 11:34:48

2. Under the Reporter View list, click the hyperlink associated with the reporting relationship wished to be edited.

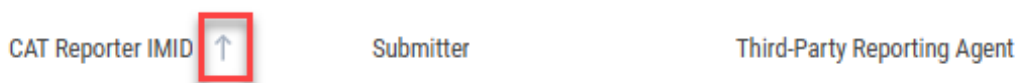
3. Edit the Reporting Relationship and click **Update**. Once this action has been completed, the edit(s) made to the reporting relationship will be reflected on the Reporter View list.

The following fields must be provided and comply with the associated field requirements, formats, and validations:

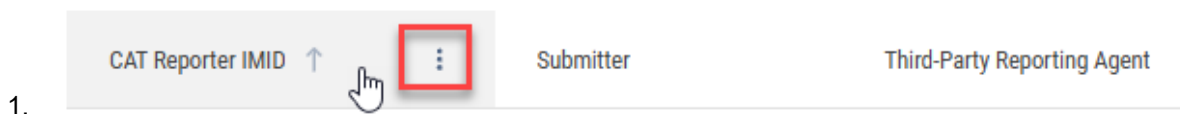
Field	Field Description	Rules/Validations
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.	Selection includes all IMIDs for the CAT Reporter, per the IMID drop-down list.
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.	Must not be the CRD Number of the CAT Reporter.
Effective Date	The first date on which the Reporting Relationship is available for submitting and managing data.	Must be on or after the current date.
Expiration Date (Optional)	The last date on which the Reporting Relationship is available for submitting and managing data.	Must be on or after the Effective Date. Must be on or after the current date.

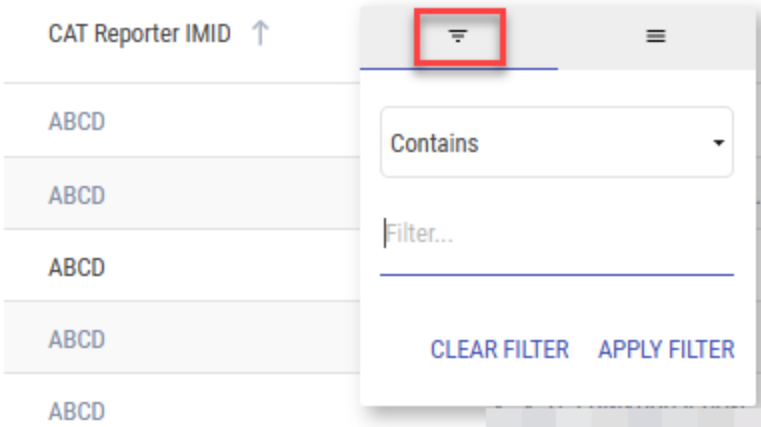
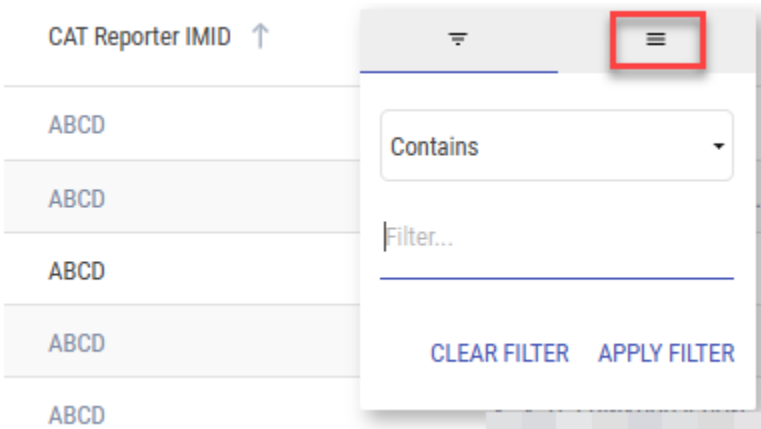
Other Reporting Relationships Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

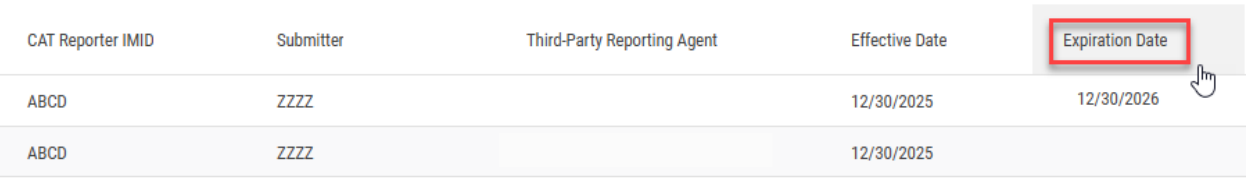
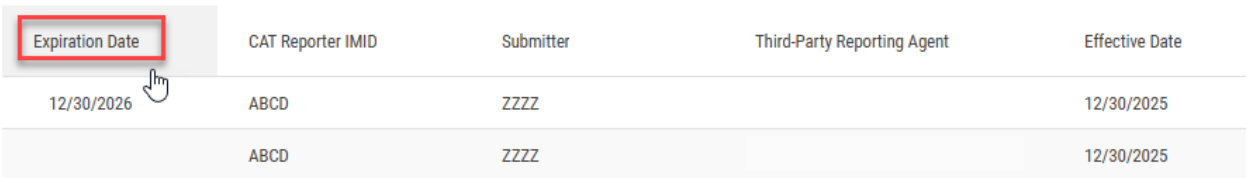


To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (☞) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.



2. 
3. 

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.

1. 
2. 

To export a list, click **Export** for the desired perspective view: Reporter View or Submitter View. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported. The Reporter View content and the Submitter View content must be filtered, sorted, and exported separately. Download the generated CSV file using the internet browser functionality.

Transaction Reporting Relationships									
Reporter View									
CAT Reporter IMID	Submitter	Third-Party Reporting Agent	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
			12/30/2025		portalimuseradmttest	12/29/2025 17:32:53	portalimuseradmttest	12/29/2025 17:32:53	Edit
			12/30/2025		portalimuseradmttest	12/29/2025 16:52:02	portalimuseradmttest	12/29/2025 16:52:02	Edit
			09/30/2025	10/30/2025	portalimuseradmttest	09/30/2025 14:13:42	portalimuseradmttest	10/01/2025 15:01:56	
			10/01/2025		portalimuseradmttest	10/01/2025 11:52:57	portalimuseradmttest	10/01/2025 11:52:57	Edit
			10/01/2025	10/01/2025	portalimuseradmttest	10/01/2025 11:17:36	portalimuseradmttest	10/01/2025 11:17:36	
			04/14/2020	09/22/2025	portalimuseradmttest	04/14/2020 10:01:29	portalimuseradmttest	09/22/2025 15:11:20	
			06/26/2025		portalimuseradmttest	06/26/2025 10:58:14	portalimuseradmttest	09/22/2025 14:23:15	Edit
			08/18/2025		portalimuseradmttest	08/18/2025 14:44:10	portalimuseradmttest	08/18/2025 14:44:10	Edit
Submitter/Third-Party View									
Submitter	Third-Party Reporting Agent	CAT Reporter IMID	Firm	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
				04/21/2020		portalimuseradmttest	04/19/2020 12:05:21	portalimuseradmttest	04/19/2020 12:05:21
				02/26/2020		portalimuseradmttest	02/26/2020 16:01:32	portalimuseradmttest	02/26/2020 16:01:32

11 ATS Order Types

The **ATS Order Types** tool allows the user to view, manage, and add new Alternative Trading System (ATS) Order Types with CAT. The CAT [Industry Member Technical Specifications](#) require Industry Members operating an ATS to populate the *atsOrderType* field on the CAT Equity New Order and Order Accepted events. The Firm must register the order type with CAT prior to submitting events referencing that ATS Order Type. Industry Members are encouraged to register ATS Order Types with CAT at least 20 days prior to the effective date.

11.1 Usage of ATS Order Types

When the *atsOrderType* is provided on an event, the value must match a valid ATS Order Type for the IMID. An ATS Order Type is valid from the effective date to the expiration date (if provided), inclusive of these dates. Any event submitted using the ATS Order Type prior to the effective date or after the expiration date is rejected.

Additionally, an ATS Order Type is only valid as long as the corresponding CAT Reporter IMID is a designated ATS. When an IMID is no longer valid, all active ATS Order Types are no longer valid and all Equity New Order or Order Accepted events subsequently submitted with that ATS Order Type will be rejected.

11.2 Duplicate and Overlapping ATS Order Types

To ensure data integrity, CAT does not allow two order types to duplicate one another. When determining if two order types would be duplicative, CAT considers the CAT Reporter IMID and the ATS Order Type as well as the Effective and Expiration Dates.

Order types that share one of the two primary data points are not duplicative; two order types may have the same CAT Reporter IMID or the same ATS Order Type. However, order types with the same IMID and ATS Order Type require additional review. In these cases, CAT uses the Effective and Expiration Dates to determine if the order types are duplicative. The user may proceed when the date ranges of the order types do not overlap or meet.

11.3 View ATS Order Types

The **ATS Order Types** tool allows the user to view all ATS Order Types registered with CAT for their firm. An ATS Order Type is valid from the effective date to the expiration date (if provided), inclusive of these dates.

To view all ATS Order Types for the Firm:

1. Select **ATS Order Types**.

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ATS Order Types

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmtest	10/21/2025 12:21:37	portalimuseradmtest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmtest	11/08/2024 12:55:53	portalimuseradmtest	11/22/2024 14:12:17
ZZZZ	MLO	KTDuplicate MLO	11/01/2024		portalimuseradmtest	11/14/2024 10:44:37	portalimuseradmtest	11/14/2024 10:45:00
ABCD	MLO	KTMLO ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmtest	11/14/2024 09:58:12	portalimuseradmtest	11/14/2024 10:26:48
ABCD	JML	KT JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmtest	11/14/2024 10:16:40	portalimuseradmtest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmtest	11/14/2024 10:11:54	portalimuseradmtest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmtest	11/08/2024 13:11:12	portalimuseradmtest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmtest	11/08/2024 12:27:15	portalimuseradmtest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmtest	11/08/2024 12:16:35	portalimuseradmtest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuseradmtest	11/04/2024 10:34:03	portalimuseradmtest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/06/2024	11/06/2024	portalimuseradmtest	11/04/2024 09:19:33	portalimuseradmtest	11/04/2024 09:19:33

2. Review the **ATS Order Types**. The **ATS Order Types** tool displays all ATS Order Types for the firm, including those that are currently active, have a future effective date, are pending expiration, or have already expired. Greyed out rows indicate that the ATS Order Type is inactive. If the firm has never registered ATS Order Types with CAT, the screen will display “No Rows To Show.”

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ATS Order Types

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmtest	10/21/2025 12:21:37	portalimuseradmtest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmtest	11/08/2024 12:55:53	portalimuseradmtest	11/22/2024 14:12:17
ZZZZ	MLO	KTDuplicate MLO	11/01/2024		portalimuseradmtest	11/14/2024 10:44:37	portalimuseradmtest	11/14/2024 10:45:00
ABCD	MLO	KTMLO ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmtest	11/14/2024 09:58:12	portalimuseradmtest	11/14/2024 10:26:48
ABCD	JML	KT JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmtest	11/14/2024 10:16:40	portalimuseradmtest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmtest	11/14/2024 10:11:54	portalimuseradmtest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmtest	11/08/2024 13:11:12	portalimuseradmtest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmtest	11/08/2024 12:27:15	portalimuseradmtest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmtest	11/08/2024 12:16:35	portalimuseradmtest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuseradmtest	11/04/2024 10:34:03	portalimuseradmtest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/06/2024	11/06/2024	portalimuseradmtest	11/04/2024 09:19:33	portalimuseradmtest	11/04/2024 09:19:33

The **ATS Order Type** tool displays the following information for each reporting relationship:

Column	Description
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.
ATS Order Type	The order type that is used when reporting events to CAT.

Column	Description
Description	The user-provided description.
Effective Date	The first date on which the ATS Order Type is accepted for submission.
Expiration Date	The last date on which the ATS Order Type is accepted for submission.
Created By	The Portal username of the user who created the ATS Order Type submission.
Created On	The date and time the ATS Order Type submission was created.
Updated By	The Portal username of the user who updated the ATS Order Type submission.
Updated On	The date and time (HH:MM:SS) the ATS Order Type submission was updated.

11.4 Add New ATS Order Type

The **ATS Order Type** tool allows the user to register ATS Order Types on behalf of their firm. It is recommended that ATS Order Types are created at least 20 days prior to the Effective Date. However, an ATS Order Type may be created with an Effective Date that is equal to or greater than the current date.

To add a new ATS Order Type:

1. Select ATS Order Types.

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ATS Order Types

Add New Export

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmntest	10/21/2025 12:21:37	portalimuseradmntest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmntest	11/08/2024 12:55:53	portalimuseradmntest	11/22/2024 14:12:17
ZZZZ	MLO	KTDUPLICATE MLO	11/01/2024		portalimuseradmntest	11/14/2024 10:44:37	portalimuseradmntest	11/14/2024 10:45:00
ABCD	MLO	KTMLO ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmntest	11/14/2024 09:58:12	portalimuseradmntest	11/14/2024 10:26:48
ABCD	JML	KT JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmntest	11/14/2024 10:16:40	portalimuseradmntest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmntest	11/14/2024 10:11:54	portalimuseradmntest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmntest	11/08/2024 13:11:12	portalimuseradmntest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:27:15	portalimuseradmntest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:16:35	portalimuseradmntest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuserstest	11/04/2024 10:34:03	portalimuserstest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/06/2024	11/06/2024	portalimuserstest	11/04/2024 09:19:33	portalimuserstest	11/04/2024 09:19:33

2. Click Add New.

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ATS Order Types

Add New Export

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmntest	10/21/2025 12:21:37	portalimuseradmntest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmntest	11/08/2024 12:55:53	portalimuseradmntest	11/22/2024 14:12:17
ZZZZ	MLO	KTDUPLICATE MLO	11/01/2024		portalimuseradmntest	11/14/2024 10:44:37	portalimuseradmntest	11/14/2024 10:45:00
ABCD	MLO	KTMLO ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmntest	11/14/2024 09:58:12	portalimuseradmntest	11/14/2024 10:26:48
ABCD	JML	KT JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmntest	11/14/2024 10:16:40	portalimuseradmntest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmntest	11/14/2024 10:11:54	portalimuseradmntest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmntest	11/08/2024 13:11:12	portalimuseradmntest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:27:15	portalimuseradmntest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:16:35	portalimuseradmntest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuserstest	11/04/2024 10:34:03	portalimuserstest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/06/2024	11/06/2024	portalimuserstest	11/04/2024 09:19:33	portalimuserstest	11/04/2024 09:19:33

- Enter the details for the ATS Order Type and click **Save**. All required fields are marked by an asterisk. Once this action has been completed, the new ATS Order Type will be displayed on the ATS Order Types screen.

The following fields are to be provided and comply with the associated **field requirements, formats, and validations**:

Field	Field Description	Rules/Validations
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.	Selection includes all ATS IMIDs for the CAT Reporter, per the IMID List.
ATS Order Type	The order type that is used when reporting events to CAT.	Maximum of 40 characters.
Description	The user-provided description.	Maximum of 500 characters.
Effective Date	The first date on which the ATS Order Type is accepted for submission.	Must be on or after the current date.

Field	Field Description	Rules/Validations
Expiration Date (Optional)	The last date on which the ATS Order Type is accepted for submission.	Must be on or after the Effective Date. Must be on or after the current date.

11.5 Edit Existing ATS Order Types

The **ATS Order Type** tool allows the entitled user to edit existing ATS Order Types on behalf of their firm.

A **ATS Order Type** may be edited as follows:

ATS Order Type Status	Description	Edit Capabilities
Future-Dated ATS Order Type	Where the Effective Date is after the current date.	All fields may be edited.
Currently Active ATS Order Type	Where the Effective Date is on or before the current date and the Expiration Date is blank or is on or after the current date.	The Description, Effective Date and Expiration Date may be edited.
Expired ATS Order Type	Where the Expiration Date is before the current date.	No fields may be edited.

To edit an ATS Order Type:

1. Select ATS Order Types.

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ATS Order Types

Add New Export

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmntest	10/21/2025 12:21:37	portalimuseradmntest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmntest	11/08/2024 12:55:53	portalimuseradmntest	11/22/2024 14:12:17
ZZZZ	MLO	KTDUPLICATE MLO	11/01/2024		portalimuseradmntest	11/14/2024 10:44:37	portalimuseradmntest	11/14/2024 10:45:00
ABCD	MLO	KTML0 ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmntest	11/14/2024 09:58:12	portalimuseradmntest	11/14/2024 10:26:48
ABCD	JML	KT.JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmntest	11/14/2024 10:16:40	portalimuseradmntest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmntest	11/14/2024 10:11:54	portalimuseradmntest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmntest	11/08/2024 13:11:12	portalimuseradmntest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:27:15	portalimuseradmntest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:16:35	portalimuseradmntest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuseradmntest	11/04/2024 10:34:03	portalimuseradmntest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/04/2024	11/06/2024	portalimuseradmntest	11/04/2024 09:19:33	portalimuseradmntest	11/04/2024 09:19:33

2. Click the hyperlink associated with the ATS Order Type wished to be edited.

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ATS Order Types

Add New Export

CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On
ABCD	abs	desc	10/22/2025		portalimuseradmntest	10/21/2025 12:21:37	portalimuseradmntest	10/21/2025 12:21:37
ABCD	3123	312123	10/03/2024	11/29/2024	portalimuseradmntest	11/08/2024 12:55:53	portalimuseradmntest	11/22/2024 14:12:17
ZZZZ	MLO	KTDUPLICATE MLO	11/01/2024		portalimuseradmntest	11/14/2024 10:44:37	portalimuseradmntest	11/14/2024 10:45:00
ABCD	MLO	KTML0 ATS ORDER TYPE	10/13/2020	11/14/2024	portalimuseradmntest	11/14/2024 09:58:12	portalimuseradmntest	11/14/2024 10:26:48
ABCD	JML	KT.JML FUTURE EXPIRE	10/01/2024	11/01/2024	portalimuseradmntest	11/14/2024 10:16:40	portalimuseradmntest	11/14/2024 10:22:20
ZZZZ	GSO	KTGSO ATS ORDER TYPE	11/01/2022	11/14/2024	portalimuseradmntest	11/14/2024 10:11:54	portalimuseradmntest	11/14/2024 10:14:13
ZZZZ	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portalimuseradmntest	11/08/2024 13:11:12	portalimuseradmntest	11/08/2024 13:11:12
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:27:15	portalimuseradmntest	11/08/2024 12:27:15
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portalimuseradmntest	11/08/2024 12:16:35	portalimuseradmntest	11/08/2024 12:16:35
ZZZZ	dsad	asd	11/04/2024	11/05/2024	portalimuseradmntest	11/04/2024 10:34:03	portalimuseradmntest	11/04/2024 10:34:57
ABCD	ab1	ab1	11/04/2024	11/06/2024	portalimuseradmntest	11/04/2024 09:19:33	portalimuseradmntest	11/04/2024 09:19:33

3. Edit the ATS Order Type and click **Update**. Once this action has been completed, the edit(s) made to the ATS Order Type will be reflected on the ATS Order Types screen.

The following fields must be provided and comply with the associated **field requirements, formats, and validations**:

Field	Field Description	Rules/Validations
CAT Reporter IMID	The unique CAT Reporter IMID that a firm uses to report information to CAT.	Selection includes all ATS IMIDs for the CAT Reporter, per the IMID List.
ATS Order Type	The order type that is used when reporting events to CAT.	Maximum of 40 characters.
Description	The user-provided description.	Maximum of 500 characters.
Effective Date	The first date on which the ATS Order Type is accepted for submission.	Must be on or after the current date.

Field	Field Description	Rules/Validations
Expiration Date (Optional)	The last date on which the ATS Order Type is accepted for submission.	Must be on or after the Effective Date. Must be on or after the current date.

Other ATS Order Type Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.

CAT Reporter IMID 	ATS Order Type	Description
---	----------------	-------------

To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (🍓) allows the user to filter for a specific value as shown in 2, below, while the hamburger (☰) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.

1.

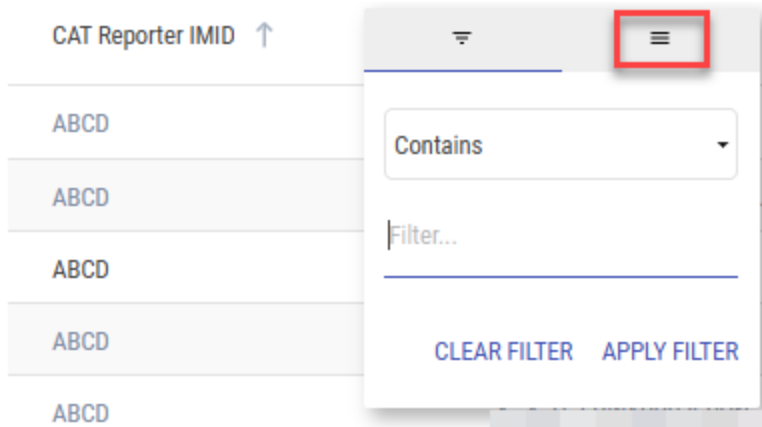
CAT Reporter IMID 		ATS Order Type	Description
---	---	----------------	-------------

2.

CAT Reporter IMID 		
ABCD	Contains	
ABCD	Filter...	
ABCD		
ABCD		
ABCD		

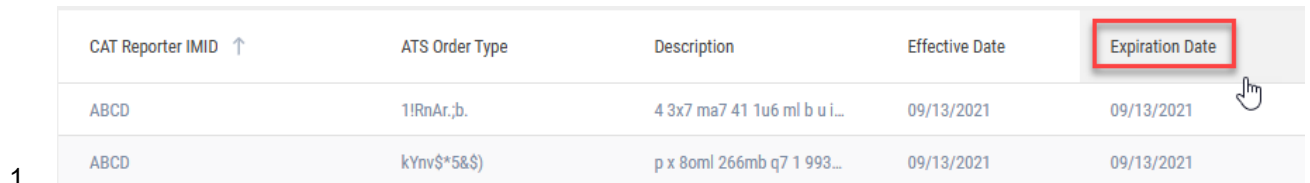
Filter...

CLEAR FILTER APPLY FILTER

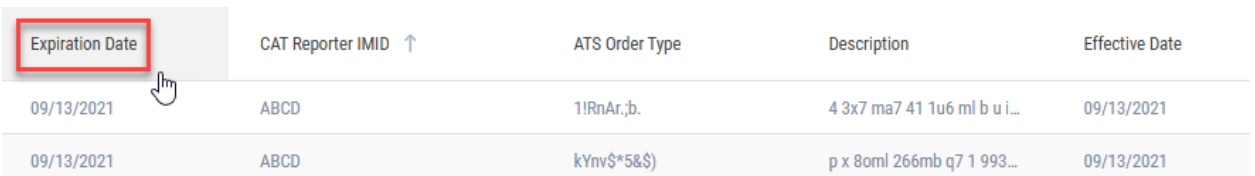


3.

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



1.



2.

To export the, click **Export**. If filters have been applied to the list, only the relationships meeting the specified filter criteria are exported. Download the generated CSV file using the internet browser functionality.

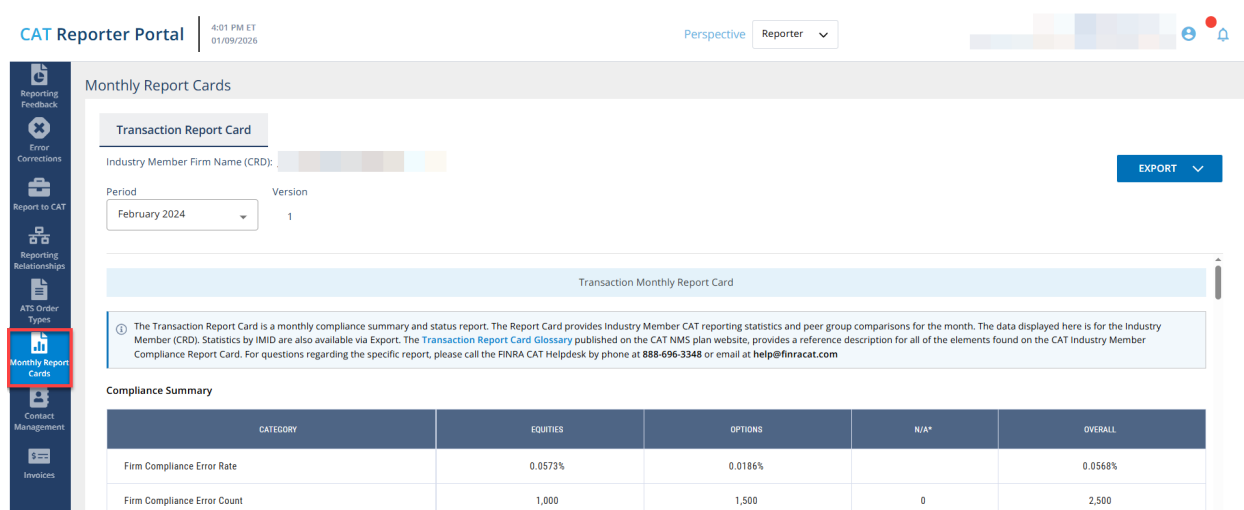
ATS Order Types									Add New Export	
CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On		
ABCD	DSOS	desc	11/28/2025		portaluseradmttest	10/18/2024 12:06:46	portaluseradmttest	01/13/2026 15:51:31		
ABCD	MLO	KTDuplicate MLO	10/25/2024	01/30/2026	portaluseradmttest	11/14/2024 10:44:37	portaluseradmttest	01/09/2026 16:42:35		
ZZZZ	abs	desc	12/17/2025		portaluseradmttest	10/21/2025 12:21:37	portaluseradmttest	12/30/2025 12:46:14		
ZZZZ	3123	312123	10/03/2024	11/29/2024	portaluseradmttest	11/08/2024 12:55:53	portaluseradmttest	11/22/2024 14:12:17		
ZZZZ	MLO	KTMLO ATS ORDER TYPE	10/13/2020	11/14/2024	portaluseradmttest	11/14/2024 09:58:12	portaluseradmttest	11/14/2024 10:26:48		
ZZZZ	JML	KT JML FUTURE EXPIRE	10/01/2024	11/01/2024	portaluseradmttest	11/14/2024 10:16:40	portaluseradmttest	11/14/2024 10:22:20		
ABCD	GSD	KTCSD ATS ORDER TYPE	11/01/2022	11/14/2024	portaluseradmttest	11/14/2024 10:11:54	portaluseradmttest	11/14/2024 10:14:13		
ABCD	PASTDATEATS2008	PASTDATEATS2008	10/01/2024	10/30/2024	portaluseradmttest	11/08/2024 13:11:12	portaluseradmttest	11/08/2024 13:11:12		
ABCD	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portaluseradmttest	11/08/2024 12:27:15	portaluseradmttest	11/08/2024 12:27:15		
ZZZZ	PASTDATEATS2007	PASTDATEATS2007	10/15/2024	10/15/2024	portaluseradmttest	11/08/2024 12:16:35	portaluseradmttest	11/08/2024 12:16:35		

12 Monthly Report Cards

The **Monthly Report Cards** tool allows the user to view and export the Transaction Report Card for their organization. The Transaction Report Card is a monthly compliance summary and status report. The Report Card provides Industry Member CAT reporting statistics and peer group comparisons for the month. The **Monthly Report Cards** tool also allows the user to export Statistics by IMID. The [Transaction Report Card Glossary](#), provides a reference description for all of the elements found on the CAT Industry Member Compliance Report Card.

To view the Monthly Report Cards:

1. Select **Monthly Report Cards**.



CAT Reporter Portal | 4:01 PM ET 01/09/2026 | Perspective Reporter

Monthly Report Cards

Transaction Report Card

Industry Member Firm Name (CRD): [Redacted]

Period: February 2024 | Version: 1

EXPORT

Transaction Monthly Report Card

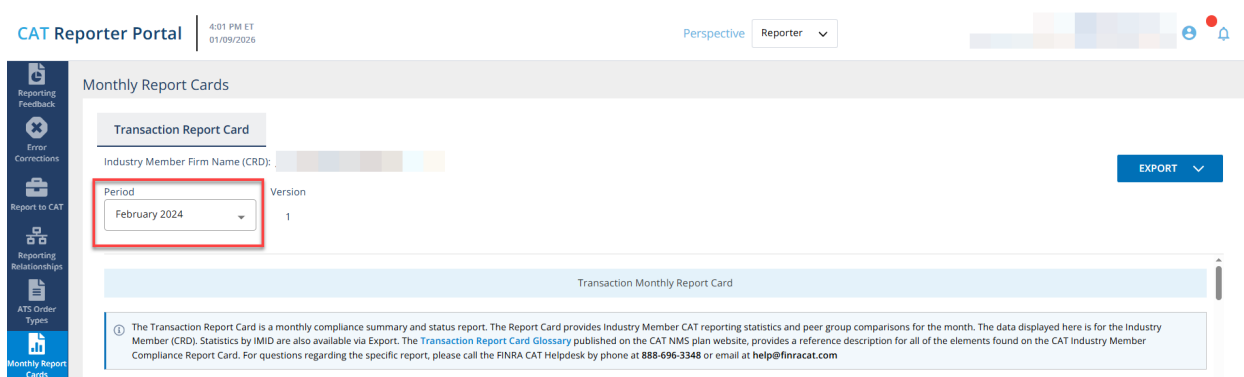
① The Transaction Report Card is a monthly compliance summary and status report. The Report Card provides Industry Member CAT reporting statistics and peer group comparisons for the month. The data displayed here is for the Industry Member (CRD). Statistics by IMID are also available via Export. The [Transaction Report Card Glossary](#) published on the CAT NMS plan website, provides a reference description for all of the elements found on the CAT Industry Member Compliance Report Card. For questions regarding the specific report, please call the FINRA CAT Helpdesk by phone at 888-696-3348 or email at help@finracat.com

Compliance Summary

CATEGORY	EQUITIES	OPTIONS	N/A*	OVERALL
Firm Compliance Error Rate	0.0573%	0.0186%		0.0568%
Firm Compliance Error Count	1,000	1,500	0	2,500

The **Monthly Report Cards** tool displays the Industry Member firm name and CRD for which the Transaction Report Card was created on the top, left side of the screen.

2. Optionally, change the Period from the dropdown list.



CAT Reporter Portal | 4:01 PM ET 01/09/2026 | Perspective Reporter

Monthly Report Cards

Transaction Report Card

Industry Member Firm Name (CRD): [Redacted]

Period: February 2024 | Version: 1

EXPORT

Transaction Monthly Report Card

① The Transaction Report Card is a monthly compliance summary and status report. The Report Card provides Industry Member CAT reporting statistics and peer group comparisons for the month. The data displayed here is for the Industry Member (CRD). Statistics by IMID are also available via Export. The [Transaction Report Card Glossary](#) published on the CAT NMS plan website, provides a reference description for all of the elements found on the CAT Industry Member Compliance Report Card. For questions regarding the specific report, please call the FINRA CAT Helpdesk by phone at 888-696-3348 or email at help@finracat.com

The Period dropdown allows the user to view Industry Member Report Cards for the previous four years up to the current Period. The Version field indicates the version of the report card for the Period.

3. Review the Report Card. Use the scrollbars to the right of the display to view all available rows. The Report Card is broken into two sections: Compliance Summary and Event Details. If the Industry Member does not have a Report Card for the period, the screen will display “No Report Card for the Selected Period.”

Monthly Report Cards

Transaction Report Card

Industry Member Firm Name (CRD): [Redacted]

Period: February 2024 Version: 1

Compliance Summary

CATEGORY	EQUITIES	OPTIONS	N/A*	OVERALL
Firm Compliance Error Rate	0.0573%	0.0186%		0.0568%
Firm Compliance Error Count	1,000	1,500	0	2,500
Days Exceeding 5% Compliance Error Rate	0	0		0
Tier	1	2		1
Peer Group Compliance Error Rate	0.1252%	2.7591%		4.0765%
Industry Compliance Error Rate	0.1510%	10.1642%		3.9160%

Event Details

STATUS	EQUITIES		OPTIONS		N/A*		OVERALL	
	Count	Rate	Count	Rate	Count	Rate	Count	Rate
Processed	9,442,547,803		135,718,865		26,944		9,578,294,432	
Accepted	9,442,436,127		135,717,998		26,944		9,578,181,069	
Late	4,816,976	0.0510%	24,542	0.0181%			4,841,518	0.0505%
Late Reported	4,282,467		625				4,283,092	

The **Report Card** organizes the categories of the Compliance Summary and Event Details sections by the Product Type. Product Type includes the following:

- EQUITIES
- OPTIONS
- N/A*
- OVERALL

Note that N/A Event counts include all DEL actions and any events with missing or invalid event types, as well as unparsable records.

The **Transaction Report Card** tab displays the following information organized by section:

Compliance Summary Section:

No.	Category	Description
1	Firm Compliance Error Rate	Compliance Error Percentage for the Industry Member for the month (Firm Compliance Error Count / Processed Records Count).
2	Firm Compliance Error Count	The total number of records for the Industry Member subject to the Compliance Error Percentage calculation for the month. See the Transaction Report Card Glossary for details.
3	Days Exceeding 5% Compliance Error Rate	Number of days during the month the Industry Member exceeded the Maximum Compliance Error Percentage of 5%.
4	Tier	Tier of the Industry Member during the month. See the Transaction Report Card Glossary for details.
5	Peer Group Compliance Error Rate	Total Compliance Error Percentage of the Industry Member's Peer Group (Firm Compliance Error Count for all of the Industry Members in the same Peer Group / Processed Count for all of the Industry Members in the same Peer Group).
6	Industry Compliance Error Rate	Compliance Error Percentage for the Industry (Firm Compliance Error Count for all of the Industry Members that reported during the month / Processed Count for all of the Industry Members that reported during the month).

Event Details Section:

The Event Details section calculates the count and rate for fields under the Status column. See the [Transaction Report Card Glossary](#) for rate formulas and definitions.

No.	Status	Description
1	Processed	The total number of records processed after file has successfully passed file integrity stage. If a file failed at file integrity stage, the number of records in the file are not included in this count.
2	Accepted	The total number of records accepted with no validation errors.
3	Late	The total number of NEW accepted records that were reported after 8:00 a.m. ET on T+1 or COR/RPR accepted records that were reported after 8:00 a.m. ET on T+3.
4	Late Reported	The total number of NEW accepted records that were reported after 8:00 a.m. ET on T+1.
5	Late Corrections	The total number of COR and RPR accepted records that were reported after 8:00 a.m. ET on T+3.
6	Rejections	The total number of repairable rejected records.
7	Repairable Rejections	The total number of repairable rejected records.
8	Repaired Rejections	The total number of repairable rejections.
9	Outstanding Repairable	Total repairable rejected records that were not repaired (Repairable Rejections – Repaired Rejections).
10	Out of Sequence	The total number of Out of Sequence Records.
11	Repaired	The total number of Out of Sequence Records repaired or reconciled.
12	Intrafirm Linkage Eligible	The total number of records within the firm eligible for Intrafirm Linkage.

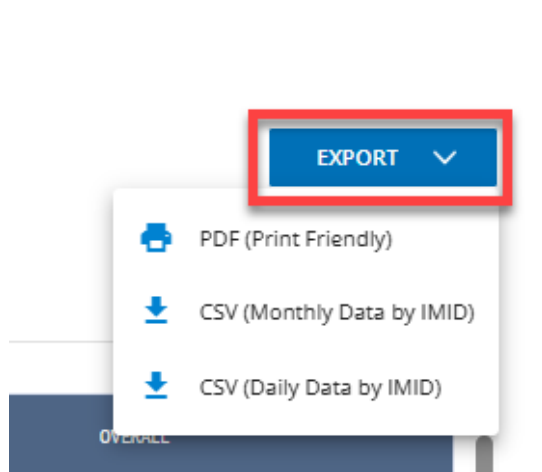
No.	Status	Description
13	Unlinked	The total number of records within the firm that were unlinked.
14	Repaired	The total number of Intrafirm Unlinked Records repaired or reconciled.
15	Interfirm Routes Linkage Eligible	The total number of routed Event records eligible for Interfirm Linkage.
16	Route Linkage Key Duplicates	The total number of routed Event records unlinked due to duplicate Route Key.
17	Repaired	The total number of Route Linkage Key Duplicates records repaired or reconciled.
18	Unlinked	The total number of routed Event records unlinked.
19	Repaired	The total number of unlinked routed Event records repaired or reconciled.
20	Interfirm Accept/Modify Linkage Eligible	The total number of received Event records eligible for Interfirm Linkage.
21	Route Linkage Key Duplicates	The total number of received Event records unlinked due to duplicate Route Key.
22	Repaired	The total number of Route Linkage Key Duplicates records repaired or reconciled.
23	Unlinked	The total number of received Event records unlinked.
24	Repaired	The total number unlinked received Event records repaired or reconciled.
25	Exchange Routes Linkage Eligible	The total number of routed Event records eligible for Exchange Linkage.

No.	Status	Description
26	Route Linkage Key Duplicates	The total number of routed Event records unlinked due to duplicate Route Key.
27	Repaired	The total number of Route Linkage Key Duplicates records repaired or reconciled.
28	Unlinked	The total number of routed Event records unlinked.
29	Repaired	The total number of unlinked routed Event records repaired or reconciled.
30	Trades Linkage Eligible	The total number of Trade Event records which name a TRF/ORF/ADF eligible for TRF Trades Linkage.
31	Linkage Key Duplicates	The total number of Trade Event records unlinked due to duplicate TRF Linkage Key.
32	Repaired	The total number of TRF Linkage Key Duplicates records repaired or reconciled.
33	Unlinked	The total number of Trade Event records Unlinked.
34	Repaired	The total number of Unlinked Trade Event Records repaired or reconciled.
35	Outbound Routes Accept/Modify Linkage Eligible	The total number of outbound route Event records eligible for Exchange Linkage.
36	Route Linkage Key Duplicates	The total number of outbound route Event records unlinked due to duplicate Route Key.
37	Repaired	The total number of Route Linkage Key Duplicates records repaired or reconciled.
38	Unlinked	The total number of outbound route Event records unlinked.

No.	Status	Description
39	Repaired	The total number of unlinked outbound route Event records repaired or reconciled.
40	Named Errors** <i>Named Errors do not participate in the Compliance Error Rate.</i>	
41	Named on Interfirm Routes	The total number unlinked routed Event records on which the Firm was named.
42	Repaired	The total number of unlinked routed Event records repaired or reconciled.
43	Named on Interfirm Accept/Modify	The total number of unlinked received Event records on which the Firm named.
44	Repaired	The total number of unlinked received Event records repaired or reconciled.
45	Named on Exchange Routes	The total number of routed Event records unlinked on which the Firm was named.
46	Repaired	The total number of unlinked routed Event records repaired or reconciled.
47	Named on Trades	The total number of TRF Trade records unlinked on which the Firm was named.
48	Repaired	The total number of unlinked TRF Trade records repaired or reconciled.
49	Named on Outbound Route Accept/Modify	The total number outbound route Event records unlinked on which the Firm was named.
50	Repaired	The total number of unlinked outbound route Event records repaired or reconciled.

Other Transaction Report Card Functionality:

To export the Report Card, click the **Export** drop-down button. The Export tool allows the user to save the Report Card to files and/or download as a PDF. The user can also download a generated CSV file of monthly and/or daily Report Card data categorized by IMID.



13 Contact Management

The **Contact Management** tool allows Industry Members and CAT Reporting agents, including Service Bureaus, to view, add new, assign to role, and edit contacts related to Billing (and Alternate Billing), Compliance, Security, Networking, Operations, and Primary contacts for Transaction reporting.

While Industry Members are encouraged to provide contacts for each role; only the Billing Contact is required to be provided. The requirement to provide a Billing contact is not applicable to Service Bureaus. In the event that an Industry Member does not provide a Billing Contact, the Billing Contact will be populated with the Primary Contact listed on its most recent CAT Registration Form. The Industry Member may update this Billing Contact at any time via the CAT Reporter Portal. When a Billing Contact and/or address is updated, it will take at least 24 hours, not including weekends and holidays, to propagate the information to any new documents posted to the Invoices tab.

The following table lists the functionalities possible for each role within the **Contact Management** tool:

Role	Add new Contact	Edit Contact Information	Assign Role(s) to Contact	Replace Contact	Unassign Contact	Assign Multiple Contacts to Role	Delete Contacts
Billing Contact	Contact is provided during firm's onboarding/ production certification process.	Yes	No. Only unassigned roles can have a contact assigned, Billing Contact is never unassigned.	Yes	No	No. Only one contact assigned at a time.	No
Alternate Billing Contact	Yes	Yes	Yes	Yes	Yes	Yes	No
Primary Contact –	Yes	Yes	Yes	Yes	Yes	No. Only one contact	No

Role	Add new Contact	Edit Contact Information	Assign Role(s) to Contact	Replace Contact	Unassign Contact	Assign Multiple Contacts to Role	Delete Contacts
Reference Database						assigned at a time.	
Primary Contact – Transaction	Yes	Yes	Yes	Yes	Yes	No. Only one contact assigned at a time.	No
Network Contact	Yes	Yes	Yes	Yes	Yes	Yes	No
Compliance Contact	Yes	Yes	Yes	Yes	Yes	Yes	No
Security Contact	Yes	Yes	Yes	Yes	Yes	Yes	No
Operations Contact	Yes	Yes	Yes	Yes	Yes	Yes	No
Unassigned Contact	----- --	Yes	Yes	-----	-----	-----	Yes. Only unassigned contacts can be deleted.

13.1 View Contacts

To view the contact information for the organization:

1. Select **Contact Management**.

CAT Reporter Portal

3:04 PM ET
12/30/2025

Perspective

Reporter

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED I STAMP	+1 (900) 787-8909, 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@smores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@smores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WO d Wowe	+1 (324) 234-2342, 213123	12321@QWEW.COM	

* Required Contact

2. Review the **Contact Management** screen. Use the scrollbar at the right of the display to view all available rows. Current contacts for the organization are displayed, along with the applicable role, phone number, email address, and the most recent date the role was updated. Roles with unassigned contacts are also displayed. The Billing Contact role is the only required field, marked by an asterisk.

CAT Reporter Portal

3:04 PM ET
12/30/2025

Perspective

Reporter

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED I STAMP	+1 (900) 787-8909, 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@smores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@smores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WO d Wowe	+1 (324) 234-2342, 213123	12321@QWEW.COM	

* Required Contact

The **Contact Management** screen displays the following information:

Column	Description
Role	The contact type (i.e., Billing, Alternate Billing, Network, Compliance, Security, Operations, Primary Contact – Reference Database, Primary Contact – Transaction).
Contact	The full name of the contact.
Phone	The phone number of the contact.
Email	The email of the contact.
Updated On	The date and time the contact information was updated, if applicable.

13.2 Add Contact

To add a contact for the organization:

1. Select **Contact Management**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025 Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (800) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	10/18/2024 12:55:40
Primary Contact - Transaction	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WJD J WJwe	+1 (224) 234-2342; 213123	12321@QWEW.COM	

* Required Contact

2. Click **Add Contact**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025 Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TEST/UPDATED T STAMP	+1 (900) 787-9909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@jsmores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@jsmores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WD & Wwe	+1 (324) 234-2342; 213123	12321@QWEW.COM	

* Required Contact

- Enter the contact details and click **Save**. All required fields are marked with an asterisk and must be populated to save the new contact. If the Save Button is grey and cannot be selected, a required field was not provided or the characters in one or more fields did not meet the formatting requirements outlined below in the Contact Management Fields, Rules, and Validations table. Once this action has been completed, the new contact will appear on the Contact Management screen with the role of Unassigned Contact. For details on how to assign role(s) to a contact see [Section 13.4 Assign Role\(s\) to Contact](#).

The below table includes field data type and formatting requirements to add a new contact. The system supports most printable alphanumeric characters from ASCII 32 to 126. Certain non-printable characters and special characters are permitted, as outlined below:

Contact Management Fields, Rules, and Validations

	Field	Required/Optional	Data Type (Character Limit)	Rules/Validations
Full Name	First Name	Required	String (19)	-Alphabetical characters. -Special characters supported: hyphen-minus (-), comma (,), and right single quotation mark (') supported, except in the first position.
	Middle Initial	Optional	String (1)	-Alphabetical characters.
	Last Name	Required	String (20)	-Alphabetical characters. -Special characters supported: hyphen-minus

	Field	Required/Optional	Data Type (Character Limit)	Rules/Validations
				(-), comma (,), and right single quotation mark (') all supported, except in the first position.
	Job Title	Optional	String (40)	-Alphanumeric characters. -Special characters supported: hyphen-minus (-), comma (,), and right single quotation mark ('), and space supported, except in the first position.
Address	Country	Required*	Dropdown List with Pre-Populated Value	<i>*Address is required for Billing Contact and is optional for all other roles, including the Alternate Billing role.^{17F.1}</i> -Alphanumeric characters and supports various special characters. -For U.S.-based addresses, both the standard five-digit zip code and the complete zip code containing: five-digit code-plus four-digit code are accepted.
	Street1	Required*	String (40)	
	Street2	Optional	String (40)	
	City	Required*	String (30)	
	State/Province	Required for addresses in the United States and Canada.	United States and Canadian Addresses: Drop-Down List with Pre-Populated Values Outside of United States and Canada: String (2)	

¹ While the address is required for the Billing Contact and invoice generation, no invoices will be mailed or emailed. See [Section 14: Invoices](#) for more information.

	Field	Required/Optional	Data Type (Character Limit)	Rules/Validations
	Zip Code/Postal Code	Required*	String (12)	
Primary Phone	Country Code	Required	String (6)	-Numeric characters. -Validations ensure that the phone numbers are properly formatted.
	Phone Number	Required	USA: String (10) Outside of USA: String (16)	
	Extension	Optional	String (6)	
Secondary Phone	Country Code	Conditional, required only when secondary phone number provided	String (6)	-Numeric characters. -Validations ensure that the phone numbers are properly formatted.
	Phone Number	Optional	USA: String (10) Outside of USA: String (16)	
	Extension	Required	String (6)	
Email Address		Required	String (70)	-Alphanumeric Characters. -Special characters supported: underscore (_) and hyphen-minus (-) in all positions prior to at sign; right single quotation mark ('), and period in all positions except immediately preceding at

	Field	Required/Optional	Data Type (Character Limit)	Rules/Validations
				sign and cannot be repeated (i.e., ..). -Validations ensure that the email address is properly formatted with at sign (@) and period (.).

13.3 Edit Existing Contact

To edit an existing contact for the organization:

1. Select **Contact Management**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025

Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (800) 787-8909, 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@ismores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@ismores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WQ d Wowe	+1 (224) 234-2342, 213123	12321@QWEW.COM	

* Required Contact

2. Under the **Contact** column, click the contact name hyperlink wished to be edited.

CAT Reporter Portal | 3:04 PM ET 12/30/2025

Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (800) 787-8909, 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@ismores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@ismores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joer v smithh	+1 (301) 437-4499, 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WQ d Wowe	+1 (224) 234-2342, 213123	12321@QWEW.COM	

* Required Contact

3. Edit the contact information and click **Save**. All updates must be in conformance with the formatting requirements outlined in the Contact Management Fields, Rules, and Validations table in Section 13.2: Add Contact. Only edits made to the primary contact information (the Columns listed on the Contact Management screen) will be visible on the Contact Management screen.

Edit Contact

Full Name *

First Name*

Middle Initial

Last Name*

Jane

Doe

Job Title

Address

Country

Street Address 1

Street Address 2

United States

123 Test St

City

State/Province

ZIP/Postal Code

Rockville

Maryland

20000

Primary Phone Number *

Country Code

Phone Number*

Extension

+1

(999) 999-9999

Secondary Phone Number

Country Code

Phone Number

Extension

CANCEL

SAVE

13.4 Assign Role(s) to Contact

While Industry Members and CAT Reporting Agents are encouraged to submit and update contacts for each role; at a minimum, a Billing Contact must be provided. The same contact may be assigned to multiple contact roles (e.g., Network Contact and Operations Contact). Only a role with no contact can have a contact be assigned to a role. Roles that currently have a contact assigned can replace the current contact, unassign a contact, or assign an additional contact to the role (with certain exceptions depending on the role) See the table in [Section 13: Contact Management](#) for details.

To assign a contact to a role:

Version 1.7

133

1. Select **Contact Management**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025

Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (900) 787-9909, 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@jsmores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joer v smithh	+1 (201) 437-4499, 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joer v smithh	+1 (201) 437-4499, 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699, 12345	jsmores@jsmores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joer v smithh	+1 (201) 437-4499, 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WQ d Wqwe	+1 (224) 234-2342, 213123	12321@QWEW.COM	

* Required Contact

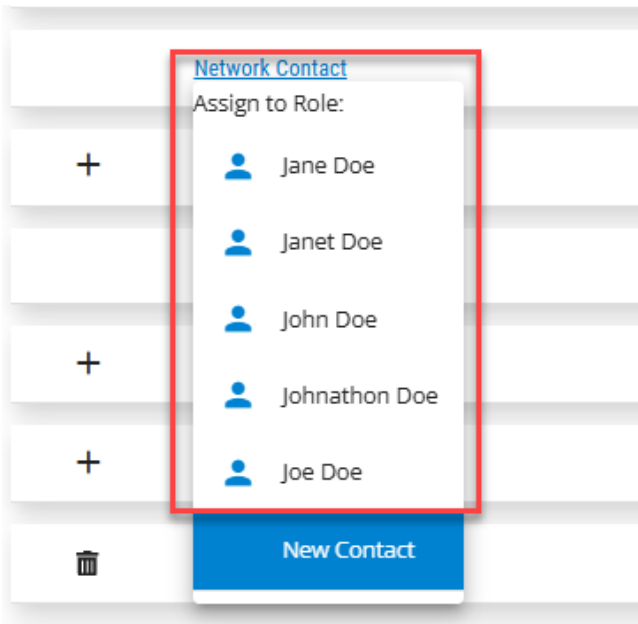
2. Under the **Role** column, select the role to be assigned a contact.

CAT Reporter Portal | 10:53 AM ET 01/05/2026

Contact Management

Role	Contact
Billing Contact *	TESTUPDATED T STAMP
Alternate Billing Contact	
Primary Contact - CAIS	Jane L Smores
Primary Contact - Transaction	joer v smithh
Network Contact	
+ Compliance Contact	joer v smithh
Security Contact	
+ Operations Contact	Jane L Smores
+ Operations Contact	joer v smithh
Unassigned Contact	Jane Doe
Unassigned Contact	WQ d Wqwe

- Under the **Assign to Role** list, click the contact name to be assigned to the role. Once this action is completed the contact will be assigned to the role and the update will be reflected on the **Contact Management** screen.

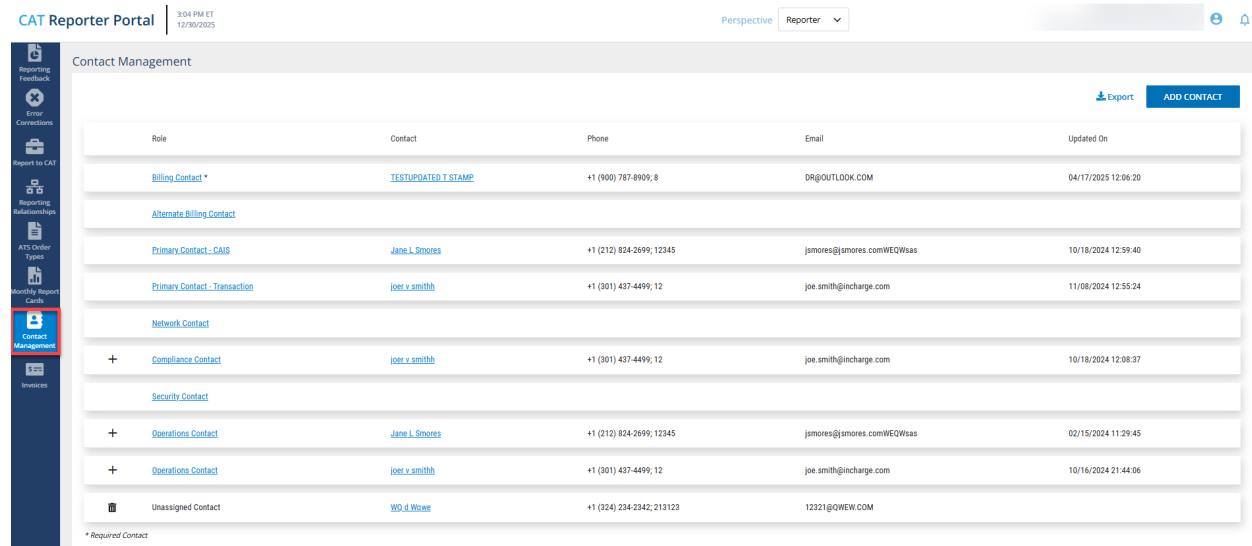


13.5 Replace Current Contact Assigned to Role with a Different Contact

The functionality to replace a contact assigned to a role with a different contact is available for all role types except unassigned roles. If a role has no contact assigned to it, a contact needs to be assigned to the role, not replaced. See [Section 13.4: Assign Role\(s\) to Contact](#) for details on assigning a contact to an unassigned role.

To replace a contact for a specific role:

1. Select **Contact Management**.



CAT Reporter Portal | 3:04 PM ET 12/30/2025 | Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (900) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAUS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WQ d Wove	+1 (324) 234-2342; 213123	12321@QWEW.COM	

* Required Contact

2. Under the **Role** column, select the role to be updated with a different contact.

CAT Reporter Portal | 10:53 AM ET
01/05/2026

Contact Management

Role	Contact
Billing Contact *	TEST/UPDATED T STAMP
Alternate Billing Contact	
Primary Contact - CAIS	Jane L Smores
Primary Contact - Transaction	joer v smithh
Network Contact	
+ Compliance Contact	joer v smithh
Security Contact	
+ Operations Contact	Jane L Smores
+ Operations Contact	joer v smithh
Unassigned Contact	Jane Doe
Unassigned Contact	WQ d Wowe

FINRA CAT

3. Under the **Replace With** list, click the contact name meant to replace the contact currently assigned to the role.

[Network Contact](#)

Replace With:

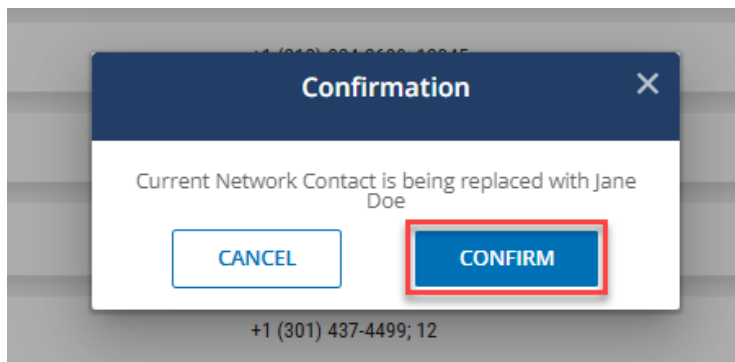
- Jane Doe
- John Doe
- Janet Doe
- Johnathon Doe

New Contact

Unassign Contact

contact

4. Click **Confirm**. Once this action is completed the new contact will be assigned to the role. The new contact and their primary contact information will be listed on the **Contact Management** screen.



13.6 Unassign Contact from Role

The unassign functionality is not available for the Billing Contact role. Once a contact is assigned to the Billing role, the contact can only be replaced with another Billing Contact. All other roles allow for the unassign functionality.

To unassign a contact from a specific role:

1. Select **Contact Management**.

Contact Management

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (800) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joer v smithh	+1 (301) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joer v smithh	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joer v smithh	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WQ d Wowe	+1 (324) 234-2342; 213123	12321@QWEW.COM	

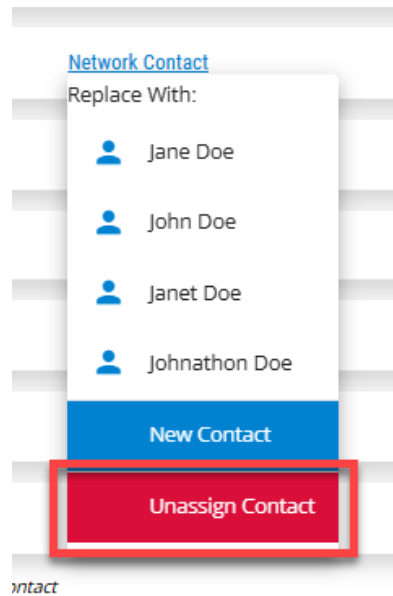
* Required Contact

2. Under the **Role** column, select the Role to be edited.

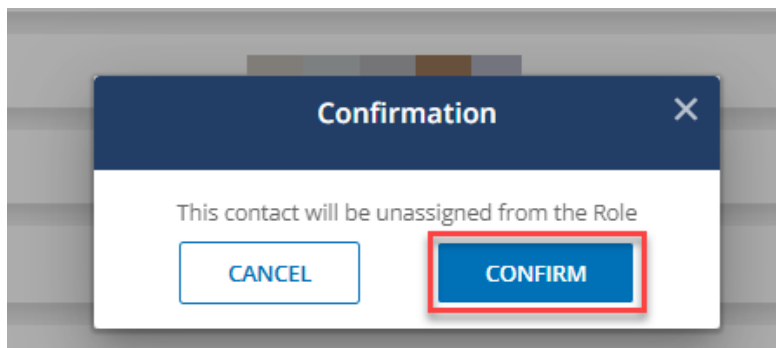
Contact Management

Role	Contact
Billing Contact *	TESTUPDATED T STAMP
Alternate Billing Contact	
Primary Contact - CAIS	Jane L Smores
Primary Contact - Transaction	joer v smithh
Network Contact	
+ Compliance Contact	joer v smithh
Security Contact	
+ Operations Contact	Jane L Smores
+ Operations Contact	joer v smithh
Unassigned Contact	Jane Doe
Unassigned Contact	WQ d Wowe

3. Select **Unassign Contact**.



4. Click **Confirm**. Once this action is completed the contact will be unassigned to the role. The unassigned contact and their primary contact information will be removed from the Role on the **Contact Management** screen.



13.7 Assigning Multiple Contacts to the Same Role

The Billing Contact, Primary Contact – Reference Database, and Primary Contact – Transaction roles allow for only one contact to be assigned. All other roles allow for multiple contacts to be assigned to the same role.

To add multiple contacts to a role:

1. Select **Contact Management**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025 | Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (900) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWwas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (201) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (301) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWwas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (201) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	WO d Wowe	+1 (324) 234-2342; 213123	12321@QWEW.COM	

* Required Contact

2. Select the **plus sign** located on the left-hand side of the Role.

Role	Contact
Billing Contact *	John Doe
+ Alternate Billing Contact	Jane Doe

Once the plus sign is selected, a new row will be created for the Role selected to add an additional contact.

Role	Contact	Phone	Email	Updated On
Billing Contact *	John Doe	+1 (900) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
+ Alternate Billing Contact	Jane Doe	+1 (999) 999-9999; 1234	testemail@email.edu	01/05/2026 13:48:33
×	Alternate Billing Contact			

3. Assign a contact to the Role as outlined in [Section 13.4: Assign Role\(s\) to Contact](#).

13.8 Delete Contact

This functionality allows for contacts to be permanently removed from the Contact Management tool. Only unassigned contacts may be deleted.

To delete a contact for a specific role:

1. Click **Contact Management**.

CAT Reporter Portal | 3:04 PM ET 12/30/2025 | Perspective Reporter

Contact Management

Export ADD CONTACT

Role	Contact	Phone	Email	Updated On
Billing Contact *	TESTUPDATED T STAMP	+1 (800) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20
Alternate Billing Contact				
Primary Contact - CAIS	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	10/18/2024 12:59:40
Primary Contact - Transaction	joe v smith	+1 (201) 437-4499; 12	joe.smith@incharge.com	11/08/2024 12:55:24
Network Contact				
+ Compliance Contact	joe v smith	+1 (201) 437-4499; 12	joe.smith@incharge.com	10/18/2024 12:08:37
Security Contact				
+ Operations Contact	Jane L Smores	+1 (212) 824-2699; 12345	jsmores@smores.comWEQWsaas	02/15/2024 11:29:45
+ Operations Contact	joe v smith	+1 (201) 437-4499; 12	joe.smith@incharge.com	10/16/2024 21:44:06
Unassigned Contact	YOGI WONE	+1 (324) 234-2342; 213123	12321@QWEW.COM	

* Required Contact

2. Select the trashcan icon located on the left-hand side of the Unassigned Contact.

Unassigned Contact John Doe

3. Click **Confirm**. Once this action is completed the Unassigned Contact will be deleted and reflected on the Contact Management screen.

Confirmation

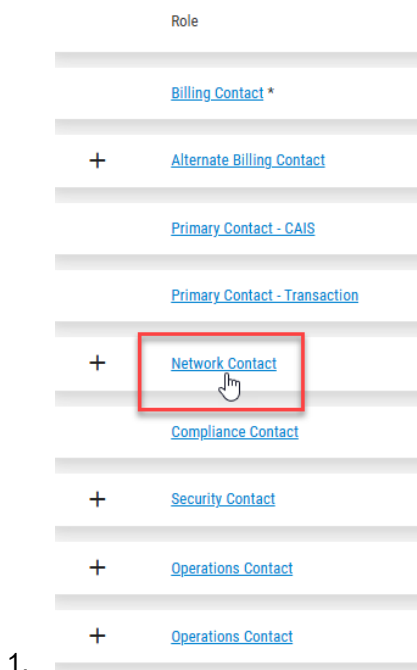
This contact will be permanently deleted

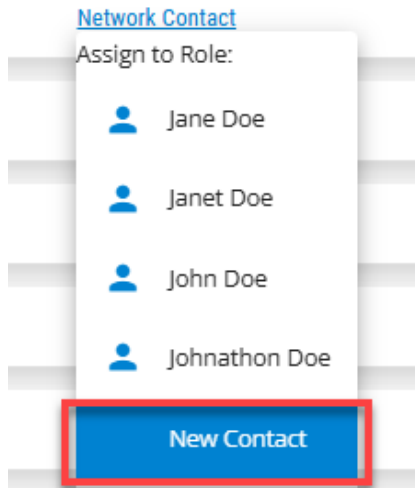
CANCEL CONFIRM

Other Contact Management Functionality:

The following instructions demonstrate how to create a new contact and simultaneously assign to a unassigned role:

Click on the unassigned role for which a contact will be added as shown in 1, below. Next, click **New Contact** as shown in 2, below. After completing these actions, refer to Step 3 of Section 13.2: Add Contact to enter the contact details. This functionality automatically assigns the new contact to the role for which it was created.

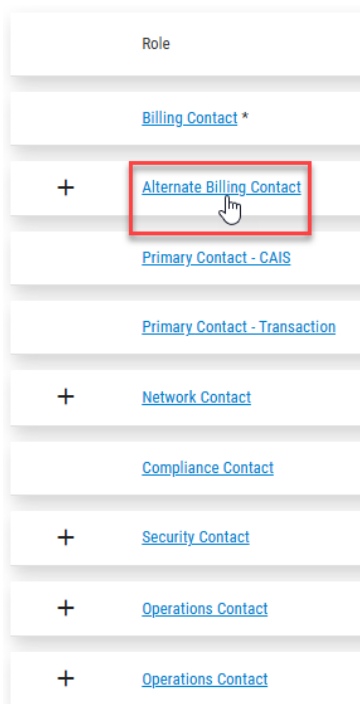




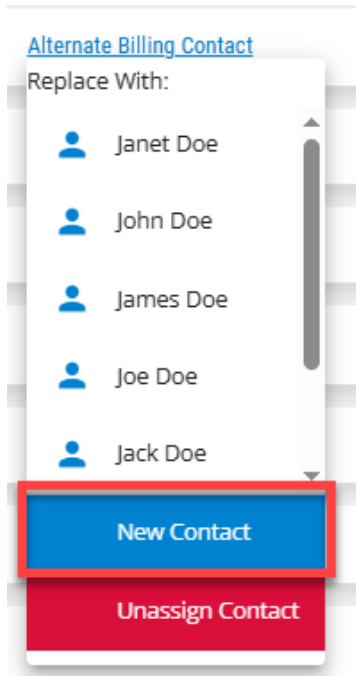
2.

The following instructions demonstrate an alternative method to replace a contact:

This functionality allows the user to replace a role's contact by creating a new contact for the role, as opposed to replacing with an existing contact. Click on the role intended for a contact replacement as shown in 1, below. Next, click **New Contact** as shown in 2, below. After completing these actions, refer to Step 3 of [Section 13.2: Add Contact](#) to enter the contact details.



1.



2.

To export contacts for an organization, click **Export**. Download the generated CSV file using the internet browser functionality. The exported CSV file includes the various roles and assigned contact name, job title, address, primary and secondary phone numbers, and email address.

CAT Reporter Portal | 9:22 AM ET 01/06/2026 Perspective Reporter

Reporting Feedback Error Corrections Report to CAT Reporting Relationships ATIS Order Types

Contact Management

[Export](#) [ADD CONTACT](#)

Role	Contact	Phone	Email	Updated On	
Billing Contact *	John Doe	+1 (900) 787-8909; 8	DR@OUTLOOK.COM	04/17/2025 12:06:20	
+	Alternate Billing Contact	Jane Doe	+1 (999) 999-9999; 1234	testemail@email.edu	01/05/2026 13:48:33
	Primary Contact - CAIS	Janet Doe	+1 (212) 824-2699; 12345	jamores@jamores.comWEQWaa	10/18/2024 12:59:40

14 Invoices

The **Invoices** tool allows properly entitled users to view Invoice information and download Invoices, Revised Invoices, Late Notices, CAT Billing Trade Details Files and other related documents. The **Invoice Summary** tab displays summary information for each invoice, including the current status and amount outstanding as payments are received and processed. The **Trade Details** tab provides published CAT Billing Trade Details files that are available for download. The **Documents** tab contains CAT LLC's Bank Letter, W-9 Form, and IRS Tax Exempt Determination Letter to be used to assist firm's in onboarding CAT LLC into their payment system.

CAT Reporters who are CAT Executing Brokers that have CAT billable trading activity will receive CAT invoices. See FAQ [V3](#) for the definition of "CAT Executing Broker" and FAQs [V4](#) and [V5](#) for information about CAT billable activity. CAT invoices will be available as PDF files on the Portal to properly entitled users and CAT delivers PDF invoices via SFTP for Industry Members utilizing automated, machine-to-machine access. Invoices will be delivered on the 25th day of the month following the month in which the billable activity occurred. In the event the 25th day is a weekend or holiday, invoices will be delivered on the next business day.

Payment for invoices is due within 30 days of when the invoice is generated and posted. Revised invoices are only generated in the event an invoice was initially published with errors due to Plan Processor error and would follow a different delivery schedule. Monthly trade details related to CAT fees are delivered via the Portal and SFTP. Email notifications will be sent each month when invoices have been published in the Portal or made available via SFTP. No invoices will be mailed or emailed². Payment instructions can be found on the invoice. Payments can be made via mailing or overnight check, ACH or bank wire. No other forms of payment will be accepted. See [CAT Alert 2023-02](#) (CAT Billing) or [Section V](#) of FAQs for additional information.

² Invoice notifications will be sent to subscribers of the CAT email subscription list and Billing Contacts within the CAT Contact Management System. To subscribe to email notifications, visit the CAT NMS Plan [website](#). The Add or Edit a Billing Contact, see [Section 13.2: Add Contact](#) and [Section 13.3: Edit Existing Contact](#).

14.1 Invoice Summary

The **Invoice Summary** tab provides summary information for each invoice for the organization. The **Invoice Summary** tab displays and organizes invoice details by the Billing Period, Posted Date, Due Date, Invoice Amount, Invoice Balance and Invoice Status and allows the user to download invoices. All invoices published remain available on the **Invoice Summary** tab. There will be no documents for any period prior to the issuance of the first invoice. See [Section 14.4.1: Invoice](#) for an example and overview of the Invoice.

To view the Invoice Summary for the organization:

1. Select Invoices.

The screenshot shows the CAT Reporter Portal interface. The top navigation bar includes the portal name, a timestamp (1:33 PM ET, 01/07/2026), a user profile (Reporter), and a notification bell. The left sidebar contains various navigation options, with 'Invoices' highlighted in blue. The main content area is titled 'Invoices' and features three tabs: 'Invoice Summary' (selected), 'Trade Details', and 'Documents'. Below the tabs is a table with the following columns: Document #, Billing Pe., Invoice, Posted .., Due Date, Invoice Am., Invoice Bal., and Invoice Sta.. The table lists invoices for the months of July 2025 through October 2024. The June 2025 invoice is highlighted, showing a balance of (\$2.65) and a status of 'Paid in Full'. Other months show 'No Invoice Issued'.

Document #	Billing Pe.	Invoice	Posted ..	Due Date	Invoice Am.	Invoice Bal.	Invoice Sta.
Invoice	July 2025	No Invoice Issued					
Invoice	June 2025	CBS20250600000	06/01/2025	06/29/2025	(\$2.65)	N/A	Paid in Full
Invoice	May 2025	No Invoice Issued					
Invoice	April 2025	No Invoice Issued					
Invoice	March 2025	No Invoice Issued					
Invoice	February 2025	No Invoice Issued					
Invoice	January 2025	No Invoice Issued					
Invoice	December 2024	No Invoice Issued					
Invoice	November 2024	No Invoice Issued					
Invoice	October 2024	No Invoice Issued					

2. Select the Invoice Summary tab.

This screenshot is similar to the previous one, but the 'Invoice Summary' tab is highlighted with a red box. The table structure is identical, showing invoice details for the same period.

Document Type	Billing Period	Invoice	Posted Date	Due Date	Invoice Amount	Invoice Balance *	Invoice Status
Invoice	July 2025	No Invoice Issued					
Invoice	June 2025	CBS20250600000	06/01/2025	06/29/2025	(\$2.65)	N/A	Paid in Full
Invoice	May 2025	No Invoice Issued					
Invoice	April 2025	No Invoice Issued					
Invoice	March 2025	No Invoice Issued					
Invoice	February 2025	No Invoice Issued					
Invoice	January 2025	No Invoice Issued					
Invoice	December 2024	No Invoice Issued					
Invoice	November 2024	No Invoice Issued					
Invoice	October 2024	No Invoice Issued					

3. Review the **Invoice Summary**. Use the scrollbars to the right of the display to view all available rows. The Invoice Balance column is updated once daily. Rows in the **Invoice Summary** tab that are greyed out indicate that no invoice was issued for that billing period.

CAT Reporter Portal
1:33 PM ET
01/07/2026
Perspective
Reporter

Reporting Feedback
Error Corrections
Report to CAT
Reporting Relationships
ATS Order Types
Monthly Report Cards
Contact Management
Invoices

Invoices
Invoice Summary
Trade Details
Documents

Document ..	Billing Pe..	Invoice	Posted ..	Due Date	Invoice Am..	Invoice Bal..	Invoice Sta..
Invoice	July 2025	No Invoice Issued					
Invoice	June 2025	CBS202506000000	06/01/2025	06/29/2025	(\$2.65)	N/A	Paid in Full
Invoice	May 2025	No Invoice Issued					
Invoice	April 2025	No Invoice Issued					
Invoice	March 2025	No Invoice Issued					
Invoice	February 2025	No Invoice Issued					
Invoice	January 2025	No Invoice Issued					
Invoice	December 2024	No Invoice Issued					
Invoice	November 2024	No Invoice Issued					
Invoice	October 2024	No Invoice Issued					

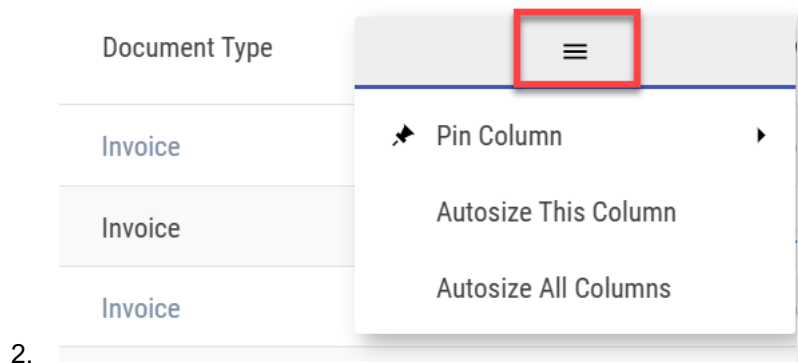
The Invoice Summary tab displays the following information for the specified criteria:

Field	Description and Values
Document Type	The type of document. This includes: Invoice, Revised Invoice, and Late Notice. See CAT Technical Specifications for Billing Trade Details for further details.
Billing Period	The month and year of CAT Reporting activity for which the document was generated. This field will not be populated for the Late Notice Document Type.
Invoice	If applicable, a downloadable copy of the document for export. If no invoice was generated for the billing period, “No Invoice Issued” will be displayed.
Posted Date	If applicable, the date the invoice was generated and posted to the CAT Reporter Portal. If no invoice was generated for the billing period, the field will be blank.
Due Date	If applicable, the date the Invoice must be paid in full, which is 30 calendar days following the Posted Date. If no invoice was generated for the billing period or the document is a Late Notice, this field will be blank.

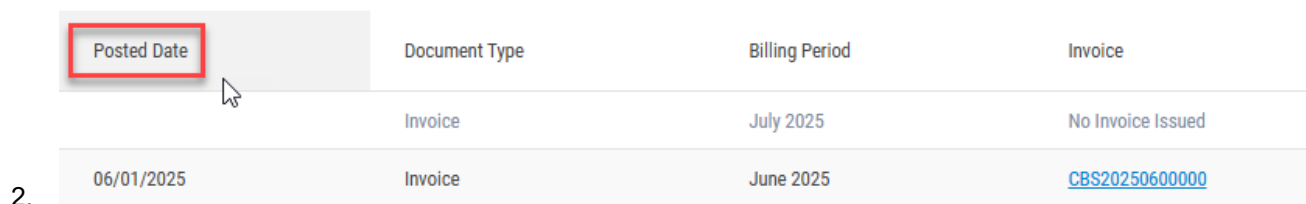
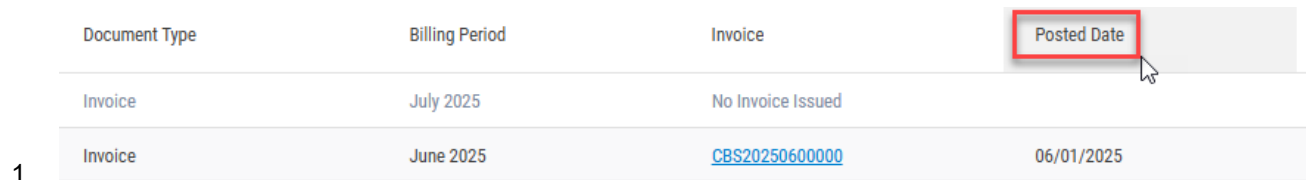
Field	Description and Values
Invoice Amount	The total amount of the invoice. This field will not be populated for the Late Notice Document Type.
Invoice Balance	The outstanding balance remaining from the total invoice amount. This field is updated once daily on business days (not including holidays and weekends) as payments are received and processed. • If Invoice Status is "Paid in Full" the field will display the value "N/A." • If the Document Type is "Late Notice", this field will be blank. A negative balance (e.g., resulting from overpayment or adjustments due to trade cancels, busts and reversals from prior periods resulting in a credit) will be reflected as zero.
Invoice Status	The Invoice Status is updated once daily on business days (not including holidays and weekends). When the Invoice Status is Overdue for a particular month, then all field values on the applicable row for that month will appear in red to alert users. The following are the available Invoice Status values: • Paid in Full – Invoice was paid in full. Any negative balance (e.g., resulting from overpayment) will also be reflected as Paid in Full. • Partially Paid – A partial payment has been received and processed but outstanding balance on the Invoice remains prior to the Due Date. • Not Paid – Full Invoice Amount unpaid prior to the Due Date. No payment has been received or processed. • Overdue – Outstanding balance remains after the Due Date. This field will not be populated for the Late Notice Document Type.

Other Invoice Summary Functionality:

To adjust the columns, hover near the column header and click on the ellipses when it appears as shown in 1, below. The hamburger (≡) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 2, below.



To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To download an invoice, revised invoice or late notice, click the **hyperlink** under the Invoice column associated with the document to be downloaded. Download the PDF file using the internet browser functionality.

Invoices			
Invoice Summary			
Document Type	Billing Period	Invoice	Posted Date
Invoice	July 2025	No Invoice Issued	
Invoice	June 2025	CBS20250600000	06/01/2025
Invoice	May 2025	No Invoice Issued	
Invoice	April 2025	No Invoice Issued	
Invoice	March 2025	No Invoice Issued	
Invoice	February 2025	No Invoice Issued	
Invoice	January 2025	No Invoice Issued	
Invoice	December 2024	No Invoice Issued	
Invoice	November 2024	No Invoice Issued	
Invoice	October 2024	No Invoice Issued	
Invoice	August 2024	CBS20240700569	09/06/2024
Invoice	September 2024	CBS20230901388	09/03/2024

To access additional resources, click the information button on the upper, right-hand side of the screen. This button takes the user to [Section V](#) of the FAQs.

CAT Reporter Portal

2:11 PM ET
01/07/2026

Perspective

Reporter

Reporting Feedback

Error Corrections

Report to CAT

Reporting Issue/Inquiry

Invoices

Invoice Summary

Trade Details

Documents

Document Type	Billing Period	Invoice	Posted Date	Due Date	Invoice Amount	Invoice Balance *	Invoice Status
Invoice	July 2025	No Invoice Issued					
Invoice	June 2025	CBS20250600000	06/01/2025	06/29/2025	(\$2.65)	N/A	Paid in Full
Invoice	May 2025	No Invoice Issued					

14.2 Trade Details

The **Trade Details** tab allows users to view and download CAT Billing Trade Details Files for their organization. The CAT Billing Trade Details Files are generally available by 7:00 PM EST on the date of invoice publication. The format of Trade Details files will default to CSV format unless the Industry Member specifies the JSON file format preference setting within the CAT Reporter Portal. The CAT Billing Trade Details are not published concurrently with the invoices, but will be available later the same day. These files are available in the Portal for 90 days. See [Section 14.4.2: CAT Billing Trade Details File](#) for examples and an overview of the CAT Billing Trade Details Files.

To view the Trade Details for the organization:

1. Select **Invoices**.

CAT Reporter Portal | 1:33 PM ET 01/07/2026 Perspective Reporter

Invoices

Invoice Summary Trade Details Documents

Document	Billing Period	Invoice	Posted	Due Date	Invoice Amount	Invoice Balance	Invoice Status
Invoice	July 2025	No Invoice Issued					
Invoice	June 2025	CB520220600000	06/01/2025	06/29/2025	(\$2.65)	N/A	Paid in Full
Invoice	May 2025	No Invoice Issued					
Invoice	April 2025	No Invoice Issued					
Invoice	March 2025	No Invoice Issued					
Invoice	February 2025	No Invoice Issued					
Invoice	January 2025	No Invoice Issued					
Invoice	December 2024	No Invoice Issued					
Invoice	November 2024	No Invoice Issued					
Invoice	October 2024	No Invoice Issued					

2. Select the **Trade Details** tab.

CAT Reporter Portal | 3:19 PM ET 01/07/2026 Perspective Reporter

Invoices

Invoice Summary Trade Details Documents

File Creation Date	File Name	Download
No Rows To Show		

3. If applicable, review the **Trade Details**. If there are no available Trade Details files, the screen will display “No Rows To Show.”

CAT Reporter Portal | 3:19 PM ET 01/07/2026 Perspective Reporter

Invoices

Invoice Summary Trade Details Documents

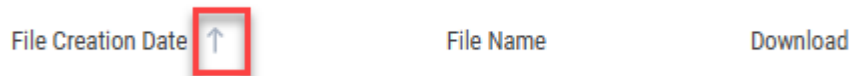
File Creation Date	File Name	Download
No Rows To Show		

The Trade Details tab displays the following information:

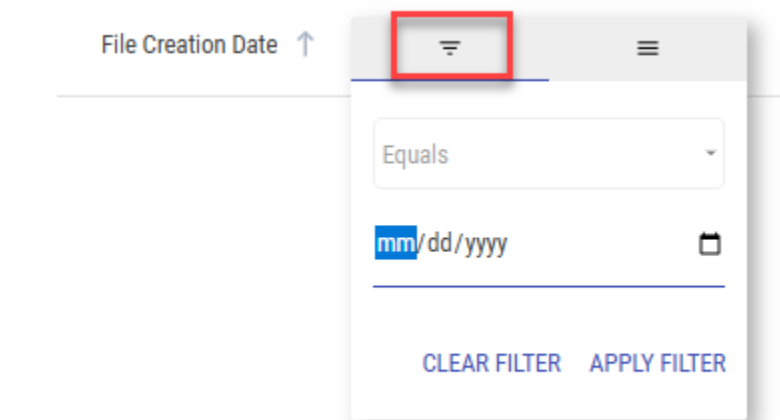
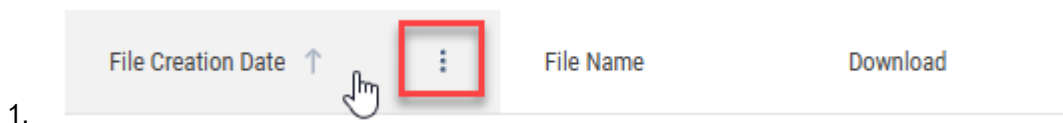
Field	Description
File Creation Date	The date the Trade Details File was created.
File Name	The file name of the Trade Details File.
Download	The hyperlink to access the downloadable Trade Details File.

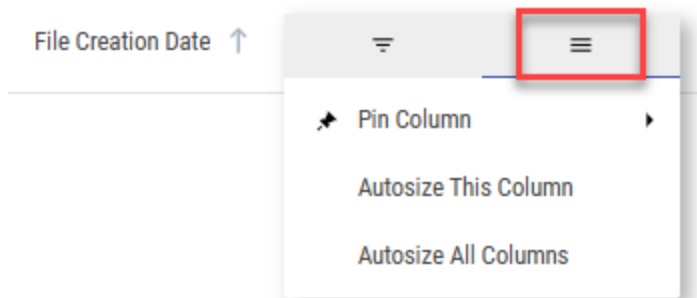
Other Trade Details Functionality:

To sort the column by ascending or descending order, hover near the column header and click on the arrow when it appears.



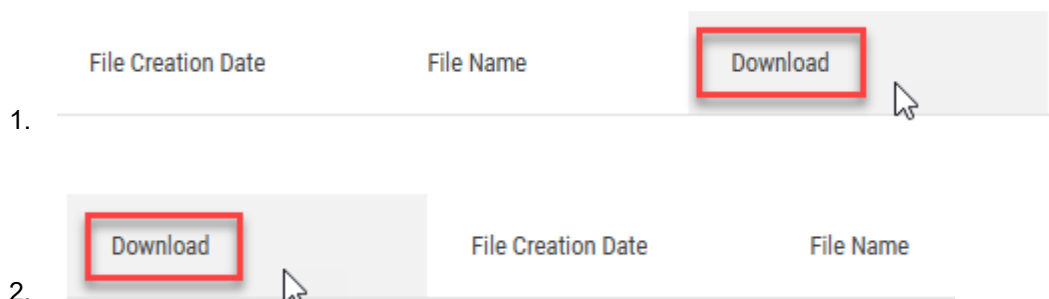
To further filter or adjust columns, hover near the column header and click on the ellipses as shown in 1, below. The strawberry (≡) allows the user to filter for a specific value as shown in 2, below, while the hamburger (≡) allows the user to pin the column to a specific location on the screen, autosize the column or autosize all columns, as shown in 3, below.





3.

To reorder the columns, click on and hold down the selected column as shown in 1, below. Next, drag the column to the right or left to move it to the desired location as shown in 2, below.



To download trade details files, click the hyperlink within the Download column associated with the document to be downloaded. Trade details files can be downloaded in either JSON or CSV format, but are provided in CSV format by default. File format preferences can be managed in the Settings feature, see [Section 6.3: File Format Settings](#) for details. Download the file using internet browser functionality. If multiple CAT Billing Trade Details Files were generated for a month, then each file will need to be downloaded separately.

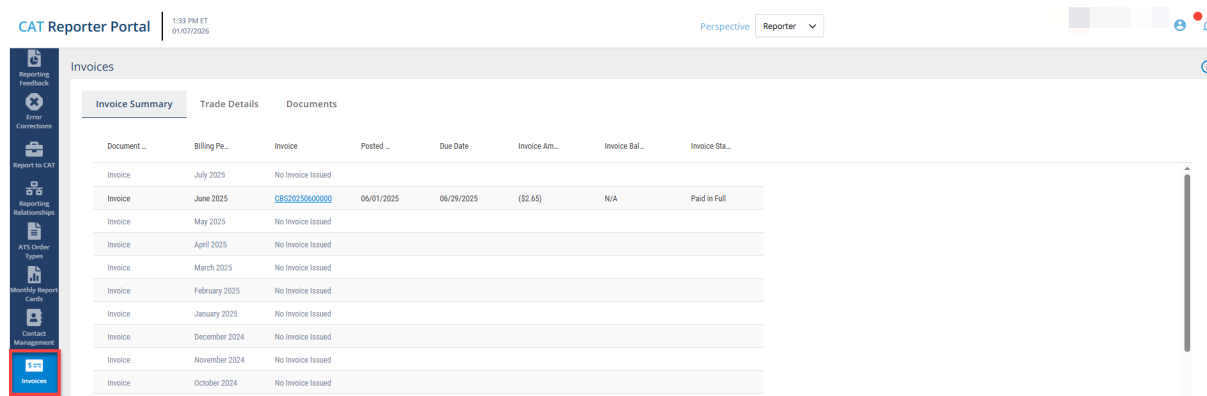
To access additional resources, click the information button on the upper, right-hand side of the screen. This button takes the user to [Section V](#) of the FAQs.

14.3 Documents

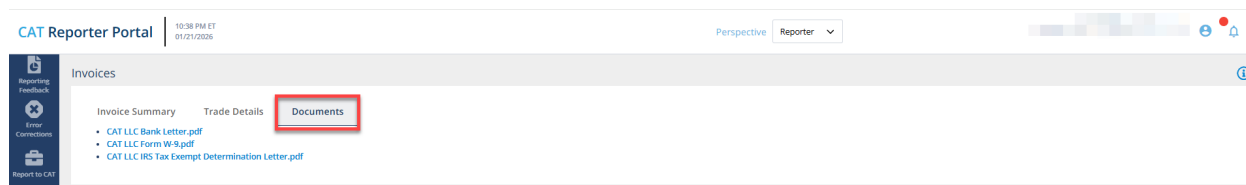
The **Documents** tab allows properly entitled users to view and download CAT LLC's Bank Letter, W-9 Form, and IRS Tax Exempt Determination Letter. These documents are made available as reference material to assist firms in onboarding CAT LLC into their payment system. See [Section 14.4: Document Type Overview](#) for examples and overviews of the various documents.

To access Documents for the organization:

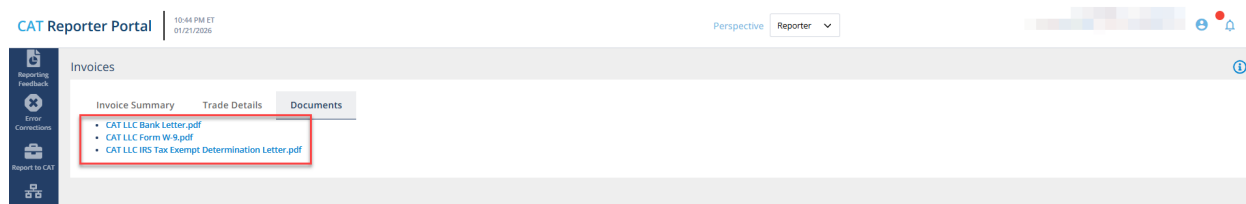
1. Select **Invoices**.



2. Select the **Documents** tab.



3. Click the hyperlinked document name to download a PDF copy using internet browser functionality.



The Documents tab allows the user to download the following documents for their organization:

- CAT LLC's Bank Letter
- CAT LLC's W-9 Form
- CAT LLC's IRS Tax Exempt Determination Letter

Other Documents Functionality:

To access additional resources, click the information button on the upper, right-hand side of the screen.

This button takes the user to [Section V](#) of the FAQs.

14.4 Document Type Overview

This section provides an example and high-level overview of the contents of, and purpose for, each document available for download in the **Invoices** tool. The document types include: Invoice, Revised Invoice, Late Notice, CAT Billing Trade Details Files, and other documents such as CAT LLC's Bank Letter, Form W-9, and IRS Tax Exempt Determination Letter.

14.4.1 Invoice

This section provides an example and describes the different sections of the **Invoice** and the related Executed Equivalent Share Volume by Product, Side and Execution Venue table. Payment instructions can be found on the Invoice and on FAQ [V13](#). See [Section 14.1: Invoice Summary](#) for instruction on how to download the PDF Invoice via the Portal. The below examples are for demonstrative purposes.

Invoice Example:

cat[™]

Consolidated Audit Trail Invoice

1 →

Bill To
Accounts Firm Name 1234 Address Ln1 City, St 12344

2 →

Customer ID	CBS-123456
Invoice Number	CBS20240812010
Invoice Date	09/25/2025
Invoice Due Date	10/25/2025
Payment Terms	30 Days

3 →

Description	Quantity	Rate	Fee
CAT Fee 2025-2	450,000	0.000009	\$4.05
Fee for the period of August 2025			
CAT Fee 2025-2 Adjustments	75,000	0.000009	\$0.68
Adjustments based on late events and corrections received in August 2025			
CAT Fee 2025-1 Adjustments	20,000	0.000022	\$0.44
Adjustments based on late events and corrections received in August 2025			
CAT Historical Assessment 1	450,000	0.000013	\$5.85
Fee for the period of August 2025			
CAT Historical Assessment 1 Adjustments	75,000	0.000013	\$0.97
Adjustments based on late events and corrections received in August 2025			

4.1 →

Remit To
CAT LLC PO Box 411583 Boston, MA 02241-1583

7 →

Total Due
\$11.99

4.2 →

Remit Check To:
CAT LLC PO Box 411583 Boston, MA 02241-1583 Reference on check:
Overnight Address: Address Reference on check:

5 ↑

Remit Wire To:
Bank Name: Bank of America ABA#: *****93 Credit To: CAT LLC Account: @*****17 Reference#: CBIQ42100799

6 →

Note:
Questions: For billing questions, please call (XXX) XXX-XXXX or Email: billing@catnmsplan.com
Additional Information: Billing FAQs or Webinars

The following table outlines and describes the different sections of the **Invoice**:

Item	Field	Description
1	Bill To	The Industry Member's contact information as identified in the Portal's Contact Management tool. This includes: • Billing Contact • Firm Name and CRD Number • Firm Address
2	Invoice Identification Information	Identifying information and payment details pertaining to the invoice. This includes: • Customer ID: <CBS>-< CRD Number of Industry Member> • Invoice Number: See CAT Billing Trade Details Technical Specifications for information on the naming format for Invoices. • Invoice Date: The date the document was generated and posted to the CAT Reporter Portal. • Invoice Due Date: The date the Invoice must be Paid in Full. • Payment Terms: The time allotted to pay the invoice, which is 30 calendar days following the Posted Date.
3	Invoice Details	Line item(s) with a Description of each charge, Quantity, Rate, and Fee. See the Invoice Details Overview table below for additional details.
4.1	Remit To	FINRA CAT's address for U.S. mail delivery.
4.2	Remit Check To and Overnight Address	Instructions for check payments and FINRA CAT's overnight/courier address.
5	Remit Wire To	Wire and ACH payment instructions.
6	Note	Sources for additional guidance related to billing questions.
7	Total Due	The total amount to be paid in full by invoice due date. In the event that adjustments associated with CAT Reporting results in a credit for the invoice (e.g., trade cancels, busts and reversals), then the

Item	Field	Description
		(Total Due) will appear as a negative value within parentheses. Additionally, if the Fee calculation totalled less than \$0.01, then a Total Due of zero will be present. Invoice balance of zero or credits are not required to be paid and are for informational purposes.

The following table provides details on each subcategory within item 3 of the Invoice.

Invoice Details Overview:

Field	Description and Values
Description	Each Invoice will include an itemized charge. See CAT Alert 2023-02 (CAT Billing) and FAQ V7 for additional information.
Quantity	The CAT Funding Model charges fees based on the “executed equivalent shares” of transactions in Eligible Securities per the following: • NMS Stocks. Each executed share for a transaction in an NMS stock would be counted as one executed equivalent share. • Listed Options. Each executed contract for a transaction in a Listed Option will be counted using the contract multiplier applicable to the specific Listed Option in the relevant transaction. Typically, the contract multiplier is 100 and, therefore, each executed contract for a transaction in such a Listed Option would be counted as 100 executed equivalent shares; however, if a different multiplier applies to a given Listed Option, each executed contract would represent another designated number of executed equivalent shares (e.g., an execution contract for a transaction in a Listed Option with a contract multiplier of 10 would be counted as 10 executed equivalent shares). • OTC Equity Securities. Each executed share for a transaction in an OTC Equity Security will be counted as 0.01 executed equivalent shares. For additional information on fractional shares, please see FAQ V23.
Rate	CAT fee rates are established periodically and announced via CAT Fee Alerts. For current fee rates and effective dates, please refer to CAT Fee Alerts .

Field	Description and Values
Fee	Calculation of Quantity multiplied by Rate.

The Executed Equivalent Share Volume by Product, Side and Execution Venue Table Example:

This table is located on the last page of the CAT Invoice and provides a breakdown of the Quantity (see the Invoice Details Overview table above) of each respective Eligible Security and execution venue. See [CAT Alert 2023-02](#) (CAT Billing) for more information.

Executed Equivalent Share Volume by Product, Side and Execution Venue¹

Category of Transaction	Aggregate Executed Equivalent Share Volume for June 2023
Listed Options	2,000.00
NMS Stocks	920,000.00
OTC Equity Securities	3,000
Buy-Side Transactions	425,000.00
Sell-Side Transactions	500,000.00
Executed on BOX	1,000.00
Executed on BX	20,000.00
Executed on PSX	900,000.00
Reported by FINRA ORF	3,000.00
Reported by FINRA/Nasdaq Carteret	500.00
Reported by FINRA/Nasdaq TRF Chicago	250.00
Reported by FINRA/NYSE TRF	250.00

¹Executed equivalent share volume includes volume submitted during the current billing period. Historical CAT Assessment Fee statistics will be published in aggregate on [catnmsplan.com](#).

The table provides a breakdown of transactions by Aggregated Executed Equivalent Share Volume for the CAT trading period for which the invoice was generated. The table also contains a breakdown by product type (Listed Options, NMS Stocks, and OTC Equity Securities), the relevant side (Buy-side Transactions and Sell-side Transactions), and the applicable execution venue(s). Executed Otherwise than on an Exchange is broken down by the specific FINRA trade reporting facility. See the Appendix B: Data Dictionary in the [CAT Billing Trade Details Technical Specifications](#) for applicable values.

14.4.2 CAT Billing Trade Details File

This section provides examples and describes the different sections of the CAT Billing Trade Details File. The following examples include Trade Details Files both on and off the exchange as well as in JSON and CSV format. See [Section 14.2: Trade Details](#) for instruction on how to download Trade Details Files via

the Portal and [Section 6.3: File Format Settings](#) to manage file format preferences. The below examples are for demonstrative purposes.

CAT Billing Trade Details File – Off-Exchange (JSON) Example:

CAT Billing Trade Details File and data – Off-Exchange (JSON)

CAT Billing Trade Details File with Off-Exchange Data (JSON)	
File	File Name
CAT Billing Trade Details File	invoice_trade_details_trf_99999999_CBS20231112345_0001.json.bz2
File	File Contents
CAT Billing Trade Details File	<pre>{ "recType": "TRF", "versionNumber": "1.2", "executionTimestamp": "20230801093000.000000000", "tradeReportTimestamp": "20230801093000.000000000", "tradeReportDate": "2023-08-01", "executionDate": "2023-08-01", "eventReportDate": "2023-08-01", "marketCenterId": "C", "reportedSideCode": "B", "symbol": "A123A", "reportingExecutingMpid": "EFGH", "reportingExecutingCRD": "99999999", "contraExecutingMpid": "WSXZ", "contraExecutingCRD": "88888888", "executionQuantity": "1000.000000000", "executionPrice": "10.000000000", "controlNumber": "QAZW000011", "contraControlNumber": "IKKN00012", "reportingSideBranchSequenceIdentifier": "AERDSQ1234", "contraSideBranchSequenceIdentifier": "AERDSQ1234", "reversalFlag": "N", "publishIndicatorCode": "Y", "sideFlag": "ReportingSide", "otcMultiplier": "1.0000", "executedEquivalentShares": "1000.000000000", "netExecutedEquivalentShares": "1000.000000000" }</pre> <pre>{ "recType": "TRF", "versionNumber": "1.2", "executionTimestamp": "20230802093000.000000000", "tradeReportTimestamp": "20230802093000.000000000", "tradeReportDate": "2023-08-02", "executionDate": "2023-08-02", "eventReportDate": "2023-08-02", "marketCenterId": "C", "reportedSideCode": "B", "symbol": "AZQW12", "reportingExecutingMpid": "ABCD", "reportingExecutingCRD": "99999999", "executionQuantity": "2000.000000000", "executionPrice": "10.000000000", "controlNumber": "QAZW000012", "reportingSideBranchSequenceIdentifier": "AERDSQ1235", "contraSideBranchSequenceIdentifier": "AERDSQ1235", "reversalFlag": "N", "publishIndicatorCode": "Y", "sideFlag": "ReportingSide", "otcMultiplier": "1.0000", "executedEquivalentShares": "2000.000000000", "netExecutedEquivalentShares": "2000.000000000" }</pre> <pre>{ "recType": "TRF", "versionNumber": "1.2", "executionTimestamp": "20230802093000.000000000", "tradeReportTimestamp": "20230802093000.000000000", "tradeReportDate": "2023-08-02", "executionDate": "2023-08-02", "eventReportDate": "2023-08-02", "marketCenterId": "C", "reportedSideCode": "B", "symbol": "A123A", "reportingExecutingMpid": "EFGH", "reportingExecutingCRD": "99999999", "executionQuantity": "1000.000000000", "executionPrice": "10.000000000", "controlNumber": "QAZW000011", "contraControlNumber": "IKKN00012", "reportingSideBranchSequenceIdentifier": "AERDSQ1234", "contraSideBranchSequenceIdentifier": "AERDSQ1234", "reversalFlag": "N", "publishIndicatorCode": "Y", "sideFlag": "ReportingSide", "otcMultiplier": "1.0000", "executedEquivalentShares": "1000.000000000", "netExecutedEquivalentShares": "1000.000000000" }</pre>

CAT Billing Trade Details File – On-Exchange (JSON) Example:

Table 13: CAT Billing Trade Details File and data – On Exchange (JSON)

CAT Billing Trade Details File with On Exchange Data (JSON)	
File	File Name
CAT Billing Trade Details File	invoice_trade_details_exchange_99999999_CBS20231112345_0001.json.bz2
File	File Contents
CAT Billing Trade Details File	<pre>{ "recType": "Exchange", "versionNumber": "1.2", "eventTimestamp": "20230801093000.000000000", "tradeDate": "2023-08-01", "executionDate": "2023-08-01", "eventReportDate": "2023-08-01", "exchange": "NYNQ", "side": "Buy", "symbol": "A123A", "member": "EFGH", "memberCRD": "99999999", "executionQuantity": "1000.000000000", "executionPrice": "10.000000000", "tradeID": "AWESQ1234", "routedOrderID": "QASQ11234", "session": "EFGH1123", "routingParty": "EFGH", "eventType": "EOT", "executedEquivalentShares": "1000.000000000", "netExecutedEquivalentShares": "1000.000000000" }</pre> <pre>{ "recType": "Exchange", "versionNumber": "1.2", "eventTimestamp": "20230802093000.000000000", "tradeDate": "2023-08-02", "executionDate": "2023-08-02", "eventReportDate": "2023-08-02", "exchange": "NYNQ", "side": "Buy", "symbol": "A123B", "member": "RFQ7", "memberCRD": "99999999", "executionQuantity": "2000.000000000", "executionPrice": "10.000000000", "tradeID": "WSEN1234", "routedOrderID": "WEDSEYR11234", "session": "RFQ71123", "routingParty": "RFQ7", "eventType": "EOT", "executedEquivalentShares": "1000.000000000", "netExecutedEquivalentShares": "1000.000000000" }</pre> <pre>{ "recType": "Exchange", "versionNumber": "1.2", "eventTimestamp": "20230801093000.000000000", "tradeDate": "2023-08-03", "executionDate": "2023-08-03", "eventReportDate": "2023-08-03", "exchange": "NOOP", "side": "Buy", "symbol": "A123CAWS202301200", "member": "AZA5", "memberCRD": "99999999", "executionQuantity": "3000.000000000", "executionPrice": "10.000000000", "tradeID": "MJUYHT1234", "quoteID": "REDFRTF11234", "eventType": "OT", "optionMultiplier": "100.000000", "executedEquivalentShares": "300000.000000000", "netExecutedEquivalentShares": "3000.000000000" }</pre> <pre>{ "recType": "Exchange", "versionNumber": "1.2", "eventTimestamp": "20230801093000.000000000", "tradeDate": "2023-08-03", "executionDate": "2023-08-03", "eventReportDate": "2023-08-03", "exchange": "NOOP", "side": "Buy", "symbol": "A123CAWS202301200", "member": "AZA5", "memberCRD": "99999999", "executionQuantity": "3500.000000000", "executionPrice": "10.000000000", "tradeID": "MJUYHT1234", "mootLinkIdentifier": "REWQTHWS", "eventType": "OT", "optionMultiplier": "100.000000", "executedEquivalentShares": "350000.000000000", "netExecutedEquivalentShares": "35000.000000000" }</pre> <pre>{ "recType": "Exchange", "versionNumber": "1.2", "eventTimestamp": "20230801093000.000000000", "tradeDate": "2023-08-04", "executionDate": "2023-08-04", "eventReportDate": "2023-08-04", "exchange": "NZOOP", "side": "Buy", "symbol": "A123DAWS20230110", "member": "XXY1", "memberCRD": "99999999", "executionQuantity": "4400.000000000", "executionPrice": "10.000000000", "tradeID": "VFREDWS234", "routedOrderID": "MJUHTRF11234", "session": "XXY11123", "routingParty": "XXY1", "eventType": "OT", "optionMultiplier": "100.000000", "executedEquivalentShares": "4400000.000000000", "netExecutedEquivalentShares": "4400000.000000000" }</pre>

CAT Billing Trade Details File – Off-Exchange (CSV) Example:

Table 14: CAT Billing Trade Details File and data – Off-Exchange (CSV)

CAT Billing Trade Details File with Off-Exchange Data (CSV)		
File	File Name	
CAT Billing Trade Details File	invoice_trade_details_trf_99999999_CBS20231112345_0001.csv.bz2	
File	File Contents	
CAT Billing Trade Details File	LINE 1	TRF,1.2,20230801093000.000000000,20230801093000.000000000,2023-08-01,2023-08-01,2023-08-01,C,B,A123A,EFGH,99999999,WSXZ,88888888,1000.000000000,10.000000000,QAZW000011,IKKN00012,AERDSQ1234,AERDSQ1234,N,Y,,ReportingSide,1.0000,1000.000000000000,1000.000000000
	LINE 2	TRF,1.2,20230802093000.000000000,20230802093000.000000000,2023-08-02,2023-08-02,2023-08-02,C,B,AZQW12,ABCD,99999999,,,2000.000000000,10.000000000,QAZW000012,,AERDSQ1235,,N,Y,,ReportingSide,1.0000,2000.000000000,2000.000000000
	LINE 3	TRF,1.2,20230802093000.000000000,20230802093000.000000000,2023-08-02,2023-08-02,2023-08-02,C,B,AZQW12,ABCD,99999999,,,2000.000000000,10.000000000,QAZW000012,,AERDSQ1235,,N,Y,,ContraSide,1.0000,2000.000000000,2000.000000000
	LINE 4	TRF,1.2,20230803093000.000000000,20230803093000.000000000,2023-08-03,2023-08-03,2023-08-03,C,X,IKJ56,EFGH,99999999,EFGH,99999999,3000.000000000,10.000000000,QAZW000013,QAZW000013,AERDSQ1235,AERDSQ1235,N,Y,,ReportingSide,1.0000,3000.000000000,3000.000000000
	LINE 5	TRF,1.2,20230803093000.000000000,20230803093000.000000000,2023-08-03,2023-08-03,2023-08-03,C,X,IKJ56,EFGH,99999999,EFGH,99999999,3000.000000000,10.000000000,QAZW000013,QAZW000013,AERDSQ1235,AERDSQ1235,N,Y,,ContraSide,1.0000,3000.000000000,3000.000000000

CAT Billing Trade Details File – On-Exchange (CSV) Example:

CAT Billing Trade Details File and data – On Exchange (CSV)

CAT Billing Trade Details File with On Exchange Data (CSV)		
File	CAT Billing Trade Details File Name	
CAT Billing Trade Details File	invoice_trade_details_exchange_99999999_CBS20231112345_0001.csv.bz2	
File	File Contents	
CAT Billing Trade Details File	LINE 1	Exchange,1.2,20230801093000.000000000,2023-08-01,2023-08-01,2023-08-01,NYNQ,Buy,A123A,EFGH,99999999,1000.000000000,10.000000000,AWESQ1234,,,QASQ11234,EFGH1123,EFGH,,EOT,,1000.000000000,1000.000000000
	LINE 2	Exchange,1.2,20230802093000.000000000,2023-08-02,2023-08-02,2023-08-02,NYNQ,Buy,A123B,RFQ7,99999999,2000.000000000,10.000000000,WSEN1234,,,WEDSEYR11234,RFQ71123,RFQ7,,EOT,,1000.000000000,1000.000000000
	LINE 3	Exchange,1.2,20230803093000.000000000,2023-08-03,2023-08-03,2023-08-03,NOOP,Buy,A123CAWS202301200,AZA5,99999999,3000.000000000,10.000000000,MJUYHT1234,,REDFRFT11234,,,,OT,100.000000,300000.000000000,300000.000000000
	LINE 4	Exchange,1.2,20230803093000.000000000,2023-08-03,2023-08-03,2023-08-03,NOOP,Buy,A123CAWS202301200,AZA5,99999999,3500.000000000,10.000000000,MJUYHT1234,,,,REMQTHWS,OT,100.000000,350000.000000000,350000.000000000
	LINE 5	Exchange,1.2,20230804093000.000000000,2023-08-04,2023-08-04,2023-08-04,NZQOP,Buy,A123DAWS20230110,XYX1,99999999,4400.000000000,10.000000000,VFREDWS234,,,MJUHTRF11234,XYX11123,XYX1,,OT,100.000000,4400000.000000000,4400000.000000000

The following table outlines and describes the different sections within the **CAT Billing Trade Details File** (for both On and Off-Exchange and JSON and CSV formats):

Identifier	Field	Description
1	File Name	The file name of the CAT Billing Trade Details File. See the CAT Billing Trade Details Technical Specifications for further details on file name formatting.

Identifier	Field	Description
2	File Contents	The CAT Billing Trade Details records. See the CAT Billing Trade Details Technical Specifications for further details on the elements of a CAT Billing Trade Details record. Note: For JSON format only, each line within a Data File must contain exactly one complete record.

14.4.3 Bank Letter

The **Bank Letter** is a formal document that verifies the financial details of an organization. A copy of CAT LLC's Bank Letter is provided in the **Documents** tab of the Portal's Invoice tool to assist firms in onboarding CAT LLC into their payment system. The below example is for demonstrative purposes. Legal disclosures normally included, are excluded from the example.

Bank Letter Example:

	1	Bank Name Bank Department Bank Address Bank Phone Number and Extension Number Bank Contact Email Address
January 17, 2024 FINRA CAT, LLC	2	
Regarding: Account / Routing Number Confirmation		
Please accept this letter as confirmation that, according to our records, the account referenced below is maintained at Bank Name with the following information:		
Account Number:		
Account Type:	CHECKING	
Active ACH Blocks/Filters on file	YES	
Routing Number ACH/EFT		
Routing Number DOM. WIRES		
SWIFT Code INTL WIRES		
Account Name:	FINRA CAT, LLC BEHALF OF CAT LLC	3
Address:	9509 KEY WEST AVE ROCKVILLE MD 20850	
The information set forth above is as of January 17, 2024. Please note that the information provided by the Bank in this letter is given as of the date of this letter and is subject to change without notice, and is provided in strict confidence to you for your own use only, without any responsibility, guarantee, representation, warranty (expressed or implied), commitment or liability on the part of the Bank, its parents, subsidiaries or affiliates or any of its or their directors, officers or employees to you or any third party, and none of them assumes any duties or obligations to you in connection herewith. This letter is not to be quoted or referred to without the Bank's prior written consent. The Bank has no duty and undertakes no responsibility to update or supplement the information set forth in this letter. If you have any questions, or require further assistance, please do not hesitate to contact us at 888-715-1000.		
Sincerely,		
Bank Contact's Signature	4	
Bank Contact's title, branch, email address		

The following table identifies and describes the key details of the **Bank Letter**:

Identifier	Description
1	The From Address populated with CAT LLC's bank information. This includes: • Bank Name • Bank Department • Bank Address • Bank Phone Number and Extension Line • Bank Contact's Email Address
2	The Date and To Address. Populated with the date of the letter and CAT LLC's name.
3	CAT LLC's bank account and routing information. This includes: • Account number • Account Type • Active ACH Blocks/Filters on file • Routing Number ACH/EFT • Routing Number DOM. WIRES • SWIFT Code INTL WIRES • Account Name • Industry Member Address
4	The bank contact's signature, authenticating the Bank Letter.

14.4.4 Form W-9

The Form W-9, officially titled "Request for Taxpayer Identification Number and Certification" is a IRS document used to securely collect identifying information for tax reporting purposes. A copy of CAT LLC's **Form W-9** is provided in the **Documents** tab of the Portal's Invoice tool to assist firms in onboarding CAT LLC into their payment system. The below example is for demonstrative purposes. Legal disclosures and instructional pages are excluded from the example.

Form W-9 Example

Form W-9 (Rev. March 2024) Department of the Treasury Internal Revenue Service Request for Taxpayer Identification Number and Certification Go to www.irs.gov/FormW9 for instructions and the latest information. Give form to the requester. Do not send to the IRS.		
Before you begin. For guidance related to the purpose of Form W-9, see <i>Purpose of Form</i> , below.		
1 2 3a 3b 7	1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.) Consolidated Audit Trail, LLC 2 Business name/disregarded entity name, if different from above. 3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes. ☐ Individual/sole proprietor ☐ LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. ☐ C corporation ☐ S corporation ☐ Partnership ☐ Trust/estate ☒ Other (see instructions) Internal Revenue Code Section 501(c)(6) Business League 3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions. ☐ 5 Address (number, street, and apt. or suite no.). See instructions. C/O Anchin, Block & Anchin LLP, 3 Times Square 6 City, state, and ZIP code New York, NY 10036 7 List account number(s) here (optional)	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) 1 Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) N/A (Applies to accounts maintained outside the United States.) 8 Requester's name and address (optional)
Part I Taxpayer Identification Number (TIN) Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a TIN</i>, later. Note: If the account is in more than one name, see the instructions for line 1. See also <i>What Name and Number To Give the Requester</i> for guidelines on whose number to enter.		
Part II Certification Under penalties of perjury, I certify that: 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and 2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and 3. I am a U.S. citizen or other U.S. person (defined below); and 4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct. Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.		
10	Sign Here Signature of U.S. person <i>Brandon Becker</i> Date 10/23/2024	9 Social security number OR Employer identification number
General Instructions Section references are to the Internal Revenue Code unless otherwise noted. Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9. What's New Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification. New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065). Purpose of Form An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they		

The following table identifies and describes the key details of the **Form W-9**:

Identifier	Description
1	CAT LLC's name.
2	<i>Not applicable.</i> Business name/disregarded entity name, if different from field 1.
3a	Identifying federal tax classification of CAT LLC.
3b	<i>Not applicable.</i> Only applies if "Partnership", "Trust/estate" or "LLC" and "P", was selected in 3a.
4	Any exemptions for the entity. Only applies to accounts maintained outside the U.S.
5	CAT LLC address.
6	City, state, and ZIP code of address.
7	<i>This is an optional field.</i> Entities account number(s).
8	<i>This is an optional field.</i> The requestor's name and address.
9	The Taxpayer Identification Number (TIN). Specifically, CAT LLC's (Employer Identification Number) EIN.
10	Signature of U.S. person certifying the above information in the form is true.

14.4.5 IRS Tax Exempt Determination Letter

The Internal Revenue Service (IRS) Tax Exempt Determination Letter is an official document sent by the IRS stating that an organization meets the criteria to be exempt from federal income tax. A copy of CAT LLC's **IRS Tax Exempt Determination Letter** is provided in the **Documents** tab of the Portal's Invoice tool to assist firms in onboarding CAT LLC into their payment system. The below example is for demonstrative purposes.

IRS Tax Exempt Determination Letter Example:

1 → INTERNAL REVENUE SERVICE P. O. BOX 2508 CINCINNATI, OH 45201 2 → Date: FEB 11 2020 4 → CONSOLIDATED AUDIT TRAIL LLC C/O A WILLIAM CAPORIZZO WILMERHALE 60 STATE ST BOSTON, MA 02109	3 → Employer Identification Number: 84-2967946 DLN: 29053322348029 Contact Person: DIANA DAVENPORT ID# 31885 Contact Telephone Number: (877) 829-5500 Accounting Period Ending: December 31 Form 990/990-EZ/990-N Required: Yes Effective Date of Exemption: August 29, 2019 Contribution Deductibility: No Addendum Applies: No
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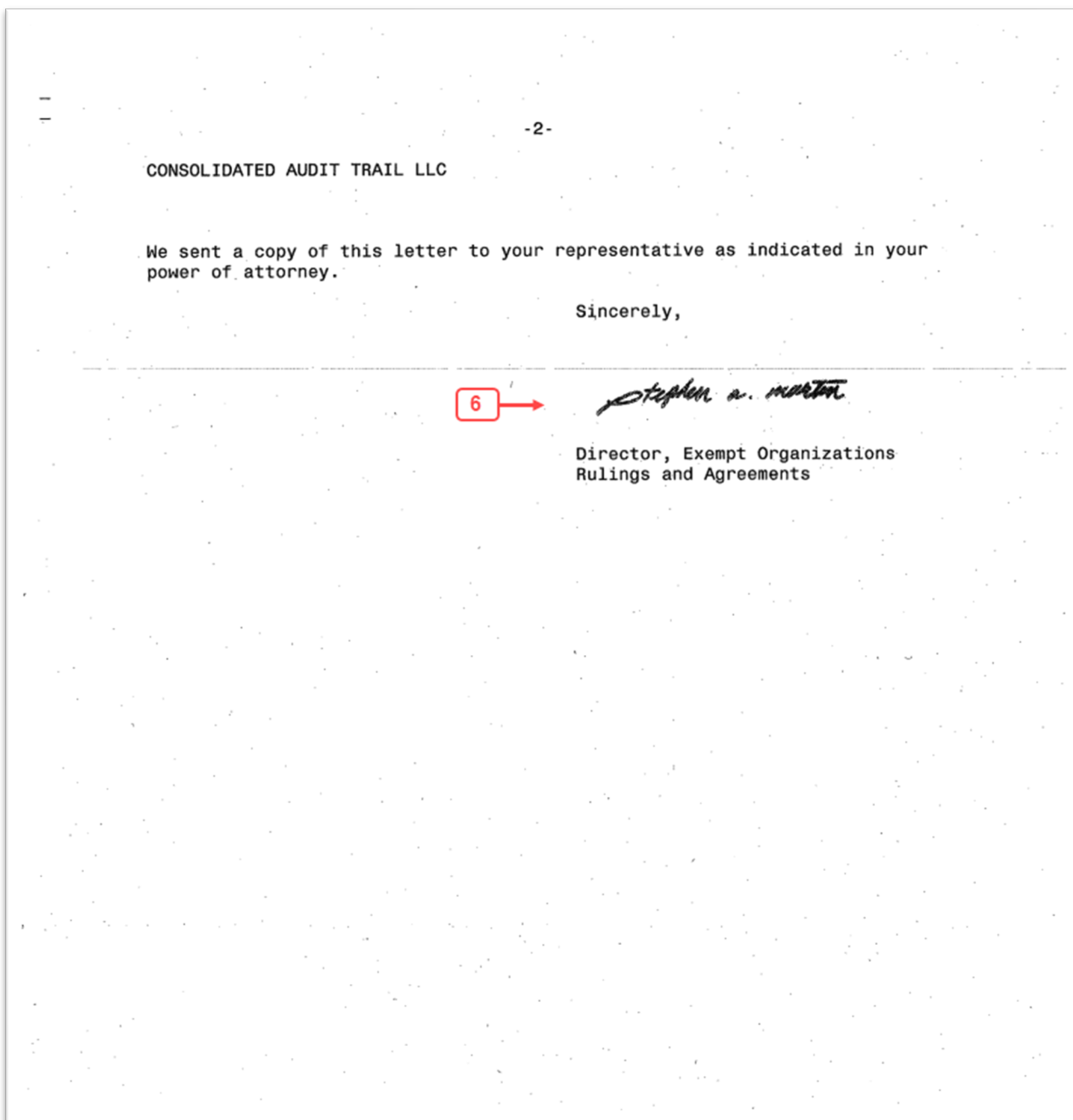
Dear Applicant:

5 → We're pleased to tell you we determined you're exempt from federal income tax under Internal Revenue Code (IRC) Section 501(c)(6). This letter could help resolve questions on your exempt status. Please keep it for your records.

If we indicated at the top of this letter that you're required to file Form 990/990-EZ/990-N, our records show you're required to file an annual information return (Form 990 or Form 990-EZ) or electronic notice (Form 990-N, the e-Postcard). If you don't file a required return or notice for three consecutive years, your exempt status will be automatically revoked.

If we indicated at the top of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

For important information about your responsibilities as a tax-exempt organization, go to www.irs.gov/charities. Enter "4221-NC" in the search bar to view Publication 4221-NC, Compliance Guide for Tax-Exempt Organizations (Other than 501(c)(3) Public Charities and Private Foundations), which describes your recordkeeping, reporting, and disclosure requirements.



The following table identifies and describes the key details of the **IRS Tax Exempt Determination Letter**:

Identifier	Description
1	IRS address.

Identifier	Description
2	The date the letter was issued.
3	Header and contact information. This includes: • CAT LLC's EIN. • CAT LLC's Document Locator Number (DLN) • Name of IRS contact. • Phone number of IRS contact. • Accounting period ending. • Determination if Form 990/990-EZ/990-N was required. • Effective date of exemption. • Determination of contribution deductibility. • Determination if addendum applies.
4	CAT LLC's name and address, and contact information.
5	The ruling status.
6	Signature from authorized IRS official, confirming the CAT LLC's status.