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From: Cassidy, Dennis [REDACTED]  
Sent: Wednesday, October 17, 2012 3:33 PM  
To: Feedback (CATNMSPLAN)  
Cc: [REDACTED]  
Subject: CAT Scope questions  
Importance: High

All

1. Can you please explain a little more about the client population scope involved in RULE 613 - Consolidated Audit Trail?
2. Is it only for clients that are doing business with U.S. entities?
3. Does it include Private Banking entities and the their clients? And their all/some of retail clients?
4. Does it include any client that does business at one of the NMS exchanges listed on the CAT home page (see below)?

CAT NMS Plan Participants:

BATS BYX Exchange	EDGA Exchange	National Stock Exchange
BATS BZX Exchange	EDGX Exchange	New York Stock Exchange
BOX Options Exchange	FINRA	NYSE Arca
C2 Options Exchange	International Securities Exchange	NYSE Mkt
Chicago Board Options Exchange	Nasdaq OMX BX	The National Stock Market
Chicago Stock Exchange	Nasdaq OMX PHLX	

5. Would Rule 613 be expanded to all security products?
6. What is your definitions of a NMS security?
7. Would it exclude DVP/RVP transactions and the clients execute orders/trade in only DVP/RVP account types?

Sincerely,  
Dennis M Cassidy

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