

## Tech Spec Working Group Q&A

August 15, 2019

### Frequently Asked Help Desk Questions:

- 1) Will FINRA CAT be providing mapping from FIX to CAT?
- 2) How should Internal Route Modifications and Cancellations be reported in Phase 2a?
- 3) How many *CATReporterIMIDs* may be represented in a data file?
- 4) What does a "Named" error code represent? Will feedback for "Named" error codes contain a firmROEID? Will feedback be provided if a "Named" error code is resolved by the other party?
- 5) How should the *accountHolderType* field be populated for managed institutional accounts?

### Additional Questions from the Industry:

- 6) Are Industry Members required to report CAT events for orders that were received or originated prior to CAT go-live? How should the *orderKeyDate* be populated in these instances?
- 7) How should IMIDs be populated for Industry Members that do not have a FINRA assigned MPID?
- 8) When should the *manualFlag* be populated on Trade or Order Fulfillment events?
- 9) How is Market On Close (MOC) different from Market At Close (MAC)? How is Market On Open (MOO) different from Market At Open (MAO)?
- 10) Table 1 of the IM Technical Specifications states that, in Phase 2a, Industry Members are required to report quotes sent to a venue not operated by an SRO or broker-dealer. What venues meet this description?