

TSWG Q&A - 11/21/19

1. What information will be provided in feedback for a “Named Error”?
2. Will there be any additional options to meet the Multi-Factor Authentication (“MFA”) requirements other than a mobile phone or tablet?
3. Are CAT Reporter personnel required to input personal phone numbers into the app as part of the MFA process through Duo? Is there another option available other than phone number?
4. Will FINRA CAT publish information regarding liquidation of fractional shares?
5. Will FINRA CAT publish more information regarding LTID?
6. Does FINRA CAT have any updates regarding a coordinated Industry Test Plan?