

Consolidated Audit Trail Industry Member Limited Testing Acknowledgement Form

This Acknowledgement Form is for Industry Members that desire to access and use the CAT System to perform testing for file submission and data integrity validations in order to comply with obligations under the CAT NMS Plan, SEC Rule 613 and self-regulatory organization rules before executing a CAT Reporter Agreement¹ with Consolidated Audit Trail, LLC (“CATLLC”). Prior to being entitled to the CAT System production environment, each Industry Member must enter into a CAT Reporter Agreement with CATLLC and complete a production readiness test using a full day of live production data.

Capitalized terms used but not defined herein have the meanings given in the CAT NMS Plan, a copy of which is available on <https://catnmsplan.com>.

The CAT Reporter identified below hereby certifies and acknowledges that it will not submit production data and will only submit fabricated test data and/or obfuscated production data (“Test Data”) (as described in the [Industry Member Testing Update](#) dated December 17, 2019) to the CAT System test environment. CAT Reporter also acknowledges that it is CAT Reporter’s responsibility to ensure only Test Data is submitted to the CAT System test environment.

CAT Reporter:

(Organization’s legal name)

By: _____

OrgID: _____

Name: _____

Address: _____

Title: _____

Date: _____

¹ A copy of the CAT Reporter Agreement is available on <https://catnmsplan.com>.