Industry Member

CAT Reporter Portal

User Guide

2/10/2020

Version 1.2

Table of Contents

Change Log

Version	Date Published	Description of Change(s)
1.0	11/04/2019	User Guide published to Industry Members.
1.1	12/02/2019	Added content for December Industry Test cycle, including: • Basic Statistics • File Upload • Feedback Download
1.2	2/10/2020	Added content for February Industry Test cycle, including: • Reporting Summary • Event Type Counts • File Status • Error Summary • Error Search • Group Repair • Error Correction • Create Order Event • Pending Submissions

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. The Portal 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.

Additionally, the Portal provides access to reporting statistics including information on an Industry Member's submissions and error rates as well as its performance compared to that of its peers. Users can also access other CAT related information including system announcements, system status, and additional resources.

Questions

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

IMPORTANT NOTE ABOUT THE CONTENT OF THIS USER GUIDE

The information provided in this version of the Industry Member CAT Reporter Portal User Guide corresponds to functionality delivered for the November 2019, December 2019, and February 2020 Industry Test Releases only.

This guide will be updated with further content in conjunction with each Industry Test cycle, per the following schedule:

Industry Test Release 1 (November 18, 2019): Reporting Relationships and ATS Order Types

Industry Test Release 2 (December 16, 2019): Basic Statistics, Data File Upload, and Feedback Download

Industry Test Release 3 (February 24, 2020): Reporting Feedback, Error Corrections, and Manual Event Creation

Industry Test Release 4 (March 23, 2020): Announcements and System Status

Companion Documents

- CAT Reporting Technical Specifications for Industry Members, CAT Industry Member Reporting Scenarios, and Industry Member JSON Schema: https://www.catnmsplan.com/technical-specifications/index.html
- Connectivity Supplement for Industry Members: https://www.catnmsplan.com/registration/
- Frequently Asked Questions: https://www.catnmsplan.com/faq/index.html
- Industry Member Onboarding Guide: https://www.catnmsplan.com/registration/

1 Entitlement and User Roles

Prior to accessing the Portal, an individual must have a CAT user account with an assigned user role that provides access to the Portal. See the Industry Member Onboarding Guide for details on obtaining a user account and assigning user roles.

User roles for the Industry Member Portal include CAT Account Administrator, CAT User, and CAT Read-Only. The abilities for each user role are:

Task	**CAT Account Admin**	**CAT User**	**CAT Read-Only**
Create/Manage CAT Users *(via the FINRA Entitlement system)*	X		
View/Export Feedback *(including announcements, reporting statistics, and error feedback)*	X	X	X
View Reporting Relationships and ATS Order Types	X	X	X
Create/Edit Reporting Relationships	X	X	
Create/Edit ATS Order Types	X	X	
Create/Transmit data	X	X	
Repair CAT Errors *(including bulk repairs)*	X	X	
Create/Edit User Preferences	X	X	
Upload Data File *(via Portal)*	X	X	
Download Feedback	X	X	X
View Monthly Report Card	X	X	X

2 Technical Requirements

The CAT Reporter Portal supports HTML5-compatible browsers including Chrome, Firefox, and Safari. Using any other browser may result in the inability to access the Portal.

See the **FINRA CAT Connectivity Supplement for Industry Members** available at https://www.catnmsplan.com/registration/ for the available connection methods and all corresponding technical requirements.

3 Access Information

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

Production URL	CT/Industry Test URL
https://srg.catnms.com	https://srg.ct.catnms.com

For **private line** users accessing the Portal through a third-party Managed Service Provider:

Production URL	CT/Industry Test URL
https://reporterportal.catnms.com	https://reporterportal.ct.catnms.com

For **AWS PrivateLink** users[1]:

Production URL	CT/Industry Test URL
https://reporterportal-pl.catnms.com	https://reporterportal-pl.ct.catnms.com

[1] Connectivity via AWS PrivateLink will be available in January 2020.

4 Data Perspectives

The Portal provides the ability to view data via defined data perspectives, allowing users to view information though a particular point of view. The available perspectives are:

- The **Firm** perspective, which displays information applicable to the user's firm as a CAT Reporter. This includes all data provided by the firm as a CAT Reporter and all data provided by a Submitter on behalf of the firm. This perspective is available when the user's organization is a CAT Reporter.

- The **Submitter** perspective, which displays information applicable to the user's organization as a CAT Submitter. This includes all data submitted to CAT by the user's organization for itself as a CAT Reporter as well as data submitted on behalf of another CAT Reporter as a CAT Reporting Agent. This perspective is available when the user's organization acts as a Submitter/CAT Reporting Agent.

- The **Third-Party Reporting Agent** perspective[2], which displays data applicable to the user's organization as a Third-Party Reporting Agent. This includes all data submitted where the user's organization was identified as the Third-Party Reporting Agent. This perspective is available when the user's organization acts as a Third-Party Reporting Agent.

[2] The Third-Party Reporting Agent perspective will be implemented at a future date.

5 Reporting Feedback

5.1 Reporting Summary

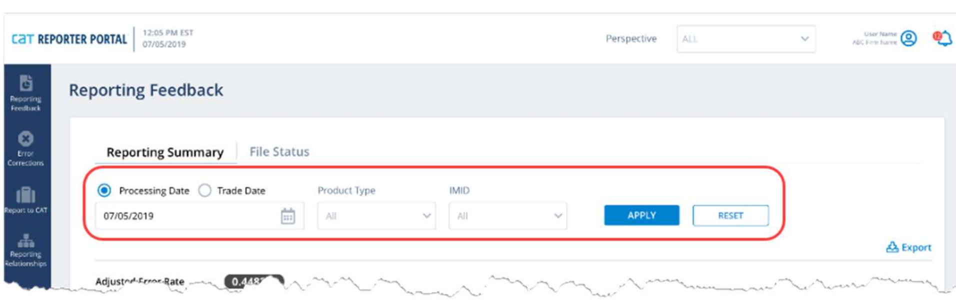
The Portal provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. **A user may view statistics for the previous 90 calendar days, including the current date.**

To <u>view</u> reporting statistics for the organization:

1. Select **Reporting Feedback**.

2. Optionally select a data perspective. (See §4 Data Perspectives for details.)

3. Optionally edit the display criteria and click **Apply**.

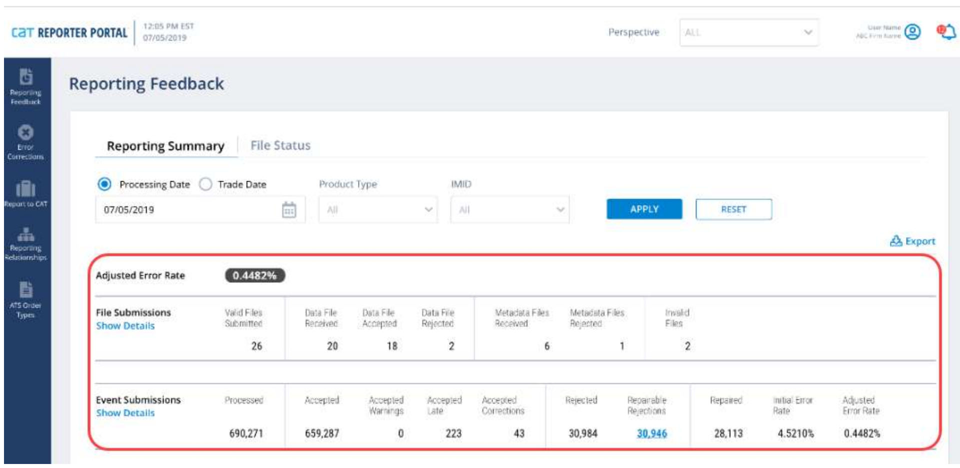


By default, statistics are displayed for the most recently completed processing date and all IMIDs for the organization. Modify the date, specify a Product Type, and/or select an IMID[3] to view the

[3] The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it will also include all IMIDs with which the organization has a current Reporting Relationship.

corresponding statistics. **A user may view statistics for the previous 90 calendar days, including the current date.**

4. Review the basic statistics.



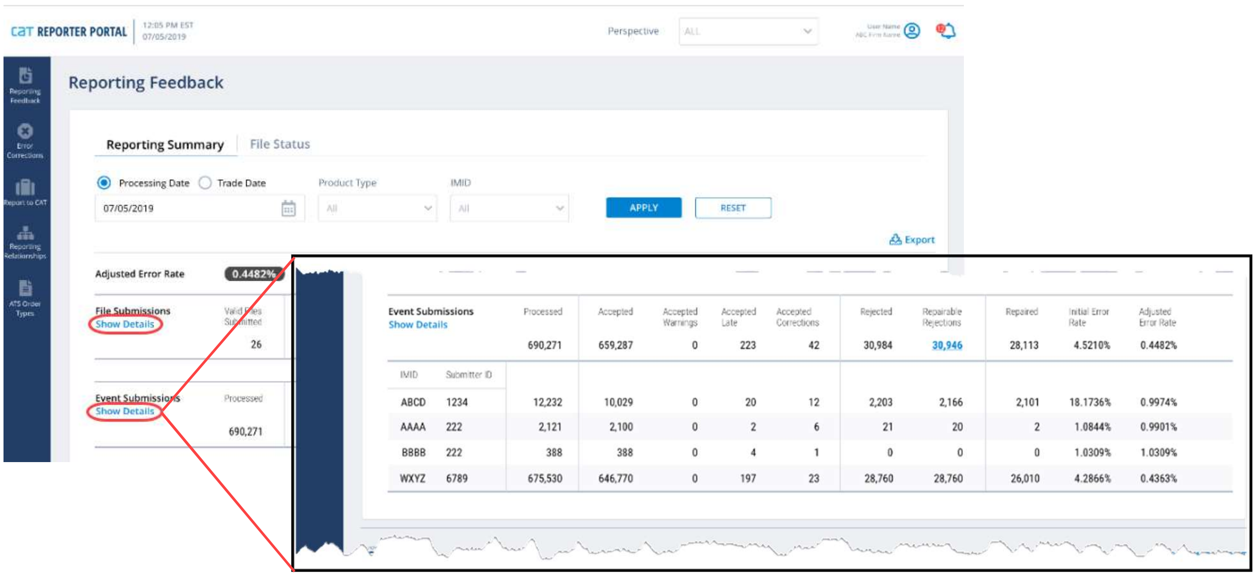
CAT displays the following information for the specified display criteria:

- The **Adjusted Error Rate**, which is the percentage of unrepaired rejected records and late records out of all processed records.

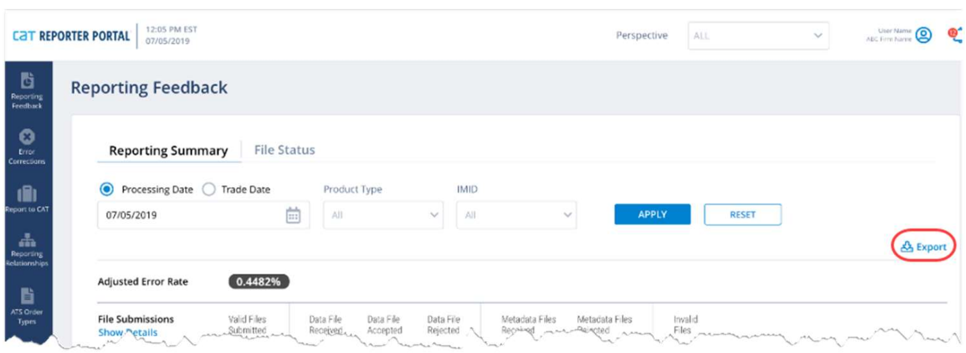
- Aggregated **File Submissions** statistics, which indicates the number of <u>files</u> received, accepted, and rejected. Note that any specified Trade Date and Product Type display criteria will not apply to the File Submission statistics.

- Aggregated **Event Submissions** statistics, which indicates the number of <u>events</u> processed, accepted, rejected, and repaired as well as the initial and adjusted error rates. The *Initial Error Rate* is the percentage of rejected records and late records out of all processed records. The *Adjusted Error Rate* is the percentage of unrepaired rejected records and late records out of all processed records.

5. To **<u>view comprehensive statistics</u>** displayed by IMID and Submitter ID, click Show Details for **File Submissions** or **Event Submissions**.



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

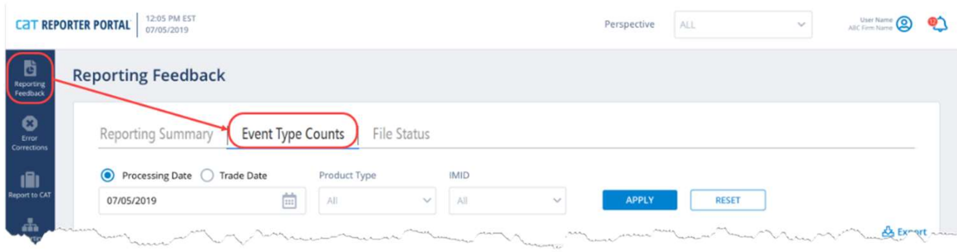


5.2 Event Type Counts

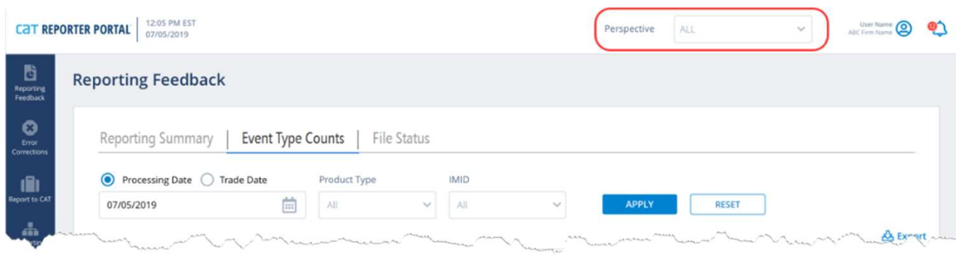
The Portal provides a breakdown of statistics by event type for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or entered via the Portal. **A user may view event type counts for the previous 90 calendar days,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

To view event type counts for the organization:

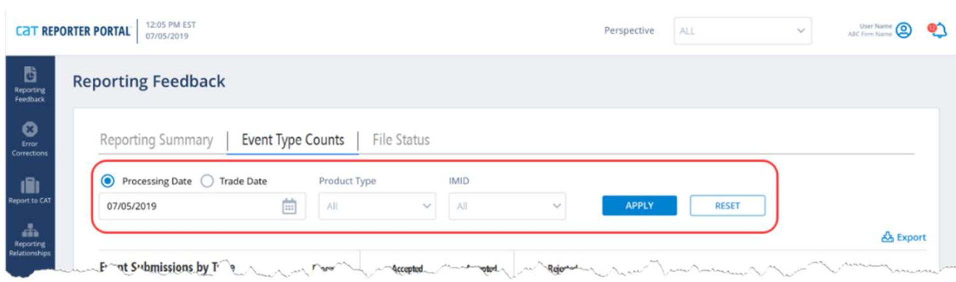
1. Select **Reporting Feedback > Event Type Counts**.



2. Optionally select a data perspective. (See [§4 Data Perspectives] for details.)



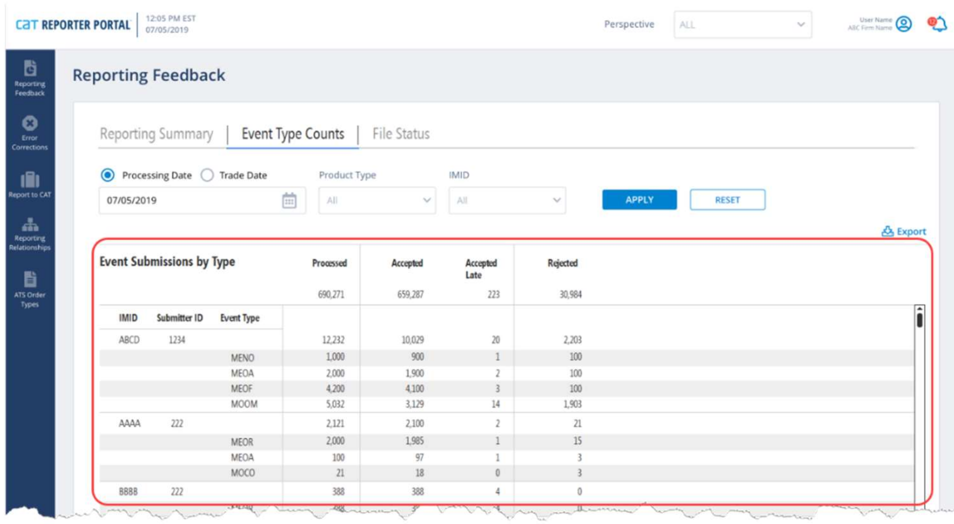
3. Optionally edit the display criteria and click **Apply**.



By default, counts are displayed for the most recently completed processing date and all IMIDs for the organization. Modify the date, specify a Product Type, and/or select an IMID[4] to view the corresponding event type counts. **A user may view event type counts for the previous 90 calendar days, including the current date.**

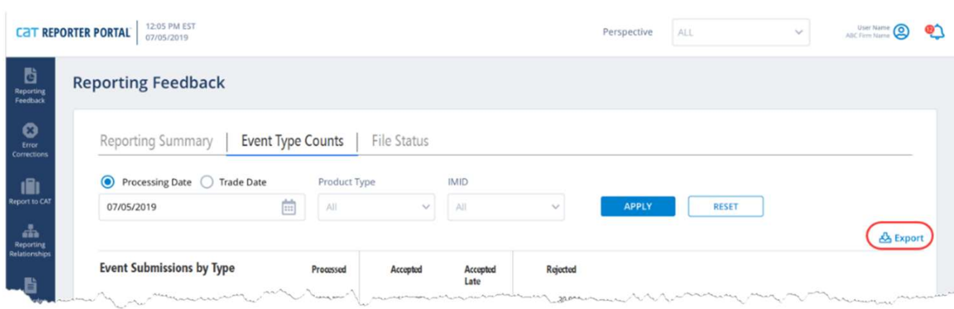
4. Review the event type counts.

[4] The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it will also include all IMIDs with which the organization has a current Reporting Relationship.



The number of Processed, Accepted, Late, and Rejected events are displayed by IMID, Submitter ID, and Event Type.

5. To **<u>export</u>** the event type counts, click Export. Download the generated CSV file using the internet browser functionality.

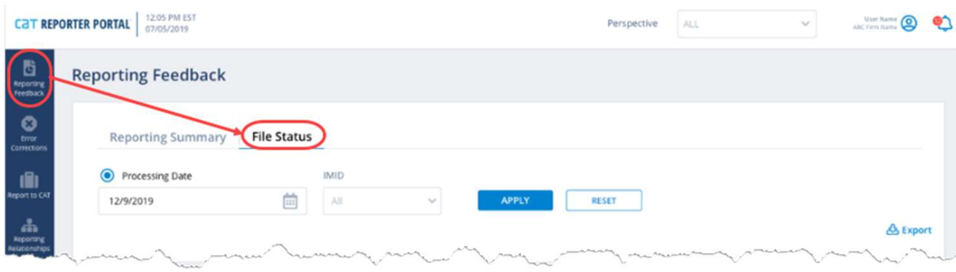


5.3 File Status

The Portal provides a list of files submitted by 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 within the previous 90 calendar days, including the current date.**

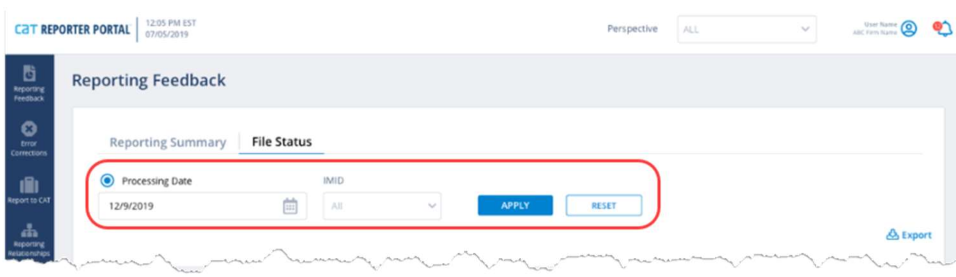
To <u>view</u> file statuses for the organization:

1. Select **Reporting Feedback > File Status**.



2. Optionally select a data perspective. (See [§4 Data Perspectives](#) for details.)

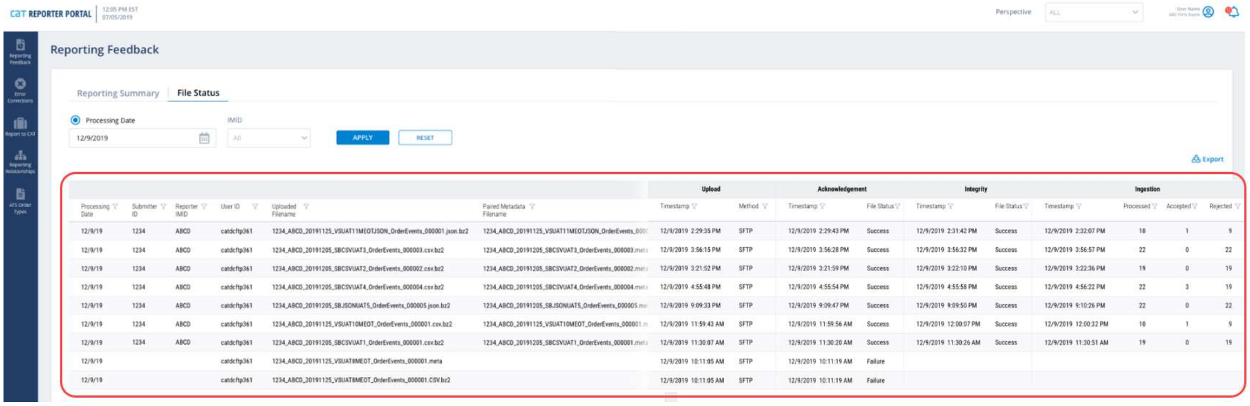
3. Optionally edit the display criteria and click **Apply**.



By default, information is displayed for all files submitted for most recently completed processing date and all IMIDs for the organization. Modify the date and/or select an IMID[5] to view the corresponding file statuses. **A user may view file status information for the previous 90 calendar days, including the current date.**

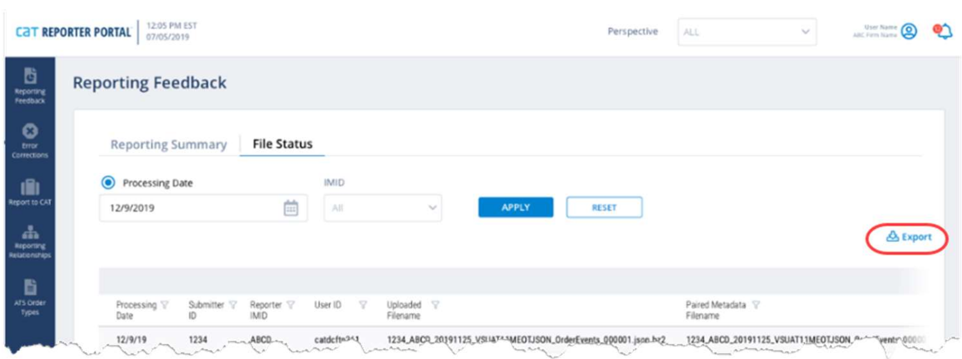
4. Review the file status information.

[5] The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it will also include all IMIDs with which the organization has a current Reporting Relationship.



The Portal dispalys basic information for all files submitted via machine-to-machine communication and files uploaded or generated via the Portal. Additionally, for each file that was successfully uploaded, information is displayed for each phase of file processing, including File Acknowledgement, File Integrity, and Data Ingestion. For details on these phases of file processing, see §7.1.1 File Processing.

5. To **export** the file status information, click Export. Download the generated CSV file using the internet browser functionality.

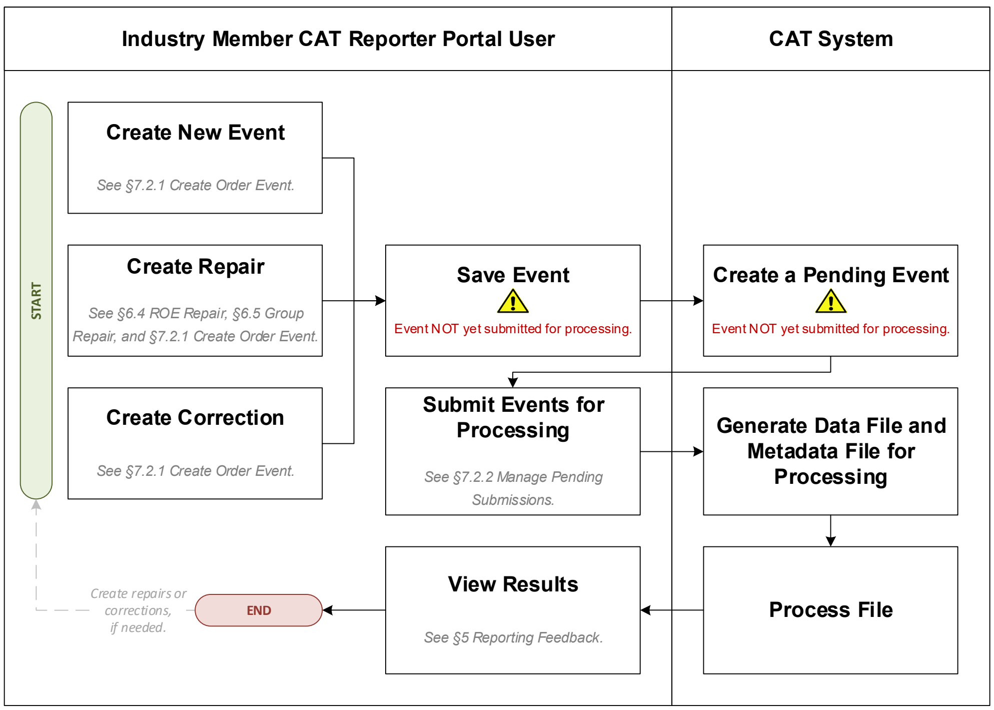


6 Error Corrections

The Portal allows users to review and manage rejected records. This includes the ability to view a high-level summary, view rejection details, and repair the data. **A user may view rejections for the previous 90 calendar days, including the current date.**

<u>High-level Overview of Error Correction Submission</u>

Submission of a repair or correction is a two-step process. The user must first *create/save* the correction and then *submit* it, as shown in the following diagram.



6.1 Error Summary

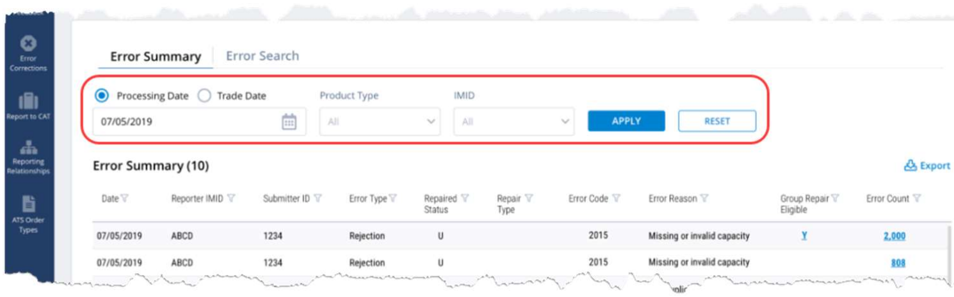
The Error Summary provides a high-level overview of rejections for the organization. A user may access the Error Summary page directly or by linking from the Reporting Summary page. When accessing the page from the statistics, the display criteria is defaulted to display the corresponding records. Review steps 3 and 4 below for details on the use of data perspectives and display criteria if needed. Otherwise, proceed to Step 5 for details on the content of the Error Summary page.

To <u>view</u> the error summary for the organization:

1. Select **Error Corrections**.

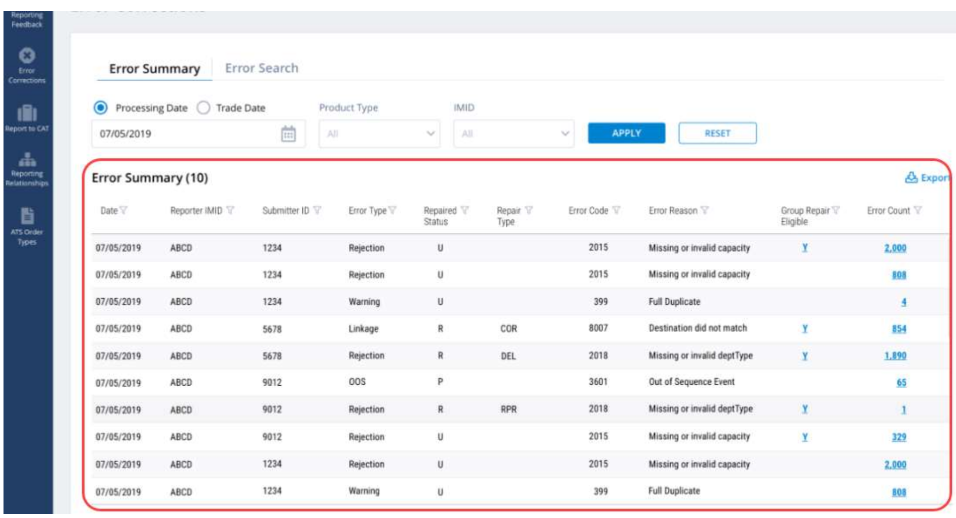
2. Optionally select a data perspective. (See §4 Data Perspectives for details.)

3. Optionally edit the display criteria and click **Apply**.



By default, the Error Summary displays all rejections for the organization for the most recently completed processing date. Modify the date, specify a Product Type, and/or select an IMID[6] to view the corresponding rejections. **A user may view the error summary for the previous 90 calendar days, including the current date.**

4. Review the rejections.

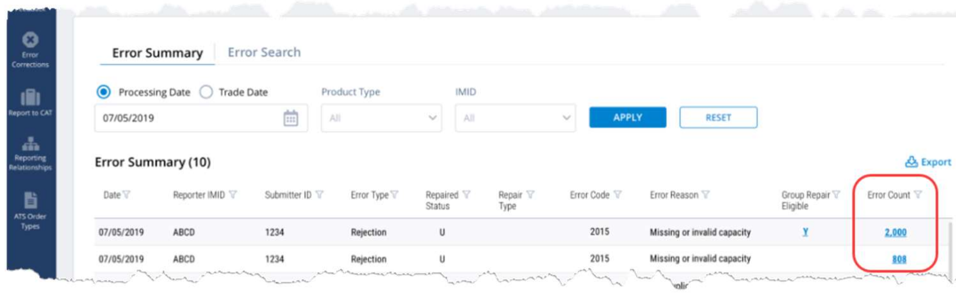


CAT displays the following information for the specified display criteria:

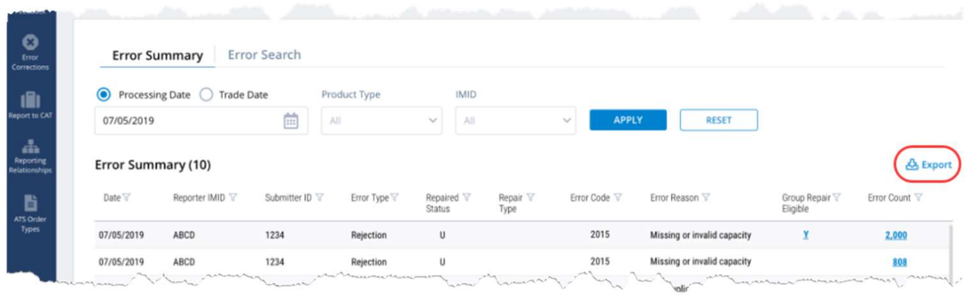
[6] The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it will also include all IMIDs with which the organization has a current Reporting Relationship.

Column	Description
Date	The date of the rejected record. This will be either the Processing Date or Trade Date, as selected in the display criteria.
Reporter IMID	The unique CAT Reporter IMID associated to the rejected record.
Submitter ID	The CAT-assigned unique ID for the organization that submitted the rejected record.
Error Type	The type of error. *Values include:* Rejection, Linkage, OOS
Repair Status	The repair status of the rejected record. *Values include:* (**U**)nrepaired: No repair action has been taken. (**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.
Repair Type	The method via which the record was repaired. This field is populated only when Repair Status is **R**. *Values include:* **COR**: Corrected **DEL**: Deleted **RPR**: Repaired **REC**: Reconciled
Error Code	The code identifying the error. See Industry Member Technical Specifications section **E.2 Data Ingestion Errors** for a list of error codes.
Error Reason	The description of the error. See Industry Member Technical Specifications section **E.2 Data Ingestion Errors** for a list of error reasons.
Group Repair Eligible	Indicates if the corresponding records are eligible for group repair. See §6.5 Group Repair for details.
Error Count	The number of rejected records for the corresponding error.

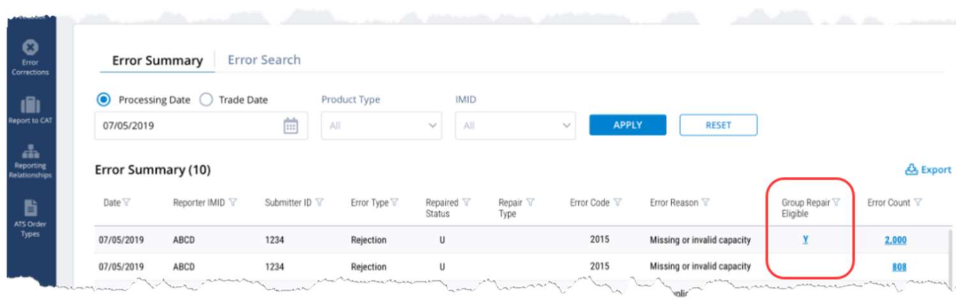
5. To **view details** for the corresponding error records, click the Error Count hyperlink. See §6.3 Error Search for details.



6. To **export** the error summary, click Export. Download the generated CSV file using the internet browser functionality.



7. To **initiate a group repair** for the corresponding error records, click the "Y" hyperlink in the Group Repair Eligible column. See §6.5 Group Repair for details.



6.2 Action Summary

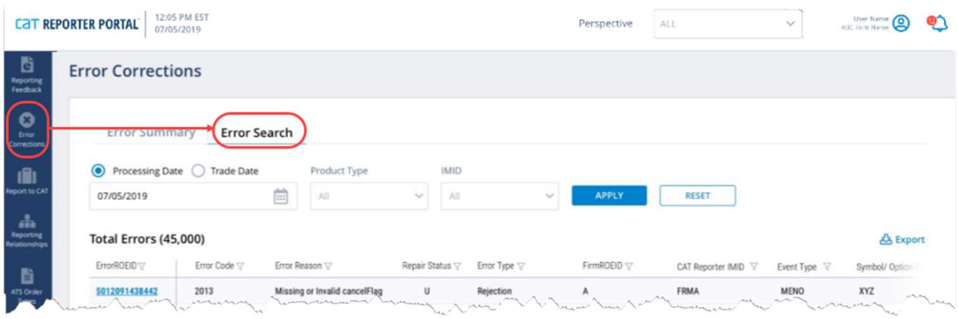
Placeholder for future release

6.3 Error Search

The Error Search provides a detailed view of rejected records for the organization. A user may access the Error Search page directly or by linking from the Error Summary page or the Group Repair page. When accessing the Error Search page from these other pages, the display criteria will be defaulted so that the corresponding records are displayed. Review steps 3 and 4 below for details on the use of data perspectives and display criteria if needed. Otherwise, proceed to Step 5 for details on the content of the Error Search page.

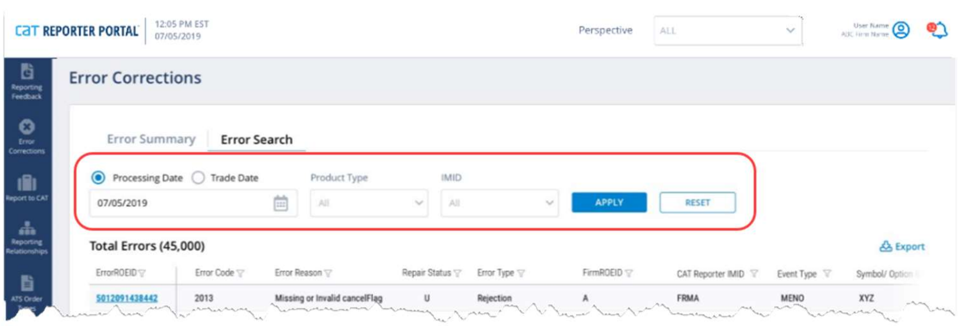
To view the error search details for the organization:

1. Select **Error Corrections > Error Search**.



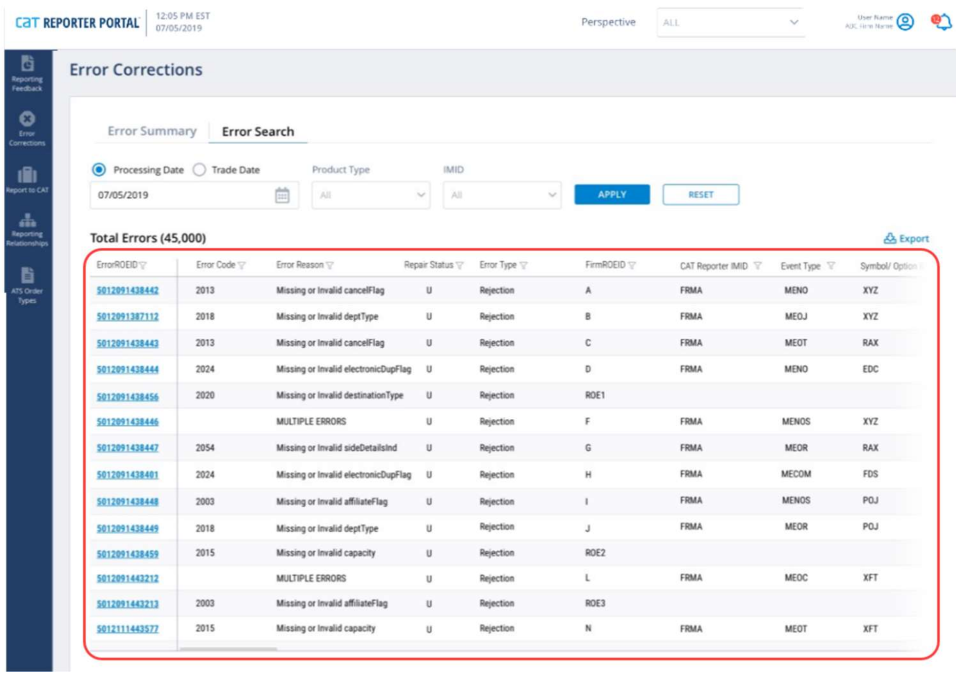
2. Optionally select a data perspective. (See §4 Data Perspectives for details.)

3. Optionally edit the display criteria and click **Apply**.



When accessing the page directly, the Error Search displays all rejections the organization for the most recently completed processing date. When accessing the page from the Error Summary or Group Repair, the corresponding rejections are displayed. Modify the date, specify a Product Type, and/or select an IMID[7] to view the corresponding rejections. **A user may view rejections for the previous 90 calendar days, including the current date.**

4. Review the error details.



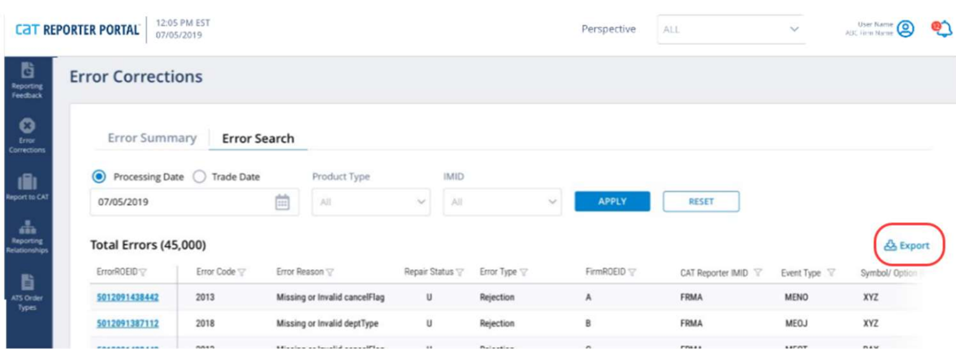
In addition to the information submitted on the original record, CAT displays the following for each rejected record meeting the specified display criteria:

Column	Description
Error Code	The code identifying the error. See Industry Member Technical Specifications section **E.2 Data Ingestion Errors** for a list of error codes.
Error Reason	The description of the error. See Industry Member Technical Specifications section **E.2 Data Ingestion Errors** for a list of error reasons.
Error Type	The type of error. *Values include:* Rejection, Linkage, OOS
Repair Status	The repair status of the rejected record. *Values include:* (**U**)nrepaired: No repair action has been taken.

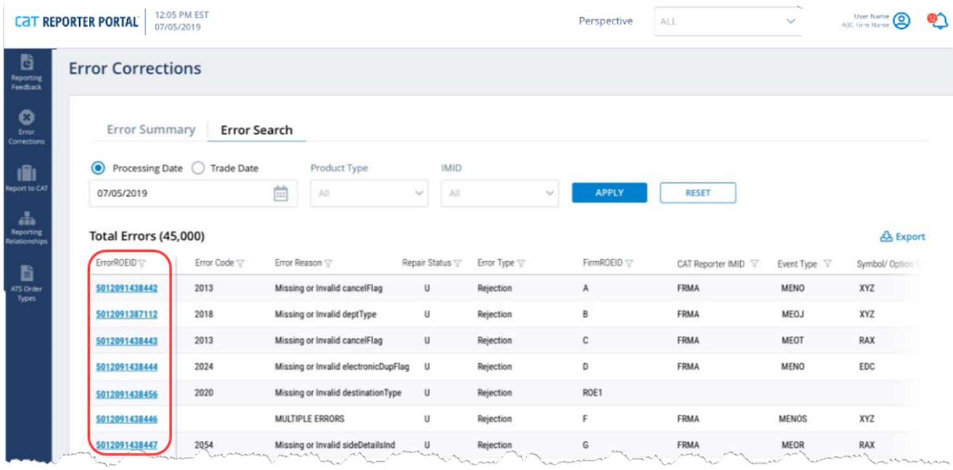
[7] The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it will also include all IMIDs with which the organization has a current Reporting Relationship.

	(**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.
Repaired Timestamp	The date and time when the repair was submitted. This field is only populated when Repair Status is **R**.
Repaired By	The user id of the user who submitted the repair. This field is only populated when Repair Status is **R**.
Repaired Type	The method via which the record was repaired. This field is populated only when Repair Status is **R**. *Values include:* **COR**: Corrected **DEL**: Deleted **RPR**: Repaired **REC**: Reconciled
Correction Due	The date and time by which the rejected record must be repaired.
The remaining fields displayed are taken directly from the record submitted to CAT. For additional details and definitions, see the Industry Member Technical Specifications.	

5. To **export** the error search, click Export. Download the generated CSV file using the internet browser functionality.



6. To **initiate a repair** for a rejected record, click the Error ROE ID. See §6.4 ROE Repair for details.



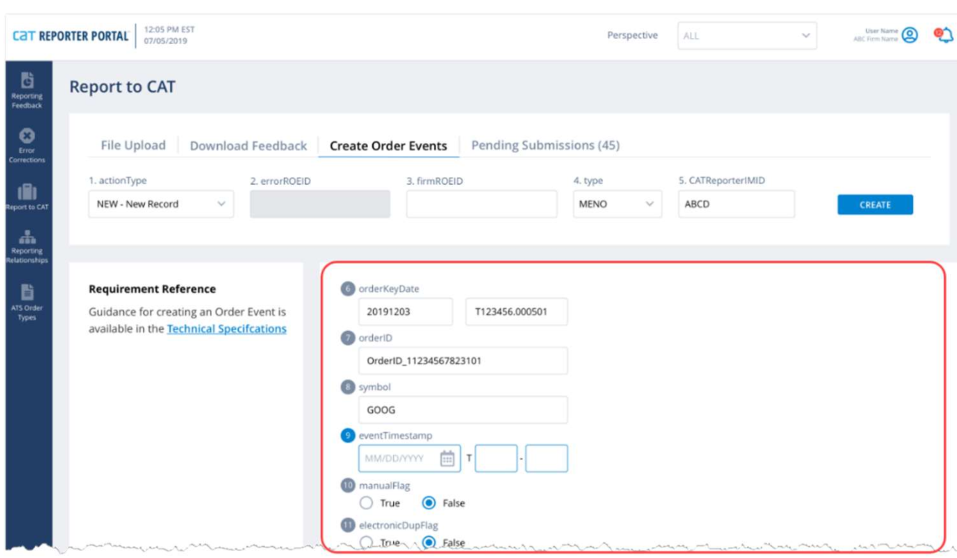
An Error ROE ID will not exist for some records. In these cases, the entire record may be resubmitted using the process for manually providing data to CAT. See §7.2 Manually Report Data to CAT for details. Additionally, an Error ROE ID will be read-only for any record that has already been repaired (i.e. the Repair Status is **R**).

6.4 ROE Repair

The Portal allows users to initiate a repair to a single rejected record. This page can only be accessed by selecting an Error ROE ID from the Error Search page. See §6.3 Error Search for details.

To repair a rejected record:

1. Review the event detail screen and make any necessary updates.



Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validation will be 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.

2. Click **Submit**.

⚠ **The repair will be added to the list of Pending Submissions. Once all desired repairs have been entered, proceed to the Pending Submissions page to review and submit the repairs. REPAIRS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY. See §7.2.2 Manage Pending Submissions for details.**

6.5 Group Repair

The Portal allows users to initiate a repair to a group of rejected records in certain circumstances. This page can only be accessed by selecting the Group Repair link from the Error Summary page. See §6.1 Error Summary for details.

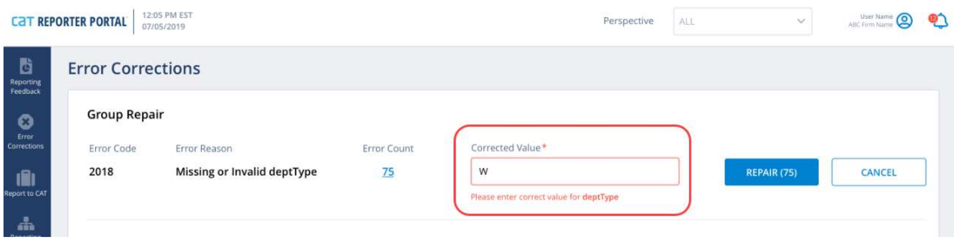
Group Repair Eligibility

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 OR
    - Any field containing a Symbol or IMID OR
    - Any field relating to Destination, Sender/Receiver IMID, Symbol, or Session
- The record is in an “Unrepaired” status.

To initiate a group repair:

1. Provide the Corrected Value.



Select the Error Count hyperlink to view the Error Search for the corresponding errors.

2. Click **Repair**.

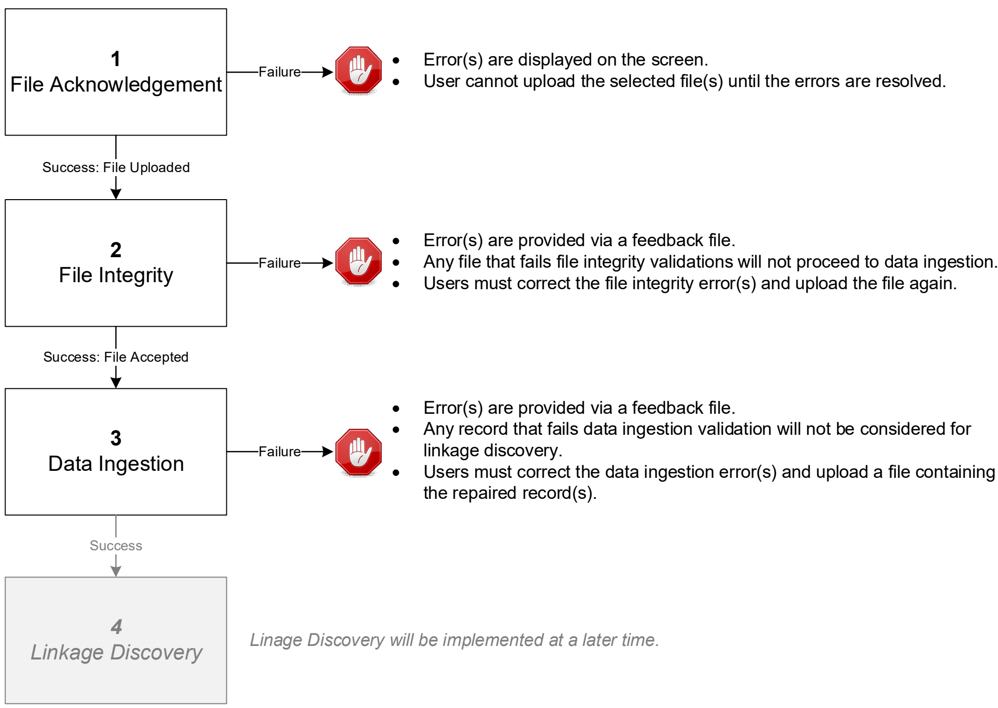
⚠ The repairs will be added to the list of Pending Submissions. Once all desired repairs have been entered, proceed to the Pending Submissions page to review and submit the repairs. REPAIRS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY. See §7.2.2 Manage Pending Submissions for details.

7 Report to CAT

7.1 Upload Data to CAT

7.1.1 File Processing

Data files uploaded to CAT via the Portal are processed in four distinct phases:



<u>1. File Acknowledgement</u>

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 less than 1GB in size.
- The Submitter ID of each file is that of the logged-in user's organization.
- The entire submission does not exceed 10 files or 5GB.

Failure to meet the specified requirements prevents the user from uploading the file via the Portal.

Once a file is successfully uploaded, the file is processed through the following phases, with feedback being provided via the Portal at each stage. See Download Feedback File below for details on retrieving feedback via the Portal.

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[8]

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.

7.1.2 Upload Data File

Entitled users may provide CAT data via the Portal by manually uploading data and metadata files. The following information provides details on how to upload and submit files via the Portal. For details on the expected format and content of the files, see the CAT Industry Member Technical Specifications.

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

To upload one or more data files:

1. Click **Report to CAT**.

2. Click the **File Upload** tab.

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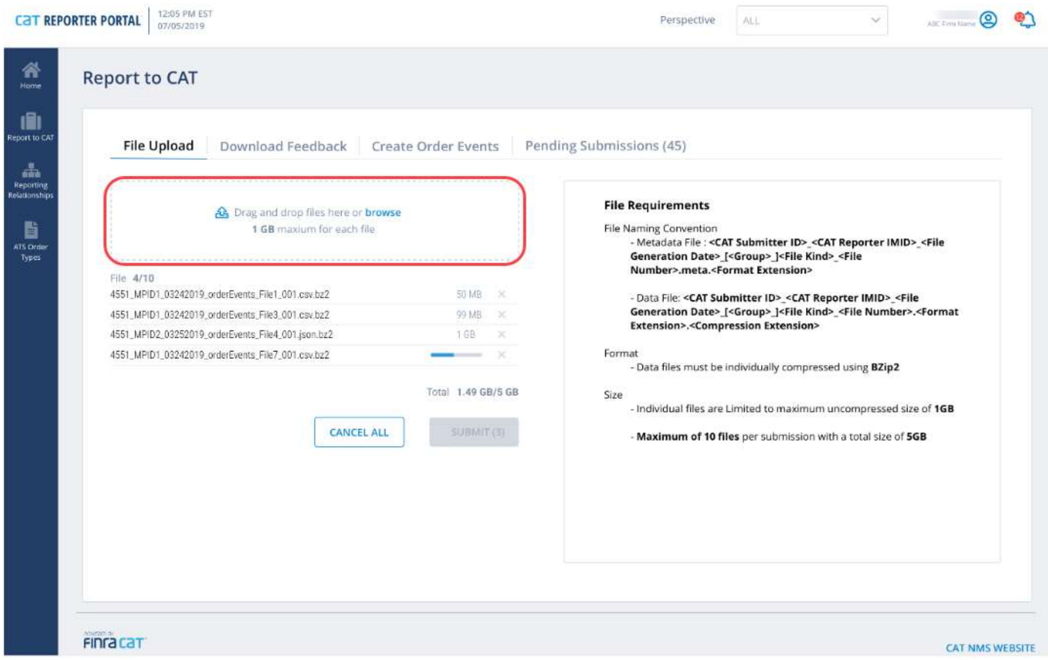
[8] Linkage discovery will be implemented at a later time.

3. Drag-and-drop or use the **browse** functionality to select the file(s).



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

If any file acknowledgment errors are found, the corresponding error messages are displayed. Correct the error(s) and follow the steps above to upload the corrected file(s). See File Upload Specifications above for the list of file acknowledgement validations.

Once the files are successfully uploaded, each file goes through file integrity validation and data ingestion. Users may access any corresponding feedback via the Download Feedback File functionality.

7.1.3 Download Feedback File

Entitled users may download file feedback via the Portal. **Feedback may only be downloaded for data files that were uploaded via the Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).**

Feedback files include:

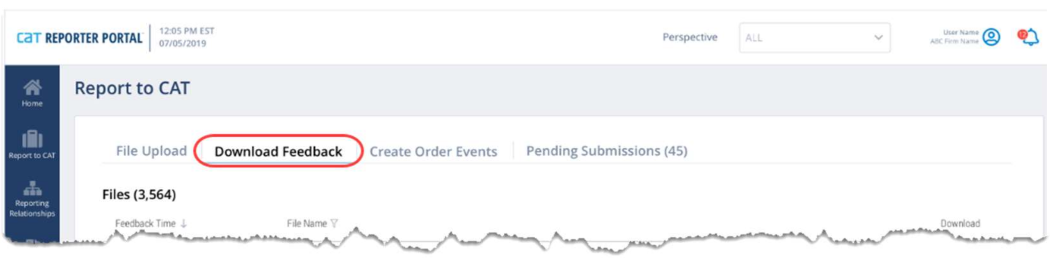
File Extension	Description
.integrity	Provides metadata about the file and indicates the success or failure of data integrity validations for the file. If data integrity validation failed, each error is provided, identified by an Error Code. See **Appendix E: E.1 File Integrity**

	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 exist.
.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.

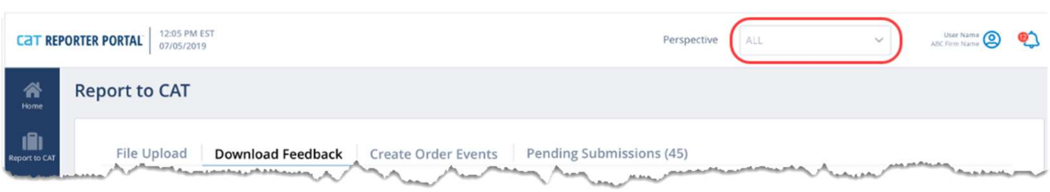
To <u>download</u> a feedback file:

1. Click **Report to CAT**.

2. Click the **Download Feedback** tab.



3. Optionally select a data perspective.



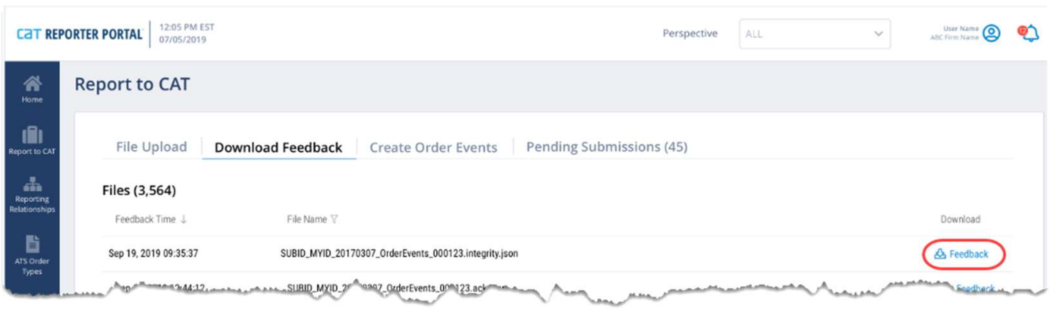
- The **Reporter** perspective provides access to the feedback for each file uploaded via the Portal for the user's firm, including those uploaded by the firm and those uploaded by another organization on behalf of the firm.

- The **Submitter** perspective displays the statistics for all data submitted by the user's organization, including data submitted as a CAT Reporter and data submitted on behalf of another organization.

- The **All** perspective provides access to the feedback for all files submitted by or on behalf of the user's organization.

For additional details on data perspectives, see §4. Data Perspectives.

4. Click Feedback to download the corresponding file.



Download the feedback file using the internet browser functionality. Each feedback file is provided in a format corresponding to the uploaded format (CSV or JSON).

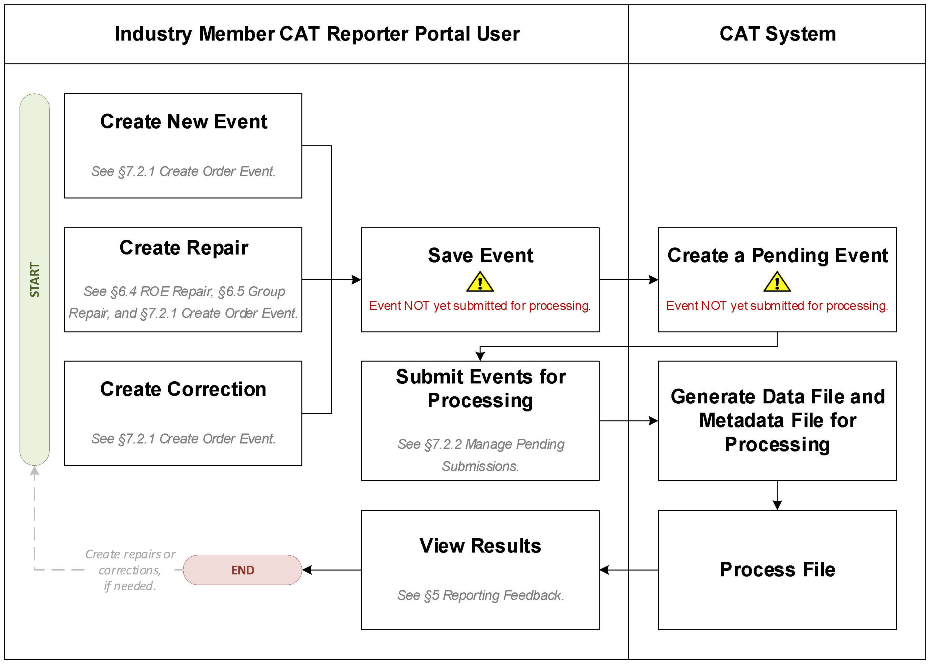
Users may optionally filter or sort the list of feedback files.

5. To **filter** the list, click for any column where filtering is available and make one or more selections.

6. To **sort** the list, click any Column Header where sorting is available to sort by that column.

7.2 Manually Report Data to CAT

The Portal allows users to manually generate events by using a data entry screen to provided the event information. Manual submission of a new event via the portal is a two-step process. The user must first *create/save* the event and then *submit* it, as shown in the following diagram.

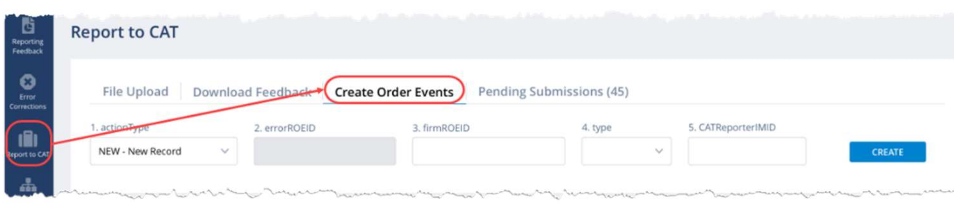


7.2.1 Create Order Event

The Portal allows users to manually report data to CAT using the Create Order Event screen.

To create an order event:

1. Select **Report to CAT > Create Order Events**.



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

Prior to entering the full details of the event, basic event information must be provided, incuding:

- **Action Type:** The type of event being created. This includes: New, Correction, Delete, or Repair

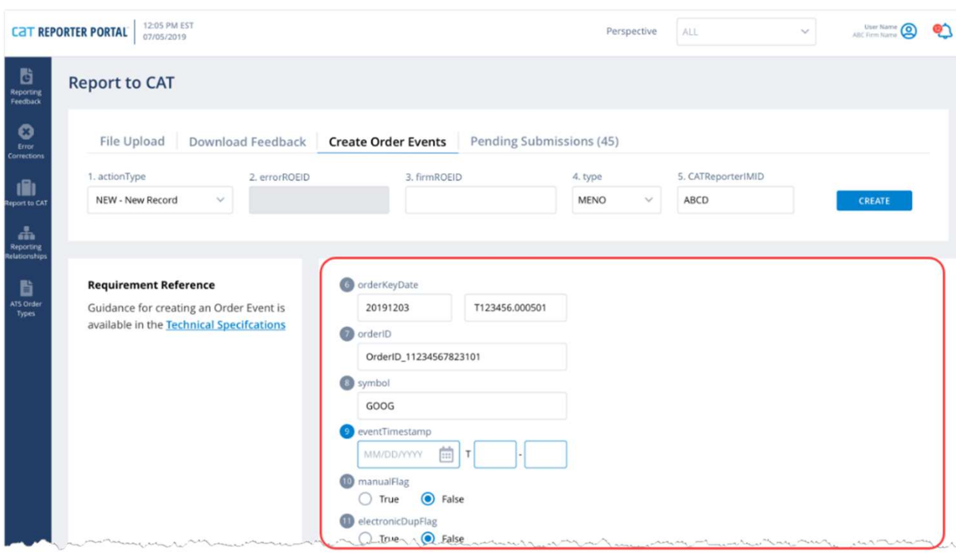
- **Error ROE ID:** The CAT-assigned unique identifier for an error record. This field is required only when Action Type is “Repair”. Either this field or Firm ROE ID is required when Action Type is “Delete”.

- **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.

- **Reporter IMID:** (Optional) The CAT Reporter-IMID for the event. Note that available IMIDs depend on the selected data perspective. For details, see §4 Data Perspectives. IMIDs are available for up to 90 days after expiration.

3. Provide additional details for the event.



Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validation will be 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.

4. Click **Submit**.

⚠ **The event will be added to the list of Pending Submissions. Once all desired events have been entered, proceed to the Pending Submissions page 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 §7.2.2 Manage Pending Submissions for details.

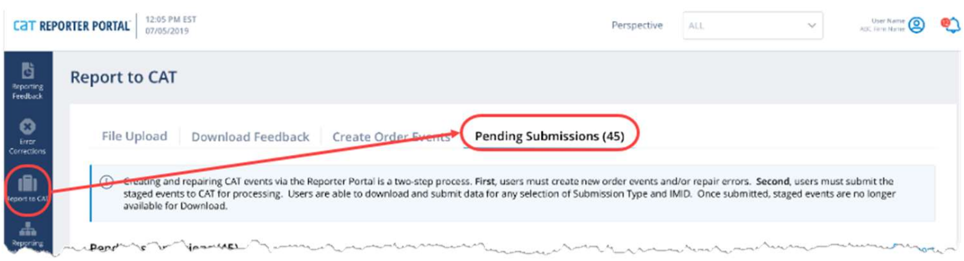
7.2.2 Manage Pending Submissions

All repair and event records initiated by the organization via the Portal are collected in Pending Submissions. This includes all records created via ROE Repair, Group Repair, and Create Order Event functionality. Note that records created by a submitter on behalf of the organization cannot be viewed in Pending Submissions for the organization.

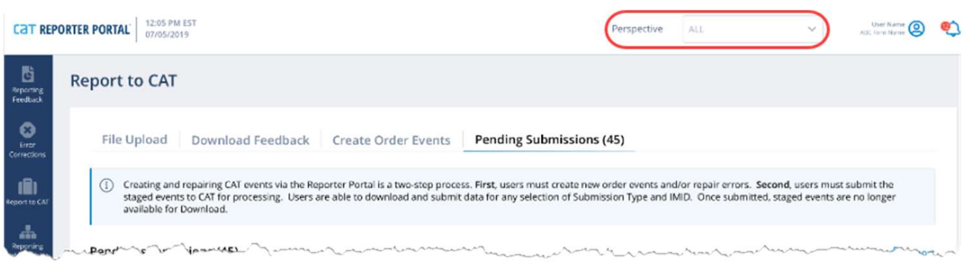
ALL RECORDS AND EVENTS INITIATED VIA THE PORTAL MUST BE FULLY SUBMITTED VIA PENDING SUBMISSIONS BEFORE BEING PROCESSED BY CAT. RECORDS ARE AVAILABLE VIA PENDING SUBMISSION FOR 30 CALENDAR DAYS FROM THE DATE OF CREATION.

To view pending submissions:

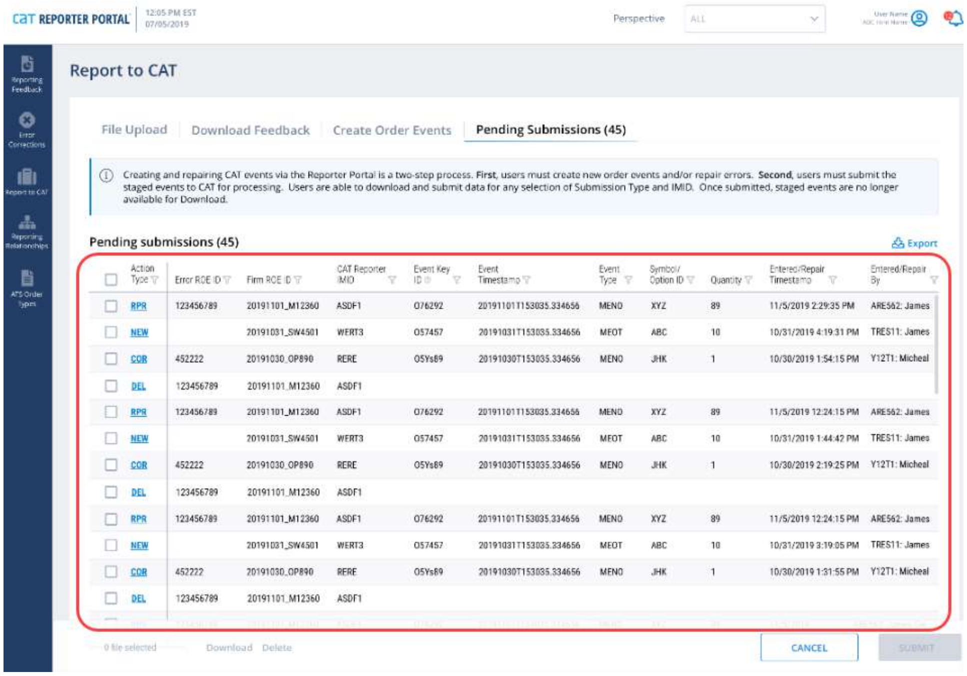
1. Select **Report to CAT > Pending Submissions**.



2. Optionally select a data perspective. (See §4 Data Perspectives for details.)

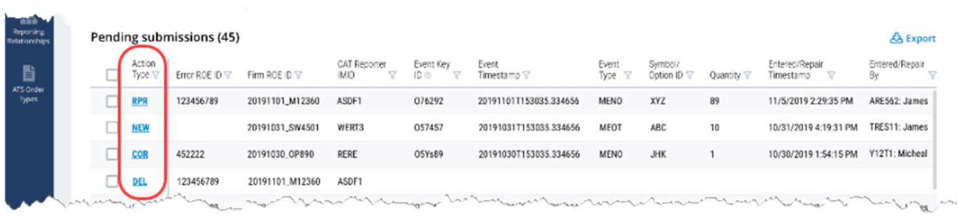


3. Review the list of pending submissions.

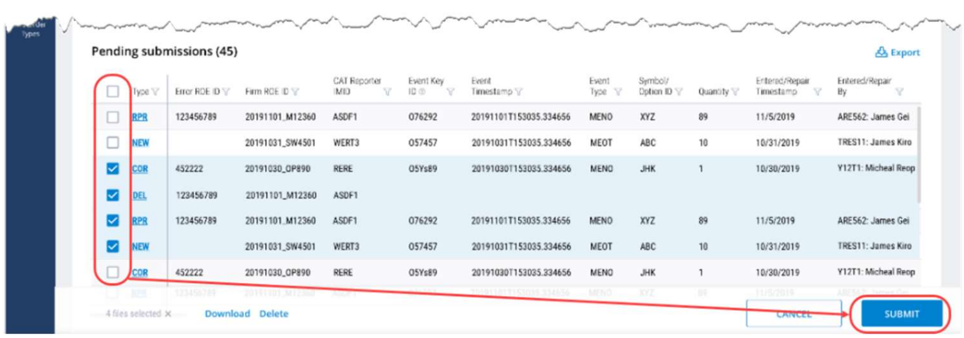


From this page, the user may edit, submit, delete, download, or export records. **If desired, information must be downloaded or exported *prior to* submitting or deleting the pending submission. Once a pending record has been submitted or deleted, it will no longer be available in the Pending Submissions list.**

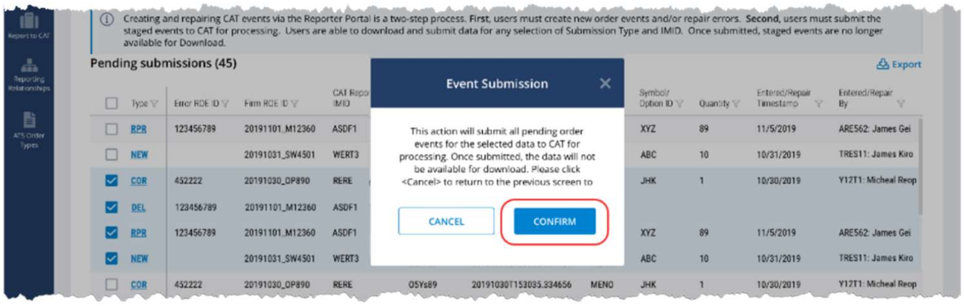
4. To **edit** a pending record, click the Type hyperlink to open the Order Event screen and make any necessary changes.



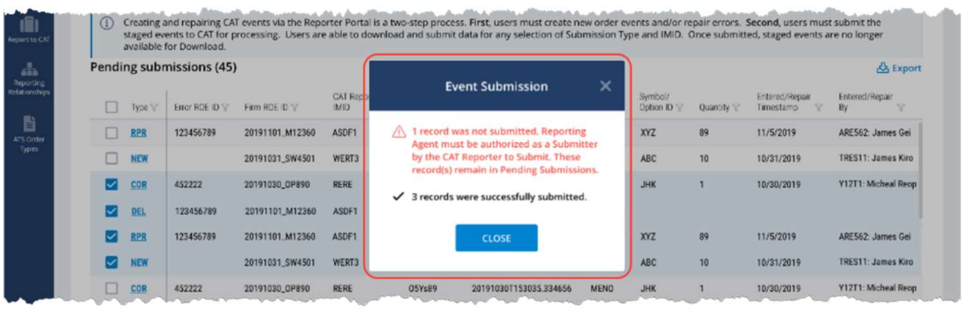
5. To **submit** pending records, select the checkbox for the record(s) and click **Submit**.



a. Click **Confirm.**



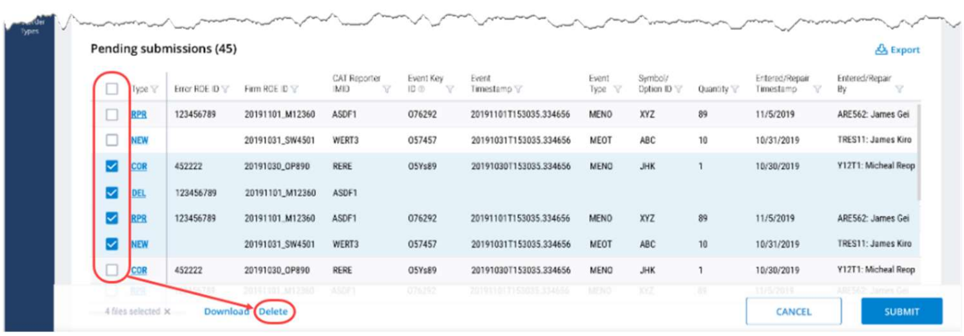
b. Review the results of the submission.



CAT presents a confirmation message and indicates if any errors were encountered that prevented submission of one or more selected record. Records that were not able to be submitted will remain on the Pending Submission list for further action.

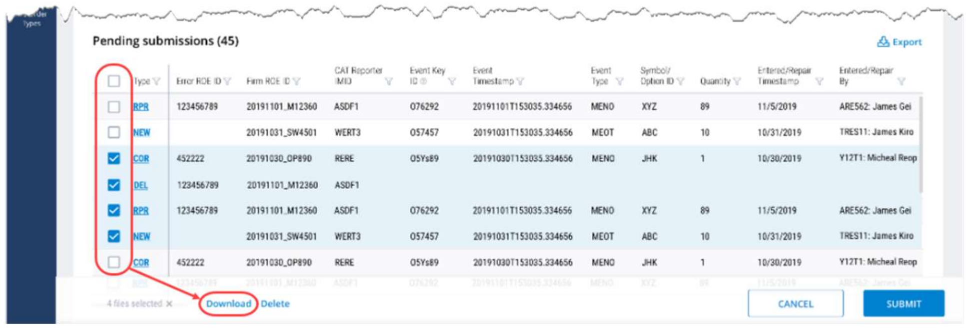
c. Click **Close**.

6. To **delete** pending records, select the checkbox for the record(s) and click **Delete**.



The select record(s) will be removed from pending submission and deleted from the system.

7. To **download** pending records, select the checkbox for the record(s) and click **Download**.



All selected records will be downloaded in a format that matches the machine-to-machine file submission format. **A maximum of 10,000 records may be downloaded at one time.**

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

8 Reporting Relationships

A CAT Reporting Relationship establishes a link between a CAT Reporter and a Submitter for purposes of transmitting and viewing CAT data. A relationship is comprised of:

- **One CAT Reporter.** This identifies the firm that is required to submit data to CAT and for which data may be transmitted and viewed.
- **One IMID.** This identifies the IMID for the CAT Reporter for which data may be transmitted and viewed.
- **One Submitter**. This identifies the organization that may transmit and view data on behalf of the CAT Reporter/IMID.
- **One <u>optional</u> Third-Party Reporting Agent**. When provided, this identifies the organization that may view transmitted data and initiate corrections to that 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 or able to establish a self-reporting relationship.

Information regarding the creation, management, and use of CAT Reporting Relationships via the Portal is provided below.

8.1 Usage of Reporting Relationships

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

A reporting relationship allows the Third-Party Reporting Agent to view transmitted data and initiate corrections to that data on behalf of the CAT Reporter.[9] **A Third-Party Reporting Agent may only view and initiate corrections on data if the Third-Party Reporting Agent was designated upon submission of that data.**

[9] A Third-Party Reporting Agent may initiate corrections; however, unless the Third-Party Reporting Agent also has a relationship with the CAT Reporter IMID as a Submitter, it may not submit the corrections.

As an example, consider the following reporting relationships for Firm **999: ABC Securities**.

CAT Reporter IMID	**Submitter**	**Third-Party Reporting Agent**	**Permissions**
ABCD	123		**123** can transmit data and view corresponding feedback on behalf of **999/ABCD**.
ABCD	123	456	**123** can transmit data and view corresponding feedback on behalf of **999/ABCD**. **456** may *optionally* be identified as the Third-Party Reporting Agent. **456** can view feedback and initiate corrections on behalf of **999/ABCD** for data transmitted where **456** was identified as the Third-Party Reporting Agent during submission.
ABCD	456		**456** can transmit data and view corresponding feedback on behalf of **999/ABCD**.

A CAT 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. Similarly, any data provided by a Submitter on behalf of a CAT Reporter that designates a Third-Party Reporting Agent where an active reporting relationship does not exist for the CAT Reporter, Submitter, and Third-Party Reporting Agent at the time of submission is rejected.

When a relationship expires, the Submitter and Third-Party Reporting Agent may still view any data that was submitted while the relationship was active. However, they can no longer submit corrections to that data.

8.2 Reporting Relationship Fields, Rules, and Validations

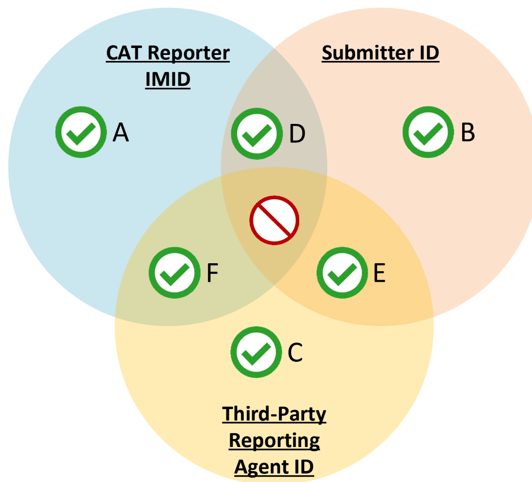
Each CAT Reporting Relationship includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT Reporter IMID	The SRO-assigned identifier[10] that a Firm uses to report information to CAT.	Yes	Dropdown Selection	Selection includes all IMIDs for the CAT Reporter, per the IMID List.
Submitter	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter, unless a Third-Party Reporting Agent is also identified. [11] Must not be the same as the Third-Party Reporting Agent.
Third-Party Reporting Agent	The CRD Number for the Third-Party Reporting Agent.	No	Dropdown Selection	Must not be the CRD Number of the CAT Reporter. Must not be the same as the Submitter.
Effective Date	The first date on which the Reporting Relationship is available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the Reporting Relationship is available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

[10] Examples of SRO-assigned identifiers include FINRA MPIDs, Nasdaq MPIDs, NYSE Mnemonics, CBOE User Acronyms, and CHX Acronyms.
[11] To allow a Third-Party Reporting Agent to act on behalf of a self-reporting firm, a relationship must be established listing the Firm as the Submitter and designating the Third-Party Reporting Agent. The system does NOT accept a relationship that lists the self-reporting Firm as the Submitter and does not designate a Third-Party Reporting Agent.

8.3 Duplicate and Overlapping 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, Submitter, and Third-Party Reporting Agent 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 and Third-Party Reporting Agent ID.
B. The same Submitter ID but a different CAT Reporter IMID and Third-Party Reporting Agent ID.
C. The same Third-Party Reporting Agent ID but a different CAT Reporting IMID and Submitter ID.
D. The same CAT Reporter IMID and Submitter ID but a different Third-Party Reporting Agent ID.[12]
E. The same Submitter ID and Third-Party Reporting Agent ID but a different CAT Reporter IMID.
F. The same CAT Reporter IMID and Third-Party Reporting Agent but a different Submitter ID.

Relationships with the same CAT Reporter IMID and Submitter ID and Third-Parting Reporting Agent require further review. In such cases, CAT uses the Effective and Expiration Dates to determine if the

[12] When a relationship with a Third-Party Reporting Agent exists, the Submitter for the relationship has the ability to submit data on behalf of the CAT Reporter without designating the Third-Party Reporting Agent. This inherently gives the Submitter the ability to act on behalf of the CAT Reporter, thereby mimicking a relationship with the CAT Reporter IMID and Submitter without the Third-Party Reporting Agent being identified. The system prevents the creation of such relationships.

Specifically, if the relationship with the Third-Party Reporting Agent is created first, a user may not create a subsequent relationship with the same IMID and Submitter and no Third-Party Reporting Agent. However, if the relationship without the Third-Party Reporting agent is created first, a user may subsequently create other relationships with the same Submitter and a Third-Party Reporting Agent. The system permits the creation of two such relationships on the same day only.

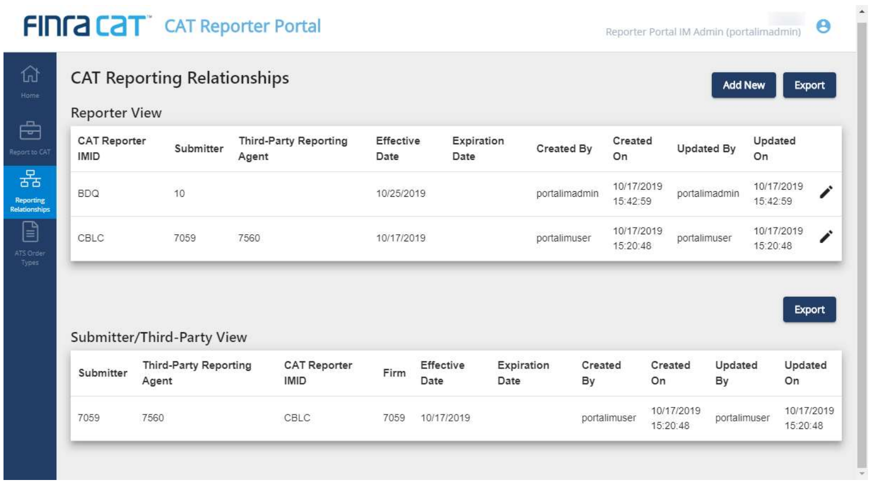
relationships are duplicative. The user may proceed when the date ranges of the two relationships do not overlap or meet.

8.4 View and Export CAT Reporting Relationships

To view all Reporting Relationships for the Firm:

1. Click **Reporting Relationships** on the left-hand navigation panel.

2. All relationships for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.



Reporting relationships are displayed in two categories:

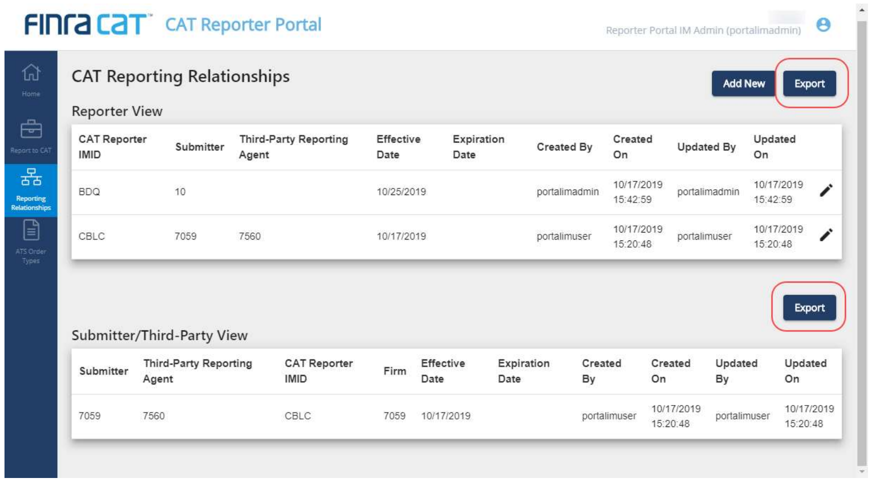
- The **Reporter View** displays all relationships where the user's firm is the CAT Reporter. This is the list of Submitters and Third-Party Reporting Agents that have been authorized by the user's firm to act on its behalf. These relationships have been created by and must be managed by the user's Firm.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

Users may optionally filter, sort, or export the Reporting Relationships. The *Reporter View* content and the *Submitter/Third-Party View* content must be filtered, sorted, and exported separately.

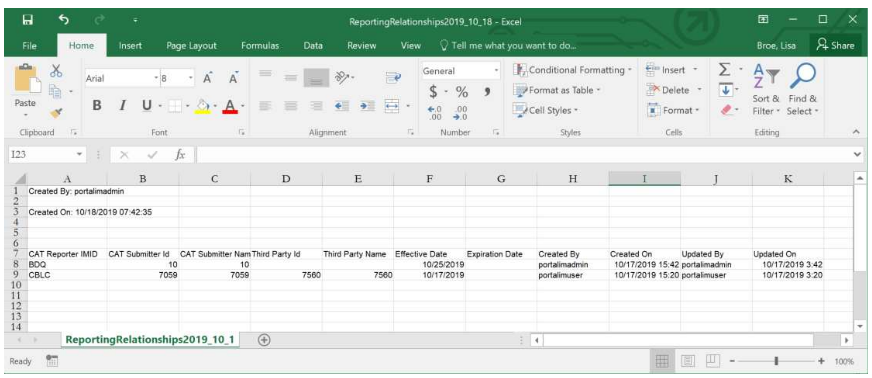
3. To **filter** a list, click for any column and make one or more selections.

4. To **sort** a list, click any Column Header to sort by that column.

5. To **<u>export</u>** a list, click **Export** for the corresponding view. 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.

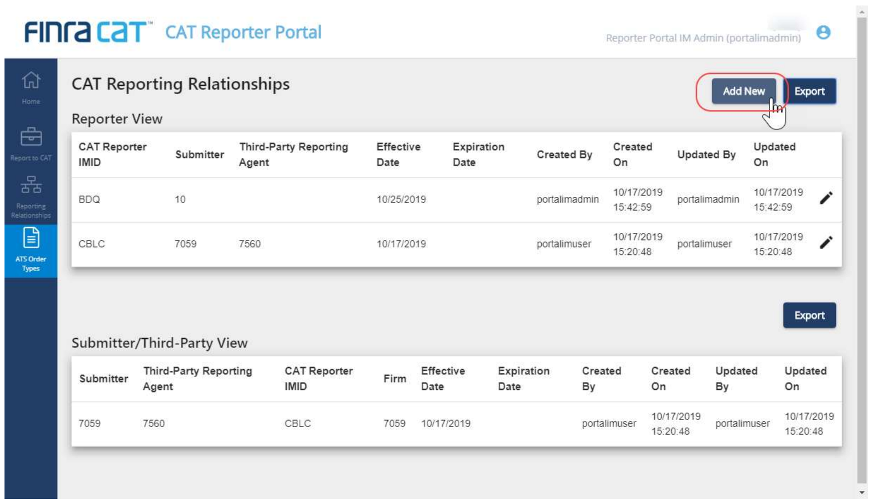


8.5 Add a CAT Reporting Relationship

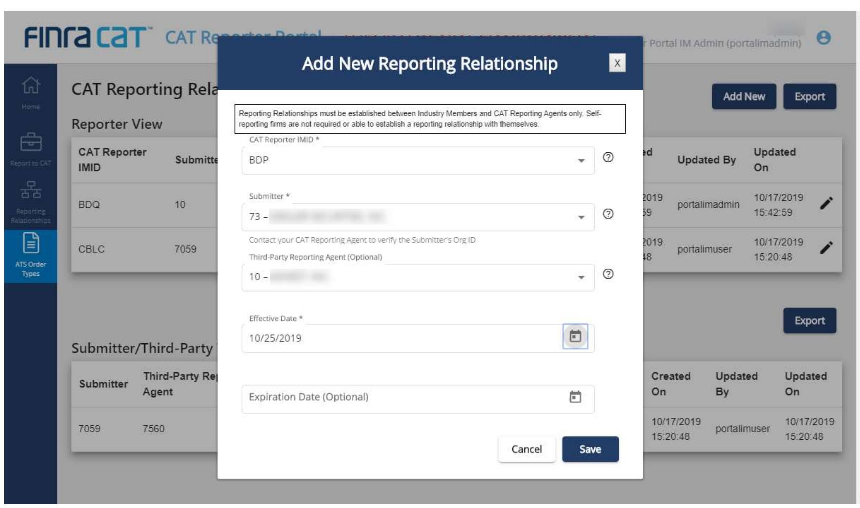
The CAT Reporter must create a CAT Reporting Relationship before the Submitter or Third-Party Reporting Agent is able to act on its behalf.

To add a new CAT Reporting Relationship:

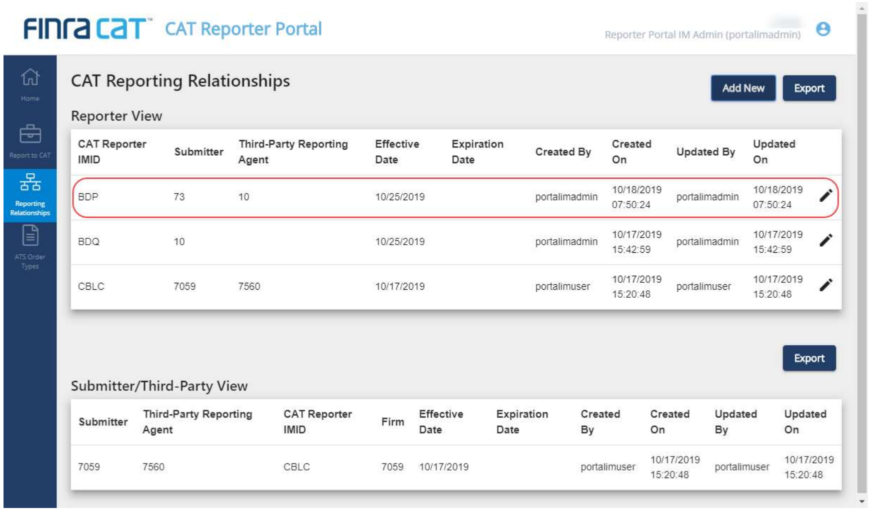
1. Click **Add New**.



2. Enter the details for the relationship. See Reporting Relationship Fields, Rules, and Validations above for details on field requirements, formats, and validations.



3. Click **Save**. The new relationship is displayed on the *Reporter View* list.



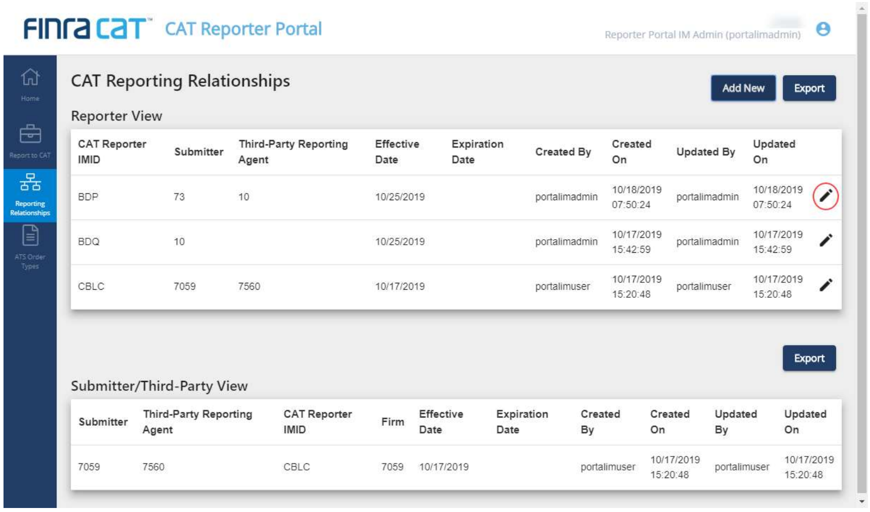
8.6 Manage Existing Reporting Relationships

A relationship may be edited as follows:

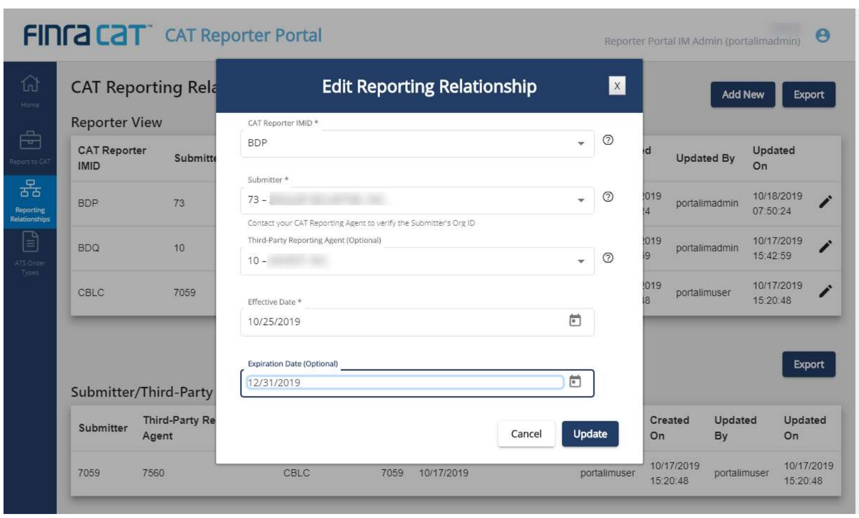
- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To <u>edit</u> a non-expired CAT Reporting Relationship:

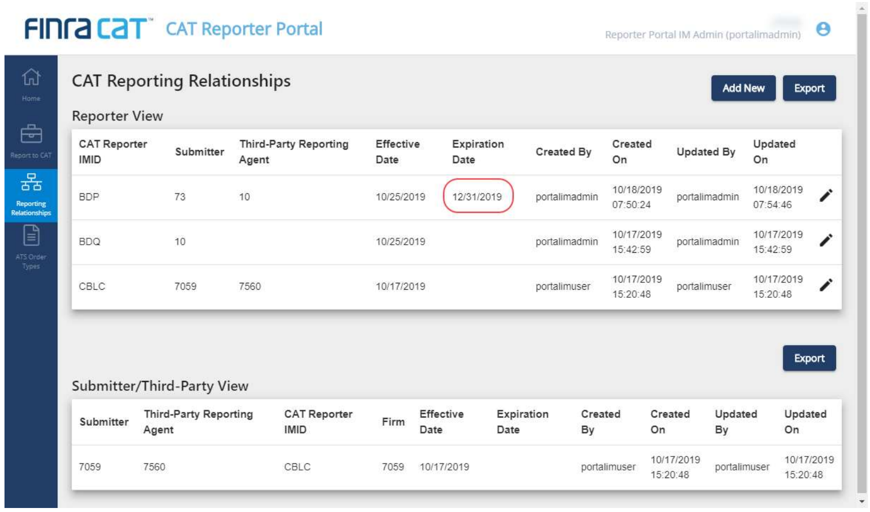
1. Click ✎ for the relationship on the *Reporter View* list.



2. Make the desired update(s). See Reporting Relationship Fields, Rules, and Validations above for details on field requirements, formats, and validations.



3. Click **Update**. The updated information is displayed on the *Reporter View* list.



8.7 Invalidation of an IMID

A CAT 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 Reporting Relationships for that IMID are no longer valid. All organizations designated as a Submitter and/or Third-Party Reporting Agent for that IMID may no longer transmit data under that relationship. The Submitter and Third-Party Reporting Agent may continue to view data that was submitted while the IMID was valid; however, they can no longer submit corrections to that data.

9 ATS Order Types

The CAT Industry Member Technical Specifications require Industry Members operating an Alternative Trading System (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 should register an ATS Order Type with CAT at least 20 days prior to the effective date.**

Information regarding the creation and management of ATS Order Types via the Portal is provided in the following sections.

9.1 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.

9.2 ATS Order Type Fields, Rules, and Validations

Each ATS Order Type includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT Reporter IMID	The SRO-assigned identifier[13] that a Firm uses to report information to CAT for the ATS.	Yes	Dropdown Selection	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.	Yes	Text	Maximum of 40 characters.
Description	The user-provided description.	Yes	Text	Maximum of 500 characters.
Effective Date	The first date on which the ATS Order Type is accepted for submission.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.

[13] Examples of SRO assigned identifiers include FINRA MPIDs, Nasdaq MPIDs, NYSE Mnemonics, CBOE User Acronyms, and CHX Acronyms.

Field	Field Description	Required	Format	Rules/Validations
Expiration Date	The last date on which the ATS Order Type is accepted for submission.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

9.3 Duplicate and Overlapping ATS Order Types

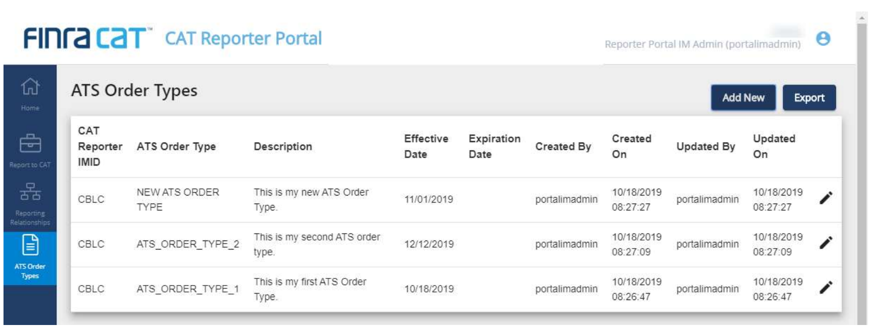
To ensure data integrity, CAT does not allow two order types to duplicate one another. When determining two order types would be duplicative, CAT considers the CAT Reporter IMID and the ATS Order Type as well as the Effective and Expiration Dates.

Order types that share <u>one</u> of the two primary data points are not duplicative. Two order types may have the same CAT Reporter IMID <u>or</u> the same ATS Order Type. However, order types with the same IMID <u>and</u> 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.

9.4 View and Export ATS Order Types

To <u>view</u> all ATS Order Types for the Firm:

1. Click **ATS Order Types** on the left-hand navigation panel.
2. All ATS Order Types for the Firm are displayed, including those that are currently active, have a future effective date, are pending expiration, or have already expired.

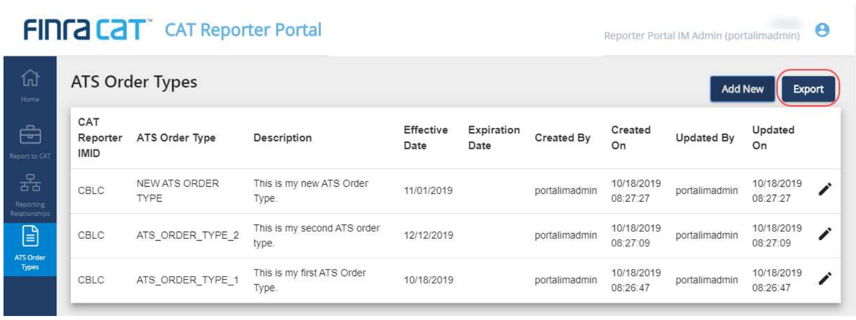


Users may optionally filter, sort, or export the ATS Order Types.

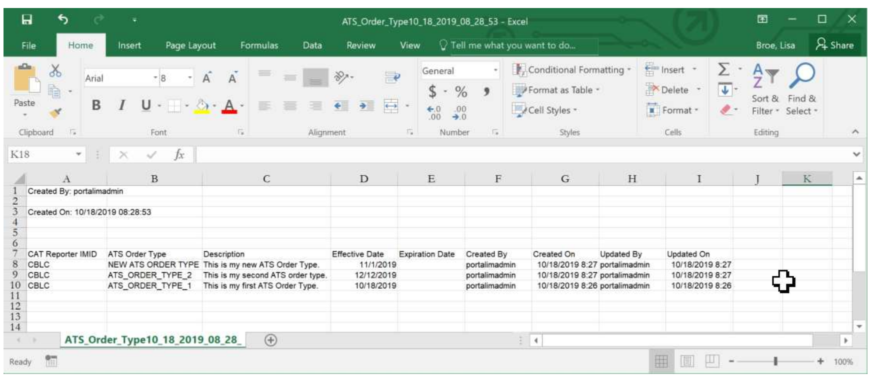
3. To **<u>filter</u>** the list, click for any column and make one or more selections.

4. To **sort** the list, click any Column Header to sort by that column.

5. 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.



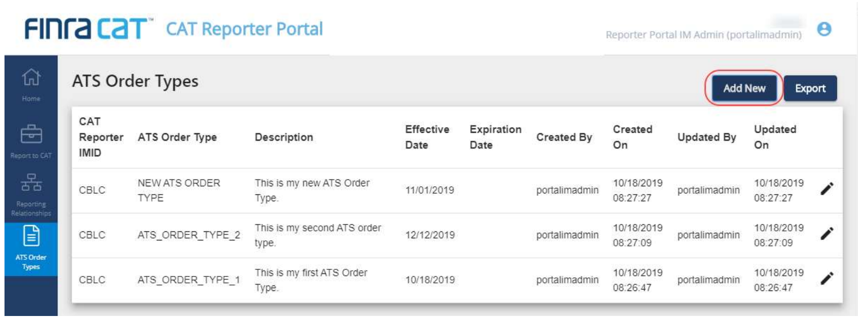
9.5 Add an ATS Order Type

An ATS Order Type must be entered into CAT at least 20 days prior to the effective date.[14]

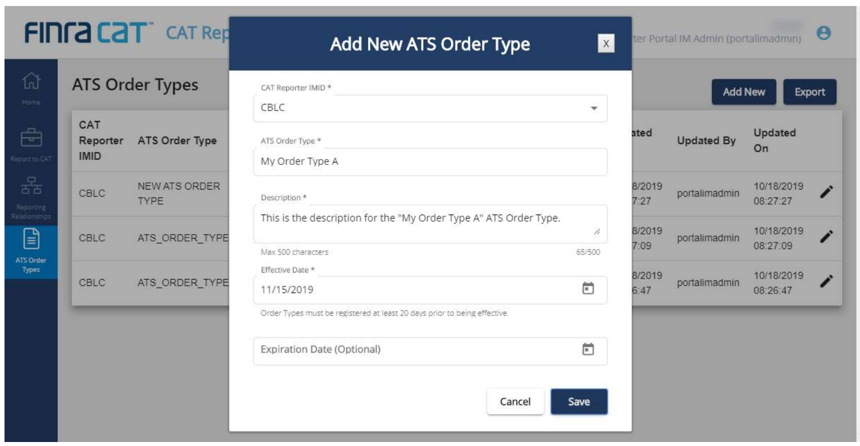
To add a new ATS Order Type:

1. Click **Add New**.

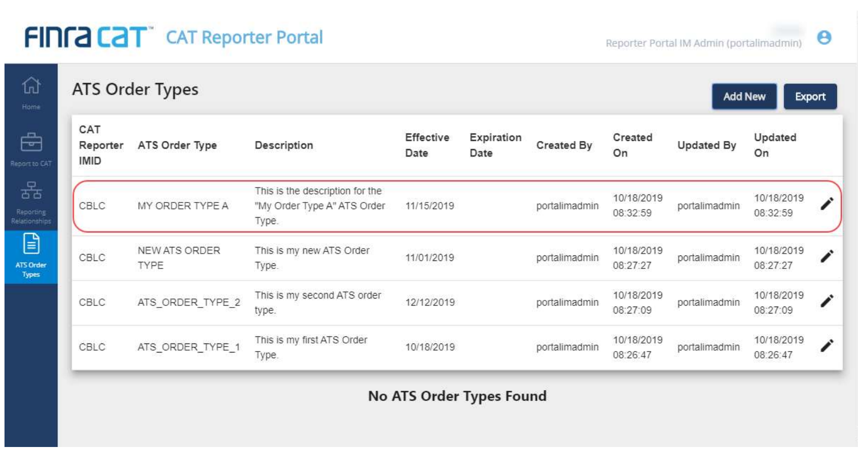
[14] The ATS Order Type should be created at least 20 days prior to the Effective Date pursuant to FINRA rules. An ATS Order Type may be created with an Effective Date that is equal to or greater than the current date, even if it within the next 20 days.



2. Enter the details for the order type. See [ATS Order Type Fields, Rules, and Validations]() above for details on field requirements, formats, and validations.



3. Click **Save**. The new order type is displayed on the list of ATS Order Types.



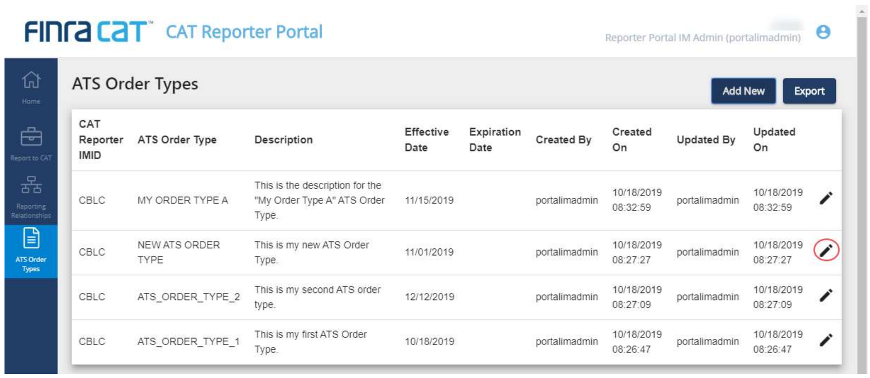
9.6 Manage Existing ATS Order Types

An order type may be edited as follows:

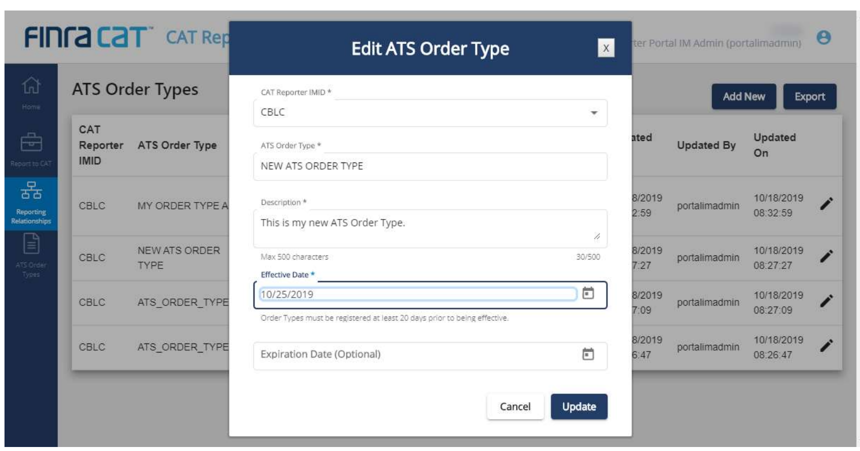
- For a **future-dated order type** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active order type** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), the *Expiration Date* and *Description* may be edited.
- For an **expired order type** (where the *Expiration Date* is before the current date), no fields may be edited.

To <u>edit</u> a non-expired ATS Order Type:

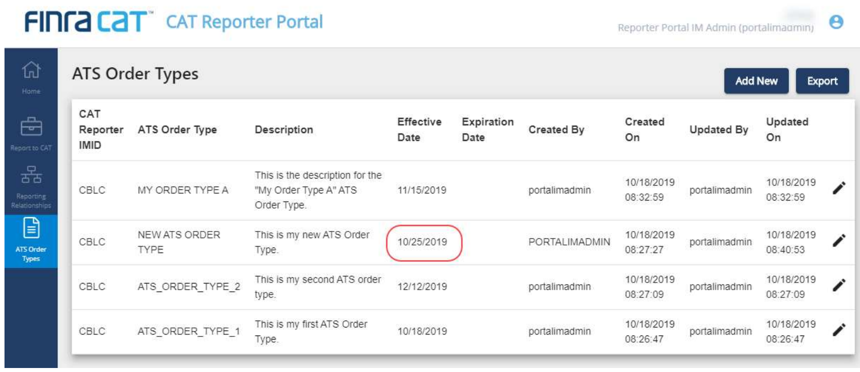
1. Click ✏ for the order type.



2. Make the desired update(s). See [ATS Order Type Fields, Rules, and Validations]() above for details on field requirements, formats, and validations.



3. Click **Update**. The updated information is displayed on the ATS Order Types list.



9.7 Invalidation of an IMID

An ATS Order Type is only valid as long as the corresponding CAT Reporter IMID is valid. 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 submitted with that ATS Order Type are rejected.

10 Administrative Information

March Industry Test Cycle: Announcements and System Status

10.1 Announcements

10.2 System Status