FINRA CAT Open Issues List – Last Updated 2/3/2020

#	Status	Error Code	Summary	Resolution	Workaround	Targeted Release Date	Area
1	Open	N/A	FINRA CAT Network Team is assisting some firms with additional details related to their use of IP proxy based access. FINRA CAT is updating the Connectivity Supplement with additional firewall and URL information in support of Industry member's use of IP Proxy based access. These details are also provided in the Appendix of the 12/17 Industry Release Checkpoint Presentation.	Documentation Update	N/A	N/A	Network
2	Open	Multiple	FINRA CAT is accepting the following scenario instead of rejecting - Future dates in some fields.	Under Review	None	N/A	Validations
3	Open	2133	For Name/Value Pair Data type fields, providing a value that is not in allowable values list returns error code 2133 (Additional Field) instead of error code 2101 (Missing or Invalid *timeInForce*)	Under Review	None	N/A	Validations
4	Open	N/A	Metadata File Rejection count does not correctly count all metadata rejection scenarios.	Code Release	None	2/24/2020	Statistics
5	Open	2098	Equity symbols expiring intra-day rejecting as invalid.	Code Release	None	2/24/2020	Validations
6	Open	2036	*handlingInstructions* value of 'RAR' (optional for 2a) rejecting as invalid.	Code Release	None	2/24/2020	Validations
7	Open	2122	Incorrect error code is generated when an array field (eg: clientDetails) is provided as a Name/Value pair.	Under Review	None	N/A	Validations

#	Status	Error Code	Summary	Resolution	Workaround	Targeted Release Date	Area
8	Open	2142	Space in multi-dimensional array field not treated as blank. For E.g space in aggregatedOrders when representativeInd is populated as 'YF', 'YE' or 'N' - Rejecting as Invalid aggregatedOrders.	Under Review	None	N/A	Validations
9	Open	2043	manualOrderID (optional for 2a) blank – Rejecting as Invalid manualOrderID when electronicDupFlag is populated as true.	Under Review	None	N/A	Validations
10	Open	N/A	Intermittently missing a few feedback files.	Under Review	None	2/5/2020	Validations
11	Open	2153	Isolated instances of data file not readable error for well-formed JSON data files.	Under Review	None	N/A	Validations
12	Open	2048	For ATS firms, <BLANK> nbboTimestamp if nbboSource = NA rejecting as invalid.	Under Review	None	N/A	Validations

FINRA CAT Closed Issues List – Last Updated 2/3/2020

#	Status	Error Code	Summary	Resolution	Workaround	Release Date	Area
1	Closed	N/A	CAT Reporters were unable to upload files when they are east of the GMT time zone.	Code Release	None	12/16/2019	File Submission
2	Closed	2031	MEOT Records with <BLANK> Firm Designated ID rejecting as invalid.	Code Release	None	12/19/2019	Validations
3	Closed	1107	Metadata file rejecting as "Not Readable" when the last delimiter is missing in CSV.	Code Release	None	12/19/2019	Validations

#	Status	Error Code	Summary	Resolution	Workaround	Release Date	Area
4	Closed	Multiple	Allowable values included in latest Technical Specification 2.2.1 r2 need to be updated in Industry Test.	Code Release	None	12/19/2019	Validations
5	Closed	N/A	Acknowledgement Feedback Files only include base filename. Per specification, acknowledgements should include the full filename.	Code Release	None	12/19/2019	Validations
6	Closed	2156	FINRA CAT is accepting the following scenario instead of rejecting - Values populated in 'Reserved for Future Use' fields.	Code Release	None	12/19/2019	Validations
7	Closed	N/A	FINRA CAT experienced an SFTP connectivity issue on December 18, 2019 at 9:37 p.m. to December 19 at 11:05 a.m. CAT Reporters were unable to submit via SFTP during this time period; however, Manual File Upload via the CAT Reporter Portal was not impacted.	Configuration Change	None	N/A	File Submission
8	Closed	Multiple	FINRA CAT is accepting the following scenario instead of rejecting - Equity events where the representative indicator or the fulfillment link type value is 'O'.	Code Release	None	1/7/2020	Validations
9	Closed	2091	FINRA CAT is accepting the following scenario instead of rejecting - Route Event with Destination Type of 'E' or 'F' and Sender IMID of <BLANK>.	Code Release	None	1/7/2020	Validations

#	Status	Error Code	Summary	Resolution	Workaround	Release Date	Area
10	Closed	N/A	For Name/Value Pair Data type fields providing a null value for a required field such as timeInForce of 'GTD' with a value of null instead of expiration date causes ingestion processing issues.	Code Release	None	1/7/2020	Validations
11	Closed	1121	Metadata file having base file name of data file instead of the full file name does not generate time out error on data file.	Code Release	None	1/7/2020	Validations
12	Closed	2098	Reference Data timing issue with equity symbols that became effective on the day of event submission.	Code Release	None	1/9/2020	Validations
13	Closed	2008	ATS Order Types created via the Reporter Portal are being capitalized. This will result in invalid ATS Order Type rejections as validations are case sensitive.	Code Release	None	1/12/2020	Reporter Portal