

Industry Member CAT Reporter Portal

User Guide

06/05/2020

Version 1.1

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Change Log

Version	Date Published	Description of Change(s)
0.1	11/04/2019	User Guide published to Industry Members.
0.2	12/02/2019	Added content for December Industry Test cycle, including:
		Basic Statistics
		File Upload
		Feedback Download
0.3	02/10/2020	Added content for February Industry Test cycle, including:
		Reporting Summary
		Event Type Counts
		File Status
		Error Summary
		Error Search
		Group Repair
		Error Correction
		Create CAT Event
		Pending Submissions
0.4	03/10/2020	Updated existing content, including:
		Replacing screen shots throughout.
		 Clarifying functionality in the Pending Submissions list with respect to the ability to submit, delete, and download records.
		Added content for March Industry Test cycle, including:
		Announcements
1.0	04/20/2020	Updated existing content in preparation for production go-live, including:
		 Replaced outdated screen shots in Reporting Feedback and Error Corrections sections.
		Removed export references from Error Summary screen.
		 Replaced outdated screen shots in Reporting Relationship and ATS Order Types sections.
		 Updated content in Reporting Relationships and ATS Order Types sections to better align with the format of the rest of the document.
		Updated links to CAT NMS site with new URLs.
		 Update version number to align major versions of this user guide with production releases.
		Changes are primarily cosmetic and do not impact the overall function of the CAT Reporter Portal.
		Updated existing content for testing environment, including:
		Provided intrafirm linkage statistics on the Reporting Summary.
1.1	06/05/2020	Updated content for June 1, 2020 release, including:
		Replaced screen shots in Reporting Feedback section.

Added Error Code Counts content.

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 <u>help@finracat.com</u>.

IMPORTANT NOTE ABOUT THE CONTENT OF THIS USER GUIDE

This user guide is applicable to functionality available in both the Testing (CT) and Production environments. At times, information may be provided for functionality available in CT that is not yet been released into Production. Such information is clearly marked.

Companion Documents

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

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 <u>Industry Member Onboarding Guide</u> 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)	х		
View/Export Feedback (including announcements, reporting statistics, and error feedback)	Х	Х	Х
View Reporting Relationships and ATS Order Types	Х	Х	Х
Create/Edit Reporting Relationships	Х	Х	
Create/Edit ATS Order Types	Х	Х	
Create/Transmit data	Х	Х	
Repair CAT Errors (including group repairs)	х	Х	
Create/Edit User Preferences	Х	Х	
Upload Data File (via Portal)	Х	Х	
Download Feedback	Х	Х	Х
View Monthly Report Card	Х	Х	Х

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

<u>https://www.catnmsplan.com/registration</u> 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:

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

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 Reporter 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 perspective¹, 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.

¹ 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 any single day within the previous 90 calendar days, including the current date.

To view reporting statistics for the organization:

1. Select Reporting Feedback.

CAT Repor	rter Portal 9:14 AM ES 05/28/2020			Pe	rspective Reporter -	θ 🍤
Reporting Feedback	porting Feedback					
Error	Reporting Summary	Event Type Counts	Error Code Counts	File Status		
8	Processing Date O T	Trade Date Product Type	IMID			
Reporting	5/15/2020	ALL	▼ ALL	* APPLY	RESET	

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

CAT Repor	ter Portal 9:14 AM EST 05/28/2020			Pe	Reporter	θ 🎭	
Reporting Reporting	porting Feedback						
Error Corrections	Reporting Summary	Event Type Counts	Error Code Counts	File Status			
a	Processing Date O Tra	de Date Product Type	IMID				
Report to CAT	5/15/2020	ALL	▼ ALL	APPLY	RESET		

3. Optionally edit the filter criteria and click Apply.

CAT Repo	rter Portal 9:14 AM				Perspective Reporter	*	θ 🍤
Reporting Feedback	porting Feedback						
Error	Reporting Summary	Event Type Counts	Error Code Counts	s File Status			
Corrections	Processing Date) Trade Date Product Ty	pe IMID				
Report to CAT	5/15/2020	ALL	▼ ALL	* APPLY	RESET		

If the user has applied filter criteria within the Portal, statistics are displayed per that criteria by default. Otherwise, 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 IMID² to view the corresponding statistics.

4. Review the basic statistics.

orting Feedback							
in this received							
Reporting Summary	Event Type Counts	Error Code Cour	nts File Status				
Processing Date) Trade Date Product Type	IMID					
5/15/2020	ALL ALL	* ALI	APPLY	RESET			
							å₽
2a/2b Compliance Er	rror Rate 🕲 🛛 🕹	5.6459% The CAT N	IMS Plan has set the initial Maxim	um Compliance Error Ra	te at 5%		
File Statistics	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metadata Files Received	Metadata Files Rejected	Invali
Show Details							
	1,250	625	623	2	625	0	
Accepted Events	Total Processed Events	Total Accepted	Accepted Late Late Rate C	Accepted OOS Events	Repaired OOS Events	Initial OOS Rate®	-
				Accepted OOS Events			-
	Total Processed Events	Total Accepted	Accepted Late Late Rate ©	Accepted OOS Events	Repaired OOS Events	Initial OOS Rate®	. 0.
Show Details	Total Processed Events 1,610	Total Accepted 7	Accepted Late Late Rate ©	Accepted OOS Events 0 Repaired Rep	Repaired OOS Events	Initial OOS Rate®	0.0 Adjusted Rejection Ra
Show Details	Total Processed Events 1,610 Total Rejections	Total Accepted 7	Accepted Late Late Rate @ 0 0.00001 tions Repairable Rejection	Accepted OOS Events 0 Repaired Rep	Repaired OOS Events 0 ections Initial F	Initial OOS Rate® 0.0000% Injection Rate ®	-
Show Details	Total Processed Events 1,610 Total Rejections	Total Accepted 7	Accepted Late Late Rate @ 0 0.00004 tions Reparable Rejection 0 444	Accepted DOS Events 0 Repaired Rej	Repaired COS Events 0 ections Initial F 16	Initial OOS Rate® 0.0000% Injection Rate ®	0.0 Adjusted Rejection Ra

CAT displays the following information for the specified filter criteria:

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

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

Aggregated **Event Submissions** statistics, which indicate the number of <u>events</u> processed, accepted, rejected, and repaired as well as the initial and adjusted OOS error rates.

Aggregated **Intrafirm Linkage** statistics, which indicates the number of events where intrafirm linkage was attempted; the number of events resulting in a linkage warning, a repairable OOS error, or a repairable linkage error; and the initial linkage error ate.

² The IMID dropdown includes all active IMIDs for the organization. When using the Submitter perspective, it also includes all IMIDs with which the organization has a current Reporting Relationship.

 To <u>view comprehensive statistics</u> displayed by IMID and Submitter ID, click Show Details for any section.

Rep	orting Feedback							Â		
	Reporting Summary Event Type	Counts Error Code Co	ounts File Status							
	Processing Date O Trade Date Pro	oduct Type II	ЛID							
	5/15/2020	File Statistics	ALL Valid Files	RESET Data Files Received	Data File: Accepted		Data Files Rejected	Metadata Files Received	Metadata Files Rejected	Invali
		Hide Details	1,250	625	623	1	2	625	0	
	2a/2b Compliance Error Rate 🕲	ASDF 151234	4	2	(2	2	0	
		CBLC 7059	1,246	623	623		0	623	0	
	File Statistics Value		Total Processed Events	Total Accepted	Accepted Late	Late Rate 🕲	Accepted ODS Events	Repaired OOS Events	Initial OOS Rate	,
	Accepted Events Total Processed Even	IMID Submitter ID	1,610	1,165	0	0.0000%	0	0	0.0000%	0.0
	Show Details	CBLC 7059	1,610	1,165	0	0.0000%	0	0	0.0000%	0.0
	Rejections Total	Rejections	Total Rejections	Full Duplicate Re	jections Repai	rable Rejections	Repaired Rejec	tions Initial R	lejection Rate	Adjusted Rejection R
		IMID Submitter ID	445		0	445		16	27.6397%	96.4
	Intrafirm Statistics	CBLC 7059	445		0	445		16	27.6397%	96.4
	Show Details	Intrafirm Statistics	Warnings	Linkage	Eligible Un	linked Events 🕲	Repaired Unl	inked Initial	Unlinked Rate 🔊	Adjusted Unlinked R
		Hide Details	0		0	0		0	N/A	

6. To <u>export</u> the statistics, click **Export**. Two separate files will be made available – one for file-level statistics and one for *event-level* statistics (including linkage information). Download the generated CSV files using the internet browser functionality.

AT Repo	orter Portal 9:24 AM 05/28/2			Perspectiv	Reporter	*	0 9
eporting redback	eporting Feedback						
Error	Reporting Summary	Event Type Counts	Error Code Counts	File Status			
a	Processing Date	Trade Date Product Type	IMID				
AT AT	5/15/2020	ALL	v ALL v	APPLY	RESET		
oorting Ionships							Export

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 any single day within 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 <u>§4 Data Perspectives</u> for details.)

CAT Rep	porter Portal 9:35 AM EST 05/28/2020		Perspective Reporter -	Θ 🔩
Reporting Feedback	Reporting Feedback			
Error	Reporting Summary Event Ty	e Counts Error Code Counts	File Status	
Corrections	Processing Date O Trade Date Processing Date	oduct Type IMID		
Report to CAT	5/1/2020	ALL V	APPLY RESET	
몲				≛ Export

3. Optionally edit the filter criteria and click Apply.

CAT Re	eporter Portal S33 AM EST S523/2020 Perspective Reporter •	θ 丸
Reporting Feedback	Reporting Feedback	
	Reporting Summary Event Type Counts Error Code Counts File Status	
Corrections	Processing Date Trade Date Product Type IMID	
Report to CAT	5/1/2020 🖆 ALL 👻 ALL 👻 APPLY RESET	
몲		± Export

If the user has applied filter criteria within the Portal, counts are displayed per that criteria by default. Otherwise, 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 IMID³ to view the corresponding event type counts.

4. Review the event type counts.

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

orter Portal 9:35 AM E 05/28/200			Perspect	Reporter	*			0
eporting Feedback								
Reporting Summary	Event Type Counts	Error Code Counts	File Status					
Processing Date O Tra	ade Date Product Type	IMID						
	**)			_				
5/1/2020	ALL ALL	✓ ALL ✓	APPLY RESET	<u> </u>				
5/1/2020	ALL	▼ ALL ▼	APPLY RESET	r				ΔΕκφοι
5/1/2020 Event Submission By Type		ALL Processed	APPLY RESET	Processed RPR	Processed DEL	Accepted	Accepted Late	La Export
	E ALL		Processed	Processed		Accepted 306		
	Submitter ID Event	Processed 397	Processed COR	Processed RPR	DEL		Late	Rejected
Event Submission By Type		Processed 397	Processed COR	Processed RPR	DEL		Late	Rejected

A summary of event processing statistics is displayed on the top row, followed by subtotal rows for each IMID/Submitter ID combination. Displayed statistics include the total number of processed events; the number of processed correction (COR), repair (RPR), and delete (DEL) events; and the number of events accepted, accepted late, and rejected.

5. To <u>view details</u> for a specific IMID/Submitter ID, click the corresponding subtotal row. Statistics are displayed by Event Type for the selected IMID/Submitter ID.

Event Submiss	ion By Ty	/pe			Processed	Processed COR	Processed RPR	Processed DEL	Accepted	Accepted Late	
					397	89	104	8	306	0	
	IMID	Subr	nitter ID	Event Type							
	BDO		7059		10	0	0	0	0	0	
	CBLC		7059		387	89	104	8	306	0	
		42		MECO	16	3	3	0	14	0	
				MECOC	8	2	4	0	8	0	
				MECOM	16	7	5	0	14	0	
				MEFA	8	4	1	0	8	0	
				MEIR	10	2	2	0	8	0	
				MENO	40	6	12	0	28	0	
				MENOS	8	1	2	0	8	0	
				MENQ	10	0	4	0	8	0	
				MEOA	16	2	7	0	14	0	
				MEOC	8	3	4	0	8	0	
				MEOF	8	4	4	0	8	0	
				MEOJ	16	4	6	0	14	0	

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

CAT Re	porter Portal 9:35 AM ES			Perspective Reporter	*		0 🍤
Reporting Feedback	Reporting Feedback						
Error	Reporting Summary	Event Type Counts	Error Code Counts	File Status			
Corrections	Processing Date O Tra	de Date Product Type	IMID				
Report to CAT	5/1/2020	ALL	* ALL *	APPLY RESET			
Reporting						(Export
Relationships	Fuent Submission Ry Type		Processed	Processed Processed	Processed Accent	ed Accepted	Rejected

5.3 Error Code Counts

The Portal provides a breakdown of statistics by error code 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 error code counts for any single day within the previous 90 calendar days, including the current date.

To view error code counts for the organization:

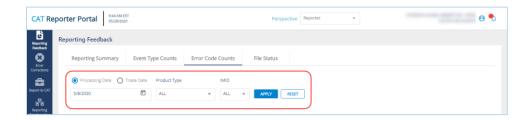
1. Select Reporting Feedback > Error Code Counts.



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

	orter Portal 9:44 AM ES	5T 0		Perspective Reporter	~	0 🍤
Reporting Feedback	Reporting Feedback					
Error	Reporting Summary	Event Type Counts	Error Code Counts	File Status		

3. Optionally edit the filter criteria and click Apply.



If the user has applied filter criteria within the Portal, counts are displayed per that criteria by default. Otherwise, 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 IMID⁴ to view the corresponding error code counts.

4. Review the error code counts.

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

oorting Feedback	c					
Reporting Summ	ary Event Type Cou	nts Error Code Coun	its File Statu	s		
Processing Date	O Trade Date Produc	t Type IMID				
5/8/2020	ALL ALL	* ALL	APPLY	RESET		
Error Code Cou						
Error Code Cou	UNTS (5) CAT Reporter IMID	Submitter ID	Error Code	Error Type	Error Reason	Error Count*
		Submitter ID 7059	Error Code 398	Error Type	Error Reason Onder Key, Trade Key, Quote Key or Fi	Error Count*
Date	CAT Reporter IMID					Error Count* ulfil 47
Date 05/08/2020	CAT Reporter IMID	7059	398	LINKER	Order Key, Trade Key, Quote Key or Fu	Error Count* ulfil 47
Date 05/08/2020 05/08/2020	CAT Reporter IMID CBLC CBLC	7059 7059	398 3501	LINKER	Order Key, Trade Key, Quote Key or Fi Secondary Event – Order Key, Trade H	Error Count* ulfill 47 Key 30

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

CAT Re	eporter Portal 9:44 AM 05/28/20			Perspective Reporter	•	0 🍤
Reporting	Reporting Feedback					
Feedback	Reporting Summary	Event Type Counts	Error Code Counts	File Status		
Corrections	Processing Date	Trade Date Product Type	IMID			
Report to CAT	5/8/2020	ALL	≁ ALL →	APPLY RESET		
Reporting Relationships	Error Code Counts	(5)				
ATS Order Types	Error Code Counts	(5)	Submitter (D	Error Pada Error Tuna	Error Brazon	Error Count

5.4 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 on any single day within the previous 90 calendar days, including the current date.

To view file statuses for the organization:

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

CAT Reporter Portal	ST 10		Perspective	Reporter	•	θ 🎝
Reporting Feedback						
Reporting Summary	Event Type Counts	Error Code Counts	File Status			

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

CAT Reporter Portal 9.53 AM E 05/28/202	5T 10		Perspective	Reporter 👻	θ 🎭
Reporting Feedback					
Reporting Summary	Event Type Counts	Error Code Counts	File Status		

3. Optionally edit the filter criteria and click Apply.

CAT Repo	orter Portal 9:53 AMI 05/28/20			Perspective	Reporter 👻	e 🍤
Reporting Feedback	Reporting Feedback					
Error Corrections	Reporting Summary	Event Type Counts	Error Code Counts	File Status		
8	Processing Date	IMID				
Report to CAT	5/8/2020	ALL V	APPLY RESET			

If the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is displayed for the most recently completed processing date and all IMIDs for the organization. Modify the date and/or select an IMID⁵ to view the corresponding file statuses.

4. Review the file status information.

	53 AM EST 5/28/2020		Perspective	Reporter -		
Reporting Feedback	(
Reporting Summ	ary Event Type Counts	Error Code C	Counts File Status			
Processing Date	IMID					
5/8/2020	🖆 ALL 👻	APPLY	ET			
						📥 Exp
Submitter ID	CAT Reporter IMID	User 10	Uploaded Filename	Paired Metadata Filename	Upload Timestamp	Lipicad Method
Submitter ID 7059	CAT Reporter IMD CBLC	User ID catdc_test_user	Uploaded Filename 7059_CBLC_20200508_DEuvid_OrderEvents	Paired Metadata Filename	Upload Timestamp 05/10/2020 15:06:39	
				Paired Metadata Filename 7059.CBL0_20200508_DEurid_OrderEvents		Upload Method
7059	CBLC	catdo_test_user	7059_CBLC_20200508_DEuvd_OrderEvents		05/10/2020 15:06:39	Upload Method SFTP
7059 7059	CBLC	catdc_test_user	7059_CBLC_20200508_DEuvid_OrderEvents 7059_CBLC_20200508_OrderEvents_81527		05/10/2020 15:06:39 05/10/2020 15:06:33	Upload Method SFTP SFTP
7059 7059 7059	CBLC CBLC	catdc_test_user catdc_test_user catdc_test_user	7059_CBLC_20200508_DEuvid_OrderEvents 7059_CBLC_20200508_OrderEvents_81527 7059_CBLC_20200508_TyzPP_OrderEvents	7059_CBLC_20200508_DEuvel_OrderEvents	05/10/2020 15:06:39 05/10/2020 15:06:33 05/10/2020 15:04:05	Upload Method SFTP SFTP SFTP
7059 7059 7059 7059 7059	CBLC CBLC CBLC	catdo_test_user catdo_test_user catdo_test_user catdo_test_user	7099_CBLC_20200508_DEuvd_OrderEvents 7099_CBLC_20200508_OrderEvents.81527_ 7099_CBLC_20200508_TypEP_OrderEvents 7059_CBLC_20200508_OrderEvents93512_	7059_CBLC_20200508_DEuvel_OrderEvents	05/10/2020 15:06:39 05/10/2020 15:06:33 05/10/2020 15:04:05 05/10/2020 15:03:54	Upload Method SFTP SFTP SFTP SFTP SFTP
7059 7059 7059 7059 7059	CBLC CBLC CBLC CBLC CBLC	catdo_test_user catdo_test_user catdo_test_user catdo_test_user catdo_test_user	7099, CBLC, 20200508, DEavel, OrderEvents, 7099, CBLC, 20200508, Dreferents, B1527 7099, CBLC, 20200508, TydPP, OrderEvents, 7099, CBLC, 20200508, OrderEvents, 7059, CBLC, 20200508, DruderEvents,	7059, CBLC, 20200508, DEvel, DederEventa 7059, CBLC, 20200508, TypPP, DederEventa	05/10/2020 15:06:39 05/10/2020 15:06:33 05/10/2020 15:04:05 05/10/2020 15:03:54 05/10/2020 15:02:04	Upload Method SFTP SFTP SFTP SFTP SFTP SFTP

The Portal displays 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 <u>§7.1.1 File</u> Processing.

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

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

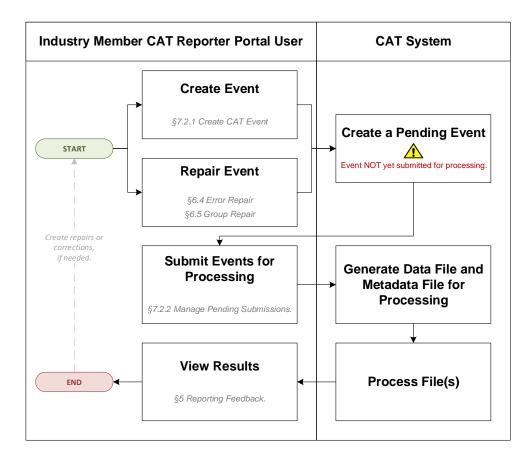


6 Error Corrections

The Portal allows users to review and manage rejected records. This includes the ability to view a highlevel summary, view rejection details, and repair the data. A user may view rejections for any single day within the previous 90 calendar days, including the current date.

High-level Overview of Error Correction Submission

Submission of a repair or correction is a two-step process. The user must first *create* 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 view rejections for any single day in the previous 90 calendar days, including the current date.

To view the error summary for the organization:

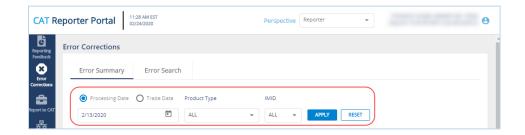
1. Select Error Corrections > Error Summary.



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

CAT R	Reporter Portal 11:28 AM EST 02/24/2020	Perspective Reporter	Θ
Reporting Feedback	Error Corrections		Î
Error Corrections	Error Summary Error Search		

3. Optionally edit the filter criteria and click Apply.



If the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is 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 IMID⁶ to view the corresponding rejections.

4. Review the rejections.

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

eporter Portal	04/01/2020					Reporter			
Error Corrections									
Error Summary	r Error Search								
Processing Data	ete 🔿 Trade Date 🛛 Pro	duct Type	IMID						
	8	PTIONS .	۲ ALL ۲	APPLY RESET					
3/31/2020 Error Summa		1013							
		Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
Error Summa	ıry (6)				Repair Type	Error Code 2003	Error Risson Missing or Invald affiliateFlag	Group Repair Eligible	Enter Count*
Error Summa	CAT Reporter IMD	Submitter ID	Error Type	Repair Status	Repair Type			Group Repair Eligible	
Error Summa	CAT Reporter IMID CBLC	Submitter ID 7059	Error Type REJECTION	Repair Status U	Repair Type	2003	Missing or invalid affiliateFlag	Group Repair Eligible	1
Error Summa Date 03/31/2020 03/31/2020	CAT Reporter IMD CBLC CBLC	Submitter ID 7059 7059	Error Type REJECTION REJECTION	Repair Status U U	Repair Type	2003 2014	Missing or invalid affilateFlag Missing or invalid cancelTimestamp	Oroup Hepair Eligible	1

CAT displays the following information for the specified filter criteria:

Column	Description
Date	The date of the rejected record. This is either the Processing Date or Trade
	Date, as selected in the filter criteria.
CAT Reporter	The unique CAT Reporter IMID associated to the rejected record.
IMID	
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.

Column	Description
Group Repair	Indicates if the corresponding records are eligible for group repair. See $\underline{\$6.5}$
Eligible	Group Repair for details.
Error Count	The number of rejected records for the corresponding error.

5. To <u>view details</u> for the corresponding error records, click the Error Count hyperlink. See <u>§6.3 Error</u> <u>Search</u> for details.

T Repo		51 PM EST 4/01/2020				Perspec	Reporter	•		0
Erro	ror Corrections									
	Error Summary	Error Search								
915	Processing Date	O Trade Date Prode	uct Type	IMID						
to	3/31/2020	E 0P1	IONS .	* ALL *	APPLY RESET	1				
5 Sng ships						,				
Ing	Error Summary		Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
ng hips	Error Summary	(6)			Repair Status U	Repair Type	Error Code 2003	Error Reason Missing or Invalid affiliateFlag	Group Repair Eligible	Error Count*
ing ships	Error Summary	(6) CAI Reporter IMD	Submitter ID	Error Type		Repair Type			Group Repair Eligible	Error Coure*
ing ships	Error Summary Date 03/31/2020	(6) CAI Reporter IMD CBLC	Submitter ID 7059	Error Type REJECTION	υ	Repair Type	2003	Missing or Invalid affiliateFlag	Group Hepair Eligible	Error Court* 1 1 1 1
ing ships	Error Summary Date 03/31/2020 03/31/2020	(6) CAT Reporter IMID CBLC CBLC	Submitter ID 7059 7059	Error Type REJECTION REJECTION	U	Repair Type	2003 2014	Missing or Invalid affiliateFlag Missing or Invalid cancelTimestamp	Group Heparr Eligible	Error Court* 1 1 1 1 1 1 1
ing ships	Error Summary Date 01/31/2020 03/31/2020 03/31/2020	(6) CAT Reporter IMID CBLC CBLC CBLC	Submitter ID 7059 7059 7059	Error Type REJECTION REJECTION REJECTION	U U U	Repair Type	2003 2014 2024	Missing or invalid affilateFlag Missing or invalid cancelTimestamp Missing or invalid electronicDupFlag	Group Heparr Eligible	Error Court* I I I I I I I I I I I I I I I I I I

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

Repor		51 PM EST 4/01/2020				Perspe	Reporter	*		0
	or Corrections									
. –	Error Summary	Error Search								
"	Processing Date	O Trade Date Pr	roduct Type	IMID						
	3/31/2020		OPTIONS .	r ALL +	APPLY RESET					
e pa										
r, Eter	Error Summary ((6) CAT Reporter IMD	Submitter ID	Error Type	Repair Status	Repair Type	Error Code	Error Reason	Group Repair Eligible	Error Count*
			Submitter ID 7059	Error Type REJECTION	Repair Status U	Repair Type	Error Code 2003	Error Reason Missing or Invalid affiliateFlag	Group Repair Eligible	Error Count*
	Date	CAT Reporter IMID				Repair Type			Group Repair Eligible	Error Count* 1 1
	Date 03/31/2020	CAT Reporter IMID	7059	REJECTION	U	Repair Type	2003	Missing or Invalid affiliateFlag	Group Repair Eligible	Error Court* 1 1 1 1
	Date 03/31/2020 03/31/2020	CAI Reporter IMID CBLC CBLC	7059 7059	REJECTION	U	Repair Type	2003 2014	Missing or Invalid affiliateFlag Missing or Invalid cancelTimestamp	Group Repair Eligible	Error Court* 1 1 1 1 1 1
	Date 03/31/2020 03/31/2020 03/31/2020	CAT Reporter IMID CBLC CBLC CBLC	7059 7059 7059	REJECTION REJECTION REJECTION	U U U	Repair Type	2003 2014 2024	Missing or Invalid affiliateFlag Missing or Invalid cancelTimestamp Missing or Invalid electronicDupFlag	Group Repair Eligible	Error Court* 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1

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. When accessing the Error Search page from another page, the filter criteria is inherited so that the corresponding records are displayed.

Review steps 2 and 3 below for details on the use of data perspectives and filter criteria if needed. Otherwise, proceed to Step 4 for details on the content of the Error Search page. A user may view rejections for any single day in the previous 90 calendar days, including the current date.

To view the error search details for the organization:

1. Select Error Corrections > Error Search.



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

CAT Re		1:36 AM EST 2/24/2020	Perspective Reporter	θ
Reporting Feedback	Error Corrections			Â
Error Corrections	Error Summary	Error Search		

3. Optionally edit the filter criteria and click Apply.

CAT Re	eporter Portal 11:36 AM EST 02/24/2020 Perspective Reporter	
Reporting Feedback	Error Corrections	-
Error	Error Summary Error Search	
a	Processing Date O Trade Date Product Type IMID	
Report to CAT	2/13/2020 🖆 ALL 🔹 ALL 🔹 APPLY RESET	

When accessing the page directly, if the user has applied filter criteria within the Portal, information is displayed per that criteria by default. Otherwise, information is displayed for the organization for the most recently completed processing date and all IMIDs for the organization. When accessing the page from the Error Summary, the corresponding rejections are displayed. Modify the date, specify a Product Type, and/or select an IMID⁷ to view the corresponding rejections.

4. Review the error details.

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

orter Portal	02/2020		Perspective Reporter	*		e
ror Corrections						
Error Summary	Error Search					
Processing Date	O Trade Date Product Typ	e	IMID			
2/13/2020	ALL ALL	*	ALL - APPLY	RESET		
Total Errors (39)	Firm RDE ID	Error Code	Error Reason	Error Type	Repair Status	LE EX
	Firm ROE ID 20191109_33805177106	Error Code 2011	Error Reason Invalid CATReporterIMID	Error Type REJECTION	Repair Status P	
Error ROE ID						CAT Reporter CRD
Error ROE ID 94073420008507148	20191109_33805177106		Invalid CATReporterIMID	REJECTION	P	CAT Reporter CRD 7059
Error ROE ID 94073420008507148 94073420008507149	20191109_33805177106 20191109_41878394698	2011	Invalid CATReporterIMID MULTIPLE ERRORS	REJECTION	P	CAT Reporter CRD 7059 7059

In addition to the information submitted on the original record, CAT displays the following for each rejected record meeting the specified filter 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.
	(P)ending: Repair has been created and is pending submission.
	(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
Repaired Timestamp	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 .

Column	Description
	The method via which the record was repaired. This field is populated
	only when Repair Status is R .
	Values include:
Repaired Type	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 di	splayed are taken directly from the record submitted to CAT. For
additional details and c	lefinitions, see the Industry Member Technical Specifications.

5. To <u>initiate a repair</u> for a rejected record, click the Error ROE ID. See <u>§6.4 Error Repair</u> for details.

AT Rep		0 AM EST 2/2020		Perspective Reporter	Ť		0
porting	Error Corrections						
intor rections	Error Summary	Error Search					
8	Processing Date	Trade Date Product Typ	oe	IMID			
port to CAT	2/13/2020	ALL ALL	*	ALL 👻 APPLY	RESET		
oorting ionships	Total Errors (39)	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	La Export
ionships		Firm ROE ID 20191109_33805177106	Error Code 2011	Error Reason Invalid CATReporterIMID	Error Type REJECTION	Repair Status P	
oorting ionships	Error ROE ID						CAT Reporter CRD
oorting ionships	Error ROE ID 94073420008507148	20191109_33805177106		Invalid CATReporterIMID	REJECTION	P	CAT Reporter CRD
Sorder ypes	Error ROE ID 94073420008507148 94073420008507149	20191109_33805177106 20191109_41878394698	2011	Invalid CATReporterIMID MULTIPLE ERRORS	REJECTION	P	CAT Reporter CRD 7059 7059

- 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 <u>§7.2 Manually Report Data to CAT</u> for details.
- 7. To **export** the error search, click **Export**. Download the generated CSV file using the internet browser functionality.

CAT Repo		0 AM EST 02/2020		Perspective	Reporter 👻		0 🎝
Reporting Feedback	ror Corrections						
Error Corrections	Error Summary	Error Search					
a	Processing Date (Trade Date Produ	ct Type	IMID			
Report to CAT	2/13/2020	ALL	•	ALL 👻	APPLY RESET		
Relationships ATS Order Types	Total Errors (39) Error ROE ID	Firm ROE ID	Error Code	Error Reason	Error Type	Repair Status	CAT Reporter CRD

6.4 Error 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 <u>§6.3 Error Search</u> for details.

To repair a rejected record:

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

AT Repo	rter Portal			Perspective Reporter	•	0
edback	or Corrections					
irror -	Error Summary Error S	Search Er	ror Repair: 94073420008507149			
8	1 actionType 2 errorRO	EID	firmROEID	() type	5 CATRep	orteriMID
tto CAT	RPR 👻 4120661	036547	20191109_41878394698541	Option Order Adjusted Event (MOOJ)	*	•
orting onships	Errors (2)		orderiD *			
Drder	Invalid CATReporterIMID (error value: ATDBX)		X*CTv)L^nlyoSQLZMXL-m(-3			
pes	optionID not effective on Ev (error value: PCG 200320C0		8 optionID *			
			en e			
						CANCEL

A list of errors for the record, including links to navigate directly to corresponding error field(s), are provided on the left side of the form.

Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validations are 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.

Some error codes cannot be parsed and therefore cannot repaired via Portal. When the Error ROE ID refers to a record with an unparsable error, the portal displays a warning that includes the full machine-readable text of the originally submitted record, as shown below.

The selected error record is not parsable and cannot be repaired using the Error Repair feature.
To repair the record, you may either use the Create Order Event feature to manually enter an RPR event, or you may submit the repair event in a properly formatted machine-readable file by using the File Up
feature or via machine-to-machine secure file transfer.
For your convenience, the full text of the originally rejected record is provided below in CSV format:
("custopymeria" file,"size, "sizerice", 15534088, 99865572,"sysbel1" bvCH", "ordertype"; "Cus", "hobosurce" 'hu", "infosorriero"; 'huk,157, ushulbar, yyc", "seskerJub" 'hol", "rosted 5000 / 2
tischforc": ("ATT'+124:5;"ATT'+124:06161715458,00000775";"ATD'+12000213;"ATC'+false,"ATC'+false,"TOC'+12000213;"DOC'+false);"eventimestemp":"DOUBDISTISF488,00000871;","att OrderType":["MY DEEL TYPE X";"ATL_DOEL TYPE_T];"hemalforderTD'+102_pptE4(0);"for Satemper: https://bit/Satemper: (19):15):DOEL():(ATL_KACK): "Doebback": "DOE DOEBBACK": "DOEBBACK": ATT ATL ATT ATT ATT ATT ATT ATT ATT ATT

2. Click Repair.

Error Summary Error Search	Error Repair: 94073420008507149				
1 actionType 2 errorROEID	3 firmROEID	a) type	5	CATReporterIMID	
RPR - 4120661036547	20191109_41878394698541	Option Order Adjusted Event (MOOJ)	~	ATDAX 👻	
Errors (2) (a) (invalid CATReporterMID (error value: ATDEX) (b) (error value: PCG 200320C00015000)	Verter Vert X*CTVX-rehysSQLZMXL-m(-1 sprice1D * 1PCG 200019C00023010 procrOrderKeyDate (sensed value: 15753 4	224601100045997			,
				CANCEL	REPAIR

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 <u>§6.1</u> <u>Error Summary</u> for details.

Group Repair Eligibility

An event is eligible for group repair when ALL of the following are true:

- The event has only <u>one</u> 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 <u>OR</u>
 - Any field containing a Symbol or IMID OR
 - o 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.

Report to CAT	Group Repair				
器	Error Code	Error Reason	Error Count	Corrected Value*	
Reporting Relationships	2011	Invalid CATReporterIMID	1	ATDAX 🔻	REPAIR CANCEL

2. Click Repair.

Report to CAT	Group Repair				
몲	Error Code	Error Reason	Error Count	Corrected Value*	
Reporting Relationships	2011	Invalid CATReporterIMID	1	ATDAX 👻	REPAIR CANCEL
ATS Order					

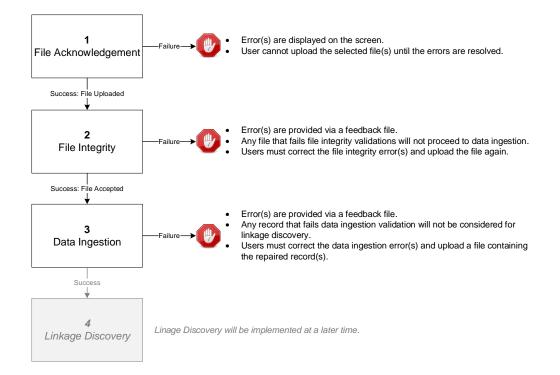
The repairs will be added to the list of Pending Submissions. Once all desired repairs have been entered, proceed to the Pending Submissions page to review and submit the repairs. REPAIRS ARE NOT PROCESSED BY CAT UNTIL THEY ARE FULLY SUBMITTED TO THE SYSTEM USING THE PENDING SUBMISSIONS FUNCTIONALITY.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



1. File Acknowledgement

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 <u>§7.1.3 Download Feedback File</u> 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 <u>Industry Member Technical Specifications</u> 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 <u>Industry Member Technical Specifications</u> for a comprehensive list of data ingestion validations.

4. Linkage Discovery⁸

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 <u>upload</u> one or more data files:

⁸ Linkage discovery will be implemented at a later time.

1. Select **Report to CAT > File Upload**.

CAT Reporter Portal	12:30 PM EST 02/24/2020	Perspective	Reporter	•	θ
Report to CAT					
Reporting Feedback Error	Download Feedback Create CA	T Events Per	nding Submissions		
Corrections Report to CAT	vrag and drop files here or browse	Date>_[<	Convention ta File Name : <cat b="" submitter<=""> <Group>_]<file kind="">_<file b="" nu<=""></file></file></cat>	r ID>_ <cat imid="" reporter="">_<file ge<br="">Imber>.meta[.File Instruction].<fon .<cat imid="" reporter="">_<file general<="" td=""><td>mat Extension></td></file></cat></fon </file></cat>	mat Extension>

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

CAT Reporter Portal	Perspective Reporter
Report to CAT	
Error	Create CAT Events Pending Submissions
Corrections Reports CAT Reporting Readsombly ATS Order Types	 File Requirements File Naming Convention Metadata File Name: <cat generation<br="" ids<cat="" mids<file="" reporter="" submitter="">Date-1_Groups_J-File Kinds<file file="" instruction].<="" li="" numbers.metal,=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Data File Name: <cat generation<="" idscat="" li="" mids<file="" reporter="" submitter=""> Compression Extensions Compression Debtaid Gardener film, the CAT Reporting Agent must be authorized to submit data on behalf of the CAT Reporter IMDs via a reporting relationship in the CAT Reporter Portal Format All files for submission must be in joon or cav format Data files must be submitted uncompressed Size Individual files are limited to maximum uncompressed size of 1GB with a record limit of 100.000 records per file Maximum of 10 files per submission with a total size of 5G8 * For additional information refer to section 6 of the CAT Reporting Technical Specifications for Industry Members </cat></cat></cat></cat></cat></cat></file></cat>

3. 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). 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 download a feedback file:

1. Select **Report to CAT > Download Feedback**.

CAT Rep	orter Portal	л	Persp	Reporter	•		Θ
Reporting Feedback	leport to CAT						
Error	File Upload Dowr	nload Feedback Create	e CAT Events	Pending Submission	IS		
Corrections	Feedback Time	File Name			Download	i	
eport to CAT	Feb 19, 2020 18:59:17	7059_AUTO_2020021	19_catweb_OrderEvents	s_048053.ingestion.csv	8		A
Reporting	Feb 19, 2020 18:58:53	7059_AUTO_2020021	19_catweb_OrderEvents	s_048053.integrity.csv	A		

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

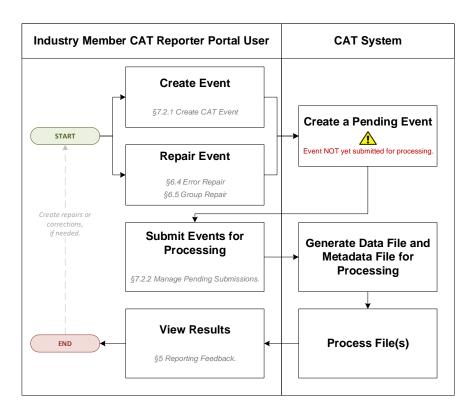
	Pporter Portal 12:38 PM EST 02/24/2020	Perspective Reporter	θ
Reporting	Report to CAT		
Feedback	File Upload Dowpload Feedback Create Cl	AT Events Pending Submissions	

3. Click ^A 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).

CAT Rep		0:09 AM EST 5/28/2020	Persp	Reporter	•		θ 丸
Reporting	Report to CAT						
Feedback	File Upload	Download Feedback	Create CAT Events	Pending Submissions			
Corrections	Linkage feedba and "File Upload	ick files are for both Portal and Sf id" functionality only.	FTP submissions. File Ingestio	on and Data Integrity feedback files	are for Portal su	bmissions via direct entry/repair	
Report to CAT 문답							
Reporting	Feedback Time		File Name				
			File Name		Download		
Relationships	May 27, 2020 21:09:5	51		_OrderEvents.linkage_000001.csv	Download		
	May 27, 2020 21:09:5 May 27, 2020 21:09:4		7059_AUTO_20200527_	_OrderEvents.linkage_000001.csv .OrderEvents.linkage.error_000001.j_	\bigcirc		
Relationships		48	7059_AUTO_20200527_ 7059_CBLC_20200527_				

7.2 Manually Report Data to CAT

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



7.2.1 Create CAT Event

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

To create an event:

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

CAT Repo		12:49 PM EST 02/24/2020	Pers	Pective Reporter	¥		θ
reporting	port to CAT						
Feedback Error Corrections	File Upload	Download Feedback			ons		
Report to CAT	1 actionType 2	errorROEID	3 firmROEID	4 type		•	
Reporting Relationships ATS Order Types	5 CATReporterIMID	CREATE					

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

CAT Re	eporter Portal		Perspective Reporter +	9
Reporting Feedback	Report to CAT			
Error	File Upload Download Feedb	ack Create CAT Events	Pending Submissions	
Corrections	actionType 2 errorROEID	3 firmROEID	4 type	
Report to CAT	NEW 👻	12345	New Order Event (MENO)	*
Reporting Relationships	6 CATReporterIMID			
ATS Order Types	ATDEX + CREATE)		

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

- Action Type: The type of event being created. This includes: New (NEW), Correct (COR), Delete (DEL), or Repair (RPR)
- 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: The CAT Reporter-IMID for the event. Note that available IMIDs depend on the selected data perspective. For details, see <u>§4 Data Perspectives</u>. IMIDs are available for up to 90 days after expiration.
- 3. Provide additional details for the event.

Report to CAT					
File Upload	Download Feedback	Create CAT Events	Pending Submissions		
actionType	2 errorROEID	3 firmROEID	4 type		
NEW 👻		12345	New Order Event (MB	ENO) 👻	
G CATReporter	IMID				
Albax ¥	CREATE				
Instructions		orderKeyDate *			
	ecifications section of	YYYYMMDD 🖆 T HH	MMSS . CCCNNNNNN		
catnmsplan.com	provides detailed guidance				
events in CAT.	quirements for creating new	orderID *			
	mit below, your event will be				
From there you r	ding Submissions page. nay edit or delete the event CAT for processing.	symbol *			
	and start over click Cancel				
	e away from the Create CAT				
	6	eventTimestamp *			

Available and required fields (identified with an asterisk) vary based on the event type. Basic syntax validations are 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 <u>Industry Member Technical Specifications</u> 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.

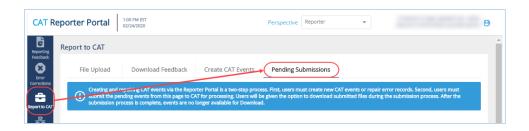
7.2.2 Manage Pending Submissions

All repair and event records initiated by the organization via the Portal are collected in Pending Submissions. This includes all records created via Error Repair, Group Repair, and Create CAT 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 <u>§4 Data Perspectives</u> for details.)

ė _R	Report to CAT	02/24/2020				
Reporting	report to CAT					
8	File Upload	Download Feedback	Create CAT Events	Pending Submissions		
Error orrections				ess. First, users must create new CA e given the option to download sub		

3. Review the list of pending submissions.

File Uplo	ad Dow	nload Feedback	Create CAT Events	Pending Submissi	ions		
Creati	ng and repairing C It the pending even	AT events via the Reporter ts from this page to CAT fo	Portal is a two-step pro	cess. First, users must creat be given the option to dow	e new CAT events or re nload submitted files di	pair error records. Securing the submission	cond, users must
submi	ission process is co	mplete, events are no long	er available for Downlo	ad.	nioad submitted files di	uring the submission	process. After the
Pending	submissions	(4)					
		Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
Delete	Туре	210110210				1100010	
Delete ×	Type RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6		
					#Uhh(8Xf7-Pa_'6 T}To'}a#k(oaMfv		
×	RPR	9407342000850	20191109_3380	ATDAX	· -		

From this page, the user may edit, submit and download, delete, or export records. **Once a pending** record has been submitted or deleted, it will no longer be available in the Pending Submissions list.

4. To <u>edit</u> a pending record, click the Type hyperlink to open the CAT Event screen and make any necessary changes.

Reporting Relationships	Pending	submissions	(4)						
E	Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID	
ATS Order Types	×	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6			
	×	RPR	9407342000850	20200213_4186	CBLC	T}To'}a#k(oaMfv_			
	×	RPR	9407342000850	20200213_8024	CBLC	g[hV0KZ&~bThy			
	×	RPR	9407342000850	20200213_1673	CBLC	`]y#Vb;VZJ+&_w			
<u> </u>		\bigcirc		معر	all and a second	254			

5. To submit pending records, click Submit. All currently displayed records will be submitted.

Reporting Relationships	Pending s	ubmissions (4)						
È	Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
ATS Order Types	×	RPR	9407342000850	20191109_3380	ATDAX	#Uhh(8Xf7-Pa_'6		
	×	RPR	9407342000850	20200213_4186	CBLC	T}To'}a#k(oaMfv		
	×	RPR	9407342000850	20200213_8024	CBLC	g[hVOKZ&~bThy		
	×	RPR	9407342000850	20200213_1673	CBLC	`]y#Vb;VZJ+&_w		
	4		4					•
								SUBMIT

a. Click Confirm.

Report to CAT	Delete	Type	Error ROE I	D Firm ROE ID CAT Reporter IMID	Order ID	Trade ID	Quote ID
몲	×	RPR	41206	Event Submission		NyoSQ	
Reporting Relationships	×	RPR	41206			AdS{2	
È	×	RPR	41206	This action will submit selected pending events to CAT for proces	.N9%t8		
ATS Order Types	×	RPR	41206	During submission, you will be given the option to download the resulting files for your records. If you decline the option at that ti		7-Pa_'6	
				the data will no longer be available for download.			
				CANCEL			

b. Review the results of the submission.

eport to CAT	Delete	Туре	Error ROE	ID Eirm 20E ID CAT Reporter IMID Order ID	Trade ID Quote ID
윪	×	RPR	41206	Event Submission	tyoSQ
Reporting elationships	×	RPR	41206		AdS{2
li 🛛	×	RPR	41206	4 Records have been submitted to CAT.	N9%t8
ATS Order Types	×	RPR	41206	4 Files were created.	7-Pa_'6
				To download the files, click Download button below.	
				DOWINLOAD	

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 remain on the Pending Submission list for further action.

c. To <u>download</u> the submitted records, click **Download**. Download the generated file(s) using the internet browser functionality. 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.

- d. Click Close.
- 6. To <u>delete</u> a pending record, click × and click **Delete**. The pending record is removed from pending submission and deleted from the system.

				Delete Pending Event			
Pendi	ng submiss	sions (1)					
Delet	е Туре		Error ROE ID	Note: This action only deletes the selected record and prevents it from being submitted to CAT. To delete a previously submitted	ler ID	Trade ID	Quote ID
×	RPR		4120661036	event, you must create and submit a DEL event.	C-O{kEw{a-n~		

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

	File Upload	Downlo	ad Feedback	Create CAT Events	Pending Submission	าร		
	i) submit th	e pending events fi	rom this page to CAT	er Portal is a two-step pro- for processing. Users will inger available for Downlo.	cess. First, users must create (be given the option to downlo	new CAT events or r bad submitted files o	epair error records. Se luring the submission	cond, users must process. After the
T _	SUDMISSIC	on process is comp	lete, events are no lo	inger available for Downlo	90.			
F	Pending su	bmissions (4)						📥 Export
	Delete	Туре	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Order ID	Trade ID	Quote ID
		000	0.4070.400000.00	20101100 2200	ATDAX	#UNE/01/27 D- 1/		

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 <u>optionally</u> 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:

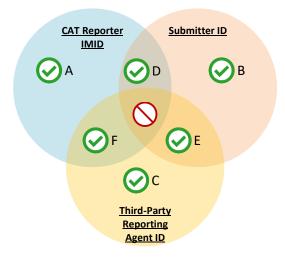
Field	Field Description	Required	Format	Rules/Validations
CAT	The SRO-assigned	Yes	Dropdown	Selection includes all IMIDs
Reporter	identifier ¹⁰ that a Firm		Selection	for the CAT Reporter, per
IMID	uses to report information			the IMID List.
	to CAT.			
Submitter	The CRD Number for the	Yes	Dropdown	Must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

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 <u>one or two</u> 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 <u>and</u> 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

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.

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.

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.

CAT Reporting Rela	tionships							Add New	T
Reporter View									
CAT Reporter IMID	Submitter	Third Party Reporting A.,	Effective Date	Expiration DT	Created By	Created On	Updated By	Updated On	
BDQ	10 - ADVEST, INC.		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59	
CBLC	7059 - CITIGROUP GLOBA	7560 - PERSHING LLC	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48	
BDP	73 - ZIEGLER SECURITIES,	10 - ADVEST, INC.	10/25/2019	01/03/2020	portalimadmin	10/18/2019 07:50:24	portalimusertestciti	10/25/2019 17:04:41	
ATD8	1085	3736 - CFC EQUITIES, LLC	12/13/2019	12/18/2019	portalimusertestciti	12/13/2019 15:30:44	portalimusertestciti	12/13/2019 15:30:44	
NESC	3048		12/16/2019	12/21/2019	portalimusertestciti	12/13/2019 15:31:21	portalimusertestciti	12/13/2019 15:31:21	
ROSN	3531		12/16/2019	12/21/2019	portalimusertestciti	12/13/2019 15:31:17	portalimusertestciti	12/13/2019 15:31:17	
NEFO	3317	2054 - GRANDE & CO., INC.	12/24/2019	12/28/2019	portalimusertestciti	12/13/2019 15:31:36	portalimusertestciti	12/13/2019 15:31:36	
CAPE	4485		12/24/2019	12/28/2019	portalimusertestciti	12/13/2019 15:31:15	portalimusertestciti	12/13/2019 15:31:15	
Submitter/Third-Party V	Tenn								

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.

The *Reporter View* content and the *Submitter/Third-Party View* content must be filtered, sorted, and exported separately.

 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.

lationships Submitsr 19-Advest, IRC. 7959-OTTIARUP GLOBA. 71-2EGLIS SECURTES 1065 2044 2331 2317	This Party Reporting A 7560 - PERSHNG LLC 10 - ADVEST, INC. 3726 - CPC EQUITES, LLC	Effective Date 10/25/2019 10/17/2019 10/25/2019 12/13/2019 12/13/2019	Expiration D. † 01/02/2020 12/18/2019 12/21/2019	Created By portalimadmin portalimadmin portalimadmin portalimadmin	Created On 10/17/2019 15:42:59 10/17/2019 15:20:48 10/18/2019 07:50:24 12/13/2019 15:30:44	Updated By portalimadmin portalimuser portalimusertestotti portalimusertestotti	Add New Updated Dr 19/17/2019 15:42:59 19/17/2019 15:20:48 19/25/2019 17:04:41 12/13/2019 15:30:44
10 - ADVEST, INC. 7099 - CITUROUP GLOBA 77 - 7260LER SECURITES 1085 3048 3331	7560 - PERSHING LLC 10 - ADVEST, INC.	10/25/2019 10/17/2019 10/25/2019 12/13/2019 12/16/2019	01/03/2020 12/18/2019	portalimadmin portalimuser portalimudmin portalimusertestciti	10/17/2019 15:42:59 10/17/2019 15:20:48 10/18/2019 07:50:24	portalimadmin portalimuser portalimusertestciti	10/17/2019 15:42:59 10/17/2019 15:20:48 10/25/2019 17:04:41
10 - ADVEST, INC. 7099 - CITUROUP GLOBA 77 - 7260LER SECURITES 1085 3048 3331	7560 - PERSHING LLC 10 - ADVEST, INC.	10/25/2019 10/17/2019 10/25/2019 12/13/2019 12/16/2019	01/03/2020 12/18/2019	portalimadmin portalimuser portalimudmin portalimusertestciti	10/17/2019 15:42:59 10/17/2019 15:20:48 10/18/2019 07:50:24	portalimadmin portalimuser portalimusertestciti	10/17/2019 15:42:59 10/17/2019 15:20:48 10/25/2019 17:04:41
7059 - CITIGROUP GLOBA 73 - ZIEGLER SECURITIES 1085 3048 3531	10 - ADVEST, INC.	10/17/2019 10/25/2019 12/13/2019 12/16/2019	12/18/2019	portalimuser portalimadmin portalimusertestciti	10/17/2019 15:20:48 10/18/2019 07:50:24	portalimuser portalimusertestciti	10/17/2019 15:20:48 10/25/2019 17:04:41
73 - ZIEGLER SECURITIES, 1085 3048 3531	10 - ADVEST, INC.	10/25/2019 12/13/2019 12/16/2019	12/18/2019	portalimadmin portalimusertestciti	10/18/2019 07:50:24	portalimusertestciti	10/25/2019 17:04:41
1085 3048 3531		12/13/2019 12/16/2019	12/18/2019	portalimusertestciti			
3048	3736 - CFC EQUITIES, LLC	12/16/2019			12/13/2019 15:30:44	portalimusertestciti	12/13/2019 15:30:44
3531			12/21/2019				
				portalimusertestciti	12/13/2019 15:31:21	portalimusertestciti	12/13/2019 15:31:21
3317		12/16/2019	12/21/2019	portalimusertestciti	12/13/2019 15:31:17	portalimusertestciti	12/13/2019 15:31:17
	2054 - GRANDE & CO., INC.	12/24/2019	12/28/2019	portalimusertestciti	12/13/2019 15:31:36	portalimusertestciti	12/13/2019 15:31:36
4485		12/24/2019	12/28/2019	portalimusertestciti	12/13/2019 15:31:15	portalimusertestciti	12/13/2019 15:31:15
View							(
	r View	/ View	y View	/ View	Y View. The Party Reports A. DAT Reports Mig. Fem. (Rectine Date: Dataseton Date	y View	y View

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.

CAT R	eporter Portal	10:22 AM EST 04/02/2020			Perspective	Reporter 👻			0 9	
Reporting Feedback	CAT Reporting Rela	tionships							Add New	Export
Error Corrections	Reporter View								\square	
	CAT Reporter IMID	Submitter	Third-Party Reporting A	Effective Date	Expiration D ↑	Created By	Created On	Updated By	Updated On	
_ ≏	BDQ	10 - ADVEST, INC.		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59	ß
Report to CAT	0010	7050 - CITICPOUR CLORA	7560 - DEDSHING LLC	10/17/2010		northlimutor	10/17/2010 15:20:48	northlimusor	10/17/2010 15:20:49	172

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

Reporting Feedback	CAT Reporting Rela	tionships	Add New Reporting Relations	hip	x		Add New Export
Error Corrections	CAT Reporter IMID	Submitter	Reporting Relationships must be established between Industry Members and CAT Report reporting firms are not required or able to establish a reporting relationship with themselve			Dreated By	Created On
.	BDQ	10 - ADVEST, INC	CAT Reporter IMID *			portalimadmin	10/17/2019 15:42:59
Report to CAT	CBLC	7059 - CITIGRC U	GATE	•	0	portalimuser	10/17/2019 15:20:48
格	BDP	73 - ZIEGLER SE	Submitter *			portalimadmin	10/18/2019 07:50:24
Reporting Relationships	ATDB	1085	4 – A. G. EDWARDS & SONS, INC.	•	0	portalimusertestciti	12/13/2019 15:30:44
ATS Order	NFSC	3048	Contact your CAT Reporting Agent to verify the Submitter's Org ID			portalimusertestciti	12/13/2019 15:31:21
Types	ROSN	3531	Third-Party Reporting Agent (Optional)	-	0	portalimusertestciti	12/13/2019 15:31:17
	NEFO	3317	Effective Date *			portalimusertestciti	12/13/2019 15:31:36
	CAPE	4485	4/6/2020			portalimusertestciti	12/13/2019 15:31:15
			Expiration Date (Optional)	iel Save		J	, Export

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

		49 AM EST 02/2020				Perspective Report	ter 👻			Θ 丸
Reporting Feedback	CAT Reporting Relatio	onships							Add New	Export
Error Corrections	CAT Reporter IMID	Submitter	Third-Party Reporting A	Effective Date	Expiration D 🕇	Created By	Created On	Updated By	Updated On	
a	GATE	4 - A. G. EDWARDS & SON		04/06/2020		portalimadmin	04/02/2020 10:34:48	portalimadmin	04/02/2020 10:34:48	
Report to CAT	BDQ	10 - ADVEST, INC.		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59	
品	CBLC	7059 - CITIGROUP GLOBA	7560 - PERSHING LLC	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48	ß

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 edit a non-expired CAT Reporting Relationship:

1. Click \overrightarrow{a} for the relationship on the *Reporter View* list.

		049 AM EST 702/2020				Perspective	orter 🔹		201000000	θ 丸
Reporting Feedback	CAT Reporting Relation	onships							Add New	v Export
Error Corrections	CAT Reporter IMID	Submitter	Third-Party Reporting A	Effective Date	Expiration D_ 1	Created By	Created On	Updated By	Updated On	
	GATE	4 - A. G. EDWARDS & SON		04/06/2020		portalimadmin	04/02/2020 10:34:48	portalimadmin	04/02/2020 10:34:48	
Report to CAT	BDQ	10 - ADVEST, INC.		10/25/2019		portalimadmin	10/17/2019 15:42:59	portalimadmin	10/17/2019 15:42:59	
Reporting	CBLC	7059 - CITIGROUP GLOBA	7560 - PERSHING LLC	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48	Ø

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

Reporter View		Edit Reporting Relationsh	nin	х		
CAT Reporter IMID	Submitter		"P		Created By	Created On
GATE	4 - A. G. ED	GATE	-	٢	portalimadmin	04/02/2020 10:3
BDQ	10 - ADVES	Submitter *			portalimadmin	10/17/2019 15:4
CBLC	7059 - CITIC	4 - A. G. EDWARDS & SONS, INC.	-	0	portalimuser	10/17/2019 15:2
BDP	73 - ZIEGLE	Contact your CAT Reporting Agent to verify the Submitter's Org ID			portalimadmin	10/18/2019 07:
ATDB	1085	Third-Party Reporting Agent (Optional)	-	Ø	portalimusertestciti	12/13/2019 15:3
NFSC	3048				portalimusertestciti	12/13/2019 15:3
ROSN	3531	Effective Date *	Ē		portalimusertestciti	12/13/2019 15:3
NEFO	3317				portalimusertestciti	12/13/2019 15:3
CAPE	4485	Expiration Date (Optional) (7/31/2020			portalimusertestciti	12/13/2019 15:3
-		c	ancel Upda	ate		

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

	eporter Portal	10:55 AM EST 04/02/2020		Reporter Portal 1055 AU 657 0x02/2020 Perspective Reporter •									
Reporting Feedback	CAT Reporting Relat	ionships							Add New	Export			
Error Corrections	CAT Reporter IMID	Submitter	Third-Party Reporting A	Effective Date	Expiration Date	Created By	Created On 🕇	Updated By	Updated On				
a	GATE	4 - A. G. EDWARDS & SON		04/06/2020	07/31/2020	portalimadmin	04/02/2020 10:34:48	portalimadmin	04/02/2020 10:54:10	Ø			
Report to CAT	CBLC	7059 - CITIGROUP GLOBA	7560 - PERSHING LLC	10/17/2019		portalimuser	10/17/2019 15:20:48	portalimuser	10/17/2019 15:20:48	©2			

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 <u>Industry Member Technical Specifications</u> 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

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

Each ATS Order Type includes the following data:

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	The last date on which	No	Date	Must be on or after the
Date	the ATS Order Type is		(MM/DD/YYYY)	Effective Date.
	accepted for submission.			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 view 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.

CAT R		0:56 AM EST 4/02/2020				Perspective Reporter	÷			0
Reporting	ATS Order Types								Add New	Export
Error	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	
rrections	LQFI	E7516MU4S8	bs f r13 r1 j z e6/98w tv z	12/13/2019	12/13/2019	portalimusertestciti	12/13/2019 15:41:12	portalimusertestciti	12/13/2019 15:41:12	
out to	CXCX	RAAR	raaraaa	10/28/2019	10/29/2019	PORTALIMADMIN	10/28/2019 09:40:49	portalimadmin	10/28/2019 09:41:03	
	CBLC	ATS_ORDER_TYPE_2	This is my second ATS or	12/12/2019	12/25/2019	PORTALIMADMIN	10/18/2019 08:27:09	portalimusertestciti	10/25/2019 17:05:37	
orting	CBLC	NEW ATS ORDER TYPE	This is my new ATS Order	10/25/2019	10/30/2019	PORTALIMADMIN	10/18/2019 08:27:27	portalimusertestoiti	10/25/2019 17:05:11	
	CBLC	MY ORDER TYPE A	This is the description for	11/15/2019		portalimadmin	10/18/2019 08:32:59	portalimadmin	10/18/2019 08:32:59	ø
Order	CBLC	ATS_ORDER_TYPE_1	This is my first ATS Order	10/18/2019		portalimadmin	10/18/2019 08:26:47	portalimadmin	10/18/2019 08:26:47	Ø

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.

	eporter Portal	2:56 AM EST W02/2020				Perspective Reporter	•		9	•
Reporting Feedback	ATS Order Types								Add New E	Export
Error Corrections	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On	_
Corrections	LQFI	E7516MU4S8	bs f r13 r1 j z e6l98w tv z	12/13/2019	12/13/2019	portalimusertestciti	12/13/2019 15:41:12	portalimusertestciti	12/13/2019 15:41:12	

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.

	eporter Portal	0:56 AM EST 4/02/2020			Perspective Reporter -				e 🎭		
Reporting Feedback	ATS Order Types								Add New Export		
Error	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On		
Error Corrections	LQFI	E7516MU4S8	bs f r13 r1 j z e6/98w tv z	12/13/2019	12/13/2019	portalimusertestciti	12/13/2019 15:41:12	portalimusertestciti	12/13/2019 15:41:12		
	CXCX	RAAR	raataaa	10/28/2019	10/29/2019	PORTALIMADMIN	10/28/2019 09:40:49	nortalimadmin	10/28/2019 09:41:03		

2. Enter the details for the order type. See <u>ATS Order Type Fields</u>, <u>Rules</u>, <u>and Validations</u> above for details on field requirements, formats, and validations.

Reporting Feedback	ATS Order Types				Add New Export
Error	CAT Reporter IMID	ATS Order Type	Add New ATS Order Type 🛛 🗴	Created By	Created On
Corrections	LQFI	E7516MU4S8	CAT Reporter IMID *	portalimusertestciti	12/13/2019 15:41:12
Report to	CXCX	RAAR	CBLC -	PORTALIMADMIN	10/28/2019 09:40:49
踞	CBLC	ATS_ORDER_T	ATS Order Type *	PORTALIMADMIN	10/18/2019 08:27:09
Reporting	CBLC	NEW ATS ORD	ABC123	PORTALIMADMIN	10/18/2019 08:27:27
Relationships	CBLC	MY ORDER TY	Description *	portalimadmin	10/18/2019 08:32:59
ATS Order Types	CBLC	ATS_ORDER_T	This is my new ATS Order Type.	portalimadmin	10/18/2019 08:26:47
			Max 500 characters 30/500 Effective Date * 4/2/2020 Order Trues must be registered at least 20 days prior to being effective.		
			Expiration Date (Optional)		

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

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.

		:00 AM EST 1/02/2020				Perspective Repo	orter 👻			Θ 丸
Reporting Feedback	ATS Order Types								Add New	Export
Error	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration D 1	Created By	Created On	Updated By	Updated On	
Corrections	CBLC	ABC123	This is my new ATS Order	04/02/2020		portalimadmin	04/02/2020 11:00:32	portalimadmin	04/02/2020 11:00:32	Ø
Report to	CBLC	MY ORDER TYPE A	This is the description for	11/15/2019		portalimadmin	10/18/2019 08:32:59	portalimadmin	10/18/2019 08:32:59	ø
몲	CBLC	ATS_ORDER_TYPE_1	This is my first ATS Order	10/18/2019		portalimadmin	10/18/2019 08:26:47	portalimadmin	10/18/2019 08:26:47	ß

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 edit a non-expired ATS Order Type:

1. Click **/** for the order type.

Reporting Feedback	ATS Order Types								Add New	Export
Error Corrections	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration D., 1	Created By	Created On	Updated By	Updated On	
	CBLC	ABC123	This is my new ATS Order	04/02/2020		portalimadmin	04/02/2020 11:00:32	portalimadmin	04/02/2020 11:00:32	
Report to	CBLC	MY ORDER TYPE A	This is the description for	11/15/2019		portalimadmin	10/18/2019 08:32:59	portalimadmin	10/18/2019 08:32:59	ß

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

Reporting Feedback	ATS Order Types		Edit ATS Order Type	x		Add New Export
Error	CAT Reporter IMID	ATS Order Typ	CAT Reporter IMID		Created By	Created On
Corrections	CBLC	ABC123	CBLC	~	portalimadmin	04/02/2020 11:00:32
Report to	CBLC	MY ORDER TY	ATS Order Type		portalimadmin	10/18/2019 08:32:59
踞	CBLC	ATS_ORDER_1	ABC123		portalimadmin	10/18/2019 08:26:47
Reporting Relationships	CXCX	RAAR	Description *		PORTALIMADMIN	10/28/2019 09:40:49
	CBLC	NEW ATS ORE	This is my new ATS Order Type.	11	PORTALIMADMIN	10/18/2019 08:27:27
ATS Order Types	LQFI	E7516MU4S8	Max 500 characters	30/500	portalimusertestciti	12/13/2019 15:41:12
	CBLC	ATS_ORDER_1	Effective Date	-	PORTALIMADMIN	10/18/2019 08:27:09
			Order Types must be registered at least 20 days prior to being effective. Expiration Date (Optional)			
			7/31/2020			
	4		Cancel	Update		•

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

CAT R	eporter Portal	1:03 AM EST 14/02/2020				Perspective Repo	rter 👻			0
Reporting Feedback	ATS Order Types								Add New	Export
0	CAT Reporter IMID	ATS Order Type	Description	Effective Date	Expiration Date	Created By	Created On	Updated By	Updated On 1	
Error orrections	CBLC	ABC123	This is my new ATS Order	04/02/2020	07/31/2020	portalimadmin	04/02/2020 11:00:32	portalimadmin	04/02/2020 11:03:33	Ø
leport to CAT	CBLC	ATS_ORDER_TYPE_1	This is my first ATS Order	10/18/2019		portalimadmin	10/18/2019 08:26:47	portalimadmin	10/18/2019 08:26:47	123

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 subsequently submitted with that ATS Order Type will be rejected.

10 Administrative Information

The Portal provides access to announcements and system health information for all users.

10.1 Announcements

To view announcements:

1. Click \triangle . The most recent announcements are displayed.



2. To view more details for an announcement or view additional announcements, click ...more or

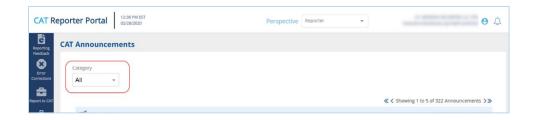
See All Announcements

e .							System Status: NORMA
Reporting	Reporting Feedback						CAT Announcements
Feedback Error Corrections	Reporting Summary Ever	t Type Counts	File Status				Exchange Route Match for February 25, 2020 Exchange Route Match statistics for February 25, 2020 are now available except for CBOE EDGA Exchange and CBOE B2X Exchange. If you have any concerns regrading this matter,
port to CAT	Processing Date O Trade Da 2/27/2020		•	ALL 👻	APPLY RESE	T	please contact the CAT Help Desk at 800-321-6273 Reminder - final Weekend Testing opportunity - NYEE Chicage Pillar Migration NYEE is providing the final weekend testing opportunity with CAT's support for the NYEE Chicage Pillar Technology Migration on March 12, 2020, See related MYEE Trader
leporting lationships TS Order Types	Adjusted Error Rate	1.6550%					Exchange Route Match for Fabruary 22, 2020 Exchange Route Match for Fabruary 22, 2020 are now available except for CBOE EDGA Exchange, CBDE EDGA Stochange, CBOE BOX Exchange, CBOE EDGA Stochange, CBOE BOX Exchange, CBOE EDGA Stochange, CBOE BOX Exchange, CBOE EDGA
	File Submissions	Valid Files Submitted	Data Files Received	Data Files Accepted	Data Files Rejected	Metadata Files Received	See All Announcemen

3. Review the full CAT Announcements page.

CAT R	eport		2:38 PM EST (2/28/2020	Perspectiv	Reporter	*	Θ Δ
Reporting Feedback	CAT	Announceme	nts				
Error Corrections		itegory All +					
Report to CAT		-				<	K < Showing 1 to 5 of 322 Announcements >>>
몲		System Annou	uncement				2020-02-28 08:58:18
Reporting Relationships		Exchange R	oute Match for February 25, 2	020			
ATS Order Types			e Match statistics for February 25. 2020 concerns regarding this matter, please			BOE BZX Exchange.	
		Hot Topics					2020-02-26 09:22:12
		Reminder -	Final Weekend Testing Opport	unity - NYSE Chicago Pillar I	ligration		
		NYSE is providir	ng the final weekend testing opportunit	with OATS support for the NYSE Chi	ago Pillar Technolo	ogy Migration on Octob	er 12,2019. See related NYSE Trader Update.
		deadline. OATS OATS CT Websit		test data. Matching statistics for the ntitled "FINRA Guidance on OATS Exc	veekend test will b hange Route Match	e provided to firms up ning" for OATS reportin	on request and will not be published to the g guidance for routes to NYSE Chicago on
		If you have any	questions regarding this matter, please	call 1-800-321-6273.			
		System Annou	uncement				2020-02-25 06:20:19

4. To filter the list of announcements, select a specific Category.



By default, all announcements are displayed. To display announcements for a particular category only, select the Category from the dropdown.

10.2 System Status

The system status provides an indication of the current state of the CAT Reporter Portal. The status is indicated as one of the following:

GREEN, indicating that the CAT Reporter Portal performance is as expected and is not currently experiencing any issues or delays.

AMBER, indicating that the CAT Reporter Portal may be experiencing minor issues or slowness.

To view the current system status:

1. Click 🕰.



2. View the system status.

CAT Reporter Portal 1238 PM EST 2020/2020 Perspective Reporter	•	8 😒
Reporting Feedback		System Status: NORMAL CAT Announcements
Redakt Basastlas Cummany - Super Dana Counter - Ella Status		Exchange Route Match for February 25, 2020 Exchange Route Match statistics for February 25,