

Consolidated Audit Trail

Interfirm Linkage Overview

Agenda

- ▶ General Processing Overview
- ▶ Linkage Keys and Errors
- ▶ Linkage Feedback and Corrections
- ▶ Overview of releases 3.1, 3.2 and 3.3

2a/2b Timelines

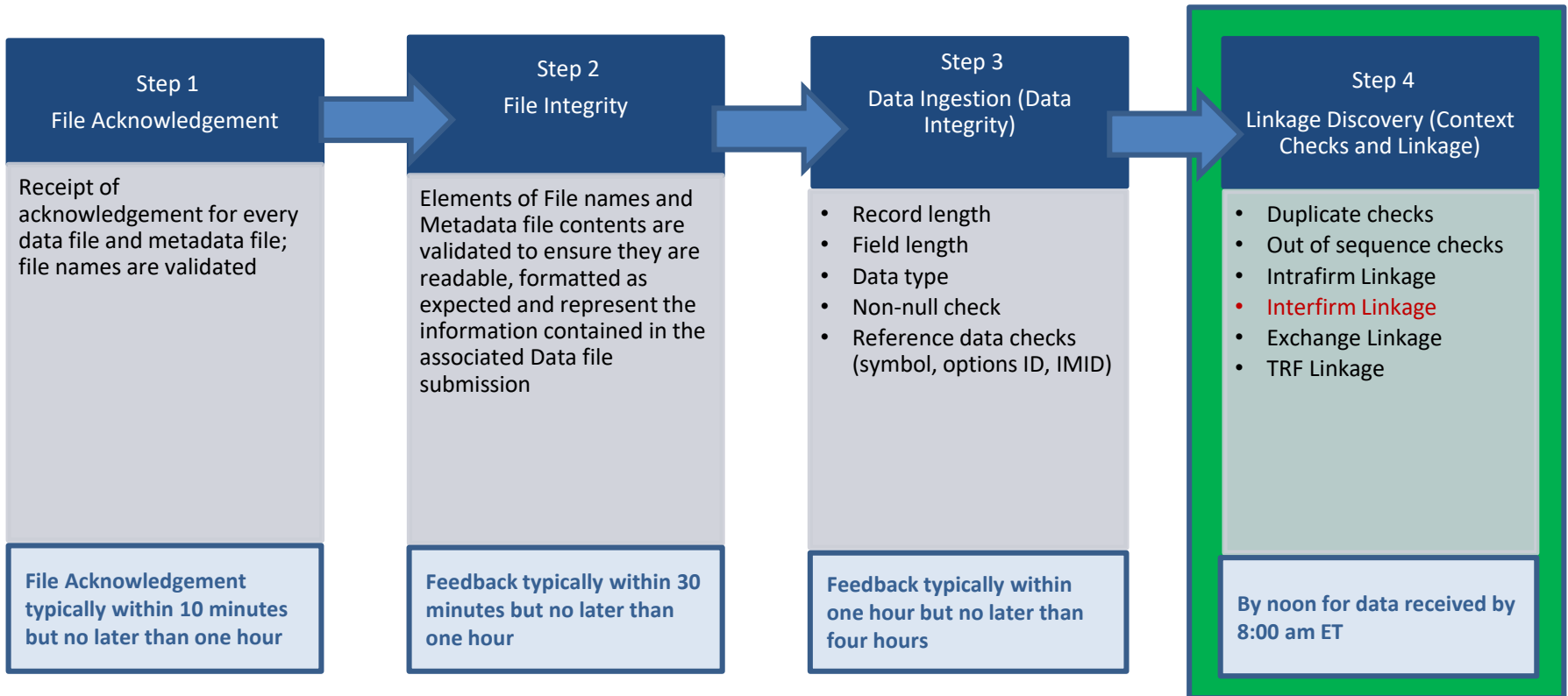
- ▶ The CAT Industry Member Test and Production Environments for Phases 2a and 2b are being rolled out in a series of releases which implement different validation types at different times. These releases include:

| Release | Test Environment Deployment Date | Production Environment Deployment Date | Compliance Go-Live Date |
|---------------------------------------|--|--|------------------------------------|
| 1- File Submission and Data Integrity | December 16, 2019 (multiple releases) | April 13, 2020 (multiple releases) | June 22, 2020 (Phase 2a) |
| | | | July 20, 2020 (Phase 2b) |
| 2- Intrafirm Linkage | April 20, 2020 (multiple releases) | May 4, 2020 (multiple releases) | July 27, 2020 (Phase 2a) |
| | | | August 24, 2020 (Phase 2b) |
| 3- Interfirm Linkage | July 27, 2020 | August 10, 2020 | October 26, 2020 (Phase 2a) |
| | | | January 4, 2021 (Phase 2b) |
| 4- Exchange/ TRF Linkage | September 9, 2020 | September 28, 2020 | October 26, 2020 (Phase 2a) |
| | | | January 4, 2021 (Phase 2b) |

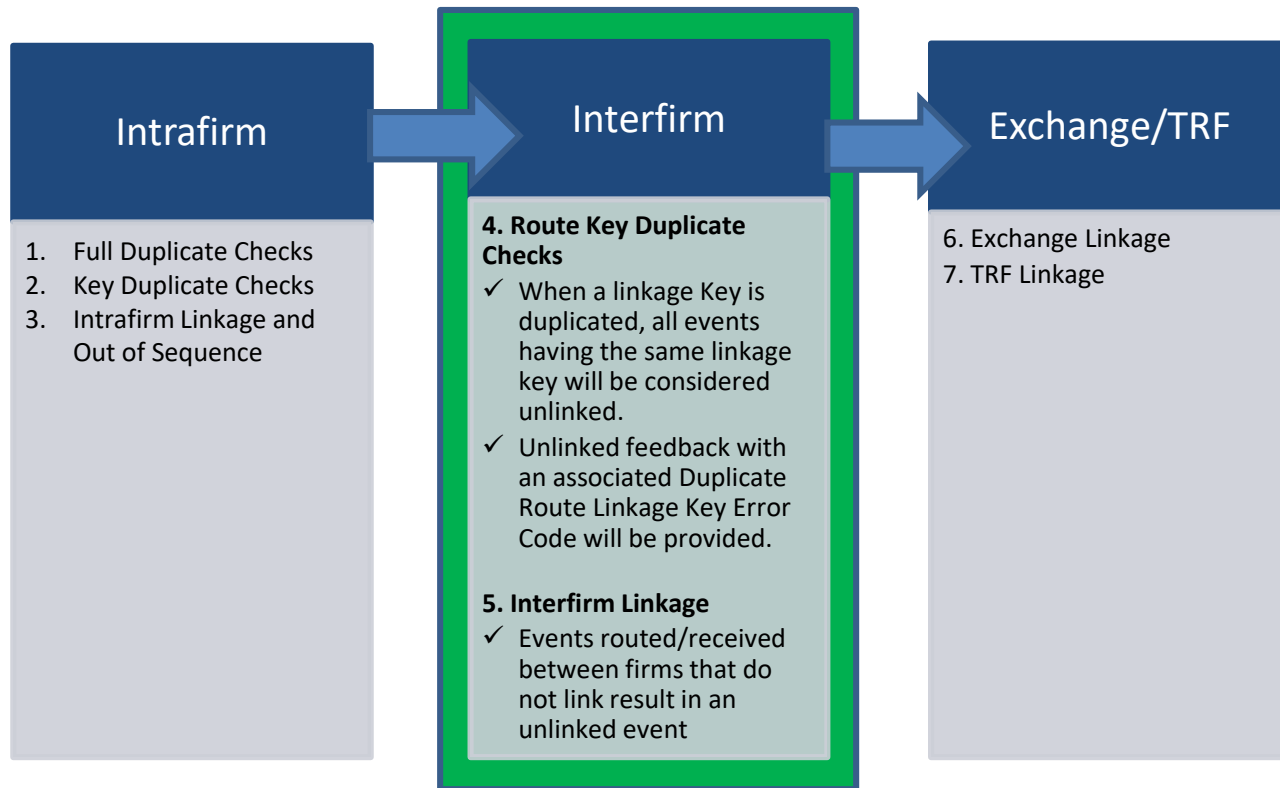
- ▶ Refer to CAT Alert 2020-01 for additional information.

General Processing Overview

CAT Processing



Linkage Discovery Steps



Linkage Keys and Errors

Interfirm Route Linkage Key

| Sender (MEOR) | Receiver (MEOA/MEOM) |
|--------------------------------------|--------------------------------------|
| senderIMID | senderIMID |
| destination (IMID) | receiverIMID |
| Event Date portion of eventTimestamp | Event Date portion of eventTimestamp |
| symbol (or optionID) | symbol (or optionID) |
| routedOrderID | routedOrderID |

- ▶ Route Linkage Key must be equal between the sender and the receiver.
- ▶ Route Linkage key must be unique within the combination of the above noted fields. Uniqueness requirements apply to both the sender and the receiver.
- ▶ Session does not participate in Route Linkage key for routes between IMs.

Refer to **Section 2.6.3** of the IM Tech Spec for additional information/examples.

Determining Which IMID to Populate (Section 2.4.1 of the Spec)

- ▶ If an Industry Member has more than one IMID, the following criteria should be used to determine how to populate the *senderIMID*, *receiverIMID*, and *destination* fields:
 - For orders received from or routed to an alternative trading system (ATS), the FINRA ATS MPID must be used.
 - FINRA members must use the same MPID for CAT reporting that it uses for related trade reporting facility (TRF) trade reporting, or, for quoting on an IDQS.
 - If there is no ATS, TRF or quoting MPID requirement, firms may agree to use any valid FINRA MPID when routing to or receiving from another FINRA member, as long as both CAT Reporters use the same MPID as the IMID.
 - For orders received from or routed to a non-FINRA member firm, firms must agree to use the same IMID when reporting events to CAT. Non-FINRA members may use any effective identifier of the firm.
- ▶ The *senderIMID*, *receiverIMID*, and *destination* fields can be different than the CAT Reporter IMID.

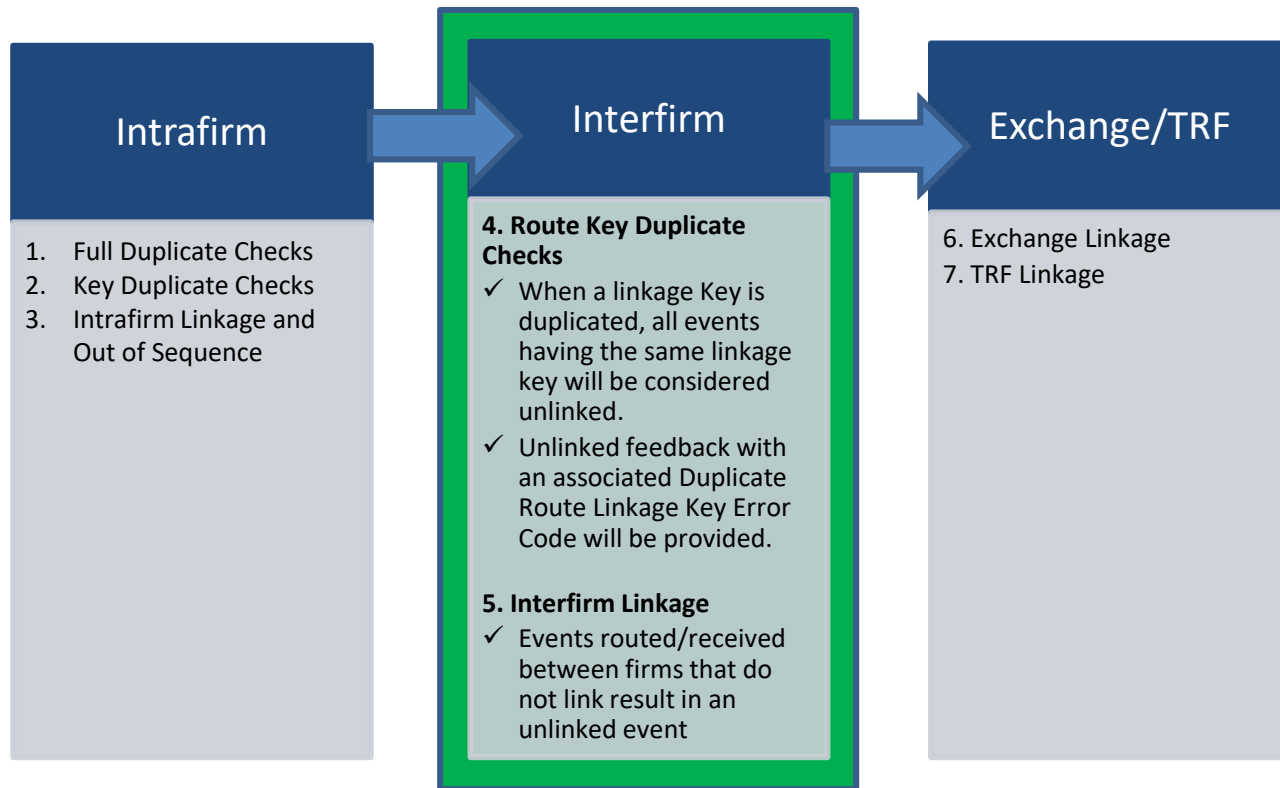
Populating IMID Fields on Interfirm Routes (Section 2.4.1 and 2.6.3.1 of the spec)

- ▶ CAT reporters must populate the *senderIMID*, *receiverIMID* and *destination* fields with both the CRD and IMID, formatted as <CRD>:<IMID>.
- ▶ Example:

| Sender - MEOR | | Receiver - MEOA | |
|--|----------|--|----------|
| CATReporterIMID ABCD | | CATReporterIMID DEFG | |
| senderIMID | 123:ABC | senderIMID | 123:ABC |
| destination | 456:DEFG | receiverIMID | 456:DEFG |
| Event Date (portion of eventTimestamp) | 05012018 | Event Date (portion of eventTimestamp) | 05012018 |
| symbol | XYZ | symbol | XYZ |
| routedOrderID | ROID1234 | routedOrderID | ROID1234 |

- ▶ This requirement will become effective on **July 27, 2020**.

Linkage Discovery Steps



Error Codes

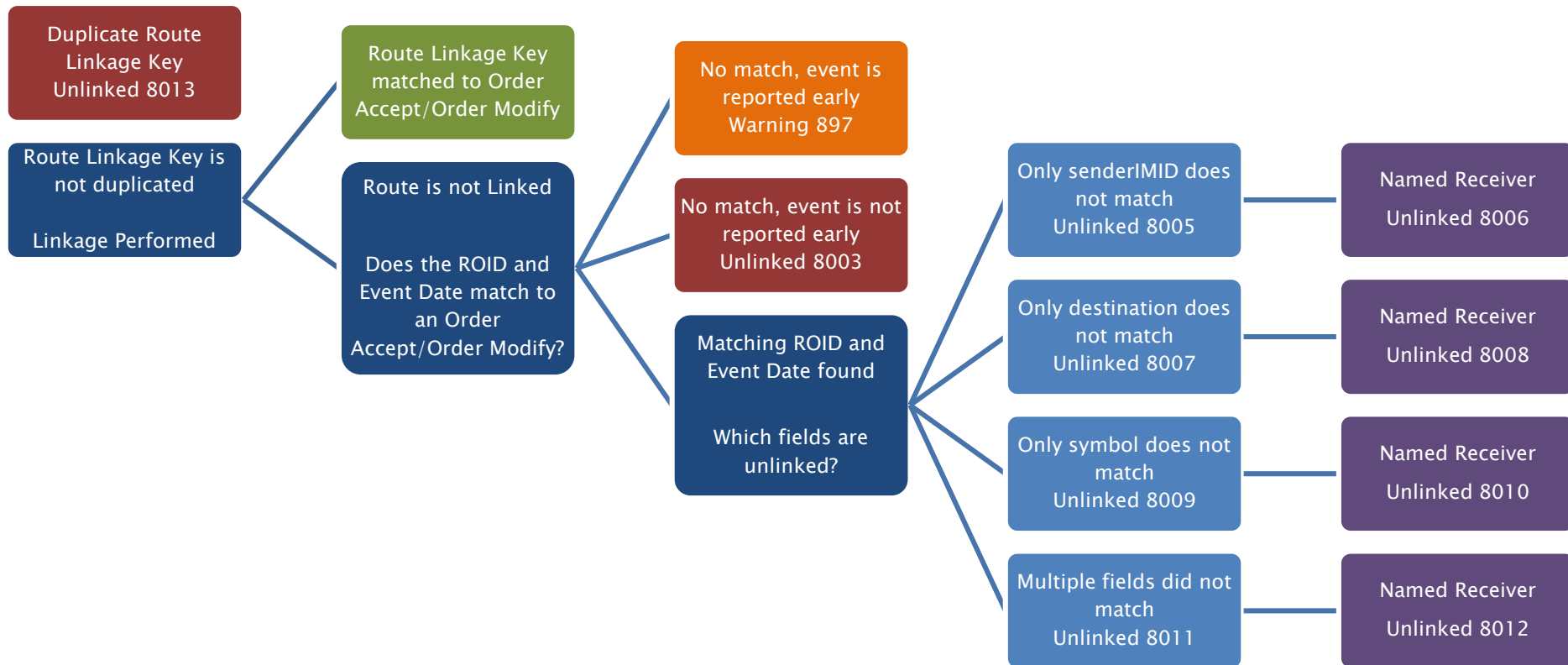
- ▶ Error Codes identify the reason a File or Record did not pass a validation
- ▶ Codes may be deemed an Error or a Warning:
 - All Errors must be corrected
 - Warnings are not repairable
- ▶ Error codes are organized by processing stages:

| Error Type | Assigned Series |
|----------------------------------|---|
| Warnings | < 1000 (<i>change to IM Specs to allow for filtering</i>) |
| File Integrity Errors | 1000 |
| Ingestion Errors | 2000 |
| Intrafirm Linkage Errors | 3000 |
| Trade Linkage Errors | 4000 and 5000 |
| Exchange Linkage Errors | 6000 and 7000 |
| Inter-firm Linkage Errors | 8000 and 9000 |

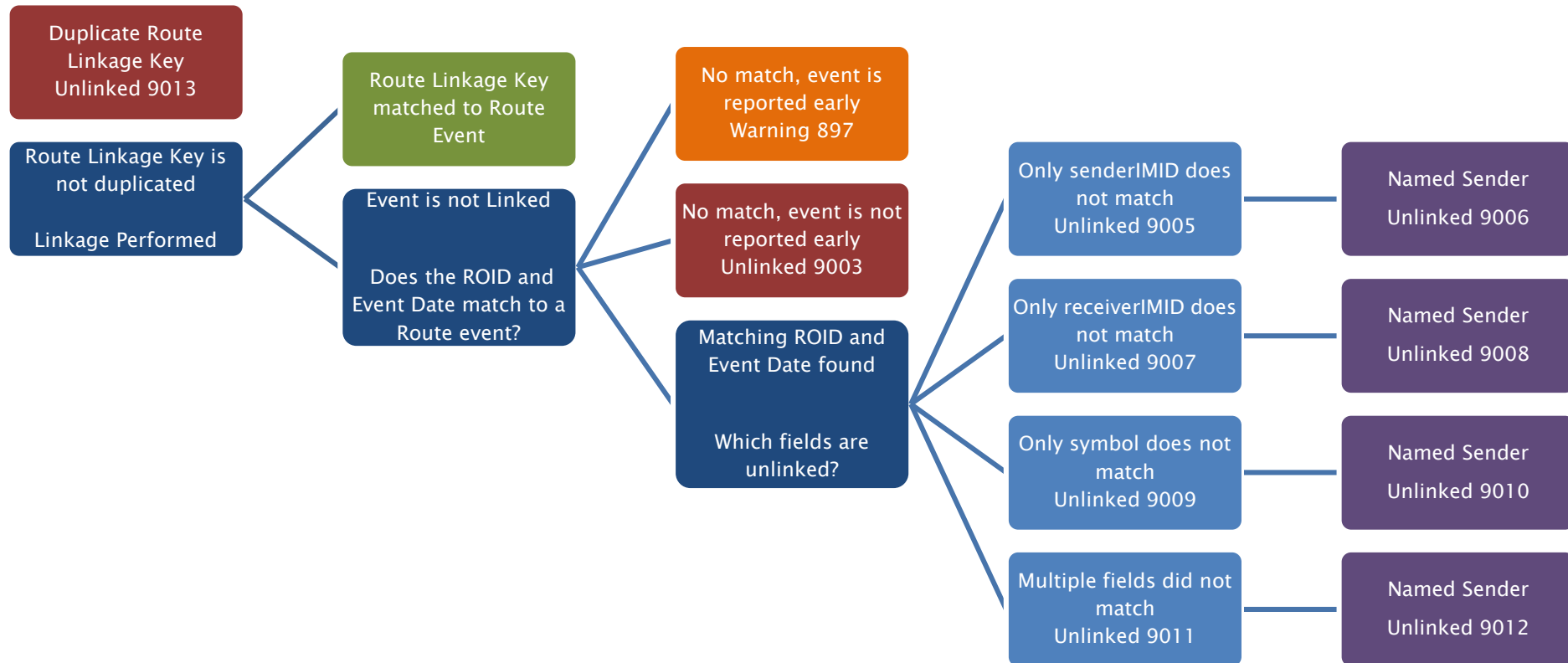
Interfirm Route Key Linkage Errors

| Error Type | Description |
|------------------------------------|---|
| Route Key Duplicates | Error codes assigned when a CAT reporter submits a route, accepted, or modified event with a duplicate Route Linkage key. Duplication of Route Linkage Keys will result in unlinked errors for all records having the same key. |
| Unlinked Routes | Route event that is unlinked |
| Unlinked Order Accepted / Modified | Accepted and/or the modified event that is unlinked. |
| Named Errors | Error codes assigned when the CAT Reporter was named in a record submitted by another CAT Reporter (Industry Member, Exchange or TRF/ADF/ORF) that is unlinked. |
| Early Reported Warning | Warning error code assigned to the CAT Reporter who submitted the record on the CAT Reporting Day prior to the due date (e.g., event occurring at 5:15 reported the next day by 8 am when it was not due until 8:00 am the next Trading Day) . Warning because the contra was not required to report yet. |

Order Route event – Linkage Order of Operations (8000 Errors)

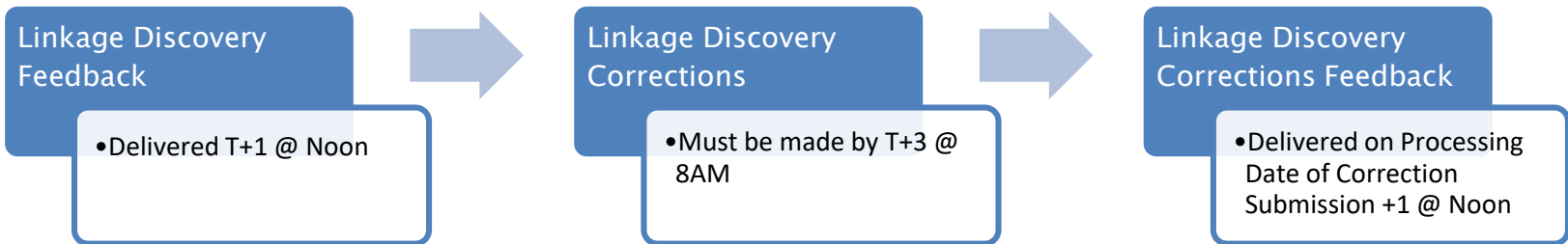


Order Accepted/Order Modified events – Linkage Order of Operations (9000 Errors)



Linkage Feedback and Corrections

Linkage Discovery Feedback and Corrections



Linkage Feedback Delivered via SFTP

- ▶ Feedback files will be accessible in the Submitter's feedback directories.
- ▶ Feedback for data submitted by a CAT Reporting Agent on behalf of a CAT Reporter will be accessible under the CAT Reporter's feedback directories if the CAT Reporter has an SFTP account.
- ▶ Named Errors will be accessible **only** in the CAT Reporter's feedback directory.
 - The feedback format will match the format of the original submission unless the CAT Reporter specifies a preference for Named Unlinked Errors that is different than the Unlinked Errors.
- ▶ Feedback will remain available for 10 calendar days.

Linkage Feedback Available on the Reporter Portal

- ▶ Machine formatted feedback files for all submission types will be accessible for download by the CAT Reporter, Submitter and Third-Party Reporting agent (if applicable).
- ▶ Machine formatted feedback files for Named errors will be accessible for download **only** by the CAT Reporter.
- ▶ Machine formatted feedback files will remain available for 10 days.

Correcting Interfirm Unlinked Errors

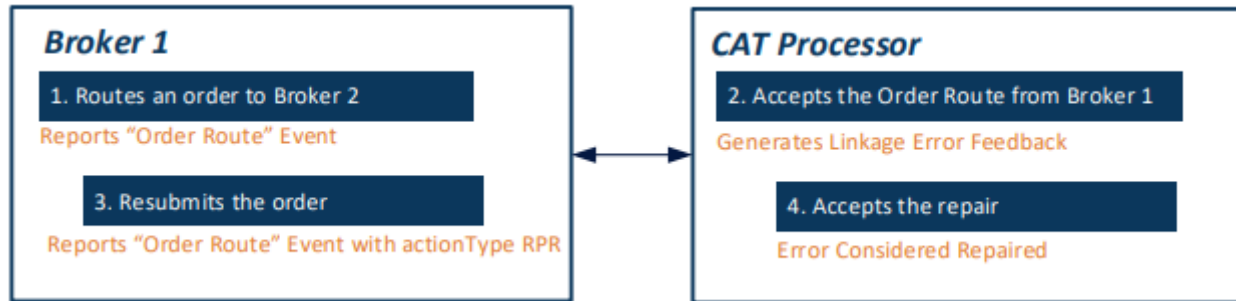
Error Feedback

- ▶ Error feedback returned to CAT Reporters will include the associated Error Code(s) and the Error Record Identifier (*errorROEID*).
- ▶ Assigned an initial repair status of Unrepaired ('U').

Reporting Corrections

- ▶ Distinguished using the Action Type Code.
 - **'RPR'** – must include *errorROEID* of the CAT identified error being corrected.
 - **'COR'** – must include *firmROEID* of the CAT identified error or CAT Reporter reporting error being corrected.
 - **'DEL'** – may include the *errorROEID* or the *firmROEID*.
- ▶ The use of a 'DEL' event can be used to remove an erroneous event which resulted in an error.
- ▶ Corrections made by an Industry Member to correct a linkage error will resolve any Linkage errors given to the counterparty.

Interfirm Linkage Correction



| Error Feedback – Unlinked Interfirm Event | Corrected Submission |
|--|--|
| errorCode: 8003 actionType: RPR errorROEID: 923451234 type: MEOR CATReporterIMID:BRK1 eventTimestamp: 20180417T101010.101 routedOrderID: Z23456 symbol: XYZ destination: BRK2 senderIMID: BRK1 | actionType: RPR errorROEID: 923451234 type: MEOR CATReporterIMID:BRK1 eventTimestamp: 20180417T101010.101 routedOrderID: X55894 symbol: XYZ destination: BRK2 senderIMID: BRK1 Both the CAT Reporter's Unlinked error and the counterparty's Unlinked Named error will reconcile after correction |

Release 3.1

Industry Test – 7/27/2020

Production – 8/10/2020

Industry Member 2a/2b – Release 3

Interfirm Release Rollout

Interfirm Release 3.1
Industry Test – 7/27/2020
Production – 8/10/2020

- Machine-to-Machine Interfirm Validations & Feedback including Named Errors

CAT Reporter Portal

- Download Interfirm Feedback including Named Errors
- Set preference for Named Feedback (JSON vs CSV)

Interfirm Release 3.2
Industry Test – 8/10/2020
Production – 8/17/2020

CAT Reporter Portal

- **Reporting Summary** (Interfirm Link Eligible, Errors, Warnings and Adjusted Error Rate)
- Counterparty statistics downloadable for Interfirm Unlinked and Unlinked Named Errors
- **Error Code Count** screen to include Interfirm Errors and Warning including Named Errors
- **Error Search** screen ability to view and correct Interfirm Linkage Errors (No Named Errors)

Interfirm Release 3.3
Industry Test – 9/21/2020
Production – 9/28/2020

CAT Reporter Portal

- **Error Search** screen ability to view Named Interfirm Errors (Not repairable via the Portal)
- **New Screen** for Interfirm statistics by counterparty

Additional planned features still being evaluated for release time frame:












- Enable Bulk Repair for linkage errors
- Summary of counterparty errors by error code
- SFTP Reconciliation and Repair Status

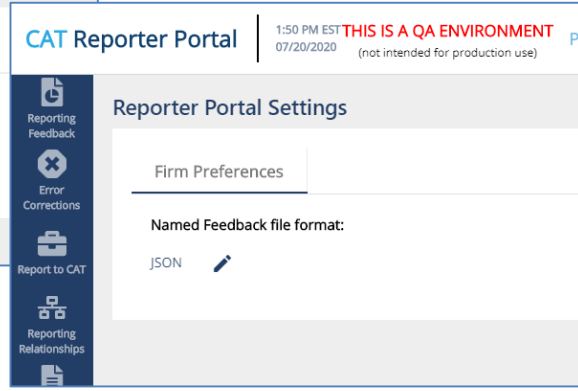
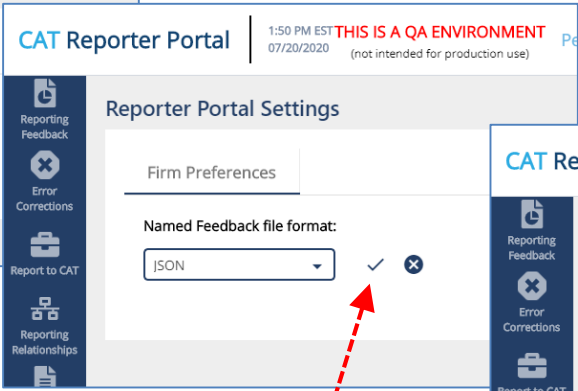
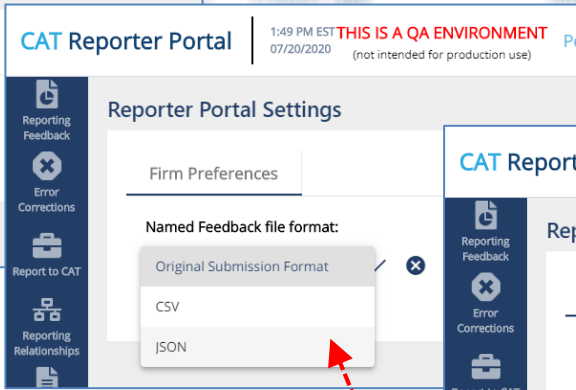
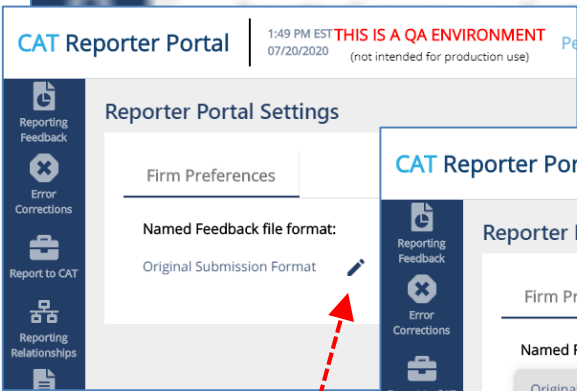
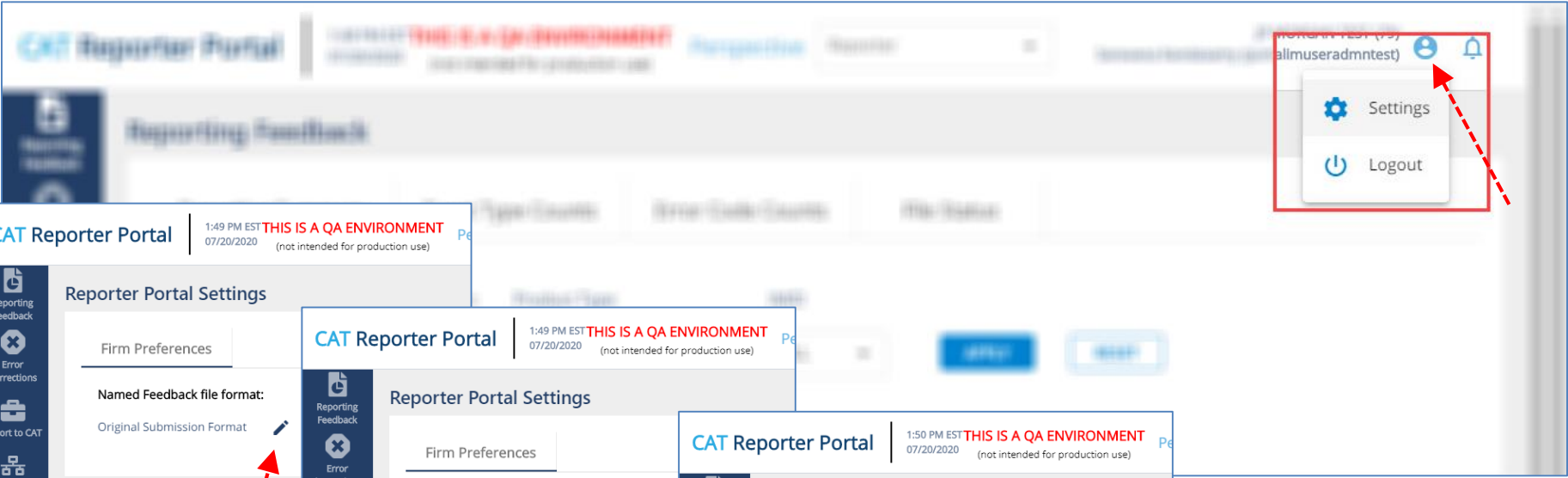
-  Reporting Feedback
-  Error Corrections
-  Report to CAT
-  Reporting Relationships
-  ATS Order Types

Report to CAT

- Download Feedback
- Create CAT Events
- Pending Submissions

 Linkage feedback files are for both Portal and SFTP submissions. File Ingestion and Data Integrity feedback files are for Portal submissions via direct entry/repair and "File Upload" functionality only.

| Feedback Time | File Name | Download |
|-----------------------|--|---|
| Jul 16, 2020 11:10:52 | 95053_CAT19_20200715_OrderEvents.linkage.error_000001.csv.bz2 |  |
| Jul 16, 2020 11:10:51 | 95053_CAT19_20200715_OrderEvents.linkage_000001.csv |  |
| Jul 16, 2020 11:10:51 | 95031_CAT11_20200715_OrderEvents.linkage.error_000001.json.bz2 |  |
| Jul 16, 2020 11:10:51 | 95031_CAT11_20200715_OrderEvents.linkage_000001.json |  |
| Jul 16, 2020 11:10:51 | 95031_CAT10_20200715_OrderEvents.linkage.success |  |
| Jul 16, 2020 03:50:37 | 95053_CAT19_20200716_catweb_OrderEvents_067227.ingestion.csv |  |
| Jul 16, 2020 03:48:54 | 95053_CAT19_20200716_catweb_OrderEvents_067227.integrity.csv |  |
| Jul 15, 2020 10:29:17 | 95031_CAT11_20200714_OrderEvents.linkage.error_000001.json.bz2 |  |
| Jul 15, 2020 10:29:17 | 95031_CAT11_20200714_OrderEvents.linkage_000001.json |  |
| Jul 15, 2020 10:29:17 | 95031_CAT10_20200714_OrderEvents.linkage.success |  |
| Jul 14, 2020 12:13:20 | 93003_CAT15_20200706_OrderEvents_071401.meta.integrity.json |  |



Release 3.2

Industry Test - 8/10/2020

Production - 8/17/2020

Industry Member 2a/2b – Release 3

Interfirm Release Rollout

Interfirm Release 3.1

Industry Test – 7/27/2020

Production – 8/10/2020

- Machine-to-Machine Interfirm Validations & Feedback including Named Errors

CAT Reporter Portal

- Download Interfirm Feedback including Named Errors
- Set preference for Named Feedback (JSON vs CSV)

Interfirm Release 3.2

Industry Test – 8/10/2020

Production – 8/17/2020

CAT Reporter Portal

- **Reporting Summary** (Interfirm Link Eligible, Errors, Warnings and Adjusted Error Rate)
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- **Error Search** screen ability to view and correct Interfirm Linkage Errors (No Named Errors)

Interfirm Release 3.3

Industry Test – 9/21/2020

Production – 9/28/2020

CAT Reporter Portal

- **Error Search** screen ability to view Named Interfirm Errors (Not repairable via the Portal)
- **New Screen** for Interfirm statistics by counterparty

Additional planned features still being evaluated for release time frame:

- Enable Bulk Repair for linkage errors
- Summary of counterparty errors by error code
- SFTP Reconciliation and Repair Status

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types

CAT11 95031 0 2,679 10 0 0.3732% 0.3732%

| Interfirm Sent | | Warnings | Linkage Eligible | Route Key Duplicates | Unlinked Events | Repaired Unlinked | Initial Unlinked Rate | Adjusted Unlinked Rate |
|------------------------------|--------------|----------|------------------|----------------------|-----------------|-------------------|-----------------------|------------------------|
| Hide Details | | | | | | | | |
| IMID | Submitter ID | 0 | 5,456 | 39 | 13 | 0 | 0.9530% | 0.9530% |
| CAT10 | 95031 | 0 | 98 | 9 | 3 | 0 | 12.2448% | 12.2448% |
| CAT11 | 95031 | 0 | 5,358 | 30 | 10 | 0 | 0.7464% | 0.7464% |

| Interfirm Received | | Warnings | Linkage Eligible | Route Key Duplicates | Unlinked Events | Repaired Unlinked | Initial Unlinked Rate | Adjusted Unlinked Rate |
|------------------------------|--------------|----------|------------------|----------------------|-----------------|-------------------|-----------------------|------------------------|
| Hide Details | | | | | | | | |
| IMID | Submitter ID | 0 | 2,728 | 8 | 5 | 0 | 0.4765% | 0.4765% |
| CAT10 | 95031 | 0 | 49 | 0 | 3 | 0 | 6.1224% | 6.1224% |
| CAT11 | 95031 | 0 | 2,679 | 8 | 2 | 0 | 0.3732% | 0.3732% |

| Named Statistics | | Unlinked Interfirm Sent | Unlinked Interfirm Received |
|------------------------------|--|-------------------------|-----------------------------|
| Hide Details | | | |
| IMID | | 35 | 22 |
| CAT10 | | 19 | 7 |
| CAT11 | | 16 | 15 |

NOTE: Interfirm unlinked event counts by Counterparty are provided in a separate data file which is included in the Export at the top of the page

Counterparty Export – Sample for firm ZZZZ1

| Linkage Processing Date | Trade Date | Product Type | CRD ID | IMID | Submitter ID | Third Party ID | Counterparty CRD ID | Counterparty IMID | Linkage Type | Linkage Sub Type | Record Count Category | Record Count Sub Category | Records Count |
|-------------------------|------------|--------------|--------|-------|--------------|----------------|---------------------|-------------------|--------------|--------------------|-----------------------|---------------------------|---------------|
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | 88 | | 361 | GSCO | INTERFIRM | INTERFIRM SENT | ERROR | UNLINKED | 10 |
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | 88 | | 361 | GSCO | INTERFIRM | INTERFIRM RECEIVED | ERROR | UNLINKED | 15 |
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | | | 123 | MLCO | INTERFIRM | INTERFIRM SENT | ERROR | UNLINKED NAMED | 30 |
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | 88 | | 79 | JPMS | INTERFIRM | INTERFIRM SENT | ERROR | UNLINKED | 30 |
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | 88 | | 79 | JPMS | INTERFIRM | INTERFIRM RECEIVED | ERROR | UNLINKED | 40 |
| 6/29/2020 | 6/28/2020 | EQUITIES | 9999 | ZZZZ1 | | | 361 | GSCO | INTERFIRM | INTERFIRM RECEIVED | ERROR | UNLINKED NAMED | 7 |

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types

Reporting Feedback

- Reporting Summary
- Event Type Counts
- Error Code Counts**
- File Status

Processing Date
 Trade Date
 Product Type
 IMID

7/8/2020
 ALL
 ALL
 APPLY
 RESET

Error Code Counts (8)

[Export](#)

| Date | CAT Reporter IMID | Submitter ID | Error Code | Error Type | Error Reason | Error Count* |
|------------|-------------------|--------------|------------|------------|---|--------------|
| 07/08/2020 | CAT10 | 95031 | 2091 | REJECTION | Missing or Invalid senderIMID | 23 |
| 07/08/2020 | CAT10 | 95031 | 2093 | REJECTION | Missing or Invalid session | 15 |
| 07/08/2020 | CAT10 | 95031 | 3501 | LINKAGE | Secondary Event - Order Key, Trade Key, ... | 3 |
| 07/08/2020 | CAT11 | 95031 | 9003 | LINKAGE | Matching routedOrderID cannot be found | 12 |
| 07/08/2020 | CAT11 | 95031 | 2091 | REJECTION | Missing or Invalid senderIMID | 1412 |
| 07/08/2020 | CAT11 | | 8006 | LINKAGE | Named - senderIMID did not match | 20 |
| 07/08/2020 | CAT11 | 95031 | 2098 | REJECTION | symbol not effective on Event Date | 2 |
| 07/08/2020 | CAT11 | 95031 | 3501 | LINKAGE | Secondary Event - Order Key, Trade Key, ... | 10 |

- Reporting Feedback
- Error Corrections
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- Reporting Relationships
- ATS Order Types

Error Corrections

Error Summary Error Search

Processing Date
 Trade Date
 Product Type
 IMID

7/10/2020
 ALL
 ALL
 APPLY
 RESET

Error Summary (17)

Export

| Date | CAT Reporter IMID | Submitter ID | Error Type | Repair Status | Repair Type | Error Code | Error Reason | Group Repair Elig |
|------------|-------------------|--------------|------------|---------------|-------------|------------|--------------------------------------|-------------------|
| 07/10/2020 | CAT10 | 95031 | LINKAGE | U | | 3501 | Secondary Event - Order Key, Trad... | |
| 07/10/2020 | CAT10 | 95031 | REJECTION | U | | 2091 | Missing or Invalid senderIMID | |
| 07/10/2020 | CAT10 | 95031 | LINKAGE | U | | 8011 | Multiple fields did not match | |
| 07/10/2020 | CAT10 | 95031 | REJECTION | U | | 2091 | Missing or Invalid senderIMID | Y |
| 07/10/2020 | CAT11 | 95031 | LINKAGE | U | | 3501 | Secondary Event - Order Key, Trad... | |
| 07/10/2020 | CAT11 | 95031 | REJECTION | U | | 2019 | Combination of destination and de... | |
| 07/10/2020 | CAT11 | 95031 | REJECTION | U | | 2091 | Missing or Invalid senderIMID | |
| 07/10/2020 | CAT11 | 95031 | LINKAGE | U | | 9007 | receiverIMID did not match | |
| 07/10/2020 | CAT11 | 95031 | REJECTION | U | | 2091 | Missing or Invalid senderIMID | Y |

- Reporting Feedback
- Error Corrections
- Report to CAT
- Reporting Relationships
- ATS Order Types

Error Corrections

Error Summary Error Search

Processing Date
 Trade Date
 Product Type: ALL
 IMID: ALL

Scrolling further to the right will show linkage key fields -->

Total Errors (522)

Export

| Error ROE ID | Firm ROE ID | Error Code | Error Reason | Error Type | Repair Status | CAT Reporter CRD |
|-------------------------------------|-----------------------------|------------|---|------------|---------------|------------------|
| 3205198333138 | 20200707_DV04-0000007136... | 3501 | Secondary Event - Order Key, Trade Key, Quote Key or F... | LINKAGE | U | 99999999 |
| 3205198333139323... | 20200707_DV04-0000007136... | 3501 | Secondary Event - Order Key, Trade Key, Quote Key or F... | LINKAGE | U | 99999999 |
| 3232056188229 | 20200710_DV04-0000007179... | 2091 | Missing or Invalid senderIMID | REJECTION | U | 99999999 |
| 3232056188235 | 20200710_DV04-0000007180... | 2091 | Missing or Invalid senderIMID | REJECTION | U | 99999999 |
| 3232056188251 | 20200710_DV04-0000007182... | 2091 | Missing or Invalid senderIMID | REJECTION | U | 99999999 |
| 3232056188256 | 20200710_DV04-0000007183... | 8005 | senderIMID did not match | LINKAGE | U | 99999999 |
| 3232056188261 | 20200710_DV04-0000007183... | 2091 | Missing or Invalid senderIMID | REJECTION | U | 99999999 |
| 3232056188268 | 20200710_DV04-0000007183... | 9009 | symbol did not match | LINKAGE | U | 99999999 |
| 3232056188238 | 20200710_DV04-0000007179... | | MULTIPLE ERRORS | REJECTION | U | 99999999 |

Comingled Feedback Example

| | errorROEID | type | actionTypeCode | IMID | IMID/sendIMID/ rtngOrigin | rcvrlIMID/ destination | symbol | OrderID | routedOrderID | eventTimestamp | ErrorCode | ErrorDesc | RprdStatus | Analysis | Correction Steps & Outcome |
|---|------------|------|----------------|------|------------------------------|---------------------------|--------|---------|---------------|-----------------------|-----------|---|------------|---|---|
| 1 | 12345 | MENO | NEW | FRMA | | | XYZ | ABC123 | | 1/30/2019 9:30:02.000 | 2018 | Missing or Invalid deptType | U | Rejection causing unlinked Intrafirm | Rejection repair will repair both errors |
| | 12992 | MEOC | NEW | FRMA | | | XYZ | ABC123 | | 1/30/2019 9:30:03.000 | 3501 | Secondary Event - Key Not Found | U | | |
| 2 | 13004 | MEOC | NEW | FRMA | | | ZZY | AB9101 | | 1/30/2019 9:42:03.000 | 3501 | Secondary Event - Key Not Found | U | Missing Origination Event, no rejection | Late report will repair unlinked error |
| 3 | 13921 | MEOA | | FRMA | FRMB | FRMA | BBA | AZ333 | VFA499 | 1/30/2019 9:45:03.000 | 9003 | Matching routedOrderID not found | U | Unlinked because FRMB did not report or Route rejected; named error for FRMB Route not present | FRMB's rejection repair or late submission will repair unlinked error |
| 4 | | | | | FRMB | FRMA | AAA | | CCD931 | 1/30/2019 9:58:03.000 | 8004 | Named on Order Route event where routedOrderID cannot be found | U | FRMA or FRMB - Incorrect linkage key | Additional analysis needed |
| | 13273 | MEOA | | FRMA | FRMB | FRMA | BBA | AZ333 | VFA499 | 1/30/2019 9:45:03.000 | 9003 | Matching routedOrderID not found | U | | |

Release 3.3

Industry Test - 9/21/2020

Production - 9/28/2020

Industry Member 2a/2b – Release 3

Interfirm Release Rollout

Interfirm Release 3.1
Industry Test – 7/27/2020
Production – 8/10/2020

- Machine-to-Machine Interfirm Validations & Feedback including Named Errors

CAT Reporter Portal

- Download Interfirm Feedback including Named Errors
- Set preference for Named Feedback (JSON vs CSV)

Interfirm Release 3.2
Industry Test – 8/10/2020
Production – 8/17/2020

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Interfirm Release 3.3
Industry Test – 9/21/2020
Production – 9/28/2020

CAT Reporter Portal

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- Summary of counterparty errors by error code
- SFTP Reconciliation and Repair Status

Reporting Feedback

Reporting Summary | File Status | Error Summary | **Counterparty Statistics**

Processing Date Trade Date

Product Type

IMID

07/15/2020



All

All

APPLY

RESET

Counterparty Statistics (8)

[Export](#)

| Date | IMID | Linkage Type | Reported/ Name | Counterparty | Counterparty ID | Linkage Eligible | Unlinked | Repaired | Initial Unlinked Rate | Adj. Unlinked Rate |
|---------|-------|--------------|-------------------|--------------|-----------------|------------------|----------|----------|-----------------------|--------------------|
| 7/15/20 | CAT12 | INTERFIRM | Reported Sent | ABCD | 88888888 | 1233 | 194 | 13 | 9.8946% | 2.4691% |
| 7/15/20 | CAT12 | INTERFIRM | Named Sent | ABCD | 88888888 | 2365 | 122 | 7 | 3.6786% | 8.8402% |
| 7/15/20 | CAT12 | INTERFIRM | Reported Received | ABCD | 88888888 | 6357 | 87 | 39 | 3.0518% | 3.3827% |
| 7/15/20 | CAT12 | INTERFIRM | Named Received | ABCD | 88888888 | 324 | 30 | 22 | 9.2593% | 2.4383% |
| 7/15/20 | CAT12 | INTERFIRM | Named Received | WXYZ | 77777777 | 902 | 67 | 22 | 7.4279% | 4.9889% |
| 7/15/20 | CAT10 | INTERFIRM | Named Received | WXYZ | 77777777 | 739 | 20 | 3 | 2.7064% | 2.3004% |
| 7/15/20 | CAT19 | INTERFIRM | Reported Received | AAAA | 77777777 | 882 | 11 | 10 | 1.2472% | 0.1134% |
| 7/15/20 | CAT17 | INTERFIRM | Reported Sent | ABCD | 88888888 | 107 | 17 | 17 | 15.8879% | 0.0000% |

How to Ask a Question during Today's Call

- ▶ **For participants using computer audio:**
 - Click the “Participants” button at the bottom of the app window, then the “Raise Hand” button at the bottom of the participants window.
 - A visual prompt will indicate that your line has been unmuted.
- ▶ **For participants using phone audio:**
 - Enter *9 on your phone keypad.
 - An audio prompt will indicate that your line has been unmuted.