

# **CAT Industry Member Reporting Scenarios Archived Revision/Change Log**

**9/10/20**

**Applicable Version: 2.8**

Version	Date	Author	Description
1.0	10/30/2018	Thesys CAT	Initial Publication
1.01	2/22/19	CAT NMS, LLC	Re-publish v1.0 (as v1.01) to reflect transition from Thesys CAT
1.1 DRAFT 1	2/28/19	CAT NMS, LLC	Made conforming changes with v1.1 of the IM Technical Specifications Order Events Document Removed options representative order scenarios (previously scenarios 3.2.1 and 3.5.3) Updated Scenario 2.4.5 with new FAQ number Updated Scenario 2.6.6 to reflect an exchange route in Step 3
1.1 DRAFT 2	3/29/2019	CAT NMS, LLC	Moved existing ATS Scenarios to Section 2.6 Moved existing OTC Scenarios to Section 2.7 Added Scenarios 2.6.1, 2.6.4, 2.6.5, 2.7.2, 2.7.3, and 3.2.2 Removed scenario 2.2.5 Changed Scenario 2.7.1 (previously 2.2.4) Updated Scenario 2.2.1 description to remove reference to Step 10 Updated Scenario 2.3.1 description to reflect Riskless Principal capacity Updated Scenario 2.4.4 to remove handlingInstructions SMT in Steps 3 and 4 Updated Scenario 2.8.2 (previously 2.6.2) to reflect a route form Broker 1 in Step 3 Updated Scenario 2.6.2 (previously Scenario 2.2.3) to reflect the correct leaves quantity in Step 9 Updated Scenario 2.6.3 (Previously 2.4.5) to remove Display ATS from the title Updated Scenario 2.6.6 (previously Scenario 2.4.6) to reflect the correct quantity in Step 6
2.0	4/29/2019	CAT NMS, LLC	Made conforming changes with V1.1 of the IM Technical Specifications Order Events Document Added New Section 4 Added Scenarios 2.1.6, 2.4.6 and 2.8.3 Changed scenario 2.8.2 (Previously 2.6.2) Removed Scenario 3.2.1 Updated Scenario 2.6.1 to reflect multiple modifications Created Section 2.4 for Representative Order scenarios Created Section 2.5 for Internal Route scenarios Created Section 2.10 for Electronic Duplicate scenarios Created Section 2.11 for Child Order scenarios Created Section 2.12 for Clearing Firm scenarios Created Section 3.5 for Option Internal Route and Child Order scenarios Created Section 3.6 for Complex Option Order scenarios Re-aligned existing scenarios within new and existing sections Updated Capacity in scenario 2.13.2 (previously 2.8.10)

Version	Date	Author	Description
			Corrected JSON and CSV examples in Section 2.12 (previously section 2.9) Corrected errors within the document
2.1	6/24/2019	CAT NMS, LLC	Made conforming changes with V2.2 of the IM Technical Specifications Corrected errors within the document Added and Updated Hyperlinks Added new Section 4 for Error Account Scenarios Added new Section 5 for FDID Scenarios Added new Section 2.9 for Foreign Scenarios Added Scenarios 2.2.3, 2.3.3, 2.3.8 Removed Section 2.3 for Order Fulfillment Scenarios Moved scenario 2.3.1 to 2.9.1 Changed Scenario 2.3.2 and moved to 2.13.5 Changed Scenario 2.3.6 (Previously 2.4.5) Updated requirements for Scenarios 2.10.2 and 2.10.3 Clarified requirements for Scenario 2.1.5
2.2	7/31/19	CAT NMS, LLC	Corrected errors within the document Added Scenarios 2.5.8, 2.5.9, 2.6.3, 2.6.5, 2.6.6, 2.6.7, 4.1.4, 4.1.5, 4.1.7, and 5.1.2 Updated Scenarios 2.5.1 and 2.6.2 Re-Named Scenario 2.6.4 (Previously 2.6.3) Clarified guidance in Scenario 2.2.2 Clarified guidance in Scenario 5.1.1
2.3	8/30/19	Consolidated Audit Trail, LLC	Made conforming changes with V2.2.1 of the IM Technical Specifications Added Section 2.12 for Proprietary Order Scenarios Added Scenarios 2.3.9, 2.3.10, 2.4.6 and 2.4.7 Corrected errors within the document Corrected guidance in Scenario 2.3.6 Updated Requirements for Scenario 2.8.3 Updated Requirements for Scenario 2.6.7 Clarified requirements for Scenario 2.3.5 Clarified requirements for Scenario 2.9.3
2.4	10/11/19	Consolidated Audit Trail, LLC	Corrected errors within the document Added Section 2.14 for NYSE Floor Broker Scenarios Clarified requirements for Scenarios 2.3.1, 2.4.6, 2.4.7, 2.9.1, 2.9.2, 2.9.3 and 2.12.1.
2.5	2/12/2020	Consolidated Audit Trail, LLC	Corrected errors within the document Added clarification to Introduction. Added additional clarification to section 2.11 regarding Child Orders. Added Scenarios 2.2.4, 2.6.8, 2.8.4, 2.8.5, 2.12.3. Added new Section 7 for Floor Broker scenarios, moved section 2.14 to Section 7.1, and added section 7.2 for CBOE Floor Broker Scenarios. Changed Section 2.14 to Fractional Share Scenarios.

Version	Date	Author	Description
			Moved Scenario 2.15.2 to 2.14.5. Clarified requirements in Scenario 2.15.3 (Previously 2.15.4).
2.6	6/30/20	Consolidated Audit Trail, LLC	Added Section 2.15 for Stop Order Scenarios Updated Phase 2c and 2d requirements in Section 2.8.
2.7	8/11/20	Consolidated Audit Trail, LLC	Updated IMID fields to reflect prefix requirement. Added Sections 2.16 and 3.7 for RFQ and Solicitation Response Scenarios Added Scenarios 2.11.3 – 2.11.5 (Conforming changes with v3.0 and 3.1) Added Scenario 5.1.3, corrected graphic in Scenario 5.1.2 (Conforming changes with v3.2) Updated Scenario 2.8.3 (Conforming changes with v3.1) Clarified reporting requirements in scenario 2.9.1 (Conforming changes with v3.2)
2.8	9/1/20	Consolidated Audit Trail, LLC	Updated requirements for Scenario 2.6.7 Divided Section 6 into Sections 6.1 and 6.2 Added Scenarios 6.2.3 – 6.2.5 for “Named” Errors