

# **CAT CAIS Industry Member Reporting Scenarios**

**4/5/2021**

**Version 1.2**

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## Executive Summary

This document is a companion document to the CAT Reporting Customer and Account Technical Specifications for Industry Members – LTID (“Technical Specifications”), and is provided to assist Industry Members in implementing the reporting requirements laid out in the Technical Specifications. This document illustrates the specific reporting requirements for a variety of account reporting scenarios as defined in the CAT NMS Plan. The scenarios illustrate the reporting requirements for the LTID Phase. Additional scenarios will be added for Full Customer and Account Reporting when the Technical Specifications are published for that phase.

The reporting scenarios are presented in a separate document from the Technical Specifications to provide the greatest flexibility in the ability to modify or add scenarios as new questions are presented and trading practices evolve. It is expected that changes and additions will be necessary for reporting scenarios with greater frequency than changes to the Technical Specifications that would be required when record format, field value changes, etc., occur. By maintaining a separate reporting scenarios document, reporting scenarios may be clarified or added without the need for a new version of the Technical Specifications.

This document contains interpretive guidance for Industry Member CAT Reporters with respect to how the Technical Specifications must be implemented. As such, any changes to this document are subject to the same review and approval process by the Operating Committee, pursuant to the CAT NMS Plan, as the Technical Specifications.

This document represents a phased approach to industry reporting.

**Table 1: Revision / Change Process**

| Version   | Date      | Author                        | Description   |
|-----------|-----------|-------------------------------|---|
| DRAFT 1.0 | 1/27/2020 | Consolidated Audit Trail, LLC | Initial draft   |
| 1.1.1     | 8/25/2020 | Consolidated Audit Trail, LLC | Addition of <i>fdidEndDateNULL</i> , <i>fdidEndReasonNULL</i> , <i>replacedByFDIDNULL</i> , <i>ltidEndDateNULL</i> , and <i>ltidEndReasonNull</i> attributes<br>Removal of NULL acceptable values from <i>fdidEndDate</i> , <i>fdidEndReason</i> , <i>replacedByFDID</i> , <i>ltidEndDate</i> , and <i>ltidEndReason</i><br>Modified guidance on nullifying previously populated attributes |
| 1.1.2     | 9/22/2020 | Consolidated Audit Trail, LLC | Correction to title of Table 4  |
| 1.2       | 4/5/2021  | Consolidated Audit Trail, LLC | Addition of scenario for reporting a ULTID having alpha and numeric characters.<br>Addition of scenario for reporting an LTID or ULTID having an <i>ltidEffectiveDate</i> set earlier than the associated FDID’s <i>fdidDate</i> .  |

| Version | Date | Author | Description  |
|---------|------|--------|--|
|         |      |        | Revised the scenario for correcting an LTID rejection based on deprecation of the LTID correction actions. |

## **1. Introduction**

This document is organized by reporting scenarios, such as reporting a new account, submitting corrections or updates to a previously reported account, and reporting associations of Large Trader IDs (LTIDs) to accounts.

For each scenario, a description of the scenario is provided and then is followed by specific data submission examples, illustrating the correct values to be populated for each field. The data submission examples will not include the Main JSON object entry, as the submission examples are assuming the Main object provided is accurate for the CAT Reporter Firm whose data is being submitted. The examples will all use example firmDesignatedID values.

## 2. Initial Reporting of Accounts

The sections below describe the key data elements of CAT used in CAT CAIS submission files for initial reporting of accounts. In accordance with the phased implementation schedule, only account data elements are included in the CAIS Technical Specification at this time.

### 2.1. FDID with Large Trader ID

This section illustrates the CAT reporting requirements when an account is identified as being required to report to CAT, where a known Large Trader is associated to the account as an authorized trader. The Industry Member is required to report the account to CAT CAIS, as well as the associated LTID.

**Table 2: Account with Large Trader ID**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200105   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20200105  |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200105<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20200105 |

### 2.2. FDID with two Large Trader IDs

This section illustrates the CAT reporting requirements when an account is identified as being required to report to CAT, where two known Large Traders are associated to the account as authorized traders. The Industry Member is required to report the account to CAT CAIS, as well as the associated LTIDs.

**Table 3: Account with two Large Trader IDs**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20190501  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20190501<br><br>largeTraderRecordID: 2<br>largeTraderID: 99887766-1234<br>ltidEffectiveDate: 20200101                |
| <b>Result stored in CAIS</b> | firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20190501<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20190501<br>largeTraderID: 99887766-1234<br>ltidEffectiveDate: 20200101 |

### 2.3. FDID with Unidentified Large Trader ID

This section illustrates the CAT reporting requirements when a Relationship FDID is identified as being required to report to CAT CAIS, where the FDID has an associated authorized trader identified as an Unidentified Large Trader ID.

**Table 4: Account with unknown Large Trader ID**

| JSON Object         | Data Submission   |
|---------------------|---|
| FDID Record         | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20200121 |
| Large Trader Record | largeTraderRecordID: 1<br>largeTraderID: ULT12345-0000<br>ltidEffectiveDate: 20200121       |

| JSON Object                  | Data Submission   |
|------------------------------|---|
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20200121<br>largeTraderID: ULT12345-0000<br>ltidEffectiveDate: 20200121 |

### 2.4. FDID with Unidentified Large Trader ID - Alphanumeric

This section illustrates the CAT reporting requirements when a Relationship FDID is identified as being required to report to CAT CAIS, where the FDID has an associated authorized trader identified as an Unidentified Large Trader ID, and the Unidentified Large Trader ID was generated with both numeric and alpha characters. The alpha characters included must be capitalized; values containing lower case characters will be rejected.

**Table 5: Account with unknown Large Trader ID having alphanumeric characters**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20200121   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: ULT123AB-0A1C<br>ltidEffectiveDate: 20200121   |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20200121<br>largeTraderID: ULT123AB-0A1C<br>ltidEffectiveDate: 20200121 |

### 2.5. FDID with a Larger Trader having an Effective Date earlier than the fdidDate

This section illustrates the CAT reporting requirements when an Account FDID is identified as being required to report to CAT CAIS, where the FDID has an associated CAT Customer identified as a Large Trader ID. The Account FDID is a subaccount of another account, and the Industry Member has tracked



the LTID Effective Date as the date on which the firm was provided the LTID, which is earlier than the date on which the subaccount was opened.

**Table 6: Subaccount with LTID Effective Date set earlier than FDID Date**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20210121   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20200510   |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: RELATIONSHIP<br>fdidDate: 20210121<br>largeTraderID: 12345678-0000<br>ltidEffectiveDate: 20200510 |

## 2.6. FDID with no Large Traders

In this scenario, the CAT Reporting Firm identifies an account that transacts in equity or option securities, where there is no authorized trader present on the account having an LTID. For the LTID phase, the firm is **not** required to report the account to CAT CAIS, however they are able to do so if they choose, in preparation for later phases mandating report of all FDIDs.

**Table 7: New Account no Large Traders**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20060715 |
| <b>Result stored in CAIS</b> | firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20060715                    |

### 3. Update/Correction of Previously Accepted FDIDs

The sections below describe the key data elements of CAT used in CAT CAIS submission files to update or correct values previously submitted to, and accepted by, CAT CAIS. If a reporting firm determines that data included in the submission was incorrect – but did not result in a data validation error causing the rejection of the submission record – the firm is able to submit a correction to the record in the same method as an update.

#### 3.1. Updating an FDID

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and the account is determined to have been changed within the reporting firm’s system on an attribute other than an LTID-to-FDID association. The record is to be included in a submission with the updated attribute data. If no change is required to the LTID-to-FDID association, the firm is not required to include the LTID association in the submission. For purposes of this example, the fdidDate attribute is being updated.

**Table 8: Original Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200121   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121  |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200121<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

**Table 9: Update Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200115   |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC123<br>fdidType: ACCOUNT<br>fdidDate: 20200115<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

### 3.2. Update of LTID-to-FDID Association

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and the account is determined to have been changed within the reporting firm's system on an attribute of an LTID-to-FDID association other than the Large Trader ID value. The record is to be included in a submission with the updated attribute data, including the LTID-to-FDID association requiring the update. For purposes of this example, the ltidEffectiveDate attribute is being updated.

**Table 10: Original Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20200110   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121  |
| <b>Result stored in CAIS</b> | firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

**Table 11: Update Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20200110   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200110  |
| <b>Result stored in CAIS</b> | firmDesignatedID: XYZ999<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200110 |

### 3.3. Ending FDID without Replacing Record

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and the account is determined to have been ended within the firm's system. In accordance with the CAT CAIS Technical Specification document, any LTID-to-FDID associations for the FDID that had not been ended prior to ending the FDID, will be ended at the time the FDID is ended. As such, it is not required to include the LTID-to-FDID associations in the submission with an explicit ending of the association unless the reporting firm determines the End Date of the association is not the same as the End Date of the FDID.

**Table 12: Original Submission Example**

| JSON Object         | Data Submission  |
|---------------------|--|
| FDID Record         | fdidRecordID: 1<br>firmDesignatedID: ABC321<br>fdidType: ACCOUNT<br>fdidDate: 20010910 |
| Large Trader Record | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308  |

| JSON Object                  | Data Submission  |
|------------------------------|--|
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC321<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308 |

**Table 13: Ending Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC321<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: ENDED  |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC321<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: ENDED<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200130<br>ltidEndReason: ENDED |

**3.4. Ending FDID with Replacing Record**

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and the account is determined to have been ended within the firm’s system by being replaced with a different FDID. In accordance with the CAT CAIS Technical Specification document, any LTID-to-FDID associations for the FDID that had not been ended prior to ending the FDID, will be ended at the time the FDID is ended. As such, it is not required to include the LTID-to-FDID associations in the submission with an explicit ending of the association unless the reporting firm determines the End Date of the association is not the same as the End Date of the FDID. The associations will not be moved to the replacing FDID record, and as such the firm must explicitly establish the LTID-to-FDID associations to the replacing FDID.

**Table 14: Original Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: XYZ444<br>fdidType: ACCOUNT<br>fdidDate: 20010910   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308  |
| <b>Result stored in CAIS</b> | firmDesignatedID: XYZ444<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308 |

**Table 15: Replacing Submission Example**

| JSON Object                           | Data Submission  |
|---------------------------------------|--|
| FDID Record 1 Entry                   | fdidRecordID: 1<br>firmDesignatedID: XYZ444<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: REPLACED<br>replacedByFDID: ABC888 |
| FDID Record 2 Entry                   | fdidRecordID: 2<br>firmDesignatedID: ABC888<br>fdidType: ACCOUNT<br>fdidDate: 20200130   |
| Large Trader Record for FDID Record 2 | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200130  |
| <b>Result stored in CAIS</b>          | <b>Record 1</b><br>firmDesignatedID: XYZ444<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: REPLACED                           |

| JSON Object | Data Submission   |
|-------------|---|
|             | replacedByFDID: ABC888<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200130<br>ltidEndReason: ENDED<br><br><b>Record 2</b><br>firmDesignatedID: ABC888<br>fdidType: ACCOUNT<br>fdidDate: 20200130<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200130 |

### 3.5. Reactivate an ended FDID

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and subsequently ended for a reason other than REPLACED in a later submission. The firm can accomplish this by including the fdidEndDate and fdidEndReason attributes with explicit NULL values. The firm will also need to establish any necessary LTID-to-FDID associations in the reactivating submission.

**Table 16: Ending Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ABC999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: ENDED   |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDate: 20200130<br>fdidEndReason: ENDED<br>largerTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200130 |

| JSON Object | Data Submission      |
|-------------|----------------------|
|             | ltidEndReason: ENDED |

**Table 17: Reactivating Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record 1 Entry          | fdidRecordID: 1<br>firmDesignatedID: ABC999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>fdidEndDateNULL: true<br>fdidEndReasonNULL: true |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDateNULL: true<br>ltidEndReasonNULL: true  |
| <b>Result stored in CAIS</b> | firmDesignatedID: ABC999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308         |

**3.6. Ending an LTID-to-FDID Association**

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and one of the LTIDs associated to the FDID is determined to no longer be an authorized trader for the account. If more than one LTID is associated to the FDID, only the LTID(s) requiring update are required to be included in the submission, and any associations not included in the submission will not be affected by the submission. Furthermore, if the LTID is associated to any other FDIDs, those associations to other FDIDs will not be ended through this submission. If any of those other associations are to be ended, they must be excluded with explicit submission entries.



**Table 18: Original Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: ZZZ999<br>fdidType: ACCOUNT<br>fdidDate: 20010910  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br><br>largeTraderRecordID: 2<br>largeTraderID: 98765432-0001<br>ltidEffectiveDate: 20190616                  |
| <b>Result stored in CAIS</b> | firmDesignatedID: ZZZ999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largerTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>largerTraderID: 98765432-0001<br>ltidEffectiveDate: 20190616 |

**Table 19: Update Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record 1 Entry          | fdidRecordID: 1<br>firmDesignatedID: ZZZ999<br>fdidType: ACCOUNT<br>fdidDate: 20010910   |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200120<br>ltidEndReason: ENDED                       |
| <b>Result stored in CAIS</b> | firmDesignatedID: ZZZ999<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largerTraderID: 12345678-9999<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200120 |

| JSON Object | Data Submission  |
|-------------|--|
|             | ltidEndReason: ENDED<br>largerTraderID: 98765432-0001<br>ltidEffectiveDate: 20190616 |

### 3.7. Replacing an LTID-to-FDID Association

This section illustrates the CAT reporting requirements when an account has been previously submitted to, and accepted by, CAT CAIS, and one of the LTIDs associated to the FDID is determined to no longer be an authorized trader for the account because the LTID has been replaced with a new value. If more than one LTID is associated to the FDID, only the LTID(s) requiring update are required to be included in the submission, and any associations not included in the submission will not be affected by the submission. Furthermore, if the LTID is associated to any other FDIDs, those associations to other FDIDs will not be ended through this submission. If any of those other associations are to be ended, they must be excluded with explicit submission entries. It is not required to state what LTID the original value was replaced by.

**Table 20: Original Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: QRS456<br>fdidType: ACCOUNT<br>fdidDate: 20010910  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: ULT99999-0000<br>ltidEffectiveDate: 20180308   |
| <b>Result stored in CAIS</b> | firmDesignatedID: QRS456<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largerTraderID: ULT99999-0000<br>ltidEffectiveDate: 20180308 |

**Table 21: Update Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record 1 Entry          | fdidRecordID: 1<br>firmDesignatedID: QRS456<br>fdidType: ACCOUNT<br>fdidDate: 20010910  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: ULT99999-0000<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200120<br>ltidEndReason: REPLACED<br><br>largeTraderRecordID: 2<br>largeTraderID: 98765432-0001<br>ltidEffectiveDate: 20200120                |
| <b>Result stored in CAIS</b> | firmDesignatedID: QRS456<br>fdidType: ACCOUNT<br>fdidDate: 20010910<br>largeTraderID: ULT99999-0000<br>ltidEffectiveDate: 20180308<br>ltidEndDate: 20200120<br>ltidEndReason: REPLACED<br>largeTraderID: 98765432-0001<br>ltidEffectiveDate: 20200120 |

## 4. Correction of Rejected FDIDs

The sections below describe the key data elements of CAT used in CAT CAIS submission files, where the submission record was rejected for a data validation error, necessitating the firm either resubmit the same FDID record with corrected data, or submitting a Correction Action indicating the firm has submitted a different record to correct for the rejected record or a delete action indicating the rejected error was an erroneous submission.

### 4.1. Correction of a Rejection by Resubmission

This section illustrates the CAT reporting requirements when an FDID was submitted with data causing a data validation error, and the firm is able to correct for the erroneous submission by resubmitting the same FDID with corrected data. For purposes of this scenario, the example includes an erroneous inclusion of an `fdidEndDate` without a corresponding `fdidEndReason`, where the firm did not intend to end the FDID. Additionally, the original error was noted as `rejectionID 100` in the status file for the original rejected submission, but because the firm is able to correct by resubmitting the same FDID with corrected data, they are not required to include the `rejectionID` in the submission.

**Table 22: Rejected Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | <code>fdidRecordID: 1</code><br><code>firmDesignatedID: X5RST</code><br><code>fdidType: ACCOUNT</code><br><code>fdidDate: 20200110</code><br><code>fdidEndDate: 20211231</code> |
| Large Trader Record          | <code>largeTraderRecordID: 1</code><br><code>largeTraderID: 12345678-9999</code><br><code>ltidEffectiveDate: 20200121</code>  |
| <b>Result stored in CAIS</b> |   |

**Table 23: Correction Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: X5RST<br>fdidType: ACCOUNT<br>fdidDate: 20200110  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121  |
| <b>Result stored in CAIS</b> | firmDesignatedID: X5RST<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largerTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

#### 4.2. Correction of a Malformed FDID

This section illustrates the CAT reporting requirements when an FDID was submitted with data causing a data validation error, and the firm is not able to correct for the erroneous submission by resubmitting the same FDID with corrected data. The first example for this scenario includes a malformed FDID value, where the firm is correcting the error by including an appropriate FDID for the correction. For purposes of this example, the original error was noted as rejectionID 200 in the status file for the original rejected submission. Because the firm is not able to correct this error by resubmitting the same FDID value, they are required to include the rejectionID and correctingFirmDesignatedID values to resolve the error.

**Table 24: Rejected Submission Example**

| JSON Object         | Data Submission   |
|---------------------|---|
| FDID Record         | fdidRecordID: 1<br>firmDesignatedID: !!MalformedFDID!!<br>fdidType: ACCOUNT<br>fdidDate: 20200110 |
| Large Trader Record | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121             |

| JSON Object           | Data Submission |
|-----------------------|-----------------|
| Result stored in CAIS |                 |

**Table 25: Correction Submission Example**

| JSON Object           | Data Submission   |
|-----------------------|---|
| FDID Record           | fdidRecordID: 1<br>firmDesignatedID: 999ASDF<br>fdidType: ACCOUNT<br>fdidDate: 20200110   |
| Large Trader Record   | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121   |
| Correction Action     | rejectionID: 200<br>correctionAction: CORRECTION<br>correctingFirmDesignatedID: 999ASDF   |
| Result stored in CAIS | firmDesignatedID: 999ASDF<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

If the reporting firm determines that the malformed FDID was the result of a data entry error, and that there was no true FDID that should have been reported, they are able to correct for the error through the DELETE action, as shown in the following example. For purposes of this example, the original error was noted as rejectionID 999 in the status file for the original rejected submission. No data is stored in CAIS about the record, other than the fact the rejection occurred and the timeline for correction, so the **Result stored in CAIS** section is not included below.

**Table 26: Rejected Submission Example**

| JSON Object | Data Submission                               |
|-------------|---|
| FDID Record | fdidRecordID: 1<br>firmDesignatedID: !!@#(()) |

**Table 27: Correction Submission Example**

| JSON Object       | Data Submission                              |
|-------------------|--|
| Correction Action | rejectionID: 999<br>correctionAction: DELETE |

### 4.3. Correction of a Malformed LTID

In the event the Industry Member receives a rejection against an LTID association for a submitted FDID, the firm is able to repair this rejection by resubmitting the FDID with corrected data. The Correction Action for correcting or deleting a specific LTID association of an FDID has been deprecated. When the firm resubmits the same FDID, and it is accepted in to CAIS, the LTID rejection will be considered repaired.

**Table 28: Rejected Submission Example**

| JSON Object                  | Data Submission   |
|------------------------------|---|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: RSTU999<br>fdidType: ACCOUNT<br>fdidDate: 20200110 |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: LTIDVALU<br>ltidEffectiveDate: 20200121        |
| <b>Result Stored in CAIS</b> |   |

**Table 29: Correction Submission Example**

| JSON Object                  | Data Submission  |
|------------------------------|--|
| FDID Record                  | fdidRecordID: 1<br>firmDesignatedID: RSTU999<br>fdidType: ACCOUNT<br>fdidDate: 20200110  |
| Large Trader Record          | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121  |
| <b>Result Stored in CAIS</b> | firmDesignatedID: RSTU999<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largerTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |

#### 4.4. Correction over Multiple Submissions

This section illustrates the CAT reporting requirements when an FDID was submitted with an error in the original submission, where the firm corrected the original submission error but introduced a further error for the FDID. In accordance with the CAT NMS plan and as detailed in the CAT CAIS technical specification, the timeframe for error correction is not reset after the original error is corrected; it is retained until all errors for the FDID are corrected and the data has been accepted in to CAT CAIS. For the following example, the original error is caused by an invalid fdidType value.

**Table 30: Original Rejected Submission Example**

| JSON Object         | Data Submission   |
|---------------------|---|
| FDID Record         | fdidRecordID: 1<br>firmDesignatedID: ZCBX<br>fdidType: UNKNOWN<br>fdidDate: 20200110  |
| Large Trader Record | largeTraderRecordID: 1<br>largeTraderID: 12345678-5000<br>ltidEffectiveDate: 20200121 |



| JSON Object           | Data Submission |
|-----------------------|-----------------|
| Result Stored in CAIS |                 |

Following the original submission, which resulted in a data validation error for the invalid fdidType, the firm submits a second file. In this submission, they correct the fdidType error, however there is a new data validation error resulting from a missing fdidDate attribute. The timeframe for error correction continues, as the firm did not have a clean submission of the FDID in this correction submission.

**Table 31: Initial Correction Submission Example**

| JSON Object           | Data Submission   |
|-----------------------|---|
| FDID Record           | fdidRecordID: 1<br>firmDesignatedID: ZCBX<br>fdidType: ACCOUNT                        |
| Large Trader Record   | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999<br>ltidEffectiveDate: 20200121 |
| Result Stored in CAIS |   |

In this final submission, the firm corrects for the fdidDate error in the initial correction submission, and has a clean submission of the FDID record. Once the FDID has been accepted by CAT CAIS, the rejections are noted as corrected. If the firm submits the same FDID in the future with a data validation error, a new timeframe for correction will be initiated at that time.

**32: Final Correction Submission Example**

| JSON Object         | Data Submission  |
|---------------------|--|
| FDID Record         | fdidRecordID: 1<br>firmDesignatedID: ZCBX<br>fdidType: ACCOUNT<br>fdidDate: 20200110 |
| Large Trader Record | largeTraderRecordID: 1<br>largeTraderID: 12345678-9999                               |

| JSON Object                  | Data Submission   |
|------------------------------|---|
|                              | ItidEffectiveDate: 20200121   |
| <b>Result Stored in CAIS</b> | firmDesignatedID: ZCBX<br>fdidType: ACCOUNT<br>fdidDate: 20200110<br>largerTraderID: 12345678-9999<br>ItidEffectiveDate: 20200121 |