



OATS Retirement – Status Update

June 17, 2021

Current Status - Important Update

- OATS will be retired effective September 1, 2021.
- FINRA will publish a Regulatory Notice announcing important dates:
 - Last OATS Business Day, as defined under OATS Rules: August 31, 2021
 - Deletion of OATS Rules from FINRA rulebook: September 1, 2021
 - Last day to submit data to OATS: September 16, 2021
- The Regulatory Notice will also include guidance for firms in the event they discover errors in their OATS reporting after September 16, 2021.

Technical Considerations

- **Technical Dependency Considerations** - Consider the following steps as you think about getting prepared:
 - For those that use a dedicated network for OATS reporting:
 - You may want to confirm it's not shared with other regulatory connections you have with FINRA.
 - Think about looking at your network agreement if you need to terminate that connection.
 - Consider reviewing your network firewall rules.
 - Consider when you need to notify your firms SAA (Account Admins) as they may need to make entitlement changes.
 - Notifying other service providers that support your OATS reporting (such as OSO).

Looking Ahead

- Regulatory Notice will be published shortly
- FINRA will continue to be available for questions at the end of CAT's Monthly Implementation Update calls
- In the interim, if you have additional questions, please contact the OATS Help Desk via e-mail at customersupport@finra.org or phone at (800) 321-6273.

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.