



OATS Retirement – Status Update

July 15, 2021

Current Status – Important Dates

- OATS will be retired effective September 1, 2021.
- FINRA has published Regulatory Notice 21-21 announcing the following 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
- **As noted above, September 16, 2021, is the last day OATS will accept reports for order events that occur on or before August 31, 2021. If, after September 16, 2021, firms discover errors in their OATS reporting, including inaccurate, incomplete or missing data, they must notify FINRA via email to the OATS Help Desk at customersupport@finra.org.**

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).

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.