

SELF-REPORTING ERRONEOUS EVENTS

Purpose: This form is for the reporting of erroneous events and CAT reporting errors that are not identified in data integrity validations, and that fall outside the scope of sections 7.6 (Corrections) and 6.4.3 (Deadline for Firm Initiated Corrections and Deletions) of the CAT Reporting Technical Specifications for Industry Members.¹ Repairs, Corrections and Deletions submitted by 8 am ET on T+3 should not be reported to FINRA CAT on this form. CAT Reporters can submit Part I of this form upon discovery of the erroneous reporting and provide supplemental information in Part II of this form as it becomes available.

Reporting errors on this form is not an independent requirement under SRO rules; however, under SRO Rules Industry Members are required to report accurate information and regulators may consider a CAT Reporter’s self-reporting of errors and correcting such errors a mitigating factor in the event of any regulatory actions related to the firm’s CAT reporting. Information received through this process will be provided by FINRA CAT to the regulators on a periodic basis or as requested. For more information on this Form see CAT Alert 2020-04, *Standards for Self Reporting Erroneous Events To FINRA CAT* at <https://catnmsplan.com/cat-alerts>

Revision Summary

Version	Publish Date	Description
1.0	06/04/2020	Initial Publication
1.1	08/28/2020	Formatting updates and clarification of questions. Reference to CAT Alert 2020-04.
1.2	03/24/2022	Formatting updates and clarification of questions. Reference to CAT Alert 2020-04.
1.3	05/03/2022	Updated Hyperlink to CAT Alert 2020-04
1.4	07/07/2023	Added <i>Date and Time Detected</i> to Part I., B.11

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Part I.

A. CAT Reporter Information

1. Type of CAT Reporter submitting this form:
 - Industry Member
 - CAT Reporting Agent on behalf of one or more Industry Members
 - Name of CAT Reporting Agent:
 - CAT Reporting Agent Organization ID or CRD :
 - Plan Participant (Exchange or FINRA):
2. Name of CAT Reporter impacted by reporting errors:
(If reporting on behalf of multiple Industry Members, list all IMIDs impacted below)
 - CRD Number:
 - IMIDs impacted:

B. Erroneous Reporting Event Details

3. Start Date of reporting error(s):
4. End Date of reporting error(s):
Or select date(s) impacted:
Is the reporting error ongoing? Yes
5. Approximate count of records impacted:
6. Brief Description of reporting error (including if the errors are systemic or an isolated event):

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7. Product Type impacted: Equities: Options: Multi-leg: (check all that apply)
8. Event Type(s) impacted (e.g., MENO, MONO, MEOR):
9. Fields impacted (e.g., timeInForce, capacity, handlinginstructions):
10. How was this issue detected?
11. Date and Time Detected:

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Part II.

C. Resolution and Correction of Erroneous Reporting Event

- If Subsequent Filing, please provide the following:
 - Date of Initial Filing:
 - FINRA CAT Helpdesk Case Number (if known):

12. Was the Industry Member, CAT Reporting Agent, or Plan Participant able to successfully submit the corrected or unreported data?

- If yes, please provide the following:

- Date(s) of submission(s):
- Count of records submitted:

Check all that apply below:

- Are the submitted records Corrections to correct previously accepted records? Yes No
- Are the submitted records data that has not been previously reported? Yes No

- Not at this time

- Records will be submitted at a future date. Estimated date:

- No, records will not be submitted. Please provide a detailed explanation as to why the corrected or unreported data cannot be submitted.

Additional Comments about Resubmissions:

13. If the root cause of the issue identified above was corrected, provide the go forward date the issue was corrected:

- Issue is ongoing

14. Describe how the issue was resolved:

15. Has the Industry Member, CAT Reporting Agent or Plan Participant incorporated enhancements aimed at preventing a reoccurrence of the issue? Yes No

If applicable, provide a description of mitigation measures:

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16. Any other details the Industry Member, CAT Reporting Agent or Plan Participant would like to provide regarding this incident:

Part III.

D. Contact Information

17. If more information is needed regarding the erroneous events and CAT reporting errors described in this form, provide the following contact information:

Name:

Email:

Phone:

SUBMISSION INSTRUCTIONS:

FORMS SHALL BE EMAILED TO THE FINRA CAT HELPDESK (HELP@FINRACAT.COM) AND MUST INCLUDE A REFERENCE TO “**ERRONEOUS EVENTS SELF-REPORT**” IN THE SUBJECT LINE.

THIS INFORMATION MAY BE SHARED WITH ONE OR MORE OF YOUR CAT REPORTING REGULATORS.