

2024 Industry Member Releases (Transaction) Scope and Schedule

<p>2024 – Report Card by Processing Date Release</p> <p>Production Release – 2/15/2024</p>	<p>2024 – FDID Validation to Production Release</p> <p>Production Release – 2/26/2024</p>	<p>2024 – First Quarter Release Spec Publication – 11/30/2023</p> <p>Industry Test Release – 1/22/2024</p> <p>Production/Production Mirror Release – 2/5/2024</p>	<p>2024 – Handling Instruction Release Spec Publication – 11/30/2023 & 3/28/2024</p> <p>Industry Test Release – 5/13/2024</p> <p>Production/Production Mirror Release – 7/1/2024</p>
<p>Transaction Report Cards</p> <ul style="list-style-type: none"> • Generate Report Cards by Processing Date starting with the Report Cards covering January 2024 	<p>CAIS-related Validations & Statistics</p> <ul style="list-style-type: none"> • Validate FDID against CAIS data • Daily statistics reflecting FDID errors • Provide a new linkage summary feedback file containing missing or invalid FDIDs <p><i>This functionality is currently available in the Industry Test Environment</i></p> <ul style="list-style-type: none"> • Deliver list of FDIDs accepted to Transaction Production that are not in CAIS Production 	<p>New <i>handlingInstructions</i> Values</p> <ul style="list-style-type: none"> • Add new 'AUC', 'APCL', 'APCM' <i>handlingInstructions</i> values <p><i>The compliance date for CAT Reporting the 'AUC', 'APCL', and 'APCM' handlingInstructions values is July 1, 2024.</i></p>	<p>Removal of <i>handlingInstructions</i> Value</p> <ul style="list-style-type: none"> • Remove 'IDX' <i>handlingInstructions</i> value <p>Add new <i>handlingInstructions</i> Value</p> <ul style="list-style-type: none"> • Add new 'PCTPX' <i>handlingInstructions</i> value <p><i>The compliance date for CAT Reporting the 'PCTPX' handlingInstructions value is July 1, 2024.</i></p>

*Planned Industry Member Releases and Specification Updates are subject to approval by the CAT NMS Plan Operating Committee.

2024 Industry Member Releases (Transaction)

Scope and Schedule

2024 – FDID Validation Report Card Release

Production Release – 7/15/2024

Transaction Report Cards

- Generate Report Cards with FDID Validation Errors starting with the Report Cards covering June 2024

2024 – Third Quarter Release

Spec Publication – 7/31/2023 & 11/30/2023 & 3/28/2024

Industry Test Release – 5/13/2024

Production/Production Mirror Release – 7/29/2024

July 2023 Spec Publication v.4.0.0 r20

- Add new quote events to support reporting of RFQ responses for Options and Multi-Leg events
- Add new fields to equity quote events
 - *RFQID* to MENQ, MERQ, MEQR, MEQM, and MEQC
 - *RFQFlag* to MENQ and MEQR
- Add new *destinationType* value of 'S'

November 2023 Spec Publication v.4.1.0 with Additional Enhancements based on Industry Feedback

- Add new *validUntilDuration* field
- Bifurcate *relativePrice* field into *bidRelativePrice* and *askRelativePrice* for equity and option quote events
- Add *senderType* field to quote received events

March 2024 Spec Publication v.4.1.0 r2

- Additional Error Codes to support Electronic RFQs and invalid *capacity* field on Trade Events for internalized trades.
- Remove 'ND' (Next Day) *handlingInstructions* value

This is to support change to T+1 settlement effective May 28, 2024. Industry Members are not expected to report 'ND' when T+1 becomes the new settlement standard on May 28, 2024 but may optionally continue to report 'ND' until July 29, 2024.

2024 – MIAX Sapphire Exchange Release

Spec Publication – 3/28/2024

Industry Test Release – 5/13/2024

Production/Production Mirror Release – 8/12/2024

New values for existing fields

- Add new 'SPHR' value for the following fields: *destination*, *marketCenterID* and *senderIMID* to support MIAX Sapphire exchange.

Pending SEC Approval