

Small Firm Roadmap - Reference Database

The purpose of this document is to provide a roadmap to assist Small Firms with meeting their Reference Database reporting obligations as set forth in the [Reference Database Technical Specifications](#)¹. The Small Firm Roadmap lays out the steps necessary to prepare to submit Customer and Account reference data to the Reference Database.

Step 1: Determine if your firm has an obligation to report Customer and Account reference data to the Reference Database.

Industry Members that have an obligation to report equities, options and/or multi-leg transaction events containing the field *firmDesignatedID* (also known as “Firm Designated ID” or “FDID”) to the CAT transaction system also have an obligation to report Customer and Account reference data to the Reference Database. Examples of CAT events requiring an FDID include, but are not limited to, New Order, New Quote, Trade and Order Fulfillment events and Allocation events. Industry Members with such a reporting obligation must proceed to Step 2. Industry Members may contact the FINRA CAT Helpdesk to confirm whether they are reporting events containing an FDID.

Step 2: Register for the Reference Database.

Each Industry Member submitting to the Reference Database must submit a [Reference Database Registration Form](#). If the firm has already submitted a Reference Database Registration Form, there is no need to resubmit a new registration form. Firms may submit a new Reference Database Registration Form to amend a prior registration. For example, firms may resubmit the registration form to change the number of estimated accounts it expects to submit to the Reference Database. Please note that the Reference Database Registration Form is separate and distinct from the CAT Transaction Registration Form.

Step 3: Grant Reference Database Test Environment Entitlement to personnel within the firm.

Upon registration, the firm’s Super Account Administrator (“SAA”) will be granted Administrator entitlement to the Reference Database Reporter Portal Industry Test Environment. The firm’s SAA may grant User entitlement privileges to personnel within the firm that will need access to the Reference Database Reporter Portal. More information on granting entitlement and the CAT roles may be found in Section 3.2 of the [Industry Member Reference Database Onboarding Guide](#). For information regarding the Reference Database Reporter Portal, including how to access it and the functionality it provides, please see the [Reference Database Reporter Portal User Guide](#).

Step 4: Determine how the firm will submit data to the Reference Database.

Industry Members may choose to report to the Reference Database via the following methods:

1. CAT Reporting Agent

¹ The specific Customer and Account reference attributes required to be reported to the Reference Database are detailed in the [Reference Database Technical Specifications](#).

- a. Enable another CAT Reporting Agent (i.e., clearing firm or service bureau) to submit to the Reference Database on your behalf
2. Self-Reporting
 - a. Manually enter records into the Reference Database Reporter Portal User Interface
 - b. Upload files to the Reference Database Reporter Portal or via Private Line/AWS PrivateLink

If you plan to use a CAT Reporting Agent to report data on your behalf, please proceed to Step 5.

If you plan to self-report data, please proceed to Step 6.

Step 5: Establish a Reference Database Reporting Relationship with your CAT Reporting Agent in the Test Environment.

1. Log into the [Reference Database Reporter Portal Test Environment](#) using your FINRA login credentials (see Step 3).
2. Click on the 'Transaction Data' application in the blue navigation bar on the left side of the screen. Then click on the 'Reporting Relationships' application.
3. Click the 'Reference Database Reporting Relationships' tab and click on 'Add new' to enter the relevant information for Reference Database Reporting Relationships.
4. Save Changes.

More information about establishing CAT Reporting Relationships can be found in Section 7 of the [Reference Database Reporter Portal User Guide](#).

Step 6: Certify for Reference Database Production.

Section 6 of the [Industry Member Reference Database Onboarding Guide](#) details the specific requirements for self-reporting firms and firms using a CAT Reporting Agent.

I. SELF-REPORTING FIRMS ONLY - Please see Section 6.1 of the [Industry Member Reference Database Onboarding Guide](#) for specific requirements for self-reporting firms.

II. FIRMS USING A CAT REPORTING AGENT ONLY

(A) When your CAT Reporting Agent has successfully certified for Reference Database production, contact the FINRA CAT Helpdesk to request certification for your firm. The Industry Member will need to confirm that all of its CAT Reporting Agents have certified for Reference Database production reporting.

(B) Grant Reference Database Production Environment Entitlement to personnel within the firm: Upon certification, the firm's Super Account Administrator ("SAA") will be granted Administrator entitlement to the Reference Database Reporter Portal Production Environment. The firm's SAA may grant User entitlement privileges to personnel within the firm that will need access to the Reference Database Reporter Portal. More information on granting entitlement and the CAT

roles may be found in Section 3.2 of the [Industry Member Reference Database Onboarding Guide](#).

(C) Establish a Reference Database Reporting Relationship with your CAT Reporting Agent(s) in the **Production Environment**.

1. Log into the [Reference Database Reporter Portal Production Environment](#) with your FINRA login credentials (see Step 3).
2. Click on the 'Transaction Data' application in the blue navigation bar on the left side of the screen. Then click on the 'Reporting Relationships' application.
3. Click the Reference Database Reporting Relationships tab and click on 'Add new' to enter the relevant information for Reference Database Reporting Relationships.
4. Save Changes.

More information about establishing CAT Reporting Relationships can be found in Section 7 of the [Reference Database Reporter Portal User Guide](#).

For additional assistance or questions, please contact the CAT Helpdesk at 888-696-3348 or help@finracat.com.