Reference Database Onboarding Guide

09/28/2026

Version 1.0 r1

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Change Log

Version	Date Published	Description of Change(s)
1.0	05/04/2026	Initial publication of the Reference Database Onboarding Guide (replaces the CAIS Onboarding Guide)
1.0 r1	09/28/2026	Updated entitlement names in Sections 3.2 (Reference Database Reporter Portal – User Roles) and 3.3 (Required CAT Access and Reference Database Entitlements) Updated registration URLs in Companion Documents, Section 1 (Register for the Reference Database), and Section 4.1 (Reference Database Secure File Transfer Accounts)

Introduction

Rule 613 of the Securities Exchange Act of 1934 requires national securities exchanges and national securities associations ("SROs") to submit a national market system plan to the Securities and Exchange Commission ("Commission" or "SEC") to create, implement, and maintain a consolidated audit trail (the "CAT") that would allow regulators to more efficiently and accurately track all activity in U.S. equity and listed options markets. Pursuant to Rule 613, the SROs filed with the Commission the National Market System Plan Governing the Consolidated Audit Trail ("CAT NMS Plan"), which was approved by the Commission on November 15, 2016.

Under Rule 613(g)(2), each member of a national securities exchange or national securities association is required to comply with all the provisions of the CAT NMS Plan. Relatedly, as mandated under Rule 613, the CAT NMS Plan requires each SRO to adopt rules requiring its members to comply with Rule 613 and the CAT NMS Plan, and to agree to enforce compliance by its members in that regard. Accordingly, each SRO has adopted rules requiring its members to comply with Rule 613 and the CAT NMS Plan. For example, see FINRA Rule 6800 Series.

The SROs jointly own Consolidated Audit Trail, LLC, which was formed by the SROs to arrange for and oversee the creation, implementation, and maintenance of the CAT as required under Rule 613. Thus, the CAT is a facility of each SRO.

For more information, refer to SEC Rule 613 at https://www.sec.gov/rules/final/2012/34-67457.pdf and the CAT NMS Plan, including its Amendments, at https://www.catnmsplan.com/about-cat/cat-nms-plan.

Reference Database Onboarding Overview

The Reference Database Onboarding Guide provides information to Industry Members and CAT Reporting Agents (CRA) on how to gain access to the Reference Database Industry Test, Production Mirror and Production Environments for the first time. Industry Members that report to the Reference Database on their own behalf (self-reporting) or on behalf of another Industry Member, and CAT Reporting Agents that report to the Reference Database on behalf of Industry Members must complete the following steps to gain access to the Reference Database, including:

1. Register for the Reference Database
2. Designate Reference Database Account Administrator(s)
3. Create/Entitle CAT User Accounts for the Reference Database Reporter Portal
4. Request CAT Secure File Transfer Accounts, if applicable
5. Establish Reference Database Reporting Relationships, if applicable
6. Conduct Testing for Reference Database Production Readiness
7. Certify Reference Database Testing Completion

This document provides instructions for completing each of these steps, as well as additional resources and information. Upon completion of these steps, access to the Reference Database Production Environment will be authorized.

A separate Industry Member Onboarding Guide that provides the steps for gaining access to transmit Transaction data to CAT and to the CAT Transaction Reporter Portal is available on the Transaction Registration & Onboarding page of the CAT NMS Plan website. It is assumed that Reference Database onboarding will be done in conjunction with or following Transaction onboarding. If the organization does not need Transaction access but does need to access the Reference Database, contact the FINRA CAT Help Desk to ensure that all appropriate steps are completed.

Questions

Questions related to this document may be directed to the FINRA CAT Help Desk at 888-696-3348 or at help@finracat.com.

Companion Documents

- FINRA Gateway: https://gateway.finra.org/app/ews-landing-page
- FINRA Entitlement Reference Guide: https://www.finra.org/filing-reporting/entitlement/reference-guide
- Reference Database Registration: https://www.catnmsplan.com/refdata-registration
- Reference Database Reporter Portal User Guide: https://www.catnmsplan.com/refdata-registration
- Connectivity Guide: https://www.catnmsplan.com/refdata-registration
- Frequently Asked Questions: https://www.catnmsplan.com/faq
- Transaction Registration & Onboarding: https://www.catnmsplan.com/transaction-registration

1. Register for the Reference Database

Any member of a national securities exchange or national securities association that handles orders or quotes in NMS equity securities, OTC equity securities, or listed options and any CAT Reporting Agent that is or will be authorized to submit data to CAT on behalf of an Industry Member must register in order to report to the Reference Database system.

The Reference Database Registration Form must be submitted online at https://www.catnmsplan.com/refdata-registration.

The information collected on the registration form includes:

- Organization's name, type of organization (Industry Member or Service Bureau), CRD number or ORG ID[1], Legal Entity Identifier (LEI)[2] and address
- Primary and secondary contact name, email address and phone number
- Report Source (Self-Reporting and/or Vendor)
- Preferred connectivity type (SFTP, AWS Private Link and/or Reference Database Reporter Portal)
- Approximate number of FDIDs that will be submitted to the Reference Database
- Whether the firm is a clearing firm

The registration form will be processed within two business dates of receipt. The Super Account Administrator (SAA) will receive an email when the Reference Database registration form has been processed and the new entitlements have been added to its account. The SAA can then set up Account Administrators and provide other users access to the Reference Database Test and Production Mirror Environments (see Section 2 Designate Reference Database Account Administrator(s)).

Industry Members that have no *firmDesignatedID*s (FDIDs) to report at this time are still encouraged to complete the registration process in order to efficiently onboard in the future if and when necessary. For more information, see Section 6.4 Production Readiness Requirements for Industry Members that Do Not Have Production FDIDs.

[1] CAT Reporting Agents that have already been assigned an ORG ID must populate the field with that identifier. CAT Reporting Agents that do not have a CRD number or an existing ORG ID must populate the CRD number field with 'NA' for Not Applicable. An ID will be assigned once a CAT Reporting Agent Agreement is submitted and an account is created for an Account Administrator. The ID will be provided by the FINRA Entitlement Team in the notification email alerting that Account Administrator access has been granted. If the CAT Reporting Agent Agreement has not been completed, please refer to this link: https://www.catnmsplan.com/transaction-registration and access the document in the Forms section.
[2] See FAQ A34 on the CAT NMS Plan website for additional information.

2. Designate Reference Database Account Administrator(s)

Access to the Reference Database leverages the FINRA Entitlement Program that includes the Super Account Administrator (SAA) role for Industry Members and an Account Administrator (AA) role for CAT Reporting Agents (Service Bureaus). Refer to http://www.finra.org/industry/entitlement-program for additional information on the FINRA Entitlement Program.

3. Create/Entitle CAT User Accounts for the Reference Database Reporter Portal

The SAA and AAs for organizations that have met the prerequisites described in Section 1 Register for the Reference Database and Section 2 Designate Reference Database Account Administrator(s) can create user accounts and grant entitlement to the Reference Database Reporter Portal via FINRA Gateway.

Sharing Portal login credentials (user IDs and passwords) with another person, automated software, bots, AI systems, or any other entity is strictly prohibited. Each user ID is assigned to a specific individual and is intended solely for human-interactive use by that individual. Users requiring systematic access must request and be approved for an SFTP user account. Misuse of credentials could lead to the user's account being disabled. The Reference Database Reporter Portal is a web-based tool that allows Industry Members and CAT Reporting Agents to monitor and manage data submissions to the Reference Database. The Reference Database Reporter Portal includes end-to-end capability for providing submissions, and review and repair errors. Links to the Reference Database Reporter Portal can be found in the Reference Database Reporter Portal User Guide.

The SAA and AA must determine which environment(s) the user(s) will have access to (see Section 3.1 CAT System Environments) and which User Roles are appropriate for each user (see Section 3.2 Reference Database Reporter Portal User Roles).

3.1. CAT System Environments

The Industry Test Environment (Test Environment), Production Mirror Environment (Prod Mirror Environment) and Production Environment are used in concert to facilitate efficient testing for Industry Members and CAT Reporting Agents. The three environments are available for Industry Members and CAT Reporting Agents, as defined below:

Environment	Functionality	Purpose
Industry Test	Functionality that is currently in the development and testing phase and has not yet been released to the Production Environment. Data submitted to	Conduct testing for production readiness and user testing of new functionality.

	the Test Environment can be obfuscated.	
Production Mirror	Full production-equivalent functionality.	Can also be utilized to conduct testing for production readiness. Allows for the submission of data to a production-equivalent environment. This may be used to test code enhancements or corrections prior to providing such data to the Production Environment.
Production	Full production functionality.	Provision of production data as required by the CAT NMS Plan.

CAT Super Account Administrators (SAAs)

The FINRA Entitlement Team will manage environment access for all SAAs. An SAA will be able to manage access to the Test and Prod Mirror Environments upon completion of the requirements outlined in Section1 Register for the Reference Database and Section 2 Designate Reference Database Account Administrator(s). When an organization has completed Reference Database testing for production readiness and is granted production access, per Section 7 Certify Testing Completion, the SAA will be given the ability to manage access to the Production Environment for its users.

CAT Account Administrators (AAs) (as Access Managers)

When creating or modifying an account for an **Account Administrator**, the SAA must indicate if the AA is able to grant and manage access to the Test, Prod Mirror and/or Production Environments.

CAT Users (including Account Administrators)

When creating or modifying an account for a user, the SAA/AA must indicate if the user is able to access the Test, Prod Mirror and/or Production Environments.

Additional tips for managing user and administrator accounts are available in the FINRA Entitlement Reference Guide.

3.2. Reference Database Reporter Portal – User Roles

The following entitlements may be assigned to grant users access to the Reference Database.

Entitlement	Description
Reference Database Reporter	Provides access to the Reference Database Reporter Portal. *Note: At least one of the entitlements below must also be granted for the user to access the Reference Database Reporter Portal.*
Reporter User	Allows a user to: • Create, view and transmit Reference Database records. • Upload files. • View status files. • View and repair errors. • View submission statistics. • Manage reporting relationships.
Reporter Read-Only User	Allows the user to: • View status files and submission statistics.
Reporter Production User	Allows a user to: • Access functionality for assigned entitlements as described above in the Production Environment. For example, a user with the **Reporter User** entitlement may create, view and transmit Reference Database records in the Industry Test and Prod Mirror Environments. A user with the **Reporter User** *and* **Reporter Production User** entitlements may create, view and transmit Reference Database records in the Industry Test, Prod Mirror and Production Environments. This entitlement is only provided when the Industry Member or CAT Reporting Agent is certified for the Production Environment.

3.3. Required CAT Access and Reference Database Entitlements

The following table shows the required CAT Access and Reference Database Entitlements that must be selected to ensure that a user has the appropriate entitlements to the appropriate environments. Note that the SAA or AA must choose the CAT Access (Test/Prod Mirror, Production or both) before Entitlements can be assigned.

Scenario #	Scenario Description	Required CAT Access	Required Reference Database Entitlements
Reference Database Test and Prod Mirror Environments Only			
1	User requires access to **Reference Database Test and Prod Mirror** to view/read only	✓ CAT Test Access	✓Reference Database Reporter ✓Reporter Read-Only User
2	User requires access to **Reference Database Test and Prod Mirror** to view/read and upload/submit	✓ CAT Test Access	✓Reference Database Reporter ✓Reporter User
Reference Database Production Environment Only			

Scenario #	Scenario Description	Required CAT Access	Required Reference Database Entitlements
3	User requires access to **Reference Database Production** to view/read only	✓ CAT Prod Access	✓Reference Database Reporter ✓Reporter Production User ✓Reporter Read-Only User
4	User requires access to **Reference Database Production** to view/read and upload/submit	✓ CAT Prod Access	✓Reference Database Reporter ✓Reporter Production User ✓Reporter User
Reference Database Test, Prod Mirror and Production Environments			
5	User requires access to **Reference Database Test, Prod Mirror and Production** to read/view only	✓ CAT Test Access **and** CAT Prod Access	✓Reference Database Reporter ✓Reporter Production User ✓Reporter Read-Only User
6	User requires access to **Reference Database Test, Prod Mirror and Production** to view/read and upload/submit	✓ CAT Test Access **and** CAT Prod Access	✓Reference Database Reporter ✓Reporter Production User ✓Reporter User

4. Request Reference Database Secure File Transfer Accounts

Only Industry Members and CAT Reporting Agents submitting via a Managed Network Service Provider or AWS PrivateLink are required to request Reference Database Secure File Transfer Accounts. All other Industry Members and CAT Reporting Agents may continue to Section 5 Establish Reference Database Reporting Relationships.

4.1. Reference Database Secure File Transfer Accounts

Reference Database Secure File Transfer Protocol (SFTP) accounts enable Industry Members and CAT Reporting Agents to create a machine-to-machine connection to securely transmit data to the Reference Database and receive related feedback. To create an SFTP account, the organization must first have an SAA or AA established and then submit a Reference Database Secure File Transfer Protocol (SFTP) Account form, available on the CAT NMS Plan website at https://www.catnmsplan.com/refdata-registration. Once the request is verified and processed, the FINRA Entitlement team will send the account credentials to the contact identified on the form. Prior to first use of the SFTP account to submit data, the initial password must be reset by logging into https://gateway.finra.org/app/ews-landing-page.

Reference Database SFTP accounts are solely for the machine-to-machine transmission of data to/from the Reference Database and cannot be used to access any other CAT system. Additionally, existing FINRA FTP accounts cannot be used to submit data to or receive data from the Reference Database. Industry Members and CAT Reporting Agents submitting to the Reference Database via SFTP are required to have two separate FTP accounts, one for the Production Environment and one for the Test Environment (including Prod Mirror).

4.2. SFTP Environments

Three environments are available for Industry Members and CAT Reporting Agents to access as described in Section 3.1 CAT System Environments. When requesting an SFTP account, the SAA must designate the access level on the Reference Database Secure File Transfer Protocol (SFTP) Account form, that is, if the account is for Test (including Prod Mirror), Production, or both. If no access level is marked on the Reference Database Secure File Transfer Protocol (SFTP) Account form, the SFTP account will be given access to both Test (including Prod Mirror) and Production Environments. An SAA may submit another Reference Database Secure File Transfer Protocol (SFTP) Account form to update the access level if required.

SFTP accounts will be given access to Production only after testing certification has been completed, as described in Section 7 Certify Testing Completion. When the Industry Member or CAT Reporting Agent completes testing certification and is granted access to the Production Environment, any SFTP account for which production access was designated will be granted production access.

The SAA (for an Industry Member) or the AA (for a CAT Reporting Agent) must submit a Reference Database Secure File Transfer Protocol (SFTP) Account form to request the access be changed for an SFTP account if access should be given to or removed from an existing SFTP account. **When removing SFTP environment access, ensure that the Industry Member or CAT Reporting Agent has at least one remaining SFTP account for the environment.** For example, if the Industry Member or CAT Reporting Agent has only one SFTP account with production access, that access should not be removed since it would leave the Industry Member or CAT Reporting Agent without the ability to submit data to the Production Environment.

4.3. Entitlements for Reference Database SFTP Accounts

Per the Reference Database Secure File Transfer Protocol (SFTP) Account form, the following entitlements may be assigned to grant users access to the Reference Database:

Entitlement	Description
SFTP User	Allows a machine user to: • Connect to the Reference Database SFTP server • Upload files • Retrieve feedback files
SFTP Read-Only User	Allows a machine user to: • Connect to the Reference Database SFTP server • Retrieve feedback files
Reporter Production User	Allows a machine user to: • Access functionality for assigned entitlements as described above in the Production Environment. For example, a user with the **SFTP User** entitlement may upload Reference Data files in the Industry Test and Prod Mirror Environments. A user with the **SFTP User** *and* **Reporter Production User** entitlements may upload Reference Data files in the Industry Test, Prod Mirror and Production Environments. This entitlement is only provided when the Industry Member is certified for the Production Environment.

4.4. Required Reference Database Access for Reference Database SFTP

The following table shows the required Reference Database SFTP Entitlements that must be selected on the Reference Database Secure File Transfer Protocol (SFTP) Account form to ensure that a machine user has the appropriate entitlements to the appropriate environments. In order to access the Test Environment (including Prod Mirror) and the Production Environment, a machine user must have two separate FTP accounts and it is not possible for a machine user to access the Test/Prod Mirror and Production Environments with the same account.

Scenario #	Scenario Description	Required Reference Database SFTP Access
1	User requires access to **Reference Database Test SFTP and Prod Mirror SFTP** to view/read only	✓SFTP Read-Only User
2	User requires access to **Reference Database Test SFTP and Prod Mirror SFTP** to view/read and upload/submit	✓SFTP User
3	User requires access to **Reference Database Production SFTP** to view/read only	✓Reporter Production User ✓SFTP Read-Only User
4	User requires access to **Reference Database Production SFTP** to view/read and upload/submit	✓Reporter Production User ✓SFTP User

5. Establish Reference Database Reporting Relationships

Only Industry Members that are not self-reporting to the Reference Database (i.e., another Industry Member(s) or CAT Reporting Agent(s) is submitting to the Reference Database on their behalf) are required to establish Reference Database Reporting Relationships. Industry Members that are self-reporting to the Reference Database may continue to Section 6 Conduct Testing for Production Readiness.

A Reference Database Reporting Relationship authorizes an organization (another Industry Member, CAT Reporting Agent or other Submitter) to:

- Transmit data to the Reference Database on behalf of the Industry Member.
- View and act on reporting feedback and errors for data submitted on behalf of the Industry Member.
- Receive the error feedback in its SFTP feedback folder for data submitted on behalf of the Industry Member via SFTP.

For additional information on establishing and maintaining Reference Database Reporting Relationships, see the Industry Member Reference Database Reporter Portal User Guide.

Reference Database Reporting Relationships must be created and managed in each environment separately. Relationships created in the Industry Test Environment, Prod Mirror Environment or Production Environment will not be ported into another environment. Reference Database Reporting Relationships must be independently established in Industry Test, Prod Mirror and/or Production, as needed, to support the submission of data to the respective environment.

6. Conduct Testing for Production Readiness

Industry Members and CAT Reporting Agents are required to perform production readiness testing to demonstrate their ability to successfully submit data to the Production Environment. Production readiness testing is performed in the Reference Database Industry Test Environment. Production readiness testing is limited to the validations in effect when an Industry Member is required to begin reporting data to the Reference Database. Industry Members and CAT Reporting Agents may submit full production-equivalent loads to the Industry Test Environment. Submission and feedback processes mirror those of the Production Environment.

Testing certification must be completed in order to be granted access to the Reference Database Production Environment.

Testing certification requirements are different for:

- Self-Reporting Industry Members (see Section 6.1)
- Clearing Firms and CAT Reporting Agents (see Section 6.2)
- Industry Members submitting via CAT Reporting Agents (see Section 6.3)
- Industry Members that do not currently have a Reference Database reporting obligation (see Section 6.4)

6.1. Production Readiness Requirements for Self-Reporting Industry Members

Industry Members that will report to the Reference Database on their own behalf must complete the following steps:

Step 1: Successfully login to the Reference Database Reporter Portal Test Environment and connect to SFTP, if applicable.

Step 2: Determine the required certification level.

Required FDID Records Submission

All Reporters must provide production data for at least 75% of the FDID population or 1,000 records, whichever is fewer. For example:

# of FDIDs	75% of FDIDs	Minimum # of FDIDs for Production Certification
500	375	375
1000	750	750
1500	1125	1000
2500	1875	1000
4800	3600	1000

Required Customer Records Submission

All Customer Record(s) corresponding to the submitted FDID Records must be provided. For example, a joint account with two account holders and an authorized trader (e.g., power of attorney) would be submitted as one FDID Record with three associated Customer Records.

Required TID Types Submission

The Customer Records for the submitted FDID Records must include at least one of each TID Type that is applicable for the Reporter, including:

- SSN/ITIN for a U.S. Natural Person
- EIN for a U.S. Legal Entity
- FOREIGN for a non-U.S. Natural Person or Legal Entity

For example, an Industry Member that does business with only U.S. Natural Person Customers must submit at least one SSN/ITIN TID Type; however, it would not report any EIN or FOREIGN TID Types since it does not have any of these customer types. An Industry Member that has U.S. Natural Person, U.S. Legal Entity and foreign Customers must report at least one SSN/ITIN, one EIN and one FOREIGN TID Type.

Step 3: Successfully submit production data, per the required certification level identified in Step 2, with an error rate of 15% or less. Record the corresponding submission date(s).

Step 4: Upon completion of Steps 1 through 3, contact the FINRA CAT Helpdesk as outlined in Section 7 Certify Testing Completion.

6.2. Production Readiness Requirements for Clearing Firms and CAT Reporting Agents

Clearing firms and CAT Reporting Agents that will report to the Reference Database on behalf of another Industry Member must complete the following steps:

Step 1: Successfully login to the Reference Database Reporter Portal Test Environment. This must be completed by both the Industry Member and the clearing firm/CAT Reporting Agent. The clearing firm/CAT Reporting Agent must connect to SFTP, if applicable.

Step 2: The Industry Member must establish Reference Database Reporting Relationships in the Test Environment, per Section 5 Establish Reference Database Reporting Relationships. These relationships are applicable to the Test Environment only. Reference Database Reporting Relationships must be established separately in Production once access has been granted.

Step 3: Determine the required certification level.

Required FDID Records Submission

All clearing firms and CAT Reporting Agents must provide production data for at least 75% of the FDID population (aggregated across all Industry Members for which the organization submits data) or 1,000 records, whichever is fewer. For example:

Total # of FDIDs	75% of FDIDs	Minimum # of FDIDs for Production Certification
500	375	375

1000	750	750
1500	1125	1000
2500	1875	1000
4800	3600	1000

Clearing firms and CAT Reporting Agents that submit on behalf of multiple Industry Members may provide FDIDs from any combination of Industry Members. Consider a CAT Reporting Agent that submits on behalf of Industry Members A, B, C and D, each of which have 1200 FDIDs, for a total of 4800 FDIDs. The CAT Reporting Agent can submit the required 1000 FDIDs in any combination across the four Industry Members, such as:

- 1000 FDIDs from A and zero FDIDs from B, C and D
- 500 each from A and C, zero from B and D
- 333 from each of A and B, 334 from C, zero from D
- 250 each from A, B, C and D.

Required Customer Records Submission

<u>All</u> Customer Record(s) corresponding to the submitted FDID Records must be provided. For example, a joint account with two account holders and an authorized trader (e.g., power of attorney) would be submitted as one FDID Record with three associated Customer Records.

<u>Required TID Types Submission</u>

The Customer Records for the submitted FDID Records must include at least one of each TID Type where the clearing firm or CAT Reporting Agent reports on behalf of an Industry Member that has at least one CAT Customer with that TID Type, including:

- SSN/ITIN for a U.S. Natural Person
- EIN for a U.S. Legal Entity
- FOREIGN for a non-U.S. Natural Person or Legal Entity

For example, a CAT Reporting Agent that submits data only for Industry Members that exclusively do business with U.S. Natural Person Customers must submit the SSN/ITIN TID Type; however, it would not report any EIN or FOREIGN TID Types since it does not have any of these customer types. A CAT Reporting Agent that submits data for Industry Members that have U.S. Natural Person, U.S. Legal Entity and foreign Customers must report at least one SSN/ITIN, one EIN and one FOREIGN TID Type.

Step 4: Successfully submit production data, per the required certification level identified in Step 3, with an error rate of 15% or less. Record the corresponding submission date(s).

Step 5: Upon completion of Steps 1 through 4, contact the FINRA CAT Helpdesk as outlined in Section 7 Certify Testing Completion.

6.3. Production Readiness Requirements for Industry Members Submitting via CAT Reporting Agents

Industry Members that will report to the Reference Database using a CAT Reporting Agent must perform the following:

Step 1: Successfully login to the Reference Database Reporter Portal Test Environment.

Step 2: Establish Reference Database Reporting Relationships in the Test Environment, per Section 5 Establish Reference Database Reporting Relationships. These relationships are applicable to the Test Environment only. Reference Database Reporting Relationships must be established separately in Production once access has been granted.

Step 3: When the Industry Member's CAT Reporting Agent has successfully certified on behalf of the Industry Member, contact the FINRA CAT Helpdesk as outlined in Section 7 Certify Testing Completion.

The Industry Member will need to confirm that all of its CAT Reporting Agents have certified for Reference Database production reporting.

6.4. Production Readiness Requirements for Industry Members that Do Not Have Production FDIDs

Industry Members that have no FDIDs to report at this time are still encouraged to complete the testing certification process in order to efficiently onboard in the future if and when necessary. Industry Members with no FDIDs that wish to complete testing certification must complete the following steps:

Step 1: Successfully login to the Reference Database Reporter Portal Test Environment. This must be completed by both the Industry Member and the clearing firm/CAT Reporting Agent (if applicable). Self-reporting firms and the clearing firm/CAT Reporting Agent must connect to SFTP, if applicable.

Step 2: Establish Reference Database Reporting Relationships in the Test Environment per Section 5 Establish Reference Database Reporting Relationships, if applicable. This must be completed by the Industry Member. These relationships are applicable to the Test Environment only. Reference Database Reporting Relationships must be established separately in Production once access has been granted.

Step 3: Successfully submit mock data to demonstrate the ability to successfully format data for and transmit data to the Reference Database system. Record the corresponding submission date(s). See Section 6.1 (for self-reporting firms) or Section 6.2 (for clearing firms and CAT Reporting Agents) for additional details on the requirements for submission of FDID Records, Customer Records and TID Types.

Step 4: Upon completion, contact the FINRA CAT Helpdesk as outlined in Section 7 Certify Testing Completion.

7. Certify Testing Completion

Once Industry Members and CAT Reporting Agents have completed all onboarding steps, including the successful completion of production readiness testing, each Industry Member and CAT Reporting Agent must contact the FINRA CAT Help Desk at 888-696-3348 or help@finracat.com. The FINRA CAT Help Desk will require the submission date(s) on which the testing occurred.

Upon verification of the onboarding steps by FINRA CAT, Industry Members and CAT Reporting Agents will be granted access to the Reference Database Production Environment and a notification confirming access will be sent.

Reference Database Reporting Relationships must be created and managed in each environment separately. Relationships created in the Test Environment, Prod Mirror Environment or Production Environment will not be ported into another environment. Reference Database Reporting Relationships must be independently established in Industry Test, Prod Mirror and/or Production, as needed, to support the submission of data to the respective environment.