CAT System Terms of Use

You have been authorized to access the CAT System by your employer. By clicking “I Accept” or otherwise accessing or using the CAT System, you agree to be bound by these terms. Notwithstanding the foregoing, these terms do not apply to employees of a government agency authorized by such agency to access the CAT System.

1. You represent that you have been designated as an “Authorized User” of a CAT Reporter under the terms of the CAT Reporter Agreement or as an Authorized User of a CAT Reporting Agent under the terms of the CAT Reporting Agent Agreement, and that you have been authorized by such CAT Reporter or CAT Reporting Agent to access the CAT System on behalf of such CAT Reporter or CAT Reporting Agent. You shall only access and use the CAT System (including any data therein) as permitted by the Plan and the CAT Reporter Agreement or CAT Reporting Agent Agreement, as applicable.
2. You represent that you have complied, and you agree that you shall continue to comply, with all applicable security-related requirements for using the CAT System (e.g., executing a Security of Information Affidavit and completing security training) as well as any other requirements posted at catnmsplan.com.
3. Consolidated Audit Trail, LLC or FINRA CAT (the “Plan Processor”) shall have the right to revoke or suspend your access to the CAT System at any time for security and operational reasons.
4. UNDER NO CIRCUMSTANCES SHALL CONSOLIDATED AUDIT TRAIL, LLC, THE PLAN PROCESSOR OR ANY SELF-REGULATORY ORGANIZATION BE LIABLE TO YOU FOR ANY DIRECT, INCIDENTAL, SPECIAL, CONSEQUENTIAL, EXEMPLARY, MULTIPLE OR OTHER INDIRECT DAMAGES THAT RESULT FROM YOUR USE OF, OR THE INABILITY TO USE, THE CAT SYSTEM, EVEN IF CONSOLIDATED AUDIT TRAIL, LLC, THE PLAN PROCESSOR OR ANY SUCH SELF-REGULATORY ORGANIZATION HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.