



# Agenda

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- CAT NMS Plan, Exemptive Relief and Transaction Interpretive Updates
- Transaction Technical Specifications Updates
- CAIS Reporting Updates
- Compliance Updates
- Upcoming Industry Webinars and Other Updates
- Q&A
- Appendix- Transaction Production Statistics

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# CAT NMS Plan, Exemptive Relief and Transaction Interpretive Updates

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# Transaction Interpretive Updates

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# New FAQs

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- ▶ There are no new Transaction [FAQs](#).
- ▶ No Transaction [FAQs](#) were updated.

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# Transaction Technical Specifications Updates

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# 2022-23 IM Releases – Scope and Schedule

## Release 2.1

Production/Production Mirror  
Release – 11/7/2022

### CAIS related validations & Statistics

- Validate FDID against CAIS data
- Daily statistics reflecting FDID errors
- Provide a new linkage summary feedback file containing missing or invalid FDIDs

\* FDID Errors on Report Cards (See 2023 Release 1)

## Release 3

Spec Publication – 7/29/2022  
Industry Test Release – 10/3/2022  
Production/Production Mirror  
Release – 12/5/2022

### Schema changes and related validations

- Add new event - **MLOE**
- Enforce requirements to populate *cancelQty*, *multiLegInd* on applicable events
- Change data type for *handlingInstructions* value CASH from Boolean to Price to capture actual monetary value instruction
- Enforce correct values on the *side* field in Leg Details
- Reject invalid values in the *underlying* field on Multi-Leg events
- Add *deskOrderID* field to Order Internal Route events to uniquely identify related events
- Add *priorDeskOrderID* field to Order Internal Route Modified events to uniquely identify related events
- Remove metadata file submission requirement and related file integrity errors

## 2023 - Release 1

Spec Publication – N/A  
Industry Test Release – N/A  
Production/Production Mirror  
Release – 2/15/2023

### Transaction Report Card

- FDID Errors in Transaction Report Cards will be included in January Report Card published on February 15<sup>th</sup>, 2023
- Report Cards by Process Date

## 2023 - Release 2

Spec Publication – 12/9/2022  
Industry Test Release – 3/13/2023  
Production/Production Mirror  
Release – 3/27/2023

### Onboarding FINRA ADF

- Add new event - MENQS - New Quote Supplement event
- Add new event - MERQS - Quote Route Supplement event
- Add *representativeQuoteInd*, *askAggregatedOrders*, and *bidAggregatedOrders* fields to MENQ event
- Add *destinationType* and *session* to MERQ event
- Change *firmDesignatedID* and *accountHolderType* fields on MENQ event from Required to Conditional

# Technical Specification Updates

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- ▶ [V4.0.0 r17](#) of the Industry Member CAT Reporting Technical Specifications were published on August 24, 2022
  - ADF changes published in version 4.0.0 r16 were updated or grayed out to clarify that they will not be effective until 1Q 2023
- ▶ Updated [schema](#) was published on September 7, 2022

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# CAIS Reporting Updates

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# Industry Member Release Rollout – Pre-Full CAIS Production

<b>Full CAIS Release 1</b> Industry Test – 1/31/2022 Production – 4/25/2022	<b>Full CAIS Release 2a</b> Industry Test – 3/28/2022 Production – 4/25/2022	<b>Full CAIS Release 2b</b> Industry Test – 4/11/2022 Production – 4/25/2022
<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• Industry Test Open for Machine-to-Machine File &amp; Data Integrity Validations, Material Inconsistencies, and Feedback</li><li>• Feedback file contains up to 1,000 Rejections</li></ul> <p><b>CAIS Reporter Portal</b></p> <ul style="list-style-type: none"><li>• Manual File Upload</li><li>• Manual Submission</li><li>• Submission Feedback</li><li>• Inconsistencies Feedback</li><li>• Nightly Inconsistencies Report</li></ul> <p><b>Full CAIS Certification</b> opened on 2/1/2022</p>	<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• New DRIVERLICENSE Foreign TID Type</li><li>• EIN Validation changed to format validation</li><li>• Feedback file enhanced to include all Rejections feedback</li></ul> <p><b>CAIS Reporter Portal</b></p> <ul style="list-style-type: none"><li>• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)</li></ul>	<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• Remove OTHBKR and CP <i>customerType</i> values for Legal Entity Customer Records</li><li>• Remove BROKERAGE and ADVISED values for <i>accountType</i></li><li>• Remove <i>primeBrokerID</i> and <i>bankDepositoryID</i> fields and add a new <i>DVPCustodianID</i> field</li></ul>

# Industry Member Release Rollout – Full CAIS Production

Full CAIS Release 3a  
Industry Test – 5/25/2022  
Production – 6/13/2022

## Ingestion

- New Authorized Trader Names List on FDID record
- Increase *lastName* field length to 200 characters

## Reports

- FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase

## CAIS Reporter Portal

- FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase

Full CAIS Release 4  
Industry Test – 6/26/2022  
Production – 7/1/2022

## Ingestion

- New OTHGOVT Foreign TID Type

## Performance Enhancements

- CAIS file processing improvements

## Minor Enhancements and Bug Fixes

Full CAIS Release 5  
Industry Test – 9/19/2022  
Production – 10/3/2022

## Performance Enhancements

- CAIS file processing improvements

## Minor Enhancements and Bug Fixes

CAIS Report Card Release

## Report Card

- Full CAIS Compliance begins with the January Report Card published on February 15th, 2023
- Compliance Rates distinguished for Correspondent data

# Industry Member Release Rollout – Planned Future Enhancements

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Industry Test – TBD  
Production – TBD

- INACTIVE End Reason
- Automated Transfer Procedure
- Optimization of error feedback

# New and Updated CAIS FAQs

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## ▶ Two new CAIS [FAQs](#):

- FAQ [Q66](#) addresses how to populate the *DVPCustodianID* field when a DVP/RVP account is temporarily not assigned a clearing number or DTC number because the account is new, or the current clearing number or DTC number has been removed from DTCC's ALERT service and no new clearing number or DTC number is available.
- FAQ [Q67](#) notes that addresses will be required at the Customer level effective July 12, 2023, per the CAT NMS Plan.

## ▶ Six CAIS [FAQs](#) were updated:

- FAQ [Q36](#) was updated to conform with v9.2 of the Full CAIS Specifications.
- FAQ [Q42](#) was updated to clarify the reporting requirements for *fdidDate* when there are multiple dates associated with an account.
- FAQ [Q51](#) was updated to clarify that the *roleStartDate* field must be populated with the date on which the Customer entered into the specified *role* on the account, according to the Industry Member's books and records.
- FAQs [Q58](#) and [T7](#) were updated to extend the compliance dates to 2023 for unparsed names and correct usage of the 'AUTH3RD' and 'AUTHREP' *role* values, respectively.
- FAQ [Q65](#) was updated to clarify that some Industry Members may have to change current onboarding activities to ensure that Customer information is obtained and recorded for any Active Accounts with CAT Reportable Events.

# Full CAIS Technical Specification Updates

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- ▶ [V2.0 r9.2](#) of the Full CAIS Technical Specifications for Industry Members was published on September 20, 2022.
  - Corrected maximum uncompressed size from 100GB to 7GB for files submitted through SFTP.
- ▶ The Customer and Account TIDS [Schema](#) (Full CAIS) was updated on August 26, 2022.

# Industry Member Timeline Design

Requirement	Date
Production Certification Deadline	July 25, 2022
Interim reporting obligation 1: CAT Submitters Partial Submissions. <ul style="list-style-type: none"> <li>For a single date within the range specified, complete a scheduled partial submission to the Prod Environment in Full CAIS Format. FINRA CAT will begin contacting CAT Submitters on August 1 to schedule their partial submission dates.</li> </ul>	August 15 – September 15, 2022
Interim reporting obligation 2: All Industry Members – Submission of all FDIDs and Customers <ul style="list-style-type: none"> <li>For a single date within the range specified, complete a scheduled submission of the FDID Population with CAT-Reportable activity between June 12, 2022 and September 30, 2022 to the Prod Environment in Full CAIS format. FINRA CAT will begin contacting all Industry Members on October 3 to schedule their specific reporting date.</li> </ul>	October 10 – October 31, 2022
Interim reporting obligation 3: Daily reporting of FDID and Customer Data <ul style="list-style-type: none"> <li>All Industry members must begin daily reporting of FDID records and changes/additions for all CAT-Reportable Activity beginning June 12, 2022 through at least September 30, 2022. Corrections to reported data are not required until Interim Reporting Obligation 4.</li> </ul>	November 7, 2022
Interim reporting obligation 4: All outstanding Rejections and Material Inconsistences addressed <ul style="list-style-type: none"> <li>All outstanding rejections and Material Inconsistences for all CAT-reportable activity beginning June 12, 2022 are resolved.</li> </ul>	December 5, 2022
Full CAIS Compliance date (Error correction timeline fully enforced) <ul style="list-style-type: none"> <li>All error repair and material inconsistency resolution deadlines are enforced.</li> </ul>	December 12, 2022

- ▶ An [Announcement](#) was published and the [Timeline](#) was updated. Please see [CAT Alert 2022-01](#) for more information.

# CAIS Checkpoint Calls

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- ▶ The next [CAIS Industry Testing Checkpoint Call](#) will be on September 28, 2022 at 4:15 pm ET.
- ▶ The presentations and recordings are available for:
  - [09/21/2022 CAIS Industry Testing Checkpoint Call](#)
  - [09/14/2022 CAIS Industry Testing Checkpoint Call](#)
  - [09/07/2022 CAIS Industry Testing Checkpoint Call](#)
  - [08/31/2022 CAIS Industry Testing Checkpoint Call](#)
  - [08/24/2022 CAIS Industry Testing Checkpoint Call](#)

# Other CAIS Updates

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- ▶ The recording and presentation from the [9/20/2022 CAT CAIS Technical Specifications Working Group](#) is available on the CAT website.
- ▶ Updated CAT Alerts [2022-01](#) and [2021-04](#) were published on September 7, 2022.

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# Compliance Updates

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# Industry Member Report Card Updates

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- ▶ The August 2022 CAT Industry Member Compliance Report Cards were published on September 15, 2022.
- ▶ Compliance Resources:
  - [Industry Member Report Card- Known Issues List](#)
  - [CAIS Compliance Glossary](#)
  - [Transaction Compliance Glossary](#)
  - Previously Recorded and Posted [Report Card Webinars](#)

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# Upcoming Industry Webinars and Other Updates

# Other General Announcements and Reminders

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- ▶ The 2022 Consolidated Audit Trail [Advisory Committee](#) List was published on August 30, 2022.
- ▶ The [2022 User Accounts Entitlement Certification Period for CAT Reporting Agents](#) is September 12, 2022 through November 14, 2022
  - Not Applicable to Industry Members
  - During this period, a Certification Representative for each organization must certify that accounts with access to CAT applications, data and tools are valid and users are entitled only to the entitlements (privileges) necessary to perform their current job responsibilities.

# SIFMA Test Update

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- ▶ FINRA CAT requests that selected IMs test their connectivity.
- ▶ SIFMA test will be held on Saturday, October 15, 2022, from 8 am ET to 2 pm ET for Transaction and CAIS submitters.
- ▶ Checkpoint calls will be scheduled for week of test with selected submitters.

# Monthly CAT Update Industry Webinars

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- ▶ The next [Monthly CAT Update](#) will be held on October 26, 2022 at 9 am ET.
- ▶ The recording and presentation from the [August 23, 2022](#) Monthly CAT Update and Overview of the 2022 SIFMA Test is available.

# FINRA CAT Helpdesk

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Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)

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**Q&A**

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# How to Ask a Question during Today's Call

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- **For participants using computer audio:**
  - Click the “Raise Hand” button at the bottom of the participants window.
  - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
  - Enter \*9 on your phone keypad.
  - An audio prompt will indicate that your line has been unmuted.

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# Appendix

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# Equities – Rolling Five Day Period

## Initial T+1 vs. T+5 8 am Data Ready for Regulators

### August 17, 2022 – September 1, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
8/17/2022	.0009%	.0102%	.0099%	.0309%	.0307%	.0415%	.0006%	.0044%	.0020%	.1092%	.1091%	.0315%	.0314%	.0451%	.0403%
8/18/2022	.0642%	.0137%	.0069%	.0358%	.0265%	.1115%	.0006%	.0028%	.0022%	.0596%	.0595%	.0420%	.0419%	.1163%	.0918%
8/19/2022	.0001%	.0134%	.0066%	.0301%	.0211%	.1847%	.0730%	.0753%	.0741%	.0885%	.0518%	.0467%	.0362%	.0693%	.0399%
8/22/2022	.1282%	.0140%	.0072%	.0277%	.0185%	.1926%	.0802%	.4402%	.3515%	.0448%	.0447%	.0323%	.0295%	.2283%	.1949%
8/23/2022	.0000%	.0057%	.0057%	.0196%	.0196%	.1002%	.0617%	.0637%	.0636%	.0460%	.0459%	.0396%	.0395%	.0391%	.0352%
8/24/2022	.0001%	.0061%	.0057%	.0211%	.0209%	.0534%	.0088%	.0107%	.0100%	.0457%	.0456%	.0386%	.0385%	.0309%	.0258%
8/25/2022	.1039%	.0041%	.0037%	.0136%	.0134%	.0484%	.0001%	.0760%	.0018%	.0037%	.0037%	.0423%	.0421%	.1303%	.1175%
8/26/2022	.0520%	.0195%	.0041%	.0169%	.0120%	.0357%	.0001%	.0029%	.0011%	.0713%	.0027%	.0369%	.0318%	.0966%	.0649%
8/29/2022	.0013%	.0043%	.0040%	.0104%	.0101%	.0364%	.0001%	.0046%	.0010%	.0030%	.0025%	.0545%	.0541%	.0173%	.0128%
8/30/2022	2.3990%	.0044%	.0041%	.0090%	.0090%	.0346%	.0001%	3.4823%	.0013%	.0050%	.0044%	.0480%	.0444%	2.7507%	2.4098%
8/31/2022	2.5549%	.0068%	.0043%	.0157%	.0087%	.0474%	.0001%	2.7650%	.0216%	.0052%	.0048%	.0426%	.0417%	2.8502%	2.5676%
9/1/2022	1.8864%	.0028%	.0026%	.0086%	.0085%	.0362%	.0001%	2.4725%	.0024%	.0059%	.0053%	.0330%	.0255%	2.1369%	1.8956%

# Equities – Rolling Five Day Period

## Initial T+1 vs. T+5 8 am Data Ready for Regulators

### September 2, 2022 – September 20, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
9/2/2022	.0097%	.0021%	.0019%	.0380%	.0378%	.0285%	.0001%	.0276%	.0014%	.0045%	.0041%	.0394%	.0392%	.0451%	.0395%
9/6/2022	1.8554%	.0030%	.0028%	.0080%	.0078%	2.0620%	.0001%	4.4792%	.0014%	.0046%	.0022%	.0484%	.0451%	2.4832%	1.8642%
9/7/2022	.8518%	.0027%	.0023%	.0097%	.0095%	.0408%	.0001%	1.0808%	.0015%	.0054%	.0050%	.0353%	.0351%	.9711%	.8617%
9/8/2022	2.0077%	.0020%	.0017%	.0090%	.0087%	.0424%	.0001%	2.5709%	.0015%	.0075%	.0071%	.0403%	.0398%	2.2682%	2.0168%
9/9/2022	.0256%	.0168%	.0034%	.0096%	.0092%	.1985%	.0001%	.1727%	.0016%	.4398%	.2049%	.0401%	.0395%	.1442%	.0631%
9/12/2022	.8754%	.0041%	.0032%	.0089%	.0085%	.0462%	.0001%	.7669%	.0058%	.0273%	.0269%	.0407%	.0404%	.9679%	.8889%
9/13/2022	1.2829%	.0028%	.0022%	.0100%	.0098%	.0474%	.0036%	1.2655%	.0031%	.0283%	.0143%	.0383%	.0376%	1.4208%	1.2947%
9/14/2022	.0011%	.0020%	.0018%	.0087%	.0085%	.0879%	.0001%	.0494%	.0015%	.0393%	.0198%	.0346%	.0337%	.0278%	.0118%
9/15/2022	.8706%	.0054%	.0019%	.0087%	.0085%	1.4874%	.0001%	2.4311%	.0258%	.0182%	.0181%	.0424%	.0261%	1.2638%	.8811%
9/16/2022	.0006%	.0025%	.0023%	.0088%	.0086%	.0351%	.0001%	.0054%	.0029%	.0332%	.0169%	.0317%	.0314%	.0178%	.0116%
9/19/2022	.0935%	.0029%	.0026%	.0080%	.0078%	.0397%	.0001%	.0049%	.0009%	.0005%	.0005%	.0417%	.0403%	.1065%	.1019%
9/20/2022	.0013%	.0025%	.0021%	.0088%	.0086%	.0002%	.0001%	.0081%	.0028%	.0006%	.0005%	.0368%	.0283%	.0110%	.0100%

# Options – Rolling Five Day Period

## Initial T+1 vs. T+5 8 am Data Ready for Regulators

### August 17, 2022 – September 1, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
8/17/2022	1.5184%	.0045%	.0044%	4.0338%	4.0337%	.4797%	.4313%	.8182%	.7177%	.1219%	.0944%	.3780%	.3747%	3.0797%	3.0716%
8/18/2022	.0001%	.0043%	.0041%	.0009%	.0008%	.5561%	.5065%	.7528%	.7119%	.0563%	.0385%	.2527%	.2438%	.0267%	.0213%
8/19/2022	.0026%	.0122%	.0082%	.0011%	.0010%	.5518%	.4827%	.7404%	.6860%	.0898%	.0772%	.3236%	.3236%	.0449%	.0371%
8/22/2022	12.6054%	.0071%	.0068%	5.0838%	.0104%	.5192%	.0315%	.7726%	.6507%	.0185%	.0074%	.2806%	.2568%	16.3024%	12.6239%
8/23/2022	6.3839%	.0103%	.0050%	5.4819%	.0010%	.4962%	.0250%	.6598%	.6250%	.0229%	.0084%	.3478%	.3333%	10.2829%	6.3936%
8/24/2022	.0000%	.0071%	.0051%	.0010%	.0008%	.7193%	.0291%	.6828%	.6415%	.0255%	.0129%	.2553%	.2291%	.0213%	.0124%
8/25/2022	.0049%	.0070%	.0047%	.0040%	.0008%	.5898%	.0193%	.7092%	.6671%	.0153%	.0099%	.6705%	.6705%	.0254%	.0163%
8/26/2022	.0001%	.0078%	.0041%	.0072%	.0071%	.5016%	.3817%	.7980%	.7331%	.0301%	.0080%	.2537%	.2321%	.0274%	.0166%
8/29/2022	.0006%	.0038%	.0035%	.0008%	.0006%	.7814%	.0236%	.8279%	.7272%	.0170%	.0077%	.3740%	.3311%	.0162%	.0097%
8/30/2022	.0049%	.0044%	.0040%	.0090%	.0007%	.7812%	.0207%	1.3873%	.6943%	.0141%	.0060%	.0837%	.0627%	.0281%	.0138%
8/31/2022	.4282%	.0043%	.0037%	.0008%	.0006%	1.3384%	.0119%	.5208%	.4899%	.0140%	.0003%	.3586%	.3540%	.4452%	.4351%
9/1/2022	.0168%	.0048%	.0042%	.0046%	.0044%	.6750%	.0146%	.7594%	.7127%	.0109%	.0003%	.4175%	.3692%	.0338%	.0272%

# Options – Rolling Five Day Period

## Initial T+1 vs. T+5 8 am Data Ready for Regulators

### September 2, 2022 – September 20, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
9/2/2022	.0685%	.0044%	.0039%	.0009%	.0009%	.6746%	.0176%	2.6957%	.8090%	.0087%	.0003%	.2800%	.2597%	.0893%	.0763%
9/6/2022	.0133%	.0037%	.0032%	.0051%	.0050%	1.0232%	.0142%	2.1921%	.9227%	.0124%	.0002%	.2429%	.1481%	.0346%	.0232%
9/7/2022	.0137%	.0038%	.0037%	.0007%	.0005%	.7184%	.0153%	.9794%	.7817%	.0077%	.0003%	.2236%	.1888%	.0261%	.0206%
9/8/2022	.0004%	.0037%	.0033%	.0007%	.0005%	1.0868%	.0322%	.7559%	.6978%	.0113%	.0003%	.1529%	.1482%	.0145%	.0067%
9/9/2022	5.7692%	.0059%	.0038%	.0007%	.0006%	.8530%	.0320%	2.6829%	.7293%	.0260%	.0003%	.3977%	.3977%	5.7973%	5.7764%
9/12/2022	.0231%	.0055%	.0038%	.0017%	.0006%	1.1096%	.0359%	3.2582%	.7440%	.0192%	.0021%	.2381%	.2222%	.0533%	.0311%
9/13/2022	.0637%	.0074%	.0068%	.0974%	.0970%	.9816%	.0268%	3.1427%	1.9878%	.0192%	.0005%	.1996%	.1840%	.1637%	.1488%
9/14/2022	.0517%	.0039%	.0035%	.0846%	.0843%	.8389%	.0373%	1.3694%	.7593%	.0365%	.0048%	.4315%	.2444%	.1357%	.1207%
9/15/2022	5.0303%	.0053%	.0047%	3.9128%	.0948%	.8112%	.0250%	.7206%	.6797%	.0387%	.0037%	.1577%	.1449%	7.2724%	4.7017%
9/16/2022	.0050%	.0047%	.0041%	.1049%	.1048%	.6138%	.0137%	.7981%	.7315%	.0399%	.0100%	.2791%	.2481%	.1028%	.0910%
9/19/2022	.0002%	.0038%	.0034%	.0897%	.0895%	.9217%	.0927%	.0536%	.0104%	.0116%	.0036%	.3678%	.3678%	.0756%	.0695%
9/20/2022	.0050%	.0035%	.0031%	.0946%	.0931%	.8914%	.0143%	.5521%	.1514%	.0115%	.0034%	.2241%	.2119%	.0856%	.0773%

# Equities – Industry Aggregate Trade Date Statistics August 17, 2022 – September 1, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-08-17	32,946,313,139	32,942,777,181	368,101	6,083,602
2022-08-18	26,661,105,652	26,656,260,440	17,182,617	21,273,587
2022-08-19	26,538,240,185	26,534,631,212	1,942,752	5,875,221
2022-08-22	27,275,203,899	27,271,267,856	386,395,877	390,418,355
2022-08-23	31,537,164,973	31,430,078,738	1,991,220	6,283,514
2022-08-24	26,384,074,319	26,382,446,576	286,323	4,153,584
2022-08-25	26,297,060,324	26,295,972,306	27,343,970	30,516,853
2022-08-26	38,715,999,944	38,708,408,248	20,121,928	25,073,471
2022-08-29	35,447,541,046	35,445,991,815	4,534,964	8,219,929
2022-08-30	42,530,543,696	42,528,669,792	1,020,313,284	1,024,786,388
2022-08-31	42,006,763,065	42,003,897,590	1,074,014,900	1,078,429,408
2022-09-01	43,189,586,109	43,179,345,853	814,534,492	818,546,096

# Equities – Industry Aggregate Trade Date Statistics September 2, 2022 – September 20, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-09-02	47,402,690,913	47,400,589,994	4,928,266	18,945,416
2022-09-06	48,957,071,619	48,955,084,939	908,448,259	912,786,409
2022-09-07	38,239,360,826	38,238,302,718	325,730,606	329,521,624
2022-09-08	45,164,968,966	45,164,066,413	906,794,218	910,772,276
2022-09-09	30,742,624,304	30,737,430,583	15,546,154	19,043,040
2022-09-12	32,231,908,158	32,230,564,852	282,148,102	285,947,735
2022-09-13	40,514,523,807	40,513,388,216	829,978,646	834,477,515
2022-09-14	42,079,770,469	42,078,888,004	457,707	4,952,792
2022-09-15	41,600,488,503	41,598,180,023	362,332,421	366,224,141
2022-09-16	43,347,902,209	43,346,783,053	403,419	5,174,225
2022-09-19	38,608,600,006	38,607,458,209	36,107,916	39,339,288
2022-09-20	36,890,579,768	36,889,606,410	465,484	3,667,923

# Options – Industry Aggregate Trade Date Statistics August 17, 2022 – September 1, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-08-17	6,635,245,153	6,634,962,017	760,559,159	758,590,181
2022-08-18	6,382,507,129	6,382,255,125	715,600,497	714,569,519
2022-08-19	6,996,119,594	6,995,337,680	682,370,503	680,392,206
2022-08-22	6,965,719,432	6,965,212,413	879,341,366	878,119,535
2022-08-23	6,715,746,814	6,715,043,927	429,415,019	428,759,929
2022-08-24	6,322,877,425	6,322,416,731	782,518	89,672
2022-08-25	6,372,088,789	6,371,605,738	1,036,967	351,399
2022-08-26	7,486,386,075	7,485,799,181	1,121,610	13,498
2022-08-29	7,038,002,796	7,037,723,255	683,630	44,814
2022-08-30	7,428,893,832	7,428,551,643	1,023,349	365,938
2022-08-31	7,036,163,643	7,035,851,383	30,612,250	30,125,870
2022-09-01	7,462,020,289	7,461,652,130	2,031,930	1,255,915

# Options – Industry Aggregate Trade Date Statistics September 2, 2022 – September 20, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-09-02	7,590,532,045	7,590,182,700	5,202,058	5,789,427
2022-09-06	7,906,298,289	7,905,987,170	1,050,520	1,837,306
2022-09-07	7,413,525,830	7,413,234,569	1,013,744	1,524,517
2022-09-08	7,752,399,306	7,752,097,302	35,022	522,278
2022-09-09	7,147,044,445	7,146,614,456	412,307,127	412,842,277
2022-09-12	6,783,002,075	6,782,617,917	1,566,859	2,108,373
2022-09-13	7,092,072,113	7,091,544,526	5,300,582	10,980,345
2022-09-14	7,245,153,233	7,244,859,856	3,747,584	8,742,800
2022-09-15	8,018,479,350	7,380,217,669	371,252,870	377,004,308
2022-09-16	7,684,743,363	7,684,283,998	381,323	6,992,232
2022-09-19	7,072,588,413	7,072,320,316	11,383	4,918,510
2022-09-20	7,262,120,053	7,261,784,421	364,944	5,610,374