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# Monthly CAT Update

November 17, 2022

# 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 and Updated FAQs

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- ▶ No new or updated Transaction [FAQs](#).

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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 – 12/5/2022

### 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, 2023
- Report Cards by Process Date

## 2023 - Release 2

Spec Publication – 12/16/2022  
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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- ▶ There were no updates to the Industry Member Technical Specifications.
- ▶ V2.5 of the [Order Routing Field Mapping between CAT and Exchanges](#) document was published on November 8, 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><br>Industry Test – 1/31/2022<br>Production – 4/25/2022  | <b>Full CAIS Release 2a</b><br>Industry Test – 3/28/2022<br>Production – 4/25/2022   | <b>Full CAIS Release 2b</b><br>Industry Test – 4/11/2022<br>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><br/>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<br>Industry Test – 5/25/2022<br>Production – 6/13/2022  | Full CAIS Release 4<br>Industry Test – 6/26/2022<br>Production – 7/1/2022  | Full CAIS Release 5<br>Industry Test – 9/19/2022<br>Production – 10/3/2022  | Full CAIS Release 6<br>Industry Test – 11/21/2022<br>Production – 12/5/2022 |
|--|--|---|---|
| <p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• New Authorized Trader Names List on FDID record</li><li>• Increase <i>lastName</i> field length to 200 characters</li></ul> <p><b>Reports</b></p> <ul style="list-style-type: none"><li>• FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase</li></ul> <p><b>CAIS Reporter Portal</b></p> <ul style="list-style-type: none"><li>• FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase</li></ul> | <p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• New OTHGOVT Foreign TID Type</li></ul> <p><b>Performance Enhancements</b></p> <ul style="list-style-type: none"><li>• CAIS file processing improvements</li></ul> <p><b>Minor Enhancements and Bug Fixes</b></p> | <p><b>Performance Enhancements</b></p> <ul style="list-style-type: none"><li>• CAIS file processing improvements</li></ul> <p><b>Minor Enhancements and Bug Fixes</b></p> | <p><b>Bug Fixes</b></p>   |

# Industry Member Release Rollout – Full CAIS Production

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## CAIS Report Card Release

### **Report Card**

- Full CAIS Compliance begins with the January Report Card published on February 15, 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
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*

# New and Updated CAIS FAQs

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- ▶ Two new CAIS [FAQs](#):
  - FAQ [Q69](#) regarding the CAIS reporting requirements for disregarded entities.
  - FAQ [Q70](#) regarding the reporting requirements for a piggyback clearing scenario.
- ▶ One CAIS [FAQ](#) was updated:
  - FAQ [Q68](#) regarding the reporting requirements when the Authorized Trader is a government employee of a U.S. state, county or municipality and acting in the capacity of a guardian or conservator for a minor or incapacitated person.

# Full CAIS Technical Specification Updates

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- ▶ There were no updates to the Full CAIS Technical Specifications or Reporting Scenarios document.

# 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.

# Other CAIS Updates

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- ▶ The recording and presentation from the November 15, 2022 [CAT Technical Specifications Working Group](#) is available on the CAT website.
- ▶ Updated [CAT Alert 2021-04](#) was published on October 28, 2022.
- ▶ Updated [CAT Alert 2022-01](#) was published on November 15, 2022.
- ▶ The November 30, 2022 Full CAIS Error Simplification Webinar has been postponed and the new date will be announced later.

# CAIS Checkpoint Calls

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- ▶ The next [CAIS Industry Testing Checkpoint Call](#) will be on Tuesday, November 22, 2022 at 4:15 pm ET.
- ▶ The presentations and recordings are available for:
  - [11/16/2022 CAIS Industry Testing Checkpoint Call](#)
  - [11/09/2022 CAIS Industry Testing Checkpoint Call](#)
  - [11/02/2022 CAIS Industry Testing Checkpoint Call](#)
  - [10/26/2022 CAIS Industry Testing Checkpoint Call](#)

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# Compliance Updates

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# Industry Member Report Card Updates

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- ▶ The October 2022 CAT Industry Member Compliance Report Cards were published on November 15, 2022.
- ▶ The recording and presentation from the [November 2, 2022](#) Industry Member Full CAIS Report Card Webinar is available.
- ▶ 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 FDID validation in the CAT transaction system against FDIDs submitted to CAT CAIS, previously scheduled for release on November 7, 2022, in the Production Environment and Production-Mirror Environment, has been delayed until December 5, 2022.
  - This FDID validation is currently available in the CAT transaction Test Environment against FDIDs submitted to the Full CAIS Production Environment.

# Monthly CAT Update Industry Webinars

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- ▶ The next [Monthly CAT Update](#) will be held on December 15, 2022 at 9:30 am ET.
- ▶ The recording and presentation from the [October 26, 2022](#) Monthly CAT Update is available on the CAT website.

# 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

### October 20, 2022 – October 31, 2022

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| 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 |
|------------|---------|-------------------|--------------------|-------------------|--------------------|------------------------|-------------------------|----------------------------|-----------------------------|------------------|-------------------|---------------|----------------|----------------------------|-----------------------------|
| 10/20/2022 | .2377%  | .0023%            | .0020%             | .0135%            | .0134%             | .0006%                 | .0005%                  | .0044%                     | .0024%                      | .0004%           | .0004%            | .0648%        | .0570%         | .2502%                     | .2497%                      |
| 10/21/2022 | 1.0591% | .0352%            | .0345%             | .0921%            | .0914%             | .0056%                 | .0000%                  | 2.2682%                    | .1573%                      | .0003%           | .0003%            | .0626%        | .0586%         | 1.3245%                    | 1.1185%                     |
| 10/24/2022 | 5.9839% | .0042%            | .0029%             | .0149%            | .0143%             | .0019%                 | .0017%                  | 4.3977%                    | .0036%                      | .0004%           | .0004%            | .0849%        | .0779%         | 6.4295%                    | 5.9974%                     |
| 10/25/2022 | .1001%  | .0028%            | .0025%             | .0184%            | .0156%             | .0002%                 | .0001%                  | .1481%                     | .0663%                      | .0006%           | .0005%            | .0723%        | .0636%         | .1309%                     | .1204%                      |
| 10/26/2022 | .0106%  | .0029%            | .0026%             | .0013%            | .0010%             | .0003%                 | .0002%                  | .0023%                     | .0017%                      | .0251%           | .0004%            | .0420%        | .0357%         | .0180%                     | .0141%                      |
| 10/27/2022 | .0021%  | .0022%            | .0019%             | .0141%            | .0138%             | .0001%                 | .0000%                  | .0075%                     | .0015%                      | .0242%           | .0004%            | .0600%        | .0556%         | .0184%                     | .0141%                      |
| 10/28/2022 | .0001%  | .0025%            | .0023%             | .0139%            | .0137%             | .0021%                 | .0021%                  | .0040%                     | .0032%                      | .0005%           | .0005%            | .0559%        | .0393%         | .0133%                     | .0128%                      |
| 10/31/2022 | .0171%  | .0035%            | .0029%             | .0147%            | .0133%             | .0013%                 | .0002%                  | .0471%                     | .0010%                      | .0005%           | .0005%            | .0299%        | .0293%         | .0360%                     | .0297%                      |

# Equities – Rolling Five Day Period

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

### November 01, 2022 – November 10, 2022

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| 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 |
|------------|--------|-------------------|--------------------|-------------------|--------------------|------------------------|-------------------------|----------------------------|-----------------------------|------------------|-------------------|---------------|----------------|----------------------------|-----------------------------|
| 11/1/2022  | .0233% | .0028%            | .0025%             | .0145%            | .0142%             | .0100%                 | .0002%                  | .0554%                     | .0018%                      | .0005%           | .0004%            | .0286%        | .0257%         | .0431%                     | .0362%                      |
| 11/2/2022  | .5579% | .0019%            | .0017%             | .0106%            | .0104%             | .0021%                 | .0005%                  | 1.3475%                    | .0017%                      | .0004%           | .0003%            | .0272%        | .0251%         | .6984%                     | .5672%                      |
| 11/3/2022  | .1270% | .0022%            | .0020%             | .0138%            | .0132%             | .0003%                 | .0002%                  | .0018%                     | .0009%                      | .0005%           | .0004%            | .0282%        | .0229%         | .1393%                     | .1385%                      |
| 11/4/2022  | .0006% | .0019%            | .0017%             | .0130%            | .0125%             | .0002%                 | .0001%                  | .0034%                     | .0009%                      | .0004%           | .0004%            | .0300%        | .0296%         | .0122%                     | .0115%                      |
| 11/7/2022  | .0001% | .0033%            | .0031%             | .0131%            | .0130%             | .0061%                 | .0060%                  | .0030%                     | .0029%                      | .0034%           | .0034%            | .0333%        | .0327%         | .0142%                     | .0138%                      |
| 11/8/2022  | .0819% | .0023%            | .0021%             | .0216%            | .0131%             | .0038%                 | .0002%                  | .0762%                     | .0024%                      | .0285%           | .0021%            | .0428%        | .0409%         | .1112%                     | .0939%                      |
| 11/9/2022  | .1102% | .0023%            | .0021%             | .0134%            | .0133%             | .0003%                 | .0002%                  | 1.0468%                    | .0019%                      | .0035%           | .0034%            | .0319%        | .0305%         | .2246%                     | .1225%                      |
| 11/10/2022 | .0173% | .0019%            | .0017%             | .6717%            | .6221%             | .0002%                 | .0002%                  | .0054%                     | .0018%                      | .0061%           | .0050%            | .0276%        | .0274%         | .4997%                     | .4636%                      |

# Options – Rolling Five Day Period

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

### October 20, 2022 – October 31, 2022

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| 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 |
|------------|----------|-------------------|--------------------|-------------------|--------------------|------------------------|-------------------------|----------------------------|-----------------------------|------------------|-------------------|---------------|----------------|----------------------------|-----------------------------|
| 10/20/2022 | .0395%   | .0048%            | .0044%             | .0018%            | .0017%             | 3.3870%                | .0050%                  | 1.4807%                    | .0053%                      | .0033%           | .0003%            | .2089%        | .1834%         | .0676%                     | .0452%                      |
| 10/21/2022 | .3136%   | .0055%            | .0048%             | .0020%            | .0020%             | .3729%                 | .0078%                  | 2.7689%                    | .0414%                      | .0045%           | .0045%            | .2117%        | .1636%         | .3334%                     | .3213%                      |
| 10/24/2022 | 15.3516% | .0055%            | .0052%             | .0011%            | .0011%             | 2.2881%                | .0044%                  | .0252%                     | .0054%                      | .0036%           | .0003%            | .1260%        | .1159%         | 15.3665%                   | 15.3570%                    |
| 10/25/2022 | .0010%   | .0042%            | .0039%             | .0009%            | .0009%             | 2.1550%                | .0042%                  | .0577%                     | .0058%                      | .0048%           | .0003%            | .2072%        | .1847%         | .0160%                     | .0057%                      |
| 10/26/2022 | .0336%   | .0041%            | .0038%             | .0005%            | .0004%             | 1.9345%                | .0060%                  | .0068%                     | .0061%                      | .0035%           | .0004%            | .1486%        | .1333%         | .0462%                     | .0378%                      |
| 10/27/2022 | .0001%   | .0042%            | .0038%             | .0008%            | .0006%             | 2.5497%                | .0047%                  | .0103%                     | .0073%                      | .0046%           | .0003%            | .2075%        | .1517%         | .0160%                     | .0044%                      |
| 10/28/2022 | 1.2204%  | .0169%            | .0166%             | .0228%            | .0228%             | 1.9936%                | .0046%                  | 2.3565%                    | .0486%                      | .0126%           | .0003%            | .0800%        | .0758%         | 1.2622%                    | 1.2406%                     |
| 10/31/2022 | .0057%   | .0031%            | .0029%             | .0003%            | .0002%             | 2.5122%                | .0067%                  | .2233%                     | .2217%                      | .0003%           | .0002%            | .3831%        | .2665%         | .0191%                     | .0096%                      |

# Options – Rolling Five Day Period

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

### November 01, 2022 – November 10, 2022

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| 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 |
|------------|--------|-------------------|--------------------|-------------------|--------------------|------------------------|-------------------------|----------------------------|-----------------------------|------------------|-------------------|---------------|----------------|----------------------------|-----------------------------|
| 11/1/2022  | .0023% | .0047%            | .0047%             | .0003%            | .0003%             | 3.2687%                | .0041%                  | .2136%                     | .0040%                      | .0011%           | .0011%            | .1581%        | .1399%         | .0210%                     | .0075%                      |
| 11/2/2022  | .0746% | .0041%            | .0040%             | .0020%            | .0003%             | 2.4520%                | .0041%                  | 3.2949%                    | .0044%                      | .0007%           | .0006%            | .2028%        | .1813%         | .1025%                     | .0790%                      |
| 11/3/2022  | .0001% | .0043%            | .0042%             | .0022%            | .0015%             | 2.5189%                | .0136%                  | .0183%                     | .0158%                      | .0003%           | .0003%            | .1398%        | .1132%         | .0161%                     | .0056%                      |
| 11/4/2022  | .0006% | .0053%            | .0052%             | .0004%            | .0004%             | 2.1733%                | .0052%                  | .0070%                     | .0040%                      | .0005%           | .0005%            | .1665%        | .1379%         | .0158%                     | .0063%                      |
| 11/7/2022  | .0003% | .0035%            | .0035%             | .0004%            | .0003%             | .1073%                 | .0042%                  | .0806%                     | .0044%                      | .0009%           | .0009%            | .1851%        | .1736%         | .0051%                     | .0043%                      |
| 11/8/2022  | .0787% | .0034%            | .0032%             | .0010%            | .0004%             | .0398%                 | .0042%                  | .0118%                     | .0046%                      | .0010%           | .0009%            | .0792%        | .0742%         | .0833%                     | .0825%                      |
| 11/9/2022  | .0000% | .0042%            | .0038%             | .0004%            | .0003%             | .0389%                 | .0036%                  | .0107%                     | .0044%                      | .0026%           | .0025%            | .2928%        | .2573%         | .0055%                     | .0049%                      |
| 11/10/2022 | .3399% | .0039%            | .0036%             | .0005%            | .0004%             | .0662%                 | .0063%                  | .0289%                     | .0046%                      | .0011%           | .0011%            | .1256%        | .1180%         | .3449%                     | .3441%                      |

# Equities – Industry Aggregate Trade Date Statistics October 20, 2022 – October 31, 2022

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| Trade Date | Processed      | Accepted       | Late        | Overall Errors Count |
|------------|----------------|----------------|-------------|----------------------|
| 2022-11-10 | 41,062,613,292 | 41,061,676,942 | 5,261,003   | 188,545,480          |
| 2022-11-09 | 37,128,769,944 | 37,127,839,212 | 40,905,551  | 45,471,980           |
| 2022-11-08 | 36,544,617,418 | 36,504,728,926 | 29,938,419  | 34,310,295           |
| 2022-11-07 | 33,206,407,007 | 33,205,236,687 | 26,744      | 4,592,085            |
| 2022-11-04 | 47,976,183,006 | 47,974,952,316 | 287,259     | 5,497,625            |
| 2022-11-03 | 38,736,816,604 | 38,735,888,483 | 49,212,461  | 53,664,036           |
| 2022-11-02 | 47,544,917,877 | 47,540,643,065 | 265,214,102 | 269,696,940          |
| 2022-11-01 | 36,609,823,334 | 36,608,717,737 | 8,541,439   | 13,210,940           |

# Equities – Industry Aggregate Trade Date Statistics November 01, 2022 – November 10, 2022

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| Trade Date | Processed      | Accepted       | Late          | Overall Errors Count |
|------------|----------------|----------------|---------------|----------------------|
| 2022-10-31 | 35,392,699,409 | 35,391,391,482 | 6,092,269     | 10,441,115           |
| 2022-10-28 | 33,737,241,956 | 33,732,444,612 | 92,970        | 4,243,901            |
| 2022-10-27 | 39,243,478,810 | 39,242,512,115 | 854,742       | 5,548,893            |
| 2022-10-26 | 37,994,013,547 | 37,992,852,376 | 4,083,478     | 5,401,478            |
| 2022-10-25 | 30,864,359,498 | 30,863,434,044 | 52,921,264    | 57,131,297           |
| 2022-10-24 | 37,847,635,021 | 37,845,799,102 | 2,264,840,090 | 2,269,709,998        |
| 2022-10-21 | 43,842,830,883 | 43,827,327,489 | 541,745,499   | 567,824,987          |
| 2022-10-20 | 37,313,995,307 | 37,308,303,787 | 88,813,060    | 93,134,730           |

# Options – Industry Aggregate Trade Date Statistics October 20, 2022 – October 31, 2022

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| Trade Date | Processed     | Accepted      | Late       | Overall Errors Count |
|------------|---------------|---------------|------------|----------------------|
| 2022-11-10 | 7,307,049,225 | 7,306,762,901 | 24,837,047 | 25,146,974           |
| 2022-11-09 | 6,719,350,905 | 6,719,066,210 | 1,549      | 326,917              |
| 2022-11-08 | 7,176,898,140 | 7,176,650,930 | 5,646,157  | 5,917,999            |
| 2022-11-07 | 6,829,010,473 | 6,828,771,278 | 27,759     | 292,501              |
| 2022-11-04 | 7,652,956,062 | 7,652,550,853 | 46,173     | 482,832              |
| 2022-11-03 | 7,290,953,356 | 7,290,636,747 | 62,150     | 393,069              |
| 2022-11-02 | 7,683,480,309 | 7,683,164,944 | 5,781,175  | 6,071,791            |
| 2022-11-01 | 7,146,139,788 | 7,145,802,688 | 276,631    | 566,311              |

# Options – Industry Aggregate Trade Date Statistics November 01, 2022 – November 10, 2022

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| Trade Date | Processed     | Accepted      | Late          | Overall Errors Count |
|------------|---------------|---------------|---------------|----------------------|
| 2022-10-31 | 7,301,416,741 | 7,301,187,604 | 643,062       | 874,147              |
| 2022-10-28 | 7,522,714,201 | 7,518,649,445 | 94,801,401    | 96,309,587           |
| 2022-10-27 | 7,474,892,014 | 7,474,577,712 | 29,785        | 318,600              |
| 2022-10-26 | 7,636,551,965 | 7,636,240,733 | 2,590,233     | 2,884,782            |
| 2022-10-25 | 7,050,734,554 | 7,049,403,713 | 3,293,886     | 3,582,920            |
| 2022-10-24 | 7,275,257,782 | 7,274,859,080 | 1,116,849,397 | 1,117,241,135        |
| 2022-10-21 | 7,779,420,653 | 7,778,988,835 | 24,570,493    | 24,940,762           |
| 2022-10-20 | 7,605,974,709 | 7,604,057,876 | 3,506,011     | 3,842,345            |