# **Monthly CAT Update**

July 27, 2023

## Agenda

- 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

# CAT NMS Plan, Exemptive Relief and Transaction Interpretive Updates

# **Transaction Interpretive Updates**

# New and Updated FAQs

- ▶ No new Transaction <u>FAQ</u>s.
- ▶ No Transaction <u>FAQ</u>s were updated.

# **Technical Specification Updates**

- ▶ <u>v4.0.0 r20</u> of the Phase 2d Industry Member CAT Reporting Technical Specifications (clean and redlined) is scheduled to be published on July 31, 2023.
- There were no updates to the Reporting Scenarios document.
- ▶ v2.7 of the Order and Quote Routing Field Mapping between CAT and Exchanges/Display-Only Facility document was published on July 5, 2023.
  - Reflect the completion of the ARCAOP Pillar Migration and pending AMEROP migration to Pillar platform
  - Include mapping instructions for MEMXOP

# 2023 Industry Member Releases (Transaction) – Scope and Schedule

2023 – ADF Release

Spec Publication – 12/16/2022

Industry Test Release – 3/6/2023

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
- Requirement update to optionally populate quantity=0 for CASH orders

2023 - Mid-Year Release
Spec Publication - 4/11/2023
Industry Test Release - 6/5/2023
Production/Production Mirror
Release - 7/24/2023

#### New handlingInstructions Validations

- Add a validation to restrict allowed paired Values for CASH, SWQ and SW handlingInstructions to be greater than 0
- Add a validation to restrict allowed paired Value for DISP handlingInstructions to be greater than or equal to 0

#### **Metadata File Removal Phase 2**

 Reject Metadata File submission at File Acknowledgement stage of processing 2023 – MEMX Options Exchange Release

Spec Publication – 7/31/2023
Industry Test Release – 7/3/2023
Production/Production Mirror
Release – 9/11/2023

#### New values for existing fields

 Add new 'MEMXOP' value for the following fields: destination, marketCenterID and senderIMID to support MEMX Options exchange.

<sup>\*</sup>Planned Industry Member Releases are subject to approval by the CAT NMS Plan Operating Committee.

# 2023 Industry Member Releases (Transaction) – Scope and Schedule

2023 – Report Card by Processing Date Release

Production Release – 11/15/2023

#### **Transaction Report Cards**

 Generate Report Cards by Processing Date starting with the Report Cards covering October 2023 2023 - Year-End Release
Spec Publication - 7/31/2023
Industry Test Release - 9/25/2023
Production/Production Mirror
Release - 12/11/2023

#### New *quantity* Field Validations

 Add a validation requiring quantity field value to be 0 for CASH orders

## Electronic RFQ Responses (Included in July 2023 Spec Publication, but not deployed into Test or Production until 2024)

- Add new quote events to support reporting of RFQ responses for Options (MONQ, MORQ, MOQR, MOQM, and MOQC) and Multi-Leg (MLNQ, MLRQ, MLQS, MLQR, MLQC, and MLQM)
- Add new fields to equity quote events
  - RFQID to MENQ, MERQ, MEQR, MEQM, and MEQC
  - RFQFlag to MENQ and MEQR
  - relativePrice to MENQ, MERQ, MEQR, and MEQM
- Add new destinationType value of 'S'
- New Error Codes and Validations

\*Planned Industry Member Releases are subject to approval by the CAT NMS Plan Operating Committee.

# 2023 Industry Member Releases (Transaction) – Scope and Schedule

2023 – FDID Validation Report Card Release

Production Release – TBD – Not before the fourth quarter of 2023

#### **Transaction Report Cards**

 FDID Errors in Transaction Report Cards are not anticipated to be before the fourth quarter of 2023 2023 – FDID Validation to Production Release

Production/Production Mirror Release – TBD – Not before the fourth quarter of 2023

#### **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

# **CAIS** Reporting Updates

## Industry Member Release Rollout

#### Customer Address Validation

Industry Test – 7/10/2023 Production – 8/7/2023

- Enhance the 22514 Error Code to require an address on every Customer Record
- Enhance Manual Submission screen to require an address on every Customer Record
- Enhance Manual Submission enabling users to copy addresses entered on the FDID Record to a Customer Record.

\*Per FAQ Q67, effective July 12, 2023, each Customer must be reported to CAIS with at least one address.

#### CAIS Report Card Release

#### **Report Card**

- The first Full CAIS Report Card will be published for the first full month following the Full CAIS Compliance Go-Live date.
- Compliance Rates distinguished for Correspondent data

#### Planned Future Enhancements

- INACTIVE End Reason will be made available prior to the periodic Customer & Account Information refresh
- Optimization of error feedback
- Validate that correspondentCRD is a different identifier than the catReporterCRD

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## New and Updated CAIS FAQs

- No new CAIS FAQs.
- One CAIS FAQ was updated.
  - FAQ Q67 was updated to note that the temporary technical solution allowing Industry Members to report only an FDID-level address expired and that effective July 12, 2023, at least one address is required for each Customer Record.

# Full CAIS Technical Specification Updates

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

# **CAIS Checkpoint Calls**

▶ The next Monthly CAIS Industry Testing Checkpoint Call is scheduled for Wednesday, August 2, 2023 at 4:15 pm ET.

# **Compliance Updates**

## Industry Member Report Card Updates

- ▶ The June 2023 CAT Industry Member Transaction Report Cards were published July 15, 2023
- Compliance Resources:
  - Industry Member Report Card- Known Issues List
  - CAIS Compliance Glossary
  - Transaction Compliance Glossary
  - Previously Recorded and Posted Report Card Webinars

# Upcoming Industry Webinars and Other Updates

# Monthly CAT Update Industry Webinars

- ▶ The next Monthly CAT Update will be held on August 17, 2023 at 4:15 pm ET.
- ▶ The recording and presentation from the <u>June 15, 2023</u> Monthly CAT Update are available on the CAT website.

# Live CAT Overview Training Sessions

- ▶ FINRA CAT, LLC is offering live and interactive CAT Overview training sessions for Industry Members and CAT Reporting Agents.
- The CAT Overview focuses on the CAT NMS Plan, Transaction and CAIS Subsystems, and Report Cards, and includes a live demonstration of the CAT Reporter Portal.
- All training sessions are fully customizable to suit your firm's needs.
- Please contact the FINRA CAT Helpdesk at <a href="help@finracat.com">help@finracat.com</a> or (888) 696-3348 to schedule a training session for your firm.

### Other Announcements

An updated <u>list</u> of Advisory Committee members was published on June 30, 2023.

## FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com

Q&A

## How to Ask a Question during Today's Call

#### 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.

# Appendix —

### Equities - Rolling Five Day Period Initial T+1 vs. T+5 8 am Data Ready for Regulators June 09, 2023 - June 28, 2023

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
6/9/2023	.0000%	.0005%	.0002%	.0006%	.0005%	.0012%	.0008%	.0027%	.0015%	.0006%	.0000%	.0200%	.0198%	.0014%	.0008%
6/12/2023	.0017%	.0009%	.0005%	.0008%	.0007%	.0012%	.0007%	.0146%	.0055%	.0006%	.0000%	.0557%	.0556%	.0049%	.0034%
6/13/2023	.0323%	.0010%	.0007%	.0010%	.0008%	.0013%	.0005%	.0245%	.0064%	.0005%	.0000%	.0193%	.0190%	.0367%	.0342%
6/14/2023	.0818%	.0009%	.0006%	.0008%	.0007%	.0016%	.0013%	.0690%	.0020%	.0006%	.0002%	.0201%	.0199%	.0904%	.0832%
6/15/2023	.1545%	.0009%	.0006%	.0015%	.0014%	.0012%	.0009%	.0082%	.0020%	.0006%	.0001%	.0204%	.0203%	.1573%	.1562%
6/16/2023	.0247%	.0009%	.0006%	.0020%	.0007%	.0040%	.0036%	.0295%	.0038%	.0006%	.0000%	.0226%	.0225%	.0306%	.0266%
6/20/2023	.0072%	.0009%	.0005%	.0011%	.0009%	.0031%	.0029%	.0253%	.0014%	.0008%	.0003%	.0287%	.0286%	.0118%	.0088%
6/21/2023	.0986%	.0005%	.0002%	.0004%	.0002%	.0026%	.0019%	.0097%	.0013%	.0236%	.0231%	.0290%	.0288%	.1007%	.0994%
6/22/2023	.0003%	.0005%	.0002%	.0006%	.0003%	.0026%	.0024%	.0027%	.0014%	.0249%	.0243%	.0201%	.0200%	.0051%	.0044%
6/23/2023	.0023%	.0006%	.0002%	.0007%	.0003%	.0023%	.0019%	.0035%	.0016%	.0063%	.0057%	.0239%	.0235%	.0048%	.0039%
6/26/2023	.0353%	.0008%	.0005%	.0004%	.0003%	.0016%	.0010%	.0386%	.0085%	.0006%	.0000%	.0222%	.0217%	.0406%	.0370%
6/27/2023	.0049%	.0017%	.0014%	.0005%	.0003%	.0054%	.0052%	.0181%	.0077%	.0006%	.0001%	.0265%	.0263%	.0090%	.0074%
6/28/2023	.0002%	.0006%	.0003%	.0004%	.0003%	.0007%	.0005%	.0128%	.0116%	.0006%	.0001%	.0271%	.0268%	.0026%	.0020%

### Equities - Rolling Five Day Period Initial T+1 vs. T+5 8 am Data Ready for Regulators June 29, 2023 - July 20, 2023

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
6/29/2023	.0321%	.0006%	.0003%	.0026%	.0024%	.0004%	.0001%	.1587%	.0035%	.0006%	.0001%	.0247%	.0246%	.0491%	.0330%
6/30/2023	.0010%	.0008%	.0005%	.0005%	.0004%	.0013%	.0011%	.0072%	.0024%	.0007%	.0001%	.0391%	.0389%	.0032%	.0022%
7/3/2023	.3488%	.0014%	.0009%	.0006%	.0004%	.9898%	.0003%	1.0307%	.0212%	.0008%	.0002%	.0311%	.0305%	.5525%	.3522%
7/5/2023	.0268%	.0007%	.0003%	.0050%	.0012%	.0015%	.0010%	.0058%	.0015%	.0007%	.0001%	.0296%	.0289%	.0318%	.0282%
7/6/2023	.0377%	.0034%	.0004%	.0004%	.0003%	.0959%	.0003%	.0964%	.0010%	.0007%	.0000%	.0266%	.0264%	.0610%	.0384%
7/7/2023	.0007%	.0009%	.0006%	.0005%	.0003%	.0012%	.0002%	.0032%	.0008%	.0006%	.0000%	.0259%	.0257%	.0025%	.0016%
7/10/2023	.0691%	.0006%	.0003%	.0007%	.0004%	.0041%	.0010%	.1796%	.1759%	.3466%	.0001%	.0314%	.0311%	.1348%	.0874%
7/11/2023	.3379%	.0008%	.0005%	.0006%	.0003%	.6178%	.0004%	.4203%	.0022%	.0009%	.0003%	.0363%	.0362%	.4426%	.3389%
7/12/2023	.0177%	.0005%	.0002%	.0007%	.0002%	.0015%	.0008%	.0279%	.0165%	.0015%	.0005%	.0330%	.0329%	.0217%	.0198%
7/13/2023	.0558%	.0090%	.0045%	.0074%	.0002%	.0009%	.0006%	.0266%	.0024%	.0020%	.0002%	.0457%	.0264%	.0711%	.0608%
7/14/2023	.0016%	.0015%	.0002%	.0006%	.0004%	.0019%	.0015%	.0067%	.0021%	.0013%	.0002%	.0270%	.0269%	.0045%	.0025%
7/17/2023	.0306%	.0006%	.0003%	.0006%	.0004%	.0011%	.0009%	.0045%	.0009%	.0008%	.0002%	.0229%	.0227%	.0323%	.0314%
7/18/2023	.0181%	.0008%	.0005%	.0006%	.0005%	.0042%	.0040%	.0055%	.0045%	.0005%	.0000%	.0261%	.0258%	.0204%	.0198%
7/19/2023	.0130%	.0004%	.0002%	.0005%	.0004%	.0007%	.0005%	.0020%	.0009%	.4308%	.0004%	.0511%	.0508%	.0711%	.0137%
7/20/2023	.0269%	.0003%	.0001%	.0009%	.0004%	.0017%	.0015%	.0267%	.0022%	.0025%	.0020%	.0165%	.0158%	.0310%	.0280%

### Options - Rolling Five Day Period Initial T+1 vs. T+5 8 am Data Ready for Regulators June 09, 2023 - June 28, 2023

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
6/9/2023	.0267%	.0000%	.0000%	.0005%	.0004%	.0048%	.0019%	.0056%	.0030%	.0004%	.0001%	.0969%	.0529%	.0272%	.0270%
6/12/2023	.0017%	.0001%	.0001%	.0003%	.0003%	.0051%	.0012%	.0051%	.0030%	.0003%	.0001%	.1447%	.1447%	.0022%	.0020%
6/13/2023	.0065%	.0003%	.0003%	.0004%	.0004%	.0040%	.0011%	.0119%	.0036%	.0020%	.0015%	.0422%	.0392%	.0078%	.0075%
6/14/2023	.0239%	.0017%	.0001%	.0047%	.0003%	.0263%	.0009%	.0059%	.0029%	.0034%	.0034%	.0251%	.0180%	.0295%	.0247%
6/15/2023	.0373%	.0007%	.0001%	.0008%	.0007%	.0063%	.0018%	.0102%	.0050%	.0003%	.0001%	.1942%	.1777%	.0387%	.0379%
6/16/2023	.0056%	.0007%	.0000%	.0006%	.0004%	.0052%	.0015%	.3316%	.0027%	.0030%	.0030%	.2109%	.1334%	.0094%	.0069%
6/20/2023	.0000%	.0001%	.0001%	.0005%	.0004%	.0076%	.0030%	.0068%	.0031%	.0000%	.0000%	.3733%	.3569%	.0006%	.0005%
6/21/2023	.0000%	.0003%	.0002%	.0004%	.0003%	.0094%	.0035%	.0106%	.0064%	.0005%	.0005%	.1740%	.1561%	.0008%	.0007%
6/22/2023	.0001%	.0001%	.0001%	.0003%	.0002%	.0069%	.0019%	.0084%	.0051%	.0000%	.0000%	.1650%	.1161%	.0004%	.0003%
6/23/2023	.0018%	.0001%	.0000%	.0004%	.0004%	.0082%	.0032%	.1867%	.0049%	.6574%	.0000%	14.7227%	.0969%	.2058%	.0022%
6/26/2023	.0000%	.0002%	.0001%	.0008%	.0007%	.8439%	.0037%	.4247%	.0040%	.0003%	.0002%	.0522%	.0261%	.0058%	.0007%
6/27/2023	.0297%	.0003%	.0002%	.0004%	.0004%	.0067%	.0022%	.0076%	.0038%	.0008%	.0004%	.1257%	.1257%	.0305%	.0301%
6/28/2023	.0016%	.0001%	.0001%	.0009%	.0008%	.0070%	.0026%	.0086%	.0049%	.0001%	.0001%	.1371%	.1371%	.0024%	.0023%

### Options - Rolling Five Day Period Initial T+1 vs. T+5 8 am Data Ready for Regulators June 29, 2023 - July 20, 2023

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
6/29/2023	.0000%	.0001%	.0000%	.0003%	.0003%	.0046%	.0013%	.0054%	.0032%	.0017%	.0000%	.1725%	.1725%	.0008%	.0003%
6/30/2023	.0001%	.0000%	.0000%	.0005%	.0005%	.0082%	.0037%	.0104%	.0069%	.0001%	.0001%	.2271%	.1866%	.0006%	.0005%
7/3/2023	.0014%	.0002%	.0002%	.0004%	.0003%	.0073%	.0033%	.0068%	.0036%	.0001%	.0001%	.3260%	.1770%	.0019%	.0018%
7/5/2023	.0002%	.0002%	.0001%	.0003%	.0003%	.0214%	.0010%	.0278%	.0041%	.0001%	.0001%	.1821%	.1821%	.0008%	.0005%
7/6/2023	.0181%	.0000%	.0000%	.0003%	.0002%	.0031%	.0015%	.0035%	.0032%	.0000%	.0000%	.1821%	.0683%	.0184%	.0183%
7/7/2023	.0138%	.0410%	.0410%	.0007%	.0003%	.0070%	.0013%	.0036%	.0028%	.0031%	.0000%	.5871%	.5272%	.0563%	.0550%
7/10/2023	.0693%	.0002%	.0001%	.0003%	.0002%	1.3721%	.0071%	2.9020%	1.9130%	.0005%	.0004%	.0362%	.0362%	.0867%	.0769%
7/11/2023	.6935%	.0394%	.0001%	.0007%	.0004%	4.5564%	.5498%	.5716%	.3432%	.0080%	.0000%	.0847%	.0529%	.7552%	.6961%
7/12/2023	.0007%	.0004%	.0001%	.0018%	.0014%	.0029%	.0018%	.3727%	.3045%	.0002%	.0000%	.0517%	.0431%	.0038%	.0031%
7/13/2023	.0018%	.0001%	.0001%	.0002%	.0002%	.0022%	.0012%	.2442%	.0651%	.0000%	.0000%	.1076%	.1076%	.0033%	.0023%
7/14/2023	.0057%	.0004%	.0000%	.0014%	.0005%	.0106%	.0013%	.0576%	.0569%	.0000%	.0000%	.0622%	.0622%	.0074%	.0063%
7/17/2023	.0000%	.0002%	.0001%	.0003%	.0003%	.0015%	.0007%	.0089%	.0075%	.0001%	.0001%	.0521%	.0426%	.0005%	.0004%
7/18/2023	.0000%	.0001%	.0001%	.0005%	.0005%	.0015%	.0008%	.0372%	.0364%	.0000%	.0000%	.1296%	.0688%	.0007%	.0006%
7/19/2023	.0170%	.0001%	.0000%	.0003%	.0003%	.0062%	.0010%	.0044%	.0039%	.0007%	.0007%	.0856%	.0410%	.0176%	.0175%
7/20/2023	.0446%	.0001%	.0000%	.0005%	.0004%	.0019%	.0013%	.8477%	.0330%	.0000%	.0000%	.2445%	.1939%	.0492%	.0451%

### Equities – Industry Aggregate Trade Date Statistics June 09, 2023 – June 28, 2023

Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-06-09	29,720,628,576	29,720,459,880	1,508,022	1,715,281
2023-06-12	26,573,653,501	26,573,382,806	1,941,621	2,274,964
2023-06-13	31,187,948,388	31,187,545,216	12,789,734	13,208,752
2023-06-14	35,619,103,502	35,618,739,089	31,473,331	31,945,338
2023-06-15	29,973,819,205	29,944,509,909	46,278,578	46,805,245
2023-06-16	30,646,520,791	30,646,207,891	8,709,880	9,157,808
2023-06-20	28,340,048,516	28,338,819,805	2,047,189	2,474,633
2023-06-21	30,033,303,698	30,033,149,880	29,612,907	29,834,045
2023-06-22	27,196,500,742	27,196,335,672	81,026	1,170,029
2023-06-23	29,106,389,507	29,090,697,511	1,369,288	1,802,664
2023-06-26	26,845,822,501	26,845,589,191	10,972,205	11,215,943
2023-06-27	26,928,352,375	26,927,869,531	2,735,252	3,239,231
2023-06-28	29,554,228,146	29,554,033,398	1,419,816	1,766,734

### Equities - Industry Aggregate Trade Date Statistics June 29, 2023 - July 20, 2023

Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-06-29	28,037,716,765	28,037,518,907	9,624,525	9,801,109
2023-06-30	24,527,949,867	24,527,733,779	298,460	550,119
2023-07-03	14,954,631,574	14,954,350,989	53,090,187	53,290,369
2023-07-05	25,150,588,652	25,150,375,583	6,743,370	7,097,015
2023-07-06	26,897,959,101	26,897,033,553	10,134,121	10,333,319
2023-07-07	27,019,559,895	27,019,305,289	187,040	429,417
2023-07-10	26,536,060,770	26,535,808,587	27,636,970	27,843,357
2023-07-11	26,546,390,947	26,546,097,576	89,713,967	89,965,168
2023-07-12	30,693,272,598	30,693,089,779	6,370,018	6,600,397
2023-07-13	26,548,089,730	26,545,534,911	15,379,953	16,149,546
2023-07-14	30,347,122,176	30,346,199,554	500,283	763,186
2023-07-17	26,143,226,786	26,143,048,094	8,012,576	8,220,294
2023-07-18	29,004,846,155	29,004,553,229	5,255,667	5,745,143
2023-07-19	30,956,175,595	30,955,964,735	4,013,533	4,225,965
2023-07-20	32,057,606,729	32,057,482,654	8,626,699	9,001,000

### Options - Industry Aggregate Trade Date Statistics June 09, 2023 - June 28, 2023

Trade Date	Processed	Accepted	Late	Overall Errors Count	
2023-06-09	6,500,682,334	6,500,489,203	1,737,839	1,760,825	
2023-06-12	6,191,839,084	6,191,828,058	105,698	127,959	
2023-06-13	6,520,147,630	6,519,852,700	426,360	491,491	
2023-06-14	6,449,872,970	6,449,390,242	1,545,159	1,599,697	
2023-06-15	6,352,025,893	6,350,645,747	2,372,397	2,410,175	
2023-06-16	6,381,096,682	6,380,986,298	20,089,975	20,166,861	
2023-06-20	6,419,588,487	6,419,425,805	2,820	32,145	
2023-06-21	6,577,997,666	6,577,896,002	51,397	93,376	
2023-06-22	6,362,531,396	6,362,161,449	227,882	244,648	
2023-06-23	6,189,213,687	6,189,187,624	114,234	135,182	
2023-06-26	6,636,119,431	6,635,999,287	6,935	46,135	
2023-06-27	6,183,527,751	6,183,452,275	1,834,825	1,864,349	
2023-06-28	6,800,842,303	6,800,439,544	110,829	159,083	

### Options - Industry Aggregate Trade Date Statistics June 29, 2023 - July 20, 2023

Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-06-29	6,127,977,003	6,127,589,518	185,329,481	185,345,131
2023-06-30	6,151,450,959	6,151,445,557	42,532,975	42,557,391
2023-07-03	3,757,899,158	3,757,888,861	64,082	76,951
2023-07-05	6,171,920,680	6,171,881,210	10,655	29,009
2023-07-06	6,057,417,046	6,056,239,460	20,173,723	20,183,993
2023-07-07	6,165,558,105	6,163,027,747	1,619,991	1,847,662
2023-07-10	6,364,887,551	6,364,852,371	5,417,195	5,453,986
2023-07-11	6,694,585,242	6,691,919,107	46,411,251	46,601,487
2023-07-12	6,620,070,992	6,619,986,796	102,246	232,490
2023-07-13	6,547,052,282	6,546,255,291	119,422	151,420
2023-07-14	6,791,383,889	6,791,350,344	389,456	430,779
2023-07-17	6,751,482,594	6,751,466,209	2,475	27,956
2023-07-18	6,724,287,994	6,724,185,531	2,148	39,880
2023-07-19	7,112,318,888	7,112,294,134	1,209,897	1,243,928
2023-07-20	6,665,043,277	6,664,702,955	2,975,527	3,009,171