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# Monthly CAT Update

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December 19, 2023

# Agenda

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- Transaction Subsystem
- CAIS Subsystem
- CAT Billing
- Compliance
- Upcoming Industry Webinars and Other Updates
- Q&A
- Appendix- Transaction Production Statistics

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# Transaction Subsystem Updates

# New and Updated Transaction FAQs

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

# Technical Specifications and Reporting Scenarios

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- ▶ [V4.1.0](#) of the Phase 2d Industry Member CAT Reporting Technical Specifications (clean and redlined) were published on November 30, 2023.
- ▶ There were no updates to the Reporting Scenarios document.

# Other Updates

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- ▶ The following documents have been updated to reflect completion of the Pillar migration:
  - [Options Exchanges Trade Field Mapping](#)
  - [Order Routing Field Mapping between CAT and Exchanges](#)

# 2024 Industry Member Releases (Transaction)

## Scope and Schedule

### 2024 – Report Card by Processing Date Release

Production Release – 2/15/2024

#### Transaction Report Cards

- Generate Report Cards by Processing Date starting with the Report Cards covering January 2024

### 2024 – FDID Validation to Production Release

Production Release – 2/26/2024

#### 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

*This functionality is currently available in the Industry Test Environment*

### 2024 – Second Quarter Release Spec Publication – 11/30/2023 Industry Test Release – 2/5/2024 Production/Production Mirror Release – 4/29/2024

#### New *handlingInstructions* Values

- Add new 'AUC', 'ACPL', 'ACPM' auction *handlingInstruction* values auction
- Remove 'IDX' *handlingInstructions* value

#### Update Description of *handlingInstructions* Value

- Update description of 'AOK'

# 2024 Industry Member Releases (Transaction)

## Scope and Schedule

### 2024 – FDID Validation Report Card Release

Production Release – 7/15/2024

#### Transaction Report Cards

- Generate Report Cards with FDID Validation Errors starting with the Report Cards covering June 2024

### 2024 – Third Quarter Release

Spec Publication – 7/31/2023 & 11/30/2023

Industry Test Release – 5/13/2024

Production/Production Mirror Release –  
7/29/2024

#### **July 2023 Spec Publication v.4.0.0 r20**

- 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

#### **November 2023 Spec Publication v.4.1.0 with Additional Enhancements based on Industry Feedback**

- Add new *validUntilDuration* field
- Bifurcate *relativePrice* field into *bidRelativePrice* and *askRelativePrice* for equity and option quote events
- Add *senderType* field to quote received events
- Update Error Codes 2251 and add Error Code 2253

#### **Remove handlingInstructions**

- Remove 'ND' *handlingInstructions* value



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# CAIS Subsystem Updates

# New and Updated CAIS FAQs

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- ▶ No new CAIS [FAQs](#).
- ▶ No CAIS [FAQs](#) were updated.

# Technical Specifications and Reporting Scenarios

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- ▶ V2.1 of the Full CAIS Technical Specifications is planned for publication no later than December 29, 2023.
- ▶ There have been no updates to the CAIS Reporting Scenarios document.

# Environment Availability

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- ▶ The CAT CAIS Production environment will be unavailable from Friday, January 5, 2024 at approximately 8 a.m. ET to Monday, January 8, 2024 at approximately 5 p.m. ET. During these times, Industry Members will not be able to submit data to the CAT CAIS Production environment.
  - FINRA CAT will send a communication when the systems become unavailable and will send another communication when the systems are back up.

# CAIS Industry Member Release Rollout

Industry Test: 1/29/2024  
Production: 2/26/2024

- Re-Enable Material Inconsistencies
- Deliver Outstanding Material Inconsistencies Feedback Files
- Deliver Outstanding Rejection Feedback Files
- Fix Known Issues (High/Med priority)
- Expand *correctionList*

***In the Transaction System:***

- Enable FDID Validations
- Deliver list of FDIDs accepted to Transaction Production that are not in CAIS Production

CAIS 2024 Release 2  
Industry Test: TBD  
Production: No later than  
04/08/2024

- Material Inconsistencies Statistics screen
- Fix other Known Issues

CAIS Report Card Release

**Report Card**

- The first Full CAIS Report Card for the month of June 2024 will be published in July 2024
- Compliance Rates distinguished for Correspondent data

# CAIS Releases Webinar

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- ▶ The recordings and presentations from the [11/29/2023 Part 1: CAIS Releases](#) and [12/6/2023 Part 2: CAIS Releases](#) Industry Webinars are available on the CAT website.

# Other Updates

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- ▶ The following Schemas and Files were updated:
  - New Outstanding Rejections feedback schema:
    - [Outstanding Rejections Metadata Feedback File Schema](#)
    - [Outstanding Rejections Data Feedback File Schema](#)
  - New Outstanding Material Inconsistencies feedback schema:
    - [Outstanding Material Inconsistencies Metadata Feedback File Schema](#)
    - [Outstanding Material Inconsistencies Data Feedback File Schema](#)
  - Field descriptions:
    - [Elements of Outstanding Rejections Metadata Feedback File](#)
    - [Elements of Outstanding Rejections Data Feedback File](#)
    - [Elements of Outstanding Material Inconsistencies Metadata Feedback File](#)
    - [Elements of Outstanding Material Inconsistencies Feedback File](#)

# CAIS Checkpoint Calls

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- ▶ The next [Monthly CAIS Industry Testing Checkpoint Call](#) is scheduled for Wednesday, January 10, 2024 at 4:15 pm ET.
- ▶ The recording and presentation from the December 13, 2023 [CAIS Industry Testing Checkpoint Call](#) are available on the CAT website.



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## CAT Billing Updates

# CAT Billing: Reminders

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- ▶ A sample CAT invoice and billing trade details representing CAT billable trade activity for November 2023 is planned to be published to CAT Executing Brokers on the CAT Reporter Portal by the week of December 26, 2023.
  - The sample invoice will be marked non-payable and will be provided for informational purposes only.
- ▶ The CAT Contact Management System is available in the CAT Reporter Portal Production Environment.
  - Industry Members were requested to enter a Primary CAT Billing contact by December 10, 2023.
  - If no Primary CAT Billing Contact was entered, the Primary CAT Billing contact was populated with the Primary contact listed on the CAT Transaction Registration Form on December 15, 2023.
    - This contact can be updated by properly entitled users at any time in the CAT Production Reporter Portal.

# CAT Billing: Website Updates

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- ▶ [CAT Technical Specifications](#) for Billing Trade Details and the [CAT Billing Scenarios](#) were published to the [CAT Fees](#) page on November 30, 2023.
  - [V1.0.r1](#) of the CAT Technical Specifications for Billing Trade Details (clean and redlined) were published on December 8, 2023.
- ▶ [The Trade Details Schema](#) was updated on November 30, 2023.
- ▶ The CAT Transaction SFTP Account [form](#) is now updated to include entitlement for CAT Invoice Trade Details.
  - CAT Executing Brokers can submit this form to obtain a separate SFTP account for accessing CAT Invoice Trade Details machine-to-machine via existing Private Line or AWS PrivateLink connectivity.
    - Please note that CAT Invoice Trade Details will also be available via the CAT Reporter Portal.

# Billing Trade Details File Format Settings and Preferences

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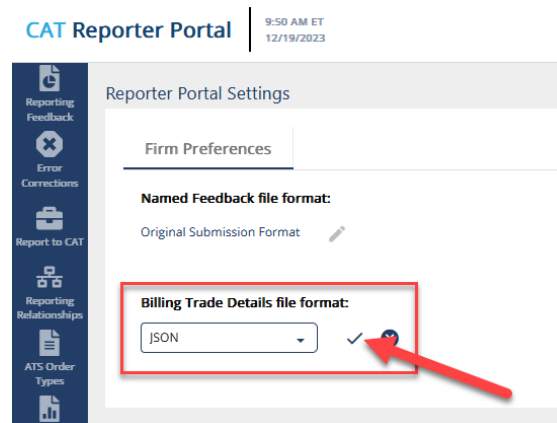
- ▶ CAT Billing Trade Details Files will be available in two text-based file formats: JSON or CSV. By default, the CAT Billing Trade Details files will be delivered in CSV format.
- ▶ Only Account Administrators for an Industry Member may change the file format settings for CAT Billing Trade Details Files via the CAT Reporter Portal.
  - Any change to CAT Billing Trade Details file preferences may take up to two business days prior to the new format becoming effective. For the first sample invoice (For November trading activity), preferences should be selected by December 25th.
  - Any change to CAT Billing Trade Details file preferences will change the file format on a go-forward basis.
  - No action is required if an Industry Member prefers delivery of the CAT Billing Trade Details in CSV.

# How to change the Billing Trade Details File Format Settings to JSON

- ▶ To view or change the CAT Billing Trade Details settings:
  1. Click the User Silhouette button at the upper-right corner of the screen.
  2. Select “Settings”



3. Under the “Firm Preferences” Tab, click the edit button in the Billing Trade Details file format format section.
4. Select “JSON” from the dropdown list and then select the checkmark to confirm the selection.



# CAT Billing: Website Updates

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- ▶ The following documents have been updated to add information related to CAT Billing:
  - [FINRA CAT Connectivity Supplement for Industry Members](#)
  - [Industry Member Onboarding Guide](#)

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# Compliance Updates

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# Industry Member Report Card Updates

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- ▶ The November 2023 CAT Industry Member Transaction Report Cards were published on December 15, 2023
- ▶ Planned Enhancements
- ▶ 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

# Monthly CAT Update

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- ▶ The next [Monthly CAT Update](#) will be held on January 18, 2024 at 4:15 pm ET.
- ▶ The recording and presentation from the November 16, 2023 [Monthly CAT Update](#) are available on the CAT website.

# Other Announcements

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- ▶ An updated [list](#) of Advisory Committee members was published on December 7, 2023.

# Live CAT Overview Training Sessions

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- ▶ 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 [help@finracat.com](mailto:help@finracat.com) or (888) 696-3348 to schedule a training session for your firm.

# 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

### November 10, 2023 – November 27, 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
11/10/2023	.0037%	.0004%	.0001%	.0007%	.0006%	.0032%	.0004%	.0148%	.0031%	.0012%	.0005%	.0341%	.0339%	.0066%	.0046%
11/13/2023	.1528%	.0005%	.0001%	.0005%	.0004%	.0009%	.0005%	.0040%	.0026%	.0245%	.0245%	.0332%	.0331%	.1573%	.1567%
11/14/2023	.0002%	.0006%	.0002%	.0005%	.0004%	.0013%	.0006%	.0067%	.0049%	.0017%	.0012%	.0295%	.0278%	.0021%	.0013%
11/15/2023	.0001%	.0004%	.0000%	.0004%	.0003%	.0010%	.0006%	.0066%	.0053%	.0020%	.0015%	.0299%	.0294%	.0018%	.0012%
11/16/2023	.0004%	.0004%	.0000%	.0007%	.0004%	.0009%	.0004%	.0563%	.0541%	.0015%	.0014%	.0306%	.0305%	.0069%	.0061%
11/17/2023	.0436%	.0004%	.0000%	.0012%	.0004%	.0008%	.0004%	.0130%	.0077%	.0015%	.0015%	.0244%	.0242%	.0461%	.0449%
11/20/2023	.0039%	.0020%	.0016%	.0017%	.0013%	.0045%	.0010%	.2542%	.2438%	.0016%	.0015%	.0293%	.0288%	.0324%	.0304%
11/21/2023	.0630%	.0487%	.0483%	.0024%	.0018%	.0017%	.0013%	.2741%	.2390%	.0017%	.0016%	.0268%	.0267%	.1395%	.1353%
11/22/2023	.1660%	.0004%	.0001%	.0004%	.0004%	.0013%	.0009%	.2346%	.0025%	.0014%	.0014%	.0264%	.0261%	.1897%	.1669%
11/24/2023	.0539%	.0014%	.0009%	.0006%	.0005%	.0011%	.0006%	.0426%	.0036%	.0011%	.0010%	.0292%	.0288%	.0600%	.0557%
11/27/2023	.0004%	.0006%	.0001%	.0018%	.0009%	.0009%	.0006%	.0034%	.0021%	.0008%	.0008%	.0605%	.0603%	.0028%	.0015%

# Equities – Rolling Five Day Period

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

### November 28, 2023 – December 12, 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
11/28/2023	.0051%	.0004%	.0000%	.0008%	.0003%	.0005%	.0002%	.0203%	.0017%	.0008%	.0008%	.0279%	.0277%	.0082%	.0056%
11/29/2023	.0001%	.0004%	.0000%	.0011%	.0004%	.0089%	.0085%	.1084%	.1072%	.0001%	.0001%	.0230%	.0224%	.0126%	.0117%
11/30/2023	.0007%	.0004%	.0000%	.0006%	.0003%	.0012%	.0008%	.0054%	.0012%	.0002%	.0001%	.0246%	.0243%	.0022%	.0012%
12/1/2023	.1717%	.0004%	.0000%	.0010%	.0006%	.0058%	.0055%	.2532%	.0020%	.0006%	.0005%	.1413%	.0302%	.1973%	.1724%
12/4/2023	.0043%	.3526%	.0000%	.0016%	.0012%	.0125%	.0117%	.0226%	.0118%	.0117%	.0052%	.0366%	.0354%	.3624%	.0076%
12/5/2023	.0045%	.0003%	.0000%	.0005%	.0003%	.0009%	.0006%	.0043%	.0016%	.0006%	.0006%	.0331%	.0316%	.0058%	.0051%
12/6/2023	.0083%	.0004%	.0000%	.0008%	.0004%	.0049%	.0040%	.0507%	.0015%	.0004%	.0003%	.0258%	.0249%	.0146%	.0091%
12/7/2023	.0001%	.0004%	.0000%	.0006%	.0003%	.0022%	.0019%	.0024%	.0010%	.0003%	.0003%	.0264%	.0258%	.0014%	.0007%
12/8/2023	.0033%	.0021%	.0000%	.0005%	.0003%	.0064%	.0006%	.0086%	.0015%	.0004%	.0000%	.0264%	.0252%	.0072%	.0037%
12/11/2023	.0165%	.0004%	.0000%	.0011%	.0004%	.0120%	.0006%	.0612%	.0011%	.0005%	.0000%	.0264%	.0249%	.0249%	.0170%
12/12/2023	.0008%	.0009%	.0000%	.0010%	.0006%	.0008%	.0002%	.0065%	.0011%	.0004%	.0000%	.0366%	.0365%	.0031%	.0014%

# Options – Rolling Five Day Period

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

### November 10, 2023 – November 27, 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
11/10/2023	.0007%	.0001%	.0001%	.0001%	.0001%	.0229%	.0011%	.0604%	.0123%	.0004%	.0001%	.0439%	.0088%	.0010%	.0009%
11/13/2023	.0113%	.0022%	.0000%	.0001%	.0001%	6.9557%	.0445%	.0560%	.0539%	.0051%	.0001%	.0335%	.0335%	.0259%	.0116%
11/14/2023	.0044%	.0002%	.0002%	.0004%	.0001%	2.2911%	.0012%	.0116%	.0095%	.0033%	.0002%	.0086%	.0086%	.0099%	.0048%
11/15/2023	.0116%	.0001%	.0000%	.0001%	.0001%	5.4314%	.0015%	.0184%	.0164%	.0001%	.0001%	.0170%	.0136%	.0228%	.0118%
11/16/2023	.0003%	.0006%	.0005%	.0002%	.0001%	.0916%	.0008%	.0886%	.0609%	.0002%	.0002%	.0577%	.0412%	.0014%	.0011%
11/17/2023	.0013%	.0002%	.0002%	.0005%	.0002%	.0043%	.0024%	.3732%	.2457%	.0001%	.0001%	.0964%	.0321%	.0023%	.0021%
11/20/2023	.0008%	.0001%	.0001%	.0002%	.0001%	.0178%	.0013%	.0377%	.0078%	.0003%	.0003%	.0000%	.0000%	.0011%	.0010%
11/21/2023	.0307%	.0000%	.0000%	.0004%	.0001%	1.9507%	.0016%	3.5805%	.0045%	.0001%	.0001%	.0097%	.0097%	.0395%	.0308%
11/22/2023	.4751%	.0000%	.0000%	.0002%	.0002%	.0020%	.0009%	4.6162%	.0038%	.0003%	.0003%	.0327%	.0327%	.4829%	.4753%
11/24/2023	.0015%	.0001%	.0000%	.0001%	.0001%	.0901%	.0005%	.0594%	.0094%	.0002%	.0001%	.0100%	.0100%	.0020%	.0017%
11/27/2023	.0002%	.0000%	.0000%	.0002%	.0001%	.0181%	.0086%	.0224%	.0173%	.0001%	.0001%	.0925%	.0874%	.0005%	.0004%

# Options – Rolling Five Day Period

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

### November 28, 2023 – December 12, 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
11/28/2023	.0001%	.0002%	.0002%	.0001%	.0001%	.0044%	.0022%	.0127%	.0082%	.0001%	.0001%	.0386%	.0214%	.0004%	.0004%
11/29/2023	.0002%	.0000%	.0000%	.0002%	.0001%	.0034%	.0016%	.0301%	.0054%	.0003%	.0001%	.1167%	.1167%	.0005%	.0004%
11/30/2023	.0013%	.0000%	.0000%	.0001%	.0001%	.0026%	.0005%	.0077%	.0053%	.0004%	.0004%	.0682%	.0682%	.0015%	.0015%
12/1/2023	.3373%	.0001%	.0000%	.0003%	.0002%	.0038%	.0024%	5.5535%	.0572%	.0001%	.0001%	.0256%	.0183%	.3490%	.3376%
12/4/2023	.0002%	.0001%	.0000%	.0002%	.0002%	.0062%	.0025%	.0511%	.0055%	.0003%	.0003%	.0511%	.0469%	.0005%	.0004%
12/5/2023	.0182%	.0001%	.0001%	.0001%	.0001%	.0028%	.0010%	.0150%	.0051%	.0002%	.0002%	.0972%	.0921%	.0185%	.0185%
12/6/2023	.0001%	.0000%	.0000%	.0002%	.0001%	.0030%	.0006%	.0130%	.0034%	.0002%	.0001%	.0877%	.0877%	.0003%	.0002%
12/7/2023	.0000%	.0000%	.0000%	.0001%	.0001%	.0033%	.0009%	.0116%	.0057%	.0005%	.0004%	.0370%	.0370%	.0003%	.0002%
12/8/2023	.0004%	.0000%	.0000%	.0002%	.0001%	.0083%	.0048%	.0272%	.0127%	.0004%	.0004%	.0527%	.0351%	.0008%	.0006%
12/11/2023	.0124%	.0034%	.0000%	.0045%	.0001%	1.1462%	1.1438%	.5303%	.5060%	.0008%	.0001%	.0197%	.0197%	.0221%	.0153%
12/12/2023	.0000%	.0001%	.0001%	.0002%	.0002%	1.1090%	1.1066%	.4949%	.4923%	.0011%	.0006%	.0375%	.0250%	.0032%	.0030%

# Equities – Industry Aggregate Trade Date Statistics

## November 10, 2023 – November 27, 2023

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Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-11-10	30,427,621,325	30,427,476,786	1,152,664	1,389,637
2023-11-13	27,607,074,608	27,606,508,350	45,279,695	45,454,094
2023-11-14	33,324,988,958	33,324,436,111	97,284	449,750
2023-11-15	33,068,644,839	33,068,493,982	226,312	472,807
2023-11-16	32,778,007,821	32,777,625,401	6,595,735	6,842,821
2023-11-17	29,508,782,584	29,508,468,836	12,903,312	13,259,051
2023-11-20	27,283,301,465	27,282,646,191	1,070,224	8,297,511
2023-11-21	27,773,216,838	27,759,603,208	17,489,754	37,576,418
2023-11-22	28,832,056,552	28,830,853,285	47,877,789	48,126,957
2023-11-24	14,480,312,234	14,479,486,766	7,813,232	8,070,305
2023-11-27	25,862,302,924	25,861,770,794	158,615	388,298

# Equities – Industry Aggregate Trade Date Statistics

## November 28, 2023 – December 12, 2023

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Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-11-28	28,990,126,783	28,989,910,683	1,479,564	1,637,629
2023-11-29	30,786,874,555	30,786,664,702	34,295	3,601,814
2023-11-30	32,859,981,667	32,859,724,675	240,967	386,481
2023-12-01	35,104,355,833	35,104,126,978	60,425,268	60,620,579
2023-12-04	32,913,466,920	32,796,725,607	1,431,286	2,502,294
2023-12-05	33,404,577,357	33,402,928,182	1,528,897	1,700,153
2023-12-06	33,041,839,504	33,041,696,410	2,759,478	3,032,289
2023-12-07	30,762,794,818	30,762,665,056	47,068	214,902
2023-12-08	31,140,831,193	31,140,097,696	1,023,461	1,166,894
2023-12-11	28,580,753,063	28,580,594,158	4,589,353	4,841,982
2023-12-12	27,048,777,085	27,048,522,992	61,921	478,457

# Options – Industry Aggregate Trade Date Statistics

## November 10, 2023 – November 27, 2023

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Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-11-10	14,905,662,615	14,905,569,328	127,392	146,632
2023-11-13	14,404,533,621	14,404,114,535	1,640,752	1,658,610
2023-11-14	13,904,415,916	13,904,259,673	619,841	664,311
2023-11-15	13,348,986,034	13,348,898,374	1,558,166	1,575,415
2023-11-16	14,672,832,775	14,672,494,221	71,357	175,634
2023-11-17	14,868,680,393	14,868,574,882	202,956	307,089
2023-11-20	14,669,704,487	14,669,539,014	125,948	148,424
2023-11-21	14,147,394,977	14,147,325,569	4,339,540	4,353,637
2023-11-22	15,050,207,525	15,050,122,854	71,500,530	71,535,606
2023-11-24	8,652,905,777	8,652,317,977	134,357	147,615
2023-11-27	14,565,846,265	14,565,759,348	47,284	61,290

# Options – Industry Aggregate Trade Date Statistics

## November 28, 2023 – December 12, 2023

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Trade Date	Processed	Accepted	Late	Overall Errors Count
2023-11-28	14,479,844,323	14,479,735,621	16,274	56,910
2023-11-29	14,327,339,394	14,327,233,480	28,066	45,926
2023-11-30	14,317,497,154	14,317,419,144	182,459	212,863
2023-12-01	15,117,979,038	15,117,881,941	50,994,355	51,034,369
2023-12-04	14,220,568,454	14,220,490,030	24,621	53,872
2023-12-05	14,924,541,813	14,924,425,127	2,723,899	2,757,165
2023-12-06	14,466,939,046	14,466,882,493	8,305	30,054
2023-12-07	14,921,391,591	14,921,344,663	4,198	32,836
2023-12-08	15,494,041,666	15,493,951,641	61,838	98,447
2023-12-11	14,862,847,007	14,862,252,892	1,844,959	2,275,024
2023-12-12	14,699,675,206	14,699,585,291	1,453	439,441