Industry Member Reference Database Reporter Portal User Guide

10/30/2026

Version 1.0.0

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Change Log

Version	Date Published	Description of Change(s)
1.0.0	10/30/2026	Initial User Guide

Overview

The **Reference Database Reporter Portal** (“Portal”) is a web-based tool that allows CAT Reporters to monitor and manage data submissions to the Reference Database. The Reference Database Reporter Portal includes end-to-end capability for providing complete and accurate data to the Reference Database, including the ability to manually enter and upload data, monitor submissions and review and correct errors.

Additionally, the Reference Database Reporter Portal provides access to reporting statistics including information on an Industry Member’s submissions and error rates.

Questions

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

Companion Resources

- Reference Database Reporting Scenarios: https://www.catnmsplan.com/specifications/imreportingscenarios
- Reference Database Technical Specifications for Industry Members and JSON Schemas Reference Database: https://www.catnmsplan.com/specifications/im
- Frequently Asked Questions: https://www.catnmsplan.com/faq
- Industry Member Reference Database Onboarding Guide: https://www.catnmsplan.com/refdata-registration

1. Entitlement and User Roles

Prior to accessing the Reference Database Reporter Portal, an individual must have a CAT user account with an assigned user privilege that provides access to the Reference Database Reporter Portal. See the Industry Member Reference Database Onboarding Guide for additional information, including instructions for creating and maintaining a user account and descriptions of available user privileges.

2. Technical Requirements

The Reference Database Reporter Portal is accessible via the web using a secure, authenticated internet connection. No client software installation is required. To successfully access the Reference Database Reporter Portal, users must:

- Use TLS 1.2 requiring at a minimum NIST compliant 128-bit ciphers
- Use an HTML5-compatible browser such as Chrome, Edge or Firefox
- Have established multi-factor authentication

Failure to satisfy these requirements may result in the inability to access the Reference Database Reporter Portal.

See the FINRA CAT Connectivity Supplement for Industry Members for the available connection methods and all corresponding technical requirements.

3. Access Information

The following table provides the URLs for accessing each Reference Database Reporter Portal environment (Production, Production Mirror and Industry Test) for web-based users.

For information on the content and intended use of each environment, see **Section 3.1 CAT System Environments** in the Reference Database Onboarding Guide.

For information on the connectivity methods and accessing the Reference Database Reporter Portal via private line or PrivateLink, see the FINRA CAT Connectivity Supplement for Industry Members.

For **web-based** users accessing the Reference Database Reporter Portal directly through an internet browser:

Production	https://srg.catnms.com/ref/
Production Mirror	https://srg.prodmirror.ct.catnms.com/ref/
Industry Test	https://srg.ct.catnms.com/ref/

For all environments, login sessions must be confirmed every 60 minutes by clicking **Yes** to continue the session when prompted.

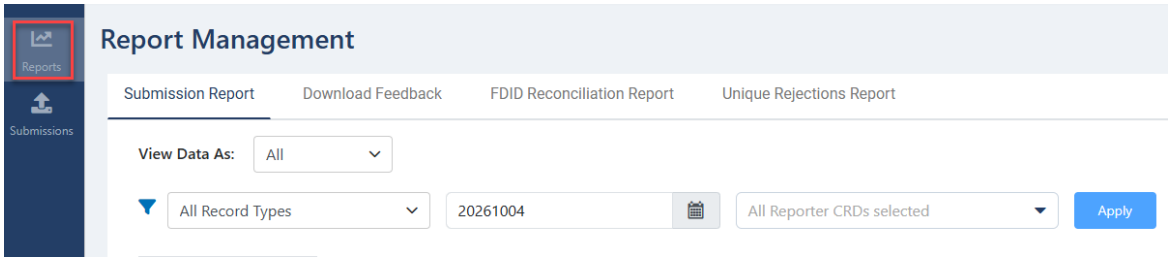
4. Reporting Feedback

4.1. Reporting Summary

The Reference Database Reporter Portal provides statistics for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal.

To view statistics available for the organization:

1. Select **Reports**.



The Report Management screen provides access to the following data: Submission Report, Download Feedback, FDID Reconciliation Report, and Unique Rejections Report.

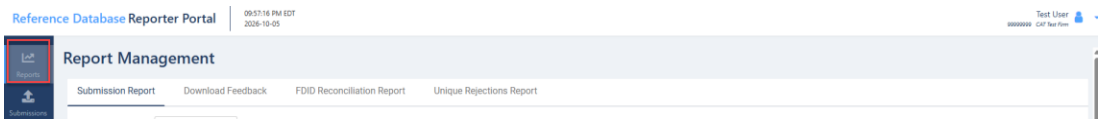
4.2. Reporting Statistics

4.2.1. Submission Report

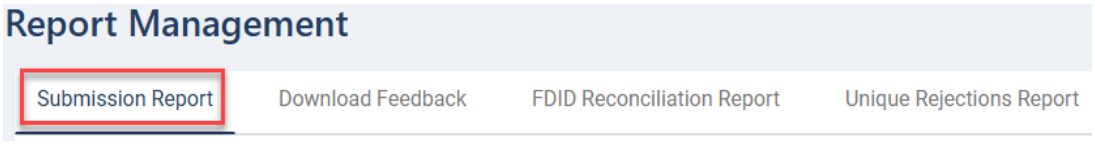
The Reference Database Reporter Portal provides a breakdown of statistics by submission file for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal. A user may view submissions for the previous 90 calendar days, including the current date.

To view a submission report for the organization:

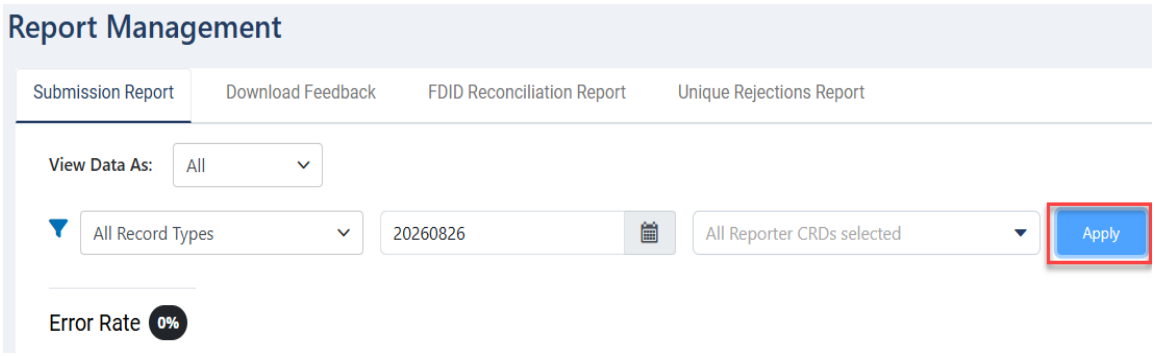
1. Select **Reports**.



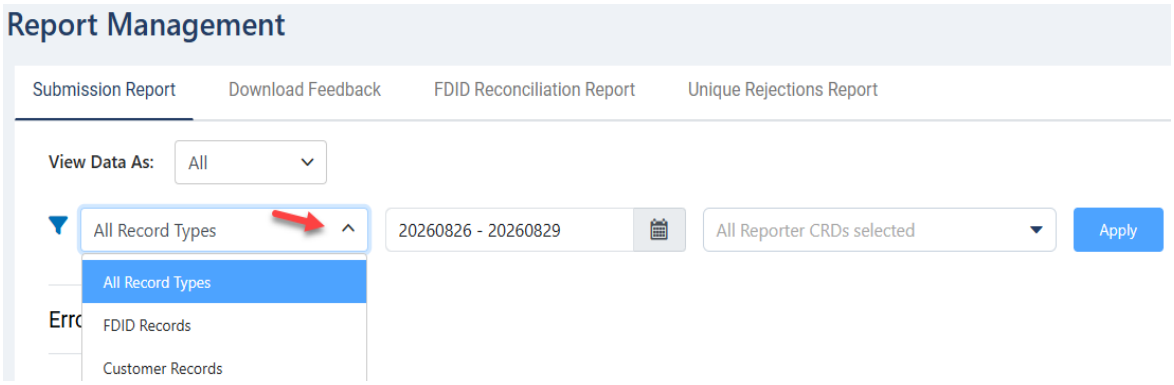
The **Submission Report** tab is displayed by default.



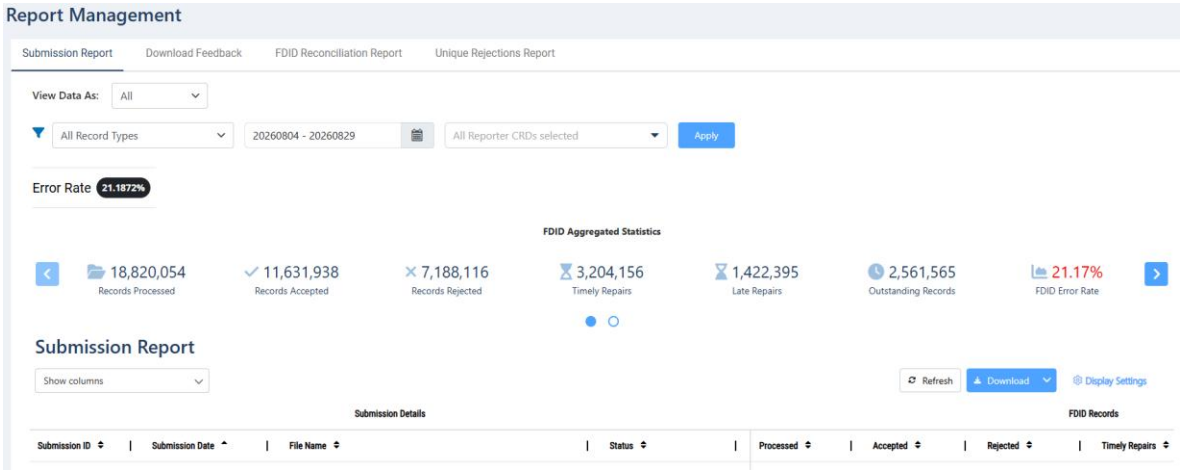
2. Select **Apply** to display the statistics.



3. Optionally, modify the display criteria. Submission statistics for both FDID and CAT Customer record types for the last 30 calendar days are selected by default. To select another date or date range, utilize the date picker and select **Apply**. To view statistics for only FDID or only CAT Customer record types, select the value from the record type dropdown.



4. Review the Submission Report. Use the scrollbars at the right and bottom of the display to view all available rows and columns.



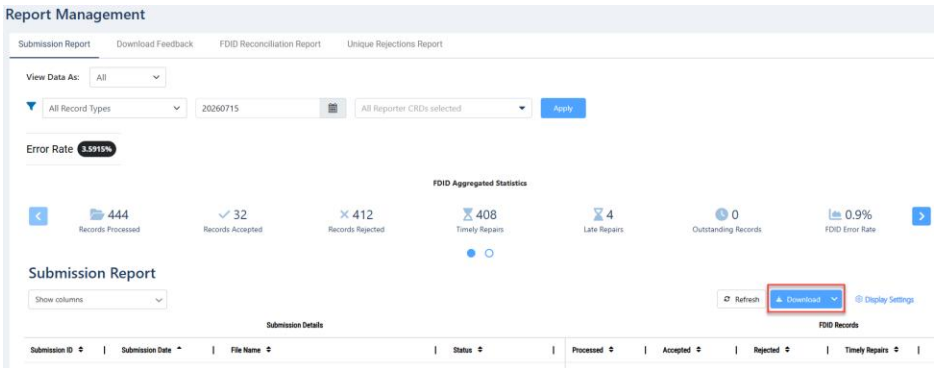
The Reference Database displays the following information for the specified display criteria:

- **Aggregated statistics** for files submitted to the Reference Database over the selected date range, including, for both FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, number of Timely Repairs, number of Late Repairs, number of Outstanding Records and error rates.

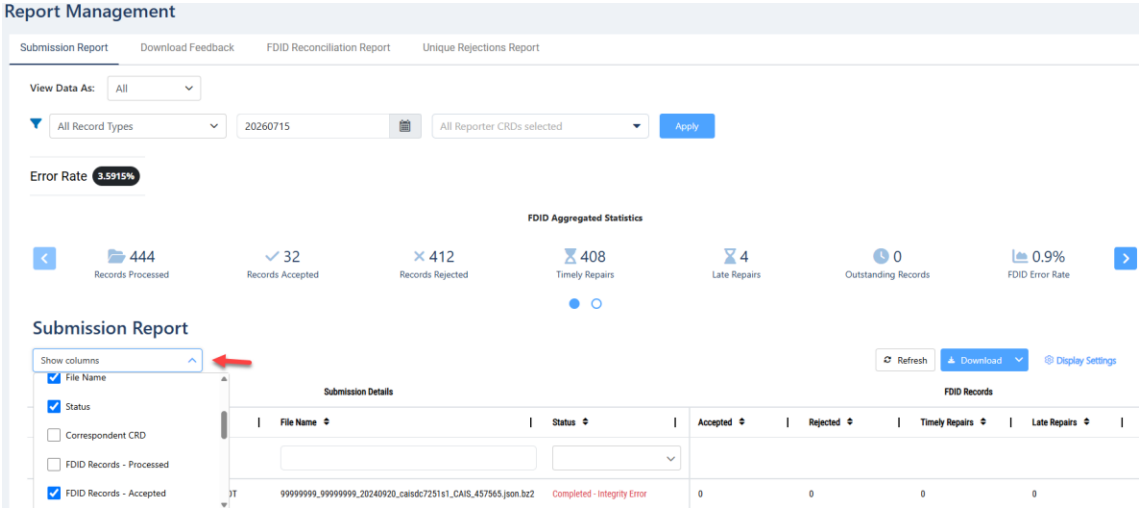
- **Submission metadata** for each file submitted to the Reference Database, such as Version, Submission ID, Submission Date, File Name and Status.

- **Record submission statistics** for each file submitted to the Reference Database, including for FDID Records and Customer Records, the number of Records Processed, number of Records Accepted, number of Records Rejected, Timely Repairs, Late Repairs and number of Outstanding Records.

5. Optionally, select the **Download** button to download the Submission Report in a CSV file.



Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.

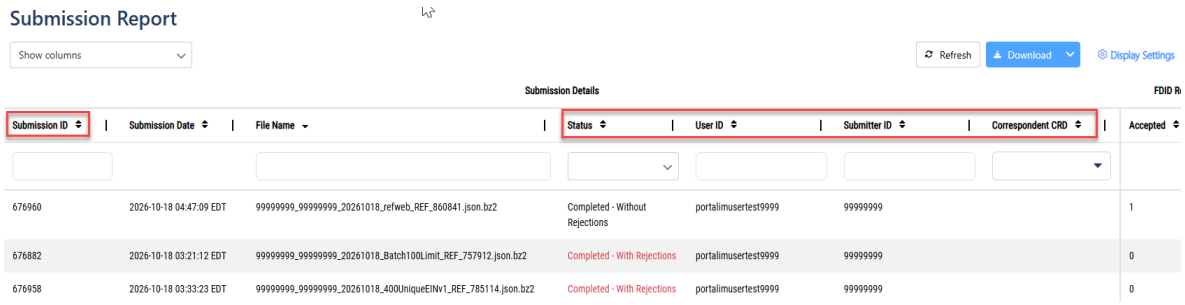


The available options under **Show columns** include the following:

- Submission Date - Date that the file was submitted by or on behalf of the Industry Member to the Reference Database.
- Reporter CRD - CRD number assigned to the Industry Member to which the data belongs.
- Submitter ID - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- User ID - A unique account identifier associated to the user that submitted the file.
- File Name - The name of the file submitted by or on behalf of the Industry Member.
- Status - Indicates whether the file submitted with the FDID Record or Customer Record is:
    - Processing
    - Without Rejections
    - With Rejections
    - Integrity Error
    - Processing Failure
    - Cancelled by Support
    - File Timeout
- FDID Records – Processed - Indicates the total count of FDID Records processed per file.
- FDID Records – Accepted - Indicates the total count of FDID Records accepted per file.
- FDID Records – Rejected - Indicates the total count of FDID Records rejected per file.
- FDID Records – Timely Repairs - Indicates the total count of FDID Records repaired within the repair window per file.

- FDID Records – Late Repairs - Indicates the total count of FDID Records repaired after the repair window per file.
- FDID Records – Outstanding - Indicates the total count of FDID Record rejections outstanding per file.
- Customer Records – Processed - Indicates the total count of Customer Records processed per file.
- Customer Records – Accepted - Indicates the total count of Customer Records accepted per file.
- Customer Records – Rejected - Indicates the total count of Customer Records rejected per file.
- Customer Records – Timely Repairs - Indicates the total count of Customer Records repaired within the repair window per file.
- Customer Records – Late Repairs - Indicates the total count of Customer Records repaired after the repair window per file.
- Customer Records – Outstanding - Indicates the total count of Customer Record rejections outstanding per file.

Users can also filter columns by specific values.

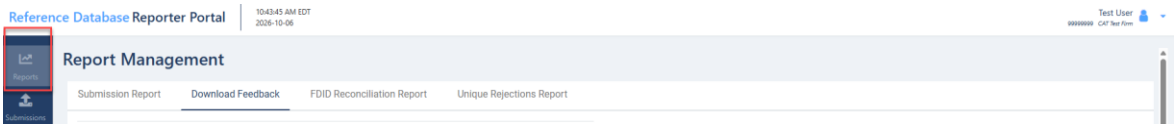


4.2.2. Download Feedback

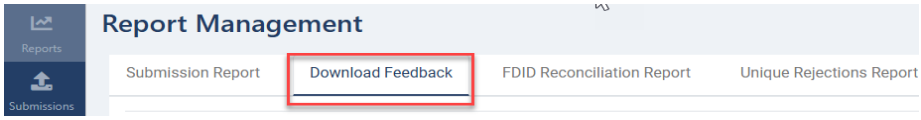
The Download Feedback screen allows users to download Outstanding Rejection Feedback files for an organization. Outstanding Rejection Feedback files are available for 10 calendar days. These files include rejections identified during Data Validation that remain unrepaired at the time of the Outstanding Rejections scan. The feedback delivered consists of a metadata file and data file set.

To view Download Feedback:

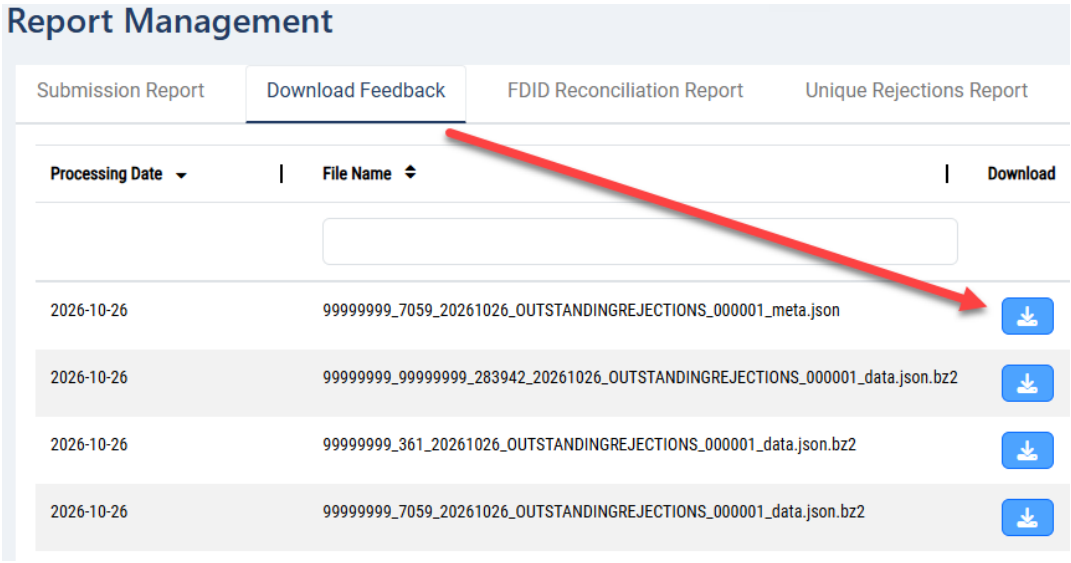
1. Select **Reports.**



2. Select **Download Feedback**. Feedback files are displayed by Processing Date.



3. To open a file, select the Download button.



4.2.3. FDID Reconciliation Report

The Reference Database Reporter Portal provides a means for Industry Members and Submitters to reconcile FDID data stored in the Reference Database with their own records. Entitled users can upload a newline-delimited text file containing up to 1,000 Firm Designated ID(s). The Reference Database will return a Microsoft Excel-readable delimited text file containing the following details for each FDID within the file:

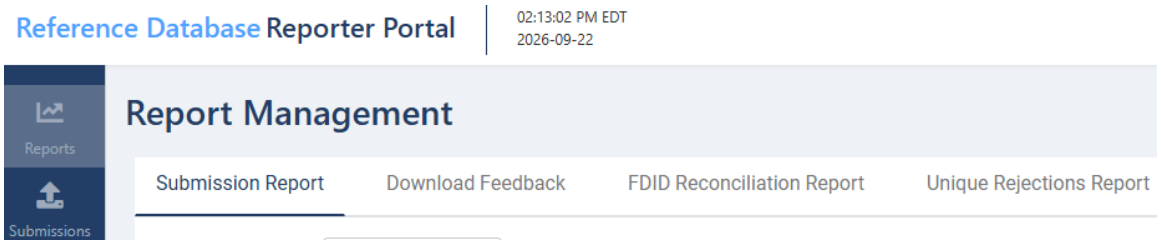
- A **Correspondent CRD** value, where applicable
- An **FDID status** value, which indicates whether the FDID is:
    - **Active**: The FDID does not have an End Date or End Reason value applied.
    - **Inactive**: The FDID has End Reason and End Date values applied. The End Date value is in the past.
    - **Pending Inactivation**: The FDID has End Reason and End Date values applied. The End Date value is in the future.
    - **Not Found**: The FDID has not previously been accepted by the Reference Database.
- An **Associated Customer Count**, which indicates the number of Customer Records actively associated to the FDID.
- The **Last Accepted File Name**, which indicates the name of the most recent Reference

Data File containing the FDID submitted by or on behalf of the Industry Member.

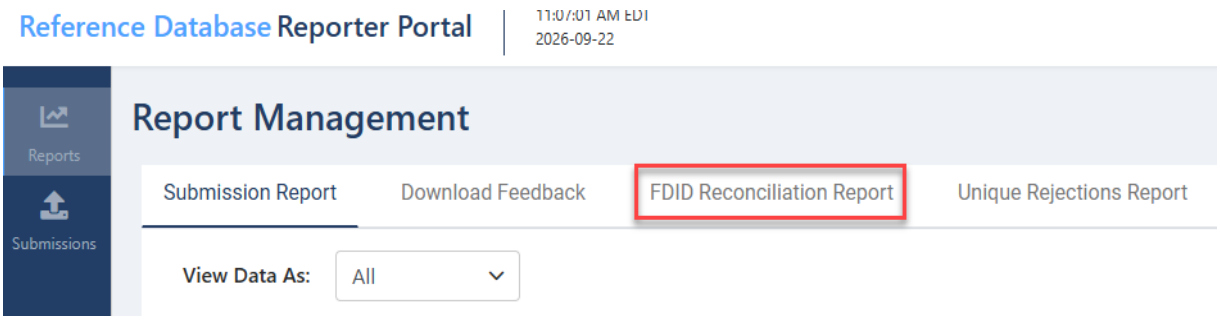
- The **Last Received Date**, denoting the time and date on which the FDID Record was last accepted by the Reference Database.

To obtain an FDID Reconciliation Report for the organization:

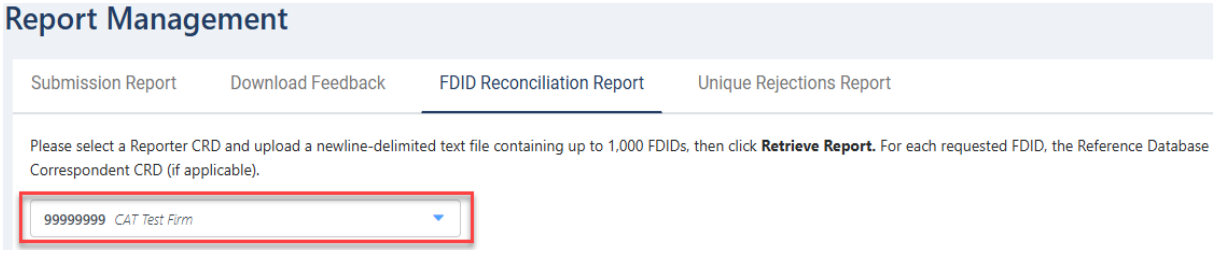
1. Select **Reports**.



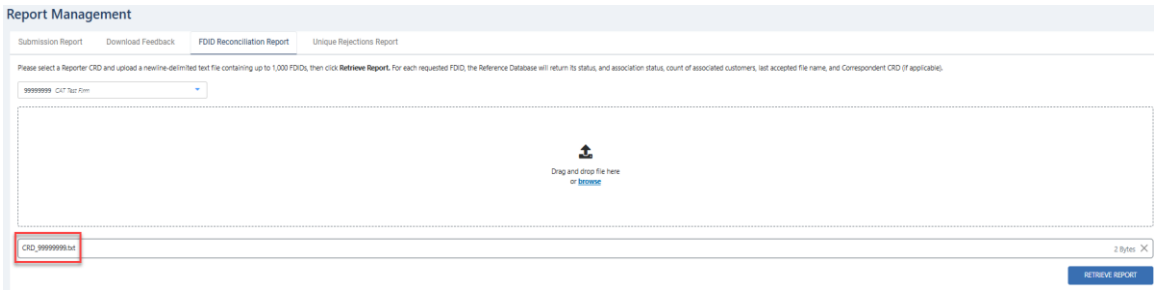
2. Select **FDID Reconciliation Report.**



3. Select a **Reporter CRD** (must be currently entitled to submit data for the selected Reporter CRD).



4. Upload a newline-delimited text file containing up to 1,000 FDIDs.



5. Select **Retrieve Report**.



The FDID Reconciliation Report results file will be generated and downloaded to your machine.



6. Once generated, open the file in Microsoft Excel or another compatible program.

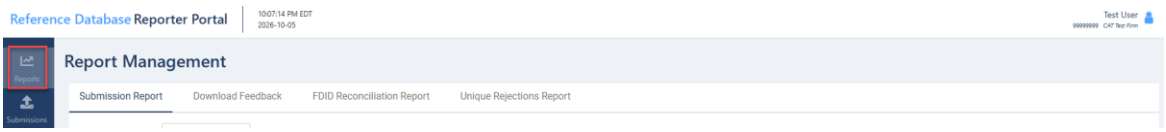
Firm Designated ID	Correspondent CRD	FDID Status	Associated Customer Count	Last Accepted File Name
ACCT002		ACTIVE	1	99999999_99999999_20261207_TEST779_REF_000001.json.bz2
ACCT003	1234	PENDING_INACTIVATION	3	99999999_99999999_20261209_TEST123_REF_000001.json.bz2
ACCT004	1234	INACTIVE	2	99999999_99999999_20261215_TEST334_REF_000021.json.bz2
ACCT005		NOT_FOUND	1	99999999_99999999_20261216_TEST557_REF_000057.json.bz2
ACCT006	7777	ACTIVE	1	99999999_99999999_20261217_TEST799_REF_000093.json.bz2

4.2.4. Unique Rejections Report

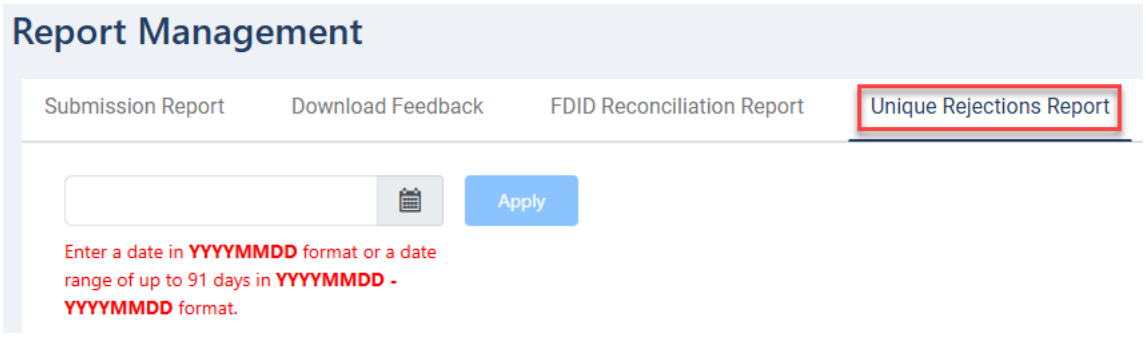
The Unique Rejections Report screen is accessible to the Reporter CRD and provides rejection statistics based on unique FDIDs and unique CAT Customers submitted to the Reference Database over time. The rejection statistics reflect outstanding rejection counts and rates for unique FDIDs and unique CAT Customers across time as of a specified date or date range. A user may view unique rejections for the previous 91 calendar days, including the current date.

To view the Unique Rejections Report:

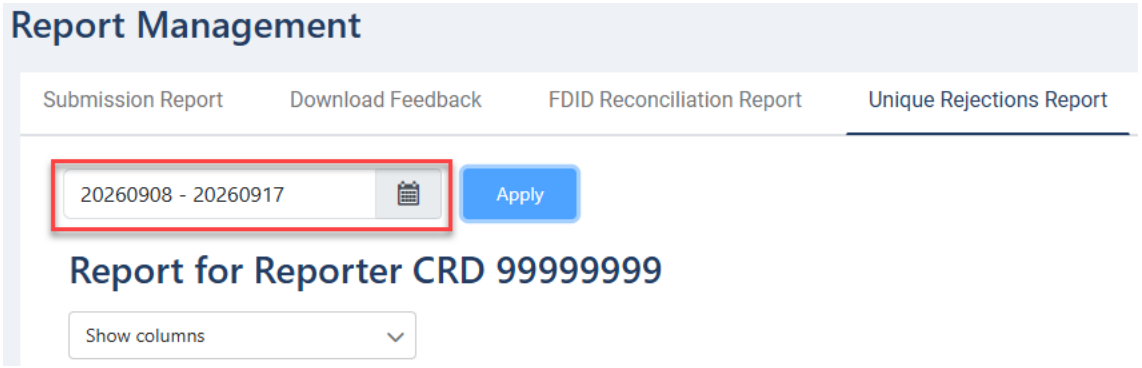
1. Select **Reports.**



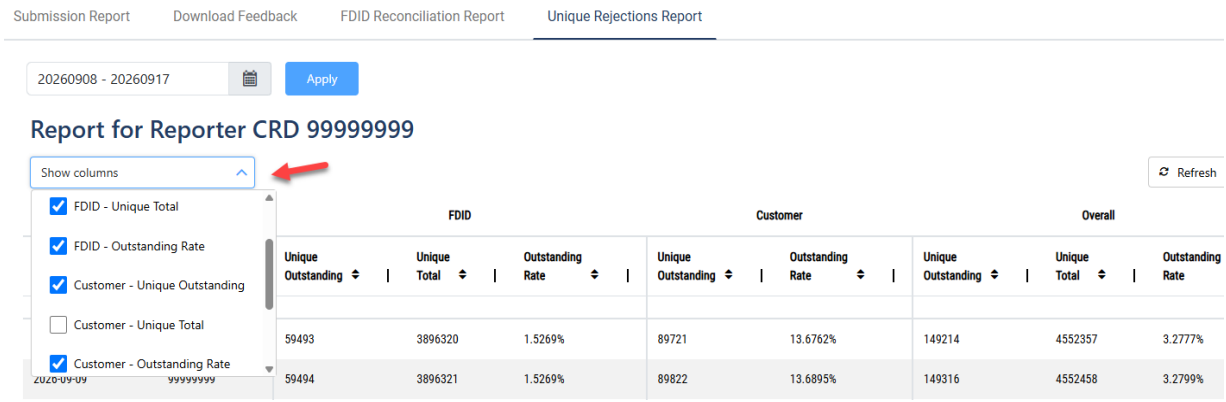
2. Select **Unique Rejections Report.**



3. Enter a date or date range in this format: YYYYMMDD and select **Apply**. Dates within the last 91 days can be selected.



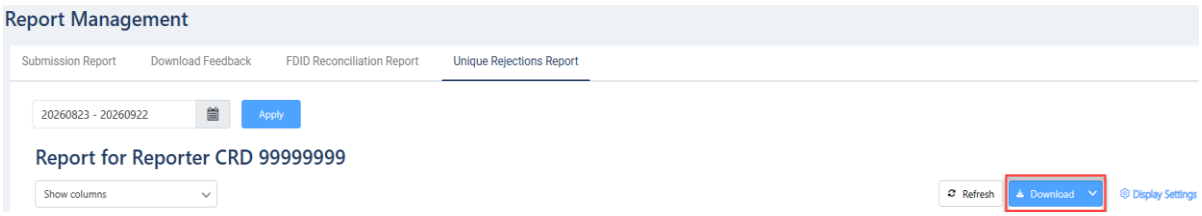
Users can choose which columns to display by clicking on the dropdown feature under **Show columns** menu.



The available options under **Show Columns** include the following:

- Reporter CRD - CRD number assigned to the Industry Member to which the data belongs.
- FDID – Unique Outstanding - Count of unique FDID Records with a rejection Status of Outstanding.
- FDID – Unique Total - Count of unique FDID Records.
- FDID – Outstanding Rate - (FDID – Unique Outstanding) divided by (FDID – Unique Total).
- Customer – Unique Outstanding - Count of unique Customer Records with a rejection Status of Outstanding.
- Customer – Unique Total - Count of unique Customer Records.
- Customer – Outstanding Rate - (Customer – Unique Outstanding) divided by (Customer – Unique Total).
- Overall – Unique Outstanding - Count of unique FDID and unique Customer Records with a rejection Status of Outstanding.
- Overall – Unique Total - Count of unique FDID and unique Customer Records.
- Overall – Outstanding Rate - (Overall – Unique Outstanding) divided by (Overall – Unique Total).

4. Optionally, select the **Download** button to download the Unique Rejections Report in a CSV file**.**



- CSV sample:

As of Date	Reporter CRD	FDID Unique Outstanding	FDID Unique Total	FDID Outstanding Rate	Customer	Customer Unique Total	Customer Outstanding Rate	Overall Unique Outstanding	Overall Unique Total	Overall Outstanding Rate
8/23/2026	99999999	59470	3746650	1.5873	88346	625376	14.1269	147816	4372026	3.3809
8/24/2026	99999999	59482	3746662	1.5876	88465	625494	14.1432	147947	4372156	3.3838
8/25/2026	99999999	59481	3746669	1.5876	88561	625601	14.1561	148042	4372270	3.3859
8/26/2026	99999999	59483	3746673	1.5876	88871	625916	14.1986	148354	4372589	3.3928
8/27/2026	99999999	59487	3746681	1.5877	89186	626238	14.2416	148673	4372919	3.3999

5. Rejections

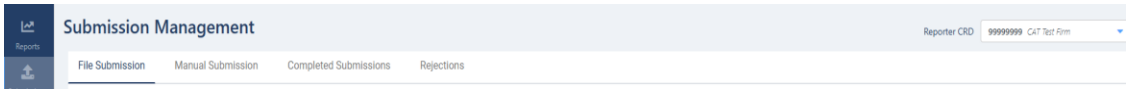
The Reference Database Reporter Portal allows users to review and manage rejected records. This includes the ability to view a high-level summary, view rejection details and repair errors.

5.1. Viewing Rejections

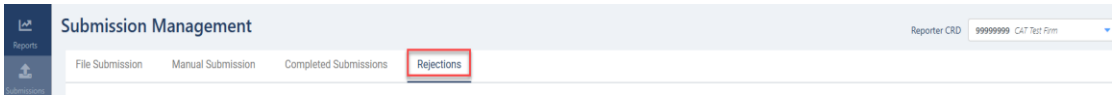
The Reference Database Reporter Portal provides a breakdown of errors by FDID for all data submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Reference Database Reporter Portal. A user may view repaired rejections for the previous 90 calendar days, including the current date. A user may view unrepaired rejections until they are repaired.

To view record rejections for the organization:

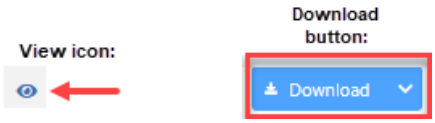
1. Select **Submissions.**



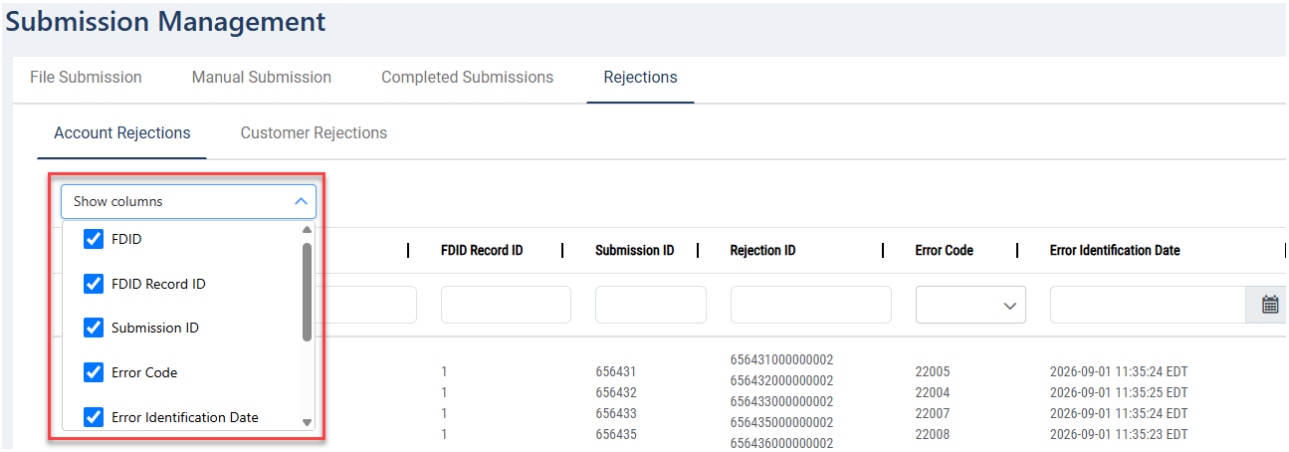
2. Select **Rejections.**



The **Account Rejections** tab is displayed by default. Rejections that are Outstanding, Late Repaired and Repaired are displayed in the table. The Account Rejections tab displays the full count of rejections by unique FDID. Each FDID may have more than one rejection. Users may access further details regarding FDID rejections by clicking the **View** icon or by selecting the **Download** button.

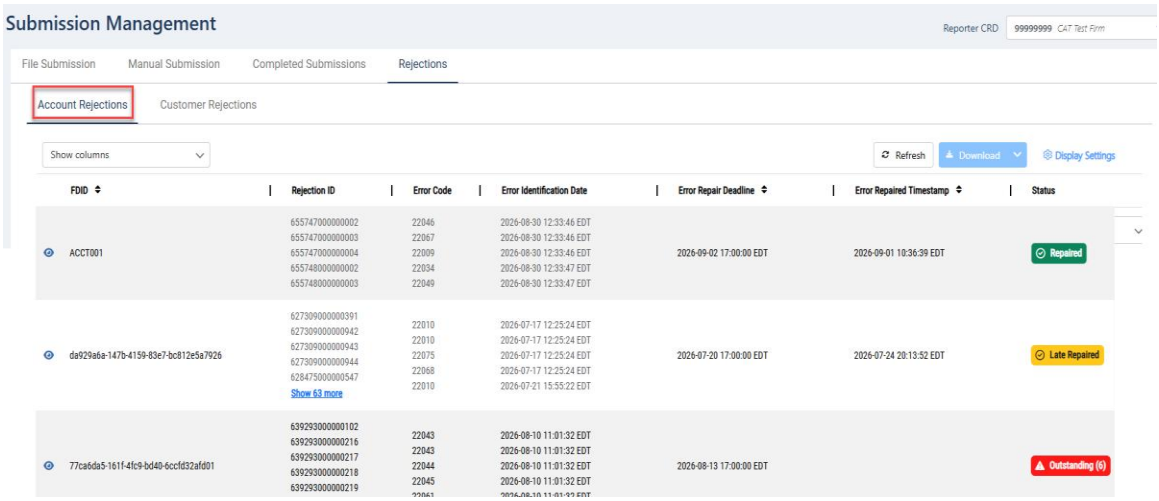


The layout for the data displayed can be modified through the dropdown feature under **Show columns**.

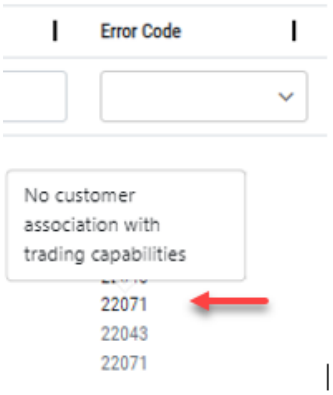


The available options under **Show columns** include the following**:**

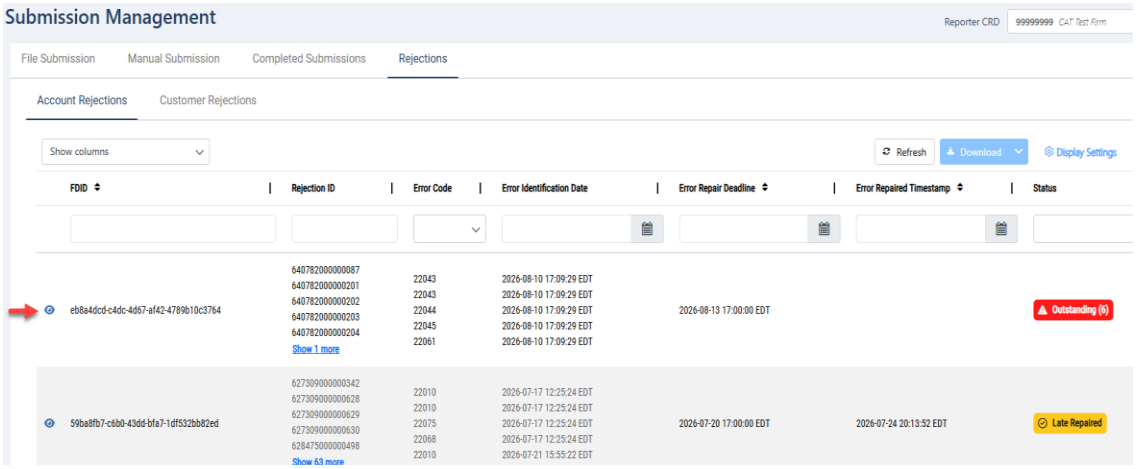
- FDID - The Firm Designated IDs that have repaired or unrepaired rejections.
- FDID Record ID - The *fdidRecordID*, as submitted to the Reference Database, having the data validation error.
- Submission ID - The unique identifier assigned to the Reference Data File by the Reference Database.
- Error Code - The error code of the data validation error.
- Error Identification Date - The date that an error was identified by the Reference Database.
- Error Repair Deadline - Deadline for repairing the rejection.
- Error Repaired Timestamp - The date and time a successful error repair was received.
- Status - Update on repairs for rejections by unique FDID that are Outstanding, Late Repaired or Repaired.
    - Rejections with an Outstanding status are marked with a red label.
        - A Status of Outstanding with a count of zero (0) indicates to a Submitter that another authorized Submitter of the CAT Reporter submitted the FDID and it was rejected. Only the CAT Reporter and the other authorized Submitter may view the details of the rejection.
    - Rejections with a Late Repaired status are marked with a yellow label.
    - Rejections with a Repaired status are marked with a green label.



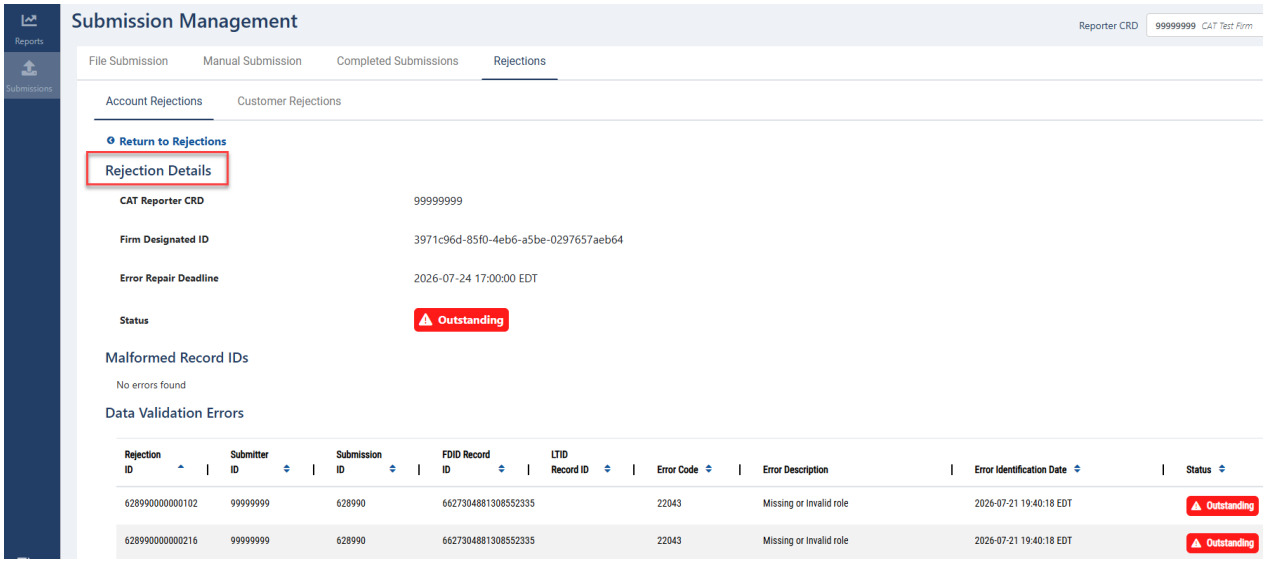
3. To view error descriptions, hover over the error code value.



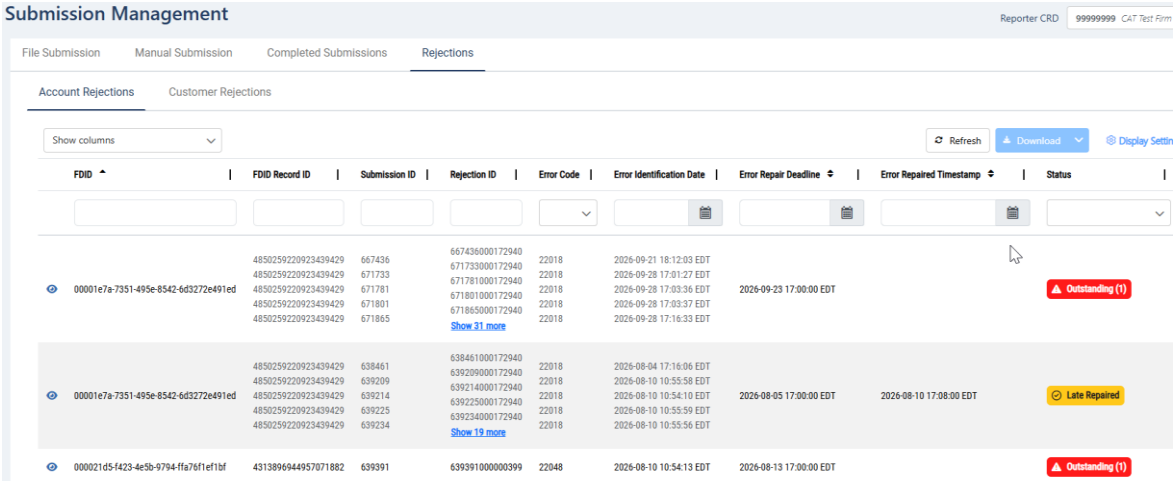
4. To view further details regarding each rejection, click the **View** icon.



The Rejection Details screen for FDID rejections is displayed once the View icon is selected. This window provides historical records for each error per unique FDID, tracking its status as Outstanding, Late Repaired or Repaired. The information displayed notes in particular the steps taken to repair FDID rejections overtime by the subsequent submissions following the original submission. The status of a rejection that is assigned to the unique FDID is based on the common error repair deadline date.



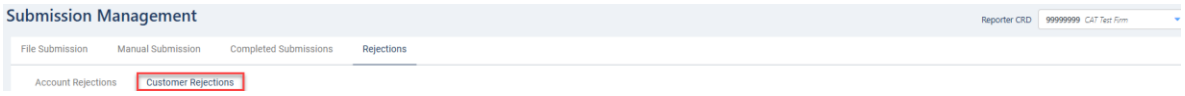
5. To download FDID Record rejections, click the **Download** button. If filters have been applied to the download, only the FDIDs meeting the specified criteria are downloaded.



When downloading Account rejections, each error, Outstanding, Late Repaired or Repaired, will be broken out onto separate line items that include submissions from a historical point of view by unique FDID. The download provides a full lifecycle of rejections against the FDID. Thus, each row represents a unique Rejection ID per FDID which includes the trailing error repair deadline date. The granularity of the data that is exported may show a higher count of rejections than what is displayed on the Account Rejections tab.

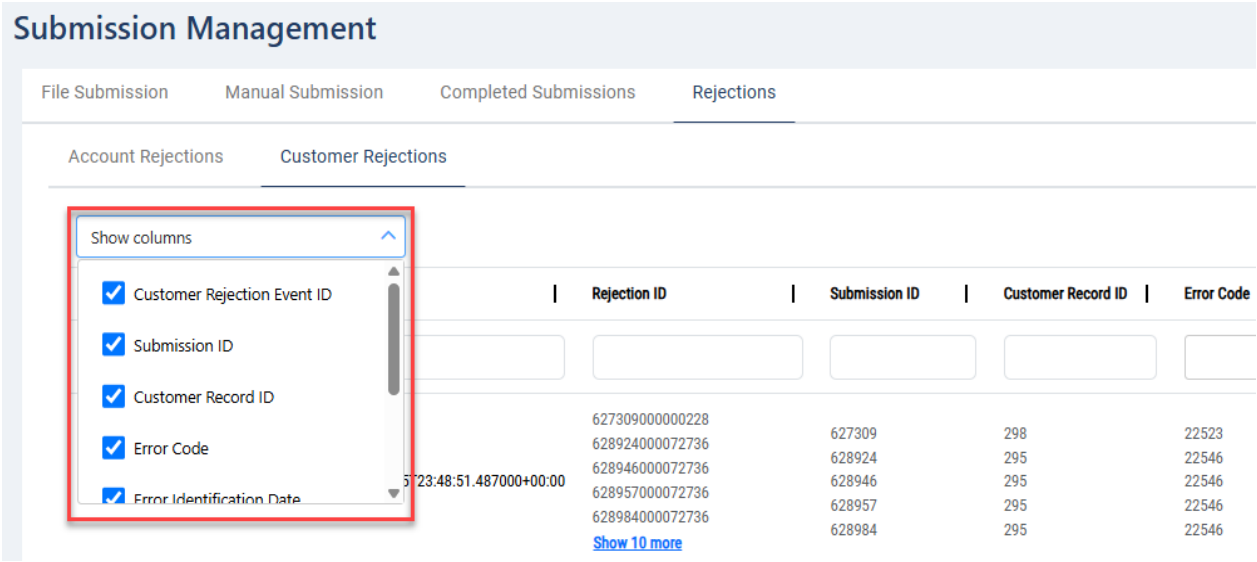
	Fdid	Fdid Record	Submission ID	Rejection Id	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
2	TESTACCT732	1	13569	13569000000010	22048	2023-07-20 14:51:16 EDT	2025-08-21 17:00:00 EDT	2025-08-06 09:01:56 EDT	LATE_REPAIRED
3	TESTACCT732	1	13569	13569000000010	22048	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
4	TESTACCT732	1	13568	13568000000010	22048	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
5	TESTACCT732	1	13565	13565000000007	22007	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
6	TESTACCT732	2	13569	13569000000009	22044	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
7	TESTACCT732	2	13568	13568000000009	22044	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
8	TESTACCT732	2	13565	13565000000008	22048	2023-07-20 13:56:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
9	TESTACCT732	4	13569	13569000000008	22071	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING

6. To view Customer Record rejections, click the **Customer Rejections** tab.



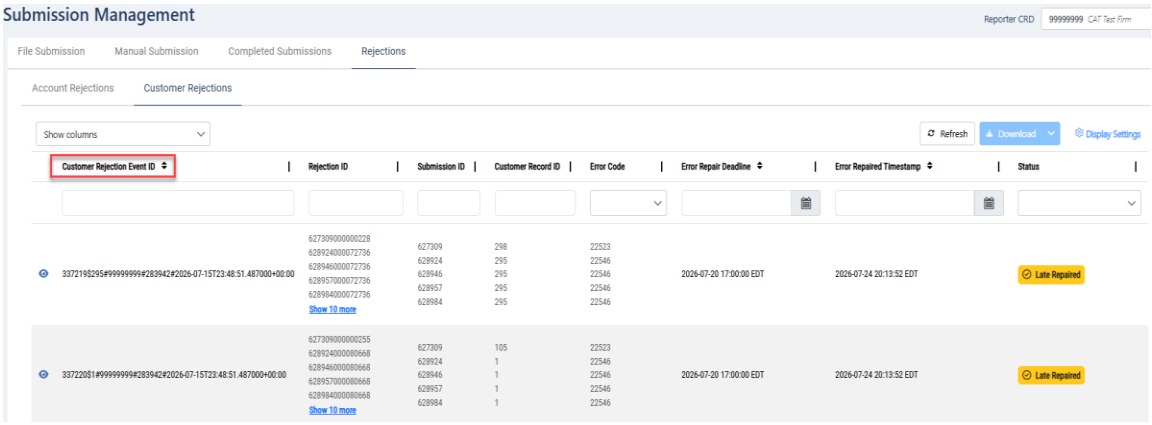
Outstanding, Late Repaired and Repaired rejections are displayed in the table by Customer Rejection Event ID, which is a unique identifier assigned by CAT for the CAT Customer. If the CAT Customer has multiple rejections, all rejections will be grouped by the Customer Rejection Event ID.

The layout for the data displayed can be modified through the dropdown feature under **Show columns**.

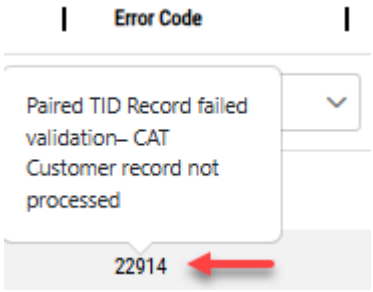


The available options under **Show Columns** include the following:

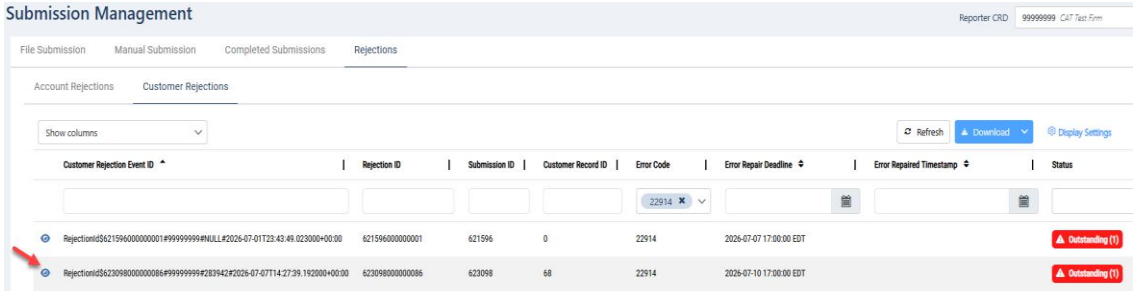
- Customer Rejection Event ID - Unique identifier assigned by CAT for the specific CAT Customer.
- Submission ID - The unique identifier assigned to the Reference Data File by the Reference Database.
- Customer Record ID - The *customerRecordID*, as submitted to the Reference Database, of the record having the rejection.
- Error Code - The error code of the data validation error.
- Error Identification Date - The date that an error was identified by the Reference Database.
- Error Repair Deadline - Deadline for repairing the rejection.
- Error Repaired Timestamp - The date and time a successful error repair was received.
- Status - Update on repairs for rejections by unique CAT Customer that are either Outstanding, Late Repaired or Repaired.
    - Rejections with Outstanding status are marked with a red label.
        - A Status of Outstanding with a count of zero (0) indicates to a Submitter that another authorized Submitter of the CAT Reporter submitted the FDID and it was rejected. Only the CAT Reporter and other authorized Submitter may view the details of the rejection.
    - Rejections with Late Repaired status are marked with a yellow label.
    - Rejections with Repaired status are marked with a green label.



7. To view error descriptions, hover over the error code value.

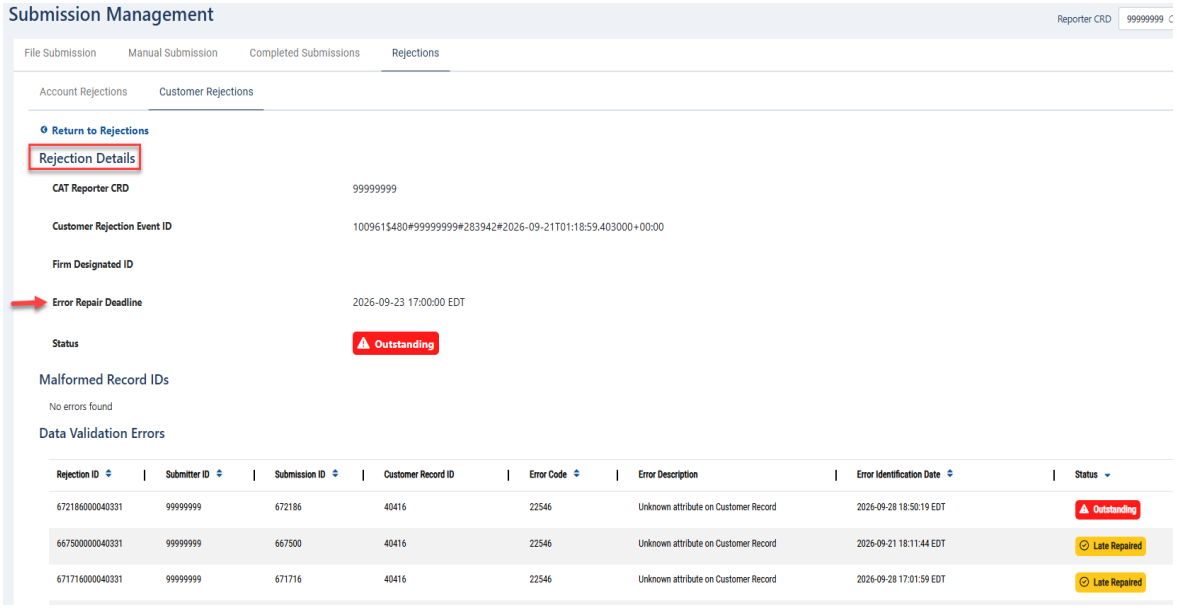


8. To view further details regarding each rejection, click the **View** icon.

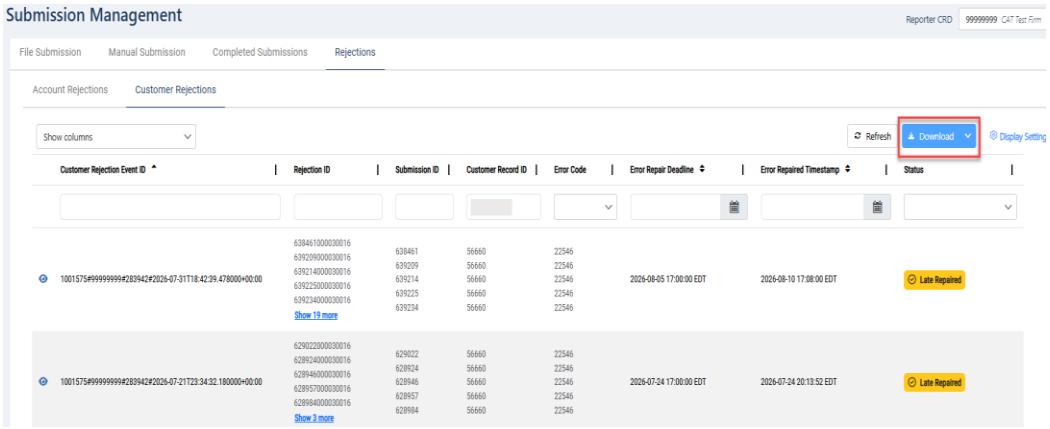


The Rejection Details screen for CAT Customer rejections is displayed once the View icon is selected. This window provides historical records for each error per Customer Rejection Event ID that remains outstanding or has been repaired. The information displayed notes in particular the steps taken to repair CAT Customer rejections overtime by the subsequent submissions following the original submission. The status of a

rejection that is assigned to the Customer Rejection Event ID is based on the common error repair deadline date.



9. To download Customer Record rejections, click the **Download** button. If filters have been applied to the download, only the Customer Records meeting the specified criteria are exported.



When downloading CAT Customer rejections, each error, Outstanding, Late Repaired or Repaired, will be broken out onto separate line items that include submissions from a historical point of view by Customer Rejection Event ID. The download provides a full lifecycle of rejections against the unique CAT Customer. Thus, each row represents a unique Rejection ID per CAT Customer which includes the trailing error repair deadline date. The granularity of the data that is exported may show a higher count of rejections than what is displayed on the Customer Rejections tab.

Customer Rejection Event ID	Rejection ID	Submission ID	Customer Record	Error Code	Error Identification Date	Error Repair Deadline	Error Repaired Timestamp	Status
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000005	13569	[1, 3, 4, 6]	22533	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000004	13569	[4]	22520	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000003	13569	[1, 4]	22524	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000002	13569	[1, 3, 6]	22516	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000001	13569	[1, 6]	22504	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13569000000000	13569	[1, 3, 6]	22514	2023-07-20 14:51:16 EDT	2023-07-25 17:00:00 EDT		OUTSTANDING
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000005	13568	[1, 3, 4, 6]	22533	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000004	13568	[1]	22524	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000003	13568	[4]	22520	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000002	13568	[6]	22516	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000001	13568	[6]	22504	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13568000000000	13568	[6]	22514	2023-07-20 14:32:14 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:50:15 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13565000000004	13565	[6]	22529	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13565000000003	13565	[1]	22516	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13565000000002	13565	[1]	22514	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13565000000001	13565	[3]	22521	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED
13128$4#134#NULL#2023-07-20T17:55:21.6	13565000000000	13565	[4]	22524	2023-07-20 13:56:13 EDT	2023-07-25 17:00:00 EDT	2023-07-20 14:31:20 EDT	REPAIRED

5.2. Rejection Repair

The Reference Database Reporter Portal provides entitled users with the ability to repair rejected records submitted by or on behalf of the user's organization, including data submitted via machine-to-machine communication and data uploaded or manually entered via the Portal. Repairs may be made through file posting to the SFTP, file upload within the Reference Database Reporter Portal (see Section 6.1) or manual submission within the Reference Database Reporter Portal (see Section 6.2).

Because data submitted to the Reference Database Reporter Portal cannot be returned to the Industry Member submitting the data, rejection repair via manual submission requires resubmitting the FDID Record in its current state (with all CAT Customer associations), with corrected data.

6. Report to the Reference Database

Note: All identifiers data used for examples in the Reference Data information reports are purely fictional and for illustrative purposes only. Any resemblance to actual persons, organizations or locations is purely coincidental. All Transformed Identifiers ("TIDs") included in the examples for Social Security Numbers, Individual Taxpayer Identification Numbers or Employer Identification Numbers are generated from values that are outside of the acceptable range of assignment by the assigning body and would fail CAT data validations if actually reported to the Reference Database.

6.1. Upload Data to the Reference Database

Files uploaded to CAT via the Reference Database Reporter Portal are processed in three distinct phases:

1. File Acknowledgment

Prior to uploading files via the Reference Database Reporter Portal, the Reference Database validates the file requirements:

- Maximum of 5 file pairs per submission.
- Reference Data Files must be uploaded with their corresponding Identifiers (TIDs) Files.
- Individual files are limited to a maximum uncompressed size of 1GB.
- Files must be in .json format.
- Files must be compressed using BZip2.
- Filenames must use the following format:
  <CAT Submitter ID>_<CAT Reporter CRD>_<File Generation Date>_[<Group>_]<File Kind>_<File Number>.<Format Extension>.<Compression Extension>

Failure to meet the specified requirements prevents the user from uploading the file via the Reference Database Reporter Portal. Once a file is successfully uploaded, the file is processed through the File Integrity and Data Ingestion stages, with feedback being provided via the Reference Database Reporter Portal at each stage. See Section 6.3 below for details on retrieving feedback via the Reference Database Reporter Portal.

2. File Integrity

After the file has been uploaded via the Reference Database Reporter Portal, the Reference Database performs additional file-level validations. Failure to meet specified requirements results in

the rejection of the file. See **Appendix B** in the Reference Database Technical Specifications for Industry Members for a comprehensive list of file integrity validations.

3. Data Ingestion

For each file that passes file integrity validations, the Reference Database performs record-level validations. Failure to meet the specified requirements results in the rejection of the record. See **Appendix B** in the Reference Database Technical Specifications for Industry Members for a comprehensive list of data ingestion validations.

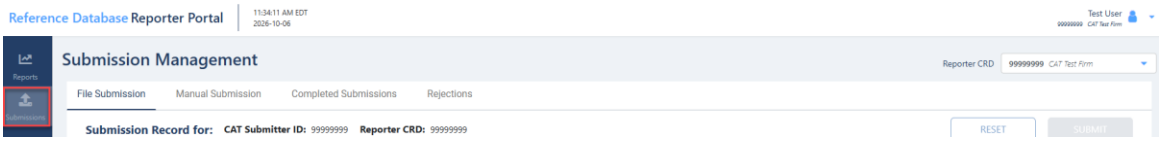
6.1.1. Upload Reference Data and TIDs Files

Entitled users may provide Customer and FDID Reference Data via the Reference Database Reporter Portal by manually uploading Reference Data and Transformed Identifiers ("TIDs") files. The following information provides details on how to upload and submit files via the Reference Database Reporter Portal. For details on the expected format and content of the files, see the Reference Database Technical Specifications for Industry Members.

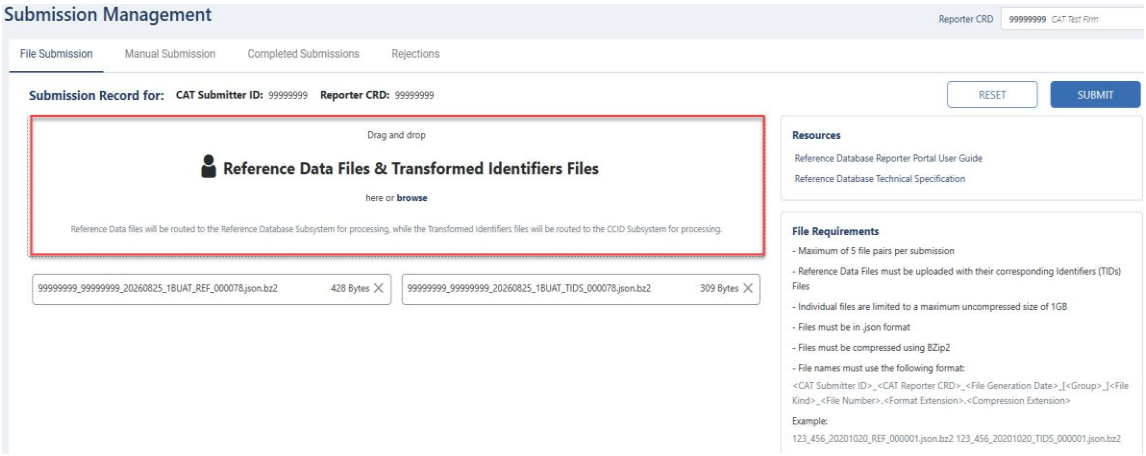
A single submission may not exceed five paired file sets or 1GB (uncompressed). There is no limit to the number of submissions that a user may provide.

To upload one or more Reference Data and TIDs file sets:

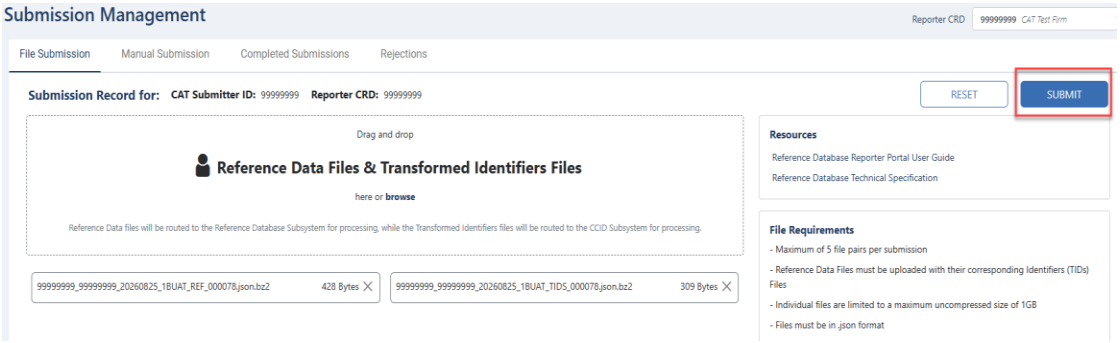
1. Select **Submissions**. The File Submission tab is displayed by default.



2. Drag-and-drop or use the browse functionality to select the desired file set(s).



3. When all desired file sets have been selected, or when the upload limit has been reached, click **Submit.**



Once the files are successfully uploaded to the separate subsystems, each file goes through file integrity validation and data validation. Users may access any feedback via the Download Submission Feedback Files functionality (see Section 6.3).

6.2. Manually Report Data to the Reference Database

Entitled users may provide Customer and FDID Reference Data via the Reference Database Reporter Portal by manually reporting individual FDID and CAT Customer records. The following information provides details on how to manually submit data to the Reference Database via the Reference Database Reporter Portal.

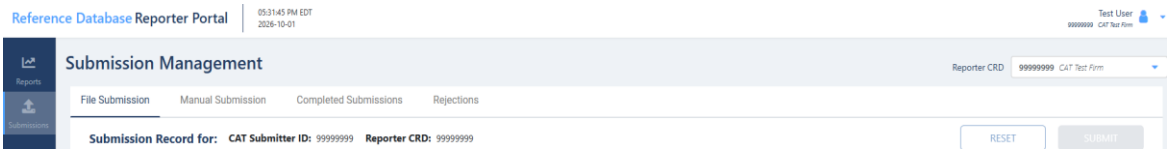
Manual Submission includes the following:

- Entering data for the FDID Record.
- Adding one or more CAT Customer associations.
- Entering Correction Action Records for rejection repair, if applicable.

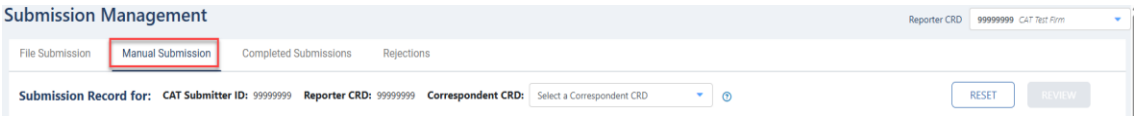
For more information on the reporting requirements for FDID and CAT Customer records, see the Reference Database Technical Specifications for Industry Members.

To manually submit records:

1. Select **Submissions.**



2. Select **Manual Submission.**

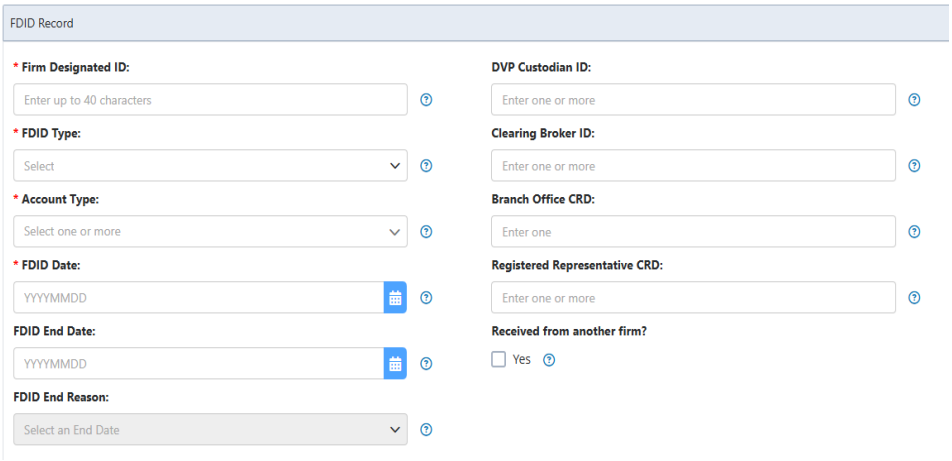


- If applicable, select a **Correspondent CRD.** The Correspondent CRD selected is applied to all FDID and Customer records within the manual submission set. It must only be selected by clearing firms with introducing brokers or correspondents and only when reporting Accounts to the Reference Database that are custodied for their introducing brokers/correspondents, including DVP/RVP accounts. The Correspondent CRD value must be a different identifier than the Reporter CRD. For Accounts which are not correspondent Accounts, Correspondent CRD must not be selected. Introducing brokers or correspondents submitting for themselves must not populate the Correspondent CRD.



To submit an <u>FDID</u> Record:

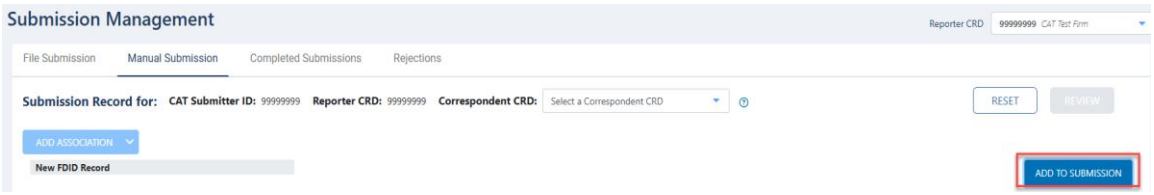
1. Enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (*) are required.



a. **Firm Designated ID**: Enter the Firm Designated ID associated with the Account, Relationship or Entity ID.
b. **FDID Type**: Select either Account, Relationship or Entity ID, depending on the Firm Designated ID type.
c. **Account Type**: Select one or more Account Type values(s) for the FDID.

d. **FDID Date**: Enter the date on which the account was opened, or the Account Effective Date, as defined in Section 1.1 of the CAT NMS Plan.
e. **DVP Custodian ID**: If applicable, enter one or more DVP Custodian ID(s) for the FDID separated by commas.
f. **Clearing Broker ID**: If applicable, enter one or more Clearing Broker ID(s) for the FDID separated by commas.
g. **Branch Office CRD**: If applicable, enter the Branch Office CRD number for the FDID's branch office, if different than the main office.
h. **Registered Representative CRD**: Optionally enter one or more CRD numbers for the Registered Representative(s) for the FDID separated by commas.
i. **FDID End Date**: If applicable, enter the date on which the account or relationship was ended. This field is required if there is an End Reason applied.
j. **FDID End Reason**: If applicable, select the reason for which the Account or Relationship was ended. This field is required if there is an End Date applied.
k. **Replaced By FDID**: If "Replaced" is selected as the End Reason, enter the FDID which is replacing the FDID in question.
l. **Received from another firm?**: Check this box if the FDID is being transferred to your firm via the Mass Transfer Process. When selected, also provide:
    - **Prior CAT Reporter CRD**: Enter the CRD from which the FDID was transferred.
    - **Prior CAT Reporter FDID**: Enter the FDID by which the account was known at the Transferring Industry Member (Prior CAT Reporter CRD).

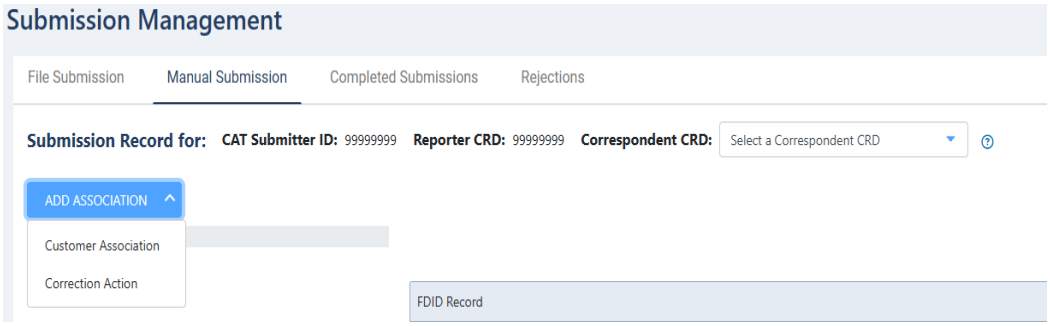
2. Click **Add to Submission**.



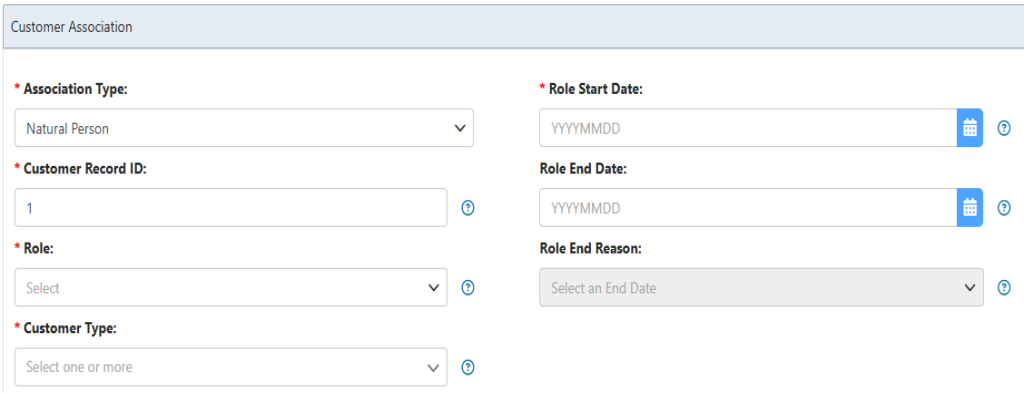
3. To add a **Natural Person CAT Customer** record to the submission:

    3.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

3.2. Select **Customer Association** from the dropdown.



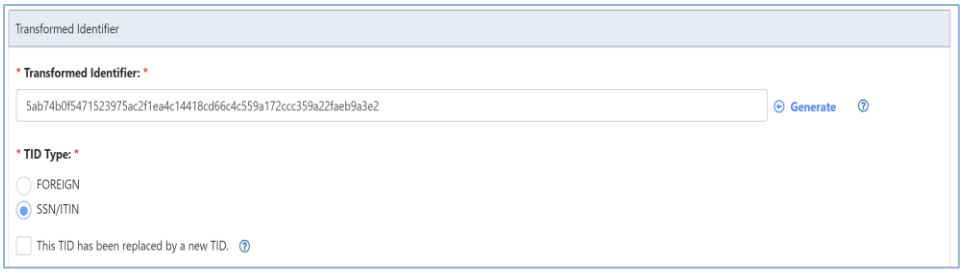
3.3. Enter a value for each applicable field in the **Customer Association** section.



a. **Association Type**: Select Natural Person from the dropdown.
b. **Customer Record ID**: A default Customer Record ID is automatically provided for each CAT Customer association or enter a unique Customer Record ID value for the associated Customer Record.
c. **Role**: Select one Role value for the associated Customer Record.
d. **Customer Type:** Select one or more applicable Customer Types for the Customer Record
e. **Has Discretion**: If required due to the Role being “AUTHREP” or “AUTH3RD”, select either ‘Yes’ or ‘No’ to indicate whether the associated customer has trading discretion as defined in the Reference Database Technical Specifications for Industry Members.
f. **Role Start Date**: Enter a value in the format of *YYYYMMDD* or select a date using the date picker.
g. **Role End Date**: If reporting a CAT Customer association that has been ended, enter a value in the format of *YYYYMMDD* or select a date using the date picker.
h. **Role End Reason**: If reporting a CAT Customer association that has been ended, select one End Reason value.

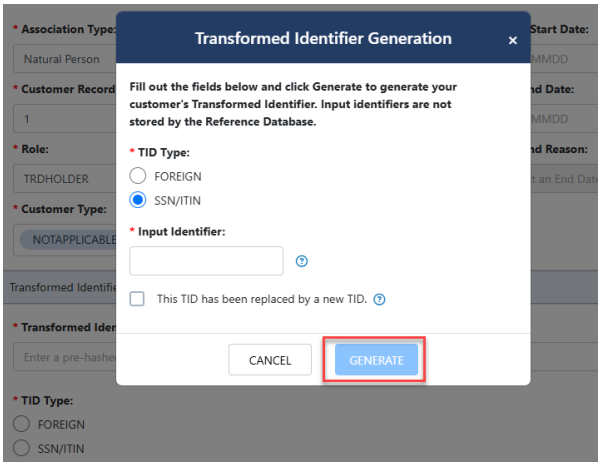
3.4. In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

- Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).



OR

- Generating a TID value. To generate a TID, click **Generate** and select a **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Enter the **Input Identifier**, then click the **GENERATE button**.

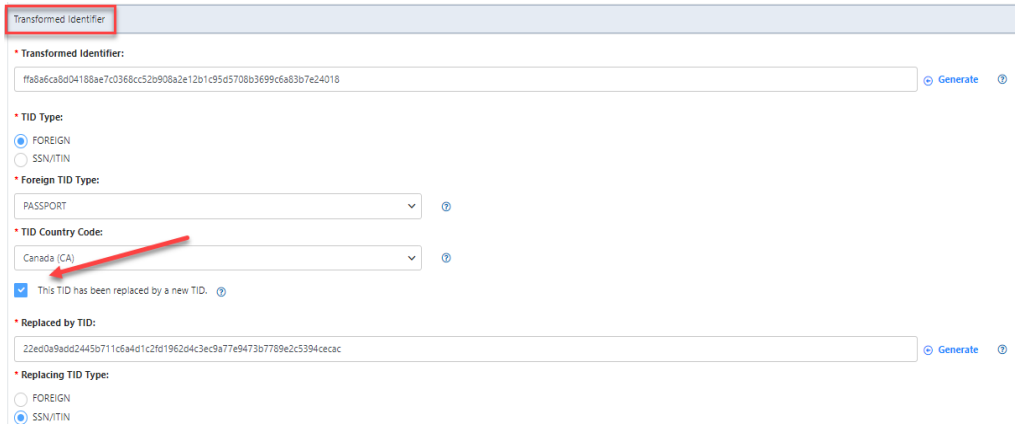


Users are then returned to the Customer Record page where the generated Transformed Identifiers value has been populated in the Transformed Identifier field.

If an Industry Member must update the Transformed Identifier that was previously reported to the Reference Database because the CAT Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

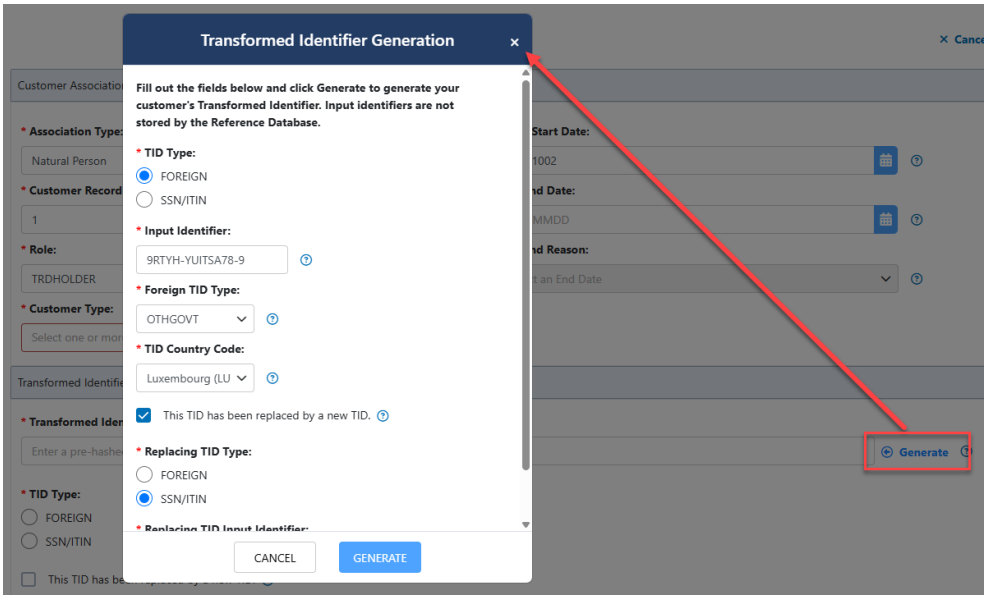
- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to the Reference Database. Then select "**This TID has been replaced by a new TID**". Next, enter the pre-hashed **Replaced by TID** value and select the

Replacing TID Type (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).



OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to the Reference Database. Next, select "**This TID has been replaced by a new TID.**" Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.



Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

3.5. Once appropriate fields have been populated for the Customer Record, click the **Add** button to add the data to the submission file.

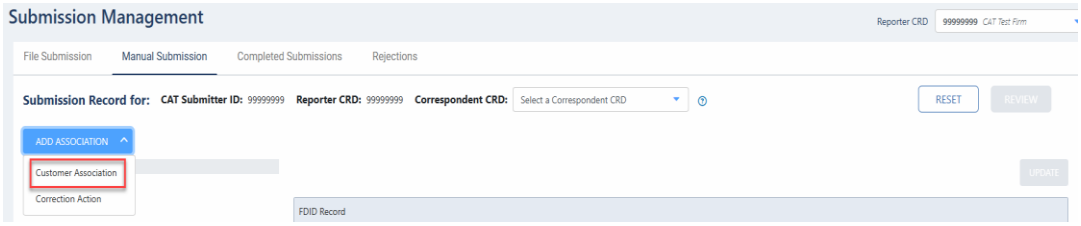


- If this association needs to be modified after this step, click the Customer Association record in the FDID Record Associations section, then make appropriate modifications.
- If this association needs to be removed after this step, click the Customer Association record in the FDID Record Associations section, then click the **Remove** button.
- If one or more additional Customer Association records need to be added, repeat the above process for each Customer association.

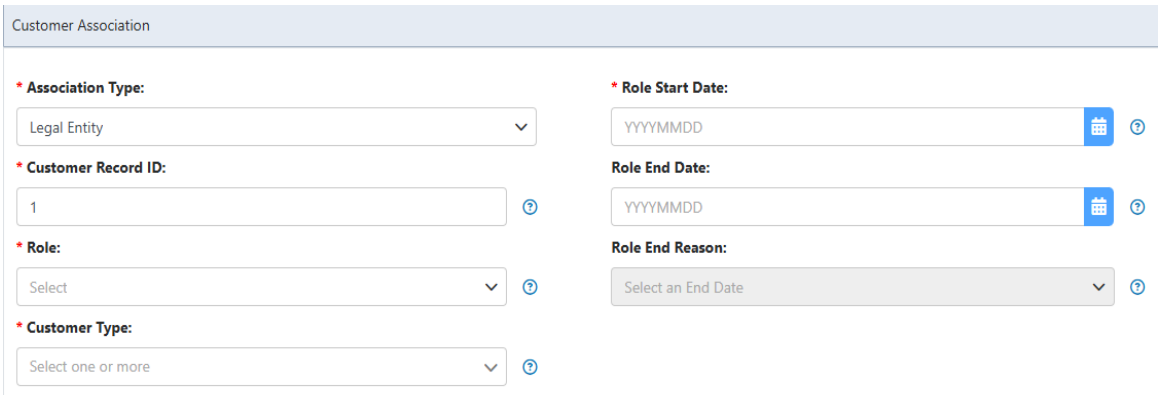
4. To add a **Legal Entity CAT Customer** association to the submission:

4.1. Select **Add Association**. This button will be disabled until required fields in the **FDID Record** section are populated.

4.2. Select **Customer Association** from the dropdown.



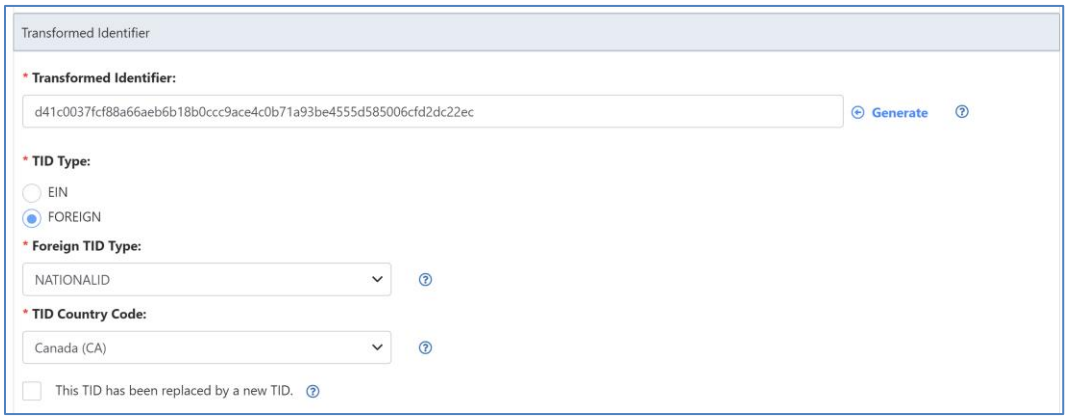
4.3. Enter a value for each applicable field in the **Customer Association** section.



a. **Association Type:** Select Legal Entity from the dropdown.
b. **Customer Record ID**: A default Customer Record ID is automatically provided for each Customer association or enter a unique Customer Record ID value for the associated Customer Record.
c. **Role**: Select one Role value for the associated Customer Record.
d. **Has Discretion**: If required due to the Role being 'AUTHREP' or 'AUTH3RD', select either 'Yes' or 'No' to indicate whether the associated customer has trading discretion as defined in the Reference Database Technical Specifications for Industry Members.
e. **Role Start Date**: Enter a value in the format of *YYYYMMDD* or select a date using the date picker.
f. **Role End Date**: If reporting a CAT Customer association that has been ended, enter a value in the format of *YYYYMMDD* or select a date using the date picker.
g. **Role End Reason**: If reporting a CAT Customer association that has been ended, select one End Reason value.

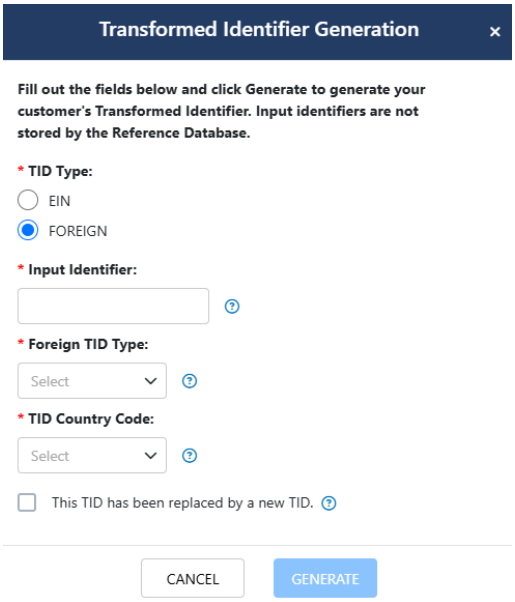
4.4. In the **Transformed Identifier** section, provide the Transformed Identifier value by either:

- Entering a pre-hashed TID value and selecting the **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable).



OR

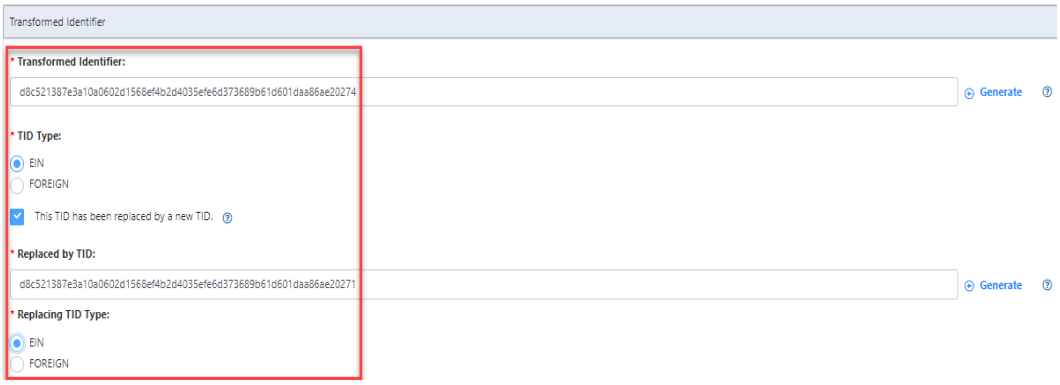
- Generating a TID value. To generate a TID, click **Generate** and select a **TID Type**. Enter the **Input Identifier** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable), then click the **GENERATE** button.



Users are then returned to the Customer Record page where the generated Transformed Identifier value has been populated in the Transformed Identifier field.

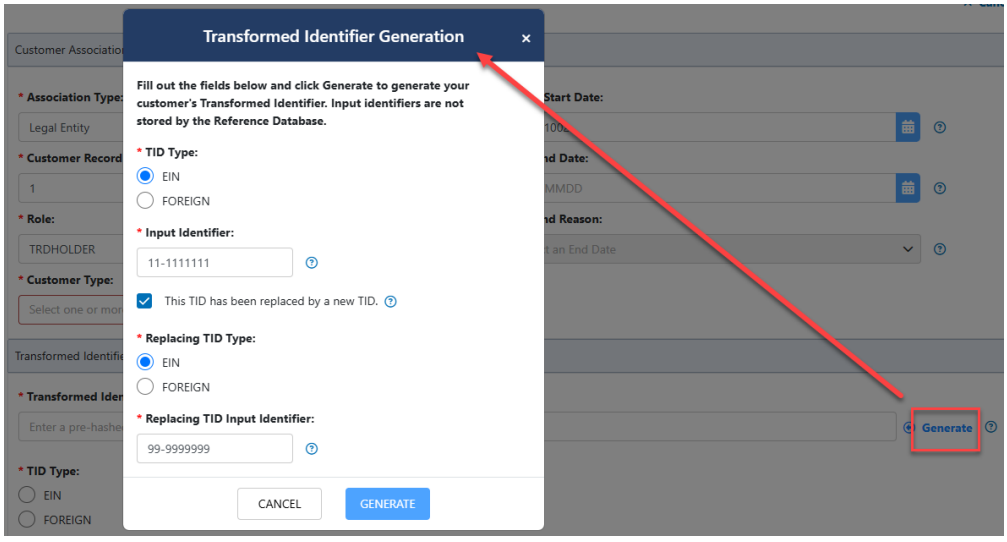
If an Industry Member must update the Transformed Identifier that was previously reported to the Reference Database because the CAT Customer's Input Identifier was legally changed or the Industry Member has obtained a different Input Identifier that replaces the current Input Identifier, provide the updated Transformed Identifier by either:

- Entering the pre-hashed **Transformed Identifier** and **TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable) that was previously reported to the Reference Database. Then select "**This TID has been replaced by a new TID**". Next, enter the pre-hashed **Replaced by TID** value and select the **Replacing TID Type** (and **Replacing Foreign TID Type** and **Replacing Country Code**, if applicable).



OR

- Generating the **Transformed Identifier** and **Replaced by TID**. Click **Generate** in the **Transformed Identifier** section. The **Transformed Identifier Generation** window will appear. Select the **TID Type** and enter the **Input Identifier** (and **Foreign TID Type** and **TID Country Code**, if applicable) that was previously reported to the Reference Database. Next, select "**This TID has been replaced by a new TID.**" Then enter the **Replacing TID Type** (and **Foreign TID Type** and **Foreign TID Country Code**, if applicable). Finally, enter the **Replacing TID Input Identifier** and click the **GENERATE** button.

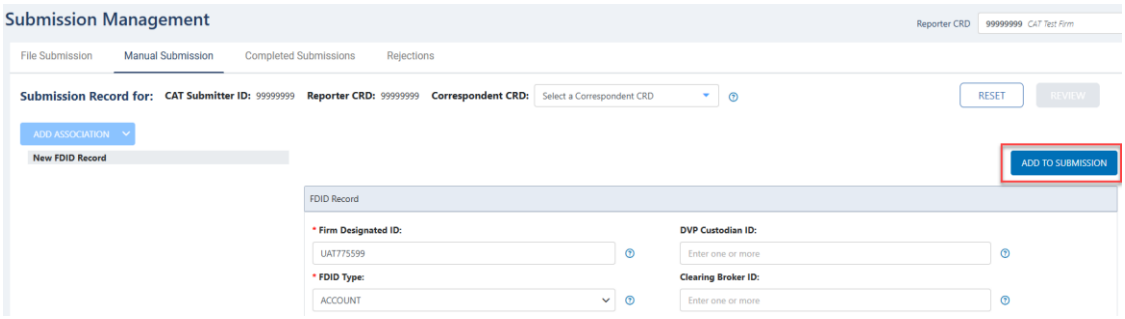


Users are then returned to the Customer Record page where the generated Transformed Identifier values have been populated in the appropriate fields.

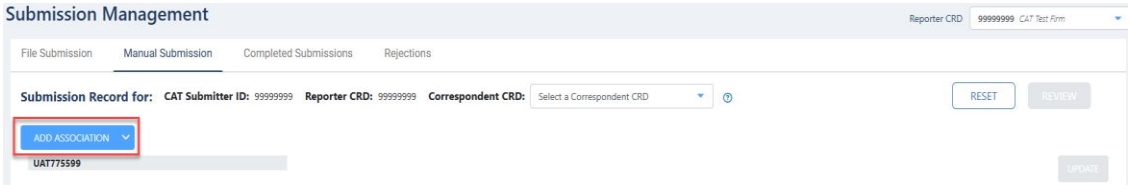
5. To manually repair data validation errors for FDID or CAT Customer rejections:

5.1. First, enter a value for each applicable field in the **FDID Record** section. Fields marked with an asterisk (*) are required.

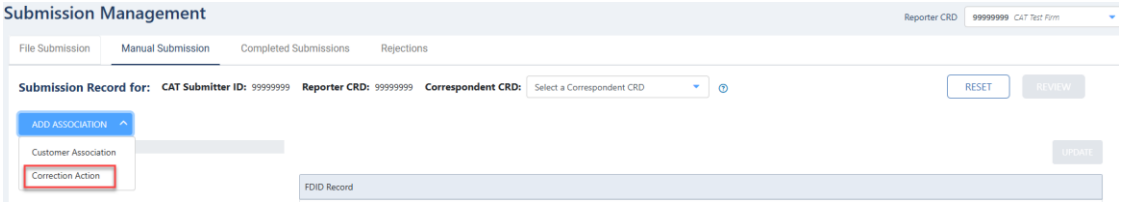
5.2. Click **Add To Submission**. Note, this button will be disabled until required fields in the **FDID Record** section are populated.



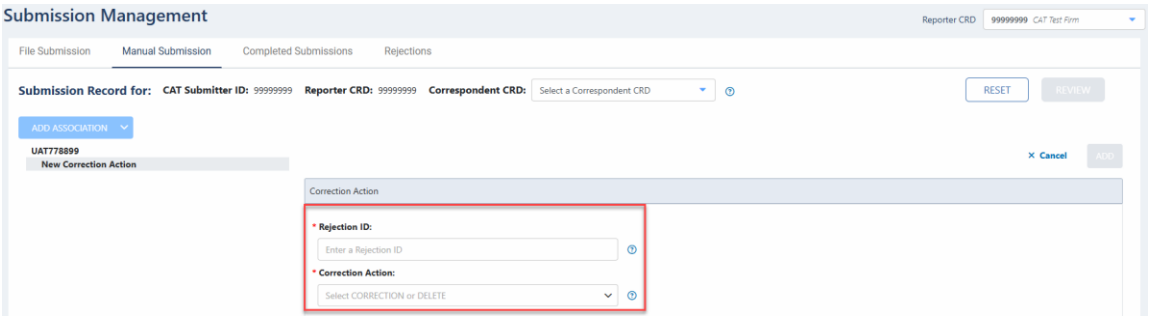
5.3. Select **Add Association.**



5.4. Select **Correction Action** from the dropdown.



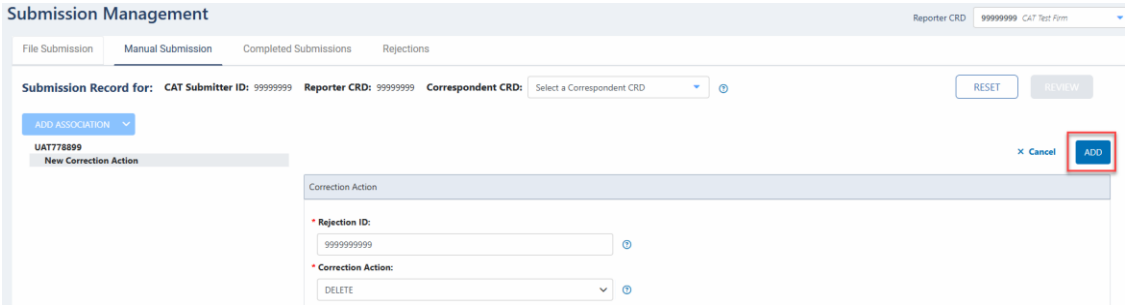
5.5. Enter the **Rejection ID** value and a **Correction Action** of CORRECTION or DELETE.



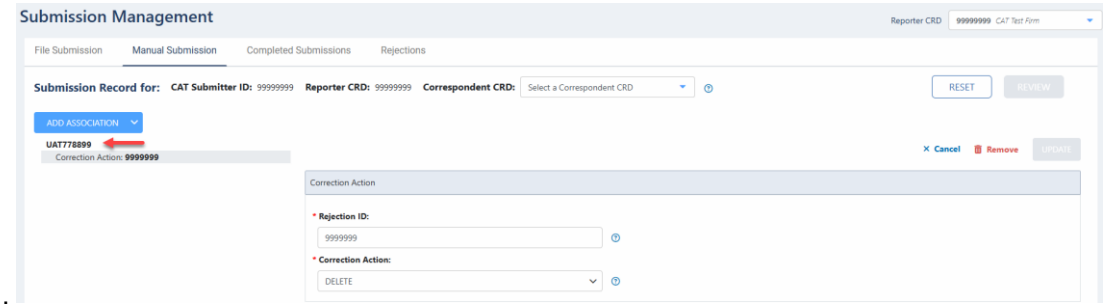
- CORRECTION: The prior rejection is being repaired by including a Correcting FDID Record or a Correcting Customer Record.

- DELETE: The prior rejection is being cleared without submitting a Correcting Firm Designated ID or a Correcting Customer Record ID.

5.6. Click **ADD** for the action being taken.

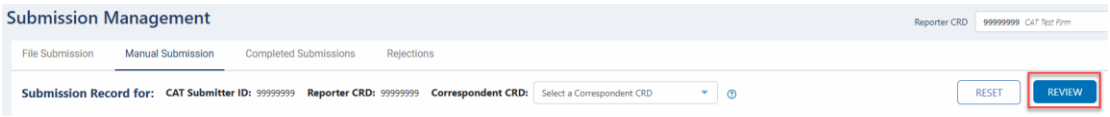


5.7. Click Firm Designated ID to return to the Manual Submission main window and complete resubmission of the FDID Record in its current state with all required CAT Customer associations with corrected data.

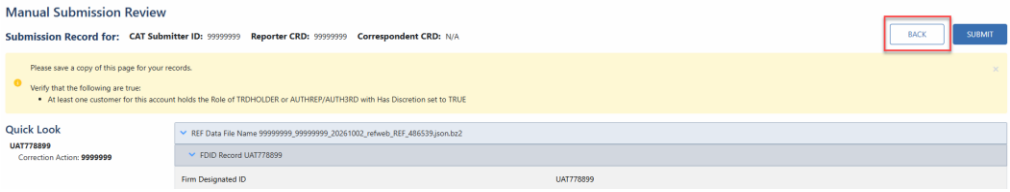


6. To submit manually created files through the Reference Database Reporter Portal:

6.1. Once all applicable fields have been populated, click the **Review** button. A summary of the data and metadata to be submitted is displayed.



- If any values associated to the applicable fields need to be modified, click the **Back** button prior to final submission**.**



6.2. Ensure all data is accurate and complete. Next, save a copy of the Manual Submission Review for your records *prior to submission.* Finally, click **Submit**.



Manual submission generates a file set which is uploaded to the separate subsystems and processed through file integrity validation and data validation. Users may access feedback via the Download Submission Feedback Files functionality (see Section 6.3).

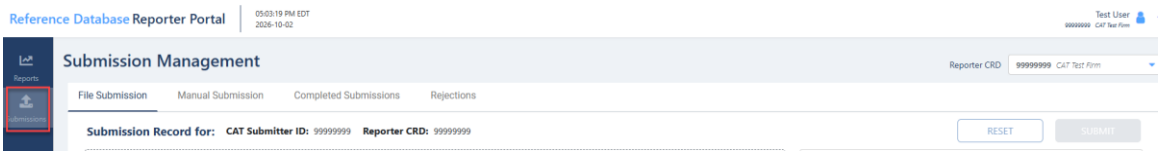
6.3. Download Submission Feedback Files

Entitled users may download file feedback via the Reference Database Reporter Portal. Feedback may only be downloaded for data files that were uploaded or manually entered via the Reference Database Reporter Portal. Feedback is available for files submitted within the previous 10 calendar days (where the current day is considered day 10).

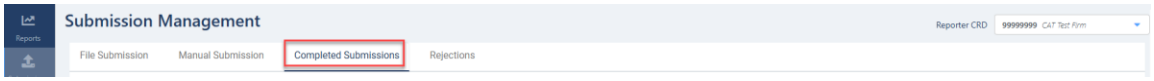
Each Reference Database submission will receive feedback on both the Reference Data File and the Transformed Identifiers File.

To <u>download</u> a feedback file:

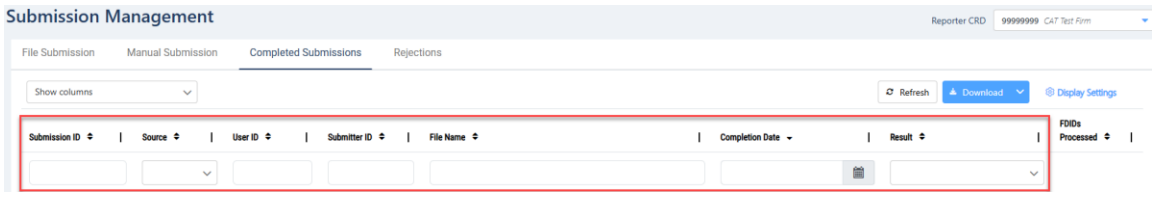
1. Select **Submissions.**



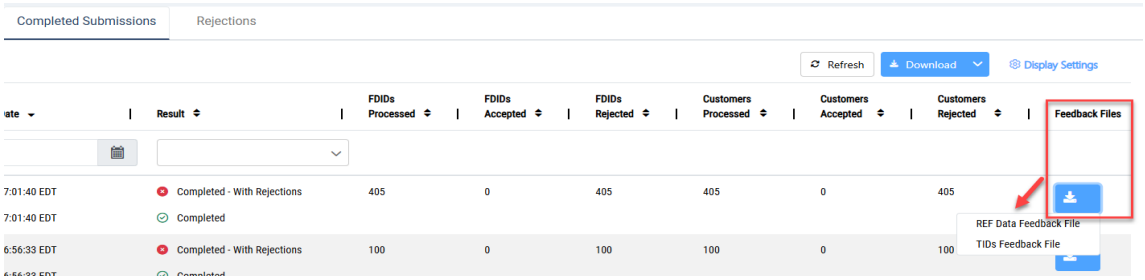
2. Select **Completed Submissions.**



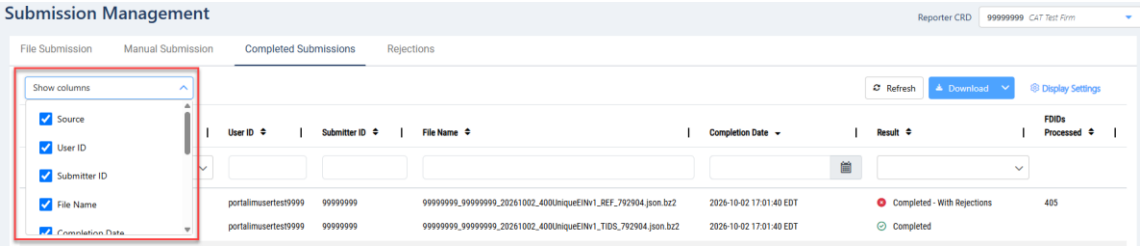
3. Utilize the **sort** and **filter** functionalities to locate the submission for which the feedback files were generated.



4. Once the file is located, click the **Feedback File** button on the far right of the display. Select the **Reference Data Feedback File** or **TIDs Feedback File** in order to download the corresponding feedback file. The **Result** column displays the final state of the submission.



Users can choose which columns to display by clicking on the dropdown feature under the **Show columns** menu.



The available options under **Show columns** include the following:

- Source - Indicates whether the file was submitted via machine-to-machine communication, uploaded or manually entered via the Reference Database Portal.
- User ID - A unique account identifier associated to the user that submitted the file.
- Submitter ID - Uniquely identifies the CAT Submitter and may be a different identifier than the CAT Reporter CRD.
- File Name - The name of the file submitted by or on behalf of the Industry Member.
- Completion Date - Date on which the file completed processing.
- Result - Displays the final state of the submission:
    - Completed
    - Without Rejections
    - With Rejections
    - Integrity Error
    - File Timeout
    - Cancelled by Support
    - Processing Failure

5. Optionally, select the **Download** button to download Completed Submissions in a CSV file. If filters have been applied to the download, only the files meeting the specified criteria are downloaded.



7. Reference Database Reporting Relationships

A Reference Database Reporting Relationship establishes a link between an Industry Member and a Submitter for purposes of transmitting Customer and FDID reference data and viewing feedback. A relationship is comprised of:

- **The Industry Member.** This identifies the Industry Member that is required to submit data to the Reference Database and for which data may be transmitted and viewed.
- **The Submitter.** This identifies the organization that may transmit and view data on behalf of the Industry Member.

A reporting relationship must be manually created in the CAT Transaction Reporter Portal before a Submitter may transmit Customer and FDID reference data on behalf of the Industry Member. **Only the Industry Member can create and manage Reporting Relationships**. For more information on creating and managing relationships in the CAT Transaction Portal, see the Industry Member CAT Reporter Portal User Guide. An Industry Member may have multiple active relationships at any time. Self-reporting Industry Members are not required or able to establish a self-reporting relationship.

Information regarding the methods to view and manage Reference Database Reporting Relationships via the Portal is provided below. Reference Database Reporting Relationships are **view-only** in the Reference Database application. **All Reference Database Reporting Relationship management occurs in the CAT Transaction Reporter Portal.**

7.1. Usage of Reporting Relationships

A reporting relationship allows the Submitter to transmit data on behalf of the Industry Member. This includes the ability to submit data, view feedback, repair rejections, and make corrections to submitted data. **A Submitter may only view feedback, repair errors and make corrections to data for an Industry Member for which it is authorized to submit.**

7.2. Create and Manage Reference Database Reporting Relationships

All Reference Database Reporting Relationships must be created and managed within the CAT Transaction Reporter Portal. For information on accessing the CAT Transaction Reporter Portal directly, see the Industry Member CAT Reporter Portal User Guide at https://www.catnmsplan.com/transaction-registration.

7.2.1. Reference Database Reporting Relationship Fields, Rules and Validations

Each Reference Database Reporting Relationship includes the following data:

Field	Field Description	Required	Format	Rules/Validations
CAT Reporter CRD ID	The unique CRD identifier of the firm to which the logged-in user account is associated.	Yes	Derived by system	---
CAT Submitter CRD ID	The CRD Number for the CAT Reporting Agent/Submitter.	Yes	Dropdown Selection	Must not be the CRD Number of the CAT Reporter.
Effective Date	The first date on which the Reference Database Reporting Relationship is/was available for submitting and managing data.	Yes	Date (MM/DD/YYYY)	Must be on or after the current date.
Expiration Date	The last date on which the Reference Database Reporting Relationship is/was available for submitting and managing data.	No	Date (MM/DD/YYYY)	Must be on or after the Effective Date. Must be on or after the current date.

7.2.2. Duplicate and Overlapping Reference Database Reporting Relationships

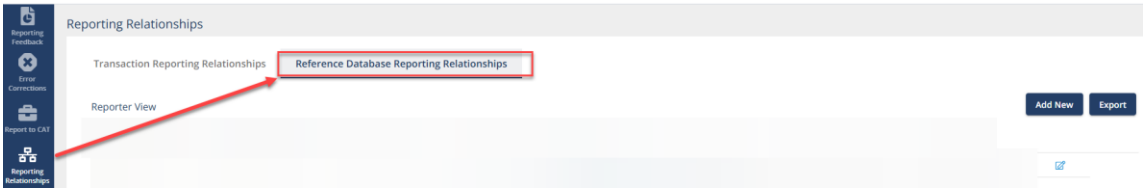
To ensure data integrity, CAT does not allow two Reference Database Reporting Relationships to duplicate one another. When determining if two relationships would be duplicative, CAT considers the CAT Reporter CRD ID and CAT Submitter CRD ID as well as the Effective and Expiration Dates.

7.2.3. View and Export Reference Database Reporting Relationships

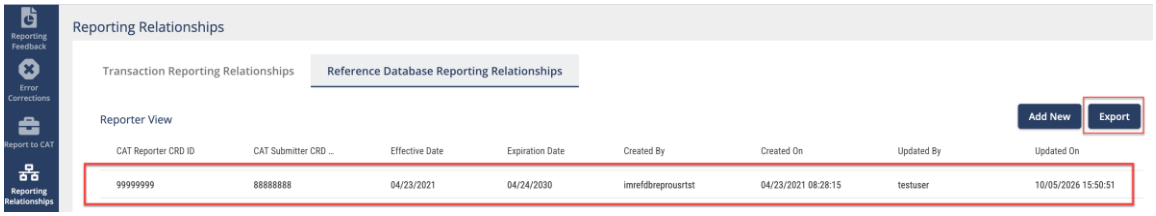
To <u>manage</u> all Reference Database Reporting Relationships for the Industry Member:

1. Click  on the navigation panel to access the CAT Transaction Portal.

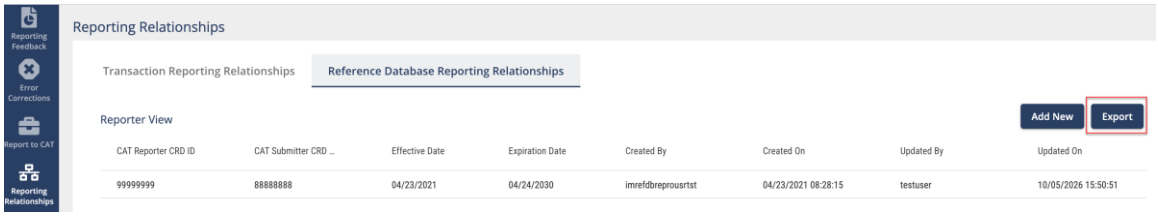
2. Click **Reporting Relationships** > **Reference Database Reporting Relationships**.



All Reference Database Reporting Relationships for the Industry Member are displayed, including those that are currently active, have a future effective date, are pending expiration or have already expired.



3. To **<u>export</u>** a list, click **Export**. Download the generated CSV file using the internet browser functionality.

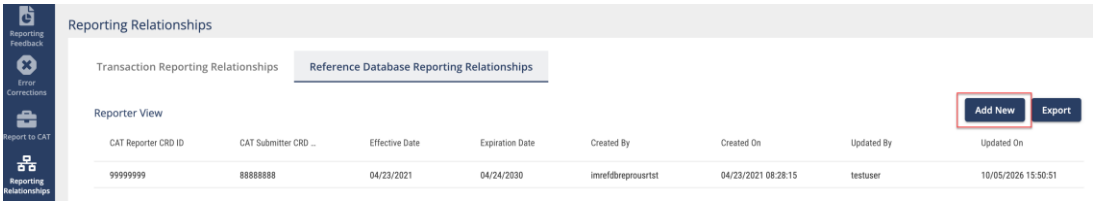


7.2.4. Add a Reference Database Reporting Relationship

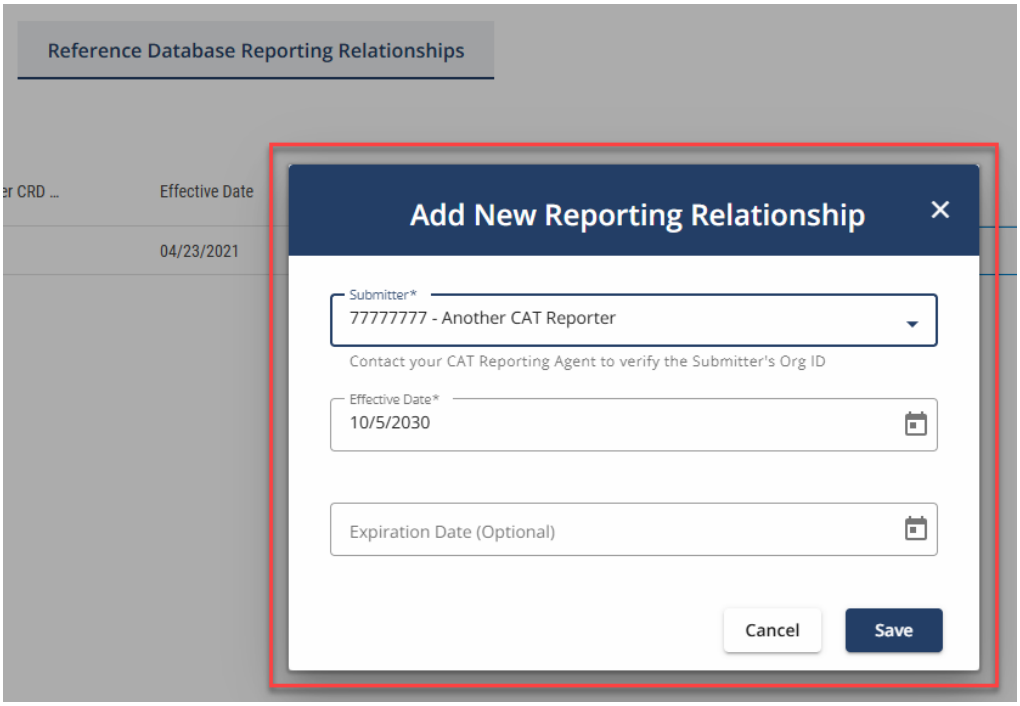
The Industry Member must create a Reference Database Reporting Relationship before the Submitter is able to act on its behalf.

To <u>add</u> a new Reference Database Reporting Relationship:

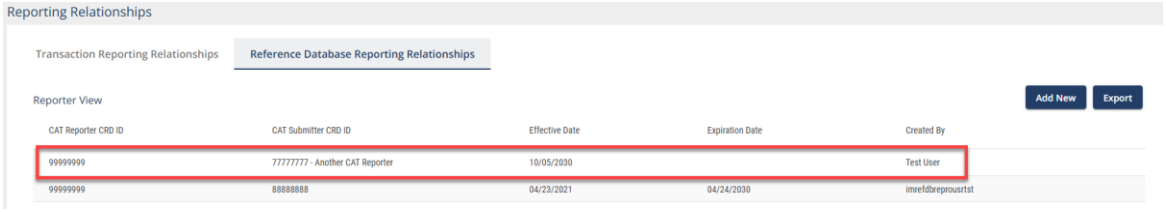
1. Click **Add New**.



2. Enter the details for the relationship. See Section 7.2.1 above for details on field requirements, formats and validations.



3. Click **Save**. The new relationship is displayed on the Reference Database Reporting Relationships list.



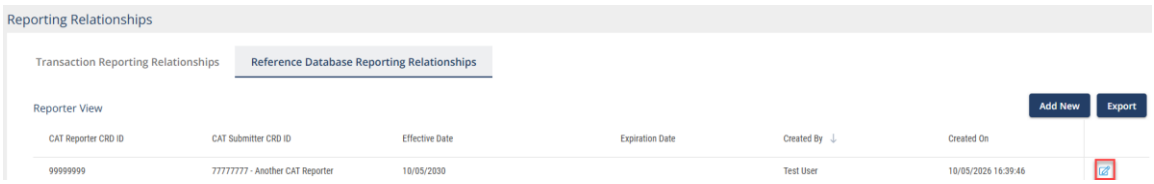
7.2.5. Manage Existing Reference Database Reporting Relationships

A relationship may be edited as follows:

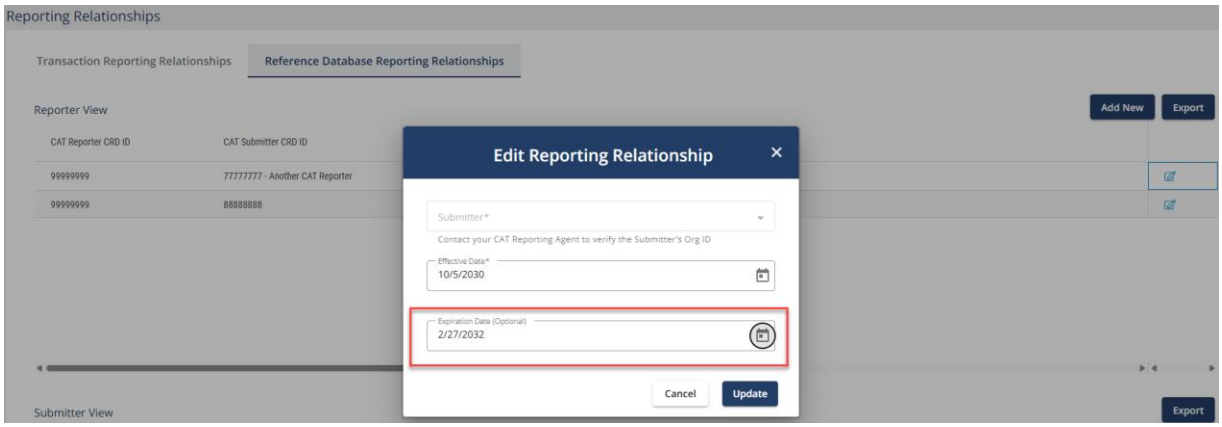
- For a **future-dated relationship** (where the *Effective Date* is after the current date), all fields may be edited.
- For a **currently active relationship** (where the *Effective Date* is on or before the current date and the *Expiration Date* is blank or is on or after the current date), only the *Expiration Date* may be edited.
- For an **expired relationship** (where the *Expiration Date* is before the current date), no fields may be edited.

To edit a non-expired Reference Database Reporting Relationship:

1. Click for the relationship.



2. Make the desired update(s). See Section 7.2.1 above for details on field requirements, formats and validations.



3. Click **Update**. The updated information is displayed in the Reference Database Reporting Relationships list.

