

From: Kimmel, Manisha [REDACTED]
Sent: Friday, October 19, 2012 2:58 PM
To: [REDACTED]
Cc: FIF Program Office
Subject: RE: SIFMA/FIF/STA & Technology/Industry Outreach Call

* Definition of Customer - we were hoping you would talk a bit about the CAT definition of "Customer" as it compares to FINRA definitions and the definition of Large Trader. Having a common industry/SRO understanding of the term would be useful as we move forward with CAT.

* Intra-Firm Linkage - we'd like to discuss using Customer ID to link allocations to new orders as opposed to the Order ID

* Retail Client ID - we've discussed two models for assigning retail client ID that we would like to review with you

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