

# Consolidated Audit Trail (CAT) Reporting



# Consolidated Audit Trail (CAT) Reporting

S3's comprehensive CAT Reporting Service, awarded "Best of Industry Reporting Solution" by the Security Traders Association of New York, enables you to satisfy all your reporting requirements with ease. During our rigorous onboarding process, we identify all possible gaps in your source data so you can avoid the headache of unnecessary errors. S3's CAT team regularly verifies your source data prior to submission, then we monitor for any linkage issues and work with your counterparties to resolve them. Any interruption in the process -- whether it's a corrupt file received by S3 or an unusual error level response from FINRA -- triggers an automated notification to your team. While we handle the day-to-day of submissions and repairs, you can use S3's sleek web-based user interface to view all files and maintain full oversight of the process.



- ✓ Our extensive onboarding process includes an intense review of your source data to ensure avoidance of unnecessary errors
- 🔔 All files received by S3 are continuously validated for data integrity - whether it's syntax, file size, or timeliness - you receive an alert when data is missing or late
- 📁 Errors are closely monitored to ensure repairs are submitted in a timely fashion
- 📋 We work with your counterparties to resolve errors on your behalf, and keep an open dialogue for any ongoing issues
- ✎ You maintain full oversight of the process by reviewing your submissions and repairs directly in the S3 portal
- 🕒 S3 regularly reviews for upcoming changes to CAT so that we can provide guidance on how to remain compliant with minimal effort on your part

# CAT Portal: Submitted File Status



Menu »

CAT Status

Filter

Load Date ▾

03/01/22

Status ▾

None

Running

Submitted

Done

Error

Incomplete

Refresh

Change columns

First

Previous

Page 1

of 1

Next

Last

		Load ID	Load Date	Sec Type	Client MPID	Source MPID
		15264	20220301	E	MPID	NY.CAT

	Sequence ID	Load Date	Load ID	Sec Type	Client MPID	Source MPID	Status	Total Records	Data Errors	Link Errors	Group ID	Start Datetime		
	1	20220301	15264	E	MPID	NY.CAT	Done	20461	0	0	1	2022-03-01T22:36:25.215-05:00		
		File	Load ID	Filename			Client MPID	Source MPID	Load Date	Sequence ID	Status	File Type	Group ID	Received D
		390678	15264	93007_MPID_20220301_Group1_OrderEvents_000001.csv.bz2			MPID	NY.CAT	20220301	1	Done	1	1	2022-03-01
	2	20220301	15264	E	MPID	NY.CAT	Done	1	0	0	1	2022-03-01T22:38:36.059-05:00		

First

Previous

Page 1

of 1

Next

Last

# CAT Portal: Errors



MPID▼ jvest@s3.com | Change Password | User Guide | Sign ou



Menu »

## CAT Errors

Filter

Load Date ▾

2/1/22 - 2/28/22

Type ▾

Routed Order ID ▾

Sender IMID ▾

Error Code ▾

✓ Submitted ▾

None

True

False

Refresh

Change columns

First

Previous

Page 1

of 1

Next

Last

		Load Date ▾	Errors ▾								
⊖		20220224	1								
	RCVD File ID	Load Date	Errors	Status	Type	Action Type	Error ROE ID	Firm ROE ID	CAT Reporter IMID	Submitted	
⊖	389913	20220224	1	Waiting	MEOA	RPR	108082083394642	20220224_F8_90146.239864000_Z0003I_4_PO2A	MPID	false	Edit
Error code		Description			Explanation						
9003		Matching routedOrderID cannot be found			The routedOrderID reported on the Order Accepted event does not match to a corresponding routedOrderID on the Order Route event.						

First

Previous

Page 1

of 1

Next

Last

Showing 1 to 1 of 1 entries





info@S3.com

512.406.1503

www.S3.com

