

Consolidated Audit Trail (CAT) Reporting

Our CAT offering can be customized to suit your needs - whether you need a low touch solution, full service, or anything in between



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



CAIS Reporting^{*}

- Highly secure, cloud-based platform
- Streamlined automated process to easily manage and update customer account reference data
- Comprehensive pre-submission validation to identify CAIS-related data exceptions
- Normalized communication to ensure all parties are in sync with the corrections process

^{*}powered by Capital Markets Solutions

CAT Reconciliation Tool

query your CAT records and easily drill down into the detail of what was reported, all within the S3 portal



Low Touch CAT

S3's Low Touch CAT serves as an aid to those firms that already have an in-house solution but need some additional support. You send us your data, we clean it up and format it and send it back to you for submission

CAT Portal: Submitted File Status



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CAT Status

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Load Date ▾

03/01/22

Status ▾

None

Running

Submitted

Done

Error

Incomplete

Refresh

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	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	

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CAT Errors

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2/1/22 - 2/28/22

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Error Code ▾

✓ Submitted ▾

None

True

False

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	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.

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

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2/1/22 - 2/28/22

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Routed Order ID ▶

Sender IMID ▶

Error Code ▶

✓ Submitted ▼

None

True

False

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