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Direct Edge Regulatory Notice #12-05: Consolidated Audit Trail Industry Event

The national securities exchanges and FINRA (collectively the "SROs") together are hosting an industry event to discuss [SEC Rule 613](#) requiring the creation of a Consolidated Audit Trail (CAT). This event is being held in New York City and is open to all industry and other interested participants. Please note that the event is closed to the media.

During this event, the SROs will provide an overview of Rule 613 and the steps the SROs are taking to develop an NMS Plan as required in Rule 613. This event will also include an open Q & A and feedback session so that industry participants may ask questions of the SROs and share feedback on key implementation issues. To ensure there is adequate space available, two identical sessions are being held and we ask that you **please select only one session so that all interested parties may be accommodated.**

- **Session 1** - October 15, 2012, from 2:00 p.m. to 4:00 p.m.
- **Session 2** - October 16, 2012, from 10:00 a.m. to 12:00 p.m.
- Both sessions will be held at **Bayard's, One Hanover Square in New York.**

To accommodate interested parties that cannot attend in person, a listen only dial-in number is also being provided. Please note that the SROs will not be able to entertain questions from dial-in participants during the event. Please register for the event to receive details about the dial-in number. At the conclusion of the event, presentation materials will be posted on the catnmsplan.com website.

Participants are encouraged to send questions to the SROs in advance of the event so that we can provide as much information as possible during the event. Please submit questions that you would like addressed to feedback@catnmsplan.com.

Advance [registration](#) for this event is required. For more information and to register, visit the [Industry Event](#) website.