



CBOE Regulatory Circular RG17-122
C2 Regulatory Circular RG17-050

Date: August 31, 2017
To: CBOE and C2 Trading Permit Holders
From: Regulatory Division
RE: Industry Update on the Consolidated Audit Trail

With the approval of the Consolidated Audit Trail (CAT) National Market System (NMS) Plan in 2016, and the selection of Thesys CAT LLC as the Plan Processor in early 2017, the implementation timelines for establishing the CAT are in effect. The CAT NMS Plan requires exchanges, national securities associations, alternative trading systems, and broker-dealers to submit information on order and trade events for listed and OTC equities and listed options to the CAT on a daily basis, in addition to customer data.

On **Thursday, September 7, 2017, at 3:15 PM CST**, the CAT NMS, LLC Operating Committee will be hosting a Consolidated Audit Trail webcast to discuss current progress on the CAT. Representatives from the CAT NMS, LLC Operating Committee, as well as the CAT Plan Processor, Thesys CAT, will discuss upcoming milestones, requirements, and the timelines and process for development and delivery of the industry technical specifications for compliance with the CAT reporting requirements. The webcast will be recorded and playback will be available on the CAT NMS website (www.catnmsplan.com). Please see the below details for joining the webcast:

Toll Free: +1-888-455-5069
Passcode: 6495498
[Click here to join the virtual webcast \(WebEx\)¹](#)

Additional Information:

For additional information on SEC Rule 613 and the CAT NMS Plan generally, please refer to www.catnmsplan.com. For additional information on the CAT compliance rules series applicable to CBOE and C2 Trading Permit Holders, please refer to CBOE Rule Filing SR-CBOE-2017-012 (<http://www.cboe.com/publish/RuleFilingsSEC/SR-CBOE-2017-012.pdf>) and C2 Rule Filing SR-C2-2017-007 (http://www.c2exchange.com/publish/Rulefilings_C2/SR-C2-2017-007.pdf), as well as joint CBOE Regulatory Circular RG17-034 / C2 Regulatory Circular RG17-016 (<http://www.cboe.com/publish/RegCir/RG17-034.pdf>). Any further questions may be referred to the Regulatory Interpretations team at RegInterps@cboe.com or (312) 786-8141.

¹ If you have difficulties accessing the webcast through the hyperlink, paste this address into your browser:

https://deloitteevents.webex.com/mw3200/mywebex/default.do?nomenu=true&siteurl=deloitteevents&service=6&rnd=0.44525537352450384&main_url=https%3A%2F%2Fdeloitteevents.webex.com%2Fec3200%2Feventcenter%2Fevent%2FeventAction.do%3FtheAction%3Ddetail%26%26%26EMK%3D4832534b000000041dad6861fcbaba57e54e321f74b0b6f81b1ab68d22498bf57157e21c01646d71%26siteurl%3Ddeloitteevents%26confViewID%3D71194303387461230%26encryptTicket%3DSDJTSwAAAAQIX9q93wJ_S6eXVpfQh64nQfZbRcRADWPbDKcQ06Kycw2%26