



Consolidated Audit Trail (CAT) Reporting on Behalf of Trading Permit Holders (TPHs)

Reference ID: C2020011500

Overview

Cboe Options and its affiliated entities that operate PULSe and Silexx intend to make CAT-formatted files available to its TPH groups for orders processed by the TPH group via the PULSe, Silexx, PAR, Clearing Editor, and Trade Entry applications. Interested TPH groups may also choose to have a Cboe Options-affiliated entity (which Cboe Options will identify) ("Cboe CAT Reporter") submit this data to CAT on behalf of the TPH group.

Details

- PULSe, Silexx, PAR, Clearing Editor and Trade Entry files will be made available to TPHs from Cboe Options or the affiliated entity that operates the applicable application as an end of day download. The reports will be created in CAT format.
- Files will be available for downloading by each TPH group. Only users authorized by the TPH group's administrator via the Exchange's web portal will be permitted to retrieve the files.
- TPH groups will have the option of having the Cboe CAT Reporter submit the files to CAT on behalf of the TPH group.
- Those TPH groups interested in having the Cboe CAT Reporter submit the files to CAT on their behalf will be required to sign a service contract. The service contract is being prepared and will be made available to interested TPH groups by the Membership Services team when completed.
- Any costs and/or fees associated with this reporting service and/or related support have yet to be determined.
- Corrections to the data after submission to CAT by the Cboe CAT Reporter will be the responsibility of the TPH group and will have to be entered by the TPH group via the CAT portal (similar to the manner in which corrections to OATS data are made).

Test File Availability

An updated notice will be disseminated when test files become available.

Additional Information

Operational questions regarding this notice may be directed to the Cboe Floor Operations team or the Cboe Operations Support Center. Questions regarding the required contract may be directed to Membership services and inquiries related to Cboe regulatory matters may be directed to the Cboe Regulatory Interpretations team

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Cboe Floor Operations Desk (located on the Cboe trading floor)

312.786.8580

floorops@cboe.com

Cboe Operations Support Center

866.728.2263

osc@cboe.com

Cboe Membership Services

312.786.7449

membershipservices@cboe.com

Cboe Regulatory Interpretations Team

312.786.8141

reginterps@cboe.com

FINRA CAT

888.696.3348

<https://www.catnmsplan.com/index.html>

help@finracat.com