



Cboe Options Regulatory Circular 19-018
C2 Options Regulatory Circular 19-015
BZX Regulatory Circular 19-012

BYX Regulatory Circular 19-012
EDGA Regulatory Circular 19-012
EDGX Regulatory Circular 19-012

Date: May 1, 2019

To: Members and Trading Permit Holders

From: Regulatory Division

RE: Consolidated Audit Trail Registration Deadline, Technical Specifications and Other Events

This Regulatory Circular is being issued to remind Members and Trading Permit Holders of certain Consolidated Audit Trail (CAT) related requirements and initiatives, as well as upcoming dates to keep in mind.

Industry Member & Third-Party Reporting Entity Registrations – June 27, 2019 Deadline

CAT NMS, LLC has opened the Consolidated Audit Trail Registration Form, which is available [here](#). This form is designed to capture basic information regarding CAT reporting Industry Members and third-party CAT reporting entities, including third-party service bureaus. ***All CAT reporting entities should complete this form by June 27, 2019.***

The Plan Processor FINRA hosted an industry webinar on March 19, 2019 to walk through the registration form and to answer any questions. A recording of the webinar is available [here](#) and the presentation slides are available [here](#). Please also refer to the CAT Alert available [here](#).

Industry Member Technical Specifications – April 29, 2019 Update

On April 3, 2019, CAT NMS, LLC hosted a Consolidated Audit Trail webcast to discuss recent updates to the CAT Reporting Technical Specifications for Industry Members published on March 29, 2019 and additional topics. A recording of the webinar is available [here](#) and the presentation slides are available [here](#). The final version of these Technical Specifications was published on April 29, 2019 and is available [here](#). For additional information, please refer to CAT Alert 2019-02, which is available [here](#). (See also Cboe Exchange Notice [C2019040300](#).)

In-Person Options Deep Dive – May 15, 2019 in Chicago

On **Wednesday, May 15, 2019, at 3:30PM CT**, CAT NMS, LLC and FINRA CAT, LLC, in coordination with Security Traders Association of Chicago, will be hosting an in-person Consolidated Audit Trail Options Deep Dive in Chicago. The event will be held at:

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Cboe Global Markets
4th Floor Auditorium
400 S LaSalle Street
Chicago, Illinois 60605

The event announcement is available on the CAT NMS website [here](#) and Industry Members can register for the event [here](#). (See *also* Cboe Exchange Notice [C2019042602](#).)

We understand that additional in-person events may be announced for other locations. Please refer to the CAT NMS, LLC's News Page for announcements. That News Page is located [here](#).

Additional Information

The FINRA CAT, LLC Helpdesk is the primary source for answers to questions about CAT, including questions regarding clock synchronization, firm reporting responsibilities, interpretive questions, technical specifications for reporting to CAT and more. The FINRA CAT Helpdesk can be reached by phone at 888-696-3348 or e-mail at help@finracat.com.

Industry Members are also reminded to visit www.catnmsplan.com for additional information, such as FAQs and industry webcasts, and updates regarding the status of the CAT. You may also subscribe for CAT email alerts [here](#).

For any other questions, please contact Cboe Regulatory Interpretations at RegInterps@cboe.com or 312-786-8141.