

## Tech Spec Working Group Q&A

August 29, 2019

1. Will CAT accept a limit price of 0.00 if an order is not a market order, but does not have a specified limit price?
2. If an industry member receives a response directly through an electronic "platform" used to send IOIs on an automated basis, but additional action is needed to "firm up" the order, when would the order be considered reportable?
3. Can Scenario 2.6.7 "Customer Cancels an Order that has Already Been Executed" be reviewed in further detail?
4. When will FINRA CAT publish a sample IMID and conflict list?
5. What value is expected to be populated in the "working price" field for ATSS
6. Table 6 of the IM Tech Spec identifies reporting responsibilities of the sender/receiver in scenarios between two broker-dealers. Is this guidance also applicable in scenarios where an order is routed from a broker-dealer to an exchange?
7. Is my firm required to report customer orders that were rejected upon receipt?
8. Failure Reports - if records in a file are rejected, if an entire file is rejected, or if there are warnings generated by a file, the feedback file will detail which records were rejected, why they were rejected, and at which stage of processing they were rejected. Is it possible to see additional scenario illustrations as this statement implies that file level and record level rejection information may be commingled?
9. Will Industry members be responsible for moving the data file from the upload directory to an upload complete directory? This is not something that is completed today in OATS and is an additional task for reporters.
10. How should the tapeTradeID field be populated when the reportingExceptionCode field is populated?