

SS&C Eze

SS&C CAT Reporting Portal

If you aren't already thinking about Consolidated Audit Trail (CAT), you should be!

With a go-live date of April 2020, it may seem like there is plenty of time to prepare for CAT reporting. But time is running out for those who have not yet registered as the CAT certification process begins in December 2019.

While the intention of CAT is to eventually replace OATS, CAT is not OATS+. CAT introduces sweeping changes to broker-dealer order reporting obligations.

CAT will track orders throughout their lifecycle and identify the broker-dealers handling them, allowing regulators to more efficiently track activity in Eligible Securities throughout the U.S. markets. Once the CAT goes live, over 58 billion order event records will be ingested daily across industry members. The new regulation requires you to submit reportable events directly to FINRA CAT. Having the right technology in place is critical to achieving compliance and avoiding fines.

Automate all your CAT Reporting Obligations with SS&C CAT Reporting Portal

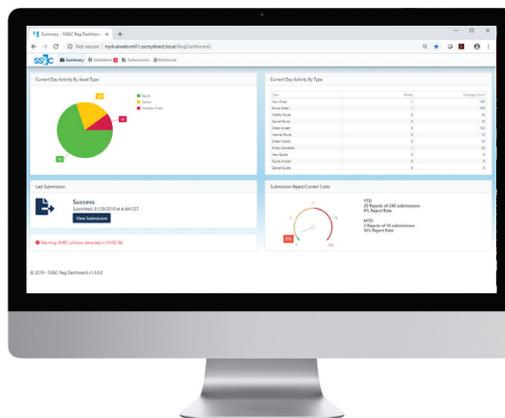
SS&C CAT Reporting Portal is the ultimate reporting tool to fully manage and automate the entire reporting lifecycle in compliance with CAT requirements. It is a secure, webbased portal that will aggregate your trade data, map to 32 reportable event types, enrich your data with new required fields like FDID (firm-designated ID), and then translate the data into a FINRA-compliant CAT report. It can integrate with Eze EMS, MarketTrader, as well as any third-party software or data sources. SS&C CAT Reporting Portal is backed by the same trusted team, the same support and reliability you have come to expect from SS&C Eze.

Upload and Consolidate

- Consolidate all reportable trading activity across disparate products, including Eze EMS and Market Trader
- Leverage flexible ingestion adapters by loading one or many CSV or JSON files
- Ensure consistency and reliability managing FDIDs across multiple data sets

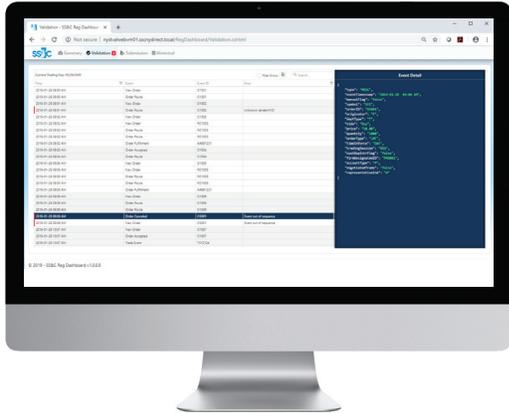
Key Benefits

- Consolidate reportable trading activity across your platforms, including Eze EMS and MarketTrader
- Ensure your data is in a CAT-reportable format
- Automate reporting to FINRA CAT
- Access a full audit trail of all reporting portal activity
- Leverage a dedicated support team pre and post-implementation



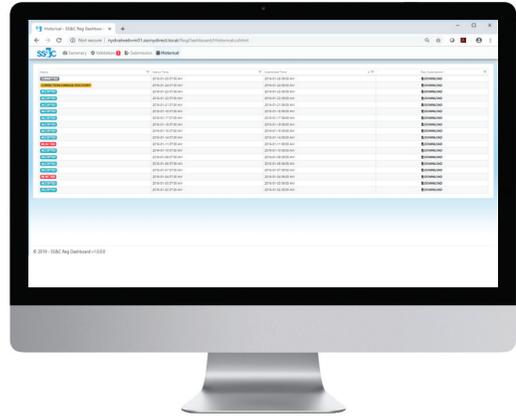
Validate and Translate

- Ensure all necessary data attributes are populated across 32 reportable event types
- Leverage an automated translation system which converts your data into a CAT-reportable format, adhering to each detailed provision of all required technical specifications



Audit and History

- Manage all reporting portal activity using a complete audit trail
- Recover previous submissions on demand with report history



Submit and Correct Errors

- Automate CAT reporting submissions (or choose a manual submission process) to FINRA CAT
- Generate alerts for any errors in the submission or feedback process
- Leverage support for handling over 160 error codes sent back from FINRA CAT
- Seamlessly adjust data and resubmit using error correction tools

Clock Synchronization

- Compliant with all clock synchronization requirements, including five-year log retention

High-Touch Service

From implementation to go-live, and beyond, our dedicated service team's partner with your operations and compliance teams to:

- Implement and test your CAT reports prior to go-live all the way through the December 2019 testing period
- Provide ongoing support following go-live for any unmatched or rejected events

Have You Registered Yet? Here's How To Do It!

- **If you HAVE NOT registered yet and would like SS&C and Eze to support your CAT reporting obligations:**
 - Go to: <https://www.finra.org/industry/consolidated-audit-trail-cat/cat-registration>
 - Select "Using Vendor" as the Primary CAT data source. Then type "SS&C Technologies" as the vendor name.
- **If you HAVE registered... that's OK! You can still use SS&C CAT Reporting Portal.**
 - Contact the FINRA CAT Helpdesk to update your registration at help@finracat.com or +1 888-696-3348.