
Monthly CAT Update

July 28, 2022

Agenda

- CAT NMS Plan, Exemptive Relief and Transaction Interpretive Updates
- Transaction Technical Specifications Updates
- CAIS Reporting Updates
- Compliance Updates
- Upcoming Industry Webinars and Other Updates
- Q&A
- Appendix- Transaction Production Statistics

CAT NMS Plan, Exemptive Relief and Transaction Interpretive Updates

CAT NMS Plan Update

- ▶ On July 8, 2022, the SEC issued an [order](#) granting temporary conditional exemptive relief from certain requirements in the CAT NMS Plan related to (1) online targeted query tool performance requirements; (2) requirements for lifecycle linkages timeframes; (3) requirements for re-processing of corrected data received after T+5; (4) requirements for SIP Data linkage; (5) reporting requirements for port-level settings; (6) requirements for lifecycle linkages between customer orders and “representative” orders; and (7) requirements for Participant reporting of rejected orders until July 31, 2024.
- ▶ On June 30, 2022, the Plan Participants submitted to the SEC a [request](#) for exemptive relief from certain requirements in the CAT NMS Plan related to industry member reporting of customer and account information by July 11, 2022.

New FAQs

- ▶ There are no new Transaction [FAQs](#).
- ▶ One Transaction [FAQ](#) was updated:
 - FAQ [B68](#) addresses how to populate the *accountHolderType* field when the same account is used for market making and non-market making proprietary activity.

Transaction Technical Specifications Updates

2022–23 IM Releases – Scope and Schedule

Release 2

Spec Publication – 3/25/2022

Industry Test Release – 5/16/2022

Production Release – 7/11/2022

Schema changes and related validations

- Add *accountHolderType* to allocation events
- Remove *TIDType* from allocation events

CAIS related validations & Statistics (Only in Test Environment)

- Validate FDID against CAIS data
- Daily statistics reflecting FDID errors
- Provide a new linkage summary feedback file containing missing or invalid FDIDs. **(Available 6/20/2022)**

Validations to address IM reporting errors

- Reject negative values in *price* fields for applicable events
- Enforce correct values on the *side* field for all events, including Trade Side Details, Firm Details, and Client Details.
- Provide updated guidance for populating the *underlying* field for Multi-Leg events.

Release 2.1

Production Release – 11/7/2022

CAIS related validations & Statistics

- Validate FDID against CAIS data
- Daily statistics reflecting FDID errors
- Provide a new linkage summary feedback file containing missing or invalid FDIDs.

* *FDID Errors on Report Cards (See 2023 Release 1)*

Release 3

Spec Publication – 7/29/2022

Industry Test Release – 10/3/2022

Production Release – 12/5/2022

Schema changes and related validations

- Add new event - MLOE
- Enforce requirements to populate *cancelQty*, *multiLegInd* on applicable events
- Change data type for *handlingInstructions* value CASH from Boolean to Price to capture actual monetary value instruction
- Enforce correct values on the *side* field in Leg Details
- Reject invalid values in the *underlying* field on Multi-Leg events
- Add *deskOrderID* field to Order Internal Route events to uniquely identify related events
- Add *priorDeskOrderID* field to Order Internal Route Modified events to uniquely identify related events
- Remove metadata file submission requirement and related file integrity errors.

2023 Release 1 – Scope TBD

Spec Publication – TBD

Industry Test Release – TBD

Production Release – TBD

Transaction Report Card

- FDID Errors in Transaction Report Cards will be included in January Report Card published on February 15th, 2023
- Report Cards by Process Date

Technical Specification Updates

- ▶ V4.0.0r16 of the Industry Member CAT Reporting Technical Specifications are scheduled to be published on Friday, July 29, 2022.

CAIS Reporting Updates

Industry Member Release Rollout

<p>Full CAIS Release 1 Industry Test – 1/31/2022 Production – 4/25/2022</p>	<p>Full CAIS Release 2a Industry Test – 3/28/2022 Production – 4/25/2022</p>	<p>Full CAIS Release 2b Industry Test – 4/11/2022 Production – 4/25/2022</p>	<p>Full CAIS Release 3a Industry Test – 5/25/2022 Production – 6/13/2022</p>	<p>Full CAIS Release 4 Industry Test – 6/26/2022 Production – 7/1/2022</p>
<p>Ingestion</p> <ul style="list-style-type: none"> • Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback • Feedback file contains up to 1,000 Rejections <p>CAIS Reporter Portal</p> <ul style="list-style-type: none"> • Manual File Upload • Manual Submission • Submission Feedback • Inconsistencies Feedback • Nightly Inconsistencies Report <p>Full CAIS Certification opened on 2/1/2022</p>	<p>Ingestion</p> <ul style="list-style-type: none"> • New DRIVERLICENSE Foreign TID Type • EIN Validation changed to format validation • Feedback file enhanced to include all Rejections feedback <p>CAIS Reporter Portal</p> <ul style="list-style-type: none"> • FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information) 	<p>Ingestion</p> <ul style="list-style-type: none"> • Remove OTHBKR and CP customerType values for Legal Entity Customer Records • Remove BROKERAGE and ADVISED values for accountType • Remove primeBrokerID and bankDepositoryID fields and add a new DVPCustodianID field 	<p>Ingestion</p> <ul style="list-style-type: none"> • New Authorized Trader Names List on FDID record • Increase <i>lastName</i> field length to 200 characters <p>Reports</p> <ul style="list-style-type: none"> • FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase <p>CAIS Reporter Portal</p> <ul style="list-style-type: none"> • FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase 	<p>Ingestion</p> <ul style="list-style-type: none"> • New OTHGOVT Foreign TID Type <p>Performance Enhancements</p> <ul style="list-style-type: none"> • CAIS file processing improvements <p>Minor Enhancements and Bug Fixes</p>

Industry Member Release Rollout

Full CAIS Release 5

Industry Test – 9/12/2022

Production – 9/26/2022

Performance Enhancements

- CAIS file processing improvements

CAIS Report Card Release

Report Card

- Full CAIS Compliance begins with the January Report Card published on February 15th, 2023
- Compliance Rates distinguished for Correspondent data

Industry Member Release Rollout – Planned Future Enhancements

Industry Test – TBD
Production – TBD

- INACTIVE End Reason
- Automated Transfer Procedure
- Optimization of error feedback

New and Updated CAIS FAQs

- ▶ One new CAIS [FAQ](#):
 - FAQ [Q63](#) addresses how an FDID Record must be reported to CAIS when the account holder is a foreign trust or foreign estate where an allowable Input Identifier value does not exist.
- ▶ No CAIS [FAQs](#) were updated.

CAIS Updates

- ▶ [CAT Alert 2022-01 – Phase 2e: Full CAIS Reporting Timeline and Interim Reporting Obligations](#) was published on July 12, 2022.
 - This CAT Alert describes the Full Customer and Account Information System (CAIS) reporting implementation schedule for Industry Members and CAT Reporting Agents to achieve Full CAIS Compliance by December 12, 2022.

Industry Member Timeline Design

Requirement	Date
Production Certification Deadline	July 25, 2022
Interim reporting obligation 1: CAT Submitters Partial Submissions. <ul style="list-style-type: none"> For a single date within the range specified, complete a scheduled partial submission to the Prod Environment in Full CAIS Format. FINRA CAT will begin contacting CAT Submitters on August 1 to schedule their partial submission dates. 	August 15 – September 15, 2022
Interim reporting obligation 2: All Industry Members – Submission of all FDIDs and Customers <ul style="list-style-type: none"> For a single date within the range specified, complete a scheduled submission of the FDID Population with CAT-Reportable activity between June 12, 2022 and September 30, 2022 to the Prod Environment in Full CAIS format. FINRA CAT will begin contacting all Industry Members on October 3 to schedule their specific reporting date. 	October 10 – October 31, 2022
Interim reporting obligation 3: Daily reporting of FDID and Customer Data <ul style="list-style-type: none"> All Industry members must begin daily reporting of FDID records and changes/additions for all CAT-Reportable Activity beginning June 12, 2022 through at least September 30, 2022. Corrections to reported data are not required until Interim Reporting Obligation 4. 	November 7, 2022
Interim reporting obligation 4: All outstanding Rejections and Material Inconsistencies addressed <ul style="list-style-type: none"> All outstanding rejections and Material Inconsistencies for all CAT-reportable activity beginning June 12, 2022 are resolved. 	December 5, 2022
Full CAIS Compliance date (Error correction timeline fully enforced) <ul style="list-style-type: none"> All error repair and material inconsistency resolution deadlines are enforced. 	December 12, 2022

- ▶ An [Announcement](#) was published and the [Timeline](#) was updated. Please see [CAT Alert 2022-01](#) for more information.

CAIS Checkpoint Calls

- ▶ The next [CAIS Industry Testing Checkpoint Call](#) will be on August 3, 2022 at 4:15 pm ET.
- ▶ The presentations and recordings are available for:
 - [07/27/2022 CAIS Industry Testing Checkpoint Call](#)
 - [07/20/2022 CAIS Industry Testing Checkpoint Call](#)
 - [07/13/2022 CAIS Industry Testing Checkpoint Call](#)
 - [07/06/2022 CAIS Industry Testing Checkpoint Call](#)
 - [06/29/2022 CAIS Industry Testing Checkpoint Call](#)

Other CAIS Industry Updates

- ▶ The [Small Firm Roadmap](#) to Full CAIS Compliance was updated and published on July 26, 2022
- ▶ The recording and presentation from the [7/20/2022 CAT CAIS Technical Specifications Working Group](#) is available on the CAT website
- ▶ Upcoming CAIS industry webinars:
 - 8/2/2022 [Part 1: Full CAIS Error Repairs, Corrections and Material Inconsistencies](#)
 - 8/3/2022 [Part 2: Full CAIS Error Repairs, Corrections and Material Inconsistencies](#)

Compliance Updates

Industry Member Report Card Updates

- ▶ The June 2022 CAT Industry Member Compliance Report Cards were published on July 15, 2022 and the Transaction Report Card was republished on July 25, 2022 due to a display issue.
- ▶ Compliance Resources:
 - [Industry Member Report Card- Known Issues List](#)
 - [CAIS Compliance Glossary](#)
 - [Transaction Compliance Glossary](#)
 - Previously Recorded and Posted [Report Card Webinars](#)

Upcoming Industry Webinars and Other Updates

SIFMA Test Announcement

- ▶ FINRA CAT will participate in the industry-wide SIFMA test on October 15, 2022
- ▶ Selected firms will be notified directly by FINRA CAT
- ▶ Test will be from 8:00 a.m. – 2:00 p.m. EST
- ▶ FINRA CAT will enable connectivity testing on September 24, 2022
- ▶ Testing will require participation from all SROs and selected Industry Members for both CAIS (LTID or Full CAIS) and Market Transaction submissions.

Monthly CAT Update Industry Webinars

- ▶ The next [Monthly CAT Update](#) will be held on August 23, 2022 at 9 am ET.
- ▶ The recording and presentation from the [June 28, 2022 Monthly CAT Update](#) is available.

FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com

Q&A

How to Ask a Question during Today's Call

- **For participants using computer audio:**
 - Click the “Raise Hand” button at the bottom of the participants window.
 - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
 - Enter *9 on your phone keypad.
 - An audio prompt will indicate that your line has been unmuted.

Appendix

Equities – Rolling Five Day Period

Initial T+1 vs. T+5 8 am Data Ready for Regulators

June 22, 2022 – July 6, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
6/22/2022	.0006%	.0006%	.0002%	.0030%	.0029%	.0679%	.0679%	.0017%	.0015%	.0493%	.0493%	.0400%	.0258%	.0169%	.0165%
6/23/2022	.0008%	.0005%	.0001%	.0030%	.0028%	.0630%	.0629%	.0018%	.0015%	.0462%	.0462%	.0279%	.0226%	.0161%	.0155%
6/24/2022	.0002%	.0012%	.0004%	.0028%	.0027%	.1301%	.1300%	.0924%	.0917%	.0297%	.0296%	.0306%	.0238%	.0295%	.0285%
6/27/2022	.0265%	.0005%	.0002%	.0028%	.0028%	.0557%	.0095%	.1337%	.1328%	.2427%	.0007%	.0511%	.0435%	.0805%	.0429%
6/28/2022	.0272%	.0004%	.0002%	.0024%	.0024%	.1255%	.0087%	.2326%	.1257%	.2352%	.0003%	.0372%	.0273%	.0964%	.0425%
6/29/2022	.0002%	.0004%	.0002%	.0026%	.0025%	.1126%	.0099%	.1691%	.1118%	.2118%	.0002%	.0330%	.0218%	.0587%	.0141%
6/30/2022	.0007%	.0004%	.0002%	.0022%	.0022%	.1011%	.1001%	.1676%	.1654%	.2094%	.2094%	.0371%	.0258%	.0571%	.0565%
7/1/2022	.0057%	.0003%	.0002%	.0023%	.0022%	.0695%	.0687%	.2032%	.1817%	.1791%	.1791%	.0257%	.0196%	.0588%	.0564%
7/5/2022	.4961%	.0069%	.0002%	.0008%	.0005%	.0750%	.0109%	1.4588%	.1090%	.1290%	.0082%	.0421%	.0294%	.6708%	.5095%
7/6/2022	.0061%	.0004%	.0002%	.0026%	.0026%	.0739%	.0122%	.1733%	.1053%	.0843%	.0119%	.0473%	.0296%	.0438%	.0213%

Equities – Rolling Five Day Period

Initial T+1 vs. T+5 8 am Data Ready for Regulators

July 7, 2022 – July 21, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
7/7/2022	.0009%	.0008%	.0004%	.0029%	.0028%	.0246%	.0213%	.1648%	.1632%	.0377%	.0004%	.0330%	.0232%	.0277%	.0217%
7/8/2022	.1782%	.0010%	.0004%	.0028%	.0027%	.0179%	.0168%	.5784%	.1225%	.0003%	.0003%	.0339%	.0313%	.2397%	.1942%
7/11/2022	.0041%	.0085%	.0033%	.0036%	.0027%	.0250%	.0159%	.1413%	.1357%	.0004%	.0004%	.0533%	.0318%	.0317%	.0244%
7/12/2022	.0186%	.0028%	.0021%	.0017%	.0010%	.0215%	.0172%	.1717%	.1369%	.0036%	.0005%	.0448%	.0220%	.0422%	.0368%
7/13/2022	5.7793%	.0018%	.0016%	.0042%	.0040%	.0139%	.0070%	4.5143%	.1205%	.0016%	.0009%	.0533%	.0331%	6.2305%	5.7961%
7/14/2022	.0331%	.0022%	.0019%	.0029%	.0028%	.0169%	.0001%	.1897%	.1569%	.0010%	.0002%	.1066%	.0291%	.0580%	.0526%
7/15/2022	.0022%	.0070%	.0032%	.0035%	.0034%	.0856%	.0001%	.0964%	.0508%	.0006%	.0005%	.0310%	.0284%	.0299%	.0130%
7/18/2022	.0513%	.0038%	.0037%	.0037%	.0032%	.3166%	.0374%	.0529%	.0480%	.0007%	.0006%	.0597%	.0506%	.0943%	.0658%
7/19/2022	.0014%	.0033%	.0031%	.0035%	.0034%	.0466%	.0032%	.0568%	.0485%	.0006%	.0006%	.0341%	.0310%	.0177%	.0122%
7/20/2022	4.0678%	.0030%	.0028%	.0032%	.0031%	.0386%	.0026%	3.2512%	.0442%	.0005%	.0005%	.0375%	.0348%	4.4023%	4.0773%
7/21/2022	.0002%	.0029%	.0026%	.0036%	.0034%	.0358%	.0004%	.0489%	.0470%	.0011%	.0006%	.0336%	.0280%	.0144%	.0100%

Options – Rolling Five Day Period

Initial T+1 vs. T+5 8 am Data Ready for Regulators

June 22, 2022 – July 6, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
6/22/2022	.0117%	.0001%	.0001%	.0018%	.0013%	.1082%	.1013%	.2523%	.0166%	.0167%	.0166%	.4768%	.4704%	.0227%	.0178%
6/23/2022	.0761%	.0001%	.0000%	.0018%	.0016%	.1063%	.0989%	.3475%	.0183%	.0168%	.0043%	.6755%	.6755%	.0900%	.0804%
6/24/2022	.0152%	.0024%	.0023%	.0030%	.0028%	.1205%	.1137%	.3463%	.0428%	.0237%	.0086%	.4639%	.4639%	.0347%	.0246%
6/27/2022	.0001%	.0002%	.0002%	.0035%	.0034%	.0975%	.0913%	.0198%	.0193%	.0200%	.0092%	1.0132%	.6349%	.0099%	.0069%
6/28/2022	.0004%	.0003%	.0002%	.0019%	.0016%	.1048%	.0968%	.0786%	.0702%	.0213%	.0089%	.6977%	.6751%	.0104%	.0067%
6/29/2022	.0000%	.0002%	.0001%	.0013%	.0012%	.1158%	.1054%	.0221%	.0214%	.0255%	.0069%	.8655%	.8081%	.0095%	.0045%
6/30/2022	.0000%	.0004%	.0001%	.0022%	.0022%	.1078%	.1018%	.0246%	.0226%	.0288%	.0279%	.8837%	.8780%	.0113%	.0107%
7/1/2022	.0008%	.0007%	.0002%	.0015%	.0015%	.1232%	.1230%	.0452%	.0281%	.0354%	.0353%	.6512%	.5302%	.0139%	.0132%
7/5/2022	.0126%	.0002%	.0001%	.0012%	.0012%	.1663%	.0918%	.0321%	.0313%	1.0116%	.0147%	.6575%	.4992%	.2800%	.0185%
7/6/2022	.0648%	.0006%	.0001%	.0012%	.0012%	.1639%	.0937%	.2122%	.0341%	1.8575%	.0425%	.4018%	.3215%	.5620%	.0781%

Options - Rolling Five Day Period

Initial T+1 vs. T+5 8 am Data Ready for Regulators

July 7, 2022 - July 21, 2022

Trade Date	Late%	Rejection Initial	Rejection Adjusted	Intrafirm Initial	Intrafirm Adjusted	Interfirm Sent Initial	Interfirm Sent Adjusted	Interfirm Received Initial	Interfirm Received Adjusted	Exchange Initial	Exchange Adjusted	Trade Initial	Trade Adjusted	Overall Error Rate Initial	Overall Error Rate Adjusted
7/7/2022	.0008%	.0007%	.0003%	.0020%	.0014%	.1582%	.0913%	.0398%	.0395%	.0232%	.0072%	.5705%	.5556%	.0110%	.0053%
7/8/2022	.0004%	.0005%	.0003%	.0019%	.0014%	.1025%	.0887%	.0447%	.0443%	.0216%	.0074%	.4561%	.4272%	.0092%	.0049%
7/11/2022	.0030%	.3394%	.0069%	.1672%	.0014%	.0758%	.0676%	.6855%	.0343%	.0209%	.0078%	.8221%	.6823%	.4802%	.0139%
7/12/2022	9.0866%	.3553%	.0039%	.1415%	.0015%	.0746%	.0673%	.4014%	.0322%	.0386%	.0067%	.5038%	.4966%	9.5293%	9.0619%
7/13/2022	.0001%	.0050%	.0043%	.0041%	.0022%	.1055%	.0890%	.0550%	.0381%	.0472%	.0109%	.2904%	.2904%	.0219%	.0099%
7/14/2022	.0793%	.0042%	.0037%	.0041%	.0023%	.1602%	.1191%	.0948%	.0438%	.0775%	.0381%	.3340%	.2816%	.1090%	.0958%
7/15/2022	.0365%	.0046%	.0037%	.0022%	.0018%	.1588%	.1501%	.0660%	.0511%	.1316%	.0799%	.4364%	.3646%	.0796%	.0646%
7/18/2022	.0001%	.0056%	.0042%	.0041%	.0028%	.1324%	.1240%	.0607%	.0412%	3.0471%	1.5469%	.3666%	.2356%	.8080%	.4127%
7/19/2022	.0000%	2.1498%	.0034%	.0021%	.0018%	.0916%	.0859%	.0517%	.0386%	15.7218%	.0712%	.9046%	.6253%	6.4981%	.0254%
7/20/2022	.0001%	.0047%	.0040%	.0030%	.0024%	.1774%	.1671%	.0643%	.0522%	.1323%	.0564%	.1395%	.1341%	.0438%	.0225%
7/21/2022	.0001%	.0067%	.0039%	.0030%	.0019%	.1742%	.1628%	.1807%	.0550%	.0923%	.0331%	.3263%	.3263%	.0358%	.0157%

Equities – Industry Aggregate Trade Date Statistics June 22, 2022 – July 6, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-06-22	39,683,019,893	39,682,689,791	8,253,999	9,229,182
2022-06-23	42,417,818,134	42,417,506,525	8,228,996	9,235,445
2022-06-24	32,668,733,551	32,668,304,009	6,991,017	7,831,772
2022-06-27	38,371,482,465	38,371,244,936	10,245,122	16,479,672
2022-06-28	40,907,449,881	40,907,245,920	11,126,771	17,367,432
2022-06-29	42,362,198,381	42,360,505,985	211,803	6,021,907
2022-06-30	45,590,340,709	45,590,140,595	820,623	6,787,337
2022-07-01	42,764,522,540	42,754,652,420	2,736,298	9,177,591
2022-07-05	47,250,365,566	47,247,058,656	234,912,376	240,735,961
2022-07-06	46,001,852,354	46,001,622,554	3,496,123	9,783,646

Equities – Industry Aggregate Trade Date Statistics July 7, 2022 – July 21, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-07-07	31,263,597,747	31,263,319,751	343,897	6,812,899
2022-07-08	36,010,813,316	36,010,442,010	64,278,639	70,010,460
2022-07-11	35,403,468,573	35,378,549,903	1,485,899	8,666,647
2022-07-12	38,239,986,444	38,238,843,982	7,150,664	14,092,562
2022-07-13	45,955,941,812	45,953,321,433	2,655,826,259	2,663,693,104
2022-07-14	41,978,177,375	41,977,217,325	14,020,391	22,174,870
2022-07-15	32,900,198,583	32,897,881,830	723,753	4,273,304
2022-07-18	33,525,558,996	33,524,257,608	17,298,517	20,884,859
2022-07-19	30,479,908,861	30,478,862,533	426,704	3,723,201
2022-07-20	37,259,663,364	37,257,458,061	1,515,335,334	1,519,027,160
2022-07-21	37,887,055,584	37,885,688,477	75,771	5,163,802

Options – Industry Aggregate Trade Date Statistics June 22, 2022 – July 6, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-06-22	5,791,004,345	5,790,945,522	1,806,775	1,952,759
2022-06-23	5,917,156,625	5,917,139,844	4,502,943	4,760,988
2022-06-24	5,888,733,276	5,888,580,769	1,678,246	2,231,921
2022-06-27	5,970,718,934	5,970,695,727	1,074,725	1,377,820
2022-06-28	6,266,147,709	6,266,113,135	964,981	1,271,968
2022-06-29	6,067,307,200	6,067,200,510	72,806	279,866
2022-06-30	6,337,600,640	6,337,543,635	1,007,669	1,235,559
2022-07-01	6,015,944,740	6,015,889,106	246,651	469,549
2022-07-05	6,539,996,599	6,539,957,276	1,013,693	1,211,413
2022-07-06	6,591,426,090	6,591,376,177	4,475,544	5,152,500

Options – Industry Aggregate Trade Date Statistics July 7, 2022 – July 21, 2022

Trade Date	Processed	Accepted	Late	Overall Errors Count
2022-07-07	6,295,407,830	6,295,350,209	88,135	331,399
2022-07-08	6,358,290,533	6,358,249,217	31,791	314,125
2022-07-11	6,238,956,671	6,215,806,343	335,654	867,097
2022-07-12	6,504,564,652	6,481,446,570	588,943,124	589,437,974
2022-07-13	6,451,285,269	6,450,948,468	6,451	640,734
2022-07-14	6,474,238,097	6,473,957,301	5,140,322	6,196,421
2022-07-15	6,375,659,810	6,375,353,888	2,327,004	4,118,554
2022-07-18	6,388,699,493	6,364,035,321	318,202	1,969,605
2022-07-19	6,686,687,679	6,542,923,571	0	1,696,997
2022-07-20	6,432,741,899	6,432,423,392	0	1,445,114
2022-07-21	6,218,534,871	6,218,108,131	6,218	1,820,331