Introduction

The Customer and Account Reporting Disclosure Form is used for two purposes:

(1) Type 1 Disclosure (optional): Industry Members and CAT Reporting Agents may choose to self-report issues related to an Industry Member's Customer and Account Information ("CAIS") submissions (e.g., erroneously reported Customer and Account Information, non-reporting or other data issues). This type of disclosure is not required.

(2) Type 2 Disclosure (required): Industry Members and CAT Reporting Agents must use this Form to notify FINRA CAT of changes in Firm Designated ID ("FDID") associated with a trading account prior to such information being reported to CAT CAIS.

Please refer to **CAT Alert 2021-02** prior to completing this Form. Contact the **FINRA CAT Helpdesk** with any questions.

The information provided may be shared with one or more of your CAT reporting regulators.

Industry Members must not disclose personally identifiable information ("PII") on the Form.

Industry Members must not provide FDID mapping information to FINRA CAT on this Form.

Once submitted, the information in this Form cannot be edited by the submitter. Upon submission, you may print a full copy of the Form for books and records.

Sample

Part 1. Administrative and Contact Information

Instructions

- Complete all required fields (marked with an asterisk).
- Complete all other applicable fields.
- Select "Next" to proceed to Part 2, Identification of Customer and Account Information ("CAIS") Data Issue.

Please refer to **CAT Alert 2021-02** prior to completing this Form. Contact the **FINRA CAT Helpdesk** with any questions.

1. Disclosure Status:*

○ New Disclosure
○ Subsequent Submission

2. FINRA CAT Helpdesk Case Number:

3. Confirm FINRA CAT Helpdesk Case Number:

4. Date of Initial Disclosure Submission:

5. Contact Name:*

6. Email Address:*

7. Confirm Email Address:*

8. Phone Number:*

Sample

9. Additional Contacts:

Part 2. Identification of Customer and Account Information ("CAIS") Data Issue

Instructions

- Complete all required fields (marked with an asterisk).
- Complete all other applicable fields.
- Select "Previous" to return to Part 1. Administrative and Contact Information
- Select "Next" to proceed to Part 3. Resolution and Correction of Customer and Account ("CAIS") Data submissions. Completion of Part 3 is not required in order to Submit this form. The Submit button is located in Part 3.

Please refer to **CAT Alert 2021-02** prior to completing this Form. Contact the **FINRA CAT Helpdesk** with any questions.

10. CAT Reporter Name (Firm name):*

11. CAT Reporter CRD (Firm CRD):*

12. CAT CAIS Submitter type:*

- Self-Reporting CAT Submitter
- CAT Submitter Using CAT Reporting Agent
- CAT Reporting Agent

12a. Identity of CAT Reporting Agent (s) and Submitter ID:

12b. Identity of CAT Reporter (s) CRD Number(s):

Sample

13. Type of Disclosure*:

○ Type 1 Disclosure: Disclosing Issues with Customer and Account Information Submissions (e.g., erroneously reported Customer and Account Information or other data issues).

○ Type 2 Disclosure: Disclosing Changes in FDID.

14. Description of Disclosure **Do Not Provide PII or FDID Mapping**:*

If Type 1 Disclosure: For erroneous data submissions, list the fields impacted (e.g. fdidRecordID, firmDesignatedID, replacedByFDID, etc.) and relevant Submission File Name and CAIS-assigned submissionID. For non-reporting, indicate a failure to report to CAT CAIS.
Type 2 Disclosure: A description of the reason(s) why the FDID(s) changed.

15. Start Date:*

If Type 1 Disclosure: first date that the issue occurred.
If Type 2 Disclosure: date the FDID(s) changed.

16. Start Time:

17. Date Detected:

18. Time Detected:

19. Description of Detection Method:

20. Impact Count:

Sample

Part 3. Resolution and Correction of Customer and Account ("CAIS") Data submissions

Instructions

- Complete all applicable fields.
- Select "Previous" to return to Part 2. Identification of Customer and Account Information ("CAIS") Data Issue
- Select "Submit" to submit the Form.
- Once the Form has been submitted, select "Print" to print a copy of the Form for books and records.

Upon submission of the Form and processing by FINRA CAT (usually within one business day), an email will be sent to the email address provided in Part 1. This email will certify submission and provide a Case Number. Save or Print a copy of this email for books and records.

Please refer to **CAT Alert 2021-02** prior to completing this Form. Contact the **FINRA CAT Helpdesk** with any questions.

21. Date Issue Was Corrected:

22. Time Issue Was Corrected:

☐ 23. Issue is Ongoing:

24. Were Mitigation Measures Taken:
- ○ Yes
- ○ No

25. Description of Mitigation Measures Taken:

26. Submission of the Corrected or Unreported Data:
- ○ No
- ○ Yes

Sample

27. Details Regarding the Submission of the Corrected or Unreported Data:

28. Other Details Regarding this Disclosure:

Sample