



CAT

Counterparty Contact Utility Onboarding Guide

The Financial Information Forum (FIF) The Financial Information Forum (FIF) has launched a CAT Counterparty Contact Utility (“Utility”), a secure central repository of CAT counterparty contact information. Upon request and approval, brokers will be permitted to access the Utility to obtain the contact information of counterparties on an accelerated basis. The Utility will facilitate compliance with the CAT requirement that obligates brokers to repair interfirm linkage errors by T+3 (trading day of the event (T) + three trading days). Access to the Utility will be made available to all CAT reporting brokers, regardless of whether the broker is a current FIF Member.

How does my firm gain access to the Utility?

1. The Utility is accessible through the private FIF page: <https://fif.com/cat-contacts>.
2. Access to the Utility is restricted to CAT Reporters and Agents only.
3. Access to the Utility is contingent upon: 1) the CAT reporting broker-dealer electing to voluntarily “opt-in” to the utility; and 2) an authorized representative of the broker-dealer affirmatively attesting to the Utility’s Terms of Acceptable Use described below.
4. In order to complete the steps below, make sure you are registered as a FIF user. If you’re currently not a FIF user, you can register here: <https://fif.com/index.php/register>
5. Before access to the Utility is granted, brokers must provide their firm’s CAT contact information. Required information includes: 1) Broker name; 2) CAT Contact Name; 3) Email; 4) Phone; and 5) Firm CRD#. If you are the first member of your firm to request access to the Utility, please provide your firm’s contact information [here](#).
6. Once the access request is received by FIF Staff, we will review and grant access to the page if steps 3-5 are validated.
7. If your firm wishes to have multiple points of contact listed on the Utility, each additional contact must complete and submit the [form](#), and request access separately.
8. If your firm requires multiple staff to have viewing access of the Utility, each staff member must request access for the Utility separately by emailing the Program Office at fifinfo@fif.com.
9. Once access is granted by FIF, return to <https://fif.com/cat-contacts> to find the Utility.
10. The Utility is view-only and cannot be edited by non-FIF Staff.

To better facilitate complete resolution of interfirm mismatches, FIF is opening the Utility to all CAT Reporting Broker-Dealers, whether they are FIF Members or not. We encourage every CAT Reporter to opt-in to the Utility; please share the existence of this Utility with your respective counterparties. If you have any questions, please contact us at fifinfo@fif.com



About FIF:

FIF is an industry trade group comprised of over 100 broker-dealers, exchanges, and financial technology vendors. Established in 1996, FIF seeks to address and resolve open implementation issues that impact the securities industry across the order lifecycle. FIF working groups provide our members with a collaborative environment to discuss critical issues amongst a broad range of subject matter experts. The open communication and sharing of industry best practices fostered by FIF helps our members gain a better understanding of the implementation impact of new initiatives and assists in their development of cost-effective solutions. FIF frequently informs the regulators of the implementation impact of new initiatives and offers alternative solutions through formal comment letters and in-person meetings. For more information or to become a FIF Member, email us at fifinfo@fif.com.

Terms of Acceptable Use: The Utility is restricted to persons (“Authorized Users” or “Users”) employed by or act as a CAT Reporting Agent (“Agent”) of a CAT Reporting Broker.[1] The sole purpose of the Utility is to provide Brokers and/or their Agent(s) with a centralized repository of CAT contact information to facilitate and accelerate the CAT interfirm exception reconciliation process. Authorized Users are limited to 1) the Requestor; and 2) the firm’s Agent. Access to the Utility is conditioned upon the following: 1) the Requestor is a current employee of a CAT Reporting Broker or it’s Agent; 2) the Requestor and (if applicable) their Agent agrees to any and all Provisions of the Terms of Acceptable Use, Disclaimer, and any other guidelines the Financial Information Forum (“FIF”) has or will publish regarding appropriate use of the Utility ; 3) the requestor provides FIF with their firm’s CAT contact information, if not previously provided; 4) if the Broker outsources CAT Error Reconciliation obligations to a vendor, the Requester may provide the contact details of that vendor; 5) the User agrees to immediately inform FIF should the User’s or Agent’s employment/contract at the broker of record be terminated, whether voluntary or otherwise; 6) the User acknowledges that User access to the Utility is granted to the User only, not the firm. The User agrees not to share login credentials with any other person for any reasons

Disclaimer: The Financial Information Forum (“FIF”) and its affiliates, partners, members, and individual subscribers disclaim all liability resulting from all claims, losses or damages, whether direct, indirect, incidental, or consequential arising from any and all use of the Utility. FIF is not responsible for any errors or omissions in the information contained in or accessed through the Utility. All such information in the Utility is self-reported by Brokers and is provided “as is.” FIF and its affiliates make no warranties or representations and disclaim all express, implied and statutory warranties of any kind to any party resulting from the use of the Utility.

[1] For the purpose of the Utility, Agents are defined entities who have a legal relationship with a CAT Reporter in place that specifies that the entity is responsible for the management of the CAT error identification and reconciliation process on behalf of the CAT Reporter Broker. Examples of Agents include but may not be limited to: 1) Clearing Firms; 2) OMS/EMS Vendors; 3) Service Bureaus; 4) CAT Reporting Vendors.