

Are you ready to rise to the CAT challenge?

INTRODUCTION

For U.S. broker-dealers to be ready for the first go-live phase of CAT implementation, they will need to start Phase2A industry testing in August 2019 and complete it by November 2019.

Here is your CAT preparation timeline:

- **October 2018**
Select a provider
- **February 2019**
Solution onboarding/implementation
- **May/June 2019**
Begin internal testing
- **July 2019**
End internal testing
- **August 2019**
Begin Phase2A industry testing
- **November 2019**
Complete Phase2A industry testing and first go-live of CAT

Use the following checklist to help your firm get on track with the CAT deadlines.

Which of your internal systems and/or scope of events will likely be impacted by CAT?

- Front-Office Trading (OMS/EMS)
- Transaction Processing
- Books and Records (client data)
- Middle Office/Allocation
- Risk, Compliance and Regulatory Reporting (e.g. EBS)
- Other: _____

What type of solution does the provider offer?

- An industrialized or mutualized solution, such as an industry utility or shared service, for multiple firms?
- A standard, one-size-fits-all solution?
- A tailored solution that can flex to your firm's specific business rules?
- Other: _____

At what stage does this solution currently stand? (choose one)

- Proof of concept or early development
- Initially developed and alpha or beta tested
- Developed but not yet QA or benchmark tested
- Developed and QA or benchmark tested
- Production ready
- Other: _____

Does the provider allow your firm to influence solution design and/or enhancements?

- Yes
- No

Given the CAT solution/service offering, does the provider's solution require your internal teams to:

<i>Evaluate data coming from your other systems?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Enrich data using rules prior to submission?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Bring together disparate sources of data?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Tie pre- and post-submission errors back to the source system?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Validate and place data into the right model before it reaches the provider's tool?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Take responsibility for protecting existing processes from disruption or impact of CAT reporting?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
<i>Onboard and maintain the system?</i>	<input type="checkbox"/> Yes
	<input type="checkbox"/> No



NEXT STEPS

Getting started today gives you greater control over the risk, complexity and impact of your CAT implementation.

[Click here to learn how to prepare for CAT](#)

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