

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 an Agent, the Requestor must provide the contact details of their Agent; 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 reason.

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.