

TSWG (CAIS) Q&A
6/15/2021

1. When an account changes from an individual to a joint account, how should such information be reported to CAIS?
2. Can you give a few examples of how a firm would report multiple addresses to CAIS?
3. The current CAIS CCID Spec only allows for the reporting of four addresses for FDID records and customer records. If an Industry Member maintains more than four addresses for an account or customer, how should that be reported to CAIS?
4. For certain types of entities, firms can record either an EIN or the SSN. How should this be submitted to CAIS?
5. How should Industry Members report proprietary inventory accounts to CAIS?
6. If an Industry Member acquires another Industry Member, is the Acquiring Industry Member required to maintain and report the same ULTIDs as the Acquired Industry Member? If yes, this may result in duplication of ULTIDs at the Acquiring Industry Member.
7. There is a scenario where an Executing Broker has a customer that is a Large Trader and the FDID is based on a Relationship ID. In addition, the Executing Broker clears through a Clearing Firm. Is the Executing Broker required to report the LTID to CAIS if the customer only assigns LTIDs at the subaccount level?
8. For an FDIDs that represent trading relationships (i.e., Relationship ID), how should the *role* of the customer's trading relationship be reported to CAIS?
9. In some cases, it could take time before an Industry Member firm receives all CAIS-reportable information from the account customer(s). How should this be reported?
10. Can CAIS support a scenario where an Industry Member closes a Customer account and ends the associated FDID in CAIS, and then later re-activates the same account with the same Customer at a later date?