

# **CAT CAIS Industry Member Reporting Scenarios**

**6/29/2021**

**Version 2.0**

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# Executive Summary

This document is a companion document to the [CAT Reporting Customer and Account Technical Specifications for Industry Members \("Technical Specifications"\)](#) and is provided to assist Industry Members in implementing the reporting requirements laid out in the Technical Specifications. This document illustrates the specific reporting requirements for customer and account information (as defined in the CAT NMS Plan). The scenarios illustrate the reporting requirements for Phase 2e, the Full Customer and Account Phase. Refer to the LTID Phase [Industry Member Reporting Scenarios Documents](#) for LTID Phase reporting requirements.

The reporting scenarios are presented in a separate document from the Technical Specifications to provide the greatest flexibility in the ability to modify or add scenarios as new questions are presented and data practices evolve. It is expected that changes and additions will be necessary for reporting scenarios with greater frequency than changes to the Technical Specifications that would be required when record format, field value changes, etc., occur. By maintaining a separate reporting scenarios document, reporting scenarios may be clarified or added without the need for a new version of the Technical Specifications.

This document contains interpretive guidance for Industry Member CAT Reporters with respect to how the Technical Specifications must be implemented. As such, any changes to this document are subject to the same review and approval process by the Operating Committee, pursuant to the CAT NMS Plan, as the Technical Specifications.

An archived version of the revision/change log detailing changes to previous versions of this document is available at [www.catnmsplan.com](http://www.catnmsplan.com).

Version	Date	Author	Description
2.0	6/29/2021	Consolidated Audit Trail, LLC	Initial Publication for Full Customer and Account Phase

## **1. Introduction**

This document is organized by reporting scenarios. For each scenario, a description of the scenario along with a diagram is provided and then is followed by specific JSON examples, illustrating the correct values to be populated for each field. All examples are illustrative and do not identify all applicable fields.

All names, addresses, and identifiers data used for examples in the customer and account information reports are purely fictional for illustrative purposes only. Any resemblance to actual persons, organizations, or locations is purely coincidental.

All Transformed Identifiers (“TIDs”) included in the examples for Social Security Numbers, Individual Taxpayer Identification Numbers, or Employer Identification Numbers (collectively, SSN/ITIN and EIN), are generated from values that are outside of the acceptable range of assignment by the assigning body, and would fail CAT data validations if actually reported to the Customer & Account Information System (“CAIS”).

## 2. Single Customer Account Examples

This section illustrates sample scenarios for a single customer associated to a reported account. Each scenario will include a brief description and examples of the data for inclusion in the CAIS Data File and CAIS Transformed Identifiers (TIDs) File. Refer to Section 4 of the [CAT Reporting Customer and Account Technical Specifications for Industry Members](#) for additional information.

### 2.1. Firm Owned Account Scenarios

#### 2.1.1. Firm Owned Account with only Employees authorized to trade

This scenario illustrates the CAT reporting requirements when a CAT Reporter Firm is reporting a firm-owned account, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the CAT Reporter Firm. The CAT Reporter Firm is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account, and the CAT Reporter Firm is not required to report their employees as Authorized Traders on the account. For purposes of this example, the CAT Reporter firm only stores the Address for the FDID record, and as such no Address is reported on the CAT Customer record. The *customerType* is set as 'BD', since the CAT Reporter firm is a US registered Broker/Dealer. The CAT Reporter firm also reports their Large Trader ID and Legal Entity Identifier (LEI).

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 1,       "firmDesignatedID": "Our Firms Acct Record",       "fdidType": "ACCOUNT",       "accountType": ["FIRM", "BROKERAGE"],       "accountName": "PropAcct1",       "branchOfficeCRD": 13245,       "fdidDate": 20050821,       "addressList": [         {           "addrType": "ADDRESS1",           "addrLine1": "1 WATERS ST",           "addrLine2": "TRADING DESK 15",           "city": "JERSEY CITY",           "regionCode": "US-NJ",           "countryCode": "US",           "postalCode": "07097"         }       ],       "largeTraderList": [         {           "largeTraderRecordID": 1,           "largeTraderID": "12345678-0001",           "ltidEffectiveDate": 20150101         }       ]     }   ] } </pre>

File	Data
	<pre> ],   "fdidCustomerList": [     {       "customerRecordID": 1,       "role": "TRDHOLDER",       "roleStartDate": 20050821     }   ] }, ], "legalEntityCustomerList": [   {     "customerRecordID": 1,     "legalName": "CAT Reporter Firm Name",     "customerStartDate": 20050821,     "ein": "11-2233445",     "customerType": ["BD"],     "lei": "L49S8SWR48C4MFGH8ZH1"   } ] } </pre>
TIDs	<pre> {   "tidRecordList": [     {       "customerRecordID": 1,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     }   ] } </pre>

**2.1.2. Reporting Multiple Firm Owned Accounts**

This scenario illustrates the CAT reporting requirements when a CAT Reporter Firm is reporting multiple accounts that are owned by the firm, where the only CAT Customer on the accounts is the firm itself and the only parties authorized to trade in the accounts are employees of the CAT Reporter Firm. The CAT Reporter Firm is not required to report their employees as Authorized Traders on the accounts. It is acceptable to report all of the accounts in association with a single *customerRecordID* value within the file, so that the firm does not need to duplicate the data of the CAT Customer for each account. In this reporting structure, the single *customerRecordID* is associated to each FDID, however the CAT Customer data is present only once within the CAIS Data file and the TIDs file. The below example has 3 FDIDs, each with an association to the single *customerRecordID* value.

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 1,       "firmDesignatedID": "Our Firms Acct Record", </pre>

File	Data
	<pre> "fdidType": "ACCOUNT", "accountType": ["FIRM","BROKERAGE"], "accountName": "PropAcct1", "branchOfficeCRD": 13245, "fdidDate": 20050821, "addressList": [   {     "addrType": "ADDRESS1",     "addrLine1": "1 WATERS ST",     "addrLine2": "TRADING DESK 15",     "city": "JERSEY CITY",     "regionCode": "US-NJ",     "countryCode": "US",     "postalCode": "07097"   } ], "largeTraderList": [   {     "largeTraderRecordID": 1,     "largeTraderID": "12345678-0001",     "ltidEffectiveDate": 20150101   } ], "fdidCustomerList": [   {     "customerRecordID": 1,     "role": "TRDHOLDER",     "roleStartDate": 20050821   } ] }, { "fdidRecordID": 2, "firmDesignatedID": "SecondaryAcct", "fdidType": "ACCOUNT", "accountType": ["FIRM","MARKET"], "accountName": "MrktMkr", "branchOfficeCRD": 13245, "fdidDate": 20120301, "addressList": [   {     "addrType": "ADDRESS1",     "addrLine1": "1 WATERS ST",     "addrLine2": "TRADING DESK 15",     "city": "JERSEY CITY",     "regionCode": "US-NJ",     "countryCode": "US",     "postalCode": "07097"   } ], "largeTraderList": [   {     "largeTraderRecordID": 1,     "largeTraderID": "12345678-0001",     "ltidEffectiveDate": 20150101 </pre>

File	Data
	<pre>     }   ],   "fdidCustomerList": [     {       "customerRecordID": 1,       "role": "TRDHOLDER",       "roleStartDate": 20120301     }   ] }, {   "fdidRecordID": 3,   "firmDesignatedID": "AnotherFirmAccount",   "fdidType": "ACCOUNT",   "accountType": ["FIRM", "BROKERAGE"],   "accountName": "AnotherFirmAccount",   "branchOfficeCRD": 981023,   "fdidDate": 20191201,   "addressList": [     {       "addrType": "ADDRESS1",       "addrLine1": "1 WATERS ST",       "addrLine2": "TRADING DESK 15",       "city": "JERSEY CITY",       "regionCode": "US-NJ",       "countryCode": "US",       "postalCode": "07097"     },     {       "addrType": "ADDRESS2",       "addrLine1": "253 MAIN ST",       "city": "JACKSONVILLE",       "regionCode": "US-FL",       "countryCode": "US",       "postalCode": "32034"     }   ],   "largeTraderList": [     {       "largeTraderRecordID": 1,       "largeTraderID": "12345678-0001",       "ltidEffectiveDate": 20191201     }   ],   "fdidCustomerList": [     {       "customerRecordID": 1,       "role": "TRDHOLDER",       "roleStartDate": 20191201     }   ] } ], "legalEntityCustomerList": [   { </pre>



File	Data
	<pre> "customerRecordID": 1, "legalName": "CAT Reporter Firm Name", "customerStartDate": 20050821, "ein": "11-2233445", "customerType": ["BD"], "lei": "L49S8SWR48C4MFGH8ZH1" } ] } </pre>
TIDs	<pre> { "tidRecordList": [ { "customerRecordID": 1, "tidType": "EIN", "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0" } ] } </pre>

The following example is an alternative reporting approach to the same scenario above, in which the CAT Reporter Firm repeats the CAT Customer information across multiple *customerRecordID* values. The CAT Reporter Firm must ensure the data for each instance of the CAT Customer meets the CAIS Technical Specification requirements for consistent data across each instance. In this reporting structure, the same CAT Customer is reported with multiple *customerRecordID* values, one for each association to the FDID record. The data for the CAT Customer is repeated within the CAIS Data file as well, once for each *customerRecordID*, and the same TID value is repeated within the TIDs file for each *customerRecordID*. The below example has 3 FDIDs with 3 different *customerRecordID* values.

File	Data
Data	<pre> { "fdidRecordList": [ { "fdidRecordID": 1, "firmDesignatedID": "Our Firms Acct Record", "fdidType": "ACCOUNT", "accountType": ["FIRM", "BROKERAGE"], "accountName": "PropAcct1", "branchOfficeCRD": 13245, "fdidDate": 20050821, "addressList": [ { "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" } ] } ] } </pre>

File	Data
	<pre> ], "largeTraderList": [   {     "largeTraderRecordID": 1,     "largeTraderID": "12345678-0001",     "ltidEffectiveDate": 20150101   } ], "fdidCustomerList": [   {     "customerRecordID": 1,     "role": "TRDHOLDER",     "roleStartDate": 20050821   } ] }, {   "fdidRecordID": 2,   "firmDesignatedID": "SecondaryAcct",   "fdidType": "ACCOUNT",   "accountType": ["FIRM", "MARKET"],   "accountName": "MrktMkr",   "branchOfficeCRD": 13245,   "fdidDate": 20120301,   "addressList": [     {       "addrType": "ADDRESS1",       "addrLine1": "1 WATERS ST",       "addrLine2": "TRADING DESK 15",       "city": "JERSEY CITY",       "regionCode": "US-NJ",       "countryCode": "US",       "postalCode": "07097"     }   ],   "largeTraderList": [     {       "largeTraderRecordID": 1,       "largeTraderID": "12345678-0001",       "ltidEffectiveDate": 20150101     }   ],   "fdidCustomerList": [     {       "customerRecordID": 35,       "role": "TRDHOLDER",       "roleStartDate": 20120301     }   ] }, {   "fdidRecordID": 3,   "firmDesignatedID": "AnotherFirmAccount",   "fdidType": "ACCOUNT",   "accountType": ["FIRM", "BROKERAGE"], </pre>

File	Data
	<pre> "accountName": "AnotherFirmAccount", "branchOfficeCRD": 9810230, "fdidDate": 20191201, "addressList": [   {     "addrType": "ADDRESS1",     "addrLine1": "1 WATERS ST",     "addrLine2": "TRADING DESK 15",     "city": "JERSEY CITY",     "regionCode": "US-NJ",     "countryCode": "US",     "postalCode": "07097"   },   {     "addrType": "ADDRESS2",     "addrLine1": "253 MAIN ST",     "city": "JACKSONVILLE",     "regionCode": "US-FL",     "countryCode": "US",     "postalCode": "32034"   } ], "largeTraderList": [   {     "largeTraderRecordID": 1,     "largeTraderID": "12345678-0001",     "ltidEffectiveDate": 20150101   } ], "fdidCustomerList": [   {     "customerRecordID": 50,     "role": "TRDHOLDER",     "roleStartDate": 20120301   } ] }, "legalEntityCustomerList": [   {     "customerRecordID": 1,     "legalName": "CAT Reporter Firm Name",     "customerStartDate": 20050821,     "ein": "11-2233445",     "customerType": ["BD"],     "lei": "L49S8SWR48C4MFGH8ZH1"   },   {     "customerRecordID": 35,     "legalName": "CAT Reporter Firm Name",     "customerStartDate": 20050821,     "ein": "11-2233445",     "customerType": ["BD"],     "lei": "L49S8SWR48C4MFGH8ZH1"   } ], </pre>

File	Data
	<pre> {   "customerRecordID": 50,   "legalName": "CAT Reporter Firm Name",   "customerStartDate": 20050821,   "ein": "11-2233445",   "customerType": ["BD"],   "lei": "L49S8SWR48C4MFGH8ZH1" } ] } </pre>
TIDs	<pre> {   "tidRecordList": [     {       "customerRecordID": 1,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     },     {       "customerRecordID": 35,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     },     {       "customerRecordID": 50,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     }   ] } </pre>

**2.1.3. Firm Owned Average Price Account Used for Multiple Customers**

This scenario illustrates the CAT reporting requirements when the account reported to CAIS represents a firm-owned average price account used for multiple customers, where the only CAT Customer on the account is the firm itself and the only parties authorized to trade in the account are employees of the CAT Reporter Firm. The CAT Reporter Firm is reported with a *role* of 'TRDHOLDER', as it is the beneficial holder of the account and is authorized to trade on the account, and the CAT Reporter Firm is not required to report their employees as Authorized Traders on the account.

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 224,       "firmDesignatedID": "AVGPRICE",       "fdidType": "ACCOUNT",       "accountType": ["AVERAGE", "FIRM", "BROKERAGE"],       "accountName": "AVGPRICE", </pre>

File	Data
	<pre> "clearingBrokerID": [1022], "fdidDate": 20210115, "addressList": [   {     "addrType": "ADDRESS1",     "addrLine1": "123 MAIN ST.",     "city": "SAN FRANCISCO",     "regionCode": "US-CA",     "countryCode": "US",     "postalCode": "94016"   } ], "largeTraderList": [   {     "largeTraderRecordID": 1,     "largeTraderID": "12345678-0001",     "ltidEffectiveDate": 20150101   } ], "fdidCustomerList": [   {     "customerRecordID": 23,     "role": "TRDHOLDER",     "roleStartDate": 20210115   } ] }, "legalEntityCustomerList": [   {     "customerRecordID": 23,     "legalName": "Broker Dealer ABC",     "customerStartDate": 20210115,     "ein": "11-2233445",     "customerType": ["BD"],     "lei": "L49S8SWR48C4MFGH8ZH1"   } ] } </pre>
TIDs	<pre> {   "tidRecordList": [     {       "customerRecordID": 23,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     }   ] } </pre>

## 2.2. Customer Account Reporting Scenarios

This section illustrates the CAT reporting requirements when the account reported to CAT is not owned by the CAT Reporter Firm whose data is being reported.

### 2.2.1. Account with Only One Holder

This scenario illustrates the CAT reporting requirements for an account on which there is a single trading customer. For this example, the account is a basic retirement account established by the holder, where the CAT Reporter Firm has an Address stored on the FDID for mailings to the customer, but also retains a separate Address on the CAT Customer record that is different from the address on the FDID and is reportable to CAT. The CAT Customer has rights to trade in their account and is reported with a *role* of 'TRDHOLDER'.

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 2000,       "firmDesignatedID": "1A25978",       "fdidType": "ACCOUNT",       "accountType": ["RETIREMENT", "BROKERAGE"],       "accountName": "Joseph's Retirement Account",       "fdidDate": 20210115,       "addressList": [         {           "addrType": "ADDRESS1",           "addrLine1": "415 MAIN BOULEVARD",           "city": "CHICAGO",           "regionCode": "US-IL",           "countryCode": "US",           "postalCode": "60176"         }       ],       "fdidCustomerList": [         {           "customerRecordID": 40,           "role": "TRDHOLDER",           "roleStartDate": 20210115         }       ]     }   ],   "naturalPersonCustomerList": [     {       "customerRecordID": 40,       "firstName": "JOSEPH",       "middleName": "WALTER",       "lastName": "SMYTHE",       "nameSuffix": "SENIOR",       "yearOfBirth": 1981,       "customerStartDate": 20210115,       "customerType": ["NOTAPPLICABLE"],       "addressList": [         {           "addrType": "ADDRESS1",           "addrLine1": "23 MAIN AVE",           "city": "PALATINE", </pre>

File	Data
	<pre> "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" } ] } ] } </pre>
TIDs	<pre> { "tidRecordList": [ { "customerRecordID": 40, "tidType": "SSN/ITIN", "tidValue": "01a54629efb952287e554eb23ef69c52097a75aecc0e3a93ca0855ab6d7a31a0" } ] } </pre>

**2.2.2. Account Holder and Authorized Trader**

This scenario illustrates the CAT reporting requirements when the account reported to CAIS has both a holder and an authorized trader on the account, where the authorized trader is an employee of the firm and has discretion to trade on the account on behalf of the account holder. Both the beneficial holder and the Authorized Trader are reported in association to the FDID record. For this example, the CAT Reporter Firm does not capture Addresses on the CAT Customer record, and therefore does not have Addresses to report to CAT for the CAT Customer.

File	Data
Data	<pre> { "fdidRecordList": [ { "fdidRecordID": 5000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["ADVISED", "RETIREMENT", "BROKERAGE"], "accountName": "Advised Retirement Acct", "registeredRepCRD": ["910283"], "branchOfficeCRD": 981023, "fdidDate": 20210115, "addressList": [ { "addrType": "ADDRESS1", "addrLine1": "415 MAIN BOULEVARD", "city": "CHICAGO", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60176" } ] } ], </pre>

File	Data
	<pre> "fdidCustomerList": [   {     "customerRecordID": 72,     "role": "TRDHOLDER",     "roleStartDate": 20210115   },   {     "customerRecordID": 415,     "role": "AUTHREP",     "hasDiscretion": true,     "roleStartDate": 20210115   } ] }, "naturalPersonCustomerList": [   {     "customerRecordID": 72,     "firstName": "JOSEPH",     "middleName": "WALTER",     "lastName": "SMYTHE",     "nameSuffix": "THIRD",     "yearOfBirth": 1975,     "customerStartDate": 20210115,     "customerType": ["NOTAPPLICABLE"]   },   {     "customerRecordID": 415,     "firstName": "ALEXIS",     "lastName": "DOE",     "yearOfBirth": 1992,     "customerStartDate": 20050821,     "customerType": ["ADVISER", "EMPLOYEE"]   } ] </pre>
TIDs	<pre> {   "tidRecordList": [     {       "customerRecordID": 72,       "tidType": "SSN/ITIN",       "tidValue": "01a54629efb952287e554eb23ef69c52097a75aecc0e3a93ca0855ab6d7a31a0"     },     {       "customerRecordID": 415,       "tidType": "SSN/ITIN",       "tidValue": "1438887c12c566c8f87325380e06517bfb2e46e4de7e07fc6f004ea5bb21945d"     }   ] } </pre>



### 2.2.3. Relationship ID Based FDID

This scenario illustrates the CAT reporting requirements when the FDID reported to CAIS is based on a relationship and the CAT Reporter Firm does not have a list of traders authorized to place orders in the account. In this scenario, the CAT Reporter Firm may not have a name for the account name for the relationship, and the firm opts to use the *firmDesignatedID* value as the *accountName*. The CAT Reporter Firm only knows the fund manager as their CAT Customer, and therefore has no additional beneficial holder or Authorized Traders for reporting to CAT.

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 224,       "firmDesignatedID": "Big Fund Manager",       "fdidType": "RELATIONSHIP",       "accountType": ["INSTITUTION"],       "accountName": "Big Fund Manager",       "branchOfficeCRD": "900221",       "fdidDate": 20210115,       "addressList": [         {           "addrType": "ADDRESS1",           "addrLine1": "123 MAIN ST.",           "addrLine2": "Suite 102, Big Fund Manager",           "city": "SAN FRANCISCO",           "regionCode": "US-CA",           "countryCode": "US",           "postalCode": "94016"         }       ]     },     {       "largeTraderList": [         {           "largeTraderRecordID": 1,           "largeTraderID": "12345678-0001",           "ltidEffectiveDate": 20150101         }       ]     },     {       "fdidCustomerList": [         {           "customerRecordID": 55,           "role": "TRDHOLDER",           "roleStartDate": 20210115         }       ]     }   ],   "legalEntityCustomerList": [     {       "customerRecordID": 55,       "legalName": "Big Fund Manager",       "customerStartDate": 20210115,       "ein": "11-2233445",     }   ] } </pre>

File	Data
	<pre> "customerType": ["ADVISER"], "lei": "L49S8SWR48C4MFGH8ZH1" } ] } </pre>
TIDs	<pre> { "tidRecordList": [ { "customerRecordID": 55, "tidType": "EIN", "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0" } ] } </pre>

#### 2.2.4. DVP/RVP Account with a Clearing Number

This scenario illustrates the CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the custodian of the account has a prime broker ID (e.g., the prime broker), necessitating the *primeBrokerID* attribute. For this example, there is one prime broker for the account, and the account is held in the name of the prime broker. The institutional client that the account is for the benefit of is reported as an Authorized Trader.

File	Data
Data	<pre> { "fdidRecordList": [ { "fdidRecordID": 123, "firmDesignatedID": "DELIVERY VS PAYMENT ACCT", "fdidType": "ACCOUNT", "accountType": ["DVP/RVP, BROKERAGE"], "accountName": "DVP RVP ACCOUNT", "branchOfficeCRD": 123456, "primeBrokerID": [9542], "fdidDate": 20210115, "addressList": [ { "addrType": "ADDRESS1", "addrLine1": "1 WATERS ST", "addrLine2": "TRADING DESK 15", "city": "JERSEY CITY", "regionCode": "US-NJ", "countryCode": "US", "postalCode": "07097" } ] }, "fdidCustomerList": [ { "customerRecordID": 1, "role": "TRDHOLDER", "roleStartDate": 20210115 } ] } </pre>

File	Data
	<pre>         },         {           "customerRecordID": 55,           "role": "AUTHREP",           "hasDiscretion": true,           "roleStartDate": 20210115         }       ]     },     ],     "naturalPersonCustomerList": [       {         "customerRecordID": 1,         "firstName": "ROGER",         "lastName": "CUSTOMER",         "yearOfBirth": 1945,         "customerStartDate": 20200413,         "customerType": ["NOTAPPLICABLE"]       }     ],     "legalEntityCustomerList": [       {         "customerRecordID": 55,         "legalName": "Investment Advisor Alpha",         "customerStartDate": 20210115,         "ein": "11-2233445",         "customerType": ["BD"],         "lei": "L49S8SWR48C4MFGH8ZH1"       }     ]   ] } </pre>
TIDs	<pre> {   "tidRecordList": [     {       "customerRecordID": 1,       "tidType": "SSN/ITIN",       "tidValue": "01a54629efb952287e554eb23ef69c52097a75aecc0e3a93ca0855ab6d7a31a0"     },     {       "customerRecordID": 55,       "tidType": "EIN",       "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0"     }   ] } </pre>

### 2.2.5. DVP/RVP Account with Bank Depository ID

This scenario illustrates the CAT reporting requirements when the account reported to CAIS is a DVP/RVP account, where the custodian of the account has a bank depository ID (e.g. bank) and not a prime broker ID, necessitating the *bankDepositoryID* attribute. For this example, there is only a single

depository value included within the array. If multiple values exist for the account, each of them must be included within the array in a comma-delimited list. This account is held in the name of the institutional client that is the only authorized trader on the account.

File	Data
Data	<pre> {   "fdidRecordList": [     {       "fdidRecordID": 123,       "firmDesignatedID": "DELIVERY VS PAYMENT ACCT",       "fdidType": "ACCOUNT",       "accountType": ["DVP/RVP"],       "accountName": "BankDVPCustody",       "branchOfficeCRD": 654321,       "bankDepositoryID": [3209],       "clearingBrokerID": [1022],       "fdidDate": 20210115,       "addressList": [         {           "addrType": "ADDRESS1",           "addrLine1": "1 WATERS ST",           "addrLine2": "TRADING DESK 15",           "city": "JERSEY CITY",           "regionCode": "US-NJ",           "countryCode": "US",           "postalCode": "07097"         }       ],     },     {       "fdidCustomerList": [         {           "customerRecordID": 1,           "role": "TRDHOLDER",           "roleStartDate": 20210115         },         {           "customerRecordID": 55,           "role": "AUTHREP",           "hasDiscretion": true,           "roleStartDate": 20210115         }       ]     }   ],   "naturalPersonCustomerList": [     {       "customerRecordID": 1,       "firstName": "SVEN",       "lastName": "ANONYMOUS",       "yearOfBirth": 1962,       "customerStartDate": 20200413,       "customerType": ["NOTAPPLICABLE"]     }   ],   "legalEntityCustomerList": [     { </pre>

File	Data
	<pre> "customerRecordID": 55, "legalName": "Investment Advisor Alpha", "customerStartDate": 20210115, "ein": "11-2233445", "customerType": ["OTHBKR"], "lei": "L49S8SWR48C4MFGH8ZH1" } ] } </pre>
TIDs	<pre> { "tidRecordList": [ { "customerRecordID": 1, "tidType": "SSN/ITIN", "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0" }, { "customerRecordID": 55, "tidType": "EIN", "tidValue": "8b8ce19b05513b0f67fb5edd6905f91dd45ff339de1286472b1f39e798612dc0" } ] } </pre>

### 2.2.6. UGMA/UTMA Custodied Account

This scenario illustrates the CAT reporting requirements for a UGMA/UTMA custodied account with multiple holders, where the minor is not allowed to trade in the account. In this scenario, the CAT Reporter Firm reporting the data has a single address on the account for account statements and confirmations, while they also know individual addresses for the two holders on the account. For this example, both holders on the account have a common address that is different from the address on the account captured on each of the CAT Customer records, which is reported in association to each of the CAT Customers.

File	Data
Data	<pre> { "fdidRecordList": [ { "fdidRecordID": 2000, "firmDesignatedID": "1A25978", "fdidType": "ACCOUNT", "accountType": ["UGMA/UTMA"], "accountName": "Custodied Account", "fdidDate": 20210115, "addressList": [ { "addrType": "ADDRESS1", </pre>

File	Data
	<pre>                 "addrLine1": "415 MAIN BOULEVARD",                 "city": "CHICAGO",                 "regionCode": "US-IL",                 "countryCode": "US",                 "postalCode": "60176"             }         ],         "fdidCustomerList": [             {                 "customerRecordID": 40,                 "role": "TRDHOLDER",                 "roleStartDate": 20210115             },             {                 "customerRecordID": 10,                 "role": "NTHOLDER",                 "roleStartDate": 20210115             }         ]     },     "naturalPersonCustomerList": [         {             "customerRecordID": 40,             "firstName": "JOSEPH",             "middleName": "WALTER",             "lastName": "SMYTHE",             "nameSuffix": "SENIOR",             "yearOfBirth": 1981,             "customerStartDate": 20210115,             "customerType": ["NOTAPPLICABLE"],             "addressList": [                 {                     "addrType": "ADDRESS1",                     "addrLine1": "23 MAIN AVE",                     "city": "PALATINE",                     "regionCode": "US-IL",                     "countryCode": "US",                     "postalCode": "60038"                 }             ]         },         {             "customerRecordID": 10,             "firstName": "JOSEPH",             "middleName": "WALTER",             "lastName": "SMYTHE",             "nameSuffix": "JUNIOR",             "yearOfBirth": 2011,             "customerStartDate": 20210115,             "customerType": ["NOTAPPLICABLE"],             "addressList": [                 {                     "addrType": "ADDRESS1",                     "addrLine1": "23 MAIN AVE", </pre>

File	Data
	<pre> "city": "PALATINE", "regionCode": "US-IL", "countryCode": "US", "postalCode": "60038" } ] } ] } </pre>
TIDs	<pre> { "tidRecordList": [ { "customerRecordID": 40, "tidType": "SSN/ITIN", "tidValue": "01a54629efb952287e554eb23ef69c52097a75aecc0e3a93ca0855ab6d7a31a0" }, { "customerRecordID": 10, "tidType": "SSN/ITIN", "tidValue": "1438887c12c566c8f87325380e06517bfb2e46e4de7e07fc6f004ea5bb21945d" } ] } </pre>