

Consolidated Audit Trail

Customer and Account Information System
(CAIS)

Full CAIS Demo

12/14/21

Demo Coverage

- December demo will cover
 - Paired File Submissions via SFTP and UI
 - Full CAIS/LTID Phase submission toggle
 - Updated Submissions in Progress and Completed Submissions tabs
 - FDID and CAT Customer Rejection tabs
 - Submission Reports tab

- Subsequent January demo to cover
 - Manual Submission
 - Inconsistencies
 - FDID Reconciliation Report updates

FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com

Q&A

How to Ask a Question during Today's Call

- **For participants using computer audio:**
 - Click the “Raise Hand” button at the bottom of the participants window.
 - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
 - Enter *9 on your phone keypad.
 - An audio prompt will indicate that your line has been unmuted.