Industry CAT CAIS LTID Test Release Status

January 5th, 2022

Agenda

- Industry Test Release Update
- Open Issues List
- Recently Closed Issues
- Planned Enhancements
- Certification Reminders
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Test Release Update

Industry Member Release Rollout

04/26/2021	01/31/2022	02/2022	04/25/2022	7/11/2022
CAIS LTID Mandatory Reporting*	**Industry Test Release Full CAIS**	**Full CAIS Certification Opens**	**Full CAIS Production Opens**	**Full CAIS Mandatory Reporting**
• CAIS LTID reporting required for Phases 2a, 2b, and 2c (Large Industry Members) • CAIS LTID Rejection Repair timeline enforced * Large Industry Member Phase 2d reporting required on 12/13/2021 * Small Industry Members Phase 2a, 2b, 2c, and 2d reporting required on 12/13/2021	• Full CAIS Reporter Portal Industry Test Open - Manual Submission and File Upload • Industry Test Open for Machine-to-Machine File & Data Integrity Validations & Feedback • Industry Test Open for Inconsistency Feedback & Repair • Prod Mirror remains open for LTID Phase testing	• Full CAIS Self-Reporter Certification • Full CAIS Submitter Certification* • Full CAIS Certification for an Industry Member only using Submitter(s)	• **LTID Phase Reporting remains available** • Full CAIS Reporter Portal Production Open - Manual Submission and File Upload • Production Open for Machine-to-Machine File & Data Integrity Validations & Feedback • Production Open for Inconsistency Feedback & Repair • Full CAIS Reporter Statistics available	• **LTID Phase Reporting no longer accepted** • Full CAIS reporting required for all Phases • Full CAIS Rejection Repair timeline enforced • Full CAIS Inconsistency Repair timeline enforced

*Reporting Relationships established for LTID Phase reporting **do not need** to be re–established for Full CAIS Phase reporting.

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CAIS LTID Phase Statistics –
December 27th – January 2nd, 2022

Production Environment							
	Monday, 12/27	**Tuesday, 12/28**	**Wednesday, 12/29**	**Thursday, 12/30**	**Friday, 12/31**	**Saturday, 1/1**	**Sunday, 1/2**
Number of Total Submitters	46	57	57	59	56	18	5
Number of Unique Firms	436	481	428	502	487	33	5
Number of Files Received	Total: 795 Reporter Portal: 49 SFTP: 736	Total: 836 Reporter Portal: 11 SFTP: 825	Total: 717 Reporter Portal: 7 SFTP: 710	Total: 780 Reporter Portal: 13 SFTP: 767	Total: 868 Reporter Portal: 7 SFTP: 861	Total: 34 Reporter Portal: 1 SFTP: 33	Total: 9 Reporter Portal: 3 SFTP: 6
Number of Files Rejected	1	6	3	24	3	0	0
File Reject Rate	0.13%	0.72%	0.42%	3.01%	0.35%	0.00%	0.00%

CAIS LTID Phase Statistics – December 27th – January 2nd, 2022

Production Environment							
	Monday, 12/27	**Tuesday, 12/28**	**Wednesday, 12/29**	**Thursday, 12/30**	**Friday, 12/31**	**Saturday, 1/1**	**Sunday, 1/2**
Records Accepted	286,523	742,795	705,620	675,425	693,969	529,687	10,673
Records Rejected	11	81	24	33	22	8	0
Records Submitted	286,534	742,876	705,644	675,458	693,991	529,695	10,673
Record Rejection Rate	0.00%	0.01%	0.00%	0.00%	0.00%	0.00%	0.00%

CAT CAIS LTID Open Issues List – As of 1/4/2022 Release Planned/Workaround Provided

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Using Private Line or Private Link, logout from MDP does not automatically logout user on CAIS - (SRG works fine).	Code Release	Low	**Workaround:** User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity. Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet. **Fix:** Release planning in progress.	**Workaround:** User navigates to CAIS and clicks logout button. User automatically logged out after 30 mins inactivity. Resolving this issue requires updates to TDS Reporter Portal, which are not scheduled yet. **Fix:** Release planning in progress.	Reporter Portal
2	Open	23999	OutOfMemoryError in Submission Engine. When attempting to compile feedback file, submission engine runs out of memory if too many rejections present.	Code Release	Medium	**Workaround:** Error Rejections reported in CAIS feedback files are restricted to 1000 entries. Error code 23999 is returned in the feedback file if greater than 1000 errors are reported. Industry Members should address rejections 1000 at a time or submit files with fewer than 1000 records to ensure that the feedback file contains all error codes. **Fix:** March 2022	**Workaround:** Error Rejections reported in CAIS feedback files are restricted to 1000 entries. Error code 23999 is returned in the feedback file if greater than 1000 errors are reported. Industry Members should address rejections 1000 at a time or submit files with fewer than 1000 records to ensure that the feedback file contains all error codes. **Fix:** April 2022	Submission Feedback File

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

CAT CAIS LTID Recently Closed Issues List – As of 1/4/2022

#	Status	Error Code	Issue Summary	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area Affected
1								

CAT CAIS Planned Enhancements – Open

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	Open	N/A	Update Rejection screen for Submitters to only show rejections for FDIDs that they submitted	Code Release	Low	January 2022	April 2022	Reporter Portal
2	Open	N/A	Update CAIS Data File properties to change fdidCustomerList multi-dimensional array from Required to Conditional. This change will allow Industry Members to optionally exclude the list from submission when they are ending an FDID record that has previously been accepted in to CAIS with at least one associated CAT Customer.	Code Release	Low	March 2022	April 2022	Submission Data File

CAT CAIS Planned Enhancements – Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Release Date	Production Environment Release Date	Area

CAT CAIS–
Planned LTID Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version
1	Open	Clarify that malformed LTID can be corrected by sending the same FDID with corrected LTID entry - does NOT require *correctionAction* message	TBD	V1.2.3

CAT CAIS–
Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod
1	Published	Add an additional *foreignTIDType* value of 'DRIVERLICENSE' as the last value in the Foreign TID Type hierarchy.	12/17/2021	2.0r6	March 2022	April 2022
2	Published	Add additional US Region Codes of AA, AE, and AP, for reporting of US military and diplomatic mailing addresses.	12/17/2021	2.0r6	March 2022	April 2022
3	Open	Note corrections can also be used for customer records, not only malformed FDIDs.	N/A	2.0r7	N/A	N/A
4	Open	Addition of new 'INACTIVE' *fdidEndReason* for purpose of record refresh requirements.	N/A	2.0r7	TBD	TBD

CAT CAIS LTID Reporting Certification

➤ Any continued Production Readiness Certifications for LTID are to be completed in the Prod Mirror environment.

➤ Registration for CAIS LTID requires Reporters to indicate their approximate number of FDIDs that have associated LTIDs.

➤ For Reporting Agents, this should be the aggregate total of all FDIDs with associated LTIDs.

➤ Only Reporters and Reporting Agents that pass certification will be able to submit data into the Production environment.

Full CAIS Phase Reporting Certification

➢ Full CAIS Phase certification will open in the Industry Test environment on February 1.

➢ Webinar from October 6, 2021, covered Full CAIS certification requirements and is available on the [CAT NMS Plan site](#).

➢ Certification is also detailed in the [Industry Member CAIS Onboarding Guide](#).

➢ Only Reporters and Reporting Agents that pass certification will be able to submit data into the Production environment when it opens on April 25.

General Announcements & Reminders

FINRA CAT Announcements and Reminders

➢ CAT CAIS LTID Checkpoint Calls to be held monthly on Wednesdays at 4:15 E.T. – the next call is scheduled for February 9, 2022.

➢ Video for first overview and demo of CAT CAIS Reporter Portal – Full CAIS Phase functionality now available at https://www.catnmsplan.com/video-tutorials

➢ Second demo coming later in January covering Manual Submission and Inconsistencies.

➢ Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com.

FINRA CAT Helpdesk

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

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.