Industry CAT CAIS Release Status

March 23rd, 2022

Agenda

- LTID Release Update
  - Open Issues
  - Recently Closed Issues
- Full CAIS Release Update
  - Open Issues
  - Recently Closed Issues
- Planned Enhancements
- Specification Updates
- Certification Reminders
- General Announcements & Reminders
- Q&A

Industry CAT CAIS LTID Release Update

CAIS LTID Phase Statistics – March 14th – March 20th, 2022

Production Environment							
	Monday, 3/14	**Tuesday, 3/15**	**Wednesday, 3/16**	**Thursday, 3/17**	**Friday, 3/18**	**Saturday, 3/19**	**Sunday, 3/20**
Number of Total Submitters	51	63	62	62	58	19	5
Number of Unique Firms	330	379	552	504	339	270	5
Number of Files Received	Total: 402 Reporter Portal: 57 SFTP: 345	Total: 795 Reporter Portal: 69 SFTP: 726	Total: 1,138 Reporter Portal: 59 SFTP: 1,079	Total: 933 Reporter Portal: 38 SFTP: 899	Total: 706 Reporter Portal: 25 SFTP: 681	Total: 600 Reporter Portal: 16 SFTP: 584	Total: 6 Reporter Portal: 0 SFTP: 6
Number of Files Rejected	0	2	3	2	2	2	0
File Reject Rate	0.00%	0.25%	0.26%	0.21%	0.28%	0.33%	0.00%

CAIS LTID Phase Statistics – March 14th – March 20th, 2022

Production Environment							
	Monday, 3/14	**Tuesday, 3/15**	**Wednesday, 3/16**	**Thursday, 3/17**	**Friday, 3/18**	**Saturday, 3/19**	**Sunday, 3/20**
Records Accepted	298,291	1,668,649	821,298	978,376	1,232,213	1,113,198	779
Records Rejected	33	201	51	61	74	43	0
Records Submitted	298,324	1,668,850	821,349	978,437	1,232,287	1,113,241	779
Record Rejection Rate	0.01%	0.01%	0.01%	0.01%	0.01%	0.00%	0.00%

CAT CAIS LTID Open Issues List – As of 3/21/2022 Release Planned/Workaround Provided

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	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:** 3/27/2022	**Fix:** 4/24/2022	Submission Feedback

CAT CAIS LTID Recently Closed Issues List – As of 3/21/2022

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

Industry CAT Full CAIS Release Update

Industry Member Release Rollout – Pre-Production

Full CAIS Release 1
Industry Test – 1/31/2022
Production – 4/25/2022

Ingestion
- Industry Test Open for Machine-to-Machine File & Data Integrity Validations, Material Inconsistencies, and Feedback
- Feedback file contains up to 1,000 Rejections

CAIS Reporter Portal
- Manual File Upload
- Manual Submission
- Submission Feedback
- Inconsistencies Feedback
- Nightly Inconsistencies Report

Full CAIS Certification
opened on 2/1/2022

Full CAIS Release 2a
Industry Test – 3/28/2022
Production – 4/25/2022

Ingestion
- New DRIVERLICENSE Foreign TID Type
- EIN Validation changed to format validation
- Feedback file enhanced to include all Rejections feedback

CAIS Reporter Portal
- FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)

Full CAIS Release 2b
Industry Test – 4/11/2022
Production – 4/25/2022

Ingestion
- Remove OTHBKR and CP customerType values for Legal Entity Customer Records
- Remove BROKERAGE and ADVISED values for accountType
- Remove primeBrokerID and bankDepositoryID fields and add a new DVPCustodianID field

Industry Member Release Rollout – Production

Full CAIS Release 3
Industry Test – 5/25/2022
Production – 6/13/2022

Reports
- FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase

CAIS Reporter Portal
- FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase

Full CAIS Release 4
Industry Test – 8/29/2022
Production – 9/12/2022

Ingestion
- New INACTIVE FDID End Reason

- Automated Transfer Procedure

Full CAIS Phase Statistics – March 14th – March 20th, 2022

Industry Test Environment							
	Monday, 3/14	**Tuesday, 3/15**	**Wednesday, 3/16**	**Thursday, 3/17**	**Friday, 3/18**	**Saturday, 3/19**	**Sunday, 3/20**
Number of Total Submitters	9	5	6	5	5	1	0
Number of Unique Firms	19	13	21	71	66	3	0
Number of Files Received	30	140	68	190	290	43	0
Number of Files Rejected	15	50	30	155	117	0	0
File Reject Rate	50.00%	35.71%	44.18%	81.58%	40.34%	0.00%	31.25%

Full CAIS Phase Statistics – March 14th – March 20th, 2022

Industry Test Environment							
	Monday, 3/14	Tuesday, 3/15	Wednesday, 3/16	Thursday, 3/17	Friday, 3/18	Saturday, 3/19	Sunday, 3/20
FDID Records Accepted	2,832	154,649	4,208	3,762	77	0	0
FDID Records Rejected	1,400	865	2,405	55,407	7,068	0	0
FDID Records Submitted	4,232	155,514	6,613	59,169	7,145	0	0
FDID Record Rejection Rate	33.08%	0.56%	36.37%	93.64%	98.92%	0.00%	0.00%

Full CAIS Phase Statistics – March 14th – March 20th, 2022

Industry Test Environment							
	Monday, 3/14	**Tuesday, 3/15**	**Wednesday, 3/16**	**Thursday, 3/17**	**Friday, 3/18**	**Saturday, 3/19**	**Sunday, 3/20**
Customer Records Accepted	3,489	8,411	5,033	4,725	73	0	0
Customer Records Rejected	1,399	1,580	3,461	63,290	8,293	0	0
Customer Records Submitted	4,888	9,991	8,494	68,015	8,366	0	0
Customer Record Rejection Rate	28.62%	15.81%	40.75%	93.05%	99.13%	0.00%	0.00%

CAT Full CAIS Open Issues List – As of 3/21/2022 Release Planned/Workaround Provided – Release 2

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Intermittent instances of CAIS Data files and TIDs files that are not able to be processed due to improperly formatted data within the file. Files may get stuck in a 'File Acknowledged' state and not properly reach a failed state.	Code Release	Medium	**Workaround:** If the file remains in file acknowledged state for more than 2 hours, then contact the FINRA CAT Helpdesk for further assistance. **Fix:** 3/27/2022	**Fix:** N/A	Data Validation
2	Open	N/A	The Manual Form Submission fields for Correspondent CRD and Prior CAT Reporter CRD are only allowing selection from the CRDs with which the firm has a submission relationship. The fields should allow all valid CRDs.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Manual Form Submission
3	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:** 3/27/2022	**Fix:** N/A	Submission Feedback

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

CAT Full CAIS Open Issues List – As of 3/21/2022 Release Planned/Workaround Provided – Release 2

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
4	Open	22503	If a CAT Customer submission is rejected for error code 22503 - including the updateNotification as true for the first submission of a CAT Customer - the record is listed with both 22503 and 22523 - indicating the CAT Customer is rejected because the FDID is rejected. Only 22503 should be listed. While two error codes are generated, only one error is included in statistics.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Submission Feedback
5	Open	N/A	Legal Entity Material Inconsistencies are not included in the Nightly Scans Feedback for Impacted firms when the other Industry Member has resolved their Material Inconsistency.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Material Inconsistencies
6	Open	N/A	The Inconsistencies table shows duplicated Material Inconsistencies in some instances. Display only-issue: Only one Material Inconsistency is included in the submission feedback.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal

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CAT Full CAIS Open Issues List – As of 3/21/2022
Release Planned/Workaround Provided – Release 2

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
7	Open	N/A	In certain instances, the Submission files status may be listed with a status of 'Completed - With Rejections' when there are no rejections against the file.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
8	Open	N/A	Downloads of the Completed Submissions and Submission statistics from the Reporter Portal do not include the Triggered Inconsistencies, Late Repairs, or Outstanding Inconsistencies columns. Statistics are displayed in the Reporter Portal UI.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
9	Open	N/A	Processed and Repaired record counts within the Completed Submissions data table within the Reporter Portal may not match the count of records included in the file.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
10	Open	N/A	Users in the Reporter Portal UI are not able to download the Nightly Inconsistencies Report.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
11	Open	22048	EIN starting with "00-" fails validation due to range validation rules.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal

CAT Full CAIS Open Issues List – As of 3/21/2022 Release Planned/Workaround Provided – Release 2

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
12	Open	N/A	Submission files are not processed to completion when one or more Address records contain one of the following countryCode values: AN - Netherlands Antilles DJ - Djibouti DK - Denmark DM - Dominica DO - Dominican Republic IQ - Iraq LR - Liberia	Code Release	High	**Fix:** 3/27/2022	**Fix:** N/A	Data Validation
13	NEW Open	N/A	Submissions of a Natural Person with an "EIN" TID, or a Legal Entity with an "SSN/ITIN" TID, are not being rejected.	Code Release	High	**Fix:** 3/27/2022	**Fix:** N/A	Data Validation
14	NEW Open	N/A	Submission files are not processed to completion when violating schema expectations by including one or more Address records contain a repeated addrType value.	Code Release	High	**Fix:** 3/27/2022	**Fix:** N/A	Data Validation
15	NEW Open	N/A	Submission files are not processed to completion when violating schema expectations by including an array attribute (e.g. fdidCustomerList) that is improperly included as an object.	Code Release	High	**Fix:** 3/27/2022	**Fix:** N/A	Data Validation

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CAT Full CAIS Open Issues List – As of 3/21/2022
Release Planned/Workaround Provided – Additional Releases

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Open	N/A	Users are not able to include a correctionList entry in a Manual Form Submission. This impacts error codes 22001 and 22900.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Manual Form Submission
2	Open	N/A	The count of items displayed shows the selected total results per page value, rather than the actual count of items displayed.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
3	Open	N/A	Users are not able to select 100 results per page. Additionally, when the user changes the results per page and saves their view, the results per page change is not saved.	Code Release	Low	**Workaround:** User may paginate through the result set's additional pages. **Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
4	Open	N/A	The Completed Submissions table does not show the status of the TIDs file. Only the status of the CAIS Data file is displayed and included in the export.	Code Release	Low	**Workaround:** Review the TID Feedback file for file status. **Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
5	Open	N/A	Nightly Inconsistencies Report link within the Inconsistencies tab of the Reporter Portal does not navigate the user correctly to the Nightly Inconsistencies page.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal

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CAT Full CAIS Open Issues List – As of 3/21/2022
Release Planned/Workaround Provided – Additional Releases

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
6	Open	N/A	Filter by specific CRD within the Submission Reports does not filter properly for aggregated values.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
7	Open	N/A	If a user attempts to download a feedback file within the Reporter Portal, they are unable to retrieve the file if it was submitted by another firm on their behalf and said submitter firm has deleted the feedback file.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
8	Open	N/A	The Submission Reports overlays that show results by specific CRD does not allow the user to 'unsort' the CRD column.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Reporter Portal
9	Open	N/A	Submission Report shows more results than the selected records per page when the user changes to a new View Data As perspective.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Reporter Portal
10	UPDATED Open	N/A	Legal Entity manual submission form displays 'PERMANENT' as a selection under Foreign TID Types dropdown.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Manual Form Submission

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CAT Full CAIS Open Issues List – As of 3/21/2022
Release Planned/Workaround Provided – Additional Releases

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
11	NEW Open	N/A	Count of FDIDs or CAT Customers processed do not match the count of FDIDs or CAT Customers in the submission file when multiple records are rejected for a malformed or duplicated FDID, or malformed TID. The multiple rejection instances are counted as a single processed record and rejection, resulting in a lower count of processed records than were in the submission file.	Code Release	Medium	**Fix:** 5/25/2022	**Fix:** 6/13/2022	Data Validation

Planned Enhancements and Specification Updates

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	Deployed 1/30/2022	**Fix:** 4/24/2022	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	Medium	**Fix:** 3/27/2022	**Fix:** 4/24/2022	Submission Data File
3	Open	N/A	Certain fields in the Manual Form Submission functionality may allow the user to enter characters that would cause a rejection of the submission record - such as including an '@' character within the Firm Designated ID field.	Code Release	Medium	**Fix:** 3/27/2022	**Fix:** N/A	Manual Form Submission
4	UPDATED Open	N/A	User is not prompted with a warning the entered data will not be saved if they attempt to navigate away from the Manual Form Submission page.	Code Release	Low	**Fix:** 3/27/2022	**Fix:** N/A	Manual Form Submission
5	Open	N/A	The Update button on a Manual Form Submission is enabled when viewing a previously added record. The button should be disabled until at least one field is updated by the user.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Manual Form Submission
6	Open	N/A	When selecting date values in the Manual Form Submission, the date is not selected when the user first clicks a date. The date is only selected on the second click.	Code Release	Low	**Fix:** TBD	**Fix:** 7/11/2022	Manual Form Submission
7	UPDATED Open	23005	Setting a 'Replaced By FDID' value that is the same as the 'Firm Designated ID' value is not prevented within the Reporter Portal. It is not acceptable to set both values the same.	Code Release	Low	**Fix:** 3/27/2022	N/A	Manual Form Submission
8	Open	N/A	Certain columns are not displayed in the Submission Report by default.	Code Release	Low	**Workaround:** User may add the columns to their view. **Fix:** TBD	**Fix:** 7/11/2022	Reporter Portal

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'.	12/17/2021	2.0r6	3/27/2022	4/24/2022
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	3/27/2022	4/24/2022
3	Published	Add a new *fdidEndReason* value of 'INACTIVE' as option to end FDIDs that have had no CAT-reportable activity events (e.g., MENO, MEOR, MEOT, etc.) associated with the Account in the prior six months. For the purposes of periodic refresh requirements, monthly refresh report excludes any FDID with an *fdidEndReason* of 'INACTIVE' populated and an *fdidEndDate* set on or before the date of the report.	3/9/2022	2.0r7	8/28/2022	9/11/2022
4	Published	Remove 'BROKERAGE' *accountType* value for FDID records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
5	Published	Remove 'CP' and 'OTHBKR' *customerType* values for Legal Entity Customer Records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
6	Published	Remove the *primeBrokerID* and *bankDepositoryID* attributes, and replace with a new *DVPCustodianID* attribute with the following definition: If the custodian is a US broker-dealer, this field must represent the clearing number of the custodian. If the custodian is a US bank and is not a registered broker-dealer, this field must represent the DTC number of the bank. If the custodian is a foreign entity, must be populated with a value of 'FOR'. Required when the *accountType* is 'DVP/RVP'.	3/9/2022	2.0r7	4/10/2022	4/24/2022
7	Published	Remove 'ADVISED' *accountType* value for FDID records.	3/9/2022	2.0r7	4/10/2022	4/24/2022

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

CAT CAIS–
Planned Full CAIS Phase Specification Updates

#	Status	Summary	Publish Date	Spec Version	Effective Date - Test	Effective Date - Prod
8	NEW Open	Add guidance for the temporary reporting approach for populating the *firstName* and *lastName* of a Natural Person CAT Customer when the Industry Member has not captured separate first and last names, but has captured a single unparsed name value. The Industry Member is to populate the *firstName* field with a value of "UNPARSED" and to report the unparsed name in the *lastName* field. Further, as soon as practicable, but no later than January 11, 2023, the Industry Member must resubmit the Customer record to CAIS with the first and last names parsed and in the required separate *firstName* and *lastName* fields.	April 2022	2.0r8	N/A	N/A
9	NEW Open	Add an additional *foreignTIDType* value of an other government assigned identifier ("OTHGOVT") that is known to have been assigned by a non-national level government entity, such as a local government entity. The OTHGOVT *foreignTIDType* will be added as the last entry in the Foreign TID Type hierarchy, after "DRIVERLICENSE," and will be usable for both Natural Person and Legal Entity CAT Customers.	April 2022	2.0r8	TBD	TBD
10	NEW Open	Add additional guidance for use of the *foreignTIDType* value of "NATIONALID" to include usage when the identifier is known to have been assigned by a national level government entity, or where the Industry Member does not know whether the identifier was assigned by a national level or non-national level government entity.	April 2022	2.0r8	N/A	N/A

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General Announcements and Reminders

Full CAIS Production Deployment Timeline

➤ The following is the timeline for deployment of the Full CAIS functionality and impacts on environment availability:

  ➤ Thursday 4/21 8 a.m. Eastern – CAIS Production Mirror access removed for upgrade

  ➤ Saturday 4/23 8 a.m. Eastern – CAIS Production access removed for upgrade

  ➤ Upon completion of the upgrade on Sunday 4/24, CAIS Production Mirror and Production access will be re-enabled, with Full CAIS functionality

Full CAIS Phase Reporting Certification

➤ Full CAIS Phase certification opened 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](#).

➤ Effective April 25, 2022, a separate CAIS Reporter Production User role must also be assigned to enable submission of Full CAIS Phase files in the CAIS Production environment. LTID Phase files may still be submitted with the existing Prod entitlement.

FINRA CAT Announcements and Reminders

➢ CAT CAIS Checkpoint Calls to be held every other Wednesday at 4:15 E.T. – however due to a conflict on April 6, the next call will be scheduled for Thursday, April 7, 2022

➢ CAT CAIS Instructional Video Part 2, demonstrating the Full CAIS Reporter Portal Manual Form Submission and Inconsistencies, is available at catnmsplan.com

➢ 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.