Full Customer & Account Reporting 101

March 1, 2022

Agenda

- Introduction to Customer & Account Information
- Who Has a CAIS Reporting Obligation
- How to Report to CAIS
- How CAIS Works
- Sample Reporting Scenarios
- Key Dates
- CAIS Resources
- Q&A

Disclaimer

Note: 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 CAIS.

Scope of Today's Webinar– Full CAIS

▸ The focus of today's webinar is on Full Customer & Account Reporting ("Full CAIS").

▸ Full CAIS is the second phase of Customer & Account Reporting, also known as Phase 2e.

▸ The Go-Live Date for Full CAIS reporting requirements is July 11, 2022.

LTID Phase Production – 12/2020 Compliance Dates: 4/26/2021 Equity Large Industry Members 12/13/2021 2d Options and Small Industry Members	Full Customer and Account Reporting Go live July 11, 2022
FDID, FDID Account Opening Date, LTID and LTID Effective Date	Remainder of Account information and all customer information

Introduction to Customer & Account Information

What Is CAIS?

▸ "CAIS" is an acronym for **C**ustomer & **A**ccount **I**nformation **S**ystem.

▸ The CAT NMS Plan requires a Central Repository that will comprehensively track orders throughout their lifecycle and the **Account holders and authorized traders for any Account** that originates an order.

  ◦ CAT is two separate subsystems
    1. Transaction database; and
    2. Customer & Account database

▸ The purpose of CAIS is to allow regulators to track Trading Accounts within a broker-dealer and to track Customers across broker-dealers.

Customer and Account Data – CCID and FDID

▸ There are two separate and distinct concepts:

▸ **Customers –** defined in Rule 613 as (i) the account holder(s) of the account at a registered broker-dealer originating the order; and (ii) any person from whom the broker-dealer is authorized to accept trading instructions for such account, if different from the account holder(s).
  ◦ Customers are represented by the CAT Customer ID (CCID).
  ◦ The CCID is created by the Plan Processor (FINRA CAT) and is known only to the Plan Processor and the Participants (SROs). The CAT assigned CCID is not provided back to Industry Members.

▸ **Trading Accounts –** addressed in the NMS Plan and represented by the Firm Designated ID (FDID).
  ◦ FDIDs can represent proprietary and customer accounts, trading relationships (Relationship ID), or entity ID of the firm.

*** A customer can have more than one trading account, and a trading account can have more than one customer ***

Full Customer and Account Reporting

▸ By July 11, 2022, all Industry Members (Large and Small) must report all required Customer and Account information to CAT CAIS for all Active Accounts.

  ◦ Active Account is "an account that has had activity in Eligible Securities within the last six months."

▸ Each Industry Member must submit to CAT CAIS any updates, additions or other changes to the Customer and Account information on a daily basis for all Active Accounts subject to reporting.

▸ Updates, additions or other changes to Customer and Account information must include all required Customer and Account information.

Active Accounts– Other Highlights

▸ Since an Active Account is "an account that has had activity in Eligible Securities within the last six months", per FAQ Q40, all accounts with any CAT-reportable activity on or after January 11, 2022 must be reported to CAIS on or by July 11, 2022.

▸ Per FAQ Q8, Industry Members may provide Customer and Account Information on all of their accounts, not just Active Accounts. If an Industry Member voluntarily provides such account reporting, the Industry Member is still subject to timely, accurate and complete reporting requirements.

Who Has a CAIS Reporting Obligation

Who Has a CAIS Reporting Obligation?

▸ All Industry Members (Large and Small)

◦ With Active Accounts; and

◦ An obligation to report equities, options and/or multi-leg transaction events containing the *firmDesignatedID* field to the transaction reporting system

• Examples of such transaction events include but are not limited to:

Table 1:

Order Events			
New Quote Events	**Equities, Options & Multi-leg New Order Events**	**Equities & Options Trade Events**	**Equities Fulfillment Events**
MENQ	MENO	MEOT	MEOF
	MENOS	MOOT	
	MONO		
	MONOS		
	MLNO		
	MLOS		

Table 2:

Allocation Events
Equity & Options Allocation Events
MEPA
MOPA
MEAA
MOAA

Reporting FDIDs to CAIS– Other Highlights

‣ Industry Members only have a CAIS reporting obligation for the FDIDs they have an obligation to report on order events and allocation events.

  ◦ For example: Introducing Broker-Dealers ("IBD") and Clearing Firms have separate and distinct CAIS reporting obligations.

    • While a clearing firm may be reporting a MENO to CAT as a CAT Reporting Agent on behalf of its IBD, the IBD is the Industry Member with the CAT reporting obligation for the MENO.

      • Therefore, the IBD has the CAIS reporting obligation for the FDID on the MENO.

      • The Clearing Firm has the CAIS reporting obligation for the FDID on the MEPA.

‣ Industry Members are required to report to CAIS FDID records for firm-owned/controlled accounts and FDIDs based on Customer accounts, relationships and entity identifiers.

Reporting Customers to CAIS– Other Highlights

▸ Industry Members only have a CAIS reporting obligation for the CAT Customer(s) associated to the FDID.

- For example:

  - Big Fund Manager has a relationship (relationship-based FDID) with an executing firm (EXFA) and originates a 1,000 share order.
    - Big Fund Manager is the only account holder and authorized trader associated with this relationship. There is only 1 CAT Customer associated to this FDID.

  - After execution, Big Fund Manager gives instructions to the clearing firm (CLFA) to allocate 1,000 shares to Melanie Jones' individual account at CLFA.
    - Melanie Jones is the only account holder and Big Fund Manager is the only other authorized trader on Melanie's individual account. There are 2 CAT Customers associated with this FDID.

  - EXFA must not report Melanie Jones as a Customer associated with the FDID, even though EXFA may be aware of Melanie Jones.

  - CLFA must report both Melanie Jones and Big Fund Manager as Customers associated with Melanie's individual account.

How to Report to CAIS

Preparing to Report to CAIS

▸ Onboarding and Production Certification steps are detailed in the [Industry Member CAIS Onboarding Guide](#)

1. Register for CAIS
2. Designate CAIS Account Administrator(s)
3. Create / Entitle CAT User Accounts for the CAIS Reporter Portal
   - Effective April 25, 2022, a separate CAIS Reporter Production User role must also be assigned to grant the user access to the CAIS Production Environment.
4. Request CAT Secure File Transfer Accounts (machine-to-machine connections), if applicable
5. Establish CAIS Reporting Relationships in the Industry Test Environment, if applicable
6. Conduct Testing for CAIS Production Readiness
7. Certify CAIS Testing Completion
8. Entitle users for the Production Environment
9. Establish CAIS Reporting Relationships in the Production Environment, if applicable

Production Readiness Certification

▸ Production Certification for Full CAIS is open
  ◦ The deadline for Production Certification is June 20, 2022
  ◦ Certification after June 20, 2022 may delay access to the Full CAIS Production Environment

▸ The Production Certification requirements for Full CAIS are different from the LTID Phase Production Certification requirements.
  ◦ Industry Members must have error rate < 15%

▸ Industry Members must submit at least one of each TID Type that is applicable for the CAT Reporter, including: SSN/ITIN for a US Natural Person, EIN for a US Legal Entity, and/or FOREIGN for a non-US Natural Person or Legal Entity

▸ Production Certification requirements are different for:
  ◦ Self-reporting Industry Members
  ◦ Clearing Firms and CAT Reporting Agents
  ◦ Industry Members submitting via CAT Reporting Agents

▸ Complete Production Certification details are available here: Industry Member CAIS Onboarding Guide

Connectivity to CAT

▸ Private Line provided by a Managed Network Service Provider (MNSP)

▸ AWS PrivateLink

▸ CAT Secure Reporting Gateway (SRG) Reporter Portal

Connectivity Methods	Interface Methods	
	CAT File Transfer	**CAT Reporter Portal - CAIS**
Private Line provided by MNSP	Y	Y
AWS PrivateLink	Y	Y
CAT Secure Reporting Gateway (SRG)	N	Y

▸ Complete details can be found in the FINRA CAT Connectivity Supplement for Industry Members.

CAT Reporter Portal– CAIS

▶ The CAIS Reporter Portal is the web interface available to Industry Members which includes:

- Manual File Upload
- Manual Records Entry
- Manual Resubmissions and Corrections and Update Notifications
- File, Record and Error Feedback
- FDID Reconciliation Report and
- Nightly Inconsistency Reports

▶ Additional information on the CAT Reporter Portal, including functionality and instructions for use can be found in the CAT CAIS Reporter Portal User Guide.

How CAIS Works

Submitting Customer Information to CAT CAIS

▸ Industry Members must **not** provide to CAIS:
  ◦ Social Security Numbers/Individual Taxpayer Identification Numbers
  ◦ Full dates of birth for individuals
  ◦ Account numbers for customer accounts.

▸ Instead, the Industry Member must provide "Transformed Input Identifiers" (TID).

▸ The Transformed Identifier ("TID") is a hashed version of the Input Identifier, submitted by the CAT Reporter in place of the Input Identifier.

▸ Input Identifier is a generic term for the types of identifiers used to identify unique customer records:
  ◦ Social Security Number (SSN)
  ◦ Individual Taxpayer Identification Number (ITIN)
  ◦ Employer Identification Number (EIN)
  ◦ Foreign Identifiers (FOREIGN)
    • For example, Legal Entity Identifier (LEI), Country of Domicile and Passport Number, etc.

▸ The CAT Reporter has the responsibility to translate Input Identifiers to TID values prior to submission.
  ◦ The CAIS Reporter Portal includes an in-browser mechanism for hashing the input identifier to a Transformed Identifier for a Manual Form Submission.
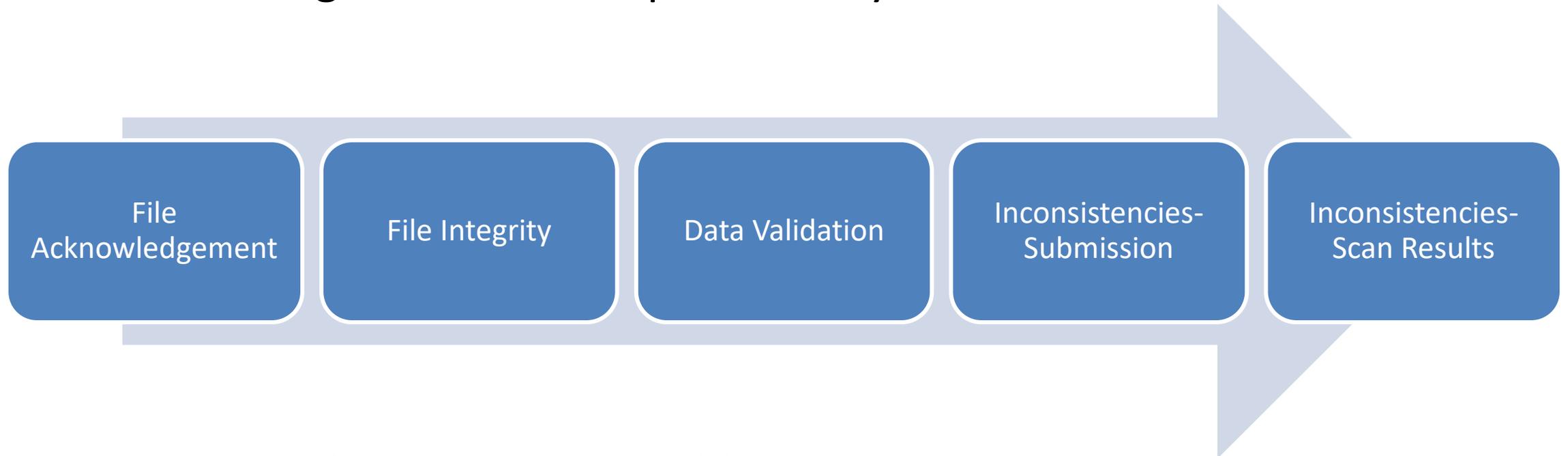
CAIS Data File and TID File

▶ Industry Members/CAT Reporting Agents must generate two files to be paired and submitted to CAT CAIS:

1. CAIS Data File
   - Contains the list of FDID records and associated data, and the core Customer data attributes, excluding the Transformed Identifier (TID).
   - Must not contain the TID data; this is to be provided in a separate Transformed Identifiers File.
   - CAIS Data File is paired with a Transformed Identifiers File.

2. Transformed Identifiers File (TIDs File)
   - Contains the list of TID values and the related Customer ID pointing to the Customer information in the CAIS Data File.
   - Transformed Identifiers File is paired with a CAIS Data File.

▶ Data and TID files must be paired within 60 minutes.

▶ File generation and pairing is done automatically for manually entered submissions via the CAT Reporter Portal- CAIS.

How CAIS Reporting Works
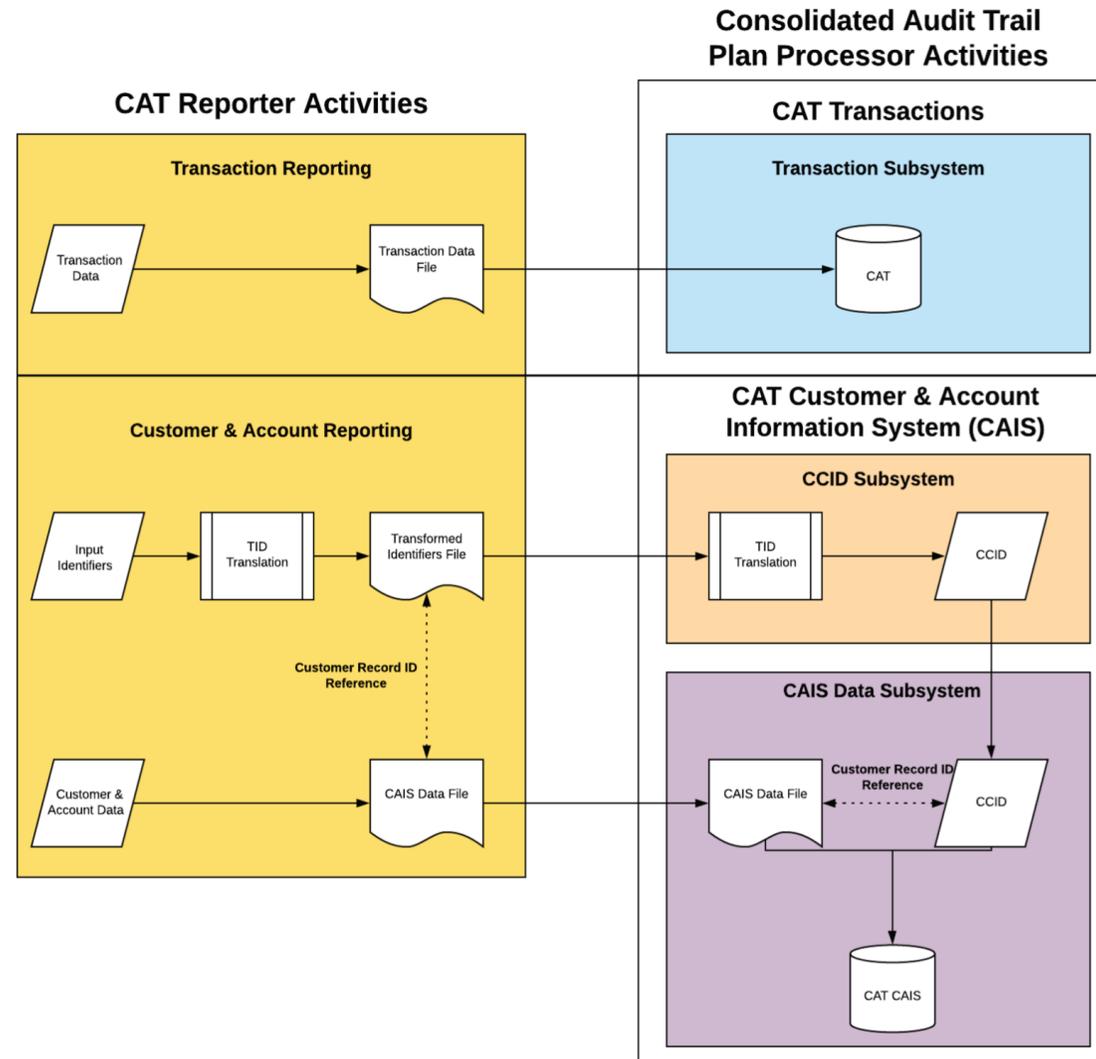
Feedback and Repair Process

▸ Feedback will be provided to Industry Members for files submitted to CAT. The stages of feedback provided by CAT are as follows:

| File Acknowledgement | File Integrity | Data Validation | Inconsistencies-Submission | Inconsistencies-Scan Results |

▸ Errors identified in all stages of feedback must be repaired, including material inconsistences within a firm or across firms.

How Full CAIS Stores Customer & Account Information

▸ PII cannot be returned to the CAT Reporter after it is submitted to CAIS.

▸ This means that CAT Reporters cannot view the current version of records.

▸ Given the above and based on industry feedback, Full CAIS was designed such that CAT Reporters must submit the full FDID record including all FDID and Customer attributes upon original submission and when changes are required.

  ◦ This is a different approach from the LTID Phase, which allowed for submitting delta files and if any FDID or Customer information was omitted in the delta file, no implicit update was made to the previously submitted values stored in CAIS.

▸ The most recent submission to Full CAIS is stored as the current version of the FDID Record; prior submissions will be available to regulators.

▸ Full CAIS does not append or add information to an FDID record that was previously submitted to and accepted by CAIS.

▸ In Full CAIS, if an Industry Member is required to update an FDID record, it must submit the entire FDID record with <u>all</u> Customer & Account information.

Example of How Full CAIS Stores Customer & Account Information

▶ An Industry Member must change the last name of Customer Melanie Jones on a joint account.

▶ In order to maintain both Customers on the FDID record, the Industry Member must report both Customers on the resubmitted FDID record.

Table 1:

Industry Member's Original CAIS Submission		
FDID	Customer 1	Customer 2
1A2042	Melanie Jones	Bob Smith

Table 2:

Correct Resubmission		
FDID	Customer 1	Customer 2
1A2042	Melanie Smith	Bob Smith

▶ If the Industry Member only reported Melanie Smith on the resubmitted FDID record, the current version of the record would only have one Customer associated to the FDID.

Table 3:

Incorrect Resubmission	
FDID	Customer 1
1A2042	Melanie Smith

Note: this does not represent all required customer and account information or specific format and is _for illustration purposes only_.

Sample Reporting Scenarios

Example 1– Order Placed Directly in Customer Account at Introducing Broker

▶ Melanie Smith and Bob Smith are joint account holders and customers of an introducing broker-dealer (IBFA).

▶ IBFA automatically routes all orders to its clearing firm (CLFA) who further routes all orders to an exchange for execution and allocates shares to customers' accounts.

▶ In Example 1, Melanie places an order with IBFA and IBFA routes the order to CLFA. CLFA then routes the order to an exchange for execution. CLFA later allocates the shares to Melanie and Bob's account.

▶ Also in Example 1, IBFA and CLFA maintain separate FDIDs for Melanie and Bob's account.

Example 1– Transaction Reporting Requirements

CAT IM Order Data

CAT Reporter IMID	CAT Event	Order ID	Event Timestamp	Symbol	B/S	Quantity	Price	Account Holder Type	Order FDID	Dest.	Sender IMID	Routed Order ID
IBFA	MENO	A12345	20190708T101830.52	ABC	B	200	10.00	I	**50955**			
IBFA	MEOR	A12345	20190708T101930.24	ABC	B	200	10.00			CLFA		85296
CLFA	MEOA	C85236	20190708T101930.26	ABC	B	200	10.00				IBFA	85296
CLFA	MEOR	C85236	20190708T101930.28	ABC	B	200	10.00			EXO		EX1234

CAT Exchange Data

Exchange ID	CAT Event	Order ID	Event Timestamp	Symbol	B/S	Quantity	Price	Capacity	Clearing Firm	Routing Party	ROID
Exch O	EOA	E12345	20190708T101930.47	ABC	B	200	10.00		1234	CLFA	EX1234
Exch O	ET	E12345	20190708T101935.31	ABC		200	10.00	A	1234		

CAT IM Allocation Data

CAT Reporter IMID	CAT Event	Sym.	Trade Date	Settle Date	IB/Corr CRD#	Allocation FDID	New Order FDID	Price	B/S	Qty.	Alloc. Time	Inst - [FINRA 4512(c)]	Alloc. Type	PB/ Cust	Allocation Instruction Time
CLFA	MEPA	ABC	7/8/19	7/11/19	555	**21098**	[Not available]	10.00	Buy	200	101830	N	Custody		

Example 1 – CAIS Reporting Requirements

- IBFA and CLFA each have their own separate and distinct CAT CAIS reporting obligations.
- IBFA may engage CLFA to report its customer and account information to CAT as a CAT Reporting Agent.
- CLFA does <u>not</u> have a CAT CAIS reporting obligation for FDID 50955 (from the MENO).
- IBFA does <u>not</u> have a CAT CAIS reporting obligation for FDID 21098 (from the MEPA).

IBFA's Customer and Account Data (from the MENO)								
firmDesignatedID	*accountType*	*fdidDate*	Natural Person Customer Information					
			firstName	*lastName*	*yearOfBirth*	*customerType*	*role*	*roleStartDate*	*tidValue (abbrev.)*
50955	OTHER	20200701	Melanie	Smith	1968	NOTAPPLICABLE	TRDHOLDER	20200701	C68a96c6f6f640bb…
			Bob	Smith	1966	NOTAPPLICABLE	TRDHOLDER	20200701	Facfa84f17d230e…

CLFA's Customer and Account Data (from the MEPA)								
firmDesignatedID	*accountType*	*fdidDate*	Natural Person Customer Information					
			firstName	*lastName*	*yearOfBirth*	*customerType*	*role*	*roleStartDate*	*tidValue (abbrev.)*
21098	OTHER	20200701	Melanie	Jones	1968	NOTAPPLICABLE	TRDHOLDER	20200701	C68a96c6f6f640bb…
			Bob	Smith	1966	NOTAPPLICABLE	TRDHOLDER	20200701	Facfa84f17d230e…

Note: this does not represent all required customer and account information or specific format and is _for illustration purposes only_.

Example 1– Generation of CCID–FDID Associations

‣ Each valid and unique input TID will result in the generation of a cryptographically randomized CCID generated by the Plan Processor.

‣ This resulting CCID will be unique for the specific input TID, and will be the resulting CCID each time the same TID is input for translation.

‣ The resulting CCID will not be returned to the CAT Reporter, will not be able to be reversed to the input TID, and is only used within the CAT to uniquely identify a single Customer without storage of Input Identifiers.

FDID and CCID Associations						
CCID	**TID (abbreviated)**	**TID Type**	**First Name**	**Last Name**	**Year Of Birth**	**Associated to FDIDs**
CAT4567	C68a96c6f6f640bb…	SSN/ITIN	Melanie	Smith	1968	**50955 21098**
CAT7890	Facfa84f17d230e…	SSN/ITIN	Bob	Smith	1966	**50955 21098**

CCID to FDID Associations are for regulatory purposes only.

▸ Melanie Smith and Bob Smith have Individual Retirement Accounts (IRAs) at a custodial broker-deal (CSTA).

▸ Melanie and Bob have authorized Big Fund Manager, an institution, to trade on their behalf in their IRAs.

▸ In Example 2, Big Fund Manager places an order with a self-clearing executing firm (SCFA). SCFA uses a Relationship ID-based FDID for Big Fund Manager. Big Fund Manager gives instructions to DVP the shares to the custodial broker-dealer (CSTA). Big Fund Manager provides allocation instructions directly to CSTA for allocation to Melanie and Bob's accounts at the custodial broker-dealer.

Example 2– Transaction Reporting Requirements

CAT IM Order Data

CAT Reporter IMID	CAT Event	Order ID	Event Timestamp	Symbol	B/S	Quantity	Price	Account Holder Type	FDID	Dest.	Routed Order ID
SCFA	MENO	A12345	20190708T101830.52	ABC	B	10,000	10.00	A	**RLT1234**		
SCFA	MEOR	A12345	20190708T101930.24	ABC	B	10,000	10.00			EXO	EX1234

CAT Exchange Data

Exchange ID	CAT Event	Order ID	Event Timestamp	Symbol	B/S	Quantity	Price	Capacity	Clearing Firm	Routing Party	ROID
Exch O	EOA	E12345	20190708T101930.47	ABC	B	10,000	10.00		1234	SCFA	EX1234
Exch O	ET	E12345	20190708T101935.31	ABC		10,000	10.00	(buy side) A	(buy side) 1234		

SCFA's Allocation Data

CAT Reporter IMID	CAT Event	Sym.	Trade Date	Settle Date	IB/Corr CRD#	Allocation FDID	New Order FDID	Price	B/S	QTY	Alloc. Time	Inst - [FINRA 4512(c)]	Alloc Type	PB/ Cust	Allocation Instruction Time
SCFA	MEPA	ABC	7/8/19	7/11/19	Not applicable	**7895**	**RLT1234**	10.00	B	10,000	101830	Y	DVP	[CSTA]	

CSTA's Allocation Data

CAT Reporter IMID	CAT Event	Sym.	Trade Date	Settle Date	IB/Corr CRD#	Allocation FDID	New Order FDID	Price	B/S	QTY	Alloc Time	Inst - FINRA 4512(c)	Alloc Type	PB/ Cust	Allocation Instruction Time
CSTA	MEPA	ABC	7/8/19	7/11/19	Not applicable	**25863**	Not available	10.00	B	5,000	080000	N	CUS		
CSTA	MEPA	ABC	7/8/19	7/11/19	Not applicable	**85200**	Not available	10.00	B	5,000	080000	N	CUS		

Example 2– CAIS Reporting Requirements

SCFA's Customer and Account Data

firmDesignatedID	accountType	fdidDate	Legal Entity Customer Information					
			legalName	ein	customerType	role	roleStartDate	tidValue (abbrev.)
RLT1234	RELATIONSHIP INSTITUTION	20200701	Big Fund Manager	00-3583529	ADVISER	TRDHOLDER	20200701	ffb84a69fcb89a4…
7895	DVP/RVP INSTITUTION	20200701	Big Fund Manager	00-3583529	ADVISER	TRDHOLDER	20200701	ffb84a69fcb89a4…

CSTA's Customer and Account Data

firmDesignatedID	accountType	fdidDate	Natural Person Customer Information					
			firstName	lastName	yearOfBirth	customerType	role	roleStartDate	tidValue (abbrev.)
25863	RETIREMENT	20200701	Melanie	Smith	1968	NOTAPPLICABLE	TRDHOLDER	20200701	C68a96c6f6f640bb…
			Legal Entity Customer Information					
			legalName	ein	customerType	role	roleStartDate	tidValue (abbrev.)
			Big Fund Manager	00-3583529	ADVISER	AUTH3RD	20200701	ffb84a69fcb89a4…

firmDesignatedID	accountType	fdidDate	Natural Person Customer Information					
			firstName	lastName	yearOfBirth	customerType	role	roleStartDate	tidValue (abbrev.)
85200	RETIREMENT	20200701	Bob	Smith	1966	NOTAPPLICABLE	TRDHOLDER	20200701	Facfa84f17d230e…
			Legal Entity Customer Information					
			legalName	ein	customerType	role	roleStartDate	tidValue (abbrev.)
			Big Fund Manager	00-3583529	ADVISER	AUTH3RD	20200701	ffb84a69fcb89a4…

Note: this does not represent all required customer and account information or specific format and is *for illustration purposes only*.

Example 2– Generation of CCID–FDID Associations

FDID and CCID Associations For the Legal Entity Customer			
CCID	**EIN**	**Legal Name**	**Associated to FDIDs**
CAT8765	00-3583529	Big Fund Manager	RLT1234 7895 25863 85200

FDID and CCID Associations For the Natural Person Customers						
CCID	**TID (abbreviated)**	**TID Type**	**First Name**	**Last Name**	**Year Of Birth**	**Associated to FDIDs**
CAT4567	C68a96c6f6f640bb…	SSN/ITIN	Melanie	Smith	1968	25863
CAT7890	Facfa84f17d230e...	SSN/ITIN	Bob	Smith	1966	85200

CCID to FDID Associations are for regulatory purposes only.

CCID–FDID Associations– Combining Examples 1 & 2

FDID and CCID Associations For Legal Entities			
CCID	EIN	Legal Name	Associated to FDIDs
CAT8765	00-3583529	Big Fund Manager	RLT1234 7895 25863 85200

FDID and CCID Associations For Natural Persons						
CCID	TID (abbreviated)	TID Type	First Name	Last Name	Year Of Birth	Associated to FDIDs
CAT4567	C68a96c6f6f640bb…	SSN/ITIN	Melanie	Smith	1968	50955 21098 25863
CAT7890	Facfa84f17d230e…	SSN/ITIN	Bob	Smith	1966	50955 21098 85200

CCID to FDID Associations are for regulatory purposes only.

Other Examples

▸ Other examples can be found in the following industry webinars:

- Industry Webinar - FDID Refresher and Introduction to Allocation Reporting (2/19/2020)
- Industry Update on the Consolidated Audit Trail Focusing on the Firm Designated Identifier ("FDID") (4/16/2019)

Key Dates

CAIS Key Dates

Topic	Event	Date
Industry Webinar	CAIS Industry Testing Checkpoint Calls	Every other Wednesday
Industry Test Release	Industry Test Environment Opens for Full CAIS	January 31, 2022
Production Certification	Full CAIS Certification Opens	February 1, 2022
Production Release	Production Environment Opens for Full CAIS	April 25, 2022
Production Certification	Full CAIS Certification Deadline	June 20, 2022
Compliance Go-Live	Production Go-Live for Full CAIS Reporting Requirements	July 11, 2022

Compliance dates are listed in the Timeline

CAIS Resources

CAIS Resources

▸ [CAT Reporting Customer and Account Technical Specifications for Industry Members- CCID](#)

▸ [Customer and Account Schemas (CCID)](#)

▸ [CAT CAIS Industry Member Reporting Scenarios](#) version 2.2.1 or higher

▸ [CAT CAIS CCID Known Issues List and Planned Technical Specifications Updates](#)

▸ [CAIS Registration & Onboarding](#) page of the CAT website
  ◦ [Industry Member CAIS Onboarding Guide](#)
  ◦ [CAT CAIS Reporter Portal User Guide](#)
  ◦ [Small Firm Roadmap to July 11, 2022](#)

▸ [Section Q of the FAQs](#)

▸ [CAIS industry webinars](#) (Past Events and Future Events)

▸ [Video Tutorials](#)

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.