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# Industry CAT CAIS Release Status

April 7<sup>th</sup>, 2022

# Agenda

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- 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

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# Industry CAT CAIS LTID Release Update

# CAIS LTID Phase Statistics – March 28th – April 3rd, 2022

## Production Environment

	Monday, 3/28	Tuesday, 3/29	Wednesday, 3/30	Thursday, 3/31	Friday, 4/1	Saturday, 4/2	Sunday, 4/3
Number of Total Submitters	49	65	65	62	68	19	3
Number of Unique Firms	267	475	520	370	488	315	3
Number of Files Received	Total: 290 Reporter Portal: 6 SFTP: 284	Total: 996 Reporter Portal: 13 SFTP: 983	Total: 970 Reporter Portal: 20 SFTP: 950	Total: 732 Reporter Portal: 15 SFTP: 717	Total: 850 Reporter Portal: 24 SFTP: 826	Total: 663 Reporter Portal: 0 SFTP: 663	Total: 3 Reporter Portal: 0 SFTP: 3
Number of Files Rejected	1	2	2	2	2	2	0
File Reject Rate	0.34%	0.20%	0.21%	0.27%	0.24%	0.30%	0.00%

# CAIS LTID Phase Statistics – March 28th – April 3rd, 2022

## Production Environment

	Monday, 3/28	Tuesday, 3/29	Wednesday, 3/30	Thursday, 3/31	Friday, 4/1	Saturday, 4/2	Sunday, 4/3
Records Accepted	294,434	721,086	792,532	777,845	781,026	461,022	809
Records Rejected	28	88	35	50	41	11	0
Records Submitted	294,462	721,174	792,567	777,895	781,067	461,033	809
Record Rejection Rate	0.01%	0.01%	0.00%	0.01%	0.01%	0.00%	0.00%

# CAT CAIS LTID Open Issues List – As of 4/4/2022

## 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	<p><b>Workaround:</b> 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.</p> <p><b>Fix:</b> 3/27/2022</p>	<b>Fix:</b> 4/24/2022	Submission Feedback

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

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

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# **Industry CAT Full CAIS Release Update**

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# Industry Member Release Rollout – Pre-Production

<b>Full CAIS Release 1</b> Industry Test – 1/31/2022 Production – 4/25/2022	<b>Full CAIS Release 2a</b> Industry Test – 3/28/2022 Production – 4/25/2022	<b>Full CAIS Release 2b</b> Industry Test – 4/11/2022 Production – 4/25/2022
<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• Industry Test Open for Machine-to-Machine File &amp; Data Integrity Validations, Material Inconsistencies, and Feedback</li><li>• Feedback file contains up to 1,000 Rejections</li></ul> <p><b>CAIS Reporter Portal</b></p> <ul style="list-style-type: none"><li>• Manual File Upload</li><li>• Manual Submission</li><li>• Submission Feedback</li><li>• Inconsistencies Feedback</li><li>• Nightly Inconsistencies Report</li></ul> <p><b>Full CAIS Certification</b> opened on 2/1/2022</p>	<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• New DRIVERLICENSE Foreign TID Type</li><li>• EIN Validation changed to format validation</li><li>• Feedback file enhanced to include all Rejections feedback</li></ul> <p><b>CAIS Reporter Portal</b></p> <ul style="list-style-type: none"><li>• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)</li></ul>	<p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• Remove OTHBKR and CP customerType values for Legal Entity Customer Records</li><li>• Remove BROKERAGE and ADVISED values for accountType</li><li>• Remove primeBrokerID and bankDepositoryID fields and add a new DVPCustodianID field</li></ul>

# Industry Member Release Rollout – Production

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

**Ingestion**

- Increase *lastName* field length to 200 characters – SFTP and File Upload within Reporter Portal

**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 3b  
Industry Test – 6/13/2022  
Production – 6/27/2022

**Ingestion**

- New OTHGOVT Foreign TID Type

**CAIS Reporter Portal**

- Increase *lastName* field length to 200 characters – Manual Form Submission

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 28th – April 3rd, 2022

Industry Test Environment							
	Monday, 3/28	Tuesday, 3/29	Wednesday, 3/30	Thursday, 3/31	Friday, 4/1	Saturday, 4/2	Sunday, 4/3
Number of Total Submitters	7	9	11	10	6	2	1
Number of Unique Firms	66	73	65	61	66	64	34
Number of Files Received	133	225	187	201	223	216	68
Number of Files Rejected	27	23	22	22	29	114	53
File Reject Rate	20.30%	10.22%	11.76%	10.95%	13.00%	52.78%	77.94%

# Full CAIS Phase Statistics – March 28th – April 3rd, 2022

## Industry Test Environment

	Monday, 3/28	Tuesday, 3/29	Wednesday, 3/30	Thursday, 3/31	Friday, 4/1	Saturday, 4/2	Sunday, 4/3
FDID Records Accepted	113,433	108,019	91,783	212,300	91,814	5,262	738
FDID Records Rejected	1,274	944	517	1,173	1,284	3,187	541
FDID Records Submitted	114,707	108,963	92,300	213,473	93,098	8,449	1,279
FDID Record Rejection Rate	1.11%	0.85%	0.56%	0.55%	1.38%	37.72%	42.30%

# Full CAIS Phase Statistics – March 28th – April 3rd, 2022

## Industry Test Environment

	Monday, 3/28	Tuesday, 3/29	Wednesday, 3/30	Thursday, 3/31	Friday, 4/1	Saturday, 4/2	Sunday, 4/3
Customer Records Accepted	15,080	19,022	4,997	24,381	5,708	6,239	875
Customer Records Rejected	1,881	1,931	324	1,951	1,399	6,699	1,151
Customer Records Submitted	16,961	20,953	5,321	26,332	7,107	12,938	2,026
Customer Record Rejection Rate	11.09%	9.22%	6.09%	7.41%	19.68%	51.78%	56.81%

# CAT Full CAIS Open Issues List – As of 4/4/2022

## 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	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
3	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
4	NEW - Open	N/A	Selecting an “Error Identification Date” within the Rejections page of the Reporter Portal may display an “Error Loading Data” message.	Code Release	Medium	Fix: 4/10/2022	Fix: N/A	Reporter Portal

# CAT Full CAIS Open Issues List – As of 4/4/2022

## 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
5	NEW - Open	N/A	Intermittent instances of CAIS Data files remaining in a FILE_INTEGRITY_PASSED status for an extended time and not completing processing, when a single FDID record has multiple data validation errors.	Code Release	Medium	<b>Workaround:</b> If the file remains in FILE_INTEGRITY_PASSED for more than 2 hours, then contact the FINRA CAT Helpdesk for further assistance.  <b>Fix:</b> 5/25/2022	<b>Fix:</b> 6/13/2022	Data Validation

# CAT Full CAIS Recently Closed Issues List

## As of 4/4/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
1	Closed	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	<b>Workaround:</b> If the file remains in file acknowledged state for more than 2 hours, then contact the FINRA CAT Helpdesk for further assistance.  <b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Data Validation
2	Closed	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	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Manual Form Submission
3	Closed	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	<b>Workaround:</b> 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.  <b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Submission Feedback



# CAT Full CAIS Recently Closed Issues List

## As of 4/4/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
4	Closed	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	Closed	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	Closed	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

# CAT Full CAIS Recently Closed Issues List

## As of 4/4/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
7	Closed	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	Closed	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	Closed	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	Closed	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	Closed	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 Recently Closed Issues List

## As of 4/4/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
12	Closed	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	Closed	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	Closed	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	Closed	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
16	Closed	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

# CAT Full CAIS Recently Closed Issues List

## As of 4/4/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production Environment Targeted Release Date/Workaround	Area Affected
17	Closed	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	<b>Workaround:</b> User may paginate through the result set's additional pages. <b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
18	Closed	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	<b>Workaround:</b> Review the TID Feedback file for file status. <b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
19	Closed	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	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
20	Closed	N/A	Filter by specific CRD within the Submission Reports does not filter properly for aggregated values.	Code Release	Low	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
21	Closed	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	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
22	Closed	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	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Reporter Portal
23	Closed	N/A	Legal Entity manual submission form displays 'PERMANENT' as a selection under Foreign TID Types dropdown.	Code Release	Low	<b>Fix:</b> 3/27/2022	<b>Fix:</b> N/A	Manual Form Submission

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# 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	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
3	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
4	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 – Recently Closed

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date	Production Environment Targeted Release Date	Area
1	Closed	N/A	Update CAIS Data File properties to change <i>fdidCustomerList</i> 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: N/A	Submission Data File
2	Closed	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
3	Closed	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
4	Closed	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	Fix: N/A	Manual Form Submission

# 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 <i>correctionAction</i> 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 <i>foreignTIDType</i> 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 <i>fdidEndReason</i> 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 <i>fdidEndReason</i> of 'INACTIVE' populated and an <i>fdidEndDate</i> set on or before the date of the report.	3/9/2022	2.0r7	8/28/2022	9/11/2022
4	Published	Remove 'BROKERAGE' <i>accountType</i> value for FDID records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
5	Published	Remove 'CP' and 'OTHBKR' <i>customerType</i> values for Legal Entity Customer Records.	3/9/2022	2.0r7	4/10/2022	4/24/2022
6	Published	Remove the <i>primeBrokerID</i> and <i>bankDepositoryID</i> attributes, and replace with a new <i>DVPCustodianID</i> 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 <i>accountType</i> is 'DVP/RVP'.	3/9/2022	2.0 r7	4/10/2022	4/24/2022
7	Published	Remove 'ADVISED' <i>accountType</i> value for FDID records.	3/9/2022	2.0 r7	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	Open	Add guidance for the temporary reporting approach for populating the <i>firstName</i> and <i>lastName</i> 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 <i>firstName</i> field with a value of "UNPARSED" and to report the unparsed name in the <i>lastName</i> 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 <i>firstName</i> and <i>lastName</i> fields.	April 2022	2.0r8	N/A	N/A
9	UPDATED - Open	Add an additional <i>foreignTIDType</i> 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 <i>foreignTIDType</i> 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	6/13/2022	6/27/2022
10	Open	Add additional guidance for use of the <i>foreignTIDType</i> 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
11	NEW - Open	Update Section 2.3 Data Types to include detail that NUMBER JSON type fields having leading zero characters are not valid JSON, and will result in a file integrity error.	April 2022	2.0r8	N/A	N/A

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

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# General Announcements and Reminders

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# Full CAIS Production Deployment Timeline

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- 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

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- 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

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- CAT CAIS Checkpoint Calls to be held every other Wednesday at 4:15 E.T. – however due to a conflict on April 20, the next call will be scheduled for Thursday, April 21, 2022
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at [catnmsplan.com](https://catnmsplan.com)

# FINRA CAT Helpdesk

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Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)

# How to Ask a Question during Today's Call

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- **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.