# Industry CAT CAIS Release Status

September 7th, 2022

# Agenda

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

# Industry CAT Full CAIS Release Update

# Industry Member Release Rollout – Pre–Full CAIS 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 – Full CAIS Production

## Full CAIS Release 3a
Industry Test – 5/25/2022

Production – 6/13/2022

**Ingestion**
- New Authorized Trader Names List on FDID record
- Increase *lastName* field length to 200 characters

**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 – 6/26/2022

Production – 7/1/2022

**Ingestion**
- New OTHGOVT Foreign TID Type

**Performance Enhancements**
- CAIS file processing improvements

**Minor Enhancements and Bug Fixes**

## Full CAIS Release 5
Industry Test – 9/19/2022

Production – 10/3/2022

**Performance Enhancements**
- CAIS file processing improvements

**Minor Enhancements and Bug Fixes**

## CAIS Report Card Release

**Report Card**
- Full CAIS Compliance begins with the January Report Card published on February 15th, 2023
- Compliance Rates distinguished for Correspondent data

# Industry Member Release Rollout – Planned Future Enhancements

**Industry Test – TBD**

**Production – TBD**

- INACTIVE End Reason
- Automated Transfer Procedure
- Optimization of error feedback

# Full CAIS Phase Statistics –
# August 29th – September 4th, 2022

| Industry Test Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Number of Total Submitters** | 23 | 23 | 23 | 24 | 25 | 7 | 4 |
| **Number of Unique Firms** | 81 | 270 | 240 | 120 | 260 | 161 | 4 |
| **Number of Files Received** | Total: 215<br>Reporter Portal: 28<br>SFTP: 187 | Total: 1,402<br>Reporter Portal: 20<br>SFTP: 1,382 | Total: 1,407<br>Reporter Portal: 117<br>SFTP: 1,290 | Total: 265<br>Reporter Portal: 9<br>SFTP: 256 | Total: 3,522<br>Reporter Portal: 12<br>SFTP: 3,510 | Total: 1,769<br>Reporter Portal: 0<br>SFTP: 1,769 | Total: 4<br>Reporter Portal: 1<br>SFTP: 3 |
| **Number of Files Rejected** | 58 | 46 | 47 | 24 | 73 | 6 | 0 |
| **File Reject Rate** | 26.98% | 3.28% | 3.34% | 9.06% | 2.07% | 0.34% | 0.00% |

# Full CAIS Phase Statistics – August 29th – September 4th, 2022

| Industry Test Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **FDID Records Accepted** | 397,142 | 2,024,629 | 2,048,569 | 1,443,866 | 2,333,163 | 738,012 | 39,317 |
| **FDID Records Rejected** | 208,120 | 301,045 | 33,974 | 417,502 | 72,413 | 8,379 | 701 |
| **FDID Records Submitted** | 605,262 | 2,325,674 | 2,082,543 | 1,861,368 | 2,405,576 | 746,391 | 40,018 |
| **FDID Record Rejection Rate** | 34.39% | 12.94% | 1.63% | 22.43% | 3.01% | 1.12% | 1.75% |

# Full CAIS Phase Statistics – August 29th – September 4th, 2022

| Industry Test Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Customer Records Accepted** | 327,011 | 2,844,362 | 2,489,112 | 1,794,259 | 2,564,521 | 955,749 | 85,406 |
| **Customer Records Rejected** | 187,634 | 541,944 | 31,334 | 646,931 | 90,539 | 9,476 | 795 |
| **Customer Records Submitted** | 514,645 | 3,386,306 | 2,520,446 | 2,441,190 | 2,655,060 | 965,225 | 86,201 |
| **Customer Record Rejection Rate** | 36.46% | 16.00% | 1.24% | 26.50% | 3.41% | 0.98% | 0.92% |

# Full CAIS Phase Statistics – August 29th – September 4th, 2022

| Production Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Number of Total Submitters** | 34 | 35 | 42 | 38 | 39 | 7 | 3 |
| **Number of Unique Firms** | 44 | 37 | 44 | 40 | 41 | 7 | 3 |
| **Number of Files Received** | Total: 344<br>Reporter Portal: 160<br>SFTP: 184 | Total: 3,092<br>Reporter Portal: 182<br>SFTP: 2,910 | Total: 236<br>Reporter Portal: 88<br>SFTP: 148 | Total: 243<br>Reporter Portal: 138<br>SFTP: 105 | Total: 159<br>Reporter Portal: 79<br>SFTP: 80 | Total: 11<br>Reporter Portal: 0<br>SFTP: 11 | Total: 22<br>Reporter Portal: 20<br>SFTP: 2 |
| **Number of Files Rejected** | 7 | 6 | 7 | 3 | 8 | 0 | 0 |
| **File Reject Rate** | 2.03% | 0.19% | 2.95% | 1.23% | 5.03% | 0.00% | 0.00% |

# Full CAIS Phase Statistics – August 29th – September 4th, 2022

| Production Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Monday, 8/29 | Tuesday, 8/30 | Wednesday, 8/31 | Thursday, 9/1 | Friday, 9/2 | Saturday, 9/3 | Sunday, 9/4 |
| FDID Records Accepted | 5,110,256 | 6,154,111 | 527,592 | 1,538,241 | 591,590 | 13,330 | 40,038 |
| FDID Records Rejected | 153,530 | 84,661 | 13,390 | 1,387,281 | 187,546 | 814 | 0 |
| FDID Records Submitted | 5,263,786 | 6,238,772 | 540,982 | 2,925,522 | 779,136 | 14,144 | 40,038 |
| FDID Record Rejection Rate | 2.92% | 1.36% | 2.48% | 47.42% | 24.07% | 5.76% | 0.00% |

# Full CAIS Phase Statistics – August 29th – September 4th, 2022

| Production Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Customer Records Accepted** | 7,296,356 | 9,481,780 | 436,767 | 1,771,293 | 727,601 | 12,829 | 86,221 |
| **Customer Records Rejected** | 151,480 | 67,304 | 21,603 | 1,803,330 | 244,058 | 1,336 | 0 |
| **Customer Records Submitted** | 7,447,836 | 9,549,084 | 458,370 | 3,574,623 | 971,659 | 14,165 | 86,221 |
| **Customer Record Rejection Rate** | 2.03% | 0.70% | 4.71% | 50.45% | 25.12% | 9.43% | 0.00% |

# Full CAIS Phase Rejection Observations

| Rejection Source | Top Rejection Reasons |
|---|---|
| **File** | • Paired Identifiers file not received<br>• Missing or invalid CAT Reporter CRD<br>• Duplicate file<br>• Missing or invalid file *version*<br>• Missing or invalid Legal Entity Customer record count |
| **FDID** | • FDID rejected because associated Customer was rejected<br>• No Customer association with trading capabilities<br>• Data type violation<br>• Multiple active roles for Customer within *fdidCustomerList*<br>• Missing ADDRESS1 type Address Record |
| **Customer** | • Customer rejected because an associated FDID was rejected<br>• Malformed TID record<br>• Missing or invalid format of *yearOfBirth*<br>• Data type violation<br>• Customer has an open material inconsistency and *updateNotification* was not set as true |

# Open Issues, Planned Enhancements, and Specification Updates

# CAT Full CAIS Open Issues List – As of 9/7/2022 Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|--------|-----------|---------|-----------|----------|---------------------------------------------------|--------------------------------------------------------------------------|---------------|
| 1 | Updated - Open | 22041 | Instances of CAIS Data feedback containing 22041 errors when the *customerRecordID* is present in the file on either a Natural Person or Legal Entity customer record, and the same *customerRecordID* has a malformed TID warning in the CAIS TIDS feedback. A 22048 error is expected instead of the 22041 error. | Code Release | Medium | **Fix**: 9/19/2022 | **Fix**: 10/3/22 | Data Validation |
| 2 | Updated - Open | N/A | Intermittent instances where feedback file versions are not correctly being generated for a submission. This issue may impact any version of both CAIS Data and TIDs feedback files. This issue also impacts LTID Phase (v1) reporting. | Code Release | Medium | **Fix**: 9/19/2022 | **Fix**: 10/3/22 | Feedback Files |
| 3 | Open | N/A | Instances when an error occurs for a customer record where the same CAT customer is reported with multiple *customerRecordID* values, SFTP feedback will include only one of the *customerRecordIDs*. The portal feedback will include all *customerRecordIDs* related to the error. | Code Release | Medium | **Fix**: TBD | **Workaround**: All affected *customerRecordIDs* are displayed within the CAIS Reporter Portal UI.<br><br>**Fix**: TBD | Feedback Files |

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

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# CAT Full CAIS Open Issues List – As of 9/7/2022 Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|--------|-----------|---------|-----------|----------|--------------------------------------------------|---------------------------------------------------------------------------|---------------|
| 4 | Updated - Open | N/A | Within the CAIS Reporter Portal Submission Report, counts of customer records repaired and outstanding are counted by TID rather than *customerRecordID*. Repaired and outstanding rejections counts may not match the count of records rejected. | Code Release | Low | **Fix: 9/19/22** | **Fix: 10/3/22** | Submission Report |
| 5 | Open | N/A | The 365-day grace period is currently only provided for 'IMPACTED' inconsistencies. This fix will apply the grace period to 'TRIGOTHER' inconsistencies as well. | Code Release | Medium | **Fix**: TBD | **Fix**: TBD | Inconsistencies |
| 6 | Updated - Open | N/A | The *customerRejectionEventID* conditional attribute within the CAIS Data Feedback File is not present for rejections against customer records. | Code Release | Low | **Fix**: TBD | **Fix**: TBD | Feedback Files |
| 7 | Updated - Open | N/A | High volumes of Rejections and Inconsistencies may result in a time-out on the UI before being displayed to the user. Limiting the number of Rejections and Inconsistencies available in the UI is under analysis. | Code Release | High | **Fix**: TBD | **Fix**: TBD | Reporter Portal |

# CAT Full CAIS Open Issues List – As of 9/7/2022 Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|---|---|---|---|---|---|---|---|
| 8 | Updated - Open | N/A | Timestamps in the Nightly Inconsistencies Feedback File are in ISO format (e.g., 2022-08-01T23:29:29.971Z) instead of the Timestamp format prescribed in the CAIS Technical Specifications. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Inconsistencies |
| 9 | Updated - Open | N/A | The *reporterCRD* attribute within the Nightly Inconsistencies Feedback File is being output as a String data type instead of Unsigned. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Inconsistencies |
| 10 | Updated - Open | N/A | Instances of rejections and inconsistencies not being repaired due to database load backlog. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Error Repairs and Inconsistencies |
| 11 | Updated-Open | N/A | Duplicate rows are present in the downloaded file when downloading the Rejections table from the Reporter UI. | Code Release | Low | **Fix**: TBD | **Fix**: TBD | Reporter UI |
| 12 | Updated - Open | 22041, 22042, 22526 | Incorrect error codes produced (22041, 22042) when a *customerRecordID* has an entry in the CAIS Data File but no entry in the TIDs File. 22526 is expected to be returned in this scenario. | Code Release | Medium | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Feedback Files |

# CAT Full CAIS Open Issues List – As of 9/7/2022 Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|--------|-----------|---------|-----------|----------|--------------------------------------------------|--------------------------------------------------------------------------|---------------|
| 13 | Open | N/A | Files containing more than 6 Million total records (FDIDs + CAT Customers) may not return feedback in the times specified within the Full CAIS Technical Specifications. | Code Release | Medium | **Fix**: TBD | **Fix**: TBD | Feedback Files |
| 14 | Updated - Open | N/A | In the event a correction or deletion within the *correctionList* is rejected, the *failedRejectionID* attribute is missing from the CAIS Data Feedback file. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Feedback Files |
| 15 | Updated - Open | N/A | The /reports directory is not being made available via SFTP in the Industry Test environment, and the FDID Version Report cannot be posted. | Code Release | Medium | **Workaround:** Access the FDID Version Report from within the CAIS Reporter Portal UI. Reports containing more than 200,000 FDIDs cannot be downloaded from the UI.  **Fix**: 9/19/22 | **Fix**: N/A | Reports |
| 16 | Updated - Open | 22044 | Intermittent instances of CAIS Data files resulting in an INCOMPLETE_PROCESSING_FAILURE status when the file contains FDID records with associations to more than one customer, and at least one of the associations does not have a populated *roleStartDate*. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Data Validation |

# CAT Full CAIS Open Issues List – As of 9/7/2022
## Release Planned/Workaround Provided

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|--------|-----------|---------|-----------|----------|---------|---------|---------------|
| 17 | Updated - Open | 23004, 23005, 22503, 22525 | Instances of rejections being erroneously produced due to database ingest backlog. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Error Repairs and Inconsistencies |
| 18 | Updated - Open | N/A | Unable to retrieve the FDID Reconciliation Report. | Code Release | Medium | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Reports |
| 19 | Open | N/A | Intermittent instances where the CAIS data feedback file does not include all the feedback stages in *statusHistory*. | Code Release | Medium | **Fix**: TBD | **Fix**: TBD | Feedback Files |
| 20 | NEW-Open | 30002, 30003, 30004 | Nightly inconsistencies feedback is not being generated in the Test and Production Environments. As a result of this issue firms are not able to access the inconsistency feedback SFTP folders. | Code Release | High | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Inconsistencies Feedback Files |

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

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# CAT Full CAIS Recently Closed Issues List
## As of 9/7/2022

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date/Workaround | Production/Production Mirror Environments Targeted Release Date/Workaround | Area Affected |
|---|--------|-----------|---------|-----------|----------|--------------------------------------------------|--------------------------------------------------------------------------|---------------|
| 1 | | | | | | | | |

# CAT CAIS Planned Enhancements – Open

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date | Production/Production Mirror Environments Targeted Release Date | Area |
|---|--------|-----------|---------|-----------|----------|----------------------------------------|---------------------------------------------------------------|------|
| 1 | 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: TBD** | Manual Form Submission |
| 2 | 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: TBD** | Manual Form Submission |
| 3 | 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.<br><br>**Fix: TBD** | **Fix: TBD** | Reporter Portal |
| 4 | Updated - Open | N/A | For both TRIG-SELF and TRIG-OTHER inconsistencies, the *materialInconsistencies* count within the Submission Inconsistencies Feedback File is 1 (e.g., "30003:1"). The count will be updated to 0 for TRIG-SELF inconsistencies and 1+ for TRIG-OTHER inconsistencies. | Code Release | Low | **Fix**: 9/19/22 | **Fix**: 10/3/22 | Feedback Files |

# CAT CAIS Planned Enhancements – Recently Closed

| # | Status | Error Code | Summary | Resolution | Priority | Test Environment Targeted Release Date | Production/Production Mirror Environments Targeted Release Date | Area |
|---|--------|-----------|---------|-----------|----------|----------------------------------------|---------------------------------------------------------------|------|
| 1 | | | | | | | | |

# CAT CAIS–
# Planned Full CAIS Phase Specification Updates

| # | Status | Summary | Publish Date | Spec Version | Effective Date - Test | Effective Date – Prod/Prod Mirror |
|---|--------|---------|--------------|--------------|------------------------|-----------------------------------|
| 1 | 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 | 2.0 r7 | TBD | TBD |
| 2 | Open | Update the description of Error Code 22523 – Customer Record rejected because an associated FDID was rejected – to include that the Error Code is also returned in the event the Customer Record is not associated to at least one FDID within the submission file. | TBD | 2.0 r10 | N/A | N/A |
| 3 | Updated - Open | Update the October 11, 2022 date in the description of the *role* value of 'AUTH3RD' to be consistent with revised FAQ T7. Specifically, prior to June 12, 2023, this *role* may be used when the Industry Member itself has authority to place orders for the Account without prior approval of the account holder(s) and is not the holder of the account. Effective June 12, 2023, the *role* for the Industry Member must be reported as 'AUTHREP'. | TBD | 2.0 r10 | N/A | N/A |
| 4 | Open | Clarify the description of the *customerType* value of 'RIC'- Customer is a Registered Investment Company, as defined in the Investment Company Act of 1940 (15 U.S.C. § 80a–3(a)(1)), if maintained in the Industry Member's general customer and account records. | TBD | 2.0 r10 | N/A | N/A |
| 5 | Open | Update the definition of the sentinel file for the Nightly Inconsistencies scans to remove the .bz2 compression. The sentinel file does not contain any significant data and does not require the compression. | TBD | 2.0r 10 | N/A | N/A |
| 6 | Open | Clarify that a total of 2,000 Customer Records can currently be associated with an FDID Record. Create an additional Error Code for more granularity on this validation, currently feedback provided under Error Code 23999 (Unhandled Exception). | TBD | 2.0 r10 | 7/31/2022 | 8/8/2022 |
| 7 | Open | Update the Table 17 and Table 18 entries for the file status of COMPLETED_FILE_TIMEOUT to include the status is also returned in the CAIS Data Feedback or TIDS Feedback files in the event the paired file is received but reaches a COMPLETED_INTEGRITY_ERROR state. | TBD | 2.0r 10 | N/A | N/A |

\* 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/Prod Mirror |
|---|--------|---------|--------------|--------------|-----------------------|------------------------------------|
| 8 | Open | Clarify that the nightly inconsistencies scan feedback for Material Inconsistencies where the Industry Member is Impacted by submissions of another Industry Member is provided to the Impacted Industry Member no later than 8AM ET each processing day. | TBD | 2.0 r10 | N/A | N/A |
| 9 | Open | Remove *submissionStatus* from Submission Inconsistencies Feedback File. | TBD | 2.0 r10 | TBD | TBD |
| 10 | Open | Remove error code 22066 (*roleStartDate* set prior to *fdidDate*). | TBD | 2.0 r10 | 7/31/2022 | 8/8/2022 |
| 11 | Open | Add warning code 24008 (Data Type Violation within *correctionList*) – present in LTID Specification but was not copied over to Full CAIS Specifications. | TBD | 2.0 r10 | N/A | N/A |
| 12 | Open | Reduce the maximum SFTP file size limit from 100GB to a lower, TBD amount. | TBD | 2.0 r10 | N/A | N/A |

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

# General Announcements and Reminders

# FINRA CAT Announcements and Reminders

➢ CAT CAIS Checkpoint Calls are being held weekly. The next call will be on September 14, 2022 at 4:15 pm ET.

➢ 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.

# Appendix A:
# Industry CAT CAIS LTID Release Update

# CAIS LTID Phase Statistics – August 29th – September 4th, 2022

| Production Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Number of Total Submitters** | 32 | 43 | 45 | 42 | 36 | 11 | 1 |
| **Number of Unique Firms** | 229 | 472 | 473 | 466 | 464 | 234 | 1 |
| **Number of Files Received** | Total: 305 Reporter Portal: 52 SFTP: 253 | Total: 1,004 Reporter Portal: 12 SFTP: 992 | Total: 960 Reporter Portal: 39 SFTP: 921 | Total: 925 Reporter Portal: 7 SFTP: 918 | Total: 925 Reporter Portal: 3 SFTP: 922 | Total: 621 Reporter Portal: 0 SFTP: 621 | Total: 1 Reporter Portal: 0 SFTP: 1 |
| **Number of Files Rejected** | 13 | 14 | 14 | 14 | 10 | 0 | 0 |
| **File Reject Rate** | 4.26% | 1.39% | 1.46% | 1.51% | 1.08% | 0.00% | 0.00% |

# CAIS LTID Phase Statistics – August 29th – September 4th, 2022

| Production Environment | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Monday, 8/29** | **Tuesday, 8/30** | **Wednesday, 8/31** | **Thursday, 9/1** | **Friday, 9/2** | **Saturday, 9/3** | **Sunday, 9/4** |
| **Records Accepted** | 105,686 | 656,440 | 628,237 | 434,353 | 629,176 | 307,321 | 0 |
| **Records Rejected** | 134 | 48,998 | 48,170 | 33,996 | 41,071 | 303 | 0 |
| **Records Submitted** | 105,820 | 705,438 | 676,407 | 468,349 | 670,247 | 307,624 | 0 |
| **Record Rejection Rate** | 0.13% | 6.95% | 7.12% | 7.26% | 6.13% | 0.10% | 0.00% |

# 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 |