
Industry CAT CAIS Release Status

October 26, 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	Full CAIS Release 2a Industry Test – 3/28/2022 Production – 4/25/2022	Full CAIS Release 2b Industry Test – 4/11/2022 Production – 4/25/2022
Ingestion <ul style="list-style-type: none">• 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 <ul style="list-style-type: none">• Manual File Upload• Manual Submission• Submission Feedback• Inconsistencies Feedback• Nightly Inconsistencies Report Full CAIS Certification opened on 2/1/2022	Ingestion <ul style="list-style-type: none">• New DRIVERLICENSE Foreign TID Type• EIN Validation changed to format validation• Feedback file enhanced to include all Rejections feedback CAIS Reporter Portal <ul style="list-style-type: none">• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)	Ingestion <ul style="list-style-type: none">• Remove OTHBKR and CP <i>customerType</i> values for Legal Entity Customer Records• Remove BROKERAGE and ADVISED values for <i>accountType</i>• Remove <i>primeBrokerID</i> and <i>bankDepositoryID</i> fields and add a new <i>DVPCustodianID</i> field

Industry Member Release Rollout – Full CAIS Production

<p>Full CAIS Release 3a Industry Test – 5/25/2022 Production – 6/13/2022</p> <p>Ingestion</p> <ul style="list-style-type: none">• New Authorized Trader Names List on FDID record• Increase <i>lastName</i> field length to 200 characters <p>Reports</p> <ul style="list-style-type: none">• FDID Version Report posted to SFTP weekly, containing active LTID Phase FDIDs not updated to Full CAIS Phase <p>CAIS Reporter Portal</p> <ul style="list-style-type: none">• FDID Version Report available on-demand, containing active LTID Phase FDIDs not updated to Full CAIS Phase	<p>Full CAIS Release 4 Industry Test – 6/26/2022 Production – 7/1/2022</p> <p>Ingestion</p> <ul style="list-style-type: none">• New OTHGOVT Foreign TID Type <p>Performance Enhancements</p> <ul style="list-style-type: none">• CAIS file processing improvements <p>Minor Enhancements and Bug Fixes</p>	<p>Full CAIS Release 5 Industry Test – 9/19/2022 Production – 10/3/2022</p> <p>Performance Enhancements</p> <ul style="list-style-type: none">• CAIS file processing improvements <p>Minor Enhancements and Bug Fixes</p>	<p>Full CAIS Release 6 Industry Test – 11/21/2022 Production – 12/5/2022</p> <p>Ingestion</p> <ul style="list-style-type: none">• Remove Error Code 22071 <p>Bug Fixes</p>
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Industry Member Release Rollout – Full CAIS Production

CAIS Report Card Release

Report Card

- Full CAIS Compliance begins with the January Report Card published on February 15, 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
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*

Full CAIS Phase Statistics – October 17 – October 23, 2022

Industry Test Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Number of Total Submitters	27	33	37	34	34	6	7
Number of Unique Firms	47	223	169	155	160	108	7
Number of Files Received	Total: 134 Reporter Portal: 41 SFTP: 93	Total: 516 Reporter Portal: 13 SFTP: 503	Total: 646 Reporter Portal: 20 SFTP: 626	Total: 521 Reporter Portal: 26 SFTP: 495	Total: 1,440 Reporter Portal: 16 SFTP: 1,424	Total: 3,831 Reporter Portal: 0 SFTP: 3,831	Total: 37 Reporter Portal: 12 SFTP: 25
Number of Files Rejected	21	87	265	209	1,065	0	10
File Reject Rate	15.67%	16.86%	41.02%	40.12%	73.96%	0.00%	27.03%

Full CAIS Phase Statistics – October 17 – October 23, 2022

Industry Test Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
FDID Records Accepted	1,184,048	1,313,124	838,579	447,104	1,044,174	389,194	8
FDID Records Rejected	42,133	246,496	300,404	278,137	5,564,982	2,163,896	180,897
FDID Records Submitted	1,226,181	1,559,620	1,138,983	725,241	6,609,156	2,553,090	180,905
FDID Record Rejection Rate	3.44%	15.80%	26.37%	38.35%	84.20%	84.76%	100.00%

Full CAIS Phase Statistics – October 17 – October 23, 2022

Industry Test Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Customer Records Accepted	497,344	1,080,306	913,422	324,804	830,371	612,587	7
Customer Records Rejected	230,863	245,173	380,868	311,924	33,467,897	3,237,170	189,596
Customer Records Submitted	728,207	1,325,479	1,294,290	636,728	34,298,268	3,849,757	189,603
Customer Record Rejection Rate	31.70%	18.50%	29.43%	48.99%	97.58%	84.09%	100.00%

Full CAIS Phase Statistics – October 17 – October 23, 2022

Production Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Number of Total Submitters	12	35	51	42	52	48	4
Number of Unique Firms	580	76	577	584	617	619	4
Number of Files Received	Total: 203 Reporter Portal: 66 SFTP: 137	Total: 1245 Reporter Portal: 72 SFTP: 1173	Total: 2249 Reporter Portal: 78 SFTP: 2171	Total: 2185 Reporter Portal: 80 SFTP: 2105	Total: 1403 Reporter Portal: 31 SFTP: 1372	Total: 3082 Reporter Portal: 1 SFTP: 3081	Total: 8 Reporter Portal: 0 SFTP: 8
Number of Files Rejected	13	36	34	89	34	23	0
File Reject Rate	6.40%	2.89%	1.51%	4.07%	2.42%	0.75%	0.00%

Full CAIS Phase Statistics – October 17 – October 23, 2022

Production Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
FDID Records Accepted	520,178	1,206,180	1,798,909	22,725,438	938,301	12,245,982	47,851
FDID Records Rejected	46,918	177,212	155,897	5,381,120	150,625	316,562	3,099
FDID Records Submitted	567,096	1,383,392	1,954,806	28,106,558	1,088,926	12,562,544	50,950
FDID Record Rejection Rate	8.27%	12.81%	7.98%	19.15%	13.83%	2.52%	6.08%

Full CAIS Phase Statistics – October 17 – October 23, 2022

Production Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Customer Records Accepted	199,208	1,214,526	2,343,478	28,632,500	738,975	14,851,382	5,886
Customer Records Rejected	48,698	187,442	178,881	27,247,831	160,447	397,625	460
Customer Records Submitted	247,906	1,401,968	2,522,359	55,880,331	899,422	15,249,007	6,346
Customer Record Rejection Rate	19.64%	13.37%	7.09%	48.75%	17.84%	2.61%	7.25%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none">• Paired Identifiers file not received• Unauthorized CAT Submitter ID• Duplicate file• CAIS file not readable• Missing or invalid file <i>version</i>
FDID	<ul style="list-style-type: none">• Missing or invalid <i>customerRecordID</i> within <i>fdidCustomerList</i>• Associated customer record rejected• Multiple active roles for customer within <i>fdidCustomerList</i>• Missing ADDRESS1 type address record• No active customer associations
Customer	<ul style="list-style-type: none">• Paired TID record validation failed – CAT customer record not processed• Customer record rejected because an associated FDID was rejected• <i>customerRecordID</i> not present in paired Identifiers file• Multiple instances of customer with differing data• Missing or invalid format of <i>yearOfBirth</i>

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 10/26/2022

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	Open	N/A	Instances when an error occurs for a customer record where the same CAT customer is reported with multiple <i>customerRecordID</i> values, SFTP feedback will include only one of the <i>customerRecordIDs</i> . The portal feedback will include all <i>customerRecordIDs</i> related to the error.	Code Release	Medium	Fix: TBD	Workaround: All affected <i>customerRecordIDs</i> are displayed within the CAIS Reporter Portal UI. Fix: TBD	Feedback Files
2	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	High	Fix: 10/31/22	Fix: 11/07/22	Inconsistencies
3	Open	N/A	The <i>customerRejectionEventID</i> conditional attribute within the CAIS Data Feedback File is not present for rejections against customer records. This field is displayed on the reporter portal as a 'Text' rather than 'Unsigned'.	Code Release	Low	Specification Update: TBD	Specification Update: TBD	Feedback Files Reporter Portal
4	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

CAT Full CAIS Open Issues List – As of 10/26/2022

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
5	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
6	Open	N/A	Triggered Inconsistencies are not appearing in Inconsistencies screen until the inconsistency is resolved and the counts are not being displayed in the Submission Report as well as the Completed Submissions screens. Inconsistencies feedback file is not impacted by this issue.	Code Release	Medium	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
7	Open	24001 24005	Correction attempt with a <i>rejectionID</i> unknown to CAIS generates an incorrect warning of 24005 instead of 24001.	Code Release	Low	Fix: TBD	Fix: N/A	Data Validation
8	Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	Fix: TBD	Fix: TBD	Reports

CAT Full CAIS Open Issues List – As of 10/26/2022

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
9	Open	N/A	In scenarios where there are multiple rejections for an FDID or Customer, some resolved and some outstanding, the CSV export of the FDID and Customer rejections screen is not displaying the accurate 'resolved' status. The reporter portal screen is not impacted by this issue.	Code Release	Medium	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
10	UPDATED-Open	N/A	User is unable to view the inconsistencies on the screen unless the user applies a filter value.	Code Release	Medium	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
11	Open	N/A	Customer Rejections from days prior to 10/3 release are not being displayed on the Customer Rejections Screen.	Code Release	High	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
12	Open	N/A	Submissions Report is displaying negative outstanding counts for rejections and inconsistencies. Also, the export is missing FDID accepted and FDID rejected columns.	Code Release	Medium	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
13	UPDATED - Open	N/A	The results returned in the rejections/inconsistencies screen do not match the total count displayed in the bottom right corner on the screen.	Code Release	Medium	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal

CAT Full CAIS Open Issues List – As of 10/26/2022

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
14	UPDATED-Open	N/A	Use of the Manual Submission with the Reporter Portal UI does not currently allow a user to enter extended text characters properly for the <i>accountName</i> field. Submission of extended text characters in the field via SFTP or upload of files within the Reporter Portal does allow for the extended text properly.	Code Release	Medium	Fix: TBD	Fix: TBD	Reporter Portal
15	Open	N/A	When a filter has been applied to the Rejections table, the CSV file downloaded includes all records in the table rather than only filtered records.	Code Release	Low	Fix: 10/31/22	Fix: 11/07/22	Reporter Portal
16	Open	N/A	In limited instances, for dates 9/22/22 and 9/23/22, impacted inconsistencies were erroneously duplicated for the same Customer. Resolving one of them using the <i>updateNotification</i> does not resolve all of the Customer's outstanding Inconsistencies.	Data Fix	Low	Fix: TBD	Fix: TBD	Reporter Portal

CAT Full CAIS Open Issues List – As of 10/26/2022

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	Open	N/A	In instances when an attempt to repair is also rejected, the user is unable to view the new rejection on the error identification date which means the feedback does not match the rejections on the reporter portal screen.	Code Release	Medium	Fix: TBD	Fix: TBD	Reporter Portal
18	Open	N/A	High volumes of Rejections and Inconsistencies may result in an incomplete CSV download error.	Code Release	High	Fix: TBD	Fix: TBD	Reporter Portal
19	NEW-Open	N/A	Intermittent instances where the rejections and inconsistencies details may be incomplete on the reporter portal screens. Rejections and Inconsistencies details are delivered via feedback files.	TBD	High	Under Investigation	N/A	Reporter Portal
20	NEW-Open	N/A	Intermittent issues with filtering results on rejections and inconsistencies.	TBD	High	Under Investigation	N/A	Reporter Portal

CAT Full CAIS Recently Closed Issues List

As of 10/26/2022

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

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. Fix: TBD	Fix: TBD	Reporter Portal

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

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 <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.	3/9/22	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	Open	Update the October 11, 2022 date in the description of the <i>role</i> value of 'AUTH3RD' to be consistent with revised FAQ T7. Specifically, prior to June 12, 2023, this <i>role</i> 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 <i>role</i> for the Industry Member must be reported as 'AUTHREP'.	TBD	2.0 r10	N/A	N/A
4	Open	Clarify the description of the <i>customerType</i> 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

* 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
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	7/31/22	8/8/22
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
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 error code 22066 (<i>roleStartDate</i> set prior to <i>fdidDate</i>).	TBD	2.0 r10	7/31/22	8/8/22
10	Open	Add warning code 24008 (Data Type Violation within <i>correctionList</i>) – present in LTID Specification but was not copied over to Full CAIS Specifications.	TBD	2.0 r10	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
11	Open	Update Table 19 to clarify that <i>updateNotifications</i> is a Main JSON Object.	TBD	2.0 r10	N/A	N/A
12	Open	Update Table 17 to clarify that <i>correspondentCRD</i> is only populated in the feedback file when <i>correspondentCRD</i> is populated in the submission file.	TBD	2.0 r10	N/A	N/A
13	Open	Update Table 17 to clarify that the data type for <i>addrType</i> is Choice rather than Text (2).	TBD	2.0 r10	N/A	N/A
14	Open	<ul style="list-style-type: none"> Table 17: Update the <i>statusHistory</i> to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING_FAILURE. Table 18: Update <i>statusHistory</i> to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE. Table 19: Update <i>submissionStatus</i> to include COMPLETED_WITH_REJECTIONS, COMPLETED_WITHOUT_REJECTIONS, and CANCELLED_BY_SUPPORT, as well as remove COMPLETED. Note: the <i>submissionStatus</i> attribute is slated for removal from the Submission Inconsistencies Feedback File in the future (effective date is TBD). 	TBD	2.0 r10	N/A	N/A
15	Open	Clarify the description of <i>customerType</i> value of 'BD' - Customer is a US registered Broker/Dealer, if maintained in the Industry Member's general customer and account records. Effective July 11, 2023, 'BD' must be populated for all US registered Broker/Dealer customer types, including for broker-dealer Customers that were not identified as 'BD' prior to July 11, 2023.	TBD	2.0 r10	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
16	UPDATED- Open	Error Code 22071 is being removed to support the reporting of Guardianship Authorized Traders as outlined in FAQ Q68. However, in all other instances, every FDID Record must have at least one CAT Customer with a <i>role</i> indicating that the Customer has trading authority.	TBD	2.0 r10	11/21/2022	12/5/2022

* 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 November 2, 2022 at 4:15 pm ET.
- The [Industry Member Full CAIS Report Card](#) webinar will be held on November 2, 2022 at 1:00 pm ET.

Industry Member Timeline Design

Requirement	Date
Production Certification Deadline	July 25, 2022
Interim reporting obligation 1: CAT Submitters Partial Submissions. <ul style="list-style-type: none"> For a single date within the range specified, complete a scheduled partial submission to the Prod Environment in Full CAIS Format. FINRA CAT will begin contacting CAT Submitters on August 1 to schedule their partial submission dates. 	August 15 – September 15, 2022
Interim reporting obligation 2: All Industry Members – Submission of all FDIDs and Customers <ul style="list-style-type: none"> For a single date within the range specified, complete a scheduled submission of the FDID Population with CAT-Reportable activity between June 12, 2022 and September 30, 2022 to the Prod Environment in Full CAIS format. FINRA CAT will begin contacting all Industry Members on October 3 to schedule their specific reporting date. 	October 10 – October 31, 2022
Interim reporting obligation 3: Daily reporting of FDID and Customer Data <ul style="list-style-type: none"> All Industry members must begin daily reporting of FDID records and changes/additions for all CAT-Reportable Activity beginning June 12, 2022 through at least September 30, 2022. Corrections to reported data are not required until Interim Reporting Obligation 4. 	November 7, 2022
Interim reporting obligation 4: All outstanding Rejections and Material Inconsistencies addressed <ul style="list-style-type: none"> All outstanding rejections and Material Inconsistencies for all CAT-reportable activity beginning June 12, 2022 are resolved. 	December 5, 2022
Full CAIS Compliance date (Error correction timeline fully enforced) <ul style="list-style-type: none"> All error repair and material inconsistency resolution deadlines are enforced. 	December 12, 2022

- ▶ An [Announcement](#) was published and the [Timeline](#) was updated. Please see [CAT Alert 2022-01](#) for more information.

LTID Phase to Full CAIS Phase Transition– Key Dates

- **October 31, 2022:** The last day to transition Active Accounts with an LTID reporting obligation from LTID Phase format (schema version 1.0.0) to Full CAIS Phase format (v2.0.0) as part of Interim Reporting Obligation 2.
 - After October 31, 2022, Industry Members should no longer submit in LTID Phase format.
- **NEW- November 6, 2022:** Starting at approximately 8 am ET, LTID Phase format submissions will no longer be accepted in the Production-Mirror or Production Environments.
 - [CAT Alert 2021-04](#) will be updated accordingly (the cutover date for Test is 8 am ET on October 30, 2022 and 8 am ET on November 6, 2022 for Production Environments).

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 – October 17th – October 23rd, 2022

Production Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Number of Total Submitters	27	31	33	33	30	10	4
Number of Unique Firms	197	360	406	404	139	17	4
Number of Files Received	Total: 217 Reporter Portal: 4 SFTP: 213	Total: 737 Reporter Portal: 1 SFTP: 736	Total: 852 Reporter Portal: 2 SFTP: 850	Total: 832 Reporter Portal: 5 SFTP: 827	Total: 597 Reporter Portal: 2 SFTP: 595	Total: 508 Reporter Portal: 0 SFTP: 508	Total: 8 Reporter Portal: 0 SFTP: 8
Number of Files Rejected	4	0	4	3	2	0	0
File Reject Rate	1.84%	0.00%	0.47%	0.36%	0.34%	0.00%	0.00%

CAIS LTID Phase Statistics – October 17th – October 23rd, 2022

Production Environment							
	Monday, 10/17	Tuesday, 10/18	Wednesday, 10/19	Thursday, 10/20	Friday, 10/21	Saturday, 10/22	Sunday, 10/23
Records Accepted	35,050	823,634	423,416	380,919	461,218	290,755	3
Records Rejected	294	517	514	548	573	334	0
Records Submitted	35,344	824,151	423,930	381,467	461,791	291,089	3
Record Rejection Rate	0.83%	0.06%	0.12%	0.14%	0.12%	0.11%	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 <i>correctionAction</i> message	TBD	V1.2.3