

---

# Industry CAT CAIS Release Status

November 2, 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
<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 <i>customerType</i> values for Legal Entity Customer Records</li><li>• Remove BROKERAGE and ADVISED values for <i>accountType</i></li><li>• Remove <i>primeBrokerID</i> and <i>bankDepositoryID</i> fields and add a new <i>DVPCustodianID</i> field</li></ul>

# Industry Member Release Rollout – Full CAIS Production

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

# 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 24<sup>th</sup> – October 30<sup>th</sup>, 2022

Industry Test Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Number of Total Submitters	30	35	39	34	33	7	2
Number of Unique Firms	140	160	163	162	155	37	4
Number of Files Received	Total: 364 Reporter Portal: 26 SFTP: 338	Total: 788 Reporter Portal: 25 SFTP: 763	Total: 931 Reporter Portal: 34 SFTP: 897	Total: 1,547 Reporter Portal: 29 SFTP: 1,518	Total: 482 Reporter Portal: 21 SFTP: 461	Total: 259 Reporter Portal: 3 SFTP: 256	Total: 9 Reporter Portal: 0 SFTP: 9
Number of Files Rejected	45	47	145	242	60	115	0
File Reject Rate	12.36%	5.96%	15.57%	15.64%	12.45%	44.40%	0.00%



# Full CAIS Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

---

Industry Test Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
FDID Records Accepted	2,172,222	1,502,631	4,258,632	3,055,531	989,520	124,536	121,021
FDID Records Rejected	257,955	479,133	94,930	16,569,245	226,669	19,482,497	7,487,481
FDID Records Submitted	2,430,177	1,981,764	1,138,983	19,624,776	1,216,189	19,607,033	7,608,502
FDID Record Rejection Rate	10.61%	24.18%	8.33%	84.43%	18.64%	99.36%	98.41%

# Full CAIS Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

---

Industry Test Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Customer Records Accepted	1,824,560	1,431,813	3,952,383	2,990,000	812,978	143,872	102,193
Customer Records Rejected	268,009	533,163	106,080	17,374,224	241,032	14,585,427	5,871,547
Customer Records Submitted	2,092,569	1,964,976	4,058,463	20,364,224	1,054,010	14,729,299	5,973,740
Customer Record Rejection Rate	12.81%	27.13%	2.61%	85.32%	22.87%	99.02%	98.29%

# Full CAIS Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

Production Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Number of Total Submitters	44	35	53	52	55	12	4
Number of Unique Firms	163	692	696	730	849	501	4
Number of Files Received	Total: 550 Reporter Portal: 73 SFTP: 477	Total: 3,361 Reporter Portal: 132 SFTP: 3,229	Total: 1,950 Reporter Portal: 93 SFTP: 1,857	Total: 4,085 Reporter Portal: 76 SFTP: 4,009	Total: 1,946 Reporter Portal: 85 SFTP: 1,861	Total: 1,600 Reporter Portal: 2 SFTP: 1,598	Total: 43 Reporter Portal: 2 SFTP: 41
Number of Files Rejected	33	64	312	70	347	138	0
File Reject Rate	6.00%	1.90%	16.00%	1.71%	17.83%	8.63%	0.00%

# Full CAIS Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

---

Production Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
FDID Records Accepted	1,220,976	5,582,474	4,879,078	5,288,262	6,500,027	3,658,084	39,093
FDID Records Rejected	42,922	254,388	392,777	153,734	503,439	489,453	360
FDID Records Submitted	1,263,898	5,836,862	5,271,855	5,441,996	7,003,466	4,147,537	39,453
FDID Record Rejection Rate	3.40%	4.36%	7.45%	2.82%	7.19%	11.80%	0.91%

# Full CAIS Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

---

Production Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Customer Records Accepted	894,151	8,510,934	7,290,383	5,478,562	7,491,052	4,697,641	55,125
Customer Records Rejected	43,146	350,757	519,151	175,766	586,5847	597,862	652
Customer Records Submitted	937,297	8,861,691	7,809,534	5,654,328	8,077,636	5,295,503	55,777
Customer Record Rejection Rate	4.60%	3.96%	6.65%	3.11%	7.26%	11.29%	1.17%

# Full CAIS Phase Rejection Observations

---

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none"><li>• Paired Identifiers file not received</li><li>• Unauthorized CAT Submitter ID</li><li>• Duplicate file</li><li>• CAIS file not Readable</li><li>• Missing or Invalid File Version</li></ul>
FDID	<ul style="list-style-type: none"><li>• Multiple active roles for Customer within <i>fdidCustomerList</i></li><li>• Associated customer record rejected</li><li>• No Customer association with trading capabilities</li><li>• Missing ADDRESS1 type address record</li><li>• No active customer associations</li></ul>
Customer	<ul style="list-style-type: none"><li>• Customer record rejected because an associated FDID was rejected</li><li>• Missing or Invalid <i>lastName</i></li><li>• Multiple instances of customer with differing data</li><li>• Missing or invalid format of <i>yearOfBirth</i></li><li>• Legal Entity CAT Customer reported with improper <i>tidType</i></li></ul>

---

# 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	<b>Workaround:</b> 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 11/2/2022

## 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: 11/21/22	Fix: 12/05/22	Reporter Portal
11	UPDATED-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: TBD	Fix: TBD	Reporter Portal
12	UPDATED-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	Inconsistencies Fix: 10/31/22 Rejections Fix: TBD	Inconsistencies Fix: 11/07/22 Rejections Fix: TBD	Reporter Portal
13	Open	N/A	The results returned in the 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 11/2/2022

## 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	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	UPDATED-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: TBD	Fix: TBD	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 11/2/2022

## 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	UPDATED-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	Fix: TBD	Fix: TBD	Reporter Portal
20	UPDATED-Open	N/A	Intermittent issues with filtering results on rejections and inconsistencies.	TBD	High	Fix: TBD	Fix: TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 11/2/2022

## 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
21	NEW-Open	N/A	Account/Customer Rejections screen incorrectly displays a status of 'Outstanding (0)' and the details screen incorrectly displays a status of 'Outstanding' instead of 'Resolved'. The individual records on details screen are accurately labeled as 'Resolved'.  Statistics and feedback are not impacted by this issue.	Code Release	Medium	Fix: TBD	Fix: N/A	Reporter Portal
22	NEW-Open	22041	If there are multiple FDIDs within a submission file that are linked to a <i>customerRecordID</i> which does not exist in the file, the file completes processing but 22041 is not returned for all FDIDs affected. Only one of the FDIDs affected will receive a 22041 error.  Statistics are impacted by this issue.	Code Release	High	Fix: TBD	Fix: TBD	Data Validation and Reporter Portal
23	NEW-Open	23004, 23005, 22503, 22525	An attempt to resolve certain errors may incorrectly generate additional erroneous rejections. For example, resolving a material inconsistency error may generate an erroneous error 22503 (Invalid Use of <i>updateNotification</i> ).  Additionally, FDID Reconciliation Report may be impacted by this issue.	Code Release	High	Fix: TBD	Fix: TBD	Data Validation

# 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	<b>Fix:</b> TBD	<b>Fix:</b> 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	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Manual Form Submission
3	Open	N/A	Certain columns are not displayed in the Submission Report by default.	Code Release	Low	<b>Workaround:</b> User may add the columns to their view.  <b>Fix:</b> TBD	<b>Fix:</b> 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"> <li>Table 17: Update the <i>statusHistory</i> to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING_FAILURE.</li> <li>Table 18: Update <i>statusHistory</i> to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE.</li> <li>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).</li> </ul>	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 - Removed	<del>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.</del>	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 9, 2022 at 4:15 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"> <li>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.</li> </ul>	August 15 – September 15, 2022
Interim reporting obligation 2: All Industry Members – Submission of all FDIDs and Customers <ul style="list-style-type: none"> <li>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.</li> </ul>	October 10 – October 31, 2022
Interim reporting obligation 3: Daily reporting of FDID and Customer Data <ul style="list-style-type: none"> <li>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.</li> </ul>	November 7, 2022
Interim reporting obligation 4: All outstanding Rejections and Material Inconsistencies addressed <ul style="list-style-type: none"> <li>All outstanding rejections and Material Inconsistencies for all CAT-reportable activity beginning June 12, 2022 are resolved.</li> </ul>	December 5, 2022
Full CAIS Compliance date (Error correction timeline fully enforced) <ul style="list-style-type: none"> <li>All error repair and material inconsistency resolution deadlines are enforced.</li> </ul>	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

---

- **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.



# FINRA CAT Helpdesk

---

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

---

- **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

---

Production Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Number of Total Submitters	23	31	28	25	23	5	3
Number of Unique Firms	80	106	88	48	40	10	3
Number of Files Received	Total: 92 Reporter Portal: 5 SFTP: 87	Total: 517 Reporter Portal: 4 SFTP: 513	Total: 485 Reporter Portal: 1 SFTP: 484	Total: 455 Reporter Portal: 0 SFTP: 455	Total: 441 Reporter Portal: 2 SFTP: 439	Total: 402 Reporter Portal: 0 SFTP: 402	Total: 229 Reporter Portal: 0 SFTP: 229
Number of Files Rejected	0	0	0	0	0	0	0
File Reject Rate	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

# CAIS LTID Phase Statistics – October 24<sup>th</sup> – October 30<sup>th</sup>, 2022

---

Production Environment							
	Monday, 10/24	Tuesday, 10/25	Wednesday, 10/26	Thursday, 10/27	Friday, 10/28	Saturday, 10/29	Sunday, 10/30
Records Accepted	48,361	313,500	332,381	312,310	293,433	207,592	80,689
Records Rejected	236	398	595	470	386	253	149,191
Records Submitted	48,597	313,898	332,976	312,780	293,819	207,845	229,880
Record Rejection Rate	0.49%	0.13%	0.18%	0.15%	0.13%	0.12%	64.90%

# 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