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# Industry CAT CAIS Release Status

November 9, 2022

# Agenda

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

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# 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
<b>Ingestion</b> <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> <b>CAIS Reporter Portal</b> <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> <b>Full CAIS Certification</b> opened on 2/1/2022	<b>Ingestion</b> <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> <b>CAIS Reporter Portal</b> <ul style="list-style-type: none"><li>• FDID Reconciliation Report updated with Full CAIS information (count of CAT Customers and Version information)</li></ul>	<b>Ingestion</b> <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

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## 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

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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 31<sup>st</sup> – November 6<sup>th</sup>, 2022

Industry Test Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
Number of Total Submitters	30	27	37	32	32	10	3
Number of Unique Firms	143	141	172	149	132	15	3
Number of Files Received	Total: 420 Reporter Portal: 15 SFTP: 415	Total: 466 Reporter Portal: 8 SFTP: 458	Total: 1,284 Reporter Portal: 34 SFTP: 1,250	Total: 2,248 Reporter Portal: 54 SFTP: 2,194	Total: 2,612 Reporter Portal: 22 SFTP: 2,590	Total: 25 Reporter Portal: 0 SFTP: 25	Total: 3 Reporter Portal: 1 SFTP: 2
Number of Files Rejected	88	175	278	124	125	0	0
File Reject Rate	20.95%	37.55%	21.65%	5.52%	4.79%	0.00%	0.00%



# Full CAIS Phase Statistics – October 31<sup>st</sup> – November 6<sup>th</sup>, 2022

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Industry Test Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
FDID Records Accepted	5,228,525	589,357	1,157,094	1,615,929	481,897	726,173	19,785
FDID Records Rejected	570,334	576,218	31,947,813	6,196,157	1,125,809	2,837	60
FDID Records Submitted	5,798,859	1,165,575	33,104,907	7,812,086	1,607,706	729,010	19,845
FDID Record Rejection Rate	9.84%	49.44%	96.50%	79.32%	70.03%	0.39%	0.30%

# Full CAIS Phase Statistics – October 31<sup>st</sup> – November 6<sup>th</sup>, 2022

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Industry Test Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
Customer Records Accepted	5,123,855	292,574	1,117,413	1,438,148	163,779	706,461	19,834
Customer Records Rejected	577,505	1,117,888	24,467,116	5,590,224	1,290,970	1,683	61
Customer Records Submitted	5,701,360	1,410,462	25,584,529	7,028,372	1,454,749	708,144	19,895
Customer Record Rejection Rate	10.13%	79.26%	95.63%	79.54%	88.74%	0.24%	0.31%

# Full CAIS Phase Statistics – October 31<sup>st</sup> – November 6<sup>th</sup>, 2022

Production Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
Number of Total Submitters	52	45	50	49	52	13	8
Number of Unique Firms	372	705	712	739	771	529	139
Number of Files Received	Total: 1,095 Reporter Portal: 49 SFTP: 1,046	Total: 1,923 Reporter Portal: 20 SFTP: 1,903	Total: 1,883 Reporter Portal: 24 SFTP: 1,859	Total: 2,015 Reporter Portal: 43 SFTP: 1,972	Total: 1,991 Reporter Portal: 19 SFTP: 1,972	Total: 1,603 Reporter Portal: 0 SFTP: 1,603	Total: 325 Reporter Portal: 1 SFTP: 324
Number of Files Rejected	167	128	126	151	132	129	6
File Reject Rate	15.25%	6.66%	6.69%	7.49%	6.63%	8.05%	1.85%

# Full CAIS Phase Statistics – October 31<sup>st</sup> – November 6<sup>th</sup>, 2022

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Production Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
FDID Records Accepted	1,299,120	1,735,068	1,990,496	5,079,741	2,449,449	11,022,304	14,638,640
FDID Records Rejected	39,995,261	289,428	240,380	576,023	228,923	2,194,853	8,585,548
FDID Records Submitted	41,294,381	2,024,496	2,230,876	5,655,764	2,678,372	13,217,157	23,224,188
FDID Record Rejection Rate	96.85%	14.30%	10.78%	10.18%	8.55%	16.61%	36.97%

# Full CAIS Phase Statistics – October 31<sup>st</sup> – November 6<sup>th</sup>, 2022

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Production Environment							
	Monday, 10/31	Tuesday, 11/1	Wednesday, 11/2	Thursday, 11/3	Friday, 11/4	Saturday, 11/5	Sunday, 11/6
Customer Records Accepted	1,067,768	1,929,887	1,848,092	4,922,528	2,296,550	11,690,589	15,639,648
Customer Records Rejected	25,354,490	348,556	279,064	601,177	266,330	2,468,720	7,771,302
Customer Records Submitted	26,422,258	2,278,443	2,127,156	5,523,705	2,562,880	14,159,309	23,410,950
Customer Record Rejection Rate	95.96%	15.30%	13.12%	10.88%	10.39%	17.44%	33.20%

# Full CAIS Phase Rejection Observations

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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>

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# Open Issues, Planned Enhancements, and Specification Updates

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# CAT Full CAIS Open Issues List – As of 11/9/2022

## 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	N/A	Intermittent instances where rejections, inconsistencies details and repair credit may be incomplete on the reporter portal screens.  Rejections and Inconsistencies details are being delivered via feedback files.	TBD	High	Fix: TBD	Fix: TBD	Reporter Portal
2	UPDATED-Open	23004, 23005, 24001, 24005, 22503, 22525	An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings. 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.	TBD	High	Fix: TBD	Fix: TBD	Data Validation
3	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
4	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
5	Open	N/A	Intermittent issues with filtering results on rejections and inconsistencies.	TBD	High	Fix: TBD	Fix: TBD	Reporter Portal

\*\*\* The Known Issues List is published on [www.catnmsplan.com](http://www.catnmsplan.com) under “Industry Member Specifications” \*\*\*



# CAT Full CAIS Open Issues List – As of 11/9/2022

## 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
6	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
7	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
8	Open	N/A	Use of the Manual Submission within 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
9	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

# CAT Full CAIS Open Issues List – As of 11/9/2022

## 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
10	UPDATED -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 displays all <i>customerRecordIDs</i> related to the error.	Code Release	Medium	<b>Fix:</b> TBD <b>Specification Update:</b> TBD	<b>Fix:</b> TBD <b>Specification Update:</b> TBD	Feedback Files
11	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	<b>Fix:</b> TBD	<b>Fix:</b> N/A	Reporter Portal
12	NEW- Open	N/A	Use of manual submission form is currently unavailable for submitter firms submitting on behalf of other reporter firms.	Code Release	Medium	<b>Fix:</b> TBD <b>Workaround:</b> Submitter firms can successfully submit via manual file upload and SFTP.	<b>Fix:</b> TBD <b>Workaround:</b> Submitter firms can successfully submit via manual file upload and SFTP.	Reporter Portal

# CAT Full CAIS Open Issues List – As of 11/9/2022

## 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	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
14	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
15	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
16	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
17	Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	Fix: TBD	Fix: TBD	Reports
18	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 Recently Closed Issues List

## As of 11/9/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
1	Closed	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
2	Closed	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
3	Closed	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
4	Closed	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
5	Closed	N/A	User is unable to view the inconsistencies on the screen unless the user applies a filter value.	Code Release	Medium	Fix: 11/04/2022	Fix: 11/07/2022	Reporter Portal

# CAT Full CAIS Recently Closed Issues List

## As of 11/9/2022

#	Status	Error Code	Summary	Resolution	Priority	Test Environment Targeted Release Date/Workaround	Production/Production Mirror Environments Targeted Release Date/Workaround	Area Affected
6	Closed	22041	<p>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.</p> <p>Statistics are impacted by this issue.</p>	Code Release	High	<b>Go-forward Fix:</b> 11/04/2022	<b>Go-forward Fix:</b> 11/07/2022	Data Validation and Reporter Portal

# 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.

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# General Announcements and Reminders

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# Update: FDID Validation Delay in the CAT Production Environment

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The FDID validation in the CAT transaction system against FDIDs submitted to CAT CAIS, previously scheduled for release on November 7, 2022, in the Production Environment and Production-Mirror Environment, has been delayed until December 5, 2022. This FDID validation is currently available in the CAT Test Environment.

# FINRA CAT Announcements and Reminders

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- CAT CAIS Checkpoint Calls are being held weekly. The next call will be on November 16, 2022 at 4:15 pm ET.
- The November 2, 2022, industry webinar, [Full CAIS Report Card](#) is available on the CAT website.
- Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at [catnmsplan.com](https://catnmsplan.com)

# 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.

# 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.