

# 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>

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<p>Full CAIS Release 3a Industry Test – 5/25/2022 Production – 6/13/2022</p> <p><b>Ingestion</b></p> <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> <p><b>Reports</b></p> <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> <p><b>CAIS Reporter Portal</b></p> <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>	<p>Full CAIS Release 4 Industry Test – 6/26/2022 Production – 7/1/2022</p> <p><b>Ingestion</b></p> <ul style="list-style-type: none"><li>• New OTHGOVT Foreign TID Type</li></ul> <p><b>Performance Enhancements</b></p> <ul style="list-style-type: none"><li>• CAIS file processing improvements</li></ul> <p><b>Minor Enhancements and Bug Fixes</b></p>	<p>Full CAIS Release 5 Industry Test – 9/19/2022 Production – 10/3/2022</p> <p><b>Performance Enhancements</b></p> <ul style="list-style-type: none"><li>• CAIS file processing improvements</li></ul> <p><b>Minor Enhancements and Bug Fixes</b></p>	<p>Full CAIS Release 6 Industry Test – 11/21/2022 Updated Production – 12/19/2022</p> <p><b>Bug Fixes</b></p>
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## CAIS Report Card Release

### **Report Card**

- The first Full CAIS Compliance Report Card will be published on May 15, 2023 for the month of April 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*