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# Industry CAT CAIS Release Status

February 1, 2023

# Agenda

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

# CAIS Compliance Date Update

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The last two Industry Member Compliance dates noted in CAT Alert 2022-01, Interim Reporting Obligation 4 and Full CAIS Compliance Go-Live, currently March 10 and March 17 respectively, will be moved to future dates to be announced shortly. The new dates are not anticipated to be before the second half of 2023 and will include sufficient time for Industry Members to correct errors once known issues that could impact their CAT reporting compliance obligations have been sufficiently remediated. Additional information will be provided in an updated CAT Alert when available.

- ✓ To remediate open issues impacting Industry Member feedback and tools, FINRA CAT will implement a series of releases throughout 2023. Each Industry Member impacting release will be announced prior to the Test and Production Environment deployments, along with the specific defects that are being remediated by each release.
- ✓ The first Full CAIS Report Card will be published for the first full month following the Full CAIS Compliance Go-Live date.

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# **Industry CAT Full CAIS Release Update**

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# Industry Member Release Rollout – Pre-Full CAIS Production

<b>Full CAIS Release 1</b> Industry Test – 1/31/2022 Production – 4/25/2022	<b>Full CAIS Release 2a</b> Industry Test – 3/28/2022 Production – 4/25/2022	<b>Full CAIS Release 2b</b> 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 – Pre-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

# Industry Member Release Rollout – Full CAIS Production

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Full CAIS Release 6 Industry Test – 11/21/2022 Production – 12/19/2022	Full CAIS Release 6b Industry Test – 1/16/2023 Production – 1/23/2023
<b>Bug Fixes</b>	<b>Ingestion</b> <ul style="list-style-type: none"><li>• Temporarily disable all Material Inconsistency validations (Inconsistency Codes 30002, 30003 and 30004)</li><li>• Temporarily disable related <i>updateNotification</i> validations (Error Codes 22503 and 22525)</li></ul>

# Industry Member Release Rollout – Full CAIS Production

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## CAIS Report Card Release

### **Report Card**

- The first Full CAIS Report Card will be published for the first full month following the Full CAIS Compliance Go-Live date.
- 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 will be made available prior to the periodic Customer & Account Information refresh
- Automated Transfer Procedure
- Optimization of error feedback
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*

# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

## Production Environment

	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
Number of Total Submitters	59	63	66	69	68	19	6
Number of Unique Firms	392	856	882	895	779	537	143
Number of Files Received	Total: 1,088 Reporter Portal: 24 SFTP: 1,064	Total: 5,236 Reporter Portal: 17 SFTP: 5,219	Total: 11,220 Reporter Portal: 21 SFTP: 11,199	Total: 5,244 Reporter Portal: 18 SFTP: 5,226	Total: 1,975 Reporter Portal: 28 SFTP: 1,947	Total: 1,794 Reporter Portal: 0 SFTP: 1,794	Total: 285 Reporter Portal: 0 SFTP: 285
Number of Files Rejected	11	45	180	101	23	56	0
File Reject Rate	1.01%	0.86%	1.60%	1.93%	1.16%	3.12%	0.00%

# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

## Production Environment

	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
FDID Records Accepted	1,116,532	3,671,320	3,221,516	3,415,328	1,796,894	1,263,784	144,454
FDID Records Rejected	57,547	223,517	352,664	292,743	175,155	248,666	911
FDID Records Submitted	1,174,079	3,894,837	3,574,180	3,708,071	1,972,049	1,512,450	145,365
FDID Record Rejection Rate	4.90%	5.74%	9.87%	7.89%	8.88%	16.44%	0.63%

# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

## Production Environment

	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
Customer Records Accepted	869,713	4,732,425	4,832,756	4,479,618	1,773,274	1,570,712	145,782
Customer Records Rejected	46,924	225,468	447,814	349,148	186,955	236,228	562
Customer Records Submitted	916,637	4,957,893	5,280,570	4,828,766	1,960,229	1,806,940	146,344
Customer Record Rejection Rate	5.12%	4.55%	8.48%	7.23%	9.54%	13.07%	0.38%

# Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none"><li>• Unauthorized CAT Submitter ID</li><li>• Duplicate File</li><li>• Paired Identifiers file not received</li><li>• Missing or Invalid FDID Record count</li><li>• Missing or invalid file version</li></ul>
FDID	<ul style="list-style-type: none"><li>• Associated Customer Record rejected</li><li>• Multiple active roles for Customer within <i>fdidCustomerList</i></li><li>• Missing ADDRESS1 type Address Record</li><li>• Missing <i>fdidCustomerList</i></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>• Missing or invalid format of <i>yearOfBirth</i></li><li>• Multiple instances of Customer with differing data</li><li>• Missing or Invalid <i>city</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 2/01/2023

## 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	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	Open	23004, 23005, 24001, 24005	An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings.  Additionally, FDID Reconciliation Report may be impacted by this issue.	TBD	High	Fix: TBD	Fix: TBD	Data Validation
3	Open	30002, 30003, 30004, 22503, 22525	An attempt to resolve a material inconsistency may incorrectly generate additional erroneous rejections and/or inconsistencies.  <b>FINRA CAT has temporarily disabled the Material Inconsistency and related updateNotification validations.</b>	TBD	High	<b>Deployed:</b> 01/16/2023  <b>Workaround/Guidance:</b> 1. Industry Members may ignore the outstanding Material Inconsistency Errors. 2. Industry Members may resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections.	<b>Deployed:</b> 01/23/2023  <b>Workaround/Guidance:</b> 1. Industry Members may ignore the outstanding Material Inconsistency Errors. 2. Industry Members may resubmit the FDID Record (with all LTID and Customer associations) in order to repair the rejections.	Data Validation
4	Open	N/A	Intermittent instances where Rejections and Inconsistencies may result in an incomplete CSV download error or an error that prevents the file from downloading.	Code Release	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 1/25/2023

## 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	Intermittent issues with filtering results on rejections and inconsistencies.	TBD	High	Fix: TBD	Fix: TBD	Reporter Portal
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	Low	Fix: TBD	Fix: TBD	Reporter Portal
9	UPDATED - Open	N/A	In instances when an attempt to repair is also rejected, the user can now filter for error identification dates, and the feedback will match the rejections on the reporter portal screen. However, the downloaded CSV file still displays the original error identification date for all the new rejections.	Code Release	Medium	Filter Fix: 1/16/23 Download Fix: TBD	Filter Fix: 1/23/23 Download 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 2/01/2023

## 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	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	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	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal
12	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	<b>Fix:</b> TBD	<b>Fix:</b> TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 2/01/2023

## 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	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
14	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
15	Open	N/A	FDID Version Report includes FDIDs that have been previously ended.	Code Release	Low	Fix: TBD	Fix: TBD	Reports
16	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 2/01/2023

## 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	22526, 22914	Incorrectly generating Error code 22526 ( <i>customerRecordID</i> not present in paired Identifiers file) instead of 22914 when the Paired TID Record fails validation.	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
18	Open	30002, 30003, 30004	Intermittent instances where the CAIS system incorrectly generates subsequent nightly inconsistencies on customer records that have already been resolved with a prior submission.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
19	Open	N/A	Rejection feedback and material inconsistencies for files submitted as of 11/21/22 are currently unavailable in the CAT CAIS Industry Test environment reporter portal. This feedback is available via SFTP.	TBD	High	Fix: TBD	Fix: N/A	Reporter Portal
20	Open	N/A	Resolved rejections and inconsistencies continue to be displayed on the screens even after 10 days of resolution.	TBD	Low	Fix: TBD	Fix: TBD	Reporter Portal
21	Open	N/A	User is unable to filter on the submission date due to submission timestamp available in UTC format.	Code Release	Low	Fix: TBD	Fix: TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 2/01/2023

## 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
22	Open	22523	Intermittent instances of incorrectly generated error code 22523 (Customer Record rejected because an associated FDID was Rejected) where the firm is not able to resolve the error.	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
23	Open	22016, 22015	Rejection feedback does not include the FDIDs being rejected in instances when the <i>ItidEffectiveDate</i> and/or <i>ItidEndDate</i> values are missing or not properly formatted. In such scenarios the customer record is rejected with the error code 22523 (Customer Record rejected because an associated FDID was Rejected).	Code Release	Medium	Fix: TBD	Fix: TBD	Data Validation
24	Open	Multiple	Incorrectly rejecting extended text data type fields when the field includes limited set of printable ASCII characters on extended range.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation
25	Open	22034	Incorrectly generating error code 22034 (Data type violation – FDID) when submitting records with a <i>branchOfficeCRD</i> or <i>registeredRepCRD</i> using the Manual Submission Form.	TBD	Low	Fix: TBD	Fix: TBD	Data Validation
26	Open	N/A	Intermittent instances of rejection and inconsistency repairs not being properly reflected in the submissions report.	TBD	Medium	Fix: TBD	Fix: TBD	Reporter Portal

# CAT Full CAIS Open Issues List – As of 2/01/2023

## 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
27	Open	30004	Intermittent instances of incorrectly generating inconsistency code 30004 when the <i>TID Type</i> is not Foreign.	TBD	Low	Fix: TBD	Fix: TBD	Inconsistencies
28	NEW – Open	N/A	Incorrectly accepting submissions which include a prohibited delimiter in the <i>postalCode</i> field. These submissions should reject with a 22034 or 22522 error. Prohibited delimiters for Text fields are comma, pipe, double quote, and the '@' symbol.	Code Release	Low	Fix: TBD	Fix: TBD	Data Validation

# CAT Full CAIS Recently Closed Issues List

## As of 2/01/2023

#	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> N/A	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	UPDATED - Open	Add a new <i>fdidEndReason</i> value of 'INACTIVE' and clarify in Section 3.8 that 'INACTIVE' will be available prior to the periodic full account refresh requirement.	TBD	2.0 r10	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	2.0 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
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	2.0 r10	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	Open	Include Error Code 24917 in Table 27 (The transformed identifiers file contains a file level attribute that is not known under the reported specification version). This Error Code has been implemented in Production but was not published in the current specification version 2.0 r9.2.	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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# FINRA CAT Announcements and Reminders

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- The next CAT CAIS Checkpoint call will be on Wednesday, February 8, 2023, at 4:15 pm ET.
- 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 Inconsistences addressed <ul style="list-style-type: none"> <li>All outstanding rejections and Material Inconsistences for all CAT-reportable activity beginning June 12, 2022 are resolved.</li> </ul>	Not anticipated to be before the second half of 2023
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>	Not anticipated to be before the second half of 2023

# 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.

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# Appendix

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# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

Industry Test Environment							
	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
Number of Total Submitters	17	26	26	22	19	8	2
Number of Unique Firms	67	244	232	228	121	173	2
Number of Files Received	Total: 289 Reporter Portal: 4 SFTP: 285	Total: 898 Reporter Portal: 9 SFTP: 889	Total: 817 Reporter Portal: 11 SFTP: 806	Total: 702 Reporter Portal: 2 SFTP: 700	Total: 377 Reporter Portal: 1 SFTP: 376	Total: 486 Reporter Portal: 0 SFTP: 486	Total: 2 Reporter Portal: 0 SFTP: 2
Number of Files Rejected	100	125	120	113	114	9	0
File Reject Rate	34.60%	13.92%	14.69%	16.10%	30.24%	1.85%	0.00%

# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

## Industry Test Environment

	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
FDID Records Accepted	253,394	553,325	315,645	274,256	241,061	69,956	0
FDID Records Rejected	8,791	17,949	79,253	128,837	21,315	1,582	0
FDID Records Submitted	262,185	571,274	394,898	403,093	262,376	71,538	0
FDID Record Rejection Rate	3.35%	3.14%	20.07%	31.96%	8.12%	2.21%	0.00%

# Full CAIS Phase Statistics – January 23<sup>rd</sup> – January 29<sup>th</sup>, 2023

## Industry Test Environment

	Monday, 1/23	Tuesday, 1/24	Wednesday, 1/25	Thursday, 1/26	Friday, 1/27	Saturday, 1/28	Sunday, 1/29
Customer Records Accepted	179,913	503,509	246,985	198,762	175,888	115,354	0
Customer Records Rejected	7,611	15,793	67,473	132,112	13,013	2,712	0
Customer Records Submitted	187,524	519,302	314,458	330,874	188,901	118,066	0
Customer Record Rejection Rate	4.06%	3.04%	21.46%	39.93%	6.89%	2.30%	0.00%