Industry CAT CAIS Release Status

April 5, 2023

Agenda

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

Industry CAT Full CAIS Release Update

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

Production Environment							
	Monday, 3/27	**Tuesday, 3/28**	**Wednesday, 3/29**	**Thursday, 3/30**	**Friday, 3/31**	**Saturday, 4/1**	**Sunday, 4/2**
Number of Total Submitters	59	74	68	70	69	23	6
Number of Unique Firms	441	836	835	842	845	552	14
Number of Files Received	Total: 930 Reporter Portal: 23 SFTP: 907	Total: 2,190 Reporter Portal: 26 SFTP: 2,164	Total: 2,271 Reporter Portal: 25 SFTP: 2,246	Total: 2,113 Reporter Portal: 19 SFTP: 2,094	Total: 2,298 Reporter Portal: 44 SFTP: 2,254	Total: 1,452 Reporter Portal: 0 SFTP: 1,452	Total: 28 Reporter Portal: 1 SFTP: 27
Number of Files Rejected	9	10	81	25	21	16	0
File Reject Rate	0.97%	0.46%	3.57%	1.18%	0.91%	1.10%	0.00%

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

Production Environment							
	Monday, 3/27	Tuesday, 3/28	Wednesday, 3/29	Thursday, 3/30	Friday, 3/31	Saturday, 4/1	Sunday, 4/2
FDID Records Accepted	903,021	1,907,729	1,891,578	1,718,285	1,798,487	1,011,432	98,489
FDID Records Rejected	671,913	780,132	156,456	156,335	162,212	106,063	654
FDID Records Submitted	1,574,934	2,687,861	2,048,034	1,874,620	2,149,533	1,117,495	99,143
FDID Record Rejection Rate	42.66%	29.02%	7.64%	8.34%	7.55%	9.49%	0.66%

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

Production Environment							
	Monday, 3/27	**Tuesday, 3/28**	**Wednesday, 3/29**	**Thursday, 3/30**	**Friday, 3/31**	**Saturday, 4/1**	**Sunday, 4/2**
Customer Records Accepted	462,367	1,768,045	1,749,482	1,632,348	1,879,742	1,284,481	100,542
Customer Records Rejected	765,813	883,616	176,639	185,663	186,111	119,051	346
Customer Records Submitted	1,228,180	2,651,661	1,926,121	1,818,011	2,065,853	1,403,532	100,888
Customer Record Rejection Rate	62.35%	33.32%	9.17%	10.21%	9.01%	8.48%	0.34%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Unauthorized CAT Submitter ID • Duplicate File • Paired Identifiers file not received • Missing or Invalid File Version • Missing or Invalid FDID Record count
FDID	• Multiple active roles for Customer within *fdidCustomerList* • Missing *fdidCustomerList* • FDID Record is rejected because an associated Customer Record was rejected • Missing *ADDRESS1* type Address Record • Missing or Invalid *city*
Customer	• Customer Record rejected because an associated FDID was rejected • Customer Record has an open Material Inconsistency and *updateNotification* was not set as true • Multiple instances of Customer with differing data • Missing or invalid *lastName* • Missing or Invalid format of *yearOfBirth*

Industry Member Release Rollout

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

Planned Future Enhancements

- 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*

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 4/05/2023 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. **FINRA CAT has temporarily disabled the Material Inconsistency and related *updateNotification* validations.**	TBD	High	**Deployed**: 01/16/2023 **Workaround/Guidance:** 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.	**Deployed**: 01/23/2023 **Workaround/Guidance:** 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 under "Industry Member Specifications" ***

CAT Full CAIS Open Issues List – As of 4/05/2023 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 *accountName* 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	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 or original submission ID 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

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CAT Full CAIS Open Issues List – As of 4/05/2023 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 *customerRecordID* values, SFTP feedback will include only one of the *customerRecordIDs*. The portal feedback displays all *customerRecordIDs* related to the error.	Code Release	Medium	**Fix**: TBD **Specification Update**: TBD	**Fix**: TBD **Specification Update**: 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	**Fix**: TBD	**Fix**: 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 *updateNotification* does not resolve all of the Customer's outstanding Inconsistencies.	Data Fix	Low	**Fix**: TBD	**Fix**: TBD	Reporter Portal

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CAT Full CAIS Open Issues List – As of 4/05/2023 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 *customerRejectionEventID* conditional attribute within the CAIS Data Feedback File is not present for rejections against customer records.\n\nThis 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 *rejectionID* 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 4/05/2023 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 (*customerRecordID* 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	UPDATED-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	**Deployed:** 01/16/2023 **Workaround/Guidance:** 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.	**Deployed:** 01/23/2023 **Workaround/Guidance:** 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
19	Open	N/A	Rejection feedback and material inconsistences 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 4/05/2023 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 *ltidEffectiveDate* and/or *ltidEndDate* 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 *branchOfficeCRD* or *registeredRepCRD* 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 4/05/2023 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 *TID Type* is not Foreign.	TBD	Low	**Fix:** TBD	**Fix:** TBD	Inconsistencies
28	Open	N/A	Incorrectly accepting submissions that include an Extended Text character and/or a prohibited delimiter in the *postalCode* 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
29	Open	N/A	Limited instances where one of the TIDS feedback versions is missing. Processing of the corresponding data files is not impacted by this issue.	TBD	Low	**Fix:** TBD	**Fix:** TBD	Feedback

*** The Known Issues List is published on www.catnmsplan.com under "Industry Member Specifications" ***

CAT Full CAIS Recently Closed Issues List
As of 4/05/2023

#	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	**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:** 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	Open	Add a new *fdidEndReason* 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 *role* value of 'AUTH3RD' to be consistent with revised FAQ T7. Specifically, prior to June 12, 2023, this *role* 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 *role* for the Industry Member must be reported as 'AUTHREP'.	TBD	2.0 r10	N/A	N/A
4	Open	Clarify the description of the *customerType* 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 (*roleStartDate* set prior to *fdidDate*).	TBD	2.0 r10	7/31/22	8/8/22
10	Open	Add warning code 24008 (Data Type Violation within *correctionList*) – present in LTID Specification but was not copied over to Full CAIS Specifications.	TBD	2.0 r10	N/A	N/A

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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 *updateNotifications* is a Main JSON Object.	TBD	2.0 r10	N/A	N/A
12	Open	Update Table 17 to clarify that *correspondentCRD* is only populated in the feedback file when *correspondentCRD* 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 *addrType* is Choice rather than Text (2).	TBD	2.0 r10	N/A	N/A
14	Open	• Table 17: Update the *statusHistory* to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING FAILURE. • Table 18: Update *statusHistory* to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE. • Table 19: Update *submissionStatus* to include COMPLETED_WITH_REJECTIONS, COMPLETED_WITHOUT_REJECTIONS, and CANCELLED_BY_SUPPORT, as well as remove COMPLETED. Note: the *submissionStatus* 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 *customerType* 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

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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
17	Open	Add correction of the corresponding data validation error code for Warning Code 24904 (Malformed TID Record - Missing or invalid *foreignTIDCountryCd*) in Table 27. Warning Code 24904 maps to Error Code 22900 and not 22914 as reported in the current specification version 2.0 r9.2.	TBD	2.0 r10	N/A	N/A
18	Open	Clarify in the Explanation of Warning Code 24005 and in Section 6.5.2 "Data Validation Errors" that repairing for Error Code 22526 requires use of the *correctionList*. Use of the *correctionList* to repair for Error Code 22526 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

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General Announcements and Reminders

FINRA CAT Announcements and Reminders

➤ The next CAT CAIS Checkpoint call will be on Wednesday, May 3, 2023, at 4:15 pm ET.

➤ Connectivity Guides, Reporting Scenarios, Use Cases, and updated FAQs available at catnmsplan.com.

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

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

	Monday, 3/27	Tuesday, 3/28	Wednesday, 3/29	Thursday, 3/30	Friday, 3/31	Saturday, 4/1	Sunday, 4/2
Industry Test Environment							
Number of Total Submitters	18	22	24	21	21	9	4
Number of Unique Firms	240	241	356	334	313	185	4
Number of Files Received	Total: 1,140 Reporter Portal: 3 SFTP: 1,137	Total: 685 Reporter Portal: 4 SFTP: 681	Total: 934 Reporter Portal: 2 SFTP: 932	Total: 921 Reporter Portal: 1 SFTP: 920	Total: 798 Reporter Portal: 5 SFTP: 793	Total: 1,143 Reporter Portal: 0 SFTP: 1,143	Total: 4 Reporter Portal: 0 SFTP: 4
Number of Files Rejected	808	29	35	78	47	217	0
File Reject Rate	70.88%	4.23%	3.75%	8.47%	5.89%	18.99%	0.00%

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

Industry Test Environment							
	Monday, 3/27	**Tuesday, 3/28**	**Wednesday, 3/29**	**Thursday, 3/30**	**Friday, 3/31**	**Saturday, 4/1**	**Sunday, 4/2**
FDID Records Accepted	296,043	427,820	1,446,317	526,806	236,775	352,547	610,086
FDID Records Rejected	71,379	63,433	189,263	144,318	102,920	8,385	1
FDID Records Submitted	367,422	491,253	1,635,580	159,494	339,695	360,932	610,087
FDID Record Rejection Rate	19.43%	12.91%	11.57%	21.50%	30.30%	2.32%	0.00%

Full CAIS Phase Statistics – March 27th – April 2nd, 2023

Industry Test Environment							
	Monday, 3/27	**Tuesday, 3/28**	**Wednesday, 3/29**	**Thursday, 3/30**	**Friday, 3/31**	**Saturday, 4/1**	**Sunday, 4/2**
Customer Records Accepted	213,787	221,624	1,072,524	356,496	282,264	622,389	611,128
Customer Records Rejected	82,108	50,073	131,701	159,494	137,155	13,941	2
Customer Records Submitted	295,895	271,697	1,204,225	515,990	419,419	636,330	611,130
Customer Record Rejection Rate	27.75%	18.43%	10.94%	30.91%	32.70%	2.19%	0.00%

Full CAIS Phase Statistics – March 20th – March 26th, 2023

	Monday, 3/20	Tuesday, 3/21	Wednesday, 3/22	Thursday, 3/23	Friday, 3/24	Saturday, 3/25	Sunday, 3/26
Production Environment							
Number of Total Submitters	59	73	71	72	73	21	8
Number of Unique Firms	471	853	851	848	844	501	11
Number of Files Received	Total: 1,012 Reporter Portal: 19 SFTP: 993	Total: 3,207 Reporter Portal: 19 SFTP: 3,188	Total: 2,280 Reporter Portal: 22 SFTP: 2,258	Total: 2,247 Reporter Portal: 31 SFTP: 2,196	Total: 2,227 Reporter Portal: 16 SFTP: 2,237	Total: 1,348 Reporter Portal: 0 SFTP: 1,348	Total: 15 Reporter Portal: 2 SFTP: 13
Number of Files Rejected	14	19	21	20	18	11	0
File Reject Rate	1.38%	0.59%	0.92%	0.89%	0.81%	0.82%	0.00%

Full CAIS Phase Statistics – March 20th – March 26th, 2023

Production Environment							
	Monday, 3/20	**Tuesday, 3/21**	**Wednesday, 3/22**	**Thursday, 3/23**	**Friday, 3/24**	**Saturday, 3/25**	**Sunday, 3/26**
FDID Records Accepted	1,694,944	2,020,824	1,986,592	1,963,094	1,953,264	1,176,817	66,005
FDID Records Rejected	51,305	227,733	493,867	781,469	168,831	755,869	19
FDID Records Submitted	1,746,249	2,248,557	2,480,459	2,744,563	2,122,095	1,932,686	66,024
FDID Record Rejection Rate	2.94%	10.13%	19.91%	28.47%	7.96%	39.11%	0.029%

Full CAIS Phase Statistics – March 20th – March 26th, 2023

Production Environment							
	Monday, 3/20	Tuesday, 3/21	Wednesday, 3/22	Thursday, 3/23	Friday, 3/24	Saturday, 3/25	Sunday, 3/26
Customer Records Accepted	1,254,161	1,877,937	1,898,186	1,802,684	1,782,739	1,493,686	68,320
Customer Records Rejected	64,314	254,716	209,201	875,885	180,124	848,703	20
Customer Records Submitted	1,318,475	2,132,653	2,107,387	2,678,569	1,962,863	2,342,389	68,340
Customer Record Rejection Rate	4.88%	11.94%	9.93%	32.70%	9.18%	36.23%	0.03%

Full CAIS Phase Statistics – March 13th – March 19th, 2023

Production Environment							
	Monday, 3/13	**Tuesday, 3/14**	**Wednesday, 3/15**	**Thursday, 3/16**	**Friday, 3/17**	**Saturday, 3/18**	**Sunday, 3/19**
Number of Total Submitters	58	68	69	70	65	25	6
Number of Unique Firms	440	864	886	863	831	540	8
Number of Files Received	Total: 1,005 Reporter Portal: 22 SFTP: 983	Total: 2,585 Reporter Portal: 13 SFTP: 2,572	Total: 2,418 Reporter Portal: 10 SFTP: 2,408	Total: 2,342 Reporter Portal: 29 SFTP: 2,313	Total: 2,253 Reporter Portal: 16 SFTP: 2,237	Total: 1,582 Reporter Portal: 0 SFTP: 1,582	Total: 15 Reporter Portal: 1 SFTP: 14
Number of Files Rejected	17	191	29	26	17	20	0
File Reject Rate	1.69%	7.39%	1.20%	1.11%	0.76%	1.26%	0.00%

Full CAIS Phase Statistics – March 13th – March 19th, 2023

Production Environment							
	Monday, 3/13	**Tuesday, 3/14**	**Wednesday, 3/15**	**Thursday, 3/16**	**Friday, 3/17**	**Saturday, 3/18**	**Sunday, 3/19**
FDID Records Accepted	2,283,821	5,799,868	3,116,413	2,367,376	1,998,888	1,381,089	57,263
FDID Records Rejected	932,679	172,017	1,072,508	145,279	248,102	141,469	41
FDID Records Submitted	3,216,500	5,971,885	4,188,921	2,512,655	2,246,990	1,522,558	57,304
FDID Record Rejection Rate	29.00%	2.88%	25.60%	5.78%	11.04%	9.29%	0.07%

Full CAIS Phase Statistics – March 13th – March 19th, 2023

Production Environment							
	Monday, 3/13	Tuesday, 3/14	Wednesday, 3/15	Thursday, 3/16	Friday, 3/17	Saturday, 3/18	Sunday, 3/19
Customer Records Accepted	1,399,949	5,885,766	2,716,132	2,388,467	1,894,877	1,724,526	60,967
Customer Records Rejected	74,564	199,852	179,634	166,518	266,625	155,468	57
Customer Records Submitted	1,474,513	6,085,618	2,895,766	2,554,985	2,161,502	1,879,994	61,024
Customer Record Rejection Rate	5.06%	3.28%	6.20%	6.52%	12.34%	8.27%	0.09%

Full CAIS Phase Statistics – March 6th – March 12th, 2023

	Monday, 3/6	Tuesday, 3/7	Wednesday, 3/8	Thursday, 3/9	Friday, 3/10	Saturday, 3/11	Sunday, 3/12
Production Environment							
Number of Total Submitters	22	23	23	26	22	8	2
Number of Unique Firms	72	231	223	337	253	109	2
Number of Files Received	Total: 178 Reporter Portal: 2 SFTP: 176	Total: 576 Reporter Portal: 0 SFTP: 576	Total: 538 Reporter Portal: 1 SFTP: 537	Total: 890 Reporter Portal: 2 SFTP: 888	Total: 699 Reporter Portal: 1 SFTP: 698	Total: 318 Reporter Portal: 0 SFTP: 318	Total: 2 Reporter Portal: 0 SFTP: 2
Number of Files Rejected	59	26	18	103	82	8	0
File Reject Rate	33.15%	4.51%	3.35%	11.57%	11.73%	2.52%	0.00%

Full CAIS Phase Statistics – March 6th – March 12th, 2023

Production Environment							
	Monday, 3/6	**Tuesday, 3/7**	**Wednesday, 3/8**	**Thursday, 3/9**	**Friday, 3/10**	**Saturday, 3/11**	**Sunday, 3/12**
FDID Records Accepted	2,901,553	656,375	536,631	542,591	1,640,537	45,524	0
FDID Records Rejected	304,848	59,576	33,472	59,063	169,390	1,216	0
FDID Records Submitted	3,206,401	715,951	570,103	601,654	1,809,927	46,740	0
FDID Record Rejection Rate	9.51%	8.32%	5.87%	9.82%	9.36%	2.60%	0.00%

Full CAIS Phase Statistics – March 6th – March 12th, 2023

Production Environment							
	Monday, 3/6	Tuesday, 3/7	Wednesday, 3/8	Thursday, 3/9	Friday, 3/10	Saturday, 3/11	Sunday, 3/12
Customer Records Accepted	2,905,906	324,544	259,656	248,855	1,592,532	60,179	0
Customer Records Rejected	294,610	33,036	16,597	36,878	154,943	2,261	0
Customer Records Submitted	3,200,516	357,580	276,253	285,733	1,747,475	62,440	0
Customer Record Rejection Rate	9.21%	9.24%	6.01%	12.91%	8.87%	3.62%	0.00%