Industry CAT CAIS Release Status

May 10, 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

Industry Member Release Rollout

Customer Address Validation
Industry Test – 7/10/2023
Production – 8/7/2023

- Enhance the 22514 Error Code to require an address on every Customer Record
- Enhance Manual Submission screen to require an address on every Customer Record
- Enhance Manual Submission enabling users to copy addresses entered on the FDID Record to a Customer Record.

*Per FAQ Q67, effective July 12, 2023, each Customer must be reported to CAIS with at least one address.

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
- Optimization of error feedback
- Validate that *correspondentCRD* is a different identifier than the *catReporterCRD*

Full CAIS Phase Statistics – May 1st – May 7th, 2023

Production Environment							
	Monday, 5/1	**Tuesday, 5/2**	**Wednesday, 5/3**	**Thursday, 5/4**	**Friday, 5/5**	**Saturday, 5/6**	**Sunday, 5/7**
Number of Total Submitters	64	72	70	69	64	23	8
Number of Unique Firms	460	841	836	846	824	569	22
Number of Files Received	Total: 973 Reporter Portal: 36 SFTP: 937	Total: 2,359 Reporter Portal: 29 SFTP: 2,330	Total: 2,111 Reporter Portal: 37 SFTP: 2,074	Total: 2,321 Reporter Portal: 13 SFTP: 2,308	Total: 2,041 Reporter Portal: 26 SFTP: 2,015	Total: 1,459 Reporter Portal: 2 SFTP: 1,457	Total: 46 Reporter Portal: 4 SFTP: 42
Number of Files Rejected	7	133	29	194	23	74	2
File Reject Rate	0.72%	5.64%	1.38%	8.36%	1.13%	5.07%	4.35%

Full CAIS Phase Statistics – May 1ˢᵗ – May 7ᵗʰ, 2023

Production Environment							
	Monday, 5/1	Tuesday, 5/2	Wednesday, 5/3	Thursday, 5/4	Friday, 5/5	Saturday, 5/6	Sunday, 5/7
FDID Records Accepted	1,304,364	2,226,952	1,997,084	1,970,147	1,872,747	1,163,644	153,313
FDID Records Rejected	35,944	248,575	185,935	156,654	183,270	129,856	179
FDID Records Submitted	1,340,308	2,475,527	2,183,019	2,126,801	2,056,017	1,293,500	153,492
FDID Record Rejection Rate	2.68%	10.04%	8.52%	7.37%	8.91%	10.04%	0.12%

Full CAIS Phase Statistics – May 1st – May 7th, 2023

Production Environment							
	Monday, 5/1	**Tuesday, 5/2**	**Wednesday, 5/3**	**Thursday, 5/4**	**Friday, 5/5**	**Saturday, 5/6**	**Sunday, 5/7**
Customer Records Accepted	884,383	2,065,640	1,840,205	1,635,830	1,690,267	1,370,424	160,018
Customer Records Rejected	36,138	291,303	204,236	181,320	209,209	150,146	273
Customer Records Submitted	920,521	2,356,943	2,044,441	1,817,150	1,899,476	1,520,570	160,291
Customer Record Rejection Rate	3.93%	12.36%	9.99%	9.98%	11.01%	9.87%	0.17%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Unauthorized CAT Submitter ID • Duplicate File • Invalid CAIS File Name • Missing or Invalid File Version • Paired Identifiers file not received
FDID	• FDID Record is rejected because an associated Customer Record was rejected • Multiple active roles for Customer within *fdidCustomerList* • Missing ADDRESS1 type Address Record • Missing or Invalid *city* • Missing *fdidCustomerList*
Customer	• Customer Record rejected because an associated FDID was rejected • Missing or invalid *lastName* • Multiple instances of Customer with differing data • Missing or Invalid format of *yearOfBirth* • Legal Entity CAT Customer reported with improper *tidType*

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 5/10/2023 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	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. Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections.	TBD	High	**Go-forward Fix: 06/05/2023** **Data Fix:** TBD	**Go-Forward Fix: 06/26/2023** **Data 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	**Go-forward Fix: TBD** **Data Fix:** TBD	**Go-Forward Fix: TBD** **Data 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 5/10/2023 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 5/10/2023 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 5/10/2023 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. 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 *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	Updated - Open	N/A	Duplicate rows are present in the downloaded file when downloading the Rejections table from the Reporter UI.	Code Release	Low	**Fix: 06/05/2023**	**Fix: 06/26/2023**	Reporter UI

CAT Full CAIS Open Issues List – As of 5/10/2023 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	Updated - 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: 06/05/2023**	**Fix: 06/26/2023**	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 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	Updated - Open	N/A	Resolved rejections and inconsistencies continue to be displayed on the screens even after 10 days of complete resolution.	TBD	Low	**Fix: 06/05/2023**	**Fix: 06/26/2023**	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

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

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CAT Full CAIS Open Issues List – As of 5/10/2023
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	Updated - Open	22016, 22015	Rejection feedback does not include the FDIDs being rejected in instances when the *ItidEffectiveDate* and/or *ItidEndDate* 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: 06/05/2023**	**Fix: 06/26/2023**	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	Updated - Open	N/A	Intermittent instances of rejection and inconsistency repairs not being properly reflected in the submissions report. Any rejections and repairs made for data submitted after these dates will be accurately reflected on the rejections screen. Users may still encounter this issue for prior rejections.	TBD	Medium	**Go-forward Fix: 06/05/2023** **Data Fix**: TBD	**Go-forward Fix: 06/26/2023** **Data Fix**: TBD	Reporter Portal

CAT Full CAIS Open Issues List – As of 5/10/2023
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

CAT Full CAIS Recently Closed Issues List
As of 5/10/2023

#	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

* 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 *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

* 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
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

* Planned Technical Specification updates are subject to approval by the CAT NMS Plan Operating Committee.

General Announcements and Reminders

Environment Availability

▶ All CAT Transaction and CAT CAIS environments will be unavailable from approximately 8 p.m. ET on Friday, May 19, 2023 until approximately 2 p.m. ET on Sunday, May 21, 2023 for a scheduled Internal Disaster Recovery Test. Industry Members will not be able to submit data to CAT during the test.

▶ FINRA CAT will send a communication when the systems become unavailable and will send another communication when the systems are back up.

Updates in Response to Industry Feedback

- ▸ The Participants and FINRA CAT plan to publish an updated Full CAIS Technical Specifications for Industry Members by the end of June 2023 that will include all clarifications and corrections outlined on the Planned Full CAIS Technical Specification Updates. Other than the requirement to include Customer address, this update will not contain any required schema changes for the submission of data.

- ▸ The Participants and FINRA CAT also plan to publish another update to the Full CAIS Technical Specifications for Industry Members to address certain items on the CAT CAIS- Known Issues List (Full CAIS) and items contained on the Planned Future Enhancements list currently published. This version will be published with sufficient lead time for Industry Members to make any necessary coding changes. The scope of these changes are anticipated to be limited to the items published on the Known Issues list and the Planned Enhancements.

- ▸ FINRA CAT and the Plan Participants are evaluating options related to clearing prior submissions and outstanding errors in the Test Environment. FINRA CAT would like feedback on whether clearing prior submissions and outstanding errors in the Test Environment would present a challenge for any Industry Members.

- ▸ 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 deployed in both Test and Production Environments. The specific defects that are being remediated by each release, and the release dates, will be announced.

- ▸ Any data fixes related to reinstating the implementation of validations will include sufficient time for Industry Members to correct errors once known issues that could impact their CAT reporting compliance obligations have been addressed.

Response to Industry Feedback Regarding CAIS Deadlines

➤ The industry has asked if the June 12, 2022 date that qualifies an FDID as an Active Account has been deferred to a later date. Answer: No.

➤ The June 12, 2022 date was established for Interim Obligation 2 and has not changed. The last date to satisfy Interim Reporting Obligation 2 was October 31, 2022. All accounts with activity on or after June 12, 2022 were required to be reported to CAIS, along with daily changes beginning with Interim Obligation 3 on November 7, 2022.   If an Industry Member has not yet reported an FDID with activity on or after June 12, 2022, they must do so regardless of the status of the account currently.

➤ Example 1: An account had activity on June 12, 2022 and was closed on December 2, 2022. This account was required to be reported to CAIS by October 2022 and should have been updated to a closed status at that time. If an Industry Member has not yet reported the account, they are still required to do so even though the account is currently closed.

➤ Example 2: An account had activity on June 12, 2022 and has not had any CAT reportable activity since. This account was required to be reported to CAIS by October 2022. If an Industry Member has not yet reported the account, they are still required to do so even though the account has not had any CAT reportable activity in the last six months.

FINRA CAT Announcements and Reminders

➢ The next [CAT CAIS Checkpoint](#) call will be on Wednesday, June 7th, 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 – May 1st – May 7th, 2023

Industry Test Environment							
	Monday, 5/1	**Tuesday, 5/2**	**Wednesday, 5/3**	**Thursday, 5/4**	**Friday, 5/5**	**Saturday, 5/6**	**Sunday, 5/7**
Number of Total Submitters	23	22	26	24	22	9	3
Number of Unique Firms	129	284	363	361	331	175	3
Number of Files Received	Total: 328 Reporter Portal: 10 SFTP: 318	Total: 783 Reporter Portal: 1 SFTP: 782	Total: 932 Reporter Portal: 1 SFTP: 931	Total: 1,055 Reporter Portal: 1 SFTP: 1,055	Total: 1,186 Reporter Portal: 2 SFTP: 1,184	Total: 514 Reporter Portal: 0 SFTP: 514	Total: 3 Reporter Portal: 0 SFTP: 3
Number of Files Rejected	56	169	160	92	128	7	0
File Reject Rate	17.07%	21.58%	17.17%	8.72%	10.79%	1.36%	0.00%

Full CAIS Phase Statistics –
May 1st – May 7th, 2023

Industry Test Environment							
	Monday, 5/1	**Tuesday, 5/2**	**Wednesday, 5/3**	**Thursday, 5/4**	**Friday, 5/5**	**Saturday, 5/6**	**Sunday, 5/7**
FDID Records Accepted	159,139	613,671	552,816	494,359	442,475	90,683	6
FDID Records Rejected	8,492	83,422	144,366	106,695	27,582	3,285	0
FDID Records Submitted	167,631	697,093	697,182	601,054	470,057	93,968	6
FDID Record Rejection Rate	5.07%	11.97%	20.71%	17.75%	5.87%	3.50%	0.00%

Full CAIS Phase Statistics – May 1st – May 7th, 2023

Industry Test Environment							
	Monday, 5/1	Tuesday, 5/2	Wednesday, 5/3	Thursday, 5/4	Friday, 5/5	Saturday, 5/6	Sunday, 5/7
Customer Records Accepted	165,845	361,972	404,101	585,444	558,205	148,183	11
Customer Records Rejected	10,003	386,763	615,400	318,761	38,537	6,215	0
Customer Records Submitted	175,848	748,735	1,019,501	904,205	596,742	154,398	11
Customer Record Rejection Rate	5.69%	51.66%	60.36%	35.25%	6.46%	4.03%	0.00%

Full CAIS Phase Statistics – April 24th – April 30th, 2023

Production Environment							
	Monday, 4/24	Tuesday, 4/25	Wednesday, 4/26	Thursday, 4/27	Friday, 4/28	Saturday, 4/29	Sunday, 4/30
Number of Total Submitters	59	76	73	72	70	21	7
Number of Unique Firms	404	865	834	873	842	493	23
Number of Files Received	Total: 881 Reporter Portal: 34 SFTP: 847	Total: 2,163 Reporter Portal: 61 SFTP: 2,102	Total: 2,066 Reporter Portal: 54 SFTP: 2,012	Total: 2,148 Reporter Portal: 43 SFTP: 2,105	Total: 2,072 Reporter Portal: 23 SFTP: 2,049	Total: 1,250 Reporter Portal: 2 SFTP: 1,248	Total: 43 Reporter Portal: 0 SFTP: 43
Number of Files Rejected	9	21	16	19	17	10	0
File Reject Rate	1.02%	0.97%	0.77%	0.89%	0.82%	0.80%	0.00%

Full CAIS Phase Statistics –
April 24th – April 30th, 2023

Production Environment							
	Monday, 4/24	**Tuesday, 4/25**	**Wednesday, 4/26**	**Thursday, 4/27**	**Friday, 4/28**	**Saturday, 4/29**	**Sunday, 4/30**
FDID Records Accepted	1,022,748	1,785,591	1,799,849	1,901,297	1,763,874	1,265,735	49,106
FDID Records Rejected	36,116	179,574	201,259	215,509	179,521	240,712	37
FDID Records Submitted	1,058,864	1,965,165	2,001,108	2,116,806	1,943,395	1,506,447	49,143
FDID Record Rejection Rate	3.41%	9.14%	10.06%	10.18%	9.24%	15.98%	0.08%

Full CAIS Phase Statistics –
April 24th – April 30th, 2023

Production Environment							
	Monday, 4/24	**Tuesday, 4/25**	**Wednesday, 4/26**	**Thursday, 4/27**	**Friday, 4/28**	**Saturday, 4/29**	**Sunday, 4/30**
Customer Records Accepted	480,517	1,584,003	1,517,552	1,549,609	1,505,158	1,535,074	52,783
Customer Records Rejected	36,496	203,803	214,786	224,329	201,472	274,713	70
Customer Records Submitted	517,013	1,787,806	1,732,338	1,773,938	1,706,630	1,809,787	52,853
Customer Record Rejection Rate	7.06%	11.40%	12.40%	12.65%	11.81%	15.18%	0.13%

Full CAIS Phase Statistics – April 17ᵗʰ – April 23ʳᵈ, 2023

Production Environment							
	Monday, 4/17	**Tuesday, 4/18**	**Wednesday, 4/19**	**Thursday, 4/20**	**Friday, 4/21**	**Saturday, 4/22**	**Sunday, 4/23**
Number of Total Submitters	61	72	72	73	69	23	8
Number of Unique Firms	455	837	853	838	783	542	80
Number of Files Received	Total: 1,107 Reporter Portal: 89 SFTP: 1,018	Total: 2,085 Reporter Portal: 15 SFTP: 2,070	Total: 2,499 Reporter Portal: 18 SFTP: 2,481	Total: 2,101 Reporter Portal: 30 SFTP: 2,071	Total: 1,918 Reporter Portal: 20 SFTP: 1,898	Total: 1,279 Reporter Portal: 3 SFTP: 1,276	Total: 164 Reporter Portal: 0 SFTP: 164
Number of Files Rejected	13	19	22	22	17	34	1
File Reject Rate	1.17%	0.91%	0.88%	1.05%	0.89%	2.66%	0.61%

Full CAIS Phase Statistics –
April 17th – April 23rd, 2023

Production Environment							
	Monday, 4/17	Tuesday, 4/18	Wednesday, 4/19	Thursday, 4/20	Friday, 4/21	Saturday, 4/22	Sunday, 4/23
FDID Records Accepted	1,456,557	2,659,628	2,620,261	1,980,300	1,896,831	1,806,225	44,398
FDID Records Rejected	505,629	235,952	194,886	158,159	138,040	78,544	7,209
FDID Records Submitted	1,962,186	2,895,580	2,815,147	2,138,459	2,034,871	1,884,769	51,607
FDID Record Rejection Rate	25.77%	8.15%	6.92%	7.40%	6.78%	4.17%	13.97%

Full CAIS Phase Statistics –
April 17th – April 23rd, 2023

Production Environment							
	Monday, 4/17	Tuesday, 4/18	Wednesday, 4/19	Thursday, 4/20	Friday, 4/21	Saturday, 4/22	Sunday, 4/23
Customer Records Accepted	990,257	2,174,740	2,383,056	1,805,835	1,529,015	1,867,168	50,567
Customer Records Rejected	415,938	200,584	214,931	194,400	152,175	100,997	7,541
Customer Records Submitted	1,406,195	2,375,324	2,597,987	2,000,235	1,681,190	1,968,165	58,108
Customer Record Rejection Rate	29.58%	8.45%	8.27%	9.72%	9.05%	5.13%	12.98%

Full CAIS Phase Statistics – April 10th – April 16th, 2023

				Production Environment			
	Monday, 4/10	**Tuesday, 4/11**	**Wednesday, 4/12**	**Thursday, 4/13**	**Friday, 4/14**	**Saturday, 4/15**	**Sunday, 4/16**
Number of Total Submitters	19	20	24	24	22	9	5
Number of Unique Firms	94	251	248	207	306	113	5
Number of Files Received	Total: 211 Reporter Portal: 6 SFTP: 205	Total: 731 Reporter Portal: 3 SFTP: 728	Total: 846 Reporter Portal: 4 SFTP: 842	Total: 599 Reporter Portal: 1 SFTP: 598	Total: 1,289 Reporter Portal: 2 SFTP: 1,287	Total: 585 Reporter Portal: 0 SFTP: 585	Total: 36 Reporter Portal: 0 SFTP: 36
Number of Files Rejected	10	115	118	127	216	112	30
File Reject Rate	4.74%	15.73%	13.95%	21.20%	16.76%	19.15%	83.33%

Full CAIS Phase Statistics – April 10th – April 16th, 2023

Production Environment							
	Monday, 4/10	Tuesday, 4/11	Wednesday, 4/12	Thursday, 4/13	Friday, 4/14	Saturday, 4/15	Sunday, 4/16
FDID Records Accepted	109,390	308,491	449,495	252,225	253,840	134,662	10,005
FDID Records Rejected	41,185	35,259	34,233	12,956	40,483	1,415	244
FDID Records Submitted	150,575	343,750	483,728	265,181	294,323	136,077	10,249
FDID Record Rejection Rate	27.35%	10.26%	7.08%	4.89%	13.76%	1.04%	2.38%

Full CAIS Phase Statistics – April 10th – April 16th, 2023

Production Environment							
	Monday, 4/10	**Tuesday, 4/11**	**Wednesday, 4/12**	**Thursday, 4/13**	**Friday, 4/14**	**Saturday, 4/15**	**Sunday, 4/16**
Customer Records Accepted	148,063	231,117	211,761	175,800	294,797	243,515	19,331
Customer Records Rejected	57,411	45,281	28,798	21,365	43,820	2,373	369
Customer Records Submitted	205,474	276,398	240,559	197,165	338,617	245,888	19,700
Customer Record Rejection Rate	27.94%	16.38%	11.97%	10.84%	12.94%	0.97%	1.87%

Full CAIS Phase Statistics – April 3rd – April 9th, 2023

	Monday, 4/3	Tuesday, 4/4	Wednesday, 4/5	Thursday, 4/6	Friday, 4/7	Saturday, 4/8	Sunday, 4/9
Production Environment							
Number of Total Submitters	57	70	70	68	37	10	4
Number of Unique Firms	319	845	830	826	595	102	5
Number of Files Received	Total: 690 Reporter Portal: 37 SFTP: 653	Total: 2,392 Reporter Portal: 20 SFTP: 2,372	Total: 2,132 Reporter Portal: 14 SFTP: 2,118	Total: 2,074 Reporter Portal: 13 SFTP: 2,061	Total: 1,548 Reporter Portal: 0 SFTP: 1,548	Total: 159 Reporter Portal: 0 SFTP: 159	Total: 13 Reporter Portal: 0 SFTP: 13
Number of Files Rejected	8	20	69	27	24	31	0
File Reject Rate	1.16%	0.84%	3.24%	1.30%	1.55%	19.50%	0.00%

Full CAIS Phase Statistics – April 3rd – April 9th, 2023

Production Environment							
	Monday, 4/3	Tuesday, 4/4	Wednesday, 4/5	Thursday, 4/6	Friday, 4/7	Saturday, 4/8	Sunday, 4/9
FDID Records Accepted	787,448	2,623,194	1,956,704	1,868,288	1,472,943	263,047	42,835
FDID Records Rejected	32,073	783,316	746,177	151,765	136,584	4,016	17
FDID Records Submitted	819,521	3,406,510	2,702,881	2,020,053	1,609,527	267,063	42,852
FDID Record Rejection Rate	3.91%	23.00%	27.61%	7.51%	8.49%	1.50%	0.04%

Full CAIS Phase Statistics – April 3rd – April 9th, 2023

Production Environment							
	Monday, 4/3	**Tuesday, 4/4**	**Wednesday, 4/5**	**Thursday, 4/6**	**Friday, 4/7**	**Saturday, 4/8**	**Sunday, 4/9**
Customer Records Accepted	480,163	2,750,822	1,839,844	1,656,442	1,389,891	425,933	48,995
Customer Records Rejected	39,785	870,247	837,693	164,614	145,408	5,118	24
Customer Records Submitted	519,948	3,621,069	2,677,537	1,821,056	1,535,299	431,051	49,019
Customer Record Rejection Rate	7.65%	24.03%	31.29%	9.04%	9.47%	1.19%	0.05%