
Industry CAT CAIS Release Status

June 7, 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 29th – June 4th, 2023

Production Environment

	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
Number of Total Submitters	24	62	71	71	69	22	6
Number of Unique Firms	57	441	856	860	839	604	19
Number of Files Received	Total: 108 Reporter Portal: 1 SFTP: 107	Total: 962 Reporter Portal: 26 SFTP: 936	Total: 4,605 Reporter Portal: 44 SFTP: 4,561	Total: 4,681 Reporter Portal: 47 SFTP: 4,634	Total: 4,593 Reporter Portal: 35 SFTP: 4,558	Total: 1,502 Reporter Portal: 1 SFTP: 1,501	Total: 44 Reporter Portal: 0 SFTP: 44
Number of Files Rejected	11	49	22	77	17	21	0
File Reject Rate	10.19%	5.09%	0.48%	1.64%	0.37%	1.40%	0.00%

Full CAIS Phase Statistics – May 29th – June 4th, 2023

Production Environment

	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
FDID Records Accepted	369,868	7,802,133	18,721,967	3,159,208	3,347,054	3,095,749	62,652
FDID Records Rejected	10,484	1,897,123	426,307	151,023	156,647	334,776	42
FDID Records Submitted	380,352	9,699,256	19,148,274	3,310,231	3,503,701	3,430,525	62,694
FDID Record Rejection Rate	2.76%	19.56%	2.23%	4.56%	4.47%	9.76%	0.07%

Full CAIS Phase Statistics – May 29th – June 4th, 2023

Production Environment

	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
Customer Records Accepted	64,937	7,026,519	20,143,664	3,139,032	4,165,538	3,681,718	72,620
Customer Records Rejected	3,621	2,186,910	954,609	598,639	628,654	802,330	75
Customer Records Submitted	68,558	9,213,429	21,098,273	3,737,671	4,794,192	4,484,048	72,695
Customer Record Rejection Rate	5.28%	23.74%	4.52%	16.02%	13.11%	17.89%	0.10%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	<ul style="list-style-type: none">• Unauthorized CAT Submitter ID• Paired Identifiers file not received• Missing or Invalid File Version• Duplicate File• Missing or Invalid Legal Entity Customer Record Count
FDID	<ul style="list-style-type: none">• FDID Record is rejected because an associated Customer Record was rejected• Multiple active roles for Customer within <i>fdidCustomerList</i>• Missing ADDRESS1 type Address Record• Missing or Invalid <i>city</i>• Missing or Invalid <i>customerRecordID</i> within <i>fdidCustomerList</i>
Customer	<ul style="list-style-type: none">• Customer Record rejected because an associated FDID was rejected• Multiple instances of Customer with differing data• Missing or invalid <i>lastName</i>• Missing or Invalid format of <i>yearOfBirth</i>• <i>customerRecordID</i> not present in paired Identifiers file

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 6/07/2023

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	<p>Intermittent instances where rejections, inconsistencies details and repair credit may be incomplete on the reporter portal screens.</p> <p>Rejections and Inconsistencies details are being delivered via feedback files.</p> <p>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.</p>	TBD	High	<p>Go-forward Fix: 06/05/2023 Data Fix: TBD</p>	<p>Go-Forward Fix: 06/26/2023 Data Fix: TBD</p>	Reporter Portal
2	Open	23004, 23005, 24001, 24005	<p>An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings.</p> <p>Additionally, FDID Reconciliation Report may be impacted by this issue.</p>	TBD	High	<p>Go-forward Fix: TBD Data Fix: TBD</p>	<p>Go-Forward Fix: TBD Data Fix: TBD</p>	Data Validation
3	Open	30002, 30003, 30004, 22503, 22525	<p>An attempt to resolve a material inconsistency may incorrectly generate additional erroneous rejections and/or inconsistencies.</p> <p>FINRA CAT has temporarily disabled the Material Inconsistency and related <i>updateNotification</i> validations.</p>	TBD	High	<p>Deployed: 01/16/2023</p> <p>Workaround/Guidance:</p> <ol style="list-style-type: none"> 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. 	<p>Deployed: 01/23/2023</p> <p>Workaround/Guidance:</p> <ol style="list-style-type: none"> 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 6/07/2023

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	Updated-Open	N/A	Intermittent instances where the Submissions Report is displaying incorrect outstanding counts for rejections and inconsistencies.	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	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 6/07/2023

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	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 <i>updateNotification</i> does not resolve all of the Customer's outstanding Inconsistencies.	Data Fix	Low	Fix: TBD	Fix: TBD	Reporter Portal
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

CAT Full CAIS Open Issues List – As of 6/07/2023

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
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: 06/05/2023	Fix: 06/26/2023	Reporter UI
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: 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

CAT Full CAIS Open Issues List – As of 6/07/2023

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
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 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
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

CAT Full CAIS Open Issues List – As of 6/07/2023

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
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: 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 <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. 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 6/07/2023

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>Type</i> 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 <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
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
30	New – Open	22042	Erroneously generating Error Code 22042 in instances where a single Customer is identified in the <i>fdidCustomerList</i> twice with roles that start and end on the same day, and the ended role is not listed first within the <i>fdidCustomerList</i> .	Code Release	Low	Fix: TBD Workaround: Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second.	Fix: TBD Workaround: Within the <i>fdidCustomerList</i> , list the Customer's ended role first and the active role second.	Data Validation

CAT Full CAIS Recently Closed Issues List

As of 6/07/2023

#	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 <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.	6/23/2023	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.	6/23/2023	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'.	6/23/2023	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.	6/23/2023	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.	6/23/2023	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).	6/23/2023	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.	6/23/2023	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.	6/23/2023	2.0 r10	N/A	N/A
9	Open	Remove error code 22066 (<i>roleStartDate</i> set prior to <i>fdidDate</i>).	6/23/2023	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.	6/23/2023	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 <i>updateNotifications</i> is a Main JSON Object.	6/23/2023	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.	6/23/2023	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).	6/23/2023	2.0 r10	N/A	N/A
14	Open	<ul style="list-style-type: none"> Table 17: Update the <i>statusHistory</i> to include COMPLETED_INTEGRITY_ERROR and INCOMPLETE_PROCESSING_FAILURE. Table 18: Update <i>statusHistory</i> to include COMPLETED_FILE_TIMEOUT and INCOMPLETE_PROCESSING_FAILURE. 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). 	6/23/2023	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.	6/23/2023	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.	6/23/2023	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 <i>foreignTIDCountryCd</i>) 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.	6/23/2023	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 <i>correctionList</i> . Use of the <i>correctionList</i> to repair for Error Code 22526 has been implemented in Production but was not published in the current specification version 2.0 r9.2.	6/23/2023	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

FINRA CAT Announcements and Reminders

- The next [CAT CAIS Checkpoint](#) call will be on Wednesday, July 12th, 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 29th – Jun 4th, 2023

Industry Test Environment							
	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
Number of Total Submitters	10	17	19	0	0	0	0
Number of Unique Firms	39	162	71	0	0	0	0
Number of Files Received	Total: 126 Reporter Portal: 0 SFTP: 126	Total: 2,183 Reporter Portal: 1 SFTP: 2,182	Total: 191 Reporter Portal: 1 SFTP: 190	Total: 0 Reporter Portal: 0 SFTP: 0	Total: 0 Reporter Portal: 0 SFTP: 0	Total: 0 Reporter Portal: 0 SFTP: 0	Total: 0 Reporter Portal: 0 SFTP: 0
Number of Files Rejected	46	1,951	8	0	0	0	0
File Reject Rate	36.51%	89.37%	4.19%	0.00%	0.00%	0.00%	0.00%

Full CAIS Phase Statistics – May 29th – Jun 4th, 2023

Industry Test Environment

	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
FDID Records Accepted	5,216,674	56,851	170,638	0	0	0	0
FDID Records Rejected	295,595	3,501	13,682	0	0	0	0
FDID Records Submitted	5,512,269	60,352	184,320	0	0	0	0
FDID Record Rejection Rate	5.36%	5.80%	7.42%	0.00%	0.00%	0.00%	0.00%

Full CAIS Phase Statistics – May 29th – Jun 4th, 2023

Industry Test Environment

	Monday, 5/29	Tuesday, 5/30	Wednesday, 5/31	Thursday, 6/1	Friday, 6/2	Saturday, 6/3	Sunday, 6/4
Customer Records Accepted	6,093,675	76,687	50,357	0	0	0	0
Customer Records Rejected	488,515	3,307	6,527	0	0	0	0
Customer Records Submitted	6,582,190	79,994	56,884	0	0	0	0
Customer Record Rejection Rate	7.42%	4.13%	11.47%	0.00%	0.00%	0.00%	0.00%

Full CAIS Phase Stdstatistics – May 22nd – May 28th, 2023

Production Environment

	Monday, 5/22	Tuesday, 5/23	Wednesday, 5/24	Thursday, 5/25	Friday, 5/26	Saturday, 5/27	Sunday, 5/28
Number of Total Submitters	58	74	72	76	63	27	3
Number of Unique Firms	295	863	851	830	840	577	4
Number of Files Received	Total: 692 Reporter Portal: 65 SFTP: 627	Total: 4,540 Reporter Portal: 51 SFTP: 4,489	Total: 2,168 Reporter Portal: 33 SFTP: 2,135	Total: 7,862 Reporter Portal: 26 SFTP: 7,836	Total: 4,681 Reporter Portal: 19 SFTP: 4,662	Total: 1,567 Reporter Portal: 0 SFTP: 1,567	Total: 7 Reporter Portal: 0 SFTP: 7
Number of Files Rejected	0	188	18	20	23	11	0
File Reject Rate	0.00%	4.14%	0.83%	0.25%	0.49%	0.70%	0.00%

Full CAIS Phase Statistics – May 22nd – May 28th, 2023

Production Environment

	Monday, 5/22	Tuesday, 5/23	Wednesday, 5/24	Thursday, 5/25	Friday, 5/26	Saturday, 5/27	Sunday, 5/28
FDID Records Accepted	1,651,744	3,423,817	2,286,316	3,220,658	3,260,729	1,263,479	41,069
FDID Records Rejected	33,244	164,540	154,136	136,015	136,567	74,092	30
FDID Records Submitted	1,684,988	3,588,357	2,440,452	3,356,673	3,397,296	1,337,571	41,099
FDID Record Rejection Rate	1.97%	4.59%	6.32%	4.05%	4.02%	5.54%	0.07%

Full CAIS Phase Statistics – May 22nd – May 28th, 2023

Production Environment

	Monday, 5/22	Tuesday, 5/23	Wednesday, 5/24	Thursday, 5/25	Friday, 5/26	Saturday, 5/27	Sunday, 5/28
Customer Records Accepted	1,204,805	3,325,210	2,136,424	3,074,556	3,207,249	1,641,817	42,244
Customer Records Rejected	33,931	586,473	561,873	477,993	538,250	109,199	15
Customer Records Submitted	1,238,736	3,911,683	2,698,297	3,552,549	3,745,499	1,751,016	42,259
Customer Record Rejection Rate	2.74%	14.99%	20.82%	13.45%	14.37%	6.24%	0.04%

Full CAIS Phase Statistics – May 15th – May 21st, 2023

Production Environment

	Monday, 5/15	Tuesday, 5/16	Wednesday, 5/17	Thursday, 5/18	Friday, 5/19	Saturday, 5/20	Sunday, 5/21
Number of Total Submitters	53	69	74	67	61	0	32
Number of Unique Firms	321	847	864	834	668	0	656
Number of Files Received	Total: 723 Reporter Portal: 48 SFTP: 675	Total: 4,550 Reporter Portal: 51 SFTP: 4,499	Total: 4,785 Reporter Portal: 72 SFTP: 4,713	Total: 2,109 Reporter Portal: 55 SFTP: 2,054	Total: 1,721 Reporter Portal: 59 SFTP: 1,662	Total: 0 Reporter Portal: 0 SFTP: 0	Total: 1,441 Reporter Portal: 0 SFTP: 1,441
Number of Files Rejected	10	17	29	22	18	0	17
File Reject Rate	1.38%	0.37%	0.61%	1.04%	1.05%	0.00%	1.18%

Full CAIS Phase Statistics – May 15th – May 21st, 2023

Production Environment

	Monday, 5/15	Tuesday, 5/16	Wednesday, 5/17	Thursday, 5/18	Friday, 5/19	Saturday, 5/20	Sunday, 5/21
FDID Records Accepted	1,596,443	3,352,463	3,617,803	2,076,450	1,569,706	0	1,586,865
FDID Records Rejected	52,852	132,913	148,480	131,722	111,235	0	116,250
FDID Records Submitted	1,649,295	3,485,376	3,766,283	2,208,172	1,680,941	0	1,703,115
FDID Record Rejection Rate	3.20%	3.81%	3.94%	5.97%	6.62%	0.00%	6.83%

Full CAIS Phase Statistics – May 15th – May 21st, 2023

Production Environment

	Monday, 5/15	Tuesday, 5/16	Wednesday, 5/17	Thursday, 5/18	Friday, 5/19	Saturday, 5/20	Sunday, 5/21
Customer Records Accepted	1,212,891	3,139,310	3,555,674	2,045,953	1,692,716	0	1,778,547
Customer Records Rejected	50,377	529,889	532,966	478,663	466,385	0	482,715
Customer Records Submitted	1,263,268	3,669,199	4,088,640	2,524,616	2,159,101	0	2,261,262
Customer Record Rejection Rate	3.99%	14.44%	13.03%	18.96%	21.60%	0.00%	21.35%

Full CAIS Phase Statistics – May 8th – May 14th, 2023

Production Environment

	Monday, 5/8	Tuesday, 5/9	Wednesday, 5/10	Thursday, 5/11	Friday, 5/12	Saturday, 5/13	Sunday, 5/14
Number of Total Submitters	61	71	65	71	66	22	7
Number of Unique Firms	349	861	840	850	834	656	8
Number of Files Received	Total: 795 Reporter Portal: 27 SFTP: 768	Total: 2,160 Reporter Portal: 19 SFTP: 2,141	Total: 2,085 Reporter Portal: 33 SFTP: 2,052	Total: 2,112 Reporter Portal: 41 SFTP: 2,071	Total: 2,111 Reporter Portal: 35 SFTP: 2,076	Total: 1,638 Reporter Portal: 3 SFTP: 1,635	Total: 11 Reporter Portal: 1 SFTP: 10
Number of Files Rejected	18	13	17	20	19	12	0
File Reject Rate	2.26%	0.60%	0.82%	0.95%	0.90%	0.73%	0.00%

Full CAIS Phase Statistics – May 8th – May 14th, 2023

Production Environment

	Monday, 5/8	Tuesday, 5/9	Wednesday, 5/10	Thursday, 5/11	Friday, 5/12	Saturday, 5/13	Sunday, 5/14
FDID Records Accepted	3,028,723	2,934,181	2,102,455	2,784,074	2,053,590	1,752,833	82,274
FDID Records Rejected	42,301	313,268	194,108	158,364	164,026	138,324	150
FDID Records Submitted	3,071,024	3,247,449	2,296,563	2,942,438	2,217,616	1,891,157	82,424
FDID Record Rejection Rate	1.38%	9.65%	8.45%	5.38%	7.40%	7.31%	0.18%

Full CAIS Phase Statistics – May 8th – May 14th, 2023

Production Environment

	Monday, 5/8	Tuesday, 5/9	Wednesday, 5/10	Thursday, 5/11	Friday, 5/12	Saturday, 5/13	Sunday, 5/14
Customer Records Accepted	4,505,967	2,923,474	1,968,118	2,565,499	1,900,619	2,023,363	81,695
Customer Records Rejected	49,655	854,718	207,201	172,673	188,961	155,516	152
Customer Records Submitted	4,555,622	3,778,192	2,175,319	2,738,172	2,089,580	2,178,879	81,847
Customer Record Rejection Rate	1.09%	22.62%	9.53%	6.31%	9.04%	7.14%	0.19%