Industry CAT CAIS Release Status

September 6, 2023

Agenda

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

Full CAIS Release Update

Industry Member Release Rollout

2023 Release 1- 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.

2023 Release 2

Industry Test – 9/25/2023

Production – 10/23/2023

- New value of 'INACTIVE' for *fdidEndReason*, *roleEndReason* and *ltidEndReason*
- *customerRecordID* returned as a Data Type of Array in feedback files
- Address Known Issues impacting Reporter Portal and Data Validation
- Error Code 22914 added to the list of acceptable codes for use in the *correctionList*.

*A network block will be in place the weekend of 9/24/2023 for both Transaction and CAIS Test environments.

CAIS Report Card Release

Report Card
- The first Full CAIS Report Card for the month of June 2024 will be published in July 2024.
- Compliance Rates distinguished for Correspondent data

Planned Future Enhancements

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

Full CAIS Phase Statistics – August 28th – September 3rd, 2023

Production Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
Number of Total Submitters	56	74	71	73	65	21	5
Number of Unique Firms	468	895	858	893	786	522	69
Number of Files Received	Total: 1,061 Reporter Portal: 38 SFTP: 1,023	Total: 2,379 Reporter Portal: 36 SFTP: 2,343	Total: 2,195 Reporter Portal: 31 SFTP: 2,164	Total: 2,180 Reporter Portal: 32 SFTP: 2,148	Total: 1,969 Reporter Portal: 25 SFTP: 1,944	Total: 1,346 Reporter Portal: 0 SFTP: 1,346	Total: 139 Reporter Portal: 0 SFTP: 139
Number of Files Rejected	17	25	24	24	23	14	2
File Reject Rate	1.60%	1.05%	1.09%	1.10%	1.17%	1.04%	1.44%

Full CAIS Phase Statistics – August 28th – September 3rd, 2023

Production Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
FDID Records Accepted	1,490,765	3,221,173	7,243,877	2,230,177	2,056,445	1,211,209	36,037
FDID Records Rejected	733,675	154,123	199,481	152,934	114,444	720,116	455
FDID Records Submitted	2,224,440	3,375,296	7,443,358	2,383,111	2,170,889	1,931,325	36,492
FDID Record Rejection Rate	32.98%	4.57%	2.68%	6.42%	5.27%	37.29%	1.25%

Full CAIS Phase Statistics – August 28th – September 3rd, 2023

Production Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
Customer Records Accepted	991,015	2,997,177	6,899,104	1,910,868	1,761,444	1,529,242	38,884
Customer Records Rejected	770,217	191,105	219,332	186,585	149,951	831,193	716
Customer Records Submitted	1,761,232	3,188,282	7,118,436	2,097,453	1,911,395	2,360,435	39,600
Customer Record Rejection Rate	43.73%	5.99%	3.08%	8.90%	7.85%	35.21%	1.81%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Unauthorized CAT Submitter ID • Paired Identifiers file not received • Duplicate File • Missing or Invalid Natural Person Customer Record Count • Missing or Invalid File Version
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* • No Customer association with trading capabilities
Customer	• Customer Record rejected because an associated FDID was rejected • Multiple instances of Customer with differing data • Legal Entity CAT Customer reported with improper *tidType* • Missing or Invalid format of *yearOfBirth* • Missing or invalid *lastName*

Open Issues, Planned Enhancements, and Specification Updates

CAT Full CAIS Open Issues List – As of 9/06/2023 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. 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.	Code Release/Data Fix	High	**Go-forward Fix: 06/05/2023** **Data Fix**: TBD	**Go-Forward Fix: 06/26/2023** **Data Fix**: TBD	Reporter Portal
2	Open	Multiple	An attempt to resolve certain errors may incorrectly generate additional erroneous rejections and/or warnings.	Code Release/Data Fix	High	**Go-forward Fix: TBD** **Data Fix**: TBD	**Go-Forward Fix: TBD** **Data Fix**: TBD	Data Validation
3	Open	N/A	Intermittent instances where FDID Reconciliation Report may return stale information. Users may still encounter this issue for prior submissions.	Code Release/Data Fix	High	**Go-forward Fix: 6/05/2023** **Data Fix**: TBD	**Go-forward Fix: 6/26/2023** **Data Fix**: TBD	Reports
4	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.**	Code Release	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

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

CAT Full CAIS Open Issues List – As of 9/06/2023 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.	Code Release	High	**Fix**: 9/25/2023	**Fix**: 10/23/2023	Reporter Portal
6	Open - UPDATED	N/A	Files containing more than 6 million total records (FDIDs + Customers) with multiple errors within the file may not return feedback in the times specified within the Full CAIS Technical Specifications.	Code Release	Low	**Fix**: TBD	**Fix**: TBD	Feedback Files
7	Open- UPDATED	N/A	Intermittent instances where the Submissions Report is displaying incorrect outstanding counts for rejections and inconsistencies.	Code Release	Medium	**Inconsistencies Fix**: 10/31/2022 **Rejections Fix**: 9/25/2023	**Inconsistencies Fix**: 11/7/22 **Rejections Fix**: 10/23/2023	Reporter Portal
8	Open	N/A	Use of Manual Submission within the CAIS Reporter Portal 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 CAIS Reporter Portal does allow for the Extended Text properly.	Code Release	Low	**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 9/06/2023 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
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:** 9/25/2023	**Filter Fix:** 1/23/23 **Download Fix:** 10/23/2023	Reporter Portal
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:** 9/25/2023	**Fix:** 10/23/2023	Feedback Files
11	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:** N/A	**Fix:** TBD	Reporter Portal
12	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:** TBD	Data Validation

CAT Full CAIS Open Issues List – As of 9/06/2023 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	30002, 30003, 30004	Intermittent instances where the CAIS system incorrectly generates subsequent impacted inconsistencies on customer records that have already been resolved with a prior submission.	Code Release	Low	**Fix: TBD**	**Fix: TBD**	Data Validation
14	Open	N/A	User is unable to filter on the submission date due to submission timestamp available in UTC format.	Code Release	Low	**Fix: 9/25/2023**	**Fix: 10/23/2023**	Reporter Portal
15	Open	22523	Prior to 10/2/2022: Limited instances where Customer Records properly rejected with Error Code 22900 also erroneously received Error Code 22523. The 22523 rejections are currently unrepairable.	Code Release/Data Fix	Medium	**Fix**: N/A	**Go-forward Fix**: 10/3/2022 **Data Fix**: TBD	Data Validation
16	Open	22523	Starting on 10/3/2022: Properly rejected Customer Records also erroneously receive Error Code 22523. Repair of the valid rejection will repair the 22523 rejection.	Code Release	Medium	**Fix: 9/25/2023**	**Fix: 10/23/2023**	Data Validation
17	Open	22034	Incorrectly generating Error Code 22034 (Data type violation – FDID) when submitting records with a *branchOfficeCRD* or *registeredRepCRD* using manual submission in the CAIS Reporter Portal.	Code Release	Low	**Fix: TBD**	**Fix: TBD**	Data Validation

CAT Full CAIS Open Issues List – As of 9/06/2023 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
18	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.	Code Release/Data Fix	Medium	**Go-forward Fix:** 06/05/2023 **Data Fix:** TBD	**Go-forward Fix:** 06/26/2023 **Data Fix:** TBD	Reporter Portal
19	Open	30004	Intermittent instances of incorrectly generating Inconsistency Code 30004 when the *Type* is not Foreign.	Code Release	Low	**Fix:** TBD	**Fix:** TBD	Inconsistencies
20	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
21	Open	N/A	Limited instances where one of the TIDS feedback versions is missing. Processing of the corresponding CAIS Data Files is not impacted by this issue.	Code Release	Low	**Fix:** TBD	**Fix:** TBD	Feedback
22	Open	22042	Erroneously generating Error Code 22042 in instances where a single Customer is identified in the *fdidCustomerList* twice with roles that start and end on the same day, and the ended role is not listed first within the *fdidCustomerList*.	Code Release	Low	**Fix:** TBD **Workaround:** Within the *fdidCustomerList*, list the Customer's ended role first and the active role second.	**Fix:** TBD **Workaround:** Within the *fdidCustomerList*, list the Customer's ended role first and the active role second.	Data Validation

CAT Full CAIS Open Issues List – As of 9/06/2023 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	22071	Erroneously accepting FDID Records with multiple Customers where at least one active Customer has a *role* indicating no trading capabilities (e.g., NTHOLDER) and at least one Customer with a *role* indicating trading capabilities (e.g., *role* of 'AUTHREP' and *hasDiscretion* is 'true') is no longer active (i.e., *roleEndDate* is populated with a current or past date). These records should be rejected with Error Code 22071.	Code Release	Medium	**Fix:** TBD	**Fix:** TBD	Data Validation
24	Open	22528	For rejections with Error Code 22528, while the Customer Record rejection is provided in the feedback file, the FDID Record associated to the rejected Customer Record is erroneously not provided in the feedback file. The FDID Record should be rejected with Error Code 22048. In addition, Customer Records rejected with Error Code 22528 are erroneously counted as both Accepted and Rejected in the Submission Report on the portal.	Code Release	Medium	**Fix:** 9/25/2023	**Fix:** 10/23/2023	Data Validation
25	NEW	22501, 22502, 22522, 22528	Limited instances of customer rejections that are not repairable.	Code Release/Data Fix	Medium	**Go-forward Fix:** 9/25/2023 **Data fix:** TBD	**Go-forward Fix:** 10/23/2023 **Data fix:** TBD	Data Validation

CAT Full CAIS Open Issues List – As of 9/06/2023
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
26	NEW	22914	The 22914 rejections are currently unrepairable. Error Code 22914 will be added to the list of acceptable codes for use in the *correctionList.*	Code Release	Medium	**Fix**: 9/25/2023	**Fix**: 10/23/2023	Data Validation
27	NEW	N/A	Incorrectly accepting, rather than rejecting, in instances where the *correctionAction* is 'CORRECTION' and there is no correcting value provided or the wrong record type is specified as the correcting value.	Code Release	Medium	**Fix**: 9/25/2023	**Fix**: 10/23/2023	Data Validation

CAT Full CAIS Recently Closed Issues List
As of 9/06/2023

#	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.	8/2/2023	2.0 r10	9/25/23	10/23/23

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

2023 SIFMA DR Test

▸ FINRA CAT, along with selected CAT Reporters will participate in the 2023 SIFMA DR Test in similar fashion to the 2022 SIFMA DR Test.

▸ Selected CAT Reporters have been notified and have received test scripts.

▸ The 2023 SIFMA DR Test will:
  ◦ Occur on Saturday, October 14, 2023 (8 am to 2 pm ET)
  ◦ Require both Full CAIS and Transaction submissions
  ◦ Only validate ingestion and will provide ingestion feedback (note: no linkage feedback process will be executed).

▸ FINRA CAT plans to use its Enhanced Disaster Recovery environment (EDR) in the AWS East-2 Region.

▸ FINRA CAT will utilize the Production Mirror Environment in that region. (Please utilize the [Connectivity Supplements for Industry Members](#) for additional network connectivity configurations.)

▸ Submitters should test their network connectivity to this new region between September 23, 2023 and October 13, 2023 (prior to the October 14, 2023 test date).

▸ FINRA CAT will host a SIFMA DR Test meeting with selected Submitters on Tuesday, October 3, 2023 (meeting invitation will be distributed this month).
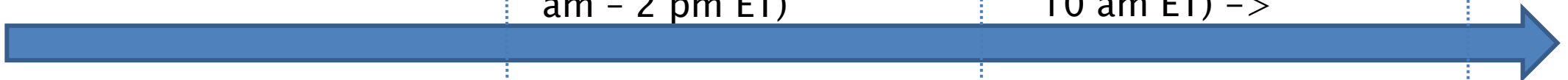
SIFMA Test Roadmap

General Announcements and Reminders

FINRA CAT Announcements and Reminders

➤ The next [CAT CAIS Checkpoint](#) call will be on Wednesday, October 11, 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 –
August 28th – September 3rd, 2023

Industry Test Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
Number of Total Submitters	11	14	14	12	12	6	1
Number of Unique Firms	105	176	159	205	162	148	1
Number of Files Received	Total: 228 Reporter Portal: 11 SFTP: 217	Total: 621 Reporter Portal: 0 SFTP: 621	Total: 452 Reporter Portal: 0 SFTP: 452	Total: 615 Reporter Portal: 1 SFTP: 614	Total: 524 Reporter Portal: 0 SFTP: 524	Total: 392 Reporter Portal: 0 SFTP: 392	Total: 1 Reporter Portal: 0 SFTP: 1
Number of Files Rejected	1	16	25	10	24	8	0
File Reject Rate	0.44%	2.58%	5.53%	1.63%	4.58%	2.04%	0.00%

Full CAIS Phase Statistics – August 28th – September 3rd, 2023

Industry Test Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
FDID Records Accepted	1,147,942	311,444	392,807	103,171	243,708	34,868	0
FDID Records Rejected	72,241	23,598	23,162	3,123	18,972	2,062	0
FDID Records Submitted	1,220,183	335,042	415,969	106,294	262,680	36,930	0
FDID Record Rejection Rate	5.92%	7.04%	5.57%	2.94%	7.22%	5.58%	0.00%

Full CAIS Phase Statistics – August 28th – September 3rd, 2023

Industry Test Environment							
	Monday, 8/28	**Tuesday, 8/29**	**Wednesday, 8/30**	**Thursday, 8/31**	**Friday, 9/1**	**Saturday, 9/2**	**Sunday, 9/3**
Customer Records Accepted	841,927	272,595	132,959	147,180	155,354	45,307	0
Customer Records Rejected	55,864	24,961	5,522	6,030	13,525	3,703	0
Customer Records Submitted	897,791	297,556	138,481	153,210	168,879	49,010	0
Customer Record Rejection Rate	6.22%	8.39%	3.99%	3.94%	8.01%	7.56%	0.00%

Full CAIS Phase Statistics – August 21st – August 27th, 2023

Production Environment							
	Monday, 8/21	**Tuesday, 8/22**	**Wednesday, 8/23**	**Thursday, 8/24**	**Friday, 8/25**	**Saturday, 8/26**	**Sunday, 8/27**
Number of Total Submitters	54	70	68	74	66	23	5
Number of Unique Firms	416	886	837	903	892	485	41
Number of Files Received	Total: 967 Reporter Portal: 25 SFTP: 942	Total: 2,299 Reporter Portal: 23 SFTP: 2,276	Total: 2,201 Reporter Portal: 30 SFTP: 2,171	Total: 2,271 Reporter Portal: 37 SFTP: 2,234	Total: 2,274 Reporter Portal: 30 SFTP: 2,244	Total: 1,222 Reporter Portal: 1 SFTP: 1,221	Total: 138 Reporter Portal: 0 SFTP: 138
Number of Files Rejected	14	20	24	23	24	9	27
File Reject Rate	1.45%	0.87%	1.09%	1.01%	1.06%	0.74%	19.57%

Full CAIS Phase Statistics – August 21ˢᵗ – August 27ᵗʰ, 2023

Production Environment							
	Monday, 8/21	**Tuesday, 8/22**	**Wednesday, 8/23**	**Thursday, 8/24**	**Friday, 8/25**	**Saturday, 8/26**	**Sunday, 8/27**
FDID Records Accepted	1,383,786	2,359,797	2,344,308	2,137,437	2,147,065	993,261	113,014
FDID Records Rejected	86,879	177,819	143,834	159,643	134,087	79,319	749
FDID Records Submitted	1,470,665	2,537,616	2,488,142	2,297,080	2,281,152	1,072,580	113,763
FDID Record Rejection Rate	5.91%	7.01%	5.78%	6.95%	5.88%	7.40%	0.66%

Full CAIS Phase Statistics – August 21st – August 27th, 2023

Production Environment							
	Monday, 8/21	**Tuesday, 8/22**	**Wednesday, 8/23**	**Thursday, 8/24**	**Friday, 8/25**	**Saturday, 8/26**	**Sunday, 8/27**
Customer Records Accepted	786,414	2,154,295	2,212,113	1,842,957	1,854,403	1,286,605	104,474
Customer Records Rejected	103,570	241,973	181,968	202,973	169,600	105,856	711
Customer Records Submitted	889,984	2,396,268	2,394,081	2,045,930	2,024,003	1,392,461	105,185
Customer Record Rejection Rate	11.64%	10.10%	7.60%	9.92%	8.38%	7.60%	0.68%

Full CAIS Phase Statistics – August 14th – August 20th, 2023

Production Environment							
	Monday, 8/14	**Tuesday, 8/15**	**Wednesday, 8/16**	**Thursday, 8/17**	**Friday, 8/18**	**Saturday, 8/19**	**Sunday, 8/20**
Number of Total Submitters	60	68	67	69	63	26	5
Number of Unique Firms	470	881	871	885	852	573	6
Number of Files Received	Total: 1,021 Reporter Portal: 36 SFTP: 985	Total: 2,550 Reporter Portal: 28 SFTP: 2,522	Total: 2,288 Reporter Portal: 15 SFTP: 2,273	Total: 3,144 Reporter Portal: 20 SFTP: 3,124	Total: 2,120 Reporter Portal: 31 SFTP: 2,089	Total: 1,409 Reporter Portal: 1 SFTP: 1,408	Total: 11 Reporter Portal: 0 SFTP: 11
Number of Files Rejected	13	83	24	20	23	32	0
File Reject Rate	1.27%	3.25%	1.05%	0.64%	1.08%	2.27%	0.00%

Full CAIS Phase Statistics – August 14th – August 20th, 2023

Production Environment							
	Monday, 8/14	Tuesday, 8/15	Wednesday, 8/16	Thursday, 8/17	Friday, 8/18	Saturday, 8/19	Sunday, 8/20
FDID Records Accepted	1,842,528	2,713,396	3,114,129	2,751,433	1,954,887	1,149,525	39,781
FDID Records Rejected	202,490	747,023	157,115	132,916	159,663	122,611	18
FDID Records Submitted	2,045,018	3,460,419	3,271,244	2,884,349	2,114,550	1,272,136	39,799
FDID Record Rejection Rate	9.90%	21.59%	4.80%	4.61%	7.55%	9.64%	0.05%

Full CAIS Phase Statistics – August 14th – August 20th, 2023

Production Environment							
	Monday, 8/14	**Tuesday, 8/15**	**Wednesday, 8/16**	**Thursday, 8/17**	**Friday, 8/18**	**Saturday, 8/19**	**Sunday, 8/20**
Customer Records Accepted	1,115,874	2,579,626	2,846,354	2,996,086	1,717,209	1,461,400	43,530
Customer Records Rejected	207,178	863,251	227,806	182,527	220,712	162,258	24
Customer Records Submitted	1,323,052	3,442,877	3,074,160	3,178,613	1,937,921	1,623,658	43,554
Customer Record Rejection Rate	15.66%	25.07%	7.41%	5.74%	11.39%	9.99%	0.06%

Full CAIS Phase Statistics – August 7th – August 13th, 2023

Production Environment							
	Monday, 8/7	**Tuesday, 8/8**	**Wednesday, 8/9**	**Thursday, 8/10**	**Friday, 8/11**	**Saturday, 8/12**	**Sunday, 8/13**
Number of Total Submitters	57	68	70	76	65	24	8
Number of Unique Firms	346	957	880	879	877	618	16
Number of Files Received	Total: 774 Reporter Portal: 26 SFTP: 748	Total: 2,640 Reporter Portal: 27 SFTP: 2,613	Total: 2,265 Reporter Portal: 26 SFTP: 2,239	Total: 2,256 Reporter Portal: 71 SFTP: 2,185	Total: 2,242 Reporter Portal: 35 SFTP: 2,207	Total: 1,487 Reporter Portal: 0 SFTP: 1,487	Total: 64 Reporter Portal: 0 SFTP: 64
Number of Files Rejected	12	34	21	24	21	18	0
File Reject Rate	1.55%	1.29%	0.93%	1.06%	0.94%	1.21%	0.00%

Full CAIS Phase Statistics – August 7th – August 13th, 2023

Production Environment							
	Monday, 8/7	Tuesday, 8/8	Wednesday, 8/9	Thursday, 8/10	Friday, 8/11	Saturday, 8/12	Sunday, 8/13
FDID Records Accepted	1,206,844	2,385,482	2,447,500	2,340,849	2,340,849	1,327,913	81,995
FDID Records Rejected	108,555	947,328	201,987	224,784	224,784	201,339	396
FDID Records Submitted	1,315,399	3,332,810	2,649,487	2,565,633	2,565,633	1,529,252	82,391
FDID Record Rejection Rate	8.25%	28.42%	7.62%	8.76%	8.76%	13.17%	0.48%

Full CAIS Phase Statistics – August 7th – August 13th, 2023

Production Environment							
	Monday, 8/7	Tuesday, 8/8	Wednesday, 8/9	Thursday, 8/10	Friday, 8/11	Saturday, 8/12	Sunday, 8/13
Customer Records Accepted	711,092	2,364,956	2,408,419	2,101,226	2,101,226	1,678,419	108,182
Customer Records Rejected	70,525	919,843	172,934	201,687	201,687	180,823	434
Customer Records Submitted	781,617	3,284,799	2,581,353	2,302,913	2,302,913	1,859,242	108,616
Customer Record Rejection Rate	9.02%	28.00%	6.70%	8.76%	8.76%	9.73%	0.40%

Full CAIS Phase Statistics –
July 31st – August 6th, 2023

Production Environment							
	Monday, 7/31	**Tuesday, 8/1**	**Wednesday, 8/2**	**Thursday, 8/3**	**Friday, 8/4**	**Saturday, 8/5**	**Sunday, 8/6**
Number of Total Submitters	54	72	70	73	65	21	6
Number of Unique Firms	318	883	919	912	856	607	7
Number of Files Received	Total: 707 Reporter Portal: 35 SFTP: 672	Total: 2,675 Reporter Portal: 27 SFTP: 2,648	Total: 2,470 Reporter Portal: 31 SFTP: 2,439	Total: 2,491 Reporter Portal: 43 SFTP: 2,448	Total: 2,303 Reporter Portal: 14 SFTP: 2,289	Total: 1,756 Reporter Portal: 0 SFTP: 1,756	Total: 14 Reporter Portal: 0 SFTP: 14
Number of Files Rejected	11	21	53	81	53	11	0
File Reject Rate	1.56%	0.79%	2.15%	3.25%	2.30%	2.28%	0.00%

Full CAIS Phase Statistics –
July 31st – August 6th, 2023

Production Environment							
	Monday, 7/31	**Tuesday, 8/1**	**Wednesday, 8/2**	**Thursday, 8/3**	**Friday, 8/4**	**Saturday, 8/5**	**Sunday, 8/6**
FDID Records Accepted	1,562,710	2,676,173	2,299,154	2,411,186	2,243,456	1,402,493	53,116
FDID Records Rejected	627,809	145,769	720,298	164,474	121,986	104,550	146
FDID Records Submitted	2,190,519	2,821,942	3,019,452	2,575,660	2,365,442	1,507,043	53,262
FDID Record Rejection Rate	28.66%	5.17%	23.85%	6.39%	5.16%	6.94%	0.27%

Full CAIS Phase Statistics – July 31st – August 6th, 2023

Production Environment							
	Monday, 7/31	Tuesday, 8/1	Wednesday, 8/2	Thursday, 8/3	Friday, 8/4	Saturday, 8/5	Sunday, 8/6
Customer Records Accepted	992,167	2,661,178	2,107,573	2,231,322	2,032,529	1,896,068	57,124
Customer Records Rejected	709,489	199,284	847,604	210,131	159,342	141,548	43
Customer Records Submitted	1,701,656	2,860,462	2,955,177	2,441,453	2,191,871	2,037,616	57,167
Customer Record Rejection Rate	41.69%	6.97%	28.68%	8.61%	7.27%	6.95%	0.07%