Industry CAT CAIS Release Status

October 11, 2023

Agenda

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

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).

Full CAIS Release Update

Industry Member Release Rollout

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 and 22501 added to the list of acceptable codes for use in the *correctionList*.

*Expect a network block in the CAIS Production and Production Mirror Environments from 8 am ET on 10/21/23 to 5 pm ET on 10/22/23.

Planned Enhancements to be delivered no later than 4/8/2024

- Turn on Material Inconsistencies
- Enable FDID Validations (on Transaction side)
- Deliver Outstanding Errors
- Data Fixes related to Known Issues (High/Med priority)
- Expand *correctionList*

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 – October 2ⁿᵈ – October 8ᵗʰ, 2023

Production Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
Number of Total Submitters	53	72	72	68	69	22	6
Number of Unique Firms	310	823	834	816	825	635	7
Number of Files Received	Total: 701 Reporter Portal: 20 SFTP: 681	Total: 2,119 Reporter Portal: 31 SFTP: 2,088	Total: 2,165 Reporter Portal: 28 SFTP: 2,137	Total: 2,108 Reporter Portal: 34 SFTP: 2,074	Total: 2,100 Reporter Portal: 21 SFTP: 2,079	Total: 1,552 Reporter Portal: 0 SFTP: 1,552	Total: 20 Reporter Portal: 19 SFTP: 1
Number of Files Rejected	8	39	33	33	36	23	1
File Reject Rate	1.14%	1.84%	1.52%	1.57%	1.71%	1.48%	5.00%

Full CAIS Phase Statistics –
October 2nd – October 8th, 2023

Production Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
FDID Records Accepted	1,171,526	2,872,450	2,415,716	2,491,619	2,184,572	1,140,682	45,457
FDID Records Rejected	39,153	743,745	136,224	178,336	241,562	134,523	20
FDID Records Submitted	1,210,679	3,616,195	2,551,940	2,669,955	2,426,134	1,275,205	45,477
FDID Record Rejection Rate	3.23%	20.57%	5.34%	6.68%	9.96%	10.55%	0.04%

Full CAIS Phase Statistics – October 2nd – October 8th, 2023

Production Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
Customer Records Accepted	608,340	2,576,429	2,119,342	2,341,453	1,863,440	1,441,236	51,905
Customer Records Rejected	46,843	847,449	169,559	208,682	257,759	155,967	33
Customer Records Submitted	655,183	3,423,878	2,288,901	2,550,135	2,121,199	1,597,203	51,938
Customer Record Rejection Rate	7.15%	24.75%	7.41%	8.18%	12.15%	9.77%	0.06%

Full CAIS Phase Rejection Observations

Rejection Source	Top Rejection Reasons
File	• Unauthorized CAT Submitter ID • Paired Identifiers file not received • Missing or Invalid File Version • Duplicate File • CAIS File cannot be Uncompressed
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 • Legal Entity CAT Customer reported with improper *tidType* • Multiple instances of Customer with differing data • 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 10/11/2023 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 10/11/2023 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	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	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

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CAT Full CAIS Open Issues List – As of 10/11/2023
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

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CAT Full CAIS Open Issues List – As of 10/11/2023 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 10/11/2023 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 10/11/2023 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	Open	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

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CAT Full CAIS Open Issues List – As of 10/11/2023 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	Open	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	Open	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
28	Open	22501	The 22501 rejections are currently unrepairable. Error Code 22501 will be added to the list of acceptable codes for use in the *correctionList*.	Code Release	Medium	**Fix**: 10/09/2023	**Fix**: 10/23/2023	Data Validation

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CAT Full CAIS Recently Closed Issues List
As of 10/11/2023

#	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
2	New- Open	Update the feedback examples in Section 6 to show the *customerRecordID* as an array: "*customerRecordID*":[73] ; "*customerRecordID*":[15] and "*customerRecordID*":[99].	TBD	2.0 r11	TBD	TBD
3	New-Open	Error Code 22914 and 22501 will be added to the list of acceptable codes for use in the *correctionList*.	TBD	2.0 r11	TBD	TBD

* 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, November 1, 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 – October 2nd – October 8th, 2023

Industry Test Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
Number of Total Submitters	9	17	19	15	16	5	1
Number of Unique Firms	106	253	266	220	233	119	1
Number of Files Received	Total: 223 Reporter Portal: 0 SFTP: 223	Total: 10,879 Reporter Portal: 3 SFTP: 10,876	Total: 789 Reporter Portal: 7 SFTP: 782	Total: 641 Reporter Portal: 1 SFTP: 640	Total: 634 Reporter Portal: 1 SFTP: 633	Total: 379 Reporter Portal: 0 SFTP: 379	Total: 1 Reporter Portal: 0 SFTP: 1
Number of Files Rejected	1	10,075	24	14	7	11	0
File Reject Rate	0.45%	92.61%	3.04%	2.18%	1.10%	2.90%	0.00%

Full CAIS Phase Statistics – October 2nd – October 8th, 2023

Industry Test Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
FDID Records Accepted	66,857	349,377	950,563	436,087	270,284	62,167	8
FDID Records Rejected	1,521	46,028	80,242	26,594	16,673	2,835	2
FDID Records Submitted	68,378	395,405	1,030,805	462,681	286,957	65,002	10
FDID Record Rejection Rate	2.22%	11.64%	7.78%	5.75%	5.81%	4.36%	20.00%

Full CAIS Phase Statistics – October 2nd – October 8th, 2023

Industry Test Environment							
	Monday, 10/2	**Tuesday, 10/3**	**Wednesday, 10/4**	**Thursday, 10/5**	**Friday, 10/6**	**Saturday, 10/7**	**Sunday, 10/8**
Customer Records Accepted	107,637	339,016	1,162,296	384,010	210,101	103,472	8
Customer Records Rejected	2,923	50,023	100,189	21,447	9,587	5,043	2
Customer Records Submitted	110,560	389,039	1,262,485	405,457	219,688	108,515	10
Customer Record Rejection Rate	2.64%	12.86%	7.94%	5.29%	4.36%	4.65%	20.00%

Full CAIS Phase Statistics – September 25th – October 1st, 2023

	Monday, 9/25	Tuesday, 9/26	Wednesday, 9/27	Thursday, 9/28	Friday, 9/29	Saturday, 9/30	Sunday, 10/1
Number of Total Submitters	52	69	62	67	61	23	7
Number of Unique Firms	316	822	809	829	793	554	41
Number of Files Received	Total: 708 Reporter Portal: 20 SFTP: 688	Total: 2,117 Reporter Portal: 31 SFTP: 2,086	Total: 2,113 Reporter Portal: 30 SFTP: 2,083	Total: 2,099 Reporter Portal: 14 SFTP: 2,085	Total: 1,966 Reporter Portal: 12 SFTP: 1,954	Total: 1,567 Reporter Portal: 0 SFTP: 1,567	Total: 112 Reporter Portal: 1 SFTP: 111
Number of Files Rejected	8	43	33	36	28	55	3
File Reject Rate	1.13%	2.03%	1.56%	1.72%	1.42%	3.51%	2.68%

Production Environment

Full CAIS Phase Statistics – September 25th – October 1st, 2023

Production Environment							
	Monday, 9/25	**Tuesday, 9/26**	**Wednesday, 9/27**	**Thursday, 9/28**	**Friday, 9/29**	**Saturday, 9/30**	**Sunday, 10/1**
FDID Records Accepted	1,195,141	3,108,912	1,956,018	2,984,805	2,465,130	4,074,944	67,117
FDID Records Rejected	634,352	177,588	106,835	182,013	762,499	494,004	569
FDID Records Submitted	1,829,493	3,286,500	2,062,853	3,166,818	3,227,629	4,568,948	67,686
FDID Record Rejection Rate	34.67%	5.40%	5.18%	5.75%	23.62%	10.81%	0.84%

Full CAIS Phase Statistics – September 25th – October 1st, 2023

Production Environment							
	Monday, 9/25	**Tuesday, 9/26**	**Wednesday, 9/27**	**Thursday, 9/28**	**Friday, 9/29**	**Saturday, 9/30**	**Sunday, 10/1**
Customer Records Accepted	624,722	2,844,518	1,733,323	2,685,880	2,217,234	4,488,103	63,559
Customer Records Rejected	719,818	200,495	129,547	255,227	869,290	595,329	655
Customer Records Submitted	1,344,540	3,045,013	1,862,870	2,941,107	3,086,524	5,083,432	64,214
Customer Record Rejection Rate	53.54%	6.58%	6.95%	8.68%	28.16%	11.71%	1.02%

Full CAIS Phase Statistics – September 18th – September 24th, 2023

		Production Environment					
	Monday, 9/18	**Tuesday, 9/19**	**Wednesday, 9/20**	**Thursday, 9/21**	**Friday, 9/22**	**Saturday, 9/23**	**Sunday, 9/24**
Number of Total Submitters	59	67	68	71	63	22	5
Number of Unique Firms	471	784	816	828	810	539	14
Number of Files Received	Total: 1,095 Reporter Portal: 57 SFTP: 1,038	Total: 2,094 Reporter Portal: 17 SFTP: 2,077	Total: 2,178 Reporter Portal: 29 SFTP: 2,149	Total: 2,174 Reporter Portal: 35 SFTP: 2,139	Total: 2,088 Reporter Portal: 34 SFTP: 2,054	Total: 1,388 Reporter Portal: 0 SFTP: 1,388	Total: 40 Reporter Portal: 0 SFTP: 40
Number of Files Rejected	9	35	35	36	32	26	0
File Reject Rate	0.82%	1.67%	1.61%	1.66%	1.53%	1.87%	0.00%

Full CAIS Phase Statistics – September 18th – September 24th, 2023

Production Environment							
	Monday, 9/18	**Tuesday, 9/19**	**Wednesday, 9/20**	**Thursday, 9/21**	**Friday, 9/22**	**Saturday, 9/23**	**Sunday, 9/24**
FDID Records Accepted	2,059,259	2,429,160	2,363,831	2,363,831	2,176,691	1,384,423	363,352
FDID Records Rejected	201,792	184,172	175,759	175,759	142,518	76,973	23,690
FDID Records Submitted	2,261,051	2,613,332	2,539,590	2,539,590	2,319,209	1,461,396	387,042
FDID Record Rejection Rate	8.92%	7.05%	6.92%	6.92%	6.15%	5.27%	6.12%

Full CAIS Phase Statistics –
September 18th – September 24th, 2023

Production Environment							
	Monday, 9/18	**Tuesday, 9/19**	**Wednesday, 9/20**	**Thursday, 9/21**	**Friday, 9/22**	**Saturday, 9/23**	**Sunday, 9/24**
Customer Records Accepted	1,440,850	2,136,508	2,158,718	2,158,718	1,883,355	1,807,197	295,039
Customer Records Rejected	224,521	214,929	220,780	220,780	165,475	94,977	17,370
Customer Records Submitted	1,665,371	2,351,437	2,379,498	2,379,498	2,048,830	1,902,174	312,409
Customer Record Rejection Rate	13.48%	9.14%	9.28%	9.28%	8.08%	4.99%	5.56%

Full CAIS Phase Statistics – September 11th – September 17th, 2023

	Monday, 9/11	Tuesday, 9/12	Wednesday, 9/13	Thursday, 9/14	Friday, 9/15	Saturday, 9/16	Sunday, 9/17
Production Environment							
Number of Total Submitters	53	73	67	66	67	21	5
Number of Unique Firms	308	830	829	703	827	530	6
Number of Files Received	Total: 668 Reporter Portal: 29 SFTP: 639	Total: 2,099 Reporter Portal: 39 SFTP: 2,060	Total: 2,093 Reporter Portal: 26 SFTP: 2,067	Total: 1,812 Reporter Portal: 43 SFTP: 1,769	Total: 2,618 Reporter Portal: 28 SFTP: 2,590	Total: 1,379 Reporter Portal: 0 SFTP: 1,379	Total: 13 Reporter Portal: 0 SFTP: 13
Number of Files Rejected	8	29	29	33	89	23	0
File Reject Rate	1.20%	1.38%	1.39%	1.82%	3.40%	1.67%	0.00%

Full CAIS Phase Statistics –
September 11th – September 17th, 2023

Production Environment							
	Monday, 9/11	**Tuesday, 9/12**	**Wednesday, 9/13**	**Thursday, 9/14**	**Friday, 9/15**	**Saturday, 9/16**	**Sunday, 9/17**
FDID Records Accepted	1,273,223	2,889,632	2,282,200	2,246,219	3,643,648	1,400,081	39,527
FDID Records Rejected	63,268	202,441	846,545	146,669	788,331	136,375	33
FDID Records Submitted	1,336,491	3,092,073	3,128,745	2,392,888	4,431,979	1,536,456	39,560
FDID Record Rejection Rate	4.73%	6.55%	27.06%	6.13%	17.79%	8.88%	0.08%

Full CAIS Phase Statistics – September 11ᵗʰ – September 17ᵗʰ, 2023

Production Environment							
	Monday, 9/11	**Tuesday, 9/12**	**Wednesday, 9/13**	**Thursday, 9/14**	**Friday, 9/15**	**Saturday, 9/16**	**Sunday, 9/17**
Customer Records Accepted	564,307	2,619,368	2,200,938	1,937,889	3,650,188	1,831,148	43,942
Customer Records Rejected	72,956	221,519	985,349	172,411	906,031	191,802	40
Customer Records Submitted	637,263	2,840,887	3,186,287	2,110,300	4,556,219	2,022,950	43,982
Customer Record Rejection Rate	11.45%	7.80%	30.92%	8.17%	19.89%	9.48%	0.09%

Full CAIS Phase Statistics – September 4th – September 10th, 2023

Production Environment							
	Monday, 9/4	**Tuesday, 9/5**	**Wednesday, 9/6**	**Thursday, 9/7**	**Friday, 9/8**	**Saturday, 9/9**	**Sunday, 9/10**
Number of Total Submitters	22	58	69	69	67	24	7
Number of Unique Firms	55	403	823	822	808	543	42
Number of Files Received	Total: 114 Reporter Portal: 0 SFTP: 114	Total: 866 Reporter Portal: 33 SFTP: 833	Total: 2,164 Reporter Portal: 25 SFTP: 2,139	Total: 2,168 Reporter Portal: 31 SFTP: 2,137	Total: 2,048 Reporter Portal: 31 SFTP: 2,017	Total: 1,353 Reporter Portal: 0 SFTP: 1,353	Total: 111 Reporter Portal: 2 SFTP: 109
Number of Files Rejected	11	38	17	21	26	13	3
File Reject Rate	9.65%	4.39%	0.79%	0.97%	1.27%	0.96%	2.70%

Full CAIS Phase Statistics – September 4th – September 10th, 2023

Production Environment							
	Monday, 9/4	Tuesday, 9/5	Wednesday, 9/6	Thursday, 9/7	Friday, 9/8	Saturday, 9/9	Sunday, 9/10
FDID Records Accepted	527,454	7,263,267	16,806,964	18,865,025	2,172,664	1,754,918	58,026
FDID Records Rejected	2,072	280,659	1,248,026	2,242,780	189,971	186,287	639
FDID Records Submitted	529,526	7,543,926	18,054,990	21,107,805	2,362,635	1,941,205	58,665
FDID Record Rejection Rate	0.39%	3.72%	6.91%	10.63%	8.04%	9.60%	1.09%

Full CAIS Phase Statistics – September 4th – September 10th, 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	67,430	7,323,238	18,227,003	29,148,389	1,877,976	2,088,996	56,588
Customer Records Rejected	2,383	363,718	923,261	4,491,004	227,827	218,911	955
Customer Records Submitted	69,813	7,686,956	19,150,264	33,639,393	2,105,803	2,307,907	57,543
Customer Record Rejection Rate	3.41%	4.73%	4.82%	13.35%	10.82%	9.49%	1.66%